

CHAPTER 465a. ACCOUNTING AND INTERNAL CONTROLS

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Authority

The provisions of this Chapter 465a issued under 4 Pa.C.S. §§ 1202(b)(30), 1207, 1322 and 1520, unless otherwise noted.

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(389349) No. 520 Mar. 18

Source

The provisions of this Chapter 465a adopted July 27, 2007, effective July 28, 2007, 37 Pa.B. 4068, unless otherwise noted.

Cross References

This chapter cited in 58 Pa. Code § 441a.23 (relating to category 3 slot machine licensees).

§ 465a.1. Accounting records.

(a) A slot machine licensee shall maintain complete, accurate and legible records of all transactions pertaining to the revenues and expenses of each licensed facility.

(b) General accounting records shall be maintained on a double entry system of accounting with transactions recorded on a basis consistent with generally accepted accounting principles in the United States. Detailed, supporting and subsidiary records sufficient to meet the requirements of subsection (c) shall also be maintained in accordance with the requirements of this chapter.

(c) The detailed, supporting and subsidiary records include:

(1) Records pertaining to revenue that is taxable or subject to taxation under the act.

(2) Records pertaining to the financial statements and all transactions impacting the financial statements of the slot machine licensee including contracts or agreements with licensed manufacturers, suppliers, gaming junket enterprises, certified and registered gaming service providers, contractors, consultants, management companies, attorneys and law firms, accountants and accounting firms, insurance companies and financial institutions, including statements and reconciliations related thereto.

(3) Records that identify the handle, payout, actual win amounts and percentages, theoretical win amounts and percentages, and differences between theoretical and actual win amounts and percentages, for each slot machine and table game on a week-to-date, month-to-date and year-to-date basis.

(4) Records documenting the costs of complimentary services and items as defined in § 401a.3 (relating to definitions).

(5) Records of loans and other amounts payable by the slot machine licensee.

(6) Records of investments, advances, loan and receivable balances due to the slot machine licensee.

(7) Records created in connection with the system of internal controls submitted to the Board under § 465a.2 (relating to internal control systems and audit protocols).

(8) Records of returned checks.

Authority

The provisions of this § 465a.1 amended under 4 Pa.C.S. §§ 1103, 1202(b)(30), 1207, 1209(b), 1317(c), 1317.1(c), 1317.2, 1322, 1326, 13A02(1)—(6), 13A25 and Chapter 16.

Source

The provisions of this § 465a.1 amended October 22, 2010, effective October 23, 2010, 40 Pa.B. 6083; amended May 13, 2011, effective May 14, 2011, 41 Pa.B. 2439; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585. Immediately preceding text appears at serial pages (357083) to (357084).

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§ 465a.2. Internal control systems and audit protocols.

(a) A slot machine licensee shall submit to the Board and the Department a written description of its initial system of administrative and accounting procedures, including its internal control systems and audit protocols (collectively referred to as its “internal controls”) at least 90 days before slot or table game operations are to commence. A written system of internal controls must include:

(1) Records of direct and indirect ownership in the slot machine licensee, its affiliates, intermediaries, subsidiaries or holding companies.

(2) Organization charts depicting segregation of functions and responsibilities in accordance with § 465a.11 (relating to slot machine licensee’s organization; jobs compendium).

(3) A description of the duties and responsibilities of each licensed or permitted position shown on the organization charts and their respective lines of authority in accordance with § 465a.11.

(4) A detailed narrative description of the administrative and accounting procedures designed to satisfy the requirements of this subpart.

(5) A record retention policy in accordance with § 465a.6 (relating to retention, storage and destruction of books, records and documents).

(6) Procedures to ensure that assets are safeguarded, and counted in conformance with effective count procedures.

(7) Procedures governing the conduct of all gaming related promotions to be offered by the slot machine licensee.

(8) Policies to prevent political contributions in accordance with section 1513 of the act (relating to political influence) and an annual certification to the Board and the Department of State’s Bureau of Commissions, Elections and Legislation that the slot machine licensee has conducted a good faith investigation that has not revealed any violations of section 1513 of the act.

(9) Procedures to ensure that the slot machine licensee’s employees comply with Chapter 435a (relating to employees).

(10) Other items the Board may request in writing to be included in the internal controls.

(b) A submission must be accompanied by the following:

(1) An attestation by the chief executive officer or other delegated individual with a direct reporting relationship to the chief executive officer attesting that the officer believes, in good faith, that the submitted internal controls conform to the requirements of the act and this subpart.

(2) An attestation by the chief financial officer or other delegated individual with a direct reporting relationship to the chief financial officer attesting that the officer believes, in good faith, that the submitted internal controls are designed to provide reasonable assurance that the financial reporting conforms to generally accepted accounting principles in the United States and complies with applicable laws and regulations, including the act and this subpart.

(c) The initial submission must also be accompanied by a report from an independent registered public accounting firm licensed to practice in this Commonwealth. The report should express an opinion as to the effectiveness of the design of the submitted system of internal controls over financial reporting and should further express an opinion as to whether the submitted system of internal

controls materially deviates from the requirements of applicable laws and regulations, including the act and this subpart.

(d) A submission by a slot machine licensee must include, at a minimum, the following:

(1) Administrative controls which include the procedures and records that relate to the decision making processes leading to management's authorization of transactions.

(2) Accounting controls that safeguard assets and revenues and ensure the reliability of financial records. The accounting controls must be designed to provide reasonable assurance that:

(i) Transactions or financial events which occur in the operation of a slot machine or table game are executed in accordance with management's general and specific authorization.

(ii) Transactions or financial events which occur in the operation of a slot machine or table game are recorded as necessary to permit preparation of financial statements in conformity with generally accepted accounting principles in the United States, the act and this subpart.

(iii) Transactions or financial events which occur in the operation of a slot machine or table game are recorded in a manner which provides reliable records, accounts and reports, including the recording of cash and evidences of indebtedness, for use in the preparation of reports to the Board related to slot machines or table games.

(iv) Transactions or financial events which occur in the operation of a slot machine or table game are recorded to ensure accountability for assets and to permit the proper and timely reporting of gross terminal and gross table game revenue, fees and taxes.

(v) Access to assets is permitted only in accordance with management's general and specific authorization.

(vi) The recorded accountability for assets is compared with existing physical assets at reasonable intervals and that appropriate action is taken with respect to any discrepancies.

(3) Procedures and controls for ensuring, in accordance with section 1323 of the act (relating to central control computer system), that each slot machine, electronic wagering terminal and fully automated electronic gaming table directly provides and communicates all required activities and financial details to the central control computer system as set by the Board.

(4) Procedures and controls for ensuring that all functions, duties and responsibilities are segregated and performed in accordance with sound financial practices by qualified personnel.

(5) Procedures and controls for ensuring, through the use of surveillance and security departments, that the licensed facility is secure during normal operations and during any emergencies due to malfunctioning equipment, loss of power, natural disaster or any other cause.

(e) The Board, in consultation with the Department, will review each initial submission made under subsection (a) and determine whether it conforms to the requirements of the act and this subpart and provides adequate and effective controls to insure the integrity of the operation of slot machines and table games at a licensed facility. If the Board determines that the submission is deficient in any area, the Board will provide written notice of the deficiency to the slot machine

licensee and allow the slot machine licensee to submit a revision to its submission. A slot machine licensee is prohibited from commencing slot or table game operations until its system of internal controls is approved by the Board.

(f) If a slot machine licensee intends to make a change or amendment to its system of internal controls, it shall submit the change or amendment electronically to the Bureau of Gaming Operations using the Internal Controls & Table Games Submission Form posted on the Board's web site. The slot machine licensee may implement the change or amendment on the 30th calendar day following the filing of a complete submission unless the slot machine licensee receives written notice tolling the change or amendment in accordance with subsection (g) or written notice from the Board's Executive Director rejecting the change or amendment.

(g) If during the 30-day review period in subsection (f), the Bureau of Gaming Operations preliminarily determines that a procedure in a submission contains an insufficiency likely to negatively affect the integrity of slot or table game operations or the control of gross terminal or gross table game revenue, the Bureau of Gaming Operations, by written notice to the slot machine licensee, will:

(1) Specify the nature of the insufficiency and, when possible, an acceptable alternative procedure.

(2) Direct that the 30 calendar day review period in subsection (f) be tolled and that any internal controls at issue not be implemented until approved under subsection (i).

(h) Examples of submissions that may contain an insufficiency likely to negatively affect the integrity of slot or table game operations or the control of gross terminal or gross table game revenue may include the following:

(1) Submissions that fail to provide an audit trail sufficient to permit the review of gaming operations or the reconstruction of gross terminal or gross table game revenue transactions.

(2) Submissions that fail to provide for the segregation of incompatible functions so that no employee is in a position to both commit an error or perpetrate a fraud and to conceal the error or fraud in the normal course of the employee's duties.

(3) Submissions that do not include forms or other materials referenced in the submission or required under the act or this part.

(4) Submissions that would implement operations or accounting procedures not authorized by the act or this part.

(5) Submissions that are dependent upon the use of equipment or related devices or software not approved by the Board or Board staff, unless the submissions are required as part of an authorized test of the equipment or related device or software.

(i) When a change or amendment has been tolled under subsection (g), the slot machine licensee may submit a revised change or amendment within 30 days of receipt of the written notice from the Bureau of Gaming Operations. The slot machine licensee may implement the revised change or amendment upon receipt of written notice of approval from the Board's Executive Director or on the 30th calendar day following the filing of the revision unless the slot machine licensee receives written notice tolling the change or amendment in accordance with subsection (g) or written notice from the Board's Executive Director rejecting the change or amendment.

(j) A current version of the internal controls of a slot machine licensee shall be maintained in or made available in electronic form through secure computer access to the accounting and surveillance departments of the slot machine licensee and the Board's onsite facilities required under § 465a.8 (relating to licensed facility). The slot machine licensee shall also maintain a copy, either in paper or electronic form, of any superseded internal control procedures for a minimum of 5 years. The original signed two attestations required under subsection (b)(1) and (2) shall also be maintained for a minimum of 5 years. Each page of the internal controls must indicate the date on which it was approved by the Board.

Authority

The provisions of this § 465a.2 amended under 4 Pa.C.S. §§ 1202(b)(9)—(23) and (30), 1205, 1206(f) and (g), 1207, 1208(1)(iii), 1209(b), 1212, 1213, 1321, 1322, 13A02(1)—(6), 13A11, 13A12—13A14, 13A15, 13A25, 13A62(a) and 1802 and Chapter 13.

Source

The provisions of this § 465a.2 amended October 10, 2008, effective October 11, 2008, 38 Pa.B. 5652; amended December 12, 2008, effective December 13, 2008, 38 Pa.B. 6749; amended August 28, 2009, effective August 29, 2009, 39 Pa.B. 5125; amended September 25, 2009, effective September 26, 2009, 39 Pa.B. 5562; amended February 26, 2010, effective February 27, 2010, 40 Pa.B. 1082; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended January 31, 2014, effective February 1, 2014, 44 Pa.B. 599; amended June 12, 2015, effective June 13, 2015, 45 Pa.B. 2829; amended December 15, 2017, effective December 16, 2017, 47 Pa.B. 7563. Immediately preceding text appears at serial pages (362061) to (362062), (377541) to (377542) and (375781).

Cross References

This section cited in 58 Pa. Code § 461a.8 (relating to gaming vouchers); 58 Pa. Code § 461a.9 (relating to coupons utilized in slot machine gaming); 58 Pa. Code § 461a.11 (relating to automated gaming voucher and coupon redemption machines: accounting controls); 58 Pa. Code § 461a.12 (relating to progressive slot machines); 58 Pa. Code § 461a.18 (relating to cashless funds transfer systems); 58 Pa. Code § 461a.19 (relating to remote system access); 58 Pa. Code § 461a.20 (relating to server supported slot systems); 58 Pa. Code § 461a.21 (relating to server based slot systems) 58 Pa. Code § 461a.22 (relating to automated jackpot payout machines); 58 Pa. Code § 465a.1 (relating to accounting records); 58 Pa. Code § 465a.7 (relating to complimentary services or items); 58 Pa. Code § 465a.9 (relating to surveillance system; surveillance department control; surveillance department restriction); 58 Pa. Code § 465a.11 (relating to slot machine licensee's organization; jobs compendium); 58 Pa. Code § 465a.12 (relating to access badges and temporary access credentials); 58 Pa. Code § 465a.14 (relating to security department minimum staffing); 58 Pa. Code § 465a.20 (relating to personal check cashing); 58 Pa. Code § 465a.21 (relating to wire transfers); 58 Pa. Code § 465a.22 (relating to cash equivalents); 58 Pa. Code § 465a.23 (relating to customer deposits); 58 Pa. Code § 465a.25 (relating to counting and recording of slot cash storage boxes and table game drop boxes); 58 Pa. Code § 465a.26 (relating to jackpot and credit meter payouts); 58 Pa. Code § 465a.27 (relating to annuity jackpots); 58 Pa. Code § 465a.28 (relating to merchandise jackpots); 58 Pa. Code § 465a.31 (relating to gaming day); 58 Pa. Code § 465a.33 (relating to access areas containing central control computer equipment); 58 Pa. Code 465a.34 (relating to automated gaming voucher and coupon redemption machine accounting controls); 58 Pa. Code § 603a.5 (relating to Roulette chips; permitted uses, inventory and impressments); 58 Pa. Code § 603a.9 (relating to plaques; issuance and use, denominations and physical characteristics); 58 Pa. Code § 603a.10 (relating to permissible wagering; exchange and redemption of gaming chips and plaques); 58 Pa. Code § 603a.11 (relating to receipt of gaming chips or plaques from a manufacturer or supplier; inventory, security, storage and destruction of chips and plaques); 58 Pa. Code § 603a.13 (relating to dice); 58 Pa. Code § 603a.15 (relating to cards; physical characteristics); 58 Pa. Code § 603a.16 (relating to cards; receipt, storage, inspection and removal from use); 58 Pa. Code § 603a.19 (relating to Pai Gow tiles; receipt, storage, inspection and removal from use); 58 Pa. Code § 603a.20 (relating to Match Play Coupons; physical characteristics and issuance); 58 Pa. Code § 605a.7 (relating to progressive

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table games); 58 Pa. Code § 605a.8 (relating to linked progressive table games); 58 Pa. Code § 625a.1 (relating to Sic Bo table; Sic Bo Shaker; physical characteristics); 58 Pa. Code § 627a.5 (relating to shuffle and cut of the cards); 58 Pa. Code § 633a.7 (relating to procedure for dealing the cards; completion of each round of play); 58 Pa. Code § 639.11 (relating to procedure for completion of each round of play); 58 Pa. Code § 641a.11 (relating to procedures for completion of each round of play); 58 Pa. Code § 643a.11 (relating to procedures for completion of each round of play); 58 Pa. Code § 647a.11 (relating to procedure for completion of each round of play); 58 Pa. Code § 649a.11 (relating to procedures for completion of each round of play); 58 Pa. Code § 651a.5 (relating to shuffle and cut of the cards); 58 Pa. Code § 653a.11 (relating to procedures for completion of each round of play); 58 Pa. Code § 655a.11 (relating to procedures for completion of each round of play); and 58 Pa. Code § 657a.11 (relating to procedures for completion of each round of play).

§ 465a.3. Forms, records and documents.

(a) Information required under this part to be placed on any form, record or document and in stored data shall be recorded on the form, record or document and in stored data in ink or other permanent manner.

(b) Whenever duplicate or triplicate copies are required of a form, record or document, the original, duplicate and triplicate copies must have the name of the department receiving the copy preprinted on the bottom of that copy so as to differentiate between the copies.

(c) Whenever under this part, forms or serial numbers are required to be accounted for and an exception is noted, the exceptions shall be reported in writing to the slot machine licensee's internal audit department within 2 days of identification of the exception or upon its confirmation, whichever occurs earlier.

(d) Unless otherwise specified in this part, all forms, records, documents and stored data required to be prepared, maintained and controlled by this chapter must have the name of the licensed facility and the title of the form, record, document and, for stored data, the date imprinted or preprinted thereon.

(e) Nothing in this chapter shall be construed as prohibiting a slot machine licensee from preparing more copies of any form, record or document than those prescribed by this chapter.

Authority

The provisions of this § 465a.3 amended under 4 Pa.C.S. §§ 1207, 1322, 13A02(1)—(6) and 13A25.

Source

The provisions of this § 465a.3 amended October 10, 2008, effective October 11, 2008, 38 Pa.B. 5652; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585. Immediately preceding text appears at serial page (349923).

§ 465a.4. Standard financial and statistical reports.

(a) Within 30 days of the close of each calendar quarter, slot machine licensees shall file a report which includes a detailed reconciliation of the amount invoiced by the Department to the tax accrual determined by the slot machine licensee's revenue/income audit process. The reconciliation shall be determined by the slot machine licensee on at least a weekly basis and the report must provide the date and the amount of any differences found during the reconciliation process. The report shall be filed electronically with the Bureau of Gaming Operations and the Department's Bureau of Fiscal Management.

(b) The Board may prescribe standard reporting forms and corresponding filing instructions to be used by a slot machine licensee in filing the report referenced in subsection (a).

(c) The Board may request, in writing, financial, statistical or other reports to determine compliance by the slot machine licensee with the act and the Board's regulations.

Authority

The provisions of this § 465a.4 amended under 4 Pa.C.S. §§ 1202(b)(30), 1207 and 1322.

Source

The provisions of this § 465a.4 amended October 10, 2008, effective October 11, 2008, 38 Pa.B. 5652; amended December 12, 2008, effective December 13, 2008, 38 Pa.B. 6749; amended September 25, 2009, effective September 26, 2009, 39 Pa.B. 5562. Immediately preceding text appears at serial pages (345183) to (345184).

§ 465a.5. Annual audit; other reports; suspicious activity and currency transaction reporting.

(a) A slot machine licensee shall, at its own expense, have its annual financial statements audited in accordance with generally accepted auditing standards (when applicable, the Standards of the Public Company Accounting Oversight Board (United States)) by an independent certified public accountant or, when appropriate, an independent registered public accounting firm licensed to practice in this Commonwealth.

(b) The annual financial statements shall be prepared on a comparative basis for the current and prior fiscal year and present the financial position and results of operations in conformity with generally accepted accounting principles in the United States.

(c) One copy of the audited financial statements, together with any management letter or report prepared thereon by the slot machine licensee's independent certified public accountant or independent registered public accounting firm, shall be filed with the Bureau of Licensing not later than 90 days after the end of the licensee's fiscal year.

(d) The slot machine licensee shall file with the Bureau of Licensing one copy of any other reports on internal controls, administrative controls or other matters relative to the slot machine licensee's accounting or operating procedures rendered by the licensee's independent certified public accountant or independent registered public accounting firm within 120 days following the end of the licensee's fiscal year or upon receipt, whichever is earlier.

(e) If the slot machine licensee or its holding company, intermediary or principal entity is publicly held, the slot machine licensee shall submit a notice to the Bureau of Licensing when the licensee, its holding company, intermediary or principal entity files any report, including forms S-1, 8-K, 10-Q, 10-K, proxy or information statements and registration statements with the SEC or other domestic or foreign securities regulatory agency. The notice must include a listing of the reports or forms filed and the date of the filing. The notice to the Bureau of

Licensing shall be made within 10 business days of the time of filing with the applicable Commission or regulatory agency.

(f) If an independent certified public accountant or independent registered public accounting firm that was previously engaged as the principal accountant to audit the slot machine licensee's financial statements resigns or is dismissed as the slot machine licensee's principal accountant, or another independent certified public accountant or independent registered public accounting firm is engaged as principal accountant, the slot machine licensee shall file a report with the Bureau of Licensing within 10 business days following the end of the month in which the event occurs, setting forth the following:

(1) The date of the resignation, dismissal or engagement.

(2) Whether in connection with the audits of the 2 most recent years preceding a resignation, dismissal or engagement there were any disagreements with the former accountant on any matter of accounting principles or practices, financial statement disclosure or auditing scope or procedure, including a description of each disagreement. The disagreements to be reported include those resolved and those not resolved.

(3) Whether the principal accountant's report on the financial statements for either of the past 2 years contained an adverse opinion or disclaimer of opinion or was qualified. The nature of the adverse opinion, disclaimer of opinion or qualification shall be described.

(g) The slot machine licensee shall request the former accountant to furnish to the slot machine licensee a letter addressed to the Bureau of Licensing stating whether he agrees with the statements made by the slot machine licensee in response to subsection (f)(2). The letter shall be filed with the Bureau of Licensing as an exhibit to the report required under subsection (f).

(h) The slot machine licensee shall file with BIE a copy of any Suspicious Activity Report—Casino (SARC) that the slot machine licensee is required to file under 31 CFR 1021.320 (relating to reports by casinos of suspicious transactions). Each SARC shall be filed with BIE concurrently with the Federal filing.

(i) A slot machine licensee, director, officer, employee or agent who reports a suspicious activity under subsection (h) may not notify any individual involved in the suspicious activity that the suspicious activity has been reported.

(j) The slot machine licensee shall file with BIE a copy of any Currency Transaction Report by Casino (CTRC) that the slot machine licensee is required to file under 31 CFR 1021.311 (relating to filing obligations). Each CTRC shall be filed with BIE concurrently with the Federal filing.

(k) Prior to commencing gaming operations, a slot machine licensee shall file with the Bureau of Gaming Operations, in a manner prescribed by the Bureau of Gaming Operations, a copy of the slot machine licensee's compliance program required under 31 CFR Part 1021 (relating to rules for casinos and card clubs). Thereafter, a slot machine licensee shall file with the Bureau of Gaming Operations any amendment or supplement to the compliance program on or before the effective date of the amendment or supplement.

Authority

The provisions of this § 465a.5 amended under 4 Pa.C.S. §§ 1207, 1322, 13A02(1)—(6) and 13A25.

Source

The provisions of this § 465a.5 amended October 10, 2008, effective October 11, 2008, 38 Pa.B. 5652; amended August 28, 2009, effective August 29, 2009, 39 Pa.B. 5126; amended September 25, 2009, effective September 26, 2009, 39 Pa.B. 5562; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585. Immediately preceding text appears at serial pages (349924) and (348415) to (348416).

§ 465a.6. Retention, storage and destruction of books, records and documents.

(a) For the purposes of this section, “books, records and documents” means any book, record or document pertaining to, prepared in or generated by the operation of the licensed facility including all forms, reports, accounting records, ledgers, subsidiary records, computer generated data, internal audit records, correspondence and personnel records required to be generated and maintained under § 451a.1 (relating to recordkeeping generally) or this part. This definition applies without regard to the medium through which the record is generated or maintained, for example, paper, magnetic media or encoded disk.

(b) Original books, records and documents pertaining to the operation of a licensed facility shall be:

(1) Prepared and maintained in a complete, accurate and legible form. Electronic data must be stored in a format that ensures readability, regardless of whether the technology or software that created or maintained it has become obsolete.

(2) Retained in a secure location in the licensed facility that is equipped with a fire suppression system or at another location approved under subsection (d).

(3) Made available for inspection by agents of the Board, the Department and the Pennsylvania State Police during all hours of operation.

(4) Organized and indexed in a manner to provide immediate accessibility to agents of the Board, the Department and the Pennsylvania State Police.

(5) Destroyed only after expiration of the minimum retention period specified in subsection (c), except that the Board may, upon the written request of a slot machine licensee and for good cause shown, permit the destruction at an earlier date.

(c) Original books, records and documents shall be retained by a slot machine licensee for a minimum of 5 years with the following exceptions:

(1) Documentation with regard to gaming vouchers reported to the Board as possibly counterfeit, altered or tampered with should be retained for a minimum of 2 years.

(2) Coupons entitling patrons to cash, match play at a table game or slot machine credits, whether unused, voided or redeemed shall be retained for a minimum of 6 months.

(3) Voided gaming vouchers and gaming vouchers redeemed at a location other than a slot machine, electronic wagering terminal or fully automated electronic gaming table shall be retained for a minimum of 30 days.

(4) Gaming vouchers redeemed at a slot machine, electronic wagering terminal or fully automated electronic gaming table shall be retained for a minimum of 7 days.

(d) A slot machine licensee may request, in writing, that the Board's Executive Director approve a location outside the licensed facility to store original books, records and documents. The request must include the following:

(1) A detailed description of the proposed location, including security and fire suppression systems.

(2) The procedures under which the Board, the Department and the Pennsylvania State Police will be able to gain access to the original books, records and documents retained at the location outside the licensed facility.

(e) A slot machine licensee may request, in writing, that the Board's Executive Director approve a microfilm, microfiche or other suitable media system for the copying and storage of original books, records and documents. The request must include representations regarding:

(1) The processing, preservation and maintenance methods which will be employed to insure that the books, records and documents are available in a format which makes them readily available for review and copying.

(2) The inspection and quality control methods which will be employed to insure that microfilm, microfiche or other media when displayed on a reader/viewer or reproduced on paper exhibits a high degree of legibility and readability.

(3) The availability of a reader/printer for use by the Board, the Department and the Pennsylvania State Police at the licensed facility or other location approved by the Board and the readiness with which the books, records or documents being stored on microfilm, microfiche or other media can be located, read and reproduced.

(4) The availability of a detailed index of all microfilmed, microfiched or other stored data maintained and arranged in a manner to permit the immediate location of any particular book, record or document.

(f) Nothing herein shall be construed as relieving a slot machine licensee from meeting any obligation to prepare or maintain any book, record or document required by any other Federal, State or local governmental body, authority or agency.

Authority

The provisions of this § 465a.6 amended under 4 Pa.C.S. §§ 1202(b)(30), 1207, 13A02(1)—(6), 13A25, 13A62(a) and 1322.

Source

The provisions of this § 465a.6 amended May 22, 2009, effective May 23, 2009, 39 Pa.B. 2588; amended August 28, 2009, effective August 29, 2009, 39 Pa.B. 5125; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended January 31, 2014, effective February 1, 2014, 44 Pa.B. 619; amended December 15, 2017, effective December 16, 2017, 47 Pa.B. 7563. Immediately preceding text appears at serial pages (370350) to (370352).

Cross References

This section cited in 58 Pa. Code § 464a.2 (relating to conduct of a slot machine tournament); 58 Pa. Code § 465a.2 (relating to internal control systems and audit protocols); 58 Pa. Code § 465a.9 (relating to surveillance system; surveillance department control; surveillance department restriction); 58 Pa. Code § 465a.11 (relating to slot machine licensee's organization; jobs compendium); and 58 Pa. Code § 465a.33 (relating to access to areas containing central control computer equipment).

§ 465a.7. Complimentary services or items.

(a) A slot machine licensee shall develop, maintain and apply adequate internal controls over the authorization and issuance of complimentary services or items as defined in § 401a.3 (relating to definitions). The slot machine licensee shall submit for approval in accordance with § 465a.2 (relating to internal control systems and audit protocols) internal controls for complimentary services and items.

(b) The internal controls must include the following:

(1) The procedures by which the slot machine licensee delegates to its employees the authority to approve the issuance of complimentary services or items.

(2) The procedures by which the slot machine licensee establishes, modifies or limits delegated authority, including limits based on relationships between the authorizer and recipient.

(3) A matrix of job titles authorized to issue complimentary services or items and a list of which complimentary services or items or the maximum dollar value of complimentary services or items each job title is authorized to issue.

(c) Complimentary services or items shall be recorded as follows:

(1) A complimentary service or item provided directly to a patron in the normal course of a slot machine licensee's business shall be recorded at an amount based upon the full retail price normally charged for the service or item by the licensee.

(2) A complimentary service or item not offered for sale to a patron in the normal course of a slot machine licensee's business but provided directly by the slot machine licensee shall be recorded at an amount based upon the actual cost to the slot machine licensee of providing the service or item.

(3) A complimentary service or item provided directly or indirectly to a patron on behalf of a slot machine licensee by a third party not affiliated with

the slot machine licensee shall be recorded at an amount based upon the actual cost to the slot machine licensee of having the third party provide the service or item.

(4) A complimentary service or item provided directly or indirectly to a patron on behalf of a slot machine licensee by a third party who is affiliated with the slot machine licensee shall be recorded by the slot machine licensee in accordance with this section as if the affiliated third party were the licensee.

(d) If a slot machine licensee provides complimentary cash and noncash gifts recorded at a value of \$10,000 or more to a patron and the patron's guests within a consecutive 5-day period, the slot machine licensee shall record the reason why the gifts were provided, maintain the records and make them available for inspection by the Board and the Pennsylvania State Police. When the reason complimentary cash and noncash gifts were provided involves the patron's player rating, that rating must be based upon an evaluation of the amount and frequency of play by the patron as recorded in the slot machine licensee's player rating system. For the purposes of this section, "guest" means any individual who receives complimentary services or items as a result of his relationship with the patron receiving the primary complimentary services or items.

(e) A slot machine licensee shall submit to the Bureau of Casino Compliance a report listing each patron who, under subsection (d), received \$10,000 or more in complimentary cash and noncash gifts within a consecutive 5-day period ending during the preceding month. The report shall be filed by the last day of the month following the month in which the complimentary cash and noncash gifts or reimbursements were issued and include the total amount of complimentary cash or noncash gifts or reimbursements provided to each patron broken down into categories for food and beverage, hotel accommodations, travel, reimbursements and other services.

(f) Notwithstanding the requirements in subsections (a)—(e), a slot machine licensee is not required to submit internal controls for the nondiscretionary awarding of the following:

- (1) Points to patrons who are members of the licensee's player rewards program.
- (2) Promotional slots play.

Authority

The provisions of this § 465a.7 amended under 4 Pa.C.S. §§ 1207, 1322, 13A02(1)—(6) and 13A25.

Source

The provisions of this § 465a.7 amended October 10, 2008, effective October 11, 2008, 38 Pa.B. 5652; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585. Immediately preceding text appears at serial pages (350692) and (348419) to (348420).

Cross References

This section cited in 58 Pa. Code § 461a.7 (relating to slot machine minimum design standards).

§ 465a.8. Licensed facility.

(a) A licensed facility must be equipped with a surveillance system configured and approved in accordance with §§ 465a.9 and 465a.10 (relating to surveillance system; surveillance department control; surveillance department restrictions; and surveillance system recording formats). Except as otherwise provided in subsection (d)(1), the surveillance system shall be under the exclusive control of the surveillance department.

(b) Restricted areas within the licensed facility shall be designated for the repair and storage of slot machines, table games and table game equipment. Areas approved and utilized within the licensed facility for slot machine table game and table game equipment repair and storage shall be covered by the approved surveillance system.

(c) Emergency exits from the gaming floor and any other doors designated by the Bureau of Casino Compliance must be equipped with an audible alarm system that produces a loud, distinguishable warning sound, discernible in the vicinity of the exit, whenever the emergency door is opened. The alarm system shall be designed to require deactivation and reset by means of a key. The key is to be maintained by the security department.

(d) Slot machine licensees shall, in accordance with section 1207(13) of the act (relating to regulatory authority of board), provide for and maintain onsite facilities for use by the Board, the Department and the Pennsylvania State Police for the purpose of carrying out their respective responsibilities (collectively referred to as the “onsite facilities”). The onsite facilities must be located in the same building as the gaming floor, in locations approved by the Bureau of Casino Compliance and include suitable office space, equipment, partitions and supplies to meet the continuing needs of the Board, the Department and the Pennsylvania State Police at the facility including the following:

(1) A surveillance system monitoring room, located within the onsite facilities, with full camera control capability for the reception of transmissions generated by each camera approved for use as part of the slot machine licensee’s surveillance system. Full camera control capability includes the ability to override the camera control capability of the slot machine licensee’s surveillance system.

(2) An area for the detention of individuals detained or taken into custody by the Pennsylvania State Police. The detention area must be located within the onsite facilities and consist of a bench or other apparatus which is permanently affixed to the wall or floor to which the individual in custody can be handcuffed with as little discomfort to that individual as is possible under the circumstances.

(3) A fingerprinting and photographing facility for use by the Pennsylvania State Police located in conformance with and outfitted in compliance with specifications established by the Pennsylvania State Police.

(4) Adequate computer, telephone and copying capability to meet the Board's, the Department's and the Pennsylvania State Police's continuing data processing and related needs.

(5) Direct telephone connections between the onsite facilities and the slot machine licensee's surveillance monitoring room and its security department.

(6) Computer terminals providing read only access to any computerized slot monitoring system or casino management system, or both, used by the slot machine licensee in its gaming operations.

(7) An area for the operation and storage of the central control computer equipment which must be equipped with an uninterruptible power supply.

(8) Signs indicating the location of the Board's office. The size, location and design of the signs must be approved by the Bureau of Casino Compliance.

(9) Current copies of the operational blueprints and camera lists as required under § 465a.9(c)(6)(v)(A) and (B).

(e) Keys or alternative locking mechanisms securing access to the onsite facilities shall be under the exclusive custody and control of the Bureau of Casino Compliance, the Department or the Pennsylvania State Police respectively.

(f) Slot machine licensees shall provide additional accommodations within the licensed facility upon receipt of a written request from the Board, the Department or the Pennsylvania State Police to accommodate periodic audit, compliance or investigative reviews at the licensed facility.

(g) Slot machine licensees shall provide adequate parking spaces adjacent or proximate to the onsite facilities, clearly marked for the Board, the Department or Pennsylvania State Police use only.

(h) Slot machine licensees shall equip licensed facilities with communication systems necessary to insure communication between the licensed facility and the Board, the Department, the Pennsylvania State Police, any applicable local law enforcement agency or emergency first responders.

Authority

The provisions of this § 465a.8 amended under 4 Pa.C.S. §§ 1202(b)(30), 1207, 1321, 1322, 13A02(1)—(6) and 13A25.

Source

The provisions of this § 465a.8 amended October 10, 2008, effective October 11, 2008, 38 Pa.B. 5652; amended December 12, 2008, effective December 13, 2008, 38 Pa.B. 6749; amended September 25, 2009, effective September 26, 2009, 39 Pa.B. 5562; amended February 26, 2010, effective February 27, 2010, 40 Pa.B. 1082; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585. Immediately preceding text appears at serial pages (348420) and (349925).

Cross References

This section cited in 58 Pa. Code § 463a.5 (relating to slot machine, electronic wagering terminal and fully automated electronic gaming table master lists); and 58 Pa. Code § 465a.2 (relating to internal control systems and audit protocols).

§ 465a.9. Surveillance system; surveillance department control; surveillance department restrictions.

(a) The surveillance system of a licensed facility must comply with 18 Pa.C.S. Chapter 57 (relating to Wiretapping and Electronic Surveillance Control Act) and section 1522 of the act (relating to interception of oral communications) and shall be submitted to and approved by the Board under § 465a.2 (relating to internal control systems and audit protocols). The Bureau of Casino Compliance will review surveillance system specifications, inclusive of the camera configuration and any changes or modifications to the system specifications, to determine whether the system provides the adequate and effective surveillance of activities inside and outside the licensed facility mandated by section 1207(11) of the act (relating to regulatory authority of board). A slot machine licensee may not commence gaming operations until its surveillance system is approved by the Board.

(b) A slot machine licensee shall at all times provide the Board and the Pennsylvania State Police with access to its surveillance system and its transmissions. Each member of its surveillance department shall comply with any request made by the Board or the Pennsylvania State Police to:

(1) Use, as necessary, any surveillance monitoring room in the licensed facility.

(2) Display on the monitors in the monitoring room any event capable of being monitored by the surveillance system.

(3) Make a video and, if applicable, audio recording of, and take a still photograph of, any event capable of being monitored by the surveillance system.

(i) The slot machine licensee shall preserve and store each recording or photograph in accordance with the directions of the Board or the Pennsylvania State Police.

(ii) The Board and the Pennsylvania State Police shall have unfettered access to each recording or photograph. At the request of the Board or Pennsylvania State Police, access to a recording or photograph may be denied to a particular employee or department of the slot machine licensee.

(c) The surveillance system required in this section must include:

(1) Light sensitive cameras with lenses of sufficient magnification and 360° pan, tilt and zoom capabilities, without camera stops, to allow the operator to clandestinely monitor in detail and from various vantage points the following:

(i) The gaming conducted at the slot machines, electronic wagering terminals and fully automated electronic gaming tables in the licensed facility with sufficient clarity to read information on a reel strip or electronic table layout and the credit meter.

(ii) The gaming conducted at each table game that is not a fully automated electronic gaming table or an electronic wagering terminal in the licensed facility with sufficient clarity to identify patrons and dealers and sufficient coverage to simultaneously view the table and determine the configuration of wagers, card, dice and tile values and game outcomes.

(iii) The operations conducted at and in the main cage and any satellite cage.

(iv) The operations conducted at automated bill breaker machines, automated gaming voucher and coupon redemption machines, automated jackpot payout machines and automated teller machines.

(v) The count processes conducted in the count room.

(vi) The movement of cash, gaming chips and plaques, tip boxes, table game drop boxes, Bad Beat or High Hand Jackpot payout boxes and slot cash storage boxes within the licensed facility.

(vii) The entrances and exits to the licensed facility, the gaming floor and the count room.

(viii) Any other activity or areas designated by the Bureau of Casino Compliance.

(2) The following number of cameras dedicated to table games that are not electronic wagering terminals or fully automated electronic gaming tables:

(i) Except as provided in subparagraphs (ii)—(vii), at least one stationary camera for each table game offered by the licensed facility.

(ii) At least two stationary cameras for each Craps and Three Dice Football table, with one camera covering each end of the table.

(iii) At least two stationary cameras for each Baccarat table, with one camera covering each end of the table.

(iv) At least two stationary cameras for each Roulette table, with one camera covering the wheel and one camera covering the table layout.

(v) At least two stationary cameras for each Big Six Wheel, with one camera covering the wheel and one camera covering the table layout.

(vi) At least two stationary cameras for each Props & Hops table with one camera covering the designated circle on the table layout for the placement of the uncovered shaker and one camera covering the table layout.

(vii) At least two stationary cameras for each High Roll Dice table with one camera covering the throw box and one camera covering the remainder of the table.

(3) Additional cameras as required by the Bureau of Casino Compliance. The additional cameras may include cameras with 360° pan, tilt and zoom capabilities.

(4) Video recording equipment which, at a minimum, must:

(i) Permit the preservation and viewing of a clear copy of the transmission produced by any camera connected to the surveillance system.

(ii) Be capable of superimposing the time and date of the transmission on each recording made by the video recording equipment.

(iii) Enable the operator to identify and locate, through the use of a meter, counter or other device or method, a particular event which was recorded.

(5) Recording media which shall be replaced immediately upon the manifestation of significant degradation in the quality of the images or sound, if applicable, recorded thereon. If videotape is utilized, it may be used for no more than 1 year.

(6) One or more monitoring rooms in the licensed facility which shall be staffed by employees of the slot machine licensee's surveillance department who shall at all times monitor the activities enumerated in paragraphs (1), (2) and (3). Each monitoring room shall be equipped with or serviced by:

(i) A communication system capable of monitoring all of the licensed facility's security department activities.

(ii) Computer terminals which provide read only access to any computerized slot monitoring system or casino management system, or both, used by the slot machine licensee in its gaming operation.

(iii) Connections to all casino alarm systems. The systems must provide a visible, audible or combination signal. A robbery, fire or emergency alarm must be perceptually distinguishable from all nonemergency alarms.

(iv) An updated photo library, consisting of photographs that are no more than 4 years old, of all current employees of the slot machine licensee and a separate photo library that contains the photographs of individuals who are on the Board's self-exclusion or exclusion list. These photo libraries shall be available to the Board and the Pennsylvania State Police.

(v) Current copies of the following:

(A) An operational blueprint of the gaming floor and all areas of the licensed facility with a camera overlay.

(B) A complete camera list, in a searchable format, which includes the following:

(I) Camera numbers.

(II) A description of the area under surveillance with each camera.

(III) The type of camera such as stationary or a camera with pan, tilt and zoom capabilities.

(IV) The resolution or CIF ratio.

(V) The required retention period for each camera.

(C) Operating procedures addressing the evacuation of the licensed facility in the event of fire or other emergency.

(D) A contingency plan addressing a planned shutdown of the surveillance system and the contingency plan required under subsection (g) addressing any equipment failure that affects the slot machine licensee's monitoring room together with an emergency contact listing with telephone numbers for persons required to be notified of those events.

(7) An emergency power system, tested at intervals not to exceed 6 months, which can be used to operate the surveillance system in the event of a power failure.

(8) A preventive maintenance program, implemented by technicians assigned to the surveillance department, which insures that the entire surveillance system is maintained in proper working order and that the covers over the cameras are cleaned in accordance with a routine maintenance schedule.

(d) Areas subject to camera coverage under this section must contain continuous lighting that is of sufficient quality to produce clear video recordings and still picture reproductions.

(e) A slot machine licensee's surveillance system must continuously record transmissions from cameras used to observe the following locations, individuals, activities and transactions:

(1) Each transaction conducted on the gaming floor or at a main cage or satellite cage. Coverage of the transaction must include, but not be limited to, recording transmissions from cameras used to observe the face of each patron transacting business at a main cage or satellite cage from the direction of the cashier.

(2) The gaming conducted at all slot machines and table games.

(3) The main bank, vault and other areas specified by the Board.

(4) The collection of tip boxes, slot cash storage boxes and table game drop boxes.

(5) The distribution of cards, dice and tiles to gaming pits.

(6) The inspection of cards, dice and tiles in the gaming pits and at the gaming tables.

(7) The retrieval of cards, dice and tiles from the gaming pits at the end of the gaming day and the delivery of the cards, dice and tiles to the location designated and approved by the Bureau of Casino Compliance in accordance with § 601a.10(f) (relating to approval of table game layouts, signage and equipment) for the inspection, cancellation, destruction or, if applicable, packaging for reuse.

(8) The count procedures conducted in the count room.

(9) Any armored car collection or delivery.

(10) The operations conducted at automated bill breaker machines, automated gaming voucher and coupon redemption machines, automated jackpot payout machines and automated teller machines.

(11) The entrances and exits to the licensed facility, the gaming floor, the main bank, the vault, the main cage and any satellite cage and the count room.

(f) Slot machine licensees shall maintain a surveillance log of all surveillance activities in the monitoring room. The log shall be maintained by monitoring room personnel in a book with bound numbered pages that cannot be readily removed or shall be maintained in an electronic format which has an audit function that prevents modification of information after the information has been entered into the system. The log shall be stored and retained in accordance with § 465a.6 (relating to retention, storage and destruction of books, records and documents). The following information shall be recorded in a surveillance log:

- (1) The date and time each surveillance event commenced.
 - (2) The name and Board-issued credential number of each individual who initiates, performs or supervises the surveillance.
 - (3) When suspicious activity, suspected or alleged regulatory violations or suspected or alleged criminal activity is involved, the reason for the surveillance, including the name, if known, alias or description of each individual being monitored and a brief description of the activity in which the individual being monitoring is engaged. This entry should also include a notation of the reading on the meter, counter or device specified in subsection (c)(4)(iii) that identifies the point on the video recording at which the event was recorded.
 - (4) The time at which each video recording is commenced and terminated, if different than when surveillance commenced or terminated.
 - (5) Time each surveillance event terminated.
 - (6) A summary of the results of the surveillance.
 - (7) A complete description of the time, date and, if known, the cause of any equipment or camera malfunctions, and the time at which the security department was apprised of the malfunction in accordance with the casino licensee's internal controls submitted under § 465a.2(d)(5).
- (g) In accordance with § 465a.2(d)(5), each slot machine licensee shall have a contingency plan to be utilized whenever there is an equipment failure that affects the slot machine licensee's monitoring room or other aspect of its surveillance system or operations.
- (h) The casino compliance representatives at the licensed facility shall be notified within 30 minutes of any incident of equipment failure as noted in subsection (f) including the time and cause of the malfunction, if known, the time the slot machine licensee's security department was notified of the malfunction and the nature of communications with the security department relating to the malfunction.
- (i) The casino compliance supervisor at the licensed facility shall be notified at least 48 hours in advance of the following:
- (1) Relocation of an approved camera.
 - (2) Change in an approved camera's specifications.
 - (3) Change in lighting for areas required to be subject to camera coverage.
 - (4) Addition or change to the surveillance system.
- (j) The surveillance recordings required under subsection (e)(1), (8), (9), (10) and (11) shall be retained for a minimum of 30 days. All other surveillance recordings shall be retained for a minimum of 7 days. Surveillance recordings shall be made available for review upon request by the Board or the Pennsylvania State Police.
- (k) Any recording determined by the Board or the Pennsylvania State Police as being of potential evidentiary value shall be stored in accordance with Board or Pennsylvania State Police directives or turned over to the Board or the Pennsylvania State Police upon request.

(l) A surveillance employee assigned to the monitoring room shall work from the employee's own monitoring station.

(m) In accordance with § 465a.11(b)(1) (relating to slot machine licensee's organization; jobs compendium), each slot machine licensee shall submit for Board approval an initial minimum surveillance room staffing plan. The surveillance room staffing plan must provide for the continuous monitoring of activities inside and outside the licensed facility taking into account the size and layout of the licensed facility as well as the number and location of slot machines and table games on the gaming floor. A slot machine licensee may not implement a change to its surveillance room staffing plan without prior approval of the Board's Executive Director in accordance with § 601a.10(a).

(n) A slot machine licensee's surveillance department employees shall be independent of all other departments.

(o) A present or former surveillance department employee may not accept employment as a key employee or gaming employee with the same slot machine licensee for whom he was previously employed as a surveillance department employee unless 1 year has passed since the former surveillance department employee worked in the surveillance department. The present or former surveillance department employee may file a written petition as required under § 493a.4 (relating to petitions generally) requesting the Board to waive this restriction and permit the employment of a present or former surveillance department employee in a particular position. The Board may grant or deny the waiver upon consideration of the following factors:

(1) Whether the former surveillance department employee will be employed in a department or area of operation that the surveillance department monitors.

(2) Whether the surveillance and security systems of the slot machine licensee will be jeopardized or compromised by the employment of the former surveillance department employee in the particular position.

(3) Whether the former surveillance department employee's knowledge of the procedures of the surveillance department would facilitate the commission by any individual of irregularities or illegal acts or the concealment of any actions or errors.

(p) Entrances to the surveillance monitoring rooms may not be visible from the gaming floor. An individual entering the surveillance monitoring room who is not an employee of the surveillance department assigned to the monitoring room on the particular shift corresponding to the time of entry shall sign a monitoring room entry log upon entering the monitoring room. The monitoring room entry log shall be:

(1) Maintained in the monitoring room by monitoring room personnel and retained in accordance with § 465a.6.

(2) Maintained in a book with bound numbered pages that cannot be readily removed or shall be maintained in an electronic format which has an

audit function that prevents modification of information after the information has been entered into the system.

(3) Signed by each individual entering the monitoring room, with each entry containing the following:

- (i) The date and time of each entry.
- (ii) The entering individual's name, Board-issued credential number and department or affiliation.
- (iii) The reason for entering the monitoring room.
- (iv) The name of the individual authorizing the entry into the monitoring room.
- (v) The date and time of exiting the monitoring room.

(4) Made available for inspection by the Board and the Pennsylvania State Police.

Authority

The provisions of this § 465a.9 amended under 4 Pa.C.S. §§ 1202(b)(30), 1207, 13A02(1)—(7), 13A23(a), 13A25, 13A62(a), 1321 and 1322.

Source

The provisions of this § 465a.9 amended October 10, 2008, effective October 11, 2008, 38 Pa.B. 5652; amended December 12, 2008, effective December 13, 2008, 38 Pa.B. 6749; amended September 25, 2009, effective September 26, 2009, 39 Pa.B. 5562; amended February 26, 2010, effective February 27, 2010, 40 Pa.B. 1082; amended May 14, 2010, effective May 15, 2010, 40 Pa.B. 2535; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended January 31, 2014, effective February 1, 2014, 44 Pa.B. 619; amended August 26, 2016, effective August 27, 2016, 46 Pa.B. 5540; amended December 15, 2017, effective December 16, 2017, 47 Pa.B. 7563. Immediately preceding text appears at serial pages (382914) to (382916), (370359) to (370360) and (382917) to (382918).

Cross References

This section cited in 58 Pa. Code § 461a.10 (relating to automated gaming voucher and coupon redemption machines); 58 Pa. Code § 465a.8 (relating to licensed facility); 58 Pa. Code § 465a.11 (relating to slot machine licensee's organization; jobs compendium); 58 Pa. Code § 465a.25 (relating to counting and recording of slot cash storage boxes and table game drop boxes); 58 Pa. Code § 465b.1 (relating to digital video recording formats); and 58 Pa. Code § 467a.1 (relating to gaming floor plan).

§ 465a.10. Surveillance system recording formats.

(a) A slot machine licensee may utilize either an analog or digital video recording format provided the format selected incorporates current technology with regard to secure system access, video cameras, monitors, recorders, video printers, switches, selectors and other ancillary equipment and provides for surveillance of activities inside and outside the licensed facility.

(b) Digital video recording systems utilized by a slot machine licensee must be in compliance with the technical standards on digital video recording systems under § 465b.1 (relating to digital video recording formats).

Cross References

This section cited in 58 Pa. Code § 465a.8 (relating to licensed facility).

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§ 465a.11. Slot machine licensee's organization; jobs compendium.

(a) Slot machine licensees' systems of internal controls must, in accordance with sections 1322 and 13A25(c) of the act (relating to slot machine accounting controls and audits; and table game accounting controls and audit protocols) and § 465a.2 (relating to internal control systems and audit protocols), include organization charts depicting segregation of functions and responsibilities and descriptions of the duties and responsibilities for each position shown on each organization chart. Slot machine licensees shall be permitted, except as otherwise provided in this section, to tailor organizational structures to meet the needs or policies of a particular management philosophy. A slot machine licensee's organization charts must provide for:

(1) A system of personnel and chain of command which permits management and supervisory personnel to be held accountable for actions or omissions within their areas of responsibility.

(2) The segregation of incompatible functions, duties and responsibilities so that no employee is in a position to both commit an error or perpetrate a fraud and to conceal the error or fraud in the normal course of the employee's duties.

(3) The performance of all functions, duties and responsibilities in accordance with sound financial practices by qualified personnel.

(4) The areas of responsibility which are not so extensive as to be impractical for an individual to monitor.

(5) A chief executive officer. For the purposes of this section, a "chief executive officer" means the individual located at the licensed facility who is ultimately responsible for the daily conduct of the slot machine licensee's gaming business regardless of the form of business association of the slot machine licensee or the particular title which that individual or any other individual holds. A slot machine licensee's organization chart may also include an assistant chief executive officer who is responsible for the daily conduct of the slot machine licensee's gaming business during the chief executive officer's absence. However, the assistant chief executive officer may not be the department head of one of the departments required under subsection (b). Each supervisor of a department required under subsection (b) shall report directly to the chief executive officer or assistant chief executive officer of the slot machine licensee regarding administrative matters and daily operations. The slot machine licensee's organization charts must designate which positions, in the absence of the chief executive officer and the assistant chief executive officer, shall be designated as having responsibility for the daily conduct of the slot machine licensee's gaming business.

(b) A slot machine licensee's system of internal controls must also include, at a minimum, the following departments and supervisory positions, each of which must be categorized as mandatory and must cooperate with, yet perform independently of, other mandatory departments and supervisory positions of the slot machine licensee. Notwithstanding the foregoing, a department or supervisor that

is not required or authorized by this section may operate under or in conjunction with a mandatory department or supervisor provided the organizational structure is consistent with the standards contained within the act and subsection (a). Mandatory departments and supervisory positions are:

(1) A surveillance department supervised by an individual located at the licensed facility who functions, for regulatory purposes, as the director of surveillance. The director of surveillance shall be subject to the reporting requirements specified in subsection (c) and shall be licensed as a key employee. The surveillance department shall be responsible for the following:

(i) The clandestine surveillance of the operation of, and gaming conducted at, slot machines and table games.

(ii) The clandestine surveillance of the operation of automated bill breaker, gaming voucher, coupon redemption and jackpot payout machines.

(iii) The clandestine surveillance of the operation of the main cage, Poker room cage and any satellite cage.

(iv) The video recording of activities in the count room and the video recording of movements of cash, slot cash storage boxes and table game drop boxes.

(v) The clandestine surveillance of areas used for the storage of gaming chips, plaques, cards, dice, Sic Bo shakers, Roulette balls, Pai Gow tiles and other equipment used to conduct table games.

(vi) The detection of cheating, theft, embezzlement and other illegal activities within the licensed facility.

(vii) The detection of the presence of any individual who may or is required to be excluded or ejected from the licensed facility under section 1514 or 1515 of the act (relating to regulation requiring exclusion or ejection of certain persons; and repeat offenders excludable from licensed gaming facility) and Chapters 511a and 513a (relating to persons required to be excluded; and underage gaming), or is self excluded from the gaming floor and gaming activities at all licensed facilities under section 1516 of the act (relating to list of persons self-excluded from gaming activities) and Chapter 503a (relating to self-exclusion).

(viii) The video recording of those locations, individuals, activities or transactions required under § 465a.9(e) (relating to surveillance system; surveillance department control; surveillance department restrictions) and of any illegal and unusual activities monitored by the surveillance department.

(ix) The provision of immediate notice to supervisors designated in the internal controls, the casino compliance representatives and the Pennsylvania State Police at the licensed facility upon detecting, and also upon commencing video recording of, an individual who is engaging in or attempting to engage in, or who is suspected of cheating, theft, embezzlement, a violation of this part or other illegal activities, including an individual who is required to be excluded or ejected from the licensed facility under section 1514 of the act, who may or is required to be excluded or ejected from the licensed

facility under section 1514 or 1515 of the act and Chapter 511a or 513a or is self-excluded from the gaming floor and gaming activities at all licensed facilities under section 1516 of the act and Chapter 503a.

(x) The clandestine surveillance of any slot computer system or equipment designated for coverage by the Board in conjunction with the approval of a slot machine system, including a slot monitoring system, electronic gaming table system, casino management system, wide area progressive system, gaming voucher system and any communication equipment with the central control computer.

(xi) The installation, maintenance and repair of the surveillance system equipment used by the surveillance department.

(xii) The submission of a surveillance staffing plan as part of the slot machine licensee's internal controls detailing the minimum staffing and the manner in which the responsibilities of this subsection shall be met.

(2) An internal audit department supervised by an individual located at the licensed facility who functions, for regulatory purposes, as the director of internal audit. The director of internal audit shall be subject to the reporting requirements specified in subsection (c) and licensed as a key employee.

(3) An information technology department supervised by an individual located at the licensed facility who functions, for regulatory purposes, as the information technology director. The information technology director shall be licensed as a key employee and be responsible for the quality, reliability and accuracy of all slot computer systems used by the slot machine licensee regardless of whether data, software or systems are located within or outside the licensed facility. The information technology director shall further be responsible for the security and physical integrity of, and the accountability and maintenance of, the following:

(i) Access codes and other security controls used to insure limited access to computer software and the system wide reliability of data.

(ii) Computer tapes, disks or other electronic storage media containing data relevant to the slot machine licensee's operations.

(iii) Computer hardware, communications equipment and software used in the conduct of the slot machine licensee's operations.

(iv) The computerized slot monitoring system utilized by the slot machine licensee. The information technology director shall ensure that:

(A) Slot machines, electronic wagering terminals and fully automated electronic gaming tables located on the gaming floor are connected electronically to the slot machine licensee's computerized slot monitoring system and to the Commonwealth's central control computer in accordance with section 1323 of the act (relating to central control computer system).

(B) The security features of the computerized slot monitoring system prohibit, at a minimum, the deletion, creation or modification of any data unless a permanent record is created that sets forth:

(I) The original information.

- (II) Modifications to the original information.
- (III) The identity of the employee making the modification.
- (IV) The identity of each employee authorizing the modification, if applicable.

(C) Computerized jackpot payout systems utilized by the slot machine licensee are configured to require that any modification of \$100 or more to the original amount recorded on a computerized jackpot payout or system override is authorized by two slot operations department employees, one of whom is in a position of greater authority than the individual preparing the jackpot payout.

(D) Procedures and controls are in place that define and limit interaction between both the slot operations department and finance department and the computerized slot monitoring system including access to system menus, the establishment of slot machine, electronic wagering terminal and fully automated electronic gaming table profile parameters, and the ability of each department to access, delete, create or modify information contained in the slot monitoring system.

(4) Except as provided in paragraphs (8) and (9), a slot operations department supervised by an individual located at the licensed facility who functions, for regulatory purposes, as the director of slot operations. The director of slot operations shall be licensed as a key employee and be responsible for the operation of, and conduct of gaming at, slot machines and fully automated electronic gaming tables within the licensed facility.

(5) A security department supervised by an individual located at the licensed facility who functions, for regulatory purposes, as the director of security. The director of the security department shall be licensed as a key employee and be responsible for the overall security of the licensed facility including the following:

- (i) The physical safety of individuals.
- (ii) The physical safeguarding of assets.
- (iii) The protection of the property of both the patron and the slot machine licensee from illegal activity.
- (iv) The design, implementation and enforcement of a system for the issuance of temporary access credentials.

(v) The recording of any unusual incidents within the licensed facility in which the security department is involved. Each incident shall be recorded by security department personnel in a book with bound numbered pages that cannot be readily removed or be maintained in an electronic format which has an audit function that prevents modification of information after the information has been entered into the system. The log shall be stored and retained in accordance with § 465a.6 (relating to retention, storage and destruction of books, records and documents). The following information shall be recorded:

- (A) The assignment number of the incident.

- (B) The date and time.
- (C) The nature of the incident.
- (D) The individuals involved in the incident.
- (E) The security department employees assigned to cover the incident.

(vi) The identification and removal of any individual who is required to be excluded or ejected from the licensed facility under section 1514 of the act, who may be excluded or ejected from the licensed facility under section 1515 of the act or is self excluded from the gaming floor and gaming activities at all licensed facilities under section 1516 of the act.

(vii) The performance of the duties and responsibilities required under the system of internal controls submitted and approved under § 465a.2.

(viii) The provision of immediate notice to the Pennsylvania State Police upon detecting the presence in the licensed facility of an individual possessing a weapon in violation of § 465a.13 (relating to possession of weapons within a licensed facility).

(ix) The provision of immediate notice to supervisors designated in the internal controls and the casino compliance representatives and the Pennsylvania State Police at the licensed facility upon detecting any individual who is engaging in or attempting to engage in, or who is suspected of cheating, theft, embezzlement, a violation of this part or other illegal activities.

(x) The provision of immediate notice to supervisors designated in the internal controls and the casino compliance representatives and the Pennsylvania State Police at the licensed facility upon detecting any individual who is required to be excluded or ejected from the licensed facility under section 1514 or 1515 of the act and Chapter 511a or 513a or is self-excluded from the gaming floor and gaming activities at all licensed facilities under section 1516 of the act and Chapter 503a.

(6) A finance department supervised by an individual located at the licensed facility who functions, for regulatory purposes, as the director of finance. The director of finance shall be licensed as a key employee and responsible for all finance functions including the preparation and control of records and data, the control of stored data, the control of unused forms, the accounting for and comparison of operational data and forms, and the control and supervision of the inventory of gaming chips, the issuance of credit, the main cage, Poker room cage, satellite cages and the count room. The employees responsible for the issuance of credit shall be in a reporting line to the director of finance. The supervisor of the cage shall, on all shifts, be permitted as a gaming employee.

(7) Except as provided in paragraphs (8) and (9), a certificate holder shall have a table games department supervised by an individual located at the licensed facility who functions, for regulatory purposes, as the director of table games. The director of table games shall be licensed as a key employee and responsible for all table game functions including the inventory of table game equipment.

(8) In lieu of separate slot and table games departments, a slot machine licensee may elect to have a gaming department supervised by an individual located at the licensed facility who functions, for regulatory purposes, as the director of gaming. The director of gaming shall be licensed as a key employee and responsible for the overall operation and conduct of gaming at slot machines and table games within the licensed facility. A slot machine licensee may also elect to have a director of table games and a director of slot operations who report to the director of gaming.

(9) Unless otherwise specified by the certificate holder, for the conduct of gaming on electronic wagering terminals and hybrid gaming tables, the slot operations department shall supervise the electronic wagering terminals and the table games department shall supervise the conduct of gaming at hybrid gaming tables as provided in paragraphs (4) and (7).

(c) The supervisors of the surveillance and internal audit departments required under subsection (b) shall report directly to one of the following persons or entities regarding matters of policy, purpose, responsibility and authority, which persons or entities shall also control the hiring, termination and salary of each supervisor:

(1) The independent audit committee of the slot machine licensee's board of directors.

(2) The independent audit committee of the board of directors of any holding or intermediary company of the slot machine licensee which has authority to direct the operations of the slot machine licensee.

(3) The senior surveillance or internal audit executives of any holding or intermediate company included in paragraph (2) if the most senior executive in the reporting line reports directly to the independent audit committee of the board of directors of the holding or intermediary company.

(4) For slot machine licensees or holding companies that are not corporate entities, the noncorporate equivalent of any of the persons or entities listed in paragraphs (1)—(3).

(5) An independent audit committee or other individuals designated by the Board in the slot machine licensee's Statement of Conditions under § 423a.6 (relating to license, permit, registration and certification issuance and statement of conditions).

(d) The slot machine licensee's personnel shall be trained in all policies, procedures and internal controls relevant to each employee's individual function. Special instructional programs shall be developed by the slot machine licensee in addition to any on-the-job instruction sufficient to enable all members of the departments required under this section to be thoroughly conversant in, and knowledgeable of, the required manner of performance of all transactions relating to their functions.

(e) Notwithstanding other provisions to the contrary, a slot machine licensee may designate and assign more than one individual to serve jointly as the supervisor of a department required under this section. Each individual approved to serve as a joint supervisor of a mandatory department shall be located at the licensed facility and shall be individually and jointly accountable and responsible for the operations of that department.

(f) In the event of a vacancy in the chief executive officer position or any mandatory department supervisory position required under subsection (b), the following apply:

(1) The slot machine licensee shall notify the Board within 5 days from the date of vacancy. The notice must be in writing and indicate the following information:

- (i) The vacant position.
- (ii) The date on which the position will become or became vacant.
- (iii) The date on which it is anticipated that the vacancy will be filled on a permanent basis.

(2) The slot machine licensee shall designate an individual to assume the duties and responsibilities of the vacant position within 30 days after the date of vacancy. The individual may assume the duties and responsibilities of the vacant position on a temporary basis, provided that:

- (i) The individual does not also function as the department supervisor for any other mandatory department required under this section.
- (ii) The individual's areas of responsibility will not be so extensive as to be impractical for one individual to monitor.
- (iii) The position shall be filled on a permanent basis within 120 days of the original date of vacancy.

(3) Within 5 days of filling a vacancy under paragraph (2), the slot machine licensee shall notify the Board thereof. The notice must be in writing and indicate the following:

- (i) The position.
- (ii) The name of the individual designated.
- (iii) The date that the vacancy was filled.
- (iv) An indication of whether the position has been filled on a temporary or permanent basis.

(4) The notices required in this subsection shall be directed to the Bureau of Licensing.

(g) Each slot machine licensee shall prepare and maintain a jobs compendium consistent with the requirements of this section detailing job descriptions and lines of authority for all personnel employed by the slot machine licensee. The jobs compendium shall be submitted to the Board for approval as part of the slot machine licensee's internal controls required under § 465a.2 at least 90 days prior to the commencement of slot or table game operations. The Board will review the jobs compendium to determine whether the job descriptions and the organizational charts contained therein conform to the licensing, permitting and registration requirements and chain-of-command and segregation of duties requirements of the act and the Board's regulations as part of the Board's review of the slot machine licensee's internal controls required under § 465a.2.

(h) A jobs compendium must include the following sections:

(1) An alphabetical table of contents listing the position title, job code and the page number on which the corresponding job description may be found.

- (2) An organizational chart for each department or division, including all positions and illustrating by position title, the direct and indirect lines of authority within the department or division. Each page of an organizational chart must specify the following:
- (i) The date the organizational chart was approved.
 - (ii) The effective date of the previously submitted organizational chart that the revised organizational chart supersedes.
 - (iii) A unique title or other identifying designation for that organizational chart.
- (3) Job descriptions of each employee position that accurately correspond to a position title listed in the organizational charts and in the alphabetical table of contents. Each job description must be contained on a separate page, organized by departments or divisions, and include, at a minimum, the following:
- (i) The job title and corresponding department.
 - (ii) Job duties and responsibilities.
 - (iii) Detailed descriptions of experience or educational requirements.
 - (iv) The type of Board-issued credential required under the act and the Board's regulations for each employee job description.
 - (v) The date of submission of each employee job description and the date of any prior job description it supersedes.
 - (vi) The access code that will be assigned to the employee job description for the access badge required under § 465a.12 (relating to access badges and temporary access credentials).
- (i) Any proposed amendment to a previously approved jobs compendium, including any amendment to an organizational chart, which involves the departments listed in subsection (b) shall be submitted as an amendment to the slot machine licensee's internal controls in accordance with § 465a.2. Amendments that are required to be submitted under this subsection may be implemented by the slot machine licensee prior to approval of the amendment, if:
- (1) The amendment is immediately recorded in the copy of the jobs compendium maintained by the slot machine licensee on its premises.
 - (2) The amendment is submitted to the Bureau of Gaming Operations by the end of the business day on the date of implementation, including at a minimum, the proposed changes to the information required under subsection (h), including the corresponding revised job descriptions and organizational charts, contained on pages which may be used to substitute for those sections of the jobs compendium previously approved by the Board.
- (j) For departments that are not listed in subsection (b), unless otherwise directed by the Board, a slot machine licensee will not be required to submit amendments to its jobs compendium for approval. Instead, the certificate holder will be required to notify the Bureau of Licensing by the end of the business day on the date of implementation for newly created positions or changes to job descriptions and tables of organizations. The notification must include properly

formatted job descriptions and organization charts for the affected departments. After the notification has been submitted, the Bureau of Licensing may require changes to the job descriptions and organizational charts to ensure compliance with licensing, permitting or registration requirements.

(k) Notwithstanding other requirements of this section, each certificate holder shall submit a complete and up-to-date jobs compendium to the Bureau of Gaming Operations and the Bureau of Licensing 12 months after its receipt of authorization to commence slot operations and every 12 months thereafter.

(l) Each slot machine licensee shall maintain on its premises a complete, updated copy of its jobs compendium, in a written or electronic form, which shall be made available for review upon request of the Board, the Department or the Pennsylvania State Police.

(m) This section may not be construed so as to limit a slot machine licensee's discretion in utilizing a particular job title for any position in its jobs compendium.

Authority

The provisions of this § 465a.11 amended under 4 Pa.C.S. §§ 1202(b)(30), 1207, 13A02(1)—(6), 13A25, 13A62(a) and 1322.

Source

The provisions of this § 465a.11 amended October 10, 2008, effective October 11, 2008, 38 Pa.B. 5652; amended December 12, 2008, effective December 13, 2008, 38 Pa.B. 6749; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended December 15, 2017, effective December 16, 2017, 47 Pa.B. 7563. Immediately preceding text appears at serial pages (362081) to (362088) and (377543).

Cross References

This section cited in 58 Pa. Code § 465a.2 (relating to internal control systems and audit protocols); and 58 Pa. Code § 465a.9 (relating to surveillance system; surveillance department control; surveillance department restrictions).

§ 465a.12. Access badges and temporary access credentials.

(a) Slot machine licensees shall develop an access control matrix indicating the restricted areas in a licensed facility that an employee may access for each employee job description. Access to restricted areas by an employee shall be limited to the restricted areas that the employee needs to access in the course of the performance of the employee's normal duties listed in the employee's job description.

(b) In the internal controls required to be submitted under § 465a.2 (relating to internal control systems and audit protocols), the slot machine licensee shall designate the department that shall be responsible for determining the appropriate level of access for each job description and updating the level of access when a job description changes. The level of access information for each employee shall be transmitted to the individual or department designated in subsection (c).

(c) In the internal controls required to be submitted under § 465a.2, the slot machine licensee shall designate the department that shall develop and maintain an electronic database system, or its functional equivalent, which contains the access level of all employees of the slot machine licensee. The electronic database system must be capable of tracking who enters or changes the access level assigned to each employee.

(d) In the internal controls required to be submitted under § 465a.2, the slot machine licensee shall designate the department that shall be responsible for entering or making changes to the access level of employees of the slot machine licensee in the electronic database system.

(e) In the internal controls required to be submitted under § 465a.2, the slot machine licensee shall include an access matrix containing all restricted areas and all employees, their position titles and departments who have access to those restricted areas.

(f) Read-only access to the electronic database system shall be made available through secure computer access to the Board's representatives at the licensed facility.

(g) Slot machine licensees shall develop an access badge system consisting of a badge that contains the employee's name and a color, code or symbol that indicates the areas in the licensed facility that the employee is allowed to access.

(h) Employees of a slot machine licensee shall be required to wear an access badge in a visible location at all times while they are working in a licensed facility.

Authority

The provisions of this § 465a.12 amended under 4 Pa.C.S. §§ 1207, 1322, 13A02(1)—(6) and 13A25.

Source

The provisions of this § 465a.12 amended August 28, 2009, effective August 29, 2009, 39 Pa.B. 5125; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585. Immediately preceding text appears at serial page (349932).

Cross References

This section cited in 58 Pa. Code § 435a.6 (relating to Board credentials); and 58 Pa. Code § 465a.11 (relating to slot machine licensee's organization; jobs compendium).

§ 465a.13. Possession of weapons within a licensed facility.

(a) Except as provided in subsection (b), individuals, including security department personnel, are prohibited from possessing weapons capable of producing death or serious bodily injury, as defined in 18 Pa.C.S. § 2301 (relating to definitions), stun guns or other devices designed to injure or incapacitate a person within a licensed facility.

(b) The Board's prohibition in subsection (a) does not apply to the possession of firearms carried in accordance with 18 Pa.C.S. §§ 6101—6127 (relating to Pennsylvania Uniform Firearms Act of 1995). A slot machine licensee may exercise its common law right to prohibit the possession of firearms in accordance with subsections (c) and (d).

(c) A licensee may not prohibit the following individuals from possessing a weapon capable of producing death or serious bodily injury, including a firearm, stun gun or other device designed to injure or incapacitate a person within its facility:

- (1) Pennsylvania State Police assigned to its Gaming Enforcement Office.
- (2) An on-duty officer or agent of any local, State or Federal law enforcement agency when the officer or agent is acting in an official capacity.

(d) A slot machine licensee that prohibits individuals from possessing firearms shall post in a conspicuous location at each entrance to the licensed facility

signs that provide the public with notice that the possession of firearms, weapons capable of producing death or serious bodily injury, stun guns and other devices designed to injure or incapacitate a person is prohibited.

(e) A slot machine licensee that does not prohibit individuals from possessing firearms shall post in a conspicuous location at each entrance to the licensed facility signs that provide the public with notice that the possession of weapons capable of producing death or serious bodily injury, other than firearms carried in accordance with 18 Pa.C.S. § 6109 (relating to licenses), stun guns or other devices designed to injure or incapacitate a person is prohibited.

Source

The provisions of this § 465a.13 amended October 10, 2008, effective October 11, 2008, 38 Pa.B. 5652; amended May 15, 2015, effective May 16, 2015, 45 Pa.B. 2358. Immediately preceding text appears at serial pages (362090) to (362091).

Cross References

This section cited in 58 Pa. Code § 465a.11 (relating to slot machine licensee's organization; jobs compendium).

§ 465a.14. Security department minimum staffing.

(a) In accordance with § 465a.2(d)(5) (relating to internal control systems and audit protocols), slot machine licensees shall be required to submit a minimum staffing submission with regard to its security department. The minimum staffing submission must consider the size and layout of the licensed facility as well as the number and configuration of slot machines and table games on the gaming floor and must at all times provide for security of the gaming floor and restricted areas servicing the gaming operation. A slot machine licensee may not implement a change or amendment in its security department minimum staffing submission without approval from the Board's Executive Director, in accordance with § 601a.10(a) (relating to approval of table game layouts, signage and equipment) of the change or amendment.

(b) A slot machine licensee may not employ off-duty law enforcement officers to provide security related services in the licensed facility.

Authority

The provisions of this § 465a.14 amended under 4 Pa.C.S. §§ 1202(b)(30), 1207, 1308, 1318, 1322, 1331, 13A02(1)—(6) and 13A25.

Source

The provisions of this § 465a.14 amended December 12, 2008, effective December 13, 2008, 38 Pa.B. 6747; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585. Immediately preceding text appears at serial pages (357085) to (357086).

§ 465a.15. Cage characteristics.

(a) A licensed facility shall have, immediately adjacent or proximate to the gaming floor, a physical structure known as a cage to house the cashiers and to serve as the central location in the licensed facility for:

(1) The custody of the cage inventory comprised of cash (currency or coin), gaming chips, plaques and the forms, documents and records normally associated with the operation of a cage.

(2) The functions normally associated with the operation of a cage.

(b) The supervisor of the cage shall, regardless of shift, be permitted as a gaming employee.

(c) The cage must be designed and constructed to provide maximum security for the materials housed therein and the activities performed therein. Its design and construction must include:

(1) Manually triggered silent alarm systems located at the cashiers' window, vault and in ancillary office space adjacent or proximate thereto. The systems must be connected directly to the monitoring room of the surveillance department and to the security department.

(2) A double door entry and exit system that will not permit an individual to pass through the second door until the first door is securely locked. In addition, the following apply:

(i) The first door leading from the gaming floor of the double door entry and exit system must be controlled by the security department or the surveillance department.

(ii) The second door of the double door entry and exit system must be controlled by the cage, security department or the surveillance department, provided that the first and second door may not be controlled by the same department.

(iii) The double door entry and exit system must have surveillance coverage which shall be monitored by the surveillance department.

(iv) An entrance to the cage that is not a double door entry and exit system must be an alarmed emergency exit door only.

(3) If manual locks are used to secure each door of the double door entry and exit system, the keys to each door must be different from each other.

(4) A slot machine licensee may use a Board-approved computerized access system to meet the double door entry system requirements in paragraph (2) if:

(i) The computerized access system provides a functionally equivalent level of security.

(ii) The slot machine licensee includes provisions in the slot machine licensee's internal controls which will provide a functionally equivalent level of security when the computerized access system is not functioning.

(d) A licensed facility may also have one or more satellite cages separate and apart from the main cage established to maximize security, efficient operations or patron convenience. A satellite cage may perform all of the functions of the main cage and must be equipped with an alarm system in compliance with subsection (c)(1). The functions which are conducted in a satellite cage shall be subject to the accounting controls applicable to a main cage set forth in this subpart.

(e) A slot machine licensee shall maintain, immediately available to the Board and the Pennsylvania State Police, a current list, with Board credential numbers, of all persons:

(1) Possessing the combination or keys to the locks securing the double door entry and exit system restricting access to the main cage and any satellite cage and the vault.

(2) Possessing the ability to activate or deactivate alarm systems for the main cage, any satellite cage and vault.

Authority

The provisions of this § 465a.15 amended under 4 Pa.C.S. §§ 1202(b)(30), 1207, 1321, 1322, 13A02(1)—(6) and 13A25.

Source

The provisions of this § 465a.15 amended February 26, 2010, effective February 27, 2010, 40 Pa.B. 1082; corrected May 20, 2011, effective May 1, 2010, 41 Pa.B. 2579; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585. Immediately preceding text appears at serial pages (357086) to (357087).

§ 465a.16. Accounting controls for the cage.

(a) The assets for which cage cashiers are responsible shall be maintained on an imprest basis. At the end of each shift, cage cashiers assigned to the outgoing shift shall record on a cashiers' count sheet the face value of each cage inventory item counted and the total of the opening and closing cage inventories and shall reconcile the total closing inventory with the total opening inventory. Each cashiers' count sheet shall be signed by the preparing cage cashier attesting to the accuracy of the information thereon.

(b) At the opening of every shift, in addition to the imprest funds normally maintained by cage cashiers, each slot machine licensee shall have in the main cage, a reserve cash bankroll sufficient to pay winning patrons.

(c) The main cage and any satellite cage shall be physically segregated by personnel and function as follows:

(1) Cage cashiers shall operate with individual imprest inventories of cash and their functions include the following:

(i) The receipt of cash, value chips, plaques and other cash equivalents from patrons in exchange for cash.

(ii) The receipt of personal checks for gaming purposes from patrons in exchange for cash, subject to the limitations on amount under § 465a.20 (relating to personal check cashing).

(iii) The receipt of cash, value chips, plaques and other cash equivalents, checks issued by the slot machine licensee, annuity jackpot checks, wire transfers and cashless funds transfers from patrons to establish a customer deposit under § 465a.23 (relating to customer deposits).

(iv) The receipt of customer deposit forms from patrons in exchange for cash under § 465a.23.

(v) The preparation of jackpot payout slips in accordance with this subpart and technical standards adopted by the Board under § 465a.26 (relating to jackpot and credit meter payouts).

(vi) The receipt of gaming vouchers from patrons, or from authorized employees who received gaming vouchers as gratuities, in exchange for cash.

(vii) Issuance, receipt and reconciliation of imprest funds used by slot attendants, including an imprest change/pouch payout fund.

(viii) The issuance of gaming vouchers.

(2) Main bank cashier functions include the following:

(i) The receipt of cash, value chips, plaques, cash equivalents, gaming vouchers, jackpot payout slips and personal checks received for gaming purposes from cage cashiers in exchange for cash.

(ii) The receipt of cash from the count rooms.

(iii) The receipt of personal checks accepted for gaming purposes from cage cashiers for deposit.

(iv) The preparation of the overall cage reconciliation and accounting records.

(v) The preparation of the daily bank deposit for cash, cash equivalents, Counter Checks and personal checks.

(vi) The issuance, receipt and reconciliation of imprest funds used by slot attendants.

(vii) The receipt from cage cashiers of documentation with signatures thereon, required to be prepared for the segregation of functions in the cage.

(viii) The responsibility for the reserve cash bankroll.

(ix) The receipt of unsecured currency and unsecured gaming vouchers and preparation of reports thereon.

(x) The issuance, receipt and reconciliation of cash and gaming vouchers to and from automated bill breaker, automated gaming voucher and coupon redemption and automated jackpot payout machines and preparation of related documentation.

(d) At the end of the gaming day a copy of the cage cashiers' count sheets and related documentation shall be forwarded to the accounting department for

agreement of opening and closing inventories, agreement of amounts thereon to other forms, records and documents required by this subpart and recording of transactions.

Authority

The provisions of this § 465a.16 amended under 4 Pa.C.S. §§ 1202(b)(30), 1207, 1321, 1322, 13A02(1)—(6) and 13A25.

Source

The provisions of this § 465a.16 amended October 10, 2008, effective October 11, 2008, 38 Pa.B. 5652; amended February 26, 2010, effective February 27, 2010, 40 Pa.B. 1082; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585. Immediately preceding text appears at serial pages (357087) to (357089).

§ 465a.17. Bill validators, slot cash storage boxes and table game drop boxes.

(a) Slot machines, electronic wagering terminals and fully automated electronic gaming tables must be equipped with a bill validator configured to accept any combination of currency, gaming vouchers, coupons and other instruments authorized by the Board for incrementing credits on a slot machine, electronic wagering terminal or fully automated electronic gaming table.

(b) Access to the bill validator must be controlled by at least one lock, the key to which shall be controlled by the slot operations department.

(c) The bill validator in a slot machine, electronic wagering terminal or fully automated electronic gaming table must contain a secure tamper resistant container known as a slot cash storage box or table game drop box. Currency, gaming vouchers, coupons and Board-approved instruments inserted into the bill validator shall be deposited into the slot cash storage box or table game drop box.

(d) The slot cash storage box or table game drop box on a fully automated electronic gaming table or an electronic wagering terminal must be secured to the bill validator by two separate locks, the keys to which shall be different from each other, one of which may be the lock to the belly door or main door of the slot machine, electronic wagering terminal or fully automated electronic gaming table and a second of which is the lock on the release mechanism on the slot cash storage box or table game drop box. If there is not a full door on the bill validator, the lock on the release mechanism on the slot cash storage box or table game drop box must detect and display whether it is locked or unlocked and communicate whether it is locked or unlocked to a slot monitoring system. The keys shall be maintained and controlled as follows:

(1) The key to the main door and belly door, if applicable, of the slot machine, electronic wagering terminal or fully automated electronic gaming table shall be maintained and controlled by the slot operations department. The slot operations department may, immediately prior to the commencement of the drop, issue its main door and belly door key, if applicable, to the finance

department. A key transferred from the slot operations department to the finance department shall be returned immediately following the conclusion of the drop. The slot operations department shall establish sign in and sign out procedures in its internal controls documenting this transfer.

(2) The key to the lock securing the release mechanism on the slot cash storage box or table game drop box shall be maintained and controlled by the security department. The security department shall establish a sign out and sign in procedure with regard to this key which includes documentation of this transfer.

(e) A slot cash storage box or table game drop box from a fully automated electronic gaming table or an electronic wagering terminal must:

(1) Have at least one lock securing the contents of the slot cash storage box or table game drop box, the key to which shall be maintained and controlled by the finance department.

(2) Have a slot opening through which currency, gaming vouchers and coupons can be inserted into the slot cash storage box or table game drop box.

(3) Have a mechanical arrangement or device that prohibits removal of currency, gaming vouchers and coupons from the slot opening whenever the slot cash storage box or table game drop box is removed from the bill validator.

(4) Be fully enclosed, except for openings that may be required for the operation of the bill validator or the slot cash storage box or table game drop box. However, the location and size of the openings may not affect the security of the slot cash storage box, the table game drop box, its contents or the bill validator.

(5) Have an asset number that is permanently imprinted, affixed or impressed on the outside of the slot cash storage box or table game drop box which corresponds to the asset number of the slot machine, electronic wagering terminal or fully automated electronic gaming table to which the bill validator has been attached. In lieu of the asset number, a slot machine licensee may develop and maintain, with prior Board approval, a system for assigning a unique identification number to its slot cash storage boxes or table game drop boxes. The system must ensure that each slot cash storage box or table game drop box can readily be identified, either manually or by computer, when in use with, attached to and removed from a particular bill validator. Each unique identification number must be permanently imprinted, affixed or impressed on the outside of each slot cash storage box or table game drop box that does not otherwise bear an asset number. The asset number or unique identification number must be conspicuous and clearly visible to persons involved in removing or replacing the slot cash storage box or table game drop box in the bill validator and through the slot machine licensee's surveillance system. Notwithstanding the foregoing, emergency slot cash storage boxes and emergency table game drop boxes for fully automated electronic gaming tables or electronic

wagering terminals may be maintained without an asset number or a unique identification number, provided the word “emergency” is permanently imprinted, affixed or impressed thereon, and when put into use, are temporarily marked with the asset number of the slot machine, electronic wagering terminal or fully automated electronic gaming table to which the bill validator is attached.

(6) Be designed and installed in a manner that renders the slot machine, electronic wagering terminal or fully automated electronic gaming table inoperable in the event of the removal or absence of the slot cash storage box or table game drop box.

(f) A table game in a licensed facility that is not a fully automated electronic gaming table or an electronic wagering terminal must have a secure tamper-resistant table game drop box attached to it in which the following shall be deposited:

(1) All cash exchanged at the gaming table for gaming chips and plaques.

(2) Issuance copies of Counter Checks exchanged at the gaming table for gaming chips and plaques.

(3) Copies of Fill Request Slips, Fill Slips, Credit Request Slips, Credit Slips and Table Inventory Slips.

(4) Other table game wagering instruments as approved by the Board.

(g) A table game drop box from a table game that is not a fully automated electronic gaming table or electronic wagering terminal must have:

(1) Two separate locks securing the contents placed into the table game drop box, the keys to which must be different from each other.

(2) A separate lock securing the table game drop box to the gaming table, the key to which must be different from each of the keys to the locks securing the contents of the table game drop box.

(3) A slot opening through which currency, value chips or Poker rake chips for nonbanking games, other table game wagering instruments as approved by the Board, and required forms and documents can be inserted into the table game drop box.

(4) A mechanical device that must automatically close and lock the slot opening upon removal of the table game drop box from the gaming table.

(5) Permanently imprinted or impressed thereon, and clearly visible to surveillance, either:

(i) A number corresponding to a unique permanent number on the gaming table to which the table game drop box is attached and a letter or letters which indicate the type of game.

(ii) The word “emergency.”

(6) In addition to the information required under paragraph (5)(i), a table game drop box may also be identified by a bar code label that is securely affixed to the table game drop box. Each bar code label affixed to a table game drop box must be:

(i) Encoded, at a minimum, with the information required under paragraph (5)(i).

(ii) Prepared in accordance with the slot machine licensee's approved internal controls.

(h) The key utilized to release the table game drop boxes from table games that are not fully automated electronic gaming tables or electronic wagering terminals shall be maintained and controlled by the security department. The security department may, immediately prior to the commencement of the table game count process, issue its release key to the count room supervisor for the purpose of resetting the release mechanism on empty table game drop boxes. A key transferred from the security department shall be returned immediately following the conclusion of the count of the table game drop boxes. The security department shall establish sign in and sign out procedures in its internal controls documenting this transfer and procedures governing the control of the key during any breaks taken by the count room personnel.

(i) The key to one of the locks securing the contents of a table game drop box from a table game that is not a fully automated electronic gaming table or an electronic wagering terminal shall be maintained and controlled by the finance department. The key to the second lock securing the contents of the table game drop box from a table game that is not a fully automated electronic gaming table or an electronic wagering terminal shall be maintained and controlled by the casino compliance representatives.

(j) Prior to using a table game drop box labeled "Emergency" for a table game that is not a fully automated electronic gaming table or an electronic wagering terminal, the certificate holder shall:

(1) Notify and obtain the verbal approval of the casino compliance representatives.

(2) Temporarily mark the emergency table game drop box with the number of the gaming table and a letter or letters that indicate the type of game.

Authority

The provisions of this § 465a.17 amended under 4 Pa.C.S. §§ 1202(b)(30), 1207, 13A02(1)—(6), 13A25, 13A62(a) and 1322.

Source

The provisions of this § 465a.17 amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended December 15, 2017, effective December 16, 2017, 47 Pa.B. 7563. Immediately preceding text appears at serial pages (362095) to (362098).

§ 465a.18. Transportation of slot cash storage boxes and table game drop boxes to and from the gaming floor; storage.

(a) Slot machine licensees shall submit and obtain the approval of the Bureau of Casino Compliance, in accordance with § 601a.10(g) (relating to approval of table game layouts, signage and equipment), the plan for the distribution and collection of slot cash storage boxes and table game drop boxes. The plan must:

(1) Provide for the separate distribution and collection of all of the following:

(i) Slot cash storage boxes and table game drop boxes from fully automated electronic gaming tables and electronic wagering terminals.

(ii) Table game drop boxes not otherwise specified in subparagraph (i).

(2) Include the time the distribution and collection of:

(i) Slot cash storage boxes and table game drop boxes from fully automated electronic gaming tables and electronic wagering terminals will begin.

(ii) Table game drop boxes not otherwise specified in subparagraph (i) will begin.

(3) Specify which slot cash storage boxes and table game drop boxes from fully automated electronic gaming tables and electronic wagering terminals will be picked up on each pick-up day.

(4) Specify the order in which the slot cash storage boxes and table game drop boxes will be distributed and collected.

(5) Specify the route that the drop team will utilize from the gaming floor to the count room.

(b) Slot machine licensees shall maintain and make available to the Bureau of Casino Compliance and the Pennsylvania State Police a current list, with Board credential numbers, of all employees participating in the transportation of slot cash storage boxes and table game drop boxes to and from the gaming floor. The slot machine licensee shall file notice with the Bureau of Casino Compliance and obtain verbal approval from the casino compliance supervisor at the licensed facility prior to:

(1) Deviating from the schedule setting forth the specific times at which slot cash storage boxes or table game drop boxes are brought to or removed from the gaming floor.

(2) Changing which slot cash storage boxes or table game drop boxes from fully automated electronic gaming tables or electronic wagering terminals will be picked up on each pick-up day.

(3) Altering the route to the count room.

(c) Table game drop boxes from table games that are not fully automated electronic gaming tables or electronic wagering terminals shall be removed from all gaming tables once each gaming day regardless of whether or not the gaming table was open or closed during that gaming day. Table game drop boxes from table games that are not fully automated electronic gaming tables or electronic wagering terminals shall be collected separately from slot cash storage boxes and table game drop boxes from electronic wagering terminals and fully automated electronic gaming tables.

(d) Slot cash storage boxes and table game drop boxes removed from bill validators or gaming tables shall be transported directly to, and secured in, the count room or a trolley storage area located immediately adjacent thereto, configured and secured by a minimum of three employees, at least one of which is a member of the security department and at least one of which is a member of the finance department.

(1) Upon its removal from a bill validator or gaming table, a slot cash storage box or table game drop box shall immediately be placed in an enclosed trolley which is secured by two separately keyed locks. The key to one lock shall be maintained and controlled by the security department. The key to the other lock shall be maintained and controlled by the finance department. Access to the keys shall be controlled, at a minimum, by a sign out and sign in procedure contained in the slot machine licensee's internal controls. The security department key and the key controlled by finance shall be returned to its secure location after completion of the slot and table game count.

(2) Prior to the movement of any trolley, which contains slot cash storage boxes or table game drop boxes, from the gaming floor into the count room, the drop team supervisor shall verify that the number of slot cash storage boxes and table game drop boxes removed from the gaming floor equals the number of slot cash storage boxes and table game drop boxes scheduled to be collected that day and that the locks controlled by security and the finance department have been locked. For table game drop boxes removed from table games that are not fully automated electronic gaming tables or electronic wagering terminals, a floorperson or above may verify the number of table game drop boxes removed from the gaming floor instead of the drop team supervisor.

(3) A slot cash storage box or table game drop box being replaced by an emergency slot cash storage box or table game drop box shall be transported, using a trolley, directly to and secured in the count room by at least one member of the finance department and one member of the security department.

(e) Slot cash storage boxes and table game drop boxes that are not secured to a bill validator or a gaming table, including emergency slot cash storage boxes and table game drop boxes that are not actively in use, shall be stored in the count room or other secure area specified in the slot machine licensee's internal controls. These slot cash storage boxes and table game drop boxes shall be stored in an enclosed cabinet or trolley and secured in the cabinet or trolley by a separately keyed, double locking system. The key to one lock shall be maintained and controlled by the security department and the key to the other lock shall be maintained and controlled by the finance department. Access to the keys shall be controlled, at a minimum, by a sign out and sign in procedure contained in the slot machine licensee's internal controls.

(f) Notwithstanding subsection (e), the security department may, immediately prior to the commencement of the count process, issue its key to the storage cabinet or trolley to a count room supervisor for the purpose of gaining access to the slot cash storage boxes and table game drop boxes in the storage cabinet or trolley. A key transferred from the custody of the security department to the count room supervisor shall be returned immediately following the conclusion of the count of the slot cash storage boxes and table game drop boxes and the return of the empty emergency drop boxes and slot cash storage boxes or table game drop boxes to their respective storage cabinet or trolley by the count room supervisor. The security department shall establish in its internal controls a sign out and sign in procedure documenting this transfer and a procedure governing the control of the key during any breaks taken by count room personnel.

(g) When a gaming table on the gaming floor is not in use, the table game drop box for that table must remain attached to the gaming table.

(h) Prior to changing the type of table game offered or removing a slot machine or table game from the gaming floor, at least one security department employee and one finance department employee shall conduct an emergency drop.

Authority

The provisions of this § 465a.18 amended under 4 Pa.C.S. §§ 1202(b)(30), 1207, 13A02(1)—(6), 13A25, 13A62(a) and 1322.

Source

The provisions of this § 465a.18 amended October 10, 2008, effective October 11, 2008, 38 Pa.B. 5652; amended September 25, 2009, effective September 26, 2009, 39 Pa.B. 5562; amended May 14, 2010, effective May 15, 2010, 40 Pa.B. 2535; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended December 15, 2017, effective December 16, 2017, 47 Pa.B. 7563. Immediately preceding text appears at serial pages (362098) to (362100) and (375101).

Cross References

This section cited in 58 Pa. Code § 465a.25 (relating to counting and recording of slot cash storage boxes and table game drop boxes).

§ 465a.19. Acceptance of tips or gratuities from patrons.

(a) Notwithstanding the requirements of § 461a.8(n) (relating to gaming vouchers), a key employee, box person, floorperson or any other gaming employee who serves in a supervisory position is prohibited from soliciting or accepting, and no other gaming employee may solicit, a tip or gratuity from a patron of the slot machine licensee. The slot machine licensee may not permit any practices prohibited by this section.

(b) The slot machine licensee shall submit internal controls relating to the acceptance of tips or gratuities by dealers at banking and nonbanking table games.

(c) Except as permitted under subsection (g), all tips and gratuities received by dealers in a licensed facility shall be:

(1) Immediately deposited in a transparent locked box reserved for tips and gratuities. If Roulette chips are received as tips or gratuities at a Roulette table, the marker button indicating the specific value of the Roulette chips may not be removed until after the dealer, in the presence of a floorperson or above, has converted the Roulette chips into value chips which shall then be immediately deposited in the transparent locked box reserved for tips and gratuities.

(2) Collected and accounted for at least once each gaming day.

(3) Placed in a common pool for distribution pro rata among all dealers in accordance with subsection (e).

(d) A patron may identify a wager as a tip wager. A tip wager placed at the table shall be played separately from the player's other wagers. A winning tip wager shall be collected and deposited in the tip box after each round of play or after a roll of the dice which decides the outcome of the wager. A winning tip wager or part of a winning tip wager may not be wagered again. Upon receipt from a patron of a tip or gratuity, a dealer shall extend his arm in an overt motion, and deposit the tip or gratuity in the locked box reserved for tips and gratuities.

(e) Tips and gratuities placed in a common pool shall be distributed pro rata among the dealers in the pool based upon the number of hours worked. In determining the number of hours which an employee has worked for purposes of tip pool distribution, a slot machine licensee may establish standards for distribution which include hours of vacation time, personal leave time or any other authorized leave of absence in the number of hours worked by each employee. These standards shall apply uniformly to all employees, except that a slot machine licensee may establish different standards for full-time or part-time employees.

(f) Any distribution of tips and gratuities from a common tip pool under this section shall occur no more than once every 7 calendar days.

(g) Notwithstanding the requirements in subsection (c), a certificate holder that offers:

(1) Nonbanking Poker may either:

(i) Establish a separate common pool for tips and gratuities received by its Poker dealers.

(ii) Permit a Poker dealer to retain his own tips and gratuities, in which case the tips and gratuities received by a Poker dealer shall be deposited, in accordance with procedures in subsection (d), in a transparent locked box assigned to the particular dealer. The box shall be moved from table to table with the dealer.

(2) Gaming on electronic wagering terminals may allow players to tip from the electronic wagering terminal provided that the certificate holder specifies how the tips placed electronically will be recorded, pooled and distributed in accordance with this section.

(h) When a slot machine licensee elects to use the option in subsection (g)(1)(ii), at the end of the Poker dealer's shift, the dealer shall take the transparent locked box assigned to the dealer to a cage cashier. The cage cashier shall open the container and count the tips and gratuities in the presence of the Poker dealer and record the total amount of the tips and gratuities received by the dealer and either:

(1) Return the tips and gratuities to the dealer.

(2) Retain all or a portion of the tips and gratuities for inclusion in the dealer's paycheck.

(i) A certificate holder shall specify how dealer tips and gratuities will be reported to the Internal Revenue Service.

Authority

The provisions of this § 465a.19 amended under 4 Pa.C.S. §§ 1202(b)(30), 1207, 13A02(1)—(6), 13A25, 13A62(a) and 1322.

Source

The provisions of this § 465a.19 amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended January 31, 2014, effective February 1, 2014, 44 Pa.B. 599; amended December 15, 2017, effective December 16, 2017, 47 Pa.B. 7563. Immediately preceding text appears at serial pages (375101) to (375102).

Cross References

This section cited in 58 Pa. Code § 461a.8 (relating to gaming vouchers).

§ 465a.20. Personal check cashing.

(a) Checks made payable to an individual, including Social Security, unemployment insurance, disability, public assistance and payroll checks, may not be cashed by a slot machine licensee or entity certified or registered with the Board that is operating within the licensed facility. Notwithstanding the prohibition, a slot machine licensee may cash the payroll check of one of its employees or a check issued to a patron by the slot machine licensee. Personal checks accepted by a slot machine licensee which enable a patron to take part in gaming must be:

(1) Drawn on a commercial bank, savings bank, saving and loan association or credit union and payable on demand.

(2) Drawn for a specific amount.

(3) Made payable to the slot machine licensee or entity certified or registered with the Board that is operating within the licensed facility.

(4) Currently dated, but not postdated.

(b) Personal checks accepted under subsection (a) shall be presented by the patron directly to a cage cashier who shall:

(1) Endorse the check “for deposit only” to the bank account designated by the slot machine licensee.

(2) Initial the check.

(3) Date and time stamp the check.

(4) Verify that the signature of the patron on the personal check and the patron’s physical appearance agree with information recorded in a patron signature file created and maintained by the slot machine licensee in accordance with subsection (c) or with the signature and photograph or physical description contained on a government-issued identification presented by the patron. The slot cashier shall document how the signature verification was performed in connection with the acceptance of each personal check.

(5) For personal checks equaling or exceeding \$500, verify the validity of the check directly with the commercial bank, savings bank, saving and loan association or credit union upon which it is drawn or obtain an authorization and guarantee of the check from a check verification and warranty service certified as a gaming service provider by the Board. The cage cashier shall document how the check verification was performed in connection with the acceptance of each personal check.

(6) Immediately exchange the personal check for cash in an amount equal to the amount for which the check is drawn or place the amount in a customer deposit account under § 465a.23 (relating to customer deposits) for subsequent use at the licensed facility. A slot machine licensee may not accept a check or multiple checks which in the aggregate exceed \$2,500 per patron per gaming day, except as permitted in §§ 609a.15(c) and 609a.16(b) (relating to redemption of Counter Checks; and substitution and consolidation of Counter Checks).

(c) To record a patron’s signature in a patron signature file, a cage cashier shall require the individual for whom the file is to be created to present for examination the following:

(1) If the identity of the patron is to be confirmed in accordance with subsection (d)(1), one form of identification.

(2) If the identity of the patron is to be confirmed in accordance with subsection (d)(2), two forms of identification, at least one of which must contain a photograph or general physical description of the patron.

(d) Before a slot machine licensee may use a signature recorded in a patron signature file to verify the identity of a patron or the validity of a signature on a document, the slot machine licensee shall confirm the identity of the patron by either:

(1) Comparing the signature on the identification presented by the patron under subsection (c)(1) with the signature obtained from the patron and verifying the address of the patron’s residence with a credit bureau, commercial bank or, if neither of these sources has the individual’s address on file or will not

provide the information, with an alternative source, which does not include any identification credentials or other documentation presented by the patron at the cage.

(2) Comparing the signature on each of two forms of the identification presented by the patron under subsection (c)(2) with the signature obtained from the patron and comparing the photograph or general physical description contained on at least one of the forms of identification with the patron's actual physical appearance.

(e) A patron signature file established and maintained by a slot machine licensee under subsection (c) must include, in addition to the patron's signature, the following:

- (1) The patron's name.
- (2) The address of the patron's residence.
- (3) The types of identification examined under subsection (d) and an indication whether the identification contained a photograph or physical description of the patron.
- (4) For the purposes of this section, a physical description of the patron which includes:
 - (i) Date of birth.
 - (ii) Approximate height.
 - (iii) Approximate weight.
 - (iv) Hair color.
 - (v) Eye color.
- (5) The date and time that the patron signature file was established.
- (6) The procedure by which the identity of the patron was confirmed under subsection (d), including:
 - (i) The source of confirmation, date and time if confirmed under subsection (d)(1).
 - (ii) The date and time of confirmation if confirmed under subsection (d)(2).
- (7) The signature of the cage cashier or cage supervisor who examined the identification of the patron and established the patron signature file. The signature will evidence that:
 - (i) The signature of the patron recorded in the patron signature file is consistent with the signature on each form of identification that was examined.
 - (ii) The physical description recorded in the patron signature file is consistent with both the actual appearance of the patron and any photograph or physical description that may be contained on an identification that was examined.

(f) A slot machine licensee that charges a fee for cashing checks shall comply with the Check Casher Licensing Act (63 P. S. §§ 2301—2334).

(g) Prior to accepting personal checks, each slot machine licensee shall establish a comprehensive system of internal controls applicable to the acceptance of personal checks. The internal controls shall be submitted to and approved by the Board under § 465a.2 (relating to internal control systems and audit protocols). The internal controls submitted by the slot machine licensee must address procedures for complying with § 503a.4(a)(4) (relating to duties of slot machine licensees) and this section including the dollar limitation per gaming day contained in subsection (b)(6).

(h) An entity certified or registered with the Board that is cashing checks on behalf of a licensee within a licensed facility shall comply with the requirements in subsections (a)—(f).

Authority

The provisions of this § 465a.20 amended under 4 Pa.C.S. §§ 1103, 1202(b)(15) and (30), 1207, 1209(b), 1212, 1317(c), 1317.1(c), 1317.2, 1322, 1326, 13A02(1)—(6), 13A25, 13A26(c), 1509, 1516, 1518(a)(13) and 1602.

Source

The provisions of this § 465a.20 amended October 10, 2008, effective October 11, 2008, 38 Pa.B. 5652; amended October 22, 2010, effective October 23, 2010, 40 Pa.B. 6083; corrected May 20, 2011, effective June 6, 2009, 41 Pa.B. 2580; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended November 7, 2014, effective November 8, 2014, 44 Pa.B. 7057. Immediately preceding text appears at serial pages (370364) and (362103) to (362105).

Cross References

This section cited in 58 Pa. Code § 437a.7 (relating to registered, certified and authorized gaming service provider responsibilities); 58 Pa. Code § 465a.16 (relating to accounting controls for the cage); 58 Pa. Code § 465a.22 (relating to cash equivalents); 58 Pa. Code § 465a.23 (relating to customer deposits); 58 Pa. Code § 609a.3 (relating to application and verification procedures for granting credit); 58 Pa. Code § 609a.15 (relating to redemption of Counter Checks); and 58 Pa. Code § 609a.16 (relating to substitution and consolidation of Counter Checks).

§ 465a.21. Wire transfers.

(a) A slot machine licensee may accept a wire transfer on behalf of a patron to enable the patron to take part in gaming. A wire transfer accepted by a slot machine licensee shall be recorded in the slot machine licensee's cage accountability no later than the next gaming day.

(b) Prior to commencing acceptance of wire transfers for gaming purposes, a slot machine licensee shall establish a comprehensive system of internal controls addressing the acceptance, verification, accounting for and sending of wire transfers. The internal controls shall be submitted to and approved by the Board under § 465a.2 (relating to internal control systems and audit protocols).

(c) The internal control procedures developed and implemented by the slot machine licensee under subsection (b) must include:

(1) A cage log to record the following information with regard to wire transfers accepted:

- (i) A sequential number assigned by the slot machine licensee to the wire transfer transaction.
 - (ii) The date and time of notification.
 - (iii) The name of the financial institution and account number to which the funds were transferred.
 - (iv) The amount of funds transferred.
 - (v) The name of the patron for whose benefit the funds were transferred.
 - (vi) The name and address of the financial institution from which the funds were transferred and the account number from which the funds were debited.
 - (vii) The method by which the slot machine licensee was notified of the receipt of the wire transfer and, if noticed by telephone, the name and title of the person providing notice.
 - (viii) The signature of the cage employee receiving and recording the information required under this subsection.
 - (ix) A notation that the wire transfer has been reversed under subsection (d), when applicable.
- (2) A requirement that a cage supervisor other than the cage employee who initially documented receipt of the wire transfer verify receipt of the wire transfer.
- (3) A requirement that the cage supervisor verifying receipt of the wire transfer document the verification process performed in the log required under paragraph (1) including:
- (i) The method by which the receipt of the wire transfer was verified and, if verified by telephone, the name and title of the individual providing the verification.
 - (ii) The date and time of verification.
 - (iii) The signature of the cage supervisor verifying receipt of the wire transfer.
- (4) The procedures used to:
- (i) Establish, verify and document the identity of the patron.
 - (ii) Make the wire transfer proceeds available to the patron at the cage.
 - (iii) Adjust the cage accountability.
- (5) A cage log to record the following information with regard to wire transfers sent on behalf of a patron:
- (i) The name of the patron.
 - (ii) The date of the transaction.
 - (iii) The amount of funds transferred.
 - (iv) The source of funds transferred (cash, cash equivalent, jackpot payout).

(v) The name and address of the financial institution to which the funds will be transferred and the account number to which the funds will be credited.

(vi) The signature of the patron if the request to send a wire transfer is made in person at the cage.

(vii) Documentation supporting the receipt of a request by the slot machine licensee to send a wire transfer on behalf of a patron if the request was not made in person at the cage.

(viii) The signature of the cage employee receiving and recording the information required under this subsection.

(ix) The signature of the cage supervisor or accounting department supervisor authorizing the wire transfer.

(6) When sending a wire transfer on behalf of a patron, the procedures used to:

(i) Verify and document the identity of the patron.

(ii) Adjust the cage accountability.

(d) A slot machine licensee, on the next gaming day, shall take all steps necessary to return to a patron by wire transfer an amount initially accepted by wire transfer if, at the expiration of 14 gaming days following the deposit into its operating account of a wire transfer which has no documented business purpose other than having been accepted to enable a patron to take part in gaming, both of the following circumstances exist:

(1) The wired funds remain in a slot machine licensee's operating account or cage accountability.

(2) The patron has engaged in minimal or no slot or table game play.

(e) The wire transfer returned under subsection (d) shall be sent to the financial institution from which the funds were debited. This reversal of the wire transfer shall be recorded in the wire transfer log maintained under subsection (c)(1).

Authority

The provisions of this § 465a.21 amended under the Pennsylvania Race Horse Development and Gaming Act, 4 Pa.C.S. §§ 1202(b)(15) and (30), 1207, 1212, 1322, 13A02(1)—(6), 13A25, 13A26(c), 1509, 1516, 1518(a)(13) and 1602.

Source

The provisions of this § 465a.21 amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended November 7, 2014, effective November 8, 2014, 44 Pa.B. 7057. Immediately preceding text appears at serial pages (362105) to (362107).

Cross References

This section cited in 58 Pa. Code § 465a.23 (relating to customer deposits).

§ 465a.22. Cash equivalents.

(a) The requirements in this section are not applicable to gaming chips or plaques.

(b) Prior to accepting cash equivalents for gaming purposes, a slot machine licensee shall establish a comprehensive system of internal controls addressing the acceptance and verification of cash equivalents. The internal controls shall be submitted to and approved by the Board under § 465a.2 (relating to internal control systems and audit protocols).

(c) The internal control procedures developed and implemented by the slot machine licensee under subsection (a) must include:

(1) A requirement that cage employees perform the specific verification procedures required under the issuer of each cash equivalent accepted. The slot machine licensee shall retain adequate documentation evidencing the verification of each cash equivalent.

(2) A requirement that cage employees examine each cash equivalent for counterfeiting, forgery or alteration.

(3) When a slot machine licensee elects to incorporate into its verification procedures a level of reliance on previously accepted cash equivalents, the procedures must articulate the general parameters governing the reliance.

(4) Criteria for cage supervisor involvement in the verification process.

(5) Procedures for verifying any patron signature on the cash equivalent. Signature verification must be accomplished in accordance with the signature verification procedures in § 465a.20 (relating to personal check cashing). The slot machine licensee shall retain adequate documentation evidencing how each signature was verified.

Authority

The provisions of this § 465a.22 amended under the Pennsylvania Race Horse Development and Gaming Act, 4 Pa.C.S. §§ 1202(b)(15) and (30), 1207, 1212, 1322, 13A02(1)—(6), 13A25, 13A26(c), 1509, 1516, 1518(a)(13) and 1602.

Source

The provisions of this § 465a.22 amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended November 7, 2014, effective November 8, 2014, 44 Pa.B. 7057. Immediately preceding text appears at serial pages (362107) to (362108).

Cross References

This section cited in 58 Pa. Code § 465a.23 (relating to customer deposits).

§ 465a.23. Customer deposits.

(a) At the request of a patron, a slot machine licensee may hold cash, value chips, plaques, funds accepted by means of personal check in accordance with § 465a.20 (relating to personal check cashing) or wire transfer in accordance with § 465a.21 (relating to wire transfers) or cash equivalents accepted in accor-

dance with § 465a.22 (relating to cash equivalents) for a patron's subsequent use at the licensed facility. For the purposes of this section, after complying with this chapter for acceptance and verification, noncash items shall be considered converted to cash and deposited as cash for credit to the patron in a customer deposit account maintained in the cage.

(b) Prior to agreeing to hold a patron's cash, value chips, plaques, funds accepted by means of personal check in accordance with § 465a.20 or wire transfer in accordance with § 465a.21 or cash equivalents accepted in accordance with § 465a.22 for a patron's subsequent use at the licensed facility, each slot machine licensee shall establish a comprehensive system of internal controls addressing the receipt and withdrawal of a customer deposit. The internal controls shall be submitted to and approved by the Board under § 465a.2 (relating to internal control systems and audit protocols).

(c) The internal control procedures developed and implemented by the slot machine licensee under subsection (b) must include:

(1) A requirement that customer deposits be accepted at the cage.

(2) A requirement that customer deposits be withdrawn by the patron at the cage, gaming table or upon receipt of a written request for withdrawal whose validity has been established.

(3) A requirement that the patron receive a receipt for any customer deposit accepted reflecting the total amount deposited, the date of the deposit and the signature of the cage employee accepting the customer deposit.

(4) Procedures for verifying the identity of the patron at the time of withdrawal. Signature verification shall be accomplished in accordance with the signature verification procedures under § 465a.20. The slot machine licensee shall maintain adequate documentation evidencing the patron identification process and how the signature was verified.

Authority

The provisions of this § 465a.23 amended under 4 Pa.C.S. §§ 1202(b)(15) and (30), 1207, 1212, 1322, 13A02(1)—(6), 13A25, 13A26(c), 1509, 1516, 1518(a)(13) and 1602.

Source

The provisions of this § 465a.23 amended October 10, 2008, effective October 11, 2008, 38 Pa.B. 5652; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended November 7, 2014, effective November 8, 2014, 44 Pa.B. 7057. Immediately preceding text appears at serial pages (362108) to (362109).

Cross References

This section cited in 58 Pa. Code § 465a.16 (relating to accounting controls for the cage); 58 Pa. Code § 465a.20 (relating to personal check cashing); and 58 Pa. Code § 609a.7 (relating to patron credit transactions).

§ 465a.24. Count room characteristics.

(a) A slot machine licensee shall have adjacent or proximate to the cage a room, to be known as a count room, specifically designated, designed and used for counting the contents of slot cash storage boxes and table game drop boxes.

(b) The count room shall be designed and constructed to provide maximum security for the materials housed therein and for the activities conducted therein. Each slot machine licensee shall design and construct a count room with the following security measures:

(1) A metal door installed on each entrance and exit equipped with an alarm device which audibly signals the surveillance department monitoring room or the security department whenever a door to the count room is opened.

(2) Each entrance door to the count room must be equipped with two separate locks, the keys to which must be different from each other and different from the lock securing the contents of each slot cash storage box or table game drop box. The keys shall be maintained and controlled as follows:

(i) The key to one of the locks shall be maintained and controlled by the security department.

(ii) The key to the other lock shall be maintained and controlled by finance.

(iii) Sign out and sign in procedures shall be established for both keys.

(3) To exit the count room, the count room door must be equipped with an automatic release mechanism or other device as specified in the slot machine licensee's internal controls.

(c) The following must be located within the count room:

(1) A table constructed of clear glass or similar material for the emptying, counting and recording of the contents of slot cash storage boxes and table game drop boxes.

(2) Surveillance cameras capable of video monitoring of:

(i) The entire count process.

(ii) The interior of the count room, including any storage cabinets or trolleys used to store slot cash storage boxes and table game drop boxes and any approved trolley storage area located adjacent to the count room.

Authority

The provisions of this § 465a.24 amended under 4 Pa.C.S. §§ 1202(b)(9)—(23), 1205, 1206(f) and (g), 1207, 1208(1)(iii), 1209(b), 1212, 1213, 1322, 13A02(1)—(6), 13A11, 13A12—13A14, 13A15, 13A25 and 1802 and Chapter 13.

Source

The provisions of this § 465a.24 amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended June 12, 2015, effective June 13, 2015, 45 Pa.B. 2829. Immediately preceding text appears at serial page (375110).

§ 465a.25. Counting and recording of slot cash storage boxes and table game drop boxes.

(a) Prior to commencing gaming operations, a slot machine licensee shall establish a comprehensive system of internal controls addressing the opening, counting and recording of the contents of slot cash storage boxes and table game drop boxes. The internal controls shall be submitted to and approved by the Board under § 465a.2 (relating to internal control systems and audit protocols) and must include:

(1) A workflow diagram which indicates the location of all equipment used in the count, including tables, baskets and bins, and the flow of all currency and paperwork from the start of the count to the conclusion of the count. The approved workflow diagram shall also be filed with the surveillance department.

(2) A description of all computer equipment, software, files or reports used in the counting and recording process and all other systems, if any, that communicate with that computer equipment. The submission must include:

(i) The names of all revenue files, the names of the employees who have access and what type of access they have to those files.

(ii) Controls to prevent access to any count room information by anyone outside of the count room until the entire count process is concluded.

(3) The procedures for conducting each required count, which must include, at a minimum, the following:

(i) In full view of the surveillance cameras, the contents of each slot cash storage box or table game drop box shall be emptied on the count table and either manually counted separately on the count table or counted in a currency counting machine located in a conspicuous location on, near or adjacent to the count table.

(ii) After the contents of each slot cash storage box or table game drop box have been emptied on the count table, the inside of the slot cash storage box or table game drop box shall be held up to the full view of the surveillance cameras to assure that all contents of the slot cash storage box or table game drop box have been removed, after which the slot cash storage box or table game drop box shall be locked and placed in the storage area.

(iii) The contents of each slot cash storage box or table game drop box shall be segregated by a count team member into separate stacks on the count table by each denomination of currency and by the type of required forms or documents. A slot machine licensee may utilize a machine to automatically sort currency by denomination.

(iv) Mutilated or torn currency shall be separated by denomination and recorded as revenue if the bill includes one entire serial number and one letter and number of the serial number from the other half of the bill.

(v) Mutilated or torn currency that is not recorded as revenue shall be placed in a sealed transparent envelope or container and transferred to the main bank by the main bank cashier or cage supervisor at the end of the count.

(vi) Except as provided in subparagraph (vii), each denomination of currency shall be counted separately by one count team member who shall place individual bills of the same denomination on the count table in full view of the surveillance cameras. The currency shall then be counted by a second count team member who is unaware of the result of the original count and who, after completing this count, shall confirm the accuracy of the total, either verbally or in writing, with that reached by the first count team member.

(vii) A slot machine licensee may aggregate counts by denomination of all currency collected in substitution of the second count required under subparagraph (vi), if the original counts are being performed automatically by a machine that counts and automatically records the value of currency, and the accuracy of the machine has been suitably tested and proven in accordance with subparagraph (viii).

(viii) Currency counting machines utilized to count and strap currency, gaming vouchers and coupons may be used if:

(A) Prior to the start of each slot or table game count, the counting machine is tested in accordance with the procedures contained in the slot machine licensee's internal controls to verify the accuracy of the counting machine.

(B) The counting machine automatically provides two separate counts of the funds at different stages of the count process and, if the separate counts are not in agreement, document the discrepancy.

(C) The counting machine is capable of determining the value of a gaming voucher or coupon by independently examining information printed on the gaming voucher or coupon. The information is used by the counting equipment to either calculate the value internally or obtain the value directly from the gaming voucher system or coupon system in a secure manner. When the gaming voucher system is utilized to obtain the value of a gaming voucher or coupon, the gaming voucher system must perform a calculation or integrity check to ensure that the value has not been altered in the system in any manner since the time of issuance.

(ix) A gaming voucher or coupon deposited in a slot cash storage box or table game drop box from a fully automated electronic gaming table or an electronic wagering terminal shall be counted and included in the calculation of revenue without regard to the validity of the gaming voucher or coupon.

(4) Procedures for scheduled breaks to be taken by the count team members during the count. This submission must also address the use of restroom facilities that are located in the count room.

(5) Procedures governing the proper wearing and immediate inspection of jumpsuits worn by the count team members to ensure that items are not taken from the count room without proper authority and that the jumpsuits have not been altered in any way. The count team is prohibited from removing the jumpsuits from the licensed facility.

(b) A slot machine licensee shall file with the Bureau of Casino Compliance, in accordance with § 601a.10(g) (relating to approval of table game layouts, signage and equipment), a schedule setting forth the times during which the contents of slot cash storage boxes, table game drop boxes from table games that are not fully automated electronic gaming tables or electronic wagering terminals and table game drop boxes from table games that are fully automated electronic gaming tables or electronic wagering terminals are to be counted and recorded. The slot machine licensee shall file notice with the Bureau of Casino Compliance and obtain verbal approval from the casino compliance supervisor at the licensed facility prior to deviating from the count schedule.

(c) Immediately prior to the commencement of the count, a count room employee shall notify the surveillance department that the count is about to begin so that surveillance can record the entire count process as required under § 465a.9(e)(8) (relating to surveillance system; surveillance department control; surveillance department restrictions).

(d) Except as otherwise provided in this section, access to the count room during the counting process shall be limited to the count team and those individuals whose presence is necessary to complete the count. The count team shall consist of at least three employees. Employees in the count room who are conducting the count may not, during the counting process, enter a storage area for slot cash storage boxes, table game drop boxes or other items that are part of the count room to perform any function that is not directly related to the counting process.

(e) The opening, counting and recording of the contents of table game drop boxes from table games that are not fully automated electronic gaming tables or electronic wagering terminals may not commence until a casino compliance representative is present in the count room. If the casino compliance representative has to leave the count room during the table game count, the count shall be suspended and all personnel in the count room shall vacate the count room until a casino compliance representative is available to observe the resumption of the count.

(f) All count team members and the casino compliance representative observing a count shall sign a Count Room Attendance Sheet. Any individual who enters or leaves the count room due to an emergency shall sign and record the time of entry or exit on the Count Room Attendance Sheet. When the individual exiting the count room is unable to sign the document due to the emergency, the count room supervisor shall record the individual's name and time of exit and a notation describing the emergency on the Count Room Attendance Sheet. At the conclusion of the count, a copy of the Count Room Attendance Sheet shall be given to the casino compliance representative.

(g) Individuals who are in or who enter the count room when uncounted funds are present shall wear a full-length, one-piece, pocketless jumpsuit with the exception of representatives of the Board, the Department, the Pennsylvania State Police, the security department and the internal audit department.

(h) Individuals present in the count room when uncounted funds are present may not:

(1) Carry a handbag or other container unless it is transparent.

(2) Remove their hands from or return them to a position on or above the count table or counting equipment unless the backs and palms of the hands are first held straight out and exposed to the view of other members of the count team and a surveillance camera.

(i) Once the counting process has started, the doors to the count room shall only be opened for one of the following purposes:

(1) To allow the entire count team to take a scheduled work break.

(2) To allow for a change of casino compliance representatives.

(3) To allow a main bank cashier or cage supervisor to enter the count room to perform the responsibilities in subsection (n) or (o)(6).

(4) To allow the placement of a slot cash storage box or table game drop box or to remove a trolley, empty slot cash storage boxes or table game drop boxes from the count room.

(5) To allow the count team and the casino compliance representative to exit the room at the conclusion of the count.

(6) In the event of an emergency.

(j) If any individual enters or leaves the count room during the counting process, employees remaining in the count room shall display their hands and step away from the count table, banking table and counting equipment until the individual has entered or left the count room.

(k) The counting and recording process shall be discontinued when less than three count team members are present in the count room. When the entire count team takes a scheduled break, all cash that has been removed from the slot cash storage boxes or table game drop boxes shall be counted at least once and secured in a manner approved by the Bureau of Casino Compliance before any member of the count team may leave the count room.

(l) Once the counting process has been started, a member of the count team shall notify surveillance when the count room door will be opened.

(m) All table game drop boxes from table games that are not fully automated electronic gaming tables or electronic wagering terminals shall be counted and recorded at least once each gaming day. The slot machine licensee shall designate which slot cash storage boxes and table game drop boxes from fully automated electronic gaming tables and electronic wagering terminals will be counted and recorded each gaming day. The following shall be counted and recorded separately:

(1) Slot cash storage boxes and table game drop boxes from fully automated electronic gaming tables and electronic wagering terminals.

(2) Table game drop boxes from banking games that are not fully automated electronic gaming tables or electronic wagering terminals.

(3) Table game drop boxes from nonbanking games.

(n) After the contents of slot cash storage boxes and table game drop boxes from fully automated electronic gaming tables and electronic wagering terminals have been removed and counted, a count team member shall present the currency to a main bank cashier or cage supervisor in the count room who shall recount, either manually or mechanically, the currency prior to having access to the information recorded by the count team.

(o) Table game drop boxes from table games that are not fully automated electronic gaming tables or electronic wagering terminals shall be counted and recorded as follows:

(1) As the contents of each table game drop box are counted, a count team member shall manually record the results of the count on the Daily Banking Table Game Count Report and the Daily Nonbanking Table Game Count Report or a computer system. The Daily Banking Table Game Count Report and the Daily Nonbanking Table Game Count Report must be a three-part form consisting of an original and two duplicates. The distribution of the Daily Banking Table Game Count Report and the Daily Nonbanking Table Game Count Report shall be as follows:

(i) The original shall be delivered to revenue audit by the count room supervisor immediately after leaving the count room at the conclusion of the count.

(ii) The second copy shall be retained by the casino compliance representative observing the count.

(iii) The third copy shall be retained by the cage supervisor or main bank cashier.

(2) After the contents of each table game drop box from a banking table game are counted, a member of the count team shall record, manually on the Daily Banking Table Game Count Report or electronically on a computer system, the following information for each banking table game drop box:

(i) The value of each denomination of currency counted.

(ii) The total value of all denominations of currency counted.

(iii) The gaming date of the items being recorded, the total number of banking table game drop boxes opened and counted and the date that the Daily Banking Table Game Count Report is being prepared or generated.

(3) After the contents of each table game drop box from a nonbanking table game are counted, a member of the count team shall record, manually on the Daily Nonbanking Table Game Count Report or electronically on a computer system, the following information for each nonbanking table game drop box:

- (i) The value of Poker rake chips counted.
- (ii) The value of value chips counted.
- (iii) The total value of Poker rake chips and value chips counted.
- (iv) The gaming date of the items being recorded, the total number of nonbanking table game drop boxes opened and counted and the date that the Daily Nonbanking Table Game Count Report is being prepared or generated.

(4) After preparation of the Daily Banking Table Game Count Report and the Daily Nonbanking Table Game Count Report or the electronic equivalents prepared on a computer system, the count team members and the count room supervisor shall sign the reports attesting to the accuracy of information recorded thereon. The count room supervisor shall verify that all of the table game drop boxes from table games that are not fully automated electronic gaming tables or electronic wagering terminals that were collected and opened by count team members have been recorded on the reports.

(5) Once all currency has been counted and the final count totals have been obtained, employees may not be permitted to leave the count room, except in an emergency, until the recount and presentation procedures in paragraph (6) have been completed.

(6) After the contents of all table game drop boxes from table games that are not fully automated electronic gaming tables or electronic wagering terminals have been removed and counted, all cash, value chips and Poker rake chips shall be presented in the count room by a count team member to a main bank cashier or cage supervisor who, prior to having access to the information recorded on the Daily Banking Table Game Count Report and the Daily Nonbanking Table Game Count Report or electronic equivalents and in the presence of the count team members and the casino compliance representative, shall recount, either manually or mechanically, the currency, value chips and Poker rake chips presented in accordance with the following requirements:

(i) The main bank cashier or cage supervisor shall have physical access to all currency, value chips and Poker rake chips presented for recounting. Currency, value chips or Poker rake chips for recounting may not be wrapped or placed in a sealed bag or container until the entire recount has been completed and the Daily Banking Table Game Count Report and the Daily Nonbanking Table Game Count Report or electronic equivalents have been signed by the entire count team, the count room supervisor, the main bank cashier or cage supervisor and the casino compliance representative.

(ii) The main bank cashier or cage supervisor may bulk count all strapped currency.

(iii) All partial straps, loose currency, mutilated or torn currency, value chips and Poker rake chips shall be recounted by the main bank cashier or cage supervisor either by hand or with an approved counting device.

(iv) The casino compliance representative may direct that currency straps of any denomination be recounted by the main bank cashier or cage supervisor, either by hand or by counting equipment, if a discrepancy either in denomination total or grand total is discovered during the initial bulk recount.

(v) Upon completion of the recount, the main bank cashier or cage supervisor shall attest by signature on the Daily Banking Table Game Count Report and the Daily Nonbanking Table Game Count Report or electronic equivalents the amounts of currency, value chips and Poker rake chips counted, after which the casino compliance representative shall sign the report evidencing his presence during the count and the fact that both the main bank cashier or cage supervisor and count team have agreed on the total amounts of currency, value chips and Poker rake chips counted.

(vi) When all required signatures have been obtained, the second copy of the Daily Banking Table Game Count Report and the Daily Nonbanking Table Game Count Report or electronic equivalents shall be given to the casino compliance representative and the third copy shall be retained by the cage supervisor or main bank cashier.

(vii) The original Daily Banking Table Game Count Report and the Daily Nonbanking Table Game Count Report or electronic equivalents, the Requests for Fills, the Fill Slips, the Requests for Credits, the Credit Slips, the issuance copy of the Counter Checks, the Table Inventory Slips and any other supporting documentation shall be transported directly to the accounting department and may not be available to cage personnel.

(7) A count room employee, in the presence of the casino compliance representative who observed the count, shall conduct a thorough inspection of the entire count room and all counting equipment located therein to verify that no currency, value chips, Poker rake chips, Counter Checks, gaming vouchers, coupons or supporting documentation remains in the room.

(p) If any problems occur with the slot or table count procedures or machines (for example, computer interface malfunctions or strap overages or shortages), the problems shall be brought to the immediate attention of a casino compliance representative and a detailed written report explaining the problem, the reason for the problem and the corrective action taken shall be filed by the count room supervisor or above with the casino compliance representatives within 24 hours of the conclusion of the count.

(q) Notwithstanding the requirements of this section and § 465a.18 (relating to transportation of slot cash storage boxes and table game drop boxes to and from the gaming floor; storage), a slot machine licensee may submit, as part of its internal controls, alternate procedures for the separate collection, distribution, opening and counting of nonbanking table game drop boxes in a room, other than the count room, provided that:

(1) The room for the counting of nonbanking table game drop boxes shall be dual access controlled by the finance department and the security or surveillance department and covered by the slot machine licensee's surveillance system.

(2) Immediately prior to the commencement of the nonbanking table game count, an employee of the finance department who is participating in the count

shall notify the surveillance department that the count is about to begin so that surveillance can record the entire count process as required under § 465a.9(e)(8).

(3) The count shall be conducted by at least two employees of the finance department who are not assigned as Poker room cage employees on that gaming day and who have no incompatible duties.

(4) The opening, counting and recording of the contents of nonbanking table game drop boxes may not commence until a casino compliance representative is present. If the casino compliance representative has to leave or if less than two finance department employees are present, the count will be suspended until at least two finance department employees and a casino compliance representative are present.

(5) Individuals who participate in the nonbanking table game count may not remove their hands from or return them to a position on or above the count table unless the backs and palms of the hands are first held straight out and exposed to the view of other finance department employees involved in the count and a surveillance camera.

(6) The contents of each nonbanking table game drop box shall be counted and recorded in accordance with subsection (o)(1) and (3). After preparation of the daily nonbanking table game count report or the electronic equivalents prepared on a computer system, the finance department employees who participated in the count shall sign the report attesting to the accuracy of the information recorded thereon. Once the contents of the nonbanking table game drop boxes has been counted and the final count totals have been obtained, employees may not leave the room, except in an emergency, until the recount and presentation procedures in paragraph (7) have been completed.

(7) The cash, value chips and Poker rake chips removed from the nonbanking table game drop boxes shall then be presented to a cage supervisor who did not participate in the count and shall be recounted and recorded in accordance with subsection (o)(6).

(8) The slot machine licensee shall submit procedures governing how scheduled work breaks will be conducted, if any, during the nonbanking table game count.

Authority

The provisions of this § 465a.25 amended under 4 Pa.C.S. §§ 1202(b)(30), 1207, 13A02(1)—(6), 13A25, 13A62(a) and 1322.

Source

The provisions of this § 465a.25 amended October 10, 2008, effective October 11, 2008, 38 Pa.B. 5652; amended September 25, 2009, effective September 26, 2009, 39 Pa.B. 5562; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended December 15, 2017, effective December 16, 2017, 47 Pa.B. 7563. Immediately preceding text appears at serial pages (375111) to (375118) and (377549).

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Cross References

This section cited in 58 Pa. Code § 465a.36 (relating to table inventories); 58 Pa. Code § 601a.9 (relating to table game taxes and gross table game revenue); 58 Pa. Code § 601a.10 (relating to approval of table game layouts, signage and equipment); and 58 Pa. Code § 603a.20 (relating to Match Play Coupons; physical characteristics and issuance).

§ 465a.26. Jackpot and credit meter payouts.

(a) Prior to commencing gaming operations, a slot machine licensee shall establish a comprehensive system of internal controls addressing jackpot and credit meter payouts that are not paid directly from a slot machine, electronic wagering terminal or fully automated electronic gaming table. The internal controls shall be submitted to and approved by the Board under § 465a.2 (relating to internal control systems and audit protocols).

(b) The internal control procedures must, at a minimum, include:

(1) The use of a two-part electronically generated jackpot/credit meter payout slip created by a slot attendant or slot supervisor or higher slot operations department employee, verifying the winning wager or winning combination of characters or a code corresponding to the winning combination of characters on the slot machine, electronic wagering terminal or fully automated electronic gaming table and the amount of the jackpot or credit meter payout based on the observed winning wager or winning combinations.

(2) A requirement that if the jackpot or credit meter payout on a slot machine is equal to or between \$1,200 and \$9,999.99, a security department member or a slot operations department member other than the preparer shall sign the jackpot/credit meter payout slip verifying the winning combination of characters or a code corresponding to the winning combination of characters on the slot machine, the amount of the jackpot or credit meter payout and the payment of the jackpot or credit meter payout to the patron. Notwithstanding the forgoing, if the licensee's slot or casino management system can independently verify a jackpot or credit meter payout, only the preparer is required to sign the jackpot/credit meter payout slip for payouts less than or equal to \$4,999.99 provided that the slot machine licensee's internal control reflect the following:

(i) If the slot machine licensee's slot or casino management system or the central control computer system are not fully operational, or when overrides or adjustments are required, two individuals shall verify a jackpot or credit meter payout that is equal to or between \$1,200 and \$9,999.99 as specified in this paragraph.

(ii) Jackpot payouts that are equal to or greater than \$1,200 shall be accompanied by the issuance of a W-2G Form.

(3) A requirement that if the jackpot or credit meter payout is equal to or between \$10,000 and \$24,999.99 on a slot machine, or between \$5,000 and \$24,999.99 on a fully automated electronic gaming table or electronic wagering terminal, a security department member, a slot supervisor or other

employee holding the same or greater level of authority than a slot supervisor shall sign the jackpot/credit meter payout slip verifying the winning wager or winning combination of characters or a code corresponding to the winning combination of characters on the slot machine, electronic wagering terminal or fully automated electronic gaming table, the amount of the jackpot or credit meter payout, and the payment of the jackpot or credit meter payout to the patron. If the two-part electronically generated jackpot/credit meter payout slip required under paragraph (1) is created by a slot supervisor or higher slot operations department employee, the verification required by this paragraph may be completed by a slot attendant, security department member, a slot supervisor or other employee holding the same or greater level of authority as a slot supervisor.

(4) A requirement that if the jackpot or credit meter payout on a slot machine, electronic wagering terminal or fully automated electronic gaming table is \$25,000 or more, a slot supervisor or other employee holding the same or greater level of authority as a slot supervisor shall sign the jackpot/credit meter payout slip verifying the winning wager or winning combination of characters or a code corresponding to the winning combination of characters on the slot machine, electronic wagering terminal or fully automated electronic gaming table, the amount of the jackpot or credit meter payout, and the payment of the jackpot or credit meter payout to the patron. If the two-part electronically generated jackpot/credit meter payout slip required under paragraph (1) is created by a slot supervisor or higher slot operations department employee, the verification required by this paragraph may be completed by a slot attendant, security department member, a slot supervisor or other employee holding the same or greater level of authority as a slot supervisor.

(5) A requirement that the following information be on all two-part electronically generated jackpot/credit meter payout slips:

- (i) The date and time of the jackpot or credit meter payout.
- (ii) The asset number of the slot machine, electronic wagering terminal or fully automated electronic gaming table on which the jackpot or credit meter payout was registered.
- (iii) The winning wager or winning combination of characters constituting the jackpot or a code corresponding to the winning combination of characters constituting the jackpot.
- (iv) The type of win (that is, progressive, jackpot or credit meter payout).
- (v) The amount that is to be paid to the winning patron. This amount may, at the slot machine licensee's discretion, be rounded up to the nearest whole dollar.
- (vi) A unique number generated by the slot monitoring system.
- (vii) The signature or, if the slot accounting system has approved controls for access to the system, the electronic authorization of the preparer.

(viii) The signature or, if the slot accounting system has appropriate controls for access, the electronic authorization of the witness when the amount is equal to or greater than \$1,200, except as provided in paragraph (2).

(ix) The signature or identification code of the cashier providing the funds to the preparer, if applicable.

(6) A requirement that the two-part electronically generated jackpot/credit meter payout slip not be susceptible to any changes or deletion from the slot monitoring system by any personnel after preparation.

(7) A requirement that whenever a winning patron is paid directly by a slot attendant's imprest fund, a two-part manual jackpot/credit meter payout slip is completed that contains the following information:

(i) The date and time of the jackpot or credit meter payout.

(ii) The asset number of the slot machine, electronic wagering terminal or fully automated electronic gaming table on which the jackpot or credit meter payout was registered.

(iii) The winning wager or winning combination of characters constituting the jackpot or a code corresponding to the winning combination of characters constituting the jackpot.

(iv) The type of win (that is, progressive, jackpot or credit meter payout).

(v) The amount paid to the winning patron. This amount may, at the slot machine licensee's discretion, be rounded up to the nearest whole dollar.

(vi) The signature and Board-issued credential number of the preparer.

(vii) The signature and Board-issued credential number of the witness when the amount is equal to or greater than \$1,200, except as provided in paragraph (2).

(8) When jackpot or credit meter payouts are made from slot attendants' imprest funds, procedures for the replenishment of the imprest funds and the reconciliation process to be used by the slot attendants.

(9) A requirement that the slot machine licensee's accounting department perform, at the conclusion of each gaming day, effective audit procedures over the issuance of jackpot and credit meter payouts including adequate comparisons to the slot monitoring system.

(10) Detailed procedures on the processing of all system overrides or adjustments to jackpot or credit meter payouts. All jackpot or credit meter payouts that do not match the payout amount electronically sent from the slot machine, electronic wagering terminal or fully automated electronic gaming table to the slot monitoring system require an override.

(11) Detailed procedures for the processing of all voided jackpot/credit meter payout slips.

(12) Detailed procedures for the processing of unclaimed taxable jackpot payouts. The procedures must include notice to the casino compliance representatives at the licensed facility when an unclaimed taxable jackpot payout or credit meter payout occurs.

(13) Back-up procedures that will be used when the slot monitoring system is offline or an electronic jackpot payout slip cannot be created, including the use of a three-part manual jackpot or credit meter payout book or equivalent. The three-part manual jackpot payout book or equivalent must contain pre-printed, serial numbered three-part manual jackpot/credit meter payout slips that include the following information:

- (i) Preprinted serial numbers.
- (ii) The date and time of the jackpot or credit meter payout.
- (iii) The asset number of the slot machine, electronic wagering terminal or fully automated electronic gaming table on which the jackpot or credit meter payout was registered.
- (iv) The amount of the jackpot or credit meter payout.
- (v) The method of payment requested by the patron.
- (vi) The signature and Board-issued credential number of the preparer.
- (vii) The signature and Board-issued credential number of the witness when the amount is equal to or greater than \$1,200.

(14) A requirement that the unused manual jackpot payout books or equivalent be maintained in a secured locked cabinet, that the key to the cabinet be controlled by the security department or the finance department and that the manual jackpot payout books or equivalent can only be signed out by a slot supervisor or other employee holding a greater level of authority when the slot monitoring system is offline.

(15) A requirement that the surveillance department be verbally notified of all jackpot or credit meter payouts when the amount of the jackpot or credit meter payout is \$5,000 or more. The surveillance department shall log all calls regarding jackpot or credit meter payouts in the surveillance log.

Authority

The provisions of this § 465a.26 amended under 4 Pa.C.S. §§ 1202(b)(15) and (30), 1207, 1212, 13A02(1)—(6), 13A25, 13A26(c), 13A62(a), 1322, 1509, 1516, 1518(a)(13) and 1602.

Source

The provisions of this § 465a.26 amended October 10, 2008, effective October 11, 2008, 38 Pa.B. 5652; amended September 25, 2009, effective September 26, 2009, 39 Pa.B. 5562; amended January 15, 2010, effective February 16, 2010, 40 Pa.B. 416; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended November 7, 2014, effective November 8, 2014, 44 Pa.B. 7057; amended December 15, 2017, effective December 16, 2017, 47 Pa.B. 7563. Immediately preceding text appears at serial pages (377549) to (377550) and (375121) to (375122).

Cross References

This section cited in 58 Pa. Code § 465a.16 (relating to accounting controls for the cage); 58 Pa. Code § 465a.27 (relating to annuity jackpots); and 58 Pa. Code § 465a.28 (relating to merchandise jackpots).

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§ 465a.27. Annuity jackpots.

(a) A slot machine licensee offering an annuity jackpot payable over 10 years or more may offer a winning patron the option to be paid in a single cash payout, in lieu of the annuity jackpot, in an amount that is equal to the present value of the face amount of the jackpot payout as calculated in subsection (b).

(b) A slot machine licensee may offer a cash payment option. The present value of the cash payout option on an annuity shall be determined by applying a discount rate to each of the future annuity jackpot payments, taking into consideration the number of years until each jackpot payment would otherwise have been received and adding to that amount the amount of the first cash payment that would otherwise have been received. For the purposes of this subsection, the discount rate must equal the United States Treasury constant maturity rate for 20 year United States government securities for the week ending prior to the date of the jackpot, as identified in the applicable H.15 Statistical Release issued by the Federal Reserve Board plus 0.5%.

(c) A slot machine licensee may not offer an annuity jackpot payout unless:

(1) The terms and conditions of the annuity jackpot, including the effect on the calculation of the theoretical payout percentage, comply with the act, this subpart and technical standards on jackpot payouts approved by the Board and published in the *Pennsylvania Bulletin* and posted on the Board's website.

(2) The Board has approved the specific offer of the annuity jackpot.

(d) A cash payout made in connection with an annuity jackpot must be made in accordance with § 465a.26 (relating to jackpot and credit meter payouts).

(e) Prior to the payment of an annuity jackpot, each slot machine licensee shall establish a comprehensive system of internal controls addressing the payment of an annuity jackpot. The internal controls shall be submitted to and approved by the Board under § 465a.2 (relating to internal control systems and audit protocols).

(1) The internal control procedures developed and implemented by the slot machine licensee must include:

(i) Procedures to be followed by a winning patron to exercise a cash payout option.

(ii) Procedures with regard to the administration of the trust agreement established to insure the future cash payments due under the annuity jackpot award.

(iii) A requirement that the trustee for the trust fund established by the trust agreement be a banking institution in this Commonwealth, a slot machine licensee or, for a wide area progressive system offering an annuity jackpot, the slot system operator for that wide area progressive system.

(2) A slot machine licensee may not offer an annuity jackpot until its supporting trust agreement and the internal controls required under this section have been approved in writing by the Board under § 465a.2.

Source

The provisions of this § 465a.27 amended October 10, 2008, effective October 11, 2008, 38 Pa.B. 5652. Immediately preceding text appears at serial pages (329029) to (329030).

§ 465a.28. Merchandise jackpots.

(a) A slot machine licensee may not offer a merchandise jackpot payout unless:

(1) The terms and conditions of the merchandise jackpot, including the effect on the calculation of the theoretical payout percentage, comply with the act, this subpart and technical standards on jackpot payouts approved by the Board and published in the *Pennsylvania Bulletin* and posted on the Board's web site.

(2) The Executive Director has approved the specific offer of the merchandise jackpot. To obtain the Executive Director's approval, a slot machine licensee shall file a written request with the Bureau of Gaming Operations containing all of the details related to the merchandise jackpot payout including:

(i) A detailed description of the merchandise jackpot.

(ii) A description of the slot machines that will offer the merchandise jackpot.

(iii) Supporting documentation relating to the valuation of the merchandise offered as the merchandise jackpot.

(b) A merchandise jackpot may consist of one of the following:

(1) A payout that consists of both merchandise and cash.

(2) A payout of merchandise only with an optional cash payout that the patron may elect to receive in lieu of receiving the merchandise.

(c) A cash payout made in connection with a merchandise jackpot shall be made in accordance with § 465a.26 (relating to jackpot and credit meter payouts).

(d) Prior to offering a merchandise jackpot, each slot machine licensee shall establish a comprehensive system of internal controls addressing the payment of a merchandise jackpot. The internal controls shall be submitted to and approved by the Board under § 465a.2 (relating to internal control systems and audit protocols).

(e) Whenever a slot machine licensee offers a merchandise jackpot consisting of merchandise or an optional cash payment, the cash equivalent value of the merchandise must equal or exceed the value of the optional cash payment. The cash equivalent value of the merchandise shall be determined as follows:

(1) Merchandise that is sold directly to the public in the normal course of the slot machine licensee's business shall be recorded at an amount based upon full retail price normally charged for the item.

(2) Merchandise which is not offered for sale to the public in the normal course of the slot machine licensee's business but which is provided directly to the patron by the slot machine licensee shall be recorded at an amount based upon the actual cost to the slot machine licensee of providing the item.

(3) Merchandise provided directly or indirectly to the patron on behalf of a slot machine licensee by a third party not affiliated with the slot machine licensee shall be recorded at an amount based upon the actual cost to the slot machine licensee of having the third party provide the item.

(4) Merchandise provided directly or indirectly to the patron on behalf of a slot machine licensee by a third party who is affiliated with the slot machine licensee shall be recorded by the slot machine licensee in accordance with this subsection as if the affiliated party were the slot machine licensee.

(f) Slot machine licensees shall retain and make available to the Board upon request supporting documentation relating to the acquisition and valuation of merchandise offered as a merchandise jackpot.

(g) A merchandise jackpot will be considered to be winnings for the purpose of calculating gross terminal revenue and the payout percentage of any slot machine. The value of the merchandise jackpot will be determined as follows:

(1) For a combination of merchandise and cash, the cash equivalent value of the merchandise as calculated under subsection (e) plus the amount of cash awarded.

(2) For merchandise or an optional cash payment in lieu of the merchandise, the value of the award selected by the winning patron.

(h) Slot machine licensees shall notify the Department of the slot machines that will be offering the merchandise jackpot and the value of each merchandise jackpot awarded.

(i) Advertising of merchandise jackpots must include the following at a minimum:

(1) An accurate description of the merchandise jackpot.

(2) The dates the merchandise jackpot will be offered.

(3) The cash equivalent value of the merchandise jackpot.

(4) The optional cash payment that will be offered in lieu of the merchandise, if an optional cash payment is offered.

(j) Until the merchandise jackpot is won by a patron, a slot machine licensee may not decrease the probability of winning the merchandise jackpot, increase the denomination of a slot machine offering the merchandise jackpot, nor in any other way vary the terms upon which the merchandise jackpot is offered to the public.

(k) Slot machines which are linked to offer the same merchandise jackpot must have the same probability of winning that jackpot.

(l) A slot machine which offers a merchandise jackpot as a payout which is removed from the gaming floor shall be returned to or replaced on the gaming floor within 5 days. If the slot machine is not returned or replaced, the merchandise jackpot shall, within 5 days of the slot machine's removal, be offered as a payout on another slot machine or slot system approved by the Board which offers the same or a greater probability of winning the merchandise jackpot, and accepts a denomination of coin the same or less than the denomination accepted by the slot machine which was removed.

Source

The provisions of this § 465a.28 amended October 10, 2008, effective October 11, 2008, 38 Pa.B. 5652; amended August 28, 2009, effective August 29, 2009, 39 Pa.B. 5125. Immediately preceding text appears at serial pages (338712) to (338714).

§ 465a.29. Automated teller machines.

(a) Automated teller machines may be placed at any location within a licensed facility. Automated teller machines that offer credit card advances may not be placed on the gaming floor.

(b) An automated teller machine must have a label on the top and front of the automated teller machine that displays a unique identification number of the automated teller machine. The labels must have white lettering on a black background or another color combination approved by the Bureau of Casino Compliance, may not be easily removed and must be easily visible to the surveillance department. The label on the top of the automated teller machine must be at least 1.5 inches by 5.5 inches and the label on the front of the automated teller machine must be at least 1 inch by 2.5 inches.

(c) A slot machine licensee may utilize an automated teller machine that also contains an automated gaming voucher redemption machine, an automated coupon redemption machine or bill breaker provided that the machine complies with § 465a.34 (relating to automated gaming voucher and coupon redemption machine accounting controls).

(d) Automated teller machines located within a licensed facility may not accept Pennsylvania Access/Electronic Benefits Transfer Cards.

Authority

The provisions of this § 465a.29 amended under the Pennsylvania Race Horse Development and Gaming Act, 4 Pa.C.S. §§ 1202(b)(15) and (30), 1207, 1212, 1322, 13A02(1)—(6), 13A25, 13A26(c), 1509, 1516, 1518(a)(13) and 1602.

Source

The provisions of this § 465a.29 amended October 10, 2008, effective October 11, 2008, 38 Pa.B. 5652; amended August 28, 2009, effective August 29, 2009, 39 Pa.B. 5125; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended November 7, 2014, effective November 8, 2014, 44 Pa.B. 7057. Immediately preceding text appears at serial page (362125).

§ 465a.30. Waiver of requirements.

(a) The Board's Executive Director may waive one or more of the requirements of this chapter or technical standards applicable to accounting and internal controls adopted by the Board and published in the *Pennsylvania Bulletin* and posted on the Board's web site upon a determination that the nonconforming control or procedure nonetheless meets the operational integrity requirements of the act, this subpart and technical standards adopted by the Board and published in the *Pennsylvania Bulletin* and posted on the Board's web site.

(b) A slot machine licensee may submit a request to the Board's Executive Director for a waiver for one or more of the requirements in this chapter or the technical standards applicable to accounting and internal controls adopted by the Board and published in the *Pennsylvania Bulletin* and posted on the Board's web site. The request must:

- (1) Be filed with the Board's Executive Director.

(2) Include supporting documentation demonstrating how the accounting and internal controls for which the waiver has been requested will still meet the operational integrity requirements of the act, this subpart and technical standards adopted by the Board and published in the *Pennsylvania Bulletin* and posted on the Board's web site.

(3) Be approved by the Board's Executive Director.

Authority

The provisions of this § 465a.30 amended under 4 Pa.C.S. §§ 1207, 1322, 13A02(1)—(6) and 13A25.

Source

The provisions of this § 465a.30 corrected May 20, 2011, effective November 7, 2009, 41 Pa.B. 2580; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585. Immediately preceding text appears at serial pages (357097) to (357098).

§ 465a.31. Gaming day.

(a) For the purposes of determining gross terminal and gross table game revenue, the beginning and ending times of the gaming day will be 6:00 a.m. to 5:59.59 a.m.

(b) Prior to commencing slot or table game operations, each slot machine licensee shall submit to the Board, in writing, its hours of operation. A slot machine licensee may not commence gaming operations until its hours of operation are approved by the Board.

(c) Any change in a slot machine licensee's hours of operation shall be submitted as a change to the slot machine licensee's internal controls in accordance with the requirements in § 465a.2(f) (relating to internal control systems and audit protocols) but may not be implemented until approved by the Board's Executive Director.

Authority

The provisions of this § 465a.31 amended under 4 Pa.C.S. §§ 1202(b)(30), 1207, 1321, 1322, 13A02(1)—(6) and 13A25.

Source

The provisions of this § 465a.31 amended October 10, 2008, effective October 11, 2008, 38 Pa.B. 5652; amended February 26, 2010, effective February 27, 2010, 40 Pa.B. 1082; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585. Immediately preceding text appears at serial page (357098).

§ 465a.32. Signature.

An employee signature may be in either of the following formats:

(1) The employee's first initial, last name and Board-issued credential number, written by the employee, immediately adjacent to or above the clearly printed or preprinted title of the employee.

(2) The employee's unique identification number or other computer identification code issued to the employee by the slot machine licensee, if the document to be signed is authorized by the Board to be generated by a computer system and the method of signature is approved or required by the Board.

Authority

The provisions of this § 465a.32 amended under 4 Pa.C.S. §§ 1207, 1322, 13A02(1)—(6) and 13A25.

Source

The provisions of this § 465a.32 amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585. Immediately preceding text appears at serial page (357098).

§ 465a.33. Access to areas containing central control computer equipment.

A slot machine licensee shall develop and submit to the Board and the Department, as part of the submission required under § 465a.2 (relating to internal control systems and audit protocols), procedures for safeguarding and limiting access to the central control computer (CCC) equipment housed within the licensed facility. At a minimum, these procedures must include the following requirements:

- (1) The area containing CCC equipment must:
 - (i) Be secured with a manual key lock system, the keys to which must be different from any other keys used in the licensed facility.
 - (ii) Have a door that when opened audibly signals the surveillance monitoring room.
 - (iii) Have adequate surveillance camera coverage to record all activity in the area.

(2) Access to the area containing the CCC system equipment may not be permitted unless prior arrangements have been made with the Department and the operator of the CCC system.

(3) All keys which access the area containing CCC equipment shall be maintained by the slot machine licensee's security department. The keys may only be signed out by a security supervisor or above to employees of the Department or the operator of the CCC system who are on the authorized access list. The authorized access list shall be obtained from the Department and made available to the casino compliance representatives and the director of security at the licensed facility. A verbal notification shall be made to the surveillance monitoring room, the operator of the CCC system and the casino compliance representatives at the licensed facility prior to signing out the keys.

(4) The slot machine licensee shall maintain an access log for the area containing CCC equipment. The log shall be maintained in a book with bound numbered pages that cannot be readily removed and placed in close proximity to the CCC equipment. Casino compliance representatives at the licensed facility may review the log upon request to the Department and the operator of the

CCC system. The log shall be stored and retained in accordance with § 465a.6 (relating to retention, storage and destruction of books, records and documents). The following information shall be recorded in a log:

- (i) The date and time of each entry.
- (ii) The entering individual's name, Board-issued credential number and department or affiliation.
- (iii) The reason for entering the area containing CCC equipment.
- (iv) The name of the individual authorizing entry into the area containing CCC equipment.
- (v) The date and time of exiting the area containing the CCC equipment.

(5) Individuals who are not authorized to have access to the area containing CCC equipment may only be granted access for emergency situations requiring environmental adjustments, such as electrical, plumbing or HVAC malfunctions, with a security escort. When emergency access is granted, the slot machine licensee shall provide notice immediately to the Department, the operator of the CCC system and the casino compliance representatives at the licensed facility prior to permitting entry to the area containing CCC equipment.

Authority

The provisions of this § 465a.33 adopted under 4 Pa.C.S. §§ 1202(b)(30), 1207, 13A02(1)—(6), 1322 and 13A25; amended under 4 Pa.C.S. §§ 1207(b)(30), 1207(3), (6), (9) and (21) and 13A02(1), (2) and (4).

Source

The provisions of this § 465a.33 adopted December 12, 2008, effective December 13, 2008, 38 Pa.B. 6749; amended May 14, 2010, effective May 15, 2010, 40 Pa.B. 2535; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended January 31, 2014, effective February 1, 2014, 44 Pa.B. 599. Immediately preceding text appears at serial pages (362127) to (362128).

§ 465a.34. Automated gaming voucher and coupon redemption machine accounting controls.

(a) Prior to commencing use of an automated gaming voucher redemption machine, an automated coupon redemption machine, bill breaker or some combination thereof, a slot machine licensee shall establish a comprehensive system of internal controls. The internal controls shall be submitted to, and approved by the Board under § 465a.2 (relating to internal control systems and audit protocols).

(b) The internal controls required under subsection (a) must:

(1) Address the distribution of currency or coin, or both, to the machines, the removal of gaming vouchers, coupons or currency accepted by the machines and the reconciliations associated therewith.

(2) Include a detailed description of which departments maintain and control the keys to the locks securing each compartment of the automated gaming voucher redemption machine, automated coupon redemption machine, bill breaker or combination thereof, provided that:

- (i) The keys to each compartment of the machine must be different from each other.

(ii) The key to the lock securing the compartments containing currency shall be maintained and controlled by the finance department.

(iii) The keys to the remaining compartments shall be maintained and controlled by a designated department to ensure the proper segregation of duties.

(3) Require either the finance department or slot operations department to clear the error conditions listed in § 461a.10(o) (relating to automated gaming voucher and coupon redemption machines).

Authority

The provisions of this § 465a.34 adopted under 4 Pa.C.S. §§ 1202(b)(30), 1207, 1322, 13A02(1)—(6) and 13A25.

Source

The provisions of this § 465a.34 adopted May 14, 2010, effective May 15, 2010, 40 Pa.B. 2535; amended May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585. Immediately preceding text appears at serial page (349938).

Cross References

This section cited in 58 Pa. Code § 465a.29 (relating to automated teller machines).

§ 465a.35. Personnel assigned to the operation and conduct of table games.

(a) The following personnel shall be used to operate table games that are not fully automated electronic gaming tables in a licensed facility:

- (1) Dealers.
- (2) Stickpersons.
- (3) Boxpersons.
- (4) Floorpersons
- (5) Pit managers.
- (6) Poker shift managers.
- (7) Assistant table games shift managers.
- (8) Table games shift managers.

(b) Certificate holders shall maintain the following minimum levels of staffing when table games are being operated:

- (1) One dealer for any table game other than Craps or Baccarat.
- (2) Two dealers for each Baccarat table.
- (3) Three dealers for each Craps and Three Dice Football table, one of whom shall act as the stickperson.
- (4) One boxperson for each Craps table.

(c) Certificate holders shall provide a sufficient number of floorpersons to supervise the operation of table games in accordance with the standards in this subsection. A floorperson may not supervise more than the number of tables specified in one of the following paragraphs:

- (1) Four tables comprised of any combination of banking table games excluding:
 - (i) Baccarat.
 - (ii) Midibaccarat.
 - (iii) Craps.

- (iv) Mini-Craps.
 - (v) Pai Gow.
 - (vi) Three Dice Football.
 - (2) One Baccarat table.
 - (3) Two Midibaccarat tables.
 - (4) One Midibaccarat table and one table of any other banking table game excluding Baccarat, Craps and Mini-Craps.
 - (5) Three Craps tables.
 - (6) One Craps table and two tables of any other banking table game excluding Baccarat, Midibaccarat, Mini-Craps and Pai Gow.
 - (7) One Mini-Craps table, if only one dealer is assigned to the table.
 - (8) Two Mini-Craps tables, if there is a dealer and a stickperson assigned to the tables.
 - (9) Two Pai Gow tables, if the tables are in a side-by-side configuration.
 - (10) One Pai Gow table and one table of any other banking table game excluding Baccarat, Craps and Mini-Craps.
 - (11) Eight Poker tables.
 - (12) Ten Poker tables, if the floorperson assigned to Poker does not have responsibilities for seating players.
 - (13) Two Three Dice Football tables or one Three Dice Football table and one table of any other banking table game excluding Baccarat, Midibaccarat, Craps, Mini-Craps and Pai Gow.
- (d) If the gaming tables being supervised by a floorperson are electronic gaming tables, other than fully automated electronic gaming tables or electronic wagering terminals, the maximum number of gaming tables that the floorperson may supervise may be increased by 50%. For example, under subsection (c)(1) the floorperson would be allowed to supervise six banking gaming tables instead of four.
- (e) Certificate holders shall provide a sufficient number of pit managers or assistant table games shift managers to supervise the operation of table games subject to the limitation that a pit manager or assistant table games shift manager may not directly supervise more than eight floorpersons.
- (f) Certificate holders shall provide a Poker shift manager to supervise all open Poker tables. If no more than three Poker tables are open, a floorperson is not required.
- (g) Certificate holders shall provide a table games shift manager to supervise the operation of table games during every shift. An assistant table games shift manager may be designated to act as the table games shift manager in the table games shift manager's absence, but that assistant table games shift manager may not be counted toward the number of pit managers or assistant table games shift managers required under subsection (e).
- (h) A certificate holder may request to use a staffing plan that differs from the minimum standards in this section by filing a written Alternate Minimum Staffing Plan in accordance with § 601a.10(a) (relating to approval of table game layouts, signage and equipment). The Alternate Minimum Staffing Plan must, at a minimum, include:
- (1) The pit number and configuration of any pit affected.
 - (2) The type, location and table number of any table affected.
 - (3) The standard staffing level required for the gaming table or tables by this section and the proposed alternative staffing.

(4) The days, shifts or times during which the alternative staffing would be in effect.

(5) A narrative explaining the rationale for the proposed alternative staffing and how the alternative staffing will protect the integrity of gaming at the affected gaming tables.

(i) A certificate holder that has filed a request to use an Alternate Minimum Staffing Plan may not implement that plan until the certificate holder has received written approval from the Board's Executive Director.

(j) Nothing in this section limits a certificate holder from utilizing personnel in addition to those described in this section nor limits the discretion of the Board to order the utilization of additional personnel in the operation and conduct of table games.

Authority

The provisions of this § 465a.35 issued and amended under 4 Pa.C.S. §§ 1202(b)(30), 1207, 13A02(1)—(6), 13A25, 13A62(a) and 1322.

Source

The provisions of this § 465a.35 adopted May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended January 31, 2014, effective February 1, 2014, 44 Pa.B. 619; amended December 15, 2017, effective December 16, 2017, 47 Pa.B. 7563. Immediately preceding text appears at serial pages (370369) to (370370) and (375785).

Cross References

This section cited in 58 Pa. Code § 467a.1 (relating to gaming floor plan).

§ 465a.36. Table inventories.

(a) When a table game that is not a fully automated electronic gaming table or electronic wagering terminal is opened for gaming, operations shall commence with an amount of gaming chips, coins and plaques to be known as the table inventory.

(b) A certificate holder may not cause or permit gaming chips, coins or plaques to be added to, or removed from, the table inventory during the gaming day except:

(1) In exchange for cash.

(2) In exchange for the issuance copies of Counter Checks presented by patrons.

(3) For the payment of winning wagers and collection of losing wagers made at the gaming table.

(4) In exchange for gaming chips or plaques received from a patron having an equal aggregate face value.

(5) In conformity with the fill and credit procedures in §§ 465a.38 and 465a.39 (relating to procedures for distributing value chips, coins and plaques to gaming tables; and procedures for removing value chips, coins and plaques from gaming tables).

(6) For the collection of vigorish.

(c) When a table game is not open for gaming activity, the table inventory and a Table Inventory Slip prepared in conformity with §§ 465a.37, 465a.42 and 465a.44 (relating to procedures for opening table games; procedures for closing table games; and table inventory counts on a per shift basis) must be stored in a locked container which shall be clearly marked on the outside with the game and the gaming table number to which it corresponds. A Table Inventory Slip shall be completed on a table game that is not open for gaming activity at least once per gaming day. The information on the Table Inventory Slip must be visible from the

outside of the container. Containers must be stored either in the cage or secured to the gaming table, in a manner approved by the Bureau of Casino Compliance.

(d) The keys to the locked containers containing the table inventories shall be maintained and controlled by the table games department and may not be made accessible to cage personnel or to any employee responsible for transporting the table inventories to or from the gaming tables.

(e) Table Inventory Slips must be two-part forms upon which the following is recorded:

- (1) The date and identification of the shift ended.
- (2) The game and table number.
- (3) The total value of each denomination of value chips, coins and plaques remaining at the gaming table.
- (4) The total value of all denominations of value chips, coins and plaques remaining at the gaming table.
- (5) The signatures of the dealer or boxperson and floorperson assigned to the gaming table who conducted the count of the table inventory when the gaming table was closed and when the gaming table was opened.

(f) Notwithstanding the requirements in subsection (c), a certificate holder may utilize the following alternative procedure for table games that are not open for gaming activity during the gaming day:

- (1) A floorperson or above shall complete a Closed Table form for every table that was not open for gaming during the gaming day.
- (2) The table inventory must remain locked during completion of the Closed Table form.
- (3) The Closed Table form must contain:
 - (i) The date and identification of the shift ended.
 - (ii) The game and table number.
 - (iii) The date the table was last opened for gaming (the date on the Table Inventory Slip that is locked in the table inventory container).
 - (iv) The signature and Board-issued credential number of the floorperson or above who completed the Closed Table form.
- (4) After completion, the Closed Table form shall be deposited into the drop box and forwarded to revenue audit at the conclusion of the count in accordance with § 465a.25 (relating to counting and recording of slot cash storage boxes and table game drop boxes).
- (5) A Table Inventory Slip shall be completed on all tables, in accordance with §§ 465a.37 and 465a.42, every Saturday prior to the commencement of the table game drop for gaming day ending Sunday at 5:59:59 a.m.

Authority

The provisions of this § 465a.36 issued under 4 Pa.C.S. §§ 1207, 1322, 13A02(1)—(6) and 13A25; amended under 4 Pa.C.S. §§ 1202(b)(30), 13A02(1), (2), (2.1), (4) and (6), 13A25(c) and 13A62(a).

Source

The provisions of this § 465a.36 adopted May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended December 12, 2014, effective December 13, 2014, 44 Pa.B. 7683; amended December 15, 2017, effective December 16, 2017, 47 Pa.B. 7563. Immediately preceding text appears at serial pages (375785) to (375787).

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Cross References

This section cited in 58 Pa. Code § 465a.42 (relating to procedures for closing table games); and 58 Pa. Code § 465a.43 (relating to table inventories for Poker tables).

§ 465a.37. Procedures for opening table games.

(a) When a table game that is not a fully automated electronic gaming table or electronic wagering terminal is to be opened for gaming activity, the locked container with the table inventory and the duplicate copy of the Table Inventory Slip, if not already attached to the gaming table, shall be transported directly from the cage to the gaming table by a security department employee.

(b) Immediately prior to opening the table game for gaming, the floorperson assigned to the gaming table shall unlock the container with the table inventory after assuring that it is the proper container for that gaming table.

(c) The dealer or boxperson assigned to the gaming table shall count the contents of the table inventory in the presence of the floorperson assigned to the gaming table and reconcile the count to the totals on the duplicate copy of the Table Inventory Slip removed from the container.

(d) Signatures attesting to the accuracy of the information recorded on the duplicate copy of the Table Inventory Slip shall be placed on the duplicate copy of the Table Inventory Slip by the dealer or boxperson assigned to the table and the floorperson who observed the dealer or boxperson count the contents of the container.

(e) After the count of the table inventory and the duplicate copy of the Table Inventory Slip has been signed as required under subsection (d), the dealer or boxperson shall immediately deposit the slip into the table game drop box attached to the gaming table.

(f) If there is a discrepancy between the amount of gaming chips and plaques counted and the amount of the gaming chips and plaques recorded on the duplicate copy of the Table Inventory Slip:

(1) The discrepancy shall be immediately verbally reported to the pit manager or above, the security department and the casino compliance representatives.

(2) The dealer or boxperson assigned to the table, in the presence of the pit manager or above and a security department employee, shall recount the table inventory and complete a new Table Inventory Slip reflecting the results of the dealer's or boxperson's recount of the table inventory.

(3) The pit manager or above shall:

(i) Prepare an Error Notification Slip, which must be a three-part form containing the following information:

- (A) The date and time.
- (B) The type of game.
- (C) The table number and pit.
- (D) An explanation of the error.

(ii) Write "Incorrect Copy" on the copy of the Table Inventory Slip that was in the table inventory.

(iii) Sign the "Incorrect Copy."

(iv) Write “Correct Copy” on both copies of the Table Inventory Slip required to be prepared by the dealer or boxperson under paragraph (2).

(4) The “Correct Copy” shall be signed by the dealer or boxperson who recounted the table inventory, the security department employee who witnessed the recount and the pit manager or above.

(5) After the signatures required under paragraph (4) have been obtained, the “Incorrect Copy” Table Inventory Slip, both copies of the “Correct Copy” Table Inventory Slip and the first copy of the Error Notification Slip shall be deposited by the dealer or boxperson in the drop box.

(g) The second copy of the Error Notification Slip shall be given to the pit clerk or floorperson or above and the third copy of the Error Notification Slip shall be delivered to the casino compliance representatives.

(h) For any discrepancy greater than \$10, the security or surveillance department shall investigate the discrepancy and, within 24 hours, complete a standard written incident report on a form approved by the Bureau of Casino Compliance and immediately forward a copy of the incident report to the casino compliance representatives.

Authority

The provisions of this § 465a.37 issued and amended under 4 Pa.C.S. §§ 1202(b)(30), 1207, 13A02(1)—(6), 13A25, 13A62(a) and 1322.

Source

The provisions of this § 465a.37 adopted May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended December 15, 2017, effective December 16, 2017, 47 Pa.B. 7563. Immediately preceding text appears at serial pages (375787) and (362133) to (362134).

Cross References

This section cited in 58 Pa. Code § 465a.36 (relating to table inventories); 58 Pa. Code § 465a.43 (relating to table inventories for Poker tables); 58 Pa. Code § 465a.44 (relating to table inventory counts on a per shift basis); and 58 Pa. Code § 601a.9 (relating to table game taxes and gross table game revenue).

§ 465a.38. Procedures for distributing value chips, coins and plaques to gaming tables.

(a) A request for a fill to add value chips, coins and plaques to table games that are not fully automated electronic gaming tables or electronic wagering terminals shall be prepared by a pit clerk or floorperson or above using a Fill Request Slip. Access to the blank Fill Request Slips shall be restricted to pit clerks and floorpersons or above.

(b) A Fill Request Slip must be a two-part form on which the following information shall be recorded:

- (1) The date, time and shift of preparation.
- (2) The denomination of value chips, coins and plaques to be distributed to the gaming table.
- (3) The total amount of each denomination of value chips, coins and plaques to be distributed to the gaming table.
- (4) The game and table number to which the value chips, coins and plaques are to be distributed.
- (5) The signature of the floorperson or above requesting the fill.

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(c) After the preparation of the Fill Request Slip, the security department employee shall transport the chip bank copy of the Fill Request Slip directly to the chip bank.

(d) The dealer or boxperson shall place the drop box copy of the Fill Request Slip in view of the slot machine licensee's surveillance system on the gaming table to which the value chips, coins and plaques are to be received.

(e) Notwithstanding the requirements of subsections (a)—(d), a request for a fill may be prepared electronically if the input data for preparation of the fill is entered by, and ability to input data is restricted to, the pit clerk or a floorperson or above, and a Fill Slip is generated in the chip bank as a direct result of the input.

(f) A Fill Slip shall be prepared by a chip bank cashier or, if the required information was inputted in conformity with subsection (e), the Fill Slip may be electronically generated in the chip bank.

(g) Fill Slips must be serially prenumbered forms. Each series of Fill Slips shall be used in sequential order. The series number of all Fill Slips received by a certificate holder shall be accounted for by employees with no incompatible functions. All copies of voided Fill Slips shall be marked "Void" and signed by the preparer.

(h) When Fill Slips are manually prepared, the following procedures and requirements shall be observed:

(1) Each series of Fill Slips must be a four-part form and shall be inserted in a locked dispenser or bound in a Fill Slip form book that permits an individual Fill Slip in the series and its copies to be written upon while still locked in the dispenser or bound in the Fill Slip form book.

(2) The Fill Slip dispenser must discharge the drop box, acknowledgement and chip bank copies of the Fill Slip while the accounting copy remains in a continuous, unbroken form in the dispenser. If a Fill Slip form book is utilized, the accounting copy must remain in the bound Fill Slip form book until removed in accordance with paragraph (3).

(3) Access to the copies of the Fill Slips shall be maintained and controlled by finance department employees with no incompatible functions who are responsible for controlling and accounting for the unused supply of Fill Slips, placing Fill Slips in the dispensers and removing the accounting copies of the Fill Slips from the dispensers or Fill Slip form book each gaming day.

(i) When Fill Slips are electronically prepared, each series of Fill Slips must be a three-part form and:

(1) Be inserted in a printer that will simultaneously print a drop box, acknowledgment and chip bank copy of the Fill Slip in the chip bank.

(2) Store, in machine readable form, the information printed on the drop box, acknowledgement and chip bank copies of the Fill Slips. The stored data may not be susceptible to change or removal by any personnel involved in the preparation of a Fill Slip after the Fill Slip has been prepared.

(j) Copies of a Fill Slip, and when applicable, the stored data, must contain, at a minimum, the following information:

- (1) The denominations of the value chips, coins and plaques being distributed.
- (2) The total amount of each denomination of value chips, coins and plaques being distributed.
- (3) The total amount of all denominations of value chips, coins and plaques being distributed.
- (4) The game and table number to which the value chips, coins and plaques are being distributed.
- (5) The date and shift during which the distribution of value chips, coins and plaques occurs.
- (6) The signature of the preparer or, if electronically prepared, the identification code of the preparer.
- (k) The time of preparation of the Fill Slip shall be recorded on the drop box, acknowledgement and chip bank copies of the Fill Slip upon preparation.
 - (l) Value chips, coins and plaques distributed to the gaming tables from the chip bank shall be transported directly to the gaming tables from the chip bank by a security department employee. Upon receipt of the value chips, coins and plaques at the gaming table, the floorperson shall compare the Fill Request Slip to the Fill Slip and sign the drop box copy and acknowledgement copy of the Fill Slip attesting to the accuracy of the fill. If the request for a fill is generated electronically in the chip bank in accordance with subsection (e), the floorperson shall compare the Fill Slip with the electronically generated fill request and sign the drop box and acknowledgement copies of the Fill Slip attesting to the accuracy of the fill.
 - (m) Signatures on the drop box and acknowledgement copies of the Fill Slip attesting to the accuracy of the information contained on the Fill Slip shall be required of the following employees at the following times:
 - (1) The chip bank cashier upon preparation.
 - (2) The security department employee transporting the value chips, coins and plaques to the gaming table upon receipt from the cashier of the value chips, coins and plaques to be transported.
 - (3) The dealer or boxperson assigned to the gaming table upon receipt and verification of the amounts of the value chips, coins and plaques at the gaming table from the security department employee.
 - (4) The floorperson assigned to the gaming table upon receipt and verification of the amounts of the value chips, coins and plaques at the gaming table.
 - (n) After meeting the signature requirements in subsection (m), the security department employee that transported the value chips, coins and plaques, the drop box and acknowledgement copies of the Fill Slip to the gaming table shall observe the immediate placement by the dealer or boxperson of the drop box copy of the Fill Slip and the drop box copy of the Fill Request Slip, if applicable, in the drop box attached to the gaming table to which the value chips, coins and plaques were transported. The security department employee shall then return the acknowledgement copy of the Fill Slip to the chip bank cashier. The chip bank copies of the Fill Request Slip, if applicable, and the chip bank and acknowledge-

ment copies of the Fill Slip shall be maintained together by the chip bank cashier until forwarded to the finance department.

(o) All parts of voided Fill Slips, as well as the chip bank copies of Fill Request Slips, if applicable, and the acknowledgement and chip bank copies of the Fill Slips that are maintained and controlled in conformity with subsection (n), shall be forwarded to the finance department for agreement, on a daily basis, with:

- (1) The drop box copies of the Fill Request Slips, if applicable, and Fill Slips removed from the drop box on the gaming table.
- (2) The electronically stored data and accounting copies of the Fill Slips, if applicable.

Authority

The provisions of this § 465a.38 issued and amended under 4 Pa.C.S. §§ 1202(b)(30), 1207, 13A02(1)—(6), 13A25, 13A62(a) and 1322.

Source

The provisions of this § 465a.38 adopted May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended December 15, 2017, effective December 16, 2017, 47 Pa.B. 7563. Immediately preceding text appears at serial pages (362134) to (362136).

Cross References

This section cited in 58 Pa. Code § 465a.36 (relating to table inventories).

§ 465a.39. Procedures for removing value chips, coins and plaques from gaming tables.

(a) A request for a credit to remove value chips, coins and plaques from table games that are not fully automated electronic gaming tables or electronic wagering terminals shall be prepared by a pit clerk or floorperson or above using a Credit Request Slip. Access to the blank Credit Request Slips shall be restricted to pit clerks and floorpersons or above.

(b) A Credit Request Slip must be a two-part form on which the following information shall be recorded:

- (1) The date, time and shift of preparation.
- (2) The denomination of chips, coins and plaques to be removed from the gaming table.
- (3) The total amount of each denomination of value chips, coins and plaques to be removed from the gaming table.
- (4) The game and table number from which the value chips, coins and plaques are to be removed.
- (5) The signature of the floorperson or above assigned to the gaming table from which the value chips, coins and plaques are to be removed.

(c) After the preparation of a Credit Request Slip, the security department employee shall transport the chip bank copy of the Credit Request Slip directly to the chip bank.

(d) The dealer or boxperson shall place the drop box copy of the Credit Request Slip in view of the slot machine licensee's surveillance system on the gaming table from which the value chips, coins and plaques are to be removed.

The drop box copy of the Credit Request Slip may not be removed until the drop box and acknowledgement copies of the Credit Slip are received from the chip bank.

(e) Notwithstanding the requirements of subsections (a)—(d), a request for a credit may be prepared electronically if the input data for preparation of the credit is entered by, and ability to input data is restricted to, the pit clerk or a floorperson or above, and a Credit Slip is generated in the chip bank as a direct result of the input.

(f) A Credit Slip shall be prepared by a chip bank cashier or, if the required information was inputted in conformity with subsection (e), the Credit Slip may be electronically generated in the chip bank.

(g) Credit Slips must be serially prenumbered forms. Each series of Credit Slips shall be used in sequential order. The series numbers of all Credit Slips received by a certificate holder shall be accounted for by employees with no incompatible functions. All copies of voided Credit Slips shall be marked “Void” and signed by the preparer.

(h) When Credit Slips are manually prepared, the following procedures and requirements shall be observed:

(1) Each series of Credit Slips must be a four-part form and shall be inserted in a locked dispenser or bound in a Credit Slip form book that permits an individual Credit Slip in the series and its copies to be written upon while still locked in the dispenser or bound in the Credit Slip form book.

(2) The Credit Slip dispenser must discharge the drop box, acknowledgement and chip bank copies of the Credit Slip while the accounting copy remains in a continuous, unbroken form in the dispenser. If a Credit Slip form book is utilized, the accounting copy must remain in the bound Credit Slip form book until removed in accordance with paragraph (3).

(3) Access to the copies of the Credit Slips shall be maintained and controlled by finance department employees with no incompatible functions who shall be responsible for controlling and accounting for the unused supply of the Credit Slips, placing Credit Slips in the dispensers, and removing the accounting copies of the Credit Slips from the dispensers or Credit Slip form book each gaming day.

(i) When Credit Slips are electronically prepared, each series of Credit Slips must be a three-part form and:

(1) Be inserted in a printer that simultaneously prints drop box, acknowledgement and chip bank copies of the Credit Slip in the chip bank.

(2) Store, in machine-readable form, the information printed on the drop box, acknowledgement and chip bank copies of the Credit Slip. The stored data may not be susceptible to change or removal by any personnel after the preparation of a Credit Slip after the Credit Slip has been prepared.

(j) Copies of the Credit Slip, and when applicable, the stored data, must contain, at a minimum, the following information:

(1) The denominations of the value chips, coins and plaques being returned to the chip bank.

(2) The total amount of each denomination of value chips, coins and plaques being returned.

(3) The total amount of all denominations of value chips, coins and plaques being returned.

(4) The game and table number from which the value chips, coins and plaques are being returned.

(5) The date and shift during which the removal of value chips, coins and plaques occurs.

(6) The signature of the preparer or, if electronically prepared, the identification code of the preparer.

(k) The time of preparation of the Credit Slip shall be recorded on the drop box, acknowledgement and chip bank copies of the Credit Slip upon preparation.

(l) After the Credit Slip has been prepared by the chip bank cashier or has been printed in the chip bank as a result of the information being inputted electronically by a pit clerk or floorperson or above, the security department employee shall transport the drop box, acknowledgement and chip bank copies of the Credit Slip directly to the gaming table. The dealer or boxperson shall compare the value chips, coins and plaques to be removed from the table inventory container with the drop box copy of the Credit Slip and the Credit Request Slip, if applicable, and shall sign the Credit Slip.

(m) Signatures on the drop box, acknowledgement and chip bank copies of a Credit Slip attesting to the accuracy of the information contained on the Credit Slip shall be required of the following employees at the following times:

(1) The chip bank cashier upon preparation.

(2) The dealer or boxperson assigned to the gaming table who removed the value chips, coins and plaques from the table inventory container and verified the Credit Slip and Credit Request Slip, if applicable.

(3) The floorperson assigned to the gaming table who observed the removal of the value chips, coins and plaques from the table inventory container and the verification of the Credit Slip and Credit Request Slip, if applicable.

(4) The security department employee upon receipt of the value chips, coins and plaques from the gaming table.

(n) After meeting the signature requirements required under subsection (m):

(1) The security department employee shall transport the value chips, coins and plaques directly to the chip bank along with the acknowledgement and chip bank copies of the Credit Slip.

(2) The dealer or boxperson shall place the drop box copy of the Credit Slip on the gaming table in view of the slot machine licensee's surveillance system.

(3) Upon receipt of the value chips, coins and plaques from the security department employee, the chip bank cashier shall compare the chip bank copy of the Credit Request Slip with the Credit Slip. If the credit request is electronically generated in accordance with subsection (e), the chip bank cashier shall compare the Credit Slip with the electronically generated credit request. The

chip bank cashier shall then sign the acknowledgement and chip bank copies of the Credit Slip attesting to the accuracy of the credit.

(4) After transporting the acknowledgement copy of the Credit Slip back to the gaming table from which the value chips, coins and plaques were removed, the security department employee shall observe the immediate placement by the dealer or boxperson of the drop box copy of the Credit Request Slip, if applicable, and the drop box and acknowledgement copies of the Credit Slip into the drop box.

(5) The chip bank copies of the Credit Request Slip, if applicable, and Credit Slip shall be maintained together by the chip bank cashier until forwarded to the finance department.

(o) All parts of voided Credit Slips, chip bank copies of Credit Request Slips, if applicable, and the chip bank copies of the Credit Slips that are maintained and controlled in conformity with subsection (n), shall be forwarded to the finance department for agreement, on a daily basis, with:

(1) The drop box copies of the Credit Request Slips, if applicable, and the drop box and acknowledgement copies of the Credit Slips removed from the drop box on the gaming table.

(2) The electronically stored data and accounting copies of Credit Slips, if applicable.

Authority

The provisions of this § 465a.39 issued and amended under 4 Pa.C.S. §§ 1202(b)(30), 1207, 13A02(1)—(6), 13A25, 13A62(a) and 1322.

Source

The provisions of this § 465a.39 adopted May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended December 15, 2017, effective December 16, 2017, 47 Pa.B. 7563. Immediately preceding text appears at serial pages (362136) to (362140).

Cross References

This section cited in 58 Pa. Code § 465a.36 (relating to table inventories).

§ 465a.40. Procedures for accepting cash for gaming chips, plaques or electronic wagering credits at table games.

When cash is presented by a patron at a table game that is not a fully automated electronic gaming table or electronic wagering terminal for exchange for gaming chips, plaques or electronic wagering credits:

(1) The cash shall be spread on the top of the gaming table by the dealer or boxperson accepting it in full view of the patron who presented it, the floorperson assigned to the gaming table and the slot machine licensee's surveillance system.

(2) The amount of cash shall be verbalized by the dealer or boxperson accepting it in a tone of voice to be heard by the patron who presented it and the floorperson assigned to the gaming table.

(3) Immediately after an equivalent amount of gaming chips, plaques or electronic wagering credits have been given to the patron, the cash shall be taken from the top of the gaming table and placed by the dealer or boxperson into the drop box attached to the gaming table.

Authority

The provisions of this § 465a.40 issued and amended under 4 Pa.C.S. §§ 1202(b)(30), 1207, 13A02(1)—(6), 13A25, 13A62(a) and 1322.

Source

The provisions of this § 465a.40 adopted May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended December 15, 2017, effective December 16, 2017, 47 Pa.B. 7563. Immediately preceding text appears at serial page (362140).

§ 465a.41. Procedures for drops at open table games.

(a) When a table game that is not a fully automated electronic gaming table or electronic wagering terminal is being dropped is to remain open for gaming activity, the value chips, coins and plaques remaining in the table inventory at the time of the drop shall be counted by the dealer or boxperson assigned to the gaming table and recorded on a Table Inventory Slip.

(b) The count required under subsection (a) shall be observed by the floorperson who is responsible for supervising the table game at the time of the drop.

(c) Signatures attesting to the accuracy of the information recorded on the Table Inventory Slip shall be placed on both copies of the Table Inventory Slip by the dealer or boxperson assigned to the table and the floorperson that observed the dealer or boxperson count the contents of the table inventory.

(d) After the Table Inventory Slip is signed as required under subsection (c), the original copy of the Table Inventory Slip shall be deposited in the drop box that is attached to the gaming table immediately before the drop box is removed from the gaming table as part of the drop. The duplicate copy of the Table Inventory Slip shall be deposited in the drop box that is attached to the gaming table immediately following the removal of the drop box that is removed from the gaming table as part of the drop.

Authority

The provisions of this § 465a.41 issued and amended under 4 Pa.C.S. §§ 1202(b)(30), 1207, 13A02(1)—(6), 13A25, 13A62(a) and 1322.

Source

The provisions of this § 465a.41 adopted May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended December 15, 2017, effective December 16, 2017, 47 Pa.B. 7563. Immediately preceding text appears at serial pages (362140) to (362141).

Cross References

This section cited in 58 Pa. Code § 465a.43 (relating to table inventories for Poker tables); 58 Pa. Code § 465a.44 (relating to table inventory counts on a per shift basis); and 58 Pa. Code § 601a.9 (relating to table game taxes and gross table game revenue).

§ 465a.42. Procedures for closing table games.

(a) When gaming activity at a table game that is not a fully automated electronic gaming table or electronic wagering terminal is concluded, the value chips, coins and plaques remaining at the gaming table shall be counted by the dealer or boxperson assigned to the gaming table in the presence of the floorperson assigned to the gaming table.

(b) The amounts of the value chips, coins and plaques counted shall be recorded on the Table Inventory Slip by the floorperson assigned to the gaming

table and the original copy of the Table Inventory Slip shall be signed by the dealer or boxperson who counted the table inventory and the floorperson who observed the dealer or boxperson count the contents of the table inventory.

(c) After the original copy of the Table Inventory Slip has been signed as required under subsection (b), the original copy of the Table Inventory Slip shall be immediately deposited in the table game drop box attached to the gaming table.

(d) After the original copy of the Table Inventory Slip has been deposited in the table game drop box attached to the gaming table, the duplicate copy of the Table Inventory Slip and the value chips, coins and plaques remaining at the gaming table shall be placed in the container required under § 465a.36 (relating to table inventories), after which the table inventory container shall be locked and either transported directly to the cage by a security department member or secured to the gaming table.

(e) If the locked table inventory containers are transported to the cage, a cage supervisor shall determine that all locked containers have been returned.

(f) If the locked table inventory containers are secured to the gaming table, a pit manager or above shall verify that all the containers are locked.

Authority

The provisions of this § 465a.42 issued and amended under 4 Pa.C.S. §§ 1202(b)(30), 1207, 13A02(1)—(6), 13A25, 13A62(a) and 1322.

Source

The provisions of this § 465a.42 adopted May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585; amended December 15, 2017, effective December 16, 2017, 47 Pa.B. 7563. Immediately preceding text appears at serial page (362141).

Cross References

This section cited in 58 Pa. Code § 465a.36 (relating to table inventories); 58 Pa. Code § 465a.43 (relating to table inventories for Poker tables); 58 Pa. Code § 465a.44 (relating to table inventory counts on a per shift basis); and 58 Pa. Code § 601a.9 (relating to table game taxes and gross table game revenue).

§ 465a.43. Table inventories for Poker tables.

(a) Notwithstanding the requirements in §§ 465a.36, 465a.37, 465a.41 and 465a.42, a certificate holder may establish procedures for the issuance of table inventories that are maintained by Poker dealers on an impress basis.

(b) The procedures developed under subsection (a) shall be submitted as part of the certificate holder's internal controls.

Authority

The provisions of this § 465a.43 issued under 4 Pa.C.S. §§ 1207, 1322, 13A02(1)—(6) and 13A25.

Source

The provisions of this § 465a.43 adopted May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585.

§ 465a.44. Table inventory counts on a per shift basis.

(a) In addition to the requirements in §§ 465a.37, 465a.41 and 465a.42 (relating to procedures for opening table games; procedures for drops at open

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table games; and procedures for closing table games), a certificate holder may establish procedures for the use of a three-compartment drop box which requires the preparation of a Table Inventory Slip for each shift that the table was open or at least once each gaming day.

(b) The procedures developed under subsection (a) shall be submitted as part of the certificate holder's internal controls.

Authority

The provisions of this § 465a.44 issued under 4 Pa.C.S. §§ 1207, 1322, 13A02(1)—(6) and 13A25.

Source

The provisions of this § 465a.44 adopted May 11, 2012, effective May 12, 2012, 42 Pa.B. 2585.

Cross References

This section cited in 58 Pa. Code § 465a.36 (relating to table inventories).

[Next page is 465b-1.]

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(389420) No. 520 Mar. 18

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