

3772-10-05 Forms, records, and documents.

~~(A)~~ ~~(A)~~ Each casino operator's ~~licensee's or applicant's~~ internal control system shall include procedures for using and retaining books, forms, records, documents, and stored data~~forms, records, and documents~~. Those internal controls shall include the following requirements that:

~~(1)~~ ~~Unless otherwise specified in this rule, all~~ All books, forms, records, documents~~forms, records, documents~~, and stored data required by this rule to be prepared, maintained, and controlled shall have the name of the casino facility, date of completion, ~~and the title of the book, form, record, document~~~~form, record, document~~, and, for stored data, ~~the imprinted or preprinted date~~;

~~(2)~~ The accounting department shall be responsible for the receipt, control, and issuance of all prenumbered forms. Serial numbers on manual forms shall be printed on the form by the manufacturer. Computerized forms shall be sequentially numbered by the computer system. Documentation of all serial numbers shall be maintained to account for the forms; and

~~(23)~~ Whenever forms or serial numbers are required to be accounted for under this rule and an exception is noted, the exception shall be reported in writing to the casino operator ~~licensee's~~'s internal audit department and the commission ~~within two days of identification of the exception or upon confirmation of the exception, whichever occurs earlier~~upon identification of the exception; and

~~(3)~~ ~~The accounting department shall be responsible for the receipt, control, and issuance of all prenumbered forms. Serial numbers on manual forms shall be printed on the form by the manufacturer. Computerized forms shall be sequentially numbered by the computer system. Documentation of all serial numbers shall be maintained to account for the forms; and~~

~~(44)~~ Whenever a prenumbered form is voided, the original and all copies shall be marked "void" and the person voiding the form and another person independent of the transaction shall ~~record that person's signature on the voided form~~sign the voided form and list the reason for the voided transaction.

~~(B5)~~ ~~Each casino operator licensee's or applicant's internal control system shall include~~ procedures for making corrections to figures manually entered on a form.

~~(C6)~~ ~~Each casino operator licensee's or applicant's internal control system shall include~~ procedures for loading and unloading any locked manual form dispenser.

(B) Each casino operator shall maintain all forms and procedures necessary to account for gaming and financial activities, including:

(1) Inventory ledgers for cards, dice, and chips;

(2) Logs for cards, dice, or chip destruction;

- (3) Cage or vault counts;
 - (4) Safekeeping deposit or withdrawal forms;
 - (5) Key inventory log;
 - (6) Key access list;
 - (7) A tips and gratuity deposit form;
 - (8) Slot machine and redemption kiosk entry logs;
 - (9) A slot hand-paid jackpot form;
 - (10) Cage or bank variance slips;
 - (11) Ingress or egress logs for the count rooms, surveillance rooms, and cages;
 - (12) A main bank or vault accountability log;
 - (13) A returned check log;
 - (14) A sensitive key log;
 - (15) A signature authorization list including identification details for each employee listed;
 - (16) Security incident reports;
 - (17) Surveillance incident reports;
 - (18) Surveillance shift logs;
 - (19) Surveillance recording release logs;
 - (20) Table credit, inventory, count, and fills slips;
 - (21) Visitor or vendor log; and
 - (22) Any other information noted in this chapter or that is deemed necessary either by the casino operator or the commission.; and
 - ~~(23) Any other information that the casino operator licensee, or casino operator applicant or the commission deems necessary.~~
- ~~(D) Each casino operator licensee or applicant shall maintain all forms and procedures necessary to account for gaming and financial activities, including:~~

- ~~(1) Inventory ledgers for cards, dice and chips;~~
- ~~(2) Logs for cards, dice or chip destruction;~~
- ~~(3) Cage or vault counts;~~
- ~~(4) Safekeeping deposit or withdrawal forms;~~
- ~~(5) Key inventory log;~~
- ~~(6) Key access list;~~
- ~~(7) A tips and gratuity deposit form;~~
- ~~(8) Slot machine and redemption kiosk entry logs;~~
- ~~(9) A slot hand-paid jackpot form;~~
- ~~(10) Cage or bank variance slips;~~
- ~~(11) Ingress or egress logs for the count rooms, surveillance rooms, and cages;~~
- ~~(12) A main bank or vault accountability log;~~
- ~~(13) A returned check log;~~
- ~~(14) A sensitive key log;~~
- ~~(15) A signature authorization list including identification details for each employee listed;~~
- ~~(16) Security incident reports;~~
- ~~(17) Surveillance incident reports;~~
- ~~(18) Surveillance shift logs;~~
- ~~(19) Surveillance recording release logs;~~
- ~~(20) Table credit, inventory, count and fills slips;~~
- ~~(21) Visitor or vendor log;~~
- ~~(22) Any other information noted in this chapter; and~~
- ~~(23) Any other information that the casino operator licensee, or casino operator applicant or the commission deems necessary.~~