

Rocky Gap Resort

Internal Audit's Controlled Demonstration Observation

Cage Main Bank

Main Bank escort (Security Guard) accompanying an observer left before the observer left the Main Bank.

- **Reviewed procedures with Security to always remain with person while escorting.**

Cage Visitor (ingress egress from cage main bank area) log not being consistently completed. Non-authorized people going into and out of the cage main bank area without entering necessary information into the log.

- **Cage and Security personnel will review ingress/egress log with Security officers on each shift to ensure all personnel entering the cage will sign on the cage ingress/egress log.**

Clear trash bags not being used in the cage area.

- **Cage Manager will ensure only clear bags are being used for cage trash cans.**

Reserve chips are not counted at shift change, kept in a single lock cabinet

- **Main Bank personnel will move the reserve chips to the reserve chip cabinet and seal it and restrict access to the key.**

For employees receiving non-gaming cash drawer were unclear what they should do. Main Banker had to explain what documents to sign.

- **Non-gaming team members will be trained on cash drawer check in/out procedures.**

For employees receiving non-gaming cash drawers, inconsistent as to when the cashier receiving cash drawer should sign the slip detailing the contents in the sealed bag. Another Main Banker told a cashier to sign the slip before taking it to the table in the man trap to count contents and another Main Banker told a different cashier to take the bag to the table in the man trap then bring the contents back and sign the transfer slip. Need consistency in the process.

- **Non-gaming team members will be trained on cash drawer check in/out procedures.**

Man Trap

Cassettes on the floor in the man trap. Cassettes should not be left in the man trap.

- **Cassettes were moved into soft count.**

Fills and Credits

For three of the initial fills, acknowledgement copy of the Fill Slip was placed in the drop box by the dealer rather than original copy of the fill slip. The original copy of the Fill Slip was inadvertently returned to the Main Bank Cashier.

- **Table Games and Security will review fill and credit procedures with Table Games team members and Security officers on each shift. Original signature copy always follows the money.**

For two of the initial fills, Security Officer transported the Fill Slip and chips to the table but did not give the Fill Slip to the Pit Supervisor. P&P 4460 Step B 10 states "Security Officer gives Parts 1 and 3 of the Fill Slip to the Pit Supervisor and places the chips on the table."

Rocky Gap Resort

Internal Audit's Controlled Demonstration Observation

- **Table Games and Security will review fill and credit procedures with Table Games team members and Security officers on each shift. Original signature copy always follows the money.**

For some of the initial fills, the Pit Supervisor did a chip count and told the dealer the count, rather than the Dealer independently counting the fill.

- **Table Games will review fill and credit procedures with the Table Games personnel. Table Games dealers will count the chips independently of the pit supervisor.**

For a few of the initial fills, Dealer unclear: of how chips should be staged for count, where to sign and how to sign (e.g. name, name and gaming number, should gaming number include the alpha or alpha and number) the Fill Slip.

- **Table Games will review fill and credit procedures with the Table Games personnel.**

At the Main Bank, Security Officer signed Fill Slip before verifying the chip count.

For one of the initial fills, the Security Officer did not observe the Fill Slip into the drop box (P&P 4460 B 18)

- **Table Games and Security will review fill and credit procedures with Security officers on each shift.**

Fills and Credits (continued)

Many Slot Floor Supervisors were unable to log into New Wave manual jackpot system, to create a New Wave manual jackpot (Any Floor Supervisor that had not signed into the active directory to set up their password were unable to log into New Wave).

- **Slot attendants may no longer complete manual jackpots in NEWave. Manual jackpots will be generated by Cage personnel.**

Also, I.T. sets up the employees in New Wave which enabled the employee to create a New Wave manual jackpot (note: New Wave manual jackpots over \$1,000 require 2 approvers to create the manual jackpot). The list of employees set up to create a New Wave manual jackpot should be reviewed and approved by Rocky Gap Director of Finance, or designee.

- **IT has a system access form that is reviewed by the Director of Finance which includes employee name and title.**

Kiosk Fills

After receiving, and signing transfer slip, for the Kiosk cassettes, the Drop and Count Supervisor left the Main Bank Window without his copy of the transfer slip.

- **Soft Count Manager will review the kiosk cassette transfer and fill process with all Soft Count and Main Bank personnel.**

Count Room General

Vendor allowed in the count room without escort.

- **Director of Security has reviewed escort procedures with Security officers on each shift.**

Drop and Count VLT

Rocky Gap Resort Internal Audit's Controlled Demonstration Observation

Gaming Commission requested the drop team lock the trolley whenever the trolley is being moved. The trolley was locked and in the process of being moved to the next bank of VLT's before a hot box was put into the trolley.

- **Soft Count and Security reviewed the drop process with Security officers and Soft Count team members to ensure proper processes are being followed to secure casino funds.**

Drop and Count Table Games

For one of the tables, after the dealer counted the chip tray, the Pit Supervisor, rather than the dealer, dropped the closer into the off-going drop box.

- **Table Games will review closer procedures with the Table Games personnel. Table Games dealers will drop openers and closer forms into the drop box.**

The test count (verifying the accuracy of the currency counter) is not documented. The document should include but not be limited to: date, box number of currency used for testing, manual and electronic total by denomination, manual and electric total of all denominations, signature and badge number of person performing the manual count and person performing the currency counter.

- **Test count procedures documentation will be reviewed with the Soft Count team members.**

The Daily Banking Table Game Count Report does not include the total number of banking table game drop boxes opened and counted as required by 36.03.10 F(2)(d)

- **Count room procedures will be reviewed with the Soft Count team members. Number of table game drop boxes opened and counted will be included on Daily Banking Table Game Count Report.**

During the table games count process, the count team did not complete a preliminary computer system Master Games Worksheet or verify all drop box documents into or on the Master Games Worksheet as required by P&P 4520 F1 and F2

- **Count room procedures will be reviewed with the Soft Count team members. Preliminary Master Game Worksheet will be completed to verify documents.**

For the table game count process, after the contents of each table game drop box from a banking table game are counted, a member of the count team did not record, on a three-part Daily Banking Table Game Count Report the following the total number of banking table game drop boxes opened and counted as required by 36.03.10.45 F(2)(d)

- **Count room procedures will be reviewed with the Soft Count team members. Number of table game drop boxes opened and counted will be included on Daily Banking Table Game Count Report.**

Drop and Count Table Games (continued)

Rocky Gap Resort Internal Audit's Controlled Demonstration Observation

After the preparation of the Daily Banking Table Game Count Report, the count team members and the count room supervisor did not sign the report attesting to the accuracy of the information recorded as 36.03.10.45 F(2)(d)

- **Count room procedures will be reviewed with the Soft Count team members. Proper signatures will be included on all reports.**

After the count process, in the presence of the Commission compliance representative who observed the count, a count room employee did not conduct a thorough inspection of the count room, and all counting equipment in the count room, to verify that no currency, chips, checks, vouchers, coupons, or other documentation remains in the room as required by 36.03.10.45 F(9)

- **Count room procedures will be reviewed with the Soft Count team members. Thorough inspections will be conducted by Soft Count team members after the count process.**

During the transfer of accountability of the counted drop box currency from the count room to the main bank, the Drop and Count Supervisor gave the transfer slip to the Main Banker before the Main Banker counted the currency. Therefore, the Main Banker is not independently verifying the currency as required by P&P 4520 F7h.

- **Count room procedures will be reviewed with the Soft Count and Main Bank team members. Main Bankers will perform independent counts of all funds being received from Soft Count.**

After the drop process is complete the drop team removes their jump suits in the man trap. The Drop and Count Supervisor had to remind Security to verify their jumpsuits.

- **Soft Count and Security will review the jump suit removal process. Security will examine the jump suits after the count team removes them.**

Key Watcher

Key 0031 ATM and Key 0032 ATM is a single access, this key should be set up for a dual (Drop team and Security) access. Table games drop keys should be changed to dual access.

- **Director of Security has updated the keys for dual access as noted.**