

Part 5316

Cage and Count Standards

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§ 5316.1. Cashiers' cage; satellite cages; standards.

(a) Each gaming facility shall have on or immediately adjacent to the gaming floor a physical structure known as a cashiers' cage to house the cashiers and to serve as the central location in the gaming facility for:

- (1) the custody of the cage inventory, comprising currency and forms, documents and records normally associated with the operation of a cage;
- (2) the receipt, distribution and redemption of vouchers in conformity with this Subchapter; and
- (3) such other functions normally associated with the operation of a cashiers' cage.

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

- (1) manually triggered silent alarm systems for the cage, the ancillary office space of the cage and any related gaming facility vault, which systems shall be connected

directly to the monitoring rooms of the closed-circuit television system and the gaming security department office; and

(2) a double-door entry and exit system that will not permit a person to pass through the second door until the first door is securely locked.

(i) The first door of the double-door entry and exit system adjacent to the gaming floor shall be controlled by security or surveillance personnel. The second door of the double-door entry and exit system shall be controlled by cage personnel.

(ii) The double-door entry and exit system shall have closed-circuit television coverage that shall be monitored during all hours of operation by the gaming surveillance department.

(iii) Any entrance to the cage that is not a double-door entry and exit system shall be an alarmed emergency exit door only.

The gaming facility shall identify in such facility's internal control procedures which department will be responsible for controlling these points of access and shall include procedures for managing the security of these points of access.

(c) Each gaming facility may also have one or more satellite cages and/or kiosks separate and apart from the cashiers' cage but adjacent to areas of gaming operation, established to maximize security, efficient operations or player convenience and comfort and designed and constructed in accordance with this Part. Subject to commission approval, satellite cages and/or kiosks may perform any or all of the functions of the cashiers' cage. The functions that are conducted in satellite cages and/or kiosks shall be subject to the applicable accounting controls set forth in this Subchapter.

(d) Each gaming facility licensee shall file with the commission the names of all persons having control of the entrance to the cage, any satellite cages and vaults, as well as all persons able to operate alarm systems for the cage, any satellite cages and vaults.

(e) Whenever the commission or the internal controls of a gaming facility licensee require or authorize documents to be transported from the cashiers' cage to a satellite cage or from a satellite cage to the cashiers' cage or another satellite cage, the gaming facility licensee shall notify surveillance and transport the documents through the use of cage personnel, unless the commission or such gaming facility licensee's internal control provides otherwise.

(f) Notwithstanding any other provision of this Subchapter, any gaming facility licensee that operates two or more gaming areas within the facility that are physically connected in a manner deemed appropriate by the commission may, with the prior written approval of the commission, operate a single cashiers' cage in one such gaming area to serve as the central location for the functions set forth in subdivision (a) of this section for all of the gaming areas; provided, however, that the gaming facility licensee shall be required

to operate such satellite cages in each gaming area as the commission may deem necessary.

§ 5316.2. Accounting controls for the cashiers' cage; satellite cages and kiosks.

(a) At the opening of every shift, in addition to the imprest funds normally maintained by the general cashiers, the gaming facility licensee shall have on hand in the cage or readily available thereto, a reserve cash bankroll in a minimum amount approved in writing by the commission.

(b) General cashiers shall operate with individual imprest inventories of cash and such cashiers' functions shall include, without limitation, the following:

- (1) receiving cash, vouchers, chips, checks issued by the licensee, cash equivalents and complimentary gifts in exchange for cash;
- (2) receiving reserve cash cashiers' documentation with signatures thereon, required to be prepared for the effective segregation of functions in the cashiers' cage;
- (3) preparing forms for the completion of payments for gaming prizes; and
- (4) issuance of vouchers.

(c) Reserve cash (main bank) cashiers' functions shall include, without limitation, the following:

- (1) receiving cash, vouchers, chips, jackpot payout slips, and cash equivalents from general cashiers;
- (2) receiving cash from the count room;
- (3) preparing the overall cage reconciliation and accounting records;
- (4) preparing the daily bank deposit for cash, markers and checks;
- (5) receiving from general cashiers, documentation with signatures thereon, required to be prepared for the effective segregation of functions in the cashiers' cage;
- (6) being responsible for the reserve cash bankroll; and
- (7) receiving unsecured currency from accounting department representatives or other gaming facility employees in emergent situations (e.g. machine jams, emergency drops, etc).

(d) Signatures and employee license numbers of those attesting to the accuracy of the information contained on the cashiers' count sheets shall be, at a minimum, of the following cashiers, after preparation of the cashiers' count sheets:

- (1) the general cashiers assigned to the incoming and outgoing shifts; and
- (2) the reserve cash cashiers assigned to the incoming and outgoing shifts.

(e) At the end of each gaming day, at a minimum, a copy of the cashiers' count sheets and related documentation shall be forwarded to the accounting department of the gaming facility for agreement of opening and closing inventories and agreement of amounts thereon to other forms, records and documents required by this Subchapter.

§ 5316.3. Count room characteristics.

(a) The gaming facility shall have, adjacent to the cashiers' cage, a count room specifically designated, designed and used exclusively for counting unverified cash.

(b) The count room shall be designed and constructed to provide maximum security for the materials housed therein and for the activities conducted therein. The gaming facility licensee shall design and construct a count room with, at a minimum, the following security measures:

- (1) a metal door, or door of other construction approved by the commission, installed on each entrance and exit;
- (2) each entrance and exit door shall be equipped with two separately keyed locks and an alarm device, approved in writing by the commission, that audibly signals the surveillance department whenever a door to the count room is opened;
- (3) each lock on the doors shall be controlled by a unique key that is not compatible with any other locks;
- (4) the key to one of the locks shall be maintained and controlled by the security department in a secure area, access to which shall be gained only by a security department supervisor, and the key to the other lock shall be maintained and controlled by the gaming department; and
- (5) the security department shall establish an internal control procedure, subject to the prior approval in writing by the commission, regarding the signing out of all keys removed from the secure location.

(c) Located within the count room shall be:

- (1) a count table constructed of clear glass or similarly clear material used for the emptying, counting and recording of the contents of drop boxes.
- (2) closed-circuit television cameras and microphones wired to the surveillance department capable of, without limitation, the following:
 - (i) effective and detailed audio-video and/or digital monitoring and recording of the entire count process; and

(ii) effective, detailed video or digital monitoring and recording of the interior of the count room, including storage cabinets or trolleys used to store bill acceptor drop boxes.

(d) All disposal containers and trash bags shall be clear and inspected by security upon the conclusion of the count.

§ 5316.4. Drop boxes; transportation to and from games; storage.

(a) Each gaming facility licensee shall maintain on file with the commission a schedule setting forth the specific times at which drop boxes will be brought to or removed from table games and bill acceptors. Each gaming facility licensee also shall maintain and make available to the commission upon request the names and employee license or registration numbers of all employees participating in the transportation of drop boxes. If the commission requires that a commission representative be present for transportation of drop boxes, no drop box shall be brought to or removed from any game or removed from any bill acceptor at other than the time specified in such schedule except with the express written approval of the commission. Notwithstanding anything to the contrary in this subdivision, the gaming facility licensee may develop and use a plan for removing drop boxes from games under exigent circumstances. If a gaming facility licensee alters procedures for removing drop boxes due to unforeseen exigent circumstances, such gaming facility licensee shall timely notify the commission of the reasons for the change in procedures and the details of how the drop boxes were removed.

(b) Except as otherwise provided in paragraph (3) of this subdivision, all drop boxes removed from games shall be transported directly to and secured in the count room by at least one gaming facility security department member.

(1) Upon the removal of a drop box from a game, such drop box shall be placed immediately in an enclosed trolley that is secured by two separately keyed locks. The key to one lock shall be maintained and controlled by an employee designated in the gaming facility licensee's system of internal controls. The key to the second lock shall be maintained and controlled by the gaming facility security department in a secure location. Access to the gaming facility security department's key shall be controlled, at a minimum, by a sign-out and sign-in procedure approved in writing by the commission. The gaming facility security department key shall be returned to such key's secure location immediately upon the completion of the collection and transportation of the drop boxes.

(2) Prior to the movement of any trolley containing drop boxes from the gaming floor, a person designated to supervise the count shall verify in writing that the number of drop boxes being removed from the gaming area equals the number of drop boxes that have been loaded on the trolley and that the lock controlled by the gaming facility security department has been activated. If a trolley is being transported from the gaming floor to the count room, a gaming facility supervisor shall also verify that the gaming facility department lock on the trolley has been activated.

(3) A drop box being replaced by an emergency drop box shall be transported directly to and secured in the count room by at least one gaming facility security department member and one gaming facility supervisor. The use of a trolley shall not be required.

(c) Except as provided in subdivision (d) of this section, all drop boxes not attached to a game, including emergency drop boxes that are not actively in use, shall be stored in the count room or other secure area outside the count room approved in writing by the commission, in an enclosed storage cabinet or trolley and secured in such cabinet or trolley by a separately keyed, double locking system. The key to one lock shall be maintained and controlled by the gaming facility security department and the key to the second lock shall be maintained and controlled by a gaming facility department employee. Access to the gaming facility security department's key shall be limited to a supervisor of that department.

(d) Notwithstanding subdivision (c) of this section, the supervisor of the gaming facility security department may, immediately prior to the commencement of the count process, issue the key to the storage cabinet or trolley to a person designated to supervise the count for the purpose of gaining access to the drop boxes to be counted. Any key removed from the gaming facility security department shall be returned immediately following the conclusion of the count of the drop boxes and the return of any empty emergency drop boxes to the respective storage cabinet or trolley for such drop box. The gaming facility security department shall establish a sign-out and sign-in procedure approved in writing by the commission for all such keys removed. Each gaming facility licensee that permits the gaming facility security department key to be issued to a person designated to supervise the count shall submit for approval in writing by the commission internal control procedures governing the control over the key when the count team takes a break.

§ 5316.5. Opening; counting and recording of drop box contents.

(a) The contents of the drop boxes shall be counted and recorded in the count room in conformity with this section unless the commission expressly has approved in writing an alternative plan submitted by the gaming facility licensee. Under no circumstances shall the gaming facility licensee conduct counting and recording of the drop box contents in a manner that does not comply with the one set forth in this Subchapter or one that has been approved in writing by the commission.

(b) A gaming facility licensee shall maintain on file with the commission the specific times during which the drop boxes are to be removed from games and the specific times during which the contents of the drop boxes are to be counted and recorded. Drop boxes shall be removed from games and be counted and recorded with sufficient frequency to allow daily electronic funds transfers of all money owed to the commission and the State of New York, including tax and other withholdings, as applicable.

(c) The opening, counting and recording of the contents of drop boxes shall be performed in the presence of a person designated to supervise the count. To gain

entrance to the count room, an employee shall present a gaming facility credential with photograph.

(d) All persons present in the count room during the count process, except for auditors, commission and security personnel, shall wear a full-length, short sleeve (no longer than mid-forearm), one-piece, pocketless outer jumpsuit with openings only for the arms, feet and neck, unless another type of garment is approved in writing by the commission. The gaming facility licensee shall file with the commission procedures governing the proper wearing and immediate inspection of jumpsuits worn by the count team members to ensure that items are not removed 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 gaming facility. No person present in the count room shall:

(1) carry a pocketbook or other container, unless such pocketbook or other container is transparent; or

(2) remove his or her hands from, or return them to, a position on or above the count table unless both the backs and palms of his or her hands are first held straight out and exposed to the view of other members of the count team and the closed-circuit television camera.

(e) A gaming facility licensee shall file with the commission procedures for scheduled breaks to be taken by the count team members during the count. This submission shall also address the use of restroom facilities that are located in the count room or close proximity thereto.

(f) Immediately prior to the commencement of the count:

(1) the doors to the count room shall be locked securely;

(2) a count team member shall notify a person assigned to the gaming facility surveillance department closed-circuit television monitoring room that the count is about to begin, after which such person shall make an audio-video and/or digital recording, with the time and date inserted thereon, of the entire count process, which recording shall be retained by the gaming facility surveillance department for no less than 21 days from the date of recording, unless otherwise directed in writing by the commission; and

(3) the count room supervisor, or his or her supervisor, shall record, in writing, the name and employee license or registration number of each person who shall participate in the count process and whether each such individual is scheduled to:

(i) be present in the count room during the entire count process;

(ii) enter the count room during the count process; or

(iii) leave the count room prior to the conclusion of the count process.

(g) No person shall be permitted to enter or leave the count room during the count process, except in an emergency, unless such person's name is on the written notice required by paragraph (3) of subdivision (f) of this section.

(1) if the gaming facility licensee permits a member of the count team to enter or leave the count room during the count process, any employee remaining in the count room shall be required to display his or her hands in accordance with subdivision (d) of this section and to step away from the count table until the count team member has entered or left the count room.

(2) the count and recording process shall be discontinued whenever fewer than three count team members are present in the count room.

(3) once the count process has been started, the count room supervisor shall be required to notify the gaming facility surveillance department closed-circuit television monitoring room whenever a count room door will be opened, prior to the opening of such door.

(h) *Procedures and requirements for conducting the count.*

(1) Prior to commencing gaming operations and as part of the internal control submission required by Racing, Pari-Mutuel Wagering and Breeding Law section 1332 and section 5313.1 of this Subchapter, the gaming facility shall submit a description of the system for opening, counting and recording the contents of slot cash storage boxes and table game drop boxes. Such system, at a minimum shall include:

(i) A workflow diagram that 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 of the gaming facility;

(ii) 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 shall include:

(a) the names of all revenue files, the names of the employees who have access to such files and what type of access such persons have; and

(b) controls to prevent access to any count room information by anyone outside of the count room until the entire count process is concluded; and

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

(a) 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;

(b) 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;

(c) 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 gaming facility licensee may use a machine to sort currency automatically by denomination;

(d) 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;

(e) 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;

(f) except as provided in clause (g) of this subparagraph, 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;

(g) a gaming facility licensee may aggregate counts by denomination of all currency collected in substitution of the second count required pursuant to clause (f) of this subparagraph, if the original counts are being performed automatically by a machine that counts and records automatically the value of currency and the accuracy of such machine has been tested suitably and proven in accordance with clause (h) of this subparagraph;

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

(1) prior to the start of each slot or table game count, the counting machine is tested in accordance with the procedures contained in the

gaming facility licensee's internal controls to verify the accuracy of the counting machine;

(2) 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; and

(3) 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 used 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; and

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

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

(i) to allow the entire count team to take a scheduled work break;

(ii) to allow for a change of commission representative;

(iii) to allow a main bank cashier or cage supervisor to enter the count room;

(iv) to allow the placement of a slot cash storage box or table game drop box or to remove a trolley or empty slot cash storage boxes or table game drop boxes from the count room;

(v) to allow the count team and the commission representative to exit the room at the conclusion of the count; or

(vi) in the event of an emergency.

(3) 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 commission before any member of the count team may leave the count room.

(4) All table game drop boxes from table games that are not fully automated electronic gaming tables shall be counted and recorded at least once each gaming

day. The gaming facility licensee shall designate which slot cash storage boxes and table game drop boxes from fully automated electronic gaming tables will be counted and recorded each gaming day. The following shall be counted and recorded separately:

- (i) slot cash storage boxes and table game drop boxes from fully automated electronic gaming tables;
- (ii) table game drop boxes from banking games that are not fully automated electronic gaming tables; and
- (iii) table game drop boxes from nonbanking games.

(5) After the contents of slot cash storage boxes and table game drop boxes from fully automated electronic gaming tables 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.

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

- (i) As the contents of each table game drop box are counted, a count team member shall either manually record the results of the count on the daily banking table game count report and the daily nonbanking table game count report or use a computer-generated daily banking table game report. 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:

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

- (b) The second copy shall be delivered to the commission representative by the count room supervisor immediately after leaving the count room at the conclusion of the count.

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

- (ii) 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 banking table game:

- (a) the value of each denomination of currency counted;
 - (b) the total value of all denominations of currency counted; and
 - (c) 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.
- (iii) 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:
- (a) the value of poker rake chips counted;
 - (b) the value of value chips counted;
 - (c) the total value of poker rake chips and value chips counted; and
 - (d) 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.
- (iv) 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 that were collected and opened by count team members have been recorded on the reports.
- (v) 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 subparagraph (vi) of this paragraph have been completed.
- (vi) After the contents of all table game drop boxes from table games that are not fully automated electronic gaming tables 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, shall recount, either manually or mechanically, the currency, value chips and poker rake chips presented in accordance with the following requirements:

(a) 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.

(b) The main bank cashier or cage supervisor may bulk-count all strapped currency and full chip racks.

(c) 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.

(d) 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.

(e) 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 delivered to the commission representative and the third copy shall be retained by the cage supervisor or main bank cashier.

(f) 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 shall not be available to cage personnel.

(vii) A count room employee, in the presence of a person designated to supervise 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.

(7) If any problems occur with the slot or table count procedures or machines (for example, computer interface malfunctions or strap overages or shortages), 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 within 24 hours of the conclusion of the count or within 24 hours of the discovery of the variance.

(8) Notwithstanding the requirements of this section and section 5316.17 of this Part, a gaming facility 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 each of the following criteria are met:

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

(ii) Immediately prior to the commencement of the nonbanking table game count, an employee of the finance department of the gaming facility who is participating in the count shall notify the surveillance department of the gaming facility that the count is about to begin so that surveillance can record the entire count process.

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

(iv) The opening, counting and recording of the contents of nonbanking table game drop boxes may not commence until two employees in the finance department of the gaming facility are present.

(v) Persons 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 of the gaming facility involved in the count and a surveillance camera.

(vi) The contents of each nonbanking table game drop box shall be counted and recorded in accordance with paragraph (6) of subdivision (h) of this section. 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 have 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 set forth in subparagraph (vii) of this paragraph have been completed.

(vii) 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 paragraph (6) of subdivision (h) of this section.

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

§ 5316.6. Secured delivery station specifications.

(a) The gaming facility licensee shall provide a secure structure for all of the following purposes:

- (1) armored car cash deliveries;
- (2) armored car cash pickups; and
- (3) the delivery and pickup of other valuables as may be needed from time to time.

(b) The structure shall be designated the *secured delivery station* and shall be under covert surveillance and monitored during all hours of operation. Continuous surveillance shall be conducted when deliveries and pickups are made.

(c) A secured delivery station shall:

- (1) be located out of the general view of patrons, non-surveillance employees and non-security employees;
- (2) have a garage door that is electronically controlled from the surveillance room;
- (3) have a secure room between the secured delivery station and the gaming facility. The room shall have secure doors with bulletproof glass that are programmed so that both doors cannot be open at the same time and so that neither door can open unless the garage door to the secured delivery station is closed and secured;
- (4) have color cameras and monitors that are in compliance with the specifications for surveillance equipment in these regulations and that survey and monitor activities in all of the following areas:
 - (i) the secured delivery station;
 - (ii) the secured room immediately adjacent to the secured delivery station;
 - (iii) the area outside the garage door to the secured delivery station; and
 - (iv) the area inside the gaming facility.

(d) Surveillance personnel shall advise security officers and other applicable gaming facility licensee personnel in advance of deliveries and pick-ups so the officers and personnel can provide foot escorts to and from secured areas within the gaming facility. Delivery personnel who are not duly licensed and authorized gaming facility licensee

employees shall not be allowed to enter the secured areas or restricted areas of the gaming facility without an escort.

§ 5316.7. Kiosks. *Kiosks* are patron interface units that may be used to perform various tasks including, without limitation, the tasks described in this section.

(a) *Voucher/coupon redemption.* Kiosks are usually interfaced to some type of monitoring or control system that will play a role in the critical functions of the kiosk. Gaming devices that have the option of issuing payments via voucher printers are customarily interfaced to a validation system. When a voucher is redeemed for cash, the voucher on the validation system shall be updated to reflect a *redeemed* status. When a patron uses a kiosk as the method of redemption, the kiosk shall read the voucher and notify the validation system of all required validation information. The system shall then determine if the voucher is valid and transmit to the kiosk the amount to be paid or instruct the kiosk to reject the voucher. For valid vouchers, payment is made to the patrons from various denominations, coin and currency payment mechanisms.

(b) *Bill breaking.* *Bill breaking* is the act of making change. A patron may wish to insert a bill for any combination of change. Bill breaking may include an insertion of a large denomination bill for the issuance of smaller denomination bills.

(c) *Voucher issuance.* Voucher issuance kiosks that issue vouchers via voucher printers shall be interfaced to a validation system. When a voucher is printed from the kiosk, the voucher on the validation system shall be updated to reflect a *pending* status. The voucher issuance kiosk shall receive all its validation information from the voucher validation system. The voucher validation system shall ensure that the correct information is sent to the issuance kiosk and the kiosk shall validate the incoming message packets through an error-checking mechanism before printing a voucher. When the voucher printed by the kiosk is redeemed at a gaming device, cashiers' cage or kiosk, the system shall change the pending status of the voucher to redeemed status.

(d) *Promotional point redemption.* Promotional point redemption defines the process of a patron redeeming promotional player points at the kiosk for cash or a voucher. The kiosk in this case is being used as an alternative to the current process of the player approaching the gaming facility cage or player services desk to redeem their points. The kiosk in this case shall be interfaced only to an approved promotional system/gateway. This Part addresses the use of kiosks when redeeming player points for cash or voucher. This Part does not address the use of kiosks for redemption of player points for gaming facility merchandise and/or other services.

(e) *Information reporting.* The kiosk may be used to display marketing information for customers. This feature is not covered by this Part, as such displays do not affect the integrity of kiosk security and/or accounting.

§ 5316.8. Phases of certification.

The certification of a kiosk shall be based on licensed independent laboratory testing, where the laboratory will test the integrity of the kiosk in conjunction with each compatible system or systems along with compliance with this Part.

§ 5316.9. Kiosk terminal requirements.

(a) *Kiosk terminal security.* The main door, which must be locked, shall be manufactured of materials that are suitable for allowing only legitimate access to the inside of the kiosk terminal (*i.e.*, locks, doors and their associated hinges) shall be capable of withstanding determined and unauthorized efforts to gain access to the inside of the kiosk and shall leave evidence of tampering if such an entry is made.

(b) *Kiosk terminal wiring.* A kiosk shall be designed so that power and data cables into and out of the kiosk can be routed so that such cables are not accessible to the general public. This requirement is for kiosk integrity reasons only, not for health and safety. Security-related wires and cables that are routed into a logic area shall be fastened securely within the interior of the kiosk terminal.

(c) *On/off switch.* An on/off switch that controls the electrical current shall be located in a place that is readily accessible within the interior of a kiosk so that power cannot be disconnected from outside of the kiosk using the on/off switch. The on/off positions of the switch shall be labeled.

(d) *Switches and jumpers.* If a kiosk contains switches and/or jumpers, all switches or jumpers shall be documented fully for evaluation by a licensed independent testing laboratory.

(e) *Kiosk terminal identification.* A kiosk shall have an identification badge affixed to the exterior of the cabinet by the manufacturer. Such badge shall not be removable without leaving evidence of tampering and shall include the following information:

- (1) the manufacturer;
- (2) a unique serial number;
- (3) a kiosk model number; and
- (4) the date of manufacture.

(f) *Patron safety.* Electrical and mechanical parts and design principals of a kiosk terminal shall not subject a patron to any physical hazards. The manufacturer of the devices or those that purchase the devices shall be responsible for safety and electromagnetic compatibility testing.

(g) *Kiosk integrity.* The licensed independent testing laboratory shall perform certain tests to determine whether or not outside influences affect performance or create cheating opportunities. This certification applies exclusively to tests conducted using current and retrospective methodology. During the course of testing, the laboratory shall inspect for marks or symbols indicating that a device has undergone product safety compliance testing. The laboratory shall also perform, where possible, a cursory review of submissions and information contained therein related to electromagnetic interference, radio frequency interference, magnetic interference, liquid spills, power fluctuations and environmental conditions. Electrostatic discharge testing is intended only to simulate techniques observed in the field being used to attempt to disrupt the integrity of the kiosk. A kiosk shall be able to withstand the following tests, resuming operation without operator intervention:

(1) *electro-static interference.* Protection against static discharges requires that the kiosk's conductive cabinets be grounded in such a way that static discharge energy shall not damage permanently or inhibit permanently the normal operation of the electronics or other components within the kiosk. Kiosks may exhibit temporary disruption when subjected to a significant electro-static discharge greater than human body discharge, but they shall exhibit the capacity to recover and complete any interrupted function without loss or corruption of any control or critical data information associated with the kiosk. The tests shall be conducted with a severity level of a maximum of 27 kilovolts air discharge; and

(2) *state of kiosk.* For commercial components involved in functions covered by this standard that are affected (e.g., a personal computer monitor), there shall be a method to determine the state the kiosk was in if any of the components fail from static discharge.

(h) *Tower light.* A kiosk involved in functions covered by this Part shall have a light located conspicuously on its top, that automatically illuminates when an error condition has occurred or a *call attendant* (if applicable) has been initiated by the patron. This requirement may be substituted for an alternate means that alerts gaming facility staff of error conditions and patron seeking assistance occurrences. Alternative means to alert staff may be considered on a case-by-case basis.

(i) *Requirements for external doors/external compartments.* The interior of the kiosk cabinet shall not be accessible when all doors are closed and locked. Doors shall be manufactured of materials that are suitable for allowing only legitimate access to the inside of the kiosk cabinet (i.e., locks, doors and their associated hinges). Doors shall be capable of withstanding determined and unauthorized efforts to gain access to the inside of the kiosk cabinet and shall leave evidence of tampering if such an entry is made.

(j) *Kiosk logic door and logic area.* A kiosk shall use a logic area that is a separately locked cabinet area (with its own locked door) that houses electronic components that

have the potential to significantly influence the operation of the kiosk. There may be more than one such logic area in a kiosk.

(k) *Electronic components.* Electronic components that are recommended to be housed in one or more logic areas are:

(1) a central processing unit and any program storage device that contains software that may affect the integrity of the kiosk, including, without limitation, accounting, system communication and peripheral firmware devices involved in, or that significantly influence the intended operation of a kiosk or accounting, revenue or security. Any exceptions shall be evaluated on a case-by-case basis;

(2) communication-controller electronics and components housing the communication program storage device. Any exceptions shall be evaluated on a case-by-case basis; and

(3) the non-volatile (NV) memory back-up device, if applicable, shall be kept within a locked logic area.

(l) *Coin/token and currency compartments.* Coin or token and currency compartments shall be locked separately or similarly secured as approved by the commission in writing from the main kiosk cabinet area. Access to the currency storage area shall be secured via separate key locks and the kiosk shall be fitted with sensors that indicate door open/close or stacker receptacle removed, provided power is supplied to the kiosk. If the kiosk is interfaced with a monitoring system, these alerts shall be sent to the system when possible.

(m) *Video monitors/touch screens.* Video monitor touch screens shall meet the following criteria:

(1) A touch screen, if applicable, shall be accurate and once calibrated shall maintain that accuracy for at least the manufacturer's recommended maintenance period.

(2) A touch screen, if applicable, shall be able to be re-calibrated without access to the kiosk cabinet other than opening the main door.

(3) There shall be no hidden or undocumented buttons/touch points, if applicable, anywhere on the screen that affect negatively or impact the proper operation of the kiosk, except as provided for by the instructions for patron kiosk usage.

(n) *Back-up of memory.* A kiosk shall have the ability to retain data for all critical memory and shall be capable of maintaining the accuracy of all information required for 30 days after power is discontinued from the kiosk.

§ 5316.10. Bill validators.

(a) All paper currency devices shall be able to detect the entry of valid bills, coupons, vouchers or other approved notes, as applicable, and provide a method to enable the kiosk software to interpret and act appropriately upon a valid or invalid input. The paper currency acceptance device or devices shall be electronically-based and be configured to ensure that they accept only valid bills of legal tender, coupons, vouchers or other approved notes and must reject all other items. Rejected bills, vouchers, coupons or other approved notes shall be returned to the patron. The bill-input system shall be constructed in a manner that protects against vandalism, abuse or fraudulent activity. A bill-acceptance device shall comply with the following:

(1) each valid bill, coupon, voucher or other approved note shall register the actual monetary value or the appropriate number of credits received on the kiosk; and

(2) a credit meter shall update upon bill insertion. Cash shall be dispensed only when:

(i) the bill or other note has passed the point where such bill or note is accepted and stacked; and

(ii) the validator has sent the “irrevocable stacked” message to the kiosk.

(b) *Communications.* All bill validators shall communicate with the kiosk using a bi-directional protocol.

(c) *Factory set bill validators.* If bill validators are designed to be factory-set only, it shall not be possible to access or conduct maintenance or adjustments to such bill validators in the field, other than:

(1) selecting desired acceptance for bills, coupons, vouchers or other approved notes and their limits;

(2) changing certified control program media or downloading certified software;

(3) maintaining, adjusting and repairing per approved factory procedures; or

(4) implementing options that set the direction or orientation of acceptance.

Adjusting the bill validator for the tolerance level for accepting bills or notes of varying quality shall not be allowed externally to the kiosk. Adjustments of the tolerance level shall be allowed only with adequate levels of security in place through lock and key, physical switch settings or other accepted methods approved by the commission on a case-by-case basis

(d) *Bill validator stacker requirements.* Each bill validator shall have a secure stacker and all accepted items shall be deposited into the secure stacker. The secure stacker

and its receptacle are to be attached to the kiosk in such a manner so that they cannot be easily removed by physical force. In addition:

(1) The bill validator device shall have the ability to detect a “stacker full” condition.

(2) There shall be a separately keyed lock to access the stacker area. This keyed lock shall be separate from the main door and shall be required to remove the bills from the stacker.

(e) *Self-test.* The bill validator device shall perform a self-test at each power up. In the event of a self-test failure, the bill validator shall automatically disable itself (*i.e.*, enter bill reject state) until the error state has been cleared.

§ 5316.11. Contents of critical memory.

(a) *Critical memory.* Critical memory is used to store all data that is considered vital to the continued operation of the kiosk, including, without limitation:

(1) all electronic meters required in section 5316.17 of this Part; including last-bill data and door-open metering;

(2) voucher-redeemed log, provided such log is not stored on printed paper within the device; and

(3) software state (the last normal state, last status or tilt status the kiosk software was in before interruption).

(b) *Function of NV memory reset.* Following the initiation of a NV-memory-reset procedure (using a certified NV-memory-clear method) the kiosk software shall execute a routine that initializes all bits in critical NV memory to the default state. All memory locations intended to be cleared as per the NV-memory-clear process shall be reset fully in all cases. For kiosks that allow for partial NV-memory clears, the methodology in doing so shall be accurate.

(c) *Maintenance of critical memory.* Critical memory storage shall be maintained by a methodology that enables errors to be identified. Such methodology may involve signatures, checksums, partial checksums, multiple copies, timestamps and/or effective use of validity codes. This subdivision is not intended to preclude the use of alternate storage media types, such as hard disk drives, for the retention of critical data. Such alternate storage media shall maintain critical data integrity in a manner consistent with the requirements in this section, as applicable to the specific storage technology implemented.

(d) *Data alteration.* A kiosk shall not permit the alteration of any meter or error-condition log information without supervised access controls. In the event meter or error-condition log data is changed, an audit log shall be capable of being produced to document:

- (1) data element altered;
- (2) data element value prior to alteration;
- (3) data element value after alteration;
- (4) time and date of alteration; and
- (5) personnel that performed alteration (user login).

§ 5316.12. Communication.

For voucher or coupon issuance and/or redemption features, a kiosk shall be designed to allow for communication with a validation system. All communications between the kiosks and the validation system shall be secured. This network security shall be implemented by the gaming facility's information technology department, unless the commission approves a different department at such facility to be used.

§ 5316.13. Error conditions.

(a) A kiosk shall be capable of detecting and displaying the following error conditions set forth in this subdivision. The error condition shall cause the tower light to illuminate or an audible alarm to sound. The kiosk shall be able to recover to the state it was in immediately prior to the interruption occurring, including during payment. Error conditions requiring attendant intervention are set forth in paragraphs (7) through (12) of this subdivision. Error conditions are:

- (1) Power loss or power reset.
- (2) System and kiosk not communicating (this may be detected upon voucher insertion/issuance request only).
- (3) Door open (all external doors).
- (4) Bill acceptor stacker full (this condition shall cause the bill acceptor to disable itself to no longer accept anything).
- (5) Bill acceptor door open.
- (6) Stacker door open or stacker removed.
- (7) Coin or currency out error.
- (8) Coin hopper or cash dispenser empty or timed out (this condition shall not require immediate intervention if an alternate method of payment available (e.g., \$6 voucher and \$5 bill-hopper are not available, but the kiosk could still pay the patron in one-dollar bills from the \$1 hopper)).

- (9) RAM error (critical memory).
- (10) Low RAM battery (if battery external to the RAM itself used).
- (11) Voucher-in jam.
- (12) Printer errors, where applicable including:
 - (i) out of paper/paper low;
 - (ii) printer jam/failure; and
 - (iii) printer disconnected, which may be detected only when the software tries to instruct the kiosk to print.

(b) For kiosks that use error codes, a description of the kiosk error codes and their meanings shall be affixed on the inside of the kiosk.

(c) If any error condition set forth in subdivision (a) of this section occurs during the acceptance and/or escrowing of a voucher, the voucher shall be returned to the patron without a status change on the validation system or, once the error condition is cleared, the kiosk shall proceed to pay the patron and indicate a status of redeemed on the system.

§ 5316.14. Program interruption and resumption.

(a) *Interruption.* After a program interruption (e.g., processor reset), kiosk software shall be able to recover to the state such software was in immediately prior to the interruption occurring. It is acceptable for the kiosk to return to a completion state provided the history and all credit and accounting meters comprehend a completed state. If a power failure occurs during acceptance of a bill or other note, the bill validator shall give proper credits or return the note, notwithstanding that there may be a small window of time where power may fail and credit may not be given. In such a case, the window shall be less than one second.

(b) *Resumption.* On program resumption, the following procedures shall be performed, at a minimum:

- (1) any communications to an external device shall not begin until the program resumption routine, including self-tests, is completed successfully;
- (2) kiosk control programs shall test themselves for possible corruption due to failure of the program storage media. The authentication may use a checksum; however, it is preferred that the cyclic redundancy check calculations is used as a minimum (at least 16-bit). Other test methodologies shall be of a certified type; and
- (3) the integrity of all critical memory shall be checked.

§ 5316.15. Transaction limits.

Each kiosk shall be able to have transaction limits for issuance and for voucher redemption, where applicable. The configuration of the transaction limit must be via a secure means. The transaction limit shall conform to the reporting thresholds for winnings established by the United States Internal Revenue Code.

§ 5316.16. Metering.

(a) *Kiosk meter information.* Kiosk meter information shall be accessible only by an authorized person and shall have the ability to be displayed on demand using a secure means. Accounting and occurrence meters shall be labeled so that such meters can be clearly understood in accordance with their functions. Each kiosk shall be equipped with a device, mechanism or method for retaining the value of all meter information specified in this section that must be preserved in the event of power loss to the kiosk.

(b) *Accounting meters.* Electronic accounting meters shall be at least eight digits in length. If the meter is being used in dollars and cents, at least eight digits must be used for the dollar amount. The following accounting information shall be maintained within critical memory:

- (1) a “total in” meter that accumulates, or meters that accumulate, the total value of all coins, bills, vouchers and coupons accepted by the device. Separate “in” meters shall report the value of all vouchers redeemed and the value of all bills redeemed and the value of all coins redeemed;
- (2) a “total out” meter(s) for payments issued by the machine. Separate “out” meters shall report the value of all coins, bills and vouchers dispensed by the machine; and
- (3) a “hand pay” meter shall reflect the cumulative amounts paid by an attendant in the event that a voucher cannot be printed.

(c) *Occurrence meters.* Occurrence meters shall be at least three digits in length and roll over to zero upon the next occurrence, any time the meter is higher than the maximum number of digits. The following occurrence information shall be maintained within critical memory:

- (1) a meter that accumulates the number of times the external door was opened;
- (2) a meter that accumulates the number of times the cash area door was opened;
- (3) total number of all notes accepted by the bill validator; and
- (4) a breakdown, by denomination, of each note type accepted by the bill acceptor.

§ 5316.17. Verification.

(a) *Independent control program verification.* A kiosk shall have the ability to allow for an independent integrity check of the device's software from an outside source. All control programs that may affect the integrity of the kiosk shall be subject to third-party device authentication, which may be embedded within the kiosk software by having an interface port for a third-party device to authenticate the media or by allowing for removal of the media such that verification may be accomplished externally. Such integrity check shall provide a means for field verification of the software to identify and validate the programs. The licensed independent testing laboratory, prior to the kiosk approval, shall evaluate the integrity check method.

(b) *Authentication program approval.* If the authentication program is contained within the kiosk software, the manufacturer shall receive written approval from the licensed independent testing laboratory prior to submission to such laboratory.

§ 5316.18. Printers.

(a) *Payment by voucher printers.* If a kiosk has a printer that is used to make payments, the kiosk may pay the player by issuing a printed voucher. The printer shall print on a voucher as set forth in subdivision (b) of section 5316.20 and the kiosk shall support the transmission of data to a validation system that records the following information regarding each payout voucher printed:

- (1) value of credits in local monetary units in numerical form;
- (2) time of day the voucher was printed, in 24-hour format showing hours and minutes;
- (3) date, in any recognized format, indicating the day, month and year;
- (4) kiosk Identification number; and
- (5) unique validation number.

(b) *Additional requirements.* In addition to the requirements set forth in subdivision (a) of this section, if a kiosk supports printing duplicate vouchers, the kiosk shall print only one copy to the patron but have the ability to retain voucher-out information on the last 25 vouchers (the voucher-out log may contain vouchers and receipts), in order to resolve patron disputes. If a kiosk supports printing single vouchers, the kiosk shall have the ability to retain electronically the last-25-voucher-out information. An approved validation system shall be used to validate the payout voucher. The voucher information on the system shall be retained at least so long as the voucher is valid at that location. If offline voucher issuance is supported, the kiosk shall mask all but the last four digits of the validation number as displayed in the 25-voucher-out log.

(c) *Printer location.* If a kiosk is equipped with a printer, such printer shall be located in a locked area of the kiosk (*i.e.*, require opening of a locked external door), but not be housed within the logic area or the drop box.

§ 5316.19. Voucher validation.

(a) *Payment by voucher printer.* Payment by voucher printer as a method of credit redemption shall be permissible only when:

(1) a kiosk is linked to a computerized voucher validation system that allows validation of the printed voucher. Validation approval or information shall come from the voucher-validation system in order to validate vouchers. Vouchers may be validated at any location, so long as such validation meets the requirements set forth in this section. Provisions shall be made if communication is lost and validation information cannot be sent to the validation system, thereby requiring the manufacturer to have an alternate method of payment. The validation system shall be able to identify duplicate vouchers to prevent fraud by reprinting and redeeming a voucher that had been issued; or

(2) by use of an approved alternative method that includes the ability to identify duplicate vouchers to prevent fraud by reprinting and redeeming a voucher that had been issued.

(b) *Voucher information.* A voucher produced by a kiosk shall contain, at a minimum, the following printed information:

(1) gaming facility name/site identifier (it is permissible for this information to be contained on the voucher stock itself);

(2) kiosk identification number;

(3) date and time (24-hour format that is understood by the local date/time format);

(4) alpha and numeric currency amount of the voucher;

(5) voucher sequence number;

(6) validation number (including a copy of the validation number on the leading edge of the voucher);

(7) bar code or any machine readable code representing the validation number;

(8) type of transaction or other method of differentiating voucher types (assuming multiple voucher types are available). Additionally, whenever the voucher type itself is a non-cashable item and/or just a receipt, the voucher explicitly shall express that it has no cash value;

(9) indication of an expiration period from date of issue, or date and time the voucher will expire (24-hour format that is understood by the local date/time format). It is permissible for such information to be contained on the voucher stock itself (e.g., “Expires in one year”); and

(10) if offline voucher issuance is supported, an offline authentication identifier shall, at a minimum, be printed on the immediate next line following the leading edge validation number that in no way overwrites, or otherwise compromises, the printing of the validation number on the voucher (not required for vouchers that are non-redeemable at a gaming device). The offline authentication identifier shall be derived by a hash, or other secure encryption method of at least 128 bits, that uniquely will identify the voucher, verify that the redeeming system was also the issuing system and validate the amount of the voucher. Where a suitable authentication identifier is not printed on the voucher, the kiosk shall print, at most, one wagering instrument after the kiosk-to-validation-system communication has been lost.

(c) *Validation number or barcode.* Information set forth in subdivision (b) of this section is permitted to be part of the validation number or barcode. Multiple barcodes are permitted and may represent more than just the validation number.

§ 5316.20. Voucher issuance and redemption.

(a) *Voucher issuance.* A voucher is permitted to be generated at a kiosk through an internal printer. Vouchers that reflect partial credits may be issued automatically from a kiosk. Cashier/change booth issuance is permitted, if supported by the validation system.

(b) *Offline voucher issuance.* If offline voucher issuance is supported, a kiosk shall meet the following minimum set of requirements to incorporate the ability to issue offline vouchers after a loss of communication has been identified by the kiosk:

(1) Rules for issuance. The kiosk shall not issue more offline vouchers than it has the ability to retain and display in the kiosk maintained voucher-out log.

(2) Request for re-seeding. The kiosk shall not request validation numbers and seed, key, etc. values used in the issuance of vouchers until all outstanding offline voucher information has been communicated fully to the voucher validation system.

(3) Rules for re-seeding. The kiosk shall request a new set of validation numbers and seed, key, etc. values used in the issuance of online/offline vouchers if the current list of validation numbers and seed, key, etc. values have the possibility of being compromised, which include, without limitation, the following cases:

- (i) after power has been recycled; and/or
- (ii) upon exit of a main door open condition.

(4) The values for the seed, key, etc. must never be viewable through any display supported by the kiosk. Additionally, validation numbers always shall be masked when viewable through any display supported by the kiosk such that only the last four digits of the validation number are visible.

(c) *Online voucher redemption.* Vouchers may be inserted in a kiosk participating in the validation system provided that no currency is dispensed by the kiosk prior to confirmation of the voucher validity.

(d) *Offline voucher redemption.* If offline voucher issuance is supported, the offline voucher redemption may be validated as an internal control process at the specific gaming device or kiosk that issued the voucher. A manual hand pay may be conducted for the offline voucher value.