

Chapter 54: FACILITY OPERATOR OPERATIONAL REQUIREMENTS

1. A facility operator shall include, at a minimum, the following departments and/or positions. Each of these departments and/or positions shall be required to cooperate with, yet perform independently of, all other departments or positions. Mandatory departments or positions are as follows:
 - A. A sport wagering department or position(s) that during times of operation report to an owner, supervisor or highest-ranking position for the operator of the facility. The sports wagering department shall be responsible for all sports wagering activity including the use and operation of sports wagering kiosks.
 - B. A surveillance department or position(s) that during times of operation report to an owner or highest-ranking position for the operator at the facility.
 - (1) The surveillance department or positions shall be responsible for, without limitation, the following:
 - (a) The clandestine and continual video surveillance and recording of all areas where sports wagering, and sports wagering-related activities is occurring. These video surveillance recordings must be retained or electronically filed for a period of no fewer than 14 calendar days;
 - (b) The detection of cheating, theft, embezzlement, and other illegal activities in the vault, count room, wagering cashiers' counter or windows and the notification of the appropriate owners, supervisors and the Unit upon the detection of listed activities; and
 - (c) Identify, record and report any potential violations of statute, rules or internal controls.
 - (2) The video surveillance system must include components that meet or exceed the following requirements or listed features:
 - (a) Installation which prevents obstruction, tampering, or disabling;
 - (b) Data storage redundancy to prevent the loss of any data;
 - (c) Date and time stamps on all digital recordings that are visible on all monitors based on a synchronized and accurate clock;
 - (d) The ability to provide exported copies of video, audio (if applicable), and image recordings. The system must include a mechanism for authenticating exported recordings;
 - (e) Audible and visual notification of any failure of recording;
 - (f) Secure and separated from other systems, either entirely or by appropriate

- firewalls, so that access to the surveillance system is restricted only to appropriately designated persons;
- (g) Reformat and erase capabilities must be restricted to appropriate personnel and all actions taken to reformat or erase digital recordings must be documented to a permanent and auditable file;
 - (h) Access must be limited to Unit personnel and users authorized by the operator and must be secured by unique user identification and a confidential password; and
 - (i) Passwords must be specific to each user and must be changed at least annually.
- (3) The surveillance system must monitor and record the following:
- (a) General activities in the sports wagering area;
 - (b) The entrances and exits to the sports wagering facility or designated area with enough clarity to identify all persons entering or leaving the sports wagering facility or designated area;
 - (c) Each cashier station or window, covering all activity, with enough clarity to identify the employees performing the different functions, patrons conducting transactions, and the values of cash or other instruments presented by or returned to patrons;
 - (d) An overview of each kiosk or self-service sports wagering terminal with enough clarity to identify all persons accessing the kiosk, and to determine if an individual is participating in sports wagering;
 - (e) Wagers be embedded or stamped into the monitoring and recording; and
 - (f) All areas where cash or cash equivalents may be stored or counted.
- (4) All images and video and audio recordings of activities perceived by sports wagering employees to be suspicious, suspected criminal activity, or in violation of Title 8 M.R.S., Chapter 35 or the rules adopted thereunder, or recorded at the request of the Unit, must be retained until the Director or his/her designee gives approval to delete or destroy the recordings, or as required to by law, including upon issuance of a valid subpoena, court order, or other similar document.
- (5) Sports wagering activity will cease in any area of the sports wagering facility where an outage or other malfunction of the surveillance system prevents the operator from maintaining, monitoring, and recording the area, as required by this chapter.
- (6) The sports wagering facility must report to the Unit and Director by phone and email, when surveillance equipment no longer meets the standards set forth in these rules.
- (7) The sports wagering facility must keep its surveillance system, including any stations used to access the system, in secured areas that are effectively restricted to authorized personnel.

- (8) The sports wagering facility must provide “real time live” remote access, meeting ONVIF Profile S and Profile G standards to permit IP based cameras, networks and video encoders to transmit video data over an IP network to the Unit at its main offices in Augusta, Maine.
- (9) The sports wagering facility system shall retain over-ride capabilities.
- (10) Images captured from video or audio recordings made by the facility’s surveillance system shall not be transferred to anyone other than the Unit unless the transfer is approved by the facility’s owner or highest-ranking employee or officer and the Director is notified. Violation of this requirement may lead to discipline imposed on the individual or facility.
- (11) All events that involve suspicious activity, or suspected violations of criminal laws or Maine sports wagering laws or rules must be initially reported within 12 hours to the Unit by email or phone as under investigation. The operator must thereafter submit a completed investigation, security and surveillance report within 72 hours.
- (12) Surveillance reports must be maintained and stored electronically, organized chronologically, and include the following information:
 - (a) The date and time of each entry;
 - (b) The identity of the employee making the entry;
 - (c) A narrative summary of the event recorded;
 - (d) Details of the result of any surveillance monitoring;
 - (e) Details of any copies made of recordings of the activity;
 - (f) The details of steps or procedures undertaken to investigate the incident and the results of those investigative steps or procedures;
and
 - (g) Any additional information deemed necessary by the sports wagering operator or its employees.
- (13) The Unit shall have complete access to all surveillance reports upon request.
- (14) The sports wagering facility must maintain the surveillance system and equipment to ensure its operation and security continue to function as designed and remain compliant with the requirements of this rule. Routine and emergency maintenance of any and all surveillance equipment must be completed without compromising any of the required surveillance coverage under this chapter.

C. A security department or position(s) during times of operation who report to an owner or highest-ranking position for the operator at the facility.

- (1) The security department or position(s) shall be responsible for, without limitation, the following:
 - (a) The physical safety of personnel employed by the operator;
 - (b) The physical safeguarding of assets transported to and from the sports wagering kiosks;
 - (c) The protection of the operator's property;
 - (d) The maintenance of a security log of all routine and non-routine security department assignments and/or incidents;
 - (e) The means by which access to assets, sports wagering equipment, or the sensitive areas will be controlled;
 - (f) Security training; and
 - (g) Security staffing.
- (2) Sports wagering facilities must have at least one sports wagering occupational licensed security officer stationed in the sports wagering facility whenever the sports wagering facility is open for business, where applicable.
- (3) Occupational licensed security officers shall be responsible for not allowing those under the age of 21 to wager on sports events.

D. An accounting department or position(s) during times of operation who report to an owner or highest-ranking position for the operator at the facility. The accounting department shall be responsible for, without limitation, the following:

- (a) Accounting controls;
- (b) The preparation and control of records and data;
- (c) The control of stored data, the supply of unused forms, and the accounting for and comparing of forms used in operations;
- (d) The operation of the count rooms;
- (e) The operation of a vault or money room other than a count room; and
- (f) The custody of currency, coin, tickets, documents and records normally associated with the operation of the sports wagering department.

2. Sports wagering transactions in a sports wagering facility shall be conducted from a sports wagering cashier window that accepts wagers, kiosks or when a window is

closed, a designated area for redemption of winning tickets as approved by the Director.

3. Vaults shall be under the control of the accounting department. The storage or removal of currency from vaults shall be documented, and the amount of currency in each vault shall be reconciled daily.
4. The cashiers assigned to an outgoing shift shall record on a daily cashier's shift form the face value of each cashier inventory item counted and the total of the opening and closing cashier inventories and shall reconcile the total closing inventory with the total opening inventory.
5. At the end of the operator's hours of operation for each day, a copy of the cashier's shift form and related documentation shall be forwarded to the accounting department for agreement with opening and closing inventories and transactions.