

## **APPENDIX L**

### Technical and Operational Standards, Specifications, and Regulations Governing Dealer Controlled Electronic Table Games

Arizona Tribal-State Gaming Compact

## TECHNICAL STANDARDS

Applicable technical standards are the following, accepting and including all recommended standards referenced therein and all amendments and updates thereto, as published by Gaming Laboratories International, Inc. ("GLI"):

<b>Equipment</b>	<b>Standard</b>
Gaming Devices	GLI-11
Progressive Gaming Devices	GLI-12
Online Monitoring Systems	GLI-13
Bonus Systems	GLI-17
Promotional Systems	GLI-18
Dealer Controlled Electronic Table Games	GLI-25
Card Shufflers and Dealer Shoes	GLI-29

These standards are incorporated into this Appendix and compliance with them is required, just as if they were fully set forth herein.

In the event Gaming Laboratories International, Inc. ceases to publish standards that have been incorporated into this Appendix, then those standards shall be replaced by corresponding and equally rigorous technical standards mutually agreed upon by the parties. The replacement standards shall be adopted following the procedures of Section 3(b)(3) of the Compact.

Dealer Controlled Electronic Table Games ("DCETGs") shall be permitted and conducted, at a minimum, according to the provisions set forth in the Compact and its appendices. DCETGs are table games that shall be dealt or controlled by a live dealer. The Tribal Gaming Office, or the Gaming Facility Operator, as approved by the Tribal Gaming Office, shall establish and the Gaming Facility Operator shall comply with, any additional standards, procedures, and/or rules deemed appropriate to ensure the integrity, fairness, and security of play.

**PART I**  
**DEFINITIONS**

1. "Dealer Controlled Electronic Table Game" or "DCETG" means an authorized table game that is dealt or controlled by a live dealer, is projected to Wagering Stations within the Gaming Facility, and reports to a host system and a secondary reporting system.
2. "Dealer Controlled Electronic Table Game Wagering Station" or "Wagering Station" means electronic terminals where player-wagering decisions are made, game outcomes are displayed, and winnings are paid.
3. "Secondary Reporting System" means a tool, independent of the host system, which records, analyzes, and reports the necessary meters and data to track game play by game type.

**CONVENTIONS**

1. Time shall be expressed in local 24 hour format.
2. Dates shall be expressed in local month, day, and year format.
3. Deadlines shall be calculated consistent with Compact Section 21.
4. All user access passwords shall be changed at least quarterly with the changes documented.
5. The Gaming Facility Operator shall only conduct DCETGs under rules approved and authorized by the Tribal Gaming Office and the State Gaming Agency.
6. The Gaming Facility Operator shall establish minimum and maximum wagers permitted at DCETGs in the Gaming Facility, provided that the maximum wager shall not exceed \$10,000. The maximum wager limit shall apply to any single wager that a player can make based on the approved game rules.
7. All DCETGs, and associated equipment, as applicable, shall be purchased, leased, or acquired only from manufacturers, distributors, or suppliers certified by the State Gaming Agency and licensed by the Tribal Gaming Office in accordance with the Compact.
8. The State Gaming Agency shall be authorized to inspect any DCETGs, Wagering Stations, playing cards, roulette wheels, roulette balls, dice, related operations, and/or observe any gaming activity pursuant to the provisions of the Compact and its appendices.
9. The State Gaming Agency shall have access to all records of DCETG activity, pursuant to the provisions of the Compact, including, but not limited to:
  - (a) Daily activity and accounting records;
  - (b) Security reports;
  - (c) Surveillance activities and reports; and
  - (d) Investigative reports.

**PART II**  
**GAME REQUIREMENTS**

**A. Adoption of Rules.**

- (1) Prior to conducting a DCETG, the Gaming Facility Operator shall submit to the Tribal Gaming Office and the Tribal Gaming Office shall have approved rules and procedures for play to govern the conduct of the DCETGs operated in each Gaming Facility. In determining whether to approve such rules and procedures, the Tribal Gaming Office shall consider whether the proposed rules and procedures are appropriate to ensure the integrity, fairness, and security of play. After making its determination and prior to implementation, the Tribal Gaming Office shall issue a written approval or disapproval of the rules and procedures for each DCETG to be played in the Gaming Facility.
- (2) Game rules and procedures approved by the Tribal Gaming Office shall include, in addition to the rules of play:
  - (a) Specifications provided by the equipment manufacturer or distributor applicable to gaming equipment;
  - (b) Laboratory certification reports;
  - (c) Physical characteristics of such other gaming equipment as may be required for use in authorized table games, including, but not limited to:
    - (i) Game tables;
    - (ii) Cards (including procedures for receipt and storage), if applicable;
    - (iii) Shoes (including procedures for receipt and storage), if applicable;
    - (iv) Shuffling devices (including procedures for receipt and storage), if applicable;
    - (v) Table layouts, if applicable;
    - (vi) Roulette ball (including procedures for receipt and storage), if applicable;
    - (vii) Roulette wheel (including procedures for receipt and storage), if applicable;
    - (viii) Dice (including procedures for receipt and storage), if applicable; and
    - (ix) Testing equipment (including testing procedures), if applicable.
  - (d) Rules for each authorized table game, including, but not limited to:
    - (i) Dealing techniques;
    - (ii) Hand shuffling procedures (if applicable);
    - (iii) Minimum and maximum permissible wagers;
    - (iv) Payout odds on each form of wager;
    - (v) Procedures of play;
    - (vi) Progressive specifications (if applicable); and
    - (vii) Procedures to be followed on occurrence of irregularities.

- (3) Copies of game rules and procedures shall be provided to the State Gaming Agency prior to installation for review and approval. Within seven (7) days of receipt, the State Gaming Agency shall submit to the Tribal Gaming Office written comments and objections to the proposed rules and procedures. If the State Gaming Agency does not object within seven (7) days, then the rules and procedures are deemed approved. If the State Gaming Agency does object, the Tribal Gaming Office and the State Gaming Agency shall meet and confer within fourteen (14) days in a good faith effort to resolve the objections. Unresolved objections to any proposed rules or procedures shall be resolved expeditiously pursuant to the provisions of Section 15 of the Compact prior to implementation.

**B. Dealer Controlled Electronic Table Game Training.**

- (1) Prior to any new DCETG being implemented at the Gaming Facility, the Tribal Gaming Office shall require the Gaming Facility Operator to provide appropriate training for all employees involved in the conduct or regulation of DCETGs, such that those employees have the knowledge and skills required under typical industry standards for the job function that employee performs. Tribal Gaming Office employees shall receive appropriate training in any new DCETG.
- (2) The Tribal Gaming Office and/or the Gaming Facility Operator, as designated by the Tribal Gaming Office, shall notify the State Gaming Agency prior to the beginning of the any training programs and shall provide the State Gaming Agency an opportunity to participate.

**C. Inspection and Presentation.** The Gaming Facility Operator shall perform inspection and presentation procedures as required by the applicable game appendix.

**D. Dealer Tips.** The Tribal Gaming Office, or the Gaming Facility Operator as approved by the Tribal Gaming Office, shall establish the criteria and procedures for the acceptance, reconciliation, and distribution of tips (as applicable).

**PART III**

**DEALER CONTROLLED ELECTRONIC TABLE GAME REQUIREMENTS**

**A. Shipping Software.** All DCETG software shall be directly shipped to and controlled by the Tribal Gaming Office, unless otherwise designated by the Tribal Gaming Office.

**B. Shipping Hardware.** All DCETG hardware that affects game play or game outcome shall be directly shipped to and controlled by the Tribal Gaming Office unless otherwise designated by the Tribal Gaming Office.

**C. Alternate Shipping and Delivery.** The Tribal Gaming Office shall notify the State Gaming Agency of all DCETG software and/or hardware shipped or delivered to any place other than the Tribal Gaming Office.

**D. Downloading Software.** It is permissible to download software to a DCETG so long as done in compliance with Part III(E).

**E. Requirements for Downloading Software.** All information concerning downloading DCETG software shall be forwarded to the Tribal Gaming Office which shall forward the information to the State Gaming Agency prior to the downloading process. The method of downloading DCETG software shall be consistent with the manufacturer guidelines. All downloading of DCETG software shall take place in the presence of Tribal Gaming Office personnel. The Tribal Gaming Office and State Gaming Agency shall approve the method of downloading software. The State Gaming Agency shall not unreasonably withhold approval.

**F. Software Requirements for Percentage Payout.** Each individual game associated with a DCETG shall theoretically pay out a minimum of 75%. The required return percentage does not include contributions from any award derived externally to the DCETG (i.e., progressive, promotional systems, bonus systems, merchandise, etc.).

**G. Par Sheet.** A copy of the manufacturer's par sheet for the current configuration shall be maintained inside each Wagering Station or at a location mutually agreed upon by the Tribal Gaming Office and the State Gaming Agency. The par sheet provided by the manufacturer shall list all the possible pay combinations and accurately reflect the current configurations for the DCETG in play. The theoretical hold percentage for each DCETG recorded in the host system file shall be the same as that configured at each Wagering Station (allowing for rounding, as applicable), and shall be within the performance standards on the manufacturer's par sheet, except as provided in this Appendix.

**H. Display of Game Rules.** The rules of the DCETG shall not be written in a manner that confuses a reasonable patron. The payglass artwork shall display sufficient information to the patron to indicate all available options and instructions. The DCETG shall always follow the predefined set of rules.

**I. Logic Area.** Each logic area shall be secured by lock, password, or other secure means as approved by the Tribal Gaming Office. Access to the logic area shall be controlled and maintained by the Tribal Gaming Office.

**J. Currency Compartment.**

- (1) Access to the currency storage area shall be through two levels of locks: one on the relevant outer door plus one other door or lock, before the bill acceptor box can be removed.
- (2) Access to the currency storage area shall be secured and fitted with separate sensors that indicate that a door has opened or closed and that a bill acceptor box has been removed, provided power is supplied to the Wagering Station.

**K. Ticket Validation.** DCETGs may pay a patron by issuing a printed ticket under the standards referenced in Appendix A.

**L. Incentive System.** DCETGs may interface with the Incentive System under the standards referenced in Appendix A.

**M. Wagering Station Access Logs.**

- (1) An access log shall be completed for each Wagering Station. Written access logs shall be stored inside each Wagering Station and shall be completed by the person opening the Wagering Station.



- (2) Upon agreement of the Tribal Gaming Office and the State Gaming Agency, an access log may be in written or electronic form. Regardless of whether it is in written or electronic form, the log shall contain the following:
- (a) the date of access;
  - (b) the time of access;
  - (c) the name or employee identification number of the person accessing the Wagering Station;
  - (d) the reason for access;
  - (e) the signature or initials of the person accessing the Wagering Station; and
  - (f) where the access log is in electronic form, each person accessing the Wagering Station must have an assigned, unique access card or PIN and must use that card or PIN when accessing the Wagering Station.
- (3) No entry in the access log is required when removing the bill acceptor box from a Wagering Station during normal drop procedures.

**N. Tournaments.** The Gaming Facility Operator may conduct DCETG tournaments. The submission and approval process for tournaments shall follow the standards referenced in the applicable game appendix.

**PART IV**  
**LABORATORY CERTIFICATION, MANUFACTURER REQUIREMENTS, NON-**  
**COMPLIANCE, AND REMEDIES**

**A. Tribal Gaming Office Approval of Receipt.** The Gaming Facility Operator shall obtain approval from the Tribal Gaming Office before receiving any DCETG. Approval shall not be given until a laboratory has determined that a production sample of the DCETG complies with all applicable technical standards in the Compact and this Appendix.

**B. Laboratory Certification.** The Tribal Gaming Office and the State Gaming Agency shall have secure access to the laboratory certification report that contains findings, conclusions and an opinion whether the DCETG complies with all applicable technical standards in the Compact and this Appendix. Neither the State nor the Tribe shall be required to pay the cost of laboratory testing, and the manufacturer and/or distributor shall provide the laboratory all information necessary for the laboratory to render its opinion, including the full manufacturer's engineering change order documentation. The State Gaming Agency reserves the right to require additional testing and to invoke the provisions of this Appendix if a DCETG is determined to be non-complying with the applicable technical standards in the Compact and this Appendix.

**C. Modifications.** The Gaming Facility Operator shall not modify any previously certified DCETG until a laboratory has certified that the modification complies with all applicable technical standards in the Compact and this Appendix.

**D. Manufacturer's Notifications.** A manufacturer or distributor shall provide the State Gaming Agency twenty-four (24) hour advanced notice of any shipment or delivery for any Gaming Facility in the State of a DCETG, Wagering Station, or DCETG software (Tribal Gaming Office notification requirements may differ). The State Gaming Agency may sanction a vendor or deny or revoke vendor certification if a manufacturer or distributor:

- (1) Fails to provide the State Gaming Agency twenty-four (24) hour advanced notice of any shipment for any gaming facility in the State a DCETG, Wagering Station, or DCETG software (Tribal Gaming Office notification requirements may differ);
- (2) Sells, or provides for play or any other gaming purpose, a DCETG, Wagering Station, or DCETG software to a Gaming Facility Operator:
  - (a) prior to laboratory certification; or
  - (b) that it knows, or reasonably should know, will malfunction in any manner that affects game play, the accuracy of meters, or the accuracy of host system reports; or
- (3) Fails to immediately notify the State Gaming Agency in writing of the discovery of any probable malfunction that affects game play, the accuracy of meters, DCETG software, the accuracy of host system reports, or DCETG functionality.

**E. Non-Complying Dealer Controlled Electronic Table Games.** The following are declared to be non-complying DCETGs unless remedied pursuant to Part IV(F)(1):

- (1) All DCETGs operated in violation of the Compact or its appendices;
- (2) All DCETGs to which the State Gaming Agency has been denied access for inspection purposes;
- (3) All DCETGs in operation that do not report to the host system as required by Appendix A;
- (4) All DCETGs shown by history or operation or notice from a laboratory or manufacturer to be susceptible to cheating;
- (5) A DCETG that remains in operation without a software upgrade or replacement for a period of more than ninety (90) days after the manufacturer has notified the Tribe of a problem with the DCETG, where the problem is such that the software does not comply with this Appendix; or
- (6) A DCETG that remains in operation without a software upgrade or replacement, after notice to the Tribe, for a period longer than recommended by a laboratory after the laboratory has revoked its certification of the DCETGs software.

**F. Remedies for Non-Complying Dealer Controlled Electronic Table Games.**

- (1) If the State Gaming Agency contends that any DCETG fails to comply with the applicable technical standards in the Compact or this Appendix, the State Gaming Agency shall provide written notice to the Tribal Gaming Office setting forth the basis for its contention. If the Tribal Gaming Office agrees with the allegation of non-compliance, then, within twenty-four (24) hours after receiving such a written notice, the Tribal Gaming Office shall require the Gaming Facility Operator to remove the DCETG from play and to take appropriate action to ensure that the manufacturer, distributor or other responsible person cures the problem.



- (2) If the Tribal Gaming Office disagrees with the allegation of non-compliance, then, within twenty-four (24) hours after receiving such a written notice, the Tribal Gaming Office shall require the Gaming Facility Operator to remove the contested DCETG from play and shall arrange for the prompt inspection of the DCETG (or a single example thereof) by a laboratory.
- (3) If the laboratory finds that the DCETG does not comply with the applicable technical standards in the Compact or this Appendix, the non-compliant DCETG shall not be returned to play until it has been modified to comply with the applicable technical standards in the Compact and this Appendix.
- (4) If the laboratory finds that the DCETG complies with the applicable technical standards in the Compact and this Appendix, the Tribal Gaming Office and State Gaming Agency will conduct any inspections and testing they deem necessary and confer regarding the DCETG within forty-eight (48) hours of receiving the laboratory's findings or as otherwise agreed upon by the Tribal Gaming Office and State Gaming Agency. DCETGs removed from play under this section may be returned to play once the Tribal Gaming Office and the State Gaming Agency agree that they meet the applicable technical standards in the Compact and this Appendix.
- (5) If a DCETG is determined to be non-complying, the Tribe shall authorize the Tribal Gaming Office to:
  - (a) Disable, or require to be removed from use, any DCETG shown by history or operation or notice from a laboratory or manufacturer to be susceptible to cheating or otherwise out of compliance with the Compact or this Appendix; and
  - (b) Require the manufacturers and Gaming Facility Operator to take whatever actions are necessary to ensure that DCETGs are not susceptible to cheating methods and comply with all applicable technical standards in the Compact and its appendices.

**PART V**  
**TRIBAL GAMING OFFICE - NOTICE, APPROVAL, AND REPORTING**

**A. Notice of Installation or Modification to the Tribal Gaming Office.**

- (1) The Gaming Facility Operator shall notify the Tribal Gaming Office in writing if it intends to install a DCETG, to re-install a DCETG that has been removed from the gaming floor, or to modify a DCETG, before the newly installed, re-installed, or modified DCETG is scheduled to be placed into use or play. The notice shall identify the DCETG, when and where the Gaming Facility Operator would like to place it into use or play, and the type of installation or modification. The notice shall also be sufficiently detailed and provided in time to allow the Tribal Gaming Office to schedule employees to inspect and test the DCETG before it is scheduled to be placed into play.

**B. Tribal Gaming Office Approval.**

- (1) Each newly installed, re-installed, or modified DCETG shall be inspected and tested by the Tribal Gaming Office prior to its play. The Tribal Gaming Office's inspection and testing shall meet the requirements of Part VII of this Appendix. Upon completing its initial inspection and testing, the Tribal Gaming Office shall either approve the DCETG or deny approval for use or play of the DCETG. When the Tribal Gaming Office approves a DCETG, it shall secure the logic area door with security tape or a seal. The Tribal Gaming Office shall also affix an identifying approval seal on each DCETG and each Wagering Station.
- (2) The Tribal Gaming Office shall not approve a DCETG that is not in material compliance with the Compact, its Appendices, and the applicable technical standards. The Gaming Facility Operator shall either immediately repair or remove from play or use a DCETG that has not been approved or is not in material compliance with the Compact, its Appendices, or the applicable technical standards.

**C. Notice of Dealer Controlled Electronic Table Game Repairs or Replacement.** If a DCETG malfunctions or otherwise requires any repairs or replacements that affect game play, game outcome, or the host system, the Gaming Facility Operator shall provide the Tribal Gaming Office notice within forty-eight (48) hours of completing the repairs or replacements. The notice shall identify the DCETG, shall explain the nature of any malfunction, and shall provide details regarding the repairs or replacements. The Tribal Gaming Office may provide guidance to the Gaming Facility Operator as to which repairs or replacements are subject to notice under this section.

**D. Transfer or Removal of a Dealer Controlled Electronic Table Game.**

- (1) A Gaming Facility Operator's removal of a DCETG from play and then subsequent placement of the DCETG back into play at one of the Tribe's gaming facilities will be considered a transfer under Part V(D)(3) of this Appendix, rather than a re-install under Part V(A)(1), if the DCETG is not out of play for more than four (4) months, and if, during the period that the DCETG is not in use, it is stored in a secure location with a lock, security tape, or equivalent on its doors, the Tribal Gaming Office's security tape or equivalent installed under Part V(B)(1) and/or Part VII remains unbroken, and the Tribal Gaming Office controls access to the game software.
- (2) If the Gaming Facility Operator intends to move a DCETG from the floor of a Gaming Facility to storage, the Gaming Facility Operator shall provide written notice to the Tribal Gaming Office twenty-four (24) hours prior to moving the DCETG. The notice shall identify the DCETG and shall include the serial numbers of the Wagering Stations. The Tribal Gaming Office does not need to remove any seals from the stored DCETG.
- (3) If the Gaming Facility Operator transfers a DCETG within a Gaming Facility or transfers a DCETG to another Gaming Facility owned by the Tribe, the Gaming Facility Operator shall provide written notice to the Tribal Gaming Office twenty-four (24) hours prior to transferring the DCETG. A temporary displacement of a

DCETG to access walker ducts, wire conduits or the like shall not be considered a transfer under this Section. The notice shall identify the DCETG, shall include the serial numbers of the Wagering Stations, shall include details regarding the new location of the DCETG, and shall include verification (with applicable documentation) that each Wagering Station is reporting correctly to the host system, bill acceptor tests, and door tests, and is covered by surveillance in the new location.

- (4) Except as provided in Part V(D)(2-3), before the Gaming Facility Operator removes any DCETG from a Gaming Facility, the Gaming Facility Operator shall provide written notice to the Tribal Gaming Office five (5) days in advance of the removal. The notice shall identify the DCETG to be removed, shall include the serial numbers of the Wagering Stations, and shall include details regarding when the DCETG will be removed, the location to which the DCETG will be taken, and to whom the DCETG will be transferred. Before a DCETG is removed from a Gaming Facility, except as provided in Part V(D)(2-3), the Tribal Gaming Office shall remove and discard all seals from the DCETG. These same procedures shall be followed for a DCETG which is in storage and which the Gaming Facility Operator intends to sell or otherwise discard.

**E. Random Inspections and Additional Inspections.** Unless otherwise agreed to by the Tribal Gaming Office and the State Gaming Agency, the Tribal Gaming Office shall conduct monthly random inspections and testing of no less than ten percent (10%) of a DCETG's wagering stations in use for play at each of the Tribe's Gaming Facilities. The Tribal Gaming Office shall adhere to the procedures in this Appendix when conducting its inspections and testing. The Gaming Facility Operator shall either immediately repair or remove from play or use any DCETG that is not in material compliance with the Compact, its Appendices, or the applicable technical standards. The Tribal Gaming Office may conduct additional inspections and testing to the extent it deems appropriate.

**F. Monthly Report to the State Gaming Agency.** The Tribal Gaming Office shall electronically transmit to the State Gaming Agency by the 10th of each month a written report in a format agreed upon by the Tribal Gaming Office and State Gaming Agency of the following information for the preceding month:

- (1) A report detailing when and where the inspections and testing took place, what Wagering Stations were inspected and tested, and the complete results of the inspections and testing;
- (2) A report of all Wagering Stations, including serial numbers, listing all repairs and replacements that required access to the logic area;
- (3) A list of all DCETGs, including the serial numbers of those DCETGs, removed from play and/or moved to storage, along with verification of the removal and discarding of any State Gaming Agency seals and all information the Gaming Facility Operator is required to provide the Tribal Gaming Office regarding the removal and/or move of DCETGs into storage;
- (4) A list of all DCETGs transferred within a Gaming Facility or transferred to another Gaming Facility owned by the Tribe, including all of the information the Gaming

Facility Operator is required to provide the Tribal Gaming Office regarding the transfers; and

- (5) A list of all DCETGs removed from a Gaming Facility along with verification of the removal and discarding of any State Gaming Agency seals.

**PART VI**  
**STATE GAMING AGENCY APPROVAL AND REMEDIES**

**A. State Gaming Agency Inspections.** Unless otherwise agreed to by the State Gaming Agency and the Tribal Gaming Office, the State Gaming Agency shall inspect and test any newly installed, re-installed, or modified DCETG. The State Gaming Agency shall conduct inspections and testing in the following manner:

- (1) The Tribal Gaming Office shall notify the State Gaming Agency in writing at least fifteen (15) days prior to the tentative date when the Gaming Facility Operator intends to place a newly installed, re-installed, or modified DCETG into play. The Tribal Gaming Office and State Gaming Agency shall then agree upon a firm date and time for State testing and inspection which shall be no more than thirty (30) days after placement of the DCETG into play. The Gaming Facility Operator may place a newly installed, re-installed, or modified DCETG into play before the State Gaming Agency completes its inspection and testing, so long as it has been tested and approved by the Tribal Gaming Office as complying with the terms of this Appendix.
- (2) If the Tribal Gaming Office provides thirty (30) days advanced written notice, the State Gaming Agency and the Tribal Gaming Office shall schedule a mutually agreeable date and time for joint testing and inspection of the DCETG prior to its use.
- (3) At least one Tribal Gaming Office inspector and one gaming operation technician shall accompany the State Gaming Agency during inspections and testing but shall not impede or compromise these activities. The State Gaming Agency shall not unduly interfere with the Gaming Operation while inspecting or testing a DCETG.
- (4) If there is a delay in assembling necessary personnel or if some other problem arises with respect to inspections or testing, the Tribal Gaming Office, Gaming Facility Operator, and the State Gaming Agency shall, in good faith, attempt to resolve any such problems. Unless otherwise agreed to by the Tribal Gaming Office and the State Gaming Agency, and assuming that the State Gaming Agency made reasonable and good faith attempts to complete the inspection, including properly appearing on any agreed upon inspection dates, the Gaming Facility Operator shall remove from play or use any DCETGs that have not been approved by the State Gaming Agency within thirty (30) days of their installation, re-installation or modification until the inspection can be completed.
- (5) When the State Gaming Agency approves a newly installed, re-installed, or modified DCETG for play or continued use, it shall affix an identifying approval seal or equivalent to each DCETG and each dealer controlled wagering station. If the State Gaming Agency denies approval for use for play or continued use,



the State Gaming Agency shall, at the conclusion of inspection and testing, as applicable, orally explain to the Gaming Facility Operator and the Tribal Gaming Office why the State Gaming Agency is denying approval. The State Gaming Agency shall promptly issue a written statement to the Gaming Facility Operator and Tribal Gaming Office setting forth the grounds for denial of approval.

- (6) In the case of the opening of a new, expanded, or remodeled Gaming Facility and as part of its pre-opening inspection and approval, the State Gaming Agency shall inspect and test all DCETGs prior to their placement into play or use at the new, expanded, or remodeled Gaming Facility, and the State Gaming Agency and the Tribal Gaming Office shall agree upon a reasonable schedule in advance to allow the pre-opening inspections to take place.

**B. Additional Inspections of Approved Dealer Controlled Electronic Table Games.**

The State Gaming Agency may conduct inspections and testing in addition to those provided for in Part VI(A) in the event that:

- (1) It has determined that within the previous six months one or more DCETGs were not operating in material compliance with the Compact or its appendices;
- (2) It observes DCETGs operating out of compliance with the Compact or receives credible information from any source that one (1) or more DCETGs are or may be currently operating out of compliance with the Compact or its appendices; or
- (3) It receives a request for additional inspections and testing from the Tribal Gaming Office. In conducting such inspections and testing, the State Gaming Agency and the Tribal Gaming Office shall agree upon a firm date and shall not unduly interfere with the Gaming Operation while inspecting or testing DCETGs.

**C. Remedies for Discovery of Non-complying Dealer Controlled Electronic Table Games.**

If the State Gaming Agency determines that a DCETG on the gaming floor and in play is not in material compliance with the requirements of the Compact, its Appendices, or applicable technical standards, the State Gaming Agency may require that the DCETG be shut down, and either replaced or not put back into play until the compliance issue is resolved.

**PART VII**  
**MANNER OF INSPECTIONS AND TESTING**

**A. Dealer Controlled Electronic Table Game Inspections and Tests.** All inspections and testing of DCETGs shall be conducted to determine compliance with the Compact, its Appendices, and the applicable technical standards. These inspections and tests shall include, but need not be limited to:

- (1) Verifying DCETG number, Wagering Station serial number, type and name of each game, and denomination of each game;
- (2) Inspecting and testing game specific equipment (i.e. roulette wheels, shufflers, etc.).
- (3) Inspecting access logs, as applicable;

- (4) Reviewing and photocopying pertinent host system reports;
- (5) Verifying logic board and/or logic area physical security, as applicable;
- (6) Verifying that all software and/or hardware in the DCETG has been certified by a laboratory and has received final approval by the Tribal Gaming Office and the State Gaming Agency. The Tribal Gaming Office shall affix security tape or a seal to all logic area doors. The DCETG shall be tested by the following if security tape or a seal is broken or not present:
  - (a) gaming test laboratory approval list; and
  - (b) Kobetron test or other approved method of testing.
- (7) Verifying DCETG software corresponds with each game type;
- (8) Verifying that the DCETG software has not been deemed to be revoked by the independent laboratory;
- (9) Reviewing par sheets to determine proper configuration and operation;
- (10) Conducting tests confirming that DCETG functions and items of monetary value are being reported to the host system;
- (11) Conducting Wagering Station door tests to verify door openings are being reported to the host system when the device is functional;
- (12) Verifying all DCETG parameters coincide with the host system and par sheets;
- (13) Inspecting to ensure that the DCETG is installed according to the recommendations of the manufacturer and per all applicable installation and safety codes;
- (14) Conducting communication audit tests; and
- (15) Inspecting progressive controller access logs, if applicable.

**B. Progressive Dealer Controlled Electronic Table Game Inspections.** All inspection, installation, and modification procedures shall apply to a progressive DCETG.

**C. Alternate Modification Testing Procedures.** The Tribal Gaming Office may develop alternate procedures for the inspection and testing of DCETG modifications upon approval by the State Gaming Agency.

## **PART VIII** **INTERNAL CONTROL STANDARDS**

In addition to the standards set forth below, the Tribal Gaming Office shall incorporate internal control standards, established pursuant to Compact Section 11, necessary for the regulation of each DCETG.

**A. Standards for Evaluating Theoretical and Actual Hold Percentages.**

- (1) Accurate and current theoretical hold worksheets shall be maintained for each DCETG.



- (2) For each DCETG, an employee or department independent from the gaming machine department and table games department shall perform a weighted average calculation to adjust the theoretical hold percentage as follows:
  - (a) On a quarterly basis, record the actual hold percentage (i.e. blackjack, roulette, baccarat, etc.) and number of plays by game type (as calculated in the secondary reporting system);
  - (b) On an annual basis, calculate the theoretical hold percentage based on the actual hold percentage by game type and distribution of plays by game type; and
  - (c) On an annual basis, adjust the Wagering Station(s) theoretical hold percentage in the statistical report to reflect the revised percentage.
- (3) Records shall be maintained for each Wagering Station indicating the dates and type of changes made and the recalculation of theoretical hold as a result of the changes.
- (4) Records shall be maintained for each DCETG that indicate the date the DCETG was placed into service, the date the DCETG was removed from operation, the date the DCETG was placed back into operation, and any changes in DCETG numbers and designations.
- (5) Upon receipt of the meter-reading summary, the accounting department shall review all meter readings and reconcile them against the meter readings by game type from the secondary reporting system.
- (6) Prior to final preparation of statistical reports, meter readings that do not appear reasonable shall be reviewed with gaming machine department employees or table game department employees, and exceptions documented, so that meters can be repaired or clerical errors in the recording of meter readings can be corrected.
- (7) A report shall be produced at least monthly showing month-to-date, year-to-date (previous twelve (12) months data preferred), and if practicable, life-to-date actual hold percentage computations for individual Wagering Stations and a comparison to each DCETG theoretical hold percentage previously discussed.
- (8) Each change to a DCETG game type, including side bets and progressive percentage contributions, shall result in that DCETG being treated as a new DCETG in the statistical reports (i.e., not commingling various hold percentages), except for adjustments made in accordance with paragraph (C)(2) of this section.
- (9) If promotional payouts or awards are included on the DCETG statistical reports, it shall be in a manner that prevents distorting the actual hold percentages of the affected Wagering Stations.
- (10) The statistical reports shall be reviewed by gaming machine department management, table game department management, and management of another independent department on at least a monthly basis.

- (11) The Gaming Facility Operator, as approved by the Tribal Gaming Office, shall establish a variance percentage threshold for investigating and resolving differences between theoretical and actual hold percentages.
- (12) For those DCETGs in play for more than six (6) months, variances between theoretical hold and actual hold shall be investigated and resolved by a department independent of the gaming machine department with the findings documented and provided to the Tribal Gaming Office upon request in a timely manner.
- (13) Maintenance of the host system and secondary reporting system data files shall be performed by a department independent of the gaming machine department. Alternatively, maintenance may be performed by gaming device supervisory employees if sufficient documentation is generated and it is randomly verified on a monthly basis by employees independent of the gaming machine department.

**B. Progressive Dealer Controlled Electronic Table Games.**

- (1) Physical and logical access to the progressive server, including the method by which system jackpot parameter values are entered or updated, shall be secure and monitored by the Tribal Gaming Office.
- (2) A meter that shows the amount of the progressive jackpot shall be conspicuously displayed at or near the table to which the jackpot applies.
- (3) At least once each day, the Gaming Facility Operator shall record the amount shown on each progressive jackpot meter.
- (4) Explanations for meter reading decreases shall be maintained with the progressive meter reading sheets.
- (5) The base amount of each progressive jackpot offered at the Gaming Facility shall be documented and maintained by the Gaming Facility Operator and the Tribal Gaming Office.
- (6) The Tribal Gaming Office shall approve procedures specific to the transfer of progressive amounts. Such procedures may include alternate methods of distribution that accrue to the benefit of the gaming public via an award or prize.
- (7) Upon presentation of circumstances to the State Gaming Agency, and by mutual agreement with the Tribal Gaming Office, the Gaming Facility may reduce, eliminate, transfer or distribute progressive amounts in excess of the base amount.

**C. Standards for Playing Cards, Roulette Wheels, Roulette Balls, and Dice.**

- (1) Playing cards, roulette wheels, roulette balls, and dice shall be maintained in a secure location to prevent unauthorized access and to reduce the possibility of tampering.

- (2) Used playing cards, roulette balls, and dice shall be maintained in a secure location until marked, scored, or destroyed, in a manner as approved by the Tribal Gaming Office, to prevent unauthorized access and reduce the possibility of tampering.
- (3) A control log shall be maintained that documents when playing cards, roulette wheels, roulette balls, and dice are received on site, distributed to and returned from tables and removed from play by the Gaming Facility Operator.

**D. Dealer Controlled Electronic Table Game Surveillance.** The surveillance system shall monitor and record an overview of gaming activities in each DCETG area, sufficient to allow the employees performing the different functions to be identified.

- (1) At a minimum, the surveillance system shall provide one (1) dedicated camera and one (1) PTZ camera for each table.
  - (a) The required dedicated camera and the PTZ camera in combination shall provide an overview of the table under surveillance sufficient to allow the table surface and any shuffling device or roulette wheel located at the table to be clearly viewed.
  - (b) The dedicated camera and the PTZ camera in combination must be capable of monitoring and recording the dealer, card suits, card values, roulette wheel pockets, dice, and game outcome, sufficient to allow them to be clearly identified.
  - (c) If any DCETGs are serviced by a shuffling device that is not located at the table, then the remote shuffling device(s) shall be monitored and recorded by at least one (1) dedicated camera providing a general overview of the shuffler sufficient to allow employees accessing the shuffler to be identified and their activities to be monitored and also sufficient to allow the movement of cards from the table to the shuffler and back to be monitored. This standard does not require one (1) dedicated camera per remote shuffling device if one (1) dedicated camera is able to provide the required coverage for more than one (1) remote shuffling device.
  - (d) In addition to the surveillance requirements for DCETGs and progressive DCETGs, if an approved DCETG utilizes any mechanical, electronic or electromechanical component, including progressive signage, meters, wheels, dealer screens, and variable payout tables, such component(s) shall be monitored and recorded by at least one (1) dedicated camera providing a view of the component sufficient to allow the display of, and outcome represented on, the component (if any).
- (2) The surveillance system must be capable of (i) monitoring, from various vantage points, the Wagering Stations that are not monitored and recorded by dedicated cameras, (ii) providing overviews of the area(s) in which Wagering Stations are located, (iii) monitoring activities in the area(s) in which Wagering Stations are located, and (iv) allowing persons who are being tracked by surveillance to be

identified as they move through the areas in which Wagering Stations are located. The required coverage can be provided by dedicated cameras, PTZ cameras, or a combination of both.

**PART IX**  
**TRIBAL CONTRIBUTIONS**

- A.** For each DCETG, Class III Net Win equals the game drop less hand paid jackpot payouts, less amounts credited to player's wagering cards or accounts as a result of winning wagers, less game short pays, less amounts credited to cashless wagering tickets as a result of a winning wager.
- B.** The following shall not be included in the calculation of Class III Net Win for DCETGs:
- (1) Any lease payments or other fees paid by the Gaming Facility Operator for the use of DCETG;
  - (2) Entry fees or other compensation received by the Gaming Facility Operator for DCETG tournaments;
  - (3) Prizes paid to winning players as a result of DCETG tournaments;
  - (4) Tips credited to the dealer;
  - (5) Commissions or Vigorish collected by the house (if applicable); or
  - (6) Free Play Instrumentalities and Match Play Instrumentalities
- C.** The Gaming Facility Operator may deduct from Class III Net Win the actual cost of personal property awarded to a player as a result of a Wager placed in connection with the play of a DCETG resulting in a winning Wager, provided the Gaming Facility Operator maintains adequate and detailed documents to support the cost of the personal property awarded as a jackpot.
- D.** If a Gaming Facility Operator provides periodic payments to satisfy a payout resulting from a Wager, the initial installment payment when paid and the actual cost of a third party payment plan funded by the Gaming Facility Operator may be deducted from winnings when paid or purchased. For any funding method which merely guarantees the Gaming Facility Operator's performance and under which the Gaming Facility Operator makes payments directly to the player out of cash flow (e.g. irrevocable letters of credit, surety bonds, or other similar methods), the Gaming Facility Operator shall only deduct such payments when paid to the player.