

**Maine Gambling Control Board
Resolution 15
Limited Delegation of Authority to Director
To Authorize the Destruction of TITO tickets and Surveillance Coverage**

Effective Date: September 19, 2023

Expiration Date: September 19, 2026 (unless rescinded earlier)

Background

The Gambling Control Unit in collaboration with the two licensed casinos in Maine updated rules under Chapter 5: Minimum Internal Controls, Appendix A, section II-B “Storage and destruction of books, records and documents.”

The Director recommends that the authority to receive and review notifications from licensees regarding the scheduled destruction of original books, records, and documents be delegated to the Director or his/her designee. The Director’s designee will be the Inspector Supervisor who oversees investigations at the casino facilities.

There are thousands of tickets printed each day and video surveillance takes up a lot of room within surveillance servers. This would give the licensees timelier response and the ability to not have as much storage until the Board approves. The only reason for not permitting destruction is when there are documents or files as a part of an investigation. The Inspector Supervisor knows what investigations are ongoing that would require holding on to these tickets or surveillance files.

This policy expires on September 19, 2026 but may be revisited by the Board at any time.

Applicable Law

The Board’s laws provide that under 8 M.R.S. § 1003(3)(G) states a requirement for rules with minimum procedures for the exercise of effective control over the internal fiscal affairs of slot machine operators, casino operators, slot machine distributors, table game distributors, gambling services vendors and nongambling services vendors, including provisions for the safeguarding of assets and revenues, the recording of cash and evidence of indebtedness and the maintenance of reliable records, accounts and reports of transactions, operations and events, including reports to the board.

According to Board rules Chapter 5, Appendix A, section II-B (“Storage and destruction of books, records and documents”):

D.) An Operator shall notify the Board in writing at least 30 days prior to the scheduled destruction of any original book, record, or document. Such notice shall list each type of book, record, and document scheduled for destruction, including a description sufficient to identify the

books, records, and documents included; the retention period; and the date of destruction. Each Operator shall retain this record of destruction.

E.) Such original book, record, or document may thereafter be destroyed only upon notice from the Board or by order of the Board upon the petition of the Operator or by the Board on its own initiative.

According to 16-633 C.M.R. Chapter 3, section 1 (“Control of Licensees”):

- (1) The licensees shall hold the records for not less than 5 years. The records shall include, but not be limited to, all of the following:
 - A. All correspondence with, or reports to, the Board or any local, state or federal regulatory agency;
 - B. All correspondence concerning the acquisition, construction, maintenance, or business of a proposed or existing slot machine facility or casino;
 - C. A personnel file on each employee;
 - D. All accounting records, ledgers, subsidiary records, computer generated data and internal audit records pertaining to slot machine or table game activities.
- (2) Notwithstanding the foregoing provisions of subsection 1 of this rule, a slot machine operator or casino operator will maintain original ticket vouchers for a period of 7 days, unless otherwise ordered by the Gambling Control Board. Any vouchers ordered held by the Gambling Control Board will be held for 7 years.

Pursuant to 8 M.R.S. § 1003, the Board may delegate certain powers and duties to the director:

2. Duties. ... In addition, the board *or the director or staff, as delegated by the board*, shall: ...

A. Enforce the provisions of this chapter and any rules adopted under this chapter;

Limited Delegation of Authority to Director

The Board delegates to the Director the authority under 16-633 C.M.R. chapter 5, Appendix A, section 11-B(D), (E).

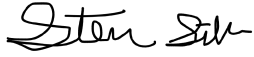
The Board delegates to the Director the authority under 16-633 C.M.R. chapter 3, section 1(2) to order licensees to not destroy original ticket vouchers beyond the allotted 7 days for the purposes of completing an investigation and any enforcement actions that result therefrom.

This Limited Delegation of Authority will expire on the Expiration Date indicated above, at which time the Board shall review the actions taken pursuant to this Limited Delegation of Authority and determine whether to renew or modify this delegation.

Adoption of Resolution 15

Adopted by the Board on September 19, 2023, by a vote of 4 in favor, 0 opposed, 0 abstained, 0 absent.

Dated: 9/21/23



Steven J. Silver, Board Chair