

Chapter 19-A: CRITERIA FOR INDEPENDENT LABORATORY CERTIFICATION

§1. Introduction

1. The laboratory shall test, evaluate, conduct math analyses, verify, certify, and/or render opinions on behalf of or to the Board regarding all slot machines, electronic table games, non-electronic table games, their associated equipment and all systems used in the conduct, monitoring or recording of gaming activities for compliance with the Maine laws, rules, and approved gaming industry standards.
2. The laboratory shall consult with the Board to provide a fundamental understanding of new products not previously approved for use within the State of Maine including but not limited to game systems, platforms and associated equipment. For such new equipment, the laboratory must obtain approval from the Board prior to ~~testing, evaluating, analyzing, certifying, verifying, and/or~~ rendering opinions for or on behalf of the Board.
3. The laboratory shall perform all testing and certification of gaming equipment at the laboratory's place(s) of business, or another location approved by the Board, all of which should maintain current International Organization of Standardization (ISO) ~~17025-IT and 17020 Field Proficiency certifications and~~ accreditations for ISO 17025 Testing and Calibration Laboratories and ISO 17020 Field Inspection.
4. Upon request, the laboratory shall develop or provide recommendations for testing standards, for review and approval by the Board, that address each technology authorized by the Board, including but not limited to:
 - A. Electronic Gaming Devices
 - B. Progressive Gaming Devices
 - C. Online Monitoring and Control Systems
 - D. Bonus and Promotional Systems
 - E. Electronic Table Games
 - F. Advance Deposit Wagering Systems ~~Sports Wagering Systems~~
5. Each laboratory shall only provide certifications to the Board for products and product lines that have been independently reviewed and certified by that laboratory. ~~Certifications for products that work in conjunction with or its operation is dependent on other devices or products will only be accepted if those devices or products are certified by the same laboratory.~~
6. Unless otherwise authorized by the Board, the laboratory shall be provided access to the Critical Control Program File's source code along with the means to verify compilation of the source code. The result of the compiled source code shall be identical to that in the software submitted for certification.

§2. Reporting

1. Upon the laboratory's certification of gaming equipment, the laboratory shall provide a unique identification code or signature utilizing an industry-acceptable means for generating such unique identification codes or signatures, such as Secure Hash Algorithm (SHA-1) or Cyclical Redundancy Check (CRC-32), to all Critical Control Program Storage Media files (CPSM). The unique identification code or signature and the means for generating such codes or signatures shall be included in all documents, reports, and databases required herein.
2. The laboratory's verification tools and/or mechanisms used to provide unique identification codes or signatures and the means for generating such codes or signatures to Critical Control Program Files CPSMs must be approved by the Board. The laboratory shall provide the Board with step-by-step verification procedures for each tool and/or mechanism.
3. As requested by the Board, the laboratory shall provide the Board with training on any verification tool and/or mechanism that is proprietary to the laboratory to verify the unique signature of the approved Critical Control Program Files CPSM.
4. As requested by the Board, the laboratory shall develop updated tools and/or mechanisms to be used in conjunction with the most current testing standards and tools of the Board.
5. The laboratory shall provide the Board, upon request, with flow diagrams/charts of each system and its associated hardware/software approved by the laboratory on behalf of the Board depicting the inter-relationship of such system components. This documentation will be provided in addition to the reports that specifically describe which elements of the system components are to be field tested and verified by the Board upon installation at properties of licensees regulated by the Board.
6. The laboratory shall provide the Board with a verification manual, including tables and color photographs for each approved gaming equipment manufacturer's integrated circuit boards which shall depict the position of critical software that must be verified and sealed by the Board. Such manual and color photographs must be submitted in a digital format acceptable to the Board.
7. The laboratory shall maintain a list of approved software for all gaming equipment tested and certified.
- ~~8. The laboratory shall maintain at its place of business all online computerized data monitoring, data management, and ticket validation systems approved by the Board for use at Maine licensed gaming establishments. Such systems shall be used in the inter-operability testing requirements.~~
8. The laboratory shall provide twenty-four (24) hours per day, seven (7) days per week customer support/regulatory compliance contact. ~~The laboratory shall provide technical responses within twelve (12) hours after call receipt.~~
9. If requested by the Board, the laboratory shall provide technical assistance to gaming operators/suppliers in the 'start-up' of gaming operations in the state. The gaming operators/suppliers shall be responsible for all services rendered and travel costs incurred by

the laboratory employees, including out-of-state airfare, in-state mileage, out-of- state car rental and associated costs including, car rental insurance, food, and lodging specifically associated with the inspection.

10. If requested by the Board, the laboratory shall perform on-site field inspections of gaming equipment. The gaming operators/suppliers shall be responsible for all services rendered and travel costs incurred by the laboratory employees, including out-of-state airfare, in-state mileage, out-of- state car rental and associated costs including, car rental insurance, food, and lodging specifically associated with the inspection.
11. If determined necessary by the Board, the laboratory shall allow up to three (3) Board employees one visit annually to inspect ~~each of the laboratory's sites where the~~ majority of the testing for the Board is conducted to ensure integrity of work is maintained and for review of new technology being considered for approval. The laboratory shall be responsible for all travel costs incurred by the Board employees, including out-of-state airfare, in-state mileage, out-of- state car rental and associated costs including, car rental insurance, food, and lodging specifically associated with the inspection.
12. Unless otherwise specified herein, the laboratory shall furnish all material, labor, facilities, equipment, supplies, tools, machinery, and storage of same, as well as water, heat, utilities, and transportation necessary to perform the services required herein.
13. The laboratory shall provide the Board with real-time online access to the laboratory's database of reports and documents generated pursuant to the requirements stated herein via secure communication protocol. The laboratory shall maintain a quality assurance mechanism to ensure uniform data and data entry processes.
14. The laboratory's online database shall allow the Board to view up to date reports of all approved, obsolete, non-mandatory revoked and revoked gaming equipment for the Board's jurisdiction.
15. An electronic notification shall be made to the Board for all non-mandatory revoked, revoked or obsolete gaming systems.
16. This report must be current as of the end of the previous business day.
17. The Board must have the ability to view the obsolete and revoked reports must contain date of action and most current replacement software.
18. It shall be the responsibility of the laboratory to prepare the report in whatever format the Board requires to be able to integrate this report with other independent testing laboratories approved by the Board. The laboratory shall provide a level of online access for licensees of the Board to access only the list of approved, revoked, and obsolete software for all manufacturers the laboratory reviews for the Board.
19. Within thirty (30) calendar days after the completion of required testing, the laboratory shall provide a final report to the Board for all completed gaming equipment tests.

The laboratory shall immediately or within a reasonable timeframe, notify the Board of any situation or incident involving the integrity of any gaming equipment presently approved for use in the jurisdiction regulated by the Board. The laboratory's written reports must be submitted in a Board-approved format and medium.

§3 Records Lab Requirements

1. The laboratory shall maintain accurate and detailed accounting records and reports regarding the test results and compliance with Maine laws and regulations. As requested by the Board, the laboratory shall provide such records and reports to the Board to:
 - A. Ensure record reconciliation between the Board and the laboratory's testing laboratory.
 - B. Facilitate timely and proper field inspections.
2. The laboratory shall provide all services using competent and properly trained personnel in accordance with the highest testing standards of the gaming industry.
3. The laboratory shall remain independent and not assist the manufacturers in any aspect of the development of products associated with the gaming industry.
4. The laboratory shall employ a staff of full-time skilled professionals of such number to afford a separation of responsibilities that provides independent work product verification and fulfills the requirements stated herein to the satisfaction of the Board. The laboratory shall, at a minimum, employ personnel in the discipline of mathematics, engineering (mechanical, electrical, software), systems and communication protocol, compliance and quality assurance, and field inspections. The laboratory shall train laboratory personnel on the Board's field-testing rules and procedures prior to their working in the State of Maine.
5. The laboratory shall agree and understand that, if determined necessary, the laboratory and all direct or indirect personnel of the laboratory shall be subject to background checks by the Board, including criminal record checks and tax clearances. The laboratory shall cooperate in any way necessary regarding such background checks and shall sign release of information forms as required.
 - A. The laboratory shall abide by any restriction placed on the laboratory by the Board on the use of any personnel.
 - B. None of the laboratory's personnel, agents or other representatives shall have ever been convicted of bribery or attempting to bribe a public official.
6. If requested by the Board, the laboratory shall perform additional consulting services for the Board on an as needed, if needed basis. Such consulting services may include, but cannot necessarily be limited to the following:
 - A. Providing consultation to the Board and assisting the Board in drafting rules and procedures regarding the establishment of uniform operating procedures for gaming equipment testing. Costs for consultation services rendered shall be negotiated between the Board and the laboratory.
 - B. Assisting the Board in matters of field gaming equipment inspection and field security, providing competent, trained personnel as required by the Board, and assisting in drafting of rules and procedures regarding such. The gaming operators/suppliers shall be responsible for all services rendered and travel costs incurred by the laboratory employees, including out-of-state airfare, in-state mileage, out-of-state car rental and associated costs including, car rental insurance, food, and lodging

specifically associated with the inspection.

C. Providing training to the Board employees and/or designees in proper gaming equipment testing and auditing procedures.

- (1) Providing forensic examination and evaluation of questioned gaming equipment (whether legal or illegal), assist the Board with forensic investigations, provide expert testimony on behalf of the Board, and provide Board forensic troubleshooting procedures for each gaming equipment platform. All costs associated with a forensic analysis will be charged to either the manufacturer or the licensee.
- (2) Providing annual virtual or in person training for up to four (4) employees of the Board. This training shall include, but not be limited to, a discussion of any recent or future changes that would affect the regulation of gaming in the State of Maine. The laboratory shall charge no fee to the Board for any such training.

~~7. The laboratory must be recognized by the Gaming Standards Association (GSA) as being able to certify all protocol implementations to current GSA standards.~~

STATUTORY AUTHORITY: 8 M.R.S.A. § 1003 and § 1020 (4)

EFFECTIVE DATE: