

**Tribal-State Gaming Compact
Between**

_____ Indian Tribe

**and the
State of Arizona**

APPENDIX C

**SECURITY AND SURVEILLANCE
REQUIREMENTS**

Effective October 19, 2005

**APPENDIX C
SECURITY AND SURVEILLANCE REQUIREMENTS**

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APPENDIX C SECURITY AND SURVEILLANCE REQUIREMENTS

I. SURVEILLANCE.

A. Surveillance System. The surveillance system required by Compact Section 6(a)(4) for the Tribe's Gaming Facilities, which is defined in Appendix H (the "Surveillance System"), shall be operated by a department of the Gaming Facility Operator or the Tribal Gaming Office, or by an independent surveillance operator (the "Surveillance Department"). The Surveillance Department shall be responsible for:

- (1) Surveilling all areas and things required by Appendix H to be under surveillance;
- (2) Endeavoring to detect illegal activities and instances of non-compliance with the requirements of the Compact and its Appendices in the areas required by Appendix H to be under surveillance;
- (3) Endeavoring to detect the presence in a Gaming Facility of Barred Persons and persons who are on the self-excluded list established under Compact Section 3(v)(2);
- (4) Endeavoring to detect gambling by persons who are less than twenty-one years of age;
- (5) Endeavoring to assist the Security Department in safeguarding people and assets in the areas required by Appendix H to be under surveillance; and
- (6) Satisfying the pertinent (i.e. surveillance) requirements of Compact Sections 3(b)(4), 3(t), and 11(b)(4).

The Surveillance System will be designed to meet the obligations of the Gaming Facility Operator, the Tribal Gaming Office, or the independent surveillance operator, as applicable, relating to surveillance under this Appendix. The Surveillance System shall meet the requirements of the Compact and its Appendices, including Appendix H. The Surveillance System shall be operated in a manner that meets the surveillance standards of the Compact and its Appendices, including Appendix H.

B. Surveillance Plan. The Surveillance System shall be operated pursuant to a written surveillance plan (the "Surveillance Plan"). The then current Surveillance Plan shall be available in the main surveillance room for each Gaming Facility. At a minimum, the Surveillance Plan shall include:

- (1) An organizational chart depicting appropriate segregation of functions and responsibilities for all positions in the Surveillance Department;
- (2) A description of the duties and responsibilities of each position shown on the organizational chart;
- (3) A general description of the Surveillance System and all equipment used in the Surveillance system, including:
 - (a) whether the system is digital or analog;
 - (b) the types, sizes, and quantities of monitors;
 - (c) the types and quantities of recorders, keyboards, and cameras;
 - (d) the types and quantities of quads and multiplexers; and
 - (e) the UPS system, backup generator, or alternate utility supplier;
- (4) A current, detailed blueprint or diagram that shows all of the areas of each Gaming Facility to be monitored by the Surveillance System (including the placement of Gaming Devices and Card Game Tables) and the placement of surveillance equipment in relation to the locations required to be observed by the Compact and its Appendices;
- (5) A narrative description of the administrative and operational policies and procedures used in the operation of the Surveillance System (including the

policies and procedures that implement the pertinent requirements of Compact Sections 3(b)(4), 3(t), and 11(b)(4));

- (6) A description of the training required for Surveillance Department employees;
- (7) If applicable, a statement that the Gaming Facility Operator does not conduct a form or forms of gaming permitted in the Compact;
- (8) Any other information required by this Appendix;
- (9) Identification of that department or part of the Gaming Facility Operator responsible for operating the Surveillance System, if the Gaming Facility Operator operates the Surveillance System;
- (10) Identification of that department or part of the Tribal Gaming Office responsible for operating the Surveillance System, if the Tribal Gaming Office operates the Surveillance System; and
- (11) Identification of the independent surveillance operator responsible for operating the Surveillance System, if an independent surveillance operator operates the Surveillance System.

C. Preparation and Approval of Surveillance Plan.

- (1) Gaming Facility Operator or Independent Surveillance Operator.
 - a. If the Gaming Facility Operator or an independent surveillance operator operates the Surveillance System, it shall prepare a Surveillance Plan and submit it to the Tribal Gaming Office for approval.
 - b. For Gaming Facilities not in operation at the time this Appendix becomes effective, the Gaming Facility Operator or independent surveillance operator shall submit its Surveillance Plan to the Tribal Gaming Office for approval not later than five (5) days before starting to operate Class III Gaming or Card Game Tables. For Gaming Facilities already in operation at the time this Appendix becomes effective, the Gaming Facility Operator or independent surveillance operator shall submit its Surveillance Plan to the Tribal Gaming Office for approval within ninety (90) days after the Appendix becomes effective. The Gaming Facility Operator or independent surveillance operator may submit a Surveillance Plan to the Tribal Gaming Office in an electronic format.
 - c. If, after reviewing the Gaming Facility Operator's Surveillance Plan, the Tribal Gaming Office determines the Surveillance Plan does not comply with the requirements of the Compact and/or its Appendices, the Tribal Gaming Office shall notify the Gaming Facility Operator or independent surveillance operator in writing of the reasons why the Surveillance Plan does not comply. In that case, the Gaming Facility Operator or independent surveillance operator shall submit for approval a revised Surveillance Plan that complies with the requirements of the Compact and its Appendices within seven (7) days after receiving the Tribal Gaming Office's written notice or within such longer time as may be allowed by the Tribal Gaming Office.
 - d. If the Gaming Facility Operator or an independent surveillance operator operates the Surveillance System, it must amend its Surveillance Plan, and obtain the Tribal Gaming Office's approval of the amendments, before:
 - i. Changing:
 - (a) the organizational chart for the Surveillance Department;
 - (b) the duties and responsibilities for any position shown on the organizational chart;

- (c) the training required for Surveillance Department employees;
 - (d) the administrative or operational policies or procedures used in the operation of the Surveillance System;
 - (e) the types of games played; or
 - (f) the areas to be monitored by the Surveillance System;
 - ii. Relocating equipment in, adding equipment to, or removing equipment from, its Surveillance System (but not when replacing equipment with similar equipment of equal or greater functionality);
 - iii. Adding or relocating (but not replacing):
 - (a) a Card Game Table;
 - (b) a progressive Card Game Table;
 - (c) a keno area, a keno ball-drawing device, or random number generator for keno;
 - (d) a pari-mutuel area;
 - (e) a secured location for gaming chip inventories or card storage; or
 - (f) a Gaming Device requiring surveillance by a dedicated camera;
 - iv. Changing the location or layout of the cage and vault area or the areas where currency or coin may be stored or counted during the drop and count process; or
 - v. Changing the location of gaming machine booths and change banks (as defined in Appendix H), redemption booths, or automated redemption kiosks.
- e. The Gaming Facility Operator or independent surveillance operator shall submit an amended Surveillance Plan, or those portions of the Surveillance Plan amended (such as an updated blueprint or diagram), to the Tribal Gaming Office for approval at least forty-eight (48) hours before the time proposed for implementing the changes in the amendments, unless the Tribal Gaming Office agrees to a shorter notice. The Gaming Facility Operator or independent surveillance operator may submit an amended Surveillance Plan, or those portions of the Surveillance Plan amended, to the Tribal Gaming Office in an electronic format. If changes to the Surveillance System are needed on an emergency basis, the Gaming Facility Operator or independent surveillance operator may make those changes after obtaining the approval of the Tribal Gaming Office and notice is given to the State Gaming Agency, following which the Gaming Facility Operator or an independent surveillance operator shall promptly submit to the Tribal Gaming Office for approval an amended Surveillance Plan, or those portions of the Surveillance Plan amended (such as an amended blueprint or diagram), reflecting the changes. If, after reviewing proposed amendments to a Surveillance Plan, the Tribal Gaming Office determines the amendments would not comply with the requirements of the Compact and/or its Appendices, the Tribal Gaming Office shall notify the Gaming Facility Operator or independent surveillance operator in writing of the reasons why the amendments would not comply. In that case, the Gaming Facility Operator or independent surveillance operator shall submit for approval an amended Surveillance Plan that complies, or those portions of the surveillance Plan

amended that comply, with the requirements of the Compact and its Appendices within seven (7) days after receiving the Tribal Gaming Office's written notice or within such longer time as may be allowed by the Tribal Gaming Office.

- (2) Tribal Gaming Office.
- a. If the Tribal Gaming Office operates the Surveillance System, it shall prepare the required Surveillance Plan.
 - b. For Gaming Facilities not in operation at the time this Appendix becomes effective, the Tribal Gaming Office shall prepare its Surveillance Plan not later than five (5) days before the Gaming Facility Operator starts to operate Class III Gaming or Card Game Tables. For Gaming Facilities already in operation at the time this Appendix becomes effective, the Tribal Gaming Office shall prepare its Surveillance Plan within ninety (90) days after the Appendix becomes effective.
 - c. If the Tribal Gaming Office operates the Surveillance System, it shall prepare an amended Surveillance Plan before:
 - i. Changing (or allowing changes to):
 - (a) the organizational chart for the Surveillance Department;
 - (b) the duties and responsibilities for any position shown on the organizational chart;
 - (c) the training required for Surveillance Department employees;
 - (d) the administrative or operational policies or procedures used in the operation of the Surveillance System;
 - (e) the types of games played; or
 - (f) the areas to be monitored by the Surveillance System;
 - ii. Relocating equipment in, adding equipment to, or removing equipment from, its Surveillance System (but not when replacing equipment with similar equipment of equal or greater functionality);
 - iii. The Gaming Facility Operator adds or relocates (but not replaces):
 - (a) a Card Game Table;
 - (b) a progressive Card Game Table;
 - (c) a keno area, as keno ball-drawing device, or random number generator for keno;
 - (d) a pari-mutuel area;
 - (e) a secured location for gaming chip inventories or card storage; or
 - (f) a Gaming Device requiring surveillance by a dedicated camera;
 - iv. The Gaming Facility Operator changes the location or layout of the cage and vault area or the areas where currency or coin may be stored or counted during the drop and count process; or
 - v. The Gaming Facility Operator changes the location of gaming machine booths and change banks (as defined in Appendix H), redemption booths, or automated redemption kiosks.
 - d. If changes to the Surveillance System are needed on an emergency basis, the Tribal Gaming Office may make those changes after providing notice to the State Gaming Agency, following which the Tribal Gaming

Office shall promptly prepare an amended Surveillance Plan reflecting the changes.

D. Submission of Surveillance Plan to the State Gaming Agency.

- (1) The Tribal Gaming Office shall submit a copy of the initial Surveillance Plan for each Gaming Facility to the State Gaming Agency within forty-eight (48) hours after approving a plan received from the Gaming Facility Operator or an independent surveillance operator or, if the Tribal Gaming Office operates the surveillance system, within forty-eight (48) hours after preparing it. The Tribal Gaming Office may submit a Surveillance Plan to the State Gaming Agency in an electronic format. Within seven (7) days after receiving the initial Surveillance Plan from the Tribal Gaming Office, the State Gaming Agency shall review the Surveillance Plan. If the State Gaming Agency believes that the Surveillance Plan does not comply with the requirements of the Compact and/or its Appendices, the State Gaming Agency shall notify the Tribal Gaming Office in writing within that seven (7) day period of the reasons why the State Gaming Agency contends that the Surveillance Plan does not comply. If the State Gaming Agency does not object within the seven (7) day period, then the Surveillance Plan is deemed approved.
- (2) Within forty-eight (48) hours of approving any changes to the Surveillance Plan for a Gaming Facility, the Tribal Gaming Office shall submit to the State Gaming Agency an amended Surveillance Plan, or those portions of the Surveillance Plan amended (such as an updated blueprint or diagram), for the Gaming Facility. The Tribal Gaming Office may submit an amended Surveillance Plan, or those portions of the Surveillance Plan amended, to the State Gaming Agency in an electronic format. Within seven (7) days after receiving the amended Surveillance Plan, or those portions of the Surveillance Plan amended, from the Tribal Gaming Office, the State Gaming Agency shall review the amendments to the Surveillance Plan. If the State Gaming Agency believes that the amendments to the Surveillance Plan do not comply with the requirements of the Compact and/or its Appendices, the State Gaming Agency shall notify the Tribal Gaming Office in writing within that seven (7) day period of the reasons why the State Gaming Agency contends that the amendments do not comply. If the state Gaming Agency does not object within the seven (7) day period, then the amendments to the Surveillance Plan are deemed approved.
- (3) Any disputes regarding whether the initial Surveillance Plan or amendments to a Surveillance Plan comply with the requirements of the Compact or its Appendices shall be resolved in accordance with Compact Section 15.

E. Logs. Surveillance logs required by the Compact and its Appendices may be kept in an electronic format.

F. Surveillance Personnel. All Surveillance Department employees shall be at least eighteen (18) years of age.

G. Licensing and Certification. All vendors providing goods or services in connection with surveillance at a Gaming Facility are providing those goods or services in connection with the operation of Class III Gaming in a Gaming Facility as contemplated by Compact Section 2(r). All Surveillance Department employees who are not Enrolled Tribal Members shall be licensed and certified pursuant to Compact Section 5. All Surveillance Department employees who are Enrolled Tribal Members shall be licensed pursuant to Compact Section 5.

H. Access. Agents of the Tribal Gaming Office shall be entitled to immediate access to the surveillance room and other surveillance areas. Agents of the State Gaming Agency shall be entitled to access the surveillance room and other surveillance areas in accordance with Compact Section 7(a). The State Gaming Agency may not operate or

maintain a surveillance room in a Gaming Facility nor access the signal from the Surveillance System. Agents of the State Gaming Agency shall have the right to inspect and copy during normal business hours records of the Surveillance Department in accordance with Compact Section 7(b).

- I. **Transition.** If, at the time this Appendix is signed (the “Effective Date”), the Surveillance System for a Gaming Facility already in operation as of the Effective Date does not comply with Appendix H because of new requirements in Sections 542.23, 542.33, and 542.43 of revised Appendix H, the Gaming Facility Operator, independent surveillance operator, or Tribal Gaming Office, as appropriate, shall be allowed until October 1, 2007 (the “Transition Period”) to comply with the applicable requirements of Sections 542.23, 542.33, and 542.43 of revised Appendix H and shall maintain at least the same level of compliance as was the case on the Effective Date. The Surveillance System for a Gaming Facility opened after the Effective Date shall comply with the applicable requirements of Sections 542.23, 542.33, and 542.43 of revised Appendix H at all times, including during the Transition Period. If the Surveillance System for a Gaming Facility in operation as of the Effective Date has been in compliance, or comes into compliance after the Effective Date, with the applicable requirements of Sections 542.23, 542.33, and 542.43 of revised Appendix H, it shall continue in compliance, including during the Transition Period.
- J. **Definitions.** Terms not defined in this Appendix that are defined elsewhere in the Compact or its Appendices shall have the meanings in those definitions. In addition, for purposes of the Compact and its Appendices:
 - (1) If the Gaming Facility Operator operates the Surveillance System, the term “Surveillance Department” shall mean that department or part of the Gaming Facility Operator responsible for operating the Surveillance System, as set forth in the Surveillance Plan.
 - (2) If the Tribal Gaming Office operates the Surveillance System, the term “Surveillance Department” shall mean that department or part of the Tribal Gaming Office responsible for operating the Surveillance System, as set forth in the Surveillance Plan; and
 - (3) If an independent surveillance operator operates the Surveillance System, the term “Surveillance Department” shall mean the independent surveillance operator, as set forth in the Surveillance Plan.
- K. **Exceptions.** Gaming Facilities with annual gross gaming revenues less than \$2 million or the minimum for a Tier A facility under Appendix H, whichever is higher, are not required to regularly staff the surveillance room, and are also not required to have a UPS system, backup generator, or alternate utility supplier but otherwise must meet the requirements of this Appendix and Section 542.23 of Appendix H.

II. SECURITY.

- A. **Security Department.** The Gaming Facility Operator shall have a Security Department responsible for the overall security of each Gaming Facility. The Security Department will, in accordance with the Security Plan:
 - (1) Assist with the enforcement of applicable laws;
 - (2) Reasonably endeavor to protect the physical safety of people lawfully at each Gaming Facility;
 - (3) Physically safeguard the Gaming Facility Operator’s assets transported between the gaming floor and the cashiers’ cage department;
 - (4) Endeavor to protect the property of the Gaming Facility Operator and its patrons from illegal activity;
 - (5) Be responsible for detaining, or assisting in the detention of, persons who may be involved in illegal acts for the purpose of notifying appropriate law enforcement or gaming regulatory authorities;

- (6) Endeavor to prevent gambling by persons who are less than twenty-one years of age;
- (7) Endeavor to identify, and remove from Gaming Facilities, Barred Persons and persons who are on the self-excluded list established under Compact Section 3(v)(2); and
- (8) Satisfy the pertinent (i.e. security) requirements of Sections 3(t), 3(v)(2)(G), 6(b), 6(e), and 11(b)(4).

B. Security Plan. The Gaming Facility Operator shall prepare a written casino security plan (the "Security Plan") for each Gaming Facility. The Security Plan shall be designed to meet the Gaming Facility Operator's obligations relating to security under this Appendix. At a minimum, the Security Plan shall include:

- (1) An the organizational chart depicting appropriate segregation of functions and responsibilities for all positions in the Security Department;
- (2) A description of the duties and responsibilities of each position shown on the organizational chart;
- (3) A narrative description of the administrative and operational policies and procedures used in Security Department (including the policies and procedures that implement the pertinent requirements of Compact Sections 3(t), 3(v)(2)(G), 6(b), 6(e), and 11(b)(4));
- (4) A description of the training required for security personnel;
- (5) The location of each security detention area;
- (6) Any other information required by this Appendix;
- (7) Identification of that department or part of the Gaming Facility Operator responsible for Gaming Facility security in the case of Tier B and C Gaming Facilities; and
- (8) For all other Gaming Facilities, identification of the person(s), position(s), department, or part of the Gaming Facility Operator responsible for Gaming Facility security.

The Gaming Facility Operator shall operate its Security Department in accordance with the Security Plan and the requirements of the Compact and its Appendices.

C. Preparation and Approval of Security Plan.

- (1) The Gaming Facility Operator shall prepare a Security Plan and submit it to the Tribal Gaming Office for approval. The Gaming Facility Operator shall amend the Security Plan as needed to keep it current.
- (2) For Gaming Facilities not in operation at the time this Appendix becomes effective, the Gaming Facility Operator shall submit its Security Plan to the Tribal Gaming Office no later than five (5) days before starting to operate Class III Gaming or Card Game Tables. For Gaming Facilities already in operation at the time this Appendix becomes effective, the Gaming Facility Operator shall submit its Security Plan to the Tribal Gaming Office within ninety (90) days after this Appendix becomes effective. The Gaming Facility Operator shall submit each amended Security Plan (or those portions of the Security Plan amended) to the Tribal Gaming Office for approval. The Gaming Facility Operator shall submit an amended Security Plan, or those portions of the Security Plan amended, to the Tribal Gaming Office for approval at least forty-eight (48) hours before the time proposed for implementing the changes in the amendments, unless the Tribal Gaming Office agrees to a shorter notice. The Gaming Facility Operator may submit an amended Security Plan, or those portions of the Security Plan amended, to the Tribal Gaming Office in an electronic format. If changes to the Security Plan are needed on an emergency basis, the Gaming Facility Operator may make those changes after obtaining the approval of the Tribal Gaming

Office and notice is given to the State Gaming Agency, following which the Gaming Facility Operator shall promptly submit to the Tribal Gaming Office for approval an amended Security Plan, or those portions of the Security Plan amended, reflecting the changes.

- (3) If, after reviewing the Gaming Facility Operator's Security Plan or an amended Security Plan, the Tribal Gaming Office determines the plan does not comply with the requirements of the Compact and/or its Appendixes, the Tribal Gaming Office shall notify the Gaming Facility Operator in writing of the reasons why the plan does not comply. In that case, the Gaming Facility Operator shall submit for approval a revised Security Plan that complies with the requirements of the Compact and its Appendixes within seven (7) days after receiving the Tribal Gaming Office's written notice or within such longer time as may be allowed by the Tribal Gaming Office.

D. Submission of Security Plan to the State Gaming Agency.

- (1) The Tribal Gaming Office shall submit a copy of the initial Security Plan for each Gaming Facility to the State Gaming Agency within forty-eight (48) hours after approving a plan received from the Gaming Facility Operator. The Tribal Gaming Office may submit a Security Plan to the State Gaming Agency in an electronic format. Within seven (7) days after receiving the initial Security Plan from the Tribal Gaming Office, the State Gaming Agency shall review the Security Plan. If the State Gaming Agency believes that the Security Plan does not comply with the requirements of the Compact and/or its Appendixes, the State Gaming Agency shall notify the Tribal Gaming Office in writing within that seven (7) day period of the reasons why the State Gaming Agency contends that the Security Plan does not comply. If the State Gaming Agency does not object within the seven (7) day period, then the Security Plan is deemed approved.
- (2) Within forty-eight (48) hours of approving any changes to the Security Plan for a Gaming Facility, the Tribal Gaming Office shall submit to the State Gaming Agency an amended Security Plan, or those portions of the Security Plan amended, for the Gaming Facility. The Tribal Gaming Office may submit an amended Security Plan, or those portions of the Security Plan amended, to the State Gaming Agency in an electronic format. Within seven (7) days after receiving the amended Security Plan, or those portions of the Security Plan amended, from the Tribal Gaming Office, the State Gaming Agency shall review the amendments to the Security Plan. If the State Gaming Agency believes that the amendments to the Security Plan do not comply with the requirements of the Compact and/or its Appendixes, the State Gaming Agency shall notify the Tribal Gaming Office in writing within that seven (7) day period of the reasons why the State Gaming Agency contends that the amendments do not comply. If the State Gaming Agency does not object within the seven (7) day period, then the amendments to the Surveillance Plan are deemed approved.
- (3) Any disputes regarding whether the initial Security Plan or amendments to a Security Plan comply with the requirements of the Compact or its Appendixes shall be resolved in accordance with Compact Section 15.

E. Security Detention Area. Each Gaming Facility shall have at least one security detention area that meets the requirements of the Compact and its Appendixes. A security detention area is an area designated and used for the detention of persons by the Gaming Facility Operator and/or the Tribal Gaming Office. A security detention area either may be: (i) an area used exclusively for the detention of persons; or (ii) an area used for the detention of persons as well as for other purposes. Gaming Facilities with annual gross gaming revenues less than \$2 million or the minimum for a Tier A facility under Appendix H, whichever is higher, are not required to have a security detention area.

- F. Reports.** The Security Department shall prepare a legible report regarding each incident observed by or reported to a Security Department employee:
- (1) known by the Security Department employee to involve a violation or suspected violation of the Compact, its Appendices, or the Tribe's Gaming Ordinance; or
 - (2) involving an unusual occurrence, including, but not limited to:
 - a. criminal conduct or suspected criminal conduct;
 - b. injuries to a patron or employee;
 - c. gambling or attempts to gamble by persons under the age of twenty-one;
 - d. the detention of persons; or
 - e. Barred Persons and persons who are on the self-excluded list established under Compact Section 3(v)(2) who have entered a Gaming Facility or who have attempted to enter a Gaming Facility.

Each report shall be prepared within a reasonable time after the incident, and shall include the name of the person preparing the report, the date and time of the incident, the names of the security personnel present, the nature of incident, the names of the persons involved (if available), and the names of any witnesses (if available). Security reports required by the Compact and its Appendices may be kept in an electronic format.

- G. Security Personnel.** All employees of the Security Department shall be at least eighteen (18) years of age.

- H, Definitions.** Terms not defined in this Appendix that are defined elsewhere in the Compact or its Appendices shall have the meanings in those definitions. In addition, for purposes of the Compact and its Appendices:

- (1) For a Tier B or Tier C Gaming Facility, the term "Security Department" shall mean that department or part of the Gaming Facility Operator responsible for Gaming Facility security, as set forth in the Security Plan.
- (2) For all other Gaming Facilities, the term "Security Department" shall mean the person(s), position(s), department or part of the Gaming Facility Operator responsible for Gaming Facility security, as set forth in the Security Plan.