

Electronic Gaming Equipment Submissions and Notifications Guide

Introduction

This Electronic Gaming Equipment Submissions and Notifications Guide contains detailed information to assist Gaming-Related Suppliers making electronic gaming equipment submissions for regulatory approval as well as notifications of issues with approved gaming equipment.

As of October 26, 2020, electronic gaming equipment submissions to the AGCO must be submitted through the <u>iAGCO online portal</u>. Paper-based and emailed submissions are no longer accepted.

The AGCO's move towards online service delivery is part of its ongoing efforts to modernize services and provide a quality service experience. iAGCO helps to streamline and simplify processes while providing a more convenient way to make submissions anytime from anywhere.

Eligible and registered Gaming-Related Suppliers making an electronic gaming equipment submission can now:

- Conduct electronic equipment submission transactions online
- Upload submission data from CSV file format
- Receive notifications and track the status of each submission
- Search for equipment submissions and equipment items
- Download approval and revocation letters
- Authorize operators to view the approval status of submitted items
- Request a gaming consultation
- Submit a notification regarding regulatory issues with approved gaming equipment

How To Use This Guide

This guide is designed to provide you with support to complete online electronic equipment submissions and notifications. It also provides information and screenshots to help you navigate iAGCO to conduct gaming equipment-related transactions online with AGCO.

You can read the entire guide or view specific sections for applicable information.

Helpful Resources

If you're looking for information outside of the scope of this guide, you may find the following resources helpful.



- AGCO Standards The AGCO employs a Standards-Based approach to the regulation of gaming and other industries. This webpage provides information on the Registrar's Standards for Gaming and all applicable technical standards.
- <u>Electronic Gaming Equipment and Systems</u> Information on assessment, testing, examination, regulatory approvals, technical standards and new gaming concepts consultation of electronic gaming equipment and systems.
- <u>Gaming Standards FAQ</u> Learn more about AGCO's standards-based regulatory approach.
- Information Bulletin No. 72 Registrar's Standards for Gaming (2013) This Information Bulletin outlines the introduction of the Registrar's Standards that followed from statutory and regulatory amendments to the Gaming Control Act, 1992 in June 2012.

If you have additional questions or comments, please contact the AGCO.

- Email AGCO Gaming Lab at AGCO-Gaming-Lab-Submissions@agco.ca
- Email AGCO Customer Service at <u>customer.service@agco.ca</u> or call 416-326-8700 or 1-800-522-2876 (toll-free in Ontario) from 8:30 a.m. to 5 p.m. EST.

You can also submit an inquiry online via <u>iAGCO</u> (you do not need to create an iAGCO account to do so). Visit the <u>iAGCO</u> Information page for more details.

Overview of AGCO Gaming Lab Assessments

The AGCO Gaming Lab performs risk-based technical and regulatory assessments of gaming technology and systems to determine compliance with the <u>AGCO Standards for Gaming</u> and to ensure identified risks do not lead to technical integrity or security issues.

The results of the AGCO Gaming Lab's assessments are reported to the Deputy Registrar to assist in considerations of an approval for product use in Ontario. The approval decision also includes risk-based determination of any necessary terms and conditions, field trials and required revocations of previous approvals.

Engagement-Centred Approach

The AGCO Gaming Lab encourages early and frequent engagement to support successful assessment outcomes. Opportunities are provided to submit new concepts for review and regulatory feedback prior to and during the development of products.

The AGCO Gaming Lab also works collaboratively with project teams to align plans and clarify expectations prior to products being submitted for approval. Depending on the products being submitted, test strategies may be coordinated across all parties (e.g. supplier, operator, OLG, AGCO) to ensure appropriate test coverage is achieved and to reduce unnecessary duplication.

Suppliers must have appropriate development and quality assurance processes in place to ensure products are fully compliant with the <u>AGCO's Standards</u> prior to being submitted for approval.



Throughout AGCO's assessment process, the AGCO works collaboratively towards product approval with the supplier. The AGCO may request support from a supplier's technical teams to address questions or challenges.

If concerns arise during the AGCO's assessment, suppliers must ensure they respond in a timely manner to identify appropriate solutions and make the assessment and approval process as efficient as possible.

Feedback to the AGCO from operators and suppliers is always welcome and encouraged. Please email the AGCO Gaming Lab at AGCO-Gaming-Lab-Submissions@agco.ca to discuss any questions, concerns or comments.

Submission Requirements, Guidelines and Expectations

This section outlines suppliers' responsibilities throughout their product's lifecycle in Ontario. Suppliers are encouraged to contact the AGCO Gaming Lab to discuss alternatives if any of the requirements cannot be met.

Prior to Submission to the AGCO

Preliminary Consultations of New Gaming Technologies and Concepts and Gaming Projects

At any time during the development of potential new gaming technologies or concepts, a Gaming Consultation Request may be submitted through iAGCO. This provides suppliers with the ability to request feedback from AGCO and to discuss how to best meet the AGCO's regulatory requirements.

A Gaming Consultation Request may also be submitted during the early stages of a project once a supplier has received indication of interest in the product from a registered operator in Ontario. When AGCO assessment will be an integral part of project plans, suppliers are encouraged to engage the AGCO Gaming Lab in project discussions to ensure assessment efforts are planned and executed as needed.

The Gaming Consultation Request may include a product overview, planned development and internal testing, high-level timelines, etc. Some projects and concept reviews may require participation from other areas of the AGCO. This will be explored during the consultation with the AGCO.

Gaming Consultation Request in iAGCO

Login to iAGCO with your email and password. Navigate to the Gaming Consultation Request screen (Main Menu > Electronic Gaming Equipment / Systems > Request a Consultation).



Gaming Consultation Request

To submit a Gaming Consultation Request (e.g. for AGCO to review and provide feedback for a whitepaper of a new concept). Note: Information shared within iAGCO can be viewed by a small group of AGCO employees. Any highly sensitive information should be provided directly to a manager at the AGCO's Technical and Laboratory Services Branch DIVISION The following division information is linked to your account and can be used for this request ~ REQUEST INFORMATION Select the applicable gaming sector(s): Casino Gaming Charitable Gaming Lottery iGaming ~ *Consultation Type: (select) yyyy-mm-dd *Requested Response Date: *Describe your request:

Save Draft

Preparation to Submit Product for Approval

X Cancel

Before approval is formally requested, key information, training, test tools and test environments must be delivered to support the upcoming AGCO assessment. These required items are listed in the Submission Preparation Requirements. Please contact the AGCO Gaming Lab at AGCO-Gaming-Lab-Submissions@agco.ca for this document.

The AGCO encourages suppliers to carefully review this document so all items are prepared and ready prior to submitting products for approval. Submissions for approval that haven't met all requirements cause delays and inefficiencies and may be rejected by the AGCO Gaming Lab.

For information regarding delivery, setup and retrieval of physical Gaming Equipment and Gaming Systems to and from the AGCO Gaming Lab, contact the AGCO Gaming Lab at AGCO-Gaming-Lab-Submissions@agco.ca.

Submission of Product/Component/Equipment for Approval

Once items in the Submission Preparation Requirements have been provided to AGCO, the submission may be provided to the AGCO Gaming Lab for assessment. All submissions must be submitted through iAGCO, which is the formal request for the AGCO Registrar's approval.

The submission request must be also be accompanied with files containing key information, documents, software and records as listed on the Submission Preparation



Requirements. Suppliers are encouraged to set up an SFTP server, or other secure file transfer medium, to securely transfer submission files to the AGCO Gaming Lab.

Pre-Approval of Gaming Hardware and Software

For items pre-approved under the <u>Casino Electronic Gaming Devices and Gaming Systems Minimum Technical Standards</u>, notifications to the AGCO Gaming Lab must be submitted through iAGCO. For more information, see <u>Gaming Devices and Gaming Systems Pre-Approved for Use in Ontario without Requiring Notification</u>.

During the AGCO Gaming Lab's Assessment

Support Personnel

To prevent delays during the assessment, please ensure qualified technical resources are assigned and available to support the AGCO Gaming Lab_(e.g. for clarification of technical operation of the product, resolution of test environment issues, investigation and responses to observations and findings, etc.).

In your iAGCO Submission, it is helpful to identify any communication channels outside of iAGCO to be used with the AGCO Gaming Lab (e.g. bug tracking tool, or another collaboration platform). However, the AGCO recommends that most communications take place through iAGCO for consistency purposes and to ensure all important messages are seen and actioned as required.

Suppliers can also check the status of submissions anytime by using iAGCO.

Response to the AGCO's Observations

As the AGCO proceeds in its assessment, potential concerns with the product (known as "observations") may arise. The AGCO follows an escalation process to validate the observation, gather feedback from the supplier and determine if this is an "assessment finding." Note that communications regarding this process will be delivered through iAGCO.

Assessment findings are regulatory or technical concerns that will be reported to the Deputy Registrar for consideration in the approval of the product. The AGCO strives to ensure all assessment findings are clearly communicated to the supplier and understood prior to reporting them.

Suppliers are encouraged to propose solutions or mitigations to assessment findings whenever possible so the product can be eligible for approval. Suppliers should make every effort to develop solutions within the product itself. The AGCO may accept manual procedures and workarounds as interim solutions if they sufficiently mitigate risks.



Deficiencies and Responses to the AGCO Gaming Lab's Requests

Submissions that do not meet AGCO's submission preparation requirements are flagged as "deficient" in iAGCO, and a request for resolution is communicated to the supplier. To ensure assessment timelines aren't impacted if assessment support is required, suppliers are expected to respond to and address the AGCO Gaming Lab's requests in a timely manner. If necessary, AGCO will issue a deficiency letter that provides formal reminder of any pending requests including deadlines to resolve situations. If these deadlines are not met, the AGCO may reject the submission.

If a submission is rejected by the AGCO, the supplier will have to resolve the situation before requesting the AGCO's permission to resubmit the product for approval.

Withdrawals of Submissions

At any time, suppliers may withdraw a submission or an item within a submission from the AGCO's assessment. Withdrawals must be requested in iAGCO.

Following Assessment

Once the AGCO Gaming Lab has completed the assessment of submitted item(s), results are reported to the Deputy Registrar for approval consideration. The supplier will be notified with a decision letter indicating the Deputy Registrar's approval decision (approval or denial).

Following Issuance of Approval

Once a submission is approved, it is the supplier's responsibility to ensure they understand and comply with all terms and conditions of the approval. Any timelines indicated in the approval shall be met, and any exceptions or anticipated delays are to be reported to the AGCO well in advance for discussion.

Product approvals may result in a revocation of previous or related versions' approvals of the product. Suppliers shall adhere to the instructions on the revocation letter. Please notify us via iAGCO immediately if there are any questions or concerns with a revocation.

Requests for changes to completed submissions may be made through iAGCO by submitting a Change Request. Such requests may include, for example, requests to complete field trial status, corrections to typos in the original submission information and updates of resolved terms and conditions.

Once a Product is Deployed in Ontario

At Time of Deployment

Operators must only deploy items approved by the Deputy Registrar and they must ensure approved items are properly installed and configured.

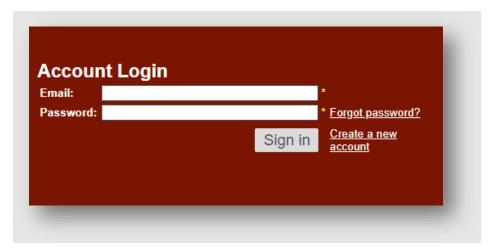


Post Deployment Monitoring, Incident Response and Investigation

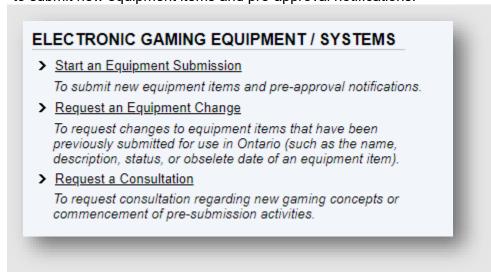
Suppliers must monitor the performance of the approved product(s). Any issues with the approved product(s) must be reported through iAGCO in the Supplier Notification form. Suppliers must also immediately take appropriate action to mitigate risks. Technical issues shall be thoroughly investigated to determine root cause and identify solutions, with status and progress reported regularly to the AGCO Gaming Lab.

Equipment Submission Process in iAGCO

1. **Login** to <u>iAGCO</u> with your email and password. If you do not have an account created on iAGCO, create a new account.

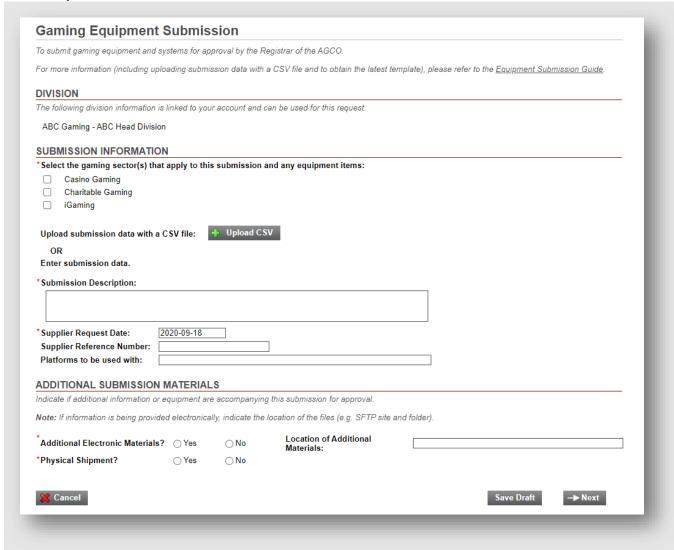


2. Click **Start an Equipment Submission** under **Electronic Gaming Equipment / Systems** to submit new equipment items and pre-approval notifications.





- You can also Request an Equipment Change or Request a Consultation. See the screenshot above for details.
- On the Gaming Equipment Submission page, submit gaming equipment and systems for approval by the Registrar of the AGCO. Ensure to complete the Submission Information and Additional Submission Materials sections. All fields marked with a red asterisk are mandatory.



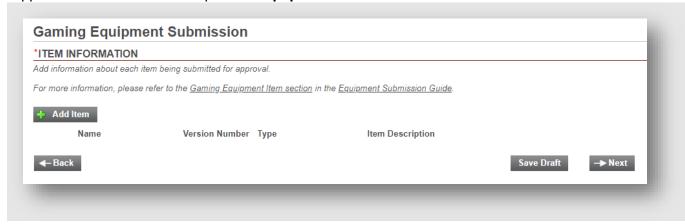
Note:

• Please see the CSV File Upload in the Appendix section at the end of this guide for more information on how to use the new CSV upload feature. Data can also be

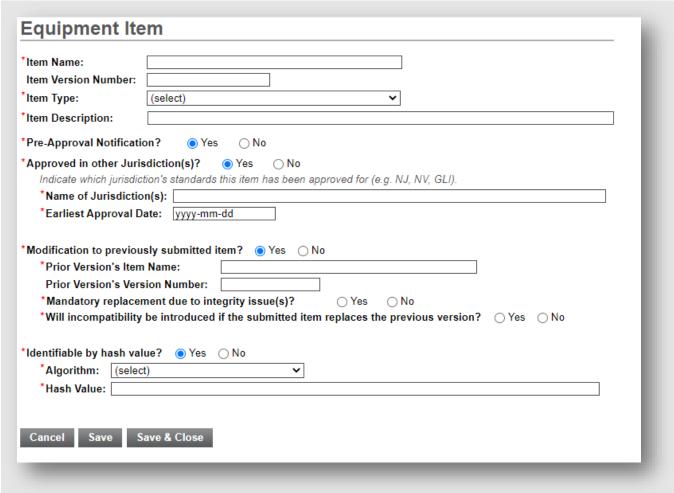


entered manually if preferred.

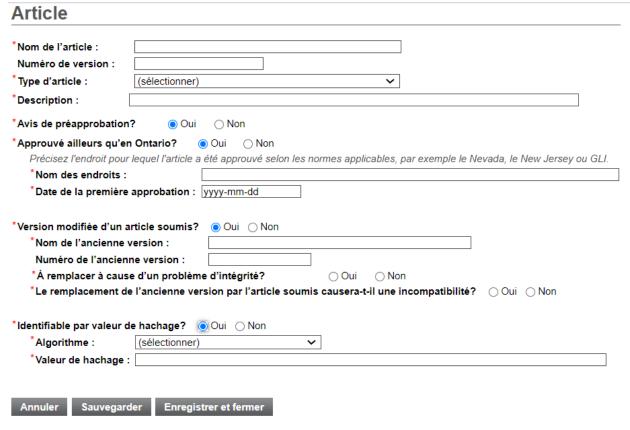
4. On the **Item Information** page, add information about each item being submitted for approval. Click **Add Item** to open the **Equipment Item** window.



Fill in all fields as required. Click Save & Close. On the Item Information page, click Next.



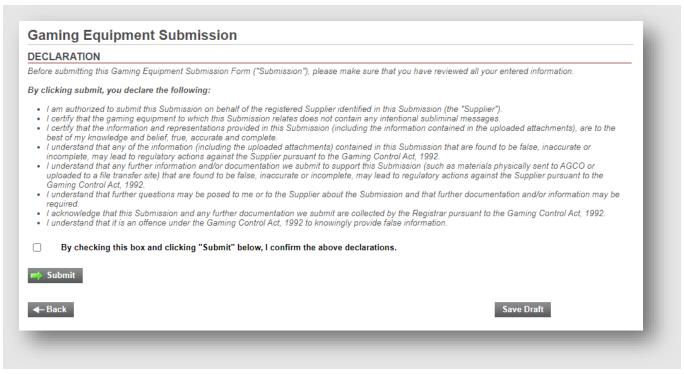




- If **Yes** is selected on the **Equipment Item** page, you will need to complete the required fields that appear for each item.
- 5. If there are any errors or missing information, you will be instructed to fix each one on the **Errors** page. Click **Fix** next to each error to correct or provide the required information.

If there are no remaining errors, you will see a **Declaration**. Carefully review the declaration and **check the box** to declare that all information provided in the submission is true and correct. Click **Submit**.





6. Congratulations! You've submitted your Gaming Equipment Submission! You will receive a confirmation email shortly with an attachment containing the information you entered in your submission. A Summary Report will also be available for download within 15 minutes on the Main Menu under **My Equipment Submissions** / **Requests**.

Supplier Notification in iAGCO

Supplier notifications enable Gaming-Related Suppliers to notify the AGCO of issues with the integrity, security, safety or accounting capability of gaming equipment items. The AGCO must be notified immediately upon discovery of such issues.

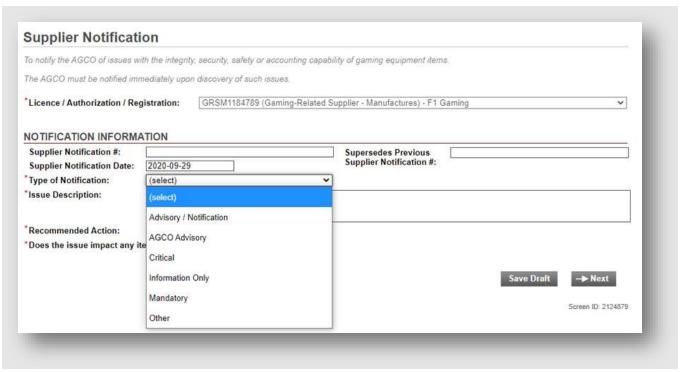
Follow the steps below to complete a supplier notification.

1. **Login** to <u>iAGCO</u> with your email and password. Navigate to the **Supplier Notification** screen (Main Menu > Electronic Gaming Equipment / Systems > Notification > Regulatory Submissions and Notifications screen > New > Supplier Notification).

In **Type of Notification** field, select from the following options:

- Advisory / Notification information regarding an issue discovered
- AGCO Advisory
- Critical immediate action required (i.e. shut down game)
- Information Only no action required
- Mandatory action is required (i.e. replace with new approved version)
- Other

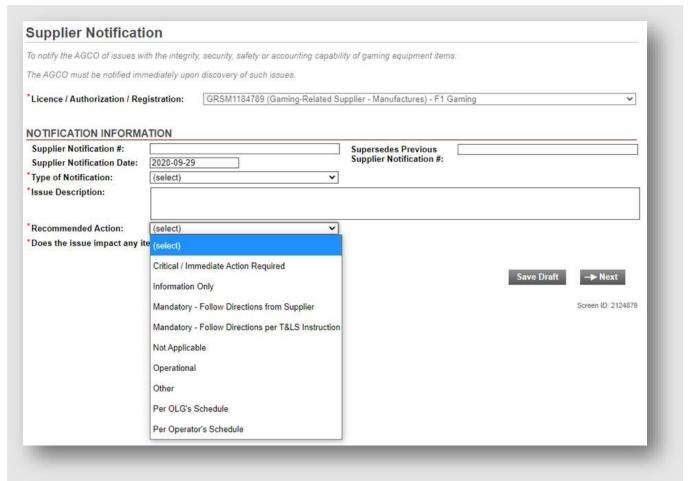




In the **Recommended Action** field, select from the following options:

- · Critical / Immediate Action Required
- Information Only
- Mandatory Follow Directions From Supplier
- Mandatory Follow Directions per T&LS Instruction
- Not Applicable
- Other
- Per OLG's Schedule
- Per Operator's Schedule





Contact Us

We hope this guide helps you prepare for and complete your Gaming Equipment Submission in iAGCO.

If you have any questions or would like to provide comments or feedback on the submission process, please contact AGCO Customer Service. Email customer.service@agco.ca or call 416-326-8700 or 1-800-522-2876 (toll-free in Ontario) from 8:30 a.m. to 5 p.m. ET.

Appendix

CSV File Upload – Detailed Instructions

The Equipment Submission CSV upload template includes two sets of information:

1. Submission Information: This refers to data elements that are specific to a Gaming Equipment Submission. The data fields required are as follows:

Row #	Column #	Data Element	Data Type	Mandatory Field?	Comment
1	1	Submission Overview	Alphanumeric	Yes	
2	1	Supplier Request Date	Date (YYYY-MM- DD)	Yes	
3	1	Supplier Reference Number	Alphanumeric	No	
4	1	Platform(s) where Submitted Item(s) to be Used	Alphanumeric	No	
5	1	Additional Electronic Materials	Boolean (Yes/No)	Yes	
6	1	Location of Additional Electronic Materials	Alphanumeric	Yes	Only mandatory if "Additional Electronic Materials" is "Yes"
7	1	Physical Shipment	Boolean (Yes/No)	Yes	

- Row 8 is reserved for instructions and will be ignored upon import.
- Row 9 is the header row for Item Information.
- Row 10 and onwards will be used for Item Information.
- 2. Item Information: This refers to data elements associated to an Equipment Item within a Gaming Equipment Submission. Row 9 and onwards must have exactly 19 columns, as shown below.

Column #	Data Element	Data Type	Mandatory Field?	Comment
1	Item Name	Alphanumeric	Yes	
2	Item Version Number	Alphanumeric	No	
3	Item Type	Alphanumeric	Yes	See "Acceptable Item Types" below



Column #	Data Element	Data Type	Mandatory Field?	Comment
4	Item Description	Alphanumeric	Yes	
5	Paytable Clone?	Boolean (Yes/No)	Yes	Only mandatory if Item Type is "Main / Paytable Software" or "Paytable"
6	Name of Clone Item	Alphanumeric	Yes	Only mandatory if "Paytable Clone?" is "Yes"
7	Pre-Approval Notification	Boolean (Yes/No)	Yes	
8	Approved in other Jurisdiction(s)?	Boolean (Yes/No)	Yes	
9	Name of Jurisdiction(s)	Alphanumeric	Yes	Only mandatory if "Approved in other Jurisdiction(s)?" is "Yes"
10	Earliest Approval Date	Date (YYYY-MM-DD)	Yes	Only mandatory if "Approved in other Jurisdiction(s)?" is "Yes"
11	Modification to previously submitted item?	Boolean (Yes/No)	Yes	
12	Prior Version's Item Name	Alphanumeric	Yes	Only mandatory if "Modification to previously submitted item?" is "Yes"
13	Prior Version's Version Number	Alphanumeric	No	
14	Mandatory Replacement?	Boolean (Yes/No)	Yes	Only mandatory if "Modification to previously submitted item?" is "Yes"



Column #	Data Element	Data Type	Mandatory Field?	Comment
15	Incompatibility Introduced?	Boolean (Yes/No)	Yes	Only mandatory if "Modification to previously submitted item?" is "Yes"
16	Identifiable by hash value?	Boolean (Yes/No)	Yes	
17	Algorithm	Alphanumeric	Yes	Only mandatory if "Identifiable by hash value?" is "Yes" Acceptable algorithms: CRC MD5 Other SHA-1 SHA-256
18	Other Algorithm	Alphanumeric	Yes	Only mandatory if "Algorithm" is "Other"
19	Hash Value	Alphanumeric	Yes	Only mandatory if "Identifiable by hash value?" is "Yes"

Additional Rules

- Empty values will be considered an error
- Required "Date" format: YYYY-MM-DD (cell format set to "Text" in CSV file)
- Required "Yes/No" format:
 - · "Yes" or "Y" (case insensitive)
 - "No" or "N" (case insensitive)
- An imported Item Type must match an active Item Type exactly (case insensitive). For example:
 - o An imported value of "paytable" will match the "Paytable" Item Type
 - o An imported value of "paytable(s)" will **not** match the "Paytable" Item Type



Error Detection

If an imported value of an Equipment Item does not follow the **Data Validation Rules** and **Additional Rules** indicated above, the information will not be populated in iAGCO, and the error

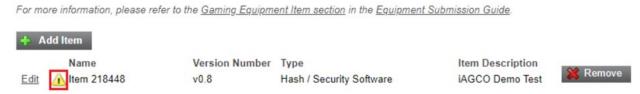
symbol will appear next to the Equipment Item on the ITEM INFORMATION screen, as well as next to the data element where the error is detected within the Equipment Item pop-up window.

For example, on the screen, the error symbol signifies that error(s) have been detected for Item 218448.

Gaming Equipment Submission

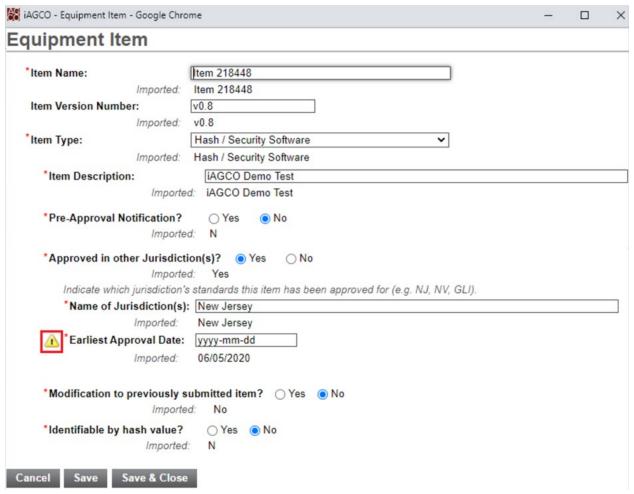
*ITEM INFORMATION

Add information about each item being submitted for approval.



In this pop-up window, the error symbol signifies that an error is detected for the data element "Earliest Approval Date."





- Empty rows or rows with no data in the CSV will not be treated as errors but will be ignored upon import.
- All errors must be resolved before a Gaming Equipment Submission can be submitted.

Acceptable Item Types

Items submitted prior to iAGCO have had their item types migrated to the current iAGCO item types. Please see the <u>historical mapping table</u> to view historical item type mapping, as it relates to current iAGCO item types and those previously used with AGCO Electronic Submission forms.



Ontario I COMMINI	SSION OF UNITARIO
Item Type	
Bill Acceptor Software	
Cabinet	
Card Shoe Hardware	
Card Shoe Software	
Card Shuffler Hardware	
Card Shuffler Software	
Communication Hardware	
Communication Software	
eBingo Hardware	
eBingo Software	
eRaffle Hardware	
eRaffle Software	
Game Management System	
Game Management System Hardwa	ıre
Game Program	
Game Rules	
Graphics / Sound	
Hash / Security Software	
Hopper Hardware	
Hopper Software	
iGaming System	
Logic Board	
Lottery Hardware	
Lottery Software	
Main / Paytable Software	
Operating System	



Ontario	1 Commission of Citatio
Item Type	
Other Hardware	
Other Software	
Paytable	
Player Account Manageme	nt System
Player Terminal	
Progressive Hardware	
Progressive Software	
RAM Clear	
Remote Gaming System	
RNG Hardware / Mechanica	al
RNG Software	
Table Game Hardware	
Table Game Software	
Utility / Options	
Wide Area Progressive Har	dware
Wide Area Progressive Sof	tware