

Alcohol and Gaming  
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AGCO

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# Notification Matrix

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# Foreword

The purpose of this document is to list the minimum obligations of all Operators and iGaming Gaming-Related Suppliers (GRS) operating in Ontario to notify the Alcohol & Gaming Commission of Ontario (AGCO).

These notification requirements may not be comprehensive and do not supersede the *Gaming Control Act*, applicable Regulations, the *Registrar's Standards for Gaming*, the *Registrar's Standards for Gaming: Lottery Sector*, Terms of Registration, or any other AGCO requirements.

Additionally, in accordance with the *Registrar's Standards for Gaming* and the *Registrar's Standards for Gaming: Lottery Sector*, Standard 1.45, Operators and Gaming-Related Suppliers shall comply with *Technical Standards* issued by the Registrar. This includes any notifications, approvals and / or regulatory submissions defined by the *Technical Standards*.

The minimum notification obligations listed herein are not intended to negate ongoing, open and transparent communication between the Operators, GRS, and the AGCO. This document represents a shift consistent with the Standards-Based Approach and away from traditional prescriptive notification scenarios. Operators must use sound judgment and discretion to determine circumstances requiring notification.

For ease of reference, the minimum notification obligations outlined within this document are organized into two distinct categories.

**Incident Notifications:** notifications generated as a result of an event occurring at/or involving the gaming site.

**Regulatory Submissions:** submissions generated as a result of defined submission requirements.

In the case of any technical issues that limit your ability to submit notifications through iAGCO, all notification submissions should be submitted by email to **notifications@agco.ca**.

# Definitions

**For the purposes of this Notification Matrix, the following are defined as:**

**Applies to:** The line(s) of business to which the incident notification or regulatory submission is applicable to.

**Category:** Type of situation which requires a notification or regulatory submission.

**Description:** Detailed description of the notification and/or regulatory submission requirements.

**Gaming-Related Supplier:** A person who manufactures, provides, installs, tests, maintains or repairs gaming equipment or who provides consulting or similar services directly related to the playing of a lottery scheme or the operation of a gaming site.

**Incident Notification:** An event that may be a regulatory compliance concern.

**Mode of Contact:** The medium for communicating the notification and/or regulatory submission to the AGCO.

**iAGCO:** The web-based service delivery application used by Operators and Gaming Related Suppliers for all registration and notification submissions.

**By Phone or email:** Only applicable to the Casino line of business, and is for the purposes of notifying the OPP Gaming Investigations Unit (GIU). Please use the telephone number or email provided by the OPP GIU. The OPP GIU may provide additional instruction / direction to the Operator at the time of notification. The Operator is obliged to comply with such requests, such as the retention of additional facts, details, video evidence or the like. All efforts shall be made by Casino personnel to identify and obtain information regarding the particular patrons / players / employees involved.

**Notice Timeframe:** The required timeframe for submitting notifications and/or regulatory submissions to the AGCO.

**24 Hours:** Within 24 hours of being made aware.

**3 Business Days:** Within 3 business days of being made aware.

**5 Business Days:** Within 5 business days of being made aware.

**Within 24 Hours of Implementation:** At a minimum, notification is required 24 hours after implementation has occurred.

**Prior to Implementation:** Within a reasonable timeframe relative to the scope and nature of the notification being submitted to provide the AGCO reasonable time to review the details of the notification.

**60 Days in Advance, or as soon as aware:** Notification is required 60 days in advance of the event, or as soon as the individual responsible for the notification is aware; whichever comes first.

**Contact TLSB:** Contact the AGCO Technical Laboratory & Services Branch at **AGCO\_iGaming\_Lab@agco.ca** for submission requirements and submission.

**Operator:** A person who operates a gaming site, and includes OLG.

**Ref #:** Unique reference number when referring to the type of notification or regulatory submission item.

**Reference:** The Standard, Gaming Control Act section, Term of Registration, or other AGCO requirement for which the notification or regulatory submission is based.

**Regulatory Submission:** Products, information, documentation or data required by the Registrar.

# Incident Notifications

Ref #	Category	Applies to	Reference	Description	Notice Timeframe	Mode of Contact
1	Incident Reports – Integrity & Public Confidence	Casino cGaming iGaming Lottery	Registrar’s Standards for Gaming/Lottery: Standard 1.17, Requirement 1	Any incident or matter that may affect the integrity or public confidence in gaming, including any actions taken to prevent similar incidents from occurring in the future.	Immediate	OPP GIU Phone/Email (casino only)
						iAGCO
2	Suspicious Behaviour, Cheating at Play, and Unlawful Activity	Casino cGaming iGaming Lottery	Registrar’s Standards for Gaming/Lottery: Standard 6.1, Requirement 4	Any Gaming or Non-Gaming related suspicious behaviour, cheating at play and/or unlawful activities, including notification of any activities involving suspected money laundering.  Notification by OLG of Suspicious Transaction Reports submitted by OLG to the Registrar (batch notification).	Immediate	OPP GIU Phone/Email (casino only)
			Registrars Standards for Gaming: Standard 6.2 Standard 12.4			Monthly
3	Integrity or Security of Gaming Systems and Supplies	Casino cGaming iGaming Lottery	Registrar’s Standards for Gaming/Lottery: Standard 4.6, Requirement 2  Registrars Standards for Gaming: Standard 12.4	Any suspected problem with the integrity or security of the gaming system or gaming supplies, and/or sensitive data.	Immediate	iAGCO
4	Occurrences of Individuals Who Are Removed From the Premises	Casino cGaming	Registrar’s Standards for Gaming: Standard 5.3	Individuals suspected of, or engaged in, creating a disturbance that could be harmful to the individual, to the public or to gamingrelated assets.	Immediate	OPP GIU Phone/Email (casino only)
						iAGCO
5	Emergencies, Evacuation and / or Site Closure	Casino cGaming iGaming Lottery	Registrar’s Standards for Gaming/Lottery: Standard 1.17 Standard 5.6	Any incident that requires evacuation and/or site closure of part or all of the site regardless of cause, including any incident that could cause public or personal harm, or result in a loss or damage of gaming-related assets.	Immediate	OPP GIU Phone/Email (casino only)
						iAGCO
6	Unattended Children	Casino cGaming	Registrar’s Standards for Gaming: Standard 5.5	All occurrences of unattended children.	Immediate	OPP GIU Phone/Email (casino only)
						iAGCO
7	Prohibited Individuals Accessing and/or Playing	Casino cGaming iGaming Lottery	Registrars Standards for Gaming/Lottery: Standard 1.17 Standard 3.2	Any instance of permitted access and/or permitted play by any prohibited person.	Immediate	OPP GIU Phone/Email (casino only)
			Registrars Standards for Gaming: Gaming Sector: Standard 3.1			iAGCO

## Incident Notifications

Ref #	Category	Applies to	Reference	Description	Notice Timeframe	Mode of Contact
8	Incident in Other Jurisdictions	Casino cGaming iGaming Lottery	Terms of Registration	Regulatory, criminal or other disciplinary action, including ongoing investigations, taken in other jurisdictions. Includes corporate officers and directors.	5 Business days	iAGCO
9	Management Overrides	Casino cGaming iGaming Lottery	Registrar's Standards for Gaming/Lottery: Standard 1.7	Management overrides of the control activities.	3 business days	iAGCO
10	Incident Reports – Non-Compliance	Casino cGaming iGaming Lottery	Registrar's Standards for Gaming/Lottery: Standard 1.17, Requirement 2	Any incident of non-compliance with the law or Standards and Requirements including any actions taken to correct the cause of non-compliance.	24 hours	iAGCO
11	Use of Administrator Accounts	iGaming	Registrar's Standards for Gaming: Standard 9.20	Inappropriate use of administrator accounts.	5 Business Days	iAGCO
12	Insider Wins	Lottery	Registrar's Standards for Gaming: Lottery Sector: Standard 4.13, Requirement 2	Any instance of an Insider Win equal to or greater than \$10,000.	Immediate	iAGCO
13	No Play at Work	Lottery	Registrar's Standards for Gaming: Lottery Sector: Standard 1.48	Any instance when OLG's No Play at Work policy is violated.	Immediate	iAGCO

# Regulatory Submissions

Ref #	Category	Applies to	Reference	Description	Notice Timeframe	Mode of Contact
14	Gaming Supplies / Gaming System: Installation or Change	Casino cGaming	Registrars Standards for Gaming: Standard 4.6	New installation of or change to gaming equipment or gaming systems. <i>Data file required.</i>	Within 24 hours of implementation	iAGCO
15	<b>Requirement removed February 1, 2019</b>					
16	Approval of Gaming Systems and Gaming Supplies	iGaming Lottery	Registrars Standards for Gaming Standard 4.5	All gaming systems and gaming supplies, including any subsequent modifications shall be submitted to the Registrar for assessment and approval prior to being provided for implementation at any gaming site, or being made available for play.	Contact TLSB	Email
17	Approval of Rules of Play	Casino cGaming iGaming Lottery	Registrar's Standards for Gaming/Lottery Standard 4.2	Rules of play, including any subsequent modifications.	Prior to Implementation	iAGCO
18	Potential Interruption to Operations	Casino cGaming iGaming Lottery	Registrar's Standards for Gaming/Lottery: Standard 1.17	Anything that could cause a disruption of operations in the future, including expiry dates for any contracts with bargaining agents representing gaming employees, or termination of lease.	60 Days in Advance, or as soon as aware (whichever is first)	iAGCO
19A	Employees with Gaming Registrations	Casino cGaming iGaming Lottery	Terms of Registration	Any Operator or Supplier that employs a gaming assistant must notify the Registrar in cases of resignation or termination for cause involving real or suspected criminal activity related to integrity of individual. <b>Includes investigative suspension.</b>	Immediate	OPP GIU Phone/Email (casino only)
19B				Any Operator or Supplier that employs a gaming assistant must notify the Registrar in cases of voluntary resignation and terminations other than for suspected criminal activity.		5 Business Days
20	Operator Organizational Chart	Casino cGaming iGaming Lottery	Registrar's Standards for Gaming/Lottery: Standard 1.10, Requirement 3	Operators must provide the Registrar with an organizational chart showing key reporting lines and relationships and shall ensure that it remains up to date.	5 Business Days	iAGCO
21	Operator Control Activities	Casino cGaming iGaming Lottery	Registrar's Standards for Gaming/Lottery: Standard 1.2, Requirement 2	Formal control activities outlining substantial changes to the control environment that have been independently assessed.	Prior to Implementation	iAGCO

## Regulatory Submissions

Ref #	Category	Applies to	Reference	Description	Notice Timeframe	Mode of Contact
22A	Reports and Meeting Minutes	Casino cGaming iGaming Lottery	Registrar's Standards for Gaming/Lottery: Standard 1.1, Requirement 1 Standard 1.14 Standard 1.17 Standard 5.8	Periodic reports: <i>iGaming, cGaming and Lottery only.</i>	Quarterly	iAGCO
22B				Internal audit reports.	Quarterly	
22C				Reports from external auditors and/or consultants on internal control assessments, due diligence and other regulatory compliance reviews.	30 days after issuance	
22D				Audited financial statements and auditor's report.	90 days after year end	
22E				Meeting minutes from all Board of Directors meetings, audit committee meetings, and compliance committee meetings.	Quarterly	
22F				All reports related to Retailer Location Closures, Temporary Suspensions, and Advance Notice of Suspensions: <i>Lottery only.</i>	Daily	
22G				Retailer Policy Manual Violations and Penalty Reports: <i>Lottery only.</i>	Weekly	
22H				Active, pending and suspended retailers: <i>Lottery only.</i>	Monthly	
23A	Officers, Directors and Partners	Casino cGaming iGaming Lottery	Gaming Control Act, 1992 c. 24, s. 4 (3). Terms of Registration	Any change in the officers or directors of the corporation or any change in the membership of the partnership.	5 Business Days <b>Registrar Approval Required</b>	iAGCO
23B			Registrar's Standards for Gaming/Lottery: Standard 1.1 Requirement 2	Criminal charges, convictions or civil actions related to the integrity of individual.	5 Business Days	iAGCO