

Alcohol and Gaming
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AGCO

Alcohol and Gaming
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Gaming Notification Matrix

Version 1.4

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About this document

This document is maintained by the Regulatory Assurance Branch, Operations Division

Version history

Version	Date	Changes
1.3	27 Oct-2020	<p>Definitions: Further guidance provided regarding timelines for “immediate”</p> <ul style="list-style-type: none">• New notifications include the following:<ul style="list-style-type: none">▪ I 2B anti money laundering▪ I 3. additional instructions provided for submissions▪ I 7B added for self-excluded individuals▪ I 14 COVID 19 – individual positive test▪ S 9 I periodic reports for self-excluded individuals – casino only▪ S 11A&B regarding pandemic plans and self-assessments
1.4	16 Nov-2020	<p>Changes include the following:</p> <ul style="list-style-type: none">▪ I5 additional guidance for iGaming sites, unforeseen closures.▪ I7B Guidance has been changed to provide instructions specifically for self-excluded individuals on iGaming sites and the gaming floor.▪ I13 Notification removed.▪ S6B modified to include terminations that are both voluntary and involuntary▪ S7 Lottery line of business separated from other lines to accommodate reporting requirements for organizations charts.▪ S9I iGaming quarterly self-excluded report removed as a requirement.

Purpose of this document

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.

Immediate: Submission must be made as soon as the situation is identified.

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
I1	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
I2A	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.	Immediate	OPP GIU Phone/Email (casino only)
			Registrars Standards for Gaming: Standard 6.2 Standard 12.4			iAGCO
I2B	Money Laundering	Casino iGaming	Registrar’s Standards for Gaming/Lottery:	Any Gaming or Non-Gaming related suspicious behaviour and/or unlawful activities, related to the laundering of money.	Immediate	OPP GIU Phone/Email (casino only)
			Registrars Standards for Gaming: Standard 6.1 6.2 Standard 12.4			iAGCO (casino and iGaming)
				Notification by OLG of Suspicious Transaction Reports filed with FINTRAC by all gaming sites and OLG in the preceding month (monthly batch notification to OPP).	Monthly	Secure File Transfer Protocol (SFTP) to OPP.
I3	Gaming Systems and Supplies, Integrity or Security	Casino cGaming iGaming Lottery	Registrar’s Standards for Gaming/Lottery: Standard 4.6, Requirement 2 Registrars Standards for Gaming: Standard 12.4	<p>Any suspected problem with the integrity or security of the gaming system or gaming supplies, and/or sensitive data.</p> <p>Additional instructions:</p> <p>Notification should only be provided for suspected problems that pertain to integrity or security of gaming systems, gaming supplies, and/or sensitive data (e.g., cash out failures, stolen bills, game freezes resulting in a loss of win).</p> <p>Notification should not be provided for other types of problems such as operational matters that pertain to gaming systems, gaming supplies, and/or sensitive data (gaming supplies not turning on or not working, loss of server connectivity without impact on game outcomes, etc).</p>	Immediate	iAGCO

Incident Notifications

Ref #	Category	Applies to	Reference	Description	Notice Timeframe	Mode of Contact
I4	Requirement removed October 27, 2020					
I5	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 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. Any incident that results in an unplanned closure of an iGaming site for any reason.	Immediate	OPP GIU Phone/Email (casino only)
						iAGCO
I6	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
I7A	Prohibited Individuals Accessing and/or Playing (EXCEPT Self-Excluded Individuals – see next item)	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. (Other than self-excluded individuals— see 7B)	Immediate	OPP GIU Phone/Email (casino only)
			Registrars Standards for Gaming: Gaming Sector: Standard 3.1			iAGCO
I7B	Self-Excluded Individuals Accessing and/or Playing	Casino cGaming iGaming	Registrars Standards for Gaming/Lottery: Standard 3.1 (e)	iGaming: Any instance of self-excluded individual accessing the gaming site.	Immediate	OPP GIU Phone/Email (casino only)
				Casino and cGaming sites: Any instance of self – excluded individuals on the gaming floor in excess of 40 minutes.		iAGCO
I8	Incident in Other Jurisdictions	Casino cGaming iGaming	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
I9	Requirement removed October 27, 2020					
I10	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

Incident Notifications

Ref #	Category	Applies to	Reference	Description	Notice Timeframe	Mode of Contact
I11	Use of Administrator Accounts	iGaming	Registrar's Standards for Gaming: Standard 9.20	Inappropriate use of administrator accounts.	5 Business Days	iAGCO
I12	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
I13	Requirement removed November 16, 2020					
I14	Confirmed Case of Covid-19	Casino cGaming	Standard 1.2.1	A confirmed case of Covid-19 at the gaming site.	Immediate	iAGCO

Regulatory Submissions

Ref #	Category	Applies to	Reference	Description	Notice Timeframe	Mode of Contact
S1	Gaming Supplies / Gaming System: Installation or Change	Casino cGaming	Registrars Standards for Gaming: Standard 4.6	For casino and cGaming sites that have transitioned to GMS-15, this reporting item does not apply. For casino and cGaming sites that have NOT transitioned to GMS-15 – continue to report any new installation of or change to gaming equipment or gaming systems. <i>Data file required.</i>	Within 24 hours of implementation	iAGCO
S2	Requirement removed February 1, 2019					
S3	Approval of Gaming Systems and Gaming Supplies	iGaming Lottery Casino cGaming	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 AGCO- Gaming-Lab- Submissions@ agco.ca	iAGCO
S4	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
S5	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
S6A	Employees with Gaming Registrations	Casino cGaming iGaming Lottery	<i>Terms of Registration</i>	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. Includes investigative suspension.	Immediate	OPP GIU Phone/Email (casino only)
S6B				Any Operator or Supplier that employs a gaming assistant must notify the Registrar in cases of resignations, and all voluntary and involuntary terminations where there is NO real or suspected criminal activity related to integrity of individual.		5 Business Days

Regulatory Submissions

Ref #	Category	Applies to	Reference	Description	Notice Timeframe	Mode of Contact
S7	Operator Organizational Chart	Lottery	Registrar's Standards for 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
S8	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
S9B	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	Internal audit reports.	Quarterly	iAGCO
S9C				Reports from external auditors and/or consultants on internal control assessments, due diligence, and other regulatory compliance reviews.	30 days after issuance	
S9D				Audited financial statements and auditor's report.	90 days after year end	
S9E				Meeting minutes from all Board of Directors meetings, audit committee meetings, and compliance committee meetings.	Quarterly	
S9F				All reports related to Retailer Location Closures, Temporary Suspensions, and Advance Notice of Suspensions: <i>Lottery only</i> .	Daily	
S9G				Retailer Policy Manual Violations and Penalty Reports: <i>Lottery only</i> .	Weekly	
S9H				Active, pending, and suspended retailers: <i>Lottery only</i> .	Monthly	
S9I				Self-Excluded Quarterly Reporting	Casino cGaming	
S10A	Officers, Directors and Partners	Casino cGaming iGaming Lottery	<i>Gaming Control Act, 1992</i> 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 Registrar Approval Required	iAGCO
S10B			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

Regulatory Submissions

Ref #	Category	Applies to	Reference	Description	Notice Timeframe	Mode of Contact
S11A	Self – assessment of Pandemic Compliance	Casino cGaming	Registrar’s Standards for Gaming Standard 1.2.1, Requirement 6	The Operator must conduct a self-assessment of its compliance performance with pandemic plans, in accordance with the Registrar’s requirements. (A template is available on the AGCO website.)	Frequency will be periodic as agreed between the Registrar and Operators	iAGCO
S11B	Reopening plans (Pandemic)	Casino cGaming	Registrar’s Standards for Gaming Standard 1.2.1, Requirements 5 & 7	Operators shall establish, implement, and maintain a pandemic re-opening plan, and submit it to the Registrar. Substantial changes to the plan shall be communicated to the Registrar in a timely manner by the Operator.	Seven days prior to the site materially increasing staff levels in preparation for re-opening to the public.	iAGCO