

**Alcohol and Gaming
Commission of Ontario**
90 Sheppard Avenue East
Suite 200
Toronto ON M2N 0A4

**Commission des alcools
et des jeux de l'Ontario**
90, avenue Sheppard Est
Bureau 200
Toronto ON M2N 0A4



AGCO

Alcohol and Gaming Commission of Ontario

Standards Notification Matrix - cGaming Interim

Version 1.9
February 7, 2014

Forward

The purpose of this document is to list the minimum obligations of Ontario cGaming operators to notify the Alcohol and Gaming Commission of Ontario (AGCO).

This Notification Matrix is considered interim pending a stakeholder review approximately 6 months after launch. AGCO will schedule this meeting to discuss feedback on what is working and not working and consider appropriate adjustments to the matrix.

These notification requirements may not be comprehensive and do not supersede the Registrar's Standards for Gaming or any other AGCO Requirements.

Operators and gaming related suppliers are expected to also comply with the notification requirements outlined in the Technical Standards and the Directives.

Definitions for terms are located in Appendix A: Definitions.

Unless otherwise stated in the following matrix the notifications and reports are to be provided by the Charitable Gaming Service Provider (SP)

*OLG to identify and advise the AGCO within 30 days of implementation of this matrix the role/department that will be providing the notification items outlined in the matrix.

** See Definition in Appendix A for additional details

Standards Notification Matrix for cGaming

REF #	CATEGORY	DESCRIPTION / REFERENCE	NOTICE TIMEFRAME (APPROVAL REQUIREMENTS IN BOLD TEXT)	INDIVIDUAL TO CONTACT	MODE OF CONTACT	STANDARD #
1	Standards Implementation & Compliance Plan	Operators shall develop an implementation and compliance plan for review by the Registrar prior to transitioning to a standards-based framework for their gaming site. Provided by OLG.	Minimum of 16 weeks in advance of the conversion date.	<ul style="list-style-type: none"> AGCO Director – Audit & Compliance AGCO Senior Administrator Audit & Compliance 	For AGCO: Written plan submitted by OLG (role / department TBD)*	Expectation 8
2	Operator Control Activities Matrix	Formal control activities shall be submitted to the Registrar which have been assessed by an independent oversight function acceptable to the Registrar for alignment with the Standards and Requirements and authorized by the appropriate level of management. Provided by OLG Substantial changes to the control environment shall be assessed by an independent oversight function acceptable to the Registrar for alignment with the Standards and Requirements and authorized by the appropriate level of management. And communicated to the Registrar Provided by OLG.	<p>Conversion: Formal control activities are to be provided a minimum of 16 weeks in advance of the conversion date.</p> <p>Substantial changes to control activities are to be provided a minimum of 8 weeks in advance of the target change date.</p>	<ul style="list-style-type: none"> AGCO Director – Audit & Compliance AGCO Senior Administrator Audit & Compliance 	For AGCO: Written plan submitted by OLG (role / department TBD)*	1.2

** See Definition in Appendix A for additional details

Standards Notification Matrix - cGaming

REF #	CATEGORY	DESCRIPTION / REFERENCE	NOTICE TIMEFRAME (APPROVAL REQUIREMENTS IN BOLD TEXT)	INDIVIDUAL TO CONTACT	MODE OF CONTACT	STANDARD #
3	Management Overrides	Management overrides of the control activities shall be clearly documented and communicated to the Registrar.	Immediate	<ul style="list-style-type: none"> Local AGCO Gaming Compliance Inspector To the appropriate AGCO Regional Audit & Compliance Supervisor or above** 	For AGCO: Written notification to be submitted by General Manager or designate.	1.7
4	Operator Organizational Chart	<p>Operators must provide the Registrar with an organizational chart showing key reporting lines and relationships and shall ensure that it remains up to date.</p> <ul style="list-style-type: none"> SP provides for their site and corporate management, OLG provides for their Charitable Gaming organization 	<p>For cGaming conversion: 16 weeks in advance.</p> <p>Changes: When changes are approved by the operator's management/board.</p>	<ul style="list-style-type: none"> AGCO Director of Licensing & Registration AGCO Director: Audit & Compliance AGCO Senior Administrator Audit & Compliance 	For AGCO: Written notification	1.10
5	Incident Reports - integrity & Public Confidence	Provide reports regarding 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, in accordance with the established notification matrix.	Immediate	<ul style="list-style-type: none"> To the appropriate AGCO Regional Audit & Compliance Supervisor or above** OPP cGaming Contact 	For AGCO & OPP: Written notification to be submitted by General Manager or designate.	1.17 Req. 1
6	Evacuation	Any incident that requires evacuation of part or all of the site regardless of cause	Immediate – as soon as reasonably possible given the situation	<ul style="list-style-type: none"> AGCO Gaming Compliance Supervisor or above** 	For AGCO: Phone call with follow up written notice to be submitted by General Manager or designate.	1.17 Req. 1

** See Definition in Appendix A for additional details

Standards Notification Matrix - cGaming

REF #	CATEGORY	DESCRIPTION / REFERENCE	NOTICE TIMEFRAME (APPROVAL REQUIREMENTS IN BOLD TEXT)	INDIVIDUAL TO CONTACT	MODE OF CONTACT	STANDARD #
7	Incident Reports - non-compliance	<p>Provide reports regarding any incident of non-compliance with the law, Standards and Requirements or control activities, including any actions taken to correct the cause of non-compliance, in accordance with the established notification matrix.</p> <ul style="list-style-type: none"> SP provides immediate notification of the incident. If corrective action not included in the original notification, OLG to provide written notice within 2 business days of corrective action. 	<p>Incident of non-compliance with law and Standards: Immediate notification from SP</p> <p>Incident of non-compliance with control activities: periodic reporting via Compliance Performance Reports</p>	<ul style="list-style-type: none"> To the appropriate AGCO Regional Audit & Compliance Supervisor or above** 	<p>For AGCO: Written notification to be submitted by:</p> <ul style="list-style-type: none"> SP: General Manager or designate. OLG: role / department TBD)* 	1.17 Req. 2
8	Compliance Performance Reports	<p>Provide periodic reports demonstrating the performance over time of compliance with control activities.</p> <p>Provided by OLG</p>	Periodic	<ul style="list-style-type: none"> AGCO Director - Audit & Compliance 	<p>For AGCO: Written submitted by OLG (role / department TBD)*</p>	1.17 Req. 3

** See Definition in Appendix A for additional details

Standards Notification Matrix - cGaming

REF #	CATEGORY	DESCRIPTION / REFERENCE	NOTICE TIMEFRAME (APPROVAL REQUIREMENTS IN BOLD TEXT)	INDIVIDUAL TO CONTACT	MODE OF CONTACT	STANDARD #
9	Public Complaints Reports	<p>Provide reports regarding any public complaints related to compliance with the Standards and Requirements, including any actions taken to resolve the complaints, in accordance with the established notification matrix. For the purposes of this notification matrix public complaints are categorized into three tiers as described in Appendix A.</p> <p>SP provides immediate notification.</p> <p>OLG provides periodic report.</p>	<p>Tier III: Immediate & Periodic Reporting</p> <p>Tier I & II: Periodic Reporting only</p>	<ul style="list-style-type: none"> Tier III immediate to the appropriate AGCO Regional Audit & Compliance Supervisor or above** Periodic report to AGCO Director - Audit & Compliance 	<p>For AGCO:</p> <ul style="list-style-type: none"> Immediate Tier III: Written Periodic Report: Written - submitted by OLG (role / department TBD)*. 	1.17 Req. 5
10	List of Suppliers	<p>All Operators (including OLG) and gaming-related suppliers shall provide the Registrar with a list of suppliers that provide them with goods or services in relation to lottery schemes and shall ensure that this list is kept up to date.</p>	<p>Date Registrar's Standards come into force and updated list provided whenever there is a change in suppliers.</p>	<ul style="list-style-type: none"> AGCO Director - Licensing & Registration 	<p>For AGCO: Written</p>	1.44
11	Approval for Rules of Play	<p>Rules of play, including any subsequent modifications, shall be submitted to the Registrar for approval.</p> <p>Provided by OLG</p>	<p>Well in advance of implementation of the rules.</p> <p>Approval required by Registrar</p>	<ul style="list-style-type: none"> AGCO Director - Audit & Compliance AGCO Senior Administrator Audit & Compliance 	<p>For AGCO: Written submitted by OLG (role / department TBD)*</p>	4.2

** See Definition in Appendix A for additional details

Standards Notification Matrix - cGaming

REF #	CATEGORY	DESCRIPTION / REFERENCE	NOTICE TIMEFRAME (APPROVAL REQUIREMENTS IN BOLD TEXT)	INDIVIDUAL TO CONTACT	MODE OF CONTACT	STANDARD #
12	Approval for gaming systems and supplies	All gaming systems and gaming supplies, including any subsequent modifications, shall be submitted to the Registrar for testing and approval prior to being made available for play. Provided by OLG	Well in advance of implementation of the gaming systems and/or gaming supplies. Approval required by Registrar	<ul style="list-style-type: none"> AGCO Director Technical & Laboratory Services 	For AGCO: Written submitted by OLG (role / department TBD)*	4.5
13	Integrity or security of gaming systems and supplies	The Registrar shall be immediately notified where there is any problem with the integrity or security of the gaming system or gaming supplies. Provided by either OLG or SP – whoever discovers problem first.	Immediate	<ul style="list-style-type: none"> To the appropriate AGCO Regional Audit & Compliance Supervisor or above** 	For AGCO: Phone call For AGCO: Written follow-up with summary of the issue and status of the investigation – submitted by the General Manager or designate	4.6 Req. 2
14	Occurrences of individuals who are removed from the premises, because of disturbances	Individuals suspected of, or engaged in, creating a disturbance that could be harmful to the individual, to the public or to gaming-related assets shall be removed from the premises, and the occurrence shall be reported in accordance with the established notification matrix.	Immediate phone call to local policing authority Periodic reporting to AGCO	<ul style="list-style-type: none"> Local policing authority AGCO Director: Audit & Compliance 	For Local policing authority – phone call For AGCO: written	5.3
15	Unattended Children	All occurrences of unattended children shall be addressed and reported in accordance with the established notification matrix.	Immediate phone call to local policing authority Immediate email to AGCO Periodic reporting to AGCO	<ul style="list-style-type: none"> Local policing authority Immediate email to the appropriate AGCO Regional Audit & Compliance Supervisor or above** Periodic report to AGCO Director: Audit & Compliance 	For Local policing authority – phone call For AGCO - written	5.5

** See Definition in Appendix A for additional details

Standards Notification Matrix - cGaming

REF #	CATEGORY	DESCRIPTION / REFERENCE	NOTICE TIMEFRAME (APPROVAL REQUIREMENTS IN BOLD TEXT)	INDIVIDUAL TO CONTACT	MODE OF CONTACT	STANDARD #
16	Interruption of Monitoring Activities	Any interruption of monitoring activities shall be immediately reported in accordance with the established notification matrix. Provided by either OLG or SP – whoever discovers the interruption first	Immediate Periodic reporting	<ul style="list-style-type: none"> To the appropriate AGCO Gaming Compliance Supervisor AGCO Periodic Report: Director Audit & Compliance 	For AGCO - written	5.7 Req. 3
17	Gaming related suspicious behaviour, cheating at play, internal criminal activity (including internal employee thefts and frauds etc.)	Gaming related suspicious behaviour, cheating at play and internal criminal shall be reported in accordance with the established notification matrix.	Immediate	<ul style="list-style-type: none"> OPP cGaming Contact To the appropriate AGCO Regional Audit & Compliance Supervisor or above** 	For OPP: phone call For AGCO: phone call	6.1 Req. 4
18	Non-gaming related general suspicious behaviour and criminal activities	Non-gaming related general suspicious behaviour and criminal activities shall be reported in accordance with the established notification matrix.	Immediate	<ul style="list-style-type: none"> Local policing authority To the appropriate AGCO Regional Audit & Compliance Supervisor or above** 	For Local policing authority: Phone call For AGCO: written	6.1 Req. 4
19	Hours of Operation	Provide notification of hours open to the public and any changes.	14 days prior to planned changes	<ul style="list-style-type: none"> AGCO Gaming Compliance Supervisor Copy to AGCO Regional Manager, Electronic Gaming Compliance 	For AGCO: Written - Must be submitted by General Manager or designate.	1.17
20	Drop	Changes to or deviation from the drop schedule (date and times).	48 Hours	<ul style="list-style-type: none"> AGCO Gaming Compliance Inspector 	For AGCO: Written - Must be submitted by General Manager, or designate	1.17

** See Definition in Appendix A for additional details

Standards Notification Matrix - cGaming

REF #	CATEGORY	DESCRIPTION / REFERENCE	NOTICE TIMEFRAME (APPROVAL REQUIREMENTS IN BOLD TEXT)	INDIVIDUAL TO CONTACT	MODE OF CONTACT	STANDARD #
21	Potential Interruption to Operations	Expiry date for any contracts with bargaining agents representing gaming employees, or termination of lease.	60 days prior to expiry.	<ul style="list-style-type: none"> ▪ AGCO Regional Manager, Gaming Compliance ▪ Copy to AGCO Gaming Compliance Supervisor ▪ Copy to AGCO Regional Manager, Electronic Gaming Compliance 	For AGCO: Written - Must be submitted by General Manager or designate.	1.17

** See Definition in Appendix A for additional details

APPENDIX A: DEFINITIONS

Category: Type of situation which requires a notification.

Description / Reference: Detailed description of the notification requirements.

General Manager: The most senior person responsible for the gaming site including the gaming site manager.

Immediate: As soon as the individual responsible for the notification is made aware of the matter, the individual is required to provide the notification.

Individual To Contact: The contact role for the notification requirement

Mode of Contact: The medium for communicating the notification.

Notice Timeframe: The required notice timeframe.

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

Periodic and Periodic reporting: For cGaming periodic and periodic reporting means reporting 3 times a year as follows:

Reporting Period	Report Due Date
Period 1: January – April	May 15th
Period 2: May – August	September 15 th
Period 3: September – December	January 15 th

The format and content of the Periodic Reports is to be identified by the AGCO within 30 days of implementation of this matrix.

Phone call: If the call is not answered leave a voice mail with all the pertinent details.

Standards Notification Matrix - cGaming

Public Complaint Tiers:

Tier I	Tier II	Tier III
<ul style="list-style-type: none"> • Customer services issues • Food and beverage • Facility operation 	<ul style="list-style-type: none"> • Employee related • Safety concerns • Personal injury 	<ul style="list-style-type: none"> • Game integrity – complaints aligned to Registrar’s Standard 4.12 • Integrity issues with ,Service Provider, or Service Provider employee

Ref #: Unique reference number when referring to the notification item.

SP: Service Provider - the charitable gaming site operator

Standard #: The Standard which the notification item is based on.

To the appropriate AGCO Regional Audit & Compliance Supervisor or above:

- If the issue is Gaming Compliance related - notify AGCO Gaming Compliance Supervisor or above
- If the issue is Electronic Gaming Compliance related - notify AGCO Regional Manager, Electronic Gaming Compliance or above

Written: means email