

Electronic Raffle Handbook



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Introduction

The objective of this Electronic Raffle Handbook, along with the Electronic Raffle Standards Document, is to ensure that computer software and hardware or other gaming supplies used to conduct an electronic raffle in Alberta are secure and operated with integrity. These policies outline the responsibilities and requirements of licensed charitable organizations, raffle ticket managers, electronic raffle system administrators, registered gaming suppliers, accredited testing facilities, and registered gaming worker suppliers. These policies also ensure that the conduct and management of the raffle remains the responsibility of the licensed charitable organization (see Section 1.3).

Eligible and licensed charitable organizations may use electronic raffle components in the conduct of their raffle as specified in Section 1.4. Charitable organizations using electronic components must comply with the policies included in this handbook and the Electronic Raffle Standards Document.

Policies governing raffles not using electronic components may be found in the Raffle Terms and Conditions [Total Ticket Value More Than \\$20,000](#) - Form 5428 or the Raffle Terms and Conditions [Total Ticket Value \\$20,000 and Less](#) – Form 5416 . Licensed charitable organizations conducting a raffle using electronic components with a paper ticket draw must follow the [Draw Procedures](#) section as prescribed in the above specified policies.

Section 1: General Information

1.1 – Definitions

1.1.1 In this handbook:

- a) “accredited testing facility” (or ATF) means a test facility or laboratory registered and approved by AGLC for the purpose of gaming supply testing and certification.
- b) “AGLC” means Alberta Gaming, Liquor and Cannabis.
- c) “biometrics” means a biological identification input, such as fingerprints or retina patterns.
- d) “bearer ticket” means a ticket without the buyer’s name, address, or telephone number.
- e) “Board” means the board of AGLC.
- f) “Charitable Gaming Policies Handbook” means AGLC’s set of policies, policy standards, and procedures that apply to gaming licensing eligibility and the use of gaming proceeds.
- g) “discrepancy report” means a report prepared by the licensed charitable organization, registered worker, and/or volunteer regarding a breach of Electronic Raffle Handbook policy, security breach, discrepancy or any other illegal activity while conducting a raffle.
- h) “draw” means the approved random selection process by which the raffle winner(s) is determined.
- i) “electronic bearer ticket raffle” means a raffle conducted during a specific sports or entertainment event, where the charitable organization sells and prints tickets using Raffle Sales Units and conducts the draw on the same day tickets are sold.
- j) “electronic draw” means a draw, using ATF certified and AGLC approved computer software that utilizes a random number generator (RNG), to determine a prize winner.
- k) “electronic entry” means the electronic record of a purchased raffle ticket that is entered into a draw to be conducted with a random number generator.
- l) “electronic raffle equipment” means electronic hardware and software used in the conduct of an electronic raffle.
- m) “Electronic Raffle Standards Document” (or ERSD) means AGLC’s technical equipment and software standards that all electronic raffle system components must meet.
- n) “electronic raffle system” (or ERS) means ATF certified and AGLC approved computer proprietary software and applicable proprietary hardware that provides, based on eligibility criteria, electronic raffle components for licensed charitable organizations to conduct either an electronic traditional ticket raffle or an electronic bearer ticket raffle resulting in either a paper or electronic draw.
- o) “electronic raffle system administrator” (or ERS administrator) means a volunteer or paid person who manages the operation of the ERS hardware and software. Where the authorized total ticket value of the raffle exceeds \$20,000, a paid ERS administrator must be registered with AGLC as a raffle worker in order to perform this function. *(Amended Dec 2018)*
- p) “electronic traditional ticket raffle” means a raffle using an electronic raffle system and where the charitable organization sells tickets for a period of time prior to the raffle draw.

- q) “expenses” means the direct costs incurred by a licensed charitable organization to hold a raffle.
- r) “fair market value” means the amount an asset would sell for in an open market between a willing seller and a willing buyer that are both knowledgeable and informed and who are acting independently of one another.
- s) “gaming supplier” means an individual, corporation or other entity that makes, sells, advertises or distributes gaming supplies either directly or indirectly to a licensed charitable organization in Alberta pursuant to section 40(1)(a) of the *Gaming, Liquor and Cannabis Act*.
- t) “gaming worker supplier” means an entity that is paid directly or indirectly to provide one or more raffle workers to assist a licensed charitable organization with its raffle conduct and management responsibilities. *(Amended Dec 2018)*
- u) “generic accounts” means a shared user or role account that can be used by more than one person.
- v) “gross raffle revenue” means the total of all funds raised from the sale of raffle tickets.
- w) “licence” means a gaming licence issued by AGLC to a charitable or religious organization or board of a fair or exhibition authorizing the organization or board to conduct one or more raffle events.
- x) “licensed charitable organization” (or charitable organization) means a charitable or religious organization or the board of a fair or exhibition holding a valid raffle licence issued by AGLC (also known as a ‘gaming licensee’ per the *Gaming, Liquor and Cannabis Act* and the *Gaming, Liquor and Cannabis Regulation*).
- y) “minor” means a person under the age of 18 years.
- z) “online prize distribution” means sending a winner a prize by email or over the Internet, e.g. the prize winner downloads a voucher or gift certificate for redemption or receives an electronic funds transfer.
- aa) “online ticket distribution” means an ATF certified and AGLC approved computer software platform used to send a ticket to the purchaser through the Internet, where the purchaser downloads a copy of the ticket.
- bb) “online ticket ordering” means a computer software platform that only receives ticket orders through the Internet and that may process payments in real time. The charitable organization handles the ticket order(s) prior to providing the raffle ticket to the purchaser, e.g. processing the payment, confirming receipt of payment, confirming order details.
- cc) “online ticket sales” means an ATF certified and AGLC approved computer software platform which fully automates all aspects of a ticket purchase through the Internet including ticket ordering, processing of payments in real time and provision of the ticket to the player. The charitable organization does not handle the ticket order(s) prior to providing the raffle ticket to the purchaser.
- dd) “PCI” means Payment Card Industry.
- ee) “PIN” means Personal Identification Number, an identifying number allocated to an individual.
- ff) “prizes” means cash, merchandise or other award(s) given to ticket purchasers.

- gg) “proceeds” means gross raffle revenue less the cost of the raffle prize(s) and approved expenses.
- hh) “proprietary equipment” means equipment designed and/or distributed by a gaming supplier for a specific purpose or use as a gaming supply in connection with an ERS.
- ii) “proprietary software” means software designed and/or distributed by a gaming supplier for a specific purpose or use as a gaming supply in connection with an ERS.
- jj) “raffle” means a lottery scheme where tickets are sold for a random chance of winning a prize(s).
- kk) “raffle ticket manager” (or RTM) means a person who is paid to manage a raffle. Where the authorized total ticket value of the raffle exceeds \$20,000, a paid raffle ticket manager must be registered with AGLC as a raffle worker in order to perform this function. *(Amended Dec 2018)*
- ll) “raffle worker” means the class of registration for a person who is paid to perform a function specified in the person’s registration in respect of a raffle, as either an ERS administrator or a RTM, where the authorized total ticket value exceeds \$20,000. *(Amended Dec 2018)*
- mm) “raffle sales unit” (or RSU) means an ATF certified and AGLC approved portable/wireless device, a remote hard-wired connected device, or standalone cashier station that is used as a point of sale for bearer tickets.
- nn) “random number generator” (or RNG) means ATF certified and AGLC approved computer software designed to generate a sequence of numbers that cannot be reasonably predicted. An RNG is used to conduct a random electronic draw to determine the outcome(s) of the raffle.
- oo) “ticket” means a paper or electronic record provided to a ticket purchaser for an electronic bearer ticket raffle or an electronic traditional ticket raffle.
- pp) “ticket number” means a uniquely identifiable number that is provided to the purchaser for each draw entry purchased, and is eligible to be selected as the winning number for the raffle.
- qq) “ticket stub” means a paper or electronic entry containing a ticket number matching the player’s purchased ticket that will be used to conduct a draw (includes a counterfoil).
- rr) “total ticket value (or TTV)” means the total number of tickets approved for sale multiplied by the price(s) of the tickets. For example, 25,000 tickets at \$2 and 30,000 tickets at 2 for \$5, equals a total ticket value of \$125,000 $[(25,000 \times \$2) + (30,000/2 \times \$5) = \$125,000]$.

1.2 – Guiding Principles of Gaming

- 1.2.1 The guiding principles of gaming, adopted by the province, are as follows:
- a) The integrity of gaming will be ensured.
 - b) Gaming policies will reflect a commitment to social responsibility.
 - c) The financial return to eligible charitable organizations from charitable gaming is to be maximized for the benefit of charitable and religious groups, the programs or activities they deliver, and the communities in which those programs or activities are undertaken.
 - d) Gaming policies will be supported by sound research and consultation with the public and stakeholders.
 - e) The collection and use of gaming revenue will be open and accountable.
 - f) Gaming activities will meet standards of quality to protect the integrity of gaming activities, provide gaming entertainment value to consumers, and help to keep gaming dollars in the province.
 - g) The guiding principles for gaming will be subject to review, to ensure they reflect Albertans' wishes.

1.3 – Legislation and Licence Requirements

- 1.3.1 Licensed charitable organizations eligible to conduct their raffles on or through a computer must comply with all applicable policy in this handbook, as well as the following standards, policy, regulation, and legislation:
- a) *Criminal Code* (Canada);
 - b) *Gaming, Liquor and Cannabis Act* (Alberta);
 - c) Gaming, Liquor and Cannabis Regulation (Alberta);
 - d) Raffle Terms and Conditions Total Ticket Value Over \$20,000;
 - e) Raffle Terms and Conditions Total Ticket Value \$20,000 and Less;
 - f) Electronic Raffle Standards Document (ERSD);
 - g) Payment Card Industry Data Security Standard (PCI), for ticket payment processing;
 - h) National Institute of Standards and Technology (NIST) Guidelines for Securing Public Web Servers, for charitable organization websites that store information online or include online ticket purchases (see Section 3.4.4); and
 - i) All other applicable federal, provincial, or municipal laws or policies.
- 1.3.2 Conduct and management of a raffle is the sole responsibility of the licensed charitable organization. The licensed charitable organization must ensure administrative, operational and financial governance over all activities related to the conduct of the raffle. While registered gaming suppliers, gaming worker suppliers, raffle ticket managers, and electronic raffle system administrators may provide ATF certified and AGLC approved equipment and/or services to assist a licensed charitable organization in the conduct and management of their raffle, the charitable organization may not delegate their conduct and manage responsibilities to these or any other entity.

1.4 – Electronic Raffle Components & Eligibility

Electronic Raffle Components – Traditional Ticket Raffles

- 1.4.1 An ERS for electronic traditional ticket raffles includes the use of electronic components as follows:
- a) online ticket ordering in combination with online ticket distribution and/or an electronic draw;
 - b) online ticket sales; or
 - c) online ticket sales in combination with online ticket distribution and/or an electronic draw.
- 1.4.2 Online prize distribution is an additional electronic component which may be used alone or in combination with other electronic raffle components.

Electronic Component Eligibility - Traditional Ticket Raffles

TTV under \$100,000	TTV \$100,000 or more	TTV \$1 million or more
<ul style="list-style-type: none"> • Online ticket ordering* <p>* Policies for online ticket ordering alone appear in the Raffle Terms & Conditions (see Subsection 1.4.3)</p>	<ul style="list-style-type: none"> • Online ticket sales • Online ticket distribution (with online ticket ordering or online ticket sales) • Online prize distribution 	<ul style="list-style-type: none"> • Online ticket sales • Online ticket distribution (with online ticket ordering or online ticket sales) • Online prize distribution • Electronic draw (with an RNG)

- 1.4.3 Charitable organizations conducting a traditional ticket raffle with a total ticket value less than \$100,000 (column one in the table above) are governed by policies contained in Raffle Terms & Conditions Total Ticket Value More Than \$20,000 – Form 5428 , and the Raffle Terms & Conditions Total Ticket Value \$20,000 and Less – Form 5416 , including policies respecting online ticket ordering.
- 1.4.4 Charitable organizations conducting an electronic traditional ticket raffle with a total ticket value of \$100,000 or more (column two in the table above) may conduct:
- a) online ticket sales;
 - b) online ticket distribution (in combination with online ticket ordering or online ticket sales); and
 - c) online prize distribution (alone or in combination with an ERS).
- 1.4.5 Charitable organizations conducting an electronic traditional ticket raffle with a total ticket value of \$1 million or more (column three in the table above) may conduct:
- a) online ticket sales;
 - b) online ticket distribution (in combination with online ticket ordering or online ticket sales);
 - c) online prize distribution (alone or in combination with an ERS); and
 - d) an electronic draw with online ticket ordering or online ticket sales.

Electronic Raffle Components – Bearer Ticket Raffles

- 1.4.6 An ERS for electronic bearer ticket raffles includes the use of electronic components as follows:
 - a) the sale of tickets using raffle sales units (RSUs); or
 - b) the sale of tickets using raffle sales units (RSUs) with an electronic draw.
- 1.4.7 Online prize distribution is an additional electronic component which may be used alone or in combination with other electronic raffle components.

Electronic Component Eligibility – Bearer Ticket Raffles

TTV under \$100,000	TTV \$100,000 or more	TTV \$1 million or more
<ul style="list-style-type: none"> • Sell tickets using an RSU 	<ul style="list-style-type: none"> • Sell tickets using an RSU • Online prize distribution 	<ul style="list-style-type: none"> • Sell tickets using an RSU • Online prize distribution • Electronic draw (with an RNG)

- 1.4.8 Charitable organizations conducting electronic bearer ticket raffles with a total ticket value less than \$100,000 (column one in the table above) may use an electronic raffle system (ERS) with raffle sales units (RSUs) to sell and print bearer raffle tickets.
- 1.4.9 Charitable organizations conducting an electronic bearer ticket raffle with a total ticket value of \$100,000 or more (column two in the table above) may:
 - a) use an ERS with raffle sales units (RSUs) to sell and print bearer raffle tickets; and
 - b) distribute prizes on-line (alone or in combination with an ERS).
- 1.4.10 Charitable organizations conducting an electronic bearer ticket raffle with a total ticket value of \$1 million (column three in the table above) or more may:
 - a) use an ERS with raffle sales units (RSUs) to sell and print bearer raffle tickets;
 - b) distribute prizes online (alone or in combination with an ERS); and/or
 - c) conduct an electronic draw.
- 1.4.11 Charitable organizations conducting a bearer ticket raffle using pre-printed (paper) bearer raffle tickets are governed by policies contained in the Raffle Terms & Conditions Total Ticket Value More Than \$20,000 – Form 5428 , and the Raffle Terms & Conditions Total Ticket Value \$20,000 and Less – Form 5416 . *(Amended Dec 2018)*

Section 2: Requirements for Traditional & Bearer Ticket Raffles

2.1 – General

- 2.1.1 In order to be licensed for a raffle, charitable organizations must submit a raffle licence application complete with all required documentation.
- 2.1.2 The location of an ERS server must be provided to AGLC at the time of application.
- 2.1.3 Security plans must be submitted with the licence application, and must include procedures for:
- the secure storage, distribution, and return of ticket inventory (if using paper tickets);
 - the secure storage of ticket stubs or electronic entries from sold tickets; and
 - the secure receipt and deposit of cash proceeds.
- 2.1.4 The licensed charitable organization must be responsible for the conduct and management of the raffle at all times. The operation of the raffle must not be delegated to another entity, group or person (see Section 1.3.2).
- 2.1.5 There must be no obligation for anyone to purchase raffle tickets as a condition of participation or registration in a licensed charitable organization’s programs or services.
- 2.1.6 The registered gaming supplier providing the ERS must be paid on a cost of service basis. Payment based on a percentage share of ticket sales is prohibited.
- 2.1.7 Licensed charitable organizations, raffle ticket managers, electronic raffle system administrators, registered gaming suppliers and registered gaming worker suppliers must notify AGLC immediately of any conduct, activity, or incident that may contravene or contravenes Board policies (including the Electronic Raffle Handbook and Electronic Raffle Standards Document), the *Criminal Code of Canada*, the *Gaming, Liquor and Cannabis Act*, and the Gaming, Liquor and Cannabis Regulation.
- 2.1.8 Non-compliance with federal, provincial, or municipal laws and Board policies may result in disciplinary action, up to and including suspension or cancellation of licence.
- 2.1.9 Technical malfunctions, service interruptions, system changes, or other equipment problems must be immediately reported to AGLC by calling 1-800-742-7818.
- 2.1.10 Pursuant to Section 14 of the Western Canada Lottery Agreement, “any lottery scheme which, because of its prize structure or game similarity (for example, scratch and win tickets), would have a material detrimental effect on the sale of lottery schemes managed, conducted, or operated by the Western Canada Lottery Corporation” may not be licensed by AGLC.
- 2.1.11 The maximum total ticket value of any raffle is \$20 million.

- 2.1.12 AGLC may restrict the total prize value of any raffle prior to issuing a licence.
- 2.1.13 Changes to a licence may only be made through a licence amendment issued by AGLC. Requests for approval to amend a licence must be made in writing to AGLC by two executive officers of the licensed charitable organization. If the approved amendments affect the awarding of prizes, the licensed charitable organization must:
- advise ticket holders by way of advertising; and
 - amend unsold tickets.
- 2.1.14 Amendments to the start date of ticket sales may not be permitted if other raffles within the same geographical region may be impacted.
- 2.1.15 All partners in a raffle must be eligible for a licence and must be licensed by AGLC.
- 2.1.16 If more than one licensed charitable organization is involved in the event, a copy of the Partnership Agreement or Letter of Understanding between the licensed charitable organization and the other charitable organization(s) must be submitted to AGLC.
- 2.1.17 Licensed charitable organizations must ensure their raffle events are conducted and managed entirely within the province of Alberta.
- 2.1.18 No licensed charitable organization may transfer or assign its licence.
- 2.1.19 A licensed charitable organization may not sell more than the number of tickets indicated and approved in the application for licence.
- 2.1.20 A licensed charitable organization must sell tickets only at the price(s) indicated and approved in the licence application.
- 2.1.21 The licensed charitable organization may place ticket purchase restrictions on the licensed charitable organization's members, family members, or employees of companies contracted to provide goods or services for the management of a raffle. The licensed charitable organization must advise AGLC of any such restrictions at the time of application.
- 2.1.22 Tickets may be purchased with cash, cheque, money order, and any PCI compliant payment method. The licensed charitable organization is responsible for ensuring that the revenue from ticket sales is received. Where a payment processor is used, the charitable organization cannot retain the information collected by the payment processor application. This includes bank account information, credit card numbers, and card verification value (CVV) numbers. The charitable organization may retain the purchaser's name, address, phone number, and email address for verification and contact purposes (also see Sections 3.3.2 and 3.3.3).
- 2.1.23 When conducting a paper ticket draw, the licensed charitable organization must ensure there is an acceptable physical set up and process respecting the printing and collection of entries into a draw drum.

2.2 – Raffle Rules

- 2.2.1 The charitable organization must establish and maintain rules to govern the conduct of the raffle and awarding of prizes. The rules must:
- comply with AGLC policy; and
 - be available to ticket buyers, if requested.
- 2.2.2 Raffle rules must include the following:
- tickets must not be sold to a person under 18 years of age;
 - a requirement that the licensed charitable organization's ticket sellers advise adult ticket buyers not to write the name of a person under 18 years of age on the ticket;
 - any ticket purchasing restrictions on the licensed charitable organization's members, or family members, buying tickets;
 - minimum number of tickets that must be sold before requesting a draw date extension or cancelling the raffle. A draw date extension is unlikely to be approved if the break-even point is passed (i.e.: if enough tickets are sold to cover prize costs and expenses);
 - exact location of the draw(s);
 - method in which the draw(s) will be conducted and, if applicable, a statement acknowledging some tickets may be eligible for more draws than other tickets;
 - order in which prizes will be awarded and whether prize winning tickets will be returned to the draw to be eligible for other identical prizes;
 - cash alternatives for any of the prizes;
 - any restrictions that apply to prizes, such as when prize trips must be taken, what products may be purchased with gift certificates, or whether the prize delivery transportation costs will be the responsibility of the prize winner;
 - condition of prizes being offered (new, used, requiring repair);
 - procedure if a winner cannot be located;
 - for sports lotteries only – an alternate method of awarding prizes if the:
 - winning ticket is not sold;
 - score exceeds the highest score printed; or
 - game goes into overtime.
 - procedures for handling a ticket buyer's request to cancel their ticket for a refund of the purchase price;
 - procedure for power failures;
 - notice advising ticket purchasers, in the event a winning ticket stub has more than one name on it, the licensed charitable organization must award the prize to only one of the individuals identified on the ticket, and that the licensed charitable organization and AGLC are not responsible for any disputes which may arise between the different individuals whose names appear on the ticket stub.
- 2.2.3 In addition to the above, licensed charitable organizations conducting a bearer ticket raffle must also include the following raffle rules:
- the date(s) and time(s) of the draw(s);
 - the purchase price of each ticket and the percentage to be awarded as a prize (although "percentage draws" are commonly known as 50/50 draws, the prize value may be a minimum of 20 per cent of gross raffle revenue and all licensed charitable organization

references to the raffle must accurately reflect the actual percentage payout). Prize payouts must be based on ticket sales, and not cash retained by sellers;

- c) the method by which the draw(s) will be announced, and the location of the announcement;
- d) number of tickets printed for the licence term;
- e) method by which the prize will be paid (such as cash, cheque, or electronic funds transfer);
- f) the time limit for the ticket buyer to claim a prize (a time limit less than 10 minutes requires AGLC approval);
- g) procedure for identifying an alternate prize winner if a winner cannot be located within the time limit for claiming prizes specified above;
- h) the means by which a winning ticket buyer will be awarded the prize on the last day of the draw; and
- i) a contact name and telephone number in the event of a complaint or dispute.

2.3 – Expenses

2.3.1 Only approved expenses required to conduct the raffle may be deducted from the gross raffle revenue. Raffle expenses that may be approved include:

- a) the electronic raffle system;
- b) ticket printing;
- c) advertising;
- d) licence fee;
- e) raffle ticket manager's fee;
- f) electronic raffle system administrator's fee;
- g) commercial outlet handling fee;
- h) appraisal fees for prizes;
- i) other expenses relating to the conduct and management of the raffle receiving prior approval of AGLC (such as mall space rental, camera rental, credit card charges); and
- j) GST on the eligible items listed above.

2.3.2 Expenses, excluding the raffle ticket manager's fee, must not exceed 30 per cent of approved total ticket value, including GST (also see Subsection 10.2.15).

2.3.3 Ticket revenue may only be spent from the raffle account on raffle expenses and approved use of proceeds when sufficient funds are available to pay for the raffle prizes. Until the raffle prizes are secured, approved raffle expenses may be paid from non-gaming funds. Once the prizes are secured, revenue from the raffle account may be used to reimburse the expenses paid from non-gaming funds. The source of non-gaming funds must be disclosed at the time of application.

2.4 – Proceeds

- 2.4.1 Proceeds must be spent on charitable or religious objectives as approved by AGLC, detailed on the charitable organization's raffle application and approved on the raffle licence.
- 2.4.2 Any change in the use of proceeds from the use(s) of approved proceeds stated on the raffle licence must be approved in advance by AGLC. Two current members of the licensed charitable organization's executive must sign the letter or request for the change in the use of proceeds.
- 2.4.3 Gaming proceeds may not be used to cover gaming losses or expenses from other gaming licences unless approval is granted by AGLC.
- 2.4.4 All disbursements of proceeds must normally be made within 24 months of the raffle's last draw date. Any extension of this period must have the prior written approval of AGLC. All requests for an extension of this time period must include a supporting business plan. The business plan must include the following:
- a) an explanation, in writing, outlining why the proceeds should be accumulated beyond 24 months;
 - b) any other sources of revenues associated with the planned project or event;
 - c) a list of expenditures associated with the planned project or event; and
 - d) timelines for the anticipated disbursement of the accumulated proceeds.
- 2.4.5 All payments from the raffle account for approved charitable or religious purposes must be made by cheque, and signed by two current members of the charitable organization's executive. The cheques must normally be payable directly to the vendor or supplier. Cheques to individuals are not permitted unless prior approval has been granted by AGLC, and/or documentation is maintained to ensure the disbursement is for an approved use.
- 2.4.6 Proceeds must normally remain in the raffle account until spent on the approved uses. If not required immediately, proceeds may:
- a) be put into a separate interest-bearing account;
 - b) be used to buy deposit certificates; or
 - c) if the licensed charitable organization qualifies as a Trustee under the *Trustee Act*, be invested subject to the conditions established for and applying to investments by a trustee under the *Trustee Act*. To qualify to invest, AGLC will require a letter from the licensed charitable organization's lawyer confirming the trustee qualification.
 - d) if proceeds are re-directed as stated in Section 2.4.6 a) to c), the following conditions apply:
 - i. investments made as stated in Section 2.4.6 a) and b) must be fully insured as defined in the *Canada Deposit Insurance Corporation Act*;
 - ii. the financial institution, account or deposit number, or details of other permitted investments and the total value of the funds proceeds transferred or invested must be identified on financial reports;
 - iii. all interest, dividends, or other income earned becomes part of proceeds and must be retained in the separate interest bearing account. If the income is in the form of shares or units, all interest, dividends, or other income earned must be retained as part of the investment.

- iv. when needed for approved uses, proceeds must be transferred back to the raffle account as disbursed.
- e) be contributed to an endowment fund, subject to the conditions specified in the Charitable Gaming Policies Handbook.

2.5 – ERS Administrator

- 2.5.1 An individual(s) must be designated as the ERS administrator. The ERS administrator is a volunteer or paid position as designated by the licensed charitable organization (see Subsection 2.5.2). The ERS administrator must have a level of expertise and requisite training in the operation of the ERS hardware and software (event set-up, reports generation, troubleshooting, etc.).
- 2.5.2 As defined in Section 1 of this handbook, an "electronic raffle system administrator" (or ERS administrator) means a volunteer or paid individual who manages the operation of the ERS hardware and software:
- a) In the case of a volunteer ERS administrator, where the authorized TTV of the raffle is \$100,000 or more, the charitable organization must provide with the licence application a criminal record check (dated within the last three months of the application) for the volunteer ERS administrator.
 - b) In the case of a paid ERS administrator, where the authorized TTV of the raffle exceeds \$20,000, the paid ERS administrator must hold a valid raffle worker registration as an ERS administrator (see Section 10.2) prior to commencing their duties. *(Amended Dec 2018)*
- 2.5.3 Training must be provided to the licensed charitable organization and ERS administrator(s) by the registered gaming supplier in the use of the equipment and software it supplies. This includes, but is not limited to, the computer identified as the server, stationary computer terminals/kiosks, a random number generator, handheld computing devices, and all printers.
- 2.5.4 An ERS administrator must be:
- a) available during ticket sales and present at the draw to offer assistance with the system and volunteers; and
 - b) present during a bearer ticket raffle event.
- 2.5.5 All equipment must be set up prior to the event and the ERS administrator must verify that the ERS is working properly, networks are connected, and the system is configured with event details (date, time, etc.).
- 2.5.6 Once the ERS is configured and the raffle event is live, only the ERS administrator may:
- a) add or remove authorized accounts to access the ERS (see Subsection 2.6). Any changes made to the ERS must be logged;
 - b) provide a temporary password to permit remote access for technical support on the ERS. A discrepancy report, identifying the individual given access and the reason for granting access, must be submitted to AGLC immediately;
 - c) restart equipment and adjust settings/parameters during the raffle; and

- d) compile the draw and ensure all eligible electronic entries are available for selection, if an RNG is being used.

2.6 – Electronic Raffle System Access

- 2.6.1 The ERS administrator(s) must ensure that ERS access privileges assigned to each individual user of the system permits access only as required by that individual to perform his or her position duties.
- 2.6.2 The ERS administrator(s) must ensure that ERS access privileges are immediately revoked for any individual who no longer requires or is no longer authorized to have the access provided in accordance with Subsection 2.6.1 (e.g. termination, suspension, reassignment, resignation, leave of absence, etc.).
- 2.6.3 Any software, RSU, computer, or network that are part of/connect to the ERS must be secured using generally accepted practices for IT network security which may include but is not limited to the following technologies:
- a) Passwords (the charitable organization must draft requirements for length, complexity and lifespan of the password);
 - b) PINS;
 - c) biometrics; or
 - d) authentication credentials (e.g.: magnetic swipe, proximity cards, embedded chip cards).
- 2.6.4 Generic log in accounts may be used to access the ERS (for example, to reissue tickets or verify purchases). The use of these accounts must be approved by AGLC prior to use and are limited to simple functionality.
- 2.6.5 Changes may only be made to the ERS with prior approval of AGLC.

Section 3: Electronic Traditional Ticket Raffle Requirements

3.1 – Ticket Content – Traditional Ticket Raffles

- 3.1.1 Ticket numbers must be generated consecutively, as tickets are sold.
- 3.1.2 Tickets must be in two parts, as follows:
- an electronic entry or paper ticket stub retained by the licensed charitable organization; and
 - a ticket provided to the purchaser either electronically, or on paper.
- 3.1.3 The system must generate a unique electronic entry or paper ticket stub at time of sale for each ticket number sold on a ticket. An electronic entry or a paper ticket stub must include the following information, at minimum:
- the name, address, and telephone number of the ticket purchaser as provided during the online purchase;
 - raffle licence number;
 - ticket number;
 - issued date and time in 24 hour format showing hours and minutes; and
 - an optional barcode.
- 3.1.4 Tickets sold may be distributed to the purchaser electronically or on paper. Sold tickets must include the following information, at minimum:
- the licensed charitable organization’s name and address;
 - the raffle licence number;
 - ticket number;
 - ticket price;
 - total number of tickets to be sold;
 - issued date and time in 24 hour format showing hours and minutes;
 - location(s) and date(s) of the draw;
 - description and value of prize(s);
 - the notice: “Restrictions apply to prizes” (if applicable);
 - cash alternatives (if applicable); and
 - the notice: “Must be at least 18 years of age to purchase”.
- 3.1.5 Sold tickets may also include an optional barcode;
- 3.1.6 For each price category, discount tickets must have a separate series number on each ticket. For example, single tickets at \$2 each may be marked as “Series A (ticket number)” while tickets priced at 3 for \$5 may be marked as “Series B (ticket number).”

3.2 – Ticket Sales – Traditional Ticket Raffles

- 3.2.1 The licensed charitable organization is responsible for ensuring that any individuals involved in the sale of tickets for an electronic traditional ticket raffle have the necessary level of:
- expertise;
 - requisite training; and
 - access to technical support.
- 3.2.2 A copy of each ticket type (e.g. regular or discount prices) must be sent to AGLC, if requested.
- 3.2.3 Single tickets must be offered for sale. The licensed charitable organization is also permitted to sell multiple tickets at one price (e.g. three tickets for \$5).
- 3.2.4 It must be possible to easily distinguish discount tickets (those sold in multiples) in each price category.
- 3.2.5 When a series of draws occurs according to a fixed schedule, (such as a cash calendar):
- the ticket price can be reduced based upon the percentage of prize value remaining, (for a cash calendar, each month the ticket price can be reduced by 1/12th);
 - the licensed charitable organization must include the discount pricing procedure in the raffle rules; and
 - at time of sale, each ticket must show the reduced price and eligible draw date(s).
- 3.2.6 Ticket sales must take place within the province of Alberta. The charitable organization may permit persons visiting from out of province to purchase a ticket if the entire transaction of payment and receipt of ticket occurs while the person is in Alberta. Ticket orders online and via telephone may only be processed for Alberta residents. If a licensed charitable organization maintains a customer list, those with addresses outside of Alberta must not be mailed or emailed advertising material.
- 3.2.7 A ticket is not considered purchased until a verified financial transaction is complete. Ticket requests returned for insufficient funds must be automatically voided.

3.3 – Ticket Sales Requirements When Using Electronic Components

- 3.3.1 The licensed charitable organization is responsible for ticket sales and for the administration of the ERS and payment processing platform.
- 3.3.2 The transaction and payment processing platform, or the ticket sales provider used by the licensed charitable organization for processing online ticket sales must meet current [PCI Security Standards Council](#) requirements. In addition, the online transaction and payment processing platform must not retain payment information, including debit card information, credit card information, and/or banking information.

- 3.3.3 Websites and applicable software or hardware that stores or receives personal information of ticket buyers must be in compliance with the [National Institute of Standards and Technology Guidelines on Securing Public Web Servers](#).
- 3.3.4 Licensed charitable organizations selling tickets using an ERS may distribute tickets on paper or electronically (see Subsection 1.4 regarding eligibility).
- 3.3.5 Licensed charitable organizations must only retain electronic entries (not paper ticket stubs) when conducting an electronic draw.
- 3.3.6 Licensed charitable organizations selling tickets using an online ticket sales platform may not also sell preprinted tickets.
- 3.3.7 Licensed charitable organizations selling tickets using an ERS and distributing paper tickets may conduct:
- a) a paper ticket draw by retaining paper ticket stubs at the time of sale; or
 - b) an electronic draw by retaining an electronic entry at the time of sale.
- 3.3.8 Licensed charitable organizations must ensure that their ERS and payment processing platform also complies with applicable requirements in the Electronic Raffle Standards Document (ERSD).
- 3.3.9 The licensed charitable organization must have a mechanism to verify that the ticket purchaser is:
- a) 18 years of age or older; and
 - b) located within the province of Alberta at the time of purchase.

3.4 – Online Ticket Distribution

- 3.4.1 The licensed charitable organization is responsible for online ticket distribution, and for the administration of the ERS and the online ticket distribution platform.
- 3.4.2 Raffle tickets and a receipt of payment may only be issued and accessed electronically after payment has been processed.
- 3.4.3 Tickets sold online may be distributed electronically or mailed to the customer.
- 3.4.4 The online ticket distribution platform must have mechanisms and controls for the security and protection of personal information and accounts (also see Subsections 3.3.2 and 3.3.3).
- 3.4.5 ERS servers supporting the online ticket distribution platform must be located in a secure area with controlled access (see subsections 8.2.4).
- 3.4.6 Server data and electronic reports/records on the distribution of tickets online must be backed up and retained and stored externally from the server on durable electronic media (such as a CD), and available for two years following the end of the licence period.

3.5 – Ticket Inventory Management – Traditional Ticket Raffles

- 3.5.1 To ensure the overall integrity of licensed raffles, charitable organizations offering ticket sales using an ERS must ensure that the ERS is capable of clearly tracking, monitoring, controlling, and accounting for the sale of tickets.
- 3.5.2 The charitable organization must ensure that the ERS maintains inventory control and management for voided tickets, and the reconciliation of tickets where tickets are sold online and through other channels such as online ticket ordering, over the phone, or in-person.
- 3.5.3 The charitable organization must ensure that the ERS has the ability to set limits on the number of tickets that can be sold and on the period of time that they are for sale.
- 3.5.4 Where the ERS delivers a ticket to the purchaser immediately online, the licensed charitable organization must comply with the requirements set out in Section 3.4.
- 3.5.5 The licensed charitable organization must ensure that the ERS and payment processing platform has mechanisms and controls for the security and protection of personal information and accounts (also see Subsections 3.3.2 and 3.3.3).
- 3.5.6 Server data and electronic reports/records, such as ticket numbers and sales, must be backed up and stored externally from the server on durable electronic media, and available for two years following the end of the licence period.
- 3.5.7 The licensed charitable organization must be able to account for all tickets. Prior to the draw, the licensed charitable organization must reconcile the number of sold tickets and unsold tickets as indicated in the ticket sales record with the number of ticket stubs, to ensure that all eligible tickets form part of the draw.

3.6 – Prizes - Traditional Ticket Raffles

- 3.6.1 The prize(s) must be awarded as described and approved in the licence application. The licensed charitable organization is responsible for contacting prize winner(s), and will make every reasonable effort to notify the prize winner(s).
- 3.6.2 The total fair market value of all prizes, including cash alternatives, must be at least 20 per cent of the approved total ticket value. The fair market value of each individual prize must be equal to or greater than the individual ticket price.
- 3.6.3 Stated prize values must be equal to or less than the manufacturer's suggested retail price.

- 3.6.4 Cash alternatives must equal the stated prize value, or be fully disclosed at the time of application.
- 3.6.5 Charitable organizations may be required to guarantee raffle prizes. If such a guarantee is required, the applicant must either submit an irrevocable letter of credit in favour of AGLC in an amount equal to the value of the total prize package prior to the raffle licence being issued or submit written documentation confirming a trust account has been established by a qualified Trustee as specified under the Trustee Act, and that all gross raffle revenue will be deposited into that account.
- 3.6.6 When the fair market value of a merchandise or travel package prize exceeds \$5,000, independent confirmation of the prize value acceptable to AGLC must be provided, such as an invoice from the supplier.
- 3.6.7 Where the prize is a vehicle, the charitable organization must complete a transportation log detailing the date, purpose, mileage, and driver of all trips taken by the vehicle from the time the licensed charitable organization obtained the vehicle until the time the vehicle was given to the prize winner. The transportation log must be retained with the raffle records and be submitted to AGLC if requested.
- 3.6.8 Where second hand merchandise, previously used show home furniture, collectibles, or antiques are offered as prizes, the charitable organization must submit with their application two independent third party appraisals from qualified appraisers stating the appraised value of the prize merchandise.
- 3.6.9 Licensed charitable organizations conducting raffles with homes as a prize must submit a complete list of appliances, furniture, and decorations in each room of the house. This list must include the individual cost of each item. Additionally, the advertised value of the lot must reflect the average selling price of similar lots in the same subdivision or area at the time the application is submitted.
- 3.6.10 If the prize winner is under 18 years of age, the licensed charitable organization must deliver the prize:
- a) to the Office of the Public Guardian and Trustee if the prize has a fair market value that exceeds \$20,000; or
 - b) if the prize has a fair market value of \$20,000 or less, in keeping with the Minors' Property Act, the licensed charitable organization must contact the Office of the Public Guardian and Trustee prior to dispensing the prize and must comply with the direction provided by that office. A licensed charitable organization may contact the Office of the Public Guardian and Trustee toll free at 1-877-427-4525, or in Edmonton at (780) 427-2744, or in Calgary at (403) 297-6541.
- 3.6.11 Prizes must be immediately transferable without encumbrances on the title to the winner. No costs, including taxes, may be charged to the winner(s) for the transfer of the property or title into the winner's name except for possible prize delivery transportation costs as specified in the approved raffle rules.

- 3.6.12 Except for prizes described in Section 3.6.13, raffle winners have one year from the date of the draw to claim their prize. The licensed charitable organization must secure or place in safekeeping unclaimed prizes for a period of one year from the date of the draw. If at that time the prize has still not been claimed, the prize or cash equivalent to the fair market value of the prize must be donated to a charitable beneficiary approved by AGLC.
- 3.6.13 Where houses, vehicles, travel package, live animals, or perishable items such as food and plants are offered as prizes, the licensed charitable organization may set a specified time period, subject to AGLC approval, in which the prize winner may claim the prize. The specified time period must be listed in the licensed charitable organization's raffle rules.
- 3.6.14 Licensed charitable organizations are prohibited from offering cannabis as a raffle prize. (Cannabis means any part of a cannabis plant, including the phytocannabinoids produced by, or found in, such a plant, regardless of whether that part has been processed or not.) *(Added Dec 2018)*
- 3.6.15 The licensed charitable organization must submit a list of unclaimed prizes to AGLC with the Raffle Financial Report.

Section 4: Electronic Bearer Ticket Raffle Requirements

4.1 – General

- 4.1.1 Electronic bearer ticket raffles are allowed only under the following circumstances:
- sales are limited to a specific sports or entertainment event and only occur over a set period within the day of the event;
 - sales occur in the confined area in which the sports or entertainment event takes place;
 - the tickets are numbered consecutively;
 - if the licensed charitable organization is conducting a bearer ticket paper draw, appropriate ticket inventory control records must be used for each draw to ensure all sold tickets are entered into the draw;
 - if the licensed charitable organization is conducting a bearer ticket electronic draw using a random number generator (RNG), appropriate inventory control records of electronic entries must be used for each draw, to ensure all sold tickets are entered into the draw;
 - a secure location is provided to complete the ticket and cash reconciliation;
 - the draw is announced to the public and occurs before the end of the sports or entertainment event when individual ticket buyers are likely to be present to claim the prize;
 - a minimum of 10 minutes must be provided for the public to claim the prize after the draw is announced. If the licensed charitable organization would like to provide less time, it must be approved by AGLC beforehand; and
 - there is a procedure in place, as specified in the licensed charitable organization's raffle rules, for awarding the prize on the last draw date of the licence period.
- 4.1.2 With the exception of the main raffle server, all computer equipment or computer accessories (e.g.: kiosks or printers) must be located on-site.
- 4.1.3 Bearer tickets must only be printed when sold to a ticket purchaser. Preprinting of unsold tickets is prohibited.
- 4.1.4 Only handhelds, kiosks, and computers located at the event may connect to the raffle server. Unless approved by AGLC, computers outside of the event location must not be able to access the raffle server during the raffle event.
- 4.1.5 If there is a power failure or technical problem with the ERS, and the ERS can no longer be used, tickets may no longer be sold. Ticket sales may start again if the power returns within the time frame for the event, the system is recovered, and sales are reconciled.
- 4.1.6 The configuration of printers used for the printing of ticket stubs must have sufficient capacity to print the number of ticket stubs based on the expected volume of ticket sales and within the time frame for the conduct of the event.

4.2 – Bearer Tickets

- 4.2.1 A copy of each bearer ticket type must be sent to AGLC, if requested.
- 4.2.2 Single bearer tickets must be offered for sale. The licensed charitable organization is permitted to sell multiple tickets at a discounted price (e.g. three tickets for \$5); however, ticket buyers must also be given the option of purchasing only one ticket.
- 4.2.3 It must be possible to easily distinguish discount bearer tickets (those sold in groups) in each price category.

4.3 – Ticket Content – Bearer Ticket Raffles

- 4.3.1 Tickets must be in two parts, as follows:
- an electronic entry, or paper ticket stub, that is retained by the charitable organization for the purposes of the draw; and
 - a printed ticket provided to the purchaser.
- 4.3.2 An electronic bearer ticket raffle entry or a paper ticket stub must be entered into the draw by the charitable organization and at a minimum include the following information:
- event location;
 - raffle licence number;
 - issued date and time (in 24 hour format showing hours and minutes);
 - value or cost of the bearer ticket; and
 - a unique ticket number and optional barcode.
- 4.3.3 The charitable organization must provide the purchaser with a paper bearer ticket containing the following information:
- name of organization conducting the raffle;
 - event location;
 - issued date and time (in 24 hour format showing hours and minutes);
 - RSU identifier from which the ticket was generated;
 - value or cost of the bearer ticket;
 - unique ticket number(s) and optional barcode; and
 - raffle licence number.
- 4.3.4 A bearer ticket may contain additional printed information such as advertising, logos, or coupons. This information may be contained on the ticket stock itself. Any additional printed information must not impact or obscure the mandatory printed information.

4.4 – Ticket Inventory Management – Bearer Ticket Raffles

- 4.4.1 To ensure the overall integrity of licensed raffles, charitable organizations offering ticket sales using an ERS must ensure that the ERS is capable of clearly tracking, monitoring, controlling, and accounting for the sale of tickets.
- 4.4.2 The charitable organization must ensure that the ERS:
- maintains ticket inventory control;
 - provides management of voided tickets;
 - provides the reconciliation of sold tickets;
 - has the ability to set limits on the number of tickets that can be sold; and
 - has the ability to set limits on the period of time that tickets are for sale.
- 4.4.3 Server data and electronic reports/records, such as ticket numbers and sales, must be backed up and stored externally from the server on durable electronic media, and available for two years following the end of the licence period.
- 4.4.4 The licensed charitable organization must be able to account for all tickets. Prior to the draw, the licensed charitable organization must reconcile the number of sold tickets and unsold tickets as indicated in the ticket sales record with the number of ticket stubs, to ensure that all eligible tickets form part of the draw.

4.5 – Prizes - Bearer Ticket Raffles

- 4.5.1 For bearer ticket draws, if a prize is not claimed on the day of the draw, the licensed charitable organization must carry-over the prize total to the next scheduled draw as approved on the raffle licence. If the prize is not claimed on the last approved draw date of the licensed period, the licensed charitable organization may, subject to AGLC approval:
- carry over the prize total to the next raffle conducted by the licensed charitable organization; or
 - donate the prize total to a charitable beneficiary approved by AGLC.
- 4.5.2 Licensed charitable organizations are prohibited from offering cannabis as a raffle prize. (Cannabis means any part of a cannabis plant, including the phytocannabinoids produced by, or found in, such a plant, regardless of whether that part has been processed or not.) *(Added Dec 2018)*
- 4.5.3 The licensed charitable organization must submit a list of unclaimed prizes to AGLC with the Raffle Financial Report.
- 4.5.4 For additional requirements regarding prizes for electronic bearer ticket raffles, also see Subsections 2.2.3 and 4.1.1.

Section 5: Advertising

5.1 – Raffle Advertising Requirements

- 5.1.1 It is the licensed charitable organization's responsibility to ensure all forms of advertising are accurate and verifiable.
- 5.1.2 Printed and online advertising must include:
- name of licensed charitable organization;
 - raffle licence number;
 - description of prizes and their fair market value;
 - cash alternatives to prizes, if applicable;
 - total number of tickets printed and the price of the tickets;
 - location and date of the draw(s); and
 - a notice specifying tickets may only be purchased or sold within Alberta.
- 5.1.3 Radio and television advertising must include:
- name of licensed charitable organization;
 - raffle licence number;
 - date of draw(s); and
 - a notice specifying tickets may only be purchased or sold within Alberta.
- 5.1.4 Advertising the odds of winning is permitted, provided the charitable organization ensures the method of calculating the odds is accurate and verifiable. All advertising about odds of winning must clearly identify the category of prize referred to (e.g. "the odds of winning any prize" or "the odds of winning a gift basket"). Information on the odds of winning must be submitted to AGLC at the time of application.
- 5.1.5 Ticket sales or raffle schemes must not be advertised or promoted to persons located outside of Alberta.
- 5.1.6 Advertised descriptions and values of prizes must accurately match prizes described in the raffle licence application and all prizes must be awarded as described and approved in the application.
- 5.1.7 If applicable, raffle advertisements must explicitly state some tickets may be eligible for more draws than other tickets. Advertisements may state that tickets purchased prior to a specific cut-off date are eligible for early bird draws.
- 5.1.8 Advertising the name of the prize winner(s) is not required. A record of the winner(s) must be kept with the raffle records and the winner's name(s), ticket number(s) and prize(s) won must be provided at no cost to any ticket holder upon request.

Section 6: Electronic Draws

6.1 – Draws Conducted Using a Random Number Generator (RNG)

- 6.1.1 Licensed charitable organizations conducting a paper ticket draw must follow the Draw Procedures Section of the Raffle Terms & Conditions Total Ticket Value More Than \$20,000 – Form 5428 , and the Raffle Terms & Conditions Total Ticket Value \$20,000 and Less – Form 5416.
- 6.1.2 Prior to use, an RNG must be ATF certified and AGLC approved.
- 6.1.3 The licensed charitable organization must contact AGLC prior to the installation of an RNG. An inspection of the RNG by AGLC may be required prior to use.
- 6.1.4 Amendments to delay draw dates will not normally be approved. Draw date amendments may be approved by AGLC only if the licensed charitable organization can demonstrate extraordinary circumstances. If a draw date is amended and a ticket buyer requests a ticket purchase refund, the licensed charitable organization must issue a full refund to the ticket buyer.
- 6.1.5 As described in Subsection 1.3.2, the licensed charitable organization is responsible for ensuring administrative and operational governance over the use of the RNG.
- 6.1.6 The licensed charitable organization is responsible for ensuring that any individual operating the RNG has the necessary level of:
- expertise;
 - requisite training; and
 - access to technical support.
- 6.1.7 The RNG computer software, computer networks, and equipment supporting the software must be located within Alberta, in a secure area with strictly controlled access.
- 6.1.8 All draws must be open to the public. At least one executive member of the licensed charitable organization and one member of the public who is not a member of the licensed charitable organization must be present to witness each draw.
- 6.1.9 Licensed charitable organizations must maintain an audio-visual recording of their ticket draw(s) and retain the recording with the raffle records for two years after the last draw date.
- 6.1.10 “Previous supporter draws” that exclude tickets sold to non-previous ticket buyers are prohibited. An early bird draw is permitted as long as all ticket buyers, not just those who have purchased tickets from the charitable organization in the past, are eligible for the draw. Appreciation for previous ticket buyers’ support may be shown through early or advance advertising of the raffle to the previous ticket buyers.

- 6.1.11 An electronic entry containing the ticket number of each sold ticket must be entered into the draw, and be eligible to participate in each draw of non-identical prizes. The licensed charitable organization, as stated in its raffle rules, may exclude a winning entry for a particular prize from being eligible for all other draws of the identical prize. For example, if a raffle licence is offering 100 identical televisions as a prize, the licensed charitable organization may exclude the entry of one television prize winner from winning any further identical televisions. However, the same ticket stub or electronic entry must be included in the draw for other prizes.
- 6.1.12 Alternate proposals, to Subsection 6.1.11, for selecting winning tickets may be approved by AGLC. A detailed description of the alternate proposal must be submitted at the time of application and be approved prior to implementation. Examples of alternate proposals include separate draws for different prizes (i.e. ticket stubs or electronic entries being placed in separate draws for non-identical prizes); and second chance draws where every ticket drawn is guaranteed a prize (i.e. conducting a final prize draw consisting of all the electronic entries drawn from preliminary draws with the number of tickets eligible for the final draw equaling the number of prizes being awarded).
- 6.1.13 Winning ticket numbers must be immediately displayed to witnesses and available for inspection until the end of the draw.
- 6.1.14 The RNG draw may not be initiated by any person who owns a ticket or a share of a ticket in the draw.
- 6.1.15 The licensee must retain a record of each ticket drawn, indicating the ticket number and the name, address, and phone number of the prize winner as well as the time and date the ticket was drawn.
- 6.1.16 All electronic entries, server data, and electronic reports/records regarding the RNG computer software ticket draw must be backed up and stored externally from the server on durable electronic media (such as a CD), and be available for two years following the end of the licence period.
- 6.1.17 In the unusual circumstance where a draw occurs and the licensed charitable organization later determines that some eligible electronic entries were not placed into the draw, AGLC is to be notified immediately. A Discrepancy Report must be submitted by an executive member of the licensed charitable organization to AGLC within 3 days of discovering not all eligible tickets were entered into the draw. The Discrepancy Report must specify the total number and ticket numbers of the affected entries, and an explanation of how the problem occurred. Normally, the licensed charitable organization will have to conduct a second draw with all eligible ticket stubs and award another set of prizes equivalent to the original list of approved prizes.

Section 7: Online Prize Distribution

7.1 – Online Prize Distribution Requirements

- 7.1.1 Prizes distributed online must be suitable and appropriate for online distribution; this may include cash prizes, or vouchers for goods or services.
- 7.1.2 Charitable organizations must provide AGLC with online prize distribution procedures at the time of application.
- 7.1.3 The licensed charitable organization must ensure that the online prize distribution system has a mechanism to:
- a) verify that the individual to whom the prize is distributed is in fact the prize winner; and
 - b) have the prize winner verify that he or she is 18 years of age or older.
- 7.1.4 A prize winner must be given the option of receiving their prize via an alternate method, as specified in the raffle rules.
- 7.1.5 It is the responsibility of the licensed charitable organization to ensure that the online prize distribution system has mechanisms and controls for the security and protection of personal information.
- 7.1.6 Electronic reports/records on the online prize distribution must be backed up and stored externally from the server on paper or durable electronic media (such as a CD), and available for two years following the end of the licence period.

Section 8: Equipment

8.1 – Equipment Approval and Registration Requirements

- 8.1.1 All ERS software and equipment, prior to being used in a raffle, must be:
- certified by an ATF;
 - compliant with the ERSD; and
 - approved by AGLC.
- 8.1.2 The ERS must be certified by an Accredited Testing Facility (ATF) and approved by AGLC. The ERS may be subject to periodic inspection by AGLC.
- Gaming suppliers registered with AGLC are responsible for any costs or expenses associated with the ATF testing and certification of an ERS for which AGLC approval is requested; and
 - In the case of an ERS developed by a licensed charitable organization, the licensed charitable organization is responsible for any costs or expenses associated with the ERS testing and certification of an ERS for which AGLC approval is requested.
- 8.1.3 A company or individual providing the ERS to the charitable organization (leasing, renting or selling) must be registered as a gaming supplier with AGLC.
- 8.1.4 All proprietary equipment and/or proprietary software must be provided by an AGLC registered gaming supplier.
- 8.1.5 Although the ATF may recommend the approval of gaming supplies for use in Alberta, the ultimate authority to approve gaming supplies rests solely with AGLC.
- 8.1.6 Licensed charitable organizations may own and operate their own ATF approved ERS; additional registration as a gaming supplier is not required.
- 8.1.7 Licensed charitable organizations that own an ATF approved ERS must register as a gaming supplier in order to provide or lease their ERS to another charitable organization.
- 8.1.8 Companies, gaming worker suppliers, raffle ticket managers or individuals with an ATF approved ERS must be registered as a gaming supplier prior to supplying the ERS to a licensed charitable organization.
- 8.1.9 With AGLC approval, charitable organizations conducting electronic traditional ticket raffles or electronic bearer ticket raffles with a total ticket value of \$100,000 or more may use a data centre to distribute an ERS. Charitable organizations must indicate their intent to do so at the time of licence application.
- 8.1.10 AGLC approval is required prior to installing an approved ERS into a data centre. Data centre requirements may be obtained by contacting the Regulatory Services Division of AGLC at 780-447-8600 or toll free at 1-800-272-8876.

- 8.1.11 An ERS must have an uninterruptible power supply (UPS) support connected. The UPS must permit a shut-down that ensures all data stored within the ERS is retained during a power loss. An ERS server may be a component of a network that is supported by a network-wise UPS provided that the ERS server is included as a device protected by the UPS.

8.2 – ERS Equipment Requirements

- 8.2.1 The ERS must be certified by an Accredited Testing Facility (ATF), approved by AGLC and used in a manner approved by AGLC. The ERS may be subject to periodic inspection by AGLC.
- 8.2.2 All charitable organizations conducting raffles using ERS components must ensure that the components meet the requirements set out in the ERSD.
- 8.2.3 ATFs must provide the results from certification testing directly to AGLC.
- 8.2.4 For the prevention of alteration or tampering, the ERS server(s) must:
- be located and operated in a secure location within the province of Alberta;
 - have controlled access with physical protection against unauthorized access; and
 - have virus protection software updated daily (see also Subsection 3.3.3).
- 8.2.5 The ERS must have a record or control system that shows:
- how tickets are allocated to sellers, sellers' names and the name of the individual that allocates the tickets;
 - how funds are returned by sellers to the main bank and who is responsible for the collection of the total sum of funds; and who is responsible for calculating the prize amount, including the breakdown of prize calculations;
 - the number of sellers expected to work each event; and
 - the winner's name, address and telephone number.
- 8.2.6 Training must be provided to the licensed charitable organization by the registered gaming supplier in the use of equipment and software. This includes but is not limited to the computer identified as the server, stationary computer terminals also known as kiosks, hand held computing devices and all printers. The licensed charitable organization must provide this training to all personnel actively using the equipment at a raffle event.

Section 9: Remuneration and Gaming Irregularities

9.1 – Remuneration

- 9.1.1 Other licensed charitable organizations may be paid a commission to sell tickets. They must use the funds only for approved purposes in accordance with Sections 4 and 5 of the Charitable Gaming Policies Handbook.
- 9.1.2 Licensed charitable organizations may pay a commission or a handling fee to a commercial outlet to sell tickets. The commission or handling fee plus any applicable GST cannot exceed 5 per cent of the gross raffle revenue.

9.2 – Gaming Irregularities and Lost Tickets

- 9.2.1 Any suspected cheating or other irregularities must be reported immediately to AGLC at 1-800-742-7818.
- 9.2.2 All lost or stolen tickets, or ticket stubs, must be reported to AGLC immediately. A Discrepancy Report must be submitted to AGLC within 3 days of discovering the lost or stolen tickets. This Discrepancy Report must specify the total number and serial numbers of the lost or stolen tickets, or ticket stubs, and an explanation for how the tickets/ticket stubs were lost or stolen.
- 9.2.3 If the tickets were lost or stolen before they were sold, the licensed charitable organization must advertise in the market area where the tickets were lost or stolen that these tickets will not form part of the draw and will not be eligible for prizes. In addition, on the draw date, at the location of draw(s) and prior to the draw, the licensed charitable organization must announce the lost or stolen tickets will not form part of the draw.
- 9.2.4 If the tickets, or ticket stubs, were lost or stolen after they were sold, the licensed charitable organization must advertise in the market area that tickets with the affected ticket numbers were lost or stolen and will not form part of the draw, and anyone holding such a ticket should contact the licensed charitable organization so that either another ticket can be issued or a refund provided.
- 9.2.5 Where gross raffle revenue or proceeds are missing due to suspected theft or fraud, the licensed charitable organization must not initiate any civil action against, or enter into any repayment agreements or other agreements with persons suspected of being responsible for the missing revenue or proceeds.

Section 10: Gaming Supplier, Gaming Worker Supplier, and Raffle Worker

10.1 – Gaming Supplier and Gaming Worker Supplier Registration

- 10.1.1 In this section an “applicant” means an individual, corporation or other entity applying for a registration.
- 10.1.2 In this section an “applicant’s associates” means an individual, corporation or other entity that has a financial interest in the applicant or in the applicant’s business.
- 10.1.3 Eligibility to hold a gaming supplier or gaming worker supplier registration is subject to a background check conducted on the applicant, the applicant’s associates and any key employees (see Subsection 10.1.6) of the applicant as defined by AGLC pursuant to section 9 and 9.1 of the Gaming, Liquor and Cannabis Regulation (GLCR).
- 10.1.4 The background check is to ensure criminal interests, or those who otherwise would be a detriment to the integrity or lawful conduct of gaming in the province, are prevented from operating, having a financial interest in or having an association with the applicant.
- 10.1.5 The Registration Application Package for a gaming supplier and a gaming worker supplier consists of the following:
- Applicant Disclosure (Form 5553);
 - Associated Applicant Disclosure (Form 5554);
 - Personal Applicant Disclosure (Form 5561); and
 - \$10,000 deposit or another specified amount to cover the cost of the background checks pursuant to section 28 of the GLCR.
- 10.1.6 In this section an applicant’s key employees include an individual(s) that exercises influence or control over day to day operations or decision making, and an individual(s) who has the authority to hire or terminate employment; these include, but are not limited to:
- individuals employed in senior management positions such as CEO, CFO, controller and senior compliance officers;
 - a person holding a position specified by AGLC as related to the business ; and
 - any other person holding a key position as determined by AGLC.
- 10.1.7 Pursuant to section 10(1) of the GLCR, the Board may refuse to register an applicant if the applicant, any of the applicant’s employees or associates or any other person with connections to the applicant, fails to pass a records check.

- 10.1.8 Pursuant to section 10(2) of the GLCR, a person does not pass a records check if the person:
(Amended Dec 2018)
- a) has at any time been charged with or convicted of:
 - i. an offence under the *Criminal Code* (Canada), the *Excise Act* (Canada), the *Food and Drug Act* (Canada) or the *Income Tax Act* (Canada);
 - ii. an offence under the *Controlled Drugs and Substances Act* (Canada), other than under section 4(1) of that Act for possession of any substance included in Schedule II to that Act; or
 - iii. an offence under a foreign Act or regulation that, in the Board's opinion, is substantially similar to an offence referred to in subclause (i) or ii);and, in the Board's opinion, the offence is sufficiently serious that it may detract from the integrity with which gaming activities or provincial lotteries are to be conducted in Alberta,
or
 - b) has, within the five years prior to the submission of the application, been serving a term of imprisonment of three or more years.
- 10.1.9 Pursuant to section 11 of the GLCR, the Board may refuse to register an applicant if the Board is satisfied the applicant has within the five years prior to the submission of the application contravened:
- a) the *Gaming, Liquor and Cannabis Act* or Gaming, Liquor and Cannabis Regulation;
 - b) a predecessor of the *Gaming, Liquor and Cannabis Act* or Gaming, Liquor and Cannabis Regulation; or
 - c) a condition imposed on a registration issued or made under the *Gaming, Liquor and Cannabis Act* or a predecessor of the Act.
- 10.1.10 Pursuant to section 13 of the GLCR, the Board may refuse to register an applicant if the Board is satisfied the applicant, any of the applicant's employees or associates or any other person with connections to the applicant:
- a) is a person who has not acted or may not act in accordance with the law, with honesty and integrity or in the public interest, having regard to the past conduct of the person;
 - b) would be a detriment to the integrity or lawful conduct of gaming activities or provincial lotteries; or
 - c) is a person whose background, reputation and associations may result in adverse publicity for the gaming industry in Alberta.
- 10.1.11 A registrant must notify AGLC immediately when charged with or convicted of an offence under:
(Amended Dec 2018)
- a) the *Criminal Code* (Canada);
 - b) the *Excise Act* (Canada);
 - c) the *Food and Drug Act* (Canada);
 - d) the *Income Tax Act* (Canada);
 - e) the *Controlled Drugs and Substances Act* (Canada);
 - f) a foreign Act or Regulation that is substantially similar to an offence referred to in clause a), b), c), d) or e) above;
 - g) the *Gaming, Liquor and Cannabis Act* (Alberta); or
 - h) the Gaming, Liquor and Cannabis Regulation (Alberta).

- 10.1.12 Any changes to the personal information of a registrant (for example, address or surname) must be reported immediately in writing, by fax to 780-447-8911 or by e-mail at gaming.registrations@aglc.ca or by telephoning AGLC's Registration clerk at 780-447-8835.
- 10.1.13 Registration may only be renewed by re-applying. When re-applying, applicants that are individuals are not required to provide a birth certificate. If approved, the original registration number will continue to be used.
- 10.1.14 If a registrant has misled the Board, failed to provide information or provided inaccurate information, the Board may take disciplinary action including, but not limited to, suspension or cancellation of the registration.
- 10.1.15 Registered gaming suppliers and registered gaming worker suppliers, while providing gaming supplies or gaming workers to assist a licensed charitable organization in its conduct and management of a raffle, must ensure that they and the supplies or gaming workers that they provide comply with the *Gaming, Liquor and Cannabis Act*, the Gaming, Liquor and Cannabis Regulation, Board policies (including the Electronic Raffle Handbook and the Electronic Raffles Standards Document) and the terms and conditions of registration. Failure to do so may result in disciplinary action up to and including the suspension or cancellation of the registration.
- 10.1.16 Registered gaming worker suppliers and gaming suppliers must:
- ensure their registration is current with AGLC;
 - maintain the integrity of gaming; and
 - notify AGLC immediately of any conduct, activity or incident that may contravene or contravenes the *Criminal Code of Canada*, the *Gaming, Liquor and Cannabis Act*, the Gaming, Liquor and Cannabis Regulation or Board policies including this Electronic Raffle Handbook and the Electronic Raffle Standards Document (ERSD).
- 10.1.17 Where a licensed charitable organization engages a gaming supplier or gaming worker supplier, the gaming supplier or gaming worker supplier assumes joint responsibility with the licensed charitable organization for ensuring all contracted services are in compliance with Board policies, including the Electronic Raffle Handbook and the Electronic Raffles Standards Document. Board policies are conditions of the gaming supplier or gaming worker supplier registration. The gaming supplier or gaming worker supplier is responsible and accountable for all subcontracted services.

10.2 – Raffle Worker Registration and Requirements

- 10.2.1 As defined in Section 1 of this handbook:
- “raffle worker” means the class of registration for a person who is paid to perform a function specified in the person’s registration in respect of a raffle, as either an electronic raffle system administrator or a raffle ticket manager, where the authorized total ticket value (TTV) exceeds \$20,000. *(Amended Dec 2018)*
 - “electronic raffle system administrator” (or ERS administrator) means a volunteer or paid person who manages the operation of the ERS hardware and software. Where the

authorized total ticket value (TTV) of the raffle exceeds \$20,000, a paid ERS administrator must be registered with AGLC as a raffle worker in order to perform this function. *(Amended Dec 2018)*

- c) “raffle ticket manager” (or RTM) means a person who is paid to manage a raffle. Where the authorized total ticket value (TTV) of the raffle exceeds \$20,000, a paid raffle ticket manager must be registered with AGLC as a raffle worker in order to perform this function. *(Amended Dec 2018)*

10.2.2 In this section, an “applicant” means an individual applying for registration as a raffle worker. *(Amended Dec 2018)*

10.2.3 Only individuals are eligible to be registered as RTMs or ERS administrators. Businesses or companies may not be registered as either a RTM or an ERS administrator. *(Added Dec 2018)*

10.2.4 To be eligible to be registered to perform the duties of a raffle ticket manager or an ERS administrator, the applicant must:

- a) be at least 18 years of age; and
- b) be a Canadian citizen or a landed immigrant, or a citizen of a foreign country who has received a work visa from federal authorities to work in a paid position as either a raffle ticket manager or an ERS administrator. The appropriate documents from federal authorities must be provided as part of the registration process.

10.2.5 Any individual being paid to manage an electronic raffle where the authorized TTV exceeds \$20,000 must hold a valid raffle worker registration for the raffle ticket manager function prior to working in this position. An individual being paid to manage an electronic raffle where the authorized TTV is \$20,000 or less does not require AGLC registration. *(Amended Dec 2018)*

10.2.6 Eligibility to hold a raffle worker RTM registration is subject to a background check conducted on the applicant pursuant to section 9 of the GLCR. *(Amended Dec 2018)*

10.2.7 The Registration Application Package for an RTM consists of the following:

- a) Personal Applicant Disclosure (Form 5561); and
- b) \$1,500 deposit or another specified amount to cover the cost of the background checks pursuant to section 28 of the GLCR.

10.2.8 Additional policies applicable to the raffle worker RTM registration and background checks are located at Subsections 10.1.6 to 10.1.14 in this handbook. *(Amended Dec 2018)*

10.2.9 Any individual being paid to manage the operation of the ERS hardware and software where the authorized TTV exceeds \$20,000 must hold a valid raffle worker registration for the ERS administrator function prior to working in this position. An individual being paid to manage the operation of the ERS hardware and software where the authorized TTV is \$20,000 or less does not require AGLC registration. *(Amended Dec 2018)*

10.2.10 The Registration Application Package for an ERS administrator consists of the following: *(Amended Dec 2018)*

- a) Registration Application for Gaming Worker – Electronic Raffle System Administrator (Form RS/GAM 5637); and
- b) a criminal record check (dated within the last three months of the application).

10.2.11 Additional policies applicable to the raffle worker ERS administrator registration (paid position) are located at Subsection 2.5.2 b) in this handbook. *(Amended Dec 2018)*

- 10.2.12 Applications for registration as a raffle worker (which includes RTMs and ERS administrators) may be obtained from AGLC: *(Amended Dec 2018)*
- a) on AGLC's [website](#); or
 - b) by calling AGLC the following numbers during regular business hours:
780-447-8600 or toll free at 1-800-272-8876.
- 10.2.13 Raffle ticket managers and ERS administrators, while providing services to assist a licensed charitable organization in its conduct and management of a raffle, must ensure that they and the services they provide comply with the *Gaming, Liquor and Cannabis Act*, the Gaming, Liquor and Cannabis Regulation, Board policies (including the Electronic Raffle Handbook and the Electronic Raffles Standards Document) and the terms and conditions of registration. Failure to do so may result in disciplinary action up to and including the suspension or cancellation of the registration.
(Amended Dec 2018)
- 10.2.14 Raffle workers (RTMs and ERS administrators) must: *(Amended Dec 2018)*
- a) ensure their registration is current with AGLC;
 - b) maintain the integrity of gaming; and
 - c) notify AGLC immediately of any conduct, activity or incident that may contravene or contravenes the *Criminal Code of Canada*, the *Gaming, Liquor and Cannabis Act*, the Gaming, Liquor and Cannabis Regulation or Board policies including this Electronic Raffle Handbook and the Electronic Raffle Standards Document (ERSD).
- 10.2.15 Where a licensed charitable organization engages the services of a raffle ticket manager pursuant to a raffle management contract, the raffle ticket manager assumes joint responsibility with the licensed charitable organization for ensuring all contracted services are in compliance with Board policies, including the Electronic Raffle Handbook and the Electronic Raffle Standards Document (ERSD). Board policies are conditions of the raffle ticket manager registration. The raffle ticket manager is responsible and accountable for all subcontracted services.
- 10.2.16 A raffle ticket manager's fees for service plus the applicable GST cannot exceed five per cent of the gross raffle revenue (also see Subsection 2.3.2).
- 10.2.17 The raffle management contract must specify all services provided by and fees paid to the raffle ticket manager as well as include a business plan for the raffle. The raffle ticket manager must provide the licensed charitable organization with a monthly summary of all income and expenses relating to the raffle, as required by the licensed charitable organization.
- 10.2.18 A draft copy of the raffle management contract must be provided with the raffle application for review by AGLC. A final copy must also be submitted once the contract is ratified and signed.
- 10.2.19 RTMs and ERS administrators, their employees, and members of their immediate family (a spouse, parent, son, daughter, brother, sister, or the spouse of any of these individuals) are not eligible to purchase raffle tickets or receive raffle prizes for raffles the raffle ticket manager is contracted to manage.

Section 11: Cancellation Procedures

11.1 – Cancellation of a Raffle

- 11.1.1 A charitable organization wishing to cancel a raffle must submit a written request to AGLC stating:
- reasons for the cancellation;
 - confirmation of the number of tickets that have been sold;
 - total cash received from ticket sales; and
 - total expenses incurred up to the date of the request for cancellation.
- 11.1.2 If cancellation of the raffle is approved, the charitable organization must publically advertise that the raffle has been cancelled and that the ticket price will be refunded. Approval for cancellation will not normally be granted if the raffle has reached the break-even point or if any draws have already taken place or prizes awarded (with the exception of electronic bearer ticket raffles).
- 11.1.3 The charitable organization must refund the total ticket price to all ticket buyers. The charitable organization must be able to demonstrate a reasonable effort to provide refunds to all ticket buyers. Ticket buyers may choose to donate the cost of the ticket to the charitable organization. Proceeds not refunded must be documented, retained in the authorized bank account, and spent in accordance with the charitable organization's approved use of proceeds.
- 11.1.4 The charitable organization must send a letter to AGLC signed by two executive members stating that all refunds have been made within three months of the raffle cancellation.
- 11.1.5 The charitable organization will be required to provide additional reporting, including but not limited to, bank statements and negotiated cheque images that identify refunds clearing the charitable organization's raffle account.
- 11.1.6 AGLC will refund licence fees for a cancelled raffle upon receipt of all required information.

Section 12: Reports & Records

12.1 – Financial Reports

- 12.1.1 Licensed charitable organizations are required to complete financial reports regarding the revenues, expenses, and proceeds generated during their raffle event(s). For this purpose, licensed charitable organizations will receive the required financial report forms to complete from AGLC. The requirements in this regard are as follows:
- financial reports are mailed after the end date of the licensed charitable organization's raffle licence; and
 - supplementary financial reports are required every 12 months until proceeds are spent or a new licence is issued.
- 12.1.2 Licensed charitable organizations must complete the financial report and submit the report within 60 days from the mail-out date, along with the supporting documents as indicated in the financial report.
- 12.1.3 Licensed charitable organizations have the option of hiring a Chartered Professional Accountant (CPA) to prepare raffle financial reports. Proceeds may be used to pay the expenses related to preparing these reports if performed by a CPA in good standing.
- 12.1.4 Proceeds may not be used to pay for the preparation of financial reports other than raffle financial reports.
- 12.1.5 For more information regarding financial reports, consult the Charitable Gaming Policies Handbook or contact the Financial Review Section of AGLC by e-mail at financial.review@aglc.ca or by telephone at 780-447-8600 or toll free at 1-800-272-8876 during regular business hours.

12.2 – Raffle Records

- 12.2.1 The charitable organization must establish a separate raffle bank account. All raffle revenue must be deposited to the raffle account established for that raffle and all expenses must be paid from the same account. All payments for approved expenses (see Section 2.3) from the raffle account must be made by cheque and signed by two current members of the charitable organization's executive. If the licensed charitable organization conducts more than one raffle licence simultaneously, a separate bank account must be opened for each raffle licence and may not be used for another raffle licence within a 12 month period. See Section 2.4 for additional policies respecting the use of proceeds.
- 12.2.2 Licensed charitable organizations, ERS administrators and registered raffle ticket managers and their employees are responsible for ensuring that AGLC inspectors have access to all records. AGLC inspectors may copy or temporarily remove records at their discretion. Inspectors and officials of AGLC must provide a receipt for any items removed at the time of removal or as soon as possible after their removal.

- 12.2.3 The licensed charitable organization must keep a ticket number record for the raffle. The record must show the distribution of tickets, payments, and unsold tickets. It should show enough detail to account for all sold tickets, payments, unsold tickets, and to reconcile totals at the conclusion of the raffle.
- 12.2.4 All raffle records must be kept for two years after the last draw. These records include, but are not limited to:
- a) bank statements;
 - b) cancelled cheques / digital image cheques (front and back);
 - c) invoices/receipts;
 - d) ticket inventory control records;
 - e) list of prize winners;
 - f) all unsold tickets, if applicable;
 - g) all ticket stubs of sold tickets or electronic entries;
 - h) letter of agreement with a commercial outlet (if applicable);
 - i) contract with registered raffle ticket manager (if applicable);
 - j) letter of understanding or memorandum of agreement with other charitable organizations (if applicable);
 - k) audio-visual recording of the ticket draw;
 - l) prize vehicle appraisals (if applicable) and
 - m) prize vehicle transportation logs (if applicable).
- 12.2.5 After a raffle has concluded, the licensed charitable organization must provide the following ERS reports to AGLC upon request:
- a) Raffle Drawing Report including the following information:
 - i. date and time of event;
 - ii. date and time of the start and finish of sales;
 - iii. licensee identification;
 - iv. sales information (sales totals, refunds, voids, reprints, and sales by price point);
 - v. prize(s) awarded to winning participant(s);
 - vi. refund totals by event;
 - vii. ticket numbers-in-play;
 - viii. winning number(s) drawn; and
 - ix. other reports as requested by AGLC.
 - b) Error/Exception Report - A report outlining system exception information including, but not limited to, changes to system parameters, corrections, overrides, and voids. All error/exception reports should include date and time stamp of the event(s).
 - c) Ticket Report - A report which includes a list of all tickets sold, including all associated ticket numbers, selling price, and RSU identifier.
 - d) Sales by RSU - A report including the breakdown of each RSU's total sales (including ticket numbers sold) and any voided and misprinted tickets.
 - e) Sales online - A report including a breakdown of online sales, including ticket numbers issued and any voided or faulty tickets or reissue requests.
 - f) Voided Ticket Number Report - A report which lists all ticket numbers that have been voided.
 - g) RSU Event Log - A report listing all events recorded for each RSU, including the date and time, and a brief text description of the event and/or identifying code.

- h) RSU Corruption Log - A report listing all RSUs that are unable to be reconciled to the system, including the RSU identifier, RSU operator, and the money collected.
- i) Online Corruption Log - A report listing all online transactions that were unable to be reconciled to the system.

12.3 – Audit Requirements

12.3.1 The books and records of licensed charitable organizations are subject to review and/or audit by AGLC and must be maintained in a manner acceptable to AGLC.

12.3.2 The areas normally subject to audit will include, but are not limited to:

- a) books of original entry (including computerized records);
- b) invoices;
- c) bank statements and cancelled cheques / digital image cheques (front and back);
- d) inventory control forms;
- e) contracts, agreements or similar documents;
- f) Income Tax and Goods and Services Tax returns;
- g) minutes of annual general meetings, and meetings of general membership, board and executive;
- h) external accountant's/auditor's working paper files;
- i) business and financial records (as outlined above) of any entity (including but not limited to societies, non-profit organizations, associations, community leagues, corporations, partnerships, limited partnerships, joint ventures, proprietorships, etc.) which is related to the licensed charitable organization and/or an executive or board member of the licensed charitable organization that is in receipt of any of the licensed charitable organization's gaming proceeds either directly, indirectly or through a series of transactions; and
- j) all reports and records specified in Subsections 12.2.4 and 12.2.5.