

# ELECTRONIC RAFFLE HANDBOOK

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DATE ISSUED:

\_\_\_\_\_ May 25, 2020 \_\_\_\_\_

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DATE ISSUED: May 25, 2020AUTHORITY: Original signed by  
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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. Licensed charitable organizations using electronic components must comply with the policies included in this handbook and the Electronic Raffle Standards Document.

Policies governing paper raffles may be found in the [Raffle Terms & Conditions Total Ticket Value More Than \\$20,000](#) or the [Raffle Terms & Conditions Total Ticket Value \\$20,000 and Less](#). Licensed charitable organizations conducting a raffle using electronic components with a paper ticket draw must follow the Draw Procedures section in the appropriate Raffle Terms & Conditions.

DATE ISSUED:

\_\_\_\_\_  
May 25, 2020

AUTHORITY:

\_\_\_\_\_  
Original signed by  
Len Rhodes

**SECTION: 1. GENERAL INFORMATION****1.1 DEFINITIONS****1.1.1** In this handbook:

- a) “Advertising” refers to the use of media (e.g., newspapers, magazines, radio, television, signage, and internet including email messaging and social media) to communicate a message to a wider audience.
- b) “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.
- c) “AGLC” means Alberta Gaming, Liquor & Cannabis.
- d) “Background check” means a background investigation intended to determine the eligibility of an applicant, licensee, or registrant to ensure integrity and the lawful conduct of gaming.
- e) “Biometrics” means a biological identification input, such as fingerprints or retina patterns.
- f) “Bearer ticket” means a consecutively-numbered ticket without the ticket purchaser’s name, address, or telephone number.
- g) “Board” means the board of AGLC.
- h) “Bona fide member” means an individual who is named in the official records of the charitable organization as a current member in good standing of the charitable organization.
- i) “Charitable Gaming Policies Handbook” (or CGPH) means the set of AGLC policies, policy standards, and procedures that apply to charitable gaming licensing eligibility and use of gaming proceeds.
- j) “Discount tickets” means multiple ticket sold as a package at a price per ticket that is lower than the price charged for a single ticket (e.g., a single ticket for \$2 or three tickets for \$5).
- k) “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 illegal activity while conducting a raffle.
- l) “Draw” means the approved random selection process by which a winner is determined.

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May 25, 2020

AUTHORITY:

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- m) “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.
- n) “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.
- o) “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.
- p) “Electronic raffle equipment” means electronic hardware and software used in the conduct of an electronic raffle.
- q) “Electronic Raffle Standards Document” (or ERSD) means AGLC’s technical equipment and software standards that all electronic raffle system components must meet.
- r) “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.
- s) “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.
- t) “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.
- u) “Expense” means an AGLC approved direct cost incurred by a licensed charitable organization to conduct a raffle.
- v) “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.
- w) “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 the conduct and management of its raffle.

DATE ISSUED:	May 25, 2020	AUTHORITY:	Original signed by Len Rhodes
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- x) “Generic accounts” means a shared user or role account that can be used by more than one person.
- y) “Gross raffle revenue” means the total of all funds raised from the sale of raffle tickets.
- z) “Joint venture raffle” means a contractual agreement between two or more eligible licensed charitable organizations to conduct a raffle event jointly.
- aa) “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 gaming events.
- bb) “Licensed charitable organization” means a charitable or religious organization or the board of a fair or exhibition holding a valid raffle licence issued by AGLC.
- cc) “Manufacturer’s suggested retail price” (or MSRP) means the cost a manufacturer assigns a product for sale by retailers.
- dd) “Member of the public” means a member of the population who has no role in the conduct and management of the raffle and is not a member of the licensed charitable organization.
- ee) “Minor” means a person under the age of 18 years.
- ff) “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.
- gg) “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.
- hh) “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.
- ii) “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 purchaser. The licensed charitable organization does not handle the ticket order(s) prior to providing the raffle ticket to the purchaser.

DATE ISSUED:

May 25, 2020

AUTHORITY:

Original signed by  
Len Rhodes

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- jj) "PCI" means Payment Card Industry.
- kk) "Percentage draw" means a bearer ticket raffle where the cash prize is a percentage of the gross raffle revenue (e.g., 50/50 or 60/40).
- ll) "PIN" means Personal Identification Number, an identifying number used in the process of authenticating an individual.
- mm) "Prize" means cash, merchandise, or another item of value awarded to the winning ticket purchaser.
- nn) "Proceeds" means gross raffle revenue less the cost of the raffle prize(s) and AGLC approved expenses.
- oo) "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.
- pp) "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.
- qq) "Raffle" means a lottery scheme where tickets are sold for a random chance of winning a prize at a draw.
- rr) "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 RTM must be registered with AGLC as a raffle worker in order to perform this function.
- ss) "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 an RTM, where the authorized total ticket value exceeds \$20,000.
- tt) "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.
- uu) "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.
- vv) "Ticket" means a paper or electronic record provided to a ticket purchaser for an electronic bearer ticket raffle or an electronic traditional ticket raffle.

DATE ISSUED:

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- ww) “Ticket number” means a uniquely identifiable number that is provided to the purchaser for each draw entry purchased, and which is eligible to be selected as the winning number for a raffle.
- xx) “Ticket stub” means a paper or electronic entry containing a ticket number matching that of a purchased ticket which will be used to conduct a draw (includes a counterfoil).
- yy) “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 three for \$5, equals a total ticket value of \$100,000 [(25,000 x \$2) + ((30,000/3) x \$5) = \$100,000].

**1.2 GUIDING PRINCIPLES OF GAMING**

1.2.1 The guiding principles adopted by AGLC’s Board for gaming are as follows:

- a) The integrity of gaming is paramount.
- b) Gambling policies will reflect a commitment to social responsibility.
- c) Gaming policies reflect the views and priorities of Albertans.
- d) Albertans and their communities are the primary beneficiaries of gaming.
- e) Access to charitable gaming revenue is fair and equitable and reflects charitable organizations’ financial needs to deliver programs to Albertans.
- f) Gaming activities will provide gaming entertainment value to consumers.
- g) The generation and use of gaming revenue is transparent to Albertans.

**1.3 LEGISLATION AND LICENCE REQUIREMENTS**

1.3.1 Licensed charitable organizations eligible to conduct a raffle on or through a computer must comply with policies in this handbook, all Board policies, and the following:

- a) *Criminal Code* (Canada);
- b) *Gaming, Liquor and Cannabis Act* (Alberta);
- c) *Gaming, Liquor and Cannabis Regulation* (Alberta);
- d) Raffle Terms & Conditions Total Ticket Value More Than \$20,000;

DATE ISSUED:

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AUTHORITY:

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- e) Raffle Terms & 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.

1.3.2 Conduct and management of a raffle is the responsibility of the licensed charitable organization. The licensed charitable organization must ensure administrative, operational, and financial governance over all activities related to the raffle and must not delegate the conduct and management of a raffle to 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**

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

DATE ISSUED:	May 25, 2020	AUTHORITY:	Original signed by Len Rhodes
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- 1.4.3 Licensed 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, and the Raffle Terms & Conditions Total Ticket Value \$20,000 and Less, including policies respecting online ticket ordering.
- 1.4.4 Licensed 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 Licensed 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**

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

DATE ISSUED:	May 25, 2020	AUTHORITY:	Original signed by Len Rhodes
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- 1.4.8 Licensed 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 Licensed 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 Licensed 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 Licensed 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, and the Raffle Terms & Conditions Total Ticket Value \$20,000 and Less.

DATE ISSUED:

\_\_\_\_\_  
May 25, 2020

AUTHORITY:

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Original signed by  
Len Rhodes

**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:
  - a) the secure storage, distribution, and return of ticket inventory (if using paper tickets);
  - b) the secure storage of ticket stubs or electronic entries from sold tickets; and
  - c) the secure receipt and deposit of ticket revenue.
- 2.1.4 Licensed charitable organizations must not require members to purchase or sell raffle tickets as a condition of membership or continued participation in the programs or services the licensed charitable organization offers.
- 2.1.5 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.
- 2.1.6 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.
- 2.1.7 Non-compliance with federal, provincial, or municipal laws or Board policies may result in disciplinary action such as fine, suspension of gaming licence, revocation of gaming licence, repayment, and/or a directive to donate remaining gaming proceeds to other eligible charitable organizations.
- 2.1.8 Technical malfunctions, service interruptions, system changes, or other equipment problems must be immediately reported to AGLC by calling 1-800-742-7818.
- 2.1.9 Pursuant to Section 14 of the Western Canada Lottery Agreement, AGLC may “not licence 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”.
- 2.1.10 The maximum total ticket value of any raffle is \$20 million.
- 2.1.11 Prior to issuing a licence, AGLC may restrict the total prize value of the raffle.

DATE ISSUED:	_____ May 25, 2020 _____	AUTHORITY:	_____ Original signed by Len Rhodes _____
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- 2.1.12 Changes to a licence may only be made through an amendment approved by AGLC. Requests for approval to amend a licence must be signed by two executive officers of the licensed charitable organization and submitted in writing to AGLC. If the approved amendments affect the awarding of prizes, the licensed charitable organization must:
- a) advise ticket holders by way of advertising; and
  - b) amend unsold tickets.
- 2.1.13 Each licensed charitable organization involved in a joint venture raffle must:
- a) be eligible for a licence;
  - b) be licensed by AGLC;
  - c) share responsibility for the costs/liabilities of the raffle; and
  - d) complete a Joint Venture Agreement specifying the liabilities and distribution of revenues and submit a copy to AGLC.
- 2.1.14 Licensed charitable organizations must ensure their raffle events are conducted and managed entirely within the province of Alberta.
- 2.1.15 A licensed charitable organization must not transfer or assign its raffle licence.
- 2.1.16 A licensed charitable organization may not sell more than the number of tickets approved in the licence or its approved amendment.
- 2.1.17 A licensed charitable organization must sell tickets only at the price(s) indicated and approved in the licence application.
- 2.1.18 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.
- 2.1.19 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 licensed 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).

DATE ISSUED:	May 25, 2020	AUTHORITY:	Original signed by Len Rhodes
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- 2.1.20 The licensed charitable organization must establish a separate raffle bank account. If more than one raffle licence is conducted simultaneously, a separate bank account must be opened for each raffle licence. 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 from the raffle account must be made in accordance with approved methods of payment outlined in Section 4.4 of the Charitable Gaming Policies Handbook.
- 2.1.21 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.
- 2.1.22 The period for a raffle licence must not exceed two years.
- 2.1.23 All raffles may be monitored by an AGLC inspector.

**2.2 RAFFLE RULES**

- 2.2.1 Licensed charitable organizations must establish and maintain rules to govern the conduct of the raffle. Rules must comply with AGLC policy and must be made available upon request.
- 2.2.2 At a minimum, raffle rules must include:
- a) ticket purchasers must be 18 years of age or older, and the name of a minor must not be written on the ticket;
  - b) any persons prohibited from purchasing tickets (e.g., licensed charitable organization members, raffle ticket managers, consultants, their immediate family members, etc.);
  - c) minimum number of tickets that must be sold before requesting a draw date extension or a cancellation of the raffle. A draw date extension or a cancellation may not be approved if the breakeven point is passed (i.e., if enough tickets are sold to cover prize costs and expenses);
  - d) date and exact location of the draw(s) and that the draw(s) is open to the public;
  - e) draw procedures and, if applicable, a statement acknowledging that some winning tickets may be eligible for more draws of that raffle;
  - f) 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;
  - g) cash alternatives for any of the prizes;

DATE ISSUED:

May 25, 2020

AUTHORITY:

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Len Rhodes

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- h) requirements or restrictions to prize claims (e.g., when prize trips must be taken, when prizes must be claimed, which products may be purchased with gift certificates, or any prize delivery transportation costs that are the responsibility of the prize winner, etc.);
- i) condition of prizes (e.g., new, used, requiring repair, etc.);
- j) procedure if a winner cannot be contacted within the time limit for claiming a prize;
- k) procedure if a ticket purchaser requests to cancel a raffle ticket for a refund;
- l) procedure for power failures;
- m) if more than one name is written on a winning ticket stub, that the prize will be awarded to only one of the individuals named on the ticket stub. Neither the licensed charitable organization nor AGLC is responsible for any disputes among the individuals whose names are written on the ticket stub; and
- n) contact name and telephone number in the event of a complaint or dispute.

2.2.3 In addition to the raffle rules under Subsection 2.2.2, licensed charitable organizations conducting a bearer ticket raffle must also include:

- a) date and time of the draw(s);
- b) purchase price of each ticket;
- c) value of prize(s) (i.e., MSRP or, if a percentage draw, the actual percentage of the gross raffle revenue to be awarded as a prize);
- d) the method by which the draw(s) will be announced, and the location of the announcement;
- e) number of tickets printed for the licence;
- f) method of prize payment;
- g) time limit for the purchaser of the winning ticket to claim a prize (the winner(s) must have a minimum of 10 minutes and up to, but no more than, 30 days to claim the prize); and
- h) procedure for identifying an alternate prize winner if a winner cannot be contacted within the time limit for claiming a prize.

DATE ISSUED:

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May 25, 2020

AUTHORITY:

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**SECTION: 2. REQUIREMENTS FOR TRADITIONAL & BEARER TICKET RAFFLES****2.3 EXPENSES**

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

- a) raffle licence fee;
- b) electronic raffle system;
- c) ticket printing;
- d) advertising;
- e) registered raffle ticket manager (RTM) fee;
- f) electronic raffle system administrator fee;
- g) commercial outlet handling fee;
- h) commission paid to other charitable organizations to sell tickets;
- i) prize appraisal fee;
- j) food and refreshments consumed by volunteers during activities related to the raffle event; and
- k) other expenses related to the conduct and management of the raffle that have received prior approval (e.g., venue rental, camera rental, credit card charges, security and armoured services, bank charges/fees, postage expenses, etc.)

2.3.2 Expenses including applicable GST must not exceed 30 per cent of the approved total ticket value. Any expenses exceeding this limit must be paid from non-gaming funds. The following expenses are excluded from this 30 per cent calculation:

- a) raffle ticket manager fee; and
- b) commissions paid to other charitable organizations to sell tickets.

2.3.3 The RTM fee must be a fixed fee amount, including applicable GST, that does not exceed five per cent of the gross raffle revenue.

2.3.4 Ticket revenue may not be spent on raffle expenses and approved use of proceeds until 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 (i.e., funds that have not been generated from a gaming event). 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.

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**SECTION: 2. REQUIREMENTS FOR TRADITIONAL & BEARER TICKET RAFFLES****2.4 PROCEEDS**

- 2.4.1 The policies established by the Board for the use, disbursement, and retention of raffle proceeds are contained in the Charitable Gaming Policies Handbook which may be accessed at [aglc.ca](http://aglc.ca).
- 2.4.2 Raffle proceeds may be transferred to another gaming bank account, such as a consolidated, casino or bingo account, and must be spent on approved use of proceeds.
- 2.4.3 The licensed charitable organization is required to disburse all raffle proceeds within 24 months, which begins on the date of the last draw.
- 2.4.4 Gaming proceeds must not be used to cover gaming losses or expenses from other gaming licences unless approval is granted by AGLC.

**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.
- 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.

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- 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;

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- 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.

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**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:

- a) an electronic entry or paper ticket stub retained by the licensed charitable organization; and
- b) 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:

- a) name, address, and telephone number of the ticket purchaser as provided during the online purchase;
- b) raffle licence number;
- c) ticket number;
- d) issued date and time in 24 hour format showing hours and minutes; and
- e) an optional barcode.

3.1.4 Tickets sold may be provided to the purchaser either electronically or on paper. Sold tickets must include the following information, at minimum:

- a) name and address of the licensed charitable organization;
- b) raffle licence number;
- c) ticket number;
- d) ticket price;
- e) total number of tickets to be sold;
- f) issued date and time in 24 hour format showing hours and minutes;
- g) date and exact location of the draw(s);
- h) description and value of prize(s);
- i) prize restrictions (if applicable);
- j) cash alternatives (if applicable);
- k) notice that the ticket purchaser must be at least 18 years of age; and

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**SECTION: 3. ELECTRONIC TRADITIONAL TICKET RAFFLE REQUIREMENTS**

l) an optional barcode.

3.1.5 For each price category, discount tickets must have a separate number series on each ticket. For example, single tickets at \$2 each may be marked as Series A (ticket number) while tickets priced at three 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:

- a) expertise;
- b) requisite training; and
- c) access to technical support.

3.2.2 A copy of each ticket type (e.g., regular or discount prices) must be provided to AGLC, if requested.

3.2.3 If a licensed charitable organization conducts more than one raffle concurrently, ticket purchasers must be given the option of purchasing a ticket for only one of the raffle licences. Ticket purchasers must not be obligated to purchase tickets for multiple raffle licences.

3.2.4 Ticket purchasers must be given the option of purchasing single tickets. In addition to selling single tickets, the licensed charitable organization may also sell multiple tickets at a discounted price (e.g., three tickets for \$5).

3.2.5 It must be possible to easily distinguish discount tickets (those sold in multiples) in each price category.

3.2.6 When a series of draws occurs on a set schedule (e.g., cash calendar raffles), the following conditions apply:

- a) the ticket price may be reduced based on the percentage of prize value remaining (e.g., for a cash calendar raffle, the ticket price may be reduced by 1/12<sup>th</sup> each month);
- b) the licensed charitable organization must include the discount pricing procedure in the raffle rules; and
- c) at time of sale, each ticket must state the reduced price and the eligible draw date(s).

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3.2.7 Ticket sales must take place in 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 previous ticket purchaser list from previous raffles, and there are individuals on the list with addresses outside Alberta, a ticket application form must not be mailed or electronically transmitted to these individuals.

3.2.8 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 store or receive personal information of ticket purchasers must comply 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 must 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.

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- 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, licensed 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 licensed 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.

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- 3.5.3 The licensed 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 must make every reasonable effort to notify the prize winner(s).
- 3.6.2 The MSRP of all prizes, including cash alternatives, must be at least 20 per cent of the approved total ticket value. The MSRP 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 MSRP.
- 3.6.4 Cash alternatives to a prize must equal the prize value, or be fully disclosed at the time of application and stated in the raffle rules.
- 3.6.5 Licensed charitable organizations may be required to guarantee raffle prizes. If such a guarantee is required, the applicant must either:
  - a) submit written documentation confirming that a secondary raffle bank account has been established where all gross raffle revenue will be deposited until sufficient revenue is generated to secure all prizes;
  - b) provide evidence of sufficient funds in a non-gaming bank account to secure prizes;
 or

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- c) submit sales receipt documenting that all prizes have been paid in full.
- 3.6.6 Confirmation of the prize value (e.g., an invoice from the supplier) must be retained for all merchandise prizes with an MSRP greater than \$5,000 and for all travel prizes regardless of value.
- 3.6.7 When the MSRP of a merchandise prize exceeds \$5,000, and it is a unique prize (e.g., custom built vehicle), the licensed charitable organization must submit with its application two independent third party appraisals from qualified appraisers stating the appraised value.
- 3.6.8 Where restored or used vehicles are offered as prizes, the licensed charitable organization must submit with its application a certified vehicle inspection certificate indicating the vehicle is roadworthy. The licensed charitable organization must also submit two independent third-party appraisals from qualified appraisers stating the appraised value of the vehicle.
- 3.6.9 Where the prize is a vehicle, the licensed 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 awarded to the prize winner. The transportation log must be retained with the raffle records and be submitted to AGLC, if requested.
- 3.6.10 Where second hand merchandise, previously-used show home furniture, collectibles, or antiques are offered as prizes, the licensed charitable organization must submit with the application two independent, third party appraisals from qualified appraisers stating the appraised value of the prize merchandise.
- 3.6.11 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.
- 3.6.12 If the prize winner is under 18 years of age, and the prize has an MSRP of:
  - a) \$10,000 or less, 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. The Office of the Public Guardian and Trustee may be contacted toll free at 1-877-427-4525, in Edmonton at (780)427-2744, or in Calgary at (403)297-6541; or

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**SECTION: 3. ELECTRONIC TRADITIONAL TICKET RAFFLE REQUIREMENTS**

- b) more than \$10,000, the licensed charitable organization must deliver the prize to the Office of the Public Guardian and Trustee.
- 3.6.13 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.
- 3.6.14 Except for prizes described in Section 3.6.15, raffle winners have one year from the date of the draw to claim the prize. The licensed charitable organization must secure unclaimed prizes for a period of one year from the draw date. If the prize remains unclaimed after one year, the prize or cash equivalent to the MSRP of the prize must be donated to a charitable beneficiary approved by AGLC.
- 3.6.15 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 deadline for the prize winner to claim the prize. If the winner does not claim the prize within the specified time, an alternative prize must be provided. AGLC must approve the deadline and alternative prize(s) and both must be listed in the raffle rules.
- 3.6.16 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.)
- 3.6.17 The licensed charitable organization must submit a list of unclaimed prizes to AGLC with the Raffle Financial Report.

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**SECTION: 4. ELECTRONIC BEARER TICKET RAFFLE REQUIREMENTS**

**4.1 GENERAL**

4.1.1 Electronic bearer ticket raffles are allowed only under the following circumstances:

- a) ticket sales are limited to the time period surrounding a specific entertainment event;
- b) sales must occur at the venue in which the entertainment event takes place;
- c) tickets must be numbered consecutively;
- d) 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;
- e) 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;
- f) ticket and cash reconciliation must be completed in a secure location;
- g) the draw must be announced to the public and occur before the end of the entertainment event when ticket purchasers are likely to be present to claim the prize;
- h) after the draw of the winning ticket(s) is announced, the winner(s) must have a minimum of 10 minutes to claim the prize. The licensed charitable organization has the option to allow up to, but no more than, 30 days for the winner(s) to claim the prize; and
- i) a procedure must be specified in the 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.

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**SECTION: 4. ELECTRONIC BEARER TICKET RAFFLE REQUIREMENTS**

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 Ticket purchasers must be given the option of purchasing single bearer tickets. In addition to selling single tickets, the licensed charitable organization may also sell multiple tickets at a discounted price (e.g., three tickets for \$5).

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:

- a) an electronic entry, or paper ticket stub, that is retained by the licensed charitable organization for the purposes of the draw; and
- b) 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 licensed charitable organization and at a minimum include the following information:

- a) event location;
- b) raffle licence number;
- c) ticket number;
- d) issued date and time (in 24 hour format showing hours and minutes);
- e) bearer ticket price; and
- f) optional barcode.

4.3.3 The licensed charitable organization must provide the purchaser with a paper bearer ticket containing the following information:

- a) name of licensed charitable organization;

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- b) event location;
- c) issued date and time (in 24 hour format showing hours and minutes);
- d) RSU identifier from which the ticket was generated;
- e) bearer ticket price;
- f) ticket number(s);
- g) optional barcode; and
- h) 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 RAFFLE**

4.4.1 To ensure the overall integrity of licensed raffles, licensed 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 licensed charitable organization must ensure that the ERS:

- a) maintains ticket inventory control;
- b) provides management of voided tickets;
- c) provides the reconciliation of sold tickets;
- d) has the ability to set limits on the number of tickets that can be sold; and
- e) 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.

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**SECTION: 4. ELECTRONIC BEARER TICKET RAFFLE REQUIREMENTS****4.5 PRIZES – BEARER TICKET RAFFLE**

- 4.5.1 For bearer ticket draws, if a prize is not claimed by the specified deadline, the licensed charitable organization may carry over the prize total to a future draw on the same raffle licence. If the prize is not claimed on the last approved draw date of the licence period, the licensed charitable organization may, subject to AGLC approval:
- a) carry over the prize to a future raffle the licensed charitable organization conducts; or
  - b) donate the prize to a charitable beneficiary approved by AGLC.
- 4.5.2 For bearer ticket raffles:
- a) percentage draw prizes (e.g., 50/50) must be based solely on gross ticket sales and must be a minimum of 20 per cent of ticket sales (e.g., 20/80);
  - b) percentage draw prizes cannot be based on cash retained by ticket sellers or additional funds the licensed charitable organization or any other entity contributes to enhance the prize amount (i.e., seeding the pot); and
  - c) fixed value prizes (e.g., merchandise, cash, trips, etc.) must have a minimum MSRP value of 20 per cent of the total ticket value of the licence.
- 4.5.3 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.)
- 4.5.4 The licensed charitable organization must submit a list of unclaimed prizes to AGLC with the Raffle Financial Report.
- 4.5.5 For additional requirements regarding prizes for electronic bearer ticket raffles, also see Subsections 2.2.3 and 4.1.1.

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AUTHORITY:

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**SECTION: 5. ADVERTISING****5.1 RAFFLE ADVERTISING REQUIREMENTS**

- 5.1.1 It is the responsibility of the licensed charitable organization to ensure all forms of advertising are accurate, verifiable, and comply with the terms and conditions.
- 5.1.2 Licensed charitable organizations may use various forms of advertising including, but not limited to:
- a) radio;
  - b) television;
  - c) print (e.g., signage, newspapers, magazines); or
  - d) internet (e.g., email messaging and social media).
- 5.1.3 All forms of advertising must include the:
- a) name of the licensed charitable organization;
  - b) licence number;
  - c) date of the draw(s); and
  - d) notice that tickets must only be purchased or sold within Alberta.
- 5.1.4 In addition to the requirements listed above, print and internet advertising must include the:
- a) location of the draw(s);
  - b) description and manufacturer's suggested retail price (MSRP) of all prizes, or reference to a website where ticket purchasers may access information regarding all prizes;
  - c) cash alternative to prizes, if applicable;
  - d) total number of tickets printed; and
  - e) ticket price(s).
- 5.1.5 Licensed charitable organizations may advertise the odds of winning, provided:
- a) the method of calculating the odds is accurate and verifiable;
  - b) all advertising must clearly identify the category of prize to which it is referring (e.g., the odds of winning any prize or the odds of winning a gift basket);
  - c) if applicable, it is clearly disclosed if the odds of winning are dependent on the number of tickets sold; and

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d) information on the odds of winning is submitted to AGLC at the time application.

5.1.6 Ticket sales or raffle schemes must not be advertised or promoted to persons located outside Alberta.

5.1.7 Licensed charitable organizations that conduct more than one raffle concurrently must clearly advertise all raffle events as separate licences. Consecutive raffle licences may be advertised as a range of licence numbers (e.g., raffle licence #49110 to #49115).

5.1.8 All prizes must be advertised and awarded in accordance with the descriptions and MSRP values described in the raffle licence or in approved amendments to the licence.

5.1.9 If applicable, raffle advertisements must explicitly state that some tickets are 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.

5.1.10 Licensed charitable organizations are not required to advertise a list of prize winners. A list of the winner(s) must be kept with the raffle records and, if requested, the following must be provided at no cost to any ticket purchaser:

- a) name of the winner(s);
- b) winning ticket number(s); and
- c) prize(s) won.

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**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 and the Raffle Terms & Conditions Total Ticket Value \$20,000 and Less.
- 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 AGLC may approve draw date amendments if the licensed charitable organization can demonstrate extraordinary circumstances. If a draw date is amended and a ticket purchaser requests a ticket purchase refund, the licensed charitable organization must issue a full refund to the ticket purchaser.
- 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:
- a) expertise;
  - b) requisite training; and
  - c) 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 two executive members of the licensed charitable organization (or delegates) must be present to witness each draw. Contact information (name and telephone number) of both draw witnesses must be documented and maintained in the raffle records.
- 6.1.9 Licensed charitable organizations must create an audio-visual recording of all raffle ticket draw(s) with an approved total ticket value greater than \$20,000 and must 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 first time raffle ticket purchasers are prohibited. Early bird draws are permitted as long as all ticket purchasers, not just ticket purchasers of previous raffles, are eligible for the draw. Appreciation for previous support may be shown through early or advance advertising of the raffle to ticket purchasers of previous raffles.

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- 6.1.11 The electronic entry of each sold ticket must be entered into the draw, and must be eligible for each draw of non-identical prizes. The licensed charitable organization, if stated in its raffle rules, may exclude a winning entry from other draws for an identical prize. For example, if a raffle licence is offering 100 identical televisions as prizes, the licensed charitable organization may exclude the winning entry of one television prize winner from winning any further identical televisions. However, a winning ticket stub or electronic entry must be included in draws for other prizes.
- 6.1.12 AGLC may approve alternate draw procedures that vary from Subsection 6.1.11. Licensed charitable organizations must submit a detailed description of the alternate draw procedures with the raffle licence application, which must be approved prior to implementation. Examples of alternate draw procedures include separate draws for different prizes (i.e., ticket stubs or electronic entries placed in separate draws for non-identical prizes); or draws with a second element of chance where every ticket drawn is guaranteed a prize (i.e., a final prize draw is conducted with all the electronic entries drawn from preliminary draws, where the number of tickets in the final draw equals the number of available prizes).
- 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 licensed charitable organization 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 If a draw occurs and the licensed charitable organization later determines that not all eligible electronic entries were 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 three days of discovering not all eligible entries 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.

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**SECTION: 6. ELECTRONIC DRAWS**

6.1.18 If the licensed charitable organization determines that more than one eligible electronic entry with the same number was placed in the draw, the licensed charitable organization must notify AGLC immediately. An executive member of the licensed charitable organization must submit a Discrepancy Report within three business days of discovering that more than one entry with the same number was placed in the draw. The Discrepancy Report must specify the total number and serial number of the affected entries and an explanation for how the problem occurred. If a draw occurs, the licensed charitable organization must normally award another set of prizes equivalent to the original list of approved prizes for every entry with the same winning number.

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**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.

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**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 licensed 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, licensed 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. Licensed charitable organizations must indicate their intent to do so at the time of licence application.

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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 AGLC’s Regulatory Services Division 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-wide 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 licensed 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:

- a) be located and operated in a secure location within the province of Alberta;
- b) have controlled access with physical protection against unauthorized access; and
- c) 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:

- a) how tickets are allocated to sellers, sellers’ names and the name of the individual that allocates the tickets;
- b) 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;
- c) the number of sellers expected to work each event; and
- d) 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.

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**SECTION: 9. REMUNERATION AND GAMING IRREGULARITIES****9.1 REMUNERATION**

9.1.1 Other approved charitable organizations may be paid a commission to sell tickets, provided that:

- a) funds are used only for approved purposes in accordance with Sections 4 and 5 of the Charitable Gaming Policies Handbook;
- b) copies of the ticket selling contracts including proposed use of funds are submitted to AGLC with the raffle licence application; and
- c) if the approved charitable organization holds a gaming licence with AGLC, funds must be deposited into a gaming bank account.

9.1.2 Licensed charitable organizations may pay a commission or handling fee to a commercial outlet to sell tickets, provided that:

- a) the commission or handling fee plus applicable GST cannot exceed five per cent of the gross raffle revenue generated by the outlet;
- b) copies of ticket selling contracts which specify all services and fees provided must be submitted to AGLC with the raffle licence application; and
- c) signed copies of the ticket selling contracts must be submitted to AGLC.

**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/ticket stubs must be reported to AGLC immediately. A Discrepancy Report must be submitted to AGLC within three days of discovering the loss or theft of tickets/ticket stubs. The Discrepancy Report must specify:

- a) the total number and ticket numbers of the lost or stolen tickets/ticket stubs; and
- b) a detailed explanation of 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.

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**SECTION: 9. REMUNERATION AND GAMING IRREGULARITIES**

- 9.2.4 If the ticket stubs were lost or stolen after the tickets were sold, the licensed charitable organization must advertise in the market area that:
- a) tickets with the affected ticket numbers were lost or stolen and will not form part of the draw; and
  - b) anyone holding such a ticket should contact the licensed charitable organization so that another ticket can be issued or a refund provided.
- 9.2.5 Where gross raffle revenues 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. AGLC must be notified immediately.

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**SECTION: 10. GAMING SUPPLIERS, GAMING WORKER SUPPLIERS, AND RAFFLE WORKERS****10.1 GAMING SUPPLIER AND GAMING WORKER SUPPLIER REGISTRATION**

- 10.1.1 Registered gaming suppliers and registered gaming worker suppliers, while providing gaming supplies or gaming workers to assist a licensed charitable organization in the 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 (GLCA)*, the *Gaming, Liquor and Cannabis Regulation (GLCR)*, Board policies (including the *Electronic Raffle 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.
- 10.1.2 Registered gaming worker suppliers and gaming suppliers must:
- a) ensure registration with AGLC is current;
  - 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 GLCA, the GLCR, or Board policies (including the *Electronic Raffle Standards Document*).
- 10.1.3 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 comply with Board policies (including the *Electronic Raffle Standards Document*).
- 10.1.4 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. The background check ensures the integrity and lawful conduct of gaming.
- 10.1.5 The Registration Application Package for a gaming supplier and a gaming worker supplier consists of the following:
- a) Applicant Disclosure (Form 5553);
  - b) Associated Applicant Disclosure (Form 5554);
  - c) Personal Applicant Disclosure (Form 5561); and
  - d) deposit of a specified amount to cover the cost of the background checks.
- 10.1.6 A registrant must notify AGLC immediately after being charged with or convicted of an offence under:
- a) the *Criminal Code (Canada)*;

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- 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 GLCA; or
- h) the GLCR.

10.1.7 Any changes to the personal information of a registrant must be reported immediately to [gaming.registrations@aglc.ca](mailto:gaming.registrations@aglc.ca) or 1-800-272-8876.

10.1.8 Registration may be renewed only by re-applying. If approved, the original registration number will continue to be used.

10.1.9 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.

**10.2 RAFFLE WORKER REGISTRATION AND REQUIREMENTS**

10.2.1 RTMs and ERS administrators, while providing services to assist a licensed charitable organization in the conduct and management of a raffle, must ensure that they and the services they provide comply with the GLCA, the GLCR, Board policies (including the Electronic Raffle 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.

10.2.2 Raffle workers (RTMs and ERS administrators) must:

- a) ensure registration with AGLC is current;
- 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 GLCA, the GLCR or Board policies (including the Electronic Raffle Standards Document).

10.2.3 Only an individual is eligible to be registered as an RTM or ERS administrator. A business or company may not be registered as an RTM or an ERS administrator.

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- 10.2.4 To be eligible for registration to perform the duties of an RTM 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 an RTM or an ERS administrator. The appropriate documents from federal authorities must be provided as part of the registration process.
- 10.2.5 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 RTM is contracted to manage.

**ERS ADMINISTRATORS**

- 10.2.6 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.
- 10.2.7 The Registration Application Package for an ERS administrator consists of the following:
- 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).
- 10.2.8 Additional policies applicable to the raffle worker ERS administrator registration (paid position) are located at Subsection 2.5.2 b) in this handbook.

**RAFFLE TICKET MANAGERS**

- 10.2.9 An RTM is an individual that a licensed charitable organization may choose to hire to manage a raffle. Where the authorized total ticket value (TTV) of the raffle exceeds \$20,000, a paid RTM must be registered with AGLC in order to perform all or part of these duties. An individual being paid to manage a raffle where the authorized TTV is \$20,000 or less does not require AGLC registration.
- 10.2.10 Duties and responsibilities of an RTM may include, but are not limited to:
- a) preparation of the raffle:
    - i) draft budget;

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- ii) develop and organize prize structure;
  - iii) develop and implement marketing strategy;
  - iv) procure prizes; and
  - v) prepare documentation to obtain raffle licence including service agreements.
- b) coordination with the licensed charitable organization:
- i) negotiate contracts between vendors and the licensed charitable organization;
  - ii) attend key stakeholder meetings with, and on behalf of, the licensed charitable organization;
  - iii) receive and verify invoices from vendors and submit invoices to the licensed charitable organization for payment;
  - iv) monitor revenues and expenditures, and obtain prior approval from the licensed charitable organization for all expenses and changes to budget;
  - v) report on banking and accounting procedures; and
  - vi) assist in preparing proposed amendments to the licence, if required.
- c) raffle ticket processing:
- i) receive ticket orders by mail, telephone, online, and from vendor sales locations;
  - ii) process payments;
  - iii) issue tickets;
  - iv) enter ticket order data;
  - v) respond to customer service inquiries;
  - vi) prepare bank deposits for all payment methods;
  - vii) balance and reconcile deposits to bank statements and data entry reports;
  - viii) process refunds, if necessary; and
  - ix) reconcile and return sold ticket stubs and unsold ticket inventory to the licensed charitable organization.
- d) prize draw:
- i) assist the licensed charitable organization to organize and conduct the prize draw(s);

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- ii) ensure all processed ticket stubs are present in draw container;
    - iii) record prize draw(s);
    - iv) coordinate prize delivery; and
    - v) catalogue and store unclaimed prizes.
  - e) documentation and reports:
    - i) cooperate with AGLC inspectors by providing documents upon request;
    - ii) prepare raffle documents required for the licensed charitable organization (see Raffle Records); and
    - iii) assist the licensed charitable organization in preparing the financial report regarding revenues and expenses of the raffle event for submission to AGLC.
- 10.2.11 RTM fees for service including any applicable GST cannot exceed five per cent of the actual gross raffle revenue.
- 10.2.12 The raffle management contract must specify:
- a) all services provided by and fees paid to the RTM;
  - b) a business plan for the raffle; and
  - c) a schedule by which the RTM must provide updates required by the licensed charitable organization related to raffle revenue and expenses.
- 10.2.13 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.
- 10.2.14 Where a licensed charitable organization engages the services of an RTM pursuant to a raffle management contract, the RTM assumes joint responsibility with the licensed charitable organization for ensuring all contracted services comply with Board policies (including the Electronic Raffle Standards Document).
- 10.2.15 Eligibility to hold an RTM registration is subject to a background check conducted on the applicant. The background check ensures the integrity and lawful conduct of gaming.
- 10.2.16 The Registration Application Package for an RTM consists of the following:
- a) Personal Applicant Disclosure (Form 5561); and
  - b) deposit of a specified amount to cover the cost of the background check.

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**SECTION: 11. CANCELLATION PROCEDURES****11.1 CANCELLATION OF A RAFFLE**

- 11.1.1 Requests to cancel a raffle must be signed by two executive members of the licensed charitable organization and submitted in writing to AGLC stating:
- a) reasons for the cancellation;
  - b) confirmation of the number of tickets that have been sold;
  - c) total cash received from ticket sales; and
  - d) total expenses, including cost of prizes, incurred up to the date of the request for cancellation.
- 11.1.2 If the cancellation of a raffle is approved, the licensed charitable organization must publicly advertise that the raffle has been cancelled and that the ticket price will be refunded.
- 11.1.3 With the exception of electronic bearer ticket raffles, when determining if a cancellation request will be granted, AGLC will review if:
- a) the raffle has reached the break-even point;
  - b) any draws have already taken place; or
  - c) any prizes have been awarded.
- 11.1.4 The licensed charitable organization must refund the total ticket price to all ticket purchasers within three months of the raffle cancellation. The licensed charitable organization must demonstrate a reasonable effort to provide refunds to all ticket purchasers. Ticket purchasers may choose to donate the cost of the ticket to the licensed charitable organization. Proceeds that are not refunded must be documented, retained in a gaming bank account, and spent in accordance with the approved use of proceeds.
- 11.1.5 The licensed 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.
- 11.1.6 The licensed charitable organization must provide additional reporting, including but not limited to, copies of bank statements and cheque images that show refunds have cleared the raffle account.
- 11.1.7 AGLC will refund licence fees for a cancelled raffle upon receipt of all required information.

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**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, AGLC will send financial report forms to the licensed charitable organization. Yearly raffle reports will be required until the proceeds are spent or transferred to another gaming account.
- 12.1.2 Licensed charitable organizations must submit the completed financial report(s) 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 professional accountant to prepare raffle financial reports. Raffle proceeds may be used to pay for the preparation of these reports if prepared by a Chartered Professional Accountant (CPA) in good standing.
- 12.1.4 For more information regarding financial reports, consult the Charitable Gaming Policies Handbook or contact the Financial Review Section of AGLC by email at [financial.review@aglc.ca](mailto: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 Licensed charitable organizations, ERS administrators and registered raffle ticket managers, and their employees must ensure 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 the removal.
- 12.2.2 The licensed charitable organization must keep a record of all ticket numbers. The record must show the distribution of tickets, payments, and unsold tickets. It should show enough detail to account for all tickets, payments, unsold tickets, and to reconcile totals after the raffle is completed.
- 12.2.3 All raffle records must be kept for a minimum of two years after the last draw date. Other reporting bodies may require records to be retained for longer. These records include, but are not limited to:
- a) bank statements;
  - b) cheques that cleared the bank account/digital image cheques;
  - c) invoices/receipts;

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- d) ticket inventory control sheets;
- e) list of prize winners;
- f) all unsold tickets (if applicable);
- g) all ticket stubs of sold tickets or electronic entries;
- h) contact information of the executive members (or delegates) that witnessed the raffle draw;
- i) letter of agreement with a commercial outlet (if applicable);
- j) contract with registered raffle ticket manager (if applicable);
- k) letter of understanding or memorandum of agreement with other charitable organizations (if applicable);
- l) audiovisual recording of the ticket draw;
- m) prize appraisals (if applicable);
- n) prize vehicle transportation logs (if applicable);
- o) payroll records (if applicable); and
- p) all business and financial records of any entity (including but not limited to societies, non-profit organizations, associations, community leagues, corporations, partnerships, limited partnerships, joint ventures, proprietorships, etc.) that receives any of the licensed charitable organization's gaming proceeds either directly, indirectly, or through a series of transactions.

12.2.4 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;

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- 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 In addition to the raffle records listed in Sections 12.2.3 and 12.2.4, the areas normally subject to audit will include, but are not limited to:

- a) books of original entry (including computerized records);
- b) inventory control forms;
- c) contracts, agreements or similar documents;
- d) tax returns;

DATE ISSUED:	_____ May 25, 2020 _____	AUTHORITY:	_____ Original signed by Len Rhodes _____
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**SECTION: 12.      REPORTS & RECORDS**

- e) minutes of annual general meetings, and meetings of general membership, board and executive;
- f) working paper files of external accountants/auditors; and
- g) annual (audited) financial statements.

DATE ISSUED:                May 25, 2020          

AUTHORITY:                Original signed by  
                          Len Rhodes