



Raffle Terms & Conditions

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RAFFLE TERMS & CONDITIONS

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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 and contact information.
- g) “Bearer ticket raffle” means a raffle where the charitable organization sells bearer tickets and conducts the draw during a specific entertainment event.
- h) “Board” means the Board of AGLC.
- i) “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.
- j) “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.
- k) “Discount tickets” means multiple tickets 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).
- l) “Discrepancy Report” means a report prepared by the licensed charitable organization, registered worker, and/or volunteer regarding a breach of the raffle terms and conditions, security breach or any illegal activity while conducting a raffle.
- m) “Draw” means the approved random selection process by which a winner is determined.

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- n) “Electronic bearer ticket raffle” means a raffle where the charitable organization sells and prints bearer tickets using raffle sales units and/or sells and distributes tickets online, and conducts the draw during a specific entertainment event.
- o) “Electronic draw” means a draw that utilizes a random number generator (RNG) to determine a prize winner.
- p) “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.
- q) “Electronic progressive raffle” means a raffle in which an electronic raffle system may be used for the sale of raffle tickets, the selection of the event prize winner, and/or the distribution of raffle prizes.
- r) “Electronic raffle” means a raffle in which an electronic raffle system may be used for the sale of raffle tickets, the selection of raffle winners, and/or the distribution of raffle prizes.
- s) “Electronic raffle equipment” means electronic hardware and software used in the conduct of an electronic raffle.
- t) “Electronic Raffle Standards Document” (or ERSD) means AGLC’s technical equipment and software standards that all electronic raffle system components must meet.
- u) “Electronic raffle system” (or ERS) means proprietary software and equipment (including handheld devices) used to conduct an electronic raffle.
- v) “Electronic raffle system administrator” (or ERS administrator) means a volunteer or paid person who manages the operation of the ERS hardware and software.
- w) “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.
- x) “Event prize” means a cash prize in a progressive raffle, which is a percentage of ticket sales from one raffle event in the raffle licence.
- y) “Expense” means an AGLC approved direct cost incurred by a licensed charitable organization to conduct a raffle.
- z) “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.

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- aa) "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.
- bb) "Generic accounts" means a shared user or role account that can be used by more than one person.
- cc) "Gross raffle revenue" means the total of all funds generated from the sale of raffle tickets.
- dd) "Joint venture raffle" means a contractual agreement between two or more eligible licensed charitable organizations to conduct a raffle event jointly.
- ee) "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.
- ff) "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.
- gg) "Manufacturer's suggested retail price" (or MSRP) means the cost a manufacturer assigns a product for sale by retailers.
- hh) "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.
- ii) "Minor" means a person under the age of 18 years.
- jj) "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).
- kk) "Online ticket distribution" means a computer software platform used to send a ticket to the purchaser through the internet.
- ll) "Online ticket ordering" means a computer software platform that receives ticket orders through the internet and 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., confirming order details, processing the payment, confirming receipt of payment).
- mm) "Online ticket sales" means an ERS with the abilities to facilitate ticket purchases through the internet including, but not limited to, ticket ordering, processing of payments in real time, and generating the ticket for distribution.

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- nn) "PCI" means Payment Card Industry.
- oo) "Percentage draw" means a raffle where the cash prize is a percentage of the gross raffle revenue (e.g., 50/50 or 60/40).
- pp) "PIN" means Personal Identification Number, an identifying number used in the process of authenticating an individual.
- qq) "Prize" means cash, merchandise, or another item of value awarded to the winning ticket purchaser.
- rr) "Proceeds" means gross raffle revenue less the cost of the raffle prize(s) and AGLC approved expenses.
- ss) "Progressive prize" means a cash prize in a progressive raffle, which is a percentage of ticket sales accumulated from raffle ticket sales in the raffle licence.
- tt) "Progressive raffle" means a type of raffle in which tickets are sold for a random chance of winning an event prize, and where the winner of the event prize also has a chance of winning a progressive prize.
- uu) "Proprietary equipment" means equipment designed and/or distributed by a gaming supplier for a specific purpose or use in connection with an ERS.
- vv) "Proprietary software" means software designed and/or distributed by a gaming supplier for a specific purpose or use in connection with an ERS.
- ww) "Raffle" means a lottery scheme where tickets are sold for a random chance of winning a prize at a draw.
- xx) "Raffle ticket manager" (or RTM) means a person who is paid to manage a raffle.
- yy) "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.
- zz) "Raffle sales unit" (or RSU) means a portable/wireless device, remote hard-wired connected device, or standalone cashier station that is used as a point of sale for bearer tickets.
- aaa) "Random number generator" (or RNG) means computer software designed to generate a sequence of numbers that cannot be reasonably predicted. An RNG is used to conduct an electronic draw to determine the outcome(s) of the raffle.

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- bbb) "Sports draft" means a type of raffle in which a purchaser predicts specific results of a sporting event series by exercising choice or drawing a ticket with a pre-selected result, and the prize winner(s) is determined by the outcome of the series.
- ccc) "Sports draft entry" means a record of a purchaser's predicted result or drawn pre-selected result for a sporting event series.
- ddd) "Ticket" means a paper or electronic record provided to a raffle ticket purchaser.
- eee) "Ticket number" means a unique 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.
- fff) "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).
- ggg) "Total ticket value" (or TTV) means the total number of tickets approved for sale multiplied by the price(s) of the tickets (e.g., 25,000 tickets at \$2 and 30,000 tickets at three for \$5, equals a total ticket value of \$100,000 $[(25,000 \times \$2) + ((30,000/3) \times \$5) = \$100,000]$).

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SECTION: 1. GENERAL INFORMATION**1.2 LEGISLATION AND LICENCE REQUIREMENTS**

1.2.1 Licensed charitable organizations eligible to conduct a raffle must comply with policies in this handbook, all Board policies, and the following:

- a) *Criminal Code* (Canada);
- b) *Gaming, Liquor and Cannabis Act*;
- c) Gaming, Liquor and Cannabis Regulation;
- d) Electronic Raffle Standards Document (for electronic raffles only);
- e) Payment Card Industry (PCI) Data Security Standard for ticket payment processing;
- f) 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; and
- g) all other applicable federal, provincial, or municipal laws.

1.2.2 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.

1.2.3 Non-compliance with federal, provincial, or municipal laws or Board policies may result in disciplinary action such as a fine, suspension of gaming licence, revocation of gaming licence, repayments, and/or a directive to donate remaining gaming proceeds to other eligible charitable organizations.

1.2.4 Licensed charitable organizations must ensure raffle events are conducted and managed completely within the province of Alberta.

1.2.5 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 (e.g., 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”.

1.2.6 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 members of the licensed charitable organization and submitted in writing to AGLC. If the amendments affect the awarding of prizes, the licensed charitable organization must:

- a) advise ticket holders by way of advertising; and

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- b) amend unsold tickets.
- 1.2.7 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.
- 1.2.8 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.
- 1.2.9 A licensed charitable organization must not transfer or assign its raffle licence.
- 1.2.10 The period for a raffle licence must not exceed two years.
- 1.2.11 Prior to issuing a licence, AGLC may restrict the total prize value or total ticket value of the raffle.
- 1.2.12 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 in Alberta at the time of purchase.
- 1.2.13 Any raffle may be monitored by an AGLC inspector.

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1.3 ELIGIBILITY

- 1.3.1 A charitable organization applying for a raffle licence must meet the eligibility standards specified in the Charitable Gaming Policies Handbook, which may be accessed at aglc.ca.
- 1.3.2 A charitable organization applying for a raffle licence with a TTV greater than \$100,000 must provide evidence that it has delivered a charitable program or service to the community in the 12 months preceding the application.

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2.1 RAFFLE RULES

2.1.1 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.

2.1.2 The following information must be included in the raffle rules:

TYPE OF RAFFLE	RAFFLE RULE REQUIREMENTS
All Raffles	<ul style="list-style-type: none"> 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, 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 reached (i.e., if enough tickets are sold to cover prize costs and expenses); d) purchase price of each ticket; e) number of tickets available for sale for each licence; f) subscription procedures and how ticket purchasers may unsubscribe (see Subsection 2.3.1 g)); g) date and exact location of the draw(s) and that the draw(s) is open to the public; h) draw procedures and, if applicable, a statement acknowledging that certain winning tickets may be eligible for more draws in that raffle licence; i) 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; j) seeding procedures (see Subsection 7.1.6);

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	<ul style="list-style-type: none"> k) cash alternatives for any of the prizes; l) 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 costs that are the responsibility of the prize winner, etc.); m) condition of prizes (e.g., new, used, requiring repair, etc.); n) procedure if a winner cannot be contacted within the time limit for claiming a prize; o) procedure if a ticket purchaser requests to cancel a raffle ticket for a refund; p) 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; q) contact name and phone number for the licensed charitable organization, in the event of a complaint; and r) for electronic raffles, a procedure in the event of a power failure.
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2.1.3 Additional raffles rules are required for the following types of raffles:

TYPE OF RAFFLE	ADDITIONAL RAFFLE RULE REQUIREMENTS
Bearer Ticket Raffles	<ul style="list-style-type: none"> a) time of the draw(s); b) 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); c) method by which the draw(s) will be announced, and the location of the announcement;

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	<ul style="list-style-type: none"> d) method of prize payment; e) time limit for the purchaser of the winning ticket to claim a prize (see Subsection 7.1.21 to 7.1.23); f) procedure for identifying an alternative prize winner if a winner cannot be contacted within the time limit for claiming a prize; g) procedure for awarding the prize on the last draw date of the licence period; and h) procedures for carrying over an unclaimed prize to a future draw in the same raffle licence or to a future raffle licence. The charitable organization may choose to award the unclaimed prize in its entirety to the new ticket winner, or use as an opening balance to be shared between the charitable organization and the prize winner. Alternatively, the charitable organization may retain unclaimed prizes to be used as gaming proceeds, or donated to another eligible charitable organization.
<p>Progressive Raffles</p>	<ul style="list-style-type: none"> i) location, date, and time of ticket sales and the draw; <ul style="list-style-type: none"> i) ticket purchases for multiple draws are prohibited; ii) licensed charitable organizations may offer ticket subscriptions, provided subscriptions are concluded once the progressive prize is won. j) percentage of ticket sales to the: <ul style="list-style-type: none"> i) licensed charitable organization; ii) event prize (minimum 20 per cent); and iii) progressive prize. k) specific criteria required for a player to win the progressive prize (e.g., drawing a specific card from a deck); l) progressive prize selection procedures, such as:

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	<ul style="list-style-type: none"> i) pre-selection procedures (e.g., the purchaser may pre-select an envelope number at the time of purchase) including alternate procedures if the winner's pre-selected choice is no longer available (e.g., the next highest (or lowest) remaining envelope number); or ii) alternate procedures in the case of an absent winner (e.g., the charitable organization will select the highest (or lowest) remaining envelope number). m) prize claim procedures (e.g., time limit, payment method, etc. [see Subsection 7.1.25 and 7.1.26]); n) exit plan as required in Subsections 2.3.3 d) and e).
<p>Sports Drafts</p>	<ul style="list-style-type: none"> o) maximum number of entries to be sold; p) a date by which the licensed charitable organization must receive entries in order for entries to be eligible (see Subsection 2.3.4 a)); q) procedures for how purchasers may select players and make trades; r) procedures for how points are awarded and the method used to determine winners in each prize category (i.e., winners of early bird, bonus, weekly/monthly special (e.g., most improved player), consolation, and grand prizes); s) procedures for identifying non-compliance with established sports draft rules and the consequences for non-compliant contestants (e.g., entry forms incorrectly filled out, entry forms received after the deadline, entry forms paid for with NSF cheques, entrants who exceed the maximum number of entries allowed, etc.); t) procedures for how ties are resolved; u) procedures for notifying purchasers of standings,

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	<p>points, and names of prize winners. At a minimum, the information must be updated monthly for regular season drafts and biweekly for playoff drafts;</p> <p>v) procedures for how the licensed charitable organization will notify winners and how winners may claim their prizes (see Subsection 7.1.29); and</p> <p>w) procedure for identifying an alternate prize winner if a winner cannot be contacted within the time limit for claiming a prize.</p>
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- d) rules concerning:
 - i) choice of players and player trades;
 - ii) point accumulation and ties;
 - iii) details of bonus prize award (if applicable);
 - iv) final dates entries can be received to be eligible; and
 - v) cancellation of the draft.

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SECTION: 2. RAFFLE REQUIREMENTS**2.3 TICKET SALES****GENERAL**

2.3.1 The following policies apply to all raffles:

- a) A copy of each ticket type (e.g., regular or discount prices) must be provided to AGLC, if requested.
- b) A licensed charitable organization may convert tickets from one price category to another price category, but the total number of tickets must not exceed the number of tickets approved in the licence or its approved amendment.
- c) A licensed charitable organization must sell tickets only at the price(s) indicated and approved in the licence application.
- d) 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.
- e) 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).
- f) When a series of draws occurs on a set schedule (e.g., cash calendar raffles), the following conditions apply:
 - i) 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 1/12th each month);
 - ii) the licensed charitable organization must include the discount pricing procedure in the raffle rules; and
 - iii) at time of sale, each ticket must state the reduced price and the eligible draw date(s).
- g) Raffles that have a recurring draw structure may offer subscriptions with the following conditions:
 - i) unsubscribe procedures must be displayed in a prominent and unobscured location on the online main user page;
 - ii) ticket subscriptions are cancelled once the raffle licence is concluded;

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- iii) the licensed charitable organization must have the ability to reconcile that ticket revenue from subscriptions are dispersed to the single draws for which they are eligible;
- iv) eligibility for subscriptions are not restrictive (i.e., exclusive offerings, exclusive discount ticket packages); and
- v) ticket sales are not restricted to subscription-only methods.
- h) 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.
- i) 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.
- j) 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. The online transaction and payment processing platform must not retain payment information, including debit card information, credit card information, and/or banking information.
- k) 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 (NIST) Guidelines on Securing Public Web Servers.
- l) 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. 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.
- m) A ticket is not considered purchased until a verified financial transaction is complete. Ticket requests returned for insufficient funds must be voided automatically.

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- n) Licensed charitable organizations must only retain electronic entries (not paper ticket stubs) when conducting an electronic draw.
- o) Licensed charitable organizations selling tickets using an online ticket sales platform must not also sell preprinted tickets.
- p) Raffle tickets and a receipt of payment may only be issued and/or accessed electronically after payment has been processed.
- q) Licensed charitable organizations selling tickets using an ERS may distribute tickets on paper or electronically.
- r) Licensed charitable organizations that sell tickets using an ERS and distribute paper tickets may conduct:
 - i) a paper ticket draw by retaining paper ticket stubs at the time of sale; or
 - ii) an electronic draw by retaining an electronic entry at the time of sale.
- s) Except for bearer ticket raffles, tickets sold online may be distributed electronically or mailed to the customer.

BEARER TICKET RAFFLES

2.3.2 The following additional policies apply to bearer ticket raffles:

- a) Bearer tickets may be used when conducted with an event as follows:
 - i) Paper bearer tickets may be used for single day events only.
 - ii) Bearer tickets generated electronically (online or through an RSU) may be used for events that do not exceed 14 days.
- b) All bearer ticket sales must occur:
 - i) at or in the immediate vicinity of the venue in which an entertainment event takes place; and/or
 - ii) online for ticket purchasers located within Alberta at the time of the sale.
- c) Ticket and cash reconciliation must be completed in a secure location.
- d) Tickets sold online must be provided to the purchaser electronically and the charitable organization must collect the purchaser's name, email address, and phone number.
- e) Tickets sold through a raffle sales unit (RSU) must be printed at the time of purchase and provided to the purchaser.

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- f) Appropriate inventory control records must be used for each draw to ensure all sold tickets are entered into the draw.
- g) The draw must be announced to the public and occur before the end of the entertainment event or as soon as is practicable.
- h) For ticket sales at or in the immediate vicinity of the venue in which the entertainment event takes place, with the exception of the main raffle server, all computer equipment and accessories (e.g., RSUs, kiosks, printers, etc.) must be located on-site and be operated at the venue.
- i) Only RSUs, kiosks, and volunteer-operated computers located at the event and/or the online sales portal may connect to the raffle server. Unless approved or required (e.g., regulator’s portal) by AGLC, computers outside the event location must not be able to access the raffle server during the raffle event.
- j) 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 or the technical issue is resolved within the time frame for the event, the system is recovered, and sales are reconciled.
- k) 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.

PROGRESSIVE RAFFLES

2.3.3 Progressive raffles must comply with the following additional policies:

- a) Licensed charitable organizations may use an ERS to conduct in-person or online ticket sales, distribute tickets, and use an RNG to select the winner of the draw. An RNG must not be used to determine any winner of a progressive prize.
- b) Progressive raffle ticket sales must be open to the public and cannot be restricted to a certain group.
- c) The raffle licence is concluded when 100 per cent of the progressive prize is won.
- d) For progressive raffles with a total ticket value \$20,000 and less, the total ticket value of all draws in the licence must not exceed \$20,000. Once ticket sales reach \$20,000, the licensed charitable organization must award the progressive prize according to the approved exit plan.
- e) For progressive raffles with a total ticket value more than \$20,000, if the progressive prize is expected to reach \$1 million, the licensed charitable organization must

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submit an operational plan to AGLC with considerations outlined in the Progressive Raffle Best Practices. If no operational plan is submitted to AGLC by the time the progressive prize reaches \$1 million, then the progressive prize must be awarded according to the approved exit plan.

SPORTS DRAFTS

2.3.4 Sports drafts must comply with the following additional policies:

- a) All sports draft sales must cease:
 - i) the third Friday after the regular season starts, for regular season drafts; or
 - ii) before the playoffs starts, for playoff drafts.
- b) Licensed charitable organizations must not sell portions or shares of individual sports draft entry forms.
- c) If more than one series is sold:
 - i) all entry forms in a series must be sold before sales of another series starts;
 - ii) each series must be a different colour, with the series number clearly marked;
 - iii) ticket numbers must run consecutively from one series into the next; and
 - iv) all prizes for each series must be awarded once sales for the series have started.

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SECTION: 2. RAFFLE REQUIREMENTS**2.4 OPERATION AND PAYMENT**

2.4.1 For raffles with a total ticket value (TTV) more than \$20,000, a financial control plan must be submitted with the raffle application, and must specify:

- a) procedures for the:
 - i) secure storage of ticket inventory;
 - ii) distribution of tickets to sellers including signature confirming sellers have received tickets;
 - iii) return of sold and unsold tickets; and
 - iv) secure receipt and deposit of revenues.
- b) frequency of revenue deposits; and
- c) name(s) of person(s) responsible for:
 - i) collection of sold and unsold tickets;
 - ii) payment collection; and
 - iii) deposit of ticket revenue.
- d) record or control system for bearer ticket raffles that shows:
 - i) how tickets are allocated to sellers, sellers' names, and the name of the individual that allocates the tickets; and
 - ii) how cash is returned by sellers to the main bank and who is responsible for the collection of the total sum of cash and calculating the prize amount;

2.4.2 In addition to the financial control plan requirements in 2.4.1, financial control plans for sports drafts must also specify procedures for draft data entry, including the name of the individual(s) responsible for data entry, the data system to be used, and procedures to confirm the accuracy of the information.

2.4.3 For raffles with a TTV more than \$20,000, 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 (CGPH).

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- 2.4.4 Other approved charitable organizations may be paid a commission to sell tickets, provided:
- commissions received are used only for approved purposes in accordance with Sections 4 and 5 of the CGPH;
 - copies of the ticket-selling contracts including proposed use of funds are submitted to AGLC with the raffle licence application; and
 - if the approved charitable organization holds a gaming licence with AGLC, funds must be deposited into a gaming bank account.
- 2.4.5 Licensed charitable organizations may pay a commission or handling fee to a commercial outlet to sell tickets, provided:
- the commission or handling fee plus applicable GST cannot exceed five per cent of the gross raffle revenue generated by the outlet; and
 - signed copies of ticket-selling contracts which specify all services and fees provided must be submitted to AGLC with the raffle licence application.
- 2.4.6 Any suspected cheating or other irregularities must be reported immediately to AGLC at 1-800-742-7818.
- 2.4.7 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:
- the total number and ticket numbers of the lost or stolen tickets/ticket stubs; and
 - a detailed explanation of how the tickets/ticket stubs were lost or stolen.
- 2.4.8 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 the draw and prior to the draw, the licensed charitable organization must announce that the lost or stolen tickets will not form part of the draw.
- 2.4.9 If the ticket stubs were lost or stolen after the tickets were sold, the licensed charitable organization must advertise in the market area that:
- tickets with the affected ticket numbers were lost or stolen and will not form part of the draw; and
 - anyone holding such a ticket should contact the licensed charitable organization so that another ticket can be issued or a refund provided.

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- 2.4.10 Where 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 funds. AGLC must be notified immediately.

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SECTION: 2. RAFFLE REQUIREMENTS**2.5 ONLINE TICKET ORDERING**

- 2.5.1 Licensed charitable organizations may receive order requests and payment for ticket purchases online. The charity is responsible for processing all confirmed ticket orders. Charities may alternatively conduct online ticket ordering using an ERS to automatically process all ticket orders.
- 2.5.2 The transaction and payment processing platform, or the ticket sales provider used by the licensed charitable organization for processing online ticket orders must meet current Payment Card Industry (PCI) Security Standards Council requirements. The online transaction and payment processing platform must not retain payment information, including debit card information, credit card information, and/or banking information.
- 2.5.3 Receipts for online ticket order payments may include ticket numbers, provided the receipt includes a disclaimer that the receipt is not an official ticket.
- 2.5.4 Licensed charitable organizations selling tickets using online ticket ordering must distribute tickets on paper by mail to the customer.
- 2.5.5 Licensed charitable organizations using online ticket ordering must conduct a paper ticket draw by retaining paper ticket stubs at the time of sale.

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SECTION: 2. RAFFLE REQUIREMENTS

2.6 TICKET INVENTORY MANAGEMENT

- 2.6.1 To ensure the overall integrity of licensed raffles, licensed charitable organizations conducting online ticket sales using an ERS must ensure that the ERS is capable of clearly tracking, monitoring, controlling, and accounting for the sale of tickets.
- 2.6.2 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.
- 2.6.3 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.

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SECTION: 3. ELECTRONIC RAFFLE EQUIPMENT

3.1 EQUIPMENT APPROVAL AND REGISTRATION REQUIREMENTS

- 3.1.1 All ERS software and equipment, prior to being used in a raffle, must be:
- a) certified by an Accredited Testing Facility (ATF);
 - b) compliant with the Electronic Raffle Standards Document (ERSD); and
 - c) approved by AGLC.
- 3.1.2 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.
- 3.1.3 The ERS may be subject to periodic inspection by AGLC.
- 3.1.4 Licensed charitable organizations are not required to be registered as a gaming supplier to own and operate its own ERS. If a licensed charitable organization provides or leases its ERS to another charitable organization, it must be registered as a gaming supplier with AGLC.
- 3.1.5 Companies, gaming worker suppliers, raffle ticket managers, or individuals must be registered as a gaming supplier with AGLC prior to leasing, renting, or selling proprietary equipment, proprietary software, or an ERS to a licensed charitable organization.
- 3.1.6 Registered gaming suppliers and licensed charitable organizations that develop their own ERS are responsible for any costs associated with ATF testing and certification of an ERS required for AGLC approval.
- 3.1.7 With AGLC approval, licensed charitable organizations conducting electronic raffles 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.
- 3.1.8 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.
- 3.1.9 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.

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SECTION: 3. ELECTRONIC RAFFLE EQUIPMENT**3.2 ERS EQUIPMENT REGISTRATION**

- 3.2.1 ATFs must provide the results from certification testing directly to AGLC.
- 3.2.2 For the prevention of alteration or tampering, the ERS server(s) must:
- be located and operated in a secure location within Canada; and
 - have controlled access with physical protection against unauthorized access.
- 3.2.3 The licensed charitable organization using an ERS must have a record or control system that shows:
- how tickets are allocated to sellers, sellers' names and the name of the individual that allocates the tickets;
 - how funds are returned by sellers to the main bank; who is responsible for the collection of the total sum of funds; and who is responsible for calculating the prize amount, including the breakdown of prize calculations;
 - the number of sellers expected to work each event; and
 - the winner's name and contact information.
- 3.2.4 Technical malfunctions, service interruptions, system changes, or other equipment problems must be immediately reported to AGLC by calling 1-800-742-7818.
- 3.2.5 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 including but not limited to the following:
- passwords (the charitable organization must draft requirements for length, complexity, and lifespan of the password);
 - PINs;
 - biometrics; and
 - authentication credentials (e.g., magnetic swipe, proximity cards, embedded chip cards).
- 3.2.6 Generic log in accounts may be used to access the ERS (e.g., 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.
- 3.2.7 Changes may only be made to the ERS with prior approval of AGLC.

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3.2.8 The licensed charitable organization must ensure that the ERS, including the payment processing platform, online ticket distribution platform, and online prize distribution system, have mechanisms and controls for the security and protection of personal information and accounts.

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SECTION: 4. GAMING SUPPLIERS, GAMING WORKER SUPPLIERS, AND RAFFLE WORKERS

4.1 GAMING SUPPLIER AND GAMING WORKER SUPPLIER REGISTRATION

- 4.1.1 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 (ERSD)), 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.
- 4.1.2 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* (Canada), the GLCA, the GLCR, or Board policies (including the ERSD).
- 4.1.3 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 ERSD).
- 4.1.4 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.
- 4.1.5 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.
- 4.1.6 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.

- 4.1.7 Any changes to the personal information of a registrant must be reported immediately to gaming.registrations@aglc.ca or 1-800-272-8876.
- 4.1.8 Registration may be renewed only by re-applying. If approved, the original registration number will continue to be used.
- 4.1.9 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.
- 4.1.10 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. The licensed charitable organization must provide this training to all personnel actively using the equipment at a raffle event.

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SECTION: 4. GAMING SUPPLIERS, GAMING WORKER SUPPLIERS, AND RAFFLE WORKERS

4.2 RAFFLE WORKER REGISTRATION AND REQUIREMENTS

4.2.1 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 ERSD), 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.

4.2.2 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* (Canada), the GLCA, the GLCR or Board policies (including the ERSD).

4.2.3 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.

4.2.4 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.

4.2.5 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.

ELECTRONIC RAFFLE SYSTEM (ERS) ADMINISTRATORS

4.2.6 An individual(s) must be designated as the ERS administrator. The ERS administrator is a volunteer or paid position who manages the operation of the ERS hardware and software. 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.).

4.2.7 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

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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.

- 4.2.8 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 a records check (dated within the last three months of the application) for the volunteer ERS administrator with the licence application.
- 4.2.9 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 5647); and
 - b) a records check (dated within the three months prior to the application).
- 4.2.10 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.
- 4.2.11 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.).
- 4.2.12 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. 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.
- 4.2.13 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.
- 4.2.14 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

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provided in accordance with Subsection 4.2.12 (e.g., termination, suspension, reassignment, resignation, leave of absence, etc.).

RAFFLE TICKET MANAGERS

4.2.15 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.

4.2.16 Duties and responsibilities of an RTM may include, but are not limited to:

- a) preparation of the raffle:
 - i) draft budget;
 - 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 them 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, phone, online, and from vendor sales locations;
 - ii) process payments;
 - iii) issue tickets;

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- 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);
 - ii) ensure all eligible 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.
- 4.2.17 RTM fees for service including any applicable GST cannot exceed five per cent of the actual gross raffle revenue.
- 4.2.18 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.

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- 4.2.19 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.
- 4.2.20 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).
- 4.2.21 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.
- 4.2.22 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: 5. ADVERTISING

5.1 ADVERTISING

- 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 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); and
 - c) if applicable, it is clearly disclosed if the odds of winning are dependent on the number of tickets sold.

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- 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 record of the following must be kept with the raffle records and, if requested, 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. DRAW PROCEDURES**6.1 DRAW PROCEDURES**

- 6.1.1 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.
- 6.1.2 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 phone number) of both draw witnesses must be documented and maintained in the raffle records.
- 6.1.3 All sold tickets must be entered into the draw. Unpaid/unsold tickets must not be entered into the draw.
- 6.1.4 Licensed charitable organizations must create an audiovisual recording of all raffle ticket draws 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.
- 6.1.5 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.
- 6.1.6 The ticket stub of each sold ticket must be eligible for each draw of non-identical prizes. The licensed charitable organization, if stated in its raffle rules, may exclude a winning ticket stub 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 ticket stub of one television prize winner from winning any further identical televisions. However, a winning ticket stub must be included in draws for other prizes.
- 6.1.7 AGLC may approve alternate draw procedures that vary from Subsection 6.1.6. 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 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 ticket stubs drawn from preliminary draws, where the number of tickets in the final draw equals the number of available prizes).

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- 6.1.8 The draw may not be initiated by any person who owns a ticket or a share of a ticket in the draw.
- 6.1.9 A record of each ticket drawn must be made indicating the:
- a) ticket number;
 - b) name and contact information of the prize-winner; and
 - c) time and date the ticket was drawn.
- 6.1.10 Winning tickets must be immediately exhibited to witnesses and held open for inspection until the end of the draw or until returned to the draw container to be eligible for additional prizes.
- 6.1.11 If a draw occurs and the licensed charitable organization later determines not all eligible ticket stubs 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 tickets were placed into the draw. The Discrepancy Report must specify the total number of affected tickets and an explanation for 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.
- 6.1.12 If the licensed charitable organization determines that more than one eligible ticket 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 ticket with the same number was placed in the draw. The Discrepancy Report must specify the total number and serial number of the affected tickets 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 ticket with the same winning number.

RAFFLE DRAWS USING PAPER TICKETS

- 6.1.13 Paper tickets must be manually drawn from a container that is transparent or constructed with mesh so that tickets can be seen from the outside.
- 6.1.14 Prior to each ticket draw for non-identical prizes, the ticket container must be rotated, or the container contents agitated, a minimum of three times. Prior to each ticket draw for identical prizes, the ticket container must be rotated, or the container contents agitated, at least once. Anti-static spray may be used to facilitate the rotation of tickets.

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- 6.1.15 The arm of the person making the draw must be bare below the elbow and, immediately prior to making the draw, the person must exhibit the draw arm and both sides of the open hand to the draw witnesses.
- 6.1.16 Only the person making the draw may put their arm in the draw container.
- 6.1.17 When selecting winning tickets, the person making the draw must look away from the container in the direction of the witnesses.
- 6.1.18 The licensed charitable organization must retain all tickets with the raffle records for two years after the last draw date.

ELECTRONIC DRAWS USING AN RNG

- 6.1.19 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.
- 6.1.20 The RNG computer software, computer networks, and equipment supporting the software must be located within Canada, in a secure area with strictly controlled access.
- 6.1.21 After the draw, the winning numbers must be posted on the website of the licensed charitable organization for the minimum amount of time the winner has to claim the prize or for the duration of the raffle licence, whichever is greater.

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SECTION: 7. PRIZES**7.1 PRIZES**

- 7.1.1 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 reasonable efforts to notify the prize winner(s).
- 7.1.2 A prize must be awarded for every draw. Eligibility to enter into another draw is not a prize.
- 7.1.3 The manufacturer's suggested retail price (MSRP) of all prizes, including cash alternatives, must be at least 20 per cent and cannot exceed 80 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.
- 7.1.4 Stated prize values must be equal to or less than the MSRP.
- 7.1.5 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.
- 7.1.6 Charitable organizations may be approved to seed a raffle prize with non-gaming funds or a non-gaming donation from a sponsor. Seeded funds cannot be revoked.
- 7.1.7 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
 - c) submit sales receipt documenting that all prizes have been paid in full.
- 7.1.8 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.
- 7.1.9 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.
- 7.1.10 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

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independent third-party appraisals from qualified appraisers stating the appraised value of the vehicle.

- 7.1.11 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.
- 7.1.12 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.
- 7.1.13 Licensed charitable organizations conducting raffles with homes as a prize must submit a complete list of individual costs for appliances, furniture, and decorations in each room of the house. 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.
- 7.1.14 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
 - b) more than \$10,000, the licensed charitable organization must deliver the prize to the Office of the Public Guardian and Trustee.
- 7.1.15 Prizes must be immediately transferable without encumbrances on the title to the winner. No costs, including taxes, may be charged to the winner 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.
- 7.1.16 The licensed charitable organization must allow a minimum of three months from the date of the draw for the winner to claim the prize, except for prizes in:
- a) Subsection 7.1.17;
 - b) bearer ticket raffles; and
 - c) progressive raffles.

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If the prize remains unclaimed after the specified time limit identified in the raffle rules, the prize or cash equivalent to the MSRP of the prize must be donated to a charitable beneficiary approved by AGLC.

- 7.1.17 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.
- 7.1.18 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.)
- 7.1.19 The licensed charitable organization must submit a list of unclaimed prizes to AGLC with the Raffle Financial Report.
- 7.1.20 Percentage draw prizes (e.g., 50/50) must be based solely on gross ticket sales (including seeded funds, if applicable) and must be a minimum of 20 per cent and a maximum of 80 per cent of ticket sales (e.g., 20/80). Percentage draw prizes are not based on cash retained by ticket sellers.

BEARER TICKET RAFFLES

- 7.1.21 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.
- 7.1.22 If using paper bearer tickets, the winner(s) must have a minimum of 10 minutes to claim the prize.
- 7.1.23 If any ticket sales occur online, the winner(s) must have a minimum of 48 hours to claim the prize.

PROGRESSIVE RAFFLES

- 7.1.24 Licensed charitable organizations may offer secondary progressive prizing that is a portion of the progressive prize. However, each draw must include the chance to win 100 per cent of the progressive prize.
- 7.1.25 If ticket sales occur at the venue, where ticket purchasers are likely to be present to claim the prize, the winner must have a minimum of 10 minutes to claim the prize.
- 7.1.26 If any ticket sales occur online, progressive prize selection procedures must be established (see Subsection 2.1.3 I)).

SPORTS DRAFTS

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SECTION: 7. PRIZES

- 7.1.27 Standings must be based upon official statistics provided by the appropriate league office.
- 7.1.28 An outside firm may be used to post and verify standings. It may have no other involvement.
- 7.1.29 All prize winners' names and point standings must be advertised at the end of the draft to allow for any challenge to the standings. Prizes cannot be awarded for two weeks after being advertised.

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7.2 ONLINE PRIZE DISTRIBUTION

- 7.2.1 Prizes distributed online must be suitable and appropriate for online distribution; this may include cash prizes, or vouchers for goods or services.
- 7.2.2 Charitable organizations must provide AGLC with online prize distribution procedures at the time of application.
- 7.2.3 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.
- 7.2.4 A prize winner must be given the option of receiving their prize via an alternate method, as specified in the raffle rules.

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SECTION: 8. RAFFLE REVENUE

8.1 EXPENSES

8.1.1 Only approved expenses may be deducted from the gross raffle revenue. The following expenses may be approved:

- a) raffle licence fee;
- b) electronic raffle system;
- c) ticket printing;
- d) advertising;
- e) registered raffle ticket manager (RTM) fee;
- f) electronic raffle system (ERS) administrator fee;
- g) fee for background checks for volunteer ERS administrators;
- h) commercial outlet handling fee;
- i) commissions paid to other charitable organizations to sell tickets;
- j) prize appraisal fee;
- k) food and refreshments consumed by volunteers during activities related to the raffle event; and
- l) 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.).

8.1.2 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 raffle ticket manager fee and commissions paid to other charitable organizations to sell tickets are excluded from this 30 per cent calculation.

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

8.1.4 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.

8.1.5 Ticket revenue may not be spent on raffle expenses nor 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

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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: 8. RAFFLE REVENUE**8.2 PROCEEDS**

- 8.2.1 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.
- 8.2.2 Licensed charitable organizations that conduct only small raffles (total ticket value (TTV) \$20,000 and less) may deposit raffle proceeds into a general non-gaming bank account.
- 8.2.3 Licensed charitable organizations that conduct small raffles (TTV \$20,000 and less) and other types of charitable gaming (e.g., bingo or casino) must deposit raffle proceeds into an existing gaming bank account (e.g., bingo or casino), after the last draw date, to be spent on approved use of proceeds.
- 8.2.4 For raffles with a TTV more than \$20,000, 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.
- 8.2.5 The licensed charitable organization is required to disburse all raffle proceeds within 24 months, which begins on the date of the last draw.
- 8.2.6 Gaming proceeds must not be used to cover gaming losses or expenses from other gaming licences unless approval is granted by AGLC.

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SECTION: 9. RAFFLE CANCELLATION**9.1 CANCELLATION PROCEDURES**

- 9.1.1 Requests to cancel a raffle must be signed by two volunteer executive members of the licensed charitable organization and submitted in writing to AGLC stating:
- a) reasons for the cancellation;
 - b) factors that affect the status of the raffle such as whether:
 - i) the raffle has reached the break-even point;
 - ii) any draws have already taken place; or
 - iii) any prizes have been awarded;
 - c) confirmation of the number of tickets that have been sold;
 - d) total cash received from ticket sales; and
 - e) total expenses, including cost of prizes, incurred up to the date of the request for cancellation.
- 9.1.2 If the cancellation of a raffle is approved, the licensed charitable organization must publicly advertise that the raffle has been cancelled and that the revenues from ticket sales will be refunded.
- 9.1.3 The licensed charitable organization must refund the cost of the ticket 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.
- 9.1.4 The licensed charitable organization must send a letter to AGLC signed by two volunteer executive members stating that all refunds have been made within three months of the raffle cancellation.
- 9.1.5 For raffles with a total ticket value more than \$20,000, 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. AGLC will refund licence fees upon receipt of all required information.

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SECTION: 10. REPORTS AND RECORDS**10.1 FINANCIAL REPORTS**

- 10.1.1 For raffles with a total ticket value (TTV) \$20,000 and less, the licensed charitable organization must submit the Financial Summary section on the face of the original licence to AGLC within 60 days following the last draw date. Additional reporting may be required as determined by AGLC.
- 10.1.2 For raffles with a TTV more than \$20,000, 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. 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 report.
- 10.1.3 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.
- 10.1.4 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 or by phone at 780-447-7454 or 1-877-447-7575 during regular business hours.

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SECTION: 10. REPORTS AND RECORDS**10.2 RAFFLE RECORDS**

- 10.2.1 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.
- 10.2.2 All electronic entries, server data, and electronic report/records, such as ticket numbers and sales, must be backed up and stored externally from the server on durable electronic media (i.e., CD).
- 10.2.3 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;
 - 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 (if applicable);
 - 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,

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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.

- 10.2.4 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, and will provide a receipt for any items removed at the time of removal or as soon as possible after the removal.
- 10.2.5 After an electronic raffle has concluded, the licensed charitable organization must provide the following ERS reports to AGLC upon request:
- a) Raffle Drawing Report including the following information:
 - i) date and time of event;
 - ii) date and time of the start and finish of sales;
 - iii) licensee identification;
 - iv) sales information (sales totals, refunds, voids, reprints, and sales by price point);
 - v) prize(s) awarded to winning participant(s);
 - vi) refund totals by event;
 - vii) ticket numbers-in-play;
 - viii) winning number(s) drawn; and
 - ix) other reports as requested by AGLC.
 - b) Error/Exception Report - A report outlining system exception information including, but not limited to, changes to system parameters, corrections, overrides, and voids. All error/exception reports should include date and time stamp of the event(s).
 - c) Ticket Report - A report which includes a list of all tickets sold, including all associated ticket numbers, selling price, and RSU identifier.
 - d) Sales by RSU - A report including the breakdown of each RSU's total sales (including ticket numbers sold) and any voided and misprinted tickets.
 - e) Sales Online - A report including a breakdown of online sales, including ticket numbers issued and any voided or faulty tickets or reissue requests.

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- 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.

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SECTION: 10. REPORTS AND RECORDS**10.3 AUDIT REQUIREMENTS**

10.3.1 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.

10.3.2 In addition to the raffle records listed in Sections 10.2.3 and 10.2.5, 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;
- 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.

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