



RESPONSIBLE GAMING FRAMEWORK SUBMISSION GUIDE

What you need to do in order to complete or renew your submission for each level of the WLA RGF.

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OVERVIEW

WHO WE ARE

The World Lottery Association (WLA) is a member-based organization to advance the interests of state-authorized lotteries. We represent 152 lotteries from 84 countries on all five continents. Our vision is for the WLA to be recognized as the global authority on the lottery business, to uphold the highest ethical principles, and to support our members in achieving their vision for their own communities.

To support our vision we have created a Responsible Gaming Framework with 4 levels of certification, which lotteries can apply for to demonstrate their commitment to responsible gaming.

THE WLA RESPONSIBLE GAMING FRAMEWORK AND CERTIFICATION

The Responsible Gaming Framework (RGF) is made up of three areas;

- 1. The 7 Responsible Gaming Principles**
- 2. 4 levels of certification** which allow lotteries to demonstrate their level of commitment to the Gaming Principles
- 3. 10 program elements** that sit within each certification level and act as structure for lotteries to compile their certification submissions

Each of the four levels of certification reflects how successfully a lottery has implemented the RG Principles into its day-to-day operations. The WLA RGF serves to integrate the RG Principles into the day-to-day operations of the member lotteries. It has been designed with enough flexibility so that member lotteries can build programs that are in accordance with the laws in their jurisdictions and that accommodate any organizational, cultural or regional differences.

The WLA RGF is designed to complement and improve – not replace – the safeguards that individual lottery operators have in place.

MATURITY OF PROGRAM AND COMMITMENT TO RG

Level 4: Continuous Improvement

Members are implementing specific programs into their day-to-day operations and are continuously improving their programs. Submission must be accompanied by a report from an external assessor.*

Level 3: Planning and Implementation

Members need to develop a plan, a timetable and a budget to implement specific RG programs.

Level 2: Self-Assessment and Gap Analysis

Members complete a self-assessment and determine what RG programs need to be developed to ensure the organization addresses all the Principles.

Level 1: Commitment

You become a WLA member and agree to embrace the WLA Seven RG Principles. You make a commitment to progress your RG program through the 4 WLA levels.

KEY POINTS TO NOTE

- The submission for level 2 to 4 certification should be translated into English although lotteries can also send the original version of the submission. The supporting documents do not have to be translated and lotteries can send them in their original language.
- It is important your submission includes adequate information for each program element to allow the Independent Assessment Panel (IAP) to conduct a well-informed evaluation (e.g. copies of relevant policy documents, RG marketing or training materials, links to relevant websites etc.)
- A Level 4 submission is expected to provide robust evidence on program evaluation and focus on planning of future improvement opportunities. A Level 4 submission must be accompanied by a report from an external independent assessor. (See Appendix B).

* It is mandatory for level 4 that the lottery engages a qualified external independent assessor to review the lottery's RG programs. The costs may vary among jurisdictions.

- The applicant is free to choose what level of external assurance it wishes to seek from its external independent assessor. However, at a minimum the assessment should be carried out against the requirements of ‘agreed upon procedures’ level of assurance.
- As well, members can use their Internal Audit function in the level 4 assurance process. An internal audit of your RG program and related submission can reduce the scope of work that will then be required of an external assessors and hence reduce costs. Your Internal Audit function can advise you on this process. (In such a case, the external assessor would validate the internal audit work.)

SUBMISSION PROCESS

- 1 Read the submission guide for the relevant RG Certification level and supporting materials to help you prepare your submission
- 2 Send in electronic format, to the attention of Mélissa Azam at ma@world-lotteries.org. There are 2 deadlines throughout the year:
 - May 1st
 - October 1st
- 3 Entries will be screened for completeness and to ensure they fulfil the content requirements for the RG certification level. If the requirements have been met, the submission will be presented to the IAP for qualitative review and evaluation of the lottery’s RG program.
- 4 The IAP will complete their evaluation within 6 weeks and issue an evaluation report pointing out the strengths and improvement opportunities (the IAP will contact the lottery if further information is required). The IAP will make a recommendation to the WLA as to whether the submitting lottery meets the RGF criteria. This is sent along with the evaluation report to the WLA and the submitting lottery.
- 5 The lottery has 15 working days to review the IAP’s evaluation report. If clarification on any points is needed lotteries should contact the WLA Montreal office.
- 6 If no questions are received within 15 working days certification will automatically be issued by the WLA in accordance with the recommendation of the IAP.

The certification for all four levels is valid for three years from the date it is issued by the WLA office.

RECERTIFICATION

The recertification process is not automatic and lotteries must reapply every **three years** and demonstrate, with evidence, that its RG program maintains the standards for its current level of certification.

The re-submission date for a lottery whose certification period is coming to an end will be the submission date that immediately follows the end of the initial 3-year period, and not the one that precedes it. Example: Initial level 2 certification period December 2009 to December 2012, recertification submission date would be May 2013.

If your lottery decides to move forward to a higher certification level, it should prepare a complete submission based on the criteria for that level. For lotteries resubmitting at the same level the content of the submission should;

- Outline programs for each of the 10 RG program elements including the status report on these for the initial submission
- Provide complete information and evidence on what it has been done in the three years since certification
- Describe how it has dealt with the IAP's previous comments

Lotteries also need to attach initial submission and the IAP's report to the new submission. A lottery can be recertified at level 2, 3 and 4 even if its RG program has not progressed, as long as the new submission meets the criteria.

Please note submission guidelines are updated from time to time and Lotteries should review the most up to date guides and make adjustments to their report to meet current submission guidelines.

EL/WLA MEMBERS

Lotteries that have been certified for the EL Responsible Gaming Standard may apply directly for the WLA RGF level 4. These member lotteries will be required to submit a copy of their EL certification. The lottery can also submit their external independent assessor report for the IPA to review and provide constructive suggestions for continuous improvement.

The WLA RGF allows European lotteries that are not yet ready to achieve the EL RG Standard to submit for levels 2 and 3. It supports European lotteries in preparation for the EL RG Standard as well as for the higher level 4 of the WLA RGF.

SUPPORTING DOCUMENTS

Further guidance to help you compile your submission is available for levels 2, 3 and 4. Against each program element there are a series of statements that can serve as a guide in helping your lottery to compile your submission. These can be found here: <http://www.world-lotteries.org>

There is a library of best practice case studies also available at: <http://www.world-lotteries.org>

For level 4 advice on how to select an external independent assessor please refer to the External Independent Assessor Qualification Guide in Appendix B.

CONFIDENTIALITY

All submitted material is confidential. It will be reviewed solely by the WLA and the IAP and will not be publicized or given to any unauthorized party. Individuals authorized to review your material have signed a nondisclosure agreement and will handle your material with the greatest discretion and confidentiality.

THE WLA RESPONSIBLE GAMING INDEPENDENT ASSESSMENT PANEL

Submitting member lotteries will be certified to the WLA RGF with the help of the Independent Assessment Panel (IAP). This Panel is comprised of international experts from the field of corporate social responsibility and responsible gaming. As an independent body the IAP will review all submissions for the RGF levels 2 – 4 and will forward their certification recommendations to the WLA. Through the knowledge and expertise of the IAP, the WLA has a reliable and competent partner to aid it in evaluating all submissions and to help them render a decision on certification. The IAP's evaluation will also help submitting lotteries to optimize and continually improve their responsible gaming programs.

The panel has three members and a Chair. It is worth noting that:

- They come from a wide variety of backgrounds. All have substantial expertise in the fields of corporate social responsibility, sustainability and corporate governance. Beyond the gaming sector, they bring experience from areas as diverse as finance, sports, retail, marketing, manufacturing, government and telecoms.
- All hold senior positions either in their own companies or in major multinationals. Their insights and advice come less from an academic perspective, but more from practical corporate experience. Nonetheless they are all well connected to academic and research organizations and can access best practice knowledge.
- All are world leaders in their fields. They serve on international panels and are frequent speakers at major conferences worldwide.
- They have all lived and worked around the world, holding positions at various times in Europe, North and South America, Africa, Far East and Australasia.
- To complement their knowledge and expertise the panel can, if necessary, call upon the services of leading topic aspects around the world.

Although the IAP have sector knowledge, they will not have detailed knowledge about your lottery operation. Therefore, it is important that your submission includes adequate information for each program element to allow the IAP to conduct a well-informed evaluation. The IAP's evaluation can only be based on the information you provide in the submission, including supportive evidence (e.g. copies of relevant policy documents, RG marketing or training materials, links to relevant websites etc.).

The Panel members include:

- Anne Pattberg, IAP Chair (Germany)
- Robert Ladouceur (Canada)
- Henry Chan (Hong Kong)
- Vacant



ANNE
PATTBERG

Anne Pattberg is a long-time sustainability professional with broad experience and a record of successful cooperation with the lottery industry. From 2006 to 2011 she headed the sustainability department at Camelot Group plc, reporting direct to CEO Dianne Thompson. During that time she was also Chair of the European Lotteries Working Group on Responsible Gaming, and was instrumental in the development of both the WLA Responsible Gaming Framework and the EL Responsible Gaming Standard. After Camelot Anne worked for a number of years in a senior position at PwC Germany where she has advised DAX 30 and SME's on sustainability issues and conducted a variety of assurance projects, also for many German lotteries. Since 2015 she owns her own Business PB Consulting GmbH and is continuously working with some of Germany's largest companies on sustainability strategy, supply chain management topics, non-financial reporting etc. alongside her work as a chair for the WLA RG IAP.



ROBERT
LADOUCEUR

Robert Ladouceur, Professor Emeritus at Laval University in Quebec, has achieved international acclaim for his work on gambling pathologies. The cognitive treatment developed by his team at Laval University is widely used around the world, and his Reno Model, developed with Alex Blaszczynski from the University of Sydney and Howard Shaffer of Harvard University as a science-based strategic framework for responsible gaming, is used as a benchmark for many gaming jurisdictions in designing their prevention programs. Dr. Ladouceur has been invited to present his work to the US presidential committee on gambling, and has received prestigious awards from academic institutions throughout the world for his work on problem gambling prevention and treatment management.



HENRY
CHAN

Mr Henry Chan has over 35 years in the lottery industry and was the Executive Director, Betting of the Hong Kong Jockey Club for over 20 years. He was the elected Vice Chairman of the Asia Pacific Lottery Association at its founding in 2000 and was appointed to the New Media/Cross Border Committee of the World Lottery Association in 2001. He was elected Chairman of the Asia Pacific Lottery Association in 2004 and was re-elected for a second term in 2006. He also served on the Executive Committee of the World Lottery Association from 2004 to 2012. He was elected Vice President of the World Lottery Association in 2008 and Senior Vice President in 2010.

THE RESPONSIBLE GAMING WORKING GROUP



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THE 7 RESPONSIBLE GAMING PRINCIPLES

PREAMBLE

WLA Members are united in their commitment to foster the continuity of public order and the fight against illegal gambling as defined by the governments in each respective member jurisdiction. This commitment provides the background for the WLA Responsible Gaming Principles.

These Principles, using the WLA bylaws as a reference, have been developed as a result of the decision of the WLA Membership in 2003 in Granada to develop a comprehensive set of standards related to social responsibility. Gaming responsibility is a pivotal element in each individual WLA Member's ongoing commitment to this social responsibility and part of a proactive approach to the social impact of lotteries and other forms of gaming, including sports betting.

While the WLA Members, as gaming operators, play a central role in responsible gaming, there are a number of other stakeholders who play equally critical roles in this field, namely governments, regulators, treatment providers, researchers, community groups, individual players and their social networks. To effectively deal with issues of responsible gaming, a group effort is essential, and the principles in this document address the lottery industry's relationship to these stakeholders.

In pledging their support for these principles, WLA Members commit their vigilance in making responsible gaming an integral part of their daily operations, including activities involving employees, patrons, retailers and other stakeholders.

This pledge of support includes the encouragement of research initiatives and striving to achieve an appropriate balance between revenue, entertainment and customer expectations.

The principles in this document should not be construed as an interference, or an attempt to interfere with each respective governmental policy and the activities within their jurisdiction, but rather are meant to complement relevant policies and activities within each jurisdiction.

Therefore, WLA Members hereby commit themselves, within the social, economic political, ethical and cultural context and legal framework of the respective jurisdictions in which the lotteries operate, to the following Responsible Gaming Principles:

1. WLA Members will take reasonable and balanced measures to meet their objectives while protecting the interests of their customers and vulnerable groups; at the same time upholding their respective commitments to defend public order within their own jurisdiction.
2. WLA Members will ensure their practices and procedures reflect a combination of government regulations, operator self-regulation and individual responsibility.
3. WLA Members will develop their practices concerning responsible gaming-related issues on the fullest possible understanding of relevant information and analysis of documented research.
4. WLA Members will work with stakeholders – including governments, non-governmental organizations, regulators, researchers, public health professionals, and the general public – to share information, develop research and promote responsible gaming as broadly as possible, and encourage a better understanding of the social impact of gaming.
5. WLA Members will promote only legal and responsible gaming in all aspects of their activities, including the development, sale and marketing of their products and activities; and will make reasonable efforts to ensure their agents do the same.
6. WLA Members will provide the public with information in an accurate and balanced manner to enable individuals to make informed choices about gaming activities within the lotteries' jurisdiction. This commitment requires the following:
 - a. That the marketing of lottery activities and products be subject to reasonable operator self-regulation, and promote responsible gaming practices and informed choices.
 - b. That individuals shall be provided with accurate information about gaming and the risks associated with it, for example, organizing education program.
7. WLA Members will make a reasonable effort to monitor, test, and revise as appropriate, those activities and practices related to responsible gaming. Their findings will be publicly reported.

THE 10 PROGRAM ELEMENTS

The 10 Program Elements are the areas that members must address with actions. The IAP will evaluate a lottery's actions for each of the ten program elements. The lottery will be accredited by the WLA in accordance with the findings of the IAP. Please note that some of these elements may not be applicable in certain jurisdictions. It is clear to the WLA that elements such as remote gaming do not exist in certain regions. In other regions treatment referral may be dealt with by external organizations. The lottery should explain why a specific program element is not relevant for their specific organization and the IAP will take this into account.

THE 10 PROGRAM ELEMENTS ARE:

1. RESEARCH

A systematic process to support and/or conduct, integrate and disseminate responsible gaming related research.

2. EMPLOYEE PROGRAM

A systematic approach to ensure and support the efficient and effective application of RG principles by all relevant employees.

3. RETAILER PROGRAM

A systematic approach to ensure and support the efficient and effective application of RG Principles by retailers and their front-line staff.

4. GAME DESIGN

A systematic approach to applying evidence-based responsible gaming considerations to the design selection and introduction of new lottery and gaming products.

5. REMOTE GAMING CHANNELS

A systematic approach to ensure that interactive, remote gaming platforms have safeguards in place that protect the player.

6. ADVERTISING AND MARKETING COMMUNICATIONS

The application of policies and programs to ensure continuous improvement of responsible marketing and communications practices and application of regulatory codes.

7. PLAYER EDUCATION

A systematic approach to support, integrate and disseminate information related to good practices in responsible play ("informed player choice") and treatment referral.

8. TREATMENT REFERRAL

A systematic approach to offering customers with potential or actual gaming addiction problems support, guidance and referral to specialized services if needed.

9. STAKEHOLDER ENGAGEMENT

A systematic approach to identifying, understanding and integrating the interests of decision-makers, decision-influencers and other members of society into key RG-related business decisions and RG program development.

10. REPORTING AND MEASUREMENT

A systematic approach to measuring and reporting on your lottery's commitments, actions and progress on RG to relevant internal and external stakeholders.

LEVEL 1: COMMITMENT

1. By becoming a member of the WLA your lottery has agreed to embrace the WLA RG Principles. Hence the criteria for the level 1 certification have been fulfilled.
2. Your lottery will be sent the level 1 certification. The level 1 certification will be valid for a period of three years from the date of issue. The members are encouraged to move to a higher level within this three-year period.

RECERTIFICATION:

Because the certification is valid for three years, after that period you must either renew your level 1 certification or submit for a higher level by informing the WLA Secretary General.



Level 1 sample certificate.

LEVEL 2: SELF-ASSESSMENT AND GAP ANALYSIS

To achieve Level 2 certification lotteries are required to:

1. Conduct a self-assessment and have it signed off by the CEO (or equivalent). This will help your lottery to determine and describe what RG programs it needs to improve upon in order to address the seven RG Principles.
2. Prioritize what needs to be done based on gaps identified in the self-assessment. A full analysis is not required for all ten Program Elements. For any element that is not yet being addressed by the lottery it should indicate why not and what it would aspire to do in the future.

It is important that your submission includes an Organizational Profile of your lottery to allow the IAP to conduct a well-informed evaluation. The IAP's evaluation can only be based on the information you provide in the submission, including supportive evidence.

A guidance template has been developed for Level 2 with a series of questions helping your lottery to compile your submission. It is highly recommended that you study this guide carefully. To consult the level 2 template go to: www.world-lotteries.org

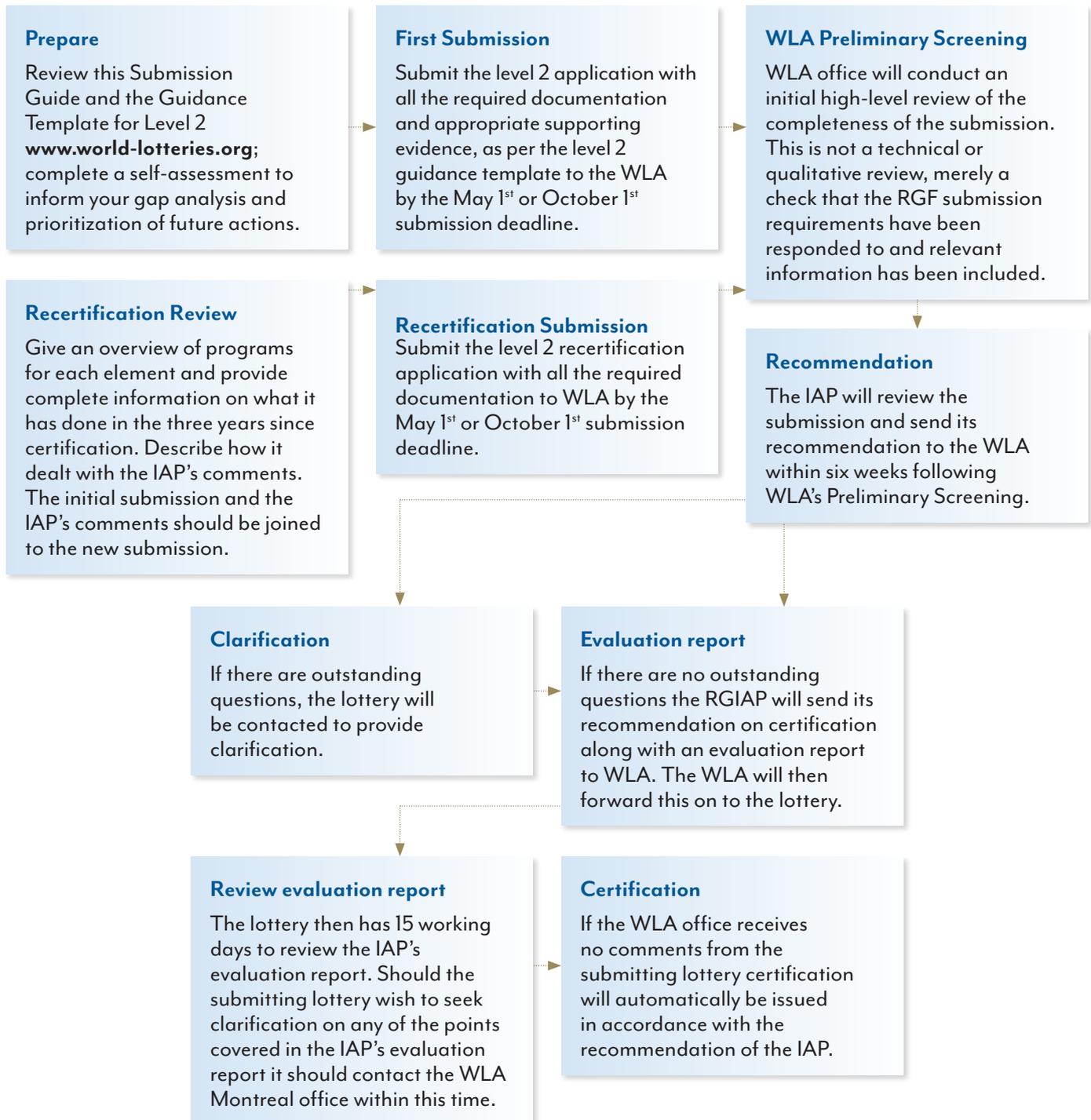
RECERTIFICATION:

Certification is valid for three years, after which, if your lottery decides to move forward to a higher level, it should prepare a submission following guidance for that level. If your lottery is resubmitting at level 2, it should give an overview of its programs for each element and then provide the required information and evidence on what it has done in the three years since certification. It should also describe how it dealt with the IAP's previous comments as well as any gaps in the current program and future priority actions. The initial submission and the IAP's comments should be attached to the new submission. A lottery can be recertified at level 2 even if it has not progressed its RG program as long as the new submission, taken by itself, meets the level criteria.



Level 2 sample certificate.

THE STEPS TO ACHIEVING LEVEL 2 CERTIFICATION



LEVEL 3: PLANNING AND IMPLEMENTATION

To achieve level 3 certification, lotteries are required to have:

1. Allocated sufficient resources to support the implementation of specific RG programs and initiatives.
2. Initiated the development of internal and external communications activities to inform relevant stakeholders of your lottery's RG commitments.
3. Initiated the implementation of engagement processes that support the development of a RG program.

It is important that your submission includes an Organizational Profile of your lottery to allow the IAP to conduct a well-informed evaluation. The IAP's evaluation can only be based on the information you provide in the submission, including supportive evidence.

A guidance template has been developed for Level 3 with a series of questions helping your lottery to compile your submission. It is highly recommended that you study this guide carefully. To consult the level 3 template go to:

www.world-lotteries.org

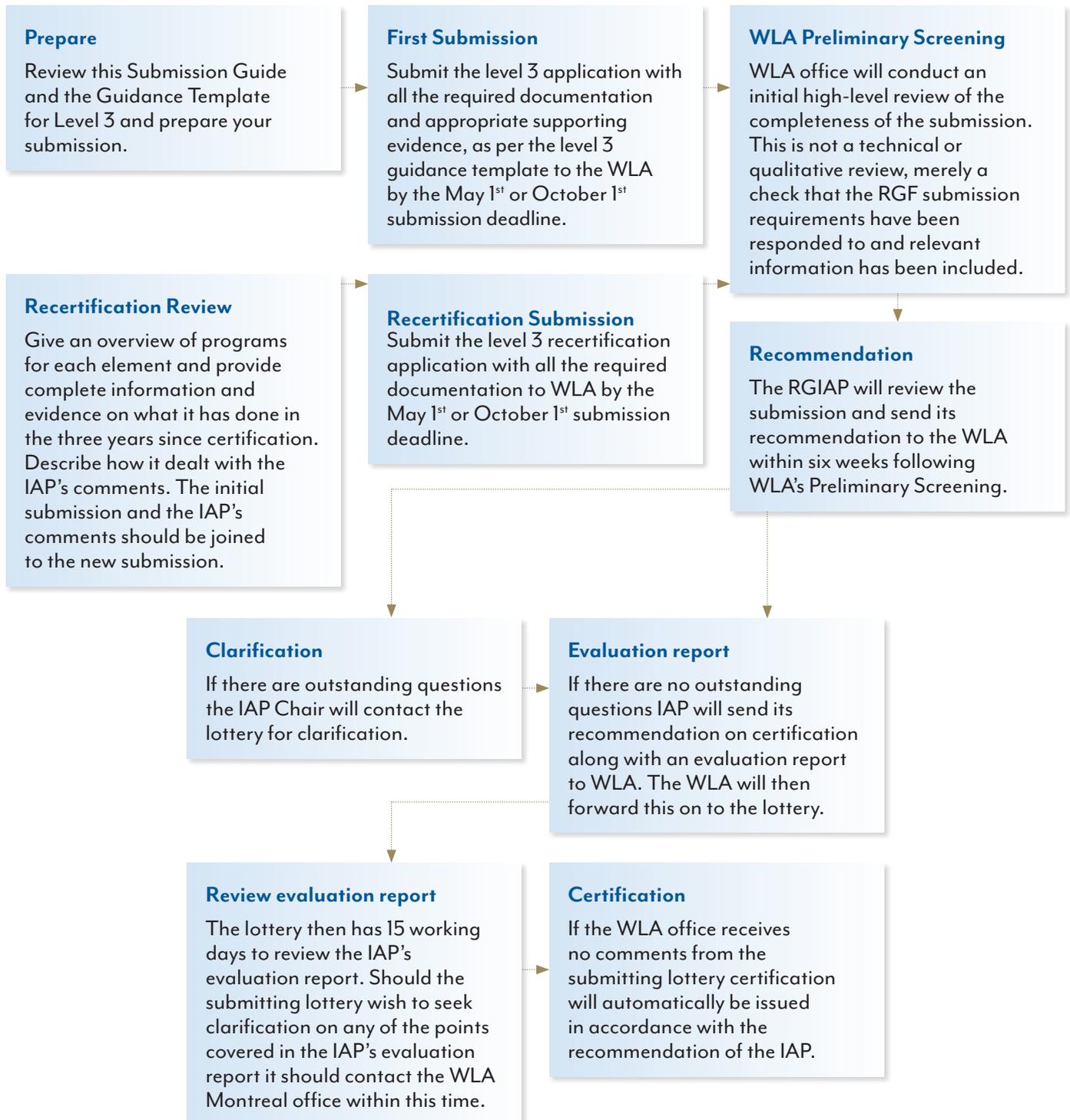
RECERTIFICATION:

If your lottery is resubmitting at level 3, it should give an overview of its programs for each element and then provide the required information and evidence on what it has done in the three years since certification. It should also describe how it dealt with the IAP's previous comments. The initial submission and the IAP's comments should be attached to the new submission. A lottery can be recertified at level 3 even if it has not progressed as long as the new submission, taken by itself, meets the level 3 criteria.



Level 3 sample certificate.

THE STEPS TO ACHIEVING LEVEL 3 CERTIFICATION



LEVEL 4: CONTINUOUS IMPROVEMENT

To achieve Level 4 certification, lotteries are required to have:

1. Integrated specific RG programs into their day-to-day operations and decision-making.
2. Integrated stakeholder feedback and considered their expectations regarding RG program development.
3. Their submission accuracy and reliability assured by an external independent assessor.
4. Established formal internal and external reporting mechanisms on their RG commitments, actions and progress to relevant internal and external stakeholders.

A guidance template has been developed for Level 4 with a series of questions helping your lottery to compile your submission. It is highly recommended that you study this guide carefully. To consult the level 4 template go to:

www.world-lotteries.org

The submission must be accompanied by an external independent assessor's report. If the applicant believes that it is pertinent, it can provide the IAP with any comments it might have in regards to the assessment report from its external independent assessor.

Lotteries should limit their core submission to around 125 pages. The core application should be self explanatory and give only an overview of what has been done. The supporting documents should not be repeated and executive summary can be provided when available. It is not relevant to include questionnaires, only the results. The appendix should be clearly labelled in accordance with the program elements and repetition should be avoided.



Level 4 sample certificate.

RECERTIFICATION:

If your lottery is resubmitting at level 4, it should give an overview of its programs for each element and then provide the required information and evidence on what it has done in the three years since certification. It should also describe how it dealt with the IAP's previous comments. The initial submission and the IAP's comments should be attached to the new submission.

For EL members already certified for the EL RG standard:

1. Submit a copy of the EL certification. The document should be sent in electronic format to the WLA Montreal office at ma@world-lotteries.org. A copy of the external independent assessor report can also be sent at the lottery's discretion.
2. As soon as the WLA receives this document the lottery is automatically entitled to the level 4 certification.
3. The certificate will follow along. If the lottery has sent their external independent assessment report it will also receive comments or suggestions from the IAP.

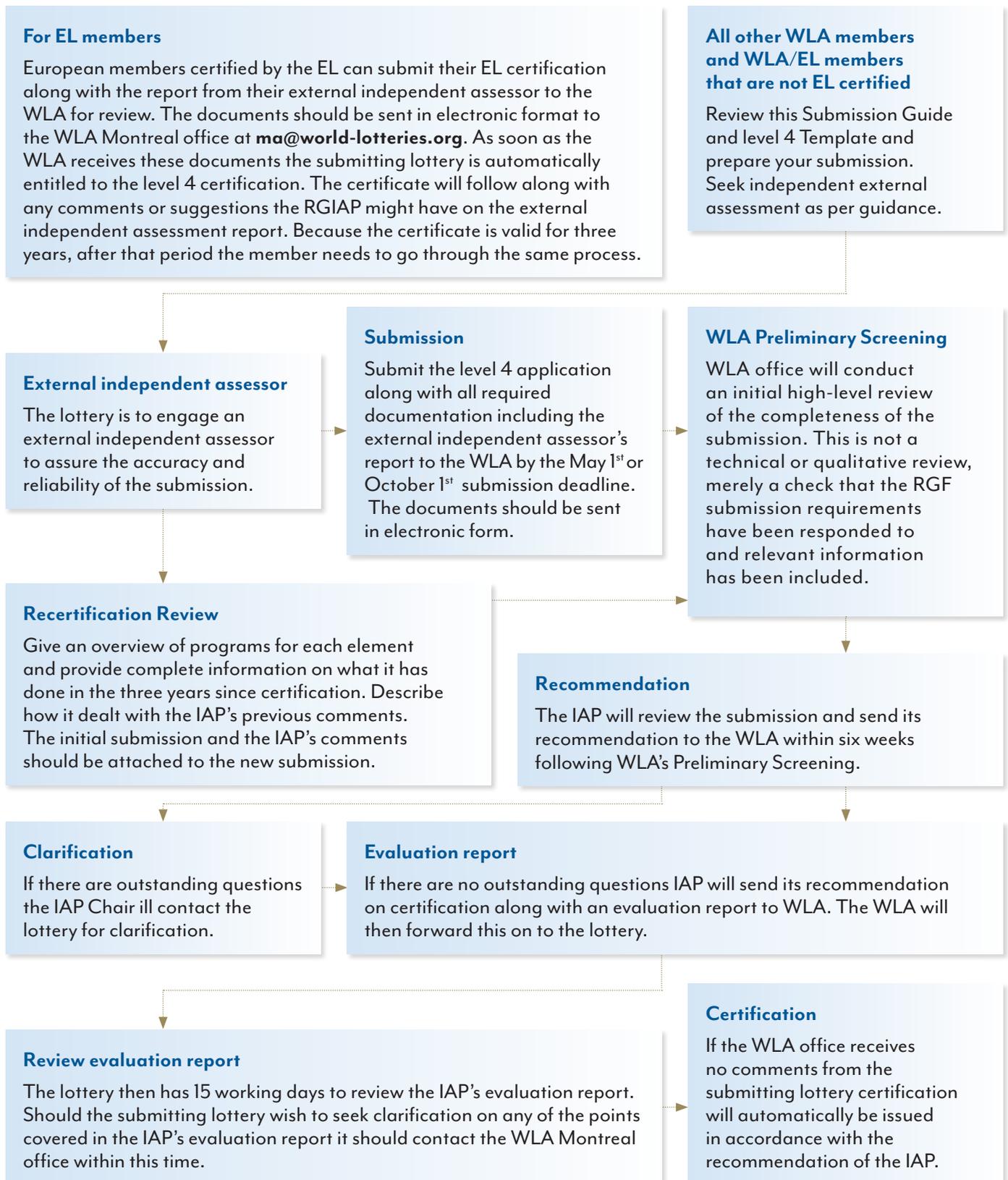
EL MEMBERS

European member lotteries that are also members of the European State Lottery and Toto Association (EL) and have been certified for the EL Responsible Gaming Standard may apply directly for the WLA RGF level 4. These member lotteries will be required to submit a copy of their EL certification. Upon the WLA receiving this document the submitting lottery is automatically entitled to the WLA RGF level 4 certification. However, while not obligatory, if the lottery wishes to receive comments and suggestions from the IAP it should also send its external independent assessor report. In that case the IAP will review the external independent assessor's report and provide the lottery with observations and recommendations.



Level 4 sample certificate.
(EL Responsible Gaming certified WLA members)

THE STEPS TO ACHIEVING LEVEL 4 CERTIFICATION



APPENDIX A

RGF CERTIFIED ORGANIZATIONS

At the time of printing, in July, 2019, the following lottery organizations have been granted accreditation by the World Lottery Association for the WLA RGF. Each organization has received certification for the framework level as per the recommendation of the IAP. For the sake of promoting the sharing of information and experience among the membership we have included the contact information of those in charge of responsible gaming at each of the certified lottery organizations.

However, since there are two certification periods per year, the list is subject to modification. For the most current status on the RG certified organizations, you can review this list by visiting the WLA website at www.world-lotteries.org

LEVEL FOUR

AFRICA

Morocco

La Marocaine des Jeux et des Sports

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Loterie Nationale

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ASIA PACIFIC

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Hong Kong

The Hong Kong Jockey Club

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New Zealand

Lotto New Zealand

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Singapore

Singapore Pools (Private) Limited

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South Korea

Korea Sports Promotion Foundation

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Ktoto Co., Ltd.

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EUROPE

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Österreichische Lotterien GmbH

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Belgium

Loterie Nationale

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Estland

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Finland

Veikkaus Oy

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NordwestLotto Schleswig-Holstein GmbH & Co. KG

Staatliche Lotterieverwaltung Bayern (LOTTO Bayern)

LEVEL FOUR (CONT'D)

EUROPE (cont'd)

Germany (cont'd)

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Toto-Lotto Niedersachsen GmbH

Contact: Herbert John
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Westdeutsche Lotterie GmbH & Co. OHG

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Greece

Hellenic Lotteries SA

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OPAP S.A.

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Szerencsejáték Zrt.

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Iceland

Getspá/Getraunir (formerly Íslensk Getspá)

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University of Iceland Lottery (Happdrætti Háskóla Íslands)

Ireland

Premier Lotteries Ireland

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Italy

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Lituania

UAB Olifeja

Luxembourg

Loterie Nationale

Contact: Léon Losch
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Malta

Maltco Lotteries Limited

Netherlands

Nederlandse Loterij

Contact: Willemijn Jansen
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Norway

Norsk Tipping AS

Contact: Linda Eng Strand
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Poland

Totalizator Sportowy Sp. z o.o.

Contact: Martyna Strupczewska
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Portugal

Santa Casa da Misericórdia de Lisboa

Contact: Maria Isabel Figueiredo Pais
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Slovenia

Loterija Slovenije, d. d.

Contact: Franci Krizan
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Športna loterija d.d.

Contact: Tina Steblaj
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Spain

Organización Nacional de Ciegos Españoles ONCE

Contact: Oscar Castro Villar
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Sociedad Estatal Loterías y Apuestas del Estado (SELAE)

Contact: Elena Peñalva López
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APPENDIX A

LEVEL FOUR (CONT'D)

EUROPE (cont'd)

Sweden

AB Svenska Spel

Contact: Monica Medvall
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Switzerland

Société de la Loterie de la Suisse Romande

Contact: Danielle Perrette
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United Kingdom

Camelot Group plc

Contact: Alison Gardner
alison.gardner@camelotgroup.co.uk

Ukraine

MSL

Ukrainian National Lottery

MIDDLE EAST

Israel

Israel Sports Betting Board – ISBB

Mifal Hapais

Contact: Saul Sotnik, ssotnik@pais.co.il

NORTH AMERICA

Canada

Atlantic Lottery

Contact: Ashley Mcguigan
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British Columbia Lottery Corporation (BCLC)

Contact: Susan Dolinski
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Loto-Québec

Contact: Lynne Roiter
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Manitoba Lotteries Corporation

Contact: Bev Mehmel
Bev.Mehmel@mbl.ca

Ontario Lottery and Gaming Corporation

Contact: Phil Mun, pmun@olg.ca

United States of America

California Lottery

Contact: Paula Negrete
pnegrete@calottery.com

Hoosier Lottery

Contact: Katie Carlson
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Missouri Lottery

Contact: Connor Stieferman
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New Jersey Lottery

Contact: Timothy Rolwood
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New York State Gaming Commission Lottery

Contact: Carolyn Hapeman
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North Carolina Education Lottery

Contact: Teri Riddle
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Tennessee Education Lottery Corporation

Contact: Kym Gerlock
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SOUTH AMERICA

Argentina

Lotería de Córdoba S.E

Contact: Dr. Raul Ricardo Quiroga
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Uruguay

Banca de Quinielas de Montevideo

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LEVEL THREE

AFRICA

Mauritius

Lottotech Ltd.

Contact: Dimple Seechurn

Dimple.Seechurn@lottotech.mu

ASIA PACIFIC

China

China Sports Lottery

Administration Center

Contact: April He (He Jiao)

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China Welfare Lottery Issuance and Management Centre (CWL)

Contact: Xu Zhuo

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EUROPE

Slovakia

TIPOS, národná lotériová spoloènost, a.s.

Contact: Branislav St'ahuliak

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NORTH AMERICA

United States of America

Georgia Lottery Corporation

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Kentucky Lottery Corporation

Contact: Chip Polston

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Maryland Lottery

Contact: Gordon Medenica

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The Illinois Lottery

Contact: Avis LaVelle

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Texas Lottery Commission

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SOUTH AMERICA

Brazil

Caixa Economica Federal

Contact: Rogério de Jesus Freire

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LEVEL TWO

AFRICA

Burkina Faso

Loterie Nationale Burkinabé (LONAB)

Contact: Aymar Tiendrebeogo

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Ivory Coast

Loterie Nationale de Côte d'Ivoire (LONACI)

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Senegal

LO.NA.SE.

Contact: Birane Ndao

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ASIA PACIFIC

Malaysia

Magnum Corporation

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Vietnam

Vietlott

NORTH AMERICA

United States of America

New Hampshire

Lottery Commission

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SOUTH AMERICA

Argentina

Loteria de Buenos Aires

APPENDIX B EXTERNAL INDEPENDENT ASSESSOR QUALIFICATION GUIDE

It is up to the lottery to choose a qualified external independent assessor. It is expected that a submitting lottery will consider a variety of bodies as potential assessors based on their capability. In order to help you with your selection we have provided you with this brief guideline*.

1. Potential Assessors may include:

- a. established, accredited audit or certification bodies,
- b. assurers of corporate responsibility, sustainability performance, or auditors of financial and/or nonfinancial statements,
- c. non-governmental organizations in gaming or related areas,
- d. governmental organizations exerting regulatory control, directly or on behalf of the regulator,
- e. suitably qualified individuals or teams,
- f. for Level 4 submissions an Internal Audit team, provided the IA report is validated by an external assurance provider as per the criteria in points a – e.

2. Assessors should:

- a. be adequately experienced to assess the degree of alignment with the RG Level 4 requirements based at least on 'agreed upon procedures' level of assurance.
- b. have sufficient knowledge of audit, review and assessment methods to be able to carry out a robust investigation, and to obtain an accurate account of alignment,
- c. conduct the assessment according to a submitted assessment plan,
- d. be independent to draw conclusions that are objective,
- e. have a clear decision-making structure to interpret findings and to ensure that proper conclusions are drawn e.g. through a lead assessor, chair or team leader,
- f. be in a legal position to sign a formal binding confidentiality agreement, either individually or collectively,
- g. maintain records of assessments securely and confidentially for at least a period of three years.

3. Assessors must not:

- a. be linked to the lottery in a way that could affect or be perceived as affecting the impartiality of the assessment,
- b. have had any significant input into the responsible gaming processes of the lottery, or having significantly participated in the design, development, implementation or maintenance of any supporting management systems that contribute to alignment,
- c. sub-contract any part of the assignment, unless this is disclosed and detailed information included in the submitted assessment plan.

4. Other considerations

- a. Although it is not a requirement that an assessor be formally accredited to an international or national standard it may be beneficial if they are.
- b. Examples of recognized certification standards include:
 - ISO/IEC 17021 Conformity assessment: Requirements for bodies providing audit and certification of management systems
 - European Standard EN45012: General requirements for bodies operating assessment and certification/ registration of quality systems
 - International Standard on Assurance Engagements (ISAE) 3000 Revised, Assurance Engagements Other than Audits or Reviews of Historical Financial Information.

*The criteria for selecting an external independent assessor contained in this Appendix have been informed by the European Lottery Association's EL Responsible Gaming Standard.

