World Lottery Association

WLA-SCS Crisis Management Guidance

A guidance issued by the WLA SRMC to allow the execution of WLA-SCS certification assessments in case of critical situations.

Application date: 23/07/2020
# Contents

- Introduction ........................................................................................................... 3
- Chapter 1 – Scope .................................................................................................. 3
- Chapter 2 – Definition of critical situation ......................................................... 3
- Chapter 3 – ASEs and auditors’ role ................................................................. 3
- Chapter 4 – Disruption of WLA members’ activities .......................................... 3
- Chapter 5 – Disruption of ASEs’ and auditors’ services .................................... 4
- Chapter 6 - Remote audits .................................................................................. 5
Introduction
This document constitutes guidance to address critical situations affecting the execution of WLA-SCS certification assessments.

This document is intended for:

- WLA members holding a WLA-SCS certificate;
- Assessment Service Entities (ASEs) affiliated with the WLA;
- Auditors providing WLA-SCS services.

This document does not impose any obligations. Nonetheless, it constitutes a basis for evaluating critical situations and for the WLA to take official decisions that may potentially supersede the regular rules established in the Guide to Certification (GtC) for the WLA-SCS.

Chapter 1 – Scope
The scope of WLA-SCS Crisis Management Guidance is to provide initial details that allow the flexible application of WLA-SCS rules in critical situations that affect the regular development of WLA-SCS audits already planned or to be planned.

Chapter 2 – Definition of critical situation
A critical situation refers to any circumstances beyond the control of the organization, commonly referred to as “Force Majeure” or “act of God”. Examples are war, strikes, riots, political instability, geopolitical tension, terrorism, crime, pandemics, flooding, earthquakes, malicious computer hacking, and other natural or man-made disasters.

A critical situation is recognized as such when it disrupts WLA member operability either partially or completely, making it difficult if not impossible to schedule and perform WLA-SCS assessments.

Chapter 3 – ASEs and auditors’ role
ASEs affiliated with the WLA are encouraged to have plans and procedures in place to quickly recognize and address any critical situation that may affect their own operability or those of certified WLA members, with consequential flow-on to audits. Plans and procedures should outline steps, contact details, and tools to be used in case of crisis in order to guarantee the continuity of certification with a minimum level of risk.

When a critical situation affects an already scheduled assessment, or can potentially affect future assessments, ASEs and auditors must promptly inform the WLA and provide all available information to allow the monitoring of the situation.

Chapter 4 – Disruption of WLA members’ activities
When WLA member’s business operations are heavily or completely disrupted, or the WLA member is partially or totally unable to access or provide access to its premises owing to the critical situation, the WLA can recognize the following temporary deviations to the regular rules established in the GtC for the WLA-SCS.

Annual assessments
1. Annual assessments can be performed remotely (see Chapter 6).
2. If neither physical nor remote audits are possible, annual audits can be postponed until the critical situation is past and normal operations are restored both from the WLA member’s and the auditor’s side.
3. The annual audit’s postponement should not exceed 6 months from the expected audit that, according to the rules, must take place within 12 months from an initial or recertification audit and within 12 months from a first annual audit.
4. If after 6 months’ postponement it is not possible to perform the assessment, either physically or remotely, then during the subsequent annual assessment all controls must be assessed, taking into consideration the rules for recertification assessments.
5. If the annual assessment is not performed within 12 months from the expected date, the certificate is suspended until a new recertification assessment is performed.

Recertification assessments

1. Recertification assessments can be performed remotely (see Chapter 6).
2. If neither physical nor remote assessments are possible, the WLA can recognize a special extension of the certificate validity.
3. The request for validity extension must be received by the WLA in a reasonable time prior to certificate expiration to avoid loss of certification.
4. The certificate validity extension cannot exceed 6 months from the original expiration date.
5. If the recertification assessment is not performed within 6 months of the original expiration date, the certificate is suspended until a new recertification assessment is performed.

General rules for temporary deviations

Deviations to regular rules are acceptable only for annual assessments and recertification assessments. Initial assessments are not recommended during critical situations.

Deviations to regular rules can be recognized by the WLA provided that sufficient evidence about a critical situation is provided by the auditor.

Any official decisions taken by the WLA that supersede regular rules must be written and signed by WLA management. Without an official decision and communication from the WLA, any deviation from regular rules can lead to the application of invalidity clauses included in the GtC for the WLA-SCS.

Chapter 5 – Disruption of ASEs’ and auditors’ services

When the activities of ASEs or auditors selected to perform WLA-SCS audits are partially or totally disrupted, and an already selected auditor is unable to perform physical or remote audits owing to the critical situation, the WLA member can decide to select a different ASE and/or auditor.

In such a case, the WLA can grant a 3 months’ postponement for annual audits or 3 months’ certificate validity extension provided the following conditions are true:

1. The ASE or auditor’s operability is affected by a demonstrated critical situation.
2. The ASE is unable to replace the auditor in due time.
3. The acknowledgement of the ASE’s or auditor’s inability to perform the audits happens less than one month before the scheduled audit.

The same applies in case of liquidation or bankruptcy of the ASE.
Chapter 6 - Remote audits

In critical situations that prevent or retard physical visits during WLA-SCS audits, remote assessments can be organized and performed.

The decision to perform remote assessments must be taken by both the auditor and the WLA member, taking into consideration the following points:

1. Availability of proper Information Communication Technology (ICT) allowing access to relevant information required for assessment and guaranteeing feasibility and efficacy of the assessment process.
2. Sound competency in the use of ICT, both by the auditor and the WLA member.
3. Clear understanding and fulfillment of local requirements related to confidentiality, security, and data protection rules.
4. Documented feasibility and risk analysis.

Remote assessments are possible only for auditors employed by ASEs that have documented procedures and rules to evaluate, schedule, and perform remote audits.

When drafting a remote audit policy or planning a remote assessment, the following documents shall be taken into consideration either by the ASE and the auditors:


Auditors that wish to perform remote audits must complete and send the “WLA-SCS Remote Assessment Request” to the WLA and receive an acceptance notice from the WLA before the remote audit is scheduled and performed.

A template of the “WLA-SCS Remote Assessment Request” can be found in Annex 1.
## Annex 1 – WLA-SCS Remote Assessment Request

### WLA-SCS Remote Assessment Request

<table>
<thead>
<tr>
<th>WLA member and WLA-SCS certificate details</th>
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</thead>
<tbody>
<tr>
<td>WLA member - name of the organization</td>
</tr>
<tr>
<td>WLA-SCS certificate expiry date</td>
</tr>
<tr>
<td>WLA-SCS certificate number (if available)</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>WLA-SCS remote assessment details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of assessment:</td>
</tr>
<tr>
<td>Recertification</td>
</tr>
<tr>
<td>Annual review</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Number of premises to be assessed:</th>
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</table>

<table>
<thead>
<tr>
<th>Addresses of premises to be assessed:</th>
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</thead>
</table>

<table>
<thead>
<tr>
<th>Intended date/s of the assessment:</th>
</tr>
</thead>
</table>

Signatories confirm that:

- ICT is available and adequate to guarantee feasibility and efficiency of the process
- Involved parties have a sound knowledge of ICT to be used during the assessment
- All applicable legislations and regulations to guarantee confidentiality, security and data protection are taken into consideration and proper measures to ensure compliancy are in place
- Feasibility and risk analysis have been performed and is available for review under request
- The ASE has documented procedures and rules to evaluate, schedule and perform remote audits

### Contact details and signatures

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<thead>
<tr>
<th>ASE:</th>
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<table>
<thead>
<tr>
<th>Auditor:</th>
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<tr>
<th>Date:</th>
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<table>
<thead>
<tr>
<th>WLA member representative:</th>
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<table>
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<tr>
<th>Date:</th>
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