

WLA-SCS:2016 Assessment form

WLA-SCS:2016 assessment confirmed completed

Applies to WLA member

Initial certification

Recertification

Annual Audit

A valid and current ISO/IEC 27001 certification with a global scope has been verified. *

The Statement of Applicability has been verified.

The General Security and Integrity Control Objectives and Controls of Annex A have been audited.

The Lottery and Gaming Specific Security and Integrity Control Objectives and Controls of Annex B have been audited.

Name and address of the ISO/IEC 27001 certifying body.

ISO/IEC 27001 certification registry number.

Latest issue date of the ISO/IEC 27001 certificate.

Expiry date of the ISO/IEC 27001 certificate.

*

The organization's ISMS scope shall include all lottery and gaming related activities of its operations, including all related assets and information systems, as defined in paragraph 5.2 of the WLA-SCS:2016 standard documentation.

WLA-SCS:2016 Assessment form

Scope of the ISO/IEC 27001 certificate.

Scope of the WLA-SCS:2016 certificate.

WLA-SCS:2016 Assessment form

1. WLA-SCS:2016 Annex A – General Security and Integrity Control Objectives and Controls

<i>Name of control</i>	Audited
G.1 Organization of security	
G.1.1 Allocation of security responsibilities	
G.1.1.1 Security forum	<input type="checkbox"/>
G.1.1.2 Security function	<input type="checkbox"/>
G.1.1.3 Security function reporting	<input type="checkbox"/>
G.1.1.4 Security function position	<input type="checkbox"/>
G.1.1.5 Security function responsibility	<input type="checkbox"/>
G.2 Human resources security	
G.2.1 Implementation of a code of conduct	
G.2.1.1 Code of conduct	<input type="checkbox"/>
G.2.1.2 Adherence and disciplinary action	<input type="checkbox"/>
G.2.1.3 Conflict of interest	<input type="checkbox"/>
G.2.1.4 Policy on hospitality or gifts	<input type="checkbox"/>
G.3 Physical and environmental security	
G.3.1 Secure areas	
G.3.1.1 Physical entry controls	<input type="checkbox"/>

<i>Name of control</i>	Audited
G.4 Access control to gaming systems	
G.4.1 Remote user access management	
G.4.1.1 Remote user access to gaming systems	<input type="checkbox"/>
G.4.1.2 Remote user access functions	<input type="checkbox"/>
G.4.1.3 Remote user access logging	<input type="checkbox"/>
G.5 Information systems maintenance	
G.5.1 Cryptographic controls	
G.5.1.1 Cryptographic controls for data on portable systems	<input type="checkbox"/>
G.5.1.2 Cryptographic controls for networks	<input type="checkbox"/>
G.5.1.3 Cryptographic controls for storage	<input type="checkbox"/>
G.5.1.4 Cryptographic controls for validation numbers	<input type="checkbox"/>
G.5.1.5 Cryptographic controls for transfers	<input type="checkbox"/>
G.5.2 System testing	
G.5.2.1 Test methodology policy and data	<input type="checkbox"/>
G.6 Business continuity management	
G.6.1 Press media handling and availability	
G.6.1.1 Press media and personnel handling	<input type="checkbox"/>
G.6.1.2 Shareholder or Board approval	<input type="checkbox"/>
G.6.2 Business continuity plan and exercises	
G.6.2.1 Business continuity plan	<input type="checkbox"/>
G.6.2.2 Violent situations	<input type="checkbox"/>

WLA-SCS:2016 Assessment form

2. WLA-SCS:2016 Annex B – Lottery and Gaming Specific Security and Integrity Control Objectives and Controls

Name of control		Audited	Not applicable
L.1	Instant tickets		
L.1.1	Instant game design		
L.1.1.1	Documented instant ticket procedures	<input type="checkbox"/>	<input type="checkbox"/>
L.1.1.2	Game design approval	<input type="checkbox"/>	<input type="checkbox"/>
L.1.1.3	Supplier selection	<input type="checkbox"/>	<input type="checkbox"/>
L.1.1.4	Security requirements	<input type="checkbox"/>	<input type="checkbox"/>
L.1.1.5	Quality control	<input type="checkbox"/>	<input type="checkbox"/>
L.1.1.6	Policy on audits and laboratory testing	<input type="checkbox"/>	<input type="checkbox"/>
L.1.2	Instant ticket printing		
L.1.2.1	Instant ticket printing requirements	<input type="checkbox"/>	<input type="checkbox"/>
L.1.2.2	Printing quality assurance	<input type="checkbox"/>	<input type="checkbox"/>
L.1.2.3	Encrypted validation numbers	<input type="checkbox"/>	<input type="checkbox"/>
L.1.2.4	Encrypted validation and winner files	<input type="checkbox"/>	<input type="checkbox"/>
L.1.2.5	Ticket verification	<input type="checkbox"/>	<input type="checkbox"/>
L.1.2.6	Acceptance testing of data	<input type="checkbox"/>	<input type="checkbox"/>
L.1.3	Shipment of instant tickets		
L.1.3.1	Shipping manifest	<input type="checkbox"/>	<input type="checkbox"/>
L.1.3.2	Transportation method	<input type="checkbox"/>	<input type="checkbox"/>
L.1.3.3	Sealed transport containers	<input type="checkbox"/>	<input type="checkbox"/>

Name of control		Audited	Not applicable
L.1.4	Storage and distribution of instant tickets		
L.1.4.1	Storage facility audits	<input type="checkbox"/>	<input type="checkbox"/>
L.1.4.2	Ticket transport verification	<input type="checkbox"/>	<input type="checkbox"/>
L.1.4.3	Ticket verification procedure	<input type="checkbox"/>	<input type="checkbox"/>
L.1.4.4	Ticket verification outcome	<input type="checkbox"/>	<input type="checkbox"/>
L.1.4.5	Instant ticket control system	<input type="checkbox"/>	<input type="checkbox"/>
L.1.5	Retailer security – instant tickets		
L.1.5.1	Instant ticket receipt by retailers	<input type="checkbox"/>	<input type="checkbox"/>
L.1.5.2	Receipt confirmation	<input type="checkbox"/>	<input type="checkbox"/>
L.1.5.3	Retailer instructions	<input type="checkbox"/>	<input type="checkbox"/>
L.1.5.4	Retailer security training	<input type="checkbox"/>	<input type="checkbox"/>
L.1.6	Instant game closures		
L.1.6.1	Game closure procedure	<input type="checkbox"/>	<input type="checkbox"/>
L.1.6.2	Retailer information	<input type="checkbox"/>	<input type="checkbox"/>
L.1.6.3	Balance of ticket stock	<input type="checkbox"/>	<input type="checkbox"/>
L.1.6.4	Stock audit check	<input type="checkbox"/>	<input type="checkbox"/>
L.1.6.5	Authorized parties	<input type="checkbox"/>	<input type="checkbox"/>
L.1.6.6	Ticket destruction	<input type="checkbox"/>	<input type="checkbox"/>



WLA-SCS:2016 Assessment form

→ (Continued from 4/9)

Name of control	Audited	Not applicable
L.2 Lottery draws		
L.2.1 Lottery draw management		
L.2.1.1 Draw event	<input type="checkbox"/>	<input type="checkbox"/>
L.2.1.2 Draw working instructions	<input type="checkbox"/>	<input type="checkbox"/>
L.2.1.3 Draw team members	<input type="checkbox"/>	<input type="checkbox"/>
L.2.1.4 Draw team duties	<input type="checkbox"/>	<input type="checkbox"/>
L.2.1.5 Reserve draw team	<input type="checkbox"/>	<input type="checkbox"/>
L.2.1.6 Draw timing	<input type="checkbox"/>	<input type="checkbox"/>
L.2.1.7 Draw observers	<input type="checkbox"/>	<input type="checkbox"/>
L.2.2 Conduct of the draw		
L.2.2.1 Draw procedure	<input type="checkbox"/>	<input type="checkbox"/>
L.2.2.2 Draw step-by-step guide	<input type="checkbox"/>	<input type="checkbox"/>
L.2.2.3 Draw location	<input type="checkbox"/>	<input type="checkbox"/>
L.2.2.4 Draw attendance and responsibilities	<input type="checkbox"/>	<input type="checkbox"/>
L.2.2.5 Draw supervision	<input type="checkbox"/>	<input type="checkbox"/>
L.2.2.6 Draw operation security	<input type="checkbox"/>	<input type="checkbox"/>
L.2.2.7 Draw emergency	<input type="checkbox"/>	<input type="checkbox"/>
L.2.3 Physical drawing appliances and ball sets		
L.2.3.1 Inspection procedure	<input type="checkbox"/>	<input type="checkbox"/>
L.2.3.2 Regular inspection and maintenance	<input type="checkbox"/>	<input type="checkbox"/>
L.2.3.3 Compatible ball sets	<input type="checkbox"/>	<input type="checkbox"/>
L.2.3.4 Replacement draw appliance	<input type="checkbox"/>	<input type="checkbox"/>
L.2.3.5 Draw appliance and ball set handling, storage and movement	<input type="checkbox"/>	<input type="checkbox"/>

Name of control	Audited	Not applicable
L.2.4 Electronic Lottery Draws		
L.2.4.1 Physical and logical protection of the technical system	<input type="checkbox"/>	<input type="checkbox"/>
L.2.4.2 Secured transmissions	<input type="checkbox"/>	<input type="checkbox"/>
L.2.4.3 Electronic draw randomness and integrity verification	<input type="checkbox"/>	<input type="checkbox"/>
L.2.4.4 Separation of duties	<input type="checkbox"/>	<input type="checkbox"/>
L.3 Retailer security		
L.3.1 Recruitment and set-up		
L.3.1.1 Retailer contract	<input type="checkbox"/>	<input type="checkbox"/>
L.3.2 Retailer operations		
L.3.2.1 Retailer security	<input type="checkbox"/>	<input type="checkbox"/>
L.3.3 Gaming terminal security		
L.3.3.1 Transaction security	<input type="checkbox"/>	<input type="checkbox"/>
L.3.3.2 Terminal security testing	<input type="checkbox"/>	<input type="checkbox"/>
L.3.3.3 Self-service terminal security	<input type="checkbox"/>	<input type="checkbox"/>

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WLA-SCS:2016 Assessment form

→ (Continued from 5/9)

Name of control		Audited	Not applicable
L.4	Prize money protection		
L.4.1	Validation and payout of prizes		
L.4.1.1	Validity of winning information	<input type="checkbox"/>	<input type="checkbox"/>
L.4.1.2	Validation processes	<input type="checkbox"/>	<input type="checkbox"/>
L.4.1.3	Prize payout	<input type="checkbox"/>	<input type="checkbox"/>
L.4.2	Unclaimed prize money		
L.4.2.1	Unique ticket reference number	<input type="checkbox"/>	<input type="checkbox"/>
L.4.2.2	Procedure for the protection of unclaimed prize money	<input type="checkbox"/>	<input type="checkbox"/>
L.4.2.3	Prize payout period and auditing	<input type="checkbox"/>	<input type="checkbox"/>
L.4.2.4	Payout rules and inquiries	<input type="checkbox"/>	<input type="checkbox"/>
L.4.2.5	Unclaimed prize information access control	<input type="checkbox"/>	<input type="checkbox"/>
L.4.2.6	Access reporting	<input type="checkbox"/>	<input type="checkbox"/>
L.4.2.7	Escalation process	<input type="checkbox"/>	<input type="checkbox"/>
L.4.2.8	Audits of access log information	<input type="checkbox"/>	<input type="checkbox"/>
L.4.2.9	Audit trails	<input type="checkbox"/>	<input type="checkbox"/>
L.5	Sales staff and customer services		
L.5.1	Staff working outside organization premises		
L.5.1.1	Staff working outside of organization premises	<input type="checkbox"/>	<input type="checkbox"/>
L.5.2	Customer service areas		
L.5.2.1	Staff working in sensitive areas with public access	<input type="checkbox"/>	<input type="checkbox"/>

Name of control		Audited	Not applicable
L.6	Digital sales channels and interactive services		
L.6.1	Digital gaming systems		
L.6.1.1	Layered systems architecture	<input type="checkbox"/>	<input type="checkbox"/>
L.6.1.2	Active and passive attacks	<input type="checkbox"/>	<input type="checkbox"/>
L.6.1.3	Network segregation	<input type="checkbox"/>	<input type="checkbox"/>
L.6.1.4	Session information	<input type="checkbox"/>	<input type="checkbox"/>
L.6.1.5	Identify points of ingress and egress	<input type="checkbox"/>	<input type="checkbox"/>
L.6.1.6	Generation and storage of logs	<input type="checkbox"/>	<input type="checkbox"/>
L.6.1.7	Security testing	<input type="checkbox"/>	<input type="checkbox"/>
L.6.2	Player account		
L.6.2.1	Player identification and data protection	<input type="checkbox"/>	<input type="checkbox"/>
L.6.2.2	Multiple player accounts	<input type="checkbox"/>	<input type="checkbox"/>
L.6.2.3	Players exclusion	<input type="checkbox"/>	<input type="checkbox"/>
L.6.2.4	Multiple payment instrument holder	<input type="checkbox"/>	<input type="checkbox"/>
L.6.3	Game design and approval		
L.6.3.1	Documented game procedures	<input type="checkbox"/>	<input type="checkbox"/>
L.6.3.2	Game approval and modification	<input type="checkbox"/>	<input type="checkbox"/>
L.6.4	Securing payment methods		
L.6.4.1	Data collection	<input type="checkbox"/>	<input type="checkbox"/>
L.6.4.2	Payment method protection	<input type="checkbox"/>	<input type="checkbox"/>
L.6.4.3	Payment service approval	<input type="checkbox"/>	<input type="checkbox"/>
L.6.4.4	Transactional records related to payments	<input type="checkbox"/>	<input type="checkbox"/>

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WLA-SCS:2016 Assessment form

→ (Continued from 6/9)

<i>Name of control</i>	Audited	Not applicable
L.7 Sports betting		
L.7.1 Selecting the offer		
L.7.1.1 Authorized events list	<input type="checkbox"/>	<input type="checkbox"/>
L.7.1.2 Authorized betting types list	<input type="checkbox"/>	<input type="checkbox"/>
L.7.1.3 Authorized betting options list	<input type="checkbox"/>	<input type="checkbox"/>
L.7.1.4 Betting offering information	<input type="checkbox"/>	<input type="checkbox"/>
L.7.2 Events and Odds management		
L.7.2.1 Selection of events	<input type="checkbox"/>	<input type="checkbox"/>
L.7.2.2 Setting and updating the odds	<input type="checkbox"/>	<input type="checkbox"/>
L.7.2.3 Setting of the betting margin	<input type="checkbox"/>	<input type="checkbox"/>
L.7.2.4 Safeguarding payout levels	<input type="checkbox"/>	<input type="checkbox"/>
L.7.3 Resulting handling		
L.7.3.1 Results for completed events	<input type="checkbox"/>	<input type="checkbox"/>
L.7.3.2 Results records	<input type="checkbox"/>	<input type="checkbox"/>
L.7.4 Monitoring for fraud and money laundering		
L.7.4.1 Odds monitoring	<input type="checkbox"/>	<input type="checkbox"/>
L.7.4.2 Market monitoring	<input type="checkbox"/>	<input type="checkbox"/>
L.7.4.3 Customer transaction monitoring	<input type="checkbox"/>	<input type="checkbox"/>
L.7.4.4 Cash payment of winnings	<input type="checkbox"/>	<input type="checkbox"/>
L.7.4.5 Winners monitoring	<input type="checkbox"/>	<input type="checkbox"/>
L.7.4.6 Deposit monitoring	<input type="checkbox"/>	<input type="checkbox"/>

<i>Name of control</i>	Audited	Not applicable
L.7.5 Live betting		
L.7.5.1 Event Integrity Monitoring	<input type="checkbox"/>	<input type="checkbox"/>
L.7.5.2 Results handling in live offerings	<input type="checkbox"/>	<input type="checkbox"/>
L.7.5.3 Courtsiding prevention mechanisms	<input type="checkbox"/>	<input type="checkbox"/>
L.7.6 Duties separation and internal control		
L.7.6.1 Duties separation	<input type="checkbox"/>	<input type="checkbox"/>
L.7.6.2 Corporate betting policy	<input type="checkbox"/>	<input type="checkbox"/>
L.8 Interactive Video Lottery Terminals (VLT)		
L.8.1 Video Lottery Terminals (VLT)		
L.8.1.1 VLT terminals	<input type="checkbox"/>	<input type="checkbox"/>
L.8.1.2 VLT games	<input type="checkbox"/>	<input type="checkbox"/>
L.8.1.3 VLT game certificate	<input type="checkbox"/>	<input type="checkbox"/>
L.8.1.4 VLT incidents	<input type="checkbox"/>	<input type="checkbox"/>

WLA-SCS:2016 Assessment form

3. Recommendation of the WLA accredited auditor

Upon completion of the audit, the auditor shall provide a recommendation on certification based on the member's compliance to the WLA-SCS:2016.

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WLA-SCS:2016 Assessment form

4. Annual follow-up audits

Pending WLA certification, the following dates have been scheduled and agreed upon for the annual audits.

1st Annual audit, Date

2nd Annual audit, Date

The undersigned WLA accredited auditor certifies that all needed and applicable requirements of the WLA-SCS:2016 have been thoroughly and correctly audited.

By signing this document the auditor also guarantees that their WLA required credentials are current, valid, and in good standing at the time of the audit.

Name of the auditor

Location

Name of the assessment service entity

Location

Signature of the auditor

Date