

### 1. Information on the assessment

Type of assessment:  Initial certification  Annual review  Recertification

Type of certificate requested:  WLA-SCS:2020 Level 1  WLA-SCS:2020 Level 2 (requires ISO/IEC 27001)

The Statement of Applicability has been verified.

### 2. Front of the certificate

WLA member

Number of premises included in the scope

Address of premises included in the  
WLA-SCS scope

All premises have been physically visited?  Yes  No

WLA-SCS scope

WLA-SCS certificate number

WLA-SCS initial certification

WLA-SCS latest revision

WLA-SCS expiry date

ASE

Address

### 3. Back of the certificate (not requested for WLA-SCS Level 1)

ISO/IEC 27001 scope

ISO/IEC 27001 certificate number

ISO/IEC 27001 latest revision

ISO/IEC 27001 expiry date

ISO/IEC 27001 certifying body

## 4. WLA-SCS:2020 Annex A (G controls) Controls for all organizations

Name of control	Audited	Not audited*	Not applicable
<b>G.1 Organization of security</b>			
<b>G.1.1 Allocation of security responsibilities</b>			
G.1.1.1 Security forum	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G.1.1.2 Security function	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G.1.1.3 Security function reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G.1.1.4 Security function position	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G.1.1.5 Security function responsibility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>G.2 Human resources security</b>			
<b>G.2.1 Implementation of a code of conduct</b>			
G.2.1.1 Code of conduct	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G.2.1.2 Adherence and disciplinary action	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G.2.1.3 Conflict of interest	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G.2.1.4 Hospitality or gifts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G.2.1.5 Corporate wagering policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G.2.1.6 Personnel security	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G.2.1.7 Segregation of duties	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>G.2.2 Staff protection</b>			
G.2.2.1 Policy on staff protection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>G.3 Physical and environmental security</b>			
<b>G.3.1 Secure areas</b>			
G.3.1.1 Physical entry controls	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Name of control	Audited	Not audited*	Not applicable
<b>G.4 Access control to gaming systems</b>			
<b>G.4.1 User access management</b>			
G.4.1.1 User access functions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G.4.1.2 User access logging	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>G.5 Information systems maintenance</b>			
<b>G.5.1 Cryptographic controls</b>			
G.5.1.1 Cryptographic controls for the confidentiality and integrity of data at rest on portable systems and on lottery terminals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G.5.1.2 Cryptographic controls for the confidentiality and integrity of data in transit over networks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G.5.1.3 Cryptographic controls for the integrity of sensitive ticket data	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>G.5.2 System testing</b>			
G.5.2.1 Test methodology policy and data	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G.5.2.2 Gaming system security testing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>G.5.3 Cloud security</b>			
G.5.3.1 Cloud security	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>G.6 System availability and business continuity</b>			
<b>G.6.1 Availability of services and business continuity</b>			
G.6.1.1 Availability and resilience requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G.6.1.2 Business Continuity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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## 5. WLA-SCS:2020 Annex B (L Controls) Controls for lottery operators

Name of control	Audited	Not audited*	Not applicable
<b>L.1 Physical instant tickets</b>			
<b>L.1.1 Instant game operation</b>			
L.1.1.1 Printer/Supplier selection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.1.1.2 Integrity requirements and testing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.1.1.3 Game data integrity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.1.1.4 Ticket prize confidentiality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>L.2 Lottery draws</b>			
<b>L.2.1 Lottery draw management</b>			
L.2.1.1 Draw event	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.2.1.2 Draw working instructions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.2.1.3 Draw team members	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.2.1.4 Draw team duties	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.2.1.5 Reserve draw team	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.2.1.6 Draw timing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.2.1.7 Draw observers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>L.2.2 Conduct of the draw</b>			
L.2.2.1 Draw procedure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.2.2.2 Draw step-by-step guide	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.2.2.3 Draw location	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.2.2.4 Draw attendance and responsibilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.2.2.5 Draw supervision	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.2.2.6 Draw operation security	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.2.2.7 Draw emergency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.2.2.8 Draw integrity, alerting and reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Name of control	Audited	Not audited*	Not applicable
<b>L.2.3 Physical drawing appliances and ball sets</b>			
L.2.3.1 Inspection procedure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.2.3.2 Regular inspection and maintenance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.2.3.3 Compatible ball sets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.2.3.4 Replacement draw appliance	<input type="checkbox"/>	<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"/>	<input type="checkbox"/>
L.2.3.6 Broadcast/streaming of the draw	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>L.2.4 Electronic lottery draws and instants</b>			
L.2.4.1 Physical and logical protection of the technical system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.2.4.2 Secured transmissions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.2.4.3 Electronic draw randomness and integrity verification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.2.4.4 Segregation of duties	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>L.3 Retailer security</b>			
<b>L.3.1 Retailer operations</b>			
L.3.1.1 Retailer security	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>L.3.2 Gaming terminal security</b>			
L.3.2.1 Transaction security	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Name of control	Audited	Not audited*	Not applicable
<b>L.4 Prize payment</b>			
<b>L.4.1 Validation and payout of prizes</b>			
L.4.1.1 Validation process	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.4.1.2 Unique ticket reference	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.4.1.3 Security of unclaimed prize data	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.4.1.4 Prize payout procedure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.4.1.5 Fraud detection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>L.5 Digital sales channels and interactive services</b>			
<b>L.5.1 Digital gaming systems</b>			
L.5.1.1 Layered systems architecture	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.5.1.2 Active and passive attacks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.5.1.3 Network segregation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.5.1.4 Session information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.5.1.5 Identify points of ingress and egress	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.5.1.6 Generation and storage of logs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.5.1.7 Security testing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.5.1.8 Responsible disclosure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>L.5.2 Player account</b>			
L.5.2.1 Player account	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.5.2.2 Multiple player accounts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.5.2.3 Player exclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.5.2.4 Multiple payment instrument holder	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>L.5.3 Game design and approval</b>			
L.5.3.1 Documented game procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.5.3.2 Game approval and modification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Name of control	Audited	Not audited*	Not applicable
<b>L.5.4 Securing payment methods</b>			
L.5.4.1 Data collection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.5.4.2 Payment method protection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.5.4.3 Payment service approval	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.5.4.4 Transactional records related to payments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>L.6 Sports betting</b>			
<b>L.6.1 Selecting the offer</b>			
L.6.1.1 Betting framework	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>L.6.2 Events, odds and result management</b>			
L.6.2.1 Events, odds and result management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.6.2.2 Live betting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.6.2.3 Safeguarding payout levels	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>L.6.3 Monitoring for fraud and money laundering</b>			
L.6.3.1 Monitoring the sports betting activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>L.7 Interactive Video Lottery Terminals</b>			
<b>L.7.1 Video Lottery Terminals (VLT)</b>			
L.7.1.1 VLT terminals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.7.1.2 VLT games	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.7.1.3 VLT game certificate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.7.1.4 VLT incidents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L.7.1.5 VLT system architecture	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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## 6. WLA-SCS:2020 Annex C (S controls) Controls for gaming system suppliers and operators

The S controls apply to gaming systems (as defined in this standard) and shall be in the certification scope of whichever organization develops the gaming system and/or manages the gaming system – whether that be a technology supplier or the operator’s own in-house developers.

Name of control	Audited	Not audited*	Not applicable
<b>S.1 Lottery systems security assurance</b>			
<b>S.1.1 Gaming system application security development</b>			
S.1.1.1 Application development security policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
S.1.1.2 Static and dynamic code analysis	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
S.1.1.3 Security testing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
S.1.1.4 Secure coding practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
S.1.1.5 Secure coding training and awareness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>S.1.2 Integrity measures related to the development of gaming system hardware, software and firmware</b>			
S.1.2.1 Release process integrity checks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
S.1.2.2 Security logging	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
S.1.2.3 File integrity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
S.1.2.4 Hardware integrity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
S.1.2.5 Vulnerability and patch management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
S.1.2.6 Responsible disclosure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Name of control	Audited	Not audited*	Not applicable
<b>S.1.3 Integrity measures related to printing of physical instant tickets</b>			
S.1.3.1 Physical instant game requirements			
S.1.3.1.1 Instant game requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
S.1.3.2 Creating and validating the data			
S.1.3.2.1 Instant game data generation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
S.1.3.2.2 Game data validation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
S.1.3.2.3 Data confidentiality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
S.1.3.3 Printing			
S.1.3.3.1 Validation before printing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
S.1.3.3.2 Integrity checks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
S.1.3.4 Finishing			
S.1.3.4.1 Unique ticket reference number	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
S.1.3.4.2 Prize structure conformity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
S.1.3.4.3 Scrapped tickets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
S.1.3.4.4 Shipping security	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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## 7. WLA-SCS:2020 Annex D (M Controls) Controls for multijurisdictional games

Name of control	Audited	Not audited*	Not applicable
<b>M.1 Requirements to participate in games run by the Multi-State Lottery Association (MUSL)</b>			
<b>M.1.1 Security, integrity and availability of transactions</b>			
M.1.1.1 Claim Validations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M.1.1.2 Redundancy of transaction data	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M.1.1.3 Acknowledgement of transaction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M.1.1.4 Backup of play data	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M.1.1.5 Integrity of transactions before and after a draw	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>M.1.2 Security of retailer point of sale device</b>			
M.1.2.1 Retailer point of sale device	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M.1.2.2 Lottery terminals not intended to produce live tickets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Name of control	Audited	Not audited*	Not applicable
<b>M.1.3 Quick picks</b>			
M.1.3.1 Randomness of quick picks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>M.1.4 Separation between ICS and CGS</b>			
M.1.4.1 Separation between the computer gaming system and the internal control system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>M.1.5 Draw process</b>			
M.1.5.1 Usage of same personnel and internal control system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>M.1.6 Intrusion detection system</b>			
M.1.6.1 Intrusion detection system on ICS and CGS networks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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## 8. Auditor's recommendations

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

In cases where not all premises were physically visited, or where applicable controls were not assessed, the auditor must include all details here in this field.

All details and information contained in this form are used for issuing the WLA-SCS certificate. By signing the assessment form, the auditor certifies that all mandatory and applicable controls have been thoroughly and correctly audited. The audi-

tor also guarantees that the WLA-SCS:2020 and the Guide to Certification for the WLA Security Control Standard have been read and understood and that the mandatory requirements for conducting a WLA-SCS audit have been met.

## 9. Signature

Auditor

Date

Signature