

NSI Policy Supplement for Core Retailer Web-Based
Applications Certification/Verification

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1. Overview

1.1 Introduction

The objective of the North American Association of State and Provincial Lotteries (NASPL) Standards Initiative Certification and Verification Program is to encourage and facilitate the adoption and implementation of NASPL Standards Initiative (NSI) Best Practices and Technical Standards in lotteries, lottery industry vendors, and other lottery industry expert organizations that provide software, hardware, or services to lotteries. The program provides formal recognition of an Organization's conformance to an industry Best Practice or Technical Standard. The Certification Program is for vendors and other organizations that wish to demonstrate and receive recognition for the conformance of their business practices and technologies to the NSI Best Practices and Technical Standards, whereas the Verification Program is the parallel program providing the means for lotteries to demonstrate conformance in the areas applicable to lotteries.

This document is a supplement to the general NSI Certification/Verification Policy document. Whereas the general NSI Certification/Verification Policy document defines the generic NSI certification/verification policies, this document, the NSI Policy Supplement for Core Retailer Web-Based Applications Certification/Verification, defines the specific policy elements that pertain only to the Core Retailer Web-Based Applications certification/verification. In conjunction with the general NSI Certification/Verification Policy document, this document defines the policies that govern the operation of the NSI Core Retailer Web-Based Applications Certification and Verification Program.

These policies define what can be certified/verified, what it means to be certified/verified, and the process for achieving and maintaining certification/verification. These policies also define the obligations on Organizations, including a requirement for an Organization to warrant and represent that its Certified/Verified Entity meets the applicable Conformance Requirements, which include conformance to the applicable NSI Best Practice(s) or Technical Standard(s) as interpreted by the NSI from time to time.

This document, along with the general NSI Certification/Verification Policy document, is intended primarily for Organizations that would like to certify one or more of their web-based applications or verify their website. This collective policy represented by both documents - in conjunction with the Certification/Verification Agreement and applicable Trademark License Agreement - constitutes the set of requirements and obligations for achieving certification/verification. Buyers intending to procure from Organizations with Certified/Verified Entities, and other stakeholders who want assurance of an Organization's capabilities, will also find this document useful for understanding what they can expect from a Certified/Verified Entity.

1.2 Scope

Core Retailer Web-Based Applications certification/verification applies to the following types of application and their supporting infrastructure, including support for the requirements defined in the best practice for data (such as format and availability), but not to the actual data present on the retailer-focused website:

- **Lottery Retailer-Focused Website**

This entity represents a web-based application used by a lottery to provide financial and other information to retailers. Verification applies to the website for a specific lottery.

- **Web-Based Retailer Application**

This entity represents a web-based application intended for use by one or more lotteries for a retailer-focused website that provides financial and other information to retailers. Certification applies to the application itself, which may be installed at multiple lotteries with minimal configuration.

Core Retailer Web-Based Applications certification/verification covers the following NSI Best Practice:

- Core Retailer Web-Based Applications

Conformance Requirements have been defined for the following Core Retailer Web-Based Applications areas in which *NSI verification* is currently available:

- Lottery Retailer-Focused Website

Conformance Requirements have been defined for the following Core Retailer Web-Based Applications areas in which *NSI certification* is currently available:

- Web-Based Retailer Application

1.3 Terminology and Definitions

Refer to the general NSI Certification/Verification Policy document.

1.4 Referenced Documents

This document should be used in conjunction with the general NSI Certification/Verification Policy document and is not intended for stand-alone use.

The following documents should be consulted for more detailed information on the Validation Process for Lottery Retailer-Focused Websites and Web-Based Retailer Applications:

- NSI Core Retailer Web-Based Applications Validation Specification
- NSI Guide Supplement for Core Retailer Web-Based Applications Certification/Verification

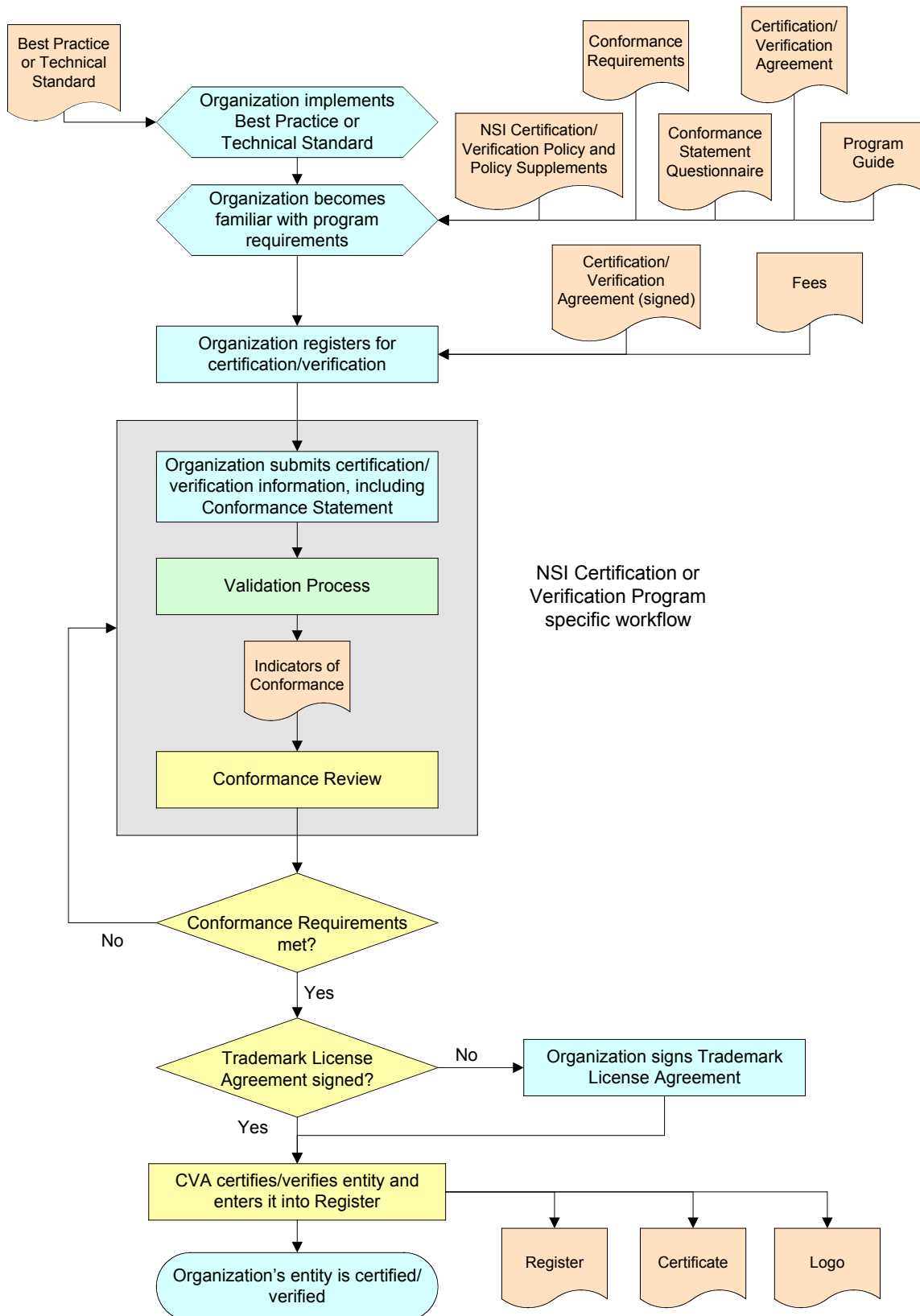
2. Certification Process Workflow

This section defines the process an Organization must follow to achieve certification/verification against the NSI Core Retailer Web-Based Applications Best Practice. The parties involved in the certification process are:

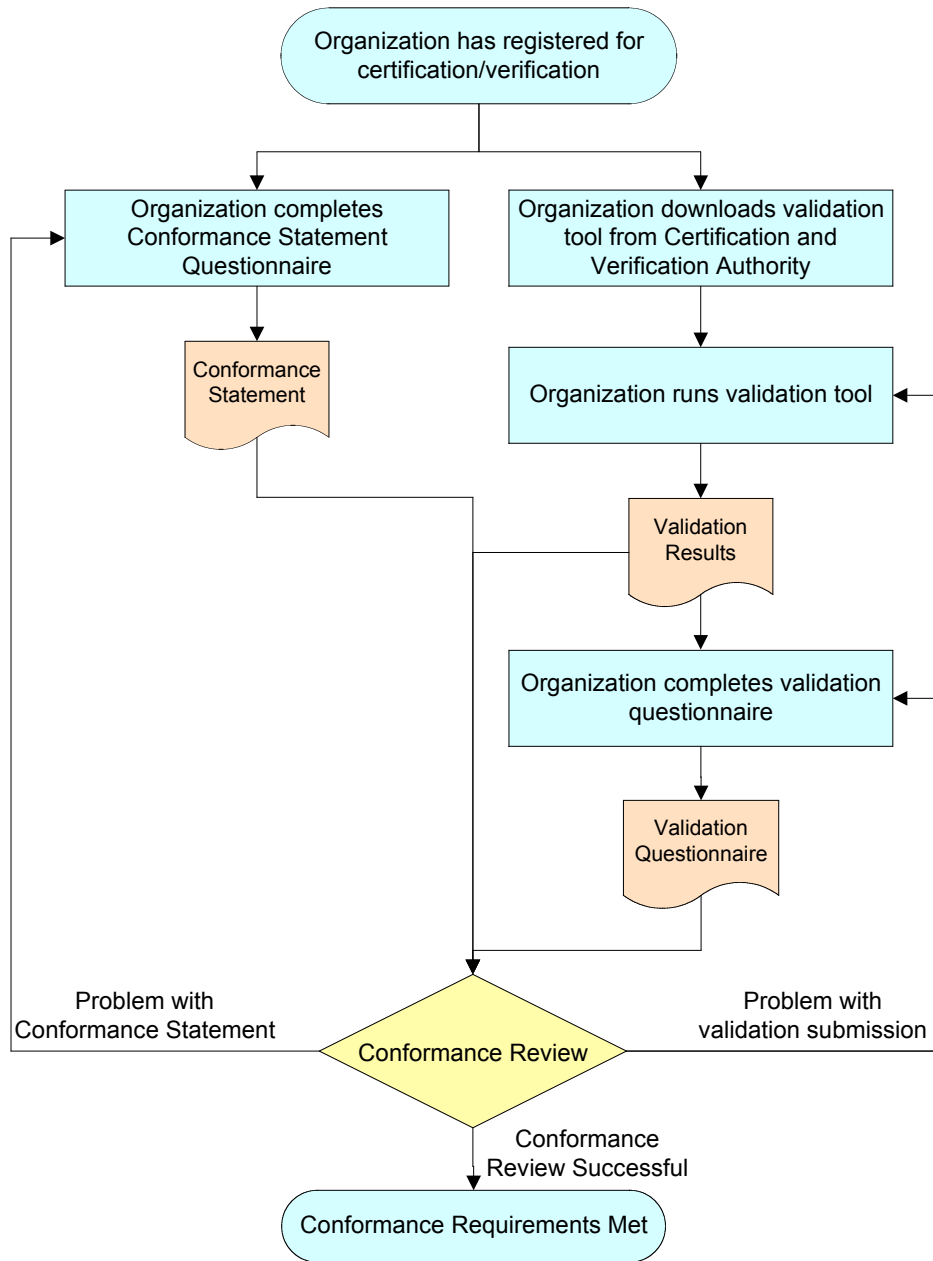
- Organization
- Certification and Verification Authority
- Specification Authority
- Validation Method Maintenance Authority

The following diagrams show the overall certification/verification workflow and the workflow specific to Core Retailer Web-Based Applications Certification/Verification.

NSI Certification/Verification Process



Core Retailer Web-Based Applications Workflow



3. Validation Process and Conformance Review

All NSI Certification and Verification Programs require the completion of a Conformance Statement Questionnaire (CSQ) in order to produce a Conformance Statement that is specific to the business practice or technology. This process is described in detail in the general NSI Certification/Verification Policy document.

Described below are the specific processes, methods, and policies by which conformance is demonstrated and validated for Core Retailer Web-Based Applications certification.

3.1 Validation Process

The validation process consists of the following key steps:

- Applicant downloads a validation tool from the Certification and Verification Authority to run locally against their web-based application or website. The applicant will run the tool from a web browser window. The tool will gather information on the implementation of the website as it relates to the best practice, such as the underlying technology used, the type and level of security deployed, and a site map of the available navigation.
- Applicant completes a validation questionnaire regarding the retailer-related financial information provided by the web-based application or website. In the questionnaire responses, the applicant will make references to the site map produced by the validation tool.
- Applicant submits a Validation Report to the Certification and Verification Authority incorporating:
 - The results generated by the validation tool; and,
 - The completed validation questionnaire.

The validation process is defined fully in the Core Retailer Web-Based Applications Validation Specification.

3.2 Conformance Review

The Certification and Verification Authority will review all certification/verification information submitted by the Organization, along with any applicable Interpretations, System Deficiencies, or Validation Method Deficiencies, to validate that the evidence indicates that the web-based application or website meets the applicable Conformance Requirements.

It is worth noting that the Core Retailer Web-Based Applications Best Practice relies on an underlying NSI Technical Standard, XML Retail Accounting Reports in the Lottery Industry. As such, the requirements of the XML Retail Accounting Reports standard must also be met.

4. Archiving Certification or Verification Materials

By default, the Certification and Verification Authority will maintain the archive for all certification or verification materials submitted in conjunction with a new or updated certification or verification, as described in the general NSI Certification/Verification Policy document.

5. Certification/Verification Requirements for Modifications of a Certified/Verified Entity

This section defines the requirements for maintaining certification or verification when there are changes to any of the elements upon which a web-based application's certification or a website's verification was based.

The following table summarizes the types of modifications that may occur in relation to a Certified/Verified Entity:

Section	Type of Modification	Conformance Requirements to which this Applies	Validation Requirement	Certification/ Verification Requirement
5.1	Material Changes to a Certified/Verified Entity	All	Full Validation Process	Certification/ Verification Information update
5.2	Non-material change to the Conformance Statement of a Certified/Verified Entity	All	None	Certification/ Verification Information update
5.3	Re-Badged or OEM'ed Certified Entity	Web-Based Retailer Application	Reference to previous validation results	New Certification
5.4	Other Variants	All	As determined by Certification and Verification Authority	As determined by Certification and Verification Authority

5.1 Material Changes to a Certified/Verified Entity

Modifications may be made to a Certified/Verified Entity, for example to upgrade a web-based application or modify a website. The nature of the modifications will determine the impact on the Certified Entity's certification.

A material change is one that may affect the web-based application or website's conformance to the Best Practice or that may affect the outcome of the validation process. It is the responsibility of the Organization to ensure that the web-based application or website remains conformant and thus to determine whether a modification constitutes a material change. It is good practice for an Organization, as part of its normal quality assurance activities, to regression test modified versions of a web-based application or website. Regression testing should include utilizing the

applicable validation tools to help the Organization ensure continued conformance to the Best Practice.

For clarification, a material change includes, but is not limited to, a change that may:

- Impact the behavior of the currently supported mandatory and optional features of the Best Practice
- Add or remove support for optional features of the Best Practice
- Have a direct or indirect impact on the results of validation

Changes representing functionality entirely outside the scope of the current Core Retailer Web-Based Applications Best Practice do not constitute a material change under this definition and do not impact the existing certification/verification, unless the Organization requires a change to the Conformance Statement, in which case, Section 5.2 applies.

If a modification to a web-based application or website involves a material change, then the Organization must perform a revalidation of the web-based application or website in order for the entity to remain certified or verified. It is the responsibility of the Organization to submit the revalidation results to the Certification and Verification Authority for conformance review prior to the final release of the modified web-based application or website.

In order to update the applicable Register entry to reflect the modified release of the web-based application or website, the Organization must complete a new registration indicating that it is for a new release of an existing Certified/Verified Entity. The Organization must also provide a new Validation Report and updated Conformance Statement. If the result of the conformance review is a success, the Certification and Verification Authority will update the applicable Register entry for the web-based application or website to reflect the modified release, and issue a new Certificate.

5.2 Non-material change to the Conformance Statement of a Certified/Verified Entity

If an Organization wishes to change information on the Conformance Statement and there is no material change to the Certified/Verified Entity, the certification or verification may be amended upon request to the Certification and Verification Authority.

The Organization will be required to provide a written statement to the Certification and Verification Authority indicating that there have been no material changes to the web-based application or website.

The Certification and Verification Authority will then update the Conformance Statement and, if appropriate, update the applicable Register and issue a new Certificate.

5.3 Re-Badged or OEM'ed Certified Entity

A re-badged or OEM'ed web-based application is technically identical to a currently certified Web-Based Retailer Application. An Organization that markets, sells, and/or delivers technically identical applications must certify each application in order to represent each as NSI certified. Each application will then be listed in the Certification Register. If technically identical applications are to be provided by more than one Organization, each Organization will have to register for certification, in order to have their application listed in the Certification Register.

A re-badged or OEM'ed web-based application will not require revalidation, but reference must be provided to the validation results of the existing Certified Entity to which it is technically identical, and with the agreement of the Organization responsible for originally registering the existing Certified Entity.

To add a new entry to the Certification Register for the re-badged or OEMed web-based application, the Organization must:

- Submit a new registration for certification, indicating that the application is identical to an existing Certified Entity.
- Submit a Conformance Statement that is technically identical to that of the existing Certified Entity, apart from the Certified Entity name and Organization information
- A written statement indicating that the re-badged or OEM'ed application is indeed technically identical to the existing Certified Entity
- A reference to the validation results from the original certification of the existing Certified Entity
- A signed notification from the Organization that registered the existing Certified Entity authorizing the validation results from the original certification to be referenced for the new certification

If all requirements are met, the Certification and Verification Authority will update the Certification Register to reflect the re-badged or OEM'ed web-based application and issue a new Certificate.

5.4 Other Variants

Except where specifically stated in this document, any other change to any of the elements upon which a Certified/Verified Entity's certification or verification was based must be communicated to the Certification and Verification Authority within 30 calendar days of such change occurring. If the Certification and Verification Authority believes that the change may have a material affect on the conformance of the web-based application or website to the NSI Core Retailer Web-Based Applications Best Practice, the web-based application or website will be subject to the full validation and certification/verification process, or any subset thereof, as deemed appropriate by the Certification and Verification Authority.

6. Renewal

6.1 Duration of Certification/Verification

Certification/verification is valid for a specific period of time from the date on which the Certification and Verification Authority provides written notice to the Organization that certification or verification has been achieved, unless certification or verification is subsequently revoked. This period is subject to the Certification/Verification Requirements for Modifications of a Certified/Verified Entity defined in Section 5.

The last day of this period is referred to as the renewal date and represents the date on which the certification or verification will cease to be valid, unless the Organization renews the certification or verification.

The duration of certification/verification for specific Certified/Verified Entities is as follows:

Certified/Verified Entity	Duration of Certification/Verification
Lottery Retailer-Focused Website	Two (2) years
Web-Based Retailer Application	Two (2) years

6.2 Renewal Process

An Organization with a Certified/Verified Entity is required to renew the certification or verification on or before the renewal date. Renewal will be performed in accordance with the renewal process defined in Section 9 of the general NSI Certification/Verification Policy document.

Whether renewal requires revalidation or not is dependent upon changes in the Certified/Verified Entity, changes in the validation tools, and any Interpretations that have been granted since the previous certification or verification. Thus, at the time of renewal, the Certification and Verification Authority will evaluate the effect of any such changes and based on the evaluation will define the requirements for renewal, including whether revalidation is required. For example, a material change in a Lottery Retailer-Focused Website or Web-Based Retailer Application will require revalidation. The Certification and Verification Authority will not unreasonably request that a Certified/Verified Entity be revalidated.

If revalidation is required, the Certification and Verification Authority will notify the Organization of the specific requirements. If revalidation is not required, the only requirement on the Organization is to register for renewal and pay the certification/verification renewal fee.