

NSI Policy
Supplement for QA Best Practices
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 QA Best Practices Certification/Verification, defines the specific policy elements that pertain only to the QA Best Practices certification/verification. In conjunction with the general NSI Certification/Verification Policy document, this document defines the policies that govern the operation of the NSI QA Best Practices 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 or verify one or more of their business practices. 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

A candidate for QA Best Practices certification or verification is a Business Practice, performed by a group of people under the leadership of Business Practice Management and associated with a Business Practice Location.

In order for a Business Practice to remain certified or verified, the Organization must follow the applicable NSI Quality Assurance Best Practice(s) for all projects related to the creation or updating of hardware and/or software systems for or on behalf of any NASPL lottery.

NSI QA Best Practices certification and verification covers the following NSI Best Practices:

- Quality Assurance of Product Development in the Lottery Industry: Requirements Definition
- Quality Assurance of Product Development in the Lottery Industry: Development Process
- Quality Assurance of Product Development in the Lottery Industry: Acceptance Testing

Conformance Requirements have been defined for the following QA Best Practices areas in which *NSI certification* is currently available:

- Requirements Definition for Vendors
- Development Process

Conformance Requirements have been defined for the following QA Best Practices areas in which *NSI verification* is currently available:

- Requirements Definition for Lotteries
- Development Process
- Acceptance Testing

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.

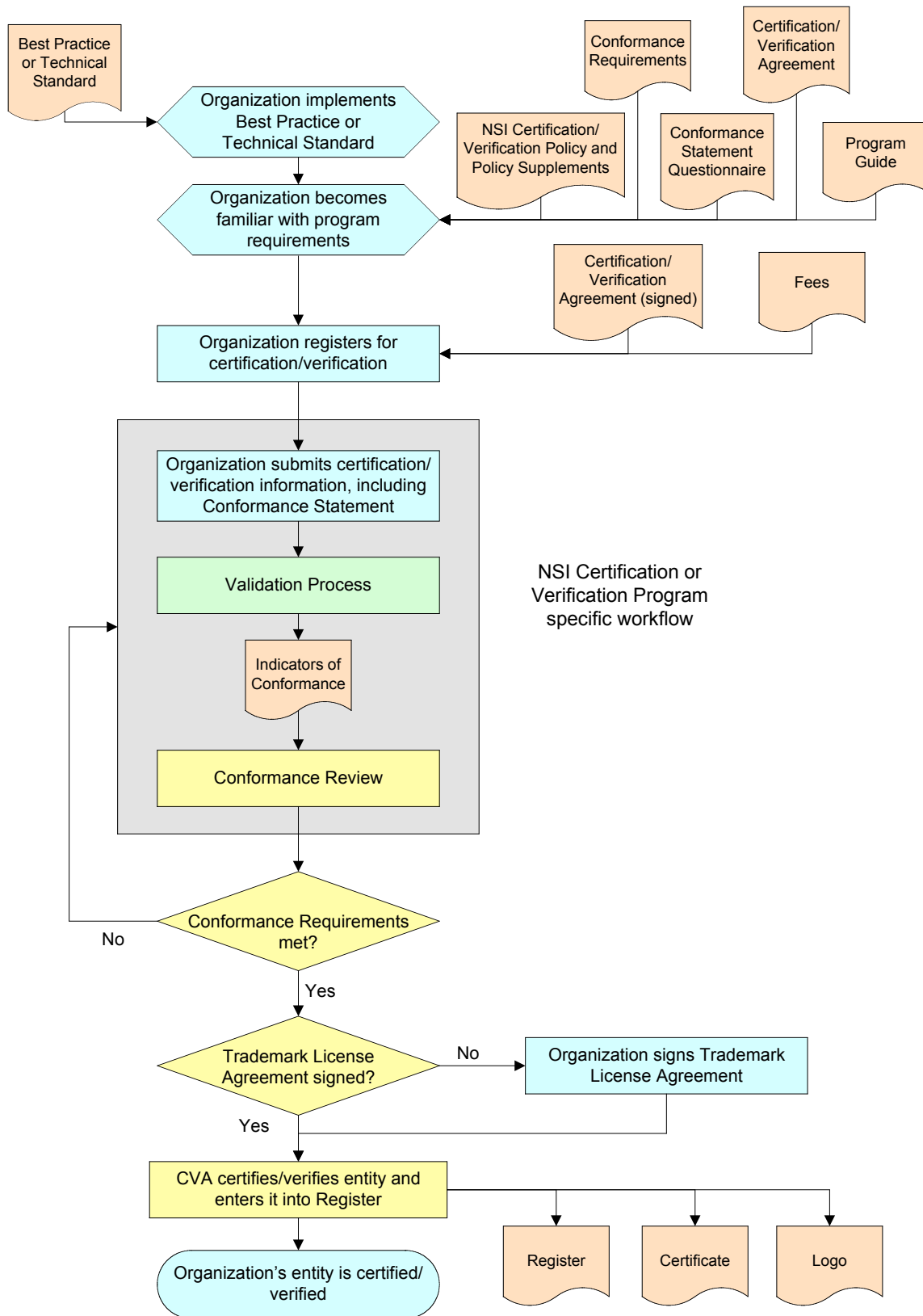
2. Certification/Verification Process Workflow

This section defines the process an Organization must follow to achieve certification/verification against an NSI Quality Assurance Best Practice. The parties involved in the process are:

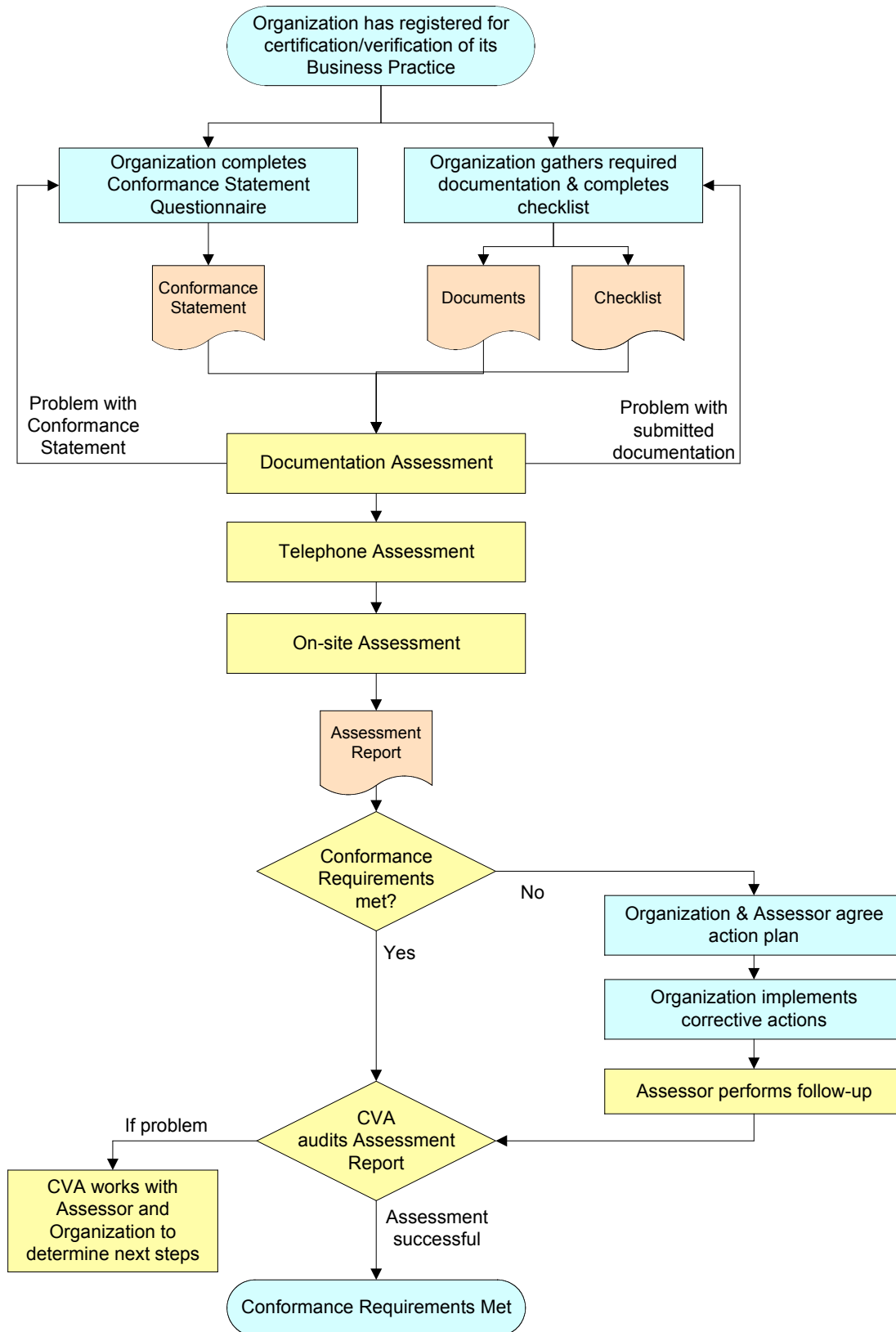
- Organization
- Certification and Verification Authority
- Specification Authority

The following diagrams show the overall certification/verification workflow and the workflow specific to QA Best Practice Certification/Verification.

NSI Certification/Verification Process



QA Best Practice Certification/Verification specific workflow



3. Indicators of Conformance and Conformance Review

All NSI Certification and Verification Programs require the completion of a Conformance Statement Questionnaire 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.

The following sections describe the specific processes, procedures, and policies by which conformance is demonstrated and validated for an NSI QA Best Practice.

3.1 Submitting Documentation and a Checklist

A set of documents, specific to each NSI QA Best Practice, must be submitted to the Certification and Verification Authority as the first step in demonstrating conformance. In addition, the Organization will need to complete a checklist to indicate where in the supporting documentation evidence can be found to demonstrate conformance to specific requirements of the NSI QA Best Practice(s).

The Program Guide Supplement for QA Certification/Verification provides a list of the specific documents required for each NSI QA Best Practice along with instructions for completing the checklist.

3.2 Documentation Assessment

The Certification and Verification Authority will review all information submitted thus far to ensure that it is complete and correct. If an error or inconsistency is found, the Organization will be required to correct any problems before the certification/verification process can continue.

Once the submission is validated as complete, the Assessor(s) will review the information in the Conformance Statement, supporting documentation, and checklist. The Assessor(s) will make an initial determination of the areas in which the Organization is demonstrably in conformity with the NSI QA Best Practice(s), based on the submitted information. This initial assessment will cover both mandatory requirements and optional requirements for which the Organization has claimed support in the Conformance Statement. The initial determination will be used to set the agenda for the telephone assessment.

3.3 Telephone Assessment

The telephone assessment will take the form of an interview between the Assessor(s) and one or more of the Organization's staff. The Assessor(s) will further refine the determination of conformity with the NSI QA Best Practice(s) based on the additional information provided during the telephone assessment. This will help to determine the agenda for the on-site assessment.

3.4 On-Site Assessment

The on-site assessment is held in the Organization's offices. The Assessor(s) will interview members of the Organization's staff and further inspect the Organization's relevant business processes and documents. The objective of the Assessor(s) is to gather sufficient evidence to make a recommendation on whether the Organization's Business Practice meets the requirements for certification or verification.

By the conclusion of the on-site assessment, the Assessor(s) will have finalized the assessment outcome, and if any corrective action is required before certification or verification can proceed, the Organization will know precisely what is required.

3.5 Assessment Report

The Assessor(s) will document the outcome of the assessment process in an Assessment Report. If the outcome is that the Conformance Requirements have been met, then the Assessor(s) will recommend that the Business Practice be certified or verified, as appropriate.

If the Assessor(s) identified any major systemic problems in implementing the NSI QA Best Practice(s), then the Assessor(s) may recommend that the certification or verification request be denied.

Otherwise, the Assessor(s) and Organization will agree upon an action plan. The action plan will define a set of corrective actions for the Organization to undertake to come into conformance with the NSI QA Best Practice(s) and a timeframe for implementing such actions.

Once the action plan has been implemented by the Organization, the Assessor(s) will follow up with the Organization to determine whether the corrective actions have been appropriately implemented. The type of follow-up required (documentation assessment, telephone assessment, or on-site assessment) will be determined by the Assessor(s), dependent upon the nature of the corrective actions. The Assessor(s) will then update the Assessment Report with the outcome of the action plan implementation and resubmit it to the Certification and Verification Authority.

The Assessor(s) will use formal procedures to perform all stages of the assessment process to ensure the repeatability, reproducibility, and objectivity of the process. A representative of the Certification and Verification Authority, other than the one(s) who performed the assessment, will review the Assessment Report to ensure that the assessment process was performed in accordance with the defined procedures.

3.6 Conformance Review

The Certification and Verification Authority will review all certification or verification information submitted by the Organization, along with the Assessment Report and any applicable Interpretations (INTs) or System Deficiencies (SDs), to validate that the evidence indicates that the Organization's Business Practice meets the applicable Conformance Requirements.

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.

In the event that the Organization would prefer to hold the archive for some or all of the project-specific and process-specific documentation submitted as evidence that the Organization is operating in accordance with the NSI QA Best Practice(s), the Organization may make such request in writing to the Certification and Verification Authority. In this case, the Certification and Verification Authority will return to the Organization a copy of the specified documents in a sealed envelope, dated and labelled with the purpose and contents, and destroy any remaining copies of such documents within 30 calendar days of such request. The Organization is required to retain these sealed documents for six (6) years and make them available to the Certification and Verification Authority upon request.

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

Certification/verification applies to a defined Business Practice of an Organization, as it is performed by a specific group of people under the management of identified individuals (the Business Practice Management), associated with a specific Business Practice Location.

This section defines the requirements for maintaining certification or verification when there are changes to any of the elements upon which a Business Practice's certification or verification was based. The subsections below detail the types of changes that may occur to a Business Practice and the corresponding requirements for re-certification/re-verification or updating the certification or verification. Each subsection applies only to certification/verification against the identified Conformance Requirements Documents, or, if none are called out explicitly, then it applies to all NSI QA Best Practices Conformance Requirements.

5.1 Change in Business Practice Management

A change in Business Practice Management is a change in any of the named individuals responsible for the day-to-day operation of the certified or verified Business Practice.

Conformance Requirements	Assessment Requirement	Certification/Verification Requirement
All	None	Certification/Verification Information update

To maintain certification/verification for the Business Practice, the Organization must notify the Certification and Verification Authority of the change in Business Practice Management within 30 calendar days of such change occurring.

The Organization must provide a written commitment to the Certification and Verification Authority indicating that each new Business Practice manager understands the Conformance Requirements to which the Organization is certified or verified and agrees to comply with these requirements for the duration of the current certification or verification and any subsequent renewals.

The Certification and Verification Authority will then update the certification or verification registration information and Conformance Statement as applicable.

5.2 Change in Business Practice Location

A change in Business Practice Location is a change in the identified physical location in which the Business Practice is carried out.

Conformance Requirements	Assessment Requirement	Certification/Verification Requirement
All	None	Certification/Verification Information update

To maintain certification or verification for the Business Practice, the Organization must notify the Certification and Verification Authority of the change in Business Practice Location within 30 calendar days of such change occurring.

The Organization will be required to provide a written statement to the Certification and Verification Authority indicating that there have been no changes in the Business Practice Management or documented processes and procedures.

The Certification and Verification Authority will then update the Business Practice Location on the Conformance Statement.

5.3 New Business Practice Management and Business Practice Location

If an Organization deploys an NSI QA Best Practice under new management, either in a new group within the Organization or in a new physical location, then this is considered a new Business Practice with respect to certification/verification.

Conformance Requirements	Assessment Requirement	Certification/Verification Requirement
All	Full Assessment	New Certification/Verification

In this case, the Organization must submit a new request for certification/verification, provide a new Conformance Statement and the documentation specified by the Certification and Verification Authority, and undergo the full assessment process. Upon successful completion of the certification or verification process, the Certification and Verification Authority will create a new entry in the applicable Register for the new Business Practice, and issue a new Certificate. The Register entries for any previously certified or verified Business Practices will remain unchanged, unless the Organization explicitly requests to have one of them updated with this new Business Practice Management and Business Practice Location in lieu of a new Register entry.

5.4 Reduction in Optional Requirements Supported by the Certified Entity

If an Organization claims support on the Conformance Statement for optional requirements of an NSI QA Best Practice, and at a later point in time is no longer implementing one or more of these optional requirements, the Organization must notify the Certification and Verification Authority within 30 calendar days of such change occurring. The Certification and Verification Authority will update the Conformance Statement to reflect the level of optional requirements supported.

Conformance Requirements	Assessment Requirement	Certification/Verification Requirement
All	None	Conformance Statement update

5.5 Administrative Changes

If an Organization wishes to make changes to the Conformance Statement that do not have a material affect on the conformance of the Business Practice, the Organization must notify the Certification and Verification Authority within 30 calendar days of such change occurring. The Certification and Verification Authority will update the Conformance Statement to reflect the requested changes.

Conformance Requirements	Assessment Requirement	Certification/Verification Requirement
All	None	Conformance Statement update

For other administrative changes, such as those to the designated certification/verification contacts, an Organization may request such changes at any time by sending an email to the Certification and Verification Authority.

5.6 Other Variants

Except where specifically stated in this document, any other change to any of the elements upon which a Business Practice'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 Business Practice to the NSI QA Best Practice(s), the Business Practice will be subject to the full assessment and certification or 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 24 months from the date at 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.

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.

6.1.1 Renewal Process

An Organization with a Certified/Verified Entity is required to renew the certification or verification every 24 months.

In the case of the NSI QA Best Practice(s), the Certification and Verification Authority will schedule an on-site assessment. An Assessor(s) will perform the assessment and document the outcome in an Assessment Report.

Renewal will be performed in accordance with the renewal process defined in Section 9 of the general NSI Certification/Verification Policy document.