

NSI Requirements Definition for Lotteries 1.0

Applicant Checklist

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Introduction

This checklist applies to the assessment of material submitted in connection with registration by an organization for verification against the NSI Requirements Definition for Lotteries 1.0 Conformance Requirements.

This checklist will be available from within the NSI web-based certification/verification system. Each applicant for verification will be required to complete a checklist that identifies the various documents the applicant is uploading with its verification registration along with information on where in each of these documents there is evidence that the applicant has correctly deployed the best practice requirements.

The purpose of the checklist is to guide the assessor and make the assessment process more efficient. The result is that there will be fewer demands on the organization's staff members to provide clarification and additional information, and increased likelihood that the assessors will be able to establish an organization's conformance.

Documentation checklist

The documents to be submitted for verification against the Requirements Definition for Lotteries Conformance Requirements are:

- Requirements specification documentation
- Acceptance criteria documentation

Applicants have some latitude as to how they meet the documentation submission requirements with respect to the exact form and number of files submitted to satisfy the document requirements identified above.

The applicant must indicate the relevant project in the "Project Identifier" column and the name of the document should be listed in the "Document Title" column. The "Document Identifier" is a short, unique identifier the applicant assigns to the document to enable shorthand references to the document in the assessment checklist. Applicants may enter any relevant comment concerning the document in the "Comments" column; its use is discretionary.

Requirements Specification Documents

Project Identifier	Document Title	Document Identifier	Comments

Acceptance Criteria Documents

Project Identifier	Document Title	Document Identifier	Comments

Assessment Checklist

Each applicant will be required to complete the tables below. Please complete the information for as many requirements as possible, leaving blank only those requirements for which there is no evidence available in the submitted documents. The assessors will follow up on requirements with no documentary evidence provided, during either the telephone assessment or the on-site assessment.

Requirement Numbers correspond to the numbers in the Requirements Checklist of the Requirements Definition for Lotteries Best Practice. For each number, there follows a summary of the Base Requirement, its Level ("Must", "Should", "May", etc.) and a pointer to the Reference in the Best Practice where the requirement is specified.

As each organization must provide documents from two projects, applicants must specify for each project where evidence of meeting each requirement may be found. The document identifiers from the Document Checklist should be used in the "Document in which evidence is found" columns. "Reference within Document" should be a section number or other pointer indicating where in the document such evidence may be found.

Requirements from Requirements Definition Best Practice

Requirements Definition: Requirements Specification

All of these requirements are germane to every verification registration.

Rqmt Num	Base requirement	Level	Reference in Best Practice	Project 1		Project 2	
				Document in which evidence is found	Reference within Document	Document in which evidence is found	Reference within Document
1	A Requirements Specification must be produced to document the requirements for the new or updated system. Though the system vendor and lottery will both contribute to this document, they must define at the beginning of the process which organization has the responsibility for creating and maintaining the Requirements Specification.	Must	4.3.1.1				
2	Each requirement specified in the Requirements Specification must be explicitly defined and enumerated to facilitate traceability back to the requirement later during the Development Process and Acceptance Testing.	Must	4.3.1.1				
3	The Requirements Specification must be formally reviewed and receive sign-off approval from both the lottery and the system vendor.	Must	4.3.1.1				
4	Sign-off approval on the Requirements Specification should occur prior to the start of the Development Process.	Should	4.3.1.1				
5	The Requirements Specification must cover both the business requirements, which identify the business needs to be addressed by the product, and the customer's operational requirements for the product. The Requirements Specification must also cover technical requirements.	Must	4.3.1.1				
6	The Requirements Specification must document the risks associated with the project and the mitigation strategies for each of the identified risks.	Must	4.3.1.1				
7a	The Requirements Specification must address functionality: It must state what the system components are supposed to do.	Must	4.3.1.1				
7b	The Requirements Specification must address external interfaces and must state one or more of the following: - How each system component interacts with people - How each system component interacts with other hardware - How each system component interacts with other software	Must	4.3.1.1				
7c	The Requirements Specification should address reliability considerations.	Should	4.3.1.1				
7d	The Requirements Specification should address portability considerations.	Should	4.3.1.1				
7e	The Requirements Specification should address maintainability considerations.	Should	4.3.1.1				
7f	The Requirements Specification should address security considerations.	Should	4.3.1.1				
7g	The Requirements Specification should address performance considerations.	Should	4.3.1.1				
7h	The Requirements Specification should address flexibility considerations.	Should	4.3.1.1				
7i	The Requirements Specification should address scalability considerations.	Should	4.3.1.1				
7j	The Requirements Specification should address integration considerations.	Should	4.3.1.1				

Requirements Definition: System Design

All of these requirements are germane to every verification registration.

Rqmt Num	Base requirement	Level	Reference in Best Practice	Project 1		Project 2	
				Document in which evidence is found	Reference within Document	Document in which evidence is found	Reference within Document

Rqmt Num	Base requirement	Level	Reference in Best Practice	Document in which evidence is found	within Document	Document in which evidence is found	within Document
13	The system design must be formally reviewed and receive sign-off approval from both the lottery and the vendor.	Must	4.3.2.1				

Requirements Definition: User Interface

All of these requirements are germane to every verification registration.

Rqmt Num	Base requirement	Level	Reference in Best Practice	Project 1		Project 2	
				Document in which evidence is found	Reference within Document	Document in which evidence is found	Reference within Document
17	The user interface description must be formally reviewed and receive sign-off approval from both the lottery and the vendor.	Must	4.3.3.1				

Requirements Definition: Project Planning

All of these requirements are germane to every verification registration.

Rqmt Num	Base requirement	Level	Reference in Best Practice	Project 1		Project 2	
				Document in which evidence is found	Reference within Document	Document in which evidence is found	Reference within Document
19	A project manager should be assigned from the lottery organization to interface with the vendor's project manager on behalf of the lottery and monitor, control, and manage the lottery's activities within the project.	Should	4.3.4.1				
20a	There should be a high-level project planning document that is referenced by both the vendor and the lottery.	Should	4.3.4.1				
20b	The vendor and the lottery may each have their own private project plans containing details specific to their own internal planning.	May	4.3.4.1				
21	The project-planning document should become a dynamic guide for the execution of the project. Supporting facts and documentation used to create the project plan should be included so that assumptions can be checked.	Should	4.3.4.1				
22a	The project plan should include an overall project schedule that includes deliverables, milestones, and dates.	Should	4.3.4.1				
22b	The project plan should include any pertinent time constraints, which could affect the overall project timeline.	Should	4.3.4.1				
22c	The project plan should include any pertinent dependencies or issues, which could affect the deliverables or schedule.	Should	4.3.4.1				
22d	The project plan should include the resources assigned to the various tasks, and the timeframe for completion of each task.	Should	4.3.4.1				
22e	The project plan should include the resource requirements needed by both the lottery and the vendor.	Should	4.3.4.1				
22f	The project plan should include the roles, responsibilities, and contact information with phone numbers for each of the project team members from both the lottery and the vendor, including the project managers.	Should	4.3.4.1				
22g	The project plan should include plans for the level, type and format of communications between the various parties during the course of the project.	Should	4.3.4.1				
22h	The project plan should include any pre-existing requirements needed for other organizations affiliated with the lottery.	Should	4.3.4.1				
22i	The project plan should include risks, risk tracking, and risk mitigation strategies.	Should	4.3.4.1				
23	Vendors and lotteries must work together to define and formally agree the deliverables, milestones, and dates.	Must	4.3.4.1				
24	Vendors and lotteries should work together to define applicable phase acceptance criteria for each phase of the project.	Should	4.3.4.1				
25	The project plan may include acceptance criteria associated with various phases of the project.	May	4.3.4.1				
26	If acceptance criteria are defined for any phase of the project, then both lottery and vendor should sign-off that the acceptance criteria have been met for those phases of the project.	Should	4.3.4.1				

Requirements Definition: Acceptance Criteria

All of these requirements are germane to every verification registration.

Rqmt Num	Base requirement	Level	Reference in Best Practice	Project 1		Project 2	
				Document in which evidence is found	Reference within Document	Document in which evidence is found	Reference within Document
27a	The acceptance criteria should include and define how each (if any) new hardware or software component change should function as determined by the project Requirements Specification.	Should	4.3.5.1				
27b	The acceptance criteria should include and define how each (if any) change to an existing hardware or software component should function as determined by the project Requirements Specification.	Should	4.3.5.1				
27c	The acceptance criteria should include and define the acceptable effect of any new or changed component (if any) on any other component or scenario.	Should	4.3.5.1				
27d	The acceptance criteria for risk should document the impact on customer satisfaction.	Should	4.3.5.1				
27e	The acceptance criteria for risk should document the impact on retailer sales and accounting.	Should	4.3.5.1				
27f	The acceptance criteria for risk should document the impact on ease-of-use.	Should	4.3.5.1				
27g	The acceptance criteria for risk should document the impact on product and system integrity and performance.	Should	4.3.5.1				
27h	The acceptance criteria for risk should document the impact on quality of products and product documentation.	Should	4.3.5.1				
27i	The acceptance criteria for risk should document the impact on satisfaction of the acceptance test results.	Should	4.3.5.1				
27j	The acceptance criteria for risk should document the impact on any other factors.	Should	4.3.5.1				
27k	The acceptance criteria for integration requirements should account for reviewing the business processes impacted by the changes.	Should	4.3.5.1				
27l	The acceptance criteria for integration requirements should include ensuring that the people responsible for the affected business functions know of the changes.	Should	4.3.5.1				
27m	The acceptance criteria for integration requirements should include ensuring that the people responsible for the affected business functions are notified in advance of what business process changes need to be made (if any).	Should	4.3.5.1				
27n	The acceptance criteria for integration requirements should include ensuring that non-software issues are resolved in time to support the installation of the new software or hardware.	Should	4.3.5.1				