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# Product Certification Information



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Date:	2020-07-14
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Version:	0.2
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# 1 General

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## 1.2 Document Control

Version	Date	Description	Author	Approver	Effective Date
0.1	2019-04-01	Initial creation	PCVE	ARIZ	2020-04-01
0.2	2020-07-13	Update fees and financial information	PCVE	ARIZ	2020-07-14

## 2 Introduction

### 2.1 Confidentiality

This document, all related documents, and methodologies embodied in this document and related documents (“the documents”) are the property of Gaming Associates Europe Limited (Gaming Associates, **ga**). Unauthorised copying and distribution of the documents, by any means, on any media is prohibited.

This document, its themes, and ideas are strictly confidential and may not be used in any manner other than its expressed purpose, without the written permission of the author.

The documents are copyright.

### 2.2 General Requirements

Gaming Associates (**ga**) certification body recognizes its responsibility as provider of quality services and accordingly has developed and documented the use of certification marks for all type of product certification granted. This document has been developed in accordance with the requirements of ISO/IEC 17065:2012 (ISO 17065) standard.

This document serves as an information pack to the product certification scheme, “GAEL Sweden online gambling systems certification scheme v1.0” dated 7 June 2019.

### 2.3 Normative References

The following referenced documents are applicable.

- ISO/IEC 17000, Conformity assessment — Vocabulary and general principles
- ISO/IEC 17020, Conformity assessment — Requirements for the operation of various types of bodies
- performing inspection
- ISO/IEC17021, Conformity assessment— Requirements for bodies providing audit and certification of management systems

- ISO/IEC 17025, General requirements for the competence of testing and calibration laboratories
- ISO/IEC 17065:2012, Conformity assessment — Requirements for bodies certifying products, processes and services
- ISO/IEC 17066:2012, Conformity assessment — Fundamentals of product certification and guidelines for product certification schemes

## 2.4 Key Terms and Definitions

**Customer/Client:** The organisation that submits an application for a product to be evaluated and certified in accordance with the certification scheme. Examples of customers include online gaming operators.

**Online Gaming:** A game of chance (including electronic gaming and lottery devices) a video game that is either partially or primarily played through the Internet or any other computer network available, whose outcome is influenced by some randomizing device, like a random number generator, and upon which contestants may choose to wager monetary value.

**Certification Scheme:** A certification system related to specified products, to which the same specified requirements, specific rules and procedures apply (the rules, procedures and management for implementing product certification are stipulated by the certification scheme). ISO/IEC 17065:2012 clause 3.9.

For the purposes of this document certification scheme refers to the Gaming Associates “GAEL Sweden online gambling systems certification scheme v1.0” dated 7 June 2019.

**Scheme Type 6:** This scheme is mainly applicable to certification of services and processes. Although services are considered as being generally intangible, the determination activities are not limited to the evaluation of intangible elements (e.g. effectiveness of an organization’s procedures, delays and responsiveness of the management). In some situations, the tangible elements of a service can support the evidence of conformity indicated by the assessment of processes, resources and controls involved. For example, inspection of the cleanliness of vehicles for the quality of public transportation.

As far as processes are concerned, the situation is very similar. For example, the determination activities for welding processes can include testing and inspection of samples of the resultant welds, if applicable. For both services and processes, the surveillance part of this scheme should include periodic audits of the management system and periodic assessment of the service or process. ISO/IEC 17067:2013 clause 5.3.8.

## 3 Certification Requirements

Swedish Gambling Authority (SGA) requires the online gambling operators to get their online gambling systems certified against SGA’s regulations and technical requirements in accordance with ISO/IEC 17065 standard. This includes testing and inspection of online games (including random number generators (RNG)), gambling systems, and security of gaming operations.

**ga** is a local Swedish company and is the first ISO/IEC 17065:2012 certification body accredited by SWEDAC to certify online gaming systems within Sweden.

**ga** with its partners provides compliance testing and inspection services to the online gambling jurisdictions around the world. With accreditation by UKAS for ISO/IEC 17025 for testing online games (including RNG) and gambling systems; ISO/IEC 17020 for inspection of online games and gambling systems and ISO/IEC 17065 certification body.

As an ISO/IEC 17065 certification body, we perform certification activities against SGA's regulations and technical requirements relevant to each evaluation activity in accordance with ISO/IEC 17065 standard.

The certification (based on certification scheme, "GAEL Sweden online gambling systems certification scheme v1.0" dated 7 June 2019) is performed against the following SGA regulations and technical requirements:

- SFS 2018:1138 Gambling Act, 14 June 2018.
- SFS 2018:1475 Gambling Ordinance, 5 July 2018.
- LIFS 2018:8 Regulations and Guidelines on Technical Requirements and Accreditation of Organisations for Inspection, Testing and Certification of Gambling Service Providers, 25 July 2018.
- LIFS 2018:5 Regulations and Guidelines for Commercial Online Gambling and Betting, 25 July 2018.
- LIFS 2018:4 regulations and general advice on state lotteries and lotteries for matters of public interest, 25 July 2018.
- LIFS 2018:2 Regulations and Guidelines for Responsible Gaming, 25 July 2018.

The regulations listed above are the current version. If SGA updates the regulations, these will be reflected in the certification scheme. The updated scheme will be communicated to the clients along with the advice whether re-certification is required or not.

**ga** certification scheme is classified as a Type 6 scheme, for certification of services and processes based on ISO/IEC 17067:2013) has been selected for certification of online gaming systems against SGA regulations.

### 3.1 Impartially

**ga** the legal entity responsible for product certification activities. Management, and staff fully understands the importance of impartiality in undertaking its certification activities. To ensure that in all its dealings with Clients all employees are and will remain impartial and adhere to the Impartially Policy. Management authorise and support that certification activities shall remain free from any interference, including scope, audit, timing, or reporting.

### 3.2 Agreement

**ga** is the sole owner of this certification scheme and is the only certification body authorised to certify products under this scheme or to refer to this scheme in marketing or publicity materials. Accordingly, **ga** maintains control over the ownership, use and display of certificates and any other mechanisms for indicating a product and service is certified.

All incorrect, including fraudulent, references to certification or misleading use of certificates or any other mechanism for indicating a product is certified shall be subject to

review by **ga** and may result in the suspension, withdrawal or termination of certification or other suitable action as deemed appropriate by **ga**.

The customer agrees to fulfill the certification requirements, including and not limited to the following:

- Complete an acceptable submission / certification agreement
- Payment of all fees as per the agreement
- Make all necessary arrangements for conduct of the evaluation, surveillance (if required), availability of documentation, personnel and access to systems for observation
- Implement appropriate changes when communicated
- Comply with the Conditions for the Use of the Certificate, Marks and Agreement
- Immediately inform regarding changes to the certified product and services or ability to conform to the certification requirements

### 3.2.1 Non-discriminatory Conditions

**ga** policies and procedures are non-discriminatory, ensuring that the certification process and services are not impeded. All clients are allowed access to apply for certification within the scope of the certification services offered. **ga** places no undue conditions, be that financial or business induced conditions related to the client's organisational structure, or prior work performed by **ga**.

**ga** reserves the right to decline an application for certification or cancel an executed contract for certification, for reasons of non-conformity to the Agreements terms and conditions.

### 3.2.2 Financial Support and Fees

**ga** does not obtain financial support and generates financial stability through work undertaken.

**ga** provides a bespoke proposal for each organisation based upon your specific application and circumstances. Until we receive an application for accreditation, it is very difficult to provide you with an accurate estimate of the cost. All assessment fees are effort related, dependent on the complexity of scope of certification being sought. These fees both on-site and off-site time spent on your product certification.

## 3.3 Use of Certificate and Marks

**ga** exercises control as specified by the certification scheme over ownership, use and display of licenses, certificates, marks of conformity, and any other mechanisms for indicating a product is certified for the identified scheme.

The use of the certification marks is carefully controlled and monitored regarding use and display of the certification marks as well as the penalties are imposed for misuse. The certification marks shall not be used on a product including laboratory test, inspection report, or in a way that may be interpreted as denoting product conformity

The certification marks are legally protected, and penalties are imposed on those who abuse or misuse the certification marks. Incorrect references to the certification scheme, or misleading use of licenses, certificates, marks, or any other mechanism for indicating a product is certified, found in documentation or other publicity, is dealt with by suitable action. Such actions are addressed and can include corrective actions, withdrawal of certificate, publication of the transgression and, if necessary, legal action.

Complaints by members of the public and industry are encouraged and regularly reviewed to identify preventive measures regarding abuse or misuse of the certification marks. A record of all complaints relating to the use of certification marks will be kept.

The certification mark is to be used only in relation to the scope for which the product certification scheme being accredited against. If not adhered to, **ga** may withdraw the production certification and/or take the legal action.

### 3.4 Confidentiality

**ga** treats all information obtained or created as part of the certification activities in strict confidentiality, except for information that the customer makes publicly available or when agreed between the customer. All other information is considered proprietary information and shall be regarded as confidential.

**ga** will inform the client, in advance unless otherwise prohibited by law, of the information it intends to place in the public domain or when requested by law, court order or legally entities to release confidential information.

### 3.5 Publicly Available Information

The scheme documents are made available to public upon request. Information about details such as evaluation procedures, rules and procedures for granting, for maintaining, for extending or reducing the scope of, for suspending, for withdrawing or for refusing certification are made available to clients upon request. **ga** shall keep a list of certified products which can also be made available upon request.

## 4 Certification Process

The following process has been adopted for certification in accordance with the defined certification scheme

### 4.1 Selection

Within this process lie the initial client queries and communications with respect to certification requirements etc.

#### 4.1.1 Application

Typically, the following information is provided to clients interested in obtaining ISO 27001 certification. An application form (F22), and/or ISMS checklist (F28) and the GA Sweden Online Gambling Systems Certification Scheme documents are provided for clients to evaluate all requirements.

## 4.1.2 Application Review

Application form is reviewed when submitted by the client for completeness, necessary information to complete the certification process in accordance with this certification scheme. The review will confirm that there is means to perform the certifications based on availability of resources with suitable to perform all evaluations and certification.

The client is informed if GA is able to proceed or not processed with the certification. Following the application review and confirmed ability to perform the certification, all documents are assessed by the Certification Manager and with the Business Development Manager prepare the Agreement that is sent to the client. Upon receipt of a signed agreement as preliminary kick-off meeting is scheduled with the client to discuss the project timeframes.

## 4.2 Determination

The process for determination includes kick-off meeting, evaluate security, testing, and inspection requirements, including assessing any non-conformities that have been remediated.

**ga** ensures that:

- Adequate personnel to perform each evaluation task that it undertakes with its internal resources.
- Ensures all necessary information and / or documentation, stored securely on the SharePoint repository, is made available for performing the evaluation tasks
- Relies on evaluation results related to certification completed prior to the application for certification, where it takes responsibility for the results and satisfies itself that the body that performed the evaluation fulfils the requirements and those specified by the certification scheme. This also includes work carried out under recognition agreements between certification bodies.
- All nonconformities are informed to clients at the end of evaluation.
- If the client agrees to completion of the additional evaluation tasks, the process specified above will be repeated to complete the additional evaluation tasks.
- The results of all evaluation activities are documented prior to review process.

## 4.3 Review

The process of review is to undertake comprehensive review by the Certification manager, of evaluation tasks and documentation in preparation for assessment regarding decision for certification. Arrangement for the certification committee to meet and review certification submissions.

## 4.4 Certification Decision

**ga** is responsible for and retains authority for all decisions related to certification and does not outsource the certification decision.

Certification committee is assigned to make the certification decision based on all information related to the evaluation, its review, and any other relevant information. The review and the certification decision are completed concurrently by the certification committee. All members of the certification process are regular employees or under



contract, under organisational control to ensure impartiality and mitigate any instance of conflict of interest.

The certification Manager communicates to the client

- all observations and non-conformities to the client at the end of evaluation and requests the client to resolve these issues.
- Certificate is only issued if the product and services conform to the certification scheme is granted by the committee.

#### 4.4.1 Attestation

The attestation process is performed at the decision process where the committee make a decision to granting certifications. These options are:

##### **Granting certification**

Certification is granted for the in-scope product/services that have been assessed and conforms to the scheme, for a period of 12 months. This is performed as a result of the initial audit and re-certification stages.

##### **Maintaining certification**

Assessment is performed based on the defined processes. Certification is assessed based on surveillance periods and/or based on scheme or product/services changes deemed to require re-assessment. Maintenance of certification is granted.

##### **Extending or Reducing certification**

Assessment is performed based on the defined processes. Assessment of the extended or reduced scope of product/services is performed and certification is granted. Updated certificate is provided and records updated accordingly.

##### **Suspension, Withdrawal or Refusing of certification**

Assessment is performed based on the defined processes. Certification is assessed based on surveillance periods and/or based on scheme or product/services changes assessed to not meet scheme requirements and/or the client does not fulfil their obligations under the terms and conditions.

Formal notice of certification suspension is given, records updated and client is advised on the rights and duties of applicants and clients, including requirements, restrictions or limitations on the use of the certification body's name and certification mark.

## 4.5 Directory of Certified Products

**ga** maintains a list of certified products on a secure centralised repository, SharePoint, accessible by authorised personnel. The information includes:

- identification of the product
- product manufacturer / operator
- certification standard and scheme

- certificate number, issue number, date of issue and date of expiry

## 4.6 Surveillance

Surveillance is not optional, with products and services certified under the defined certification scheme maybe subject to surveillance

- due to changes to products and services made by the client
- due to changes made by the regulator that affect the conformity and certification
- due to changes in the certification scheme affecting conformity

## 4.7 Changes Affecting Certification

When the certification scheme introduces new or revised requirements that affect the client, **ga** ensures that these changes are communicated to all clients. Certification Manager circulates such information through email to all clients to make them aware regarding these requirements.

Considerations of other changes affecting certification such as changes in regulations or technical requirements by SGA, or changes made by the client in their product, etc. A change affecting certification includes new information related to the fulfilment of certification requirements obtained by **ga** after certification has been established and clients are informed about these changes and applicable verification activities.

# 5 Complaints and Appeals

**ga** has a documented process to receive, evaluate and make decisions on complaints and appeals. **ga** records and tracks all the complaints and appeals, as well as actions undertaken to resolve them are including the corrective actions taken to prevent its recurrence.

## 5.1 Complaints

Any expression of dissatisfaction with **ga** products or services requiring a response is managed. However, depending on the issues involved a complaint may be treated as an appeal or as a business dispute. Complaints about certification decisions are handled as appeals. All other issues involving complaints are handled as business disputes.

Upon receipt of a complaint or appeal, Certification Manager confirms

- whether the complaint or appeal (not a business dispute) relates to certification, activities for which it is responsible and, if it is found related to certification, then the complaint or appeal will be addressed.
- acknowledges the receipt of a formal complaint or appeal in writing to the initiator, within 15 days of receipt.
- initiates an internal complaint management process to investigate, analyse and assess the complaint.
- formal notice of the outcome of the complaint is given to the appellant at the conclusion of the investigation process to the appellant.

## 5.2 Appeals

**ga** considers an as a request to reconsider a certification decision for a specified product and services of a client. Accordingly appeals are considered to be apply to certifications decisions and apply to clients of the related certification.

Applies must be made in writing to **ga** and will be managed as complaints. Following a thorough assessment of the appeal and any related facts, **ga** Management will make a determination of compliance or conformity within the submission. Formal notice of the outcome of the appeal is given to the appellant by Certification Manager and the end of the appeal process to the appellant.

## 6 To contact us:

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## 7 End of Document