

Gaming Laboratories International



*GLI Product Certification Scheme
GLI Europe B.V.*





GLI Product Certification Scheme, GLI Europe B.V.

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1 SCOPE

This document serves as the certification scheme for GLI Europe B.V.

This certification scheme is classified as a type approval scheme based on type testing. GLI evaluates and certifies gaming products against jurisdictional requirements/standards/specifications as requested by the submitting client (hereinafter referred to as jurisdictional requirements). Evaluation of gaming products is accomplished in accordance with ISO/IEC 17025:2005, to which GLI adheres in its entirety, with one exception—GLI is not a calibration laboratory, and therefore requirements exclusive to calibration under ISO/IEC 17025:2005 are not considered in this scheme.

Certification of gaming products is accomplished in accordance with ISO/IEC 17065:2012.

Gaming products subject to evaluation and certification include, but is not limited to, electronic gaming devices (hardware and software); random number generator programs; iGaming games and platforms; progressive systems; electronic table games; monitoring, accounting and control systems; and Gaming Standards Association protocols.

1.1 Authority

Certification activity, with strict accountability for confidentiality and safeguarding records and information, is authorized by GLI Executive Management to publish and maintain methodology and controlled documents as required by international standards identified in this document.

INDEPENDENCE AND OBJECTIVITY:

Objective: To maintain a high degree of impartiality in all activities associated with certification procedures.

GLI certification activities shall remain free from interference by any element in a client's organization or GLI, including matters of audit, scope, procedures, frequency, timing, or report content.

GLI shall not discriminate in the certification processes.

GLI shall have no operational responsibility or authority over any submissions for evaluation or certification. GLI shall not engage in any activity that may impair impartiality, independence or objectivity when implementing controls, developing procedures, installing systems, preparing records, or conducting any other activity.

1.2 Surveillance

This is a Type 1a product certification scheme (in accordance with ISO/IEC 17067:2103). GLI does not engage in any surveillance activities.



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2 APPLICABLE STANDARDS AND NORMATIVE REFERENCES

- ISO 17000:2004, Conformity Assessment – Vocabulary and general principles
- ISO/IEC 17025:2005, Conformity Assessment - General requirements for the competence of testing and calibration laboratories
- ISO 17065:2012, Conformity Assessment – Requirements for bodies certifying products, process

The version of each standard or normative reference listed above is current as of the effective date of this scheme. If a more current version of a standard or normative reference becomes available before this scheme is updated, GLI uses the most current version.

3 CERTIFICATION AGREEMENT

GLI will accept multiple application formats for a certification request, including but not limited to, a GLI application, a request on company letterhead, and by electronic submission. Each format accepted by GLI is deemed a legally enforceable agreement for GLI to provide the services requested within the format provided, whether specifically referenced or otherwise.

Regardless of format, the client agrees to fulfill the certification requirements, including and not limited to the following:

- Complete an acceptable submission / certification agreement;
- Pay all fees;
- Inform GLI regarding changes to the certified product immediately upon implementation;
- Implement appropriate changes when communicated to the client by GLI;
- Make all necessary arrangements for conduct of the evaluation, surveillance (if required), examination of documents and records and access to relevant equipment, locations, areas; personnel and client subcontractors; investigation of complaints and the participation of observers if applicable;
- Comply with the Conditions for the Use of the Certificate (refer to Section 3.1);
- Make claims regarding certification that are consistent with the scope of certification;
- Not use product certification in such a manner as to bring GLI, the certification body, into disrepute and to make no claims or statements regarding its product certification that GLI may consider misleading or unauthorized;
- Upon suspension, withdrawal or termination of certification, immediately discontinue use of all advertising matter that contains any reference thereto and takes action as required by this certification scheme or any other required measures as stipulated by GLI;
- Copies of certification documents shall be reproduced in their entirety or as specified by GLI;
- In all communication media, comply with any requirements that may be prescribed by GLI relating to the use of marks of conformity and on information related to the product;
- Retain records of all complaints made known to the client regarding compliance with certification requirements and make these records available to GLI upon request; and
 - Take appropriate action with respect to such complaints and deficiencies found in any products that affect compliance with the requirements for certification; and
 - Document the actions taken;



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- Inform GLI, immediately, of changes that may affect its ability to conform to the certification requirements.

3.1 Conditions for the Use of the Certificate

- GLI is the sole owner of this certification scheme, and is the only certification body authorized to certify products under this scheme or to refer to this scheme in marketing or publicity materials.
- Clients of GLI may refer to certification, and by extension this scheme, only to the extent authorized under the certification agreement described above.
- GLI maintains control over the ownership, use and display of certificates and any other mechanisms for indicating a product is certified.
- All incorrect, including fraudulent, references to certification or misleading use of certificates or any other mechanism for indicating a product is certified, for example in marketing or publicity materials, shall be subject to review by GLI and may result in the suspension, withdrawal or termination of certification or other suitable action as deemed appropriate by GLI.

3.2 Management of Impartiality

GLI has implemented a mechanism to safeguard impartiality. This mechanism is a process that evaluates risks to impartiality on an on-going basis with the purpose of eliminating or minimizing risks to impartiality and conflicts of interest and ensuring that commercial, financial or other pressures do not compromise impartiality. The following elements are taken into account by the mechanism to safeguard impartiality: staff awareness, training and education; management oversight; and mitigation and corrective action.

GLI top management has appointed a Committee on Impartiality that is responsible for reviewing risks to impartiality and reporting to top management. The committee is comprised of staff members from a cross-section of departments within GLI. In addition, input on GLI impartiality is obtained from gaming industry suppliers and regulators.

When a risk to impartiality is identified, it is evaluated for impact to GLI and appropriate corrective actions are taken in accordance with GLI's corrective and preventive action procedures. The Committee on Impartiality reports all identified risks to impartiality to top management through the management review. If a severe risk is identified, that has an immediate impact on and may compromise the impartiality of GLI, the Managing Director shall be informed immediately.

3.3 Non-discriminatory Conditions

GLI's policies and procedures are non-discriminatory and do not impede access to certification services. GLI allows access to any applicant that requests certification within the scope of GLI's operations. GLI places no undue financial conditions or conditions related to the size of the applicant, membership in a group or association, or prior certifications issued by GLI. GLI reserves the right to decline an application for certification, or cancel an executed contract for certification, for reasons such as client participation in illegal activities, a history of repeated nonconformity to requirements, or other issues such as a history of non-payment for services rendered.



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3.4 Confidentiality

GLI treats all information obtained or created during the performance of certification activities in strict confidentiality, except for information that the client makes publicly available or when agreed between GLI and the client. All other information is considered proprietary information and shall be regarded as confidential. GLI informs the client, in advance, of the information it intends to place in the public domain. When GLI is required by law or other authorized contractual arrangements to release confidential information, unless prohibited by law, GLI will inform the client of the request and information that will be provided. Information about the client obtained from sources other than the client (such as from a complainant or a regulator) shall be regarded as confidential by GLI.

3.5 Publicly Available Information

This certification scheme is publicly available through gaminglabs.com and provides information about the certification process for GLI Europe including evaluation, and the rules and procedures for granting, maintaining, extending, reducing, suspending, withdrawing or refusing certification. This certification scheme also describes the rights and duties of applicants and clients including requirements, restrictions or limitations on the use of the GLI name. Information on use of the “Gaming Labs Certified®” mark, including how to apply, is available on gaminglabs.com.

GLI is a for-profit legal entity and charges fees for its services.

4 APPLICATION

Every request of GLI for certification must be accompanied by acceptable submission documentation and must contain at minimum all the necessary information to complete the certification process in accordance with this certification scheme.

At minimum, submission documentation must include:

- Name and details of the product to be certified;
- The standards or normative documents for which the client is seeking certification;
- General features of the client including, name and address, contact details and contact personnel, physical location (as deemed necessary); significant aspects of its process or operations to be considered; and any legal obligations;
- General information about the client, relevant to the certification for which the submission is being made including its relationship to a larger organization or corporation, if any;
- Information concerning all outsourced processes by the client that will affect conformity to requirements. If the client identified a legal entity/entities for producing the certified product that is different from the client, then GLI can establish appropriate contractual controls over the legal entity/entities concerned;
- All other information needed in accordance with the relevant certification requirements, such as information for the initial evaluation. This may also include any additional requirements as deemed necessary by GLI.

5 APPLICATION REVIEW

5.1

On receipt of all submissions for evaluation or certification, GLI will complete an initial review ensuring at minimum the following information is provided:



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- a) Information about the client and the product, process or service that is sufficient for GLI to conduct of the submitted work and certification activities;
- b) That any differences between GLI and the submitter are resolved, including agreement regarding standards and terms and conditions;
- c) That a scope of certification or Statement of Work are defined;
- d) That the means are available to perform all evaluation activities;
- e) That GLI has the competence and capability to perform the work and certification activities.

5.2

Should the type of product, normative document or certification scheme be unknown or is not familiar to GLI, GLI reserves the right to perform all necessary technical reviews and activities deemed appropriate prior to the acceptance of an agreement for testing or certification.

5.3

Prior to engaging in any activities as described in 5.2, GLI will ensure it has the competence and capability for the activities requested by the submitter and GLI will maintain records of the justification for the decision to undertake evaluation or certification activity.

5.4

GLI will not accept submissions or undertake specific activities of testing or certification if GLI deems it lacks the competence or capability to undertake the submission.

5.5

GLI will, at their discretion, use certifications or reports already granted to the client to omit any activities deemed unnecessary. GLI will reference the existing certification in its records. In each circumstance, GLI will provide justification for omission of any activities.

6 EVALUATION

6.1

Following the initial review of the application or submission, GLI assigns the submission document to an appropriate Technical Manager for determination of the specific testing activities required to ensure the submission is completed. The Technical Manager has the discretion to assign the work activities to qualified personnel. The progress of all work activities is recorded and monitored for accuracy and completeness.

6.2

GLI assigns competent and qualified personnel to perform specific work activities as described in the submission documentation. In the event that GLI outsources any tasks, GLI ensures the personnel performing the tasks are competent and qualified to perform the task assigned to them. GLI will inform the submitter of any outsourced tasks including the location of where each task was completed.

6.3

GLI ensures that all personnel performing evaluation tasks, either internal or outsourced, have access to the GLI Intranet, which contains all of the approved and controlled documents, checklists, work instructions and other materials that are relevant



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to perform the specific evaluation tasks for each submission.

6.4

All evaluation tasks are performed internally by qualified and competent GLI personnel unless otherwise specified and communicated to the submitter of the necessity to outsource specified tasks. All evaluation activities, internal and/or outsourced, are performed according to the specific instructions of the submitter and within scope of GLI's accreditation to ISO 17025:2005.

6.5

GLI generally will not rely on results of evaluation or certification activities completed prior to receipt of the current submission documentation without prior confirmation that the tasks performed have been completed to the satisfaction of GLI evaluation requirements including competence, accreditation, and meet the requirements of relevant international standards.

6.6

During the evaluation process, GLI will inform the submitter of all nonconformities identified during evaluation.

6.7

If one or more nonconformities have arisen, at the discretion of the submitter, GLI will either terminate further evaluation activities or will continue the evaluation process and provide information regarding the additional evaluation tasks needed to verify that all nonconformities have been corrected.

6.8

If the submitter agrees to the continuation of the additional evaluation tasks, GLI will again assess the additional evaluation tasks prior to continuing to complete the activities specified in the originating submission.

6.9

GLI electronically retains all working papers, checklists and other documentation for each submission for traceability and verification and GLI will provide the client with a final written report pertaining to the work as specified within the submission documentation.

7 REVIEW

Upon completion of the specified evaluation tasks, a comprehensive technical review is performed by a Senior Engineer or Technical Manager to verify that the required tests have been performed satisfactorily and accurately based on completed technical records. The technical review is followed by a comprehensive quality assurance review to verify the completeness of the submission and the inclusion of all required documentation.

The Quality Assurance Supervisor assigns the quality assurance review to a Document Review Specialist (the Quality Assurance Supervisor may also complete the review). The quality assurance review provides complete disclosure and details of the submission and verification of the completion of all specified evaluation tasks.



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All submissions, working papers and associated documentation including the technical and quality assurance reviews and the final report are subject to comprehensive internal audit procedures.

8 CERTIFICATION DECISION

8.1

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

8.2

The certification decision is the result of a multiple step process from submission to issuance of the certificate.

8.3

The final determination for certification is confirmed by the Managing Director, or as delegated per the GLI deputizing scheme listed in the Authorized Scanned or Electronic Signatories.

8.4

All members of the certification process are regular employees or under contract with GLI to ensure impartiality and mitigate any instance of conflict of interest.

8.5

GLI provides the submitter with a complete certification report that unambiguously identifies the product and confirms or denies certification of the product.

The certification report includes GLI contact information, the date(s) certification is granted, the submitter's contact information, the scope of the certification, the expiry date(s) of certification (if applicable), and any other information as appropriate. The certification report is signed by the Managing Director, or as delegated per the GLI deputizing scheme.

A certificate will only be issued if the gaming product submitted for certification that passes the jurisdictional requirements against which the gaming product(s) was evaluated. The certificate explicitly indicates "PASS" for the specific set of jurisdictional requirements requested by the submitting client. A separate certificate is issued for each specific set of jurisdictional requirements. No interpretation of the certification decision is required; the gaming product(s) either passes, and a certificate is issued, or fails, and certification is denied.

8.6

Changes Affecting Certification – When GLI introduces new or revised requirements that affect the client, GLI shall ensure these changes are communicated to the client. GLI shall further verify the implementation of the changes by its clients.

8.7

Termination, Reduction, Suspension or Withdrawal of Certification

- When a non-conformity with certification requirements (i.e., a certified product no longer complies with the applicable jurisdictional requirements) is substantiated, GLI shall consider and decide upon the appropriate action, which can include:



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- Continuation of certification under conditions specified by GLI;
- Reduction in the scope of certification to remove the non-conforming product variants;
- Suspension of certification pending remedial action by the client;
- Withdrawal of certification;
- Evaluation review of a certification decision.
- If certification is suspended GLI will inform the client:
 - Of actions needed to end suspension and restore certification;
 - Any other actions deemed appropriate by GLI necessary to restore certification.

9 **DIRECTORY OF CERTIFIED PRODUCTS**

9.1 **General**

GLI retains all certification documentation indefinitely in an electronic format including:

- Identification of the product;
- The standards or normative references to which conformity has been certified;
- Identification of the client.

9.2 **GLI ACCESS Online Access**

GLI provides submitters, regulators and authorized parties with access to approval reports, downloads, verification utilities and other information relevant to their products and jurisdictions online via our website using a secure login. GLIACCESS® is available to GLI customers free of charge by contacting our office.

10 **COMPLAINTS**

Any expression of dissatisfaction with GLI products or services requiring a response is managed as a complaint.

10.1 **Handling Complaints**

Upon receipt of a complaint or expression of dissatisfaction, GLI immediately initiates an internal complaint management process to investigate, analyze and assess the complaint. All complaints are acknowledged with the complainant within 30 days of receipt of the complaint.

Depending on the issues involved, the aspects of a complaint may be treated as an appeal or as a business dispute. Complaints about compliance or certification decisions made by GLI are handled as appeals. All other issues involving complaints are handled as business disputes.

11 **APPEALING A COMPLIANCE OR CERTIFICATION DECISION**

An appeal is a request for GLI to reconsider a certification decision of a specified submission.

Appeals:

- Apply only to compliance or certification decisions;
- Apply only to those submitting products for certification;



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- Are normally resolved internally;
- May only be resolved through third party arbitration where specified in the appeal process.

11.1 The Appeal Process

When GLI determines a product does not meet the necessary compliance requirements to issue a certification, the submitter can contest the findings by making a written appeal to GLI.

Appeals must be made to GLI in writing. GLI will review the facts related to the appeal and respond within 30 days of receipt. Appeals are recorded as complaints of dissatisfaction with GLI. All records, documents etc., resulting from an appeal, are retained by GLI in an electronic format indefinitely.

Following a thorough assessment of the appeal and any related facts, GLI Senior Management will make a determination of compliance or conformity within the submission. The principles of independence and impartiality during GLI's appeal process are assured and safeguarded by the **Product Certification Decision Committee**.

GLI will inform the customer of any further action required to remedy the situation. Once the decision has been confirmed by GLI, no further appeals are accepted unless new evidence is presented or discovered that may result in a reversal of the appeal. Procedures for handling internal nonconformity are followed.

If a submitter disagrees with a decision made by GLI, the submitter may take the matter directly to a regulatory authority.

GLI may also contact regulatory authorities for a compliance determination in cases where jurisdictional regulations are unclear, silent, or do not specifically address the characteristics, features, or technology of an item submitted. This is applicable provided it does not compromise GLI impartiality and the submitter directs GLI to proceed.

The right to appeal directly to an independent arbiter directly or following GLI's internal review is only allowed in Hong Kong and shall be submitted to the Hong Kong International Arbitration Centre and administered in accordance with the rules and regulations of the HKIAC. Further information can be found at www.hkiac.org.

12 VERSION HISTORY

Updates effective as of 15 November 2017, MJM

Section	Made by	Revision(s):
Not applicable	Mark Mensik	• Initial Release