

## Certification of gaming technologies

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### Summary of changes since previous issue:

Minor generalization regarding certificate templates in chapter 2.

Prepared by:	Jan Klemenčič	_____
Review:	Bojan Pečavar	_____
Approval:	Gregor Schoss	_____

## 1 Purpose and scope

This instruction specifies in detail the procedure of certification of gaming technologies, including devices, software, components / assemblies and systems of gaming devices, from the application to the issue of a certificate of conformity, i.e. the procedure of conformity assessment. All provisions gathered in one single document should facilitate the work of the certification personnel. This instruction is a gaming-specific supplement to the general *Rules on product certification* (CR201).

Gaming technologies are certified based on a type test. The bases for issuing a certificate are relevant national regulations or relevant national or international standards.

## 2 Certification schemes

Two certification schemes are maintained for certification of gaming technologies:

- *Type approval* - this scheme represents product certification based on type testing only;
- *Regulatory* - this scheme also includes on-site product surveillance.

Currently, *Regulatory* scheme is used for jurisdiction Slovenia (CN431 certificate template), and *Type approval* is used for all other jurisdictions (CN434 general certificate template, or individual jurisdictional templates wherever applicable). The differences between the two schemes are:

- For *Regulatory* scheme, we can base the certificate on our or on foreign (gaming) test report, while for *Type approval* scheme we always base the certificate on our (gaming) test report.
- Other specifics of the *Regulatory* scheme (surveillance of certified products, complaints to suppliers) are described in Chapter 6.

Chapter 6 of this document applies to *Regulatory* scheme only. The rest of this document applies to both schemes.

## 3 General conditions on certification procedure

### 3.1 Applicant, holder of a certificate and owner of a certificate

**The applicant** for certification may only be a company / institution registered according to valid legislation.

The applicant may be a manufacturer, a representative of a foreign manufacturer, and by authorization of the manufacturer also an importer, a concessionaire or a permanent organizer of classic games of chance. The applicant settles all financial liabilities of the procedure. In case of a positive outcome of the certification procedure and the issue of a certificate the applicant is stated in the certificate and becomes **the holder of the certificate**. The holder of the certificate has the right to use and dispose with the certificate freely. There may be several applicants or holders of a certificate.

The holder of a certificate may allow other interested corporate bodies to use the certificate. Hereby the holder of a certificate and other users shall negotiate the conditions for acquiring the right to use the certificate among them.

SIQ has to operate in a non-discriminatory way and will therefore in case of a new application perform the certification from beginning to end for other customers as well and also perform all tests again. Furthermore the entire procedure will be charged to the new customer, even if the procedure has already been performed for another customer before. In this case two certificates will be issued, each in the name of a different customer, or respectively holder of a certificate.

The applicant or respectively the holder of a certificate is obliged to enable the certification personnel to carry out the certification procedure undisturbed, as defined in this instruction.

SIQ remains at all times **the owner of the certificate** of conformity, as it is in the capacity of a certification body responsible for its maintenance, updating, keeping of registry, and in case of any non-conformities, it is also responsible for withdrawal or cancellation of the certificate. Other than that, SIQ has no rights of disposal with the certificate.

### 3.2 Object of certification

The object of certification is a product or a group of products, for which an application for a certificate of conformity was submitted and can be clearly and unambiguously identified. A certificate of conformity may be issued for a:

- gaming device (gaming machine, gaming table, e.g. mechanical roulette, drawing lot device or drawing panel etc.), or just a gaming machine platform; a platform includes hardware with different versions (e.g. different shapes of cabinets, monitors, pay-in / pay-out units, toppers, etc.) and an operating system, which runs on the processor assembly and controls all machine parts, communication with players and connected systems, accounting and game base;
- software of the game, which includes the main game software, paytables, reel layouts or card symbols, etc., or even the operating system of the gaming device. The certificate may be issued for a specific part of the software only, e.g. the data software with paytables;
- components / assemblies of the gaming device, which may include the hardware upgrade, e.g. a bill acceptor or a standalone progressive
- gaming technology systems, including systems of linked progressives, a supervisory information systems, systems of internet gaming, etc.

### 3.3 Certification criteria

An agreement must be reached as to the standards, regulations or specifications by which the examination and conformity assessment will be performed.

## 4 Certification procedure

### 4.1 Activities

- a) Informative discussion with an applicant
- b) Definition of applicants requirements
- c) Ordering of the service – according to SIQ instructions and forms
- d) Confirmation of the order
- e) Review and assessment of documentation
- f) Sampling and examination of sample
- g) Type test report
- h) Assessment of agreement of the test report with documentation and sample
- i) Recommendation for granting a certificate
- j) Decision on granting the certificate
- k) Communication with the applicant on the results and any corrective actions necessary
- l) Settling of financial liabilities
- m) Return or removal of the sample

To follow all stated activities the checklist WN111 is used.

## 4.2 Informative discussion with the applicant

The future applicant is informed about the certification procedure and the estimated costs. The certification criteria shall be clearly defined. Usually, it consists of domestic or foreign national regulations.

At the informative discussion the applicant shall be given following documents:

- WN121 – *Application for testing / certification of gaming products*,
- WP123 – *Preparation of application for testing / certification of gaming products (Information for applicants)*, or WP130 for remote gaming products, or WP131 for gaming audit,
- On request of the applicant, also the national regulations or standards, applicable for chosen markets.

## 4.3 Application

The applicant orders the service by means of an application on one of the foreseen forms (WN121), or in any other form with the same contents. Alternatively, SIQ customer portal offers a possibility to submit the application online. The application defines the extent of the certification (type of product, hardware or software, different versions, etc.), the jurisdiction, for which the approval should be granted, as well as any other data, necessary for the certification procedure, according to instructions in WP123 / WP130 / WP131 or as given orally.

The last part includes clauses on mutual obligations between the applicant and SIQ – provider of service, especially on data confidentiality (SIQ) and the stated conformity of software with the declared specifications and copyrights (client). The application is confirmed by signatures of authorized representatives of the applicant and the technical manager of the SIQ gaming technologies testing laboratory.

After reviewing the documentation, the samples delivered and the accessories SIQ may require additional information or accessories to complete the application. SIQ may also issue a confirmation stating that the application is complete.

An estimate of the costs may be issued after receiving a complete application.

## 4.4 Test report

The certification procedure is performed based on a report on testing, which may have been performed in SIQ laboratories or in other qualified laboratories.

### 4.4.1 Type test in SIQ

The type test or the product test is performed on a representative sample according to relevant standards, technical regulations or other specifications in the laboratories of the SIQ by order of the certification personnel. The customer is informed of the test results and has the opportunity to eliminate any non-compliance.

In case of subcontracting, a written approval shall be acquired from the applicant.

### 4.4.2 Reports from other laboratories

SIQ can only accept reports from other laboratories within the "regulatory certification scheme", when issuing certificates for Slovenia. See chapter 6.4.

### 4.4.3 Subcontracting

SIQ may subcontract part or all of the testing work with client's consent to another testing laboratory in cases where it has for the time being inadequate capacities due to higher demand, where it has inadequate

testing facilities, such as specific mechanical measurements of roulette wheels, drawing balls or similar, or in other cases as agreed with the client.

Certification work of gaming products is never subcontracted.

SIQ assumes full responsibility for the subcontracted work and is alone responsible for the granting, maintenance, replacements, extensions, cancellation or withdrawal of a certificate.

#### **4.5 Conformity assessment**

During the conformity assessment procedure the certification personnel, not included in testing procedures, shall:

- check the product and statements in the test report and / or other technical documents,
- checks test reports against the requirements of the relevant jurisdictional or other applicable standards, technical regulations or other specifications,
- issue a report on conformity assessment on the WN111 form for the Product certification commission,
- prepare a draft certificate of conformity.

Special attention shall be given to the following questions:

- is the test report complete? – does it clearly identify the product, state the relevant test methods and clearly and unambiguously present all relevant results so that compliance with all requirements of a standard / regulation can be verified.
- do the results and findings stated in the report comply with the requirements of the applicable standard or regulation in all relevant items?
- do the statements given in the report agree with the rest of the documentation and with the data on the product sample?

The technical documentation and the device sample are also checked. The technical documentation must provide adequate data that specifies the product, its characteristics, its structure and built-in components. For critical hardware components documents to certify the conformity to standards in the sense of electrical safety and electromagnetic compatibility shall be provided if required in the scope of certification of the jurisdictional regulation. Wherever it is relevant the electrical and mechanic scheme of the product and the parts list must agree with the findings of the product sample examination and the data stated in the test report. In case of software and information systems, description of the system, flow-charts, description and comments of the source code shall be congruent with the submitted version of the software source code or the operating version of the operation system.

The conformity of the sample or the software is established by comparing its data and characteristics with the statements in the report and the documentation.

The proofs of conformity of critical parts shall be documented in the technical file.

The certification personnel may require additional tests or checks / measurements of critical parameters, in case there are still doubts as to the conformity of the product in spite of the submitted documentation.

#### **4.6 Recommendation for granting a certificate**

After completed conformity assessment procedure, the certification personnel make a recommendation for granting a Certificate of Conformity with a signature on the WN111 form.

#### **4.7 Issuing a certificate of conformity**

Decision on granting the certificate is taken by the product certification commission. In case of a positive decision, a certificate of conformity is issued by the product certification commission based on a completed checklist for product testing and certification (WN111) and the draft certificate.

Certificate may be signed in ink or electronically (digital signature).

In case certification personnel performs evaluation process in a remote location the completed certification checklist, test report and draft certificate are sent to the product certification commission (PCC) electronically. The PCC notifies the certification personnel about their decision electronically, by which (in case of positive decision) the certification personnel is authorized to sign the certificate on behalf of one of the members of the PCC.

#### **4.8 Post-certification activities**

Certification personnel takes care of resolving any open financial issues with the client, such as overdue financial statements, payment arrangements and their changes as well sample removal and return conditions.

For casino type of gaming equipment hardware samples are normally kept by the certification body for as long as new games are expected on the same hardware and / or for as long as there is jurisdictional need that any post-certification investigations may be required. Software samples (both source and executable code) are kept along with the documentation for as long as it is necessary to keep testing records.

Any communication with the client related to certification findings, possible non-compliances, the processes to resolve the non-compliances and other relevant issues are coordinated by the certification personnel at any phase of the certification process.

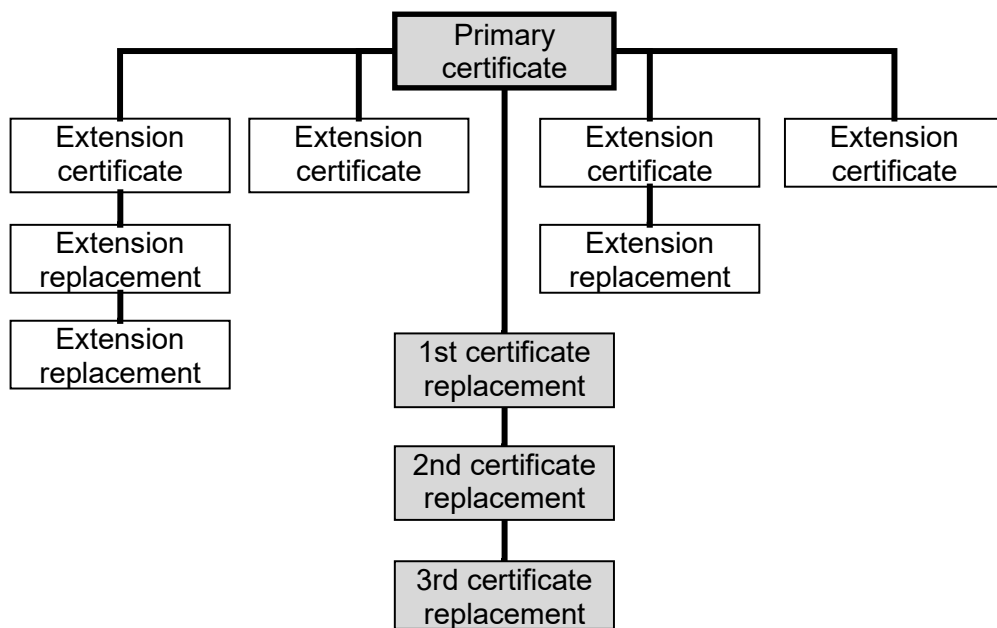
### **5 Certificate of conformity**

#### **5.1 Certificate classification (primary certificate, replacements, extensions)**

There are four classes of the certificate:

- primary certificate,
- replacement of certificate,
- extension of certificate,
- replacement of extension of certificate.

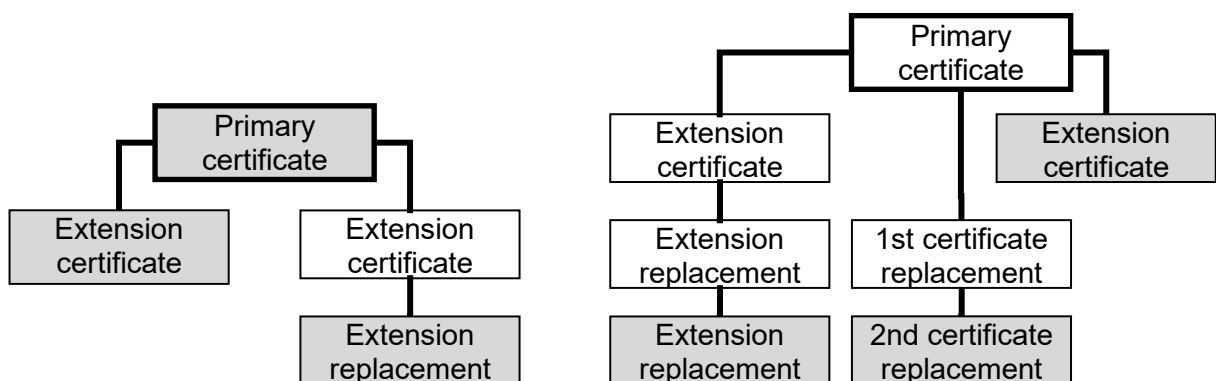
The relation among the certificate classes is evident from the tree diagram below. Each tree starts with issuing of the primary certificate. The primary certificate may be followed by its extensions and replacements. Each extension can obtain its further replacement (which in essence still remains an extension of the primary certificate). Other combinations (e.g. extension of replacement or extension of extension) are not allowed.



In case errors are found in an issued certificate, its replacement is issued (for more information, see pertinent chapter below).

In case when a certificate is to be appended with additional contents, either a replacement (see pertinent chapter below) or an extension may be issued.

All extensions of a given certificate are considered to be constituent part of the extended certificate. Nominally, extensions always extend the primary certificate, even if it has already been succeeded by replacements. However, as a group of related certificates, which are valid at certain point in time, one needs to consider the last replacement of the primary certificate (or the primary certificate itself if it has no replacements), as well as all its extensions or their last replacements. Two examples are given on the diagrams below - the valid certificates have gray shading:



## 5.2 Certificate type (platform certificate, game certificate)

Each certificate is designated as either the "platform certificate" or the "game certificate" type. Both types share the same classification, form and contents. The only difference is that the platform certificate may either be used independently or in connection with a corresponding game certificate, while the game certificate cannot be used without the corresponding platform certificate.

The platform certificate is usually (but not necessarily) issued for devices, which form an entirety (e.g. an electro-mechanical roulette), or for parts of devices, which are common across multiple games (e.g. hardware, cabinet, operating system). The game certificate is usually issued for parts of device, which are specific for certain game (e.g. game-related software), but operate in connection with a common platform (hardware and/or software).

If a primary certificate is of platform type, then also all its replacement and extension certificates are of platform type. If a primary certificate is of game type, then also all its replacement and extension certificates are of game type.

### 5.3 Form and contents

The certificate of conformity for a given jurisdiction is created on the corresponding predefined form. The certificate is designated using one of the following formulas:

C-Jjjj-Iiii	...	primary certificate
C-Jjjj-Iiii-Rrrr	...	certificate replacement
C-Jjjj-Iiii-Eeee	...	certificate extension
C-Jjjj-Iiii-Eeee-Rrrr	...	replacement of certificate extension

In the above formulas, all non-capital letters are replaced by numbers, using the following keys:

jjjj: Jurisdiction code (for a list of jurisdiction codes, see Bojan database)

iiii: Consecutive index of the primary certificate

rrrr: Consecutive index of the certificate replacement

eeee: Consecutive index of the certificate extension

The certificate with its appendices shall unambiguously identify all key characteristics of the product which, according to the required technical regulations, are relevant for verifying the identity of the gaming device with the certified type, and for checking the settings of variable parameters. The certificate shall state all of the tests performed, with references to relevant test reports on the basis of which the certificate was issued, including any previous tests in cases where the certificate is a replacement or an extension of a previously issued certificate.

### 5.4 Procedure in case of amendments to issued certificate: certificate replacement

In the case of amendments to the certificate due to the product updates that extend its characteristics, such as the installation of additional hardware components (screen, power supply, bill or coin acceptors, backplane, main board, etc.), alternative software modules (e.g., for providing different payout ratios, for support of other hardware components or of an expanded set of communication capabilities), a replacement certificate is issued. The previous (replaced) certificate in this case is not withdrawn due to the fact that the complete documentation compiled for the original certificate is not at our disposal. This documentation, which includes inspection reports prior to the first use and decisions issued by the supervisory body, would need to be replaced and/or updated in the case of withdrawal of the original certificate. The certificate is only withdrawn in cases where further facts that come to light during the operation of the gaming machine or during subsequent investigations indicate that the product fails to conform to the prescribed technical requirements.

The replacement certificate designation is the same as the replaced certificate designation, with the "-Rrrr" added, where "rrrr" represents the consecutive replacement index (see above). The replacement certificate states which certificate it replaces. The replacement certificate includes all of the characteristics stated in the replaced certificate and all of the previous replacements, as well as the new characteristics certified in the process of issuing of the replacement certificate. The certificate shall clearly state the tests on which the



new version of the certificate is based, as well as the tests performed previously as a basis for the earlier version(s) of the certificate.

The replaced certificate is entered on the list of certificates that have been replaced but not withdrawn.

## **5.5 Procedure in case of errors on issued certificate: certificate replacement**

If errors are detected in a certificate after having been issued, the holder of the certificate is requested to return the original of the incorrect or deficient certificate. Mistakes can be made during the preparation of a certificate (typing errors), or they can be due to incorrect data given by another laboratory that has drawn up a test report, or due to incorrect statements by the applicant (e.g., incorrect address of certificate holder, incorrect name of a game/programme etc.). The mistakes are corrected and a record is made stating the type of error, its cause and corrective or preventive actions taken to eliminate the cause of error. A replacement certificate marked with "-Rrrrr" is prepared (see above). The original replacement certificate is sent to the holder of the certificate, while the copy and the record are kept in the technical file.

The replaced certificate is entered on the list of replaced certificates. The certificate is only withdrawn exceptionally, in cases where it contains incorrect statements describing critical characteristics that the product does not actually have.

## **5.6 Withdrawal and cancellation of a certificate**

### **5.6.1 General provisions**

The withdrawal or/and cancellation of certificates help to prevent loss of confidence in SIQ certificates and in the holders of SIQ certificates. The certification commission supervises the use of the certificates, and may withdraw or cancel a certificate if it is established that there is sufficient cause to do so.

Withdrawn or cancelled certificate is removed from the published list of valid certificates; the holder of the certificate and the gaming authority is notified about this.

### **5.6.2 Reasons for withdrawal or cancellation of a certificate**

A certificate of conformity may be withdrawn or cancelled if it has been shown that the product in fact does not conform to the prescribed technical requirements:

- due to subsequently established facts which come to light during the use of a product or during later investigations and could compromise the validity of the certificate,
- due to misuse of the certificate.

Certificate shall also be cancelled or withdrawn if the product does not comply anymore due to subsequent changes in legal requirements, regulation or standard, against which the certification has been carried out, and the holder of the certificate is not capable or does not want to assure conformance with new requirements.

### **5.6.3 Subsequently established facts that could compromise certificate validity**

Subsequently established facts that could compromise the validity of a certificate include:

- possible software errors (bugs) found during use of the gaming device and not evident during testing due to the complexity of the software,
- the subsequent ascertainment that essential characteristics of gaming device software regarding its protection against unauthorised access were not appropriately stated in the description of the certified characteristics of the product,
- any other additionally established facts that imply the possible non-conformity of the gaming device with applicable standards or technical regulations.

#### **5.6.4 Misuse of the certificate**

A certificate of conformity is considered misused:

- whenever it is established that the gaming device does not have exclusively the characteristics stated in the available technical documentation and the description of the software;
- whenever it is established that the applicant misled SIQ in any way during the certification procedure;
- if the holder of the certificate misleads his clients by referring to the certificate of conformity for a wider range of products than stated on the certificate, or for non-certified products;
- if the holder of the certificate uses components that are not stated in the specifications presented on application to produce certified products;
- if the holder of the certificate states any untrue data in reference to the certificate.

#### **5.6.5 Procedure for withdrawal or cancellation of the certificate due to exchange for a new one**

In the case of an error occurring that would compromise the conformity of the product, the commission may cancel the certificate even before the replacement certificate is issued; in other cases a certificate is cancelled upon the issue of a new certificate for the same product.

#### **5.6.6 Procedure for withdrawal or cancellation of the certificate due to misuse**

In case the misuse of the certificate is suspected, the certification manager is responsible for:

- collecting all evidence,
- clearing the facts in cooperation with the holder of the certificate,
- bringing the case to the product certification commission.

The product certification commission may:

- suggest to the violator suitable corrective actions,
- withdraw / cancel the certificate,
- publish the misuse in the mass media,
- issue a lawsuit if necessary.

The product certification commission delivers to the holder that has misused the certificate a written decision and explanation. The chairman of the product certification commission supervises the enactment of the accepted decision.

The certification manager ensures that all records relevant to the case are archived.

The commission may bring a decision upon immediate cancellation of the certificate, or may give the holder of the certificate a deadline, not more than three months, in which the certificate will be cancelled. During this time the holder has the opportunity to carry out the corrective action to abolish the non-conformities and proves it to the product certification commission or files an appeal / complaint, which can be accepted or rejected by the commission for complaints / appeals.

The holder of the certificate has the right to appeal against the decisions of the product certification commission with the Board of Appeal at the Board of the Certification Body.

Product certification commission publishes the cancellation of the certificate with reasons for cancellation.

## 6 Regulatory certification scheme specifics

### 6.1 Surveillance of certified products

Certification of gaming devices is based on the requirements of national legislation and surveillance is performed according to relevant national legislation.

#### 6.1.1 Slovenia

SIQ performs surveillance of certified products by the process of inspection of sold and installed units. In this respect, the inspection personnel checks whether the actual installed units are configured according to the issued type approval certificates and whether they show any discrepancies with the requirements against which they were approved. SIQ gaming inspection department has internal procedures for notifying the certification commission on detected observations and non-compliances. The commission then takes further steps in line with its own procedures.

### 6.2 Complaints to suppliers

Manufacturers of certified products bind themselves with signing of the submission / application form (WN121) to collect complaints from buyers and users, take appropriate measures to resolve complaints, keep appropriate records thereof and send them to SIQ if so requested.

### 6.3 Certificate for Slovenia, based on a test report of another laboratory

SIQ can issue a certificate for Slovenia based (fully or partially) on a test report of another test laboratory:

- which is accredited according to the requirements of the standard ISO/ IEC 17025 by an accreditation body, which is a signatory of the agreement on mutual recognition ILAC (ILAC Mutual Recognition Arrangement, ILAC MRA, <http://ilac.org/>), and with the scope covering all relevant aspects of gaming products, or
- which has a signed contract with SIQ on cooperation based on a performed audit by SIQ according to ISO/IEC 17025.

In case the test report provides adequate information on test results and used procedures according to required regulations or standards, then SIQ does not perform additional tests in its laboratories, with the exception of non-obligatory testing by sampling. Otherwise, the tests are performed in SIQ laboratories (in agreement with the applicant) to such extent that it is possible to establish the conformity of the product, according to regulations required.

When the administrator receives a test report from another laboratory, he / she notifies (orally or via email) the project responsible person (if project is already under way), or otherwise the laboratory head.

In case the regulation would prescribe additional requirements for testing laboratories, such as:

- a certain defined sum of indemnity insurance,
- specific personnel qualification requirements, e.g. a minimal number of software engineers specializing in various programming languages and environments, a certain number of skilled mathematicians, electronic or electrical engineers, people specialized in an administrative procedures of certain jurisdictions, etc,
- minimal period, specific methods of storage and availability of testing records,
- or other requirements,

the fulfilment of which is not evident from the mere accreditation status, SIQ may decide to carry out additional audits in the laboratories already accredited by an acceptable accreditation body to the extent to make sure that such additional regulatory requirements are met.

## 7 Publications

SIQ Ljubljana publishes a list of valid certificates in principle on its customer web portal or as written in document CN205.

## 8 Reference documents

CR201 – *Rules on product certification*

CN205 – *Publications related to certification*

WN111 – *Testing and certification of gaming devices - checklist*

WN121 – *Application for testing / certification of gaming products*

WP123 – *Preparation of application for testing / certification of gaming products (Information for applicants)*

WP130 – *Remote gaming submission requirements (Information for applicants)*

WP131 – *Gaming audit submission requirements (Information for applicants)*

CN431 – *Certificate of conformity template for Slovenia ("Regulatory" certification scheme)*

CN434 – *General certificate of conformity template ("Type approval" certification scheme)*