



GLI®

Gaming Laboratories International

GLI Product Certification Scheme



GLI Product Certification Scheme

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1 SCOPE

This document serves as the certification scheme for Gaming Laboratories International, LLC and GLI Europe B.V. (collectively referred to as GLI).

Key Terms and Definitions:

Gaming: A game of chance (including electronic gaming and lottery devices and associated equipment) whose outcome is strongly influenced by some randomizing device, and upon which contestants may choose to wager money or anything of monetary value.

Customer: The organization that submits an application for a product to be evaluated and certified in accordance with this certification scheme. Examples of customers include suppliers and manufacturers of gaming products.

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.

Scheme Type 1a: One or more samples of the product are subjected to determination activities. A certification letter is issued for the product type. The samples are representative of subsequent production items which could be referred to by the manufacturer as being manufactured in accordance with the certified type. ISO/IEC 17067:2013 clause 5.3.2.

Surveillance: Systematic and on-going verification of product conformity to the requirements stated in the certification letter. It should be noted that surveillance is not required for Type 1a certification schemes.

This certification scheme is classified as a Type 1a scheme. GLI evaluates and certifies gaming products against jurisdictional requirements / standards / specifications (hereinafter referred to as jurisdictional requirements) as requested by the submitting product manufacturer. Evaluation of gaming products is accomplished in accordance with ISO/IEC 17025:2017, 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 17025:2017 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

GLI Executive management authorizes use of this document for product certification activities.

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 any interference including matters of

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audit, scope, procedures, frequency, timing, or report content.

GLI shall not discriminate in the certification processes.

GLI may not be retained by any gaming/lottery equipment supplier, distributor, designer or other entity to engage in consulting work in the area of slot machine design or manufacture or any other area that is unrelated to regulatory compliance or interoperability requirements. GLI, its employees, officers, and directors shall not engage in any business which manufactures, designs, distributes, or sells slot machines, electronic gaming equipment, or computerized systems associated with the gaming industry or any other associated equipment utilized in the conduct of gaming.

1.2 Surveillance

Since this is a Type 1a product certification scheme, surveillance of certified products is not required. GLI does engage in surveillance activities related to use of the "GAMING LABS CERTIFIED®" Mark. Refer to Section 12.3 for specific details.

2 APPLICABLE STANDARDS AND NORMATIVE REFERENCES

- ISO/IEC 17000:2004, Conformity Assessment – Vocabulary and general principles
- ISO/IEC 17025:2017, Conformity Assessment - General requirements for the competence of testing and calibration laboratories
- ISO/IEC 17065:2012, Conformity Assessment – Requirements for bodies certifying products, process and services
- ISO/IEC 17067:2013, Conformity Assessment – Fundamentals of product certification and guidelines for product certification schemes

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. With regard to Hong Kong, such current version has been duly accepted and approved by the Hong Kong Registrar of Trade Marks.

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

- Complete an acceptable submission / certification agreement;
- Pay all fees (GLI is a legal entity and charges fees for its services);
- Inform GLI regarding changes to the certified product immediately upon implementation;
- Implement appropriate changes when communicated to the customer 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,

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areas; personnel and customer 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 customer 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;
- 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.
- Customers 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,

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input on GLI impartiality is obtained from external stakeholders from the gaming industry.

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 (in GLI's Europe office) or the V.P. of Technical Compliance and Quality Assurance (in GLI's New Jersey office) shall be informed immediately.

GLI and any part of GLI shall not be the designer, manufacturer, installer, distributor or maintainer of any product certified under this scheme.

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 customer participation in illegal activities, a history of repeated nonconformity to requirements, or other issues such as a history of non-payment for services rendered.

3.4 Confidentiality

GLI treats all information obtained or created during the performance of certification activities in strict confidentiality, except for information that the customer makes publicly available or when agreed between GLI and the customer. All other information is considered proprietary information and shall be regarded as confidential. GLI informs the customer, in advance, of the information it intends to place in the public domain. When GLI is required by law, court order or legally authorized contract to release confidential information, GLI will inform the customer of the request and information that will be provided, unless otherwise prohibited by law or order from informing the customer. Information about the customer obtained from sources other than the customer (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 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 customers including requirements, restrictions or limitations on the use of the GLI name.

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.

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At minimum, submission documentation must include:

- Name and details of the product to be certified;
- The jurisdictions for which the customer is seeking certification;
- General features of the customer 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 customer, 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 processes outsourced by the customer that will affect conformity to jurisdictional requirements (for example, the results of liquid spill tests or electrical safety tests);
- All other information needed in accordance with the relevant jurisdictional requirements, and any additional requirements as deemed necessary by GLI.

5 **APPLICATION REVIEW**

5.1

GLI will complete a review of the application to ensure that enough information is received to conduct the testing and certification activities. The information provided shall include information about the customer and the product to be certified and the scope of work including the jurisdictional requirements. The review will confirm that the means are available to perform all evaluation and certification activities.

5.2

If the product or jurisdictional requirements are not known 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

In cases as described in 5.2, GLI will ensure it has the competence and capability to perform the requested evaluation and certification activities. 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.

5.5

GLI will, at their discretion, use certifications or reports already granted to the customer 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 application review, GLI assigns the submission document to an appropriate Technical Manager for determination of the required testing activities (this task may be delegated to qualified staff). The progress of all work activities is recorded and monitored for accuracy and completeness.

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6.2

Required testing activities are assigned to qualified personnel. If GLI outsourcing of any tasks is required, GLI will only outsource to an organization that is qualified to perform the assigned task(s). GLI will inform the customer 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 all necessary information and/or documentation. The GLI Intranet is the primary source; however, if access to the intranet is not available, an alternate means of access will be provided.

6.4

All evaluation activities, internal and/or outsourced, are performed according to the specific instructions of the customer and within scope of GLI's accreditation to ISO/IEC 17025 and ISO/IEC 17065. GLI evaluates gaming products against jurisdictional requirements as requested by the submitting product manufacturer. These jurisdictional requirements are defined by specific certification requirements based on the gaming regulations of the jurisdiction, which may be a country, province, state, or other regulatory authority. The specific jurisdictions subject to evaluation by GLI are defined in the ISO/IEC 17065:2012 scopes of accreditation for GLI New Jersey and GLI Europe.

6.5

GLI will not rely on results of evaluation or certification activities completed prior to receipt of the current submission without confirmation that the tasks performed were completed in accordance with GLI evaluation and certification requirements specified in this certification scheme.

6.6

GLI will inform the customer of all nonconformities identified during evaluation.

6.7

If one or more nonconformities have arisen, at the discretion of the customer, 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 customer agrees to the continuation of the additional evaluation tasks, the evaluation process described in this certification scheme (section 6) will be repeated for the additional tasks.

6.9

The results of all evaluation activities are documented electronically and available for review as described in section 7.

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Upon completion of the specified evaluation tasks, GLI performs a comprehensive technical review to verify all specified tasks have been completed correctly and that no anomalies are present; technical review is then followed by a multi-step Quality Assurance review to verify the completeness of the submission and the inclusion of all required documentation. Following successful technical and quality assurance reviews, the submission is then prepared for the certification decision.

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.

The following individuals are responsible for the final certification decision and signing the certification report:

- Vice President of Technical Compliance and Quality Assurance (or as delegated per the GLI deputizing scheme.) for GLI, LLC
- Managing Director (or as delegated per the GLI deputizing scheme) for GLI Europe B.V.

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.

The customer is provided 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 customer's contact information, the scope of the certification, the expiry date(s) of certification (if applicable), and any other information as appropriate.

A certification report will only be issued if the gaming product passes the requested jurisdictional requirements. The certification report explicitly indicates "PASS" for the specific set of jurisdictional requirements requested by the submitting customer. A separate certification report 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 certification report is issued, or fails, and certification is denied.

8.2

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

8.3

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:
 - Continuation of certification under conditions specified by GLI;

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- Reduction in the scope of certification to remove the non-conforming product variants;
- Suspension of certification pending remedial action by the customer;
- Withdrawal of certification;
- Evaluation review of a certification decision.
- If certification is suspended GLI will inform the customer:
 - 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 jurisdictional requirement(s) to which conformity has been certified;
- Identification of the customer.

9.2 **GLIAccess® Online Access**

GLI provides customers, regulators and authorized parties with access to certification 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;
- Are normally resolved internally;
- May only be resolved through third party arbitration where specified in the appeal process.

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11.1 The Appeal Process

When GLI determines a product does not meet the necessary compliance requirements to issue a certification, the customer 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 customer disagrees with an appeal decision made by GLI, the customer 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 customer 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 THE "GAMING LABS CERTIFIED"® MARK

The program is administered from GLI World Headquarters in Lakewood, New Jersey under the ISO/IEC 17065:2012 accreditation granted by A2LA.

12.1 General Information

The "GAMING LABS CERTIFIED" mark is a registered trademark of Gaming Laboratories International, LLC for use on products and related literature that have been certified for conformity by authorized GLI companies. Use of the mark signifies that the associated certified product(s) has met the specified jurisdictional requirements following an evaluation by GLI.

The "GAMING LABS CERTIFIED" mark is an optional, value-added benefit available to GLI's customers. Products bearing the mark are accorded additional credibility and prestige, as it signifies certification by the pre-eminent testing and certification body in the gaming industry.

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“GAMING LABS CERTIFIED”



GLI shall not refuse to authorize use of the mark to any entity except in cases where there is a failure to meet any of the requirements for obtaining the “GAMING LABS CERTIFIED” mark (hereinafter referred to as the Mark). There shall be no fee to use the Mark.

Once granted, use of the Mark may not be transferred or assigned to a third party without entering a new agreement or without written consent from Gaming Laboratories International, LLC in certain unique situations. Requests for such consent must be made to GLI in writing and will be reviewed on a case-by-case basis.

Use of the Mark is granted for a period of four years and may be renewed during the anniversary month of the original approval, and then every four years thereafter provided the certified product continues to conform to *Product Certification Agreement and Terms and Conditions*. GLI reserves the right to alter the period of use on a case-by-case basis.

GLI maintains a register of all authorized users of the Mark at the World Headquarters location in Lakewood, NJ. This register contains the user information along with the relevant jurisdictional requirements and product information under which the authorization to use the Mark was originally granted. Interested parties should submit a request to review this information in writing to GLI World Headquarters. Allow 60 business days for GLI to review and approve the request, unless a different period is required by law or agreed to by GLI. All requests must be acknowledged and approved by GLI Legal Counsel.

In Hong Kong, the only officially recognized rules regarding the Mark are those accepted and approved by the Hong Kong Registrar of Trade Marks. They comprise the complete set of rules governing the authorization of suppliers to use the Mark in their entirety. Any amendments to the rules are not effective in Hong Kong until they are formally accepted by the Hong Kong Registrar of Trade Marks.

12.2 Application to Use the Mark

Requests for use of the Mark must be submitted in writing or via the Certified Mark Online Request form at www.gaminglabs.com. GLI has established a Product Certification Decisions Committee (PCDC) who review and approve or deny use of the “GAMING LABS CERTIFIED” mark. All members of the PCDC are employees of GLI to ensure impartiality and mitigate any instance of conflict of interest.

GLI will grant use of the Mark to organizations who have submitted items that a GLI company has determined to meet all of the conformance criteria in an applicable GLI Standard(s) or other published jurisdictional requirements.

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A customer requesting use of the Mark must:

- provide proof of authorization to use or exercise intellectual property rights over an item certified by GLI;
- provide any necessary reference information needed to confirm the validity of a product certified by GLI (e.g., a report or ID number);
- agree to abide by the *Product Certification Agreement and Terms and Conditions*; and
- receive approval from the PCDC to the Mark as described in request.

12.3 Surveillance

This is a Type 1a product certification scheme (in accordance with ISO/IEC 17067:2103). GLI does not engage in any surveillance activities except for those related to use of the “GAMING LABS CERTIFIED” mark.

GLI shall periodically conduct certification surveillance audits to verify the continued use of the “GAMING LABS CERTIFIED” mark. The surveillance consists of regular desktop and/or website audits of clients, customers, organizations or others who have applied for and use the “GAMING LABS CERTIFIED” mark. GLI communicates directly with the Mark user when the results of surveillance will require the Mark user to address specified changes, updates or other items identified regarding use of the “GAMING LABS CERTIFIED” mark.

Update effective as of 19-MAY-2021, MJM

Section	Made by	Revision(s):
1. Scope	Mark Mensik	Added “and associated equipment” to the definition of Gaming as shown below: Gaming: A game of chance (including electronic gaming and lottery devices and associated equipment) whose outcome is strongly influenced by some randomizing device, and upon which contestants may choose to wager money or anything of monetary value.

Updates effective as of 25-FEB-2020, MJM

Section	Made by	Revision(s):
Not applicable	Mark Mensik	Initial Release – This document represents a consolidation of the “GLI Evaluation and Certification Guide” and the “GLI Product Certification Scheme GLI Europe BV (PC-QS-010)”