



2008-01-18 13:14:00

**G018\_GAMING\_EQUIPMENT**

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# **Gaming equipment**

Guidelines

G 018



## 1. Administration

### 1.1 Authority

This document is issued by the Financial Services regulatory Commission (the Commission) pursuant to Regulation 119 of the Antigua & Barbuda Interactive Gaming and Interactive Wagering Regulations.

### 1.2 Confidentiality

This document, all related documents, and methodologies embodied in this document and related documents ("the documents") are the property of the Financial Services Regulatory Commission. 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 authorised for use by licence holders.

The documents are copyright.

### 1.3 Disclaimer

The guidelines provided in this document are current at the time of writing. The Commission may in its absolute discretion amend these guidelines, or any definitions or interpretations pursuant to this document at anytime.

Each licence holder should ensure it has the current version of each document.

### 1.4 Queries

All queries relating to this document should be made, in writing, to:

Director of Gaming  
Financial Services Regulatory Commission  
First Caribbean Financial Centre  
Old Parham Road  
St John's  
Antigua and Barbuda

e-mail : [director@antiguagaming.gov.ag](mailto:director@antiguagaming.gov.ag)

### A.1 References & related documents

The Financial Services Regulatory Commission utilised many documents and international standards when compiling the suite of guidelines.

The current list of related guidelines is available from the Commission's website at <http://www.antiguagaming.gov.ag>.

Licence holders and other interested parties should acquaint themselves with the contemporary documents before relying on them.



## 1.5 Table of contents

<b>1. Administration</b> .....	<b>2</b>
1.1 Authority.....	2
1.2 Confidentiality.....	2
1.3 Disclaimer.....	2
1.4 Queries.....	2
A.1 References & related documents.....	2
1.5 Table of contents.....	3
<b>2. Preliminary</b> .....	<b>4</b>
2.1 Scope & purpose of this document.....	4
2.2 Audience.....	4
2.3 Document revision.....	4
2.4 Context.....	4
<b>3. Certification &amp; approval</b> .....	<b>5</b>
3.1 Approval of equipment within context of control systems.....	5
3.2 Withdrawal of approval.....	5
3.3 Gaming equipment.....	5
<b>4. Technical guidelines</b> .....	<b>6</b>
4.1 Processes & systems.....	6
4.2 Gaming equipment functionality.....	6
4.3 Gaming equipment & systems certification.....	7
<b>End of document</b> .....	<b>10</b>

G 018



## 2. Preliminary

### 2.1 Scope & purpose of this document

The scope and purpose of this document is to describe guidelines for the functionality of gaming equipment from the perspective of the Financial Services Regulatory Commission (the Commission).

This document contains guidelines, it is not intended to mandate the most sophisticated solution for every application, but rather to indicate the level of functionality and security expected of the gaming equipment for the particular purpose for which it is intended.

For the purpose of this document “gaming” includes interactive wagering and interactive gaming.

Gaming equipment includes equipment under the control of a licence holder or an associate of the licence holder, whether domiciled in Antigua and Barbuda or not.

### 2.2 Audience

This document is intended for use by:

1. licence holders and would-be licence holders;
2. developers and vendors to licence holders including any organisation intending to become a licence holder;
3. associates of licence holders with gaming equipment that comprises the overall gaming system; and
4. approved test organisations.

### 2.3 Document revision

The Commission may issue revisions to this document at any time. However, any equipment certified and approved or substantially evaluated under existing technical standards will maintain its status unless the Commission deems that the objectives of this document would not be substantially realised.

### 2.4 Context

Gaming equipment is the information systems functional components of a control system, which provide gaming business functionality. Consequently, gaming equipment must be seen to integrate with control systems, and where possible provide computerised automation of control systems objectives.



### **3. Certification & approval**

#### **3.1 Approval of equipment within context of control systems**

Gaming equipment is to be operated in accordance with approved control systems. Accordingly, gaming equipment that does not fully comply with all guidelines specified in this document may be approved provided adequate compensating controls are in place. The approval of any gaming equipment as a component of control systems is at the discretion of the Commission.

#### **3.2 Withdrawal of approval**

The Commission may revoke approval of control systems, including gaming equipment. In such cases the Commission may order an immediate cessation of use of the control systems or equipment or direct a licence holder to address the concerns of the Commission within a set time frame.

#### **3.3 Gaming equipment**

Only approved gaming equipment may be operated. The Commission may inspect equipment and reject any gaming equipment which is not identical in every material particular with the certification pertaining to equipment under the control of the licence holder or associate.



## 4. Technical guidelines

### 4.1 Processes & systems

#### 4.1.1 Quality

Gaming equipment should be designed, developed, installed, and serviced in a manner to provide assurance that it will be fit for purpose. Gaming equipment vendors should have appropriate quality management systems in place. ISO 9001 accreditation is an example of supporting evidence. The scope of any quality management systems should include design, development, installation, and servicing of gaming equipment should include information and information functionality confidentiality, integrity and availability; and compliance with regulatory requirements consistent with Antigua and Barbuda.

NOTE: All changes must be in accordance with the approved control systems.

#### 4.1.2 Security

Gaming equipment should be developed, maintained, and operated within a controlled and secure system. Certified compliance with *ISO/IEC 27001 Information technology – Security techniques – Information security management systems - Requirements* by a competent organisation is an example of satisfactory evidence in these regards.

*ITSEC Information Technology Security Evaluation Criteria* and *ACSI-33 Australian Government Information and Communications Technology Security Manual* are other examples of appropriate information security management systems which could apply to the development, maintenance, and operational environment of gaming equipment.

NOTE: All changes must be in accordance with the approved control systems.

### 4.2 Gaming equipment functionality

#### 4.2.1 Monitoring

Gaming equipment shall demonstrate its capacity to comply with the monitoring specifications of the Commission as set out in *RP 001 Monitoring - Rules & Procedures* and *S 001 Monitoring – Specifications*.

#### 4.2.2 Random number generation

Gaming equipment which utilises a pseudo-random number generator or random number generator (RNG) shall have the RNG and associated components certified by an organisation approved pursuant to r 123 of the Interactive Gaming and Interactive Wagering Regulations that is, Gaming Associates ([www.gamingassociates.com](http://www.gamingassociates.com)) or Technical Systems Testing ([www.tstglobal.com](http://www.tstglobal.com)). An RNG submission shall be made in accordance with *SG 002 Random number generator – Submission guidelines*.

NOTE: All changes must be in accordance with the approved control systems, which will require prior approval for RNG related components.



### 4.2.3 Control system automation

Gaming equipment should, as much as is reasonably achievable automate the control systems of the licence holder and/or associate utilising that equipment. The following functionality areas should be included in the gaming equipment:

- a. accounting systems and chart of accounts (*G 001 Accounting systems, chart of accounts - Guidelines*);
- b. management of accounts held at financial institutions (*G 002 Accounts held at financial institutions – Guidelines*);
- c. financial reconciliation (*G 003 Financial reconciliation and financial adequacy - Guidelines*);
- d. management of financial adequacy (*G 003 Financial reconciliation and financial adequacy - Guidelines*);
- e. organisational chart (roles, responsibilities, access control, supervision, etc) (*G 004 Organisational chart – Guidelines*);
- f. operational systems – terms & conditions, rules of games, etc (*G 009 – Operational systems, terms and conditions, and rules of games - Guidelines*);
- g. responsible gaming and wagering (prevention of problem gaming) (*G 012 – Responsible gaming & wagering - Guidelines*);
- h. restriction of underage gaming and wagering (*G 013 Restriction of underage gaming & wagering - Guidelines*);
- i. anti-money laundering and the prevention of terrorism financing (*G 014 Anti-money laundering and the prevention of terrorism financing - Guidelines*); and
- j. support of the Commission’s data monitoring specification (*RP 001 Monitoring - Rules & Procedures* and *S 001 Monitoring – Specifications*).

## 4.3 Gaming equipment & systems certification

### 4.3.1 Gaming equipment certification

For the purposes of this section, gaming equipment comprises all software, middleware, operating systems, and hardware comprising the interactive gaming and interactive wagering system.

r 121 of the Interactive Gaming and Interactive Wagering Regulations requires gaming equipment certification by a Commission approved testing agency. Pursuant to r 123 currently approved testing agencies are:

Gaming Associates [www.gamingassociates.com](http://www.gamingassociates.com); and

Technical Systems Testing [www.tstglobal.com](http://www.tstglobal.com).

#### 4.3.1.1 Owner of equipment

All gaming equipment components shall be itemised and attributed to an owner, whether or not the owner is a licence holder – r 122(a).

Each software component shall include a description of the functional, security or other features of that component, such that all gaming functionality is described – see r 122(e).

NOTE: All beneficial owners, being persons who financially stand to benefit from the operation of gaming equipment shall be listed along with all controlling owners.



#### **4.3.1.2 Testers**

The formal and trading names of the company undertaking testing of all equipment listed in 4.3.1.1 Owner of equipment shall be described in the certificate – r 122(b).

The names of all testers and auditors associated with the testing along with their qualifications and experience shall be described in the certificate (this will be a confidential attachment for the Commission use only) – r 122(d).

#### **4.3.1.3 Providers**

Each company associated with the design, development, installation and servicing of the gaming equipment shall provide a document of its experience and suitability to perform the tasks – r 122(c).

#### **4.3.1.4 Protocols**

Each protocol or technique used to ensure the integrity and confidentiality of gaming transactions and communications shall be listed – r 122(f).

#### **4.3.1.5 Security**

The threats and vulnerabilities, which in the opinion of the gaming equipment providers would be, most likely to make the system insecure in terms of integrity, confidentiality, and/or availability – r 122(g).

The testing agency should have an accompanying statement relating to the same topic.

#### **4.3.1.6 System maintenance & patches**

The gaming equipment providers should describe the method of providing software patches and the type of recursion testing it would apply to such patches – r 122(h).

The testing agency should provide an accompanying statement relating to the same topic.

#### **4.3.1.7 Other information**

The testing agency should provide a section detailing all other information which could make the software or gaming equipment vulnerable and less likely to assure the regulatory objectives – r 122(i).

#### **4.3.1.8 Fair and reliable**

The gaming equipment providers should provide a description on how it assures that all gaming functionality is fair and reliable – r 122(j).

The testing agency should provide an accompanying statement relating to the same topic.

#### **4.3.1.9 Restriction of problem gambling**

The gaming equipment provider should provide a synopsis, which outlines the system, features that restrict the incidence of problem gambling and the effectiveness of these features – r 122(k).

The testing agency should provide an accompanying statement relating to the same topic.



#### **4.3.1.10 Statement of compliance**

The testing agency shall provide a heading list of all rules and procedures, specifications, and guidelines of the Commission and certification that the system complies with each such document. Where the licence holder's proposed systems are not fully compliant then the degree to which the system complies and recommendations relating to non-compliance should be included – r 122(I).

#### **4.3.2 Gaming equipment & systems testing & auditing**

The Commission expects testing agencies shall maintain internal records relating to the evaluation, testing and auditing of gaming equipment and systems. The licence holder shall provide these internal records, to the Commission, on request.

The documents should include (but are not limited to):

- a. a detailed risk assessment;
- b. audit plan;
- c. audit report;
- d. test plan;
- e. test scripts;
- f. test report; and
- g. risk management plan – including inherent and treated risks (per treatment recommendations).



**End of document**