**NSI Requirements Definition for Vendors 1.0
Applicant Checklist**

March 2017
Version 1.0.4

# Introduction

This checklist applies to the assessment of material submitted in connection with registration by an organization for verification against the NSI Requirements Definition for Vendors 1.0 Conformance Requirements.

This checklist is available on the NSI web-based certification/verification website. Each certification applicant will be required to complete a checklist that identifies the various documents that are to be uploaded with its certification registration. This must also include information where in each of these documents there is evidence that the applicant has correctly deployed the best practice requirements.

The purpose of the checklist is to guide the assessor and make the assessment process more efficient. The result is that there will be fewer demands on the organization's staff members to provide clarification and additional information, and increased likelihood that the assessors will be able to establish an organization's conformance.

Please do not change the format of this document.

# Documentation Checklist

The documents to be submitted for verification against the Requirements Definition for Lotteries Conformance Requirements are:

* System design documentation
* User interface documentation
* High-level project plan documentation

Applicants have some latitude as to how they meet the documentation submission requirements with respect to the exact form and number of files submitted to satisfy the document requirements identified above.

The applicant must indicate the relevant project in the "Project Identifier" column and the name of the document should be listed in the "Document Title" column. Applicants may enter any relevant comment concerning the document in the "Comments" column; its use is discretionary.

## System Design Documents

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| --- | --- | --- |
| Project Identifier | Document Title | Comments |
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## User Interface Documents

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| --- | --- | --- |
| Project Identifier | Document Title | Comments |
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## High-level Project Plan Documents

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| Project Identifier | Document Title | Comments |
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# Assessment Checklist

Each applicant will be required to complete the tables below. Please complete the information for as many requirements as possible, leaving blank only those requirements for which there is no evidence available in the submitted documents. The assessors will follow up on requirements with no documentary evidence provided, during either the telephone assessment or the on-site assessment.

Requirement Numbers correspond to the numbers in the Requirements Checklist of the Requirements Definition for Lotteries Best Practice. For each number, there follows a summary of the Base Requirement, its Level ("Must", "Should", "May", etc.) and a pointer to the Reference in the Best Practice where the requirement is specified.

As each organization must provide documents from two projects, applicants must specify for each project where evidence of meeting each requirement may be found. The document identifiers from the Document Checklist should be used in the "Document in which evidence is found" columns. "Reference within Document" should be a section number or other pointer indicating where in the document such evidence may be found.

# Requirements from Requirements Definition Best Practice

## Requirements Definition: Requirements Specification

All of these requirements are germane to every verification registration.

|  | Project 1 Project 2 |
| --- | --- |
| Rqmt. # | Base Requirement  | Level | Reference in Best Practice | Document in which evidence is found | Reference within Document | Document in which evidence is found | Reference within Document |
| 1 | A Requirements Specification must be produced to document the requirements for the new or updated system. Though the system vendor and lottery will both contribute to this document, they must define at the beginning of the process which organization has the responsibility for creating and maintaining the Requirements Specification. | Must | 4.3.1.1 |

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| 3 | The Requirements Specification must be formally reviewed and receive sign-off approval from both the lottery and the system vendor. | Must | 4.3.1.1 |  |  |  |  |
| 4 | Sign-off approval on the Requirements Specification should occur prior to the start of the Development Process. | Should | 4.3.1.1 |  |  |  |  |

## Requirements Definition: System Design

All of these requirements are germane to every verification registration.

|  | Project 1 Project 2 |
| --- | --- |
| Rqmt. # | Base Requirement  | Level | Reference in Best Practice  | Document in which evidence is found | Reference within document | Document in which evidence is found | Reference within document |
| 8 | The system design must be documented. | Must | 4.3.2.1 |

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| 9 | The system design must include an overall view of the system, including all relevant components and their role in the system. | Must | 4.3.2.1 |  |  |  |  |
| 10 | The system design components and system design as a whole must map to the functional requirements defined in the Requirements Specification. | Must | 4.3.2.1 |  |  |  |  |
| 11 | The system design documentation must describe the parts of the lottery environment with which the new system, the focus is on the relationships and the interactions between the new system and any existing systems, such as the lottery’s existing back-office systems. For updated system components, the focus is on providing a sufficient understanding of the changes to be made and their impact on the overall system. | Must | 4.3.2.1 |  |  |  |  |
| 12a | For system components containing hardware, the system design must describe the architecture of the overall lottery system in which the components will operate, including the relationships between the components. | Must | 4.3.2.1 |  |  |  |  |
| 12b | For system components containing software, the system design must describe the process flow, covering the various components, how they interact, and the interfaces between components. Additionally, the parameters, formulas, and restrictions regarding input, processing and output requirements. | Must | 4.3.2.1 |  |  |  |  |
| 13 | The system design must be formally reviewed and receive sign-off approval from both the lottery and the vendor. | Must | 4.3.2.1 |  |  |  |  |

## Requirements Definition: User Interface

All of these requirements are germane to every verification registration

|  | Project 1 Project 2 |
| --- | --- |
| Rqmt. # | Base Requirement  | Level | Reference in Best Practice  | Document in which evidence is found | Reference within document | Document in which evidence is found | Reference within document |
| 14 | The user interface of the system must be documented. This may be documented in the Requirements Specification, or it may be included in another document. | Must | 4.3.3.1 |  |  |  |  |
| 15a | The user interface description must include the portion of the system that the user will use to interact with the system (e.g. the keyboard, mouse, buttons, pictures, menus, windows, prompts, and dialogs). | Must | 4.3.3.1 |  |  |  |  |
| 15b | The user interface description must include the target users of the system. | Must | 4.3.3.1 |  |  |  |  |
| 15c | The user interface description must include scenarios of how potential users of the system would typically use the components. | Must | 4.3.3.1 |  |  |  |  |
| 15d | The scenarios in the user interface description should reflect typical users from each audience who will use the components | Must | 4.3.3.1 |  |  |  |  |
| 15e | The user interface description must include the process flow or state transition that a user would go through for each area of functionality. | Must | 4.3.3.1 |  |  |  |  |
| 16 | A prototype of the user interface may be used to demonstrate the user interface and help achieve consensus between the lottery and the vendor on the user interface description. | Must | 4.3.3.1 |  |  |  |  |
| 17 | The user interface description must be formally reviewed and receive sign-off approval from both the lottery and the vendor. | Must | 4.3.3.1 |

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## Requirements Definition: Project Planning

All of these requirements are germane to every verification registration.

|  | Project 1 Project 2 |
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| Rqmt. # | Base Requirement  | Level | Reference in Best Practice  | Document in which evidence is found | Reference within document | Document in which evidence is found | Reference within document |
| 18 | A project manager must be assigned from the vendor organization, with the responsibility to monitor, control, and manage the project. | Must | 4.3.4.1 |  |  |  |  |
| 20a | There should be a high-level project planning document that is referenced by both the vendor and the lottery. | Should | 4.3.4.1 |

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| 20b | The vendor and the lottery may each have their own private project plans containing details specific to their own internal planning. | May | 4.3.4.1 |  |  |  |  |
| 21 | The project-planning document should become a dynamic guide for the execution of the project. Supporting facts and documentation used to create the project plan should be included so that assumptions can be checked. | Should | 4.3.4.1 |  |  |  |  |
| 22a | The project plan should include an overall project schedule that includes deliverables, milestones, and dates. | Should | 4.3.4.1 |  |  |  |  |
| 22b | The project plan should include any pertinent time constraints, which could affect the overall project timeline. | Should | 4.3.4.1 |  |  |  |  |
| 22c | The project plan should include any pertinent dependencies or issues, which could affect the deliverables or schedule. | Should | 4.3.4.1 |  |  |  |  |
| 22d | The project plan should include the resources assigned to the various tasks, and the timeframe for completion of each task. | Should | 4.3.4.1 |  |  |  |  |
| 22e | The project plan should include the resource requirements needed by both the lottery and the vendor. | Should | 4.3.4.1 |  |  |  |  |
| 22f | The project plan should include the roles, responsibilities, and contact information with phone numbers for each of the project team members from both the lottery and the vendor, including the project managers. | Should | 4.3.4.1 |  |  |  |  |
| 22g | The project plan should include plans for the level, type and format of communications between the various parties during the course of the project. | Should | 4.3.4.1 |  |  |  |  |
| 22h | The project plan should include any pre-existing requirements needed for other organizations affiliated with the lottery. | Should | 4.3.4.1 |  |  |  |  |
| 22i | The project plan should include risks, risk tracking, and risk mitigation strategies. | Should | 4.3.4.1 |  |  |  |  |
| 23 | Vendors and lotteries must work together to define and formally agree the deliverables, milestones, and dates. | Must | 4.3.4.1 |  |  |  |  |
| 24 | Vendors and lotteries should work together to define applicable phase acceptance criteria for each phase of the project. | Should | 4.3.4.1 |  |  |  |  |
| 25 | The project plan may include acceptance criteria associated with various phases of the project. | May | 4.3.4.1 |  |  |  |  |
| 26 | If acceptance criteria are defined for any phase of the project, then both lottery and vendor should sign-off that the acceptance criteria have been met for those phases of the project. | Should | 4.3.4.1 |  |  |  |  |

## Requirements Definition: Acceptance Criteria

All of these requirements are germane to every verification registration.

|  | Project 1 Project 2 |
| --- | --- |
| Rqmt. # | Base Requirement  | Level | Reference in Best Practice  | Document in which evidence is found | Reference within document | Document in which evidence is found | Reference within document |
| 27a | The acceptance criteria should include and define how each (if any) new hardware or software component change should function as determined by the project Requirements Specification. | Should | 4.3.5.1 |  |  |  |  |
| 27b | The acceptance criteria should include and define how each (if any) change to an existing hardware or software component should function as determined by the project Requirements Specification. | Should | 4.3.5.1 |  |  |  |  |
| 27c | The acceptance criteria should include and define the acceptable effect of any new or changed component (if any) on any other component or scenario. | Should | 4.3.5.1 |  |  |  |  |
| 27d | The acceptance criteria for risk should document the impact on customer satisfaction. | Should | 4.3.5.1 |  |  |  |  |
| 27e | The acceptance criteria for risk should document the impact on retailer sales and accounting. | Should | 4.3.5.1 |  |  |  |  |
| 27f | The acceptance criteria for risk should document the impact on ease-of-use. | Should | 4.3.5.1 |  |  |  |  |
| 27g | The acceptance criteria for risk should document the impact on product and system integrity and performance. | Should | 4.3.5.1 |  |  |  |  |
| 27h | The acceptance criteria for risk should document the impact on quality of products and product documentation. | Should | 4.3.5.1 |  |  |  |  |
| 27i | The acceptance criteria for risk should document the impact on satisfaction of the acceptance test results. | Should | 4.3.5.1 |  |  |  |  |
| 27j | The acceptance criteria for risk should document the impact on any other factors. | Should | 4.3.5.1 |  |  |  |  |
| 27k | The acceptance criteria for integration requirements should account for reviewing the business processes impacted by the changes. | Should | 4.3.5.1 |  |  |  |  |
| 27l | The acceptance criteria for integration requirements should include ensuring that the people responsible for the affected business functions know of the changes. | Should | 4.3.5.1 |  |  |  |  |
| 27m | The acceptance criteria for integration requirements should include ensuring that the people responsible for the affected business functions are notified in advance of what business process changes need to be made (if any). | Should | 4.3.5.1 |  |  |  |  |
| 27n | The acceptance criteria for integration requirements should include ensuring that non-software issues are resolved in time to support the installation of the new software or hardware. | Should | 4.3.5.1 |  |  |  |  |