



The following documentation is an electronically-submitted vendor response to an advertised solicitation from the *West Virginia Purchasing Bulletin* within the Vendor Self-Service portal at [wvOASIS.gov](http://wvOASIS.gov). As part of the State of West Virginia's procurement process, and to maintain the transparency of the bid-opening process, this documentation submitted online is publicly posted by the West Virginia Purchasing Division at [WVPurchasing.gov](http://WVPurchasing.gov) with any other vendor responses to this solicitation submitted to the Purchasing Division in hard copy format.

Header @ 2

List View

- General Information
- Contact
- Default Values
- Discount
- Document Information
- Clarification Request

Procurement Folder: 1173322  
 Procurement Type: Central Master Agreement  
 Vendor ID: VS0000012035   
 Legal Name: Pollard Banknote Limited  
 Alias/DBA:  
 Total Bid: \$2.30  
 Response Date: 03/29/2023   
 Response Time: 8:51  
 Responded By User ID: PollardBanknote   
 First Name: Lianne  
 Last Name: Paturel  
 Email: lpaturel@pbl.ca  
 Phone: 2044742323

SO Doc Code: CRFQ  
 SO Dept: 0705  
 SO Doc ID: LOT2300000003  
 Published Date: 3/15/23  
 Close Date: 3/30/23  
 Close Time: 13:30  
 Status: Closed  
 Solicitation Description: Addendum No 2-WV Lottery Instant Game Ticket Printing & Svcs  
 Total of Header Attachments: 2  
 Total of All Attachments: 2



Department of Administration  
 Purchasing Division  
 2019 Washington Street East  
 Post Office Box 50130  
 Charleston, WV 25305-0130

**State of West Virginia  
 Solicitation Response**

**Proc Folder:** 1173322  
**Solicitation Description:** Addendum No 2-WV Lottery Instant Game Ticket Printing & Svcs  
**Proc Type:** Central Master Agreement

Solicitation Closes	Solicitation Response	Version
2023-03-30 13:30	SR 0705 ESR03282300000004623	1

**VENDOR**  
 VS0000012035  
 Pollard Banknote Limited

**Solicitation Number:** CRFQ 0705 LOT2300000003  
**Total Bid:** 2.29999999999999822364316059 **Response Date:** 2023-03-29 **Response Time:** 08:51:50  
**Comments:**

**FOR INFORMATION CONTACT THE BUYER**  
 Toby L Welch  
 (304) 558-8802  
 toby.l.welch@wv.gov

**Vendor Signature X** **FEIN#** **DATE**

All offers subject to all terms and conditions contained in this solicitation

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
1	LOTTERY TICKET PRINTING & RELATED SERVICES				2.30

Comm Code	Manufacturer	Specification	Model #
60141113			

**Commodity Line Comments:**

**Extended Description:**

Vendor must Fill out Exhibit A in its entirety and submit Exhibit A with their bids.



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## TRANSMITTAL LETTER

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March 29, 2023

Toby L Welch  
Department of Administration, Purchasing Division  
2019 Washington Street, East  
Charleston, WV 25305

**RE: West Virginia Lottery Instant Ticket Game Ticket Printing and Related Services  
(CRFP 0705 LOT2300000003)**

Dear Mr. Welch,

Pollard Banknote Limited (“Pollard Banknote”) is pleased to submit our response to the RFQ issued by the West Virginia Purchasing Division on behalf of the West Virginia Lottery (the “Lottery”) to establish a contract for printing of, and related services for, instant lottery games.

In accordance with the requirements of the RFQ, we have submitted one (1) original Technical Proposal and one (1) original Cost Proposal (Exhibit A Pricing Page) electronically through wvOASIS. Following this transmittal letter, we have included:

- Completed and signed Addendum Acknowledgement Form
- Completed and signed Designated Contact & Certification and Signature page

We understand that our entire response to the Solicitation and the resulting Contract are public documents that will be disclosed to the public following the bid/proposal opening or award of the contract, as required by the competitive bidding laws of West Virginia Code §§ 5A-3-1 et seq., 5-22-1 et seq., and 5G-1-1 et seq. and the Freedom of Information Act West Virginia Code §§ 29B-1-1 et seq. Therefore, we have not submitted material that we consider to be confidential, a trade secret, or otherwise not subject to public disclosure.

## **POLLARD BANKNOTE AND THE WEST VIRGINIA LOTTERY: BETTER TOGETHER**

Pollard Banknote understands that the West Virginia Lottery is seeking to establish a contract for instant lottery game printing and related services. With more than 37 years of experience in the instant ticket business and currently serving over 60 lotteries worldwide, Pollard Banknote is confident that we are the best in the world at developing innovative, revenue-generating instant games and related services that surpass our customers’ expectations and resonate with their players.



Pollard Banknote has the experience, expertise, capacity, and equipment necessary to handle anything the Lottery may require—now and in the future. Pollard Banknote has a high standard for meeting each client’s needs through proactive and extremely responsive customer service. We work closely with every client—big and small—to appreciate a lottery’s particular needs and understand how to provide the best products and services in the most dependable and efficient manner.

Working with Pollard Banknote will be simple, effective, and results oriented. When there is a concern, we will address it honestly, directly, and as quickly as possible. For any questions that may come up, our experts will actively assist the Lottery in finding the right answers.

With Pollard Banknote, the West Virginia Lottery is choosing an established organization with a unique expertise not only in instant tickets, including creative, eye-catching designs and sales-driving print innovations, but also in retail expansion, in-lane solutions, and overall optimization across both print and digital applications. That’s why we know we are uniquely positioned to help the West Virginia Lottery deliver an engaging and world-class instant game portfolio that appeals to existing players and attracts new players.

Every lottery needs a partner that can deliver innovation, creativity, experience, and success. Pollard Banknote wants to be that partner for the West Virginia Lottery. We’re proud of our successes to this point—but we’re just getting started. So, here’s to the road ahead: to the exciting new ideas, the innovative products, the creative and fun ways to engage players, and the enduring commitment to quality and security that will surely become a hallmark of every product we launch together.

In closing, Pollard Banknote appreciates the opportunity to participate in this RFQ process.

As Co-Chief Executive Officer, I certify that Pollard Banknote has reviewed and approved this Proposal. Further, I confirm my authority to sign and submit this proposal on Pollard Banknote’s behalf and bind the company to deliver on its response to this RFP. Should the Lottery have any questions pertaining to our proposal, please contact:

**Matthew Isaac**  
**Senior Director, Lottery Marketing**

Tel: 813.957.0755

Email: [misaac@pbl.com](mailto:misaac@pbl.com)

Sincerely,

POLLARD BANKNOTE LIMITED

A handwritten signature in blue ink, appearing to read "Doug Pollard".

Doug Pollard

Co-Chief Executive Officer

**ADDENDUM ACKNOWLEDGEMENT FORM**  
**SOLICITATION NO.: CRFQ LOT23-003**

**Instructions:** Please acknowledge receipt of all addenda issued with this solicitation by completing this addendum acknowledgment form. Check the box next to each addendum received and sign below. Failure to acknowledge addenda may result in bid disqualification.

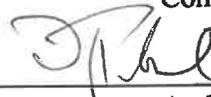
**Acknowledgment:** I hereby acknowledge receipt of the following addenda and have made the necessary revisions to my proposal, plans and/or specification, etc.

**Addendum Numbers Received:**  
(Check the box next to each addendum received)

- |  |  |
|--|--|
| <input checked="" type="checkbox"/> Addendum No. 1 | <input type="checkbox"/> Addendum No. 6  |
| <input checked="" type="checkbox"/> Addendum No. 2 | <input type="checkbox"/> Addendum No. 7  |
| <input type="checkbox"/> Addendum No. 3            | <input type="checkbox"/> Addendum No. 8  |
| <input type="checkbox"/> Addendum No. 4            | <input type="checkbox"/> Addendum No. 9  |
| <input type="checkbox"/> Addendum No. 5            | <input type="checkbox"/> Addendum No. 10 |

I understand that failure to confirm the receipt of addenda may be cause for rejection of this bid. I further understand that any verbal representation made or assumed to be made during any oral discussion held between Vendor's representatives and any state personnel is not binding. Only the information issued in writing and added to the specifications by an official addendum is binding.

Pollard Banknote Limited  
Company

  
Authorized Signature

march. 29, 2023  
Date

**NOTE:** This addendum acknowledgement should be submitted with the bid to expedite document processing.  
Revised 6/8/2012

**DESIGNATED CONTACT:** Vendor appoints the individual identified in this Section as the Contract Administrator and the initial point of contact for matters relating to this Contract.

(Printed Name and Title) Debbie Schween, Vice-President Legal Affairs, Customer Engagement

(Address) 140 Otter Street, Winnipeg, Manitoba, Canada, R3T 0M8

(Phone Number) / (Fax Number) (204) 474-2323 / (204) 453-1375

(Email address) dschween@pbl.ca

**CERTIFICATION AND SIGNATURE:** By signing below, or submitting documentation through wvOASIS, I certify that: I have reviewed this Solicitation/Contract in its entirety; that I understand the requirements, terms and conditions, and other information contained herein; that this bid, offer or proposal constitutes an offer to the State that cannot be unilaterally withdrawn; that the product or service proposed meets the mandatory requirements contained in the Solicitation/Contract for that product or service, unless otherwise stated herein; that the Vendor accepts the terms and conditions contained in the Solicitation, unless otherwise stated herein; that I am submitting this bid, offer or proposal for review and consideration; that this bid or offer was made without prior understanding, agreement, or connection with any entity submitting a bid or offer for the same material, supplies, equipment or services; that this bid or offer is in all respects fair and without collusion or fraud; that this Contract is accepted or entered into without any prior understanding, agreement, or connection to any other entity that could be considered a violation of law; that I am authorized by the Vendor to execute and submit this bid, offer, or proposal, or any documents related thereto on Vendor's behalf; that I am authorized to bind the vendor in a contractual relationship; and that to the best of my knowledge, the vendor has properly registered with any State agency that may require registration.

*By signing below, I further certify that I understand this Contract is subject to the provisions of West Virginia Code § 5A-3-62, which automatically voids certain contract clauses that violate State law; and that pursuant to W. Va. Code 5A-3-63, the entity entering into this contract is prohibited from engaging in a boycott against Israel.*

POLLARD BANKNOTE LIMITED

(Company)

(Signature of Authorized Representative)

Douglas E. Pollard, Co-Chief Executive Officer

(Printed Name and Title of Authorized Representative) (Date)

(204) 474-2323 / (204) 452-1375

(Phone Number) (Fax Number)

dpollard@pbl.ca

(Email Address)



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## INSTRUCTIONS TO VENDORS SUBMITTING BIDS

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Pollard Banknote has read, understood, and complied with the information and/or instructions presented in this section of the RFQ.



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## GENERAL TERMS AND CONDITIONS

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Pollard Banknote has read, understands, and accepts the General Terms and Conditions outlined in this section of the RFQ.

As per **Addendum No. 2** issued 03/15/23, we understand that section **11. Liquidated Damages** has been amended to state that liquidated damages are contained in this contract. Further, we have reviewed and accept the Liquidated Damages provided in **Addendum No. 2**.



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## SPECIFICATIONS

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### 1. Purpose and Scope

*The West Virginia Purchasing Division is soliciting bids on behalf of the West Virginia Lottery ("Lottery") to establish a contract for printing of, and related services for, instant lottery games.*

**Operating Environment:** *The Lottery is located at 900 Pennsylvania Avenue in Charleston, West Virginia. The Lottery offers approximately 40 instant lottery games per year to its citizens and others through a network of licensed retailers. The Lottery's instant games schedule (order quantities, ticket sizes, and play methods), and game history and sales are located in Exhibit B.*

*The Lottery and the Lottery's Gaming System and Services vendor of record will be responsible for all post-delivery warehousing, retail distribution, and ticket validation processes. Game tickets will be tested and require Lottery approval before distribution. The Lottery will receive, audit, and inspect all deliveries.*

*The Vendor is expected to have the ability to print a variety of words, letters, numbers, characters, or unique symbols in various combinations of colors and print processes. Vendor MUST disclose any limitations with respect to the standards described within Section 4 with their bid.*

*The Vendor will provide all services necessary to design, produce, audit, test, and deliver secure, high-quality instant game tickets that are in compliance with, but are not limited to, the specifications and requirements set forth in this Request for Quotation.*

*The Vendor will provide for the secure and timely delivery of approved instant game tickets and all required data files to the Lottery, its Gaming System and Services vendor of record, or other vendor of record. The current warehouse is located in Elkview, West Virginia but may be subject to change.*

**Please Note:** *The duties of this solicitation were previously performed under CRFQ LOTI 7-5. An open-end contract was awarded to IGT GLOBAL SOLUTIONS CORPORATION on 05/01/2017. The contract was in effect for four (4) years, with two (2) permitted one-year extensions. For more information regarding the bids received for CRFQ LOTI 7-5, please visit: <http://>*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ. No limitations are noted with respect to the standards described within Section 4.



## 2. Definitions

*The terms listed below shall have the meanings assigned to them below. Additional definitions can be found in section 2 of the General Terms and Conditions.*

Pollard Banknote understands and appreciates the meanings ascribed to each term outlined in 2.1 to 2.28 of the RFQ. As well, we have read and understand the additional definitions detailed within Section 2 of the General Terms and Conditions.



### 3. Qualifications

*Vendor, or Vendor's staff if requirements are inherently limited to individuals rather than corporate entities, shall have the following minimum qualifications:*

#### 3.1. Experience:

*The Vendor MUST have a minimum of five (5) years' experience in successfully providing a wide variety of secure instant lottery game tickets for one or more North American government lotteries. The Vendor MUST have experience in the creative design, imaging, computer programming for ticket generation, inventory control and validation, security, production, audit, testing, and secure delivery of instant lottery games of the type sought by the Lottery. Compliance with this experience requirement will be determined prior to contract award by the State through references provided by the Vendor upon request, through knowledge or documentation of the Vendor's past projects, through confirmation of experience requirements from lottery trade publications, or some other method that the State determines to be acceptable. Vendor must provide any documentation requested by the State to assist in confirmation of compliance with this provision. References, documentation, or other information to confirm compliance with this experience requirement may be requested after bid opening and prior to contract award.*

Pollard Banknote has more than 37 years of experience in successfully providing a wide variety of secure instant lottery game tickets for one or more North American government lotteries. Currently, we serve more than 60 lotteries worldwide, including 34 North American Association of State and Provincial Lotteries ("NASPL") clients.

We have extensive experience in the creative design, imaging, computer programming for ticket generation, inventory control and validation, security, production, and secure delivery of instant lottery games of the type sought by the Lottery.

We understand that compliance with this experience requirement will be determined prior to contract award by the State through references provided by Pollard Banknote upon request, through knowledge or documentation of Pollard Banknote's past projects, through confirmation of experience requirements from lottery trade publications, or some other method that the State determines to be acceptable. Pollard Banknote would be pleased to provide any documentation requested by the State to assist in confirmation of compliance with this provision. Further, we understand that references, documentation, or other information to confirm compliance with this experience requirement may be requested after bid opening and prior to contract award.

On the following pages, we have provided a brief introduction to Pollard Banknote and our deep experience in the instant ticket industry. After this short introduction, we have provided our current client list to demonstrate our broad and extensive experience in providing instant ticket game services to lotteries worldwide.



## **POLLARD BANKNOTE: A DYNAMIC, FULL-SERVICE LOTTERY PARTNER**

Pollard Banknote is an established lottery industry leader that is ready to serve the West Virginia Lottery. We bring the experience, skills, resources, and equipment necessary to handle anything the Lottery may require. Our culture of innovation drives the creation of new, industry-first products across all facets of the product portfolio, generating billions in sales for lotteries around the world and making a difference to the good causes they support. Our unwavering commitment to quality, security, and integrity is the foundation upon which Pollard Banknote is built—a constant the Lottery can rely on throughout the next contract term.

In the years since the Lottery's last RFP in 2017, Pollard Banknote has undergone tremendous growth to differentiate itself as a dynamic, full-service lottery partner. We are the fastest growing lottery industry vendor; from FY 2011 to FY 2021, our sales grew by over 165%. Over the last several years, we have sharpened our focus on innovative product development across both print and digital games, broadened our retail expertise, further resourced and refined our capabilities to deliver data-driven analyses and insights, and acquired companies that are firmly focused on the lottery industry. Our subsidiaries are established leaders in their respective areas, each offering their specialized knowledge and experience to our company, and together, we have created a more competitive and nimble organization.

This strategic growth and direction reflect our belief that there are three key dimensions that are crucial for our lottery clients, and by extension, our organization, to be successful: Outstanding Games that excite and engage players; Retail Excellence through effective in-store strategies and retail network expansion; and Digital Innovation that cultivates a more robust and interactive experience.

Our refined focus, combined with our consultative approach, is where the Pollard Banknote advantage lies. We build Empowered Partnerships with many of our lottery clients, enabling them to grow with products and services that attract and retain both new and existing players; build merchandising strategies that optimize their retail presence; and activate the right mix of digital products to support their digital journey. Recognizing a one-size-fits-all approach to lottery success is inherently flawed; we collaborate with our clients to build a customized portfolio of solutions that reflects the unique regulatory, market, and organizational conditions in which they operate, empowering them to raise more money for the good causes they support.

### **Innovative Products to Drive Lottery Success**

Our reputation as the industry's innovation leader is one we've worked hard to achieve. Our innovative nature, combined with our considerable strength and depth of experience across games, retail, and digital, ensures that the West Virginia Lottery will have access to the most innovative and new products available, as well as an innovation pipeline that is replete with new ideas and concepts in various stages of development. Our innovations can be broadly categorized



by our three key areas of focus, and many overlap two or more areas: outstanding games, retail excellence, and digital innovation.

## Outstanding Games

Designing, developing, and producing outstanding games is Pollard Banknote's core business. Gained over many decades—and many games—our extensive knowledge in product portfolio development ensures that we deeply understand the importance of keeping a lottery's instant ticket portfolio relevant and appealing by continuously refreshing the product mix across all price points. Pollard Banknote leads the industry in the development of value-added games that feature unique play styles and formats, prize structures, special materials, and striking inks that keep players engaged and entertained.

## Retail Excellence

One of the most impactful aspects of a lottery's success is its retail presence. Growing and optimizing a lottery's retailer network is often a key objective within a lottery's larger retail strategy, and Pollard Banknote offers many innovative options by which our lottery clients can reach their goals. Supporting these initiatives is our Retail Growth Team, composed of seasoned retail experts from across our organization, all of whom are focused on expanding and optimizing our lottery clients' retail presence.

In recent years, the multi-lane retail environment, as well as new types of retailers, have emerged as the next frontier of lottery sales growth, representing a tremendous opportunity for retail network expansion. Pollard Banknote is leading the industry in the development of innovative, cost-effective new in-lane solutions that place a lottery's instant ticket products front and center at the checkout—while maintaining the convenience and security that players and lotteries expect.

## Digital Innovation

Recognizing the importance of the digital realm to lottery, Pollard Banknote is excited to introduce lotteries to Pollard Digital Solutions (PDS)—our new brand that broadly encompasses the expansive digital offerings from across all of the Pollard family of companies. PDS broadly represents Pollard Banknote's focus on digital innovation and our ability to deliver best-in-class, future-proof digital solutions to the lottery industry.

Core parts of our PDS portfolio include, but are not limited to, our playON® Player Engagement Solution, mobile app development, interactive games, and iLottery, all of which have proven to be very successful endeavors for lotteries worldwide.

## MEETING THE FUTURE TOGETHER

Every lottery needs a partner that can deliver innovation, creativity, experience—and success. Pollard Banknote wants to be that partner for the West Virginia Lottery. Here's to the road ahead:

the exciting new ideas, the innovative products, the creative and fun new ways to engage players, and an enduring commitment to quality and security. Our approach to every facet of our business—from manufacturing to digital solutions to marketing and strategic advice—is rooted in our deep-seated desire to help our lottery clients achieve their goals.

We are poised and ready to support the West Virginia Lottery on its exciting journey over the next contract period.

## CURRENT CLIENT LIST

The following table provides a list of all of Pollard Banknote’s current clients. Please note that the lottery clients are grouped by primary or secondary contract and then sorted alphabetically by country within each group.

UNITED STATES				
LOTTERY JURISDICTION	ADDRESS	NAME/TITLE/PHONE NUMBER OF CONTACT PERSON	TYPE & START AND END DATES OF CONTRACT	SERVICES PROVIDED
 Idaho State Lottery	1199 Shoreline Lane - Suite 100 Boise, ID 83702 USA	Becky Schroeder Chief Operating Officer Tel: (208) 334-2600 Fax: (208) 334-2610 Email: bschroeder@lottery.idaho.gov	<ul style="list-style-type: none"> <li>• Primary printer</li> <li>• Current contract: March 20, 2021 to March 20, 2025. May be extended up to 4 additional years.</li> <li>• Client since 2013</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• xtraplayGAMES™</li> <li>• Consultancy and advisory services</li> </ul>
 Maryland State Lottery Agency	1800 Washington Boulevard, Suite 330 Baltimore, MD 21230 USA	Leo Mamorsky Managing Director, Chief Marketing Officer Tel: (410) 230-8902 Fax: (410) 230-8795 Email: leo.mamorsky@maryland.gov	<ul style="list-style-type: none"> <li>• Primary printer</li> <li>• Current contract: September 1, 2021 to August 31, 2025. May be extended up to 3 additional years.</li> <li>• Client since 2004</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> <li>• xtraplayGAMES™</li> <li>• Additional services</li> </ul>
 Michigan Lottery	101 East Hillsdale P.O. Box 30023 Lansing, MI 48909 USA	Glenn Strong Deputy Commissioner, Games & Marketing Tel: (517) 373-0024 Fax: (517) 241-0104 Email: strongg1@michigan.gov	<ul style="list-style-type: none"> <li>• Primary printer</li> <li>• Current contract: January 1, 2017 to December 31, 2023. May be extended up to 1 additional year.</li> <li>• Client since 1996</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> <li>• Lottery solution – e-instants and draw-based games</li> <li>• xtraplayGAMES™</li> <li>• Second chance solution</li> <li>• Additional services</li> </ul>
 Minnesota State Lottery	2645 Long Lake Road Roseville, MN 55113 USA	Todd Vodden Scratch Product & CSS Manager Tel: (651) 635-8156 Cell: (651) 336-3406 Email: todd.vodden@mnlottery.com	<ul style="list-style-type: none"> <li>• Primary printer</li> <li>• Current contract: July 1, 2022 to June 3, 2026. May be extended up to 2 additional years.</li> <li>• Client since 2007</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Sales training</li> <li>• Secure freight services</li> <li>• Additional services</li> </ul>

UNITED STATES				
LOTTERY JURISDICTION	ADDRESS	NAME/TITLE/PHONE NUMBER OF CONTACT PERSON	TYPE & START AND END DATES OF CONTRACT	SERVICES PROVIDED
Vermont Lottery Commission 	1311 US Route 302 Berlin-Suite 100 Barre, VT 05641-2399 USA	Andrew Collier Deputy Commissioner Tel: (802) 479-8595 Fax: (802) 479-4294 Email: andrew.collier@vermont.gov	<ul style="list-style-type: none"> <li>• Primary printer</li> <li>• Current contract: January 16, 2018 to July 21, 2023.</li> <li>• Client since 2014</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> <li>• xtraplayGAMES™</li> <li>• Second chance solution</li> <li>• Additional services</li> </ul>
Kansas Lottery 	128 North Kansas Avenue Topeka, KS 66603 USA	Stephen E. Ortiz Director of Sales & Marketing Tel: (785) 296-5710 Fax: (785) 296-5712 Email: stephen.ortiz@kslottery.net	<ul style="list-style-type: none"> <li>• Shared (1 of 3 non-exclusive printers)</li> <li>• Current contract: September 13, 2016 to June 30, 2023. May be extended up to 3 additional years.</li> <li>• Client since 1998</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> <li>• xtraplayGAMES™</li> <li>• Player loyalty and engagement solution</li> <li>• Second chance solution</li> <li>• Additional services</li> </ul>
Massachusetts State Lottery Corporation 	150 Mount Vernon Street, Suite 300 Dorchester, MA 02125 USA	Tom Aiello Instant Ticket Product Manager Tel: (781) 849-5555 Fax: (781) 849-5546 Email: taiello@masslottery.com	<ul style="list-style-type: none"> <li>• Shared (1 of 3 non-exclusive printers)</li> <li>• Current contract: October 5, 2020 to October 4, 2025.</li> <li>• Client since 1996</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> <li>• Additional services</li> </ul>
Texas Lottery Commission  	611 East Sixth Street P.O. Box 16630 Austin, TX 78701 USA	Angela Zgabay-Zgarba Contracts & Facilities Manager Tel: (512) 344-5215 Fax: (512) 344-5242 Email: angela.zgarba@lottery.state.tx.us	<ul style="list-style-type: none"> <li>• Shared (1 of 3 non-exclusive printers)</li> <li>• Current contract: September 1, 2012 to August 31, 2034. May be extended up to 6 additional months.</li> <li>• Client since 1999</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> <li>• Automated scratch sales solution</li> <li>• easyVEND™ In-Lane ticket vending solution</li> <li>• Additional services</li> </ul>
Arizona Lottery 	4740 East University Drive Phoenix, AZ 85034 USA	Chris Rogers Deputy Director, Marketing & Products Tel: (480) 921-4470 Fax: (480) 921-4512 Email: crogers@azlottery.gov	<ul style="list-style-type: none"> <li>• Shared (1 of 3 non-exclusive printers)</li> <li>• Current contract: January 15, 2020 to January 14, 2025. May be extended up to 5 additional years.</li> <li>• Client since 1998</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Instant ticket warehousing and distribution services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> <li>• Player loyalty and engagement solution</li> <li>• Second chance solution</li> <li>• Additional services</li> </ul>

UNITED STATES				
LOTTERY JURISDICTION	ADDRESS	NAME/TITLE/PHONE NUMBER OF CONTACT PERSON	TYPE & START AND END DATES OF CONTRACT	SERVICES PROVIDED
 California Lottery	700 N. 10th Street Sacramento, CA 95811 USA	Alyssa Thrasher Chief – Product, Sales and Marketing Tel: (916) 822-8407 Fax: (916) 737-5899 Email: athrasher@calottery.com	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: December 1, 2013 to November 30, 2023. May be extended up to 2 additional years.</li> <li>• Client since 1997</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• xtraplayGAMES™</li> <li>• Secure freight services</li> </ul>
 Colorado Lottery	720 South Colorado Boulevard, Suite 110A Denver, CO 80246 USA	Todd Greco Scratch Product Manager Tel: (303) 759-6834 Fax: (303) 759-6847 Email: todd.greco@state.co.us	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: July 1, 2017 to June 30, 2023. May be extended up to 4 additional years.</li> <li>• Client since 2009</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> <li>• Additional services</li> </ul>
 Connecticut Lottery Corporation	777 Brook Street Rocky Hill, CT 06067 USA	Carlos Rodriguez Director, Lottery Games Tel: (860) 713-2706 Email: carlos.rodriguez@ctlottery.org	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: August 30, 2020 to August 29, 2025.</li> <li>• Client since 2002</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>
 D.C. Lottery & Charitable Games Control Board	Office of Lottery and Charitable Games 2235 Shannon Place, S.E., Washington, D.C. 20020 USA	Nicole Jordan Director of Marketing Tel: (202) 645-8968 Fax: (202) 645-7914 Email: nicole.jordan@dc.gov	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: December 13, 2019 to December 12, 2023. May be extended up to 1 additional year.</li> <li>• Client since 2011</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> <li>• Additional services</li> </ul>
 Florida Lottery	250 Marriott Drive Tallahassee, FL 32399-4002 USA	Justin Rock Deputy Secretary, Product and Sales Tel: (850) 487-7777 x 2315 Email: rockj@flalottery.com	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: February 20, 2020 to March 31, 2027. May be extended up to 7 additional years.</li> <li>• Client since 2009</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>
 Georgia Lottery Corporation	250 Williams Street, Suite 3000 Atlanta, GA 30303-1032 USA	James Hutchinson SVP Marketing & Promotions Tel: (404) 215-5006 Fax: (404) 215-8871 Email: jhutchinson@galottery.org	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: January 16, 2020 to January 16, 2023. Extension paperwork in progress.</li> <li>• Client since 2006</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Second chance solution</li> <li>• Secure freight services</li> </ul>
 Illinois Lottery (Camelot Illinois LLC)	200W Jackson Blvd Suite 1100 Chicago, IL 60606 USA	Mike Elwood Product Manager Instant Games Tel: (312) 909-6483 Email: mike.elwood@camelotillinois.com	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: January 2, 2020 to October 12, 2027. May be extended up to 7 additional years.</li> <li>• Client since 1993</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket print services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> <li>• Additional services</li> </ul>

UNITED STATES				
LOTTERY JURISDICTION	ADDRESS	NAME/TITLE/PHONE NUMBER OF CONTACT PERSON	TYPE & START AND END DATES OF CONTRACT	SERVICES PROVIDED
Indiana (Hoosier) Lottery 	1302 N. Meridian Street Indianapolis, IN 46202 USA	Melissa Pursley VP Marketing and Product Development Tel: (317) 264-5669 Fax: (317) 264-4621 Email: mpursley@hoosierlottery.com	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: April 1, 2013 to April 1, 2024. May be extended up to 1 additional year.</li> <li>• Client since 2002</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>
Iowa Lottery Authority 	2323 Grand Avenue Des Moines, IA 50312 USA	Larry Loss Executive Vice President Tel: (515) 725-7907 Email: lloss@ialottery.com	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: January 1, 2019 to December 31, 2023. May be extended up to 1 additional year.</li> <li>• Client since 1993</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> <li>• Additional services</li> </ul>
Kentucky Lottery 	1011 West Main Street Louisville, KY 40202 USA	Rhonda Goodwin Marketing Manager Tel: (502) 560-1622 Fax: (502) 560-1534 Email: rhonda.goodwin@kylottery.com	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: December 15, 2011 to July 10, 2026. May be extended up to 6 additional months.</li> <li>• Client since 2011</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> <li>• Additional services</li> </ul>
Missouri Lottery 	1823 Southridge Drive Jefferson City, MO 65109 USA	May Scheve Reardon Executive Director Tel: (573) 751-4050 Fax: (573) 522-1630 Email: May.Scheve@molottery.com	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: September 23, 2021 to June 30, 2026. May be extended up to 5 additional years.</li> <li>• Client since 2009</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> <li>• Additional services</li> </ul>
New York State Lottery 	One Broadway Center Schenectady, NY 12301-7500 USA	Gwen Dean Director, Lottery Division Tel: (518) 388-3406 Fax: (518) 388-3498 Email: daniel.martin@gaming.ny.gov	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: April 4, 2011 to August 5, 2023.</li> <li>• Client since 1994</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Second chance solution</li> <li>• Secure freight services</li> <li>• Additional services</li> </ul>
North Carolina Education Lottery 	2100 Yonkers Road Raleigh, NC 27604 USA	Randy Spielman Director of Product Development Tel: (919) 301-3601 Fax: (919) 715-8833 Email: randy.spielman@lotterync.net	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: June 3, 2016 to June 20, 2025. May be extended up to 2 additional years.</li> <li>• Client since 2012</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> <li>• Player loyalty and engagement solution</li> <li>• Additional services</li> </ul>
Oregon Lottery 	500 Airport Road SE Salem, OR 97301 USA	Tina Erickson Traditional Product Manager Tel: (503) 540-1000 Fax: (503) 540-1001 Email: tina.erickson@lottery.oregon.gov	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: June 29, 2010 to June 30, 2023.</li> <li>• Client since 2005</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> <li>• Additional services</li> </ul>

UNITED STATES				
LOTTERY JURISDICTION	ADDRESS	NAME/TITLE/PHONE NUMBER OF CONTACT PERSON	TYPE & START AND END DATES OF CONTRACT	SERVICES PROVIDED
South Carolina Education Lottery 	P.O. Box 11949 Columbia, SC 29211 USA	Jay Johnson Director of Marketing and Product Development Tel: (803) 737-2348 Fax: (803) 737-2687 Email: Jay.johnson@sclot.com	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: October 1, 2020 to September 30, 2026. May be extended 1 additional year.</li> <li>• Client since 2013</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>
Virginia Lottery 	600 E. Main Street Richmond, VA 23219 USA	Terri Rose Director of Marketing Tel: (804) 692-7510 Email: trose@valottery.com	<ul style="list-style-type: none"> <li>• No fixed contract, game by game printer</li> <li>• Client since 1996</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>
Washington's Lottery 	P.O. Box 43000 Olympia, WA 98504-3000 USA	Ron Smerer Sales & Marketing Director Tel: (360) 664-4735 Fax: (360) 586-2234 Email: rsmerer@walottery.com	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: March 18, 2014 to March 17, 2024.</li> <li>• Client since 2014</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>
Wisconsin Lottery 	2135 Rimrock Road, #231 Madison, WI 53708 USA	Charles Klink Director of Product Development & Marketing Tel: (608) 264-6539 Fax: (608) 264-6644 Email: charles.klink@wisconsin.gov	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: May 14, 2017 to May 13, 2026. May be extended 1 additional year.</li> <li>• Client since 1993</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Second chance solution</li> <li>• Secure freight services</li> </ul>

CANADA				
LOTTERY JURISDICTION	ADDRESS	NAME/TITLE/PHONE NUMBER OF CONTACT PERSON	TYPE & START AND END DATES OF CONTRACT	SERVICES PROVIDED
British Columbia Lottery Corporation 	2940 Virtual Way Vancouver, BC V5M 0A6 Canada	Gladys Primeau Category Manager, Instant Games Tel: (604) 228 3063 Fax: (604) 225-6441 Email: GPrimeau@bclc.com	<ul style="list-style-type: none"> <li>Primary printer</li> <li>Current contract: February 1, 2019 to December 31, 2028. May be extended up to 5 additional years.</li> <li>Client since 1986</li> </ul>	<ul style="list-style-type: none"> <li>Ticket design services</li> <li>Ticket printing services</li> <li>Consultancy and advisory services</li> <li>Secure freight services</li> <li>xtraplayGAMES™</li> <li>Additional services</li> </ul>
Interprovincial Lottery Corporation 	40 Holly Street, 6 <sup>th</sup> Floor Toronto, ON M4S 3C3 Canada	Elaine Stanley Executive Director Tel: (416) 488-4002 Fax: (416) 488-7871 Email: stanley@ilc.ca	<ul style="list-style-type: none"> <li>Primary printer</li> <li>Current contract: Effective as of May 7, 2013.</li> <li>Client since 1985</li> </ul>	<ul style="list-style-type: none"> <li>Ticket design services</li> <li>Ticket printing services</li> <li>Consultancy and advisory services</li> <li>Secure freight services</li> </ul>
Ontario Lottery and Gaming Corporation 	70 Foster Drive, Ste. 800 Sault Ste. Marie, ON P6A 6V2 Canada	Carleen Cameron Director, Instant Product Management & Operations Tel: (705) 946-6429 Fax: (705) 946-6993 Email: cncameron@olg.ca	<ul style="list-style-type: none"> <li>Primary printer</li> <li>Current contract: August 1, 2007 to July 31, 2032. May be extended up to 5 additional years.</li> <li>Client since 1987</li> </ul>	<ul style="list-style-type: none"> <li>Ticket design services</li> <li>Ticket printing services</li> <li>Consultancy and advisory services</li> <li>Secure freight services</li> <li>Additional services</li> </ul>
Western Canada Lottery Corporation 	WCLC Marketing Division 6910 50th Avenue Stettler, AB T0C 2L0 Canada	Brad Wiebe Senior Consultant – Lottery/Retail Marketing Tel: (403) 742-7154 Fax: (403) 742-7193 Email: wiebeb@wclc.com	<ul style="list-style-type: none"> <li>Primary printer</li> <li>Current contract: April 29, 2013 to April 30, 2028.</li> <li>Client since 1985</li> </ul>	<ul style="list-style-type: none"> <li>Ticket design services</li> <li>Ticket printing services</li> <li>Consultancy and advisory services</li> <li>Secure freight services</li> <li>xtraplayGAMES™</li> <li>Second chance solution</li> <li>Additional services</li> </ul>
Atlantic Lottery Corporation 	PO Box 5500 922 Main Street Moncton, NB E1C 8W6 Canada	Rose-Marie Hatchette Supply Chain Specialist Tel: (506) 867-5495 Fax: (506) 867-5616 Email: rose.hatchette@alc.com	<ul style="list-style-type: none"> <li>Secondary printer</li> <li>Current contract: February 13, 2023 to February 12, 2028. May be extended up to 5 additional years.</li> <li>Client since 1989 (via ILC)</li> </ul>	<ul style="list-style-type: none"> <li>Ticket design services</li> <li>Ticket printing services</li> <li>Consultancy and advisory services</li> <li>Secure freight services</li> <li>Additional services</li> </ul>
Loto-Québec 	500 Sherbrooke Street West Montreal, QC H3A 3G6 Canada	Nathalie Gemme Contract Administrator Tel: (514) 499-8614 Fax: (514) 982-5577 Email: nathalie.gemme@loto-quebec.com	<ul style="list-style-type: none"> <li>No fixed contract, game by game printer</li> <li>Client since 1989 (via ILC), direct since 2005</li> </ul>	<ul style="list-style-type: none"> <li>Ticket design services</li> <li>Ticket printing services</li> <li>Consultancy and advisory services</li> <li>xtraplayGAMES™</li> <li>Secure freight services</li> </ul>

INTERNATIONAL				
LOTTERY JURISDICTION	ADDRESS	NAME/TITLE/PHONE NUMBER OF CONTACT PERSON	TYPE & START AND END DATES OF CONTRACT	SERVICES PROVIDED
The Lottery Corporation (Australia) 	87 Ipswich Road Woolloongabba, Queensland 4151	Ben Johnson GM, Marketing Operations Tel: +61 7 3807 1487 Fax: +61 7 3877 1175 Email: ben.johnson@thelott.com	<ul style="list-style-type: none"> <li>• Primary printer</li> <li>• Current contract: February 1, 2018 to January 31, 2023.</li> <li>• Client since 2014</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>
Loterie Nationale (Belgium) 	Rue Belliard, 25-33 1040 Brussels Belgium	Wim Schoolmeesters Sr. Manager, Research & Product Development Tel: +32 0 2 238 45 89 Fax: +32 0 2 238 48 30 Email: wim.schoolmeesters@nationale-loterij.be	<ul style="list-style-type: none"> <li>• Exclusive printer</li> <li>• Current contract: June 12, 2020 to June 11, 2023. May be extended 1 additional year.</li> <li>• Client since 1998</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> <li>• Additional services</li> </ul>
Junta de Protección Social (Costa Rica)	Calle 20 Avenidas 2 y 4 San José, Costa Rica 592-1000	Danny Paniagua Villalobos Marketing Representative Tel: +506 2522 2274 Email: dpaniagua@jps.go.cr  Karen Gomez Granados Marketing Representative Tel: +506 2522 2261 Email: kgomez@jps.go.cr	<ul style="list-style-type: none"> <li>• Primary printer</li> <li>• Current contract: December 7, 2021 to December 6, 2022. May be extended up to 3 additional years.</li> <li>• Client since 2011</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> <li>• Additional services</li> </ul>
Cyprus Government Lottery (Cyprus) 	Ministry of Finance 1439 Nicosia Cyprus	Rea Georgiou Lottery Director Treasury of the Republic of Cyprus Tel: +357 22 602 2252 Fax: +357 22 67 5580 Email: accountant.general@treasury.gov.cy	<ul style="list-style-type: none"> <li>• Exclusive printer</li> <li>• Current contract: March 17, 2010 to December 31, 2021. Services continue pursuant to expired contract terms.</li> <li>• Client since 2010</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>
Danske Spil (Denmark) 	Postbox 847 Korsdalsvej 135 DK 2605 Brøndby Denmark	Malene Hyldig Head of Instant Games Tel: +45 2613 1205 Email: mhy@danquespil.dk	<ul style="list-style-type: none"> <li>• Primary printer</li> <li>• Current contract: August 1, 2021 to July 31, 2025.</li> <li>• Client since 2008</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>

INTERNATIONAL				
LOTTERY JURISDICTION	ADDRESS	NAME/TITLE/PHONE NUMBER OF CONTACT PERSON	TYPE & START AND END DATES OF CONTRACT	SERVICES PROVIDED
Lotería Nacional de la República Dominicana, CONAFRA (Dominican Republic)	Calle Boy Scout #65 Santiago, República Dominicana	Lic. Norberto Taveras President of CONAFRA Tel/Fax : +809 582 5605 Email : <a href="mailto:conafra@gmail.com">conafra@gmail.com</a> or <a href="mailto:facipago@hotmail.com">facipago@hotmail.com</a>	<ul style="list-style-type: none"> <li>• Exclusive printer</li> <li>• Current contract: April 15, 2012 to April 14, 2022. Services continue pursuant to expired contract terms.</li> <li>• Client since 2009</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Additional services</li> </ul>
Veikkaus Oy (Finland) 	Karhunkierros 4 SF-01009 Vantaa Finland	Anu Kytö Vice President, Lucky Games Tel: +358 0 437 01 Fax: +358 20 750 751 Email: <a href="mailto:anu.kyto@veikkaus.fi">anu.kyto@veikkaus.fi</a>	<ul style="list-style-type: none"> <li>• Primary printer</li> <li>• Current contract: Effective as of January 15, 2022.</li> <li>• Client since 1993</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> </ul>
Premier Lotteries Ireland Limited (Ireland) 	Abbey Street Lower North City Dublin 1 Ireland	Andrew Algeo Chief Executive Officer Tel: +353 1 836 4444 Fax: +353 1 836 6034 Email: <a href="mailto:andrew.algeo@lottery.ie">andrew.algeo@lottery.ie</a>	<ul style="list-style-type: none"> <li>• Exclusive printer</li> <li>• Current contract: December 1, 2014 to November 30, 2024.</li> <li>• Client since 1986</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>
Mifal Hapayis (Israel) 	3 Heftman Street Tel Aviv, 61070 Israel	Avi Levy Instant Products Manager Tel: +972 3 694 0366 Email: <a href="mailto:avile@pais.co.il">avile@pais.co.il</a>	<ul style="list-style-type: none"> <li>• Exclusive printer</li> <li>• Current contract: October 1, 2017 to October 1, 2023.</li> <li>• Client since 2003</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>
Pan Malaysian Sweeps Sdn. Bhd (Malaysia) 	312 Jalan Pudu 56100 Kuala Lumpur Malaysia	Ng Hoon Ho Vice President, Operations Tel: +60 12 235 6799	<ul style="list-style-type: none"> <li>• Shared primary printer</li> <li>• Client since 1990</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> <li>• Additional services</li> </ul>

INTERNATIONAL				
LOTTERY JURISDICTION	ADDRESS	NAME/TITLE/PHONE NUMBER OF CONTACT PERSON	TYPE & START AND END DATES OF CONTRACT	SERVICES PROVIDED
Norsk Tipping AS (Norway)	Måsåbekkvegen 20, 2315 Hamar, Norway	Lise B. Vold Product Developer, Flax Business: +47 62 51 40 00 Email: lise.vold@norsk-tipping.no	<ul style="list-style-type: none"> <li>• Primary printer</li> <li>• Current contract: December 1, 2022 - November 30, 2025.</li> <li>• Client from 2011-2015; client since 2018</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>
Totalizator Sportowy (Poland) 	ul. Targowa 25 03-728 Warsaw Poland	Katarzyna Woznica-Borkowska Lotto & Instant Games Department Tel: +48 22 818 28 67 Email: katarzyna.woznica-borkowska@totalizator.com.pl	<ul style="list-style-type: none"> <li>• Primary printer</li> <li>• Current contract: January 29, 2019 - March 8, 2023.</li> <li>• Client since 2007</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>
NIKÉ (Slovakia)	Ilkovicova 34 Bratislava 812 30 Slovak Republic	Lenka Janouchova Tel: +2 602 69 131 Email: lenka@janouchova.com	<ul style="list-style-type: none"> <li>• Exclusive printer</li> <li>• Current contract: May 1, 2013 to May 1, 2024. May be extended up to 1 additional year.</li> <li>• Client since 2013</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>
Loteria Catalunya – Next Generation Lottery Solutions GmbH (Spain) 	Fluviá, 54 08019 Barcelona Spain	Arnaud Larquet Head of Revenue Team Email: alarquet@nextgl.com	<ul style="list-style-type: none"> <li>• Exclusive printer</li> <li>• Client since 2016</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Additional services</li> </ul>
Svenska Spel (Sweden) 	106 10 Stockholm Evenemangsgatan 17 Solna Sweden	Madeleine Kellermann Product Manager, Instant Tickets Tel: +46 10 120 76 68 Email: Madeleine.Kellerman@svenskaspel.se	<ul style="list-style-type: none"> <li>• Exclusive printer</li> <li>• Current contract: June 15, 2020 to June 14, 2023. May be extended 1 additional year.</li> <li>• Client since 1993</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>

INTERNATIONAL				
LOTTERY JURISDICTION	ADDRESS	NAME/TITLE/PHONE NUMBER OF CONTACT PERSON	TYPE & START AND END DATES OF CONTRACT	SERVICES PROVIDED
Loterie Romande (Switzerland) 	Rue Marterey 15 Case Postale 216 CH-1005 Lausanne Switzerland	Karin Pache Group Product Manager Tel: +41 76 569 44 25 Email: karin.pache@loterie.ch	<ul style="list-style-type: none"> <li>• Exclusive printer</li> <li>• Current contract: August 4, 2021 to August 3, 2031. May be extended upon mutual agreement.</li> <li>• Client since 2000</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• xtraplayGAMES™</li> <li>• Secure freight services</li> </ul>
Taiwan Lottery Co. Ltd. (Taiwan)	15F, No. 188 Jingmao 2 <sup>nd</sup> Road Nangang District Taipei City 115 Taiwan ROC	Tina Lin Product Manager Tel: + 886 2 8170 5228 Fax: + 886 2 2786 5188 Email: tina.lin@taiwanlottery.com.tw	<ul style="list-style-type: none"> <li>• Primary printer</li> <li>• Current contract: January 1, 2018 to December 31, 2023.</li> <li>• Client since 2001</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>
Lotterywest (Australia) 	74 Walters Drive Osborne Park, Western Australia 6017	Jenny Cullen Director, Marketing & Sales Tel: +61 08 9488 6352 Fax: +61 0459 179 392 Email: jenny.cullen@lotterywest.wa.gov.au	<ul style="list-style-type: none"> <li>• Non-exclusive printer</li> <li>• Current contract: May 4, 2019 to May 3, 2024. May be extended up to 5 additional years.</li> <li>• Client since 2013</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>
Österreichische Lotterien GmbH (Austria) 	Rennweg 44 1038 Wien Austria	Thomas Schmitzberger Head of Advertising and Print Supplies Tel: +43 1 790 70 3320 Email: thomas.schmitzberger@lotterien.at	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: Effective as of March 15, 2013.</li> <li>• Client since 2000</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>
SAZKA a.s. (Czech Republic) 	Evropská 866/69 Praha 6 – Vokovice 160 00 Czech Republic	Martina Nováková Product Manager Tel: +420/266 12 80 22 Email: NOVAKOVAM@SAZKA.CZ	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: June 1, 2014 to December 31, 2023. May be extended up to 1 additional year.</li> <li>• Client since 2014</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>

INTERNATIONAL				
LOTTERY JURISDICTION	ADDRESS	NAME/TITLE/PHONE NUMBER OF CONTACT PERSON	TYPE & START AND END DATES OF CONTRACT	SERVICES PROVIDED
La Française des Jeux (France) 	126, rue Galliéni 92643 Boulogne-Billancourt Cedex France	Henri-Jacques Hassid Director, Purchasing Department Tel: +33 1 41 10 37 43 Email: hjhassid@lfdj.com	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: January 1, 2020 to December 31, 2024.</li> <li>• Client since 1996</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>
Lotterie-Treuhandgesellschaft mbH Hessen (Germany) 	Rosenstrasse 5-9, 65189 Wiesbaden	Martin Blach CEO Email: sabine.hartmann@lotto-hessen.de	<ul style="list-style-type: none"> <li>• Secondary printer</li> <li>• Current contract: January 1, 2017 to December 31, 2022. Parties are negotiating a new contract.</li> <li>• Client since 2016</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>
Szerencsejáték Zrt. (Hungary) 	H-1015 Budapest, Csalogány u. 30-32 Hungary	Andrea Komáromi Head of Instant Ticket Department Sales and Games Organization Division	<ul style="list-style-type: none"> <li>• Game by game printer</li> <li>• Client since 2012</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket printing services</li> </ul>
SWISSLOS – Interkantonale Landeslotterie (Switzerland) 	Lange Gasse 20 GH – 4002 Basel Switzerland	Mark Lauber Head Business Development Tel: +41 61 284 1414 Email: mark.lauber@swisslos.ch	<ul style="list-style-type: none"> <li>• Shared (1 of 2 non-exclusive printers)</li> <li>• Client since 2002</li> </ul>	<ul style="list-style-type: none"> <li>• Ticket design services</li> <li>• Ticket printing services</li> <li>• Consultancy and advisory services</li> <li>• Secure freight services</li> </ul>



### 3.2. Required Staff Assignments:

*The Vendor MUST supply, at minimum, a specified account representative for key day to day contact for production of instant lottery games. The successful Vendor will provide resources for maintaining and implementing a research and development effort in such areas as instant lottery game estimated need, concept, design, development, and post-game review. The Lottery has the right to approve or request any changes in key support staff at any time.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

Pollard Banknote has appointed Matthew Isaac, Senior Director, Lottery Marketing, as the specified account representative for key day to day contact for production of instant lottery games. Matthew will lead an entire Dedicated Account Team assigned to the West Virginia Lottery and will be supported by Skiler Polkowski, Account Coordinator. The Dedicated Account Team we've assembled for the West Virginia Lottery includes some of the most experienced and seasoned professionals in the lottery industry.

Pollard Banknote will provide resources for maintaining and implementing a research and development effort in such areas as instant lottery game estimate need, concept, design, development, and post-game review. Specifically, Matthew and the Dedicated Account Team will engage our Insights & Analytics Team that has delivered insights to many of our 60+ lottery clients worldwide.

Under the leadership of Darren Perche, Director, Insights & Analytics our team of research and insights analysts, data specialists, and data entry support staff works in partnership with members of our Game Development and Sales & Marketing Teams, various industry-leading research companies (as required), and our clients to offer proven instant ticket sales recommendations. Darren and his team have worked on a wide range of research projects to support the ongoing needs of our clients, including but not limited to prize structure analysis, payout reviews, game management best practices, primary market research, industry trends, and more. When needed, we also employ the skills of external consultants and analysts for additional insight and support.

Further, Pollard Banknote understands that the Lottery has the right to approve or request any changes in key support staff at any time.

Pollard Banknote's Dedicated Account Team sets a high standard for meeting our clients' needs through proactive and extremely responsive customer service. Moreover, we provide service on a per-game basis; each game receives the same amount of attention and dedication—from the initial concept to production, delivery, and beyond. We customize our approach for each jurisdiction, and our attention to detail ensures all clients get the same exceptional service.



Our comprehensive account team is comprised of three principal components:

- Executive Leadership
- Dedicated Account Team
- Marketing and Operational Support Specialists

## EXECUTIVE LEADERSHIP TEAM

Our Executive Leadership Team includes Doug Pollard, Co-Chief Executive Officer, who plays an integral leadership role in setting Pollard Banknote's exceptional standards of quality, innovation, marketing, and client service. Doug was inducted into the Lottery Industry Hall of Fame in 2015. Jennifer Westbury, Executive Vice President, Sales & Customer Development, will guide Pollard Banknote's Dedicated Account Team for the West Virginia Lottery. As the Executive Leader, Jennifer has over 30 years' experience working with instant ticket sales and retail teams to drive revenue. Jennifer's induction into the PGRI Lottery Hall of Fame (2012) is evidence of the exceptionally high regard in which she is held across the industry. Rob Young, Executive Vice President, Operations, is a key member of Pollard Banknote's Executive Management Team, boasting over 40 years of lottery/print experience. He oversees the Game Generation, Information Systems, Game Planning, Manufacturing, and Quality departments at all our instant ticket production facilities. And finally, Pedro Melo, Executive Vice President, Information Technology & Digital, oversees the company's various departments dedicated to the development and support of technology-intensive processes and products, including Game Development, Digital Solutions, Computer Operations, Lottery Management Services (LMS), iLottery, Enterprise Resource Planning (ERP), and other internal IT services. Pedro also oversees the people, processes, and technology of our Pollard Digital Solutions brand.

## DEDICATED ACCOUNT TEAM



### **Matthew Isaac**

#### **Senior Director, Lottery Marketing**

#### **Years of Lottery/Print Experience: 15**

Matt Isaac's knowledge of the lottery industry and intimate understanding of the company's capabilities make him a highly sought-after professional that works with his lottery clients to identify products and opportunities that increase sales and net revenue. Along with his knowledge of sales, marketing, analysis, and customer relations, Matt has expertise in strategic development and retail/merchandising.

### **Responsibilities**

Matt will lead the West Virginia Lottery's Dedicated Account Team and oversee all responsibilities relating to the Lottery's instant ticket contract. He will maintain direct contact with the Lottery during the development and production of instant games and will work closely with the Lottery to develop marketing strategies and insightful recommendations. Supported by sales analyses, comparative data, industry trends, and proven winning strategies, Matt will present new opportunities to meet the Lottery's objectives, suggest market-specific promotions, and offer the latest on product innovations. He can direct any market and product research, and he will oversee the development of new game concepts, artwork, and Game Specifications (Working Papers).

### **Employment History and Lottery Experience**

For the past decade, Matt has worked with many lotteries (e.g., Florida, Maryland, Virginia, and Michigan) and outside partners to provide world-class retail and sales training initiatives. Prior to joining Pollard Banknote in 2014, his hands-on experience included working with the Florida Lottery's Sales and Product Development Department in an industry-leading retail environment for over seven years. As the Florida Lottery's Scratch-Off Product Manager, Matt oversaw scratch-off product strategy, marketing initiatives, research, ticket distribution, product placement, retailer education, and motivation initiatives, ultimately contributing to over 70% growth of the Lottery's Scratch-Off product sales from \$2.1 billion in FY 2009 to a record \$3.4 billion in FY 2014.

Matt holds an MBA in Marketing, Economics, and Management from the University of North Florida's College of Business Administration.



## Skiler Polkowski

### Account Coordinator

#### Years of Lottery/Print Experience: 6

Since joining Pollard Banknote in 2019, Skiler has excelled at providing outstanding customer service to all her lottery clients. Her program coordination skills and sales administration training have helped to establish her as an important part of Pollard Banknote's Sales & Marketing team.

#### Responsibilities

An important function of Skiler's daily efforts includes representing her client's interests when communicating with internal groups to coordinate all aspects of instant ticket game production. She will engage in day-to-day correspondence with the Lottery to ensure that all pertinent information is gathered (e.g., artwork, ticket specifications, timelines, etc.), managing the project through the entire production process.

Skiler will oversee the development of draft game concepts and artwork for client review and approval, then ensure timely preparation and signoff of Game Specifications and press proofs. Skiler will work to ensure the Lottery remains fully satisfied with Pollard Banknote's products and services.

#### Employment History and Lottery Experience

Prior to joining Pollard Banknote, Skiler gained experience as a Program Coordinator in the social services sector in a corporate support role at an office supply company, and as a Sales Administrator at a local printing company. This latter experience provided Skiler with a strong base knowledge of the printing process and has helped her excel in her role as an Account Coordinator at Pollard Banknote.

Skiler is pursuing a Certificate in Project Management at Red River Polytech. The training received in project planning and estimates will be valuable as she works with the West Virginia Lottery.

## MARKETING AND OPERATIONAL SUPPORT SPECIALISTS

While the day-to-day key personnel are critical in providing effective account service, its members are supported by the efforts of many highly qualified individuals who offer specialized expertise. Our executive, managers, creative, technical, and marketing specialists, together with our craftspeople, have manufactured and marketed instant ticket products that have helped lotteries across the globe meet their sales objectives.

Pollard Banknote has allocated several of our senior leaders to support the Dedicated Account Team to ensure the Lottery receives the very best products and services available in the industry. We also offer some of the most experienced professionals in their respective fields by providing



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the Lottery with ongoing marketing and operational support. They are very familiar with what is required to develop and produce secure and marketable instant tickets, and each has extensive experience working with lottery clients across North America.

Our support specialists include representatives from various teams across our organization, including Sales & Marketing, Insights & Analytics, Retail Growth, Product Innovation, Licensed Games, Digital Support, Manufacturing, Game Design & Programming, Quality & Security, and Information Technology.

This team of specialists will provide full support to Matthew and Skiler to ensure all the Lottery's needs—now and in the future—are met.

### 3.3. Vendor Organizational Chart:

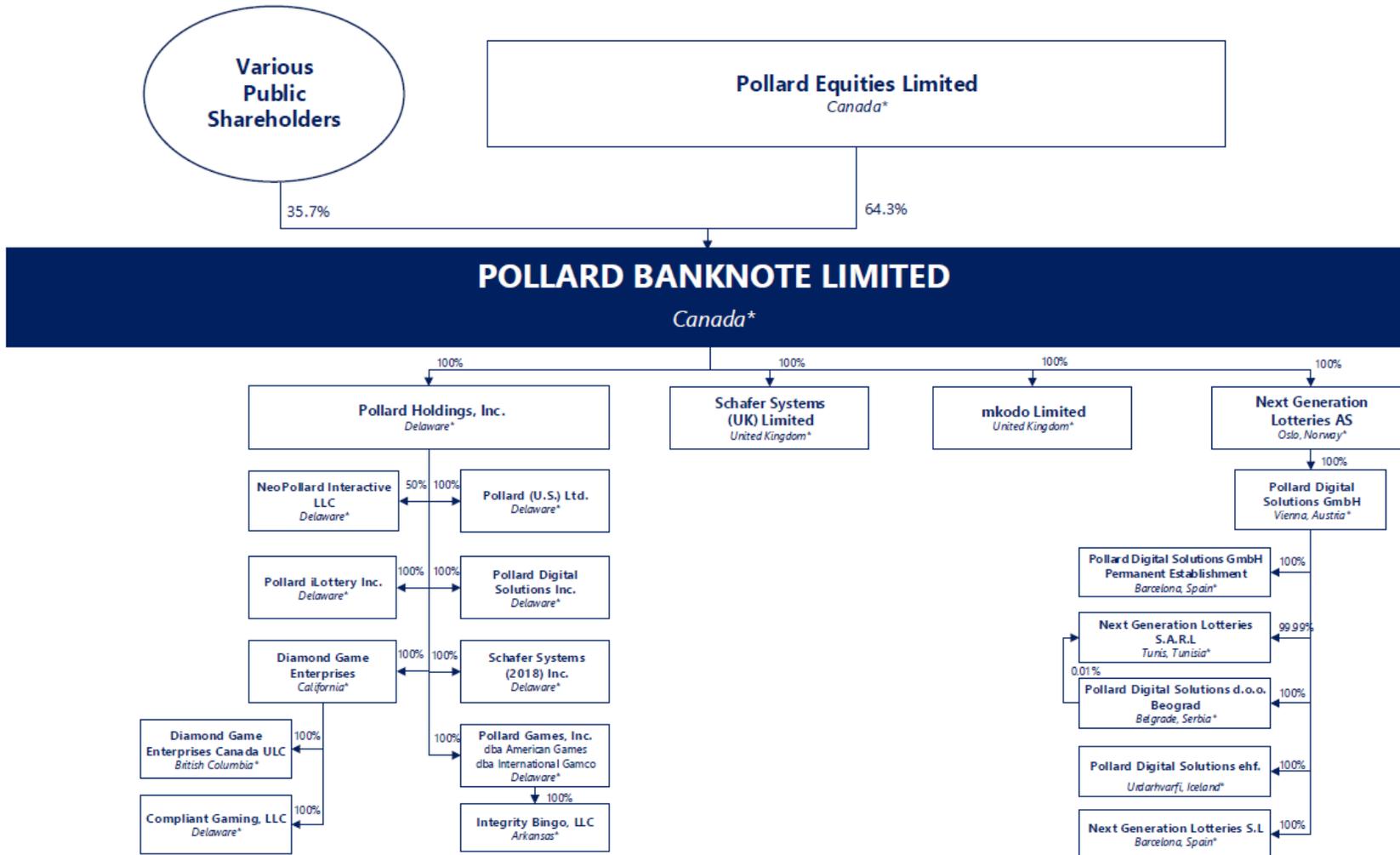
*An accurate, current organizational chart that includes all of the corporate management individuals identified above MUST be submitted. Related organizations MUST be clearly shown. The Lottery may request background checks of the successful Vendor, as well as subcontractors or parent entity, and its substantial subcontractors as follows:*

- *If a sole proprietorship, the individual owner.*
- *If a corporation, all officers, and directors in such corporation.*
- *If a partnership, each general partner as an individual.*
- *If a joint venture, all individual joint ventures.*
- *If a trust, all trustees.*
- *If an association, all officers, and directors.*

On the following pages, Pollard Banknote has provided the following:

- An organization chart that depicts Pollard Banknote Limited's corporate structure, including all related organizations.
- Organizational chart that depicts the West Virginia Account Services Team including corporate management individuals identified in **3.2 Required Staff Assignments**.

Pollard Banknote Limited is a corporation organized under the federal laws of Canada. As such, we understand that, as the Successful Vendor, the Lottery may request background checks of all officers and directors.



\*Denotes jurisdiction of incorporation/amalgamation/continuance/establishment



## ACCOUNT SERVICES TEAM

### EXECUTIVE LEADERSHIP

 <b>DOUG POLLARD</b> Co-Chief Executive Officer		
 <b>JENNIFER WESTBURY</b> Executive Vice President, Sales & Customer Development	 <b>ROB YOUNG</b> Executive Vice President, Operations	 <b>PEDRO MELO</b> Executive Vice President, Information Technology & Digital

### DEDICATED ACCOUNT TEAM

 <b>MATT ISAAC</b> Senior Director, Lottery Marketing	 <b>SKILER POLKOWSKI</b> Account Coordinator
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### MARKETING SUPPORT SPECIALISTS

INSIGHTS & ANALYTICS	INNOVATION & PRODUCT DESIGN SPECIALISTS	RETAIL GROWTH TEAM	DIGITAL SUPPORT SPECIALISTS
 <b>DARREN PERCHE</b> Director, Insights & Analytics	 <b>MIKE BRICKWOOD</b> Manager, Print Innovations	 <b>MATT ISAAC</b> Senior Director, Lottery Marketing	 <b>SHANNON DEHAVEN</b> Vice President, Digital Engagement
 <b>BIANCA LOPEZ AUSTRIA</b> Manager, Insights & Analytics	 <b>ERIN ROSS-STEWART</b> Product Innovation Specialist	 <b>TERESA IMMEL</b> Senior Director, Sales & Marketing, Schaefer Retail Solutions +	 <b>AMIT CHHABRA</b> Director, Digital Solutions
	 <b>BRAD THOMPSON</b> Vice President, Sales & Marketing	 <b>SHAY WAHL</b> Sales & Marketing Manager, Schaefer Retail Solutions +	 <b>PAUL SHEA</b> Sales Executive, Digital Solutions
	 <b>DEAN VAN DE WALLE</b> Director, Creative Services	 <b>KELLY HARRISON</b> Product Director, Schaefer Retail Solutions +	 <b>RICHARD BENNETT</b> Director, Digital Innovations
		 <b>RICK DROSTE</b> Senior Strategic Retail Advisor	

### OPERATIONAL SUPPORT SPECIALISTS

MANUFACTURING, QUALITY & SECURITY SPECIALISTS	
 <b>DAVID COLATRIANO</b> Senior Vice President, Manufacturing	 <b>DARRELL WARD</b> Vice President, Manufacturing (Ypsilanti)
 <b>GREG HAMILTON</b> Director, Manufacturing (Winnipeg)	 <b>PETER KOVACS</b> Manager, Corporate Quality & Continuous Improvement
 <b>MURIELLE FONTAINE</b> Vice President, Operations & Customer Delivery	 <b>DARREN WAREHAM</b> Director, Game Development
 <b>ARNIE DEVLIN</b> Manager, Computer Operations	 <b>BRETT TAYLOR</b> Director, Corporate Lab Services
 <b>LARRY LEVASSEUR</b> Director, Corporate Security	 <b>DAROLD SMITH</b> Director, Information Security

### 3.4. Equipment and Technology:

*The Vendor MUST provide an overview summary of the equipment and technology in place at the Vendor's facility that will be used to satisfy the requirements of this solicitation. Additionally, the Vendor MUST provide an overview description of any other equipment and technology currently available at the Vendor's facility that offers lottery-related capabilities. These documents will be used to better understand the business relationship and further enhance the lottery product produced. This information is for continued operations and will not be evaluated.*

Pollard Banknote's capabilities in the design and manufacture of the Lottery's instant products are second-to-none in the industry, and various enhancements in recent years have strengthened those capabilities. Pollard Banknote's manufacturing capabilities reside within five instant scratch ticket press lines, including our state-of-the-art 22-station TRESU press, and 11 finishing lines across North America. Together, these operations total approximately 385,000 square feet, employ approximately 1,300 people, and utilize our proprietary vision inspection, varnish detection, and packaging system capabilities. These resources allow us to produce tickets for the Lottery that will always be manufactured to the highest standards using the latest in automation and technology. We also have additional facilities that focus on pull-tab ticket manufacturing, specialized vending machines, and lottery merchandizing solutions.

Pollard Banknote continuously invests in automation, new printing technologies, and equipment to improve manufacturing quality and timeliness. Our quality systems have evolved tremendously since our start in the instant ticket industry nearly 40 years ago, with considerable financial tracking and personnel resources allocated to develop and maintain an all-encompassing, ISO-certified quality management system that helps ensure the utmost in quality in the production of instant tickets for our valued clients.

As just one of many examples demonstrating our commitment to continuous improvement, Pollard Banknote is excited to announce the addition of digital technology to our extensive print capabilities, demonstrating our continued innovation leadership in the industry. Digital printing makes possible new game concepts and options that can enhance instant game experiences, bringing with it exciting new frontiers. Ultimately, digital printing will offer an abundance of new opportunities for the West Virginia Lottery to communicate with its players in unique and meaningful ways.

Pollard Banknote would be pleased to provide more specific detail about our equipment and capabilities upon contract award in order for the Lottery to better understand the business relationship and further enhance the lottery product produced.

### 3.5. Disaster Recovery:

*Vendor MUST provide a disaster recovery plan for production and provide gaming tickets within a reasonable time frame to meet the requirements set forth in this Solicitation in the event that the primary printing site becomes incapacitated. Such remedies may include the printing of ticket with an agreed upon third party at no additional cost to the Lottery.*

As required, Pollard Banknote will provide a disaster recovery plan for production and provide gaming tickets within a reasonable time frame to meet the requirements set forth in this Solicitation if the primary printing site becomes incapacitated. We confirm such remedies may include the printing of ticket with an agreed upon third party at no additional cost to the Lottery.

Pollard Banknote has provided a copy of its Business Continuity Plan in **Appendix A: Business Continuity Plan**. In addition, we have included a narrative below that provides additional detail on our approach to disaster recovery and business continuity. We would be pleased to share additional detail with the Lottery upon contract award.

## DISASTER RECOVERY/BUSINESS CONTINUITY OVERVIEW

Pollard Banknote has comprehensive contingency plans in place to guide our response to critical events, which may lead to various levels of disruption. Every emergency, such as a contained fire or machine breakdown, is responded to in accordance with the site-specific Emergency Response Plan. When an emergency rises to the level of a short- or long-term disaster, the company-wide Business Continuity Plan is enacted. These plans work in tandem to protect the West Virginia Lottery from financial loss in the event that a disaster impacts ticket production.

### Guaranteed Delivery in Any Circumstance

Pollard Banknote's Business Continuity Plan considers our capability to manufacture the Lottery's instant tickets at our facilities in Ypsilanti, Michigan and Winnipeg, Manitoba, and provides for the transfer of work to a backup facility if the designated primary facility is disrupted for any reason. This means we always have a plant available for ticket production in the case of a disaster. Standardized processes and systems have been implemented company-wide to ensure that we have redundant systems (including servers), as well as consistent training, raw material sources, and platemaking and manufacturing equipment across all facilities. Our standardization guarantees that a smooth transition of production can be achieved if required in an emergency.

Given the full production facilities we currently operate as noted above, plus two facilities used exclusively for finishing in Sault Saint Marie, Ontario, and Barrhead, Alberta, we will always have a facility available to serve the Lottery. In the West Virginia Lottery's case, our Ypsilanti facility will serve as the primary plant, with our facilities in Winnipeg serving as a backup option.

Ultimately, Pollard Banknote's contingency planning ensures we can easily meet the West Virginia Lottery's ticket quantity requirements, and we can continue to do so even if one facility is rendered utterly inoperable for an extended period. While we're sufficiently equipped to mitigate this kind of disaster, never in our history have we encountered this situation.

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## Emergency Response Plans

Pollard Banknote is committed to preventing emergencies before they happen through continual risk analysis and improvement. However, site-specific Emergency Response Plans are maintained at each facility to address a variety of natural and man-made incidents ranging from supply chain breakdowns and computer network failures to severe weather and major power outages. The plans contain immediate response steps to ensure safety, prevent further injury, and notify local management teams. Each emergency scenario also outlines the preventive steps taken to mitigate the likelihood of an emergency.

These plans guide local management in the establishment of an emergency operations center and contain extensive contact lists (internal, external, executive), floor plans, and maps. As well, every section has a pull-out check sheet recommending a specific series of response activities to the event. The check sheets also promote accurate note taking and ensure that follow up activities are completed. This step enables Pollard Banknote to evaluate every emergency and take steps to continuously improve our processes and reduce the risk of future incidents.

## Business Continuity Plan

Pollard Banknote's commitment to our customers to provide quality service is first and foremost. Our company wide Business Continuity Plan provides a framework for our management team to immediately respond to severe unexpected events and to develop a strategic plan of action to continue the delivery of products and/or services during the disruption.

The overall objectives of this plan are to ensure that we can continue business operations and safeguard and recover the company's operational capability under difficult circumstances. This plan defines and prioritizes key critical risks that could negatively impact the company's operations, in particular those which could prevent Pollard Banknote from meeting its business objectives and contractual obligations.



### 3.6. Corporate Audit Requirements:

*The Lottery reserves the right to audit all Vendor and Sub-Vendor facilities, processes, and/or procedures, as they relate to the Contract, using Lottery employees, its designees, the West Virginia State Auditor's Office, or other approved employees of the State of West Virginia.*

*The Vendor and all its Sub-Vendors under the Contract shall maintain records and supporting evidence pertaining to the fulfillment of the Contract obligations in accordance with generally accepted accounting principles and other procedures specified by the Lottery.*

*Vendor and any Sub-Vendors shall make all such records and materials available at its offices at all reasonable times during the term of the Contract and for five (5) years after the date of final payment under the Contract, for inspection by the Lottery, by any authorized representative of the Lottery and/or the State of West Virginia Auditor of State's Office ("State Auditor"), and copies thereof shall be furnished to the Lottery and/or the State Auditor by the appropriate entity, at no cost to the Lottery or the State Auditor, if requested by the Lottery or the State Auditor.*

*The Lottery reserves the right, at its sole discretion, to perform additional audits, which may include but are not limited to the following: financial, compliance, security, economy/efficiency, program results, and limited scope audits. The Lottery reserves the right to inspect any of the Vendor's third-party auditor's reports and management letters. Unless the audit would be impaired, any audit by the Lottery will only be conducted with reasonable prior notice to the Vendor, and subject to all security, quality, and other procedures which may be in force at the Vendor site. In the case of an audit indicating non-compliance with the terms of the Contract, the Lottery may pursue any and all available remedy as specified in the Contract, including terminating the Contract due to the Vendor's default.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### 3.6.1

*The Vendor shall provide, as soon as it is available, to the Lottery on an annual basis a copy of its audited financial statements for such year. The Lottery requires (and will retain) an electronic and hardcopy of an annual third-party audit of the Vendor's operations, internal controls, system controls for data and print compliance, and related activities, which includes, but is not limited to, SSAE 18 (SOC I) type 2 & SOC II Type 2 audits reports (or the latest version of such audits as defined by American Institute of Certified Public Accountants (AICPA)). The Lottery also requires a SSAE 21 (SOC 1) Type 2 & SOC II Type 2 report from any subservice organizations.*

Pollard Banknote has read and understands the requirements provided in this section of the RFQ. We note, however, that per **Addendum No. 2**, issued 03/15/23, the Lottery confirmed that audited financial statements in compliance with SOC I, Type I, ISO 27001 and WLA-SCS certification will be accepted in lieu of the SOC audit requirements described in this section of the RFQ. As such, we confirm we will provide annual audited financial statements as well an annual



audit report conducted in compliance with SOC I (Type 1) audit standards along with ISO 27001 and WLA certifications.

### 3.6.2

*The Vendor should also fully cooperate with any audit firm(s) as contracted by the Lottery and/or the State Auditor's Office with respect to any audit to be performed involving the Vendor's operations, as required by law or as desired by the Lottery and/or the State Auditor's Office. The Lottery also holds the right to audit the Successful Vendor's applications and assess security vulnerabilities through testing and other reviews.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

### 3.7. Disclosure of Litigation and Investigation:

*Because the Lottery has a strong interest in the successful Vendor's continuing ability to produce secure, high-quality products and services, the Vendor MUST list and summarize pending or threatened litigation, administrative or regulatory proceedings, or similar matters not disclosed in Vendor's financial statements that could materially affect the Vendor's performance. As part of this disclosure requirement, the Vendor MUST state whether it or any owners, officers, directors, or partners have ever been convicted of any felony. As noted in West Virginia State Code §29-22-14. a.3.*

*No person MUST be permitted to act as vendor to the commission who has been convicted of any violation of this article, or of any felony or any crime related to theft, bribery or gambling or involving moral turpitude. The commission MUST deny the privilege of acting as a vendor to the commission for any person so convicted. Failure to disclose such matters on contract award may result in termination of Contract.*

*This is a continuing disclosure requirement; any such matter commencing after the execution of a Contract, MUST be disclosed in a timely manner in a written statement to the Lottery.*

Pollard Banknote has read, understands, and will comply with the requirements described in this section of the RFQ.

Pollard Banknote confirms that there is no pending or threatened litigation, administrative or regulatory proceedings, or similar matters not disclosed in our financial statements that could materially affect our performance. Further, no owners, officers, directors, or partners have ever been convicted of any felony.



## 4. Mandatory Requirements

### 4.1. Mandatory Contract Services Requirements and Deliverables:

*Contract Services must meet or exceed the mandatory requirements listed below.*

#### 4.1.1 Development:

*Instant lottery tickets will be planned by the Lottery using the Vendor's expertise in game analysis and planning, intellectual property research, graphic arts, data security, testing, and state-of-the-art printing systems. Instant lottery tickets MUST be produced by the Vendor in accordance with Working Paper specifications and delivered to the Lottery's Gaming System and Services vendor of record in West Virginia.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### 4.1.2 Process:

*The Vendor MUST describe the process or processes being proposed for the production of the instant lottery tickets sought by the Lottery. The printing process MUST include, but is not limited to, game need analysis, game planning assistance, creative ticket design, complete game development, secure data creation and programming, game auditing, game printing, physical testing, and production plans. The Vendor MUST provide an overview description, including layout and print/game capacity, of the printing equipment (presses) utilized upon contract award. This information will not be used for evaluation but used to assist in cooperative planning.*

*The Vendor may not unilaterally change a Lottery-approved product, processes, or material as used in the production of, or services for, instant lottery game tickets. Such changes must be approved in writing by the Lottery prior to installation or implementation, be of equal or better quality of service or product, and at no additional cost to the Lottery.*

As required, Pollard Banknote has provided an overview of the processes proposed for the production of the West Virginia Lottery's instant tickets. We confirm that our printing process includes, but is not limited to, game need analysis, game planning assistance, creative ticket design, complete game development, secure data creation and programming, game auditing, game printing, physical testing, and production plans. We note that much of this information is highly sensitive and proprietary in nature, including layout and print/game capacity of printing equipment, therefore we would be pleased to share additional detail with the Lottery upon contract award to assist in cooperative planning.

The Lottery can rest assured that with nearly 40 years of experience in the instant ticket industry, Pollard Banknote's instant ticket processes are well established and we continually review our operations to ensure that we are able to adeptly meet our clients' needs, now and in the future. In 2022 alone, we printed approximately 15.6 billion ESS instant tickets (equivalent single size or 2" x 4") and, on average, more than 100 distinctive games each month for lotteries worldwide.



Pollard Banknote understands that it may not unilaterally change a Lottery-approved product, processes, or material as used in the production of, or services for, instant lottery game tickets. We confirm that any such changes must be approved in writing by the Lottery prior to installation or implementation, be of equal or better quality of service or product, and at no additional cost to the Lottery.

On the following pages, we have provided an overview of our nine-stage manufacturing process which includes game planning assistance, creative ticket design, complete game development, secure data creation and programming, game auditing, game printing, physical testing, and production plans. Following that, we included information on our strategy and development support process for game need analysis.

## THE MANUFACTURING OF INSTANT TICKETS: AN OVERVIEW

Pollard Banknote employs a nine-stage process for manufacturing instant tickets. Strict controls are maintained throughout each stage of manufacturing to ensure security, accountability, and quality. Our production system is a well-established and customer-approved process that results in secure instant tickets of the highest quality.

This formalized, structured manufacturing process allows virtually any game and ticket design to be brought to life—from standard tickets to our vast offerings within the extended play category, to our patented Scratch FX® and Fusion® products. Additionally, we are capable of printing ticket sizes to practically any specification desired by the Lottery. We have printed instant tickets as small as 2" x 2.05" and as large as 7.5" x 22".

Our state-of-the-art manufacturing capabilities allows Pollard Banknote to provide our clients with expedient delivery of instant ticket products. In fact, we have produced reorders for clients in as little as seven (7) days from sign-off. Our efficient production, combined with our tickets' industry-renowned aesthetic appeal and scratch-off quality, makes Pollard Banknote the right choice for the West Virginia Lottery.

### Manufacturing Process Diagram

To complement this overview, we present a diagram on the following page that illustrates the main steps involved in Pollard Banknote's manufacturing process. Following the diagram, we have provided a summary of each of the steps included in our manufacturing process.

## POLLARD BANKNOTE'S MANUFACTURING PROCESS AT A GLANCE

PRE-MANUFACTURING

### Game Design + Development

We take each game concept and transform it into an instant ticket design. After a series of customer-approved proofs, printing plates are produced and the game is ready for manufacturing.

1

PRE-MANUFACTURING

### Raw Materials Inspection

Before any stock arrives at our facilities, Pollard Banknote's internal lab has already confirmed with suppliers that our quality requirements are understood. Suppliers demonstrate their ongoing commitment to our specific requirements by providing Certificates of Analysis with all raw materials. Additionally, on delivery, our lab spot checks raw materials to ensure compliance with manufacturing and lottery standards.

2

MANUFACTURING

### Application of Security Coatings

Proprietary security coatings are printed onto card stock to prepare the data areas for variable data imaging.

3

MANUFACTURING

### Variable Data Imaging

Following the completion of game programming and audits, variable data is printed using our Kodak Versamark imagers.

4

MANUFACTURING

### Application of Security Varnish + Scratch-off Layers

Game data is covered with a protective coating of varnish before scratch-off layers (including white) are applied to cover the variable game data imaging.

5

MANUFACTURING

### Application of Graphic Inks

In this stage, all of the graphic inks are applied, both on top of the stock directly (base graphics) and on top of the scratch-off layers (overprints).

6

FINISHING

### Inspection

All tickets undergo our rigorous, proprietary electronic vision inspection process while on press to ensure they meet the Lottery's requirements. In this stage, tickets identified by the press system as "non-conforming" are pulled from manufacturing, ensuring high quality and security standards are met.

7

FINISHING

### Packaging

Tickets are split into books, shrink-wrapped, and packaged in cartons in preparation for shipping.

8

FINISHING

### Shipping

Cartons of tickets are labelled, inspected, and shipped to the Lottery.

9

## Pre-Manufacturing

Before manufacturing begins on the Lottery's instant tickets, raw materials are thoroughly inspected and game concepts are developed and reviewed with various departments within the company to ensure all requirements are met.

### Stage 1. Raw Materials Inspection

The first step in attaining our goal of producing the highest quality instant tickets is ensuring that raw materials from our suppliers meet stringent quality standards. Suppliers must be dependable, as their products are critical to the security and performance of our customers' products.

All of Pollard Banknote's "quality-critical" suppliers (all paper stock suppliers and ink suppliers) must be ISO 9001:2015 certified (manufacturing and raw materials supplier level of certification) or permit an on-site audit conducted by our certified auditors to ensure they meet the Quality Management System standards set by Pollard Banknote. Even our ISO-certified suppliers are occasionally subjected to Pollard Banknote's on-site audits.

Pollard Banknote's on-site assessment process involves a team of trained auditors conducting a comprehensive review of the suppliers' quality management system and manufacturing processes. The audit assesses an assortment of critical elements to determine conformance to the ISO 9001:2015 Quality Management System requirements.

Prior to a shipment of any raw materials, the supplier provides a Certificate of Analysis (confirmation that their product has been internally analyzed and meets the specifications required) and samples of the material for Pollard Banknote's review. The information included in the Certificate of Analysis is different for each type of material. For instance, for scratch-off coatings, the certificate confirms that the material meets our standards for color, viscosity, opacity, blacklight evaluation, and scratchability.

Scrutiny of our suppliers does not stop with the receipt of a Certificate of Analysis. Our Lab staff compares the details of the supplier's analysis against pre-approved specifications for that material. Random testing of selected samples is also conducted to ensure the certification level is met.

### Stage 2. Game Design and Development

Pollard Banknote fully understands how the creative and visual design aspects of a game must integrate with security standards and the technical requirements of our printing processes to create a successful instant ticket.

Honed over the production of thousands of games and billions of tickets, our game design and development workflow is well established. It draws input from both our Marketing and Game Management & Design staff, who work closely with the Lottery and efficiently takes on such critical tasks as the development of a game's prize structure and Game Specifications (Working



Papers). Game ideas reflect our understanding of design, printing, and marketing principles, as well as the lottery industry and a client's unique market and business operations.

A self-contained and highly skilled department of over 90 Game Management & Design professionals, including both Graphic Designers and Technical Artists, at our Winnipeg headquarters (with additional Game Management & Design staff at our other facilities) provides full creative design and technical art services.

### The Design Process: An Overview

Our Creative Artists and Technical Artists work closely together in an open environment that encourages communication and interaction. Members of our Game Management & Design team understand and are committed to deliver on the Lottery's specific art requirements. For each lottery, our Creative Artists consult with external groups, learn about cultural sensitivities, and take into consideration a lottery's objectives to leverage team efficiency to deliver all components required for successful, creative, high quality, and market-appropriate ticket designs.

The Lottery can rely on our design staff to develop thoughtful, well-designed ticket art that reflects the West Virginia Lottery's aesthetics, or we can work in collaboration with the Lottery's own artists and/or its advertising agency. If the Lottery is interested in using game designs that have been, in whole or in part, originated by another lottery or another vendor, Pollard Banknote will consult with the appropriate parties to obtain permission to use the art, as applicable. Additionally, if the Lottery chooses a particular game that we identify as being subject to copyright or trademark by another vendor, or jurisdiction, prior to the execution of Game Specifications, then we will, at the Lottery's discretion, either negotiate an appropriate fee or change the game.

Our artists begin any ticket design with a strong understanding of graphic design, printing and marketing principles, familiarity with the conventions of effective lottery tickets and the willingness to try new ideas. In any arrangement, our design services can include:

- Conceptual art
- Ticket design
- Full color illustrations (traditional or digital)
- Multimedia web graphics/animation
- Digital photography
- Stock photography
- Image retouching and enhancement

Playing a separate role is the Game Planner—the individual who advances the process from game conception to the final press proof by mapping out each game's manufacturing requirements. The



Game Planner is a key position serving the Lottery and we strive to ensure continuity in this position.

The designated Game Planner/Supervisor for the West Virginia Lottery, Claudia Jofre, will coordinate the Lottery's design and manufacturing requirements and act as an internal liaison to ensure consistent communication and quality throughout the design and manufacturing of a ticket.

The Game Management & Design department also includes a group of specialists operating within a digital framework who prepare designs for the plating process.

During this stage of the manufacturing process, Pollard Banknote will also develop a contract proof. This proof is laminated on the actual ticket stock and is the closest simulation of the final product prior to it running on the press.

### Game Specifications (formerly Working Papers)

Pollard Banknote's previous Game Specifications process was tested and revised over the course of the thousands of games we printed over our first three decades in the instant ticket industry. This established process has worked well for us and has provided a strong base upon which to optimize our review process using our Enterprise Resource Planning (ERP) solution. ERP facilitates the integration of all internal information systems, instantaneously tracks manufacturing processes, ensures single source data input, and allows for a real-time picture of the manufacturing process and complex reporting.

Skiler Polkowski, Account Coordinator, will create draft Game Specifications by entering all relevant information into the ERP. In addition to the ticket design (wireframe, front covered and uncovered, back, and sample ticket back) and prize structure, this document precisely communicates product quality requirements, play format, along with post-manufacturing requirements and deliverables for both the Lottery and our Manufacturing group.

As a means of quality control, manufacturing of the Lottery's games will not commence until the Game Specifications have been officially signed-off by the Lottery.

### Production Planning

Ongoing communication is a key element in an effective and productive relationship between Pollard Banknote and our lottery clients. As such, we maintain open lines of communication with the Lottery through the use of a Production Plan report, which provides full visibility into the status of all ongoing and planned productions for the West Virginia Lottery throughout the year.

## Manufacturing

The next stages—three through six—cover the actual printing of the ticket.

### Stage 3. Application of Security Coatings

In Stage 3, security coatings are printed onto card stock to secure the data areas in preparation for variable data imaging. These security coatings ensure that the security level of instant tickets printed on card stock is like the level for tickets printed on foil stock.

If foil stock is used, although security coatings are not required, we apply a game data receptive coating to ensure that the variable data imaging will be as crisp and legible as possible.

We have supplied security tints for many of our customers' tickets printed on card stock. Additionally, we offer a clear security coating with fluorescent properties that can detect tampering when placed under a black light. This security tint is a popular choice for our customers due to its marketing and sales advantages as it continues to offer tamper detection while minimizing distractions from the readability of the play data.

### Stage 4. Variable Data Imaging

To ensure maximum player satisfaction, it is paramount that the game play area and related play symbols match the expectations created by the ticket graphics. This often calls for very creative and unique play symbols. Pollard Banknote has the ability to produce virtually any type of game data image (font). All font images are custom-built to accommodate the game's play mechanics, no matter how complex.

Pollard Banknote's Image Development Group (IDG) creates the fonts (game symbols, as well as all other variable-imaged data) that are merged with the variable game data to create the variable image files for the high-speed imager.

The creation of variable data involves the combined efforts of our Information Systems and Production departments. Our Information Systems department is comprised of the Game Generation unit, Image Development Group, Computer Operations, Internal Audit & Software Acceptance, and Information Technology (provides internal network support, including security). Prior to the imaging of data onto the ticket, the game data must be developed, audited, and verified by this department.

The live game data is created in our secure Computer Operations environment. The imaging files are also created and controlled within Computer Operations, who electronically move the files to the secure imaging server. The Imaging Operators cannot read these encrypted, locked down files, and are only authorized to run set menu operations.

### Stage 5. Application of Security Varnish and Scratch-off Layers

Pollard Banknote has established a stringent set of standards for all of our coatings, materials, and inks—including our varnish, and security and scratch-off layers, which are printed over the

game data, in preparation for the application of the graphic inks. To ensure that the raw materials can withstand environmental elements and meet our requirements for quality and security, our internal laboratory conducts a variety of tests based on Pollard Banknote's Security Evaluation Standards. These standards meet or exceed the standards of external laboratories. We duplicate the tests conducted by these laboratories and develop our own testing and approval methods.

The varnish, security, and scratch-off layers are applied via separate stations prior to the graphics being applied. Each application is cured or dried using an energy-curing source (e.g., UV light) or forced-air gas ovens in preparation for the application of the next layer. The drying process changes depending on whether the inks are energy curable or conventional air-dried inks or coatings.

A varnish with protective and release properties is applied over the data and specific application is dependent on the substrate used (i.e., card or foil stock). After the varnish is applied, the security scratch-off is printed, followed by layers of white, readying the ticket for the application of the graphic inks.

## Stage 6. Application of Graphic Inks

In this stage of manufacturing, tickets undergo the application of all graphic colors to ensure maximum visibility and player interest when displayed at retail. Graphics are printed directly on the ticket stock or on top of the scratch-off layers in the game data areas. We offer the highest possible quality graphics in both cases, thereby ensuring that games are extremely marketable.

A wide variety of overprint designs can be used, including text and/or artistic graphics. Graphics applied over the scratch-off coating offer a clean edge to the perimeters of the play area and enhance the ticket's aesthetics. Graphics are typically printed using one or more colors, each being either solid or screened, depending on the complexity of the design.

Our manufacturing flexibility allows Pollard Banknote's clients to market virtually any type of ticket. A wide range of press options, combined with the knowledge of our experienced design and production staff, allow Pollard Banknote to offer an array of graphic design options. Our Game Planners and Account Representatives are thoroughly familiar with all possible color combinations, so the Lottery can be confident that the full array of possibilities is presented on a routine basis.

With all these options—and the thousands of possibilities that CMYK/four-color printing affords—the design possibilities are nearly endless and the production of a ticket that is both aesthetically appealing and secure is assured.

In addition, graphics printing is performed with inks that safeguard against compromise of the game data coverings. Solvents used in various compromise methods cause distortion of, or damage to, our inks. These features enhance the security of the tickets by making invasion techniques ineffective or easily detected.

## Finishing

The final three (3) stages of our manufacturing process describe how we void non-conforming books, and package and deliver the finished tickets to our clients.

### Stage 7. Inspection

Pollard Banknote's dedication to producing tickets of unsurpassed quality requires commitment throughout the manufacturing process. We will match as precisely as possible, within standard industry printing tolerances, the signed-off proofs and provide playable, secure, and error-free games. To achieve this, we have set up our systems to continually monitor and check quality throughout every stage of manufacturing.

Several sample sheets of a ticket are taken off the production and compared to the ticket specifications outlined in the Game Specifications (Working Papers), as well as the color proof. As the run continues, the ticket is continually compared to the approved press proof 'Golden Standard', via our Vision Inspection System, to ensure that the level of quality is maintained. This means that every ticket is inspected for conformance by a robust electronic system located inline on our graphics presses.

In addition, our Labs play a vital, ongoing role in security throughout ticket manufacturing. They ensure that the built-in security features of our tickets protect them from ever being compromised. The Labs do this by performing an exhaustive variety of experiments on the printed tickets to ensure the performance of these security features.

It is important to note that any books containing tickets judged not to conform are identified, omitted, and voided. We account for all books, all the time to ensure that the Lottery gets exactly the books and tickets they are expecting.

All voided tickets and all waste connected with instant game production (i.e., unused, partially printed stock) are shredded into a residual mass small enough to render impossible any potential security concerns.

### Stage 8. Packaging

Packaging specifications are unique to each game and are documented in the Game Specifications (Working Papers). All finished goods are packaged and marked in accordance with the specifications of the Lottery. We use a shrink-wrapping machine to package tickets in virtually any book size and carton size required.

In this stage, the lifts (several books across the web attached together) of fan-folded tickets in book block size are automatically broken into individual books and transferred to the packaging line in preparation for shrink-wrapping.

Our Book Tracking System ensures that isolated books identified on the press as non-conforming, or individual books which become non-conforming during the finishing process, are sent to the Banking Station. In addition, to ensure that there are no breaks or discontinuities in the ticket



numbering, we custom-developed an application capable of accurately detecting books with the incorrect number of tickets.

Our automated finishing lines receive conforming printed products and delivers skids of shrink-wrapped books ready for shipment to our customers. Throughout the finishing line, an array of proprietary systems monitors the tickets to ensure that the final product is of the highest possible quality. The result is 100% accountability for all products.

All games will be balanced according to the West Virginia Lottery's requirements.

## Stage 9. Shipping

Shipping requirements are listed in the Game Specifications (Working Papers) and our shipping personnel ensures that every single requirement documented in the Game Specifications (Working Papers) is satisfactorily addressed.

It is our responsibility to ensure that the West Virginia Lottery receives the product problem-free. In preparation for shipping, cartons are sealed and placed on pallets. The pallet is stretch-wrapped and stored in a secure area while awaiting shipment. After the pallets are stretch-wrapped and bound, labels detailing their contents are affixed to the pallets.

Shipping of all finished goods is conducted under secure conditions (with staff always in attendance). Trucks are loaded and unloaded by our own Shipping and Receiving staff; drivers do not have access to either the loading bays or the production areas.

The loading bays are equipped with an electronically controlled trap system that precludes opening doors between the production areas and loading bays when the outside shipping or receiving doors are open. The loading bays are camera-monitored, and the resultant recordings remain on file for six (6) months.

A Shipping Manifest is maintained such that, when the pallet loading is complete, the manifest listing all tickets to be shipped is checked and placed with the tickets. The Carrier Representative and our Shipping Representative sign the seal number listed on the Master Packing List. The seal will only be broken in the presence of a designated Lottery employee.

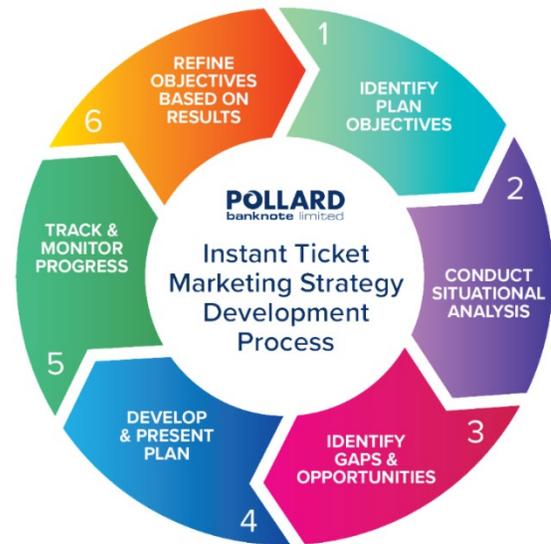
Pollard Banknote only uses established, high quality transport companies. Deliveries are made in exclusive-use trucks that are consistently tracked so Pollard Banknote personnel can follow the truck's progress from point of origin to destination. Bonded drivers deliver the loads, and packages are prepared to avoid any problems during shipping.

All loads are fully insured. Pollard Banknote assumes the ownership, risk, and responsibility for the safety and security of the tickets throughout manufacturing, delivery, and storage. Our personnel handle all aspects of the shipping process. Our designated Account Coordinator for the West Virginia Lottery, Skiler Polkowski, will notify the customer of all information regarding shipping and delivery. The information is sent by telephone and email.

## POLLARD BANKNOTE’S STRATEGY AND DEVELOPMENT SUPPORT PROCESS

Pollard Banknote’s six-step process is designed to lead us in the development of instant ticket game plans, including game need analysis and game planning assistance, as well as marketing strategies and services. Our process can be applied to any marketing deliverable for the Lottery, including the preparation for quarterly reviews and State of the State meetings, the development of new game strategies, and the execution of other ad hoc analyses requested by the Lottery.

To provide the Lottery with more information about our Marketing Strategy Development Process, we have used the example of preparing for the Lottery’s annual State of the State, which draws on our quarterly review and refinement sessions. The example below outlines each step in our six-step process.



### 1. Identify Lottery Objectives

At the outset of the planning process, we typically meet with the Lottery to gather information about its specific goals and interests for the coming fiscal year. This meeting helps to facilitate the development of a plan to achieve the specific and targeted objectives for the yearly State of the State review.

Throughout the process, we maintain a continual dialogue with the Lottery to consult on the state of the plan and refine the objectives.

### 2. Conduct Situational Analysis

We work with our clients to achieve the best analysis available specific to their market. For the West Virginia Lottery, for example, our situational analysis would consider national and regional industry trends, as well as global trends that may be of interest, with a focus on trends judged most applicable for your market, and a comparison of each showing any potential gaps that may affect the Lottery. We also look to other U.S. lotteries, with a focus on the Top Ten, for best practices and insights that could be implemented in West Virginia to help the Lottery achieve its goals.

Our analysis leverages information and insights generated from SMART™, our proprietary market research tool and its prize structure analysis capabilities and new promotion monitoring functionality, as well as other available primary and secondary research data to provide a comprehensive look at the current state of the Lottery and opportunities to explore.



Our Insights & Analytics team, led by Darren Perche, Director, Insights & Analytics, will use various data sources, including the Lottery's sales data, La Fleur's data, NASPL matrix, and Scarborough research, to develop a situational analysis for the Lottery. The analysis will include key measures and indicators such as:

- Regional industry trends
- Key demographic and economic indicators
- Lottery sales and net revenue (multiple-year comparison by product, by price point, per capita sales, etc.)
- Games launched (multi-year comparison)
- Prize payouts by price point
- Review of game mechanics and themes by price point
- Retail strategies and trends
- Comparisons of jurisdiction-specific data to comparable jurisdictions
- Top-performing lotteries' average and overall average

### **3. Identify Gaps & Opportunities**

Following the completion of the situational analysis, the Insights & Analytics team will share its preliminary findings with the Dedicated Account Team, who will use their knowledge of the Lottery to narrow the focus to several key areas that present the most valuable opportunities for the Lottery.

Once the Insights & Analytics team has homed in on the topics/objectives identified by both the Dedicated Account Team members and the Lottery, they will leverage comparative data from other top performing lotteries and our collective knowledge of winning strategies from other jurisdictions to identify potential gaps and opportunities for the West Virginia Lottery to consider. This exercise will refine the actionable objectives that will be presented to the Lottery.

### **4. Develop & Present Plan**

In addition to regular consultation and planning sessions, we typically present quarterly reviews to the Lottery at the lottery headquarters. Following the presentation, we would discuss the plan with the Lottery to take into consideration any feedback from the Lottery and make adjustments as necessary.

For the West Virginia Lottery, we anticipate holding the State of the State session at the same time as the fourth quarter review. However, we are happy to hold these sessions at different times, if required by the Lottery.



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## 5. Track & Monitor Plan Progress

Throughout the year, key members of our marketing team share information and serve as resources for the Lottery. They will share industry success stories and winning strategies from the U.S. and around the world for strategic consideration and planning; evaluate research results available from the Lottery's market, and factor these results into the recommendations for upcoming plans; evaluate Pollard Banknote's available marketing and retail innovations, licensed games, or other proprietary product offerings for the Lottery's consideration; and make appropriate recommendations for the Lottery's specific market.

Quarterly review sessions offer a formal opportunity to track our process and refine strategies based on learnings from West Virginia and the overall industry gained throughout the year.

## 6. Refine Objectives Based on Results

Following the State of the State, our team will consult with the Lottery to evaluate and refine objectives for the coming year and incorporate them into quarterly and annual plans. This discussion will drive any changes to strategic planning, which will be updated for the upcoming year.



### **4.1.3 Standards:**

#### **4.1.3.1. Ticket Sizes and Orientation:**

*The Vendor MUST produce tickets of varying sizes and the Lottery may require tickets in both horizontal and vertical formats.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ. We have printed instant tickets as small as 2" x 2.05" and as large as 8" x 24".

##### **4.1.3.1.1.**

*The size of the tickets MUST be four (4) inches on the perforated side to accommodate the Lottery's display and dispensing units. Ticket length may range from two (2) inches to twelve (12) inches in length. Currently the Lottery utilizes tickets with lengths of two and a half inches, four inches, five inches, six inches, eight inches and ten inches.*

*The Vendor MUST NOT prohibit the Lottery from producing oversized tickets.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.3.2. Ticket Numbering:**

*Each instant lottery game ticket MUST bear a unique sequential number (inventory control number) that identifies the ticket printed on the back and/or the front of the ticket. Numeration and number location MUST meet the specifications set forth in the Lottery's Working Papers. This ticket number MUST NOT be duplicated in the game as a whole and include the:*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ. All games/tickets will adhere to the numbering requirements included in the following sections of the RFQ:

##### **4.1.3.2.1. Instant Lottery Game Number:**

*Each instant lottery game WILL be assigned a unique number by the Lottery in the game Working Papers.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.3.2.2. Pack and Ticket Identification Numbers:**

*Each pack and all instant lottery game tickets within the pack MUST bear a unique pack identification number for use in controlling ticket distribution and accounting. The Vendor's programming and procedures MUST be adequate to ensure that: The pack number is the same on all tickets within a given pack; The pack number is never duplicated within that game; The ticket numbers are consecutive within the pack; and No breaks or omissions in ticket numbers exist within the pack.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.3.2.3. Check Digit Numbers:**

*A check digit MUST be part of the ticket number and be determined by a secure algorithm.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.3.2.4. Validation Number:**

*Each ticket MUST possess a unique validation number to be used for winning ticket claims validation and reconstruction of lottery game ticket numbers, letters, or symbols that have become mutilated or unreadable. The successful Vendor shall provide any needed documentation for the Gaming System and Services vendor of record and any promotional or third party to process all tickets as needed. The validation number MUST be covered with a protective coating or be covered. Tickets MUST each have a unique validation number that is non-repetitive in the game, as a whole, and that cannot be related, in any way, to the readable pack number and ticket number on the ticket. Validation and game, pack, and ticket numbers MUST be applied with inkjet imager(s), or a similar printing method.*

*The validation number MUST "float" or be "non-locational" unless otherwise denoted by the Lottery. The validation number MUST be re-constructible, generated by algorithms, and MUST NOT aid in the identification of a winner, except using a game-specific algorithm.*

*The Vendor MUST be capable of performing reconstructions upon request by the Lottery and have a process for such in place.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.3.3. Barcodes:**

*Instant lottery game tickets MUST be barcoded on the front and on the back, as specified in the Working Papers for each specific game. The Lottery reserves the right to determine barcode types and locations.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

##### **4.1.3.3.1.**

*The barcode MUST be printed and contain a game number, pack number, ticket number. A barcode may require the validation number and check digit that is read by the point-of-sale equipment for Lottery retailers as a group as well.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

##### **4.1.3.3.2.**

*The barcode MUST meet American National Standards Institute (A.N.S.I.) specifications ([www.ansi.org](http://www.ansi.org)) and achieve a consistent, first-time read rate of ninety-nine (99) percent as a minimum.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

##### **4.1.3.3.3.**

*The Vendor MUST produce full validation barcodes, such as PDF 417 and 2D barcodes, which will be used on the front of the ticket to allow scanning for player ticket inquiry and retailer ticket validation and inquiry. This barcode will be determined by the Lottery and work in conjunction with the Gaming System and Services vendor of record.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

##### **4.1.3.3.4.**

*The Vendor MUST produce tickets with secured variable data and/or barcodes for use in promotional or other endeavors using imported data or codes (i.e. retailer cooperative promotion, gaming system free plays, etc.)*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.



#### **4.1.3.4. Uniform Product Codes:**

*The Vendor will print Uniform Product Codes (UPCs) on the back of tickets as specified in each game's Working Papers. Each game MUST have a unique UPC that MUST be procured by the Vendor. The cost of the UPC MUST be incorporated in the basic cost-per-thousand price quote on the PRICING PAGE. The Lottery is currently registered with the EAN.UCC and has an existing company prefix.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

##### **4.1.3.4.1.**

*UPCs MUST be of high quality and capable of being read by every Lottery retailer's UPC scanning equipment. The Lottery will continue to evaluate barcodes used based on retailer scan and point-of-sale equipment.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.3.5. Retailer Validation Codes:**

*Retailer codes MUST consist of three alpha characters placed in separate locations under the scratch-off covering of each ticket and indicate a winner or non-winner. The Retailer validation code letters MUST be non-locational or "float" in the play areas and MUST be positioned, with respect to the overprint design, in locations that minimize "pick out" techniques. Such codes should clearly indicate to retailers whether or not the ticket is a winning ticket when "sight validated." Only winning tickets up to and including \$600 WILL use winning codes. Non-winning tickets and winners over \$600 specified in the Working Papers MUST use the approved alpha characters in the required codes in unique combinations with the following restrictions: vowels A, E, I, O, U and the consonant T MUST NOT be used. The retailer validation codes MUST be standard and in compliance with specifications set forth in the Working Papers for each game.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.3.6. Other Markings:**

*The Vendor may be required to print Lottery logo(s), shaded price points, shaded game names, and other markings on ticket fronts and/or backs as required by the Lottery.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.



#### **4.1.3.7. Shelf Life:**

*Instant lottery game tickets MUST be easily "scratched" or revealed and remain readable and in good condition regardless of environments encountered in normal handling, storage, and usage for a minimum of thirty (30) months from the time they are delivered to the Lottery.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.4 Process Controls:**

##### **4.1.4.1. Digital Production Files:**

*The Vendor MUST provide a digital inventory file identifying all tickets or packs packaged for each game. The inventory file MUST mark as "omitted" those tickets or packs of tickets that are not delivered. The format and size of this file WILL be authorized by the Lottery.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

##### **4.1.4.1.1.**

*The Vendor MUST provide the data within this file for all packs delivered and all prizes for each instant lottery game ticket. This data MUST be sent via Secure Electronic File transfer as required by the Lottery. Production data transported via satellite or land-line, including encryption key transport, MUST be encrypted and transferred using a method approved by the Lottery.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

##### **4.1.4.2. Package Control Manifest:**

*A digital file of all packs manufactured, listed by box/carton/bundle, with omitted packs indicated WILL be provided to the Lottery prior to each game delivery.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.



#### **4.1.4.3. Lottery Inspection of Production Tickets:**

*The Lottery reserves the right to inspect all instant lottery game tickets at the manufacturing site during production of the tickets and all inventories of its tickets, at its option. If a single ticket in any pack or packs fails to conform to specifications, then the entire pack(s) may be deemed to be non-conforming.*

*The Vendor WILL pay for all reasonable and necessary expenses, including travel, meals and lodging for one (1) round-trip, by up to two (2) individuals designated by the Lottery for the purpose of conducting production and/or security inspections at the Vendor's facility. Such site inspections will be conducted on an "as needed" basis determined by the Lottery, but not to exceed three per contract year.*

*If the Lottery does not designate an individual to attend the production of a game, the Vendor MUST overnight a press sheet to the Lottery within one (1) business day of the ticket printing.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.4.4. Unused Materials:**

*A report MUST be provided to the Lottery at the end of production of each game that states the number of pools produced during the production of the game, how many were converted to what number of tickets, less the number of tickets shipped, and the number of omits resulting in an estimate of game waste. The Lottery has provided a game summary report to be used as a guide. Samples of delivery reports and omit manifest listing omitted packs and good packs per box used for auditing purposes are attached. (See Exhibit C)*

*These unused materials MUST be destroyed by shredding or other appropriate methods on the premises of the Vendor. Waste materials cannot leave the Vendor's premises until processed to render them unrecognizable as the Lottery's materials. Destruction of waste tickets and other materials WILL be performed by the Vendor at no cost to the Lottery.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.4.5. Prevent Ticket Compromise:**

*Tickets MUST NOT bear any words, symbols, or numbers that in any way would permit a person to determine the location of a winning ticket. Regardless of the type of ticket design or designs proposed, the final product MUST be tamper-proof by practical means.*

*The Lottery requires that random pool sample live packs be pulled from the actual game print prior to packaging. The game pack range(s) will be provided to the Lottery and the Lottery will determine random sample packs to be pulled from the printing before balancing a game. The samples are then to be sent to the Lottery's Security Office for confirmation and logging. Reconstruction for wins per pack (see Exhibit C) for each pack will be securely provided. These packs will be inspected and tested on the test Gaming System prior to the game launch. The Lottery reserves the right to require the Vendor to reprint any instant ticket game at any time if the game does not pass West Virginia Lottery tests. The Vendor MUST submit sample tickets of each ordered game and game pulse, in accordance with the timelines set forth in the Working Papers. Two of the sample packs per game (or one per pulse if more than two pulses) will be scratched before shipping.*

*West Virginia Lottery physical security standards for instant lottery game tickets require that the tickets not be compromised by: transmitted light, oblique light, thermal, solvents, Ultraviolet light, magnetic viewing, photocopying, infrared, infrared luminescence, cold, water submergence, electrostatic device, microscopic, or any other means found in industry testing. If any tickets printed do not pass West Virginia Lottery test standards, the Vendor MUST either correctly reprint the entire inventory of game tickets, at no charge to the Lottery, in time for delivery set forth in amended Working Papers, or face liquidated damages.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.4.6. Non-Conforming Tickets:**

*The Lottery reserves the right to impose liquidated damages if tickets printed, and subsequently distributed to the field, are later found to be compromised, faulty, of poor print quality, or otherwise fail to meet the requirements set forth in the Working Papers.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.4.7. Incident Reporting/Escalation:**

*The successful Vendor MUST provide a Lottery approved mechanism or procedure to document, report, identify severity, and escalate incidents of defective or compromised ticket received by the Lottery upon contract award. The plan MUST identify the steps the Vendor will take to resolve the identified situation.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.



**4.1.4.8. Inspections:**

*The Vendor MUST allow for inspections authorized by the Director of the Lottery, at unannounced times, for the purpose of determining the working conditions of security systems.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

**4.1.4.9. Production Schedule Compliance:**

*The Vendor MUST provide and adhere to a complete schedule to produce instant tickets. This schedule MUST include generation of the Working Papers for each game, and a sample of the type of schedule being proposed MUST be provided.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

Below is a sample of the type of schedule being proposed to produce instant tickets including the generation of Game Specifications (Working Papers) for each game:

<b>Game Delivery Schedule (Calendar Days)</b>	
Final Game Specifications (Working Papers) signed off by the Lottery	Day 1
Contract color proof sent to the Lottery	Day 4
Contract color proof approved by the Lottery	Day 6
Game programming and pre-press activities completed	Day 16
Printing completed	Day 23
Quality control, packaging, and balancing completed	Day 28
Game ready to be shipped	Day 35
Game Delivered	Day 36

*Note: Games that require additional production time due to their unique nature (e.g., pouched games, Scratch FXtra™) may require extra days, depending upon specifications.*

#### **4.1.5 Printing Specifications:**

*The following subsections provide requirements for the components and construction of the instant lottery game tickets sought by the Lottery. By submitting a bid, the Vendor certifies its ability to meet the requirements in each of the following subsections.*

Pollard Banknote has read and understands the printing specifications noted below. We understand that by submitting a bid, we certify our ability to meet the requirements in each of the following subsections.

##### **4.1.5.1. Industry Tolerance:**

*Subject to normal printing trade tolerances and practices; designs, printing inks, and coatings on the tickets MUST be properly print registered and MUST be free of flaws that are visible without magnification.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

##### **4.1.5.2. Paper/Stock/Substrate:**

*The ticket stock MUST consist of either foil-less or foil-laminated paper stock that may be composed of materials that are recycled, recyclable, or biodegradable. The requirements for composition of each game may vary as specified by game Working Papers.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

- *Foil or Foil Laminate: When required, the foil laminate MUST be coated on the backsides of tickets. The foil may be shiny or dull side out depending upon game specifications contained within the Working Papers.*

Pollard Banknote has read, understands, and can comply with the requirements provided in this section of the RFQ.

- *Recyclable Holographic stock: When required, the backsides of tickets using Holographic-laminated paper cardstock MUST be as specified within the Working Papers.*

Pollard Banknote has read, understands, and can comply with the requirement provided in this section of the RFQ.

- *Paper stock: The ticket stock requirements may be modified within reason, at the discretion of the Lottery, during the term of the contract.*

Pollard Banknote has read and understands the requirement provided in this section of the RFQ.

- *Protective Security Measures: Foil-less paper/paper stock substrates MUST have protective security measures that simulate, or are equal to, those provided by foil-laminated substrates.*

Pollard Banknote has read, understands, and can comply with the requirement provided in this section of the RFQ.

- *Compatibility with Dispensers: The proposed paper, substrates, and layers MUST be compatible with all instant ticket display and dispensing mechanisms used by the Lottery and the Gaming System and Services vendor of record.*

Pollard Banknote has read, understands, and can comply with the requirement provided in this section of the RFQ.

- *Integrity of Stock: The ticket stock MUST NOT curl, separate, or easily split in a manner that jeopardizes ticket security or integrity. The ticket stock MUST resist damage, perforation, and removal of the scratch covering materials during normal handling and dispensing.*

Pollard Banknote has read, understands, and can comply with the requirements provided in this section of the RFQ.

#### **4.1.5.3. Colors and Ink:**

*The Vendor MUST provide the following printing capabilities and notification of printing limitations with respect to the number and types of colors and inks that are used. Additional costs for multiple game inks or processes (dual color or multicolor imaging, metallic-like inks, additional colors, matte finish, four-color ticket back, scented inks, etc.) MUST be stated in the Exhibit A PRICING PAGE. The Vendor MUST address, at a minimum, the following items:*

Pollard Banknote confirms that it can provide the printing capabilities outlined in this section of the RFQ. Additional costs for multiple game inks or processes are stated in the Exhibit A pricing Page. On the following pages, Pollard Banknote has addressed each of the items noted below:

- *Capabilities for full-bleed graphic designs using up to five (5) inks in different colors in the production of instant ticket fronts.*

Pollard Banknote's manufacturing flexibility allows our clients to market virtually any type of ticket. A wide range of press options, combined with the knowledge of our experienced design and manufacturing staff, allow Pollard Banknote to offer an array of full-bleed graphic design options, including up to five (5) inks in different colors, as required by the West Virginia Lottery, in the production of instant tickets.

Depending on the ticket features, additional color options may be available. Our Game Planners and Account Representatives are thoroughly familiar with all possible color combinations, so the Lottery can be confident that the full array of possibilities is presented on a routine basis.

With all of these options—and the thousands of possibilities that CMYK/four-color printing affords—the design possibilities are nearly endless.

- *Capabilities for fluorescent inks.*

Banknote offers a range of striking fluorescent/neon inks that are available for a ticket's base graphics and for the overprint scratch-off material. These inks create a fluorescent effect and accentuate vibrant colors. Our most popular fluorescent/neon inks include Lime Green (pantone 802), Citrus Orange (pantone 804), Coral Red (pantone 805), Bubble Gum Pink (pantone 806), Tennis Ball Green (pantone 809), Mango Orange (pantone 810), and Sunset Pink (pantone 812).

- *Use of marking system, Fluorescent, metallic-like, and scented inks.*

### **Marking System**

Pollard Banknote's translucent marking system has been the premier and industry standard marking system for games like Crossword and Bingo for 25 years, generating billions of dollars for our clients worldwide. Feedback from lotteries and players alike consistently indicates that this marking system offers significantly higher quality and playability for extended play games.

### **Fluorescent Inks**

See previous requirement above. We have numerous neon/fluorescent inks to choose from to enhance the aesthetic appeal of our clients' instant games.

### **Metallic-Like Inks**

Pollard Banknote can offer a range of metallic inks that are available for a ticket's base graphics and for the overprint scratch-off material. We can print silver, gold, and other metallic inks. As an alternative to metallic inks, Pollard Banknote can provide our patented Scratch FX® feature (as described below).

## Scented Inks

We have multiple scented ink options for the Lottery’s consideration. With a wide range of aromas, our scented inks can complement an endless variety of ticket designs.

### *An Award-Winning Innovation*



At the Printing Industries of America 2017 Premier Print Awards, a Pollard Banknote-printed game scented with peppermint received a Certificate of Merit in the “Specialty Inks or Coatings, Fragrances, or ‘Invisible’ Printing Inks” category. The Western Canada Lottery Corporation’s \$5 *Candy Cane Cash Times 10* ticket featured scented ink combined with the sheen of Pollard Banknote’s patented Scratch FX®.



WCLC’s Candy Cane Cash Times 10

- *Capabilities of a minimum of two (2) color printing on the backs of the instant tickets.*

Pollard Banknote can provide a minimum of two (2) color printing on the backs of instant tickets. The front/back ticket color combinations are well known to our Game Planners and Account Representatives, and they would be pleased to share their knowledge with you to ensure each game we print together strikes an ideal color balance on each side of the ticket.

- *Standard black ink color used for the game data on the instant tickets and describing any capabilities for the use of multiple colors.*

Our production personnel have tested and approved red, blue, yellow and green ink in addition to black for printing play symbols/fonts. Any combination of up to four colors is possible to print—symbols can be made up of multiple colors or have multiple different single-color symbols such as all black and all red symbols for a playing card theme game, for example. The color variation can reinforce the ticket’s theme established with the display graphics.

Tickets incorporating our dual and multi-color imaging printing advancement facilitate visually stunning tickets with easy to reference prize legends and appealing multi-color symbols once scratched.

- *Full or spot varnish coatings used to protect the ticket and add gloss or partial gloss.*

Following the imaging of the game data, Pollard Banknote will apply a protective coating of glossy varnish over the play areas and, upon the Lottery’s request, over the book and ticket number on the ticket. The integrity, adhesion, and barrier characteristics of the varnish prevent liquids, solvents, and vapors from attacking the game data. The varnish ensures the tickets cannot be smeared or compromised by any chemical, environmental, mechanical or other known method of invasion.

In addition to the protective varnish coatings, Pollard Banknote can apply a varnish or high-gloss varnish to the entire surface of a ticket, giving it a shiny, sophisticated, and ultimately more appealing appearance.

The aesthetic appeal of some tickets can be further enhanced with the creative use of “patterned” varnish for a subtle, yet high-end look and feel.

- *Processes for holographic, foil, marking system, and scented tickets.*

### **Holographic Tickets**

Pollard Banknote offers Scratch FX® as our holographic stock. Pollard Banknote’s patented Scratch FX® innovation—an industry first—makes scratch tickets sparkle and shine, creating a vibrancy and excitement that cuts through retail clutter. The look—created by a cold foil process—has a visual impact that is above and beyond any other product, outshining foil, holographic foil, and metallic inks. This stunning feature can be applied to both the display and scratch-off areas of a ticket, giving it glitter and glitz that is sure to catch the eye of new and existing players across a wide spectrum of demographics, optimizing the impulse-buy environment and driving sales.

### **Foil Tickets**

Pollard Banknote’s foil products consist of a thin-gauged aluminum foil laminated to either a cover weight board with a single clay coating on one side of the sheet or laminated to the uncoated side of the board to allow for printing of rub-off on both sides. There is an application of a water-based primer to the foil surface to prevent oxidation of the foil and to promote adhesion of the graphic inks. The board product is a virgin board and does not have any post-consumer recycled content. For foil stock, we offer 8-, 10-, and 12-point options.

### **Marking System Tickets**

Our translucent scratch-off material is a mixture of resins and high flashpoint hydrocarbon solvents which, when cured, produce a rubbery texture. The resin is an organic polymer compound. This specialized scratch-off material allows specific imaged symbols to be visible prior to scratching the play area and mark where matching symbols appear by displaying the same symbol on a different background after the area is scratched.

Our translucent scratch-off is applied during the same stage of our manufacturing process when security varnish and scratch-off layers are applied. Following the protective coating of varnish to game play areas, the translucent material is applied to the desired game play area(s) between the application of security scratch-off layers to targeted game play areas and four-color and spot color scratch-off layers.

## Scented Ink Tickets

Pollard Banknote can apply a distinct scent to a scratch ticket that is released with the scratch-off portion of the ticket, adding to its uniqueness and quickly conveying the game's theme. We've printed Mother's Day tickets with a perfume scent, Valentine's Day tickets with a cinnamon scent, Christmas tickets with a peppermint scent, as well as maple syrup and coffee scents. A variety of other scents are available.

### 4.1.5.4. Overprint:

*The Vendor MUST be capable of applying five (5) colors, or full-color overprint colors on each instant ticket's basic stock and five (5) colors, or full-color on the scratch-off covering with minimal "graying" of the colors. If an additional coating(s) of white is needed to achieve color brightness, that cost MUST be included in the base instant lottery game cost per thousand. In addition:*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ. Additionally, and as noted below, we will comply with the requirements presented in 4.1.5.4.1 through 4.1.5.4.7 hereafter.

#### 4.1.5.4.1.

*The design of the overprint MUST be such that all scratch-off cover material is covered by an overprint color and that the overprint inks extend beyond the edges of the rub-off materials into the display area.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### 4.1.5.4.2.

*The overprint MUST be an artistic design and MUST be clear and not blurred.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### 4.1.5.4.3.

*The overprint design MUST complicate various surreptitious pick out methods and contribute to the ability to notice tampering.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.4.4.**

*The border between the rub-off covers/overprint and the uncovered portion of the ticket MUST be clean.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.4.5.**

*Removal of the overprint MUST require a normal scraping pressure to reveal the game data.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.4.6.**

*The overprint MUST be composed of inks that prevent compromise of the materials covering the game data.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.4.7.**

*Solvents used in various compromise methods MUST cause distortion of, or damage to, the overprint inks and/or the rub-off covering materials.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.5. Fonts:**

*All font and barcode generation fees and charges MUST be included in the instant game ticket base cost per thousand. In addition:*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ. Additionally, and as noted below, we comply with the requirements presented in 4.1.5.5.1 through 4.1.5.5.5 hereafter.

#### **4.1.5.5.1.**

*The game data fonts, including those for the play symbols and captions, retailer codes, validation number, ticket number, and inventory control data, MUST be specified in the Working Papers for each game as specified in Section 4.1.7.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.5.2.**

*The game data captions, when required, MUST be such that they clearly define the accompanying play symbol.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.5.3.**

*The fonts and printed symbols MUST be clearly readable with normal vision under normal indoor and outdoor lighting conditions.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.5.4.**

*All game data fonts MUST have the ability to "float," horizontally or vertically, in the imaged area unless specified otherwise by the Lottery.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.5.5.**

*At the discretion of the Lottery, the Vendor may be required to create, modify, or obtain additional fonts for game data used in the play area.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.6. Game Data:**

*The game, or variable, data symbols, captions, retailer codes, ticket numbers, validation numbers, inventory control data, UPC and barcodes MUST be printed in a manner that WILL ensure the integrity of the product. In addition:*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ. Additionally, and as noted below, we comply with the requirements presented in 4.1.5.6.1 through 4.1.5.6.3 hereafter.

#### **4.1.5.6.1.**

*Each data symbol MUST be complete and clearly legible with normal vision and under normal indoor and outdoor lighting conditions.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.6.2.**

*The play symbols MUST not be obliterated in the course of removing the rub-off cover materials, by the application of commonly occurring materials (i.e., perspiration, saliva, water, soft drinks, coffee, etc.) and moderate rubbing with a tissue or other soft object.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.6.3.**

*Additional variable data such as additional barcoding or entry codes may be required for special or promotional tickets.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.7. Data Covering Materials:**

*A scratch-off or other covering material is required on all instant lottery game tickets. The covering MUST be an opaque material that releases during normal cover removal. A translucent, or semi opaque material may be allowed in instances where a player marking system is required (e.g., in some areas of extended play games such as bingo or crossword).*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.5.7.1.**

*The covering MUST be present over all active play data, except where indicated by the Lottery.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.7.2.**

*The validation numbering and any passive data MUST be covered as specified in the Lottery's Working Papers.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.7.3.**

*The material used MUST be smooth and regular to the touch.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.7.4.**

*The material MUST be secured to the ticket and free of voids and scratches that allow the game data to be identified.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.7.5.**

*Normal cover removal MUST NOT result in any damage to, or obliteration of, play symbols or other imaged data.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.7.6.**

*Normal ticket handling MUST NOT result in damage to the data covering materials that result in exposure of play symbols or other imaged data.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.7.7.**

*The material MUST be readily removed in normal environmental conditions and when using typical cover removal tools and techniques.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.7.8.**

*The material MUST visibly show compromise by heat, lifting, or solvents that are used during various compromise techniques known to be used on instant lottery tickets.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.8. Protective Coatings:**

*The production of the tickets MUST include a minimum of a seal coat.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.8.1.**

*The seal coat MUST cover all imaged game data in the play area. The seal coat should be applied after the imaged game data.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.5.8.2.**

*The cover material MUST be easily and cleanly removed from the play area without damage to the game data in the play area.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.8.3.**

*A transparent, water-resistant coating MAY be required over the barcode and the inventory control data on the backs of the tickets.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.8.4.**

*The integrity, barrier, and adhesion characteristics of these coatings MUST be such that the printed data remains readable throughout normal ticket handling, exposure to normal environmental conditions, and during exposures to water, heat and other elements.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.8.5.**

*The Vendor MUST be capable of applying the seal and protective coatings over any play areas of the ticket, if required by game play in the Working Papers.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.9. Background Coating:**

*The areas on which the game data are printed MUST contain a background coating or layer. The background coating or layer MUST be free of voids, scratches, holes or marks that complicate the detection of ticket tampering. The background coatings MUST adhere to the underlying substrate and MUST exhibit obvious damage when alteration or de-lamination techniques are attempted.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.5.10. Perforations:**

*The perforations between tickets MUST allow tickets to be separated from each other in normal handling after one-pre-fold. Tickets MUST NOT break apart during normal handling, nor dispensing from dispensers or vending machines.*

*If an attached stub (which may or may not contain imaged information) to the game ticket or a scored/folded ticket is required, lesser perforation MUST be possible between the ticket and its stub, but perforations MUST NOT break without pre-fold. Perforations may be required within a ticket, especially in the case of an oversize ticket.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.5.11. Multiple Game Imaged Play Areas and Scene/Pulsed Tickets:**

*The Vendor MUST be capable of producing instant tickets with multiple imaged play areas. The Vendor MUST be capable of producing games with multiple scenes sequentially and/or pulses within a game split between quantities within a game. Game play data and images may be required to synchronize with the scene or overprint data.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.5.12. Die-cut Tickets:**

*Tickets that are die-cut to various specified shapes MUST meet the same requirements as specified in Section 4.1.5 of this RFQ regarding printing, imaging, and perforation. Die-Cut tickets 4 inches X 10 inches or smaller MUST be designed so that they can be effectively dispensed by the instant ticket vending machines and dispensers used by the Lottery.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.5.13. Binding:**

*Subject to normal printing trade tolerances and practices, the ticket packs MUST be properly trimmed and slit.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.5.14. Regular Size Sample Tickets:**

*The Lottery requires four (4) packs per pulse per game of regular size voided sample tickets. These tickets MUST be clearly marked as "VOID".*

*Additional sample tickets may be required at various times for promotional purposes or to allow enough samples for scenes as requested by the Lottery. These will be noted in the working papers and cost the same as the ticket printing per square inch per thousand.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.5.15. Retailer Point of Sale Pieces:**

*The Lottery requires from the Vendor a minimum of two thousand (2,000) 4" x 4" and one thousand (1,000) 4" x 5" retailer point of sale (POS) pieces per game per pulse image for use at retail. The POS MUST be printed two-sided; the front side showing a Lottery approved covered art or art elements and the back side showing Lottery approved game information. The display ticket should be approximately 80# coated cover stock, four-color process on the card fronts and black and red or other ink color on the card back. The Lottery may request fluorescent inks, metallic-like inks, holographic process, and/or foil process to better represent the produced corresponding instant game tickets.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.6 Design:**

##### **4.1.6.1. Professional Consulting Service:**

*Vendor MUST provide the professional consulting services associated with the design and implementation of each instant lottery game, the cost of which MUST be included in the quoted base cost per thousand pricing, as no additional charge will be allowed. Services are to include the following:*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ. Additionally, and as noted below, we comply with the requirements presented in 4.1.6.1.1 through 4.1.6.1.9 hereafter.

##### **4.1.6.1.1.**

*Creative design of instant lottery games with Lottery input and approval.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

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**4.1.6.1.2.**

*Creative design of artwork for 4" x 4" and 4" x 5" per game per pulse and occasional posters for retailer promotion/advertising piece featuring key ticket elements with Lottery input and approval.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

**4.1.6.1.3.**

*Development of each instant game in detail, with Lottery approved game design, prize structure, play instructions, and play parameters for defining what constitutes a winning ticket.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

**4.1.6.1.4.**

*All work necessary to produce and print instant lottery tickets, using such confidential control methods as the Vendor has developed.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

**4.1.6.1.5.**

*Development of Printing and Production Schedule, providing updates to the Lottery as they relate to game art, prize structure, working papers, trademark research, rules and regulations, print date, and delivery date throughout the term of the contract.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

**4.1.6.1.6.**

*Coordination of Instant game printing activities with Lottery vendors responsible for Advertising, and Gaming System and Services.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

**4.1.6.1.7.**

*Technical and procedural information as is required for the execution of Instant Lottery games.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.6.1.8.**

*Design of validation data files and procedures for approved instant lottery games necessary and appropriate for the Lottery's, or it's Gaming System and Services vendor, use in the validation of winning lottery tickets, and use for verification in web-based promotions and games.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.6.1.9.**

*All support personnel required by the Lottery for management consultation relating to the above items as needed.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.6.2. Final Artwork:**

*The Vendor WILL provide the final approved native artwork digital files, in a vector format, that show an unscratched version of the ticket and a scratched version of the ticket as well as all point-of-sale created for the game. The latter MUST show a Lottery approved winning combination of the play symbols. Final artwork for each game MUST be provided to the Lottery within five (5) business days of Lottery approval of the final working papers.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.7 Working Papers Specifications:**

*Working papers for each instant lottery game MUST be generated by the Vendor in consultation with, and approval by, the Lottery. The preparation and approval of the Working Papers MUST include the design of the instant tickets, with rough and mechanical drawdowns. Each game ticket production MUST NOT begin until the Lottery has documented its approval of all specifications and returned written approval to the Vendor.*

*Advance schedules for the Working Papers and the production of instant tickets will be established by the Lottery. The Vendor will be required to adhere to all schedules specified in the Working Papers. Deviations to the specified schedules, or timetables, are subject to the written approval of the Lottery and must be approved fifteen (15) business days in advance of the anticipated deviation, unless such deviation is requested by the Lottery.*

*The Working Papers for each game MUST include, at minimum, the specifications for graphic designs, colors, play instructions, text and image fonts, ticket/data layout, ticket paper stock, ticket size, validation and inventory control data and placement, prize structure, shipping and packaging requirements, and the schedule of deliverables to the Lottery. The format is not mandated by the Lottery. Alternative formats will be considered so long as all components of game art, production, and pricing are included. General specifications for all games may be recorded and approved in general customer specification document and excluded from game specific Working Papers is so documented. Specifically, the required details for a game are:*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ. Additionally, and as noted below, we comply with the requirements presented in 4.1.7.1 through 4.1.7.15 hereafter.

##### **4.1.7.1. Graphics:**

*This section contains the artwork for tickets (front) at 100 percent of actual ticket size, unless ticket is larger than 10 inches, and in full color. This section also contains the artwork for the back of tickets at 100 percent of actual ticket size, unless ticket is larger than 10 inches. The artwork is to show the ticket as it would appear with its overprint intact and as it would appear with the overprint removed. The latter version MUST show the actual play symbols, captions, validation numbers, and other information specified to appear under the cover material. The ticket front and back WILL note the press direction to confirm proper ticket back alignment for ease of retailer inventory and selling. The Lottery approved artwork for retailer promotion/advertising pieces featuring key ticket elements will also be included.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.7.2. Prize Structure Description:**

*This section MUST contain a description of all specific prize patterns to be used in distributing prizes in packs and pools, patterns used to distribute play symbols or values, or other specific issues related to allocation of symbols on winning or non-winning tickets as specified and/or created by the Lottery.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.7.3. Detailed Ticket Specifications:**

*This section MUST include:*

- *quantity of tickets ordered.*
- *ticket price*
- *ticket size*
- *pool size*
- *play instructions.*
- *UPC number*
- *scene or "pulse" information*
- *play parameters.*
- *ticket stock description*
- *pack size (quantity, numbering, and fanfold specifications)*
- *perforations*
- *pack insertions, if required*
- *color descriptions*
- *release coat descriptions*
- *overprint descriptions*
- *ticket inventory numbering description*
- *validation code numbering description*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.7.4. Play spot information:**

*This section MUST provide images of the game play symbols and associated captions and other image font(s) information.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.7.5. Retailer Validation Codes:**

*This section specifies the Retailer validation codes for each prize up to and including \$600. These validation codes MUST describe all letters to be printed on non-winning tickets and winning tickets specified by the Prize Structure section of the Working Papers. The Lottery MUST designate these validation codes and their location(s) within the ticket play area.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.7.6. Float:**

*This section MUST indicate whether a game is to be produced with a "floating image" play area and the direction of the float.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.7.7. Prize Structure Confirmation:**

*This section describes the prize structure and MUST accommodate the signature of the Director of the Lottery. The Director's signature or his designee MUST constitute authorization for the prize structure to be used in production of the game.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.7.8. Sample Tickets:**

*This section MUST specify the quantity of void regular size sample tickets and retailer promotion/advertising pieces to provide.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.7.9. Pack Labels or Inserts:**

*This section MUST contain specifications regarding special labels, stickers, or inserts to be placed in or on ticket packs.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.7.10. Production and Delivery Schedule:**

*The Working Papers for each game MUST include a production and delivery schedule for that game. Ticket shipments MUST be addressed in terms of quantities of tickets per shipment, their arrival dates, and times at the warehouse of the Lottery's Gaming System Vendor of record {Tuesday through Thursday and between 9:00 AM EST and 3:00 PM EST is MANDATORY to have all personnel needed on hand.}*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.7.11. Shipping:**

*This section may describe any non-standard detailed shipping information, not otherwise detailed later in Part 4.1.9, including but not limited to:*

- *Dimensions of ticket shipping boxes/cartons.*
- *Size and configuration of skids/pallets used to ship tickets.*
- *Description of shipping reports to accompany ticket shipments.*
- *Description of shipping control manifest.*
- *Verification that shipment and validation files that will be received prior to receipt of game tickets and at least fifteen (15) business days prior to game start.*
- *Addresses and contact names to receive all shipped materials and other deliverables.*
- *Verification of the use of sealed trucks for shipment of tickets. Details of any other state lottery shipment to accompany West Virginia Lottery shipments and the security procedures employed.*
- *Specific information regarding the placement of skids of tickets within the trucks.*
- *Specific information regarding the labeling and marking of ticket boxes.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.



#### **4.1.7.12. Order Confirmation:**

*The Working papers MUST contain an order confirmation page that includes, but is not limited to, the following:*

- *Square inches per game ticket,*
- *Game ticket cost per thousand,*
- *Fees or charges for art, photography, specialty printing, etc.,*
- *Quantity of regular game tickets,*
- *Quantity and cost of retailer promotion/advertising pieces ordered, and*
- *Cost for properties or trademarks and associated products licensed through vendor or its subsidiary when applicable.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.7.13. Copies:**

*The Vendor MUST provide 300 ppi or higher resolution PDF working papers. Working papers are to be sent for review and signatures. Executed working papers are to be received by the Lottery within five (5) business days of Vendor's receipt of Lottery approval signatures.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.7.14. Revisions:**

*Working Papers may be revised by the Lottery, or the Lottery may request revised working papers to be delivered for further review prior to signature and execution.*

*Any revisions deemed necessary, after execution, MUST be approved by the Lottery with Vendor documentation of the revision.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.



#### **4.1.7.15. Final Working Papers:**

*Once the Working Papers have been executed, the Vendor MUST provide a set of the final Working Papers to the Lottery. The Working Papers MUST be marked, "Executed," on every page to confirm that specifications contained therein are accepted by the Lottery and by the Vendor, and that the Working Papers MUST be the basis for production of the game. Under no circumstances WILL ticket production begin until working papers are executed.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.8 Game Requirements:**

##### **4.1.8.1. Trademark, Service Mark, and Intellectual Property Search:**

*Vendor WILL conduct a trademark and service mark search for all games used during this contract and prepare a written report of search findings. Said report MUST be completed and submitted to the Lottery before working papers are signed.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

*The Vendor MUST pay the cost of such searches and any related expenses and include such in the instant game ticket base cost per thousand.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

##### **4.1.8.2. Game Rules:**

*The Vendor MUST include a complete set of Game Rules for each game two (2) weeks prior to the game launch date. The Game Rules MUST define:*

- *price of the ticket,*
- *rules of the game,*
- *what constitutes a winning ticket,*
- *validation test necessary to satisfy claims for winning ticket,*
- *West Virginia code specific to play, payment and retailer conduct,*
- *conditions that invalidate tickets, and*
- *limits of liability for misprinted or defective tickets, e.g., replacement of the ticket.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

### **4.1.8.3. Prizes:**

#### **4.1.8.3.1. Validating Winners:**

*Following the official announcement of the close of a game, winning tickets may be validated for up to one hundred eighty (180) calendar days.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.8.3.2. Prize Payouts:**

*High tier prize levels as determined by the Lottery WILL require the ability to determine if a prize payout involves the file claim process. The payout structure MUST support prizes that are cash; merchandise; cash/merchandise; entry chances; free tickets or plays; coupons; and annuity (weekly, monthly, annually).*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.8.3.3. Structure:**

*A prize structure for each instant lottery game WILL be included in the Working Papers. Prize structures WILL be created by the Lottery, or the Vendor with Lottery approval, prior to production of each game. The structure MUST support prize structures for prize tier levels, with numerous subdivisions as determined by the Lottery.*

*The prize structure MUST specify the various denominations of prizes available in the games, the odds of winning prizes, the number of winners per pool, and the cost of such prizes. The prize structure MUST be accompanied by information explaining the game pack and pool size, the odds of winning, and other details of the game.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.8.3.4. Distribution:**

*The Vendor MUST randomly distribute winning tickets throughout the game and throughout each control unit pool without any determinable pattern. Each control unit (pool) MUST be produced using a secure randomization program for a single game. The number of tickets per control unit WILL be specified in the Working Papers for each game and approved by the Lottery.*

*All games MUST be produced using secured programs that produce unique pools within each game and unique games. Randomization programs used for printing tickets MUST be organized such that winning tickets are interspersed among non-winning tickets.*

*Security measures MUST be in place to allow the randomization of winning ticket data and any correlation to the actual ticket identifying numbers. It is the intention of the Lottery to have a limited access and secure process that allows ticket data reconstruction and an end-of-production accounting of the prizes according to the prize structure.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.8.3.5. Prize Patterns:**

*The patterns MUST be determined on a game-by- game basis as described in the Working Papers. There MUST be no consecutive string of non-winning tickets in a pack that will exceed the number limit set by the Lottery for each game.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.8.3.6. Guarantee Per Pack Prize Structure:**

*The Vendor MUST have the capability of creating a Guaranteed Per Pack Prize Structure if such is requested in the Working Papers.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.8.3.7. Warranty on High-Tier Prizes:**

*Based on the total number of tickets received by the Lottery, the Vendor MUST warrant that the number of high- tier prize tickets approved by the Lottery WILL be in the delivered and sellable portion of the game.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.8.4. Prize Validation Number:**

*The vendor MUST use a unique validation number that identifies each game and the tickets therein. The first four (4) digits are the game number, followed by the pack number in the next six digits, and the individual ticket number are the next three digits. The digits are used with a check digit, both on the ticket front and under the scratch covering with or without the validation digits as well.*

*This unique number is barcoded on the back of the ticket representing the game number, pack number, ticket number, and validation number. The barcode on the ticket back is currently a standard interleaved 2-of-5 barcode. Similarly, the front of the ticket will contain a barcode that is readable by the Lottery's Gaming System and Services vendor of record. The Lottery will be looking to optimize the barcoding on both the front and back of its tickets as technology and accounting and inventory procedures change.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.8.5. End Of Production Prize Structure:**

*A detailed end-of-production prize structure MUST be produced and delivered to the Lottery prior to physical ticket delivery for Lottery verification of the prize structure agreement with the validation file. The Vendor MUST provide an exact count of winners by prize tier at end of production.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.9 Shipping and Delivery:**

*The following subsections describe the packing and packaging requirements for tickets, packs, boxes, skids/pallets, and trailers/trucks.*

##### **4.1.9.1. Ticket Packaging:**

*The Lottery reserves the right to supplement or change any ticket packaging requirements identified within the Working Papers for a game.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.9.1.1. Ticket Packs:**

*Each instant lottery game ticket pack WILL contain precisely the number of tickets specified by the Lottery in the game Working Papers and WILL NOT include "void" tickets. Ticket packs:*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ. Additionally, and as noted below, we comply with the requirements presented in 4.1.9.1.1.1 through 4.1.9.1.1.6 hereafter.

##### **4.1.9.1.1.1.**

*MUST be assembled so that the first and last ticket barcodes are visible where specified in the working papers;*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

##### **4.1.9.1.1.2.**

*MUST contain tickets in rows of fan-folded, continuous strips that WILL provide pack integrity and proper control. NO breaks in packs WILL be permitted unless otherwise specified by the Lottery;*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

##### **4.1.9.1.1.3.**

*MUST be assembled to maintain the consecutive order of tickets.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

##### **4.1.9.1.1.4.**

*MUST be individually packaged and MUST be intact upon delivery to the Lottery's warehouse.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

##### **4.1.9.1.1.5.**

*MUST NOT contain more than a minimal amount of shavings, perforation "dust", or other material that falls out upon opening; and*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.



#### **4.1.9.1.1.6.**

*MUST include any promotional cards or other informational materials in or on packs prior to packaging when specified in the Working Papers. Such materials will be designed and produced by the Vendor and with Lottery approval.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.9.1.2. Omissions:**

*If any part of a pack of tickets fails to meet the quality, security, or integrity requirements defined in this solicitation, the entire pack MUST be omitted. Upon contract award the successful Vendor WILL disclose the method by which this requirement will be met (e.g., random testing of tickets during the production run).*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.9.1.3. Packing Order:**

*All packs are to be shipped in reverse sequential order and MUST be appropriately identified on the outside of the shipping boxes.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.9.1.4. Packaging:**

*All packs of instant tickets MUST be packaged so that it WILL NOT experience defects during normal handling and shipping. Packaging MUST be intact upon delivery and the packs MUST be assembled in a uniform manner.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.9.2. Shipping Cartons:**

##### **4.1.9.2.1. Box/Carton/Bundle Labels:**

*Each box/ carton/ bundle WILL have a label that faces outward and indicates the carton number, game name, game number, pack numbers contained therein, and omitted packs in the carton pack sequence. The carton, game name, and game number should be a large and bold font that is easily read at a distance.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.



#### **4.1.9.2.2. Box/Carton/Bundle Size and Strength:**

*Box/ carton/ bundle size may vary based on the ticket size and MUST provide protection from defects during normal handling and shipping, regardless of conditions.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.9.2.3. Taping or wrapping of Ticket Boxes/Cartons/Bundles:**

*All boxes/ cartons/ bundles of instant tickets MUST be taped or wrapped in such a manner that any tampering can easily be detected. The tape or wrap MUST be intact upon delivery.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.9.2.4. Box/Carton/Bundle Weight:**

*All boxes/ cartons/ bundles for a game MUST be of uniform size and MUST NOT exceed thirty (30) pounds when fully loaded. The Lottery requires full packing noting omitted packs on the carton.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.9.2.5. Skids/Pallets:**

*Skids MUST be packed with the lowest carton number on the top layer of the skid, and with the highest carton number on the bottom layer of the skid. The skid/pallet MUST be wrapped. Pallets may not be packed to a height that exceeds the Lottery's Gaming System and Services vendor's warehouse shelving limits.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.9.3. Trailers/Trucks:**

##### **4.1.9.3.1. Skid/Pallet Arrangement:**

*Skids/pallets MUST be arranged on the trailer/truck with the lowest numbered skid in the "nose" of the trailer and the highest numbered skid in the "rear" of the trailer.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.



#### **4.1.9.3.2. Ticket Shipping Security:**

*All trailers/trucks used for transporting packaged instant lottery game tickets and materials MUST be sealed vehicles that are dedicated to lottery ticket shipments (Shipments for lotteries other than those of the West Virginia Lottery are permitted to be included in the same sealed vehicle.)*

*The seal MUST be broken only by authorized Lottery personnel and its Gaming System and Services vendor's warehouse vendor personnel.*

*A seal broken for any other reason will be sufficient cause for rejection of the entire shipment.*

*Should another lottery's shipment be delivered prior to a West Virginia Lottery shipment, it will be the responsibility of the Vendor to insure that the shipment arrives resealed and that such action is noted on the manifest.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.9.3.3. Shipping and Delivery Requirements:**

*Delivery MUST be made in accordance with the delivery schedule specified in the Working Papers for each game. The Lottery requires ticket delivery within forty-five (45) days prior to each game start. Notification WILL be sent to the Lottery at least ten (10) business days prior to delivery to confirm the delivery date.*

*The Vendor MUST specify the methods and carriers by which tickets are to be transported. Carriers MUST be bonded and approved common carriers.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.



#### **4.1.9.3.4. Delivery Tolerance:**

*The Vendor MUST ship the ticket volume for any game ordered to a high accuracy. The Lottery MUST NOT be entitled to decline acceptance of any instant game tickets or game materials solely on the basis that the number of tickets or materials varies from the number specified to be delivered in the Working Papers, if such variance is not greater than or less than five (5) percent of the total amount specified. If non-conforming tickets or materials reduce the available quantity of sellable tickets or materials to less than 95 percent of the amount specified for delivery, the Lottery MUST have the option to request and to require, by written notice, that the Vendor provide replacement tickets or materials within three (3) weeks after such written notification is issued.*

*The Lottery WILL pay only for the amount of tickets or materials ordered in the Working Papers. In the event the actual number delivered is less than the amount ordered, the Lottery WILL pay only for the actual amount. If the actual number delivered is more than the amount ordered, the Lottery WILL pay only for the actual amount received within the allowable five (5) percent print variance.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.10 Security:**

*The following subsections of this solicitation include the Lottery's guidelines for the security measures required for the printing plant(s); the Vendor employees; and for the security of the instant lottery game tickets. All items below must be approved by the Lottery prior to implementation. The Lottery reserves the right to require, at any time, further, and additional security measures as it deems necessary or appropriate to ensure the integrity of the operation of the Lottery.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.10.1. Security Plan:**

*The Vendor MUST submit an overall security plan detailing the method by which it intends to produce, store, and ship instant game tickets. The security plan MUST include, but not be limited to, the following:*

##### **4.1.10.1.1.**

*plant security,*

##### **4.1.10.1.2.**

*validation data security,*

##### **4.1.10.1.3.**

*ticket reconstruction security,*

##### **4.1.10.1.4.**

*game design security,*

##### **4.1.10.1.5.**

*physical ticket testing, and*

##### **4.1.10.1.6.**

*any other elements of security offered.*

*The Vendor MUST fully describe the methods to be employed in the ticket construction to avoid security breaches. The Vendor MUST identify any potential security problems in the type of tickets proposed and MUST specify its method for handling these problems.*

*An understanding of the overriding importance of security in all phases of design, materials procurement, production, transportation, validation, and disposition of game tickets MUST be clearly evident in the proposed plan's procedures, methods, controls, and accounting.*

Pollard Banknote's security plan covers a broad range procedures, methods, controls, and accounting that demonstrate the overriding importance of security in all phases of design, materials, procurement, production, transportation, validation, and disposition of game tickets. Specifically, our security plan covers:

- Plant Security
- Validation Data and Redemption Security
- Ticket Reconstruction Security
- Game Design Security
- Physical Ticket Testing

- Ticket Storage and Delivery Security
- Game Development and Manufacturing Security
- Industry Leading Information Security

With nearly 40 years of experience in producing instant tickets for lotteries around the world, Pollard Banknote is well versed in ticket construction methods to avoid security breaches. We are continuously investigating the latest opportunities and technologies that can improve our processes and overall security of the products we produce for our lottery customers. To stay abreast of the latest protocols and technologies, we attend anti-fraud conferences, and constantly evaluate the latest forensic journals, scientific journals, and media sources to identify new equipment/methods that can be used to compromise tickets, as well as equipment and methods to detect and prevent such fraud.

We work closely with our clients to evaluate any concerns they notice in the market, and work alongside lotteries to develop countermeasures that ensure the absolute security of the product.

If a new method of comprising a ticket is identified, we obtain the necessary equipment required to evaluate the risk. We then evaluate whether the test for that particular compromise method should be added to our regular testing protocol.

On the following pages, we have provided an introduction to our approach to security. Due to the highly sensitive and confidential nature of our security plan, including the methods by which we intend to produce, store and ship instant game tickets, we would be pleased to submit the specific details of our plan upon contract award.

## **SECURITY AT POLLARD BANKNOTE: AN OVERVIEW**

As a secure printer since 1974, Pollard Banknote knows what it takes to manufacture and deliver scratch tickets that meet the Lottery's security standards. With specialization in the scratch ticket industry and the only scratch ticket vendor focused on the lottery business, Pollard Banknote has developed industry-leading security procedures, methods, strategies, an unrivalled internal control system, and a sophisticated approach to detecting and preventing fraud. Our security plan is not static; it is constantly evolving to take advantage of improving technology and practices.

At Pollard Banknote, our approach to security is uncompromising and consists of integrated layers of design, people, and systems. Security is intrinsic in every aspect of our operations, with rigorous controls in place that start with the hiring and training of employees and extend to the selection of raw materials through to delivery of the final product.

Pollard Banknote maintains security standards across all aspects of our business that meet or exceed those of lotteries around the world. Many lotteries belonging to the World Lottery Association (WLA) and the North American Association of State and Provincial Lotteries (NASPL) have approved our security program.

We benefit from the insights of security professionals from across the world who conduct numerous, thorough reviews of every component of our company's security design, and we have benefited from acting upon many of their insights (see graphic below).

This includes an independent audit conducted regularly by MNP, a large full-service accounting, auditing, and business advisory firm in Canada with almost 800 partners and 5,000 team members. Following this audit, in which MNP scrutinizes all components of our manufacturing environment's security, the organization provides us with a report assessing our program.



Our approach to security assures our customers of the integrity and security of working with Pollard Banknote. We are always fine-tuning our program to identify and respond to emerging security concerns.

Security at Pollard Banknote is divided into two main categories, each representing very important priorities within our organization. Physical security, which includes our facilities and the manufacturing process, is led by our Director, Corporate Security, Larry Levasseur. Larry oversees our team of Security Officers, who are collectively responsible for the safety and security of our people and products.

We are also vigilant with respect to our approach to information security, which includes industry-leading security practices and technology. We meet the highest-level standards and ensure our approach protects our customers' data. Led by our Director of Information Security, Darold Smith, we follow internationally recognized IT security standards, which includes ISO 27001 certification as well as lottery industry security standards demonstrated by our WLA Security Control Standard (WLA SCS) certification. We meet, and in many cases exceed, the highest levels of industry accepted security measures for our systems, infrastructure, and data communication.

Our security-minded approach is embedded in everything that we do and focuses on the people, process, and supporting technology, along with the intersections of these three pillars.

## Security Certifications

### ISO 27001

Pollard Banknote's Information Security Management System (ISMS) is certified to the ISO 27001:2013 standard.

ISO 27001 is an internationally recognized standard established by the International Organization for Standardization (ISO). The standard specifies a set of comprehensive security controls and ensures security best practices and a managed approach to information protection—including risk, governance, and compliance. This standard is used to certify that a company's ISMS protects sensitive information of both the company and its customers.



The British Standards Institution (BSI), an independent third-party evaluator and certifier of management systems, performed the initial rigorous certification audit in December 2013. To maintain certification, Pollard Banknote undergoes internal and external independent audits of its adherence to its documented ISMS policies. These audits confirm that each applicable business practice is carried out in alignment with the comprehensive ISO 27001 certification standard. BSI performs the rigorous full recertification audit every three years, most recently in October 2019, as well as surveillance audits annually in the intervening years.

Our ISO 27001 certification covers the management of information security for the generation and handling of game data, printing and packaging of instant tickets, application and development and maintenance activities within Digital Solutions and Lottery Management Services, and iLottery customer support services. A copy of our certification is included in **Appendix B: Corporate Certifications**.

## WLA Security Control Standard: 2020 Certification

To further ensure the security of our products and operations, Pollard Banknote also holds a WLA Security Control Standard: 2020 certification. The WLA SCS—the lottery industry’s only internationally recognized security certification—is designed to assist the lottery sector in obtaining a level of security controls that meet industry-accepted best practices and enable an



increased reliance on the integrity of lottery operations. This standard consists of two main components. The first part builds on the requirements of ISO 27001, with 23 additional controls related to generally accepted information security practices. The second part consists of more than 100 lottery and gaming-specific security, integrity, and risk management controls.

Pollard Banknote’s certification covers management of information security for the generation and handling of game data; printing and packaging of instant tickets; application development, hosting, and maintenance; warehousing, order fulfilment and distribution; gaming solutions and related services; and iLottery customer support services. BSI also performs our annual WLA recertification audits.

We have included a copy of our WLA-SCS certification in **Appendix B: Corporate Certifications**.

### 4.1.10.2. Approval of Security Measures:

*The Vendor's security plan MUST specify the precautions, safeguards, inspections, reporting, and other measures relating to the entire security effort. Failure to provide an acceptable plan to the Lottery will be grounds for cancellation of contract.*

Pollard Banknote confirms that its security plan specifies all precautions, safeguards, inspections, reporting and other measures relating to the entire security effort. Given the highly sensitive and confidential nature of our security plan, we would be pleased to provide detailed information upon contract award. We understand that failure to provide an acceptable plan to the Lottery will be grounds for cancellation of contract.

### 4.1.10.3. Ticket Security Certification:

*The Vendor MUST submit copies of the most recent and applicable laboratory test reports and other certifications assuring the security of the Vendor's instant lottery game tickets against practical compromise by reasonable comprehensive technical effort.*

As required, on the following page, Pollard Banknote has submitted a copy of its most recent and applicable laboratory test report assuring the security of our instant lottery game tickets against practical compromise by reasonable comprehensive technical effort.

In addition, as noted above, Pollard Banknote is certified to the WLA Security Control Standard: 2020 standard. A copy of our certification is included in **Appendix B: Corporate Certifications**.

POLLARD BANKNOTE LIMITED  
**LOTTERY TICKET INSPECTION REPORT**  
for

INTEGRITY STOCK

GAME NAME:  
SERIES:  
DATE:

<b>Method No.</b>	<b>Method Name</b>	<b>Result</b>
5.4	Opacity Reflected Polarized	PASS
17.10	48 hr Oven Aging	PASS
17.11	24 hr Humidity Aging	PASS
17.7	Ticket Separation	PASS
5.1	Opacity Transmitted	PASS
17.68	Job Ticket Comparison	PASS
17.1	Varnish graphic ink adhesion	PASS
8.1	ITC Q-Tip Test	PASS
1.1	Non Treated Lifting	PASS
1.2	Kamar Test	PASS
2.1	Chloroform Symbol Swelling	PASS
2.2	Paint and Varnish Remover Symbol Swelling	PASS
1.3	Solvent assisted Lifting	PASS
1.7	Latex Transfer	PASS
5.2	Reflected Light Readout	PASS
5.3	Ultraviolet Light Readout	PASS
6.0	Microscope Readout	PASS
7.0	Electrostatic Readout	PASS
3.5	Room Temperature Ink Migration (Split)	PASS
3.6	Heated Ink Migration (Split)	PASS
4.1	Transparentization (Split)	PASS
9.0	Latex Thinning	PASS
10.0	Heat Gradient Imaging	PASS
11.0	IR Video Readout	PASS
17.2	Scrape Adhesion	PASS
17.4	Barcode Print Quality	PASS
17.30	Linear Taber Abrader	PASS
19.0	Chemical Contact Test	PASS
1.12	ITC Varnish Lifting	PASS
1.4	Solvent Immersion Lifting	PASS
17.12	48hr Fluorescent Light Aging	PASS
17.13	48hr Heat Lamp Aging	PASS
17.14	Chip Test	PASS
5.8	Infrared Luminescence	PASS
1.19	Heated Lifting	PASS
17.54	ITC Hot Sunlight Submersion/Swell	PASS
17.65	Pinhole Procedure	PASS

COMMENTS:

SIGN-OFFS:



Should the Lottery require any additional information, we would be pleased to submit upon contract award.

#### **4.1.10.4. Ticket Reconstruction:**

*Security and personnel restriction to instant lottery game ticket reconstruction is REQUIRED of the successful Vendor. Upon request by the Lottery, the Vendor MUST provide to authorized Lottery security personnel only, reconstruction of play and validation data of any ticket using either the game, pack and ticket numbers, or a partial validation number. The Lottery will set up secure protocols with the successful Vendor to elaborate on reconstruction of damaged or questionable tickets. Only individuals authorized by the Lottery's Security will be used as contact for this purpose.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.10.5. Game Accounting and Security Review:**

*The Vendor MUST engage a firm of qualified and independent certified public accountants to review the procedures and controls employed by the Vendor prior to production of each lottery game. These audits MUST include at a minimum the following:*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ. Additionally, and as noted below, we comply with the requirements presented in through **4.1.10.5.3** hereafter.

##### **4.1.10.5.1.**

*A sampling for game integrity of the actual digital production files that were used to run the imager used to print the tickets. Audits of intermediate digital files are not sufficient for this purpose.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

##### **4.1.10.5.2.**

*A statistically valid random sampling of finished packs of tickets in the Vendor's plant to determine conformity of the finished actual tickets with the final approved prize structure as signed by the Lottery; and*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.10.5.3.**

*A statistically valid sample detailing mean and maximum strings of consecutive winning and non-winning tickets within pools and within packs. Such report MUST show expected probability of such strings and actual occurrences in one or more randomly selected pools.*

*The Vendor, upon request of the Lottery, MUST be required to furnish all of the actual game production files and audits to the Lottery for review. This information WILL be the basis of a game validation and accounting review.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.10.6. Audit Memorandum:**

*The Vendor MUST supply the Lottery with an Audit Memorandum verifying that a game meets the guidelines as stated in the executed Working Papers. This memorandum MUST be supplied to the Lottery prior to the ticket printing for each game. The pre-press audit MUST be performed by an independent auditing firm that is contracted with and compensated by the Vendor.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.10.7. Certified Public Accountant's Report:**

*The Vendor MUST contract with and compensate an independent auditing firm, in good standing, to perform a complete post-press audit of each instant ticket game, that determines compliance with all elements of the game's executed Working Papers. This report MUST be supplied to the Lottery three (3) weeks prior to the start of game sales.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.10.8. Facility Security:**

*The facility(ies) that produce instant lottery game tickets should be equipped with a complete security that includes, but is not limited to, the following:*

##### **4.1.10.8.1.**

*Window and/or skylight MUST be either under video surveillance or covered by wire mesh;*

Pollard Banknote has read, understands, and complies with the requirement provided in this section of the RFQ.

**4.1.10.8.2.**

*Fire doors MUST be integrated into a burglar alarm system having a direct line to the local "safety services" authorities;*

Pollard Banknote has read, understands, and complies with the requirement provided in this section of the RFQ.

**4.1.10.8.3.**

*Uniform-locking devices equipped with a burglar alarm system for all outside doors;*

Pollard Banknote has read, understands, and complies with the requirement provided in this section of the RFQ.

**4.1.10.8.4.**

*A registration log, or badge access, for all visitors and employees entering and leaving the office and manufacturing areas;*

Pollard Banknote has read, understands, and complies with the requirement provided in this section of the RFQ.

**4.1.10.8.5.**

*Signs in the receiving and loading platform areas that prohibit unauthorized personnel from entering the plant via those access points;*

Pollard Banknote has read, understands, and complies with the requirement provided in this section of the RFQ.

**4.1.10.8.6.**

*Receiving and loading platform areas MUST be monitored by plant security by means of video surveillance;*

Pollard Banknote has read, understands, and complies with the requirement provided in this section of the RFQ.

**4.1.10.8.7.**

*Receiving and loading platforms MUST be kept clear of all materials while not in use.*

Pollard Banknote has read, understands, and complies with the requirement provided in this section of the RFQ.

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**4.1.10.8.8.**

*Limited access to all production areas.*

Pollard Banknote has read, understands, and complies with the requirement provided in this section of the RFQ.

**4.1.10.8.9.**

*Secure doors between office areas and manufacturing areas.*

Pollard Banknote has read, understands, and complies with the requirement provided in this section of the RFQ.

**4.1.10.8.10.**

*Continuous video surveillance of ticket production areas during ticket printing.*

Pollard Banknote has read, understands, and complies with the requirement provided in this section of the RFQ.

**4.1.10.8.11.**

*24-hour, on premise guards during ticket and supporting materials production.*

Pollard Banknote has read, understands, and complies with the requirement provided in this section of the RFQ.

**4.1.10.8.12.**

*Maximum security conditions during the production of Lottery printing plates/films or cylinders, files, and data, and secure storage of such for up to one (1) year when not in use.*

Pollard Banknote has read, understands, and complies with the requirement provided in this section of the RFQ.

**4.1.10.8.13.**

*Delivery of skids/cartons containing Lottery products accompanied by the shipping manifest that is signed by the driver and shipping supervisor.*

Pollard Banknote has read, understands, and complies with the requirement provided in this section of the RFQ.

**4.1.10.8.14.**

*Numbered seals on each delivery truck, with number indicated on the shipping manifest.*

Pollard Banknote has read, understands, and complies with the requirement provided in this section of the RFQ.

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**4.1.10.8.15.**

*Loading areas MUST be free of other shipments, deliverables, bales, trash and the like during the loading operation with enclosed loading areas preferred; and*

Pollard Banknote has read, understands, and complies with the requirement provided in this section of the RFQ.

**4.1.10.8.16.**

*Accounting and video surveillance of the disposal of all scrap/unusable game materials by shredding.*

*The Lottery requires alternative security measures that substantially conform to the basic security requirements indicated in the sections above. Significant deviations in any aspect of the security plan, from the standards of effectiveness required by the Lottery, may be sufficient cause for potential termination of contract award.*

Pollard Banknote has read, understands, and complies with the requirements provided in this section of the RFQ.

**4.1.10.9. Employee Security:**

*This subsection is applicable to the Vendor and to any of its subcontractors. The Lottery MUST be advised as to the procedures adopted to ensure that Vendor employees, who are involved in the production of the instant lottery game tickets, are precluded from ascertaining or being knowledgeable of packs containing winning tickets. Vendor personnel MUST wear photographic identification badges at all times. In addition, it is required that the Vendor's employees are subject to annual background investigations and bonding by the Vendor.*

Pollard Banknote has read, understands, and complies with the requirements provided in this section of the RFQ.

#### **4.1.10.10. Prize Restrictions:**

*The Vendor MUST agree and acknowledge that its employees, officers, subcontractors, and their immediate family members residing in the same household, are restricted from wagering, winning or gifting in any Lottery instant lottery games.*

*The Vendor MUST agree to convey this restriction to its employees, officers, and subcontractors and maintain documentation to this effect.*

*The Vendor MUST use all reasonable resources to exert its best efforts to enforce this restriction.*

*The Vendor MUST further acknowledge that failure of any employee; officer; subcontractor; or their family members, to comply with this restriction, WILL result in forfeiture of any winnings and/or the termination of the offending officer, employee, or subcontractor.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.10.11. Security Breach:**

*Upon discovery of any breach of security experienced by the Vendor during the term of this contract, especially that of theft or disappearance of any paper stock, tickets, waste, printing plates, imagery data files, program digital files, or the like, the Vendor MUST immediately notify, by telephone, the Lottery Director, or his designee. This contact MUST be followed by written notification detailing the specifics of the occurrence and what steps have been taken to remedy the problem.*

*The Lottery MUST be the sole judge of the adequacy of the steps taken and reserves the right to specify other steps to be taken.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.11 Marketing:**

*The Vendor WILL be required to provide ongoing assistance in the marketing of instant game products.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

##### **4.1.11.1. Game Introduction Plans:**

*The Vendor MUST provide assistance and recommendations for planning game introductions, number of tickets to order, pricing of tickets, types of games needed, prize structure development or completion, ticket art changes, and optimal product mix upon request.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.



#### **4.1.11.2. Planning and Concept Testing:**

*The Vendor MUST host meetings to plan future games with the Lottery. These planning sessions MUST occur at least twice a year. The Vendor MUST provide a sales analysis to include the past year's instant games at minimum indicating relative performance and suggestions to improve future games or schedules. The Vendor MUST be responsible for travel costs for two (2) Lottery personnel when these meetings are held at the Vendor's location(s).*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

##### **4.1.11.2.1.**

*At a minimum, the Vendor MUST be represented by an account representative.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ. Please refer to **3.2 Required Staff Assignments** for more information on Matthew Isaac, Senior Director, Lottery Marketing, who will act as the account representative and lead the Dedicated Account Team for West Virginia Lottery.

##### **4.1.11.2.2.**

*The Vendor MUST provide instant ticket concept art for web testing as scheduled by the Lottery (once per year.)*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

##### **4.1.11.2.3.**

*The Vendor MUST prepare approximately twenty-eight (28) proposed ticket digital mock-ups for concept testing including covered and uncovered art. The final list of games to be tested will be approved by the Lottery.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.12 Disaster Recovery:**

*In the event of irreparable damage at the primary printing facility, or of an unplanned, extended abandonment of the primary printing facility, the Vendor MUST provide at no additional cost those facilities and other components necessary to resume Lottery instant lottery game ticket production. Such facilities and other components MUST be operational within thirty (30) days after the disaster and/or abandonment. Until a permanent primary printing facility can be re-established, substitute facilities MUST meet Lottery-approved environmental and security measures.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.13 Rights to Intellectual Property:**

*The Lottery will be leasing or purchasing rights to use materials or processes that may be deemed the intellectual property of the Vendor or third-party entities. Such properties include, but are not limited to: products, processes, names, and/or graphic renditions that are trademarked or copyrighted, stock photography, personalities, specialty type-fonts, barcode placements, and commercial themes that are not in the realm of public domain.*

Pollard Banknote has read and understands with the requirements provided in this section of the RFQ.

##### **4.1.13.1.**

*The Lottery may require the Vendor to procure the rights for use of copyrights, brand names, intellectual property, etc. on behalf and at the behest of the Lottery. The Vendor then MUST cost all fees, without mark-up, solely for rights to the use of intellectual property separately for each instant lottery game. Such costs MUST be listed as additional line items in the working paper confirmation page for payment approval and invoice should be provided for confirmation.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

##### **4.1.13.2.**

*The Lottery may negotiate an amendment with the Instant Game Printing Vendor of record to produce games where the product, technology, or process desired for games is trademarked, copyrighted, introduced, or implemented by the Vendor of record and must be obtained outside of the scope of this Solicitation.*

*This excludes any licensed property or program which may be directly licensed to the Lottery from a third party vendor.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.



#### **4.1.14 Ownership of Materials:**

*All materials and data exclusively produced for first use by the Lottery under the Contract MUST be deemed the Lottery's work product and MUST not entitle the Vendor to additional financial considerations, unless otherwise agreed to in writing by the State.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

#### **4.1.15 End of Contract Transition:**

*It is contemplated that the Lottery, approximately six (6) months prior to the expiration of the Contract resulting from this Solicitation will award a new contract for instant ticket printing and services. The parties understand and agree that the Lottery may utilize the last one hundred eighty (180) days of the Contract resulting from this Solicitation or renewal thereof for conversion. The Vendor MUST cooperate fully and in good faith in the conversion, which may or may not involve other vendors. If a subsequent contract is awarded to a different vendor, then the current Vendor of record MUST continue in paid obligation to complete end of game audits and reporting, any web and/or mail-in based drawings, ticket reconstructions, and other obligations regardless of contract end.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.16 Record Retention (Access and Confidentiality):**

*Vendor shall comply with all applicable Federal and State rules, regulations, and requirements governing the maintenance of documentation to verify any cost of services or commodities rendered under this contract by the Vendor.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

##### **4.1.16.1.**

*The Vendor shall maintain such records a minimum of five (5) years and make such records available to Lottery personnel at the Vendor's location during normal business hours upon written request by the Lottery within ten business (10) days after receipt of the request.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.



#### **4.1.16.1.1.**

*Vendor shall have access to private and confidential data maintained by the Lottery to the extent required for the Vendor to carry out the duties and responsibilities defined in this contract. Vendor agrees to maintain confidentiality and security of the data made available and shall indemnify and hold harmless the State and the Lottery against any and all claims brought by any party attributed to actions of breach of confidentiality by the Vendor, subcontractors, or individuals permitted access by the Vendor.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

#### **4.1.16.1.2.**

*The Vendor SHALL maintain technical and logistical records relative to the Contract for a period of three (3) years after the end of the Contract. Records MUST include, but are not limited to, graphic art files for the games, ticket and validation number algorithm information, and production and shipping records.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.



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## 5. Contract Award

### 5.1. Contract Award:

*The Contract is intended to provide Lottery with a purchase price for the Contract Services. The Contract MUST be awarded to the Vendor that provides the Contract Services meeting the required specifications for the lowest overall total cost as shown on the Pricing Page.*

Pollard Banknote has read, understands, accepts the information provided in this section of the RFQ.

### 5.2. Pricing Page:

*Vendor should complete the Pricing Page by determining the cost per square inch per one thousand tickets for the base ticket requirements and the additional processes or finishes. Vendor must complete the Pricing Page in full as failure to complete the Pricing Page in its entirety may result in Vendor's bid being disqualified.*

Pollard Banknote has read, understands, accepts the information provided in this section of the RFQ. As required, we have completed the Pricing Page per determining the cost per square inch per one thousand tickets for the base ticket requirements and the additional processed or finished. Please see Pollard Banknote's completed **Exhibit A Pricing Page** accompanying this response.



## 6. Performance

*Vendor and Lottery MUST agree upon a schedule for performance of Contract Services and Contract Services Deliverables, unless such a schedule is already included herein by Lottery. Vendor MUST perform in accordance with the release orders that may be issued against this Contract.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.



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## 7. Ordering and Payment

### 7.1. Ordering:

*Vendor shall accept orders through wvOASIS, regular mail, facsimile, e-mail, or any other written form of communication. Vendor may, but is not required to, accept on-line orders through a secure internet ordering portal/website. If Vendor has the ability to accept on-line orders, it should include in its response a brief description of how Agencies may utilize the on-line ordering system. Vendor shall ensure that its on-line ordering system is properly secured prior to processing Agency orders on-line.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ. We note that Pollard Banknote does not currently have the ability to accept online orders.

### 7.2. Payment:

*Lottery shall pay the cost per square inch per one thousand for delivered tickets and point of sale, as shown on the Pricing Page, for all Contract Services performed and accepted under this Contract. Vendor MUST accept payment in accordance with the payment procedures of the State of West Virginia.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.



## 8. Travel

*Vendor MUST be responsible for all mileage and travel costs, including travel time, associated with performance of this Contract. Any anticipated mileage or travel costs should be included in the base cost on the PRICING PAGE, as such costs will not be paid separately by the Lottery.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

## 9. Delivery and Return

### 9.1. Delivery Time:

*Vendor shall deliver orders within forty-five (45) calendar days after working papers are executed. Vendor shall ship all orders in accordance with the executed working papers.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

### 9.2. Late Delivery:

*The Agency placing the order under this Contract must be notified in writing if orders will be delayed for any reason. Any Unapproved delays in the production and delivery of a game may result in the Lottery assessing liquidated damages.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

### 9.3. Delivery Payment/Risk of Loss:

*Standard order delivery shall be F.O.B. destination to the Agency's approved warehousing location. Vendor shall include the cost of standard order delivery charges in its base pricing and is not permitted to charge the Agency separately for such delivery.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.

### 9.4. Return of Unacceptable Items:

*If the Agency deems the Contract Items to be unacceptable, the Contract Items shall be returned to Vendor at Vendor's expense and the Vendor shall be responsible for the destruction of the refused items. Vendor shall make arrangements for the return after Lottery notification that the items are unacceptable. All returns of unacceptable items shall be F.O.B. the Agency's location. The returned product shall either be replaced, or the Agency shall receive a full credit or refund for the purchase price, at the Agency's discretion.*

Pollard Banknote has read, understands, and will comply with the requirements provided in this section of the RFQ.



## 10. Facilities Access

*Performance of Contract Services may require access cards and/or keys to gain entrance to Lottery's facilities. In the event that access cards and/or keys are required:*

### 10.1.

*Vendor must identify principal service personnel which will be issued access cards and/or keys to perform service.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

### 10.2.

*Vendor will be responsible for controlling cards and keys and will pay replacement fee, if the cards or keys become lost or stolen.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

### 10.3.

*Vendor MUST notify Lottery immediately of any lost, stolen, or missing card or key.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

### 10.4.

*Anyone performing under this Contract will be subject to Lottery's security protocol and procedures.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

### 10.5.

*Vendor MUST inform all staff of Lottery's security protocol and procedures.*

Pollard Banknote has read, understands, and will comply with the requirement provided in this section of the RFQ.

## **11. Vendor Default**

### **11.1.**

*The following MUST be considered a vendor default under this Contract.*

#### **11.1.1**

*Failure to perform Contract Services in accordance with the requirements contained herein.*

Pollard Banknote has read, understands, and accepts the requirement provided in this section of the RFQ.

#### **11.1.2**

*Failure to comply with other specifications and requirements contained herein.*

Pollard Banknote has read, understands, and accepts the requirement provided in this section of the RFQ.

#### **11.1.3**

*Failure to comply with any laws, rules, and ordinances applicable to the Contract Services provided under this Contract.*

Pollard Banknote has read, understands, and accepts the requirement provided in this section of the RFQ.

#### **11.1.4**

*Failure to remedy deficient performance upon request.*

Pollard Banknote has read, understands, and accepts the requirement provided in this section of the RFQ.

### **11.2.**

*The following remedies MUST be available to Lottery upon default.*

#### **11.2.1**

*Immediate cancellation of the Contract.*

Pollard Banknote has read, understands, and accepts the requirement provided in this section of the RFQ.



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### **11.2.2**

*Immediate cancellation of one or more release orders issued under this Contract*

Pollard Banknote has read, understands, and accepts the requirement provided in this section of the RFQ.

### **11.2.3**

*Any other remedies available in law or equity.*

Pollard Banknote has read, understands, and accepts the requirement provided in this section of the RFQ.



## 12. Miscellaneous

### 12.1. Contract Manager:

*During its performance of this Contract, Vendor must designate and maintain a primary contract manager responsible for overseeing Vendor's responsibilities under this Contract. The Contract manager must be available during normal business hours to address any customer service or other issues related to this Contract. Vendor should list its Contract manager and his or her contact information below.*

*Contract Manager:*

*Telephone Number:*

*Fax Number:*

*Email Address:*

Pollard Banknote understands that during its performance of this Contract, it must designate and maintain a primary contract manager responsible for overseeing its responsibilities under this Contract. The Contract manager will be available during normal business hours to address any customer service or other issues related to this Contract. We have listed our Contract manager and his contact information below:

**Contract Manager:** Matthew Isaac, Senior Director, Lottery Marketing

**Telephone Number:** 813.957.0755

**Fax Number:** 204.453.1375

**Email Address:** misaac@pbl.com



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## APPENDIX A: BUSINESS CONTINUITY PLAN

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Please see the following pages for Pollard Banknote's Business Continuity Plan.



# **Business Continuity Plan (Public)**

Revision: C

March 30, 2016

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### 1.3 Related Documents

Reference	Document Title	Document Owner
Winnipeg	Emergency Response Plan	Director of Corp. Security Director of Quality, Safety, Environment
Ypsilanti	Emergency Response Plan	Director of Corp. Security Director of Quality, Safety, Environment
Barrhead	Emergency Response Plan	Director of Corp. Security Director of Quality, Safety, Environment
Sault Ste. Marie	Emergency Response Plan	Director of Corp. Security Director of Quality, Safety, Environment

## 2.0 Executive Summary

This Business Continuity Plan provides a management framework for Pollard Banknote Limited to respond to severe unexpected events that could affect the delivery of products and/or services due to its critical business functions being made inoperable. This document forms part of the Company's Business Continuity Management System.

The overall objectives of this plan are to safeguard and recover the company's operational capability during severe unexpected events. This plan has taken into account a number of risks that could have a negative impact on the operations of the company, in particular those which could prevent Pollard Banknote from meeting its business objectives and contractual obligations. Thus, the focus of this plan covers the recovery of all essential business services and not just one particular department or function.

In undertaking a risk and vulnerability analysis, this plan has (i) identified related critical business processes to be protected; (ii) defined acceptable recovery timeframes for each critical business process; (iii) identified potential threat events, their likelihood and business impact; and (iv) defined procedures and resources required to protect and restore each process.

The above analysis resulted in determining five major business interruption scenarios that could adversely affect the delivery of services. These are:

- (i) Unexpected denial of access to production plant for 72 hours;
- (ii) Unexpected loss of functional premises (plant or offices) for an indefinite period;
- (iii) unexpected loss of key staff for 4 weeks;
- (iv) Unexpected loss of functional Information Technology services (data) for 24 hours; and
- (v) Unexpected loss of critical raw materials or supply chain. A number of proposed response strategies and associated procedures have been developed and these are outlined in Section 6.

Four teams have been established to deal with any severe unexpected event and manage response strategies (See sec. 5.2). The teams are to allocate resources to ensure a minimal impact upon the business unit's operations. This plan links with the Company's emergency response management plans relating to specific disruptive events.

All Pollard Banknote senior management teams must be familiar with the contents of this plan and follow its guidance, as appropriate, in a declared disaster. While this plan is designed to minimise the effects of an event upon on-going operations, incidents of a less severe nature are controlled at the appropriate supervisor level.

For the recovery process to be effective, this plan is organised around the team concept as stated above. Appropriate business continuity management training will be provided to all team members and other key staff to assist with regular maintenance and testing of the plan. All suggested improvements will be considered and if accepted, will be tested in accordance with plan guidelines. Finally as other recommendations are completed or as new areas of concern are recognised, the plan will be updated reflecting the current status.

## 3.0 Introduction

### 3.1 Purpose

The purpose of this plan is to enable the sustained execution of mission critical activities for the Pollard Banknote Limited Business Continuity & Recovery Team following a severe unexpected event that prevents delivery of product and/or services.

### 3.2 Scope

The Business Continuity Plan is limited in scope to business continuance and recovery from a serious disruption in activities due to non-availability of Pollard Banknote's resources and/or facilities. This plan is separate from Pollard Banknote's **Emergency Response / Disaster Recovery Plan**, which focuses on the immediate response/recovery of personnel, manufacturing, technology facilities and platforms, such as critical applications, databases, servers or other required technology. Unless otherwise modified, this plan does not address temporary interruptions of duration less than the time-frames determined to be critical to business operations.

The scope of this plan is focused on localized disasters such as fires, floods, and other localized natural or man-made disasters.

### 3.3 Plan Objectives

The objectives of this plan are to:

- Undertake risk management assessments in relation to potential disasters
- Define and prioritise our critical business functions
- Define and prioritise critical business processes for each identified critical business function
- Detail our immediate response to a severe unexpected event
- Detail strategies and actions to be taken to enable us to deliver our services during disruptions
- Provide the means to review and update this plan on a regular basis.

## 4.0 Business Continuity Plan Overview

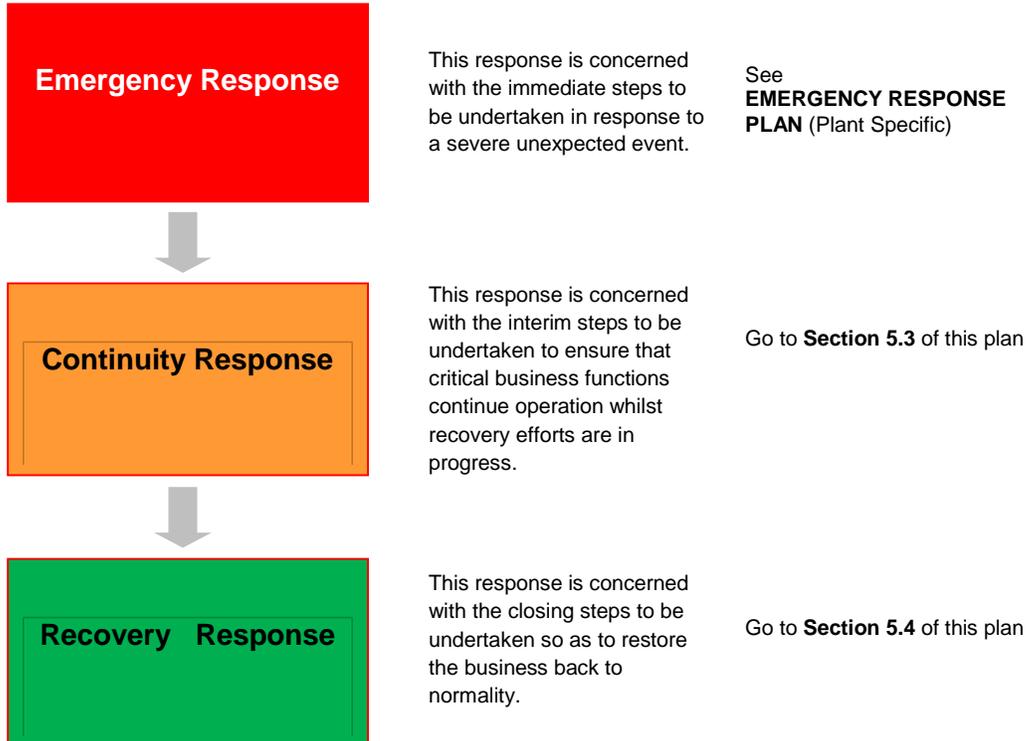
### 4.1 Plan Content

This plan contains information for post-interruption decision-making and Pollard Banknote Limited's response to any disruptive or extended interruption to its normal operations and services. An explanation of the business continuity management terminology used throughout this document is contained in **Appendix 1**. Plan content represents Pollard Banknote Limited's commitment to response, resumption, recovery, and restoration planning which is linked to its objectives and performance indicators as outlined in **Appendix 3**.

This plan provides a framework for the resumption of time-sensitive operations and services in the event of a severe unexpected event caused by natural or man-made occurrences such as fire, severe storms, power or communications blackouts, flood, earthquakes, or civil disturbance. To keep this plan current, each individual responsible for information or materials contained in this plan must ensure that resources are committed to the maintenance of its contents.

## 4.2 Response Strategies at a Glance

This plan is underpinned by the following three response strategies which are detailed in **Section 5**:



## 4.3 Roles and Responsibilities

All Pollard Banknote senior management staff should be aware of those services for which disruption could result in significant loss of operational capacity and/or budget overruns. This plan includes responsibilities and specific tasks for response activities and business resumption operations based upon pre-defined time frames.

Responsibilities will vary in accordance with the nature and scope of the disruption and level of criticality to restore services within defined time frames.

The following tasks have been assigned to specific Business Continuity Plan teams:

- Monitoring service level agreements with external customers.
- Liaise with key stakeholders of the Company, Local Authorities (e.g. Emergency Services, Local Police Force, and Public Health), Community, and Union representatives.

Further details in relation to the teams are listed under **Section 5.2** and their responsibilities are outlined in **Appendix 2**.

#### 4.4 Critical Business Functions and Processes

An assessment of all current business functions has been undertaken and of the business functions attributed to Pollard Banknote Limited, the following have been identified as being critical in order to sustain services during a severe unexpected event:

- Support
- Finance (including purchasing)
- Finishing
- Game Data Generation & Management
- Information Technology (IT) Services
- Lab Services
- Maintenance Group
- Marketing
- Pre-press
- Print Production
- Security
- Shipping/Receiving

Further information in relation to the above and their related business processes may be found in **Appendix 3**.

The approach taken to determine criticality is reflected by **Appendix 4**.

#### 4.5 Risk and Vulnerability Analysis

Based on an analysis of projected financial and reputational impacts (see **Appendix 4.3**) in managing the Company's resources the following scenarios have been identified as most possible to occur.

**Scenario No. 1 Unexpected denial of access to production building for 72 hours.**

**Scenario No. 2 Unexpected loss of functional premises for an indefinite period.**

**Scenario No. 3 Unexpected loss of critical staff for 4 weeks.**

**Scenario No. 4 Unexpected loss of critical Information Technology services (data and voice) for over 24 hours.**

**Scenario No. 5 Unexpected loss of critical raw materials / supply chain.**

An analysis of all critical business functions has identified the associated critical business processes together with the required resources, interdependent functions and treatment plans to ensure that mission-critical activities are maintained in the event of an unexpected severe event occurring. See **Appendix 3** for further details. This information has been used to conduct a Business Impact Assessment which is discussed in the following section.

## 4.6 Business Impact Assessment

The Business Impact Assessment (BIA) undertaken by Pollard Banknote Limited has examined its operations and the level of dependency on human and physical resources in order to deliver its products & services to our customers within specified timeframes (Maximum Allowable Outages).

**Appendix 4** reflects how Pollard Banknote Limited took into account its critical business activities; the impact to its business caused by a disruption; and how long could service delivery survive without performing this activity.

The BIA has confirmed the following departments conduct critical business functions that require to be managed should a major disruption occur:

Ref	Critical Business Function Departments
1	Print production
2	Generation of Game Data
3	Finishing / Packaging of Lottery Tickets
4	Pre-Press
5	Shipping / Receiving
6	Information Technology Services
7	Finance – including Purchasing / procurement of raw material
8	Lab Services
9	Marketing / Client Services
10	Maintenance Group
11	Support Services
12	Security

This plan takes into account existing risk, vulnerability & recovery assessments contained in **Appendix 4**.

Using a scenario-analysis approach, the Business Impact Analysis has evaluated a number of natural and man-made disaster types and has identified a number of potential disruption threats to Pollard Banknote's business operations. These are dealt with in the following section.

## 5.0 Response Procedures and Logistics

### 5.1 Plan Activation - Delegated Authority

The Pollard Banknote Executive Team has delegated authority to activate (and test) this plan as outlined in the following sections.

The Senior Plant Management is required to escalate incidents that are of a critical nature to the Executive Vice President of Operations (or alternate Executive VP) as soon as practical of the incident occurring.

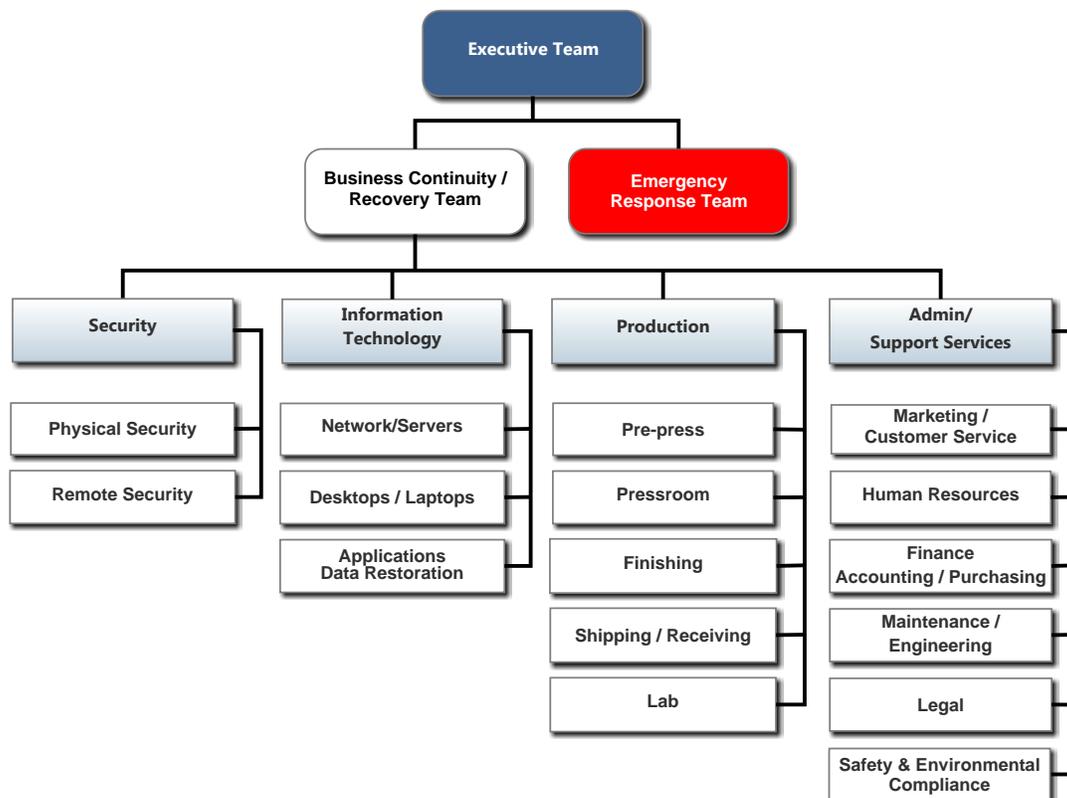
The above authority will remain in force until otherwise advised by the Pollard Banknote Limited Executive Team.

### 5.2 Business Continuity Teams

The following teams have been formed to carry out the requirements of this plan and their composition will be reviewed at least annually or when staff changes have occurred:

- Executive Team
- Emergency Response Team
- Business Continuity & Recovery Team (Security, IT, Production, Admin., Support Services)

Depending upon the severity and impact of an event, some staff may be required to join another team in addition to their assigned team during a test or actual plan activation.



## **Primary Business Continuity Support Activities**

The above teams are primarily responsible for the following:

- Act as a communication channel to the Executive VP, Operations.
- Evaluate which recovery actions should be invoked and activate the corresponding recovery teams.
- Evaluate and assess damage assessment findings.
- Set restoration priority based on the damage assessment reports.
- Work with vendors and other suppliers to develop a rebuild/repair schedule.

## **Members' Individual Responsibilities**

- Maintain their personal copy of the BCP.
- Participate in training, review and testing of the BCP.

## **Training**

- Appropriate Emergency Response / Disaster Recovery and Business Continuity Management training will be provided to all team members and their approved substitutes as required.

## **Team Meetings**

- Team meetings will be held on a semi-annual basis.

## 5.3 Continuity Response

Standard operational procedures will remain in force until such time the Executive Vice President, Operations activates this plan. In developing the response procedures the following matters have been identified through the BIA as requiring attention and have been incorporated into the Plans of Action as outlined in **Section 5.3.3**.

- Specific type event mitigation
- Critical information recovery process
- Employee, operations relocation process for events such as destruction of building
- Organizing alternative work areas / recovery sites
- Interdependencies with local officials, institutes, suppliers, etc.
- Housing of critical payroll and financial data
- Additional travel requirements by senior management and/or key staff to ensure service levels are maintained.

### 5.3.1 Emergency Response Procedures

Emergency response procedures are documented in the Pollard Banknote *EMERGENCY RESPONSE PLANS* and reflect the immediate steps to be undertaken by the Emergency Response Team in response to an incident. The Executive VP, Operations (or alternate Executive VP) functions as a control point.

### 5.3.2 Communication Strategy

Following a formal disaster declaration the Sr. Plant Management is designated as principal contact in relation to staff, their immediate families, the media (radio, television, and print), regulatory agency, government agencies, and other external organisations.

This above policy will apply for this plan. Stakeholder list is located in **Appendix 6**. Contact lists are located in **Appendix 5**.

### 5.3.3 Continuity Response Procedures

The procedures outlined on the following pages are the steps to be undertaken to ensure that critical business functions and processes continue to operate while recovery efforts are in progress.

**Scenario No. 1-**

**Unexpected denial of access to Production Building for greater than 72 hours.**

**Assumptions**

Prior to the plan being activated, the Sr. Management advised the Executive Vice President, Operations of the event occurring, what steps were being taken to ensure staff safety, the initial impact and likely duration.

Plan of Action		
<b>Purpose:</b>	To maintain critical business functions in relation to production and service during an event resulting in of loss of access to building for 72 hours.	
<b>Authority:</b>	Senior Manager of Plant will activate the plan.	
<b>Trigger Point:</b>	Within one hour of being informed that access to the building has been denied for 72 hours.	
When	What	Who

**FOR SECURITY REASONS  
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IN THIS VERSION**

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**Scenario No. 2 -**

**Loss of functional premises for an indefinite period.**

**Assumptions**

Prior to the plan being activated, the Sr. Management advised the VP, Operations of the event occurring, what steps were being taken to ensure staff safety, the initial impact and likely duration.

Plan of Action		
<b>Purpose:</b>	To maintain critical business functions in relation to production and service during an event resulting in of loss of access to building for an indefinite period	
<b>Authority:</b>	Senior Manager of Plant will activate the plan.	
<b>Trigger Point:</b>	Within one hour of being informed that access to the building will not be possible for an indefinite period of time.	
When	What	Who
	<p><b>FOR SECURITY REASONS THIS SECTION IS NOT INCLUDED IN THIS VERSION</b></p>	

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**Scenario No. 3 –**

**Unexpected loss of key staff for greater than 4 weeks.**

**Assumptions**

Prior to the plan being activated, the Sr. Management advised the EVP, Operations of the event occurring, what steps were being taken to ensure staff safety, the initial impact and duration (e.g. amount of lost personnel, temporary or permanent).

Plan of Action		
<b>Purpose:</b>	To maintain critical business functions in relation to production and service when unexpectedly losing key personnel for a period of greater than 4 weeks.	
<b>Authority:</b>	Senior Manager of Plant will activate the plan.	
<b>Trigger Point:</b>	Within 4 hours of being informed that key staff will not be available for a period exceeding 4 weeks.	
When	What	Who

FOR SECURITY REASONS  
THIS SECTION IS NOT INCLUDED  
IN THIS VERSION

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**Scenario No. 4 –**

**Unexpected Loss of Information Technology Services for over 24 hours.**

**Assumptions**

Prior to the plan being activated, the Sr. Management advised the VP, Operations of the event occurring, what steps were being taken to ensure staff safety, the initial impact and expected duration of outage.

Plan of Action		
<b>Purpose:</b>	To maintain critical business functions in relation to production and service when unexpectedly losing IT Services for greater than 24 hours.	
<b>Authority:</b>	VP of Information Technology will activate the plan.	
<b>Trigger Point:</b>	Within 2 hours of being informed that IT Services (data transfer) has been lost and may be lost for a period of 24 hours	
When	What	Who
	<p><b>FOR SECURITY REASONS THIS SECTION IS NOT INCLUDED IN THIS VERSION</b></p>	

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**Scenario No. 5 –  
 Interruption of critical raw materials / supply chain.**

**Assumptions**

Prior to the plan being activated, the Sr. Management advised the VP, Operations of the event occurring, what steps were being taken to ensure staff safety, the initial impact and expected duration of outage.

Plan of Action		
Unexpected interruption of critical raw materials / supply chain		
<b>Purpose:</b>	To maintain critical business functions in relation to production and service when unexpectedly losing access to critical raw materials or suppliers.	
<b>Authority:</b>	Executive Vice President of Operations will activate the plan.	
<b>Trigger Point:</b>	Within 24 hours of being informed that ongoing availability of critical raw materials and/or supply has been lost for an indefinite period.	
When	What	Who
	<div style="border: 1px solid black; padding: 20px; width: fit-content; margin: auto;"> <p style="text-align: center; margin: 0;"><b>FOR SECURITY REASONS            THIS SECTION IS NOT INCLUDED            IN THIS VERSION</b></p> </div>	

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## 5.4 Recovery Response Procedures

*The time required for recovery of the functional area and the eventual restoration of normal processing depends on the damage caused by the disaster. The time frame for recovery can vary from several days to several months. In either case, the recovery process begins immediately after the disaster and takes place in parallel with /business continuity/back-up operations. The primary goal is to restore normal operations as soon as possible.*

The Pollard Banknote Executive team will communicate with our insurance advisor as required.

The Pollard Banknote Executive team will work with the Business Continuity/Recovery Team to:

- Deactivate / reactivate staff members and resources as necessary
- Assess current budget position and review budget requirements to restore operations
- Develop budget goals and timelines for recovery
- Keep staff informed
- Communicate with key stakeholders (**see appendix 6**)
- Set priorities and recovery options

### 5.4.1 Restoration of Infrastructure and Services

The timely restoration of infrastructure and services will depend upon the nature and extent of the business interruption and the impact on interdependent stakeholders. However, once the BUSINESS CONTINUITY PLAN is functional, the Recovery Team, under directions of the Pollard Banknote Executive Team, will initiate actions to ensure the following to occur:

- Restore the business critical functions and processes
- Reactivate Communications, IT, and Production Systems
- Monitor the plant's restoration plans.

The timely fulfilment of restoration plans will depend upon the extent of damage caused by the emergency and availability of key staff and infrastructure.

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## 6.0 Maintaining and Testing the Plan

This plan must be regularly reviewed and updated to maintain accuracy and reflect any internal or external changes.

Consider the following points in updating and maintaining the plan:

- Factor staff changes into plan reviews but wherever possible, it would be best to use job titles rather than names.
- Organisational realignments or changes to vendors/suppliers/contractors that impact on the plan should be reflected as soon as they occur.
- After each test review the performance of the plan, highlighting what was handled well and what could be improved upon.

### 6.1 Policy to maintain and test the Plan

This plan is to be regularly tested in accordance with the following schedules.

### 6.2 Updating/maintenance schedule

Changes made during the plan’s initial formulation would be treated as draft changes. Accordingly, details of plan reviews are recorded in the following table after a plan has been approved and distributed to key internal stakeholders.

Review Date	Reason for Review	Changes Made	Authorizing Officer

### 6.3 Plan testing methodology

The following three methods will be used to test the plan in accordance with the plan testing schedule outlined in **Section 6.4**.

**Phase 1 - Passive Walk Through** (to be completed annually)

This phase will help all team members to better understand their roles and responsibilities and will be conducted during team meetings as discussed in **Section 5.2**. Test Modules will be used to ensure a constant and structured approach.

**Phase 2 - Scenario Workshops** (to be completed every 2 years)

A test scenario will be compiled based upon realistic circumstances to each of the scenarios listed in **Section 5.3.3** taking into account the potential threats as reflected by the risk and vulnerability analysis. Key decision makers will be asked to activate the plan and perform their individual roles in order to recover from the scenario.

### Phase 3 - Physical Test (to be completed every 3 years)

Based on the scenario workshops' results, the Physical Test will involve key staff at the recovery site located in the involved plant(s).

Given the extreme level of risk of live testing the corporate IT infrastructure, a live simulation test will not be conducted. However, should circumstances change, consent to conduct such a test must be obtained from the Vice President of IT Services in writing. All requests must be supported by a business case with an accompanying risk assessment schedule.

A Recovery Test Status Report will be produced at the completion of each phase of the test with recommendations for improvement in the short, medium and long term. These are to be linked to the ongoing maintenance program discussed in the preceding section.

### 6.4 Plan testing schedule

The following plan testing schedule will cover the scenarios as listed in **Section 5.3.3** and will be incorporated into business continuity plan meetings and training activities as outlined in **Section 5.2**:

**Scenario No. 1 – Denial of access to building for greater than 72 hours**

**Scenario No. 2 – Loss of functional premises for an indefinite period**

**Scenario No. 3 – Unexpected loss of key staff for greater than 4 weeks**

**Scenario No. 4 – Unexpected loss of IT Services (data) for over 24 hours**

**Scenario No. 5 – Interruption of critical raw materials / supply chain**

#### Plan Testing Schedule

Scenario No.	Test Phase 1	Test Phase 2	Test Phase 3
1	Dates not included		
2			
3			
4			Not being performed
5			

## 7.0 Plan Activation and Deployment

### 7.1 When to activate the Plan?

This plan is to be activated when an unexpected severe event has occurred and the event has adversely affected the conduct of critical business functions as listed under **Section 4.4**. The decision to activate the plan is made once the checklist contained in **Appendix 7** has been completed.

### 7.2 Who can activate the Plan?

This plan can be activated by the Pollard Banknote Executive Team. For Delegated Authority details see **Section 5.1**.

### 7.3 Response procedures

Once this plan has been activated refer to **Section 5.3** for Response Procedures.

### 7.4 Resource utilisation

#### 7.4.1 Budget Implications

Resources to be deployed will depend upon the incident impact level (determined by the plant's senior management group) as outlined below and the available resources. Depending upon the criticality and additional budget requirements, other resources may be approved by the Pollard Banknote Executive Team.

Incident Impact Level	Description	Response	Person responsible for activating Plan
<b>Extreme</b>	<ul style="list-style-type: none"> <li>▪ Financial loss of \$5 million or more</li> <li>▪ International long-term negative media coverage; game-changing loss of market share</li> <li>▪ Significant prosecution and fines, litigation including class action, incarceration of leadership</li> <li>▪ Significant injuries or fatalities to employees or third parties such as customers or vendors</li> <li>▪ Multiple Senior Leaders leave</li> </ul>	<ul style="list-style-type: none"> <li>▪ Incident management team and/or the business continuity management team convene (in person or via teleconference or video-conference) to manage the situation.</li> </ul>	<ul style="list-style-type: none"> <li>▪ EVP, Operations</li> </ul>
<b>Major</b>	<ul style="list-style-type: none"> <li>▪ Financial loss of \$1 million up to \$5 million</li> <li>▪ National long-term negative media coverage; significant loss of market share</li> <li>▪ Report to regulator requiring major project for corrective action</li> <li>▪ Limited lost-time injuries or inpatient care required for employees or third parties</li> <li>▪ Some senior managers leave, high turnover of experienced staff; not perceived as the employee of choice</li> </ul>	<ul style="list-style-type: none"> <li>▪ Response and/or recovery situation monitored by emergency response manager or delegate, with the incident management team and/or other nominated management team alerted and on standby.</li> <li>▪ Hourly situation reports are provided to the incident management team and/or other nominated management team.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Sr. Manager</li> </ul>
<b>Moderate</b>	<ul style="list-style-type: none"> <li>▪ Financial loss of \$250,000 to \$1 million</li> <li>▪ National short-term negative media coverage</li> <li>▪ Report of breach to regulator/authorities with immediate correction to be implemented</li> <li>▪ Out-patient medical treatment required for employees or third parties</li> <li>▪ Widespread staff morale problems and high turnover</li> </ul>	<ul style="list-style-type: none"> <li>▪ Response and/or recovery situation monitored by the incident management team and/or other nominated management team alerted and on standby.</li> <li>▪ Daily situation reports are provided to the incident management team and/or other nominated management team.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Sr. Manager</li> </ul>

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## 8.0 Post - Recovery Activities

### 8.1 Review BCP (Plan vs. Actuality)

This plan is to be evaluated after de-activation by assessing how well the plan has worked by completing and analysing the following questionnaire.

*For each question, insert tick ✓ in the 'Yes' or 'No' box below and insert text as appropriate.*

#### Assessment of Plan Activation

Ref No	Key Point	Yes	No	If answered no to any question, how will the plan be amended or improved?
1	Was the initial Emergency response, including provision of first aid and welfare support (including counselling), effective?			
2	Was communication with relevant staff and emergency services effective?			
3	Was cooperation with key stakeholders effective?			
4	Did this plan address the situation?			
5	Did staff understand their role as identified in the emergency management plan?			
6	Did staff follow the response procedures?			
7	Were staff and key stakeholders' concerns managed effectively?			
8	Were media enquiries managed effectively?			
<b>Evaluation completed by -</b>				
Name:				
Job Title:				
Date:				
Comments:				

### 8.2 Update BCP (Based on continuous improvement - 'lessons learned' or new information)

Based on an analysis of the above questionnaire, any Business Continuity Plan improvements will be documented in the *Pollard Banknote Limited Action Request* system.

Results are to be validated by the Pollard Banknote Executive Team.

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## APPENDICES

### Appendix 1 Terminology of Business Continuity Management

Acronym	Business Continuity Terminology	Definition
<b>BCM</b>	Business Continuity Management	BCM provides for the availability of processes and resources in order to ensure the continued achievement of critical objectives.
<b>BCP</b>	Business Continuity Plan	A BCP is a collection of information and procedures developed, compiled and maintained in readiness for use in the event of an emergency or a disaster. The BCP enables an organisation to manage a major disruption or disaster and resume critical business functions within the required pre-determined time. The relationship of business continuity plans to other plans within the Department is reflected by <b>Appendix 12</b> of the BCM Guidelines.
<b>BCR</b>	Business Continuity Risk	A BCR is an event that could result in an unacceptable and sudden interruption to production or service.
<b>BIA</b>	Business Impact Assessment	A BIA provides analysis of how key disruption risks could affect your business unit's operations and what capabilities are required to manage them.
<b>MAO</b>	Maximum Acceptable Outage	The MAO represents the maximum period of time that your business unit can tolerate the loss of capability of a critical business function, process, asset, or IT application.
<b>R&amp;V</b>	Risk and Vulnerability Analysis	The R&V involves analysing the services your business unit provides, identifying risks that would disrupt the delivery of services and determining whether your business unit is vulnerable to those risks.
<b>RM</b>	Risk Management	RM aims to "manage" (usually reduce) either the likelihood or the impact of a threat.
<b>RTO</b>	Recovery Time Objective	The RTO is the target time set for recovery of an activity, product, service, or critical business process after a business disruption event, or recovery of an IT system or application after a business disruption event.

## Appendix 2 Roles and Responsibilities of Business Continuity Team

The following schedule provides a high level view of the responsibilities of key business unit stakeholders.

Designated Responsible Staff	Responsibilities
<ul style="list-style-type: none"> <li>The business continuity plan owner is responsible for:</li> </ul>	<ul style="list-style-type: none"> <li>Undertaking appropriate BCM training</li> <li>Coordinating basic BCM training, and providing advice and information, for other staff in their area</li> <li>Coordinating the development, testing and review of their business unit's BCP</li> <li>Liaising with the Corporate Incident Response Team as required for reporting purposes to the Executive and the ARC in relation to their BCP.</li> </ul>
<ul style="list-style-type: none"> <li>All Departmental Management staff are responsible for:</li> </ul>	<ul style="list-style-type: none"> <li>Participating as a member of their business unit's BCP team.</li> </ul>

The following supporting schedule identifies designated staff and their specific responsibilities as determined by the Pollard Banknote Executive Team.

Job Title	Designated Team	BCP Responsibilities
1. CO-CEO	Executive Team	<ul style="list-style-type: none"> <li>Maintain stakeholder relations</li> </ul>
2. Executive Vice President, Operations	Management Coordination Team	<ul style="list-style-type: none"> <li>Oversee response strategies</li> <li>Executive Management Representative</li> </ul>
3. VP, Manufacturing	Emergency Response Team	<ul style="list-style-type: none"> <li>Operations</li> <li>Team Leader</li> </ul>
4. Corp. Director of Security	Emergency Response Team	<ul style="list-style-type: none"> <li>Operations</li> <li>Team Leader</li> </ul>
5. Corp. Director of Quality, Safety & Environment	Emergency Response Team	<ul style="list-style-type: none"> <li>Operations</li> <li>Team Leader</li> </ul>

### Appendix 3 Critical Business Functions

PRINT / PRODUCTION (PRESSROOM)			
Physical Location	Winnipeg 1499	Winnipeg 140	Ypsilanti
<b>Critical Activities</b>	Printing, Perforating, Slitting & Folding Product Meeting customer requirements, including product aesthetics, function and on-time deliver	Printing, Perforating, Slitting & Folding Product Meeting customer requirements, including product aesthetics, function and on-time deliver	Printing, Perforating, Slitting & Folding Product Meeting customer requirements, including product aesthetics, function and on-time deliver
<b>Priority</b>	<b>EXTREME</b>		
<b>Resources</b>	<p><b>FOR SECURITY REASONS THIS SECTION IS NOT INCLUDED IN THIS VERSION</b></p>		
▪ People			
▪ Facilities(including building and equipment)			
▪ Technology (including IT systems/ applications)			
▪ Telecommunications			
▪ Vital records (including paper and electronic).			
<b>Interdependent functions</b> (including internal and external)			
<b>Maximum Acceptable Outage</b>	2 Weeks	2 Weeks	2 Weeks

GAME GENERATION	
<b>Physical Location</b>	<b>Winnipeg</b>
<b>Critical Activities</b>	<p><b>Game Gen.</b> Generation of (audited) variable data for the imaging process on a per game basis. Responsible for software that produces specific customer deliverable files such as validation files, EOP reports, 2<sup>nd</sup> chance entry files, etc. on a per game basis. Maintain and support some Computer Operations programs.</p> <p><b>Imager File Creation</b> Create and release imager files for all PBL presses.</p> <p><b>Imager Development Group</b> Create fonts and imager job configurations that translates variable data out of Game Gen. to imager files for the variable data for the imaging process on a per game basis.</p> <p><b>Data Generation</b> Generate game data and forward to Internal / External Auditors for approval.</p> <p><b>Internal Audit &amp; Software Acceptance</b> Provide quality assurance and verifications on the data, fonts, and Imager job components coming out of the Game Generation and IDG processes.</p> <p><b>Game Prize Structure Balancing / Customer Deliverables</b> Run balancing programs to ensure the prizing in the final delivered ticket quantity meets with customer requirements. Provision of other deliverables (e.g. validation files, EOP reports, 2<sup>nd</sup> chance entry files) to customer.</p>
<b>Priority</b>	<b>EXTREME</b>
<b>Resources</b>	<div style="border: 1px solid black; padding: 20px;"> <p style="font-size: 1.2em; margin: 0;">FOR SECURITY REASONS THIS SECTION IS NOT INCLUDED IN THIS VERSION</p> </div>
▪ People	
▪ Facilities(including building and equipment)	
▪ Technology (including IT systems/ applications)	
▪ Telecommunications	
▪ Vital records (including paper and electronic).	
<b>Interdependent functions</b> (including internal and external)	
<b>Maximum Acceptable Outage</b>	2 Weeks

<b>FINISHING</b>			
<b>Physical Location</b>	<b>Winnipeg</b>	<b>Ypsilanti</b>	<b>Barrhead / SSM</b>
<b>Critical Activities</b>	Finishing and packaging of Lottery Ticket products. <ul style="list-style-type: none"> <li>• Plastic Pouches,</li> <li>• On-serting,</li> <li>• Cut to singles.</li> </ul>	Finishing and packaging of Lottery Ticket products.	Finishing and packaging of Lottery Ticket products.
<b>Priority</b>	<b>HIGH</b>		
<b>Resources</b>	<p><b>FOR SECURITY REASONS THIS SECTION IS NOT INCLUDED IN THIS VERSION</b></p>		
▪ People			
▪ Facilities(including building and equipment)			
▪ Technology (including IT systems/ applications)			
▪ Telecommunications			
▪ Vital records (including paper and electronic).			
<b>Interdependent functions</b> (including internal and external)			
<b>Maximum Acceptable Outage</b>	2 Weeks	2 Weeks	4 Weeks

PRE-PRESS		
Physical Location	Winnipeg	Ypsilanti
<b>Critical Activities</b>	Conceptual Art Design, Technical Art Design, Game Planning, Plate making Create and provide production specifications for each game Provision of printing plates to pressroom	Technical Art Design, Game Planning, Plate making Create and provide production specifications for each game Provision of printing plates to pressroom
<b>Priority</b>	<b>HIGH</b>	
<b>Resources</b>	<p><b>FOR SECURITY REASONS THIS SECTION IS NOT INCLUDED IN THIS VERSION</b></p>	
▪ People		
▪ Facilities(including building and equipment)		
▪ Technology (including IT systems/ applications)		
▪ Telecommunications		
▪ Vital records (including paper and electronic).		
<b>Interdependent functions</b> (including internal and external)		
<b>Maximum Acceptable Outage</b>	2 Weeks	2 Weeks

SHIPPING / RECEIVING		
Physical Location	Winnipeg	Ypsilanti
<b>Critical Activities</b>	Receive raw materials as per procedure, including inspection and (if necessary) segregation of non-conforming products Product shipped to customers as per specific arrangements (Customer requirements)	Receive raw materials as per procedure, including inspection and (if necessary) segregation of non-conforming products Product shipped to customers as per specific arrangements (Customer requirements)
<b>Priority</b>	<b>HIGH</b>	
<b>Resources</b>	<p><b>FOR SECURITY REASONS THIS SECTION IS NOT INCLUDED IN THIS VERSION</b></p>	
▪ People		
▪ Facilities(including building and equipment)		
▪ Technology (including IT systems/ applications)		
▪ Telecommunications		
▪ Vital records (including paper and electronic).		
<b>Interdependent functions</b> (including internal and external)		
<b>Maximum Acceptable Outage</b>	1 Week	1 Week

IT SERVICES		
Physical Location	Winnipeg	Ypsilanti
<b>Critical Activities</b>	Intranet , Networking infrastructure, Digital Information structure, Servers Appropriate backup of critical data, programs, systems Troubleshooting technical performance issues	Intranet , Networking infrastructure, Digital Information structure, Servers Appropriate backup of critical data, programs, systems Troubleshooting technical performance issues
<b>Priority</b>	<b>EXTREME</b>	
<b>Resources</b>	<p><b>FOR SECURITY REASONS THIS SECTION IS NOT INCLUDED IN THIS VERSION</b></p>	
▪ People		
▪ Facilities(including building and equipment)		
▪ Technology (including IT systems/ applications)		
▪ Telecommunications		
▪ Vital records (including paper and electronic).		
<b>Interdependent functions</b> (including internal and external)		
<b>Maximum Acceptable Outage</b>	1 Day	1 Day

FINANCE	
<b>Physical Location</b>	<b>Winnipeg</b>
<b>Critical Activities</b>	Accounts Payable Accounts Receivable Banking/credit management Bonding facility in place Employee Benefits Foreign exchange management Insurance procurement Invoicing Interest rate management Payroll Pension management Purchasing Securities Filings Stewardship reporting Tax Remittances / Compliance
<b>Priority</b>	<b>HIGH</b>
<b>Resources</b>	<div style="border: 1px solid black; padding: 20px; width: 80%; margin: auto;"> <p style="text-align: center; font-weight: bold; font-size: 1.2em;">FOR SECURITY REASONS THIS SECTION IS NOT INCLUDED IN THIS VERSION</p> </div>
▪ People	
▪ Facilities(including building and equipment)	
▪ Technology (including IT systems/ applications)	
▪ Telecommunications	
▪ Vital records (including paper and electronic).	
<b>Interdependent functions</b> (including internal and external)	
<b>Maximum Acceptable Outage</b>	3 Weeks

LAB SERVICES		
Physical Location	Winnipeg	Ypsilanti
<b>Critical Activities</b>	Maintain raw material approval process Completion of specific testing as required by customer Review processes as required to ensure minimum product security requirements are met Participate in continuous improvement of safety, quality and environmental impact	Maintain raw material approval process Completion of specific testing as required by customer Review processes as required to ensure minimum product security requirements are met Participate in continuous improvement of safety, quality and environmental impact
<b>Priority</b>	<b>MEDIUM</b>	
<b>Resources</b>	<p><b>FOR SECURITY REASONS THIS SECTION IS NOT INCLUDED IN THIS VERSION</b></p>	
▪ People		
▪ Facilities(including building and equipment)		
▪ Technology (including IT systems/ applications)		
▪ Telecommunications		
▪ Vital records (including paper and electronic).		
<b>Interdependent functions</b> (including internal and external)		
<b>Maximum Acceptable Outage</b>	1 Month	1 Month

MARKETING		
Physical Location	Winnipeg	Ypsilanti
<b>Critical Activities</b>	Acquire new customers Client service/support Promotion	Acquire new customers Client service/support Promotion
<b>Priority</b>	<b>MEDIUM</b>	
<b>Resources</b>	<div style="border: 1px solid black; padding: 20px; width: 100%; height: 100%;"> <p style="font-size: 1.2em; margin: 0;">FOR SECURITY REASONS THIS SECTION IS NOT INCLUDED IN THIS VERSION</p> </div>	
▪ People		
▪ Facilities (including building and equipment)		
▪ Technology (including IT systems/ applications)		
▪ Telecommunications		
▪ Vital records (including paper and electronic).		
<b>Interdependent functions</b> (including internal and external)		
<b>Maximum Acceptable Outage</b>	2 Weeks.	2 Weeks.

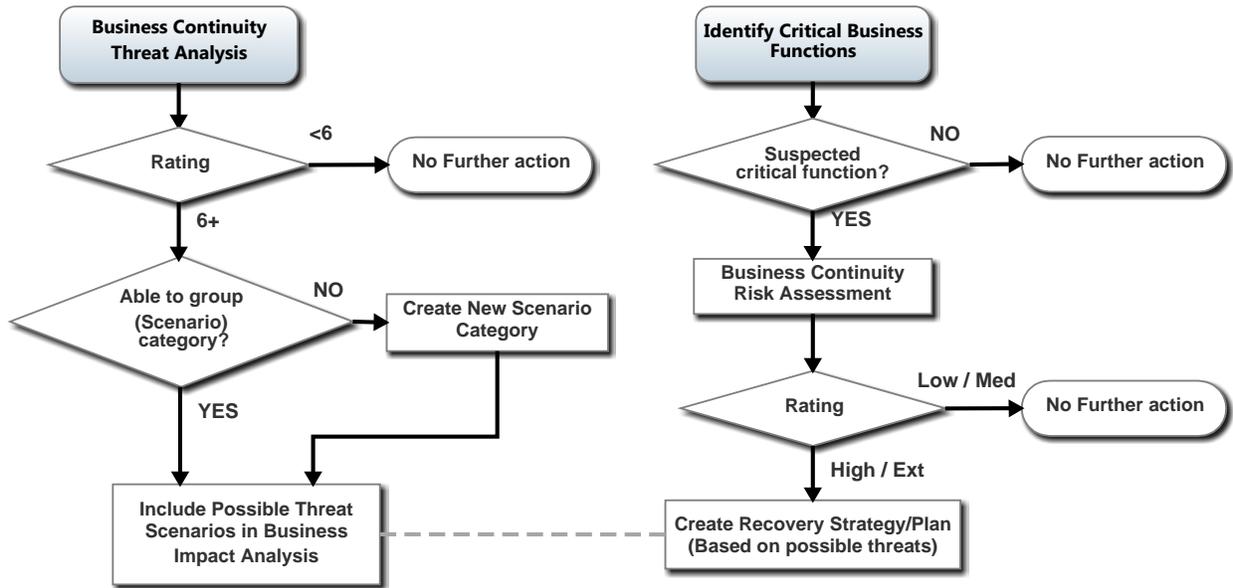
MAINTENANCE		
Physical Location	Winnipeg	Ypsilanti
<b>Critical Activities</b>	Perform preventive maintenance in a manner that ensures machine reliability and peak performance Perform corrective maintenance tasks when required to minimize disruption to manufacturing/business processes Participate in continuous improvement of safety, quality and environmental impact	Perform preventive maintenance in a manner that ensures machine reliability and peak performance Perform corrective maintenance tasks when required to minimize disruption to manufacturing/business processes Participate in continuous improvement of safety, quality and environmental impact
<b>Priority</b>	<b>MEDIUM</b>	
<b>Resources</b>	<div style="border: 1px solid black; padding: 20px;"> <p style="font-size: 1.2em; margin: 0;">FOR SECURITY REASONS THIS SECTION IS NOT INCLUDED IN THIS VERSION</p> </div>	
▪ People		
▪ Facilities (including building and equipment)		
▪ Technology (including IT systems/ applications)		
▪ Telecommunications		
▪ Vital records (including paper and electronic).		
<b>Interdependent functions</b> (including internal and external)		
<b>Maximum Acceptable Outage</b>	1 Week – May be less depending on machine status.	1 Week – May be less depending on machine status.

SUPPORT SERVICES		
Physical Location	Winnipeg	Ypsilanti
<b>Critical Activities</b>	Planning and support of the plant infrastructure, process inputs, thru-put, output, work environment. Performing Reconstructions Hire appropriate talent Coordinate manufacturing (planning, scheduling, communication, etc.) Ensure compliance to applicable regulations (Safety, Health, Environmental)	Planning and support of the plant infrastructure, process inputs, thru-put, output, work environment. Hire appropriate talent Coordinate manufacturing (planning, scheduling, communication, etc.) Ensure compliance to applicable regulations (Safety, Health, Environmental)
<b>Priority</b>	<b>LOW</b>	
<b>Resources</b>	<div style="border: 1px solid black; padding: 20px; width: 100%; height: 100%;"> <p style="font-size: 1.2em; margin: 0;">FOR SECURITY REASONS THIS SECTION IS NOT INCLUDED IN THIS VERSION</p> </div>	
▪ People		
▪ Facilities(including building and equipment)		
▪ Technology (including IT systems/ applications)		
▪ Telecommunications		
▪ Vital records (including paper and electronic).		
<b>Interdependent functions</b> (including internal and external)		
<b>Maximum Acceptable Outage</b>	1 Month	1 Month

SECURITY		
Physical Location	Winnipeg	Ypsilanti
<b>Critical Activities</b>	Provide physical Security Control throughout plants. Provide security services (including incident investigation) for physical building and transport of finished materials.	Provide physical Security Control throughout plants. Provide security services (including incident investigation) for physical building and transport of finished materials.
<b>Priority</b>	<b>MEDIUM</b>	
<b>Resources</b>	<div style="border: 1px solid black; padding: 20px; margin: 0 auto; width: 80%;"> <p style="text-align: center; font-size: 1.2em; margin: 0;">FOR SECURITY REASONS THIS SECTION IS NOT INCLUDED IN THIS VERSION</p> </div>	
<ul style="list-style-type: none"> <li>▪ People</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Facilities(including building and equipment)</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Technology (including IT systems/ applications)</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Telecommunications</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Vital records (including paper and electronic).</li> </ul>		
<b>Interdependent functions</b> (including internal and external)		
<b>Maximum Acceptable Outage</b>	1 Day	1 Day

## Appendix 4 Risk and Vulnerability Analysis

### Appendix 4.1 Threat & Risk Analysis Process Flow



## Appendix 4.2 Business Continuity Threat Analysis

### BARRHEAD - Business Continuity Threats

Last updated: 02/23/2016

RISK FACTOR	RATING CRITERIA			TOTAL SCORE	COMMENTS	RISK DESCRIPTION
	Event Likelihood	Anticipated Impact	Anticipated Duration			
	0 - No Risk 1 - Minimal Risk 2 - Significant Risk 3 - Prevalent Risk	0 - No Disruption 1 - Minor Disruption 2 - Moderate Disruption 3 - Full Disruption	0 - Minimal (Momentary) 1 - Up to 1 Day 2 - Up to 1 Week 3 - More than 1 Week		Basis for Assigned Ratings	
<b>NATURAL THREATS</b>						
Hurricane, Tropical Storm	0	0	0	0	No significant threat identified.	
Internal Flooding (Pipe Burst, Overflow, etc.)	0	0	0	0	No significant threat identified.	
External Flooding (River, Dam, Flood Plain, etc.)	0	0	0	0	No significant threat identified.	
Earthquake - Seismic Damage	0	0	0	0	No significant threat identified.	
Wind Damage	1	1	2	4	Very slight potential of occurrence but minimal impact expected.	
Electrical Storm	1	1	1	3	Slight potential of occurrence but minimal impact expected.	
Tornado	0	0	0	0	No significant threat identified.	
Severe Winter Weather (Large Snowfall, Extreme Cold, Ice, etc.)	2	2	2	6	Could inhibit employee's ability to report for work.	Denial of access to building for greater than 72 hours. Loss of functional premises for an indefinite period.
Internal Fire	1	1	3	5	No significant threat identified.	
External Fire	0	0	0	0	No significant threat identified.	
<b>HUMAN THREATS</b>						
Explosion (Gas, Steam, Flammables)	0	0	0	0	No significant threat identified.	
Executive Management lost in common accident	0	0	0	0	Not applicable at this location.	
Extortion	0	0	0	0	Nothing of significant value at this location.	
Burglary, Robbery	1	0	1	2	Buildings are alarmed. Limited access.	
Riot, Civil Unrest	0	0	0	0	No significant threat identified.	
Pandemic	1	2	3	6	Could inhibit employee's ability to report to work.	Unexpected loss of Key Personnel.
Domestic / Corporate Terrorism or Sabotage	1	1	1	3	Sabotage would likely be detectable.	
Hazardous Material/Waste	0	0	0	0	Not applicable at this location.	
Workplace Violence	1	2	1	4	Controlled environment (Access, Security).	
Labor Dispute or Strike	2	2	3	7	Can be difficult to recruit in this area.	Unexpected loss of Key Personnel.
Unexpected loss of critical staff	1	2	3	6		Unexpected loss of Key Personnel.
Unauthorized Physical Access	1	1	0	2	Controlled access to all areas / departments.	
Unauthorized Access to Data	0	0	0	0	No significant threat identified.	
Theft of Data	0	0	0	0	No significant threat identified.	
Unauthorized Modification of Software or Hardware	1	1	1	3	Operating systems are locked down.	
<b>TECHNICAL THREATS</b>						
Power - Fluctuations and Failure	1	1	1	3	No significant threat identified.	
Heating, Ventilation or Air Conditioning Failure	1	1	2	4		
Malfunction or Failure of Computer Servers or Hardware	1	3	2	6		Loss of Information Technology Services for >24 Hours.
Failure of System Software	1	3	2	6		Loss of Information Technology Services for >24 Hours.
Data Network Loss	1	3	2	6		Loss of Information Technology Services for >24 Hours.
Telephone / Cell Service Lost	1	1	1	3	Land line and cell phone options.	
ISP - Internet Access Loss	1	0	1	2		Loss of Information Technology Services for >24 Hours.

# SAULT STE. MARIE - Business Continuity Threats

Last updated: 02/23/2016

RISK FACTOR	RATING CRITERIA			TOTAL SCORE	COMMENTS Basis for Assigned Ratings	RISK DESCRIPTION  SCENARIO
	Event Likelihood 0 - No Risk 1 - Minimal Risk 2 - Significant Risk 3 - Prevalent Risk	Anticipated Impact 0 - No Disruption 1 - Minor Disruption 2 - Moderate Disruption 3 - Full Disruption	Anticipated Duration 0 - Minimal (Momentary) 1 - Up to 1 Day 2 - Up to 1 Week 3 - More than 1 Week			
<b>NATURAL THREATS</b>						
Hurricane, Tropical Storm	0	0	0	0	No significant threat identified.	
Internal Flooding (Pipe Burst, Overflow, etc.)	0	0	0	0	No significant threat identified.	
External Flooding (River, Dam, Flood Plain, etc.)	0	0	0	0	No significant threat identified.	
Earthquake - Seismic Damage	0	0	0	0	No significant threat identified.	
Wind Damage	1	1	2	4	Very slight potential of occurrence but minimal impact expected.	
Electrical Storm	1	1	1	3	Slight potential of occurrence but minimal impact expected.	
Tornado	0	0	0	0	No significant threat identified.	
Severe Winter Weather (Large Snow fall, Extreme Cold, Ice, etc.)	2	2	2	6	Could inhibit employee's ability to report for work.	Denial of access to building for greater than 72 hours. Loss of functional premises for an indefinite period.
Internal Fire	1	1	3	5	No significant threat identified.	
External Fire	1	3	3	7	No significant threat identified.	Denial of access to building for greater than 72 hours. Loss of functional premises for an indefinite period.
<b>HUMAN THREATS</b>						
Explosion (Gas, Steam, Flammables)	0	0	0	0	No significant threat identified.	
Executive Management lost in common accident	0	0	0	0	Not applicable at this location.	
Extortion	0	0	0	0	Nothing of significant value at this location.	
Burglary, Robbery	1	0	1	2	Buildings are alarmed. Limited access.	
Riot, Civil Unrest	0	0	0	0	No significant threat identified.	
Pandemic	1	2	3	6	Could inhibit employee's ability to report to work.	Unexpected loss of Key Personnel.
Domestic / Corporate Terrorism or Sabotage	1	1	1	3	Sabotage would likely be detectable.	
Hazardous Material/Waste	0	0	0	0	Not applicable at this location.	
Workplace Violence	1	2	1	4	Controlled environment (Access, Security).	
Labor Dispute or Strike	1	1	3	5		
Unexpected loss of critical staff	1	2	3	6		Unexpected loss of Key Personnel.
Unauthorized Physical Access	1	1	0	2	Controlled access to all areas / departments.	
Unauthorized Access to Data	0	0	0	0	No significant threat identified.	
Theft of Data	0	0	0	0	No significant threat identified.	
Unauthorized Modification of Software or Hardware	1	1	1	3	Operating systems are locked down.	
<b>TECHNICAL THREATS</b>						
Power - Fluctuations and Failure	1	1	1	3	No significant threat identified.	
Heating, Ventilation or Air Conditioning Failure	1	1	2	4		
Malfunction or Failure of Computer Servers or Hardware	1	3	2	6		Loss of Information Technology Services for >24 Hours.
Failure of System Software	1	3	2	6		Loss of Information Technology Services for >24 Hours.
Data Network Loss	1	3	2	6		Loss of Information Technology Services for >24 Hours.
Telephone / Cell Service Lost	1	1	1	3	Land line and cell phone options.	
ISP - Internet Access Loss	1	0	1	2		Loss of Information Technology Services for >24 Hours.

# WINNIPEG - Business Continuity Threats

Last updated: 02/23/2016

RISK FACTOR	RATING CRITERIA			TOTAL SCORE	COMMENTS Basis for Assigned Ratings	RISK DESCRIPTION  SCENARIO
	Event Likelihood 0 - No Risk 1 - Minimal Risk 2 - Significant Risk 3 - Prevalent Risk	Anticipated Impact 0 - No Disruption 1 - Minor Disruption 2 - Moderate Disruption 3 - Full Disruption	Anticipated Duration 0 - Minimal (Momentary) 1 - Up to 1 Day 2 - Up to 1 Week 3 - More than 1 Week			
<b>NATURAL THREATS</b>						
Hurricane, Tropical Storm	0	3	2	5	No significant threat identified.	
Internal Flooding (Pipe Burst, Overflow, etc.)	1	1	1	3	Buffalo building has history of flooding incidents.	
External Flooding (River, Dam, Flood Plain, etc.)	2	3	2	7	Parts of city tend to flood. Could affect employee's ability to report for work.	Denial of access to building for greater than 72 hours.
Earthquake - Seismic Damage	0	0	0	0	No significant threat identified.	
Wind Damage	1	1	2	4	Very slight potential of occurrence but minimal impact expected.	
Electrical Storm	1	1	2	4	Relatively frequent occurrence with potential for power outage.	
Tornado	0	0	0	0	No significant threat identified.	
Severe Winter Weather (Large Snow fall, Extreme Cold, Ice, etc.)	2	2	2	6	Could inhibit employee's ability to report for work.	Severe Weather
Internal Fire	1	3	3	7	Working with flammable raw materials. Buildings equipped with sprinkler system.	Denial of access to building for greater than 72 hours. Loss of functional premises for an indefinite period. Loss of Information Technology Services for >24 Hours.
External Fire	1	2	1	4	Not situated near any volatile factories.	
<b>HUMAN THREATS</b>						
Explosion (Gas, Steam, Flammables)	1	3	3	7	Working with flammable raw materials. Buildings equipped with sprinkler system.	Denial of access to building for greater than 72 hours. Loss of functional premises for an indefinite period. Loss of Information Technology Services for >24 Hours.
Executive Management lost in common accident	1	2	3	6	Executive team do travel to locations as one group.	Unexpected loss of Key Personnel.
Extortion	0	2	1	3		
Burglary, Robbery	1	0	1	2	Buildings are alarmed. Limited access.	
Riot, Civil Unrest	0	0	0	0	No significant threat identified.	
Pandemic	1	2	3	6	Could inhibit employee's ability to report to work.	Unexpected loss of Key Personnel.
Domestic / Corporate Terrorism or Sabotage	1	3	1	5	Sabotage would likely be detectable.	
Hazardous Material/Waste	1	3	3	7	Working with flammable raw materials. Buildings equipped with sprinkler system.	Denial of access to building for greater than 72 hours. Loss of functional premises for an indefinite period. Loss of Information Technology Services for >24 Hours.
Workplace Violence	1	2	1	4	Controlled environment (Access, Security).	
Labor Dispute or Strike	0	0	0	0	No significant threat identified.	
Unexpected loss of critical staff	1	2	3	6		Unexpected loss of Key Personnel.
Unauthorized Physical Access	1	1	0	2	Controlled access to all areas / departments.	
Unauthorized Access to Data	1	1	1	3	Controlled access to all areas / departments.	
Theft of Data	1	2	1	4		
Unauthorized Modification of Software or Hardware	1	2	1	4		
<b>TECHNICAL THREATS</b>						
Power - Fluctuations and Failure	2	3	2	7	History of power disruptions in this area.	Denial of access to building for greater than 72 hours. Loss of Information Technology Services for >24 Hours.
Heating, Ventilation or Air Conditioning Failure	1	1	2	4		
Malfunction or Failure of Computer Servers or Hardware	1	3	2	6		Loss of Information Technology Services for >24 Hours.
Failure of System Software	1	3	2	6		Loss of Information Technology Services for >24 Hours.
Data Network Loss	1	3	2	6		Loss of Information Technology Services for >24 Hours.
Telephone / Cell Service Lost	1	1	1	3	Land line and cell phone options.	
ISP - Internet Access Loss	1	3	1	5	??? Evaluate ???	Loss of Information Technology Services for >24 Hours.

# YPSILANTI - Business Continuity Threats

Last updated: 02/23/2016

RISK FACTOR	RATING CRITERIA			TOTAL SCORE	COMMENTS	RISK DESCRIPTION
	Event Likelihood	Anticipated Impact	Anticipated Duration			
<b>NATURAL THREATS</b>						
Hurricane, Tropical Storm	0	0	0	0	No significant threat identified.	
Internal Flooding (Pipe Burst, Overflow, etc.)	1	1	1	3	No significant threat identified.	
External Flooding (River, Dam, Flood Plain, etc.)	1	1	2	4	Parts of city tend to flood. Could affect employee's ability to report for work.	
Earthquake - Seismic Damage	0	0	0	0	No significant threat identified.	
Wind Damage	1	1	2	4	Very slight potential of occurrence but minimal impact expected.	
Electrical Storm	1	1	2	4	Relatively frequent occurrence with potential for power outage.	
Tornado	2	3	1	6	Area known to have Tornado's.	Denial of access to building for greater than 72 hours. Loss of functional premises for an indefinite period.
Severe Winter Weather (Large Snowfall, Extreme Cold, Ice, etc.)	1	2	2	5	Could inhibit employee's ability to report for work.	
Internal Fire	1	3	3	7	Working with flammable raw materials. Buildings equipped with sprinkler system.	Denial of access to building for greater than 72 hours. Loss of functional premises for an indefinite period. Loss of Information Technology Services for >24 Hours.
External Fire	1	2	1	4	Not situated near any volatile factories.	
<b>HUMAN THREATS</b>						
Explosion (Gas, Steam, Flammables)	1	3	3	7	Working with flammable raw materials. Buildings equipped with sprinkler system.	Denial of access to building for greater than 72 hours. Loss of functional premises for an indefinite period. Loss of Information Technology Services for >24 Hours.
Executive Management lost in common accident	0	0	0	0	Not applicable at this location.	Unexpected loss of Key Personnel.
Extortion	0	2	1	3		
Burglary, Robbery	1	0	1	2	Buildings are alarmed. Limited access.	
Riot, Civil Unrest	0	0	0	0	No significant threat identified.	
Pandemic	1	2	3	6	Could inhibit employee's ability to report to work.	Unexpected loss of Key Personnel.
Domestic / Corporate Terrorism or Sabotage	1	3	1	5	Sabotage would likely be detectable.	
Hazardous Material/Waste	2	3	3	8	Working with flammable raw materials. Buildings equipped with sprinkler system.	Denial of access to building for greater than 72 hours. Loss of functional premises for an indefinite period. Loss of Information Technology Services for >24 Hours.
Workplace Violence	1	2	1	4	Controlled environment (Access, Security).	
Labor Dispute or Strike	1	3	2	6	Good relationship with Union.	Unexpected loss of Key Personnel.
Unexpected loss of critical staff	1	2	3	6		Unexpected loss of Key Personnel.
Unauthorized Physical Access	1	1	0	2	Controlled access to all areas / departments.	
Unauthorized Access to Data	1	1	1	3	Controlled access to all areas / departments.	
Theft of Data	1	2	1	4		
Unauthorized Modification of Software or Hardware	1	2	1	4		
<b>TECHNICAL THREATS</b>						
Power - Fluctuations and Failure	2	3	2	7	History of power disruptions in this area.	Denial of access to building for greater than 72 hours. Loss of Information Technology Services for >24 Hours.
Heating, Ventilation or Air Conditioning Failure	1	1	2	4		
Malfunction or Failure of Computer Servers or Hardware	1	3	2	6		Loss of Information Technology Services for >24 Hours.
Failure of System Software	1	3	2	6		Loss of Information Technology Services for >24 Hours.
Data Network Loss	1	3	2	6		Loss of Information Technology Services for >24 Hours.
Telephone / Cell Service Lost	1	1	1	3	Land line and cell phone options.	
ISP - Internet Access Loss	1	3	1	5		Loss of Information Technology Services for >24 Hours.

## **Appendix 4.3 General Preventative Measures / Mitigation**

### **Major Chemical / Hazardous Spill or Release**

**Internal (On-site) Spill Prevention** - Pollard Banknote Limited uses a variety of measures to limit the possibility of a significant spill in the plant. These include:

- **Fire Control Equipment**  
To provide rapid response to fires, wall-mounted hand-held fire extinguishers are located throughout the plant (see plant map for location). In addition, an automatic sprinkler system runs throughout all areas of the plant.
- **Spill Control Equipment**  
Each working area within the plant is equipped with a spill kit containing absorbing material, gloves and storage vessel for spill control (see plant map for location and capabilities).
- **Personal Protective Equipment**  
Employees working with hazardous products are supplied with personal protective equipment. In addition, there are rubber gloves placed in each spill kit.
- **First Aid Kits**  
There are first aid kits placed throughout the plant (see plant map for locations) Training for employees on handling hazardous products and how to respond with a spill in the plant;
- Limited working quantities of hazardous products in drums or pails:
- Suitable containers are provided for waste materials.
- **Emergency Responders**  
The Ypsilanti Fire Chief has a key to the exterior Knox Box, which contains information regarding the storage locations and types of inks, solvents and hazardous waste

**External (Off-site) Spill** – Pollard Banknote Limited recognizes that a spill occurring external to the plant property is outside the control of Pollard Banknote - there is no mitigation that Pollard can effect.

### **Computer Network System Failure**

**Measures to prevent / mitigate Computer System Failure include:**

- Robust firewall installation
- Anti-virus, anti-spam software
- Limited access to a partitioned system
- Extensive system redundancy including both on and off site backups.

## **Earthquake / Structural Failure**

### **Measures to mitigate the effects of an earthquake:**

- Drills are conducted to test the effectiveness of the evacuation (and First Aid response) procedure.

## **Fire / Explosion**

**Fire Prevention** - Pollard Banknote uses a variety of measures to limit the possibility of fire/explosion in the plant. These include:

- 50-foot proximity to a fire extinguisher in all plant locations;
- Sprinkler system in the building and all rooms in the building;
- Fire drills;
- Emergency Marshal system;
- Storage of flammables in accordance with local regulations;
- Limited use of extension cords;
- Grounding and bonding of metal containers when dispensing flammable liquids;
- Smoking allowed only in designated areas.

**Explosion Prevention** – Pollard Banknote recognizes that explosion will not be a primary event but will occur as the result of another event e.g. fire, gas leak. Prevention of the primary event will eliminate the risk of explosion occurring.

## **Major Power Failure**

### **Measures to mitigate the effects of a major power failure:**

#### **Plant**

- The plant is equipped with emergency temporary lighting.

#### **Locks**

- Electronic locks will be disengaged in the event of a power failure and employees will always be able to leave the building.

#### **Internal network**

- The network servers are equipped with alternate power sources that allow them to properly shut down in the event of power failure.
- The network is backed up locally and at other Pollard Banknote locations.

## **Medical Incident / Viral / Infectious Disease**

### **Measures to mitigate the effects of an Influenza or Viral Outbreak:**

**Infection Control** - Pollard Banknote uses a variety of measures (including a Pandemic Plan) to limit the possibility of infection in the plant. The infections that potentially may affect the plant include, but are not limited to:

- Influenza, including Avian
- SARS,
- Meningitis,
- Pertussis (whooping cough),
- Salmonellosis,
- Legionella,
- Tuberculosis

### **Measures to mitigate infection include:**

- Promotion of flu shots in the fall to all employees
- Regular maintenance of HVAC units
- Encourage basic workplace hygiene e.g. hand washing (signage)
- Information pamphlets
- Pandemic Plan

## **Severe Weather**

### **Measures to mitigate the effects of severe weather:**

- Site selection to be adjacent to major roadways, above the flood plain, not adjacent a mud/landslide area;
- Equipment and / or facilities to protect against tornados (shelter), snow (blowers/cleaning contracts), flood (elevate buildings) etc.

## **Supply Chain Interruption (Including Transport / Border Closure)**

Pollard Banknote uses a variety of measures to limit the possibility of supply chain failure to our production facilities. These include:

- Multiple suppliers for all standard production products (paper, ink, coatings, etc.);
- On going supplier assessments as per the Pollard Quality Management System;
- Storage of production material on-site or in Pollard warehouses;
- Multiple suppliers and transport options for movement of raw material or finished product, to or from, Pollard facilities.
- For primary and international shipping, only contracting trucking companies with C-TPAT / Fast / ACE approval.

## **Workplace Violence**

Pollard Banknote Limited implements preventative measures to limit the possibility of workplace violence in our facilities. These include:

- Criminal Record Checks on all employees;
- Limited access to all plants and selected work areas within plants;
- Prohibition of any weapons on Pollard Banknote property;
- Enforced policies on Workplace Violence, Discrimination and Harassment;
- On-site Security.
- Employee Assistance Programs.

## **Unnatural Fatality or Near Death Injury**

Pollard Banknote Limited has a comprehensive Workplace Health and Safety program to reduce injuries in our facilities. The program includes the following initiatives:

- Corporately supported Health and Safety Committees which include representatives from workers and management;
- On-going safety assessment of all spaces and all activities;
- Investigation of all reported accidents;
- Safety Training for employees including transportation of hazardous goods, lockout procedures, fork lift operation, spill response, first aid, etc.

## Appendix 4.4 Critical Business Function (Departmental) Risk Assessment

### Legend for Risk Evaluation

Key to Columns C, L and Rating			
C (Consequence)		L (Likelihood)	Risk Rating
A = Product/Service Delivery	1 = Insignificant	1 = Rare	<div style="background-color: #008000; color: white; padding: 2px; text-align: center;">0-9 = Low</div> <div style="background-color: #ffff00; color: black; padding: 2px; text-align: center;">10-19 = Medium (Med)</div> <div style="background-color: #ffa500; color: black; padding: 2px; text-align: center;">20-39 = High</div> <div style="background-color: #ff0000; color: white; padding: 2px; text-align: center;">40+ = Extreme (Extr)</div>
B = Financial	2 = Minor	2 = Unlikely	
C = Management Effort	3 = Moderate	3 = Possible	
D = Health & Safety	4 = Major	4 = Likely	
E = Legal / Compliance	5 = Critical	5 = Almost Certain	
F = Reputation / External Relationships			
G = Product / Service Quality			
H = Product / Service Time (schedule)			
I = Product / Service Cost			

Any Critical Business Function with a rating of over 20 (in any category) will have an Analysis of Critical Business Functions completed (see Appendix 3).

The following tables were established from risks identified in the Plant/Location Business Continuity Risk Assessments (Appendix 4.2) then completed from information sourced from input of the Department Leaders and external records to support the risk and vulnerability analysis process.

### PRESS / PRINT PRODUCTION - Business Continuity Risks

Risk Description (From Threat Factors)	Consequence	Likelihood	Rating	Preventive Action / Mitigation
1) Interruption to Press production processes due to loss of functional premises for greater than 72 hours.	A 5 F 5 H 5 I 5	1	20	<i>Alternate PBL Presses available Standardized Processes</i>
2) Interruption to Press production processes due to loss of key staff.	A 3 F 2 H 3	2	16	<i>Cross Training Source alternative staff within 48 hours of plan being activated.</i>
3) Interruption to Press production processes due to loss of Information Technology Services for over 24 hours.	A 3 F 2 H 3	2	16	<i>Full system backup (nightly). Alternate Data link. Internal IT staff.</i>
4) Interruption to Press production processes due to loss of critical raw materials / supplier chain.	A 5 F 5 G 4 H 3 I 4	2	42	<i>Alternate suppliers for all critical raw materials.</i>
<b>TOTAL</b>			<b>94</b>	

## GAME GENERATION - Business Continuity Risks

Risk Description (From Threat Factors)	Consequence	Likelihood	Rating	Preventive Action / Mitigation
1) Interruption to Game Gen. processes due to loss of functional premises for greater than 72 hours.	A 5 C 4 F 4 H 5 I 4	2	44	<i>Alternative PBL site available (if location and equipment are rendered inoperable for a predicted period of more than 7 days). Back-up software package ready for use.</i>
2) Interruption to Game Gen. processes due to loss of key staff.	A 4 C 4 F 4 H 4	3	48	<i>Source alternative staff within 48 hours of plan being activated. Redundant Training.</i>
3) Interruption to Game Gen. processes due to loss of Information Technology Services for over 24 hours.	A 4 F 4 H 4	2	24	<i>Full system backup (nightly) Can go external.</i>
4) Interruption to Game Gen. processes due to loss of critical raw materials / supplier chain.	A 2 G 2 H 2	1	6	
<b>TOTAL</b>			<b>122</b>	

## FINISHING - Business Continuity Risks

Risk Description (From Threat Factors)	Consequence	Likelihood	Rating	Preventive Action / Mitigation
1) Interruption to Finishing production processes due to loss of functional premises for greater than 72 hours.	A 5 F 5 H 5 I 4	2	<b>38</b>	<i>Alternate PBL Finishing sites available Standardized Processes</i>
2) Interruption to Finishing production processes due to loss of key staff.	A 5 F 5 G 3	2	<b>26</b>	<i>Utilize staff from other PBL locations. Standardized processes.</i>
3) Interruption to Finishing production processes due to loss of Information Technology Services for over 24 hours.	A 5 F 5 H 3	1	<b>13</b>	<i>Full system backup (nightly). Alternate Data link. Internal IT staff.</i>
4) Interruption to Finishing production processes due to loss of critical raw materials / supplier chain.	A 5 F 2 G 3	1	<b>10</b>	<i>Alternate suppliers for all critical raw materials.</i>
<b>TOTAL</b>			<b>87</b>	

## PRE-PRESS - Business Continuity Risks

Risk Description (From Threat Factors)	Consequence	Likelihood	Rating	Preventive Action / Mitigation
1) Interruption to Pre-press processes due to loss of functional premises for greater than 72 hours.	A 4 F 4 H 5	3	<b>39</b>	<i>Alternative PBL site available (if location and equipment are rendered inoperable for a predicted period of more than 7 days).</i>
2) Interruption to Pre-press processes due to loss of key staff.	A 4 F 4 H 5	2	<b>26</b>	<i>Source alternative staff within 48 hours of plan being activated.</i>
3) Interruption to Pre-press processes due to loss of Information Technology Services for over 24 hours.	A 4 F 4 H 5	1	<b>13</b>	<i>Full system backup (nightly)</i>
4) Interruption to Pre-press processes due to loss of critical raw materials / supplier chain.	A 2 H 3	1	<b>5</b>	<i>Alternate Suppliers</i>
<b>TOTAL</b>			<b>83</b>	

## SHIPPING/RECEIVING - Business Continuity Risks

Risk Description (From Threat Factors)	Consequence	Likelihood	Rating	Preventive Action / Mitigation
1) Interruption to Shipping/Receiving processes due to loss of functional premises for greater than 72 hours.	A 5 F 5 I 4	2	28	<i>Re-route product (from production area) if required.</i>
2) Interruption to Shipping/Receiving processes due to loss of key staff.	A 2	3	6	<i>Utilize staff from other PBL locations. Standardized processes.</i>
3) Interruption to Press Shipping/Receiving processes due to loss of Information Technology Services for over 24 hours.	A 3 F 5	3	24	<i>Full system backup (nightly). Alternate Data link. Internal IT staff.</i>
4) Interruption to Shipping/Receiving processes due to loss of critical raw materials / supplier chain.	A 5 F 2 I 4	2	22	<i>Alternate suppliers for all critical raw materials. Alternate routes / transport methods</i>
<b>TOTAL</b>			<b>80</b>	

## IT SERVICES - Business Continuity Risks

Risk Description (From Threat Factors)	Consequence	Likelihood	Rating	Preventive Action / Mitigation
1) Interruption to IT Services / processes due to loss of functional premises for greater than 72 hours.	A 5 C 3 F 4 G 5 H 4	2	42	<i>Alternative PBL site available (if location and equipment are rendered inoperable for a predicted period of more than 72 hours).</i>
2) Interruption to IT Services / processes due to loss of key staff.	A 1 C 2 G 3 H 2	1	8	<i>Source alternative staff within 48 hours of plan being activated.</i>
3) Interruption to IT Services / processes due to loss of Information Technology Services for over 24 hours.	A 5 C 2 F 1 G 1 H 4	2	26	<i>Full system backup (nightly)</i>
4) Interruption to IT Services / processes due to loss of critical raw materials / supplier chain.	A 2 B 1 F 1 I 2	2	12	<i>Alternate suppliers.</i>
<b>TOTAL</b>			<b>88</b>	

## FINANCE - Business Continuity Risks

Risk Description (From Threat Factors)	Consequence	Likelihood	Rating	Preventive Action / Mitigation
1) Interruption to Finance processes due to loss of functional premises for greater than 72 hours.	A 4 B 3 E 4 F 4	2	<b>30</b>	<i>Alternative PBL site available (if location and equipment are rendered inoperable for more than 7 days).</i>
2) Interruption to Finance processes due to loss of key staff.	A 4 E 4 F 3	1	<b>11</b>	<i>Source alternative staff within 48 hours of plan being activated.</i>  <i>Cross Training</i>
3) Interruption to Finance processes due to loss of Information Technology Services for over 24 hours.	A 4 B 2	2	<b>12</b>	<i>Full system back-up.</i>
4) Interruption to Finance processes due to loss of critical raw materials / supplier chain.	B 2 C 3	3	<b>15</b>	<i>Alternate suppliers for critical raw materials.</i>
<b>TOTAL</b>			<b>68</b>	

## LAB SERVICES - Business Continuity Risks

Risk Description (From Threat Factors)	Consequence	Likelihood	Rating	Preventive Action / Mitigation
1) Interruption to Lab Services processes due to loss of functional premises for greater than 72 hours.	A 4 F 3	2	<b>14</b>	<i>Alternative PBL site available (if location and equipment are rendered inoperable for a predicted period of more than 7 days).</i>
2) Interruption to Lab Services processes due to loss of key staff.	A 4 F 3	1	<b>7</b>	<i>Source alternative staff within 48 hours of plan being activated.</i>
3) Interruption to Lab Services processes due to loss of Information Technology Services for over 24 hours.	A 4 F 4	1	<b>8</b>	<i>Full system backup (nightly). Alternate Data link.</i>
4) Interruption to Lab Services processes due to loss of critical raw materials / supplier chain.	A 1 C 1 F 1 G 1 H 1	1	<b>5</b>	
<b>TOTAL</b>			<b>34</b>	

## MARKETING - Business Continuity Risks

Risk Description (From Threat Factors)	Consequence	Likelihood	Rating	Preventive Action / Mitigation
1) Interruption to Marketing processes due to loss of functional premises for greater than 72 hours.	F 2 G 2	1	<b>4</b>	<i>Alternative PBL site available (if location and equipment are rendered inoperable for a predicted period of more than 7 days).</i>
2) Interruption to Marketing processes due to loss of key staff.	C 3 F 3 G 2	2	<b>16</b>	<i>Source alternative staff within 48 hours of plan being activated.</i>
3) Interruption to Marketing processes due to loss of Information Technology Services for over 24 hours.	C 2 F 3	2	<b>10</b>	<i>Full system backup (nightly).</i>
4) Interruption to Marketing processes due to loss of critical raw materials / supplier chain.		1	<b>0</b>	
<b>TOTAL</b>			<b>30</b>	

## MAINTENANCE SERVICES - Business Continuity Risks

Risk Description (From Threat Factors)	Consequence	Likelihood	Rating	Preventive Action / Mitigation
1) Interruption to Maintenance processes due to loss of functional premises for greater than 72 hours.	A 4 F 2	2	12	<i>Alternate site and tools</i>
2) Interruption to Maintenance processes due to loss of key staff.	A 3	1	3	<i>Utilize staff from other PBL locations. Standardized processes.</i>
3) Interruption to Maintenance processes due to loss of Information Technology Services for over 24 hours.	A 1 F 1	1	2	<i>Full system backup (nightly). Alternate Data link. Internal IT staff.</i>
4) Interruption to Maintenance processes due to loss of critical raw materials / supplier chain.	A 4 F 2	2	12	<i>Alternate suppliers.</i>
<b>TOTAL</b>			<b>29</b>	

## SUPPORT SERVICES - Business Continuity Risks

Risk Description (From Threat Factors)	Consequence	Likelihood	Rating	Preventive Action / Mitigation
1) Interruption to Support Services processes due to loss of functional premises for greater than 72 hours.	A 4 F 4	1	<b>8</b>	<i>Alternative PBL site available (if location and equipment are rendered inoperable for a predicted period of more than 7 days).</i>
2) Interruption to Support Services processes due to loss of key staff.	A 4 F 4	1	<b>8</b>	<i>Source alternative staff within 48 hours of plan being activated.</i>
3) Interruption to Support Services processes due to loss of Information Technology Services for over 24 hours.	A 4 F 4	1	<b>8</b>	<i>Full system backup (nightly).</i>
4) Interruption to Support Services processes due to loss of critical raw materials / supplier chain.	A 1	1	<b>1</b>	<i>Alternative suppliers.</i>
<b>TOTAL</b>			<b>25</b>	

## SECURITY SERVICES - Business Continuity Risks

Risk Description (From Threat Factors)	Consequence	Likelihood	Rating	Preventive Action / Mitigation
1) Interruption to Security processes due to loss of functional premises for greater than 72 hours.	A 3 F 4	2	<b>14</b>	<i>Alternate location to house security can be created.</i>
2) Interruption to Security processes due to loss of key staff.	A 2	2	<b>4</b>	<i>Utilize staff from other PBL locations. Standardized processes.</i>
3) Interruption to Security processes due to loss of Information Technology Services for over 24 hours.	A 2 F 2	1	<b>4</b>	<i>Full system backup (nightly). Alternate Data link. Internal IT staff.</i>
4) Interruption to Security processes due to loss of critical raw materials / supplier chain.			<b>0</b>	
<b>TOTAL</b>			<b>22</b>	

## Appendix 5 Contact Lists

The following contact lists are to be completed and updated by the business unit.

### Appendix 5.1 Pollard Banknote Executive Team

Position	Name	Ext	Cell Phone	Home	Notes
CEOs					
Executive VPs					

### Appendix 5.2 Business Continuity Team Leaders

DEPARTMENT	NAME	CELL PHONE	HOME PHONE	LOCATION
Manufacturing / Production				
Security				
IT				
Human Resources				
Purchasing				
Lab				
Health, Safety & Environment				

## Appendix 6 Stakeholder Communication Matrix

The following matrix and contact lists support the communication processes to facilitate the delivery of this plan.

Stakeholder	Communication Needs	Who	How
<b>Staff</b>	<ul style="list-style-type: none"> <li>▪ What has happened and why it has happened?</li> <li>▪ What will happen in the immediate future?</li> <li>▪ Where is assistance available?</li> </ul>	<p><b>FOR SECURITY REASONS THIS SECTION IS NOT INCLUDED IN THIS VERSION</b></p>	
<b>Families</b>	<p><b>Immediately:</b></p> <ul style="list-style-type: none"> <li>▪ What has happened?</li> <li>▪ Who are the staff members involved and are they safe?</li> <li>▪ What does the family do now?</li> </ul> <p><b>Later:</b></p> <ul style="list-style-type: none"> <li>▪ How did it happen and what was the cause?</li> </ul>		
<b>Local Community</b>	<p><b>Immediately:</b></p> <ul style="list-style-type: none"> <li>▪ What has happened?</li> <li>▪ Is it safe?</li> <li>▪ Could it happen again in the near future?</li> </ul> <p><b>Later:</b></p> <ul style="list-style-type: none"> <li>▪ What is the Company doing to ensure that it does not happen again in the future?</li> </ul>		
<b>Media</b>	<ul style="list-style-type: none"> <li>▪ What has happened and how?</li> <li>▪ Who was responsible?</li> <li>▪ Can it happen again?</li> <li>▪ What similar events have happened previously?</li> </ul>		
<b>Customers</b>	<ul style="list-style-type: none"> <li>▪ What is the impact on product/service delivery and quality?</li> <li>▪ How long will delivery be affected for?</li> <li>▪ How adversely will contractual conditions be affected?</li> <li>▪ Will Pollard Banknote be able to continue production into the immediate and longer terms (longer term sustainability of supply)?</li> <li>▪ What other alternate sources of production/service exist?</li> <li>▪ When will normal capability and capacity be restored?</li> </ul>		
<b>Suppliers</b>	<ul style="list-style-type: none"> <li>▪ Any changes to supply requirements?</li> <li>▪ Any capacity for changed pricing?</li> <li>▪ What is the likely duration of supply impacts?</li> <li>▪ What compensation is available under contractual conditions?</li> </ul>		
<b>Regulators</b>	<ul style="list-style-type: none"> <li>▪ What has happened and how?</li> <li>▪ What are the impacts on local communities / customers and how these are being managed?</li> <li>▪ What is being done to fix it?</li> <li>▪ What is being done to prevent it happening again?</li> <li>▪ What is the compliant/capability/performance of other elated areas?</li> </ul>		

## Appendix 7 Decision Evaluation to Activate BC Plan

The following checklist forms part of the response procedures and accordingly, is required to be completed prior to making any decision to activate the plan, see **Section 7.1**.

For each question, insert tick ✓ in the 'Yes' or 'No' box below and insert text as appropriate.

### Incident Management Checklist

Immediate Incident Response	Yes	No	Actions Taken
<b>Have you:</b>			
• Assessed the severity of the incident?			
• Evacuated the site if necessary?			
• Accounted for everyone?			
• Identified any injuries to persons?			
• Contacted Emergency Services?			
• Implemented the Department's Emergency Response Plan?			
• Started an Event Log?			
• Referred to contact and resources lists?			
• Contacted other team members?			
• Gained more information as a priority?			
• Briefed team members on the incident?			
• Identified any damage?			
• Identified the critical business functions that have been disrupted?			
• Kept staff informed?			
• Contacted key stakeholders?			
• Understood and complied with any regulatory/compliance requirements?			
• Initiated media/public relations response?			

### Checklist completion details

<b>Completed by:</b>	
<b>Name:</b>	
<b>Job title:</b>	
<b>Date completed:</b>	
<b>Approved by:</b>	
<b>Name:</b>	
<b>Job title:</b>	
<b>Date approved:</b>	

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## APPENDIX B: CORPORATE CERTIFICATIONS

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Please see the following pages for a copy of Pollard Banknote's ISO 27001 and WLA-SCS certifications.

# Certificate of Registration

## INFORMATION SECURITY MANAGEMENT SYSTEM - ISO/IEC 27001:2013

This is to certify that:

Pollard Banknote Limited  
140 Otter St  
Winnipeg  
Manitoba  
R3T 0M8  
Canada

Holds Certificate No:

**IS 584197**

and operates an Information Security Management System which complies with the requirements of ISO/IEC 27001:2013 for the following scope:

The management of information security for the generation and handling of game data, printing and packaging of instant tickets, and iLottery customer support services as per Statement of Applicability Dated: September 12, 2018.

For and on behalf of BSI:

  
\_\_\_\_\_  
Carlos Pitanga, Chief Operating Officer Assurance – Americas

Original Registration Date: 2014-01-02

Effective Date: 2020-01-02

Latest Revision Date: 2019-12-23

Expiry Date: 2023-01-01

Page: 1 of 2



...making excellence a habit™

Certificate No: **IS 584197**

Location	Registered Activities
Pollard Banknote Limited 1499 Buffalo Place Winnipeg Manitoba R3T 1L7 Canada	The management of information security for the generation and handling of game data, printing and packaging of instant tickets, and iLottery customer support services as per Statement of Applicability Dated September 12, 2018.
Pollard Banknote Limited 6203 46th St. Barrhead Alberta T7N 1K7 Canada	The management of information security for the generation and handling of game data, printing and packaging of instant tickets, and iLottery customer support services as per Statement of Applicability Dated September 12, 2018.
Pollard Banknote Limited 775 James L. Hart Pkwy Ypsilanti Michigan 48197 USA	The management of information security for the generation and handling of game data, printing and packaging of instant tickets, and iLottery customer support services as per Statement of Applicability Dated: September 12, 2018.
Pollard Banknote Limited 45 White Oak Drive East Sault Ste Marie Ontario P6B 4J7 Canada	The management of information security for the generation and handling of game data, printing and packaging of instant tickets, and iLottery customer support services as per Statement of Applicability Dated September 12, 2018.
Pollard Banknote Limited 140 Otter St Winnipeg Manitoba R3T 0M8 Canada	The management of information security for the generation and handling of game data, printing and packaging of instant tickets, and iLottery customer support services as per Statement of Applicability Dated September 12, 2018.
Pollard Banknote Limited (NeoPollard Interactive) 920 N. Fairview 2nd Floor Lansing Michigan 48912 USA	The management of information security for the generation and handling of game data, printing and packaging of instant tickets, and iLottery customer support services as per Statement of Applicability Dated September 12, 2018.

Original Registration Date: 2014-01-02

Effective Date: 2020-01-02

Latest Revision Date: 2019-12-23

Expiry Date: 2023-01-01

Page: 2 of 2

This certificate relates to the information security management system, and not to the products or services of the certified organization. The certificate reference number, the mark of the certification body and/or the accreditation mark may not be shown on products or stated in documents regarding products or services. Promotion material, advertisements or other documents showing or referring to this certificate, the trademark of the certification body, or the accreditation mark, must comply with the intention of the certificate. The certificate does not of itself confer immunity on the certified organization from legal obligations.

This certificate remains the property of BSI and shall be returned immediately upon request.

An electronic certificate can be authenticated [online](http://www.bsigroup.com/ClientDirectory). Printed copies can be validated at [www.bsigroup.com/ClientDirectory](http://www.bsigroup.com/ClientDirectory)

To be read in conjunction with the scope above or the attached appendix.

Information and Contact: BSI, Kitemark Court, Davy Avenue, Knowlhill, Milton Keynes MK5 8PP. Tel: + 44 345 080 9000

BSI Assurance UK Limited, registered in England under number 7805321 at 389 Chiswick High Road, London W4 4AL, UK.

A Member of the BSI Group of Companies.

# CERTIFICATE

## OF CONFORMANCE

### WLA Security Control Standard

### Level 2

This is to certify that

**Pollard Banknote Limited**

140 Otter Street, Winnipeg, Manitoba, R3T 0M8, Canada

has met the criteria established by the

**WLA Security Control Standard: 2020**

and has been certified by the World Lottery Association\*.

This certification stipulates that the requirements of ISO/IEC 27001 are met, together with the additional security requirements set forth by the WLA, including the Lottery and Gaming Specific Security and Integrity controls.

These WLA security requirements are subject to the following scope:

The management of information security for the generation and handling of game data, printing and packaging of instant tickets, application development and maintenance activities, lottery ticket management service within Digital Solutions and Lottery Management Services, iLottery customer support services, instant ticket warehousing, order fulfilment, and distribution as per Statement of Applicability version: Revision D dated: November 22nd, 2022

WLA-SCS certificate number: SCS2-AM5-1675

WLA-SCS initial certification: 2016-12-09

WLA-SCS latest revision: 2022-11-11

WLA-SCS expiry date: 2026-01-01

Assessment Service Entity: BSI Group Canada Inc

6205B Airport Rd #108, Mississauga, ON L4V 1E3, Canada



Lawrence Lim Swee Lin  
WLA SRMC Chair



Luca Esposito Poleo  
WLA Executive Director

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# CERTIFICATE

## OF CONFORMANCE

### WLA Security Control Standard

### Level 2

The WLA-SCS certified organization holds a valid ISO/IEC 27001 certificate.

ISO/IEC 27001 certificate number  
**IS 584197**

ISO/IEC 27001 latest revision  
**2022-11-03**

ISO/IEC 27001 expiry date  
**2026-01-01**

Assessment Service Entity  
**BSI Group**

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## EXHIBIT A - PRICING PAGE

All pricing is per  
square inch per  
thousand      Estimated Usage  
Percentage Per  
Square Inch      Weighted Price

1	<b>BASE PRINTING COST</b> Each Vendor's base price MUST include base ticket cost with foil-less stock, one imaged play area, four-color display, four-color overprint, two color ticket back, full gloss coating, background coating, all security for full game creation and reconstruction, barcode data on ticket front and back, UPC barcode on ticket back, all protective coatings, personnel required for contract, all set-up fees, auditing, physical testing, and all research and development costs.	\$1.925	100%	\$1.925
2	<b>PULSES SPLIT QUANTITIES WITHIN A GAME</b>	\$0.127	75%	\$0.095
3	<b>MULTIPLE IMAGED PLAY AREAS</b>	\$0.050	47%	\$0.024
4	<b>SCENES/COLOR SEQUENTIALLY WITHIN A GAME</b>	\$0.064	22%	\$0.014
5	<b>FULL COLOR MARKING SYSTEM FOR EXTENDED PLAY</b>	\$0.336	20%	\$0.067
6	<b>FULL COLOR IMAGING OF PLAY SYMBOLS</b>	\$0.918	8%	\$0.073
7	<b>SINGLE COLOR MARKING SYSTEM FOR EXTENDED PLAY</b>	\$0.180	7%	\$0.013
8	<b>FLOURESCENT INKS</b>	\$0.144	7%	\$0.010
9	<b>EACH ADDITIONAL SPOT COLOR</b>	\$0.048	6%	\$0.003
10	<b>OVERSIZED TICKETS</b>	\$0.192	5%	\$0.010
11	<b>METALLIC-LIKE INKS</b>	\$0.300	3%	\$0.009
12	<b>DUAL COLOR IMAGING OF PLAY SYMBOLS</b>	\$0.572	3%	\$0.017
13	<b>MATTE COATING ON TICKET FRONT</b>	\$0.132	2%	\$0.003
14	<b>SPOT GLOSS COATING</b>	\$0.048	2%	\$0.001
15	<b>ADDITIONAL VARIABLE BARCODE OR DATA</b>	\$0.108	2%	\$0.002
16	<b>FOIL PROCESS</b>	\$0.450	1%	\$0.005
17	<b>HOLOGRAPHIC PROCESS</b>	\$1.627	1%	\$0.016
18	<b>SCENTED TICKETS</b>	\$0.584	1%	\$0.006
19	<b>DIE-CUTTING OF TICKETS</b>	\$0.572	0.5%	\$0.003
20	<b>PERFORATED STUB WITH IMAGED INFORMATION</b>	\$0.080	0.5%	\$0.000
21	<b>PERFORATED STUB WITHOUT IMAGED INFORMATION</b>	\$0.042	0.5%	\$0.000
22	<b>Point of Sale Piece</b>	\$0.285	0.5%	\$0.001
23	<b>Point of Sale Piece with fluorescent ink</b>	\$0.930	0.05%	\$0.000
24	<b>Point of Sale Piece with metallic-like ink</b>	\$0.878	0.05%	\$0.000
25	<b>Point of Sale Piece with holographic process</b>	\$1.848	0.05%	\$0.001
26	<b>Point of Sale Piece with foil process</b>	\$0.963	0.05%	\$0.000

<p>Weighted Price = Line Items each multiplied by respective Estimated Usage Percentage Per Square Inch</p> <p>Award will be based on lowest cost bid Weighted Price <b>TOTAL.</b></p>	<p><b>\$2.299</b></p>
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