

Bookmaker _____

Telecommunications System Submission Requirement Checklist

Assessor/s _____

Date _____

Account					
	Y	N		Assessing Group	Notes
1.			Provide details of how the account closure process will appear within the customer's online account window		
2.			Demonstrate how the account closure process is to be effective immediately upon receipt of a customer request to close their account and if live bets remain in play, how the account suspends until all bets are resulted, then closed		
3.			Provide details of how the account management system retains account transactions for 7 years		
4.			Provide details of how the mandatory customer activity statement is inclusive of: <ul style="list-style-type: none"> • each bet; and • current account balance; and • deposits and withdrawals; and • wins and losses; and • current net win/loss date, time and unique transaction identifier of each transaction and accessible online by the customer online via their account at any time		
5.			Provide details on how you will ensure no inactive account customer will be sent an activity statement		
6.			Provide details on how you will warrant that an activity statement is sent to active customers at least once a year and periodically as requested by the customer		
7.			Provide details of how the bet balance will be reflective of cleared funds available at all times in customer's account window		
8.			Provide details of how winnings emulating from a complementary bet credit or bonus bet is able to be withdrawn without being subject to any turnover requirements		
9.			Provide assurance that new online customers will be required to consent to have their betting transactions recorded before they commence to bet as part of terms and conditions at the time of signing up		

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Customer Protection					
	Y	N		Assessing Group	Notes
1.			Provide details of how customer verification information is to be protected from unauthorised access		
2.			Provide specifics of how the customer verification process will comply with the National Consumer Protection Framework		
3.			Provide specifics of the mechanism for customer self-exclusion and how it will comply with the National Consumer Protection Framework		
4.			Provide details of the mechanism for minimum bet limit compliance		
5.			Provide details of how customer sign up and account information is to be protected from unauthorised access		
6.			In the event a loyalty program is to be offered provide details of the loyalty program and associated rules		
7.			Provide verified documentation to the extent that a formal trust account, which is legally and in practice separate from the affairs of the company, has been set up to isolate and protect customer funds		
8.			Provide details of how new customers will be prompted to set a deposit limit during the sign up process		
9.			Provide details of how customers are able to choose the time period for their deposit limit from a range of periods, including daily, weekly, fortnightly and monthly		
10.			Provide details of how customers will be prompted to set and review their deposit limit yearly at a minimum		
11.			Provide assurance that no incentive will be offered whatsoever to a person to open an account		
12.			Provide details of how the system will have regard for residential jurisdiction of the customer to ensure compliance with state inducement legislation for existing customers		
13.			Provide details of how responsible gambling messaging will be displayed prominently on all pages of the website and or app		
14.			Provide assurance that no marketing or advertising of small amount credit contracts takes place on the website and or app		
15.			Warrant that betting online will be by means of cleared customer funds only, that is no credit betting		

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Content					
	Y	N		Assessing Group	Notes
1.			Provide details of proposed bet types		
2.			Provide details of how race result validation is to be sourced		
3.			Provide description of any links to external computer systems playing a part in race wagering		
4.			Provide details of how the fixed price displayed will be accurate at all times		
5.			Provide details of how race information displayed (i.e. race fields, form, jockey, weather, track conditions) will be accurate at all times		
6.			Provide details of how appropriate sets of or links to betting rules will be displayed prominently on the homepage		
7.			Provide details of how terms and conditions will be displayed prominently on the homepage		
8.			Provide details of how prominent and easy to use functionality for customers to contact you in the event of a query or complaint will be displayed		
9.			Provide details of how a dedicated race results page for a rolling 36 months will be displayed		
10.			Provide details of how direct marketing will be sent only to customers who have provided their express consent		
11.			Provide details of how customers can unsubscribe from receiving direct marketing		

Third Party Connection					
	Y	N		Assessing Group	Notes
1.			Provide details of all connections to third party organisations		
2.			Provide evidence that the hardware and software to be used for the connections to financial institutions and for the conduct of transactions to and from the betting system are secure, reliable and auditable		

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Network Architecture					
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1.			Provide details of the proposed architecture of the internal production network to be used to supply betting facilities such as; network topology, devices used to create the network and controls to prevent unauthorised modification to device configuration		
2.			Provide details of connections to the internet		
3.			Provide details of any remote connections used to support the betting operation		
4.			Provide details of authentication and encryption associated with remote connections		
5.			Provide details of authentication and encryption used by operator consoles and controls to prevent unauthorised use of operator consoles		
6.			Provide list of all non-production systems and third party systems that will connect to the betting system		
7.			If point 6 applies: the connection method, details of the information to be transferred in each direction, the entity that initiates the information transfer, the protocol used to perform the transfer, the controls in place to prevent access to other information on the betting system, the controls in place to prevent unauthorised use of the connection, and the controls in place to prevent spying on communications between non-production systems and the betting system		
8.			Provide details and configurations of the devices that will be used to control access from the internet to the internal production network		
9.			Provide details and configurations of the devices that will be used to control access from other networks to the internal production network		
10.			Provide details of the physical location of the network management system		
11.			Provide details of personnel authorised to use the network management system		
12.			Provide details of locations from where network management functions can be executed		
13.			Provide network management protocol documentation		
14.			Provide details of controls in place to prevent unauthorised access to network management functions		
15.			Provide details of controls in place to audit the use of network management functions		

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16.		Provide details of controls in place to detect unauthorised connections to the network		
17.		Provide details of controls in place to detect connection of unauthorised equipment to the network		
18.		Provide details of the locations and physical and logical security arrangements associated with domain name servers within the internal production network		

Host Computers					
	Y	N		Assessing Group	Notes
1.			Provide overview of the betting system design		
2.			Provide functional specification of the betting system		
3.			Provide detailed betting system design document		
4.			Provide details of all computer systems used by the betting system such as: <ul style="list-style-type: none"> • hardware platform; • operating system; • applications; • audit subsystem; • duplication strategy; • disk subsystem; • physical security; • login security; and • power requirements. 		
5.			Provide details of equipment used in the computer environment such as: <ul style="list-style-type: none"> • front ends; • firewalls; • operator consoles; • remote controllers; • multiplexing equipment; • switching equipment; • monitoring equipment; • routers; and • repeaters. 		

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6.			Provide descriptions of where and how information is stored throughout the system		
7.			Provide detailed descriptions of its password protection systems and associated algorithms utilised by the system		
8.			Provide a description of the method of transaction logging used		
9.			Where data file encryption is to be employed the following information must be provided: <ul style="list-style-type: none"> • description of the algorithm; • theoretical basis of the algorithm; • analysis to demonstrate the algorithm is suitable for intended application; • rules for selection of keys; and • means of setting and protecting keys. 		
10.			Provide a description of how self-monitoring is to be implemented		

Software

	Y	N		Assessing Group	Notes
1.			Provide the source software for the betting system software		
2.			Provide a description of the method to be used to verify that the software evaluated and the software for live operation are equivalent		

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Security					
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1.			Provide details of the message authentication algorithm used		
2.			Provide details of the encryption algorithms to be used during betting		
3.			Provide details of the size of encryption keys to be used during betting		
4.			Provide details of the key exchange procedure at session start-up		
5.			Provide details of subsequent key exchanges		
6.			Provide details of any information that is not encrypted for transmission		
7.			Provide details of policies of standards and procedures for: <ul style="list-style-type: none"> • change management; • release management; • configuration management; • application management; • capacity management; • service level management; • financial management; • service continuity management; and • information communication technology management 		
8.			Provide validation that customer payment card details are encrypted		
9.			Provide validation that data centre is secure and accessible only by authorised persons		
10.			Provide details of back-up systems in place for most component failures		
11.			Provide details of UPS and stand by generator to support betting equipment in the event of a power failure to secure the integrity of data		
12.			Provide copy of baseline document which documents all system components and related configuration items and identifies those systems core to operations		
13.			Provide details of password security specifically protocols for: <ul style="list-style-type: none"> • initial password change on first use; • enforcement of appropriate minima password length; • restriction of password re-use; • checking against invalid names; • adequate protection for emergency passwords; 		

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			<ul style="list-style-type: none"> • access to all program and important data files by authorised officers only; • unique passwords which are encrypted in non-reversible form; and • a list of all registered users on the system and a log of 12 months of their activity history. 		
14.			Provide details of disaster recovery plans		
15.			Provide details of how databases will be reloaded from the last back up point to fully recover crucial transactions		
16.			Provide details of how stored data meets cryptographic standards set out for encryption in the Australian Government Information and Communications Technology Security Manual		
17.			Provide details of how personal identification numbers and all passwords are encrypted in a non-reversible form for storage and use		
18.			Provide details of how the system prevents the changing of major events and betting transaction logs		
19.			Provide validation that at least two electronic copies for each file and database that contains information endures		
20.			Provide validation that cryptographic security applies to all critical data that traverses data communication lines endures		
21.			Validation that data exchanged with computer systems outside of the network pass through at least one network control device		
22.			Provide evidence that internet connections demonstrate adequate network based and host based intrusion detection capabilities and include automatic alerts in the event of a breach		
23.			Provide assurance that no customer payment card details are stored in the system		

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Transaction					
	Y	N		Assessing Group	Notes
1.			Provide sample of customer's bet confirmation receipt, the receipt must be inclusive of: <ul style="list-style-type: none"> • bet sold message • time and date bet sold • race date • race venue • race number • race selection name and TAB number • bet type • race type • bet stake • fixed price • refunds & deductions message if applicable • maximum payout • unique transaction identifier 		
2.			Provide sample of bet prompt, message appearing after the customer populates bet and before bet confirmation, the prompt must be inclusive of: <ul style="list-style-type: none"> • race date • race venue • race number • race selection name and TAB number • bet type • race type • bet stake • fixed price • refunds & deductions message if applicable • maximum payout 		
3.			Provide proof that the system is minimum bet rule compliant		
4.			Provide proof that if a downward price change occurs during the bet selling process the customer is given the option of accepting or rejecting the lesser price		
5.			Provide proof that a unique transaction nos. is allocated to each bet		