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CHAPS Reference Manual Change Control Register – V. 2 Jan 2024

Changes post 04 January 2022

| Version being changed | Effective date of change/new version | Section(s) | Details or purpose of new/deleted/change to rule/requirement |
|-----------------------|--------------------------------------|----------------|---|
| 01/06/22 | 06/01/23 | Various | A rewrite of one provision on Emergency Access Account (CRM_346 – section 29.5) following review of how this rule operated which identified that this rule did not reflect the current processes and procedures undertaken by Direct Participants today. We've updated to be more outcome focused mitigating on the risk – i.e. misuse of privileged access Changes in advance of RTGS Renewal Programme - Transition State 2.1 (TS2.1) - In preparation for TS2.1 we are future proofing key terms. Minor amendments to address deficiencies to existing provisions, to address clarity, readability, duplication and non-material spelling and cross-referencing errors. |
| 04/01/23 | 04/01/23 | 25, 26, 33, 34 | Changes to section 25 reflect RCEP going live. Changes to section 26 reshaped rules which previously sat in the CHAPS Operating Reference Manual, surrounding the need to have a communication method acceptable to the Bank for contingency payments, and non-payment messages. Changes to sections 33 and 34 to correct minor errors. |
| 02/01/24 | 02/01/24 | 20 | Changes to SWIFT connectivity options. |

Historic Changes pre 04 January 2022

| Version being changed | Issue date of version being changed | Effective date of change | Page Number in version being changed | Page Number in new version | Chapter | Section | Details or purpose of new/deleted/change to rule/requirement |
|-----------------------|-------------------------------------|--------------------------|--------------------------------------|----------------------------|---------|---------|--|
| 31/03/21 | 04/01/22 | 04/01/22 | All | All | All | All | A refreshed version of the CHAPS Reference Manual takes effect. This is the final step in a programme of work to enhance the CHAPS Reference Manual. The new version is simpler, reduces duplication, and seeks to reduce the burden on CHAPS Direct Participants while maintaining an appropriate level of risk management. The CHAPS Reference Manual is now structured around general rules, which set out how participation in the |

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| | | | | | | | CHAPS system operates, and operational rules, which seek to mitigate risk to the smooth of payments in CHAPS in between Direct Participants. More detail can be provided on request. |
| 29/01/21 | 31/03/21 | 31/03/21 | 44 | 44 | Participant Categorisation flowchart and table | Flowchart | Amendment of alignment of applicable requirement references |
| 29/01/21 | 31/03/21 | 31/03/21 | 64 | 64 | 3 | Section 6: C -Continuity & Capacity | Amendment of referenced number within requirement 15 |
| 29/01/21 | 31/03/21 | 31/03/21 | 77 | 77 | 3 | Section 7: J - Change Management | Revised wording on requirement 90 |
| 30/06/20 | 30/06/20 | 01/02/21 | 22 | 22 | Glossary | CHAPS Glossary | Removal of Reference PN5005 and BACS Payment Schemes Limited |
| 30/06/20 | 30/06/20 | 01/02/21 | 67- 69 | 69-71 | 3 | Section 7:Day to Day operations, C Static Data and routing | Removal of Reference PN5005 |
| 30/06/20 | 30/06/20 | 01/02/21 | 83 | 85 | 3 | Part B, Section 1: Indirect Participants | Removal of Reference PN5005 |
| 30/06/20 | 30/06/20 | 01/02/21 | 21 | 21-22 | Glossary | CHAPS Glossary | Amendment of definition of Service Provider |
| 30/06/20 | 30/06/20 | 01/02/21 | N/A | 15 | Glossary | CHAPS Glossary | Inclusion of description of Cloud Service Provider |
| 30/06/20 | 30/06/20 | 01/02/21 | N/A | 16 | Glossary | CHAPS Glossary | Inclusion of description of Cloud Service Provider - Region |
| 30/06/20 | 30/06/20 | 01/02/21 | N/A | 16 | Glossary | CHAPS Glossary | Inclusion of description of Cloud Service Provider - Availability Zone |
| 30/06/20 | 30/06/20 | 01/02/21 | N/A | 22 | Glossary | CHAPS Glossary | Inclusion of Shared Responsibility Model description |
| 30/06/20 | 30/06/20 | 01/02/21 | 39 | 40 | 3 | Table of Contents | Rename of Section 3 to Outsourcing and Third Party Risk Management |
| 30/06/20 | 30/06/20 | 01/02/21 | 50 - 51 | 51-53 | 3 | Section 3: Service Providers | Replacement of Service Providers section to Outsourcing and Third Party Risk Management New pre-headers and supporting requirements A - Pre Outsourcing B - Outsourcing Management and Governance C - Outsourcing Systems, Data, Business Continuity and Resilience |
| 30/06/20 | 30/06/20 | 01/02/21 | 57 | 59 | 3 | Section 5 : Supply Chain Risk Management | Revised Requirement 14.1 |
| 30/06/20 | 30/06/20 | 01/02/21 | 10-12 | 10-12 | 1 | Governing Law and Jurisdiction | Replacement of asymmetric jurisdiction with an exclusive jurisdiction clause following the UK withdrawal from the EU |

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| | | | | | | Interpretation of this CHAPS REFERENCE MANUAL | |
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| 30/06/20 | 30/06/20 | 01/02/21 | 18 | 18 | 1 | CHAPS Glossary – Institution | Removal of European Community replaced with UK |
| 30/06/20 | 30/06/20 | 01/02/21 | 30 | 31 | 2 | CHAPS RULES : Rights and Duties of Participants | Clarification that FMIRs should be captured by definition of regulations |
| 30/06/20 | 30/06/20 | 01/02/21 | 101 | 102 | 4 | Part B, Exercise of Discretions Reserved to the Bank Section D: Risks arising in Tiering Arrangements – Operational, Legal and Systemic Risks Clause 22 | Revised wording to support the inclusion of Settlement Finality Directive |
| 31/03/20 | 31/03/20 | 30/06/20 | 65 | 64 | 3 | Section 7: Day to Day operations, A. CHAPS Operating day | Removal of mandatory use of /SETT/ in field 72 for settlement period between 17:40 – 18:00 |
| 31/03/20 | 31/03/20 | 30/06/20 | 70 | 69 | 3 | Section 7: Day to Day operations, C. Static data and routing | Removal of “Cheque and Credit paper scheme (C&CCC)” due to closure of this scheme. |
| 31/03/20 | 31/03/20 | 30/06/20 | 16, 48 and 55 | 16, 47 and 54 | Glossary and chapter 3 | CHAPS Glossary, Section 2: Operations and continuity, C. Business continuity and Section 4: Network and Swift connectivity | Removal of reference to “Webstation” as no longer used for Enquiry Link. |
| 31/03/20 | 31/03/20 | 30/06/20 | 15 & 16 | 15 & 16 | Glossary; contents table; and chapter 3 | CHAPS Glossary | Implementation of enhanced Security Requirements following the consultation in 2019. |
| | | | 39 & 40 | 39 & 40 | | table of contents. | |
| | | | 47 & 49 | 47 & 49 | | Section 2: Operations and continuity, | |
| | | | 52 to 55 | 52 to 55 | | Section 4: Network and Swift connectivity, | |
| | | | 55 to 62 | 56 to 60 | | Section 5: Security | |
| 62 | 61 | Section 6: Resilience and contingency | | | | | |
| 06/01/20 | 06/01/20 | 31/03/20 | 48 | 48 | 3 | Section 2: Operations and Continuity, E. | Inclusion of new requirement 16.2. |

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| | | | | | | Operational and personnel contacts | |
| 06/01/20 | 06/01/20 | 31/03/20 | 64 | 64 | 3 | Section 6: Resilience and contingency, C. Continuity and capacity | Correcting reference to paragraph 17 as this is now paragraph 16. |
| 06/01/20 | 06/01/20 | 31/03/20 | 82 | 82 | 3 | Section 9: CHAPS Self-certification compliance certificate and questionnaire | Inclusion of new requirement 9. |
| 30/09/19 | 30/09/19 | 06/01/20 | 22 | 22 | N/A | CHAPS Glossary | Inclusion of new definition - Three Lines of Defence Model |
| 30/09/19 | 30/09/19 | 06/01/20 | 49 | 49 | 3 | Section 2: Operations and Continuity | New requirement 18 added re the auditing of operational and personnel controls. |
| 30/09/19 | 30/09/19 | 06/01/20 | 75 | 75 | 3 | Section 7: Day to Day operations, J. Change Management | Removal of Application Software and the inclusion of Change Management Approach. |
| 30/09/19 | 30/09/19 | 06/01/20 | 75 | 75 | 3 | Section 7: Day to Day operations, J. Change Management | New requirement 83 added re risk management framework and change control methodology. |
| 30/09/19 | 30/09/19 | 06/01/20 | 75 | 75 | 3 | Section 7: Day to Day operations, J. Change Management | Removal of reference to material from requirement 84. |
| 30/09/19 | 30/09/19 | 06/01/20 | 76 | 76 | 3 | Section 7: Day to Day operations, J. Change Management | New requirement 85 added re appropriate risk assessments |
| 30/09/19 | 30/09/19 | 06/01/20 | 76 | 76 | 3 | Section 7: Day to Day operations, J. Change Management | The inclusion of sub requirement 86.1 re the personnel conducting the Risk Assessment. |
| 30/09/19 | 30/09/19 | 06/01/20 | 76 | 76 | 3 | Section 7: Day to Day operations, J. Change Management | Inclusion of the following wording – “directly or indirectly impact the CHAPS System” to existing requirement 90. |
| 30/09/19 | 30/09/19 | 06/01/20 | 76 | 76 | 3 | Section 7: Day to Day operations, J. Change Management | Amendment to existing requirement 92 re changes to production environment and replaced with new wording re approved testing strategy and/or methodology. |
| 30/09/19 | 30/09/19 | 06/01/20 | 76 | 76 | 3 | Section 7: Day to Day operations, J. Change Management | Amendment of existing requirement 93 re testing strategy and/or methodology. |

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| 30/09/19 | 30/09/19 | 06/01/20 | 76 | 77 | 3 | Section 7: Day to Day operations, J. Change Management | Amendment of existing requirement 94 to include methodology/strategy. |
| 30/09/19 | 30/09/19 | 06/01/20 | 76 | 77 | 3 | Section 7: Day to Day operations, J. Change Management | Amendment to existing requirement 95.1, and the inclusion of two new requirements 95.2 & 95.3 re CHAPS related changes and the assessment of test and pre-production environments. |
| 30/09/19 | 30/09/19 | 06/01/20 | 77 | 77 | 3 | Section 7: Day to Day operations, J. Change Management | Inclusion of wording - including any relevant change to existing requirement 99. |
| 29/03/19 | 29/03/19 | 30/09/19 | 53 | 53 | 3 | Section 4: Network and SWIFT connectivity | Amending test frequency from quarterly to 'annually' |
| 29/03/19 | 29/03/19 | 30/09/19 | 70 | 70 | 3 | Section 7: Day to Day operations, C. Static Data and Routing | Inclusion of new payment scheme ICS (Image Clearing System) |
| 29/03/19 | 29/03/19 | 30/09/19 | 75 | 75 | 3 | Section 7: Day to Day operations, I. Operational Communications | Change relates to new process implemented by PSC earlier in 2019 to address Participants contacts which should be reviewed every four months. |
| 29/03/19 | 29/03/19 | 30/09/19 | 79 | 79 | 3 | Section 8: Throughput, A Throughput Criteria | Reflects change made to Technical and Operational Committee which is now known as 'Participant Engagement Forum'. |
| 02/01/19 | 29/03/19 | 29/03/19 | 19 | 19 | N/A | CHAPS Glossary | Deletion of "Payment System Regulator's" address as it has changed and is freely available on the web. |
| 02/01/19 | 29/03/19 | 29/03/19 | 72 & 73 | 73 & 74 | 3 | Section 7: Day to Day operations, H. Incident Management | A number of changes have been made to reflect the new process following the implementation of the Post Implementation Management team. |
| 02/01/19 | 29/03/19 | 29/03/19 | 69 | 69 & 70 | 3 | Section 7: Day to Day operations, C. Static Data and Routing | Changes relate to the decommissioning of CHAPS Operations and introduction of the CHAPS Technology and Testing team. |
| 02/01/19 | 29/03/19 | 29/03/19 | 71 | 71 | 3 | Section 7: Day to Day operations, E. Performance Monitoring | Change relates to the decommissioning of CHAPS Operations and introduction of the CHAPS Technology and Testing team. |
| 02/01/19 | 29/03/19 | 29/03/19 | 75 | 75 | 3 | Section 7: Day to Day operations, J. Change Management | Change relates to the decommissioning of CHAPS Operations and introduction of the CHAPS Technology and Testing team. |
| 02/01/19 | 29/03/19 | 29/03/19 | 77 | 77 | 3 | Section 7: Day to Day operations, K. Routine Testing | Change relates to the decommissioning of CHAPS Operations and introduction of the CHAPS Technology and Testing team. |

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| 02/01/19 | 29/03/19 | 29/03/19 | Various | Various | Various | CHAPS Glossary and Chapter 3 | A number of changes have been made throughout the document to reflect the renaming and ownership from CHAPS Operations to RTGS System Controllers. |
| 02/07/18 | 02/07/18 | 28/09/18 | 122 & 123 | 111 & 112 | 4 | CHAPS Procedures, Part C, Section 1, Waivers | Redefining application of Throughput Criteria to Category 3 banks and FMIs. |
| 02/07/18 | 02/07/18 | 28/09/18 | 74 | 63 | 3 | Section 6, Site Contingencies | Insertion of new wording to paragraph 10 – Site Contingencies |
| 02/07/18 | 02/07/18 | 28/09/18 | 91 & 92 | 80 & 81 | 3 | Section 9, CHAPS Self-certification | Redefining this section to align with the CHAPS self-certificate |
| 02/07/18 | 02/07/18 | 28/09/18 | 93 | 82 | 3 | Section 10, Onboarding Obligations | Redefining the Shepherding Onboarding Obligations |
| 28/09/18 | 28/09/18 | 02/01/19 | 72 | 61 | 3 | Section 5K, Security – Access Control | Replace “end of 2018” with “date specified by SWIFT”. |
| 28/09/18 | 28/09/18 | 02/01/19 | 39 | 27 | 2 | Participation, Access Criteria and Consent to Tiered Arrangements | Remove reference to “10 minutes” and replace with “The Direct Participant must notify the Bank of England as payment system operator, immediately upon becoming aware that they have ceased” |
| 28/09/18 | 28/09/18 | 02/01/19 | 42 | 30 | 2 | Rights and Duties of Participants | Remove reference to “10 minutes” and replace with “Each Direct Participant must notify the Bank of England as payment system operator, immediately upon becoming aware” |
| 28/09/18 | 28/09/18 | 02/01/19 | 53 | N/A | 3 | Participant Categorisation Flowchart and Table | Remove “AND” from Flowchart to only reference “15% <u>OR</u> value between 1-10%” |
| 28/09/18 | 28/09/18 | 02/01/19 | 73 | N/A | 3 | Section 5L, Security – CHAPS Requirements for Aggregator and Cloud Based Technology | Addition of wording in requirement 62 to read “Any revocation, change of scope or non-compliances to the above standards must be declared to CHAPS immediately, accompanied by realistic action plans to address the deficiencies within an acceptable time-scale” |
| 28/09/18 | 28/09/18 | 02/01/19 | 3, 89 & 117 to 119 | N/A | N/A | Annex A – Transitional Specification Arrangements | “Annex A” has expired as at 1 st January 2019 due to the relevant legislation coming into force, therefore has been deleted in its entirety. |
| 28/09/18 | 28/09/18 | 02/01/19 | 31 | 19 | N/A | CHAPS Glossary | Under Relevant Decision, bullet point 2 – Corrected to state “2.4.1” instead of “2.1.4” |
| 25/05/18 | 25/05/18 | 02/07/18 | 34 | N/A | 2 | CHAPS Rules | Deletion of “and” at the end of 2.1.4. |
| 25/05/18 | 25/05/18 | 02/07/18 | 34 | 26 | 2 | CHAPS Rules | Addition of the phrase “such opinion may be requested either in advance of a potential Participant joining the CHAPS System and/or from existing Participants any |

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| | | | | | | | time when there is a material change to the relevant laws or regulations governing or affecting the CHAPS System" at the end of 2.1.5. |
| 25/05/18 | 25/05/18 | 02/07/18 | N/A | 26 | 2 | CHAPS Rules | Addition of new access criterion for NBPSs 2.1.6. |
| 25/05/18 | 25/05/18 | 02/07/18 | N/A | 26 | 2 | CHAPS Rules | Addition of new access criterion for NBPSs 2.1.7. |
| 25/05/18 | 25/05/18 | 02/07/18 | N/A | 54 | 3 | CHAPS Participation Requirements | Insertion of new paragraph 22.4. |
| 25/05/18 | 25/05/18 | 02/07/18 | 73 & 82 | 65 & 74 | 3 | Section 7: Day to Day operations | Replace references in 6, 7 and 78 to "no later than 10 minutes "with " no later than 15 minutes". |
| 25/05/18 | 25/05/18 | 02/07/18 | N/A | 71 | 3 | Section 7: Day to Day operations | Insertion of new paragraph 50.10. (re Technical Incidents). |
| 25/05/18 | 25/05/18 | 02/07/18 | 63 | 52 | 3 | Section 4: Network and SWIFT connectivity | Replace "CHAPS interface technical documentation" with "the CHAPS Technical Reference Manual" in paragraph 2. |
| 25/05/18 | 25/05/18 | 02/07/18 | 67 & 68 | 56 & 57 | 3 | Section 5: Security, E. Compromise of security assets | Replace references in 14.1 and 17 to "no later than 10 minutes "with " no later than 15 minutes". |
| 25/05/18 | 25/05/18 | 02/07/18 | 71 | 60 | 3 | Section 5: Security, J. Systems activity and administration | Replace reference in 53 to "no later than 10 minutes "with " no later than 15 minutes". |
| 25/05/18 | 25/05/18 | 02/07/18 | 93 | 82 | 3 | Section 10, Onboarding obligations | Replace wording in Section 10, Onboarding obligations |
| 02/07/18 | 02/07/18 | 28/09/18 | 89 & 90 | 78 & 79 | 3 | Section 8, Throughput | Redefining application of Throughput Criteria to Category 3 banks and FMIs. |
| 05/01/18 | 05/01/18 | 25/05/18 | N/A | 19 | 1 | CHAPS Glossary | Addition of new definition "Participant Staff" |
| 05/01/18 | 05/01/18 | 25/05/18 | 27 | 19 | 1 | CHAPS Glossary | Amendment of definition "Personal Data" to read "Has the same meaning as in the Data Protection Legislation" |
| 05/01/18 | 05/01/18 | 25/05/18 | 45 | 39 | Table of Contents | Table of Contents | Renumbering of page numbers |
| 05/01/18 | 05/01/18 | 25/05/18 | 95 | 89 | Table of Contents | Table of Contents | Renumbering of page numbers |
| 05/01/18 | 05/01/18 | 25/05/18 | 121 | 115 & 116 | 4 | Part E: Data Protection | Insertion of new paragraphs 1, 3 and 8 |
| 05/01/18 | 05/01/18 | 25/05/18 | 121 | N/A | 4 | Part E: Data Protection | Deletion of previous paragraphs 3,5 and 6 |
| 05/01/18 | 05/01/18 | 25/05/18 | 121 | 115 & 116 | 4 | Part E: Data Protection | Renumbering and amendment of previous paragraphs 1, 2,4 and 7 |
| 05/01/18 | 05/01/18 | 25/05/18 | 121 | 115 & 116 | 4 | Part E: Data Protection | Insertion of new paragraphs 1, 3 and 8 |
| 05/01/18 | 05/01/18 | 25/05/18 | 121 | N/A | 4 | Part E: Data Protection | Deletion of previous paragraphs 3,5 and 6 |
| 25/05/18 | 25/05/18 | 25/05/18 | 25 | 15 | 1 | CHAPS Glossary | Amendment of "Data Protection Legislation" definition |
| 25/05/18 | 25/05/18 | 02/07/18 | N/A | 15 | 1 | CHAPS Glossary | Addition of new definition "Commissioners" |
| 25/05/18 | 25/05/18 | 02/07/18 | N/A | 16 | 1 | CHAPS Glossary | Addition of new definition "EMRs 2011" |

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| 25/05/18 | 25/05/18 | 02/07/18 | 27 | 17 & 18 | 1 | CHAPS Glossary | Simplification of paragraph (ii) definition of "Institution" by amending existing definition to show enactment of relevant UK enabling legislation |
| 25/05/18 | 25/05/18 | 02/07/18 | 27 | 18 | 1 | CHAPS Glossary | Addition of new definition "Non-Bank Payment Service Provider (NBPSP)" |
| 25/05/18 | 25/05/18 | 02/07/18 | 28 | N/A | 1 | CHAPS Glossary | Deletion of "Payments UK" definition |
| 25/05/18 | 25/05/18 | 02/07/18 | 28 | 19 | 1 | CHAPS Glossary | Update of the Payment Services Regulation version |
| 25/05/18 | 25/05/18 | 02/07/18 | N/A | 20 | 1 | CHAPS Glossary | Addition of new definition "Relevant Funds" |
| 25/05/18 | 25/05/18 | 02/07/18 | N/A | 21 | 1 | CHAPS Glossary | Addition of new definition "Sterling Monetary Framework" |
| 25/05/18 | 25/05/18 | 02/07/18 | N/A | 21 | 1 | CHAPS Glossary | Addition of new definition "Supervisory Assessment" |
| 25/05/18 | 25/05/18 | 02/07/18 | 33 | 25 | 2 | CHAPS Rules | Addition of the phrase "(or, where applicable and in relation to a NBPSP Participant, more than one sterling settlement account)" in 2.1.1. |
| 25/09/17 | 25/09/17 | 05/01/18 | 82 | 77 | 3 | Day to day operations | Replace ", repayments" with "return" |
| 25/09/17 | 25/09/17 | 05/01/18 | 77 | 71 | 3 | Day to day operations | Remove "E.53 A Participant shall provide its CHAPS service level performance statistics to CHAPS Operations by no later than the tenth CHAPS Business Day of the subsequent operating month." |
| 25/09/17 | 25/09/17 | 05/01/18 | 77 | 71 | 3 | Day to day operations | Addition of "and, as requested" to requirement E.52 |
| 25/09/17 | 25/09/17 | 05/01/18 | 67 | 60 & 61 | 3 | Security | Addition of two requirements "60 & 61, regarding SWIFT Customer Security (SWIFT CSP) |
| 25/09/17 | 25/09/17 | 05/01/18 | N/A | 61 | 3 | Security | Addition of "Aggregator and Cloud Based Technology Requirement" |
| 25/09/17 | 25/09/17 | 05/01/18 | 62,63,65 | 52,56 & 57 | 3 | Security | Replace ", Stores" with "Certificates" |
| 25/09/17 | 25/09/17 | 05/01/18 | 67 | 62 | 3 | Resilience and Contingency | Addition of a "new risk based assessment for Data Centre distances between Primary and Secondary sites, which replaces the existing requirement in the CRM. |
| 25/09/17 | 25/09/17 | 05/01/18 | 72 & 78 | 67 & 72 | 3 | Extensions/Incident Management | Replace ", 10 minutes" with "15 minutes" |
| 25/09/17 | 25/09/17 | 05/01/18 | 69 | 63 | 3 | Resilience and Contingency | Replace ", half yearly" with "twice a year" |
| 25/09/17 | 25/09/17 | 05/01/18 | 98 | 93 | 4 | Participation Costs | Amend DR charge to "0.195 & add 2018" |
| 25/09/17 | 25/09/17 | 05/01/18 | 79 | 74 | 3 | Day to day operations | Replace wording under Operational Communications, formally "82.1 – 82.6, now 81.1 to 81.6" |
| 25/09/17 | 25/09/17 | 05/01/18 | 76 | 71 | 3 | Day to day operations | Remove "E.52.2 & 52.3" as being captured under Incident Management |

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| 25/09/17 | 25/09/17 | 05/01/18 | 78 | 73 | 3 | Day to day operations | Addition of new wording "66.3 & 66.4", re Incident Management |
| 05/01/18 | 05/01/18 | 25/05/18 | 11 | 3 | Table of Contents | Table of Contents | Renumbering of page numbers |
| 05/01/18 | 05/01/18 | 25/05/18 | N/A | 15 | 1 | CHAPS Glossary | Addition of new definition "Data Protection Legislation" |
| 05/01/18 | 05/01/18 | 25/05/18 | N/A | 16 | 1 | CHAPS Glossary | Addition of 3 new definitions "Data Recipient" "Data Transferor" and "DPA Data" |
| 05/01/18 | 05/01/18 | 25/05/18 | N/A | 17 | 1 | CHAPS Glossary | Addition of new definition "HVPS Services" |
| 1.1D | 29/04/16 | 13/02/17 | 87 | 90 | 3 | Static Data and Routing -21 | Remove "Its CHAPS Board Director (or another" and replace with "a" |
| 2 | 13/02/17 | 31/07/17 | 71 | 71 | 3 | Section 4: Network and SWIFT connectivity, bullet 22.5 | Remove "and select" |
| 2 | 13/02/17 | 31/07/17 | 76 | 76 | 3 | Section 5: Security, bullet 37 | Replace "regularly" with "annually" |
| 2 | 13/02/17 | 31/07/17 | 75 | 75 | 3 | Section 5: Security, bullet 23 | Replace "periodically" with "annually or when significant changes take place" |
| 2 | 13/02/17 | 31/07/17 | 107-108 | 107-108 | 3 | Participation Requirements, para 5 | Replace reference to "paragraph 4"with "paragraph 3", and reference to "paragraph 6"with "paragraph 5" |
| 2 | 13/02/17 | 31/07/17 | 95 | 95 | 7 | Participation Requirements, 76.1 | Add "to achieve successful root cause analysis" to end of paragraph |
| 2 | 13/02/17 | 31/07/17 | 94 | 94 | 3 | Participation Requirements, 66, 67 and 71 | Replace references in 66 and 67 to "10 minutes" with "15 minutes". In 71, replace "using Incident Management Forms "with "within 15 minutes of the Incident being recognised" |
| 2 | 13/02/17 | 31/07/17 | All | All | All | Footer | Replace ", Confidential" with "Classification: Public" |
| 2 | 13/02/17 | 31/07/17 | All | All | All | Header | All references to version numbers and dates replaced with Version: 31 July 2017 |
| 3 | 25/09/17 | HVPS Operator Transfer Time (as defined in the Participation Agreement | All | All | All | Header | Revised in line with Bank becoming operator |

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| 1.1D | 29/04/16 | 13/02/17 | 77 | 79 | 3 | 5K | Add requirement (57) regarding multi factor authentication for remote access |
| 1.1D | 29/04/16 | 13/02/17 | 77 | 79 | 3 | 5K | Add requirement (58) regarding logical session timeout for remote access |
| 1.1D | 29/04/16 | 13/02/17 | 92 | 94 | 3 | Reporting Incidents (73) | Replace 5 CHAPS Business Days with 10 days |
| 1.1D | 29/04/16 | 13/02/17 | 84 | 86 | 3 | 7 B.12 Line 4 | Requestor should read CHAPS Co |
| 1.1D | 29/04/16 | 13/02/17 | 83 | 85 | Chaps Participation Requirements CHAPTER 3/7 | Day to Day operations - CHAPS operating Day - Abnormal issues, risks or threats (e.g. cyber-attacks) | Will now read: Participants shall reconcile the "Settled CHAPS Payment Summary" on the Enquiry Link each CHAPS Business Day to their own data records. If any discrepancy is identified by this reconciliation process, a Participant shall immediately (and not later than 10 minutes) investigate and advise RT System Controllers first, followed by CHAPS Co Operations |
| 1.1D | 29/04/16 | 13/02/17 | Throughout the whole CRM | Throughout the whole CRM | Throughout the whole CRM | Throughout the whole CRM | Amend references to CHAPS Tech Manual to CHAPS Technical Reference Manual |
| 1.1D | 29/04/16 | 13/02/17 | 127 | 132 | 4 | Part B section E | Footnote added to advise how a ring-fence bank is dealt with for Tiering |
| 1.1D | 29/04/16 | 13/02/17 | 141 | 147 | 3 | Waivers and Appeals - 13 | Change Board Director to TOC representative |
| 1.1D | 29/04/16 | 13/02/17 | 101 | 104 | 3 | Self-Certification - 4 | 'Head of the Key Business Area' (Payments) as defined by the PRA to replace Board Director |
| 1.1D | 29/04/16 | 13/02/17 | 101 | 104 | 3 | Self-Certification - 5.2 | 'Head of the Key Business Area' (Payments) as defined by the PRA to replace Board Director |

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| 1.1D | 29/04/16 | 13/02/17 | 68 | 69 | 3 | 4: Network and SWIFT Connectivity (Para 12, 13 & 14) | <p>Replace Paragraph 12 to; "Participants are required to implement a Tertiary SWIFT Connection that would be used in the event that their primary and secondary connections are inoperable. This paragraph 12 does not apply to Category 3 Participants."</p> <p>Replace Paragraph 13 to; "The Tertiary SWIFT Connection Principles defined in the CHAPS Technical Reference Manual must be adhered to for a Participants Tertiary SWIFT Connection solution. This paragraph 13 does not apply to Category 3 Participants."</p> <p>Delete Para 14 in its entirety</p> |
| 1.1D | 29/04/16 | 13/02/17 | 25 | N/A | 1 | Glossary | Remove the definition for "Tertiary network" |
| 1.1D | 29/04/16 | 13/02/17 | 67 | 69 | 3 | 4 | Include segregation of networks in requirement 2 |
| 1.1D | 29/04/16 | 13/02/17 | 72 | 73 | 3 | 5D | Change title from Security Asset Management to "Asset Management" |
| 1.1D | 29/04/16 | 13/02/17 | 72 | 73 | 3 | 5D | Revise requirement to apply to all assets not just security in requirement 11 |
| 1.1D | 29/04/16 | 13/02/17 | 72 | 73 | 3 | 5D | Revise requirement to apply to all assets not just security in requirement 12 |
| 1.1D | 29/04/16 | 13/02/17 | 77 | 78 | 3 | 5J | Add requirement (43) regarding synchronisation of clocks used in event logs and audit trails |
| 1.1D | 29/04/16 | 13/02/17 | 77 | 78 | 3 | 5K | Remove word "and" from 55.2 and add to 55.3 to reflect additional sub requirement: 55.4 |
| 1.1D | 29/04/16 | 13/02/17 | 77 | 78 | 3 | 5K | Add requirement regarding configuration and management of remote access permissions/credentials |
| 1.1D | 29/04/17 | 13/02/17 | 73 | 74 | 3 | Security - Compromise of security assets | Will now read: Will the event of credential stores being lost or stolen, a Participant shall procure that its PSOs |

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| | | | | | | | <p>immediately (and not later than 10 minutes) upon becoming aware, take the following actions:</p> <p>17.1 revoke the certificates of lost or stolen credential stores - which can be done on-line or, in an emergency, SWIFT can be asked to perform this task; and 17.2 inform RTGS System Control.</p> <p>All reports of stolen or lost credential stores should be confirmed in writing by an authorised signatory of the Participant to RTGS System Control. This will result in the Enquiry Link Webstation Operator service or its successors including Enquiry Link Browse being disabled immediately on the RTGS System.</p> |
| 1.1D | 29/04/17 | 13/02/17 | 77 | 79 | 3 | Security - Systems activity and administration | Will now read: Where a Participant uses an emergency access account, it must ensure that the relevant account(s) are disabled immediately (and not later than 10 minutes) upon becoming aware after use and all relevant passwords changed. |
| 1.1D | 29/04/16 | 13/02/17 | 80 | 81 | 3 | 6: Resilience and Contingency (Para 11) | Delete frequency box and amend Paragraph 11 to; "Participants shall regularly test all of the technical and operational aspects of their site contingency arrangements at least half yearly" |
| 1.1D | 29/04/16 | 13/02/17 | 80 | 82 | 3 | 6: Resilience and Contingency (Para 15) | Amend Paragraph 15 to; "Each Participant shall have sufficient capacity to meet unplanned inbound and outbound payment volumes. Unplanned volumes are calculated by taking the peak days inbound and outbound payment volumes from the previous year for the Participant, averaging them and then multiplying by 2 (two)." |
| 1.1D | 29/04/17 | 13/02/17 | 98 | 101 | 3 | Part A Section 8 | Replace pages 98 through to 100 in its entirety with CHAPS throughput Criteria ESD Draft Section 8 Throughput Criteria v0.1 |
| 1.1D | 29/04/17 | 13/02/17 | 140 | 146 | 4 | Part C Section 1 | Replace pages 140 in its entirety with CHAPS Throughput Criteria ESD Draft TAW Procedure v0.1 |

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| 1.1D | 29/04/17 | 13/02/17 | 141 | 146 | 4 | Part C Section 1 | Replace pages 141 in its entirety with Throughput Criteria ESD Draft Throughput Escalation Process v0.1 |
| 1.1D | 29/04/17 | 13/02/17 | 83 | 85 | 3 | <i>Day to Day operations - CHAPS operating Day - Abnormal issues, risks or threats (e.g. cyber attacks)</i> | Will now read: Participants shall reconcile the "Settled CHAPS Payment Summary" on the Enquiry Link each CHAPS Business Day to their own data records. If any discrepancy is identified by this reconciliation process, a Participant shall immediately (and not later than 10 minutes) investigate and advise RT System Controllers. |
| 1.1D | 29/04/17 | 13/02/17 | 102 | 106 | 3 | Self-certification - Monitoring and reporting | Will now read: Participants shall actively monitor the resolution of all exceptions and bring to the attention of the Bank any risks arising. Where planned remediation dates are missed or no longer deemed achievable, then these must be reported to the Bank upon becoming aware. |
| 1.1D | 29/04/17 | 13/02/17 | 72 | 73 | 3 | Compromise of Security Assets - E | Will now read: A Participant shall have in place and operate procedures such that, if the Participant suspects or knows that one (or more) credential store(s) and/or the keys it contains has been compromised, it can take the following actions: 14.1 the Participant must immediately (and not later than 10 minutes) upon becoming aware, revoke the certificates of the lost or stolen credential store; |
| 1.1D | 29/04/16 | 13/02/17 | 88 | 90 | 3 | C/43 | Replace CHAPS Co with CHAPS |
| 1.1D | 29/04/16 | 13/02/17 | 14 | 14 | 1 | Definitions | Definition for Annex added |
| 1.1D | 29/04/16 | 13/02/17 | N/A | 154 | Annex A - Transitional Spec | C. PRA Approval Warranty | Actual Annex added |
| 1.1D | 29/04/16 | 13/02/17 | 88 | 91 | 3 | Static Data and Routing -38 | Remove "Its CHAPS Board Director (or another" and replace with "a" |

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| 1.1D | 29/04/16 | 13/02/17 | 104 | 107 | 3 | Amendment to Indirect Participation section - please see v2 | Amendment to Indirect Participation section - please see v2 |
| 1.1D | 29/04/17 | 13/02/17 | 82 | 84 | 3 | 7 | Replace 16:00 with 18:00 |
| 1.1D | 29/04/17 | 13/02/17 | 82 | 84 | 3 | 7 | Replace 16:00 with 17.40 |
| 1.1D | 29/04/17 | 13/02/17 | 82 | 84 | 3 | 7 | Replace 16.20 with 18.00 |
| 1.1D | 29/04/17 | 13/02/17 | 84 | 86 | 3 | 7 | Replace 17.45 with 17.30 |
| 1.1D | 29/04/17 | 13/02/17 | 85 | 87 | 3 | 7 | Replace 15.40 with 17.40 |
| 1.1D | 29/04/17 | 13/02/17 | 55 | 55 | 3 | PCM flowchart | PC table will be amended to ensure Category 3 participants are captured by the Applicable Requirements arising from ESD changes |
| 1.1D | 29/04/17 | 13/02/17 | 80 | 82 | 3 | 8 | Amend to include all categories |