

**CHAPS Reference Manual - Change Control Register**

Version	Date Issued	Effective date of change	Page Number v1.1D	Page Number V2	Chapter	Section	Details or purpose of new/deleted/change to rule/requirement
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"
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



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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
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;



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1.1D	29/04/17	13/02/17	73	74	3	Security - Compromise of security assets	<p>Will now read: Will the event of credential stores being lost or stolen, a Participant shall procure that its PSOs 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	<p>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.</p>
1.1D	29/04/16	13/02/17	80	81	3	6: Resilience and Contingency (Para 11)	<p>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"</p>
1.1D	29/04/16	13/02/17	80	82	3	6: Resilience and Contingency (Para 15)	<p>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)."</p>



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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



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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	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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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
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"



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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"
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.



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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 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 NBPSPs 2.1.6.
25/05/18	25/05/18	02/07/18	N/A	26	2	CHAPS Rules	Addition of new access criterion for NBPSPs 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.



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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”