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SECMP0058 ‘Changes to the governance of the Self-Service Interface’ – Proposed SSI Governance Process

Purpose

This document is the proposed Self-Service Interface (SSI) governance process produced in accordance with [SECMP0058 ‘Changes to the governance of the Self-Service Interface’](#). This document should be considered alongside the SSI governance process map at the end of this document which shows each step in the process.

Proposing changes to the SSI

SEC Parties may propose changes to the SSI at any time. DCC will carry out validation checks against proposed changes to ensure that they are viable, and the requirements are clear. As a minimum each change will have to meet the capabilities of the SSI. To achieve this DCC will proactively provide support and guidance to all proposers.

Where the proposer of an SSI change believes the change is required as a matter of urgency, DCC shall validate the urgency of the request as well as the requirements and consult with the industry on an ad hoc basis. This will require a degree of flexibility from DCC to ensure urgent proposals are addressed in a timely manner.

Proposed industry consultation approach

To maintain efficiency, the Working Group and DCC propose to issue SSI change consultations to the industry in four-month intervals commencing from April 2019. A consultation will have the capacity to consult on several proposed SSI changes at once with a view to deploying them over a defined time period, rather than consulting on each proposed SSI change individually. Subject to the approval of SECMP0058, industry consultations could be issued by SECAS on behalf of DCC, with each consultation expected to last for at least fifteen Working Days allowing all SEC Parties the opportunity to seek further clarification, approve or reject any of the proposed changes. These consultations may exclude urgent SSI change proposals which can be consulted on with the industry on an ad hoc basis.

In the initial period following the approval of this modification and considering DCC’s current approach relating to Planned Maintenance of the SSI, it is expected that the current backlog of proposed SSI changes will decrease and so it is proposed over the long term, possibly in 2020, that SEC Parties are consulted on a less frequent basis as the frequency of proposed changes to the SSI decreases. In any event, windows would not straddle two financial years.

Each SSI change consultation will include the following:

- The type(s) of proposed SSI change(s);
- Which SEC Parties are expected to be impacted;

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- Whether each change is seeking to add, remove or amend functionality;
- The reasons why each change is being proposed;
- The anticipated cost range; and
- The anticipated timescales to develop and deploy.

Panel (or any delegated Sub-Committee) consideration

All feedback received from the consultation shall be referred to the SEC Panel or a delegated Sub-Committee for consideration, where they will consider the scope, scale and cost to the proposed SSI change(s) and approve or reject their progression through to DCC development.

If the decision to approve DCC development of SSI changes following the consultation is delegated to a Sub-Committee and that Sub-Committee deems it cannot form a decision, the Sub-Committee may escalate to the Panel to approve or reject DCC development of SSI changes, or alternatively advise DCC to revise the solution(s).

DCC development of SSI changes

Subject to Panel (or any delegated Sub-Committee) approval, DCC shall develop the SSI changes that were previously consulted upon. During the development stage, DCC will assess whether there are any changes to the previously agreed scope and costs resulting from the consultation. If changes have occurred to the agreed scope during the initial four month and subsequent annual windows between consultations, DCC shall advise the Panel (or any delegated Sub-Committee).

If the decision to approve the revised scope of changes is delegated to a Sub-Committee and that Sub-Committee deems it cannot form a decision, the Sub-Committee may escalate to the Panel who can approve or reject the revised scope, or alternatively order SECAS to issue a secondary consultation to seek SEC Parties feedback.

Panel (or any delegated Sub-Committee) deployment sign-off

Once DCC have developed the SSI changes from the previous consultation, the Panel (or any delegated Sub-Committee) shall consider any changes to the previously agreed scope. If it is deemed that the scope has changed from what was previously agreed, the Panel (or any delegated Sub-Committee) could choose to approve or reject the deployment of the changes or advise DCC to revise the solution.

If the decision to approve the deployment of changes is delegated to a Sub-Committee and that Sub-Committee deems it cannot form a decision, the Sub-Committee may escalate to the Panel who can approve or reject the deployment of the changes or advise DCC to revise the solution(s).

Proposed requirements for sign-off

It is expected that the review and sign off for any programme of work would be made by the Panel or any delegated Sub-Committee. If the Panel chooses to delegate any SSI change related sign-off requirements to a Sub-Committee, the Working Group recommend that the Operations Group is tasked with this role. The Operations Group currently consider SSI changes under Planned

Maintenance of the SSI and thus there is precedent under this approach. The Working Group considered the current Operations Group Terms of Reference and agreed that this should be amended to add conditions specifically for SSI impacting changes in terms of quoracy and voting rights. The Working Group also considered the conditions should the Panel choose to form a new Sub-Committee and agreed that conditions in terms of quoracy and voting rights would be required in the Terms of Reference.

The Terms of Reference, membership and operation of the Consultation process may be reviewed by the Panel at any time, however at least annually, to ensure that they remain appropriate to reflect the duties and requirements of the SEC. Amendments to these Terms of Reference will be approved solely by the Panel.

