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## Data Integration Platform (DIP) Manager Determinations

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## DIP Manager Determination Process

### 1. Background

- 1.1 [DSD001 – DIP Governance](#) sets the governance rules and process for the DIP, including the establishment and governance of the DIP Manager and the DIP Change and Advisory Board (DCAB).
- 1.2 The DIP Manager is responsible for<sup>1</sup>:
  - The operation of the DIP and the DIP Rule;
  - Ensuring the DIP is cost-effective and efficient; and
  - Ensuring the DIP Rules are fit for purpose.
- 1.3 Part of the DIP Manager's responsibility is to make determinations on changes to the DIP Rules; these are detailed within the DIP Subsidiary Documents (DSDs) and the DIP Supplement (which is subject to BSC, Section F and out of scope for a DIP Manager Determination).
- 1.4 Additionally, per **DSD001 – DIP Governance, 3.3**, the DIP Manager will develop and publish a clear decision-making process for making determinations:
  - Following the DIP Rules
  - Related to the operation of the DIP, and
  - That are not envisaged by the DIP Rules.
- 1.5 Where the DIP Manager is required to make such determinations, it shall follow the published process.

### 2. DIP Objectives

- 2.1 When making a decision, the DIP Manager takes into consideration the DIP Objectives, which are:
  - Providing accurate and timely support for the sharing of applicable market data;
  - Furthering consumer interests through the appropriately governed sharing of data; and
  - Facilitating competitive change and innovation through the efficient and economic delivery of reliable and adaptable services.

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<sup>1</sup> [DSD001 – DIP Governance, 3.1 DIP Manager Role and Responsibilities](#)

### **3. Consultation Responses**

- 3.1 The DIP Manager is responsible for assessing, validating, raising (where applicable), and implementing DIP Change Requests (DCRs). DCRs are either a Tier One DCR, these have a material effect on how DIP Users interact with the DIP and/or how Messages are shared. The DCAB makes decisions on Tier One changes.
- 3.2 Or a DCR is Tier Two DCRs, which are non-material changes to the DIP Rules; these are generally document changes (e.g. housekeeping changes), or consequential changes caused by other code changes. The DIP Manager makes decisions on Tier Two changes.
- 3.3 In some instances, the DIP Manager will consult on a Tier Two DCR. This will ensure that DIP Users and others can provide feedback to the change, allowing the DIP Manager to understand its impact (if any).
- 3.4 Where the DIP Manager consults on a Tier Two DCR, it will consider the feedback provided. In cases where some of the feedback indicates the changes made may have a material impact for DIP Users, the DIP Manager will seek the views from the DCAB to determine whether the change or aspects of the change should be raised as a Tier One DCR.
- 3.5 Where the DIP Manager consults on a Tier Two DCR and feedback on the changes indicates support, the DIP Manager will decide to follow the defined process in this document.

### **4. DIP Change and Advisory Board (DCAB)**

- 4.1 The DCAB has an important function in the decision-making process for the DIP Manager as it makes decisions and provides advice. The DIP Manager does this by:
  - Acting as a critical friend;
  - Determining whether to approve Tier One DCRs;
  - Acting as an adjudicator for any appeals made against the DIP Manager; and
  - Offering advice on the scope of a DIP Manager audit.
- 4.2 The DIP Manager will seek the views of the DCAB when there are Tier Two DCRs, operational changes, or anything else where they have been raised by a consultation, inquiry, or anything else that may give rise to questions about a DIP User's obligations and responsibilities.

### **5. DIP Manager Determination**

- 5.1 When the DIP Manager is deciding on a DCR, changes to the operation of the DIP, or anything else, it must:
  - involve a minimum of three individuals within the DIP Manager organisations;
  - One member making the decision must be sufficiently senior (e.g. executive management level); and
  - All individuals involved in the decision-making process shall be senior enough to be accountable for their actions, and at least one of them shall fulfil a role that is relevant to the determination being made.
- 5.2 Members making the decision must consider the DIP objectives, the impact of the change, industry views, how the decision supports industry code, and the cost of the decision.

- 5.3 The DIP Manager will publish or notify, in a manner appropriate for a decision being made, DIP Users of the DIP Manager's decision.
- 5.4 Also, the individual(s) within the DIP Manager organisation making the assessment and/or recommendation shall not be involved in the determination process.