



Service

Partners

SWIFTReady Supply Chain Finance

Label Criteria 2012

This document explains the criteria needed to obtain the SWIFTReady Supply Chain Finance 2012 label, aimed at Trade Applications in banking back-office environments.

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Preface

Purpose of this document

This document explains the criteria needed to obtain the SWIFTReady Supply Chain Finance 2012 label, aimed at Trade Applications in banking back-office environments.

Intended audience

This document is for the following audience:

- Product Managers
- Development Managers/Developers

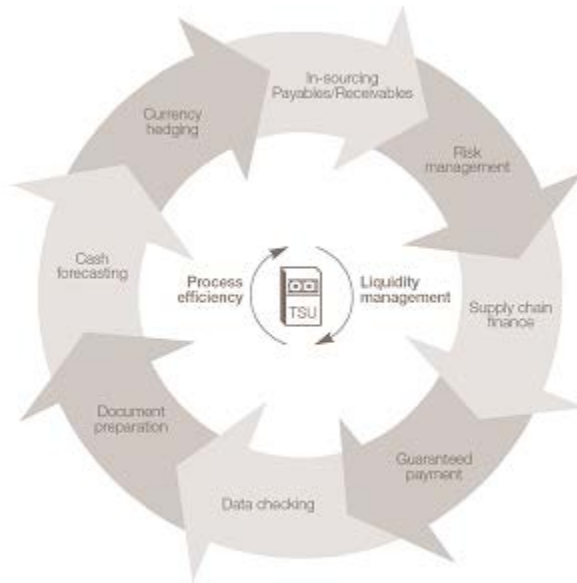
Related documentation

The first two references can be found at http://www.swift.com/partners/certify_your_application

- *The SWIFTReady Application Programme Overview*
The document provides an overview of the SWIFTReady programme, including the benefits to join for application vendors. It also explains the SWIFTReady validation process, including the technical, functional and customer validations.
- *The SWIFTReady Supply Chain Finance Test Scenarios*
The document explains, in a detailed manner, how your application will be validated to become SWIFTReady.
- CD Trade Services Utility 2.0 (September 2008)
 - *Factsheet*
 - *Solutions Implementation Service Overview*
 - *Service Description*
 - *Integration Guide*
 - *Interface User Guide*
 - Standards MX
 - *General Information*
 - *Message Reference Guides – User and Implementor*
 - *Message Reference Guides – User*
 - *Message Matching Rules*
 - *Schemas*
 - *Samples*
- The [TSU pages](#) on swift.com
- [User Handbook Online](#) on swift.com
- [TSU Corporate to bank Guidelines](#)

1 SWIFT Supply Chain Finance Solution

The TSU (Trade Services Utility) is a collaborative, centralised matching and workflow engine for use by the SWIFT banking community. It is designed to help banks provide competitive supply chain services to their corporate customers. It builds on SWIFT traditional strengths in providing standards and messaging, and reuses the SWIFT infrastructure already in place in banks back-offices. All communication is Bank-to-TSU or TSU-to-Bank.



• Banks Services based on the TSU

The TSU primary functions are to compare data sets as submitted by the bank(s) and then report the results back to the bank(s). The TSU deals with data that corresponds to underlying commercial transactions between corporations. The workflow is defined by the "status" or "states" that a TSU transaction can have and the messages that are permitted in each state. A TSU transaction may go through all the states but it is not required to do so.

1.1 SWIFTNet Messaging Services

For bank-to-TSU communication:

InterAct and FileAct in Real-time mode

For TSU-to-bank communication:

InterAct and FileAct Store-and-Forward mode.

See the relevant *Service Descriptions* and the *TSU Integration Guide* for a complete description of features and functions.

1.2 The TSU Application

The TSU application is described in detail in the *TSU Integration Guide*.

1.3 The (Optional) TSU Interface

SWIFT has developed an optional product for banks that choose not to integrate the TSU application with their back-offices. It is described in detail in the *TSU Interface User Guide*.

2 SWIFTReady Supply Chain Finance Label

The SWIFTReady Supply Chain Finance label is granted to Trade applications that work in a banking back-office context. The label is awarded after a successful technical and functional validation by SWIFT using the SWIFT test scenarios over the SWIFT Integration Testbed service (ITB), and a successful product demo with a functional/business validation by SWIFT experts.

All XML messages of the TSU 2.0 release need to be supported. SWIFT will verify this by means of the test scenarios that simulate workflows using a subset of these messages.

3 SWIFTReady Supply Chain Finance Criteria 2012

3.1 Changes compared to 2011

New label

Vendors applying for the SWIFTReady Supply Chain Finance for the first time must comply to all criteria as defined in this document.

Existing label (renewal from previous year)

For direct connectivity, the partner application must integrate with Alliance Access as Alliance Gateway no longer supports FileAct connectivity in 2012.

Optional support of ISO20022 messages (tsmt) for corporate to bank (incl BPO).

3.2 Installed Customer Base

The 2012 label does not require to have a live customer reference.

3.3 Messaging

The application must be able to support FileAct Real-time (bank-to-TSU communication) and FileAct Store-and-Forward messaging (TSU-to-bank communication).

Support of ISO20022 messages (tsmt) for corporate to bank (incl BPO) is optional.

To prove your support for FileAct messaging, you have 2 options:

3.4 Connectivity

The partner must be able to connect its application with SWIFT:

- either **directly** through one of the available **Alliance** interface adapters
- or **indirectly** through a **SWIFTReady Financial Enterprise Application Integration (EAI)** solution

A partner application that does not connect directly or indirectly to Alliance cannot be considered for a SWIFTReady label. The Alliance interface can be deployed at customer premises, or managed at a service bureau.

3.4.1 Option 1: Direct Connectivity

For direct connectivity, the vendor application must integrate with Alliance Access.

Alliance Access provides File, Simple Object Access Protocol (SOAP) and MQ-based adapters for FIN, InterAct, and for FileAct connectivity. The direct business application to Alliance Access connection can be achieved using one of the Alliance Access adapters: MQ Host Adapter (MQHA), Automated File Transfer (AFT) or SOAP Host Adapter.

The partner must develop and test SWIFT application integration using Alliance Access 7.0. Proper support of Alliance Access 7.0 is mandated for the 2012 label.

The SWIFTReady Supply Chain Finance label requires support for either Automated File Transfer (AFT) or an interactive link with MQHA or SOAP.

- In summary;

| Messaging service | Standards | Interface | Mandatory Access adapter |
|-----------------------------|-----------|-----------------|--------------------------|
| InterAct store&forward (SF) | MX XML | Access | AFT or MQHA or SOAP |
| InterAct real-time (RT) | MX XML | Access (client) | AFT or MQHA or SOAP |
| FileAct real-time (RT) | Any | Access | AFT or MQHA or SOAP |
| FileAct store&forward | Any | Access (client) | AFT or MQHA or SOAP |

(1) MQSA can no longer be ordered. It is supported in maintenance mode only.

3.4.2 Option 2: Indirect Connectivity

Alternatively, you can prove your application compliance with the connectivity criteria by providing SWIFT with evidence of an indirect connectivity solution consisting of your business application and a middleware (EAI) solution. For indirect connectivity, a selection must be made from the list of **2011 SWIFTReady Financial EAI** suites, which are listed on [swift.com http://www.swift.com/partners/locator](http://www.swift.com/partners/locator). Please note that there will not be a 2012 SWIFTReady Financial EAI label.

Financial EAI provides generic adapters that enable to capture business data for various file systems, documents and business application databases, and map them to the requested MT or MX formats, prior to routing and dispatching them to the appropriate Alliance interface. It deals with the messaging and network complexities and eases the integration with SWIFT. The EAI adapters must be customised and configured to map to the partner application, which must also provide the appropriate message reconciliation mechanisms.

When the Partner selects the indirect connectivity option for label qualification, the combined solution (partner application and SWIFTReady Financial EAI) must be tested end-to-end over the SWIFT Integration Test Bed (ITB).

Only on an exceptional basis will SWIFT Partner Management accept proof of your compliance with the connectivity criteria using the live or test and training connection of a TSU test or production customer. In this case SWIFT Partner Management reserves the right to contact the relevant financial institution for further information.

3.4.3 Provisioning on the Integration Test Bed (ITB)

To be provisioned on the ITB, you will need to subscribe to the TSU service via the e-ordering forms on www.swift.com. Subscription to these services is free of charge to SWIFT partners, as is the test traffic sent on the ITB.

ITB provisioning forms can be found on the [Developer Resource Centre](#)

Service names to be selected : swift.tsulx **and** swift.tsu.st!x

It is your responsibility to install new releases or patches linked to the TSU and to set up and maintain your connection to the ITB. It is not mandatory to have your own connection to the ITB. You can use the connection of another SWIFT Partner to exchange messages on the ITB

provided the test traffic sent can be identified as coming from your application, that is, using your PIC (Partner Identification Code).

Only on an exceptional basis will SWIFT Partner Management accept proof of your compliance with the messaging support criteria using the live or test and training connection of a SWIFTNet TSU test or production customer. In this case SWIFT Partner Management reserves the right to contact the relevant financial institution for further information.

3.5 Standards

The application must support all TSU Rel 2.0 messages as described in the Trade Services Utility 2.0, Standards MX Message Reference Guide.

The messages must be created to send to the TSU or processed when received from the TSU. All changes to the messages must be supported by the application before their live release date on the SWIFT network. When new messages are introduced or significant modifications have been made to existing messages, we expect the application provider to provide adequate testing time to customers prior to these messages going live.

On message level, the application must provide the correct mapping including business information to the correct XML tag.

Support of ISO20022 messages (tsmt) for corporate to bank (incl BPO) is optional for the 2012 label.

3.6 TSU Application Support

The application must support the functionality and message flows as described in the *TSU Service Description* and *TSU Integration Guide*.

All changes to the TSU application must be supported by the application before the live release date on the SWIFT Network. When new functionality is introduced or significant modifications have been made to the existing TSU application, we expect the application provider to provide adequate testing time to customers prior to this functionality going live.

3.6.1 Lodge and Push Through Model Support

A comprehensive set of test scenarios has been developed and documented by SWIFT for the use of banks and partners. These scenarios describe an example of the TSU messages that may be exchanged under various circumstances.

We expect the application provider to be able to simulate/replay these scenarios as documented by exchanging correctly formatted TSU messages with the TSU engine over SWIFT ITB.

In order to execute the test scenarios, you will need to create a test environment simulating the two counterparty TSU banks, that is, representing both buyers bank and sellers bank, and enabling both banks to initiate a TSU transaction and to respond to the initiation of a TSU transaction by another financial institution. Both entities will need to be provisioned on the TSU services on the ITB.

3.6.2 Message Identifiers

The application must be able to assign and associate identifiers to expedite the business processing of TSU transactions.

3.6.3 Reminder and Timeout Support

The application will also need to provide mechanisms to interpret the reminders and timeout notifications sent by the TSU application during the lifecycle of a particular transaction and to create the appropriate operator alerts.

3.7 Business Workflow

SWIFT acknowledges that TSU transactions will require Financial Institutions staff to intervene at given points in order to make business decisions. The application must, however, minimize the need for manual entry of data.

For some partners this may mean converting data received in alternative message formats into the prescribed TSU XML format. For other partners it might mean enabling operators to choose from pre-filled templates of all appropriate Trade Services Utility XML messages. In some cases, it might mean routing TSU decision requests to the decision maker via internal mail.

SWIFT expects the application to:

- Validate data input at the field level. Any invalid entry must be flagged, and the user prompted to correct the input.
- Provide the user with an intuitive method of following the status of a particular transaction.
- Enable manual intervention as needed in the TSU life-cycle, given the nature of the application (for example, display capability, repair of messages, create messages).
- Enable the user to access incoming and outgoing messages by filtering (for example, using date/time, reference, Transaction Identifier).

3.8 User Profile Management

The application must ensure the security of the Financial Institution processes.

SWIFT expects this to include ensuring that only authorised users (whether people or applications) can perform a specific task. You must demonstrate how profile management is assured and how access is denied to unauthorized users.

In a non-automated environment the application must also be able to support the "four eyes principle".

3.9 Marketing and Sales

Collaboration in terms of administrative and marketing information is requested. In particular the Partner must provide SWIFT under non-disclosure agreement with customer-related information.

- A list of all customers that actively use the partner application in a SWIFT context. A list of all customers active in the finance sector. The list must provide institution names, locations, and an overview of the integration scope (domain, features, and sites) for the present and previous year.
- A product roadmap for 2012 and 2013 containing the plans for further partner application development, support of SWIFT solutions and new releases.
- A complete set of partner application documentation, including features overview, SWIFT adapters, workflow engine capability and user manuals.
- A dedicated web page on the partner web site describing the SWIFTReady application used in a SWIFT context. The page must be maintained with the same URL for a complete year that will be referenced to on www.swift.com.

Appendix A - List of SWIFT TSU 2.0 XML Messages Required for the 2012 SWIFTReady Supply Chain Finance Label

| Message Type | Business Message |
|-----------------|--|
| tsmt.001.001.03 | Acknowledgement |
| tsmt.002.001.03 | Activity Report |
| tsmt.003.001.03 | Activity Report Request |
| tsmt.004.001.02 | Activity Report Set Up Request |
| tsmt.005.001.02 | Amendment Acceptance |
| tsmt.006.001.03 | Amendment Acceptance Notification |
| tsmt.007.001.02 | Amendment Rejection |
| tsmt.008.001.03 | Amendment Rejection Notification |
| tsmt.009.001.03 | Baseline Amendment Request |
| tsmt.010.001.03 | Baseline Match Report |
| tsmt.011.001.03 | Baseline Report |
| tsmt.012.001.03 | Baseline ReSubmission |
| tsmt.013.001.03 | Data Set Match Report |
| tsmt.014.001.03 | Data Set Submission |
| tsmt.015.001.03 | Delta Report |
| tsmt.016.001.03 | Error Report |
| tsmt.017.001.03 | Forward Data Set Submission Report |
| tsmt.018.001.03 | Full Push Through Report |
| tsmt.019.001.03 | Initial Baseline Submission |
| tsmt.020.001.02 | MisMatch Acceptance |
| tsmt.021.001.03 | MisMatch Acceptance Notification |
| tsmt.022.001.02 | MisMatch Rejection |
| tsmt.023.001.03 | MisMatch Rejection Notification |
| tsmt.024.001.03 | Action Reminder |
| tsmt.025.001.03 | Status Change Notification |
| tsmt.026.001.02 | Status Change Request |
| tsmt.027.001.02 | Status Change Request Acceptance |
| tsmt.028.001.03 | Status Change Request Notification |
| tsmt.029.001.02 | Status Change Request Rejection |
| tsmt.030.001.03 | Status Change Request Rejection Notification |
| tsmt.031.001.03 | Status Extension Acceptance |
| tsmt.032.001.03 | Status Extension Notification |
| tsmt.033.001.03 | Status Extension Rejection |

| | |
|-----------------|---|
| tsmt.034.001.03 | Status Extension Rejection Notification |
| tsmt.035.001.03 | Status Extension Request |
| tsmt.036.001.03 | Status Extension Request Notification |
| tsmt.037.001.03 | Status Report |
| tsmt.038.001.03 | Status Report Request |
| tsmt.040.001.03 | Time Out Notification |
| tsmt.041.001.03 | Transaction Report |
| tsmt.042.001.03 | Transaction Report Request |
| tsmt.044.001.01 | IntentToPayNotification |
| tsmt.045.001.01 | ForwardIntentToPayNotification |
| tsmt.046.001.01 | IntentToPayReport |
| tsmt.047.001.01 | SpecialRequest |
| tsmt.048.001.01 | SpecialNotification |
| tsmt.049.001.01 | RoleAndBaselineAcceptance |
| tsmt.050.001.01 | RoleAndBaselineRejection |
| tsmt.051.001.01 | RoleAndBaselineAcceptanceNotification |
| tsmt.052.001.01 | RoleAndBaselineRejectionNotification |

Appendix B - List of ISO 20022 Messages Optional for the 2012 SWIFTReady Supply Chain Finance Label

The following functions are required for corporate-to-bank communication:

- baseline establishment
- baseline amendment
- data set submission
- intent to pay

Documentation of messages:

- XML schemas and documentation (MDR – Message Definition Report) is on www.iso20022.org web site, at the bottom of the page “catalogue of messages”.

- [TSU Corporate to bank Guidelines](#)

The list of TSU messages that are in scope is as follows:

| Incoming (to TSU) | Message Identifier |
|------------------------------|--------------------|
| InitialBaselineSubmissionV03 | tsmt.019.001.03 |
| BaselineReSubmissionV03 | tsmt.012.001.03 |
| DataSetSubmissionV03 | tsmt.014.001.03 |
| BaselineAmendmentRequestV03 | tsmt.009.001.03 |
| AmendmentAcceptanceV02 | tsmt.005.001.02 |
| AmendmentRejectionV02 | tsmt.007.001.02 |
| MisMatchAcceptanceV02 | tsmt.020.001.02 |
| MisMatchRejectionV02 | tsmt.022.001.02 |
| IntentToPayNotificationV01 | tsmt.044.001.01 |

| Outgoing (from TSU) | Message Identifier |
|------------------------------------|--------------------|
| AcknowledgementV03 | tsmt.001.001.03 |
| AmendmentAcceptanceNotificationV03 | tsmt.006.001.03 |
| AmendmentRejectionNotificationV03 | tsmt.008.001.03 |
| BaselineAmendmentRequestV03 | tsmt.009.001.03 |
| BaselineMatchReportV03 | tsmt.010.001.03 |
| BaselineReportV03 | tsmt.011.001.03 |
| DataSetMatchReportV03 | tsmt.013.001.03 |
| DeltaReportV03 | tsmt.015.001.03 |
| ErrorReportV03 | tsmt.016.001.03 |
| ForwardDataSetSubmissionReportV03 | tsmt.017.001.03 |
| FullPushThroughReportV03 | tsmt.018.001.03 |
| MisMatchAcceptanceNotificationV03 | tsmt.021.001.03 |
| MisMatchRejectionNotificationV03 | tsmt.023.001.03 |
| ActionReminderV03 | tsmt.024.001.03 |
| TimeOutNotificationV03 | tsmt.040.001.03 |
| ForwardIntentToPayNotificationV01 | tsmt.045.001.01 |
| IntentToPayReportV01 | tsmt.046.001.01 |

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