



SWIFTNet

Interface Qualification Programme Guide

This programme guide provides an overview of the Interface Qualification Programme. The document summarises the steps that a supplier must follow to qualify products for use with SWIFTNet. This document is for product vendors that want to qualify products for use with SWIFTNet release 6 and onwards.

26 March 2010

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Preface

Purpose of the document

The *Interface Qualification Programme Guide* provides information about the qualification programme that applies to SWIFTNet release 6.0 and onwards.

SWIFT has prepared this guide as a companion to the *Interface Qualification Policy*, which describes the qualification requirements and the qualification process in more detail. This document provides an overview of why product vendors must qualify products, how to achieve product qualification, which products to qualify, and when to qualify.

Audience

The *Interface Qualification Programme Guide* is for product vendors that intend to qualify products for use with release 6.0 and onwards.

The documents in the topic *Related documentation* must be familiar to the reader.

Significant changes

The following table lists all significant changes to the *Interface Qualification Programme Guide* since the December 2008 publication. This table does not include editorial changes that SWIFT may have made to improve the usability and comprehension of the document.

New information	Location
Eleven new reference documents	3.1, "Referenced Documents" on page 13
Relationship Management Application	2.6, "Software Components to Support the Relationship Management Application" on page 11

Reading conventions

For ease of reading, the document contains the following abbreviated forms and titles:

- Interface Qualification Programme is abbreviated to the *qualification programme*.
- *Interface Conformance Statement* is abbreviated to the *conformance statement*.

Important This document contains terms that have a specific meaning in the context of SWIFT services and products. If you have any doubt about the meaning of certain terms used in this document, then see the *SWIFT Glossary* and the *Interface Qualification Policy*.

Related documentation

- *Interface Qualification Policy*
- *SWIFT Partner Programme Terms and Conditions*
- *Interface Qualification Registration Form*
- *Interface Conformance Questionnaire (product-specific)*
- *Interface Conformance Statement (product-specific)*
- *Interface Test Specification (product-specific)*
- *Interface Qualification Certificate*

Note For a summary of the purpose and the content of these documents, see "Qualification Programme" on page 5.

1 Qualification Programme

Introduction

This document provides an overview of the qualification programme and its supporting processes and documents. This document also summarises what a supplier must do to qualify a product, or set of products, to operate with SWIFTNet services under release 6.0 and onwards.

SWIFT has introduced the qualification programme to align the qualification process with current industry practice, and to give the customer additional assurance, guarantees, and better visibility regarding individual product capabilities.

1.1 Supporting Documentation

Documents

The following documents support the qualification programme:

- **Interface Qualification Policy**

The *Interface Qualification Policy* document is a detailed description of the qualification process. The document describes the steps that a supplier must follow to obtain qualification.

- **SWIFT Partner Programme Terms and Conditions**

The *SWIFT Partner Programme Terms and Conditions* is the contractual document that sets out the roles and responsibilities of SWIFT and the supplier in the context of the qualification programme. This document also explains the terms and conditions for using the qualification trademark.

- **Interface Qualification Registration Form**

Each supplier, whether vendor or customer, must complete a *registration form* to register each product for qualification.

- **Interface Conformance Questionnaire**

A *conformance statement questionnaire* for each product is available for suppliers to complete. This questionnaire forms the definition of the supplier's version of the product which is submitted for qualification. Once the product is qualified, it is available in the public domain. The Qualification Authority derives an *conformance statement* from the questionnaire.

- **Interface Conformance Statement**

The Qualification Authority produces this document based on the questionnaire submitted by the supplier before testing. This document represents a product conformance description to accompany the *qualification certificate*.

- **Interface Test Specification**

A *test specification* for each product is available for suppliers. This specification is used together with a supplier's *conformance statement* to verify that the product meets the conformance requirements.

- **Interface Qualification Certificate**

The *Interface Qualification Certificate* is the certificate that awards a successful qualification.

1.2 Qualification Process

Qualification process description

For a description of the qualification process, see the *Interface Qualification Policy*.

The qualification programme consists of the following:

- registration for qualification
- interim qualification (after conformance tests)
- full qualification (after customer implementation)

Registration for qualification

A SWIFTNet interface supplier, whether vendor or customer, must register with the Partner Programme as a Solution provider. Suppliers that want to qualify a product, or set of products, must obtain the qualification documents and specifications from SWIFT.

Suppliers must study the detailed requirements specifications that are referenced in the product standards before starting to design and develop any products.

Suppliers must subsequently do the following:

- register for the *qualification programme*
- agree to the *SWIFT Partner Programme Terms and Conditions*
- submit a *registration form* for each product to be qualified
- pay the qualification fee

When the Test Authority is ready to begin conformance testing the following events take place:

1. The supplier receives a complete set of *test specifications* for the products that it wants to qualify.
2. The supplier can schedule a personal test session with the Test Authority to conduct the conformance tests.

Interim qualification

Interim qualification is achieved when the SWIFT Qualification Authority audit is complete.

The supplier must do the following to obtain interim qualification:

- Confirm the test schedule with the Test Authority.
- Confirm the test process with the Test Authority.
- Perform the necessary tests.

The Test Authority will:

- Provide assistance to the supplier.
- Ensure that the supplier performs the tests correctly.
- Audit the results of the tests.

SWIFT considers that the supplier has successfully completed the interim qualification if all tests show the correct results. If a small number of tests are not successful, then the Test Authority

can request the supplier to perform additional tests during the same test session. Otherwise, the supplier must schedule a new session to run all the tests again.

Full qualification

The supplier must do the following to obtain full qualification:

- Nominate a co-operating customer.
- Implement the product at the customer's site.
- Prepare an implementation report.

Note The Test Authority verifies the test report from the customer.

If the results are successful, then SWIFT publishes the full qualification and grants the supplier the right to use the Interface Qualification trademark.

1.3 Practical Details

Programme pricing

The *Interface Qualification Registration Form* supplies details of the approved fees that apply for the qualification programme.

Programme availability

The qualification programme has been available since the release of SWIFTNet release 6.0.

Authorities

You can find the following SWIFT bodies in the formal *Interface Qualification Policy*:

SWIFT bodies

Body	Responsibility	E-mail
SWIFT Qualification Authority	Developer Support	swiftnet.cbt.qualification@swift.com
SWIFT Specification Authority	IT Architecture, Design, and Requirements	swiftnet.cbt.qualification@swift.com
SWIFT Test Authority	Developer Support	swiftnet.cbt.qualification@swift.com

SWIFT supplies specification documents on request to suppliers that have already registered as Solution providers with SWIFT.

SWIFT provides qualification documents at the request of Solution providers that want to qualify products under the qualification programme.

2 SWIFTNet Interface Architecture

Introduction

This chapter provides an overview of the SWIFTNet interface architecture, which includes diagrams that show the following:

- the use of layers and components by a product to support a generic SWIFTNet interface
- the scope of the product qualification process
- the software components required by a product to interface with release 7.0

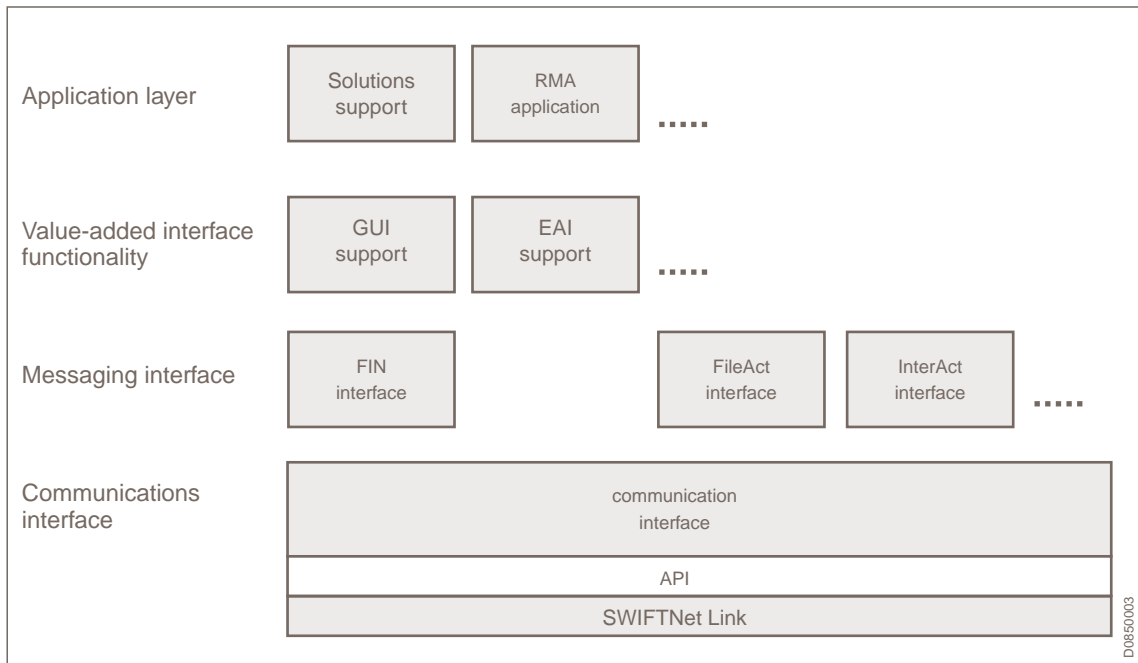
2.1 Generic Model and Software Components

Layers and components

The following diagram shows the layers and components that are required to support a generic SWIFTNet interface. These are logical components that potential suppliers can use to build products.

Note SWIFT does not specify how a supplier can combine its product offerings with these components.

SWIFTNet product environment



2.2 Scope of the SWIFTNet Qualification Programme

Description of the scope

The scope of any SWIFTNet qualification is limited to the functional requirements that SWIFT describes in the specification documents published by the SWIFT Specification Authority. These

documents include both mandatory and optional requirements. To be qualified, a product must meet all of the mandatory requirements and any of the optional requirements that the supplier intends it to support.

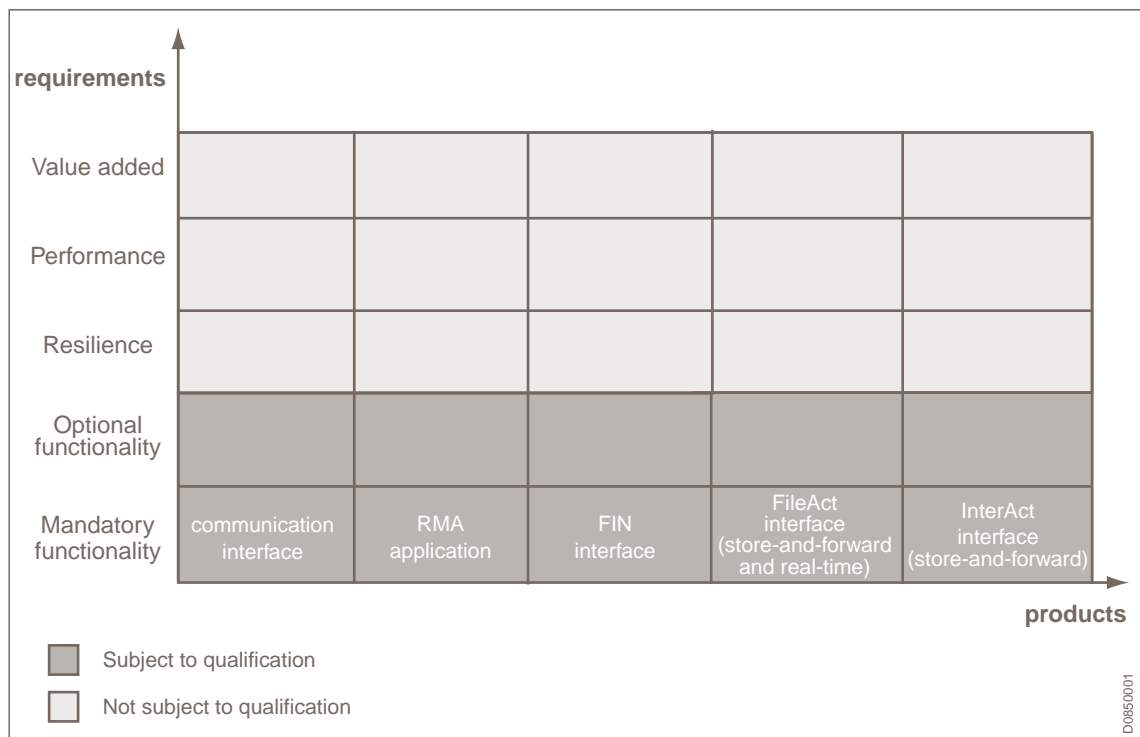
The scope of qualification excludes resiliency and performance testing and any value-added features.

For SWIFTNet release 6.0, SWIFT limited the scope of the qualification programme to the components that were necessary to support a FIN application. These components include the FIN interface, a Relationship Management Application interface, and a communication interface. With release SWIFTNet 6.1 and 6.3, the qualification programme was extended to include optional qualification of interfaces for InterAct in store-and-forward mode and FileAct in store-and-forward mode.

With release SWIFTNet 7.0, the qualification programme also mandates the qualification of interfaces for:

- InterAct in store-and-forward mode
- FileAct in store-and-forward mode
- FileAct in real-time mode

Scope of qualification



Important As mentioned previously, as of release SWIFTNet 6.0, qualification is mandatory for the FIN interface, an RMA interface, and a communication interface. As of release SWIFTNet 7.0, the qualification programme mandates the qualification of interfaces for InterAct and FileAct.

2.3 Software Components to Support FIN

Interface qualification programme

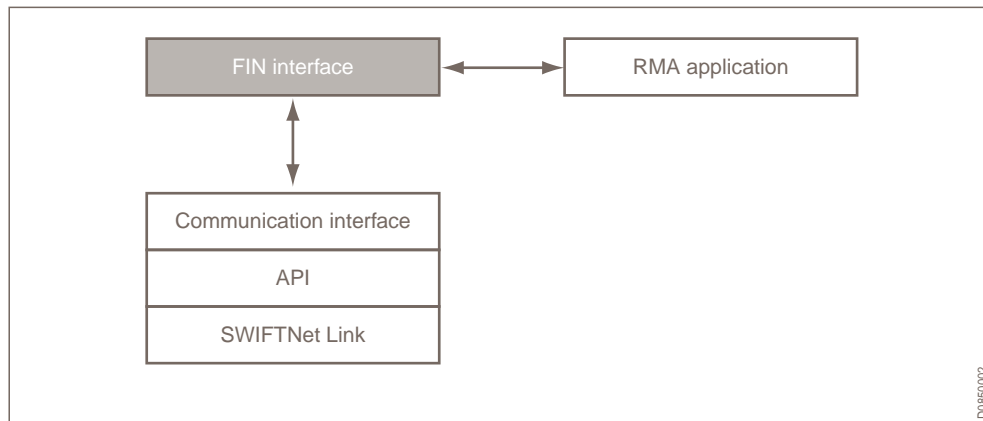
The following diagram shows the components for the FIN application.

For each component, the following documents are available:

- an accompanying *Interface Conformance Statement*, which provides the details of the qualified product
- an associated *Interface Test Specification*, which contains the details of the tests that the supplier must perform successfully before the product can achieve interim qualification

A product achieves full qualification after a successful customer implementation.

FIN application components



2.4 Software Components to Support FileAct

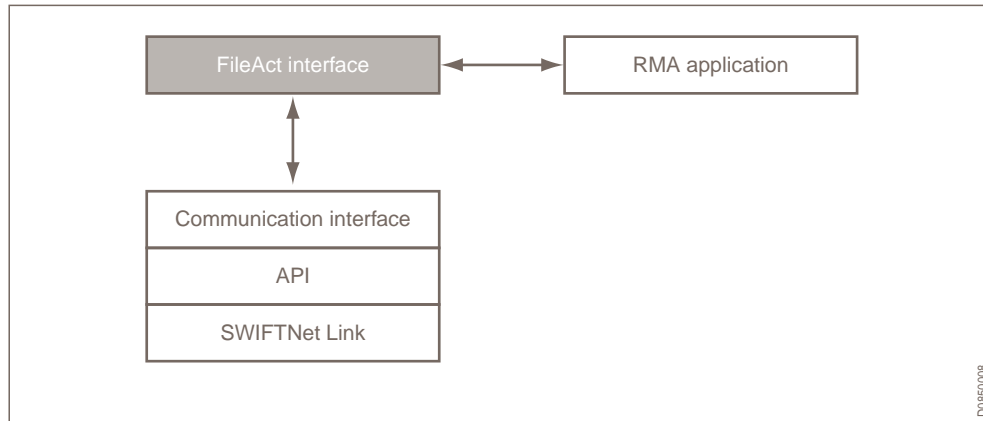
Interface qualification programme

The following diagram shows the components for the FileAct application.

For each component, the following documents are available:

- an accompanying *Interface Conformance Statement*, which provides the details of the qualified product
- an associated *Interface Test Specification*, which contains the details of the tests that the supplier must perform successfully before the product can achieve interim qualification

A product achieves full qualification after a successful customer implementation.

FileAct application components

2.5 Software Components to Support InterAct

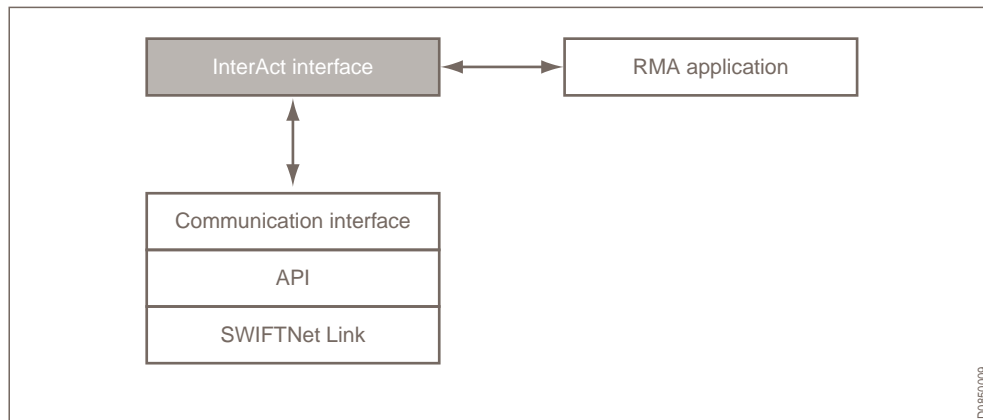
Interface qualification programme

The following diagram shows the components for the InterAct application.

For each component, the following documents are available:

- an accompanying *Interface Conformance Statement*, which provides the details of the qualified product
- an associated *Interface Test Specification*, which contains the details of the tests that the supplier must perform successfully before the product can achieve interim qualification

A product achieves full qualification after a successful customer implementation.

InterAct application components

2.6 Software Components to Support the Relationship Management Application

Interface qualification programme

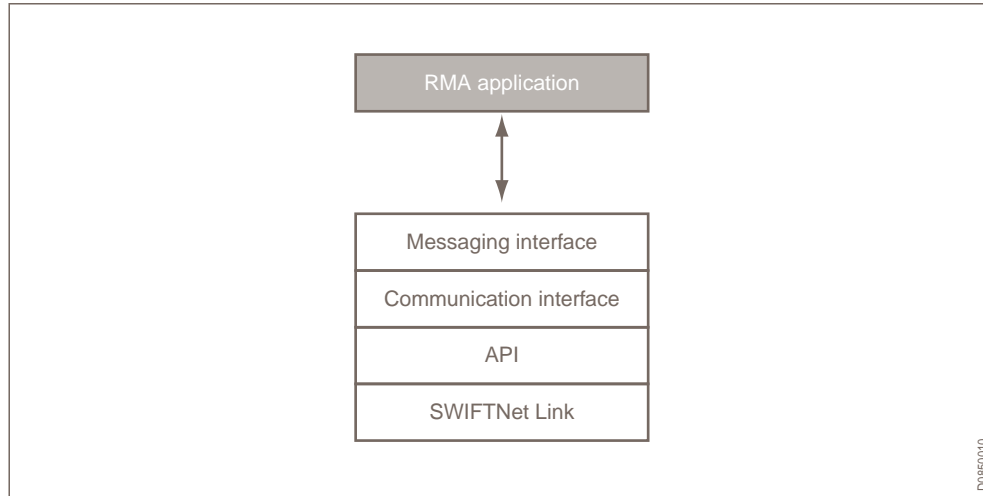
The following diagram shows the components for the Relationship Management Application.

For each component, the following documents are available:

- an accompanying *Interface Conformance Statement*, which provides the details of the qualified product
- an associated *Interface Test Specification*, which contains the details of the tests that the supplier must perform successfully before the product can achieve interim qualification

A product achieves full qualification after a successful customer implementation.

RMA application components



3 SWIFTNet Interface Reference Documents

Introduction

The qualification programme uses the *Requirements Specifications* documents to describe the different components that a supplier must provide to support a SWIFTNet interface. These *Requirements Specifications* contain the descriptions of the specific functional requirements that a SWIFTNet interface must meet.

3.1 Referenced Documents

Guides and specifications

<i>Interface Vendor Specification for InterAct and FileAct - SWIFTNet 7.0 - Change bulletin 1</i>	January 2010
<i>Relationship Management Application Vendor Specifications - Release 7.0 - Change bulletin 1</i>	January 2010
<i>SWIFTNet Service Design Guide - SWIFTNet 7.0 - Change bulletin 1</i>	January 2010
<i>SWIFTNet 7.0 - Application Service Profiles - Addendum to Service Design Guide</i>	January 2010
<i>SWIFTNet Link Interface Specifications - Release 7.0 - Change bulletin 1</i>	January 2010
<i>SWIFTNet Link Interface Specifications on SWIFTNet 7.0</i>	August 2009
<i>Interface Vendor Specifications for InterAct and FileAct on SWIFTNet 7.0</i>	August 2009
<i>SWIFTNet Service Design Guide SWIFTNet 7.0</i>	August 2009
<i>Relationship Management Application Vendor Specifications SWIFTNet 7.0</i>	August 2009
<i>Release Overview on SWIFTNet 7.0</i>	August 2009
<i>FIN Regional Processor User Synchronisation on SWIFTNet 6.0</i>	April 2009
<i>SWIFTNet Link Interface Specifications on SWIFTNet 6.3⁽¹⁾</i>	June 2008
<i>SWIFTNet Link Interface Specifications on SWIFTNet 6.3 Change Bulletin 1</i>	December 2008
<i>Interface Vendor Specifications for FileAct and InterAct on SWIFTNet 6.3⁽²⁾</i>	June 2008
<i>Interface Vendor Specifications for FileAct and InterAct on SWIFTNet 6.3 Change Bulletin 1</i>	December 2008
<i>SWIFTNet Service Design Guide SWIFTNet 6.3⁽³⁾</i>	June 2008
<i>SWIFTNet Service Design Guide SWIFTNet 6.3 Change Bulletin 1</i>	December 2008
<i>Key Management Application - Interface Specifications</i>	June 2008
<i>Interface Vendor Specifications for InterAct and FileAct⁽⁴⁾</i>	March 2007
<i>Interface Vendor Specifications for InterAct and FileAct Change Bulletin⁽⁵⁾</i>	June 2007
<i>SWIFTNet FIN Interfaces Vendor Specification Addendum⁽⁶⁾</i>	March 2007
<i>SWIFTNet FIN Interfaces Vendor Specification Change Bulletin⁽⁷⁾</i>	June 2007
<i>SWIFTNet Link Interface Specification SWIFTNet 6.1⁽⁸⁾</i>	March 2007
<i>SWIFTNet Link Interface Specification SWIFTNet 6.1 Change Bulletin⁽⁹⁾</i>	June 2007
<i>SWIFTNet Service Design Guide⁽¹⁰⁾</i>	August 2006

<i>SWIFTNet FIN Interfaces Vendor Specification</i> ⁽¹¹⁾	August 2006
<i>SWIFTNet Link Interface Specification</i> ⁽¹²⁾	August 2006
<i>SWIFTNet Local Authentication Specification</i> ⁽¹³⁾	August 2006
<i>SWIFTNet Relationship Management Application Specification</i> ⁽¹⁴⁾	August 2006
<i>SWIFTNet Local Registration Application Specification</i> ⁽¹⁵⁾	February 2006
<i>SWIFTNet Role Based Access Control Specification</i> ⁽¹⁵⁾	February 2006
<i>SWIFTNet Key Management Application Specification</i> ⁽¹⁵⁾	February 2006
<i>SWIFTNet FIN Interfaces Vendor Specification 1.1</i> ⁽¹⁶⁾	December 2001
<i>SWIFTNet FIN Interfaces Vendor Specification 2.0</i> ⁽¹⁶⁾	December 2003

- (1) The SWIFTNet Link Specification gives information about the *Application Programming Interface* (API) sets that products must incorporate to support the InterAct and FileAct protocols. This version replaces the SWIFTNet release 6.1 March 2007 issue of the document.
- (2) The Interface Vendor Specifications for InterAct and FileAct specify the implementation of the messaging interface for InterAct and FileAct. This version replaces the SWIFTNet release 6.1 March 2007 issue of the document.
- (3) The SWIFTNet Service Design Guide provides developers with information about other specifications. The guide also provides guidelines about using the SWIFTNet software, and about the mandatory and optional features of a SWIFTNet product. It does **not** give guidelines about packaging, which is normally a vendor decision. This version replaces the August 2006 issue of the document.
- (4) The Interface Vendor Specifications for InterAct and FileAct specify the implementation of the messaging interface for InterAct and FileAct.
- (5) The Interface Vendor Specifications for InterAct and FileAct Change Bulletin contains corrections to the Interface Vendor Specifications for InterAct and FileAct March 2007 issue.
- (6) The SWIFTNet FIN Interface Vendor Specification Addendum provides FIN interface vendors with information related to the FIN Bulk Retrieval.
- (7) The SWIFTNet FIN Interface Vendor Specification Change Bulletin provides an update to the SWIFTNet FIN Interfaces Vendor Specification August 2006 issue.
- (8) The SWIFTNet Link Specification gives information about the *Application Programming Interface* (API) sets that products must incorporate to support the InterAct and FileAct protocols. This version replaces the August 2006 issue of the document.
- (9) The SWIFTNet Link Specification Change Bulletin provides updates to the document publication of March 2007.
- (10) The *SWIFTNet Service Design Guide* provides developers with information about other specifications. The *SWIFTNet Service Design Guide* also provides guidelines about using the SWIFTNet software, and about the mandatory, and optional features of a SWIFTNet product. But it does not give guidelines about packaging, which is normally a vendor decision.
- (11) The *SWIFTNet FIN Interface Vendor Specification* provides information about protocol version 3 that supports the security paradigm that uses Public Key Infrastructure (PKI). The *SWIFTNet FIN Interface Vendor Specification* also provides information about the FIN application-level protocol and about RMA authorisation.
- (12) The *SWIFTNet Link Specification* gives information about the API sets that products must incorporate to support the InterAct and FileAct protocols.
- (13) The *LAU Specification* provides information about how products can protect data between separate components (for example, a FIN interface and a communication interface).
- (14) The *SWIFTNet RMA Interface Specification* provides details of the relationship management protocol and the structure for the import and the export of RMA documents.
- (15) The *SWIFTNet Local Registration Application (LRA) Specification*, the *SWIFTNet Role Based Access Control (RBAC) Specification*, and the *SWIFTNet Key Management Application (KMA) Specification* give the necessary steps for to manage security endpoints and certificate management in a communication interface.

- (16) During the basic migration, suppliers must support protocol 1 or 2 as described in earlier versions of the *SWIFTNet FIN Interface Vendor Specification* as well as protocol version 3, described for SWIFTNet 6.

4 SWIFTNet Product Standards

Introduction

The requirements that must be supported depend on how a product is packaged (for example, stand-alone or bundled with other components).

4.1 Communication Interface

Logical definition

A communication interface must support the requirements listed in the following specifications:

- *the SWIFTNet Link Interface Specification*
- *the Local Registration Application Specification*
- *the Role Based Access Control Specification*
- *the Key Management Application Specification*

If a communication interface is stand-alone and it is not integrated with a FIN interface, then the product also must support the requirements of the *SWIFTNet Local Authentication Specification*.

Packaging

The software components are packaged as stand-alone products or bundled with other components. These other components can include components that make up a FIN interface, an InterAct interface, or a FileAct interface.

If a communication interface is not stand-alone, then the remote linkage and the Local Authentication Specification do not apply. A communication interface is not stand-alone when it is bundled with another interface component, for example, a FIN interface.

The communication interface component includes the security-related administration, although suppliers can package it in a separate physical platform.

Examples

Packaging	Example
Stand-alone product	Alliance Gateway
Bundled solution	A communication interface integrated with a FIN interface

4.2 FIN Interface

Logical definition

A FIN interface must support the requirements that are in the *SWIFT User Handbook*. These requirements include the Message Format Validation Rules and the security features, and the requirements listed in the following specifications:

- *FIN Regional Processor User Synchronisation on SWIFTNet 6.0* (April 2009)
- *SWIFTNet FIN Interface Vendor Specification* (August 2006)

In addition, the interface must support the requirements in one of the following documents:

- *SWIFTNet FIN Interface Vendor Specification* (December 2001)
- *SWIFTNet FIN Interface Vendor Specification* (December 2003)

A FIN interface needs a communication interface that the supplier can package either separately or in a bundled solution. If packaged separately, then the supplier must secure the link, as specified in the *SWIFTNet Local Authentication (LAU) Specification*.

A FIN interface also requires message authorisation support. This support involves the use of records obtained from an RMA interface.

Suppliers must also use the *Relationship Management Application (RMA) Specification* because it contains definitions of the record and file structures that are necessary to export and import RMA records between interface components.

Packaging

The supplier can package the FIN interface software components either as stand-alone products, or bundled with other products (for example, suppliers that provide a communication interface).

If the FIN interface is bundled with a communication interface, then, because there is no remote linkage, the Local Authentication Specification does not apply.

Example

A FIN interface bundled with a communication interface is an example of a bundled product.

4.3 Relationship Management Application

Logical definition

The Relationship Management Application interface must support the requirements listed in the *SWIFTNet Relationship Management Application (RMA) Specification*. The requirements include the support of RMA protocols and RMA file transfer.

The *SWIFTNet Local Authentication (LAU) Specification* is also required to provide authentication of files imported or exported.

Packaging

The supplier can package the RMA component as a stand-alone product from which RMA records are transferred to a messaging interface. The supplier can also integrate the product with a messaging interface.

Examples

Alliance Access release 7 is an example of an integrated package.

4.4 FileAct Messaging Interface

Logical definition

The FileAct Messaging interface must adhere to the mandatory requirements (general and specific to FileAct) as listed in the *Interface Vendor Specifications* for InterAct and FileAct. The protocol describes the mandatory behaviour of interfaces that send or receive traffic.

Packaging

The supplier can package the FileAct interface component as a stand-alone messaging interface, or the messaging interface can be part of a software package that offers other functionality.

Examples

The Alliance file transfer adapter product is an example of an integrated package.

4.5 InterAct Messaging Interface

Logical definition

The InterAct Messaging interface must adhere to the mandatory requirements (general and specific to InterAct) as listed in the *Interface Vendor Specifications* for InterAct and FileAct. The protocol describes the mandatory behaviour of messaging interfaces that send or receive traffic.

Packaging

The supplier can package the InterAct interface component as a stand-alone messaging interface, or it can be part of a software package that offers other functionality.

Examples

SWIFT does not currently offer a stand-alone InterAct product. It is integrated with the FIN interface in Alliance Access.

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Translations

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