

Presentation will begin at 12:03GMT

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# Global webinar for third-party providers



May 2023

Partner Programme / Third-  
Party Provider Readiness

# Agenda

1. Admin notices
2. Enterprise Testing Solution
3. SR2023 Message Updates
4. RMA bootstrap plan for 2023
5. Transaction Manager Activation
6. UETR recycling network validations
7. Future of Exceptions and investigations
8. Close

## Admin notices

- This presentation is being recorded
- The content will be published on SWIFT.com (<https://www.swift.com/standards/iso-20022/iso-20022-past-webinars>)
- Global webinar for third-party providers occur the last Thursday of every month and you can register 2 weeks before each event here: [Transaction Management Global Webinar for 3rd Party Providers](#)
- To ensure you receive communications from us while we remain GDPR compliant please [update your preferences here](#) (you will need to login to / create your free SWIFT account) to include the interests 'Payments' and/or 'Standards' and we will ensure we keep you informed about:
  - Global webinar for third-party providers Invitations
  - Relevant developments on ISO 20022 and Transaction Management
  - Updates from SWIFT's Market Practice team
  - The latest info on adoption enabling tools and support
- Support requests / queries should be raised via the [Support](#) page
- Queries regarding gpi portfolio certification/ self-attestation processes should be directed to new e-mail address: [provider.readiness@swift.com](mailto:provider.readiness@swift.com)

# Enterprise Testing Solution

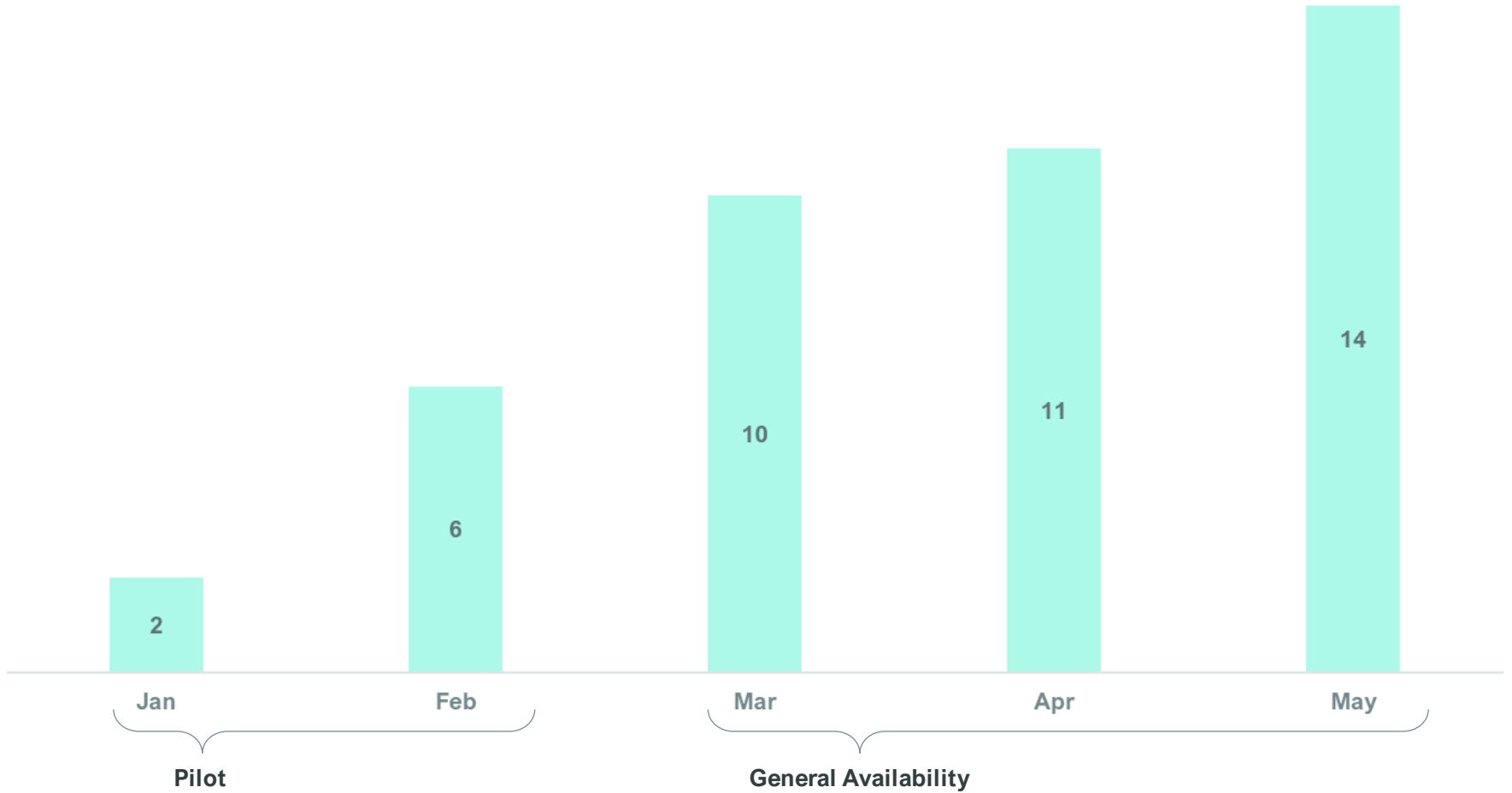


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# Enterprise Testing Solution Adoption

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## Enterprise Testing Solution Initiative Objective

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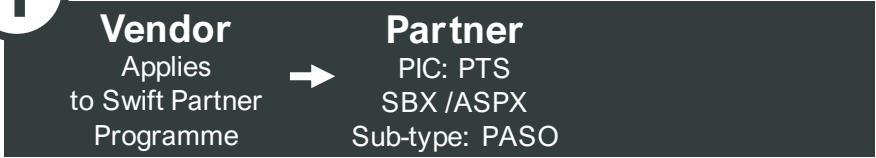
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**Provide a stable and rich environment for Swift Partners to test and qualify their products against our messaging and cloud services**

# What has changed?

1

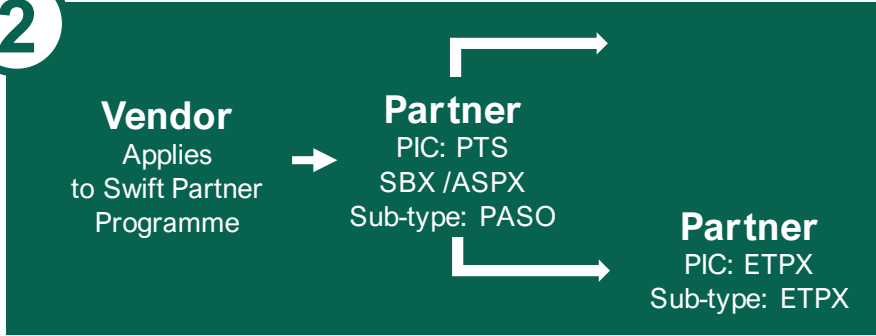
## Yesterday



**ITB Environment**  
Dev testing (msg. interface)  
Simulated message flow

2

## Today

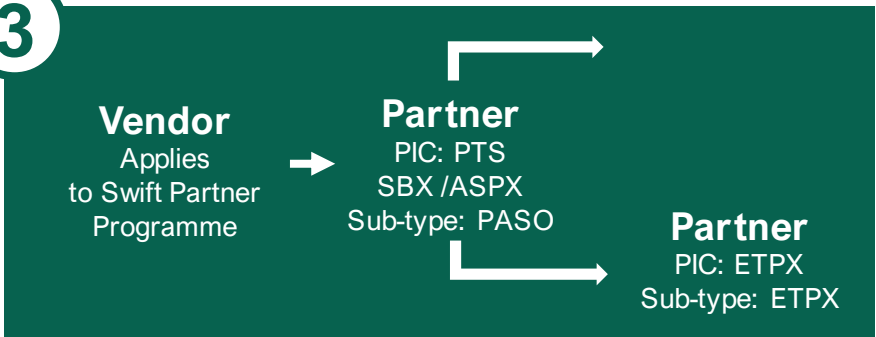


**ITB Environment**  
Dev testing (msg. interface)  
Simulated message flow

**Prod. T&T Environment**  
E2E message flow  
Test with TSP

3

## Tomorrow



**ITB Environment**  
Dev testing (msg. interface)  
Simulated message flow

**Prod. T&T Environment**  
E2E message flow  
Test with TSP

**Product & Technical Enhancements**  
gpi/TM  
API / TSP Integration  
Securities  
Market Infrastructures

## Swift Enterprise Testing Solution

- Swift Production Test & Training is the facility that enables eligible Swift Partners to test the functionality of Swift products and services in a controlled test environment before the changes are implemented on the live FIN or FINPlus service.
- Solution allows to perform **true end-to-end message flow testing**.
- Use of Test and Training facilities is **optional** for Partners.
- Partners **must not use** the Test & Training service or the testbed environment for the **processing of any real or live transactions**.
- Test & Training messages may only be exchanged between Test & Training destinations that are provisioned by Swift for the test environment and are subject to any other routing or configuration limitations instructed by Swift.



# SR2023 Message Updates



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## March 2023 – Start of Coexistence Inventory of Messages

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Request Type
<b>Business Application Header</b>
head.001.001.02
<b>Payment Initiation</b>
pain.001.001.09 (Interbank)
pain.002.001.10

Request Type
<b>Clearing and Settlement</b>
pacs.008.001.08
pacs.008.001.08 STP
pacs.009.001.08
pacs.009.001.08 ADV
pacs.009.001.08 COV
pacs.004.001.09
<b>Payment Status Report</b>
pacs.002.001.10
<b>Interbank Direct Debit</b>
pacs.010.001.03

Request Type
<b>Cash Management Reporting</b>
camt.052.001.08
camt.053.001.08
camt.054.001.08
camt.057.001.06
camt.060.001.05
<b>Exceptions and Investigations</b>
camt.056.001.08
camt.029.001.09 (ONLY as a response to camt.056)

- Usage Guidelines are published on **MyStandards** - [https://www2.swift.com/mystandards/#/mp/mx/\\_ImGilFKDEeyXX57HMRFmxw!usage\\_guidelines](https://www2.swift.com/mystandards/#/mp/mx/_ImGilFKDEeyXX57HMRFmxw!usage_guidelines)

## November 2023 - CBPR+ Portfolio Inventory of Messages – category 1

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Request Type	Message Name	MT Equivalent
<b>Direct debits</b>		
pain.008.001.08	CustomerDirectDebitInitiation	MT 104
pacs.003.001.08	FIToFICustomerDirectDebit	MT 107
<b>Cheques</b>		
camt.107.001.01	ChequePresentmentNotification	MT 110
camt.108.001.01	ChequeCancellationOrStopRequest	MT 111
camt.109.001.01	ChequeCancellationOrStopReport	MT 112
<b>Customer payment cancellation</b>		
camt.055.001.08	CustomerPaymentCancellationRequest	MT 192

- The above messages are scheduled to be deployed on FINplus in November 2023
- Usage Guidelines are published on **MyStandards** - [https://www2.swift.com/mystandards/#/mp/mx/\\_UQsRECZ9EeyFELcOlo2Q4w!usage\\_guidelines](https://www2.swift.com/mystandards/#/mp/mx/_UQsRECZ9EeyFELcOlo2Q4w!usage_guidelines)

# RMA bootstrap plan for 2023

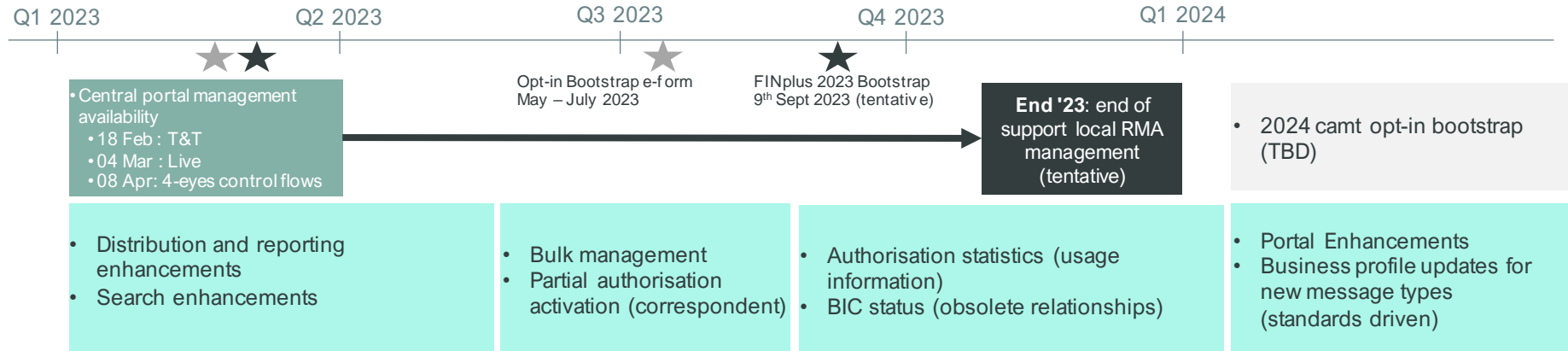


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# Roadmap| RMA evolution and ISO 20022: Where we are today

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## FINplus Bootstrap 2023

This year there will again be a bootstrap for new CBPR+ messages eligible for in-flow translation that are in scope for November SR2023. Authorisations will be bootstrapped based on equivalent FIN RMAs

If authorized in FIN	Then authorize in FINplus	Comments
MT110	camt.107	<b>Mandatory Bootstrap</b> - done for all customers
MT111	camt.108	
MT112	camt.109	
MT292	camt.058	
<b>If any authorized in FIN</b>	<b>Then authorize all in FINplus</b>	<b>Comments</b>
MT941/942	camt.052	<b>Opt-in Bootstrap</b> (selected via e-form): All 3 message types will be included in the bootstrap and is based on FIN CAT9 traffic analysis (Jan-July-2023).
MT940/950	camt.053	
MT900/910	camt.054	

The opt-in order form is planned to be available from May-July 2023.  
The bootstrap is planned to be implemented in September 2023.



# Transaction Manager Activation



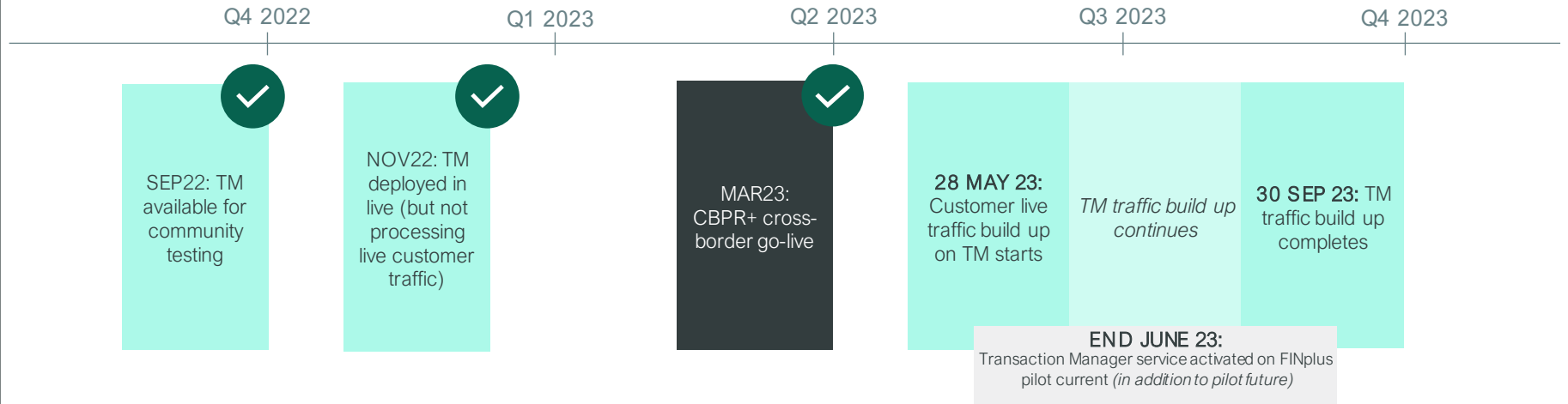
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## Transaction Manager activation milestones

Swift will control and execute incremental build-up of in-scope ISO 20022 traffic

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- During build-up period, only messages included in the current build-up stage will be routed to Transaction Manager.
- The build-up will prioritise rich-data transactions\* first and subsequently will be managed based on UETR range, which will allow for modulation up or down if needed. For example, in the case of an unexpected large increase in rich data usage.
- Other ISO 20022 messages in scope of Transaction Manager will be delivered directly on FINplus without processing by Transaction Manager. They will be processed by in-flow translation, meaning that they are received as an ISO 20022 message with embedded MT format, but not stored in the central transaction copy.
- Once build-up is complete, all messages in scope of Transaction Manager are processed by Transaction Manager.



Transaction management related milestones      CBPR+ related milestones      Test system related milestones

\*a transaction message that contains at least one rich data field (see appendix for definition of rich data fields)

## Community communication during the build-up



Transaction Manager  
support page (swift.com)

- Transaction Manager control room will communicate on the status of the activation of Transaction Manager.
- This will be done in pull mode through the update of Knowledge Base tip [5026014](#). This tip will also be used throughout the traffic build-up period to communicate on which range of messages are currently processed by Transaction Manager.
- On the Transaction Manager support page, a link to the latest updated KB tip will be available.

[Knowledge Centre](#) > [Transaction Manager](#) > [Support Page](#)

### Transaction Manager

Access all the key resources and documentation to the first release of the Transaction Manager.  
For information on ensuring ISO 20022 readiness, please see the [related Support Page](#).

#### Readiness

##### Key Resources

##### Testing

##### Learn

#### Readiness

- **New** Transaction Manager Business Validations – Key Requirements (00:16 Hrs)
- **New** Transaction Manager Briefing: Preparing for Transaction Manager Activation (00:35 Hrs)

#### Key Resources

- Service Description
- Transaction Manager - Business Processing Rules
- Operations Guide
- Transaction Manager Release 1: Messaging Flows

#### Related links

- [Your Questions Answered](#) >
- [Release Timeline](#) >
- [Alliance Access 7.6](#) >
- [Ensuring ISO Readiness Support Page](#) >
- [RMA Support Page](#) >
- [Knowledge Base Articles for 7.6](#) >
- [Contact Support](#) >
- [Standards Readiness Portal](#) >
- [Translation Portal](#) >



#### Information - Documentation

Access all relevant documentation including FAQs on [Transaction Manager support page](#)



#### Information - Updates

Consult Transaction Manager activation updates that will be provided through [Knowledge Base tip 5026014](#)



#### Troubleshoot

Issues with processing XML namespace prefix see [TIP 5025610](#)



#### Troubleshoot

Transaction Manager Abort Troubleshooting see [TIP 5025819](#)



## Transaction Manager – what do you need to be ready?



Technical requirements are **already complete** with the CBPR+ implementation. If you have tested CBPR+ on FINplus pilot future since September 2022, then you will have already been exposed to Transaction Manager. Swift will automatically route in-scope traffic to Transaction Manager, so there is no need take any action to opt-in.



### What do I need to do?

Ensure CBPR+ usage guidelines are applied correctly, and your **solution is compliant**.



### Why is this important?

To guarantee integrity of the transaction copy, Transaction Manager will implement **new business validation rules** to check that the combination of messages received with this reference belong to the same transaction, and that they **adhere to the CBPR+ usage guidelines**.



# UETR recycling network validations



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# UETR recycling network validations

## Background

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**WHAT:** Swift validates the presence of a valid (i.e., correctly formatted, and unique) UETR.

**WHY:** The presence of a valid UETR on customer credit transfers and financial institution transfers has been mandatory since SR 2018 and is a key component in gpi tracking, transaction management processing and individual institutions operations and processing.

To encourage the correct generation of UETRs validations were introduced to start monitoring for recycled UETRs and a service management campaign was launched asking non-compliant institutions to investigate and take corrective action.

**IMPACTED:** all financial institution Swift members sending customer credit transfers and / or financial institution transfers on FIN and FINplus.

# UETR recycling network validations

## Principles and scope



UETR recycling validation principles and scope KB Tip: [5026058](#)



UETR recycling validation approach and timeline KB Tip: [5023810](#)

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### Enhanced logic

- Checks a message based on several parameters, including the amount
- Is more granular in the use cases covered
- Works across FINplus (ISO 20022) and FIN (MT)
- Covers CCT, COV and FICT message types

*The logic supports valid use cases such as:*

- *Retry / Reroute after reject*
- *Reject using non-standard message type*

#### Message scope:

- MT 103, MT 103 STP, MT 103 REMIT, MT 202/202COV and MT 205/205COV, including FIN payment Mis
- ISO 20022 messages on FINplus: pacs.008, pacs.008 STP, pacs.009, pacs.009 COV, pacs.009 ADV

*Coverage for ISO-based Market Infrastructures is under investigation*

### Overall principle

- The check applies for messages sent by the same BIC11 for the same UETR
- During logging mode, no messages are rejected (NAK) but they are reported as part of the campaign
- During NAK mode, messages with recycled UETR are rejected by the network (across FIN and FINplus)



UETR recycling validations are planned to be moved in to **NAK mode** in **November 2023**, subject to campaign results

## Community service management campaign

Key recommendations are being made to institutions still recycling UETRs

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Investigate the list of UETRs that failed UETR validations (list provided by Swift)



Identify all applications / processes that are generating invalid / recycled UETRs (including manual repairs resulting from enquiries and investigations)



Ensure UETR generation corrections are implemented across FIN and FINplus messages



Test and validate corrected UETR generation implementation using Swift test environments



Update any processes and train staff as required (e.g. recognise error code linked to a rejected message for using a recycled UETR and how to handle)

# Future of Exceptions and Investigations



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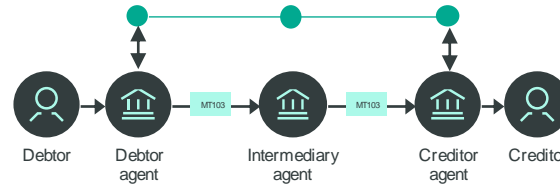
# Extending Case to the entire Swift community

## Traditional investigations



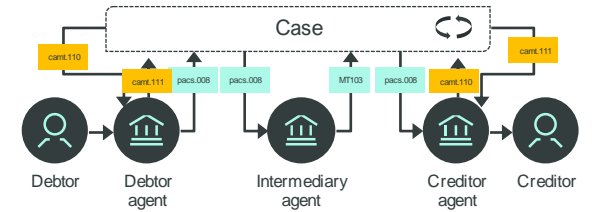
Traditionally in correspondent banking, exception handling messages are executed one after the other in a serial process, without clear standards on process or message formatting.

## “Case” investigations



In 2020, Swift introduced a value-added service to streamline most common exceptions. This process relies on a combination of smart routing and usage of structured requests, hereby accelerating E&I handling.

## ISO 2022 investigations



Combining the Transaction Manager payment flows with standardized ISO 2022 investigation flows to bring the concept of **orchestrated investigations based on CBPR+ business rules**.

## Legacy process

- **Reach:** counterparties only
- Legacy standard
- No process

## Case Management

- **Reach:** Case users
- 2 use cases
- Central process

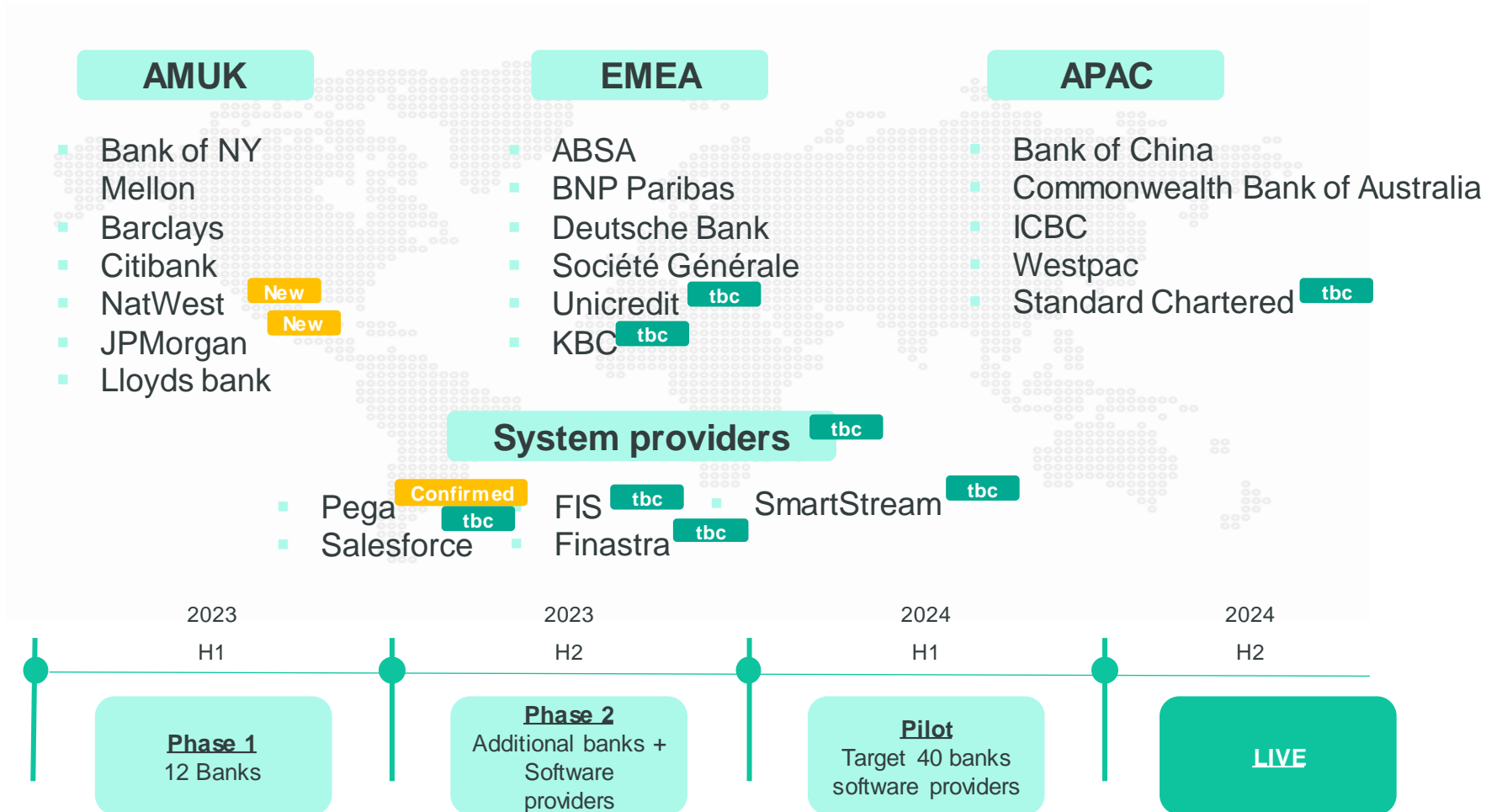
## Community Case

- **Reach:** entire Swift community
- New uses cases to be integrated incrementally in existing product (no migration required)
- Global process (no more dual Case and MT 199)

# The Case Expert group

## Represented/participant institutions

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## Why joining the industry leading group

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### Product design

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- Early access to testing environment & application screen code
- Direct input from clients in physical WS sessions to design your product
- Participate in implementation requirement sessions
- Scale to future use of other swift services and long-term vision
- Possibility to submit change requests during phase 2

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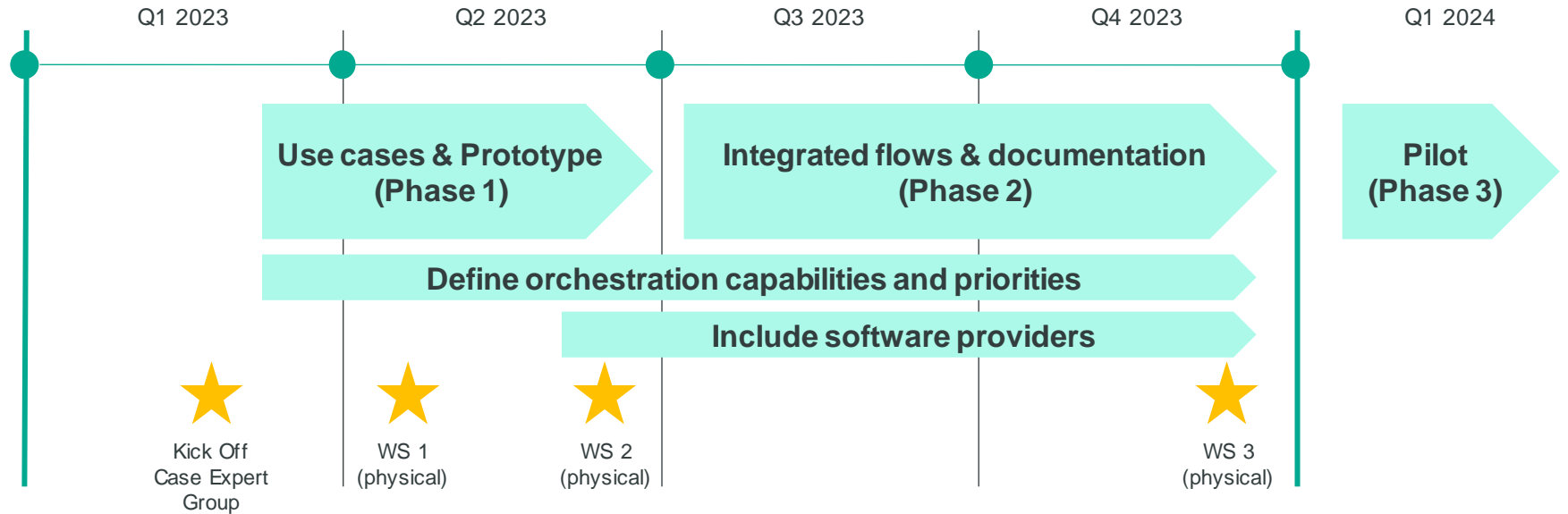
### Promotion opportunities

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- Position your application as a leader in E&I together with your client(s)
- Panelist in Swift webinars
- Panelist of E&I session at SIBOS (first come first served – upon reception of confirmation letter of intent)
- Breakfast session at SIBOS
- LinkedIn event with software providers
- Support of Swift partnership and consultancy teams

## Case Expert Group High-level timeline for 2023

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Software providers can join the Case Expert Group with (at least) one interested bank as from start of Phase 2 – Confirmation of participation to be provided by 10<sup>th</sup> of June - contact person: Maxime WOUTERS (maxime.wouters@swift.com)

## Case Management – food for thoughts

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### Chose you most appropriate channel

Case solution can be implemented through **a variety of channels**, hereby providing a solution for all configurations, which are **all future proof** (see next section)

Our **GUI solution based on gpi/basic tracker** is fit for small to medium sized institutions (or branches of larger institutions), **can be implemented in 10 days without external assistance**

Our **API connectivity** responds to the needs of larger institutions with internal E&I management applications, aiming for **extended integration within their ecosystem**

### Reach the growing Case community

The Case product is **available for both gpi and non-gpi banks**, with same business rules applied for both profiles to ensure **standardized processes**

With an 70% increase of subscribed clients in the last 12 months, we now reach **232 banking groups subscribed** representing 32% of investigations worldwide

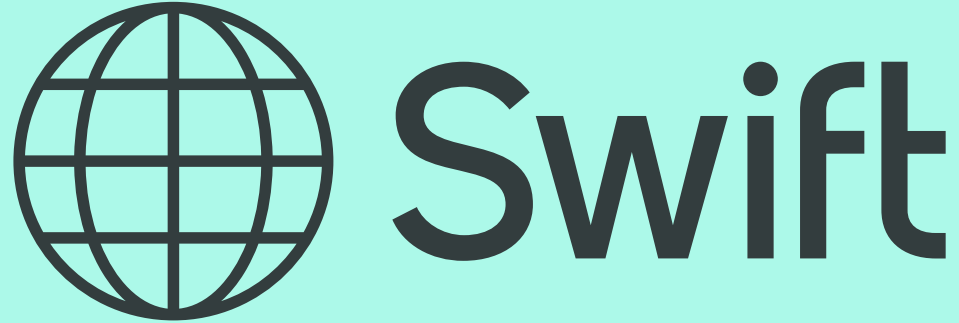
Last 12 months have seen an **increase of 115%** of live Bic8 bringing to a total of **218 institutions reachable immediately** through Case

### Streamline most frequent investigation type

Case covers today the most frequent investigation type commonly known as **Unable-to-Apply**. This use case represents between 15% and 30% of investigations initiated

Be aware that **non-gpi clients**, upon subscribing to case management, **will also implement our Stop-and-Recall process** to handle efficient requests for cancellation

The **SRP process is already implemented by all gpi banks** as being part of the gpi onboarding



If you have any questions, please contact your Account Manager  
or raise a case via the [Support](#) page