

SWIFT Software Implementation Service Guide

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Preface

Purpose of this Document

The SWIFT Software Implementation Service document provides a comprehensive overview of the Implementation Service and process.

Document Organisation

This document is organised into five distinct chapters. Here you will find information relating to:

Chapters:

- Chapter 1: **Overview** - Introduces the reader to the Implementation Service.
- Chapter 2: **The Service** - Describes the Implementation Service and introduces the notion of SWIFT Service Partners. It clarifies the phases and stages involved during the Implementation Process.
- Chapter 3: **Responsibilities** - This chapter lists the responsibilities of the parties involved in the Implementation process.
- Chapter 4: **SWIFT Implementation Service** - This chapter lists the product specific Implementation requirements for SWIFTAlliance Access, SWIFTAlliance Entry, SWIFTAlliance Gateway, SWIFTAlliance WebStation, and SWIFTNet Link.
- Chapter 5: **Quality Standards** - This chapter defines the quality standards SWIFT expects from Service Partners in delivering the SWIFT Software Implementation Service as defined in this document.

Intended Audience

This document is aimed at existing and prospective Customers to provide an insight into the service offering, how it is delivered and what to expect.

Related Documentation

The following documents are recommended for further reading:

- *SWIFTNet Planning Guide*
- *SWIFTNet Implementation Guide*
- *Best Practice Guidelines for implementing SWIFTAlliance Access/Entry over SWIFTNet FIN*
- *Best Practice Guidelines for implementing SWIFTAlliance Access Telex/Fax*
- *Best Practice Guidelines for implementing SWIFTAlliance Gateway*

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1. Overview

1.1. General

Introduction

After purchasing any SWIFT software product, Customers have the choice either to install and configure the applications themselves, or to request an implementation from a SWIFT Service Partner.

The Implementation Service

The Implementation Service provides Customers with the option to request the installation and configuration of SWIFT software products through an accredited SWIFT Service Partner.

Implementation Standards

All implementations performed by SWIFT Service Partners are required to be conducted to the exacting standards mandated by SWIFT. Each SWIFT Service Partner performs these implementations in accordance with the SWIFT accreditation scheme.

1.2. Benefits

Benefits

By providing the Implementation Service through SWIFT Service Partners, both SWIFT and Customers derive a number of benefits.

Benefits:

- **Range of Partners:** Customers can choose from a range of SWIFT Service Partners to perform their installation, thus making it easier to schedule their installations.
- **Local Support:** Customers can choose a SWIFT Service Partner close to their operating base.
- **Efficient and Effective Installation:** Implementation conducted efficiently and effectively by qualified personnel, in accordance with predefined quality standards established by SWIFT.

- **Expertise Where it's Needed:** Customers can draw upon expertise of SWIFT Service Partners to perform tasks where internal expertise or resources are not available.
- **Broad Range of Services:** SWIFT Service Partners are able to offer a broader range of services and products that complement SWIFT interfaces.

1.3. Before Implementation Starts

Responsible Parties

Each implementation involves up to three separate parties.

These parties are:

- **The Customer:** The financial institution ordering SWIFT software products or services
- **SWIFT Service Partner:** Software Implementation Service provider if an Implementation Service is requested
- **SWIFT**

Ordering Products and Services

Before a software implementation can take place the following products and services must be ordered by the Customer:

1. ISDN lines from a local Telecomms supplier
2. Connectivity equipment and lines from a SWIFT Network Partner
3. Computer Hardware and Operating System Software
4. Software products from SWIFT
5. Implementation Service from a SWIFT Service Partner (this is optional but strongly recommended by SWIFT)

Note: Whilst software, the Implementation Service, network equipment and lines can be ordered at the same time, the subsequent implementations must be done in a sequential order. For example, network equipment and lines must be implemented first, before SWIFT software can be installed.

2. Implementation

2.1. Implementation Service Description

Introduction

SWIFT has standardised the Implementation Service for each product. Every SWIFT Service Partner, at the very minimum, will offer what SWIFT mandates. Please refer to “SWIFT Software Products” on page 13 for product specific details.

The Implementation Service consists exclusively of steps 7 to 10 of the process shown in the following illustration and tables. Many SWIFT Service Partners offer additional services that cover items outside the scope of the Implementation Services. For more details, refer to “Other Services” on page 11.

The Implementation Process

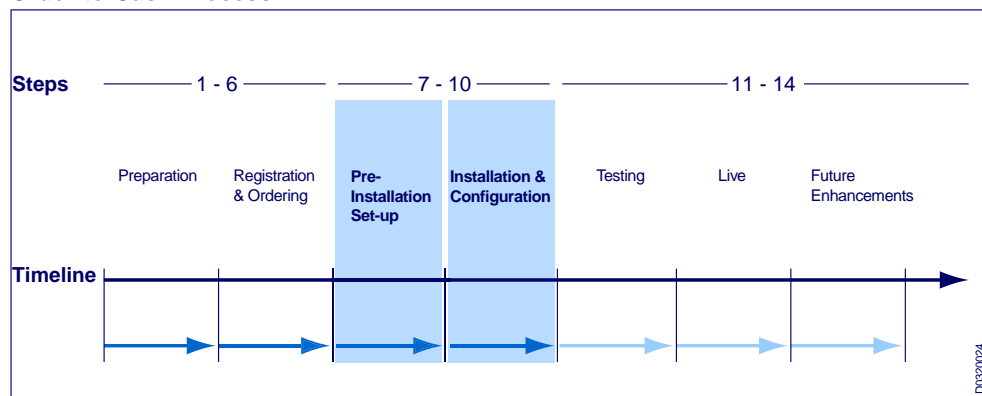
The Implementation Service is valid only during the Pre-installation and Configuration stages of the typical Order-to-Cash process. This is illustrated in the figure *Order-to-Cash Process*. There are three distinct phases.

Implementation Phases:

- Preparation - Phase 1
- Implementation - Phase 2
- Post implementation - Phase 3

These phases are described in the figure and following tables.

Order-to-Cash Process



Preparation Phase

1. This table describes the tasks that the Customer performs during the preparation phase.

Preparation Phase

Step	Action	The Customer will...
1	Order Service/Products from SWIFT	Select and order SWIFT software products from SWIFT or a business partner.
2	Order Network Connection	Order Connectivity Equipment and lines from SWIFT Network Partner.
3	Order Implementation Services from a SWIFT Service Partner	Select a SWIFT Service Partner from the list available at www.swift.com/partner .
4	Nominate Project Manager	Nominate a project manager to coordinate internal activities.
5	Order and install required hardware and software	Order any necessary hardware, for example: PCs, printers, servers, and install operating systems.
6	Agree Implementation Planning	Agree an implementation date with SWIFT Service Partner and ensure all key personnel (IT Admin, security and operators) are available for the implementation.
7	Perform Site Readiness Checks	Confirm to SWIFT Service Partner that network connectivity is in place, with all required hardware/software readily available. Confirm operating system is installed on computer hardware and SWIFT software and passwords have been received. Complete and return the Readiness Form as indicated in the Best Practice Guidelines.

2. This table describes the tasks that are performed by the SWIFT Service Partner during the implementation phase.

Implementation Phase

Step	Action	SWIFT Service Partner will ...
8	Pre-installation Checks	Perform the pre-installation checks, re-verify network connectivity and software and that passwords are correct. Note: Any issues arising due to network connectivity or lack of necessary materials may result in reduced training time or cancellation of the implementation.
9	Install SWIFT Interface Software	Verify all required software and passwords are available. Install the SWIFT Interface software. The installation is confirmed by sending a test message to SWIFT.
10	Post-installation activities	Perform Checks: <ul style="list-style-type: none"> • Specific to Customer environment - ad hoc. basis. • Product specific steps as described in respective Installation Guides. • Complete Order and Installation Surveys.
11	Formal Training	Train the nominated staff according to the training schedule and agenda outlined by SWIFT, see also relevant Installation Guides for more details.

3. This table describes the tasks that are performed by the Customer during the post-implementation phase.

Post Implementation Phase

Step	Action	The Customer will ...
12	Test	Use the Test and Training network to familiarise staff with the software, test back office integration and configure the SWIFT software to in-house requirements.
13	In-house Training	Continue with the training process in-house to develop new procedures and expertise.
14	Going Live	Go live by connecting the SWIFT software to the live network. This is undertaken when the integration and configuration is complete and staff fully trained.
15	Further Enhancements	Contact SWIFT Service Partners for their service offerings should additional services or enhancements be required.

2.2. Technical Support

Customer Service Centres

Customers can draw upon SWIFT technical support for help and technical assistance during and after implementation by accessing Online Support on **www.swift.com** or from SWIFT Customer Service Centres (See **www.swift.com** for contact information).

Note: If the Customer experiences major technical difficulties and requires extensive SWIFT support during a software implementation performed by the Customer or an unaccredited agent, SWIFT can refer the Customer to a local SWIFT Service Partner for on-site assistance or re-installation at the Customers expense.

2.3. Software and Passwords

Introduction

During the ordering phase, Customers are required to identify and name Security Officers, and to provide shipping details.

SWIFT's Responsibility

SWIFT will issue all passwords to the Security Officers named by the Customer, (these are required during the implementation phase), and will ship all software, documentation and subsequent releases to the shipping address.

Customer's Responsibility

If any details relating to the named Security Officers and shipping address change, the Customer must inform SWIFT immediately.

3. Responsibilities

3.1. Responsibilities of Parties

Introduction

Every successful implementation requires the co-ordinated involvement of the Customer, SWIFT Service Partner, and SWIFT. The key responsibilities for each party are listed in the following sections.

Customer Responsibilities

Where Customers subscribe to the Implementation Service, the Customers responsibility is limited to:

Customer's Responsibility	Is limited to ...
Network connectivity	Ordering and arranging the implementation of network connectivity.
Hardware and Operating System	Providing computer hardware pre-installed with an operating system that meets the minimum software requirements.
Software and passwords	Providing software and passwords received from SWIFT.
Personnel	The relevant personnel must be available for training.

SWIFT Service Partner Responsibilities

It is the responsibility of the customer to decide whether to use a SWIFT Service Partner to assist in the implementation of the licenced SWIFT software. In the event that the customer decides not to use a Service Partner, the responsibilities of the Service Partner, listed below, become the customer's responsibility.

The SWIFT Service Partner is responsible for performing:

SWIFT Service Partner	Must perform...
Pre-implementation checks	The required pre-installation checks prior to the implementation. These checks verify: successful network connectivity to SWIFT, correct hardware and operating system configuration, and installation readiness of the Customer.

SWIFT Service Partner	Must perform...
Software installation	If the pre-installation checks are successful, then install the software and confirm a successful connection to SWIFT.
Training	Provide Customer staff with the necessary training to enable them to manage and configure the system.
Survey Forms	Obtain completed standard implementation survey form from the Customer.

SWIFT's Responsibilities

SWIFT's responsibilities, regardless of who performs the installation, is limited to the following:

SWIFT's Responsibilities	Is Limited to ...
Processing Orders	Processing orders, shipping software and issuing passwords.
Provisioning	Provisioning Customers on the SWIFT network.
Service Partner Management	Managing the Service Partner Program. Maintaining and publishing an up-to-date list of SWIFT Service Partners.
Training	Training, re-accrediting and monitoring SWIFT Service Partners.
Technical Support	Providing technical support via Online Support at www.swift.com or from Customer Service Centres.
Software Releases	Maintaining software and providing software updates, as and when necessary.

3.2. Other Services

Scope

Service activities outside the scope of the Implementation Service are listed below. However, these services may be available from some SWIFT Service Partners.

Activities outside scope of SWIFT Implementation Service:

- Implementation of telecommunication lines, hardware or troubleshooting connectivity
- Implementation of computer hardware or operating systems
- Implementation of third party software
- Configuration or connectivity with back office applications
- Training beyond what is stated for each software package
- Implementation of more than one interface instance and one workstation
- Installation of any option or service that is not covered within the Best Practice Guidelines for the products listed in Section 4.2, SWIFT Software Products.

3.3. Conditions

SWIFT Service Partners

Implementation is provided by SWIFT Service Partners who are accredited by SWIFT. For more information please refer to www.swift.com/partners.

Customers

Customers are advised to confirm pricing and any additional enhancements to the standard Implementation Service with SWIFT Service Partners before signing for an implementation.

4. SWIFT Implementation Recommendations

4.1. Overview

Introduction

SWIFT offers recommendations, in terms of price and service duration for Implementation Services, for SWIFT Service Partners to follow. This is known as the "defined services". However, SWIFT Service Partners are free to add to the minimum service requirements and adjust charges accordingly.

Customers are advised to contact SWIFT Service Partners to obtain the latest prices and service offerings. Recommendations set by SWIFT are as shown in the following table.

4.2. SWIFT Software Products

Introduction

Price and service recommendations shown below apply to the Software Implementation Service for the main SWIFT Software Products as given in this table.

Price and Service Recommendations

Product	Confirm Request (Days)	Implementation Days		Indicative Implementation Fee **	Reference Documentation
		Install	Train		
SWIFTAlliance Access (Implementation by Service Partner highly recommended)	5	1	3	USD 6,000	* SWIFTAlliance Access Installation and Administration Guide: AIX, W2K, Solaris Best Practices Guidelines for Implementing SWIFTAlliance Access/Entry over SWIFTNet FIN

Product	Confirm Request (Days)	Implementation Days		Indicative Implementation Fee **	Reference Documentation
		Install	Train		
SWIFTAlliance Access Telex (Implementation by Service Partner highly recommended)	5	0.5	2.5	USD 4,500	* SWIFTAlliance Access Installation and Administration Guide: AIX, W2K, Solaris Best Practices Guidelines for Implementing SWIFTAlliance Access Telex/ Fax
SWIFTAlliance Entry (Implementation by Service Partner highly recommended)	5	1	2	USD 4,500	* SWIFTAlliance Entry Installation and Administration Guide: W2K Best Practices Guidelines for Implementing SWIFTAlliance Access/Entry over SWIFTNet FIN
SWIFTAlliance Gateway (Implementation by a Service Partner highly recommended)	5	0.5	1.5	USD 3000	* SWIFTAlliance Gateway: Installation Guide Best Practices Guidelines for Implementing SWIFTAlliance Gateway
SWIFTAlliance Webstation (Can be installed by the Customer)	5	0.5	0.5	USD 1,500	* SWIFTAlliance Webstation Installation Guide SWIFTNet Implementation Guide

Product	Confirm Request (Days)	Implementation Days		Indicative Implementation Fee **	Reference Documentation
		Install	Train		
SWIFTNet Link (Implementation by a Service Partner highly recommended)	5	0.5	0	USD 750	* SWIFTNet Link Installation and Administration Guide SWIFTNet Implementation Guide

Note: Terms used in the above table have the following meaning:

Terms:

- **Confirm Request:** Time taken by the SWIFT Service Partner to respond to a request for an Implementation.
- **Install Days:** Time required to install software on-site.
- **Training Days:** Recommended number of training days following implementation.
- **Price:** Recommended price for the Implementation Service.
- **Reference Documentation:** Additional documentation providing product specific information.
- **Asterisk (*):** Documentation is shipped with software.
- **Asterisk (**):** May vary according to region.

4.3. Other SWIFT Software Products and Options

Introduction

Customers who license these other SWIFT Software Products or options are expected to make the necessary arrangements prior to the installation of the main software product. Customers may choose to use a SWIFT Service Partner, even for options that are indicated as being self installable. In such cases, the customer should make prior arrangements with their selected SWIFT Service Partner.

Table of other SWIFT Software Products

Accord WS/SWIFTNET Accord	
Purpose	The Accord Service was developed by SWIFT to facilitate the matching and netting of confirmations of FX, money markets and derivatives deals.
Implementation Recommendation	Software is self installable. Business training is foreseen to be delivered by SWIFT as part of the Accord joining fee for new customers only. Migrating customers will receive a migration handbook for SWIFTNet Accord. Additional training may be available from SWIFT, upon request, at current consultancy fees.

LCN services (EBA - EURO1 & STEP1; SPI- LCN Spain)	
Purpose	LCN provides for the processing of payment messages transmitted through SWIFT. The central computer authorises one or more payment messages for delivery only when the result of processing the payment(s) is to keep both the sender's and the receiver's balances within limits.
Implementation Recommendation	Self installable. Service Partner may provide help with the installation of the interface software between Clearing Workstation and SWIFT Interface (NFS in case of SWIFTAlliance). Training is provided through EBA or SPI.

Table of Options for SWIFT Software Products

SAG Options	
The SAG options, for example, MQHA, FTA, RAHA are included in the implementation of the main SAG software product as defined in the SWIFTAlliance Gateway Installation Guide.	

MQSA	
Purpose	The MQSA is a SWIFTAlliance component which allows the exchange of FIN messages with user applications using the IBM MQSeries as the transport protocol.
Implementation Recommendation	Installation and integration with back office applications are self-installable.

CASmf	
Purpose	The CASmf software package allows a User Host and a S.W.I.F.T. CBT (ST400 or SWIFTAlliance Access) to exchange data in a real time mode.
Implementation Recommendation	Installation and integration with back office applications are self-installable.

PC-Connect	
Purpose	PC Connect is an easy to use and secure S.W.I.F.T. message entry system which has been designed to run on IBM PCs and compatibles.
Implementation Recommendation	Self-installable.

Dual & Mirror Disk option - only available on IBM/AIX for SAA	
Purpose	HACMP provides High Availability Cluster Multi-Processing on AIX. This solution consists of two nodes running in a cluster and three mirrored disks. In case of first node failure, the HACMP starts the second node, where SWIFTAlliance will start after the Database recovery.
Implementation Recommendation	1 day training/installation for the SWIFTAlliance component.

5. Quality Standards

Introduction

This section identifies the minimum quality standards that the customer should expect from a SWIFT Service Partner when delivering the SWIFT Software Implementation Service as defined in this document.

5.1. Pre-implementation Quality

Best Practice

The quality standard SWIFT lays down for the implementation process is governed by the Best Practice Guides.

There are three Guides:

- Best Practice Guidelines for implementing SWIFTAlliance Access/Entry over SWIFTNet FIN.
- Best Practice Guidelines for implementing SWIFTAlliance Access Telex/Fax.
- Best Practice Guidelines for implementing SWIFTAlliance Gateway.

The Guide appropriate to the installation should be studied and the guidelines followed.

5.2. Implementation Quality

Operational Criteria

At the end of an implementation of a SWIFT Software Product by a SWIFT Service Partner, the Customer should have a fully operational system.

A fully operational system means:

- Able to send messages on the network (Test & Training).
- Able to exchange Bilateral Keys (Live).
- The connectivity is stable.
- Connection with the back office and the printers is defined (at a basic level, and the customer knows how to re-configure and add to it).
- Base Operators, Profiles and Units are defined (and the customer knows how to create new ones).

5.3. Post Implementation Quality

Implementation to Cutover Date

In the period between implementation and cutover date the SWIFT Service Partner will be available to answer customer queries and give assistance on such items as setting up profiles, the back office connection and routing.

This follow-up availability is provided as part of the Standard Implementation Service until the cutover date.

6. Glossary

6.1. Glossary

Glossary

Terms and Explanations

Term	Explanation
SWIFT Network Partner	One of the selected telecommunication companies to provide the multi-vendor network environment.
SWIFT Service Partner	Companies that are accredited by SWIFT to provide local on-site assistance to Customers in areas such as SWIFT interface installations, upgrades, migrations, on-site training, consultancy services.
SWIFT Business Partner	Companies authorised by SWIFT to sell SWIFT products and services.
Passwords	Passwords can consist of Master Passwords, Bilateral Key Cards and PKI.

