TARGET2 User Testing

Guide for Migration

Version 2.2 / 01 August 2007

User Guide

Foreword

Testing activities are critical for participants in their preparations for TARGET2 migration. To support them, the Eurosystem has developed a harmonised testing framework, which national central banks are responsible for implementing with their national banking communities. The framework complies with the principle of a level playing-field, in the sense of "same functionality – same tests to be performed".

This "TARGET2 User Testing Guide for Migration" aims at providing future TARGET2 direct participants and ancillary systems with details of all the technical, functional and procedural aspects of the TARGET2 testing framework. It will be a useful reference for them while scheduling, organising and performing their migration activities. Information specific to individual national banking communities is not included here; the document provides links to the respective T2 websites of the national central banks.

This guide was developed on the basis of the technical documentation available for the Single Shared Platform as well as other documents related to migration. To make it more comprehensive, links to some of those documents have been inserted. Should future TARGET2 participants require further information on user testing activities, they are invited to consult the TARGET2 website of the ECB or to contact their national central bank.

With this Version 2 the "TARGET2 User Testing Guide for Migration" has reached its full size and covers all the content foreseen. Nevertheless, it lies in the nature of testing that minor changes and additions will have to be made also in the coming months. These modifications will not change the overall idea and concept of user testing but would for example entail the implementation of lessons learned during testing with the first migration group for the benefit of the following migration groups. Currently no further releases of this document are foreseen. However, any minor changes of the nature indicated above will be reflected in T2TRIS, which basically contains the online version of this guide.

TARGET2 USER TESTING
GUIDE FOR MIGRATION

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1. INTRODUCTION

This section provides general background information on the user testing, organisational responsibilities and set-up.

1.1. Scope of user testing

The user testing as described in this document aims at verifying the readiness of the TARGET users for the migration from the current TARGET system to TARGET2.

It applies to:
- ✓ Direct Participants in Payment Module (DP in PM)
- ✓ Account holders in the Home Account Module (HAM)[1]
- ✓ Central Bank customers in the Home Account Module (HAM)[2]
- ✓ Ancillary Systems (AS).

Considering the limited functionalities offered for multi-addressee access, it is requested that addressees only perform the connectivity and interoperability test cases, which are applicable for this type of connection. Moreover, it is expected that the addressees are involved in the country and business day testing.

In some cases users may open so-called specific purpose accounts, for which the BICs will not be published in the T2 Directory. Such accounts may be opened by some T2 users e.g. for Reserve Management purposes, the settlement of transactions related to Monetary Policy operations or the Management of Cash withdrawals. If due to the nature of such an account not all test cases apply, CBs can - based on a concrete request from the user describing the intended usage of the account - reduce the test requirements accordingly. For example, there may be no need to test the ability of sending MT103 or MT103+, if this message type is not expected to be used. However, the receipt of all common message types needs to be performed, as there is no technical feature allowing such messages types to be forwarded to an account.

The testing between direct participants and their indirect participants and BICs addressable via them is outside the scope of the user testing as described in this document. It is a matter for the direct participants and is not part of the user certification process.

The testing process includes testing the interfaces with both the Single Shared Platform (SSP) and possible proprietary systems like a Proprietary Home Accounting system (PHA). With regard to the

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[1]   If directly connected to the SSP using SWIFTNet services.

[2]   If directly connected to the SSP using SWIFTNet services.

latter, tests are only envisaged to the extent the PHA is used to provide liquidity to the RTGS account. For further details on other PHA testing requirements, please refer to your Central Bank (CB, *see Annex4_CB_Contacts*).

User tests shall be organised step-by-step at institution level (connectivity and interoperability tests), country level (country tests) and migration group level (business day tests). Besides the structured testing, slots will be reserved for so-called free testing as well. The following picture shows the phases of the user testing in a logical order.

TARGET2 User testing
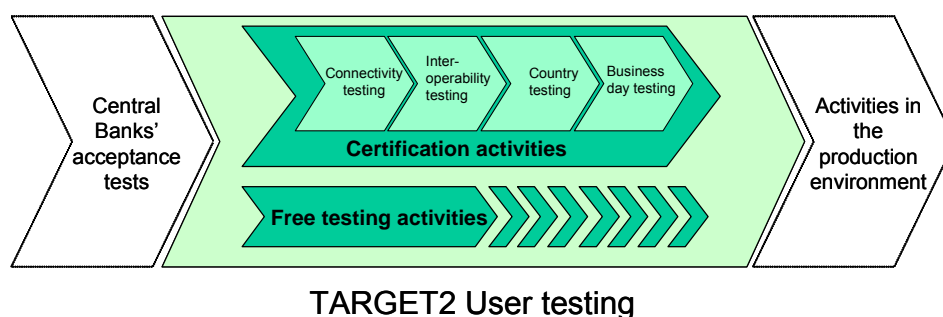
1.2. Migration groups

For the migration to TARGET2, the Eurosystem opted for a country window approach, allowing TARGET users to migrate to the SSP in different waves and on different predefined dates. Each wave will consist of a group of central banks and their respective national banking communities. Central banks will only be allocated to the first three groups while the fourth one will be reserved for contingency.

The composition of the migration groups is shown in the table below.

Migration Groups

Group 1	Group 2	Group 3	Group 4
19 Nov. 2007	*18 Feb. 2008*	*19 May 2008*	*15 Sep. 2008*
Austria	Belgium	Denmark	
Cyprus	Finland	Estonia	
Germany	France	ECB	*Reserved*
Latvia	Ireland	Greece	*For*
Lithuania	The Netherlands	Italy	*Contingency*
Luxembourg	Portugal	Poland	
Malta	Spain		
Slovenia			

Further information on the national migration profiles of individual countries can be found under: https://target2.ecb.de/test/prof/html/index.en.html (please request the user name and password from your central bank to access the page) or on the T2 website of the respective central bank *(see Annex4_CB_Contacts)*.

1.3. Phases of user testing

User tests are conducted in different sessions corresponding to the migration groups of countries. Sufficient overlapping of the testing periods for the migration groups should allow for some cross-group testing among members of different groups.

The following graph illustrates the overlapping of test phases for one migration group as well as the overlapping between groups. The graph does not show the use of the fourth migration group – reserved for contingency – which would require, if used, a prolongation of the migration testing activities until August 2008.

Dates shown are only indicative. Further details on the starting dates for different testing phases can be found in the testing calendar of T2TRIS (see chapter 1.10).
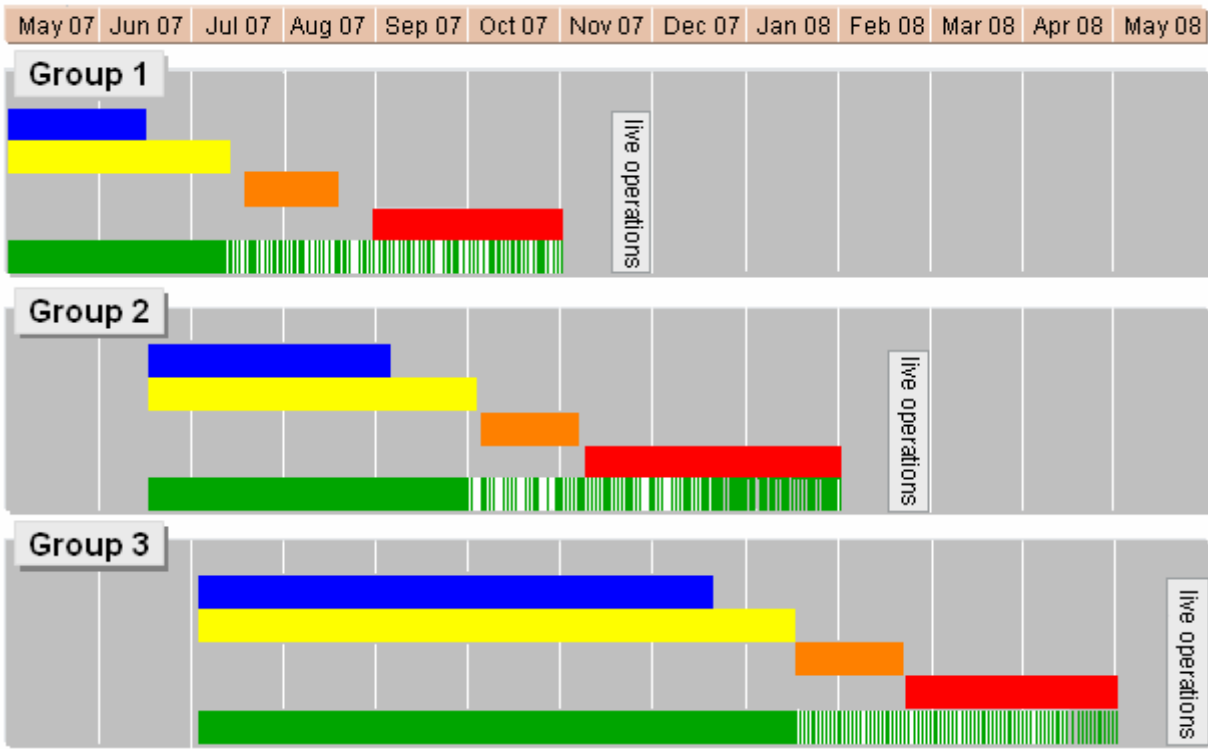
■ = Connectivity tests   ■ = Country tests   ■ = Free testing
■ = Interoperability tests   ■ = Business day tests   ■ = TARGET2 live operations

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The following table provides concrete dates for all the testing phases mentioned, and contains also information regarding periods required to prepare for activities across migration groups as well as times without testing activities.

Phase/Event	Migration group 1	Migration group 2	Migration group 3
Go live	19/11/07	18/02/08	19/05/08
Migration group specific activities in the user test environment			
Connectivity testing	02/05-14/06/07	18/06-07/09/07	02/07-14/12/07
Interoperability testing	02/05-10/07/07	18/06-03/10/07	02/07/07-16/01/08
Free testing	*02/05-10/07/07*	*18/06-03/10/07*	*02/07/07-16/01/08*
Free testing (as far as not conflicting with country and business testing needs)	*11/07-02/11/07*	*04/10/07-01/02/08*	*17/01-02/05/08*
User static data set-up for country testing	11/07/07	04/10/07	17/01/08
Country testing	12/07-20/08/07	05/10-07/11/07	18/01-20/02/08
Business day testing	31/08-02/11/07	09/11/07-01/02/08	22/02-02/05/08
Activities across migration groups in the user test environment			
User static data set-up for MG1 changeover simulation	29/08-30/08/07 (possible repetition: 27/09/07)		
Simulation of the changeover weekend and the first business days for MG1	31/08-04/09/07 (possible repetition: 28/09-01/10/07)		
User static data set-up for MG2 changeover simulation	08/11/07 (possible repetition: 06/12/07)		
Simulation of the changeover weekend and the first business days for MG2	09/11-13/11/07 (possible repetition: 07/12-10/12/07)		
User static data set-up for MG3 changeover simulation	21/02/08 (possible repetition: 20/03/08)		
Simulation of the changeover weekend and the first business days (all in T2 mode) for MG3	22/02-26/02/08 (possible repetition: 21/03-24/03/08)		

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Phase/Event	Migration group 1	Migration group 2	Migration group 3
Common interruptions of user testing			
Maintenance test environment	see details in T2 test calendar		
Set-up of CB static data for T1/T2 scenarios	21/08-29/08/07		
Christmas/New Year	24/12/07-04/01/08		

Detailed information on the different test phases can be found in chapter 3 to 7 of this document. Activities in the production environment including e.g. the set-up of the live static data, the verification of live connectivity and the respective change-over weekend activities are not within the scope of this document and will be described in a separate document.

1.4. Roles and responsibilities in TARGET2 user testing

The participant concerned is responsible for:
- registering with SWIFT for the respective closed user groups (e-ordering) (see 2.1),
- filling in and submitting the TARGET2 registration forms to its central bank (see 2.2),
- bilateral key exchange (BKE/PKI; see 3.2),
- definition of RBAC[3] roles,
- planning, preparing and performing testing activities in a timely manner and using the tools provided (check-list, TARGET2 website/T2TRIS),
- reporting of any incidents experienced during testing to its CB which may require an action either from the CB or the SSP,
- reporting of the certification test results to the CB,
- ensuring the readiness of its associated indirect participants and addressable BICs.

The Central Banks are responsible for:
- the overall planning plus the domestic migration planning,
- the set-up and maintenance of static and dynamic data for their users,
- providing a direct contact point for all user-related questions and support (national service desk),
- providing liquidity, information and support to their users, both banks and ASs,
- monitoring of business activities, payment activities, liquidity streams, profiles,
- monitoring the readiness of their users,
- contingency processing arrangements,
- communicating to their users information on incidents in the SSP and proprietary systems which may impact the testing progress,
- the evaluation and consolidation of test reports from their users.

Furthermore, the CBs will be responsible for any contact with the SSP service desk as well as with the TARGET2 Test Coordination function at the ECB (e.g. for the organisation of tests involving participants in more than one country).

The Eurosystem will regularly inform users about the overall test progress.

1.5. Availability of the test environments

User testing requires as a prerequisite the availability of the test environment of the SSP (user test environment), the CBs' infrastructure, and the user's test environment.

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[3] RBAC = Role Based Access Control. Used for the **user administration** by SWIFT.

Introduction

The user is responsible for aligning the availability of his test environment with the availability of the TARGET2 test environment.

The user test environment of the SSP is, in principle, available on all TARGET working days during the user test phase (all times are given in CET):

- Monday to Thursday: from 7:00 until 19:00 (see schedule below).

- Friday[4]: from 7:00 until 16:00 (see schedule below).

- One day per month the SSP will <u>not</u> be available for maintenance reasons.

The SSP operating hours indicate the following time schedule:

Phases of the business day in the test environment		
Name		Comments
	MON – FRI	
Prepare daylight operations	07:00-07:15	Activation of standing orders for "highly urgent" and "urgent" reservations
Day-trade phase	07:15-14:30	Payment business and AS settlement procedures 1 – 6
Customer cut-off time	14:00	
Interbank cut-off time	14:30	
End-of-day	14:30-15:15	Takes 15 minutes longer on the last day of the minimum reserve period
Start-of-day	15:15-15:30	Starts 15 minutes later on the last day of the minimum reserve period
Liquidity-provisioning	15:30-16:00	Starts 15 minutes later on the last day of the minimum reserve period, but nevertheless ending at 16:00
Night-time settlement	16.00-19.00[5]	Night-time processing (AS settlement procedure 6 only)
Technical maintenance	19:00[6]-07:00	No user testing activities

Both operating hours as well as the timing of the different business phases may be modified to cater for specific testing requirements. For example, it is envisaged to run a limited number of business day's testing according to the future live time schedule. On the other hand, it cannot be excluded that owing to maintenance reasons additional time slots will be required, where no testing can take place. Any such deviations will be announced one week in advance via the test calendar section in T2TRIS.

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[4] or Thursday, if the SSP is closed on the following Friday for maintenance

[5] Night-time settlement phase is not offered on Fridays.

[6] On Fridays starting at 16:00.

Rather limited ad-hoc delays may exceptionally be granted if this is considered to be in the overall interest of the users. Possible triggering events may be the completion of some urgent testing activities by a national user community (country testing) or a migration group (business day testing), but not the request of an individual user.

By default, proprietary systems like PHAs are available according to the same time schedule. However, deviations are possible. Therefore, please check with the national central bank for more detailed information *(see Annex4_CB_Contacts)*.

The test calendar provides further detailed information on the operating times and the definition of the different business phases, if required, one week in advance, allowing users to schedule their test and training activities accordingly. It will also contain information regarding the version of the T2 directory applicable on a given test date, especially when different static data sets will be used.

1.6. Volume limitations in user testing

Any user testing activity[7] requiring hourly volumes that exceed the following limits need central coordination and prior approval, owing to volume restrictions imposed by SWIFT and/or the SSP user test environment.

The volumes requiring approval from the CB (per user and hour), are:

➔ more than 60 FIN messages to be sent and/or;

➔ more than 30 XML messages (SWIFTNet InterAct in application-to-application mode) to be sent by the user.

These limits apply per direct participant or per ancillary system.

Users intending to exceed any of these limits must send a request to the national service desk of their CB at least one week in advance. The request should contain the expected volumes to be tested (hourly volumes for each of the categories mentioned above) and the expected duration of the test. The national service desk will verify with the overall test coordinator whether the requested volumes can be processed. Consecutively the national service desk will inform the user via e-mail whether the testing can be performed as scheduled or whether any modifications in terms of date, time and/or volumes that are required.

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[7] This explicitly includes the Free Testing phase.

1.7. Usage of BICs

Testing BICs need to be defined in the respective version of the T2 directory that can be used for sending and receiving messages during user testing. The use of live BICs is however also possible, within the messages itself according to the following table.

			HEADER		BODY				
			Sender	Receiver	52	53	56	57	58
HAM (V-Shape)		MT202	BIC T&T	BIC T&T	BIC T&T* Live BIC	BIC T&T	n.a.	BIC T&T	BIC T&T
		MT103	BIC T&T	BIC T&T	BIC T&T Live BIC	BIC T&T	BIC T&T	BIC T&T** Live BIC	n.a.
PM (Y-Copy)		MT202	BIC T&T	BIC T&T	BIC T&T Live BIC	BIC T&T Live BIC	BIC T&T Live BIC	BIC T&T Live BIC	BIC T&T Live BIC
		MT204	BIC T&T	BIC T&T	n.a.	BIC T&T	n.a.	BIC T&T Live BIC	BIC T&T Live BIC
		MT103	BIC T&T	BIC T&T	BIC T&T Live BIC	BIC T&T Live BIC	BIC T&T Live BIC	BIC T&T Live BIC	n.a.

*   In the incoming messages is field 52a, not allowed

**   If 56 is present, otherwise only BIC T&T

If field 54a has to be used (only in option A) for routing payments via TARGET-Interlinking, it must be filled with the BIC of the receiving CB (in case the country code of the beneficiary differs from the country of destination). Therefore the BIC in field 54a must be a Test & Training BIC.

Alike the live environment, the TARGET2 directory in CUST environment will be based on the SSP static data.

A specific BIC directory, which will include not only all existing live BICs, but also all equivalent test BIC8s will be loaded in the system. If a participant asked for the registration of special T&T BIC (starting with ZY…) or specific T&T BIC11, the user has to ask its CB to load this specific BIC in the system.

In the CUST environment, participants are defined by their test BIC (BIC participant / Addressee / Account holder fields), therefore for each participant that want to have its live BIC8 published in the

TARGET2 directory used in CUST, a wildcard rule has to be inserted with the purpose to load the live BIC in the TARGET2 directory, according to the following table:

A Direct Participant is identified in Static data by its T&T BIC: BANKCCL0XXX

The direct participant has set a wildcard rule for the inclusion of Live BICs in the TARGET2 directory used in CUST

Wildcard rule: BANKCCLL* (inclusion)

TARGET2 directory in CUST environment		
BIC Participant	BIC Addressee	BIC Account holder
BANKCCL0XXX	BANKCCL0XXX	BANKCCL0XXX
BANKCCLLXXX	BANKCCL0XXX	BANKCCL0XXX
BANKCCLL123	BANKCCL0XXX	BANKCCL0XXX

Live BICs are registered as "indirect/addressable BICs" behind the T&T BIC.

The wildcard rule for the inclusion of live BICs should have the branch option flag set to "NO" and the field BIC Addressee should not be used for Live BICs.

The following test BICs can be used in CUST provided that the credit institution has requested the inclusion of those BICs in the special BIC directory used for Test and Training. By default, only the test-BIC8s will be present in this special BIC directory.

TARGET2 directory in CUST environment		
BIC Participant	BIC Addressee	BIC Account holder
ZYAACCL0XXX	ZYAACCL0XXX	ZYAACCL0XXX
BANKCCL0789	BANKCCL0789	BANKCCL0789
BANKCCL0CLS	BANKCCL0CLS	BANKCCL0CLS

Before the start of the user testing, CBs will provide their users with a list of test BICs to be used for addressing messages to the CB during interoperability testing.

1.8. Certification testing and test environment

Each user must undergo a number of certification testing activities depending on the SSP modules chosen by the respective CB and the functionality chosen by the participant. Further factors impacting the type and number of tests to be performed are, e.g. the participation in different Ancillary Systems. Certification can be split between the technical certification, which will consist of the successful individual completion of a number of connectivity and interoperability test cases, and the operational certification, which will be assessed based on the participation in country and business day testing.

The test environment of the user should be as similar to the future live environment as possible. Any component used should have already undergone and completed an internal acceptance test procedure.

The respective CB must be informed in writing about any changes in the test environment and/or the future live environment of the user during or after the certification testing. That includes specifically the use of optional functions, which were not used in the past and therefore not part of a previous certification process. Besides clearly describing the nature and scope of the change and the associated risks, this information should contain a proposal with regard to the test cases to be re-run due to the change (non-regression testing). The CB will assess the proposal made.

Although extensive internal testing will take place before opening the systems for user testing, changes to the SSP and/or the PHA cannot be completely excluded (e.g. bug fixing). For such cases the CBs will assess the impact of the corrections on the certification process already carried out by users and will inform them accordingly. In some cases users may be required to re-run a limited number of certification test cases (non-regression testing). Such requests for running non-regression tests will be kept to the strict minimum.

1.9. Incident Management

The user should report any incident experienced during testing which may be related to a malfunction of the SSP or a proprietary system to the respective national service desk. T2TRIS offers a specific reporting form for this purpose (see chapter 1.10). Depending on the nature of the problem the national service desk will investigate and solve the problem or will transfer the matter internally to the SSP service desk. Even when a problem is transferred to the SSP service desk, the national service desk remains responsible for the contact with the user reporting the problem.

The national service desk will keep the related users informed via adequate means about any incidents in the SSP or proprietary systems which may affect the testing activities of the users. In addition, for major incidents (testing of all users affected, and with an expected duration of more than 4 hours) it is envisaged to provide the respective information also via T2TRIS.

1.10. T2TRIS

The T2TRIS is a web-based tool for the exchange of TARGET2 testing-related information between the CBs and their TARGET2 users as part of the overall business responsibility of the CBs. In addition to the dissemination of information on TARGET2 testing activities, all information required by a user shall be directly accessible via T2TRIS. It should be seen as a planning tool allowing users to provide information for test administration and feedback purposes in a harmonised way. This will facilitate the work of the CBs when analysing and summarising the information provided by the users. As indicated in the foreword it contains the full information provided in the TARGET2 User Testing Guide and is kept up-to-date, even with minor modification as indicated in the foreword.

T2TRIS screens, forms and documents are provided in English. Specific national test documents, if any, are provided via the CB's dedicated TARGET2 website *(see Annex4_CB_Contacts)*. When such documents apply to banks present in more than one country, they will also be made available in English.

[IN T2TRIS ONLINE ONLY:You may like to consult a presentation on the functioning of the

T2TRIS   (double click to open).]

1.11. Training

Each central bank will offer the required training for the preparation of the user testing to its user community. This will typically cover the organisational aspects of the user testing, as well as ICM functionality. For details, please refer to the specific information accessible via the TARGET2 website of your CB (*see Annex4_CB_Contacts*). It is expected that users make use of these opportunities offered by the CBs.

2. GENERAL PRECONDITIONS

Users must undergo the following registration processes <u>before</u> they can participate in TARGET2 user testing:

2.1. SWIFT e-ordering for testing
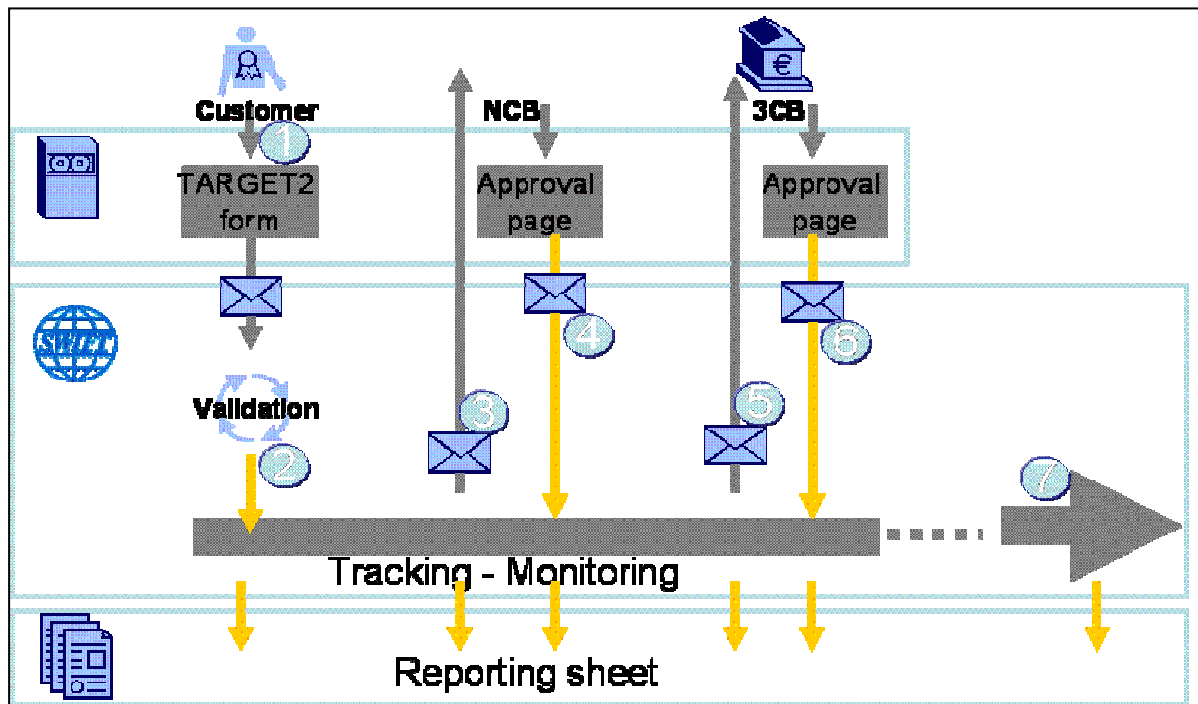
Click on this E-Ordering link for further information on the e-ordering process for testing.

2.2. TARGET2/SSP registration for testing

The user must provide its national service desk with all static data information required. Please contact your CB for the respective forms (*see Annex4_CB_Contacts*).

The registration forms for testing should cover the same functional profile as the one to be filled in for live operations. Meaning a functionality that a user intends to request for live operations should also be requested for testing and the required certification tests should be performed beforehand.

There are a priori no limits on the number of BICs to be registered for testing.

3. CONNECTIVITY TESTING

3.1. Scope and aim

Connectivity testing, the first phase of the user testing, verifies the individual TARGET2 users ability to connect to the different SSP modules that the respective central bank has
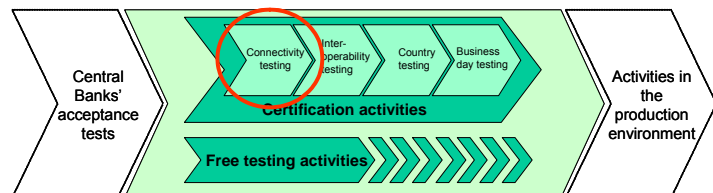
opted for, and if applicable, to the CB's respective proprietary systems. All SWIFTNet connectivity features necessary to communicate with the SSP need to be checked for the correct setting-up of parameters and security features.

By performing this type of activity as early as possible, TARGET2 users can reserve time to solve any potential problems related to the underlying services occurring at a later stage, which otherwise could delay the start of the following user test phases. That cases are defined in a way that:

- all possible communication interfaces between a TARGET2 user system and the SSP as well as, if applicable, a proprietary system should be covered;

- all layers below the application level are covered. This means the network and security features like encryption and authorisation should be verifiable. For instance that includes the correct setting-up of the TARGET2 Closed User Group (CUG), and the connectivity required to use the ICM and the exchange of keys for BKE/PKI with the SSP.

However, it should be noted that no separate connectivity test cases for SWIFTNet InterAct and FileAct in application-to-application mode are envisaged.

3.2. Preconditions for starting the connectivity testing

Before the start of connectivity testing, the following entry criteria have to be met in addition to those mentioned under chapter 2:

- Each user should have the required software for accessing SWIFTNet FIN, SWIFTNet FileAct, SWIFTNet InterAct and SWIFTNet Browse installed.
- The service code TGT must be entered into field 103 of the user header for payments to PM, to grant the payment flow via SWIFTNetFin Y-Copy.
- Bilateral keys must be exchanged according to the participant's profile with the SSP as central institution for the following BICs:

> for CUG PM: TRGTXEP0,
>
> for CUG HAM: TRGTXEH0,
>
> for CUG CB: TRGTXEC0.

- The TARGET2 patch offered by CBT vendors must be installed on the SWIFT interface in order to send/receive messages with pre-agreed MAC.

In the event the user has already migrated to SWIFTNet phase2, the appropriate settings in the RMA required for PKI must be made.

3.3. Test participation and support

Each CB will offer the necessary support to its user community with regard to participation in the TARGET2 user testing. For details, please refer to the specific information accessible via the TARGET2 testing website of your CB (*see Annex4_CB_Contacts*). It is expected that users make use of these opportunities offered by the CBs.

3.4. List of connectivity test cases

The following table provides an overview of all connectivity test cases defined. The detailed test case descriptions can be found in Annex1

Test-ID	Function	Type[8]	Applicable to[9]
CON-ICM	Access to ICM (for PM, HAM, SF and RM)	MAND	DP, AS, HAM
CON-PM1	Access to PM	MAND	DP, MAP
CON-PM2	Correct installation of TARGET2 patch	MAND	DP, MAP
CON-HAM	Access to HAM as HAM account holder	COUS	HAM
CON-CBC	Access to HAM as CB customers	COUS	CBC

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[8] MAND   -   Mandatory, i.e. test case has to be performed by all TARGET2 users it is applicable to (see following column)

   COUS   -   Conditional/user, i.e. test case becomes mandatory, if the user intends to use this functionality in live operations

[9] AS   -   Ancillary system
   CBC   -   CB customer account holder in HAM
   DP   -   Direct participant
   HAM   -   HAM account holder
   MAP   -   Multi-addressee participant

As PHA systems, if used, differ from country to country you are invited to refer to the respective national testing documentation for details on how the connectivity test with the PHA can be performed (see Annex4_CB_Contacts).

3.5. Reporting of test results

All applicable connectivity test cases must be completed <u>successfully</u> before the user is allowed to move to the next test phase, the interoperability testing. Successfully means that the expected results as defined in the detailed test case description were achieved. For this purpose, the user must report the successful completion of its connectivity testing to its national service desk, using a standardised form accessible via T2TRIS. Also, test cases which cannot be performed at all, or continuously fail should be reported to the national service desk using the same channel.

4. INTEROPERABILITY TESTING

4.1. Scope and aim

Interoperability testing, the second user test phase, must ensure that the respective participant can participate in TARGET2 by using all relevant functionalities of the SSP modules and,
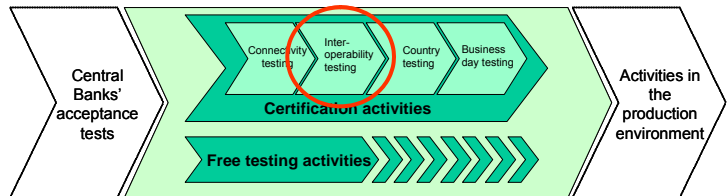
if applicable, in the CB's respective proprietary systems. All TARGET2 users should be able to send and receive correctly formatted information. A different set of test cases is assigned to the user depending on their user profile (direct participant, CB customer, HAM account holder, AS). The optional SSP modules chosen by the respective CB and the optional functionalities chosen by the participant affect the overall number of test cases to be performed.

Test cases for interoperability testing are developed according to the following principles:

- The TARGET2 users should be able to verify all functions implemented, in terms of hardware/software, which are part of the user's interfaces with T2. Testing of proprietary systems should be included in addition to the SSP modules.

- For critical functions available to all TARGET2 users (e.g. payment processing, cancellation of payments), <u>mandatory</u> test cases are defined, which each participant has to complete and report on to the national service desk as part of the certification process.

- For critical functions, which are available only to a subset of TARGET2 users, <u>conditional</u> test cases are defined. Typically conditional test cases cover features provided by an optional module (e.g. HAM) or additional services offered to participants (e.g. liquidity pooling). If applicable to the participant, a conditional test case becomes <u>mandatory</u> and the test results must be reported as part of its certification process. Otherwise the participant does not have to run it.

Users connecting to the ICM server in application-to-application (A2A) mode should test the respective functionality both in user-to-application (U2A) and A2A mode. The test cases are always described according to the U2A approach (using ICM), but contain a reference to the respective XML structures to be used in A2A mode. Based on this information and the individual implementation of the A2A interface it is the responsibility of the user to 'translate' the (U2A mode) test case description in a way that it can be tested in A2A mode.

4.2. Preconditions for starting the interoperability testing

The TARGET user must receive confirmation from its respective CB that connectivity testing has been completed underlined successfully before commencing the interoperability testing.

4.3. Test participation and support

Each CB will offer the necessary support to its user community with regard to participation in the TARGET2 user testing. For details, please refer to the specific information accessible via the TARGET2 testing website of your CB (*see Annex4_CB_Contacts*). It is expected that users make use of these opportunities offered by the CBs.

4.4. List of interoperability test cases

The following table provides an overview of all mandatory and conditional interoperability test cases defined. The detailed test case descriptions can be found (in the same order) in Annex2.

Test-ID	Function	Type[10]	Applicable to[11]
PM – GENERAL ISSUES			
IOP-PM-010	Download (pull mode) of full version of the T2 directory	MAND	DP
IOP-PM-020	Download (pull mode) of update version of the T2 directory	COUS	DP
IOP-PM-030	Download (push mode) of update version of the T2 directory	COUS	DP
IOP-PM-110	Sending of a customer payment (MT103) to a direct participant	MAND	DP, MAP
IOP-PM-115	Receipt of a customer payment (MT103) from a direct participant	MAND	DP, MAP
IOP-PM-120	Sending of a customer payment (MT103**+**) to a direct participant	MAND	DP, MAP
IOP-PM-125	Receipt of a customer payment (MT103**+**) from a direct participant	MAND	DP, MAP
IOP-PM-130	Sending of an interbank payment (MT202) to a direct participant	MAND	DP, MAP
IOP-PM-135	Receipt of an interbank payment (MT202) from a direct participant	MAND	DP, MAP
IOP-PM-140	Sending of a direct debit message (MT204) to a direct participant	COUS	DP, MAP
IOP-PM-145	Receipt of a direct debit message (MT204) from a Central Bank	COUS	DP, MAP
IOP-PM-150	Sending of a customer payment (MT103) to a participant in a non-	MAND	DP, MAP

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[10] MAND   - Mandatory, i.e. test case has to be performed by all TARGET2 users it is applicable to(see following column)

     COCB   - Conditional CB, i.e. test case becomes mandatory, if the CB intends to use this functionality in live operations

     COUS   - Conditional/user, i.e. test case becomes mandatory, if the user intends to use this functionality in live operations

[11] AS   - Ancillary system

     CBC   - CB customer account holder in HAM

     CoMgr   - Direct PM participant co-managing HAM account

     DP   - Direct participant

     GoAMgr - Manager of a group of accounts

     HAM   - HAM account holder

     HAM+DP- HAM account holder having also an account in PM

     MAP   - Multi-addressee participant

     SB   - Settlement bank (participant in AS)

Test-ID	Function	Type[10]	Applicable to[11]
	migrated country		
IOP-PM-155	Receipt of a customer payment (MT103) from a participant in a non-migrated country	MAND	DP, MAP
IOP-PM-160	Sending of an interbank payment (MT202) to a participant in a non-migrated country	MAND	DP, MAP
IOP-PM-165	Receipt of an interbank payment (MT202) from a participant in a non-migrated country	MAND	DP, MAP
IOP-PM-210	Sending of a customer payment (MT103) to an indirect participant	MAND	DP, MAP
IOP-PM-215	Receipt of a customer payment (MT103) from an indirect participant	MAND	DP, MAP
IOP-PM-220	Sending of a customer payment (MT103**+**) to an indirect participant	MAND	DP, MAP
IOP-PM-225	Receipt of a customer payment (MT103**+**) from an indirect participant	MAND	DP, MAP
IOP-PM-230	Sending of an interbank payment (MT202) to an indirect participant	MAND	DP, MAP
IOP-PM-235	Receipt of an interbank payment (MT202) from an indirect participant	MAND	DP, MAP
IOP-PM-240	Sending of a direct debit message (MT204) to an indirect participant	COUS	DP, MAP
IOP-PM-245	Receipt of a direct debit message (MT204) from an indirect participant	COUS	DP, MAP
IOP-PM-330	Receipt of a customer statement message (MT940)	COUS	DP
IOP-PM-335	Receipt of a statement message (MT950)	COUS	DP
IOP-PM-410	Liquidity transfer to mirror account initiated by Settlement Bank via MT202 (integrated model)	COUS	SB (AS using SP1)
IOP-PM-420	Liquidity transfer to sub account via ICM (interfaced model)	COUS	SB (AS using SP6)
IOP-PM-510	Define settlement 'from' time for payment	COUS	DP, MAP
IOP-PM-515	Change settlement 'from' time for payment	COUS	DP
IOP-PM-520	Define settlement 'till' time for payment	COUS	DP, MAP
IOP-PM-525	Change settlement 'till' time for payment	COUS	DP
IOP-PM-530	Define settlement 'reject' time for payment	COUS	DP, MAP
IOP-PM-535	Change settlement 'reject' time for payment	COUS	DP
IOP-PM-540	Define settlement 'CLS' time for payment	COUS	DP, MAP involved in CLS settl.
IOP-PM-545	Change settlement 'CLS' time for payment	COUS	DP involved in CLS settl.
PM – BACK-UP LUMP-SUM AND CONTINGENCY PAYMENTS			
IOP-PMB-010	Back-up lump-sum payment in favour of a direct PM participant	COUS	DP
IOP-PMB-015	Receipt of a back-up lump-sum payment in favour of a direct PM participant	COUS	DP
IOP-PMB-020	Back-up lump-sum payment in favour of a direct participant in a non-migrated country	COUS	DP
IOP-PMB-030	Return of a back-up lump-sum payment to a direct PM participant	COUS	DP
IOP-PMB-110	Back-up contingency payment in favour of CLS	COUS	DP involved in CLS

Interoperability Testing

Test-ID	Function	Type[10]	Applicable to[11]
			settl.
IOP-PMB-120	Back-up contingency payment in favour of EURO1	COUS	DP involved in EURO1 settl.
IOP-PMB-130	Back-up contingency payment in favour of STEP2	COUS	DP involved in STEP2 pre-funding
PM – Liquidity Management			
IOP-PML-010	Creation of a bilateral limit	COUS	DP
IOP-PML-020	Creation of a multilateral limit	COUS	DP
IOP-PML-030	Deletion of a bilateral limit during the day	COUS	DP
IOP-PML-040	Deletion of a multilateral limit during the day	COUS	DP
IOP-PML-110	Reservation of liquidity for highly urgent payments during the day	COUS	DP
IOP-PML-120	Reservation of liquidity for urgent payments during the day	COUS	DP
IOP-PML-130	Cancellation of liquidity reserved for highly urgent payments during the day	COUS	DP
IOP-PML-140	Cancellation of liquidity reserved for urgent payments during the day	COUS	DP
IOP-PML-510	Liquidity transfer between two accounts belonging to the same group of accounts	COUS	G0AMgr
IOP-PML-610	Definition of the sequence of accounts for the levelling-out at the end of the day (virtual account)	COUS	GoAMgr for virtual account
IOP-PML-620	Automatic levelling-out at the end of the day (virtual account)	COUS	GoAMgr for virtual account
IOP-PML-710	Creation of a bilateral limit (virtual account)	COUS	GoAMgr for virtual account
IOP-PML-720	Creation of a multilateral limit (virtual account)	COUS	GoAMgr for virtual account
IOP-PML-730	Deletion of a bilateral limit during the day (virtual account)	COUS	GoAMgr for virtual account
IOP-PML-740	Deletion of a multilateral limit during the day (virtual account)	COUS	GoAMgr for virtual account
IOP-PML-810	Reservation of liquidity for highly urgent payments during the day (virtual account)	COUS	GoAMgr for virtual account
IOP-PML-820	Reservation of liquidity for urgent payments during the day (virtual account)	COUS	GoAMgr for virtual account
IOP-PML-830	Cancellation of liquidity reserved for highly urgent payments during the day (virtual account)	COUS	GoAMgr for virtual account
IOP-PML-840	Cancellation of liquidity reserved for urgent payments during the day (virtual account)	COUS	GoAMgr for virtual account
HAM – HOME ACCOUNTING MODULE			

Depending on the nature of a HAM participant part or all of the following test case have to be performed:
- *HAM account holder without an account in PM: IOP-HAM-110 to -195*
- *HAM acccount holder with an account in PM: IOP-HAM-110 to -460*

Interoperability Testing

Test-ID	Function	Type[10]	Applicable to[11]
• *Co-Managers of an HAM account: IOP-HAM-610 to - 695* • *CB customers (by definition no PM account): IOP-HAM-810 to -895*			
IOP-HAM-110	Sending of an interbank transfer to another HAM account (same CB) via MT202 during the day	COUS	HAM
IOP-HAM-120	Sending of an interbank transfer from HAM to PM (different participant) via MT202 during the day	COUS	HAM
IOP-HAM-150	Receipt of an interbank transfer from another HAM account (same CB) via MT202 during the day	COUS	HAM
IOP-HAM-160	Receipt of an interbank transfer from PM (different participant) to HAM via MT202 during the day	COUS	HAM
IOP-HAM-190	Receipt of a customer statement message (MT940) for HAM account	COUS	HAM
IOP-HAM-195	Receipt of a statement message (MT950) for HAM account	COUS	HAM
IOP-HAM-310	Define automatic account transfer (standing order executed at the beginning of the day) from HAM to PM	COUS	DP+HAM
IOP-HAM-320	Delete automatic account transfer (standing order executed at the beginning of the day) from HAM to PM	COUS	DP+HAM
IOP-HAM-410	Sending of a liquidity transfer from HAM to PM (same participant) via ICM during the day	COUS	DP+HAM
IOP-HAM-420	Sending of an interbank transfer from HAM to PM (different participant) via ICM during the day	COUS	DP+HAM
IOP-HAM-430	Receipt of a liquidity transfer from PM (same participant) to HAM via ICM during the day	COUS	DP+HAM
IOP-HAM-450	Sending of a liquidity transfer from HAM to PM (same participant) via MT202 during the day	COUS	DP+HAM
IOP-HAM-460	Receipt of a liquidity transfer from PM to HAM (same participant) via MT202 during the day	COUS	DP+HAM
IOP-HAM-610	Sending of a liquidity transfer from HAM to PM (same participant) via ICM during the day, initiated by a co-manager	COUS	CoMgr
IOP-HAM-620	Sending of an interbank transfer from HAM to PM (different participant) via ICM during the day, initiated by a co-manager	COUS	CoMgr
IOP-HAM-630	Receipt of an liquidity transfer from PM (same participant) to HAM via ICM during the day, initiated by a co-manager	COUS	CoMgr
IOP-HAM-690	Receipt of a customer statement message (MT940) for a co-managed account	COUS	CoMgr
IOP-HAM-695	Receipt of a statement message (MT950) for a co-managed account	COUS	CoMgr
IOP-HAM-810	Sending of a customer payment (MT103) to another CB customer (same CB)	COUS	CBC
IOP-HAM-820	Sending of a customer payment (MT103+) to non-migrated participant	COUS	CBC
IOP-HAM-830	Sending of an interbank payment (MT202) to another CB customer (different CB)	COUS	CBC
IOP-HAM-840	Sending of an interbank payment (MT202) to PM (different participant, same CB)	COUS	CBC
IOP-HAM-850	Receipt of a customer payment (MT103+) from another CB customer (same CB)	COUS	CBC
IOP-HAM-860	Receipt of a customer payment (MT103) from PM (different	COUS	CBC

Interoperability Testing

Test-ID	Function	Type[10]	Applicable to[11]
	participant, same CB)		
IOP-HAM-870	Receipt of an interbank payment (MT202) from another CB customer (same CB)	COUS	CBC
IOP-HAM-880	Receipt of an interbank payment (MT202) from a non-migrated participant	COUS	CBC
IOP-HAM-890	Receipt of a customer statement message (MT940) for a CB customer account	COUS	CBC
IOP-HAM-895	Receipt of a statement message (MT950) for a CB customer account	COUS	CBC
SF/PM – STANDING FACILITIES (settlement in PM)			
The following test cases are applicable to users belonging to a CB which has chosen to use the optional SF module of the SSP. SF settlement may take place either in thePM or the HAM. Please read the test cases accordingly.			
IOP-SF-110	Funds placed on overnight deposit via ICM	COCB	DP
IOP-SF-120	Reversion of funds placed on overnight deposit via ICM	COCB	DP
IOP-SF-210	Automatic recourse to the marginal lending facility	COCB	DP
RM – RESERVE MANAGEMENT MODULE			
There are no mandatory or conditional test cases related to the reserve management module.			
AS – ANCILLARY SYSTEMS			
Ancillary systems should, in cooperation with their CB and in line with the optional elements to be used in live operations, simulate a full run of the respective settlement procedure during interoperability testing. Tests may be arranged with the CB, simulating the settlement banks or with some settlement banks participating in the test. The following test cases should be considered as general guidance for the elaboration of the concrete test description to be followed.			
IOP-AS-110	Liquidity transfer initiated by AS	COUS	AS using SP1
IOP-AS-210	Real time settlement	COUS	AS using SP2
IOP-AS-220	Real time settlement via technical account	COUS	AS using SP2 with technical account
IOP-AS-310	Bilateral settlement (batch)	COUS	AS using SP3
IOP-AS-315	Bilateral settlement (batch) partly successful settlement	COUS	AS using SP3
IOP-AS-320	Bilateral settlement (batch) via technical account	COUS	AS using SP3 with technical account
IOP-AS-325	Bilateral settlement (batch) unsuccessful settlement	COUS	AS using SP3 with technical account
IOP-AS-330	Bilateral settlement (batch) via mirror accounts	COUS	AS using SP3 with mirror account
IOP-AS-335	Bilateral settlement (batch) via mirror account unsuccessful settlement	COUS	AS using SP3 with mirror account
IOP-AS-410	Standard multilateral settlement (batch)	COUS	AS using SP4
IOP-AS-415	Standard Multilateral settlement (batch) unsuccessful settlement	COUS	AS using SP4

Test-ID	Function	Type[10]	Applicable to[11]
IOP-AS-510	Simultaneous multilateral settlement	COUS	AS using SP5
IOP-AS-515	Simultaneous multilateral settlement (batch) unsuccessful settlement	COUS	AS using SP5
IOP-AS-610	Settlement with dedicated liquidity – interfaced – daylight business	COUS	AS using SP6, interfaced, daylight
IOP-AS-620	Settlement with dedicated liquidity – interfaced – night-time business	COUS	AS using SP6, interfaced, night-time
IOP-AS-630	Settlement with dedicated liquidity – integrated – day-light business	COUS	AS using SP6, integrated, daylight
IOP-AS-640	Settlement with dedicated liquidity – intergrated – night-time business	COUS	AS using SP6, integrated, night-time

As PHA systems, if used, differ from country to country you are invited to refer to the respective national testing documentation for details on how the interoperability tests with the PHA can be performed (see Annex4_CB_Contacts).

4.5. Reporting of test results

All mandatory and, if applicable, conditional interoperability test cases must be completed successfully before a user is allowed to move to the next test phase, the country testing. Successfully means that the expected results as defined in the detailed test case description were achieved. For this purpose, the user must report the completion of all mandatory and, if applicable, conditional interoperability test cases to its national service desk using the form provided in T2TRIS. All interoperability test cases, both successful and those which cannot be performed at all, or continuously fail, should be reported to the national service desk.

5. COUNTRY TESTING

5.1. Scope and aim

Contrary to the interoperability testing where mainly the technical ability to perform is tested, country testing concerns the TARGET2 organisational and operational
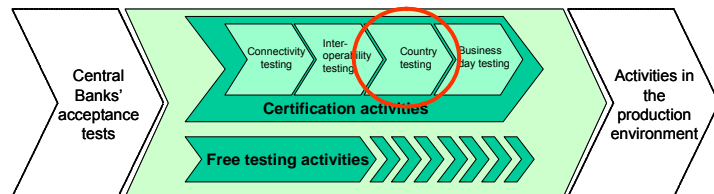
procedures. In addition to a few common functionalities, country specific aspects (e.g. the use of proprietary systems and the domestic settlement of ancillary systems) are covered and the readiness of the national user community for the following business day testing phase is verified.

5.2. Preconditions for starting the country testing

All users belonging to the national user community together with the CBs must successfully complete the required interoperability certification test cases before the start of the country testing.

5.3. Test participation and support

Each CB will offer the necessary support to its user community with regard to participation in the TARGET2 user testing, and take responsibility for the elaboration of country specific scenarios. For details, please refer to the specific information accessible via the TARGET2 testing website of your CB (*see Annex4_CB_Contacts*). It is expected that users make use of these opportunities offered by the CBs.

5.4. List of country test scenarios

At the beginning and the end of the country testing phase, which is envisaged will last for six weeks in total, some common test scenarios will need to be performed. These are intended to serve as a warm-up exercise verifying the readiness of the respective user community for the following business day testing phase. These will also include testing of the T2/T1 link (not applicable for the countries belonging to the last migration group), the use of the Standing Facilities Module (SF) and the Reserve Management Module (RM) or respective proprietary modules.

However, the country testing phase focuses on country specific test scenarios which are prepared and carried out under the responsibility of the respective CB, and cover at least the following test items:

- Domestic part of the settlement procedure of ancillary systems in normal and contingency (CB acting on behalf of the AS) mode.

- PHA/HAM testing (if applicable), including the simulation of a failure of the PHA/HAM.

- TARGET1/TARGET2 migration scenarios including data conversion (full changeover weekend simulation)[12].

- Billing, including the generation of invoices and the application of charges to the relevant accounts.

- Domestic contingency procedures (failure, back-up payments of a direct participant or domestic ancillary system, delivery of critical payments between the CB and direct participant via agreed contingency channels, CB acting on behalf of an AS).

Accordingly the following scenarios will be tested by all countries in all migration groups.

Test-ID	Content	Participation and Timing
CY-CHG-1 + CY-CHG-2	**SIMULATION OF THE CHANGE OVER:** _First day:_ Short T1 day and activities according to the country specific change-over plan. _Second day:_ the first business day in TARGET2: • normal business including AS settlement • PHA/HAM interaction (if applicable) • the exchange of at least one payment with CB and all direct participants in the same country[13].	Participation is **mandatory for all T2 users**. Scenario is typically covered on the first days of the country testing, usually a Friday and the subsequent Monday. Another date for a possible repetition will be reserved, which might be used for other country or free testing activities, if not required. _This scenario does not include weekend activities, neither on the side of the users nor on the side of the CBs and the SSP._

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[12] Issues relating to the warehoused payments should be addressed as part of this testing, e.g. the routing of warehoused payments prior to/during the migration of another country.

[13] CBs with a high number of direct participants may wish to set-up groups of participants, which have to exchange payments between themselves

Test-ID	Content	Participation and Timing
CY-NOR-1 to CY-NOR-8	**STANDARD TEST DAY – NORMAL OPERATIONS:** Testing will cover the following activities: • normal payment processing; • the (domestic part of the) settlement procedure(s) of ancillary system(s); • (if applicable) transfer of liquidity between PM and PHA/HAM; and • the use of standing facilities. Furthermore, the following issues will have to be tested: • end of minimum reserve period and crediting of interest • end of minimum reserve period and debiting of penalty • billing	**Each ancillary system** has to test (the domestic part of its) normal settlement procedure at least once during these days **Each user being a member of an ancillary system(s)** has to participate successfully at least once in the respective settlement process(es). **Each T2 direct participant maintaining or co-managing an account in HAM/PHA** has to test the respective functionality for shifting liquidity between the PM and the HAM/PHA account. Finally, **each user** having access to the standing facilities in live operations has to make use of both the marginal lending and the deposit facility at least once.
CY-UCO-1 to CY-UCO-9	**STANDARD TEST DAY – USER CONTINGENCY:** Testing will cover the following situations according to domestic contingency procedures (CB acting on behalf of the user/an ancillary system): • normal payment processing • the domestic part of the settlement procedures of ancillary system(s) • (if applicable) transfer of liquidity between PM and PHA/HAM. • the use of standing facilities.	**Each ancillary system** has to test (the domestic part of its) normal settlement procedure at least once during these days Each **user being a member of an ancillary system(s)** has to participate successfully at least once in the respective settlement process(es). **Each T2 direct participant maintaining or co-managing an account in HAM/PHA** has to test the respective functionality for shifting liquidity between the PM and the HAM/PHA account. Finally, **each user** having access to the standing facilities in live operations has to make use of both the marginal lending and the deposit facility at least once.

In addition, five to six days are foreseen, which can be used to repeat previously failed tests as well as to perform additional tests required at the national level.

Based on the common scenarios each CB will elaborate in co-operation with its user community detailed scenarios for the different country test days, which will be made available via the test calendar

in T2TRIS and/or the national TARGET2 website two to three months before the start of the respective testing activity.

5.5. Reporting of test results

For each country test scenario a user has participated in, a test report must be sent to the CB. The CB draws up a summary assessment of that test event, based on the test reports.

Overall reports describing the testing progress per country and for the whole migration group will be provided by the CBs at regular intervals.

6. BUSINESS DAY TESTING

6.1. Scope and aim

Business day testing is focussing on the cross border business, in terms of payment processing and cross-border settlement of ancillary systems, which could not be covered during previous

test phases. This phase is common to all the users (including CBs) belonging to the same migration group. It allows for the simulation of the migration from TARGET1 to TARGET2 and future live operations in the user test environment of the migration group. A reasonable number of consecutive days will be tested with full operating hours.
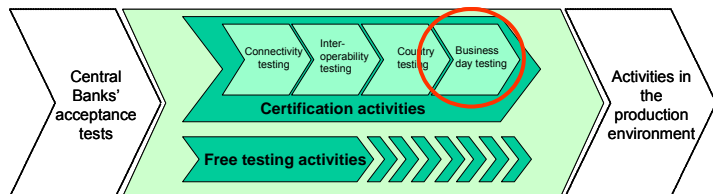
6.2. Preconditions for starting the business day testing

All national TARGET2 user communities belonging to the same migration group have <u>successfully</u> completed the country testing phase.

6.3. Test participation and support

Each CB will offer the necessary support to its user community with regard to participation in the TARGET2 user testing. For details, please refer to the specific information accessible via the TARGET2 website of your CB (*see Annex4_CB_Contacts*). It is expected that users make use of the opportunities offered by the CBs.

6.4. List of business day test scenarios

The following activities are included in the business day testing:

- Simulation of consecutive normal business days following the real live timings as much as possible covering all interfaces between TARGET2 user, CBs and the SSP and the overall operational and organisational procedures.

- Full settlement of ancillary system(s).

- Simulation of abnormal TARGET2 business days including contingency (e.g. in the event of regional fail-over) following the real live timing as much as possible.

Business Day Testing

- Failure of the CB (remote support from the SSP service desk for tasks such as provision of liquidity, actions on behalf of direct participants or ancillary systems).

- Failure of the PM/SSP (activation of the contingency module, delivery of critical payments between the CB and TARGET2 user via agreed contingency channels).

The following general schedule is applicable to all migration groups:

Test-ID	Content	Participation and Timing
BL-CHG-1 - BL-CHG-4	**SIMULATION OF THE CHANGE OVER:** <mark>LIVE TIMING</mark> *First day and weekend:* T1 day with end-of-day activities starting at 18:00 and subsequent weekend change-over activities according to the country specific change-over plan. *Final day:* the first business day in TARGET2: • normal business including AS settlement • PHA/HAM interaction, if applicable • the exchange of at least one payment with the CB and all direct participants in the same country[14].	Test **mandatory for all T2 users**. Scenario takes place typically on the first days of the business testing, usually a Friday, during the weekend and on the subsequent Monday. Another date for a possible repetition will be reserved, which might be used for other business day or free testing activities, if not required.
BT-NOR-1 to BT-NOR-5	**STANDARD TEST DAY – NORMAL OPERATIONS:** Testing will cover the following activities: • normal payment processing • the (migration group specific) part of the settlement procedure(s) of ancillary system(s), which are not settling in one country only	**Each ancillary system with remote participants in another country of the same migration group** has to test (the domestic part of its) **normal settlement procedure at least once** during these days. Each **user being a member of an ancillary system(s)** has to **participate successfully at least once** in the respective settlement process(es).
BT-REH-1 to BT-REH-2	**REHEARSAL OF SITUATION AFTER GO LIVE (WITH T1 INTERACTION):** This testing activity is intended to allow all migration groups except the last one to test the situation with other countries still being connected via TARGET1/Inter-linking. Specific test items: • normal payment processing and ancillary system settlement	Test **mandatory for all T2 CBs and users belonging to the migration group in business day testing**. For other CBs (not migrated yet) participation is mandatory for the (T1) CB and voluntary for the (T1) users. *Please note:* • *Test days need to be scheduled*

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[14] CBs with a high number of direct participants may wish to set-up groups of participants, which have to exchange payments between themselves

Test-ID	Content	Participation and Timing
	• payment exchange with TARGET1 countries (only for migrations groups 1 and 2) • TARGET1 end-of-day activities	*in sequential order* • *BL-CHG-4 and BT-REH-1 may be combined on one day (start of the day according to live operating times, closing according to test timing)*
BT-CMO-1 to BT-CMO-4	**CONTINGENCY MODULE ACTIVATION:** A number of scenarios simulating SSP failures with, partially, the activation and the use of the contingency module (CM), are tested: 1. Failure of the SSP at the start of the end-of-day procedure and delay of the closing until the next business day in the morning; no CM activation; 2. Failure of the SSP shortly before noon, activation of the CM but no use of it due to the normal system recovering earlier than expected 3. Interruption of daylight processing of the SSP for two hours in the morning and CM usage; 4. Interruption of the daylight processing of the SSP in the afternoon for three hours, CM usage and delay closing;	Test mandatory **for all T2 users**. First two scenarios should be performed on consecutive days, for the third one no specific requirement does exist. The last scenario should not be performed on a Friday.
BL-NOR-1 to BL-NOR-6	**STANDARD TEST DAY –NORMAL OPERATIONS:** **LIVE TIMING** Testing will cover the following activities: • normal payment processing • the (migration group specific) part of the settlement procedure(s) of ancillary system(s), which are not settling in one country only	Test mandatory **for all T2 users**. Ancillary system is free to arrange for another settlement test with live timing parameters.
BT-CUC-1 to BT-CUC-7	**STANDARD TEST DAY – CB AND USER CONTINGENCY:** Running of a normal operational day including the settlement of ancillary systems at migration group level and the exchange of payments between different countries (all belonging to the same migration group).	Test mandatory **for all T2 users**. Contingency events will be announced 15 minutes in advance in the time from 9:00 CET until 14:00 CET.

Test-ID	Content	Participation and Timing
	Initiation of unscheduled contingency events by the TARGET2 test coordinator for central banks and users.	

In addition, at least four weeks are foreseen which can be used to repeat previously failed tests as well as to perform additional tests considered important as an outcome of country and business day testing activities. All users should be prepared to join such further testing activities during the business day testing phase announced at least one week in advance.

Windows for repeating the change-over simulation and the running of several days with the same operational timing as in production (live timing) are already scheduled for each migration group (see table in 1.3). This allows all involved parties to arrange for the necessary staff and system availability.

6.5. Reporting of test results

For each business day test scenario a user has participated in, a test report must be sent to the CB. The CB draws up a summary assessment of that test event, based on the reports.

6.6. Preparing for the go-live

Business day testing will be followed by the preparatory phase for the go-live, which includes the set-up of live static data, verification of live connectivity and the migration of account balances from TARGET1 to the SSP.

7. FREE TESTING

7.1. Scope and aim

Free testing provides the users with an opportunity to run further testing activities that are not mandatory or predefined. While there is no obligation to participate in this testing phase, users are encouraged

to make use of it in order to become familiar with TARGET2 functionality.
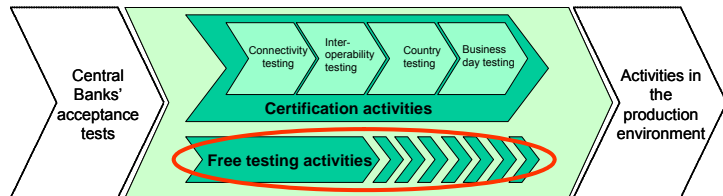
The following tests can be carried out:

- Interoperability test in non-certification mode.

- Additional test scenarios required by the user for their own verifications and staff training.

- CI Volume testing (see limitations as mentioned in 1.6).

- Bilateral/multilateral tests to be arranged and agreed between voluntary participants (e.g. multinational credit institutions willing to organise liquidity management tests with its branches in other countries, ancillary systems willing to perform ad-hoc end-to-end tests with its participants before country testing, credit institutions willing to organise tests with its indirect participants etc.).

- Negative testing (e.g. rejections of payment instructions).

7.2. Preconditions for using free testing opportunities

In order to avoid unwanted side effects on test activities performed by other users, each user must adhere to following free testing rules:

- Ensure that you do not exceed the volume limitations defined in 1.6 without prior authorisation from the CB.

- Do not use test BICs of other users (including CB and AS) without prior bilateral agreement.

- Inform your CB at least one week in advance about specific test support requirements.

To make the free testing phase as smooth and flexible as possible, users are advised to run their free testing activities by using multiple test BICs related to their own accounts, whenever possible.

7.3. Reporting of test results

Reports on free testing shall only be completed by TARGET2 users and forwarded to their CB if problems with one of the modules of the SSP and/or a PHA are encountered.

8. ANNEXES

8.1. Annex 1: Detailed descriptions of connectivity test cases

This annex contains all detailed test case descriptions for connectivity testing in the order of the table provided in section 3.4 of this document.

Test ID	**CON-ICM**
Function	Access to ICM (for PM, HAM, SF and RM)
Test category	MAND
Apply to	DP, AS, HAM
Phase of the business day	n/a
Pre-conditions	• TARGET2 and SWIFTNet registration (including access to the CUG for PM) and respective static data set-up (including Distinguished Name (DN) in the SSP user test environment completed • SWIFT interface installed and adjusted in accordance with Service Profiles including the required SWIFTNet services
Description	The user connects via SIPN (customer test environment) to the address 'https://trgt-papss-cust.ssp.swiftnet.sipn.swift.com'.
Expected results	• Entry screen of the ICM (welcome) is displayed ☐ Comment:
References	UDFS I/7 ICMUH I/4.4

Annexes

Test ID	**CON-PM1**
Function	Access to PM
Test category	MAND
Apply to	DP, MAP
Phase of the business day	n/a
Pre-conditions	• TARGET2 and SWIFTNet registration (including access to the CUG for PM) and respective static data set-up in the SSP user test environment completed • SWIFT interface installed and adjusted in accordance with Service Profiles • Exchange of bilateral keys with the BIC TRGTXEP0
Description	The user sends a payment message (MT202) with a past value date. Specific details of the message:

Field	Description
Sender	participant's test BIC
Receiver	participant's test BIC
103 (header)	TGT
32A	**past** value date
58A	participant's test BIC

Expected results	• Receipt of an abort notification (MT019) containing the error code D1 in field 432 as the reason for rejecting the message ☐
	Comment:
References	UDFS I/9.1

Annexes

Test ID	**CON-PM2**
Function	Correct installation of TARGET2 patch[15]
Test category	MAND
Apply to	DP, MAP
Phase of the business day	n/a
Pre-conditions	• TARGET2 and SWIFTNet registration (including access to the CUG for PM) and respective static data set-up in the SSP user test environment completed • SWIFT interface installed and adjusted in accordance with Service Profiles • TARGET2 patch installed • There must not be a valid Key between the participants test BIC and itself

Description   The user sends a payment message (MT202) with today's value date.

Specific details of the message:

Field	Description
Sender	participant's test BIC
Receiver	participant's test BIC
103 (header)	TGT
32A	**current** value date
58A	participant's test BIC

Expected results   • MT202 returned with a pre-agreed MAC (Value '000…') and accepted ☐

Comment:

References   UDFS I/9.1

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[15]   To avoid that TARGET2 users have to exchange bilateral keys between themselves for a temporary period until SWIFTNet phase 2 migration is completed, an interim solution has been agreed with SWIFT. It uses the standard double authentication mechanism when a bilateral key exists, but inserts a pre-defined value in the MAC trailer when no key has been exchanged between the sender and the receiver of the payment message relying on a chain of trust based on sender-to-SSP and SSP-to-receiver authentication. In make use of this feature a patch offered by SWIFT vendors has to be installed for the SWIFT interface.

Annexes

Test ID	**CON-HAM**
Function	Access to HAM as HAM account holder
Test category	COUS
Apply to	HAM
Phase of the business day	n/a
Pre-conditions	• TARGET2 and SWIFTNet registration (including access to the CUG for HAM) and respective static data set-up in the SSP user test environment completed • SWIFT interface installed and adjusted in accordance with Service Profiles • Exchange of bilateral keys with the BIC TRGTXEH0
Description	The user sends a payment message (MT202) with today's value date, which does not contain field 103 in the user header (no Y-copy). Specific details of the message:

Field	Description
Sender	participant's test BIC
Receiver	TRGTXEH0XXX
32A	**today's** value date
58A	participant's test BIC (same BIC as sender)

Expected results	• Receipt of an MT019 with error code XI00 'generic error'(debtor and creditor must be different) ☐ • Receipt of the MT202 from HAM with field 72 containing /REJT/20 ☐ Comment:
References	UDFS II/12.1.4

Annexes

Test ID	**CON-CBC**
Function	Access to HAM as CB customer account holder
Test category	COUS
Apply to	CBC
Phase of the business day	n/a
Pre-conditions	• TARGET2 and SWIFTNet registration (including access to the CUG for CB customers) and respective static data set-up in the SSP user test environment completed • SWIFT interface installed and adjusted in accordance with Service Profiles • Exchange of bilateral keys with the BIC TRGTXE0
Description	The user sends a payment message (MT202) with today's value date, which does not contain field 103 in the user header (no Y-copy). Specific details of the message:

Field	*Description*
Sender	participant's test BIC
Receiver	TRGTXEC0XccX (cc is replaced by the country code of the CB)
32A	**today's** value date
58A	participant's test BIC (same BIC as sender)

Expected results	• Receipt of an MT019 with error code XI00 'generic error' (debtor and creditor must be different) ☐ • Receipt of the MT202 from HAM with field 72 containing /REJT/20 ☐ Comment:
References	UDFS II/12.1.4

8.2. Annex 2: Detailed test cases for interoperability testing

This annex contains all detailed test case descriptions for interoperability testing in the order of the table provided in section 4.4 of this document.

Test ID	**IOP-PM-010**
Function	Download (pull mode) of full version of the T2 directory
Test category	MAND
Apply to	DP
Phase of the business day	n/a
Pre-conditions	---
Description	The user initiates via SWIFTNet FileAct (service 'trgt.papss!p', request type 'reda.xxx.target2.dirfull') the download of a full version of the T2 Directory.
Expected results	• Full TARGET2 directory (current version) is received via SWIFTNet FileAct ☐ Comments:
References	UDFS I/9.3 and IV/2.4

Test ID	**IOP-PM-020**
Function	Download (pull mode) of update version of the T2 directory
Test category	COUS
Apply to	DP
Phase of the business day	n/a
Pre-conditions	---
Description	The user initiates via SWIFTNet FileAct (service 'trgt.papss!p', request type 'reda.xxx.target2.dirupdate) the download of an update version of the T2 Directory.
Expected results	• An update file to the TARGET2 directory (current version) is received via SWIFTNet FileAct ☐ Comments:
References	UDFS I/9.3 and IV/2.4

Annexes

Test ID	**IOP-PM-030**
Function	Download (push mode) of update version of the T2 directory
Test category	COUS
Apply to	DP
Phase of the business day	n/a
Pre-conditions	---
Description	The user initiates via SWIFTNet FileAct (service 'trgt.sfpapss!p', request type 'reda.xxx.target2.dirupdate) the download of the update version of the T2 Directory, which was sent by the SSP to the SWIFTNet Store&Forward service on Thursday after end-of-day.
Expected results	• An update file to the TARGET2 directory (current version) is received via SWIFTNet FileAct ☐

Comments: |
| *References* | UDFS I/9.3 and IV/2.4 |

Annexes

Test ID	**IOP-PM-110**
Function	Sending of a customer payment (MT103) to a direct participant
Test category	MAND
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM) • Sufficient liquidity on RTGS account • *Optional:* Participant may request receipt of MT012 in user header, tag 113
Description	The user generates and sends a customer payment (MT103), normal priority, with all mandatory and optional fields in favour of a direct participant.

Specific details of the message:

Field	Description
Sender	participant's test BIC
Receiver	test BIC of direct participant as defined by CB
113 (header)	banking priority, first character: N
First of 56A or 57A:	test BIC of direct participant as defined by CB

Expected results	• Participant's account debited and payment settled (check in ICM) ☐ • *Optional:* MT012 received ☐

Comment:

References	UDFS I/2.6.2.1.1, 9.1.2.2.1.1 and 9.1.2.4.1 ICM-UHB I/6.1.1

Annexes

Test ID	IOP-PM-115
Function	Receipt of a customer payment (MT103) from a direct participant
Test category	MAND
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM)

Description

The user requests the respective CB acting as direct participant to send a customer payment (MT103), urgent priority, with all mandatory and optional fields.

Specific details of the message:

Field	*Description*
Sender	test BIC of direct participant simulated by CB
Receiver	participant's test BIC
113 (header)	banking priority, first character: U

Expected results

• Payment settled and user's RTGS account credited (check in ICM) ☐

• MT103 received and processed correctly ☐

Comment:

References

UDFS I/2.6.2.2.1, 9.1.2.2.1.1 and 9.1.2.4.1

ICM-UHB I/6.1.1

Annexes

Test ID	**IOP-PM-120**
Function	Sending of a customer payment (MT 103+) to a direct participant
Test category	MAND
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM) • Sufficient liquidity on RTGS account • *Optional:* Participant may request receipt of MT012 in user header, tag 113
Description	The user generates and sends a customer payment (MT103+), urgent priority, with all mandatory fields in favour of a direct participant.

Specific details of the message:

Field	Description
Sender	participant's test BIC
Receiver	test BIC of direct participant as defined by CB
113 (header)	banking priority, first character: U
119 (header)	STP
First of 56A or 57A:	test BIC of direct participant as defined by CB

Expected results	• Participant's account debited and payment settled (check in ICM) ☐ • *Optional:* MT012 received ☐

Comment:

References	UDFS I/2.6.2.1.1, 9.1.2.2.1.2 and 9.1.2.4.1 ICM-UHB I/6.1.1

Annexes

Test ID	**IOP-PM-125**
Function	Receipt of a customer payment (MT103+) from a direct participant
Test category	MAND
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM)

Description

The user requests the respective CB acting as direct participant to send a customer payment (MT103+), normal priority, with all mandatory fields.

Specific details of the message:

Field	Description
Sender	test BIC of direct participant simulated by CB
Receiver	participant's test BIC
113 (header)	banking priority, first character: N
119 (header)	STP

Expected results

• Payment settled and user's RTGS account credited (check in ICM) ☐

• MT103+ received and processed correctly ☐

Comment:

References

UDFS I/2.6.2.2.1, 9.1.2.2.1.2 and 9.1.2.4.1

ICM-UHB I/6.1.1

Annexes

Test ID	**IOP-PM-130**
Function	Sending of an interbank payment (MT202) to a direct participant
Test category	MAND
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM) • Sufficient liquidity on RTGS account • *Optional:* Participant may request receipt of MT012 in user header, tag 113
Description	The user generates and sends an interbank payment (MT202), urgent priority, with all mandatory and optional fields in favour of a direct participant. Specific details of the message:

Field	*Description*
Sender	participant's test BIC
Receiver	test BIC of direct participant as defined by CB
113 (header)	banking priority, first character: U
First of 56A, 57A or 58A:	test BIC of direct participant as defined by CB

Expected results	• Participant's account debited and payment settled (check in ICM) ☐ • *Optional:* MT012 received ☐ Comment: •
References	UDFS I/2.6.2.1.1, 9.1.2.2.1.3 and 9.1.2.4.1 ICM-UHB I/6.1.1

Annexes

Test ID	**IOP-PM-135**
Function	Receipt of an interbank payment (MT202) from a direct participant
Test category	MAND
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM)
Description	The user requests the respective CB acting as direct participant to send an interbank payment (MT202), urgent priority, with all mandatory and optional fields.

Specific details of the message:

Field	Description
Sender	test BIC of direct participant simulated by CB
Receiver	participant's test BIC
113 (header)	banking priority, first character: U

Expected results	• Payment settled and user's RTGS account credited (check in ICM) ☐
	• MT202 received and processed correctly ☐

Comment:

References	UDFS I/2.6.2.2.1, 9.1.2.2.1.3 and 9.1.2.4.1
	ICM-UHB I/6.1.1

Annexes

Test ID	**IOP-PM-140**
Function	Sending of a direct debit message (MT204) to a direct participant
Test category	COUS
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	- RBAC profile: at least CUINFOTE (for checks in ICM) - Sufficient liquidity on RTGS account to be debited - User is authorized by the CB to debit that RTGS account *Optional:* Participant may request receipt of MT012 in user header, tag 113
Description	The user generates and sends a direct debit message (MT204), normal priority, with all mandatory fields to be debited to a direct participant. Specific details of the message:

Field	Description
Sender	participant's test BIC
Receiver	test BIC of direct participant as defined by CB
113 (header)	banking priority, first character: N
53A:	test BIC of direct participant as defined by CB

Expected results	- Direct debit is settled and user's RTGS account credited (check in ICM) ☐ *Optional:* message MT 012 received ☐ Comment :
References	UDFS I/2.6.2.1.1, 9.1.2.2.1.4 and 9.1.2.4.1 ICM-UHB I/6.1.1

Annexes

Test ID	**IOP-PM-145**
Function	Receipt of a direct debit message (MT204) from a Central Bank
Test category	COUS
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM) • Sufficient liquidity on RTGS account of the user • Direct participant simulated by CB is authorised to debit the account of the user
Description	The user requests the respective CB acting as direct participant to send a direct debit (MT204), urgent priority, with all mandatory and optional fields.

Specific details of the message:

Field	Description
Sender	test BIC of direct participant simulated by CB
Receiver	participant's test BIC
113 (header)	Banking priority, first character: U

Expected results	• User's RTGS account debited and direct debit settled (check in ICM) ☐ • MT204 received and processed correctly ☐
	Comment:
References	UDFS I/2.6.2.2.1, 9.1.2.2.1.4 and 9.1.2.4.1 ICM-UHB I/6.1.1

Annexes

Test ID	**IOP-PM-150**
Function	Sending of a customer payment (MT103) to a participant in a non-migrated country
Test category	MAND
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM) • Sufficient liquidity on RTGS account • *Optional:* Participant may request receipt of MT012 in user header, tag 113
Description	The user generates and sends a customer payment (MT103) with all mandatory fields in favour of a direct participant in a non-migrated country. Specific details of the message:

Field	Description
Sender	participant's test BIC
Receiver	TRGTXEP0TGT (as defined in TARGET2 directory for BIC included in first of fields 57A or 58A
52A:	sending participant's test BIC
54A:	test BIC of non-migrated CB as provided by CB[16]
First of 56A or 57A:	test BIC of participant in non-migrated TARGET system as provided by CB

Expected results	• Participant's account debited and payment settled (check in ICM) ☐ • *Optional:* MT012 received ☐ Comment:
References	UDFS I/2.6.2.1.6, 9.1.2.2.1.1 and 9.1.2.4.4 ICM-UHB I/6.1.1

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[16] Only necessary, when country code in the BIC of the first credit field differes from the destination country.

Annexes

Test ID	**IOP-PM-155**
Function	Receipt of a customer payment (MT103) from a participant in a non-migrated country
Test category	MAND
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM)
Description	The user requests the CB to arrange for a customer payment (MT103) being sent from a participant in a non-migrated country with all mandatory and optional fields.

Specific details of the message:

Field	*Description*
No use of Y-copy **(field 103 does not exist in the header of the message)**	
Sender	TRGTXEP0TGT
Receiver	participant's test BIC

Expected results	• Payment settled and user's RTGS account credited (check in ICM) ☐ • MT103 (V-shape) received and processed correctly ☐

Comment:

References	UDFS I/2.6.2.2.6, 9.1.2.2.1.1 and 9.1.2.4.4 ICM-UHB I/6.1.1

Annexes

Test ID	**IOP-PM-160**
Function	Sending of an interbank payment (MT202) to a participant in a non-migrated country
Test category	MAND
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM) • Sufficient liquidity on RTGS account • *Optional:* Participant may request receipt of MT012 in user header, tag 113
Description	The user generates and sends an interbank payment (MT202) with all mandatory fields in favour of a direct participant in a non-migrated country. Specific details of the message:

Field	Description
Sender	participant's test BIC
Receiver	TRGTXEP0TGT (as defined in TARGET2 directory for BIC included in first of fields 56A, 57A or 58A
52A:	sending participant's test BIC
54A:	test BIC of non-migrated CB as provided by CB[17]
First of 56A, 57A or 58A:	test BIC of participant in non-migrated TARGET system as provided by CB

Expected results	• Participant's account debited and payment settled (check in ICM) ☐ • *Optional:* MT012 received ☐
	Comment:
References	UDFS I/2.6.2.1.6, 9.1.2.2.1.3 and 9.1.2.4.4 ICM-UHB I/6.1.1

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[17] Only necessary, when country code in the BIC of the first credit field differes from the destination country.

Annexes

Test ID	**IOP-PM-165**
Function	Receipt of an interbank payment (MT202) from a participant in a non-migrated country
Test category	MAND
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM)
Description	The user requests the CB to arrange for an interbank payment (MT202) being sent from a participant in a non-migrated country with all mandatory and optional fields.

Specific details of the message:

Field	*Description*
No use of Y-copy **(field 103 does not exist in the header of the message)**	
Sender	TRGTXEP0TGT
Receiver	participant's test BIC

Expected results	• Payment settled and user's RTGS account credited (check in ICM) ☐
	• MT202 (V-shape) received and processed correctly ☐

Comment:

References	UDFS I/2.6.2.2.6, 9.1.2.2.1.3 and 9.1.2.4.4
	ICM-UHB I/6.1.1

Annexes

Test ID	**IOP-PM-210**
Function	Sending of a customer payment (MT103) to an indirect participant
Test category	MAND, MAP
Apply to	DP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM) • Sufficient liquidity on RTGS account • *Optional:* Participant may request receipt of MT012 in user header, tag 113
Description	The user generates and sends a customer payment (MT103), normal priority, with all mandatory and optional fields in favour of an indirect participant. Specific details of the message:

Field	Description
Sender	participant's test BIC
Receiver	test BIC of direct participant defined in T2 directory for indirect participant mentioned in first of fields 56A and 57A
113 (header)	banking priority, first character: N
First of 56A or 57A:	test BIC of indirect participant as defined by CB

Expected results	• Participant's account debited and payment settled (check in ICM) ☐ • *Optional:* MT012 received ☐ Comment:
References	UDFS I/2.6.2.1.2, 9.1.2.2.1.1 and 9.1.2.4.1 ICM-UHB I/6.1.1

Annexes

Test ID	**IOP-PM-215**

Function	Receipt of a customer payment (MT103) from an indirect participant
Test category	MAND
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM)
Description	The user requests the respective CB simulating an indirect participant to send a customer payment (MT103), urgent priority, with all mandatory and optional fields.

Specific details of the message:

Field	Description
Sender	test BIC of respective direct participant related to indirect participant mentioned in field 52A
Receiver	participant's test BIC
113 (header)	banking priority, first character: U
52A	Test BIC of indirect participant

Expected results	• Payment settled and user's RTGS account credited (check in ICM) ☐ • MT103 received and processed correctly ☐
	Comment:
References	UDFS I/2.6.2.2.2, 9.1.2.2.1.1 and 9.1.2.4.1 ICM-UHB I/6.1.1

Annexes

Test ID	**IOP-PM-220**
Function	Sending a customer payment (MT103+) to an indirect participant
Test category	MAND
Apply to	DP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM) • Sufficient liquidity on RTGS account • *Optional:* Participant may request receipt of MT012 in user header, tag 113
Description	The user generates and sends a customer payment (MT103+), urgent priority, with all mandatory fields in favour of an indirect participant. Specific details of the message:

Field	Description
Sender	participant's test BIC
Receiver	test BIC of direct participant defined in T2 directory for indirect participant mentioned in first of fields 56A and 57A
113 (header)	banking priority, first character: U
119 (header)	STP
First of 56A or 57A:	test BIC of indirect participant as defined by CB

Expected results	• Participant's account debited and payment settled (check in ICM) ☐ • *Optional:* MT012 received ☐ Comment:
References	UDFS I/2.6.2.1.2, 9.1.2.2.1.2 and 9.1.2.4.1 ICM-UHB I/6.1.1

Annexes

Test ID	**IOP-PM-225**
Function	Receipt of a customer payment (MT103+) from an indirect participant
Test category	MAND
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM)
Description	The user requests the respective CB simulating an indirect participant to send a customer payment (MT103+), urgent priority, with all mandatory and optional fields.

Specific details of the message:

Field	Description
Sender	test BIC of respective direct participant related to indirect participant mentioned in field 52A
Receiver	participant's test BIC
113 (header)	banking priority, first character: U
52A	Test BIC of indirect participant

Expected results	• Payment settled and user's RTGS account credited (check in ICM) ☐ • MT103 received and processed correctly ☐ Comment:
References	UDFS I/2.6.2.2.2, 9.1.2.2.1.2 and 9.1.2.4.1 ICM-UHB I/6.1.1

Annexes

Test ID	**IOP-PM-230**
Function	**Sending an interbank payment (MT202) to an indirect participant**
Test category	MAND
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM) • Sufficient liquidity on RTGS account • *Optional:* Participant may request receipt of MT012 in user header, tag 113
Description	The user generates and sends an interbank payment (MT202), urgent priority, with all mandatory fields in favour of an indirect participant. Specific details of the message:

Field	Description
Sender	participant's test BIC
Receiver	test BIC of direct participant defined in T2 directory for indirect participant mentioned in first of fields 56A, 57A and 58A
113 (header)	Banking priority, first character: U
First of 56A, 57A or 58A:	test BIC of indirect participant as defined by CB

Expected results	• Participant's account debited and payment settled (check in ICM) ☐ • *Optional:* MT012 received ☐ Comment:
References	UDFS I/2.6.2.1.2, 9.1.2.2.1.3 and 9.1.2.4.1 ICM-UHB I/6.1.1

Annexes

Test ID	**IOP-PM-235**
Function	Receipt of an interbank payment (MT202) from an indirect participant
Test category	MAND
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM)
Description	The user requests the respective CB simulating an indirect participant to send an interbank payment (MT202), urgent priority, with all mandatory and optional fields.

Specific details of the message:

Field	Description
Sender	test BIC of respective direct participant related to indirect participant mentioned in field 52A
Receiver	participant's test BIC
113 (header)	banking priority, first character: U
52A	Test BIC of indirect participant

Expected results	• Payment settled and user's RTGS account credited (check in ICM) ☐
	• MT202 received and processed correctly ☐
	Comment:
References	UDFS I/2.6.2.2.2, 9.1.2.2.1.3 and 9.1.2.4.1
	ICM-UHB I/6.1.1

Annexes

Test ID	**IOP-PM-240**
Function	**Sending of a direct debit message (MT204) to an indirect participant**
Test category	COUS
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM) • Sufficient liquidity on RTGS account to be debited • User is authorized by the CB to debit that RTGS account • *Optional:* Participant may request receipt of MT012 in user header, tag 113
Description	The user generates and sends a direct debit message (MT204), normal priority, with all mandatory fields to be debited to a direct participant. Specific details of the message:

Field	Description
Sender	participant's test BIC
Receiver	test BIC of direct participant defined in T2 directory for indirect participant mentioned in field 53A
113 (header)	banking priority, first character: N
53A:	test BIC of indirect participant as defined by CB

Expected results	• Direct debit is settled and user's RTGS account credited (check in ICM) ☐ • *Optional:* message MT 012 received ☐ Comment :
References	UDFS I/2.6.2.1.2, 9.1.2.2.1.4 and 9.1.2.4.1 ICM-UHB I/6.1.1

Annexes

Test ID	**IOP-PM-245**
Function	Receipt of a direct debit message (MT204) from an indirect participant
Test category	COUS
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	- RBAC profile: at least CUINFOTE (for checks in ICM) - Sufficient liquidity on RTGS account of the user
Description	The user requests the respective CB simulating an indirect participant to send a direct debit (MT204), urgent priority, with all mandatory and optional fields (simulating the debit of some fees). Specific details of the message:

Field	*Description*
Sender	test BIC of direct participant defined in T2 directory for indirect participant mentioned in field 58A
Receiver	participant's test BIC
113 (header)	banking priority, first character: U
57A:	test BIC of direct participant defined in T2 directory for indirect participant mentioned in field 58A
58A:	test BIC of indirect participant defined in T2 directory as defined by CB

Expected results	- User's RTGS account debited and direct debit settled (check in ICM) ☐ - MT204 received and processed correctly ☐ Comment:
References	UDFS I/2.6.2.2.2, 9.1.2.2.1.4 and 9.1.2.4.1 ICM-UHB I/6.1.1

Annexes

Test ID	**IOP-PM-330**
Function	Receipt of a customer statement message (MT940)
Test category	COUS
Apply to	DP
Phase of the business day	end-of-day
Pre-conditions	• previous exchange of payments resulting in debits and credits on the account • Receipt of MT940 requested in the static data
Description	User receives and MT940.
Expected results	• MT940 is automatically received at the end-of-the-day ☐ • MT940 correctly reflects debits and credits resulting from payment traffic during the day ☐ Comment:
References	UDFS I/2.2 and 9.1.2.2.2.3

Annexes

Test ID	**IOP-PM-335**
Function	Receipt of a statement message (MT950)
Test category	COUS
Apply to	DP
Phase of the business day	end-of-day
Pre-conditions	• previous exchange of payments resulting in debits and credits on the account • Receipt of MT950 requested in the static data
Description	User receives an MT950.
Expected results	• MT950 is automatically received at the end-of-the-day ☐ • MT950 correctly reflects debits and credits resulting from payment traffic during the day ☐ Comment:
References	UDFS I/2.2 and 9.1.2.2.2.4

Annexes

Test ID	**IOP-PM-410**
Function	**Liquidity transfer to mirror account initiated by Settlement Bank via MT202 (Integrated model)**
Test category	COUS
Apply to	SB (DP, MAP involved in AS using SP1) (excludes execution of payments on behalf of an indirect participant)
Business day phase	Day trade
Pre-conditions	- Correct set-up of static data for AS, Settlement Bank(s) and mirror account - Sufficient funds/overdraft available *Optional* message MT012 enabled
Description	User acting as SB sends correct MT202(highly urgent) to PM BIC TRGTXEP0ASI. Field 57A: BIC mirror account. Field 58A: BIC SB. Optional mechanisms "Scheduled Time /FROTIME/" and "Settlement period /REJTIME/" may be used
Expected results	- Participant's PM account debited (check in ICM) ☐ *Optional*: MT900 received Comments:
References	UDFS I/2.8.2.1, 2.8.2.6; IV/5.6; ICMUH I 5.6

Annexes

Test ID	**IOP-PM-420**
Function	**Liquidity transfer to sub account via ICM** (Interfaced model)
Test category	COUS
Apply to	SB (DP, MAP involved in AS using SP6) (includes execution of payments on behalf of an indirect participant)
Business day phase	Day trade or Night-time
Pre-conditions	• RBAC profile: at least CULIQUTE/FE or CUGAMATE/FE • Sufficient funds/overdraft available
Description	User acting as SB initiates a liquidity transfer via ICM - function: liquidity transfer from RTGS account to sub account
Expected results	• Participant's PM account debited and sub account credited (check in ICM) ☐ • *Optional:* MT900/910 received ☐ Comment:
References	UDFS I/2.8.3, 9.2.6.3 and IV/6.4.14, 6.3.5 ICM-UHB I/6.1.2.1.2 XML: LiquidityCreditTransfer <camt.050.001.01> and Receipt <camt.025.001.01>

Annexes

Test ID	**IOP-PM-510**
Function	Define settlement 'from' time for a payment
Test category	COUS
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM) • Sufficient liquidity on RTGS account • *Optional:* Participant may request receipt of MT012 in user header, tag 113
Description	Participant sends an interbank payment with an Earliest Debit time indicator set (/FROTIME/) in Field 13C. Details to be entered into the message:

Field	Description
Sender	Participant's test BIC
Receiver	test BIC as defined by CB
13C	**/FROTIME/hhmm+iinn (future time)**
First of 56A, 57A or 58A	test BIC as defined by CB

Expected results	• Transaction stored until indicated time and visible in ICM via 'RTGS, Payments, Payments, Select payments' ☐ • At indicated time participant's account debited and payment settled (check in ICM) ☐ • *Optional:* MT012 received ☐ Comment:
References	UDFS I/2.7.2 and 9.1.2.2.1.3 ICM-UHB I/6.1.1

Annexes

Test ID	**IOP-PM-515**
Function	Change settlement 'from' time for a payment
Test category	COUS
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: CYPAYMATE/FE or CUGAMATE/FE, • Sufficient funds on RTGS account • Payment with earliest debit time indicator (FROTIME) was sent which has not been reached yet • *Optional:* Participant may request receipt of MT012 in user header, tag 113
Description	The participant changes the FROTIME indicator of a payment waiting for reaching the earliest debit time via ICM ('RTGS, Payments, Payments, Select payments, Earliest Debit time').
Expected results	• Transaction stored until changed indicated time and visible in ICM via 'RTGS, Payments, Payments, Select payments' ☐ • At indicated time participant's account debited and payment settled (check in ICM) ☐ • *Optional:* MT012 received ☐ Comment:
References	UDFS I/2.7.2 and 9.2.4.2.5, IV/6.4.19 and 6.3.5 ICM-UHB I/6.1.1.1.2.3 XML: ModifyTransaction <007.001.02> and Receipt <camt.025.001.01>

Annexes

Test ID	**IOP-PM-520**
Function	Define settlement 'till' time for a payment
Test category	COUS
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	- RBAC profile: at least CUINFOTE (for checks in ICM) - Insufficient funds on RTGS account to settle the payment immediately *Optional:* Participant may request receipt of MT012 in user header, tag 113
Description	Participant sends an interbank payment with a Latest Debit time indicator set (/TILTIME/) in Field 13C. Details to be entered into the message:

Field	Description
Sender	Participant's test BIC
Receiver	Test BIC as defined by CB
13C	**/TILTIME/hhmm+iinn (future time)**
First of 56A, 57A or 58A	Test BIC as defined by CB

Expected results	- Immediate and ongoing attempts to settle the payment ☐ - Transaction stored until indicated time and visible in ICM via 'RTGS, Payments, Payments, Select payments' ☐ - Broadcast via ICM issued 15 minutes before indicated ☐ - At indicated time payment remains in queue until sufficient funds are available (Consequence: settlement and optional MT012) or until cut-off (Consequence: rejection with MT019) ☐ Comment:
References	UDFS I/2.7.2 and 9.1.2.2.1.3 ICM-UHB I/6.1.1

Test ID	**IOP-PM-525**
Function	Change settlement 'till' time for a payment
Test category	COUS
Apply to	DP
Phase of the business day	Day trade
Pre-conditions	- RBAC profile: CYPAYMATE/FE or CUGAMATE/FE, - Insufficient funds on RTGS account - Payment with latest debit time indicator (TILTIME) queued *Optional:* Participant may request receipt of MT012 in user header, tag 113
Description	The participant changes the TILTIME indicator of a queued payment via ICM ('RTGS, Payments, Payments, Select payments, Latest Debit time').
Expected results	- Ongoing attempts to settle the payment ☐ - Transaction stored until changed indicated time and visible in ICM via 'RTGS, Payments, Payments, Select payments' ☐ - Broadcast via ICM issued 15 minutes before indicated time ☐ - At indicated time payment remains in queue until sufficient funds are available (Consequence: settlement and optional MT012) or until cut-off (Consequence: rejection with MT019) ☐ Comment:
References	UDFS I/2.7.2 and 9.2.4.2.5, IV/6.4.19 and 6.3.5 ICM-UHB I/6.1.1.1.2.5 XML: ModifyTransaction <007.001.02> and Receipt <camt.025.001.01>

Annexes

Test ID	**IOP-PM-530**

Function	Define settlement 'reject' time for a payment
Test category	COUS
Apply to	DP, MAP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM) • Insufficient funds on RTGS account to settle the payment immediately • *Optional:* Participant may request receipt of MT012 in user header, tag 113
Description	Participant sends an interbank payment with a Latest Debit time indicator set (/REJTIME/) in Field 13C. Details to be entered into the message:

Field	Description
Sender	Participant's test BIC
Receiver	Test BIC as defined by CB
13C	**/REJTIME/hhmm+iinn (future time)**
First of 56A, 57A or 58A	Test BIC as defined by CB

Expected results	• Immediate and ongoing attempts to settle the payment ☐ • Transaction stored until indicated time and visible in ICM via 'RTGS, Payments, Payments, Select payments' ☐ • Broadcast via ICM issued 15 minutes before indicated ☐ • At indicated time payment is rejected (MT019) ☐ Comment:
References	UDFS I/2.7.2 and 9.1.2.2.1.3 ICM-UHB I/6.1.1

Annexes

Test ID	**IOP-PM-535**
Function	Change settlement 'reject' time for a payment
Test category	COUS
Apply to	DP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: CUPAYMTE/FE or CUGAMATE/FE, • Insufficient funds on RTGS account • Payment with latest debit time indicator (REJTIME) queued • *Optional:* Participant may request receipt of MT012 in user header, tag 113
Description	The participant changes the REJTIME indicator of a queued payment via ICM ('RTGS, Payments, Payments, Select payments, Latest Debit time').
Expected results	• Immediate and ongoing attempts to settle the payment ☐ • Transaction stored until indicated time and visible in ICM via 'RTGS, Payments, Payments, Select payments' ☐ • Broadcast via ICM issued 15 minutes before indicated ☐ • At indicated time payment is rejected (MT019) ☐ Comment:
References	UDFS I/2.7.2 and 9.2.4.2.5, IV/6.4.19 and 6.3.5 ICM-UHB I/6.1.1.1.2.5 XML: ModifyTransaction <007.001.02> and Receipt <camt.025.001.01>

Annexes

Test ID	**IOP-PM-540**
Function	Define settlement 'CLS' time for a payment
Test category	COUS
Apply to	DP, MAP involved in CLS settlement
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for checks in ICM) • Insufficient funds on RTGS account to settle the payment immediately • *Optional:* Participant may request receipt of MT012 in user header, tag 113

Description   Participant sends an interbank payment with a Latest Debit time indicator set (/CLSTIME/).

Details to be entered into the message:

Field	*Description*
Sender	Participant's test BIC
Receiver	Test BIC as defined by CB
First of 56A, 57A or 58A	Test BIC as defined by CB
72	**/CLSTIME/hhmm+iinn (future time)**

Expected results

- Immediate and ongoing attempts to settle the payment ☐

- Transaction stored until indicated time and visible in ICM via 'RTGS, Payments, Payments, Select payments' ☐

- Broadcast via ICM issued 15 minutes before indicated ☐

- At indicated time payment remains in queue until sufficient funds are available (Consequence: settlement and optional MT012) or until cut-off (Consequence: rejection with MT019) ☐

Comment:

References   UDFS I/2.7.2 and 9.1.2.2.1.3

ICM-UHB I/6.1.1

Annexes

Test ID	**IOP-PM-545**
Function	Change settlement 'CLS' time for a payment
Test category	COUS
Apply to	DP ivolved in CLS settlement
Phase of the business day	Day trade
Pre-conditions	• RBAC profile: CYPAYMATE/FE or CUGAMATE/FE, • Insufficient funds on RTGS account • Payment with latest debit time indicator (CLSTIME) queued • *Optional:* Participant may request receipt of MT012 in user header, tag 113
Description	The participant changes the CLSTIME indicator of a queued payment via ICM ('RTGS, Payments, Payments, Select payments, Latest Debit time').
Expected results	• Ongoing attempts to settle the payment ☐ • Transaction stored until changed indicated time and visible in ICM via 'RTGS, Payments, Payments, Select payments' ☐ • Broadcast via ICM issued 15 minutes before indicated time ☐ • At indicated time payment remains in queue until sufficient funds are available (Consequence: settlement and optional MT012) or until cut-off (Consequence: rejection with MT019) ☐ Comment:
References	UDFS I/2.7.2 and 9.2.4.2.5, IV/6.4.19 and 6.3.5 ICM-UHB I/6.1.1.1.2.5 XML: ModifyTransaction <007.001.02> and Receipt <camt.025.001.01>

Test ID	**IOP-PMB-010**
Function	Backup lump-sum payment in favour of a direct PM participant
Test category	COUS
Apply to	DP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile CUBAUPFE (CU Back-up manager) is assigned to user (4 eyes). • Back up functionality activated by CB • Sufficient liquidity on participants account • *Optional:* Receipt of MT900 requested by user
Description	Generation of a backup lump-sum payment in favour of a direct PM participant via ICM screen "One Direct PM Participant" Data input: 58A: Beneficiary Institution 32A. Amount (EUR) A backup lump-sum payment in favour of a direct PM participant is treated as an urgent payment in PM
Expected results	• Backup contingency payment in favour of a direct PM participant created and processed ☐ • *Optional:* message MT900 received by user [18] ☐
References	UDFS I/ 2.4.5, 2.7.4, 7.2.1 ICMUH I/ 6.1.5 UDFS IV/6.4.1 XML: BackupPayment < camt.023.001.02>

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[18] As soon as the sender's SWIFTNet FIN connection is operational again

Annexes

Test ID	**IOP-PMB-015**
Function	Receipt of a backup lump-sum payment from a direct PM participant
Test category	COUS
Apply to	DP
Phase of the business day	Day trade
Pre-conditions	• Back up functionality activated by CB for another direct participant (simulated by the CB)
Description	Participant receives a back-up lump-sum payment (no Y-copy) from the direct participant simulated by the CB. A backup lump-sum payment is treated as an urgent payment in PM
Expected results	• Participant receives and processes the backup lump-sum payment ☐
References	UDFS I/ 2.4.5, 2.7.4, 7.2.1 - UDFS IV/6.4.1

Test ID	**IOP-PMB-020**
Function	Backup lump-sum payment in favour of a participant in a non-migrated country
Test category	COUS
Apply to	DP
Phase of the business day	Day trade
Pre-conditions	• RBAC profile CUBAUPFE (CU Back-up manager) is assigned to user (4 eyes). • Back up functionality activated by CB • Sufficient liquidity on participants account • *Optional:* Receipt of MT900 requested by user
Description	Generation of a Backup lump-sum payment in favour of a participant in Target1 via ICM screen "Via External Central Bank" Data input: 32A: Amount (EUR) 54A: Receiver's Correpondent (insertion of CB country code, if differing from field 58A: Beneficiary Institution A backup lump-sum payment in favour of a participant in Target1 is treated as an urgent payment in PM
Expected results	• Backup contingency payment in favour of a participant in Target1 created and processed ☐ • *Optional:* message MT900 received by user[19] ☐
References	UDFS I/ 2.4.5, 2.7.4, 7.2.1 ICMUH I/ 6.1.5 UDFS IV/6.4.1 XML: BackupPayment < camt.023.001.02>

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[19] As soon as the sender's SWIFTNet FIN connection is operational again

Test ID	**IOP-PMB-030**
Function	Return of a backup lump-sum payment to a direct PM participant
Test category	COUS
Apply to	DP
Phase of the business day	Day trade
Pre-conditions	- At least the RBAC role CU Reader (CUINFOTE) assigned for user - Value date check switched off for the participant and direct (previously failed) participant simulated by the CB *Optional:* Receipt of MT900 requested by user
Description	The backup lump-sum payment is returned (MT202) by the participant to the participant affected by the failure (simulated by the CB). MT202 Sender: Direct participant Receiver: Direct participant affected by the failure and simulated by CB 20: TRN 21:Reference number from field 20 of the original backup lump-sum payment 32A: Date of the failure used as the value date (no back valuation in the PM. Payment processed with current value date in PM) 58A: Direct participant affected by the failure 72:/BUP/
Expected results	Ability to return a backup lump-sum payment ☐
References	UDFS I/2.7.4 -

Test ID	IOP-PMB-110
Function	Backup contingency payment in favour of CLS
Test category	COUS
Apply to	DP involved in CLS settlement
Phase of the business day	Day trade
Pre-conditions	RBAC profile CUBAUPFE (CU Back-up manager) is assigned to user (4 eyes).
	Backup functionality activated by CB
	Sufficient liquidity on participant's account
	Optional: Receipt of MT900 requested by user
Description	Generation of backup contingency payment in favour of CLS via ICM screen "CLS"
	Data input:
	21: Related reference
	32A: Amount (EUR)
	52A: Ordering Institution (default: BIC of debtor)
	57A: Account with Institution (CLS BIC used is automatically added by the SSP)
	58A: Beneficiary Institution
	72: /CLSTIME/ (hhmm) optional
	CLS payment is treated as <u>highly</u> urgent payment in PM with Latest Debit Time indicator (if opted for)
Expected results	Ability to create backup contingency payment in favour of CLS ☐
	Optional: message MT900 received by user[20] ☐
References	UDFS I/2.4.5/2.7.4/7.2.1. ICMUH I/ 6.1.5
	UDFS IV/6.4.1 XML: BackupPayment <camt.023.001.02>

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[20] As soon as the sender's SWIFTNet FIN connection is operational again

Annexes

Test ID	**IOP-PMB-120**
Function	Backup contingency payment in favour of EURO1
Test category	COUS
Apply to	DP involved in EURO1 settlement
Phase of the business day	Day trade
Pre-conditions	RBAC profile CUBAUPFE (CU Back-up manager) is assigned to user (4 eyes).
	Backup functionality activated by CB
	Sufficient liquidity on participant's account
	Optional: Receipt of MT900, requested by user
Description	Generation of backup contingency payment in favour of EURO1 via ICM screen "EURO1"
	MT202
	Data input:
	21: Related reference
	32A: Amount (EUR)
	52A: Ordering Institution (default: BIC of debtor)
	58A: Beneficiary Institution (EBA Euro1 BIC used is automatically added by the SSP)
	EURO1 payment is treated as an urgent payment
Expected results	Ability to create backup contingency payment in favour of EURO1 ☐
	Optional: message MT900 received by user[21]☐
References	UDFS I/2.4.5/2.7.4/7.2.1 ICMUH I/ 6.1.5
	UDFS IV/6.4.1 XML: BackupPayment <camt.023.001.02>

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[21] As soon as the sender's SWIFTNet FIN connection is operational again

Test ID	**IOP-PMB-130**
Function	Backup contingency payment in favour of STEP2
Test category	COUS
Apply to	DP involved in STEP2 pre-funding
Phase of the business day	Day trade
Pre-conditions	RBAC profile CUBAUPFE (CU Back-up manager) is assigned to user (4 eyes).
	Backup functionality activated by CB
	Sufficient liquidity on participant's account
	Optional: Receipt of MT900 requested by user
Description	Generation of backup contingency payment in favour of STEP2 via ICM screen " STEP2"
	MT202
	Data input:
	21: Related reference
	32A: Amount (EUR)
	52A: Ordering Institution (default: BIC of debtor)
	58A: Beneficiary Institution (EBA STEP2 BIC used is automatically added by the SSP)
	STEP2 payment is treated as an urgent payment
Expected results	Ability to create backup contingency payment in favour of STEP2 ☐
	Optional: message MT900 received by user[22] ☐
References	UDFS I/2.4.5/2.7.4/7.2.1 ICMUH I/ 6.1.5
	UDFS IV/6.4.1 XML: BackupPayment <camt.023.001.02>

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[22] As soon as the sender's SWIFTNet FIN connection is operational again

Annexes

Test ID	**IOP-PML-010**
Function	Creation of a bilateral limit during the day
Test category	COUS
Apply to	DP
Business day phase	Day trade
Pre-conditions	• ICM: At least the profile CULIMITE (2 eyes) or CULIMIFE (4 eyes) is assigned to the user • The User and the counterparty (participant N) are defined in the system (SD). • The User has not already a bilateral limit against participant N. • System open
Description	The user creates, using U2A approach by ICM monitoring (screen Limits/current) or via XML in A2A (ModifyLimit) the bilateral limit against another participant N. The created bilateral limit must be at least 1M€
Expected results	Ability to create a bilateral limit with N ☐ ☐ Comment :
References	UDFS Book I/ 2.5.2.1; I/9.2.4.1.5.2 ICM UHBook I/6.1.3 XML book IV/5.4.4 schema file "modifylimit" <camt011.001.02>

Annexes

Test ID	**IOP-PML-020**
Function	Creation of a multilateral limit during the day
Test category	COUS
Apply to	DP
Business day phase	Day trade
Pre-conditions	• ICM: At least the profile CULIMITE (2 eyes) or CULIMIFE (4 eyes) is assigned to the user • The User is defined in the system (SD). • At least one bilateral limit exists already • No multilateral limit to a participant to whom a bilateral limit is defined • System open
Description	The user creates, using U2A approach by ICM monitoring (screen Limits/current) or via XML in A2A (ModifyLimit) the multilateral limit. The created multilateral limit must be at least1M€
Expected results	Ability to create a multilateral limit ☐ Comment :
References	UDFS Book I/ 2.5.2.1; I/9.2.4.1.5.2 ICM UHBook I/6.1.3 XML book IV/5.4.4 schema file "modifylimit" <camt011.001.02>

Annexes

Test ID	**IOP-PML-030**
Function	Deletion of a bilateral limit during the day
Test category	COUS
Apply to	DP
Business day phase	Day trade
Pre-conditions	- ICM: At least the profile CULIMITE (2 eyes) or CULIMIFE (4 eyes) is assigned to the user - The user is defined in the system (SD). - The User has already a bilateral limit against participant N. - System open - The User is assigned to a single account (no liquidity pooling).
Description	The user deletes (ie decreases to ZERO), using U2A approach by ICM monitoring (screen Limits/current) or via XML in A2A (DeleteLimit) the bilateral limit with participant N. The deleted bilateral limit must be "O" €
Expected results	Ability to delete a bilateral limit with participant N ☐ ☐ Comment : If a limit is once reset to zero, it is not possible to increase it again on the same business day.
References	UDFS Book I/ 2.5.2.1; I/9.2.4.1.5.2 ICM UHBook I/6.1.3 XML book IV/5.4.15 schema file "deletelimit" <camt012.001.02>

Annexes

Test ID	**IOP-PML-040**
Function	Deletion of a multilateral limit during the day
Test category	COUS
Apply to	DP
Business day phase	Day trade
Pre-conditions	• ICM: At least the profile CULIMITE (2 eyes) or CULIMIFE (4 eyes) is assigned to the user • The user is defined in the system (SD). • The User has already a multilateral limit. • System open • The User is assigned to a single account (no liquidity pooling).
Description	The user deletes (ie decreases to ZERO), using U2A approach by ICM monitoring (screen Limits/current) or via XML in A2A (DeleteLimit) the multilateral limit. The deleted multilateral limit must be "O"€
Expected results	Ability to delete a multilateral limit ☐ Comment :
References	UDFS Book I/ 2.5.2.1; I/9.2.4.1.5.2 ICM UHBook I/6.1.3 XML book IV/5.4.15 schema file "deletelimit" <camt012.001.02>

Annexes

Test ID	**IOP-PML-110**
Function	Reservation of liquidity for highly urgent payments during the day
Test category	COUS
Apply to	DP
Business day phase	Day trade
Pre-conditions	• U2A mode: The profile CURMANTE (2 eyes) or CURMANFE (4 eyes) is assigned to the user • The user is defined as DP in Static Data • No other reservation for highly urgent transactions exists (defined value = 0) • System open
Description	The user creates in U2A mode (screen Reservations/Current) or in A2A mode (ModifyReservation_PM) a current reservation for highly urgent payments (priority class 0).
Expected results	Ability to create a highly urgent reservation ☐ Ability to handle the confirmation from SSP sent by ICM ☐ Comment : When the available liquidity is not sufficient to reserve the defined value, only the available liquidity on the RTGS account will be reserved. The user will be notified that the total amount could not be reserved.
References	UDFS Book I/ 2.5.1; I/9.2.4.1.6.2 ICM User HandBook I/6.1.3.2.1 XML book IV/5.4.16 "ModifyReservation_PM" <camt.048.001.01>

Annexes

Test ID	**IOP-PML-120**
Function	Reservation of liquidity for urgent payments during the day
Test category	COUS
Apply to	DP
Business day phase	Day trade
Pre-conditions	• U2A mode: The profile CURMANTE (2 eyes) or CURMANFE (4 eyes) is assigned to the user • The user is defined as DP in Static Data • No other reservation for urgent transactions exists (defined value = 0) • System open
Description	The user creates in U2A mode (screen Reservations/Current) or in A2A mode (ModifyReservation_PM) a current reservation for urgent payments (priority class 1).
Expected results	Ability to create an urgent reservation ☐ Ability to handle the confirmation from SSP sent by ICM ☐ Comment : When the available liquidity is not sufficient to reserve the defined value, only the available liquidity on the RTGS account will be reserved. The user will be notified that the total amount could not be reserved.
References	UDFS Book I/ 2.5.1; I/9.2.4.1.6.2 ICM User HandBook I/6.1.3.2.1 XML book IV/5.4.16 "ModifyReservation_PM" <camt.048.001.01>

Test ID	**IOP-PML-130**
Function	Cancellation of liquidity reserved for highly urgent payments during the day
Test category	COUS
Apply to	DP
Business day phase	Day trade
Pre-conditions	• U2A mode : The profile CURMANTE (2 eyes) or CURMANFE (4 eyes) is assigned to the user • The user is defined as DP in Static Data • Reservation for highly urgent transactions exists (defined value) • System open
Description	Cancellation by the user in U2A mode(screen Reservations/Current) or in A2A mode (DeleteReservation_PM) of a reservation for highly urgent payments (priority class 0) by resetting the new value to 0.
Expected results	Ability to delete a highly urgent reservation ☐ ☐ Comment :
References	UDFS Book I/ 2.5.1; UDFS Book I/ 2.5.1; I/9.2.4.1.6.4 I/9.2.4.1.6.4

Annexes

Test ID	**IOP-PML-140**
Function	Cancellation of liquidity reserved for urgent payments during the day
Test category	COUS
Apply to	DP
Business day phase	Day trade
Pre-conditions	- U2A mode : The profile CURMANTE (2 eyes) or CURMANFE (4 eyes) is assigned to the user - The user is defined as DP in Static Data - Reservation for urgent transactions exists (defined value) - System open
Description	Cancellation by the user in U2A mode(screen Reservations/Current) or in A2A mode (DeleteReservation_PM) of a reservation for urgent payments (priority class 1) by resetting the new value to 0.
Expected results	Ability to delete an urgent reservation ☐ ☐ Comment :
References	UDFS Book I/ 2.5.1; I/9.2.4.1.6.4 ICM User HandBook I/6.1.3.2.1 XML book IV/5.4.5 "DeleteReservation_PM" \<camt.049.001.01\>

Test ID	**IOP-PML-510**
Function	Liquidity transfer between two accounts belonging to the same group-of-accounts
Test category	COUS
Apply to	GoAMgr
Business day phase	Day trade
Pre-conditions	• RBAC profile: CUGAMATE/FE
Description	In ICM the user selects 'RTGS, Liquidity, Account list' followed by either 'Virtual account' or 'Account list'(consolidated information), selects two accounts and initiates a liquidity transfer between the two accounts. The second user confirms the action (if 4 eyes).
Expected results	• Liquidity transfer settled (check of account balances via ICM): ☐ • *Optional:* MT900/910 received ☐ Comments:
References	UDFS I/2.5.5 and I/9.2.4.1.3, ICM I/6.1.2.3 UDFS IV/6.4.14 LiquidityCreditTransfer (camt.050.001.01)

Test ID	**IOP-PML-610**
Function	Definition of the sequence of accounts for the levelling-out at the end of the day (virtual account)
Test category	COUS
Apply to	GoAMgr for virtual account
Business day phase	Day trade
Pre-conditions	• RBAC profile: CUGAMATE/FE
Description	In ICM the user selects 'RTGS, Liquidity, Account list, Virtual account' and defines the sequence number in the respective field of each account. The second user confirms the action (if 4 eyes). Run test case IOP-PML-620.
Expected results	• Sequence numbers taken (check by reopening ICM screen): ☐ Comments:
References	UDFS I/2.5.5, ICM I/6.1.2.3.1 UDFS IV/6.4.18 ModifySequence (camt.998.001.01)

Test ID	**IOP-PML-620**
Function	Automatic levelling-out at the end of the day (virtual account)
Test category	COUS
Apply to	GoAMgr for virtual account
Business day phase	End-of-day
Pre-conditions	- RBAC profile: CUGAMATE/FE (for check via ICM) - Levelling-oput order is defined (see test case IOP-PML-610) - GoAMgr does not level-out a debit position in one of the accounts belong to the group of account (virtual account) before end-of—day
Description	During end-of-day procedures the automatic emergency level-out procedure will level the debit position against credit positions on other accounts belonging to the same group
Expected results	The levelling-out takes place according to the defined sequence of accounts to be used (check via ICM): ☐ Comments:
References	UDFS I/2.5.5 -

Annexes

Test ID	**IOP-PML-710**
Function	Creation of a bilateral limit (virtual account)
Test category	COUS
Apply to	GoAMgr for virtual account
Business day phase	Day trade
Pre-conditions	- ICM: At least the profile CUGAMATE (2eyes) or CUGAMAFE (4 eyes)is assigned for the GoA manager. - The User and the counterparty (participant N) are defined in the system (SD). - The User has not already a bilateral limit against participant N. - System open - The user is assigned to a Group of accounts (liquidity pooling) as manager
Description	The user creates, using U2A approach by ICM monitoring (screen Limits/standing order) or via XML in A2A (ModifyLimit) the bilateral limit against another participant N. The created bilateral limit must be at least 1M€
Expected results	Ability to create a bilateral limit with N ☐ ☐ Comment :
References	UDFS Book I/ 2.5.2.1; I/9.2.4.1.5.2 ICM UHBook I/6.1.3 XML book IV/5.4.4 schema file "modifylimit" <camt011.001.02>

Annexes

Test ID	**IOP-PML-720**
Function	Creation of a multilateral limit (virtual account)
Test category	COUS
Apply to	GoAMgr for virtual account
Business day phase	Day trade
Pre-conditions	- ICM: At least the profile CUGAMATE (2eyes) or CUGAMAFE (4 eyes) is assigned for the GoA manager . - The User is defined in the system (SD). (no pre-condition) - No multilateral limit to a participant to whom a bilateral limit is defined - System open - The user is assigned to a Group of accounts (liquidity pooling) as manager
Description	The user creates, using U2A approach by ICM monitoring (screen Limits/standing order) or via XML in A2A (ModifyLimit) the multilateral limit.
Expected results	The created multilateral limit must be at least1M€ Ability to create a multilateral limit ☐ Comment :
References	UDFS Book I/ 2.5.2.1; I/9.2.4.1.5.2 ICM UHBook I/6.1.3 XML book IV/5.4.4 schema file "modifylimit" <camt011.001.02>

Annexes

Test ID	**IOP-PML-730**
Function	Deletion of a bilateral limit during the day (virtual account)
Test category	COUS
Apply to	GoAMgr for virtual account
Business day phase	Day trade
Pre-conditions	- ICM: the profile CUGAMAFE (4 eyes) is assigned to the user - The user and the counter party (participant N) are defined in the system (SD). - The User has already a bilateral limit against participant N. - System open - The user is assigned to a Group of accounts (liquidity pooling) as manager.
Description	The user deletes (ie decreases to ZERO), using U2A approach by ICM monitoring (screen Limits/current) or via XML in A2A (DeleteLimit) the bilateral limit with participant N. The deleted bilateral limit must be "O" €
Expected results	Ability to delete a bilateral limit with participant N ☐ ☐ Comment : If a limit is once reset to zero, it is not possible to increase it again on the same business day.
References	UDFS Book I/ 2.5.2.1; I/9.2.4.1.5.2 ICM UHBook I/6.1.3 XML book IV/5.4.15 schema file "deletelimit" <camt012.001.02>

Annexes

Test ID	**IOP-PML-740**
Function	Deletion of a multilateral limit during the day (virtual account)
Test category	COUS
Apply to	GoAMgr for virtual account
Business day phase	Day trade

Pre-conditions

- ICM: At least the profile CUGAMATE (2eyes) or CUGAMAFE (4 eyes) is assigned for the GoA manager .

- The user is defined in the system (SD).

- The User has already a multilateral limit.

- System open

- The user is assigned to a Group of accounts (liquidity pooling) as manager .

Description

The user deletes (ie decreases to ZERO), using U2A approach by ICM monitoring (screen Limits/current) or via XML in A2A (DeleteLimit) the multilateral limit.

The deleted multilateral limit must be "O"€

Expected results

Ability to delete a multilateral limit ☐

Comment :

References

UDFS Book I/ 2.5.2.1; I/9.2.4.1.5.2   ICM UHBook I/6.1.3

XML book IV/5.4.15 schema file "deletelimit" <camt012.001.02>

Annexes

Test ID	**IOP-PML-810**
Function	Reservation of liquidity for highly urgent payments during the day (virtual account)
Test category	COUS
Apply to	GoAMgr for virtual account
Business day phase	Day trade
Pre-conditions	• U2A mode: The profile CUGAMATE (2 eyes) or CUGAMAFE (4 eyes) is assigned to the user • The user is defined as group of accounts manager in Static Data • No other reservation for highly urgent transactions exists (defined value = 0) • System open
Description	The user creates in U2A mode (screen Reservations/Current) or in A2A mode (ModifyReservation_PM) a current reservation for highly urgent payments (priority class 0). This reservation is valid for the virtual group of accounts as a whole.
Expected results	Ability to create a highly urgent reservation ☐ Ability to handle the confirmation from SSP sent by ICM ☐ Comments : When the available liquidity in the virtual group is not sufficient to reserve the defined value, only the cumulated liquidity on the RTGS accounts will be reserved. The user will be notified that the total amount could not be reserved.
References	UDFS Book ICM User HandBook I/6.1.3.2.1 I/ 2.5.1;I/ 2.5.5.2; I/9.2.4.1.6.2 XML book IV/5.4.16 "ModifyReservation_PM" <camt.048.001.01>

Annexes

Test ID	**IOP-PML-820**
Function	Reservation of liquidity for urgent payments during the day (virtual account)
Test category	COUS
Apply to	GoAMgr for virtual account
Business day phase	Day trade
Pre-conditions	- U2A mode: The profile CUGAMATE (2 eyes) or CUGAMAFE (4 eyes) is assigned to the user - The user is defined as group of accounts manager in Static Data - No other reservation for urgent transactions exists (defined value = 0) - System open
Description	The user creates in U2A mode (screen Reservations/Current) or in A2A mode (ModifyReservation_PM) a current reservation for urgent payments (priority class 1). This reservation is valid for the virtual group of accounts as a whole.
Expected results	Ability to create an urgent reservation ☐ Ability to handle the confirmation from SSP sent by ICM ☐ Comments : When the available liquidity in the virtual group is not sufficient to reserve the defined value, only the cumulated liquidity on the RTGS accounts will be reserved. The user will be notified that the total amount could not be reserved.
References	UDFS Book ICM User HandBook I/6.1.3.2.1 I/ 2.5.1;I/ 2.5.5.2; I/9.2.4.1.6.2 XML book IV/5.4.16 "ModifyReservation_PM" <camt.048.001.01>

Test ID	**IOP-PML-830**
Function	Cancellation of liquidity reserved for highly urgent payments during the day (virtual account)
Test category	COUS (USER)
Apply to	GoAMgr for virtual account
Business day phase	Day trade
Pre-conditions	• U2A mode: The profile CUGAMATE (2 eyes) or CUGAMAFE (4 eyes) is assigned to the user • The user is defined as group of accounts manager in Static Data • Reservation for highly urgent transactions exists (defined value) • System open
Description	Cancellation by the user in U2A mode(screen Reservations/Current) or in A2A mode (DeleteReservation_PM) of a reservation for highly urgent payments (priority class 0) by resetting the new value for the virtual account as a whole to 0.
Expected results	Ability to delete a highly urgent reservation ☐ Comment :
References	UDFS Book I/ 2.5.1;I/ 2.5.5.2; I/9.2.4.1.6.4	ICM User HandBook I/6.1.3.2.1 XML book IV/5.4.5 "DeleteReservation_PM" <camt.049.001.01>

Annexes

Test ID	**IOP-PML-840**
Function	Cancellation of liquidity reserved for urgent payments during the day (virtual account)
Test category	COUS
Apply to	GoAMgr for virtual account
Business day phase	Day trade
Pre-conditions	• U2A mode: The profile CUGAMATE (2 eyes) or CUGAMAFE (4 eyes) is assigned to the user • The user is defined as group of accounts manager in Static Data • Reservation for highly urgent transactions exists (defined value) • System open
Description	Cancellation by the user in U2A mode(screen Reservations/Current) or in A2A mode (DeleteReservation_PM) of a reservation for urgent payments (priority class 1) by resetting the new value for the virtual account as a whole to 0.
Expected results	Ability to delete an urgent reservation ☐ Comment :
References	UDFS Book ICM User HandBook I/6.1.3.2.1 I/ 2.5.1;I/ 2.5.5.2; I/9.2.4.1.6.4 XML book IV/5.4.5 ”DeleteReservation_PM” <camt.049.001.01>

Annexes

Test ID	**IOP-HAM-110**
Function	Sending of an interbank transfer to another HAM account (same CB) via MT202 during the day
Test category	COUS
Apply to	HAM
Business day phase	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for check via ICM) • Sufficient liquidity on the HAM account
Description	The user generates and sends an HAM interbank payment (simplified MT202) with all mandatory fields in favour of another HAM account. Specific details of the message:

Field	Description
V-shape message, no TGT in field 103 of the user header	
Sender	participant's HAM test BIC
Receiver	TRGTXEH0XXX
113 (header)	banking priority NNNN
58A:	test BIC of another HAM account holder as defined by CB

Expected results	• Settlement of the interbank transfer (check via ICM) ☐ • Optional: MT900/910 received ☐ Comment :
References	UDFS II/12.1.4, II.14.1.1.1 and - II.14.1.2

Annexes

Test ID	**IOP-HAM-120**
Function	Sending of an interbank transfer from HAM to PM (different participant) via MT202 during the day
Test category	COUS
Apply to	HAM
Business day phase	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for check via ICM) • Sufficient liquidity on the HAM account
Description	The user generates and sends an HAM interbank payment (simplified MT202) with all mandatory fields in favour of another PM account. Specific details of the message:

Field	*Description*
V-shape message, no TGT in field 103 of the user header	
Sender	participant's HAM test BIC
Receiver	TRGTXEH0XXX
113 (header)	banking priority NNNN
58A:	test BIC of another PM participant as defined by CB

Expected results	• Settlement of the interbank transfer (check via ICM) ☐ • Optional: MT900/910 received ☐ Comment :
References	UDFS II/12.1.4, II.14.1.1.1 and - II.14.1.2

Annexes

Test ID	**IOP-HAM-150**
Function	Receipt of an interbank transfer from another HAM account (same CB) via MT202 during the day
Test category	COUS
Apply to	HAM
Business day phase	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for check via ICM)
Description	The user requests the respective CB simulating another HAM participant to send an HAM interbank payment (simplified MT202) with all mandatory fields.

Specific details of the message received:

Field	Description
V-shape message, no TGT in field 103 of the user header	
Sender	TRGTXEH0XXX
Receiver	participant's HAM test BIC
113 (header)	banking priority NNNN
58A:	participant's HAM test BIC

Expected results	• MT202 received and processed correctly ☐ • user's HAM account credited ☐ • Optional: MT900/910 received ☐ Comment :
References	UDFS II/12.1.4, II.14.1.1.1 and - II.14.1.2

Annexes

Test ID	**IOP-HAM-160**
Function	Receipt of an interbank transfer from a PM account (different participant) to HAM via MT202 during the day
Test category	COUS
Apply to	HAM
Business day phase	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for check via ICM)
Description	The user requests the respective CB simulating an PM participant to send an interbank payment (simplified MT202) with all mandatory fields.

Specific details of the message received:

Field	Description
V-shape message, no TGT in field 103 of the user header	
Sender	TRGTXEH0XXX
Receiver	participant's HAM test BIC
113 (header)	banking priority NNNN
58A:	participant's HAM test BIC

Expected results	• MT202 received and processed correctly ☐ • user's HAM account credited ☐ • Optional: MT900/910 received ☐ Comment :
References	UDFS II/12.1.4, II.14.1.1.1 and - II.14.1.2

Annexes

Test ID	**IOP-HAM-190**
Function	Receipt of a customer statement message (MT940) for the HAM account
Test category	COUS
Apply to	HAM
Phase of the business day	end-of-day
Pre-conditions	• previous exchange of payments resulting in debits and credits on the account • Receipt of MT940 requested in the static data
Description	User receives an MT940.
Expected results	• MT940 is automatically received at the end-of-the-day ☐ • MT940 correctly reflects debits and credits resulting from payment traffic during the day ☐ Comment:
References	UDFS II/14.1.2.2.2.3

Annexes

Test ID	**IOP-HAM-195**
Function	Receipt of a statement message (MT950) for the HAM account
Test category	COUS
Apply to	HAM
Phase of the business day	end-of-day
Pre-conditions	• previous exchange of payments resulting in debits and credits on the account • Receipt of MT950 requested in the static data
Description	User receives an MT950.
Expected results	• MT950 is automatically received at the end-of-the-day ☐ • MT950 correctly reflects debits and credits resulting from payment traffic during the day ☐ Comment:
References	UDFS II/14.1.2.2.2.4

Annexes

Test ID	**IOP-HAM-310**
Function	Define automatic account transfer (standing order executed at the beginning of the day) from HAM to PM
Test category	COUS
Apply to	DP-HAM
Business day phase	Day trade
Pre-conditions	• RBAC profile: CULIQUTE/FE or HAMANATE/FE • Sufficient liquidity on the HAM account at the beginning of the next business day
Description	In ICM user selects 'RTGS, Liquidity, Standing Order Liquidity Transfer, Home Account to RTGS Account' and add/change the amount shown on the screen. Save the change. The second user confirms the action (if 4 eyes).
Expected results	• Check change is taken by re-opening the ICM screen ☐ • At the beginning of the next business day the respective standing order is performed correctly ☐ • *Optional:* MT900/910 received Comment :
References	UDFS I/2.3.1.1, II/14.2.3.1,2, ICM UDFS IV/6.7.9 ModifyStandingOrder I/6.1.2.4.1 <camt.024.001.02>

Test ID	**IOP-HAM-320**
Function	Delete automatic account transfer (standing order executed at the beginning of the day) from HAM to PM
Test category	COUS
Apply to	DP-HAM
Business day phase	Day trade
Pre-conditions	• RBAC profile: CULIQUTE/FE or HAMANATE/FE
Description	In ICM user selects 'RTGS, Liquidity, Standing Order Liquidity Transfer, Home Account to RTGS Account' and remove/delete the amount shown on the screen. Save the change. The second user confirms the action (if 4 eyes).
Expected results	• Check change is taken by re-opening the ICM screen ☐ • At the beginning of the next business day no standing order is performed ☐ Comment :
References	UDFS I/2.3.1.1, II/14.2.3.1,2, ICM I/6.1.2.4.1 UDFS IV/6.7.9 ModifyStandingOrder <camt.024.001.02>

Annexes

Test ID	**IOP-HAM-410**
Function	Sending of a liquidity transfer from HAM to PM (same participant) via ICM during the day
Test category	COUS
Apply to	DP-HAM
Business day phase	Day trade
Pre-conditions	• RBAC profile: HAMANATE/FE • Sufficient liquidity on the HAM account
Description	In ICM the user selects 'HAM, Liquidity, Current liquidity', takes the respective HAM account (if there are different HAM accounts) and via the button 'Liquidity transfer' initiates a liquidity transfer from the HAM to the RTGS account. The second user confirms the action (if 4 eyes).
Expected results	• Settlement of the liquidity transfer (check via ICM) ☐ • Optional: MT900/910 received ☐ Comment :
References	UDFS I/2.3.1.2, II/12.1.4, II.14.2.3.1.3, ICM I/6.2.2.1 UDFS IV/6.7.7 LiquidityCreditTransfer <camt.050.001.01>

Annexes

Test ID	**IOP-HAM-420**
Function	Sending of an interbank transfer from HAM to PM (different participant) via ICM during the day
Test category	COUS
Apply to	DP-HAM
Business day phase	Day trade
Pre-conditions	• RBAC profile: HAMANATE/FE • Sufficient liquidity on the HAM account
Description	In ICM the user selects 'HAM, Liquidity, Current liquidity', takes the respective HAM account (if there are different HAM accounts) and via the button 'Liquidity transfer (other accounts)' initiates an interbank transfer from the HAM account to the RTGS account to be defined in the pop-up screen. The second user confirms the action (if 4 eyes).
Expected results	• Settlement of the liquidity transfer (check via ICM) ☐ • Optional: MT900/910 received ☐ Comment :
References	UDFS II/12.1.4, II.14.2.3.1.3, ICM UDFS IV/6.7.7 LiquidityCreditTransfer I/6.2.2.2.1 <camt.050.001.01>

Annexes

Test ID	**IOP-HAM-430**
Function	Receipt of a liquidity transfer from PM to HAM (same participant) via ICM during the day
Test category	COUS
Apply to	DP-HAM
Business day phase	Day trade
Pre-conditions	• RBAC profile: CULIQUTE/FE • Sufficient liquidity on the RTGS (PM) account
Description	In ICM the user selects 'HAM, Liquidity, Current liquidity', takes the respective HAM account (if there are different HAM accounts) and via the button 'Liquidity transfer' initiates a liquidity transfer from the RTGS account to the HAM account. The second user confirms the action (if 4 eyes).
Expected results	• Settlement of the liquidity transfer (check via ICM) ☐ • Optional: MT900/910 received ☐ Comment :
References	UDFS I/2.3.1.2, II/12.1.4, II.14.2.3.1.3, ICM I/6.2.2.1 UDFS IV/6.4.14 LiquidityCreditTransfer <camt.050.001.01>

Annexes

Test ID	**IOP-HAM-450**
Function	Sending of a liquidity transfer from HAM to PM (same participant) via MT202 during the day
Test category	COUS
Apply to	DP-HAM
Business day phase	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for check via ICM) • Sufficient liquidity on the HAM account
Description	The user generates and sends an HAM interbank payment (simplified MT202) with all mandatory fields in favour of the own PM account.

Specific details of the message:

Field	Description
V-shape message, no TGT in field 103 of the user header	
Sender	participant's HAM test BIC
Receiver	TRGTXEH0XXX
113 (header)	banking priority NNNN
57A:	BIC of home CB
58A:	participant's PM test BIC

Expected results	• Settlement of the liquidity transfer (check via ICM) ☐ • Optional: MT900/910 received ☐

Comment :

References	UDFS I/2.6.2.2.3, II/12.1.4, II.14.1.1.1 - and II.14.1.2

Annexes

Test ID	**IOP-HAM-460**
Function	Receipt of a liquidity transfer from PM to HAM (same participant) via MT202 during the day
Test category	COUS
Apply to	DP-HAM
Business day phase	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for check via ICM) • Sufficient liquidity on the PM account
Description	The user generates and sends an interbank payment (simplified MT202) with all mandatory fields in favour of the own HAM account. Specific details of the message:

Field	Description
Y-copy message, TGT in field 103 of the user header	
Sender	participant's PM test BIC
Receiver	TRGTXEP0HAM
113 (header)	banking priority, first character N
First of 56A, 57A or 58A:	test BIC of own HAM account

Expected results	• Settlement of the interbank transfer (check via ICM) ☐ • Optional: MT012 received ☐ Comment :
References	UDFS I/2.6.2.1.3, II/12.1.4, II.14.1.1.1 - and II.14.1.2

Test ID	**IOP-HAM-610**
Function	Sending of a liquidity transfer from HAM to PM (same participant) via ICM during the day, initiated by a co-manager
Test category	COUS
Apply to	CoMgr
Business day phase	Day trade
Pre-conditions	• RBAC profile: CUCOMATE/FE • Sufficient liquidity on the HAM account
Description	In ICM the co-manager selects 'HAM, Liquidity, Current liquidity', takes the respective co-managed HAM account (if there are different HAM accounts) and via the button 'Liquidity transfer' initiates a liquidity transfer from the comnanaged HAM account to the RTGS account. The second user confirms the action (if 4 eyes).
Expected results	• Settlement of the liquidity transfer (check via ICM) ☐ • Optional: MT900/910 received ☐ Comment :
References	UDFS I/2.3.1.2, II/12.1.4, II.14.2.3.1.3, ICM I/6.2.2.1 UDFS IV/6.7.7 LiquidityCreditTransfer <camt.050.001.01>

Annexes

Test ID	**IOP-HAM-620**
Function	Sending of an interbank transfer from HAM to PM (different participant) via ICM during the day, initiated by a co-manager
Test category	COUS
Apply to	CoMgr
Business day phase	Day trade
Pre-conditions	• RBAC profile: CUCOMATE/FE • Sufficient liquidity on the HAM account
Description	In ICM the user acting as co-manager selects *'HAM, Liquidity, select co-managed participants'*, takes the respective co-managed HAM account (if there are different HAM/co-managed accounts) and via the button 'Liquidity transfer (other accounts)' initiates an interbank transfer from the co-managed HAM account to the RTGS account to be defined in the pop-up screen. The second user confirms the action (if 4 eyes).
Expected results	• Settlement of the liquidity transfer (check via ICM) ☐ • Optional: MT900/910 received ☐ Comment :
References	UDFS II/12.1.4, II.14.2.3.1.3, ICM I/6.2.2.2.1 UDFS IV/6.7.7 LiquidityCreditTransfer <camt.050.001.01>

Annexes

Test ID	**IOP-HAM-630**
Function	Sending of an liquidity transfer from PM to HAM (same participant) via ICM during the day, initiated by a co-manager
Test category	COUS
Apply to	CoMgr
Business day phase	Day trade
Pre-conditions	• RBAC profile: CUCOMATE/FE • Sufficient liquidity on the RTGS (PM) account
Description	In ICM the co-manager selects 'HAM, Liquidity, Current liquidity', takes the respective co-managed HAM account (if there are different HAM accounts) and via the button 'Liquidity transfer' initiates a liquidity transfer from the RTGS account to the co-managed HAM account. The second user confirms the action (if 4 eyes).
Expected results	• Settlement of the liquidity transfer (check via ICM) ☐ • Optional: MT900/910 received ☐ Comment :
References	UDFS I/2.3.1.2, II/12.1.4, II.14.2.3.1.3, ICM I/6.2.2.1 UDFS IV/6.4.14 LiquidityCreditTransfer <camt.050.001.01>

Annexes

Test ID	**IOP-HAM-690**
Function	Receipt of a customer statement message (MT940) for the co-managed HAM account
Test category	COUS
Apply to	CoMgr
Phase of the business day	end-of-day
Pre-conditions	• previous exchange of payments resulting in debits and credits on the account • Receipt of MT940 requested in the static data
Description	Co-manager receives an MT940.
Expected results	• MT940 is automatically received at the end-of-the-day ☐ • MT940 correctly reflects debits and credits resulting from payment traffic during the day ☐ Comment:
References	UDFS II/14.1.2.2.2.3

Test ID	**IOP-HAM-695**
Function	Receipt of a statement message (MT950) for the co-managed HAM account
Test category	COUS
Apply to	CoMgr
Phase of the business day	end-of-day
Pre-conditions	• previous exchange of payments resulting in debits and credits on the account • Receipt of MT950 requested in the static data
Description	Co-manager receives an MT950.
Expected results	• MT950 is automatically received at the end-of-the-day ☐ • MT950 correctly reflects debits and credits resulting from payment traffic during the day ☐ Comment:
References	UDFS II/14.1.2.2.2.4

Annexes

Test ID	**IOP-HAM-810**
Function	Sending of an customer payment (MT103) to another CB customer (same CB)
Test category	COUS
Apply to	CBC
Business day phase	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for check via ICM) • Sufficient liquidity on the CB customer account
Description	The user generates and sends a customer payment (MT103) with all mandatory fields in favour of another HAM account.

Specific details of the message:

Field	Description
V-shape message, no TGT in field 103 of the user header	
Sender	CB customer's own test BIC
Receiver	TRGTXEC0XccX (cc is replaced by the country code of the CB)
113 (header)	banking priority NNNN
First of 56A or 57A:	test BIC of another HAM account holder as defined by CB

Expected results	• Settlement of the payment (check via ICM) ☐ • Optional: MT900/910 received ☐ Comment :
References	UDFS II/12.1.4, II.14.1.1.1 and - II.14.1.2

Annexes

Test ID	**IOP-HAM-820**
Function	Sending of an customer payment (MT103+) to a non-migrated participant
Test category	COUS
Apply to	CBC
Business day phase	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for check via ICM) • Sufficient liquidity on the CB customer account
Description	The user generates and sends a customer payment (MT103) with all mandatory fields in favour of a non-migrated TARGET participant. Specific details of the message:

Field	Description
V-shape message, no TGT in field 103 of the user header	
Sender	CB customer's own test BIC
Receiver	TRGTXEC0XccX (cc is replaced by the country code of the CB)
113 (header)	banking priority NNNN
First of 56A or 57A:	test BIC of non-migrated participant as defined by CB

Expected results	• Settlement of the payment (check via ICM) ☐ • Optional: MT900/910 received ☐ Comment :
References	UDFS II/12.1.4, II.14.1.1.1 and - II.14.1.2

Annexes

Test ID	**IOP-HAM-830**
Function	Sending of an interbank payment (MT202) to another CB customer (different CB)
Test category	COUS
Apply to	CBC
Business day phase	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for check via ICM) • Sufficient liquidity on the CB customer account
Description	The user generates and sends an interbank payment (simplified MT202) with all mandatory fields in favour of another Cb customer belonging to a different CB. Specific details of the message:

Field	Description
V-shape message, no TGT in field 103 of the user header	
Sender	CB customer's own test BIC
Receiver	TRGTXEC0XccX (cc is replaced by the country code of the CB)
113 (header)	banking priority NNNN
58A:	test BIC of CB customer belonging to another CB as defined by home CB

Expected results	• Settlement of the interbank payment (check via ICM) ☐ • Optional: MT900/910 received ☐ Comment :
References	UDFS II/12.1.4, II.14.1.1.1 and - II.14.1.2

Annexes

Test ID	**IOP-HAM-840**
Function	Sending of an interbank payment (MT202) to PM (different participant, same CB)
Test category	COUS
Apply to	CBC
Business day phase	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for check via ICM) • Sufficient liquidity on the CB customer account
Description	The user generates and sends an interbank payment (simplified MT202) with all mandatory fields in favour of an PM account.

Specific details of the message:

Field	Description
V-shape message, no TGT in field 103 of the user header	
Sender	CB customer's own test BIC
Receiver	TRGTXEC0XccX (cc is replaced by the country code of the CB)
113 (header)	banking priority NNNN
58A:	test BIC of another PM participant as defined by CB

Expected results	• Settlement of the interbank transfer (check via ICM) ☐ • Optional: MT900/910 received ☐

Comment :

References	UDFS II/12.1.4, II.14.1.1.1 and - II.14.1.2

Annexes

Test ID	**IOP-HAM-850**
Function	Receipt of a customer payment (MT103+) from another CB customer (same CB)
Test category	COUS
Apply to	CBC
Business day phase	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for check via ICM)
Description	The user requests the respective CB simulating another CB customer to send a customer payment (MT103+) with all mandatory fields.

Specific details of the message received:

Field	Description
V-shape message, no TGT in field 103 of the user header	
Sender	TRGTXEC0XccX (cc is replaced by the country code of the CB)
Receiver	CB customer's test BIC
113 (header)	banking priority NNNN
58A:	CB customer's test BIC

Expected results	• MT103+ received and processed correctly ☐ • user's account credited ☐ • Optional: MT900/910 received ☐ Comment :
References	UDFS II/12.1.4, II.14.1.1.1 and - II.14.1.2

Annexes

Test ID	**IOP-HAM-860**
Function	Receipt of a customer payment (MT103) from a PM participant (same CB)
Test category	COUS
Apply to	CBC
Business day phase	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for check via ICM)

Description

The user requests the respective CB simulating a PM account holder to send a customer payment (MT103) with all mandatory fields.

Specific details of the message received:

Field	Description
V-shape message, no TGT in field 103 of the user header	
Sender	TRGTXEC0XccX (cc is replaced by the country code of the CB)
Receiver	CB customer's test BIC
113 (header)	banking priority NNNN
58A:	CB customer's test BIC

Expected results

- MT103 received and processed correctly ☐

- user's account credited ☐

- Optional: MT900/910 received ☐

Comment :

References

UDFS II/12.1.4, II.14.1.1.1 and -
II.14.1.2

Test ID	**IOP-HAM-870**
Function	Receipt of an interbank transfer (MT202 from another CB customer (same CB)
Test category	COUS
Apply to	CBC
Business day phase	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for check via ICM)
Description	The user requests the respective CB simulating another CB customer to send an interbank payment (MT202) with all mandatory fields.

Description (continued):

Specific details of the message received:

Field	Description
V-shape message, no TGT in field 103 of the user header	
Sender	TRGTXEC0XccX (cc is replaced by the country code of the CB)
Receiver	CB customer's test BIC
113 (header)	banking priority NNNN
58A:	CB customer's test BIC

Expected results

- MT202 received and processed correctly ☐

- user's HAM account credited ☐

- Optional: MT900/910 received ☐

Comment :

References	UDFS II/12.1.4, II.14.1.1.1 and - II.14.1.2

Annexes

Test ID	**IOP-HAM-880**
Function	Receipt of an interbank transfer (MT202) from a non-migrated participant
Test category	COUS
Apply to	CBC
Business day phase	Day trade
Pre-conditions	• RBAC profile: at least CUINFOTE (for check via ICM)
Description	The user requests the respective CB to initiate the sending of an interbank payment (MT202) from a non-migrated participant with all mandatory fields.

Specific details of the message received:

Field	Description
V-shape message, no TGT in field 103 of the user header	
Sender	TRGTXEC0XccX (cc is replaced by the country code of the CB)
Receiver	CB customer's test BIC
113 (header)	banking priority NNNN
58A:	CB customer's test BIC

Expected results

• MT202 received and processed correctly ☐

• user's HAM account credited ☐

• Optional: MT900/910 received ☐

Comment :

References UDFS II/12.1.4, II.14.1.1.1 and - II.14.1.2

Test ID	**IOP-HAM-890**
Function	Receipt of a customer statement message (MT940) for the CB customer account
Test category	COUS
Apply to	CBC
Phase of the business day	end-of-day
Pre-conditions	• previous exchange of payments resulting in debits and credits on the account • Receipt of MT940 requested in the static data
Description	User receives an MT940.
Expected results	• MT940 is automatically received at the end-of-the-day ☐ • MT940 correctly reflects debits and credits resulting from payment traffic during the day ☐ Comment:
References	UDFS II/14.1.2.2.2.3

Annexes

Test ID	**IOP-HAM-895**
Function	Receipt of a statement message (MT950) for the CB customer account
Test category	COUS
Apply to	CBC
Phase of the business day	end-of-day
Pre-conditions	• previous exchange of payments resulting in debits and credits on the account • Receipt of MT950 requested in the static data
Description	User receives an MT950.
Expected results	• MT950 is automatically received at the end-of-the-day ☐ • MT950 correctly reflects debits and credits resulting from payment traffic during the day ☐ Comment:
References	UDFS II/14.1.2.2.2.4

Annexes

Test ID	**IOP-SF-110**
Function	Funds placed on overnight deposit via ICM
Test category	COCB
Apply to	DP
Business day phase	End-of-day
Pre-conditions	• RBAC profile: CULIQUTE/FE • Sufficient liquidity on the PM/HAM account
Description	In ICM user selects 'Services, Standing Facilities, Overnight deposits', and opens via the 'Liquidity transfer' button a pop-up screen, where the amount to be moved from the PM/HAM account to the overnight deposit account needs to be keyed-in. Save the change. The second user confirms the action (if 4 eyes).
Expected results	• Settlement of the internal direct debit (check via ICM) ☐ • Optional: MT900 received ☐ REMARK: Repay of funds and interest will take place automatically at the start of the next business day Comment :
References	UDFS II/12.3.1, ICM 6.3.2.1 UHB IV/6.8.3, LiquidityCreditTransfer (camt.050.001.01)

Annexes

Test ID	**IOP-SF-120**
Function	Reversion of funds placed on overnight deposit via ICM
Test category	COCB
Apply to	DP
Business day phase	End-of-day
Pre-conditions	• RBAC profile: CULIQUTE/FE • Previous move of funds to the overnight deposit account (IOP-SF-110)
Description	In ICM user selects 'Services, Standing Facilities, Overnight deposits', and opens via the 'Liquidity transfer' button a pop-up screen, where the amount to be returned from the overnight deposit account to the PM/HAM account needs to be keyed-in. In addition, the direction has to be changed (from Overnight deposit account to PM/HAM account). Save the change. The second user confirms the action (if 4 eyes).
Expected results	• Settlement of the internal transfer (check via ICM) ☐ • Optional: MT910 received ☐ Comment :
References	UDFS II/12.3.1, ICM 6.3.2.1 UHB IV/6.8.3, LiquidityCreditTransfer (camt.050.001.01)

Annexes

Test ID	**IOP-SF-210**
Function	Automatic recourse to the marginal lending facility
Test category	COCB
Apply to	DP
Business day phase	End-of-day
Pre-conditions	• RBAC profile: CULIQUTE/FE • Intraday credit (at least partially) not returned
Description	In an automatic process, if the credit institution is endorsed to access the marginal lending facilities, the respective actions are taken by the CB and, following the debit of the marginal lending account, the PM account is credited.
Expected results	• Settlement of the internal transfer (check via ICM) ☐ • Optional: MT910 received ☐ REMARK: Debit of funds and interest on PM account will take place automatically at the start of the next business day. Comment :
References	UDFS II/12.3.1, ICM 6.3.2.1 UHB IV/6.8.3, LiquidityCreditTransfer (camt.050.001.01)

Test ID	**IOP-AS-110**
Function	**Liquidity Transfer initiated by AS** (Integrated model) - optional mechanism "Scheduled Time" and "Settlement period" (not relevant to mirror account) may be used
Test category	COUS (ANC1)
Apply to	Ancillary system using procedure 1 – SB participating in AS procedure1
Business day phase	Day trade
Pre-conditions	Correct set-up of static data for AS and Settlement Bank(s), mirror account - sufficient funds/overdraft available
Description	AS sends correct filled in ASTransferInitiation (XML) with all mandatory fields and possibly optional field filled in - Successful settlement of liquidity transfer (AS
Expected results	Mirror account of AS debited ☐ Account of SB credited ☐ ASInitiationStatus with GroupStatus ACSC returned to AS ☐ MT202 sent to SB ☐ Comments:
References	UDFS I/2.8.2.1, 2.8.2.6; IV/5.6

Test ID	**IOP-AS-210**
Function	**Real Time Settlement** - bilateral balances - optional mechanisms "Scheduled Time "and "Settlement period" may be used
Test category	COUS (ANC2)
Apply to	AS using procedure 2 – SB participating in AS procedure 2
Business day phase	Day trade
Pre-conditions	Correct set-up of static data for AS and Settlement Bank(s) Debit/credit notification for SBs is enabled for some SBs, disabled for others Sufficient funds/overdraft available
Description	AS sends an ASTransferInitiation to debit SB and credit SB
Expected results	Debit RTGS account SB. ☐ Credit RTGS account SB ☐ AS receives ASInitiationStatus with GroupStatus ACSC returned to AS ☐ *Optional:* Relevant SBs will receive debit notifications (MT900) sent ☐ *Optional:* Relevant SBs will receive credit notifications (MT910) sent ☐ Comments:
References	UDFS I/2.8.2.2, 2.8.2.6; IV/5.6 ICM I 5.6

Annexes

Test ID	**IOP-AS-220**
Function	**Real Time Settlement via technical account**- multilateral balances - optional connected mechanisms 'Scheduled Time ' and 'Settlement Period' may be included
Test category	COUS
	(ANC2) Conditional to the AS's choice to settle via its technical account
Apply to	AS using procedure 2 via technical account - SB participating in AS procedure 2
Business day phase	Day trade
Pre-conditions	Correct set-up of static data for AS, Settlement Bank(s) and AS technical account
	Debit/credit notification for SBs is enabled for some SBs, disabled for others
	Sufficient funds/overdraft available
Description	AS sends an ASTransferInitiation - one account is a Settlement Bank's RTGS account, the other account the AS technical account
	AS should send to SSP first individual debit transactions (to be credited on the AS technical account) and then (after all debits are settled) individual credit transactions (to be debited on the AS technical account) -
Expected results	Debit RTGS account SB credit AS technical account. ☐
	Debit AS technical account credit RTGS account SB. ☐
	ASInitiationStatus with GroupStatus ACSC returned to AS ☐
	Optional: Relevant SBs will receive debit notifications (MT900) sent ☐
	Optional: Relevant SBs will receive credit notifications (MT910) sent ☐
	Comments:
References	UDFS I/2.8.2.2, 2.8.2.6; IV/5.6 ICM I 5.6

Test ID	**IOP-AS-310**
Function	**Bilateral Settlement (batch)** – bilateral balances on RTGS accounts - optional connected mechanisms 'Info Period' (SB may disagree) and 'Settlement Period' may be included
Test category	COUS (ANC3)
Apply to	AS using procedure 3 - SBs participating in AS procedure 3
Business day phase	Day trade
Pre-conditions	Correct set-up of static data for AS and Settlement Bank(s) Debit/credit notification for SBs is enabled for some SBs, disabled for others Sufficient funds/overdraft available No « disagreement » of SB
Description	AS sends an ASTransferInitiation with a file containing all transactions to be debited to the RTGS SB account and to be credited to the RTGS SB account. After 5 minutes the same file is sent again.
Expected results	Broadcast notification sent to SBs on start of the info period ☐ Debit RTGS account SB ☐ Credit RTGS account SB ☐ ASInitiationStatus with GroupStatus ACSC returned to AS and pertaining the entire set of AS transactions with a list of single positions (debits and credits) and their results = ACSC returned to AS. ☐ *Optional:* Relevant SBs will receive debit notifications (MT900) sent ☐ *Optional:* Relevant SBs will receive credit notifications (MT910) sent ☐ AS is able to resend exactly the same file ☐ Comments:
References	UDFS I/2.8.2.2, 2.8.2.6; IV/5.6 ICM I 5.6

Annexes

Test ID	**IOP-AS-315 Partly successful settlement**
Function	**Bilateral Settlement (batch) partly successful settlement** – bilateral balances on RTGS accounts - optional connected mechanisms 'Info Period' (SB may disagree) and 'Settlement Period' may be included
Test category	COUS (ANC3)
Apply to	AS using procedure 3 - SBs participating in AS procedure 3
Business day phase	Day trade
Pre-conditions	Correct set-up of static data for AS and Settlement Bank(s) Debit/credit notification for SBs is enabled for some SBs, disabled for others Sufficient funds/overdraft available SB « disagrees »on one or more transactions
Description	AS sends an ASTransferInitiation with a file containing all transactions to be debited to the RTGS SB account and to be credited to the RTGS SB account. After 5 minutes the same file is sent again.
Expected results	Broadcast notification sent to SBs on the start of the info period ☐ CB revokes the :"disagreed" transaction ☐ ASInitiationStatus with GroupStatus PART returned to AS and pertaining the entire set of AS transactions with a list of single positions (debits and credits) and their results = ACSC returned to AS and for the disagreed transaction(s) RJDA. ☐ Debit RTGS account SB ☐ Credit RTGS account SB ☐ *Optional:* Relevant SBs will receive debit notifications (MT900) sent ☐ *Optional:* Relevant SBs will receive credit notifications (MT910) sent ☐ The AS and the relevant settlement bank are informed on the settlement failure with a broadcast notification via ICM. ☐ AS is able to resend exactly the same file ☐ Comments:
References	UDFS I/2.8.2.2, 2.8.2.6; IV/5.6 ICM I 5.6

Test ID	**IOP-AS-320**
Function	**Bilateral Settlement (batch) via technical account** – multilateral balances via technical account - optional connected mechanisms 'Info Period' (SB may disagree) and 'Settlement Period' may be included
Test category	COUS
	(ANC3) - Conditional to the AS's choice to settle via its technical account
Apply to	AS using procedure 3 - SBs participating in AS procedure 3
Business day phase	Day trade
Pre-conditions	Correct set-up of static data for AS, Settlement Bank(s) and technical account
	Debit/credit notification for SBs is enabled for some SBs, disabled for others
	Sufficient funds/overdraft available
	No « disagreement » of SB
Description	AS sends an ASTransferInitiation with a file containing all transactions -one account is a Settlement Bank's RTGS account, the other account the AS technical account
	AS should send to SSP first individual debit transactions (to be credited on the AS technical account) and then (after all debits are settled) individual credit transactions (to be debited on the AS technical account).
	After 5 minutes the same file is sent again.
Expected results	Broadcast notification sent to SBs on the start of the info period ☐
	Debit RTGS account SB and credit AS technical account ☐
	Debit AS technical account SB and credit RTGS account SB ☐
	ASInitiationStatus with GroupStatus ACSC returned to AS and pertaining the entire set of AS transactions with a list of single positions (debits and credits) and their results = ACSC returned to AS. ☐
	Optional: Relevant SBs will receive debit notifications (MT900) sent ☐
	Optional: Relevant SBs will receive credit notifications (MT910) sent ☐
	AS is able to resend exactly the same file ☐
	Comments:
References	UDFS I/2.8.2.2, 2.8.2.6; IV/5.6 ICM I 5.6

Test ID	**IOP-AS-325 Unsuccessful settlement**
Function	**Bilateral Settlement (batch) unsuccessful settlement** – multilateral balances via technical account - optional connected mechanisms 'Info Period' (SB may disagree) and 'Settlement Period' may be included
Test category	COUS
	(ANC3) - Conditional to the AS's choice to settle via its technical account
Apply to	AS using procedure 3 - SBs participating in AS procedure 3
Business day phase	Day trade
Pre-conditions	Correct set-up of static data for AS, Settlement Bank(s) and technical account
	Debit/credit notification for SBs is enabled for some SBs, disabled for others
	Sufficient funds/overdraft available
	SB « disagrees " on one or more transactions
Description	AS sends an ASTransferInitiation with a file containing all transactions -one account is a Settlement Bank's RTGS account, the other account the AS technical account
	AS should send to SSP first individual debit transactions (to be credited on the AS technical account) and then (after all debits are settled) individual credit transactions (to be debited on the AS technical account).
	After 5 minutes the same file is sent again.
Expected results	Broadcast notification sent to SBs on the start of the info period ☐
	SB disagrees on one or more payments the whole file is revoked by relevant CB ☐
	ASInitiationStatus with GroupStatus RJDA returned to AS. ☐
	No debiting or crediting takes place ☐
	All settlement banks and the AS are informed via ICM broadcast about the settlement failure caused by the disagreement ☐
	AS is able to resend exactly the same file ☐
	Comments:
References	UDFS I/2.8.2.2, 2.8.2.6; IV/5.6 ICM I 5.6

Annexes

Test ID	**IOP-AS-330**
Function	**Bilateral Settlement (batch) via mirror account** – multilateral balances via mirror account - optional connected mechanisms 'Info Period' (SB may disagree) and 'Settlement Period' may be included
Test category	COUS
	(ANC3) - Conditional to the AS's choice to settle via its mirror account
Apply to	AS using procedure 3 - SBs participating in AS procedure 3
Business day phase	Day trade
Pre-conditions	Correct set-up of static data for AS, Settlement Bank(s) and mirror account
	Debit/credit notification for SBs is enabled for some SBs, disabled for others
	Sufficient funds/overdraft available
	No « disagreement » of SB
Description	AS sends an ASTransferInitiation with a file containing all transactions – one account is the RTGS SB account and the other account is the mirror account.
	AS should send to SSP first individual debit transactions (to be credited on the mirror account) and then (after all debits are settled) individual credit transactions (to be debited on the mirror account).
	After 5 minutes the same file is sent again
Expected results	Broadcast notification sent to SBs on the start of the info period ☐
	Debit RTGS account SB and credit mirror account ☐
	Debit mirror account credit RTGS account SB ☐
	ASInitiationStatus with GroupStatus ACSC and pertaining the entire set of AS transactions with a list of single positions (debits and credits) and their results = ACSC returned to AS. returned to AS ☐
	Optional: Relevant SBs will receive debit notifications (MT900) sent ☐
	Optional: Relevant SBs will receive credit notifications (MT910) sent ☐
	AS is able to resend exactly the same file ☐
	Comments:
References	UDFS I/2.8.2.2, 2.8.2.6; IV/5.6 ICM I 5.6

Annexes

Test ID	**IOP-AS-335 Unsuccessful settlement**
Function	**Bilateral Settlement (batch) via mirror account unsuccessful settlement** – multilateral balances via mirror account - optional connected mechanisms 'Info Period' (SB may disagree) and 'Settlement Period' may be included
Test category	COUS (ANC3) - Conditional to the AS's choice to settle via its mirror account
Apply to	AS using procedure 3 - SBs participating in AS procedure 3
Business day phase	Day trade
Pre-conditions	Correct set-up of static data for AS, Settlement Bank(s) and mirror account Debit/credit notification for SBs is enabled for some SBs, disabled for others Sufficient funds/overdraft available *SB « disagrees »on one or more transactions*
Description	AS sends an ASTransferInitiation with a file containing all transactions – one account is the RTGS SB account and the other account is the mirror account. AS should send to SSP first individual debit transactions (to be credited on the mirror account) and then (after all debits are settled) individual credit transactions (to be debited on the mirror account). After 5 minutes the same file is sent again.
Expected results	Broadcast notification sent to SBs on the start of the info period ☐ SB disagrees on one or more payments the whole file is revoked by relevant CB ☐ ASInitiationStatus with GroupStatus RJDA returned to AS. ☐ No debiting or crediting takes place ☐ All settlement banks and the AS are informed via ICM broadcast about the settlement failure caused by the disagreement ☐ AS is able to resend exactly the same file ☐ Comments:
References	UDFS I/2.8.2.2, 2.8.2.6; IV/5.6 ICM I 5.6

Annexes

Test ID	**IOP-AS-410**
Function	**Standard Multilateral settlement (batch)** (debits before credits, use of algorithms 1-3) Interfaced model - optional connected mechanisms 'Info Period' (SB may disagree) and 'Settlement Period' and 'guarantee account may be included
Test category	COUS (ANC4)
Apply to	AS using procedure 4 - SBs participating in AS procedure 4
Business day phase	Day trade
Pre-conditions	Correct set-up of static data for AS, Settlement Bank(s) and dedicated AS technical account – guarantee account Debit/credit notification for SBs is enabled for some SBs, disabled for others Sufficient funds/overdraft available No « disagreement » of SB
Description	AS sends an ASTransferInitiation with a file containing all transactions – all accounts are RTGS accounts of settlement banks, against AS Technical account - ASI responsible for storing all balances and for sending debits first and, only when all debit transactions are settled, for processing credits. After 5 minutes the same file is sent again.
Expected results	Broadcast notification sent to SBs on start of the info period ☐ Debit RTGS account SB and credit AS technical account ☐ Debit technical account credit RTGS account SB ☐ ASInitiationStatus with GroupStatus ACSC returned to AS ☐ *Optional:* Relevant SBs will receive debit notifications (MT900) sent ☐ *Optional:* Relevant SBs will receive credit notifications (MT910) sent ☐ AS is able to resend exactly the same file ☐ Comments:
References	UDFS I/2.8.2.2, 2.8.2.6; IV/5.6 ICM I 5.6

Annexes

Test ID	**IOP-AS-415 Unsuccessful settlement**
Function	**Standard Multilateral settlement (batch) unsuccessful settlement** (debits before credits, use of algorithms 1-3) Interfaced model - optional connected mechanisms 'Info Period' (SB may disagree) and 'Settlement Period' and 'guarantee account may be included
Test category	COUS (ANC4)
Apply to	AS using procedure 4 - SBs participating in AS procedure 4
Business day phase	Day trade
Pre-conditions	Correct set-up of static data for AS, Settlement Bank(s) and dedicated AS technical account – guarantee account Debit/credit notification for SBs is enabled for some SBs, disabled for others Sufficient funds/overdraft available *SB « disagrees »on one or more transactions*
Description	AS sends an ASTransferInitiation with a file containing all transactions – all accounts are RTGS accounts of settlement banks, against AS Technical account - ASI responsible for storing all balances and for sending debits first and, only when all debit transactions are settled, for processing credits. After 5 minutes the same file is sent again.
Expected results	Broadcast notification sent to SBs on start of the info period ☐ SB disagrees on one or more payments the whole file is revoked by relevant CB ☐ ASInitiationStatus with GroupStatus RJDA returned to AS. ☐ No debiting or crediting takes place ☐ All settlement banks and the AS are informed via ICM broadcast about the settlement failure caused by the disagreement ☐ AS is able to resend exactly the same file ☐ Comments:
References	UDFS I/2.8.2.2, 2.8.2.6; IV/5.6 ICM I 5.6

Annexes

Test ID	**IOP-AS-510**
Function	**Simultaneous multilateral settlement** (batch) (use of algorithm 4)) Interfaced model - optional connected mechanisms 'Info Period' (SB may disagree) and 'Settlement Period' and 'guarantee account may be included
Test category	COUS (ANC5)
Apply to	AS using procedure 5 - SBs participating in AS procedure 5
Business day phase	Day trade
Pre-conditions	Correct set-up of static data for AS, Settlement Bank(s) and dedicated AS technical account – guarantee account
	Debit/credit notification for SBs is enabled for some SBs, disabled for others
	Sufficient funds/overdraft available
	No « disagreement » of SB
Description	AS sends an ASTransferInitiation with a file containing all transactions – all accounts are RTGS accounts of settlement banks, against AS Technical account -All transactions of the AS are settled at once ("all or nothing") Debits and credits are jointly sent to waiting queue and optimisation process starts (algorithm 4) (during run of algorithm 4 limits are checked).
	After 5 minutes the same file is sent again.
Expected results	Broadcast notification sent to SBs on start of the info period ☐
	Debit RTGS account SB and credit AS technical account ☐
	Debit technical account credit RTGS account SB ☐
	ASInitiationStatus with GroupStatus ACSC returned to AS ☐
	Optional: Relevant SBs will receive debit notifications (MT900) sent ☐
	Optional: Relevant SBs will receive credit notifications (MT910) sent ☐
	AS is able to resend exactly the same file ☐
	Comments:
References	UDFS I/2.8.2.2, 2.8.2.6; IV/5.6 ICM I 5.6

Annexes

Test ID	**IOP-AS-515 Unsuccessful settlement**
Function	**Simultaneous multilateral settlement (batch) unsuccessful settlement** (use of algorithm 4)) Interfaced model - optional connected mechanisms 'Info Period' (SB may disagree) and 'Settlement Period' and 'guarantee account may be included
Test category	COUS (ANC5)
Apply to	AS using procedure 5 - SBs participating in AS procedure 5
Business day phase	Day trade
Pre-conditions	Correct set-up of static data for AS, Settlement Bank(s) and dedicated AS technical account – guarantee account
	Debit/credit notification for SBs is enabled for some SBs, disabled for others
	Sufficient funds/overdraft available
	SB « disagrees »on one or more transactions
Description	AS sends an ASTransferInitiation with a file containing all transactions – all accounts are RTGS accounts of settlement banks, against AS Technical account -All transactions of the AS are settled at once ("all or nothing") Debits and credits are jointly sent to waiting queue and optimisation process starts (algorithm 4) (during run of algorithm 4 limits are checked).
	After 5 minutes the same file is sent again.
Expected results	Broadcast notification sent to SBs on start of the info period ☐
	SB disagrees on one or more payments the whole file is revoked by relevant CB ☐
	ASInitiationStatus with GroupStatus RJDA returned to AS. ☐
	No debiting or crediting takes place ☐
	All settlement banks and the AS are informed via ICM broadcast about the settlement failure caused by the disagreement ☐
	AS is able to resend exactly the same file ☐
	Comments:
References	UDFS I/2.8.2.2, 2.8.2.6; IV/5.6 ICM I 5.6

Annexes

Test ID	**IOP-AS-610**
Function	**Settlement with dedicated liquidity - interfaced model - daylight business:** AS opens the settlement procedure and settlement cycle, sends a transaction file and closes the cycle and the procedure
Test category	COUS (ANC6)
Apply to	AS using procedure 6 for daylight interfaced settlement
Business day phase	Day trade
Pre-conditions	**General:** Correct set-up of static data for AS and Settlement Bank(s) – sufficient funds/overdraft available on relevant accounts - Debit/credit notification for SBs is enabled for some SBs, disabled for others **For Start of Procedure:** SSP/ASI open for daylight processing – Standing orders have been prepared **For Start of Cycle:** Successful start of procedure for daylight interfaced settlement **For Settlement:** Successful start of cycle for daylight business (interfaced model) **For End of Cycle:** Successful start of cycle for daylight business (interfaced model) **For End of Procedure:** Successful end-of-cycle for daylight interfaced settlement
Description	**Start of Procedure:** AS sends message "ReturnGeneralBusinessInformation" to ASI where tag "Sbjt" contains "DAY-PROC-OPEN" " – SBs send payments and current orders to credit sub-accounts **Start of Cycle:** AS sends message "ReturnGeneralBusinessInformation" to ASI where tag "Sbjt" contains "DAY-CYCL-OPEN" - SBs send payments and current orders to credit sub-accounts **Settlement:** AS sends a correct message "ASTransferInitiation" to ASI (with tag "Code" equal to "SET") with a file containing three types of transactions (debit subaccount – credit AS technical account; debit AS technical account – credit subaccount; debit AS technical account credit RTGS account) and with sufficient funds on all subaccounts. After 5 minutes the same file is sent again. **End of Cycle:** AS sends a message "ReturnGeneralBusinessInformation" to ASI where tag "Sbjt" contains "DAY-CYCL-CLOS" – SBs send payments and current orders to credit sub-accounts **End of Procedure:** AS sends a message "ReturnGeneralBusinessInformation" where tag "Sbjt" contains "DAY-PROC-CLOSE"

Expected results

Start of Procedure:

Start-Of-Procedure is confirmed to AS via message "ReturnGeneralBusinessInformation" ☐

Payments to credit sub-accounts are immediately executed, AS not notified ☐

Standing orders are executed in decreasing order of amount or, in case of insufficient liquidity, rejected ☐

Current orders are immediately executed or (in case of insufficient liquidity rejected) ☐

AS will receive individual notifications via message "ReturnAccount" ☐

Optional: Relevant SBs receive debit notifications (MT900) on the RTGS accounts ☐

Optional: Relevant SBs receive credit notifications (MT910) on the subaccounts ☐

Comments:

==

Start of Cycle:

AS receives a message "ReturnAccount" to confirm the amount actually blocked ☐

Payments received to credit subaccounts are immediately executed ☐

In case of insufficient liquidity, payments are queued; AS not notified ☐

Current orders are not executed, but stored until End-of-Cycle ☐

Optional: Relevant SBs receive debit notifications (MT900) on the RTGS accounts only stemming from the execution of payment, not the current orders because these are queued ☐

Optional: Relevant SBs receive credit notifications (MT910) on the subaccounts only stemming from the execution of payment, not the current orders because these are queued ☐

Comments:

==

Settlement:

All settlement transactions are executed as instructed ☐

AS receives a notification via message "ASInitiationStatus" with tag "TxSts" equal to "ACSC" for all transactions ☐

Optional: Relevant SBs receive debit and credit confirmations (MT900/910) for all settlement transactions on their subaccounts and RTGS accounts ☐

AS is able to resend exactly the same file ☐

Comments:

==

End of Cycle:

ASI notifies AS of release of funds via message "ReturnGeneralBusinessInformation" where the tag "BizInfRef" contains the same value as in the message sent by the AS ☐

Payments to credit sub-accounts are immediately executed, AS not notified ☐

Current orders to credit sub-accounts are immediately executed or (in case of insufficient liquidity rejected) ☐

AS receives individual notifications for the current orders via message "ReturnAccount" ☐

Comments:

==

End of Procedure:

Liquidity on subaccounts is transferred to RTGS accounts ☐

AS receives individual notificatons via message "ReturnAccount" ☐

Optional: Relevant SBs receive debit confirmations (MT900) on the subaccounts ☐

Optional: Relevant SBs receive credit confirmations (MT910)on the RTGS accounts ☐

Comments:

References UDFS I/2.8.3; IV/5.6   ICM book I, par. 3.3.3 and 5.4.2

Test ID	**IOP-AS-620**
Function	**Settlement with dedicated liquidity - interfaced model – night-time business:** AS opens the settlement procedure. AS sends settlement cycle, sends a transaction file and closes the cycle and the procedure
Test category	COUS (ANC6)
Apply to	AS using procedure 6 for night-time interfaced settlement
Business day phase	Night-time
Pre-conditions	**General:** Correct set-up of static data for AS, Settlement Bank(s) and sub-accounts - sufficient funds/overdraft available on relevant accounts - Debit/credit notification for SBs is enabled for some SBs, disabled for others
	For Start of Procedure: SSP/ASI open for night-time processing – Standing orders have been prepared
	For Start of Cycle: Successful start of procedure for night-time interfaced settlement
	For Settlement: Successful start of cycle for night-time business (interfaced model)
	For End of Cycle: Successful start of cycle for night-time business (interfaced model)
	For End of Procedure: Successful end-of-cycle for night-time interfaced settlement
Description	**Start of Procedure:** Start-Of-Procedure is automatically initiated by ASI – AS sends new current orders ("ASTransferInitiation") to credit sub-accounts
	Start of Cycle: AS sends message "ReturnGeneralBusinessInformation" to ASI where tag "Sbjt" contains "OVN-CYCL-OPEN" - AS sends new current orders ("ASTransferInitiation") to credit sub-accounts
	Settlement: AS sends a correct message "ASTransferInitiation" to ASI (with tag "Code" equal to "SET") with a file containing three types of transactions (debit subaccount – credit AS technical account; debit AS technical account – credit subaccount; debit AS technical account credit RTGS account) and with sufficient funds on all subaccounts. After 5 minutes the same file is sent again.
	End of Cycle: AS sends a message "ReturnGeneralBusinessInformation" to ASI where tag "Sbjt" contains "OVN-CYCL-CLOS" – AS sends new current orders ("ASTransferInitiation") to credit sub-accounts
	End of Procedure: AS sends a message "ReturnGeneralBusinessInformation" where tag "Sbjt" contains "OVN-PROC-CLOSE"

Expected results

Start of Procedure:

Start-Of-Procedure is confirmed to AS via message "ReturnGeneralBusinessInformation" ☐

Standing orders are executed in decreasing order of amount or, in case of insufficient liquidity, reduced in a pro-rata mode ☐

AS will receive individual notifications via message "ReturnAccount" ☐

Current orders are immediately executed or (in case of insufficient liquidity executed up to the liquidity available (while the remaining part is not executed) ☐

As will receive individual notifications for the current orders via message "ASInitiationStatus" ☐

Optional: Relevant SBs receive debit notifications (MT900) on the RTGS accounts ☐

Optional: Relevant SBs receive credit notifications (MT910) on the subaccounts ☐

Comments:

===

Start of Cycle:

AS receives a message "ReturnAccount" to confirm the amount actually blocked ☐

New current orders are queued ☐

Comments:

===

Settlement:

All settlement transactions are executed as instructed ☐

AS receives a notification via message "ASInitiationStatus" with tag "TxSts" equal to "ACSC" for all transactions ☐

Optional: Relevant SBs receive debit and credit confirmations (MT900/910) for all settlement transactions on their subaccounts and RTGS accounts ☐

AS is able to resend exactly the same file ☐

Comments:

===

End of Cycle:

ASI notifies AS of release of funds via message "ReturnGeneralBusinessInformation" where the tag "BizInfRef" contains the same value as in the message sent by the AS ☐

Current orders are immediately executed or (in case of insufficient liquidity executed up to the liquidity available (while the remaining part is not executed) ☐

AS receive individual notifications via message "ASInitiationStatus" ☐

Comments:

===

End of Procedure:

Liquidity on subaccounts is transferred to RTGS accounts ☐

AS receives individual notificatons via message "ReturnAccount" ☐

Optional: Relevant SBs receive debit confirmations (MT900) on the subaccounts ☐

Optional: Relevant SBs receive credit confirmations (MT910)on the RTGS accounts ☐

Comments:

References UDFS I/2.8.3; IV/5.6   ICM book I, par. 3.3.3 and 5.4.2

Test ID	**IOP-AS-630**
Function	**Settlement with dedicated liquidity - integrated model - daylight business:** AS opens the settlement procedure, performs all settlement transactions in its own system and closes the procedure
Test category	COUS (ANC6)
Apply to	AS using procedure 6 for daylight integrated settlement
Business day phase	Day trade
Pre-conditions	**General:** Correct set-up of static data for AS, Settlement Bank(s) and mirror account - sufficient funds/overdraft available on relevant accounts - Debit/credit notification for SBs is enabled for some SBs, disabled for others
	For Start of Procedure: SSP/ASI open for daylight processing – Standing orders have been prepared
	For End of Procedure: Successful end-of-cycle for daylight integrated settlement
Description	**Start of Procedure**: AS sends message "ReturnGeneralBusinessInformation" to ASI where tag "Sbjt" contains "DAY-PROC-OPEN" – SBs send payments and current orders to credit mirror account
	End of Procedure: AS sends a message "ReturnGeneralBusinessInformation" where tag "Sbjt" contains "DAY-PROC-CLOSE" - AS sends current orders ("ASTransferInitiation") to debit the mirror account (liquidity withdrawal)
Expected results	**Start of Procedure:** Standing orders are executed in decreasing order or, in case of insufficient liquidity, rejected ☐ Payments to credit mirror accounts are immediately executed, AS not notified ☐ Current orders to credit mirror accounts are immediately executed or (in case of insufficient liquidity rejected) ☐ AS receive individual notifications for the current and standing orders via message "ASTransferNotice" ☐ *Optional:* Relevant SBs will receive debit notifications (MT900) on the RTGS accounts ☐ *Comments:* == **End of Procedure:** Liquidity on mirror account is transferred to RTGS accounts ☐ AS receives individual notificatons via message "ReturnAccount" ☐ *Optional:* Relevant SBs receive credit confirmations (MT910)on the RTGS accounts ☐ *Comments:*
References	UDFS I/2.8.3; IV/5.6 ICM book I, par. 3.3.3 and 5.4.2

Annexes

Test ID	**IOP-AS-640**
Function	**Settlement with dedicated liquidity - integrated model – night-time business:** ASI opens the settlement procedure. AS sends settlement cycle, performs all settlement transactions in its own system and closes the cycle and the procedure
Test category	COUS (ANC6)
Apply to	AS using procedure 6 for night-time integrated settlement
Business day phase	Night-time
Pre-conditions	***General:*** Correct set-up of static data for AS. Settlement Bank(s) and mirror account - sufficient funds/overdraft available on relevant accounts - Debit/credit notification for SBs is enabled for some SBs, disabled for others
	For Start of Procedure: SSP/ASI open for night-time processing – Standing orders have been prepared
	For Start of Cycle: Successful start of procedure for night-time integrated settlement
	For End of Cycle: Successful start of cycle for night-time business (integrated model)
	For End of Procedure: Successful end-of-cycle for night-time integrated settlement
Description	***Start of Procedure***: ASI initiates the Start-Of-Procedure – AS sends new current orders ("ASTransferInitiation") to credit the mirror account
	Start of Cycle: AS sends message "ReturnGeneralBusinessInformation" to ASI where tag "Sbjt" contains "OVN-CYCL-OPEN" AS sends new current orders ("ASTransferInitiation") to credit the mirror account
	End of Cycle: AS sends a message "ReturnGeneralBusinessInformation" to ASI where tag "Sbjt" contains "OVN-CYCL-CLOS" – AS sends new current orders ("ASTransferInitiation") to credit the mirror account
	End of Procedure: AS sends a message "ReturnGeneralBusinessInformation" where tag "Sbjt" contains "OVN-PROC-CLOSE" - AS sends current orders ("ASTransferInitiation") to debit the mirror account (liquidity withdrawal)

*Expected
results*

Start of Procedure:

Start-Of-Procedure is confirmed to AS via message "ReturnGeneralBusinessInformation" ☐

Standing orders are executed in decreasing order of amount or, in case of insufficient liquidity, reduced in a pro-rata mode ☐

AS receive individual notifications for the standing orders via message "ASTransferNotice" ☐

Current orders are immediately executed or (in case of insufficient liquidity executed up to the liquidity available (while the remaining part is not executed) ☐

AS receive individual notifications for the current orders via message "ASInitiationStatus" ☐

Optional: Relevant SBs will receive debit notifications (MT900) on the RTGS accounts ☐

Comments:
===

Start of Cycle:

AS receives a message "ReturnAccount" to confirm the amount actually blocked ☐

In case of insufficient liquidity, payments are queued; AS not notified ☐

Optional: Relevant SBs receive debit notifications (MT900) on the RTGS accounts ☐

Current orders are not executed, but queued ☐

Comments:
===

End of Cycle:

ASI notifies AS of release of funds via message "ReturnGeneralBusinessInformation" where the tag "BizInfRef" contains the same value as in the message sent by the AS ☐

Current orders are immediately executed or (in case of insufficient liquidity executed up to the liquidity available (while the remaining part is not executed) ☐

AS receive individual notifications for the current orders via message "ASInitiationStatus" ☐

Comments:
===

End of Procedure:

Liquidity on mirror account is transferred to RTGS accounts ☐

AS receives individual notificatons via message "ReturnAccount" ☐

Optional: Relevant SBs receive credit confirmations (MT910)on the RTGS accounts ☐

Comments:

References   UDFS I/2.8.3; IV/5.6   ICM book I, par. 3.3.3 and 5.4.2

8.3. Annex 3: Frequently asked questions (FAQ)

Malfunctioning of the SSP:

Q: Who should I initially contact when experiencing malfunctioning of the SSP?

A: Your National Service Desk.

Q: I face a problem with the SSP, which seems to be caused by misbehaviour of the SSP. How do I raise an incident report?

A: If it is related to a certification test case, you just report the test case as not successful (to your CB) and indicate in the report that you expect the error to be on the SSP level.
    If it is related to free testing, then you should use the same form and provide the text FREE in the field identifying the test-ID.

Q: How do I know whether the SSP is available for tests?

A: The availability of the test environment is described in section 1.5. In exceptional cases where the SSP is not available for technical reasons, users will be informed via the T2TRIS.

Migration Group:

Q: When does my country migrate to TARGET2?

A: The composition of country migration groups is listed under chapter 1.2.of the TARGET2 User Testing Guide for Migration (TGT/2006/144).

Certification process:

Q: As future SSP participant, I registered the necessary TARGET2 services with SWIFT. I did also provide the SSP static data forms to the CB, and the SSP user test system is available. What else is to be done before starting the user testing?

A: Just send a free format message via the T2TRIS to the CB to inform them about the day you intend to start your connectivity testing, use the "free text form" for this purpose.

Q: I would like to start my connectivity and interoperability testing. How do I find out whether I can do this and the date/operating hours?

A: Preferably you consult the T2TRIS and check the respective test calendar. There it is specified (per group), which tests are possible for the participants on each TARGET day. In case of National Banking holidays, you should consult your respective Central Bank, since in principle no test support shall be provided on such days.

Q: As SSP participant I would like to initiate some payments, but there is no fund on my account. How to receive funds?

A: Use the "participation and/or support request form". There are specific fields in the form where you can indicate the date and the time when you need the funds on your account. To ensure a timely set-up, it is advisable to send such requests at least one day before you intend to perform the testing.

Q: I have performed all the connectivity tests. How to switch to the interoperability testing?

A: Firstly, there is no technical mean to stop you from starting the interoperability testing. However, to allow the CB to monitor the overall progress you should inform your respective CB when having completed the connectivity testing. Just fill in the "participation and/or support request form", mentioning the test-ID(s) you have performed and the respective result. In case you have non-successful test cases to report, you should provide an individual report, and furnish details on the experienced incident. Successful test cases however, can be combined. There is no need to report them separately.

Q: I need to receive some messages that can only be initiated by the SSP. What do I have to do?

A: Also here, use the "participation and/or support request form" and specify the test case-ID you would like to perform. Your CB will initiate the respective sending of the files to you according your date and requirements. To be able to meet your request, it should reach us at least one day in advance. We will prepare the respective messages and send them to you either at the time defined, or, if requested by you, will keep them available from the time indicated (or when you ask via bilateral contact).

Q: I would require other type of support from you. What do I have to do?

A: In this case, use the "free text form" and specify your needs (e.g. the setting of a specific minimum reserve requirement).

Q: What about test reporting during interoperability testing?

A: This is the same as for connectivity testing. Several successful test cases can be combined and reported in one form, but please provide a dedicated test report form for each unsuccessful test case (use the "participation and/or support request form").

Q: Which are the test cases I need to run as interoperability tests?

A: AS part of the interoperability tests, you need to run all test cases marked as "mandatory - MAND". Additionally, you need to run those marked as "conditional - COUS" which are applicable to you. They might be applicable to you because your CB opted for an optional module or because you opted for an optional feature.

Q: How long running certification tests will take?

A: In principle, and provided you do not face technical problem, it is expected that connectivity tests should not take more than few hours and interoperability tests should not take more than few days.

Q: To whom and how do I report the test results?

A: Test reports shall be sent to your National Central Bank via the T2TRIS.

Q: Can I start certify interoperability tests before certifying connectivity tests?

A: No. The successful completion of connectivity tests is a pre-requisite to the start of interoperability tests.

Q: Do I need to go through a certification process for my subsidiaries that will connect as indirect participant via the Head-Office?

A: Indirect participants are outside of the scope of the TAREGT2 certification. It is left to the direct participant to organise tests with its indirect participants and addressable BICS.

Q: What I am supposed to do with test cases marked "RECO"?

A: Beside mandatory and conditional test cases, Central Banks may propose other tests that users can consider during their testing activities. Strictly speaking they are not compulsory and they are not taken on board for the certification of participants. It is assumed that the running of recommended test cases is increasing the chances that further test phases are completed smoothly.

Free testing:

Q: Do I need to complete all certification tests before I am allowed to test in free testing mode?

A: No, you can start testing in free testing mode even if you have not yet completed all mandatory certification test cases.

Q: Can I exchange payments with another participant in free testing mode?

A: Basically free testing mode allows for any kind of operation. Upon bilateral/multilateral agreement with other TARGET2 users, you can exchange payments with each other.

SWIFTNet:

Q: What is SWIFTNet Browse?

A: SWIFTNet Browse combines the user friendliness of web technology with the security features offered by SWIFTNet. It is based on the "https" internet standard protocol and designed to complement SWIFTNet FileAct and SWIFTNet InterAct. SWIFTNet Browse offers customers the capability to browse remote web servers using the SWIFTAlliance WebStation.

Q: What is SWIFTNet FileAct?

A: SWIFTNet FileAct allows secure and reliable transfer of files and is typically used to exchange batches of structured financial messages and large reports (e.g. bulk payments, intra-institution reporting).

Q: What are SWIFTNet FIN services?

A: FIN services are SWIFT's core store-and-forward messaging services. FIN enables countries to exchange financial data securely, cost effectively and in a reliable way. FIN Copy is a function of the SWIFT network that supports the clearing, netting and settlement of high-value payments and securities-related transactions by enabling instructions to be copied and optionally authorised by a third party before release to the beneficiary.

Q: What is SWIFTNet InterAct?

A: SWIFTNet InterAct can support tailored solutions for market infrastructures, closed user groups and financial institutions. Institutions and communities can exchange messages in an automated and interactive way (an application sends a request message to another application and receives an immediate response message).

Q: Do I need to migrate to SWIFTNet Phase 2 before starting TARGET2 testing activities?

Annexes

A: The migration to SWIFTNet Phase 2 is not a technical prerequisite to the start of TARGET2 testing. However users are recommended to carefully consider the interdependencies between those two projects (in term of timing and resources) when elaborating their project plans.

ICM (Information & Control Module) general questions & answers:

Q: Which is the URL to access the ICM?

A: **Live URL:** https://trgt-papss.ssp.swiftnet.sipn.swift.com

Test URL: https://trgt-papss-cust.ssp.swiftnet.sipn.swift.com

Q: How do I register to the system?

A: Please consult the SWIFTNet Messaging on TARGET2, "Getting Started Guide", Section 5.4.3. Link: http://www.swift.com/index.cfm?item_id=61121

Q: Which SWIFT software is required for U2A access to the ICM?

A: a) A standalone SWIFTAlliance WebStation (SAB) or a SWIFTAlliance WebStation behind a SWIFTAlliance Gateway (SAG) or a SWIFTAlliance Starter Set (SAS). Please ensure that your SAG license covers the amount of concurrent users required at your institution.

b) The SWIFTAlliance WebStation (SAB) software must be installed on your PC (See SWIFTAlliance WebStation 6.0, Installation Guide)

c) In case you use a SAB behind a SAG, you have to configure a Proxy server on the SAG. For details, contact your SWIFTAlliance Gateway Administrator or see the SWIFTAlliance Gateway Operations Guide, Chapter 12 - Configuring SWIFTNet Browse traffic.

d) Configure your firewalls for the Browse serviceFIN services are SWIFT's core store-and-forward messaging services. FIN enables countries to exchange financial data securely, cost effectively and in a reliable way. FIN Copy is a function of the SWIFT network that supports the clearing, netting and settlement of high-value payments and securities-related transactions by enabling instructions to be copied and optionally authorised by a third party before release to the beneficiary.

Q: How do I configure my SAB (SWIFTAlliance WebStation) for the ICM?

A: You have to configure the browsing mode in SAB. On the SAB itself, follow the steps as described in section 2.1 Configuring SWIFTNet Browsing Mode in the SWIFTAlliance WebStation 6.0, User Guide.

a) Registering and Setting up a SWIFTNet Browse User

b) Configuring Internet Explorer (configuring the HTTP Proxy, configuring the Security Settings, Obtaining the SWIFT CA Certificate, Certifying Internet Explorer)

c) Setting up SWIFTNet Browse Service Links.

Q: What are the necessary firewall settings for SWIFTNet Browse?

Annexes

A: To avoid maintaining a list of IP addresses, SWIFT recommends to configure the firewall for SWIFTNet Browse as described in section 5.1 Global Approach to SWIFTNet Browse Service Access in the SWIFTNet 6., Network Configuration Tables Guide (available on the SNL and SAB CD).

If such an approach is not in line with your internal policy, then please see the table down below, wich shows the IP address used by the SSP for the <u>test</u> environment;

URL	NAT A	NAT B	NAT C	NAT D
trgt-papss-cust.ssp.swiftnet.sipn.swift.com	149.134.0.101	149.134.0.152	149.134.0.125	149.134.0.134

Q: The recommended cache size of a browser?

A: To optimize the functionalities of the application, it is recommended to set the cache size of your browser between 1,5 Mb and 2 Mb.

Q: The save and print buttons on the ICM screen do not work properly?

A: Check the set-up of the internet explorer, the SSP URLs should be:

* Live URL: https://trgt-papss.ssp.swiftnet.sipn.swift.com

* Live URL: https://trgt-papss-cust.ssp.swiftnet.sipn.swift.com

These have to be inserted in the list of the "trusted sites"(Please take note that for the time being, the "help" functionality has not yet been activated in the ICM)

8.4. Annex 4: CB Contacts on T2 Testing

CC	Name	Tel	Fax	E-mail	CB website address for T2 user testing issues	Comments
			CB contacts on T2 Testing			
BE	Mr Eric Willems	+32 2 221 38 97	+32 2 221 50 00	target2.helpdesk@nbb.be		
DK	TARGET2 Servicedesk	+45 33 63 61 63	+45 33 63 71 29	Target2.servicedesk@nationalbanken.dk		
DE	National Service Desk (Test Administration and Monitoring)	+49 69 9566 4965	+49 69 9566 50 8870	bbk-tssp-tests@bundesbank.de	http://www.target2.bundesbank.de	
DE	Customer Relationship Management (Cerftification, General Issues)	+49 69 9566 8866	+49 69 9566 50 8866	Crm-zahlungsverkehr@bundesbank.de		
EE	Ms Rea Tänav	+372 66 80 639	+372 66 80 821	astugi@epbe.ee		
GR	Mr. Apostolos Kakos	+30 210 6799642	+30 210 6536915	ASKakkos@bankofgreece.gr		Information Technology Department

Annexes

CC	Name	Tel	Fax	E-mail	CB website address for T2 user testing issues	Comments
GR	Mr. Christos Argyropoulos	+30 210 320 3630	+30 210 3244642	chargyropoulos@bankofgreece.gr	E-mail contact only : Target2@bankofgreece.gr & Target@bankofgreece.gr	Payment Systems Department
ES	Ms Maria Jose Garcia	+34 913 388 634				
ES	Mr Javier Martinez	+34 913 388 636	+34 913 386 055	Target2@bde.es		
FR	Mr Stephane Godard	+33 1 42 92 21 43	+33 1 42 92 98 58	T2FR-Cust@banque-france.fr	http://www.banque-france.fr/fr/sys_mone_fin/target2/target2.htm	
IE	Sean Lynch	+353 1 4344746	+353 1 6710372	sean.lynch@centralbank.ie		psstechnical@centralbank.ie
IT	National Service Desk	+39 06 4792 5700	+39 06 4792 5148	Test-target2@bancaditalia.it	http://www.bancaditalia.it/sispaga_tesor/servpag/target2/migra	
CY	Ms Maria Tengeri	+357 227 14 247	+357 223 78 505	MariaTengeri@centralbank.gov.cy		
CY	Ms Christa Piki	+357 227 14 405	+357 223 78 505	ChristaPiki@centralbank.gov.cy		

Annexes

CC	Name	Tel	Fax	E-mail	CB website address for T2 user testing issues	Comments
CY	Ms Maria Christofidou	+357 227 14 233	+357 223 78 505	MariaChristofidou@centralbank.gov.cy		
LV	Mr Janis Katkovskis	+371 6702 2759	+371 67022 111	t2testing@bank.lv	https://target2.bank.lv/	
LV	Ms Natalija Popova	+371 6702 2295	+371 67022 111	t2testing@bank.lv		
LT	Mr Laimis Urbanavicius	+370 5 268 0815	+370 5 272 1101	Target2@lb.lt	http://www.lb.lt/litas_dokumentai	Site has restricted access, for information one should please contact the Lietuvos Bankas for T2 User Testing
LT	Mr Audrius Kaunas	+370 5 268 0760	+370 5 272 0768	aukaunas@lb.lt		Site has restricted access, for information one should please contact the Lietuvos Bankas for T2 User Testing
LU	Mr Guy Scheibel	+352 47 74 44 20	+352 47 74 49 52	Target2.testing@bcl.lu	No specific T2 website established. Specific test details will be available via the T2TRIS.	
ML	Mr Joseph Hili	+356 2550 3604	+356 2550 2500	hilijm@centralbankmalta.com		
NL	National Helpdesk TARGET2 Testing	+31 20 524 2456	+31 20 524 2880	Target2@dnb.nl	http://www.dnb.nl	

Annexes

CC	Name	Tel	Fax	E-mail	CB website address for T2 user testing issues	Comments
AT	Ms Michaela Fraissl	+431 40 420 4619	+431 31 656 4679	testing@oenb.at	http://www.oenb.at/de/zahlungsverkehr/targe2_ssp/Tests/tests.jsp	
AT	Mr Nick Ejupi	+431 40 420 4683	+431 40 420 4679	testing@oenb.at		
PL	Ms Elżbieta Wanat	+48 22 653 18 94	+48 22 826 61 48	elzbieta.wanat@mail.nbp.pl		
PL	Ms Marta Kougan	+48 22 653 18 47	+48 22 826 61 48	marta.kougan@mail.nbp.pl		
PT	Ms Beatriz Filipe	+351 21 3130 699	+351 21 3143 873	bfilipe@bportugal.pt	No domestic TARGET2 website	
PT	Mr Abilio Braz	+351 21 3138 363	+351 21 3143 873	anbras@bportugal.pt		
SI	Mr Matej Koletnik	+386 1 4719 573	+386 1 4719 722	matej.koletnik@bsi.si	https://www.bsi.si/banke/ps/TARGET2_novosti.asp	Limited access to Slovanian participants, password based upon request
SI	Helpdesk	+386 1 4719 568	+386 1 4719 722			

Annexes

CC	Name	Tel	Fax	E-mail	CB website address for T2 user testing issues	Comments
FI	Ms Niina Kärnä	+358 10 831 2145	+358 10 831 2177	T2usertesting@bof.fi		Access to the website only after bilateral contact with the BOF
FI	Mr Teemu Peltoniemi	+358 10 831 2743	+358 10 831 2177	T2usertesting@bof.fi		Access to the website only after bilateral contact with the BOF
FI	Mr Jukka Tuominen	+358 10 831 2123	+358 10 831 2177	T2usertesting@bof.fi		Access to the website only after bilateral contact with the BOF
FI	Ms Terhi Vuojus	+358 10 831 2164	+358 10 831 2177	T2usertesting@bof.fi		Access to the website only after bilateral contact with the BOF
ECB	Ms Marleen de Koninckbroeck	+49 69 1344 8404	+49 69 1344 7498	T2.Testing@ecb.int	http://www.ecb.int/paym/target/target2/html/index.en.html	

8.5. Annex 5: Glossary

AS	Ancillary System
ASI	Ancillary Facilities Module
BKE	Bilateral Key Exchange
CB	Central Bank
CM	Contingency Module
CRS	Customer Relationship Services
CUG	Closed User Group
eMSSF	Electronical SWIFTNet Messaging Service Subscription Form
HAM	Home Accounting Module
ICM	Information and Control Module
IND	Indirect Participant
LT	Liquidity Transfer
MAP	Multi Access Participant
MB	Megabyte
PHA	Proprietary Home Account
PKI	Public Key Infrastructure
PM	Payment Module
PML	Payment Module – Liquidity Management
RBAC	Role Based Access Control
RM	Reserve Management
RMM	Reserve Management Module
SDM	Static Data Management
SF	Standing Facilities Module
SSP	Single Shared Platform
SO	Standing Orders
T2TRIS	TARGET2 Test Related Information System
UDFS	User Detailed Functional Specification
XML	Extensible Markup Language