

**Real-Time Gross Settlement
System for Australia**

Batch Feeder System for RITS

**Functional/Message Content
Specification**



Version 1.7

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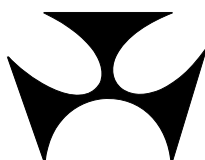


TABLE OF CONTENTS

| | |
|--|----|
| 1. Introduction | 4 |
| 1.1. Proposed Message Type | 4 |
| 2. Batch Feeder Settlement Request | 5 |
| 2.1. Example of Batch Settlement Request | 10 |
| 3. Batch Feeder Settlement Response | 11 |
| 3.1. Example of Batch Settlement Response | 13 |
| 4. Batch Feeder Settlement Recall Request | 14 |
| 4.1. Example of Batch Settlement Recall Request | 16 |
| 5. Batch Feeder Settlement Recall Response | 17 |
| 5.1. Example of Batch Settlement Recall Response | 18 |
| 6. Unsolicited Advices | 19 |
| 6.1. Pre Settlement Advice (Credit Status Level SMT 028) or (ESA Status Level SMT 029) | 19 |
| 6.2. Pre Settlement Advice (Pending Credit SMT 041) – New Advice | 20 |
| 6.3. Post Settlement Advice – Debit (MT198 SMT036) | 21 |
| 6.4. Post Settlement Advice – Credit (MT198 SMT037) | 23 |
| 6.5. Unsettled Transaction End of Day Advice (MT198 SMT038) | 24 |
| 6.6. Unsolicited Recall Advice (MT198 SMT003) | 25 |
| 7. Change ESA and/or Credit Status Requests | 26 |
| 8. ESA Statement Advices | 28 |
| 8.1. ESA Statement Intraday Enquiry Response | 28 |
| 8.2. Unsolicited ESA Statement Advices | 29 |
| Appendix 1 – Reject Codes | 32 |

1. INTRODUCTION

This document addresses the requirements for the Batch Feeder System in RITS. The proposed message content is based on the Business Specifications for Batch Feeder System in RITS.

1.1. Proposed Message Type

SWIFT proprietary message (MT 198) will be used for the Batch Feeder System Project.

For reference, MT 198 is regarded by SWIFT as an envelope message with a specified Sub Message Type (FIELD 12: 3 numeric characters) included in it. It allows for the definition of a unique format for which another SWIFT message type is not available or applicable. An MT 198 may only be sent and received after bilateral or multilateral agreements are implemented between two or more financial institutions. In general, an MT 198 message consists of following details:

{Block 1}: contains sender's address (ie: Batch Administrator) and other data.

{Block 2}: contains message type (ie **I198** - Input Message Type 198), receiver's CSI address (ie: FIN receiving BIC), Message Priority (ie 'S' (System) for user-to-system messages, and 'U' or 'N' for all user-to-user messages), and Delivery Monitoring (optional).

{Block 3}: User Reference (optional). For example: {108: Message User Reference)

{Block 4}: contains message contents such as:

FIELD 20: Transaction Reference Number

FIELD 12: Sub Message Type and

FIELD 77E: Narrative.

SWIFT will perform validation on all Fields up to and including Field 12. After this, it is at the discretion of users to define message contents. Of course, such message contents must be bilaterally or multilaterally agreed.


2. BATCH FEEDER SETTLEMENT REQUEST

The Batch Administrator sends this message to RITS (via SWIFT), which contains summary batch information and individual batch transactions. The table below shows the data content for a Batch Feeder Settlement Request.

| Field | Field Name | Size | Status ¹ | Notes |
|---------|------------------------------|------|---------------------|--|
| Block 1 | Basic Header | | M | Sender's SWIFT address and other data. RITS will validate the sending BIC against BTCHFDRPAR. If invalid, the message is rejected with code '73 – Unauthorised Command/Enquiry'. |
| Block 2 | Application Header – Input | | M | Message Type, receiver SWIFT address and other data. In this message type the receiver is always the CSI FIN (AIF) BIC. Bilateral Keys Exchange (BKE) must be established between the sending and receiving BICs. If not, message is rejected with code '89 – MAC/PAC check failed'. The CSI FIN (AIF) BIC must be active in SWIFTPAR (RTGS_INR_AIF). Failure will result the message being ignored with status '98'. |
| Block 3 | User Header – | 16!x | O | Message User Reference (MUR). This is not validated. |
| Block 4 | Message Text | | M | |
| 20 | Transaction Reference Number | 16!x | M | The sender must not have used the TRN within 14 days after date first used, which includes being used in different message types. If validation fails for any message within a batch the entire batch is rejected with reject code '74 – Duplicate TRN'. TRN prefixes RITS, ACLR and ASXC are not allowed. If validation fails for any message within a batch the entire batch is rejected with reject code '87 – Does not meet message format standards' |

¹ M = Mandatory; O = Optional and C = Conditional

| Field | Field Name | Size | Status¹ | Notes |
|--------------|-------------------------------|-------------|---------------------------|---|
| 12 | Sub Message Type | 3!n | M | <p>SMTNNN</p> <p>RITS validates this message type against MESSTYPES and SWIFTPAR (RTGS_INR_AIF).</p> <p>If sub message type (SMT) validation fails a General Reject Message MT198 SMT040 is sent to the sender with reject code '88 - Sub message type does not exist' and a message is displayed in RITS.</p> |
| 77E | Narrative | | | |
| 22A | Batch Stream Identifier (BID) | 4!x | M | <p>4!x = batch stream code eg: BAT1, CAT1 etc.</p> <p>RITS will validate this field against BTCHFDRPAR.</p> <p>If validation fails for any message within a batch the entire batch is rejected with reject code '87 – Does not meet message format standards'.</p> |
| 119 | Batch Identified Number (BIN) | 8!n | M | <p>The first four characters of a BIN must match Batch Stream Id in tag '22A'.</p> <p>The last 4 characters are a free format numerical value that must not have been used within the past 14 days (ie after 14 days after date first used).</p> <p>If validation fails for any message within a batch the entire batch is rejected with reject code '87 – Does not meet message format standards'.</p> |

| Field | Field Name | Size | Status¹ | Notes |
|--|--|-------------|---------------------------|---|
| 16A | Message Number/No. of messages per batch | 2n/2n | M | <p>A batch may require a number of messages. This field is used to indicate the message number and number of expected messages within a batch ie 01/04 indicates that this is the first message of four, 02/04 the second message of four etc.</p> <p>Front-end validation checks that:</p> <ul style="list-style-type: none"> • Message number is not greater than number of messages expected ie 04/03; or • Message number in batch has not already been received for BIN (tag 119) <p>If validation fails for any message within a batch the entire batch is rejected with reject code '87 – Message format standards'.</p> |
| 171 | Settlement Date | 6!n | M | <p>6!n = Date format is YYMMDD.</p> <p>If validation fails for any message within a batch the entire batch is rejected with reject code '87 – Does not meet message format standards';</p> <p>If settlement date is not current date for any message within a batch the entire batch is rejected with reject code '78 – Value date is prior to current date' or '84 – Warehoused payments not accepted'</p> |
| 175 | Batch Activation Time | 4!n | O | <p>Time is the AEST time (ie: Local time) and format HHMM.</p> <p>If validation fails for any message within a batch the entire batch is rejected with reject code '87 – Does not meet message format standards'.</p> |
| <p> The following 4 fields represent 1 payment. Each message may have up to 10 payments</p> | | | | |
| 127 | Transaction (Credit or Debit) indicator | 2!x | M | <p>Transaction indicator is either CR (credit) or DR (debit).</p> <p>If validation fails for any message within a batch the entire batch is rejected with reject code '87 – does not meet message format standards'</p> |

| Field | Field Name | Size | Status¹ | Notes |
|--------------|--------------------------|-------------|---------------------------|---|
| 32B | Currency Code and Amount | 3!x15! n | M | <p>Currency code (3!x) is Australian dollar (AUD)</p> <p>Settlement Amount</p> <p>Amount range is 0,00 to 9999999999.99 (10 billion – 1 cent the maximum allowed in RITS). Amount can be whole dollars, cents only or dollar and cents (max 99¢). The integer ‘,’ must always be present.</p> <p>If validation fails for any message within a batch the entire batch is rejected with rejected with reject code ‘87 – Does not meet message format standards’</p> |
| 113 | Banking Priority | 4!x | C | <p>If field 127 = CR, and field {113;} is present in any message within a batch the entire batch is rejected with reject code ‘87- Does not meet message format standards’</p> <p>If field 127 = DR, then field {113;} must be present. The allowable values are ‘A’; ‘D’; ‘P’ or NULL.</p> <p>This field consists of 4 Sub-fields which are (from left to right):</p> <p>Sub-field 1 = ESA status (1!x) Sub-field 2 = CR status (1!x) Sub-field 3 = Cash status (1!x) Sub-field 4 (1!x). This sub field is not in use and may be NULL or any alpha characters.</p> <p>Sub-fields must always maintain their relative position within the main field eg credit status must always appear in the 2nd sub field.</p> <p>The validation rules are:</p> <ul style="list-style-type: none"> • If ESA status is not ‘A’; ‘D’ or ‘P’ in any message within a batch the entire batch is rejected with reject code ‘80- ESA status is not A; D or P’. • If CR or Cash is not ‘A’; ‘D’ or ‘P’ in any message within a batch the entire batch is rejected with reject code ‘81 – Status is not A; D or P’. |

| Field | Field Name | Size | Status¹ | Notes |
|--------------|--|-------------|---------------------------|--|
| 102 | Transaction (paying or receiving) batch participant | 4!x | M | <p>Paying or receiving participant.</p> <p>The first validation is to the BANK table in RITS to ensure that the participant is an active RITS member. If validation fails for any message within a batch the entire batch is rejected with reject code '76 – Bank code does not exist' or '77 – Bank suspended'.</p> <p>If RITS code is valid, then the second validation is to BTCHMNT (new table) to ensure that member is an eligible participant in the batch stream, if validation fails for any message within a batch the entire batch is rejected with reject code '76 – Bank code does not exist'</p> |
| ☐ | | | | |
| 203 | Total Payments | 4!n | M | <p>Total number of payments expected in a batch.</p> <p>There are three levels of validation:</p> <ul style="list-style-type: none"> • Is format correct? • Do all message in batch have the same value in this field? • Is sum of tag 32B equal to tag 203? <p>If validation fails for any message within a batch the entire batch is rejected with reject code '87 – Does not meet message format standards'</p> |

2.1. Example of Batch Settlement Request

```
{1:F01ZYARAU20AXXX0000000000}{2:I198ZYAAAUS0XXXXN}{3:{108:QUANGM  
ESSAGES01}}{4:  
:20:NEW REQUIREMENTS  
:12:NNN  
:77E:  
:22A:CAT1  
:119:CAT19999  
:16A:01/03  
:171:021122  
:175:1530  
:127:CR  
:32B:AUD123456789,99  
:102:BKWA  
:127:DR  
:32B:AUD246810,55  
:113:DDDD  
:102:WPAC  
:127:DR  
:32B:AUD13579  
:113:ADA  
:102:ANZB  
:127:CR  
:32B:AUD11111111111,99  
:102:MACQ  
:127:DR  
:32B:AUD9999999999,99  
:113:  
:102:RBAA  
:127:DR  
:32B:AUD1928374650  
:113: X  
:102:CBAA  
:127:CR  
:32B:AUD987654321,00  
:102:DBAL  
:127:CR  
:32B:AUD3333333  
:102:HKBA  
:127:DR  
:32B:AUD66666666  
:113:PDAX  
:102:ARBA  
:127:DR  
:32B:AUD7777777,77  
:113:APDX  
:102:BEND  
:203:10
```

3. BATCH FEEDER SETTLEMENT RESPONSE

This message is sent from RITS to the Batch Administrator via SWIFT. It confirms (or rejects) the Batch Feeder Settlement Requests previously sent from the Batch Administrator.

If a batch is recalled, unsettled or settled a Batch Feeder Settlement Response is generated for all Batch Feeder Settlement Requests that comprise the batch.

If a single Batch Feeder Settlement Request within a batch fails validation the entire batch is rejected and a Batch Feeder Settlement Response is generated for all Batch Feeder Settlement Requests that comprise the batch.

However, there is an exception to the rule. If a Batch Feeder Settlement Request fails validation due to MAC/PAC checking, mandatory fields missing or the current session being DAYCLOSE or SYSCLOSE a single Batch Feeder Settlement Request is generated without further checking for any other messages that may comprise the batch.

The table below shows the data content for a Batch Feeder Settlement Response.

| Field | Field Name | Size | Status | Notes |
|---------|------------------------------|------|----------|--|
| Block 1 | Basic Header | | M | Contains sender's SWIFT address and other data. In this message type, the sender is always the CSI FIN (AIF) BIC. The CSI FIN (AIF) BIC must be active in SWIFTPAR (RTGS_AIF). Failure will result RITS response being ignored with status '98' and message is not sent to CSI. Bilateral Keys Exchange must be established between the CSI FIN (AIF) BIC and receiving BICs or message will be rejected locally by CSI. |
| Block 2 | Application Header – Input | | M | Contains message Type, Receiver SWIFT address (the sender of the original settlement request) and other data. |
| Block 3 | User Header – | 16!x | O | Message User reference. Appear only if used in the original request |
| Block 4 | Message Text | | M | |
| 20 | Transaction Reference Number | 16!x | M | Generated by RITS. The prefix for batch feeder response messages is 'B' followed by a system generated unique (7 digits) sequence number. |

| Field | Field Name | Size | Status | Notes |
|--------------|----------------------------------|-------------|---------------|--|
| 12 | Sub Message Type | 3!n | M | SMTNNN Message type is set up in MESSTYPES and SWIFTPAR (RTGS_AIF). If not messages will be ignored with status '99'. |
| 77E | Narrative | | | |
| 21 | Related Reference | 16!x | M | It is the Transaction Reference Number from the original Batch Feeder Settlement Request. |
| 22A | Type of Batch Stream | 4!x | M | 4!x = batch Stream Id as it appears in the original Batch Feeder Settlement Request. |
| 119 | Batch Identified Number (BIN) | 8!n | M | BIN from the original request. |
| 451 | Accept/Reject Code | 1!n | M | '0' = accepted and '1' = rejected. |
| 13E | Settlement Date & Time Indicator | 6!n6!n | C | Present only when batch is successfully settled. This field has two sub-fields: - 6!n = Date settled and must be in the format of YYMMDD - 6!n = Time settled and must be in the format of HHMMSS. |
| 432 | Reason for Reject | 2n | C | Present only when batch is rejected by RITS. |

Conditional Field Rules

- If field 451 (Accept/Reject Code) contains '1' (ie: Reject), field 432 (Reason for Reject) must be present.
- If field 451 (Accept/Reject Code) contains '0' (ie: Accept), field 13E (Settlement Date and Time Indicator) must be present.

3.1. Example of Batch Settlement Response

```
{1:F01ZYAAAUS0BXXX0044026450}{2:I198ZYARAU20XXXXN}{3:{108:QUANGM  
ESSAGES01}}{4:  
:20:B1399522  
:12:NNN  
:77E:  
:21:TESTBATCHSETTLE1  
:22A:BAT1  
:119:BAT10001  
:451:0  
:13E:020928122332  
-}{5:{TNG:}{PDE:}}{S:{SPD:}}
```

```
{1:F01ZYAAAUS0BXXX0044026450}{2:I198ZYARAU20XXXXN}{3:{108:QUANGM  
ESSAGES01}}{4:  
:20:B1399523  
:12:NNN  
:77E:  
:21: TESTBATCHSETTLE2  
:22A:BAT1  
:119:BAT10001  
:451:1  
:432:86  
-}{5:{TNG:}{PDE:}}{S:{SPD:}}
```

4. BATCH FEEDER SETTLEMENT RECALL REQUEST

This message is sent by a Batch Administrator to RITS (via SWIFT) to recall a Batch Feeder Settlement Request that is pending activation or unsettled on the queue.

The table below shows the data content for a Batch Feeder Recall Request.

| Field | Field Name | Size | Status | Notes |
|---------|------------------------------|------|----------|---|
| Block 1 | Basic Header | | M | Contains sender's SWIFT address and other data. RITS will validate the sending BIC against BTCHFDRPAR. If invalid, the message will be rejected with code '73 – Unauthorised Command/Enquiry'. |
| Block 2 | Application Header – Input | | M | Contains Message Type, Receiver SWIFT address and other data. In this message type, it is always the CSI FIN (AIF) BIC. Bilateral Keys Exchange (BKE) must be established between the sending and receiving BICs. If not, message is rejected with code '89 – MAC/PAC check failed'. The CSI FIN (AIF) BIC must be active in SWIFTPAR (RTGS_INR_AIF). Failure will result message being ignored with status '98'. |
| Block 3 | User Header – | 16!x | O | Message User Reference (MUR) is not validated. |
| Block 4 | Message Text | | M | |
| 20 | Transaction Reference Number | 16!x | M | The sender must not have used the TRN within 14 days after date first used, which includes being used in different message types. If validation fails the message is rejected with reject code '74 – Duplicate TRN'. TRN prefixes RITS, ACLR and ASXC are not allowed. If validation fails the message is rejected with reject code '87 – Does not meet message format standards' |

| Field | Field Name | Size | Status | Notes |
|--------------|-------------------------------|-------------|---------------|--|
| 12 | Sub Message Type | 3!n | M | RITS validates this message type against MESSTYPES and SWIFTPAR (RTGS_INR_AIF). If sub message type (SMT) validation fails a General Reject Message MT198 SMT040 is sent to the sender with reject code '88 - Sub message type does not exist' and a message is displayed in RITS. |
| 77E | Narrative | | | |
| 22A | Batch Stream Identifier (BID) | 4!x | M | 4!x = batch stream code eg: BAT1, CAT1 etc. RITS will validate this field against BTCHFDRPAR. If validation fails the message is rejected with reject code '87 – Does not meet message format standards'. |
| 119 | Batch Identified Number (BIN) | 8!x | M | Valid options in this field are The first 4 characters of this field must be identical to field 22A to recall a specific batch; or 'CALL' to recall all batches for Batch Stream in field 22A If validation fails the message is rejected with reject code '87 – Does not meet message format standards' |
| 171 | Settlement Date | 6!n | M | 6!n = Date format is YYMMDD. If validation fails for any message within a batch the entire batch is rejected with reject code '87 – Does not meet message format standards'; If settlement date is not current date for any message within a batch the entire batch is rejected with reject code '78 – Value date is prior to current date' or '84 – Warehoused payments not accepted' |

4.1. Example of Batch Settlement Recall Request

```
{1:F01ZYARAUS0AXXX0044026450}{2:I198ZYAAAU20XXXXN}{3:{108:QUANGRE  
CALL01}}{4:  
:20:TESTBATCHRECALL1  
:12:NNN  
:77E:  
:22A:BAT1  
:119:BAT10001  
:171:020906  
-}{5:{TNG:}{PDE:}}{S:{SPD:}}
```

```
{1:F01ZYARAUS0AXXX0044026450}{2:I198ZYAAAU20XXXXN}{3:{108:QUANGRE  
CALL01}}{4:  
:20:TESTBATCHRECALL1  
:12:NNN  
:77E:  
:22A:BAT2  
119:CALL  
:171:020906  
-}{5:{TNG:}{PDE:}}{S:{SPD:}}
```


5. BATCH FEEDER SETTLEMENT RECALL RESPONSE

This message is sent from RITS to the Batch Administrator and it confirms (or rejects) a Batch Feeder Recall Request.

When a Batch Settlement Recall Request has been successful, Batch Settlement Response(s) are generated with reject code '85 – Message (Batch) Recalled'.

The table below shows the data content for a Batch Feeder Recall Response.

| Field | Field Name | Size | Status | Notes |
|---------|------------------------------|------|----------|--|
| Block 1 | Basic Header | | M | Contains sender's SWIFT address and other data. In this message type, the sender is always the CSI FIN (AIF) BIC. The CSI FIN (AIF) BIC must be with active status in SWIFTPAR (RTGS_AIF). Failure will result IN RITS response being ignored with status '98' and not sent to CSI. In addition, Bilateral Keys Exchange must be established between the CSI FIN (AIF) BIC and receiving BICs. Otherwise, message will be rejected locally by CSI. |
| Block 2 | Application Header – Input | | M | Contains message Type, Receiver SWIFT address (Batch Administrator) and other data. |
| Block 3 | User Header – | 16!x | O | Message User Reference (MUR). |
| Block 4 | Message Text | | M | |
| 20 | Transaction Reference Number | 16!x | M | Generated by RITS. The prefix for batch feeder response messages is 'B' followed by a system generated unique (7 digits) sequence number. |
| 12 | Sub Message Type | 3!n | M | SMTNNN Message type is set up in MESSTYPES and SWIFTPAR (RTGS_AIF). If not messages will be ignored with status '99'. |
| 77E | Narrative | | | |
| 21 | Related Reference | 16!x | M | It is the Transaction Reference Number from the original recall request. |
| 451 | Accept/Reject Code | 1n | M | '0' = accepted and '1' = rejected. |
| 432 | Reason for Reject | 2n | C | Present only when batch is rejected by RITS. |

Conditional Field Rules

- If field 451 (Accept/Reject Code) contains '1' (ie Reject), field 432 (Reason for Reject) must be present.

5.1. Example of Batch Settlement Recall Response

```
{1:F01ZYAAAUS0BXXX0044026450}{2:I198ZYARAU20XXXXN}{3:{108:QUANGRE  
CALL01}}{4:  
:20:B1399524  
:12:NNN  
:77E:  
:21:TESTBATCHRECALL1  
:451:1  
:432:87  
-}{5:{TNG:}{PDE:}}{S:{SPD:}}
```

6. UNSOLICITED ADVICES

If request by a bank, they can receive Pre and/or Post Settlement Advices for transactions.

6.1. Pre Settlement Advice (Credit Status Level SMT 028) or (ESA Status Level SMT 029)

If requested, a Pre Settlement Advice will be generated for debit transactions in a batch.

The table below shows the data content for a Pre Settlement Advice:

| Field | Field Name | Size | Status | Notes |
|---------|------------------------------|------|----------------------|--|
| Block 1 | Basic Header | | M | Contains sender's SWIFT address and other data. In this message type, the sender is always the CSI FIN (AIF) BIC. |
| Block 2 | Application Header – Input | | M | Contains message Type, Receiver SWIFT address and other data. |
| Block 4 | Message Text | | M | |
| 20 | Transaction Reference Number | 16!x | M | Automatically generated by RITS and starting with 'U' followed by a unique (7 digits) sequence number. |
| 12 | Sub Message Type | 3!n | M | 028 (Credit) or 029 (ESA) only |
| 77E | Narrative | | | |
| 21 | Related Reference | 16!x | M | RITS Transaction Id eg RITS123456 |
| 22C | BIN | 16!x | C² | Batch Identification Number |
| 905 | Receiver's Bank code | 4!x | O | This code is from the BANK table. Use the SWIFT mnemonic, or if NULL the RITS mnemonic. If batch type = M, this code will be the participants own code. |
| 25 | Account Identification | 35x | M | Paying Client Identification |

² This field is only present for batch feeder transactions (where source = X on FDRPAR)

| Field | Field Name | Size | Status | Notes |
|--------------|--|----------------|---------------|---|
| 32A | Settlement Day, Currency code and Amount | 6!n3!x 15!n | M | |
| 901 | Time | 6!n | M | Time transaction received by RTGS_QUEUE |
| 908 | Transaction type | 5!x | M | Batch Stream Id |
| 113 | Banking Priority | 4!x | M | The current status on the queue. Allowable values are 'P', 'A' or 'D' This field consists of 4 Sub-fields which are (from left to right): Sub-field 1 = ESA status (1!x) Sub-field 2 = CR status (1!x) Sub-field 3 = Cash status (1!x) Sub-field 4 (1!x) NULL (not in use) |

6.2. Pre Settlement Advice (Pending Credit SMT 041) – New Advice

If requested, a Pre Settlement Advice will be generated for credit transactions in a batch.

The table below shows the data content for a Pre Settlement Advice – Pending Credit:

| Field | Field Name | Size | Status | Notes |
|--------------|------------------------------|-------------|---------------|---|
| Block 1 | Basic Header | | M | Contains sender's SWIFT address and other data. In this message type, the sender is always the CSI FIN (AIF) BIC. |
| Block 2 | Application Header – Input | | M | Contains message Type, Receiver SWIFT address and other data. |
| Block 4 | Message Text | | M | |
| 20 | Transaction Reference Number | 16!x | M | Automatically generated by RITS and starting with 'U' followed by a unique (7 digits) sequence number. |
| 12 | Sub Message Type | 3!n | M | 041 |
| 77E | Narrative | | | |

| Field | Field Name | Size | Status | Notes |
|--------------|--|----------------|----------------------|---|
| 21 | Related Reference | 16!x | M | RITS Transaction Id eg RITS123456 |
| 22C | BIN | 16!x | C³ | Batch Identification Number |
| 904 | Sender's Bank code | 4!x | O | This code is from the BANK table. Use the SWIFT mnemonic, or if NULL the RITS mnemonic If batch type = M, this code will be the participants own code. |
| 25 | Account Identification | 35x | M | Receiving Client Identification |
| 32A | Settlement Day, Currency code and Amount | 6!n3!x 15!n | M | |
| 901 | Time | 6!n | M | Time transaction received by RTGS_QUEUE |
| 908 | Transaction type | 5!x | M | Batch Stream Id |

6.3. Post Settlement Advice – Debit (MT198 SMT036)

If requested, a Post Settlement Advice – Debit will be generated for debit transactions in a batch on settlement.

The table below shows the data content for a Post Settlement Advice – Debit:

| Field | Field Name | Size | Status | Notes |
|--------------|------------------------------|-------------|---------------|---|
| Block 1 | Basic Header | | M | Contains sender's SWIFT address and other data. In this message type, the sender is always the CSI FIN (AIF) BIC. |
| Block 2 | Application Header – Input | | M | Contains message Type, Receiver SWIFT address and other data. |
| Block 4 | Message Text | | M | |
| 20 | Transaction Reference Number | 16!x | M | Automatically generated by RITS and starting with 'U' followed by a unique (7 digits) sequence number. |

³ This field is only present for batch feeder transactions (where source = X on FDRPAR)

| Field | Field Name | Size | Status | Notes |
|--------------|--|-----------------------|----------------------|---|
| 12 | Sub Message Type | 3!n | M | 036 only |
| 77E | Narrative | | | |
| 21 | Related Reference | 16!x | M | RITS Transaction Id eg RITS123456 |
| 22C | BIN | 16!x | C⁴ | Batch Identification Number |
| 905 | Receiver's Bank code | 4!x | O | This code is from the BANK table. Use the SWIFT mnemonic, or if NULL the RITS mnemonic If batch type = M, this code will be the participants own code. |
| 25 | Account Identification | 35x | M | Paying Client Identification |
| 32A | Settlement Day, Currency code and Amount | 6!n3!x 15!n | M | |
| 901 | Time | 6!n | M | Time transaction settled by the queue |
| 908 | Transaction type | 5!x | M | Batch Stream Id |
| 62M | Intermediate Balance | 1!x6!n 3!x15! n | M | ESA balance at the time the transaction is settled. This field has 4 sub fields which are: Sub field 1 (1!x) = 'C' (Credit) Sub field 2 (6!n) = YYMMDD Sub field 3 (3!x) = Currency (AUD) Sub field 4 (15!n) = Amount |
| 62M | Intermediate Balance | 1!x6!n 3!x15! n | M | Cash Account balance at the time the transaction is settled. This field has 4 sub fields which are: Sub field 1 (1!x) = 'D' (Debit) or 'C' (Credit) Sub field 2 (6!n) = YYMMDD Sub field 3 (3!x) = Currency (AUD) Sub field 4 (15!n) = Amount |

⁴ This field is only present for batch feeder transactions (where source = X on FDRPAR)

6.4. Post Settlement Advice – Credit (MT198 SMT037)

If requested, a Post Settlement Advice – Credit will be generated for credit transactions in a batch on settlement.

The table below shows the data content for a Post Settlement Advice – Credit:

| Field | Field Name | Size | Status | Notes |
|---------|--|----------------|-----------------------|---|
| Block 1 | Basic Header | | M | Contains sender's SWIFT address and other data. In this message type, the sender is always the CSI FIN (AIF) BIC. |
| Block 2 | Application Header – Input | | M | Contains Message Type, Receiver SWIFT address and other data. |
| Block 4 | Message Text | | M | |
| 20 | Transaction Reference Number | 16!x | M | Automatically generated by RITS and starting with 'U' followed by a unique (7 digits) sequence number. |
| 12 | Sub Message Type | 3!n | M | 037 only |
| 77E | Narrative | | | |
| 21 | Related Reference | 16!x | M | RITS Transaction Id eg RITS123456 |
| 22C | BIN | 16!x | C ⁵ | Batch Identification Number |
| 904 | Sender's Bank code | 4!x | O | This code is from the BANK table. Use the SWIFT mnemonic, or if NULL the RITS mnemonic If batch type = M, this code will be the participants own code. |
| 25 | Account Identification | 35x | M | Receiving Client Identification |
| 32A | Settlement Day, Currency code and Amount | 6!n3!x 15!n | M | |
| 901 | Time | 6!n | M | Time transaction settled by the queue |
| 908 | Transaction type | 5!x | M | Batch Stream Id |

⁵ This field is only present for batch feeder transactions (where source = X on FDRPAR)

| Field | Field Name | Size | Status | Notes |
|--------------|-------------------------|-----------------------|---------------|---|
| 62 M | Intermediate Balance | 1!x6!n 3!x15! n | M | ESA balance at the time the transaction is settled. This field has 4 sub fields which are: Sub field 1 (1!x) = 'C' (Credit) Sub field 2 (6!n) = YYMMDD Sub field 3 (3!x) = Currency (AUD) Sub field 4 (15!n) = Amount |
| 62 M | Intermediate Balance | 1!x6!n 3!x15! n | M | Cash Account balance at the time the transaction is settled. This field has 4 sub fields which are: Sub field 1 (1!x) = 'D' (Debit) or 'C' (Credit) Sub field 2 (6!n) = YYMMDD Sub field 3 (3!x) = Currency (AUD) Sub field 4 (15!n) = Amount |

6.5. Unsettled Transaction End of Day Advice (MT198 SMT038)

If requested, an Unsettled Advice (at End of Day) will be generated and sent to the paying bank for debit transactions that are unsettled on the queue at the end of day.

The table below shows the data content for an Unsettled Transaction End of Day Advice:

| Field | Field Name | Size | Status | Notes |
|--------------|-----------------------------------|-------------|---------------|---|
| Block 1 | Basic Header | | M | Contains sender's SWIFT address and other data. In this message type, the sender is always the CSI FIN (AIF) BIC. |
| Block 2 | Application Header – Input | | M | Contains Message Type, Receiver SWIFT address and other data. |
| Block 4 | Message Text | | M | |
| 20 | RITS Transaction Reference Number | 16!x | M | Automatically generated by RITS and starting with 'U' followed by a unique (7 digits) sequence number. |
| 12 | Sub Message Type | 3!n | M | 038 |
| 77E | Narrative | | | |
| 21 | Related Reference | 16!x | M | RITS Transaction Id |
| 432 | Reason for Reject | 2!x | M | Reject Code 86 – Message unsettled at End of Day |

6.6. Unsolicited Recall Advice (MT198 SMT003)

If requested, an Unsolicited Recall Advice will be generated by RITS and sent to the paying bank for Batch Feeder transactions recalled from the queue.

The table below shows the data content for an Unsolicited Recall Advice:

| Field | Field Name | Size | Status | Notes |
|---------|-----------------------------------|------|----------|---|
| Block 1 | Basic Header | | M | Contains sender's SWIFT address and other data. In this message type, the sender is always the CSI FIN (AIF) BIC. |
| Block 2 | Application Header – Input | | M | Contains message Type, Receiver SWIFT address and other data. |
| Block 4 | Message Text | | M | |
| 20 | RITS Transaction Reference Number | 16!x | M | Automatically generated by RITS and starting with 'U' followed by a unique (7 digits) sequence number. |
| 12 | Sub Message Type | 3!n | M | 003 |
| 77E | Narrative | | | |
| 21 | Related Reference | 16!x | M | RITS Transaction Id |

7. CHANGE ESA AND/OR CREDIT STATUS REQUESTS

A paying bank may change the status of their own Batch Feeder transaction on the queue using existing AIF commands.

The table below shows the data content for Change ESA and/or Credit Status Requests:

| Field | Field Name | Size | Status | Notes |
|---------|-----------------------------------|------|----------|--|
| Block 1 | Basic Header | | M | Contains sender's SWIFT address and other data. In this message type, the sender is always the CSI FIN (AIF) BIC. |
| Block 2 | Application Header – Input | | M | Contains message Type, Receiver SWIFT address and other data. |
| Block 4 | Message Text | | M | |
| 20 | RITS Transaction Reference Number | 16!x | M | The sender must not have used the TRN within 14 days after date first used, which includes being used in different message types. If validation fails message is rejected with reject code '74 – Duplicate TRN'. TRN prefixes RITS; ACLR and ASXC are not allowed. If validation fails message is rejected with reject code '87 – Does not meet message format standards' |
| 12 | Sub Message Type | 3!n | M | 004 (ESA) 007 (Credit) 031 (ESA/Credit) |
| 77E | Narrative | | | |
| 21 | Related Reference | 16!x | M | RITS Transaction Id |
| 113 | Banking Priority | 4!x | M | Allowable values are 'P', 'A' or 'D' This field consists of 4 sub-fields which are (from left to right): Sub-field 1 = ESA status (1!x) Sub-field 2 = Credit status (1!x) Sub-fields 3 & 4 = Not in use |

Conditional Field Rules

1. If field 12 contains '004' (Change ESA status only) sub fields 2, 3 and 4 of field 113 are ignored, however must contain NULL, A, D, or P;
2. If field 12 contains '007' (Change Credit status only) sub fields 1, 3 and 4 of field 113 are ignored, however must contain NULL, A, D or P; and

3. If field 12 contains '031' (Change ESA and Credit status) sub fields 3 and 4 of field 113 are ignored, however must contain NULL, A, D or P

8. ESA STATEMENT ADVICES


8.1. ESA Statement Intraday Enquiry Response

Participating Banks may request MT942 ESA Statements Intraday Request at any time during the day, using a General Enquiry Request Message (MT920 SMT942).

The only impact of Batch Feeder transactions on the existing ESA Statement Intraday Enquiry Response is on field 61.

The table below shows the data content for an ESA Statement Intraday Enquiry Response:

| Field | Field Name | Size | Status | Notes |
|---------|--|------------------|----------|--|
| Block 1 | Basic Header | | M | Contains sender's SWIFT address and other data. In this message type, the sender is always the CSI FIN (AIF) BIC. |
| Block 2 | Application Header – Input | | M | Contains Message Type, Receiver SWIFT address and other data. |
| Block 4 | Message Text | | M | |
| 20 | RITS Transaction Reference Number | 16!x | M | Automatically generated by RITS and starting with 'E' followed by a unique (7 digits) sequence number. |
| 21 | Related Reference | 16!x | M | TRN of the original request. |
| 25 | Account Identifier | 35x | M | ESA Account of the requesting bank. |
| 28C | Statement Number/Page Number | 5!n/5!n | M | |
| 34F | Currency Code, Debit indicator and amount | 3!x1!x 15!n | M | Floor Debit limit indicator |
| 34F | Currency Code, credit indicator and amount | 3!x1!x 15!n | M | Floor credit limit indicator |
| 13D | Date/Time indicator | 6!n4!n 1!x4!n | M | This field has four sub fields which are: Sub field 1 (6!n) = YYMMDD Sub field 2 (4!n) = HHMM (local time) Sub field 3 (1!x) = '+' or '-' sign Sub field 4 (4!n) = HHMM (GMT time) |

| Field | Field Name | Size | Status | Notes |
|---|---|--|---------------|---|
| 61  | Statement Line Field 61 can be repeated up to 23 times | 6!n1!x 15!n4! x16!x6 !n4!x5 !x19!n | M | Where: Sub field 1 (6!n) = date YYMMDD Sub field 3 (1!x) = Debit (D) or Credit (C) indicator Sub field 5 (15!n) = Amount settled Sub field 6 (4!x) = Transaction Type Code = 'NMSC' (miscellaneous) for batch feeder transaction Sub field 7 (16!x) = RITS Transaction Id Sub field 9 (supplementary details): <ul style="list-style-type: none"> • Transaction settled time = (6!n). • Other Bank's ID = (4!x). SWIFT mnemonic from BANK table if central party or Bank's own Id if multilateral. • RTGS transaction type = (5!x). Batch Stream Id. • Client Account Identifier = (19!n) Optional sub fields 2, 4 and 8 are not in use. |
| 90D | Number and Sum of Entries – Debit | 5!n3!x 15!n | M | This field has 3 sub fields which are: Sub field 1 (5!n) = Number of entries Sub field 2 (3!x) = Currency code Sub field 3 (15!n) = Sum of entries |
| 90C | Number and Sum of Entries – Credit | 5!n3!x 15!n | M | This field has 3 sub fields which are: Sub field 1 (5!n) = Number of entries Sub field 2 (3!x) = Currency code Sub field 3 (15!n) = Sum of entries |
| 86 | Information for Account Owner | 6 x 65!x | M | Same information 28C |

8.2. Unsolicited ESA Statement Advices

If requested by a participating bank, Unsolicited ESA Statement Advices are generated by RITS at INTERIM session and DAYCLOSE session.


The advices available are:

- MT942 SMT001 – ESA Statement – INTERIM
- MT950 SMT888 – ESA Statement – Final at INTERIM
- MT950 SMT999 – ESA End-of-Day Statement - Final

MT942 SMT001 – ESA Statement – INTERIM has the same format has the intraday statement and is described in section 8.1.

The table below shows the data content for MT950 SMT888 (ESA Statement – Final at INTERIM) and MT950 SMT999 (ESA End-of-Day Statement – Final):

| Field | Field Name | Size | Status | Notes |
|--------------|-----------------------------------|-----------------------|---------------|---|
| Block 1 | Basic Header | | M | Contains sender's SWIFT address and other data. In this message type, the sender is always the CSI FIN (AIF) BIC. |
| Block 2 | Application Header – Input | | M | Contains Message Type, Receiver SWIFT address and other data. |
| Block 4 | Message Text | | M | |
| 20 | RITS Transaction Reference Number | 16!x | M | Automatically generated by RITS and starting with 'U' followed by a unique (7 digits) sequence number. |
| 25 | Account Identifier | 35x | M | ESA Account of the requesting bank. |
| 28C | Statement Number/Page Number | 5!n/5!n | M | |
| 60M | Opening Balance | 1!x6!n 3!x15! n | M | The start of day ESA balance. This field has 4 sub fields which are: Sub field 1 (1!x) = Credit (C) or Debit (D) indicator Sub field 2 (6!n) = YYMMDD Sub field 3 (3!x) = Currency code Sub field 4 (15!n) = Amount |

| Field | Field Name | Size | Status | Notes |
|---|---|--|---------------|---|
| 61  | Statement Line Field 61 can be repeated up to 23 times | 6!n1!x 15!n4! x16!x6 !n4!x5 !x19!n | M | Where: Sub field 1 (6!n) = date YYMMDD Sub field 3 (1!x) = Debit (D) or Credit (C) indicator Sub field 5 (15!n) = Amount settled Sub field 6 (4!x) = Transaction Type Code = 'NMSC' (miscellaneous) for batch feeder transaction Sub field 7 (16!x) = RITS Transaction Id Sub field 9 (supplementary details): <ul style="list-style-type: none"> • Transaction settled time = (6!n). • Other Bank's ID = (4!x). SWIFT mnemonic from BANK table if central party or Bank's own Id if multilateral. • RTGS transaction type = (5!x). Batch Stream Id. • Client Account Identifier = (19!n) Optional sub fields 2, 4 and 8 are not in use. |
| 62F | Closing Balance Field 60F will only be used if it is the final MT950s. Otherwise, 60M will be used to indicate the closing balance of one single MT950 | 1!x6!n 3!x15! n | M | Closing ESA balance. This field has 4 sub fields which are: Sub field 1 (1!x) = Credit (C) or Debit (D) indicator Sub field 2 (6!n) = YYMMDD Sub field 3 (3!x) = Currency code Sub field 4 (15!n) = Amount |

APPENDIX 1 – REJECT CODES

| Reject Code | Description | Used by Batch Feeder |
|--------------------|---|-----------------------------|
| 60 | Did not make FIN-Copy cut-off time | × |
| 61 | Did not make SWIFT Payment cut-off time | × |
| 70 | Payment Order (Transaction ID) does not exist | √ |
| 71 | Payment Order already has this status | √ |
| 72 | Payment Order Settled | √ |
| 73 | Unauthorised Command/Enquiry | √ |
| 74 | Duplicate TRN (for this date) | √ |
| 75 | RTGS Closed | √ |
| 76 | Bank code does not exist | √ |
| 77 | Bank suspended | √ |
| 78 | Value date is prior to current date | √ |
| 79 | Value date is more then 7 days in advance of current date | × |
| 80 | ESA Status is not A D or P | √ |
| 81 | Credit Status is not A D or P | √ |
| 82 | This Cash Account does not exist | × |
| 83 | Request not valid during this period (RITS/RTGS State) | × |
| 84 | Warehoused payments not accepted from feeder system | √ |
| 85 | Message recalled | √ |
| 86 | Message unsettled at end of day | √ |
| 87 | Does not meet message format standards | √ |
| 88 | Sub-Message type does not exist | √ |
| 89 | MAC\PAC check failed | √ |
| 90 | Message not valid during SWIFTEVE RITS/RTGS | × |
| 91 | Message not valid during SWIFTFINAL RITS/RTGS | × |
| 92 | Rejected by RITS/RTGS because no evening agreement or ineligible transaction source | √ |
| 93 | Rejected by RITS/RTGS because one or more counter parties is not a bank | √ |
| 94 | Message not valid during SWIFTDAY RITS/RTGS | × |
| 95 | Rejected by RITS/RTGS because ineligible participants in batch stream | √ |
| 96 | Rejected by RITS/RTGS because batch does not sum to zero | √ |