## Validation of Business Rules and Technical Rules

**(Based on the TS-AEOI DAC2-1.11 EU Document)**

Για λόγους διαφάνειας και καλύτερης επικοινωνίας δημοσιεύεται τμήμα των τεχνικών οδηγιών της ΕΕ προς τα κράτη μέλη το οποίο αφορά στους τεχνικούς και επιχειρησιακούς κανόνες που θα πρέπει να καλύπτουν οι αναφορές τύπου DAC2/CRS που υποβάλλονται από τα υπόχρεα ελληνικά Χρηματοπιστωτικά Ιδρύματα.

Το κείμενο αυτό πρέπει να ληφθεί υπόψη κατά το σχεδιασμό των αναφορών που θα υποβάλλονται στην ΑΑΔΕ **μόνο σε συνδυασμό με τους επιπρόσθετους κανόνες που αναφέρονται στον οδηγό DAC2Submissions-v.1.0** που δημοσιεύεται στον ιστότοπο της ΑΑΔΕ μαζί με το παρών κείμενο.

Τεχνικοί κανόνες (technical rules) που αναφέρονται ως μη ελεγχόμενοι (not validated) είναι κανόνες λογικής ορθότητας του αρχείου σε σχέση με άλλες υποβληθείσες αναφορές (π.χ. μοναδικότητας DocRefId). Ως εκ τούτου τέτοιοι έλεγχοι δεν μπορούν να υλοποιηθούν σε μια ανεξάρτητη αναφορά DAC2 παρά μόνο κατά την υποβολή μιας αναφοράς στο σύστημα υποβολών.

| **Rule ID** | **Error Code** | **Rule Type** | **Validated by** | **Description** | **Note** | **Error Type** |
| --- | --- | --- | --- | --- | --- | --- |
| CDE-BR-0011 | 60004 | CDE Business Rule | Validation Module | Name type selected is invalid, i.e. corresponds to the value not used for CRS: OECD201= SMFAliasOrOther. | - | Record |
| CDE-BR-0071a | 50007 | CDE Business Rule | XSD | The referenced file failed validation against the CRS XML Schema. | - | File |
| CDE-BR-0071b | 50007 | CDE Business Rule | XSD | The referenced file failed validation against the CRS XML Schema. | - | File |
| CDE-BR-0091 **[EU SPECIFIC]** | 50007 | CDE Business Rule | XSD | The referenced file failed validation against the CRS XML Schema. | - | File |
| CDE-BR-0101 | 50008 | CDE Business Rule | Validation Module | The structure of the MessageRefID is not in the correct format. | - | File |
| CDE-BR-0131 | 99999 | CDE Business Rule | Validation Module | The code CRS703 is only used domestically to indicate that there is no data to report. | - | Record |
| CDE-BR-0151 | 60014 | CDE Business Rule | Validation Module | Date of birth should be in a valid range | - | Record |
| CDE-BR-0161 | 70000 | CDE Business Rule | Validation Module | The field Message.MessageRefID is missing, an empty value and a blank space are unacceptable. | - | Record |
| CDE-BR-0171 | 70001 | CDE Business Rule | Validation Module | The field Individual Account Holder. TIN is missing, an empty value and a blank space are unacceptable. | - | Record |
| CDE-BR-0181 | 70002 | CDE Business Rule | Validation Module | The field Individual Account Holder. Name. FirstName is missing, an empty value and a blank space are unacceptable. | - | Record |
| CDE-BR-0191 | 70003 | CDE Business Rule | Validation Module | The field Individual Account Holder. Name. LastName is missing, an empty value and a blank space are unacceptable. | - | Record |
| CDE-BR-0201 | 70004 | CDE Business Rule | Validation Module | The field Individual Account Holder. Address. AddressFix.City is missing, an empty value and a blank space are unacceptable. | - | Record |
| CDE-BR-0211 | 70005 | CDE Business Rule | Validation Module | The field Individual Account Holder. Address. AddressFree is missing, an empty value and a blank space are unacceptable. | - | Record |
| CDE-BR-0221 | 70006 | CDE Business Rule | Validation Module | The field Controlling Person. TIN is missing, an empty value and a blank space are unacceptable. | - | Record |
| CDE-BR-0231 | 70007 | CDE Business Rule | Validation Module | The field Controlling Person. Name. FirstName is missing, an empty value and a blank space are unacceptable. | - | Record |
| CDE-BR-0241 | 70008 | CDE Business Rule | Validation Module | The field Controlling Person. Name. LastName is missing, an empty value and a blank space are unacceptable. | - | Record |
| CDE-BR-0251 | 70009 | CDE Business Rule | Validation Module | The field Controlling Person. Address. AddressFix.City is missing, an empty value and a blank space are unacceptable. | - | Record |
| CDE-BR-0261 | 70010 | CDE Business Rule | Validation Module | The field Controlling Person. Address. AddressFree is missing, an empty value and a blank space are unacceptable. | - | Record |
| CDE-BR-0271 | 70011 | CDE Business Rule | Validation Module | The field Organisation Account Holder.IN is missing, an empty value and a blank space are unacceptable. | - | Record |
| CDE-BR-0281 | 70012 | CDE Business Rule | Validation Module | The field Organisation Account Holder.Name is missing, an empty value and a blank space are unacceptable. | - | Record |
| CDE-BR-0291 | 70013 | CDE Business Rule | Validation Module | The field Organisation Account Holder. Address. AddressFix.City is missing, an empty value and a blank space are unacceptable. | - | Record |
| CDE-BR-0301 | 70014 | CDE Business Rule | Validation Module | The field Organisation Account Holder. Address. AddressFree is missing, an empty value and a blank space are unacceptable. | - | Record |
| CDE-BR-0311 | 70015 | CDE Business Rule | Validation Module | The field ReportingFI .IN is missing, an empty value and a blank space are unacceptable. | - | Record |
| CDE-BR-0321 | 70016 | CDE Business Rule | Validation Module | The field ReportingFI.Name is missing, an empty value and a blank space are unacceptable. | - | Record |
| CDE-BR-0331 | 70017 | CDE Business Rule | Validation Module | The field ReportingFI. Address. AddressFix.City is missing, an empty value and a blank space are unacceptable. | - | Record |
| CDE-BR-0341 | 70018 | CDE Business Rule | Validation Module | The field ReportingFI. Address. AddressFree is missing, an empty value and a blank space are unacceptable. | - | Record |
| CDE-BR-0351 | 80007 | CDE Business Rule | Validation Module | The CorrMessageRefID is forbidden within the Message Header. | - | Record |
| CDE-BR-0361 | 99999 | CDE Business Rule | Validation Module | The fractions of seconds are not allowed. | - | Record |
| CDE-BR-0371 | 60013 | CDE Business Rule | Validation Module | ReportingFI.ResCountryCode should always be provided and it must match the Message Sending Country Code. | - | Record |
| FA-BR-0001 | 60007 | FA Business Rule | Validation Module | The Reporting Group cannot be repeated. | - | Record |
| FA-BR-0011a | 60008 | FA Business Rule | Validation Module | Sponsor cannot be provided. | - | Record |
| FA-BR-0011b | 60009 | FA Business Rule | Validation Module | Intermediary cannot be provided. | - | Record |
| FA-BR-0011c | 60010 | FA Business Rule | Validation Module | Pool Report cannot be provided. | - | Record |
| FA-BR-0021 | 60000 | FA Business Rule | Validation Module | The Account Number must follow the IBAN structured number format when the Account Number type= OECD601 – IBAN. | - | Record |
| FA-BR-0031 | 60001 | FA Business Rule | Validation Module | The Account Number must follow the ISIN structured number format when the Account Number type= OECD603 – ISIN. | - | Record |
| FA-BR-0041 | 50007 | FA Business Rule | XSD | The referenced file failed validation against the CRS XML Schema. | - | File |
| FA-BR-0051 | 50007 | FA Business Rule | XSD | The referenced file failed validation against the CRS XML Schema. | - | File |
| FA-BR-0071 | 60005 | FA Business Rule | Validation Module | When the Account Holder is an Organisation and the "Account Holder Type" is CRS102 or CRS103, the "Controlling Person Type" must be omitted. (CRS102= CRS Reportable Person; CRS103= Passive Non-Financial Entity that is a CRS Reportable Person). | - | Record |
| FA-BR-0081 | 60006 | FA Business Rule | Validation Module | When the Account Holder is an Organisation and the "Account Holder Type" is CRS101, the "Controlling Person Type" must be provided. (CRS101= Passive Non-Financial Entity with - one or more controlling person that is a Reportable Person).  *As mentioned in the CRS Status message XML Schema and related user guide [].* | - | Record |
| FA-BR-0111 | 70019 | FA Business Rule | Validation Module | The field AccountNumber is missing, an empty value and a blank space are unacceptable. | - | Record |
| FA-BR-0121 | 60002 | FA Business Rule | Validation Module | The account balance entered was less than zero. This amount must be greater than or equal to zero. | - | Record |
| FA-BR-0131 | 60003 | FA Business Rule | Validation Module | The Account Balance must be zero if account was indicated as closed in the account closed attribute. | - | Record |
| FA-BR-0141 | 60011 | FA Business Rule | Validation Module | When the Person is a Controlling Person or an Individual Account Holder, the ResCountryCode must match the Message Receiving Contry Code. | - | Record |
| FA-BR-0151 | 60012 | FA Business Rule | Validation Module | Either the Entity Account Holder ResCountryCode or Controlling Person ResCountryCode must match the Message Receiving Country Code. | - | Record |
| Failed Threat Scan | 50005  [NON-EU] | Technical Rule | Not validated | The receiving Competent Authority detected one or more potential security threats within the decrypted version of the referenced file. Such threats include but are not limited to hyperlinks, Java script, and executable files. | This is not in the scope of DAC | File |
| Failed Viruas Scan | 50006  [NON-EU] | Technical Rule | Not validated | The receiving Competent Authority detected one or more known viruses within the decrypted version of the referenced file. | This is not in the scope of DAC | File |
| Failed Schema Validation | 50007 | Technical Rule | XSD | The referenced file failed validation against the CRS XML Schema. | - | File |
| Message RefID has already been used | 50009 | Technical Rule | Not validated | The referenced file has a duplicate MessageRefID value that was received on a previous file.  Please do not submit a request to correct or delete any of the records in this file until you receive a CRS Status Message that this file has been received as valid (Status is Accepted). | An access to the database is required | File |
| File Contains Test Data for Production Environment | 50010 | Technical Rule | Validation Module | The referenced file contains one or more records with a DocTypeIndic value in the range OECD10-OECD13, indicating test data. As a result, the receiving Competent Authority cannot accept this file as a valid CRS file submission. | - | File |
| File Contains Production Data for Test Environment | 50011  [NON-EU] | Technical Rule | Not validated | The referenced file was received in a test environment with one or more records having a DocTypeIndic value in the range OECD0-OECD3. These DocTypeIndic values indicate data in this file may have been intended as a valid CRS file submission. CRS messages received in test environments are not accepted by the receiving Competent Authority as a valid CRS file submission. Submissions to the test environment should only include records with DocTypeIndic in the range OECD10-OECD13, indicating test files. | This is not in the scope of DAC | File |
| Account Report | 60015 | Technical Rule | Validation Module | AccountReport can only be omitted if ReportingFI is being corrected/deleted or if there is nil reporting. If the ReportingFI indicates new data or resent, then AccountReport must be provided. | - | Record |
| DocRefID already used | 80000 | Technical Rule | Validation Module | The DocRefID is already used for another record. | An access to the database is required | Record |
| DocRefID format | 80001 | Technical Rule | Not validated | The structure of the DocRefID is not in the correct format. | - | Record |
| CorrDocRefId unknown | 80002 | Technical Rule | Not validated | The CorrDocRefId refers to an unknown record. | An access to the database is required | Record |
| CorrDocRefId no longer valid | 80003 | Technical Rule | Not validated | The corrected record is no longer valid (invalidated or outdated by a previous correction message). As a consequence, no further information should have been received on this version of the  record. | An access to the database is required | Record |
| CorrDocRefId for new data | 80004 | Technical Rule | Validation Module | The initial element specifies a CorrDocRefId. | - | Record |
| Missing CorrDocRefId | 80005 | Technical Rule | Validation Module | The corrected element does not specify any CorrDocRefId. | - | Record |
| DocSpec.CorrMessage RefID | 80006 | Technical Rule | Validation Module | The CorrMessageRefID is forbidden within the DocSpec\_Type. | - | Record |
| Resend option | 80008 | Technical Rule | Validation Module | The Resend option may only be used with respect to the Reporting FI element. | - | Record |
| Delete ReportingFI | 80009 | Technical Rule | Not validated | The Reporting FI cannot be deleted without deleting all related Account Reports. | An access to the database is required | Record |
| Message TypeIndic | 80010 | Technical Rule | Validation Module | A message can contain either new records (OECD1) or corrections/deletions (OECD2 and OECD3), but should not contain a mixture of both. | - | Record |
| CorrDocRefID twice in same message | 80011 | Technical Rule | Validation Module | The same DocRefID cannot be corrected or deleted twice in the same message. | - | Record |
| Reporting Period | 80012 | Technical Rule | Not validated | A message must not contain data for two different Reporting Periods (e.g. new data for Reporting Period 2017 but corrected data for Reporting Period 2016). | An access to the database is required | Record |
| Record number exceeded | 90050  [EU SPECIFIC] | Technical Rule | Not validated | The received message exceeds the maximum number of records. It should have been split. | MSs are free to communicate bilaterally on a maximum amount of records (within the bounds defined in ), and may have a tolerance | Record |