

Excise Functional Requirements BPM Report for Registration and Authorisation Data Management with Duty Paid B2B
COVER PAGE

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TABLE OF CONTENTS

1. INTRODUCTION	3
1.1. Document Purpose	3
1.2. Deviation From TEMPO	3
1.3. Assumption and Constraints	3
1.4. Project Ownership.....	3
1.5. Intended Audience	3
1.6. Structure of Document.....	3
2. REFERENCES	5
2.1. Acronyms and abbreviations	5
2.2. Reference Documents	5
3. DOCUMENT HISTORY	7
4. HIGH LEVEL SYSTEM OVERVIEW	8
4.1. System Overview	8
4.2. Actors.....	8
5. PROCESS MODELS.....	9
5.1. Process L4-RADM-01-01-Maintenance of registration data.....	9
5.1.1. Objective of Process	9
5.1.2. Process Details.....	10
5.1.3. Tasks and Events	11
5.2. Process L4-RADM-01-08-Handle validation Results of Common Domain message	14
5.2.1. Objective of Process	14
5.2.2. Process Details.....	15
5.2.3. Tasks and Events	15
5.3. Process L4-RADM-01-07-Perform validation of Common Domain message.....	23
5.3.1. Objective of Process	23
5.3.2. Process Details.....	24
5.3.3. Tasks and Events	24

1. INTRODUCTION

1.1. Document Purpose

This document presents the L4 Functional Requirements Processes for Registration and Authorisation Data Management with Duty Paid B2B. This includes L4 processes that show the human interaction tasks and the automated tasks and the information exchanges. In addition, there is an annex containing graphic representations of the L4 Business Process Diagrams. This report is generated from ARIS and only contains information present in ARIS.

1.2. Deviation From TEMPO

The following TEMPO sections are not part of this document:

- Sign Off list;
- Distribution List;
- Scope;
- Applicable Documents;
- List of Tables;
- List of Figures.

The following TEMPO sections are added to this document:

- Project Ownership;
- Intended Audience.

1.3. Assumption and Constraints

The reader should have a basic knowledge of the EU BPM methodology.

1.4. Project Ownership

The unit DG TAXUD/C2 is the project owner of this Excise Functional Requirements BPM Report.

1.5. Intended Audience

The purpose of this document is to establish a common understanding between readers that are familiar with the applicable documents and may belong to the following categories:

- Any person responsible for the Excise - EMCS business / system processes, requirements, functional specifications or conformance testing;
- Any person responsible for the Export - AES business / system processes, requirements, functional specifications or conformance testing;
- Any person of the development team of DG TAXUD/C5 who will use this document as a reference during the development cycle;
- Any person from the DG TAXUD units who has to verify whether the current document is consistent with the applicable documents and depicts the solution to be followed;
- Any Member State (MS) or Trade representatives who have to identify the actions, implications and consequences on their national domain, including both business people and people having an IT background.

1.6. Structure of Document

This document is organised as follows:

- Introduction;

INTRODUCTION

- References, containing a list of acronyms and abbreviations and the documents referenced in this functional requirements document;
- Document History, listing the different versions and submission dates of this functional requirements document;
- High Level System Overview, providing an overview of the system and the actors involved in this functional requirements document;
- Process Models, visualising in separate sections information from all L4 BPMs relating to the system covered in this functional requirements document.

In separate document, the following related annex may be found:

- Annex 1: Model Graphics, providing all L4 BPM models

2. REFERENCES

2.1. Acronyms and abbreviations

ACRONYM	DESCRIPTION
ARC	Administrative Reference Code
Art	Article
BPM	Business Process Model
B2B	Business-to-Business
CCN	Common Communication Network
COL	Customs Office List
DG TAXUD	Directorate General Taxation and Customs Union
e-AD	Electronic Administrative Document
ELO	Excise Liaison Office
EMCS	Excise Movement and Control System
EOL	Excise Office List
e-SAAD	Electronic Simplified Administrative Accompanying Document
EU	European Union
ID	Identifier
IT	Information Technology
MS	Member State(s)
MSA	Member State Administration
N/A	Not Applicable
HL	High Level
RADM	Registration and Authorisation Data Management
Reg	Regulation
SARC	Simplified Administrative Reference Code
TEMPO	TAXUD Electronic Management of Projects On-Line
UR	User Requirement

Table 2.1: Acronyms and abbreviations

2.2. Reference Documents

The following documents are of interest to this document and its annexes:

REF.	TITLE	ORIGINATOR	VERSION	DATE
R01	SC15 DLV-6.4-1-(10) EU CUSTOMS BPM METHODOLOGY DOCUMENT-v3.00	DG TAXUD	3.00	10/01/2014

REFERENCES

R02	Functional Excise System Specifications	DG TAXUD	v3.65	13/11/2013
R03	Design Document for National Excise Applications (EMCS Phase 3)	DG TAXUD	v1.76	13/11/2013

Table

2.2:

Reference

Documents

3. DOCUMENT HISTORY

ED.	REV.	DATE	DESCRIPTION	ACTION *	PAGES
1	00	05/02/2020	Production of the SEED Phase 4 BPMs, consolidating the Duty Suspension and Duty Paid BPMs and artefacts in accordance with SC07-RfA#559. Submitted for Information to DG Taxation and Customs Union and Member States.	I, U	All
1	01	03/04/2020	Production of the SEED Phase 4 BPMs, consolidating the Duty Suspension and Duty Paid BPMs and artefacts in accordance with SC07-RfA#559. Submitted for Review to DG Taxation and Customs Union.	I, U	All
1	02	19/09/2019	Alignment of the Duty Paid BPMs and artefacts with EMCS Phase 3.4 in accordance with SC07-RfA#559. Submitted for Acceptance to DG Taxation and Customs Union.	I, U	All
1	03	22/05/2020	Published for Member States review (MSP).	I, U	All

Table

3.1:

Document

History

*I = Insert, R = Replace, U = Update

4. HIGH LEVEL SYSTEM OVERVIEW

4.1. System Overview

This document contains the functional specifications for the Excise Movement and Control System to which any Nationally Developed Excise Application (NDEA) and Centrally Developed Excise Application (CDEA) needs to conform. These functional specifications are to be regarded as the basis for the development of the technical specifications (i.e. DDNEA – 'Design Document for National Excise Applications'). It is important to note that the complete functional specifications can be found in ARIS and that this document is envisaged to be supporting documentation to the diagrams and information in ARIS. If the legal baseline of this document would change, the functional specifications will need to be updated and aligned.

Since the actual implementation of the system is under national responsibility, the division between user interface and automated tasks included in this document should be considered as a proposal from DG TAXUD. MSAs are free to deviate and introduce more or less automation. However, as with all Trans-European Systems, compliance with the common domain information exchanges will be mandatory to ensure automated communication between MSAs.

4.2. Actors

ACTORS	DESCRIPTION
SEED user	SEED user interacts with SEED (System for Exchange of Excise Data) to achieve his/her business goals or to support the primary functions.
SEED	The System for Exchange of Excise Data (SEED) is located in the Common Domain. It provides management and dissemination services regarding information on the Economic Operators register and the Reference Data register. It also provides exchange of SEED statistics.
Common Domain Central Services	Central services in the Common Domain: <ul style="list-style-type: none">· receive, validate, consolidate, keep and disseminate registration information and the EOL;· produce, keep and disseminate reference data;· produce and send SEED statistics;· ensure a global monitoring of the system and provide some added value services.
MSA Central Services	Central services in each MS: <ul style="list-style-type: none">· produce, submit, receive and keep SEED and reference data information including the EOL;· request and receive SEED statistics.

Actors

5. PROCESS MODELS

5.1. Process L4-RADM-01-01-Maintenance of registration data

5.1.1. Objective of Process

The purpose of this process is to describe all possible paths in the electronic flow of the maintenance of registration data, in accordance with the current Common Specifications (FESS and DDNEA) (*).

The process is triggered when SEED at Common Domain Central Services receives an Operations on the register of economic operators message (IE713) from Central Services of an MSA (MSA Central Services).

After receiving the Operations on the register of economic operators message (IE713) from the MSA Central Services, SEED at Common Domain Central Services validates its data by using the “L4-RADM-01-07-Perform validation of Common Domain message” sub process. Then, SEED proceeds with the handling of the validation results by using the “L4-RADM-01-08-Handle validation Results of Common Domain message” call activity. Depending on the outcome (end event) of the “L4-RADM-01-08-Handle validation Results of Common Domain message” call activity, the following may happen:

- a. If a refusal message (IE917/IE714) is sent to the MSA Central Services (since the Operations on the register of economic operators message was found invalid), the whole process ends at this point;
- b. If the Operations on the register of economic operators message (IE713) is recorded (since it was found valid), the process continues.

Following, SEED identifies whether there are any MSAs that are registered to receive disseminations of the Operations on the Register of Economic Operators (IE713):

- In case there are no MSAs that are registered to receive disseminations of the Operations on the Register of Economic Operators (IE713), the process ends here;
- In case there are MSAs that are registered to receive disseminations of the Operations on the Register of Economic Operators (IE713), SEED proceeds with disseminating the specific IE713 messages to all MSAs that are registered to receive IE713 disseminations (by using the “L4-RADM-01-03-Dissemination of registration data” call activity) and the whole process ends.

(*) The following discrepancies are detected:

1. A discrepancy is detected between the current Common Specifications (FESS and DDNEA) and the existing system behaviour (SEED):

- According to the current Common Specification (see Sub-section “V.I.3.1.2 Dissemination of SEED data (UC1.14)” of DDNEA and sub-Section “4.2.1 Overview” of “Dissemination of registration data (UC1.15)” of FESS Section III), after receiving a valid IE713 from a MSA, SEED builds a consolidated message (IE713) composed of all valid updates submitted by the MSAs. That is, the IE713 to be disseminated (to all MSAs that are registered to receive IE713 disseminations) contains not only the updates submitted via the specific IE713, but consolidated updates (including updates submitted previously by the MSAs); however
- According to the existing system behaviour (SEED), after receiving a valid IE713 from a MSA central services, SEED disseminates this valid IE713 to all MSAs that are registered to receive IE713 disseminations (i.e. no consolidated message is built).

PROCESS MODELS

Given that the existing system behaviour is considered valid, the concerned part of the flow is designed in alignment with the current system. (A relevant corrective action shall be taken in the Common Specifications as per the ITSM incident IM176181.)

2. A discrepancy is detected between FESS and DDNEA: According to DDNEA (see Sub-section “V.I.3.1.2 Dissemination of SEED data (UC1.14)” of DDNEA), after receiving a valid IE713 from a MSA, SEED disseminates this valid IE713 to all MSAs that opted for receiving IE713 disseminations. This is also in alignment with the current system behaviour. However, in FESS Section II (see EBP UC-115-110 “Disseminate changes”), it is not clarified that, in this scenario, SEED sends the IE713 only to the MSAs who are registered to receive IE713 disseminations. Given that DDNEA is considered valid in this case, the concerned part of the flow is depicted in alignment with DDNEA. (A relevant corrective action shall be taken in the FESS as per the ITSM incident IM176182.)

5.1.2. Process Details

PROCESS ATTRIBUTE NAME	PROCESS ATTRIBUTE VALUE
Process ID	L4-RADM-01-01
Full Name	Maintenance of registration data
Assumptions	<p>1. The following discrepancy is detected between the current Common Specifications (FESS and DDNEA) and the existing system behaviour (SEED):</p> <ul style="list-style-type: none"> · According to the current Common Specification (see Sub-section “V.I.3.1.2 Dissemination of SEED data (UC1.14)” of DDNEA and sub-Section “4.2.1 Overview” of “Dissemination of registration data (UC1.15)” of FESS Section III), after receiving a valid IE713 from a MSA, SEED builds a consolidated message (IE713) composed of all valid updates submitted by the MSAs. That is, the IE713 to be disseminated (to all MSAs that are registered to receive IE713 disseminations) contains not only the updates submitted via the specific IE713, but consolidated updates (including updates submitted previously by the MSAs); however · According to the existing system behaviour (SEED), after receiving a valid IE713 from a MSA central services, SEED disseminates this valid IE713 to all MSAs that are registered to receive IE713 disseminations (i.e. no consolidated message is built). <p>Given that the existing system behaviour is considered valid, the concerned part of the flow is designed in alignment with the current system. (A relevant corrective action shall be taken in the Common Specifications as per the ITSM incident IM176181.)</p> <p>2. The following discrepancy is detected between FESS and DDNEA: According to DDNEA (see Sub-section “V.I.3.1.2 Dissemination of SEED data (UC1.14)” of DDNEA), after receiving a valid IE713 from a MSA, SEED disseminates this valid IE713 to all MSAs that opted for receiving IE713 disseminations. This is also in alignment with the current system behaviour. However, in FESS Section II (see EBP UC-115-110 “Disseminate changes”), it is not clarified that, in this scenario, SEED sends the IE713 only to the MSAs who are registered to receive IE713 disseminations. Given that DDNEA is considered valid in this case, the concerned part of the flow is depicted in alignment with DDNEA. (A relevant corrective action shall be taken in the FESS as per the ITSM</p>

Excise Functional Requirements BPM Report for Registration and Authorisation Data Management with Duty Paid B2B	
PROCESS MODELS	
	incident IM176182.)
Constraints	No constraints.
L3 Reference Models	L3-RADM-01-01-Maintenance of the Central Register
Existing Specifications	Functional Excise System Specification - v3.90 Design Document for National Excise Applications - v2.00

Table 5.1: Process Details

5.1.3. Tasks and Events

Event Operations on the register of economic operators received

EVENT ATTRIBUTE NAME	EVENT ATTRIBUTE VALUE
Event Name	Operations on the register of economic operators received
Event Type	Message start event
Description	Operations on the register of economic operators (IE713) received at SEED. This indicates that the MSA central services performed a creation, an update or an invalidation of a specific record of the registration data at national level.
Previous Objects	MSA Central Services

Table 5.2: Event Operations on the register of economic operators received

Task Perform validation of operations on the register of economic operators

TASK ATTRIBUTE NAME	TASK ATTRIBUTE VALUE
Task Name	Perform validation of operations on the register of economic operators
Task Type	Subprocess (collapsed)
Description	This task is modelled in a separate process: L4-RADM-AS-IS-01-07-Perform validation of Common Domain message. .
Actor	SEED
Input Data	
Output Data	
Previous Objects	Operations on the register of economic operators received
Information Exchange	
Requirements	
Data Set	
Events	
State	

Excise Functional Requirements BPM Report for Registration and Authorisation Data Management with Duty Paid B2B
PROCESS MODELS

Table 5.3: Task Perform validation of operations on the register of economic operators

Task Handle validation results of operations on the register of economic operators

TASK ATTRIBUTE NAME	TASK ATTRIBUTE VALUE
Task Name	Handle validation results of operations on the register of economic operators
Task Type	Call activity (collapsed)
Description	This task is modelled in a separate process: L4-RADM-AS-IS-01-08-Handle validation Results of Common Domain message.
Actor	SEED
Input Data	
Output Data	
Previous Objects	Perform validation of operations on the register of economic operators
Information Exchange	
Requirements	
Data Set	
Events	
State	

Table 5.4: Task Handle validation results of operations on the register of economic operators

Event Refusal message sent to the MSA Central Services since the operations on the register of economic operators had been found invalid

EVENT ATTRIBUTE NAME	EVENT ATTRIBUTE VALUE
Event Name	Refusal message sent to the MSA Central Services since the operations on the register of economic operators had been found invalid
Event Type	End event
Description	Refusal message (IE917/IE714) sent to the MSA Central Services since the operations on the register of economic operators had been found invalid.
Previous Objects	What is the outcome of handling the validation results?

Table 5.5: Event Refusal message sent to the MSA Central Services since the operations on the register of economic operators had been found invalid

Event Operations of the register of economic operators recorded

EVENT ATTRIBUTE NAME	EVENT ATTRIBUTE VALUE
Event Name	Operations of the register of economic operators recorded
Event Type	Conditional intermediate event

Excise Functional Requirements BPM Report for Registration and Authorisation Data Management with Duty Paid B2B	
PROCESS MODELS	
Description	The Operations on the Register of Economic Operators message (IE713) was recorded since it had been found valid and the process continues.
Previous Objects	What is the outcome of handling the validation results?

Table 5.6: Event Operations of the register of economic operators recorded

Task Identify whether there are any MSAs that are registered to receive disseminations of the Operations on the Register of Economic Operators

TASK ATTRIBUTE NAME	TASK ATTRIBUTE VALUE
Task Name	Identify whether there are any MSAs that are registered to receive disseminations of the Operations on the Register of Economic Operators
Task Type	Service task
Description	SEED identifies whether there are any MSAs that are registered to receive disseminations of the Operations on the Register of Economic Operators (IE713).
Actor	SEED
Input Data	C_QRO_DAT
Output Data	Result Identify whether there are any MSAs that are registered to receive disseminations of the Operations on the Register of Economic Operators
Previous Objects	Operations of the register of economic operators recorded
Information Exchange	
Requirements	RAD_FUR_0001
Data Set	
Events	
State	

Table 5.7: Task Identify whether there are any MSAs that are registered to receive disseminations of the Operations on the Register of Economic Operators

Task Forward notifications of modifications to national registers

TASK ATTRIBUTE NAME	TASK ATTRIBUTE VALUE
Task Name	Forward notifications of modifications to national registers
Task Type	Call activity (collapsed)
Description	This task is modeled in a separate process: L4-RADM-AS-IS-01-03-Dissemination of registration data.
Actor	SEED
Input Data	
Output Data	

Excise Functional Requirements BPM Report for Registration and Authorisation Data Management with Duty Paid B2B	
PROCESS MODELS	
Previous Objects	Are there any MSAs that are registered to receive disseminations on Operations on the Register of Economic Operators?
Information Exchange	
Requirements	
Data Set	
Events	
State	

Table 5.8: Task Forward notifications of modifications to national registers

Event SEED data modified and updates disseminated

EVENT ATTRIBUTE NAME	EVENT ATTRIBUTE VALUE
Event Name	SEED data modified and updates disseminated
Event Type	End event
Description	SEED data is modified (since the updates related to the Economic Operators are integrated to the central SEED repository) and the updates are disseminated to the Member States that are registered for receiving IE713 disseminations
Previous Objects	Forward notifications of modifications to national registers

Table 5.9: Event SEED data modified and updates disseminated

Event SEED data modified and updates not disseminated

EVENT ATTRIBUTE NAME	EVENT ATTRIBUTE VALUE
Event Name	SEED data modified and updates not disseminated
Event Type	End event
Description	SEED data is modified since the updates related to the Economic Operators are integrated to the central SEED repository
Previous Objects	Are there any MSAs that are registered to receive disseminations on Operations on the Register of Economic Operators?

Table 5.10: Event SEED data modified and updates not disseminated

5.2. Process L4-RADM-01-08-Handle validation Results of Common Domain message

5.2.1. Objective of Process

The purpose of this process is to describe all possible paths in the electronic flow of the handling of the validation results of a message received over the Common Domain, in accordance with the current Common Specifications (FESS and DDNEA).

The process is triggered when a message received over the Common Domain is validated by SEED and the validation results are available. Depending on the validation result the following may happen:

- a. If the Common Domain message was found invalid due to Syntactic violation(s), SEED at Common Domain Central Services builds a Negative Acknowledgement of XML Receipt refusal message (IE917) and then it records it. Following, SEED at the Common Domain Central Services notifies MSA Central Services of the Negative Acknowledgement of XML Receipt refusal message (IE917) and the whole process ends at this point;
- b. If the Common Domain message was found invalid due to Coordination Protocol and/or Business Compliance violation(s), SEED at the Common Domain Central Services identifies whether the Common Domain message is an Operations on the register of economic operators (IE713) or a Common request (IE701):
 - In case the Common Domain message is an Operations on the register of economic operators (IE713), SEED builds a Refusal of Update of Economic Operators message (IE714) and then it records it. Following, SEED notifies the MSA Central Services of the Refusal of Update of Economic Operators message (IE714) and the whole process ends here;
 - In case the Common Domain message is a Common request (IE701), SEED builds a Refusal of Common Request message (IE702) and then it records it. Following, SEED notifies the MSA Central Services of the Refusal of Common Request message (IE702) and the whole process ends at this point.
- c. If the Common Domain message was found valid, SEED at the Common Domain Central Services records the valid message and the whole process ends.

5.2.2. Process Details

PROCESS ATTRIBUTE NAME	PROCESS ATTRIBUTE VALUE
Process ID	L4-RADM-01-08
Full Name	Handle validation Results of Common Domain message
Assumptions	N/A
Constraints	No constraints.
L3 Reference Models	L3-RADM-01-01-Maintenance of the Central Register
Existing Specifications	Functional Excise System Specification - v3.90 Design Document for National Excise Applications - v2.00

Table 5.11: Process Details

5.2.3. Tasks and Events

Event Common Domain message validated and results are available

EVENT ATTRIBUTE NAME	EVENT ATTRIBUTE VALUE
Event Name	Common Domain message validated and results are available
Event Type	Start event

Excise Functional Requirements BPM Report for Registration and Authorisation Data Management with Duty Paid B2B	
PROCESS MODELS	
Description	<p>The validation mechanism has processed the Common Domain message and produced validation results.</p> <p>The current process starts when the validation results are available to be handled.</p>
Previous Objects	

Table 5.12: Event Common Domain message validated and results are available

Task Build Negative Acknowledgement of XML Receipt refusal message

TASK ATTRIBUTE NAME	TASK ATTRIBUTE VALUE
Task Name	Build Negative Acknowledgement of XML Receipt refusal message
Task Type	Service task
Description	If the message is found invalid due to Syntactic violation(s), SEED builds a Negative Acknowledgement of XML Receipt refusal message (IE917).
Actor	SEED
Input Data	Result Identify if the Common Domain message is syntactically valid
Output Data	
Previous Objects	What is the Common Domain validation result?
Information Exchange	<p>common request</p> <p>operations on the register of economic operators</p> <p>Negative Acknowledgement of XML Receipt message</p>
Requirements	RAD_FUR_0013
Data Set	
Events	
State	

Table 5.13: Task Build Negative Acknowledgement of XML Receipt refusal message

Task Record valid message

TASK ATTRIBUTE NAME	TASK ATTRIBUTE VALUE
Task Name	Record valid message
Task Type	Service task
Description	The valid message is stored.
Actor	SEED
Input Data	<p>Result Identify if the Common Domain message passed Coordination Protocol validation successfully</p> <p>Result Identify if the Common Domain message passed Business Compliance validation successfully</p> <p>Result Identify if the Common Domain message is syntactically valid</p>

Excise Functional Requirements BPM Report for Registration and Authorisation Data Management with Duty Paid B2B	
PROCESS MODELS	
Output Data	
Previous Objects	What is the Common Domain validation result?
Information Exchange	common request operations on the register of economic operators operations on the register of economic operators common request
Requirements	RAD_FUR_0020
Data Set	
Events	
State	

Table 5.14: Task Record valid message

Task Record Negative Acknowledgement of XML Receipt refusal message

TASK ATTRIBUTE NAME	TASK ATTRIBUTE VALUE
Task Name	Record Negative Acknowledgement of XML Receipt refusal message
Task Type	Service task
Description	The Negative Acknowledgement of XML Receipt refusal message (IE917) is stored.
Actor	SEED
Input Data	
Output Data	
Previous Objects	Build Negative Acknowledgement of XML Receipt refusal message
Information Exchange	Negative Acknowledgement of XML Receipt message Negative Acknowledgement of XML Receipt message
Requirements	RAD_FUR_0015
Data Set	
Events	
State	

Table 5.15: Task Record Negative Acknowledgement of XML Receipt refusal message

Event Message recorded

EVENT ATTRIBUTE NAME	EVENT ATTRIBUTE VALUE
Event Name	Message recorded

Excise Functional Requirements BPM Report for Registration and Authorisation Data Management with Duty Paid B2B	
PROCESS MODELS	
Event Type	End event
Description	The valid message is recorded.
Previous Objects	Record valid message

Table 5.16: Event Message recorded

Task Identify whether the Common Domain message is an Operations on the Register of Economic Operators or a Common Request message

TASK ATTRIBUTE NAME	TASK ATTRIBUTE VALUE
Task Name	Identify whether the Common Domain message is an Operations on the Register of Economic Operators or a Common Request message
Task Type	Service task
Description	SEED identifies whether the Common Domain message is an Operations on the register of economic operators (IE713) or a Common request (IE701).
Actor	SEED
Input Data	Result Identify if the Common Domain message is syntactically valid Result Identify if the Common Domain message passed Coordination Protocol validation successfully
Output Data	Result Identify whether the Common Domain message is an Operations on the Register of Economic Operators or a Common Request message
Previous Objects	What is the Common Domain validation result?
Information Exchange	common request operations on the register of economic operators
Requirements	RAD_FUR_0021
Data Set	
Events	
State	

Table 5.17: Task Identify whether the Common Domain message is an Operations on the Register of Economic Operators or a Common Request message

Task Notify MSA Central Services of Negative Acknowledgement of XML Receipt refusal message

TASK ATTRIBUTE NAME	TASK ATTRIBUTE VALUE
Task Name	Notify MSA Central Services of Negative Acknowledgement of XML Receipt refusal message
Task Type	Send task

Excise Functional Requirements BPM Report for Registration and Authorisation Data Management with Duty Paid B2B	
PROCESS MODELS	
Description	SEED notifies the Economic Operator of the Negative Acknowledgement of XML Receipt refusal message (IE917).
Actor	SEED
Input Data	
Output Data	
Previous Objects	Record Negative Acknowledgement of XML Receipt refusal message
Information Exchange	Negative Acknowledgement of XML Receipt message Negative Acknowledgement of XML Receipt message
Requirements	RAD_FUR_0018
Data Set	
Events	
State	

Table 5.18: Task Notify MSA Central Services of Negative Acknowledgement of XML Receipt refusal message

Task Build Refusal of Update of Economic Operators message

TASK ATTRIBUTE NAME	TASK ATTRIBUTE VALUE
Task Name	Build Refusal of Update of Economic Operators message
Task Type	Service task
Description	If the received Operations on the Register of Economic Operators message (IE713) is found invalid due to Business Compliance violation(s), SEED builds a Refusal of Update of Economic Operators message (IE714).
Actor	SEED
Input Data	Result Identify whether the Common Domain message is an Operations on the Register of Economic Operators or a Common Request message
Output Data	
Previous Objects	Is the received Common Domain message an Operations on the Register of Economic Operators or a Common Request?
Information Exchange	refusal of update of economic operators operations on the register of economic operators
Requirements	RAD_FUR_0024
Data Set	
Events	
State	

Table 5.19: Task Build Refusal of Update of Economic Operators message

Excise Functional Requirements BPM Report for Registration and Authorisation Data Management with Duty Paid B2B
PROCESS MODELS

Event Negative Acknowledgement of XML Receipt refusal message sent to MSA Central Services

EVENT ATTRIBUTE NAME	EVENT ATTRIBUTE VALUE
Event Name	Negative Acknowledgement of XML Receipt refusal message sent to MSA Central Services
Event Type	End event
Description	Negative Acknowledgement of XML Receipt refusal message (IE917) sent to MSA Central Services.
Previous Objects	Notify MSA Central Services of Negative Acknowledgement of XML Receipt refusal message

Table 5.20: Event Negative Acknowledgement of XML Receipt refusal message sent to MSA Central Services

Task Build Refusal of Common Request

TASK ATTRIBUTE NAME	TASK ATTRIBUTE VALUE
Task Name	Build Refusal of Common Request
Task Type	Service task
Description	If the received Common Request message (IE701) is found invalid due to Business Compliance violation(s), SEED builds a Refusal of Common Request message (IE702).
Actor	SEED
Input Data	Result Identify whether the Common Domain message is an Operations on the Register of Economic Operators or a Common Request message
Output Data	
Previous Objects	Is the received Common Domain message an Operations on the Register of Economic Operators or a Common Request?
Information Exchange	refusal of common request common request
Requirements	RAD_FUR_0023
Data Set	
Events	
State	

Table 5.21: Task Build Refusal of Common Request

Task Record Refusal of Update of Economic Operators message

TASK ATTRIBUTE NAME	TASK ATTRIBUTE VALUE
---------------------	----------------------

Excise Functional Requirements BPM Report for Registration and Authorisation Data Management with Duty Paid B2B
PROCESS MODELS

Task Name	Record Refusal of Update of Economic Operators message
Task Type	Service task
Description	The Refusal of Update of Economic Operators message (IE714) is stored.
Actor	SEED
Input Data	
Output Data	
Previous Objects	Build Refusal of Update of Economic Operators message
Information Exchange	refusal of update of economic operators refusal of update of economic operators
Requirements	RAD_FUR_0029
Data Set	
Events	
State	

Table 5.22: Task Record Refusal of Update of Economic Operators message

Task Record Refusal of Common Request

TASK ATTRIBUTE NAME	TASK ATTRIBUTE VALUE
Task Name	Record Refusal of Common Request
Task Type	Service task
Description	The Refusal of Common Request message (IE702) is stored.
Actor	SEED
Input Data	
Output Data	
Previous Objects	Build Refusal of Common Request
Information Exchange	refusal of common request refusal of common request
Requirements	RAD_FUR_0026
Data Set	
Events	
State	

Table 5.23: Task Record Refusal of Common Request

Task Notify MSA Central Services of Refusal of Update of Economic Operators Message

Excise Functional Requirements BPM Report for Registration and Authorisation Data Management with Duty Paid B2B
PROCESS MODELS

TASK ATTRIBUTE NAME	TASK ATTRIBUTE VALUE
Task Name	Notify MSA Central Services of Refusal of Update of Economic Operators Message
Task Type	Send task
Description	SEED notifies the MSA Central Services of the Refusal of Update of Economic Operators message (IE714).
Actor	SEED
Input Data	
Output Data	
Previous Objects	Record Refusal of Update of Economic Operators message
Information Exchange	refusal of update of economic operators refusal of update of economic operators
Requirements	RAD_FUR_0030
Data Set	
Events	
State	

Table 5.24: Task Notify MSA Central Services of Refusal of Update of Economic Operators Message

Task Notify MSA Central Services of Refusal of Common Request

TASK ATTRIBUTE NAME	TASK ATTRIBUTE VALUE
Task Name	Notify MSA Central Services of Refusal of Common Request
Task Type	Send task
Description	SEED notifies the MSA Central Services of the Refusal of Common Request message (IE702).
Actor	SEED
Input Data	
Output Data	
Previous Objects	Record Refusal of Common Request
Information Exchange	refusal of common request refusal of common request
Requirements	RAD_FUR_0028
Data Set	
Events	
State	

Excise Functional Requirements BPM Report for Registration and Authorisation Data Management with Duty Paid B2B
PROCESS MODELS

Table 5.25: Task Notify MSA Central Services of Refusal of Common Request

Event Refusal of Update of Economic Operators sent to MSA Central Services

EVENT ATTRIBUTE NAME	EVENT ATTRIBUTE VALUE
Event Name	Refusal of Update of Economic Operators sent to MSA Central Services
Event Type	End event
Description	Refusal of Update of Economic Operators (IE714) sent to MSA Central Services.
Previous Objects	Notify MSA Central Services of Refusal of Update of Economic Operators Message

Table 5.26: Event Refusal of Update of Economic Operators sent to MSA Central Services

Event Refusal of Common Request sent to MSA Central Services

EVENT ATTRIBUTE NAME	EVENT ATTRIBUTE VALUE
Event Name	Refusal of Common Request sent to MSA Central Services
Event Type	End event
Description	Refusal of Common Request (IE702) sent to MSA Central Services.
Previous Objects	Notify MSA Central Services of Refusal of Common Request

Table 5.27: Event Refusal of Common Request sent to MSA Central Services

5.3. Process L4-RADM-01-07-Perform validation of Common Domain message

5.3.1. Objective of Process

The purpose of this sub process is to describe all possible steps during the validation of a Common Domain message, in accordance with the current Common Specifications (DDNEA).

The current sub process is triggered when a Common Domain message is received. After the Common Domain message is received, a Syntactic validation of this message is performed:

- In case the message is found invalid due to Syntactic violation(s), the sub process ends here;
- In case the message is found valid, the sub process continues.

Following, Coordination Protocol validation of the message is performed:

- In case the message is found invalid due to Coordination Protocol violation(s), the sub process ends;
- In case the message is found valid, the sub process continues.

Finally, Business Compliance validation of the message is performed:

- In case the message is found invalid due to Business Compliance violation(s), the sub process ends;
- In case the message is found valid, the sub process also ends.

Excise Functional Requirements BPM Report for Registration and Authorisation Data Management with Duty Paid B2B
PROCESS MODELS

5.3.2. Process Details

PROCESS ATTRIBUTE NAME	PROCESS ATTRIBUTE VALUE
Process ID	L4-RADM-01-07
Full Name	Perform validation of Common Domain message
Assumptions	N/A
Constraints	No constraints.
L3 Reference Models	L3-RADM-01-01-Maintenance of the Central Register
Existing Specifications	Functional Excise System Specification - v3.90 Design Document for National Excise Applications - v2.00

Table 5.28: Process Details

5.3.3. Tasks and Events

Event Common Domain message received

EVENT ATTRIBUTE NAME	EVENT ATTRIBUTE VALUE
Event Name	Common Domain message received
Event Type	Start event
Description	The current process starts when a Common Domain message is received.
Previous Objects	

Table 5.29: Event Common Domain message received

Task Perform Syntactic validation of Common Domain message

TASK ATTRIBUTE NAME	TASK ATTRIBUTE VALUE
Task Name	Perform Syntactic validation of Common Domain message
Task Type	Service task
Description	<p>The following validations are defined as the Syntactic layer validations and when any of the aforementioned validations fails for a given Common Domain XML message, then that message is defined as syntactically invalid:</p> <ul style="list-style-type: none"> • After the reception of a Common Domain XML message and before the message is further processed the receiver validates the size of the received message (defined in DDNEA and TESS), in order to avoid unresponsiveness or abrupt failure of the receiving application; • In the case that the received message is within the acceptable size limit, the receiver validates that its content conforms to the XML standard (defined in DDNEA) and that it is UTF-8 encoded;

Excise Functional Requirements BPM Report for Registration and Authorisation Data Management with Duty Paid B2B
PROCESS MODELS

	<ul style="list-style-type: none"> Then, the receiver validates the structure of the received Common Domain XML message against the corresponding XSD defined in Appendix H of DDNEA.
Actor	
Input Data	
Output Data	Result Identify if the Common Domain message is syntactically valid
Previous Objects	Common Domain message received
Information Exchange	operations on the register of economic operators common request
Requirements	RAD_FUR_0010
Data Set	
Events	
State	

Table 5.30: Task Perform Syntactic validation of Common Domain message

Event Common Domain message found invalid due to syntactic violation(s)

EVENT ATTRIBUTE NAME	EVENT ATTRIBUTE VALUE
Event Name	Common Domain message found invalid due to syntactic violation(s)
Event Type	End event
Description	The Common Domain message was found invalid due to Syntatic violation(s) and the process ends.
Previous Objects	Has the Common Domain message passed Syntactic validation successfully?

Table 5.31: Event Common Domain message found invalid due to syntactic violation(s)

Task Perform Coordination Protocol validation of the Common Domain message

TASK ATTRIBUTE NAME	TASK ATTRIBUTE VALUE
Task Name	Perform Coordination Protocol validation of the Common Domain message
Task Type	Service task
Description	<p>Validations relating to the coordination protocol should be performed in order to facilitate the exception handling in the Common Domain.</p> <p>The errors resulting from coordination protocol validations in the Registration, Authorisation and Reference Data Management Domain can</p>

Excise Functional Requirements BPM Report for Registration and Authorisation Data Management with Duty Paid B2B	
PROCESS MODELS	
	<p>be the following for both IE702 and IE714 messages:</p> <p>26 - (Duplicate detected) is of particular importance to the coordination protocol that ensures the uniqueness of the Message Identifier for a pair of sender/receiver as defined in VII.I.4 Common message header. For IE702 and IE714 only code 26 (Duplicate detected) from the coordination protocol error codes applies and it is only used by central SEED in the NEA to SEED message exchanges.</p>
Actor	
Input Data	Result Identify if the Common Domain message is syntactically valid
Output Data	Result Identify if the Common Domain message passed Coordination Protocol validation successfully
Previous Objects	Has the Common Domain message passed Syntactic validation successfully?
Information Exchange	operations on the register of economic operators common request
Requirements	RAD_FUR_0033
Data Set	
Events	
State	

Table 5.32: Task Perform Coordination Protocol validation of the Common Domain message

Task Perform Business Compliance validation of Common Domain message

TASK ATTRIBUTE NAME	TASK ATTRIBUTE VALUE
Task Name	Perform Business Compliance validation of Common Domain message
Task Type	Service task
Description	<p>A number of validations relating to the business compliance should be performed in order to facilitate the exception handling in the Common Domain.</p> <p>The errors resulting from the business compliance validations in the Registration and Authorisation Data Management Domain can be the following (separated to specifics to IE714 and IE702 accordingly):</p> <p>A) Business compliance error codes specific to IE714:</p> <ul style="list-style-type: none"> • 0 - Other: This value should be used only when the error does not correspond to any of the following values. It must be stressed that the value

PROCESS MODELS

	<p>of zero should only be used for intra-release migration issues;</p> <ul style="list-style-type: none"> • 8 - Trader Authorisation already exists (creation): A record with the specified Trader Excise Number already exists; • 9 - Tax warehouse already exists (creation): A record with the specified Reference of Tax Warehouse already exists; • 10 - Temporary authorisation already exists (creation): A record with the specified Temporary Authorisation Reference already exists; • 11 - Trader Authorisation not found (Update / Deletion): The Update / Deletion operation cannot be performed since the specified Trader Excise Number cannot be found; • 12 - Tax warehouse not found (Update / Deletion): The Update / Deletion operation cannot be performed since the specified Reference of Tax Warehouse cannot be found; • 13 - Temporary authorisation not found (Update / Deletion): The Update / Deletion operation cannot be performed since the specified Temporary Authorisation Reference cannot be found; • 27 - Inconsistency between Excise number and Excise office: The specified Excise office cannot be used for the specified Excise number (applies to all authorisations); • 41 - Only a warehouse keeper may be allowed to use a tax warehouse: The data group (USING) TAX WAREHOUSE only applies to tax warehouse keepers; • 42 - Invalid Reference of Tax Warehouse (R204 violation): The specified Tax Warehouse Reference is not a valid <TAX WAREHOUSE.Reference of Tax Warehouse> or it is invalid according to Rule R204; • 43 - Missing Authorised Warehouse Keeper referencing Tax Warehouse (R205 violation): The specified Tax Warehouse Reference is not a valid <(USING) TAX WAREHOUSE.Reference of Tax Warehouse> defined in Rule R205; • 44 - <Trader Excise Number> is missing (Cond157 violation): The Consignor Trader Excise Number is not specified for the Temporary Authorisation that is not flagged as Small Wine Producer; • 45 - Invalid value for <Excise Product Code> (Rule212 violation): The specified Excise Product Codes are other than 'W200' and 'W300' for the Temporary Authorisation that is flagged as Small Wine Producer;
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PROCESS MODELS

	<ul style="list-style-type: none"> • 46 - The Member State of the Temporary Authorisation and the declared Consignor is the same (R233 violation): The Member State of the Consignor is the same with the Member State the Temporary Authorisation is registered for; • 112 - Incorrect (code) value: Value of an element in a message is outside the applicable business codelist; • 115 - Not supported in this position: The element or value is not allowed according to the applicable Rule(s) or Condition(s). <p>B) Business compliance error codes specific to IE702:</p> <ul style="list-style-type: none"> • 0 - Other: This value should be used only when the error does not correspond to any of the following values. It must be stressed that the value of zero should only be used for intra-release migration issues; • 2 - No e-AD(s) retrieved matching selection criteria; • 3 - Reference data not available; • 4 - Excise Office List not available; • 5 - SEED data not available; • 8 - Increment number out of range: Also used when the maximum limit of retrieved e-ADs has been reached; • 112 - Incorrect (code) value: Value of an element in a message is outside the applicable business codelist; • 115 - Not supported in this position: The element or value is not allowed according to the applicable Rule(s) or Condition(s).
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PROCESS MODELS

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PROCESS MODELS

Actor	
Input Data	Result Identify if the Common Domain message is syntactically valid Result Identify if the Common Domain message passed Coordination Protocol validation successfully
Output Data	Result Identify if the Common Domain message passed Business Compliance validation successfully
Previous Objects	Has the Common Domain message passed Coordination Protocol validation successfully?

Excise Functional Requirements BPM Report for Registration and Authorisation Data Management with Duty Paid B2B	
PROCESS MODELS	
Information Exchange	common request operations on the register of economic operators
Requirements	RAD_FUR_0012
Data Set	
Events	
State	

Table 5.33: Task Perform Business Compliance validation of Common Domain message

Event Common Domain message found invalid due to Coordination Protocol violation(s)

EVENT ATTRIBUTE NAME	EVENT ATTRIBUTE VALUE
Event Name	Common Domain message found invalid due to Coordination Protocol violation(s)
Event Type	End event
Description	The Common Domain message was found invalid due to Coordination Protocol violation(s) and the process ends.
Previous Objects	Has the Common Domain message passed Coordination Protocol validation successfully?

Table 5.34: Event Common Domain message found invalid due to Coordination Protocol violation(s)

Event Common Domain message found valid

EVENT ATTRIBUTE NAME	EVENT ATTRIBUTE VALUE
Event Name	Common Domain message found valid
Event Type	End event
Description	The Common Domain message was found valid and the process ends.
Previous Objects	Has the Common Domain message passed Business Compliance validation successfully?

Table 5.35: Event Common Domain message found valid

Event Common Domain message found invalid due to Business Compliance violation(s)

EVENT ATTRIBUTE NAME	EVENT ATTRIBUTE VALUE
Event Name	Common Domain message found invalid due to Business Compliance violation(s)
Event Type	End event
Description	The Common Domain message was found invalid due to Business

Excise Functional Requirements BPM Report for Registration and Authorisation Data Management with Duty Paid B2B	
PROCESS MODELS	
	Compliance violation(s) and the process ends.
Previous Objects	Has the Common Domain message passed Business Compliance validation successfully?

Table 5.36: Event Common Domain message found invalid due to Business Compliance violation(s)