ISO 20022

European Single Access Point Metadata Reporting

Message Definition Report Part 1

Approved by the Securities SEG on 25 March 2025.

This document provides information about the use of the candidate message for the ESAP Metadata Reporting message set and includes, for example, business transactions and examples.

April 2025

Table of Contents

[Table of Contents 2](#_Toc196308002)

[1 Introduction 3](#_Toc196308003)

[1.1 Terms and Definitions 3](#_Toc196308004)

[1.2 Abbreviations and Acronyms 3](#_Toc196308005)

[1.3 Document Scope and Objectives 4](#_Toc196308006)

[1.4 References 4](#_Toc196308007)

[2 Scope and Functionality 5](#_Toc196308008)

[2.1 Background 5](#_Toc196308009)

[2.2 Scope 5](#_Toc196308010)

[2.3 Groups of MessageDefinitions and Functionality 5](#_Toc196308011)

[3 BusinessRoles and Participants 7](#_Toc196308012)

[3.1 Participants and BusinessRoles Definitions 8](#_Toc196308013)

[3.2 BusinessRoles and Participants Table 8](#_Toc196308014)

[4 BusinessProcess Description 9](#_Toc196308015)

[5 Description of BusinessActivities 10](#_Toc196308016)

[5.1 Regulatory Metadata Reporting 10](#_Toc196308017)

[6 BusinessTransactions 12](#_Toc196308018)

[6.1 Regulatory Metadata Reporting 12](#_Toc196308019)

[7 Business Examples 13](#_Toc196308020)

[7.1 Regulatory Metadata Reporting 13](#_Toc196308021)

[8 Revision Record 15](#_Toc196308022)

Preliminary Note

The Message Definition Report (MDR) is made of three parts:

MDR Part 1

This describes the contextual background required to understand the functionality of the proposed message set. Part 1 is produced by the submitting organization that developed or maintained the message set in line with an MDR Part 1 template provided by the ISO 20022 Registration Authority (RA) on [www.iso20022.org](http://www.iso20022.org).

MDR Part 2

This is the detailed description of each message definition of the message set. Part 2 is produced by the RA using the model developed by the submitting organization.

MDR Part 3

This is an extract if the ISO 20022 Business Model describing the business concepts used in the message set. Part 2 is an Excel document produced by the RA.

# Introduction

## Terms and Definitions

The following terms are reserved words defined in ISO 20022 Edition 2013 – Part1. When used in this document, the UpperCamelCase notation is followed.

| Term | Definition |
| --- | --- |
| BusinessRole | Functional role played by a business actor in a particular BusinessProcess or BusinessTransaction. |
| Participant | Involvement of a BusinessRole in a BusinessTransaction. |
| BusinessProcess | Definition of the business activities undertaken by BusinessRoles within a BusinessArea whereby each BusinessProcess fulfils one type of business activity and whereby a BusinessProcess may include and extend other BusinessProcesses. |
| BusinessTransaction | Particular solution that meets the communication requirements and the interaction requirements of a particular BusinessProcess and BusinessArea. |
| MessageDefinition | Formal description of the structure of a message instance. |

1. When a MessageDefinition or message identifier is specified, it should include the variant and version number. However, in this document (except in the business examples section, if present), variant and version numbers are not included. In order to know the correct variant and version number for a MessageDefinition, the related Message Definition Report Part 2 document should be consulted.

## Abbreviations and Acronyms

The following is a list of abbreviations and acronyms used in the document.

| Abbreviation/Acronyms | Definition |
| --- | --- |
| BAH | Business Application Header |
| CB | Collection Body |
| ESAP | European Single Access Point |
| ESMA | European Securities and Markets Authority |
| ITS | Implementing Technical Standards |
| MCR | Message Change Request |
| MDR | Message Definition Report |
| NCA | National Competent Authority |
| OAM | Officially Appointed Mechanism |
| SEG | Standards Evaluation Group |
| SLA | Service Level Agreement |
| SMPG | Securities Market Practice Group (www.smpg.info) |
| XML | eXtensible Mark-up Language |
|  |  |

## Document Scope and Objectives

This document is the first part of the ESAP Metadata Reporting Message Definition Report (MDR) that describes the BusinessTransactions and underlying message set. For the sake of completeness, the document may also describe BusinessActivities that are not in the scope of the business processes covered in this document.

This document describes the following:

* the BusinessProcess scope
* the BusinessRoles involved in these BusinessProcesses

The main objectives of this document are as follows:

* to provide information about the messages that support the business processes
* to explain the BusinessProcesses and BusinessActivities these messages have addressed
* to give a high level description of BusinessProcesses and the associated BusinessRoles
* to document the BusinessTransactions
* to provide business examples

The messages definitions are specified in Message Definition Report Part 2.

## References

| Document | Version | Date | Author |
| --- | --- | --- | --- |
| Regulation (EU) 2023/2859 establishing a European single access point  [Regulation - EU - 2023/2859 - EN - EUR-Lex](https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:32023R2859) | 2023/2859 | 13/12/2023 | European Parliament and Council |
| Directive (EU) 2023/2864 amending certain Directives as regards the establishment and functioning of the European single access point  [Directive - EU - 2023/2864 - EN - EUR-Lex](https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex%3A32023L2864) | 2023/2864 | 13/12/2023 | European Parliament and Council |
| Regulation (EU) 2023/2869 amending certain Regulations as regards the establishment and functioning of the European single access point  [Regulation - EU - 2023/2869 - EN - EUR-Lex](https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex%3A32023R2869) | 2023/2869 | 13/12/2023 | European Parliament and Council |
| Final Report on ESAP draft Implementing Technical Standards  <https://www.esma.europa.eu/sites/default/files/2024-10/JC_2024_74_Final_Report_on_JC_ITS_on_ESAP.pdf> | JC 2024 74 | 29/10/2024 | Joint Committee of the European Supervisory Authorities |
| ESAP Metadata Reporting Business Justification | BJ 257 | 16/10/2024 | European Securities and Markets Authority |

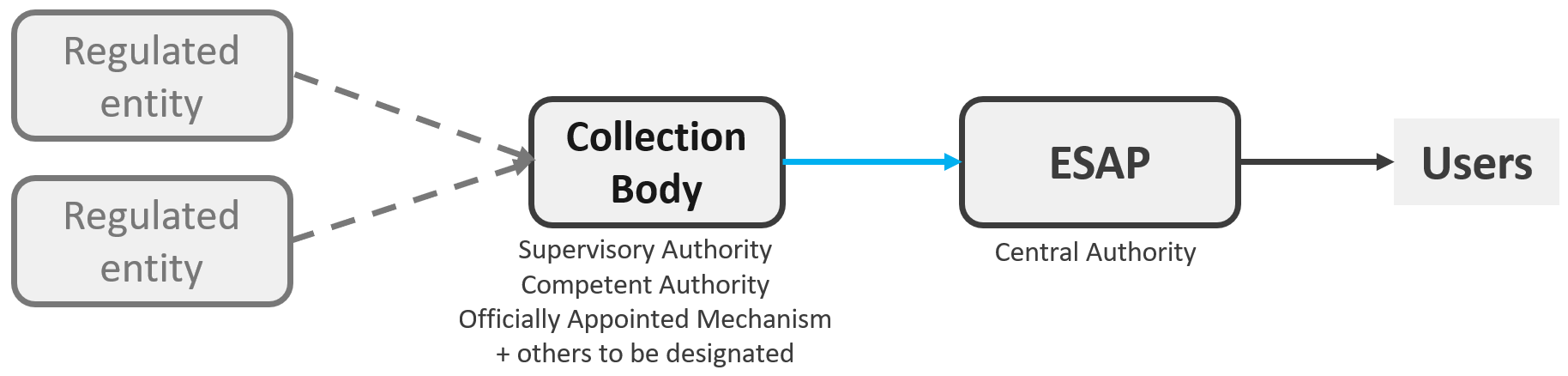
# Scope and Functionality

## Background

This Message Definition Report covers a set of one MessageDefinition developed by the European Securities and Markets Authority (ESMA) in close collaboration with SWIFT and approved by the Securities Standards Evaluation Group (SEG) on 25 March 2025. This message is specifically designed to support the reporting of metadata accompanying the information that Competent Authorities, Officially Appointed Mechanisms and other collection bodies to be designated should make available to the European single access point (ESAP) and that are necessary for its functioning.

## Scope

As described in the ISO 20022 Business Justification, the scope covers the communication flows between collection bodies and ESAP. It could optionally also be used between regulated entities and collection bodies when relevant.



## Groups of MessageDefinitions and Functionality

1. These messages are to be used with the ISO 20022 Business Application Header (head.001). The schema and more information about the Business Application Header (BAH) can be found on the www.iso20022.org web site

### Groups

#### Regulatory Metadata Report

Under Regulation (EU) 2023/2859 establishing a European single access point (ESAP), Competent Authorities, Officially Appointed Mechanisms and other collection bodies to be designated should send to ESMA metadata accompanying regulatory information to be disclosed under a significant number of directives and regulations, so that this information is made available centrally on ESAP. The following message has been prepared in order to standardise the reporting of the metadata information.

| MessageDefinition | Message Identifier |
| --- | --- |
| RegulatoryMetadataReport | auth.114 |

### Functionality

See Message Definition Report Part 2 for the message and formats.

### Related Messages

Other ISO messages are also used in the context of the metadata reporting. In order to provide feedback on the information submitted, the existing message auth.031 will be used. This message will provide a status advice for the correctness, issues or errors that arise from the submitted report. Please note that auth.031 is also part of the Financial Instruments and Transactions Regulatory Reporting (Transactions and Financial Instruments Data Reporting) message set.

| MessageDefinition | Message Identifier |
| --- | --- |
| FinancialInstrumentReportingStatusAdvice | auth.031 |

# BusinessRoles and Participants

A BusinessRole represents an entity (or a class of entities) of the real world, physical or legal, a person, a group of persons, a corporation. Examples of BusinessRoles: “Financial Institution”, “Automated Clearing House”, “Central Securities Depository”.

A Participant is a functional role performed by a BusinessRole in a particular BusinessProcess or BusinessTransaction. Examples of Participants: the “user” of a system, “debtor”, “creditor”, “investor”.

The relationship between BusinessRoles and Participants is many-to-many. One BusinessRole can be involved as different Participants at different moments in time or at the same time. Examples of BusinessRoles: "user", "debtor”, "creditor", "investor". Different BusinessRoles can be involved as the same Participant.

In the context of ESAP the high-level BusinessRoles and typical Participants can be represented as follows:

|  |  |
| --- | --- |
| Figure 1 Participants | Figure 2 Business roles |

## Participants and BusinessRoles Definitions

Participants

| Description | Definition |
| --- | --- |
| Central Authority | An Authority which collects regulatory data from multiple Competent Authorities and publishes it centrally. |
| Competent Authority | Entity which supervises regulated entities and collects regulatory data at national level. Competent Authorities exchange some of the regulatory data with other Competent Authorities and with the Central Authority. |
| Officially Appointed Mechanism | An agency or national body, authority, or register, appointed at national level to collect and store regulatory data in the context of a regulation.  For example: OAMs designated to collect and store regulated information under Transparency Directive 2004/109/EC. |
| Issuer | A natural or legal person whose securities are admitted to trading on a regulated market. |
| Regulated Entity | A natural or legal person which falls under scope of a regulation requiring to report information to a Competent Authority as part of its regulatory obligations. |

Business Roles

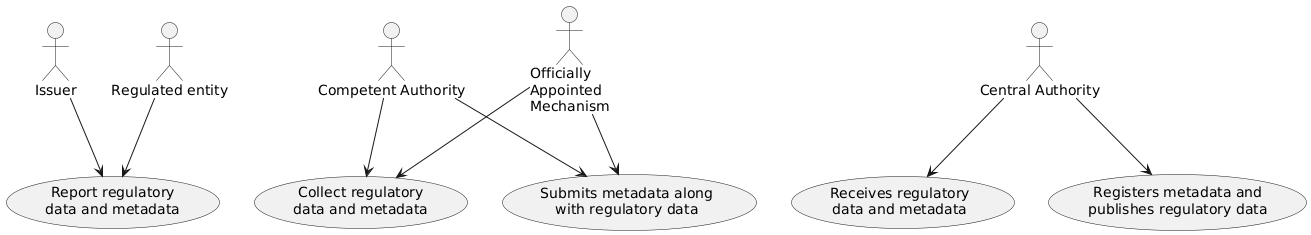
| Description | Definition |
| --- | --- |
| Reporting Entity | An entity providing regulatory data to a Competent Authority or an Officially Appointed Mechanism. |
| Collection Entity | An entity collecting regulatory data from an entity required to report information according to a regulation. |
| Publication Entity | An entity publishing data as required by a regulation |

## BusinessRoles and Participants Table

| BusinessRole | Reporting Entity | Collection Entity | Publication Entity |
| --- | --- | --- | --- |
| Participants |
| Central Authority |  | X | X |
| Competent Authority |  | X |  |
| Officially Appointed Mechanism |  | X | X |
| Issuer | X |  | X |
| Regulated Entity | X |  | X |

# BusinessProcess Description

The diagram below represents the high level BusinessProcesses involved in the data reporting and publication.



As the Regulatory Metadata Reporting message specifically relates to the provision of information to the Central Authority, this BusinessProcess is detailed below.

Submit metadata along with regulatory data

| Item | Description |
| --- | --- |
| Definition | A Competent Authority or Officially Appointed Mechanism which has received regulatory data from an Issuer or Regulated Entity, must send that information to a Central Authority, together with the metadata for that information, allowing to register the information in the publication system of the Central Authority. |
| Trigger | The metadata is submitted together with the information by the Competent Authority or Officially Appointed Mechanism after the information and part of the metadata has been received from the Issuer or Regulated Entity. |
| Pre-conditions | The Competent Authority or Officially Appointed Mechanism has received information and part of the metadata from the Issuer or Regulated Entity. |
| Post-conditions | The Competent Authority or Officially Appointed Mechanism has received from the Central Authority a status advice message related to the data and metadata submitted. |
| Role | Collection Body, Publication Entity |

# Description of BusinessActivities

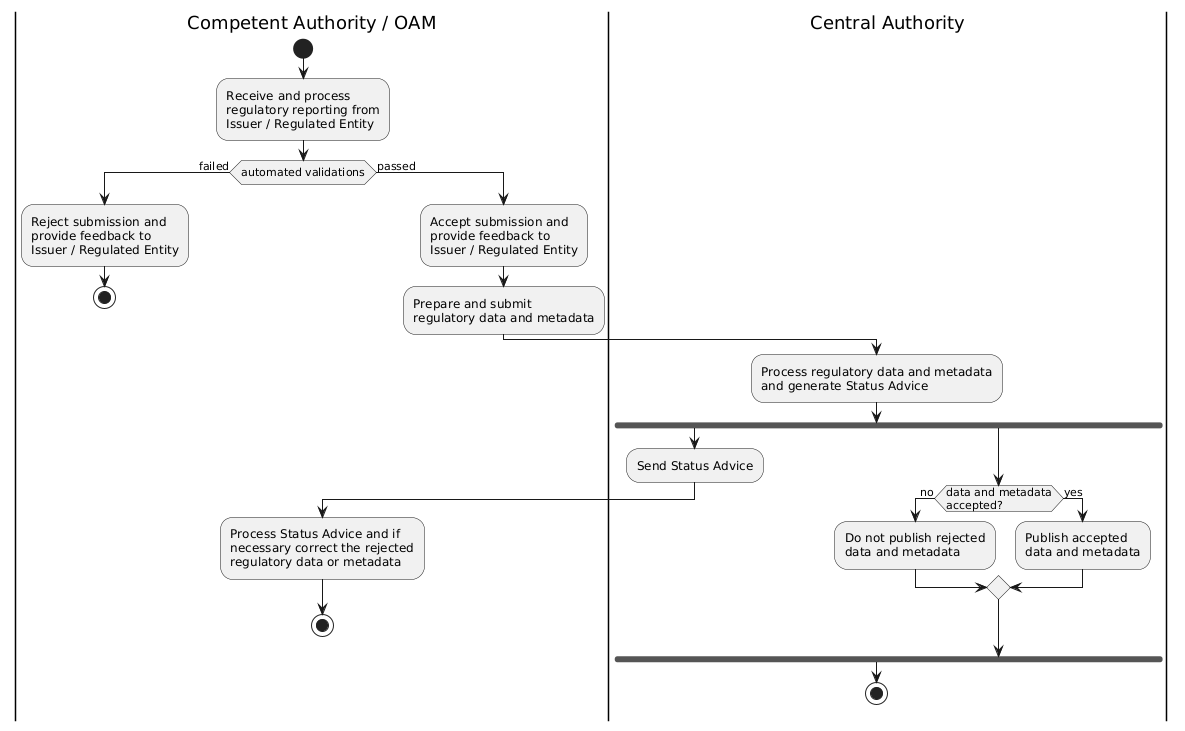
This section presents the different BusinessActivities within each BusinessProcess. The BusinessActivities of a process are described with activity diagrams.

Legend

| Symbol | Name | Definition |
| --- | --- | --- |
|  | Start Point | Shows where the lifecycle of the business process commences. |
|  | End Point | Shows where the lifecycle of the business process may end. |
|  | Lozenge (or diamond) | Indicates that a choice between several actions can be made. |
|  | Bar | Indicates that several actions are initiated in parallel. |

## Regulatory Metadata Reporting

### Regulatory Metadata Reporting



| Step | Description | Initiator |
| --- | --- | --- |
| Receive and process  regulatory reporting from  Issuer / Regulated Entity | The Competent Authority / OAM has received information from an Issuer or Regulated Entity. | Competent Authority / OAM |
| Automated validations | The Competent Authority / OAM executes automated validations on the information received. | Competent Authority / OAM |
| Reject submission and provide feedback to Issuer / Regulated Entity | If the automated validations fail, the Competent Authority / OAM notifies the Issuer / Regulated Entity that it has rejected its submission. | Competent Authority / OAM |
| Accept submission and provide feedback to Issuer / Regulated Entity | If the automated validations are passed successfully, the Competent Authority / OAM notifies the Issuer / Regulated Entity that it has accepted its submission. | Competent Authority / OAM |
| Prepare and submit  regulatory data and metadata | The Competent Authority / OAM prepares the Regulatory Metadata Reporting message and submits the Metadata along with the regulatory data to the Central Authority. | Competent Authority / OAM |
| Process regulatory data and metadata and generate Status Advice | The Central Authority processes the regulatory data and metadata received, executes automated validations, and generates a Status Advice message containing the outcome of the validations. | Central Authority |
| Send Status Advice | The Central Authority sends the Status Advice message to the Competent Authority / OAM. | Central Authority |
| Process Status Advice and if necessary correct the rejected regulatory data or metadata | The Competent Authority / OAM processes the Status Advice received, and checks if the regulatory data and metadata has been accepted by the Central Authority. If it has been rejected, the Competent Authority / OAM shall fix the issue, or ask the Issuer / Regulated Entity to fix the issue, and resubmit the data and metadata after correction. | Competent Authority / OAM |
| Do not publish rejected data and metadata | If it has rejected the data and metadata received, the Central Authority does not publish the data and metadata. | Central Authority |
| Publish accepted data and metadata | If it has accepted the data and metadata received, the Central Authority publishes the data and metadata. | Central Authority |

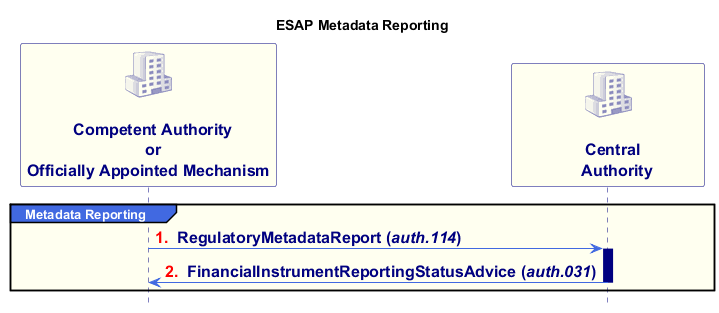
# BusinessTransactions

This section describes the message flows based on the activity diagrams documented above. It shows the typical exchanges of information in the context of a BusinessTransaction.

## Regulatory Metadata Reporting

This flow describes the Regulatory Metadata Reporting where a Competent Authority or OAM sends regulatory data and metadata to a Central Authority.

Following the submission, the Central Authority sends back a Status Advice message to the Competent Authority or OAM.



# Business Examples

This section describes business examples of the use of the candidate MessageDefinition.

## Regulatory Metadata Reporting

### auth.114.001.01

Description

A RegulatoryMetadataReport message is sent by an Officially Appointed Mechanism to ESMA following the receipt of an annual financial report (annual\_financial\_report\_2023.zip) for an issuer identified by its LEI00000000000000001.

Message Instance

<?xml version="1.0" encoding="UTF-8"?>

<Document xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" xmlns="urn:iso:std:iso:20022:tech:xsd:auth.114.001.01">

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# Revision Record

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Revision | Date | Author | Description | Sections affected |
| 0.1 | 12/12/2024 | ESMA | First draft | All |
| 1.0 | 18/12/2024 | ISO 20022 RA | Draft version for evaluation | All |
| 2.0 | 25/03/2025 | ISO 20022 RA | Approved version | All |
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