Member Application KYC

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System: SAMPRA

Use Cases Covered

1. KYC Performer
2. KYC Band Applicant
3. KYC Copyrighter Applicant
4. KYC Administrator Vetting

Notation for system flows

Gateways

Gateways determine what path is taken through a process that controls the flow of both diverging and converging Sequence Flows. That is, a single Gateway could have multiple inputs and multiple output flows. The term “gateway” implies that there is a gating mechanism that either allows or disallows passage through the Gateway–that is, as tokens arrive at a Gateway, they can be merged on input and/or split apart on output as the Gateway mechanisms are invoked. If the flow does not need to be controlled, then a Gateway is not needed.

A diverging Exclusive Gateway (or XOR Gateway) is used to create alternative paths within a Process flow. For a given instance of the Process, only one of the paths can be taken.

An inclusive Gateway specifies that one or more of the available paths will be taken. They could all be taken, or only one of them.

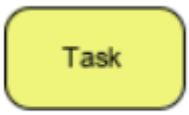
Parallel gateways are used to represent two tasks in a business/System flow. A parallel gateway is used to visualize the concurrent execution of activities. A parallel gateway models a fork into multiple paths of execution, or a join of multiple incoming paths of execution.

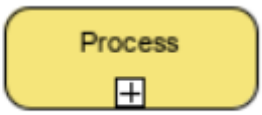
An exclusive event-based gateway is used to branch a process when alternative paths are determined by events (various messages or signals) rather than by conditional flows. This can happen when the decision about one of the alternative paths is taken by someone out of the process. In the below processes it is mainly used to determine pathways that are a result of some system task like services etc.

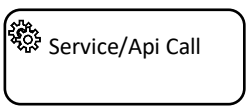
Events

An Event is represented by a circle and is something that “happens” during the course of a business process. These Events affect the flow of the process and usually have a cause (trigger) or an impact (result). Events are circles with open centers to allow internal markers to differentiate different triggers or results. There are three types of Events, based on when they affect the flow: Start, Intermediate, and End.

Activities

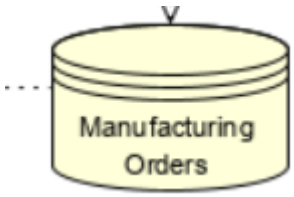






An Activity is represented by a rounded-corner rectangle (see the figure above) and is a generic term for work that the company performs. An Activity can be atomic or nonatomic (compound). The types of Activities are Task and Sub-Process. The Sub-Process is distinguished by a small plus sign in the bottom centre of the shape, Service or api call is distinguished by a small mechanical object on the top left.

Data Storage



Data storage as depicted above represents where the data will be stored the name depicted on the object will be the database that used to store this information, or retrieve the information.

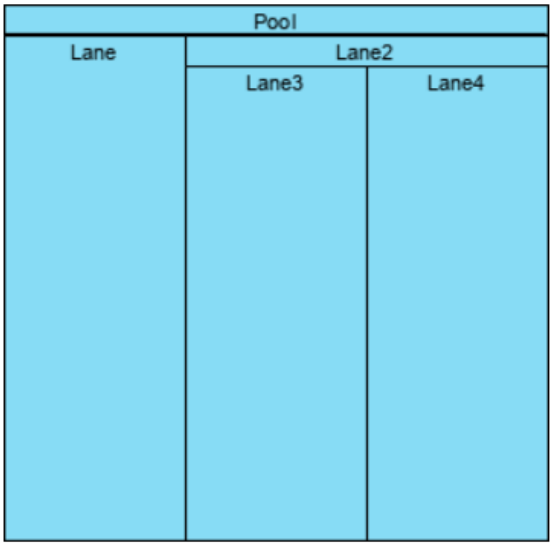
Swimlanes

Many process modeling methodologies utilize the concept of swimlanes as a mechanism to organize activities into separate visual categories in order to illustrate different functional capabilities or responsibilities. BPMN supports swimlanes with two main constructs.

The two types of BPD swimlane objects are:

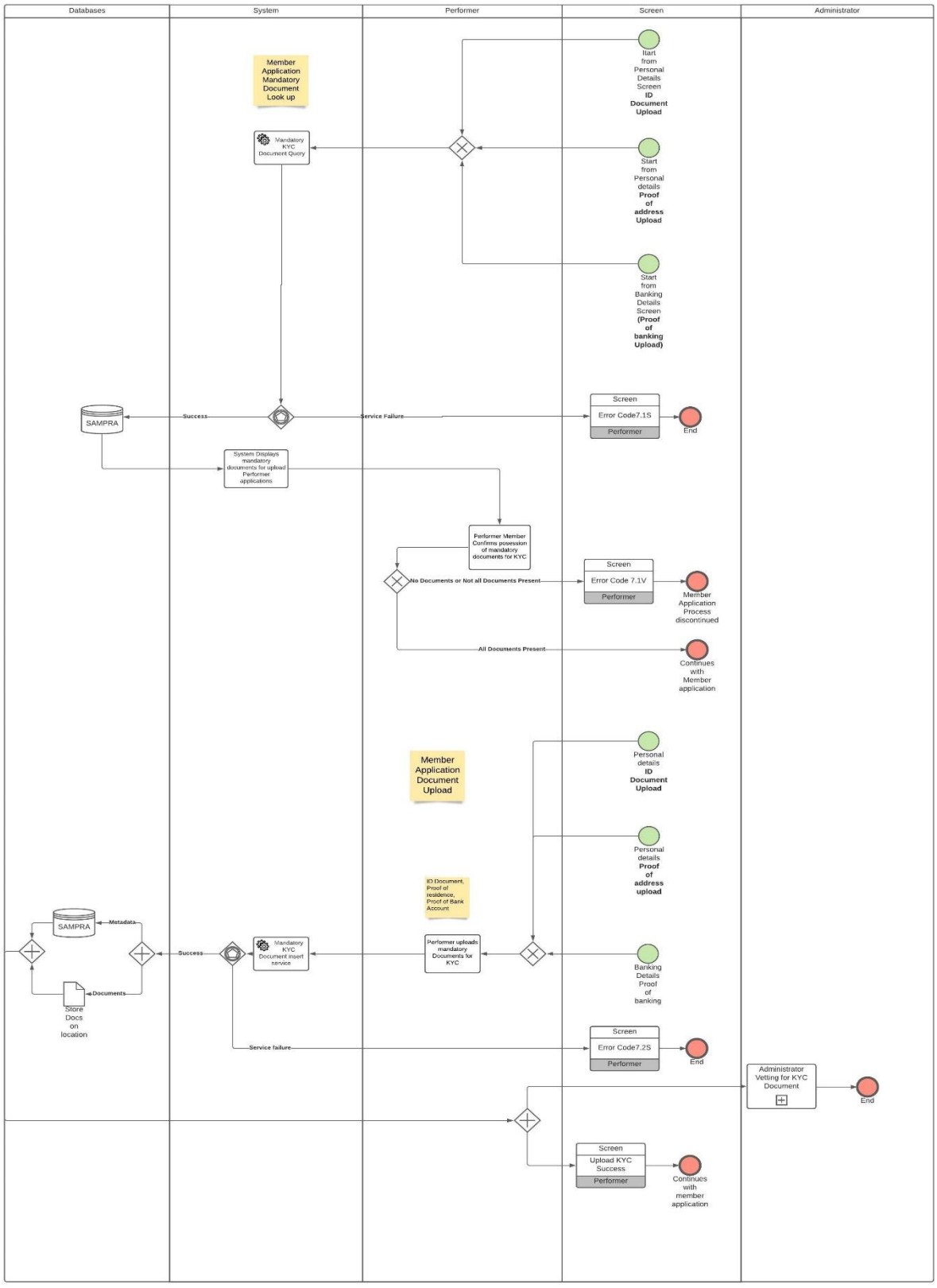
Pool – A Pool represents a Participant in a Process. It also acts as a graphical container for partitioning a set of activities from other Pools (see the figure to the right), usually in the context of B2B situations.

Lane – A Lane is a sub-partition within a Pool and will extend the entire length of the Pool, either vertically or horizontally (see the figure to the right). Lanes are used to organize and categorize activities.

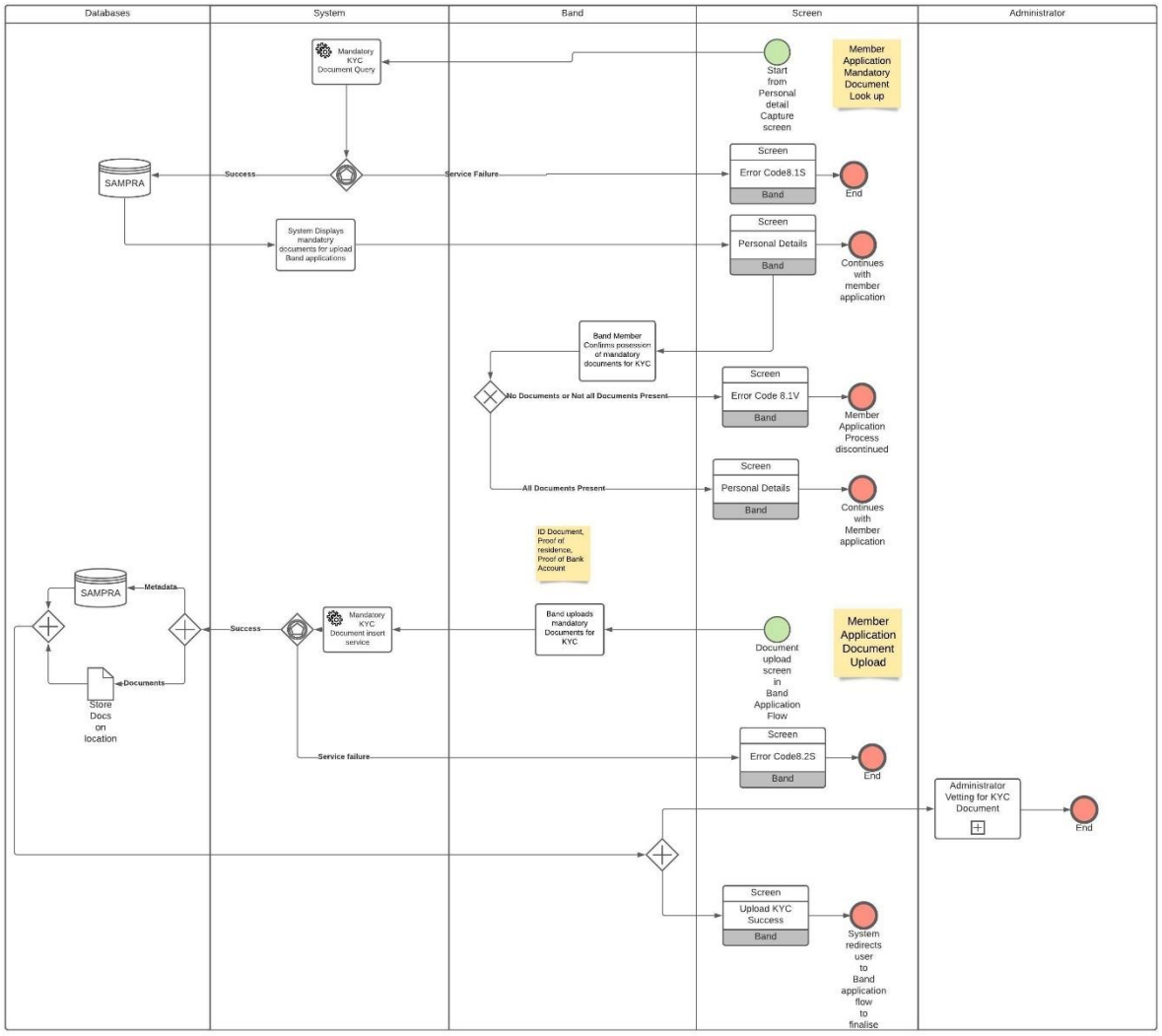


System Flows

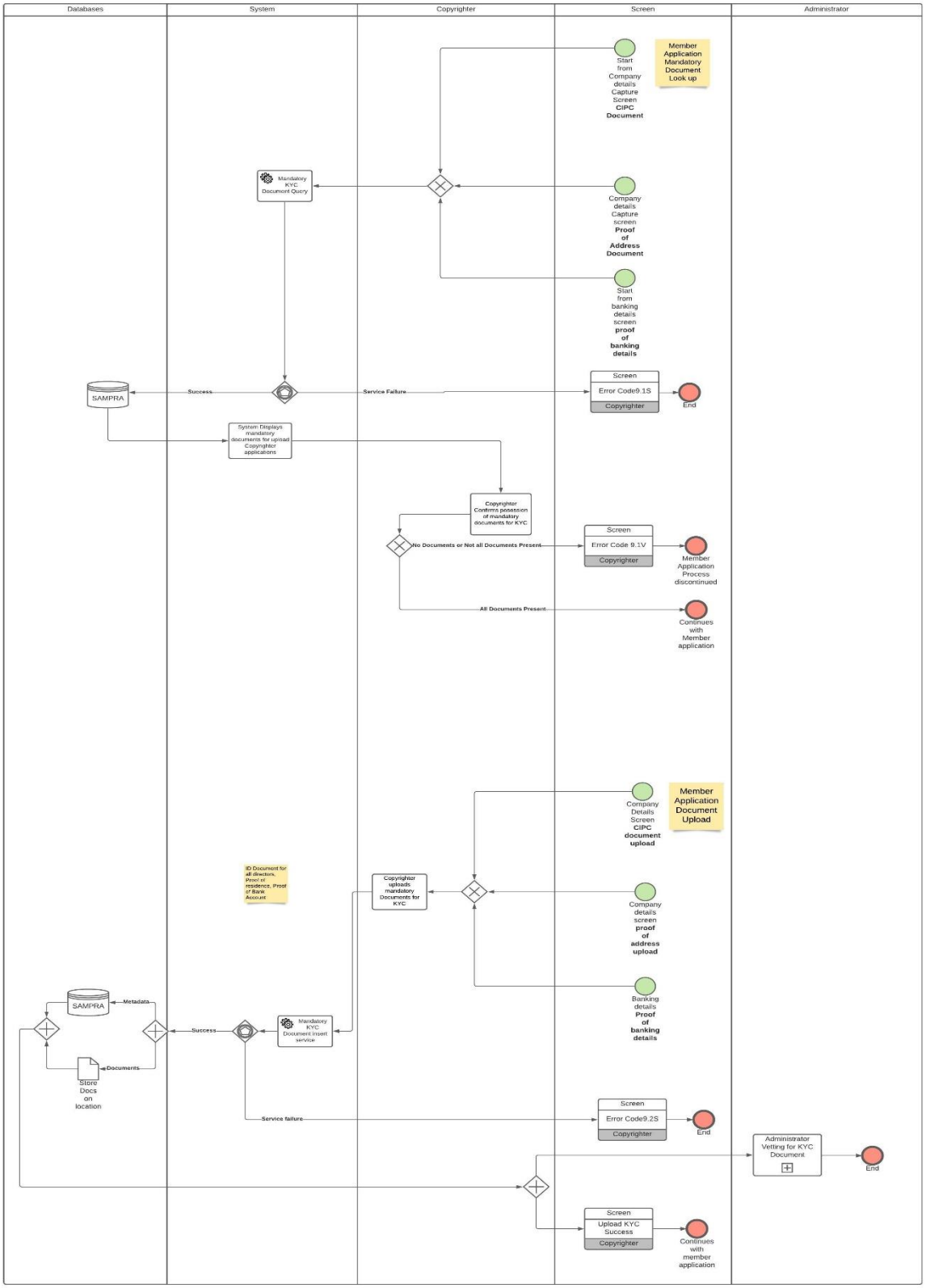
Performer Member Application KYC Flow 7



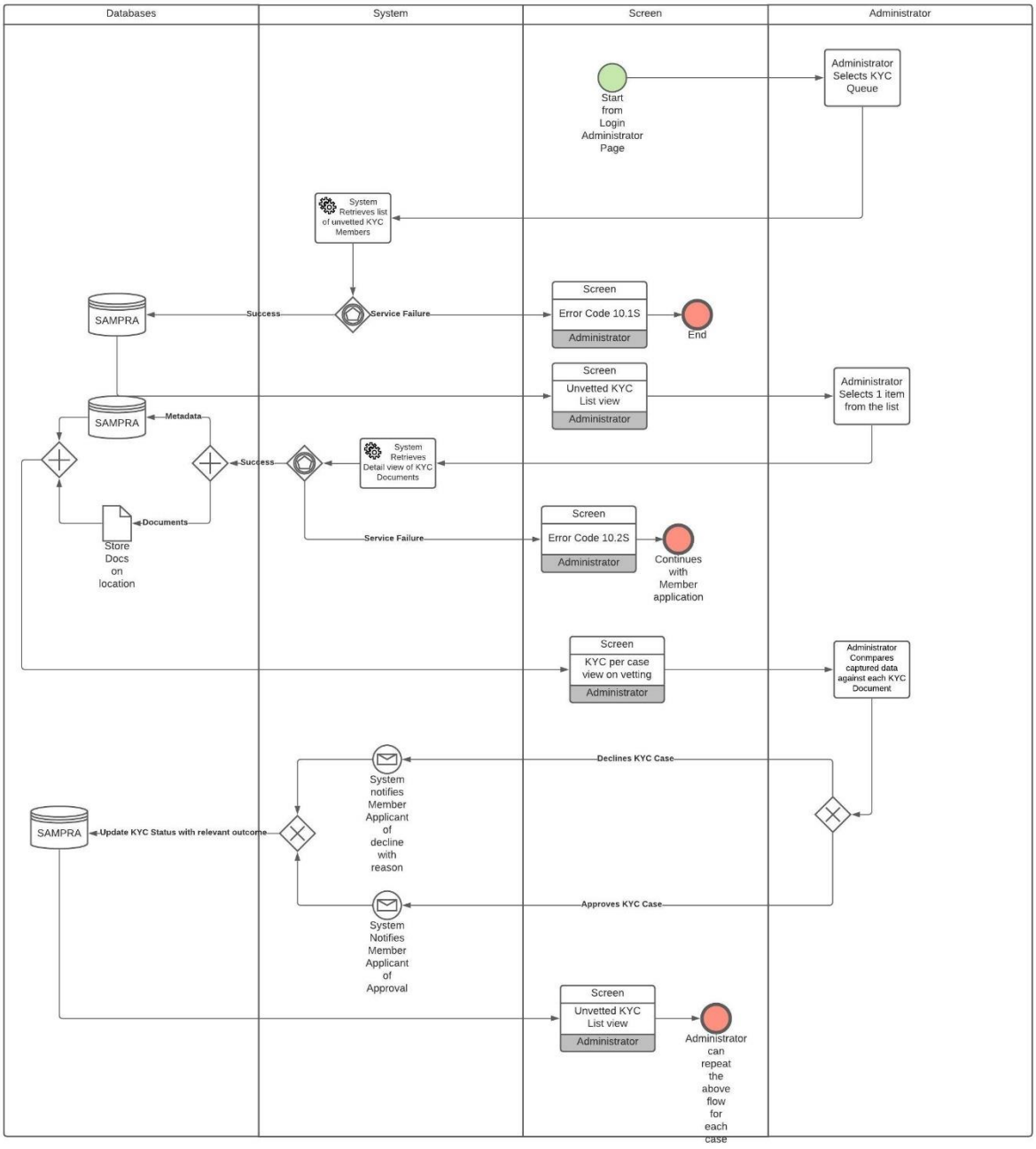
Band Member Application KYC Flow 8



Copyright Member Application KYC Flow 9



Administrator KYC Flow 10



Error Code Mapping

Please note that the error coding works as follows

Each codes with the Suffix ***"S"*** All relate to service related error codes

Each codes with the Suffix ***"V"*** All relate to data validation related error codes

Error Code	**Context**	**Affected User**
Code 7.1S	"Service failure in retrieving Performer Mandatory KYC Documents"	Performer

Code7.2S	"Service failure in storing Performer Mandatory KYC Documents"	Performer
Code7.1v	"All Required KYC documents are not in possession of the performer applying"	Performer
Code 8.1S	"Service failure in retrieving Band Mandatory KYC Documents"	Band
Code8.2S	"Service failure in storing Band Mandatory KYC Documents"	Band
Code8.1v	"All Required KYC documents are not in possession of the Band applying"	Band
Code 9.1S	"Service failure in retrieving Copyrighter Mandatory KYC Documents"	Copyrighter
Code9.2S	"Service failure in storing Copyrighter Mandatory KYC Documents"	Copyrighter
Code9.1v	"All Required KYC documents are not in possession of the Copyrighter applying"	Copyrighter
Code10.1S	"Service Failure in retrieving list view for unvetted KYC Applicants"	Administrator
Code10.2S	"Service Failure in retrieving detailed view for unvetted KYC Applicants"	Administrator

Business Rules

(Performer, Band and Copyrighter)

1. All KYC Mandatory documents must be in possession of the Applicant before they can continue with the Member Application Process.
    a. ID Document *(Performer and Band),* All ID Documents of Directors*(Copyrighters)*
    b. Proof of bank account
    c. Proof of residence *(Please note that although proof of residence will appear as part of the KYC documents in the Member application flow for all types of applicants, it is not however mandatory, the system should still allow the user to continue with the application process)*
2. The System must be able to classify each loaded document against the document type e.g ID Document Metatext against the actual document.
3. Once the documents are uploaded, the status for KYC will change to "Pending KYC Vetting"
4. Once the documents are loaded the administrator will then be able to pick it up in the KYC queue for vetting.

Administrator

1. Administrator should be able to see a list of all unvetted Member Applicants
2. Administrator should be able to have a document viewer or be able to download document that can be used to compare the data against the document.
3. Administrator must be able to Approve or decline KYC on each case.

4. System must be able to notify applicants of the decline or approval. *Copy text still need to be confirmed*
5. Each Document that is retrieved and viewed by the administrator should have its associated data on the screen e.g. Banking Details, Address Details, and Personal details/ Company Details captured text should be retrieved with their associated documents when viewed by the administrator.