

# Description of Partner Interface Process<sup>®</sup> for 3B18

**Validated 11.12.00**

<b>Specification Information</b>	
<b>Name</b>	Notify Of Shipping Documentation
<b>Cluster</b>	Order Management
<b>Segment</b>	Transportation and Distribution
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# 1 Document Management

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## 1.4 Acknowledgments

This document has been prepared by RosettaNet (<http://www.rosettanet.org/>) from requirements gathered during the Milestone Program and in conformance with the methodology. Listed below are the legal entities that contributed to the design and development of this PIP.

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## 1.5 Related Documents

- Associated PIP Message Schemas (included within the PIP Specification package only)
- Description of 3B18 Message
- Messages Structure
- XML instance of ebXML BPSS for PIP 3B18

## 1.6 Document Version History

<u>Version</u>	<u>Date</u>	<u>Description</u>
Validated 11.00.00	11 July 2006	Milestone Program: e-Customs
Validated 11.01.00	08 October 2007	Milestone Program: Schema2Market
Validated 11.10.00	22 May 2008	Quarterly Maintenance Process 2008
Validated 11.11.00	22 February 2011	Quarterly Maintenance Process 2011
Validated 11.12.00	30 May 2012	Updated Version

## 1.7 Document Structure

A Partner Interface Process (PIP) Specification is comprised of the following two parts:

1. **Business Process.** Captures the semantics of the business process and the flow of the message exchange between roles as they perform business activities.
2. **Network and Implementation Specification.** Specifies the network protocol message formats and communications requirements between peer-protocols supported by network components in the RosettaNet Implementation Framework.

## 2 Business Process

### 2.1 Business Process Definition

Enable the communication of shipping documentation information from a manufacturer or distributor with outsourced logistics operations to its third-party logistics provider.

#### 2.1.1 Executive Summary

All businesses that sell products existing as physical goods, such as raw materials, components and finished goods, must deliver them from their manufacturing or storage location to the customer's location. This physical movement of products may involve several parties. The first party to the shipment is usually the seller, which initiates the shipping of the products. The second party is usually the buyer, as the consignee to which the products are shipped. Additionally, there may be third-party logistics (3PL) and even fourth-party logistics (4PL) providers, offering services to the shipper such as outsourced manufacturing, product warehousing, routing and tracking, in addition to physically transporting the products.

When products are shipped, they will often need to be accompanied by various shipping documents. These documents may include:

- Bill of Lading, a document issued by a carrier to a Shipper, signed by the captain agent or owner of the carrier, furnishing written evidence regarding receipt of goods, the conditions on which transport is made (contract of carriage) and the engagement to deliver the goods at the prescribed point of destination to the lawful holder of the bill of lading. Receipt for merchandise and a contract to deliver it as freight.
- Certificate of Origin, a document attesting to the country of origin of goods. Such certificates (or the format for them) are usually obtained through an official or quasi-official organization in the country of origin, such as a consular office or local chamber of commerce. A Certificate of Origin may be required even though the Commercial Invoice contains similar information. A Certificate of Origin is used by customs authorities to prove country of origin of goods. Country of origin can determine different import statuses, eligibility for quota programs, distinguish between different rates of duty or prove eligibility for preferential import programs.
- Commercial Invoice, a document identifying the seller and buyer of the goods or services, identifying numbers such as invoice number, date, shipping date, mode of transport, delivery and payment terms, and a complete listing and description of the goods being sold, including prices, discounts and quantities. A Commercial Invoice is used by governments to determine the true transaction value of the goods for assessment of customs duties and also to prepare consular documents.
- Export Declaration, a form required for all US Export shipments (with some exceptions) prepared by the Shipper indicating the value, weight, destination and other basic information about the shipment, including ECCN number, Schedule B number and license type information. The document is used to report and compile export statistics to the Department of Census as well as to control exports of certain types of materials and technology.

- Packing List, a document prepared by the Shipper listing the kinds and quantities of merchandise in a particular shipment. A copy is usually sent to the consignee and affixed to the packages to assist in checking the shipment contents when received. Packing lists contain similar information to the Commercial Invoice with the exclusion of prices and payment terms.
- Pro Forma Invoice, an invoice provided by the Shipper for customs purposes in lieu of a commercial invoice when a commercial invoice is not available at the time of merchandise entry or customs entry.
- Shippers Letter of Instruction, a form used by a Shipper to authorize a carrier, freight forwarder or third party agent to issue a Bill of Lading or air waybill on the Shipper's behalf. The form contains all details of shipment and authorizes the carrier to sign the Bill of Lading in the name of the Shipper.
- Sales Invoice, a form of invoice containing sales information.
- Sales Invoice Summary, a form used by a Shipper to summarize sales invoice data.
- Bonded Declaration: A bonded declaration is used to move cargo from bond to bond (i.e. between bonded areas) without payment of duties/taxes. Bonded area in this context means any area that deemed or licensed by Customs, eg. Free Trade Zones (FTZ), Free Commercial Zones, Free Industrial Zones, Bonded Warehouses (both Public & Private), Duty Free Areas (eg Duty Free Shops). Cargos in these areas are subject to duty & taxes (where applicable) if moved to Principal Customs Areas (PCA).

### 2.1.2 Business Process Description

The "Notify of Shipping Documentation" Partner Interface Process™ (PIP) supports a process in which a Shipper communicates information that a Shipping Provider must incorporate in the documentation to accompany a shipment. The Shipper is the organization responsible for the supply of products to its customers, i.e. the first party described above. The Shipping Provider is a third-party that performs the shipping logistics on behalf of the Shipper.

Usually the Shipper will already have sent the Shipping Provider a shipping order to specify which products to ship, how to ship them, the origin and destination locations, and other related information. PIP 3B11 Notify of Shipping Order or PIP 3B12 Request Shipping Order will have been used for this purpose.

Sometimes the shipping documentation information is sent to a different Shipping Provider than the Shipping Provider to which the shipping order is sent. An example of this is where another party provides shipping services for the same shipment, such as where the Shipping Provider is a third-party export administrator.

PIP 3B18 Notify of Shipping Documentation is also designed to support the Shipper's labeling requirements, sufficient for the Shipping Provider to create a shipping label for the shipment. This is an adhesive label containing information such as consignee name, address, shipment identification numbers and carton count information.

The Shipper may ask for additional, proprietary, documents to be generated by a Shipping Provider from the information passed in PIP 3B18 Notify of Shipping Documentation, which will be specified in the Trading Partner Agreement.

While a shipment is authorized by only a single instance of either PIP 3B11 Notify of Shipping Order or PIP 3B12 Request Shipping Order, each shipment may have multiple occurrences of PIP 3B18

Notify of Shipping Documentation. For the shipping documents required to support a given shipment, the following scenarios are possible:

- The Shipper may transmit a single 3B18 for all the shipping documents to a single Shipping Provider.
- The Shipper may transmit a separate 3B18 for each shipping document to a single Shipping Provider.
- The Shipper may transmit a separate 3B18 to several different Shipping Providers, each of which has been contracted by the Shipper to manage a specific set of shipping documents.

PIP 3B18 Notify of Shipping Documentation is usually transmitted after the applicable PIP 3B11 Notify of Shipping Order or PIP 3B12 Request Shipping Order that authorizes the shipment. However, it is possible to send 3B18 before 3B11 or 3B12, so the Shipping Provider can prepare the shipping documentation in advance.

For simple domestic shipments, PIPs 3B11 and 3B12 may contain sufficient information for the Shipping Provider to generate all necessary shipping documentation without the use of PIP 3B18. However, the documentation for international shipments will require the use of PIP 3B18.

Should the Notify of Shipping Documentation transaction not complete successfully, the requesting partner executes PIP0A1, "Notification of Failure".

## **2.2 PIP Scope Description**

This PIP is designed to enable the communication of shipping documentation information from a manufacturer or distributor with outsourced logistics operations to its third-party logistics provider.

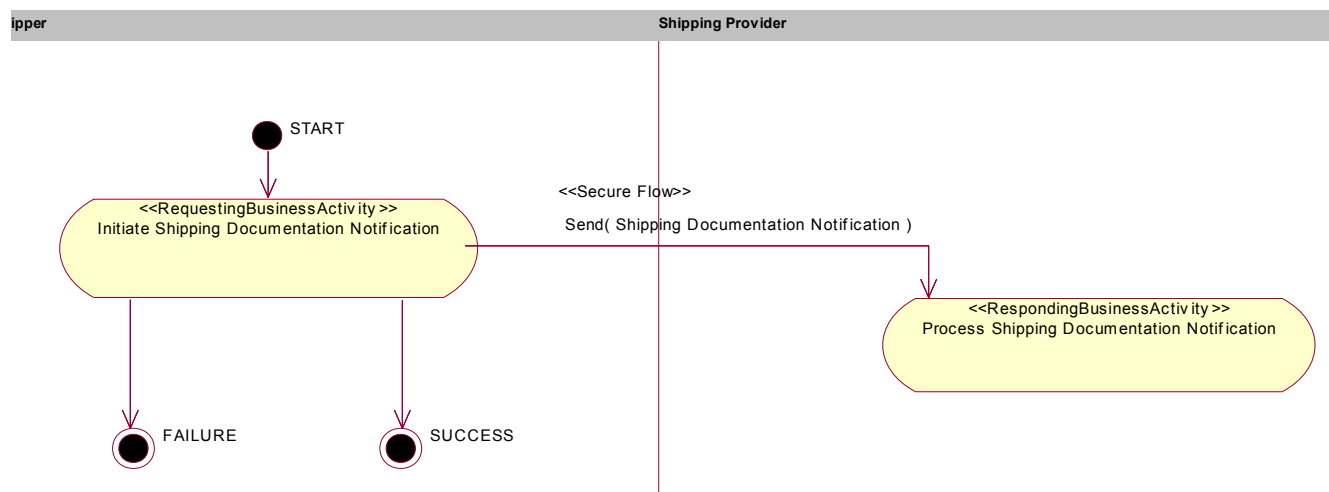
For example, a manufacturer of semiconductor components may store completed products at a warehouse operated by another company and need to request a third-party to ship the components to its customer whenever a sales order is received. Documentation to accompany the shipment is required.

## 2.3 PIP Business Document

Business Document are generated and exchanged by roles performing activities in this PIP. Business Document is listed and defined in Table 1.

Table 1: PIP Business Document	
Business Document	Description
Shipping Documentation Notification	Contains information requesting shipping documents to accompany a shipment.

## 2.4 PIP Business Process Flow Diagram



**Figure 1: Activity Diagram of Notify Of Shipping Documentation**

## 2.5 PIP Start State

The start state is comprised of the following conditions:

Table 2: PIP Start State							
	Approved	Exist		Valid	Non-Repudiated	Retry Count	Authorized
		Party	In Backend System				
TPA	✓		✓				
Sending Partner		✓		✓			
Receiving Partner		✓					
Business Document			✓	✓	✓		✓

## 2.6 PIP End States

The end state is comprised of the following conditions:

Table 3: PIP End State							
	Approved	Exist		Valid	Non-Repudiated	Retry Count	Authorized
		Party	In Backend system				
Acknowledgment of Receipt			✓	✓	✓		
Receiving Partner							✓

The PIP failure state is comprised of one or more of the following conditions:

Table 4: PIP Failure State		
	NO	Exceeded
Success	✓	
Retry Count		✓

## 2.7 Partner Role Descriptions

Table 5 describes the partner roles in this PIP.

Table 5: Partner Role Description	
Role Name	Role Description
Shipper	The department or organization responsible for authorizing a Shipping Provider to ship products from one location to another. The Shipper sends shipping documentation information to incorporate into the documents that must accompany the shipment.
Shipping Provider	The department or organization responsible for performing shipping logistics on behalf of the Shipper. The Shipping Provider completes shipping documents that must accompany a shipment.

## 2.8 Business Process Activity Controls

Table 6 describes the interaction between roles performing business activity in this PIP.

Table 6: Business Activity Description		
Role Name	Activity Name	Activity Description
Shipper	Initiate Shipping Documentation Notification	A Shipper sends a Shipping Documentation Notification business document to a Shipping Provider.

Table 7 details the security, audit and process controls relating to activity performed in the PIP.

Table 7: Business Activity Performance Control							
Role Name	Activity Name	Acknowledgment of Receipt		Time to Perform	Retry Count	Is Authorization Required?	Non-Repudiation of Origin and Content?
		Non-Repudiation Required?	Time to Acknowledge				
Shipper	Initiate Shipping Documentation Notification	Y	2hrs	N/A	3	Y	Y

### 3 Network and Implementation Specification

Each network component maps into a role of the PIP model. Table 8 specifies the mapping between roles and network components.

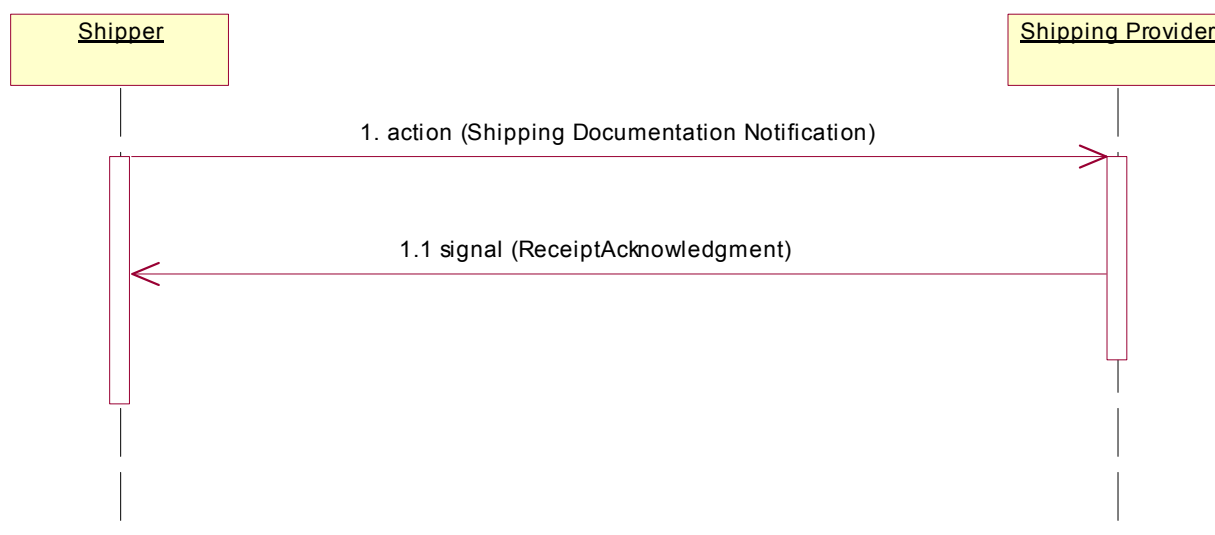
Table 8: Network Component Specification		
Network Component	Classification	Maps to Role in Business Process
Shipper Service	Business Service	Shipper
Shipping Provider Service	Business Service	Shipping Provider

#### 3.1 Business Action and Business Signal Specifications

Each business action maps to a Business Document of the PIP model. Table 9 specifies the mapping between Business Documents and business actions.

Table 9: Business Action – Business Document Mapping		
Business Action	Business Document	Document Function
Shipping Documentation Notification Action	Shipping Documentation Notification	Request

#### 3.2 Business Transaction Dialog Specification



**Figure 2: Sequence Diagram of Notify Of Shipping Documentation**

### 3.2.1 Message Exchange Controls

Table 10: Message Exchange Control							
#	Name	Time to Acknowledge Receipt Signal	Time to Respond to Action	Included in Time to Perform	Is Authorization Required?	Is Non-Repudiation Required?	Is Secure Transport Required?
1.	Shipping Documentation Notification Action	2hrs	N/A	N/A	Y	Y	Y
1.1.	Receipt Acknowledgment	N/A	N/A	N/A	Y	Y	Y

### 3.2.2 Communications Specification

Table 11: Dialog: Service-Service			
#	Business Message	Digital Signature Required?	SSL Required?
1.	Shipment Documentation Notification	Y	Y
1.1.	Receipt Acknowledgment	Y	Y