



EESSI – CDM 4.4

H - Horizontal

H_BUC_01 - v4.4.0

Ad-hoc Exchange of Information

BUC Specifications

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Document history

Version	Date	Short Description of Changes
v0.3	20/02/14	Initial draft
v0.4	28/02/14	Reworked 1.1, 3, 4 & 5
v0.5	09/07/14	See Review comments sheet
v0.6	10/09/14	Altered Loop to allow H001 to allow a new instance of H001 to be sent after an H001. Branch 1 altered to reflect. H002 reply sent to all participants
v0.7	30/01/15	Exception 1 Removed Alternative branch 9 Removed
v0.8	22/06/15	- Added branch 2b: possibility for the case owner to do a forward as well. - Rewording competent institution in par. 3 Actors & Roles. - Correction Name of the SED H001: "Notification / request for information"
v0.99.0	20/11/2015	Candidate for AHG Approval Inclusion of Request-Reply Table Inclusion of Attachment Allowed Table Inclusion of SED & Sub-process Versioning Information
v1.0.0	10/03/2016	AC APPROVED VERSION
v1.0.1	25/05/2016	Added minor textual changes following the comments received from the AC Reformulated point 8 in main scenario to state: All participants receive the H002.
v1.0.2	28/06/2017	-Updated BPMN diagram in "Section 5. Business Processes" to correspond to the described process. -Included the BPMN diagram version used in section 5. -Replaced the reference to the BUC on Confluence.
v1.0.3	30/10/2017	Updated section 4.1 RUP Table Representation: - branches 2, 3, 7 and 8 to align forward and invalidate wording to the standard wording; - all Admin sub process branches: rephrased "The process resumes [at the

		<p>step at which it branched]" to "The Branch Ends".</p> <p>Removed Section 4.4 RUP UC Diagram Representation.</p> <p>Section 4.5 SED and Sub-process Versioning: included H_BUC_04 and H_BUC_10 (as not used for this BUC) in table "Sub processes' Table.</p> <p>Section 5: rephrase introduction text for this section to the standard text.</p>
v4.1.0	20/07/2018	<ul style="list-style-type: none"> - Removed SR for main scenario invocation and added SR for branch 1 - Added "revert to step 5" at the end of branch 1, to allow multiple exchange of SEDs - Removed SR for branch 9 - Added AD_BUC_12 in subprocess table - Section 4.4 merged 2 tables (for SED & for Subprocesses) into 1 BUC Artefact table." - Version adaptations to release 4.1.0
v4.2.0	29/05/2019	Version adaptations to release 4.2.0.
v4.3.0	31/08/2021	Version adaptations to release 4.3.0.
v4.4.0	06/12/2024	Version adaptations to release 4.4.0

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1. Introduction

1.1. Purpose

The purpose of this document is to construct an external view of, part of, the 'EESSI business system' as described in EC Regulations 883/2004 and 987/2009. The 'EESSI Business System' describes the business and expected business processes without consideration as to which part(s) may be realized by an IT System (i.e. the proposed EESSI IT System).

The external view comprises of models and descriptions of business use cases, the services of a business system offered to business actors: customers, business partners, or other business systems.

A business use case is described from an actor's perspective; it describes the interaction between an actor and the business system, meaning it describes the behaviours of the business system that the actor utilizes. The Business Use Case includes Use Case Diagrams and Business Process Models.

Use case diagrams show actors, business use cases, and their relationships. Use case diagrams do not describe procedures. Alternative scenarios also remain hidden. These diagrams give a good overview of the behaviours of the EESSI business system which will direct and govern part of the expected behaviours and functionality delivered by the EESSI IT System.

1.2. Scope

This document is limited to the external view on the horizontal sector process of Adhoc Exchange of Information. The different elements like use case description, business actors, and business process as well as supporting UML diagrams and BPMN models pertaining to Adhoc Exchange of Information.

1.3. Definitions, Acronyms and Abbreviations

Please see the EESSI Project Glossary [here](#)

1.4. References

#	Description	
R1	Basic Regulations EC (883/04)	Regulation EC No. 883/2004.pdf
R2	Implementing Regulations EC (987/09)	Regulation EC No 987/2009.pdf

1.5. Overview

Chapter1 introduces the external view on the business system under review and lists the elements of this specification.

Chapter 2 introduces the Adhoc Exchange of Information business process. The chapter gives a short and detailed description as well as a reference to business process' legal base.

Chapter 3 lists the actors involved in the Adhoc Exchange of Information business process.

Chapter 4 describes in detail the Adhoc Exchange of Information business process based on the RUP use case template, as well as the relationship to other use cases.

Chapter 5 describes the Adhoc Exchange of Information business process using business process modelling notation (BPMN).

2. Description

2.1. Business Scenario

H_BUC_01 is a business process that is used to request, or communicates, information based on the general cooperation requirements described in Article 76 of the basic Regulation (EC) No 883/2004 [R1].

2.2. Legal Base

This Business Use Case document's legal base is described in the following Regulations

- basic Regulation (EC) No 883/2004 [R1]
- implementing Regulation (EC) No 987/2009 [R2]

The following matrix specifies the SEDs that are used in this Business Use Case and documents the articles that provide the legal basis for each SED.

	Basic Reg. (883/04)
SED	Article 76
H001	✓
H002	✓

Table 1: SED – Legal base relationship matrix

3. Actors & Roles

This chapter captures details of the actors which are important to understanding the different types of system users. An actor is anyone or anything that exchanges data with the business system. An actor can be a user, external hardware, or another system.

The overarching description of each actor described in this Business Use Case can be found in the Glossary. Below you will find a short description which provides further clarity of this actor within the context of this Business Use Case.

Actor name	Description
Case Owner	In this BUC the Case Owner is an institution that initiates the adhoc exchange of information.
Counterparty	In this BUC the Counterparty is an institution that returns information to the requesting Case Owner.

4. Use Case

4.1. RUP Table Representation

Use Case ID:	H_BUC_01		
Use Case Name:	Adhoc Exchange of Information		
Created By:	EESSI BA Team	Last Updated By:	EESSI BA Team
Date Created:	11/11/2013	Publication Date:	06/12/2024
Actors:	Case Owner Counterparty		
Description:	This business use case describes the scenarios that institutions need to take in order to comply with the Regulation by communicating to each other useful information regarding the case or event that might influence the right to a benefit provided under Regulation (EC) No 883/2004;		
Trigger:	<ul style="list-style-type: none"> • An institution becomes aware of useful information regarding the case or event that might influence the right to a benefit • An institution becomes aware they need additional Information from another institution 		
Preconditions:	<ul style="list-style-type: none"> • The Case Owner has taken measures to implement Regulation EC No 883/2004 • The Case Owner's legislation has changed which may affect the implementation of Regulation EC No 883/2004 • The Case Owner needs more information 		
Post conditions:	The Case Owner has successfully received the ad-hoc information they need.		
Main Scenario:	<p>Identify Participants</p> <ol style="list-style-type: none"> 1. The Case Owner identifies the EU Member States they want to send information to or get information from; 2. The Case Owner then identifies the correct institution or institutions (the Counterparty(ies)) in each Member State should receive the information or who can send them information. There will be one Counterparty or more. The Case Owner and the Counterparty(ies) are herein collectively referred to as the Participants; <p>Send Request</p> <ol style="list-style-type: none"> 3. The Case Owner fills in a "Notification / request for Information" (H001) by entering all the required information 4. The Case Owner sends the H001, including any attachments, to all Counterparties; <p>Check and Send Reply</p> <ol style="list-style-type: none"> 5. Each Counterparty receives and reviews the H001 document 6. Each Counterparty optionally may choose to fill in a "Reply To request for Information" (H002) by entering all the required information; 		

	<p>7. Each Counterparty who filled in a H002 sends their H002, including any attachments to all participants</p> <p>8. All participants receive the H002;</p> <p>9. The use case ends here.</p>
Alternative Scenarios:	<p><i>Branch 1: at any step between [step 4] and [step 9] The Case Owner may need to request more information</i></p> <ol style="list-style-type: none"> 1. The Case Owner fills in a "Notification / request for Information" (H001) by entering all the required information 2. The Case Owner sends the H001, including any attachments, to all Counterparties; 3. This Branch Ends and reverts to [step 5] of main scenario
	<p><u>The Following Branches determine the use of Horizontally Defined Processes within this Business Process</u></p>
	<p><i>Branch 2: at any step between [step 5] and [step 9] the Counterparty may choose to Forward this Business Process to another Institution within their MS who assumes responsibility for handing it</i></p> <ol style="list-style-type: none"> 1. The Counterparty executes business use case <i>AD_BUC_05_Subprocess- Forward Case;</i> 2. This Branch Ends.
	<p><i>Branch 2b: at any step between [step 4] and [step 9], the Case Owner may choose to Forward this Business Process to another institution within their MS who assumes responsibility for handling it</i></p> <ol style="list-style-type: none"> 1. The Case Owner executes business use case <i>AD_BUC_05_Subprocess- Forward Case;</i> 2. This Branch Ends.
	<p><i>Branch 3: at any step between [step 4] and [step 9] the Case Owner may choose to Remove a Counterparty from this Business Process</i></p> <ol style="list-style-type: none"> 1. The Case Owner executes business use case <i>AD_BUC_04_Subprocess – Remove Participant;</i> 2. This Branch Ends.
	<p><i>Branch 4: at any step between [step 4] and [step 9] the Case Owner may choose to Add a Counterparty to this Business Process</i></p> <ol style="list-style-type: none"> 1. The Case Owner executes business use case <i>AD_BUC_03_Subprocess – Add Participant;</i> 2. This Branch Ends.
	<p><i>Branch 5: at any step between [step 4] and [step 7] the Case Owner may choose to send an updated version of H001</i></p>

	<ol style="list-style-type: none"> 1. The Case Owner executes business use case AD_BUC_010_Subprocess - Update_SED; 2. This Branch Ends.
	<p>Branch 6: at any step between [step 6] and [step 9] a Counterparty may choose to send an updated version of their H002</p> <ol style="list-style-type: none"> 1. The Counterparty executes business use case AD_BUC_10_Subprocess - Update_SED; 2. This Branch Ends.
	<p>Branch 7: at any step between [step 4] and [step 7] the Case Owner, who sent the H001, may choose to advise all recipients of their H001 that it is Invalid under Art 5 of 987/09</p> <ol style="list-style-type: none"> 1. The Case Owner executes business use case AD_BUC_06_Subprocess - Invalidate_SED; 2. Optionally, the Case Owner fills in a "Notification / request for Information" (H001) by entering all the required data; 3. Optionally, the Case Owner sends the H001, including any attachments, to all Counterparties; 4. This Branch Ends.
	<p>Branch 8: at any step between [step 6] and [step 9] the Counterparty, who sent the H002, may choose to advise all recipients of their H002 that it is Invalid under Art 5 of 987/09</p> <ol style="list-style-type: none"> 1. The Counterparty executes business use case AD_BUC_06_Subprocess - Invalidate_SED; 2. Optionally, the Counterparty fills in a "Reply To request for Information" (H002) by entering all the required data; 3. Optionally, the Counterparty sends the H002, including any attachments, to all participants; 4. This Branch Ends.
	<p>Branch 9: - Removed-</p>
	<p>Branch 10: at any step between [step 4] and [step 9] any Participant may optionally choose to send a Reminder to another Participant for the return of information they were expecting from that Participant but did not receive.</p> <ol style="list-style-type: none"> 1. The participant who invokes this branch executes business use case AD_BUC_07_Subprocess - _Reminder; 2. This Branch Ends.
Exceptions:	-Removed-
Includes:	See section 4.4

Special Requirements:	<p>SR1: H001 can be used to request/notify information;</p> <p>SR2: H002 can only be sent after receiving an H001;</p> <p>SR3: Rules about the destination for each SED type;</p> <ol style="list-style-type: none"> 1. H001 must be sent to all Counterparties; 2. H002 may be sent to one or more Active Participants; <p>SR4: Rules about invoking branches</p> <ol style="list-style-type: none"> 1. The Main Scenario SR on main scenario removed <p><u>Administrative</u></p> <ol style="list-style-type: none"> 2. [Branch 1] may be invoked more than once; 3. [Branch 2] may be invoked more than once; 4. [Branch 3] may be invoked more than once, provided that at least two Participants (Case Owner & 1 Counterparty) remain; 5. [Branch 4] may be invoked more than once; 6. [Branch 5] may be invoked more than once; 7. [Branch 6] may be invoked more than once; 8. [Branch 7] may be invoked more than once; 9. [Branch 8] may be invoked more than once; 10. [Branch 9] Removed; 11. [Branch 10] may be invoked more than once; <p>SR5: The term "Send/Sent to All Active Participants" does not include sending it himself (i.e. to then senders institution);</p> <p>SR6: Active Participants are defined as those participants identified at [Step 2] and those participants added through the execution of [Branch 4] and not removed through the execution of [Branch 3];</p>
Assumptions:	N/A
Notes and Issues:	N/A

4.2. Request – Reply SEDs

The following table specifies and SED that have a logical pairing to one another, usually this is known as a request-reply pair.

REQUEST SED	REPLY SED(s)
H001	H002

4.3. Attachments Allowed

The following table specifies whether attachments are permitted to be included when sending a SED type.

SED	Attachments
H001	Allowed
H002	Allowed

4.4. Artefacts used

The following table specifies the artefacts that are used in this Business Use Case.

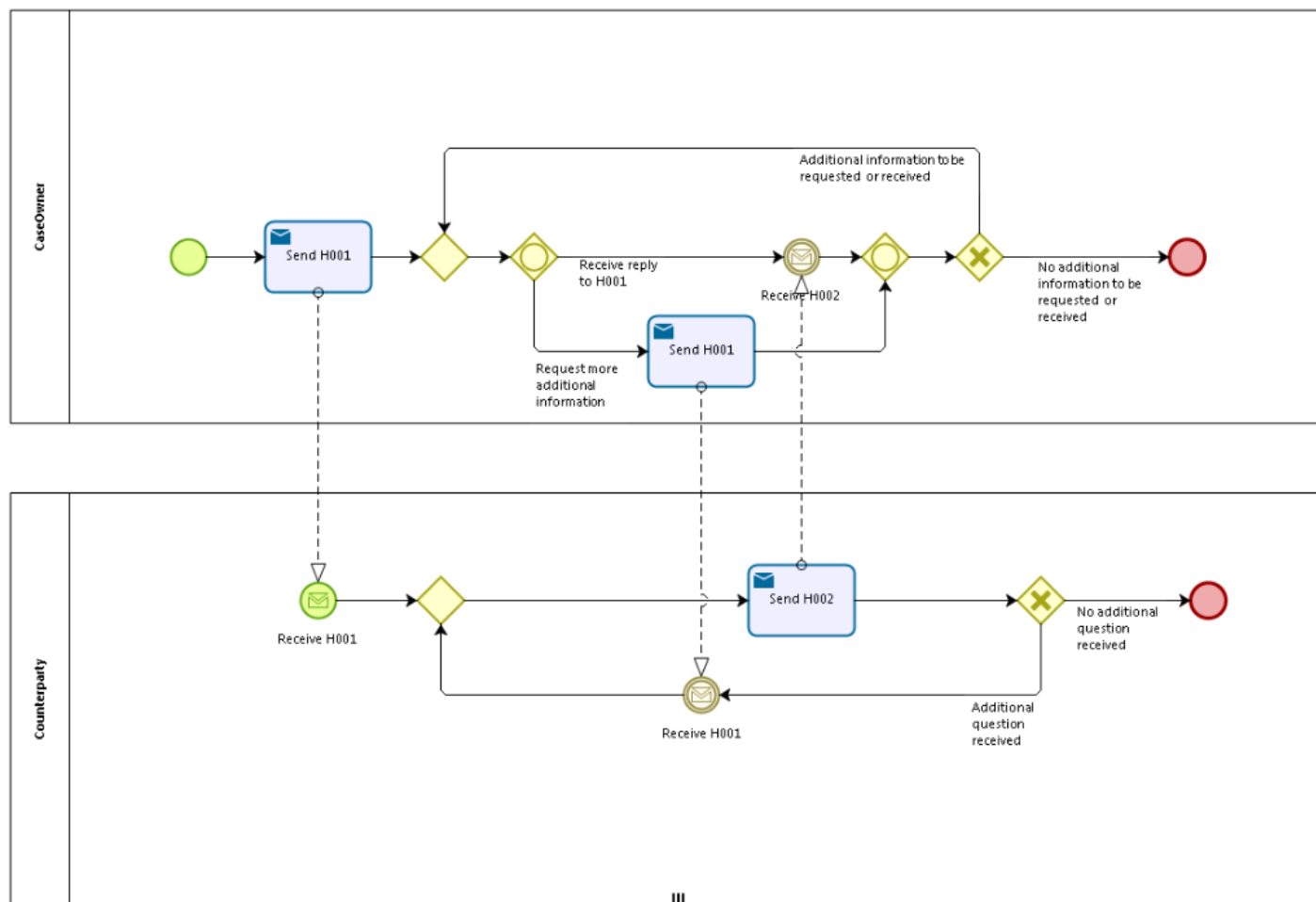
Artefact name	Artefact type
H001	SED
H002	SED
AD_BUC_03_Subprocess – Add Participant	BUC spec
AD_BUC_04_Subprocess – Remove Participant	BUC spec
AD_BUC_05_Subprocess – Forward Case	BUC spec
AD_BUC_06_Subprocess – Invalidate SED	BUC spec
AD_BUC_07_Subprocess – Reminder	BUC spec
AD_BUC_10_Subprocess – Update SED	BUC spec
AD_BUC_11_Subprocess – Business Exception	BUC spec
AD_BUC_12_Subprocess – Change of Participant	BUC spec

5. Business Processes

This chapter describes the Business Use Case Adhoc Exchange of Information using BPMN 2.0.

5.1. Case Owner and Counterparty

H_BUC_01-BPMN Diagram



5.2. Sub Processes

Not applicable.

6. Appendices

6.1. Issues

N/A