



EESSI – CDM 4.4

R - Recovery

R_BUC_05 - v4.4.0

**Request for information under Article 76 of
Regulation (EC) No 987/2009**

BUC Specifications

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| Version | Date | Short Description of Changes |
|---------|------------|---|
| v0.1 | 05/01/2016 | Initial draft |
| v0.2.0 | 18/04/2016 | <p>Updated following AHG Reviews received from CH, DE, PL, UK:</p> <ul style="list-style-type: none"> - Rephrasing throughout the document - In section 4.1 branch 1 and 10 are not applicable anymore and are included in branch 2 & 9 - In section 4.1 branch 2 and 8 and exception 1 can be invoked any step after step 5 (instead of 4) - In section 4.1 branch 3 assigned a branch number as it was missing, causing renumbering of all branches - In section 4.1 branch 5 and 6 allow also to optionally create a new SED after invalidation of the previous one - In section 4.1 added the special requirement: SR2 towards non- and interrupting branches. - Included sections 4.2 Request – Reply SEDs, 4.3 Attachments Allowed, 4.4 RUP UC Diagram Representation, and 4.5 SED and Sup-process Versioning <p>Added in section 4.4 diagram H_BUC_01</p> |
| v0.3.0 | 25/05/2016 | <p>Updated following review of Donna Ulyatt:</p> <ul style="list-style-type: none"> - Paragraph 4.1: Description - correction of spelling "claims" instead of "claim"; - Paragraph 4.1: Main & Alternative Scenarios and Exception 1 - various amendments to mirror the wording in BUC7 where appropriate; - Paragraph 4.1: Alternative Scenario, Branch 1 and 10 - these were already deleted in previous version. Removed the branches and renumbered the next branches; - Paragraph 4.1: Branch 8 - changed from "Counterparty" to "participant"; - Paragraph 4.1: Special requirements - deleted text (Branch 1 & 10) and renumbered the other SRs'; |

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| | | Paragraph 4.1: Special requirements - add "provided a new SED has been created following the invalidation" to Branch 5 & 6; |
| v0.4.0 | 22/06/2016 | <p><u>Updated following review of Donna Ulyatt:</u></p> <ul style="list-style-type: none"> - Section 4.1 RUP Table Representation – exception step 2 – updated to correct branch 1 (instead of 2). <p>Alignment to the standard description and layout of the BUC:</p> <ul style="list-style-type: none"> - Confidentiality logo is added. - Document history table is sorted with latest version at the bottom. - Throughout the document updated with grammatical changes and formatting. - Aligned Title of document and name of business use case for applicable sections. -Renamed <u>section 2.1</u> from 'Detailed Description' to '<u>Business Scenario</u>' and removed reference to SED R012. - Renamed section 2.2 from 'Legal Regulations / Policy Issues / Other' to 'Legal Base' & aligned the text and table to the standard BUC. - Section 4.1 RUP Table Representation: deleted 'Frequency of Use'. - Section 4.1 RUP Table Representation: aligned Invalidated branches 5 & 6. - Section 4.5 SED and Sub-process Versioning: updated the SUB PROCESS table to include overview of all sub-processes as identified for Horizontal and Administrative sectors. - Section 5 Business Process: split section 5.1 'Case Owner and Counterparty' into section 5.1 'Case Owner' and 5.2 'Counterparty'. - Renamed section 5.2 Called Sub Processes to 5.3 Sub Processes, which becomes Not Applicable. Removed section |

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| | | <p>'5.2.1 – Identify Participants' and section '5.2.2 – Fill in & send SED' as both are not regarded as a sub processes anymore, and will be a single activity (= decision applicable for all BUCs).</p> <p>- Section 6.1 Issues – added issue 3 to take action related to update BPMN model.</p> |
| v0.5.0 | 01/07/2016 | <p>Updated following feedback received at recovery AHG June 2016 meeting:</p> <ul style="list-style-type: none"> - Updated section 3 Actors & Roles: Case Owner and Counterparty are rephrased. - Updated section 4.1 RUP Table Representation: added new Branch 9 and included it as special requirement. - Updated section 4.4 RUP UC Diagram Representation: included UC Reopen in the diagram. - Updated section 4.5 SED and SUB-process Versioning - table SUB PROCESS: indicated the use of AD_BUC_02_Subprocess – Reopen Case. - Update 5 Business Processes – Included updated BPMN model (not yet split between CO and CP as per issue 3). <p>Updated section 6.1 Issues: closed issue 1 & issue 2.</p> |
| v0.6.0 | 20/07/2016 | <p>Updated following review AHG members:</p> <ul style="list-style-type: none"> - Updated section 4.1 RUP Table Representation: - Branch 6 – removed space before R014; - Branch 9 – rephrased; - Special requirements – exception 1 – rephrased to make it possible to invoke it more than once, provided branch 9 has been invoked. - Updated section 5 Business Process: rephrased 'The chapter' to 'This chapter...' <p>And updated with grammatical changes Section 3 'understanding' changed to 'understand' + Section 6.1 changed date format of first issue.</p> |

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| v0.99.0 | 26/09/2016 | <p>Candidate for AHG approval.</p> <p>Updated to align with R_BUC_03 and R_BUC_04 AC review comments:</p> <ul style="list-style-type: none"> - Updated section 4.1 RUP Table Representaion: <p>Main Scenario step 3, 6, 7, 8, branch 5: rephrased to add 'SED' after 'Rxxx'.</p> <p>Main Scenario step 5, 8: added '(if provided)'.</p> <p>Branch 4: rephrased to align the wording with R_BUC_07, and make the branch available for both CO and CP.</p> <p>Exception 1: removed 'or to close the case if the BUC has arrived to an end' and removed step 2 because the H_BUC_01 is already available in branch 1.</p> <p>Included comments received during AC review, as agreed by AHG members:</p> <ul style="list-style-type: none"> - Updated section 4.1 RUP Table Representation: <p>Description: changed the wording to "This concerns only requests for claims which are already established.</p> <p>In addition the requirements of the non-expiration of the 5 year period for the claim under Art 82(1)(b) of Regulation 987/2009 and "minimum 350 EUR threshold" are met, unless otherwise agreed bi-laterally.";</p> <p>Step 4 and 7: replaced 'their' into 'the';</p> <p>Branch 4 and 7: add '-' after Subprocess for step 1;</p> <p>Branch 5 and 6: replaced 'they have' with 'it has'.</p> |
| v0.99.1 | 28/09/2016 | Submit for AC Approval. |
| v1.0.0 | 21/10/2016 | AC Approved Version. |

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| v1.0.1 | 30/06/2017 | Updated section 5.1 into Case Owner and Counterparty (and removed section 5.2), included 1 BPMN picture. |
| v1.0.2 | 13/11/2017 | -Added reference to the BPMN diagram version in section 5. - remove Use Case diagram - Align invalidate branches to the standard text (with reference to Art 5) |
| v4.1.0 | 03/08/2018 | - Section 4.4: merged 2 tables (for SED & for Subprocesses) into 1 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 [R1] and 987/2009 [R2]. 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 Recovery sector process Request for information under Art. 76 of Regulation (EC) No 987/2009. The different elements like use case description, actors, and business process as well as supporting UML diagrams and BPMN models pertaining to Request for information under Art. 76 of Reg. (EC) No 987/2009.

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

Chapter 1 introduces the external view on the business system under review and lists the elements of this specification.

Chapter 2 introduces us to the "Request for information under Art. 76 of Regulation (EC) No 987/2009" 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 "Request for information under Art. 76 of Regulation (EC) No 987/2009" business process.

Chapter 4 describes in detail the "Request for information under Art. 76 of Regulation (EC) No 987/2009" business process based on the RUP use case template, as well as the relationship to other use cases.

Chapter 5 describes the "Request for information under Art. 76 of Regulation (EC) No 987/2009" business process using business process modelling notation (BPMN).

2. Description

2.1. Business Scenario

This Business use case enables an institution in one Member State to ask an institution in another Member State for information that will help it recover its claim. It concerns only requests for claims which are already established and the information requested may concern the debtor or the debtor's assets.

If information is needed to establish the claim, then a specific Business Use Case in a specific sector (e.g. Pensions, Legislation Applicable) or alternatively under the "Horizontal" sector ("H_BUC_01 : Ad-hoc exchange of information") will be used.

If a different Member State(s) or institution should be asked to provide the information, then a new Business Use Case should be created and used in order to send a new request for information to each of these Member States/institutions.

2.2. Legal Base

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

- 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.

| SED | Implementing Reg (987/09) |
|------|---------------------------|
| | 76 |
| R012 | ✓ |
| R014 | ✓ |

Table 1: SED – Legal base relationship matrix

3. Actors & Roles

This chapter captures details of the actors which are important to understand 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 Business Use case, the Case Owner is the applicant party in a Member State that requests information from another Member State to help in the recovery of its claim. |
| Counterparty | <p>In this Business Use Case, the Counterparty is the requested party in the other Member State that receives the request for information.</p> <p>If the information is requested from different Member States or different institutions in one Member State, a separate Business Use Case must be initiated for each requested party.</p> <p>Therefore, there will always be only one Counterparty.</p> |

4. Use Case

4.1. RUP Table Representation

| | | | |
|-------------------------|---|--------------------------|---------------|
| Use Case ID: | R_BUC_05 | | |
| Use Case Name: | Request for information under Article 76 of Regulation (EC) No. 987/2009 | | |
| Created By: | EESSI BA Team | Last Updated By: | EESSI BA Team |
| Date Created: | 24/08/2015 | Publication Date: | 06/12/2024 |
| Actors: | Case Owner Counterparty | | |
| Description: | <p>This Business Use case is used to request information about a debtor (person or employer) or debtor's assets in the requested Member State to assist recovery of a debt.</p> <p>This concerns only requests for claims which are already established.</p> <p>In addition the requirements of the non-expiration of the 5 year period for the claim under Art 82(1)(b) of Regulation 987/2009 and "minimum 350 EUR threshold" are met, unless otherwise agreed bi-laterally.</p> <p>There are 2 SED's in this Business Use Case and they are connected to each other:</p> <ul style="list-style-type: none"> - R012: Request for information - R014: Reply to request for information <p>If the claim hasn't been established yet then these SED's must not be used.</p> <p>Instead, a specific business use case in a specific sector (e.g. Pensions, Legislation Applicable) or alternatively under Horizontal (H_BUC_01: SED H001 "Request for information/ additional information") should be used.</p> | | |
| Trigger: | An institution of one Member State needs information from another Member State to recover its claim(s). | | |
| Preconditions: | The Member State from which information is needed is identified. | | |
| Post conditions: | A reply to the request for information has been sent by the Counterparty. (SED R014) | | |
| Main Scenario: | Identify Participant <ol style="list-style-type: none"> 1. The Case Owner identifies the EU Member State where the person concerned lives or has assets; | | |

| | |
|-------------------------------|--|
| | <p>2. The Case Owner identifies the Competent Institution.</p> <p>Process Request / Reply</p> <p>3. The Case Owner fills in a R012 SED ("Request for information") by entering all the required information;</p> <p>4. The Case Owner sends the SED R012 , including any attachments, to the Counterparty;</p> <p>5. The Counterparty receives SED R012, including any attachments (if provided);</p> <p>6. The Counterparty fills in a R014 SED ("Reply to request for information") by entering all the required information;</p> <p>7. The Counterparty sends the R014 SED, including any attachments, to the Case Owner;</p> <p>8. The Case Owner receives the R014 SED, including any attachments (if provided);</p> <p>9. The use case ends here.</p> |
| Alternative Scenarios: | <p><u>The Following Branches Determine the use of Horizontally Defined Processes within this Business Process</u></p> |
| | <p><u>Branch 1: at any step after [step 5], any participant may choose to Request AdHoc Information from the other participant</u></p> <p>1. The participant executes business use case H_BUC_01_Subprocess – AdHoc Exchange of Information;</p> <p>2. [This Branch] Ends.</p> |
| | <p><u>The Following Branches Determine the use of Administrative Processes within this Business Process</u></p> |
| | <p><u>Branch 2: at any step after [step 4] the Case Owner may choose to send an updated version of their R012, provided the SED has not been invalidated</u></p> <p>1. The Case Owner executes business use case AD_BUC_10_Subprocess-Update SED;</p> <p>2. [This Branch] Ends.</p> |
| | <p><u>Branch 3: at any step after [step 7] the Counterparty may choose to send an updated version of their R014 SED, provided the SED has not been invalidated</u></p> <p>1. The Counterparty executes business use case AD_BUC_10_Subprocess-Update SED;</p> <p>2. [This Branch] Ends.</p> |
| | <p><u>Branch 4: at any step where a participant is expecting to receive a SED from the other participant, that participant may optionally choose to send a reminder to the other participant for the return of information they were expecting from that participant but did not receive</u></p> <p>1. The Case Owner or Counterparty executes business use case AD_BUC_07_Subprocess-Reminder;</p> |

| | |
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| | 2. [This Branch] Ends. |
| | <p><u>Branch 5: at any step after [step 4] , the Case Owner may choose to advise the Counterparty of their R012 SED, that it is Invalid under Art 5 of Regulation (EC) no 987/09</u></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 Request for Information (R012) by entering all the required information; 3. Optionally, the Case Owner sends the R012, including any attachments, to the Counterparty; 4. [This Branch] Ends. |
| | <p><u>Branch 6: at any step after [step 7] , the Counterparty may choose to advise the Case Owner of their R014 SED, that it is Invalid under Art 5 of Regulation (EC) no 987/09</u></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 (R014) by entering all the required information; 3. Optionally, the Counterparty sends the R014, including any attachments, to the Case Owner; 4. [This Branch] Ends. |
| | <p><u>Branch 7: at any step after [step 5], any participant may choose to forward the business process to another competent institution within their Member State who assumes responsibility for handling it</u></p> <ol style="list-style-type: none"> 1. Any participant executes business use case AD_BUC_05_Subprocess-Forward Case; 2. [This Branch] Ends. |
| | <p><u>Branch 8: at any step where a participant has received a SED, that participant may choose to request the other participant who previously sent them information to provide clarification of the data that they have sent</u></p> <ol style="list-style-type: none"> 1. The participant executes business use case AD_BUC_08_SubProcess-Clarify Content; 2. [This Branch] Ends. |
| | <p><u>Branch 9: Where [Exception 1] has been executed, either participant may choose to re-open the BUC</u></p> <ol style="list-style-type: none"> 1. Any participant executes business use case AD_BUC_02_SubProcess-ReOpen Process; 2. [This Branch] Ends. |
| Exceptions: | <u>Exception 1: at any step after at least one SED has been exchanged in the Case, the Case Owner or the Counterparty</u> |

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| | <p><i>may choose to end the process due to unexpected information becoming known to them during the course of their investigations</i></p> <ol style="list-style-type: none"> 1. The Case Owner or the Counterparty executes the business use case <i>AD_BUC_01_SubProcess-Close</i>; 2. The Use Case ends here. |
| Includes: | See diagram at part 4.4. |
| Special Requirements: | <p>SR1: Rules about the invoking of the branches:</p> <p>[Branch 1] – May be invoked more than once</p> <p>[Branch 2] – May be invoked more than once</p> <p>[Branch 3] – May be invoked more than once</p> <p>[Branch 4] – May be invoked more than once</p> <p>[Branch 5] - May be invoked more than once (provided a new SED has been created following the invalidation)</p> <p>[Branch 6] - May be invoked more than once (provided a new SED has been created following the invalidation)</p> <p>[Branch 7] - May be invoked more than once</p> <p>[Branch 8] - May be invoked more than once</p> <p>[Branch 9] - May be invoked more than once (provided a new close was requested following the re-open)</p> <p>[Exception 1] - May be invoked more than once (provided branch 9 has been invoked)</p> <p>SR2:</p> <ul style="list-style-type: none"> - Alternative Branches 1 till 8 are non-interrupting Branches - Exception 1 is an interrupting Branch. |
| Assumptions: | N/A |
| Notes and Issues: | N/A |

4.2. Request – Reply SEDs

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

| REQUEST SED | REPLY SED(s) |
|-------------|--------------|
| R012 | R014 |

4.3. Attachments Allowed

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

| SED | Attachments |
|-------------|-------------|
| R012 | Allowed |
| R014 | Allowed |

4.4. Artefacts used

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

| Artefact name | Artefact type |
|---|---------------|
| R012 | SED |
| R014 | SED |
| H_BUC_01_Subprocess | BUC |
| AD_BUC_01_Subprocess – Close Case | BUC |
| AD_BUC_02_Subprocess – Reopen Case | BUC |
| AD_BUC_05_Subprocess – Forward Case | BUC |
| AD_BUC_06_Subprocess – Invalidate SED | BUC |
| AD_BUC_07_Subprocess – Reminder | BUC |
| AD_BUC_08_Subprocess – Clarify Content | BUC |
| AD_BUC_10_Subprocess – Update SED | BUC |
| AD_BUC_11_Subprocess – Business Exception | BUC |
| AD_BUC_12_Subprocess – Change of Participant | BUC |

5. Business Processes

This chapter describes the Business Use Case "Request for information under Art. 76 of Regulation No 987/2009" using BPMN 2.0.

5.1. Case Owner and Counterparty

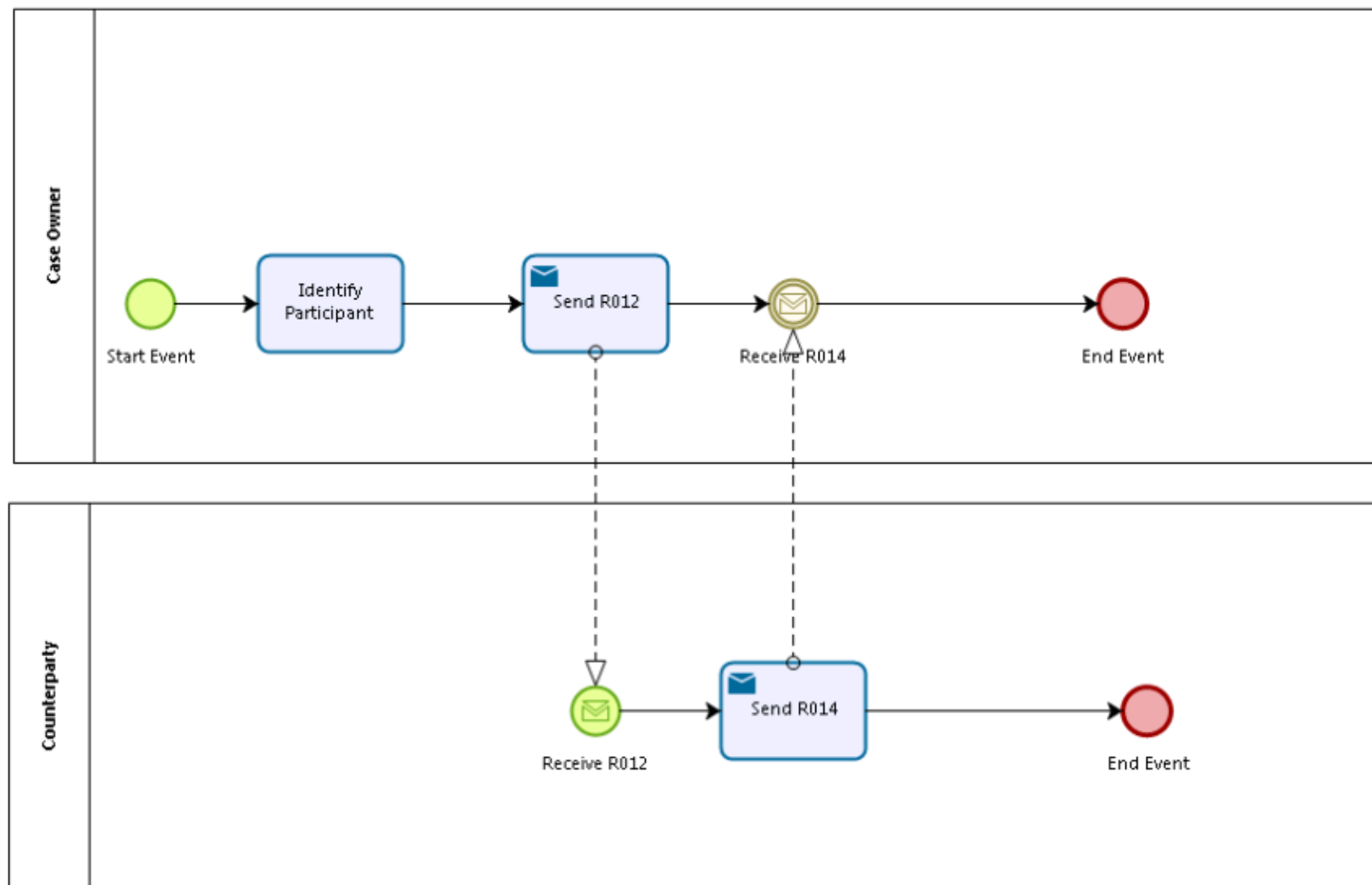


Figure 1: depicts the use case end-to-end of the Case Owner and Counterparty, from a high level, using the BPMN 2.0 collaboration diagram

5.2. Sub Processes

Not Applicable.

6. Appendices

6.1. Issues

| # | Issue date | Description | Solution | Close date |
|---|------------|--|--|------------|
| 1 | 05/01/2016 | <p>If multiple requests need to be performed to multiple institutions (in various countries or within one MS), then additional R_BUC_05 will need to be initiated.</p> <p>How will then these BUC's be linked / related with each other?</p> | <p>It is up to the national application of the Case Owner how the link between these BUC's is managed (for example by using personal data of the debtor).</p> <p>There is no need to link various counterparties because they have no relationships in between and are normally not connected on national level.</p> | 29/06/2016 |
| 2 | 15/04/2016 | <p>BPMN model:</p> <p>2 comments (from Christof Gutzler and Adrienne Brown) still have to be updated in the document.</p> <p>- "Événement du début" and "Événement du fin" should be replaced by "Start event" and "End event".</p> <p>"And also the description 'type': this needs to be in English".</p> | <p>Due to a change in tooling, the update will only be done at the time the new tool will become available.</p> | 01/07/2016 |
| 3 | 21/06/2016 | <p>Conversion of the BPMN model to split between Case Owner and Counterparty.</p> | <p>Scheduled for update.</p> <p>=> Keep picture in 1 section.</p> | 30/06/2017 |