



EESSI – CDM 4.4

R - Recovery

R_BUC_06 - v4.4.0

**Request for notification under Article 77 of
Regulation (EC) No 987/2009**

BUC Specifications

Document Control Information

Document Control	Value
Project Title	Electronic Exchange of Social Security Information (EESSI)
Document Name	R_BUC_06_Mainproc_Specification_v4.4.0.docx
Document Category	BUC Specifications
Document Version	v4.4.0
Revision	-
CDM Package	CDM 4.4.0 Package
Publication Date	06/12/2024
Document Status	Final
Sensitivity (TLP) Distribution terms	<p>Traffic Light Protocol (TLP) = "GREEN"</p> <div data-bbox="737 1010 1174 1211"> <p>GREEN</p> <p>Only share inside EESSI community See Author guidance before sharing</p> </div> <p>The distribution of this document is done strictly in line with the Traffic Light Protocol (TLP) established by the European Commission's note AC 790/15 REV for the EESSI project documentation.</p> <p>In line with the note AC 790/15 REV, this document is labelled as TLP = "Green". Therefore, it can be circulated widely within the EESSI community. However, the document or the information herein may not be published or posted on the Internet, nor released outside of the EESSI community.</p>
Connected/Embedded Files	None
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Document history

Version	Date	Short Description of Changes
v0.1.0	12/01/2016	Initial draft version
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 2 and 10 are not applicable anymore and are included in branch 1 & 9 - In section 4.1 branch 1 and 8 and exception 1 can be invoked any step after step 5 (instead of 4) <p>In section 4.1 branch 6 and 7 allow also to optionally create a new SED after invalidation of the previous one</p>
v0.3.0	25/05/2016	<p>Updated following review of Donna Ulyatt:</p> <ul style="list-style-type: none"> - Section document Control Information: document title - deleted "Business Use Case H_BUC_05 Exchange of PINs"; - Paragraph 2.1: spelling correction - changed "of" to "an"; - Paragraph 2.1: changed "and" to "or"; - Paragraph 2.1: bracketed text "unless there is an administrative agreement". This is to link the statement to the "debt is below €350" and not the statement "is more than 5 years old"; - 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 2 and Branch 10- this has already been deleted in a previous version. Removed branches and renumbered the next; - Paragraph 4.1: Branch 8 - changed from "Counterparty" to "participant"; - Paragraph 4.1: Frequency of Use - amended to read "is expected to" instead of "will"; - Paragraph 4.1: Special requirements - removed Branch 2 & 10 and renumbered the next SRs;

		<ul style="list-style-type: none"> - Paragraph 4.1: Special requirements - add "provided a new SED has been created following the invalidation" to Branch 5 & 6; - Paragraph 4.1: Special requirements - amend Branch references to "Branches 1 till 8" to take account of the renumbering of the Branches. <p>Paragraph 4.4: RUP UC Diagram Representation - corrected arrow for H_BUC_01.</p>
v0.4.0	22/06/2016	<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 SEDs. - 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'.

		<ul style="list-style-type: none"> - Renamed section 5.2 Called Sub Processes to 5.3 Sub Processes, which becomes Not Applicable. Removed section '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). - Section 6.1 Issues – added issue 2 to take action related to update BPMN model split between CO & CP.
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.</p>
v0.6.0	20/07/2016	<p>Updated following review from AHG members:</p> <ul style="list-style-type: none"> - Updated section 4.1 RUP Table Representation: Branch 9 – rephrased; - Special requirements – exception 1 – rephrased to make it possible to invoke it more than once, provided branch 9 has been invoked. <p>And updated with grammatical changes Section 3 'understanding' changed to 'understand'.</p>
v0.99.0	26/09/2016	Candidate for AHG approval.

		<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>Updated following AC review comments:</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: deleted 'email or' from last paragraph;</p> <p>Main Scenario: Step 4 and 7: replaced 'their' into 'the';</p> <p>Alternative Scenarios: Branch 4 and 7: add '-' after Subprocess for step 1;</p> <p>Special Requirements: added additional space for branches 5 to exception 1, to align with branch 1 to 4.</p>
v0.99.1	28/09/2016	Submit for AC Approval.
v1.0.0	21/10/2016	AC Approved Version.
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 the BPMN version of the diagram in section 5.

		<ul style="list-style-type: none"> - updated the subprocesses table from section 4.5 - remove Use Case diagram - Align Invalidate branches with standard text to include reference to Art 5
v4.1.0	03/08/2018	<ul style="list-style-type: none"> - 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 notification under Art. 77 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 notification under Art. 77 of Regulation (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 notification under Art. 77 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 notification under Art. 77 of Regulation (EC) No 987/2009" business process.

Chapter 4 describes in detail the "Request for notification under Art. 77 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 notification under Art. 77 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 to notify an instrument or decision, concerning a claim and/or its recovery to the debtor.

It should be used when the legislation of the applicant Member State requires the delivery of an instrument, or a decision to the addressee concerned, before the claim can be enforced.

The request form should specify the notification form (to addressee in person or otherwise) and type of document which is to be notified (administrative or judicial decision). Member States are not required to grant assistance if the claim is more than 5 years old or the debt is below €350 (unless there is an administrative agreement). The reply form will then specify if the notification was made or not and how and when.

If any additional information is needed, horizontal H_BUC_01 may be used, either by the Case Owner, or by the Counterparty.

2.2. Legal Base

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

- 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)
	77
R015	✓
R016	✓

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 that an instrument or decision concerning a claim and / or its recovery is notified to the debtor.
Counterparty	In this Business Use Case, the Counterparty is the requested party in the other Member State that receives the request for notification from the applicant party. There will be only one Counterparty in this Business Use Case.

4. Use Case

4.1. RUP Table Representation

Use Case ID:	R_BUC_06		
Use Case Name:	Request for notification under Article 77 of Regulation (EC) No. 987/2009		
Created By:	EESSI BA Team	Last Updated By:	EESSI BA Team
Date Created:	12/01/2016	Publication Date:	06/12/2024
Actors:	Case owner Counterparty		
Description:	<p>This business use case is providing the possibility for an institution of a Member State to ask an institution in another Member State to notify an instrument, or a decision concerning a claim or its recovery to the debtor.</p> <p>There are 2 SED's which are used in this Business use case :</p> <ul style="list-style-type: none"> - R015: "Request for notification" (and optionally the document to be notified will be attached to this SED) - R016: "Reply to the request for notification". <p>If a document is attached to R015, the relevant number must be inserted in the header. If, however there is no attachment (for example when the documents are being sent by post) then the number field should remain empty.</p>		
Trigger:	An institution in one Member State needs to notify an instrument or a decision to an addressee in another Member State in order to recover its claim(s).		
Preconditions:	The applicant Member State requires the delivery of an instrument or a decision to the addressee concerned, before the claim can be recovered.		
Post conditions:	A reply to the request for notification has been sent by the Counterparty (whether the notification has been made or not).		
Main Scenario:	<p>Identify Participant</p> <p>The Case Owner identifies the EU Member State where the notification needs to take place;</p> <ol style="list-style-type: none"> 1. The Case Owner identifies the competent institution (the Counterparty in the selected Member State where this notification needs to take place). 		

	<p>Process Request / Reply</p> <p>The Case Owner fills in a R015 SED ("Request for notification") by entering all the required information. Optionally, the document to be notified can be attached to the SED;</p> <ol style="list-style-type: none"> The Case Owner sends the SED R015, including any attachments, to the Counterparty; The Counterparty receives SED R015, including any attachments (if provided); The Counterparty fills in a R016 SED ("Reply to request for notification") by entering all the required information; The Counterparty sends the R016 SED, including any attachments, to the Case Owner; The Case Owner receives the R016 SED, including any attachments (if provided); The use case ends here.
Alternative Scenarios:	<p><u>The Following Branches Determine the use of Horizontally Defined Processes within this Business Process</u></p>
	<p><u>Branch 1:</u> at any step after [step 5], any participant may choose to Request AdHoc Information from the other participant</p> <ol style="list-style-type: none"> The participant executes business use case H_BUC_01_Subprocess – AdHoc Exchange of Information; [This Branch] Ends.
	<p><u>The Following Branches Determine the use of Administrative Processes within this Business Process</u></p>
	<p><u>Branch 2:</u> at any step after [step 4] the Case Owner may choose to send an updated version of their R015, provided the SED has not been invalidated</p> <ol style="list-style-type: none"> The Case Owner executes business use case AD_BUC_10_Subprocess-Update SED; [This Branch] Ends.
	<p><u>Branch 3:</u> at any step after [step 7] the Counterparty may choose to send an updated version of their R016 SED, provided the SED has not been invalidated</p> <ol style="list-style-type: none"> The Counterparty executes business use case AD_BUC_10_Subprocess-Update SED; [This Branch] Ends.
	<p><u>Branch 4:</u> 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</p>

	<ol style="list-style-type: none"> 1. The Case Owner or Counterparty executes business use case <i>AD_BUC_07_Subprocess-Reminder;</i> 2. [This Branch] Ends. <p><i>Branch 5: at any step after [step 4] , the Case Owner may choose to advise the Counterparty of their SED R015, that it is Invalid under Art 5 of Regulation (EC) no 987/09</i></p> <ol style="list-style-type: none"> 1. The Case Owner executes business use case <i>AD_BUC_06_Subprocess-Invalidate_SED;</i> 2. Optionally, the Case Owner fills in a Request for notification (R015) by entering all the required information; 3. Optionally, the Case Owner sends the R015, including any attachments, to the Counterparty; 4. [This Branch] Ends. <p><i>Branch 6: at any step after [step 7] , the Counterparty may choose to advise the Case Owner of their R016 SED, that it is Invalid under Art 5 of Regulation (EC) no 987/09</i></p> <ol style="list-style-type: none"> 1. The Counterparty executes business use case <i>AD_BUC_06_Subprocess-Invalidate_SED;</i> 2. Optionally, the Counterparty fills in a Reply to the request for notification (R016) by entering all the required information; 3. Optionally, the Counterparty sends the R016, including any attachments, to the Case Owner; 4. [This Branch] Ends. <p><i>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</i></p> <ol style="list-style-type: none"> 1. Any participant executes business use case <i>AD_BUC_05_Subprocess-Forward Case;</i> 2. [This Branch] Ends. <p><i>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</i></p> <ol style="list-style-type: none"> 1. The participant executes business use case <i>AD_BUC_08_SubProcess-Clarify Content;</i> 2. [This Branch] Ends. <p><i>Branch 9: where [Exception 1] has been executed, either participant may choose to reopen the BUC</i></p> <ol style="list-style-type: none"> 1. Any participant executes business use case <i>AD_BUC_02_SubProcess-ReOpen Process;</i> 2. [This Branch] Ends.
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Exceptions:	<p><i>Exception 1: at any step after at least one SED has been exchanged in the Case, the Case Owner or the Counterparty 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 AD_BUC_01_SubProcess-Close; 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)
R015	R016

4.3. Attachments Allowed

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

SED	Attachments
R015	Allowed
R016	Allowed

4.4. Artefacts used

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

Artefact name	Artefact type
R015	SED
R016	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 notification under Art. 77 of Regulation No 987/2009" using BPMN 2.0.

5.1. Case Owner and Counterparty

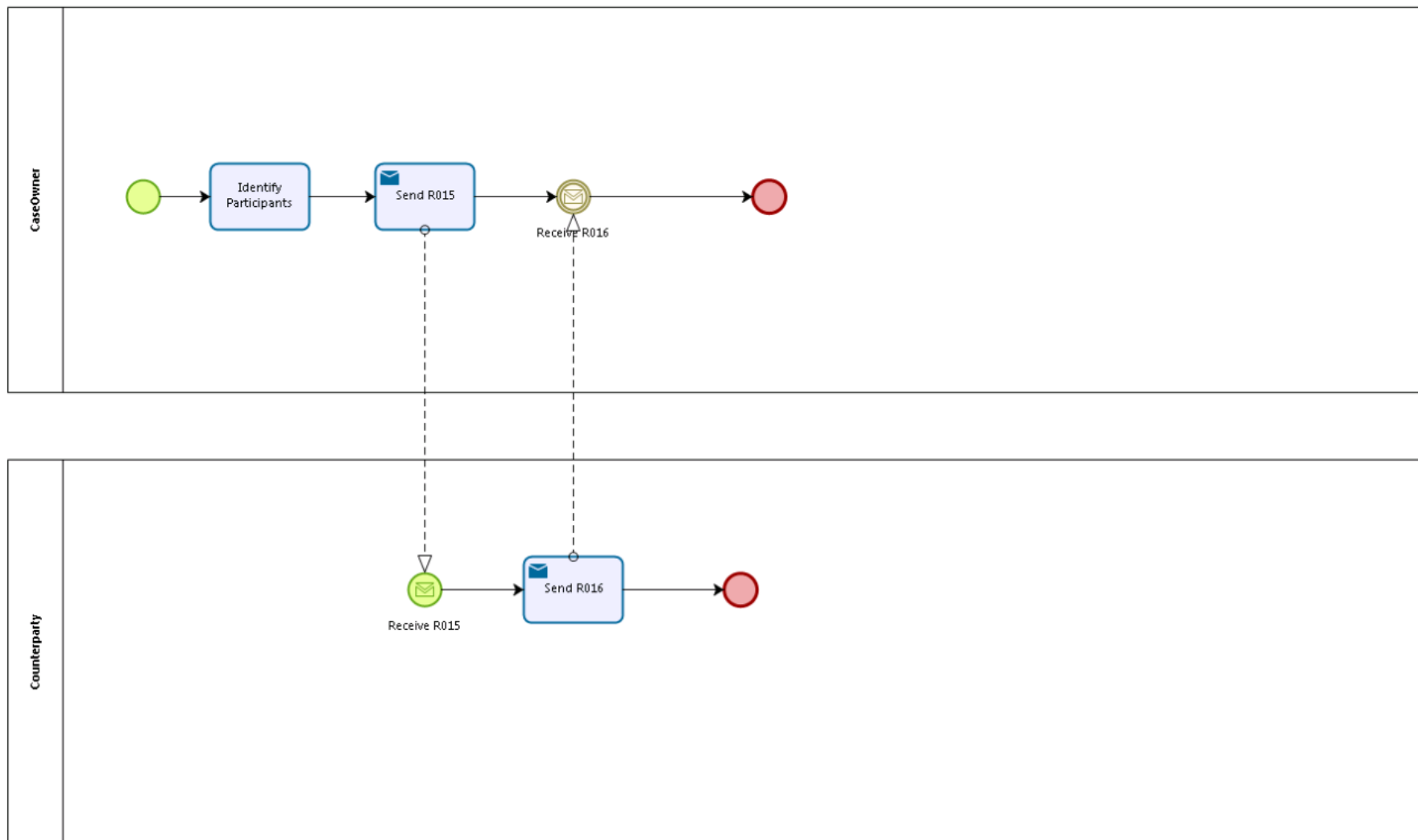


Figure 1: depicts the use case end-to-end of the Case Owner and Counterparty, from a high level, using the BPMN 2.0 collaboration diagram

5.2. Sub Processes

Not Applicable.

6. Appendices

6.1. Issues

#	Issue date	Description	Solution	Close date
1	15/04/2016	BPMN model: The comment from Xavier Rossmanith still has to be updated in the document. - "Title: Request for notification under Art. 77 of Reg. (EC) 987/2009"	Due to a change in tooling, the update will only be done at the time the new tool will become available.	01/07/2016
2	21/06/2016	Conversion of the BPMN model to split between Case Owner and Counterparty.	Scheduled for update. => kept in 1 section.	30/06/2017