



**EESSI – CDM 4.4**

**H - Horizontal**

**H\_BUC\_06 - v4.4.0**

**Transmission of Claim/Document/Information**

***BUC Specifications***

## Document Control Information

Document Control	Value
<b>Project Title</b>	Electronic Exchange of Social Security Information (EESSI)
<b>Document Name</b>	H_BUC_06_Mainproc_Specification_v4.4.0.docx
<b>Document Category</b>	BUC Specifications
<b>Document Version</b>	v4.4.0
<b>Revision</b>	-
<b>CDM Package</b>	CDM 4.4.0 Package
<b>Publication Date</b>	06/12/2024
<b>Document Status</b>	Final
<b>Sensitivity (TLP) Distribution terms</b>	<p>Traffic Light Protocol (TLP) = "GREEN"</p> <div><b>GREEN</b> Only share inside EESSI community See Author guidance before sharing</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 However, the document or the information herein may not be published or posted on the Internet, nor released outside of the EESSI community.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>
<b>Connected/Embedded Files</b>	None
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## Document history

Version	Date	Short Description of Changes
v0.1	21/01/2015	Initial draft
v0.2	12/02/2015	Adaptations following review of P. Cummings.
v0.3	25/03/2015	Update following review of the AHG on the BUC.
v0.4	10/08/2015	Minor editorial corrections
v0.5	24/08/2015	Correction: - <u>Branch 7</u> : Forwarding of the Case from the Counterparty to another institution <u>within</u> the same Member State by using the forward administrative.
v0.6	07/10/2015	Added <u>branch 8</u> , containing the possibility to forward the case to another member state.
v0.7.0	23/10/2015	- Description of 4.1 corrected to reflect Branch 8: 1) Forwarding the case <u>within the same member</u> state can be performed by using the "Forward" administrative SED.(branch 7) 2) Forwarding the case <u>to another member state</u> can be done by adding the new participant in the case. (branch 8) - Correction in the Use Case Diagram.
v0.99.0	25/04/2016	Candidate for AHG Approval -Inclusion of Request-Reply Table -Inclusion of Attachment Allowed Table -Inclusion of SED & Sub-process Versioning Information
v0.99.1	06/06/2016	Minor editorial corrections following comments received from AC review
v1.0.0	06/07/2016	AC APPROVED VERSION
v1.0.1	29/06/2017	Updated Section 5.1 Case Owner – Counterparty – added new diagram H_BUC_06_Diagram v1.0.0.8 Deleted Sub-process section content Added Not Applicable -Replaced the reference to the BUC on Confluence.

v1.0.2	22/11/2017	<p>Alignment to the standard description and layout of the BUC:</p> <ul style="list-style-type: none"> <li>- Section 2.2 changed title to 'Legal base' and rephrased introduction text;</li> <li>- Updated section 4.1 RUP Table Representation:</li> </ul> <p>branches 2, 5 and 7 to align forward and invalidate wording to the standard wording &amp; updated special requirement to allow for branch 2 and 5 to be invoked more than once;</p> <ul style="list-style-type: none"> <li>- Removed Section 4.4 RUP UC Diagram Representation.</li> <li>- Included H_BUC_04 and H_BUC_10 (as not used for this BUC) in table "Sub processes' Table.</li> </ul>
v4.1.0	31/08/2018	<ul style="list-style-type: none"> <li>- Section 4.4 merged 2 tables (for SED &amp; for Subprocesses) into 1 BUC Artefact table."</li> <li>- Version adaptations to release 4.1.0</li> </ul>
v4.2.0	09/7/2019	<p>Updated following Change Request for "H_BUC_06 – Do not allow the Counterparty to transfer the claim to another Member State ", see JIRA EESSI-2340":</p> <ul style="list-style-type: none"> <li>- Removed branch 8, which calls AD_BUC03 "Add participant"</li> </ul>
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

### 1.2. Scope

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

### 1.3. Definitions, Acronyms and Abbreviations

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

### 1.4. References

#	Description	
R1	Basic Regulations EC (883/04)	<a href="#">Regulation EC No. 883/2004.pdf</a>
R2	Implementing Regulations EC (987/09)	<a href="#">Regulation EC No 987/2009.pdf</a>

### 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 Transmission of Claim / document / 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 Transmission of claim / document / information business process.

Chapter 4 describes in detail the Transmission of Claim / document / information business process based on the RUP use case template, as well as the relationship to other use cases.

Chapter 5 describes the Transmission of Claim / document / relevant information business process using business process modelling notation (BPMN).

## 2. Description

### 2.1. Business Scenario

This Business Use Case allows for an institution to transfer a claim, a document or any relevant information to the institution in the member state which is competent to process a claim under the Regulations.

The receiving institution will then have to respond indicating if they accept the transmission, or refuse it and inform the Case Owner about the relevant Institution in another Member State.

Basically, this business use case can be used in 2 different situations:

- When the claim has been sent to an institution in which the relevant benefit does not exist
- When the claim/document/relevant information has been submitted mistakenly by a person to an institution in the territory of a Member State other than that in which the institution designated in accordance to the Regulations (EC) 987/2009 [R2].

If needed, the receiving institution may choose to transfer the claim / document / information to the relevant institution within the same Member State (Branch 7), or refuse the transmission and inform the Case Owner about the relevant Institution in another Member State (main scenario).

### 2.2. Legal Base

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

1. 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.

	<b>Implementing Reg. (987/2009)</b>
	<b>Art. 2 (3) (4)</b>
H065	✓
H066	✓

*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
<b>Case Owner</b>	In this Business Use Case the Case Owner is the Institution in a Member State that needs to transfer a claim / a document or some information to another institution.
<b>Counterparty</b>	In this Business Use Case the Counterparty is the Competent Institution in the (other) Member State that receives the Case Owner's claim/ document or information and reply by deciding if they accept the transfer or refuse it and optionally inform the Case Owner about the relevant Institution in another Member State.



## 4. Use Case

### 4.1. RUP Table Representation

<b>Use Case ID:</b>	<b>H_BUC_06</b>		
<b>Use Case Name:</b>	H_BUC_06 – Transmission of Claim / Document / Information.		
<b>Created By:</b>	EESSI BA Team	<b>Last Updated By:</b>	EESSI BA Team
<b>Date Created:</b>	23/01/2015	<b>Last Revision Date:</b>	06/12/2024
<b>Actors:</b>	Case Owner Counterparty		
<b>Description:</b>	<p>In a situation where an institution received a claim, a document or any relevant information and that institution is not competent in accordance with the Regulation (EC) 987/2009, the claim should be resubmitted without delay directly to the competent institution or indirectly via the liaison body.</p> <p>For that purpose , the following pair of SED's will be used :</p> <p>H065 – "<i>Transmission of claim/document/information</i>"</p> <p>H066 – "<i>Reply to transmission of claim/ document/ information</i>".</p> <ul style="list-style-type: none"> <li>- The H065 will be used to submit the claim/information and/or document to the competent institution.</li> <li>- The H066 can be used to reply to the sending institution by stating if they accept the transfer or if they refuse it and optionally inform the Case Owner about the relevant Institution in another Member State (by selecting the option 3.1.1 "<i>Decision</i>" in SED H066 and filling in the relevant information).</li> <li>- The receiving institution can forward the case to another institution <u>within the same member</u> state by using the "Forward" administrative SED (branch 7). The new Participant will then reply to the sending institution using SED H066, and following the same rules described here.</li> <li>- Or else, the receiving institution can refuse the transfer by choosing in SED H066 the option "<i>We do not accept transmission of</i>" in 3.1.1 "<i>Decision</i>". Optionally, they can inform the Case Owner about the relevant Institution in another Member State, by entering in SED H066 the refusal reason "<i>The relevant institution is situated in another Member State</i>" in 3.1.3.1 "<i>Reason for non-acceptance</i>"</li> </ul>		

	and the identification of this institution in 3.1.3.2. " <i>Suggested competent Institution in another country</i> ".
<b>Trigger:</b>	A case needs to be transmitted to a competent institution in accordance to the Regulation (EC) 987/2009 2 (3) (4).
<b>Preconditions:</b>	<p>2 possible preconditions:</p> <ul style="list-style-type: none"> <li>- a claim exists within an institution in which the relevant benefit does not exist</li> <li>- a claim/document/relevant information exists within an institution in the territory of a Member State other than that in which the institution designated in accordance to the Regulations (EC) 987/2009.</li> </ul>
<b>Post conditions:</b>	<p>- The receiving institution has replied to the transmission of the claim to accept or to refuse with SED H066 (using option "<i>Decision</i>" 3.1.1).</p> <p>Or</p> <p>- The receiving institution has refused the transmission of claim/document/information and has informed the sending institution about the relevant Institution in another Member State with SED H066 (using option "<i>Decision</i>" 3.1.1 and filling in the section 3.1.3.2 "<i>Suggested competent Institution in another country</i>").</p>
<b>Main Scenario:</b>	<p><b>Identify Participant</b></p> <ol style="list-style-type: none"> <li>1. The Case Owner identifies the EU Member State where the claim/document/information should be transmitted.</li> <li>2. The Case Owner identifies the Competent Institution (the Counterparty) in the selected Member State. There will be only one counterparty.</li> </ol> <p><b>Send Transmission of claim/document/information</b></p> <ol style="list-style-type: none"> <li>3. The Case Owner fills in a Transmission of claim/document/information (SED H065 - "<i>Transmission of claim/document/information</i>") by entering all the needed fields regarding the claim/ the document(s) and or the information which will be transmitted to the Counterparty;</li> <li>4. The Case Owner sends the SED H065 to the Counterparty;</li> </ol> <p><b>Process Request</b></p> <ol style="list-style-type: none"> <li>5. The Counterparty will receive the Transmission of claim/document/information SED H065, after which the decision process will be taken;</li> <li>6. The Counterparty fills in a reply SED H066 - "<i>Reply to transmission of the claim / document / information</i>" to the SED H065 that was transmitted by entering a decision on the transmission: Acceptance or Refusal in Section 3.1.1</li> </ol>

	<p>"Decision" and by filling in the relevant information of the section.</p> <ol style="list-style-type: none"> <li>The Counterparty sends the SED H066 back to the Case Owner.</li> <li>The Case Owner receives the SED H066 containing the decision.</li> <li>The use case ends here.</li> </ol>
<b>Alternative Scenarios:</b>	<p><b><u>The Following Branches determine the use of Horizontally Defined Processes within this Business Process</u></b></p>
	<p><b><u>Branch 1: At any point after step [4] the Counterparty identifies that more information is needed to process the request</u></b></p> <ol style="list-style-type: none"> <li>The Counterparty starts H_BUC_01 – Ad hoc Exchange of Information;</li> <li>[This Branch] Ends and the Use Case resumes at the step following the step calling this branch.</li> </ol>
	<p><b><u>The Following Branches Determine the use of Administrative Processes within this Business Process</u></b></p>
	<p><b><u>Branch 2: at step [5] the Case Owner may choose to advise the Counterparty of their SED H065 that it is invalid under Art 5 of 987/09</u></b></p> <ol style="list-style-type: none"> <li>The Case Owner executes business use case AD_BUC_06_Invalidate SED;</li> <li>Optionally, the Case Owner fills in a Transmission of claim/document/information (SED H065) by entering all the required data;</li> <li>Optionally, the Case Owner sends the SED H065, including any attachments, to the Counterparty;</li> <li>[This Branch] Ends</li> </ol>
	<p><b><u>Branch 3: at step [5] the Case Owner chooses to send an updated version of SED H065</u></b></p> <ol style="list-style-type: none"> <li>The Case Owner executes business use case AD_BUC_10_Update SED;</li> <li>[This Branch] Ends</li> </ol>
	<p><b><u>Branch 4: After [Step 7], the Counterparty may choose to send an update of the SED H066</u></b></p> <ol style="list-style-type: none"> <li>The Counterparty executes business use case AD_BUC_10_Update SED;</li> <li>[This Branch] Ends</li> </ol>
	<p><b><u>Branch 5: After [Step 7], the Counterparty may choose to advise the Counterparty of their SED H066 that it is invalid under Art 5 of 987/09</u></b></p> <ol style="list-style-type: none"> <li>The Counterparty executes business use case AD_BUC_6_Invalidate SED;</li> <li>Optionally, the Counterparty fills in a reply to transmission of the claim / document / information (SED H066) by entering all the required data;</li> </ol>

	<p>3. Optionally, the Counterparty sends the SED H066, including any attachments, to the Case Owner;</p> <p>4. [This Branch] Ends</p>
	<p><b><u>Branch 6:</u> After [Step 4] and before [Step 7] the Case Owner optionally chooses to send a Reminder to the Counterparty for the return of the information he was expecting but did not receive</b></p> <p>1. The Case Owner executes business use case AD_BUC_07_Reminder;</p> <p>2. [This Branch] Ends</p>
	<p><b><u>Branch 7:</u> After [Step 5], the Counterparty may optionally choose to forward this Business Process to another institution <u>within</u> their Member State who assumes responsibility for handling it.</b></p> <p>1. The Counterparty executes business use case <b>AD_BUC_05_Forward Case;</b></p> <p>2. [This Branch] Ends.</p>
	<p><b><u>Branch 8:</u> [removed]</b></p>
<b>Includes:</b>	See section 4.4
<b>Special Requirements:</b>	<p><b>SR1:</b></p> <p>H065 can be sent only once (even though updates can be created for this SED).</p> <p>H066 can be sent only once (even though updates can be created for this SED).</p> <p><b>SR2:</b> Rules about the invoking of Branches:</p> <p><u>Administrative</u></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</p> <p>[Branch 6] – May be invoked more than once</p> <p>[Branch 7] – May be invoked more than once</p> <p>[Branch 8] – branch removed</p> <p><b>SR3:</b> Rules about the destination for each SED Type:</p>

	<ul style="list-style-type: none"> <li>- H066 has only one destination recipient, the Case Owner and it is sent only as reply of H065.</li> <li>- H065 has only one destination recipient, the Counterparty.</li> </ul>
<b>Assumptions:</b>	N/A
<b>Notes and Issues:</b>	<p>[List any additional comments about this use case or any remaining open issues or TBDs (To Be Determined) that must be resolved. e.g.</p> <p>1. What is the maximum size of the PIN that a use can have?]</p>

## 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)
H065	H066

## 4.3. Attachments Allowed

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

SED	Attachments
<b>H065</b>	Allowed
<b>H066</b>	Allowed

## 4.4. Artefacts used

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

Artefact name	Artefact type
<b>H065</b>	<b>SED</b>
<b>H066</b>	<b>SED</b>
<b>H_BUC_01_Subprocess</b>	<b>BUC spec</b>
<del><b>AD_BUC_03_Subprocess – Add Participant</b></del>	<del><b>BUC spec</b></del>
<b>AD_BUC_05_Subprocess – Forward Case</b>	<b>BUC spec</b>
<b>AD_BUC_06_Subprocess – Invalidate SED</b>	<b>BUC spec</b>
<b>AD_BUC_07_Subprocess – Reminder</b>	<b>BUC spec</b>
<b>AD_BUC_10_Subprocess – Update SED</b>	<b>BUC spec</b>
<b>AD_BUC_11_Subprocess – Business Exception</b>	<b>BUC spec</b>
<b>AD_BUC_12_Subprocess – Change of Participant</b>	<b>BUC spec</b>

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## 5. Business Processes

The following paragraphs describe the Business Use Case "Transmission of Claim/Document/Information" using BPMN 2.0.

### 5.1. Case Owner and Counterparty

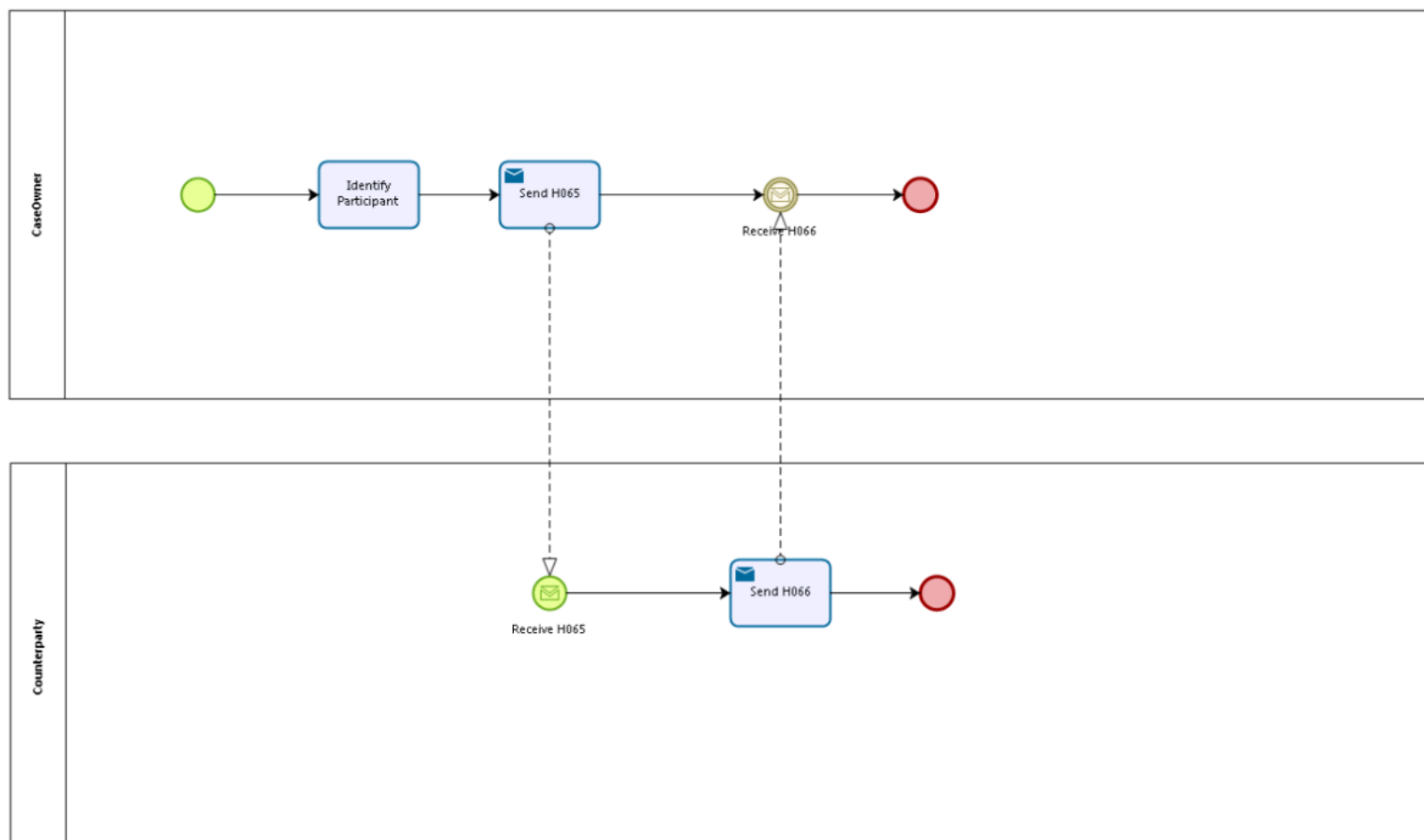


Figure 1: depicts the use case end-to-end, from a high level, using the BPMN 2.0 collaboration diagram

## 5.2. Sub Processes

Not Applicable



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## 6. Appendices

### 6.1. Issues

N/A