



EESSI – CDM 4.4


LA - Legislation Applicable

LA_BUC_01 - v4.4.0

Request for Exceptions

BUC Specifications

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Document history

Version	Date	Short Description of Changes
v0.05	07/04/2014	First Draft
v0.06	08/04/2014	Update the main flow diagram; Update branch description.
v0.07	08/05/2014	Add new branch; Add ARIS diagrams; Update branch description.
v0.08	23/05/2014	Update Branches 9 – 18; Add special requirements; Update diagram in chapter 4.2.
v0.10	15/07/2014	Update Introduction; Update Description; Update actors and roles; Update Main Scenario; Updated branches 2 -17; Update special requirements; Update diagram in chapter 5.1.1; Update diagram in chapter 5.1.2; Update diagram in chapter 5.2.1.
v0.2.0	04/02/2015	Apply changes requested by AHG Add Branch 3 Remove Reopen branch(14) Remove Reject branch (22)
v0.2.1	28/04/2015	Change versioning system Remove former flow reference
v0.3.0	11/10/2015	Changes made to align BUC to other sectors specifically: <ul style="list-style-type: none"> • Inclusion of Invalidate SED • Removal of use of LA_BUC_03 as sub-process • Inclusion of A008 SED by CO and CP General corrections to branches to allow updates and invalidation
v0.4.0	11/11/2015	<ul style="list-style-type: none"> • Removal of Process loop so only one A001 request can be sent in the BUC Inclusion of sending X001 into the main process to be sent once each CP has replied with either a A002 or A011
v0.4.1	26/01/2016	<ul style="list-style-type: none"> • Added the Request-Reply SED (A005-A006) Added the SED and Sub-process versioning
v0.99.0	15/02/2016	<ul style="list-style-type: none"> • Add Participant made by all active Participants • The possibility to issue a PD A1 after the BUC ends • Added the BPMN diagram and UC diagram Updated the Document Control Information

v1.0.0	10/05/2016	AC Approved version
v1.0.1	26/05/2016	<ul style="list-style-type: none"> Following the comments received from the AC, "competent institution" was replaced with "competent authority or designated body" Added the clarification regarding "institution" under the Description paragraph Updated the first sentence under section 4.1. "Trigger"
v1.1.0	29/07/2016	<ul style="list-style-type: none"> Alignment to the standard description and layout of the BUCs Updated the AD Processes table Added the branch "Reopen"
v1.2.0	11/08/2016	<ul style="list-style-type: none"> Both CO and CP can issue the PD A1
v1.2.1	3/07/2017	Updated the BPMN diagram (version 1.2.0.7).
v1.3.0	11/07/2017	<p>Approval of change request for "LA_BUC_01 - Correct the Request - Reply A005/A006 SEDs", see JIRA EESSI-1779: Allow all Participants who receive an A005 request to also receive all the corresponding A006 replies.</p> <ul style="list-style-type: none"> - Added the BPMN version of the diagram in section 5. - Correction in the sub-process table in section 4.5. - Adapted reference to BUC confluence page in Configuration Management - removed the Use Case diagram
v1.3.1	12/12/2017	<ul style="list-style-type: none"> - Updated the BPMN diagrams to clarify the fact that the issuing a portable document A1 is out of the scope of EESSI. - Patched the Invalidate-SED and Forward-Case BUC branches in order to align them for all sectors.
v4.1.0	20/08/2018	<ul style="list-style-type: none"> - Changes in section 4.4: the two tables were merged into one, containing all the used artefacts; - Small patch changes to fit release 4.1.0
v4.2.0	29/05/2019	<p>CR EESSI-5062: rephrasing of certain branches in LA_BUC_01</p> <ul style="list-style-type: none"> - Branch 2 of LA_BUC_01: [Step 4] to be replaced with [*Branch 2* Step 4] in two places - Branch 3 of LA_BUC_01: [Step 4] to be replaced with [*Branch 3* Step 4] in two places - Branches { 12, 13 and 14 } wrongly reference branches { 24, 25 and 25 }, they actually need to reference the correct branches { 22, 23 and 24 } respectively. This needs to be done to express the fact that A001 can be updated as long as it is not invalidated.

		<p>-Branch 22: not clear where the workflow will advance after invalidating a SED (e.g. A001). The same thing for invalidating all other SEDS AND for re-opening the case.</p> <p>- In Branch 4 and 5 we need to rephrase the corresponding step 2 to "sends the A008 to ALL THE OTHER PARTICIPANTS";</p> <p>CR EESSI-5468 - LA Global documentation changes – Changes in names of SED and minor grammar changes</p>
v4.3.0	31/08/2021	Version adaptations to release 4.3.0
v4.4.0	06/12/2024	<p>- Implementation of CR EESSI-11619 by updating the main scenario Step.7 and Step.8 to be aligned with SR2, where SED A011 should be exchanged by all active Participants.</p> <p>-Implementation of CR EESSI-11618 by updating main scenario to Step.3 and Step.6, Branch 1, adding Branch 1-Bis, update SR1 and SR5</p>

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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 realised 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 utilises. 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 Legislation Applicable sector process of Request for Exceptions. The different elements like use case description, business actors, and business process as well as supporting UML diagrams and BPMN models pertaining to the Request for Exception.

1.2 Definitions, Acronyms and Abbreviations

Please consult the EESSI Project Glossary

1.3 References

#	Document Type	Document Name
<i>R1</i>	Basic Regulations EC (883/04)	Regulation EC No. 883/2004.pdf
<i>R2</i>	Implementing Regulations EC (987/09)	Regulation EC No 987/2009.pdf

Table 1: List of References

1.4 Overview

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

Chapter 2 introduces the Request for Exception 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 Exception business process.

Chapter 4 describes in detail the Request for Exception business process based on the RUP use case template, as well as the relationship to other use cases.

Chapter 5 describes the Request for Exception business process using business process modelling notation (BPMN).

Chapter 6 is related to Appendices.

2. Description

2.1 Detailed Description

The "Request for Exceptions" business process in the Legislation Applicable sector describes how situations involving a need to determine the proper legislation to apply in a given case are handled according to article 16 of Regulation (EC) No 883/2004 [R1].

It implies a request for exception sent by a competent authority or the designated body of a Member State to another competent authority or designated body from a different Member State. The responding institution may accept or reject the request, or in case it considers it does not have all the required information, it can ask for additional information (from the initiator of the request) before coming to a final conclusion.

In the context of this BUC, "institutions" refers to the "competent authorities of these Member States or the bodies designated by these authorities", as per article 16 ("Exceptions to Articles 11 to 15") of Regulation (EC) No 883/2004 [R1].

2.2 Legal basis

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.

SED	Basic Reg (883/04)		Implementing Reg (987/09)
	Title II	Article 16 (1)	Article 18
A001		✓	✓
A002		✓	✓
A005	✓		
A006	✓		
A008	✓		
A011		✓	✓

Table 2: 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	Institution of a Member State that is being petitioned by a self-employed person or an employee or by its employer in order to determine the Legislation Applicable in a given situation.
Counterparty	Institution of a Member State requested to agree or disagree (agree but with changed parameters) on the proposed exception.
Petitioner	A person covered by social security legislation (self-employed or employee) that used to work or received benefits in at least one member State other than the State of residence, or its employer.

Table 3: Actors & Roles

4. Use Case

4.1 RUP Table Representation

Use Case ID:	LA_BUC_01		
Use Case Name:	Request for Exceptions		
Created By:	EESSI BA Team	Last Updated By:	EESSI BA Team
Date Created:	10/12/2014	Publication Date:	06/12/2024
Actors:	Case Owner Counterparty Petitioner		
Description:	A competent authority or designated body from a Member State asks for an agreement on legislation applicable to a Counterparty institution in a different Member State(s).		
Trigger:	The person concerned and/or his/her employer contacts the designated institution of the state, whose legislation the employee or person concerned requests be applied (usually the state where the company has its place of registered office); Or A change of circumstances is signalled through LA_BUC_03.		
Preconditions:	A person has worked at least in one Member State other than its country of residence; and / or A person works at least in one Member State other than its country of residence; and / or A person will have worked at least in one Member State other than its country of residence; and / or		

	<p>A person has received benefits at least in one Member State other than its country of residence;</p> <p>and / or</p> <p>A person receives benefits at least in one Member State other than its country of residence;</p> <p>and / or</p> <p>A person will receive benefits at least in one Member State other than its country of residence.</p>
Post conditions:	<p>A conclusion has been reached regarding the legislation applicable. The institution from the Member State whose legislation is applicable will issue the Portable Document A1.</p>
Main Scenario:	<p>Identify Participants</p> <ol style="list-style-type: none"> 1. The Case Owner identifies the EU Member State(s) whose legislation is aimed for exception; 2. The Case Owner then identifies the correct institution or institutions (the Counterparty(ies)) in each Member State that are responsible for making a decision on the exceptions from legislation applicable. There will be one Counterparty or more (in case when more Member States are involved). The Case Owner and the Counterparty(ies) are herein collectively referred to as the Participants. <p>Send exceptions request</p> <ol style="list-style-type: none"> 3. The Case Owner fills in an A001 – Request for Exception choosing or not TW FA check box. 4. The Case Owner sends the A001 to the Counterparty(ies). <p>Receive and process request</p> <ol style="list-style-type: none"> 5. Each Counterparty receives and reviews the A001 SED; 6. Each of the Counterparties fills in an A011 - Acceptance of Request for Exception indicating that it fully agrees with the request or in case of TW FA the conditions are fulfilled as swiftly as possible; 7. Each of the Counterparties sends the A011 to all active Participants 8. The Case Owner and Counterparty(ies) review the received A011 document; 9. The Case Owner must wait until they have received one A011 or A002 from each Counterparty; 10. Case Owner executes the business use case AD_BUC_01_Subprocess – Close Case; 11. The BUC Ends; 12. In case of agreement among the Case Owner and the Counterparties, then any Participant may issue a PD A1.

Alternative Scenario:	<p><u>Branch 1: at [step6] any Counterparty may choose to reject or partially accept the request for legislation applicable (even in case of TW FA conditions are not fulfilled as swiftly as possible)</u></p> <ol style="list-style-type: none"> 1. The Counterparty fills in an A002 SED – Partial or total refusal to Request for Exception in order to reject or only partially accept the request; 2. The Counterparty sends the A002 to the Case Owner; 3. The Case Owner reviews the received A002 document; 4. The case resumes at [step9].
	<p><u>Branch 1-Bis: at [step 3] In case of request exceptions under the Telework Framework Agreement (further "TW FA") the Case Owner does not wait for a response from the Counterparties</u></p> <ol style="list-style-type: none"> 1. The Case Owner selects from SED A001, from section 8.1 <i>Articles of Basic Regulation referring to situation for which agreement on exception is proposed*</i> "Article 13 (1)(a)" and from section 8.3.1 selects <i>Telework Framework Agreement</i>; 2. The Case Owner issues PD A1 without waiting for an answer from the Counterparty; 3. The Case Owner should wait for a period of at minimum 14 calendar days before executing the business use case AD_BUC_01_Subprocess – Close Case regardless the Counterparties has a reaction or not.
	<p><u>Branch 2: after [step 5] and before [step6] any Counterparty may optionally choose to request AdHoc Information from Case Owner or any other Counterparty</u></p> <ol style="list-style-type: none"> 1. The Counterparty fills in the A005 - Request for more information; 2. The Counterparty sends the A005 to one or more of the Participants (the chosen Participants are at the discretion of the Counterparty); 3. Each chosen Participant(s) receives and reviews the A005 - Request for more information; 4. Each Participant that receives an A005 Request for more Information will then fill in an A006 SED – Reply to Request for more information providing the requested information; 5. Each Participant from [Branch 2 Step 4] then sends the filled A006 – Reply to Request for more information to all the other Participants from [Branch 2 Step 4] (but not to herself/himself) and to the Counterparty that requested the information on the A005;

	<ol style="list-style-type: none"> 6. The Participants receiving the A006 – Reply to Request for more information to review the content of the SED; 7. [This Branch] Ends.
	<p><u>Branch 3: At any step between [Step 4] and [Step 10] the Case Owner may optionally choose to request AdHoc Information from the Participants</u></p> <ol style="list-style-type: none"> 1. The Case Owner fills in the A005 - Request for more information; 2. The Case Owner sends the A005 to one or more of the Counterparties (the chosen Counterparties are at the discretion of the Case Owner); 3. Each chosen Counterparty receives and reviews the A005 - Request for more information; 4. Each Counterparty that receives the A005 Request for more Information will then fill in an A006 SED – Reply to Request for more information; 5. Each Counterparty from [Branch 3 Step 4] then sends the filled A006 – Reply to Request for more information to the Case Owner and to the other Counterparties from [Branch 3 step 4] (but not to himself/herself); 6. The Participants receiving the A006 – Reply to Request for more information to review the content of the SED; 7. [This Branch] Ends.
	<p><u>Branch 4: at any step after [step 5] the Case Owner may choose to notify the Counterparties of Relevant Information</u></p> <ol style="list-style-type: none"> 1. The Case Owner fills in the A008 - Notification of relevant information; 2. The Case Owner sends the A008 to all the other Participants; 3. Each Participant receives and reviews the content of the A008; 4. [This Branch] Ends.
	<p><u>Branch 5: at any step after [step 5] a Counterparty may choose to notify the other Participants of Relevant Information</u></p> <ol style="list-style-type: none"> 1. The Counterparty fills in the A008 – Notification of relevant information; 2. The Counterparty sends the A008 to all the other Participants; 3. Each Participant receives and reviews the content of the A008;

	4. [This Branch] Ends.
	<u>The Following Branches determine the use of Horizontally Defined SubProcesses within this Business Process</u>
	<u>Branch 6: at any step after [step 5] any Participant may optionally choose to request AdHoc Information from another Participant</u>
	<ol style="list-style-type: none"> 1. The Participant executes business use case H_BUC_01_SubProcess – AdHoc Exchange of Info; 2. [This Branch] Ends.
	<u>Branch 7: at any step after [step 5] any Participant may optionally choose to determine the residence of the Person with another Participant</u>
	<ol style="list-style-type: none"> 1. The Participant executes business use case H_BUC_02_SubProcess – Determine Residence; 2. [This Branch] Ends.
	<u>Branch 8: at any step after [step 5]] any Participant may optionally choose to Exchange the PIN of a citizen with another Participant</u>
	<ol style="list-style-type: none"> 1. The Participant executes business use case H_BUC_05_SubProcess – Exchange of PIN; 2. [This Branch] Ends.
	<u>Branch 9: at any step after [step 5] any Participant may optionally choose to Exchange a Claim document with another Participant</u>
	<ol style="list-style-type: none"> 1. The Participant executes business use case H_BUC_06_SubProcess – Exchange Claim; 2. [This Branch] Ends.
	<u>Branch 10: at any step after [step 5] any Participant may optionally choose to notify another Participant of a Death of Person</u>
	<ol style="list-style-type: none"> 1. The Participant executes business use case H_BUC_07_SubProcess – Notification of Death; 2. [This Branch] Ends.
	<u>The Following Branches Determine the use of Administrative Sub Processes within this Business Process</u>
	<u>Branch 11: at any step after [step 5] any Participant may choose to Forward this Business Process to another competent authority or designated body within their Member State who assumes responsibility for handling it</u>
	<ol style="list-style-type: none"> 1. The Participant executes business use case AD_BUC_05 – Forward Case;

	2. [This Branch] Ends.
	<i>Branch 12: where [Step 4] has been executed then at any step after [step 4] the Case Owner may choose to send an updated version of A001 provided that [Branch 22] has not been executed for that [SED] instance</i>
	1. The Case Owner executes business use case AD_BUC_10_SubProcess - Update_SED; 2. [This Branch] Ends.
	<i>Branch 13: where [Step 7] has been executed then at any step after [step 7] any Counterparty may choose to send an updated version of A011 provided that [Branch 23] has not been executed for that [SED] instance</i>
	1. The Counterparty executes business use case AD_BUC_10_SubProcess - Update_SED; 2. [This Branch] Ends.
	<i>Branch 14: where [Branch 1 Step 2] has been executed then at any step after [Branch 1 Step 2] any Counterparty may choose to send an updated version of A002 provided that [Branch 24] has not been executed for that [SED] instance</i>
	1. The Counterparty executes business use case AD_BUC_10_SubProcess - Update_SED; 2. [This Branch] Ends.
	<i>Branch 15: where [Branch 3 Step 2] has been executed then at any step after [Branch 3 Step 2] the Case Owner may choose to send an updated version of A005 provided [Branch 27] has not been executed for that [SED] instance</i>
	1. The Case Owner executes business use case AD_BUC_10_SubProcess - Update_SED; 2. [This Branch] Ends.
	<i>Branch 16: Where [Branch 3 Step 5] has been executed then at any step after [Branch 3 Step 5] the Counterparty may choose to send an updated version of A006 provided [Branch 28] has not been executed for that [SED] instance</i>
	1. The Counterparty executes business use case AD_BUC_10_SubProcess - Update_SED; 2. [This Branch] Ends.
	<i>Branch 17: where [Branch 2 Step 2] has been executed then at any step after [Branch 2 Step 2] any Counterparty may choose to send an updated version of A005 provided [Branch 29] has not been executed for that [SED] instance</i>

	<ol style="list-style-type: none"> 1. The Case Owner executes business use case AD_BUC_10_SubProcess - Update_SED; 2. [This Branch] Ends. <p><i>Branch 18: Where [Branch 2 Step 5] has been executed then at any step after [Branch 2 Step 5] the Participants supposed to reply with an A006 may choose to send an updated version of A006 provided [Branch 30] has not been executed for that [SED] instance</i></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><i>Branch 19: at any step after [step 5] 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</i></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. <p><i>Branch 20: at any step after [step 5] any Participant may optionally choose to Request another Participant who previously sent them Information provides clarification of the data that they have sent</i></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><i>Branch 21: at any step after [step 4] the Case Owner or any active Participant 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 AD_BUC_03_SubProcess – Add Participant; 2. [This Branch] Ends.
	<p><i>Branch 22: at any step after [step 5] the Case Owner may choose to advise all recipients of their A001 that it is Invalid under Art 5 of 987/09</i></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 an A001 – Request for Exception, by entering all the required data; 3. Optionally, the Case Owner sends the A001, including any attachments, to all the recipients; 4. [This Branch] Ends.

	<p><u>Branch 23:</u> at any step after [step 7] any Counterparty may choose to advise all recipients of their A011 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 an A011 – Acceptance of Request for Exception, by entering all the required data; 3. Optionally, the Counterparty sends the A011 to all the recipients; 4. [This Branch] Ends.
	<p><u>Branch 24:</u> at any step after [Branch 1 Step 2] any Counterparty may choose to advise all recipients of their A002 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 an A002 – Partial or total refusal to Request for Exception, by entering all the required data; 3. Optionally, the Counterparty sends the A002, including any attachments, to all the recipients; 4. [This Branch] Ends.
	<p><u>Branch 25:</u> where [Branch 3 Step 2] has been executed then at any step after [Branch 3 Step 2] the Case Owner may choose to advise all recipients of their A005 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 an A005 – Request for more information, by entering all the required data; 3. Optionally, the Case Owner sends the A005, including any attachments, to all the recipients; 4. [This Branch] Ends.
	<p><u>Branch 26:</u> where [Branch 3 Step 5] has been executed then at any step after [Branch 3 Step 5] a Participant that sent an A006 may choose to advise all recipients of their A006 that it is Invalid under Art 5 of 987/09</p> <ol style="list-style-type: none"> 1. The Participant executes business use case AD_BUC_06_SubProcess – Invalidate SED;

	<ol style="list-style-type: none"> 2. Optionally, the Participant fills in an A006 – Reply to Request for more information, by entering all the required data; 3. Optionally, the Participant sends the A006, including any attachments, to all the recipients; 4. [This Branch] Ends.
	<p><u>Branch 27: where [Branch 2 Step 2] has been executed then at any step after [Branch 2 Step 2] a Counterparty may choose to advise all recipients of their A005 that it is Invalid under Art 5 of 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 an A005 – Request for more information, by entering all the required data; 3. Optionally, the Counterparty sends the A005, including any attachments, to all recipients; 4. [This Branch] Ends.
	<p><u>Branch 28: where [Branch 2 Step 5] has been executed then at any step after [Branch 2 Step 5] each Participant that sent an A006 may choose to advise all recipients of their A006 that it is Invalid under Art 5 of 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 an A006 – Reply to Request for more information, by entering all the required data; 3. Optionally, the Case Owner sends the A006, including any attachments, to all the recipients; 4. [This Branch] Ends.
	<p><u>Branch 29: where [Branch 4 Step 2] has been executed then at any step after [Branch 4 Step 2] a Case Owner may choose to advise all recipients of their A008 that it is Invalid under Art 5 of 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 an A008 – Notification of relevant information, by entering all the required data; 3. Optionally, the Case Owner sends the A008, including any attachments, to all the recipients; 4. [This Branch] Ends

	<p><i>Branch 30: where [Branch 5 Step 2] has been executed then at any step after [Branch 5 Step 2] a Counterparty may choose to advise all recipients of their A008 that it is Invalid under Art 5 of 987/09</i></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 an A008 – Notification of relevant information, by entering all the required data; 3. Optionally, the Counterparty sends the A008, including any attachments, to the recipients; 4. [This Branch] Ends.
	<p><i>Branch 31: Where [Branch 4 Step 2] has been executed then at any step after [Branch 4 Step 2] the Case Owner may choose to send an updated version of A008 provided [Branch 31] has not been executed for that [SED] instance</i></p> <ol style="list-style-type: none"> 1. The Case Owner executes business use case AD_BUC_10_SubProcess - Update_SED; 2. [This Branch] Ends.
	<p><i>Branch 32: Where [Branch 5 Step 2] has been executed then at any step after [Branch 4 Step 2] a Counterparty may choose to send an updated version of A008 provided [Branch 32] has not been executed for that [SED] instance</i></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><i>Branch 33: After Step [10] any Participant may choose to Reopen the Business Process</i></p> <ol style="list-style-type: none"> 1. Any Participant may execute business use case AD_BUC_02 – Reopen; 2. [This Branch] Ends.
	<p><i>Exception 1: at any step after [step 5] the Case Owner may optionally 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 executes the business use case AD_BUC_01_Subprocess – Close Case; 2. This BUC Ends. <p>Remark: In this case, the alternative scenarios described above apply only if the case wasn't closed before the relevant step of the process.</p>

Exceptions:	
Includes:	
Frequency of Use:	<p>SR1: Rules about the invoking of Branches:</p> <p><u>Business</u></p> <p>[Branch 1] - May be invoked once per Counterparty</p> <p>[Branch 2] - May be invoked more than once, per Participant</p> <p>[Branch 3] - May be invoked more than once, per Participant</p> <p>[Branch 4] - May be invoked more than once</p> <p>[Branch 5] - May be invoked more than once</p> <p><u>Horizontals</u></p> <p>[Branch 6] to [Branch 10] - May be invoked more than once, per Participant</p> <p>[Branch 1-Bis] – May be invoked once per Participant</p> <p><u>Administrative</u></p> <p>[Branch 11] to [Branch 33] May be invoked more than once</p> <p>SR2: Rules about the destination for each SED Type:</p> <p>A001 – Must be Sent to all Active Participants</p> <p>A002 – Must be Sent only to all active Participants</p> <p>A011 – Must be Sent only to all active Participants</p> <p>A005 – Must be sent to one or more active Participants</p> <p>A006 – Must be sent to the sender of the corresponding A005 (to which the A006 is related) and to all Participants who received the same A005. All the Participants requested for information with the same A005 SED keep each other informed with their replies in A006 SEDs.</p> <p>A008 – Must be Sent only to all active Participants</p> <p>SR3: The term "Send/Sent to All Active Participants " does not include sending it himself (i.e. to the senders institution)</p>

	<p>SR4: Active Participants are defined as those Participants identified at [Step 2] and those Participants added through the execution of [Branch 11] and/or [Branch 21].</p> <p>SR5: Alternative Branch 1 is an Interrupting Branch</p> <p>Alternative Branch 1-Bis, Branches 2 – 33 are non-interrupting Branches;</p> <p>Exception 1 is an Interrupting Exception.</p>
Special Requirements:	N/A
Assumptions:	N/A
Notes and Issues:	N/A

4.2 Request – Reply SEDs

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

REQUEST SED	REPLY SED(s)
A001	A002, A011
A005	A006

4.3 Attachments

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

SED	Attachments
A001	Allowed
A002	Allowed
A005	Allowed
A006	Allowed
A008	Allowed
A011	Not Allowed

4.4 Artefacts used

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

Artefact name	Artefact type
A001	SED
A002	SED
A005	SED
A006	SED
A007	SED
A008	SED
A011	SED
H_BUC_01_Subprocess	BUC
H_BUC_02_Subprocess	BUC
H_BUC_05_Subprocess	BUC

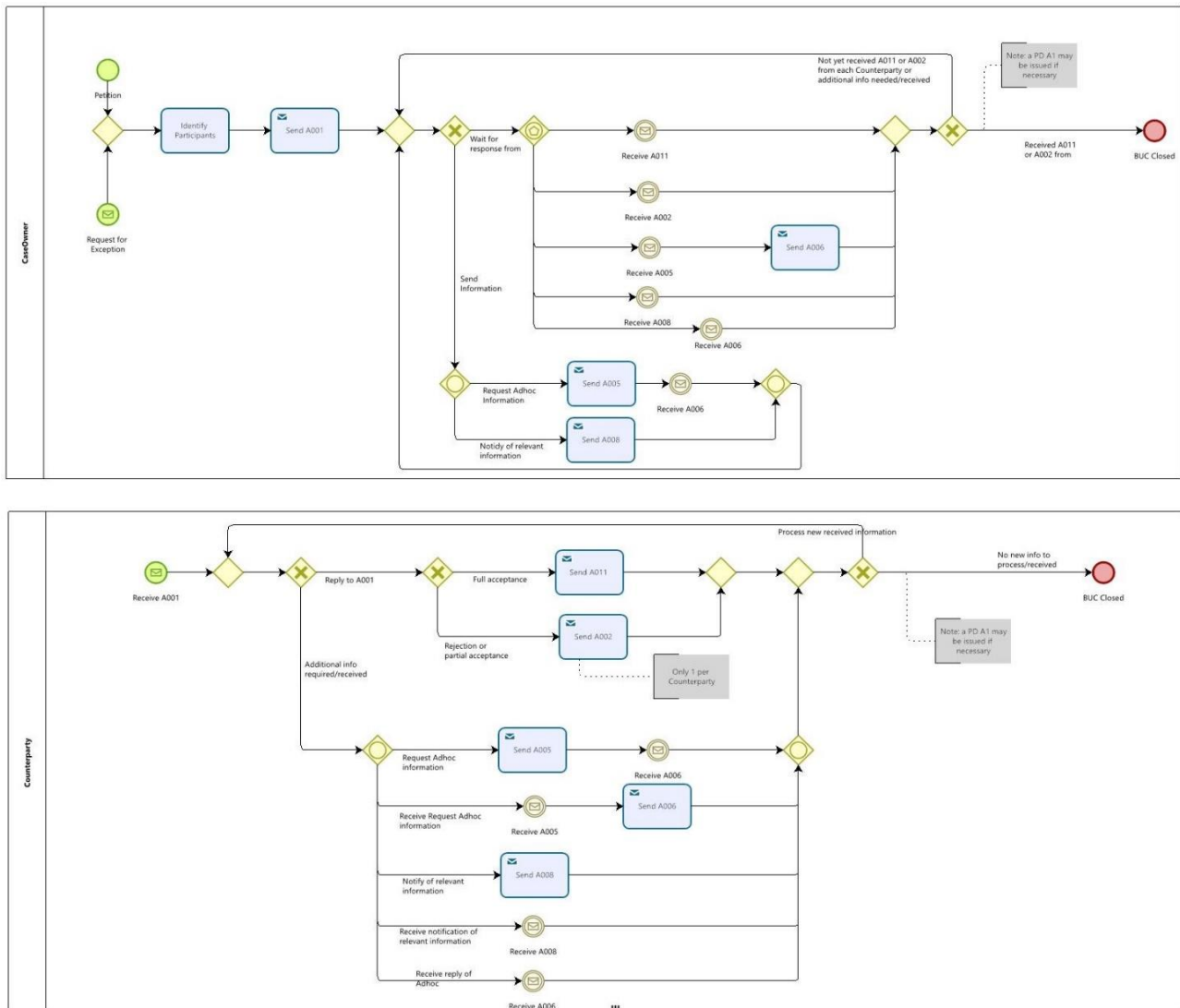
Artefact name	Artefact type
H_BUC_06_Subprocess	BUC
H_BUC_07_Subprocess	BUC
AD_BUC_01_Subprocess – Close Case	BUC
AD_BUC_03_Subprocess – Add Participant	BUC
AD_BUC_05_Subprocess – Forward Case	BUC
AD_BUC_06_Subprocess – Invalidate SED	BUC
AD_BUC_07_Subprocess – Reminder	BUC
AD_BUC_08_Subprocess – Clarify 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 / Flows

The business process models are described using BPMN 2.0.

5.1 Main Scenario

5.1.1. Case Owner and Counterparty



6. Appendices

6.1 Issues

N/A