



EESSI – CDM 4.4

R - Recovery

R_BUC_04 - v4.4.0

**Offsetting of provisionally received
contributions with contributions payable in
another Member State under Art. 73 (2) of
Regulation (EC) No 987/2009**

BUC Specifications

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Document history

Version	Date	Short Description of Changes
v0.1	13/11/2015	Initial version
v0.2	17/12/2015	Adaptations following AHG discussion in F2F meeting (Liverpool UK)
v0.3.0	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 '<u>Detailed Description</u>' to '<u>Business Scenario</u>' & <u>rephrased the text</u>. - Renamed section 2.2 from 'Legal Regulations / Policy Issues / Other' to 'Legal Base' & aligned the text and table to the standard BUC. - Section 3 Actors & Roles – <u>removed 'Person concerned' as an actor</u> as this is not an actor playing an actual role in this BUC. - Section 4.1 RUP Table Representation: deleted 'Frequency of Use'. - Section 4.1 RUP Table Representation – branch 4 step 1: replaced "Triggering participant" with "Case Owner". - Section 4.1 RUP Table Representation – exception step 1: replaced 'Triggering Participant' with 'Case Owner or the Counterparty' to align with other Recovery BUCs - Section 4.1 RUP Table Representation: added <u>2 additional steps for the invalidate branches 10, 11, and 12</u>, to allow a new

		<p>creation of the SED after an invalidate has been executed.</p> <ul style="list-style-type: none"> - Section 4.1 RUP Table Representation - Special Requirements – added for branches 10, 11 and 12 "(provided a new SED has been created following the invalidation)". - Included section 4.2 Request - Reply SEDs. - Included section 4.3 Attachments Allowed. - Updated section 'RUP UC Diagram Representation' to <u>correct the arrow for H_BUC_01</u>. - Included section 4.5 SED and Sub-process Versioning. - Split section 5.1 'Case Owner and Counterparty' into 5.1 'Case Owner' and section 5.2 'Counterparty'. - Renamed section 5.2 'Called Sub Processes' to 5.3 Sub Processes, which becomes Not Applicable. Removed the sub-sections 5.2.1 'Identify Participants' and 5.2.2 'Fill in & Send SED (R010, R011 and R004)'. Both sub processes will be modelled as a single activity instead of a sub process. - Section 6.1 Issues – added issue 5 to take action related to update BPMN model.
v0.04.0	04/07/2016	<p>Updated following feedback received at recovery AHG June 2016 meeting:</p> <ul style="list-style-type: none"> - Updated section 3 Actors & Roles: Counterparty is rephrased. - Updated section 4.1 RUP Table Representation: added new Branch 16 and included it as special requirement. - Updated section 4.1 RUP Table Representation – 'invalidate' branches 10 and 11 and 'update' branches 6 and 7 to start after the Sending step.

		<ul style="list-style-type: none"> - 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. - Updated section 6.1 Issues: closed issue 1 to 3
v0.5.0	19/08/2016	<p>Updated following review of AHG members:</p> <ul style="list-style-type: none"> - Updated section 4.1 RUP Table Representation: <p>Main Scenario, step 3 - added the word "in".</p> <p>Main Scenario, step 4, 10, and branch 1 step 2 – added "including any attachments".</p> <p>Main Scenario, step 5, 11 and branch 1 step 3 – added "including any attachments (if provided)".</p> <p>Main Scenario, step 12 - changed the word "done" to "made".</p> <p>Alternative Scenarios, Branch 3 - deleted "in section 9.3 of R011".</p> <p>Alternative Scenarios, Branch 6 - removed an unnecessary space.</p> <p>Alternative Scenarios, Branch 6, 7 and 8 - changed the wording to mirror the wording in R_BUC_05.</p> <p>Alternative Scenarios, Branch 10 and 12, step 3 - added "including any attachments".</p> <p>Alternative Scenarios, Branch 16 - rephrased to make it clear that branch 16 can only apply where exception 1 has been invoked.</p> <p>Special requirements – rephrased to make it possible to close a case more than once, after a reopen.</p>

		<p>- Updated section 4.2 Request – Reply SEDs & 4.3 Attachments Allowed: changed the SEDs from U SEDs to R SEDs.</p> <p>Updated following AC Review (Czech Republic, the Netherlands, and Slovakia):</p> <p>- Updated section 4.1 RUP table Representation:</p> <p>Precondition, rephrased "the evidence of the decision on final competence should be attached to R10" to "the evidence of the decision on final competence might be attached to R10".</p> <p>Post condition, Main Scenario step 9 and 10 and in branches: include 'SED' after the SED name.</p> <p>Main Scenario, step 1, included the name of the SED, as per the other steps 6 and 9</p> <p>Main Scenario, step 7 removed the word 'back'.</p> <p>Main Scenario, step 9 to mirror the wording with R_BUC_03.</p> <p>Main Scenario step 6 and 9 and branches: updated 'Payment' to 'payment'.</p> <p>Branch 9 – updated 'Reminder' to 'reminder' and in addition for Branch 16 – updated the word 'ReOpen' and 're-open' to 'reopen'.</p> <p>Branches 10, 11, 12: rephrased 'they have sent' to 'it has sent' and in step 3 added the word 'new' as per step 2.</p> <p>Branches 14, 15, exception 1: changed the word 'point' to 'step'.</p> <p>Special Requirements: added an extra space after the] at branches 6-15 + at exception 1.</p>
v0.99.0	26/09/2016	<p>Candidate for AHG approval.</p> <p>Updated following AHG members approval:</p>

		<p>- Update section 4.1 RUP table Representation:</p> <p>Branch 9 Reminder – Updated aligned the wording with R_BUC_07, following AC review comment from NL and as approved by AHG members;</p> <p>Branch 13 Forward – updated to allow forward for all parties, to be aligned for all R_BUCs.</p> <p>Exception 1 – removed the step 2 as the branch 5 is already available for the BUC.</p> <p>- Updated section 6.1 Issues: issue 2: changed decision to include an additional block for the SED.</p>
v0.99.1	28/09/2016	<p>Updated following AHG feedback:</p> <p>- Updated section 4.1 RUP Table Representation:</p> <p>Included a new alternative branch 2 for when <i>no payment will be possible because the request was made outside the 3 months deadline</i>. Renumbered the other branches accordingly;</p> <p>Branch 3 step 4: replaced 'This branch' ends with 'This use case' ends;</p> <p>Special Requirements: added new branch 2 + renumbered branches + changed branch 4 to 'may be invoked only once.</p>
v0.99.2	06/10/2016	Updated with minor spelling and editorial changes following review AHG members.
v0.99.3	07/10/2016	Submit for AC Approval.
v1.0.0	21/10/2016	AC Approved Version.
v1.0.1	29/06/2017	Included new version of BPMN picture.
v1.0.2	11/09/2017	-Clarified section 4.1 RUP Table Representation Branch 4 step 4: replaced 'This branch' ends with 'This use case' ends;

		<p>And aligned Special Requirements section for branch 4 to 'may be invoked only once' (as aligned to issue 1 in section 6.1).</p> <p>-Added the BPMN version of the diagram in section 5.</p> <p>-Corrected the sub-process diagram in section 4.5.</p>
v1.0.3	13/11/2017	<p>- removed Use Case diagram</p> <p>- aligned invalidate and forward branches to the standard text</p>
v4.1.0	03/08/2018	<p>- Section 4.4: merged 2 tables (for SED & for Subprocesses) into 1 Artefact table.</p> <p>- Version adaptations to release 4.1.0.</p>
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 Offsetting of provisionally received contributions with contributions payable in another Member State under Art. 73 (2) 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 Offsetting of provisionally received contributions with contributions payable in another Member State under Art. 73 (2) 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 "Offsetting of provisionally received contributions with contributions payable in another Member State under Art. 73 (2) 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 "Offsetting of provisionally received contributions with contributions payable in another Member State under Art. 73 (2) of Regulation (EC) No 987/2009" business process.

Chapter 4 describes in detail the "Offsetting of provisionally received contributions with contributions payable in another Member State under Art. 73 (2) 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 "Offsetting of provisionally received contributions with contributions payable in another Member State under Art. 73 (2) of Regulation (EC) No 987/2009" business process using business process modelling notation (BPMN).

2. Description

2.1. Business Scenario

This BUC concerns contributions provisionally received by one institution pending the decision about which institution is competent to receive them.

Before this Recovery Business Use Case, there will usually be an Applicable Legislation BUC where the relevant competent institutions made a decision about which legislation applies. The decision will normally be documented in LA_BUC_02 or PD-A1.

The Article 73 (2) of Regulation (EC) No 987/2009 [R2] provides the possibility for the institution identified as competent to ask the institution which provisionally received the contributions (the requested institution) to:

- Deduct the amount due to them from the amount provisionally received, and to
- Transfer the amount to them.

In case the amount of the contributions received provisionally exceeds the amount due to the competent institution, the amount in excess should be refunded to the natural/legal person concerned.

2.2. Legal Base

This Business Use Case document's 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)
	73 (2)
R010	✓
R011	✓
R004	✓

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	<p>In this BUC the Case Owner is the institution who will send a request for reimbursement of contributions provisionally paid.</p> <p>This competent institution will be confirmed by the LA_BUC_02, SED A012 (from Applicable Legislation sector) or by the PDA1, as <i>optional</i> attachments to the R010 SED.</p>
Counterparty	<p>In this BUC the Counterparty is the institution who will receive the request for reimbursement.</p> <p>There will be only one Counterparty in this BUC.</p>

4. Use Case

4.1. RUP Table Representation

Use Case ID:	R_BUC_04		
Use Case Name:	Offsetting of provisionally received contributions with contributions payable in another Member State under Article 73 (2) of Regulation (EC) No. 987/2009		
Created By:	EESSI BA Team	Last Updated By:	EESSI BA Team
Date Created:	13/11/2015	Publication Date:	06/12/2024
Actors:	Case Owner Counterparty		
Description:	<p>This BUC is providing, by Article 73(2) of Regulation (EC) No. 987/2009, the possibility for an applicant institution to ask the institution that provisionally received contributions (the requested institution) to deduct the amount due to them from the amount provisionally received and to transfer this amount to them.</p> <p>If the debt contains contributions from different sectors (not "all sectors") and there are different competent counterparties in the other Member State for each of these contribution types, then separate cases need to be sent to each Counterparty. This is not one multilateral BUC but different BUCs in parallel.</p> <p>There are 3 SED's which are used in this BUC:</p> <ul style="list-style-type: none"> - R010: "Request for reimbursement of provisionally paid contributions"; - R011: "Reply with amount of reimbursable contributions"; - R004: "Notification of Payment". 		
Trigger:	The competent institution requests reimbursement of any contributions provisionally received by an institution in another Member State under Article 73(2) of Regulation (EC) No 987/2009.		
Preconditions:	<p>The following 2 pre-conditions are identified:</p> <ul style="list-style-type: none"> - The request for reimbursement should be sent within 3 months of the date of the decision identifying the institution competent for receiving the contributions. (Art. 73(2)). - There will be usually an applicable legislation BUC before this Recovery BUC. The evidence of the decision on final competence might be attached to R010 SED. 		
Post conditions:	The following post-conditions are identified:		

	<ul style="list-style-type: none"> - Reimbursement of contribution will be made and one or many R004 SEDs will be provided by the requested institution; Or - Reimbursement of contribution is not possible; Or - The request for reimbursement was not made within 3 months of the date of the decision identifying the institution competent for receiving the contributions; Or - The requested institution was not the competent institution; Or - The amount of contributions provisionally received is more than that due to the competent institution.
Main Scenario:	<p>Identify Participant</p> <ol style="list-style-type: none"> 1. The Case Owner identifies the EU Member State in which the competent institution is situated; 2. The Case Owner identifies the Competent Institution (the Counterpart(y)) in the selected Member State to which the request for reimbursement shall be made. <p>Please note: there might be more than one institution competent for the reimbursement if the social security legislation of a Member State provides different competencies for different social insurance branches. If so, the applicant institution (Case Owner) needs to initiate a separate BUC with each competent institution.</p> <p>Process Request / Reply</p> <ol style="list-style-type: none"> 3. The Case Owner creates an R010 SED ("Request for reimbursement of contributions provisionally paid") by filling in the necessary fields concerning details on the contributions type, detail about the contributions amount, and decision on the competent institution. The Case Owner (<i>optionally</i>) attaches the evidence of the decision on final competence (copy of A012 or PDA1); 4. The Case Owner sends the R010 SED, including any attachments, to the Counterparty; 5. The Counterparty receives the R010 SED, including any attachments (if provided); 6. The Counterparty creates an R011 SED ("Reply with amount of reimbursable contributions") by filling in the information needed from the Request; provided that some payments can be made; 7. The Counterparty sends the R011 SED to the Case Owner; 8. The Case Owner receives the R011 SED;

	<p>9. The Counterparty makes the payment and creates an R004 SED ("Notification of payment"), by filling in the necessary fields for this notification of payment;</p> <p>10. The Counterparty sends the payment notification R004 SED, including any attachments, to the Case Owner;</p> <p>11. The Case Owner receives the R004 SED from the Counterparty, including any attachments (if provided);</p> <p>12. The Counterparty has no more payments to be made; and so</p> <p>13. This use case ends here.</p>
Alternative Scenarios:	<p><u>Branch 1:</u> at [step 12], the Counterparty has additional payments to be sent to the Case Owner</p> <p>1. The Counterparty fills in a new R004 SED;</p> <p>2. The Counterparty sends R004 SED, including any attachments, to the Case Owner;</p> <p>3. The Case Owner receives the R004 SED, including any attachments (if provided);</p> <p>4. [This Branch] Ends.</p>
	<p><u>Branch 2:</u> at [step 6], The Counterparty has replied that no payment will be possible because the request was made outside the 3 months deadline</p> <p>1. The Counterparty fills in a R011 SED and specifies that no payment is possible because the request was made outside the 3 months deadline;</p> <p>2. The Counterparty sends R011 SED to the Case Owner</p> <p>3. The Case Owner receives the R011 SED;</p> <p>4. [This Use Case] Ends.</p>
	<p><u>Branch 3:</u> at [step 6], The Counterparty has replied that no payment will be possible</p> <p>1. The Counterparty fills in a R011 SED and specifies that no payment is possible for reimbursement;</p> <p>2. The Counterparty sends R011 SED to the Case Owner</p> <p>3. The Case Owner receives the R011 SED;</p> <p>[This Use Case] Ends.</p>
	<p><u>Branch 4:</u> at [step 6] in R011 SED, the Counterparty has replied that another institution is competent to handle the case</p> <p>1. The Counterparty fills in R011 SED and specifies that it is not the competent institution to handle this case and specifies the competent institution;</p> <p>2. The Counterparty sends R011 SED to the Case Owner;</p> <p>3. The Case Owner receives the R011 SED;</p> <p>4. [This Use Case] Ends. (The Case Owner could start a new BUC with the other institution as Counterparty.)</p>

	<p><u>The Following Branches determine the use of Horizontally Defined Processes within this Business Process</u></p> <p><u>Branch 5: at any step after [step 8], the Case Owner may optionally choose to Request Ad-Hoc Information from the Counterparty</u></p> <ol style="list-style-type: none"> 1. The Case Owner executes business use case <i>H_BUC_01_Subprocess – Ad-Hoc Exchange of Information;</i> 2. [This Branch] Ends. <p><u>Branch 6: at any step after [step 5], the Counterparty may optionally choose to Request AdHoc Information from the Case Owner</u></p> <ol style="list-style-type: none"> 1. The Counterparty executes business use case <i>H_BUC_01_Subprocess – AdHoc Exchange of information;</i> 2. [This Branch] Ends. <p><u>The Following Branches Determine the use of Administrative Processes within this Business Process</u></p> <p>at any step after [step 4], the Case Owner may choose to send an updated version of their R010, provided the SED has not been invalidated</p> <ol style="list-style-type: none"> 1. The Case Owner executes business use case <i>AD_BUC_10_Subprocess-Update SED;</i> 2. [This Branch] Ends. <p>at any step after [step 7] or at any step after [Branch 2 Step 2] or at any step after [Branch 3 Step 2] or at any step after [Branch 4 Step 2], the Counterparty may choose to send an updated version of their R011, provided the SED has not been invalidated</p> <ol style="list-style-type: none"> 1. The Counterparty executes business use case <i>AD_BUC_10_Subprocess-Update SED;</i> 2. [This Branch] Ends. <p><u>Branch 7: at any step after [step 10] or at any step after [Branch 1 step 2], the Counterparty may choose to send an updated version of their R004, provided the SED has not been invalidated</u></p> <ol style="list-style-type: none"> 1. The Counterparty executes business use case <i>AD_BUC_10_Subprocess-Update SED;</i> 2. [This Branch] Ends. <p><u>Branch 8: 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>
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	<ol style="list-style-type: none"> 1. The Case Owner or Counterparty executes business use case AD_BUC_07_Subprocess-Reminder; 2. [This Branch] Ends. <p><u>Branch 9: at any step after [step 4], the Case Owner may choose to advise the Counterparty of the SED R010 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 new R010 SED; 3. Optionally, the Case Owner sends the new R010 SED, including any attachments, to the Counterparty; 4. [This Branch] Ends. <p><u>Branch 10: at any step after [step 7] or at any step after [Branch 2 Step 2] or at any step after [Branch 3 Step 2] or at any step after [Branch 4 Step 2], the Counterparty may choose to advise the Case Owner of the R011 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 new R011 SED; 3. Optionally, the Counterparty sends the new R011 SED to the Counterparty; 4. [This Branch] Ends. <p><u>Branch 11: at any step after [step 10], or at any step after [Branch 1 step 2], the Counterparty may choose to advise the Case Owner of the R004 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 new R004 SED; 3. Optionally, the Counterparty sends the new R004 SED, including any attachments, to the Counterparty; 4. [This Branch] Ends. <p><u>Branch 12: at any step after [step 5], any participant may choose to forward this Business Process to a new participant within their MS who assumes responsibility for handling it</u></p> <ol style="list-style-type: none"> 1. The Case Owner or Counterparty executes business use case AD_BUC_05_Subprocess-Forward Case; 2. [This Branch] Ends. <p><u>Branch 13: at any step after [step 5], the Counterparty may optionally choose to request another participant who previously sent them information to provide clarification of the data that they have sent</u></p>
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	<ol style="list-style-type: none"> 1. The Counterparty executes business use case AD_BUC_08_SubProcess–Clarify Content; 2. [This Branch] Ends.
	<p><u>Branch 14:</u> at any step after [step 8] or at any step after [Branches 1, 2, 3 or 4 step 3], the Case Owner may optionally choose to request the Counterparty to provide clarification of the data that they have sent</p> <ol style="list-style-type: none"> 1. The Case Owner executes business use case AD_BUC_08_SubProcess–Clarify Content; 2. [This Branch] Ends.
	<p><u>Branch 15:</u> where [Exception 1] has been executed, either participant may choose to reopen the BUC</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:	<p><u>Exception 1:</u> at any step after [step 5], the Case Owner or the Counterparty may optionally choose to close the case due to unexpected information becoming known to them during the course of their investigations</p> <ol style="list-style-type: none"> 1. The Case Owner or the Counterparty executes 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 only once</p> <p>[Branch 3] – May be invoked only once</p> <p>[Branch 4] – May be invoked only 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] - May be invoked more than once</p> <p>[Branch 9] - May be invoked more than once</p> <p>[Branch 10] - May be invoked more than once</p> <p>[Branch 11] - May be invoked more than once (provided a new SED has been created following the invalidation)</p>

	<p>[Branch 12] - May be invoked more than once (provided a new SED has been created following the invalidation)</p> <p>[Branch 13] - May be invoked more than once (provided a new SED has been created following the invalidation)</p> <p>[Branch 14] - May be invoked more than once</p> <p>[Branch 15] - May be invoked more than once</p> <p>[Branch 16] - May be invoked more than once</p> <p>[Branch 17] - 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 17 has been invoked)</p>
Assumptions:	N/A
Notes and Issues:	[List any additional comments about this use case or any remaining open issues or TBDs (To Be Determined) that must be resolved]

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)
R010	R011

4.3. Attachments Allowed

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

SED	Attachments
R010	Allowed
R011	Allowed
R004	Allowed

4.4. Artefacts used

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

Artefact name	Artefact type
R010	SED
R011	SED
R004	SED
H_BUC_01_Subprocess	BUC

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Status: Final / TLP:
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Artefact name	Artefact type
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 "Offsetting of provisionally received contributions with contributions payable in another Member State Art. 73 (2) of Regulation (EC) No 987/2009" using BPMN 2.0.

5.1. Case Owner and Counterparty

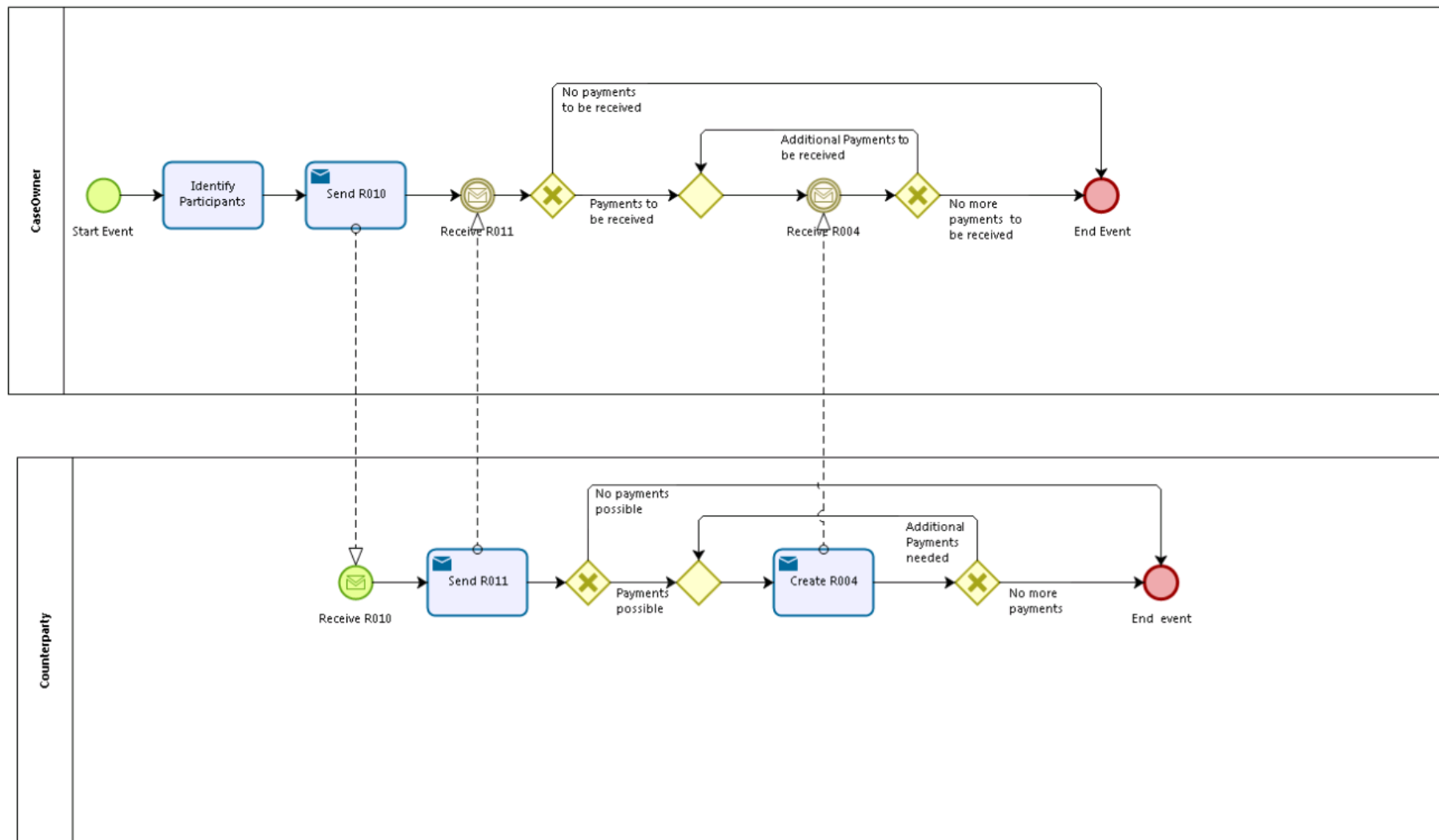


Figure 1: depicts the use case end-to-end of the Case Owner and Counterparty, from a high level, using the BPMN 2.0 collaboration diagram

5.2. Sub Processes

Not Applicable.

6. Appendices

6.1. Issues

#	Issue date	Description	Solution	Close date
1	11/11/2015	<p>How to handle the situation when the requested institution is not the competent institution, as described in Branch 3?</p> <p>After having replied on Section 9 of R011, should the requested institution forward the case to the known competent institution? (as specified in Branch 13)</p>	<p>If the requested institution is going to forward the BUC to another institution, then there is no need for them to also complete section 9.3 of the R011. This should only be completed if the requested institution is not competent, but doesn't intend to forward the BUC to another institution. In such cases, a new BUC would be opened by the Case owner and sent to the correct institution. Both options should be available as possibilities.</p> <p>The AHG Recovery recommends to apply Branch 14 (previously Branch 13) when it is possible.</p>	29/06/2016
2	11/11/2015	<p>How to handle the situation when the request for reimbursement is not made within 3 months of the date of the decision identifying the institution competent for receiving the contributions?</p> <p>Should this be answered in the R011 reply, followed by a Close of the case performed by the Counterparty?</p> <p>Could we just mirror the process for BUC2, branch 1b (The Counterparty notices that the Final Request arrived too late (see conditions above) and then decides to send an</p>	<p>In SED R011 there is no section to refuse a request because the deadline of three months has expired.</p> <p>For the time being, AHG Recovery considers that only Exception 1 can be used.</p> <p>AHG Recovery asks the DMEG to propose a block for this purpose.</p> <p>Decision: an additional block is needed in the SED.</p>	26/09/2016

#	Issue date	Description	Solution	Close date
		X001 SED and describes that the case shall be closed because of this)?		
3	11/11/2015	<p>Concerning the evidence of the decision on final competence:</p> <p>In the guidelines, the following points are mentioned :</p> <ul style="list-style-type: none"> - "Evidence of the decision on final competence must be attached to the R010" (page 28). - "If there are no attachments (for example because they are being sent by email/post) leave the number blank" (page 29) <p>Should the evidence be mandatory attached to R010, or can it be sent via another mean?</p>	No. The evidence should be optional. A request for more information is always possible if needed	29/06/2016
4	21/06/2016	Conversion of the BPMN model to split between Case Owner and Counterparty	Scheduled for update. => Updated BPMN picture.	29/06/2017