

EESSI

APPROVED

Annex Nr.17 to the note AC 370/16rev



*UB\_BUC\_03*

*Simultaneous Registration*





# Table of Contents

[Table of Contents 2](#_Toc521065861)

[1. Introduction 7](#_Toc521065862)

[1.1. Purpose 7](#_Toc521065863)

[1.2. Scope 7](#_Toc521065864)

[1.3. Definitions, Acronyms and Abbreviations 7](#_Toc521065865)

[1.4. References 8](#_Toc521065866)

[1.5. Overview 8](#_Toc521065867)

[2. Description 9](#_Toc521065868)

[2.1. Business Scenario 9](#_Toc521065869)

[2.2. Legal Base 9](#_Toc521065870)

[3. Actors & Roles 10](#_Toc521065871)

[4. Use Case 11](#_Toc521065872)

[4.1. RUP Table Representation 11](#_Toc521065873)

[4.2. Request – Reply SEDs 15](#_Toc521065874)

[4.3. Attachments Allowed 16](#_Toc521065875)

[4.4. Artefacts used 16](#_Toc521065876)

[5. Business Processes 17](#_Toc521065877)

[5.1. Case Owner and Counterparty 18](#_Toc521065878)

[5.2. Sub Processes 19](#_Toc521065879)

[6. Appendices 20](#_Toc521065880)

[6.1. Issues 20](#_Toc521065881)

**Document Control Information**

|  |  |
| --- | --- |
| **Settings** | **Value** |
| **Document Title:** | **Business Use Case**  **UB\_BUC\_03 – Simultaneous Registration** |
| **Project Title:** | **EESSI (Electronic Exchange of Social Security Information) Project** |
| **Document Author:** | **European Commission, DG EMPL F5** |
| **System Owner:** | **European Commission, DG EMPL D2** |
| **Doc. Version:** | **v4.1.0** |
| **Sensitivity:** | **Public** |
| **Date:** | **03/08/2018** |

**Document history:**

The Document Author is authorized to make the following types of changes to the document without requiring that the document be re-approved:

* Editorial, formatting, and spelling
* Clarification

To request a change to this document, contact the Document Author or Owner.

| **Revision** | **Date** | **Created by** | **Short Description of Changes** |
| --- | --- | --- | --- |
| v0.1 | 12/05/2015 | Eric Briffoz | First Draft |
| v0.2 | 08/06/2015 | Eric Briffoz | Use Case Diagram added. |
| v0.3 | 09/06/2015 | Eric Briffoz | Adaptations following AHG comments :  - Removed Branch 4  - Removed Branch 8 |
| v0.4 | 16/06/2015 | Eric Briffoz | Adaptations following AHG comments on version 0.3:  - Correction in the legal base regulations table 2.2  - Adaptation of the Trigger  - Adaptation of the Pre-conditions  - Branch 16 and Branch 17 start at Step 5 instead of 3 (only after the first SED has been sent can the reminder or the "clarify SED" be used).  - Correction of Until Steps in Branches 17, 18 and exception 1.  - Added reference to Article 2 987/2009 in the usage of Invalidate SED. |
| v0.5 | 27/07/2015 | Eric Briffoz | - Various corrections after review of the testing team.  - Re-open can be triggered by the Case Owner or by the Counterparty. |
| v0.6 | 06/10/2015 | Eric Briffoz | Corrections following Review received from Unédic:  - removed Branch 3: H\_BUC\_03-Change of LA - is not needed in this BUC  - removed Branch 5: H\_BUC\_05 –Exchange of Pin's is not needed in this BUC. |
| v0.99.0 | 03/02/2016 | Eric Briffoz | **Candidate for AHG Approval**  Inclusion of Request-Reply Table  Inclusion of Attachment Allowed Table  Inclusion of SED & Sub-process Versioning Information |
| v0.99.1 | 11/02/2016 | Eric Briffoz | Adaptations following comments received from the AHG on version 0.99.0:  - 2.1. Detailed description: Regulation references adaptation  - 3. Actors: Regulation references adaptation in Actor "Petitioner"  - 4.1. Description: Regulation references adaptations  - Branches 2, 7: Only possible after at least one SED has been transmitted in the case.  - Branch 14: From Step 4 instead of From Step 5.  - Minor editorial changes in Branches 11 and 12.  - Post-condition in 4.1: Removed "and":  In a single BUC, the information may be sent to only 1 Member State. |
| v0.99.2 | 15/02/2016 | Eric Briffoz | Adaptation following AHG comments:  - Added new branch 19 with the possibility to loop on the creation and sending of a new Request U018.  - Adapted the BPMN accordingly.  - Correction of the header of the page on page 21. |
| v0.99.3 | 06/04/2016 | Eric Briffoz | Adaptation following comment received from Vit Holubec:  - 4.1: sending additional requests by sending a new instance of U018 instead of sending an update. |
| v0.99.4 | 25/05/2016 | Heidi Warson | Candidate for AC Approval as agreed by the UB rapporteur.  Updated document for H\_BUC\_02a, b, and c to be replaced with H\_BUC\_02, following the agreement of this horizontal process, in sections 4.1 RUP Table Representation and 4.4 RUP UC Diagram Representation and 4.5 SED and Sub-process Version |
| v0.99.5 | 09/06/2016 | Heidi Warson | Removed section 5.2 – Called Sub Processes. The sub process 'Identify Participants' will not be regarded as a sub process anymore. |
| v1.0.0 | 11/07/2016 | Heidi Warson | AC Approved. |
| v1.0.1 | 24/11/2016 | Heidi Warson | Alignment to the standard description and layout of the BUC:  - Throughout the document updated with grammatical changes and formatting.  - Aligned the BUC title throughout the applicable sections and header.  - 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: deleted actor 'Petitioner (An unemployed person applying for unemployment benefits.)', as this is not an active actor in the BUC. The information should be included in the guideline, when required.  - Section 4.1 RUP Table Representation:  Removed 'Petitioner' form Actors section;  Replaced step 2 "TheMain Scenario reverts to [step x]." with the 2 standard steps for the invalidate branches, to allow a new creation of the SED after an invalidate has been executed;  Updated SR1 for Exception 1 to be able to revoke more than once provided a ReOpen has been requested after the close request.  - Section 4.5 SED and Sub-process Versioning: added subprocess AD\_BUC\_12\_Subprocess – Change of Participant in the table 'SUB PROCESS'  - Section 5 Business Processes:  Split section 5.1 into 2 separate sections: Case Owner, and Counterparty.  Added section 5.3 –'Sub Processes', as not applicable. No sector specific subprocesses exist for this BUC. |
| v1.0.2 | 29/06/2017 | Heidi Warson | Included new version of BPMN picture (with updated label on sequence flow) in section 5. |
| v1.0.3 | 15/12/2017 | Heidi Warson | - Included the version of the BPMN diagram used in section 5.  - Removed Use Case diagram.  - Removed Actor 'petitioner'.  - Aligned Invalidate branches to standard text (removed ref. to Art 2, this is included in AD\_BUC\_06). |
| v1.0.4 | 15/03/2018 | Heidi Warson | Corrected branch 18 from " at any step between [step 7]…" to " at any step between [step 5] and [step 9]" (EESSI-2637). |
| v4.1.0 | 03/08/2018 | Heidi Warson | - Section 4.4: merged 2 tables (for SED & for Subprocesses) into 1 Artefact table.  - Version adaptations to release 4.1.0. |

# Introduction

## 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.

## Scope

This document is limited to the external view on the Unemployment Benefit sector process of Simultaneous Registration. The different elements like use case description, business actors, and business process as well as supporting UML diagrams and BPMN models pertaining to the Simultaneous Registration.

## Definitions, Acronyms and Abbreviations

Please see the EESSI Project Glossary [here](https://webgate.ec.europa.eu/CITnet/confluence/display/EESSI/Project+Information+for+Stakeholders).

## References

|  |  |  |
| --- | --- | --- |
| **#** | **Description** |  |
| 1 | EC Regulation 883/2004 | [Regulation EC No 883- 2004.pdf](file:///C:/Users/amadere/AppData/Local/3.Specifications/1-Legal%20Base/Regulation%20EC%20No%20883-%202004.pdf) |
| 2 | EC Regulation 987/2009 | [Regulation EC No 987-2009.pdf](file:///C:/Users/amadere/AppData/Local/3.Specifications/1-Legal%20Base/Regulation%20EC%20No%20987-2009.pdf) |
| 3 | UML 2.x | <http://www.omg.org/spec/UML/> |
| 4 | BPMN 2.0 | <http://www.omg.org/spec/BPMN/index.htm> |
| 5 | UML 2.0 In Action | Henriette Baumann, Patrick Grassle & Philippe Baumann, 2005, ISBN 1904811558 |
| 6 | RUP@EC standard 5.0 | <http://www.cc.cec/RUPatEC_Standard/> |
| 7 | RUP op maat | <http://www.rupopmaat.nl/> |

## Overview

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

Chapter 2 introduces the Simultaneous Registration business processes. 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 Simultaneous Registration business process.

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

Chapter 5 describes the Simultaneous Registration business process using business process modelling notation (BPMN).

# Description

## Business Scenario

This Business Use Case is used in case a cross-border worker as defined in Art. 65(2) sentence 1 or in Art. 65a(1) sentence 1 of Reg. 883/04, decides to register, as a supplementary step, also with the employment services of the other Member State (i.e. the MS that does not provide unemployment benefits). As a result, the former cross-border worker is registered both in the MS of residence and in the MS of last activity at the same time.

The business use case can be in both directions, i.e. the Case Owner can be the Member State of Residence or the MS of former insurance.

## Legal Base

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

1. Basic Regulation (EC) No 883/2004
2. Implementing Regulation (EC) No 987/2009

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.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | basic Reg (883/04) | | | Implementing Reg. (987/09) |
| **SED** | **65(2)** | **65(3)** | **65a (1)** | **56** |
| U018 | **✓** | **✓** | **✓** | **✓** |
| U019 | **✓** | **✓** | **✓** | **✓** |

Table 1: SED – Legal base relationship matrix

# 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*** | This is the institution which initiates a case. |
| ***Counterparty*** | Institution of a Member State which will receive a request from the Case Owner. |

Table 2: Actors & Roles

# Use Case

## RUP Table Representation

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Use Case ID:** | **UB \_BUC\_03** | | | |
| **Use Case Name:** | Simultaneous Registration | | | |
| **Created By:** | Eric Briffoz | | **Last Updated By:** | Heidi Warson |
| **Date Created:** | 13/10/2014 | | **Last Revision Date:** | 13/11/2017 |
| **Actors:** | | Case Owner  Counterparty | | |
| **Description:** | | If a former cross-border worker (as defined in Art. 65 (2) sentence 1 of regulation 883/04) registers in the Member State of residence and also in the Member State of former activity, then each of these Member States can request information on registration from the other Member State. The same is true if a former cross-border worker (as defined in Art. 65a (1) sentence 1 of Regulation 883/04) registers in the Member State of last activity and also in the Member State of residence.  As each Member State can request information, this basically means that the Case Owner can be either the Member State of residence, or the Member State of former insurance. Basically, the Case Owner is the party initiating the request.  The business use case can be used in both directions meaning that the Member State of residence or the Member State of former activity can actually initiate the case to request the registration information. The Case Owner will then always be the party who initiates a new case.  In the situation where both Member States actually send a request, then separate cases will be initiated by each Member State.  It must be noted that the requester may send additional requests to the Counterparty by creating and sending a new instance of the request SED (**U018**). The Counterparty will then answer the second request by creating a new instance himself of the SED **U019**. | | |
| **Trigger:** | | - When the unemployed person is a former cross-border worker and registers at the unemployment services in the Member State of residence and as complementary measures, in the Member State of last activity. (Cases covered by **Art.65(2)**).  - For the rare cases covered by **Art 65a (1)**, the former cross-border worker registers in the state of last activity and as a complementary measure in the state of residence. | | |
| **Preconditions:** | | - The person is unemployed  **and**  - is a former Cross-border worker.  **and**  **For Art. 65a (1):**  - The person has registered in the Member State of last activity (former insurance)  And as a complementary measure  - The person has registered in the Member State of residence  **Or For Art. 65(2)** :  - The person has registered in the state of residence  And as a complementary measure  - The Person has registered in the Member State of Last Activity. | | |
| **Post conditions:** | | The requested information has been sent to the other Member State (depending of the situation: to the MS of residence or of former insurance). | | |
| **Main Scenario:** | | **Identify Participants**   1. The Case Owner identifies the EU Member State of former insurance / or the EU Member State of residence; 2. The Case Owner then identifies the correct institution (the Counterparty) in the respective Member State where the unemployed person is also registered. There will be only one Counterparty;   The Case Owner and the Counterparty are herein collectively referred to as the Participants.  **Create and send the request for information**   1. The Case Owner fills out a request for Registration information – Cross-border worker (U018) SED by entering the required information; 2. The Case Owner sends the U018 SED to the Counterparty; 3. The Counterparty receives the U018 SED; 4. The Counterparty replies to the U018 SED by filling out a reply to registration information (U019) SED by providing registration and/or job information; 5. The Counterparty sends the U019 SED to the Case Owner; 6. The Case Owner receives the U019 SED; 7. The BUC Ends. | | |
| **Alternative Scenarios:** | | ***The Following Branches Determine the use of Horizontally Defined Processes within this Business Process*** | | |
| 1. ***at any step between [step 3] and [step 9] any Participant may optionally choose to request AdHoc Information from another participant.*** 2. The participant executes business use case ***H\_BUC\_01\_Subprocess – Adhoc Exchange of Info***; 3. [This Branch] Ends. | | |
| 1. ***at any step between [step 5] and [step 9] any Participant may optionally choose to determine the residence of the Person with another participant*** 2. The participant executes business use cases  ***H\_BUC\_02\_Subprocess – Determine Residence;*** 3. [This Branch] Ends. | | |
| 1. ***Removed*** | | |
| 1. ***Removed*** | | |
| 1. ***Removed*** | | |
| 1. ***at any step between [step 3] and [step 9] any Participant may optionally choose to Exchange a Claim document with another Participant*** 2. The participant executes business use case ***H\_BUC\_06\_Subprocess – Transfer of Claim;*** 3. [This Branch] Ends. | | |
| 1. ***at any step between [step 5] and [step 9] any Participant may optionally choose notify another Participant of a Death of Person*** 2. The participant executes business use case ***H\_BUC\_07\_Subprocess – Notification of Death;*** 3. [This Branch] Ends. | | |
| 1. ***Removed*** | | |
| ***The Following Branches Determine the use of Administrative Processes within this Business Process*** | | |
| 1. ***at any step between [step 5] and [step 9] the Case Owner may choose to Forward this Business Process to another Competent Institution within their MS who assumes responsibility for handling it*** 2. The Case Owner executes business use case ***AD\_BUC\_05\_Subprocess – Forward Case;*** 3. [This Branch] Ends. | | |
| 1. ***at any step between [step 5] and [step 9] the Counterparty may choose to Forward this Business Process to another Competent Institution within their MS who assumes responsibility for handling it*** 2. The Counterparty executes business use case ***AD\_BUC\_05\_Subprocess – Forward Case;*** 3. [This Branch] Ends | | |
| 1. ***where [step 3] has been executed, then at any step between [step 4] and [step 9] the Case Owner may choose to advise all recipients of their U018 that it is Invalid under Art. 5 of 987/09 (we have an SED that was sent as a request for information, but not relevant anymore)*** 2. The Case Owner executes business use case ***AD\_BUC\_06\_Subprocess - Invalidate\_SED;*** 3. Optionally, the Case Owner fills in a new U018 SED; 4. Optionally, the Case Owner sends the U018 SED to the Counterparty; 5. [This Branch] Ends. | | |
| ***Branch 12: where [step 7] has been executed then at any step between [step 7] and [step 9] the Counterparty may choose to advise all recipients of their U019 that it is Invalid under Art. 5 of 987/09***   1. The Counterparty executes business use case ***AD\_BUC\_06 - Invalidate\_SED;*** 2. Optionally, the Counterparty fills in a new U019 SED; 3. Optionally, the Counterparty sends the U019 SED to the Case Owner; 4. [This Branch] Ends. | | |
| 1. ***where [Exception 1] has been executed the Case Owner or the Counterparty may choose to exchange Information despite the formal finishing of the Process*** 2. The Participant executes business use case ***AD\_BUC\_02\_Subprocess - ReOpen\_Process;*** 3. [This Branch] Ends. | | |
| 1. ***at any step between [step 4] and [step 9] the Case Owner may choose to send an updated version of U018*** 2. The Case Owner executes business use case ***AD\_BUC\_10\_Subprocess - Update\_SED;*** 3. [This Branch] Ends. | | |
| 1. ***at any step between [step 7] and [step 9] the Counterparty may choose to send an updated version of U019*** 2. The Counterparty executes business use case ***AD\_BUC\_10\_Subprocess - Update\_SED;*** 3. [This Branch] Ends. | | |
| 1. ***at any step between [step 5] and [step 9] 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.*** 2. The participant who invokes this branch executes business use case ***AD\_BUC\_07\_Subprocess -* *Reminder;*** 3. [This Branch] Ends. | | |
| 1. ***at any step between [step 5] and [step 9] any Participant may optionally choose to Request another participant who previously sent them Information provides clarification of the data that they have sent.*** 2. The participant executes business use case ***AD\_BUC\_08\_Subprocess - Clarify Content****;* 3. [This Branch] Ends | | |
| 1. ***at any step between [step 5] and [step 9] any Participant may optionally choose to notify another participant that they Reject a SED they have received from them (provided that they did not act on the SED they are trying to reject).*** 2. The participant who invokes this branch executes business use case ***AD\_BUC\_09\_Subprocess - Reject\_SED;*** 3. [This Branch] Ends. | | |
|  | | 1. ***at any step after [step 8], the Case Owner may optionally choose to send a new request U018 to the Counterparty*** 2. The process loops at [Step 3], and so the Case Owner may create a new request for registration information – Cross-border worker (U018)*.* | | |
| **Exceptions:** | | ***Exception 1: at any step between [step 5] and [step 9] the Case Owner may optionally choose to end the process due to unexpected information becoming known to them during the course of their investigations***   1. The Case Owner executes the business use case***AD\_BUC\_01\_Subprocess – Close Case;*** 2. This BUC Ends. | | |
| **Includes:** | | See figure 4.4. | | |
| **Special Requirements:** | | SR1: Rules about the invoking of Branches:   * [Branches 1-19 ] may be invoked more than once; * [Exception 1] can be invoked more than once (provided a ReOpen has been requested after the close request). | | |
| **Assumptions:** | |  | | |
| **Notes and Issues:** | |  | | |

## Request – Reply SEDs

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

| REQUEST SED | REPLY SED(s) |
| --- | --- |
| U018 | U019 |

## Attachments Allowed

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

| SED | Attachments |
| --- | --- |
| U018 | Allowed |
| U019 | Allowed |

## Artefacts used

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

| Artefact name | Artefact type |
| --- | --- |
| U018 | SED |
| U019 | SED |
| H\_BUC\_01\_Subprocess | BUC |
| H\_BUC\_02\_Subprocess | BUC |
| H\_BUC\_06\_Subprocess | BUC |
| H\_BUC\_07\_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\_09\_Subprocess – Reject SED | BUC |
| AD\_BUC\_10\_Subprocess – Update SED | BUC |
| AD\_BUC\_11\_Subprocess – Business Exception | BUC |
| AD\_BUC\_12\_Subprocess – Change of Participant | BUC |

# Business Processes

This chapter describes the Business Use Case Simultaneous Registration using BPMN 2.0.

## Case Owner and Counterparty

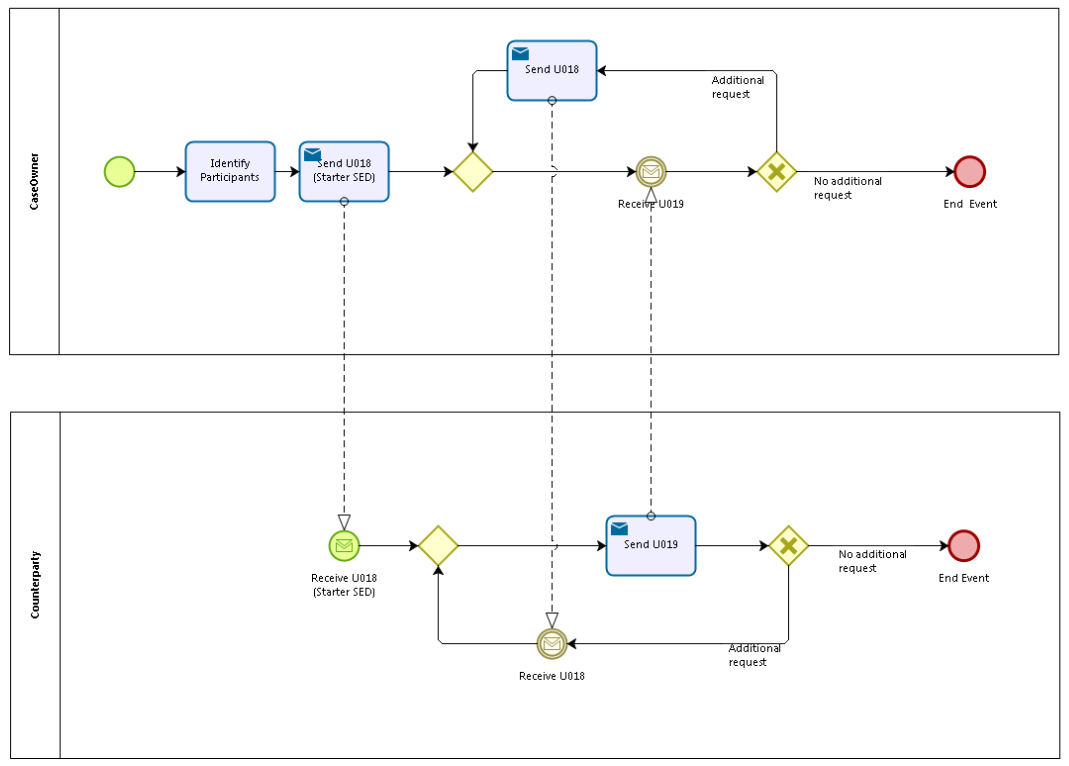


Figure 1: depicts the use case end-to-end from a high level, using the BPMN 2.0 collaboration diagram

## Sub Processes

Not applicable.

# Appendices

## Issues

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **#** | **Issue date** | **Description** | **Replies** | **Action/Resolution** | **Close date** |
| 1 |  |  |  |  |  |
| 2 |  |  |  |  |  |
| 3 |  |  |  |  |  |
| 4 |  |  |  |  |  |