

Approved

EESSI Business Use Case

*UB\_BUC\_04*

*Reimbursement of Unemployment Benefits*





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| v0.1 | 11/11/2014 | Eric Briffoz | Initial Version: Draft |
| v0.2 | 20/05/2015 | Eric Briffoz | - Alignment usage of Admin and Horizontal BUC's as Sub-processes  - Revision of the Legal Regulation Table point 2.2 |
| v0.3 | 02/06/2015 | Eric Briffoz | Adaptations following the comments received from AHG  - Main Scenario is the Full Acceptance scenario  - Branches 2 and 2b are used for Partial acceptance  - Branches 3 and 3b are used for Rejection of the request. |
| v0.4 | 03/06/2015 | Eric Briffoz | Adaptations following comments received from PL. |
| v0.5 | 08/06/2015 | Eric Briffoz | Adaptations following comments received from CZ and DK:  - Branch 1 can happen **after Step 5**.  This way, Charging interests can be triggered on the original claim, and will also be available **after a partial Acceptance.**  - Branch 2b, Steps 2 & 3: Optional Steps, if the CP objects all the cases that were changed in the revised U020.  - Branch 9: The Update of the U020 should be possible only until it receives U021, U022 or U023.  - Adaptation Trigger |
| v0.6 | 24/06/2015 | Eric Briffoz | - Answers provided to 6.1 section  - Main Scenario and Branch 3: Many U024 may be sent for one U021 or U023.  - Branch 1: [New U026 and new U027 are possible after these have been sent]  - Branch 1: [New U024 possible after it has been sent.]  - Branch 1: [ New U025 possible after new U024 has been sent] |
| v0.7.0 | 14/10/2015 | Eric Briffoz | Adaptations following feedback received from Unédic regarding v0.6:  - Branch 3b: H001 can be invoked multiple times  - Branch 6: correction on Step 1: Case Owner executes the business use case.  After invalidate, the Case Owner is able to recreate the same SED type.  - Branch 7: correction on Step 1: Counterparty executes the business use case.  After invalidate, the Case Owner is able to recreate the same SED type.  - Branch 8: After the reopen, the exchange restarts from the last step which was executed.  - Branch 10: Update of U021, U022, and U023 can be possible in order to provide the possibility to correct any mistake/ to change any relevant information on any of these SED's.  - Added the Use case Diagram. |
| v0.8.0 | 18/01/2016 | Eric Briffoz | Minor adaptations following feedback received from France. |
| v0.9.0 | 26/07/2016 | Heidi Warson | Alignment to the standard description and layout of the BUC:  - 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 section 2.1 from 'Detailed Description' to 'Business Scenario' and removed reference to SEDs.  - Renamed section 2.2 from 'Legal Regulations / Policy Issues / Other' to 'Legal Base' & aligned the text and table to the standard BUC.  - Section 4.1 RUP Table Representation: deleted 'Frequency of Use'.  - Section 4.2 Request – Reply SEDs: added this section.  - Section 4.5 SED and Sub-process Versioning: updated the SUB PROCESS table to include overview of all sub-processes as identified for Horizontal and Administrative sectors.  - Renamed section 5.2 Called Sub Processes to 5.3 Sub Processes. Removed section '5.2.1 – Identify Participants' and section '5.2.2 – Fill in & send SED' as both are not regarded as a sub processes anymore, and will be a single activity (= decision applicable for all BUCs).  Updated document to align the way of working to Bulk process and SEDs. |
| v0.10.0 | 24/08/2016 | Heidi Warson | Updated following the AHG meeting of 17/18 August 2016:  - corrected spelling mistakes & formatting & rephrasing throughout the document.  - Introduced the use of U029 SED – Reply to U023, instead of using a revised U020.  - Removed the use of 'Acknowledge Receipt' SEDs. The use is currently not accepted to be introduced as a specific action of the clerk, as it should be a technical solution.  - Removed the use of 'Credit Note' as it is not needed in the current described process.  It is also decided to not (yet) introduce a BUC to handle Overpayments. As this only occurs in very rare occasions, it is regarded as not needed to introduce, as it can be handled outside the EESSI system.  - Updated 'Liaison Body' instead of 'institution' in section 3. Actors & Roles + section  - Updated Section 4.1 RUP Table Representation:  Included the H\_BUC\_01 as Horizontal sub process in Branch 7;  Updated the invalidate branches: included 1 branch per to be invalidated SED: U020, U021, U022, U023 and included a new branch for U029 (branches 10 to 14);  Rephrased the Reopen, Reminder and Clarify SED branches (branches 15 to 17);  Updated the Update branches, branches 18 to 24);  Added branch 25 to allow AD\_BUC\_010\_Subprocess- Reject\_SED;  Updated Exception 1 to start as from step 5 instead of step 7. |
| v0.11.0 | 25/08/2016 | Heidi Warson | Updated document after internal meeting with Phil Cummings and Eric Chasseur:  - Corrected some formatting, spelling.  - Updated Section 4.1 RUP Table Representation:  Branch 2 – step 10 rephrased and have the branch revert to the main scenario instead of repeating the steps;  Branch 5 – removed, see issue 3 in section 6.1;  Branch 10, 11, 12, 14: rephrase the invalidation branches;  Branch 18, 19, 24: added until after which SED the update is possible;  Exception 1 – rephrase to 'after step 5' instead of 'as from';  Special Requirement 1 – updated to align to the content of the branches;  - Section 6.1 issues: added received replies, Actions/Resolutions and when applicable a close date. |
| v0.12.0 | 29/08/2016 | Heidi Warson | Updated following an internal Review:  - Updated section 4.1 RUP Table Representation:  Branch 2: added (at least once) after 'Loop for Contestation of claim(s) and removed the loop on U029 SED, because it will be allowed to update this SED.  Branch 11: corrected step 2 '… or after [Branch 2 Step 6] to [Branch 2 Step 9].  Branch 19 – removed the update possibility to prevent complexity, and an invalidate is allowed and a loop is available for this SED.  Special Requirements: Updated to indicate that Branch 19 is removed.  - Updated section 4.4 RUP UC Diagram Representation: updated table.  - Updated section 6.1 Issues: closed issue 2 and updated 'Action' for issue 16. |
| v0.12.1 | 20/09/2016 | Phil Cummings | Updated following review of AHG members:  - Updated section 4.1 RUP Table Representation:  Rehrased some wording in the different parts of this section;  Branch 10: added 'and before a U021, U022 or U023 is sent';  Branch 13: added 'and before a next U024 or U029 SED is received';  Special Requirement SR2: added 'SED U023 also cannot be sent if the global claim was fully accepted by U021 (U021 would need to be invalidated).';  Branch 22: added 'and before U027 is received'. |
| v0.12.2 | 30/09/2016 | Heidi Warson | Update following comments received from Vit Holubec:  - Updated section 4.1 RUP Table Representation:  Branch 13: replaced 'all recipients' with 'the Case Owner';  Branch 14: added 'and before the next U021 or U023 is received' + replaced 'all recipients' with 'the Counterparty';  Branch 20: added 'and before it receives the next U025 SED',  - Updated section 6.1 Issues:  Propose to close issue 3 & 15  Added question for issue 16 – received comment from the rapporteur. |
| v0.13.0 | 06/10/2016 | Heidi Warson | Updated following the comments received during the AHG meeting 05-Oct-2016:  - Updated section 4.1 RUP Table Representation: included branch 19 to allow an update for U023. |
| v0.13.1 | 14/10/2016 | Heidi Warson | Updated following implementation feedback & feedback received from Mechthild Schenk:  - Updated section 4.1 RUP table Representation:  Post condition: corrected to 'The Member State of former insurance either declined …' (instead of "decline");  Branch 11 step 2: rephrased to 'or after [Main Scenario Step 5 (after receiving U020 SED)], or start of [Branch 2 (after receiving U029)];  Branch 20, 21, 22, 23: removed ', provided it has not been invalidated', because an invalidate is not available for U024, U025, U026 and U027 SEDs;  - Updated section 4.2 Request - Reply SEDs: corrected to 'The following table specifies SEDs…' (instead of 'The following table specifies and SEDs'). |
| v0.14.0 | 06/12/2016 | Heidi Warson | Update following comments from AHG members:  - Removed SED U022 from the document in all applicable sections;  - Renamed 'single case' to 'individual case' throughout the document;  - Updated section 4.1 RUP table  Representation, branch 25: the reject subprocess is process 09 instead of 10.  Renamed U023 to "Reimbursement Contestation" and U029 "Reply to Reimbursement Contestation".  Updated branch 10 in section 4.1 from "… U020 SED has been sent by the Case Owner and before a U021 or U023 is sent " to "… U020 SED has been sent by the Case Owner and before a U021 or U023 is received " to be consistent with other invalidate branches.  Included figure 2 and 3 in sections 5 Business Processes, 5.1 Case Owner and 5.2 Counterparty. |
| v0.14.1 | 06/01/2017 | Heidi Warson | Updated following review of AHG members:  - Renamed U029 to "Amended reimbursement request reacting to contestation";  - Section 4.1 RUP Table Represenation:  Removed the second word 'individual' in description forth bullet;  Corrected Branch 14 Step 3 and Branch 19: updated to Counterparty instead of Case Owner;  Rephrased Branch 25 to make it more clear between which steps the AD\_BUC\_09 Reject SED can be used.  Corrected some spelling mistakes. |
| v0.99.0 | 17/02/2017 | Heidi Warson | Candidate for AC Approval.  Update following AC review comments:  - Updated section 4.1 RUP table Representation:  Main Scenario: rephrased “The Counterparty chooses to accept fully the Reimbursement claim” to “The Counterparty chooses to fully accept the Reimbursement claim”;  Main Scenario step 9: rephrased “The Counterparty fills out (without delay) a” to “The Counterparty (without delay) makes payment for the accepted individual claims and fills in”;  Branch 7: corrected spelling mistake on the word “subprocess”;  Branch 11 and 13: updated “before a next U024” to “before the next U024”.  Update following AHG comments:  - Updated section 4.1 RUP table Representation:  Branch 1: removed the loop on U026/U027;  Added branches to invalidate U026 or U027, and renumbered the branches as from branch 14 onwards;  Branch 13: updated step 2, 3 and removed step 4 to allow both a new creation of U023 or a new creation of U021;  Branch 24: removed the restriction for updating a U026 “and before the Case Owner receives a U027 SED”;  Special Requirements: Updated SR1 to align branch numbers following the 2 new branches;  - Updated section 5. Business Processes: Case Owner and Counterparty BPMN pictures to remove the loop on U026/U027. |
| v0.99.1 | 23/02/2017 | Heidi Warson | Included the updated BPMN pictures for section 5. Business Processes. |
| v0.99.2 | 25/04/2017 | Heidi Warson | V0.99.1 is conditionally approved.  Updated Special Requirements in section 4.1 RUP Table Representation based on feedback testing team:  - Corrected SR1 for branch 1 to only allow invoking this branch once (It is only allowed to re-invoke after invalidation, see branch 14 and 15, as there can only be 1 active U026/027 pair for this BUC).  - Added SR3 for clarification purposes "Only one instance of the U020 can be created." |
| v0.99.3 | 29/06/2017 | Heidi Warson | Included new BPMN picture (with use of sub processes to improve readability) in section 5. |
| v1.0.0 | 05/07/2017 | Heidi Warson | AC Approved Version. |
| v1.0.1 | 24/08/2017 | Eric Briffoz | -Correction in section 4.2 Request – Reply SEDs section: Added Request/Reply pattern for U029 SED, with possible replies U021 or U023, to be aligned with the RUP Table Representation section.  -Correction in Sub-process table in section 4.5: added H\_BUC\_04 and H\_BUC\_10 in the table.  -Included the version of the BPMN diagram used in section 5. |
| v1.0.2 | 18/09/2017 | Madalina Alecsandrescu | - removed Use Case diagram |
| 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 sector process of Reimbursement of Unemployment Benefits. The different elements like use case description, business actors, and business process as well as supporting UML diagrams and BPMN models pertaining to the Reimbursement of Unemployment Benefits.

## Definitions, Acronyms and Abbreviations

Please see the [EESSI Project Glossary](https://webgate.ec.europa.eu/CITnet/confluence/display/EESSI/EESSI+Glossary+v.2.0) [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](../../../../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](../../../../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 us to the Reimbursement of Unemployment Benefits 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 Reimbursement of Unemployment Benefits business process.

Chapter 4 describes in detail the Reimbursement of Unemployment Benefits business process based on the RUP use case template, as well as the relationship to other use cases.

Chapter 5 describes the Reimbursement of Unemployment Benefits business process using business process modelling notation (BPMN).

# Description

## Business Scenario

This BUC is used for the reimbursement of unemployment benefits paid by the Member State of residence to a cross-border worker.

The state of former activity (the debtor) has to reimburse this unemployment benefit under certain conditions, with a certain ceiling amount, and also within a certain time frame.

The request for Reimbursement of Unemployment Benefits can contain a bulk of multiple individual claims.

## Legal Base

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

* basic Regulation (EC) No 883/2004
* 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.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **SED** | **Basic Reg (883/04)** | | **Implemented Reg (987/09)** | |
| **65(6)** | **65(7)** | **70** | **68(2)** |
| U020 | **✓** | **✓** | **✓** |  |
| U021 | **✓** | **✓** | **✓** |  |
| U023 | **✓** | **✓** | **✓** |  |
| U024 | **✓** | **✓** | **✓** |  |
| U025 | **✓** | **✓** | **✓** |  |
| U026 | **✓** | **✓** | **✓** | **✓** |
| U027 | **✓** | **✓** | **✓** | **✓** |
| U029 | **✓** | **✓** | **✓** |  |

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 Liaison Body which initiates a case.  Liaison Body of a Member State (the State of Residence / Creditor) which paid UB for a Cross-border Worker and requests reimbursement from the Member State of last activity. |
| ***Counterparty*** | Liaison Body of a Member State (State of Last Activity / debtor) which will receive a request from the Case Owner. |

Table 2: Actors & Roles

# Use Case

## RUP Table Representation

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Use Case ID:** | **UB\_BUC\_04** | | | |
| **Use Case Name:** | Reimbursement of Unemployment Benefits | | | |
| **Created By:** | Eric Briffoz | | **Last Updated By:** | Heidi Warson |
| **Date Created:** | 21/11/2014 | | **Last Revision Date:** | 25/04/2017 |
| **Actors:** | | Case Owner  Counterparty | | |
| **Description:** | | This Use Case allows a Member State to request reimbursement of unemployment benefits paid by the Member State of residence to a cross-border worker.   * The request (U020) can contain a bulk of multiple individual claims; * U021 accepts all the individual claims requested in the U020 SED or in a amended version of the multiple individual claims as included in U029 SED; * U023 contests individual claims requested in the U020 SED or in the U029;   + The individual claims not contested become de-facto accepted;   + The reply to the reimbursement contestation used must be the U029; * The notification(s) of payment(s) need(s) to be done by using a U024 (once or by sending multiple notifications, per group of individual claims included in the payment, as needed);   + The reply to the payment notification(s) used must be the U025; * The pair of SED's U026 / U027 may be used for requesting interests in the case that claims are not refunded or contested within the deadline laid down in Article 67(5) of Regulation No 987/2009. | | |
| **Trigger:** | | When unemployment benefits were paid by the Member State of residence to a cross-border worker. | | |
| **Preconditions:** | | - The MS of residence paid UB to a Cross-border worker;  and  - Member State of residence considered insurance periods from the Member State of last activity for the entitlement to UB. | | |
| **Post conditions:** | | The Member State of former insurance checked all reimbursement individual claims within the reimbursement request. For all individual claims it either reimbursed the individual claim or contested the individual claim. In several phases the MS of residence and the MS of last activity clarified which amounts have to be reimbursed. The MS of last activity reimbursed the amounts which were agreed upon and the MS of residence confirmed that the reimbursement claim was closed. | | |
| **Main Scenario:**  **(Full acceptance Scenario)** | | **Identify Participants**   1. The Case Owner identifies the EU Member State of former insurance; 2. The Case Owner then identifies the correct Liaison Body, (the Counterparty) in the respective Member State; There will only be one Counterparty; The Case Owner and the Counterparty are herein collectively referred to as the Participants;   **Sends the request for Reimbursement**   1. The Case Owner fills out a "Reimbursement Request" **U020** SED by entering the required information; 2. The Case Owner sends the **U020** SED to the Counterparty; 3. The Counterparty receives the **U020** SED;   **The Counterparty chooses to fully accept the Reimbursement claim**   1. The Counterparty replies by filling out a "Reimbursement Full Acceptance" **U021** SED; 2. The Counterparty sends the **U021** SED to the Case Owner; 3. The Case Owner receives the **U021** SED;   **Loop on Payments**   1. The Counterparty (without delay) makes payment for the accepted individual claims and fills in a "Reimbursement Payment Notification" **U024** SED; 2. The Counterparty sends the **U024** SED to the Case Owner; 3. The Case Owner receives the **U024** SED; 4. The Case Owner fills out a "Reimbursement Receipt / Closing Notification" **U025** SED; 5. The Case Owner sends the **U025** SED to the Counterparty. 6. The Counterparty receives the **U025** SED;   **Loop for Payments ends here**   1. When the Case Owner indicated that the Reimbursement request is closed (in **U025**), the Case Owner chooses to execute the Business Use Case by calling ***AD\_BUC\_01\_Subprocess-Close\_Case***; 2. The use case ends here. | | |
| **Alternative Scenarios:** | | 1. ***at any Step after [Step 5] has been executed, the Case Owner may optionally choose to issue a charging interest SED (U026) on outstanding and undisputed claims by the Member State of last activity*** 2. The Case Owner fills in a "Charging Interest" **U026** SED by providing required information; 3. The Case Owner sends the **U026** SED to the Counterparty; 4. The Counterparty receives the **U026** SED; 5. The Counterparty fills in a "Reply on Interest" **U027** SED by providing the required information; 6. The Counterparty sends the **U027** to the Case Owner; 7. The Case Owner receives the **U027** SED; 8. [This Branch] Ends. | | |
| 1. ***when [Step 5] has been executed the Counterparty chooses to partially accept the request (a subset of individual claims will be contested by the Counterparty) or refusing the request (all individual claims will be contested by the Counterparty)***   **Loop for Contestation of claim(s) (at least once)**   1. The Counterparty fills in a "Reimbursement Contestation" **U023** SED, and fills in the individual claims which are not accepted for the reimbursement and the reason for the refusal – the remaining undisputed individual claims are thereby considered as accepted; 2. The Counterparty sends the **U023** SED to the Case Owner; 3. The Case Owner receives the **U023** SED;   **Loop on Payment (for accepted individual claims)**   1. The Counterparty (without delay) makes payment for the accepted individual claims and fills in a "Reimbursement Payment Notification" **U024** SED in order to reimburse the accepted individual claims; 2. The Counterparty sends the **U024** SED to the Case Owner; 3. The Case Owner receives the **U024** SED; 4. The Case Owner fills in a "Reimbursement Receipt/Closing Notification" **U025** SED as a reaction to **U024** SED, in order to confirm the receipt of the payment, but given the fact that some individual claims were contested, indicates that the Reimbursement Request Remains Open; 5. The Case Owner Sends the **U025** SED to the Counterparty; 6. The Counterparty receives the **U025** SED;   **Loop for Payment ends here**   1. The Case Owner fills in a "Amended reimbursement request reacting to contestation" **U029** SED indicating the status of all the individual claims; 2. The Case Owner sends the **U029** SED to the Counterparty; 3. The Counterparty receives the **U029** SED;   **Loop for Contestation of Individual Claims ends here.**   1. When the Counterparty can fully accept to the U029 SED, the Counterparty goes to **[Main Scenario Step 6]**; 2. [This Branch] Ends. | | |
| ***Branch 2b: - Removed*** | | |
| 1. ***- Removed*** | | |
| 1. ***- Removed*** | | |
| 1. ***- Removed*** | | |
| 1. ***- Removed*** | | |
| ***The Following Branches Determine the use of Horizontally Defined Sub Processes within this Business Process*** | | |
| 1. ***at any Step as from [Step 5] any Participant may optionally choose to request AdHoc information from another Participant*** 2. The participant executes business use case ***H\_BUC\_01\_Subprocess – Ad-hoc Exchange of Information***; 3. [This Branch] Ends. | | |
| ***The Following Branches Determine the use of Administrative Sub Processes within this Business Process*** | | |
| 1. ***at any Step as from [Step 3] the Case Owner may choose to Forward this Business Process to a new Liaison Body within their Member State 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 as from [Step 5] the Counterparty may choose to Forward this Business Process to a Liaison Body within their Member State who assumes responsibility for handling it*** 2. The Counterparty executes business use case ***AD\_BUC\_05\_Subprocess–Forward Case;*** 3. [This Branch] Ends. | | |
| 1. ***at any Step after U020 SED has been sent by the Case Owner and before a U021 or U023 is received, the Case Owner may choose to advise the Counterparty that U020 SED is Invalid under Art 5 of 987/09*** 2. The Case Owner executes business use case ***AD\_BUC\_06\_Subprocess- Invalidate\_SED;*** 3. The Case Owner chooses to close the Business Use Case by calling ***AD\_BUC\_01\_Subprocess-Close\_Case***; 4. [This Use Case] Ends. | | |
| 1. ***at any Step after U021 SED has been sent by the Counterparty, and before the next U024 SED is sent, the Counterparty may choose to advise the Case Owner that U021 SED is Invalid under Art 5 of 987/09*** 2. The Counterparty executes business use case ***AD\_BUC\_06\_Subprocess-Invalidate\_SED;*** 3. The Counterparty reverts to its previous step, or after [**Main Scenario Step 5 (after receiving U020 SED)**], or start of [**Branch 2 (after receiving U029)**]; 4. [This Branch] Ends. | | |
| 1. ***- Removed*** | | |
| 1. ***at any Step after U023 SED has been sent by the Counterparty; and before the next U024 SED is sent or U029 SED is received, the Counterparty may choose to advise the Case Owner that U023 SED is Invalid under Art 5 of 987/09*** 2. The Counterparty executes business use case ***AD\_BUC\_06\_Subprocess-Invalidate\_SED;*** 3. The Counterparty reverts to its previous step, or after [**Main Scenario Step 5 (after receiving U020 SED)**], or start of [**Branch 2 (after receiving U029)**]; 4. [This Branch] Ends. | | |
| 1. ***at any Step after U026 SED has been sent by the Case Owner, the Case Owner may choose to advise the Counterpart the U026 SED is Invalid under Art 5 of 987/09*** 2. The Case Owner executes business use case ***AD\_BUC\_06\_Subprocess-Invalidate\_SED;*** 3. Optionally, the Case Owner fills in a new U026 SED, by entering all the required information; 4. Optionally, the Case Owner sends the U026 SED, including any attachments, to the Counterparty; 5. [This Branch] Ends. | | |
| 1. ***at any Step after U027 SED has been sent by the Counterparty, the Counterparty may choose to advise the Case Owner the U027 SED is Invalid under Art 5 of 987/09*** 2. The Counterparty executes business use case ***AD\_BUC\_06\_Subprocess-Invalidate\_SED;*** 3. Optionally, the Counterparty fills in a new U027 SED, by entering all the required information; 4. Optionally, the Counterparty sends the U027 SED, including any attachments, to the Case Owner; 5. [This Branch] Ends. | | |
| 1. ***at any Step after U029 SED has been sent by the Case Owner and before the next U021 or U023 is received, the Case Owner may choose to advise the Counterparty that U029 SED is Invalid under Art 5 of 987/09*** 2. The Case Owner executes business use case ***AD\_BUC\_06\_Subprocess-Invalidate\_SED;*** 3. Optionally, the Case Owner fills in a new U029 SED, by entering all the required information; 4. Optionally, the Case Owner sends the U029 SED, including any attachments, to the Counterparty; 5. [This Branch] Ends. | | |
| 1. ***when the BUC has been closed, any participant may choose to exchange further information despite the formal finishing of the process by reopening the case*** 2. The Case Owner or Counterparty executes business use case ***AD\_BUC\_02\_Subprocess-ReOpen\_Case;*** 3. [This Branch] Ends. | | |
| 1. ***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 another participant for the return of information they were expecting from that participant but did not receive*** 2. The Case Owner or Counterparty executes business use case ***AD\_BUC\_07*\_Subprocess-*Reminder;*** 3. [This Branch] Ends. | | |
| 1. ***at any Step where a participant has received a SED, that participant may optionally choose to request from another participant who previously sent them Information a clarification of the data that they have sent*** 2. The Case Owner or Counterparty executes business use case ***AD\_BUC\_08\_Subprocess-Clarify Content****;* 3. [This Branch] Ends. | | |
| 1. ***at any Step after U020 SED has been sent by the Case Owner and before the Case Owner receives a next U021 or U023 SED, the Case Owner may choose to send an Updated Version of U020, provided it has not been invalidated*** 2. The Case Owner executes business use case ***AD\_BUC\_10\_Subprocess-Update\_SED;*** 3. [This Branch] Ends. | | |
| 1. ***at any Step after U023 SED has been sent by the Counterparty and before the Counterparty receives the next U029 SED, the Counterparty may choose to send an Updated Version of U023, provided it has not been invalidated*** 2. The Counterparty executes business use case ***AD\_BUC\_10\_Subprocess-Update\_SED;*** 3. [This Branch] Ends. | | |
| 1. ***at any Step after U024 SED has been sent by the Counterparty and before the Counterparty receives the next U025 SED, the Counterparty may choose to send an Updated Version of U024*** 2. The Counterparty executes business use case ***AD\_BUC\_10\_Subprocess-Update\_SED;*** 3. [This Branch] Ends. | | |
| 1. ***at any Step after a U025 SED has been sent by the Case Owner, the Case Owner may choose to send an Updated Version of U025*** 2. The Case Owner executes business use case ***AD\_BUC\_10\_Subprocess-Update\_SED;*** 3. [This Branch] Ends. | | |
| 1. ***at any Step after a U026 SED has been sent by the Case Owner, the Case Owner may choose to send an Updated Version of U026*** 2. The Case Owner executes business use case ***AD\_BUC\_10\_Subprocess-Update\_SED;*** 3. [This Branch] Ends. | | |
| 1. ***at any Step after a U027 SED has been sent by the Counterparty, the Counterparty may choose to send an Updated Version of U027*** 2. The Counterparty executes business use case ***AD\_BUC\_10\_Subprocess-Update\_SED;*** 3. [This Branch] Ends. | | |
| 1. ***at any Step after a U029 SED has been sent by the Case Owner and before the Case Owner receives a next U023 or U021 SED, the Case Owner may choose to send an Updated Version of U029, provided it has not been invalidated*** 2. The Case Owner executes business use case ***AD\_BUC\_10\_Subprocess-Update\_SED;*** 3. [This Branch] Ends. | | |
| 1. ***after [Step 5] and before [Step 6 or Branch 1 step 4 or Branch 2 Step 1] the Counterparty may optionally choose to notify the Case Owner that they Reject the U020 SED they have received from the Case Owner (provided that they did not act on the SED they are trying to reject via invoking U021, U027 or U023)*** 2. The Case Owner executes business use case ***AD\_BUC\_09\_Subprocess-Reject\_SED;*** 3. [This Branch] Ends. | | |
| **Exceptions:** | | ***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***   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:   * [Branch 1] may be invoked only once * [Branch 2 ]may be invoked more than once * [Branch 2b] removed * [Branch 3] removed * [Branch 4] removed * [Branch 5-6] removed * [Branch 7] may be invoked more than once * [Branch 8] may be invoked more than once * [Branch 9] may be invoked more than once * [Branch 10] may be invoked only once * [Branch 11] may be invoked more than once (provided a new SED has been created following the invalidation) * [Branch 12] removed * [Branch 13 -16] may be invoked more than once (provided a new SED has been created following the invalidation) * [Branches 17] may be invoked more than once (provided a new close was requested following the re-open) * [Branch 18-27] may be invoked more than once * [Exception 1] may be invoked more than once (provided Branch 17 has been invoked)   SR2: Once a U024 SED, including individual claims which are notified for being paid, is received by the Case Owner, it will not be possible anymore to contest the individual claim(s). SED U023 also cannot be sent if the global claim was fully accepted by U021 (U021 would need to be invalidated).  SR3: Only one instance of the U020 can be created. | | |
| **Assumptions:** | |  | | |
| **Notes and Issues:** | |  | | |

## Request – Reply SEDs

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

| **REQUEST SED** | **REPLY SED(s)** |
| --- | --- |
| **U020** | U021 or U023 |
| **U023** | U029 |
| **U024** | U025 |
| **U026** | U027 |
| **U029** | U021 or U023 |

## Attachments Allowed

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

| **SED** | **Attachments** |
| --- | --- |
| **U020** | Allowed |
| **U021** | Allowed |
| **U023** | Allowed |
| **U024** | Allowed |
| **U025** | Allowed |
| **U026** | Allowed |
| **U027** | Allowed |
| **U029** | Allowed |

## Artefacts used

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

| **Artefact name** | **Artefact type** |
| --- | --- |
| **U020** | SED |
| **U021** | SED |
| **U023** | SED |
| **U024** | SED |
| **U025** | SED |
| **U026** | SED |
| **U027** | SED |
| **U029** | SED |
| **H\_BUC\_01\_Subprocess** | BUC |
| **AD\_BUC\_01\_Subprocess – Close Case** | BUC |
| **AD\_BUC\_02\_Subprocess – Reopen Case** | BUC |
| **AD\_BUC\_05\_Subprocess – Forward Case** | BUC |
| **AD\_BUC\_06\_Subprocess – Invalidate SED** | BUC |
| **AD\_BUC\_07\_Subprocess – Reminder** | BUC |
| **AD\_BUC\_08\_Subprocess – Clarify Content** | BUC |
| **AD\_BUC\_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 Reimbursement of Unemployment Benefits using BPMN 2.0.

## Case Owner

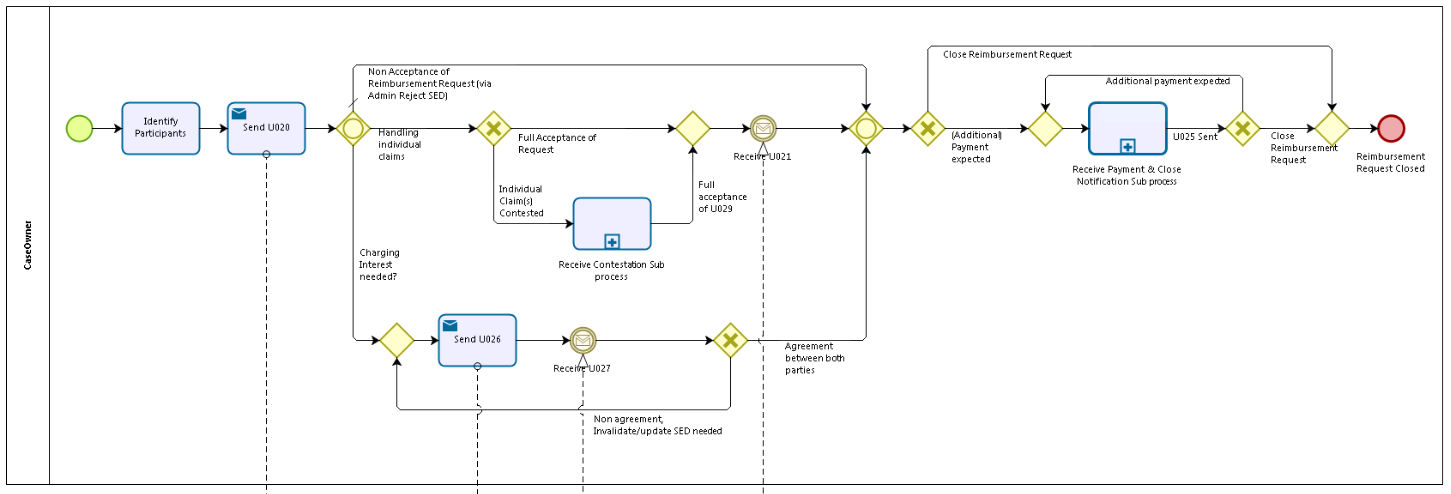


Figure 2: depicts the use case end-to-end of the Case Owner, from a high level, using the BPMN 2.0 collaboration diagram

## Counterparty

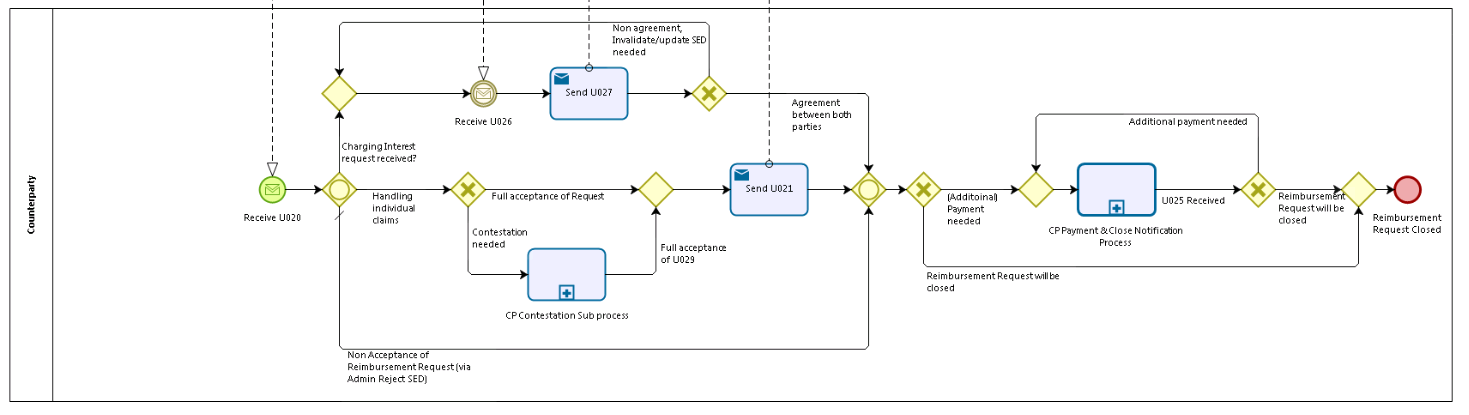


Figure 3: depicts the use case end-to-end of the Counterparty, from a high level, using the BPMN 2.0 collaboration diagram

## Sub Processes

## Case Owner's Sub Process "Receive Contestation"

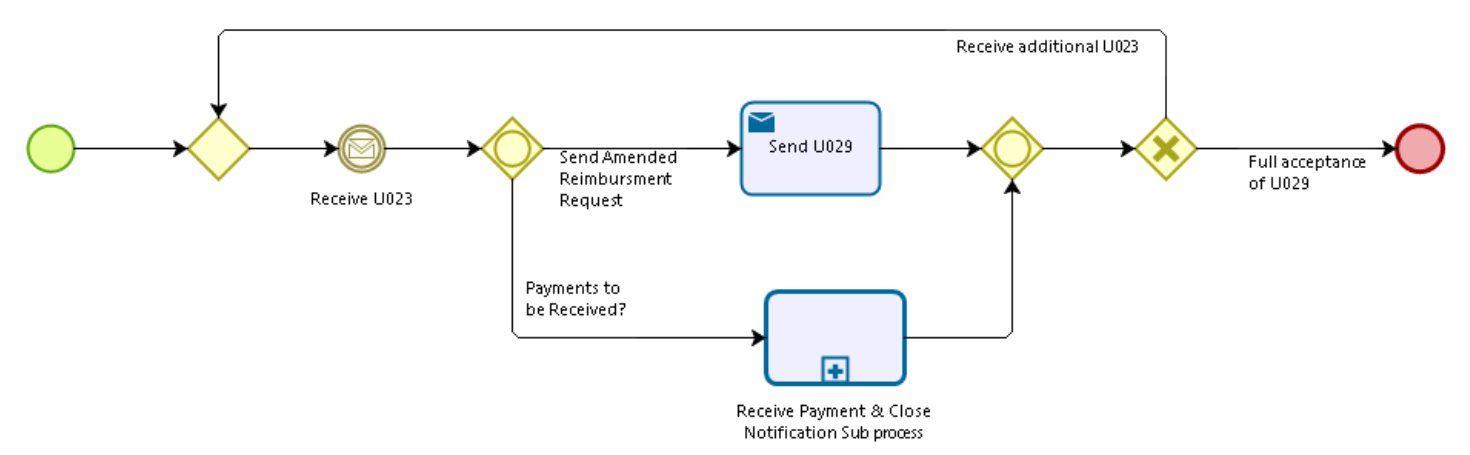


Figure 4: depicts the sub process "Receive Contestation" of the Case Owner

## Case Owner's Sub Process "Receive Payment & Close Notification"

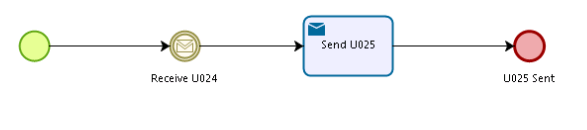


Figure 5: depicts the sub process "Receive Payment & Close Notification" of the Case Owner

## Counterparty's Sub Process "Contestation"

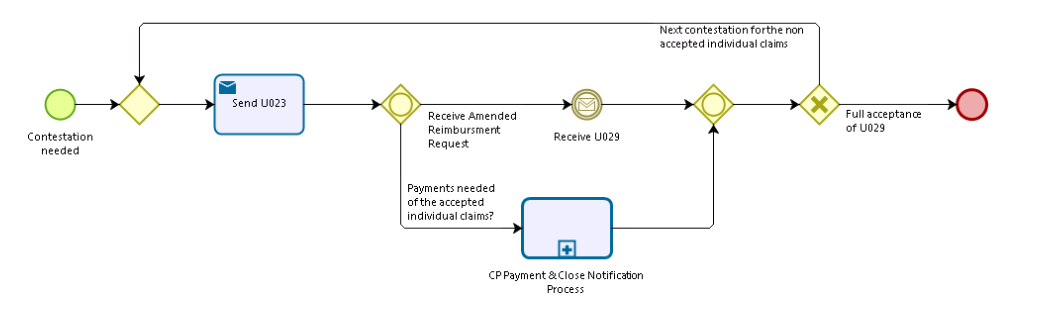


Figure 6: depicts the sub process " Contestation" of the Counterparty

## Counterparty's Sub Process " Payment & Close Notification "

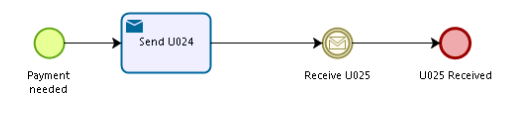


Figure 7: depicts the sub process " Payment & Close Notification" of the Counterparty

# Appendices

## Issues

| **#** | **Issue date** | **Description** | **Replies** | **Action**  **/Resolution** | **Close date** |
| --- | --- | --- | --- | --- | --- |
| 1 | 02/06/2015 | The process SED U020 -> SED U023 -> revised SED U020 -> revised SED U023 … should work in multiple but limited phases.  There should only be a maximum of on revised SED U023 and three revised SED U020. **I took this restriction from our guidelines. But I am not sure whether it would limit the process too much?** | For the time being this will be the implementation as foreseen in the Branches 2, 2b and 2c, so including this limitation as described also in the guidelines. | 28/7/2016: to be discussed when bulk process is introduced – does the limitation still apply?  18/8/2016: AHG member decided that the limitation does not apply, as this is not included in the regulation. | 18/8/2016 |
| 2 | 02/06/2015 | Is version 4.2 of the guidelines (from August 2014) already accepted? Older versions of the guidelines may not fit with the new SEDs. |  | Close this issue. | 29/08/2016 |
| 3 | 02/06/2015 | Branch 3b: The Case Owner may not accept the rejection and may raise objections by horizontal SEDs.  Should it be possible that the Counterparty then sends a SED U023?  Or would all disputed cases have to be discussed via Horizontal SEDs? | For the time being, we will implement as foreseen in the Branch 3b, making it possible to invoke the horizontal SED's to raise objections by the Case Owner to the rejection of the Counter party. | 28/7/2016: to be discussed when bulk process is introduced?  25/8/2016:  Note: this branch 3b, was renumbered to branch 5. Propose to close this issue and include the way of working in the Guidelines when required. Because all branches are available to the user.  Agreed way of working during AHG meeting of 18/8/2016: when the Case Owner doesn't agree to the U022, he can either use Branch 7 - H\_BUC\_01 or Branch 17 - AD\_BUC\_08\_Subprocess- Clarify Content, to agree on:   * either the CO accepting the U022 SED, continuing Branch 4 step 4, * or the CP invalidating the U022 SED, via Branch 12. | 06/10/2016 |
| 4 | 02/06/2015 | Branch 3:  - If the Counterparty change their mind after the Discussion with the Case Owner and accepts some of the cases in the bulk… do we use U021 for accepted cases?  - If the Counterparty partially accepts some of the cases in the bulk (ceiling in the national law), do we use U023? | This could be possible, even after sending the U022 from branch 3, by invalidating the SED which should not be considered anymore following the decision, and then recreating the new U021 or the new U023 depending on the situation. | 28/07/2016:  Propose to close. | 18/8/2016 |
| 5 | 03/06/2015 | Should all the updates be made within branches for each SED's or should it also be possible to execute the Update Administrative BUC?  Pursuant to Decision U4 – point V.1. Other cases of revising SED U020 should be covered by Branches 2, and 2b. ? | For the time being, we can leave the option to update U020 open, but to limit it so that it cannot be possible to Update U020 anymore as soon as U021, U022 or U023 have been received, according to Branch 9. | 28/7/2016: to be discussed when bulk process is introduced.  25/8/2016: included Update possibility as described in v0.12.0. | 25/8/2016 |
| 6 | 28/07/2016 | Propose to remove U021 as formal acceptance.  And regard the payment as acceptance.  Is this OK?  (reference to E1, E5, E10, E19, E20 comment) | 18/8/2016 – not accepted by AHG members. U021 and U024 have a different meaning and can not be included in one document, as they are generated at different points in time. | Keep the branches in the document. | 25/8/2016 |
| 7 | 28/07/2016 | Propose to combine U022 and U023 into one SED U023 (and remove U022).  Is this OK?  (reference to E2, E14 comment) | 18/8/2016 – not accepted by AHG members, they have a different functionality. | Keep the different SEDs, U022 and U023 and U021. | 25/8/2016 |
| 8 | 28/07/2016 | Can the Credit Note process be introduced for UB\_BUC\_04?  As optional to be used, as I understood in rare occasions this might also occur for UB\_BUC\_04.  When Yes,  - What are the situations on which it occurs? Only after a payment has been made?  – at what point in the process  – starting from which branch/step?  - until which branch/step?  - does it have to be repeatable?  - can it exist out of Credit Note SED  And Credit Note Contestation SED  And a Reply to Credit Note Contestation SED?  Is it needed to have a way back after when a payment is being done for an accepted case that it is possible to contest?  Also implying the use of Credit Notes?  (reference to E3, E16 comment) | 18/8/2016: It has been decided that the Credit Note process does not have to be introduced for UB | Remove the branch in the document | 25/8/2016 |
| 9 | 28/07/2016 | Introduction of using Acknowledgement Receipts for the process.  Is it accepted for UB to be introduced?  (reference to E4 comment) | 18/8/2016: at this point in time it is not accepted to introduce a SED for Acknowledge Receipt. This is regarded as overhead for the clerk. It is currently regarded as sufficient to introduce a technical 'Read Receipt' or 'SED delivered'. | Removed the branches and SEDs in the document. | 25/8/2016 |
| 10 | 28/07/2016 | Is the AD\_BUC\_01\_Subprocess-Close\_Case to be used once U025 indicates that the BUC is closed? Or is no formal closing required?  (reference to E6, E11, E15 comment) | 18/8/2016: A formal closing is required, as indicated by the clerk in U025, but it is requested to automate this action. | Kept the AD\_BUC\_01\_Subprocess – Close Case in the document. The relevant SED already foresees the opportunity to automate this. It is a National Application decision for actually automating it, or having the Clerk closing a case. | 25/8/2016 |
| 11 | 28/07/2016 | Can the request for charging interest occur more than once? (loop required?)  (reference to E7 comment) | 18/8/2016: loop is required. It can be decided at different points in time to request for different single cases interest with a different interest rate. | 25/8/2016: keep the loop in this branch in the document. | 25/8/2016 |
| 12 | 28/07/2016 | Payment handling:  - occurs the payment/close notification in every subprocess, or can it be reverted to the main branch?  - is the payment of interest handled separately from the payment of single case(s)?  And is a loop required?  (reference to E7, E8, E9 comment) | 18/8/2016: the payment is handled per (group of) single case(s). standard: 1 payment Including the payment of the single case and optionally the requested interest.  A loop is required, when a payment is handled for a case, but it turns out that the amount is not sufficient, which might require an additional payment related to the case. | 25/8/2016: removed the payment information from branch 1. Kept the loop for the Payment steps U024-U025. | 25/8/2016 |
| 13 | 28/07/2016 | Propose to remove the previous branch 2b, as the process is written as a loop process.  Is this acceptable?  (reference to E12 comment) | 18/8/2016 – accepted | 25/8/2016: branch is removed. | 25/8/2016 |
| 14 | 28/07/2016 | Branch 3 – is step 9 ok to revert to?  - propose to remove the text which is included in the guideline, and rephrase to step to indicate what to do, as the advise is to use the H\_BUC\_01.  OK?  (reference E13 comment) | 18/8/2016 – agreed to remove branch 3 | 25/8/2016: branch is removed. | 25/8/2016 |
| 15 | 28/07/2016 | Invalidate bulk branches:  - BULK SEDs can be invalidated, but the only step still available will be the BUC Close.  Is this acceptable?  - For which SED invalidate is needed:  \*) Not on Acknowledge receipt documents U032, U033  \*) BULKs: U020 + U023 (+ U021) + U034 +U024 + U026  \*) On U025  \*) On U027  \*) Credit note SEDs  (reference E17, E18 comment) | 18/8/2016: It is accepted that U020 can be invalidated, with only remaining step after the invalidation, the close of the BUC. | 25/8/2016: Invalidate branches rewritten.  Review required from the AHG members. | 06/10/2016 |
| 16 | 28/07/2016 | To be discussed for which SED updates are required and at what point this can occur, once decided which SEDs are included.  (reference E21 comment) | 18/8/2016: update of SEDs is needed, also for BULK SEDs. | 25/8/2016: updated the update branches. For U023 no 'Update' possibility included as already 'invalidate' and loop available, and to not make it too complex.  Review required from the AHG members  30/09/2016: for Branch 19: should we make it possible for CP to update U023 before it receives new U029 and before it pays the single cases not contested in the original U023?  Or is it sufficient to that the CP can invalidate U023 and start / create a new one?  05/10/2016: it is preferred to include the update BUC for the U023 SED as well. | 06/10/2016 |
| 17 | 28/07/2016 | In the previous version of the document there was a misalignment for the Exception 1 – stating in the header Case owner versus in step 1 – triggering participant.  Can it be both parties: CO and CP?  (reference E22 comment) | 18/8/2016: Only the case owner can close the BUC | 25/8/2016: update the 'exception 1'. | 25/8/2016 |