

EESSI Business Use Case

APPROVED

*S\_BUC\_11*

*Urgent vitally necessary treatment – Request for authorisation in Member State of residence*





# Table of Contents

[Table of Contents 2](#_Toc493238640)

[1. Introduction 8](#_Toc493238641)

[1.1. Purpose 8](#_Toc493238642)

[1.2. Scope 8](#_Toc493238643)

[1.3. Definitions, Acronyms and Abbreviations 8](#_Toc493238644)

[1.4. References 9](#_Toc493238645)

[1.5. Overview 9](#_Toc493238646)

[2. Description 10](#_Toc493238647)

[2.1. Business Scenario 10](#_Toc493238648)

[2.2. Legal Base 10](#_Toc493238649)

[3. Actors & Roles 11](#_Toc493238650)

[4. Use Case 12](#_Toc493238651)

[4.1. RUP Table Representation 12](#_Toc493238652)

[4.2. Request – Reply SEDs 15](#_Toc493238653)

[4.3. Attachments allowed 15](#_Toc493238654)

[4.4. SED and Sub-process Versioning 16](#_Toc493238655)

[5. Business Processes 17](#_Toc493238656)

[5.1. Case Owner and Counterparty 17](#_Toc493238657)

[5.2. Sub Processes 18](#_Toc493238658)

[6. Appendices 19](#_Toc493238659)

[6.1. Issues 19](#_Toc493238660)

**Document Control Information**

|  |  |
| --- | --- |
| **Settings** | **Value** |
| **Document Title:** | **Business Use Case**  **S\_BUC\_11 Urgent vitally necessary treatment – Request for authorisation in Member State of residence** |
| **Project Title:** | **EESSI (Electronic Exchange of Social Security Information) Project** |
| **Document Author:** | **European Commission, DG EMPL F5** |
| **Project Owner:** | **European Commission, DG EMPL D2** |
| **Doc. Version:** | **V4.1.0** |
| **Sensitivity:** | **Public** |
| **Date:** | **08/08/2018** |

**Document history:**

The Document Author is authorised 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 | 10/01/2015 | Mirko Brusca |  |
| v0.2 | 03/08/2015 | Carine Molle | Editorial changes: remarks received from Chris SEGAERT.  Grammatical corrections (minor correction) based on feedback received from Alyson LONGSTAFF.  Minor changes :  - Chapter 3 : add 2 actor names  -> Role Triggering the Process  -> Other party(ies)  - Chapter 4 : Use Case  - 4.1 : RUP Table Representation  -> Reply to request : split in smaller tasks  -> Alternative scenarios : at [step 7] is replaced by between [step 7] and [step 8]  - 4.2 : RUP UC Diagram Representation  -> add an actor: Member State of Stay. |
| v0.3 | 06/11/2015 | Carine Molle | Major changes: the document has been updated based on the outcomes from the Sickness Ad Hoc Group Meeting of 4th November 2015.  If on the portable document S2, a box can be added to give the information about the competent Member State on whose behalf the Member State of residence gives the authorisation, this S\_BUC\_11 can be simplified.  Minor changes : typos improvements  Chapter 2 :  2.1 : Rephrasing last sentence of the paragraph  2.2 : No 883/994 has been changed by No 883/2004  Chapter 3: Claimant and Member State of Stay not necessary anymore.  Chapter 4: Use Case  Section 4.1: RUP Table Representation based on the recommendation of the AHG  Chapter 5:  Only one diagram for both Case Owner and Counterparty  5.3 Sub-Process  - BPMN for "Identify Participants" has been added |
| v0.4 | 25/11/2015 | Carine Molle | Update of the document based on remarks / comments and feedbacks received from AHG Members  - Grammatical changes  Chapter 2  Section 2.2: S075 and S076 will be exchanged between Competent MS and MS of Residence  Chapter 4:  - Step 8 has been added  - Alternative Scenario is still there in order to request additional information (exchange of S075 and S076)  - SR1 has been added for Branch 1  Chapter 5:  - Exchange of S075 and S076 added from Counterparty side  - Section 5.1: Request for Additional Information Sub-Process is added  Update of the document to be in line with the content and layout for approval by AC.  Section 2.1: Reference to the previously defined flow has been removed  Section 2.2: Reference to the version of SED has been removed  Section 4.2: Request – Reply SEDs added  Section 4.3: Attachments allowed added  Section 4.5: SED and Sub-process Versioning added  Section 5.2: removed  Section 6.2: removed and replaced by section 4.5 |
| v0.5 | 15/12/2015 | Carine Molle | Document updated based on last feedback received from AHG Members.  Reference to Member State of Stay is removed. The exchange of information is only between competent Member State and Member State of residence.  Section 4.1 RUP Table Representation  Branch 2 – Forward is added |
| v0.5.1 | 18/01/2016 | Carine Molle | Document has been updated with remarks and comments received from Belgium.  Comments previously written in the document have been removed.  Section 4.1 RUP Table Description  A row with "Exceptions" has been added.  Section 6.1: Issues  Issue number 5 has been updated with the comment received from Belgium and has been closed.  Version number of the document has been changed to be in line with the convention M.m.p where:  - M = Major version (e.g. Approved by AC)  - m = Minor version (e.g. changes in the process)  - p = Patch version (e.g. wording…any changes without any impact on the process itself) |
| v0.6.0 | 21/06/2016 | Valérie Banchereau | Alignment to the standard description and layout of the BUC. |
| v0.6.1 | 17/08/2016 | Carine Molle | Comments received from AC have been implemented. |
| v0.99.0 | 21/09/2016 | Carine Molle | Candidate for AC approval.  Remaining AC comments will be discussed during the AHG meeting the 4th October 2016.  More details related to these comments can be found in section 6.1 of this document |
| v0.99.1 | 23/11/2016 | Carine Molle | Last comments received from Germany and agreed by AHG members have been accepted in the document.  As agreed by AHG members  "Reminder" has been added for Case Owner and Counterparty.  "H\_BUC\_01" is added for the Case Owner  "H\_BUC\_08" is added for the Counterparty and replaces S075 and S076  Section 4.1 has been updated (Branch 4 and 5 added)  Section 4.4 has been updated (Reminder is added)  Section 4.5 SED and Sub-process Versioning (Reminder, H\_BUC\_01 and H\_BUC\_08 are added)  (S075 and S076 are removed)  **Submitted for AC Approval** |
| v1.0.0 | 15/12/2016 | Heidi Warson | AC Approved Version |
| v1.0.1 | 30/06/2017 | Joël Fiora | -Included BPMN picture in section 5  -Correction in the horizontal Sub-process table in section 4.5  - removed Use Case diagram |
| v1.0.2 | 09/02/2018 | Joël Fiora | - Section 4.1: as requested by the AHG, removed the references to the fields or sections of the SEDs |
| v4.1.0 | 09/08/2018 | Eric Briffoz | - 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 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 any 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, and business processes.

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 of the Sickness´ sector process concerning Urgent vitally necessary treatment – Request for authorisation in Member State of residence. The different elements like use case description, business actors, and business process as well as supporting UML diagrams and BPMN models pertaining to Urgent vitally necessary treatment – Request for authorisation in Member State of residence case.

## 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](../../../../../../../../../../../../../../../../../../../../../../../../../../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

Chapter 1 introduces the external view on the business system under review and lists the elements of this specification.

Chapter 2 introduces the Urgent vitally necessary treatment – Request for authorisation in Member State of residence business process. This 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 Urgent vitally necessary treatment – Request for authorisation in the Member State of residence business process.

Chapter 4 describes in detail the Urgent vitally necessary treatment – Request for authorisation in Member State of residence business process based on the RUP use case template, as well as the relationship to other use cases.

Chapter 5 describes the Urgent vitally necessary treatment – Request for authorisation in Member State of residence business process using business process modelling notation (BPMN).

# Description

## Business Scenario

This BUC allows the institution of the Member State of residence to inform the competent institution that it has issued, on its behalf, an authorisation for a treatment outside the Member State of residence on the basis that the insured person was in need of an urgent vitally necessary treatment.

The competent institution then acknowledges to the institution of the Member State of residence the receipt of the information of the granting of the authorisation, and informs the institution of the Member State of stay, where the urgent vitally necessary treatment is provided, that the claim for reimbursement can be sent directly to the competent institution.

The flow also allows the competent institution to request additional information from the institution of the Member State of residence at any time during the procedure of granting the authorisation.

## 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 SED that are used in this Business Use Case and documents the articles that provide the legal basis for each SED.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **SED** | **Basic Reg (883/04)** | | **Implementing Reg (987/09)** | |
| 20 | 27(3) | **26 (3)** | **26 (4)** |
| S011 | **✓** | **✓** | **✓** | **✓** |
| S012 | **✓** | **✓** | **✓** | **✓** |

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*** | In this BUC the Case Owner is Institution of the Member State of Residence which informs the Competent Member State that it has issued on its behalf an authorization for a treatment outside the Member State of Residence for an insured person who was in need of an urgent vitally necessary treatment |
| ***Counterparty*** | In this BUC The Counterparty is the Institution of the competent Member State entitled to grant an authorization to receive an appropriate treatment. |

Table 2: Actors & Roles

# Use Case

## RUP Table Representation

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Use Case ID:** | **S\_BUC\_11** | | | |
| **Use Case Name:** | Urgent vitally necessary treatment – Request for authorisation in Member State of residence | | | |
| **Created By:** | Mirko Brusca | | **Last Updated By:** | Carine Molle |
| **Date Created:** | 10/01/2015 | | **Last Revision Date:** | 23/11/2016 |
| **Actors:** | | Case Owner  Counterparty | | |
| **Description:** | | This flow allows the institution of the Member State of Residence to inform the competent institution that it has issued, on its behalf, an authorisation for a treatment outside the Member State of Residence on the basis that the insured person was in need of an urgent vitally necessary treatment.  The competent institution then acknowledges to the institution of the Member State of Residence the receipt of the information of the granting of the authorisation.  The flow also allows the competent institution to request additional information from the Member State of Residence. | | |
| **Trigger:** | | An insured person who does not reside in the competent Member State applies for an authorisation (portable document S2) to receive an appropriate (scheduled) treatment outside the Member State of Residence. | | |
| **Preconditions:** | | The Member State of Stay where the insured person must receive the treatment is neither the Member State of Residence nor the Competent Member State;  Portable S2 has been completed with the information of the Competent Member State on whose behalf the prior authorisation has been issued by the Member State of Residence. The insured person has received the portable document. | | |
| **Post conditions:** | | The competent institution sends to the Member State of Residence the acknowledgment for the granting of the authorisation. | | |
| **Main Scenario:** | | **Identify Participants**   1. The Case Owner (Institution of Member State of Residence) identifies the Competent Member State entitled to issue the authorisation; 2. The Case Owner then identifies the correct institution in the Competent Member State. There will be only one Counterparty. The Case Owner and the Counterparty are herein collectively referred to as the Participants.   **Request for entitlement document**   1. The Case Owner fills in the "Information on urgent vitally necessary treatment – outside Member State of Residence" (S011) entering relevant information and enclosing attachments (i.e. start and end date as it appears on the prior authorisation, ); 2. The Case Owner sends the S011 to the Counterparty.   **Reply to the request**   1. The Counterparty receives the Information on urgent vitally necessary treatment (S011); 2. The Counterparty fills in an "Acknowledgement of receipt – Information on authorisation for urgent vitally necessary treatment" (S012); 3. The Counterparty sends the S012 to the Case Owner; 4. The Case Owner receives the S012; 5. This use case ends here. | | |
| **Alternative Scenarios:** | | ***The Following Branches Determine the use of Horizontally Defined Sub Processes within the Business Process*** | | |
| 1. ***At any step after [step 7] the Counterparty may optionally choose to request medical information from Case Owner*** 2. The Counterparty executes business use case ***H\_BUC\_08 – Medical Information*** 3. [This Branch] Ends. | | |
| 1. ***At any step after [step 8] the Case Owner may optionally choose to request AdHoc Information from Counterparty*** 2. The Case Owner executes business use case ***H\_BUC\_01 – Adhoc Exchange of Info;*** 3. [This Branch] Ends. | | |
| ***The Following Branches Determine the use of Administrative Defined Sub Processes within the Business Process*** | | |
| 1. ***At any step after [step 5] the Counterparty may optionally choose to Forward this Business Process to another Institution within its MS who assumes responsibility for changing it*** 2. The Counterparty executes business use case ***AD\_BUC\_05 – Forward Case;*** 3. [This Branch] Ends. | | |
|  | | 1. ***after Branch 1 [step 1] Counterparty may optionally choose to send a reminder in order to receive the Information expected and not yet received*** 2. The Counterparty executes business use case ***AD\_BUC\_07 -*\_*Reminder;*** 3. [This Branch] Ends | | |
|  | | 1. ***At any step after [step 4] Case Owner may optionally choose to send a reminder in order to receive Information expected and not yet received.*** 2. The Case Owner executes business use case ***AD\_BUC\_07*\_ *-*\_*Reminder;*** 3. [This Branch] Ends | | |
| **Exceptions:** | | None | | |
| **Includes:** | | See diagram at part 4.4 | | |
| **Special Requirements:** | | **SR0**: General Rule  As the request is individualized the case can concern only one person.  **SR1**: Rules about invoking of Branches  [Branch 1] – May be invoked more than once  [Branch 2] – May be invoked more than once  [Branch 3] – May be invoked once when the first SED is received by ounterparty and before sending the answer  [Branch 4] – May be invoked more than once.  [Branch 5] – May be invoked more than once | | |
| **Assumptions:** | |  | | |
| **Notes and Issues:** | |  | | |

## Request – Reply SEDs

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

| **REQUEST SED** | **REPLY SED(s)** |
| --- | --- |
| S011 | S012 |

## Attachments allowed

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

| **SED** | **Attachments** |
| --- | --- |
| **S011** | Allowed |
| **S012** | Not allowed |

## Artefacts used

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

| **Artefact name** | **Artefact type** |
| --- | --- |
| **S011** | SED |
| **S012** | SED |
| **H\_BUC\_01\_Subprocess** | BUC |
| **H\_BUC\_08\_Subprocess** | BUC |
| **AD\_BUC\_05\_Subprocess – Forward Case** | BUC |
| **AD\_BUC\_07\_Subprocess – Reminder** | 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 Urgent vitally necessary treatment – Request for authorisation in Member State of residence using BPMN 2.0.

## Case Owner and Counterparty



*Figure 2: depicts the use case from Case Owner and Counterparty point of view, from a high level.*

## Sub Processes

Not applicable.

# Appendices

## Issues

| **#** | **Issue date** | **Description** | **Replies** | **Action/Resolution** | **Close date** |
| --- | --- | --- | --- | --- | --- |
| 1 | 21/01/2015 | Despite the Diagram in the Guideline shows that the S013 is sent from the competent Member State to both the Member State of Residence and Stay, in the written description is mentioned that the S013 should be sent only to the Member State of Stay. | [13/03/2015] UK: SO13 should be sent to both Member States. The MS of Stay needs to know who they have to bill, the MS of Residence needs to know they are not going to be billed and the Competent Institution need to know what to pay the MS of Stay.  [18/03/2015] BE: the SED S013 is to be sent to  1.the MS of Stay to inform it to whom it has to send the claim, and to  2. the MS of Residence to inform it that the competent MS has taken the necessary steps to notify the MS of stay to whom the claim should be sent. | Model the double sent. | 18/03/2015 |
| 2 | 21/01/2015 | The Diagram in the Guideline shows that the S013 might be sent before the S012. The analysis of the text shows that the sequence is strict and that S012 must be sent before the S013. | No inquiries | Model the BUC enforcing the S012 to be sent before the S013. | 21/01/2015 |
| 3 | 04/11/2015 | Outcome of the Sickness AdHoc Group Meeting, the process can be simplified.  This simplification is based on the hypothesis that the portable document S2 is changed by adding a new section with the information about the competent Member State on whose behalf the S2 has been issued. | If portable document is changed.  Only S011 and S012 are parts of the flows.  No need to send a S013.  Furthermore, these kind of cases are so rare, that requesting additional information with S075 and S076 are not needed. |  |  |
| 4 | 06/11/2015 | **Comment from Belgium**  Requesting additional information with S075 – S076 only to be kept between competent MS and MS of residence |  | These SEDs are kept within this BUC. They could be replaced later by the Horizontal sub-process focused on medical report. | 16/12/2015 |
| 5 | 16/12/2015 | Section 4.5 : SED and Sub-process versioning  Is it needed to use this H\_BUC\_01 while there is a specific Sickness sub-process to request additional info ? | BE prefers to use the specific Sickness sub-processes, if existing, rather than Horizontal sub-processes. | H\_BUC\_01 is not used in this BUC | 18/01/2016 |
| 6 | 21/06/2016 | Conversion of the BPMN diagram to split between Case Owner and Counterparty. |  | Scheduled for update. |  |
| 7 | 21/09/2016 | Does the precondition from S\_BUC\_08 also apply here? For a country such as the UK, we will already be receiving an average cost payment from the competent member state per annum. If we follow this BUC in order to issue authorisation for treatment outside of the UK on behalf of another member state, then the competent member state will in effect be paying twice, once to the UK for the person concerned under average cost and secondly to the member state who provided the treatment.  The only difference we can see between S\_BUC\_08 and S\_BUC\_11 is that in S\_BUC\_11 there is no time to ask the competent member state for authorisation so the member state of residence issues said authorisation on their behalf. Both scnearios involve the issuing of S2, however one is pre-planned as there is time to do so and the other is urgently vitally neccessary. | This comment will be discussed during the AHG meeting the 4th October 2016. | AHG members agreed while S\_BUC\_08 is the prior authorisation for the planned treatment.  The precondition in the new version of the document has been updated and contains the precondition of the S\_BUC\_08.  We have to inform you, that this version of the S\_BUC\_11 assumes that the portable document S2 has been updated and changed as adviced and proposed by AHG members. | 23/11/2016 |
| 8 | 23/11/2016 | BPMN diagrams will be updated.  "S075 and S076" will be replaced by the sub-process H\_BUC\_08.  "Reminder" will be added for Case Owner and Counterparty.  "H\_BUC\_01" will be added for Case Owner |  | Scheduled for update. |  |