



APPROVED

International Process Guidelines

Accidents at Work and Occupational Diseases

AW_BUC_04a

Authorisation to receive scheduled treatment in a Member State other than the Competent Member State and the Member State of Residence

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Document history:

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| V4.1.0 | 04/06/2018 | Secretariat | On request of AHG: Patch applied: step CP.3 action when CP is not responsible for the Case (JIRA EESSIDEV-12794) + Adaptation for version 4.1.0 |

AW_BUC_04a – Authorisation to receive scheduled treatment in a Member State other than the Competent Member State and the Member State of Residence

Description: This case deals with situation when an insured person who resides outside the competent Member State and needs to receive a scheduled treatment in relation to an accident at work or an occupational disease outside the Member State of Residence.

The institution in the Member State of Residence forwards the person's request to the institution in the competent Member State for a confirmation of the person's right to scheduled treatment in a Member State other than the competent Member State and the Member State of Residence.

The institution in the Member State of Residence is obliged to certify in a statement that the person can / cannot be treated within a medically justifiable time limit in the Member State of Residence.

The institution in the competent Member State sends its decision about the approval or refusal for the scheduled treatment outside the Member State of residence and the competent Member State. Portable document attached to the approval is the basis for future request for reimbursement from the competent Member State for scheduled treatment provided outside the Member State of Residence.

Legal base: The legal basis of the AW_BUC_04a lies in Regulation No 883/2004 and in the Implementing Regulation No 987/2009. The following table specifies SEDs used in this BUC and documents the articles that provide the legal basis for each SED:

| SED | Basic Regulation (883/04) | | Implementing Regulation (987/09) | | |
|--|---------------------------|----|----------------------------------|-------|-------|
| | 20 | 36 | 26(2) | 33(1) | 33(2) |
| DA006 - Transmission of Request for Authorisation to receive scheduled treatment in a Member State other than the Competent Member State and the Member State of Residence | ✓ | ✓ | ✓ | ✓ | ✓ |
| DA007 - Authorisation to receive scheduled treatment in a Member State other than the competent Member State and the Member State of Residence | ✓ | ✓ | ✓ | ✓ | ✓ |

Request-reply SEDs:

| REQUEST SED | REPLY SED(s) |
|--|--|
| DA006 - Transmission of Request for Authorisation to receive scheduled treatment in a Member State other than the Competent Member State and the Member State of Residence | DA007 - Authorisation to receive scheduled treatment in a Member State other than the competent Member State and the Member State of Residence |

Glossary of relevant terms used in AW_BUC_04a:

| Term used | Description |
|---------------------|---|
| Case Owner | In this BUC the Case Owner is the institution in the Member State of Residence which forwards the request for authorisation to the institution in the Competent Member State and receives the decision. |
| Counterparty | In this BUC the Counterparty is the institution of Competent Member State for the insured person. This institution can accept or refuse to grant the requested authorisation. |

How to start this BUC?

In order to help you understand the AW_BUC_04a we have created a set of questions that will guide you through the main scenario of the process as well as possible sub-scenarios or options available at each step along the way. Ask yourself each question and click on one of the hyperlinks that will guide you to the answer. You will notice that in some of the steps where it is allowed to use the additional horizontal and administrative sub-processes they will be listed under the step description.

What is my role in the social security exchange of information I have to complete?

If you are the Institution in the Member State of Residence which forwards the request for authorisation to receive a scheduled treatment in relation to an accident at work or an occupational disease outside the Member State of Residence your role will be defined as the **Case Owner**.

[I am the Case Owner](#).(step CO.1)

If you are the Institution that receives a request for authorisation to receive a scheduled treatment in relation to an accident at work or an occupational disease outside the Member State of Residence your role will be defined as the **Counterparty**.

[I am the Counterparty](#).(step CP.1)

CO.1 Who do I need to exchange information with?

As the Case Owner, your first step will be to identify the Counterparty by identifying the responsible Member State that you need to exchange information with. Then you have to identify the relevant Competent Institution in the Member State that is responsible for the information you wish to exchange. The institution can be chosen only among the institutions responsible for the accident at work and occupational disease sector. It is not possible to choose more than one institution. This activity will define the Counterparty you will be working with in the exchange of information.

[I need to identify the Counterparty](#). (step CO.2)

[I have identified the Counterparty I need to contact](#).(step CO.3)

CO.2 How do I identify the correct institution to exchange information with?

In order to determine the relevant Competent Institution from other Member State you will need to consult the Institution Repository (IR). The IR provides an electronic record of all current and previous Competent Institutions and Liaison Bodies that have been responsible for the cross border coordination of social security information for each of the relevant Member States.

Please note that the Liaison Body should be chosen only if it is impossible to identify the correct Competent Institution in the respective Member State or if the case is handled by the Liaison Body.

To access the IR please use the following [link](#).

[I have now identified the Competent Institution from the Member State I need to contact](#). (step CO.3)

CO.3 How do I send the SED 'Transmission of Request for Authorisation to receive scheduled treatment in a Member State other than the Competent Member State and the Member State of Residence' DA006?

Fill out the 'Transmission of Request for Authorisation to receive scheduled treatment in a Member State other than the Competent Member State and the Member State of Residence' [SED DA006](#) by entering all the required information. Afterwards, you send the SED DA006 to the Counterparty. As the request is individualized the case can concern only one person.

The [SED DA006](#) is a request from an insured person residing outside of the competent Member State to receive authorisation for scheduled treatment which is being forwarded by the institution in the Member State of Residence.

The request for scheduled treatment on [SED DA006](#) applies only for the benefits in kind related to an accident at work or an occupational disease.

The institution of the place of Residence which forwards the request on [SED DA006](#) is **obliged to certify in a statement that the person can / cannot be treated within a medically justifiable time limit in the Member State of Residence**, as it is a basis for granting the authorisation.

You may optionally attach a Medical Report to [SED DA006](#)

As an answer, you should receive the 'Authorisation to receive scheduled treatment in a Member State other than the competent Member State and the Member State of Residence' [SED DA007](#) from the Counterparty.

[I have received the SED DA007 from the Counterparty.](#) (step CO.4)

[What should I do when it turns out that I must invalidate the request 'Transmission of Request for Authorisation to receive scheduled treatment in a Member State other than the Competent Member State and the Member State of Residence' SED DA006?](#) (step CO.5)

Sub-process steps available to the Case Owner at this stage:

[I want to send a Reminder for the return of information I am expecting \(AD BUC 07\)](#)

CO.4 What should I do if I have received the 'Authorisation to receive scheduled treatment in a Member State other than the competent Member State and the Member State of Residence' SED DA007?

You have received the 'Authorisation to receive scheduled treatment in a Member State other than the competent Member State and the Member State of Residence' [SED DA007](#), this SED may provide either an **approval** or a **refusal** from the competent Member State for scheduled treatment.

You must inform the claimant about the decision of the institution in the competent Member State. The portable document [PD DA1](#), if authorization is granted, will be issued by the institution in the competent Member State and a copy will be attached to the DA007.

If the DA007 was sent with the **approval**, the portable document will be the basis for the future request for reimbursement from the competent Member State for the scheduled treatment provided outside the Member State of Residence. The request for reimbursement of scheduled treatment should be done by the institution in the Member State in which the treatment was provided.

The Business Use Case ends here.

Sub-process steps available to the Case Owner at this stage:

[I want to exchange Ad Hoc information not covered by the main process \(H BUC 01\)](#)

[I want to send a Reminder for the return of information I am expecting \(AD BUC 07\)](#)

[I want to Clarify the Content of a received SED \(AD BUC 08\)](#)

CO.5 What should I do when it turns out that I must invalidate the request 'Transmission of Request for Authorisation to receive scheduled treatment in a Member State other than the Competent Member State and the Member State of Residence' SED DA006?

You may optionally choose to invalidate the request you have sent when issuing [SED DA006](#) however this must be done before the Counterparty replies on [SED DA007](#).

[I want to invalidate a sent SED \(AD BUC 06\)](#)

Once the [SED DA006](#) has been invalidated, you may optionally choose to send a new [SED DA006](#)

[Send another 'Transmission of Request for Authorisation to receive scheduled treatment in a Member State other than the Competent Member State and the Member State of Residence' DA006.](#)(step CO.3)

CP.1 What should I do if I received a 'Transmission of Request for Authorisation to receive scheduled treatment in a Member State other than the Competent Member State and the Member State of Residence' DA006?

The process is initiated by receiving the 'Transmission of Request for Authorisation to receive scheduled treatment in a Member State other than the Competent Member State and the Member State of Residence' [SED DA006](#) from the Case Owner.

The [SED DA006](#) is a request to your institution from an insured person residing outside of the competent Member State to receive authorization for scheduled treatment forwarded by the Member State of Residence.

First, you check if you are responsible for the business process in accordance with your national procedures.

[I am responsible for the business process.](#) (step CP.2)

[I am not responsible for the business process.](#) (step CP.3)

CP.2 What should I do if I am responsible for the business process?

I have received the 'Transmission of Request for Authorisation to receive scheduled treatment in a Member State other than the Competent Member State and the Member State of Residence' [SED DA006](#) from the Case Owner and I am responsible for the business process.

You have to fill out the 'Authorisation to receive scheduled treatment in a Member State other than the competent Member State and the Member State of Residence' [SED DA007](#), where you must describe the treatment and provide either an **approval** or a **refusal** for scheduled treatment.

You send the [SED DA007](#) as a reply to the Case Owner. Usually, the Business Use Case ends here.

If you are the Competent Institution and you have chosen to approve the treatment you must also issue portable document [PD DA1](#) to the citizen and attached copy of the document to the DA007.

In some cases it may turn out later that you need to update the information you provided on [SED DA007](#)

[I want to Update information contained in a sent SED \(AD_BUC_10\)](#)

Sub-process steps available to the Counterparty at this stage:

[I want to exchange Ad Hoc information not covered by the main process \(H_BUC_01\)](#)

[I want to send a Reminder for the return of information I am expecting \(AD_BUC_07\)](#)

[I want to Clarify the Content of a received SED \(AD_BUC_08\)](#)

CP.3 What should I do if I am not responsible for the business process?

If you are not responsible for the reply but another institution in your country is, you forward the case to the competent Institution in your Member State using the 'Forward Case' sub-process [AD_BUC_05](#). This can be used only once and it interrupts the main process.

If you are not responsible to reply and you cannot forward the request to the competent institution in your Member State you should reply on DA007 and refuse to grant the authorisation with reason "Other": "We are not competent to reply" or "Case sent mistakenly"

BPMN diagram for AW_BUC_04a

Click [here](#) to open the BPMN diagram(s) for AW_BUC_04a.

Structured Electronic Documents (SEDs) used in the process

The following SEDs are used in AW_BUC_04a:

- [SED DA006 - Transmission of Request for Authorisation to receive scheduled treatment in a Member State other than the Competent Member State and the Member State of Residence'](#)
- [SED DA007 - Authorisation to receive scheduled treatment in a Member State other than the competent Member State and the Member State of Residence'](#)

Portable Documents

The following Portable Document is used in AW_BUC_04a:

- [DA1 – Entitlement to health care cover under insurance against accidents at work and occupational diseases](#)

Horizontal sub-processes

The following horizontal sub-process is used in AW_BUC_04a:

- [H_BUC_01 Subprocess: Ad hoc exchange of information](#)

Administrative sub-processes

The following administrative sub-processes are used in AW_BUC_04a:

- [AD_BUC_05 Subprocess – Forward Case](#)
- [AD_BUC_06 Subprocess – Invalidate SED](#)
- [AD_BUC_07 Subprocess - Reminder](#)
- [AD_BUC_08 Subprocess – Clarify Content](#)

The following sub-processes are used for the handling of exceptional business scenarios that arise due to the exchange of social security information in an electronic environment and can be used at any point in the process:

- [AD_BUC_11 Subprocess – Business Exception](#)
- [AD_BUC_12 Subprocess – Change of Participant](#)