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Electronic Exchange of Social Security Information EESSI

ESP V10.2

(ESP Portal 10.2.0-RC2.1)

End User Manuals & Guides

User Manual

Table of Contents

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1 Introduction

1.1 Purpose and Audience of this Manual

This document serves as a reference manual and user guidance for EESSI Swiss Portal (ESP). It is meant both as an introduction to the application for users who are new to ESP, and as a comprehensive reference document to look up details for specific functions for users already familiar with the system.

This document is meant for all users from the social security sector that actively work with ESP, including clerks, users having supervisory functions, and more specific business roles such as auditors. It does not cover the perspective of an IT administrator and does not detail how an ESP instance can be configured locally or adapted to the needs of a specific institution. To learn more about ESP configuration, please refer to the separate documentation for ESP administrators.

1.2 About ESP Application

EESSI Swiss Portal (ESP) is a web-based software application for the electronic management and exchange of social security cases across competent institutions of the participant countries. ESP is developed by the Directorate- General for Employment, Social Affairs and Inclusion (DG EMPL) and evolved out of the EESSI (*Electronic Exchange of Social Security Information*) project. It fulfils the business needs – the so-called business layer requirements – for national institutions participating in the EESSI cross-border message exchange. The application supports the complete range of business use cases concerning the exchange of social security data. Additionally, it provides helpful tools for the management of cases and the optimisation of internal workflows, for example by case assignment tools.

1.3 About EESSI

The free movement of people is a fundamental right in Europe. Citizens of the European Union can freely travel to other countries in the EU/EFTA space and take up residence and employment there. Modern social security systems need to reflect this mobility and make sure that citizens enjoy full access to social security in cross-border settings as well.

For this reason, the European social security coordination regulations provide clear rules for transnational social security cases. Implementing these rules in practice requires a lot of communication between social security institutions in the participant countries. So far, this communication is still mainly performed through the exchange of paper-based forms, which is very slow, expensive, and error-prone.

The new European system for the Electronic Exchange of Social Security Information will improve this situation by allowing a direct, reliable and confidential communication between social security institutions. Exchanges will become faster; receiving institutions will no longer have to deal with illegible, erroneous or incomplete forms and citizens will ultimately benefit from a faster and even more reliable calculation of their benefits.

1.4 EESSI Infrastructure

To achieve an electronic exchange between all competent social security institutions in Europe, a well-organised interplay between national components and centralised infrastructure is necessary. Individual users will access the system either through ESP, the reference application detailed in this guide, or through a dedicated national application available in their competent institutions. Messages sent through this system are transferred to a national Access Point (AP), which communicates with the relevant Access Points in the receiving countries. From there, messages are forwarded to the individual social security institutions in these countries. A centralised infrastructure provided by the European Commission, the Central Service Node (CSN), regularly provides all Access Points with the necessary information they need to fulfil this routing function.

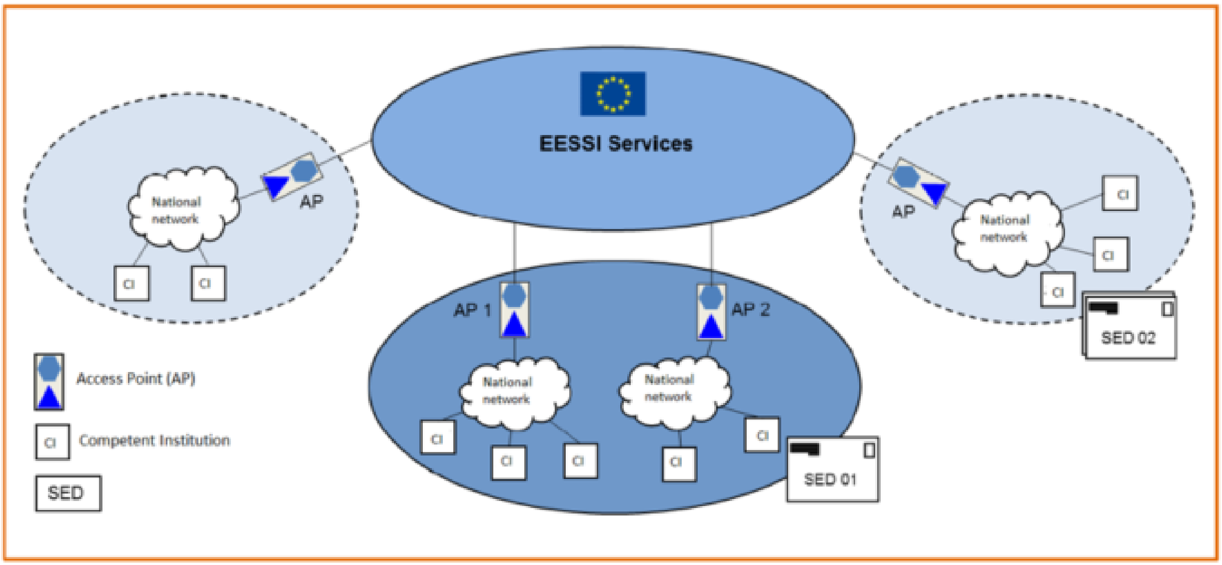


Figure 1: EESSI architecture simplified

1.5 Structured Electronic Documents (SEDs)

The individual messages, that need to be exchanged, have been harmonised in close cooperation with the participant country social security experts and generally take the form of a Structured Electronic Document (SED). SEDs have been optimised to allow for as much automated pre-processing as possible in order to automatically identify a large set of possible errors or omissions prior to sending (thereby reducing the need to exchange corrections back and forth) and to faithfully reflect the applicable legal standards (cf. section 7.11.6 for more details). Because SED versions will be available in all official languages of the European Union countries, every institution can also use its own language version to facilitate access to the documents.

Structured Electronic Documents are the successor of E-Forms, the existing set of harmonised documents already used in many social security exchanges. SEDs, however, have been optimised to take full advantage of the additional possibilities (such as automated error detection) offered by an electronic system.

1.6 Business Use Cases (BUCs)

The processes needed to resolve cross-border social security cases have been standardised across the participant countries. Thus, for every type of cross-border social security issue, the corresponding Business Use Case (BUC) describes exactly which messages should be exchanged and in which sequence in order to have a successfully resolved case. In ESP, every case is assigned to a specific case type corresponding to one of these BUCs so that the application can automatically provide guidance on the appropriate sequence of SEDs to be exchanged.

2 Document Overview

The structure of this document closely follows the structure of the ESP software:

- The initial sections (1 & 2) provide some necessary context to understand the basic building blocks of the EESSI system, including the key concepts of Business Use Cases (BUCs) and Structured Electronic Documents (SEDs).
- Section 3 gives an overview about the structure of ESP and explains crosscutting elements of the user interface that are available from any point in the application.
- Section 4 details the role model underlying ESP, which is crucial for determining each user's access rights within the system.
- Section 5 explains how to search for cases using the different search functionalities within ESP.
- Section 6 explains how to search for Institutions (counterparties) using the Institution search functionality within ESP.
- Section 7 explains how to actually work with specific cases and exchange cross- border social security information through the application.
- Section 8 details how notifications can be used to keep track of relevant changes and new information.
- Section 9 introduce the ESP supporting feature related to Case Management Scheduling Calendar.
- Section 10 provides detailed description of the required steps in ESP in order to complete specific tasks (i.e. Open a Case, Forward a Case, etc.).

3 General Functionality

The functionality provided by ESP can be grouped into four key modules:

- The case search module provides the means to identify, access and manage specific cases of cross-border social security exchanges (cf. section 5).
- The case management module allows the exchange of social security information with other institutions in parallel to other actions within individual cases as defined per dedicated processes (cf. section 7).
- The notifications module manages all events within the system that can be relevant for the user and allows keeping track of any relevant changes on existing or new information (cf. section 8).

Moreover, certain key elements of the application in the navigation bar and the case creation bar are available to the user at all times. These elements are explained in the following section.

3.1 User Login and Logout

To start ESP, the user opens a Web browser and types in the ESP application URL of the associated institution. The ESP administrator should supply the relevant ESP URL address and the appropriate usernames/passwords.

If user types in a valid URL, the "ESP Home Page" opens (see Figure 2) and the user can proceed to "ESP login Page" by selecting [

].

"ESP Login Page" opens (see Figure 3) and user can type in the Username and the Password.

After clicking LOGIN, the user will be directed to the ESP application. If the user does not have an account or the password is forgotten, the user should contact to own local ESP administrator for help.

If the URL connection is not secured, a notification is given in order to inform the user accordingly (Figure 3).

Figure 2: ESP Application Home Page

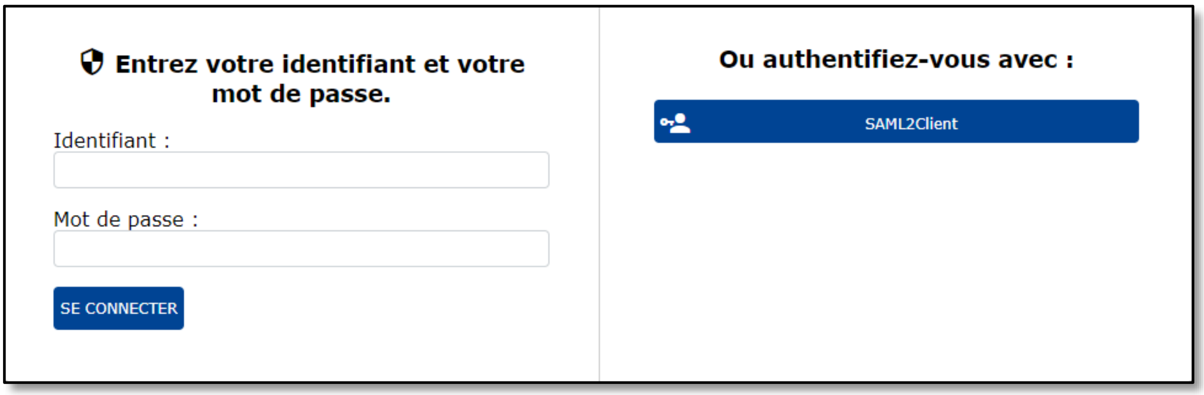


Figure 3: ESP Login Page

The actions available to users in ESP may vary according to their role in the ESP system (cf. section 4), which is linked to their user profile. If a user has special privileges in the system (e.g. administrator rights), depending on its institution's local regulations, it may be provided with multiple user accounts so that user only logs in with special prerogatives for those specific actions where they are truly needed.

> *Please note that currently ESP Portal was tested using Microsoft Edge v138+) and Mozilla Firefox ESR 128+ (v128.11.0esr). It is therefore recommended to use Microsoft Edge or Mozilla Firefox in full screen by ESP Portal users. The recommended total zoom (browser x screen) is 100% for screen resolution of 1024 x 768. The total zoom can be extended to 150% at a screen resolution of 1920 x 1080.*

To close ESP, use the LOGOUT button in the upper right corner of the application (see Figure 4). Simply closing the browser window or browser tab without disconnecting is dangerous because it might enable an abuse of the user's account.

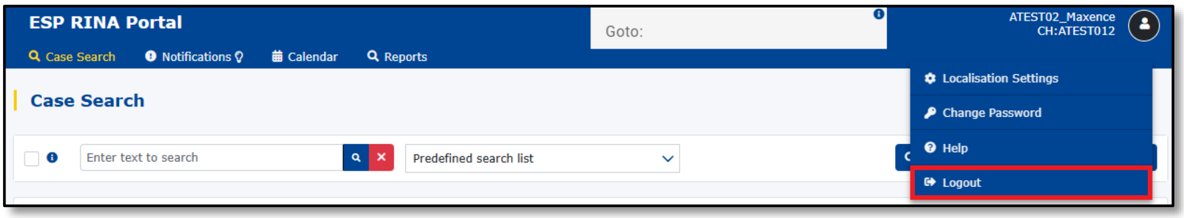


Figure 4: Disconnecting ESP account

3.2 General Layout and Navigation

Once a user has successfully logged in, the ESP application navigates the user to the home screen, which follows a certain basic structure throughout the application (see Figure 5).

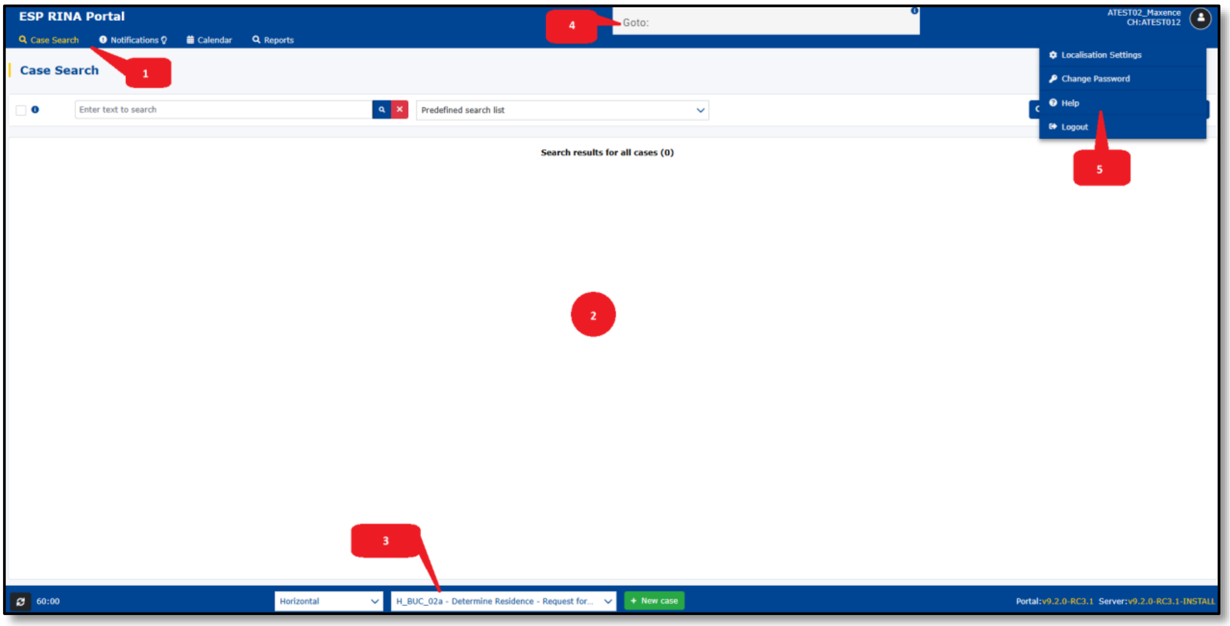


Figure 5: ESP home screen

The ESP screen layout consists of five main parts:

1

MAIN MENU

The main menu is a fixed UI element at the top of the application. It contains the following navigation items, which are described in detail in separate sections.

NAVIGATION ITEM	SECTION
CASE SEARCH	Section 5
CASE MANAGEMENT *(ONLY VISIBLE AFTER OPENING/CREATING A CASE)*	Section 7
NOTIFICATIONS	Section 8
CALENDAR	Section 9
REPORTS	Section 10

2

WORKSPACE

The workspace corresponds to a virtual desk. It is a dynamic view where the actual content depends on the selected main menu item. Clicking one of the following menu items triggers a navigation change towards the relevant workspace sections: CASE SEARCH, CASE MANAGEMENT, NOTIFICATIONS and CALENDAR. Figure 5 shows the workspace CASE SEARCH.

3	CASE CREATION BAR The Case Creation Bar is always visible at the bottom of the application and allows the user to initiate new cases (cf. section 7.4).
4	GOTO SEARCH The GoTo Search is a fixed element located at the top right hand of the application, being visible and functional in every workspace. This allows the user to perform a search from anywhere and be able to directly access one of the cases corresponding to the search by clicking on the desired result. *See **GoTo Search** Figure 6.*
5	USER/CLERK MENU (USERNAME – INSTITUTION) The USERNAME and the Institution code is shown and in the case this link is selected the following options are presented: Localisation Settings, Change Password, Help and Logout

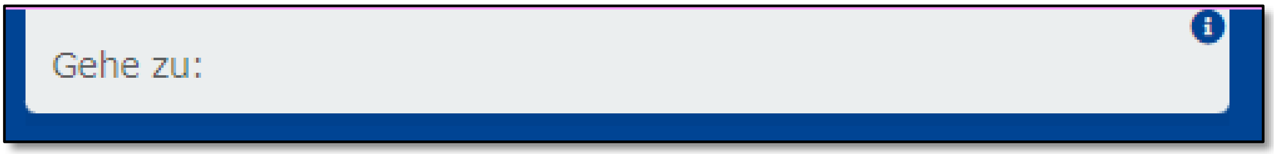


Figure 6: GoTo Search

3.3 User Menu (Username – Institution)

To access the User menu the user should click on the "username/institution" (or Account icon) selection at the top right part of the Main Menu (ClerkPortalUser/CH:9TestA01 in the example figure below – see Figure 7). After clicking on the selection, a dropdown menu is shown with the following options a detailed description of which is given in the following sections from 3.3.1 to 3.3.4):

- Localisation Settings
- Change Password
- Help
- Logout

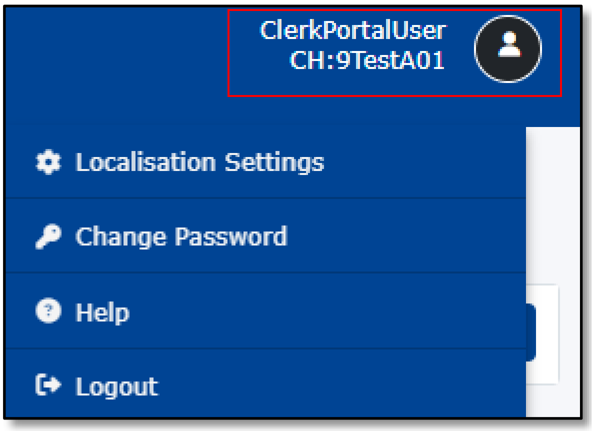


Figure 7: User/Clerk menu (Username - Institution)

3.3.1 User Localisation Settings

After successful login action, the user will have the opportunity to set up localisation settings (language, number format, data format, time format, currency or time zone). To set the localisation settings, the user should click on the *"Localisation Settings"* selection of the User Menu (see Figure 8). When done, the user should click on the SAVE link to save the changes or the BACK link to discard the changes.

The list of time zones contains the following entries:

- (UTC-01:00) Further-western European Time (Azores)
- (UTC) Western European Time (Dublin, Lisbon, London)
- (UTC+01:00) Central European Time (Amsterdam, Berlin, Rome, Vienna)
- (UTC+02:00) Eastern European Time (Athens, Bucharest, Helsinki, Sofia)

The time zones offsets due to daylight saving time are no longer included in the list of time zones, as this information is managed automatically by the portal. This means when the system will automatically change to a different time zone offset (i.e. winter time), the portal time references will automatically get adapted to the updated local time.

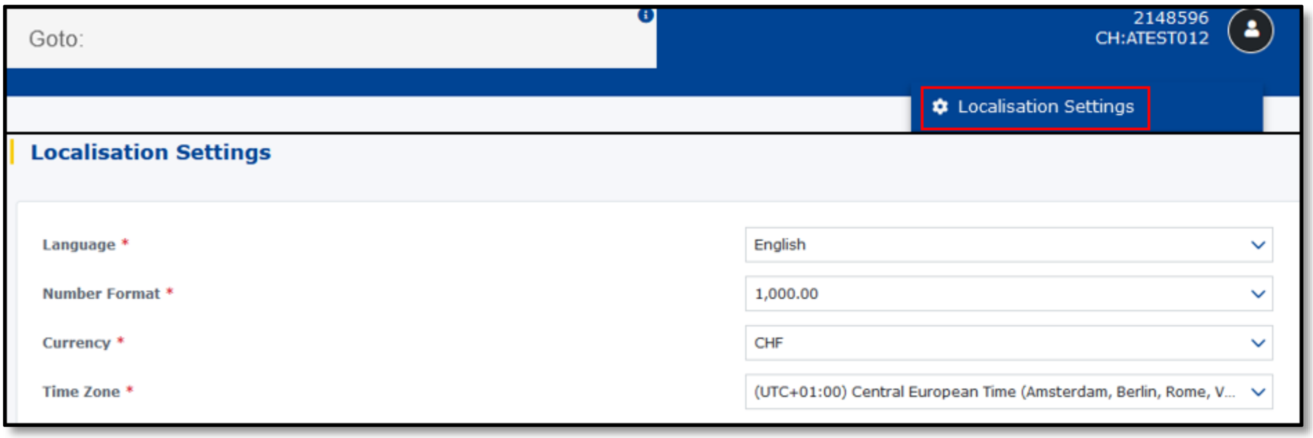


Figure 8: User Localisation Settings

3.3.2 User Change Password

The user may change the provided Password any time by simple selecting the *"Change Password"* choice that is given on the main menu (See Figure 9). The user should follow a common change password procedure and to provide the "Old password" and the new one twice. After that the user can accept the change by clicking on SAVE.

This feature is not useful and has no impact on users connecting using SAML.

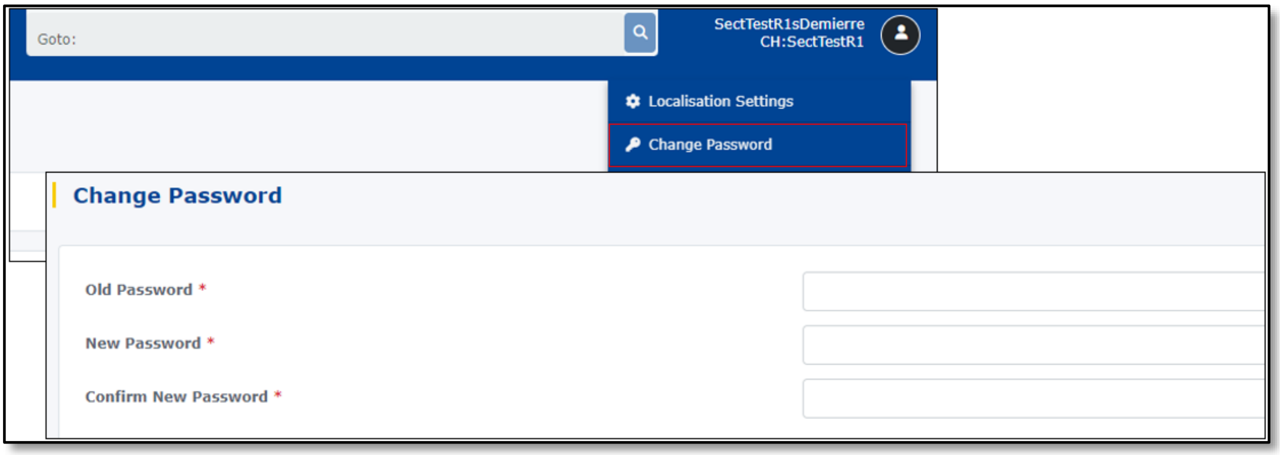


Figure 9: User change Password

3.3.3 Contextual Help

In many situations, a user of ESP portal might need help. ESP offers online guidance for users during the use of the application. The contextual help is effective for learning how to use the Graphic User Interface by showing instructions. In addition, a solution for a basic behaviour where help/guidance is offered at a specific point in a specific state of the application. Contextual Help is available all the time in USER/CLERK MENU. The content shown will be specific for step where the user is. To access the Contextual Help user should click the HELP located in right upper corner (see Figure 10). After selecting "Help" that new window will open, this includes the content of an older version of the user manual.

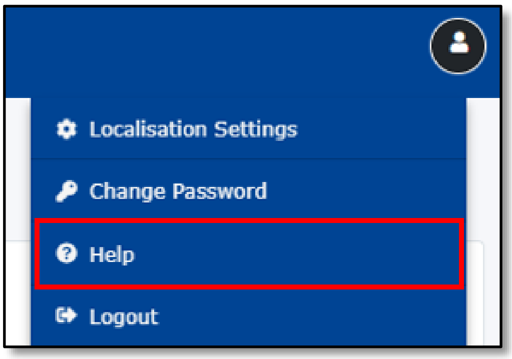


Figure 10: Online Contextual Help

The new window includes the search functionality what user can use to search the topics which user is interested in. Another possibility for user is to navigate the contextual help by clicking the specific section inside the menu located right side of the window. The content of the specific section will open in the left side of the window (see Figure 11).

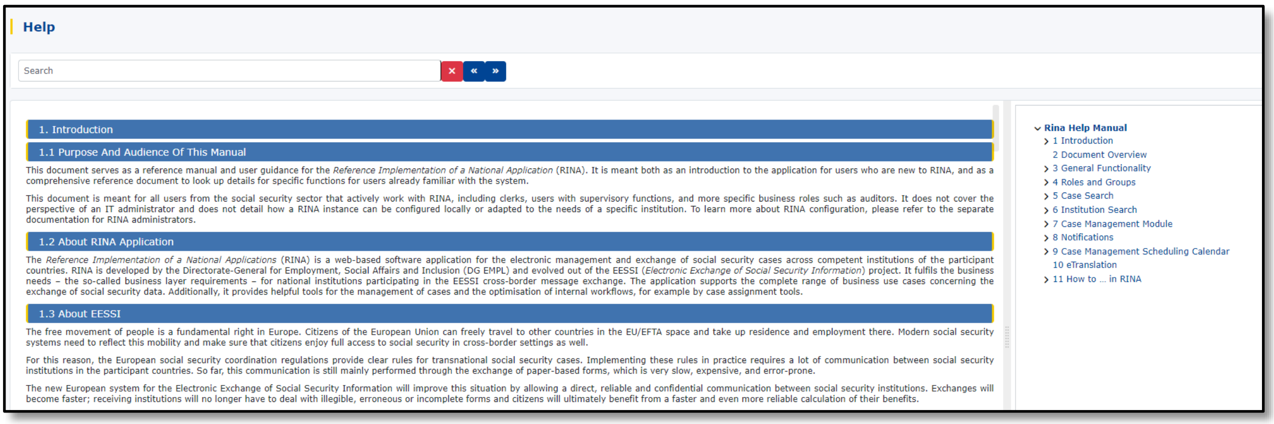


Figure 11: Contextual Help content

*The Contextual Help is available ONLY in **English**. Additionally, the Contextual Help content is based on the User Manual of the ESP Portal version 6.2.13 and can be, in some cases, outdated.*

3.3.4 ESP Version and User Idle Time

The **ESP Portal version** and the **ESP Server version** is displayed at the bottom right-hand part of the page (see Figure 12). In general, business users will not need this function in their day-to-day work but it can be helpful to include this information when reporting problems to their National/Local Service Desk. On the bottom left-hand part of the page the current session idle time is displayed, once the countdown elapsed the user will be automatically logged out from the application.

Figure 12: ESP Version and User Idle Time

4 Roles and Groups

4.1 Roles

In EESSI, different roles of ESP users are distinguished. Each role is defined by the possible user actions that are permitted to users of that role. The following roles exist:

- Supervisor;
- Authorised;
- Unauthorised;
- Auditor;
- Viewer;
- Medical;
- VIP;
- Everyone

Subsequently, the roles are described in more depth. Finally, an overview of the roles and the corresponding actions is provided. These actions are described in more detail in the corresponding sections of this guide.

Supervisor

The supervisor role is typically assigned to institution heads and team leaders that are involved in case assignment to clerks. They are the only users having the right to assign cases (see 7.9.2). The assignment can be done only for the cases assigned to the respective supervisor.

A user which is not assigned to a case, or which is assigned already but not on the role which he needs, can send a request to the respective cases' supervisors and request the assignment on the specific/needed roles for the respective cases. The supervisors receive the corresponding notifications and can choose to accept or reject the user's request. Following this, the requesting user will receive a notification that his request is accepted or rejected (see also 7.9.2).

Authorised / Unauthorised

Users with clerk role perform the case processing with respect to their social security sector. They will carry out operational case management tasks, including creation and archiving of cases and SED processing. Authorised clerks are permitted to send SEDs to other case participant institutions on their own; non-authorised clerks prepare SEDs but need to request a user with higher permissions to actually send them to other case participant institutions (cf. section 7.9).

Viewer / Auditor

Users with these two roles do not take an active part in the system, but review existing information. While a viewer is restricted to reviewing the basic case data and the SED content, an auditor can also review detailed audit accounts of all actions performed in the system on a particular SED, case or person (cf. section 7.18 on the audit functionality).

Medical / VIP

Some categories of data require specific protection. For one, in some participant countries, medical information should be accessed only by specific medical personnel. For this reason, individual attachments to SEDs can be classified as medical and only users with the medical role can access these attachments or de-classify them again (cf. section 7.16 for more information). Moreover, sometimes entire categories of cases require special protection, e.g. because they concern persons that are particularly exposed to public scrutiny and where, hence, a substantial threat of unauthorised disclosure exists. These cases can be classified as 'sensitive cases' in the case metadata (cf. section 7.9.4). After such a flag has been set, only users with the VIP role can still access the case content.

Everyone

This role is restrictive allowing to the users having this role only to Request Assignments for Case Assignments and View Case metadata for Case Management (see Table 1 below)

Overview

The subsequent table provides an overview of the roles and the corresponding actions permitted to that role.

ESP USER ROLES		Supervisor	Authorised	Unauthorised	Auditor	Viewer	Medical	Vip	Everyone
Case Assignment	Assign Case	✓							
	Request Assignment	✓	✓	✓	✓	✓	✓	✓	✓
	Authorise Assignment	✓							
Case Management	Create Case		✓	✓					
	Create SED		✓	✓					
	View SED	✓	✓	✓	✓	✓			
	Send SED	✓	✓						
	Request Approval for sending			✓					
	Approve and Send SED	✓	✓						
	Upload/Delete/ Send/Download medical attachments						✓		
	View VIPS							✓	
	Change Case Metadata	✓	✓	✓					
	Manual case archiving	✓	✓						
	Manual case unarchiving	✓	✓						
	Set/clear alarms	✓	✓	✓					
	View case metadata[1]	✓	✓	✓	✓	✓	✓	✓	✓
	Download/send regular attachments	✓	✓	✓	✓	✓			
	Add-Upload/delete regular attachments		✓	✓					
	Add/delete comments	✓	✓	✓	✓	✓			
Audit	View Audit	✓			✓				

Table 1: ESP User Roles and the permitted actions

[1] *i.e. Subject block (username, name, gender and birth date or the relevant institution description in bilateral reimbursement cases), Case participants & assignments, document list (SEDs), alarms, SED and Case level comments*

Notes:

A User/Clerk can have multiple roles. A user with multiple roles can perform any action permitted by all the assigned roles. As an example, an authorised clerk that is also a medical user can send SEDs (permitted by the authorised clerk role) and also read classified medical attachments (permitted by the medical user role);
In general, Medical and VIP roles have limited permissions (view metadata and handle Medical and VIP data) and can be considered as additional roles that are assigned to specific users when access to critical data is required;
Only VIP users are able to select/unselect the "Sensitive" flag in the "Case Metadata" popup;
VIP user may set "Sensitive Case" flag BUT in order to create/edit documents must be also authorised/non authorised clerk. In order to send documents, the clerk must be authorised. In order to view case documents, the clerk must be authorised/non authorised, supervisor and/or viewer
Medical user can tag/untag an attachment as medical. In order to add must be also authorised/non authorised clerk. In order to view it, the user must be authorised/non authorised, supervisor and/or viewer
Supervisors, Authorised clerks and non-authorised clerks are able to change the Criticality and Importance properties (Case Metadata)
Some groups can be labelled with the "Organisational Unit" flag (the equivalent of the OU in LDAP). This is used in order to represent the branches.

4.2 Groups

In many cases, the case management – and in particular case assignment – is not handled on an individual basis, but rather on a team level. As an example, at a specific institution, all pension claims from a particular region of Europe might be assigned to a team that has developed special knowledge about this area. ESP offers the possibility of using groups to represent such situations.

A group always represents a set of individual users.

During case assignment, a supervisor can choose to allocate a case to a specific group rather than to a specific individual user (see also section 7.9.2).

Moreover, depending on your local system configuration, the application might also assign certain types of cases to specific groups of users automatically.

Note that a single user can have different roles on multiple groups.

5 Case Search

5.1 Case Search View Layout

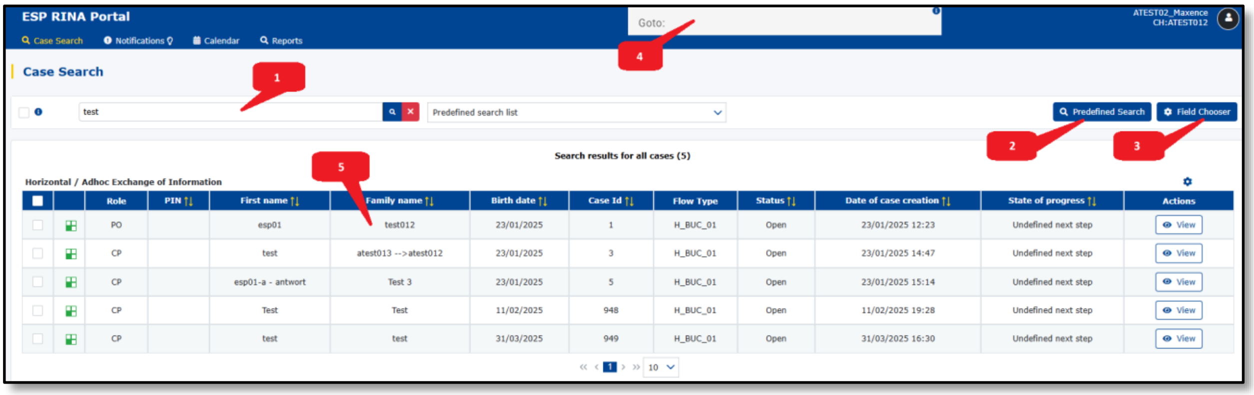


Figure 13: Case search view

After opening the case search view (see Figure 13), ESP provides several ways to find specific cases.

1

The "Enter text to search:" editable box on the FREE TEXT SEARCH allows a regular free text search among the cases (cf. section 5.2).

2

The PREDEFINED SEARCH allows more complex search criteria that can also be saved and accessed again later in order to be reused. It can be combined with the free text search (cf. section 5.3).

3

The FIELD CHOOSER button provides additional possibilities to configure the presentation of search result output list (cf. section 5.4).

4

The "Goto:" editable box on the GOTO SEARCH, can be used to navigate directly to a specific case by performing a search and clicking on one of the cases proposed as a result (cf. section 5.5).

5

- Every row of the result list represents a case. Next to basic case attributes, which are described in detail in the following sections, a VIEW link is available at the right side of the window for every case. Clicking on the VIEW link opens the CASE MANAGEMENT VIEW (cf. section 7.2 for details).
- At the left side of the window, a checkbox for one or more cases can be set. This allows to assign one or more cases to clerks and to set the importance and criticality of a case. Cf. section 7.9.1 for more information on assignment and priority setting.
- To reset the current query as well as the result list, click on the red [] icon next to the magnifying glass [] icon.
- In most cases, the "Person block" elements are displayed in the list of the results per case. On the contrary, if the cases are not part of cost reimbursement case types, the involved institution IDs are utilized instead and in the case of R_BUC_04/05/06/07 cases, if the employer is concerned, the employer will also be shown in addition of the first person mentioned in the case;

- The maximum number of cases returned as a search result is equal (by default) to 100. That result always returns the cases which are most recently created. This value can be changed by the admin user in ESP admin section of ESP Portal;
- In case the search criteria are not narrowing down the number of results to less than the maximum number of cases set in ESP admin section of ESP Portal then a message will be displayed indicating that not all cases are included in the search result due to the extended matching list. It is recommended to further refine the search criteria in order to get a results list having up to maximum number of cases set in ESP admin section of ESP Portal, so that the search will return the complete list of the matching records.

5.2 Free-text Search

Switch to the case search view from any other view by clicking the choice CASE SEARCH in the main menu. Type in the search parameters in the "Text search" editable field and click on the magnifying glass icon [] or press "Enter" key to start the search.

ESP free-text search engine has the following features:

- It supports **more than one word** in a single search separated by spaces: if user searches using multiple words, the search is executed assuming an "AND" operator between the words – it will require all of the terms of the searching string to be present in the results.
- The searches are performed in a **case insensitive** mode.
- Search results are **grouped by case type** and are presented in a **paginated format**.
- Any search is performed as a free text search across the **predefined (default) case metadata fields** that are (for non-cost-reimbursement BUC types) the following:
    - Person name and surname;
    - Birth date;
    - Start date (date, when the case was created in the institution);
    - Employer (only for cases concerning employers);
    - Local/ international case id;
    - Local PIN;
    - Case type;
    - Case status (only in English: Open, Closed, Removed, Archived);
    - Reimbursement request ID for the UB_BUC_04.
- Specific special characters/operators/formats are supported:
    - The **character "+"** signifies a logical AND operation (this operator is optional since the space also signifies a logical 'AND');

      Example: *'empl test'* or *'empl'* + *'test'* will return results that contain both the words *'empl'* and *'test'* in any of the searchable fields;
    - It can be used **OR operator between words** and this would mean searching for results containing first word or containing the second word not necessarily both of them in the same case as in the situation of AND operator;
    - The **character "-" negates** a single token and returns results that do not match the specific tokens;

      Example: *'empl -test'* will return cases that match with the value '*empl*' in any searchable field and NOT the value '*test*'. Beware: in order for this algorithm to provide the proper results, the hyphen ("-") needs to be adjacent to the value to exclude from the search results (without any spaces between); hence, no space character should be between them;
    - In case of using numbers to search by then **the number must be positioned in the beginning of the searched text** and not in the middle or at the end of it;
    - **Example**: in case of using numbers the sequence to search by should be "17 test open"; do not use sequences like "test 17 open" or "test open 17" because the

engine will return no results;

- User can search for **'*' as placeholder term** to list all the available cases, placed at the end of a word to do a partial searching. Do not use '*' as a wildcard character in the middle or a start of a word; When using this wildcard for multiple words then an AND operator must be used in between (e.g. Jo* and Way* in order to search all the cases having words starting with Jo and words starting with Way);
- Starting from ESP 6.* release the **search mechanism has been improved** andit is using a more advanced and improved text search algorithm. So when the user type a key word in the search box this does not do an exclusive search for the exact word, but instead it knows about plural/singular, feminine/masculine and so on, and also different forms of a word for example jump/jumping/jumped (this applies only for English language);
- Concerning the case of initiating the case search with date, it is worth to know that only the following formats are valid: **yyyy-mm-dd, yyyy-mm, yyyy, dd-mm-yyyy, mm, dd, dd-mm or mm-yyyy,** where yyyy is the year represented as a number, mm is the month of the year (expressed as follows 01, 02,…,12) and dd represents the day of the month (expressed as follows: 01, 02,…, 31). Instead of the character "-" between the day, the month and the year, the characters "/" and "." may also be used. All the other date formats do not construct correct searching strings. If combined with another value to be searched then the date must be first followed by the rest of values to be searched for (e.g., 2021-01-10 Teste124578 and not Teste124578 2021-01-10)

  Note: when the year (yyyy) is placed before the month or if the criterium is the year alone, it is possible to use only the two or three last numbers of the year. All cases of October 2022 can for example be searched with 22-10 or 022-10. If the year is placed last, all four numbers of the year must be used.

Figure 14, shows a search via name and the corresponding result list. The number of the search return results is shown in parentheses next to the page label "SEARCH RESULTS FOR ALL CASES".

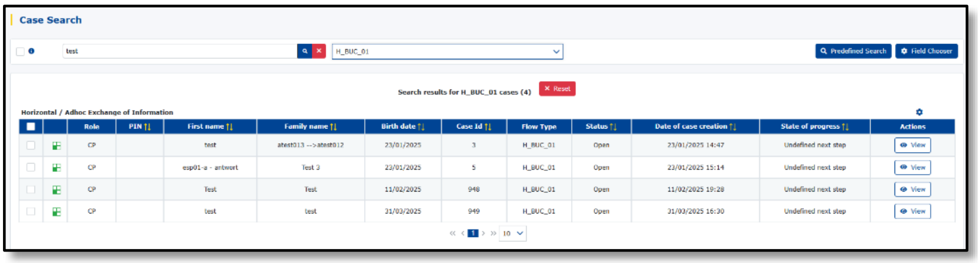


Figure 14: Case search with result list

The red '×' icon, not the reset button '× Reset', should be used if a user wants to reset user search terms(s). The reset button '× Reset' resets the current predefined search (if any). For more information on this, see the next section.

5.3 Predefined Search

In the daily working routine, a situation may arise, where a user wants to specify the search in advance and in details. Additionally, there are case parameters the user searches for on a regular basis, for example, cases assigned to the specific user. ESP provides the possibility to predefine the searching criteria/parameters and to save them in a structural way in order to be available for any future reuse.

To open the PREDEFINED SEARCH List window, click on the link PREDEFINED SEARCH located in CASE SEARCH (see Figure 15). In the PREDEFINED SEARCH List clerks can manage their own predefined searches by clicking on EDIT, DELETE and ADD PREDEFINED SEARCH links.

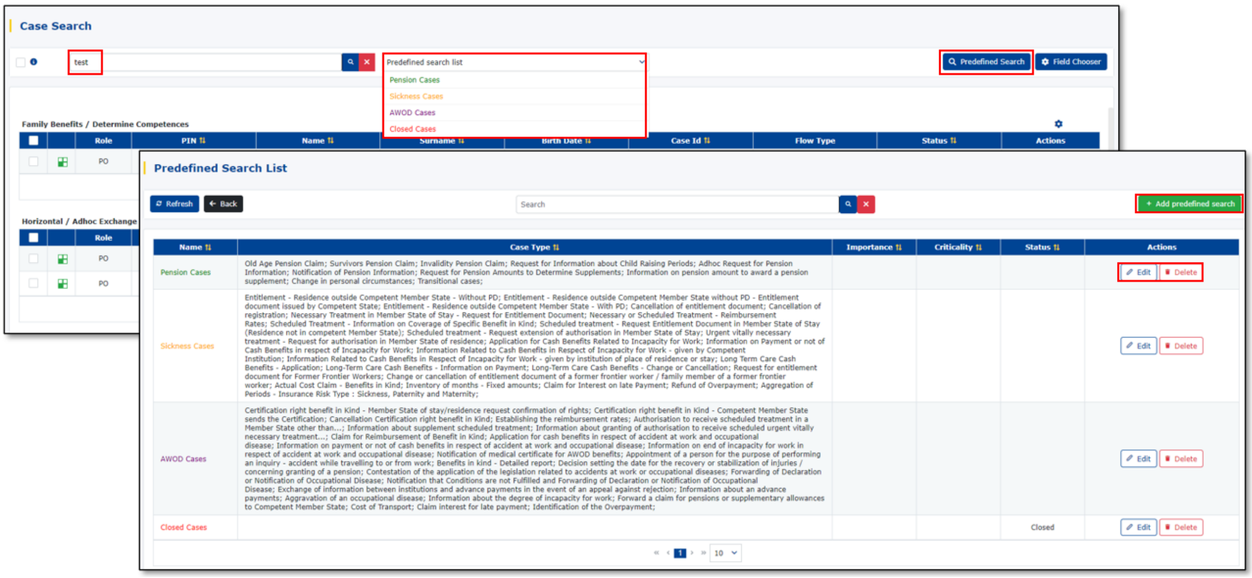


Figure 15: Creating a new predefined search

By clicking on ADD PREDEFINED SEARCH link the PREDEFINED SEARCH FORM will be displayed (see Figure 16) to allow the user to configure his/her custom search. To change the settings ofa saved predefined search, click the EDIT link. The PREDEFINED SEARCH FORM will be shown again, after changing the settings, click the SAVE link. To delete a predefined search, click the corresponding DELETE link.

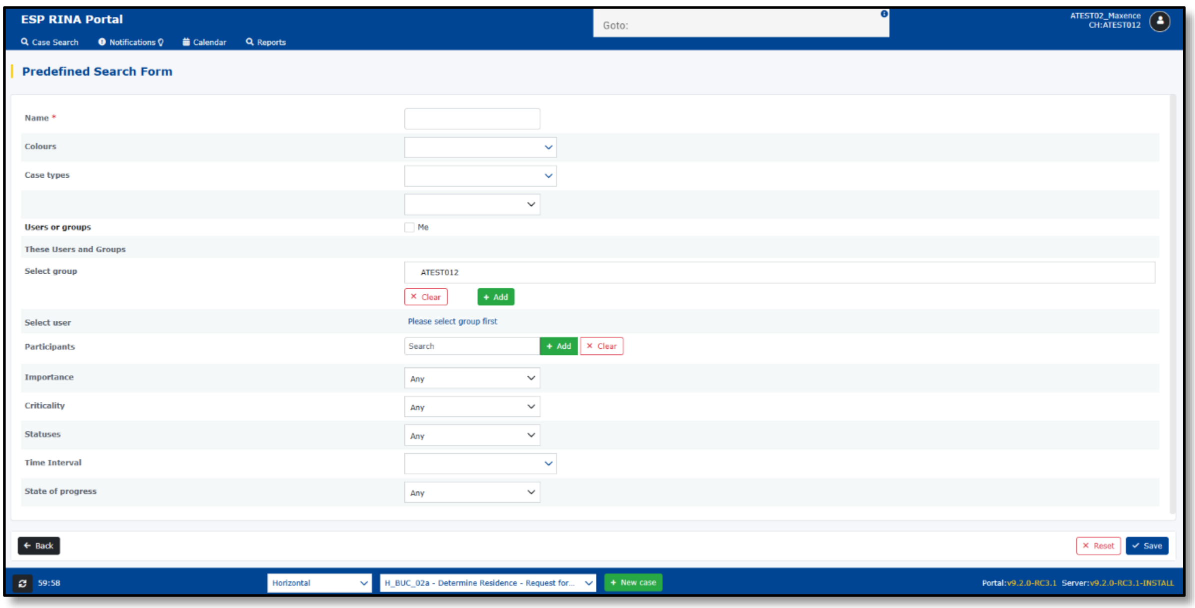


Figure 16: Configuration of a "Predefined Search"

NAME AND COLOUR

In this section, the user has to give a name to the PREDEFINED SEARCH. Optionally, a background colour for the name label can be chosen from a set of available colours.

CASE TYPES

Here, the user needs to select the case types, which should be included in his search.

USERS or GROUPS

The users or groups, to whom the cases are assigned, can be selected. Selecting "Me" shows all cases assigned, directly (to the user) or indirectly (via group and roles), to own user account. Groups may be hierarchical, which means that after selecting a group, a further selection of a sub-group and even of a single user may be possible. It is possible to select more than one (sub) group or user, but if the user selects own entity ("Me"), no additional groups or users can be added in parallel.

PARTICIPANTS

This selection allows a user to define institutions that need to participate in the cases he/she is searching for.

IMPORTANCE

This selection allows to set the importance level of the searching cases (Normal or High)

CRITICALITY

This selection allows the user to set the criticality level of the searching cases (Normal or High).

STATUSES

This selection allows setting the status of the cases user is looking for (Archived, Removed, Closed and Open). Note that more than one status can be selected.

TIME INTERVAL

This selection allows the definition of the searching time interval. The search function is applied against the latest Case update and the available options are: "any time", "custom range" where the start and end date should be specified (start date refers to the beginning of selected date (00:00:00 local time) and end date refers to the end of the selected date (23:59:59 local time), "past 24 hours", "past hour", "past week", "past month", and "past year".

To save the "PREDEFINED SEARCH", the user clicks on the SAVE link at the bottom of the toolbar.

STATE OF PROGRESS

This section provides information about the actual state of the process on the case participant's side. It is therefore easier to know if a case is, for example, actually internally processed or will be closed soon.

Selecting no entry in one of the predefined search sections means that no restriction is made concerning this category.

Once all the different search instances are saved, the user can execute any search (item) of the Predefined Search List by simply clicking on the appropriate one. The search starts immediately (see Figure 17) and the results appear on the Search Results workspace. The Predefined Searches are user specific and can be applied only by the owner which means only the user that created/defined the search can use it. After selecting the appropriate item of the list, the search results are displayed and a header is appeared above the list with the name of the predefined Search and the number of the returned items in the result list.

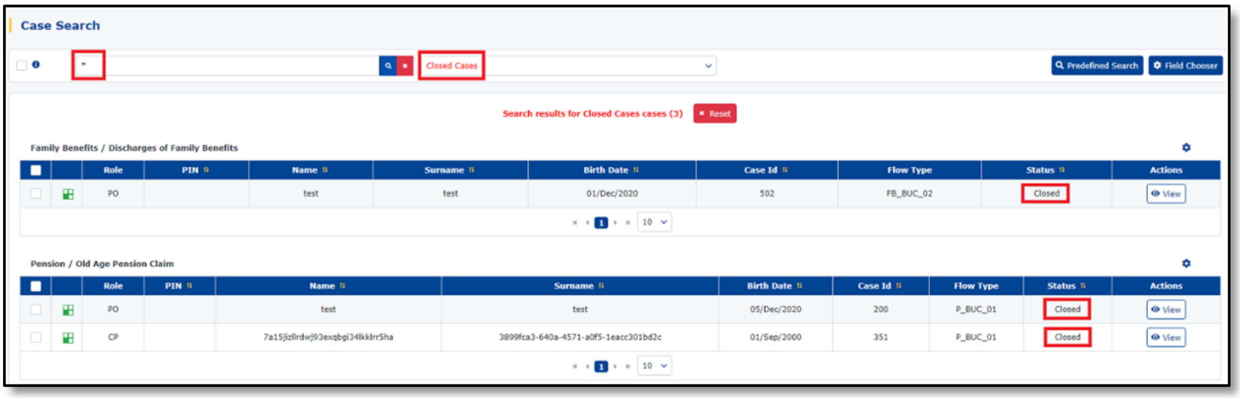


Figure 17: Using a saved predefined search

Although a predefined search usually shows a subset of all available cases, the result list may still be very long. To reduce the number of results, the user can search the list of results of the predefined search using the regular free-text search (cf. section 5.2), or further customise the query parameters (see Figure 18).

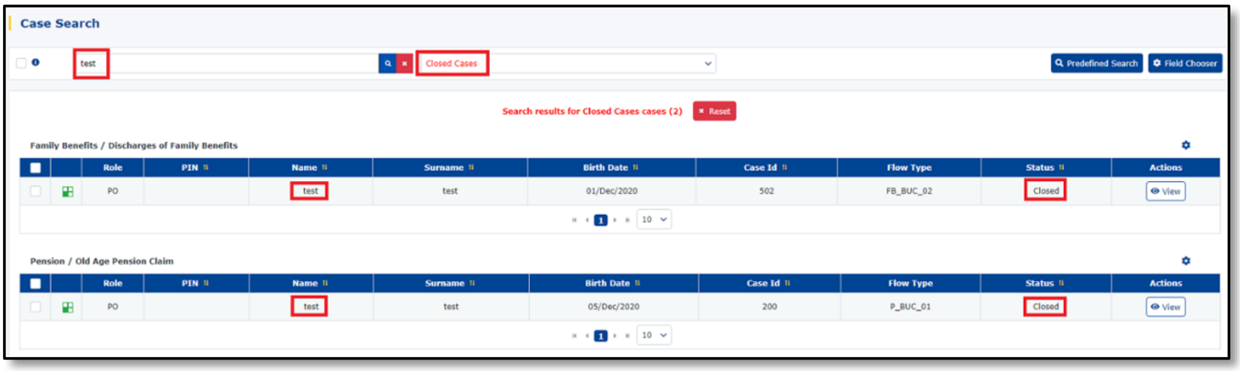


Figure 18: Searching in the result list of a predefined search

If the search query has to reset the selected predefined search and to search on all available cases again, the user should click [✖ Reset]on the header of the searching results list.

5.4 Configure Search Result Display (Field Chooser)

In ESP, the user can also change or reorder the cases information that are provided within the search results. The *FIELD CHOOSER* option can be used to customise the search results in a general manner, notice that this can also be done per BUC type by using the [⚙] icon, as the search result list is grouped by case types, a specific customisation can be made for every case type. To customise the search result view, click on *FIELD CHOOSER* at the bottom right corner of the case search (see Figure 19).

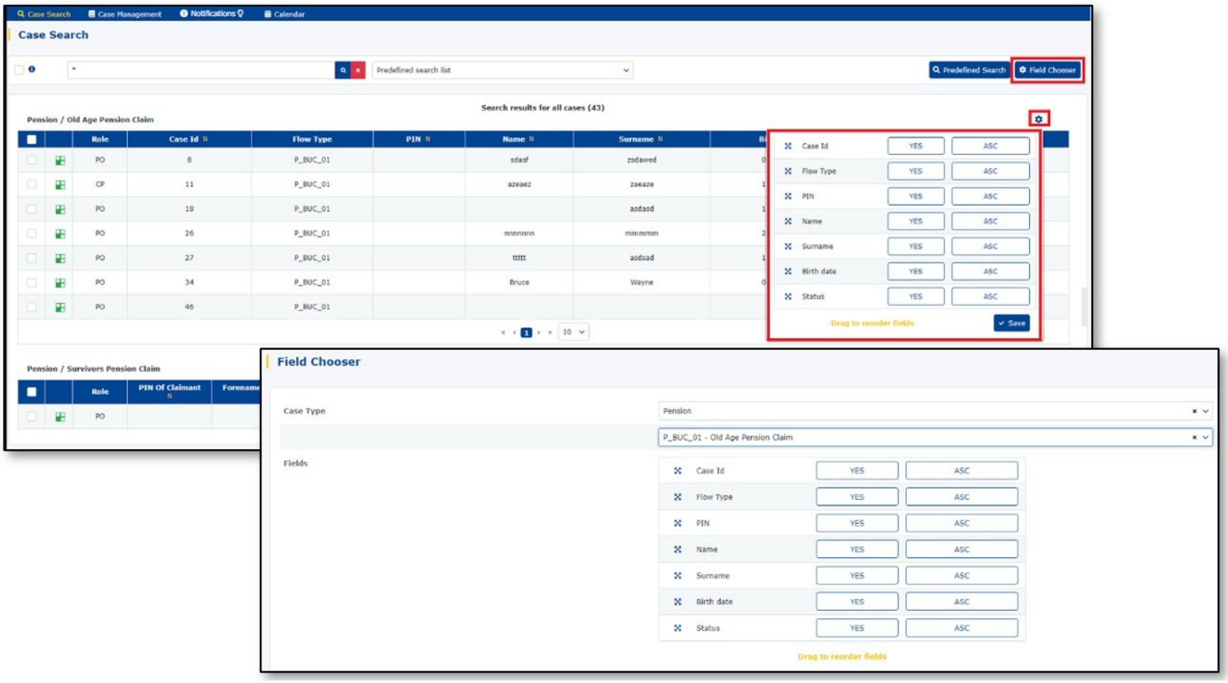


Figure 19: Opening the Field Chooser

The user can click in the first editable field in the "Field Chooser" side bar, in order to select the relevant sector (e.g., *Pension*). Then, the user can select the case type (BUC) from the dropdown list in the second field.

The user selects a case type (e.g., *Old Age Pension Claim*) and the list of available information for the specific Sector and Case type appears. These fields can be reorganised via a 'drag and drop' operation (see Figure 20). By clicking on the link next to the field name (YES/NO) allows the user to set the visibility of the field in the search result list (YES - show the value or NO - hide the value). The second link (ASC/DESC/SORT) sets the sorting property ('ASC' for Ascending order, 'DESC' for Descending order or 'SORT' in order to exclude the parameter from sorting). Click SAVE to save the settings for the selected case type and refresh the result list to have the new configuration applied (see Figure 20). Alternatively, the Field Chooser screen of a specific Case Type (BUC) can be selected by clicking on the link [⚙] that is located at the right-hand side of every Sector/Case Type on the Search Results View (see green box on Figure 20).

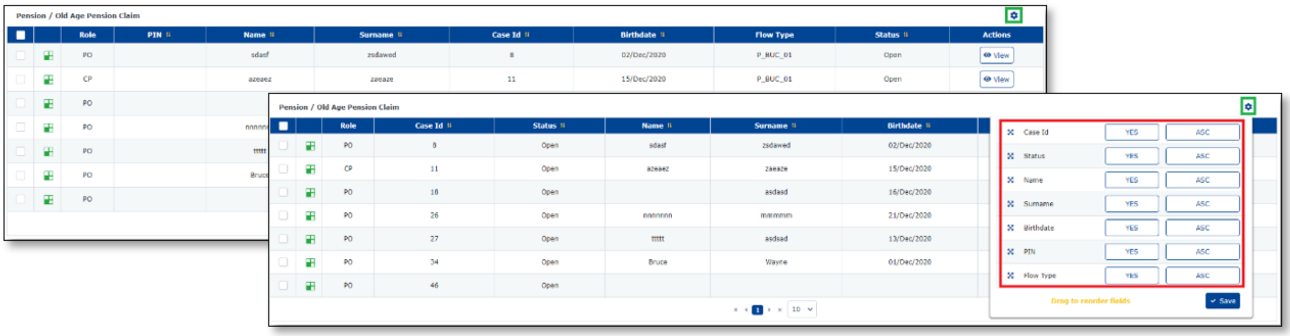


Figure 20: Field Chooser settings

5.5 GoTo Search

The GOTO SEARCH is a fixed element of the user interface, making its functions available in every workspace. The "Goto:" editable box can be used to navigate directly to a specific case by performing a search with the same criteria as in the text search (see section 5.2), except the BUC-Type and the case status, and by clicking on the corresponding result, displayed under the box (see Figure 21). The search results appear as you enter the criteria, there is no need to press Enter or to click on any button. The only condition is to have at least 3 characters in the editable box to perform a search. The maximum number of results that can be displayed at the same time is 15.

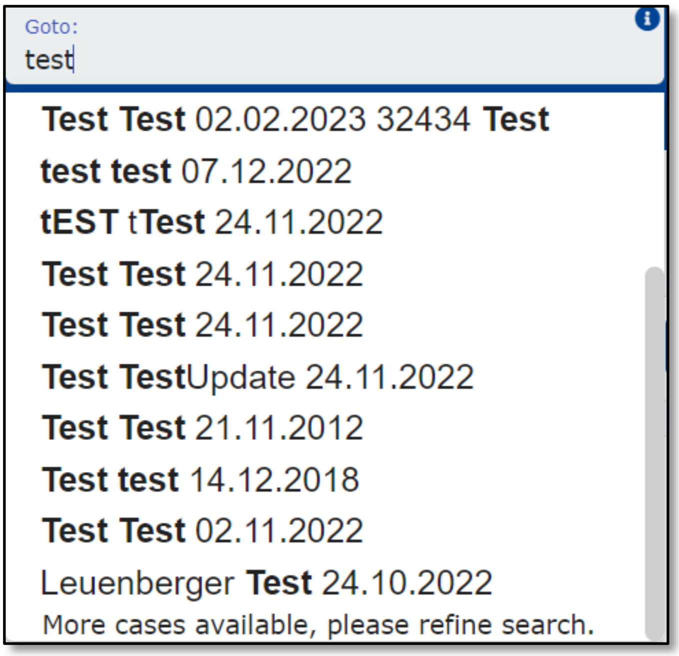


Figure 21: Case Quick Access

6 Institution Search

The "Institution Search" feature is mainly available at any occasion it is necessary for the user to define, modify or update the Case participants list by providing the ability to uniquely describe a Case competent institution (define institution name and ID on the specific SEDs).

The Institution Search feature is obviously required in the following actions/occasions in order to provide the ability to the user to locate the correct competent participants during the Case handling:

- Choose / Update participants (when a new Case is created). At this case, a "Choose Participants" searching form appears when the "Choose Participants" or the "Update Participants" choice is selected.
- Add Participant (SED X005: Add new Participant). At this case, the user defines the input for the in the "X005 – Add new Participant" SED that is activate when the "Add Participant" choice is selected.
- Forward Case (SED X007: Forward Case). At this case, the user defines the input for the in the "X007 – Forward the Case" SED that is activate when the "Forward the Case" choice is selected.
- Every time the user has to define the involved institution during a SED fulfilment.

Exception:

The only source of the Institution Searching algorithm is the Institution Repository (IR). The searching function returns results that are among the valid institutions existing in the IR and have specific characteristics (competence, EESSI Ready status etc).

*There is **only one** exception to this pattern concerning the subdocument sections of the Batch SEDs of 3 business sectors, where the clerk can add theparticipants/Institutions in the corresponding fields by simply typing the institution code (with the same pattern applicable for IR) and institution name in free text without any validation.*

Regarding the Unemployment Benefits sector, the fields are associated to the"Institution which certified insurance record" element. In the case of the Sickness and AWOD sectors, the fields are associated to the "ID Debtor Institution" and the "ID Creditor Institution" elements.

6.1 Institution Searching Algorithms

Regarding the type of the searching algorithm, ESP provides two (2) different searching approaches:

- the "Free Text" (autocomplete) searching approach, where the given input is compared against the entire information contained in the institution description object (institution name, institution ID, country code, institution acronym).
- the "Advanced Institution Search" or the "Criteria based Searching" algorithm where the user defines the searching criteria easily by collecting, through a friendly GUI, the correct input from automatically provided lists (the list generation has incorporated the BUC logic and the pre-defined case flow in order to contain only the valid selections).

The user can switch between the searching algorithms ("Free text" and "Advanced Institution Search") by clicking or not on the appropriate selection (see Figure 22).

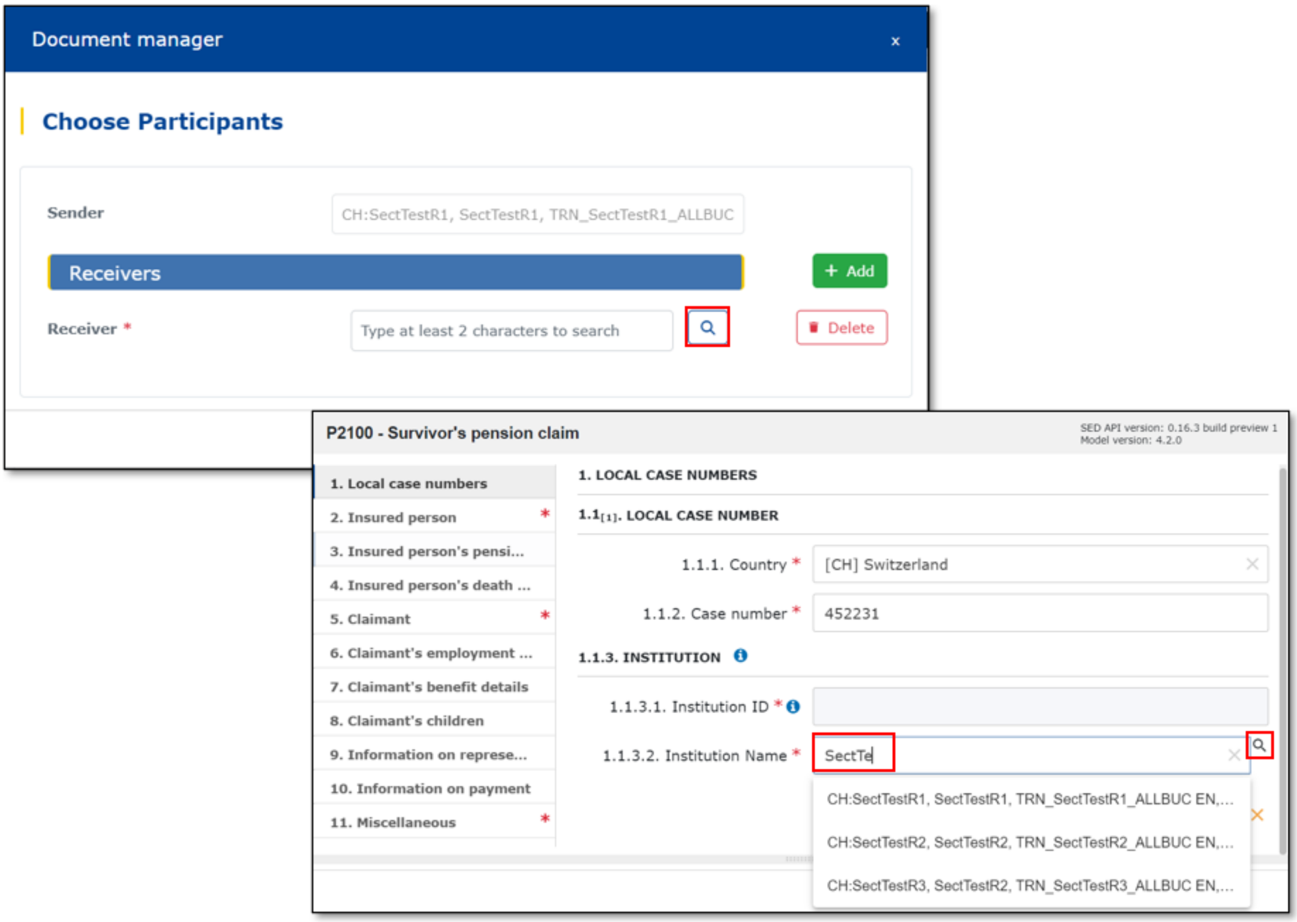


Figure 22: Advanced Institution Search on Choose Participants and In-SED

6.2 Institution Searching Data and Criteria

The Institution Searching Feature makes use of the available institution date at ESP data store. In general, the institution definition data contains the following information originating from the CSN component (part of IR repository content):

- Institution Id;
- Name;
- Acronym;
- Country;
- countryCode;
- activeSince;
- address (street, town, postalCode, region);
- contactMethods;
- accessPoint;
- location;
- assigned BUC types.

For each assigned BUC of the specific institution, the following data is available:

- BUCType;
- Application Role;
- isEESSIReady;
- BUC id;
- validityStartDate;
- validityEndDate.

Resulting from the above institution definition data available at ESP level, the searching features, for each algorithm, can be applied to the following parameters.

- The "Free text" Institution Searching algorithm can search across the following elements:
    - Institution Name;
    - Institution Acronym;
    - Country Code;
    - Institution ID.
- The "Advanced Institution Search" algorithm can search across the following Institution data (all choices made from available lists):
    - Country;
    - assigned BUC (from the BUC specific the following parameters can be searched):
        - Sector (Social Security Sector);
        - BUC type (Code and Name);

- Application Role;
- Validity start and end date.

The Institution searching results contain and display the following institution info (only for the case of "Advanced Institution Search"):

- Institution Name;
- Official Institution Id;
- Institution Acronym (CLDid – legacy identifier);
- Country;
- Assigned BUC with the following nested parameters:
  - Sector (Social Security Sector);
  - BUC type (Code and Name);
  - Application Role;
  - Validity start and end date.

6.3 Institution Searching Views Layout

6.3.1 New Case "Choose/Update Participants"

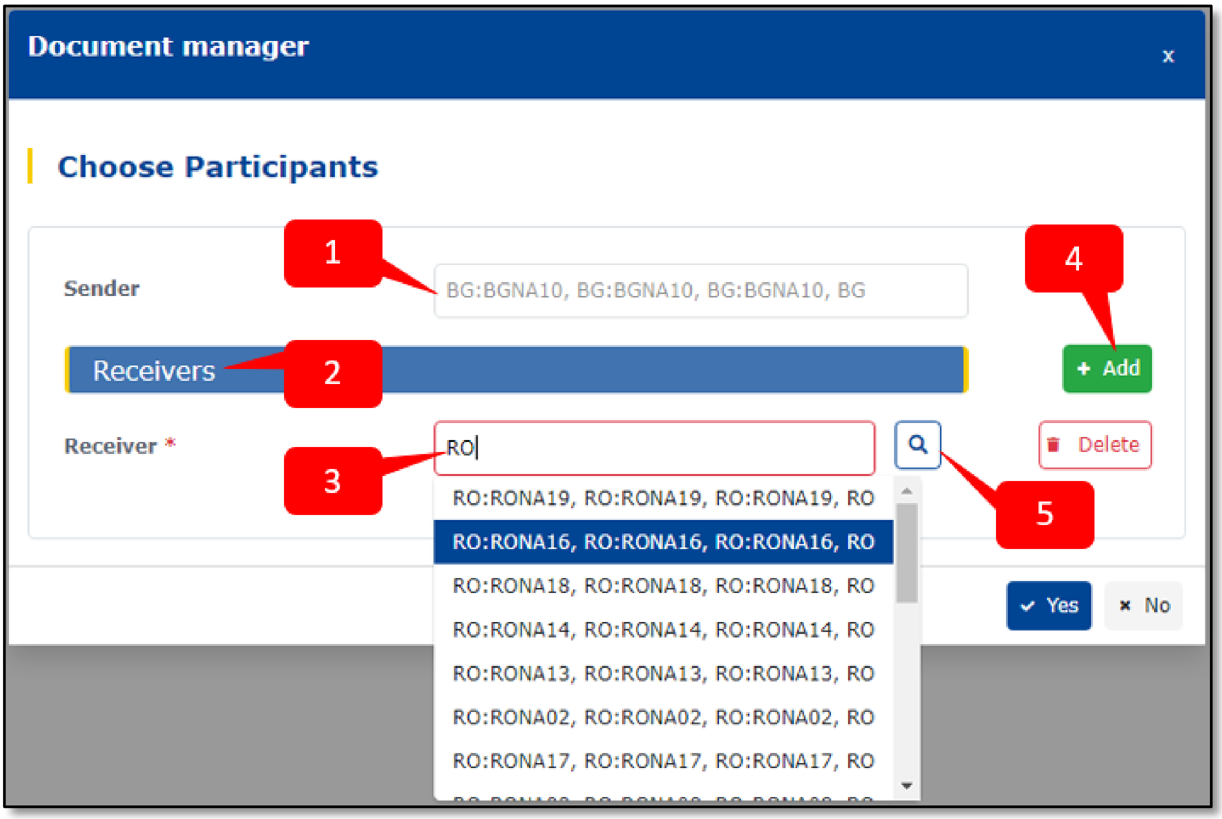


Figure 23: Choose Participant view

The "CHOOSE PARTICIPANTS" View (see Figure 23) appears when the user selects the choice "Choose Participant" from the CASE MANAGEMENT VIEW after the creation of a New Case has been started. In addition, the same view appears when the choice "Update Participants" (Section 7.10.1 is selected.

Analytically, a description of the forms fields is given below:

1

SENDER

In this field the full description of the sending institution is given according to the pattern <"id", "acronym", "name", "countryCode"> (i.e. BE:Inst0001, PSPS, Belgium Office 01 of EESSI, BE).

2

RECEIVERS LIST

This is the part of the form where the chosen Participants (receivers) are displayed.

3

RECEIVER

Here the user can start typing in the edit box and the search mechanism returns the list of the most appropriate institutions that match the given searching string. The correct participant can be specified by choosing it from the displayed list with the competent ones.

4

ADD

Use the ADD link to add a new selected participant in the participants list in order to define more than one addition of receiver participants. The selection of Add will activate a new edit box in order to locate the new participant. The Delete link instead is for removing participants.

5

ADVANCED SEARCH

This functionality can be used when user wants to search the most appropriate institution by using Advance Search functionality.

6.3.2 "In SED Searching" Layout

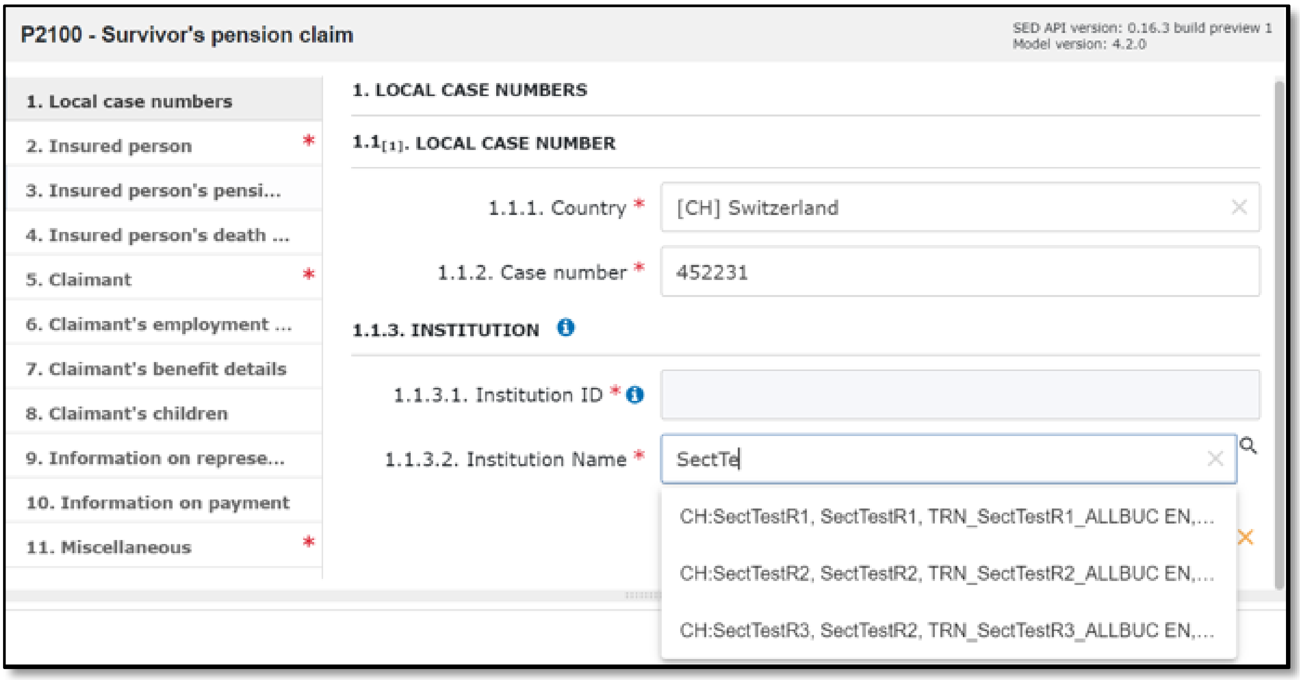


Figure 24: "In-SED" Institution/Participant Search

Apart from the case of choosing or updating participants during creating a New Case, the user maybe asked to define a specific Institution in many occasions while editing and updating the appropriate SEDs of a Case. For example, after creating a new case concerning Pension sector, the user will be asked to fill in the P2000 SED. The SED field "Institution Name" incorporates the Institution Searching algorithms in order to define the appropriate competent institution (Figure 24).

6.4 "Free Text" Institution Search

Selecting "Choose Participants" on the case Management View during the New Case creation, the "CHOOSE PARTICIPANTS" view appears and the user is able to define the list of the competent institutions that have to participate at the specific case.

The user can search the Institutions List by providing the institution name, the country name, the BUC Type or Code etc. At every correct search, a list with the searching results is displayed and the user may select the correct institution (see Figure 25);

The ESP Institution "Free-Text" search engine has the following features:

- It filters, in a result list, only the institutions associated with the given (active BUC type) competence related to the active cases;
- It searches the word given against the following fields of Institution object (the search is performed synchronously with the input typing):
    - Institution Name (i.e., the search engine looks for the given input in strings like "Hungarian Office of EESSI");
    - Institution Acronym (i.e. "HU:HUNA01");
    - Country Code (i.e., "HU");
    - Institution ID (i.e., "1234").

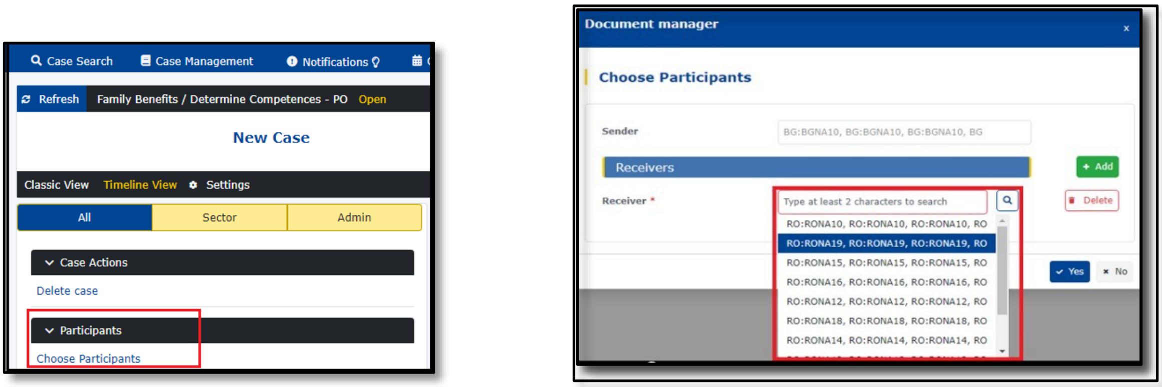


Figure 25: Choose Participants choice and View & Free text searching results

The Institution search engine supports the rules that are specified below:

- It supports **more than one word** in a single search separated by spaces;
- The search engine applies **a logical "AND" operator** to the space-separated values inserted in the search string;
- The Institution Search is **not case-sensitive;**
- Specific special characters/operators/formats are supported:
    - The **character '+'** signifies a logical AND operation (this operator is optional since the space also signifies a logical 'AND'); Example: 'national institution' or 'national' + 'institution' will return results that contain both the words 'institution' and 'national' in any of the searchable fields;

  - It can be used **OR operator between words** and this would mean searching for results containing first word or containing the second word not necessarily both of them related with the same institution as in the situation of AND operator;
  - The **character '-'** negates a single token and returns results that do not match the specific tokens; Example: 'institution -national' will return cases that match with the value 'institution' in any searchable field and NOT the value 'national'. **Beware**: in order for this algorithm to provide the proper results, the hyphen ("-") needs to be adjacent to the value to exclude from the search results (without any spaces between); hence, no space character should be between them;
  - In case of using numbers to search by then **the number must be positioned in the beginning of the searched text** and not in the middle or at the end of it; Example: in case of using numbers the sequence to search by should be "408580 institution"; do not use sequences like "institution 408580 national" or "institution national 408580" because the engine will return no results;
  - Starting from ESP 6.* release the **search mechanism has been improved** and it is using a more advanced and improved text search algorithm. So, when the user types a key word in the search box this does not do an exclusive search for the exact word, but instead it knows about plural/singular, feminine/masculine and so on, and also different forms of a word for example jump/jumping/jumped (this applies only for English language);
- A combination of **at least two characters** (i.e., "BGNA") returns and displays a list of possible results (of competent/permitted institutions). In case the required institution is not provided among the results, the user needs to provide more specific searching criteria or to use the Advanced Institution search functionality;
- The "Institution Search" is performed **only in the competent Institutions** list.

6.5 Advanced Institution Search

The "Advanced Institution Search" is an alternative user-friendly searching feature that activated by selecting the appropriate choice option.

The ESP "Advanced Institution Search" includes a subset of information from Institution Repository and not the full institutions information that is stored on CSN (paragraph 6.1).

In order to identify the institution by using identification criteria's, the user may search in Clerk Access Interface (CAI) to find correct receiving institution. In CAI there are several options to find the correct destination by using contextual search.

The "Advanced Institution Search" feature is available on the "Choose Participants" window when the user selects the CHOOSE PARTICIPANTS on the Case Actions bar. On "Choose Participants" pop-up window the user clicks the icon [🔍] and "Institution Advanced Search" pop-up window opens (Figure 26).

The "Advanced Institution Search" feature is available also in the case the user selects the icon [🔍] of the edit field "Institution Name" of the relative SEDs and the "Institution Advanced Search" window opens (Figure 27).

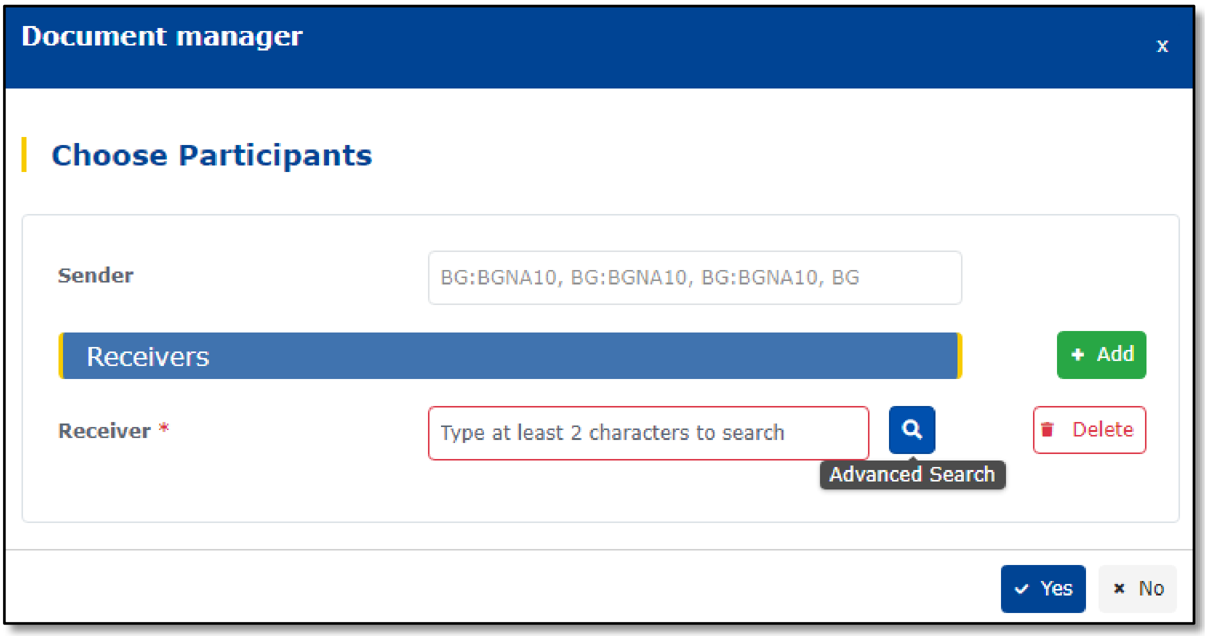


Figure 26: Choose Participants View - Advance Institution Search Selection

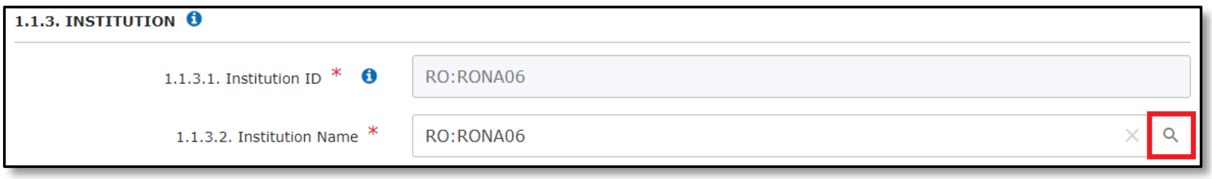


Figure 27: "In-SED" Advanced Institution Search

After selecting the icon [🔍], the "Institution Advanced Search" window appears.

The user should provide at least the mandatory searching input that is the Country of the Institution, the competent Sector and Process type. Following the correct choice of the "Sector" and the "Process" (see Figure 28) the searching window expands and additional/optional information about the specific Process Type (BUC) that requested.

Therefore, the user can optionally provide the "Valid From" (Validation since Date) and "Valid To" (Validation to Date) and the Application Role (possible values "Process Owner" and "Counter Party") in order to limit the searching results.

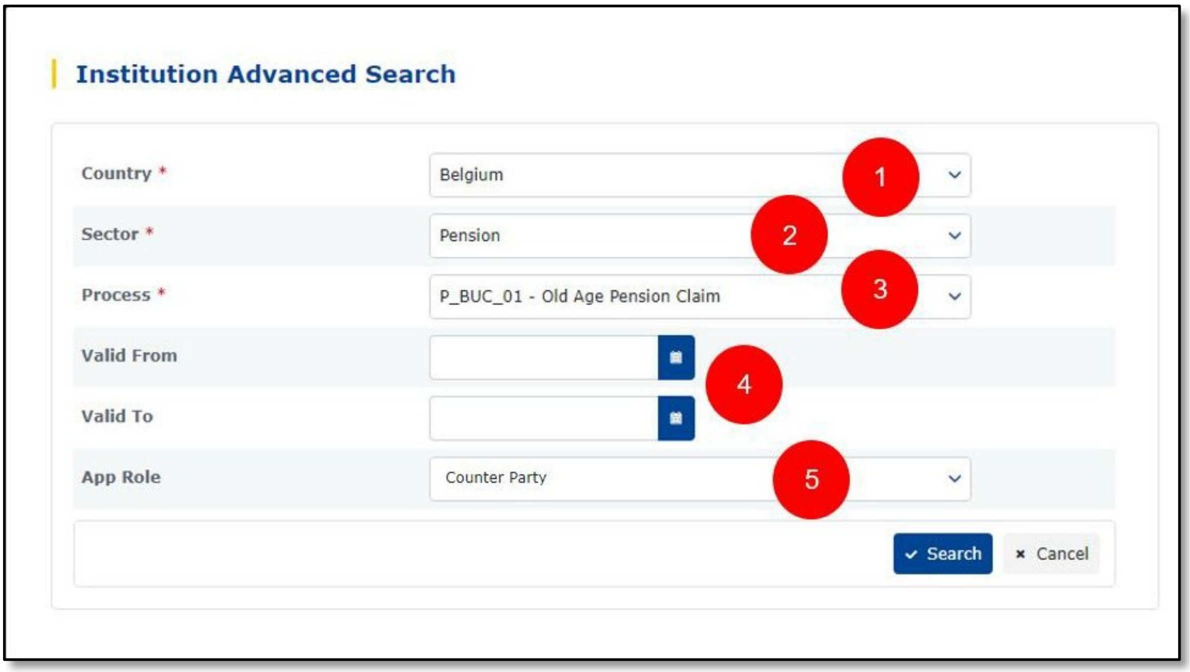


Figure 28: Choose Participants - Advanced Institution Search criteria

1 COUNTRY

The Country of the destination Institution/participant (receiving country)

2 SECTOR

The Social security Business Sector that the destination Institution is competent

3 PROCESS TYPE

The Process Type (BUC type)

4 VALID FROM / VALID TO

The From/To dates of the BUCs validation

5 APPLICATION ROLE

The desired application role (default value is set to "Counter Party")

After choosing the searching criteria the user starts the searching procedure by selecting the [] button.

The searching algorithm returns a list with the results (all the institutions that match to the searching criteria) to the user (Figure 29 & Figure 30). In order to select the correct institution, the user should click on the highlighted Institution Name (Figure 30).

The return results contain the necessary Institution data and the user selects the correct institution by clicking anywhere in the institution row.

The maximum number of institutions that are shown in the result list is limited to maximum 100 items.

Figure 29: Advanced Institution Search results

Figure 30: Navigation on results view of Advanced Institution Search

7 Case Management Module

7.1 Cases – General Description

Generally, a case can be envisaged as a container of business messages. All case-specific information, including all notifications and SEDs exchanged, is collected within it. The case has the following basic attributes:

- A case contains all SEDs, attachments and notifications belonging to that case.
- A case belongs to a specific sector of social security (e.g., Pension, Sickness, Recovery, etc.).
- A case has a specific case type (e.g., Request of Recovery), i.e., it implements a specific Business Use Case (BUC).
- A case must have a Case Owner (CO).
- A case can have one or more counterparties (CP) as defined within the Business Use Cases.
- A case can have one of several different states (Opened, Closed, etc.).
- A case is usually related to a specific citizen (with the exception of batch SEDs, which concern various cost reimbursements).
- A case has three ESP case numbers (Local ID, business ID and International ID);

Figure 31 visualises the basic case attributes and their relations. Note that a sector has more than one case types. For a specific case, one of the case types of the corresponding sector needs to be chosen. The CASE TYPE RULES that implement the corresponding Business Use Case define two aspects:

- The SEDs which are part of a case type.
- The sequence according to which these SEDs will be available during the processing of the case (e.g., because some messages might be available only as a reply to specific earlier requests within the case).

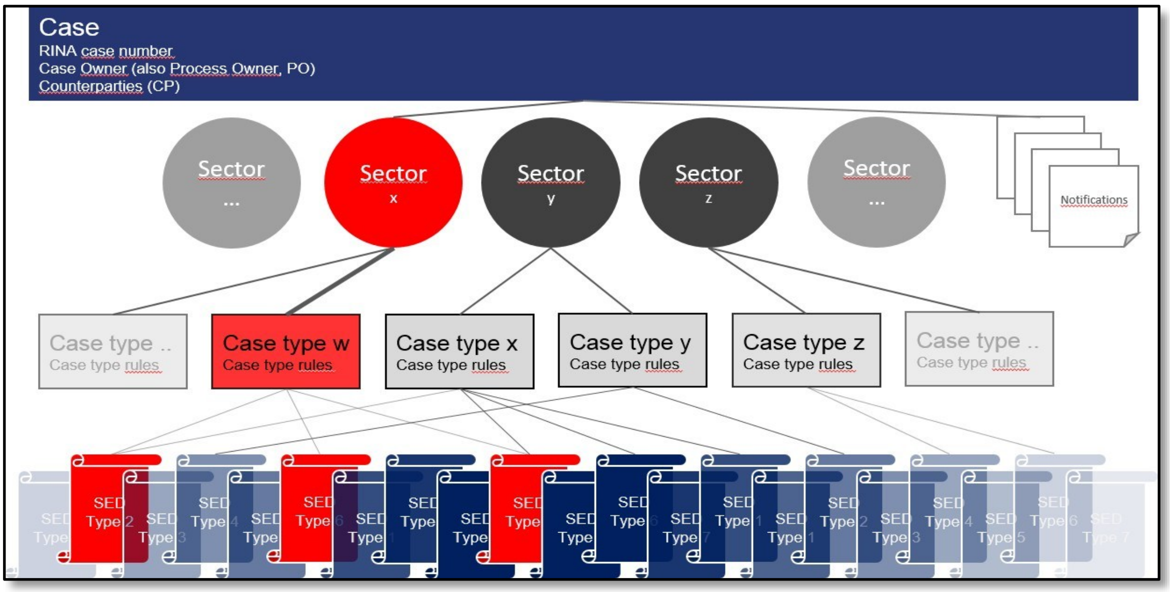


Figure 31: Basic case attributes

7.2 Status of the Cases

An EESSI Case can have different statuses. It is used to keep track of the Case status on both the sender and the receiver sides. The Case status should be in the set: {Open, Closed, Archived, Removed} (see Figure 32).

A Case can have the status "**Open**". This status as a minimum step means that:

- a Case has been created for the case owner, and
- a message has been received for the first time which creates an opened case for the counterparty.

Starting from status **"Open"**, several actions can be performed. For example: closing, forwarding, archiving or deleting the case.

When the case work is completed, the case can be closed and the case receives the "**Closed"** status.

If another Case Participant is responsible for this case, the case can be forwarded to the competent institution or the Case participants could be removed from the case. In these contexts, the case status will appear as "**Removed"**.

The Case owner can also decide to delete a Case **<u>if no SEDs exchange was taken place.</u>**

Additionally, a case is also **<u>deleted</u>** when its uninterrupted archiving period exceeds the time defined by the administrator after consultation with the sector superusers.

When deleted, a case is removed from the system and it has no specific status. This action cannot be reversed (meaning that the Case cannot be undeleted).

Finally, a Case can be archived (status: "**Archived**") either by an action, or automatically by applying the defined archiving rules. It is mostly recommended not to archive a case manually.

The full content of cases can be checked for any status apart from the 'Archived' ones, depending upon the relevant case assignment allocation to users. Only the case metadata content is available for Archived cases.

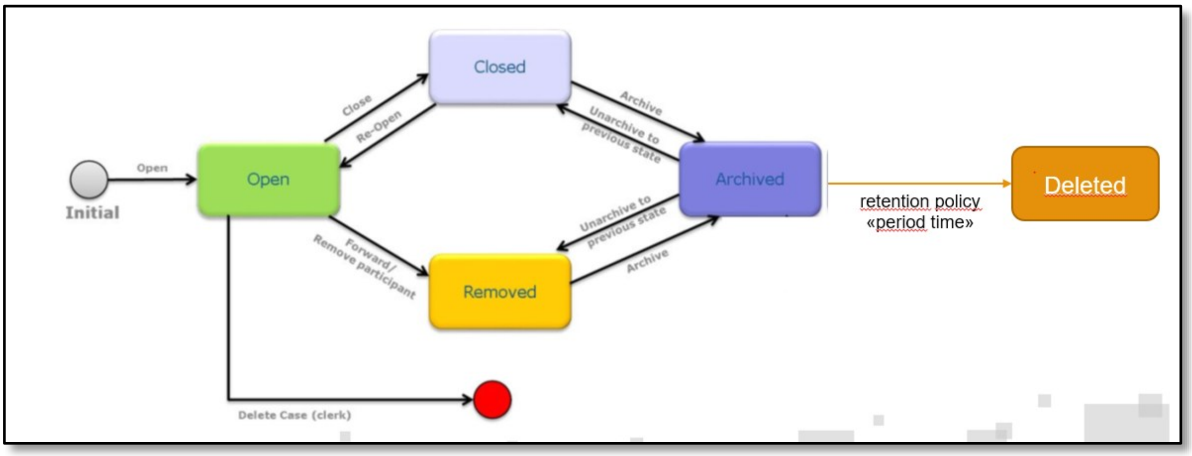


Figure 32: Case Transition State Diagram

7.3 Case Management View Layout

The case management module is the part of the application where the actual business logic of cross-border social security exchanges is carried out. Each case is managed in the CASE MANAGEMENT VIEW (see Figure 33). The user is automatically navigated into this view layout as soon as a case has been opened (through viewing its content) or created. The CASE MANAGEMENT entry is visible at the main menu bar once a case was accessed to allow showing the last accessed case information during a specific user session. This view can be accessed by any user for all cases apart the ones in 'Archived' status, as long as they are not classified as sensitive (cf. section 7.9.4). The available content/actions will depend upon the user assignment mapping to their roles (cf. section 4).

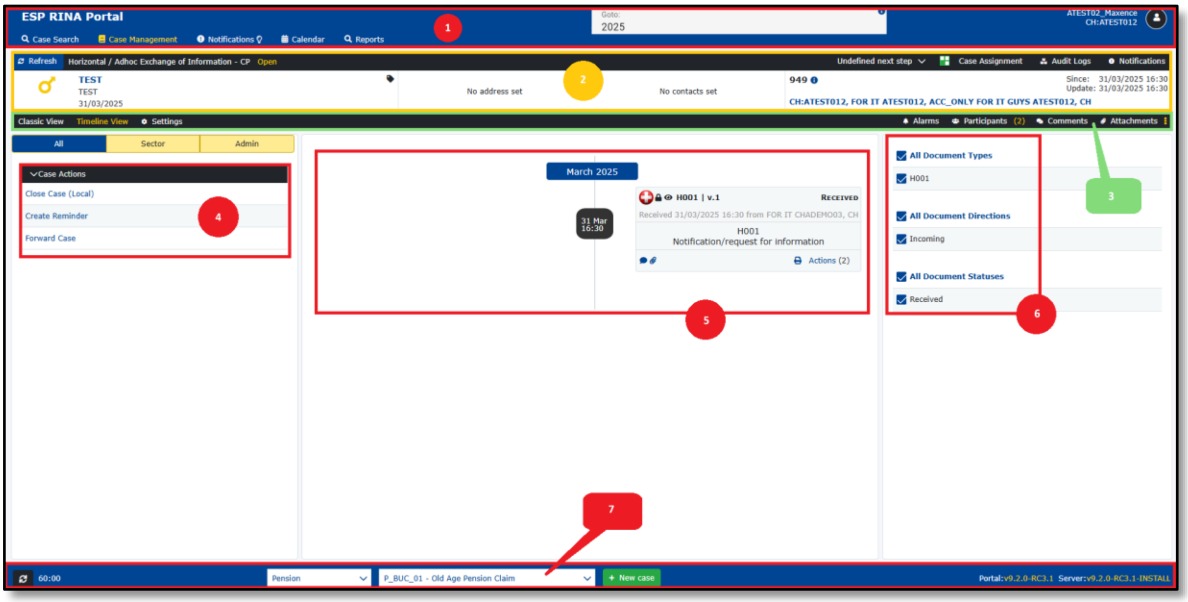


Figure 33: Case management view

1

CASE MANAGEMENT VIEW

The CASE MANAGEMENT VIEW allows the user to work on a specific case. In addition to having all the basic and necessary information being presented, the user also has the option to see the chronological history of the case. The case management is divided into several different parts and is described in more detail in the following sections.

2

CASE INFORMATION BAR

The case information bar contains basic information about the specific case as well as important sectorial information (such as: about the concerned citizen). This information is based on the first SED's data in the case. The labels will be described based on an example.

LABEL	DESCRIPTION
Refresh	Refresh the CASE MANAGEMENT VIEW
Sector/BUC name	Sector name and the associated case type (i.e. Pension/Old Age Pension Claim)

Role	Represents the user's institution's case role (PO for Process Owner/Case Owner, CP for Counter Party)
Case Status	Represents the current state of the Case (i.e. Open)
Gender	Citizen's gender
Citizen name or Institutions ID	Citizen's family name and forename (i.e.*Williams James)* In the case of Reimbursement Bilateral cases is provided the Institution ID (in the format: *"Institution ID, Acronym, Name, Country Code")* *In the case of Recovery cases R_BUC_04, R_BUC_05, R_BUC_06 and R_BUC_07, if the case concerns an employer, the name of the employer will be mentioned instead of the citizen's family name and first name.*
Citizen date of birth	Citizen's date of birth (i.e., *19/Dec/1981*)
PIN	Person's Personal Identification Number - PIN (in order to be visible on CASE MANAGEMENT VIEW and be used by Case search, the corresponding field in the SED should be filled in), i.e., *123432*
Audit Logs	A list with the appropriate Audit logs that are filtered by using Person and Institution specific parameters (this parameter is visible in specific situations: (i) when the person's PIN is provided and (ii) when reimbursement bilateral cases are created)
	Case Metadata (option to declare a case as sensitive, cf. section 7.9.4)
Address	Postal Address of the person (i.e., *Avenue des Arts 46, Brussels)* *In the case of Reimbursement or for recovery cases R_BUC_04, R_BUC_05, R_BUC_06 or R_BUC_07 if it concerns an employer, the address will be empty.*
Phone Number	Citizen's phone number if available
Mobile Number	Citizen's mobile number if available
alexander.test@eessi.eu	Citizen's e-mail address if available
ESP Case ID	Represents the ESP local case number (i.e., "*18925"*).

	The Information sign besides the local Case ID is used to inform the clerk about the values of other Case ID categories (Business ID, International ID)
Since:	Displays the opening date of the case (i.e., "*01/Dec/2019 08:49*")
Update:	Displays the date of last change (i.e., *01/Dec/2019 09:04*). The changes taken into account are as follows : a new SED arrives in the open case, the next step is manually changed, an SED is sent or the status of the case changes.
Case Creator	Displays the Username of the Case Creator (i.e., "*ClerkPortalUser*")
Institution description	Displays the institution's name of the CaseCreator in the format "*<inst ID>*" (i.e., *"BG:BGNA10"*)
Case Assignment	Change the importance/criticality of a case, assign cases to users or request the assignment of a case.
Audit Logs	A list with the appropriate Audit logs that are filtered by using Case specific parameters (Case level Audit Logs)
Notifications	Case notifications (cf. section 7.7 for more information)

3

Case Toolbar

The case toolbar provides case-specific information and functionalities for the user. The following labels are described based on an example.

LABEL	**DESCRIPTION**
Classic view / Timeline view	Option to choose between two SED presentation modes (cf. section 7.6 for more information)
Settings	Case Settings - SED presentation options (cf. section 7.6 for more information)
Alarms (0)	An option to set an alarm to go off on a specific date and time with a created text for a specific case (cf. section 7.9.5).
Participants (2)	Number of active participants (institutions) participating in the case. Clicking shows a list of all participants (cf. section 7.5 for more information on managing participants)

Comments (0)	Number of case comments. Note that case comments are local and will not be sent to other case participants (cf. section 7.17 for more information)
Attachments (0)	Number of Case attachments. Note that Case attachments are local and will not be exchanged with the other case participants (cf. section 7.16)
	Enable/Disable the appearance of left and right panel

4

CASE ACTION BAR

The case action bar provides actions for managing the case and creating SEDs (cf. section 7.8 and following for more details). Only the available actions that are valid for the specific current Case status are visible on CASE ACTION BAR

5

SED LIST

The upper central area of the CASE MANAGEMENT VIEW shows all SEDs which have been sent or received as part of the case (for the Classic View). The actual presentation of SEDs depends on the presentation mode (cf. section 7.6 for more information). In both presentation modes, there is a list of SED-specific comments, attachments and actions at the bottom of every single SED. The available action links always depend on the current state ofthe SED/case state. The SED list provides also information concerning Document Details [via clicking on the icon] (Document type, Document title, Document version, Last update, Parent Document and Participants) and Certificates [via clicking the icon] (cf. section 7.5 for more details).

6

SED NAVIGATION AND FILTER BAR

The SED navigation and filter bar contains options to quickly access specific SEDs. By default, all SED categories in the case are displayed; the user can deselect any that he wants to exclude from his current view.

7

CASE CREATION BAR

This area is accessible throughout all the ESP menus. It allows the user to create the case type by selecting from an available list. The content of this list is based on the available institution competencies and user rights.

Notes:

- *Special permissions are necessary to view the audit trails.*
- *The user can choose whether the SED information section is displayed or not in the SED presentation options (cf. section 7.6).*
- *PIN is visible in the case subject only if it is defined in the relevant SED and the country of issuing is the same like the one associated with the institution code (tenant) of the local ESP application.*
- *The person's name in "Case Information Bar" is always displayed in a predefined format (SURNAME, Forename) regardless the way of providing and storing the values.*

Due to the numerous types of Business Use Cases and the complexity of each one there are some specific needs that should be addressed by the solution:

- Case identification by simple search – in order to facilitate easy search of cases.
- Unique identification of a case – in order to facilitate data integrity.
- Cross identification where a case is transferred to other institution or business type – in order to facilitate cross case identification in multiple institutions.
- Pattern definition per institution in order to facilitate a common semantic in terms of Case Identification – in order to facilitate the Institution a mean of defining their own Unique Sequence.

In order to cover the business need a possible solution is proposed to be reviewed and analysed by the business counterparts.

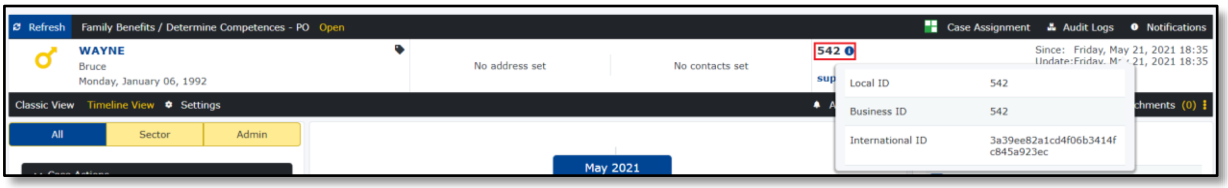


Figure 34: Case Management Identification (Counter)

A Counter pattern is structured and announced by ESP Administrator and it is common for all the users of the participant country.

Example

In the case the institution generates the case Business ID containing the institution short name (e.g. INST2), BUC type, date of creation in the "dd.MM.yyyy" format and sector sequence number with minimum length of 8 characters (starting counting from "0"). All the information should be divided by a dash character. The desired pattern should look like:

INST2-<BUC_type>-<DATE(dd.MM.yyyy)>-<SEQ(sector,0,8)>
*For the 1510th case of P_BUC_01 type that created on 24th of December 2017, the business ID of the case will be **INST2-P_BUC_01-24.12.2017-00001510**.*

There are three different ways of structuring the relative counter pattern; the setup of which is described in chapter 3.1.3 of the EESSI ESP Administration manual and are the following: (a) Default (Internal incremental sequence for all local cases), (b) HTTP Call-back and (c) Pattern where the Counter is constructed by specific meaningful fields (see the example above).

7.4 Create Case

To create a new case, select the sector and case type and click on the NEW CASE link in the CASE CREATION BAR (see Figure 35).

Figure 35: Creating new cases in the case creation bar

Every case implements a particular Business Use Case (BUC), which is a standardised process for resolving a particular type of cross-border social security claim (see also section 1.6). The BUC assigned to a case is referred to as its case type.

Because every social security institution has different rules for the division of tasks and responsibilities, the user's local ESP administrators can set up case policies that define which types of cases can be created (and also which types of incoming cases can be assigned to that user). Therefore, not all sectors or case types may be available as standard option to the users.

User should choose the Case Sector in the appearing Sector list by selecting the appropriate Sector within the drop-down menu (Figure 36). Then, the Case type (BUC) should can be selected, among the provided available types of the specific Sector (BUCs list). Use the scroll bar to search the entire list.

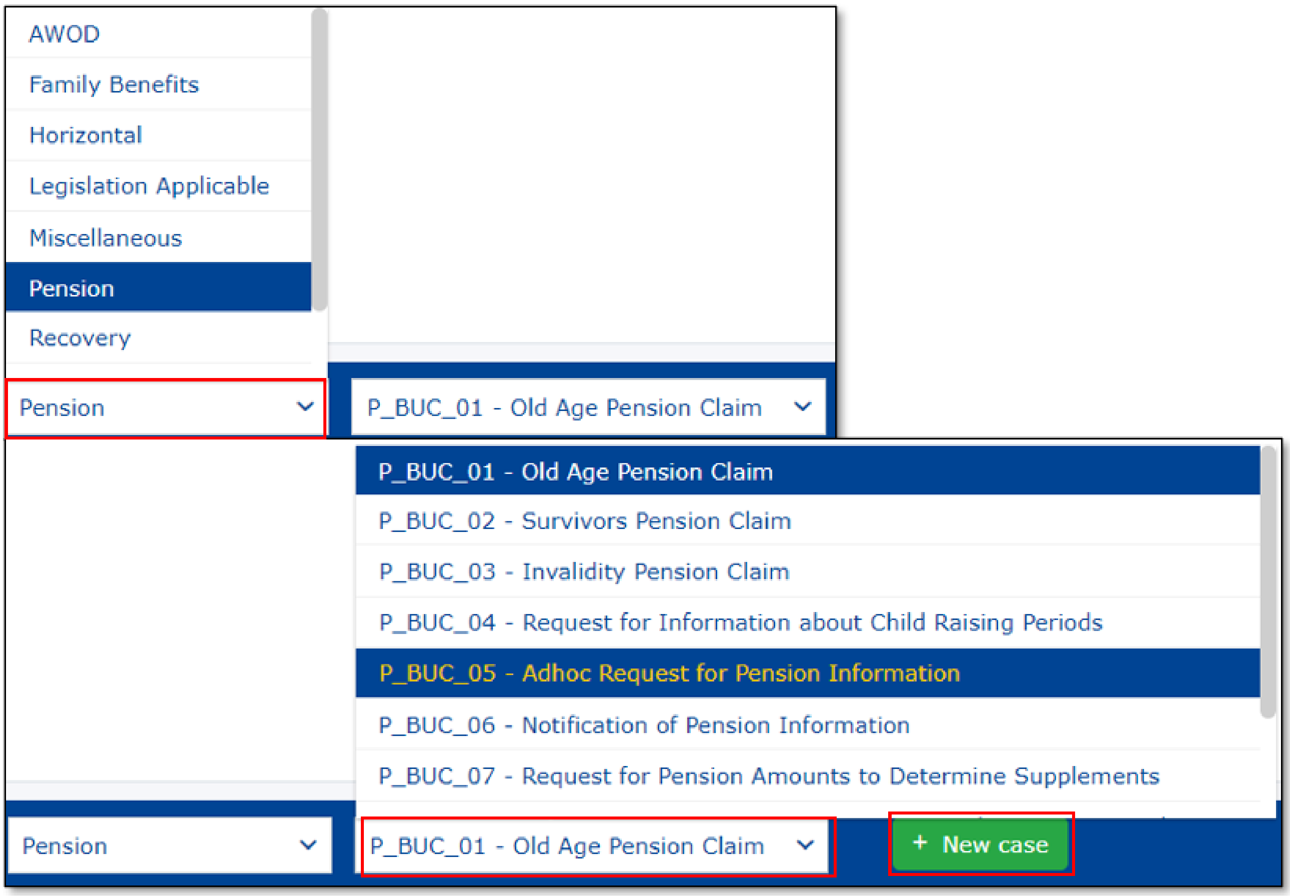


Figure 36: Sectors and Case type Lists

After the selection completion, trigger the NEW CASE link, to create the case with the selected options (Sector and Case Type).

Besides the different case types for social security claims there is a crosscutting case type called Horizontal BUCs for issues that could arise in any social security sector, such as the need to determine a person's residence. Cases using horizontal BUCs can be utilised as standalone cases, as like cases related to any other sector. However, since they may also be required as part of a larger social security case, they can also often be used as a sub-process within another BUC. Cf. section 11.7 regarding stand-alone horizontal cases (main processes) and section 11.8 regarding horizontal sub-processes for further detailed information.

The case type determines which SEDs will be available during the case workflow (cf. section 7.1 for the relationship between case type and SEDs).

After creating a new case, the application will automatically navigate the user under the CASE MANAGEMENT workspace (see section 7.2). Most actions in the case, however, will only become available once at least one other participating institution has been selected (cf. section 7.5). After this step, a variety of actions becomes available either for the entire case (cf. section 7.9) or for working with individual SEDs within the case (cf. section 7.11).

Moreover, certain crosscutting horizontal sub-processes - such as determining a person's residence - can be conducted within a case; these are also triggered by creating the first SED for the respective sub-process (cf. section 10.8).

Example: *A citizen of Portugal worked and/or lived in more than one participant country. When reaching a certain age, he claims for being granted (old age) pension from more than one participant country. Usually, the claimant will make his request in the country where he resides. The national pension institution is now responsible to open a case and coordinate the process. To do so, the clerk will open a new case by choosing the pension sector and the corresponding Old Age Pension Claim case type in ESP and create a new Case. Upon creation of the case, that institution becomes the Case Owner (CO).*

Depending on the resources' capacity of ESP application, actions may require few moments prior to becoming available towards the user.

7.5 Determine Initial Exchange Partners

In order to conduct the actual information exchange by creating or sending SEDs, it is necessary to choose one or more Counterparties for a case.

A case always has a single Case Owner (CO) and one or more counterparties (CP) based upon the defined BUC types. They are collectively referred to as case participants.

Click CHOOSE PARTICIPANTS after creating a new case (see Figure 37).

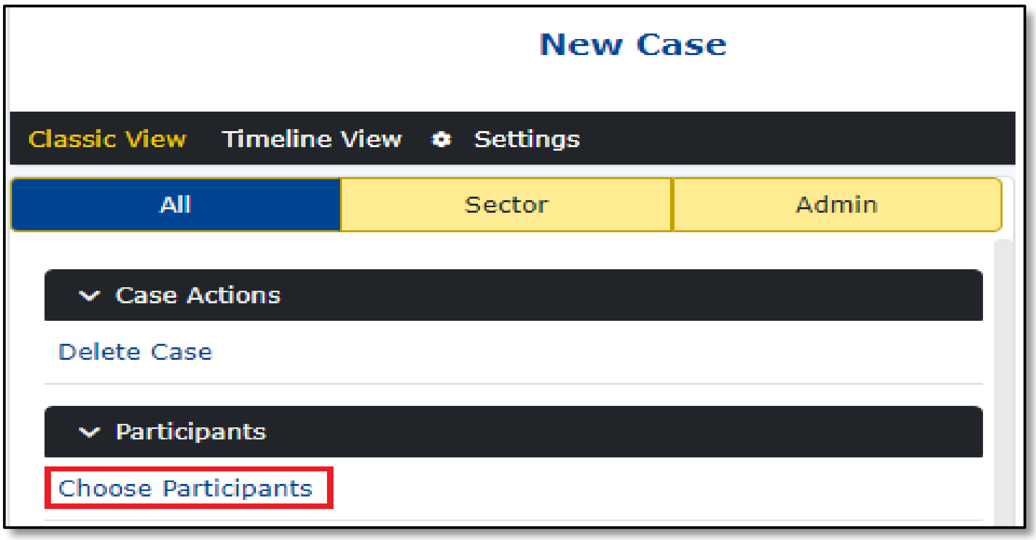


Figure 37: Choosing a new participant

Typing in at least two characters triggers a search for corresponding institutions (see Figure 38). An analytical description of the Institutions Search functionality is presented in section 6 "Institution Search").

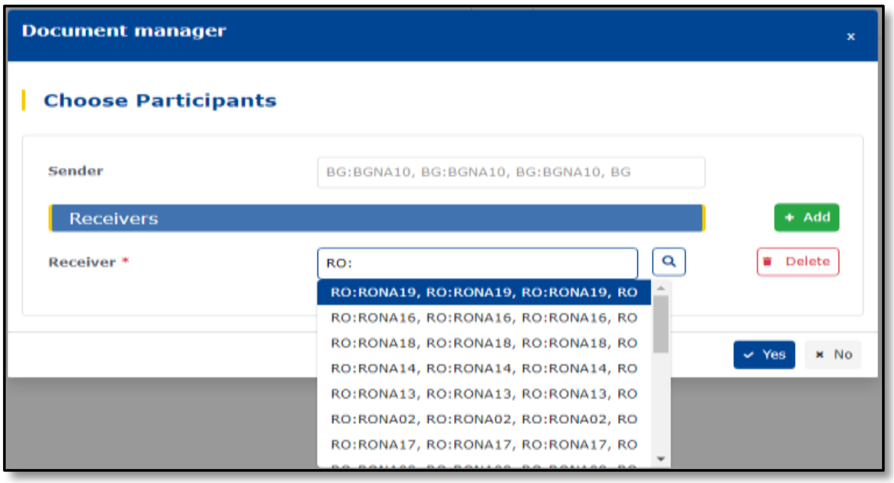


Figure 38: Selecting a counterparty

Some cases may require multi-lateral participation. To add another institution, click ADD link and type in at least two characters of the institution's name, as described before.

If the intended institution is not part of the list, the user can scroll down to get more results or even type the full code name.

Click YES when done (see Figure 39)

Figure 39: Multilateral participation

Example: *After creating an "Old Age Pension Claim" case in ESP, the institution (Case Owner) identifies all countries where the claimant has lived or worked. The next step is to identify the responsible institution(s) in every one of them. The case owner will then add the institution(s) as receivers in ESP. The application informs the added counterparties automatically when the business messages are exchanged in the case.*

7.6 Case Management Views

The SEDs of a case can be presented in two different views: the CLASSIC VIEW and the TIMELINE VIEW (see Figure 40, Figure 41). Figure 40 shows the TIMELINE VIEW, where SEDs are presented in a timeline.

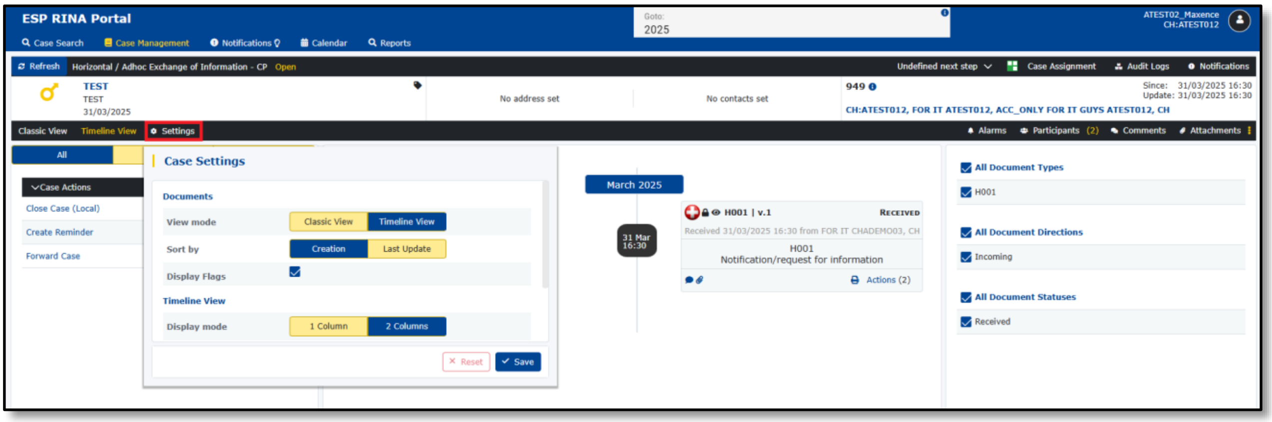


Figure 40: Time view mode

Views can be switched by clicking on a CLASSIC VIEW or TIMELINE VIEW at the left side of the CASE INFORMATION BAR (Figure 41).

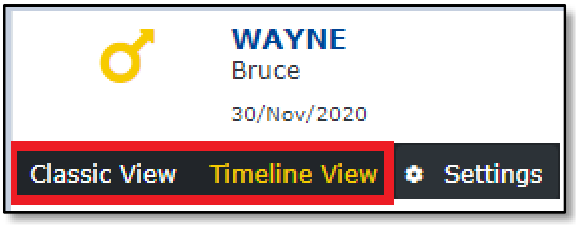


Figure 41: Selecting a SED view mode

Alternatively, the user can click on SETTINGS in the top right corner of the CASE MANAGEMENT VIEW and select a mode in the pop-up window (see Figure 42).

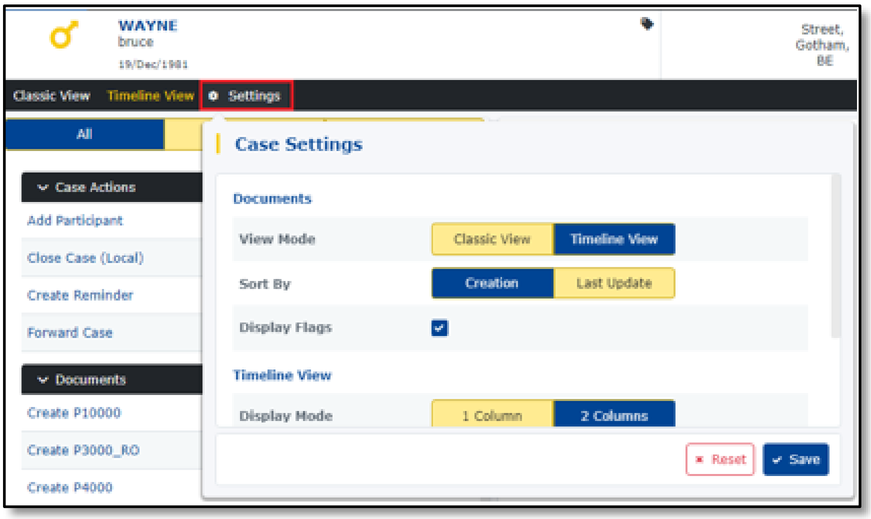


Figure 42: Selecting and configuring a SED view mode

In addition to that, the pop-up window offers possibilities to configure both views. There is a sort function available and the option to set an alarm (cf. section 7.9.5 on the latter). For the CLASSIC VIEW mode, the additional parameter GROUP BY MONTH is available.

The user can open the SED by clicking on the blue sheet [ ] icon on the SED information bar of the Classic View (see Figure 43).

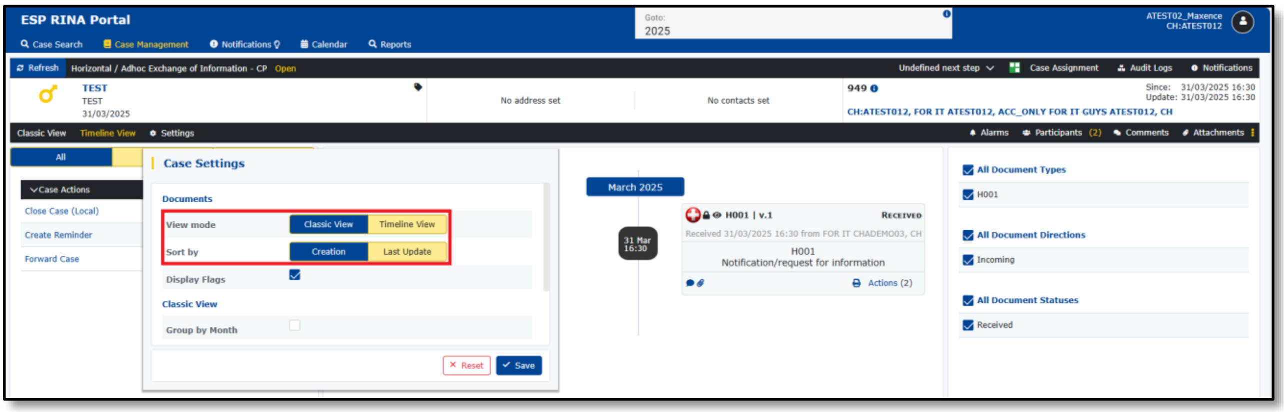


Figure 43: Classic view options

In addition, the link [ ], located at the left-bottom corner of the SED, can be used for full window view (the right part of the form with the Comments and Attachments is disappeared). To reset the full screen view just press on the same link once more.

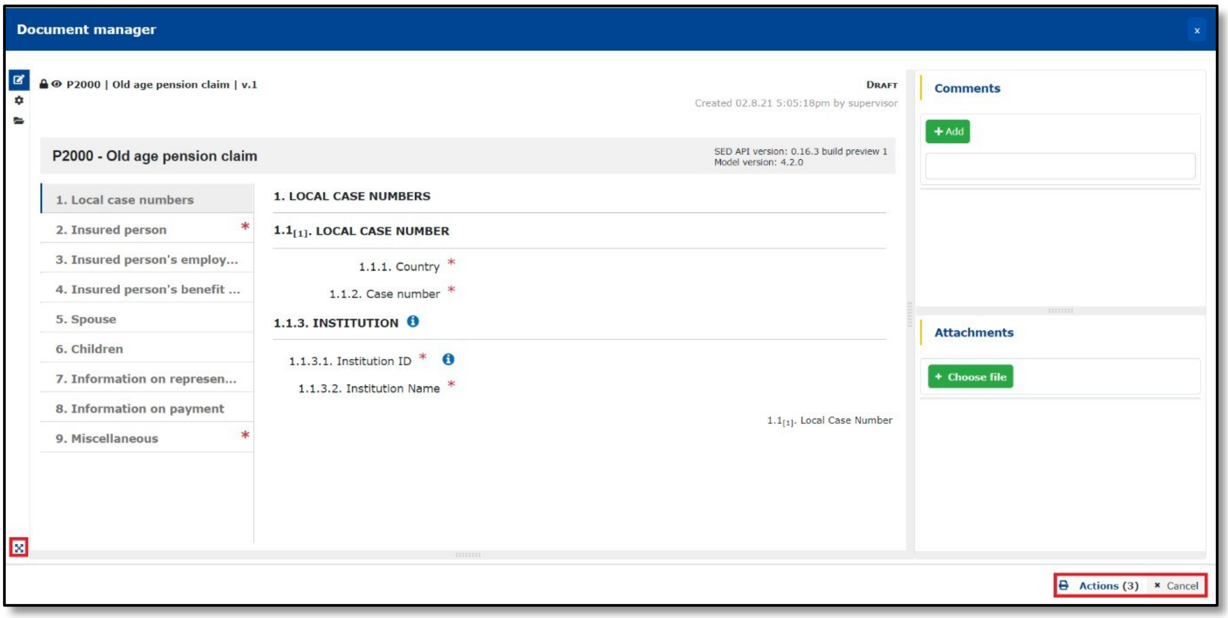


Figure 44: SED preview and action links

The TIMELINE VIEW provides a visual presentation of the SED exchange history between the user's institution and the other case participants. This view offers two different modes: A 1-column mode (see Figure 47) and a 2-column mode (see Figure 45). Based on size restrictions, the 2-column mode provides a more compact overview of the interaction in the case.

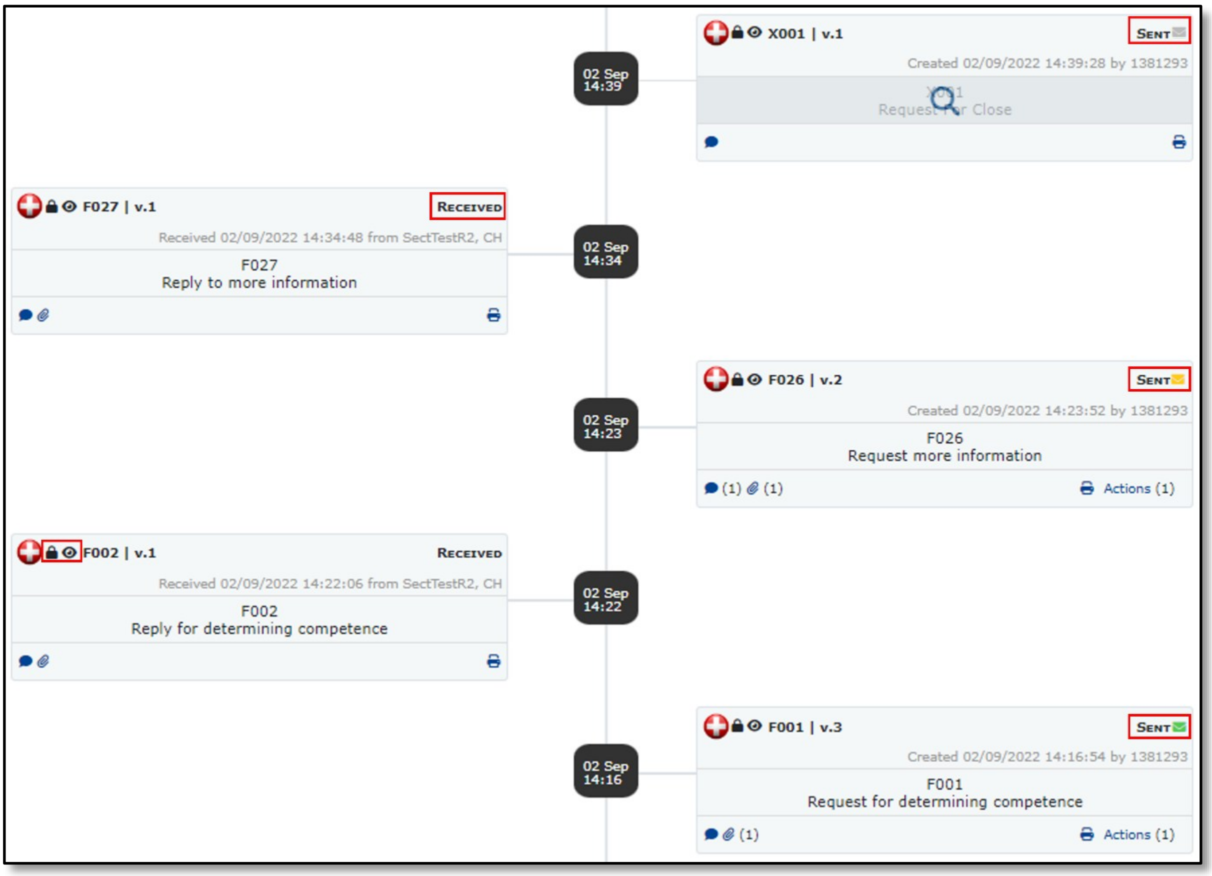


Figure 45: Timeline view (2 columns)

Incoming and outgoing messages are marked as RECEIVED or SENT. For outgoing SEDs, the envelope icon next to the label SENT indicates whether the SED has only been dispatched so far (grey colour envelope), whether it has been successfully delivered and acknowledged (green colour envelope) – or whether it has been partially acknowledged (i.e. not all the CPs have acknowledged the SED – yellow colour envelope), see Figure 45.

In case the SED exchange has failed (status: 'Error') the envelope colour will turn red. The user can trigger the message to be resent by clicking the [] tab in the document manager and clicking on the RESEND link of the relevant SED (see Figure 140). After resending the message, its envelope colour will become yellow until the receipt or error will be generated (in case of error the envelope colour will turn into red while in case of success the envelope colour will turn into green) Both TIMELINE VIEW and CLASSIC VIEW provides information concerning Document Details [] and Business Certificate [] (see Figure 46). The information corresponding to any SED will be available by clicking the relevant icons (see Figure 47).

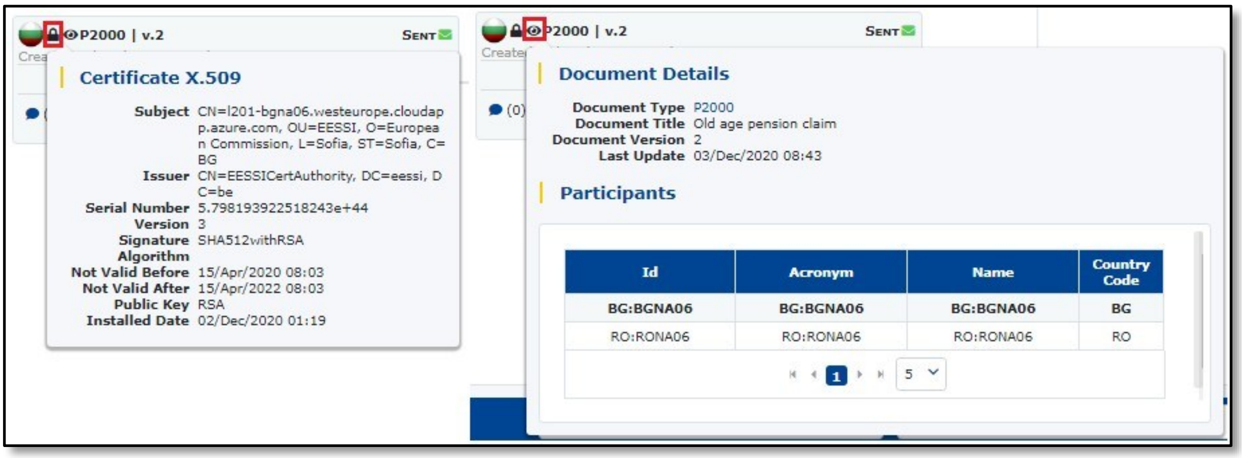


Figure 46: Document Details and Certificate X.509

The description of the information provided under "Document Details" and "Certificate X.509" popups is given on the Table below:

LABEL	DESCRIPTION
Document Details *("Case/SED relationship" feature)*	Section providing information about the Document is exposed, including indication about document relationship of existing SEDs in the specific case
Document Type	The type of the document (e.g. P2000)
Document Title	Document title (e.g. Old Age Pension Claim)
Document Version	The version of the document (i.e. version 2)
Last Update	Last update for the document (dd/mm/yyyy hh:mm)
Parent Documents	Allows the users to consult information about relationsbetween documents (SEDs) related to a Case (e.g. S055 | Application for Cash Benefits)
Participants	The participants which are part of the exchange (Sender,Receiver, Participant)
Certificate X.509	Section providing information about the Business signatureof the specific SED
Subject	The subject field identifies the entity associated with thepublic key stored in the subject public key field.
Issuer	The issuer field identifies the entity that has signed andissued the certificate
Serial number	Serial number describes the unique number assigned by theCA to each certificate
Version	The field describes the version of the encoded certificate
Signature Algorithm	The signature Algorithm field contains the identifier for the cryptographic algorithm used by the CA to sign this certificate

Not Valid Before	The certificate validity period is the time interval during which the CA warrants that it will maintain information about the status of the certificate
Not Valid After	The certificate validity period is the time interval during which the CA warrants that it will maintain information about the status of the certificate
Public Key	This field is used to carry the public key and identify the algorithm with which the key is used (i.e. "RSA")
Installed Date	The Certificate latest configuration date (i.e. "*02/Dec/2020 01:19*"). This date parameter is updated everytime the certificates are installed or updated in the administration portal.)

The Certificate X.509 contains technical details concerning business signature.

In addition, the clerk can check the comments and the attachments on a specific SED by clicking on icons respectively (Timeline view).

The link ACTIONS can be used to selected the required available SED.

At last, the icons and , indicate that a batch SED (with master and children's sections)have been saved as "Draft" with correct and incorrect validated children sections respectively.

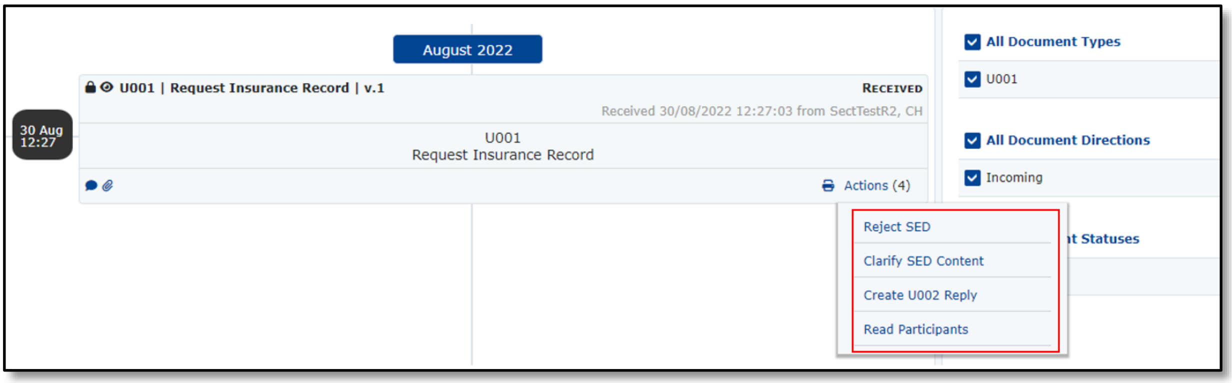


Figure 47: Timeline view (1 column)

7.7 Case Notifications

Whenever something relevant happens with regard to a case – such as the arrival of a new SED or a request to assign the case to a new clerk – the system generates a notification about this event. The different types of notifications are explained in detail in section 8.

The notifications relating to a specific case can be accessed from the CASE MANAGEMENT VIEW. Clicking on the notification area opens a detailed view for the case notifications (Figure 48). This area offers the same possibilities, including filter options and notification actions, as the full Notifications; the only difference is that only notifications for the specific case are displayed. For this reason, please refer to the sub-sections of section 8 for a more detailed explanation of dealing with case notifications.

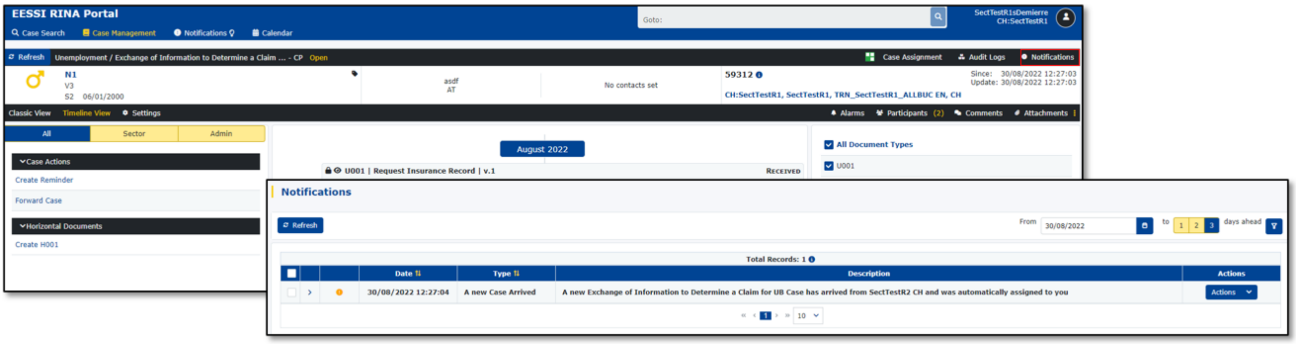


Figure 48: Opening case notifications

7.8 Case Action Bar

The CASE ACTION BAR at the left of the case management module offers the possibility to call on a variety of different actions. The precise array of possibilities depends on the case type and current state of the case. Actions can either affect the entire case (cf. sections 07.9 and 7.9.11), or specific SEDs exchanged in the context of a case (cf. section 7.6). The CASE ACTION BAR offers the possibility to filter the available actions by clicking on ALL, SECTOR and ADMIN. Clicking on SECTOR displays only the actions that belong to the specific business logic of the current case (e.g., the creation of certain case-specific SED types).

Clicking on ADMIN covers the administrative case actions that are essentially identical across case types, e.g., closing, deleting or forwarding a case. ADMIN also allows the user to create additional horizontal SEDs that represent crosscutting information exchanges needed in different social security sectors.

Clicking ALL shows the combined list of sector-specific and administrative actions (see Figure 49).

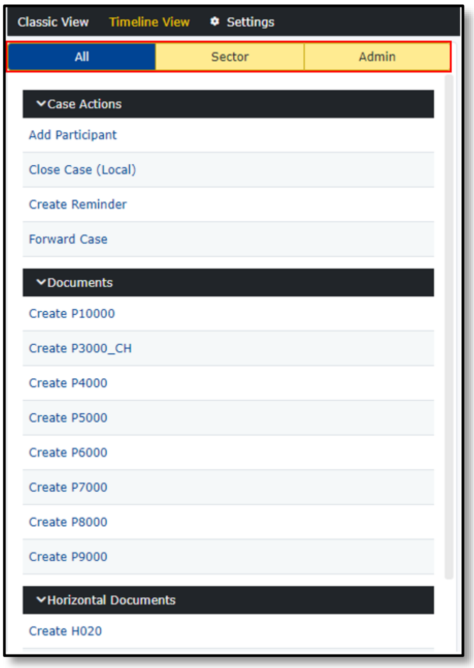


Figure 49: Available Case Actions

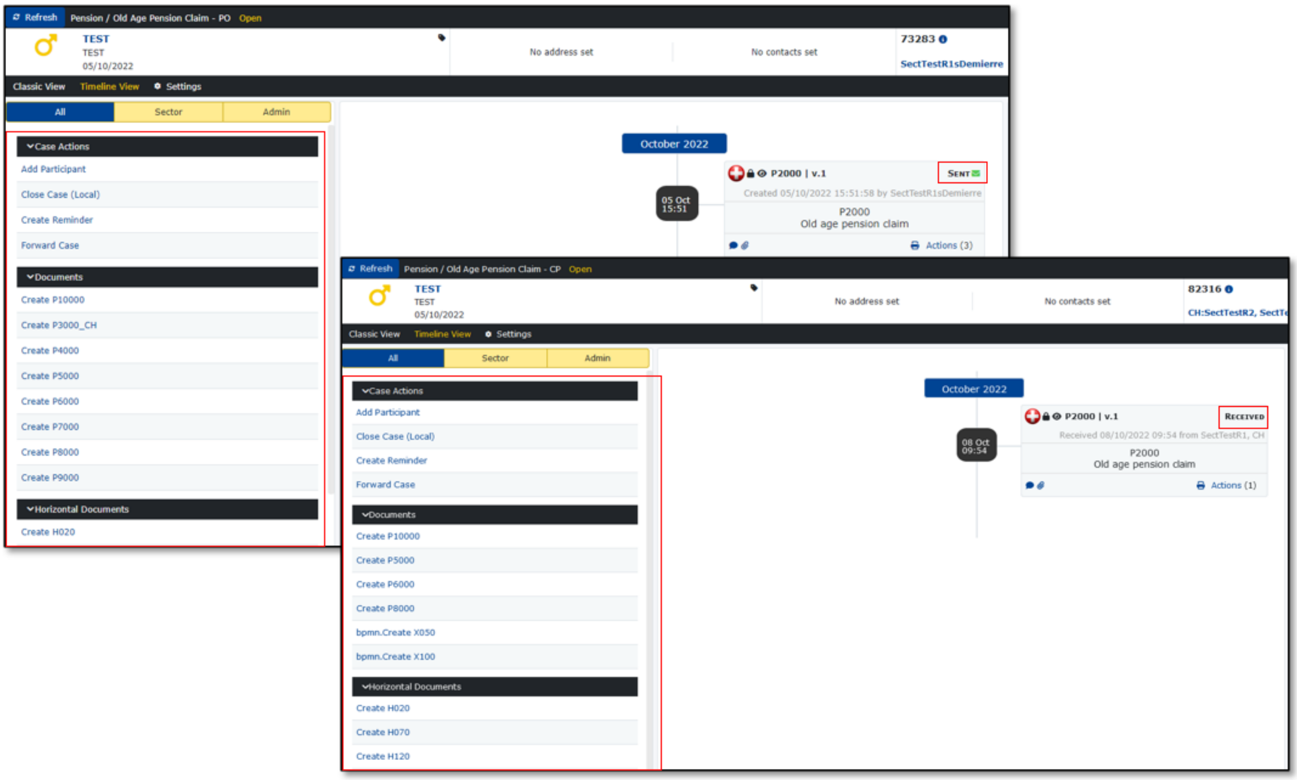


Figure 50: Different available actions on Case Owner and Counter Party

Notes:

- *Most case actions become available only as soon as – at least – one case participant has been selected (cf. section 05) as per business logic.*
- *The business logic of the case type determines which SEDs can be sentat which state of the case (e.g., some SEDs can be sent only as a replyto specific preceding SEDs). The actions are controlled in a stateful guided manner by ESP. Hence, ESP automatically restricts the creation of SEDs to the appropriate ones of the current state of the case (see Figure 50 for an example).*
- *The same applies to the creation of horizontal SEDs; only those whichare admissible can be triggered in the case current state at any givenpoint in time*

7.9 Local Actions at Case Level

7.9.1 Case Assignment, Criticality and Importance of a Case

Notes:

- *ESP software offers Local actions support functionality;*
- *Local Actions do not involve exchanging of any messages; hence no involvement of other participants;*

Please be advised that for every case, certain actions are only available when specific conditions and dependencies are met.

7.9.2 Assigning Cases

Cases can be assigned to users, or groups, under certain roles (please cf. section 4 for more information on roles and groups). These users can navigate into cases in their ESP application, execute case specific actions (for example sending SEDs), and receive notifications with relation to that case.

Assigning cases feature is reserved for the user assigned to the supervisor role of a given case. A clerk can only request a case assignment.

This request is sent under the form of a notification to the corresponding supervisor, who accepts or rejects the request. The clerk will be notified about the decision via another notification.

To assign cases to users or request the assignment of a case, the case assignment bar needs to be opened.

This can be done via either:

- The CASE ASSIGNMENT link at the CASE ACTION BAR within the CASE MANAGEMENT VIEW of the specific case can be used (see Figure 51 - as also detailed in section 5).
- Alternatively, the ASSIGN link of the relevant notification at the NOTIFICATIONS menu (see Figure 52 more generally section 8.3 on notification actions).

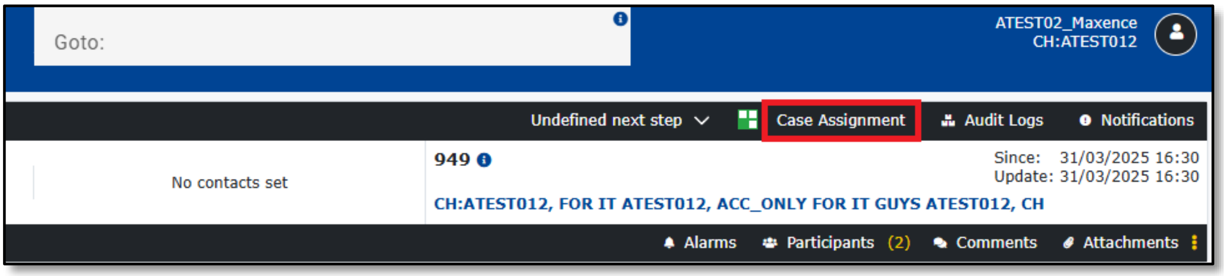


Figure 51: Case assignment link inside the case management view

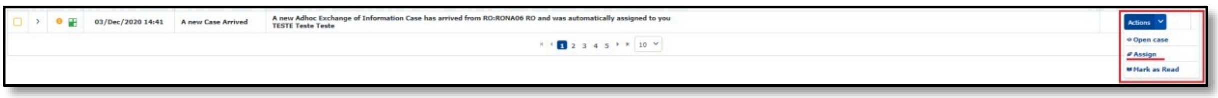


Figure 52: Case assignment via a notification action

The case assignment toolbar will appear in a pop-up window. First, a role needs to be selected (see Figure 53). Depending on the selection, the user can select users and/or groups under the label ASSIGNED USERS/GROUPS.

Groups may be hierarchical, which means that after selecting a group, the selection of a sub-group and even of a single user may be possible. It is possible to select more than one (sub-) group or user by clicking ADD link.

If the user is not a supervisor but still wants to request the assignment of a case (by a supervisor), he/she has to click the link: REQUEST ASSIGNMENT TO ME (see Figure 54).

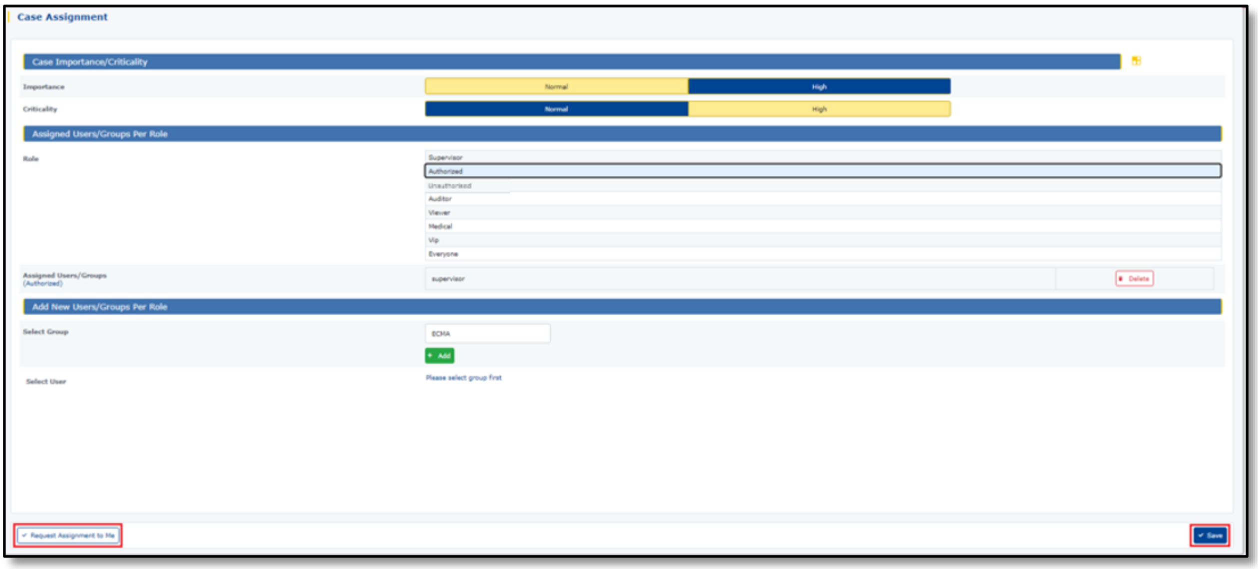


Figure 53: Requesting assignment of a case

In order to complete the request, the user can populate a textbox for an optional comment, select of one or more specific role(s), depending on the actions he/she needs to perform with the case (cf. section 4 on permissible actions for different roles) and clicking on the SAVE link (see Figure 54).

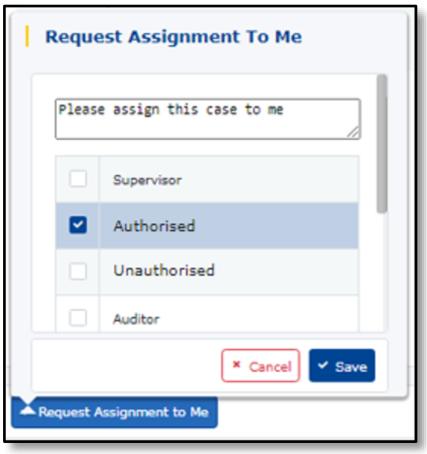


Figure 54: Case assignment options

If the user selects a role with regard to the specific case that already has,the entire request is rejected as erroneous. Consequently, when a user already has access to a case and needs further permissions, then he/shehas to select only the new additional roles in his assignment request.

Subsequently, the respective supervisor will receive a notification about the request and will be able to directly accept or reject it from the notification view (see Figure 55 – cf.

section 8 for more information on notifications and section 08.3, in particular).

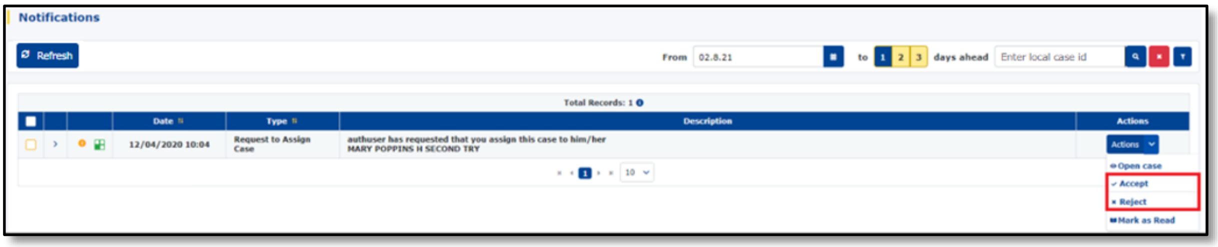


Figure 55: Accepting or rejecting a request for case assignment

7.9.3 Setting Criticality and Importance of a Case

For an institution, some cases may be of higher criticality and importance than other ones. For all institutions participating in a case, local managers therefore have the possibility to set a local criticality and importance for every case.

Please note that only users with supervisor role in ESP will be able to use this functionality.

To set criticality or importance of a case, click CASE ASSIGNMENT link at top right hand side of the CASE MANAGEMENT VIEW (see Figure 56).

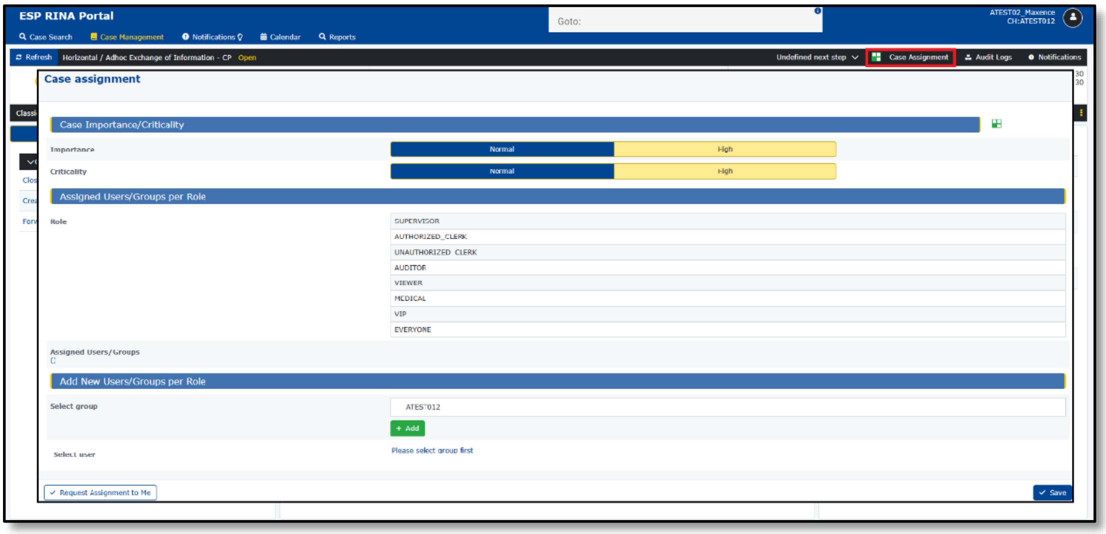


Figure 56: Case assignment bar

A case can be of normal or high importance and can have a normal or a high criticality. The criticality and importance of each case is often represented as Eisenhower matrix. The lower left configuration [ ] represents the default case state assigned by ESP application. This matrix can have any of the four following states (see Figure 57):

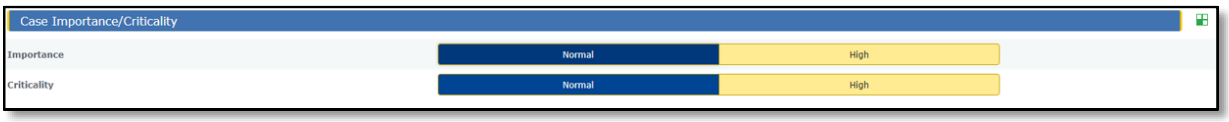


Figure 57: Possible states of the importance/criticality matrix

To confirm a selection click SAVE link at the bottom of the case assignment side bar (see

Figure 56). All existing notifications belonging to a certain case will be labelled with the case matrix (see Figure 58).

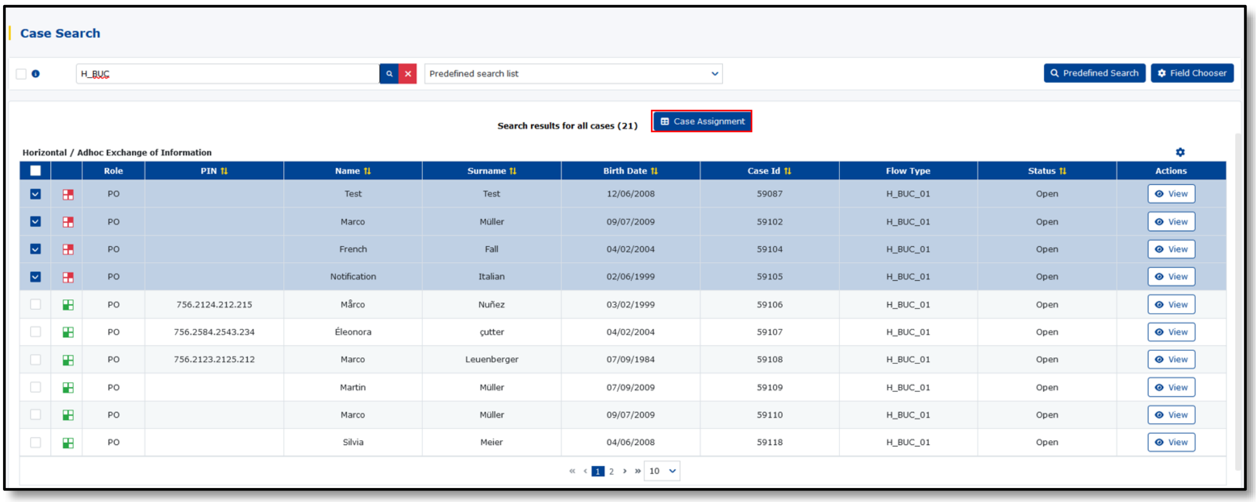


Figure 58: Labelled notifications in the Notifications

The importance and criticality settings are for informative purposes only and have no direct influence on the workflow in the software. They are strictly local information not transmitted to other case participants.

7.9.4 Classify Cases as Sensitive

Some cases require special protection and should be accessed only by users with a special VIP role (cf. section 4). To flag a case as particularly sensitive, open the case metadata by clicking on the small label icon (see Figure 59).

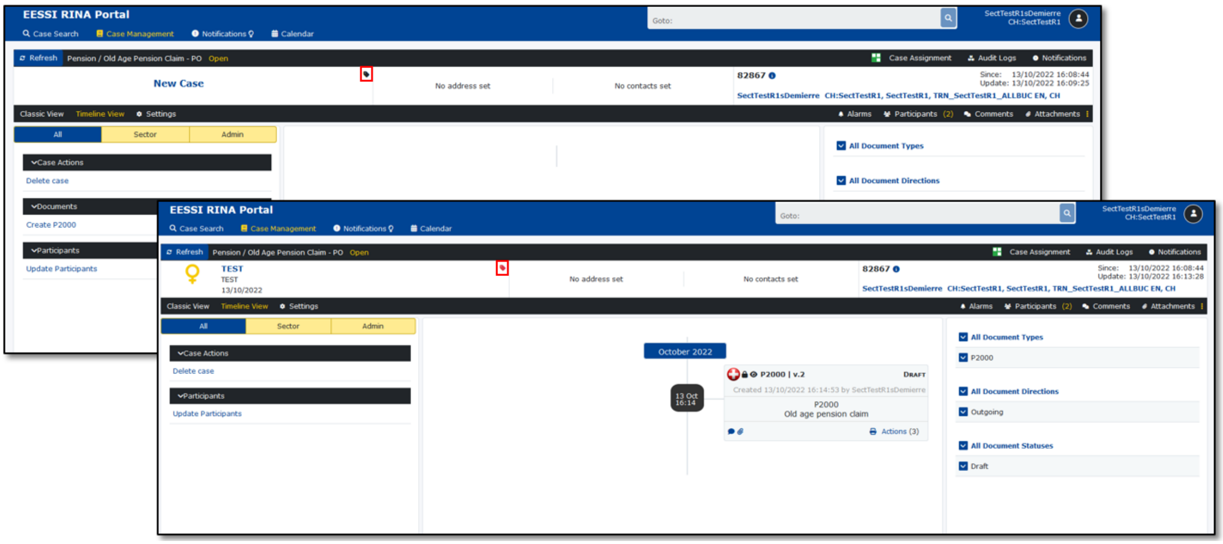


Figure 59: Opening case metadata

In the ensuing dialogue, the sensibility of the specific case can be set by clicking either YES or NO (see Figure 60) and confirming the change by clicking on the SAVE link. If the option is selected for a specific case in ESP, it cannot be unselected any longer for that case as soon as it has been sent. Only ESP users with VIP role can modify the Sensitive Case flag.

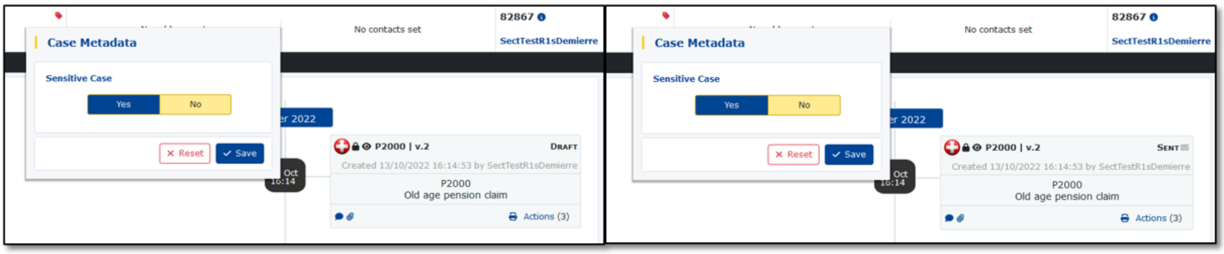


Figure 60: Case Metadata: Setting the flag for sensitive cases

7.9.5 Setting Case Alarms

Sometimes, a case cannot be processed any further before replies from other parties have come in, but it is necessary to check later if these replies have arrived in time or even in general.

For these situations, ESP allows users to set alarms for a specific future date and time. Notifications should have a short explanatory text to help the users to remember the reason the alarm was set. Several alarms can be set for the same case.

Once the alarm expires, the user receives an appropriate notification in the Notifications. As usual, the case that belongs to the alarm can be accessed directly from the notification (see Figure 61).

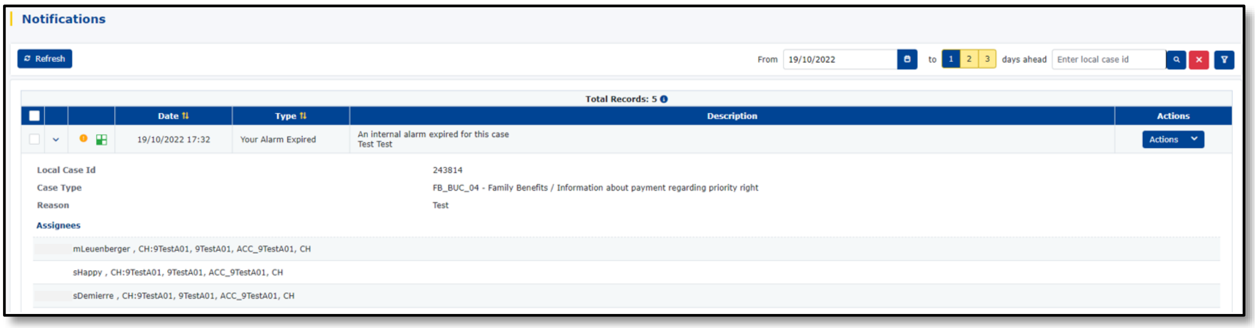


Figure 61: Notification about an expired alarm

The user can set alarms individually and independently of any other action, by clicking on the appropriate icon in the CASE MANAGEMENT VIEW.

The user can enter the date and the time of the alarm, as well as the explanatory text, on the pop-up window described on (see Figure 62).

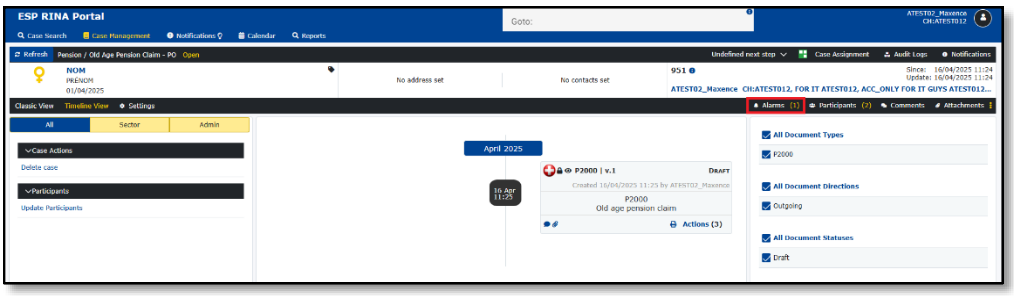


Figure 62: Icon for setting a Case Alarm in the case management view

A second possibility is to set an alarm during the SED sending procedure (cf. section 7.12.1 on the general process for sending SEDs). In the pop-up that displays the document (SED) type and recipients for final review before actual sending, an alarm can be set by ticking the appropriate checkbox. Date, time and explanatory text can also be set up directly in this dialogue (see Figure 63).

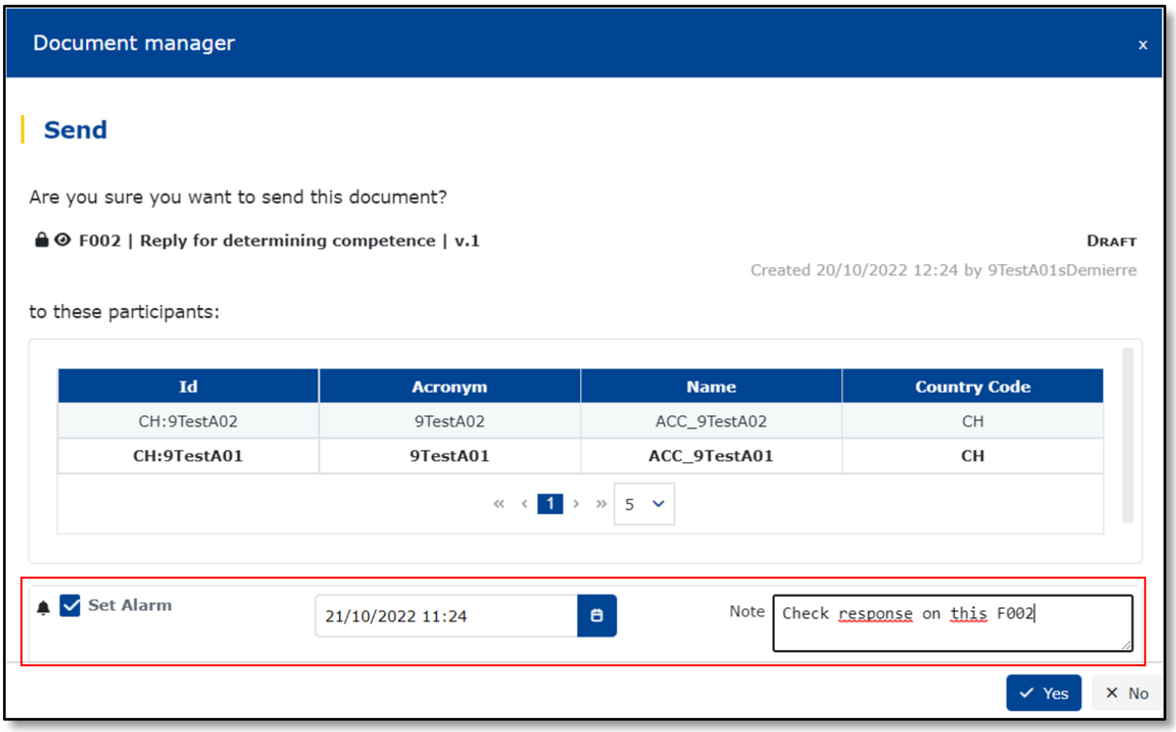


Figure 63: Checkbox for setting an alarm when sending a SED

When configuring the CASE MANAGEMENT VIEW, it is possible to define that an alarm should be set for all outgoing (sent) SEDs at a specified number of days after the successful deliver of the SED. In this case, the appropriate alarm options in the SEND DOCUMENT dialogue will automatically be set, although it is still possible to change or deactivate them for a specific SED (see Figure 64).

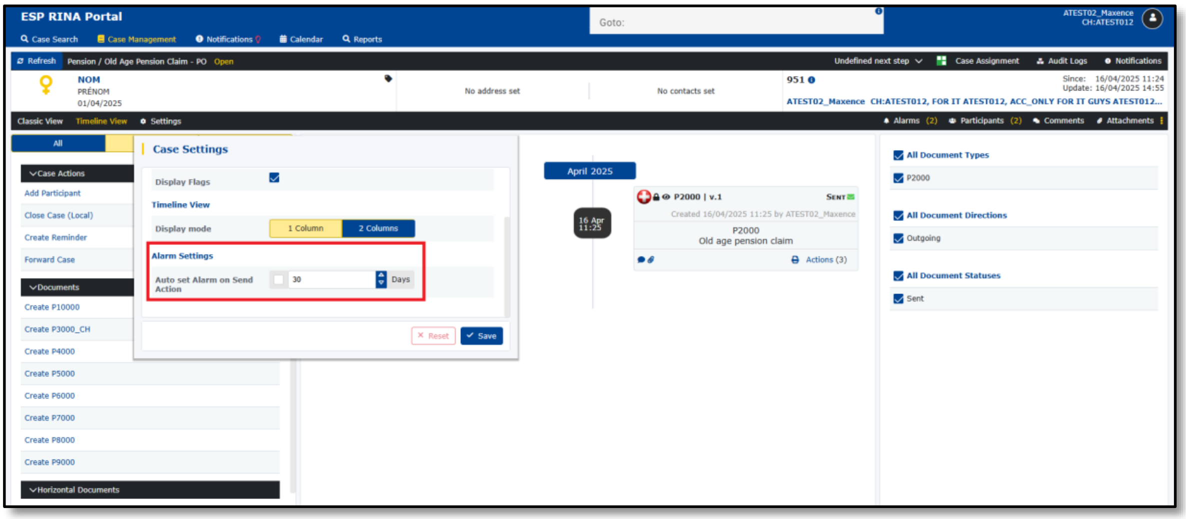


Figure 64: Setting automated alarms for all SED sending actions

The importance and criticality settings are for informative purposes only and have no direct influence on the workflow in the software. They are strictly local information not transmitted to other case participants.

7.9.6 Deleting a Case

Deleting a case is only possible as long as no messages have been sent to other institutions. Hence, this option is available only to the Case Owner, and only prior to sending the first case-related SED.

If these prerequisites are fulfilled, a DELETE CASE link is available in the left sidebar of the case management workspace (see Figure 65).

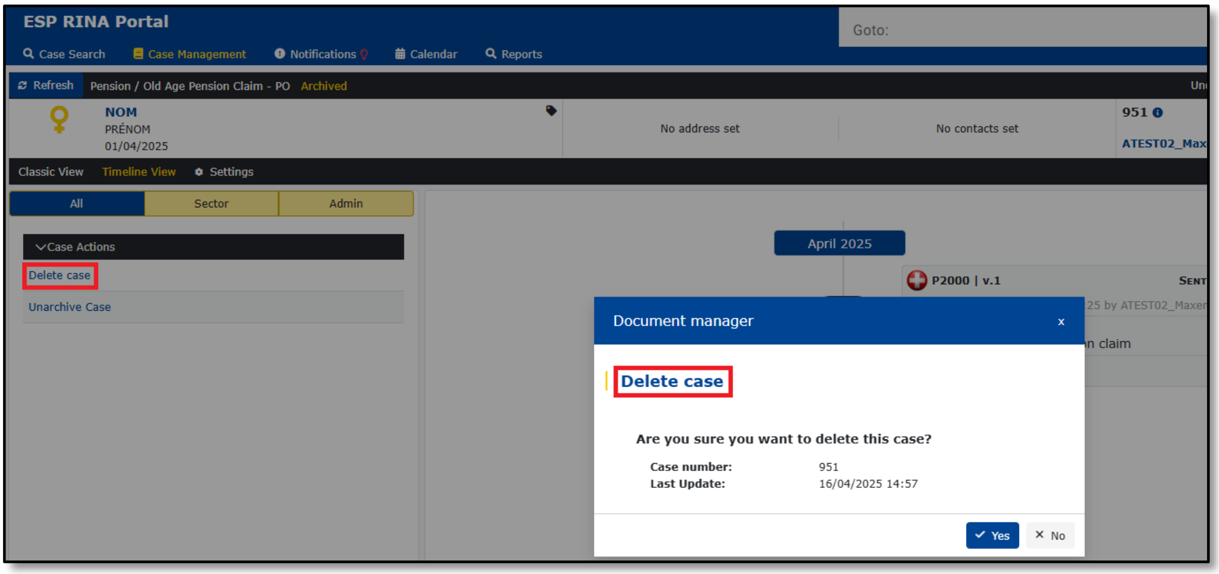


Figure 65: Delete case link

Cases that have been accidentally opened, can be removed from the system by this action.

There is NO possibility to ***UNDO*** *the Case deletion action. Use this function with special attention.*

7.9.7 Closing a Case locally

An institution can locally close and reopen a case while it officially stays open as far as other participants are concerned. Closing a case locally may be reasonable after an institution delivered all required information to another institution. If the institution from administration perspective want to indicate that a case is "complete" (e.g., if it is at a state where no other messages are exchanged, or if the case needs to get archived), it can close a case locally. To do so, click on the link CLOSE CASE (LOCAL) in the left side bar (see Figure 66).

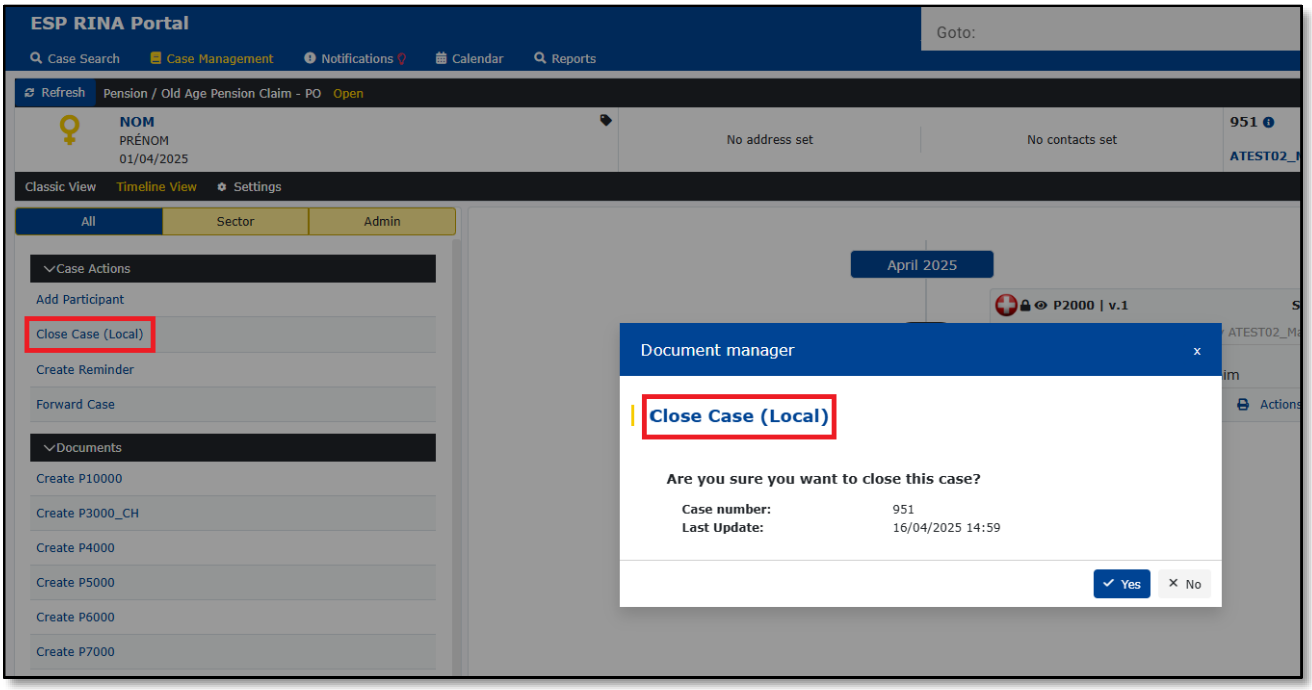


Figure 66: Close Case (Local)

Closing a case locally sets the state of the case to CLOSED (see Figure 67). After the local Case closing, newer messages and case notifications will get visible on the Case View once received/created. However, the user is unable to perform any case actions until the case will get local reopened.

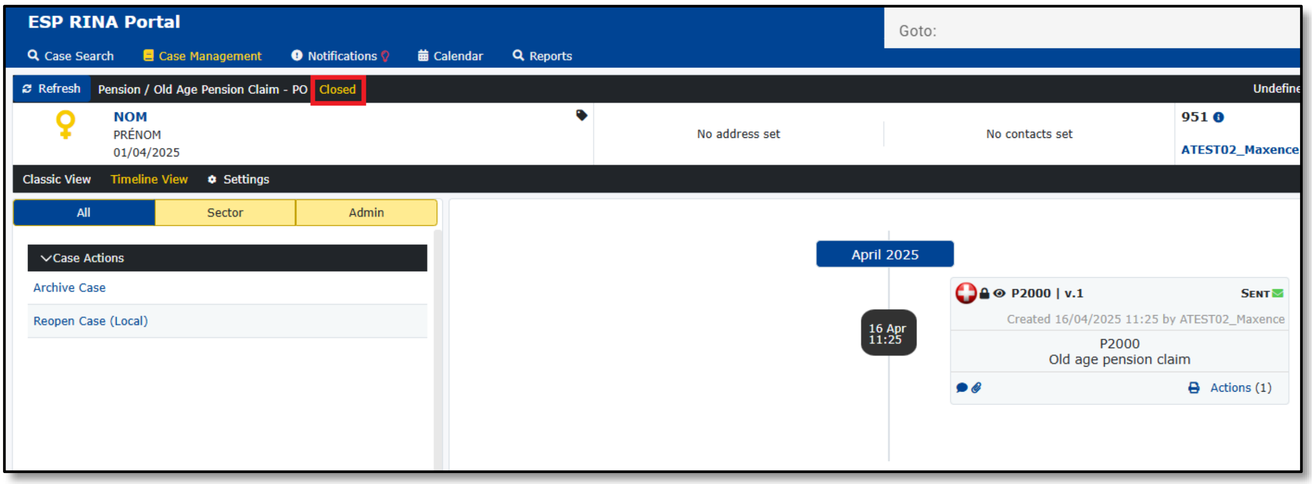


Figure 67: Case Status after closing it locally

- *Other case participants will not receive a notification when an institution closes or reopens a case locally.*
- *Case local close function is available only to case types that are not correlated with a (global) Close Case.*

7.9.8 Reopening a Case locally

If a case is locally closed, it can get locally reopened (see Figure 68). After reopening a case locally, all relevant case actions become available again.

When the Case needs to be locally reopened (for example: following the receipt of a newer message), click REOPEN CASE (LOCAL) link in the left sidebar of the case.

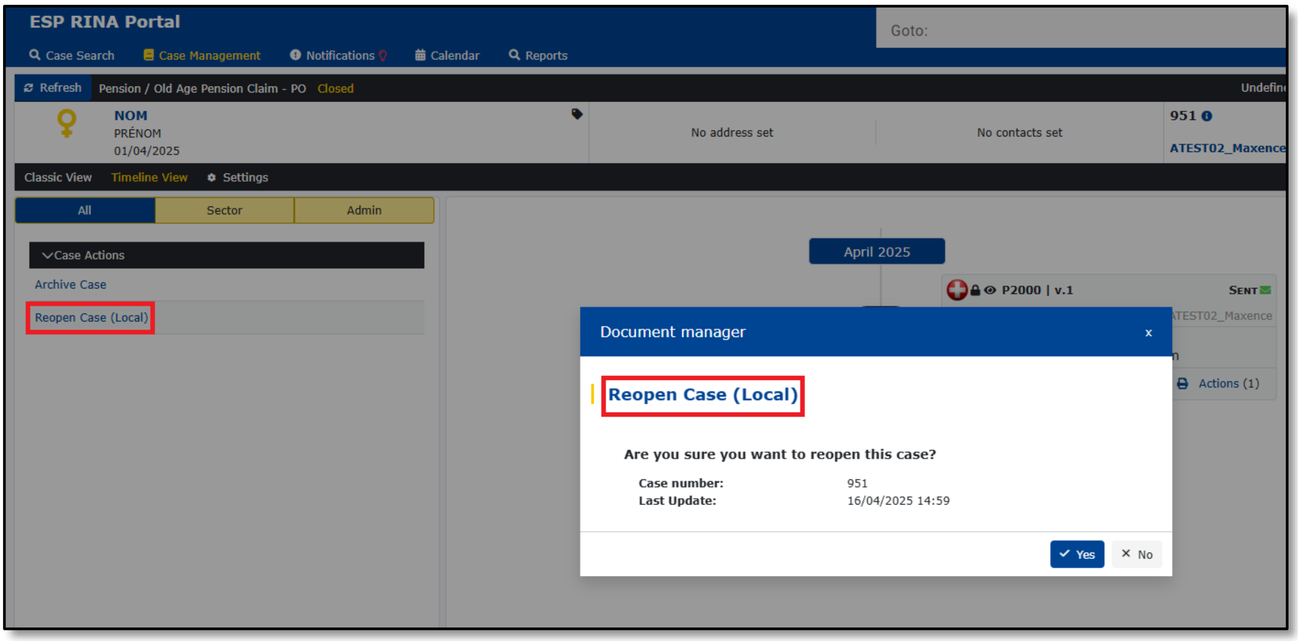


Figure 68: Reopening a case closed locally

7.9.9 Archiving a Closed Case

ESP allows institutions to set automated policies that archive closed cases after a certain period of time, which can be set individually for each Business Use Case. As this approach is completely automated, end users should not worry about this functionality.

However, once a case is closed, it can also be manually archived by clicking on the ARCHIVE CASE link as shown in the Figure 69. This will open a pop-up window (see Figure 70); click on YES to confirm the archiving of the case.

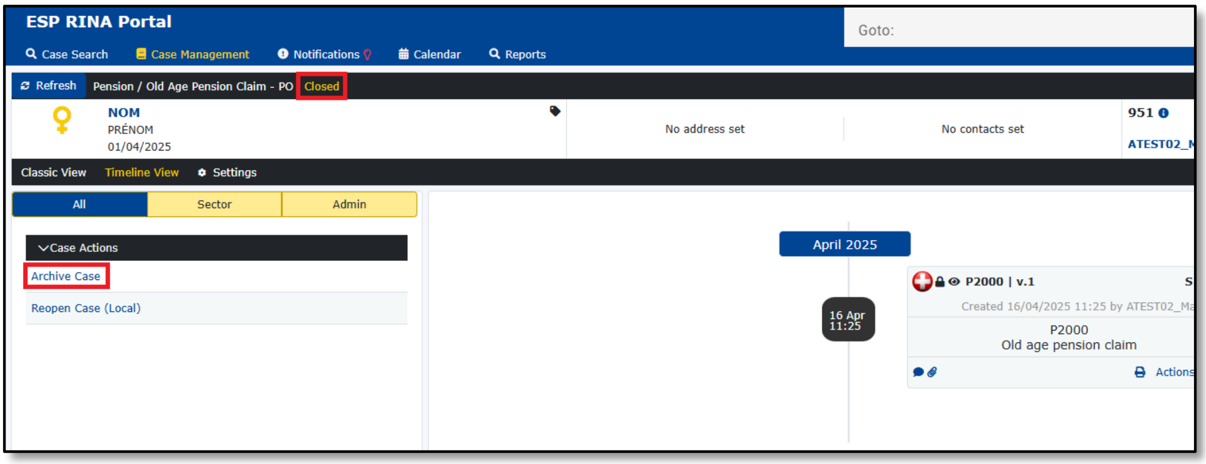


Figure 69: Archiving a case

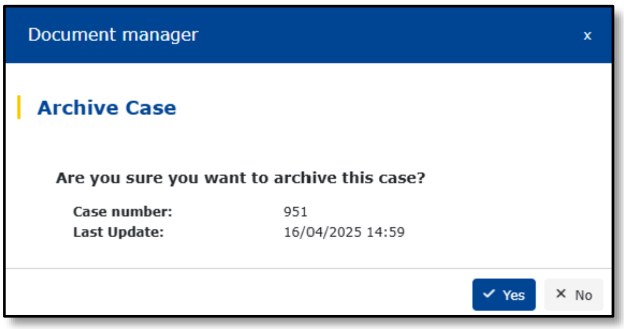


Figure 70: Confirm archiving a case

It is not possible to execute actions or view documents (SEDs) for an archived case.

7.9.10 Restoring (unarchiving) a Closed Case

An archived case (unless deleted) is still available through the Case Search (search for "archived" cases or directly by using the Case Number (local or international Case ID) with the text searching function). The case is restored by selecting UNARCHIVE from the Search Results View (see Figure 71). The restored case is still in status "Closed", unless its state is changed through further appropriate actions (i.e., reopen the Case).

There are few restrictions, which are needed to be taken into consideration:

- The business ID is a local parameter to the case and is at the moment not transported when the case is sent to the other case participant(s);
- When a case is unarchived, the same Local and Business Case IDs will be used after the case become active again.

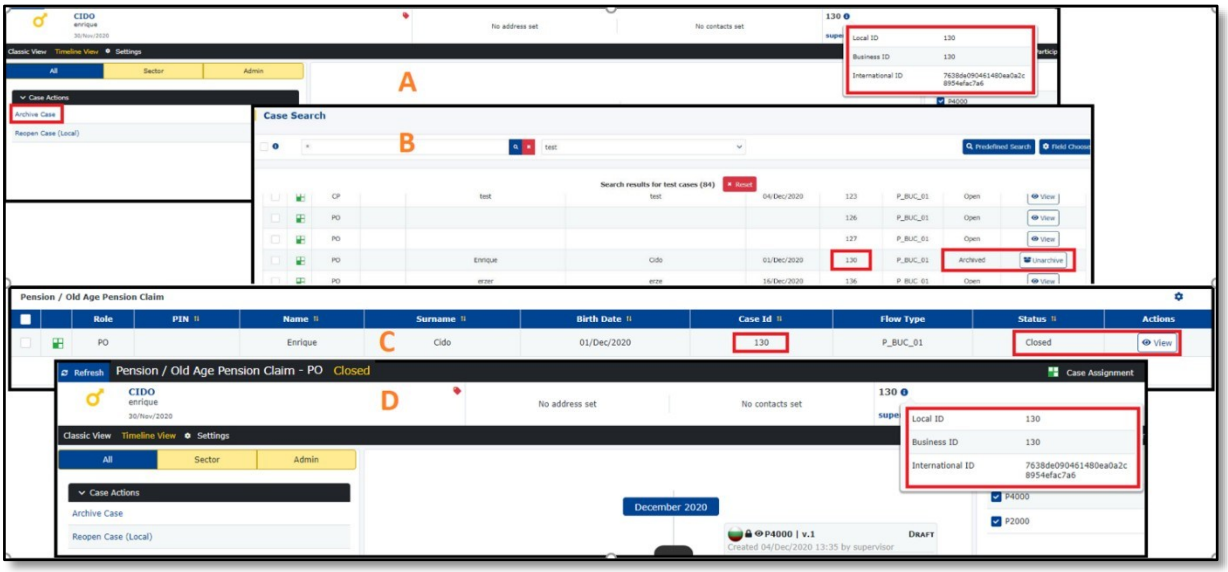


Figure 71: Close locally, archive and unarchived case flow

NOTE:

- *When (already created or received) cases in ESP 2020 get unarchived, the Local, Business and International IDs remain unchanged and can be used to point out uniquely specific cases locally (Local and Business ID) and globally (International ID). A representative example is given on Figure 71. For similar operations on cases created or received up to ESP2019, the local ID was changing to a new value.*

7.9.11 Updating Case Participants

To review the list of a case's participants and responsibilities, click on PARTICIPANTS link inside the CASE MANAGEMENT MENU (see Figure 72 & Figure 75).

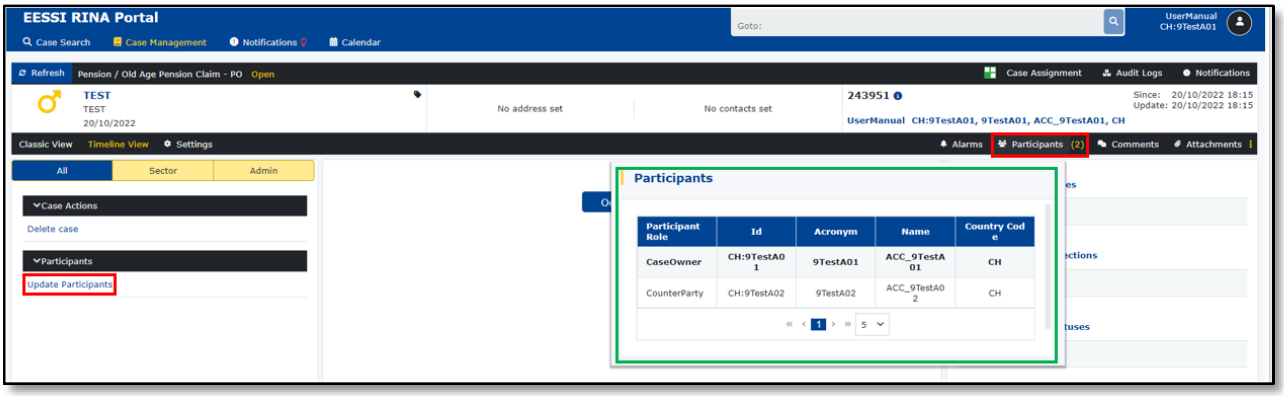


Figure 72: Reviewing case participants

It is possible to update (via adding or removing participants) from a case after the initial participants have already been chosen. This is an option, which in terms of sequence can be only triggered: a) after the selection of participants in a case, and b) before the point where no business messages have been sent till that moment into the specific case. To do so, click on UPDATE PARTICIPANTS link at the left sidebar of CASE MANAGEMENT VIEW (Figure 73).

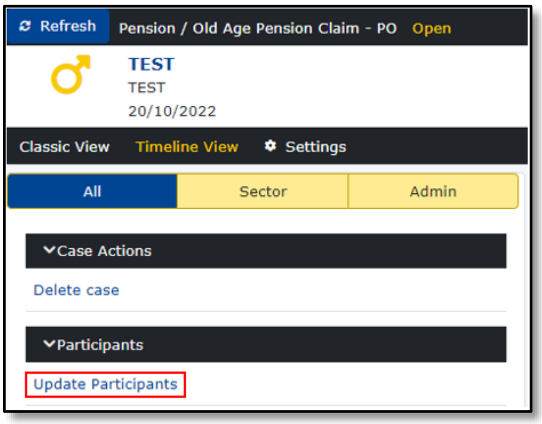
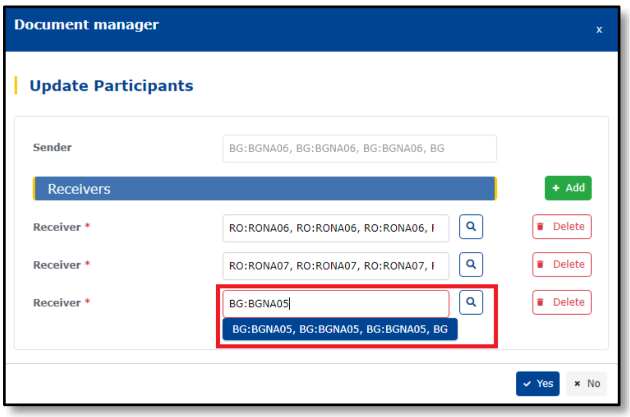


Figure 73: Updating case participants



In the upcoming dialogue, simply remove institutions by clicking on the DELETE icon next to a field already filled in with an institution's name, or add institutions by clicking on ADD after selecting the appropriate institution. Confirm by clicking on YES. To cancel, click on NO link (see Figure 74).

Figure 74: Managing recipients' list of Case participants (Update Participants)

7.10 Administrative Actions at Case Level

- *Exchange of Administrative SEDs (electronic messages) corresponds to actions that require communication with at least one additional participant.*
- *Because they affect multiple participants, they have been standardised as part of the EESSI business model.*
- *Please be advised that certain actions are only available when certain conditions and dependencies are met. In the current topic, administrative actions, are subject to applicability in terms of BUC type and the current process step, condition and dependencies.*

7.10.1 Adding Case Participants

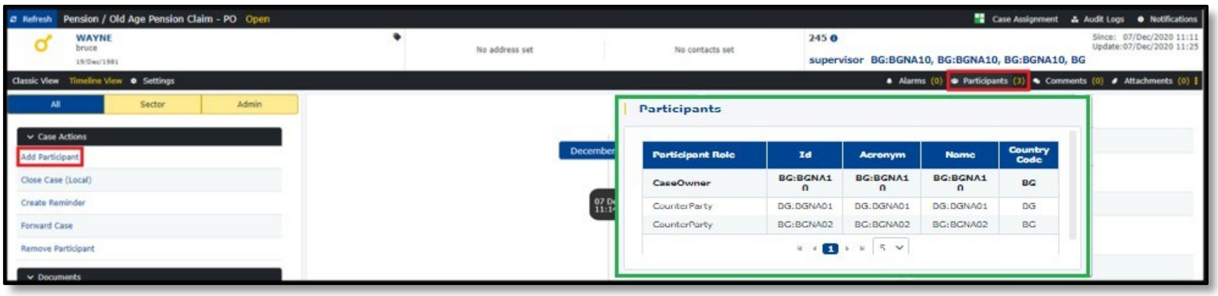


Figure 75: Participants List

To review the list of a case's participants, responsibilities and the corresponding institutions, click on PARTICIPANTS link inside the CASE MANAGEMENT VIEW (see Figure 75). This option depends on the case type, the current process step within the case in parallel to the conditions and dependencies.

It is possible to Add new Case Participants via clicking on the link ADD PARTICIPANT (see Figure 76). The X005 (relevant to this action) SED content form can be populated, saved and sent (see Figure 77). A new dialogue will open, where the new participant can be added.

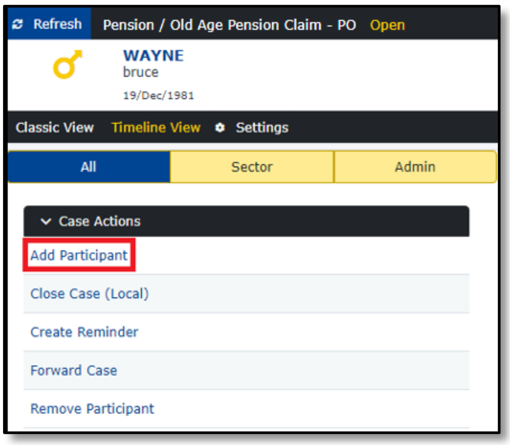


Figure 76: Add Case Participants

To Add a Participant, the triggering participant has to send an X005 SED to all the other existing case participants, plus to the new participant (the one which is added to the BUC). This way, all of the case participants get informed about the addition of the new participant into the case, and update their list of participants accordingly. Moreover, it is also possible to give a reason for forwarding the case. Although this is not strictly required, it is recommended to do so, so the new counterparty knows why the case has been sent to it. As soon as this activity takes place, **each participant must send the SED(s) that are valid, delivered, for which they are the originator AND that, by definition, were required to be sent to all participants**, to this new participant. Example: In P_BUC_01 v1.0.0, the P8000 is not defined as a "send to all participants". When adding a new participant, P8000 must be therefore excluded.

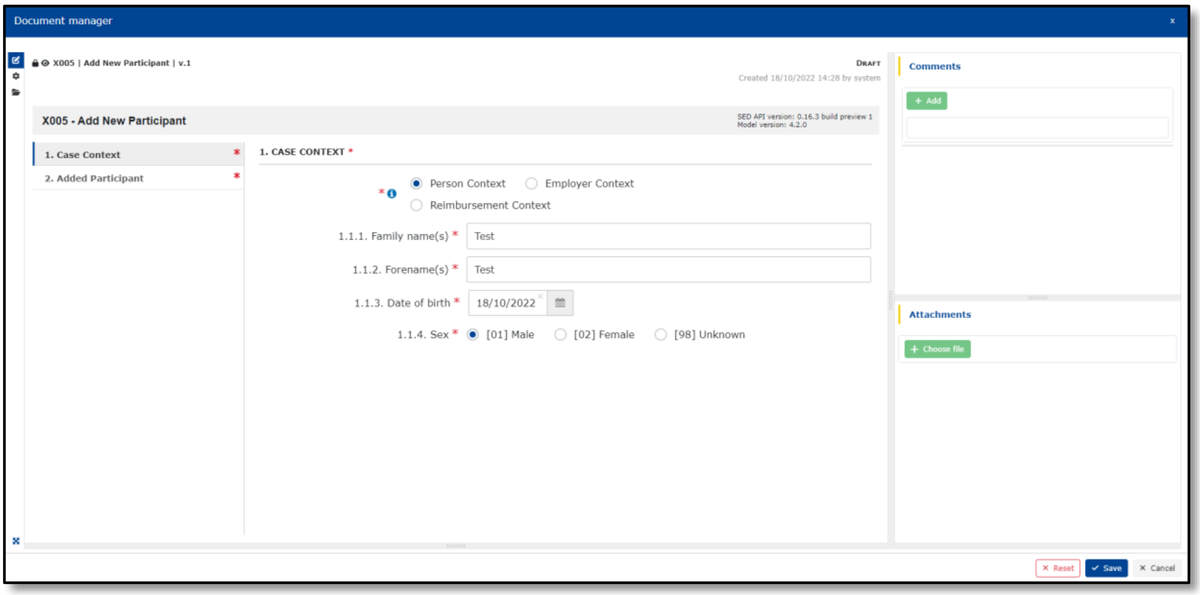


Figure 77: X005 SED - Add Case Participant Form

As soon as this activity finalises, a new participant has been added into the case and has received the relevant SEDs; the participant lists have included the additional institution.

NOTES

- *Adding participants triggers a notification for the added institution. Additionally, all case related SEDs would be forwarded to an institution that was added to the case. For further information about case notifications, refer to section 7.*
- *Only the Case Owner can add participants from any participant country. Case Counterparties in a case can only add further participants from their own participant country.*
- *No Add Participant actions apply in Bilateral Case types.*
- *Both the Case Owner and counterparties can add participants. This depends on the applicability in terms of the BUC type and the currentprocess step, condition and dependencies.*

7.10.2 Removing Case Participants

To remove a case participant, review the list of a case's participants and responsibilities, click PARTICIPANTS link inside the CASE MANAGEMENT VIEW (see Figure 75). This option depends on the case type and the current process step within the case. It is possible to Remove Case Participants via clicking on the link REMOVE PARTICIPANT (Figure 78).

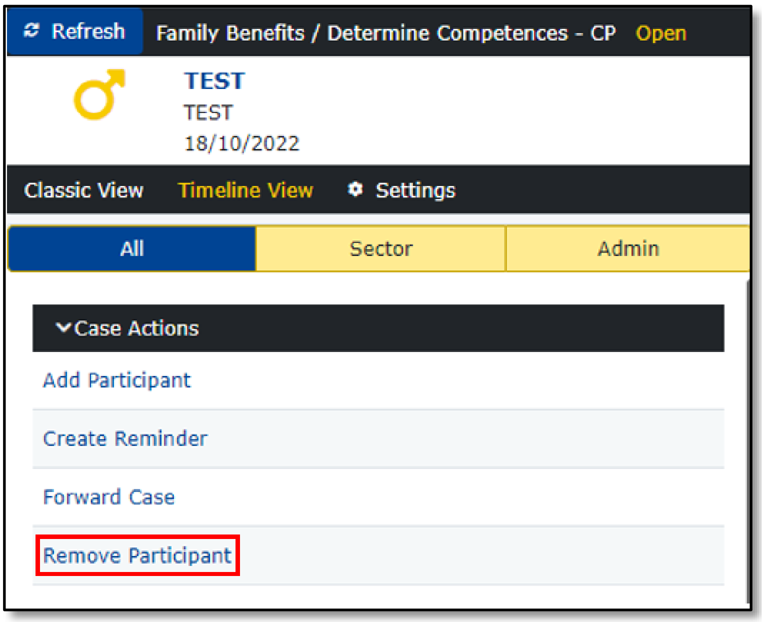


Figure 78: Remove Case Participants

The X006 (relevant to this action) SED content form can be populated, saved and sent (see Figure 79). A new dialogue will open, where the participant can be indicated to get removed.

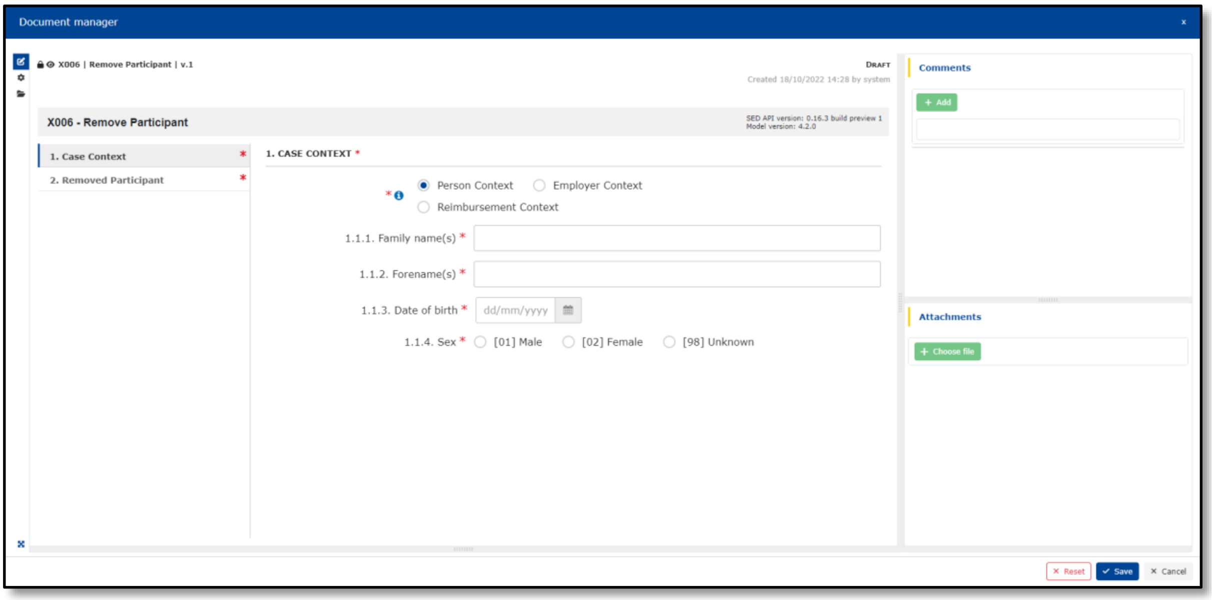


Figure 79: SED X006 - Remove Case participant form

To start the Remove Participant process, the triggering participant will send an X006 SED to all the other existing case participants, indicating the reason. This way, all of them get informed about the removal of the participant from the case, and update their list of participants accordingly. Following this action, the removed participant will not receive any further case updates or perform message exchange actions any longer.

NOTES:

- *Removing participants will trigger a notification for the removed institution.*
- *Remove Participant could be only performed when there are at least 3 active participants in the case.*
- *No Remove Participant actions apply in Bilateral case types.*
- *Case owner cannot be removed from the case.*
- *Counterparty can remove oneself (own entity).*
- *Both the Case Owner and counterparties can remove participants. This depends on the applicability in terms of the BUC type*

7.10.3 Forwarding a Case

Cases can be forwarded from one participant to another, which has not yet been involved in the case and which should take part in the case instead of the forwarding institution. This may be necessary, for example, in the case that the forwarding institution has no capacity to handle the case, or if it has been involved into the case by mistake. This option depends on the case type and the current process step within the case.

To forward a case click on FORWARD CASE link in the left sidebar of the CASE MANAGEMENT VIEW (see Figure 80).

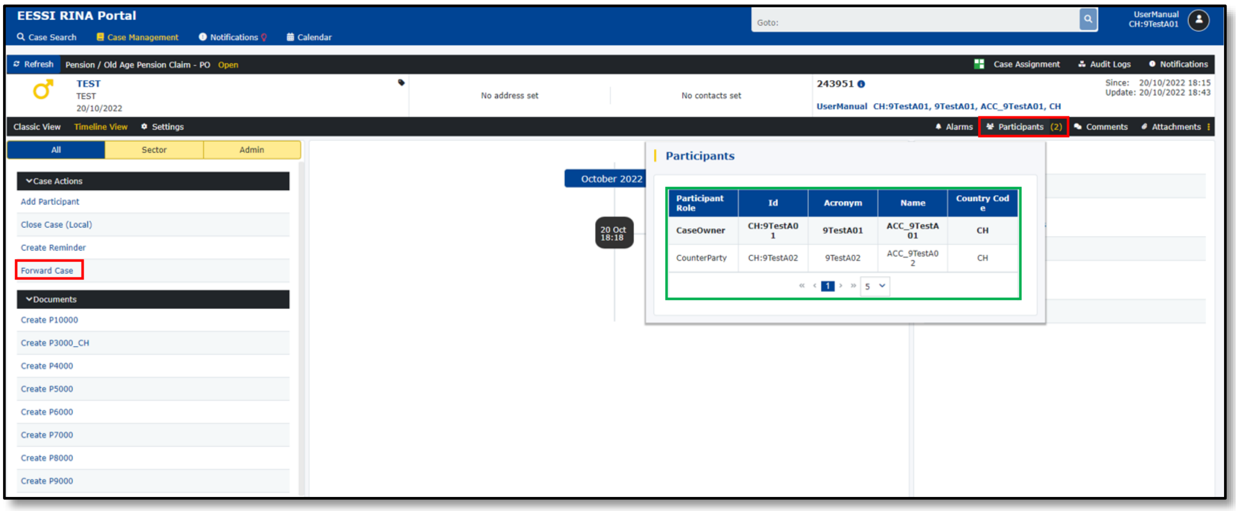


Figure 80: Forward case link

A new dialogue opens where the new participant to whom the case will be forwarded can be inserted. Moreover, it is also possible to give a reason for forwarding the case. Although this is not strictly required, it is recommended to do so, so the new counterparty knows why the case has been sent to it (see Figure 81).

NOTES:

- *Forwarding a case removes the triggering participant from the Case participants list automatically.*
- *Cases can be forwarded from one institution to another within the same participant country only.*
- *Both the Case Owner and Counterparties can forward a case. This depends on the applicability in terms of the BUC type and the current process step, condition and dependencies.*
- *Information about a forwarded case is sent via an administrative SED (X007).*
- *It is not possible to forward a case if the 'Starting' SED has been declared invalid and a new instance of that SED has not been exchanged yet.*

After saving the form, comments can be added and the SED can be sent by clicking on SEND link.

As the user's institution will be removed from the participants list, the case's state changes to REMOVED and no Case (except reading the participants list), or SED actions (except viewing the form content) are available anymore (see Figure 82).

The forwarding institution (triggering participant) receives a notification that the case was actually forwarded.

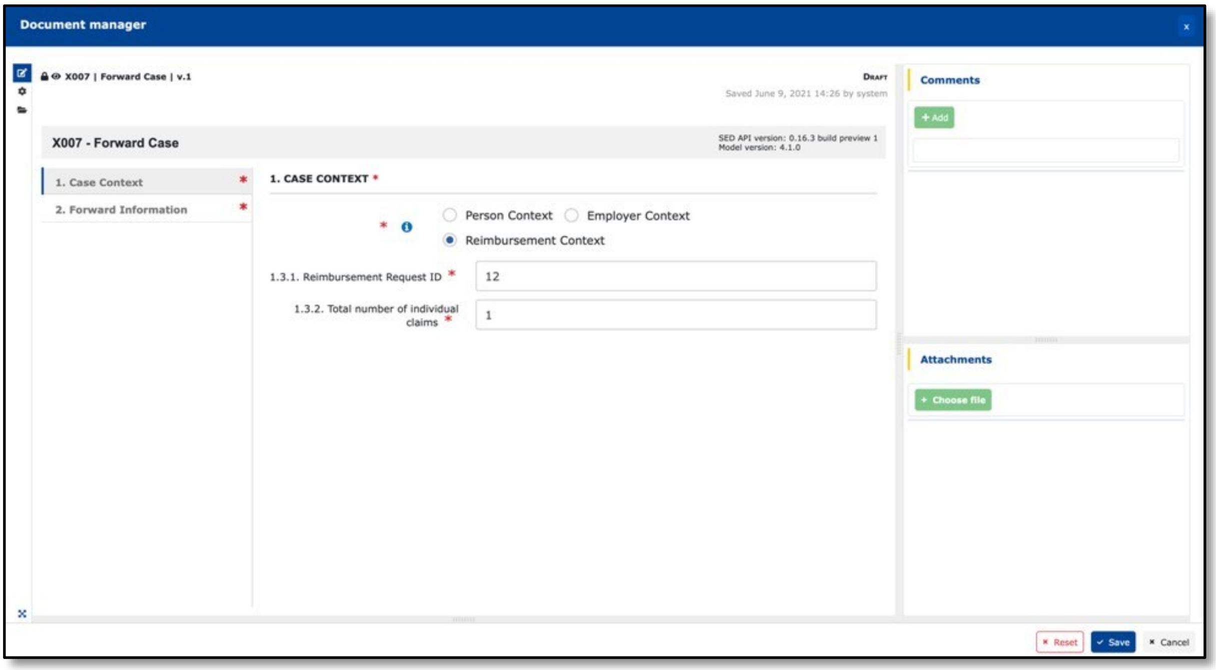


Figure 81: Form for forwarding a case (X007)

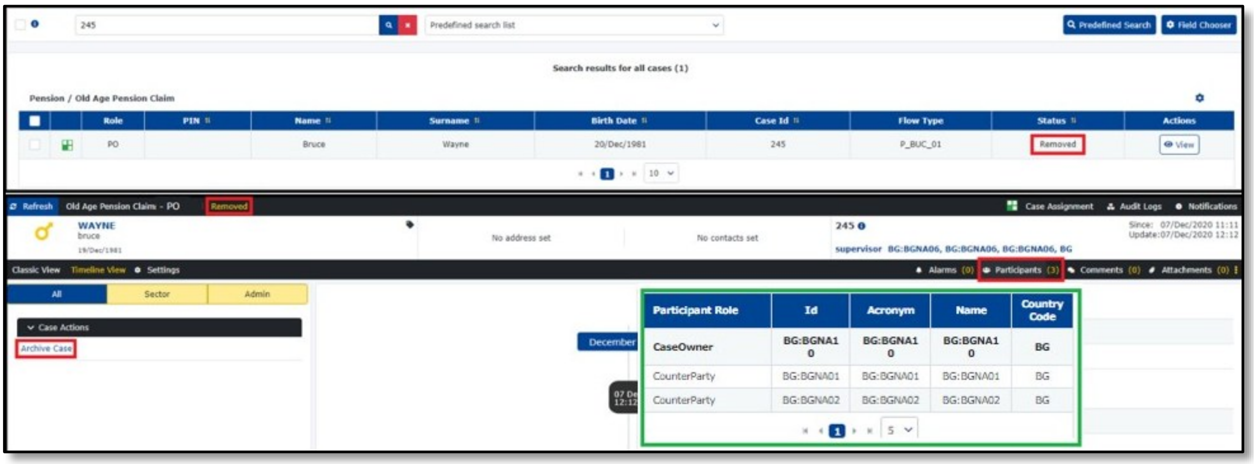


Figure 82: Available actions after forwarding case to another institution

The triggering participant of the forward case action receives a notification: 'Case Automatically Closed'. In case this participant has also sent messages prior to the forwarding case action, another notification will also be received: 'Case SEDs Automatically Sent to New Participant'. The new participant is notified about the arrival of a new case. All other existing case participants receive an 'A New SED arrived' message, which informs about the incoming administrative SED (X007) that informs about the forwarding case action (see Figure 83).

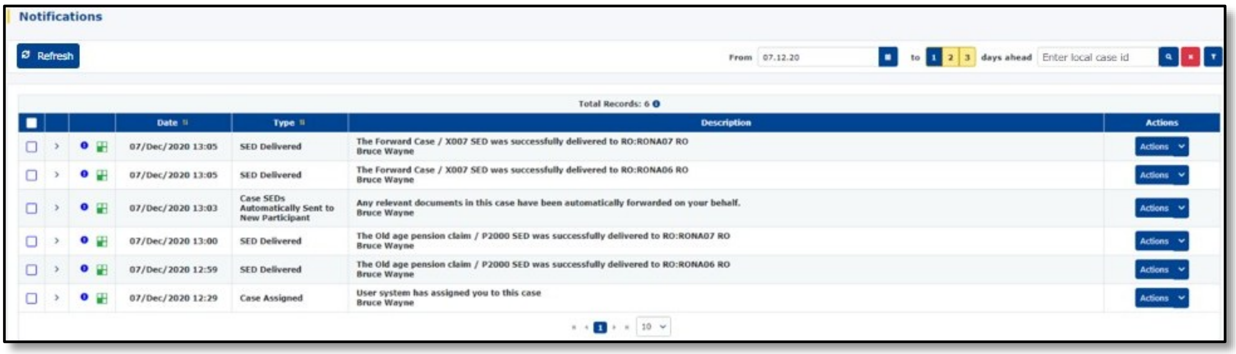


Figure 83: Notifications after forwarding a Case

7.10.4 Closing a Case Globally

Depending on the Case type and the SEDs exchanged so far during a Case, it can be possible to close a Case across all participants that requires no further processing. A Case will usually be closed after a successful resolution. Moreover, other reasons for closing a Case can be:

- The case was created in error
- The case was created as a result of fraudulent information
- The citizen died

To request the closing of a case, click CLOSE CASE link in the left sidebar of the case workspace (see Figure 84).

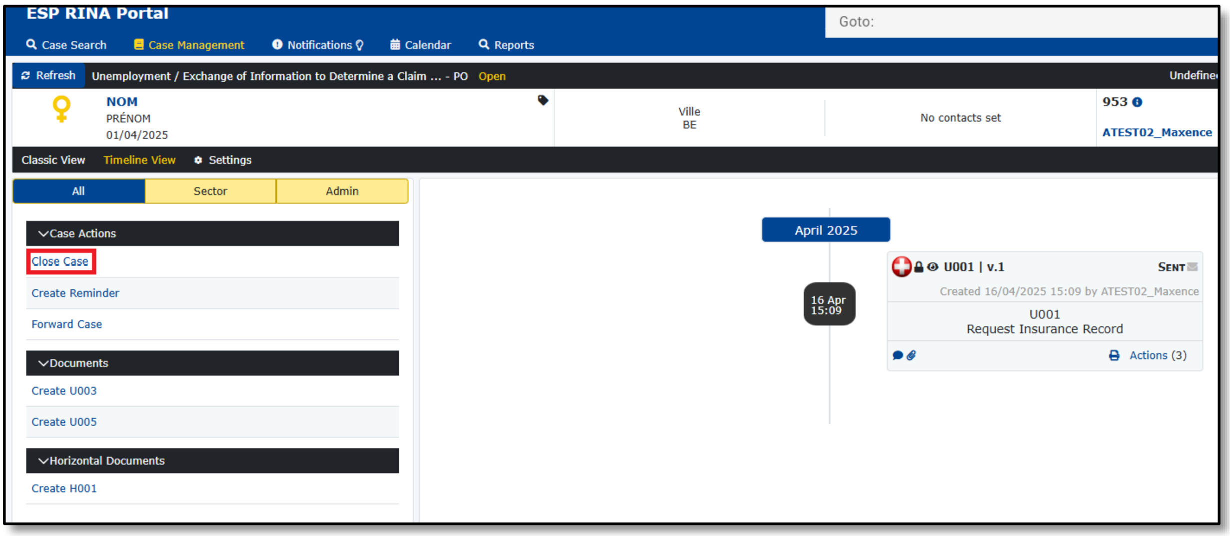


Figure 84: Starting a procedure to Close a Case

After clicking the link CLOSE CASE, a pop-up window containing a form will appear where the mandatory information for the request for close has to be filled in (see Figure 85).

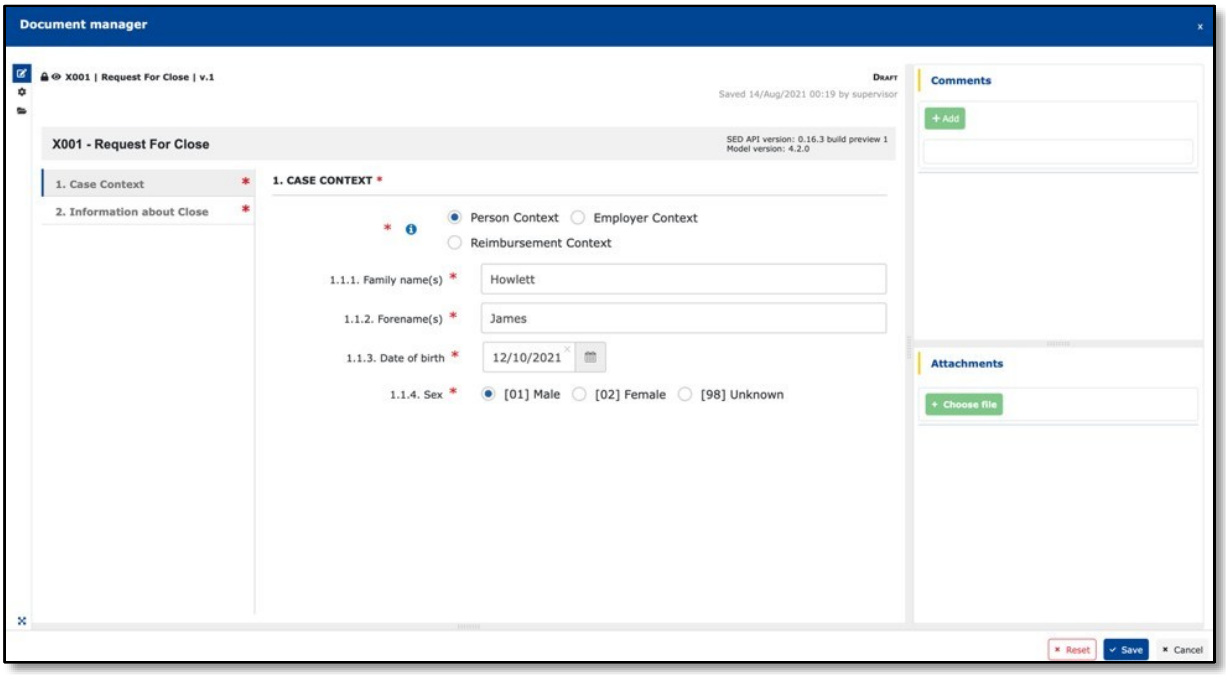


Figure 85: Request for Close Case form

After saving the user's input, the form can be sent to the rest of the case participants by clicking SEND link (after saving X001 form). The request for closure is sent as an administrative SED (X001); a new window will pop up asking for confirmation of sending the SED just as in any other case.

The case will be closed immediately after sending the request for closure. This can be seen in the case state, which is visible in the case view (see Figure 86).

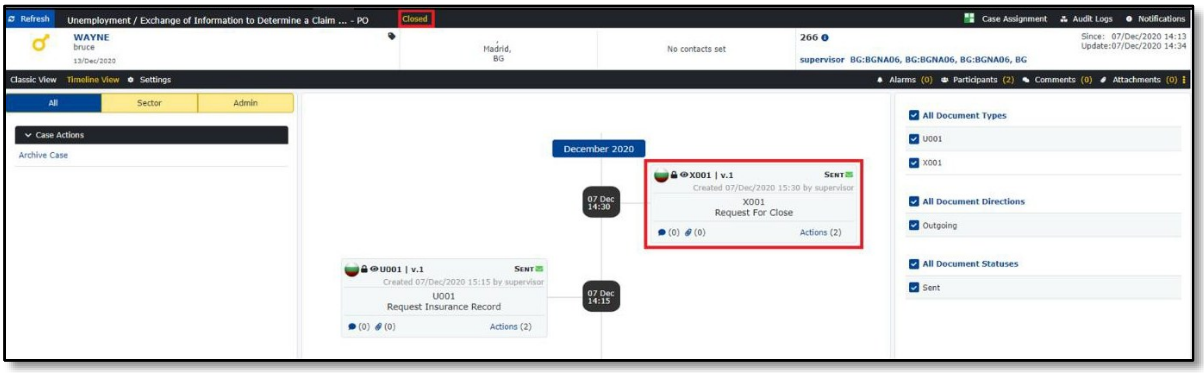


Figure 86: Request for Close a case

Note that although the administrative SED is called a "Request For Close", the triggering participant effectively enforces closure of the case through this process. The case is closed for all other participants upon the reception of the request SED (X001).

Both the Case Owner and counterparties can globally close a case. This depends on the applicability in terms of the BUC type and the current process step, condition and dependencies.

Important: *Global Close Case action should not be confused with Close Case (local). For more information about closing cases locally, cf. section 7.9.7.*

7.10.5 Reopening a Globally Closed Case

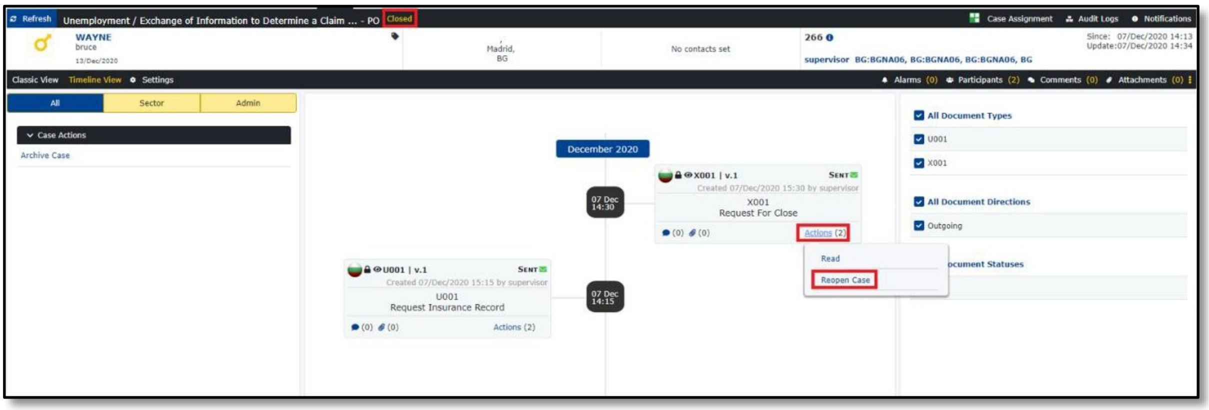


Figure 87: Reopen globally Closed Case

If a case has been globally closed, depending on the applicability in terms of BUC types and its current process step, conditions and dependencies, it may get reopened (globally). A series of Administrative SEDs need to get exchanged among the case participants in order to conclude to this action. In order to perform this, click on REOPEN CASE link in the left sidebar of the CASE ACTION BAR (see Figure 87).

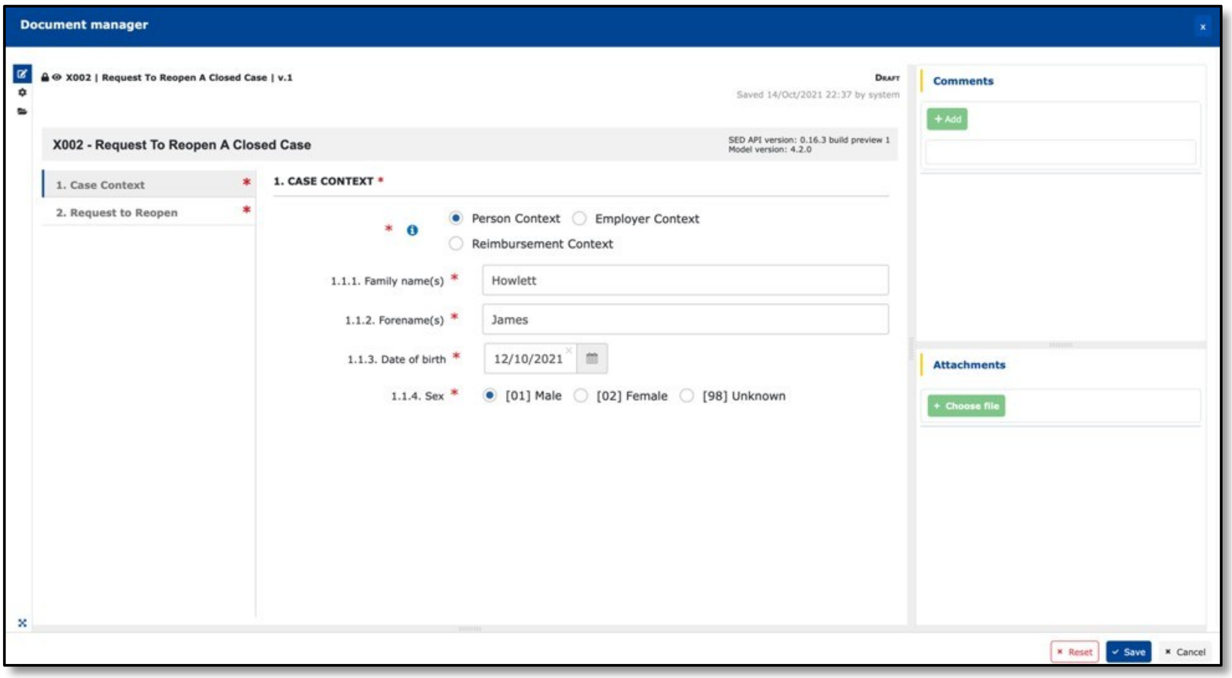


Figure 88: SED X002 - Request to Reopen globally Closed Case

As soon as the triggering participant requests to reopen a Closed Case (as defined per BUC) by sending a "*Request to Reopen Case* (X002)" SED (see Figure 88) to the other case participants, the "Reopen Case" process has been initiated.

All the recipients of X002 SED need to respond to the request, by clicking on REPLY TO REQUEST FOR REOPEN (see Figure 89) and sending a *Reply to Reopen Case* (X003) SED to the original requestor, whether they agree or disagree to that request (see Figure 90).

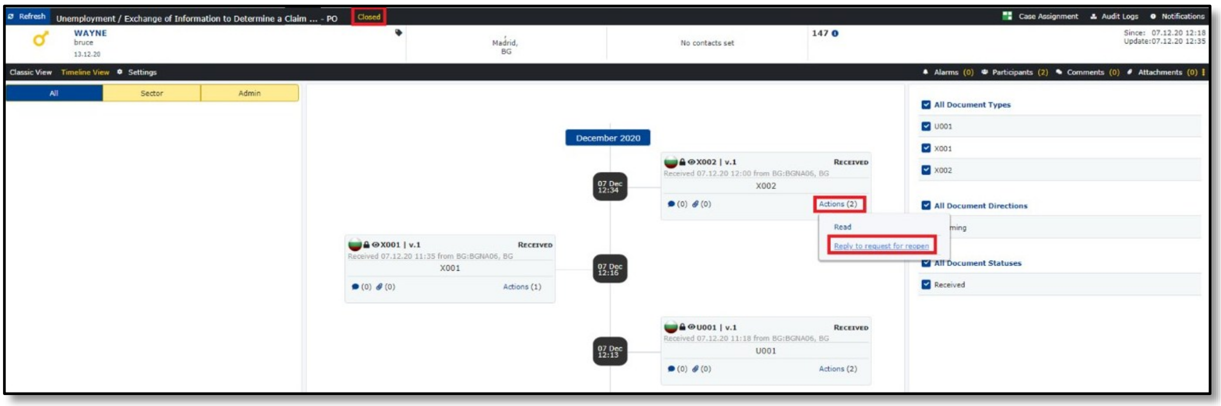


Figure 89: Activate "Reply to request for Reopen" procedure

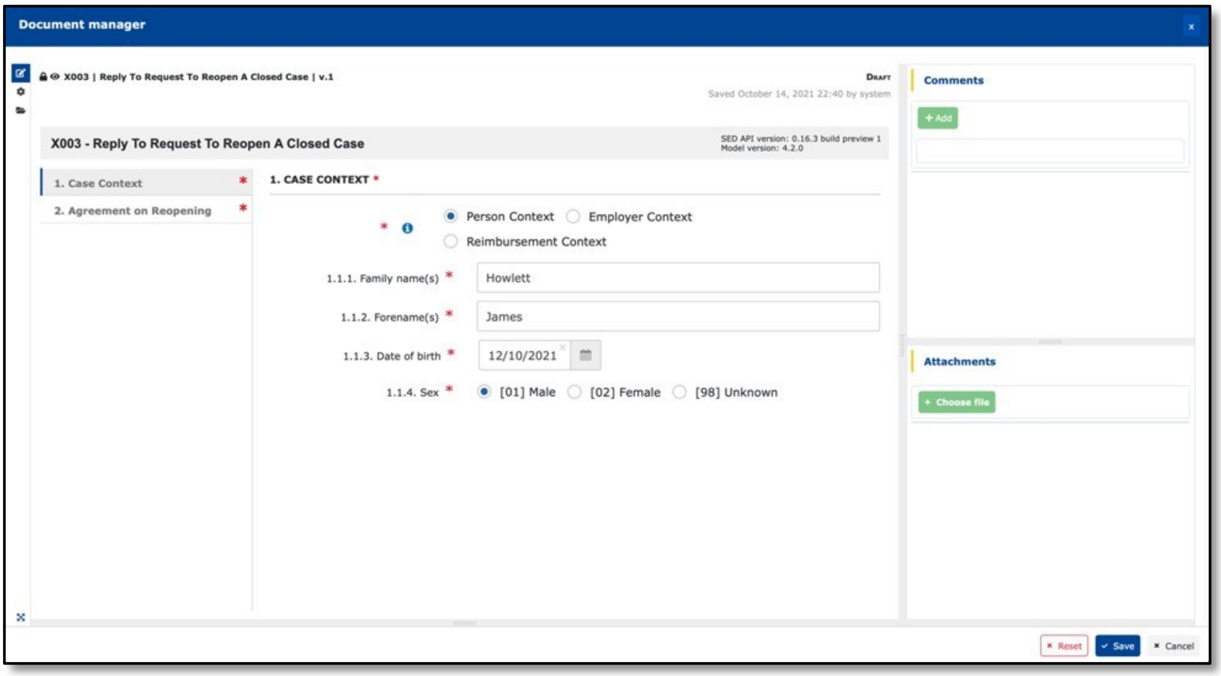


Figure 90: SED X003 - Reply to Request for Reopen a globally Closed Case

Following the collection of all replies (X003 SEDs), the requestor of the Case Reopening will send, by clicking on DECISION TO REQUEST FOR REOPEN link (see Figure 91), a *Decision on Reopening the case* (X004 SEDs) to the rest case participants (see Figure 92).

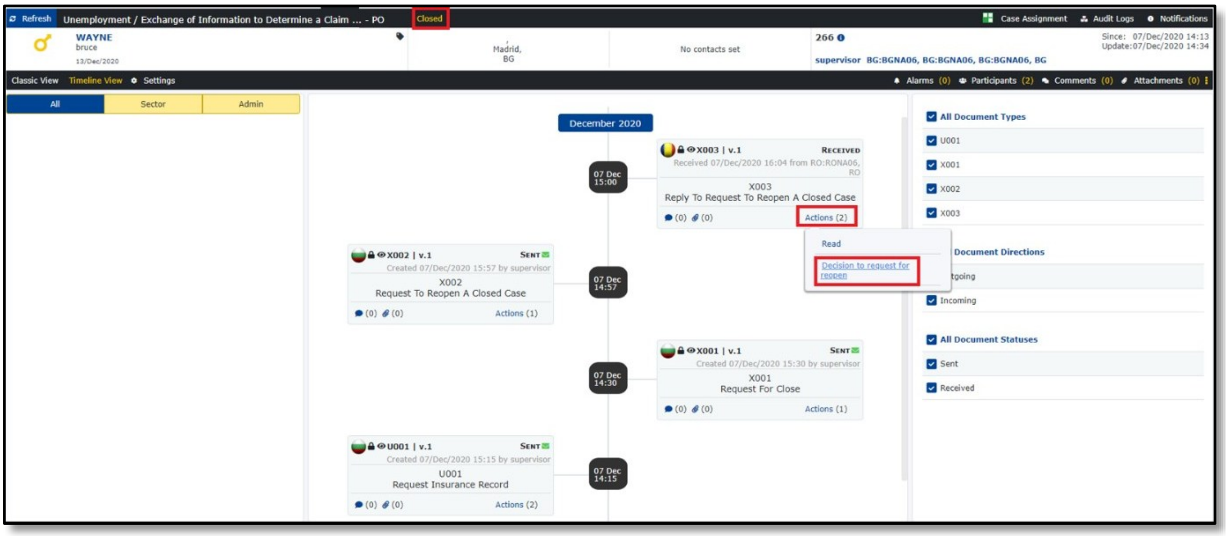


Figure 91: Activate "Decision to request for Reopen" procedure

In case the decision is affirmative, the Case changes status and becomes “Open” once again (status transition changes to: "Open"). If during the collection of X003 SEDs, there is at least one response with negative answer, the reopening of the case is not possible; otherwise, the positive/negative decision outcome about the case reopening is at the discretion of the sender of the X002 (initiator of Request to Reopen Case) SED.

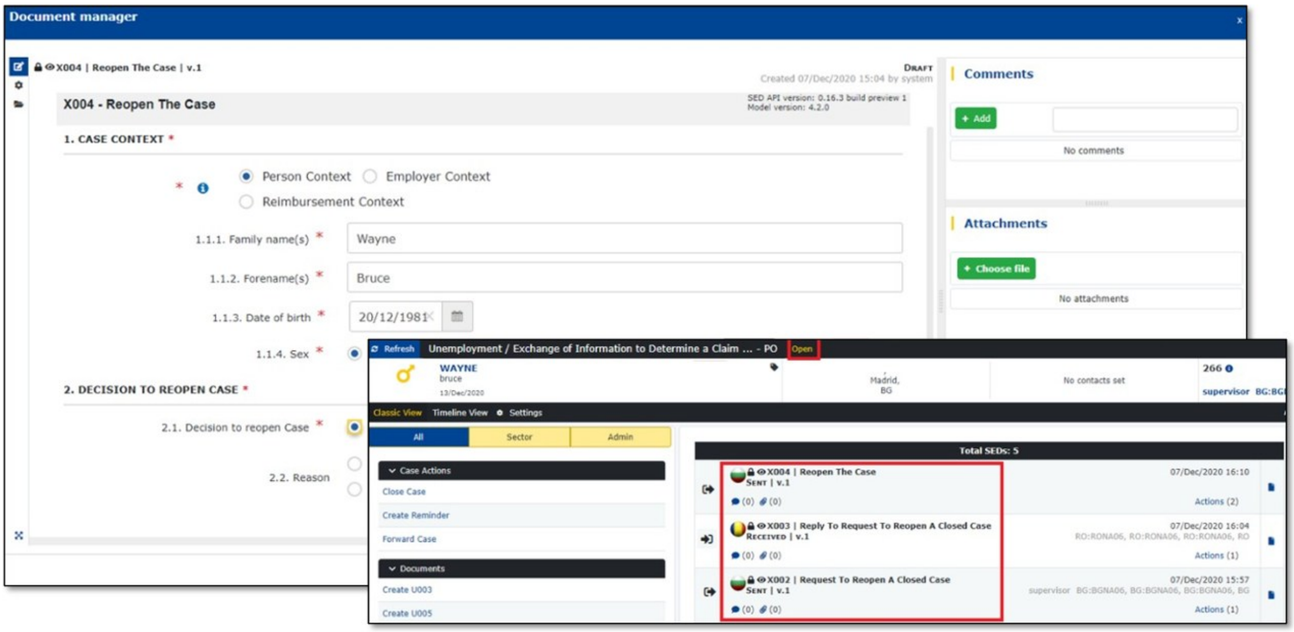


Figure 92: SED X004 - Reopen the Case

> *Both the Case Owner (CO) and Counterparties (CPs) can request a global re-open of a case. This depends on the applicability in terms of the BUC type and the current process step, condition and dependencies.*

7.10.6 Sending a Reminder

In certain situations, it may be necessary to remind another institution that an action on its part is necessary for further processing of the case. This may be the case when the reminding institution is waiting for certain information or documents, especially when a case is of high importance. This option depends on the case type and the current process step within the case. To send a reminder to another institution, click on CREATE REMINDER link in the left sidebar of the CASE ACTION BAR (see Figure 93).

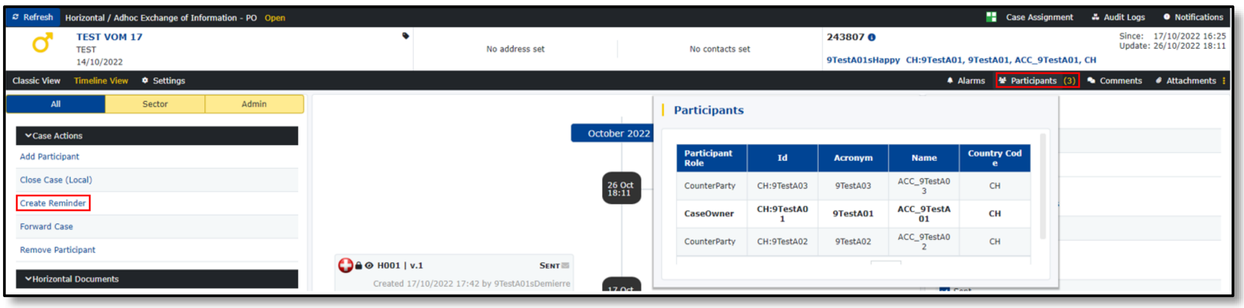


Figure 93: Creating a reminder

The upcoming dialogue contains an administrative SED form where statements can be made about the citizen that the reminding institution requests certain information about. At the end of the form, the needed documents, information or SEDs can be specified and a date for the reminder can be selected (see Figure 94).

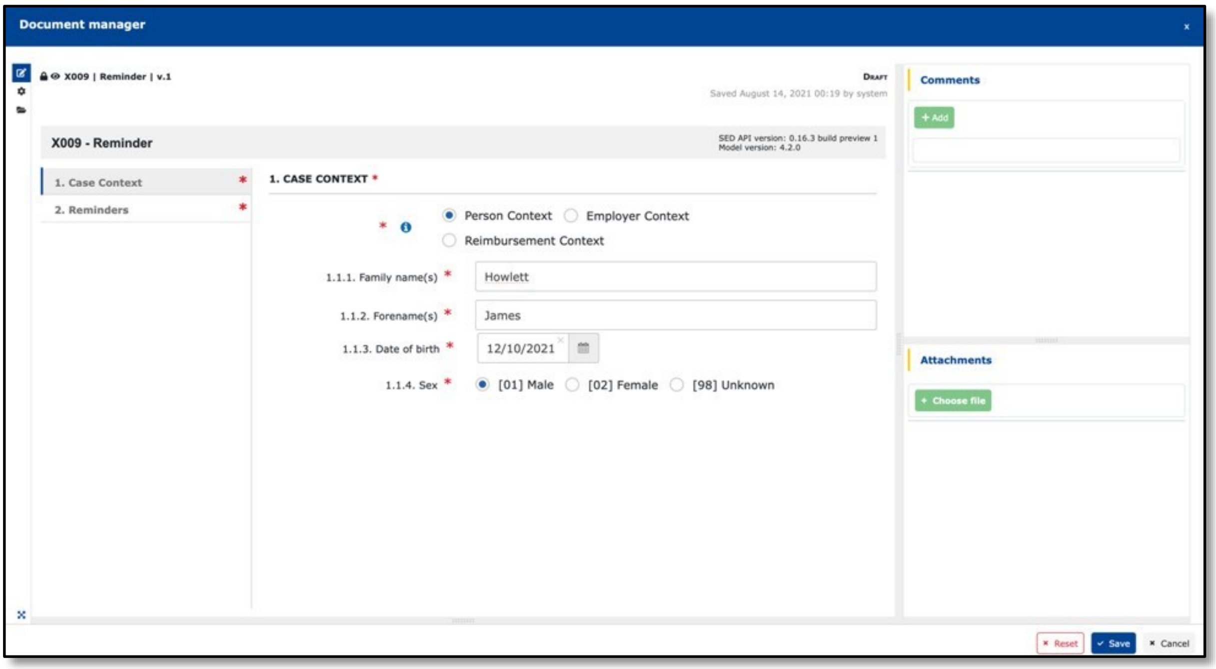


Figure 94: Reminder form

The 'Dated' field has no impact on the point of time when the Reminder SED is sent to the other institution. The dated field is used to provide information to the receiving institution about the date when the sending institution expects an answer.

Both the Case Owner and counterparties can send a reminder. This depends on the applicability in terms of the BUC type and the current process step, condition and dependencies.

After saving the draft, optional comments can be added, and the SED can be sent.

Before transmission, the receiving institutions have to be selected (see Figure 95). An alarm can be set when sending the reminder in the same way as for any other document sent (cf. section 7.9.5).

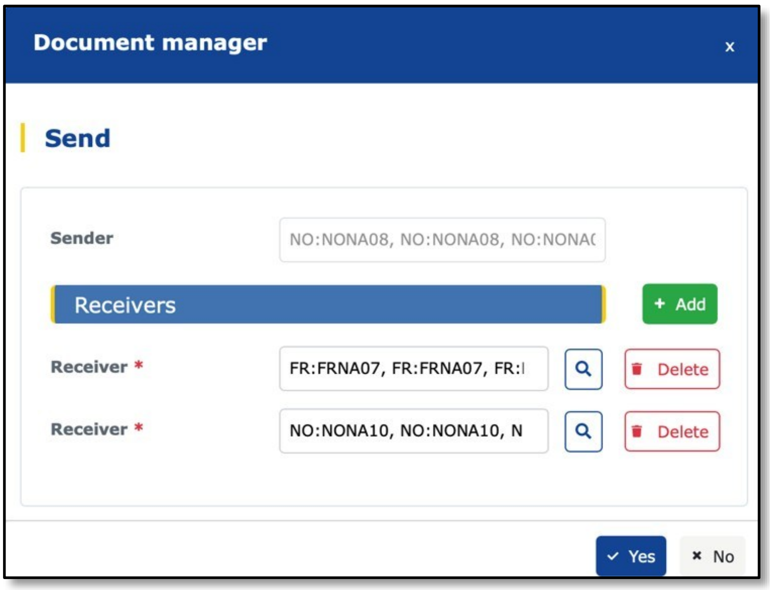


Figure 95: Selecting the receivers of a reminder

While most standard SEDs are automatically sent to all institutions participating in a case, the creator of a reminder can specifically select the receivers from the existing list of the case participants.

7.10.7 Replying to a Reminder

If an institution receives a Reminder SED from another institution, it can either provide the requested information (e.g. by sending or updating SEDs), or it can specifically reply to the reminder. The latter may be necessary because of one of the following reasons:

- The requested information/documents/SED cannot be sent immediately;
- The requested information/documents/SEDs cannot be sent at all.

To send a reply, click REPLY TO REMINDER link in the SED ACTIONS selection at the lower right part of the SED information window as shown in Figure 96 and Figure 97 for the Timeline and Classic View Respectively.

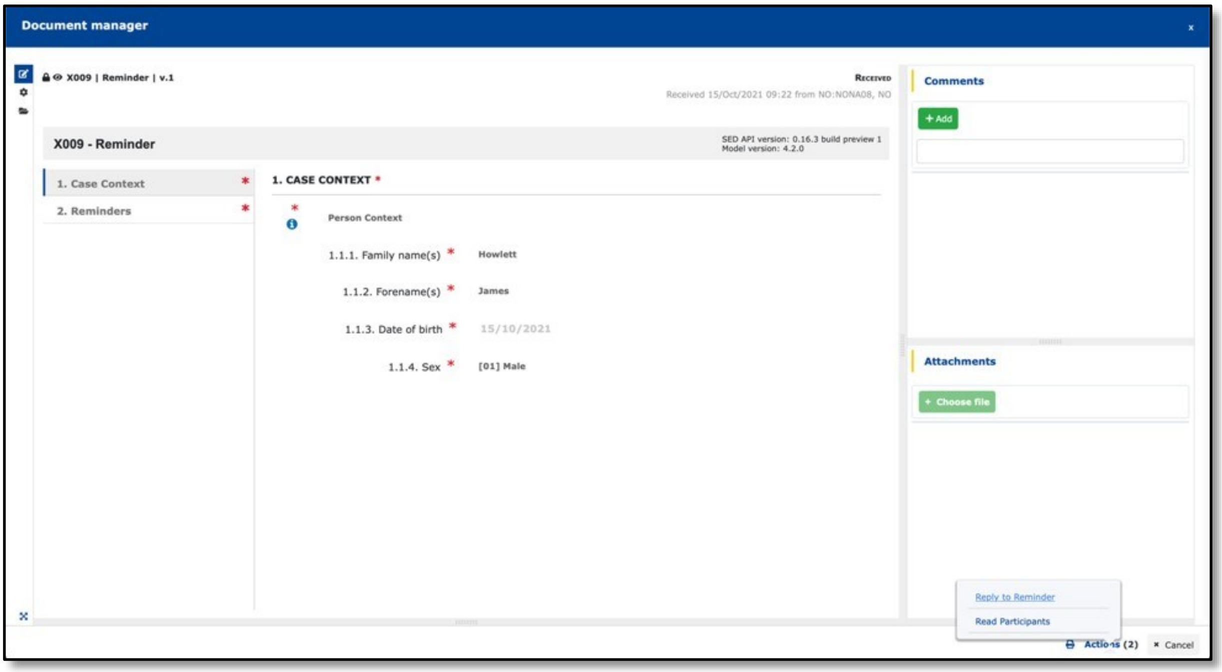


Figure 96: Replying to a Reminder (option 1)

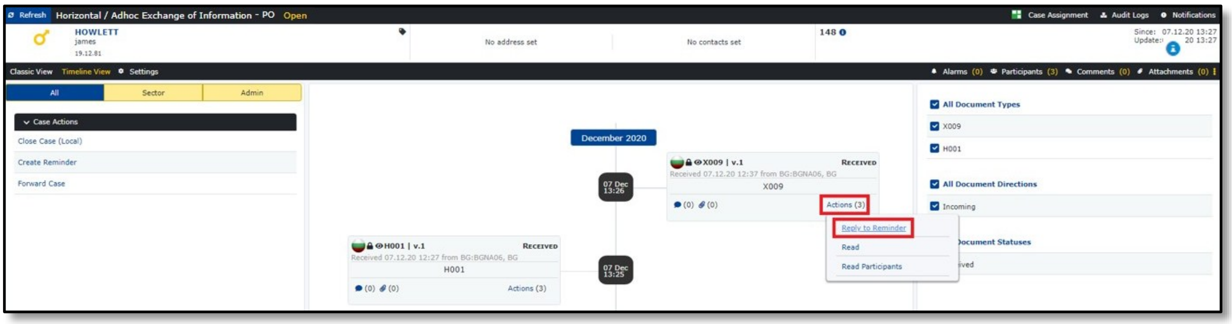


Figure 97: Reply to a reminder (option 2)

Statements about the reasons why certain information cannot be provided, neither immediately, nor at all, can be made in sections 2 and 3 of the upcoming administrative SED form (see Figure 98). Certain personal information about the affected citizen (i.e. Person SED block for non-cost reimbursement related SEDs) may be prefilled in the form.

This information has been provided by the creator of the reminder and can be changed and/or extended. Information from a SED section is automatically copied over the relevant one of a subsequent SED (under the same case).

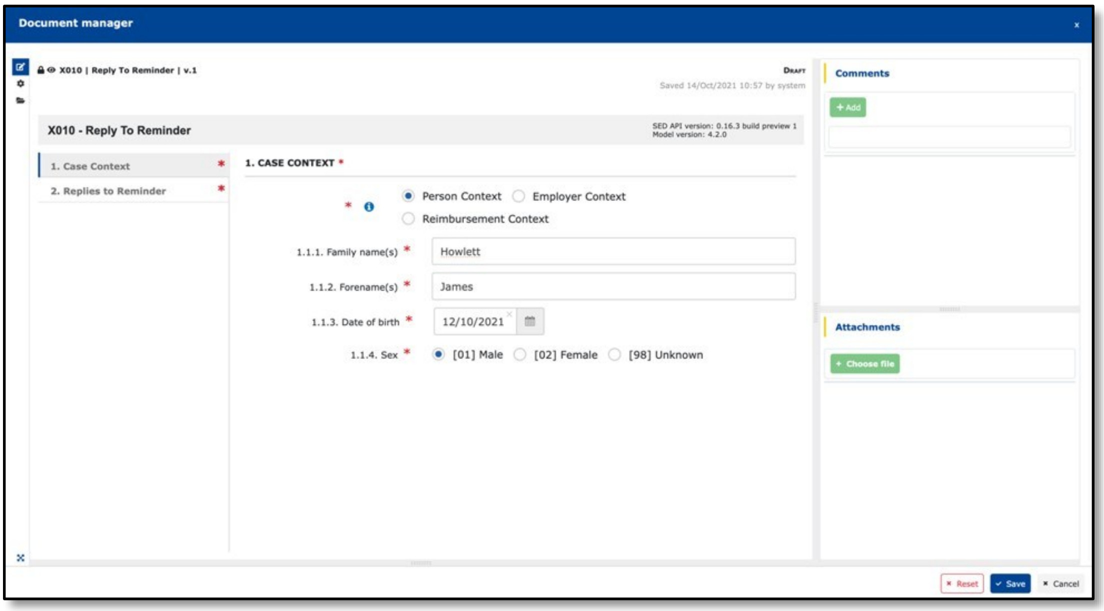


Figure 98: Reply message form

The specific functionality (data transposition) has been implemented in order to aid towards the time efficiency of the institution personnel. This functionality, for the current comment, has been implemented for demonstration purposes and it can be enhanced (extended usage) in future versions.

***NOTE**:*
The functionalities "Transposition" and "Conditional Validations" have been implemented only for demonstration purposes (as proofs of concepts) and they can be enhanced in the future ESP versions.

After sending the Reply to Reminder, the original creator of the reminder receives the reply message (see Figure 99). At this point, it is not possible to send another reply to this reply message; it can only be read. Any further inquiry would require sending a separate new Reminder SED.

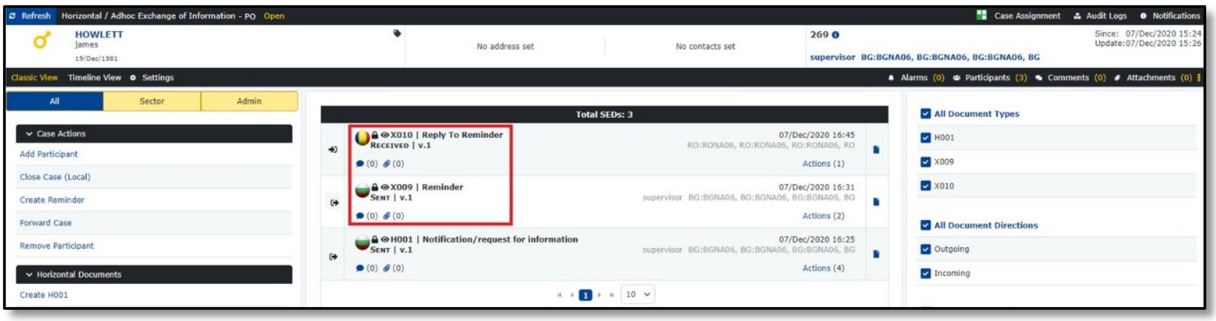


Figure 99: Reply to Reminder SED (X010)

7.11 Local Actions at SED Level

7.11.1 Status of the SED

A SED case can be in several different states according to the user actions. There is a differentiation in the possible state set for the Case Sender and Case Receiver. Analytically, from the Sender point of view, the SED status can be in the following set: {"**Draft**", "**Sent**","**Cancelled**", "**Modified**"}. The transition between the statuses and the corresponding SED actions, are illustrated in the following figure (see Figure 100).

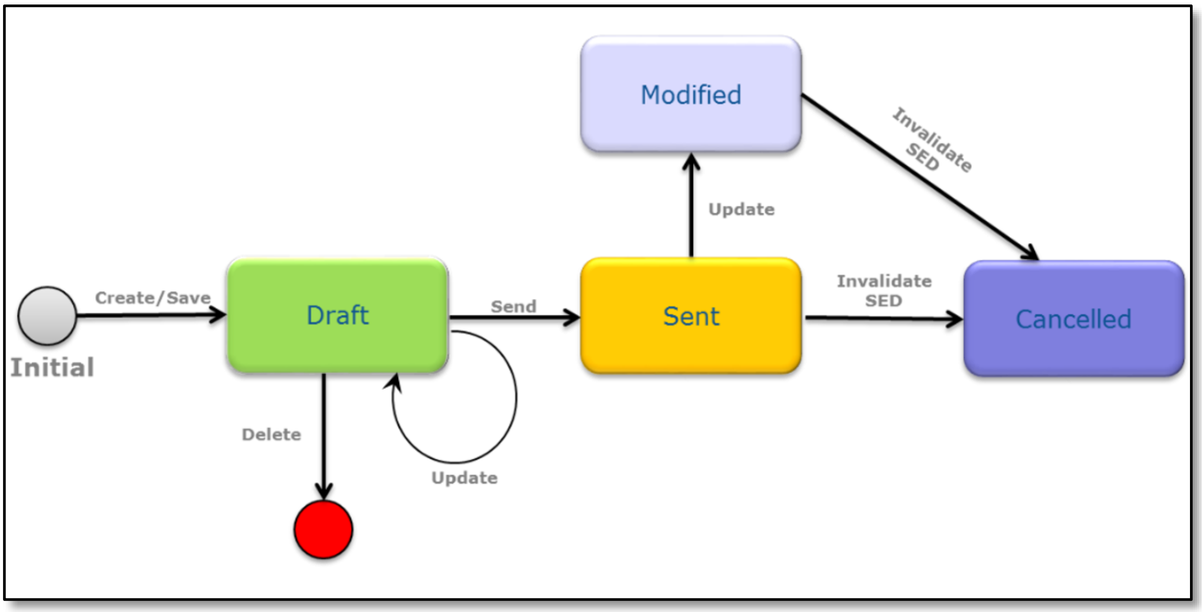


Figure 100: SED transition State diagram - Sender side

From the Receiver point of view the SED state can be "Received" or "Cancelled" and the status transition and the corresponding SED actions are described in the following figure (see Figure 101).

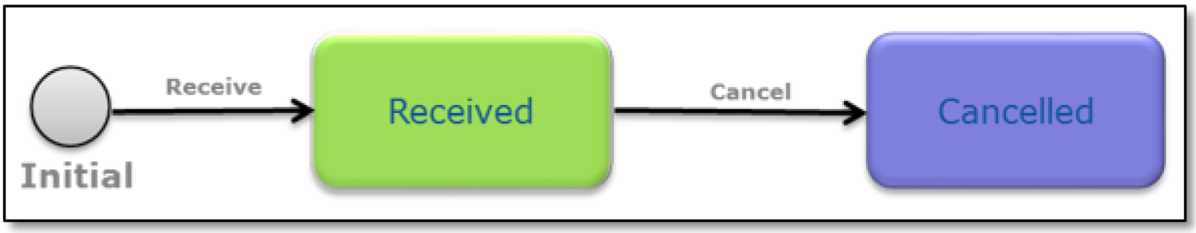


Figure 101: SED transition State diagram - Received side

7.11.2 Creating a new SED

Please note that creating a SED is purely a local step. The document only becomes relevant for other participant countries after it has been sent to them in a separate step (cf. section 7.12.1).

In order to create a SED, the user needs to navigate into an existing case (open the case) or a new case has to be created. To create a SED the user has to click on one of the actions corresponding to the SED types that are listed under DOCUMENTS in the left side bar of the case view (CASE ACTION BAR, see Figure 102).

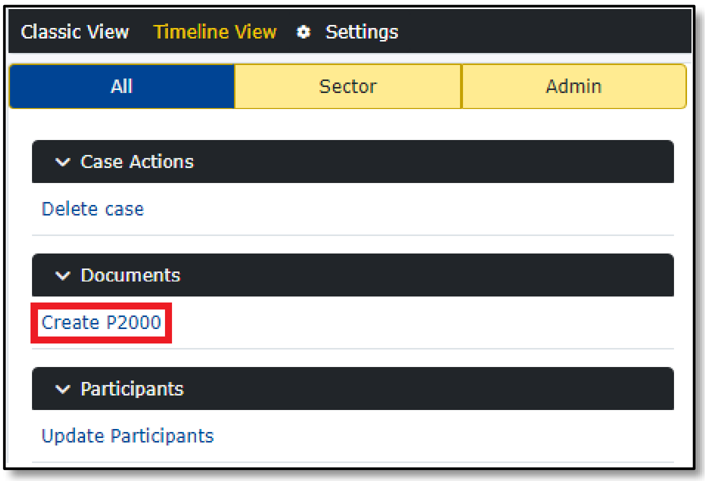


Figure 102: Creating the first SED of a case

> ***Note:***
> *The available documents (SEDs) in the list depend on the current state of the Case. For example: If a case with the case type 'Old age Pension Claim' has been just created, only the P2000 SED (the claim) can be sent to initialize the case. Case types may also have so called request-reply SEDs, which means that certain SEDs have a logical pairing to another specific one. As a consequence, after sending certain SEDs to some case participants, they can only be the ones to answer with predefined SED types.*

After the creation trigger of a document, a new pop-up window (see Figure 103) will appear where all information belonging to the SED is displayed (SED VIEW).

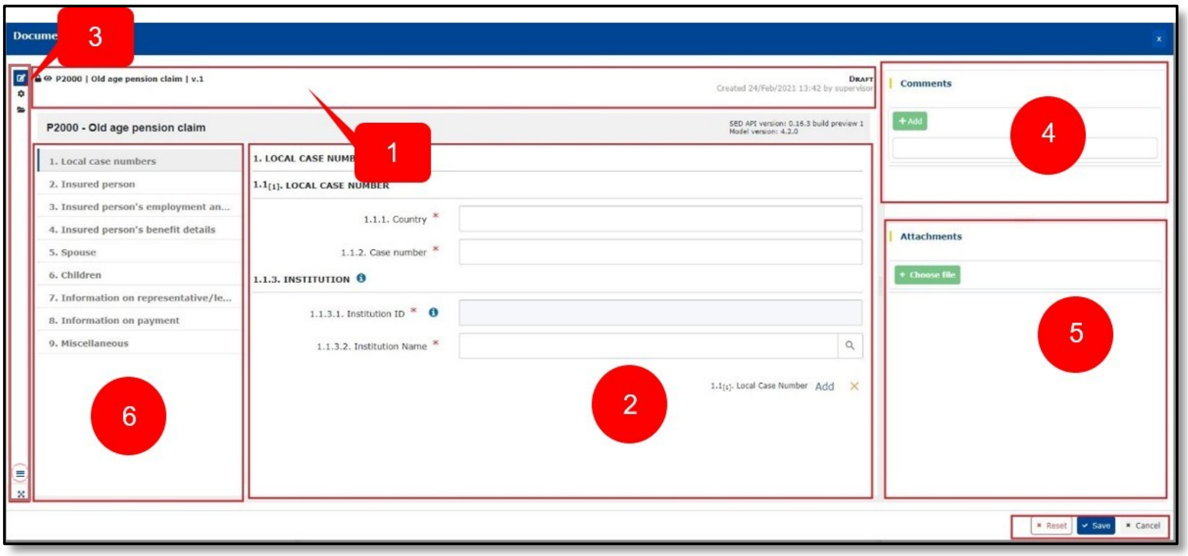


Figure 103: Open a SED

1

SED INFORMATION BAR

The SED information bar contains basic information about the specific SED:

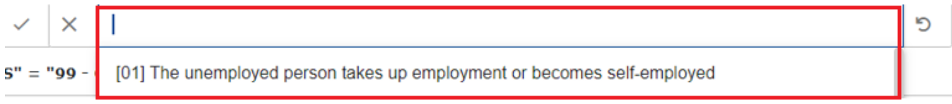
LABEL	DESCRIPTION
P2000 | Old age pension claim | v.1	Information is provided about the business signature correlated to the specific SED. SEDs sent through the EESSI system are encrypted to protect data integrity and confidentiality. If a user needs to know details about the certificate used to encrypt a message sent to him, he can access more information by triggering the lock item directly above the INCOMING label
P2000 | Old age pension claim | v.1	Section which provides information about the document (SED) details in a column format (including: document type, document title, document version, date of last update, and participants (indicating their roles)
P2000 | Old age pension claim | v.1	SED type
P2000 | Old age pension claim | **v.1**	Current version of a SED. Whenever the user clicks on the SAVE link for a SED (update of a SED - cf. section 7.13.1) and it is successful, the SED version will increment in a sequential manner (1, 2, 3...). SED versions are also incremented based on managing SED attachments and also due to SED operations using programmatic interfaces (i.e. CPI).
Draft **DRAFT** Created 07/Dec/2020 17:01 by supervisor	Status of a SED. The status of a SED depends on whether an institution is the sender or receiver of a SED (different states between these two exchange side roles). The status may transit among the relevant states as described within the relevant documentation (EESSI – ESP Case Processing Interface), according to relevant operations.
"Supervisor" DRAFT Created 07/Dec/2020 17:01 by supervisor	The SED creator username is displayed once a SEDhas been saved as a Draft
07/Dec/2017 17:01 DRAFT Created 07/Dec/2020 17:01 by supervisor	If the SED is no longer in draft state, the creationdate and time of the SED is shown.

2

FORM

Every SED has its specific form with SED-specific input fields, blocks, and lengths. The SED form data is based on the specific business requirements. It also exposes the version of the SED and the correlated model.

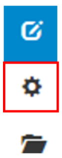
Note: In case of a SED forms containing fields that allows multi-select (e.g. U010 – Circumstance – field 3.2 – Circumstances – see the following picture 

) the button  means "Select All" available options, the button  means "Remove all" selected options and the button  means "Reset" and brings the latest saved options from the database. In order to extend further the visible area for the available options for selection (see the following picture 

), the user may hide messages and attachments by using  button available on the left hand side of the Document Manager.

3

SED INFORMATION BAR

LABEL	DESCRIPTION
	This view provides the SED (document) form which is populated with the required fields (as required per business needs).
	This view provides detailed information about all system actions with relation to the SED, e.g. the creation of the document or of a comment (cf. 7.18). This view can be helpful for troubleshooting and auditing.
	This view shows the SED history (cf. 7.14), along with the relevant status (among other information). The information is related to each SED operation on a local (i.e. when a document gets locally updated, cf. 7.13.1) or global action levels (i.e. when an updated document gets exchanged to the other case participant(s), cf. 7.14). Every locally existing document version can be reviewed (through VIEW link). In addition to that, Standard Business Document Header (SBDH) fields of every listed document, such as: International Case Id/Type/Version, Document ID/Action/Type/Version, etc. can be inspected via clicking on the [🛈] icon in this view.
	This button allows the user to hide / show the section dedicated toattachments and comments
	This button allows the user to hide / show the errors list

4

COMMENTS

A SED can be commented. Only users with specific roles who work in the same institution can read the user's comments related to a SED. Note that a SED has to be saved first, before a comment can be added. For more information about SED comments cf. section 7.17.

5

ATTACHMENTS

A significant amount of SEDs allow the addition of attachments. Whether a SED is allowed to be associated with attachments or not is defined by the business model. Attachments can be of a form of additional sub-documents or files. If a case participant sends a SED with attachments to other ones, all attachments will be sent, too. Note that the SED has to be saved first, before attachments can be added. For more information about SED attachments cf. section 7.16.

6

TABS

Any non-batch SED containing at least 2 sections, will be displayed in Document Manager using Tabs: one tab will be associated to each section and the user will see only the content of the current selected section from the list of sections displayed on the left-hand side of the form as tabs. The batch SEDs on the other hand don't follow the tab implementation; their structure is displayed in forms via the Bulk Document Manager interface.

Click SAVE when all form data are filled out. An automatic check will ensure that all mandatory information for the specific type of SED is present. If it is not, the required information needs to be added before the SED can be saved (cf. section 7.11.6).

The SED INFORMATION BAR, COMMENTS and ATTACHMENTS become available and can be used, when the SED was saved successfully. To change the form data:

- Click on EDIT DRAFT at the bottom of the form if the SED is in status Draft (see Figure 105 and cf. section 7.11.3)
- Click on UPDATE if the SED is in status Sent and the action is available (see Figure 121) cf. section 7.13.1.

For attachments and comments, please cf. sections 7.16 and 7.17, respectively.

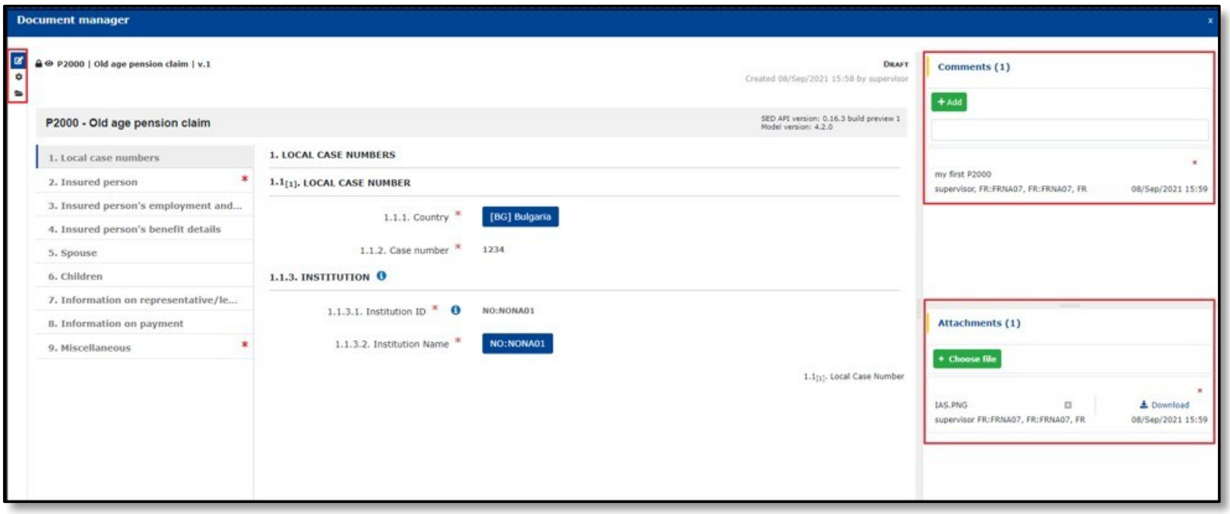


Figure 104: SED information bar, comments and attachments

After saving a SED, the user can close the window and return to the Case anytime to continue. The SED in draft status will be listed in the CASE MANAGEMENT VIEW just like any other SED (see Figure 105).

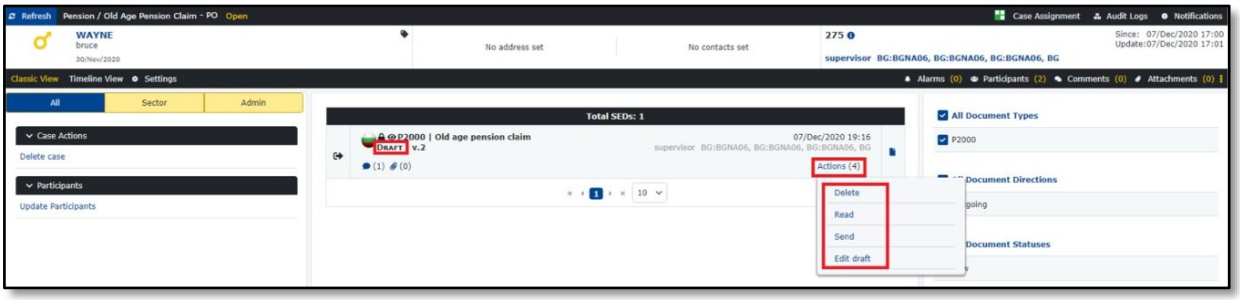


Figure 105: SED inside the case management view (classic view)

7.11.3 Editing a draft SED

In order to edit a draft SED (that has not been sent), the user can select the option EDIT DRAFT inside the SED Actions Menu (Timeline View and Classic View).

In order to open the document in Read mode in Timeline View the user should drag the mouse towards the middle of the Document rectangle and click on the magnifying glass while in Classic View the user is supposed to click on the icon [▮] (see Figure 106).

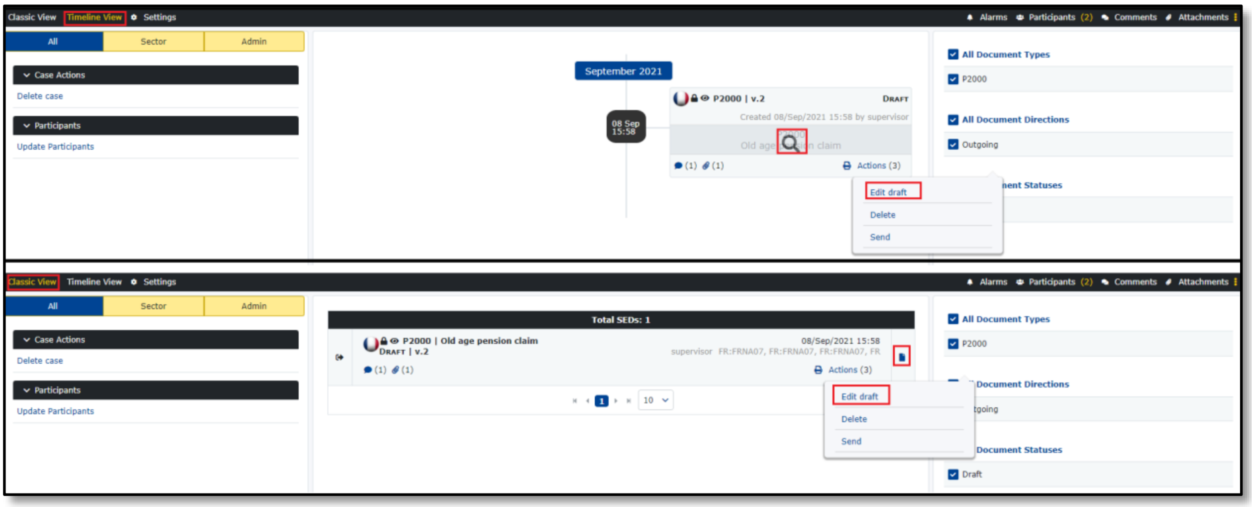


Figure 106: Reading and Editing a draft SED

The Radio Buttons inside the SED form can be selected by clicking on the appropriate choice. Any other selection de-activates the previous one. The clearing of the parameter selection is performed by clicking on the already selected choice (button).

7.11.4 Updating a Sent SED

If the SED has already been sent to the recipients (see Figure 107), the user may click on the UPDATE choice (see the section 7.12.1 "Updating a SED") to update the SED by creating a new version.

Figure 107: Editing a SED

7.11.5 Deleting a draft SED

A draft SED can be deleted by clicking on the DELETE Action, on both views (Classic and Timeline View).

There is NO possibility to UNDO a deletion. Use this function with care.

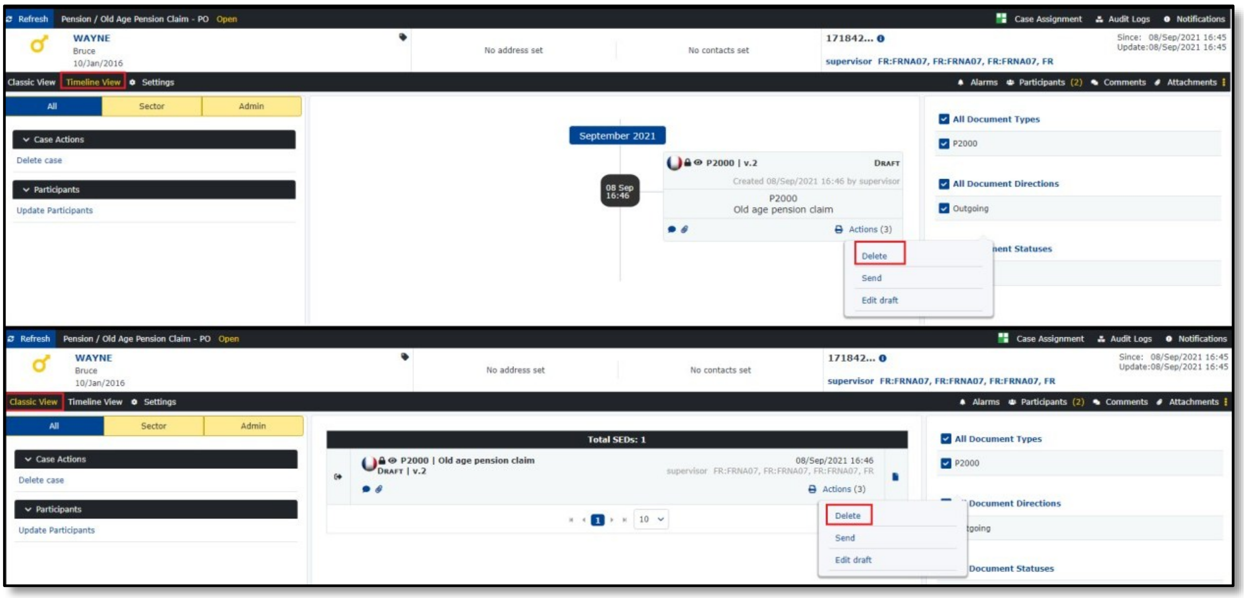


Figure 108: Deleting a draft SED

7.11.6 SED Validation

For every type of SED, certain information is necessary, in order to reasonably process the document. In most cases, for example, there must be enough information to identify the beneficiary of a given claim. To make sure that institutions do not receive SEDs that miss crucial information and cannot be reasonably processed, ESP performs an automatic validation of SEDs before saving or updating SED data based on the related data model.

For all SED types, if a user does not populate a field correctly where information is required or at least expected, the application informs upon the saving or sending operation of that SED with a relevant text at the bottom of the form. The information will be labelled as ERROR (with red colour) if an entry in that field is absolutely necessary (for mandatory for saving the SED), or as WARNING (with yellow colour) if correct content would usually be expected but is not strictly required (mandatory for sending but not for saving action). The fields corresponding to the errors and warnings get highlighted. User can navigate directly to one of these fields by clicking on the corresponding error or warning (see Figure 109).

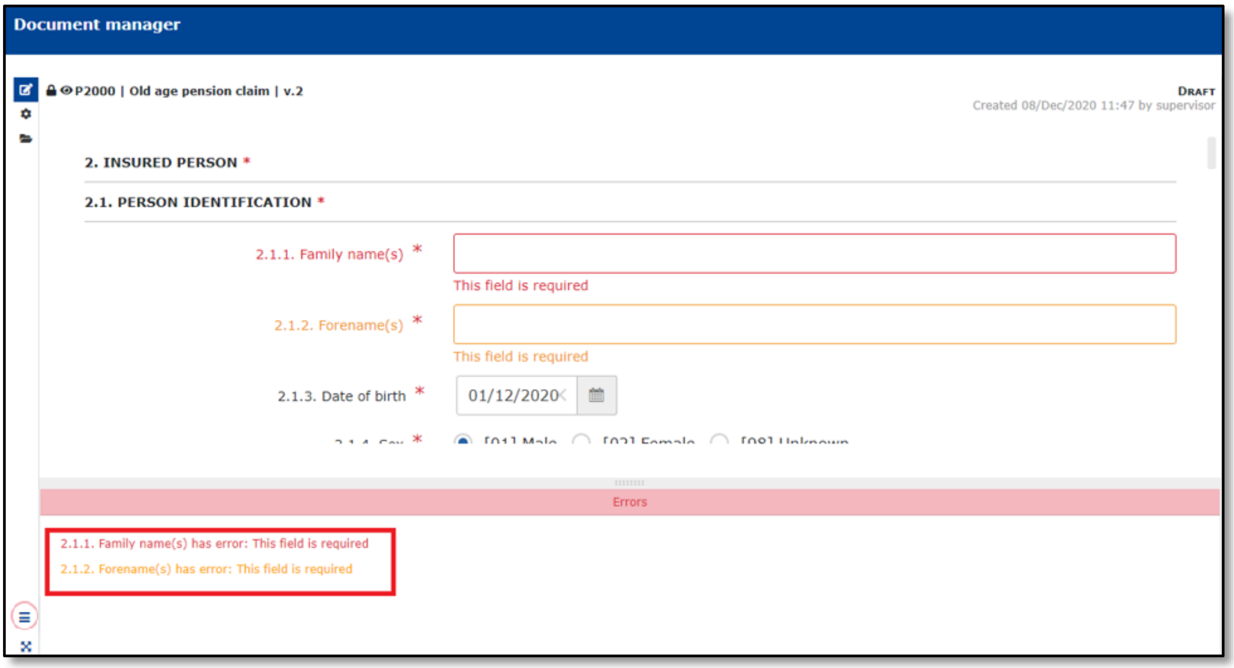
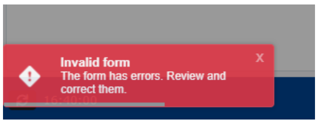


Figure 109: Errors when saving a SED due to missing mandatory form fields

In the situation when there is a regular expression validation at the level of a field then an inline error will be displayed next to the field while typing till the regular expression will be met (e.g. email address "does not comply with restriction"pattern:^([\w\-\.]+)@(([\w]+\.)+)([a-zA-Z]{2,15})$")

If there are only yellow-coloured errors in the list of errors (see Figure 109) then a DRAFT message can be saved. A message containing incomplete data (warning errors coloured in yellow in the errors list) cannot be send to the counterparty because the server side of ESP will validate the form against such errors and will show to the user an error message at the bottom left-hand side of the screen as follows:



The above-described behaviour correlates to the default configuration of the ESP application. In case the users do not immediately receive feedback on problems upon saving a draft SED, they should contact their Administrators.

7.11.7 Printing a SED

The CASE MANAGEMENT VIEW also offers the possibility to print SEDs.

Clicking on icon [🖶] next to the SED actions, inside the relevant SED, the system will create a printable HTML version of the SED and the printer page of the local configured printer will be opened (see Figure 110).

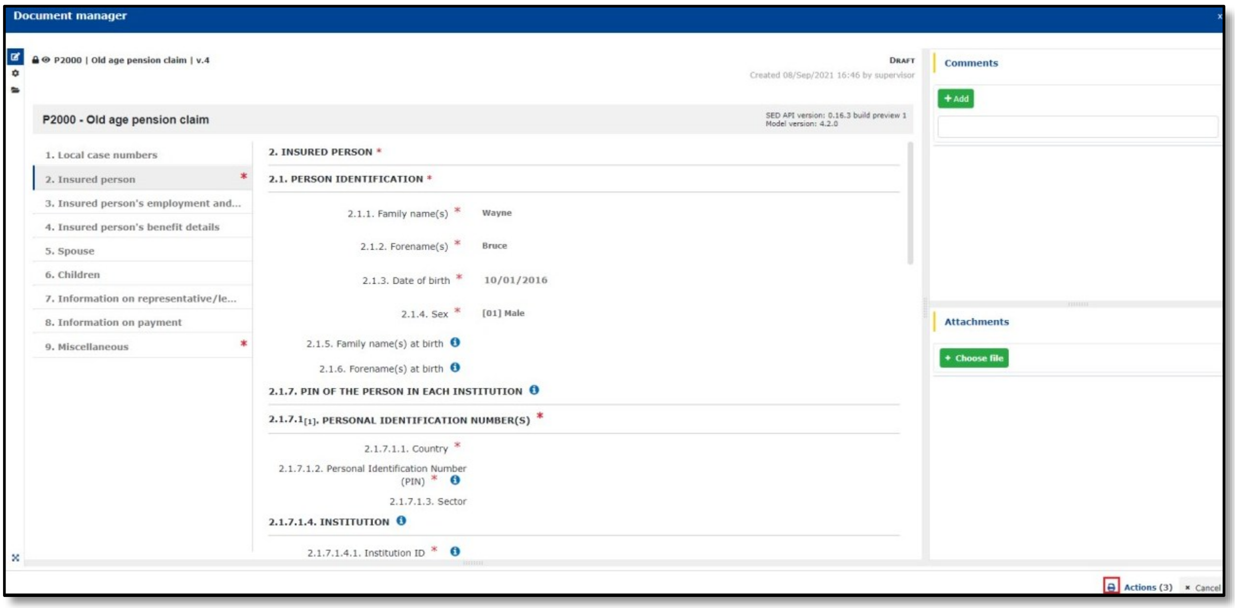


Figure 110: Print SED

Note on Batch SEDs printing:
In order to print batch SEDs, ESP Portal allows only the possibility to print:

- *Master SED alone from the timeline view and from Document Manager and not along with all child SEDs*
- *Child SED could be printed from Document Manager one by one and not all of them at once*

7.12 Global Actions at SED Level

7.12.1 Sending a SED

The ability of a user regarding the action of sending a SED depends on the specific configuration of roles in the user's institution. A user with role such as: supervisor or authorised clerk, (once a SED has been successfully created and saved), can send it to all case participants by clicking on the SEND link (see Figure 111).

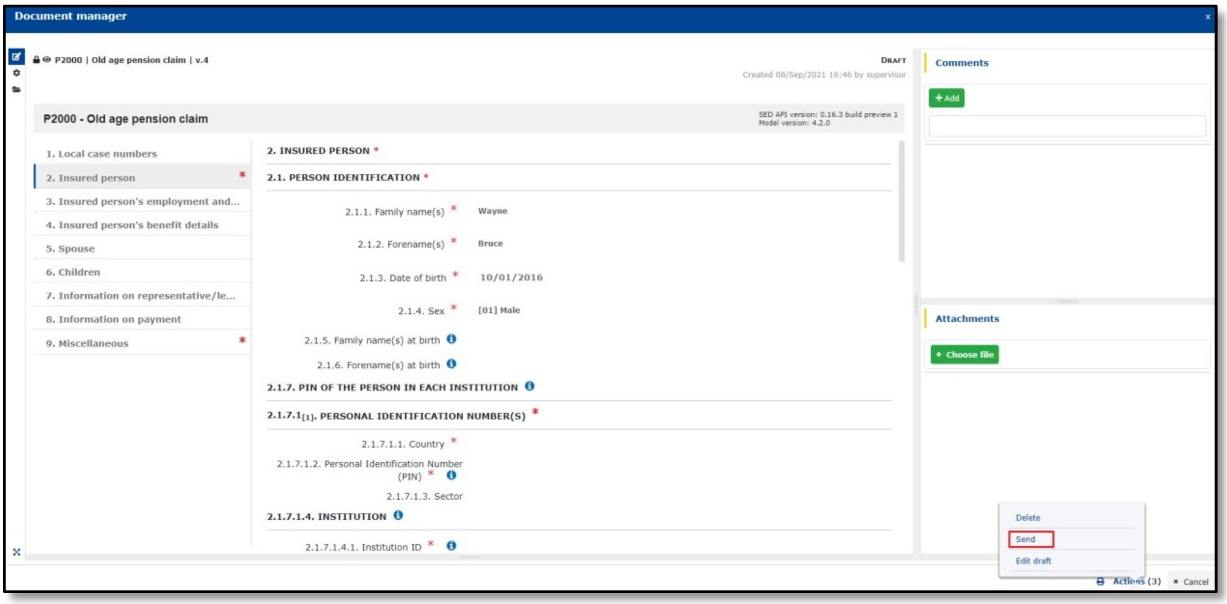


Figure 111: Trigger to send a SED

It is necessary to confirm the transmission before the SED is sent (see Figure 112). It is also possible to set an alarm to remind the user of revisiting the case in the future directly in the confirmation window (cf. section 7.9.5 for more details).

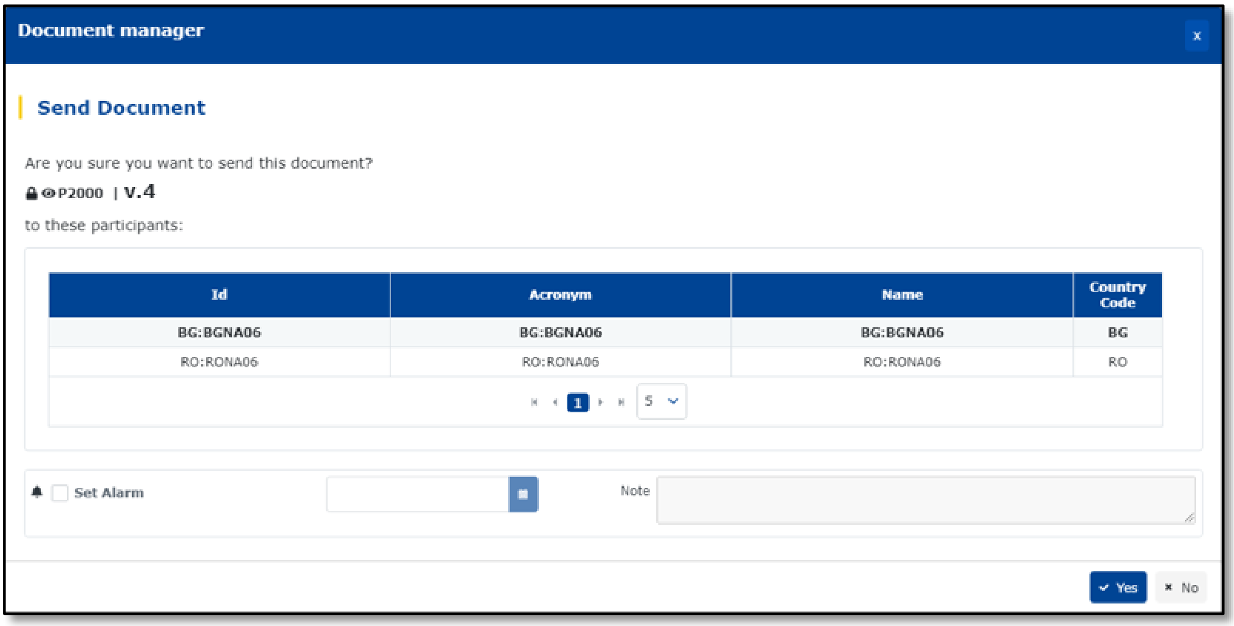


Figure 112: Confirmation window for SED transmission

After sending, all case participants receive the SED and a corresponding notification. The SED's state changes from DRAFT to SENT (see Figure 113). Sent SEDs are labelled as OUTGOING (within Classic View), or indicate the date, time and who was the sender (within

Timeline View).

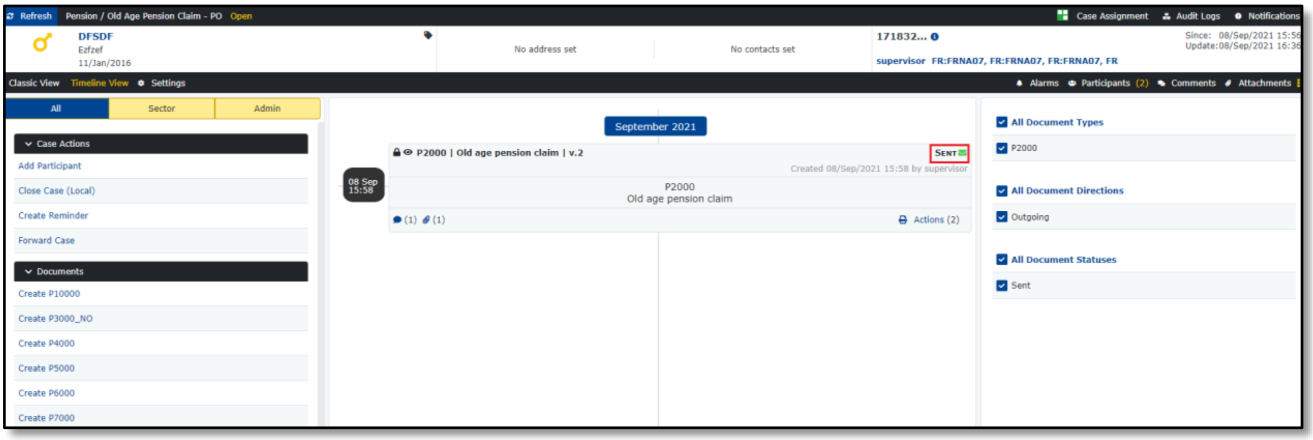


Figure 113: SED state after sending (for Timeline)

Some institutions, however, may require an additional check before a SED is sent.

As a user with a "so-called" unauthorised clerk role, it is not possible to send the SED directly to the counterparties. Instead, unauthorised clerks can REQUEST APPROVAL for the SED from their respective superior (see Figure 114).

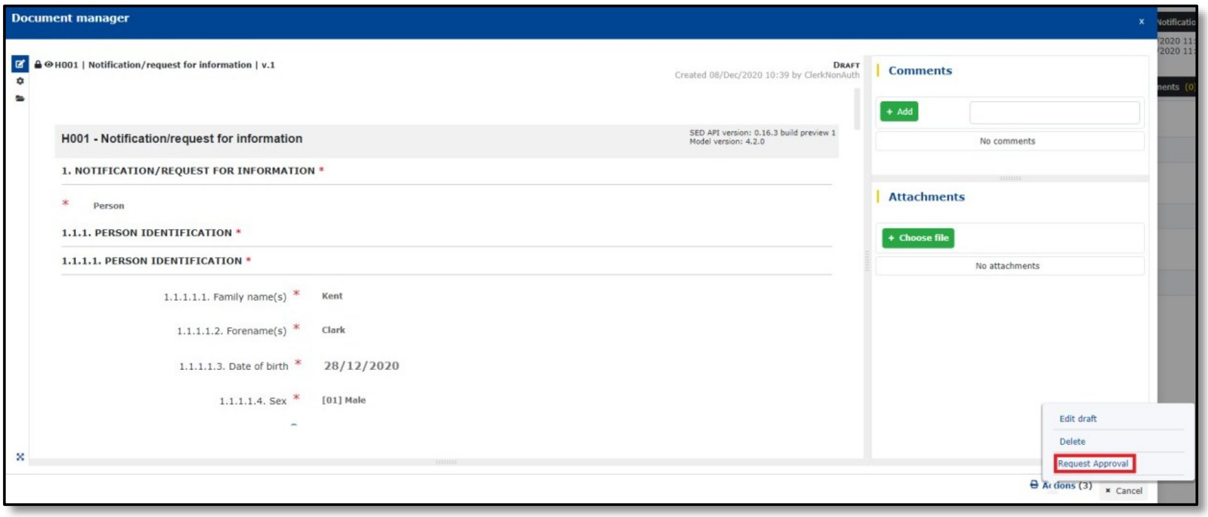


Figure 114: Possibility to request approval for sending a SED

It is necessary to confirm the request for approval in a pop-up window (see Figure 115).

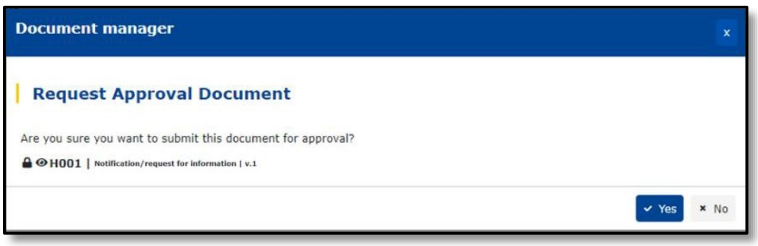


Figure 115: Confirming the request for approval for sending a SED

The respective superior will receive a notification that the SED is pending for approval. However, it is not possible to approve the SED directly from the notification. Instead, the superior first needs to open the case itself in order to navigate into it (see Figure 116).

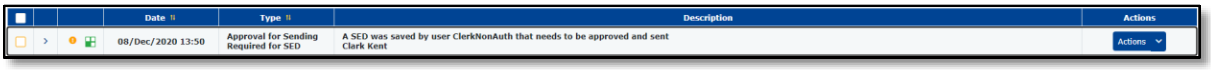


Figure 116: Notification about pending approval for a SED

Once the case has been opened, the superior can directly send the prepared SED (see Figure 117), or read it first and send it from within the SED view perspective.

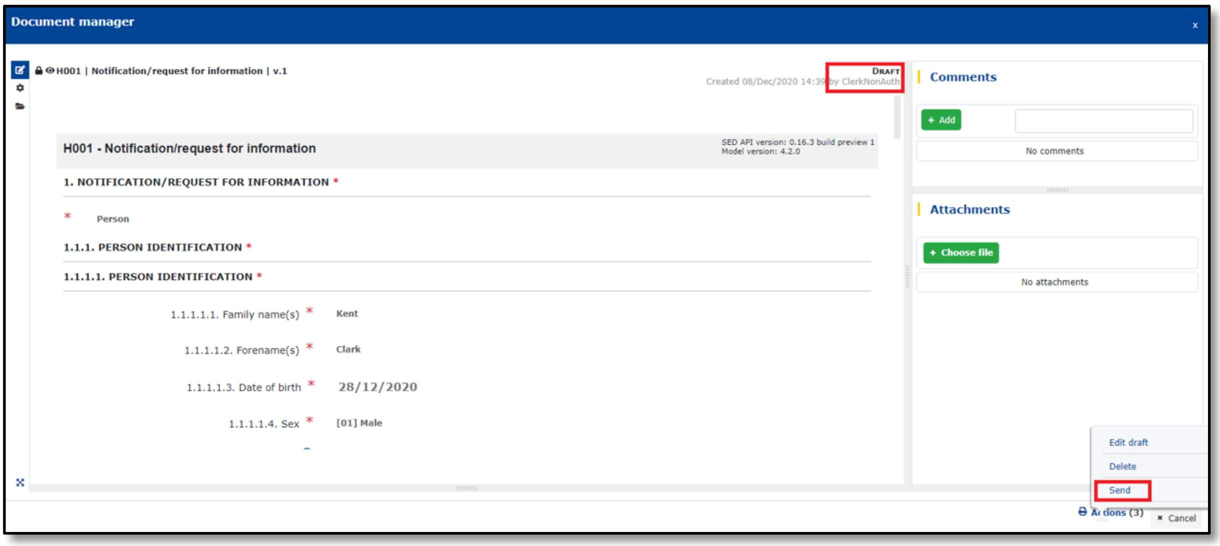


Figure 117: Authorising sending a pending SED

7.12.2 Receiving a SED

If the user's institution participates in a case and one of the other case participants sends a SED, it will receive this SED and will automatically be added to the corresponding case. If the case does not exist, it will be created and the incoming SED will be correlated to it.

There are two ways to take notice of a new SED:

- Checking the case view and/or the case-specific notifications (cf. section 7.2), if it already exists
- Checking the Notifications

All received SEDs will appear in the CASE MANAGEMENT VIEW. If the user checks a certain case, he/she can take notice of a newly arrived SED if there is a new entry at the top of the SED list and/or by the creation date of the SED. Received SEDs are labelled as INCOMING(within Classic View – see Figure 118), or indicate the date, time and who was the sender (within Timeline View).

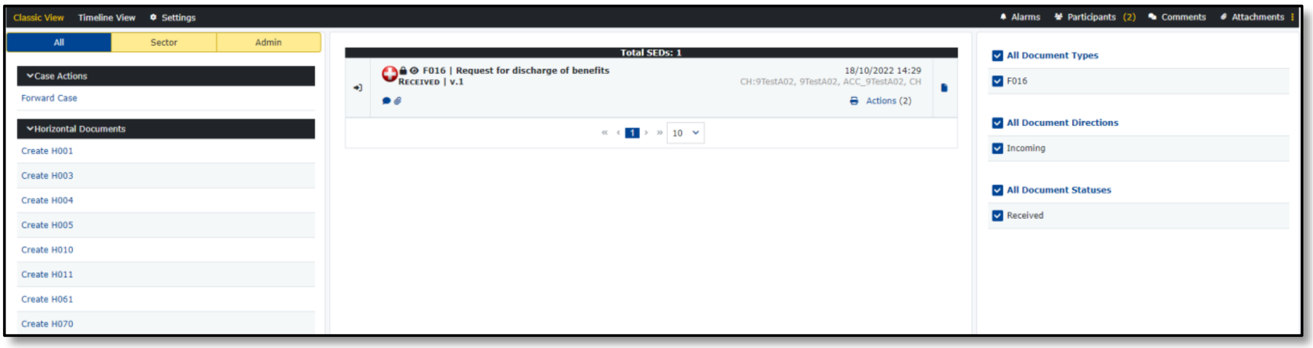


Figure 118: Received SED in the CASE MANAGEMENT VIEW (Classic View)

There is a case notification system corresponding to the notifications of the specific case in the right corner of the CASE INFORMATION BAR. A new or updated SED will be shown as an alert message (orange background), although some other types of events also generate alert messages (see Figure 119, and cf. section 8 for more information about alerts and about notifications in general).

Figure 119: Case notification view

If the received SED represents the first SED in a case, an 'A New Case Arrived' notification message shows up, as the user's institution received a new case with this SED. Subsequently, for any received SED of the specificCase an informative notification message 'A new SED arrived' is generated.

The user can reply to that incoming SED via different options when action is available, by clicking on the relevant SED action either:

- in the CASE ACTION BAR of that case (see Figure 49);
- in the CASE MANAGEMENT VIEW - SED INFORMATION area of that case (see Figure 45 and Figure 47 for TIMELINE VIEW, or Figure 43 for CLASSIC VIEW respectively);
- in the bottom right-hand side of the SED FORM layout (see Figure 135) – also applicable for "request/reply" patterns.

All case specific notifications where the user's institution is a case participant will show upin the Notifications (see Figure 120). For more information about the Notifications, cf. section 8.

Figure 120: Notifications in the Notifications screen

7.13 Administrative Actions at SED Level

7.13.1 Updating a SED

Any Case Participant (CO or CP) has the capability to update the content of the own created SEDs. This may be necessary to correct or add certain SED information after the SED has been sent. This option depends on the case type and the current process step within the case. To update a SED, click the UPDATE link at the bottom of the preview bar (Figure 121).

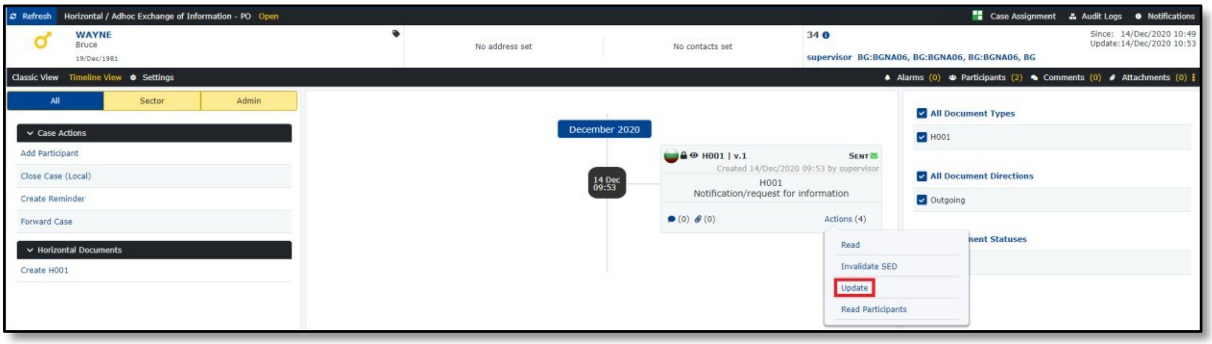


Figure 121: Updating a SED

The appearing pop-up window (SED form) corresponds to the one which appears after creating a new SED (cf. section 7.11.1), but is prefilled with the existing SED data. After changing form data and/or attachments click SAVE link. The SED version will automatically increase by one (see Figure 122).

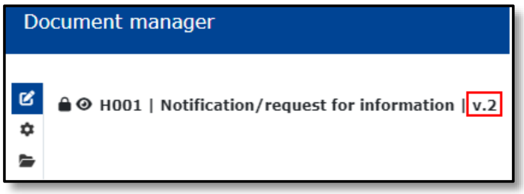


Figure 122: Increased SED version number after update

Click SEND link and confirm by clicking YES in the upcoming dialogue to send the updated SED to the relevant case participants (Figure 123).

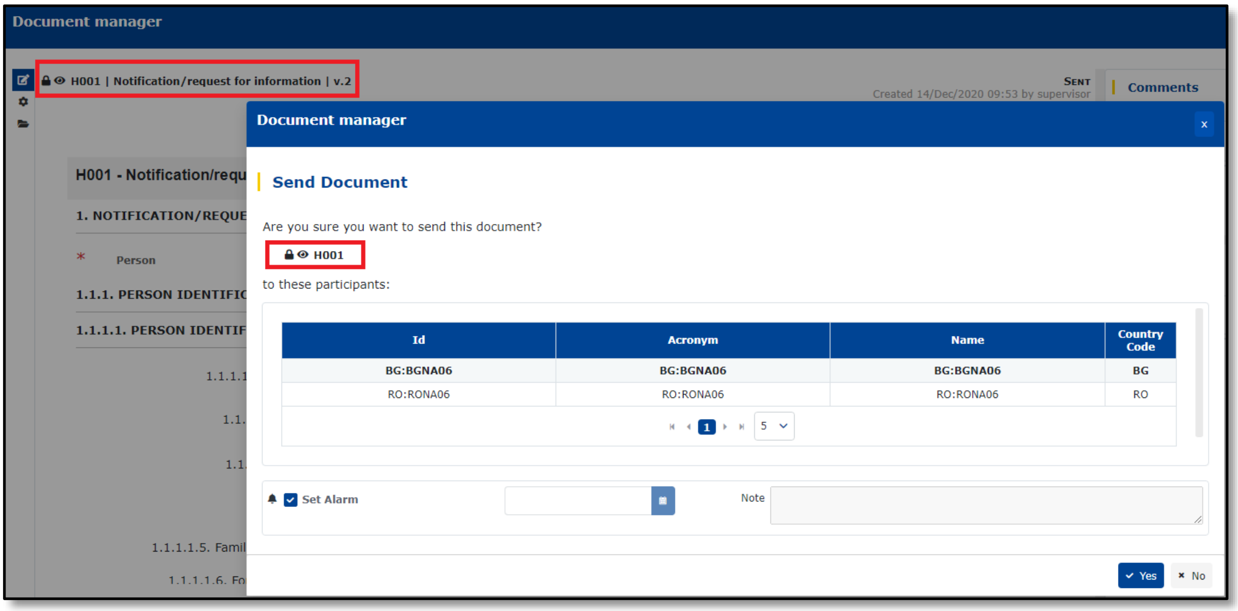


Figure 123: Sending an updated SED

All SED Level Administrative actions imply a close correlation between the 'sectorial' and 'administrative' SEDs. Hence, the action links in the Case Management View are always found under the 'sectorial' SED block in SED LIST (TIMELINE VIEW) and SED INFORMATION (CLASSIC VIEW) spaces

SEDs updates can only be sent to the case participants that were already selected prior to the update action. In case no SEDs have been exchanged into the case, the participants list can get updated, by using the participants update function (cf. section 7.5).

Both the Case Owner and counterparties can update a SED they have already sent. This depends on the applicability in terms of the BUC type and the current process step, condition and dependencies.

An invalidated SED cannot be updated.

7.13.2 Receiving a SED Update

If the creator of a SED updates the content of the SED form and/or adds an attachment, all case participants will receive a SED update. This option depends on the case type and the current process step within the case. If an incoming SED has a version higher than 1, the SED has already been updated by the creator (see Figure 124).

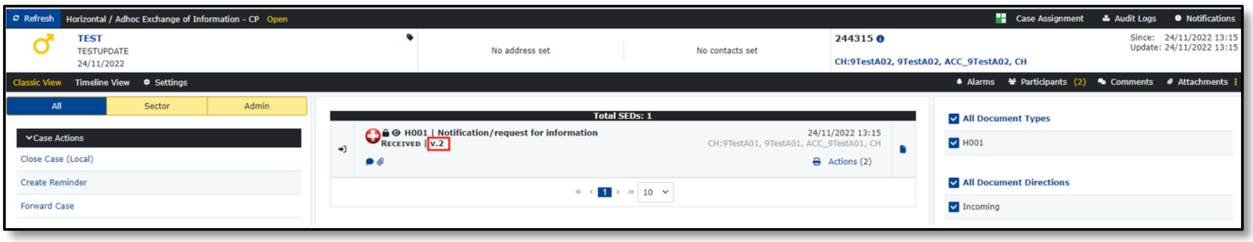


Figure 124: Updated incoming SED

Updated SEDs are accompanied by the notification 'An Updated SED Arrived' in the Case Notifications panel (see Figure 124 and Figure 125) and the Notifications (see Figure 126).

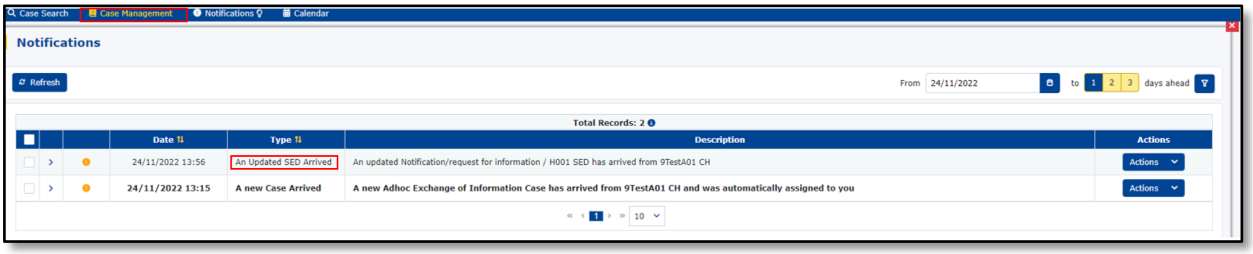


Figure 125: SED update information in the Case Notification panel

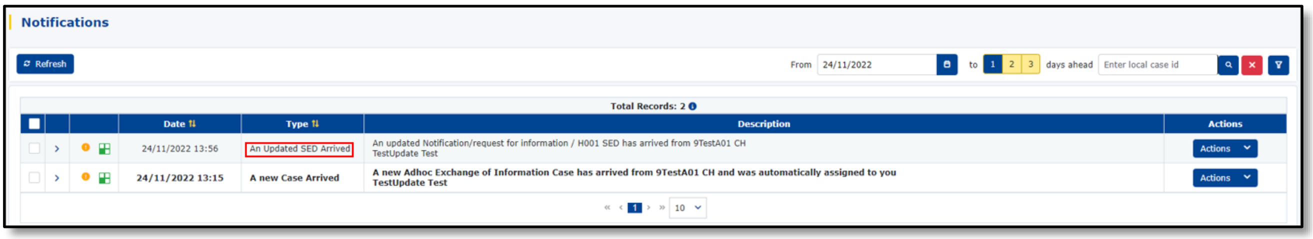


Figure 126: SED update information in the Notifications screen

7.13.3 Invalidating a SED

In certain cases, it may be necessary to invalidate a SED, which has already been exchanged with other institutions. This option depends on the case type and the current process step within the case.

Only the institution that originally sent the SED can declare a SED as invalid or withdrawn according with Article 5 paragraph 1 of Reg 987/09.

Both the Case Owner and counterparties can invalidate a SED they have already sent. This depends on the applicability in terms of the BUC type and the current process step, condition and dependencies.

To invalidate a SED, click on the INVALIDATE SED link inside the ACTIONS Menu appeared on both Views of the CASE MANAGEMENT VIEW (see Figure 127).

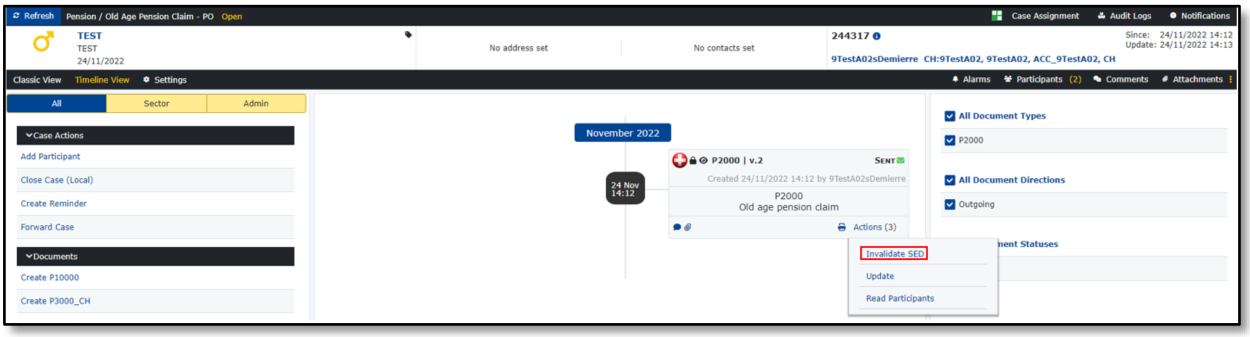


Figure 127: Invalidating a SED

Before an Invalidate SED (X008) administrative message is sent to the relevant case participants, a special administrative SED form has to be filled out. The date and the reason of the invalidation issue are mandatory (see Figure 128).

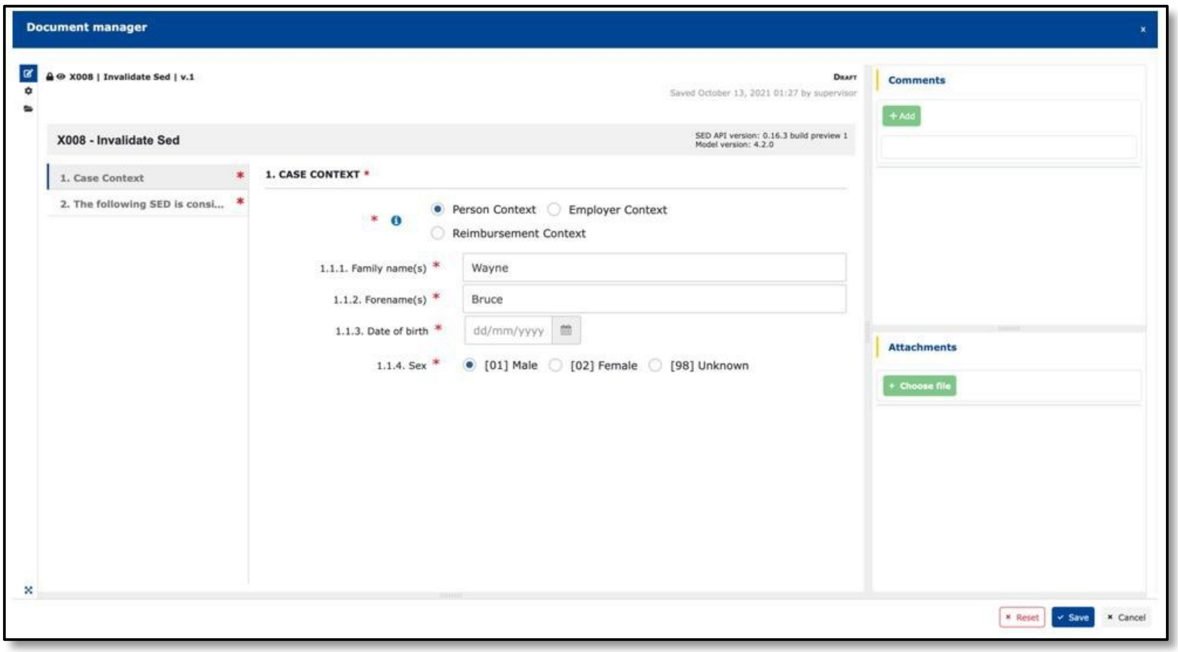


Figure 128: SED invalidation form (X008)

> ***NOTES:***
>
> - *An invalidation message is an administrative SED. Therefore, it will bepresented in the SED list and has a SED type number (X008) and version number. The approach for sending an invalidation message is identical to the one for sending other SEDs.*
> - *It is not possible to indicate Invalidate (X008) SEDs as invalid.*

After saving the draft, optional comments can be added, and the SED can be sent. If the transmission becomes successful, the invalidated SED receives the new state CANCELLED (see Figure 129).

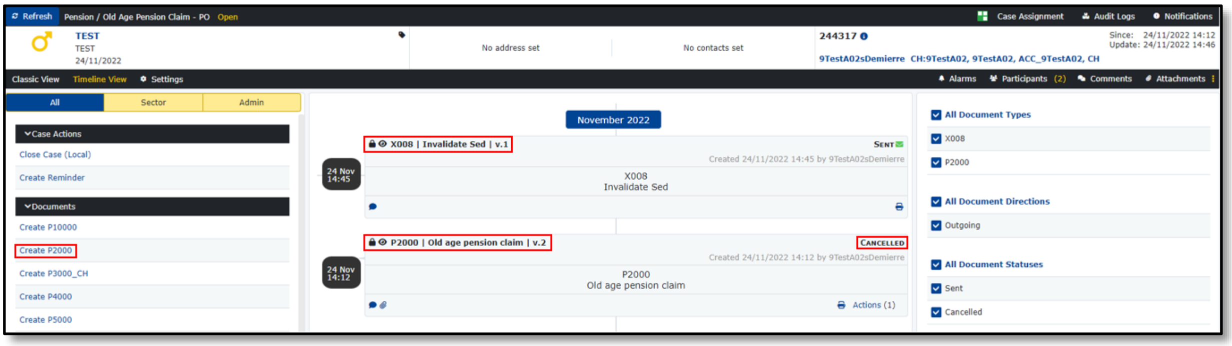


Figure 129: State of an invalidated SED

7.13.4 Receiving a SED Invalidation

In case the creator of a SED invalidates a certain SED, the relevant case participants will receive an Invalidate (X008) SED Admin message.

An invalidated SED can be identified by the SED LIST within the CASE MANAGEMENT VIEW. If an X008 SED Admin message gets received, the correlated (prior received) SED becomes invalidated by its original creator.

To find out which SED has been invalidated, a user can search for a SED with the state CANCELLED (on Timeline and Classic View) or open the Invalidate X008 SED (see Figure

130 and Figure 131).

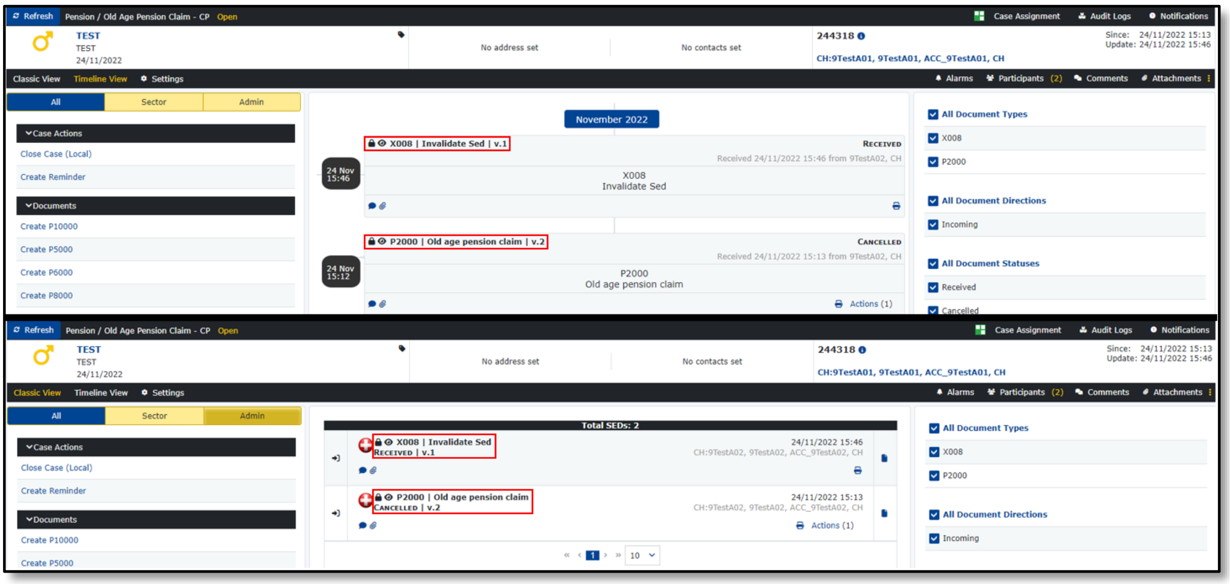


Figure 130: Received SED invalidation (Timeline and Classic View)

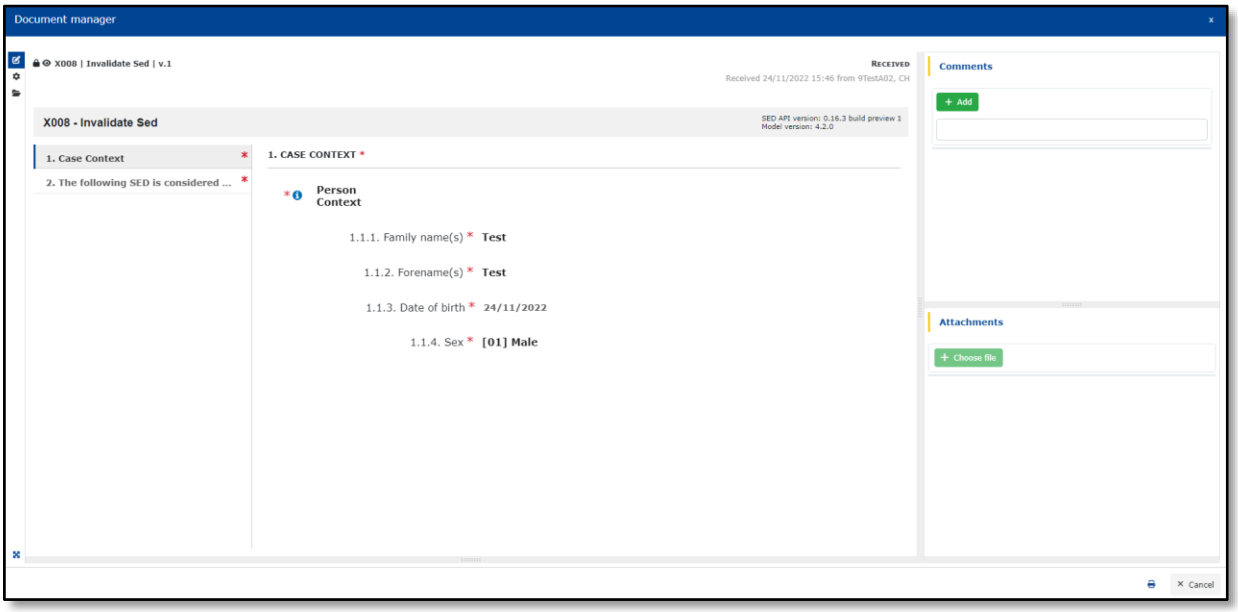


Figure 131: Open invalidation form

Other ways to find out about invalidated SEDs are through the Case Notifications or the Notifications (see Figure 132 & section 8 for more information about notifications).

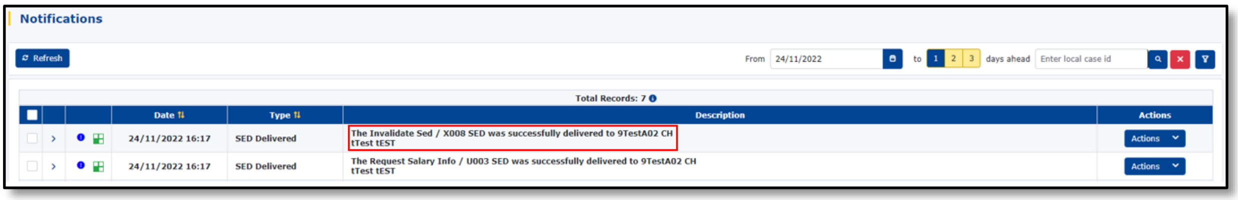


Figure 132: Invalidation SED in the Notifications screen

7.13.5 Clarifying a SED

In other Business Use Cases, specific provisions have been made to allow inquiries about a specific SED already received. This function is called CLARIFY SED CONTENT. To ask for clarification on some parts or all of the content of a SED, click the CLARIFY SED CONTENT link at the ACTIONS menu of a specific SED (see Figure 133).

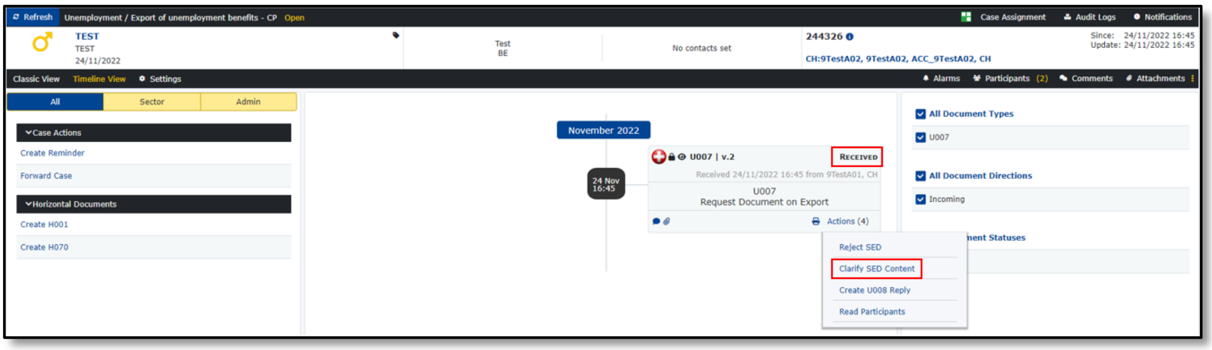


Figure 133: Clarifying the content of a SED

In the following window, personal information about the affected citizen can be inserted. Data that was already inserted by the original sender will be filled in automatically. In the second and third sections of the form, statements about the content that needs to be clarified can be made. If more than one input field requires clarification, click on the ADD link to insert another section (see Figure 134).

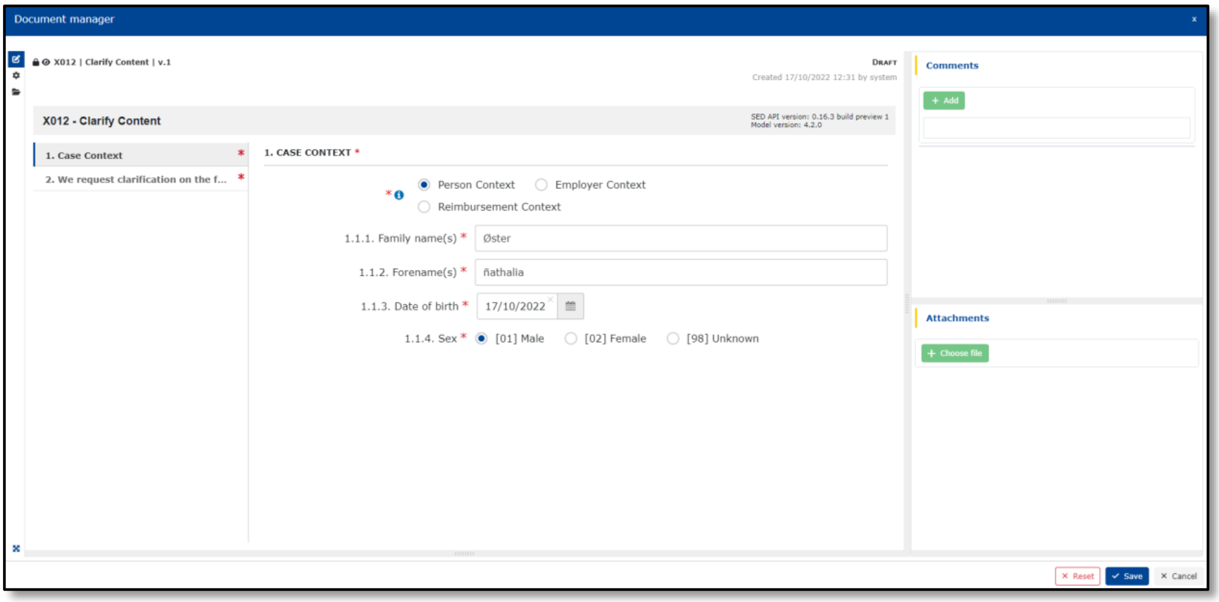


Figure 134: Form for Clarification of SED content

After sending, the original SED sender will receive a Clarify Content SED (X012). The sender has the possibility to reply to the clarification by clicking REPLY TO CLARIFY link (see Figure 135) – either through the SED LIST of the CASE MANAGEMENT VIEW or the SED FORM.

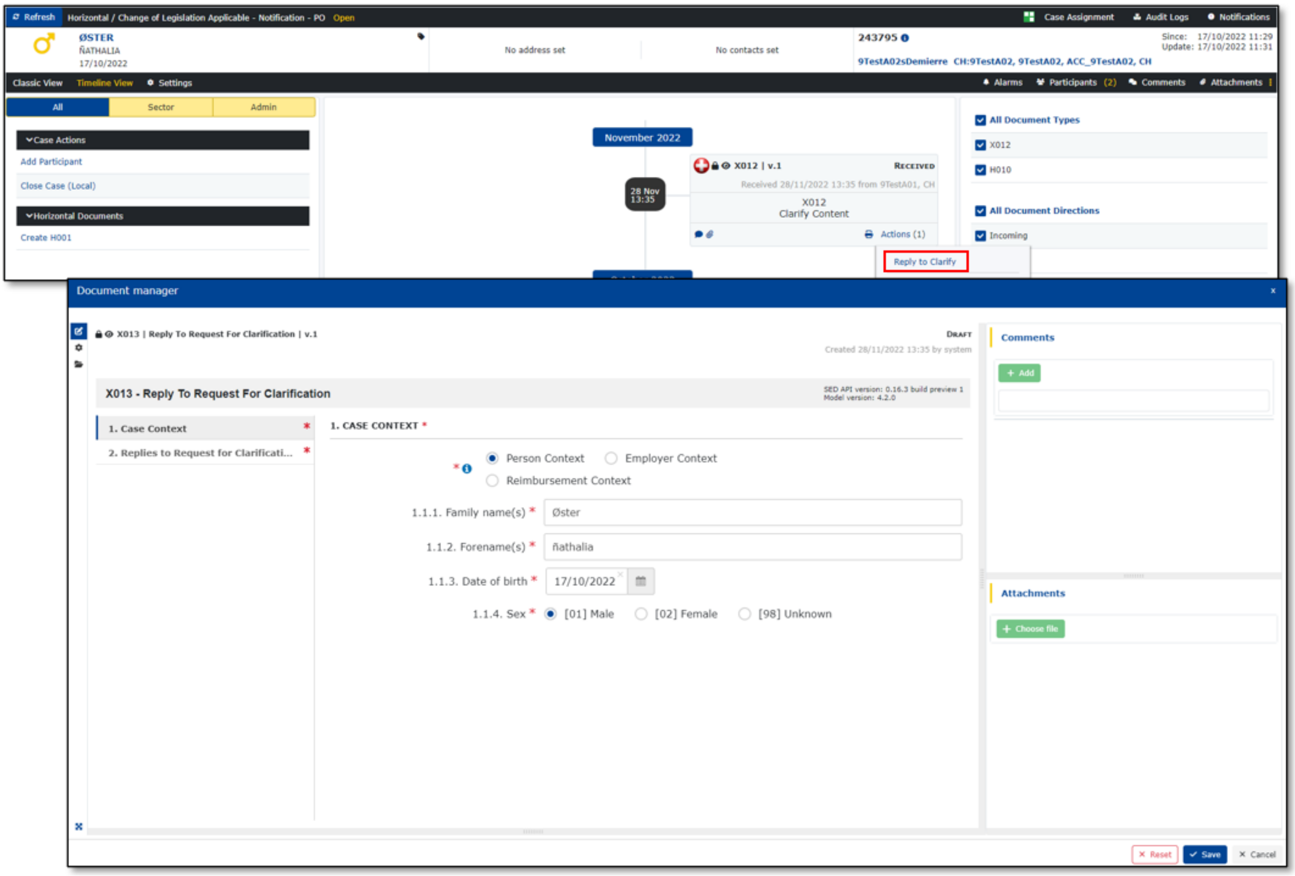


Figure 135: Reply to a received clarification SED

A new window with SED form X013 appears (see Figure 136). In the second section, the requested content can be clarified. If no clarification is possible, the institution can make a statement in the third section of the form.

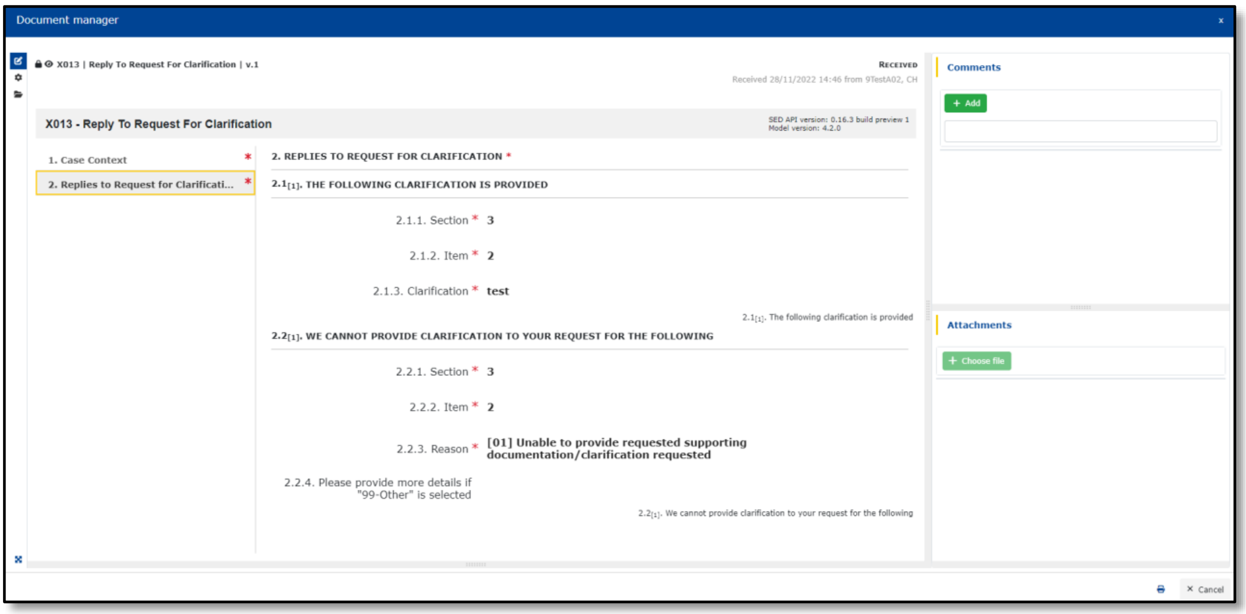


Figure 136: SED X013 - Reply to Clarification form

> *Only the institution that has received a SED can trigger a reject SED back to each participant.*
>
> *Both the Case Owner and Counterparties can request for clarifications regarding a received SED. This depends on the applicability in terms of the BUC type and the current process step, condition and dependencies.*

After sending the reply, the institution that requested the clarification will receive a 'Reply to Request for Clarification' SED (X013). At this point, another reply is not possible (see Figure 137).

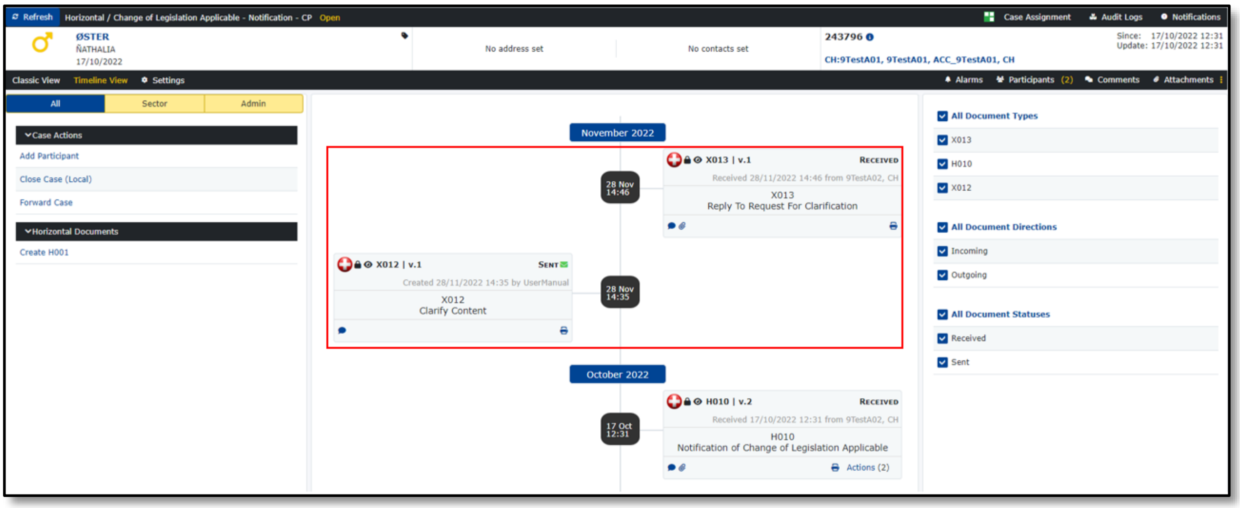


Figure 137: Received Reply to clarification SED

7.13.6 Rejecting a SED

The recipient of already sent SED among case participants may wish or need to indicate that he/she fully rejects the received SED. Hence, the user can trigger such an Administrative SED (X011) and send it to the SED sender, along with indicating the reason. This option depends on the Case type and the current process step within the case. In order to perform such an operation, the user can click on the REJECT SED link of the ACTIONS menu (see Figure 138).

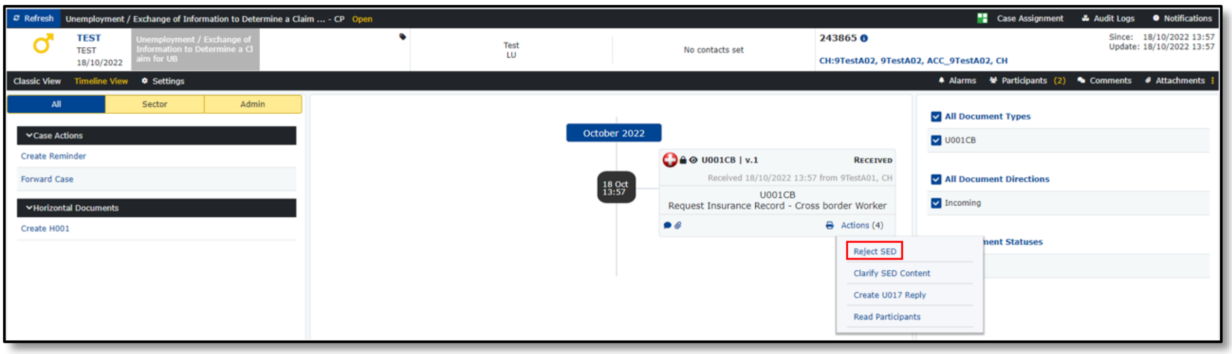


Figure 138: Activate "Reject SED" operation

Following the triggered link, the form of the Administrative (X011) SED will be displayed to the user (see Figure 139). In order to fill it in, the user needs to populate the mandatory fields, along with the rejection reason. This Admin SED can be sent as soon as the user clicks on the SEND link.

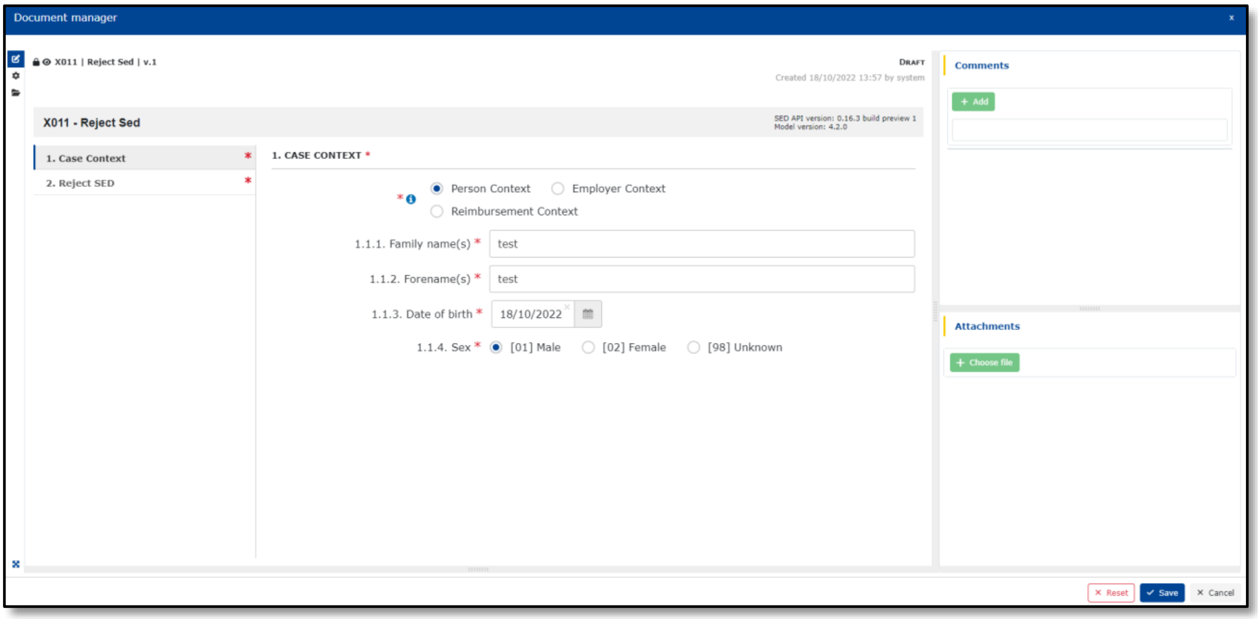


Figure 139: SED X011 - Reject SED form

The Reject SED (X011) message can be triggered only once per SED instance.
The Reject SED process can get involved more than once in a case (but as indicated above, only once per SED instance).
Both the Case Owner and counterparties can send a reject SED on a SED they have already received. This depends on the applicability in terms of the BUC type and the current process step, condition and dependencies.

7.14 Reviewing Message SBDH & History and Handling SED Errors

A SED needs to be drafted before it is sent and subsequently received by the other case participants. It can be modified by a later version of the same SED (cf. section 7.13.1), and it could be invalidated by a subsequent administrative SED (cf. section 7.13.3).

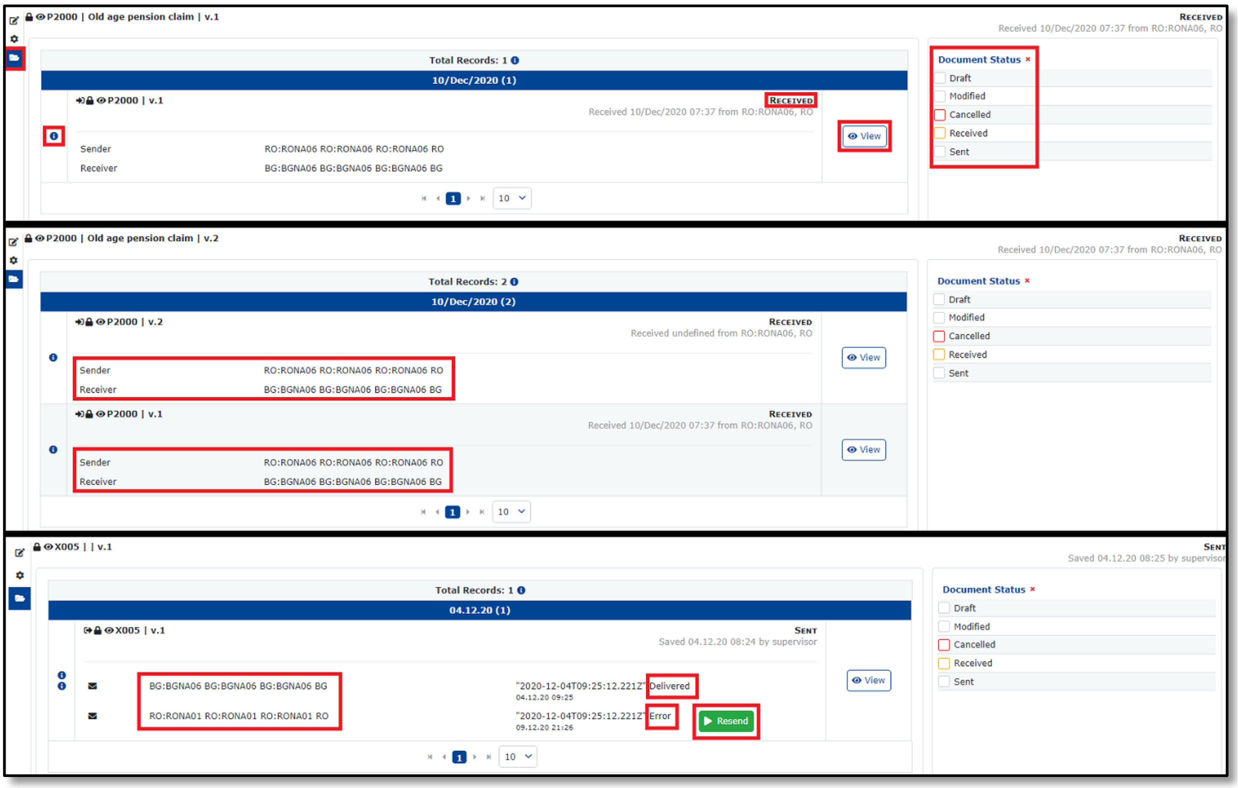


Figure 140: Opening the SED message history inside the SED view

For every SED, the SED message history allows easily reviewing these different changes over the lifecycle of the SED. The message history is accessed from inside the SED view by clicking on the respective icon (see Figure 140). It lists all available versions of the SED and allows inspecting them by clicking on VIEW.

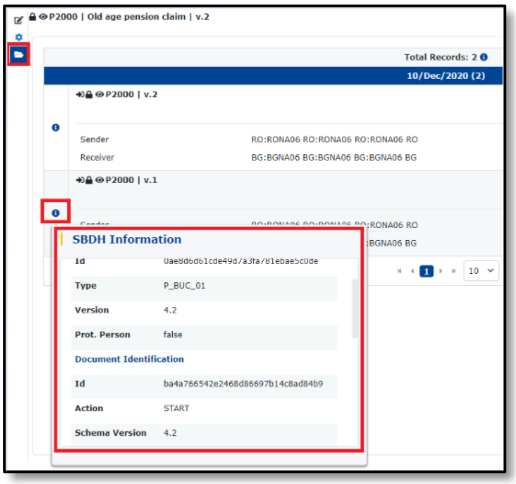


Figure 141: SBDH information

In addition, a detailed description of the Message Header (SBDH) is provided by clicking of the icon [🛈] (see Figure 141).

In case of a long and protracted message history, the message history view also offers the possibility to navigate to a specific date, or to filter by the relevant state of the SED during the different versions. The logic of these elements is identical to the navigation and filters used in the Notifications screen (cf. section 8).

It is possible that a SED fails to be delivered, if for example, there are technical issues at the corresponding Access Point (AP) in one of the receiving participating countries. In this case, an error notification is triggered. For more information about the error, click on the error notification in the CASE MANAGEMENT VIEW or in the Notifications screen. The specific problem is described next to the label reason (see Figure 142).

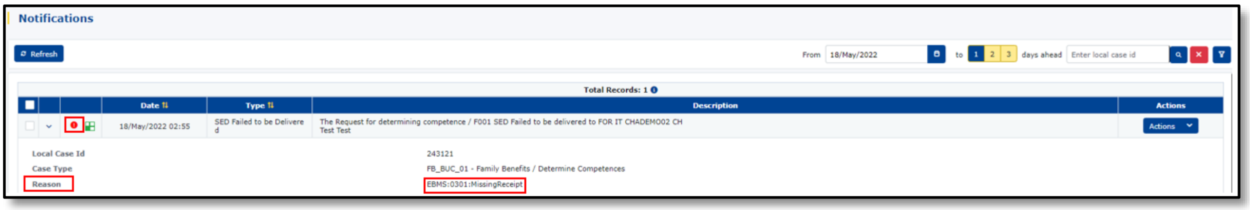


Figure 142: Error reason inside the notification

If the problem is temporary – for example if the Access Point (AP) cannot be reached instantaneously, but is up running again after some time – the user can use the SED message history to resend the SED that failed to be delivered, via clicking on RESEND link (see Figure 140).

If the problem persists or if additional help for solving it is necessary, the user has to contact the local ESP administrator (who is responsible for the specific institution). If the administrator considers it as a software problem within ESP a support ticket needs to be created and submitted towards the EESSI Central Service Desk.

NOTE:
ESP enforces the Business Use Case rules on SED selection and sequence based on the Case type information. Nevertheless, in the future, other national IT systems can also send SEDs through EESSI system, which may not provide the same guarantees. Hence, an additional type of failure may occur if the type of a received SED is incompatible with restrictions on SED usage imposed by the Case's type. In this case, the sender of the erroneous message is informed about the error by a special administrative SED (X050 – Business Exception).

7.15 Handling Batch SEDs

In some contexts, such as the exchange of reimbursement claims/notes/requests, it is more efficient to exchange entire groups of claims/notes/requests with a single SED message. For this reason, ESP supports the so-called 'batch' SEDs, which allow delivering a large number of individual claims/notes/requests (along with a global claim/request) within a single SED.

Note that batch SEDs are ONLY available in certain Case Types (BUCs)where there is a specific need for them

7.15.1 Navigating inside a Batch SED

Batch SEDs consist of two parts:

- The so-called Master Document contains the basic information about the exchange, such as the data of the institution sending the SED, the receiving institution, and the total amount claimed/requested.
- The Individual Children Sub-Documents contain the data on the specific items included in the batch SED, such as an individual claim for reimbursement of medical expenses.

Please note that the Master Document of a ESP batch SED is referred to as Global Note (like the "Global Note CLA" in the S080 SED Master section) in other contexts. For the purposes of using ESP regarding this functionality, both terms have the same meaning.

When displaying a batch SED (see Figure 143), ESP allows the user to change between the Master Document and the individual claims/requests (Children Sub-Documents) by selecting one of these in the list on the left side of the window, while the SED form gets filled in.

Thus, Master Document brings back the key information on the entire batch SED. Clicking on a specific individual claim/request brings this specific item up in the document (form) view. The list of individual claims/requests can be searched for by using specific terms, and filtered by specific categories, to ease management of large numbers of claims/requests.

The individual claims/requests (Children Sub-Documents) can be populated either via a manual (via form data population) or file import (of xml type) manner.

The SED view of a sample batch SED (S080 type) is displayed in the below figure.

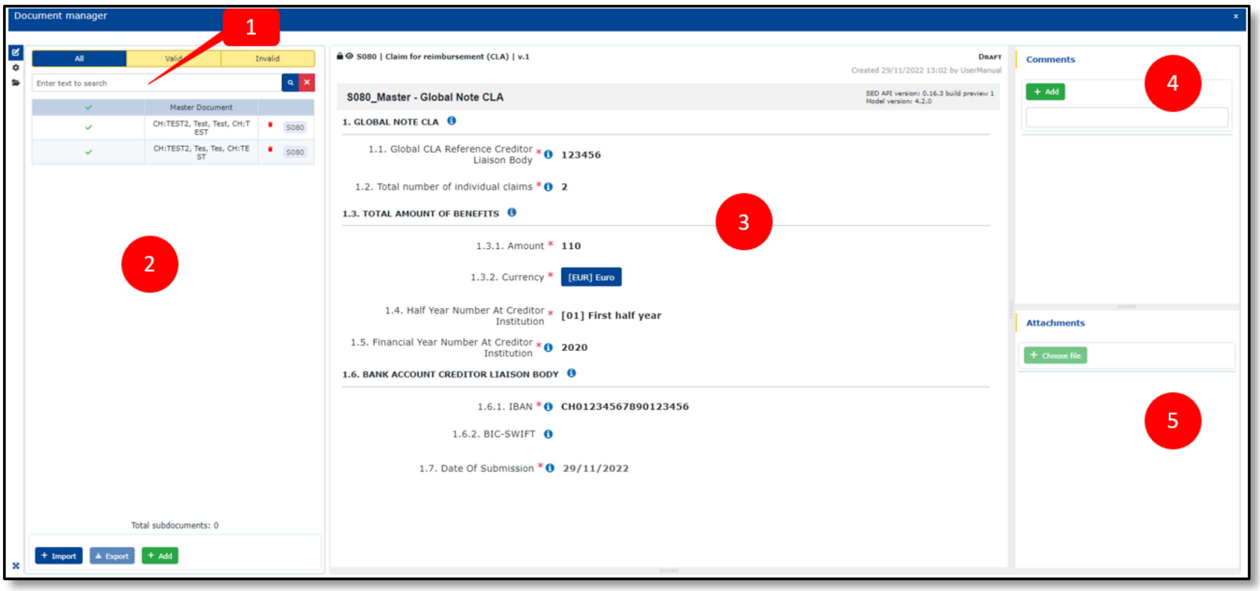


Figure 143: Navigating inside a batch SED

1 SEARCH AND FILTER

In batch SEDs with many individual claims/requests, a user can use this area to search for specific claims/requests, or to filter by different categories. The basic filter allows to display only valid, invalid or either type of claims/requests. Invalid claims/requests may have been introduced, for example, by importing a file containing erroneous data. Moreover, later during a case using batch SEDs, it is also possible to filter according to the SEDs related to a specific claim/request (e.g., whether it was already included in a reply accepting or contesting the claim/request).

2 DOCUMENT LIST

This list allows the user to switch between the Master Document and the individual claims/requests (Children Sub-Documents) contained in the batch SED. Click on an item to display its information in the document view.

3 DOCUMENT VIEW

In this area, the currently selected document is displayed. This can be either the Master or any Child Sub-Document (individual claim/request). When creating a new Master Document or claim/request, or when updating either, this view is also used for editing the selected part of the document. It is also possible to print batch documents (please see the chapter 7.11.7 for further details about printing SEDs).

4 COMMENTS

Comments always apply to the entire batch SED and not to individual claims/requests.

5 ATTACHMENTS

The functionality for adding attachments works as usual. However, attachments can be added either to the Master Document or to a specific individual claim/request to which they pertain.

7.15.2 Creating and Sending a Batch SED

In order to create a batch SED, a user first creates an appropriate Case and adds the Counterparty as usual (the BUCs involving batch documents are bilateral, meaning only one counterparty is allowed per case). Then, the user selects to create a new SED with batch functionality (such as a U020 document – see Figure 144).

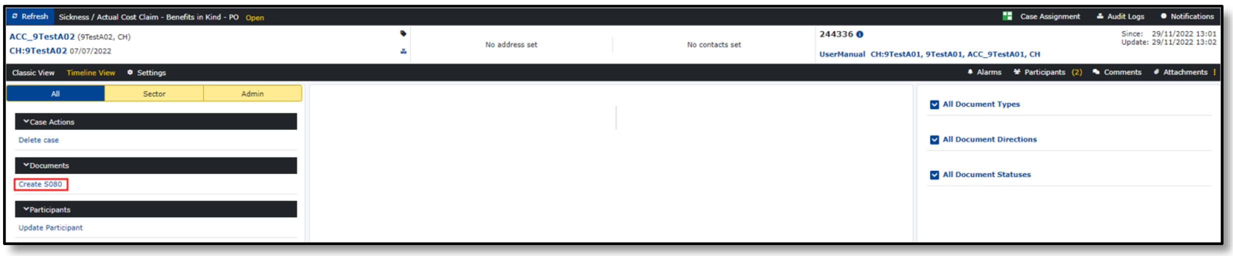


Figure 144: Opening a batch SED in an Actual Cost Claim case

Initially, the Master Document will be shown in the document part view, and only the Master Document (also called Global Request) is available for editing. The user will need to enter all compulsory fields concerning the Master Document and click on SAVE the SED before adding any Child Sub-Document (individual claims – see Figure 145).

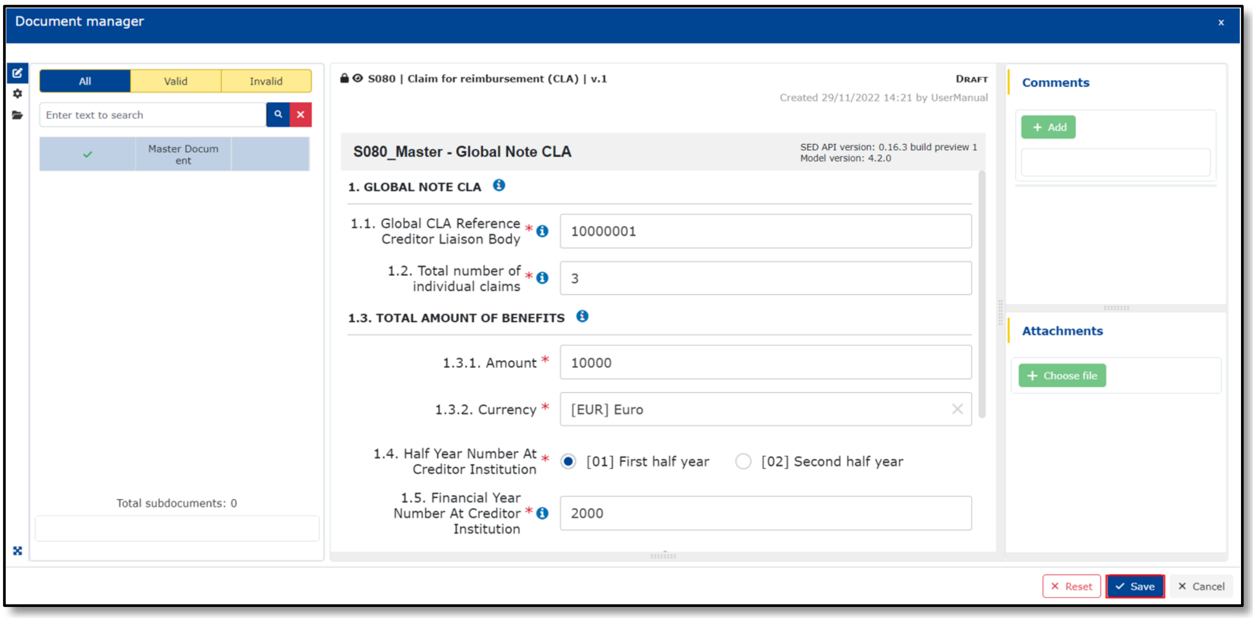


Figure 145: Saving the Master Document (Global Request) of a new batch SED

Once the Master Document has been saved, it is possible to add Children Sub-Documents (individual claims) by clicking ADD link in the lower left corner of the window. Each claim/request needs to be saved once filled out (see Figure 146).

Later changes can be made when viewing this claim/request by clicking EDIT AS DRAFT link.

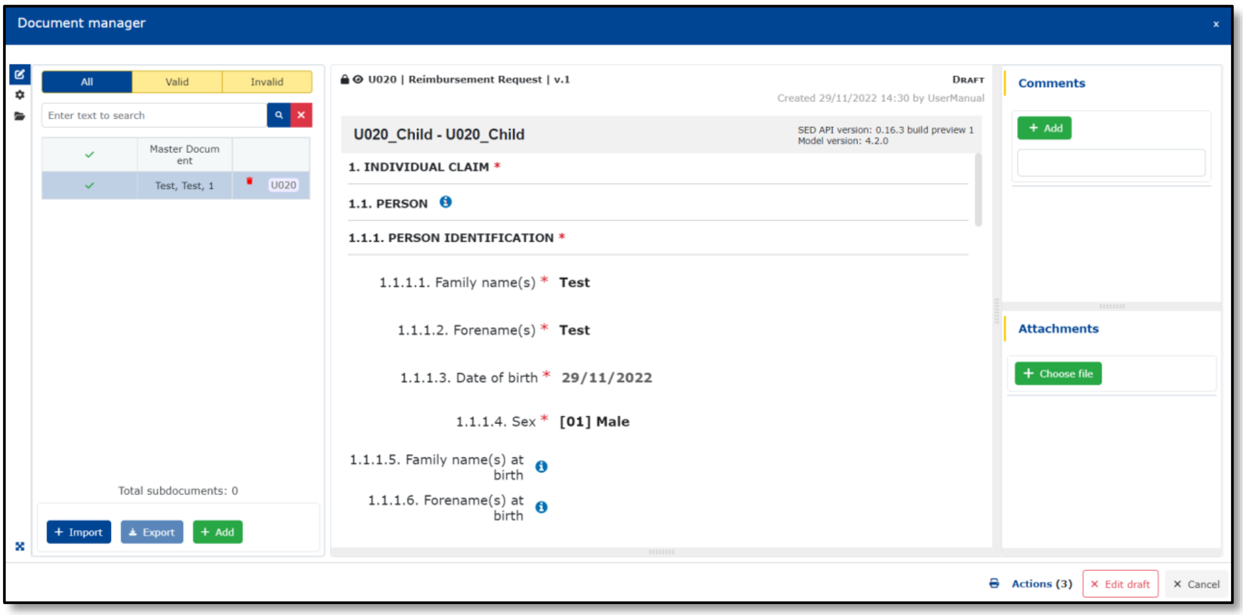


Figure 146: Adding claims to a batch (Master) SED and Editing a sub-document

Note that changes to individual claims are always termed UPDATE*, regardless of whether or not the batch SED has already been sent. Changes to the Master Document, on the other hand, distinguish between* EDIT DRAFT *for unsent SEDs and* UPDATE *for SEDs already delivered.*

The user must edit one single child sub-document at a time. Once a child isselected for edit the user must save the changes before navigating away toanother child or to the master document. Only the data included in the current child is saved when the save button is triggered. The user should not change in the same time multiple child sub-documents because the save operation applies only to the current selected child.

Once a user/clerk has finished adding and editing the children Sub-Documents (individual claims), the entire batch SED can be sent (including the Master Document and all associated Children Sub-Documents) by clicking SEND link. The sending of the SED should be confirmed in the typical way.

Note that the option to send the batch SED is available both when viewing the Master Document and when viewing Children Sub-Documents (individual claims). In both cases the entire batch SED is sent, not only a single individual claim, when clicking on SEND *link.*

7.15.3 Importing and exporting batch SED data

Instead of manually adding each individual claim/request to a batch SED, it is also possible to import a larger number of pre-existing claims/requests with a single action by clicking IMPORT link and selecting the appropriate claims/requests Sub-Document from the local file system (see Figure 147).

This will automatically add all individual claims/requests contained in the document to the current draft SED. When importing cases, the corresponding sections of the Master Document are automatically adapted accordingly (e.g., the outstanding amount of the imported claims/requests is added to the total claim/request amount of the Master Document).

After importing, filtering by INVALID allows the user to check whether any of the imported claims/requests were marked as erroneous during the import.

> *ESP allows the import of children Sub-Documents (individual claims) from external XML files which can in principle be managed by editor. However, ifthe user is using the batch functionalities, the files to be imported are usually created automatically by a national IT system.*

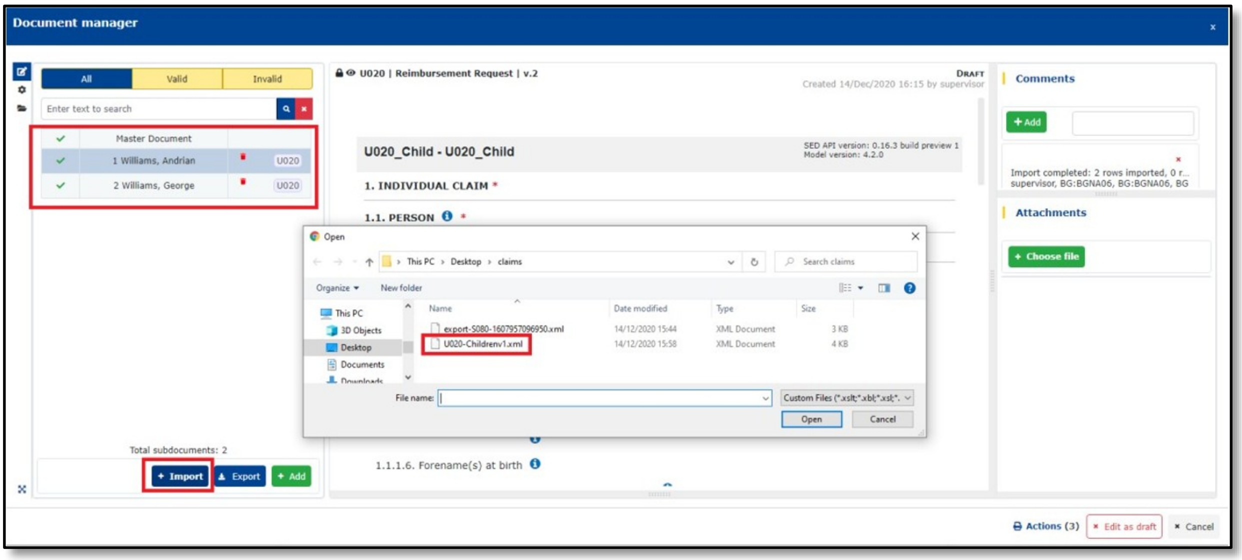


Figure 147: Importing claims/requests into a batch SED from the file system

The EXPORT function similarly allows exporting the Master Document along with all listed individual claims/requests to an external file. Also, the template of such a file can be fetched once the user will manually create a relevant Sub-Document and export it through the above action.

The layout (number and name of fields) of the xml file that can be Exported/Imported using EXPORT/IMPORT links are SED dependent. Below, an example concerning the SED U020 and entry for a specific person is given (see Figure 148 for an XML structure and value example of the given fields).

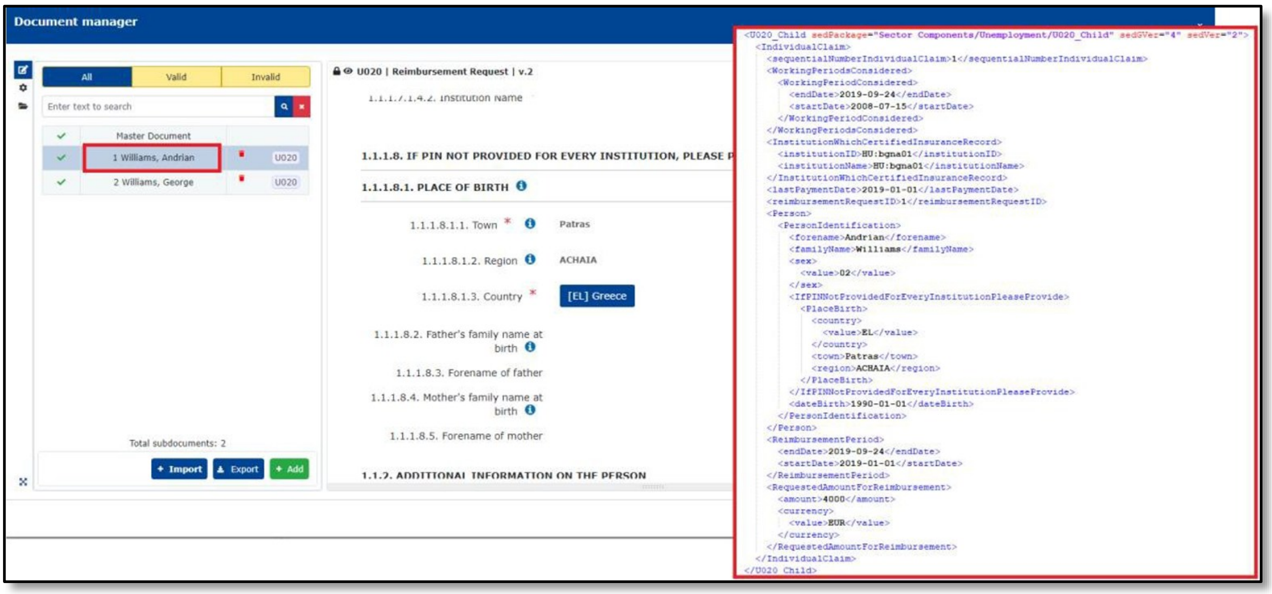


Figure 148: Example for xml structure and SED values (SED:U020)

On the right part of Figure 148, an example of a SED with repetitive sections is presented and the corresponding exported xml description is pointed out on the xml file.

In some cases, specific parameters of the Master document and the children sub-documents should share the same value. For example, the value of the parameter "***ReimbursementRequestID***" of the section 2.1 in Master and section 1.2 of the individual request of SED U020 must be the same, following the contextual logic of the published SED guidelines. Through manually added requests (via the link ADD), the specific parameters are pre-filled with the correct values and the user can not modify them and consequently no mistakes are generated. BUT, when new requests are imported (from external "xml" files), ESP uploads the imported requests without values' validation.

An online automatic validation of the imported xml child, against the corresponding XSD, is applied in order to ensure the consistency between the imported structure and values of the xml file and the relevant guidelines.

In general, the following rules should be applied in order to have a correct and well formated XML document to import:

- The XML document must contain a main tag of the format: "sed:xxx_Child Subdocuments + name space" i.e. *<**sedU020_Child**: subdocuments xmlns:sedU020_Child="http://ec.europa.eu/eessi/ns/4_2/U020_Child">*
- For each child document, (based on the SED child scheme):
  - The XML should contain a tag with name *SEDtype*_Child including the parameters, "sedPackage", "sedGVer" and "sedVer", i.e. *<**U020_Child** sedPackage="Sector Components/Unemployment/U020_Child" sedGVer="4" sedVer="2">*
  - Consequently, the following fields should be removed from every child (they are presented in the main tag of the children):
    - <***sedPackage***>SectorComponents/Sickness/S080_Child </***sedPackage***>
    - <sedGVer>4</sedGVer>

- <sedVer>2</sedVer>

An example of an xml file (exported by using ESP export functionality) is given in the attached file below (xml file of the example given on Figure 148):

7.15.4 Receiving and Replying to a Batch SED

If a user receives a batch SED from another institution, user will be notified about its arrival as usual. In the case view, user sees the newly arrived SED. On SED opening, the receiver can browse through the individual claims/requests in the same way as during the creation of a batch SED (cf. section 7.15.2).

Moreover, user can also export the list of individual claims/requests as an "xml" file type for further processing in other applications by clicking on EXPORT link.

In our scenario, the user can process the received individual claims, and finally create a Partial Acceptance to the sending institution by clicking on CREATE REPLY (see Figure 149).

> *The precise caption of the CREATE REPLY link will vary depending on the casetype and includes the relevant reply SED that is created (such as CREATE U021 reply OR CREATE U023 REPLY, for the Case type UB_BUC_04 "Reimbursement of unemployment benefits).*

The user can indicate which of the individual claim/request contained in the batch SED can partially accept or reject. As mentioned above, every BUC type has a different approach regarding the processing of batch SEDs. All can be found as per BUC description via available actions in the CASE MANAGEMENT VIEW of every case.

The draft SED that is presented to the user will contain both data in the Master Document that is pre-filled based on the batch SED received, and the contained individual claims/requests. Again, the user needs to complete the data in the Master Document and click SAVE link before working with the individual claims/requests (Sub-Documents).

Thereafter, the administrator needs to select the individual claims/requests from the original batch SED that he/she replies to.

By selecting the checkbox shown in the list of claims/requests on the left side of the window, the user includes any of the received claim/request in his reply batch SED (see Figure 150). He/she needs to fill in additional information for the reply to each individual claim and SAVE it before moving on.

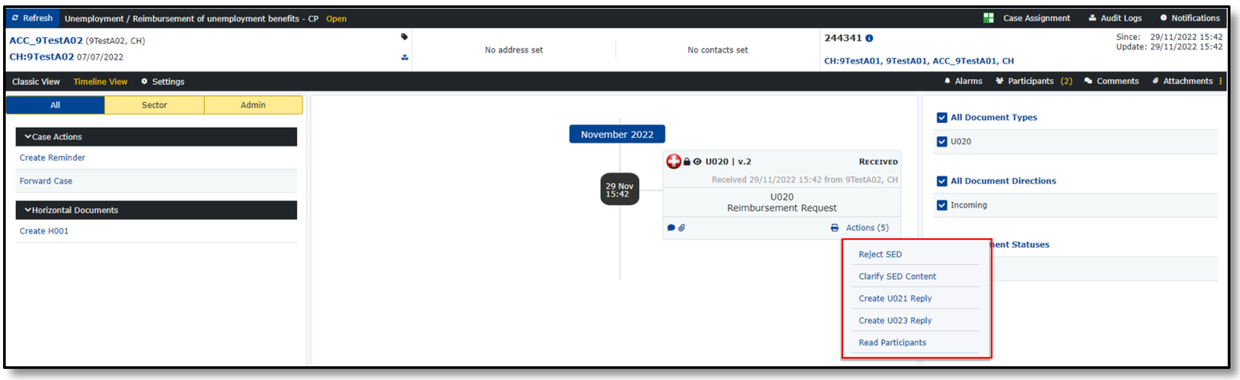
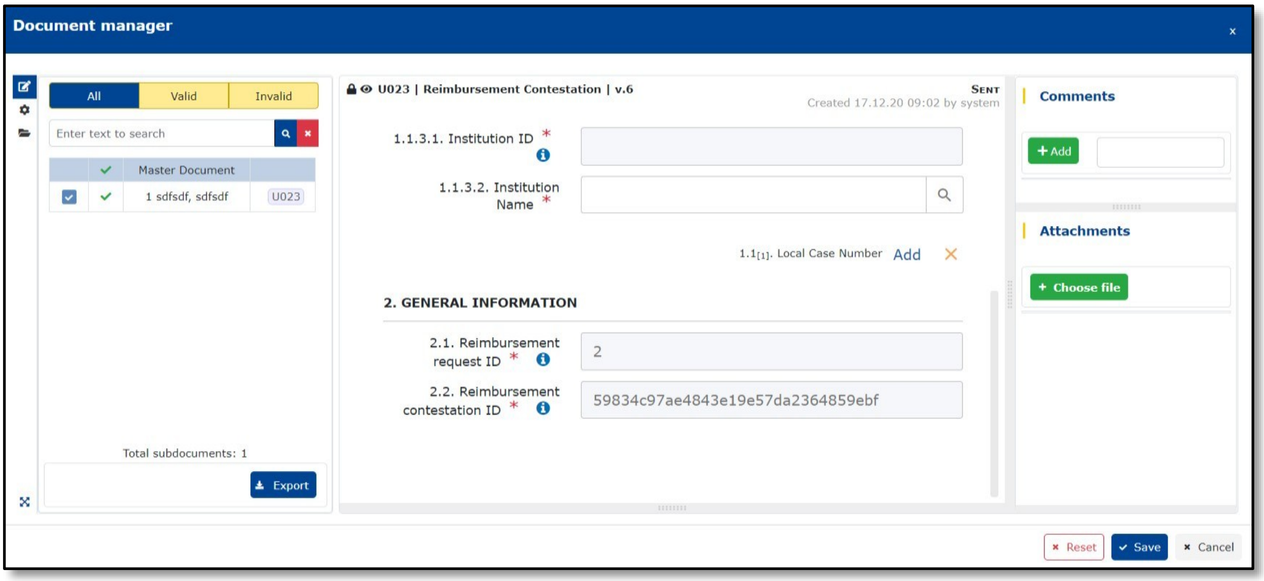
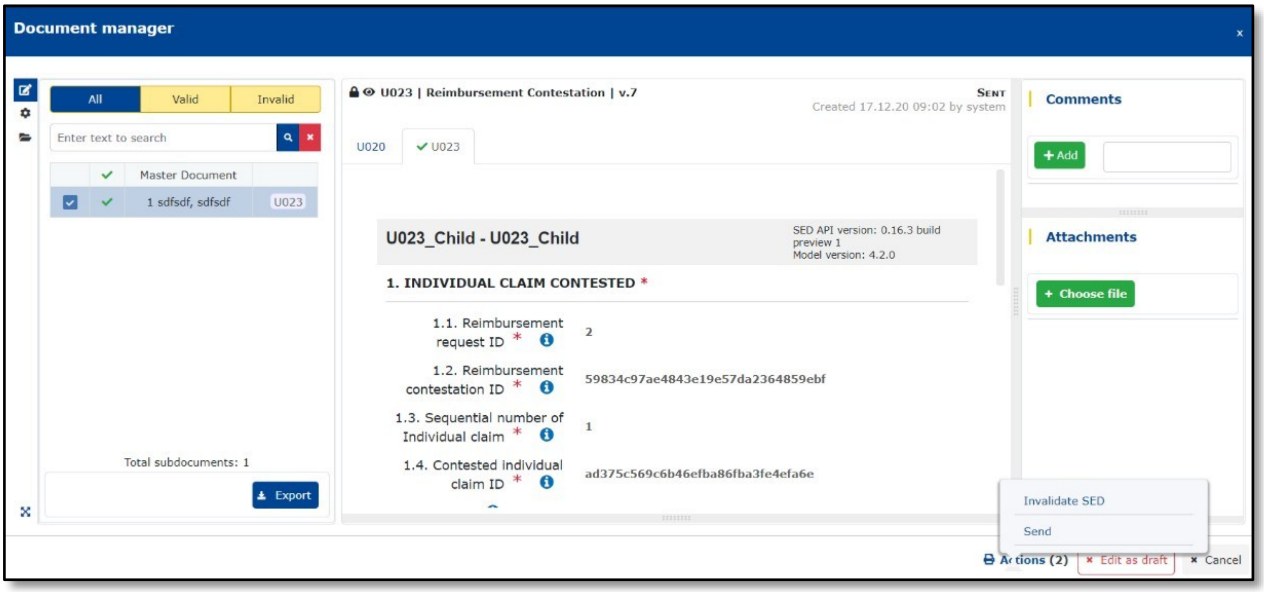


Figure 149: Navigating and acknowledging an incoming batch SED

Once the user has finished selecting the relevant Sub-Documents, he/she can send the reply SED by clicking SEND link. The individual claims list on the left side will be updated (with [✓] icon) to show that the user has already replied to these specific individual claims. The reply SED is sent as another batch SED, and can be displayed and processed by the recipient in the way described in this sub-section.

> ***NOTE:***
> *The user must edit one single child sub-document at a time. Once a child isselected for edit the user must save the changes before navigating away toanother child or to the master document. Only the data included in the current child is saved when the save button is triggered. The user should not change in the same time multiple child sub-documents because the save operation applies only to the current selected child.*





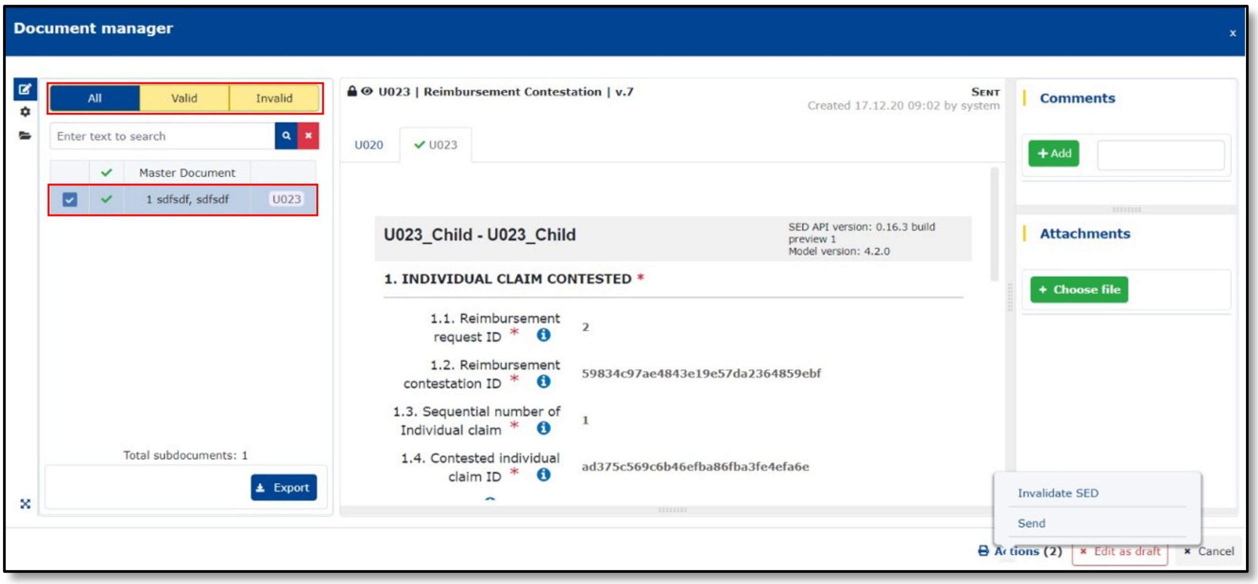


Figure 150: Adapting received Sub-Documents to a batch reply SED

7.16 Managing Attachments

There are 2 types of ESP attachments:

- the SED specific that are attached inside the SEDs and concern only the specific SED
- the Case specific attachments that can be included through the Attachments() choice of the Case Toolbar and concern the entire Case.

7.16.1 SED specific attachments

In many cases, the information in the SED forms needs to be complemented by additional material, such as documents containing the evidence for certain claims/requests. For this reason, ESP allows to administer attachment files.

Attachments can be attributed globally to an entire Case or to a specific SED. In the case of batch SEDs, moreover, attachments can refer to the entire batch or to a specific subdocument within it.

*There is a fundamental difference between Case and SED attachments. While Case specific attachments are local information available only within the user's institution, **SED attachments are transmitted** to all other Case participants alongside the SED.*

In the SED view, the user can add an attachment by clicking on CHOOSE FILE and selecting the file to be added from his/her local file system. To remove an attachment, click the red 'X' icon in the upper, right corner of the attachment name (see Figure 151).

When the user adds or removes an attachment while editing a SED, the change is saved immediately – unlike changes in the form input fields that require explicit saving.

Please note that SED attachments can only be added after the SED has been saved successfully at least once.

Attachments that contain medical information are privileged in some participant countries, which restrict access to these documents only to users with a special background and role for assessing medical evidence. To enable participant countries to respect such policies when using ESP, attachments can be classified as "Medical" by clicking on the small cross icon [ ] next to the attachment (see Figure 151).

The cross turns to green icon [ ] to indicate that the document has been tagged as "Medical". Only users with the medical role can view metadata (e.g. name of the attachment) of the medical attachments, download them or re-classify them as non-medical, although all users assigned to the case can see that a medical attachment exists.

The range of allowed attachments files is dictated by the business model. Also, a specific list of SED types is allowed to include attachments, which is restricted by the business needs.

> *Each attachment can't be bigger than a specific size configured by the administrator and the same goes for an SED. If an attachment is too big, a pop-up window will inform the user about the maximum size and refuse the attachment. If the user tries to add an attachment that would exceed the maximum size of the SED, the attachment will be refused and the user will be informed about the exceeding of the maximum size.*

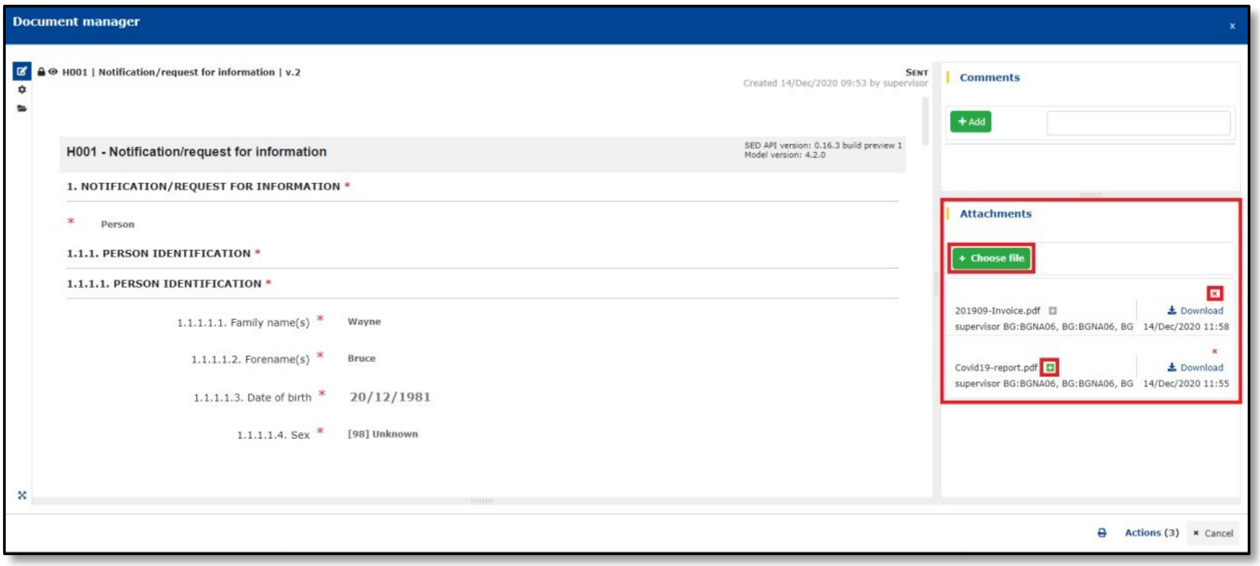


Figure 151: Managing SED Specific attachments

7.16.2 Case specific attachments

The way of handling Case specific attachments is explained on Figure 152.

The user can choose the attachment (CHOOSE FILE) and upload it for a specific Case and he/she can also download (DOWNLOAD), delete (DELETE) or change ([▣/▣]) the tag sign of the attachment from "Standard" to "Medical" and vice versa.

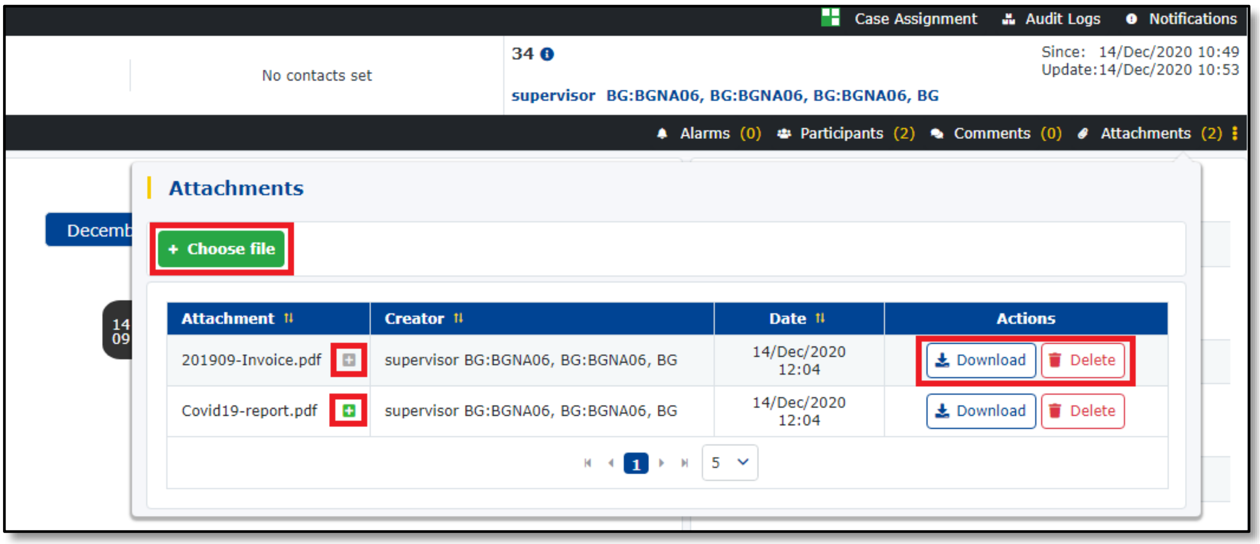


Figure 152: Managing Case specific attachments

7.17 Managing Comments

In ESP application, local Case notes can be created in order to help the user to keep track of each Case progress and actions. These comments can be created at the Case level or connected to a specific SED exchanged (sent or received).

Both case comments as well as SED comments are saved locally and cannot be read by other case participants.

To add a Case level comment, click on COMMENTS in the CASE TOOLBAR, type in the relevant comment, and upon completion press the 'Enter' keyboard key (see Figure 153).

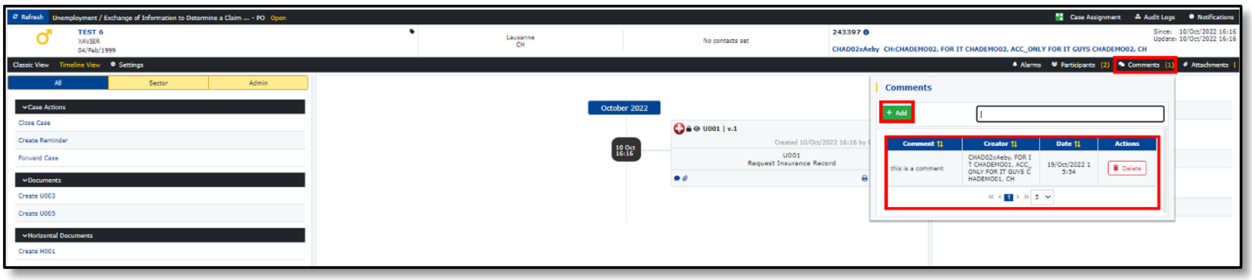


Figure 153: Creating a case comment

Existing Case Level comments can be deleted by clicking on the DELETE button next to a comment as shown in Figure 154.

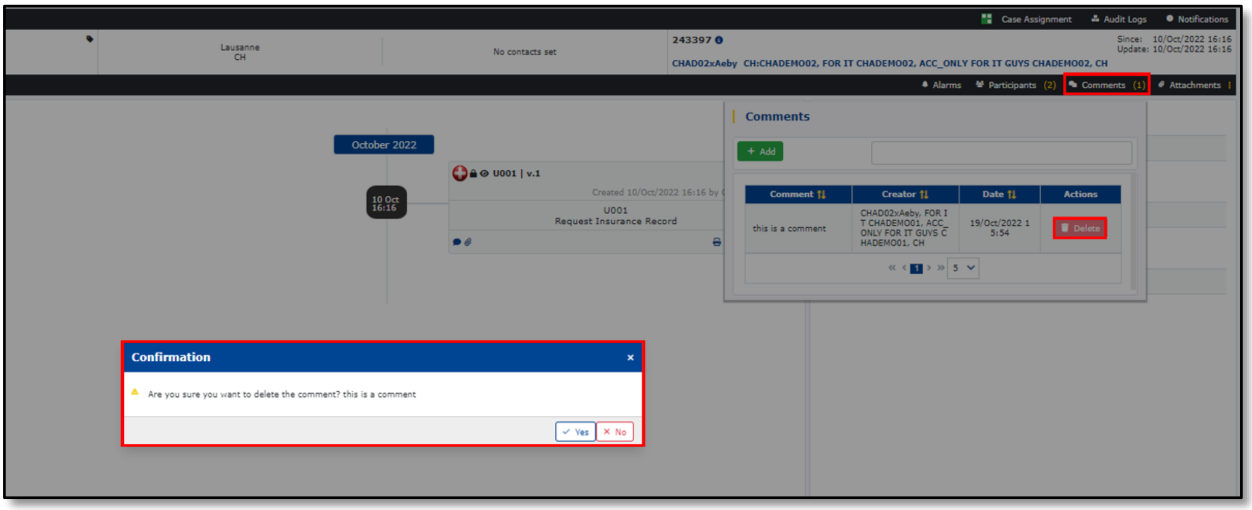


Figure 154: Deleting a case comment

Moreover, ESP also provides the possibility to add SED level comments on individual SEDs. These comments can be made in both outgoing and incoming SEDs. To add a comment to a SED click on ADD, type in a text and press the 'Enter' keyboard key (see Figure 155).

Figure 155: Inserting a SED comment

A user can delete comments by clicking on the red 'X' icon next to a comment as shown on Figure 155.

In contrast to content in the SED form input fields, comments are saved instantly. This means no SAVE link needs to be clicked on. However, comments can be added only after the entire SED has been saved successfully at least once.

For both Case and SED comments, it is not possible to create line breaks inside a single comment. Pressing 'Enter' key saves the comment instead ofinserting a line break.

7.18 Auditing

Users with the relevant role (supervisor and auditor) can review the history (via the audit logs) of all actions executed regarding:

- a specific SED (SED Level);
- an entire Case (Case Level);
- all the relevant Cases filtered by:
    - the participating institutions (for situations concerning reimbursement claims/requests). Displayed Audit logs associate with Cases where the participating institutions are involved;
    - the person's PIN. Displayed Audit logs associate with Cases incorporating a specific person (PIN is used to identify the person).

In order to check the Audit Logs list at the SED level the user should select the icon [⚙] inside SED (Figure 156). All the displayed detailed information concerns only the specific SED (see the right image of the Figure 156).

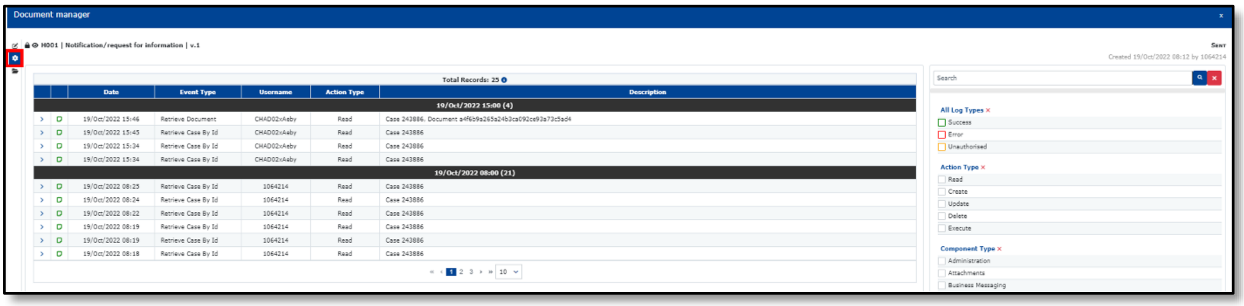


Figure 156: Opening and Viewing the SED Level Audit perspective

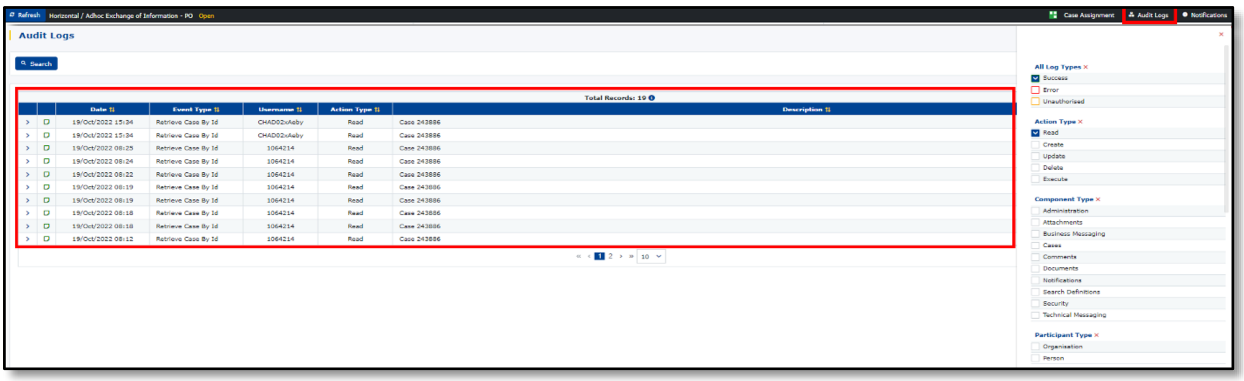


Figure 157: Case Level "Audit Logs" from Management View

The Case level Audit Logs can be accessed through the selection of link AUDIT LOGS at the right-hand side of the CASE INFORMATION MENU (see Figure 157).

The presented Audit logs results concern only the activities of the specific Case (i.e., CaseID: 195).

The user should have a supervisor or Auditor role.

It therefore allows detection of unauthorised access to personal data and infringements on data protection.

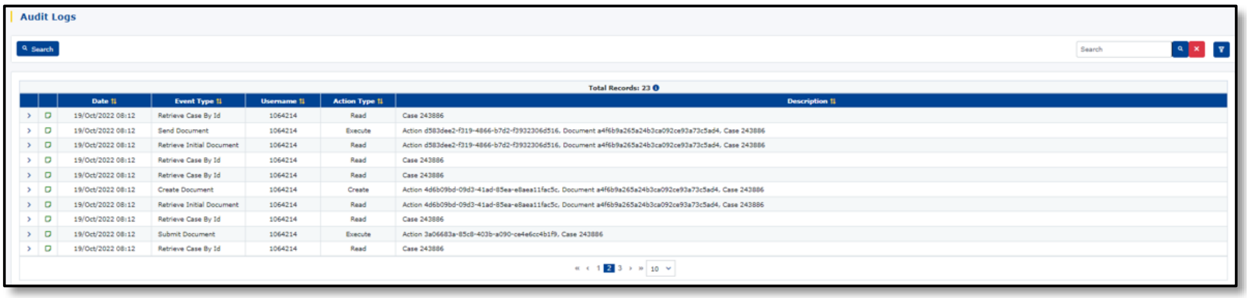


Figure 158: Audit perspective list for a specific case

The granular perspective of the audit trail means that it is often necessary to uncover the relevant actions from within a much larger set.

For this reason, all audit views offer the possibility to search through the listed actions. Moreover, it is also possible to use a wide array of filters (see Figure 159).

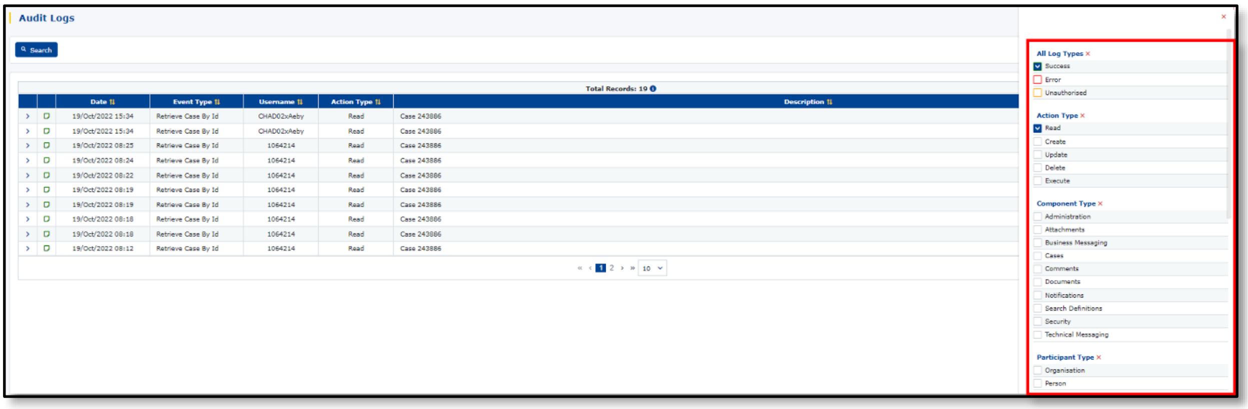


Figure 159: Audit perspective for a Case (Case Level)

On top, it is possible to filter for successful actions, actions that resulted in error, and actions that failed due to lacking of authorisation.

The latter two will usually be particularly interesting to discover unusual activities with the system.

At the side bar, a wide range of additional filters is available that cover Action Type, Object Type, Participant Type, Participant Role, Component Type, Category Type and Event Type.

These filters work according to the same logic as their counterparts in the Notifications (section 8). In case of issues, the Administrators can be contacted.

7.19 Next step’s' specification

ESP allows users to specify what will be the next step that will be performed during the case process. This option is located on the top right of the 'Case Management' menu (as shown on Figure 160).

Thanks to this option, the user can, when it is known, specify what will be the next step performed by the other party involved in the case. This gives a better overall view of the ongoing cases. Indeed, instead of only waiting for the other participant(s), users can then know if the case will, for example, require their attention again soon.

The four different options are:

'Undefined next step': used if the next step is unknown. This is the default choice.

'Internal processing': used if the case is in process in the actual institution.

'In processing abroad': used if the case must be processed in a foreign country’s institution.

'To be closed abroad': used if the case will be closed by a foreign country’s institution.

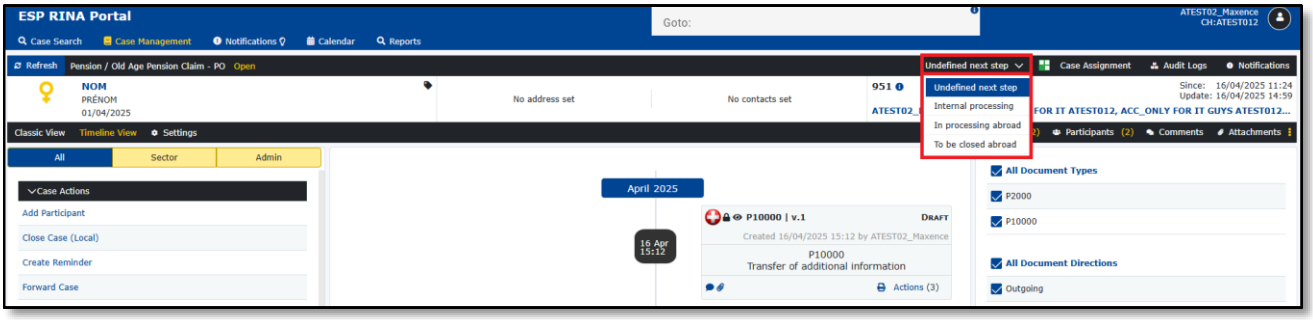


Figure 160: 'Next step' specification menu

When searching for a specific case, the 'next step' option can be used as a filter in order to find only the necessary cases. More information about it can be found in chapter 5.3.

7.19.1 Next step’s’ specification automation

With the help of the sector superuser, an automation can be activated for each cases of an institution. This automation respects the following rules:

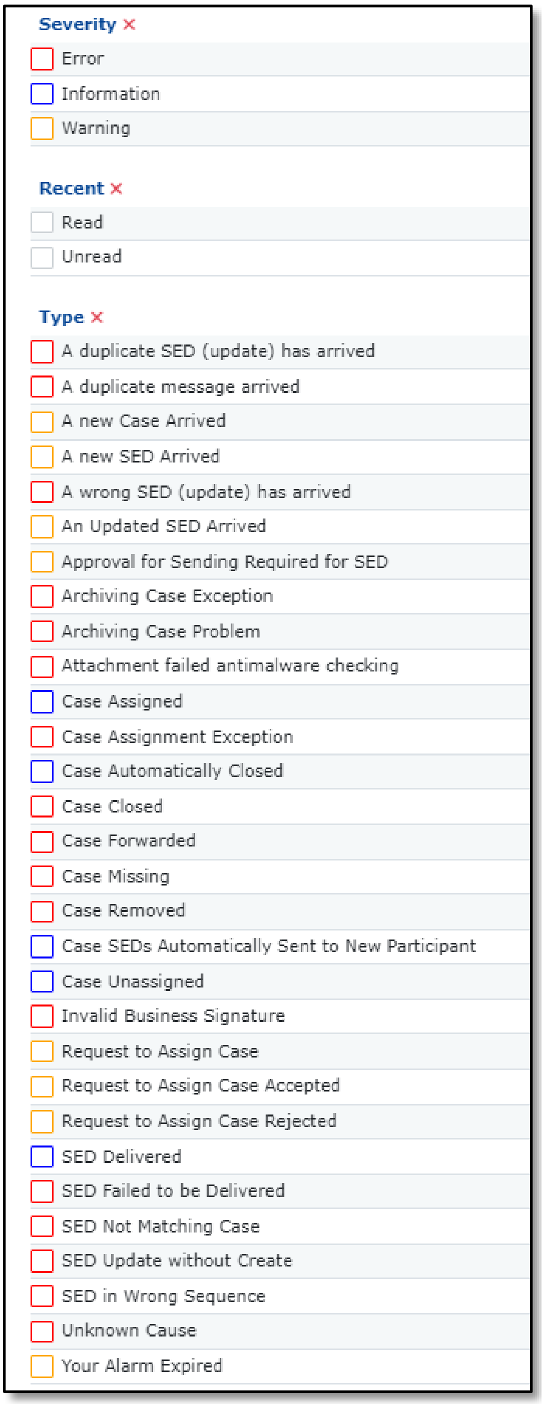
- When a case is closed, archived or deleted from the status “open”, it automatically switches to the option “Undefined next step”.
- When a new SED arrives in the case from abroad, it automatically switches to the option “internal processing”.
- When a new SED is sent, it automatically switches to the option “in processing abroad”.

All steps that are automatically defined following those three rules will have an “(A)” at the end of the step’s name to inform the user that the current step was assigned automatically. Even if the automation is active, the user can change the step manually to another one. A manually defined step will not have the “(A)” at the end, even if the automation is active.

8 Notifications

ESP automatically generates notifications to inform users about updates and changes within existing cases and about new cases.

Case notifications are divided into three category groups (or notification 'severities') in ESP:



- Error notifications:
  - A duplicate SED (update) has arrived
  - A duplicate message arrived
  - A wrong SED (update) has arrived
  - Archiving Case Exception;
  - Archiving Case Problem;
  - Attachment failed antimalware checking;
  - Case Assignment Exception;
  - Case Closed;
  - Case Forwarded;
  - Case Missing;
  - Case Removed;
  - Invalid Business Signature;
  - SED Failed to be Delivered;
  - SED Not Matching Case;
  - SED Update without Create;
  - SED in a wrong Sequence;
  - Unknown Cause;
- Warning notifications:
  - A New Case Arrived;
  - A New SED Arrived;
  - An Updated SED Arrived;
  - Approval for Sending Required for SED;
  - Request to Assign Case;
  - Request to Assign Case Accepted;
  - Request to Assign Case Rejected;
  - Your Alarm Expired.
- Information notifications:
  - Case Assigned;
  - Case Automatically Closed;
  - Case SEDs Automatically Sent to New Participant;

- Case Unassigned;
- SED Delivered.

There are four main triggers for case notifications:

- A case workflow action has been executed by a case participant (cf. sections 0 - 7.14 for detailed information about case workflows and SED actions);
- A request to assign a case to a certain user arrived, has been accepted or rejected (cf. section 7.9.2 for details about assigning cases);
- An error occurred (i.e. cf. section 7.14 for detailed information about SED errors);
- An internal alarm has expired (cf. section 7.9.5).

A detailed explanation on the ESP notifications describing the reason that generates each notification is given in the following table:

Notification	Description / Explanation
Errors	
A duplicate SED (update) has arrived	An 'update' SED has arrived from the sender and cannot be processed because it is a duplicate. An internal notification will therefore be generated. The received SED version is either a previous one or the same as the current one.
A duplicate message arrived	For every received message with a 'START/ START FORWARD' case action, if the case already exists with the same international case ID, then the arrived case will not be created and an internal notification will be generated.
A wrong SED (update) has arrived	For every message with 'UPDATE' case Action, if the (international) case ID and the document type are different to the existing SED (which is related to the 'update' action), then the SED will not be updated and an internal notification will be generated.
Archiving Case Exception	It is generated when the system cannot archive a case (because of error(s)).
Archiving Case Problem	Notification for the clerk in order to inform him/her about an exception during the archiving process for further contacting the administrator.
Attachment failed antimalware checking	[Business exception] - For failures occurred during an antimalware check of the attachment.
Case Assignment Exception	The case could not be assigned.
Case Closed	[Business exception] - When a SED is received for a global closed case.

Case Forwarded	[Business exception] - When a SED is received after the case was forwarded to another participant.
Case Missing	[Business exception] - When a SED (except the starter one) is received for a missing case.
Case Removed	[Business exception] - When a SED is received after the case has been removed by receiving a X006 SED ('remove participant').
Invalid Business Signature	[Business exception] - When a message is received with an invalid business signature.
SED Failed to be Delivered	In case of an error during the delivery of a message.
SED Not Matching Case	It is generated as information when a business exception has occurred.
SED Update without Create	[Business exception] - When an update is received for a missing SED.
SED in a wrong Sequence	[Business exception] - When a SED is receivedin in the wrong sequence (not as planned in the BUC).
Unknown Cause	[Business exception] - Other cause(s) for the error(s).
Warnings	
A New Case Arrived	A new case has been created (based on a starter SED).
A New SED Arrived	A new SED has been received.
An Updated SED Arrived.	An update (for a SED) has been received.
Approval for Sending Required for SED	An approval is required in order to send a SED.
Your Alarm Expired	When an alarm (related to the user) has expired.
Request to Assign Case	Notification received by a supervisor in order to decide whether or not assigning a case.
Request to Assign Case Accepted	It is the positive reply for a 'Request to Assign Case'.
Request to Assign Case Rejected	It is the negative reply for a 'Request to Assign Case'.
Information	
Case Unassigned	The case has been unassigned (from the user(s)/ group(s)).

Case Assigned	The case has been assigned (to the user(s)/ group(s)).
Case Automatically Closed	When a case has been automatically closed (when applicable).
SED Delivered	When a SED has been delivered to the recipient(s).
Case SEDs Automatically Sent to New Participant	When forwarded to new participant(s) or when a new participant is added to the process, the case SEDs are automatically sent to the new participant(s).

Table 2: Detailed explanations of ESP notifications

Click on the light bulb icon showed in Figure 161 in order to visualise consolidated summary information related with notifications: number of unread, error, warning and information notifications.

Click on Notifications label (Notifications) inside the main menu bar to open it and get more information about the respective notifications (see Figure 161).

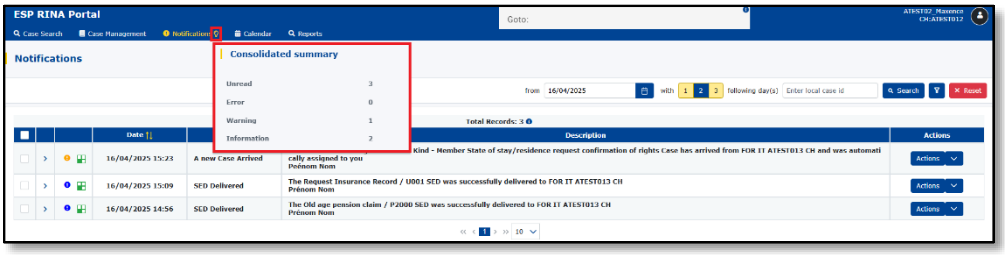


Figure 161: Opening the consolidated summary of notifications

8.1 Notifications View

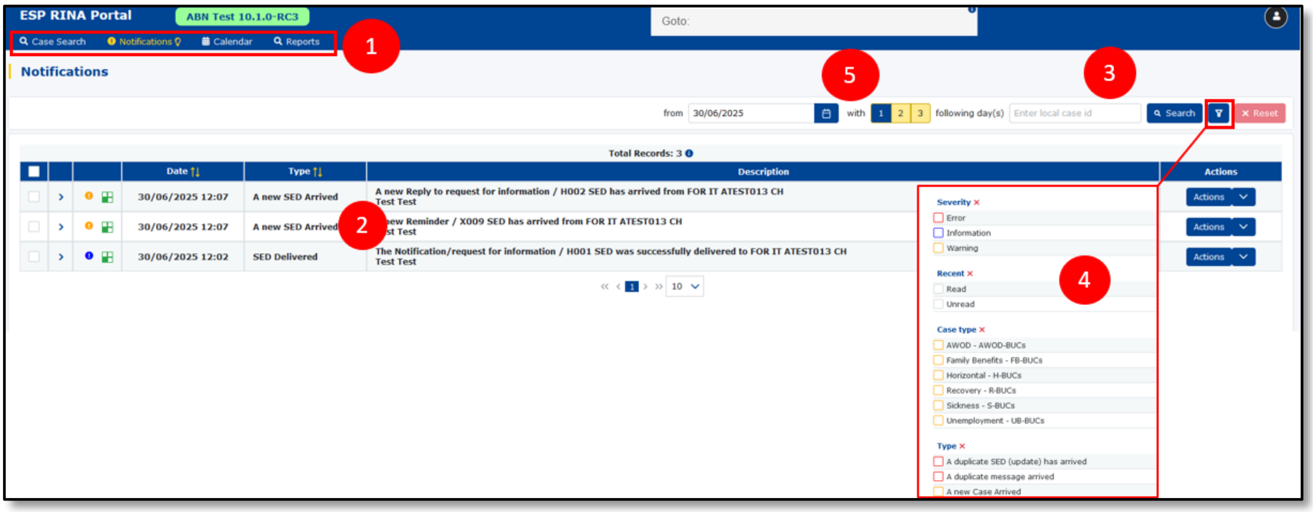


Figure 162: Notifications

1. At the top banner of the page, the user can access the consolidated summary of the notifications by clicking on the light bulb () at the right of the notification's menu (Notifications). In order to access the notifications, the user should click on notification's menu (Notifications).

2. The main part of the notifications screen is used to display the individual notifications. More details about the view are presented in section 8.2.

   The 'Total Records' number at the top is followed by an informative icon that allows the user to see how many notifications were sent each day from the selected day to a maximum 3 consecutive days.

3. The LOCAL CASE ID INPUT area can be used to quickly access notifications thanks to a specific local case id.

4. The NOTIFICATION FILTER allows applying a wide range of filters to the list of notifications displayed. For more details, please refer to section 8.4.

5. The notifications displayed on the page will be filtered thanks to the selected date. The user will also have the possibility to show notifications for a maximum of 3 consecutive days starting with the specified date.

   (Example: the user chooses the date '07/05/2023' and selects the option '1 following day(s)'. After clicking on the search button, only the notifications of the '07/05/2023' will be displayed. However, if the user selects the option '3 following day(s)', then all the notifications between the '07/05/2023' and the '09/05/2023' will be showed to the user.)

8.2 Viewing the Notifications

The notifications are presented in chronological order. Individual notifications are displayed as rows in the notifications' list. Each row begins with a checkbox that is used in order to select the corresponding notification. The colour of each notification represents its severity (red for errors, orange for alerts and blue for information). Next to the checkbox, the user will find the priority of the case that the notification refers to, as well as the time the notification was generated at and the type of the notification.

At the end of the row, several actions are offered in a list in order to work further with the corresponding notification. For more information, see Figure 163, Figure 164 and also section 8.3 about notification actions.

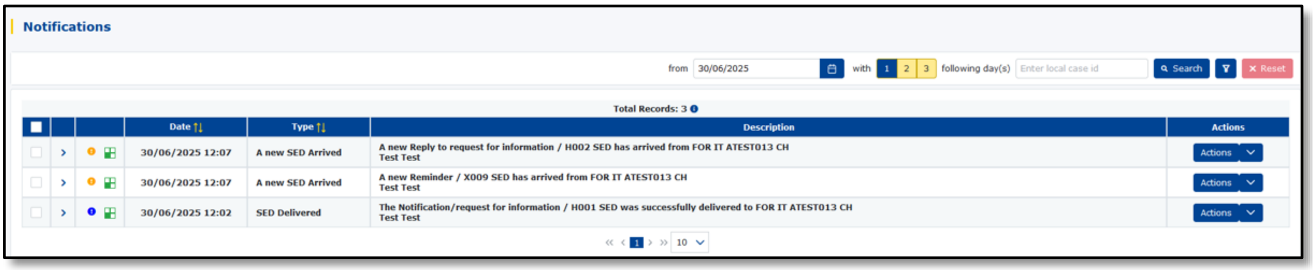


Figure 163: Notifications inside the notifications' list

Note that the priority shown in this list is the priority of the underlying case, not of the notification. Therefore, an exceptional event such as an outright technical error in a normal-priority case would be shown only with relevant (normal) priority. The relative importance of notifications is visible only through the colour code of the different severity category types.

Clicking on an individual notification opens its detailed view, which provides information about its local case ID, its case type (BUC type), and the list of all its assignees (see Figure 164). Furthermore, in case of an alarm, the reason of its expiration is also given in addition to the other details.

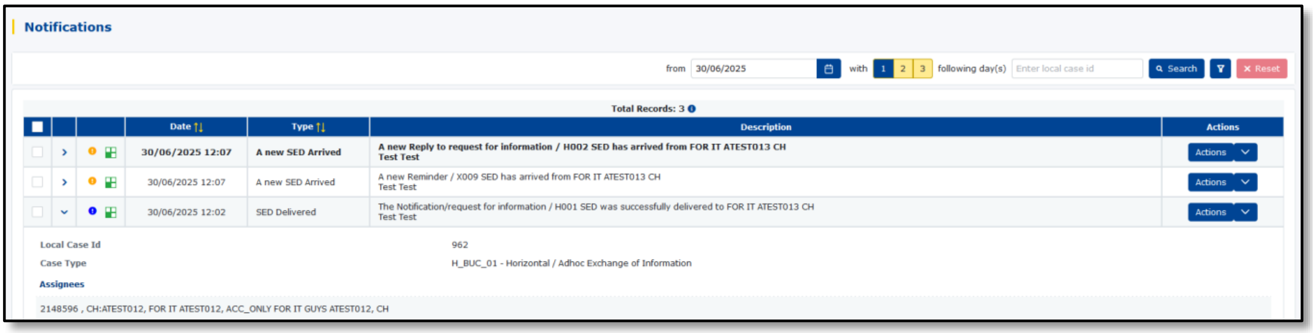


Figure 164: Detailed view of a notification

The actual details view depends on each notification severity category type.

8.3 Notification Actions

For each notification displayed in the 'Notifications' menu, a few actions are proposed in a list at the end of its respective row.

A notification can have the following states: 'Read' or 'Unread'.

As shown in Figure 165, the status of a notification can be set as 'Read' by clicking the ' MARK AS READ' option. It is also automatically set to 'Read' after opening the notification. Finally, it can also be reset to 'Unread' by clicking 'MARK AS UNREAD' option.

When a notification is in the state 'Unread', its corresponding text appears more intense (bold). When the status changes to 'Read', the text turns to normal intensity.

To open a case, click on the 'OPEN CASE' option. The view will turn to the 'CASE MANAGEMENT' view (cf. section 7).

Depending on the notification and the role of a user in ESP, different actions may be available. For a new case, clicking the 'ASSIGN' option opens the assignation tool bar (cf. section 7.9.1 for more information about assigning cases). Concerning assignment requests coming from users who require additional role allocations into cases, it is also possible to 'ACCEPT' or 'REJECT' requests directly in the notification’s action options (cf. section 7.9.2).

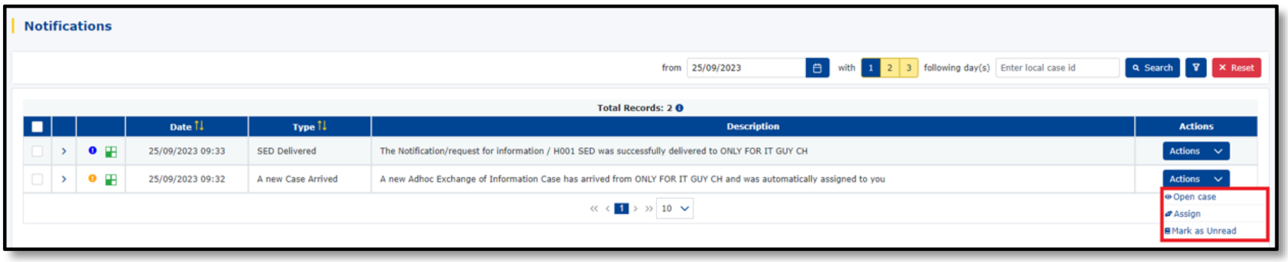


Figure 165: Notifications actions

Bulk operations are also available in order to help the user managing notifications. The first step to perform is to select the desired notifications, by clicking on the corresponding checkboxes on the left of the notifications. After that, new buttons appear at the top center of the notifications view menu. Using these, it is then possible to set as 'Read' or 'Unread' all the selected notifications. (As shown in Figure 166).

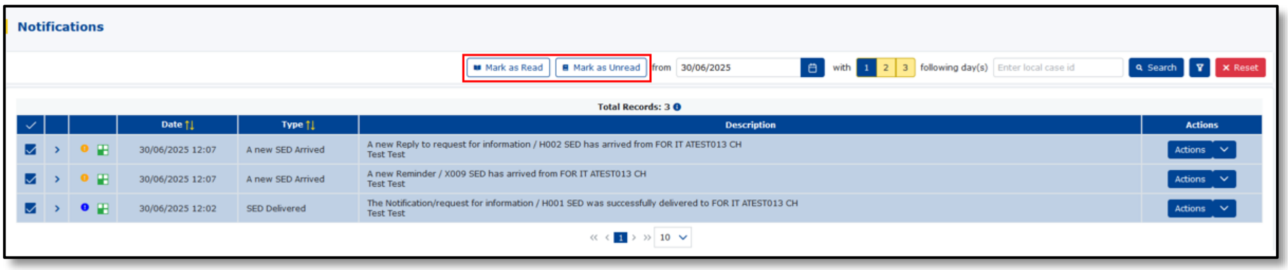


Figure 166: Bulk marking of multiple notifications as Read/Unread at once

By clicking the top left checkbox, all notifications displayed will be selected (as shown in Figure 167).

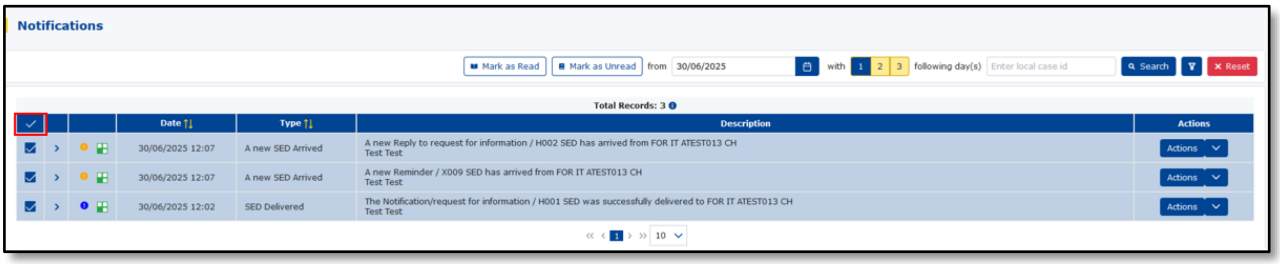


Figure 167: Full selection of notifications

8.4 Filtering the Notifications' List

Several alternatives are provided to the user to filter the list of notifications by using the filter icon (shown in Figure 168). To reset all the filters, click on the red 'Reset' button at the right of the filter icon.

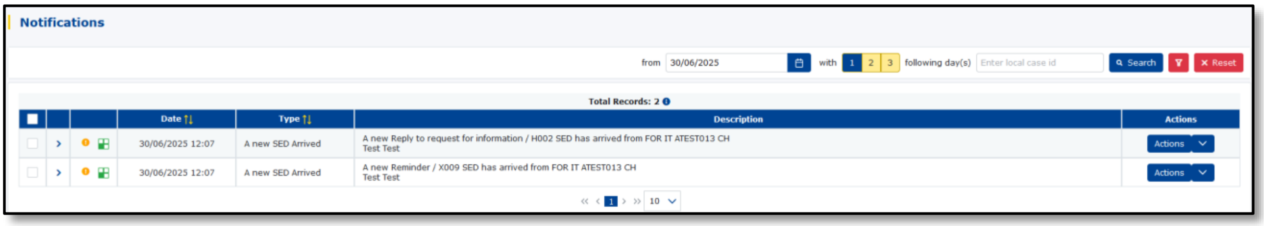


Figure 168: Filter icon used to filter the Notifications

The notifications list can be filtered by applying one or many parameter(s) defined thanks to the filter icon menu. They represent a wide spectrum of filters, classified in three main categories:

- Severity
- Recent (Read or Unread)
- Case type
- Notification type

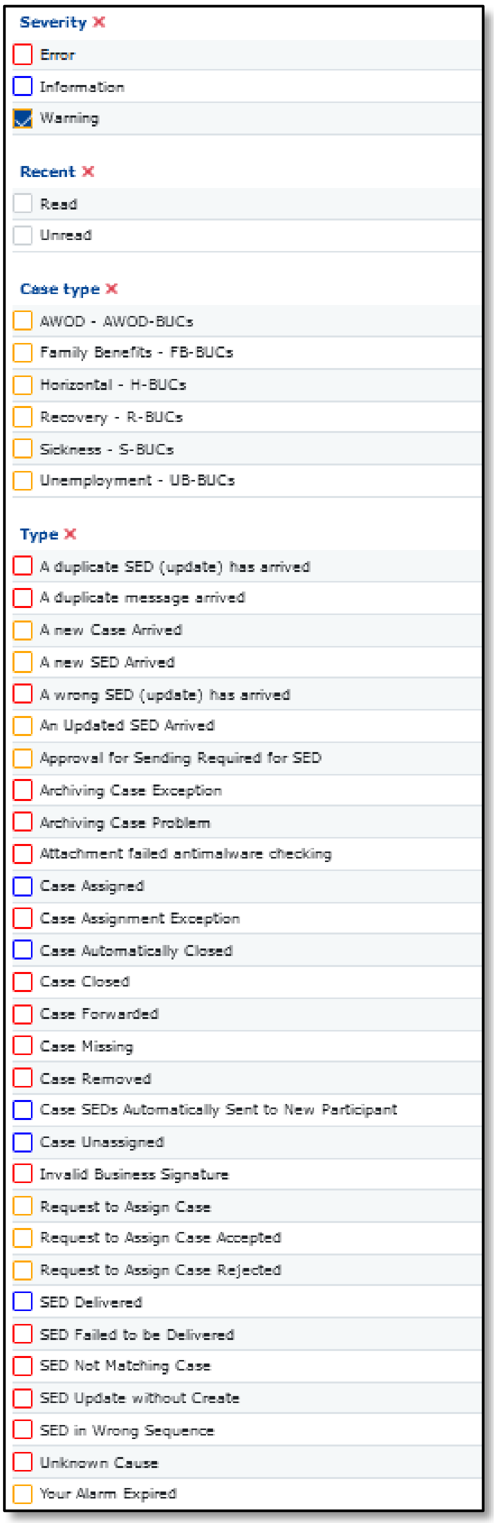


Figure 169: Filter options

By default, all notifications corresponding to the selected date(s) are displayed on the screen.

In order to apply filtering criteria, the user need to select filters. The result is updated automatically after every selection.

8.5 Clarifications on Notifications Generation

Concerning the generation of the 'Case Assigned' and 'Case Unassigned' notifications, please refer to the following information.

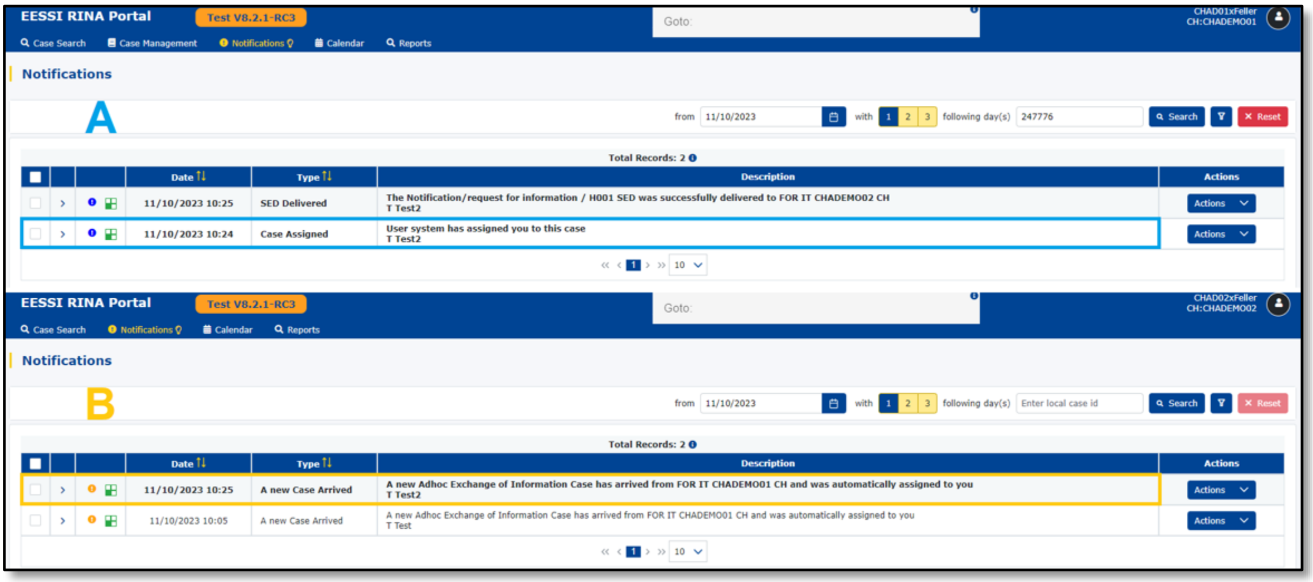


Figure 170: "Case Assigned" and "Case Unassigned" notifications

In order to generate 'Case Assigned' and 'Case Unassigned' notifications, the ESP administrator must make these two notifications available for the clerks.

To do so, the administrator must select the relevant options in the 'Notifications Centre'.

After that only, the generation of the notifications for the case owner (CO) and the case participants (CP) will follow the following rules:

- 'Case Assigned' Notifications:
    - When the CO opens a new case, an automatic 'Case Assigned' notification is generated and received by all the assignees (Figure 169, part A).
    - When the case is received by a CP, a 'New Case Arrived' notification is automatically generated (Figure 169, part B) and received by the involved clerks.

- 'Case Unassigned' Notifications:
    - When someone is unassigned of a case, a 'Case Unassignment' notification is generated. However, this only works when a clerk loses all the roles he/she had in the previously affected case.

9 Case Management Scheduling Calendar

ESP includes the feature, which permits the user to schedule activities for personal calendar. For Each user the calendar allows to define manually activities, which should be performed in time being.

The calendar also offers information concerning automatically generated notifications by system. The Case Management Scheduling Calendar is available in MAIN MENU (see Figure 171).

Figure 171: Case Management Scheduling Calendar

The new window will open after clicking the CALENDAR. There are two sections available (see Figure 172):

- CALENDAR which will visualise the manually added activities and automatically generated notifications for the user.
- After clicking on NEW ACTIVITY, the CALENDAR ACTIVITY FORM which allows the user to manually add new activities.

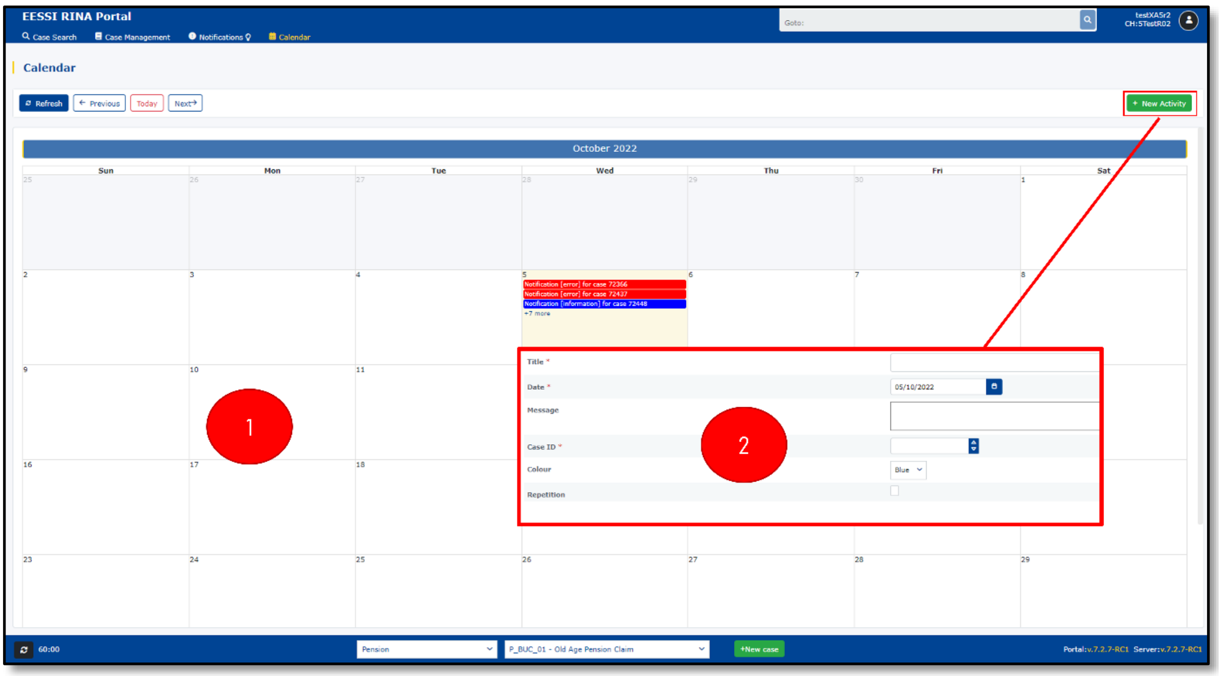


Figure 172: Activity Bar and Calendar

NOTE
The current implementation of the calendar visualizes all notifications from the notifications view. They cannot be edited or deleted. Only manually created calendar activities can be edited and / or deleted.

9.1 Adding new activity to the calendar

User can add activities by clicking NEW ACTIVITY in the ACTIVITY BAR (see Figure 173).

Figure 173: Adding new activity

User can fill necessary data to add new activity to the calendar and then click SAVE and the activity can be seen in the calendar. It is also possible to cancel the creation of the activity by clicking BACK (see Figure 174).

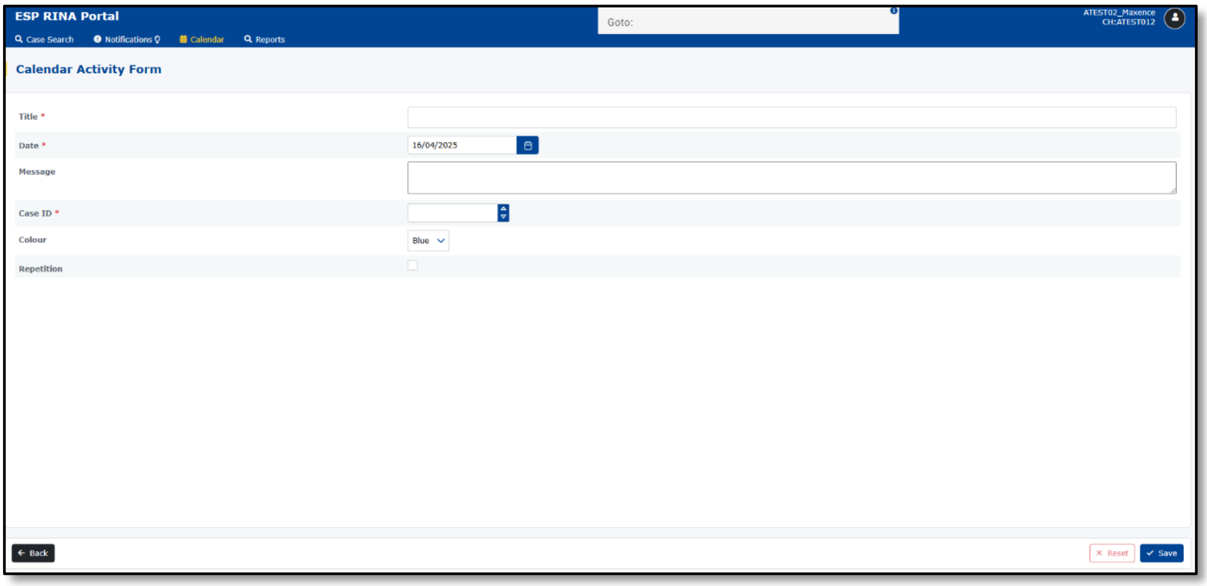


Figure 174: New activity information to be filled by the user

LABEL	DESCRIPTION
Title (mandatory)	Title of the activity which will be visible in the Calendar
Date	The date when activity should be performed
Message	Detailed definition for the activity
CaseId (mandatory)	Related local Case Id to the activity
Repeats	In case the activity needs to be repeated the user can define parameters concerning: • Every (days) • Occurrences E.g. this allows user to define activity which will be repeated every week for certain period of time for x Occurrences in total
Colour	Desired colour of the activity which will be visible in the calendar

9.2 Viewing, editing and deleting the activity from the calendar

After the creation of an activity and in case it is needed, the user can view, modify/edit or delete the activity from the calendar. This will happen by clicking on the specific activity in the CALENDAR in order to open the detailed view of the specific activity for the user (see Figure 175). The case notifications that are visible inside the calendar may only be viewed and no action to update or delete is available for them.

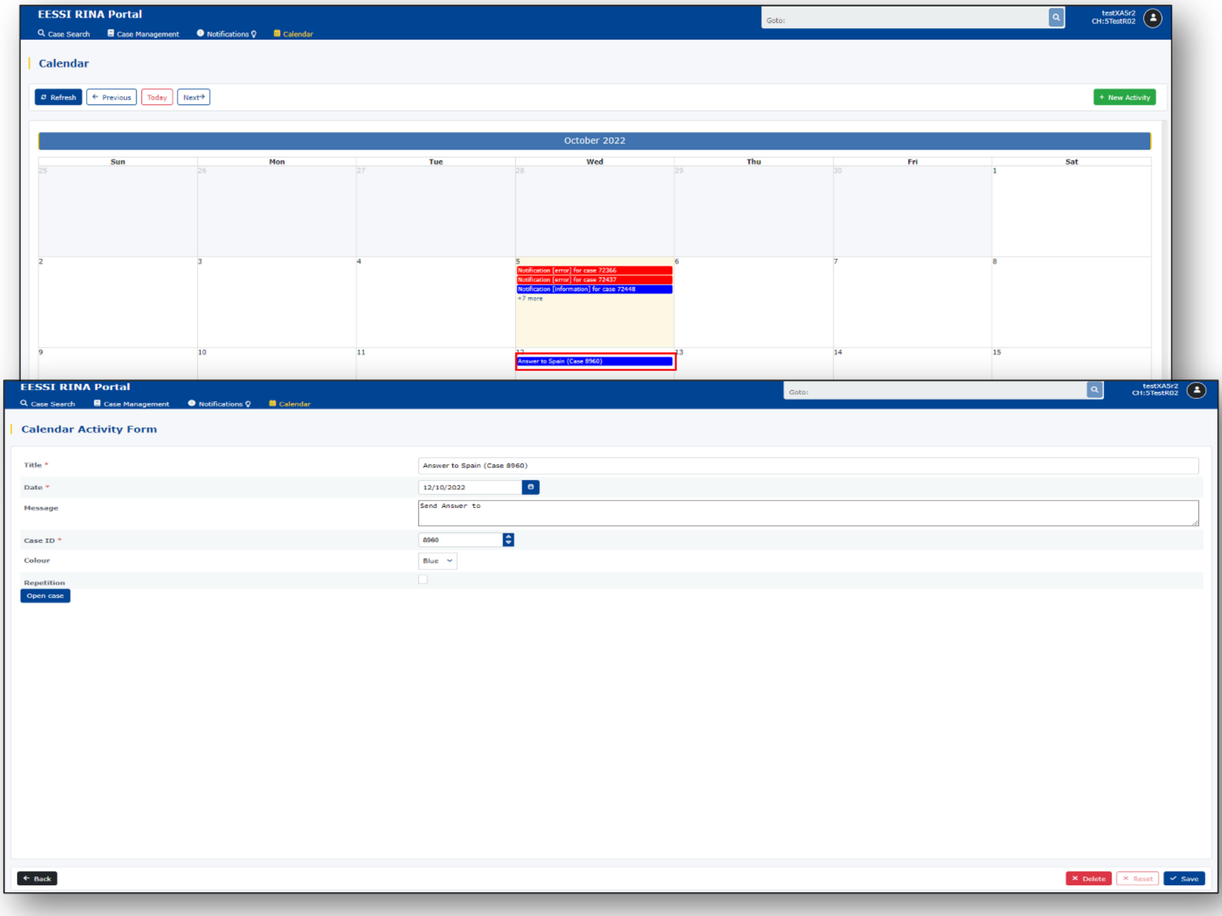


Figure 175: Viewing, editing and deleting the selected Activity

With the CALENDAR ACTIVITY FORM the user can:

- Create a New Activity;
- Delete the Activity. This action deletes the selected activity from the calendar; only the manual created activities can be deleted; the generated notifications that can be visualised inside the calendar cannot be deleted;
- Edit Activity which allows user to modify the content of the activity; only the manual created activities can be edited; the generated notifications that can be visualised inside the calendar cannot be edited
- Open a Case. This action opens the relevant case for that specific activity (related to the local Case Id information).

10 Reports

ESP includes a report page, where different reports, some of them coming later, will be available for the users. Those reports include filters, allowing the user to find precise information about different elements in their institution.

10.1 Report functions

Reports have 2 main functions: the search function and the export function. A search can be done by filling the needed filters in the corresponding columns and by clicking on the search button. When a report is opened, all filters are blank and no result is shown. It is possible to show every element by filling one of the filters with a wildcard "*" and by clicking on search.

Some filters can be in free text, some of them are dates and other ones can be numbers, depending on the information shown in each column.

The "Export" function gives the opportunity to export the current results in a CSV-file. The CSV contains the same information as the report inside ESP. The first line contains the header of the different columns and the next lines contains the results. The export can't contain more than 1000 results. If there are more than 1000 elements in the result of the search, a pop-up window appears to inform the user that only 1000 elements will be exported.

10.2 Case Overview

The case overview report shows all cases of the user's institution with the following information:

- Local case ID
- International Case ID
- BUC Type
- Status
- State of progress
- Role (Process Owner or CounterParty)
- CDM Version of the case
- Created (date of creation of the case in the institution)
- Updated (date of the last time the case was updated)
- Number of participants (without the user's institution)
- Participant ID (for cases with more than 1 participant, if the user's institution is CP, then the PO is given here. Else, only the first CP is given.)
- Participant name (corresponding to the shown participant ID)
- Participant country (corresponding to the shown participant ID)

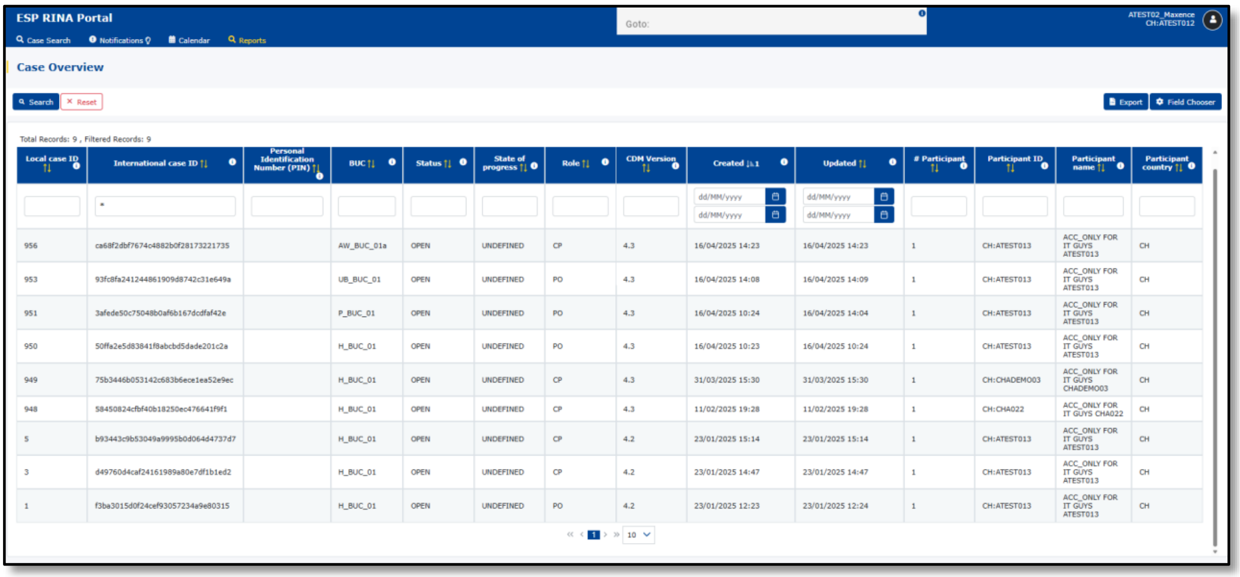


Figure 176: Case Overview Report

A field chooser similar to the function described in the chapter 5.4 is also available to reduce or increase the number of shown columns, in order to show only those the user is interested in.

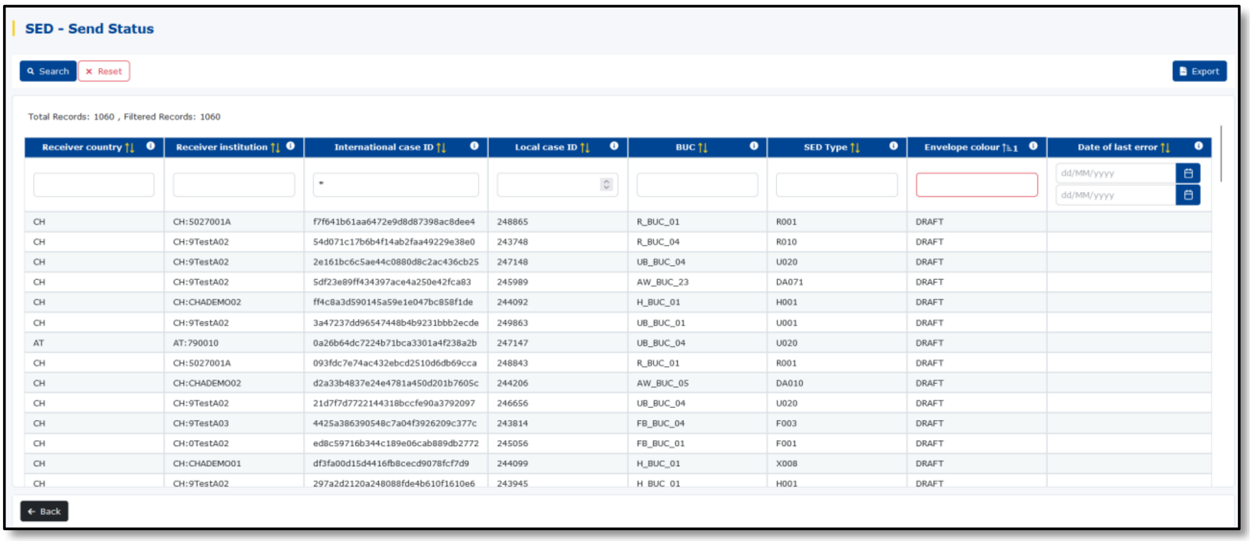
10.3 SED – Send Status

This report allows the user to look for the sending status of sent SEDs.

The columns of this report are the following:

- Receiver country
- Receiver institution
- International Case ID
- Local case ID
- BUC
- SED Type
- Envelope colour
- Date of last error

The envelope colour are the same listed in chapter 7.6. The date of last error will only be shown when an envelope is red and will show only the date of the last time an error occurred. So if the same SED was sent multiple times and got more than one error, only the date of the last time an error occurred will be shown.


SED - Send Status

Search
Reset
Export

Total Records: 1060 , Filtered Records: 1060

Receiver country	Receiver institution	International case ID	Local case ID	BUC	SED Type	Envelope colour	Date of last error
		*					dd/MM/yyyy dd/MM/yyyy
CH	CH:5027001A	f7f641b61aa6472e9d8d87398ac8dee4	248865	R_BUC_01	R001	DRAFT	
CH	CH:9TestA02	54d071c17b6b4f14ab2faa49229e38e0	243748	R_BUC_04	R010	DRAFT	
CH	CH:9TestA02	2e161bc6c5ae44c0880d8c2ac436cb25	247148	UB_BUC_04	U020	DRAFT	
CH	CH:9TestA02	5df23e89ff434397ace4a250e42fca83	245989	AW_BUC_23	DA071	DRAFT	
CH	CH:CHADEMO02	ff4c8a3d590145a59e1e047bc858f1de	244092	H_BUC_01	H001	DRAFT	
CH	CH:9TestA02	3a47237dd96547448b4b9231bbb2ecde	249863	UB_BUC_01	U001	DRAFT	
AT	AT:790010	0a26b64dc7224b71bca3301a4f238a2b	247147	UB_BUC_04	U020	DRAFT	
CH	CH:5027001A	093fdc7e74ac432ebcd2510d6db69cca	248843	R_BUC_01	R001	DRAFT	
CH	CH:CHADEMO02	d2a33b4837e24e4781a450d201b7605c	244206	AW_BUC_05	DA010	DRAFT	
CH	CH:9TestA02	21d7f7d7722144318bccfe90a3792097	246656	UB_BUC_04	U020	DRAFT	
CH	CH:9TestA03	4425a386390548c7a04f3926209c377c	243814	FB_BUC_04	F003	DRAFT	
CH	CH:0TestA02	ed8c59716b344c189e06cab889db2772	245056	FB_BUC_01	F001	DRAFT	
CH	CH:CHADEMO01	df3fa00d15d4416fb8cecd9078fcf7d9	244099	H_BUC_01	X008	DRAFT	
CH	CH:9TestA02	297a2d2120a248088fde4b610f1610e6	243945	H_BUC_01	H001	DRAFT	

Back

Figure 177: SED – Send Status Report

11 "*How to …*" in ESP

11.1 How to Create a Case

New cases can be created from anywhere within ESP by using the NEW CASE link located at the CASE CREATION BAR at the bottom of the application (see Figure 177). Then a Case Creation window opens to allow the user to select the appropriate Sector and Case Type. Section 7.4 provides a step-by-step guide to create a new case.

Figure 178: Case Creation Bar for creating new cases

> *Please remember that most actions in a case will only be available once at least one other case participant has been selected after case creation.*

11.2 How to Add and Remove Participants and how to Forward a Case

A crucial aspect of every case is the set of social security institutions that participate within it. Directly after creating the case, the Case Owner has to select the initial case participants through the Choose Participants action. However, the participants can also change later during the lifetime of a case; in this case, use the UPDATE PARTICIPANTS function. Both are very similar and are explained in detail in section 7.5 (see Figure 178).

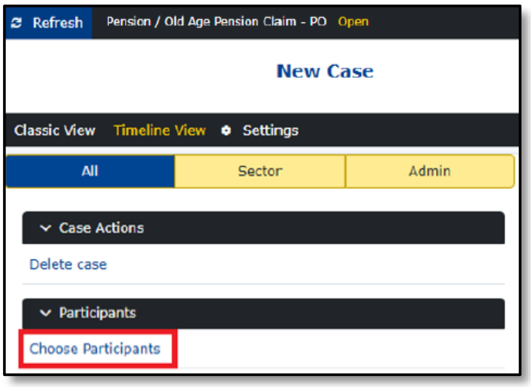


Figure 179: Choosing a new participant

Sometimes, however, the user does not simply want to administer the other case participants. Instead, he/she wants to relinquish the own role in the case, because for instance it involved the current institution by mistake. If he wants to transfer the local part in the case to another institution, this can be performed by using the FORWARD CASE action.

It is explained under section 7.10.3. Other types of administrative actions associated to case participants are explained under sections 7.10.1 & 7.10.2. The availability of the options depends on the case type and the current process step within the case.

11.3 How to Delete, Close or ReOpen a Case

There are three different ways to remove a case that no longer needs to be active. The easiest possibility exists when a case has been created in error, and the mistake is realised before any SED is sent to another party. In this case, the case can simply be deleted by the DELETE CASE action, as explained in section 7.9.6. However, once messages have been already exchanged, this option is no longer available because the system needs to be capable of supporting any activities already been available based on the exchanged information among the case participants.

Nevertheless, if a case becomes obsolete at a later point in time, it is possible to close it. In this context, a crucial difference is made between the BUCs which are not associated with the Administrative Close subprocess, and the ones which do. In the first case, if any participant wishes to use the CLOSE CASE (LOCAL) functionality, this can be performed without even informing the other case participants. The respective participant will still receive notifications or SEDs from that case, but cannot perform any other actions. In the meantime, all other participants can continue to communicate normally. Since the closure is purely local, the participant can reopen the case at any time on his own accord (Cf. section 7.9.8 for more details on this).

If, on the other hand, a case participant wishes to close a case among all other case participants, it needs to send a specific SED to all other case participants. Although this SED is called a REQUEST FOR CLOSE, in fact it enforces the closure of the case for all the participants. Upon exchanging, it changes the state of the case globally to Closed. If the any participant later desires to reopen the case, it needs to send a specific SED again and requires the approval of the other case participants as explained under section 7.10.4 and section 7.10.5 for more information on global case closure. The availability of the above options depends on the case type and the current process step within the case.

11.4 How to Complement or Correct Information Sent

Sometimes, the data available when sending a SED is not yet complete, or some part of it later turns out to be erroneous (or out of date). For this reason, it can be necessary to transmit additional information to other case participants or even to correct earlier data. The regular way of relaying new information to the other case participants is by updating the SED already been sent to the other parties. The update will also be sent to all case participants and will make the new information available to them. However, they can always go back to the earlier versions of the document through its history section (cf. section 7.14). The process for updating a SED is very similar to that of sending it for the first time and is explained in section 7.13.1.

In rare cases, it may be necessary to invalidate a SED sent to another party prior to creating a new one, which has a wider-ranging legal significance than merely updating the available information. To do so, the user can send an administrative INVALIDATE SED message, as explained in section 7.13.3. The availability of both options depends on the case type and the current process step within the case.

> *SED invalidations should remain exceptional occurrences. Please ensure that the invalidation is permissible under the applicable social security coordination law.*

11.5 How to Ask another Participant for Missing Information

In several contexts, it can be necessary to actively inquire about information that is needed from the perspective of one participant in a case.

For one, it could be that another case participant has failed to send some information by the time when it was due. In this case, the simplest approach is to use the CREATE REMINDER case action and send a specific request asking for the overdue message. Section 7.10.6 explains this possibility. The user can also set an alarm for him/her at the same time to make sure that he/she checks whether the expected reply to the reminder has already come in by a specific time period.

In other cases, the information provided by a different case participant in a SED may not be complete enough to allow processing on the local user's side. However, the other participant may not be aware of the deficiency and thus needs to be informed about the problem to correct it. To do so, there are generally two available mechanisms.

Some Business Use Cases have specific SEDs that can be used to request additional information, and these can be sent directly via the normal SEND SED function (cf. section 7.12.1).

In other Business Use Cases, specific provisions have been made to allow inquiries about a specific SED already received. This function is called CLARIFY SED CONTENT. To ask for clarification on some parts or all of the content of a sectorial SED, click the CLARIFY SED CONTENT link at the SED ACTIONS Menu.

After sending, the sender of the sectorial SED will receive a Clarify Content SED (X012). The sender has the possibility to reply to the clarification by clicking REPLY TO CLARIFY link.

After sending the reply, the institution that requested the clarification will receive a 'reply to request for clarification' SED (X013). At this point, another reply is not possible (cf. section 7.13.5). The availability of both options depends on the case type and the current process step within the case.

11.6 How to Reject a received SED

In order to reject a SED form, the user should trigger such an Administrative SED (X011) and send it to the SED sender, along with indicating the reason. This option depends on the case type and the current process step within the case (cf. section 7.13.6).

Following the triggered link, the form of the Administrative (X011) SED will be displayed to the user. In order to fill it in, the user needs to populate the mandatory fields, along with the rejection reason. This Admin SED can be sent as soon as the user clicks on the SEND link.

11.7 How to use Horizontal Processes

Horizontal processes correspond to BUC pattern situations that are used for the exchange of general information. This information is sector agnostic. Therefore, horizontal cases may be used among institutions of any sector and are seen as a separate process from a business perspective. An example of a horizontal case is the *exchange of information abouta citizen's residence.* The information may be used in the following situations:

- to gather information concerning elements of residence in order to make a national decision on residence
- to gather information on residence in any other situation where this information is necessary

Another horizontal case is the *Ad-hoc exchange of information*, which allows a social security institution from any participant country to request certain ad-hoc information from an institution in any other participant country.

To create horizontal cases, go to the CASE CREATION BAR and select the sector HORIZONTAL. Next, select a case type and click on the link related to the creation of a new case (see Figure 179).

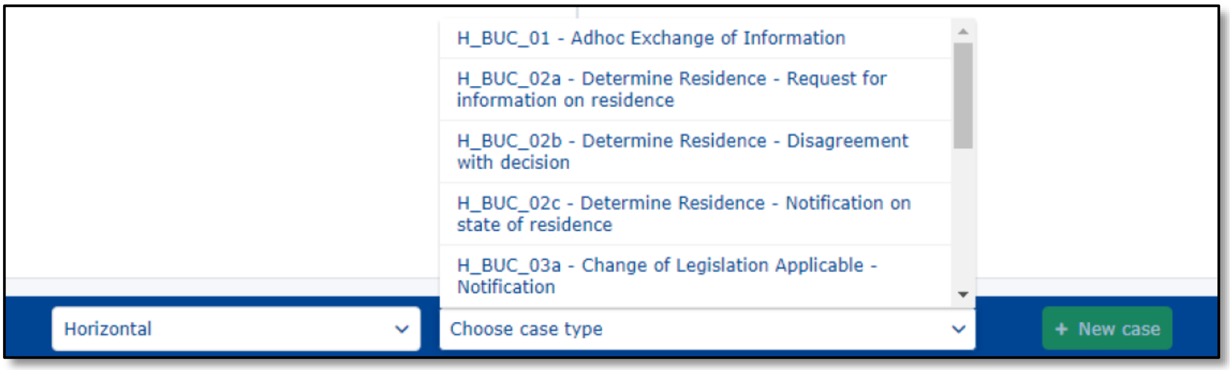


Figure 180: Case types of the horizontal sector

The case workflow for horizontal cases is identical to cases with other case types and sectors; cf. section 7 for more information about case management.

11.8 How to use Horizontal Sub-Processes

In some cases, it is necessary to get or submit additional information from the participants to complete an ongoing case where the data may not be sector-specific. As an example, consider the notification about the death of a citizen that affects the future processing of the case. For this reason, it is often possible to trigger a horizontal sub-process to exchange sector-agnostic information within an ongoing case.

In these cases, the exchange of horizontal messages is considered a sub-process of the entire case. Actions at case level – such as adding or removing participants – always affect the entire cases including its sub-processes.

As an example, when exchanging information about a person's residence within an unemployment benefits case, any change in the participants will affect the entire case and not only the exchange of information about the residence.

The individual messages exchanged in the horizontal sub-process are normal SEDs and can be affected individually by the respective actions at SED level (in particular, updating and invalidating the SEDs through the corresponding administrative SEDs, cf. sections 7.13.1 and 7.13.3).

Using horizontal sub-processes makes it easier to keep the whole process compact/intact and keep the exchanged information related to the case because there is no need to create a separate horizontal case.

However, depending on the needs of the specific social security sectors, the selection of horizontal sub-processes that can be used inside a case can be limited (the availability of the available options depends on the case type and the current process step within the case).

Horizontal sub process	... can be used in sector								
	AWOD	FB	H	LA	M	P	R	S	UB
Ad-hoc Exchange of Information	X	X	X	X	X		X	X	X
Determine Residence, Request for information, Disagreement procedure and Notification on Residence		X		X					X
Change of Legislation Applicable, Notification		X							
Change of Legislation Applicable, Request for information		X							
Reimbursement of Administrative Check or Medical Examination			X			X			
Exchange of PIN		X		X					
Transmission of Claim/Document/Information		X		X					X
Notification of Death		X		X		X	X		X
Request for Medical Report		X				X		X	
Notification of Medical Report		X				X			
Request for Administrative Check									

To use a horizontal sub-process, create an appropriate horizontal SED type by choosing it from the HORIZONTAL DOCUMENTS selection within the case (see Figure 180).

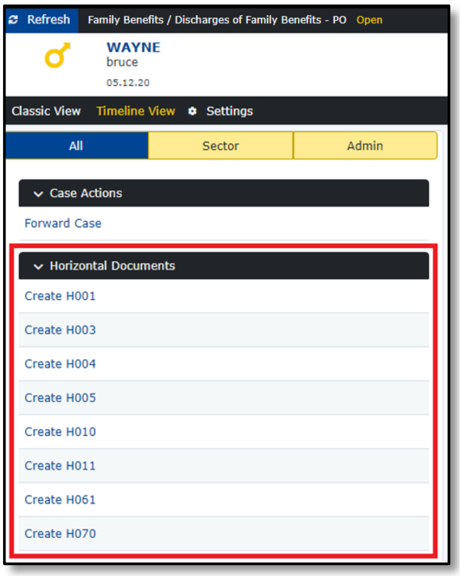


Figure 181: Horizontal sub-process of a case

> *Please note that the user does not explicitly start a horizontal sub-process. Instead, he/she simply creates and sends the first SED belonging to this sub-process. This implicitly triggers the respective sub-process inside the case.*

The SED workflow for horizontal SEDs is identical to other SEDs; cf. section 7.10 for more information about administering SEDs.

11.9 How to treat Business exceptions

The business exceptions correspond to the exchange of an administrative SED (of type X050) and are used to communicate errors as defined under the corresponding Administrative subprocess (Ad_BUC_11).

These errors are related to messages that have been generated and sent to other participants. The errors get detected at the receiving side of the other participants and trigger the creation of such administrative SEDs back to the local systems of the message sender. Upon their reception, those administrative SEDs get displayed in the case view of the associated cases – whenever applicable (see Figure 181).

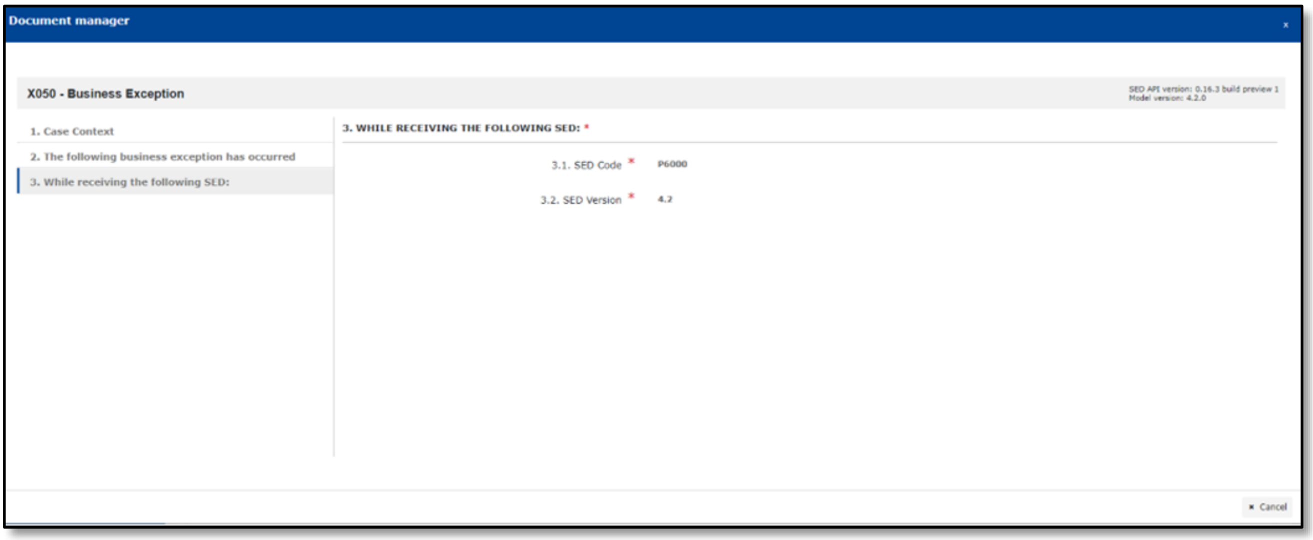


Figure 182: Business Exceptions

In the case presented in the above figure the SED H002 was processed by the receiving institution after it had already forwarded the relevant Case. When the H002 SED was received by the receiving participant the Case was already forwarded to another institution in the same country and therefore the reason for the business exception generation is *"Receiving a SED after the case was forwarded to another participant".*

As soon as this is identified, the local Service Desk needs to be contacted in order to proceed towards the necessary investigation.

11.10 How to check the failed messages and send them again

When messages do not get associated with a delivery notification (positive acknowledgment), this is associated to a problematic situation. In order to avoid keeping working on cases associated with such problems, it is highly recommended to always monitor the Errors aggregated under the Notifications in order to notify on potential issues the support teams and potentially postpone working on the relevant cases till the issues will get overcome.

Also, it is important to always check that the messages sent from the local institution are associated to such a delivery notification. It is possible to identify the relevant information through the provided information under sections 0, 0 & 8. When sent messages has been associated with an erroneous notification, it is important to contact the local Service Desk. Upon the resolution of the issue (if applicable), the message associated to that issue can be resent through the corresponding action under the Message History menu as specified under section 7.14.

Bear in mind that a particular case where a message may be associated to an error is when it gets expired (associated with a Notification: SED Failed to be delivered). In order for such a situation to occur, there needs to be an elapse of 5.5 days (or 132 hours) between the period where a message gets sent and no receipt (delivery notification) or error has already been associated to it yet. When this happens, the specific notification gets generated and the application offers to the user the possibility to resend the SED through the aforementioned option.

12 List of Figures