



## **2.0 Post Response File to the Broker**

**Prepared by the  
Information Technology Support Center**

### **REQUIREMENTS BASELINE**

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## 2.0 Post Response File to the Broker

### Revision History

Date	Version	Description	Author
11/09/06	1.0	Draft Version	Lou Ansaldi (ITSC)
11/15/06	2.0	Updated as of 11/15 Meeting	Jason Hase (ITSC)
2/21/08	3.0	Draft for 2/28/08 Requirements Meeting	Lou Ansaldi (ITSC)
3/10/08	4.0	<ol style="list-style-type: none"> <li>1. Updated section numbering. First number of each section is now Use Case number</li> <li>2. Updated Basic Flow. Major updates include checks that States/Employer/TPAs are active SIDES participants, and the step to check the state generated GUID for duplicate detection</li> <li>3. Updated alternate and exception flows to describe handling when each check performed in Basic flow fails</li> <li>4. Commenced list of business rules used in this Use Case</li> </ol>	Lou Ansaldi (ITSC), Jason Holzbach
3/18/08	5.0	Updated after review by Consortium	Lou Ansaldi (ITSC), Jason Holzbach
3/20/08	6.0	Updated after review by Consortium	
3/31/08	7.0	Updated after internal review	
3/31/08	10	<p>Updated to show Broker requirements that affect endpoint requirements</p> <p>Updated to Version 10 for 4/3/08 Requirements Review</p>	Lou Ansaldi (ITSC), Jason Holzbach
4/7/08	11	<p>Updated after consortium review</p> <p>Changed 1.5.8 to 1.5.9</p> <p>Changed 1.5.9 to 1.5.10</p> <p>Moved Alternate and Exception Flows to the correct place</p>	Lou Ansaldi (ITSC), Jason Holzbach
4/9/08	13	<p>No Changes</p> <p>Updated version number to Version 13 for Final Review Draft</p>	Lou Ansaldi (ITSC), Jason Holzbach
4/11/08	14	<p>Updated after Consortium Review</p> <p>Made Post Conditions Consistent with the text in the alternate/exception flows</p>	Lou Ansaldi (ITSC), Jason Holzbach

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		Added deletion and logging to 2.7.5 Added 2.5.7 for consistency REQUIREMENTS BASELINE ISSUE	
5/6/08	15	SIGNED OFF VERSION	Lou Ansaldi (ITSC), Jason Holzbach
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**USE CASE NAME: 2.0 Post Response File to the Broker**

**2.1 Brief Description**

This Use Case describes the steps taken by the Employer/TPA Connector in transmitting Response files to the Broker.

**2.2 Actors**

2.2.1 Employer/TPA Connector

2.2.2 Broker

**2.3 Pre-Conditions**

2.3.1 The Employer/TPA has built the XML Response files.

**2.4 Post-Conditions**

2.4.1 The Employer/TPA Connector has successfully transmitted an XML Response file to the Broker

2.4.2 The following alternate flows and exceptions have been handled:

- The Broker determines that the posting Employer/TPA is not active
- The Broker determines that the destination State is not active
- The Broker fails to authenticate the posting Employer/TPA
- The Broker determines that the destination State is not a participant
- The Broker cannot decrypt the file
- The Broker fails authentication/is not operational
- The Broker determines that the Response XML file is malformed
- The Broker parses the XML Response file and there is at least one record failure
- The Broker is unable to transmit Acknowledgement File for Response File from Employer/TPA in a configurable amount of time
- The Broker transmits the Acknowledgement File for Response File from Employer/TPA SOAP message but the Employer/TPA does not receive it

## 2.5 Basic Flow

- 2.5.1 The Employer/TPA Connector builds, encrypts with the public/private key, the SOAP Post message to transmit a response file to the Broker (Affects Endpoint(s) Requirements)
- 2.5.2 The Employer/TPA Connector transmits the SOAP Post message with file payload to the Broker. (Affects Endpoint(s) Requirements)
- 2.5.3 The Broker authenticates the SOAP message.
- 2.5.4 The Broker receives and dates the SOAP Post message with file payload from the Employer/TPA Connector.
- 2.5.5 The Broker decrypts the SOAP message.
- 2.5.6 ~~The Broker ensures that the posting Employer/TPA is a participant by inspecting the SOAP header~~
- 2.5.7 The Broker inspects the Employer/TPA generated Response file GUID (EmployerTPAResponseFileGUID) and records if duplicate
- 2.5.8 The Broker ensures that the destination State is a participant by inspecting the SOAP header
- 2.5.9 The Broker determines that the posting Employer/TPA is Active
- 2.5.10 The Broker determines that the destination State is Active
- 2.5.11 The Broker validates that SOAP message and XML file are well formed.
- 2.5.12 The Broker parses and validates the Response file against its XSD (see Business Rules for the Response XSD).
- 2.5.13 The Broker inspects the unique BrokerRecordTransactionNumber for each valid record in the XML Request file
- 2.5.14 The Broker inspects the State generated record-level GUID (StateRequestRecordGUID) and records if duplicate
- 2.5.15 The Broker transmits an acknowledgement to the sending Employer/TPA Connector of receipt of SOAP message (Affects Endpoint(s) Requirements)
- 2.5.16 The Broker dates each valid record.
- 2.5.17 The Broker stages the new Response record for collection by the State.
- 2.5.18 Use Case ends

## 2.6 **Alternate Flows**

2.6.1 The Broker determines that the posting Employer/TPA is not active

2.6.1.1 The Broker logs the event

2.6.1.2 The Broker notifies the Broker Administrator

2.6.1.3 Return to 2.5.10

2.6.2 The Broker determines that the destination State is not active

2.6.2.1 The Broker logs the event

2.6.2.2 The Broker notifies the Broker Administrator

2.6.2.3 Return to 2.5.11

## 2.7 **Exception Flows**

2.7.1 The Broker fails to authenticate the posting Employer/TPA

2.7.1.1 The Broker deletes the file

2.7.1.2 The Broker logs the event

2.7.1.3 The Broker notifies the Broker Administrator

2.7.1.4 Use Case ends

2.7.2 The Broker determines that the destination State is not a participant

2.7.2.1 The Broker deletes the file

2.7.2.2 The Broker logs the event

2.7.2.3 The Broker notifies the Broker Administrator

2.7.2.4 The Broker sends an Acknowledgement to the Employer/TPA with an appropriate error code (Affects Endpoint(s) Requirements)

2.7.2.5 Use Case ends

2.7.3 The Broker cannot decrypt the file

2.7.3.1 The Broker deletes the file

2.7.3.2 The Broker logs the event

2.7.3.3 The Broker notifies the Broker Administrator

2.7.3.4 The Broker sends an Acknowledgement to the Employer/TPA with an appropriate error code (Affects Endpoint(s) Requirements)

2.7.3.5 Use Case ends

2.7.4 The Broker fails authentication/is not operational (Affects Endpoint(s) Requirements)

2.7.4.1 The Employer/TPA gets an HTTPS error.

- 2.7.4.2 The Employer/TPA Connector logs to their own system and notifies the Broker Administrator via the Help Desk (Affects Endpoint(s) Requirements) [Consortium Process]
- 2.7.4.3 Use Case Ends
- 2.7.5 The Broker determines that the Response XML file is malformed
  - 2.7.5.1 The Broker rejects the XML file
  - 2.7.5.2 The Broker logs the event
  - 2.7.5.3 The Broker deletes the file
  - 2.7.5.4 The Broker transmits (response acknowledgement) to the Posting Employer/TPA a SOAP message with a message code indicating XML file rejection (Affects Endpoint(s) Requirements) (See Rules and Requirements #86)
  - 2.7.5.5 Use Case Ends
- 2.7.6 The Broker parses the XML Response file and there is at least one record failure (See Response XSD)
  - 2.7.6.1 The Broker builds an XML file of record failure(s), including:
    - 2.7.6.1.1 Failed attachments
    - 2.7.6.1.2 Response records that do not have a corresponding Request Record in the Broker through the checking of the Business Rules against that record.
  - 2.7.6.2 The Broker transmits the acknowledgement to the Posting Employer/TPA, which includes the failed records and the Message Code indicating “File Success with Rejected Records” (Affects Endpoint(s) Requirements)
  - 2.7.6.3 Use Case Ends
- 2.7.7 The Broker is unable to transmit Acknowledgement File for Response File from Employer/TPA in a configurable amount of time (initial setting = 15 minutes)
  - 2.7.7.1 The Broker deletes the Response file (The Employer/TPA will send the same file again) (Affects Endpoint(s) Requirements)
  - 2.7.7.2 The Broker logs the event
  - 2.7.7.3 The Broker generates a report for the Administrator and Posting Employer/TPA
  - 2.7.7.4 Use Case Ends

- 2.7.8 The Broker transmits the Acknowledgement File for Response File from Employer/TPA SOAP message but the Employer/TPA does not receive it (Affects Endpoint(s) Requirements)
  - 2.7.8.1 The Employer/TPA resends the same file up to two (2) more times (Affects Endpoint(s) Requirements)
  - 2.7.8.2 The Employer/TPA logs each file transmission event (Affects Endpoint(s) Requirements)
  - 2.7.8.3 The Employer/TPA notifies its Administrator (Affects Endpoint(s) Requirements) [Consortium Process]
  - 2.7.8.4 Use Case Ends

## 2.8 Business Rules

State generates GUID for each record and request file (StateRequestRecordGUID) (Affects Endpoint(s) Requirements)

Employer/TPA generates GUID for each response file (EmployerResponseFileGUID) (Affects Endpoint(s) Requirements)

The State and Employer/TPA logs duplicate files and records (Affects Endpoint(s) Requirements)

When Broker able to send an Ack, and the Employer/TPA receives it the Employer/TPA will send the next file if there is one (Affects Endpoint(s) Requirements)

When Broker able to send an Ack and the Employer/TPA does not receive it, the Employer/TPA will resend the same file up to 3 times (Affects Endpoint(s) Requirements)

When Broker is unable to send an ack, and therefore the Employer/TPA will not receive it, the Employer/TPA will resend the same file up to 3 times. (Affects Endpoint(s) Requirements)

When Broker is unable to send an ack where it knows that the ack was not sent (e.g. a session termination), the file will be deleted in anticipation of receiving the same file again and to prevent duplicates from begin passed on to the State.

Date will be the calendar date plus time to the second (mm/dd/yyyy hh:MM:ss)

The system configurable value for the transaction timeout placed on a Post or Pull transaction is 15 minutes. (Affects Endpoint(s) Requirements)

The maximum system configurable value for the transaction timeout placed on a Post or Pull transaction is 60 minutes. (Affects Endpoint(s) Requirements)

The system configurable value for the transaction timeout applies to the whole system. Each entity does not get it's own timeout value.

~~The Business Rules do not preclude a Response record from having a state GUID that is not recognized by the broker; in this case the record will still be passed on to the State and the non-matching event will be logged.~~

The elements that need to flow through from the Request Record are b1/a1 – b4/a4 elements (SSN, Claim Effective Date, Claim#, State Employer Account) from appendix E, the StateRequestRecordGUID and the BrokerRecordTransactionNumber.

## **2.9 Correspondence**

## **2.10 Screen Layouts**

## **2.11 Other Notes**

## **2.12 Unresolved Notes**

## **2.13 Glossary**