



3.0 Pull File from the Broker

**Prepared by the
Information Technology Support Center**

REQUIREMENTS BASELINE

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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)
2/26/08	3.0	Draft for 2/28/08 Requirements Meeting	Lou Ansaldi (ITSC)
3/10/08	4.0	<p>1. Updated section numbering. First number of each section is now Use Case number</p> <p>2. Updated Basic Flow to include additional checks for the pulling connector, 'end of file' message, and creation of a SOAP transaction number</p> <p>3. Updated alternate and exception flows to describe handling when each check performed in Basic flow fails</p>	Lou Ansaldi (ITSC), Jason Holzbach,
3/18/08	5.0	Updated after Consortium review	Lou Ansaldi (ITSC), Jason Holzbach,
3/20/08	6.0	Updated after Consortium Review	
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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>Updated 3.6.3 to allow for the 2 transmissions</p> <p>Added 3.7.6 – If there are no files to transmit Exception Flow</p>	Lou Ansaldi (ITSC)
4/9/08	13	<p>No Changes.</p> <p>Updated version to Version 13 for Final Review Draft</p>	Lou Ansaldi (ITSC)
4/14/08	14	<p>Updated after Consortium Review</p> <p>Made Post Conditions consistent with Alternate and Exception flows</p> <p>REQUIREMENTS BASELINE ISSUE</p>	Lou Ansaldi (ITSC), Jason Holzbach
5/6/08	15	SIGNED OFF VERSION	Lou Ansaldi (ITSC), Jason Holzbach

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USE CASE NAME: 3.0 Pull File from the Broker

3.1 Brief Description

This Use Case describes the steps taken by a Connector to pull files from the Broker that are awaiting retrieval.

3.2 Actors

3.2.1 Connector (State, Employer, TPA)

3.2.2 Broker

3.3 Pre-Conditions

3.3.1 The Connector is ready to pull XML files from Broker

3.4 Post-Conditions

3.4.1 The Connector successfully pulls all files awaiting collection

3.4.2 The following alternate flows and exceptions have been handled:

- The Broker determines that the pulling Connector is not active
- The Connector transmits SOAP message to collect a file after acknowledgement of that file sent by the Connector
- The Connector determines that the Request or Response XML file is in error
- The Broker cannot authenticate the SOAP message
- The Broker cannot decrypt the SOAP message
- The Connector cannot access the Broker
- After configurable period of time (initial setting = 15 minutes), Broker does not receive the acknowledgement SOAP message from the Connector
- The Broker has no files to transmit

3.5 Basic Flow

- 3.5.1 The Connector builds and sends an encrypted SOAP message to the Broker to collect XML Request or Response files staged (Affects Endpoint(s) Requirements)
- 3.5.2 The Broker authenticates the SOAP message.
- 3.5.3 The Broker receives and dates the collection request.
- 3.5.4 ~~The Broker ensures that the pulling Connector is a participant by inspecting the SOAP header~~
- 3.5.5 The Broker decrypts the SOAP message.
- 3.5.6 The Broker determines that the pulling Connector is Active
- 3.5.7 The Broker prepares and packages the XML Request or Response file (See Business Rules)
- 3.5.8 The Broker forms SOAP message, which includes a file-level StateSOAPTransactionNumber or EmployerSOAPTransactionNumber, and transmits XML Request or Response file (Affects Endpoint(s) Requirements) (see Rules and Requirements for the Request File to Employer/TPA and Response File to State XSDs).
- 3.5.9 The Broker records date of transmission and file metrics (See Metrics in Supplemental Specifications)
- 3.5.10 The Connector receives, decrypts, and validates XML Request or Response file. (Affects Endpoint(s) Requirements)
- 3.5.11 The Connector transmits a “successful file received” acknowledgement SOAP message to the Broker (Affects Endpoint(s) Requirements) (See Rules and Requirements)
- 3.5.12 Repeat Steps 5.1 through 5.11 until “end of files” message is received by the Connector
- 3.5.13 Use Case ends

3.6 Alternate Flows

- 3.6.1 The Broker determines that the pulling Connector is not active
 - 3.6.1.1 The Broker logs the event
 - 3.6.1.2 The Broker notifies the Broker Administrator
 - 3.6.1.3 Return to 3.5.7
- 3.6.2 The Connector transmits SOAP message to collect a file after acknowledgement of that file sent by the Connector (Affects Endpoint(s) Requirements)
 - 3.6.2.1 The Connector transmits the SOAP message to re-send a file to the Broker (Affects Endpoint(s) Requirements) (See Rules and Requirements ; includes file EmployerSOAPTransactionNumber)
 - 3.6.2.2 Return to step 3.5.2
- 3.6.3 The Connector determines that the Request or Response XML file is in error (e.g., malformed, can't decrypt, fail business rule, etc. The reason may vary by Connector.) (Affects Endpoint(s) Requirements)
 - 3.6.3.1 The Connector transmits to the Broker an acknowledgement that indicates a file error. (Affects Endpoint(s) Requirements)
 - 3.6.3.2 The Broker marks the sent file as the current file to send on next Pull request
 - 3.6.3.3 Return to step 3.5.1 (Up to two (2) more times, then stop attempting to pull file and go to manual processing as possible - notify State/Employer/TPA Administrator. Broker will notify Broker Administrator).

3.7 Exception Flows

- 3.7.1 The Broker cannot authenticate the SOAP message
 - 3.7.1.1 The Broker logs the event
 - 3.7.1.2 The Broker notifies the Broker Administrator
 - 3.7.1.3 Use Case ends
- 3.7.2 The Broker cannot decrypt the SOAP message
 - 3.7.2.1 The Broker logs the event
 - 3.7.2.2 The Broker notifies the Broker Administrator
 - 3.7.2.3 The Broker sends a response to the Connector with an appropriate error code (Affects Endpoint(s) Requirements)
 - 3.7.2.4 Use Case ends

- 3.7.3 ~~The Broker determines that the pulling Connector is not a participant~~
 - 3.7.3.1 ~~The Broker deletes the file~~
 - 3.7.3.2 ~~The Broker logs the event~~
 - 3.7.3.3 ~~The Broker notifies the SIDES Administrator~~
 - 3.7.3.4 Use Case ends
- 3.7.4 The Connector cannot access the Broker (Broker is not operational) (Affects Endpoint(s) Requirements)
 - 3.7.4.1 The Connector logs to their system and notifies Broker Administrator via the Help Desk (Affects Endpoint(s) Requirements) [Consortium Process]
 - 3.7.4.2 Use Case Ends
- 3.7.5 After configurable period of time (initial setting = 15 minutes), Broker does not receive the acknowledgement SOAP message from the Connector
 - 3.7.5.1 The Broker marks the sent file as the current file to send on next Pull request.
 - 3.7.5.2 The Broker logs resend file transmission event
 - 3.7.5.3 The Broker notifies the Broker Administrator
 - 3.7.5.4 Use Case Ends
- 3.7.6 The Broker has no files to transmit (Affects Endpoint(s) Requirements)
 - 3.7.6.1 The Broker forms a SOAP message with an “End of File” message code and transmits (Affects Endpoint(s) Requirements)
 - 3.7.6.2 The Broker records date of transmission
 - 3.7.6.3 The Connector receives the SOAP Message and determines that there are no files. (Affects Endpoint(s) Requirements)
 - 3.7.6.4 The Connector transmits a “successful file received” acknowledgement SOAP message to the Broker (Affects Endpoint(s) Requirements) (See Rules and Requirements)
 - 3.7.6.5 Use Case Ends

3.8 Business Rules

The records for a Pull will be in order by broker received date, with the first record being the oldest record that has not been collected.

3.9 Correspondence

3.10 Screen Layouts

3.11 Other Notes

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

3.12 Unresolved Notes

3.13 Glossary