



4.0 Push File from 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)
3/12/2008	3.0	Additional detail incorporated into flows	Lou Ansaldi (ITSC), Jason Holzbach
3/18/08	4.0	Updated after review by Consortium	Lou Ansaldi (ITSC), Jason Holzbach
3/28/08	5.0	Updated after Review by COnsortium	
3/31/08	10	Updated to show Broker requirements that affect endpoint requirements Updated to Version 10 for 4/3/08 Requirements Review	Lou Ansaldi (ITSC), Jason Holzbach
4/7/08	11	Updated after Consortium Review Added 4.7.4	Lou Ansaldi (ITSC), Jason Holzbach
4/9/08	13	No Changes Version number updated to Version 13 for 4/9/08 Final Review Draft	Lou Ansaldi (ITSC), Jason Holzbach
4/14/08	14	Updated after Consortium Review Made Post Conditions consistent with the alternate/exception flows REQUIREMENTS BASELINE ISSUE	Lou Ansaldi (ITSC), Jason Holzbach
5/6/08	15	SIGNED OFF VERSION	Lou Ansaldi (ITSC), Jason Holzbach
7/3/08	16	Updated version number to Version 16 for updated Requirements Baseline reflecting approved changes from CCB #1 document. Changes included in this document are: Exception Flow 4.7.1 During the design phase, it was determined that the Exception Flow 4.7.1 was incorrect and we could not do the same thing if authentication or decryption failed. Therefore we have removed decryption from the exception flow.	Lou Ansaldi (ITSC), Jason Holzbach

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		<p>Exception Flow 4.7.2 and 4.7.4</p> <p>During the design phase, it was determined the Exception Flow 4.7.2 and Exception Flow 4.7.4 accomplished the same task and that 4.7.2 was unnecessary. Therefore we added text to Exception Flow 4.7.4 to make a combination of 4.7.2 and 4.7.4.</p> <p>New Exception Flow 4.7.2</p> <p>During the design phase, it was determined that the Exception Flow 4.7.1 was incorrect and we could not do the same thing if authentication or decryption failed. Therefore we replaced Exception Flow 4.7.2 with on the handles the case of decryption failing.</p>	
7/24/08	17	<p>No Changes</p> <p>Updated version number to Version 17 for updated Requirements Baseline reflecting approved changes from CCB #2 document.</p>	Lou Ansaldi (ITSC), Jason Holzbach
12/24/08	18	<p>No Changes</p> <p>Updated version number to Version 18 for updated Requirements Baseline reflecting approved changes from CCB #3 document.</p>	Lou Ansaldi (ITSC), Jason Holzbach

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USE CASE NAME: 4.0 - Push File from Broker

4.1 Brief Description

This Use Case describes the steps taken by the Broker when pushing a file to the Employer/TPA.

4.2 Actors

4.2.1 Connector (Employer, TPA)

4.2.2 Broker

4.3 Pre-Conditions

4.3.1 The Broker is ready to push a file to the Connector, including ensuring that the Employer/TPA is a participant and active

4.4 Post-Conditions

4.4.1 The Broker successfully pushes all files

4.4.2 The following alternate flows and exceptions have been handled:

- The Employer/TPA determines that the Request XML file is in error
- The Employer/TPA transmits SOAP message to collect a file after acknowledgement of that file sent by the Broker
- The Employer/TPA cannot authenticate and decrypt SOAP message with the XML Request payload
- The Broker determines that the routing address URI is not valid
- After configurable period of time (initial setting = 15 minutes), Broker does not receive the acknowledgement SOAP message from the Employer/TPA
- The Broker determines that the URI is down

4.5 Basic Flow

4.5.1 The Broker performs a lookup to obtain the Employer/TPA's routing address (URI)

4.5.2 The Broker ensures that the address is valid

4.5.3 The Broker prepares and packages the XML Request file (see Rules and Requirements document)

4.5.4 The Broker builds and sends an encrypted SOAP message, with EmployerSOAPTransactionNumber, date and Request file payload, to the Employer/TPA (Affects Endpoint(s) Requirements)

4.5.5 The Broker records metrics regarding the Request file (See Metrics in Supplemental Specification)

- 4.5.6 The Employer/TPA receives, decrypts, and validates XML Request file. (Affects Endpoint(s) Requirements)
- 4.5.7 The Employer/TPA transmits a “successful file received” acknowledgement SOAP message, that includes date stamp, to the Broker (Affects Endpoint(s) Requirements) (See Rules and Requirements)
- 4.5.8 The Broker records the acknowledgement
- 4.5.9 Use Case ends

4.6 **Alternate Flows**

- 4.6.1 The Employer/TPA determines that the Request XML file is in error (e.g., malformed, failed validation rule, etc. The reason may vary by Connector.) (Affects Endpoint(s) Requirements)
 - 4.6.1.1 The Employer/TPA transmits an error code in the Acknowledgment (Affects Endpoint(s) Requirements)
 - 4.6.1.2 The Broker marks the file sent as the current file to send on next push
 - 4.6.1.3 Return to step 4.5.8
- 4.6.2 The Employer/TPA transmits SOAP message to collect a file after acknowledgement of that file sent by the Broker (Affects Endpoint(s) Requirements)
 - 4.6.2.1 The Employer/TPA transmits a SOAP message to instruct the Broker to re-push the file (See Rules and Requirements; includes file EmployerSOAPTransactionNumber) (Affects Endpoint(s) Requirements)
 - 4.6.2.2 Return to step 4.5.4

4.7 **Exception Flows**

- 4.7.1 The Employer/TPA cannot authenticate and decrypt SOAP message with the XML Request payload (Affects Endpoint(s) Requirements)
 - 4.7.1.1 The Employer/TPA logs the event (Affects Endpoint(s) Requirements)
 - 4.7.1.2 The Employer/TPA notifies the Broker Administrator via the Help Desk (Affects Endpoint(s) Requirements) [Consortium Process]
 - 4.7.1.3 Use Case ends
- 4.7.2 The Employer/TPA cannot decrypt the XML Request payload
 - 4.7.2.1 The Employer/TPA logs the event (Affects Endpoint(s) Requirements)
 - 4.7.2.2 The Employer/TPA sends back an acknowledgement with the proper message code.
 - 4.7.2.3 Return to 4.5.3 of the Main Flow unless 2nd retry has occurred

- 4.7.2.4 The Broker notifies the Broker Administrator of failure and begin Policy correction.
- 4.7.2.5 Use Case Ends
- 4.7.3 After configurable period of time (initial setting = 15 minutes), Broker does not receive the acknowledgement SOAP message from the Employer/TPA
 - 4.7.3.1 The Broker resends the same file
 - 4.7.3.2 The Broker logs resend file transmission event
 - 4.7.3.3 The Broker notifies the Broker Administrator
 - 4.7.3.4 Return to step 4.5.4 of the Main Flow unless 2nd resend has occurred
 - 4.7.3.5 The Broker notifies the Broker Administrator that the 2nd file resend has failed
 - 4.7.3.6 Use Case Ends
- 4.7.4 The Broker determines that the URI is down/invalid
 - 4.7.4.1 The Broker stages the file
 - 4.7.4.2 The Broker logs the event
 - 4.7.4.3 The Broker waits X minutes and tries again unless 2nd re-try has occurred
 - 4.7.4.4 Return to 4.5.3 of the Main Flow unless 2nd retry has occur
 - 4.7.4.5 The Broker notifies the Broker Administrator of failure and begin Policy correction.
 - 4.7.4.6 Use Case Ends

4.8 **Business Rules**

See Rules and Requirements Document

4.9 **Correspondence**

4.10 **Screen Layouts**

4.11 **Other Notes**

4.12 **Unresolved Notes**

4.13 **Glossary**