Real-Time Connectivity Specifications

UNITED CONCORDIA
Insuring America’s Dental Health

United Concordia Companies, Inc. (UCCI)
2006
1. Overview

Real-time transactions utilize Simple Object Access Protocol (SOAP). SOAP is a simple XML based protocol to let applications exchange information over HTTP. Since the Internet is being utilized to transport the data, encryption will be utilized to secure messages in the same way financial transactions are secured over the Internet. Access to UCCI’s networks will follow the same security model in place today, which requires a Login/Password.
In order to understand the lifecycle of the transaction, processes have been outlined below:

(1) **Transaction Initiation**  
UCCI Trading Partner’s Transaction Management System will initiate a Real-time X12 HIPAA transaction.

(2) **Establish Connection**  
The Trading Partner’s Transaction Management System will establish a secure Internet connection (HTTPS) to UCCI and send an encrypted SOAP message that contains a HIPAA X12 transaction payload, along with the Trading Partner logon id, and password assigned by UCCI.

(3) **Receive Transaction**  
UCCI receives the Real-time request on its Web Server.

(4) **Authentication/Authorization**  
When the SOAP message is received by UCCI’s WebSphere application, the SOAP message will be validated and the Trading Partner’s logon id, password and defined role is authenticated using the Directory Smart LDAP (Lightweight Directory Access Protocol). Only Trading Partners that have signed a UCCI Trading Partner Agreement are granted a logon id, password and defined role.

If the Trading Partner is not authorized to submit a Real-time request, the WebSphere application will return a SOAP invalid security/unauthorized message to the Trading Partner via the secure Internet connection (HTTPS).

(5) **Process Transaction**  
Trading Partners authorized to submit real time requests will have their transactions routed through the WebSphere application to the target system. The target system will generate the Real-time response.

(6) **Format Response**  
The WebSphere Application Server will envelope the response in a SOAP response message.

(7) **Send Response**  
The responses will be encrypted, and returned to the Trading Partner via the secure Internet (HTTPS) connection.

(8) **Receive Response**  
The Trading Partner’s Web Server will return the response message to the Trading Partner’s Transaction Management System that initiated the request.
2. Trading Partner Requirements for Real-Time

- Trading Partners must submit Inquiry transactions using HTTPS over a public line.

- Trading Partners must be able to connect to https://webservices.ucci.com/uccrpc/servlet/TPSOAPServlet

- Trading Partner must ensure that only authorized persons and/or applications will be able to submit requests to UCCI with their logon id and password.

- UCCI Real-Time transactions (Request and Response) are based on standard SOAP formats. However, due to UCCI system requirements Real-Time transactions must adhere to UCCI’s Model SOAP Messages (see Section 3).

- The SOAP message should be submitted in a continuous data string without line feeds.

- The SOAP message must not contain spaces between data tags.

- The SOAP message “header” must contain the following required data elements for all UCCI Real-Time transactions:
  
  **Username** = (7 positions, Upper Case) UCCI assigned login id.

  **Password** = (8 positions)

- The SOAP message “body” must contain the following required data elements for all UCCI Real-Time transactions:

  **X12TypeVersion** = same value as GS08 in the X12 request
  - ‘004010X092A1’ (270 Eligibility Request)
  - ‘004010X093A1’ (276 Claim Status Request)

  **SenderId** = (7 position, Upper Case) UCCI assigned login id.
  - Same value as Username in the SOAP Header.

  **RequestTarget** = must contain ‘UCCI’

  **ClientUserId** = (1 to 30 positions) Trading Partner defined
**ClientStateData =** (1 to 50 positions) Trading Partner defined (used if Trading Partner wants to return data in the SOAP Response Message).

- Although **Client UserId** and **ClientStateData** are required fields, UCCI **will not** authenticate/validate content of the data in these fields.

- The Trading Partner must use a ‘~’ as the segment terminator, the ‘^’ element delimiter and the ‘:’ Component Element Separator.

- The Trading Partner will be responsible to evaluate the response returned and to resubmit the request with corrections required as indicated by the SOAP “faultcode”.

- No XML exception characters (&, <, >, “) or non-printable characters will be used as a delimiter or contained within the data of the message. NOTE: UCCI requires the CDATA tag to handle special characters. (See examples of SOAP Message and XML Message below)

- The Trading Partner has an option to use the following XML Schema to validate their SOAP Request. It is not required but is very beneficial. https://webservices.ucci.com/uccrpc/schemas/2006/02/uccrpc.xsd

- **HTTP Header** – the content type must be set to **text/xml** or a SOAP failure will be returned.

**DISCLAIMER**

Real-time transactions are designed to respond to individual end-user requests for eligibility & claim status information. For typical requests (requests with a single patient), the average response time should be within 15 seconds. Actual response time will be dependent upon Real-time transaction activity. Batched inquiries should not be submitted through the Real-time process as it may impact Real-time response time.

**3. MODEL SOAP MESSAGES** – The following are models of valid UCCI Real-time transactions (Request and Response) with properly formatted SOAP envelopes.
Sample 270 Request Message:

```xml
<?xml version="1.0"?>
<SOAP-ENV:Header>
    <wsse:UsernameToken>
      <wsse:Username>someuser</wsse:Username>
      <wsse:Password>ucciedi</wsse:Password>
    </wsse:UsernameToken>
  </wsse:Security>
</SOAP-ENV:Header>
<SOAP-ENV:Body>
  <ns1:processMessage xmlns:ns1="https://webservices.ucci.com/uccrpc/schemas/2006/02">
    <Request>
      <X12TypeVersion>004010X092A1</X12TypeVersion>
      <SenderId>someuser</SenderId>
      <RequestTarget>UCCI</RequestTarget>
      <ClientUserId>John Doe</ClientUserId>
      <ClientStateData><![CDATA[NONE]]></ClientStateData>
      <X12><![CDATA[ISA^00^          ^00^          ^ZZ^someuser        ^33^89070
        ^050516^0928^U^00401^00091086^0^P^>~GS^HS^R999999^89070^20050516^0928^91086^X^004010X092A1
        ~ST^270^00091086~BHT^0022^13^Dummy1234^20050516^092841~HL^1^20^1~NM1^PR^2^UCI^22^1~NI^89070~HL^2^1^21^1~NM1^1P^22^1~SV^000390147~HL^3^22^1~NM1^IL^1^DOE^JOHN^MI^fbd9999
        99999~DMG^D8^19999999~HL^4^3^23^0~TRN^1^Dummy1234^9NAVINET
        ~NM1^03^1^DOE^EQ^30~DTP^307^D8^20050527~SE^15^00091086~GE^1^91086~IEA^1^00091086~]]></X12>
    </Request>
  </ns1:processMessage>
</SOAP-ENV:Body>
</SOAP-ENV:Envelope>
```

Sample 271 Response Message:

```xml
<?xml version="1.0"?>
<SOAP-ENV:Body>
  <ns1:processMessage xmlns:ns1="https://webservices.ucci.com/uccrpc/schemas/2006/02">
    <Return>
      <X12TypeVersion>004010X092A1</X12TypeVersion>
      <SenderId>someuser</SenderId>
      <RequestTarget>UCCI</RequestTarget>
      <ClientUserId>Doe John</ClientUserId>
      <ClientStateData><![CDATA[NONE]]></ClientStateData>
      <X12><![CDATA[ISA^00^          ^00^          ^ZZ^someuser        ^33^89070
        ^050516^0928^U^00401^00091086^0^P^>~GS^HS^R999999^89070^20050516^0928^91086^X^004010X092A1
        ~ST^270^00091086~BHT^0022^13^Dummy1234^20050516^092841~HL^1^20^1~NM1^PR^2^UCI^22^1~NI^89070~HL^2^1^21^1~NM1^1P^22^1~SV^000390147~HL^3^22^1~NM1^IL^1^DOE^JOHN^MI^fbd9999
        99999~DMG^D8^19999999~HL^4^3^23^0~TRN^1^Dummy1234^9NAVINET
        ~NM1^03^1^DOE^EQ^30~DTP^307^D8^20050527~SE^15^00091086~GE^1^91086~IEA^1^00091086~]]></X12>
    </Return>
  </ns1:processMessage>
</SOAP-ENV:Body>
</SOAP-ENV:Envelope>
```
PASR–DTP^356^D8^20021201^DTP^357^D8^20050701^MSG^THIS BENEFIT SUMMARY DOES NOT TAKE THE PLACE OF A DETAILED BENEFIT REPORT / CLEANINGS, 2 IN 12 MONTHS^SE^24^270UCCI10^GE^1^15~IEA^1^000091086~]]></X12>
</Return>
</ns1:processMessage>
</SOAP-ENV:Body>
</SOAP-ENV:Envelope>

Sample 276 Request Message:

<?xml version="1.0"?>
  <SOAP-ENV:Header>
      <wsse:UsernameToken>
        <wsse:Username>someuser</wsse:Username>
        <wsse:Password>ucciedi</wsse:Password>
      </wsse:UsernameToken>
    </wsse:Security>
  </SOAP-ENV:Header>
  <SOAP-ENV:Body>
    <ns1:processMessage xmlns:ns1="https://webservices.ucci.com/uccrpc/schemas/2006/02">
      <Request>
        <X12TypeVersion>004010X093A1</X12TypeVersion>
        <SenderId>someuser</SenderId>
        <RequestTarget>UCCI</RequestTarget>
        <ClientUserId>John Doe</ClientUserId>
        <ClientStateData><![CDATA[NONE]]></ClientStateData>
        <X12><![CDATA[ISA^00^          ^00^          ^ZZ^V999999        ^33^89070^200516^0928^U^00401^000091086^0^P^>~GS^HS^R999999^89070^20050516^0928^91086^X^004010X093A~ST^276^276UCCI10^BHT^0010^13^20021113~HL^1^^21^1~NM1^PR^2^UCCI^^^^^NI^89070~HL^2^1^21^1~NM1^41^2^ UCCI PROF-2^^^^^46^999999~HL^3^2^19^1~NM1^1P^2^GENTAL HAZEL^^^^^SV^999999~HL^4^3^22^0~DMG^D8^99999999^M~NM1^QC^1^DOE^JOHN^^^^MI^99999999~TRN^1^UCCI CASE 10~REF^EA^500XTY123~AMT^T3^600~DTP^232^RD8^19999999-19999999~SE^16^276UCCI10^GE^1^4044~IEA^1^123456789~]]><X12>
      </Request>
    </ns1:processMessage> 
  </SOAP-ENV:Body>
</SOAP-ENV:Envelope>

09/12/2006   6
Sample 277 Response Message:

<?xml version="1.0"?>
<SOAP-ENV:Body>
  <ns1:processMessage xmlns:ns1="https://webservices.ucci.com/uccrpc/schemas/2006/02">
    <Return>
      <X12TypeVersion>004010X093A1</X12TypeVersion>
      <SenderId>someuser</SenderId>
      <RequestTarget>UCCI</RequestTarget>
      <ClientUserId>John Doe</ClientUserId>
      <ClientStateData><![CDATA[NONE]]></ClientStateData>
      <X12><![CDATA[ISA^00^          ^00^          ^ZZ^someuser        ^33^89040
50516^0928^U00401^00091086^0^P^~GS^HS^R999999^89070^20050516^0928^91086^X^004010X093A1
~ST^277^00091086^BHT^0010^08^1005375^20050516^DG~HL^1^20^1~NM1^PR^2^UNITED
CONCORDIA^^^SV^999999~HL^1^21^1~NM1^41^2^UCCI PROF-
2^^^46^999999~HL^3^2^19^1~NM1^1P^2^GENTAL DENTAL
HAZEL^^^SV^999999~HL^4^3^22^0~DMG^D8^19999999~M~NM1^QC^1^DOE^JOHN^^^MI^999999999-
TRN^2^UCCI CASE
10--STC^DO^35^20060130^600^0^NON--REF^EA^500XTY123--DTP^232^RD^8^199999999-
19999999--SE^16^3096C0220~GE^1^4044--IEA^1^123456789]]></X12
  </Return>
</ns1:processMessage>
</SOAP-ENV:Body>
</SOAP-ENV:Envelope>

4. UCCI EDI Real-Time SOAP Faults – When a Real-Time transaction fails validation for the format or content of the SOAP message; the following error codes will be used when responding to the Trading Partner.

<table>
<thead>
<tr>
<th>Fault Message</th>
<th>FAULTCODE</th>
<th>ClientStateData returned</th>
</tr>
</thead>
<tbody>
<tr>
<td>HTTPS SOAP message request contains no content</td>
<td>SOAP-ENV:CLIENT</td>
<td>No</td>
</tr>
<tr>
<td>HTTPS SOAP message request contains invalid content type of '##1##'. Content type should be text/xml</td>
<td>SOAP-ENV:CLIENT</td>
<td>No</td>
</tr>
<tr>
<td>User authentication/authorization failed for the request [#####]</td>
<td>SOAP-ENV:CLIENT</td>
<td>No</td>
</tr>
<tr>
<td>Invalid request target [#####]</td>
<td>SOAP-ENV:CLIENT</td>
<td>Yes</td>
</tr>
<tr>
<td>Unable to parse SOAP request message [#####]</td>
<td>SOAP-ENV:CLIENT</td>
<td>No</td>
</tr>
<tr>
<td>Unable to parse SOAP request message because it</td>
<td>SOAP-ENV:CLIENT</td>
<td>No</td>
</tr>
</tbody>
</table>
### UCCI EDI WebServices Certificate

This Section will explain how to save to a file the certificate used by the UCCI Web Services Gateway. UCCI offers the use of web services to perform EDI transactions. Since these transactions require the utmost security, all data is encrypted and transmitted over Secure Sockets Layer Protocol (SSL). The document will provide some links to information about SSL and instructions for downloading to a file the UCCI certificate that would be required to be setup as a Truststore to establish a SSL connection with the web services gateway server. Note: This document is meant for

---

### SOAP Error Codes and Handling

<table>
<thead>
<tr>
<th>Error Description</th>
<th>SOAP ENV:CLIENT</th>
<th>SOAP ENV:SERVER</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unable to authenticate user due to system error [####]</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Unable to parse SOAP response from RequestTarget [####]</td>
<td>Yes</td>
<td>(except when message cannot be processed due to application error)</td>
</tr>
<tr>
<td>Unable to process request [####] not implemented for request target of [####]</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Service not available, try again later</td>
<td></td>
<td>Yes</td>
</tr>
<tr>
<td>Request Timed Out</td>
<td></td>
<td>Yes</td>
</tr>
</tbody>
</table>

### Example of a SOAP Response with `<ClientStateData>`:

```xml
<?xml version='1.0' encoding='UTF-8'?>
    <SOAP-ENV:Body>
        <SOAP-ENV:Fault>
            <faultcode>SOAP-ENV:Server</faultcode>
            <faultstring><![CDATA[Request timed out]]></faultstring>
            <detail>
                <ClientStateData><![CDATA[TestCase20B]]></ClientStateData>
            </detail>
        </SOAP-ENV:Fault>
    </SOAP-ENV:Body>
</SOAP-ENV:Envelope>
```

---

**5. UCCI EDI WebServices Certificate**

---

9/12/2006
individuals whom have information technology experience and a understanding of SSL and web services.

A. Introduction

Prior to obtaining the UCCI Certificate for the enablement of the EDI web services one should have an understanding of SSL. Here’s a link to a SSL Introduction.

Introduction to SSL

B. Downloading the Digital Certificate.

These instructions are for Windows Internet Explorer. First, open a web browser to the https://webservices.ucci.com home page. Follow instructions printed on the page.

In order to download the Digital Certificate, double click on the “Gold Lock” at the bottom right of the status bar in the Windows Internet Explorer Browser. The Certificate Window will be displayed. Select the Details Tab.

Click on the ‘Gold Lock’ at the bottom right of the status bar.
Next, you’ll see the Certificate Window which displays the general information about the Certificate. Select the details tab.

This certificate is intended to:
- Ensures the identity of a remote computer

**Issued to:** webservices.ucci.com

**Issued by:** Thawte Premium Server CA

**Valid from** 02/08/2006 to 02/09/2008
On the Details tab, select the “Copy to File…” button at the lower right corner.
You should now see the Welcome window for the Certificate Export Wizard for windows. Select the Next Button.

Select the File Format. In this example, the default DER encoded binary X.509 is selected. Click Next.
Enter the file name to save the certificate under. In this example C:/downloadwsgwyucci.cer was used. Click Next.

Select Finish Button…
C. What to do next.

In order to establish a SSL connection via a web services client usually one needs to load the certificate to the “Truststore” file configured for the client’s platform in which the web service will be invoked. Since, there are too many web services client platforms to mention in this guide, one will need to review the documentation associated with the web services client platform. For example, to obtain information for a client platform like IBM’s WebSphere Application Server one could perform a search on Google(www.google.com) for: “ibm websphere Truststore how to” or examine the Websphere Information Center Documentation.

D. Renewing the Certificate

Digital Certificates have a specific expiration date and will need to be renewed. In the example below the General Tab identifies the Valid To and From dates for the Certificate. Each Real-Time Trading Partner will receive an email 4 weeks before the certificate expires. (Note: Email addresses should be supplied by the EDI Trading Partner upon applying for Real-Time access.) The email will include the date the new certificate will be available for download and the date the new certificate will be activated. Repeat the above steps to incorporate the renewed certificate in your application.