CMS Manual System	Department of Health & Human Services (DHHS)
Pub 100-20 One-Time Notification	Centers for Medicare & Medicaid Services (CMS)
Transmittal 1323	Date: November 29, 2013
	Change Request 8354

SUBJECT: Medicare Appeals System (MAS) Level 1 Implementation

I. SUMMARY OF CHANGES: The purpose of this CR is to notify the contractors of the upcoming release of the Medicare Appeals System (MAS) level 1 effort. This CR will provide the participating Medicare Administrative Contractors (MACs) with the operational and business requirements they will need to utilize MAS to enter and track information regarding the progress and disposition of each Part A redetermination and reopening in accordance with CMS policy and regulations. (**NOTE**: the first phase of the Level 1 Implementation will focus on Part A.).

EFFECTIVE DATE: January 30 , 2014
IMPLEMENTATION DATE: December 6, 2013 - MAS Part A Level 1 Release

Disclaimer for manual changes only: The revision date and transmittal number apply only to red italicized material. Any other material was previously published and remains unchanged. However, if this revision contains a table of contents, you will receive the new/revised information only, and not the entire table of contents.

II. CHANGES IN MANUAL INSTRUCTIONS: (N/A if manual is not updated)
R=REVISED, N=NEW, D=DELETED-*Only One Per Row.*

R/N/D	CHAPTER / SECTION / SUBSECTION / TITLE
N/A	

III. FUNDING:
For Fiscal Intermediaries (FIs), Regional Home Health Intermediaries (RHHIs) and/or Carriers:
Funding or implementation activities will be provided to contractors through the regular budget process,

For Medicare Administrative Contractors (MACs):
The Medicare Administrative Contractor is hereby advised that this constitutes technical direction as defined in your contract. CMS does not construe this as a change to the MAC statement of Work. The contractor is not obliged to incur costs in excess of the amounts allotted in your contract unless and until specifically authorized by the Contracting Officer. If the contractor considers anything provided, as described above, to be outside the current scope of work, the contractor shall withhold performance on the part(s) in question and immediately notify the Contracting Officer, in writing or by e-mail, and request formal directions regarding continued performance requirements.

IV. ATTACHMENTS:

One Time Notification

Unless otherwise specified, the effective date is the date of service.

Attachment - One-Time Notification

Pub. 100-20	Transmittal: 1323	Date: November 29 , 2013	Change Request: 8354

SUBJECT: Medicare Appeals System (MAS) Level 1 Implementation

EFFECTIVE DATE: January 30, 2014
IMPLEMENTATION DATE: December 6, 2013 - MAS Part A Level 1 Release

I.   GENERAL INFORMATION

A.   Background: The Center for Medicare & Medicaid Services (CMS) has been working with specific Part A Medicare Administrative Contractors (MACs) in preparation for the deployment of the Medicare Appeals System (MAS) level 1 implementation. The MACs will begin utilizing MAS to perform redeterminations and reopenings in accordance with CMS regulations and policy. The functionality to support the level 1 process will be implemented in December 2013. Each MAC contractor is implementing MAS in a phased in approach beginning December 2013 through January 2014 as agreed upon with CMS. The Part A MACs selected to participate in the initial phase are:

Cahaba

Noridian

Novitas

WPS

CMS is requesting that only Part A contractors identified above provide a response to this CR.

B.   Policy: Regulations at 42 CFR 405.940-405.492 provide that a party to a redetermination that is dissatisfied with an initial determination may request that the contractor make a redetermination.

II.   BUSINESS REQUIREMENTS TABLE

"Shall" denotes a mandatory requirement, and "should" denotes an optional requirement.

Number	Requirement	Responsibility										
		A/B MAC			D M E M A C	F I	C A R R I E R	R H H I	Shared-System Maintainers				Other
		A	B	H H H					F I S S	M C S	V M S	C W F	
8354.1	<u>MAS Technical Considerations</u> The following is a <u>minimum</u> specification of the PC hardware and software that the contractor will need for implementation of the MAS. Web Browser, Internet Explorer 8.0 or 9.0. Internet Explorer 9.0 is recommended for optimal performance of the MAS image viewer.	X											

Number	Requirement	Responsibility											
		A/B MAC			D M E M A C	F I	C A R R I E R	R H H I	Shared-System Maintainers				Other
		A	B	H H H					F I S S	M C S	V M S	C W F	
	Download of an Active X control is required for first time use and major Siebel releases. Additional java setting configurations may be necessary.												
8354.2	Establish MAS Connectivity and Perform MAS Testing The contractor shall ensure that appropriate staff are able to access the MAS Production, Test and Validation (T&V) and Development through the Medicare Data Center Network (MDCN). Once connectivity is established, the contractors shall test the MAS functionality and electronic image transfer process (see business requirement 3) to ensure that all information required to successfully perform reopenings and redeterminations can be tracked appropriately in MAS. The MAC shall also attend, or otherwise participate remotely in, MAS User Acceptance Testing (UAT) for all MAS releases.	X											
8354.3	Establish the MAS Enterprise File Transfer (EFT) Process MACs shall setup a MAS Enterprise File Transfer (EFT) by obtaining an IACS ID and testing the EFT. Next MACs will need to set up the web services by generating the X.509 certificate, and testing the web service client using authentication via X.509 certificate. The contractor shall develop, test, implement, and actively monitor the web services based on the MAS Appeal Intake Web Service ICD (attached). The contractor shall develop, test and implement an automated process to use both the web service (and X.509 certificate for authentication) and EFT. Utilizing this process correctly will automatically create appeals in MAS with the imaged case files associated to them, and will automatically bring in all associated claim, beneficiary, and provider information using the existing MAS interfaces with CMS systems.	X											
8354.4	MAS Training	X											

Number	Requirement	Responsibility											Other
		A/B MAC			D M E	F I	C A R R I E R	R H H I	Shared-System Maintainers				
		A	B	H H H	M A C				F I S S	M C S	V M S	C W F	
	The MAC shall be provided with Train-the-Trainer training, MAS user guides, and job aids upon MAS implementation, but the MAC shall train all necessary MAC staff.												
8354.5	Data Analysis/Improving the Medicare Appeals Process The contractor shall analyze and trend redetermination decisions utilizing the standard reports in the MAS, and/or other materials as appropriate, to provide the PO, PSC/ZPICs, RACs, and/or other CMS contractors within the contractors jurisdiction with information regarding the appeals activities in the respective jurisdiction. The contractor shall communicate substantial findings regarding the appeals activities and/or other issues on a semi-annual basis. This may include identifying areas in which additional education is necessary, problems/issues in the appeals process, etc. The contractor shall also use such findings to improve its operations and the appeals process. The reports generated from the MAS will replace all existing reports submitted to CROWD for appeals purposes. Many reports will be in place for the MACs to utilize; however each MAC will need to have a report administrator to create additional reports as required for their jurisdiction and reporting needs. Additionally, during the course of the contract, the contractor may be required to prepare special reports on specific issues or analyses for CMS.	X											
8354.6	Loading Case File Images Into the MAS The contractor shall upload electronic appeals case file documents into MAS using the MAS document importer and/or the MAS Electronic File Transfer (EFT) process via web services and CMS file transfer (see requirement 8354.3). The MAS document importer and the MAS electronic file transfer methods allow both PDF and TIFF document file formats. Once imported, these documents can be viewed through the MAS custom image viewer. The imaged case file will be indexed by MAC contract number and the	X											

Number	Requirement	Responsibility											
		A/B MAC			D M E	F I	C A R R I E R	R H H I	Shared-System Maintainers				Other
		A	B	H H H	M A C				F I S S	M C S	V M S	C W F	
	claim number. The imaged case file loaded in MAS shall be the official level 1 case file and shall include all items later levels of appeal may need.												
8354.7	Contingency Plan for MAS Implementation and Normal Production

The contractor shall develop and submit a contingency plan for continuing full appeals processing production in case the MAS is unavailable or temporarily inoperable. The contingency plan shall distinguish between different time periods of unavailability including (at a minimum) a plan for the system being down for 2 hours, 24-48 hours, and 1 week.

The contractor shall also develop and submit a MAS implementation contingency plan for a period of no less than 60 calendar days to ensure the MAS can meet the needs of the MAC redetermination process and volume. After the 60 calendar day period, the MAC shall decide whether or not to pursue the MAS implementation, to revert back to their existing case processing system, or to continue MAS implementation for another 60 calendar day period. The MAC shall communicate this decision to their COTR/COR(s), BFL(s), Aaron Pleines, and Kimberly Snowden in writing at the end of each 60 day period. During these 60 day implementation periods, the contractor shall ensure that they can revert back to their existing case processing systems within 14 calendar days and with minimal interruption to all appeals processing functions.

Additionally, the contractor shall develop a contingency plan for MAS imaging failure. The plan shall detail how the contractor will manage the case files and documentation in the event that the MAS imaging solution is unavailable. This contingency plan shall take into account the MAS contingency plan, and shall determine if the workflow processing portion of MAS also being down requires a different approach for this imaging contingency plan.

When the contractor is developing the contingency | X | | | | | | | | | | | |

Number	Requirement	Responsibility											
		A/B MAC			DME MAC	FI	CARRIER	RHHI	Shared-System Maintainers				Other
		A	B	HHH					FISS	MCS	VMS	CWF	
	plans for both the MAS and the MAS imaging system, the contractor should account for possible need of electronic or hard copy case files in the event of system failure.												
8354.8	Destruction of Documents The MACs shall destroy all appeals paper case files once the case has been imaged and the image is verified as an exact duplicate of the original. The MAC must submit a protocol for CMS approval that will assure the imaged copy is an exact duplicate of the original, is uploaded to MAS/CM Content Manager correctly and without error(s), and that the document destruction procedures are in compliance with CMS records retention policies all prior to implementation of this requirement. MACs may retain a copy until the redetermination appeal activities are complete.	X											
8354.9	Appeal Case Forwarding The electronic copy of the case file will be promoted to the level 2 Qualified Independent Contractor through MAS automatically. Therefore, MACs will no longer be required to separately forward another paper or electronic copy of each redetermination case file.	X											
8354.10	Correspondence Generation The MAS correspondence generation system will allow the MACs to create Medicare Redetermination Notifications in accordance with 42 Code of Federal Regulations (CFR) 405.940-958 and Pub. 100-04, Chapter 29, Section 310. The MAS document generation system provides a system interface that utilizes MAS data and pre-designed templates to produce redetermination correspondence. The MAS document generation system will have the following document templates: Dismissal – Untimely Filing, Dismissal – Invalid Appeal, Redetermination Decision, Redetermination Decision - Claim Paid, Request for Additional	X											

Number	Requirement	Responsibility											
		A/B MAC			DME MAC	FI	CARRIER	RHHI	Shared-System Maintainers				Other
		A	B	HHH					FISS	MCS	VMS	CWF	
	Information, and a blank template with simple headings and appeal information. Due to MAS implementation, contractors shall no longer be required to send the following forms of correspondence: 1. Redetermination request acknowledgement letters 2. Fully favorable Medicare redetermination notifications													
8354.11	Tracking Clerical Error Reopenings (CERs), and Non-Clerical Error Reopenings (Non-CERs) in MAS There will be three fields used to track CERs and Non-CERs in MAS ("Initial Determination Reopening Type", "Initial Determination Reopening Reason" and "Initiated By") with two values for each field. The "Initial Determination Reopening Type" field will have the values of "CER – Init Determination" and "Non-CER – Init Determination". The "Initial Determination Reopening Reason" field will have the values of "Contractor Error" and "Provider Error". The "Initiated By" field will have the values of "Claimant Initiated" and "Own Motion". These values will allow MACs participating in the MAS Phase I implementation to accurately reflect the existing lines for the CMS 2592 reports.	X											

III.   PROVIDER EDUCATION TABLE

Number	Requirement	Responsibility					
		A/B MAC	DME	FI	CAR	RHH	Other

		A	B	H H H	M A C	R I E R	I	
	None							

IV. SUPPORTING INFORMATION

Section A: Recommendations and supporting information associated with listed requirements: N/A

"Should" denotes a recommendation.

X-Ref Requirement Number	Recommendations or other supporting information:

Section B: All other recommendations and supporting information: This CR provides the participating Medicare Administrative Contractors (MACs) with the operational and business requirements they will need to utilize MAS to enter and track information regarding the progress and disposition of each Part A redetermination and reopening in accordance with CMS policy and regulations.

V. CONTACTS

Pre-Implementation Contact(s): Kimberly Snowden, 410-786-3177 or Kimberly.Snowden@cms.hhs.gov, Aaron Pleines, 410-786-2137 or Aaron.Pleines@cms.hhs.gov.

Post-Implementation Contact(s): Contact your Contracting Officer's Representative (COR) or Contractor Manager, as applicable.

VI. FUNDING

Section A: For Fiscal Intermediaries (FIs), Regional Home Health Intermediaries (RHHIs), and/or Carriers:
Funding or implementation activities will be provided to contractors through the regular budget process.

Section B: For Medicare Administrative Contractors (MACs):
The Medicare Administrative Contractor is hereby advised that this constitutes technical direction as defined in your contract. CMS do not construe this as a change to the MAC Statement of Work. The contractor is not obligated to incur costs in excess of the amounts allotted in your contract unless and until specifically authorized by the Contracting Officer. If the contractor considers anything provided, as described above, to be outside the current scope of work, the contractor shall withhold performance on the part(s) in question and immediately notify the Contracting Officer, in writing or by e-mail, and request formal directions regarding continued performance requirements.

Attachments (2)

Centers for Medicare & Medicaid Services

CMS eXpedited Life Cycle (XLC)

Medical Appeals System/MAS

Interface Control Document

Version 1.0

03/26/2013

Document Number: ICD_EXT_WEB_SERVICE_01.00.00

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1.   Purpose of Interface Control

This Interface Control Document (ICD) documents and tracks the necessary information required to effectively define the MAS Appeal Intake Web Service interface as well as any rules for communicating with them in order to give the development team guidance on architecture of the system to be developed. The purpose of this ICD is to clearly communicate all possible inputs and outputs from the system for all potential actions whether they are internal to the system or transparent to system users. This document is created during the Planning and Design Phases of the project. Its intended audience is the project manager, project team, development team, and stakeholders interested in interfacing with the system. This ICD helps ensure compatibility between system segments and components.

2.   Introduction

This Interface Control Document (ICD) describes the relationship between the Medical Appeal System Appeal Intake Web Service clients (the source systems) and the MAS Application (the target system).

This ICD specifies the interface requirements to be met by the participating systems. It describes the concept of operations for the interface, defines the message structure and protocols that govern the interchange of data, and identifies the communication paths along which the data are expected to flow.

For each interface, the following information will be provided:

- A general description of the interface;
- Assumptions where appropriate;
- A description of the data exchange format and protocol for exchange; and
- Estimated size and frequency of data exchange

3.   Overview

MAS provides for case management across all levels of Medicare appeals in a unified system. MAS is a Siebel case management application that conforms to CMS 3 Tier architecture guidelines and uses the OIS Enterprise Content Management (ECM) system to store, index and retrieve unstructured data during the processing of a Medicare appeal.

The MAS Appeal Intake Web Services use industry standards for Service Oriented Architecture (SOA). Web services allow network-enabled, XML-aware applications to invoke a web service request regardless of the programming language or operating system involved. The Web services model is built on existing and emerging standards, such as Extensible Markup Language (XML), Simple Object Access Protocol (SOAP), Hyper Text Transfer Protocol (HTTP), and the Web Services Description Language (WSDL). The Web services model leverages these technologies and protocols to provide an environment that makes application integration easier, faster, and more cost effective.

4.   Assumptions/Constraints/Risks

4.1   Assumptions

The following assumptions have been made regarding the MAS Appeal Intake Web Service:

- MAS and all external systems meet or exceed MAS availability and performance requirements including data center connectivity between MAS and OIS ECM.
- All web service communications will be initiated by the external client.
- All web service communications will be stateless and require authentication data with valid user ids and passwords to access the MAS Siebel application and ECM

4.2   Constraints

- None

4.3   Risks

- Document Virus detection and protection will be implemented only based on Virus Scanning infrastructure and APIs availability.

- Non-availability of virus scanning interface may result in virus or unwanted programs on server environment, leading to loss of functionality.

- An accurate assessment of possible load on the application is not feasible, due to non-availability of sufficient information to estimate.

5.   General Interface Requirements

5.1   Interface Overview

The purpose of the MAS Appeal Intake Web Service is to receive indexed case files to MAS from Medicare Administrative Contractors (MACs). MACs receive paper submissions in their mailrooms that are scanned and indexed to meet the processing needs of the web service. Each MAC then sends records that as a submission to MAS for record creation. Once received, MAS uses the information to generate an appeal, record additional information on an appeal, or reopen a claim, and store the corresponding electronic file.

The MAS Appeal Intake Web Service interface is based on a messaging communications model in which XML documents are exchanged between service clients and servers. The XML document contains all of the details needed to specify the operation to be performed and the MAS object on which the operation is to be performed. The document messaging based model that the XML specification was developed on allows ordinary data that is usually stored in a proprietary format to be transferred in an open format that is self-describing, self-validating, and human readable. When a web service uses XML document messaging, it can use the full capabilities of XML to describe and validate a high-level business document. The document messaging model makes object exchange more flexible because the design of a business document is often well suited to object-oriented architectures. As a result, two applications can be designed to exchange the state of an object by using XML. In contrast with object serialization in an object exchange, each end of the exchange is free to design the object as

needed if the exchange conforms to the XML document format. Many current industry-specific XML schemas are designed as client-server architectures in which the processing that is done at the client is separate from the processing intended at the server. As is often the case, the client is simply requesting or saving information in a specific document format that persists on the server

5.2   Functional Allocation

The following methods are written for the appeal intake web service:

- createNewAppeal

- receiveAdditionalInfo

5.3   Data Transfer

The main component in the MAS Appeal Intake Web Service involves the requester (consumer), the web service server (producer), IBM Content Manager and Siebel web service. Here is the general interaction flow of the main component of the MAS Appeal Intake Web Service:
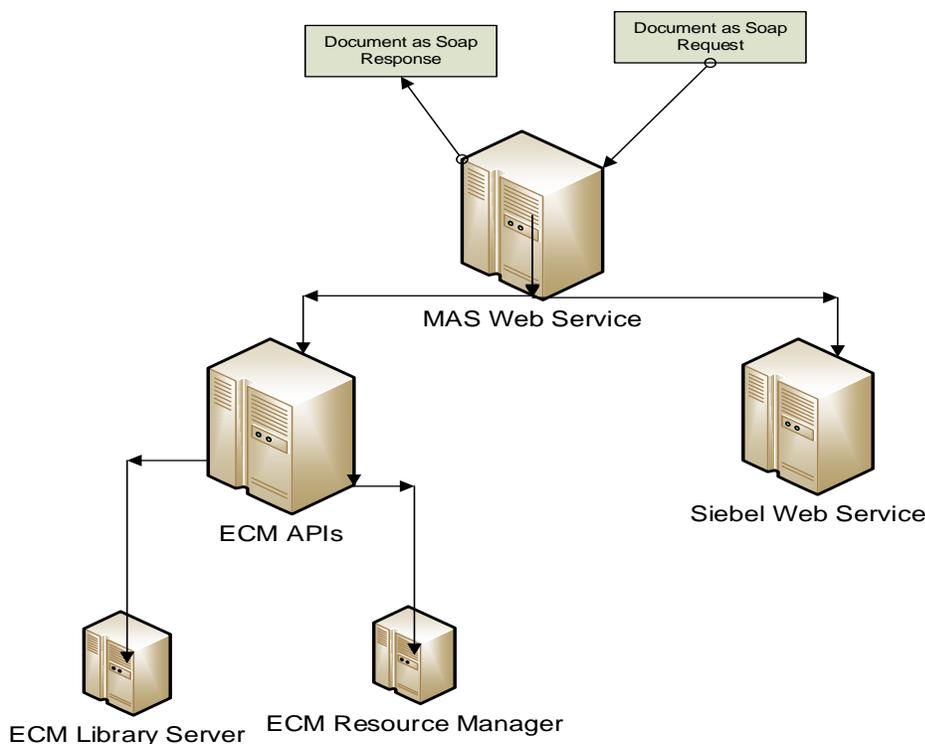
Any files that need to accompany the web service request must be sent to MAS via the CMS Enterprise File Transfer (EFT) system. EFT files must follow strict naming standards that are

detailed in Section 6.3.

5.4   Transactions

Every request will be considered a single unit of work and independent. All data within the request will either be processed completely or rolled back due to errors. Any error that is encountered during processing will be communicated back to the calling application (client) as part of the response messages that are generated by the MAS Appeal Intake Web Service.

5.5   Security and Integrity

Authentication and authorization of the MAS Appeal Intake Web Services will be performed by the CMS Enterprise IBM DataPower XML Gateway. All web service requests must be authenticated by X.509 client certificates.

6.   Detailed Interface Requirements

The interfaces for the MAS Appeal Intake Web Service define all the available operations in detail in the WSDL. The WSDL also refers to XML schemas that define the request and response messages for each operation and the constructing elements for these messages. When the WSDL and XML schemas are translated into proxy classes of a particular programming environment, the proxy classes can provide APIs to help build request messages and decompose the response messages for client applications. Therefore, the client developers do not need to assemble or disassemble the XML messages manually. The proxy classes are strong-typed, which prevents the errors that can occur while assembling or disassembling the XML message manually. This is the generator style of the web services interface which allows for quickly prototyping a web service client as it allows for a completely class-based method of building requests and interacting with the web service.

Tools like WSDL.exe (.NET) or WSDL2Java (Java) can be used to generate APIs of proxy code for the specific web service that will represent each of the operations invoked as well as the item types defined by the WSDL.

The following specific web services are detailed in this interface.

CreateNewAppeal

> This web service operation creates a new appeal in the MAS application. The caller will pass the new appeal's metadata along with case file document information, if applicable, in the request. The MAS Appeal Intake Web Service will return a new appeal number upon success or error message upon failure.

ReceiveAdditionalInfo

> This web service operation adds additional information to the appeal. The caller will pass the appeal number and organization metdata, along with case file document information, if applicable, in the request. The MAS Appeal Intake Web Service will return a status and message upon success or failure.

6.1   Requirements for CreateNewAppeal

6.1.1   Assumptions

- The environment and all external systems meet or exceed MAS availability and performance requirements.
- Client has access to CMS Enterprise File Transfer (EFT) to transfer case files from client to server.
- II4C has been installed on all MAS servers that communicate with OIS ECM.

6.1.2   General Processing Steps
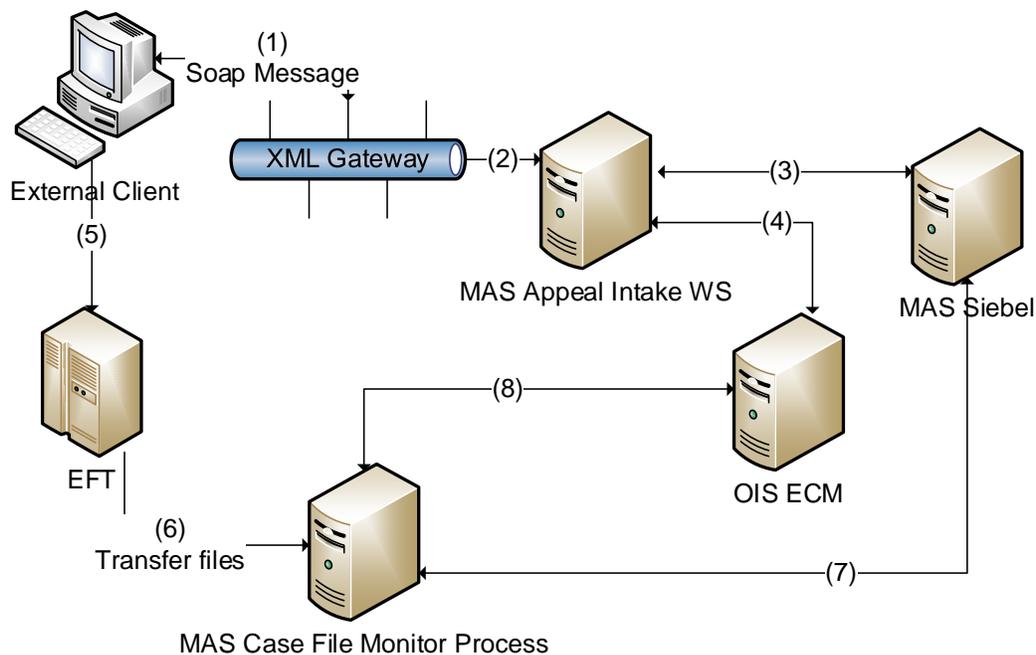
Appeal Intake Web Service clients will call the MAS Appeal Intake Web Service to create an appeal. The web service will process the request and call MAS Siebel to create a MAS appeal record and an ECM folder for case files.

6.1.3   Interface Processing Time Requirements

Response time requirements, which are impacted by resources and beyond the control of the interfacing systems (i.e., communication networks, EFT) are beyond the scope of this ICD.

6.1.4   Message Format

Request:

<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
xmlns:mas="http://mas.schema.services.cms.cgi.com/">

```
    <soapenv:Header/>
    <soapenv:Body>
      <mas:createAppealRequest>
        <org>
          <mas:mac>MAC name</mas:mac>
          <mas:jurisdiction>Jurisdiction Name (JA, JF, etc)</mas:jurisdiction>
        </org>
        <requestDate>YYYY-MM-DD</requestDate>
        <contractNum>Contract Number</ contractNum >
        <!--Optional:-->
        <documentList>
          <!--Zero or more repetitions:-->
          <mas:document>
            <mas:fileId>EFT file identifier (F1234567)</mas:fileId>
            <mas:checksum>MD5 checksum</mas:checksum>
            <mas:fileName>Case File.pdf</mas:fileName>
          </mas:document>
        </documentList>
        <!--Optional:-->
        <claimList>
          <!--Zero or more repetitions:-->
          <claim>
            <claimNum>Claim Number</claimNum>
            <hicNum>HIC Number</hicNum>
          </claim>
        </claimList>
      </mas:createAppealRequest>
    </soapenv:Body>
  </soapenv:Envelope>
```

Successful Response:

```
<soap:Envelope xmlns:soap="http://schemas.xmlsoap.org/soap/envelope/"
xmlns:mas="http://mas.schema.services.cms.cgi.com/">
  <soap:Body>
    <mas:createAppealResponse >
```

```
      <mas:appealNumber>Appeal Number</mas:appealNumber>

      <mas:status>true</mas:status>

      <mas:messageList/>

    </mas:createAppealResponse>

  </soap:Body>

</soap:Envelope>
```

Error Response:

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
xmlns:mas="http://mas.schema.services.cms.cgi.com/">

  <soap:Body>

    <mas:createAppealResponse

      <mas:appealNumber>Appeal Number</mas:appealNumber>

      <mas:status>false</mas:status>

      <mas:messageList>

        <mas:errorMessage>

          <mas:errorCode>ECM-101</mas:errorCode>

          <mas:errorMessage>Invalid claim number</mas:errorMessage>

        </mas:errorMessage>

      </mas:messageList>

    </mas:createAppealResponse>

  </soap:Body>

</soap:Envelope>
```

6.1.4.1   File Layout

The XSD files outlining and defining the required XML Message formats for the request and response messages to and from EWSI define the interaction between the participating systems.

6.1.4.2   Field/Element Definition

Table 1: CreateAppeal Request

Name	DataType	Description
appealRequestDate	Calendar	Create Appeal Request Date
mac	String	MAC name

jurisdiction	String	Jurisdiction
requestDate	String	Date of Appeal Request
contractNum	String	Contract Number
claimNum	String	Claim Number
hicNum	String	HIC Number
fileId	String	EFT File ID
fileName	String	Original Name of Case File document
checksum	String	MD5 checksum of document

Table 2: CreateAppeal Response

Name	DataType	Description
appealNumber	String	MAS appeal number
status	String	Boolean status variable
errorCode	Boolean	MAS error code
errorMessage	String	Error message to describe the error code

6.1.5 Communication Methods

Communication will take advantage of the Simple Access Object Protocol (SOAP) over HTTP. The SOAP message contains the following elements:

- Envelope
    - o Header (optional)
    - o Body
- Attachments (optional)

The SOAP message envelope contains the header and the body of the message. The SOAP message attachments enable the message to contain data, which can include XML and non-XML data (such as text and binary files). SOAP headers are used to describe the context and the purpose of the message. SOAP headers also provide mechanisms to extend a SOAP message for adding features and defining functions such as security, priority, and auditing interface initiation.

6.1.6 Security Requirements

.

6.2 Requirements for ReceiveAdditionalInfo

6.2.1 Assumptions

- The environment and all external systems meet or exceed MAS availability and performance requirements.
- Client has access to CMS Enterprise File Transfer (EFT) to transfer case files from client to server.
- II4C has been installed on all MAS servers that communicate with OIS ECM.

6.2.2 General Processing Steps
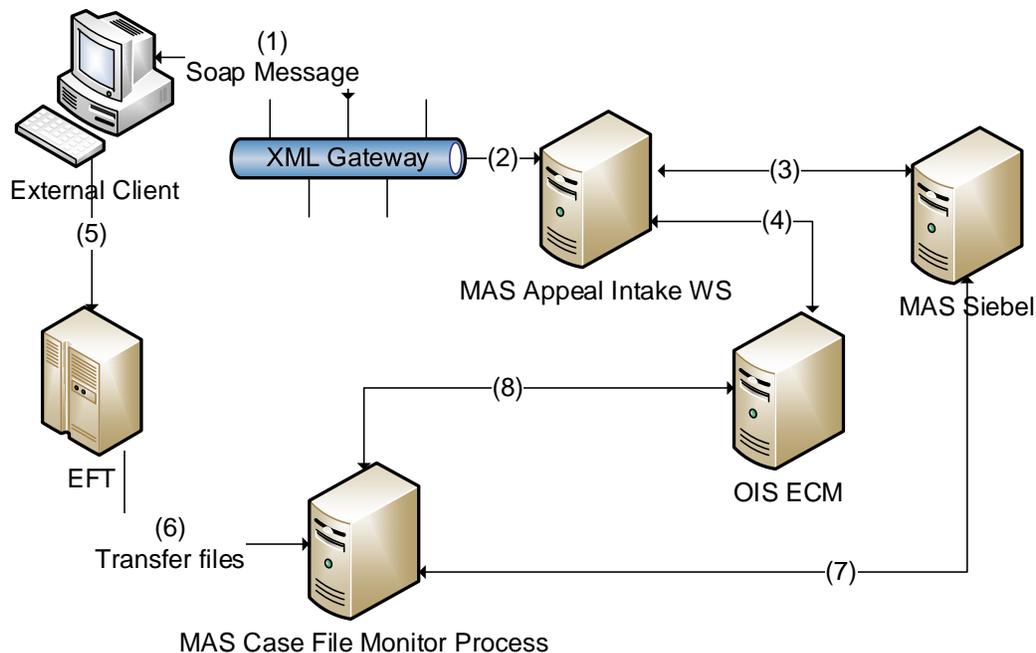
Appeal Intake Web Service clients will call the MAS Appeal Intake Web Service to receive additional appeal information. The web service will process the request and call MAS Siebel to import the additional information.

6.2.3 Interface Processing Time Requirements

Response time requirements, which are impacted by resources and beyond the control of the interfacing systems (i.e., communication networks, EFT) are beyond the scope of this ICD.

6.2.4 Message Format

Request:

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
xmlns:mas="http://mas.schema.services.cms.cgi.com/">

  <soapenv:Header/>

  <soapenv:Body>

    <mas:receiveAdditionalInfoRequest>

      <appealNumber>Appeal Number</appealNumber>

      <org>

        <mas:mac>MAC Name</mas:mac>

        <mas:jurisdiction> Jurisdiction Name (JA, JF, etc)</mas:jurisdiction>

      </org>

      <documentList>

        <!--Zero or more repetitions:-->

        <mas:document>

          <mas:fileId>EFT file identifier (F1234567)</mas:fileId>

          <mas:checksum>MD5 checksum</mas:checksum>

          <mas:fileName>Case File.pdf</mas:fileName>

        </mas:document>

      </documentList>

    </mas:receiveAdditionalInfoRequest >

  </soapenv:Body>

</soapenv:Envelope>
```

Successful Response:

```
<soap:Envelope xmlns:soap="http://schemas.xmlsoap.org/soap/envelope/"
xmlns:mas="http://mas.schema.services.cms.cgi.com/">

  <soap:Body>

    <mas:receiveAdditionalInfoResponse>

      <mas:status>true</mas:status>

      <mas:messageList/>

    </mas:receiveAdditionalInfoResponse>
```

```
    </soap:Body>
</soap:Envelope>
```

Error Response:

```
<soap:Envelope xmlns:soap="http://schemas.xmlsoap.org/soap/envelope/"
xmlns:mas="http://mas.schema.services.cms.cgi.com/">
  <soap:Body>
    <mas:receiveAdditionalInfoResponse>
      <mas:status>false</mas:status>
      <mas:messageList>
        <mas:errorMessage>
          <mas:errorCode>ECM-101</mas:errorCode>
          <mas:errorMessage>Invalid claim number</mas:errorMessage>
        </mas:errorMessage>
      </mas:messageList>
    </mas:receiveAdditionalInfoResponse>
  </soap:Body>
</soap:Envelope>
```

6.2.4.1   File Layout

The XSD files outlining and defining the required XML Message formats for the request and response messages to and from EWSI define the interaction between the participating systems.

6.2.4.2   Field/Element Definition

Table 3: ReceiveAdditionalInfo Request

Name	DataType	Description
appealNumber	String	MAS Appeal Number
mac	String	MAC name
jurisdiction	String	Jurisdiction
fileId	String	EFT File ID
fileName	String	Original Name of Case File document

checksum	String	MD5 checksum of document

Table 4: ReceiveAdditionalInfo Response

Name	DataType	Description
status	String	Boolean status value
errCode	Boolean	MAS error code
errMessage	String	Error message to describe the error code

6.2.5 Communication Methods

Communication will take advantage of the Simple Access Object Protocol (SOAP) over HTTP. The SOAP message contains the following elements:

- Envelope
  - o Header (optional)
  - o Body
- Attachments (optional)

The SOAP message envelope contains the header and the body of the message. The SOAP message attachments enable the message to contain data, which can include XML and non-XML data (such as text and binary files). SOAP headers are used to describe the context and the purpose of the message. SOAP headers also provide mechanisms to extend a SOAP message for adding features and defining functions such as security, priority, and auditing interface initiation.

6.2.6 Security Requirements

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6.3   Requirements for EFT File Transfers

6.3.1 Assumptions
- Client has access to CMS Enterprise File Transfer (EFT) to transfer case files from client to server.
- II4C has been installed on all MAS servers that communicate with OIS ECM.

6.3.2 General Processing Steps
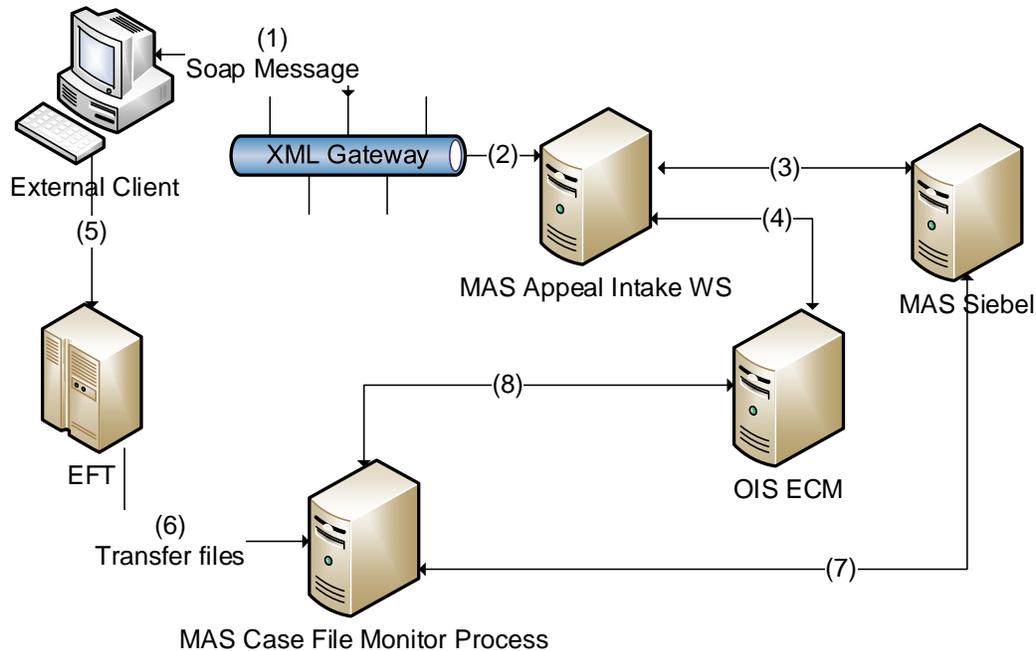
The document metadata that describes the filename and checksum of each case file will be transmitted in the SOAP web service requests as detailed in the previous sections. The case files will then be transferred via the CMS EFT system to MAS. A case file monitoring process monitors the folder on the MAS servers into which case files are placed by EFT. The monitor process will then create a Siebel document record and transfer the document content to the ECM repository.

6.3.3   Interface Processing Time Requirements

Response time requirements, which are impacted by resources and beyond the control of the interfacing systems (i.e., communication networks, EFT) are beyond the scope of this ICD.

6.3.4   Message Format

6.3.4.1   File Layout

All files must follow the strict naming conventions enforced by the EFT system. Any files that do not follow the naming convention will not be transferred to MAS.

Each file will include the necessary naming conventions components separated by a period:

- Example EFT Input File Names

    o T.MAP.A78G324H.tiff

    o P.MAP.CJW827OS.pdf

- Example EFT Output File Names

- o A78G324H.D130303.T1541342.tiff

- o CJW827OS.D130302.T0843569.pdf

6.3.4.2   Field/Element Definition

Table 5: User Generated Naming Convention Components

Component	Description	Example
Environment Identifier	Designates Production or Testing	T (for Test) P (for Production)
EFT System Identifier	EFT Designator for MAS	MAP
Unique File Identifier	EFT Unique File Name, must begin with either A, B or C followed by 7 alphanumeric characters	A8Q3MO72 BU46O1NX CR39C682
File Extension	Extension of the file	csv pdf tiff

Table 6: Auto Generated Naming Convention Components

Component	Description	Example
Date Stamp	Designates the day, month and year the file was received by EFT prepended with a D. The format of the date stamp is YYMMDD	D130724 D130316
Time Stamp	Designates the hour, minute, second and tenth of a second the file was received by EFT prepended with a T. The format of the time stamp is HHmmsst.	T0838294 T2247518

6.3.5   Communication Methods

All files will be sent to the EFT server using SFTP. An SFTP client will initiate the connection to the EFT Internet Server. Once the files have been transferred to the EFT server, EFT will send the files to the MAS server.

6.3.6   Security Requirements

Each connection to the EFT Internet Server must be authenticated using an IACS ID and password. When the user connects the EFT Internet Server, the server will prompt for IACS credentials. Once the user enters the IACS credentials, the files can be transferred to the EFT folder for MAS files.

Appendix A: Interface Controls

There are no appendices for this document.

Acronyms

Table 7: Acronyms

Acronym	Literal Translation
CMS	Centers for Medicare & Medicaid Services
ICD	Interface Control Document
LDM	Logical Data Model
SDD	System Design Document
MAS	Medical Appeal System
EFT	Enterprise File Transfer
ECM	Enterprise Content Management
OIS	Office of Information Services
XML	Extensible Markup Language
SOAP	Simple Object Access Protocol
HTTP	Hyper Text Transfer Protocol
WSDL	Web Services Description Language

Glossary

Table 8: Glossary

Term	Definition

Referenced Documents

Table 9: Referenced Documents

Document Name	Document Number and/or URL	Issuance Date

Record of Changes

Table 10: Record of Changes

Version Number	Date	Author/Owner	Description of Change
0.1	03/04/2013	Minh Nguyen	Draft Version
1.0	03/06/2013	Ryan Brady	Development Lead Review

Approvals

The undersigned acknowledge that they have reviewed the Interface Control Document and agree with the information presented within this document. Changes to this Interface Control Document will be coordinated with, and approved by, the undersigned, or their designated representatives.

Signature:	_____	Date:	_____
Print Name:	_____		
Title:	_____		
Role:	Submitting Organization's Approving Authority		

Signature:	_____	Date:	_____
Print Name:	_____		
Title:	_____		
Role:	CMS' Approving Authority		

Signature:	_____	Date:	_____
Print Name:	_____		
Title:	_____		
Role:	CMS Business Owner		

MAS: Level 1 ICD Review

May 09, 2013

Interface to MAS

- MAS will provide a web service interface to allow automatic creation of appeals without using the MAS web interface.

- Appeal metadata will be transferred to MAS via a SOAP web service.

- Case file documents will be transferred to MAS via CMS Enterprise File Transfer.

- Note: The EFT system can cause a delay before case files are available in MAS.

Interface to MAS
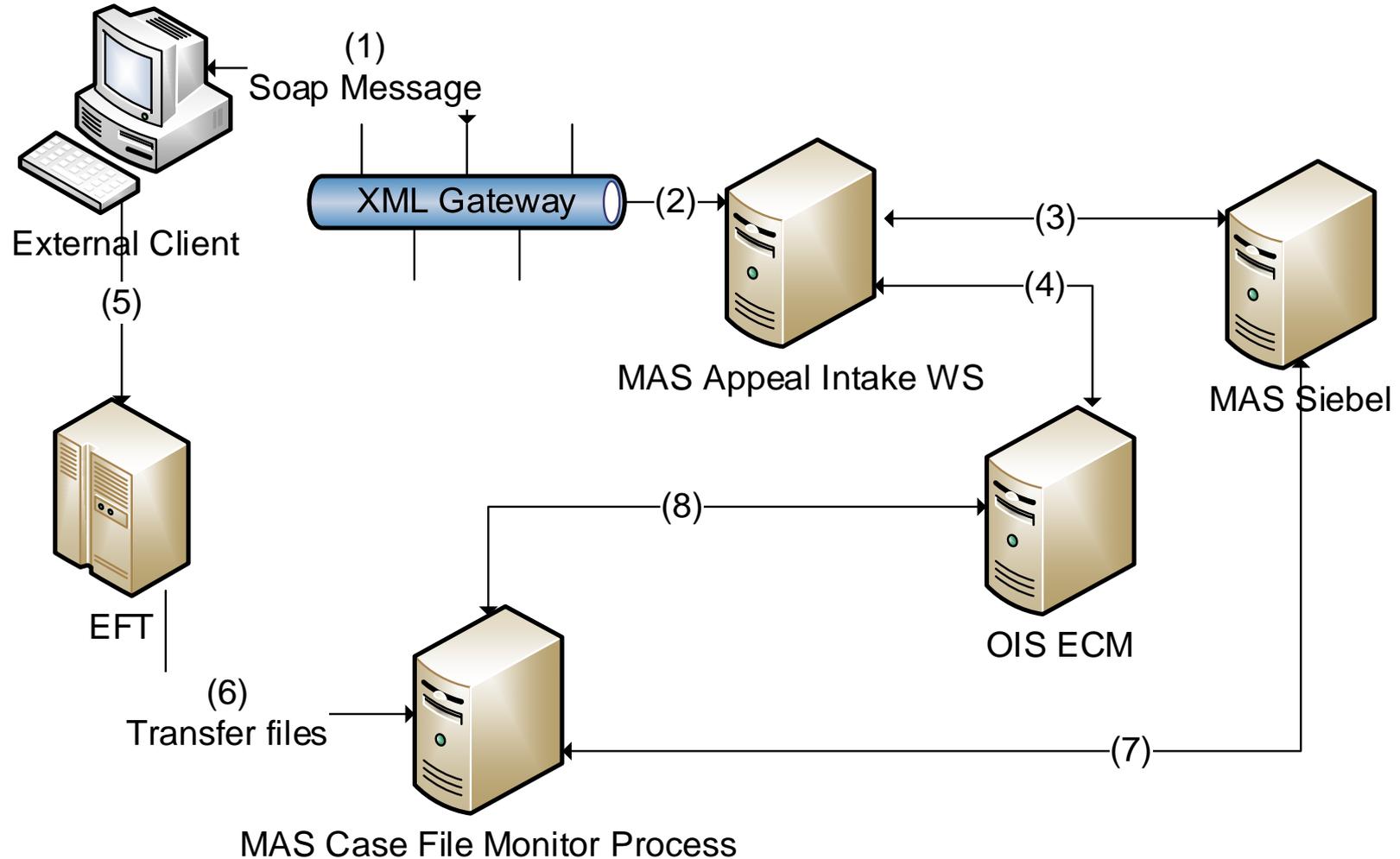
Sample Request & Response

```
<mas:createAppealRequest>
  <org>
    <mas:mac>MAC name</mas:mac>
    <mas:jurisdiction>JA, JF, etc</mas:jurisdiction>
  </org>
  <requestDate>YYYY-MM-DD</requestDate>
  <contractNum>Contract Number</ contractNum >
  <documentList> <!--Optional:-->
    <mas:document>  <!--Zero or more repetitions:-->
      <mas:fileId>EFT file ID (F1234567)</mas:fileId>
      <mas:checksum>MD5 checksum</mas:checksum>
      <mas:fileName>Case File.pdf</mas:fileName>
    </mas:document>
  </documentList>
  <claimList>  <!--Optional:-->
    <claim>  <!--Zero or more repetitions:-->
      <claimNum>Claim Number</claimNum>
      <hicNum>HIC Number</hicNum>
    </claim>
  </claimList>
</mas:createAppealRequest>
```

```
<mas:createAppealResponse >
    <mas:appealNumber>Appeal#</mas:appealNumber>
    <mas:status>true</mas:status>
    <mas:messageList/> <!--Optional:-->
</mas:createAppealResponse>
```

Next Steps

- MACs begin developing the client side connection according to ICD, WSDL and XSDs

- Web Service will be accessible in CMS Dev environment for MACs to connect and test

- Set up of CMS Dev environment is in progress