

<b>CMS Manual System</b>	<b>Department of Health &amp; Human Services (DHHS)</b>
<b>Pub 100-20 One-Time Notification</b>	<b>Centers for Medicare &amp; Medicaid Services (CMS)</b>
<b>Transmittal 1711</b>	<b>Date: August 26, 2016</b>
	<b>Change Request 9683</b>

**SUBJECT: Medicare Appeals System (MAS) Level 1 Part A and Home, Heath, Hospice (HHH) Onboarding Effort**

**I. SUMMARY OF CHANGES:** The purpose of this CR is to notify the Contractors of the upcoming Level 1 onboarding effort for the remaining Part A and Home, Heath, Hospice (HHH) to the Medicare Appeals System (MAS). This CR will provide the Medicare Administrative Contractors (MACs) with the communication plans, operatonal requirements, 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:** this Level 1 onboarding effort will focus on Part A and HHH.)

**EFFECTIVE DATE: November 29, 2016**

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

**IMPLEMENTATION DATE: The functionality to support the level 1 process must be implemented by December 31, 2016. The phased in onboarding of MAS for the remaining Part A MACs will occur beginning January 1, 2017 through April 30, 2017 as scheduled by CMS.**

*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.

<b>R/N/D</b>	<b>CHAPTER / SECTION / SUBSECTION / TITLE</b>
N/A	N/A

**III. FUNDING:**

**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 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.

**IV. ATTACHMENTS:**

**One Time Notification**  
**Attachment - One-Time Notification**

<b>Pub. 100-20</b>	<b>Transmittal: 1711</b>	<b>Date: August 26, 2016</b>	<b>Change Request: 9683</b>
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**SUBJECT: Medicare Appeals System (MAS) Level 1 Part A and Home, Health, Hospice (HHH) Onboarding Effort**

**EFFECTIVE DATE: November 29, 2016**

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

**IMPLEMENTATION DATE: The functionality to support the level 1 process must be implemented by December 31, 2016. The phased in onboarding of MAS for the remaining Part A MACs will occur beginning January 1, 2017 through April 30, 2017 as scheduled by CMS.**

**I. GENERAL INFORMATION**

**A. Background:** In 2014, the Centers for Medicare & Medicaid Services (CMS) worked with specific Part A Medicare Administrative Contractors (MACs) for the implementation of the Level 1 Medicare Appeals System (MAS) effort under Change Request (CR) 8354. This effort is to onboard the remaining Part A and Home, Health, Hospice (HHH) MACs. 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 by December 31, 2016. Each MAC contractor is implementing MAS in a phased in approach, beginning January 1, 2017 through April 30, 2017 as agreed upon with CMS. The remaining Part A MACs are:

CGS Administrators, LLC.

First Coast Service Options

National Government Services (NGS)

Palmetto Government Benefits Administrator, LLC

Only the Part A and HHH contractors of the MACs identified above are impacted by this CR. (NOTE: all references to "Contractors" throughout the CR refers just to the Part A and HHH contractors from CGS, First Coast, NGS, and Palmetto.)

**B. Policy:** Regulations at 42 CFR 405.940-405.942 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	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	
9683.1	<p><u>MAS Information and Design Gathering Sessions</u></p> <p>The Contractors shall attend gathering/informational sessions discussing the level 1 MAS onboarding effort. These sessions will occur through conference calls and webinars, as required from June 2016 through December 2016.</p>	X		X								
9683.1.1	<p><u>MAS Information and Design Gathering Sessions</u></p> <p>CMS will notify the Contractors via email when the initial webinar is scheduled. Contractors shall anticipate to attend approximately 25 sessions in preparation of this effort.</p>	X		X								
9683.2	<p><u>MAS Upgrade Technical Considerations</u></p> <p>MAC users of MAS shall ensure that the PC hardware and software used to access MAS meets the following minimum specifications:</p> <ul style="list-style-type: none"> <li>• Web Browser, Internet Explorer 11.0 Internet Explorer is required for optimal performance of the MAS image viewer.</li> <li>• MAS requires Compatibility View when using Internet Explorer Version 11.</li> <li>• Adding the MAS URL as a trusted site is required for the proper operation.</li> <li>• The MAS Imaging viewer applet supports Java version 1.8.</li> </ul>	X		X								
9683.3	<p><u>Establish MAS Connectivity and Perform MAS Testing</u></p> <p>The Contractor shall ensure that appropriate staff are able to access the MAS Production, Test and Validation (T&amp;V) and Development through the Medicare Data Center Network (MDCN).</p>	X		X								

Number	Requirement	Responsibility								Other
		A/B MAC		H H H M A C	D M E M I S S	Shared- System Maintainers				
		A	B			F I S S	M C S	V M S	C W F	
9683.3.1	<u>MAS Performance Testing</u>  Once connectivity is established, the Contractors shall test the MAS functionality and electronic image transfer process (see business requirement 4) to ensure that all information required to successfully perform reopenings and redeterminations can be tracked appropriately in MAS.	X		X						
9683.3.2	<u>MAS User Acceptance Testing</u>  The MAC shall also attend, or otherwise participate remotely in, MAS User Acceptance Testing (UAT) for all MAS releases.	X		X						
9683.4	<u>Establish the MAS Enterprise File Transfer (EFT) Process</u>  MACs shall setup a MAS Enterprise File Transfer (EFT) by obtaining an IACS ID and testing the EFT.	X		X						
9683.4.1	<u>Web Service Authentication</u>  Next, MACs shall set up the web services by generating the X.509 certificate, and testing the web service client using authentication via X.509 certificate.	X		X						
9683.4.2	<u>MAS Appeal Intake Implementation</u>  The Contractor shall develop, test, implement, and actively monitor the web services based on the MAS Appeal Intake Web Service ICD (attached).	X		X						
9683.4.3	<u>MAS Web Service Implementation</u>  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	X		X						

Number	Requirement	Responsibility								Other
		A/B MAC			D M E M A C	Shared- System Maintainers				
		A	B	H H H		F I S S	M C S	V M S	C W F	
	CMS systems.									
9683.5	<u>MAS Training</u>  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.	X		X						
9683.6	<u>Data Analysis/Improving the Medicare Appeals Process</u>  As a MAS user, Contractors shall analyze and trend redetermination decisions utilizing the standard reports in the MAS, and/or other materials as appropriate, to provide the Contracting Officer Representative (COR), Program Safeguard Contractor (PSC)/Zone Program Integrity Contractors (ZPICs), Recovery Audit Contractors (RACs), and/or other CMS contractors within the Contractors' jurisdiction with information regarding the appeals activities in the respective jurisdiction.  The reports generated from the MAS will replace all existing reports submitted to CROWD for appeals purposes.	X		X						
9683.6.1	<u>Monthly Reporting</u>  The Contractor shall run monthly compliance reports in MAS for purposes of monitoring Quality Assurance Surveillance Plans (QASP) and Award Fee Plan Metrics.	X		X						
9683.6.2	<u>Semi-Annual Reporting</u>  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,	X		X						

Number	Requirement	Responsibility								Other
		A/B MAC		H H H	D M E M A C	Shared- System Maintainers				
		A	B			F I S S	M C S	V M S	C W F	
	problems/issues in the appeals process, etc.  The Contractor shall also use such findings to improve its operations and the appeals process.									
9683.6.3	<u>AdHoc Reporting</u>  The Contractor shall run and prepare special reports on specific issues or analyses for CMS as required during the course of the contract.	X		X						
9683.6.4	<u>MAS Reporting Administration</u>  Many reports will be in place for the MACs to utilize; however, each MAC shall establish a report administrator to create additional reports as required for their jurisdiction and reporting needs.	X		X						
9683.7	<u>Loading Case File Images Into the MAS</u>  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 4). 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 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.	X		X						
9683.8	<u>Contingency Plan for MAS for Normal Production</u>  The Contractor shall develop and submit a contingency plan by December 1, 2016, for continuing full appeals processing production in case the MAS is unavailable or temporarily inoperable.	X		X						
9683.8.1	<u>MAS Contingency Plan Timeframes</u>  The contingency plan shall distinguish between different time periods of unavailability including (at a minimum) a plan for the system being down for 2	X		X						

Number	Requirement	Responsibility								Other
		A/B MAC		H H H	D M E M A C	Shared- System Maintainers				
		A	B			F I S S	M C S	V M S	C W F	
	hours, 24-48 hours, and 1 week.									
9683.8.2	<u>MAS Contingency Plan scope</u>  The contingency plan shall be a comprehensive contingency plan addressing a partial MAS outage and a full system outage.	X		X						
9683.8.3	<u>MAS Contingency Plan Imaging</u>  The contingency plan shall address a 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. The Contractor shall take into account each aspect of the 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 plans for both the MAS and the MAS imaging system, the Contractor shall account for possible need of electronic or hard copy case files in the event of system failure. (See Attachment A: Sample Contingency Plan)	X		X						
9683.9	<u>Contingency Plan for MAS Implementation</u>  The Contractor shall develop and submit to CMS, 15 days prior to the scheduled onboarding date, 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.	X		X						
9683.9.1	<u>MAS Implementaiton Determination</u>  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. The MAC shall communicate this decision to their Contracting Officer Representative (COR), Business Function Lead (BFL), Kimberly Snowden and Michael Torrisi in writing at the end of each 60 day period.	X		X						

Number	Requirement	Responsibility									
		A/B MAC		H H H M A C	D M E	Shared- System Maintainers				Other	
		A	B			F I S S	M C S	V M S	C W F		
9683.9.2	<u>Contingency Plan for MAS Implementation Scope</u>  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.	X		X							
9683.10	<u>Destruction of Documents</u>  The Contractors 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.	X		X							
9683.10.1	<u>Document Destruction Protocol</u>  The MAC shall submit a protocol for CMS approval by December 1, 2016. This protocol 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. (See Attachment B: Sample Protocol).	X		X							
9683.11	<u>Appeal Case Forwarding</u>  The electronic copy of the case file will be promoted to the level 2 Qualified Independent Contractor through MAS automatically. Therefore, Contractors will no longer be required to separately forward another paper or electronic copy of each redetermination case file.	X		X							

### III. PROVIDER EDUCATION TABLE

Number	Requirement	Responsibility							
		A/B MAC			D M E	C E D I			
		A	B	H H H					
	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):** Michael Torrasi, 410-786-6319 or Michael.Torrasi@cms.hhs.gov , Kimberly Snowden, 410-786-3177 or Kimberly.Snowden@cms.hhs.gov

**Post-Implementation Contact(s):** Contact your Contracting Officer's Representative (COR).

### VI. FUNDING

**Section A: 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 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: 3**

**NOTE: this is a SAMPLE and not a required format. Please note that the contingency plan should address all outages in MAS, Imaging, Cognos (reporting), Siebel (appeals processing), and a complete MAS outage.**

**MAS Contingency Plan**

*Note: As the current MAS and appeals environment changes, the contractor reserves the right to modify this contingency plan as needed.*

This Contingency Plan takes a triage approach for business continuity based on

- how long MAS is expected to be unavailable and
- what functionality within MAS is unavailable

In case MAS is unavailable, the Appeals Managers will enact the following contingency protocol.

1. Notify IT of situation to determine if the outage is due to infrastructure or MAS.
2. If it is determined that it is due to internal issues, enact appropriate internal process to resolve the issue.
3. If it is determined that it is due to MAS:
  - a. notify Management
  - b. contact MAS Support to determine the issue and turnaround time
  - c. Enact the following Triage protocol based on the table below:
    - i. Triage Solution 1: Work on manual work items, such as adjustments.
    - ii. Triage Solution 2: Work from daily reports run by COGNOS
    - iii. Triage Solution 3: Work all new work in legacy system, leaving old appeals in MAS
    - iv. Triage Solution 4: Work all new work in legacy system, and migrate in processed appeals to legacy system using our tracking database.
    - v. Triage Solution 5: Work from reports generated by tracking database and images within internal system
    - vi. Triage Solution 6: Continue to work in MAS, using images from internal system

If	Then	Trigger	Triage Solution	Impact to Operation
The Imaging system is unavailable		System is down 4 hours or less	1 or 6	
		System is down 5 to 48 hours	1 or 6	
		System is down 48 to 72 hours, and CMS has indicated a fix within hour 96.	1 or 6	
		System is down 48 hours, and CMS has indicated no fix available within 48 hours (HOUR 96)	6	
		System is down 1 week and CMS indicates no fix available within 1 week	4	
The Siebel system is unavailable		System is down 4 hours or less	1	

	System is down 5 to 48 hours	1	
	System is down 48 to 72 hours, and CMS has indicated a fix within hour 96	1	
	System is down 48 hours, and CMS has indicated no fix available within 48 hours (HOUR 96)	3	
	System is down 1 week and CMS indicates no fix available within 1 week	4	
The COGNOS system is unavailable	System is down 4 hours or less	1	
	System is down 5 to 48 hours	1	
	System is down 48 to 72 hours, and CMS has indicated a fix within hour 96	5	
	System is down 48 hours, and CMS has indicated no fix available within 48 hours (HOUR 96)	5	
	System is down 1 week and CMS indicates no fix available within 1 week	4	

**NOTE: This is a SAMPLE template ONLY and contractors may submit any protocol which CMS will review and approve.**

## **MAS Appeals Document Destruction Policy**

### **Hardcopy Appeal Requests:**

1. Hardcopy requests for redetermination are received in the Process Control unit.
2. Process Control date stamps the hardcopy requests on the day of receipt.
3. Process Control scans the hardcopy requests in accordance with the Contract Administrative Requirements Manual (IOM 100-1), Chapter 7, Section 30.30.1.4, the creating a local electronic image in the electronic indexing system, and verifying that the image is an exact duplicate of the original document.
4. The Appeals area indexes key information from the electronic scans. This information includes beneficiary Health Insurance Claim (HIC) numbers, standard system claim numbers, line of business, overpayment status, and document type.
5. Following indexing, all metadata and images are stored locally in an image repository and transmitted to the MAS system, generating a work object.
6. Appeals specialists will verify that clear, accurate, and complete images are associated with every appeal generated in MAS as they process the request. The Appeals specialist must verify that the image is an exact duplicate image transmitted from the image repository. This image will serve as the official document of record for the requests moving forward.
7. Process Control will retain hardcopy appeal requests for 120 days (four months) following receipt in the corporate mail room.
8. Process Control will destroy all hardcopy appeal requests that have been in-house for 120 days. This timeframe will allow to adequately verify that an image has been retained in MAS and that the first level redetermination has been completed.
9. In the event that the appeals area experiences an inventory backlog resulting in prolonged processing times greater than 120 days, Appeals management will notify Process Control management that document destruction efforts should suspend until further notice. Appeals management will notify Process Control management when the document destruction process should resume.
10. Legal constraints and corporate policy prevent destruction of local image files retained in the system. Although the images cannot be destroyed, access to the images will be blocked, and will use only the images retained in MAS as the official documents of record.

### **Electronic Appeal Requests:**

1. Electronic requests for redetermination are received via fax or secure internet portal.
2. These requests automatically generate a local electronic image in the indexing system.

3. The Appeals area indexes key information from the electronic images using the system. This information includes beneficiary Health Insurance Claim (HIC) numbers, standard system claim numbers, line of business, overpayment status, and document type.
4. Following indexing, all metadata and images are stored locally in the image repository and transmitted to the MAS system, generating a work object.
5. Appeals specialists will verify that clear, accurate, and complete images are associated with every appeal generated in MAS as they process the request. The Appeals specialist must verify that the image is an exact duplicate image transmitted from the image repository. This image will serve as the official document of record for the requests moving forward.
6. Legal constraints and corporate policy prevent destruction of local image files retained in the system. Although the images cannot be destroyed, access to the images will be blocked, and will use only the images retained in MAS as the official documents of record.

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For instructions on using this template, please see Notes to Author/Template Instructions on page **Error!**  
**Bookmark not defined.**

Notes on accessibility: This template has been tested and is best accessible with JAWS 11.0 or higher.

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## Centers for Medicare & Medicaid Services CMS eXpedited Life Cycle (XLC)

# Medical Appeals System/MAS

## Interface Control Document

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Version 3.0

02/09/2015

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# 1. Purpose of Interface Control

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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

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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

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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

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### 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

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### 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

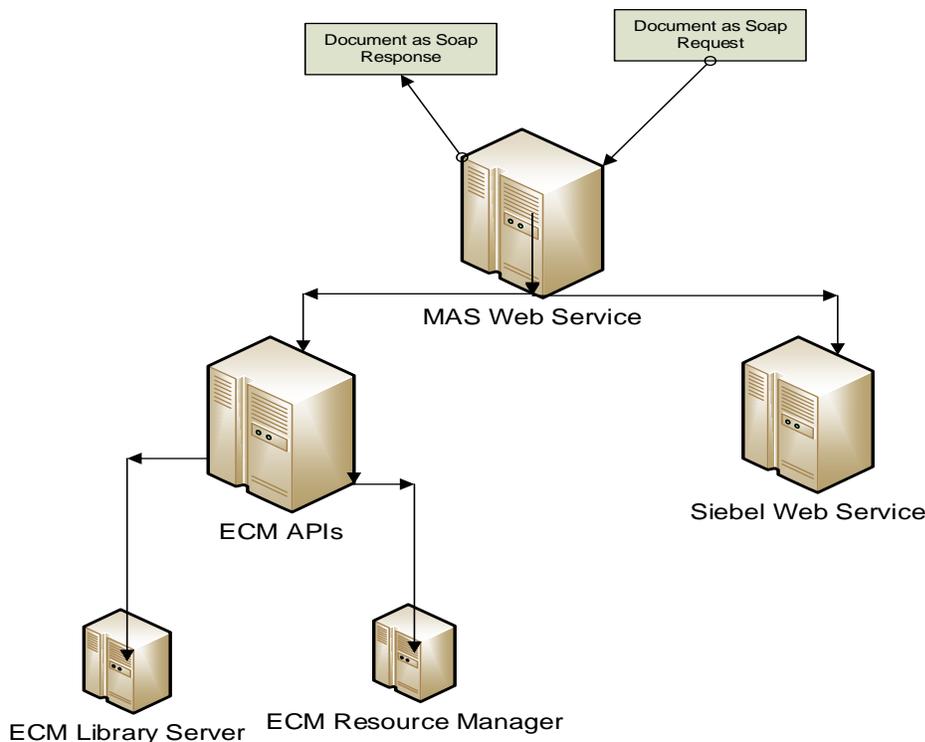
## 5.2 Functional Allocation

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, and a valid security token must be provided with each Web Service request.

# 6. Detailed Interface Requirements

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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**

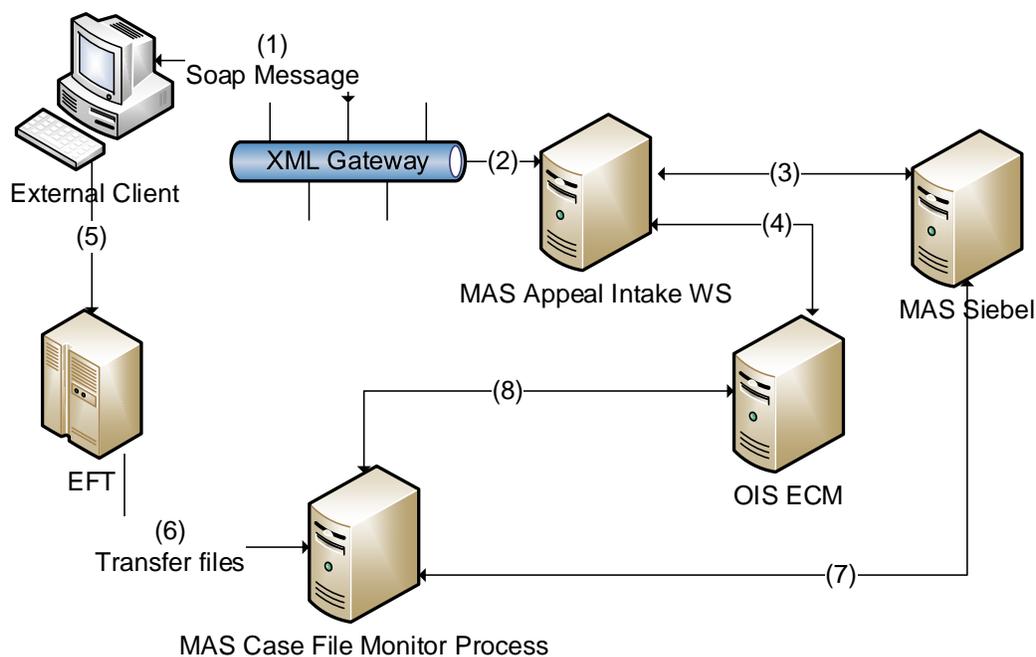
This web service operation adds additional information to the appeal. The caller will pass the appeal number and organization metadata, along with case file document information, if applicable, in the request. The MAS Appeal Intake Web Service will return a status and message upon success or failure.

## 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>
    <contractNumber>Contract Number</contractNumber>
    <cert>Public Key of X.509 Cert</cert>
    <!--Optional:-->
    <documentList>
      <!--Zero or more repetitions:-->
      <mas:document>
        <mas:fileId>EFT file identifier (eg: F1234567)</mas:fileId>
        <mas:checksum>MD5 checksum</mas:checksum>
        <mas:fileName>Original File Name (eg: Case File.pdf)</mas:fileName>
      </mas:document>
    </documentList>
    <!--Optional:-->
    <claimList>
      <!--Zero or more repetitions:-->
      <claim>
        <claimNum>Claim Number</claimNum>
        <hicNumber>HIC Number</hicNumber>
      </claim>
    </claimList>
    <!--Optional:-->
    <token>Security Token </token>
  </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
------	----------	-------------

requestDate	Date	Create Appeal Request Date
mac	String	MAC name
jurisdiction	String	Jurisdiction
contractNumber	String	CMS Contract Number
cert	String	Public Key of X.509 Certificate
claimNum	String	Claim Number
hicNumber	String	HIC Number
fileId	String	EFT File ID
fileName	String	Original Name of Case File document
checksum	String	MD5 checksum of document
token	String	Security Token used for authentication

Table 2: CreateAppeal Response

Name	Data Type	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
  - Header (optional)
  - 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.

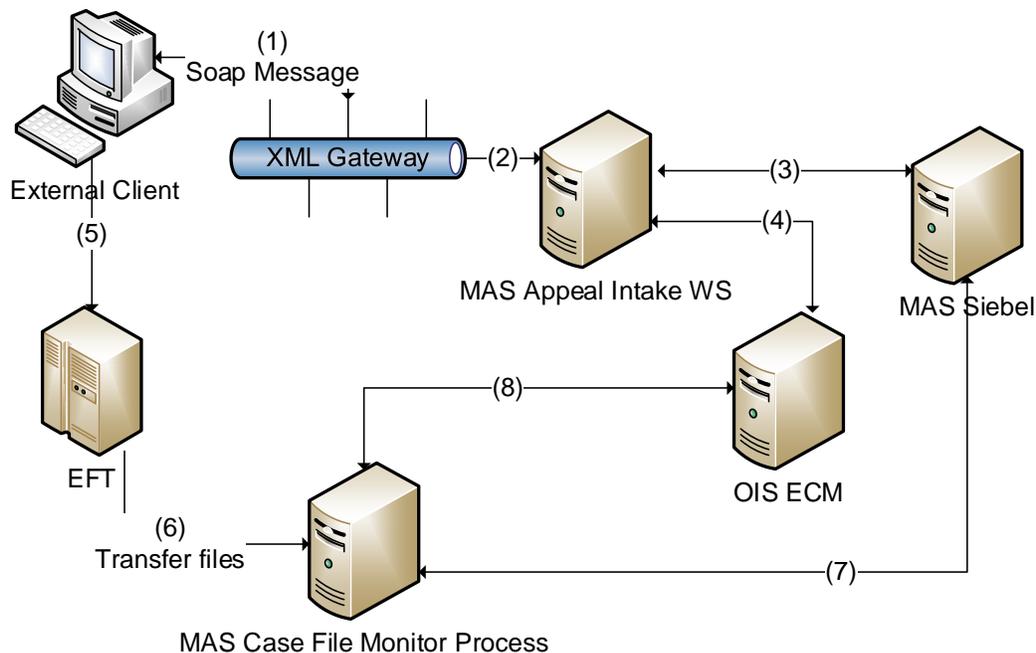
### 6.1.6 Security Requirements

## 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>
      <cert>Public Key of X.509 Cert</cert>
      <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:-->
      <token> Security Token </token>
    </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:appealNumber>Appeal Number</mas:appealNumber >

    <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	Data Type	Description
appealNumber	String	MAS Appeal Number
mac	String	MAC name

jurisdiction	String	Jurisdiction
cert	String	Public Key of X.509 Certificate
fileId	String	EFT File ID
fileName	String	Original Name of Case File document
checksum	String	MD5 checksum of document
Token	String	Security Token used for Authentication

Table 4: ReceiveAdditionalInfo Response

Name	Data Type	Description
status	String	Boolean status value
appealNumber	String	Appeal Number
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
  - Header (optional)
  - 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.

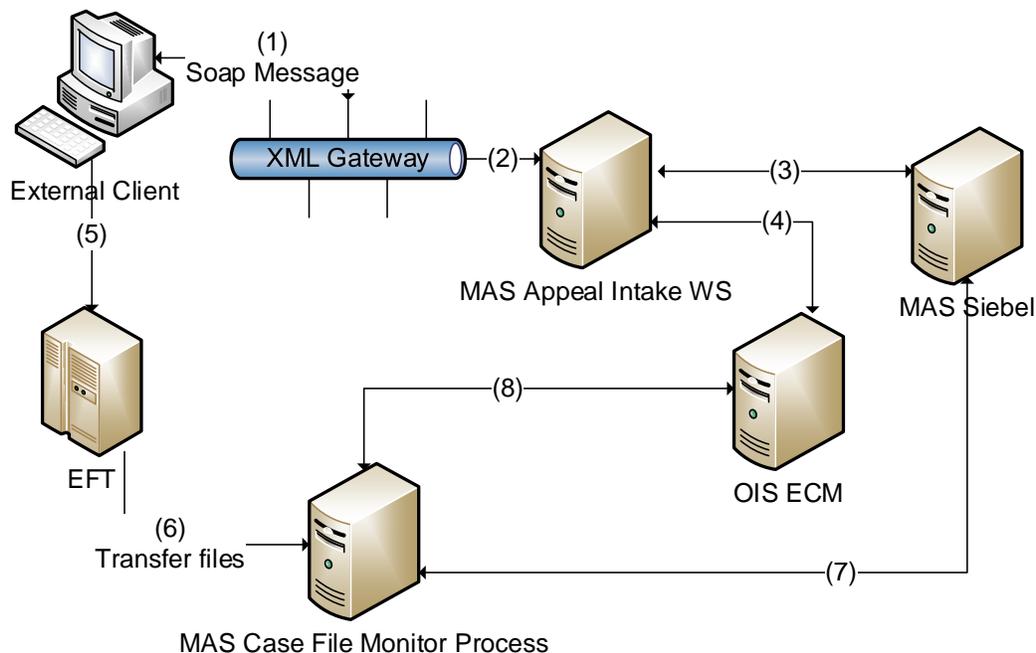
## 6.2.6 Security Requirements

## 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
  - T.MAP.A78G324H.tiff
  - P.MAP.CJW827OS.pdf
- Example EFT Output File Names
  - A78G324H.D130303.T1541342.tiff
  - 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

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



## 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
2.0	08/20/2013	Ryan Brady	Development Lead Update and Review
3.0	02/09/2015	Neculai Papaghiuc	Added Information about security token

## 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