



Centers for Medicare & Medicaid Services

Electronic Submission of Medical Documentation (esMD)

Release Summary for the July 2023 (AR2023.07.0) Release

Version 1.1

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Document Change History

Version Number	Date	Author/Owner	Description of Change
1.0	12/15/2022	Sridevi Muthili	Initial version of document for AR2023.07.0
1.1	03/09/2023	Sridevi Muthili	<p>Version 1.1 contains the following updates:</p> <ol style="list-style-type: none"> 1) Updated Section 2 and added Table 1 with VDC – AWS LOB Migration Status. 2) Update Table 2 with new timelines. 3) Updated Section 3. 4) Added Section 4 and Tables 3 & 4 with Decommission Tasks. 5) Updated Table 4 with eChimp CR12800.

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1. Overview

The intent of this Electronic Submission of Medical Documentation (esMD) Release Summary Document is to communicate information on the release timeline and content to the Health Information Handlers (HIH) and Review Contractors (RC) early in the release development cycle for the July 3, 2023, esMD Release (AR2023.07.0).

Section 2 Release Approach: Provides a high-level perspective of the esMD system functionality being developed and implemented in Production in AR2023.07.0.

Section 3 Release Schedule Dates: Provides release schedule details, major events, and dates that will occur during the release to ensure the HIHs, RCs and Shared System Maintainers (SSMs) are prepared to participate in the release. This section also contains a future release notice regarding preparations that may be required.

Section 4 Decommission Task List and Dates: Provides a summary of the high-level Impacts which the change requests (CRs) being implemented in the AR2023.07.0 release may have on the HIHs, RCs, and SSMs.

2. Release Approach

The July 3, 2023, esMD Release AR2023.07.0 consists of analysis, application, and system changes related to the following change requests. All the CRs below are implemented and available for testing in the esMD VDC environment ONLY:

1. eChimp 12800: Review Contractor (RC) Onboarding to the Electronic Submission of Medical Documentation (esMD) Amazon Web Service (AWS) Cloud Environment.
2. eChimp 13043: esMD Cloud Migration End-to-End Testing and RC’s Onboarding to Cloud.
 - Review Contractors are requested to participate in the MIST and UAT Testing phase for the July 2023 Release and perform some high-level validations that are part of this release. Except for new features provided by the introduction of the Enterprise File Manager (EFM) User Interface (UI) Screen to Download or Re-download files from the EFM UI Screen, all previously established versions associated to PA Programs Request and Response Layouts do not have any changes and remain same.
 - The End-to-End Testing in AWS Cloud shall include submissions received for the below program:

Table 1: esMD July 2023 Release VDC-AWS LOB Migration Status

Functionality	VDC - AWS Status	MIST/UAT Testing
All XDR Functionality <ul style="list-style-type: none"> • ADR Responses (CTC 1) • Services Registration (CTC 5) • Unsolicited PWK Documentation (CTC 7) • First Level Appeal Requests (CTC 9) • Advance Determination of Medicare Coverage (CTC 10) • Second Level Appeal Requests (CTC 9.1) • RA Discussion Requests (CTC 11) • DME Discussion Requests (CTC 11.1) • Supporting Documentation (CTC 13) 	Migrated to Cloud	UAT Testing
All XDR PA Programs <ul style="list-style-type: none"> ○ AMBULANCE (CTC 8.1) ○ HOPD (CTC 8.5) ○ DMEPOS (CTC 8.4) ○ HHPCR (CTC 8.3) 	Migrated to Cloud	MIST & UAT Testing
Service Registration Batch file to RC’s & VDC	Migrated to Cloud	MIST & UAT Testing
Document Code File	Migrated to Cloud	MIST & UAT Testing

Functionality	VDC - AWS Status	MIST/UAT Testing
All X12 278 PA Programs <ul style="list-style-type: none"> ○ DMEPOS ○ HOPD ○ HHPCR ○ AMBULANCE 	Migrated to Cloud	MIST & UAT Testing
X12 275 Supporting Documentation	Migrated to Cloud	MIST & UAT Testing
X12 275 PWK Documentation	Migrated to Cloud	MIST & UAT Testing
Administrative Error Response	Migrated to Cloud	MIST & UAT Testing
PA Reject Response	Migrated to Cloud	MIST & UAT Testing
PA Decision Response	Migrated to Cloud	MIST & UAT Testing
eMDR Pre-Pay Batch File	Migrated to Cloud	MIST & UAT Testing
ADR Post-Pay PDF File	Migrated to Cloud	UAT Testing
Post-Pay eMDRs to Providers	Migrated to Cloud	UAT Testing
ICDT Solicited Request	Migrated to Cloud	UAT Testing
ICDT Solicited Response		
ICDT Unsolicited Response		
Micro Strategy Reports	Migrated to Cloud	UAT Testing

2.1 Assumptions

- The existing automated processes used by the SSM/Workload are functional and running as expected in the usual manner.
- The MIST team is requested to coordinate with the esMD team to execute any test scenarios.
- The current layouts do not have any functional changes that are migrated from VDC to AWS Cloud and all functional validations, error messages, transaction status and notifications triggered by esMD system remain the same.
- The existing functional layouts that are sent from esMD to SSM and those that are returned from SSM to esMD do not have any changes.
- The SSM/Workload must follow the same rules to validate or send to use all currently established PA Requests, Responses, and eMDR Pre-Pay Layout for the exchange of information.
- The SSM automated process must continue to apply all Header and Trailer level edits conditions that currently exist.
- The automated processes must continue to apply all the edits conditions that currently exist for the files that are received from esMD.

3. Release Schedule Dates

This section lists all release schedule dates, testing timelines, and release activities performed by internal and external teams. Refer to Table 2: Release Schedule Dates for AR2023.07.0.

RC's Checklist:

- As part of Onboarding process, all the Review Contractors must be Onboarded to AWS Cloud by the end of March 2023.
- Review Contractors must have the capability to test in AWS Cloud starting from April 2023.
- The new RC Client Software must be delivered and available to the contractors by end of March 2023.

Table 2: Release Schedule Dates for AR2023.07.0

Event	Date
1. Release Summary Document for the AR2023.07.0 Release version delivered to the HIHs and RCs	Preliminary Version - 12/12/2022
2. Preliminary HIH Technical Release Changes (TRC) Documents for AR2023.07.0 implementation delivered to the HIHs.	03/09/2023
3. Preliminary RC Technical Release Changes (TRC) Documents for AR2023.07.0 implementation delivered to the RCs.	03/09/2023
4. Updated esMD Interface Control Document (ICD)	03/13/2023
5. SSM X12 and XDR Test Case AWS Template Document	03/13/2023
6. eMDR Pre-Pay Test Case AWS Template Document	03/13/2023
7. Technical calls conducted with the RCs to review the AR2023.07.0 release changes	Call 1 – 03/16/2023 Call 2 – 04/13/2023
8. Technical calls conducted with the HIHs to review the AR2023.07.0 release changes	Call 1 – 03/14/2023 Call 2 – 04/11/2023
9. Updated esMD RC User Quick Reference Guide (Formerly the esMD Role Request Quick Reference Guide)	03/20/2023
10. esMD VDC to Cloud Migration Change Document	03/20/2023
11. X12 278 Companion Guide for AR2023.07.0 release delivered to the HIHs	03/24/2023
12. X12 275 Companion Guide for AR2023.07.0 release delivered to the HIHs Additional Documentation	03/27/2023
13. X12 275 Companion Guide for AR2023.07.0 release delivered to the HIHs Unsolicited PWK	03/27/2023
14. HIH Implementation Guide for AR2023.07.0 delivered to the HIHs	03/27/2023
15. RC Implementation Guides (Java and .NET) for AR2023.07.0 delivered to the RCs	03/31/2023
16. RC Client Application Programming Interface (API) (Java and .NET) software for AR2023.07.0 release delivered to the RCs	03/31/2023
17. Complete Connectivity Test to esMD UAT Cloud by Review Contractors	03/31/2023
18. Technical call conducted with MIST to review the AR2023.07.0 release changes	04/03/2023
19. Final HIH TRC documents for AR2023.07.0 delivered to the HIHs	04/07/2023
20. Final RC TRC documents for AR2023.07.0 delivered to the RCs	04/07/2023
21. Alpha Testing for the AR2023.07.0 release by FISS	NA
22. MIST Testing for AR2023.07.0 release	04/10/2023 - 04/28/2023
23. UAT Timeline	05/01/2023 – 06/23/2023

Event	Date
24. Code freeze on UAT	06/26/2023
25. Post Deployment Verification Call (Bridge opens at 9AM and all RCs must join the bridge call)	07/01/2023
26. July 2023 Release Go Live	07/03/2023

4. Decommission Task List and Dates

This section lists the Decommission tasks that need to be performed by all the Review Contractors as part of the VDC to Cloud migration in release AR2023.07.0. The tables below summarize the actions needed to be performed in the UAT and Production Environment before the Decommission cut off dates.

Note: The esMD support team will send all the deployment timelines and cutover checklist a month before to all the RCs.

Table 3: esMD UAT Decommission Tasks

Decommission Task	RC Actions	Cut-Off Date	Notes/Comments
esMD stops traffic in UAT.	esMD will stop all incoming traffic to UAT VDC by 8:00 PM of the cut-off date.	4/27/2023	Email Notification will be sent by the esMD support team to the RCs.
Download all Zip files from VDC UAT MFT (Mailboxes).	1) All RC's must download files from VDC MFT by 5:00PM of the cut-off date. 2) Push Pickup Confirmation to the HIHs by 5:00PM of the cut-off date.	4/28/2023	Reminder Email Notification will be sent by the esMD support team to the RCs a week before to make sure all the files are downloaded before the cut-off time.
Revoke VDC MFT access.	All RC's VDC MFT Access will be revoked after 5:00PM of the cut-off date.	4/28/2023	Email Notification will be sent by the esMD support team to the RCs after the VDC UAT access is revoked.

Table 4: esMD Prod Decommission Tasks

Decommission Task	RC Actions	Cut-Off Date	Notes/Comments
esMD stops traffic in Prod.	esMD will stop all incoming traffic to Prod VDC by 8:00 PM of the cut-off date.	6/29/2023	Email Notification will be sent by the esMD support team to the RCs.
Download all Zip files from VDC Prod MFT (Mailboxes).	1) All RC's must download files from VDC MFT by 5:00PM of the cut-off date. 2) Push Pickup Confirmation to the HIHs by 5:00PM of the cut-off date.	6/30/2023	Reminder Email Notification will be sent by the esMD support team to the RCs a week before to make sure all the files are downloaded before the cut-off time.

Decommission Task	RC Actions	Cut-Off Date	Notes/Comments
Revoke VDC MFT access.	All RC's VDC MFT Access will be revoked after 5:00PM of the cut-off date.	6/30/2023	Email Notification will be sent by the esMD support team to the RCs after the VDC PROD access is revoked.
Post Deployment Verification Call.	All the RCs must join the bridge and participate in the post deployment verification call to Download files from the New RC Client on 7/1/2023.	NA	The esMD technical team will be on the bridge to trouble shoot any issues encountered by the RC's during the file download process.

5. HIH and RC High-Level Impacts for AR2023.07.0

This section lists the impact to the HIHs and RCs that result from the changes implemented in release AR2023.07.0. Updates to this Release are summarized in Table 5: esMD AR2023.07.0 Release Summary.

Table 5: esMD AR2023.07.0 Release Summary

Number	Title	Sub-Type	RC/SSM Impact	HIH Impact
eChimp CR 12800-CHG01.2023.07	Review Contractor (RC) Onboarding to the Electronic Submission of Medical Documentation (esMD) Amazon Web Service (AWS) Cloud Environment	Implementation	<ol style="list-style-type: none"> All the Review Contractors must be Onboarded to AWS Cloud and participate in MIST & UAT testing from April – June 2023. 	No Impact
eChimp CR 13043 - CHG02.2023.07	End-to-End Testing for the Migration of Electronic Submission of Medical Documentation (esMD) System Functions to the Amazon Web Services (AWS) Cloud	Implementation	<p>Review Contractors Responsibility to accomplish End-to-End testing.</p> <p>XDR Non-PA & PA Programs:</p> <ol style="list-style-type: none"> The contractors must be able to use the listed below four APIs to receive and process any files using the EPOR system for any XDR Non-PA & PA using the API functionality: Authentication API: The Auth API authenticates the RCs when an API call is made using the “GET” method with a valid User ID and Password. Upload API: The RCs using the Upload API method can upload files to esMD using a Pre-signed URL. 	<ol style="list-style-type: none"> There are no changes to the current layouts/structure as part of this change request and the HIH will continue to receive send and receive all the applicable files to esMD and vice versa via Cloud. The HIHs must continue to send the Service Registration Provider file to esMD in Cloud and must perform some validations during the testing phase. The HIHs are requested to do minimal testing to ensure the end-to-end testing is accomplished, and any issues identified are addressed during each testing phase.

Number	Title	Sub-Type	RC/SSM Impact	HIH Impact
			<p>4. Download API: The RCs using this API method can download files to esMD using a Pre-signed URL.</p> <p>5. Notification API: With this API method the RCs will receive the following success or failure notification:</p> <ul style="list-style-type: none"> a. Pickup Success Notification b. Pickup Failure Notification c. PA reject response d. Admin Error <p>6. Status API: The RCs with this API method will be able to retrieve the status after successful delivering any of the below notifications:</p> <ul style="list-style-type: none"> a. Pickup Notification b. PA reject response c. Admin Error <p>7. The RCs are required to validate the new file formats associated to the XDR PA and Non-PA Programs in the Cloud environment:</p> <p>New File Format: <<ReceiverRoutingId>>. <<environment>>.L<<CTC>>.<<DeliverType>>GUID.<<SenderRoutingID>>.DMMddy.THHmssS.zip</p>	<p>4. The HIH must stop sending submissions to theVDC.</p> <p>Note: esMD Team will update the HIHs well in advance to run a Regression Test Suite when the code is promoted and available for validation.</p>

Number	Title	Sub-Type	RC/SSM Impact	HIH Impact
			<p>ICDT Functionality:</p> <ol style="list-style-type: none"> 1. The contractors must be able to exchange the ICDT Request and Response files between each contractor using the Upload and Download APIs in Cloud Environment through esMD. 2. The contractors must test a few positive and negative scenarios related to Pick-Up & Acknowledgments as part of file exchanging and error triggering is happening as expected for the ICDT Request and ICDT Response Files exchanged. 3. The RCs are required to validate the new file formats associated to the “ICDT Request & Response” in Cloud Environment. <p>eMDR & ADR Post-Pay (Participating RC’s)</p> <ol style="list-style-type: none"> 1. The RCs must continue to send eMDR Post-Pay with the following files attached to the ADR Letter Package: <ol style="list-style-type: none"> a. SLR - Structured Letter Record b. PDF copy of the ADR Letter Package c. esMD Process Metadata XML 	

Number	Title	Sub-Type	RC/SSM Impact	HIH Impact
			<p>2. Specific error messages are sent to the RC for schema-related errors when validating the new Post-Pay eMDR structured XMLs metadata.</p> <p>3. The RCs are required to follow the new file formats associated to the “eMDR Post-Pay” when processing the eMDR Post-Pay files to esMD through Cloud.</p> <p>Post-Pay Other (CERT, QIC & SMRC)</p> <p>1. The RCs must continue to send both eMDR Post-Pay and Post-Pay other with the following files attached to the ADR Letter Package:</p> <ul style="list-style-type: none"> a. SLR - Structured Letter Record b. PDF copy of the ADR Letter Package c. esMD Process Metadata XML <p>2. Specific error messages are sent to the RC for schema-related errors when validating the new Post-Pay eMDR structured XMLs metadata.</p> <p>MicroStrategy Recon Reports:</p> <p>1. The Recon Reports must be validated to ensure all the audit events and exceptions are logged and pulled to the report based on the scenarios tested:</p> <ul style="list-style-type: none"> o MR101– esMD Reconciliation Report in Excel 	

Number	Title	Sub-Type	RC/SSM Impact	HIH Impact
			<ul style="list-style-type: none"> ○ MR102 – esMD Reconciliation Report in CSV <p>EFM UI Screens:</p> <ol style="list-style-type: none"> 1. The RCs are required to participate and perform some validations during the UAT testing. <ol style="list-style-type: none"> a. The RC's using the Enterprise File Manage (EFM) User Interface (UI) Screen will have the alternative option to "View Files, "Download Files" and "Re-download Files". b. The Review Contractors must perform some validations by trying to View, Download or Re-download the files associated to their Mailbox logging into the EFM UI Screen. <p>Notes:</p> <ol style="list-style-type: none"> 1. All RC's must have Identity Management (IDM) credentials by mid-March 2023 2. The esMD team will ensure all the RCs have IDM credentials setup and available for logging in to access / download the files. 3. The esMD team will provide support for requesting the correct role based on the CMS esMD Roles hierarchy to get authenticated and authorized to avail this alternative approach. 	

Number	Title	Sub-Type	RC/SSM Impact	HIH Impact
			<p>4. Refer to the esMD RC User Quick Reference Guide for more information.</p> <p>Other Information:</p> <ol style="list-style-type: none"> 1. The RC Implementation Guide, RC TRC Document, AWS Cloud Change Document, ICD Document and IDM/EFM Quick Reference Guides will be delivered by the esMD team before the start of UAT Testing with all the schema and custom error messages and validations that are part of each LOB. 2. Refer to the detailed new file format listed in RC Client Guide and ICD Document for the new file formats. 3. The esMD Technical Team will help and support the RCs to review the test scenarios and identify any gaps and provide suggestions. 4. The esMD Technical Team will validate whether the intended information and/or outcome results are correctly received/processed. <p>MIST/SSM Responsibility to accomplish End-to-End testing.</p>	

Number	Title	Sub-Type	RC/SSM Impact	HIH Impact
			<p>Prior Authorization Programs:</p> <ol style="list-style-type: none"> 1. The contractors will continue to receive and process the Daily batch file information for Ambulance, DMEPOS, HHPCR & HOPD, DCF, SRVC through Cloud from esMD. 2. The contractors must execute certain test scenarios and process through the automated process back to esMD for the received PA request files: <ul style="list-style-type: none"> • PA Reject Response • PA Decision Response • AAA Errors • Acknowledgments <p>Service Registration Provider Batch File:</p> <ol style="list-style-type: none"> 1. The contractors will continue to receive and process the Daily Service Registration Batch file with the complete list of registered providers information via the respective automated process through esMD via Cloud. <p>eMDR Pre-Pay:</p> <ol style="list-style-type: none"> 1. The contractors must continue to send and process the eMDR Pre-Pay batch file using the automated process to esMD Cloud Environment 	

Number	Title	Sub-Type	RC/SSM Impact	HIH Impact
			<p>Other Details:</p> <ol style="list-style-type: none"> 1. The SSMs are required to participate and perform some validations during the various phases of testing activities i.e., MIST and UAT testing. 2. The SSM test case template document and eMDR Pre-Pay Test Case template. 3. The esMD Technical Team will help and support the SSM to review the test scenarios, identify any gaps, and provide suggestions. 4. The esMD Technical Team will support validating whether the intended information and/or outcome results are correctly received/processed. 	

Appendix A: Acronyms

Table 6: Acronyms

Acronym	Literal Translation
AWS	Amazon Web Services
ADR	Additional Documentation Request
API	Application Programming Interface
AWS	Amazon Web Service
CERT	Comprehensive Error Rate Testing
CR	Change Request
CTC	Content Type Code
DCF	Document Code File
eMDR	Electronic Medical Documentation Request
eCHIMP	Electronic Change Information Management Portal
EFM	Enterprise File Manager
EPOR	Enterprise Portal
esMD	Electronic Submission of Medical Documentation
FISS	Fiscal Intermediary Shared System
GUID	Globally Unique Identifier
HIH	Health Information Handler
ICD	Interface Control Document
ICDT	Inter Contractor Document Transfer
LOB	Line of Business
MCS	Multi-Carrier System
MIST	Medicare Integrated Systems Testing
PA	Prior Authorization
PAR	Prior Authorization Request
PDF	Portable Document Format
QIC	Qualified Independent Contractor
RC	Review Contractor
SLR	Structured Letter Record
SMRC	Supplemental Medical Review Contractor
SSM	Shared System Maintainer
STN	Service Trace Number
TRC	Technical Release Changes

Acronym	Literal Translation
UAT	User Acceptance Testing
VDC	Virtual Data Center
XDR	Cross-Enterprise Document Reliable Interchange
XML	Extensible Markup Language