Centers for Medicare & Medicaid Services

Electronic Submission of Medical Documentation (esMD)

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1. Introduction

The Centers for Medicare & Medicaid Services (CMS) is a federal agency that ensures health care coverage for more than 100 million Americans. The CMS administers Medicare and provides funds and guidance for all 50 states in the nation, for their Medicaid programs and Children's Health Insurance Program. The CMS works together with the CMS community and organizations in delivering improved and better coordinated care.

1.1 The esMD Overview

Each year, the Medicare Fee-For-Service Program makes billions of dollars in estimated improper payments. The CMS employs several types of Review Contractors (RC) to measure, prevent, identify, and correct these improper payments. RCs find improper payments and manually review claims against medical documentation obtained to verify the providers' compliance with Medicare rules. The RCs request medical documentation by sending a paper letter to the provider. In the past, medical documentation providers had only two options for delivering the medical documentation requested by sending it by letter or fax.

The Electronic Submission of Medical Documentation (esMD) system gives providers the option of sending medical documentation electronically to a requesting RC, instead of sending the documentation by letter or fax.

Many providers use a Health Information Handler (HIH) organization to perform tasks, such as submitting claims and providing electronic health record systems. Any organization that handles health information on behalf of a provider is an HIH.

The esMD allows providers, HIHs, and gateway services to send responses for requests for additional documentation electronically to a RC during the claims review process.

Currently, electronic medical documentation can be sent, using the esMD, in either a Portable Document Format (PDF) or Extensible Markup Language (XML).

The esMD system allows providers the ability to send medical documentation to RCs electronically and allowed providers the ability to receive a Prior Authorization Review Response from RCs.

The esMD utilizes and leverages web services, as a central source for providing greater interoperability, connectivity, and compatibility between providers, HIHs, and gateway services and is based on standards developed by the U.S. Department of Health and Human Services (HHS) Office of the National Coordinator for Health Information Technology.

1.1.1 Review Contractors

Under the authority of the Social Security Act, CMS employs a variety of contractors to process and review claims in accordance with Medicare and/or Medicaid rules and regulations. Please refer to the following link for more information on the esMD Review Contractors:

http://www.cms.gov/Research-Statistics-Data-and-Systems/Computer-Data-and-Systems/ESMD/Which_Review_Contractors_Accept_esMD_Transactions.html

1.1.2 Review Programs

This implementation guide describes the claim review programs and their roles in the life cycle of Medicare claims processing. Each claim review program has a level of review: complex or

non-complex. Non-complex reviews do not require a clinical review of medical documentation. Complex reviews require licensed professionals who review additional requested documentation associated with a claim.

Table 1: Medicare Prepayment and Post Payment Claim Review Programs lists the Prepayment and Post Payment Claim Review Programs referenced in this implementation guide.

The columns in Table 1: Medicare Prepayment and Post Payment Claim Review Programs divide the Medicare claim review programs based on performance of Prepayment or Post Payment reviews. Prepayment reviews occur prior to payment. Post Payment reviews occur after payment. The Medical Review (MR) Program can perform both Prepayment and Post Payment reviews.

Table 1: Medicare Prepayment and Post Payment Claim Review Programs

Prepayment Claim Review Programs	Post Payment Claim Review Programs
National Correct Coding Initiative (NCCI) Edits	Comprehensive Error Rate Testing (CERT) Program
Medically Unlikely Edits (MUE)	Recovery Audit Program
Medical Review (MR)	Medical Review (MR)

The Recovery Audit Prepayment Review Demonstration allows the Recovery Audit Contractors to conduct prepayment reviews on certain types of claims that historically result in high rates of improper payments. The demonstration focuses on all 50 states. Currently, the esMD system delivers the following types of electronic medical documentation in either PDF or XML format:

1. Additional Documentation Request (ADR) Responses.
2. Prior Authorization (PA) requests.
3. PA requests for Repetitive Scheduled Non-Emergent Ambulance Transport.
4. First level and Second level appeal requests.
5. Advance Determination of Medical Coverage (ADMC) requests.
6. Home Health Pre-Claim Review (HHPCR).
7. Durable Medical Equipment, Prosthetics/Orthotics and Services (DMEPOS).Durable Medical Equipment (DME) Phone Discussion Requests.
8. Service Registration Requests.
9. Hospital Outpatient Department (HOPD.)
10. Inpatient Rehabilitation Facility (IRF)
11. Ambulatory Surgical Center (ASC)

1.2 Overview of the esMD Processes

1.2.1 Previous esMD Process

In the past, RCs sent a notification and medical documentation request letter to inform providers they were selected for a review, and the RC requested the provider submit specific medical documentation in order to complete the review.

A provider could send the medical documentation to the RC in three ways: mail the requested documentation to the RC, mail a Compact Disc containing the medical documentation in a PDF or Tagged Image File Format (TIFF) file, or transmit the documentation using a fax machine.

1.2.2 Current esMD Process

1. The current esMD system now provides a fourth choice to providers, HIHs, and RCs. The esMD system allows providers who have successfully completed CMS esMD onboarding to electronically send a response back to answer the ADR letter to the RCs. This saves time, postage, and reduces paperwork.
2. The esMD system began offering providers an electronic way to submit PA requests to DME Medicare Administrative Contractors (MAC) beginning in January 2013.
3. The esMD system enables providers to submit First Level Appeals Requests, Recovery Audit Contractor Discussion Requests, and ADMC Requests starting with Release 3.0 (July 2014).
4. The esMD system provided Repetitive Scheduled Non-Emergent Ambulance Transport (Ambulance) to RCs with the Implementation of Release 3.1 (October 2014).
5. The esMD system enabled providers to submit Second Level Appeal Requests with the implementation of AR2016.07.0 release (July 2016).
6. The esMD system enabled HHPCR requests to RCs with the Implementation of Release AR2016.10.0 (October 2016).
7. The esMD system enabled DMEPOS PA Program and DME Phone Discussion Requests to RCs with the Implementation of Release AR2017.07.0 (July 2017).
8. The esMD system enabled HHPCR Multiple Services for X12N 278, and Cross-Enterprise Document Reliable Interchange (XDR) for both requests and responses with the implementation of Release AR2018.04.0 (April 2018).
9. The esMD system enabled receiving ADR Review Results Letters in PDF format as attachments in XDR using Content Type Code (CTC) 1.3 with the implementation of Release AR2018.04.0 (April 2018).
10. The esMD system enabled providers to submit Unsolicited Paperwork (PWK) Claim attachments in XDR using CTC 7 with the implementation of Release AR2018.07.0 (July 2018).
11. The esMD system enabled providers to receive PA/Pre-Claim Review (PCR) Decision Letters in PDF format as attachments in XDR using CTC 1.4 with the implementation of Release AR2018.10.0 (October 2018).
12. The esMD system enabled providers to submit Unsolicited Paperwork (PWK) Claim attachments in X12N 275 format with the implementation of Release AR2019.10.0 (October 2019).
13. The esMD system enabled providers to receive Electronic Medical Documentation Requests (eMDR) Prepay and Post-Pay using Content Type code 1.5 and 1.6 with the implementation of Release AR2020.01(January 2020).
14. The esMD system enabled Hospital Outpatient Department (HOPD) Multiple services for XDR format using Content Type code ‘8.5’ with the implementation Release AR2020.07(July 2020).
15. The esMD system addressed few gaps that were identified for X12N 278 PA/PCR requests and responses with the implementation of Release AR2020.11 (November 2020).
16. The esMD system enhanced and bridged the gap of specific items in the eMDR process with the implementation of Release AR2021.04 (April 2021).

17. The esMD system enabled multiple Hospital Outpatient Department (HOPD) services to be received in the X12 278 format and also allowed the supporting documentation requests to be received in both X12 275 and XDR formats with CTC 13. HIHs receive reject error code: 41 - ”Provider is exempted from submitting this PA request” and error code GEX19 – “Provider is exempted from submitting this PA request” from the RC with the implementation of Release AR2021.10 (October 2021).
18. The esMD system addressed certain issues and gaps that were identified for X12N 278 PA/PCR requests and responses in prior releases with the implementation of Release AR2022.01 (January 2022).
19. The esMD system enabled HHPCRs to be received with multiple billing periods for XDR institutional claims in AR2022.04.0 (April 2022). This release also allowed changes to the RC Client User Interface (UI) screen by making the reason code optional. A new procedure code field has been added in the UI for the RC when the “Procedure Code is Invalid” is selected from the Reject Error Code drop down menu. A maximum of five procedure codes can be entered when “Procedure Code(s) is Invalid” is selected from the Reject Error Code Category with the implementation of AR2022.04.0.
20. The esMD system implemented a mechanism (Push, Pull) in AR2022.07.0 to provide all the Active RC’s information who support the Line Of Business on a given day.
21. The esMD system enables providers to send X12N HHPCR requests with single or multiple billing periods, and also to receive multiple UTN’s in the review response file with the implementation of AR2022.10.0.
22. The esMD system enabled providers to receive Electronic Medical Documentation Requests (eMDR) Post-Pay-Other using Content Type code 1.6 for supporting the Review contractors such as CERT, QIC and SMRC. The esMD system enabled Durable Medical Equipment, Prosthetics/Orthotics, and Supplies (DMEPOS) Multiple services for XDR format using Content Type code ‘8.4’ with the implementation of Release AR2023.04(April 2023).
23. The esMD system enabled a new PCR program, Inpatient Rehabilitation Facility (IRF) to be received in XDR format as part of AR2023.08.0 implementation.
24. The esMD system implemented new LOB PA DL and RRL requests from the Review Contractors. New optional metadata element to sub categorize the ADR responses received from the providers as part of AR2023.10.0 implementation.
25. The esMD system enabled a new PCR program, Inpatient Rehabilitation Facility (IRF) to be received in X12 278 format as part of AR2024.04.0 implementation.
26. The esMD system was enhanced to receive the National Provider Identifiers (NPI) from RC in the eMDR process metadata file as part of AR2024.04.0 implementation to report the errors.
27. The esMD system was enhanced to validate the format of PDF files in submission requests before delivering them to RCs. If one or more files in the submission are corrupted, the system will reject the submission for delivery with an error message. If one of more files have low quality resolution, the system will accept the submission for delivery with a warning message. This enhancement is part of the AR2024.07.0 implementation to minimize the number of administrative errors due to corrupted files.
28. The esMD will relax format validations for some of the required and all optional eMDR Pre-Pay elements received from RCs to allow special characters as part of the AR2024.07.0
29. The changes below were made in the esMD System as part of the AR2024.10.0 release:
    - The esMD System updated the content type codes for Pre-Pay from 1.5 to 2.5 and for Post-Pay and Post-Pay-Other from 1.6 to 2.6.

- For Service Registration, the Provider Name field was made an “Optional” field, and all mandatory validations were relaxed by the esMD system.
- For PADL/RRL requests, in the metadata sent to HIH, the data element “RequestType” was updated to “Letters” instead of “RRL”.
- The esMD System now sends a new Registered Providers list to the HIH using the JSON format. The scheduled job will run at 7:00 PM EST everyday and whenever there are changes to the NPIs or associated fields, the associated list of NPIs will be sent on each HIH as a JSON file.
  - If there are no NPI-related changes, the JSON will be exported on the last business day of every month to the HIHs.
- In the MR-101 Reconciliation report, the below changes were made:
  - Transactions are now sorted in descending order based on submission date and timestamp.
  - The content type codes were updated for Pre-pay, Post-Pay, and Post-Pay-Other.
  - For CTC=1, ADR responses, the transaction type values are updated when there is a value in the Response Type category. The column name “CTC Description/ Response Type category” is changed to “CTC Description”.
- HIHs will receive additional information in the codeContext attribute of the RegistryError for the administrative error code "Other". The additional information or error description is appended to ‘Other’ with a hyphen. HIHs may receive multiple administrative error responses from the RC for the same Transaction ID.
- The XDR Reject Error codes have now been synchronized with the X12 PA. PCR automated process such that the categories of errors, the associated errors in each category, and the total number of errors allowed for each category is identical.
  - The reject response sent for XDR submission by the RC, will be sent in both XML and JSON format to the HIH.

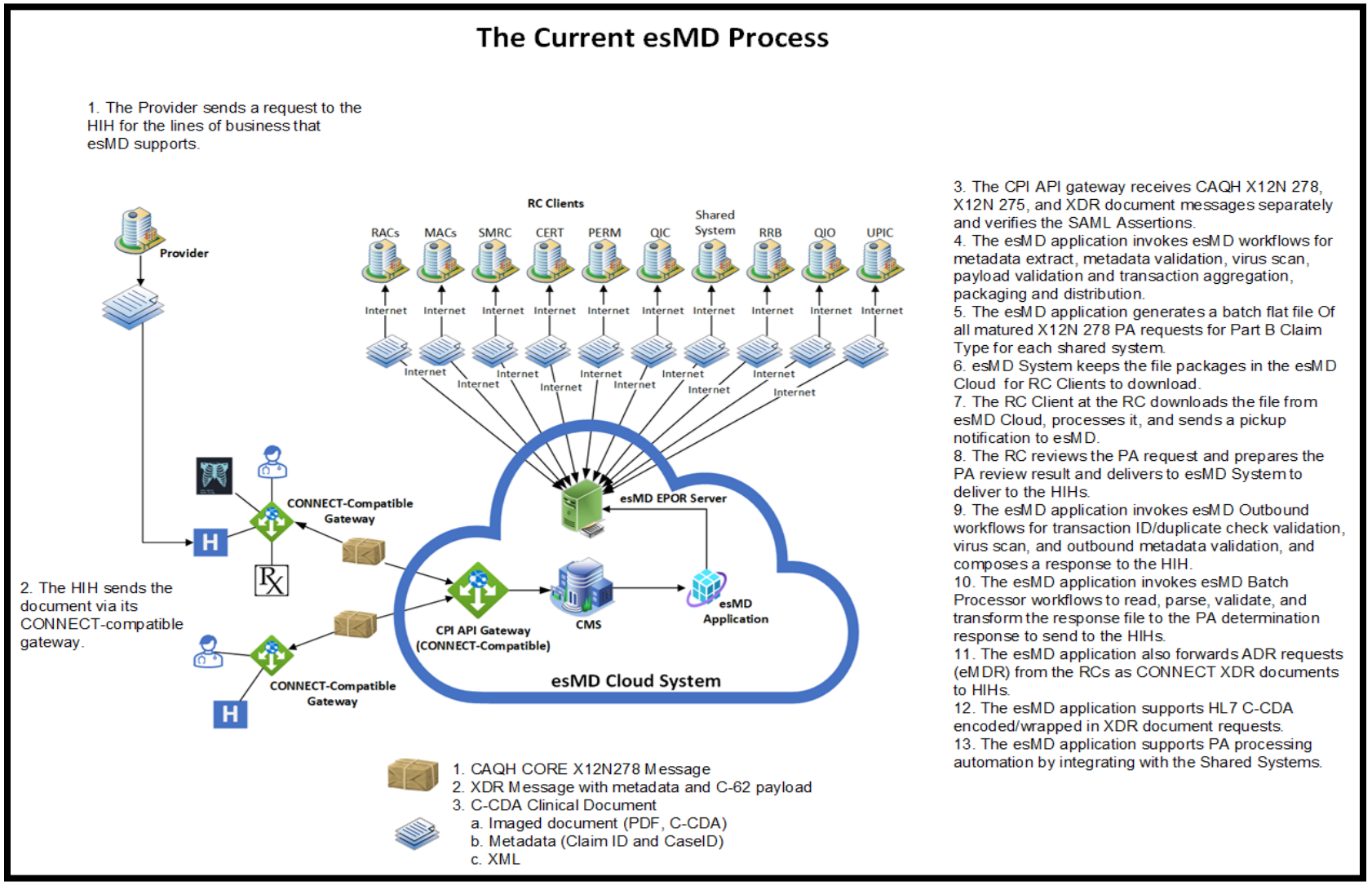
30. The changes below were made in the esMD System as part of the AR2024.12.0 Interim release.
    - The XDR DMEPOS decision response layout will be updated as part of DMEPOS XML Schema Definition (XSD) updates where the HIHs will receive the same UTN for a transaction ID with the decisions.
31. As part of the January 2025 release, the below features are implemented:
    - The Recon report has been enhanced by the addition of four columns of information which were previously reported in the MR115 Transaction Failure Report. This enhancement is an effort to consolidate useful information and make it easily accessible.
32. As part of the April 2025 release, the below features are implemented:
    - For CTC=20, Health Information Handlers (HIH) will receive information identifiers in the qualifier type fields from a predefined list from RCs. They can correctly link the identifiers to the associated case/situation they relate to. This will enable HIHs to associate the outcome letter with the pertinent case.
    - NOTE: These changes affect only the HIHs that are currently receiving LETTERS.
    - HIHs will receive a new error code in Services in the PA Reject Response for any XDR HHPCR program. When the procedure code is repeated in the same billing

period (error codes 57 and 15), HIHs will receive the response with error code '57' for erroneous records and an empty value or any error code from the service level for the other records.

33. As part of July 2025 release, the below feature will be implemented:
    - A new content type code (CTC 18) shall be used by the HIHs to obtain esMD System Reference information using esMD's PULL or PUSH mechanisms as per the convenience of the respective HIHs.
34. As part of the November 2025 interim release, the below feature will be implemented:
    - A new PA program, Ambulatory Surgical Center (ASC) will be received in XDR format.

Figure 1: Current esMD Process illustrates the current esMD process.

Figure 1: Current esMD Process



The following provides an overview of the steps in the process:

1. The provider decides what to submit. In both the current paper process and the new esMD process, the RC does not specify which documents the provider must send. It is up to the provider to decide which documents to send. The documents that a provider may submit include discharge summaries, progress notes, orders, radiology reports, lab results, etc.
2. The initial phase of the esMD allows only unstructured documents. The esMD accepts unstructured documents in PDF files as well as structured medical documentation using the Health Level Seven International (HL7) standard, Consolidated Clinical Document Architecture (C-CDA) Clinical Documents for Payers (CDP) Set1.
3. Provider-to-RC Documentation Submission and PA Review Responses only. Phase 1 of the esMD includes electronic document submissions (from provider to RC) and PA Review Responses (from RC to provider) only. It does not include the Electronic Medical Documentation Request (eMDR) from RC to provider.
4. Each package must contain documentation about a single claim of a beneficiary. Throughout this profile, the term “package” refers to one or more documents associated with a single beneficiary. Each package can contain multiple documents as long as all documents relate to the same claim of a beneficiary. The technical term for a package is a Simple Object Access Protocol (SOAP) message.

   Note: More details about the esMD data exchange can be found in the esMD Profile. Refer to Electronic Submission of Medical Documentation (esMD) | CMS: and

5. CMS is not involved in the business relationship between the HIH and the provider. This document does not describe how HIHs should collect or store medical documentation from the providers. The HIH and provider must comply with all applicable Health Information Portability and Accountability Act (HIPAA) provisions.

1.2.3 Summary of esMD Releases

The esMD Release 4.0 (R4.0) was implemented in June 2015 and focused on the Electronic Data Interchange (EDI) between the HIHs and the esMD. R4.0 introduced the EDI Accredited Standards Committee (ASC) X12N 278 5010 file format for submitting all PA requests. In addition to the above, the esMD R4.0 is utilizing existing XDR profile to submit all PA programs and other Lines of Business. The following list describes the PA programs and other Lines of Business:

1. PA programs: Ambulance.
2. First Level Appeal Requests.
3. Recovery Audit Contractor (RAC) Discussion requests.
4. ADMC requests.
5. Responses to ADRs.

esMD Release AR2016.07.0 was implemented in July 2016 and included the following programs.

1. Pre-Claim Review Demonstration for HHPCR. The Pre-Claim Review Demonstration for Home Health Services is hereafter referred to as “HHPCR”.
2. Second level Appeal Requests.

esMD Release AR2016.10.0 was implemented in October 2016 and included the following programs. The following program is available in the XDR profile.

1. HHPCR.

esMD Release AR2017.01.0 was implemented in January 2017 and included the following changes:

1. The esMD system also accepts structured documentation in C-CDA for ADR and supporting documentation for PA Requests.

esMD Release AR2017.07.0 was implemented in July 2017 and included the following additional Lines of Businesses (LOB):

1. DME Phone Discussion Requests
2. DMEPOS

esMD Release AR2017.10.0 was implemented in October 2017 and includes the following:

1. HIHs are able to submit additional documentation for X12N 278 requests through X12N 275 transactions, in addition to the existing XDR transactions to esMD system.

esMD Release AR2018.01.0 was implemented in January 2018 and includes the following:

1. The esMD system shall validate the Parent Unique Identifier (ID) and Split Number for all the XDR transactions submitted by the HIH; for any split payloads that are attached in the XDR transaction, both Parent Unique ID and Split Number are required elements. Refer to Section 4.3 Submitting Split Payloads.

esMD Release AR2018.04.0 was implemented in April 2018 and included the following:

1. The esMD system accepts X12N 278 and flat file updates for request/response with HHPCR multiple services.
2. The esMD system accepts XDR PA/ PCR responses to multiple services including" Partially Affirmed" decisions.
3. The esMD system is upgraded to accept ADR Review Results Letters in PDF format attached to the XML from additional RCs using CTC 1.3.
4. The esMD system accepts Structured Documentation in CDP Set 1 format in addition to the existing C-CDA pilot program.

esMD Release AR2018.07.0 was implemented in July 2018 and includes the following:

1. The esMD system accepts Unsolicited PWK Claims documentation in XDR using CTC 7.
2. esMD cross-validates the Sender ID in the request envelope with the ISA06 element in the Inbound X12N 278 EDI request.
3. ADR Payment Error Rate Measurement (PERM) submissions with valid Case IDs in composite format are accepted by esMD.
4. Warning message descriptions sent to the HIHs for missing/duplicate split numbers are updated to include the Parent Unique ID.

esMD Release AR2018.10.0 was implemented in October 2018 and includes the following:

1. The esMD system accepts the PA/PCR Decision Letters in PDF format from RCs and deliver to the HIH using CTC 1.4.
2. Implemented the missing requirement for Split Load Functionality where Split (2-3) is accepted even though Split (1-3) is rejected by esMD.

3. Implemented the changes to the existing Home Health program to support the PA process for Review Choice Demonstration via esMD.
4. Changed the label of the data element 'HICN' in the letter details section to 'Subscriber ID'.
5. Changed an eMDR request metadata schema. The Health Insurance Claim Number (HICN) element name/label for Part A/Part B (A/B) MAC eMDR Requested metadata XML Schema Definition will now be termed as subscriberId.
6. The esMD system implemented and moved the Power Mobility Device procedure codes to the DMEPOS PA Program as of 08/18/2018 during an emergency release and started accepting the Procedure Codes received with CTC 8.4.

esMD Release AR2019.07.0 was implemented in July 2019 and includes the following:

1. The esMD system started accepting the eMDR Registration Request with CTC 5 initiated by HIH with a valid National Provider Identifier (NPI) if it is active in the National Plan and Provider Enumeration System (NPPES) system.
2. The esMD replaced the existing 7-numeric-character Transaction ID with the new esMD 15-alphanumeric (AN) Transaction ID for all the inbound requests initiated by HIH.
3. The esMD started sending multiple PA review responses received from RC to the providers through HIHs.

esMD Release AR2020.01.0 was implemented in January 2020 and includes the following:

1. The esMD system started supporting eMDR Pre-Pay and Post-Pay functionality using Content type code 1.5 and 1.6.

esMD Release AR2020.07.0 was implemented in July 2020 and included the following:

1. The esMD system will start accepting Hospital Outpatient Department (HOPD) PA program in XDR format using Content type code 8.5.

esMD Release AR2020.11.0 was implemented in November 2020 and includes the following:

1. The esMD system addressed few gaps that were identified for X12N 278 PA/PCR requests and responses.

esMD Release AR2021.04.0 was implemented in April 2021 and includes the following:

1.The esMD system enhanced and bridged the gap of specific items in eMDR process.

The esMD Release AR2021.10.0 changes that were implemented in October 2021 include the following:

1. esMD started accepting the Hospital Outpatient Department (HOPD) Services Prior Authorization (PA) Program in X12N 278 format. (Note: The existing PA rules were applied to the new HOPD program).
2. esMD extended the existing eMDR Registration Request mechanism to request a new action, which receives the Additional Document Requests (ADRs) only as eMDRs for one or more NPIs associated with the HIH.
3. esMD updated the existing Reject Response mechanism to allow RCs to reject PA requests for Provider Exemption.
4. All transactions related to the HOPD, and eMDR Registration Request functionality enhancements were reflected in the MicroStrategy reports.

The esMD Release AR2022.01.0 changes that were implemented in January 2022 include the following:

1. esMD started accepting the Home Health Pre-claim Reviews (HHPCRs) Prior Authorization (PA) in the X12N 278 format with Procedure Code(s) services submitted in SV2 segment from the HIH.
2. esMD included the following two errors in the 2000E Loop of the Reject Response:
    a. The Number of Units requested are missing or invalid in the X12 278 Request.
    b. The Proposed Date or Date Range is missing on Invalid in the X12 278 Request.
3. esMD receives the decision reason code in the X12 PA Review Response to the HIH, when a Non-affirmed/Partially affirmed decision is sent for multiple service X12 PA Request.
4. esMD receives the decision reason code in the X12 PA Review Response to the HIH, when the decision responses are non - affirmed and the other decision response is affirmed/modified is sent for multiple service X12 278 PA request. Note: The modified decision response can be sent only for the Repetitive Scheduled Non-Emergent Ambulance Transport Program.
5. All transactions related to delivery failures to HIH were included and the validation errors related to Post-Pay associated to the eMDR transactions were excluded from the MR115 Report.

Note: The sample files for Item 2 & 3 listed above were added to the X12 278 Companion Guide for reference.

The esMD Release AR2022.04.0 changes that were implemented in April 2022 include the following:

1. The accommodation of multiple Unique Tracking Numbers (UTNs) for XDR HHPCR PA requests with multiple episodes.
2. The HIH will receive a maximum of five procedure codes when the RC selects “Procedure Code(s) is Invalid” from the Reject Error Code Category.

Note: The HIH may or may not receive the reason code in the reject response as this is an optional field in the XDR format.

The esMD Release AR2022.07.0 changes that were implemented in July 2022 include the following:

A mechanism (Push/Pull) with CTC-14 will be implemented to provide all the Active RC’s information who are supporting one or more than one LOBs at a given day or time. Below are the two approaches how the HIH’s can get this information:

1. Push Approach: The HIH’s will receive a report attached to an XDR Response XML and will be triggered by the esMD system through a Schedule Job with all the Active RCs Information. Refer to Section 4.1 Profile Definition.
2. Pull Approach: The HIH’s will be provided with a Status API by making an API call to the esMD system on any given day or time and pull all the RC details from the esMD system. Refer to Section 4.2 Interface Definition.

The esMD Release AR2022.10.0 changes that will be implemented in October 2022 include the following:

1. esMD is accepting X12N 278 HHPCR requests with single and multiple billing periods.
2. The accommodation of receiving multiple Unique Tracking Numbers (UTNs) for the X12 N 278 in the review decision response.

The esMD Release AR2023.04.0 changes that will be implemented in April 2023 includes the following:

1. The esMD system started supporting eMDR Post-Pay-Other functionality using Content Type Code (CTC) 1.6 and Transaction Type as Post-Pay-Other in VDC and will be implemented in AWS Cloud in July 2023 supporting the new Review Contractors below:
    a. *Comprehensive Error Rate Testing – CERT*
    b. *Qualified Independent Contractor – QIC*
    c. *Supplemental Medical Review Contractor – SMRC*
2. The MR 101- Reconciliation Report will reflect any validations failure errors related to the Post-Pay-Other with this implementation along with the other transactions.
3. The MR115- eMDR Transaction Failure Report will be sent with all the validation errors related to new Post-Pay-Other LOB.
4. The esMD system will start accepting multiple decision responses for Durable Medical Equipment, Prosthetics/ Orthotics, and Supplies (DMEPOS) Multiple services in XDR format using Content Type code '8.4'.
5. The esMD system will complete the HIHs Onboarding process to AWS Cloud by April 2023, Release as part of the esMD VDC to AWS Cloud Migration scoped for July 2023 Release.

The esMD Release AR2023.07.0 changes that will be implemented in July 2023 includes the following:

1. The esMD will start supporting by accepting all the files received from the HIH for the participated LOBs by the esMD New AWS Cloud Environment.
2. 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.
3. The HIHs must continue to send the Service Registration Provider file to esMD in Cloud and must perform some validations during the testing phase.
4. 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.

The esMD Release AR2023.08.0 changes that will be implemented in August 2023 includes the following:

1. New PCR program, Inpatient Rehabilitation Facility (IRF) to be received in XDR format.

The esMD Release AR2023.10.0 changes that will be implemented in October 2023 includes the following:

1. PADL and RRL requests from the Review Contractors.
2. New optional metadata element to sub categorize the ADR responses received from the providers.

The esMD Release AR2024.07.0 changes that will be implemented in July 2024 include the following:

1. Implementation of new feature that enables esMD to validate the format of submitted PDF files before delivering them to the RCs.
2. Change Service Registration element usage for Provider Tax ID and Start Date from required, to optional. Also update Service Code value from EMDR to EEP "Electronic Endpoint".
3. esMD will relax format validations for some of the required elements and all optional eMDR Pre-Pay elements received from RCs to allow special characters.

The esMD Release AR2024.10.0 changes that will be implemented in October 2024 include the following:

1. The esMD System updated the content type codes for Pre-Pay from 1.5 to 2.5 and for Post-Pay and Post-Pay-Other from 1.6 to 2.6.
2. For Service Registration, the Provider Name field was made an “Optional” field, and all mandatory validations were relaxed by the esMD system.
3. For PADL/RRL requests, in the metadata sent to HIH, the data element “RequestType” was updated to “Letters” instead of “RRL”.
4. The esMD System now sends a new Registered Providers list to the HIH using the JSON format. The scheduled job will run at 7:00 PM EST everyday and whenever there are changes to the NPIs or associated fields, the associated list of NPIs will be sent on each HIH as a JSON file.
    a. If there are no NPI-related changes, the JSON will be exported on the last business day of every month to the HIHs.
5. In the MR-101 Reconciliation report, the below changes were made:
    a. Transactions are now sorted in descending order based on submission date and timestamp.
    b. The content type codes were updated for Pre-pay, Post-Pay, and Post-Pay-Other.
    c. For CTC=1, ADR responses, the transaction type values are updated when there is a value in the Response Type category.
    d. The column name “CTC Description/ Response Type category” is changed to “CTC Description”.
6. HIHs will receive additional information in the codeContext attribute of the RegistryError for the administrative error code "Other". The additional information or error description is appended to ‘Other’ with a hyphen. HIHs may receive multiple administrative error responses from the RC for the same Transaction ID.
7. The XDR Reject Error codes have now been synchronized with the X12 PA. PCR automated process such that the categories of errors, the associated errors in each category, and the total number of errors allowed for each category is identical.
    a. The reject response sent for XDR submission by the RC, will be sent in both XML and JSON format to the HIH.

The esMD AR2024.12.0 interim release changes that will be implemented in December 2024 include the following:

8. The XDR DMEPOS decision response layout in the DMEPOS XML Schema Definition (XSD) is updated such that HIHs receive the same UTN for a transaction ID with the decisions. The XML layout is updated to handle the following changes:
    a. A new element, <ReviewResponseList> will be added as part of the DMEPOS XML Schema Definition (XSD) response layout, which contains the <ServiceLevelRecordList>.
    b. <ServiceLevelRecord> will be iterated for each Service Line for the same UTN; it could be one or more.

The esMD Release AR2025.01.0 changes that will be implemented in January 2025 include the following:

1. The following updates were made to the MR101 Reconciliation report:
    a. The Recon Report will display four new columns: Program Name, PTAN, Error Description, and Additional Information. These columns are applicable for eMDR transactions.

The esMD Release AR2025.04.0 changes that will be implemented in April 2025 include the following:

1. The following updates were made to the CTC=20 (LETTERS):
    a. HIHs that currently receive LETTERS will receive information identifiers in the qualifier type field from a predefined list so that HIHs can associate the outcome letter with the pertinent case.
    b. HIHs will receive a new error code in services in the PA Reject Response for any XDR HHPCR program. When the procedure code is repeated in the same billing period (error codes 57 and 15), HIHs will receive the response with error code '57' for erroneous records and an empty value or any error code from the service level the other records.

The esMD Release AR2025.07.0 changes that will be implemented in July 2025 include the following:

1. A Push/Pull mechanism using CTC-18 will be implemented to provide all the following esMD System Information files:
    a. Active RC's information
    b. Active Inactive NPI
    c. Document Code File
    d. PA Procedure Codes
    e. Letter Categories
    f. Response Type Categories
    g. esMD Transaction IDs with no provider acknowledgments
2. The two approaches for HIHs to obtain this information is described below:
    a. **Push Approach:** The HIHs will receive a system reference information in JSON format in the XDR request. Files will be shared at 6:00 PM EST based on the report criteria to the HIHs.

b. **Pull Approach:** The HIHs shall use the FHIR API to make an API call to the esMD system on any given day or time and pull all the system reference information from the esMD System.

3. The existing Registered Providers list scheduled every day at 7:00 PM EST and the Active RC OID Information report will be deactivated.

The esMD Interim Release AR2025.11.0 change that will be implemented in November 2025 includes the following:

1. A new PA program, Ambulatory Surgical Center (ASC) will be received in XDR format.

1.3 esMD Primary Audiences

The primary audience for this document includes HIHs such as Regional Health Information Organizations (RHIO), Health Information Exchanges (HIE), Release of Information (ROI) vendors, claim clearinghouses, and other organizations that securely submit medical documentation on behalf of providers via esMD API Gateway compatible gateways to RCs.

Note: This implementation guide refers to RHIOs, HIEs, ROI vendors, claim clearinghouses, and other entities that move health information over secure CONNECT compatible gateways on behalf of health care providers as HIHs.

HIHs who have built a CONNECT compatible gateway and wish to submit through the esMD system, please follow the instructions provided at this link: http://www.cms.gov/Research-Statistics-Data-and-Systems/Computer-Data-and-Systems/ESMD/Information_for_HIHs.html.

For more information about CONNECT Gateways, refer to https://connectopensource.atlassian.net/wiki/spaces/CW/overview.

For a list of HIHs that currently participate in the CMS esMD Program, refer to http://www.cms.gov/Research-Statistics-Data-and-Systems/Computer-Data-and-Systems/ESMD/Which_HIHs_Plan_to_Offer_Gateway_Services_to_Providers.html.

Another audience for this document includes the software developers who aim to assist RCs in viewing and more efficiently processing documents received in the esMD format. Software developers develop products to assist HIHs in receiving data easily from a provider's Electronic Health Record in the esMD format.

For additional information and related documents on the esMD processes and software, see Appendix C: Referenced Documents.

1.3.1 Important Note on the Onboarding Process for HIHs

The esMD will only accept transactions from organizations that have successfully completed the esMD Onboarding process. The HIH must sign the CMS esMD agreement for submitting XDR and X12 requests.

2. The esMD Onboarding Process for HIHs

Note: The Onboarding process below applies to HIHs submitting both XDR and X12 transactions.

2.1 The esMD Onboarding Instructions for Prospective HIHs

The HIH shall complete and submit the esMD HIH Onboarding Request Form, along with the results of successfully completed CONNECT/CONNECT-compatible self-tests to the esMD Support Team to the following email address: esMD_Support@cms.hhs.gov.

The HIH Onboarding Request Form is located on the following CMS Government website:

http://www.cms.gov/Research-Statistics-Data-and-Systems/Computer-Data-and-Systems/ESMD/Information_for_HIHs.html. The following sections include additional information that will be provided by an HIH on the HIH Onboarding Request Form.

2.1.1 The esMD Gateway Environment Testing and Configuration

The esMD Support Team will verify the environment details that have been provided by the HIH are acceptable and will validate the API CONNECT/CONNECT-compatible self-tests conducted by the HIH were successful, based on the self-tests results submitted to the esMD Support Team.

Note: Any changes to any environment details, submitted in the HIH's HIH Onboarding Request Form, after the submission of the form to the esMD Support Team, could possibly cause a delay in testing.

2.1.2 Health Level 7 Organizational Identifiers

All HL7 Organizational Identifiers (OID) will have a “2.16.840.1.113883.” prefix.

The [joint-iso-itu-t(2) country(16) us(840) organization(1) hl7(113883).] will be followed by an OID Type (e.g., 2.16.840.1.113883.3.xxx.x).

The HIH will use the appropriate OID Type, based on their organization type and purpose.

Most HIHs will register, using their OIDs with an OID Type = "3 - Root" to be a Registration Authority with the esMD.

Note: External groups have been issued a specific "HL7 OID Root" that is appropriate for their use.

2.1.3 Obtaining an HL7 OID

A HIH may obtain a HL7 OID and find more information on obtaining an OID from the following Health Level 7 organization's website: www.hl7.org.

A HIH may register an OID obtained from the HL7 website on the following website: http://www.hl7.org/oid/index.cfm.

Note: After going to the http://www.hl7.org/oid/index.cfm website, select the Obtain or Register an OID link on the top right corner to register an OID.

2.1.4 HIH Gateway IP Address

1. The HIH is required to submit the HIH's Internet Protocol (IP) address for the HIH's Gateway to the esMD Support Team.

   Note: A "public-facing" IP Address is the IP address that identifies the HIH's network and allows the esMD Gateway to connect to the HIH's network from the Internet.

2. The HIH will hide their internal private IP address by using Network Address Translation (NAT) (known as, "NATing") for the HIH's public-facing IP address.
3. The HIH technical team will contact their network team to procure or assign a public-facing IP address to their internal private IP. (For example: A public-facing IP address can be purchased from AT&T, Verizon, etc.).
4. If an HIH is using multiple esMD servers, then the HIH will submit either "one" IP address for both inbound and outbound traffic; or submit "one" IP address for inbound transactions and "another" IP address for outbound traffic.

Note: The esMD Support Team suggests that an HIH use load balancing and NATing to convert and submit a request from multiple servers to one IP address. The HIH can submit either one IP address for both inbound and outbound traffic; or, two IP addresses, one for inbound traffic and another one for outbound traffic, by submitting this information to the esMD Support Team on the HIH Environmental Details Form.

2.1.5 HIH Gateway Endpoint Uniform Resource Locator for Responses

A HIH is required to submit the Uniform Resource Locator (URL) for the HIH's Gateway Endpoint to receive responses from the esMD system to the esMD Support Team.

2.1.6 Transport Layer Security Certificate

The HIH is required to obtain a server certificate from a Certificate Authority (CA), a trusted third-party organization or company that issues digital certificates used to create digital signatures.

The HIH shall include the following sever certificate information in the HIH Onboarding Request Form submitted to the esMD Support Team:

- Server Certificate.
- Intermediate Certificates (if applicable).
- Root Certificate.

All CAs must adhere to the following guidelines in order to be submitted to the esMD Support Team:

1. Level 2 Identity Proofing, as described in the National Institute of Standards and Technology (NIST) publication:

http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-63-2.pdf (Specifically, refer to Table 3 - Identity Proofing Requirements by Assurance Level, in the PDF, under Section 5.3.1. General Requirements per Assurance Level.).

2. 2048-bit Rivest, Shamir, & Adelman (RSA) keys.
3. Advance Encryption Standard 128-bit encryption.
4. Secure Hash Algorithm-2 (SHA-2, 256-bit at least) certificate signing algorithm since SHA-1 is being rapidly deprecated.

5. Server Level and server-to-server communication certificate. (Note: No wild card (*…) or domain level certificate are accepted).

Note: HIHs should note the expiration date of their certificates and plan accordingly to renew and submit certificate renewals to the esMD Support Team four weeks in advance of the expiration date.

For more information, refer to:

- https://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/InformationSecurity/Information-Security-Library.html
- https://doi.org/10.6028/NIST.FIPS.140-2.

2.1.7 Federal Information Processing Standards for Cryptographic Modules

All cryptographic modules used by HIH eHealth Exchange instances (typically CONNECT) must adhere to Federal Information Processing Standards (FIPS) 140-2 Compliance criteria and must have a Transport Layer Security (TLS) CA.

"FIPS 140-2" is a government standard that provides a benchmark on how to implement cryptographic software (https://technet.microsoft.com/en-us/library/cc180745.aspx).

For a CONNECT-based solution, this standard has to be followed to ensure that the CONNECT Gateway is FIPS 140-2 compliant. Any HIH that needs to communicate with the esMD Gateway needs to have the FIPS mode enabled.

2.1.8 X12 Specific Information

As part of the HIH Onboarding form, the HIH is required to provide the EDI ID it will use as the Sender ID when submitting X12N 278 Requests to esMD. esMD will use the HIH's EDI ID as the Receiver ID when sending X12N 278 Responses to the HIH. This is only required if the HIH is planning to submit X12N 278 requests.

2.1.9 Completion of Onboarding process

Upon successfully completing the onboarding process, the HIH will receive an e-mail notification from the esMD Support team that they have completed the onboarding process. The HIH will then be involved in integration and interoperability testing. The start of testing begins with sending the required claim documentation through the esMD Gateway for the Validation environment and later for the Production environment.

3. The esMD Offboarding Process for HIHs

3.1 HIHs Suspending Participation before Completing Onboarding Process

HIHs, who suspend participation before they fully complete the onboarding process, will receive an esMD program Exit Letter from the esMD Support team.

3.2 Temporary or Permanent Access Removal (Offboarding an HIH)

CMS reserves the right to temporarily or permanently remove access for the HIH, if the HIH fails to meet the requirements and standards set forth in this document (refer to sections 4.2.3 Transaction Standard and 4.2.4 Technical Pre-Conditions) and by doing so effectuates a technical disruption to the esMD application.

4. The esMD System XDR Profile

4.1 Profile Definition

This esMD Implementation Guide provides more information about the transactions sent using the esMD XDR at the following link: https://s3.amazonaws.com/seqprojectehex/wp-content/uploads/2018/09/28215041/esmd-xdr-production-specification-v1.0.pdf.

4.1.1 Purpose of Use Attribute

This attribute element has the purpose of use disclosure Name attribute. The value of the attribute element is a child element, “PurposeOfUse”, in the namespace “urn:hl7-org:v3”, whose content is defined by the “CE” (coded element) data type from the HL7 version 3 specification. The PurposeOfUse element contains the coded representation of the Purpose for Use that is, in effect, for the request. The PurposeOfUse is defined in Authorization Framework document. Refer to the sample in Table 6: The esMD SAML Assertion Details.

4.1.2 NPI Attribute

An NPI is a unique 10-digit identification number issued to health care providers in the United States by the CMS. This attribute provides the ability to specify an NPI value, as part of the Security Assertion Markup Language (SAML) Assertion that accompanies a message that is transmitted across the eHealth Exchange.

Starting in R4.0, the NPI value can be sent in a new element NationalProviderId that has been added to the assertion element of the RespondingGateway_ProvideAndRegisterDocumentSetRequest.

The esMD system will continue to support the existing format for sending the NPI, as the value for the userInfo/username for the RespondingGateway_ProvideAndRegisterDocumentSetRequest.

4.1.3 Intended Recipients Attribute

Intended Recipients are RCs, to whom the esMD needs to send the HIH submitted Claim Medical documentation payloads. The valid values are addressed in Table 2: The esMD Functional Specific Submission Set Metadata Attributes.

4.1.4 Authentication Statement

The SAML Authentication Assertions are associated with authentication of the Subject (HIH Gateway Identification). The <AuthnStatement> element is required to contain an <AuthnContext> element and an AuthnInstant attribute. The SAML AuthnStatement contains one AuthnContextClassRef element identifying the method by which the subject was authenticated. Other elements of SAML AuthnStatement include <SubjectLocality> element and a SessionIndex attribute. The SAML: Authentication is comprised of the four Attributes or Elements: AuthnContext, Subject Locality, AuthnInstant, and Session Index.

4.1.5 Authentication Method (AuthnContext)

An authentication method, the <AuthnContext> element indicates how that authentication was done. Note: The authentication statement does not provide the means to perform that authentication, such as a password, key, or certificate. This element will contain an authentication context class reference.

Authentication Method - X.509 Public Key

URN - urn:oasis:names:tc:SAML:2.0:ac:classes:X509

4.1.6 Subject Locality

Subject Locality references from where the user was authenticated. The Subject Locality element specifies the Domain Name System (DNS) domain name and IP address for the system entity that was authenticated.

4.1.7 Authentication Instant (AuthnInstant)

The Authentication Instant, <AuthnInstant>, attribute specifies the time at which the authentication took place which is an xs:dateTime, as defined by http://www.w3.org/TR/xmlschema-2/.

4.1.8 Session Index

The Session Index, SessionIndex, attribute identifies the session between the Subject and the Authentication Authority.

4.1.9 Example

Refer to the sample in Table 6: The esMD SAML Assertion Details.

4.1.10 Authorization Decision Statement

This is an optional element that could convey all valid NPI submissions.

The Authorization Decision Statement element describes a statement by the SAML authority asserting that a request for access, by the statements subject to the specified resource, has resulted in the specified authorization decision based on some optionally specified evidence. This element provides the HIH an opportunity to assert that it holds an Access Consent Policy which the esMD API Gateway may wish to evaluate in order to determine if access to the requested resource(s) should be allowed for the submitted provider.

The information conveyed within the Authorization Decision Statement may be used by the esMD API Gateway to retrieve the asserted Access Consent Policy. The format of the Access Consent Policy is defined in the Access Consent Policy specification.

The Authorization Decision Statement will be used when the provider has granted permission to submit the documentation to the esMD API Gateway, and the HIH needs to make that authorization known to the esMD API Gateway.

The Authorization Decision Statement has the following content: Action, Decision, Resource, Evidence, and Assertions.

4.1.11 Action

This action must be specified using a value of Execute.

4.1.12 Decision

The Decision attribute of the Authorization Decision Statement must be Permit.

4.1.13 Resource

The Resource attribute of the Authorization Decision Statement must be the Uniform Resource Identifier (URI) of the endpoint to which the esMD API Gateway request is addressed or an empty URI reference.

4.1.14 Evidence

The Authorization Decision Statement must contain an <Evidence> element, containing a single <Assertion> child element.

4.1.15 Assertions

This <Assertion> element must contain an ID attribute, an IssueInstant attribute, a Version attribute, an Issuer element, and an Attribute Statement element. Refer to Section 4.1.18, The esMD Functional Specific Submission Set Metadata Attributes for more details on building the Assertion.

There must be at least one of the following Attributes in the Attribute Statement.

- An <Attribute> element with the name AccessConsentPolicy and NameFormat. The value(s) for this attribute will be the OIDs of the access policies that the asserting entity has previously agreed to with other entities. The OIDs MUST be expressed, using the urn format (e.g., - urn:oid:1.2.3.4). See the following example:

Figure 2: Attribute Example with OID as Attribute

```
<saml2:AttributeValue>urn:oid:1.2.3.4</saml2:AttributeValue>
</saml2:Attribute>
```

- The value(s) of this attribute will be the OIDs of the patient specific access policy instances. The OIDs MUST be expressed, using the urn format (e.g., - urn:oid:1.2.3.4.123456789). If a requestor specifies this Attribute, the requestor MUST support the ability for the specified policy document(s) to be retrieved via the transactions defined in Health Information Technology Standards Panel (HITSP) TP30. See the following example:

Figure 3: Attribute Example for OID

```
<saml2:AttributeValue>
xmlns:ns6="http://www.w3.org/2001/XMLSchema-instance"
xmlns:ns7="http://www.w3.org/2001/XMLSchema"
ns6:type="ns7:string">urn:oid:1.2.3.4.123456789
</saml2:AttributeValue>
</saml2:Attribute>
```

- The "ContentReference", "ContentType", and "Content" attributes from the Trial Implementation specifications have been removed and should no longer be used.

Refer to the sample in Table 6: The esMD SAML Assertion Details.

Note: For more details, refer to Section 3.2.3 of http://sequoiaproject.org/wp-content/uploads/2014/11/nhin-authorization-framework-production-specification-v3.0.pdf.

Figure 4: Home Community ID Example

```
<urn:nhinTargetCommunities>
   <urn1:homeCommunity>
<urn1:description>
esMD API Gateway Gateway Home Community ID Description
</urn1:description>
        <urn1:homeCommunityId>urn:oid:1.3.6.1.4.1.101420.6.1</urn1:homeCommunityId>
        <urn1:name>Name of the esMD Gateway Home Community ID<urn1:name>
   </urn1:homeCommunity>
</urn:nhinTargetCommunities>
```

4.1.16 Target Communities

The target communities must specify the targeted the esMD API Gateway OID details. It contains three values:

- Description: The esMD API Gateway with an XDR document submission endpoint to accept claim related document submissions to the esMD.
- HomeCommunityId: The esMD API Gateway Home Community ID (OID).
- Name: The Name of the esMD API Gateway Home Community ID (OID).

For CMS response Message to HIH, these nhinTargetCommunities will have the HIH OID information.

4.1.17 Metadata Fields

The HIH adopts the Integrating the Healthcare Enterprise (IHE) XDR profile in a SOAP envelope with an XDS Repository Submission Request-Provide and Register Document set, b (ITI-41) transaction metadata and C62 document payload with Message Transmission Optimization Mechanism (MTOM), Base64 encoded attachments. Figure 5: Document Payload Example

Figure 5: Document Payload Example

```
<urn:ProvideAndRegisterDocumentSetRequest>
<urn2:SubmitObjectsRequest id="999" comment="comment">
   <urn4:RegistryObjectList>
<urn4:ExtrinsicObject id="Document01" mimeType="application/pdf"   objectType="urn:uuid:7edca82f-
054d-47f2-a032-9b2a5b5186c1">
      <urn4:RegistryPackage id="SubmissionSet01">
<urn4:Classification id="classification01"
classifiedObject="SubmissionSet01"              classificationNode="urn:uuid:a54d6aa5-d40d-43f9-
88c5-b4633d873bdd"/>
<urn4:Association id="association01" associationType="HasMember"
sourceObject="SubmissionSet01" targetObject="Document01">
</urn4:RegistryObjectList>
<urn2:SubmitObjectsRequest>
<urn5:Document id="Document02">
   <ClinicalDocument …(Encoded Message)>
      …..
    <nonXMLBody>
2PD943454OIJKD2lvbj0iMS4wIiBlbmNvZGluZz0iVVRGLTgiPz4NjxDbGluaWNhbERvY3VtZW5=
   </nonXMLBody>
</ClinicalDocument>
</urn5:Document>
<urn5:Document id="Documentnn">
nnPD94bWwgdlvj0iMS4wIiBlbmNvZGluZz0DLKFALDFALDECjxDbGluaWNhbERvY3VtZW5=
</urn5:Document>
</urn:ProvideAndRegisterDocumentSetRequest>
```

A “SubmitObjectsRequest” is a collection of repository metadata of multiple MTOM base64 encoded document attachments transferred between an HIH and the esMD Gateway.

An ExtrinsicObject (XDSDocumentEntry) represents a single attached document metadata in the XDR the esMD Document Submission SOAP message, which refers to its attached document.

A “RegistryPackage” is a collection of repository metadata of just one MTOM base64 encoded document.

Following are the esMD Functional (mandatory) and Transaction (mandatory) metadata elements needed for the esMD Gateway to process the submitted claim medical document. For further details on each of the tags, review XDS IHE_ITI_TF Volume 3, Revision 6.

4.1.18 The esMD Functional Specific Submission Set Metadata Attributes

Table 2: The esMD Functional Specific Submission Set Metadata Attributes details the esMD Functional Specific Submission Set Metadata Attributes to confirm with the IHE ITI Technical Framework Volume 3, Revision 6, and XDR Interoperability Testing.

Table 2: The esMD Functional Specific Submission Set Metadata Attributes

No.	esMD XDR Submission Set Metadata Attribute	Definition and Example	ADR, First Level Appeal Requests, Second Level Appeal Requests, RA Discussion, DME Phone Discussion Request	ADR to PERM	PA, PCR ADMC, X12 XDR (CTC 13)	References to the esMD Domain Specific Values	XDR Value -Data Type (Length/Format)
1.	esMDClaimId	Claim Identifier is the identifier with which the provider submits the Claim to the esMD. It can be found in the ADR letter from the RC and needs to be used to submit: • Documents in response to ADR from the CMS RC(s). • RA Discussion Requests.	Required Note: While the Claim ID for the First Level Appeal Requests and Second Level Appeal Requests are optional, HIHs are encouraged to include it as per the Claim ID defined standards.	Not Required	Not Required	ADR Letter	• 8 numeric characters in length. • 13 – 15 numeric characters in length. • 17 – 23 variables characters in length (letters, numbers, dashes, and spaces are allowed, but Claim ID cannot be all zeros, all dashes, or all spaces).
1. Cont. 1	No additional information	The esMD Claim ID could be sent in Standard or Composite format; however, it is recommended for the HIH to submit the Claim ID in the Standard Format. a. The HL7 CX composite format, which contains two components, the Claim ID number, and the Assigning Authority (AA) like the CMS RC, which identifies the	No additional information	No additional information	No additional information	No additional information	The composite format looks like so: Claim ID^^^&RC OID&ISO Note 1: The ampersand "&" character must be properly encoded, for example "&amp", in the XML content.

No.	esMD XDR Submission Set Metadata Attribute	Definition and Example	ADR, First Level Appeal Requests, Second Level Appeal Requests, RA Discussion, DME Phone Discussion Request	ADR to PERM	PA, PCR ADMC, X12 XDR (CTC 13)	References to the esMD Domain Specific Values	XDR Value -Data Type (Length/Format)
		domain over which the Claim ID number represents a unique entity. Note 1: For submissions sent with the name "esMDClaimID"(i.e., with an upper Claim ID) for the ClaimId slot, the submission will be rejected, and they will not be passed on to the RC. Note 2: In the example below, the Claim ID value is 8 numeric characters: <urn4:Slot name="esMDClaimId"> <urn4:ValueList> <urn4:Value>12345678^^^ &2.16.840.1.113883.13.34.110.1.100.1&ISO </urn4:Value>					
1. Cont. 2	No additional information	</urn4:ValueList> </urn4:Slot> Note 3: If there are any errors in the composite format, or in the format/length of the esMD Claim ID, the submission shall be rejected. HIHs can send just the esMD Claim ID alone, as	No additional information	No additional information	No additional information	No additional information	No additional information

No.	esMD XDR Submission Set Metadata Attribute	Definition and Example	ADR, First Level Appeal Requests, Second Level Appeal Requests, RA Discussion, DME Phone Discussion Request	ADR to PERM	PA, PCR ADMC, X12 XDR (CTC 13)	References to the esMD Domain Specific Values	XDR Value -Data Type (Length/Format)
		displayed in the example below: <urn4:Slot name="esMDClaimId"> <urn4:ValueList> <urn4:Value>12345678</urn4:Value> </urn4:ValueList> </urn4:Slot> Note 4: If there are any errors in the format/length of the Claim ID, the submission shall be rejected. HIHs are advised to send submissions relating to Non-Emergent Ambulance Transport PA Requests, HHPCR demonstration requests, ADMC, IRF, ASC, HOPD and DMEPOS without the XML tag for the esMD Claim ID field. If HIHs send a value for the esMDClaimId attribute, the submission shall be rejected.					
2.	esMDCaseId	Case Identifier is the identifier generated by the RC to open a claim specific case. This could be found in the ADR letter from the RC if the request is from	Required if known	Required	Not Required	ADR Letter (if MAC is the RC)	Standard format of esMDCaseId can be up to 32 characters in length

No.	esMD XDR Submission Set Metadata Attribute	Definition and Example	ADR, First Level Appeal Requests, Second Level Appeal Requests, RA Discussion, DME Phone Discussion Request	ADR to PERM	PA, PCR ADMC, X12 XDR (CTC 13)	References to the esMD Domain Specific Values	XDR Value -Data Type (Length/Format)
		MACs. It can be used to submit: • Documents in response to ADR; • RA Discussion Requests. • DME Phone Discussion requests. For submissions to the PERM RC, HIHs/providers need to send the 11 alphanumeric characters PERM ID they get on the ADR from PERM, in the esMDCaseId tag. For submissions related to responses to an ADR, RA Discussion Requests, First Level Appeal Requests, Second Level Appeal Requests, and DME Phone Discussion Requests, HIHs/providers shall have a choice to send the esMDCaseId in either Standard or Composite format.					The esMD CaseId could be sent in the HL7 CX composite format, which contains two components: the Case ID number and AA (i.e., the CMS RC that identifies the domain over which the Case Id number represents a unique entity). The composite format: Case Id^^^&RC OID&ISO Note 1: The '&' character must be properly (like &) encoded in the XML content: <urn4:Slot name="esMDCaseId"> <urn4:ValueList> <urn4:Value>12345678901234567890AB^^^&2.16.840.1.113883.13.34.110.1.100.1&ISO </urn4:Value> </urn4:ValueList> </urn4:Slot>

No.	esMD XDR Submission Set Metadata Attribute	Definition and Example	ADR, First Level Appeal Requests, Second Level Appeal Requests, RA Discussion, DME Phone Discussion Request	ADR to PERM	PA, PCR ADMC, X12 XDR (CTC 13)	References to the esMD Domain Specific Values	XDR Value -Data Type (Length/Format)
2. Cont. 1	No additional information	Note 1: Submissions (other than ADR PERM), sent with the name as “esMDCaseID”(i.e., with an uppercase ID) for the CaseId slot, will receive a blank Case ID value in the RC metadata XML file. For an ADR PERM request, sent with the name as “esMDCaseID”(i.e., with an uppercase ID) for the CaseId slot, the submission will be rejected and will not be passed on to the RC. a. HIHs can send just the esMDCaseId alone, as displayed in the example below: <urn4:Slot name=“esMDCaseId"> <urn4:ValueList> <urn4:Value>12345678901234567890AB</urn4:Value> </urn4:ValueList> </urn4:Slot> b. HIHs can send the Composite format of the Case ID for ADR PERM requests to the esMD system in	No additional information	No additional information	No additional information	No additional information	No additional information

No.	esMD XDR Submission Set Metadata Attribute	Definition and Example	ADR, First Level Appeal Requests, Second Level Appeal Requests, RA Discussion, DME Phone Discussion Request	ADR to PERM	PA, PCR ADMC, X12 XDR (CTC 13)	References to the esMD Domain Specific Values	XDR Value -Data Type (Length/Format)
		addition to the existing standard format.					
3	responseTypeCategory	Optional metadata element for the HIHs to submit, with different types of responses with pre-determined value decided by the RCs. (Refer the value column for the defined values) <urn4:Slot name="responseTypeCategory"> <urn4:ValueList> <urn4:Value>ResponseTypeCategory Value</urn4:Value> </urn4:ValueList> </urn4:Slot> Applicable Line Of Business – ADR Responses	Optional metadata	No additional information	No additional information	No additional information	String (100) This element is 'Optional' and current esMD will only perform length check and do not perform any value/format check. The HIHs are requested to populate the below values in the "responseTypeCategory" while sending the ADR Responses. • 1.10 MR (Medical Review) – Responses to Targeted, Probe & Educate (TPE), Pre-pay, Post-pay reviews. • 1.11 Non-MR (Non-medical Review) – Provider to distinguish based on type of response. • 1.12 PA – Responses for PA/PCR requests.

No.	esMD XDR Submission Set Metadata Attribute	Definition and Example	ADR, First Level Appeal Requests, Second Level Appeal Requests, RA Discussion, DME Phone Discussion Request	ADR to PERM	PA/PCR, ADMC, X12 XDR (CTC 13)	References to the esMD Domain Specific Values	XDR Value -Data Type (Length/Format)
4.	Intended Recipient	Intended Recipient represents the organization(s) or person(s) for whom the Document Submission set is intended for: In the esMD, the Intended Recipient will be an organization (RC) to whom the sender (HIH) will submit the message with the esMD Claim supporting Documents. This Intended Recipient will be identified by a HL7 issued OID Example: RC OID <urn4:Slot name="intendedRecipient"> <urn4:ValueList> <urn4:Value>2.16.840.1.113883.13.34.110.2.100.1</urn4:Value> </urn4:ValueList> </urn4:Slot>	Required	Required	Required	Refer to Section 4.1.3 Intended Recipients Attribute	String (64)
5.	Author	Represents the provider (NPI), who submits the Claim Supporting Documents This attribute could either contain the following sub-attributes based on who (either provider or institution NPI) submits the documentation: This is the esMD Required Field.	Required	Required	Required	NPI Table 4.1-5 Document Metadata Attribute Definition in IHE ITI TF Volume 3 Revision 6.0 (https://www.ihe.net/uploadedFiles/Document	Numeric (10)

No.	esMD XDR Submission Set Metadata Attribute	Definition and Example	ADR, First Level Appeal Requests, Second Level Appeal Requests, RA Discussion, DME Phone Discussion Request	ADR to PERM	PA/PCR, ADMC, X12 XDR (CTC 13)	References to the esMD Domain Specific Values	XDR Value -Data Type (Length/Format)
						s/ITI/IHE_ITI_TF_Rev16-0_Vol3_FT_2019-07-12.pdf)	
5. Cont.	No additional information	authorInstitution authorPerson <urn4:Classification id="cl08" classificationScheme="urn:uuid:a7058bb9-b4e4-4307-ba5b-e3f0ab85e12d" classifiedObject="SubmissionSet01" nodeRepresentation="author"> <urn4:Slot name="authorInstitution"> <urn4:ValueList> <urn4:Value>6041232345</urn4:Value> </urn4:ValueList> </urn4:Slot> <urn4:Slot name="authorPerson"> <urn4:ValueList> <urn4:Value>6031112345</urn4:Value> </urn4:ValueList> </urn4:Slot> </urn4:Classification>	No additional information	No additional information	No additional information	No additional information	No additional information

No.	esMD XDR Submission Set Metadata Attribute	Definition and Example	ADR, First Level Appeal Requests, Second Level Appeal Requests, RA Discussion, DME Phone Discussion Request	ADR to PERM	PA/PCR, ADMC, X12 XDR (CTC 13)	References to the esMD Domain Specific Values	XDR Value -Data Type (Length/Format)
6.	authorInstitution (sub-attribute of author)	If there is only one document in the SubmissionSet, authorInstitution attribute of the SubmissionSet will have the same NPI as the one used in the authorInstitution attribute at the document level. If there is more than one document in the SubmissionSet, authorInstitution attribute of the SubmissionSet will have the NPI of the organization/institution, which put together all the documents, included in the SubmissionSet. Note: At the SubmissionSet level, either the authorInstitution or the authorPerson attribute will be used but never both. <urn4:Slot name="authorInstitution"> <urn4:ValueList> <urn4:Value>6041231234</urn4:Value> </urn4:ValueList> </urn4:Slot>	Required if known	Required if known	Required if known	NPI Institution Name	Numeric (10)
6.1.	authorPerson (sub-attribute of author)	If there is only one document in the SubmissionSet, authorPerson attribute of the SubmissionSet will have the same NPI as the one used in the	Required if known	Required if known	Required if known	NPI Person or Machine Name	Numeric (10)

No.	esMD XDR Submission Set Metadata Attribute	Definition and Example	ADR, First Level Appeal Requests, Second Level Appeal Requests, RA Discussion, DME Phone Discussion Request	ADR to PERM	PA/PCR, ADMC, X12 XDR (CTC 13)	References to the esMD Domain Specific Values	XDR Value -Data Type (Length/Format)
		authorPerson attribute at the document level. If there is more than one document in the SubmissionSet, authorPerson attribute of the SubmissionSet will have the NPI of the provider who put together all the documents in the SubmissionSet. Note: At the SubmissionSet level, either the authorInstitution or the authorPerson attribute will be used but never both. <urn4:Slot name="authorPerson"> <urn4:ValueList> <urn4:Value>6031111234</urn4:Value> </urn4:ValueList> </urn4:Slot>					
7.	Comments	Comments associated with the Submission Set in free form text. <urn4:Description> <urn4:LocalizedString value="esMD Claim Document Submission in response to Review Contractor ADR Letter"/> </urn4:Description>	Optional	Optional	Optional	N/A	String (256)

No.	esMD XDR Submission Set Metadata Attribute	Definition and Example	ADR, First Level Appeal Requests, Second Level Appeal Requests, RA Discussion, DME Phone Discussion Request	ADR to PERM	PA/PCR, ADMC, X12 XDR (CTC 13)	References to the esMD Domain Specific Values	XDR Value -Data Type (Length/Format)
8	ContentTypeCode	The ContentTypeCode identifies the line of business for which the provider/HIH/ is sending the submission request. the submission request could be: • A response to the CMS RC ADR letter • First Level Appeal Requests • Second Level Appeal Requests • RA Discussion Requests • DME Phone Discussion Request • ADMC Requests • Non-Emergent Ambulance Transport PA Requests • HHPCR • DMEPOS • Service Registration Request • Unsolicited PWK • HOPD • IRF • ASC Note 1: Refer to Table 8: Content Type Codes and Corresponding Content Type Code Display Names for more details on the Content Type Codes.	Required	Required	Required	Refer to 4.2.21 Content Type Code	String (16)

No.	esMD XDR Submission Set Metadata Attribute	Definition and Example	ADR, First Level Appeal Requests, Second Level Appeal Requests, RA Discussion, DME Phone Discussion Request	ADR to PERM	PA/PCR, ADMC, X12 XDR (CTC 13)	References to the esMD Domain Specific Values	XDR Value -Data Type (Length/Format)
8. Cont.	No additional information	Note 2: In the example below, the Content Type Code with a value of '1' is used which specifies that this submission request is in response to an ADR. <urn4:Classification id="cl09" classificationScheme="urn:uuid:aa543740-bdda-424e-8c96-df4873be8500" classifiedObject="SubmissionSet01" nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1"> <urn4:Slot name="ContentTypeCode"> <urn4:ValueList> <urn4:Value>1</urn4:Value> </urn4:ValueList> </urn4:Slot> <urn4:Name> <urn4:LocalizedString value="Response to Additional Documentation Request (ADR)"/> </urn4:Name> </urn4:Classification>	No additional information	No additional information	No additional information	No additional information	No additional information
9.	entryUUID	A unique ID or a globally unique identifier within the document submission request for the	Required	Required	Required	Unique Name for each attached document with	String (64)

No.	esMD XDR Submission Set Metadata Attribute	Definition and Example	ADR, First Level Appeal Requests, Second Level Appeal Requests, RA Discussion, DME Phone Discussion Request	ADR to PERM	PA/PCR, ADMC, X12 XDR (CTC 13)	References to the esMD Domain Specific Values	XDR Value -Data Type (Length/Format)
		SubmissionSet. For example, “SubmissionSet01” can be entryUUID. It can also be in the UUID format. In the below example, “SubmissionSet01” is used as entryUUID. This can also be UUID format. Example: <urn4:RegistryPackage id="SubmissionSet01"> …. </urn4:RegistryPackage>				a submitted document. Either UUID or some unique identifier.	
10.	patientID	As per XDR specification, this metadata attribute is mandatory. Currently the esMD does not handle patientID. HIHs/providers need to submit the esMDClaimId value in this patientID metadata attribute as follows: The ClaimId value needs to be sent in the standard format or the HL7 composite format as mentioned under the esMDClaimId metadata attribute. Note 1: The ‘&’ character must be properly (like &) encoded in the XML content.	Required	Required	Required	CMS RC OID.ClaimID	HL7 CX data type with String (256)

No.	esMD XDR Submission Set Metadata Attribute	Definition and Example	ADR, First Level Appeal Requests, Second Level Appeal Requests, RA Discussion, DME Phone Discussion Request	ADR to PERM	PA/PCR, ADMC, X12 XDR (CTC 13)	References to the esMD Domain Specific Values	XDR Value -Data Type (Length/Format)
		<urn4:ExternalIdentifier id="ei03" registryObject="Document01" identificationScheme="urn:uuid:6b5aea1a-874d-4603-a4bc-96a0a7b38446" value="1234567890123^^^&2.16.840.1.113883.13.34&ISO">					
10. Cont. 1	No additional information	<urn4:Name> <urn4:LocalizedString value="XDSDocumentEntry.patientId"/> </urn4:Name> </urn4:ExternalIdentifier> Note 2: To enable backward compatibility, HIHs/providers may submit this patientID metadata attribute with the esMDClaimId value in the standard format (No HL7 composite format) as follows: <urn4:ExternalIdentifier id="ei03" registryObject="Document01" identificationScheme="urn:uuid:6b5aea1a-874d-4603-a4bc-96a0a7b38446" value="1234567890123"> <urn4:Name> <urn4:LocalizedString value="XDSDocumentEntry.patientId"/> </urn4:Name> </urn4:ExternalIdentifier>	No additional information	No additional information	No additional information	No additional information	No additional information

No.	esMD XDR Submission Set Metadata Attribute	Definition and Example	ADR, First Level Appeal Requests, Second Level Appeal Requests, RA Discussion, DME Phone Discussion Request	ADR to PERM	PA/PCR, ADMC, X12 XDR (CTC 13)	References to the esMD Domain Specific Values	XDR Value -Data Type (Length/Format)
10 Cont. 2	No additional information	For Non-Emergent Ambulance Transport PA Requests, HHPCR Demonstration, HOPD, DMEPOS,IRF, ASC, and ADR PERM requests use case submissions (since there is no ClaimId value), HIHs/providers may submit the value of “NA” in the HL7 composite format as follows: <urn4:ExternalIdentifier id="ei03" registryObject="Document01" identificationScheme="urn:uuid:6b5aea1a-874d-4603-a4bc-96a0a7b38446" value="NA^^^&2.16.840.1.113883.13.34&ISO" > <urn4:Name> <urn4:LocalizedString value="XDSDocumentEntry.patientId"/> </urn4:Name> </urn4:ExternalIdentifier>	No additional information	No additional information	No additional information	No additional information	No additional information
10. Cont. 3	No additional information	<urn4:ExternalIdentifier id="ei03" registryObject="Document01" identificationScheme="urn:uuid:6b5aea1a-874d-4603-a4bc-96a0a7b38446" value="NA" > <urn4:Name>	No additional information	No additional information	No additional information	No additional information	No additional information

No.	esMD XDR Submission Set Metadata Attribute	Definition and Example	ADR, First Level Appeal Requests, Second Level Appeal Requests, RA Discussion, DME Phone Discussion Request	ADR to PERM	PA/PCR, ADMC, X12 XDR (CTC 13)	References to the esMD Domain Specific Values	XDR Value -Data Type (Length/Format)
		<urn4:LocalizedString value="XDSDocumentEntry.patientId"/> </urn4:Name> </urn4:ExternalIdentifier> For submissions to PERM RC (since there is no ClaimId value), HIHs/providers shall submit the value of "NA" in the HL7 composite format as follows: <urn4:ExternalIdentifier id="ei03" registryObject="Document01" identificationScheme="urn:uuid:6b5aea1a-874d-4603-a4bc-96a0a7b38446" value="NA^^^&2.16.840.1.113883.13.34.110.1.200.2&ISO" > <urn4:Name> <urn4:LocalizedString value="XDSDocumentEntry.patientId"/> </urn4:Name> </urn4:ExternalIdentifier>					
10. Cont. 4	No additional information	Note 4: To enable backward compatibility, HIHs/providers can also submit this patientID metadata attribute with the esMDClaimId value of 'NA' in standard format (i.e., no HL7 composite format):	No additional information	No additional information	No additional information	No additional information	No additional information

No.	esMD XDR Submission Set Metadata Attribute	Definition and Example	ADR, First Level Appeal Requests, Second Level Appeal Requests, RA Discussion, DME Phone Discussion Request	ADR to PERM	PA/PCR, ADMC, X12 XDR (CTC 13)	References to the esMD Domain Specific Values	XDR Value -Data Type (Length/Format)
		<urn4:ExternalIdentifier id="ei03" registryObject="Document01" identificationScheme="urn:uuid:6b5aea1a-874d-4603-a4bc-96a0a7b38446" value="NA" > <urn4:Name> <urn4:LocalizedString value="XDSDocumentEntry.patientId"/> </urn4:Name> </urn4:ExternalIdentifier>					
11.	sourceId	Globally unique identifier, in OID format, identifying the Health Information Handler (HIH) Gateway through which document/s are being sent to the CMS the esMD Gateway. <urn4:ExternalIdentifier id="ei04" registryObject="SubmissionSet01" identificationScheme="urn:uuid:554ac39e-e3fe-47fe-b233-965d2a147832" value="12.16.840.1.113883.13.34.110.2"> <urn4:Name> <urn4:LocalizedString value="XDSSubmissionSet.sourceId"/> </urn4:Name> </urn4:ExternalIdentifier>	Required	Required	Required	HIH OID	String (64)

No.	esMD XDR Submission Set Metadata Attribute	Definition and Example	ADR, First Level Appeal Requests, Second Level Appeal Requests, RA Discussion, DME Phone Discussion Request	ADR to PERM	PA/PCR, ADMC, X12 XDR (CTC 13)	References to the esMD Domain Specific Values	XDR Value -Data Type (Length/Format)
12.	submissionTime	Point in Time when the SubmissionSet was created at the HIH CONNECT Adapter. <urn4:Slot name="submissionTime"> <urn4:ValueList> <urn4:Value>20041225235050</urn4:Value> </urn4:ValueList> </urn4:Slot>	Required	Required	Required	Timestamp	Date (YYYYMMDDHHMMSS)
13.	Title	Represents the title of the Submission Set. The esMD Title for the Document SubmissionSet will be – 'Claim Supporting Medical Documentation'. <urn4:Name> <urn4:LocalizedString value="Claim Supporting Medical Documentation"/> </urn4:Name>	Optional	Optional	Optional	Text	String (256)
14.	unique ID	A globally unique identifier, in OID format, assigned by the HIH to the submission set in the transaction. <urn4:ExternalIdentifier id="ei05" registryObject="SubmissionSet01" identificationScheme="urn:uuid:96fdda7c-d067-4183-912e-bf5ee74998a8" value="554ac39e-ef6343434-b233-965d34345555"> <urn4:Name>	Required	Required	Required	N/A	String(64)

No.	esMD XDR Submission Set Metadata Attribute	Definition and Example	ADR, First Level Appeal Requests, Second Level Appeal Requests, RA Discussion, DME Phone Discussion Request	ADR to PERM	PA/PCR, ADMC, X12 XDR (CTC 13)	References to the esMD Domain Specific Values	XDR Value -Data Type (Length/Format)
		<urn4:LocalizedString value="XDSSubmissionSet.uniqueId"/> </urn4:Name> </urn4:ExternalIdentifier>					
15	Parent Unique ID	Represents the Parent Unique ID for the split payload transactions. The Parent Unique ID is the same as the Unique ID for the first transaction. The same Parent Unique ID will be used for all the other split payload transactions. <urn4:Slot name="parentUniqueNumber"> <urn4:ValueList> <urn4:Value>554ac39e-ef6343434-b233-965d34345555</urn4:Value> </urn4:ValueList> </urn4:Slot>	Optional	Optional	Optional	Alphanumeric, Underscores	String (64)
16	Split Number	Represents the Split Load Number for the particular transaction. <urn4:Slot name="splitNumber"> <urn4:ValueList> <urn4:Value>2-4</urn4:Value> </urn4:ValueList> </urn4:Slot>	Optional	Optional	Optional	Numeric/dash	5

Table 3: The esMD Document Metadata Attributes details the esMD-specific Document Metadata Attributes to confirm with the IHE ITI Technical Framework, Volume 3, Revision 6 and XDR Interoperability Testing.

Table 3: The esMD Document Metadata Attributes

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
1.	Author	Represents the provider NPI or institution NPI who authored the individual Document included in the Submission Set This attribute contains either the following sub-attributes but never both: authorInstitution authorPerson <urn4:Classification id="cl01" classificationScheme="urn:uuid:93606bcf-9494-43ec-9b4e-a7748d1a838d" classifiedObject="Document01" nodeRepresentation="author" > <urn4:Slot name="authorInstitution"> <urn4:ValueList> <urn4:Value>603111</urn4:Value> </urn4:ValueList>	Required if known	Required if known	Required if known	Refer to Table 4.1-5 Document Metadata Attribute Definition in IHE ITI TF Volume 3 Revision 6.0 (https://www.ihe.net/uploadedFiles/Documents/ITI/IHE_ITI_TF_Rev16-0_Vol3_FT_2019-07-12.pdf)	Numeric (10)

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
		</urn4:Slot> <urn4:Slot name="authorPerson"> <urn4:ValueList> <urn4:Value>603</urn4:Value> </urn4:ValueList> </urn4:Slot> </urn4:Classification>					
1.1.	authorInstitution (sub-attribute of author)	Represents the NPI of the institution or the organization under which the human or machine authored the individual document included in the SubmissionSet. Note: At the Document Metadata level, either the authorInstitution or the authorPerson attribute will be used but never both. <urn4:Slot name="authorInstitution"> <urn4:ValueList> <urn4:Value>604</urn4:Value> </urn4:ValueList> </urn4:Slot>	Required if known	Required if known	Required if known	Institution NPI of the provider	Numeric (10)

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
1.2.	authorPerson (sub-attribute of author)	Represents the NPI of the provider who authored the individual document included in the SubmissionSet. Note: At the Document Metadata level, either the authorInstitution or the authorPerson attribute will be used but never both. <urn4:Slot name="authorPerson"> <urn4:ValueList> <urn4:Value>603</urn4:Value> </urn4:ValueList> </urn4:Slot>	Required if known	Required if known	N/A	Document author NPI	Numeric (10)
2.	classCode	The code specifying the particular kind of document. <urn4:Classification id="cl02" classificationScheme="urn:uuid:41a5887f-8865-4c09-adf7-e362475b143a" classifiedObject="Document01" nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">	Required	Required	Required	See Table 7: ClassCodes and Corresponding ClassCode Display Names in this Implementation Guide	String (64)

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
		<urn4:Slot name="classCode"> <urn4:ValueList> <urn4:Value>1</urn4:Value> </urn4:ValueList> </urn4:Slot> <urn4:Name> <urn4:LocalizedString value="See Table 7: ClassCodes and Corresponding ClassCode Display Names in this Implementation Guide "/> </urn4:Name> </urn4:Classification>					
	classCode DisplayName	The name to be displayed for communicating to a human the meaning of the classCode. Will have a single value for each value of classCode used <urn4:Name> <urn4:LocalizedString value= "See Table 7: ClassCodes and Corresponding ClassCode Display Names in this Implementation Guide "/>	Required	Required	Required	Refer to Table 7: ClassCodes and Corresponding ClassCode Display Names in this Implementation Guide	String (256)

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
		</urn4:Name>					
4.	Comments	Comments associated with the Document in a free form text format <urn4:Description> <urn4:LocalizedString value="esMD Claim Document Submission in response to Review Contractor ADR Letter"/> </urn4:Description>	Optional	Optional	Optional	N/A	String (256)
5.	confidentialityCode	The code specifying the level of confidentiality of the Document. For the esMD, the value is always 'V': <urn4:Classification id="cl03" classificationScheme="urn:uuid:f4f85eac-e6cb-4883-b524-f2705394840f" classifiedObject="Document01" nodeRepresentation="2.16.840.1.113883.5.25"> <urn4:Slot name="confidentialityCode"> <urn4:ValueList> <urn4:Value>V</urn4:Value>	Required	Required	Required	Refer to Table 10: Confidentiality Codes in this Implementation Guide	N/A

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
		</urn4:ValueList> </urn4:Slot> <urn4:Name> <urn4:LocalizedString value="VeryRestricted"/> </urn4:Name> </urn4:Classification>					
6.	creationTime	Represents the time the HIH created the document. <urn4:Slot name="creationTime"> <urn4:ValueList> <urn4:Value>20110101165910</urn4:Value> </urn4:ValueList> </urn4:Slot>	Required	Required	Required	Timestamp (DTM). HIH XDR created/submitted timestamp.	Date (YYYYMMDDHHMMSS)
7.	entryUUID	A unique ID or a globally unique identifier for each document in the Submission Set In the below example “Document01” is used as entryUUID. This can also be UUID format. Example: <urn4:ExtrinsicObject id="Document01" mimeType="application/pdf" objectType="urn:uuid:7edca8	Required	Required	Required	Unique Name for each attached document with a submitted document. Either UUID or some unique identifier.	String (64)

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
		2f-054d-47f2-a032-9b2a5b5186c1"> </urn4:ExtrinsicObject>					
8.	formatCode	Globally unique code for specifying the format of the document. <urn4:Classification id="cl05" classificationScheme="urn:uuid:a09d5840-386c-46f2-b5ad-9c3699a4309d" classifiedObject="Document01" nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1"> <urn4:Slot name="formatCode"> <urn4:ValueList> <urn4:Value>1</urn4:Value> </urn4:ValueList> </urn4:Slot> <urn4:Name> <urn4:LocalizedString value="see description from Table 13: Document Format Code and Payload Type "/> </urn4:Name> </urn4:Classification>	Required	Required	Required	See Table 13: Document Format Code and Payload Type in this Implementation Guide	String (64)

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
9.	Hash	Hash key of the XDR payload – C62 Document attachment based on the SHA1 Hash Algorithm <urn4:Slot name="hash"> <urn4:ValueList> <urn4:Value>ad18814418693512b767676006a21d8ec7291e84</urn4:Value> </urn4:ValueList> </urn4:Slot>	Required	Required	Required	SHA1 hash	String (256)
10.	healthcare Facility TypeCode	This code represents the type of organizational, provider setting of the claim or clinical encounters, or during which the documented act occurred. Note: If the submission request happens to be a response to an ADR letter, an Appeal, a RA Discussion Request, an ADMC Request, a Non-Emergent Ambulance Transport PA Request, a DME Phone Discussion Request , or a DMEPOS request the healthcareFacility TypeCode with the value of either a 1 (which represents an HIH) or a 2 (which	Required	Required	Required	Refer to Table 11: HealthCare Facility Type Code in this Implementation Guide	String (64)

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
		represents a provider) can be used. Please refer to Table 11: HealthCare Facility Type Code for HealthCare Facility Type Code information. <urn4:Classification id="cl05" classificationScheme="urn:uuid:f33fb8ac-18af-42cc-ae0e-ed0b0bdb91e1" classifiedObject="Document01" nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1"> <urn4:Slot name="healthcareFacilityTypeCode"> <urn4:ValueList> <urn4:Value>1</urn4:Value> </urn4:ValueList> </urn4:Slot> <urn4:Name> <urn4:LocalizedString value="see description from table"/> </urn4:Name> </urn4:Classification>					

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
11.	healthcare Facility TypeCode Display Name	The name to be displayed for communicating to a human the meaning of the healthcareFacilityTypeCode. Will have a single value corresponding to the healthcareFacilityTypeCode. <urn4:Classification id="cl05" classificationScheme="urn:uuid:f33fb8ac-18af-42cc-ae0e-ed0b0bdb91e1" classifiedObject="Document01" nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1"> <urn4:Slot name="healthcareFacilityTypeCode"> <urn4:ValueList> <urn4:Value>1</urn4:Value> </urn4:ValueList> </urn4:Slot> <urn4:Name> <urn4:LocalizedString value="see description from table"/>	Required	Required	Required	Refer to Table 11: HealthCare Facility Type Code in this Implementation Guide	String (128)

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
		</urn4:Name> </urn4:Classification>					
12.	languageCode	Specifies the human language of character data in the document. The values of the attribute are language identifiers as described by the Internet Engineering Task Force (IETF) RFC 3066. <urn4:Slot name="languageCode"> <urn4:ValueList> <urn4:Value>en-us</urn4:Value> </urn4:ValueList> </urn4:Slot>	Required	Required	Required	The esMD value may be “en-us”	String (16)
13.	mimeType	Multipurpose Internet Mail Extension (MIME) type of the document. <urn4:ExtrinsicObject id="Document01" mimeType="application/pdf" objectType="urn:uuid:7edca82f-054d-47f2-a032-9b2a5b5186c1"> …. </urn4:ExtrinsicObject>	Required	Required	Required	The esMD PDF mimeType value shall be only “application/pdf” for PDF documents Note: Mime type is case sensitive.	String (64)

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
14.	patientID	As per XDR specification, this patientID metadata attribute is mandatory. At this moment, the esMD does not handle patientID. For ADR, First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, ADMC Requests use case submissions, and DME Phone Discussion Request HIHs/providers need to submit the esMDClaimId value in this patientID metadata attribute as follows: The ClaimId value needs to be sent in the HL7 composite format as mentioned under the esMDClaimId metadata attribute: Note 1: The '&' character must be properly (like &) encoded in the XML content. <urn4:ExternalIdentifier id="ei03" registryObject="Document01" identificationScheme="urn:uui	Required	Required	Required	The esMD value may be "NA"	HL7 CX Data type with String (256)

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
		d:6b5aea1a-874d-4603-a4bc-96a0a7b38446" value="1234567890123^^^&2.16.840.1.113883.13.34 &ISO"> <urn4:Name> <urn4:LocalizedString value="XDSDocumentEntry.patientId"/> </urn4:Name> </urn4:ExternalIdentifier>					
14. Cont. 1	No additional information	Note 2: To enable backward compatibility, HIHs/providers may submit this patient metadata attribute with the esMDClaimId value in standard format (No HL7 composite format) as follows: <urn4:ExternalIdentifier id="ei03" registryObject="Document01" identificationScheme="urn:uuid:6b5aea1a-874d-4603-a4bc-96a0a7b38446" value="1234567890123"> <urn4:Name> <urn4:LocalizedString value="XDSDocumentEntry.patientId"/>	No additional information	No additional information	No additional information	No additional information	No additional information

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
		</urn4:Name> </urn4:ExternalIdentifier> For Power Mobility, Non-Emergent Ambulance Transport, HOPD HHPCR,IRF, and ASC demonstrations requests (since there is no ClaimID value), HIHs/providers may submit the value of “NA” in the HL7 composite format as follows: <urn4:ExternalIdentifier id="ei03" registryObject="Document01" identificationScheme="urn:uuid:6b5aea1a-874d-4603-a4bc-96a0a7b38446" value="NA^^^&2.16.840.1.113883.13.34&ISO" > <urn4:Name> <urn4:LocalizedString value="XDSDocumentEntry.patientId"/> </urn4:Name> </urn4:ExternalIdentifier>					

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
14. Cont. 2	No additional information	Note 3: To enable backward compatibility, HIHs/providers may submit this patientId metadata attribute with the esMDClaimId value in standard format (No HL7 composite format): <urn4:ExternalIdentifier id="ei03" registryObject="Document01" identificationScheme="urn:uuid:6b5aea1a-874d-4603-a4bc-96a0a7b38446" value="NA" > <urn4:Name> <urn4:LocalizedString value="XDSDocumentEntry.patientId"/> </urn4:Name> </urn4:ExternalIdentifier> For submissions to PERM RC (since there is no ClaimId value), HIHs/providers shall submit the value of “NA” in the HL7 composite format as follows: <urn4:ExternalIdentifier id="ei03" registryObject="Document01" identificationScheme="urn:uui	No additional information	No additional information	No additional information	No additional information	No additional information

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
		d:6b5aea1a-874d-4603-a4bc-96a0a7b38446" value="NA^^^&2.16.840.1.113883.13.34.110.1.200.2&ISO" > <urn4:Name> <urn4:LocalizedString value="XDSDocumentEntry.patientId"/> </urn4:Name> </urn4:ExternalIdentifier>					
14. Cont. 3	No additional information	Note 4: To enable backward compatibility, HIHs/providers can also submit this patientID metadata attribute with the esMDClaimId value of 'NA' in the standard format (i.e., no HL7 composite format). <urn4:ExternalIdentifier id="ei03" registryObject="Document01" identificationScheme="urn:uuid:6b5aea1a-874d-4603-a4bc-96a0a7b38446" value="NA" > <urn4:Name> <urn4:LocalizedString value="XDSDocumentEntry.patientId"/> </urn4:Name>	No additional information	No additional information	No additional information	No additional information	No additional information

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
		</urn4:ExternalIdentifier>					
15.	practiceSettingCode	The code specifying the clinical specialty where the act that resulted in the document was performed. This value will not be used by the esMD (i.e., will be ignored). However, since this field is required by XDR, an input is required. Not applicable to the esMD but required by XDR Interoperability. <urn4:Classification id="cl07" classificationScheme="urn:uuid:cccf5598-8b07-4b77-a05e-ae952c785ead" classifiedObject="Document01" nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1"> <urn4:Slot name="practiceSettingCode"> <urn4:ValueList> <urn4:Value>1</urn4:Value> </urn4:ValueList> </urn4:Slot>	Required	Required	Required	The esMD value may be “1”.	String (64)

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
		<urn4:Name> <urn4:LocalizedString value="Practice Settings Code description"/> </urn4:Name> </urn4:Classification>					
16.	practiceSettingCode DisplayName	The name to be displayed for communicating to a human the meaning of the practiceSettingCode. Will have a single value corresponding to the practiceSettingCode. This value will not be used by the esMD (i.e., will be ignored). However, since this field is required by XDR, an input is required. Any possible value assigned by the sender will be accepted. <urn4:Name> <urn4:LocalizedString value="NA"/> </urn4:Name>	Required	Required	Required	The esMD value may be “NA”.	String (64)
17.	serviceStartTime	Represents the start time of the provider service being documented. This value will not be used by the esMD (i.e., will be	Required	Required	Required	DateTimeStamp (HL7 V2 DTM). To pass the Interoperability	Date (YYYYMMDDHHMMSS)

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
		ignored). However, since this field is required by XDR, an input is required. Any possible value assigned by the sender will be accepted. Not applicable to the esMD but required by XDR Interoperability. <urn4:Slot name="serviceStartTime"> <urn4:ValueList> <urn4:Value>20110101165910</urn4:Value> </urn4:ValueList> </urn4:Slot>				Test – entry HIH submitted timestamp.	
18.	serviceStopTime	Represents the stop time of the provider service being documented. This value will not be used by the esMD (i.e., will be ignored). However, since this field is required by XDR, an input is required. Any possible value assigned by the sender will be accepted. <urn4:Slot name="serviceStopTime">	Required	Required	Required	DateTimeStamp (HL7 V2 DTM). To pass the Interoperability Test – entry HIH submitted timestamp.	Date (YYYYMMDDHHMMSS)

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
		<urn4:ValueList> <urn4:Value>20110101165910</urn4:Value> </urn4:ValueList> </urn4:Slot>					
19.	Size	Size in bytes of the C62 attachment byte stream that was provided through the request. Note: It is strongly recommended that HIHs/providers send the correct size of the payload. <urn4:Slot name="size"> <urn4:ValueList> <urn4:Value>1024000</urn4:Value> </urn4:ValueList> </urn4:Slot>	Required	Required	Required	In Bytes	Numeric (10,2)
20.	Title	Represents the title of the document. Max length, 128 bytes, UTF-8. <urn4:ExtrinsicObject id="Document01" mimeType="application/pdf" objectType="urn:uuid:7edca82f-054d-47f2-a032-9b2a5b5186c1"> <urn4:Name>	Optional	Optional	Optional	Possible Titles – Refer to Table 12: Submission Set/Document Title in this Implementation Guide No validation for this Title	String (256)

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
		<urn4:LocalizedString value=”Get value from Table 12: Submission Set/Document Title"/> </urn4:Name> </urn4:ExtrinsicObject>					
21.	typeCode	The code specifying the precise kind of document (e.g., Lab Order, Progress Notes, Orders). Note: The codes for typeCode metadata element are not defined yet for the esMD. HIHs/providers can send the value of ‘1’ as mentioned in the example below. Also, note that typeCode (a document level metadata element) is different from ContentType code (a submission set metadata element). <urn4:Classification id="cl07" classificationScheme=" urn:uuid:f0306f51-975f-434e-a61c-c59651d33983 " classifiedObject="Document01" nodeRepresentation="	Required	Required	Required	N/A	String (64)

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
		2.16.840.1.113883.13.34.110 .1.1000.1"> <urn4:Slot name=" codingScheme "> <urn4:ValueList> <urn4:Value>1</urn4:Value> </urn4:ValueList> </urn4:Slot> <urn4:Name> <urn4:LocalizedString value="Progress Note"/> </urn4:Name> </urn4:Classification>					
22.	typeCodeDisplay Name	The name to be displayed for communicating to a human the meaning of the typeCode. Will have a single value for each value of typeCode. Note: Since the typeCodes are not yet defined for the esMD as noted in row 21 of this table (see above), the type CodeDisplay name can have any appropriate name. <urn4:Classification id="cl07" classificationScheme=" urn:uuid:f0306f51-975f-434e-a61c-c59651d33983 "	Required	Required	Required	N/A	String (64)

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
		classifiedObject="Document01" nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1"> <urn4:Slot name=" codingScheme "> <urn4:ValueList> <urn4:Value>1</urn4:Value> </urn4:ValueList> </urn4:Slot> <urn4:Name> <urn4:LocalizedString value="Progress Note"/> </urn4:Name> </urn4:Classification>					
23.	legalAuthenticator	The authenticator of the document at the provider. <urn4:slot name="legalAuthenticator"> <urn4:ValueList> <urn4:Value>NA</urn4:Value> </urn4:ValueList> </urn4:slot>	Optional	Optional	Optional	NA	String (32)
24.	uniqueId	A globally unique identifier assigned by the HIH to each document in the SubmissionSet. The length of	Required	Required	Required	UUID Refer to ITI TF 4.1.7.2 Volume 3 Revision 6	String (64)

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
		the Unique Identifier will not exceed 128 bytes. The structure and format of this ID will be consistent with the specification corresponding to the format attribute. This ID will be generated based on the UUID. The same ID will be returned with the response message. <urn4:ExternalIdentifier id="ei02" registryObject="Document01" identificationScheme="urn:uuid:96fdda7c-d067-4183-912e-bf5ee74998a8" value="1.3.6.1.4.1.21367.2005.3.9999.33"> <urn4:Name> <urn4:LocalizedString value="XDSDocumentEntry.uniqueId"/> </urn4:Name> </urn4:ExternalIdentifier>					
25	Attachment Control Number	Identification number provided by the requester in element PWK06 if the requester has additional documentation associated	Not Required	Not Required	Required	N/A	Allowed format is A-Z; a-z; and 0-9

No.	The esMD Document Metadata Attribute	Definition and Example	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, Non-Perm	ADR First Level Appeal Requests, Second Level Appeal Requests, RA Discussion Requests, DME Phone Discussion Request, ADMC Requests, PERM	PA X12 XDR (CTC 13)	References to a Possible esMD Domain Specific Value	XDR Value - Data Type (Length/Format)
		with the health services review that applies to the service requested. This is used to associate a X12N 278 5010 request with the supporting documentation received in the XDR format. This applies to CTC 7 and 13. <ns3:Slot name="attachmentControlNumber"><ns3:ValueList><ns3:Value>acn1234</ns3:Value></ns3:ValueList></ns3:Slot>					Allowed length: • CTC 13 is min 2 and max 50 char. • CTC 7 it is min 2 and max 80 char. • X12 278 and 275 it is min 2 and max 50 char.

4.1.19 Attachment Control Number

The Attachment Control Number (ACN) received originally on an EDI X12 278 5010 request is stored in the esMD database. The supporting documentation submitted in XDR format shall include same ACN as the original EDI X12N 278 5010 request in order for the esMD to associate the request with its supporting documentation. As soon as the documentation is received, the esMD locates the EDI X12N 278 5010 request in the esMD database using the ACN. Once the matching request and documentation is found having the same ACN and NPI combination, the esMD packages the request and the documentation together in order to forward it to the Review Contractor. The supporting documentation can also be submitted in X12N 275 transactions. Refer to X12N 275 Companion Guide for additional information.

4.1.20 Intended Recipients

The HIH should provide the receiving RC's OID as the value for Intended Recipient field. For more information on the RC OIDs, Sender IDs, refer to the following link: http://www.cms.gov/Research-Statistics-Data-and-Systems/Computer-Data-and-Systems/ESMD/Which_Review_Contractors_Accept_esMD_Transactions.html

Note 1: From the implementation of the esMD R3.1, a validation has been put in place to check whether a specific RC accepts a particular Content Type Code. If an RC does not accept a specific use case (Content Type Code), then the submission will be rejected. Please refer to the following CMS Government website in the download section for the updated list of Review Contractors and the lines of business accepted by each RC: http://www.cms.gov/Research-Statistics-Data-and-Systems/Computer-Data-and-Systems/ESMD/Which_Review_Contractors_Accept_esMD_Transactions.html.

4.2 Interface Definition

4.2.1 Interaction Behavior

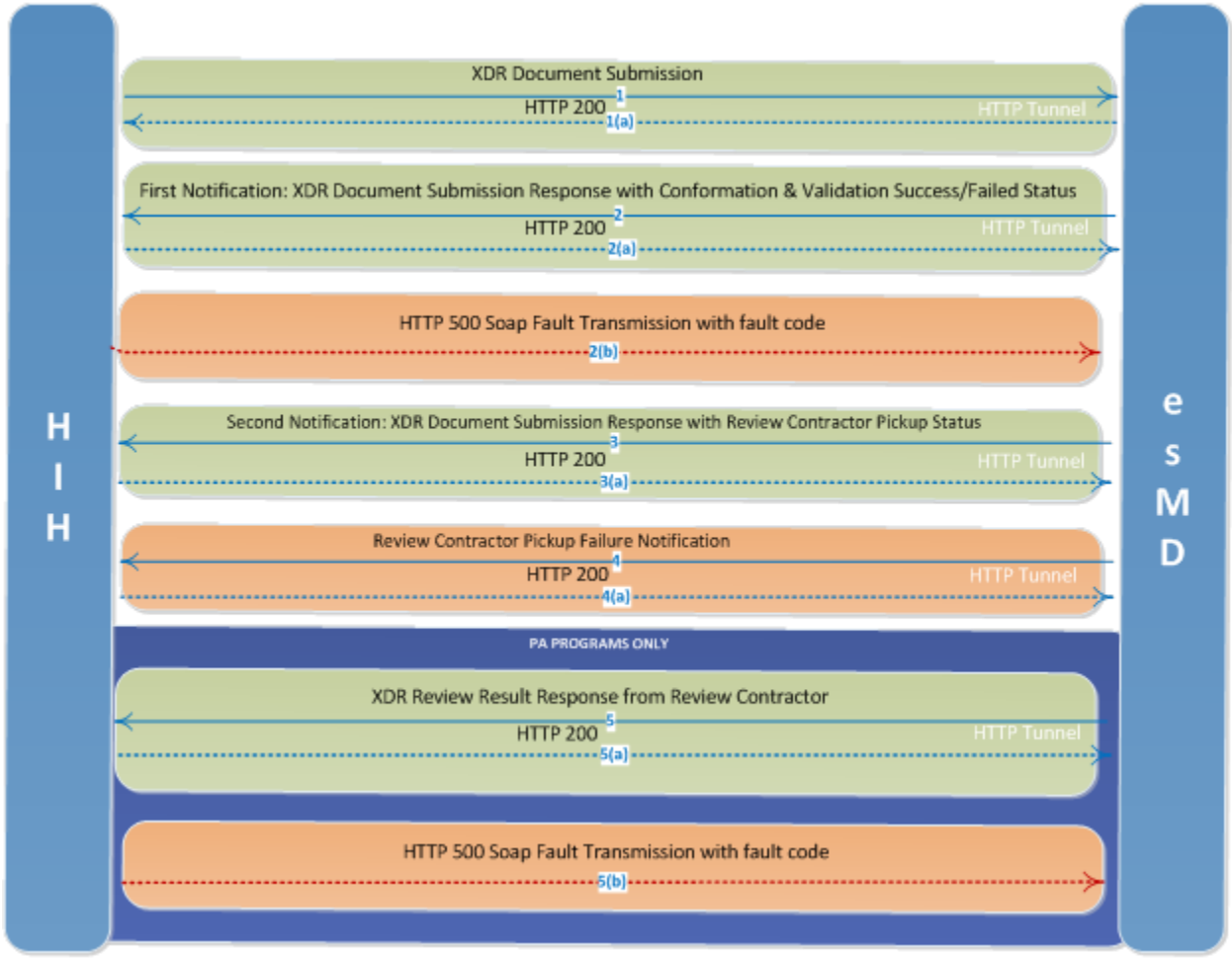
Figure 6: Asynchronous Acknowledgments with Multiple Hypertext Transfer Protocol (HTTP) Connections illustrates the communication between the HIH and the esMD API Gateway with asynchronous messaging with three Hypertext Transfer Protocol Secure (HTTPS) requests.

The HIH Gateway submits the electronic medical claim documentation, based on the CMS onboarded HIH and their gateway OID. The HIH submits the IHE XDR profile SOAP Messages to the CMS with the ITI – 41 (Provide and Register Document Set – b) transaction, SAML Assertions, Document Submission Meta Data, and C62 Payload in the SOAP body.

The esMD API Gateway receives the request, with SAML Assertions, and consults its gateway Policy Enforcement Point (which could be a SAML authority) which, in turn, uses the esMD database to establish whether the submitted Home Community ID will be allowed to perform the esMD document submission function.

Assertions can convey information about the authentication and authorization acts that the HIH performed by subjects (the OID acts as a User ID), its attributes, and authorization decisions (to check whether the subject/OID is allowed to submit the claim supporting documents).

Figure 6: Asynchronous Acknowledgments with Multiple Hypertext Transfer Protocol (HTTP) Connections



1. The HIH sends an XDR Document Submission Request to the esMD.
    - The esMD system responds with an HTTP 200, as First Acknowledgement.
2. The esMD system validates the metadata and sends a First Notification to the HIH denoting success or failure validation status. The esMD system also sends the package to RC.
    - The HIH responds with a HTTP 200 in case of a successful receipt of this first noticiation.
    - The HIH responds with a HTTP 500 in case of a service unavailable eror or internal server error.
3. Upon successul receipt of the package, the RC sends a pickup notification that is forwarded to the HIH.
    - The HIH responds with a HTTP 200 in case of a successful receipt of this pickup notification.
4. If there is an error in the receipt of the package, the RC sends a pickup failure notification that is forwarded to the HIH.
    - The HIH responds with a HTTP 200 in case of a successful receipt of this pickup failure notification.

5. For PA Programs, the workloads will respond with Review Results Response which is then sent to the HIH.
    - The HIH responds with an HTTP 200 in case of a successful receipt of this Response.The HIH responds with an HTTP 500 in case of a service unavailable eror or internal server error.

Note: The RC can submit an Administrative Error response to the HIH for XDR and X12 requests. The HIH will respond with an HTTP 200 in case of a successful receipt of the Administrative Response.

4.2.2 Triggers

All requests issued by the HIH must implement the Messaging Platform Service Interface Specification and the Authorization Framework Service Interface Specification.

4.2.3 Transaction Standard

The authorization framework is based on the implementation of the OASIS WS-I Security Profile SAML Token Profile, as specified in the Messaging Platform Service Interface Specification. SAML 2.0 is the base specification for expressing assertions in the eHealth Exchange.

4.2.4 Technical Pre-Conditions

The HIH must conform to the interoperability standards:

1. The esMD Profile
2. IHE XDR
3. WS-I Basic Profile
4. WS-I Basic Security Profile
5. The HIH must conform to the Claim Medical Document to the HITSP C62 Interoperability Specification
6. The HIHs must conform to messaging platform and authorization framework for communication
7. Messages: SOAP v2.0 with MTOM attachments
8. Service Descriptions: Web Service Definition Language
9. Addressing/Routing: WS-Addressing
10. Security: WS-Security, XML DSIG
11. Authorization: SAML Assertion
12. Authentication: X509 certificate, 2-way TLS with FIPS 140-2 enable mode, 128-bit encryption
13. Base64 encoding of the C62 payload
14. The esMD Document Submission data is transmitted in the SOAP message with IHE XDR transactions
15. There will be mutual authentication between the HIH Gateway, and the CMS CONNECT Gateway using a Non-ONC TLS certificate
16. The CMS CONNECT Gateway will authorize the requests based on the SAML Assertions with its Home Community ID and Organization IDs
17. The HIH will create digitally signed SAML Assertions

18. A globally unique identifier, assigned by HIH internal system and primarily intended for use as a unique identifier for each submission that can be used to correlate the request and responses of a particular submission, is generated. Note: The Gateway created message ID is different from this unique ID
19. The HIH will encode the attached C62 document in Base64 encoding and add its hash key to the XDR metadata
20. Architectures of the HIH are decoupled from, and are opaque to, the esMD and other HIHs. The HIH is not required to use the same the esMD security mechanisms or standards internally
21. We suggest the initiating HIH authenticate and authorize the gateway system by sending the document submission request to the esMD project, and it is required that they do so internally. The esMD is not responsible for this action

4.2.5 SOAP Message Envelope

Figure 7: SOAP Envelope with XDR Interchange/HITSP C62 Construct illustrates the SOAP envelope with XDR interchange and HITSP C62 construct

Figure 7: SOAP Envelope with XDR Interchange/HITSP C62 Construct

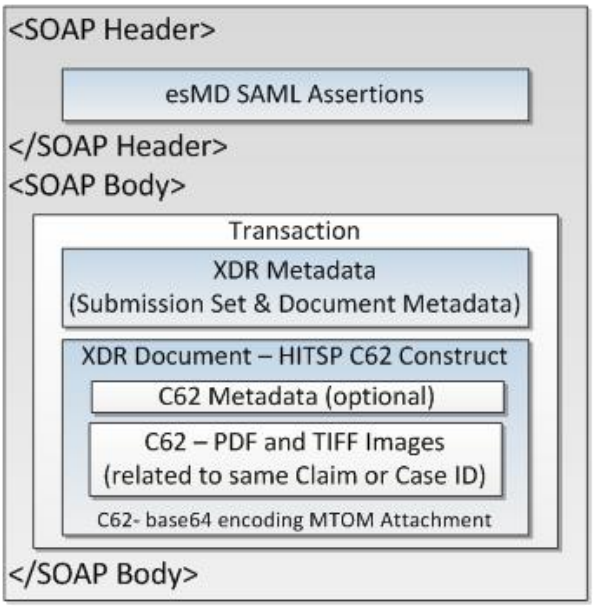


Figure 8: Example of SOAP Message Envelope

```
<soapenv:Envelope
   xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
   xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
   xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
   xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing"
   xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0"
   xmlns:urn3="urn:oasis:names:tc:ebxml-regrep:xsd:rs:3.0"
   xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0"
   xmlns:urn5="urn:ihe:iti:xds-b:2007">
<soapenv:Header/>
<soapenv:Body>
 <urn:RespondingGateway_ProvideAndRegisterDocumentSetRequest>
      <urn:assertion>
      <urn:nhinTargetCommunities>
      <urn:ProvideAndRegisterDocumentSetRequest>
</urn:RespondingGateway_ProvideAndRegisterDocumentSetRequest>
</soapenv:Body>
</soapenv:Envelope>
```

The MTOM-related tags are abstracted in the above soap envelope.

Table 4: Name Spaces Details with CONNECT Software lists the name space details associated with the CONNECT Software.

Table 4: Name Spaces Details with CONNECT Software

No.	Name Space	Name Space URL
1.	Soapenv	http://schemas.xmlsoap.org/soap/envelope/
2.	Urn	urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
3.	urn1	urn:gov:hhs:fha:nhinc:common:nhinccommon
4.	Add	urn:http://schemas.xmlsoap.org/ws/2004/08/addressing
5.	urn2	urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0
6.	urn3	urn:oasis:names:tc:ebxml-regrep:xsd:rs:3.0
7.	urn4	urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0
8.	urn5	urn:ihe:iti:xds-b:2007

4.2.6 SAML Assertions

The SAML Assertions define the exchange of metadata used to characterize the initiator of an HIH request, so that it may be evaluated by the esMD API Gateway in local authorization decisions. The purpose of this SAML Assertion exchange is to provide the esMD API Gateway with the information needed to make an authorization decision, using the policy enforcement point for the requested esMD function. Each initiating SOAP message must convey information regarding the HIH attributes and authentication using SAML 2.0 Assertions.

4.2.7 Assertions Design Principals and Assumptions

The esMD API Gateway uses the information conveyed via the Assertions (Authorization Framework) to inform its local authorization policy decision.

The initiating HIH must include all REQUIRED attributes in each request message. It is at the discretion of the receiving esMD API Gateway to decide which attributes to consider in its local authorization decision against its policy decision controller.

The initiating HIH is responsible for the authentication and authorization of its users and system requests.

4.2.8 Assertions Transaction Standard

1. Authorization Framework v 2.0.
2. OASIS SAML V2.0.
3. Authentication Context for SAML V2.0.
4. Cross-Enterprise Security and Privacy Authorization (XSPA) Profile of SAML for Healthcare Version 1.0 OASIS Web Services Security: SAML Token Profile 1.1 specifications.

4.2.9 Specific Assertions

The SAML Assertions in Table 5: Standard SAML Assertions in SOAP Envelope are designated as required (R) for all communications between the HIH and the esMD API Gateway.

Table 5: Standard SAML Assertions in SOAP Envelope

Parent Element	Child Element / Attribute	esMD Required	Created by Gateway or Manual
SAML ASSERTION (Required)	Version	Required	CONNECT Compatible Gateway
SAML ASSERTION (Required)	ID	Required	CONNECT Compatible Gateway
SAML ASSERTION (Required)	IssueInstant	Required	CONNECT Compatible Gateway
SAML ASSERTION (Required)	Issuer	Required	CONNECT Compatible Gateway
SAML ASSERTION (Required)	Subject	Required	CONNECT Compatible Gateway
Authn Statement (Required)	AuthnContext	Required	HIH Application will add under assertion.
Authn Statement (Required)	SubjectLocality	Required	HIH Application will add under assertion.
Authn Statement (Required)	AuthnInstant	Required	HIH Application will add under assertion.
Authn Statement (Required)	SessionIndex	Optional	HIH Application will add under assertion.

Parent Element	Child Element / Attribute	esMD Required	Created by Gateway or Manual
Attribute Statement (Required)	subject-ID	Required	CONNECT Gateway
Attribute Statement (Required)	Organization	Required	HIH Application will add under assertion.
Attribute Statement (Required)	homeCommunityID	Required	HIH Application will add under assertion.
Attribute Statement (Required)	Purposeofuse	Required	HIH Application will add under assertion.
Attribute Statement (Required)	NPI	Required	HIH Application will add under assertion – 'userInfo.userName' or as nationalProviderId (for CONNECT, Version 4.0 and greater).
Attribute Statement (Required)	Intended Recipient	Required	HIH Application will add under assertion - 'uniquePatientId'.
Authorization Decision Statement (Optional)	Action	Required	HIH Application will add under assertion if Authorization Decision Statement is provided.
Authorization Decision Statement (Optional)	Decision	Required	HIH Application will add under assertion if Authorization Decision Statement is provided.
Authorization Decision Statement (Optional)	Resource	Required	HIH Application will add under assertion if Authorization Decision Statement is provided.
Authorization Decision Statement (Optional)	Evidence	Required	HIH Application will add under assertion, if Authorization Decision Statement is provided.

4.2.10 The esMD SAML Assertion Details

Table 6: The esMD SAML Assertion Details provides the esMD SAML Assertion details.

Table 6: The esMD SAML Assertion Details

No.	SAML Assertion Attribute	Definition and Example	Required/ Required if known/ Optional	Source / CONNECT Software Allowed	References to the esMD Domain Specific Values
1.	homeCommunityId	<urn1:homeCommunityId > <urn1:description>Description of the submitting HIH CONNECT or CONNECT Compatible Gateway</urn1:description> <urn1:homeCommunityId>urn:oid:1.3.6.1.4.1.101420.6.1</urn1:homeCommunityId> <urn1:name>Name of the submitting HIH CONNECT or CONNECT Compatible Gateway</urn1:name> </urn1:homeCommunityId>	Required	The esMD Requirement / Yes	HIH OID
2.	organizationId	<urn1:organizationId > <urn1:description>Description of Broker Organization between provider and the submitting HIH CONNECT or CONNECT Compatible Gateway</urn1:description> <urn1:homeCommunityId>urn:oid:1.3.6.1.4.1.101420.6.1</urn1:homeCommunityId> <urn1:name>Name of Broker Organization between provider and the submitting HIH CONNECT or CONNECT Compatible Gateway</urn1:name> </urn1:organizationId>	Required	esMD Requirement / Yes	HIH OID or any broker organization (its OID) between providers and HIH

No.	SAML Assertion Attribute	Definition and Example	Required/ Required if known/ Optional	Source / CONNECT Software Allowed	References to the esMD Domain Specific Values
3.	intendedRecipient	Note: Temporarily, add the Intended Recipient value in the unique Patient ID as OID. <urn1:uniquePatientId>urn:oid:2.16.840.1.113883.13.34.110.1.110.9</urn1:uniquePatientId> In the next spec factory changes, the intended recipient values will be change to HL7 XON. The intendedRecipient field in the XDS Metadata will use the HL7 XON data type for this profile. This data type contains 10 subfields separated by a ^ sign, of which three are required: XON.1 is the name of the organization that is the intended recipient. This will be the name of the RA that is intended to receive the submission. XON.6 identifies the assigning authority for the identifiers appearing in XON.10. This field will be completed using the following string: &CMS OID FOR RAS&ISO [Ed. Note: Replace CMD OID FOR RAS with a CMS assigned OID]. XON.10 is the CMS Identifier for the RA. An example appears below (bold text should be replaced with the appropriate values): [Ed. Note: Replace CMD OID FOR RAs with a CMS assigned OID]. RA ORGANIZATION NAME^^^^^&CMS OID FOR RAS&ISO^^^^CMS ASSIGNED IDENTIFIER<urn1:intendedReceipient >	Required	esMD Requirement / NO*	Refer to section 4.1.3 Intended Recipients Attribute
3. Cont.	No additional information	<urn1:description>Description of receiving Review Contractor</urn1:description> <urn1:organizationId>DCS^^^^^&2.16.840.1.113883.13.34.11	No additional information	No additional information	No additional information

No.	SAML Assertion Attribute	Definition and Example	Required/ Required if known/ Optional	Source / CONNECT Software Allowed	References to the esMD Domain Specific Values
		0.1.100.1&ISO^^^^^2.16.840.1.113883.13.34.110.1</urn1:organizationId> <urn1:name>Name of Review Contractor, to whom Claim Medical Documentation shall be submitted.</urn1:name> </urn1:intendedReceipient>			
4.	NPI	HIH will provide the National Provider Identifier (NPI) value NationalProviderId element added to the assertion element of the RespondingGateway_ProvideAndRegisterDocumentSetRequest. The esMD system will also support NPI format, as the value for the userInfo/username for the RespondingGateway_ProvideAndRegisterDocumentSetRequest <urn1:userInfo> <urn1:userName>6101234512</urn1:userName> <urn1:org> <urn1:description>Description of provider NPI </urn1:description> <urn1:homeCommunityId>Any Broker organization in between provider and HIH or HIH OID</urn1:homeCommunityId> <urn1:name>Name of provider from whom Claim Medical Documentation are submitted</urn1:name> </urn1:org> </urn1:userInfo> Note: The NPI value needs to be 10 numeric characters long to comply with the standard specification. If the NPI value sent by the HIH does not conform to this format, the submission request shall be rejected, and an error message	Required	esMD Requirement / NO*	Refer to section 4.1.2 NPI Attribute

No.	SAML Assertion Attribute	Definition and Example	Required/ Required if known/ Optional	Source / CONNECT Software Allowed	References to the esMD Domain Specific Values
		will be sent to the submitting HIH gateway. Please refer to Table 19: Sample Error Message Content for the error code and related message text.			
5.	purposeOfDisclosure Coded	HIH will enter appropriate values. This is used by the CONNECT Gateway for SOAP header SAML processing. <urn1:purposeOfDisclosureCoded> <urn1:code>PAYMENT</urn1:code> <urn1:codeSystem>2.16.840.1.113883.3.18.7.1</urn1:codeSystem> <urn1:codeSystemName> esMD CMS Purpose</urn1:codeSystemName> <urn1:codeSystemVersion>1.0</urn1:codeSystemVersion> <urn1:displayName>Medical Claim Documentation Review</urn1:displayName> <urn1:originalText>Medical Claim Documentation Review</urn1:originalText> </urn1:purposeOfDisclosureCoded>	Required	esMD Requirement / Yes	N/A
6.	samlAuthnStatement	HIH will enter appropriate values. This is used by the CONNECT Gateway for SOAP header SAML processing. <urn1:samlAuthnStatement> <urn1:authInstant>2011-01-05T16:50:01.011Z</urn1:authInstant> <urn1:sessionIndex>987</urn1:sessionIndex> <urn1:authContextClassRef>urn:oasis:names:tc:SAML:2.0:ac:classes:X509</urn1:authContextClassRef> <urn1:subjectLocalityAddress>158.147.185.168</urn1:subjectLocalityAddress>	Required	esMD Requirement / Yes	N/A

No.	SAML Assertion Attribute	Definition and Example	Required/ Required if known/ Optional	Source / CONNECT Software Allowed	References to the esMD Domain Specific Values
		<urn1:subjectLocalityDNSName>cms.hhs.gov</urn1:subjectLocalityDNSName> </urn1:samlAuthnStatement>			
7.	samlAuthzDecisionStatement	Except ID attribute in samlAuthzDecisionStatement, all the other appropriate values will be entered by HIH. ID attribute will be used by the esMD application and other values will be used by the CONNECT Gateway for SOAP header SAML processing. ID attribute will be used to correlate the request to response and to verify the double submission of Claim Document submission. Each Claim Document Submission SOAP Message from CONNECT Gateway will have a Unique ID populated by HIH CONNECT Adapter or CONNECT Compatible software. This unique ID will be created by HIH using the JAVA Universally Unique Identifier (UUID) Application Programming Interface (API) and populate into “id” attribute of this SAML Authorization Decision Statement. <urn1:id>40df7c0a-ff3e-4b26-baeb-f2910f6d05a9</urn1:id> Note: Unique ID is different from CONNECT Gateway Message ID.CONNECT Gateway automatically adds the message id to the SOAP Header. This message ID is unique for any outgoing messages. <urn1:samlAuthzDecisionStatement > <urn1:decision>Permit</urn1:decision> <urn1:resource>https://158.147.185.168:8181/esMD/DocumentSubmission</urn1:resource> ;2 <urn1:action>TestSaml</urn1:action>	Required	esMD Requirement / Yes	N/A

No.	SAML Assertion Attribute	Definition and Example	Required/ Required if known/ Optional	Source / CONNECT Software Allowed	References to the esMD Domain Specific Values
		<urn1:evidence> <urn1:assertion>			
7. Cont.	No additional information	<urn1:id>40df7c0a-ff3e-4b26-baeb-f2910f6d05a9</urn1:id> <urn1:issueInstant>2011-01-05T16:50:01.011Z</urn1:issueInstant> <urn1:version>2.0</urn1:version> <urn1:issuerFormat>urn:oasis:names:tc:SAML:1.1:nameid-format:X509SubjectName</urn1:issuerFormat> <urn1:issuer>CN=HIH SAML User,OU=QSSI,O=QSSI,L=Baltimore,ST=MD,C=US</urn1:issuer> <urn1:conditions> <urn1:notBefore>2011-01-05T16:50:01.011Z</urn1:notBefore> <urn1:notOnOrAfter>2011-01-05T16:53:01.011Z</urn1:notOnOrAfter> </urn1:conditions> ; <urn1:accessConsentPolicy>Claim-Ref-1234 NA for the esMD</urn1:accessConsentPolicy> <urn1:instanceAccessConsentPolicy>Claim-Instance-1 NA for the esMD</urn1:instanceAccessConsentPolicy> </urn1:assertion> </urn1:evidence> </urn1:samlAuthzDecisionStatement>	No additional information	No additional information	No additional information

*The Interim solution is to populate the 'Intended Recipient' and 'NPI' values into 'uniquePatientId' and 'userInfo.userName' field of the current CONNECT software Assertion Type object.

4.2.11 SAML Assertion Attributes

This will be added in the Authorization Decision Statement.

4.2.12 Version Attribute

The version attribute defines SAML v2.0, as the version.

4.2.13 ID Attribute

The ID Attribute is an xs:ID, as defined by http://www.w3.org/TR/xml-Id/.

4.2.14 Issue Instant

The Issue Instant attribute is an xs:dateTime, as defined by http://www.w3.org/TR/xmlschema-2/.

4.2.15 Issuer

The <Issuer> element identifies the individual gateway system responsible for issuing the Assertions carried in the message. Since the esMD does not have the user's IDs, the issuer will be the HIH's System Name. This element includes a NameID format attribute, which declares the format used to express the value contained in this element. The NameID format is urn:oasis:names:tc:SAML:1.1:nameid-format:X509SubjectName for sending National Health Information Organization (NHIO), acting as a node on the eHealth Exchange.

4.2.16 Subject

The Subject element will identify the Subject of the assertion. This element also includes a NameID. The Format attribute declares the format used to express the value contained in this element: the HIH's System Name making the request at the initiating NHIO. The NameID format is urn:oasis:names:tc:SAML:1.1:nameid-format:X509SubjectName for the sending the NHIO.

4.2.17 SAML Statement Elements

The esMD SAML statement elements are separated into Authentication and Attribute. Each statement will be further defined in the following paragraphs.

4.2.18 Attribute Statement

The Attribute Statement element describes a statement by the SAML authority asserting that the requesting HIH system is associated with the specified attributes. The Attribute Statement is required to contain attribute elements, as defined by the OASIS XSPA profile of SAML and described in the sections that follow. The Attribute Statement is comprised of the following attributes: Subject ID, Subject Organization, Home Community ID, Purpose of Use, NPI, and Intended Recipient.

The value on the Subject ID and Subject Organization attributes will be a plain text description of the user's name (not user ID) and organization, respectively. These are primarily intended to support auditing.

4.2.19 Subject ID Attribute

This Subject Identifier element has the HIH initiating gateway Name. The name of the system, as required by HIPAA Privacy Disclosure Accounting is placed in the value of the element.

<urn1:QualifiedSubjectIdentifier xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon>
<urn1:SubjectIdentifier>HIH esMD Initiating Gateway </urn1:SubjectIdentifier >
<urn1:AssigningAuthorityIdentifier>HIH Name</urn1: AssigningAuthorityIdentifier >

</ urn1:QualifiedSubjectIdentifier>

Subject Organization Attribute

This Assigning Authority Identifier element has the subject organization Name under which the initiating gateway (subject name) is running. In plain text, the organization to which the user belongs, as required by HIPAA Privacy Disclosure Accounting, is placed in the value of the Attribute Value element.

<urn1:QualifiedSubjectIdentifier xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon>
<urn1:SubjectIdentifier>HIH esMD Initiating Gateway </urn1: SubjectIdentifier >
<urn1:AssigningAuthorityIdentifier>HIH Name</urn1: AssigningAuthorityIdentifier >

</ urn1:QualifiedSubjectIdentifier>

4.2.20 Home Community ID Attribute

This attribute element has the HIH gateway Name attribute. The value is the HL7 issued Home Community ID (an Object Identifier) assigned to the HIH that is initiating the request, using the URN format (i.e., "urn:oid:" appended with the OID). One home community gateway can have multiple organization IDs. Organization IDs act as a broker to home community organizations. If

there are no brokers to the organizations, then both the home community ID and the organization ID attributes will be the same.

Refer to the sample in Table 6: The esMD SAML Assertion Details.

4.2.21 Content Type Code

Refer to the Table 8: Content Type Codes and Corresponding Content Type Code Display Names for more details on the Content Type Codes supported by the esMD.

Please refer to the following link for CMS Government website for the updated list of lines of businesses accepted by each RC: http://www.cms.gov/Research-Statistics-Data-and-Systems/Computer-Data-and-Systems/ESMD/Which_Review_Contractors_Accept_esMD_Transactions.html

Table 7: ClassCodes and Corresponding ClassCode Display Names provides the ClassCodes and corressponding ClassCode Display Names.

Metadata Vocabulary - Class Schema: urn:uuid:41a5887f-8865-4c09-adf7-e362475b143a

Table 7: ClassCodes and Corresponding ClassCode Display Names

Class Code	Class Code Display Name	Coding Schema / Code System
1	Unstructured	2.16.840.1.113883.13.34.110.1.1000.1 - CMS Schema
2	Structured	2.16.840.1.113883.13.34.110.1.1000.1 - CMS Schema

Table 8: Content Type Codes and Corresponding Content Type Code Display Names provides the Content Type Codes and Corresponding Content Type Code Display Names.

Metadata Vocabulary - Class Schema: urn:uuid:f0306f51-975f-434e-a61c-c59651d33983

Table 8: Content Type Codes and Corresponding Content Type Code Display Names

Content Type Code	Content Type Code Display Name	Coding Schema / Code System
1	Response to Additional Documentation Request (ADR)	2.16.840.1.113883.13.34.110.1.1000.1 - CMS Schema
5	Service Registration Request	2.16.840.1.113883.13.34.110.1.1000.1 - CMS Schema
7	Unsolicited PWK XDR	2.16.840.1.113883.13.34.110.1.1000.1 - CMS Schema
8.1	Non-Emergent Ambulance Transport PA Request	2.16.840.1.113883.13.34.110.1.1000.1 - CMS Schema
8.3	HHPCR	2.16.840.1.113883.13.34.110.1.1000.1 - CMS Schema
8.4	DMEPOS	2.16.840.1.113883.13.34.110.1.1000.1 - CMS Schema
8.5	HOPD	2.16.840.1.113883.13.34.110.1.1000.1 - CMS Schema

Content Type Code	Content Type Code Display Name	Coding Schema / Code System
8.6	Inpatient Rehabilitation Facility (IRF)	2.16.840.1.113883.13.34.110.1.1000.1 - CMS Schema
8.7	Ambulatory Surgical Center (ASC)	2.16.840.1.113883.13.34.110.1.1000.1 - CMS Schema
9	First Level Appeal Requests	2.16.840.1.113883.13.34.110.1.1000.1 - CMS Schema
9.1	Second Level Appeal Requests	2.16.840.1.113883.13.34.110.1.1000.1 - CMS Schema
10	Advance Determination of Medicare Coverage (ADMC) Request	2.16.840.1.113883.13.34.110.1.1000.1 - CMS Schema
11	RA Discussion Requests	2.16.840.1.113883.13.34.110.1.1000.1 - CMS Schema
11.1	DME Phone Discussion Requests	2.16.840.1.113883.13.34.110.1.1000.1 - CMS Schema
13	Supporting Documentation for an unsolicited X12N 278 5010 Request that was submitted to the RC via esMD.	2.16.840.1.113883.13.34.110.1.1000.1 - CMS Schema

The Content Type Code Display Name column in Table 8: Content Type Codes and Corresponding Content Type Code Display Names represents the lines of business for the CMS. The esMD accepts documentation from providers and HIHs.

4.2.22 ADR Categorization Values

ADR Categorization Values are accepted for Response to Additional Documentation Request (ADR) Requests for the optional metadata element responseTypeCategory. Table 9: ADR Categorization value Descriptions provides the new ADR response metadata element values for responseTypeCategory (Optional metadata) with the following values and associated meanings.

Table 9: ADR Categorization value Descriptions

Value	Description	Comments
1.10	MR (Medical Review)	Responses to Targeted, Probe & Educate (TPE), Pre-pay, Post-pay reviews
1.11	Non-MR (Non- medical Review)	Provider to distinguish based on type of response
1.12	PA – Responses	Responses for PA/PCR requests

Table 10: Confidentiality Codes provides the Confidentiality Codes.

Metadata Vocabulary - Class Schema: urn:uuid:f4f85eac-e6cb-4883-b524-f2705394840f

Reference URL:
http://hl7.org/library/Committees/structure/CDA.ReleaseTwo.CommitteeBallot03.Aug.2004.zip

Table 10: Confidentiality Codes

Confidentiality Code	Description	Coding Schema / Code System
N	Normal	2.16.840.1.113883.5.25
R	Restricted	2.16.840.1.113883.5.25
V *	Very Restricted (default for the esMD)	2.16.840.1.113883.5.25

* The esMD will only accept the Very Restricted Confidentiality Code.

Table 11: HealthCare Facility Type Code provides the HealthCare Facility Type Codes.

Metadata Vocabulary - Class Schema: urn:uuid:f33fb8ac-18af-42cc-ae0e-ed0b0bdb91e1

Table 11: HealthCare Facility Type Code

Type Code	HealthCare Facility Type Code Display Name	Coding Schema / Code System
1.	Health Information Handler (HIH)	2.16.840.1.113883.13.34.110.1.1000.1 - CMS Class Codes
2.	Health Care provider	2.16.840.1.113883.13.34.110.1.1000.1 - CMS Class Codes
3.	The CMS Review Contractor	2.16.840.1.113883.13.34.110.1.1000.1 - CMS Class Codes

Table 12: Submission Set/Document Title provides the Submission Set or Document Title.

Table 12: Submission Set/Document Title

Submission Set/Document Title
Solicited Supporting Documentation
Additional Documentation Request
Unsolicited Documentation

Table 13: Document Format Code and Payload Type provides the Document Format Code and Payload Type.

Metadata Vocabulary - Class Schema: urn:uuid:a09d5840-386c-46f2-b5ad-9c3699a4309d

Table 13: Document Format Code and Payload Type

No.	Format Code	Format Description	Coding Schema / Code System
1.	HITSP C62 urn:hitsp:c62:cda:pdf	Scanned PDF Document in Clinical Document Architecture (CDA) C62 Construct	2.16.840.1.113883.13.34.110.1.1000.1 – The esMD Schema
2.	HITSP C62 urn:hitsp:c62:cda:tiff	Scanned TIFF Document in CDA C62 Construct	2.16.840.1.113883.13.34.110.1.1000.1 – The esMD Schema
3.	HITSP C83	HITSP C83	2.16.840.1.113883.13.34.110.1.1000.1 - The esMD Schema
4.	HITSP C32	HITSP C32	2.16.840.1.113883.13.34.110.1.1000.1 - The esMD Schema
5.	urn:ihe:iti:xds-sd:pdf:2008	Scanned PDF Document in XDS	1.3.6.1.4.1.19376.1.2.3
6.	urn:ihe:iti:xds-sd:text:2008	Scanned Documents with text (XDS-SD)	1.3.6.1.4.1.19376.1.2.3

Table 14: Overall Mapping of Document Submission with Class and Content Type Codes details the Overall Mapping of the Document Submission with the Class and Content Type Codes.

This table shows the possible combinations/mappings between Unsolicited and Solicited Documentation, Format Code, Class Code, and Type Code.

Table 14: Overall Mapping of Document Submission with Class and Content Type Codes

Solicited Supporting and Unsolicited Documentation	Format Code (Payload Construct)	Class Code	Class Code Display Name	Content Type Code	Content Type Code Display Name
Solicited Supporting Documentation	HITSP C62	1	Unstructured	1	Response to Additional Documentation Request (ADR)
Unsolicited Documentation	HITSP C62	1	Unstructured	8.1	Non-Emergent Ambulance Transport PA Request

Solicited Supporting and Unsolicited Documentation	Format Code (Payload Construct)	Class Code	Class Code Display Name	Content Type Code	Content Type Code Display Name
Unsolicited Documentation	HITSP C62	1	Unstructured	8.3	HHPCR
Unsolicited Documentation	HITSP C62	1	Unstructured	8.4	DMEPOS
Unsolicited Documentation	HITSP C62	1	Unstructured	8.5	HOPD
Unsolicited Documentation	HITSP C62	1	Unstructured	8.6	IRF
Unsolicited Documentation	HITSP C62	1	Unstructured	8.7	ASC
Unsolicited Documentation	HITSP C62	1	Unstructured	9	First Level Appeal Requests
Unsolicited Documentation	HITSP C62	1	Unstructured	9.1	Second Level Appeal Requests
Unsolicited Documentation	HITSP C62	1	Unstructured	10	Advance Determination of Medicare Coverage
Unsolicited Documentation	HITSP C62	1	Unstructured	11	RA Discussion Requests
Unsolicited Documentation	HITSP C62	1	Unstructured	11.1	DME Phone Discussion Request
Unsolicited Supporting Documentation	HITSP C62	1	Unstructured	13	Supporting documentation for an unsolicited X12N 278 5010 Request that was submitted to the RC via esMD.

Note: Table 15: Combination of the esMD Codes and Claim/Case IDs for Different Types of Submission Requests presents the possible values that will be accepted. If the values sent by the HIH/provider do not match for the corresponding type of submission request, the submission will be rejected.

Table 15: Combination of the esMD Codes and Claim/Case IDs for Different Types of Submission Requests

No.	Type of Submission Request	Content Type Code (Submission Set Metadata Attribute)	HealthCare Facility Type Code (Document Metadata Attribute)	Format Code (Document Metadata Attribute)	Class Code (Document Metadata Attribute)	The esMDClaimId (Submission Set Metadata Attribute)	The esMDCaseId (Submission Set Metadata Attribute)	The AttachmentControlNumber (SubmissionSet Metadata Attribute)
1.	Response to ADR	1	1, 2	1	1	Required	Required if known	N/A
2.	Unsolicited PWK	7	1, 2	1	1	Required	Optional	Required
3.	Non-Emergent Ambulance Transport PA Requests	8.1	1, 2	1	1	No. The esMDClaimId XML metadata attribute tag shall not be provided	No. The esMDCaseId XML metadata attribute tag shall not be provided	N/A
4.	HHPCR	8.3	1, 2	1	1	No. The esMDClaimId XML metadata attribute tag shall not be provided	No. The esMDCaseId XML metadata attribute tag shall not be provided	N/A
5.	DMEPOS	8.4	1,2	1	1	No. The esMDClaimId XML metadata attribute tag shall not be provided	No. The esMDCaseId XML metadata attribute tag shall not be provided	N/A
6.	HOPD	8.5	1,2	1	1	No. The esMDClaimId XML metadata	No. The esMDCaseId XML metadata	N/A

No.	Type of Submission Request	Content Type Code (Submission Set Metadata Attribute)	HealthCare Facility Type Code (Document Metadata Attribute)	Format Code (Document Metadata Attribute)	Class Code (Document Metadata Attribute)	The esMDClaimId (Submission Set Metadata Attribute)	The esMDCaseId (Submission Set Metadata Attribute)	The AttachmentControlNumber (SubmissionSet Metadata Attribute)
						attribute tag shall not be provided	attribute tag shall not be provided	
7.	Inpatient Rehabilitation Facility (IRF)	8.6	1,2	1	1	No. The esMDClaimId XML metadata attribute tag shall not be provided	No. The esMDCaseId XML metadata attribute tag shall not be provided	N/A
8	Ambulatory Surgical Center (ASC)	8.7	1,2	1	1	No. The esMDClaimId XML metadata attribute tag shall not be provided	No. The esMDCaseId XML metadata attribute tag shall not be provided	N/A
9	First Level Appeal Requests	9	1, 2	1	1	Optional	Optional	N/A
10	Second Level Appeal Requests	9.1	1, 2	1	1	Optional	Optional	N/A
11.	Advance Determination of Medicare Coverage	10	1, 2	1	1	Not Required	Optional	N/A

No.	Type of Submission Request	Content Type Code (Submission Set Metadata Attribute)	HealthCare Facility Type Code (Document Metadata Attribute)	Format Code (Document Metadata Attribute)	Class Code (Document Metadata Attribute)	The esMDClaimId (Submission Set Metadata Attribute)	The esMDCaseId (Submission Set Metadata Attribute)	The AttachmentControlNumber (SubmissionSet Metadata Attribute)
12.	RA Discussion Requests	11	1, 2	1	1	Required	Required if known	N/A
13.	DME Phone Discussion Requests	11.1	1, 2	1	1	Required	Required if known	N/A
14.	Supporting Documentation for the X12N 278 5010 Request	13	1, 2	1	1	No. The esMD ClaimID XML metadata attribute tag shall not be provided	No. The esMD systemCaseId XML metadata attribute tag shall not be provided	Required

.

4.3 Submitting Split Payloads

The esMD Split Payload functionality is provided in esMD for HIHs to use when submitting payloads lager than the 200 MB size. The HIHs must use this functionality and submit split payloads to the RCs. Maximum of 99 splits is accepted by the esMD system. To facilitate the RC to identify the split payloads, two additional tags for Parent Unique ID and Split Number are added in the XDR requests.

The following are the validations that occur in esMD when the request contains either the Parent Unique ID or the Split Number or both values.

1. The Parent Unique ID and the submission Unique ID should be the same for the first split load transaction.
2. The Parent Unique ID provided in the first split transaction must be used in the rest of the split transactions. This helps RC to identify all the split transactions.
3. The Parent Unique ID must be the same for the first split and the rest of the split transactions based on the split payloads.
4. The esMD system will reject the subsequent split transactions for the same Parent Unique ID if the first split load was rejected due to any validation errors.
5. The HIH must submit the subsequent split submission after receiving the successful processing confirmation (i.e., esMD - Delivery To esMD Cloud Object Storage (S3) bucket) of the first split payload.
6. Split number provided in the request helps HIHs and RCs to better manage and track split payloads. Minimum length of the Split number is three and maximum length is five. Example: 1-3, 99-99.
7. When the esMD receives the duplicate split number or any split number is missed or additional split numbers than numbered in the request for the same Parent Unique Number, HIH would receive the warning message, but that particular split transaction is still sent to RC.
8. When any of the split payloads fails validations in esMD or any of the splits are missed, HIHs are required to send only the split transaction that had failed/missed earlier.

Refer to Figure 9: First Split Transaction, Figure 10: Second Split Transaction, and Figure 11: Third Split Transaction for examples for submitting the Split payload transactions.

Figure 9: First Split Transaction

```
<ns1:assertion>          <ns1:id>TD635208P_8442_7882_1477_2020080714340001701</ns1:id>
</ns1:assertion>

<ns2:Slot name="parentUniqueNumber">
<ns2:ValueList>
<ns2:Value>TD635208P_8442_7882_1477_2020080714340001701</ns2:Value>
</ns2:ValueList>
</ns2:Slot>

<ns2:Slot name="splitNumber">
<ns2:ValueList>
<ns2:Value>1-3</ns2:Value>
</ns2:ValueList>
</ns2:Slot>
```

Figure 10: Second Split Transaction

```
<ns1:assertion>
<ns1:id>TestHIH_8442_7882_1477_20200804</ns1:id>
</ns1:assertion>

<ns2:Slot name="parentUniqueNumber">
<ns2:ValueList>                    <ns2:Value>TD635208P_8442_7882_1477_202080714340001701
</ns2:Value>
</ns2:ValueList>
</ns2:Slot>

<ns2:Slot name="splitNumber">
<ns2:ValueList>
<ns2:Value>2-3</ns2:Value>
</ns2:ValueList>
</ns2:Slot>
```

Figure 11: Third Split Transaction

```
<ns1:assertion>
<ns1:id>TestHIH_3456_7882_1477_20200805</ns1:id>
</ns1:assertion>

<ns2:Slot name="parentUniqueNumber">
<ns2:ValueList>        <ns2:Value>TD635208P_8442_7882_1477_202080714340001701</ns2:Valu
e>
</ns2:ValueList>
</ns2:Slot>

<ns2:Slot name="splitNumber">
<ns2:ValueList>
<ns2:Value>3-3</ns2:Value>
</ns2:ValueList>
</ns2:Slot>
```

4.4 XDR Validation

The following validations occur in the esMD for the inbound submission in XDR format:

1. TLS Authentication
2. OID Validation (Authorization) - Home Community OID Verification against the CMS Certified HIHs based on CMS Onboarding Process
3. Check Payload Size
4. A Copy of Payload is Sent to Blue Coat Gateway for Virus Scanning
5. Check for Duplicate Unique ID
6. Claim reviewer Participation Validation
7. Affinity Values validation
8. Document Availability in submission
9. Base64 SHA1 Decoding Validation for Payload attachments
10. Review Contractor and Content Type Code cross validation – this is to check whether a particular CMS RC accepts a particular document submission (e.g., Response to ADR,

First Level Appeal Requests and Second Level Appeal Requests., ADMC Request, RA Discussion Request, Non-Emergent Ambulance Transport Requests, HHPCR demonstration requests, DME Phone Discussion Request, DMEPOS and HOPD, Inpatient Rehabilitation Facility).

4.5 XDR Error Messages

Table 16: Error Messages provides details for each error message and identifies the error messages currently used by the esMD Gateway.

Table 16: Error Messages

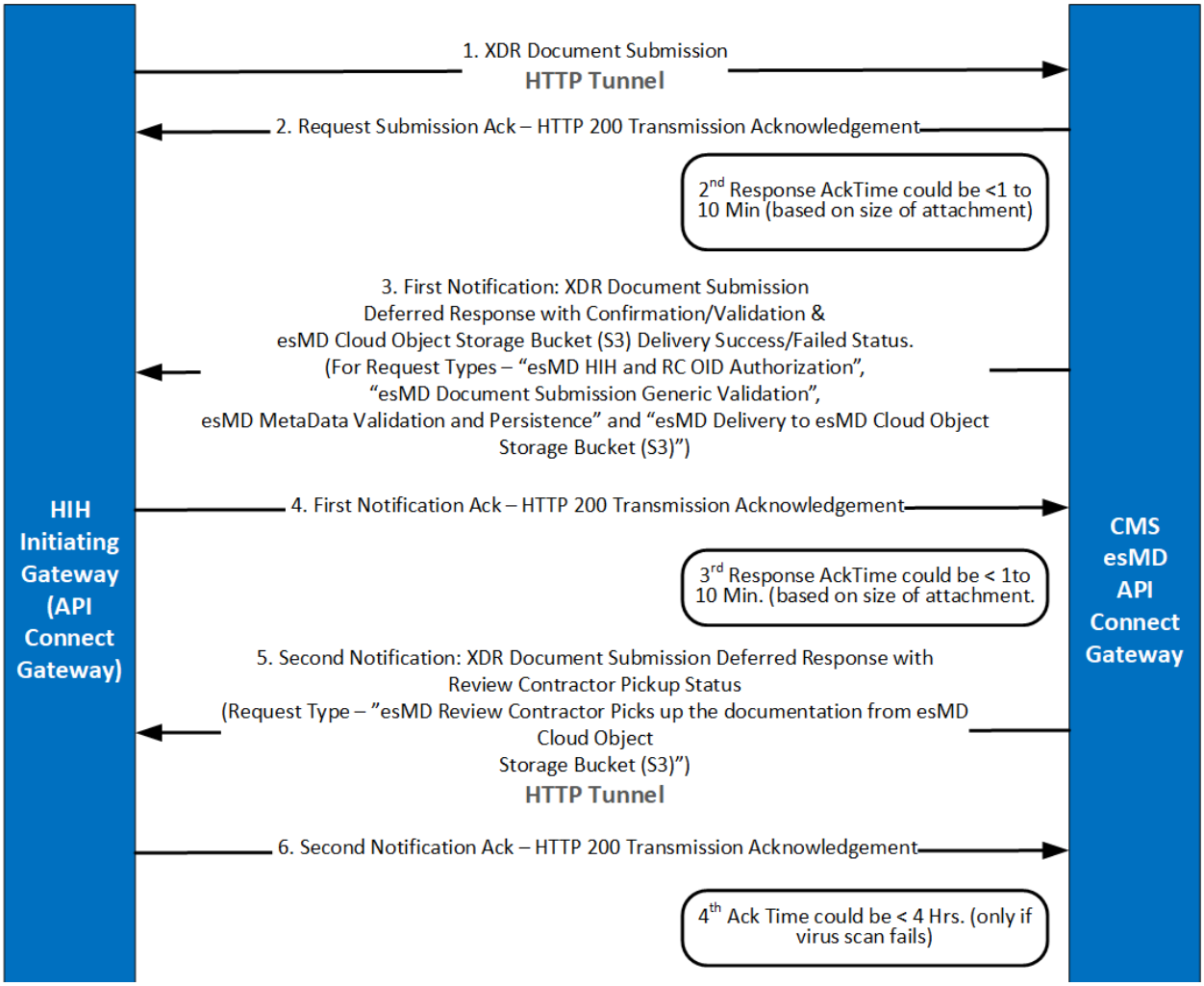
No.	Fatal Error Code	Discussion
1.	XDSHOIDIdDoesNotMatch	The XDR specifies where the submitted HIH Home Community IDs must match between documents (i.e., submission sets and the esMD Onboarded HIH OID).
2.	XDSDuplicateUniqueIdInRegistry	The UniqueID received was not unique within the Registry. The UniqueID could have been attached to earlier XDSSubmissionSet.
3.	XDSMissingDocumentMetadata	The MIME package contains the MIME part with Content-ID header not found.
4.	XDSRegistryMetadataError	An Error was detected in the metadata. The Actor name indicates where the error was detected. The CodeContext indicates the nature of the problem. This error code will be used to convey validation related errors for the following: Class Code, Content Type Code, Format Code, HealthCare Facility Type code, Confidentiality Code, the esMDClaimId, the esMDCaseId, and NPI. It will also be used to convey errors related to RC OID and Content Type Code cross validation.
5.	XDSMissingDocument	The Metadata exists with no corresponding attached document.
6	XDSNonIdenticalHash	The Hash code of the attached document does not match.
7	CMS DocumentVirus ScanError	Any Antivirus scan failures that occur in the process of delivery and at RC end.
8.	XDSRegistryError	Internal the esMD Registry/Repository Error
9.	XDSRegistryBusy	Too Much Activity
10.	XDSRegistryOutOfResources	Resources are low
11.	RCAdministrativeError	Administrative Errors was received from RC. This error code will be used to convey RC Administrative related errors for the following: corrupt Files

* Warning messages will be considered as information and will not be categorized as fatal errors. No warning messages have been identified at this time.

4.6 XDR Status and Notification Messages

Refer to Figure 12: Document Submission Deferred Responses with Multiple HTTP Connections for the information discussed in this section.

Figure 12: Document Submission Deferred Responses with Multiple HTTP Connections



4.6.1 The esMD First Acknowledgment - HTTP Status Code

HIHs will take actions based on the HTTP Status code. The HTTP Status code of 200 indicates a successful submission while the HTTP status codes from 300 through 499 indicate the possibility of a fatal error. The esMD Team expects HIHs to take appropriate action to fix fatal errors. The esMD specific HTTP Status codes series will begin from 500.

HTTP status codes are the codes that the client (HIH) Web server uses to communicate with the esMD Web browser or user agent.

The HTTP status codes will allow HIHs to control their Web server with a higher degree of accuracy and effectiveness.

Table 17: HTTP Status Codes indicates the category assigned to each HTTP Status Code numerical series.

Table 17: HTTP Status Codes

HTTP Status Code Series	Code Category
HTTP Status Codes 100-101	Informational Status Codes
HTTP Status Codes 200-206	Successful Status Codes
HTTP Status Codes 300-307	Redirection Status Codes
HTTP Status Codes 400-416	Client Error Status Codes
HTTP Status Codes 500-505	Server Error Status Codes

The XDR Deferred Document Submission Response SOAP message will have the Assertions, Target Communities (as HIH OID, Description, and Name), and Response.

To correlate the request to the response, the unique ID (AssertionType.getSamlAuthzDecisionStatement().getEvidence().getAssertion().getId()) and message ID will be copied back into the response message.

4.6.2 Success Message

Figure 13: Success Message Example provides an example of the Success Message.

Figure 13: Success Message Example

```
<soap:Envelope xmlns:soap="http://www.w3.org/2003/05/soap-envelope">
  <soap:Header>
    <Action
xmlns="http://www.w3.org/2005/08/addressing">urn:gov:hhs:fha:nhinc:nhincentityxdr:async:request:Pr
ovideAndRegisterDocumentSet-bAsyncRequest_ResponseMessage</Action>
    <MessageID xmlns="http://www.w3.org/2005/08/addressing">urn:uuid:48c1d664-08d6-47f9-9ba1-
48c94dcc51a2</MessageID>
    <To
xmlns="http://www.w3.org/2005/08/addressing">http://www.w3.org/2005/08/addressing/anonymous</T
o>
    <RelatesTo xmlns="http://www.w3.org/2005/08/addressing">uuid:32a78129-77df-4e9e-84d3-
b450413e500c</RelatesTo>
  </soap:Header>
  <soap:Body>
    <ns8:XDRAcknowledgement xmlns:ns10="http://docs.oasis-open.org/wsn/b-2"
xmlns:ns11="urn:gov:hhs:fha:nhinc:common:subscriptionb2overridefordocuments"
xmlns:ns12="http://docs.oasis-open.org/wsrf/bf-2" xmlns:ns13="http://docs.oasis-open.org/wsn/t-1"
xmlns:ns14="http://nhinc.services.com/schema/auditmessage"
xmlns:ns15="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:ns16="http://www.caqh.org/SOAP/WSDL/CORERule2.2.0.xsd"
xmlns:ns17="urn:oasis:names:tc:emergency:EDXL:DE:1.0"
xmlns:ns18="http://www.hhs.gov/healthit/nhin/cdc"
xmlns:ns19="urn:gov:hhs:fha:nhinc:common:subscriptionb2overrideforcdc"
xmlns:ns2="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:ns3="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:ns4="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:ns5="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0"
```

```
xmlns:ns6="urn:ihe:iti:xds-b:2007" xmlns:ns7="urn:oasis:names:tc:ebxml-regrep:xsd:query:3.0"
xmlns:ns8="http://www.hhs.gov/healthit/nhin" xmlns:ns9="http://www.w3.org/2005/08/addressing">
        <ns8:message status="urn:oasis:names:tc:ebxml-
regrep:ResponseStatusType:RequestAccepted">
          <ns4:ResponseSlotList>
            <ns3:Slot name="esMDTransactionID">
              <ns3:ValueList>
                <ns3:Value>LQJ0007142862EC</ns3:Value>
              </ns3:ValueList>
            </ns3:Slot>
          </ns4:ResponseSlotList>
        </ns8:message>
      </ns8:XDRAcknowledgement>
    </soap:Body>
</soap:Envelope>
```

4.6.3 esMD First Acknowledgment Error messages:

No.	Scenario	First Acknowledgement Error Message	Comments
1.	Intended Recipient OID provided in the XDR request is more than 64 characters in length. This is applicable for all the lines of business.	If the intended recipient OID is more than 64 characters, esMD will reject the request and the send the error message below as part of a Realtime XDR acknowledgment. errorCode="XDSRegistryError" Error message: ESMD_SCHEMA_000-intendedRecipient error : string {0} is too long (length: 76, maximum allowed: 64)	N/A
2	The NPI value needs to be 10 numeric characters long to comply with the standard specification.	If the NPI is more than 256 characters, esMD will reject the request and the send the error message below as part of Realtime XDR acknowledgment. Error message: ESMD_SCHEMA_000-nationalProviderId error : string {0} is too long (length: 279, maximum allowed: 256)	N/A
3	Unique ID is more than 84 characters	If the Unique ID is more than 84 characters, esMD will reject the request and the send the error message below as part of the Realtime XDR acknowledgment. Error message: ESMD_SCHEMA_000-unique_id error: string {0} is too long (length: 127, maximum allowed: 84).	N/A

No.	Scenario	First Acknowledgement Error Message	Comments
4	Case ID provided in the XDR request is more than 256 characters in length. This is applicable for all the lines of business.	If the Case ID is more than 256 characters, esMD will reject the request and the send the error message below as part of Realtime XDR acknowledgment. Error message: ESMD_SCHEMA_000-esMDCaseId error: string {0} is too long (length: 380, maximum allowed: 256)	N/A
5	Claim ID provided in the XDR request is more than 256 characters in length. This is applicable for all the lines of business.	If the Claim ID is more than 256 characters, esMD will reject the request and the send the below error message as part of Realtime XDR acknowledgment. Error message: ESMD_SCHEMA_000-esMDClaimId error: string {0} is too long (length: 367, maximum allowed: 256)	N/A
6	The esMD API Gateway Home Community ID (OID) provided in the XDR request is more than 64 characters in length. This is applicable for all the lines of business.	If the Homecommunityid is more than 64 characters, esMD will reject the request and the send the error message below as part of Realtime XDR acknowledgment. Error message: ESMD_SCHEMA_000-homeCommunityId error: string {0} is too long (length: 158, maximum allowed: 64)	N/A
7	Document ID provided in the XDR request is more than 128 characters in length. This is applicable for all the lines of business.	If the Document ID is more than 128 characters, esMD will reject the request and the send the error message below as part of Realtime XDR acknowledgment. Error message: ESMD_SCHEMA_000-id error: string {0} is too long (length: 270, maximum allowed: 128)	N/A

No.	Scenario	First Acknowledgement Error Message	Comments
8	Parent Unique number provided in the request is more than 84 characters in length. Please note that the Parent Unique ID is same across all the split payload transaction based on the maximum split number provided.	If the Parent Unique Number is more than 84 characters, esMD will reject the request and the send the error message below as part of Realtime XDR acknowledgment. Error message: ESMD_SCHEMA_000-parentUniqueNumber error: string {0} is too long (length: 252, maximum allowed: 84)	N/A
9	Invalid CTC and Sender OID.	No further validations are performed, and Request is not sent for Virus scan if the request is received with invalid CTC and Invalid Sender OID.	Submission is rejected and error message is sent in the Realtime Acknowledgment response to HIH.
10	Invalid RC OID, Payload Size.	All validations will be performed. Request will be rejected for invalid RC OID and Invalid file size and response is sent to HIH. No virus scan is performed.	Submission is rejected and error message is sent in the Realtime Acknowledgment response to HIH.

4.6.4 The esMD Error Messages

Figure 14: XDR Error Message Example serves as an example of a generic XDR error message. Note the use of errorCode and codeContext below.

Figure 14: XDR Error Message Example

```
<ns2:RegistryResponse xmlns="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0"
xmlns:ns2="urn:oasis:names:tc:ebxml-regrep:xsd:rs:3.0" xmlns:ns3="urn:oasis:names:tc:ebxml-
regrep:xsd:query:3.0" xmlns:ns4="http://www.hhs.gov/healthit/nhin"
xmlns:ns5="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" requestId=“esMD - Meta Data Validation
and Persistence" status="urn:oasis:names:tc:ebxml-regrep:ResponseStatusType:Failure">
   <ns2:ResponseSlotList>
      <Slot name=“esMDTransactionId">
         <ValueList>
            <Value> ABF000007845931</Value>
         </ValueList>
      </Slot>
      <Slot name=“esMDClaimId">
         <ValueList>
            <Value>1234567890123</Value>
         </ValueList>
```

```
        </Slot>
        <Slot name="esMDCaseId">
          <ValueList>
            <Value>1234567890123</Value>
          </ValueList>
        </Slot>
        <Slot name="contentTypeCode">
          <ValueList>
            <Value>9</Value>
          </ValueList>
        </Slot>
    </ns2:ResponseSlotList>
    <ns2:RegistryErrorList highestSeverity="urn:oasis:names:tc:ebxml-regrep:ErrorSeverityType:Error">
        <ns2:RegistryError codeContext=" ESMD_317 - The Review Contractor to whom this submission
was sent does not accept this particular document, identified by the ContentType code.  Please change
either the Review Contractor OID or the ContentType Code and submit again"
errorCode="XDSRegistryMetadataError" severity="urn:oasis:names:tc:ebxml-
regrep:ErrorSeverityType:Error">
        </ns2:RegistryError>
    </ns2:RegistryErrorList>
</ns2:RegistryResponse>
```

4.6.5 The esMD System First Notification

4.6.5.1 Metadata Validation

Based on the following validations, an asynchronous XDR Response message with success or detailed failed acknowledgment messages will be sent out to the HIH:

1. Validate the syntaxes.
2. Validate Semantics with the esMD affinity domain values.
3. Validate Payload Size.
4. Validate duplicate Unique ID for the message.
5. Validate participation of intended recipient claim reviewers.
6. Validate HIH OID authorization based on the CMS Onboarding.
7. Cross-validate RC OID and Content Type Code to check whether a particular RC accepts a document submission (e.g., Responses to ADR, First Level Appeal Requests and Second Level Appeal Requests., ADMC, RA Discussion Requests, DME Phone Discussion Request, Non-Emergent Ambulance Transport PA Requests, DMEPOS, HHPCR, HOPD, IRF, ASC).

4.6.5.2 PDF Validation

The esMD system will perform the following validations on the attached PDFs in the submission package before sending it to the RCs.

Corrupted File:

- esMD will inspect the PDF files to verify they are not corrupted.
- If there are multiple PDFs in a package, the entire package will be rejected by esMD if one of them is corrupted.

- An error message shall be sent to the HIH that sent the corrupted PDF.

Table 18: Summary of PDF Validation Error and Audit Messages

Error Code	Description	Error Message	Audit Messages
ESMD_1235	If a received application/pdf file was determined to be corrupted or the actual MIME type is not .PDF.	The <<MIME Type>> file with document_Id <<Document_Id>> received by esMD found to be corrupted. Correct and resubmit.	<<MIME Type>> FILE WITH DOCUMENT_ID <<DOCUMENT_ID>> RECEIVED BY ESMD FOUND TO BE CORRUPTED. CORRECT AND SUBMIT.

These acknowledgments will be sent anywhere from less than one minute up to ten minutes after validation and is based on the size of attachment.

4.6.5.3 Metadata Validation Errors

Table 19: Sample Error Message Content gives the sample first notification response “error message content” that will be sent for different scenarios.

The error messages listed shall be sent in the First Notification Response.

Table 19: Sample Error Message Content

No.	Use Case	Scenario	First Notification Error Message	Comments
1.	All	Combination of Content Type Code, Healthcare FacilityType Code, Format Code and Class Code is incorrect	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryMetadataError" codeContext=" ESMD_315 - The combination of Content Type Code, Healthcare Facility Type Code, Format Code, and Class Code is incorrect for this type of document submission. Correct and resubmit."/> </ns10:RegistryErrorList>	N/A
2.	All	Invalid Content Type Code	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryMetadataError" codeContext=" ESMD_316 - The Content Type Code is incorrect; the submission is not accepted. Correct and resubmit."/> </ns10:RegistryErrorList>	N/A
3.	All	Duplicate Submission	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSDuplicateUniqueIdInRegistry" codeContext=" ESMD_302 - Duplicate Claim document submission found, the Claim document submission was not accepted."/> </ns10:RegistryErrorList>	N/A

No.	Use Case	Scenario	First Notification Error Message	Comments
4.	All	NPI is incorrect	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryMetadataError" codeContext=" ESMD_312 - Either NPI length or data type is incorrect; the submission is not accepted."/> </ns10:RegistryErrorList> </ns20:RegistryResponse>	N/A
5.	ADR, RA Discussion Requests and DME Phone Discussion Request	Claim ID format is incorrect	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryMetadataError" codeContext=" ESMD_318 - The Claim ID was sent in the incorrect composite format. The correct format needs to be 'Claim ID ^^^&RCOID&ISO'. Please check the format and resubmit again." /> </ns10:RegistryErrorList>	N/A
6.	ADR, RA Discussion Requests and DME Phone Discussion Request.	Case Id format is incorrect	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryMetadataError" codeContext=" ESMD_319 - The Case ID was sent in the incorrect composite format. The correct format needs to be 'CaseID ^^^&RCOID&ISO'. Please check the format and resubmit again." /> </ns10:RegistryErrorList>	N/A

No.	Use Case	Scenario	First Notification Error Message	Comments
7.	ADR, ADMC Requests, RA Discussion Requests and DME Phone Discussion Request.	Case Id is more than 32 characters in length	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryMetadataError" codeContext=" ESMD_311 - Case ID is more than 32 characters; the submission is not accepted." /> </ns10:RegistryErrorList>	N/A
8.	Non-Emergent Ambulance Transport, Pre-Claim Review (PCR) Demonstrations for HHPCR , Durable Medical Equipment, Prosthetics/ Orthotics & Supplies (DMEPOS) and Hospital Outpatient Department Services (HOPD) requests, Inpatient Rehabilitation Facility (IRF), Ambulatory Surgical Center (ASC)	Submission request contains Claim and Case Id tags	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryMetadataError" codeContext=" ESMD_322 – Case ID is an invalid field for PA Requests."/> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryMetadataError" codeContext=" ESMD_321 – Claim ID is not allowed. Resubmit with no XML tag for the Claim ID." /> </ns10:RegistryErrorList>	N/A

No.	Use Case	Scenario	First Notification Error Message	Comments
9.	All	Review Contractor does not accept a document submission	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode=" XDSRegistryMetadataErrorXDSHOIDIdDoesNotMatch" codeContext=" ESMD_317 - The Review Contractor to whom this submission was sent does not accept this particular document, identified by the ContentType code. Please change either the Review Contractor OID or the ContentType Code and submit again." /> </ns10:RegistryErrorList>	N/A
10.	All programs requiring Claim ID	Claim Id for ADR, First Level Appeal Requests and Second Level Appeal Requests., RA Discussions and DME Phone Discussion Request does not match either the 8 numeric,13 numeric or 15 numeric or 17-23 varchar	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryMetadataError" codeContext=" ESMD_320 - Either the length or format of the Claim ID is incorrect. The Claim ID needs to be either 8 or 13-15 numeric characters or 17-23 alphanumeric (the only special characters allowed are hyphens, underscores and spaces) in length. Please correct and resubmit. "/> </ns10:RegistryErrorList>	N/A

No.	Use Case	Scenario	First Notification Error Message	Comments
11.	ADR	ADR PERM transaction submitted with the Case ID in standard format	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryMetadataError" codeContext="ESMD_323 - For submissions to PERM, the esMD Claim ID value needs to be blank and the esMD Case ID value needs to be the PERM ID, which is 11 alphanumeric characters long or in the composite format CaseID^^^&RCOID&ISO. Correct and resubmit." /> </ns10:RegistryErrorList>	N/A
12.	All	XDR submission request sent by the HIH gateway cannot be processed by the esMD Gateway since the payload size is more than 200 MB in size.	<ns3:RegistryErrorList> <ns3:RegistryError errorCode="XDSRegistryOutOfResources" codeContext="ESMD_324 - The submission is not accepted because the esMD Gateway cannot process requests with a payload size more than 200 MB in size. Please make sure the encoded payload is less than 200 MB in size and resubmit.” /> </ns3:RegistryErrorList>	N/A
13.	All	File contains virus	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="CMSDocumentVirusScanError " codeContext="ESMD_127 - THE ESMD validation error: Submission is infected with virus xxx." /> </ns10:RegistryErrorList>	N/A

No.	Use Case	Scenario	First Notification Error Message	Comments
14.	All	If file fails to decode	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSNonIdenticalHash" codeContext="ESMD_128 - THE ESMD Processing error (Unable to decode submission). Please resubmit." /> </ns10:RegistryErrorList>	N/A
15.	All	Payload is missing	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSMissingDocument" codeContext="**ESMD_370 Document Id exists in metadata with no corresponding attached document. Resubmit with attachment."** ." /> </ns10:RegistryErrorList>	N/A
16.	All	Document ID inside metadata does not match the document ID assigned to payload	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryMetadataError" codeContext=" ESMD_368 - validation error: Document ID inside metadata does not match the Payload Document ID." /> </ns10:RegistryErrorList>	N/A
17.	All	MIME type is not correct	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSMissingDocumentMetadata" codeContext="ESMD_367 - MIME type is not correct. Correct and resubmit." /> </ns10:RegistryErrorList>	N/A

No.	Use Case	Scenario	First Notification Error Message	Comments
18.	All	Unzip file fails	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_405 - Review Contractor Client processing error (Unzip failure). Please resubmit." /> </ns10:RegistryErrorList>	N/A
19.	All	Checksum does not match	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_406 - Review Contractor Client processing error (Checksum issue). Please resubmit." /> </ns10:RegistryErrorList>	N/A
20.	XDR supporting documentation with CTC 13 for the previously submitted X12N 278 PA requests.	ACN does not match the ACN in the X12	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_376 - Attachment Control Number does not match the Attachment Control Number received in X12N 278 request. Provide matching X12N 278 Attachment Control Number and resubmit." /> </ns10:RegistryErrorList>	N/A
21.	XDR supporting documentation with CTC 13 for the previously submitted X12N 278 PA requests.	Invalid ACN	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_377 - Incorrect format/length of the Attachment Control Number. Provide a valid X12N 278 Attachment Control Number and resubmit." /> </ns10:RegistryErrorList>	N/A

No.	Use Case	Scenario	First Notification Error Message	Comments
22	All	Virus Scanning	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_375 - esMD Virus Scanning service is unavailable. Retry later" /> </ns10:RegistryErrorList>	N/A
23	All	Invalid HIH OID	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_201- Either HIH OID is invalid or agreement has expired. Correct and resubmit." /> </ns10:RegistryErrorList>	N/A
24	All	Parent Unique ID and Unique ID do not match	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_573: The Parent Unique ID and Unique ID received in the Submission does not match. Correct and Resubmit." /> </ns10:RegistryErrorList>	N/A
25	All	Split Number Length and Format	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_575: The Split Number received is in invalid format, must be minimum 3 and maximum 5 in length and can contain numbers and dash. Correct and Resubmit." /> </ns10:RegistryErrorList>	N/A
26	All	Missing a Split Number sequence	<ns10:RegistryErrorList highestSeverity="WARNING"> <ns10:RegistryError” severity="WARNING" errorCode="XDSRegistryError" codeContext="ESMD_576: Warning Message: Missing Split number sequence from the Submission for the Parent Unique ID <ParentUniqueID>." /> </ns10:RegistryErrorList>	N/A

No.	Use Case	Scenario	First Notification Error Message	Comments
27	All	More split numbers received than numbered	<ns10:RegistryErrorList highestSeverity="WARNING"> <ns10:RegistryError” severity="WARNING" errorCode="XDSRegistryError" codeContext="ESMD_577: Warning Message: Additional split number received for the Parent Unique ID." /> </ns10:RegistryErrorList>	N/A
28	All	Duplicate split numbers received in the submission	<ns10:RegistryErrorList highestSeverity="WARNING"> <ns10:RegistryError” severity="WARNING" errorCode="XDSRegistryError" codeContext="ESMD_578: Warning Message: Duplicate split number received from the Submission for the Parent Unique ID <ParentUniqueID>" /> </ns10:RegistryErrorList>	N/A
29	All	Combination of template ID and format code received in the submission	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError” severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_580: Warning Message: The combination of Template ID and Format code is incorrect. Correct and resubmit." /> </ns10:RegistryErrorList>	N/A
30	All	Invalid Confidentiality Code	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_306 - Either Confidentiality Code or corresponding Schema Code is invalid; the submission is not accepted. Correct and resubmit." /> </ns10:RegistryErrorList>	N/A
31	Unsolicited PWK documents	The format and length for the ACN is a minimum of 2 and a maximum of 80 alphanumeric (A-Za-z0-9) characters	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_561 - Invalid Attachment Control Number. Correct and Resubmit. " /> </ns10:RegistryErrorList>	N/A

No.	Use Case	Scenario	First Notification Error Message	Comments
32	All	Reject current split submission if Parent split submission was not accepted by esMD	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_ 579 - The current split submission is rejected because the parent split submission was not accepted by esMD. Correct and resubmit." /> </ns10:RegistryErrorList>	N/A
33	All	More than one XML attachment received in the eMDR Registration Request	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_585 - The request received from HIH has more than one XML attachment. Correct and resubmit." /> </ns10:RegistryErrorList>	N/A
34	All	MIME Type Code and CTC combination (Applies to eMDR Registration Request)	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_586 - Invalid combination of MIME Type and Content Type Code received in the XDR Request Metadata. Correct and resubmit." /> </ns10:RegistryErrorList>	N/A
35	eMDR Service Registration	Schema validation failed for the data elements received in XML	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_587 - Unable to parse Services Registration Request XML file. Correct and resubmit." /> </ns10:RegistryErrorList>	eMDR Registration Request XML schema validation failed for below data elements: Provider Zip Code, Service Code,)

No.	Use Case	Scenario	First Notification Error Message	Comments
36	eMDR Service Registration	Service Code is for eMDR Registration	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_613 - The Service Code associated with NPI [NPI] received in the eMDR Registration Request XML for Action Code <<A/E/R>> is invalid. Correct and resubmit." /> </ns10:RegistryErrorList>	Service Code is valid and present when the action code is “A”, “E” or “R”
37	eMDR Service Registration	Unique Provider NPI	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_614 - The NPI [NPI] received must be unique within the eMDR Registration Request XML. Correct and resubmit." /> </ns10:RegistryErrorList>	Provider NPI must be Unique if the Action Code is “A” or “R”. Duplicate NPI NPI received twice
38	eMDR Service Registration	Active NPI/NPI Consent Check	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_615 - The NPI [NPI] received in the eMDR Registration Request for Action Code “A” is inactive or missing consent in the NPPES. Correct and Resubmit." /> </ns10:RegistryErrorList>	NPI must be active in the NPPES if the Action Code is “A”.
39	eMDR Service Registration	Consent value check	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_618 - The NPI [NPI] received in the eMDR Registration Request has incorrect value [consentTxtFromNPPES] for the NPPES consent. Correct value is "CMS esMD eMDR" in the [useOtherDescription] field. Request provider to correct the consent and resubmit the eMDR Registration Request" /> </ns10:RegistryErrorList>	NPI consent value must be “CMS esMD eMDR”

No.	Use Case	Scenario	First Notification Error Message	Comments
40	eMDR Service Registration	HIH OID and NPI	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_616 - The HIH OID and NPI [NPI] received in the eMDR Registration Request XML for Action Code “A” is already registered with the submitting HIH or other HIH. Correct and Resubmit." /> </ns10:RegistryErrorList>	Combination Check of HIH OID and NPI in the eMDR Registration Request XML for Action Code “A”
41	eMDR Service Registration	Provider not Linked to any HIH	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_617 - The Action Code “R” Received in the eMDR Registration Request is not allowed for NPI [NPI] as association with the HIH OID does not exist in esMD. Correct and Resubmit." /> </ns10:RegistryErrorList>	NPI is not linked to any HIH OID in eMDR Registration Request XML for Action Code “R”.
42	eMDR Service Registration	Start Date	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_1238 - esMD received an invalid Service Date in the request. Correct and resubmit." /> </ns10:RegistryErrorList>	Invalid start date in eMDR Registration Request.
43	eMDR Service Registration	Start Date	<ns10:RegistryErrorList highestSeverity="ERROR"> <ns10:RegistryError severity="ERROR" errorCode="XDSRegistryError" codeContext="ESMD_1241 - Service Start Date cannot be prior to current date. Correct and resubmit." /> </ns10:RegistryErrorList>	Start date is prior to current date in eMDR Registration Request.

4.6.6 The esMD System Second Notification

4.6.6.1 Claim Review Pickup Status Notification

A Notification message will be sent to the HIH after the RC picks up the submitted documents through the REST API . The time to receive this notification acknowledgment is dependent upon the RC inbound submission pulling process from the REST API. If no response is received in a real-time request the sender should contact the esMD Support team (esMD_Support@cms.hhs.gov). Refer to Figure 15: Claim Review Pickup Status Notification.

Note: The format of the “HIHToESMDDeliveryTimeStamp” and “ESMDClaimReviewerPickUpTimeStamp” are updated to include the offset. Figure 15: Claim Review Pickup Status Notification includes the new format.

Figure 15: Claim Review Pickup Status Notification

```
<ns2:RegistryResponse xmlns="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0"
xmlns:ns2="urn:oasis:names:tc:ebxml-regrep:xsd:rs:3.0" xmlns:ns3="urn:oasis:names:tc:ebxml-
regrep:xsd:query:3.0" xmlns:ns4="http://www.hhs.gov/healthit/nhin"
xmlns:ns5="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" requestId=“esMD - Review Contractor Pick
up the documents from esMD" status="urn:oasis:names:tc:ebxml-
regrep:ResponseStatusType:Success">
   <ns2:ResponseSlotList>
      <Slot name=“esMDTransactionId">
         <ValueList>
            <Value>ABC000000001234</Value>
         </ValueList>
      </Slot>
      <Slot name=“esMDClaimId">
         <ValueList>
            <Value>Claim5678901234568</Value>
         </ValueList>
      </Slot>
      <Slot name=“esMDCaseId">
         <ValueList>
            <Value>AA90133333301</Value>
         </ValueList>
      </Slot>
      <Slot name="contentTypeCode">
         <ValueList>
            <Value>1</Value>
         </ValueList>
      </Slot>
      <Slot name="HIHTo THE ESMDDeliveryTimeStamp">
         <ValueList>
            <Value>2018-05-03T11:33:50.510-04:00</Value>
         </ValueList>
      </Slot>
      <Slot name=" THE ESMDClaimReviewerPickUpTimeStamp">
         <ValueList>
            <Value>2018-05-03T11:33:51.518-04:00</Value>
         </ValueList>
      </Slot>
      <Slot name=" THE ESMDPickedUpClaimReviewer">
         <ValueList>
```

```
            <Value>urn:oid:2.16.840.1.113883.13.34.110.1.999.2</Value>
          </ValueList>
        </Slot>
    </ns2:ResponseSlotList>
</ns2:RegistryResponse>
```

4.6.6.2 Claim Review Pickup Error Notification

This notification message is sent to the HIH in the event there is an error in processing the downloaded file at the RC end through REST API or in the Connect Server. If no response is received after eight hours when the CONNECT server is used, the sender should contact the esMD Support team (esMD_Support@cms.hhs.gov). Refer to Figure 16: Claim Review Pickup Error Notification Example.

Figure 16: Claim Review Pickup Error Notification Example

```
<ns2:RegistryResponse   status="urn:oasis:names:tc:ebxml-regrep:ResponseStatusType:Failure"
          requestId="esMD - Review Contractor Pick up the documents from esMD">
    <ns4:ResponseSlotList>
      <ns3:Slot name="esMDTransactionId">
        <ns3:ValueList>
          <ns3:Value> ABF000007845931</ns3:Value>
        </ns3:ValueList>
      </ns3:Slot>
      <ns3:Slot name="HIHTo THE ESMDDeliveryTimeStamp">
        <ns3:ValueList>
          <ns3:Value>20150211121249</ns3:Value>
        </ns3:ValueList>
      </ns3:Slot>
      <ns3:Slot name=" THE ESMDClaimReviewerPickUpTimeStamp">
        <ns3:ValueList>
          <ns3:Value>20150211121249</ns3:Value>
        </ns3:ValueList>
      </ns3:Slot>
      <ns3:Slot name=" THE ESMDPickedUpClaimReviewer">
        <ns3:ValueList/>
      </ns3:Slot>
    </ns4:ResponseSlotList>
    <ns4:RegistryErrorList highestSeverity="urn:oasis:names:tc:ebxml-regrep:ErrorSeverityType:Error">
      <ns4:RegistryError codeContext="Review Contractor Client processing error (Unzip
failure).  Please resubmit"
                  errorCode="XDSRegistryMetadataError"
                  severity="urn:oasis:names:tc:ebxml-regrep:ErrorSeverityType:Error"/>
    </ns4:RegistryErrorList>
</ns2:RegistryResponse>
```

4.6.7 The esMD System Third Notification

4.6.7.1 PA and PCR Review Response

This notification message includes PA Review Response in the event the RC has determined their decision for a PA and PCR request. The notification message could include one of four responses, i.e.:

1. Affirmed (A) - An Affirmed response denotes that the RC has successfully approved the PA and PCR request. See Section 4.9.1.1 Situational Data Elements for Affirmed Decision for more details.
2. Non-Affirmed (N) - A Non-Affirmed response denotes that the RC has not approved the PA and PCR request for one or more reasons. See Section 4.9.1.2 Situational Data Elements for Non-Affirmed Decision, for more details.
3. Affirmed with a Change (M) - An Affirmed with a Change response denotes that the RC has partly approved the Ambulance PA. See Section 4.9.1.3 Situational Data Elements for Modified Decision for more details.
4. Partially Affirmed (P) - A Partially-Affirmed response denotes that the request level review decision response to the PA/PCR request (Partially Affirmed decision is set at the request level based on the decisions (Affirmed, Non-Affirmed, Modified (in case of Ambulance) at service levels).

CMS mandates that the Review Contractor submit a response for a PA/PCR request received by the Review Contractor within ten business days. If neither a PA/PCR review response nor a PA/PCR review error response is received after ten days, the sender should contact the esMD Support team (esMD_Support@cms.hhs.gov).

4.6.7.2 PA and PCR Review Error Response

This notification message includes PA/PCR Error Response in the event RC has determined their decision for a PA request. The notification message includes a Reject (R) response from RCs. A Rejected response denotes that the RC has completely rejected the PA/PCR request for one or more reasons.

Table 20: XDR PA/PCR Reject Error Codes lists the possible reject error codes for XDR PA/ PCR reject

Table 20: XDR PA/PCR Reject Error Codes

Category	Error Codes	Reject Error Description
Requestor	44	First and/or Last name is/are missing
Requestor	35	Not a pilot participant State
Requestor	51	NPI is missing or invalid
Requestor	51	NPI does not match the Name of the Physician
Requestor	51	Requester NPI is not on File
Requestor	41	Provider is exempted from submitting this PA request
Requestor	97	Provider address is missing or invalid
Requestor	97	Provider city is missing or invalid
Requestor	47	Provider state is missing or invalid
Requestor	97	Provider zip is missing or invalid
Beneficiary	58	Date or Birth is missing or invalid
Beneficiary	44	First and/or Last name is/are blank

Category	Error Codes	Reject Error Description
Beneficiary	66	Gender code is missing or invalid
Beneficiary	73	MBI number and name combination - invalid
Beneficiary	72	MBI number is missing or invalid
Beneficiary	95	Not eligible for service
Patient Event	AF	Diagnosis Code is missing or invalid
Patient Event	AF	Diagnosis code qualifier is missing or invalid
Facility	44	Name is missing
Facility	35	Not a pilot participant state
Facility	51	NPI does not match the name of the physician
Facility	51	NPI is missing or invalid
Facility	47	Provider state is missing or invalid
Facility	51	NPI is sent but not found
Facility	97	Provider address is missing or invalid
Facility	97	Provider city is missing or invalid
Facility	97	Provider zip is missing or invalid
Ordering MD	44	First and/or Last name is missing
Ordering MD	35	Not a pilot participant state
Ordering MD	51	NPI does not match the name of the physician
Ordering MD	51	NPI is missing or invalid
Ordering MD	47	Provider state is missing or invalid
Ordering MD	51	NPI is sent but not found
Ordering MD	97	Provider address is missing or invalid
Ordering MD	97	Provider city is missing or invalid
Ordering MD	97	Provider zip is missing or invalid
Rendering MD/Supplier	44	First and/or Last name is missing
Rendering MD/Supplier	35	Not a pilot participant state
Rendering MD/Supplier	51	NPI does not match the name of the physician
Rendering MD/Supplier	51	NPI is missing or invalid
Rendering MD/Supplier	47	Provider state is missing or invalid
Rendering MD/Supplier	51	NPI is sent but not found

Category	Error Codes	Reject Error Description
Rendering MD/Supplier	97	Provider address is missing or invalid
Rendering MD/Supplier	97	Provider city is missing or invalid
Rendering MD/Supplier	97	Provider zip is missing or invalid
Referring Provider	44	First and/or Last name is missing
Referring Provider	35	Not a pilot participant state
Referring Provider	51	NPI does not match the name of the physician
Referring Provider	51	NPI is missing or invalid
Referring Provider	47	Provider state is missing or invalid
Referring Provider	51	NPI is sent but not found
Referring Provider	97	Provider address is missing or invalid
Referring Provider	97	Provider city is missing or invalid
Referring Provider	97	Provider zip is missing or invalid
Operating	44	First and/or Last name is missing
Operating	35	Not a pilot participant state
Operating	51	NPI does not match the name of the physician
Operating	51	NPI is missing or invalid
Operating	47	Provider state is missing or invalid
Operating	51	NPI is sent but not found
Operating	97	Provider address is missing or invalid
Operating	97	Provider city is missing or invalid
Operating	97	Provider zip is missing or invalid
Attending	44	First and/or Last name is missing
Attending	35	Not a pilot participant state
Attending	51	NPI does not match the name of the physician
Attending	51	NPI is missing or invalid
Attending	47	Provider state is missing or invalid
Attending	51	NPI is sent but not found
Attending	97	Provider address is missing or invalid
Attending	97	Provider city is missing or invalid
Attending	97	Provider zip is missing or invalid
Service	AG	Procedure code is missing
Service	AG	Procedure code qualifier is missing or invalid

Category	Error Codes	Reject Error Description
Service	57	Proposed date/date range is missing or invalid
Service	AG	Procedure Code(s) is invalid
Service	15	Number of units is missing or invalid
Service	33	Place of service code is missing or invalid
Service	AG	Incorrect modifier for the procedure code
Service	57	Procedure code is repeated – same billing period
Service	57	Date of service is invalid

If no response is received after 10 days, the sender should contact the esMD Support Team (esMD_Support@cms.hhs.gov).

See Section 4.9.1.4 Situational Data Elements for Partially-Affirmed Decision and Section 4.9.1.5 Situational Data Elements for Rejected Decision for more details.

4.6.8 Administrative Error Notification

This notification message includes an Administrative Error Response in the event RC encounters issues on inbound submissions. Table 21: PA/ PCR Administrative Errors lists the additional administrative error responses received from the RCs.

Table 21: PA/ PCR Administrative Errors

Administrative Error Code	Administrative Error Response
ESMD_410	Cannot read file/ Corrupt Files
ESMD_411	Submission sent to incorrect RC
ESMD_412	Virus Found
ESMD_413	Other
ESMD_414	Incomplete File
ESMD_415	Unsolicited Response
ESMD_416	Documentation cannot be matched to a case/claim
ESMD_417	Duplicate

These Administrative Error Responses are sent to the respective HIH as well as the esMD Support Team to resolve manually.

Note: HIHs will receive additional information in the codeContext attribute in the RegistryError for the error code "Other". The additional information or error description is appended to 'Other' with a hyphen. Refer to Figure 17: Administrative Error Response XML Message Example.

Figure 17: Administrative Error Response XML Message Example

```
<ns0:RegistryResponse status="urn:oasis:names:tc:ebxml-regrep:ResponseStatusType:Failure"
requestId="esMD - Administrative Response">
   <ns02:ResponseSlotList xmlns:ns02="urn:oasis:names:tc:ebxml-regrep:xsd:rs:3.0">
     <ns03:Slot xmlns:ns03="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0"
name="esMDTransactionId">
       <ns03:ValueList>
         <ns03:Value>CJX0000123456EC</ns03:Value>
       </ns03:ValueList>
     </ns03:Slot>
     </ns02:ResponseSlotList>
     <ns02:RegistryErrorList xmlns:ns02="urn:oasis:names:tc:ebxml-regrep:xsd:rs:3.0"
highestSeverity="urn:oasis:names:tc:ebxml-regrep:ErrorSeverityType:Error">
          <ns02:RegistryError codeContext="ESMD_413-Other-Error Description for Other error."
errorCode="XDSRegistryMetadataError" severity="Error"/>
          <ns02:RegistryError codeContext="GEX15-The contact phone number on the cover sheet
received is missing or invalid." errorCode="XDSRegistryMetadataError" severity="Error"/>
          <ns02:RegistryError codeContext="GEX18-The state where services were provided is missing
or invalid on the cover sheet received." errorCode="XDSRegistryMetadataError" severity="Error"/>
     </ns02:RegistryErrorList>
  </ns0:RegistryResponse>
```

4.6.9 Information Contained in Response Message

HIHs should look for the following information in the response message: Message ID, Unique ID, Request ID, Status, and Response Slots.

4.6.10 Message ID (Correlated with Request MessageID)

To correlate the Request MessageID with the response message, the message ID will be copied back to the response message.

Example:

```
    <S:Header>
       …….
       <MessageID xmlns="http://www.w3.org/2005/08/addressing">5a3d7012-029e-4559-9a55-
49e3d80d0190</MessageID>
    </S:Header>
```

4.6.11 Unique ID (Correlated with Request UniqueID)

To correlate the request UniqueID with the response, the Request UniqueID will be copied back to response message under Assertion ID.

Example:

```
  <ns20:assertion>
  <ns20:id>40df7c0a-ff3e-4b26-baeb-f2910f6d0mc202</ns20:id>
```

4.6.12 RequestID

The RequestID explains the type of response Type. Table 22: Possible Request Types lists the possible request types:

Table 22: Possible Request Types

No.	Request Type String	Request Type in Response Messages
1.	The esMD - HIH and RC OID Authorization The esMD - RC OID and Content Type Code Cross Validation	First Notification Response
2.	The esMD - Document Submission Generic Validation	First Notification Response
3.	esMD - Meta Data Validation and Persistence	First Notification Response
4.	esMD - Delivery To esMD Cloud Object Storage (S3) bucket	First Notification Response
5.	esMD - Review Contractor Pickup the documents from esMD	Second Notification Response
6.	esMD - Administrative Response	Admin Notification Response
7.	esMD - PA Reject Response	PA Reject Notification Response
8.	esMD - Request Accepted	First Notification Response for Valid Service Registration Request
9.	esMD - Request Accepted with Errors	First Notification Response for Service Registration request accepted with errors

Example:

<ns21:RegistryResponse requestId=“ esMD - Delivery To esMD Cloud Object Storage (S3) bucket " status="urn:oasis:names:tc:ebxml-regrep:ResponseStatusType:Success">

4.6.13 Status

Status describes the status of the message:

1. urn:oasis:names:tc:ebxml-regrep:ResponseStatusType:Success
2. urn:oasis:names:tc:ebxml-regrep:ResponseStatusType:Warning
3. urn:oasis:names:tc:ebxml-regrep:ResponseStatusType:Error

Refer to Figure 18: Status Example.

Figure 18: Status Example

```
<ns2:RegistryResponse xmlns="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0"
xmlns:ns2="urn:oasis:names:tc:ebxml-regrep:xsd:rs:3.0" xmlns:ns3="urn:oasis:names:tc:ebxml-
regrep:xsd:query:3.0" xmlns:ns4="http://www.hhs.gov/healthit/nhin"
xmlns:ns5="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" requestId=“ esMD - Delivery To esMD
```

```
Cloud Object Storage (S3) bucket " status="urn:oasis:names:tc:ebxml-
regrep:ResponseStatusType:Success">
   <ns2:ResponseSlotList>
      <Slot name=“esMDTransactionId">
         <ValueList>
            <Value>ABC000000001234</Value>
         </ValueList>
      </Slot>
      <Slot name=“esMDClaimId">
         <ValueList>
            <Value>Claim5678901234568</Value>
         </ValueList>
      </Slot>
      <Slot name=“esMDCaseId">
         <ValueList>
            <Value>AA90133333301</Value>
         </ValueList>
      </Slot>
      <Slot name="contentTypeCode">
         <ValueList>
            <Value>1</Value>
         </ValueList>
      </Slot>
   </ns2:ResponseSlotList>
</ns2:RegistryResponse>
```

Note: In addition to the statuses listed above, the esMD also uses:

urn:oasis:names:tc:ebxml-regrep:ResponseStatusType:Failure.

In the future, both Error and Failure strings will be merged and only the ‘Error’ string shall be used.

4.6.14 Response Slots

The esMD specific response slots will have the esMD transaction information. The information in the slots is related to the following:

1. esMD TransactionId
2. CaseId
3. ClaimId
4. contentType Code

Refer to Figure 19: Response Slots Example

Figure 19: Response Slots Example

```
<ns7:ResponseSlotList>
                  <ns8:Slot name="TransactionId">
                     <ns8:ValueList>
                        <ns8:Value>532</ns8:Value>
                     </ns8:ValueList></ns8:Slot>
                  <ns8:Slot name="ClaimId">
                     <ns8:ValueList>
```

```
                        <ns8:Value>69777777</ns8:Value>
                     </ns8:ValueList></ns8:Slot>
                  <ns8:Slot name="CaseId">
                     <ns8:ValueList>
                        <ns8:Value>6000045</ns8:Value>
                     </ns8:ValueList>
                  </ns8:Slot>
               <ns8:Slot name="contentTypeCode">
                     <ns8:ValueList>
                        <ns8:Value>1</ns8:Value>
                     </ns8:ValueList>
                  </ns8:Slot>
</ns7:ResponseSlotList>
```

4.6.15 Delivery to the esMD Cloud Object Storage (S3) Bucket (First Notification)

In the event the sender does not receive the first notification response within 20 minutes of the document submission, the sender may take the following steps.

1. The sender can resubmit the claim documentation a second time. After this second submission, the sender should allow 20 minutes to receive an acknowledgement response.
2. The sender may attempt submissions for a total of three attempts. If the acknowledgement is not received after the third attempt, the sender should contact the esMD Support Team (esMD_Support@cms.hhs.gov) for further resolution.

4.7 Structured Documentation

The esMD system shall support receiving C-CDA documents and CDP Set 1 documents embedded within the XDR profile. The following LOBs, including PA programs that are currently supported receiving unstructured documentation in PDF format, shall also accept structured documentation in C-CDA and CDP Set1:

1. Responses to ADR.
2. Supporting Documentation for PA and PCR Requests.

4.7.1 C-CDA Structure

A C-CDA document has two primary groupings of information:

1. The header defines the document classifications, such as the template used, patient and provider information, attachment identifier, etc.
2. The body contains the encoded clinical report that can be represented using a nonXMLBody or a structuredBody element.

esMD supports the use of wrapping encoded PDF documents, also known as unstructured documents, within the nonXMLBody with the CDA header. In addition, esMD is adopting capabilities of structured document attachments to offer participants such as HIHs or providers to encapsulate the XML-based structured document with the CDA header as XDR attachments.

4.7.2 esMD Document Metadata Changes for C-CDA Document

The following changes are made in the Document Metadata:

1. Format Code (refer to Table 23: Format Code Updates).

Table 23: Format Code Updates

Format ID	Format Name	Format Description	Format Schema ID
1	HITSP C62	C62 Unstructured Document Component	2.16.840.1.113883.13.34.110.1.1000.1
2	C-CDA	CDA Structured/Unstructured Documents	2.16.840.1.113883.13.34.110.1.1000.1

Table 24: esMD Program Content Types and Conformance Requirements describes the respective esMD program content types and conformance requirements for each of the structured (C-CDA) Submissions. Failure to meet the requirements for the combination of code classifications supported for Structured (C-CDA) Submissions based on esMD program CTCs would lead to submission metadata validation failures followed by rejection of the submissions with the appropriate error code.

Table 24: esMD Program Content Types and Conformance Requirements

CTC	Class Code	Class Code Description	Format Code	Format Code Description	Health Care Facility Type Code	Health Care Facility Type Code Description	Confidentiality Code	Confidentiality Code Description
1	2	Structured Document Submission	4	C-CDA	1	HIH	V	Very Restricted
1	2	Structured Document Submission	4	C-CDA	2	Health Care Provider	V	Very Restricted
7	1	Structured Document Submission	1	C-CDA	1	HIH	V	Very Restricted
7	1	Structured Document Submission	1	C-CDA	2	Health Care Provider	V	Very Restricted
8.1	2	Structured Document Submission	4	C-CDA	1	HIH	V	Very Restricted
8.1	2	Structured Document Submission	4	C-CDA	2	Health Care Provider	V	Very Restricted
8.3	2	Structured Document Submission	4	C-CDA	1	HIH	V	Very Restricted
8.3	2	Structured Document Submission	4	C-CDA	2	Health Care Provider	V	Very Restricted

CTC	Class Code	Class Code Description	Format Code	Format Code Description	Health Care Facility Type Code	Health Care Facility Type Code Description	Confidentiality Code	Confidentiality Code Description
8.4	2	Structured Document Submission	4	C-CDA	1	HIH	V	Very Restricted
8.4	2	Structured Document Submission	4	C-CDA	2	Health Care Provider	V	Very Restricted
8.5	2	Structured Document Submission	4	C-CDA	1	HIH	V	Very Restricted
8.5	2	Structured Document Submission	4	C-CDA	2	Health Care Provider	V	Very Restricted
8.6	2	Structured Document Submission	4	C-CDA	1	HIH	V	Very Restricted
8.6	2	Structured Document Submission	4	C-CDA	2	Health Care Provider	V	Very Restricted
8.7	2	Structured Document Submission	4	C-CDA	1	HIH	V	Very Restricted
8.7	2	Structured Document Submission	4	C-CDA	2	Health Care Provider	V	Very Restricted

4.7.3 esMD Support Clinical Document Types

Table 25: Clinical Document Templates depicts the clinical document templates that will be supported by esMD. The header identifies and classifies the document and provides information on authentication, the encounter, patient, and involved providers.

Table 25: Clinical Document Templates

S. No.	Clinical Document Type	Description	Coding Schema/ Code System	Source
1	HITSP C62	HITSP C62 Unstructured Document	2.16.840.1.113883.3.88.11.62.1	/cda:CinicalDocument/cda:templateId/@root
2	C-CDA	Continuity of Care Documents (CCD)	2.16.840.1.113883.10.20.22.1.2	/cda:CinicalDocument/cda:templateId/@root
3	C-CDA	Consultation Note	2.16.840.1.113883.10.20.22.1.4	/cda:CinicalDocument/cda:templateId/@root
4	C-CDA	DIR	2.16.840.1.113883.10.20.22.1.5	/cda:CinicalDocument/cda:templateId/@root
5	C-CDA	Discharge Summary	2.16.840.1.113883.10.20.22.1.8	/cda:CinicalDocument/cda:templateId/@root
6	C-CDA	History and Physical (H&P)	2.16.840.1.113883.10.20.22.1.3	/cda:CinicalDocument/cda:templateId/@root
7	C-CDA	Operative Note	2.16.840.1.113883.10.20.22.1.7	/cda:CinicalDocument/cda:templateId/@root
8	C-CDA	Procedure Note	2.16.840.1.113883.10.20.22.1.6	/cda:CinicalDocument/cda:templateId/@root
9	C-CDA	Progress Note	2.16.840.1.113883.10.20.22.1.9	/cda:CinicalDocument/cda:templateId/@root
10	C-CDA	Unstructured Document	2.16.840.1.113883.10.20.22.1.10	/cda:CinicalDocument/cda:templateId/@root

4.7.4 esMD Support Structured Document in CDP Set 1

Table 26: CDP Set 1 Template ID provides the template IDs for sending the Structured Format HL7-standard CDP Set 1 (extension to the C-CDA).

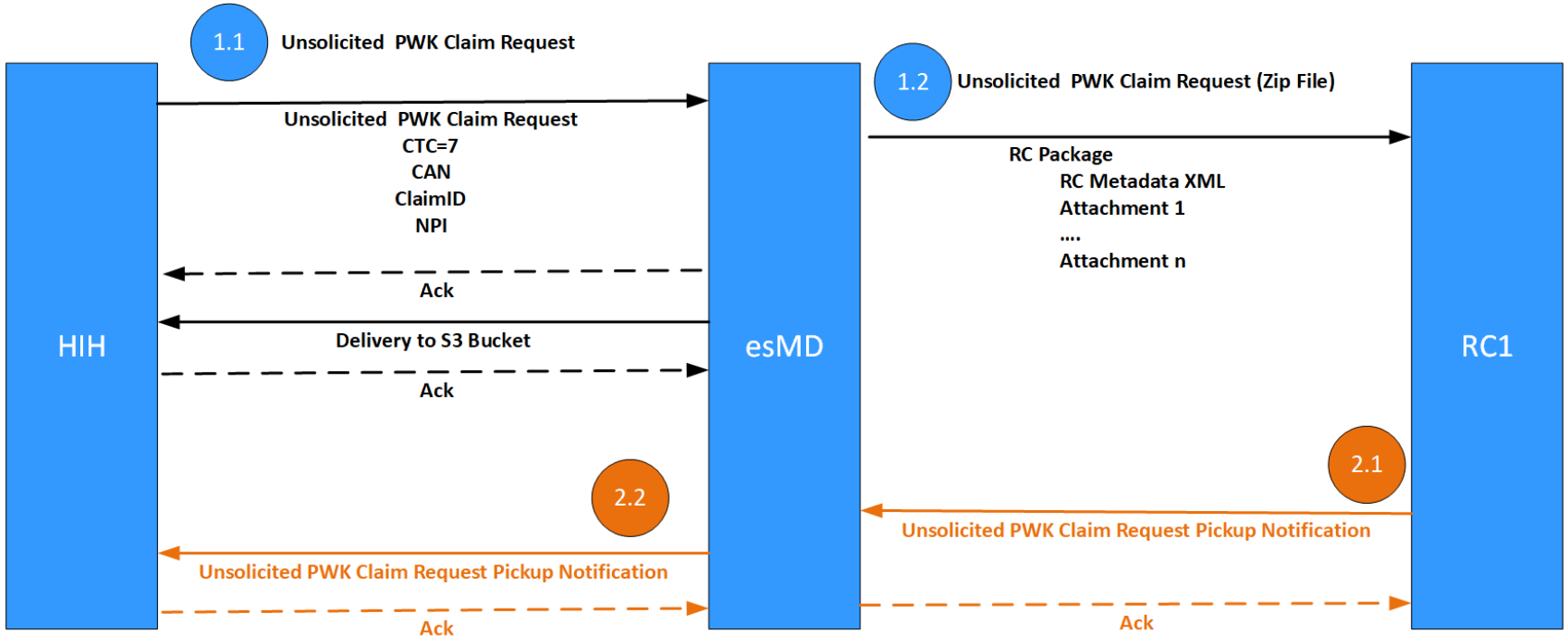
Table 26: CDP Set 1 Template ID

Type	Document Template Type	Document Template ID
CDP SET1	Enhanced Discharge Document (CDP1)	2.16.840.1.113883.10.20.35.1.2
CDP SET1	Enhanced Encounter Document (CDP1)	2.16.840.1.113883.10.20.35.1.1
CDP SET1	Enhanced Operative Note Document (CDP1)	2.16.840.1.113883.10.20.35.1.3
CDP SET1	Enhanced Procedure Document (CDP1)	2.16.840.1.113883.10.20.35.1.4
CDP SET1	Interval Document (CDP1)	2.16.840.1.113883.10.20.35.1.5

4.8 Unsolicited PWK Claim Documentations in XDR

Providers can send the unsolicited documentation to the RCs via esMD. HIHs will have the capability to send Unsolicited PWK Claim documentation in XDR format to the RCs via esMD using the new CTC 7. ACN, Claim ID, and NPI are the mandatory elements in addition to the existing Registry Metadata elements. Refer to Figure 20: Unsolicited PWK Claim Document Submission Flow.

Figure 20: Unsolicited PWK Claim Document Submission Flow



1. HIH submits the unsolicited PWK claim request:
    a. HIH submits the unsolicited PWK claim request to esMD with information about the RC(s), Provider(s), and Service(s):
        i. esMD sends the synchronous request acknowledgment to the HIH.
        ii. esMD sends a “Delivery To esMD Cloud Object Storage (S3) bucket” notification (asynchronous) to the HIH after copying the request package to esMD Cloud Object Storage (S3) bucket.
        iii. HIH sends a synchronous acknowledgment to the esMD Delivery notification.
    b. esMD splits and submits the HIH’s unsolicited PWK claim request package to one or more RCs via EFT.
2. RC sends the unsolicited PWK claim Pickup Notification(s):
    a. RC(s) send the unsolicited PWK claim package Pickup Notification to esMD:
        i. esMD returns the asynchronous pickup notification acknowledgment to the RC.
    b. esMD sends an unsolicited PWK claim request Pickup Notification to the HIH:
        i. HIH returns a synchronous acknowledgment to the esMD Pickup notification.

4.8.1 Unsolicited PWK Claim Request

Figure 21: Sample PWK Claim Request-Cloud shows a sample PWK Claim Request.

Note: No changes are made to the existing “Delivery to MFT” notifications and Pickup notifications.

Figure 21: Sample PWK Claim Request-Cloud

```
<?xml version="1.0" encoding="UTF-8"?>
<ns0:RespondingGateway_ProvideAndRegisterDocumentSetRequest xmlns:ns0="urn:gov:hhs:fha:nhinc:common:nhinccommonentity">
   <ns0:assertion xmlns:ns0="urn:gov:hhs:fha:nhinc:common:nhinccommonentity">
      <urn1:homeCommunity xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
         <urn1:description>esMD OID</urn1:description>
         <urn1:homeCommunityId>urn:oid:123.456.657.126</urn1:homeCommunityId>
         <urn1:name>esMD OID</urn1:name>
      </urn1:homeCommunity>
      <ns1:nationalProviderId xmlns:ns1="urn:gov:hhs:fha:nhinc:common:nhinccommon">1234567890</ns1:nationalProviderId>
      <ns1:uniquePatientId
xmlns:ns1="urn:gov:hhs:fha:nhinc:common:nhinccommon">urn:oid:2.16.840.1.113883.13.34.110.1.999.3</ns1:uniquePatientId>
      <urn1:userInfo xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
         <urn1:userName>1234567890</urn1:userName>
         <urn1:org>
            <urn1:description>esMD OID</urn1:description>
            <urn1:homeCommunityId>urn:oid:123.456.657.126</urn1:homeCommunityId>
            <urn1:name>esMD OID</urn1:name>
         </urn1:org>
      </urn1:userInfo>
      <urn1:purposeOfDisclosureCoded xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
         <urn1:code>PAYMENT</urn1:code>
```

```
            <urn1:codeSystem>2.16.840.1.113883.3.18.7.1</urn1:codeSystem>
            <urn1:codeSystemName>esMD CMS Purpose</urn1:codeSystemName>
            <urn1:codeSystemVersion>1.0</urn1:codeSystemVersion>
            <urn1:displayName>Medical Claim Documentation Review</urn1:displayName>
            <urn1:originalText>Medical Claim Documentation Review</urn1:originalText>
        </urn1:purposeOfDisclosureCoded>
        <urn1:samlAuthnStatement xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
            <urn1:authInstant>2011-01-05T16:50:01.011Z</urn1:authInstant>
            <urn1:sessionIndex>987</urn1:sessionIndex>
            <urn1:authContextClassRef>urn:oasis:names:tc:SAML:2.0:ac:classes:X509</urn1:authContextClassRef>
            <urn1:subjectLocalityAddress>158.147.185.168</urn1:subjectLocalityAddress>
            <urn1:subjectLocalityDNSName>cms.hhs.gov</urn1:subjectLocalityDNSName>
        </urn1:samlAuthnStatement>
        <ns1:samlAuthzDecisionStatement xmlns:ns1="urn:gov:hhs:fha:nhinc:common:nhinccommon">
            <ns1:decision>Permit</ns1:decision>
            <ns1:resource>https://158.147.185.168:8181/esMD/DocumentSubmission</ns1:resource>
            <ns1:action>TestSaml</ns1:action>
            <ns1:evidence>
                <ns1:assertion>
                    <ns1:id>SG321325T_102511537280992977</ns1:id>
                    <ns1:issueInstant>2011-01-05T16:50:01.011Z</ns1:issueInstant>
                    <ns1:version>2.0</ns1:version>
                    <ns1:issuer>CN=HIH SAML User,OU=QSSI,O=QSSI,L=Baltimore,ST=MD,C=US</ns1:issuer>
                    <ns1:issuerFormat>urn:oasis:names:tc:SAML:1.1:nameid-format:X509SubjectName</ns1:issuerFormat>
                    <ns1:conditions>
                        <ns1:notBefore>2011-01-05T16:50:01.011Z</ns1:notBefore>
                        <ns1:notOnOrAfter>2011-01-05T16:53:01.011Z</ns1:notOnOrAfter>
                    </ns1:conditions>
                    <ns1:accessConsentPolicy>Claim-Ref-1234 NA for esMD</ns1:accessConsentPolicy>
                    <ns1:instanceAccessConsentPolicy>Claim-Instance-1  NA for esMD</ns1:instanceAccessConsentPolicy>
                </ns1:assertion>
            </ns1:evidence>
        </ns1:samlAuthzDecisionStatement>
    </ns0:assertion>
    <ns0:nhinTargetCommunities xmlns:ns0="urn:gov:hhs:fha:nhinc:common:nhinccommonentity">
        <ns1:nhinTargetCommunity xmlns:ns1="urn:gov:hhs:fha:nhinc:common:nhinccommon">
            <ns1:homeCommunity>
```

```
            <ns1:description>CMS esMD VAL OID</ns1:description>
            <ns1:homeCommunityId>2.16.840.1.113883.13.34.110.2</ns1:homeCommunityId>
            <ns1:name>CMS esMD VAL OID</ns1:name>
         </ns1:homeCommunity>
      </ns1:nhinTargetCommunity>
   </ns0:nhinTargetCommunities>
   <ns0:ProvideAndRegisterDocumentSetRequest>
      <ns1:SubmitObjectsRequest xmlns:ns0="urn:gov:hhs:fha:nhinc:common:nhinccommonentity" xmlns:ns1="urn:oasis:names:tc:ebxml-
regrep:xsd:lcm:3.0" id="999" comment="esMD Claim Document Submission in response to Review Contractor ADR Letter">
         <ns2:RegistryObjectList xmlns:ns2="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0">
            <ns2:Association id="as01" associationType="HasMember" sourceObject="SubmissionSet01" targetObject="Document01">
               <urn4:Slot xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
name="SubmissionSetStatus">
                  <urn4:ValueList>
                     <urn4:Value>Original</urn4:Value>
                  </urn4:ValueList>
               </urn4:Slot>
            </ns2:Association>
            <ns2:Classification id="cl10" classifiedObject="SubmissionSet01" classificationNode="urn:uuid:a54d6aa5-d40d-43f9-88c5-
b4633d873bdd"/>
            <ns2:ExtrinsicObject id="Document01" objectType="urn:uuid:7edca82f-054d-47f2-a032-9b2a5b5186c1" mimeType="application/pdf"
isOpaque="false">
               <urn4:Slot xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" name="creationTime">
                  <urn4:ValueList>
                     <urn4:Value>20170101165910</urn4:Value>
                  </urn4:ValueList>
               </urn4:Slot>
               <urn4:Slot xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" name="hash">
                  <urn4:ValueList>
                     <urn4:Value>ad18814418693512b767676006a21d8ec7291e84</urn4:Value>
                  </urn4:ValueList>
```

```
                </urn4:Slot>
                <urn4:Slot xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" name="languageCode">
                   <urn4:ValueList>
                      <urn4:Value>en-us</urn4:Value>
                   </urn4:ValueList>
                </urn4:Slot>
                <urn4:Slot xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
name="attachmentControlNumber">
                   <urn4:ValueList>
                      <urn4:Value>UNSOLICITATED04172018123</urn4:Value>
                   </urn4:ValueList>
                </urn4:Slot>
                <urn4:Slot xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
name="legalAuthenticator">
                   <urn4:ValueList>
                      <urn4:Value>NA</urn4:Value>
                   </urn4:ValueList>
                </urn4:Slot>
                <urn4:Slot xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
name="serviceStartTime">
                   <urn4:ValueList>
                      <urn4:Value>20170101165910</urn4:Value>
                   </urn4:ValueList>
                </urn4:Slot>
                <urn4:Slot xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
```

```
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
name="serviceStopTime">
                    <urn4:ValueList>
                        <urn4:Value>20170101165910</urn4:Value>
                    </urn4:ValueList>
                </urn4:Slot>
                <urn4:Slot xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" name="size">
                    <urn4:ValueList>
                        <urn4:Value>1024000</urn4:Value>
                    </urn4:ValueList>
                </urn4:Slot>
                <ns2:Name>
                    <ns2:LocalizedString xml:lang="en-US" charset="UTF-8" value="Claim Supporting Medical Documentation"/>
                </ns2:Name>
                <urn4:Description xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
                    <urn4:LocalizedString value="esMD Claim Document Submission in response to Review Contractor ADR Letter" xml:lang="en-
US" charset="UTF-8"/>
                </urn4:Description>
                <urn4:Classification xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" id="cl01"
classificationScheme="urn:uuid:93606bcf-9494-43ec-9b4e-a7748d1a838d" classifiedObject="Document01" nodeRepresentation="author">
                    <urn4:Slot name="authorInstitution">
                        <urn4:ValueList>
                            <urn4:Value>603111</urn4:Value>
                        </urn4:ValueList>
                    </urn4:Slot>
                    <urn4:Slot name="authorPerson">
                        <urn4:ValueList>
                            <urn4:Value>603</urn4:Value>
                        </urn4:ValueList>
                    </urn4:Slot>
                </urn4:Classification>
```

```
            <urn4:Classification xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" id="cl02"
classificationScheme="urn:uuid:41a5887f-8865-4c09-adf7-e362475b143a" classifiedObject="Document01"
nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">
               <urn4:Slot name="classCode">
                  <urn4:ValueList>
                     <urn4:Value>1</urn4:Value>
                  </urn4:ValueList>
               </urn4:Slot>
               <urn4:Name>
                  <urn4:LocalizedString value="Unstructured Document Submission" xml:lang="en-US" charset="UTF-8"/>
               </urn4:Name>
            </urn4:Classification>
            <urn4:Classification xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" id="cl03"
classificationScheme="urn:uuid:f4f85eac-e6cb-4883-b524-f2705394840f" classifiedObject="Document01"
nodeRepresentation="2.16.840.1.113883.5.25">
               <urn4:Slot name="confidentialityCode">
                  <urn4:ValueList>
                     <urn4:Value>V</urn4:Value>
                  </urn4:ValueList>
               </urn4:Slot>
               <urn4:Name>
                  <urn4:LocalizedString value="Very" xml:lang="en-US" charset="UTF-8"/>
               </urn4:Name>
            </urn4:Classification>
            <urn4:Classification xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" id="cl04"
classificationScheme="urn:uuid:a09d5840-386c-46f2-b5ad-9c3699a4309d" classifiedObject="Document01"
nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">
               <urn4:Slot name="formatCode">
                  <urn4:ValueList>
                     <urn4:Value>1</urn4:Value>
                  </urn4:ValueList>
```

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                    </urn4:Slot>
                    <urn4:Name>
                        <urn4:LocalizedString value="Scanned PDF Document in CDA C62 Construct" xml:lang="en-US" charset="UTF-8"/>
                    </urn4:Name>
                </urn4:Classification>
                <urn4:Classification xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" id="cl06"
classificationScheme="urn:uuid:cccf5598-8b07-4b77-a05e-ae952c785ead" classifiedObject="Document01"
nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">
                    <urn4:Slot name="practiceSettingCode">
                        <urn4:ValueList>
                            <urn4:Value>1</urn4:Value>
                        </urn4:ValueList>
                    </urn4:Slot>
                    <urn4:Name>
                        <urn4:LocalizedString value="NA" xml:lang="en-US" charset="UTF-8"/>
                    </urn4:Name>
                </urn4:Classification>
                <urn4:Classification xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" id="cl05"
classificationScheme="urn:uuid:f33fb8ac-18af-42cc-ae0e-ed0b0bdb91e1" classifiedObject="Document01"
nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">
                    <urn4:Slot name="healthcareFacilityTypeCode">
                        <urn4:ValueList>
                            <urn4:Value>1</urn4:Value>
                        </urn4:ValueList>
                    </urn4:Slot>
                    <urn4:Name>
                        <urn4:LocalizedString value="Health Information Handler (HIH)" xml:lang="en-US" charset="UTF-8"/>
                    </urn4:Name>
                </urn4:Classification>
                <urn4:Classification xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" id="cl07"
```

```
classificationScheme="urn:uuid:f0306f51-975f-434e-a61c-c59651d33983" classifiedObject="Document01"
nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">
                    <urn4:Slot name="codingScheme">
                       <urn4:ValueList>
                          <urn4:Value>2</urn4:Value>
                       </urn4:ValueList>
                    </urn4:Slot>
                    <urn4:Name>
                       <urn4:LocalizedString value="Outpatient Evaluation And Management" xml:lang="en-US" charset="UTF-8"/>
                    </urn4:Name>
                 </urn4:Classification>
                 <urn4:Classification xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" id="cl08"
classificationScheme="urn:uuid:41a5887f-8865-4c09-adf7-e362475b143a" classifiedObject="Document01"
nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">
                    <urn4:Slot name="classCode">
                       <urn4:ValueList>
                          <urn4:Value>1</urn4:Value>
                       </urn4:ValueList>
                    </urn4:Slot>
                    <urn4:Name>
                       <urn4:LocalizedString value="Unstructured Document Submission" xml:lang="en-US" charset="UTF-8"/>
                    </urn4:Name>
                 </urn4:Classification>
                 <urn4:ExternalIdentifier xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" id="ei01"
registryObject="Document01" identificationScheme="urn:uuid:58a6f841-87b3-4a3e-92fd-a8ffeff98427"
value="2.16.840.1.113883.13.34.110.1.1000.1^^^&amp;12345">
                    <urn4:Name>
                       <urn4:LocalizedString value="XDSDocumentEntry.patientId" xml:lang="en-US" charset="UTF-8"/>
                    </urn4:Name>
                 </urn4:ExternalIdentifier>
                 <urn4:ExternalIdentifier xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" id="ei02"
```

```
registryObject="Document01" identificationScheme="urn:uuid:96fdda7c-d067-4183-912e-bf5ee74998a8"
value="1.3.6.1.4.1.21367.2005.3.9999.33">
                    <urn4:Name>
                        <urn4:LocalizedString value="XDSSubmissionSet.uniqueId" xml:lang="en-US" charset="UTF-8"/>
                    </urn4:Name>
                </urn4:ExternalIdentifier>
            </ns2:ExtrinsicObject>
            <ns2:RegistryPackage id="SubmissionSet01">
                <ns2:Slot name="parentUniqueNumber">
                    <ns2:ValueList>
                        <ns2:Value>SG321325T_10251153728099297 7</ns2:Value>
                    </ns2:ValueList>
                </ns2:Slot>
                <ns2:Slot name="splitNumber">
                    <ns2:ValueList>
                        <ns2:Value>1-1</ns2:Value>
                    </ns2:ValueList>
                </ns2:Slot>
                <ns2:Slot name="esMDClaimId">
                    <ns2:ValueList>
                        <ns2:Value>12345678</ns2:Value>
                    </ns2:ValueList>
                </ns2:Slot>
                <ns2:Slot name="esMDCaseId">
                    <ns2:ValueList>
                        <ns2:Value/>
                    </ns2:ValueList>
                </ns2:Slot>
                <ns2:Slot name="intendedRecipient">
                    <ns2:ValueList>
                        <ns2:Value>2.16.840.1.113883.13.34.110.2.100.1</ns2:Value>
                    </ns2:ValueList>
                </ns2:Slot>
                <ns2:Slot name="submissionTime">
                    <ns2:ValueList>
                        <ns2:Value>20170101165910</ns2:Value>
                    </ns2:ValueList>
                </ns2:Slot>
                <ns2:Name>
```

```
                <urn4:LocalizedString xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" value="Claim Supporting
Medical Documentation" xml:lang="en-US" charset="UTF-8"/>
             </ns2:Name>
             <urn4:Description xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
                <urn4:LocalizedString value="Unsolicited PWK Claim documents" xml:lang="en-US" charset="UTF-8"/>
             </urn4:Description>
             <urn4:Classification xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" id="cl11"
classificationScheme="urn:uuid: a7058bb9-b4e4-4307-ba5b-e3f0ab85e12d" classifiedObject=" SubmissionSet01"
nodeRepresentation="author">
                <urn4:Slot name="authorInstitution">
                   <urn4:ValueList>
                      <urn4:Value>897654</urn4:Value>
                   </urn4:ValueList>
                </urn4:Slot>
                <urn4:Slot name="authorPerson">
                   <urn4:ValueList>
                      <urn4:Value>808</urn4:Value>
                   </urn4:ValueList>
                </urn4:Slot>
             </urn4:Classification>
             <urn4:Classification xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" id="cl09"
classificationScheme="urn:uuid:aa543740-bdda-424e-8c96-df4873be8500" classifiedObject="SubmissionSet01"
nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">
                <urn4:Slot name="contentTypeCode">
                   <urn4:ValueList>
                      <urn4:Value>7</urn4:Value>
                   </urn4:ValueList>
                </urn4:Slot>
```

```
                    <urn4:Name>
                        <urn4:LocalizedString value="Unsolicited PWK Claim documents" xml:lang="en-US" charset="UTF-8"/>
                    </urn4:Name>
                </urn4:Classification>
                <urn4:ExternalIdentifier xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" id="ei03"
registryObject="SubmissionSet01" identificationScheme="urn:uuid:6b5aea1a-874d-4603-a4bc-96a0a7b38446"
value="2.16.840.1.113883.13.34.110.1.1000.1^^^&amp;12345">
                    <urn4:Name>
                        <urn4:LocalizedString value="XDSDocumentEntry.patientId" xml:lang="en-US" charset="UTF-8"/>
                    </urn4:Name>
                </urn4:ExternalIdentifier>
                <urn4:ExternalIdentifier xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" id="ei04"
registryObject="SubmissionSet01" identificationScheme="urn:uuid:554ac39e-e3fe-47fe-b233-965d2a147832"
value="12.16.840.1.113883.13.34.110.2">
                    <urn4:Name>
                        <urn4:LocalizedString value="XDSSubmissionSet.sourceId" xml:lang="en-US" charset="UTF-8"/>
                    </urn4:Name>
                </urn4:ExternalIdentifier>
                <urn4:ExternalIdentifier xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:urn3="urn:oasis:names:tc:ebxml-
regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" id="ei05"
registryObject="SubmissionSet01" identificationScheme="urn:uuid:96fdda7c-d067-4183-912e-bf5ee74998a8" value="554ac39e-ef6343434-
b233-965d34345555">
                    <urn4:Name>
                        <urn4:LocalizedString value="XDSSubmissionSet.uniqueId" xml:lang="en-US" charset="UTF-8"/>
                    </urn4:Name>
                </urn4:ExternalIdentifier>
            </ns2:RegistryPackage>
        </ns2:RegistryObjectList>
    </ns1:SubmitObjectsRequest>
    <urn5:Document xmlns:ns0="urn:gov:hhs:fha:nhinc:common:nhinccommonentity"
xmlns:urn="urn:gov:hhs:fha:nhinc:common:nhinccommonentity" xmlns:urn1="urn:gov:hhs:fha:nhinc:common:nhinccommon"
xmlns:add="http://schemas.xmlsoap.org/ws/2004/08/addressing" xmlns:urn2="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0"
```

```
xmlns:urn3="urn:oasis:names:tc:ebxml-regrep:xsd:rs:3.0" xmlns:urn4="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0"
xmlns:urn5="urn:ihe:iti:xds-b:2007" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
id="Document01">real_payload_1mb.txt</urn5:Document>
   </ns0:ProvideAndRegisterDocumentSetRequest>
</ns0:RespondingGateway_ProvideAndRegisterDocumentSetRequest>
```

4.8.2 Administrative Error Responses for PWK Unsolicited Documentation

Table 27: Administrative Errors lists the additional administrative error responses for PWK Unsolicited documents received from the RCs.

Table 27: Administrative Errors

Administrative Error Code	Administrative Error Response
GEX10	The date(s) of service on the cover sheet received is missing or invalid.
GEX11	The NPI on the cover sheet received is missing or invalid.
GEX12	The state where services were provided is missing or invalid on the cover sheet received.
GEX13	The Medicare ID on the cover sheet received is missing or invalid.
GEX14	The billed amount on the cover sheet received is missing or invalid.
GEX15	The contact phone number on the cover sheet received is missing or invalid.
GEX16	The beneficiary name on the cover sheet received is missing or invalid.
GEX17	The claim number on the cover sheet received is missing or invalid.
GEX18	The ACN on the coversheet received is missing or invalid.

4.9 PA/PCR Review Results Response

The esMD Gateway is accepting Prior Authorization Requests from the HIHs as X12 and/or XDR submissions. The recipients of these requests are the RCs. These submission requests are identified based on the CTC, which is a submission set metadata element in the XDR submission request sent by the HIHs.

The outbound responses from the Workloads shall be called PA/PCR review results responses. It is important to note that the Workloads shall be able to send outbound PA and PCR review results responses for XDR and X12 requests using the esMD for only those Prior Authorization Requests (PAR), which were sent by the HIHs.

Note: If multiple PA review result responses are received for the same transaction, the HIH should consider the most recent response as the final decision from the RC. If the original PA review result response does not have a timestamp, the HIH must consider the most current and recent response received from the RC as the final decision.

4.9.1 XDR Review Response Data Elements

The PA Review Results Response for XDR will be composed of the following data elements as described in Table 28: PA and PCR Review Results Response XDR.

Table 28: PA and PCR Review Results Response XDR

No.	Data Element Name	Format	Length	Required	Values	Field Description
1.	Content Type Code	Numeric	2	Yes	8.1, 8.3, 8.4, 8.5, 8.6, and 8.7	The value of this code indicates the line of business. For example, the values ‘8.1’ for Ambulance, ‘8.3’ for HHPCR, ‘8.4’ for DMEPOS,‘8.5’ for HOPD, ‘8.6’ for IRF, and ‘8.7’ for ASC. The esMD returns the code back in the PA review results response message.
2.	TransactionID	Numeric	15	Yes	Assigned by the esMD	esMD TransactionID is generated by the esMD Gateway when a PA request is received from the HIH Gateway. The TransactionID is sent to the Workloads/RCs. The Workloads shall send the TransactionID back in the PA review results response message.

No.	Data Element Name	Format	Length	Required	Values	Field Description
3.	Review Level Decision Response	Char	1	Yes	One of the four possible values: A, N, M, P	The value of this data element shall indicate whether a PA request has been Affirmed (A), Non-affirmed (N), Modified (M) or Partial(P)
4.	Number of Units Approved	Numeric	4	Situational	Assigned by RC	The value of this data element shall indicate the modified value of units approved by RC for Non-Emergent Ambulance Transport.
5.	Approved Service Date	Date (YYYY-MM-DD)	17	Situational Only one of these elements (Approved date or date range) can be used in a given response	Assigned by RC	The value of this data element shall indicate the date for which the service is approved by RC for Non-Emergent Ambulance Transport PA program.
6.	Approved Service Date Range (Start Date and End Date)	Date (YYYY-MM-DD)	17	Situational Only one of these elements (Approved date or date range) can be used in a given response for Non-Emergent Ambulance Transport	Assigned by RC	The value of this data element shall indicate the date range (start date and end date) for which the service is approved by the RC for Non-Emergent Ambulance Transport. (OR) The value of this data element shall indicate the date range (start date and end date) for which the service is approved by the RC for HHPCR. Applicable for Affirmed (A), and Non-Affirmed (N)

No.	Data Element Name	Format	Length	Required	Values	Field Description
				Start date and end date is required for HH PCR		
7.	Unique Tracking Number (UTN)	String	14	Situational	Assigned by RC	A unique tracking number assigned by the RCs. This number is used by the provider/RC supplier to file a claim with the CMS.
8.	Program Reason Code	String	5	Situational	example: PMD1A	The Program reason codes for each of the PA and PCR programs.
9	Review Decision Reason Code	String	2	Situational	Assigned by RC	Review Decision reason codes for Non-Affirmed PA and PCR response.
10	Decision Indicator	String	1	Situational	Assigned by RC	The value of this data element shall indicate whether a DMEPOS XDR response has been Affirmed (A) or Non-affirmed (N) or Modified (M). M is applicable only to Ambulance PA program.
11	Service Line Item Number	Integer	3	Situational	Example: <ns0:ServiceLevelRecordList> <ns0:ServiceLevelRecord ServiceLineItemNumber="1">	ServiceLineNumber uniquely identifies each service in the received response.
12	Sender OID	String	64	Required	OID of the RC	SenderOID refers to the RC OID that sends the response.
13	Receiver OID	String	64	Required	OID of the HIH	ReceiverOID refers to the HIH OID that receives the response.
14	Creation Time	Timestamp	25	Situational	Example: <ns0:CreationTime>2024-09-16T11:14:45-04:00</ns0:CreationTime>	Time when XDR response xml file is created.

4.9.1.1 Situational Data Elements for Affirmed Decision

Table 29: Affirmed PA and PCR Review Results Responses elaborates the situational data elements for an affirmed decision in the PA and PCR review results response.

Table 29: Affirmed PA and PCR Review Results Responses

No.	Rule
1.	Affirmed (A) PA and PCR review results responses shall contain a UTN value.
2.	Affirmed (A) PA and PCR review results responses shall not contain Number of Approved Units.
3.	Affirmed (A) PA and PCR review results responses shall contain the Proposed Date of Service (PDOS).
4.	Affirmed (A) PA and PCR review results responses shall not contain Reason Identifier(s).

4.9.1.2 Situational Data Elements for Non-Affirmed Decision

Table 30: Non-Affirmed PA and PCR Review Results Responses elaborates the situation data elements for non-affirmed decision in the PA and PCR review results response.

Table 30: Non-Affirmed PA and PCR Review Results Responses

No.	Rule
1.	Non-affirmed (N) PA and PCR review results responses shall contain a UTN provided by the RCs.
2.	Non-Affirmed (N) PA and PCR review results responses shall not contain Number of Approved Units.
3.	Non-Affirmed (N) PA and PCR review results responses shall contain Proposed Date of Service (PDOS)
4.	Non-affirmed (N) PA and PCR review results responses shall contain Program Reason Identifier(s) and Decision Reason codes provided by the RCs.

4.9.1.3 Situational Data Elements for Modified Decision

Table 31: Modified PA Review Results Responses elaborates the situational data elements for modified decisions in the PA review results response.

Table 31: Modified PA Review Results Responses

No.	Rule
1.	Modified (M) Ambulance PA review results responses shall contain a UTN provided by the RCs.
2.	Modified (M) Ambulance PA review results responses may contain the Number of Approved Units.
3.	Modified (M) Ambulance PA review results responses may contain either the Approved Date or Approved Date Range (Start Date and End Date).

No.	Rule
4.	Modified (M) Ambulance PA review results responses shall have either an Approved Number of Units or an Approved Date/Date Range and may have both an approved Number of Units and an Approved Date/Date Range.
5.	Modified (M) Ambulance PA review results responses may contain Reason Identifiers.

4.9.1.4 Situational Data Elements for Partially-Affirmed Decision

Table 32: Partially-Affirmed PA and PCR Review Results Responses elaborates the situation data elements for Partially-Affirmed decision in the PA and PCR review results response.

Partially-Affirmed contains the combination rules for HHPCR, HOPD, DMEPOS, IRF, ASC, and Ambulance.

- For Ambulance, DMEPOS, HHPCR, IRF, ASC, and HOPD the combination of Affirmed and Non-Affirmed Review Results Response Rule are applied for Partially-Affirmed.
- For Ambulance, the combination of Affirmed, Non-Affirmed and Modified rules are applied for Partially-Affirmed.

Table 32: Partially-Affirmed PA and PCR Review Results Responses

No.	Rule
1.	Partially-Affirmed (P) PA and PCR review results responses shall contain a UTN value at service level.
2.	Partially-Affirmed (P) PA and PCR review results responses shall not contain Number of Approved Units.
3.	Partially-Affirmed (P) PA and PCR review results responses shall contain Proposed Date of Service (PDOS)
4.	Partially-Affirmed (P) PA and PCR review results responses shall contain Program Reason Identifier(s) and Decision Reason codes provided by the RCs.

4.9.1.5 Situational Data Elements for Rejected Decision

Table 33: Rejected PA and PCR Results Responses elaborates the situation data elements for rejected decision in the PA and PCR review results responses.

Table 33: Rejected PA and PCR Results Responses

No.	Rule
1.	Rejected (R) PA and PCR results responses may contain a UTN provided by the RCs.
2.	Rejected (R) PA and PCR results responses shall not contain Number of Approved Units.
3.	Rejected (R) PA and PCR results responses shall not contain either Approved Date or Approved Date Range (Start Date and End Date).
4.	Rejected (R) PA and PCR results responses may contain Reason Identifier(s).
5	Rejected (R) PA and PCR review results response may contain the Procedure code when the reject error category is ‘Procedure code is missing’ is selected

The PA Reject notifications will now be delivered to HIHs in the XDR Request format. The XDR request will include the PA Reject Notification in XML and JSON formats as attachments.

Figure 22: PARejectResponseToHIH.xml lists the XDR request which will include the PA Reject Notification in XML and JSON formats as attachments.

Figure 22: PARejectResponseToHIH.xml

```
<?xml version='1.0' encoding='UTF-8'?>
<ns0:RespondingGateway_ProvideAndRegisterDocumentSetRequest
xmlns:ns0="urn:gov:hhs:fha:nhinc:common:nhinccommonentity">
 <ns0:assertion>
  <ns01:address xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
   <ns01:addressType>
    <ns01:code>AddrCodeSyst</ns01:code>
    <ns01:codeSystem>AddrCodeSyst</ns01:codeSystem>
    <ns01:codeSystemName>AddrCodeSystName</ns01:codeSystemName>
    <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
    <ns01:displayName>AddrCode</ns01:displayName>
    <ns01:originalText>AddrCode</ns01:originalText>
   </ns01:addressType>
   <ns01:city>Baltimore</ns01:city>
   <ns01:country>USA</ns01:country>
   <ns01:state>MD</ns01:state>
   <ns01:streetAddress>7100 Secuirty blvd</ns01:streetAddress>
   <ns01:zipCode>21244</ns01:zipCode>
  </ns01:address>
  <ns01:dateOfBirth xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon"/>
  <ns01:explanationNonClaimantSignature
xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">Electronic</ns01:explanationNonClaimant
Signature>
  <ns01:haveSecondWitnessSignature
xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">false</ns01:haveSecondWitnessSignature
>
  <ns01:haveSignature
xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">false</ns01:haveSignature>
  <ns01:haveWitnessSignature
xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">false</ns01:haveWitnessSignature>
  <ns01:homeCommunity xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
   <ns01:description>CMS esMD Development Gateway in Baltimore Data Center</ns01:description>
   <ns01:homeCommunityId>2.16.840.1.113883.13.34.110.3.1</ns01:homeCommunityId>
   <ns01:name>CMS esMD Development Gateway</ns01:name>
  </ns01:homeCommunity>
  <ns01:nationalProviderId
xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">1234567890</ns01:nationalProviderId>
  <ns01:personName xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
   <ns01:familyName>CMS Family Name - na</ns01:familyName>
   <ns01:givenName>CMS Given Name - na</ns01:givenName>
   <ns01:nameType>
    <ns01:code>nameCodeSyst</ns01:code>
    <ns01:codeSystem>nameCodeSyst</ns01:codeSystem>
    <ns01:codeSystemName>nameCodeSystName</ns01:codeSystemName>
    <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
    <ns01:displayName>nameCode</ns01:displayName>
```

```
      <ns01:originalText>nameCode</ns01:originalText>
    </ns01:nameType>
    <ns01:secondNameOrInitials>C</ns01:secondNameOrInitials>
    <ns01:fullName>CMS Given Name. C. Family Name - na</ns01:fullName>
  </ns01:personName>
  <ns01:secondWitnessAddress xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:addressType>
      <ns01:code>AddrCodeSyst</ns01:code>
      <ns01:codeSystem>AddrCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>AddrCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>AddrCode</ns01:displayName>
      <ns01:originalText>AddrCode</ns01:originalText>
    </ns01:addressType>
    <ns01:city>Baltimore</ns01:city>
    <ns01:country>USA</ns01:country>
    <ns01:state>MD</ns01:state>
    <ns01:streetAddress/>
    <ns01:zipCode>21244</ns01:zipCode>
  </ns01:secondWitnessAddress>
  <ns01:secondWitnessName xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:familyName>CMS Family Name - na</ns01:familyName>
    <ns01:givenName>CMS Given Name - na</ns01:givenName>
    <ns01:nameType>
      <ns01:code>nameCodeSyst</ns01:code>
      <ns01:codeSystem>nameCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>nameCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>nameCode</ns01:displayName>
      <ns01:originalText>nameCode</ns01:originalText>
    </ns01:nameType>
    <ns01:secondNameOrInitials>C</ns01:secondNameOrInitials>
    <ns01:fullName>CMS Given Name. C. Family Name - na</ns01:fullName>
    <ns01:prefix>CMS Prefix - na</ns01:prefix>
    <ns01:suffix>CMS Suffix - na</ns01:suffix>
  </ns01:secondWitnessName>
  <ns01:secondWitnessPhone xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:areaCode>410</ns01:areaCode>
    <ns01:countryCode>1</ns01:countryCode>
    <ns01:extension>1234</ns01:extension>
    <ns01:localNumber>567-8901</ns01:localNumber>
    <ns01:phoneNumberType>
      <ns01:code>phoneCodeSyst</ns01:code>
      <ns01:codeSystem>phoneCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>phoneCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>phoneCode</ns01:displayName>
      <ns01:originalText>phoneCode</ns01:originalText>
    </ns01:phoneNumberType>
  </ns01:secondWitnessPhone>
  <ns01:SSN xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">111-22-3333</ns01:SSN>
  <ns01:witnessAddress xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:addressType>
      <ns01:code>AddrCodeSyst</ns01:code>
      <ns01:codeSystem>AddrCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>AddrCodeSystName</ns01:codeSystemName>
```

```
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>AddrCode</ns01:displayName>
      <ns01:originalText>AddrCode</ns01:originalText>
    </ns01:addressType>
    <ns01:city>Baltimore</ns01:city>
    <ns01:country>USA</ns01:country>
    <ns01:state>USA</ns01:state>
    <ns01:streetAddress/>
    <ns01:zipCode>21244</ns01:zipCode>
  </ns01:witnessAddress>
  <ns01:witnessName xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:familyName>CMS Family Name - na</ns01:familyName>
    <ns01:givenName>CMS Family Name - na</ns01:givenName>
    <ns01:nameType>
      <ns01:code>nameCodeSyst</ns01:code>
      <ns01:codeSystem>nameCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>nameCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>nameCode</ns01:displayName>
      <ns01:originalText>nameCode</ns01:originalText>
    </ns01:nameType>
    <ns01:secondNameOrInitials>C</ns01:secondNameOrInitials>
    <ns01:fullName>CMS Given Name. C. Family Name - na</ns01:fullName>
    <ns01:prefix>CMS Prefix - na</ns01:prefix>
    <ns01:suffix>CMS Suffix - na</ns01:suffix>
  </ns01:witnessName>
  <ns01:userInfo xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:personName>
      <ns01:familyName>CMS Faimily Name - na</ns01:familyName>
      <ns01:givenName>CMS Faimily Name - na</ns01:givenName>
      <ns01:nameType>
        <ns01:code>nameCodeSyst</ns01:code>
        <ns01:codeSystem>nameCodeSyst</ns01:codeSystem>
        <ns01:codeSystemName>nameCodeSystName</ns01:codeSystemName>
        <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
        <ns01:displayName>nameCode</ns01:displayName>
        <ns01:originalText>nameCode</ns01:originalText>
      </ns01:nameType>
      <ns01:secondNameOrInitials>C</ns01:secondNameOrInitials>
      <ns01:fullName>CMS User Given Name. C. Family Name - na</ns01:fullName>
      <ns01:prefix>CMS Prefix - na</ns01:prefix>
      <ns01:suffix>CMS Suffix - na</ns01:suffix>
    </ns01:personName>
    <ns01:userName/>
    <ns01:org>
      <ns01:description>CMS esMD Development Gateway in Baltimore Data
Center</ns01:description>
      <ns01:homeCommunityId>2.16.840.1.113883.13.34.110.3.1</ns01:homeCommunityId>
      <ns01:name>CMS esMD Development Gateway</ns01:name>
    </ns01:org>
  </ns01:userInfo>
  <ns01:authorized
xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">true</ns01:authorized>
  <ns01:purposeOfDisclosureCoded xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:code>PAYMENT</ns01:code>
    <ns01:codeSystem>2.16.840.1.113883.3.18.7.1</ns01:codeSystem>
```

```
      <ns01:codeSystemName>CMS Purpose</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>Medical Claim Documentation Review</ns01:displayName>
      <ns01:originalText>Medical Claim Documentation Review</ns01:originalText>
    </ns01:purposeOfDisclosureCoded>
    <ns01:samlAuthnStatement xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
      <ns01:authInstant>2009-04-16T13:15:39Z</ns01:authInstant>
      <ns01:sessionIndex>987</ns01:sessionIndex>
      <ns01:authContextClassRef>urn:oasis:names:tc:SAML:2.0:ac:classes:X509</ns01:authContextCla
ssRef>
      <ns01:subjectLocalityAddress>158.147.185.168</ns01:subjectLocalityAddress>
      <ns01:subjectLocalityDNSName>cms.hhs.gov</ns01:subjectLocalityDNSName>
    </ns01:samlAuthnStatement>
    <ns01:samlAuthzDecisionStatement xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
      <ns01:decision>Permit</ns01:decision>
      <ns01:resource>https://158.147.185.168:8181/SamlReceiveService/SamlProcessWS</ns01:resour
ce>
      <ns01:action>TestSaml</ns01:action>
      <ns01:evidence>
        <ns01:assertion>
          <ns01:id>RESTAPIPT1_V_853a33e1-1e6e-4b61-8b26-9d43f796e9ba</ns01:id>
          <ns01:issueInstant>2009-04-16T13:10:39.093Z</ns01:issueInstant>
          <ns01:version>2.0</ns01:version>
          <ns01:issuer>CN=SAML User,OU=Harris,O=HITS,L=Melbourne,ST=FL,C=US</ns01:issuer>
          <ns01:issuerFormat>urn:oasis:names:tc:SAML:1.1:nameid-
format:X509SubjectName</ns01:issuerFormat>
          <ns01:conditions>
            <ns01:notBefore>2011-01-05T16:50:01.011Z</ns01:notBefore>
            <ns01:notOnOrAfter>2011-01-05T16:50:01.011Z</ns01:notOnOrAfter>
          </ns01:conditions>
          <ns01:accessConsentPolicy>NA</ns01:accessConsentPolicy>
          <ns01:instanceAccessConsentPolicy>NA</ns01:instanceAccessConsentPolicy>
        </ns01:assertion>
      </ns01:evidence>
    </ns01:samlAuthzDecisionStatement>
    <ns01:messageId
xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">RESTAPIPT1_V_853a33e1-1e6e-4b61-
8b26-9d43f796e9ba</ns01:messageId>
    <ns01:relatesToList xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">PA Reject
Response</ns01:relatesToList>
  </ns0:assertion>
  <ns0:nhinTargetCommunities>
    <ns01:nhinTargetCommunity xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
      <ns01:homeCommunity>
        <ns01:homeCommunityId>urn:oid:123.456.657.126</ns01:homeCommunityId>
        <ns01:name/>
      </ns01:homeCommunity>
    </ns01:nhinTargetCommunity>
  </ns0:nhinTargetCommunities>
  <ns0:ProvideAndRegisterDocumentSetRequest>
    <ns02:SubmitObjectsRequest xmlns:ns02="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" id="PA
Reject Response" comment="PA Reject Response">
      <ns03:RegistryObjectList xmlns:ns03="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0">
        <ns03:ExtrinsicObject id="20240628065913_1" isOpaque="false" mimeType="application/xml"
objectType="urn:uuid:7edca82f-054d-47f2-a032-9b2a5b5186c1">
          <ns03:Slot name="creationTime">
```

```
          <ns03:ValueList>
            <ns03:Value>20240628065914</ns03:Value>
          </ns03:ValueList>
        </ns03:Slot>
        <ns03:Slot name="hash">
          <ns03:ValueList>
            <ns03:Value>ac6748b4a75d473cf1d1038d216b62b62123e1c7538f41b5fd0ea10d6eeea566</
ns03:Value>
          </ns03:ValueList>
        </ns03:Slot>
        <ns03:Slot name="languageCode">
          <ns03:ValueList>
            <ns03:Value>en-us</ns03:Value>
          </ns03:ValueList>
        </ns03:Slot>
        <ns03:Slot name="legalAuthenticator">
          <ns03:ValueList>
            <ns03:Value>NA</ns03:Value>
          </ns03:ValueList>
        </ns03:Slot>
        <ns03:Slot name="serviceStartTime">
          <ns03:ValueList>
            <ns03:Value>20240628065914</ns03:Value>
          </ns03:ValueList>
        </ns03:Slot>
        <ns03:Slot name="serviceStopTime">
          <ns03:ValueList>
            <ns03:Value>20240628065914</ns03:Value>
          </ns03:ValueList>
        </ns03:Slot>
        <ns03:Slot name="size">
          <ns03:ValueList>
            <ns03:Value>4560</ns03:Value>
          </ns03:ValueList>
        </ns03:Slot>
        <ns03:Name>
          <ns03:LocalizedString charset="UTF-8" value="PA Reject Response" lang="en-US"/>
        </ns03:Name>
        <ns03:Description>
          <ns03:LocalizedString charset="UTF-8" value="PA Reject Response" lang="en-US"/>
        </ns03:Description>
        <ns03:Classification id="cl01" classificationScheme="urn:uuid:93606bcf-9494-43ec-9b4e-
a7748d1a838d" classifiedObject="NA" nodeRepresentation="author">
          <ns03:Slot name="authorInstitution">
            <ns03:ValueList>
              <ns03:Value>NA</ns03:Value>
            </ns03:ValueList>
          </ns03:Slot>
          <ns03:Slot name="authorPerson">
            <ns03:ValueList>
              <ns03:Value>NA</ns03:Value>
            </ns03:ValueList>
          </ns03:Slot>
        </ns03:Classification>
        <ns03:Classification id="cl02" classificationScheme="urn:uuid:41a5887f-8865-4c09-adf7-
e362475b143a" classifiedObject="NA" nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">
```

```
          <ns03:Slot name="classCode">
            <ns03:ValueList>
              <ns03:Value>1</ns03:Value>
            </ns03:ValueList>
          </ns03:Slot>
          <ns03:Name>
            <ns03:LocalizedString lang="en-US" charset="UTF-8" value="Unstructured Document
Submission"/>
          </ns03:Name>
        </ns03:Classification>
        <ns03:Classification id="cl03" classificationScheme="urn:uuid:f4f85eac-e6cb-4883-b524-
f2705394840f" classifiedObject="NA" nodeRepresentation="2.16.840.1.113883.5.25">
          <ns03:Slot name="confidentialityCode">
            <ns03:ValueList>
              <ns03:Value>V</ns03:Value>
            </ns03:ValueList>
          </ns03:Slot>
          <ns03:Name>
            <ns03:LocalizedString lang="en-US" charset="UTF-8" value="Very Restricted"/>
          </ns03:Name>
        </ns03:Classification>
        <ns03:Classification id="cl04" classificationScheme="urn:uuid:a09d5840-386c-46f2-b5ad-
9c3699a4309d" classifiedObject="NA" nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">
          <ns03:Slot name="formatCode">
            <ns03:ValueList>
              <ns03:Value>1</ns03:Value>
            </ns03:ValueList>
          </ns03:Slot>
          <ns03:Name>
            <ns03:LocalizedString lang="en-US" charset="UTF-8" value="PA Reject Response xml
Document in CDA C62 Construct"/>
          </ns03:Name>
        </ns03:Classification>
        <ns03:Classification id="cl05" classificationScheme="urn:uuid:f33fb8ac-18af-42cc-ae0e-
ed0b0bdb91e1" classifiedObject="NA" nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">
          <ns03:Slot name="healthcareFacilityTypeCode">
            <ns03:ValueList>
              <ns03:Value>1</ns03:Value>
            </ns03:ValueList>
          </ns03:Slot>
          <ns03:Name>
            <ns03:LocalizedString lang="en-US" charset="UTF-8" value="CMS Review Contractor (RC)"/>
          </ns03:Name>
        </ns03:Classification>
        <ns03:Classification id="cl06" classificationScheme="urn:uuid:cccf5598-8b07-4b77-a05e-
ae952c785ead" classifiedObject="NA" nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">
          <ns03:Slot name="practiceSettingCode">
            <ns03:ValueList>
              <ns03:Value>1</ns03:Value>
            </ns03:ValueList>
          </ns03:Slot>
          <ns03:Name>
            <ns03:LocalizedString lang="en-US" charset="UTF-8" value="NA"/>
          </ns03:Name>
        </ns03:Classification>
```

```
        <ns03:Classification id="cl07" classificationScheme="urn:uuid:f0306f51-975f-434e-a61c-
c59651d33983" classifiedObject="NA" nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">
          <ns03:Slot name="codingScheme">
            <ns03:ValueList>
              <ns03:Value>2</ns03:Value>
            </ns03:ValueList>
          </ns03:Slot>
          <ns03:Name>
            <ns03:LocalizedString lang="en-US" charset="UTF-8" value="Outpatient Evaluation And
Management"/>
          </ns03:Name>
        </ns03:Classification>
        <ns03:Classification id="cl08" classificationScheme="urn:uuid:41a5887f-8865-4c09-adf7-
e362475b143a" classifiedObject="NA" nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">
          <ns03:Slot name="classCode">
            <ns03:ValueList>
              <ns03:Value>1</ns03:Value>
            </ns03:ValueList>
          </ns03:Slot>
          <ns03:Name>
            <ns03:LocalizedString lang="en-US" charset="UTF-8" value="Unstructured Document
Submission"/>
          </ns03:Name>
        </ns03:Classification>
      </ns03:ExtrinsicObject>
      <ns03:ExtrinsicObject id="20240628065913_2" isOpaque="false" mimeType="application/json"
objectType="urn:uuid:7edca82f-054d-47f2-a032-9b2a5b5186c1">
        <ns03:Slot name="creationTime">
          <ns03:ValueList>
            <ns03:Value>20240628065914</ns03:Value>
          </ns03:ValueList>
        </ns03:Slot>
        <ns03:Slot name="hash">
          <ns03:ValueList>
            <ns03:Value>40c76cd4172c423c34413ccd63d9fc7851b299269805c0a72730712688314f74</
ns03:Value>
          </ns03:ValueList>
        </ns03:Slot>
        <ns03:Slot name="languageCode">
          <ns03:ValueList>
            <ns03:Value>en-us</ns03:Value>
          </ns03:ValueList>
        </ns03:Slot>
        <ns03:Slot name="legalAuthenticator">
          <ns03:ValueList>
            <ns03:Value>NA</ns03:Value>
          </ns03:ValueList>
        </ns03:Slot>
        <ns03:Slot name="serviceStartTime">
          <ns03:ValueList>
            <ns03:Value>20240628065914</ns03:Value>
          </ns03:ValueList>
        </ns03:Slot>
        <ns03:Slot name="serviceStopTime">
          <ns03:ValueList>
            <ns03:Value>20240628065914</ns03:Value>
```

```
          </ns03:ValueList>
        </ns03:Slot>
        <ns03:Slot name="size">
          <ns03:ValueList>
            <ns03:Value>3685</ns03:Value>
          </ns03:ValueList>
        </ns03:Slot>
        <ns03:Name>
          <ns03:LocalizedString charset="UTF-8" value="PA Reject Response" lang="en-US"/>
        </ns03:Name>
        <ns03:Description>
          <ns03:LocalizedString charset="UTF-8" value="PA Reject Response" lang="en-US"/>
        </ns03:Description>
        <ns03:Classification id="cl01" classificationScheme="urn:uuid:93606bcf-9494-43ec-9b4e-
a7748d1a838d" classifiedObject="NA" nodeRepresentation="author">
          <ns03:Slot name="authorInstitution">
            <ns03:ValueList>
              <ns03:Value>NA</ns03:Value>
            </ns03:ValueList>
          </ns03:Slot>
          <ns03:Slot name="authorPerson">
            <ns03:ValueList>
              <ns03:Value>NA</ns03:Value>
            </ns03:ValueList>
          </ns03:Slot>
        </ns03:Classification>
        <ns03:Classification id="cl02" classificationScheme="urn:uuid:41a5887f-8865-4c09-adf7-
e362475b143a" classifiedObject="NA" nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">
          <ns03:Slot name="classCode">
            <ns03:ValueList>
              <ns03:Value>1</ns03:Value>
            </ns03:ValueList>
          </ns03:Slot>
          <ns03:Name>
            <ns03:LocalizedString lang="en-US" charset="UTF-8" value="Unstructured Document
Submission"/>
          </ns03:Name>
        </ns03:Classification>
        <ns03:Classification id="cl03" classificationScheme="urn:uuid:f4f85eac-e6cb-4883-b524-
f2705394840f" classifiedObject="NA" nodeRepresentation="2.16.840.1.113883.5.25">
          <ns03:Slot name="confidentialityCode">
            <ns03:ValueList>
              <ns03:Value>V</ns03:Value>
            </ns03:ValueList>
          </ns03:Slot>
          <ns03:Name>
            <ns03:LocalizedString lang="en-US" charset="UTF-8" value="Very Restricted"/>
          </ns03:Name>
        </ns03:Classification>
        <ns03:Classification id="cl04" classificationScheme="urn:uuid:a09d5840-386c-46f2-b5ad-
9c3699a4309d" classifiedObject="NA" nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">
          <ns03:Slot name="formatCode">
            <ns03:ValueList>
              <ns03:Value>1</ns03:Value>
            </ns03:ValueList>
          </ns03:Slot>
```

```
          <ns03:Name>
            <ns03:LocalizedString lang="en-US" charset="UTF-8" value="PA Reject Response xml
Document in CDA C62 Construct"/>
          </ns03:Name>
        </ns03:Classification>
        <ns03:Classification id="cl05" classificationScheme="urn:uuid:f33fb8ac-18af-42cc-ae0e-
ed0b0bdb91e1" classifiedObject="NA" nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">
          <ns03:Slot name="healthcareFacilityTypeCode">
            <ns03:ValueList>
              <ns03:Value>1</ns03:Value>
            </ns03:ValueList>
          </ns03:Slot>
          <ns03:Name>
            <ns03:LocalizedString lang="en-US" charset="UTF-8" value="CMS Review Contractor (RC)"/>
          </ns03:Name>
        </ns03:Classification>
        <ns03:Classification id="cl06" classificationScheme="urn:uuid:cccf5598-8b07-4b77-a05e-
ae952c785ead" classifiedObject="NA" nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">
          <ns03:Slot name="practiceSettingCode">
            <ns03:ValueList>
              <ns03:Value>1</ns03:Value>
            </ns03:ValueList>
          </ns03:Slot>
          <ns03:Name>
            <ns03:LocalizedString lang="en-US" charset="UTF-8" value="NA"/>
          </ns03:Name>
        </ns03:Classification>
        <ns03:Classification id="cl07" classificationScheme="urn:uuid:f0306f51-975f-434e-a61c-
c59651d33983" classifiedObject="NA" nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">
          <ns03:Slot name="codingScheme">
            <ns03:ValueList>
              <ns03:Value>2</ns03:Value>
            </ns03:ValueList>
          </ns03:Slot>
          <ns03:Name>
            <ns03:LocalizedString lang="en-US" charset="UTF-8" value="Outpatient Evaluation And
Management"/>
          </ns03:Name>
        </ns03:Classification>
        <ns03:Classification id="cl08" classificationScheme="urn:uuid:41a5887f-8865-4c09-adf7-
e362475b143a" classifiedObject="NA" nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">
          <ns03:Slot name="classCode">
            <ns03:ValueList>
              <ns03:Value>1</ns03:Value>
            </ns03:ValueList>
          </ns03:Slot>
          <ns03:Name>
            <ns03:LocalizedString lang="en-US" charset="UTF-8" value="Unstructured Document
Submission"/>
          </ns03:Name>
        </ns03:Classification>
      </ns03:ExtrinsicObject>
      <ns03:RegistryPackage id="SubmissionSet01">
        <ns03:Slot name="esMDTransactionId">
          <ns03:ValueList>
            <ns03:Value>MCX0007195917EC</ns03:Value>
```

```
          </ns03:ValueList>
        </ns03:Slot>
        <ns03:Slot name="hihOID">
          <ns03:ValueList>
            <ns03:Value>urn:oid:123.456.657.126</ns03:Value>
          </ns03:ValueList>
        </ns03:Slot>
        <ns03:Slot name="senderOID">
          <ns03:ValueList>
            <ns03:Value>urn:oid:2.16.840.1.113883.13.34.110.1.999.1</ns03:Value>
          </ns03:ValueList>
        </ns03:Slot>
        <ns03:Slot name="totalNumberOfDocuments">
          <ns03:ValueList>
            <ns03:Value>2</ns03:Value>
          </ns03:ValueList>
        </ns03:Slot>
        <ns03:Slot name="creationTime">
          <ns03:ValueList>
            <ns03:Value>20240628065914</ns03:Value>
          </ns03:ValueList>
        </ns03:Slot>
        <ns03:Name>
          <ns03:LocalizedString lang="en-US" charset="UTF-8" value="PA Reject Response"/>
        </ns03:Name>
        <ns03:Description>
          <ns03:LocalizedString lang="en-US" charset="UTF-8" value="PA Reject Response"/>
        </ns03:Description>
        <ns03:Classification id="cl09" classificationScheme="urn:uuid:aa543740-bdda-424e-8c96-
df4873be8500" classifiedObject="SubmissionSet01"
nodeRepresentation="2.16.840.1.113883.13.34.110.1.1000.1">
          <ns03:Slot name="contentTypeCode">
            <ns03:ValueList>
              <ns03:Value>8.1</ns03:Value>
            </ns03:ValueList>
          </ns03:Slot>
          <ns03:Slot name="requestType">
            <ns03:ValueList>
              <ns03:Value>PARejectResponse</ns03:Value>
            </ns03:ValueList>
          </ns03:Slot>
          <ns03:Name>
            <ns03:LocalizedString lang="en-US" charset="UTF-8" value="PA Reject Response"/>
          </ns03:Name>
        </ns03:Classification>
      </ns03:RegistryPackage>
    </ns03:RegistryObjectList>
  </ns02:SubmitObjectsRequest>
  <ns04:Document xmlns:ns04="urn:ihe:iti:xds-b:2007" id="20240429151532_1">
  <_comment> The Base64-encoded content has been excluded for the sake of brevity.)</_comment>
</ns04:Document>
 </ns0:ProvideAndRegisterDocumentSetRequest>
</ns0:RespondingGateway_ProvideAndRegisterDocumentSetRequest>
```

Figure 23: PA Reject Response in JSON lists sample reject response in JSON format.

Figure 23: PA Reject Response in JSON


```
{
   "notificationtype": "PAREJECT",
   "esmdtransactionid": "ALR0007181873EC",
   "utn": "utn123452",
   "requester": {
      "rejectreasoncodes": [
         {
            "rejectreasoncode": "47",
            "rejectreason": "requester state is missing or invalid"
         }
      ]
   },
   "beneficiary": {
      "rejectreasoncodes": [
         {
            "rejectreasoncode": "",
            "rejectreason": ""
         }
      ]
   },
   "patientevent": {
      "rejectreasoncodes": [
         {
            "rejectreasoncode": "",
            "rejectreason": ""
         }
      ]
   },
   "facilityprovider": {
      "qualifier": "fa",
      "rejectreasoncodes": [
         {
            "rejectreasoncode": "",
            "rejectreason": ""
         }
      ]
   },
   "orderingprovider": {
      "qualifier": "dk",
      "rejectreasoncodes": [
         {
            "rejectreasoncode": "",
            "rejectreason": ""
         }
      ]
   },
   "renderingorsupplierprovider": {
      "qualifier": "sj",
      "rejectreasoncodes": [
         {
            "rejectreasoncode": "",
            "rejectreason": ""
         }
      ]
```

```
    },
    "referringprovider": {
        "qualifier": "dn",
        "rejectreasoncodes": [
            {
                "rejectreasoncode": "",
                "rejectreason": ""
            }
        ]
    },
    "operatingprovider": {
        "qualifier": "72",
        "rejectreasoncodes": [
            {
                "rejectreasoncode": "",
                "rejectreason": ""
            }
        ]
    },
    "attendingprovider": {
        "qualifier": "71",
        "rejectreasoncodes": [
            {
                "rejectreasoncode": "",
                "rejectreason": ""
            }
        ]
    },
    "programreasoncodes": [
        ""
    ],
    "services": [
        {
            "procedurecode": "",
            "servicelinenumber": "",
            "servicerequest": [
                {
                    "rejectreasoncode": "",
                    "rejectreason": ""
                }
            ],
            "programreasoncodes": [
                ""
            ],
            "modifiednoofunits": "",
            "modifieddateordaterange": ""
        }
    ]
}
```


Figure 24: PA Reject Response in XML Format lists sample reject response in XML format.

Figure 24: PA Reject Response in XML Format

```
<?xml version="1.0" encoding="utf-8"?>
<parejectresponse
xsi:noNamespaceSchemaLocation="schema.xsd"  xmlns:xsi="http://www.w3.org/2001/XMLSchema-
instance">
  <_comment>XDR PA Reject JSON structure</_comment>
  <notificationType>PAREJECT</notificationType>
  <esmdtransactionid>WLY0033083397EC</esmdtransactionid>
  <utn/>
  <requester>
    <_comment>Requester Information</_comment>
    <rejectreasoncodes>
      <rejectreason>47</rejectreason>
      <rejectreasoncode>Requester state is missing or invalid</rejectreasoncode>
    </rejectreasoncodes>
    <rejectreasoncodes>
      <rejectreason>44</rejectreason>
      <rejectreasoncode>First and/or Last name is/are missing.</rejectreasoncode>
    </rejectreasoncodes>
  </requester>
  <beneficiary/>
  <patientevent/>
  <facilityProvider/>
  <orderingProvider/>
  <renderingOrSupplierProvider/>
  <referringProvider/>
  <operatingProvider />
  <attendingProvider />
  <programreasoncodes />
  <services />
</parejectresponse>
```

Note: The '_comment' element in all sections of the JSON and XML files is included for understanding purposes only. The actual files sent to HIHs do not contain the '_comment' element.

4.9.2 Rules about Unique Tracking Number in PA and PCR Review Results Response

In a single PA and PCR Review Result Response or PA and PCR Error Response, the UTN value should follow the rules as described in Table 34: UTNs in PA and PCR Review Results Responses.

Table 34: UTNs in PA and PCR Review Results Responses

No.	Rule
1.	For a single Affirmed (A), Non-Affirmed (N) or Affirmed with a Change (M)(only for Ambulance) PA and PCR Review Result Response, a unique tracking number must be provided. A unique tracking number must be a minimum of 1 and a maximum of 14 alphanumeric characters long.
2.	For a single Rejected (R) Error Response, unique tracking number may or may not be provided. A unique tracking number must be a minimum of 1 and a maximum of 14 alphanumeric characters long.

4.9.3 Rules about Unique Tracking Number in HHPCR Multiple Episodes Review Results Response

In PCR multiple episodes the Review Result Response, the UTN value should follow the rules as described in Table 35: UTNs in PCR Multiple Episode Review Results Responses.

Table 35: UTNs in PCR Multiple Episode Review Results Responses

No.	Rule
1.	For Affirmed (A), Non-Affirmed (N), PCR multiple episode Review Result Response, a unique tracking number will be provided. A unique tracking number will be a minimum of 1 and a maximum of 14 alphanumeric characters long. More than one UTN value is submitted to the HIH PCR program containing multiple billing periods with the same esMD Transaction ID.

4.9.4 Sample Files for multiple Unique Tracking Number in HHPCR Multiple Episodes Review Results Response

Figure 25: hhpcr_ClinicalAttachment.txt File shows the sample hhpcr_ClinicalAttachment sample file for HHPCR multiple episodes with multiple UTNs.

Figure 25: hhpcr_ClinicalAttachment.txt File

```
<?xml version='1.0' encoding='UTF-8'?>
<ns0:RespondingGateway_ProvideAndRegisterDocumentSetResponseRequest
xmlns:ns0="urn:gov:hhs:fha:nhinc:common:nhinccommonentity">
  <ns0:assertion>
    <ns01:address xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
      <ns01:addressType>
        <ns01:code>AddrCodeSyst</ns01:code>
        <ns01:codeSystem>AddrCodeSyst</ns01:codeSystem>
        <ns01:codeSystemName>AddrCodeSystName</ns01:codeSystemName>
        <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
        <ns01:displayName>AddrCode</ns01:displayName>
        <ns01:originalText>AddrCode</ns01:originalText>
      </ns01:addressType>
      <ns01:city>Baltimore</ns01:city>
      <ns01:country>USA</ns01:country>
      <ns01:state>MD</ns01:state>
      <ns01:streetAddress>7100 Secuirty blvd</ns01:streetAddress>
      <ns01:zipCode>21244</ns01:zipCode>
    </ns01:address>
    <ns01:dateOfBirth xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">03/10/2011
05:21:00</ns01:dateOfBirth>
    <ns01:explanationNonClaimantSignature
xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">Electronic</ns01:explanationNonClaimantS
ignature>
    <ns01:haveSecondWitnessSignature
xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">false</ns01:haveSecondWitnessSignature>
    <ns01:haveSignature
xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">false</ns01:haveSignature>
    <ns01:haveWitnessSignature
xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">false</ns01:haveWitnessSignature>
    <ns01:homeCommunity xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
```

```
    <ns01:description>CMS esMD Validation Gateway in Baltimore Data Center</ns01:description>
    <ns01:homeCommunityId>2.16.840.1.113883.13.34.110.2.3</ns01:homeCommunityId>
    <ns01:name>CMS esMD Validation Gateway</ns01:name>
  </ns01:homeCommunity>
  <ns01:personName xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:familyName>CMS Family Name - na</ns01:familyName>
    <ns01:givenName>CMS Given Name - na</ns01:givenName>
    <ns01:nameType>
      <ns01:code>nameCodeSyst</ns01:code>
      <ns01:codeSystem>nameCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>nameCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>nameCode</ns01:displayName>
      <ns01:originalText>nameCode</ns01:originalText>
    </ns01:nameType>
    <ns01:secondNameOrInitials>C</ns01:secondNameOrInitials>
    <ns01:fullName>CMS Given Name. C. Family Name - na</ns01:fullName>
  </ns01:personName>
  <ns01:phoneNumber xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:areaCode>410</ns01:areaCode>
    <ns01:countryCode>1</ns01:countryCode>
    <ns01:extension>1234</ns01:extension>
    <ns01:localNumber>567-8901</ns01:localNumber>
    <ns01:phoneNumberType>
      <ns01:code>phoneCodeSyst</ns01:code>
      <ns01:codeSystem>phoneCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>phoneCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>phoneCode</ns01:displayName>
      <ns01:originalText>phoneCode</ns01:originalText>
    </ns01:phoneNumberType>
  </ns01:phoneNumber>
  <ns01:secondWitnessAddress xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:addressType>
      <ns01:code>AddrCodeSyst</ns01:code>
      <ns01:codeSystem>AddrCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>AddrCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>AddrCode</ns01:displayName>
      <ns01:originalText>AddrCode</ns01:originalText>
    </ns01:addressType>
    <ns01:city>Baltimore</ns01:city>
    <ns01:country>USA</ns01:country>
    <ns01:state>MD</ns01:state>
    <ns01:streetAddress>7100 Secuirty blvd</ns01:streetAddress>
    <ns01:zipCode>21244</ns01:zipCode>
  </ns01:secondWitnessAddress>
  <ns01:secondWitnessName xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:familyName>CMS Family Name - na</ns01:familyName>
    <ns01:givenName>CMS Given Name - na</ns01:givenName>
    <ns01:nameType>
      <ns01:code>nameCodeSyst</ns01:code>
      <ns01:codeSystem>nameCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>nameCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>nameCode</ns01:displayName>
```

```
      <ns01:originalText>nameCode</ns01:originalText>
    </ns01:nameType>
    <ns01:secondNameOrInitials>C</ns01:secondNameOrInitials>
    <ns01:fullName>CMS Given Name. C. Family Name - na</ns01:fullName>
  </ns01:secondWitnessName>
  <ns01:secondWitnessPhone xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:areaCode>410</ns01:areaCode>
    <ns01:countryCode>1</ns01:countryCode>
    <ns01:extension>1234</ns01:extension>
    <ns01:localNumber>567-8901</ns01:localNumber>
    <ns01:phoneNumberType>
      <ns01:code>phoneCodeSyst</ns01:code>
      <ns01:codeSystem>phoneCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>phoneCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>phoneCode</ns01:displayName>
      <ns01:originalText>phoneCode</ns01:originalText>
    </ns01:phoneNumberType>
  </ns01:secondWitnessPhone>
  <ns01:SSN xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">111-22-3333</ns01:SSN>
  <ns01:witnessAddress xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:addressType>
      <ns01:code>AddrCodeSyst</ns01:code>
      <ns01:codeSystem>AddrCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>AddrCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>AddrCode</ns01:displayName>
      <ns01:originalText>AddrCode</ns01:originalText>
    </ns01:addressType>
    <ns01:city>Baltimore</ns01:city>
    <ns01:country>USA</ns01:country>
    <ns01:state>USA</ns01:state>
    <ns01:streetAddress>7100 Secuirty blvd</ns01:streetAddress>
    <ns01:zipCode>21244</ns01:zipCode>
  </ns01:witnessAddress>
  <ns01:witnessName xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:familyName>CMS Family Name - na</ns01:familyName>
    <ns01:givenName>CMS Family Name - na</ns01:givenName>
    <ns01:nameType>
      <ns01:code>nameCodeSyst</ns01:code>
      <ns01:codeSystem>nameCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>nameCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>nameCode</ns01:displayName>
      <ns01:originalText>nameCode</ns01:originalText>
    </ns01:nameType>
    <ns01:secondNameOrInitials>C</ns01:secondNameOrInitials>
    <ns01:fullName>CMS Given Name. C. Family Name - na</ns01:fullName>
  </ns01:witnessName>
  <ns01:witnessPhone xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:areaCode>410</ns01:areaCode>
    <ns01:countryCode>1</ns01:countryCode>
    <ns01:extension>1234</ns01:extension>
    <ns01:localNumber>567-8901</ns01:localNumber>
    <ns01:phoneNumberType>
      <ns01:code>phoneCodeSyst</ns01:code>
```

```
      <ns01:codeSystem>phoneCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>phoneCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>phoneCode</ns01:displayName>
      <ns01:originalText>phoneCode</ns01:originalText>
    </ns01:phoneNumberType>
  </ns01:witnessPhone>
  <ns01:userInfo xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:personName>
      <ns01:familyName>CMS Faimily Name - na</ns01:familyName>
      <ns01:givenName>CMS Faimily Name - na</ns01:givenName>
      <ns01:nameType>
        <ns01:code>nameCodeSyst</ns01:code>
        <ns01:codeSystem>nameCodeSyst</ns01:codeSystem>
        <ns01:codeSystemName>nameCodeSystName</ns01:codeSystemName>
        <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
        <ns01:displayName>nameCode</ns01:displayName>
        <ns01:originalText>nameCode</ns01:originalText>
      </ns01:nameType>
      <ns01:secondNameOrInitials>C</ns01:secondNameOrInitials>
      <ns01:fullName>CMS User Given Name. C. Family Name - na</ns01:fullName>
    </ns01:personName>
    <ns01:userName>abcd</ns01:userName>
    <ns01:org>
      <ns01:description>CMS esMD Validation Gateway in Baltimore Data Center</ns01:description>
      <ns01:homeCommunityId>2.16.840.1.113883.13.34.110.2.3</ns01:homeCommunityId>
      <ns01:name>CMS esMD Validation Gateway</ns01:name>
    </ns01:org>
    <ns01:roleCoded>
      <ns01:code>2.16.840.1.113883.6.96</ns01:code>
      <ns01:codeSystem>2.16.840.1.113883.6.96</ns01:codeSystem>
      <ns01:codeSystemName>SNOMED_CT</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>Claim Processing</ns01:displayName>
      <ns01:originalText/>
    </ns01:roleCoded>
  </ns01:userInfo>
  <ns01:authorized xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">true</ns01:authorized>
  <ns01:purposeOfDisclosureCoded xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:code>2.16.840.1.113883.3.18.7.1</ns01:code>
    <ns01:codeSystem>2.16.840.1.113883.3.18.7.1</ns01:codeSystem>
    <ns01:codeSystemName>nhin-purpose</ns01:codeSystemName>
    <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
    <ns01:displayName>Use or disclosure of Psychotherapy Notes</ns01:displayName>
    <ns01:originalText>Use or disclosure of Psychotherapy Notes</ns01:originalText>
  </ns01:purposeOfDisclosureCoded>
  <ns01:samlAuthnStatement xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:authInstant>2009-04-16T13:15:39Z</ns01:authInstant>
    <ns01:sessionIndex>987</ns01:sessionIndex>
    <ns01:authContextClassRef>urn:oasis:names:tc:SAML:2.0:ac:classes:X509</ns01:authContextClass
Ref>
    <ns01:subjectLocalityAddress>158.147.185.168</ns01:subjectLocalityAddress>
    <ns01:subjectLocalityDNSName>esmdg.cms.cmstest</ns01:subjectLocalityDNSName>
  </ns01:samlAuthnStatement>
  <ns01:samlAuthzDecisionStatement xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:decision>Permit</ns01:decision>
```

```
    <ns01:resource>https://158.147.185.168:8181/SamlReceiveService/SamlProcessWS</ns01:resourc
e>
    <ns01:action>TestSaml</ns01:action>
    <ns01:evidence>
     <ns01:assertion>
      <ns01:id>RK852258T_CTC13_AMB03Single_PerfTest_9e1677a1-a1f9-4587-818e-
0e68bad4a0e1</ns01:id>
      <ns01:issueInstant>2009-04-16T13:10:39.093Z</ns01:issueInstant>
      <ns01:version>2.0</ns01:version>
      <ns01:issuer>CN=SAML User,OU=Harris,O=HITS,L=Melbourne,ST=FL,C=US</ns01:issuer>
      <ns01:issuerFormat>urn:oasis:names:tc:SAML:1.1:nameid-
format:X509SubjectName</ns01:issuerFormat>
      <ns01:conditions>
       <ns01:notBefore>2009-04-16T13:10:39.093Z</ns01:notBefore>
       <ns01:notOnOrAfter>2009-12-31T12:00:00.000Z</ns01:notOnOrAfter>
      </ns01:conditions>
      <ns01:accessConsentPolicy>urn:oid:2.16.840.1.113883.13.34.110.3</ns01:accessConsentPolicy>
      <ns01:instanceAccessConsentPolicy>urn:oid:2.16.840.1.113883.13.34.110.3</ns01:instanceAcce
ssConsentPolicy>
     </ns01:assertion>
    </ns01:evidence>
   </ns01:samlAuthzDecisionStatement>
   <ns01:messageId xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">urn:uuid:c86a7e13-
42c5-4ab0-a193-4bfd81e66140</ns01:messageId>
  </ns0:assertion>
  <ns0:nhinTargetCommunities>
   <ns01:nhinTargetCommunity xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:homeCommunity>
     <ns01:homeCommunityId>urn:oid:123.456.657.126</ns01:homeCommunityId>
     <ns01:name>Test HIH</ns01:name>
    </ns01:homeCommunity>
   </ns01:nhinTargetCommunity>
  </ns0:nhinTargetCommunities>
  <ns0:RegistryResponse status="urn:oasis:names:tc:ebxml-regrep:ResponseStatusType:Failure"
requestId="esMD - Administrative Response">
   <ns02:ResponseSlotList xmlns:ns02="urn:oasis:names:tc:ebxml-regrep:xsd:rs:3.0">
    <ns03:Slot xmlns:ns03="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" name="esMDTransactionId">
     <ns03:ValueList>
      <ns03:Value>EYJ0012434465EC</ns03:Value>
     </ns03:ValueList>
    </ns03:Slot>
    <ns03:Slot xmlns:ns03="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" name="contentTypeCode">
     <ns03:ValueList>
      <ns03:Value>13</ns03:Value>
     </ns03:ValueList>
    </ns03:Slot>
    <ns03:Slot xmlns:ns03="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" name="creationTime">
     <ns03:ValueList>
      <ns03:Value>2023-04-25T12:28:40.3862291-04:00</ns03:Value>
     </ns03:ValueList>
    </ns03:Slot>
    <ns03:Slot xmlns:ns03="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" name="submissionTime">
     <ns03:ValueList>
      <ns03:Value>2023-04-25T12:28:40.3862291-04:00</ns03:Value>
     </ns03:ValueList>
    </ns03:Slot>
```

```
      <ns03:Slot xmlns:ns03="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0"
name="ESMDPickedUpClaimReviewer">
        <ns03:ValueList>
          <ns03:Value>urn:oid:2.16.840.1.113883.13.34.110.1.999.1</ns03:Value>
        </ns03:ValueList>
      </ns03:Slot>
    </ns02:ResponseSlotList>
    <ns02:RegistryErrorList xmlns:ns02="urn:oasis:names:tc:ebxml-regrep:xsd:rs:3.0"
highestSeverity="urn:oasis:names:tc:ebxml-regrep:ErrorSeverityType:Error">
      <ns02:RegistryError codeContext="ESMD_412-Review Contractor reported to have received virus
infected files upon  processing. Resubmit" errorCode=" " severity="Error"/>
    </ns02:RegistryErrorList>
  </ns0:RegistryResponse>
</ns0:RespondingGateway_ProvideAndRegisterDocumentSetResponseRequest>
```

4.9.5 Review Result Response Sample Files for Single Unique Tracking Number for Ambulance PA Program

Figure 26: Ambulance_ClinicalAttachment.txt File shows the sample Ambulance_ClinicalAttachment sample file for Ambulance PA program with single UTN.

Figure 26: Ambulance_ClinicalAttachment.txt File

```
<?xml version="1.0" encoding="UTF-8"?>
<ns0:ReviewDeterminationResponse
xmlns:ns0="http://esmd.ois.cms.hhs.gov/rc/hih/determinationresponse">
   <ns0:ESMDTransaction>
      <ns0:TransactionId>KFV000009550061</ns0:TransactionId>
      <ns0:SenderOID>urn:oid:2.16.840.1.113883.13.34.110.1.999.3</ns0:SenderOID>
      <ns0:ReceiverOID>urn:oid:123.456.657.126</ns0:ReceiverOID>
      <ns0:ContentTypeCode>8.1</ns0:ContentTypeCode>
   </ns0:ESMDTransaction>
   <ns0:ReviewResponse>
      <ns0:CreationTime>2022-10-16T08:50:10.689-04:00</ns0:CreationTime>
      <ns0:RequestLevelDecisionResponse>N</ns0:RequestLevelDecisionResponse>
      <ns0:UniqueTrackingNumber>UTN1</ns0:UniqueTrackingNumber>
      <ns0:ServiceLevelRecordList>
         <ns0:ServiceLevelRecord ServiceLineItemNumber="1">
            <ns0:DecisionIndicator>N</ns0:DecisionIndicator>
            <ns0:ProgramReasonCodeList>
               <ns0:ProgramReasonCode>AAA1A</ns0:ProgramReasonCode>
            </ns0:ProgramReasonCodeList>
         </ns0:ServiceLevelRecord>
      </ns0:ServiceLevelRecordList>
   </ns0:ReviewResponse>
</ns0:ReviewDeterminationResponse>
```

4.9.6 XDR DMEPOS PA – Multi Records

The PA Decision Response will be enhanced with the implementation of AR2024.12.0 for DMEPOS XDR to accommodate multiple records for the PA DMEPOS program. HIHs will receive same Unique Tracking Number (UTN) for a given Transaction ID where the ‘ServiceLevelRecord’

will be iterated for each service line (it could either be one or more). esMD will set the Request Level Decision based on the decisions provided in each Service Level. The Request Level decision is determined as follows:

- If all decisions at the Service level are “A”, Request level decision response is set to “A”.
- If all decisions at the Service level are “N”, Request level decision response is set to “N”.
- If the decisions provided are a combination of “A” and “N”, Request level decision response is set to “P”.

Note: “A” denotes Affirmation, “N” denotes Non – Affirmation, “P” denotes Partially Affirmation

4.9.7 Review Result Response for DMEPOS Single Record Response

Figure 27: DMEPOS Single Record Line Service ClinicalAttachment.txt File provides an example response for a DMEPOS PA program with single UTN, and single record line service.

Figure 27: DMEPOS Single Record Line Service ClinicalAttachment.txt File

```
<?xml version="1.0" encoding="UTF-8" standalone="yes"?>
<ns0:ReviewDeterminationResponse
xmlns:ns0="http://esmd.ois.cms.hhs.gov/rc/hih/determinationresponse">  <ns0:ESMDTransaction>
  <ns0:TransactionId>HCP0007201602EC</ns0:TransactionId>
  <ns0:SenderOID>urn:oid:2.16.840.1.113883.13.34.110.1.999.1</ns0:SenderOID>
  <ns0:ReceiverOID>urn:oid:123.456.657.126</ns0:ReceiverOID>
  <ns0:ContentTypeCode>8.4</ns0:ContentTypeCode>
  </ns0:ESMDTransaction >
  <ns0:ReviewResponseList>
  <ns0:ReviewResponse>
  <ns0:CreationTime>2024-09-18T19:39:39-04:00</ns0:CreationTime>
  <ns0:RequestLevelDecisionResponse>A</ns0:RequestLevelDecisionResponse>
  <ns0:UniqueTrackingNumber>AFFIRMNONAFFIR</ns0:UniqueTrackingNumber>
  <ns0:ServiceLevelRecordList>
  <ns0:ServiceLevelRecord ServiceLineItemNumber="1">
  <ns0:DecisionIndicator>A</ns0:DecisionIndicator>
  </ns0:ServiceLevelRecord>
  </ns0:ServiceLevelRecordList>
  </ns0:ReviewResponse>
  </ns0:ReviewResponseList>
  </ns0:ReviewDeterminationResponse>
```

4.9.8 Review Result Response for DMEPOS Multiple Record Level Response

Figure 28: DMEPOS Multiple Record Line Service ClinicalAttachment.txt File shows the sample for DMEPOS Multiple Record Line file for DMEPOS PA program with a single UTN, and multiple record line service.

Figure 28: DMEPOS Multiple Record Line Service ClinicalAttachment.txt File

```
<?xml version="1.0" encoding="UTF-8" standalone="yes"?>
<ns0:ReviewDeterminationResponse xmlns:ns0="
http://esmd.ois.cms.hhs.gov/rc/hih/determinationresponse">
<ns0:ESMDTransaction>
<ns0:TransactionId>HCP0007201602EC</ns0:TransactionId>
<ns0:SenderOID>urn:oid:2.16.840.1.113883.13.34.110.1.999.1</ns0:SenderOID>
<ns0:ReceiverOID>urn:oid:123.456.657.126</ns0:ReceiverOID>
<ns0:ContentTypeCode>8.4</ns0:ContentTypeCode>
</ns0:ESMDTransaction>
<ns0:ReviewResponseList>
<ns0:ReviewResponse>
<ns0:CreationTime>2024-09-18T19:39:39-04:00</ns0:CreationTime>
<ns0:RequestLevelDecisionResponse>P</ns0:RequestLevelDecisionResponse>
<ns0:UniqueTrackingNumber>AFFIRMNONAFFIR</ns0:UniqueTrackingNumber>
<ns0:ServiceLevelRecordList>
<ns0:ServiceLevelRecord ServiceLineItemNumber="1">
<ns0:DecisionIndicator>A</ns0:DecisionIndicator>
</ns0:ServiceLevelRecord>
<ns0:ServiceLevelRecord ServiceLineItemNumber="2">
<ns0:DecisionIndicator>N</ns0:DecisionIndicator>
<ns0:ProgramReasonCodeList>
<ns0:ProgramReasonCode>AMB2A</ns0:ProgramReasonCode>
</ns0:ProgramReasonCodeList>
</ns0:ServiceLevelRecord>
<ns0:ServiceLevelRecord ServiceLineItemNumber="3">
<ns0:DecisionIndicator>N</ns0:DecisionIndicator>
<ns0:ProgramReasonCodeList>
<ns0:ProgramReasonCode>AMB31</ns0:ProgramReasonCode>
<ns0:ProgramReasonCode>AMB32</ns0:ProgramReasonCode>
<ns0:ProgramReasonCode>AMB35</ns0:ProgramReasonCode>
</ns0:ProgramReasonCodeList>
</ns0:ServiceLevelRecord>
</ns0:ServiceLevelRecordList>
</ns0:ReviewResponse>
</ns0:ReviewResponseList>
</ns0:ReviewDeterminationResponse>
```

4.9.9 Review Result Response for ASC

Figure 29: ASC Review Result Response.txt File shows the sample for ASC XDR program with a single UTN, and multiple record line services.

Figure 29: ASC Review Result Response.txt File

```
<?xml version="1.0" encoding="UTF-8" standalone="yes"?>
<ns0:ReviewDeterminationResponse
xmlns:ns0="http://esmd.ois.cms.hhs.gov/rc/hih/determinationresponse">
  <ns0:ESMDTransaction>
    <ns0:TransactionId>RJC0000011000EC</ns0:TransactionId>
```

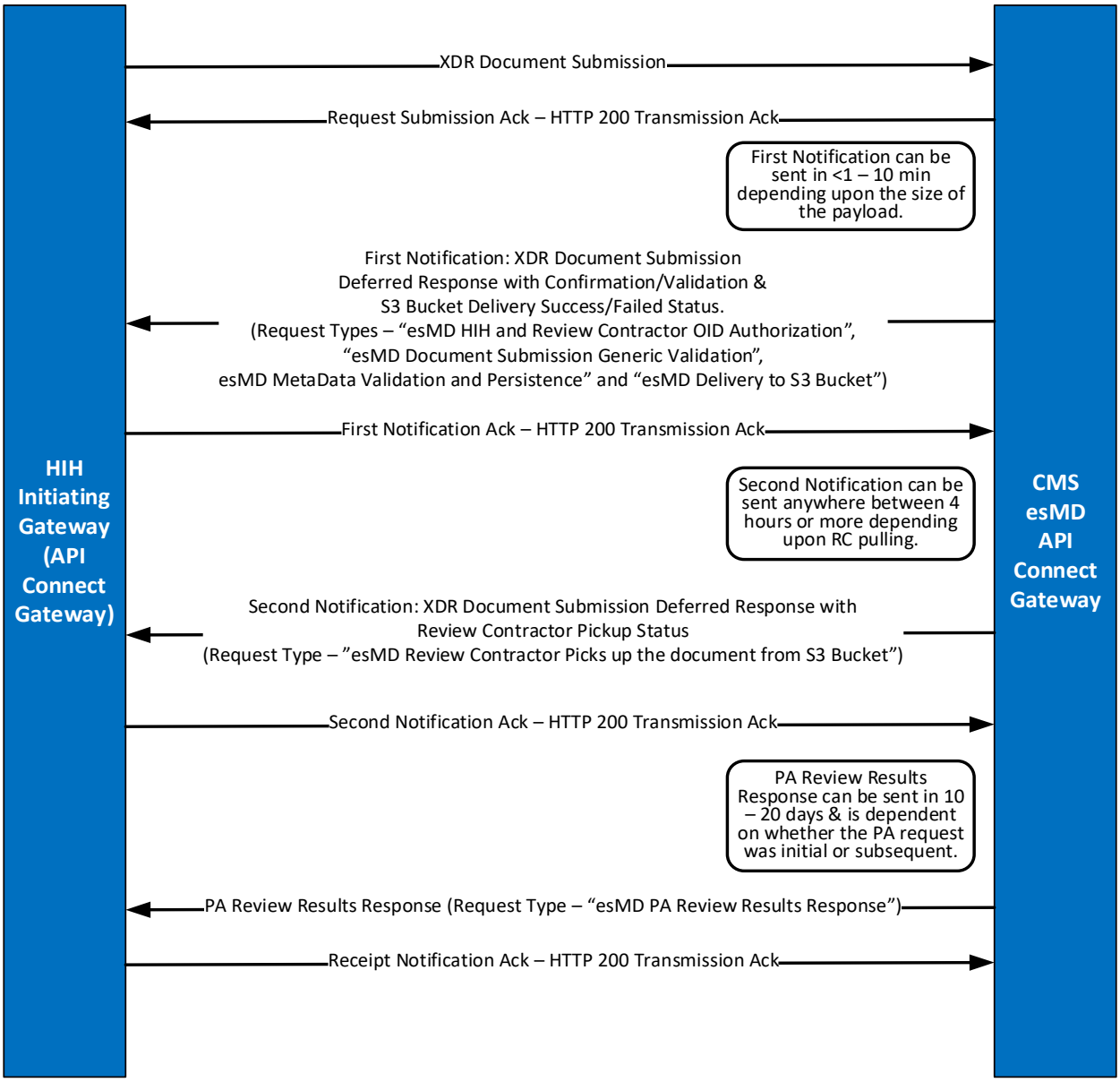
```
    <ns0:SenderOID>urn:oid:2.16.840.1.113883.13.34.110.1.999.1</ns0:SenderOID>
    <ns0:ReceiverOID>urn:oid:123.456.657.126</ns0:ReceiverOID>
    <ns0:ContentTypeCode>8.7</ns0:ContentTypeCode>
  </ns0:ESMDTransaction>
  <ns0:ReviewResponse>
    <ns0:CreationTime>2025-08-21T13:46:23-04:00</ns0:CreationTime>
    <ns0:RequestLevelDecisionResponse>A</ns0:RequestLevelDecisionResponse>
    <ns0:UniqueTrackingNumber>ASCMULTAFFIRM</ns0:UniqueTrackingNumber>
    <ns0:ServiceLevelRecordList>
      <ns0:ServiceLevelRecord ServiceLineItemNumber="1">
        <ns0:DecisionIndicator>A</ns0:DecisionIndicator>
      </ns0:ServiceLevelRecord>
      <ns0:ServiceLevelRecord ServiceLineItemNumber="2">
        <ns0:DecisionIndicator>A</ns0:DecisionIndicator>
      </ns0:ServiceLevelRecord>
      <ns0:ServiceLevelRecord ServiceLineItemNumber="3">
        <ns0:DecisionIndicator>A</ns0:DecisionIndicator>
      </ns0:ServiceLevelRecord>
      <ns0:ServiceLevelRecord ServiceLineItemNumber="4">
        <ns0:DecisionIndicator>A</ns0:DecisionIndicator>
      </ns0:ServiceLevelRecord>
    </ns0:ServiceLevelRecordList>
  </ns0:ReviewResponse>
</ns0:ReviewDeterminationResponse>
```

4.9.10 Status and Notification Messages for PA

The below diagram depicts the different notifications received from esMD for the received XDR Request for a PA Program.

Note: The First and Second Notifications depicted in Figure 30: Outbound Response Notification are existing notifications sent in response to inbound submissions to the esMD Gateway from the HIHs. Please refer to Section 4.6 XDR Status and Notification Messages and Section 4.7 Structured Documentation for more information on the existing notifications.

Figure 30: Outbound Response Notification



4.9.11 Information Contained in the PA and PCR Review Results Response for XDR

HIHs should look for the following information in the response message: Message ID, Unique ID, Request ID, Status, and Response Slots.

4.9.11.1 MessageID (Correlated with PA and PCR Request Message ID)

To correlate the PA/PCR review results response with the PA/PCR request sent by the HIHs, the MessageID sent by the HIHs in the PA/PCR request shall be returned in the response message. The MessageID is described in the example in Figure 31: Message ID Example.

Figure 31: Message ID Example

```
<ns20:assertion>
        <ns19:samlAuthnStatement>
            <ns19:authInstant>2009-04-16T13:15:39Z</ns19:authInstant>
            <ns19:sessionIndex>987</ns19:sessionIndex>
<ns19:authContextClassRef>urn:oasis:names:tc:SAML:2.0:ac:classes:X509</ns19:authContextClassRef
>
            <ns19:subjectLocalityAddress>158.147.185.168</ns19:subjectLocalityAddress>
           <ns19:subjectLocalityDNSName>esmdval.cms.hhs.gov</ns19:subjectLocalityDNSName>
        </ns19:samlAuthnStatement>
        <ns19:samlAuthztement>
            <ns19:decision>Permit</ns19:decision>
<ns19:resource>https://158.147.185.168:8181/SamlReceiveService/SamlProcessWS</ns19:resource>
            <ns19:action>TestSaml</ns19:action>
            <ns19:evidence>
               <ns19:assertion>
                  <ns19:id>esMDQSSI_NM_04042013_ADMC_11</ns19:id>
                  <ns19:issueInstant>2009-04-16T13:10:39.093Z</ns19:issueInstant>
                  <ns19:version>2.0</ns19:version>
                 <ns19:issuer>CN=SAML
                   User,OU=Harris,O=HITS,L=Melbourne,ST=FL,C=US</ns19:issuer>
                <ns19:issuerFormat>urn:oasis:names:tc:SAML:1.1:nameid-
format:X509SubjectName</ns19:issuerFormat>
                <ns19:conditions>
                   <ns19:notBefore>2009-04-16T13:10:39.093Z</ns19:notBefore>
                   <ns19:notOnOrAfter>2009-12-31T12:00:00.000Z</ns19:notOnOrAfter>
                </ns19:conditions>
<ns19:accessConsentPolicy>urn:oid:2.16.840.1.113883.13.34.110.3</ns19:accessConsentPolicy>
<ns19:instanceAccessConsentPolicy>urn:oid:2.16.840.1.113883.13.34.110.3</ns19:instanceAccessCon
sentPolicy>
             </ns19:assertion>
          </ns19:evidence>
       </ns19:samlAuthzDecisionStatement>
       <ns19:messageId>uuid:4e0903af-4145-42b1-a06b-45381786bf1c</ns19:messageId>
    </ns20:assertion>
```

4.9.11.2 UniqueID (Shall Be Correlated with PA Request Unique ID)

To correlate the PA/PCR review results response with the PA/PCR request sent by the HIHs, the UniqueID sent by the HIHs in the PA/PCR request shall be copied back in the response message. Refer to Figure 32: UniqueID Example.

Figure 32: UniqueID Example

```
<urn1:samlAuthzDecisionStatement>
            <urn1:evidence>
               <urn1:assertion>
                  <urn1:id>esMD_NM_04042013_ADMC_11</urn1:id>
              </urn1:assertion>
            </urn1:evidence>
  </urn1:samlAuthzDecisionStatement>
```

4.9.11.3 RequestID

The RequestID explains the type of response Type. Table 36: PA and PCR Outbound Request Type lists the request type string that shall be used for PA outbound. Refer to Figure 33: RequestID Example.

Table 36: PA and PCR Outbound Request Type

No.	Request Type String	Request Type in Response Messages
1.	“esMD- PA Review Results Response"	PA Review Results Response

Figure 33: RequestID Example

```
<ns20:RegistryResponse
        requestId=“esMD - PA Review Results Response"
        status="urn:oasis:names:tc:ebxml-regrep:ResponseStatusType:Success">
        <ns10:ResponseSlotList>
        </ns10:ResponseSlotList>
</ns20:RegistryResponse>
```

4.9.11.4 Status

Status describes the status of the message:

1. urn:oasis:names:tc:ebxml-regrep:ResponseStatusType:Success.
2. urn:oasis:names:tc:ebxml-regrep:ResponseStatusType:Warning.
3. urn:oasis:names:tc:ebxml-regrep:ResponseStatusType:Error.

Refer to Figure 34: Status Example.

Figure 34: Status Example

```
<ns2:RegistryResponse xmlns="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0"
xmlns:ns2="urn:oasis:names:tc:ebxml-regrep:xsd:rs:3.0" xmlns:ns3="urn:oasis:names:tc:ebxml-
regrep:xsd:query:3.0" xmlns:ns4="http://www.hhs.gov/healthit/nhin"
xmlns:ns5="urn:oasis:names:tc:ebxml-regrep:xsd:lcm:3.0" requestId=“ esMD - Delivery To esMD Cloud
Object Storage (S3) bucket " status="urn:oasis:names:tc:ebxml-regrep:ResponseStatusType:Success">
   <ns2:ResponseSlotList>
      <Slot name=“esMDTransactionId">
         <ValueList>
            <Value>ABC000000001234</Value>
         </ValueList>
      </Slot>
      <Slot name=“esMDClaimId">
         <ValueList>
            <Value>Claim5678901234568</Value>
         </ValueList>
      </Slot>
      <Slot name=“esMDCaseId">
         <ValueList>
            <Value>AA90133333301</Value>
         </ValueList>
```

```
      </Slot>
      <Slot name="contentTypeCode">
        <ValueList>
          <Value>1</Value>
        </ValueList>
      </Slot>
    </ns2:ResponseSlotList>
</ns2:RegistryResponse>
```

4.9.11.5 Response Slots

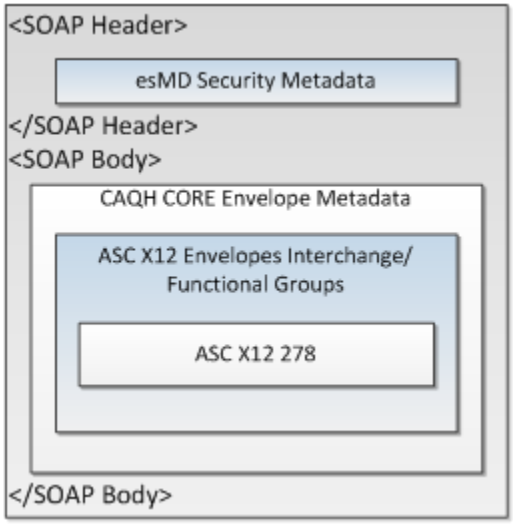
The PA review results response specific slots shall have the response specific information. The following shall be the slots:

1. creationTime
2. submissionTime
3. esMDTransactionId
4. contentTypeCode
5. DecisionIndicator
6. approvedUnits
7. approvedDate
8. Approved Date Range (approvedStartDate and approvedEndDate)
9. uniqueTrackingNumber
10. ReasonIdentifierDtls

5. The esMD System Council for Affordable Quality Healthcare (CAQH) Profile

The esMD implemented the Sequoia Project (formerly known as Healtheway) Phase II CAQH Committee on Operating Rules for Information Exchange (CORE) Rule 270: Connectivity Rule Version v2.2.0 to exchange ASC X12 Administrative Transactions with HIHs via the Internet. CONNECT support for CAQH Profile has been implemented as part of the CONNECT release 4.4. The “CAQH CORE X12 Document Submission Service Interface Specification” defines specific constraints on the use of the CAQH CORE Connectivity Rule. Figure 35: ASC X12N 278 5010 over CONNECT (CAQH CORE 270) presents the components of a request or response message using 278 and CONNECT with the Nationwide Health Information Network (NHIN) CAQH CORE X12 Document Submission Service Interface Specification.

Figure 35: ASC X12N 278 5010 over CONNECT (CAQH CORE 270)



5.1 X12N 278 5010 Companion Guide

For details on the X12N 278 5010 requests and responses, refer to the *X12N 278 Companion Guide*: https://www.cms.gov/Research-Statistics-Data-and-Systems/Computer-Data-and-Systems/ESMD/Information_for_HIHs.html

5.2 Additional Documentation X12N 275 6020 Companion Guide: Additional Information to Support a Health Care Services

For details on the X12N 275 6020 Additional Information requests and responses, refer to the *X12N 275 Companion Guide*: https://www.cms.gov/Research-Statistics-Data-and-Systems/Computer-Data-and-Systems/ESMD/Information_for_HIHs.html

5.3 Unsolicited Paperwork X12N 275 Companion Guide: Additional Information to Support Health Care Claim or Encounter

For details on the X12N 275 6020 Unsolicited Paperwork requests and responses, refer to the *X12N 275 Companion Guide*: https://www.cms.gov/Research-Statistics-Data-and-Systems/Computer-Data-and-Systems/ESMD/Information_for_HIHs.html

5.4 PA Programs Procedure Codes

Current esMD is supporting the below four PA Programs along with their supporting Procedure/CPT Codes.

Table 37: List of PA Program Associated Procedure Codes

PA Program	List of Associated Procedure Codes
AMBULANCE	A0426, A0428
ASC	15820, 15821, 15822, 15823, 67900, 67901, 67902, 67903, 67904, 67906, 67908, 15830, 15847, 15877, 20912, 21210, 30400 30410, 30420, 30430, 30435, 30450, 30460, 30462, 30465, 30520, 36473, 36474, 36475, 36476, 36478, 36479, 36482, 36483 64612, 64615, J0585, J0586, J0587, J0588, J0589
DMEPOS	K0857, K0858, K0859, K0860, K0862, K0863, K0864, E0193, E0277, E0371, E0372, E0373, L0648, L0650, L1832, L1833, L1851, L5856, L5857, L5858, L5973, L5980, L5987, K0813, K0814, K0815, K0816, K0820, K0821, K0822, K0823, K0824, K0825, K0826, K0827, K0828, K0829, K0835, K0836, K0837, K0838, K0839, K0840, K0841, K0842, K0843, K0848, K0849, K0850, K0851, K0852, K0853, K0854, K0855, K0856, K0861
HHPCR	99202, 99231, 99203, 99204, G0495, G0496, 99205, 99211, 99201, 99212, 99218, 99223, 99213, 99219, 99224, 99214, 99220, 99225, 99215, 99221, 99226, 99217, 99222 G0151, G0157, G0159, G0152, G0158, G0160, G0153, G0161, G0299, G0300, G0162, G0163, G0164, G0155, G0156, G0493, G0494
HOPD	15820, 15821, 15822, 15823, 67900, 67901, 67902, 67903, 67904, 67906, 67908, 67911, 15830, 15847, 15877, 20912, 21210, 30400, 30410, 30420, 30430, 30435, 30450, 30460, 30462, 30465, 30520, 36473, 36474, 36475, 36476, 36478, 36479, 36482, 36483, 22551, 22552, 63650, 64612, 64615, J0585, J0586, J0587, J0588,

PA Program	List of Associated Procedure Codes
IRF	A0101, A0102, A0103, A0104, A0105, A0106, A0201, A0202, A0203, A0204, A0205, A0301, A0302, A0303, A0304, A0305, A0401, A0402, A0403, A0404, A0405, A0406, A0407, A0501, A0502, A0503,A0504, A0505, A0601, A0602, A0603, A0604, A0701, A0702, A0703, A0704, A0801, A0802,A0803, A0804, A0805, A0901, A0902, A0903, A0904, A1001, A1002, A1003, A1004, A1101, A1102, A1103, A1201, A1202, A1203, A1204, A1301, A1302, A1303, A1304, A1305, A1401, A1402, A1403, A1404, A1501, A1502, A1503, A1504, A1601, A1602, A1603, A1604, A1701, A1702, A1703, A1704, A1705, A1801, A1802, A1803, A1804, A1805, A1806, A1901, A1902, A1903, A1904, A2001, A2002, A2003, A2004, A2005, A2101, A2102, B0101, B0102, B0103, B0104, B0105, B0106, B0201, B0202, B0203, B0204,B0205, B0301, B0302, B0303, B0304, B0305, B0401, B0402, B0403, B0404,B0405, B0406,B0407, B0501, B0502, B0503, B0504, B0505, B0601, B0602, B0603, B0604,B0701, B0702, B0703, B0704, B0801, B0802, B0803, B0804, B0805,B0901, B0902, B0903, B0904, B1001, B1002, B1003, B1004, B1101, B1102, B1103, B1201, B1202, B1203, B1204, B1301, B1302, B1303, B1304, B1305, B1401, B1402, B1403, B1404, B1501, B1502, B1503, B1504, B1601, B1602, B1603, B1604, B1701, B1702, B1703, B1704, B1705, B1801, B1802, B1803, B1804, B1805, B1806, B1901, B1902, B1903, B1904, B2001, B2002, B2003, B2004, B2005, B2101, B2102, C0101, C0102, C0103, C0104, C0105, C0106, C0201, C0202, C0203, C0204, C0205, C0301, C0302, C0303, C0304, C0305, C0401, C0402, C0403, C0404, C0405, C0406, C0407, C0501, C0502, C0503, C0504, C0505, C0601, C0602, C0603, C0604, C0701, C0702, C0703, C0704, C0801, C0802, C0803, C0804, C0805, C0901, C0902, C0903, C0904, C1001, C1002, C1003, C1004, C1101, C1102, C1103, C1201, C1202, C1203, C1204, C1301, C1302, C1303, C1304, C1305, C1401, C1402, C1403, C1404, C1501, C1502, C1503, C1504, C1601, C1602, C1603, C1604, C1701, C1702, C1703, C1704, C1705, C1801, C1802, C1803, C1804, C1805, C1806, C1901, C1902, C1903, C1904, C2001, C2002, C2003, C2004, C2005, C2101, C2102, D0101, D0102, D0103, D0104, D0105, D0106, D0201, D0202, D0203, D0204, D0205, D0301, D0302, D0303, D0304, D0305, D0401, D0402, D0403, D0404, D0405, D0406, D0407, D0501, D0502, D0503, D0504, D0505, D0601, D0602, D0603, D0604, D0701, D0702, D0703, D0704, D0801, D0802, D0803, D0804, D0805, D0901, D0902, D0903, D0904, D1001, D1002, D1003, D1004, D1101, D1102, D1103, D1201, D1202, D1203, D1204, D1301, D1302, D1303, D1304, D1305, D1401, D1402, D1403, D1404, D1501, D1502, D1503, D1504, D1601, D1602, D1603, D1604, D1701, D1702, D1703, D1704, D1705, D1801, D1802, D1803, D1804, D1805, D1806, D1901, D1902, D1903, D1904, D2001, D2002, D2003, D2004, D2005, D2101, D2102

6. X12 278 PA, PCR Programs

esMD systems accepts AMB, DMEPOS, HOPD, HHPCR, and IRF in X12 278 format from the HIH to the RC.

6.1 Single Service Requests

esMD system started accepting single services for AMB, DMEPOS, and IRF requests from the HIH to the RC in X12 278 format. Only one procedure code can be submitted for these requests.

6.2 Multiple Service

The esMD system accepts multiple HHPCR and HOPD services in one request in the form of X12N 278 and XDR to support the business use case of receiving and processing multiple HHPCR and HOPD services in a single transactional interaction from the HIH to the RC. esMD system started accepting multiple services for HOPD requests in both X12 and XDR format. HHPCR and HOPD will accept a minimum of one service to a maximum of 40 services in one record.

6.3 Submission of Multiple Services

esMD will allow the submission of multiple HHPCR and HOPD services in a single request by HIHs in XDR/X12 formats. Per the current process, esMD allows one item/service per PA or PCR request to be submitted by the HIH in either XDR or X12 format.

6.4 IRF Single Service

The esMD system will start accepting X12 278 IRF - PA PCR Inbound Request transactions from the HIH in X12 278 format via esMD for a single service/procedure code. The Proposed Date of Service (PDOS) can be submitted as a single date or date range. The PDOS does not represent a billing period, the system will accept current date, future date, or past date submitted in either date or date range format.

6.5 HHPCR Billing Period

The esMD system will start accepting HHPCR services in one request in X12N 278 formats with single or multiple Billing periods. Billing Period (BP) is a maximum of 30 days.

6.6 Submission of Single X12 HHPCR Billing Period Service

esMD will allow the submission of single billing period HHPCR services in a single request by the HIH in X12N 278 formats. The billing period is 30 days. The Proposed Date of Service (PDOS) is submitted at the Patient Event Level for a single billing period. If the PDOS date range is submitted at the Service Level, the esMD system will reject the X12 278 request. Unique procedure codes must be submitted in the SV2 segment of the service level.

6.7 Submission of Multiple X12 HHPCR Billing Service

esMD will allow the submission of multiple billing period HHPCR services in a single request by the HIH in X12N 278 formats. The Proposed Date of Service (PDOS) in the Patient Event Level

will have the holistic range of BPs with the PDOS range at Service Level as applicable to the BP. The PDOS must be distinct and not overlap. Procedure codes may be repeated across different BPs.

6.8 Submission of Multiple Supporting Documentation

esMD will accept multiple supporting documentation (SD) from the HIHs for the X12 278 transaction either in XDR CTC13 or X12 275 format. The esMD system will accept the SD as long as the decision response is not rendered. Interchangeable SD is not accepted. For example: If the first SD is sent in XDR CTC13, the following SD must be sent in XDR CTC13.

Note: The HIH must submit the subsequent SD after receiving the successful processing confirmation of the previously submitted SD.

6.9 PA/PCR Responses

The current esMD process provides decision responses to one item/service per PA or PCR response to the HIH. esMD also provides decision responses to multiple items/services per HOPD PA or PCR response to HIHs and provides a UTN-level decision response indicating the summary of all the services included in the response as A (Affirmed), N (Non-Affirmed), or P (Partially-Affirmed).

Note: The UTN value is unique for each billing period. With the implementation of AR2022.10.0, HIH's will receive multiple UTNs if there are multiple billing periods.

6.10 Inbound X12

The HHPCR and HOPD requests have the provision to include single/multiple services in the X12N 278 5010 request in the SV2 segment of the 2010F Loop. For IRF, esMD only has the provision to submit a single service per request. As a result, no change is necessary at the interface level or the content level.

DMEPOS, AMB requests have the provision to submit the procedure codes in the SV1 segment of the 2010F loop.

6.11 Outbound XDR

To convey multiple review decisions in a single response, esMD must use the CONNECT operation with the custom XML structure as defined below. A similar enhancement is already required for communicating eMDR/ADR responses in the past from esMD to the HIHs, i.e., the HIHs currently receiving eMDR/ADR responses via esMD, are already equipped to receive this multi-service HHPCR and HOPD response.

6.12 X12 Review Response

The current X12 review response EDI supports a response-level decision at the ActionCode (HCR01) element of the Health Care Services Review (HCR) segment of the Patient Event Detail (2000E) loop. To convey multiple review decisions in a single response, esMD continues to use the current 278 Review Response EDI, which supports both response-level decision by way of the ActionCode (HCR01) element of the HCR segment of the Patient Event Detail (2000E) loop as well as the service level decisions via the Action Code (HCR01) element of the HCR segment of the Service Detail (2000F) loop. Refer to Table 38: Outbound Interface Solution.

Table 38: Outbound Interface Solution

EDI Element	EDI Location	Current Value(s)	Additional Value(s)
Action Code	2000E/HCR/HCR01	A1 – Certified in Total A3 – Not Certified A4 – Pended A6 – Modified	A2 – Certified–partial
Action Code	2000F/HCR/HCR01	A1 – Certified in Total A3 – Not Certified A4 – Pended A6 – Modified	N/A

6.13 Sample Files

Figure 36: hhpcr_x12n278.txt File shows the sample X12N HHPCR 278 request for single BP. The HHPCR X12N 278 request for multiple billing periods, HHPCR X12N 278 response sample file is included in the X12N 278 Companion Guide.

Figure 36: hhpcr_x12n278.txt File

```
ISA*00*          *00*          *ZZ*TESTHIH        *ZZ*111222333 *150724*0817*+*00501*000001010* 0*T*:~
GS*HI*TESTHIH*111222333*20220724*0817*1010*X*005010X217~
ST*278*1010*005010X217~
BHT*0007*13*3920394930203*20220724*0817~
HL*1**20*1~
NM1*X3*2*REVIEW ORG NAME*****PI*11202~
HL*2*1*21*1~
NM1*1P*1*SMITH*AARON***H*XX*1111111112~
N3*REQUESTER STREET LOOP 2010B~
N4*WINDSORMILL*MD*21244~
PER*IC*DR.MULTISERVICECONTACT*FX*8189991010*TE*4035556789*EX*6788~
HL*3*2*22*1~
NM1*IL*1*SERVICELSUBSCRIBERLASTNAME*SERVICELSUBSCRIBERFIRSTNAME*T*MR*M.D.*MI*
215101056A~
N3*SERVICEBENEFICIARY LOOP2010C ADDR LINE 1*SUB ADDR2~
N4*WINDSORMILL*MD*21244~
DMG*D8*19511204*M~
HL*4*3*EV*1~
TRN*1*202207221010*1311010567*NEUROLOGY~
UM*HS*I*56*32:A~
DTP*AAH*RD8*20220901-201220925~
HI*BK:78609*BF:85135*BF:8488~
HSD*FL*80~
PWK*77*FX***AC*STR41311~
NM1*DK*2*FACILITY ORG NAME*****XX*1234567893~
N3*SERVICESTREET SERVICE PROVIDER 2010EA~
N4*WINDSORMILL*MD*21244~
NM1*FA*1*SERVICEORDERINGPHYLASTNAME*SERVICEORDERINGPHYFNAME****XX*123456789
3~
N3*SERVICESTREET ORDERING PHYSICIAN 2010EA~
```

```
N4*WINDSORMILL*MD*21244~
HL*5*4*SS*0~
TRN*1*0001-201501150001COVERTEST-SERVICELNCE*9555555555*SERVICELNCREQUEST1~
SV2**HC:G0151:25:21:23:55*12.25*UN*80~
PWK*77*FX***AC*STR41311~
HL*6*4*SS*0~
TRN*1*0001-201501150001COVERTEST-SERVICELNCE*9555555555*SERVICELNCREQUEST2~
SV2**HC:G0157:25:21:23:55*12.25*UN*80~
PWK*77*FX***AC*STR41311~
HL*7*4*SS*0~
TRN*1*0001-201501150001COVERTEST-SERVICELNCE*9555555555*SERVICELNCREQUEST3~
SV2**HC:G0162:25:21:23:55*12.25*UN*80~
PWK*77*FX***AC*STR41311~
SE*42*1010~
GE*1*1010~
IEA*1*000001010~
```

6.14 Request Provider Information - 999 Errors

The X12N 278 request provider information is to be submitted in the 2010EA loop only. If provider information is provided in the 2010F loop, a 999 error is returned to the HIH. HI provides information about the messages that are updated, added, and removed.

Table 39: 999 Error Messages to HIH

NO	Validation Message	Update to the Message	Existing or Added
1	Either the 2010EA or 2010F Loop must have at least one combination of NM101 with "DK" and "SJ" or "DK" and "FA"	Removed	Existing
2	"SJ" should be one of the providers in 2010EA or 2010F loops for DMEPOS program	"SJ" should be one of the providers in the 2010EA loop for the DMEPOS program	Existing
3	Provider Information is not allowed in 2010F loop; it has to be sent in 2010EA NM1 segment only	N/A	Existing

6.15 Administrative Error Response

The esMD system shall include the Decision ‘Indicator C’ for the Admin Error. Refer to Figure 37: Ambulance_AdminError.txt File.

Figure 37: Ambulance_AdminError.txt File

```
<?xml version='1.0' encoding='UTF-8'?>
<ns0:RespondingGateway_ProvideAndRegisterDocumentSetResponseRequest
xmlns:ns0="urn:gov:hhs:fha:nhinc:common:nhinccommonentity">
  <ns0:assertion>
    <ns01:address xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
      <ns01:addressType>
        <ns01:code>AddrCodeSyst</ns01:code>
        <ns01:codeSystem>AddrCodeSyst</ns01:codeSystem>
```

```
      <ns01:codeSystemName>AddrCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>AddrCode</ns01:displayName>
      <ns01:originalText>AddrCode</ns01:originalText>
    </ns01:addressType>
    <ns01:city>Baltimore</ns01:city>
    <ns01:country>USA</ns01:country>
    <ns01:state>MD</ns01:state>
    <ns01:streetAddress>7100 Secuirty blvd</ns01:streetAddress>
    <ns01:zipCode>21244</ns01:zipCode>
  </ns01:address>
  <ns01:dateOfBirth xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">03/10/2011
05:21:00</ns01:dateOfBirth>
  <ns01:explanationNonClaimantSignature
xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">Electronic</ns01:explanationNonClaimantS
ignature>
  <ns01:haveSecondWitnessSignature
xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">false</ns01:haveSecondWitnessSignature>
  <ns01:haveSignature
xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">false</ns01:haveSignature>
  <ns01:haveWitnessSignature
xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">false</ns01:haveWitnessSignature>
  <ns01:homeCommunity xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:description>CMS esMD Validation Gateway in Baltimore Data Center</ns01:description>
    <ns01:homeCommunityId>2.16.840.1.113883.13.34.110.2.3</ns01:homeCommunityId>
    <ns01:name>CMS esMD Validation Gateway</ns01:name>
  </ns01:homeCommunity>
  <ns01:personName xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:familyName>CMS Family Name - na</ns01:familyName>
    <ns01:givenName>CMS Given Name - na</ns01:givenName>
    <ns01:nameType>
      <ns01:code>nameCodeSyst</ns01:code>
      <ns01:codeSystem>nameCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>nameCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>nameCode</ns01:displayName>
      <ns01:originalText>nameCode</ns01:originalText>
    </ns01:nameType>
    <ns01:secondNameOrInitials>C</ns01:secondNameOrInitials>
    <ns01:fullName>CMS Given Name. C. Family Name - na</ns01:fullName>
  </ns01:personName>
  <ns01:phoneNumber xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:areaCode>410</ns01:areaCode>
    <ns01:countryCode>1</ns01:countryCode>
    <ns01:extension>1234</ns01:extension>
    <ns01:localNumber>567-8901</ns01:localNumber>
    <ns01:phoneNumberType>
      <ns01:code>phoneCodeSyst</ns01:code>
      <ns01:codeSystem>phoneCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>phoneCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>phoneCode</ns01:displayName>
      <ns01:originalText>phoneCode</ns01:originalText>
    </ns01:phoneNumberType>
  </ns01:phoneNumber>
  <ns01:secondWitnessAddress xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
```

```
    <ns01:addressType>
      <ns01:code>AddrCodeSyst</ns01:code>
      <ns01:codeSystem>AddrCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>AddrCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>AddrCode</ns01:displayName>
      <ns01:originalText>AddrCode</ns01:originalText>
    </ns01:addressType>
    <ns01:city>Baltimore</ns01:city>
    <ns01:country>USA</ns01:country>
    <ns01:state>MD</ns01:state>
    <ns01:streetAddress>7100 Secuirty blvd</ns01:streetAddress>
    <ns01:zipCode>21244</ns01:zipCode>
  </ns01:secondWitnessAddress>
  <ns01:secondWitnessName xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:familyName>CMS Family Name - na</ns01:familyName>
    <ns01:givenName>CMS Given Name - na</ns01:givenName>
    <ns01:nameType>
      <ns01:code>nameCodeSyst</ns01:code>
      <ns01:codeSystem>nameCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>nameCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>nameCode</ns01:displayName>
      <ns01:originalText>nameCode</ns01:originalText>
    </ns01:nameType>
    <ns01:secondNameOrInitials>C</ns01:secondNameOrInitials>
    <ns01:fullName>CMS Given Name. C. Family Name - na</ns01:fullName>
  </ns01:secondWitnessName>
  <ns01:secondWitnessPhone xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:areaCode>410</ns01:areaCode>
    <ns01:countryCode>1</ns01:countryCode>
    <ns01:extension>1234</ns01:extension>
    <ns01:localNumber>567-8901</ns01:localNumber>
    <ns01:phoneNumberType>
      <ns01:code>phoneCodeSyst</ns01:code>
      <ns01:codeSystem>phoneCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>phoneCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>phoneCode</ns01:displayName>
      <ns01:originalText>phoneCode</ns01:originalText>
    </ns01:phoneNumberType>
  </ns01:secondWitnessPhone>
  <ns01:SSN xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">111-22-3333</ns01:SSN>
  <ns01:witnessAddress xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:addressType>
      <ns01:code>AddrCodeSyst</ns01:code>
      <ns01:codeSystem>AddrCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>AddrCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>AddrCode</ns01:displayName>
      <ns01:originalText>AddrCode</ns01:originalText>
    </ns01:addressType>
    <ns01:city>Baltimore</ns01:city>
    <ns01:country>USA</ns01:country>
    <ns01:state>USA</ns01:state>
    <ns01:streetAddress>7100 Secuirty blvd</ns01:streetAddress>
```

```
    <ns01:zipCode>21244</ns01:zipCode>
  </ns01:witnessAddress>
  <ns01:witnessName xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:familyName>CMS Family Name - na</ns01:familyName>
    <ns01:givenName>CMS Family Name - na</ns01:givenName>
    <ns01:nameType>
      <ns01:code>nameCodeSyst</ns01:code>
      <ns01:codeSystem>nameCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>nameCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>nameCode</ns01:displayName>
      <ns01:originalText>nameCode</ns01:originalText>
    </ns01:nameType>
    <ns01:secondNameOrInitials>C</ns01:secondNameOrInitials>
    <ns01:fullName>CMS Given Name. C. Family Name - na</ns01:fullName>
  </ns01:witnessName>
  <ns01:witnessPhone xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:areaCode>410</ns01:areaCode>
    <ns01:countryCode>1</ns01:countryCode>
    <ns01:extension>1234</ns01:extension>
    <ns01:localNumber>567-8901</ns01:localNumber>
    <ns01:phoneNumberType>
      <ns01:code>phoneCodeSyst</ns01:code>
      <ns01:codeSystem>phoneCodeSyst</ns01:codeSystem>
      <ns01:codeSystemName>phoneCodeSystName</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
      <ns01:displayName>phoneCode</ns01:displayName>
      <ns01:originalText>phoneCode</ns01:originalText>
    </ns01:phoneNumberType>
  </ns01:witnessPhone>
  <ns01:userInfo xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:personName>
      <ns01:familyName>CMS Faimily Name - na</ns01:familyName>
      <ns01:givenName>CMS Faimily Name - na</ns01:givenName>
      <ns01:nameType>
        <ns01:code>nameCodeSyst</ns01:code>
        <ns01:codeSystem>nameCodeSyst</ns01:codeSystem>
        <ns01:codeSystemName>nameCodeSystName</ns01:codeSystemName>
        <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
        <ns01:displayName>nameCode</ns01:displayName>
        <ns01:originalText>nameCode</ns01:originalText>
      </ns01:nameType>
      <ns01:secondNameOrInitials>C</ns01:secondNameOrInitials>
      <ns01:fullName>CMS User Given Name. C. Family Name - na</ns01:fullName>
    </ns01:personName>
    <ns01:userName>abcd</ns01:userName>
    <ns01:org>
      <ns01:description>CMS esMD Validation Gateway in Baltimore Data Center</ns01:description>
      <ns01:homeCommunityId>2.16.840.1.113883.13.34.110.2.3</ns01:homeCommunityId>
      <ns01:name>CMS esMD Validation Gateway</ns01:name>
    </ns01:org>
    <ns01:roleCoded>
      <ns01:code>2.16.840.1.113883.6.96</ns01:code>
      <ns01:codeSystem>2.16.840.1.113883.6.96</ns01:codeSystem>
      <ns01:codeSystemName>SNOMED_CT</ns01:codeSystemName>
      <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
```

```
      <ns01:displayName>Claim Processing</ns01:displayName>
      <ns01:originalText/>
    </ns01:roleCoded>
  </ns01:userInfo>
  <ns01:authorized xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">true</ns01:authorized>
  <ns01:purposeOfDisclosureCoded xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:code>2.16.840.1.113883.3.18.7.1</ns01:code>
    <ns01:codeSystem>2.16.840.1.113883.3.18.7.1</ns01:codeSystem>
    <ns01:codeSystemName>nhin-purpose</ns01:codeSystemName>
    <ns01:codeSystemVersion>1.0</ns01:codeSystemVersion>
    <ns01:displayName>Use or disclosure of Psychotherapy Notes</ns01:displayName>
    <ns01:originalText>Use or disclosure of Psychotherapy Notes</ns01:originalText>
  </ns01:purposeOfDisclosureCoded>
  <ns01:samlAuthnStatement xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:authInstant>2009-04-16T13:15:39Z</ns01:authInstant>
    <ns01:sessionIndex>987</ns01:sessionIndex>
    <ns01:authContextClassRef>urn:oasis:names:tc:SAML:2.0:ac:classes:X509</ns01:authContextClass
Ref>
    <ns01:subjectLocalityAddress>158.147.185.168</ns01:subjectLocalityAddress>
    <ns01:subjectLocalityDNSName>esmdg.cms.cmstest</ns01:subjectLocalityDNSName>
  </ns01:samlAuthnStatement>
  <ns01:samlAuthzDecisionStatement xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:decision>Permit</ns01:decision>
    <ns01:resource>https://158.147.185.168:8181/SamlReceiveService/SamlProcessWS</ns01:resourc
e>
    <ns01:action>TestSaml</ns01:action>
    <ns01:evidence>
      <ns01:assertion>
        <ns01:id>RK852258T_CTC13_AMB03Single_PerfTest_9e1677a1-a1f9-4587-818e-
0e68bad4a0e1</ns01:id>
        <ns01:issueInstant>2009-04-16T13:10:39.093Z</ns01:issueInstant>
        <ns01:version>2.0</ns01:version>
        <ns01:issuer>CN=SAML User,OU=Harris,O=HITS,L=Melbourne,ST=FL,C=US</ns01:issuer>
        <ns01:issuerFormat>urn:oasis:names:tc:SAML:1.1:nameid-
format:X509SubjectName</ns01:issuerFormat>
        <ns01:conditions>
          <ns01:notBefore>2009-04-16T13:10:39.093Z</ns01:notBefore>
          <ns01:notOnOrAfter>2009-12-31T12:00:00.000Z</ns01:notOnOrAfter>
        </ns01:conditions>
        <ns01:accessConsentPolicy>urn:oid:2.16.840.1.113883.13.34.110.3</ns01:accessConsentPolicy>
        <ns01:instanceAccessConsentPolicy>urn:oid:2.16.840.1.113883.13.34.110.3</ns01:instanceAcce
ssConsentPolicy>
      </ns01:assertion>
    </ns01:evidence>
  </ns01:samlAuthzDecisionStatement>
  <ns01:messageId xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">urn:uuid:c86a7e13-
42c5-4ab0-a193-4bfd81e66140</ns01:messageId>
 </ns0:assertion>
 <ns0:nhinTargetCommunities>
  <ns01:nhinTargetCommunity xmlns:ns01="urn:gov:hhs:fha:nhinc:common:nhinccommon">
    <ns01:homeCommunity>
      <ns01:homeCommunityId>urn:oid:123.456.657.126</ns01:homeCommunityId>
      <ns01:name>Test HIH</ns01:name>
    </ns01:homeCommunity>
  </ns01:nhinTargetCommunity>
 </ns0:nhinTargetCommunities>
```

```
  <ns0:RegistryResponse status="urn:oasis:names:tc:ebxml-regrep:ResponseStatusType:Failure"
requestId="esMD - Administrative Response">
    <ns02:ResponseSlotList xmlns:ns02="urn:oasis:names:tc:ebxml-regrep:xsd:rs:3.0">
      <ns03:Slot xmlns:ns03="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" name="esMDTransactionId">
        <ns03:ValueList>
          <ns03:Value>EYJ0012434465EC</ns03:Value>
        </ns03:ValueList>
      </ns03:Slot>
      <ns03:Slot xmlns:ns03="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" name="contentTypeCode">
        <ns03:ValueList>
          <ns03:Value>13</ns03:Value>
        </ns03:ValueList>
      </ns03:Slot>
      <ns03:Slot xmlns:ns03="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" name="creationTime">
        <ns03:ValueList>
          <ns03:Value>2023-04-25T12:28:40.3862291-04:00</ns03:Value>
        </ns03:ValueList>
      </ns03:Slot>
      <ns03:Slot xmlns:ns03="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0" name="submissionTime">
        <ns03:ValueList>
          <ns03:Value>2023-04-25T12:28:40.3862291-04:00</ns03:Value>
        </ns03:ValueList>
      </ns03:Slot>
      <ns03:Slot xmlns:ns03="urn:oasis:names:tc:ebxml-regrep:xsd:rim:3.0"
name="ESMDPickedUpClaimReviewer">
        <ns03:ValueList>
          <ns03:Value>urn:oid:2.16.840.1.113883.13.34.110.1.999.1</ns03:Value>
        </ns03:ValueList>
      </ns03:Slot>
    </ns02:ResponseSlotList>
    <ns02:RegistryErrorList xmlns:ns02="urn:oasis:names:tc:ebxml-regrep:xsd:rs:3.0"
highestSeverity="urn:oasis:names:tc:ebxml-regrep:ErrorSeverityType:Error">
      <ns02:RegistryError codeContext="ESMD_412-Review Contractor reported to have received virus
infected files upon  processing. Resubmit" errorCode=" " severity="Error"/>
    </ns02:RegistryErrorList>
  </ns0:RegistryResponse>
</ns0:RespondingGateway_ProvideAndRegisterDocumentSetResponseRequest>
```

7. Retry Functionality

The esMD Gateway shall expect an HTTP 200 acknowledgement back from the HIH Gateway as a receipt of the message for any of the transactions that are delivered to HIH by the esMD. If the esMD Gateway does not receive an HTTP 200 acknowledgement back, it will retry sending the following transactions to the HIH Gateway. If the esMD Gateway fails to deliver any of the following transactions due to unavailability of HIH gateway after the three retries, the esMD will initiate an email communication to the esMD Support Team to reach out to HIH/RC manually through phone contact and/or email communication.

7.1 XDR Retry Scenarios

Table 40: Retry Scenarios common for both X12 and XDR Transactions provides the retry scenarios that are common for both X12 and XDR transactions.

Table 40: Retry Scenarios common for both X12 and XDR Transactions

ID	Transaction	1st Retry	2nd Retry	3rd Retry	Retry Failure Scenario
1.	First Notification. See Section 4.6.5 The esMD System First Notification for more details.	Retry sending in four hours, i.e., after the “HTTP 400” error is received for the first time.	Retry sending in four hours, i.e., after the “HTTP 400” error is received for the second time.	Retry sending in four hours, i.e., after the “HTTP 400” error is received for the third time.	The esMD sends email to the esMD Support team with HIH’s phone contact and email to reach out to them manually to convey the message “Status of the HIH submission”.
2.	Second Notification. See section 4.6.6 The esMD System Second Notification for more details.	Retry sending in four hours, i.e., after the “HTTP 400” error is received for the first time.	Retry sending in four hours, i.e., after the “HTTP 400” error is received for the second time.	Retry sending in four hours, i.e., after the “HTTP 400” error is received for the third time.	The esMD sends email to the esMD Support team with HIH’s phone contact and email to reach out to them manually to convey the message “Failed to deliver Pickup Notification and provide the RC pickup timestamp”.

ID	Transaction	1st Retry	2nd Retry	3rd Retry	Retry Failure Scenario
3.	Third Notification for both X12 and XDR PA Requests. See section 4.6.7 The esMD System Third Notification for more details.	Retry sending in four hours, i.e., after the "HTTP 400" error is received for the first time.	Retry sending in four hours, i.e., after the "HTTP 400" error is received for the second time.	Retry sending in four hours, i.e., after the "HTTP 400" error is received for the third time.	The esMD sends email to the esMD Support team with RC's phone contact and email to reach out to them manually to convey the message "Resubmit the decision response".
4.	Any other error message	Retry sending in four hours, i.e., after the "HTTP 400" error is received for the first time.	Retry sending in four hours, i.e., after the "HTTP 400" error is received for the second time.	Retry sending in four hours, i.e., after the "HTTP 400" error is received for the third time.	The esMD sends email to the esMD Support team with HIH's phone contact and email to reach out to them manually to convey the message "Failed to deliver the error message".

7.2 X12 Retry Scenario

Table 41: Retry Scenarios for X12 Transactions Only describes the retry scenarios for the X12N 278 5010 transactions only. This does not apply to the XDR transactions.

Table 41: Retry Scenarios for X12 Transactions Only

ID	Transaction	1st Retry	2nd Retry	3rd Retry	Retry Failure Scenario
1.	A 2-Business Day notification	Retry sending in four hours, i.e., after the "HTTP 400" error is received for the first time.	Retry sending in four hours, i.e., after the "HTTP 400" error is received for the second time.	Retry sending in four hours, i.e., after the "HTTP 400" error is received for the third time.	The esMD sends an email to the esMD Support team with HIH's phone contact and email to reach out to them manually to convey the message "Missing documentation must be submitted quickly."

ID	Transaction	1st Retry	2nd Retry	3rd Retry	Retry Failure Scenario
2.	A 4-Business Day Reject notification	Retry sending in four hours, i.e., after the "HTTP 400" error is received for the first time.	Retry sending in four hours, i.e., after the "HTTP 400" error is received for the second time.	Retry sending in four hours, i.e., after the "HTTP 400" error is received for the third time.	The esMD sends an email to the esMD Support team with HIH's phone contact and email to reach out to them manually to convey the message "The Request has been rejected and a new request and documentation to be resubmitted".

7.3 eMDR Pre-Pay, eMDR Post-Pay and eMDR Post-Pay-Other RC types (CERT, QIO and SMRC) Retry Scenario

Table 42: Retry Scenario for eMDR Pre-Pay, Post-Pay and Post-Pay-Other RC types (CERT, QIO and SMRC) describes the retry scenario for eMDR Pre-Pay, eMDR Post-Pay and eMDR Post-Pay-Other package delivery to HIH.

Table 42: Retry Scenario for eMDR Pre-Pay, Post-Pay and Post-Pay-Other RC types (CERT, QIO and SMRC)

ID	Transaction	1st Retry	2nd Retry	3rd Retry	Retry Failure Scenario
1.	eMDR Pre-Pay or Post-Pay package delivery to HIH	Retry sending in four hours, i.e., after the "HTTP 400" error is received for the first time.	Retry sending in four hours, i.e., after the "HTTP 400" error is received for the second time.	Retry sending in four hours, i.e., after the "HTTP 400" error is received for the third time.	The esMD sends an email to the esMD Support team after every retry failure with HIH's details to reach out to them manually to convey the message "esMD fails to deliver the eMDR Pre-Pay or Post-Pay package to HIH.

ID	Transaction	1st Retry	2nd Retry	3rd Retry	Retry Failure Scenario
2.	eMDR Post-Pay-Other RC types (CERT, QIO and SMRC) package delivery to HIH	Retry sending in four hours, i.e., after the "HTTP 400" error is received for the first time.	Retry sending in four hours, i.e., after the "HTTP 400" error is received for the second time.	Retry sending in four hours, i.e., after the "HTTP 400" error is received for the third time.	The esMD sends an email to the esMD Support team after every retry failure with HIH's details to reach out to them manually to convey the message "esMD fails to deliver the eMDR Post-Pay-Other package to HIH.

8. Service Registration Request Processing Overview

The HIH shall initiate the eMDR Registration Request XML and send it to esMD as an XDR attachment using Content Type Code 5. The esMD system allows HIHs to submit information for up to 100 distinct providers (NPIs) within a single service registration request XML. The HIH can submit multiple requests with a valid NPI that exists in NPPES system.

Note: With Release AR2024.07.0 implementation, Provider Tax ID and Start Date are now optional elements. When provided, the elements usage has the below validations:

- The Service Code value is updated from "EMDR" to "EEP". HIHs will receive validation error messages when Service Code is missing, or Service Code is not "EEP".
- Provider Tax ID is now optional, HIH will be able to submit inbound service registration file without Provider Tax ID. When Tax ID is submitted, it should be minimum of 6 and maximum of 9 in length.
- Start Date is made optional. When the Start Date is included, it should be in “YYYY-MM-DD” format.
- Start Date cannot be prior to the current date.

Note: With the Release AR2024.10.0 implementation, Provider Name is updated as an optional element. Only the length validation will be performed to accept up to 100 alphanumeric characters.

Refer to Figure 38: Service Registration Process Flow.

Figure 38: Service Registration Process Flow

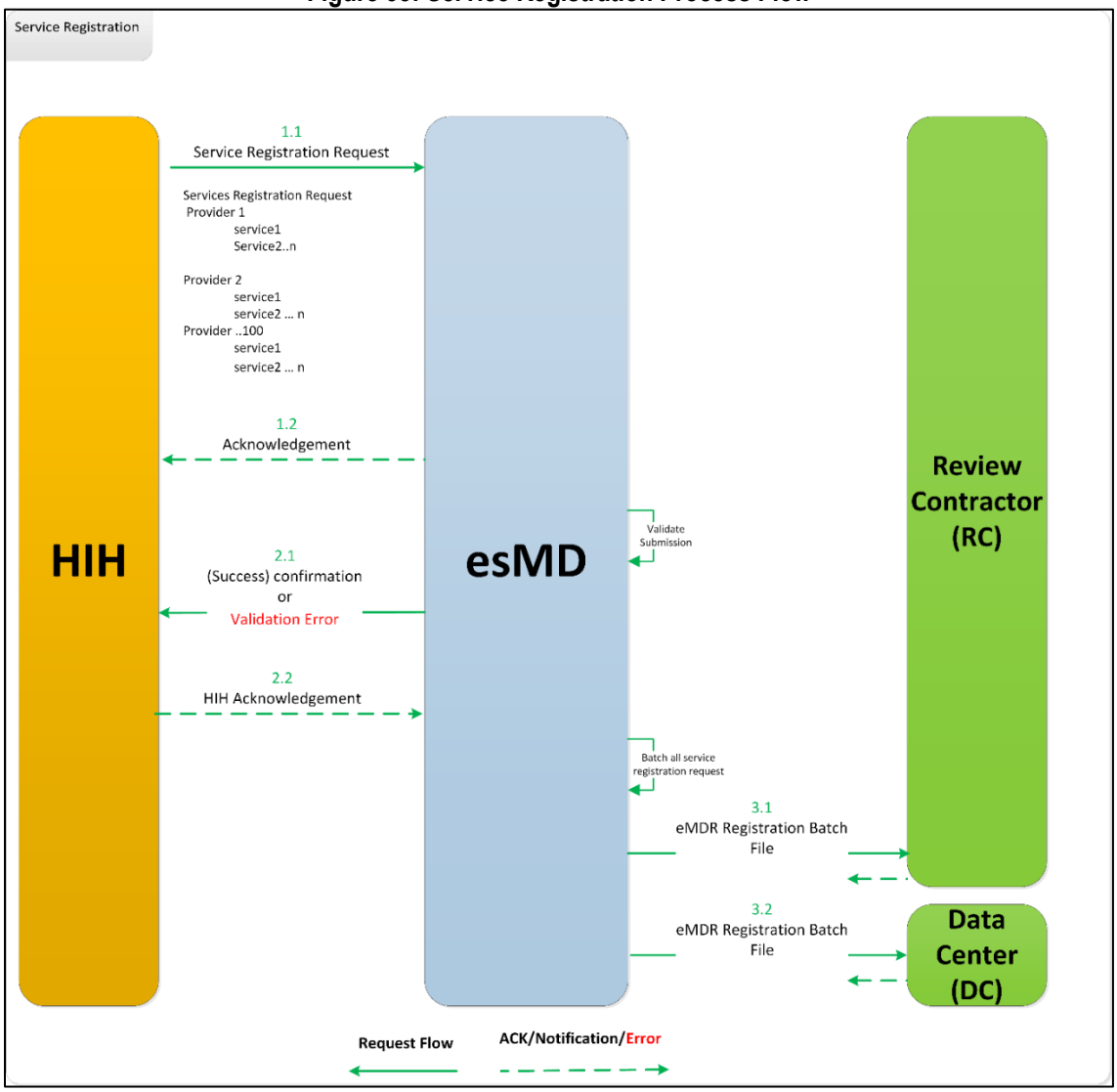


Table 43: Service Registration Flow Steps describes the step-by-step process of the eMDR Registration Request.

Table 43: Service Registration Flow Steps

Message Sequence	Description
1.1	The HIH submits the service registration request in XDR format to esMD with all necessary metadata information and the Service registration XML (consisting of information for one or more Provider(s) and Service(s)) wrapped as clinical information.
1.2	esMD sends the synchronous request acknowledgment to the HIH.

Message Sequence	Description
2.1	The esMD system processes the provider information received in the service registration request, and the success confirmation or error(s) are returned for any validation failures as the first notification. esMD sends one of the following notifications (asynchronous) to the HIH after completing processing of the service registration request: esMD - Request Accepted esMD - Request Accepted with Errors esMD - Meta Data Validation and Persistence
2.2	The HIH acknowledges the acceptance/rejection status of the notification received from esMD.
3.1	esMD batches all the Service Registration requests and sends them to all of the MAC RCs.
3.2	esMD batches all the Service Registration requests and sends them to all of the Data Centers (DC).

8.1 eMDR Letters (Pre-Pay, Post-Pay and Post-Pay-Other)

This section focuses on exchanging structured (XML) and unstructured (PDF) eMDR and ADR (Pre-Pay, Post-Pay and Post-Pay-Other) transactions in the form of electronic clinical documents and Nationwide Health Information Network (NwHIN)-XDR profile standards, which may already exist in both the initiator and consumer entity system or may need to be created for this exchange.

This section offers guidance on associating the clinical attachment with its metadata, and their technical importance with appropriate examples. Table 44: eMDR Content Type Codes shows the Content Type Code details for eMDR programs.

Table 44: eMDR Content Type Codes

CTC	Display Name
2.5	eMDR Pre-Pay Letters
2.6	eMDR Post-Pay Letters / eMDR Post Pay Other Letters

8.1.1 eMDR Pre-Pay Logical Flow

Figure 39: eMDR Pre-Pay Process Flow depicts the logical processing of the eMDR (Pre-Pay) process.

Figure 39: eMDR Pre-Pay Process Flow

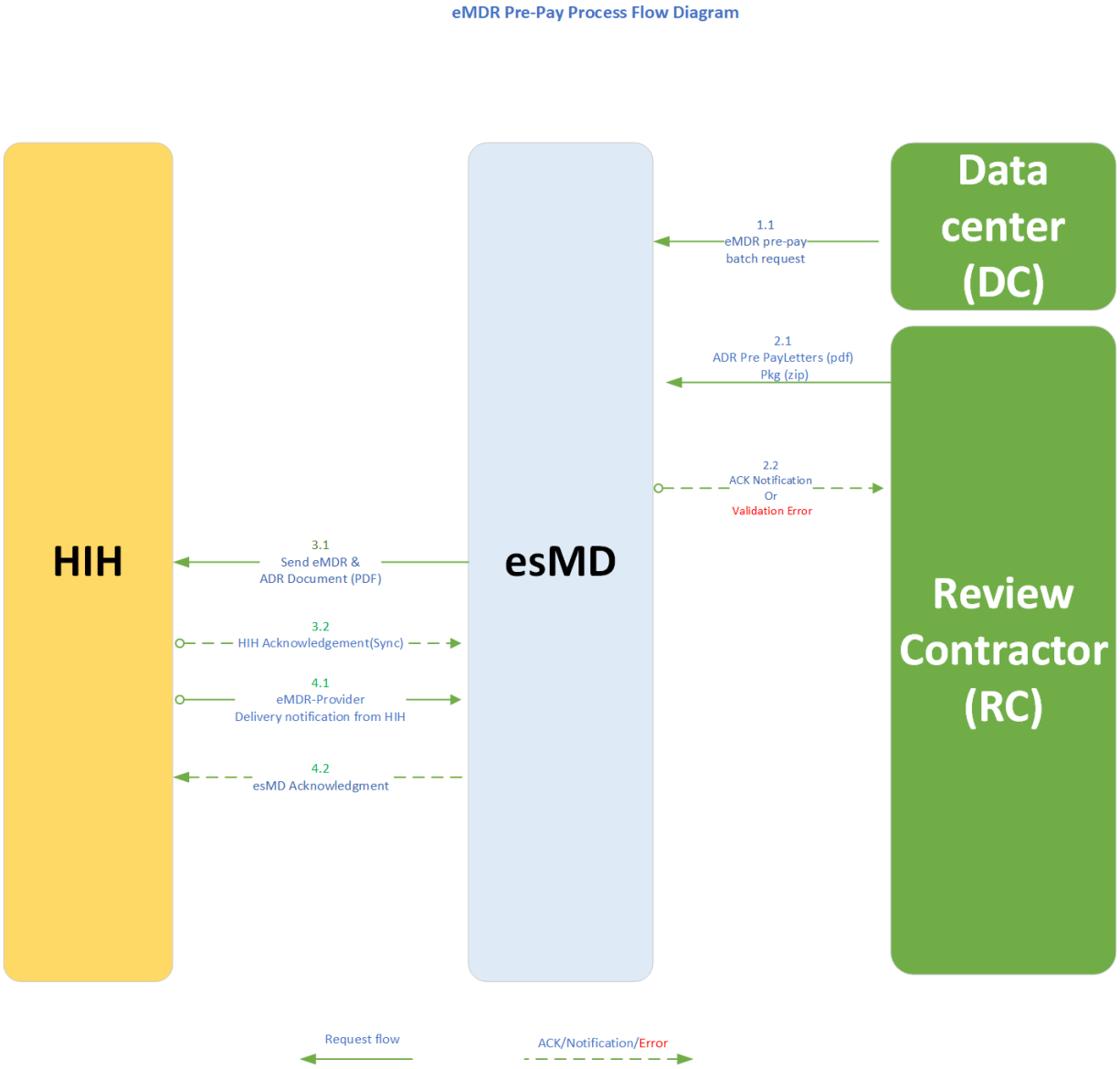


Table 45: eMDR Pre-Pay Logical Process Flow Steps details the eMDR process.

The eMDR Pre-Pay logical flow depicts the series of events and sequence of interactions between esMD and HIHs via the XDR interface. The order and timing of the exchange of messages with the HIHs is driven by RC submissions.

As part of the July 2024 release, the esMD system will not restrict the special characters sent by RCs in the Pre-Pay metadata file except for the below mentioned required fields. The data entered by RC will be sent to HIH in the Pre-Pay XML package without any format validations.

HIH may receive special characters in all the required and optional metadata elements except for the following:

- Unique Letter ID
- Letter Date
- Provider NPI

- Respond By
- Claim ID
- Date(s) of Service
- Document Codes

Special characters that may be received as part of the eMDR Pre-pay metadata values are as follows ! @ # $ % ^ & * ( ) ' , " + = . _ - /

Table 45: eMDR Pre-Pay Logical Process Flow Steps

Message Sequence	Description
1.1	The esMD system receives the eMDR Pre-Pay batch request file from the DC. The esMD system processes the eMDR (Pre-Pay) batch request file and holds the eMDR requests within the esMD system until the matching ADR letter (PDF) is received from the RC. The esMD system maintains the record of any processing errors or failures.
2.1	The RC sends ADR letters (PDF) matching the eMDR requests in the zip request package to esMD.
2.2	The esMD system processes the ADR letter zip packages received from the RC and generates the appropriate acceptance or rejection response acknowledgement to the RC.
3.1	The esMD system constructs the XDR request payload with the RC's ADR PDF letter and structured matching eMDR embedded in the unstructured HL7 clinical document standard and sends the package to the HIH.
3.2	The HIH acknowledges the acceptance/failure with any of the following statuses for the document/request received from esMD: 1. RequestAccepted 2. ResponseAccepted 3. Success 4. Error
4.1	The HIH sends the package delivery confirmation to esMD after the ADR PDF letter and eMDR structured XML are successfully transmitted to the Provider.
4.2	esMD acknowledges the delivery confirmation received from the HIH with any of the following statuses: 1. RequestAccepted 2. ResponseAccepted 3. Success 4. Error

Figure 40: Sample Pre-Pay eMDRProcessMetadata XML

```
<?xml version="1.0" encoding="UTF-8" standalone="yes"?>
<eMDRProcessMetadata xmlns="http://esmd.ois.cms.hhs.gov/rc/v1/emdr/processmetadata">
   <uniqueID>UY6KPVE4QGGN8JBV</uniqueID>
   <numberOfDocuments>38</numberOfDocuments>
   <submissionMetadata>
      <creationTime>2023-10-18T17:00:47.5710000-04:00</creationTime>
      <routingName>ES0015</routingName>
```

```
      <deliveryType>U</deliveryType>
      <contentTypeCode>2.5</contentTypeCode>
   </submissionMetadata>
   <Documentation
DocumentUniqueIdentifier="1300122327800963304CTA0PR_20231017235959_L075ESMD"
MimeType="application/pdf"
FileName="1300122327800963304CTA0PR_20231017235959_L075ESMD.pdf">
      <OptionalMetadata>
         <FieldName>CheckSum</FieldName>
         <FieldValue>1eaab9e13a42561d2b17f1765cb0546678004ba9</FieldValue>
      </OptionalMetadata>
      <OptionalMetadata>
         <FieldName>File Size</FieldName>
         <FieldValue>50053</FieldValue>
      </OptionalMetadata>
      <OptionalMetadata>
         <FieldName>NPI</FieldName>
         <FieldValue>1243878901</FieldValue>
      </OptionalMetadata>
   </Documentation>
   <Documentation
DocumentUniqueIdentifier="1300122327800962104CTA0PR_20231017235959_L075ESMD"
MimeType="application/pdf"
FileName="1300122327800962104CTA0PR_20231017235959_L075ESMD.pdf">
      <OptionalMetadata>
         <FieldName>CheckSum</FieldName>
         <FieldValue>1526872b42f5ebbf6f7cd0b99e1789cdc5d379a9</FieldValue>
      </OptionalMetadata>
      <OptionalMetadata>
         <FieldName>File Size</FieldName>
         <FieldValue>49987</FieldValue>
      </OptionalMetadata>
      <OptionalMetadata>
         <FieldName>NPI</FieldName>
         <FieldValue>9876548394</FieldValue>
      </OptionalMetadata>
   </Documentation>
   <Documentation
DocumentUniqueIdentifier="1300122327800960004CTA0PR_20231017235959_L075ESMD"
MimeType="application/pdf"
FileName="1300122327800960004CTA0PR_20231017235959_L075ESMD.pdf">
      <OptionalMetadata>
         <FieldName>CheckSum</FieldName>
         <FieldValue>8c5c53c2444fda720c5ef35394ac8829c33a3e50</FieldValue>
      </OptionalMetadata>
      <OptionalMetadata>
         <FieldName>File Size</FieldName>
         <FieldValue>50048</FieldValue>
      </OptionalMetadata>
      <OptionalMetadata>
         <FieldName>NPI</FieldName>
         <FieldValue>0876484989</FieldValue>
      </OptionalMetadata>
   </Documentation>
</eMDRProcessMetadata>
```

8.1.2 eMDR Post-Pay Logical Flow

The eMDR post-pay logical flow depicts the series of events and sequence of interactions between esMD and the HIH via the XDR interface. The order and timing of the exchange of messages with HIHs is driven by RC submissions.

Figure 41: eMDR Post-Pay Process Flow depicts the logical processing of the eMDR (Post-Pay) process.

Figure 41: eMDR Post-Pay Process Flow

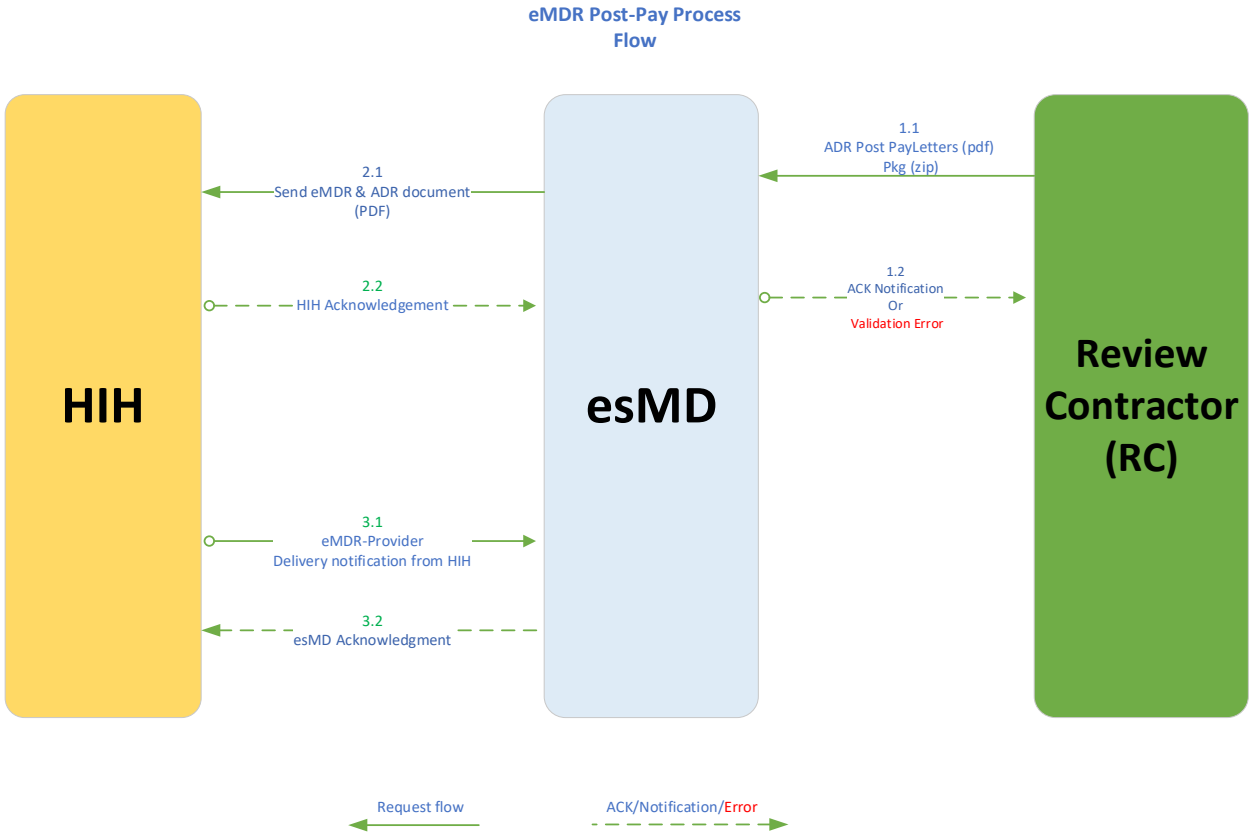


Table 46: eMDR Post-Pay Logical Process Flow Steps details the sequence of interactions between esMD and HIH.

Table 46: eMDR Post-Pay Logical Process Flow Steps

Message Sequence	Description
1.1	The esMD system receives the ADR Letter PDF and structured eMDR Post-Pay XML in a zip file from the RC.
1.2	The esMD system processes the eMDR Post-Pay package received from the RC and generates the appropriate acceptance or rejection response acknowledgement to the RC.
2.1	The esMD system constructs the XDR request payload with the ADR PDF letter and structured Pre-Pay eMDR (XML) embedded in the unstructured HL7 clinical document standard and sends the package to the HIH.

Message Sequence	Description
2.2	The HIH acknowledges the acceptance/failure with any of the following statuses for the document/request received from esMD: 1. RequestAccepted 2. ResponseAccepted 3. Success 4. Error
3.1	The HIH sends the package delivery confirmation to esMD after the ADR PDF letter and eMDR structured XML are successfully transmitted to the Provider.

8.1.3 eMDR Post-Pay-Other RCs (CERT, QIO and SMRC) Logical Flow

The eMDR Post-Pay-Other RCs (CERT, QIO and SMRC) logical flow depicts the series of events and sequence of interactions between esMD and the HIH via the XDR interface. The order and timing of the exchange of messages with HIHs is driven by the following RC submissions (CERT, QIC and SMRC).

Figure 42: eMDR Post-Pay-Other RC types (CERT, QIO and SMRC) Process Flow depicts the logical processing of the eMDR Post-Pay-Other RCs (CERT, QIO and SMRC) process.

Figure 42: eMDR Post-Pay-Other RC types (CERT, QIO and SMRC) Process Flow

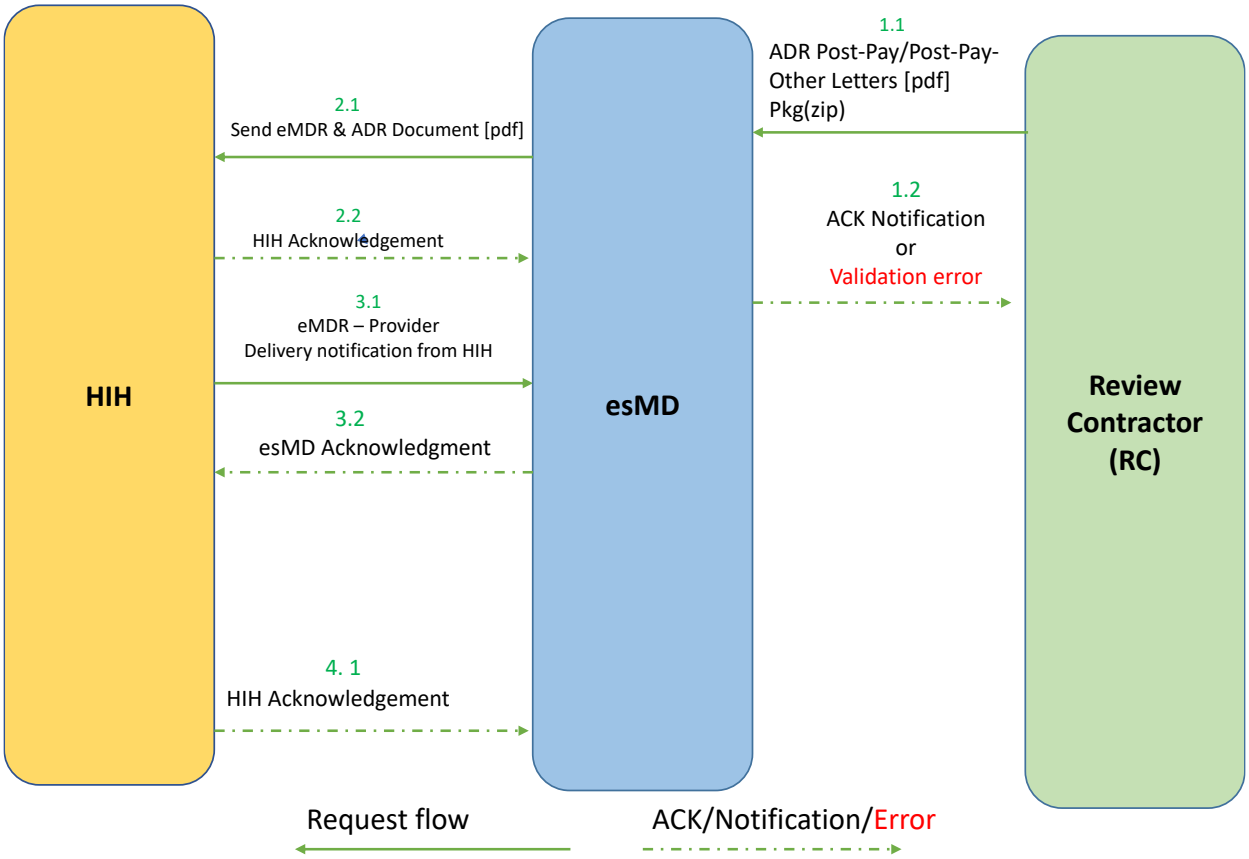


Table 47: eMDR Post-Pay-Other RCs (CERT, QIO and SMRC) Logical Process Flow Steps details the sequence of interactions between esMD and HIH.

Table 47: eMDR Post-Pay-Other RCs (CERT, QIO and SMRC) Logical Process Flow Steps

Message Sequence	Description
1.1	The esMD system receives the ADR Letter PDF and structured eMDR Post-Pay-Other RC types (CERT, QIO and SMRC)XML in a zip file from the RC.
1.2	The esMD system processes the eMDR Post-Pay-Other RC types (CERT, QIO and SMRC)package received from the RC and generates the appropriate acceptance or rejection response acknowledgement to the RC.
2.1	The esMD system constructs the XDR request payload with the ADR PDF letter and structured Post-Pay-Other eMDR (XML) embedded in the unstructured HL7 clinical document standard and sends the package to the HIH.

Message Sequence	Description
2.2	The HIH acknowledges the acceptance/failure with any of the following statuses for the document/request received from esMD: 1. RequestAccepted 2. ResponseAccepted 3. Success 4. Error
3.1	The HIH sends the package delivery confirmation to esMD after the ADR PDF letter and eMDR structured XML are successfully transmitted to the Provider.

8.1.4 Provider Delivery Acknowledgment

The HIH delivers the eMDR (Prepay/Post-Pay/Post-Pay-Other RCs (CERT, QIO and SMRC)) to the respective providers, who are required to send the delivery confirmation to esMD using the XDR Acknowledgment object (i.e., RespondingGateway_ProvideAndRegisterDocumentSetResponseRequest).

9. Prior Authorization Decision Letters (PADLs) and Review Result Letters (RRLs)

The RCs shall initiate the Prior Authorization Decision Letters (PADL) and Review Result Letters (RRLs) from the RC Client to esMD in JSON format using Content Type Code (CTC) - 20. The Letter package contains the Structured Letter Record (SLR), process meta data in XML format, along with the PADL in .PDF format.

With the Release AR2024.10.0 implementation, the following changes are made:

- The Content Type description is replaced with “Letters” instead of "PADL/RRL".
- The program name “PADL/RRL” is replaced with “Letters” in all Audit Events, Audit Event Exceptions, Error Messages, and Email Alerts.
- The data element “requestType” value is replaced with “Letters” instead of “RRL” in the metadata file sent to the HIH.

As part of the April 2025 release, qualifier type and id fields in the details section of LETTER requests are made mandatory.

- HIHs shall receive only qualifier values taken from the below consolidated list of in the LETTER request (CTC 20):
  - UTN
  - BENE-NAME
  - BENE-ID
  - BENE-DOB
  - PDOS
  - PDOS-RANGE
  - DECISION-DATE
  - UTN-EXPIRATION-DATE
  - CLAIM-ID
  - CASE-ID
  - DOS
  - DOS-RANGE
- HIHs shall receive at least one Qualifier Type and ID values in the Letters.
- HIHs shall receive Qualifier Type values only in Uppercase
- HIHs may receive multiple Qualifier Type/ID pairs in the LETTERS.
- HIHs shall receive the value for the “Qualifier Type” that exactly matches the valid qualifier values list mentioned above and will not contain null, empty or spaces.
- The same Qualifier Type and ID pair may be repeated.
- The value for “id” may be of any format and length and cannot be null, blank or contain all spaces.

Refer to Figure 43: PADL and RRL Process Flow.

Figure 43: PADL and RRL Process Flow

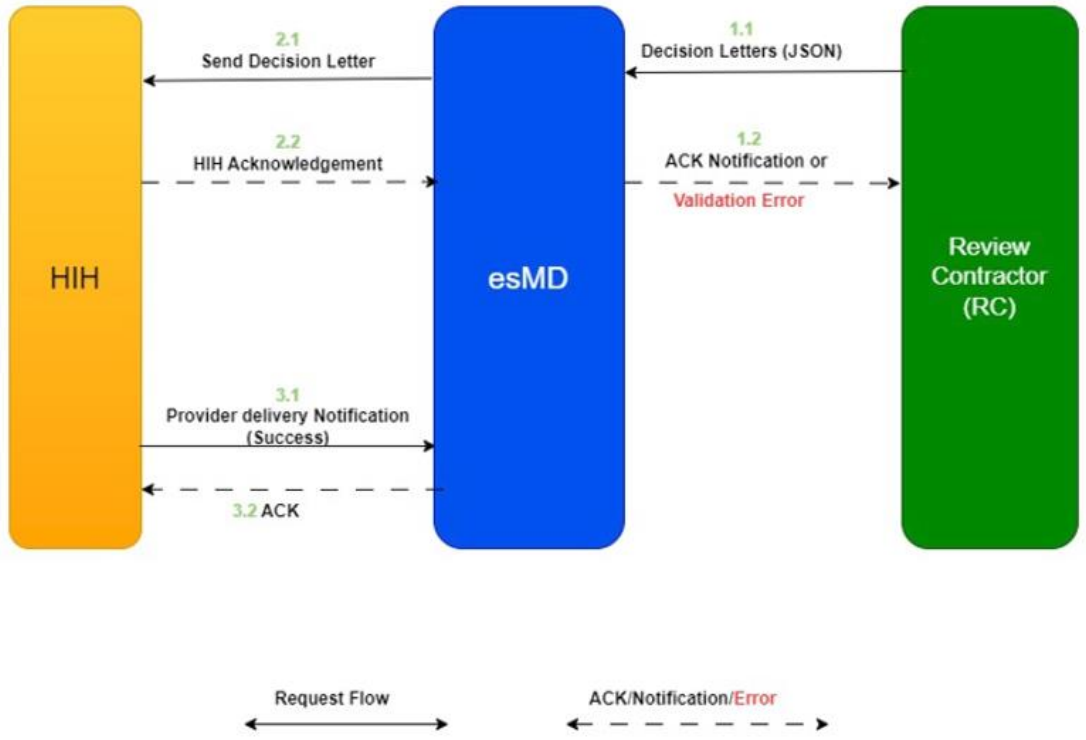


Table 48: PADL/RRL Logical Process Flow Steps describes the step-by-step process between RC, esMD and HIH.

Table 48: PADL/RRL Logical Process Flow Steps

Message Sequence	Description
1.1	The esMD system receives the PADL/RRL JSON message from the RC.
1.2	The esMD system processes the PADL/RRL JSON message received from the RC and generates the appropriate acceptance or rejection response acknowledgement to the RC.
2.1	The esMD system constructs the PADL/RRL JSON message with the Structured Letter Record JSON message with the attached PDF document embedded in the unstructured HL7 clinical document standard and sends it to the HIH.
2.2	The HIH acknowledges the acceptance/failure with any of the following statuses for the document/request received from esMD: • RequestAccepted • ResponseAccepted • Success • Error
3.1	The HIH sends the PADL/RRL Provider delivery confirmation to esMD after the PADL/RRL is successfully transmitted to the Provider.
3.2	The esMD system acknowledges the delivery confirmation received from the HIH.

Figure 44: PADL and RRL Request JSON Structure


```
{
   "letterid": "WER34345566",
   "letterdate": "mm/dd/yyyy",
   "category": "20.1",
   "subcategory": "NA",
   "paprogramnameproviderexempted": [
      ""
   ],
   "enclosures": "",
   "inputfield": [
      {
         "name": "dateinputfield",
         "value": ""
      }
   ],
   "senderinformation": {
      "rctype": "MAC",
      "division": {
         "type": "Jurisdiction",
         "value": "JJ"
      },
      "reviewcontractorname": "NORIDIAN",
      "linesofbusiness": "1",
      "address1": "",
      "address2": "",
      "city": "",
      "state": "",
      "zipcode": "",
      "telephonewithextension": "",
      "fax": ""
   },
   "provider_or_receiverinformation": {
      "npi": "8764990470",
      "ptan": "",
      "firstname": "",
      "lastnameororganizationname": "LBN NAME",
      "address1": "100 Washingtone Blvd",
      "address2": "",
      "city": "",
      "state": "",
      "zipcode": "",
      "telephonewithextension": "",
      "fax": "",
      "letteraddressedto": [
         {
            "type": "PERSON|DEPARTMENT",
            "name": ""
         }
      ]
   },
   "summaryinformation": {
      "claimsreviewed": "",
      "totalclaimspaid": "",
      "totalclaimsdeniedorreduced": "",
```

```
    "totalnonresponseclaims": "",
    "errorrate": "",
    "claimserrorrate": "",
    "reimbursementreviewed": "",
    "reimbursementdenied": ""
  },
  "providersystemidentifier": [
    {
      "senderidentifier": ""
    }
  ],
  "details": [
    {
     "qualifier": [
        {
                                    "type": "PDOS",
                                    "id": "11990-20-30-$123&*23432"
                                },
                                {
                                    "type": "PDOS-RANGE",
                                    "id": "11990.22220-30WEWQ-$123&*23432"
                                },
                                {
                                    "type": "CASE-ID",
                                    "id": "CSasdasdaas234356 sfas_123"
                                },
                                {
                                    "type": "BENE-NAME",
                                    "id": "CSasdasdaas234356 sfas_123"
                                },
                                {
                                    "type": "BENE-ID",
                                    "id": "CSasdasdaas234356 sfas_123"
                                },
                                {
                                    "type": "BENE-DOB",
                                    "id": "12/11/1981-$%CSasdasdaas234356"
                                },
                                {
                                    "type": "DECISION-DATE",
                                    "id": "1190-20-30-$123&*23432"
                                },
                                {
                                    "type": "UTN-EXPIRATION-DATE",
                                    "id": "1190-20-30-$123&*23432"
                                },
                                {
                                    "type": "CLAIM-ID",
                                    "id": "CSasdasdaas234356 sfas_1231190-20"
                                },
                                {
                                    "type": "DOS",
                                    "id": "CSasdasdaas234356 sfas_1231190-20"
                                },
```

```
                                {
                                        "type": "DOS-RANGE",
                                        "id": "1190-20-30-$123&*23432284928"
                                },
                                {
                                        "type": "DECISION-DATE",
                                        "id": "1190-20-30-$123&*23432"
                                }
                        ],
        "beneficiaryid": "",
        "beneficiaryfirstname": "",
        "beneficiarymiddlename": "",
        "beneficiarylastname": "",
        "medicalrecordnumberorpatientaccountnumber": "",
        "dateofbirth": "",
        "billingperiod": [
          {
            "utn": "",
            "billingperiod_startdate": "",
            "billingperiod_enddate": ""
          }
        ],
        "reviewinformation": [
          {
            "reviewfactor": "",
            "revisedfactor": "",
            "decision": "",
            "servicefromdate": "",
            "servicetodate": "",
            "denialcode": "",
            "decisionrationale": "",
            "datainputfield": [
              ""
            ]
          }
        ],
        "inputfield": [
          {
            "dateinputfield": [
              ""
            ],
            "datainputfield": [
              ""
            ]
          }
        ]
      }
    ]
}
```

10. CAQH Core Rest APIs Approach (HIH to esMD)

The esMD new CAQH REST API approach is a modernization effort that will enable esMD to start accepting submissions of both the X12 278 and X12 275 requests using the CAQH REST APIs. The HIHs can start onboarding to new esMD CAQH REST APIs to process their requests. When using the API, HIHs will send the requests and receive the responses using the APIs JSON structures instead of XML from the esMD system.

Note: HIHs must refer to the ICD document as reference in order to follow the process of how to submit the PA Requests using this new approach. The ICD defines the End Point URLs, Request and Response attributes, API errors, and status/error messages generated or returned by esMD for successful and failed operations.

10.1 X12 278 & 275 CAQH Rest Request & Response Process Steps

a) The HIHs are requested to submit X12 278 and X12 275 requests using the new JSON structures.

b) The HIH must ensure they are authenticated through the OAUTH API to submit the requests.

c) The HIH must use the Endpoint URLs to send the X12 278 and X12 275 requests.

d) The HIH must track the following responses received in the JSON Structure.

Table 49: PA Request and Response Notification Format Summary

API Type	Format
X12 278 Request	JSON
X12 275 Request	JSON
First Notification (XDR CTC-13)	XDR/XML format
2 Day Warning Notification	JSON
4 Day reject	JSON
PICK UP (Success/Error)	JSON
Admin Error	JSON
Response Notifications	JSON
Supporting Documentation (275 JSON)	JSON
Supporting Documentation CTC 13	JSON

11. System Reference Information Delivery to HIHs

As part of AR2025.07.0, the system reference information is shared with the HIHs using esMD's PUSH or PULL mechanism and CTC-18. The list of system reference information shared with the HIHs is summarized below:

1. Active RC OID
2. Active and Inactive NPI
3. Document Code File
4. PA Procedure Codes
5. Letter Categories
6. Response Type Categories
7. esMD Transaction IDs with no provider acknowledgment

11.1 Push Approach

The HIHs shall use the CONNECT Gateway and the PUSH approach to get the system reference information. esMD sends the reference information directly to the HIHs via a predefined endpoint. The HIHs will receive the XDR request with the system reference information in JSON format. The files are generate at 6:00 PM EST on the day the report is scheduled to be created. Please refer to the report descriptions in Section 11.3 System Reference Information File Description to obtain the schedule for a particular system reference information file.

11.2 Pull Approach

The HIHs shall use esMD FHIR REST API framework will and the PULL approach to get the system reference information. HIHs query the DocumentReference module in esMD to retrieve the system reference information. The system reference information is included as part of the attachment.

11.3 System Reference Information File Description

11.3.1 Active RC OID

The Active RC OID reference information file provides all active RC OID information such as the RC Name, Actual Jurisdiction, RC OID value, and Supported CTC values. Active RC OID system reference information is generated at 6:00 PM EST:

- Monthly on the first business day of the month.
- Whenever there is a change to the RC OID information.

For example, when a new RC is added, removal of RC, change of OID value, RC starts accepting a LOB, change of jurisdiction, or the RC stops accepting a LOB.

Figure 45: Active RC OID Reference Information File Sample JSON

```
{
    "reportMetadata": {
        "reportType": "ActiveRCOID",
```

```
        "generatedDate": "2024-11-03",
        "totalRecords": 2
    },
    "data": [
        {
            "rcName": "Review Contractor 1",
            "actualJurisdiction": "RAC A",
            "rcOid": "urn:oid:2.16.840.1.113883.13.34.110.1.999.3",
            "supportedCtcValues": "1"
        },
        {
            "rcName": "Test Review Contractor",
            "actualJurisdiction": "MAC JN",
            "rcOid": "urn:oid:2.16.840.1.113883.13.34.110.1.999.7",
            "supportedCtcValues": "8.3, 8.5"
        }
    ]
}
```


11.3.2 Active and Inactive NPI

The Active and Inactive NPI reference information file provides a cumulative list of NPIs (active and inactive NPI) information. This system reference information file contains the Provider NPI, Current Provider Enrollment Indicator, Previous Provider Enrollment Indicator, Enrollment Change Date, eMDR Success Count, and Active or Inactive status. The Active and Inactive NPI system reference information is generated at 6:00 PM EST:

- Monthly on the last business day.
- Whenever there is a change.

Figure 46: Registered Providers System Reference File Sample JSON


```
    "reportMetadata": {
        "reportType": "ActiveInactiveNPI",
        "generatedDate": "2024-11-03",
        "totalRecords": 1
    },
    "data": [
        {
            "providerNpi": "1508352337",
            "currentProviderEnrolmentIndicator": "E",
            "previousProviderEnrolmentIndicator": "B",
            "enrolmentChangeDate": "2024-11-03 21:00:03.170",
            "emdrSuccessCount": "3",
            "activeOrInactive": "Active"
        }
    ]
}
```

11.3.3 Document Code File (DCF)

The Document Code File system reference information provides a list of all centralized and standardized document codes. This system reference information contains Document Code, Document Code Description, Action Flag, and Action Date. It is generated at 6:00 PM EST on the day there is an update to the DCF File.

Figure 47: Document Code File System Reference Information File Sample JSON


```
{
    "reportMetadata": {
        "reportType": "DocumentCodeFile",
        "generatedDate": "2025-03-03",
        "totalRecords": 4
    },
    "data": [
        {
            "documentCode": "100001",
            "documentCodeDescription": "Interim verbal orders",
            "actionFlag": "Unchanged",
            "actionDate": "06-30-2020"
        },
            {
            "documentCode": "100020",
            "documentCodeDescription": "Signed and dated initial and
subsequent plan of care/amendment including, short and long term goals with
any updates to the plan of care",
            "actionFlag": "Modified",
            "actionDate": "03-03-2025"
        },
        {
            "documentCode": "100009",
            "documentCodeDescription": "Certificate of Terminal Illness",
            "actionFlag": "Expired",
            "actionDate": "02-10-2020"
        },
            {
            "documentCode": "900007",
            "documentCodeDescription": "Imaging Report",
            "actionFlag": "Added",
            "actionDate": "03-03-2025"
        }
    ]
}
```


11.3.4 PA Procedure Codes

The HIHs who currently participate in any of the supported PA/PCR programs will receive the PA Procedure Codes system reference information. This system reference information contains PA Program Name, Lines of Business ID, and Procedure Code. This information generated at 6:00 PM EST:

- Quarterly on the quarterly release go live date.
- Whenever there is an update to the procedure codes.

Figure 48: Procedure Code List System Reference Information Sample JSON


```
{
    "reportMetadata": {
        "reportType": "PAProcedureCode",
        "generatedDate": "2024-11-03",
        "totalRecords": 3
    },
    "data": [
        {
            "paProgramName": " Requesting Non-Emergent Ambulance Transport",
            "linesOfBunsinessId": 8.1,
            "procedureCode": "A0426"
        },
        {
            "paProgramName": " Home Health Pre-Claim Review request(HHPCR)",
            "linesOfBunsinessId": 8.3,
            "procedureCode": "G0156"
        },
        {
            "paProgramName": " Durable Medical Equipment,
Prosthetics/Orthotics & Services",
            "linesOfBunsinessId": 8.4,
            "procedureCode": "E0181"
        }
    ]
}
```


11.3.5 Letter Categories

The Letter Categories system reference information contains Letter Category, and Letter Category Description information. It is generated at 6:00 PM EST:

- Quarterly on the quarterly release go live date.
- Whenever there is a change to the Letter Categories list.

Figure 49: Letter Category System Reference Information Sample JSON


```
{
    "reportMetadata": {
        "reportType": "LetterCategories ",
        "generatedDate": "2024-11-03",
        "totalRecords": 4
    },
    "data": [
        {
            "letterCategory": 20.1,
            "letterCategoryDescription": " PA Decision Letter "
        },
        {
            "letterCategory: 20.4,
            "letterCategoryDescription": " Review Results Letter "
        },
        {
            "letterCategory": 20.2,
```

```
            "letterCategoryDescription": " PA Rejection Letter "
        },
        {
            "letterCategory": LETTER,
            "letterCategoryDescription": " Letter "
        }

    ]
}
```


11.3.6 Response Type Categories

The Response Type Categories system reference information contains Response Type, Category (Decimal), and Response Type Category Description. It is generated at 6:00 PM EST:

- Quarterly on the quarterly release go live date.
- Whenever there is a change to the list.

Figure 50: Response Type Category List System Reference Information Sample JSON


```
{
    "reportMetadata": {
        "reportType": "ResponseTypeCategory",
        "generatedDate": "2024-11-03",
        "totalRecords": 3
    },
    "data": [
        {
            "responseTypeCategoryDecimal": 1.10,
            "responseTypeCategoryDescription": "Medical Review
        },
        {
            "responseTypeCategoryDecimal": 1.11,
            "responseTypeCategoryDescription": "Non – Medical Review"
        },
        {
            "responseTypeCategoryDecimal": 1.12,
            "responseTypeCategoryDescription": "PA – Responses for PA/PCR
requests"
        }
    ]
}
```


11.3.7 esMD Transaction IDs with no provider acknowledgment

The esMD Transaction IDs system reference information provides the respective transaction IDs for which the provider delivery acknowledgment has not been sent for 3 or more business days. This system reference information contains the Transaction ID, Type, Package Delivery Date, and Days Elapsed Without Confirmation. It is generated at 6:00 PM EST:

- Twice per week (Monday and Friday).
- Any day the count of eMDRs without provider delivery acknowledgements exceed 100.

Note: This is applicable only to eMDR types such as Pre-Pay, Post-Pay, Post-Pay-Others.

Figure 51: eMDR Pending Delivery Confirmation System Reference Information Sample JSON


```
{
    "reportMetadata": {
        "reportType": "PendingProviderDeliveryConfirmation",
        "generatedDate": "2024-11-03",
        "totalRecords": 2
    },
    "data": [
        {
            "transactionId": "TXN123456789012",
            "type": "Pre-Pay",
            "packageDeliveryDate": "2024-10-30",
            "daysElapsedWithoutConfirmation": 4
        },
        {
            "transactionId": "TXN654321098765",
            "type": "Post-Pay",
            "packageDeliveryDate": "2024-10-28",
            "daysElapsedWithoutConfirmation": 6
        }
    ]
}
```

12. esMD Reports

12.1 The esMD Reconciliation Reports to HIH

The esMD system sends the reconciliation report to each HIH for the submissions received from that HIH. The report is delivered in two formats: MR-101 esMD Reconciliation Report (Excel) and MR-102 esMD Reconciliation Report (Comma Separated Values (CSV)). This report is sent daily to each HIH and includes all transactions received from that HIH to include XDR, and X12 submissions.

Note 1: The HIH should review the report outputs and report any issues or discrepancies on the report to the esMD Service Desk. Review the “Transaction status” column for administrative responses; if the status is “Sent Administrative Error HIH ACK to RC”, the HIH should contact the affiliated RC to obtain details on the reason for the administrative error.

Note 2: The esMD system will persist the Content Type Code when the X12 278 N received from the HIH does not have any 999/ TA1/CAQH Core Envelope errors. If the X12 278 N request submitted has any validation failures, MR-101 esMD Reconciliation Report (Excel) and MR-102 esMD Reconciliation Report (Comma Separated Values (CSV)) will be displayed as ‘NA’.

Note 3: If the Payload Type value in CAQH Core envelope of X12 275/ X12 275 PWK fails validation rules, the esMD System will not persist the Content Type Code. The Content Type Code value in the MR-101 esMD Reconciliation Report (Excel) and MR-102 esMD Reconciliation Report (Comma Separated Values (CSV)) will be displayed as ‘NA’.

12.1.1 Release AR2024.10.0 Reconciliation Report Enhancements

With Release AR2024.10.0 implementation, the following changes are made to the MR-101 Reconciliation Report:

- The terminology used within the system will undergo revision for better alignment and clarity. Specifically, the text referring to "Health Information Handlers and Review Contractors" will be updated to "Sender" and "Receiver" respectively.
- The transactions displayed in the report will be sorted in descending order based on submission date and timestamp.
- The Content Type Codes will be displayed as 2.5 for Pre-Pay transactions and 2.6 for Post-Pay and Post-Pay-Other transactions in the Report.
- The column name “CTC Description/ Response Type Category” is changed to “CTC Description”.
- For CTC=1, under the CTC description, the Response Type Category value will not be displayed when there is an actual value sent in the metadata response file.
- Transactions with Content Type Code 20 will be categorized under 'Letters'. Depending on the specific category of these letters, the transaction type will vary accordingly as follows:
    - For the default category "Letters", the transaction type will be labeled as "Letter".
    - For category 20.1, the transaction type will be "PA Decision Letter".
    - For category 20.2, the transaction type will be "PA Rejection Letter".
    - For category 20.4, the transaction type will be "Review Results Letter".

- For CTC=1, ADR responses, the transaction type values are updated as follows:
    - Transactions without a Response Type Category the column “Transaction Type” will be displayed as "XDR-ADR with Medical Documentation".
    - Transactions with a Response Type Category the column “Transaction Type” will be displayed as "XDR-ADR with Medical Documentation - with Routing Assist".

12.1.2 Release AR2025.01.0 Reconciliation Report Enhancements

With the AR2025.01.0 release implementation, the following changes are made to the MR101 Reconciliation Report:

- The Recon report has been enhanced by the addition of four columns of information which were previously reported in the MR115 Transaction Failure Report. This enhancement is an effort to consolidate useful information and make it easily accessible.
    - The Recon Report will display four new columns: Program Name, PTAN, Error Description, and Additional Information.
    - These columns are applicable to eMDR transactions. Transactions for all other LOBs will be populated with ‘NA’ in these new columns.
- The new columns shall be populated in the following manner:
    - **Program Name:** This column will display the claim type information for all eMDR transactions.
    - **PTAN:** This column displays the Provider Transaction Access Number/Provider Number information for all eMDR transactions.
    - **Error Description:** This column displays details of a specific error encountered during validation of the eMDR Letters or failed delivery of the eMDR Package to the HIH. (Failure transactions only)
    - **Additional Information:** This column will default to NA for all transactions.

NOTE: The Additional Information column has been included for future use. It is expected to be used to report information that is of special value or significance to the transaction sender or receiver.

Refer to Figure 52: MR101 esMD Recon Report in Excel Format and Figure 54: MR102 esMD Reconciliation Report in CSV Format for the sample layout of the AR2025.01.0 report changes.

Figure 52: MR101 esMD Recon Report in Excel Format (New Column Highlighted)

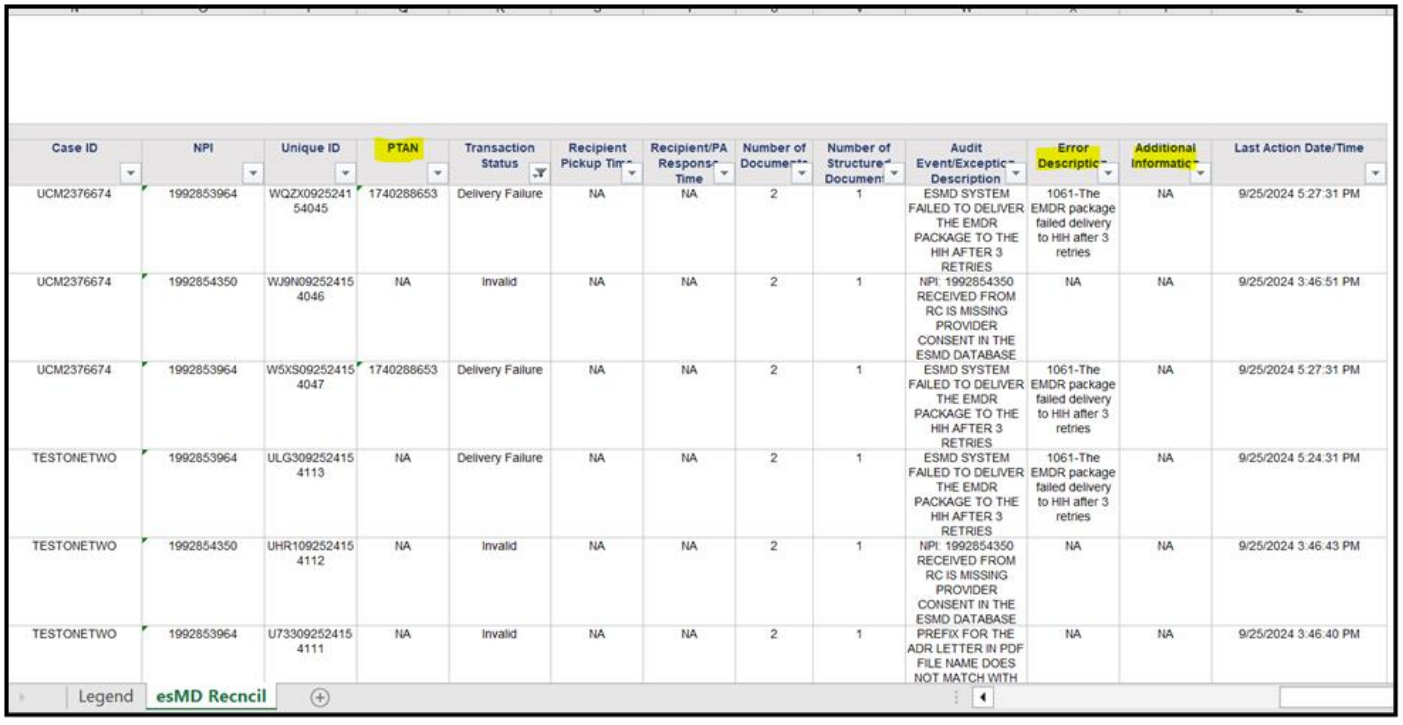
MR101: esMD Reconciliation Report - Report Execution Time 10/2/2024 4:40:55 PM
Report Period: {Submission Timestamp} > 9/24/2024 12:00:00 AM
Report Period: ({Submission Update Timestamp} Between 10/1/2024 12:00:00 AM and 10/2/2024 12:00:00 AM)
Sender: All
Receiver: All

Transaction Details

Transaction ID	Parent Transaction ID	Sender	Sender Type	Recipient	Recipient Type	Unique Letter ID	Submission Date	Content Type Code	CTC Descriptio	Transaction Type	Program Name	Claim ID
WHC0048806671EC	NA	esMD 1 esMD Review Contractor	RC	Test HIH	HIH	AWSAUTO1T15404520240925	9/25/2024 3:46:48 PM	2.6	eMDR Post-Pay-Other	XDR-Electronic Letters Post-Pay-Other	PARTB	NA
BXB0048806670EC	NA	esMD 1 esMD Review Contractor	RC	NA	NA	AWSAUTO1T15404620240925	9/25/2024 3:46:42 PM	2.6	eMDR Post-Pay-Other	XDR-Electronic Letters Post-Pay-Other	NA	NA
JFP0048806669EC	NA	esMD 1 esMD Review Contractor	RC	Test HIH	HIH	AWSAUTO1T15404720240925	9/25/2024 3:46:36 PM	2.6	eMDR Post-Pay-Other	XDR-Electronic Letters Post-Pay-Other	PARTB	NA
ESS0048806571EC	NA	esMD 1 esMD Review Contractor	RC	Test HIH	HIH	AWSAUTO1T15411320240925	9/25/2024 3:46:31 PM	2.6		XDR-Electronic Letters Post Pay	PARTA	NA
NQX0048806570EC	NA	esMD 1 esMD Review Contractor	RC	NA	NA	AWSAUTO1T15411220240925	9/25/2024 3:46:30 PM	2.6		XDR-Electronic Letters Post Pay	NA	NA
FRT0048806569EC	NA	esMD 1 esMD Review Contractor	RC	Test HIH	HIH	AWSAUTO1T15252320240924	9/25/2024 3:46:30 PM	2.6		XDR-Electronic Letters Post Pay	NA	NA

Legend esMD Recncil

Figure 53: MR101 esMD Recon Report in Excel Format (New Columns Highlighted)



Case ID	NPI	Unique ID	PTAN	Transaction Status	Recipient Pickup Tim	Recipient/PA Response Time	Number of Documents	Number of Structured Document	Audit Event/Exceptio Description	Error Descriptio	Additional Informatio	Last Action Date/Time
UCM2376674	1992853964	WQZX092524154045	1740288653	Delivery Failure	NA	NA	2	1	ESMD SYSTEM FAILED TO DELIVER THE EMDR PACKAGE TO THE HIH AFTER 3 RETRIES	1061-The EMDR package failed delivery to HIH after 3 retries	NA	9/25/2024 5:27:31 PM
UCM2376674	1992854350	WJ9N092524154046	NA	Invalid	NA	NA	2	1	NPI: 1992854350 RECEIVED FROM RC IS MISSING PROVIDER CONSENT IN THE ESMD DATABASE	NA	NA	9/25/2024 3:46:51 PM
UCM2376674	1992853964	W5XS092524154047	1740288653	Delivery Failure	NA	NA	2	1	ESMD SYSTEM FAILED TO DELIVER THE EMDR PACKAGE TO THE HIH AFTER 3 RETRIES	1061-The EMDR package failed delivery to HIH after 3 retries	NA	9/25/2024 5:27:31 PM
TESTONETWO	1992853964	ULG3092524154113	NA	Delivery Failure	NA	NA	2	1	ESMD SYSTEM FAILED TO DELIVER THE EMDR PACKAGE TO THE HIH AFTER 3 RETRIES	1061-The EMDR package failed delivery to HIH after 3 retries	NA	9/25/2024 5:24:31 PM
TESTONETWO	1992854350	UHR1092524154112	NA	Invalid	NA	NA	2	1	NPI: 1992854350 RECEIVED FROM RC IS MISSING PROVIDER CONSENT IN THE ESMD DATABASE	NA	NA	9/25/2024 3:46:43 PM
TESTONETWO	1992853964	U73309252415 4111	NA	Invalid	NA	NA	2	1	PREFIX FOR THE ADR LETTER IN PDF FILE NAME DOES NOT MATCH WITH	NA	NA	9/25/2024 3:46:40 PM

Legend esMD Recncil

Figure 54: MR102 esMD Reconciliation Report in CSV Format (New Columns Highlighted #1)

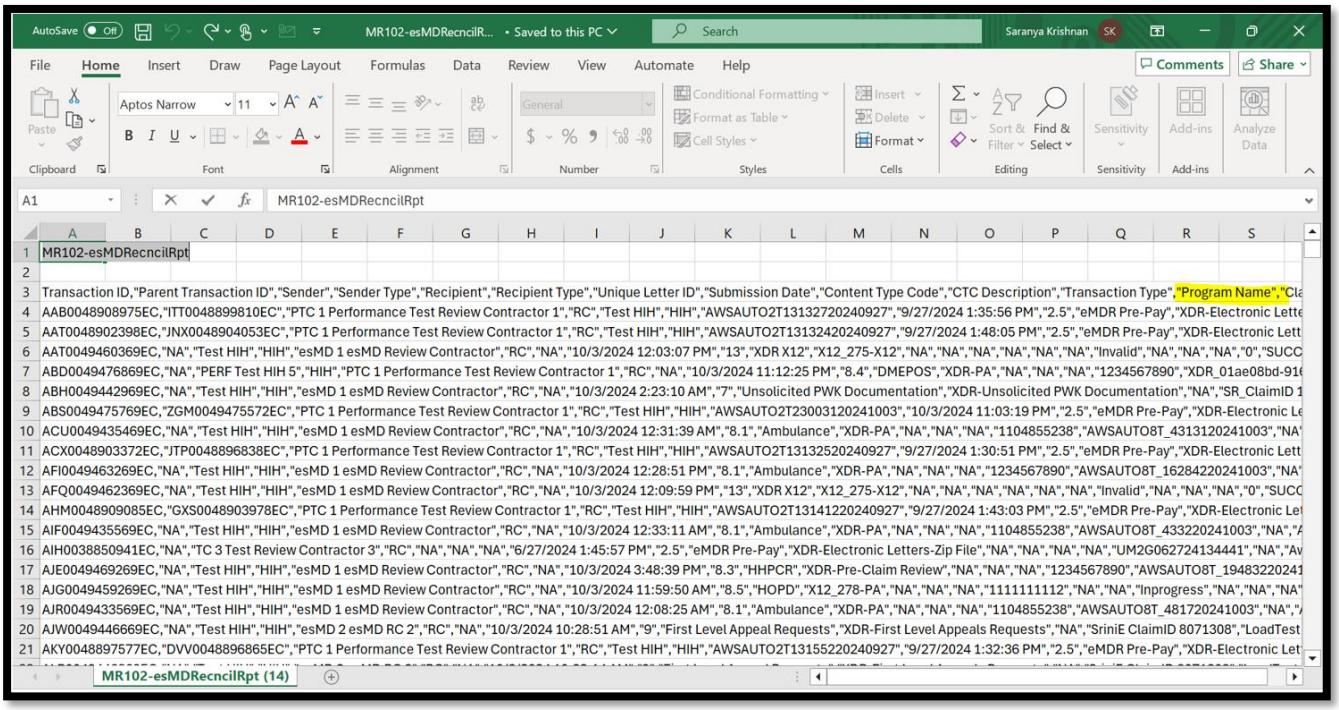


Figure 55: MR102 esMD Reconciliation Report in CSV Format (New Columns Highlighted #2)

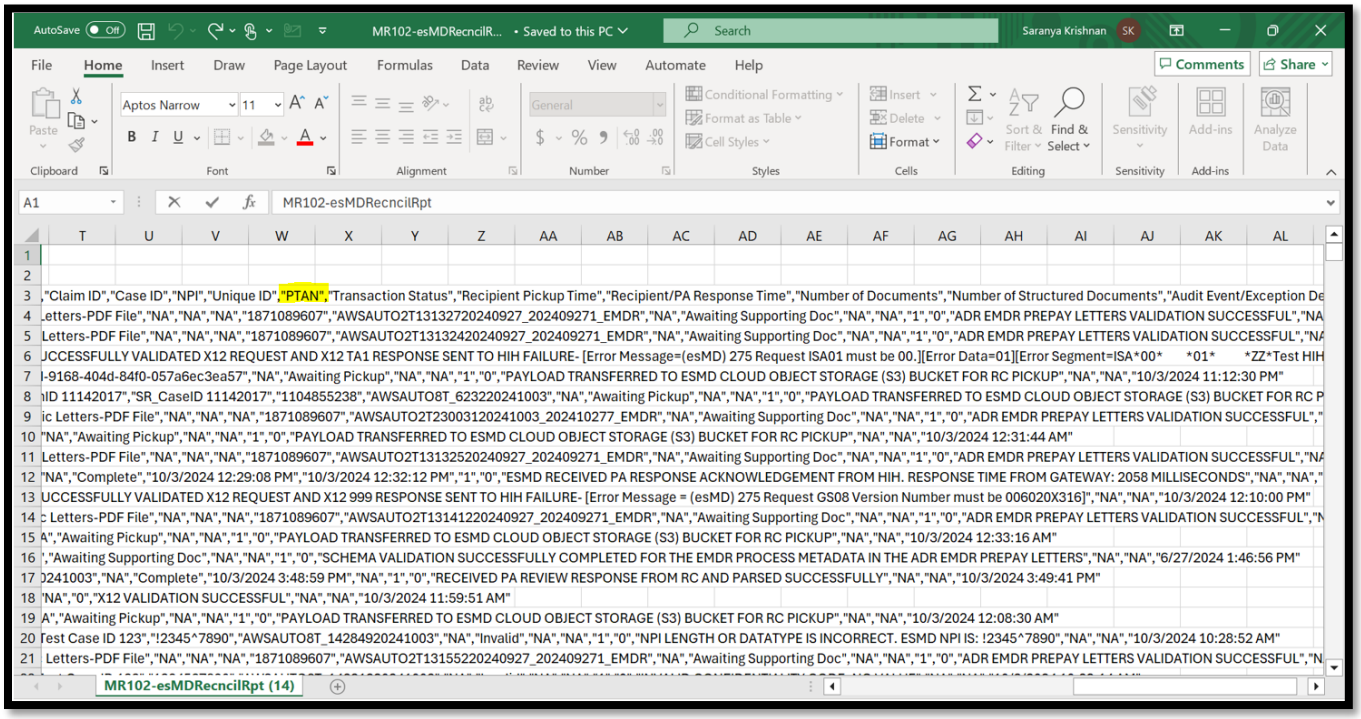
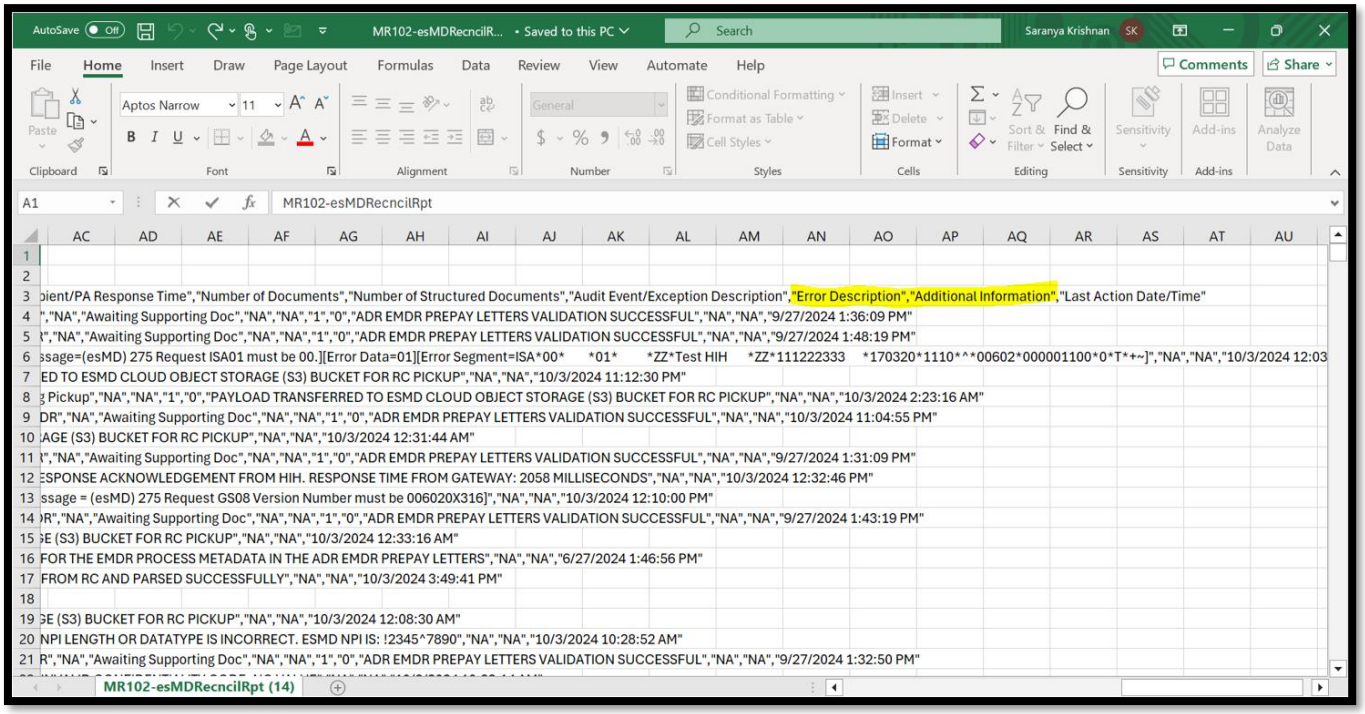


Figure 56: MR102 esMD Reconciliation Report in CSV Format (New Columns Highlighted #3)



12.1.3 Release AR2025.07.0 Reconciliation Report Enhancements

With the AR2025.07.0 release implementation, the following changes are made to the MR 101 Reconciliation Report:

- The transaction type for CTC 18, will be populated as ‘NA’.
- CTC Description will be populated as ‘Push or Pull System Reference information

12.1.4 Release AR2025.10.0 Reconciliation Report Enhancements

With the AR2025.10.0 release implementation, the following changes were made to the Reconciliation Report to enhance reporting for Service Registration, XDR Non Prior Authorization, XDR Prior Authorization, X12-278, X12-275, and X12-275 PWK transactions.

- New transaction status were added and some existing transaction statuses were updated to provide greater resolution for the transaction statuses for XDR and X12 transactions as they are processed by the esMD System.
- New audit messages were added and some existing audit messages were updated to provide more meaningful error messages for XDR and X12 request/response flows.

NOTE: FHIR transaction statuses and audit messages are included here as a convenience to those HIHs who are using esMD’s FHIR REST APIs.

Table 50: Service Registration Statuses and Audit Events

Nr.	Scenario	Status	Audit Event	Status (New/No Change)	Audit Event (New/No Change/Updated)
1	HIH submits FHIR Service Registration request to esMD and the request is processed without any validation errors.	Complete	{0} REQUEST PROCESSING COMPLETE {0} Replaced with THE PRACTITIONER REGISTRATION / THE BUNDLE PRACTITIONER REGISTRATION	No Change (Applies to FHIR transactions)	New (Applies to FHIR transactions)
2	NPI submitted in HIH's FHIR Service Registration request is inactive or missing consent check.	Invalid	THE NPI {0} RECEIVED IN THE REGISTRATION REQUEST FOR ACTION CODE A {1} IS INACTIVE OR MISSING CONSENT IN THE NPPES. {0} Replaced with - NPI {1} Replaced with - ACTION CODE	No Change (Applies to FHIR transactions)	No Change (Applies to FHIR transactions)
3	The HIH and NPI association is invalid in the HIH's FHIR Service Registration request.	Invalid	ASSOCIATION OF NPI AND HIH OID DOESNT EXIST FOR ACTION CODE {0} {0} Replaced with ACTION CODE	No Change (Applies to FHIR transactions)	No Change (Applies to FHIR transactions)

Nr.	Scenario	Status	Audit Event	Status (New/No Change)	Audit Event (New/No Change/Updated)
4	Schema Validation Failed for the HIH's FHIR Service Registration request.	Invalid	SCHEMA VALIDATION FAILED FOR THE PRACTITIONER REGISTRATION REQUEST FHIR SCHEMA VALIDATION: Constraint failed: esmd-npi-1: NPI should be 10 numeric (Defined in https://terminology.esmdval.cms.gov:8099/fhir/StructureDefinition/Esmd-Practitioner)	No Change (Applies to FHIR transactions)	No Change (Applies to FHIR transactions)
5	HIH's Service Registration request is successfully processed in esMD without any validation errors.	Complete	{0} REQUEST PROCESSING COMPLETE {0} REPLACED WITH SERVICE REGISTRATION	No Change	Updated
6	HIH's Service Registration request failed with schema validation errors.	Invalid	SCHEMA VALIDATION FAILED FOR THE SERVICE REGISTRATION REQUEST	No Change	Updated
7	Service Code 'EEP' is invalid in the HIH's Service Registration request. EEP - Electronic End Point	Invalid	SERVICE CODE PROVIDED IN THE SERVICE REGISTRATION REQUEST IS INVALID FOR ACTION CODE {0}	No Change	New
8	Validation failed in esMD for the HIH's Service Registration request due to an invalid NPI length and data type.	Invalid	INCORRECT LENGTH OR DATAYPE FOR NPI RECEIVED IN THE SERVICE REGISTRATION REQUEST. NPI {0} {0} Replaced with NPI	No Change	Updated

Nr.	Scenario	Status	Audit Event	Status (New/No Change)	Audit Event (New/No Change/Updated)
9	Validation failed in esMD for the HIH's Service Registration request due to inactive NPI or missing consent check.	Invalid	NPI {0} RECEIVED IN {1} FOR ACTION CODE {2} IS INACTIVE OR MISSING CONSENT IN NPPES. {0} Replaced with NPI {1} Replaced with THE REGISTRATION REQUEST/PRACTITIONER {2} Replaced with ACTION CODE	No Change	No Change
10	Validation failed in esMD for the HIH's Service Registration request due to duplicate NPI or already registered with another HIH.	Invalid	HIH OID {0 }AND NPI {1} RECEIVED FOR ACTION CODE {2} IS ALREADY REGISTERED WITH SUBMITTING HIH OR OTHER HIH {0} Replaced with HIH OID {1} Replaced with NPI {2} Replaced with ACTION CODE	No Change	Updated
11	Validation failed in esMD for the HIH's Service Registration request due to Action Code 'E' received before Action Code 'A'.	Invalid	THE ACTION CODE {0} RECEIVED IN SERVICE REGISTRATION IS NOT ALLOWED FOR NPI {1} AS ASSOCIATION DOES NOT EXIST IN ESMD {0} Replaced with ACTION CODE {1} Replaced with NPI	No Change	Updated

Nr.	Scenario	Status	Audit Event	Status (New/No Change)	Audit Event (New/No Change/Updated)
12	Validation failed in esMD for the HIH's Service Registration request due to a missing Action Code.	Invalid	ACTION CODE SUBMITTED IN THE REGISTRATION REQUEST FROM HIH IS INVALID OR MISSING ACTION CODE	No Change	Updated
13	Validation failed in esMD for the HIH's Service Registration request because the provided Start Date is in the past and is not accepted. (Must be current or future date)	Invalid	INVALID SERVICE START DATE RECEIVED FOR ACTION CODE {0} {0} replaced with ACTION CODE	No Change	Updated
14	Validation failed in esMD for the HIH's Service Registration request due to a missing or invalid Service End Date.	Invalid	END DATE CANNOT BE LESSER THAN START DATE	No Change	Updated
15	Validation failed in esMD for the HIH's Service Registration request due to an invalid Provider Tax ID length. This validation is applicable for the action codes A, E, and R.	Invalid	INVALID OR MISSING PROVIDER TAX ID RECEIVED FOR ACTION CODE {0} {0} Replaced with ACTION CODE	No Change	New
16	Validation failed in esMD for the HIH's Service Registration request due to the invalid Zip Code.	Invalid	INVALID OR MISSING ZIP CODE RECEIVED FOR ACTION CODE {0} {0} Replaced with ACTION CODE	No Change	Updated
17	Validation failed in esMD for the HIH's Service Registration request because the NPPES consent is present, but the useOtherDescription text does not match 'CMS esMD eMDR'.	Invalid	NPI {0} HAS INVALID CONSENT VALUE {1} IN NPPES. EXPECTED CONSENT TEXT: CMS ESMD EMDR {0} Replaced with NPI	No Change	No Change

Nr.	Scenario	Status	Audit Event	Status (New/No Change)	Audit Event (New/No Change/Updated)
18	Validation failed in esMD for the HIH's FHIR Service Registration request because Maximum of 10 NPIs are allowed.	Invalid	MAXIMUM OF 10 PRACTITIONER RESOURCES CAN BE SENT IN THE BUNDLE REQUEST	No Change (Applies to FHIR transactions)	No Change (Applies to FHIR transactions)
19	Validation failed in esMD for the HIH's Service Registration request because the Provider is not linked to any HIH for Action Code 'R'.	Invalid	ASSOCIATION OF NPI AND HIH OID DOESN'T EXIST FOR ACTION CODE R	No Change (Applies to FHIR and XDR transactions)	Updated (Applies to FHIR and XDR transactions)
20	Validation failed in esMD for the HIH's Service Registration request because multiple NPIs were received with at least one being invalid.	Accepted with Errors	There are multiple invalid scenarios. The displayed Audit Event will depend on the scenario and the type of failure.	New	No Change. (The audit event displayed is based on the scenario)
21	Validation failed in esMD for the HIH's FHIR Service Registration request because the bundle request contained duplicate NPIs	Invalid	THE NPI {0} RECEIVED MUST BE UNIQUE WITHIN THE REGISTRATION BUNDLE REQUEST. {0} Replaced with NPI	No Change (Applies to FHIR transactions)	No Change (Applies to FHIR transactions)
22	Validation failed in esMD for the HIH's FHIR Service Registration request because of an invalid End Date.	Invalid	END DATE CANNOT BE LESSER THAN START DATE.	No Change (Applies to FHIR transactions)	No Change (Applies to FHIR transactions)
23	Validation failed in esMD for the HIH's FHIR Service Registration request because of an invalid Start Date.	Invalid	START DATE SHOULD EITHER BE CURRENT OR FUTURE DATE FOR ACTION CODE: {0} {0} Replaced with Action Code	No Change (Applies to FHIR transactions)	No Change (Applies to FHIR transactions)

Table 51: XDR Non-PA and XDR PA Statuses and Audit Events

Note: Status and Audit Events apply to both Non-PA and PA transactions unless otherwise noted.

Nr.	Scenario	Status	Audit Event	Status (New/No Change)	Audit Event (New/No Change/Updated)
1	The XDR request submitted by the HIH was successfully validated and the package has been placed in the RC's mailbox.	Package placed for RC	PAYLOAD SUCCESSFULLY TRANSFERRED TO THE ESMD CLOUD OBJECT STORAGE (S3) BUCKET FOR RC PICKUP	New	Updated
2	Metadata validations failed for the XDR request sent by HIH.	Invalid	INBOUND XDR META DATA SCHEMA VALIDATION FAILED <<Based on the scenarios of failure>>	No Change	No Change
3	The RC downloaded the package sent by the HIH and encountered issues extracting the zip file or failure due to checksum errors.	Pickup Failure Ack received from RC	ERROR PICKUP ACKNOWLEDGMENT NOTIFICATION RECEIVED BY ESMD	New	No Change
4	The Pickup notification sent by the RC has validation errors and the response is sent back to RC from esMD.	Pickup Ack Metadata Failure in esMD	PICKUP ACKNOWLEDGMENT RECEIVED FROM RC; VALIDATION FAILED ERROR RESPONSE SENT TO RC.	New	New

Nr.	Scenario	Status	Audit Event	Status (New/No Change)	Audit Event (New/No Change/Updated)
5	The Pickup notification for the HIH's FHIR request was successfully processed and stored in esMD for the HIHs to pull.	esMD processed pickup ack and awaiting for HIHs to pull the notifications	PICKUP NOTIFICATION VALIDATION SUCCESSFUL; AWAITING HIH TO RETRIEVE THE NOTIFICATION After the HIH downloads the notification, one of the below audit events will be populated: {0} SUCCESSFULLY RETRIEVED BY HIH • {} Replaced with PICKUP {0} SUCCESSFULLY RETRIEVED BY HIH • {0} Replaced with ERROR PICKUP - ERROR DESC	New (Applies to FHIR transactions)	New (Applies to FHIR transactions)
6	The Success or Error Pickup notification for the XDR request sent by HIH was processed successfully in esMD and delivered to the HIH.	Package movement from HIH to RC is complete	ESMD SUCCESSFULLY DELIVERED PICKUP RESPONSE TO HIH. ESMD SUCCESSFULLY DELIVERED ERROR PICKUP {0} TO HIH. ESMD SENT PICKUP RESPONSE TO HIH. {0} Replaced with Reason for the failure audit event associated with that error code	New	New

Nr.	Scenario	Status	Audit Event	Status (New/No Change)	Audit Event (New/No Change/Updated)
7	The Success or Error Pickup notification for the XDR request sent by HIH was processed successfully in esMD but delivery acknowledgement to the HIH failed.	Pickup ack delivery failure to HIH	PICKUP RESPONSE NOTIFICATION DELIVERY TO HIH FAILED FOR {0} RETRY • {0} Replaced with Retry Count ERROR PICKUP - {0} RESPONSE NOTIFICATION DELIVERY TO HIH FAILED FOR {1} RETRY • {0} Replaced with Reason for the Error Pickup event associated with that error code • {1} Replaced with Retry Count	New	New
8	Admin notification received from the RC for the XDR request sent by HIH. The metadata validations for the Admin Notification failed in esMD and the error response is sent to the RC. This notification is not sent to the HIH.	Administrative error response metadata failure	ADMINISTRATIVE ERROR RESPONSE RECEIVED FROM RC; ADMIN RESPONSE VALIDATION FAILED AND ERROR RESPONSE SENT TO RC	New	New

Nr.	Scenario	Status	Audit Event	Status (New/No Change)	Audit Event (New/No Change/Updated)
9	Admin notification was successfully processed for the FHIR request sent by HIH and stored in the esMD. Waiting for the HIH to pull the notification.	esMD processed admin response and awaiting for HIHs to pull the notifications	ADMIN NOTIFICATION VALIDATION SUCCESSFUL; AWAITING HIH TO RETRIEVE THE NOTIFICATION After the HIH downloads the notification, the below audit event will be populated depending on the notification: • {} SUCCESSFULLY RETRIEVED BY THE HIH • {0} Replaced with ADMIN ERROR	New (Applies to FHIR transactions)	Updated (Applies to FHIR transactions)
10	Admin notification was successfully processed in esMD for the XDR request sent by HIH, but delivery failed to HIH.	Administrative error response failure delivery to HIH	ADMIN ERROR NOTIFICATION DELIVERY TO HIH FAILED FOR {0} RETRY {0} Replaced with Retry Count	New	Updated
11	The RC sent a duplicate pickup notification for the same XDR request sent by HIH. This error response is not sent to HIH	Package movement from HIH to RC is complete	RECEIVED ADDITIONAL PICK UP NOTIFICATION FROM RC	New	New
12	The RC sent the Pickup, Admin, or PA Reject notification for the HIH's request which is still being processed in esMD. The error response is sent back to RCs.	Invalid	UNABLE TO ACCEPT THE PICKUP/ADMIN RESPONSE/PA REJECT RESPONSE AS THE INBOUND PROCESS IS NOT COMPLETED	New	New

Nr.	Scenario	Status	Audit Event	Status (New/No Change)	Audit Event (New/No Change/Updated)
13	Administrative error response for the XDR request sent by the HIH was successfully processed in esMD and delivered to HIH.	Administrative error response successful delivery to HIH	ESMD SUCCESSFULLY SENT ADMINISTRATIVE ERROR RESPONSE TO HIH	New	New
14	Decision response for the XDR request sent by the HIH was successfully processed in esMD and delivered to the HIH. (Only applies to XDR PA LOBs)	Decision response delivered to HIH	ESMD SUCCESSFULLY SENT DECISION RESPONSE TO HIH	New	New
15	Decision response for the XDR request sent by the HIH was successfully processed in esMD but failed to be delivered to HIH. (Only applies to XDR PA LOBs)	Decision response failure delivery to HIH	DECISION RESPONSE NOTIFICATION DELIVERY TO HIH FAILED FOR {0} RETRY {0} Replaced with values 0,1,2, or 3 based on retry	New	New

Nr.	Scenario	Status	Audit Event	Status (New/No Change)	Audit Event (New/No Change/Updated)
16	Decision response for the FHIR request sent by the HIH was successfully processed and stored in esMD. Waiting for the HIHs to pull the notification.	esMD processed decision response and awaiting for HIHs to pull the notifications	DECISION RESPONSE NOTIFICATION VALIDATION SUCCESSFUL; AWAITING HIH TO RETRIEVE THE NOTIFICATION After the HIH downloaded the notification, one of the below audit events will be populated: {} SUCCESSFULLY RETRIEVED BY THE HIH ESMD ASSIGNED {0} DECISION INDICATOR IN REVIEW RESPONSE • {0} Replaced with PARESPONSE ESMD ASSIGNED {0} DECISION INDICATOR IN REVIEW RESPONSE FOR UTN {1} • {0} Replaced with PARESPONSE • {1} Replaced with UTN	New (Applies to FHIR and XDR PA LOB transactions)	New (Applies to FHIR and XDR PA LOB transactions)
17	Decision response for the XDR request sent by HIH failed validations in esMD.	Decision Response validation failure	DECISION RESPONSE RECEIVED FROM SSM; VALIDATION FAILED	New (Only applies to XDR PA LOBs)	No Change (Only applies to XDR PA LOBs)

Nr.	Scenario	Status	Audit Event	Status (New/No Change)	Audit Event (New/No Change/Updated)
18	PA reject notification for the XDR request sent by HIH failed metadata validation in esMD.	PA reject validation failure	PA REJECT RESPONSE RECEIVED FROM RC; PA REJECT VALIDATION FAILED AND ERROR RESPONSE SENT TO RC	New (Only applies to XDR PA LOBs)	New (Only applies to XDR PA LOBs)
19	PA reject notification for the XDR request sent by HIH successfully processed in esMD and delivered to HIH.	PA reject delivered to HIH	ESMD SUCCESSFULLY SENT PA REJECT RESPONSE TO HIH	New (Only applies to XDR PA LOBs)	Updated (Only applies to XDR PA LOBs)
20	PA reject notification for the XDR request sent by HIH successfully processed but failed to be delivered to HIH.	PA reject failure delivery to HIH	PA REJECT RESPONSE NOTIFICATION DELIVERY TO HIH FAILED FOR {0} RETRY {0} Replaced with Retry Count	New (Only applies to XDR PA LOBs)	Updated (Only applies to XDR PA LOBs)
21	PA reject response for the FHIR request sent by HIH processed successfully in esMD. Waiting for the HIHs to pull the notification.	esMD processed reject response and awaiting for HIHs to pull the notifications	RESPONSE NOTIFICATION VALIDATION SUCCESSFUL; AWAITING HIH TO RETRIEVE THE NOTIFICATION After the HIH downloaded the notification, the below audit event will be populated: {0} SUCCESSFULLY RETRIEVED BY THE HIH {0} Replaced with PAREJECT	New (Applies to FHIR and XDR PA LOB transactions)	Updated (Applies to FHIR and XDR PA LOB transactions)

Nr.	Scenario	Status	Audit Event	Status (New/No Change)	Audit Event (New/No Change/Updated)
22	Decision response for the XDR request sent by HIH was successfully validated in esMD.	Decision Response validation success	WORKLOAD REVIEW RESPONSE VALIDATIONS COMPLETED SUCCESSFULLY	New (Only applies to XDR PA LOBs)	No Change (Only applies to XDR PA LOBs)
23	RC sent the PA reject notification for the XDR request sent by HIH.	PA reject received from RC	PA REJECT RESPONSE RECEIVED FROM RC	New (Only applies to XDR PA LOBs)	Updated (Only applies to XDR PA LOBs)
24	PA reject notification for the XDR request sent by HIH was successfully validated in esMD.	PA reject validation success	PA REJECT RESPONSE VALIDATION SUCCESSFUL ESMD ASSIGNED {0} DECISION INDICATOR IN REVIEW RESPONSE {0} Replaced with DECISION INDICATOR	New (Only applies to XDR PA LOBs)	Updated (Only applies to XDR PA LOBs)

Table 52: X12-278 and X12-275 SD (SOAP/REST) Statuses and Audit Events

Note: Status and Audit Events apply to X12 278 (Parent) transactions and X12 275 Supporting Documentation transactions that are submitted using both SOAP and REST methods unless otherwise noted.

Nr.	Scenario	Status	Audit Event	Status (New/Updated/ No Change)	Audit Event (New/Updated/ No Change)
1	The X12-278 request submitted by HIH is successfully validated in esMD.	PA Request passed esMD Validations	CAQH TRANSACTION ACCEPTED WITH PAYLOAD ID :{0} {0} Replaced with Payload ID	New	New

Nr.	Scenario	Status	Audit Event	Status (New/Updated/ No Change)	Audit Event (New/Updated/ No Change)
2	The X12-278 request submitted by HIH failed validation in esMD.	Invalid	SUCCESSFULLY VALIDATED X12 REQUEST AND STORED X12 999 FAILURE RESPONSE IN DATABASE - {0} {0} Replaced with 999 Error Message	No Change	No Change
3	The Supporting Documentation for the HIH's X12-278 Request has not been received. A 2-day warning has been sent to the HIH.	Reminder sent for Supporting Doc	{0} SUCCESSFULLY RETRIEVED BY THE HIH {0} Replaced with TWO DAY WARNING NOTIFICATION	New (Applies to REST)	New (Applies to REST)
4	The Supporting Documentation for the HIH's X12-278 Request has not been received. A 2-day warning has been sent to the HIH.	Reminder sent for Supporting Doc	THE TWO-DAY NOTIFICATION (X12 278) WARNING HAS BEEN GENERATED. THE TWO-DAY NOTIFICATION (X12 278) DETAILS HAVE BEEN SUCCESSFULLY DELIVERED TO HIH. (Failure audit event)	New (Applies to SOAP)	New (Applies to SOAP)
5	The Supporting Documentation from HIH for the X12-278 request has not been received within 4 business days.	Supporting Doc never received	{0} SUCCESSFULLY RETRIEVED BY THE HIH {0} Replaced by FOUR DAY REJECT NOTIFICATION	New (Applies to REST)	New (Applies to REST)

Nr.	Scenario	Status	Audit Event	Status (New/Updated/ No Change)	Audit Event (New/Updated/ No Change)
6	The Supporting Documentation from HIH for the X12-278 request has not been received within 4 business days.	Supporting Doc never received	THE FOUR-DAY NOTIFICATION (X12 278) REJECTION HAS BEEN GENERATED THE FOUR-DAY NOTIFICATION DETAILS HAVE BEEN SUCCESSFULLY DELIVERED TO HIH	New (Applies to SOAP)	New (Applies to SOAP)
7	Supporting Documentation sent by HIH after a Decision; AAA received for the X12 278.	Supporting Doc received late	ADDITIONAL DOCUMENTATION RECEIVED FROM HIH AFTER RC SENT THE DECISION RESPONSE FOR THE SAME ACN	New	No Change
8	The X12 PA request sent by HIH is successfully validated by esMD. The supporting documentation was sent for X12 278 within 4 business days, the SD is sent to the automated process, and rejected with AAA response.	Information returned by automated process with error (AAA).	SENT PA REJECT (AAA) RESPONSE TO HIH FOR THE PARENT X12N278 GUID: {0} {0} Replaced with X12 278 Transaction ID	New (Applies to SOAP)	New (Applies to SOAP)
9	The X12 PA request sent by HIH is successfully validated by esMD. The supporting documentation was sent for X12 278 within 4 business days, the SD is sent to the automated process, and rejected with AAA response.	Information returned by automated process with error (AAA).	SENT PA REJECT (AAA) RESPONSE TO HIH FOR THE PARENT X12N278 GUID: {0} {0} Replaced with X12 278 Transaction ID	New (Applies to REST)	New (Applies to REST)

Nr.	Scenario	Status	Audit Event	Status (New/Updated/ No Change)	Audit Event (New/Updated/ No Change)
10	The X12 PA request sent by HIH was successfully validated by esMD. The supporting documentation is sent for X12 278 within 4 business days, the SD is sent to the automated process, and a decision response is sent.	Information returned by automated process with decision (HCR)	SENT PA REVIEW RESULT RESPONSE TO HIH FOR THE PARENT X12N 278 GUID: {0} {0} Replaced with X12N 278 transaction ID	New	New
11	The supporting documentation was submitted by the HIH within 4 business days and successfully delivered to the automated process. However, an AAA response has not been sent for this Transaction ID.	PA Request accepted by SSM	SENT PENDED RESPONSE TO HIH FOR THE PARENT X12N 278	New (Applies to SOAP)	New (Applies to SOAP)
12	The supporting documentation was submitted by the HIH within 4 business days and successfully delivered to the automated process. However, an AAA response has not been sent for this Transaction ID.	PA Request accepted by SSM	{0} SUCCESSFULLY RETRIEVED BY THE HIH {0} Replaced with PENDED NOTIFICATION	New (Applies to REST)	New (Applies to REST)
13	The supporting documentation was submitted by the HIH within 4 business days and successfully delivered to the automated process. However, an AAA response has not been sent for this Transaction ID and the pended response failed.	Pended Response failure delivery to HIH	UNABLE TO DELIVER THE X12 278 {0} NOTIFICATION TO HIH {0} Replaced with PENDED RESPONSE	New (Applies to SOAP)	New (Applies to SOAP)

Nr.	Scenario	Status	Audit Event	Status (New/Updated/ No Change)	Audit Event (New/Updated/ No Change)
14	The X12 PA request sent by HIH was successfully validated by esMD. After receiving supporting documentation from HIH for X12 278 within 4 business days, an Admin notification is sent in two formats to HIH.	Administrative error response successful delivery to HIH	RC PA ADMIN NOTIFICATION SUCCESSFULLY DELIVERED TO HIH	New (Applies to SOAP)	No Change (Applies to SOAP)
15	The X12 PA request sent by HIH was successfully validated by esMD. After receiving supporting documentation from HIH for X12 278 within 4 business days, an Admin notification is sent in two formats to HIH.	Administrative error response successful delivery to HIH	{0} SUCCESSFULLY RETRIEVED BY THE HIH {0} Replaced with RC PA ADMIN NOTIFICATION	New (Applies to REST)	No Change (Applies to REST)
16	SD received and HIH received PA reject from Notification Utility or RC Client	PA reject delivered to HIH	SENT PA REJECT RESPONSE TO HIH FOR THE PARENT X12N278 GUID: {0} {0} Replaced with Transaction ID	New	New
17	Unable to deliver the PA reject notification to the HIH	PA reject failure delivery to HIH	UNABLE TO DELIVER THE X12 278 {0} NOTIFICATION TO HIH {0} Replaced with PA REJECT	New (Applies to SOAP)	New (Applies to SOAP)
18	Unable to deliver the PA review result notification to the HIH	Decision Response failure delivery to HIH	UNABLE TO DELIVER THE X12 278 {0} NOTIFICATION TO HIH {0} Replaced with PA REVIEW RESULT	New (Applies to SOAP)	New (Applies to SOAP)

Nr.	Scenario	Status	Audit Event	Status (New/Updated/ No Change)	Audit Event (New/Updated/ No Change)
19	Unable to deliver the AAA reject notification to the HIH	AAA Error Response failure delivery to HIH	UNABLE TO DELIVER THE X12 278 {0} NOTIFICATION TO HIH {0} Replaced with AAA ERROR	New (Applies to SOAP)	New (Applies to SOAP)
20	Unable to deliver the admin notification to the HIH	Admin failure delivery to HIH	UNABLE TO DELIVER THE X12 278 {0} NOTIFICATION TO HIH {0} Replaced with ADMINISTRATIVE ERROR	New (Applies to SOAP)	New (Applies to SOAP)
21	Unable to deliver the pended notification to the HIH	Pended failure delivery to HIH	UNABLE TO DELIVER THE X12 278 {0} NOTIFICATION TO HIH {0} Replace with Pended Response	New (Applies to SOAP)	New (Applies to SOAP)

Table 53: X12-275 PWK Statuses and Audit Events

Nr.	Scenario	Status	Audit Event	Status (New/Updated/ No Change)	Audit Event (New/Updated/ No Change)
1	The request sent by HIH is successfully validated and the package has been placed in RC's mailbox.	Package placed for RC	PAYLOAD SUCCESSFULLY TRANSFERRED TO THE ESMD CLOUD OBJECT STORAGE (S3) BUCKET FOR RC PICKUP	New	Updated

Nr.	Scenario	Status	Audit Event	Status (New/Updated/ No Change)	Audit Event (New/Updated/ No Change)
2	The pickup notification from RC has validation errors and the response is sent back to RC from esMD. HIHs will not receive the failure pickup notification.	Pickup Ack Metadata Failure in esMD	PICKUP ACKNOWLEDGMENT RECEIVED FROM RC; VALIDATION FAILED. ERROR RESPONSE SENT TO RC.	New	New
3	The success or failure Pickup notification for the HIH request is processed successfully and delivered to the HIH.	Package movement from HIH to RC is complete	ESMD SUCCESSFULLY DELIVERED PICKUP RESPONSE TO HIH. ESMD SUCCESSFULLY DELIVERED ERROR PICKUP {0} TO HIH. {0} Replaced with reason for the failure audit event associated for that error code	New	New
4	The success or failure pickup notification for the HIH's request was successfully processed in esMD but failed to be delivered to the HIH.	Pickup ack delivery failure to HIH	PICKUP RESPONSE NOTIFICATION DELIVERY TO HIH FAILED FOR {0} RETRY {0} Replaced with Retry Count ERROR PICKUP - {0} RESPONSE NOTIFICATION DELIVERY TO HIH FAILED FOR {1} RETRY {0} Replaced with Reason for the failure audit event associated with that error code {1} Replaced with Retry Count	New	New

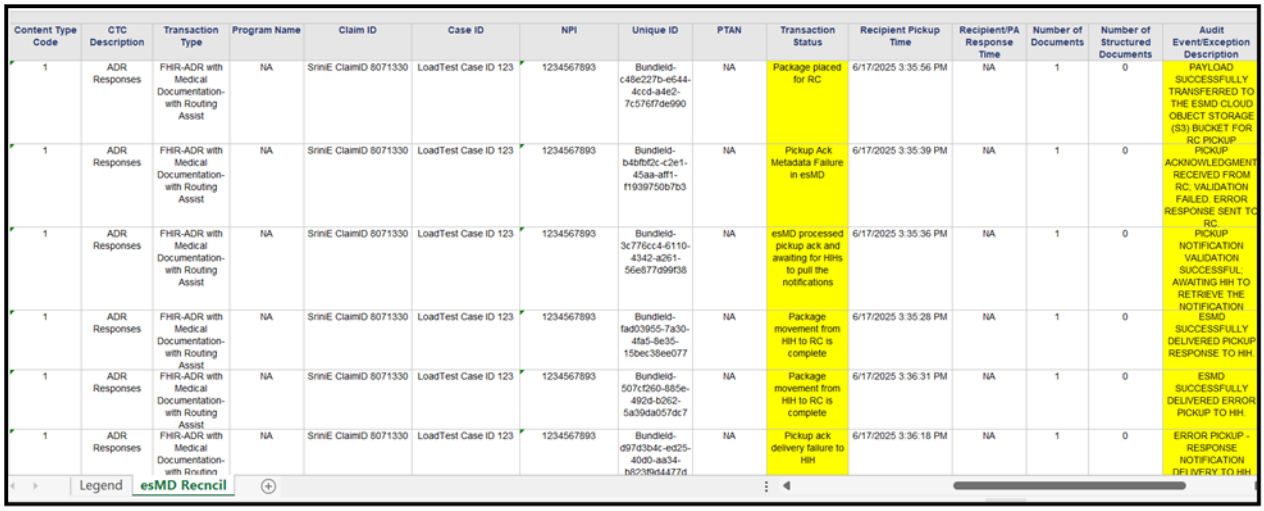
Nr.	Scenario	Status	Audit Event	Status (New/Updated/ No Change)	Audit Event (New/Updated/ No Change)
5	The Pickup notification for the HIHs FHIR request was successfully processed and stored in esMD for the HIHs to pull.	esMD processed pickup ack and awaiting for HIHs to pull the notifications	PICKUP NOTIFICATION VALIDATION SUCCESSFUL; AWAITING HIH TO RETRIEVE THE NOTIFICATION After the HIH downloaded the notification, one of the two audit events below will be populated: {0} SUCCESSFULLY DELIVERED TO HIH ->0 - PICKUP {0} SUCCESSFULLY DELIVERED TO HIH ->0 -ERROR PICKUP - Reason for the failure audit event associated with that error code	New (Applies to FHIR transactions)	New (Applies to FHIR transactions)
6	The validations for the pickup notification failed in esMD.	Invalid	<<Based on the scenarios of failure>> RC CLIENT FILE PROCESSING ERROR - CHECKSUM ERROR Ex: Virus Check failure, Validation Failure, Admin Error, Expired	No Change	No Change
7	The Admin notification for the HIH's request sent by the RC failed validations in esMD. The response is sent back to the RC and the HIH will not receive this notification.	Administrative error Response metadata failure	ADMINISTRATIVE ERROR RESPONSE RECEIVED FROM RC; ADMIN RESPONSE VALIDATION FAILED AND ERROR RESPONSE SENT TO RC	New	New

Nr.	Scenario	Status	Audit Event	Status (New/Updated/ No Change)	Audit Event (New/Updated/ No Change)
8	The Admin notification for the HIH's request was processed successfully in esMD and delivered to HIH	Administrative error Response successful delivery to HIH	ESMD RECEIVED ADMINISTRATIVE ERROR RESPONSE ACKNOWLEDGEMENT FROM HIH	New	New
9	The Admin notification for the HIH's request was successfully processed but failed to be delivered to the HIH	Administrative error Response failure delivery to HIH	ADMIN ERROR NOTIFICATION DELIVERY TO HIH FAILED FOR {0} RETRY	New	New
10	The Admin notification for the HIH's FHIR request was successfully processed and stored in esMD for the HIHs to pull. Note: This is applicable for FHIR transactions.	esMD processed admin response and awaiting for HIHs to pull the notifications	ADMIN NOTIFICATION VALIDATION SUCCESSFUL; AWAITING HIH TO RETRIEVE THE NOTIFICATION After the HIH downloaded the notification, the below audit event will be populated: {0} SUCCESSFULLY DELIVERED TO HIH {0} Replaced with ADMIN ERROR	New (Applies to FHIR transactions)	New (Applies to FHIR transactions)
11	RCs sent duplicate Pickup notification for the same XDR request sent by HIH.	Package movement from HIH to RC is complete	RECEIVED ADDITIONAL PICK UP NOTIFICATION FROM RC FOR THE TRANSACTION ID: {0}	New	New

Nr.	Scenario	Status	Audit Event	Status (New/Updated/ No Change)	Audit Event (New/Updated/ No Change)
12	The RC sent a Pickup, Admin, or PA Reject notification for an HIH request which is still being processed in esMD.	Invalid	UNABLE TO ACCEPT THE PICKUP/ADMIN RESPONSE/PA REJECT RESPONSE AS THE INBOUND PROCESS IS NOT COMPLETED.	No Change	Updated

The Reconciliation Report Transaction Status and Audit Event/Exception Description columns will display the updated status and audit event messages respectively. Figure 57: Recon Report with Updated Status and Audit Messages (Page 1) and Figure 58: Recon Report with Updated Status and Audit Messages (Page 2) provide an illustration of how the updated status and audit event information will be displayed.

Figure 57: Recon Report with Updated Status and Audit Messages (Page 1)



Content Type Code	CTC Description	Transaction Type	Program Name	Claim ID	Case ID	NPI	Unique ID	PTAN	Transaction Status	Recipient Pickup Time	Recipient/PA Response Time	Number of Documents	Number of Structured Documents	Audit Event/Exception Description
1	ADR Responses	FHIR-ADR with Medical Documentation-with Routing Assist	NA	SriniE ClaimID 8071330	LoadTest Case ID 123	1234567893	BundleId-c48e227b-e644-4ccd-a4e2-7c576f7de990	NA	Package placed for RC	6/17/2025 3:35:56 PM	NA	1	0	PAYLOAD SUCCESSFULLY TRANSFERRED TO THE ESMD CLOUD OBJECT STORAGE (S3) BUCKET FOR RC PICKUP
1	ADR Responses	FHIR-ADR with Medical Documentation-with Routing Assist	NA	SriniE ClaimID 8071330	LoadTest Case ID 123	1234567893	BundleId-b4bfbf2c-c2e1-45aa-aff1-f1939750b7b3	NA	Pickup Ack Metadata Failure in esMD	6/17/2025 3:35:39 PM	NA	1	0	PICKUP ACKNOWLEDGMENT RECEIVED FROM RC; VALIDATION FAILED. ERROR RESPONSE SENT TO RC
1	ADR Responses	FHIR-ADR with Medical Documentation-with Routing Assist	NA	SriniE ClaimID 8071330	LoadTest Case ID 123	1234567893	BundleId-3c776cc4-6110-4342-a261-56e877d99f38	NA	esMD processed pickup ack and awaiting for HIHs to pull the notifications	6/17/2025 3:35:36 PM	NA	1	0	PICKUP NOTIFICATION VALIDATION SUCCESSFUL; AWAITING HIH TO RETRIEVE THE NOTIFICATION
1	ADR Responses	FHIR-ADR with Medical Documentation-with Routing Assist	NA	SriniE ClaimID 8071330	LoadTest Case ID 123	1234567893	BundleId-fad03955-7a30-4fa5-8e35-15bec38ee077	NA	Package movement from HIH to RC is complete	6/17/2025 3:35:28 PM	NA	1	0	ESMD SUCCESSFULLY DELIVERED PICKUP RESPONSE TO HIH
1	ADR Responses	FHIR-ADR with Medical Documentation-with Routing Assist	NA	SriniE ClaimID 8071330	LoadTest Case ID 123	1234567893	BundleId-507cf260-885e-4926-b262-5a39da057dc7	NA	Package movement from HIH to RC is complete	6/17/2025 3:36:31 PM	NA	1	0	ESMD SUCCESSFULLY DELIVERED ERROR PICKUP TO HIH.
1	ADR Responses	FHIR-ADR with Medical Documentation-with Routing Assist	NA	SriniE ClaimID 8071330	LoadTest Case ID 123	1234567893	BundleId-d97d3b4c-ed25-40d0-aa34-b023fdd4477d	NA	Pickup ack delivery failure to HIH	6/17/2025 3:36:18 PM	NA	1	0	ERROR PICKUP - RESPONSE NOTIFICATION DELIVERY TO HIH

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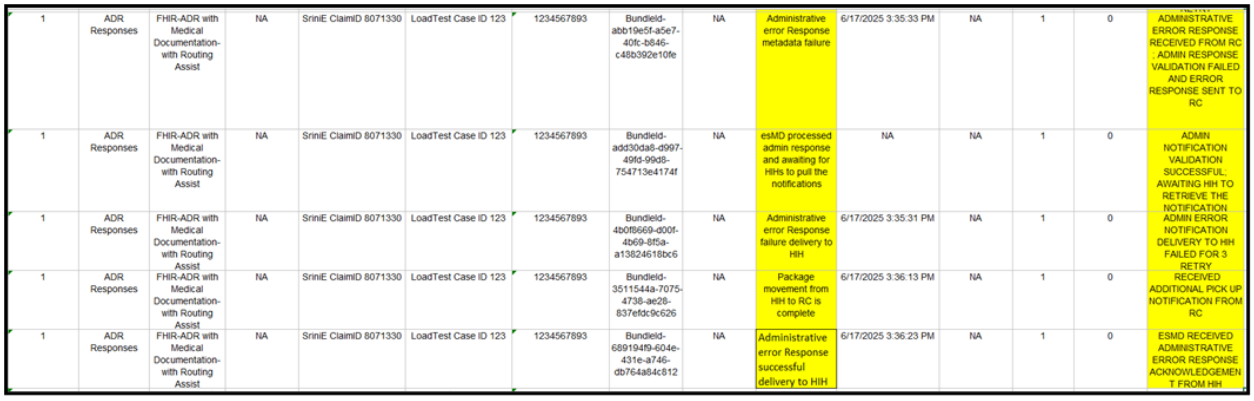
Figure 58: Recon Report with Updated Status and Audit Messages (Page 2)



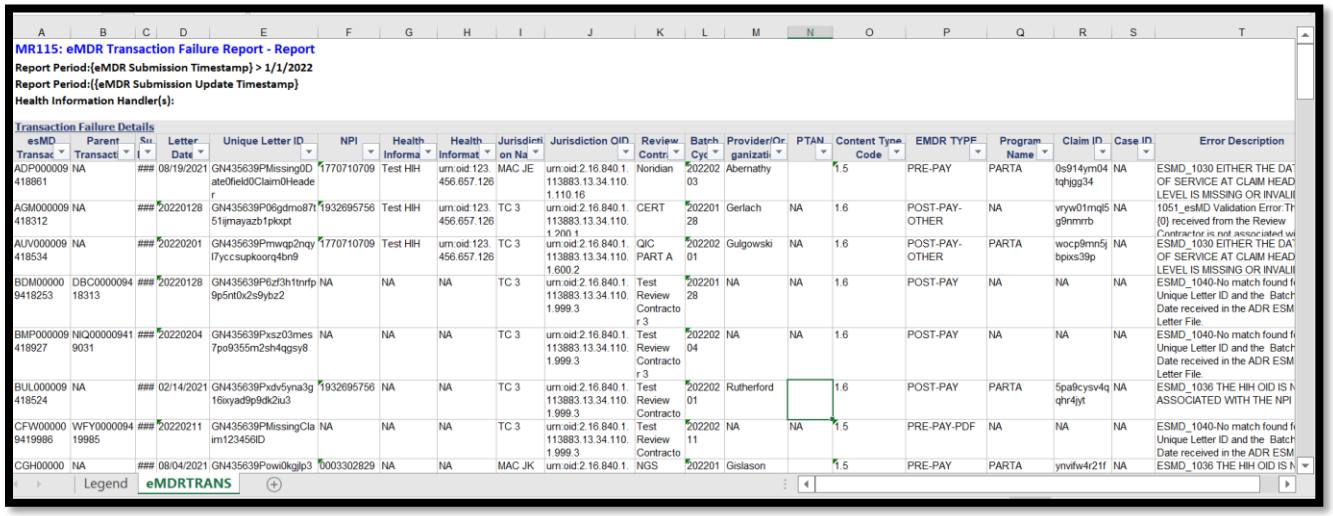
1	ADR Responses	FHIR-ADR with Medical Documentation-with Routing Assist	NA	SriniE ClaimID 8071330	LoadTest Case ID 123	1234567893	BundleId-abb19e5f-a5e7-40fc-b846-c48b392e10fe	NA	Administrative error Response metadata failure	6/17/2025 3:35:33 PM	NA	1	0	ADMINISTRATIVE ERROR RESPONSE RECEIVED FROM RC , ADMIN RESPONSE VALIDATION FAILED AND ERROR RESPONSE SENT TO RC
1	ADR Responses	FHIR-ADR with Medical Documentation-with Routing Assist	NA	SriniE ClaimID 8071330	LoadTest Case ID 123	1234567893	BundleId-add30da8-d997-49fd-99d8-754713e4174f	NA	esMD processed admin response and awaiting for HIHs to pull the notifications	NA	NA	1	0	ADMIN NOTIFICATION VALIDATION SUCCESSFUL; AWAITING HIH TO RETRIEVE THE NOTIFICATION
1	ADR Responses	FHIR-ADR with Medical Documentation-with Routing Assist	NA	SriniE ClaimID 8071330	LoadTest Case ID 123	1234567893	BundleId-4b0f8669-d00f-4b69-8f5a-a13824618bc6	NA	Administrative error Response failure delivery to HIH	6/17/2025 3:35:31 PM	NA	1	0	ADMIN ERROR NOTIFICATION DELIVERY TO HIH FAILED FOR 3 RETRY
1	ADR Responses	FHIR-ADR with Medical Documentation-with Routing Assist	NA	SriniE ClaimID 8071330	LoadTest Case ID 123	1234567893	BundleId-3511544a-7075-4738-ae28-837efdc9c626	NA	Package movement from HIH to RC is complete	6/17/2025 3:36:13 PM	NA	1	0	RECEIVED ADDITIONAL PICK UP NOTIFICATION FROM RC
1	ADR Responses	FHIR-ADR with Medical Documentation-with Routing Assist	NA	SriniE ClaimID 8071330	LoadTest Case ID 123	1234567893	BundleId-68919df9-604e-431e-a746-db764a84c812	NA	Administrative error Response successful delivery to HIH	6/17/2025 3:36:23 PM	NA	1	0	ESMD RECEIVED ADMINISTRATIVE ERROR RESPONSE ACKNOWLEDGEMENT FROM HIH

12.2 eMDR Failure Report

The MR115 eMDR Transaction Failure Report is a MicroStrategy report, which contains information regarding eMDR (Prepay/Post-Pay/Post-Pay-Other) transactions. The report populates the validation errors and delivery failures related to Prepay and delivery failures related to Post-Pay and Post-Pay-Other transactions associated with eMDR.

Figure 59: (MR115) eMDR Transaction Failure Report provides a sample layout of the report. The MR115 eMDR Transaction Failure Report is sent to all HIHs supporting eMDR Prepay or Post-Pay or Post-Pay-Other submissions.

Figure 59: (MR115) eMDR Transaction Failure Report



MR115: eMDR Transaction Failure Report - Report

Report Period:{eMDR Submission Timestamp} > 1/1/2022

Report Period:{{eMDR Submission Update Timestamp}

Health Information Handler(s):

Transaction Failure Details

esMD Transac	Parent Transacti	Su	Letter Date	Unique Letter ID	NPI	Health Informa	Health Informat	Jurisdicti on Na	Jurisdiction OID	Review Contri	Batch Cyc	Provider/Or ganizati	PTAN	Content Type Code	EMDR TYPE	Program Name	Claim ID	Case ID	Error Description
ADP000009418861	NA	###	08/19/2021	GN435639PMissing0Date0field0Claim0Header	1770710709	Test HIH	urn:oid:123.456.657.126	MAC JE	urn:oid:2.16.840.1.113883.13.34.110.1.110.16	Noridian	202202 03	Abernathy		1.5	PRE-PAY	PARTA	0s914yrn04tqhjgg34	NA	ESMD_1030 EITHER THE DAT OF SERVICE AT CLAIM HEAD LEVEL IS MISSING OR INVALI
AGM000009418312	NA	###	20220128	GN435639P06gdmo87t51ijmayazb1plxpt	1932695756	Test HIH	urn:oid:123.456.657.126	TC 3	urn:oid:2.16.840.1.113883.13.34.110.1.200.1	CERT	202201 28	Gerlach	NA	1.6	POST-PAY-OTHER	NA	vryw01mql5g9nmrrb	NA	1051_esMD Validation Error:TH {0} received from the Review Contractor is not associated wi
AUV000009418534	NA	###	20220201	GN435639Pmwqp2nqyl7yccsupkoorq4bn9	1770710709	Test HIH	urn:oid:123.456.657.126	TC 3	urn:oid:2.16.840.1.113883.13.34.110.1.600.2	QIC PART A	202202 01	Gulgowski	NA	1.6	POST-PAY-OTHER	PARTA	wocp9mn5jbpixs39p	NA	ESMD_1030 EITHER THE DAT OF SERVICE AT CLAIM HEAD LEVEL IS MISSING OR INVALI
BDM000009418253	DBC000009418313	###	20220128	GN435639P6zf3h1tnrfp9p5nt0x2s9ybz2	NA	NA	NA	TC 3	urn:oid:2.16.840.1.113883.13.34.110.1.999.3	Test Review Contractor 3	202201 28	NA	NA	1.6	POST-PAY	NA	NA	NA	ESMD_1040-No match found f Unique Letter ID and the Batch Date received in the ADR ESM Letter File.
BMP000009418927	NIQ000009419031	###	20220204	GN435639Pxsz03mes7po9355m2sh4qgsy8	NA	NA	NA	TC 3	urn:oid:2.16.840.1.113883.13.34.110.1.999.3	Test Review Contractor 3	202202 04	NA	NA	1.6	POST-PAY	NA	NA	NA	ESMD_1040-No match found f Unique Letter ID and the Batch Date received in the ADR ESM Letter File.
BUL000009418524	NA	###	02/14/2021	GN435639Pxdv5yna3g16ixyad9p9dk2iu3	1932695756	NA	NA	TC 3	urn:oid:2.16.840.1.113883.13.34.110.1.999.3	Test Review Contractor	202202 01	Rutherford		1.6	POST-PAY	PARTA	5pa9cysv4qqhr4jyt	NA	ESMD_1036 THE HIH OID IS N ASSOCIATED WITH THE NPI
CFW000009419986	WFY000009419985	###	20220211	GN435639PMissingClaim123456ID	NA	NA	NA	TC 3	urn:oid:2.16.840.1.113883.13.34.110.1.999.3	Test Review Contractor	202202 11	NA	NA	1.5	PRE-PAY-PDF	NA	NA	NA	ESMD_1040-No match found f Unique Letter ID and the Batch Date received in the ADR ESM
CGH000000	NA	###	08/04/2021	GN435639Powi0kgjlp3	0003302829	NA	NA	MAC JK	urn:oid:2.16.840.1.	NGS	202201	Gislason		1.5	PRE-PAY	PARTA	ynvifw4r21f	NA	ESMD_1036 THE HIH OID IS N

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Appendix A: Glossary

Table 54: Glossary

Term	Definition
Acknowledgement (ACK)	Message (such as one used in 'handshaking' process between two systems) that indicates the status of communications received. It is commonly written as ACK.
Additional Documentation Request (ADR)	Official letters sent to providers from the CMS RCs requesting additional documentation that is needed to process claims.
Advance Determination of Medical Coverage (ADMC)	A voluntary program that allows Suppliers and Beneficiaries to request prior approval of eligible items (e.g., wheelchairs) before delivery of the items to the beneficiary.
ASC	Accredited Standards Committee
CAQH	Council for Affordable Quality Healthcare
CORE	Committee on Operating Rules for Information Exchange
CONNECT	CONNECT implements a flexible, open-source gateway solution that enables healthcare entities - Federal agencies or private-sector health organizations or networks - to connect their existing health information systems to the eHealth Exchange. CONNECT is fully functional out-of-the-box, while at the same time configurable and flexible to allow organizations to customize it to meet their needs and those of their existing health information systems.
De-identified Data	De-identified data is data from which patient identifiers consisting of Personally Identifiable Information (PII) is removed. The business rules for de-identified data follow the HIPAA Privacy Rule including the de-identification of the specified identifiers.
Electronic Submission of Medical Documentation (esMD)	A new mechanism for submitting medical documentation via a secure Internet gateway connecting providers to CMS. In its second phase, the esMD will allow Medicare RCs to electronically submit claim related ADR letters, and other use case requests, to providers when their claims are selected for review.
Health Information Handler (HIH)	An HIH is defined as an organization that oversees and governs the exchange of health-related claim reviewer information from provider to the esMD Gateway according to nationally recognized standards.
Health Information Technology Standards Panel (HITSP)	HITSP is a volunteer-driven, consensus-driven organization that is sponsored through a contract from the Department of Health and Human Services (HHS). HITSP harmonizes and recommends the technical standards that are crucial to assure the interoperability of electronic health records.
HTTPS	A set of rules for a speedy retrieval and transmission of electronic documents written in Hypertext Markup Language (HTML) over a secure connection. HTTPS addresses differentiated from HTTP because they encrypt and decrypt user pages to prevent unauthorized access to sensitive data. Online credit card processing and banking websites use HTTPS addresses to ensure privacy and provide secure processing for users.

Term	Definition
Interoperability	Interoperability is the ability of health information systems to work together, within and across organizational boundaries, in order to advance the effective delivery of healthcare for individuals and communities.
Interface	A well-defined boundary where direct contact between two different environments, systems, etc., occurs, and where information is exchanged.
eHealth Exchange	The eHealth Exchange is a set of standards, protocols, legal agreements, and specifications that a consortium of health information organizations has agreed are necessary for secure and private exchange of health information over the Internet. The eHealth Exchange is overseen by the Office of the National Coordinator for Health Information Technology (IT) (ONC).
Performance	Accomplishment of a transaction measured against preset standards of accuracy, completeness, cost, and speed.
Privacy	An individual's interest in protecting his or her individually identifiable health information and the corresponding obligation of those persons and entities, which participate in a network for the purposes of electronic exchange of such information, to respect those interests through fair information practices.
Response Time	It is the interval between a user-command and the receipt of an action, result, or feedback from the system. It is expressed as the sum of (a) transmission time of the command to the system, (b) processing time at the Central Processing Unit (CPU), (c) access time to obtain required data from a storage device, and (d) transmission time of the result back to the user. When applied to a system component, it is the time taken to react to a system request or a given input.
SAML	Security Assertion Markup Language used for message authentication.
Security	The physical, technological, and administrative safeguards used to protect individually identifiable health information.
SOAP	Simple Object Access Protocol is a message exchange format for web services.

Term	Definition
TLS	TLS and its predecessor, Secure Sockets Layer (SSL), are cryptographic protocols that "provide communications security over the Internet". TLS and SSL encrypt the segments of network connections above the Transport Layer, using symmetric cryptography for privacy and a keyed message authentication code for message reliability. TLS is an IETF standards track protocol, last updated in RFC 5246, and based on the earlier SSL specifications developed by Netscape Corporation. The TLS protocol allows client/server applications to communicate across a network in a way designed to prevent eavesdropping and tampering. A TLS client and server negotiate a successful connection by using a handshaking procedure. During this handshake, the client and server agree on various parameters used to establish the connection's security. • The handshake begins when a client connects to a TLS-enabled server requesting a secure connection and presents a list of supported CipherSuites (ciphers and hash functions). • From this list, the server picks the strongest cipher and hash function that it supports and notifies the client of the decision. • The server sends back its identification in the form of a digital certificate. The certificate usually contains the server name, the trusted CA, and the server's public encryption key. • The client may contact the server that issued the certificate (the trusted CA as above) and confirm that the certificate is valid before proceeding. • In order to generate the session keys used for the secure connection, the client encrypts a Random Number (RN) with the server's public key (PbK) and sends the result to the server. Only the server should be able to decrypt it (with its private key (PvK)): this is the one fact that makes the keys hidden from third parties, since only the server and the client have access to this data. The client knows PbK and RN, and the server knows PvK and (after decryption of the client's message) RN. A third party is only able to know RN if PvK has been compromised. • From the random number, both parties generate key material for encryption and decryption. • This concludes the handshake and begins the secured connection, which is encrypted and decrypted with the key material until the connection closes. • If any one of the above steps fails, the TLS handshake fails, and the connection is not created.
Transaction	Event or process (such as an input message) initiated or invoked by a user or system, regarded as a single unit of work and requiring a record to be generated for processing in a database.

Appendix B: Acronyms

Table 55: Acronyms

Acronym	Term
A/B	Part A/Part B
AA	Assigning Authority
ACK	Acknowledgement
ACN	Attachment Control Number
ADMC	Advance Determination of Medical Coverage
ADR	Additional Documentation Request
AN	Alphanumeric
API	Application Programming Interface
ASC	Accredited Standards Committee
ASC	Ambulatory Surgical Center
AWS	Amazon Web Services
BP	Billing Period
C-CDA	Consolidated Clinical Document Architecture
CA	Certificate Authority
CAQH	Council for Affordable Quality Healthcare
CERT	Comprehensive Error Rate Testing
CDA	Clinical Document Architecture
CDP	Clinical Documents for Payers
CMS	Centers for Medicare & Medicaid Services
CORE	Committee on Operating Rules for Information Exchange
CSV	Comma Separated Value
CTC	Content Type Code
DB	Database
DC	Data Center
DCF	Document Code File
DME	Durable Medical Equipment
DMEPOS	Durable Medical Equipment, Prosthetics/Orthotics & Supplies
DNS	Domain Name System
EDI	Electronic Data Interchange
EEP	Electronic Endpoint
EFT	Enterprise File Transfer

Acronym	Term
eMDR	Electronic Medical Documentation Request
esMD	Electronic Submission of Medical Documentation
EST	Eastern Standard Time
FHIR	Fast Healthcare Interoperability Resources
FIPS	Federal Information Processing Standards
HCR	Health Care Services Review
HHPCR	Home Health Pre-Claim Review
HHS	U.S. Department of Health and Human Services
HICN	Health Insurance Claim Number
HIE	Health Information Exchange
HIH	Health Information Handler
HIPAA	Health Information Portability and Accountability Act
HITSP	Health Information Technology Standards Panel
HL7	Health Level 7 International
HOPD	Hospital Outpatient Department Services
HTTP	Hypertext Transfer Protocol
HTTPS	Hypertext Transfer Protocol Secure
ID	Identifier
IETF	Internet Engineering Task Force
IHE	Integrating the Healthcare Enterprise
IP	Internet Protocol
IRF	Inpatient Rehabilitation Facility
IT	Information Technology
JSON	JavaScript Object Notation
LOB	Line of Business
MAC	Medicare Administrative Contractor
MB	Megabyte(s)
MFT	Managed File Transfer
MIME	Multipurpose Internet Mail Extension
MR	Medical Review
MTOM	Message Transmission Optimization Mechanism
MUE	Medically Unlikely Edits
NAT	Network Address Translation
NCCI	National Correct Coding Initiative

Acronym	Term
NHIN	Nationwide Health Information Network
NHIO	National Health Information Organization
NIST	National Institute of Standards and Technology
NPI	National Provider Identifier
NPPES	National Plan and Provider Enumeration System
NR	Not Required
OID	Organizational Identifier
ONC	Office of National Coordinator for HIT
PA	Prior Authorization
PADL	Prior Authorization Decision Letters
PAR	Prior Authorization Request
PCR	Pre-Claim Review
PDF	Portable Document Format
PDOS	Proposed Date Of Service
PERM	Payment Error Rate Measurement
PROD	Production
PWK	Paperwork
R4.0	esMD Release 4.0
RAC	Recovery Audit Contractor
RC	Review Contractor
REST	Representational State Transfer
RHIO	Regional Health Information Organization
RN	Random Number
ROI	Release of Information
RPF	Registered Provider File
RRL	Review Results Letter
SAML	Security Assertion Markup Language
SHA	Secure Hash Algorithm
SOAP	Simple Object Access Protocol
SSL	Secure Sockets Layer
TIFF	Tagged Image File Format
TLS	Transport Layer Security
UI	User Interface
URI	Uniform Resource Identifier

Acronym	Term
URL	Uniform Resource Locator
URN	Uniform Resource Name
UTN	Unique Tracking Number
UUID	Universally Unique Identifier
VDC	Virtual Data Center
XDR	Cross-Enterprise Document Reliable Interchange
XML	Extensible Markup Language
XSPA	Cross-Enterprise Security and Privacy Authorization

Appendix C: Referenced Documents

Some of the links in this section may not work. The esMD Team is working to correct this issue. We will update the links in future versions.

- HL7 CDA Release 2
  - Org/SDO: Health Level 7
  - Version: 3
  - Link:
    This information may be found in the "Related Documents" or "Implementation Guide" sections on the following web site:
    https://www.hl7.org/implement/standards/product_brief.cfm?product_id=7

- HL7 Implementation Guide for CDA® Release 2: IHE Health Story Consolidation, Release 1.1 - US Realm
  - Org/SDO: Health Level 7
  - Version: 3
  - Link:
    This information may be found in the "Related Documents" or "Implementation Guide" sections on the following web site:
    https://www.hl7.org/implement/standards/product_brief.cfm?product_id=7

- NHIN Exchange Service Interface Specification CAQH CORE X12 Document Submission Service Interface Specifications
  - Org/SDO: eHealth Exchange
  - Version: 1.0
  - For more information on this, please refer to the "Related Documents" or "Implementation Guide" sections on the following web site:
    https://www.hl7.org/implement/standards/product_brief.cfm?product_id=7

- NHIN Exchange Messaging Platform Specification
  - Org/SDO: eHealth Exchange
  - Version: 3.0
  - For more information on this, please refer to the "Related Documents" or "Implementation Guide" sections on the following web site:
    https://www.hl7.org/implement/standards/product_brief.cfm?product_id=7

- NHIN Exchange Authorization Framework Specification
  - Org/SDO: eHealth Exchange
  - Version: 3.0
  - For more information on this, please refer to the "Related Documents" or "Implementation Guide" sections on the following web site:
    https://www.hl7.org/implement/standards/product_brief.cfm?product_id=7

- NHIN Exchange Document Submission Production Web Service Interface Specification
  - Org/SDO: eHealth Exchange
  - Version: 2.0
  - For more information on this, please refer to the "Related Documents" or "Implementation Guide" sections on the following web site:

https://www.hl7.org/implement/standards/product_brief.cfm?product_id=7

- NHIN esMD XDR Production Specification
  - Org/SDO: eHealth Exchange
  - Version: 1.0
  - Link: https://s3.amazonaws.com/seqprojectehex/wp-content/uploads/2018/09/28215041/esmd-xdr-production-specification-v1.0.pdf

- CAQH Phase II CORE 270 Connectivity Rule
  - Org/SDO: CAQH CORE
  - Version: v2.2.0
  - Link: http://www.caqh.org/core/caqh-core-phase-ii-rules

Note: The link above no longer provides access to the referenced document..

- XDR and XDM for Direct Messaging Specification
  - Org/SDO: DirectTrust.org
  - Version: 1.0
  - For more information on this, please refer to the "Related Documents" or "Implementation Guide" sections on the following web site: https://www.hl7.org/implement/standards/product_brief.cfm?product_id=7

- IHE XDR
  - Org/SDO: IHE
  - Version: 9.0
  - For more information on this, please refer to the "Related Documents" or "Implementation Guide" sections on the following web site: https://www.hl7.org/implement/standards/product_brief.cfm?product_id=7

- IHE XDS Provide and Register Document Set-b IHE IT Infrastructure 5 Technical Framework Volume 2b (ITI TF-2b) Transactions Part B
  - Org/SDO: IHE
  - Version: 9.0
  - For more information on this, please refer to the "Related Documents" or "Implementation Guide" sections on the following web site: https://www.hl7.org/implement/standards/product_brief.cfm?product_id=7

- For ASC X12N 278 information, see ASC X12
  - Org/SDO: ASC X12
  - Version: 5010
  - Link: http://store.x12.org/store/

Note: The link above no longer provides direct access to the referenced document..

- ASC X12N TA1
  - Org/SDO: ASC X12
  - Version: 5010
  - Link:

http://store.x12.org/store/healthcare-5010-original-guides
Note: The link above no longer provides direct access to the referenced document..

- ASC X12N 999
  - Org/SDO: ASC X12
  - Version: 5010
  - Link: http://store.x12.org/store/healthcare-5010-original-guides

Note: The link above no longer provides direct access to the referenced document..

- Electronic Determination of Coverage: Implementation Guide with ASC X12N 278 Transaction Sets
  - Org/SDO: Standards & Interoperability Framework
  - Version: V24
  - Link: https://oncprojectracking.healthit.gov/wiki/download/attachments/16123367/esMD%20eDoC%20Implementation%20Guide%20278%20V24.docx?api=v2

- IHE Deferred XDR (refer to v1.1.0.6).
  - For more information on this, please refer to the "Related Documents" or "Implementation Guide" sections on the following web site: https://www.hl7.org/implement/standards/product_brief.cfm?product_id=7

- Trial Implementations Document Submission Interface Specification Version 1.1.0, refer to:
  - https://s3.amazonaws.com/seqprojectehex/wp-content/uploads/2018/09/28215041/esmd-xdr-production-specification-v1.0.pdf

- Trial Implementations Message Platform Service Interface Specification Version 3.0, refer to: http://www.healthit.gov/sites/default/files/nhin-messaging-platform-production-specification-v3.0.pdf

- Authorization Framework Specification Version 2.0 refer to http://www.healthit.gov/sites/default/files/nhin-authorization-framework-production-specification-v2.0-1.pdf

- IHE TF3 Cross-Transaction Specifications and Content Specifications Revision 19.0, June 17, 2022, refer to https://profiles.ihe.net/ITI/TF/Volume3/index.html
  - NOTE: As of Revision 19, the IHE TF3 Cross-Transaction Specifications and Content Specifications is no longer distributed as a .PDF, it has been converted to HTML.

Appendix D: Setup of Disaster Recovery Sites

Problem Statement: Providing HIHs the flexibility to perform submission to CMS esMD Production (PROD) environment from the HIH's additional servers or any disaster recovery servers.

Procedure: The esMD system accepts submissions from HIHs through a single-entry point using a universal public URL (shared with HIHs). The esMD system currently does not host a disaster recovery site; hence, only one PROD environment runs in fault-tolerant mode (i.e., server-to-server backup) on multiple servers. Despite having multiple parallel processing servers, esMD is able to manage the use of a single URL to serve the HIHs. This is achieved through the F5 Load Balancer, which plays an important role in delegating the requests and responses to and from multiple servers.

Recommendation: esMD recommends that the HIHs implement a similar concept, i.e., have a load balancer between the regular processing servers and additional backup servers (e.g., disaster recovery) and tie up the load balancer with one DNS URL address. This will provide flexibility in broadcasting and multicasting requests/responses from one source in order to avoid any one-to-one mapping with external organization server complications.

With this approach, esMD will only need to update the HIH Certificate and the Connect Configuration to Point to the HIH's new DNS URL.

For additional information, contact the CMS esMD Service Desk at esMD_Support@cms.hhs.gov.

Appendix E: Record of Changes

Table 56: Record of Changes

Version Number	Date	Author/Owner	Description of Change
1.0	08/30/2019	Ramesh Koyi	Re-structured document of HIH IG for AR2020.01.0
1.1	10/02/2019	Ramesh Koyi	Resolved review comments. Updated: 1. Sections 1.1.2 and 1.2.2 1. Tables 2, 13, 14, 17, 24, and 39.
1.2	10/24/2019	Ramesh Koyi	2. Updated Tables 41 and 42 3. Added: a. Sections 8.4 and 9.2; b. Figures 29 through 33 4. Tables 39 through 41.
1.3	04/20/2020	Vijayalakshmi Muthukrishnan	Updated for July 2020 release: 1. Section 1.2.2: Inserted numbers 13 & 14. 2. Updated Figures 1 & 32 3. Updated Section 1.2.2 to include January CTC updates and July CTC updates 4. Updated Tables 8, 13, 14, 20, & 24, to include CTC 8.5
2.0	08/07/2020	Vijayalakshmi Muthukrishnan	Updated for November 2020 release: 1. Updated: • Section 1.12, 1.2.2, 4.1.18, 4.2.1, 4.2.10, 4.4, 4.6.4.1, 4.6.6.1, 4.9.1, 6, 8, 8.4.3.1, 9.1. • Tables 7, 13, 19. 2. Added: • Section 4.3 3. Removed: • 1.3.3.0
2.1	08/10/2020	Vijayalakshmi Muthukrishnan	Updated to respond to comments from TOSS review.
2.2	08/17/2020	Vijayalakshmi Muthukrishnan	Updated Table 3 to add ACN changes
2.3	10/13/2020	Vijayalakshmi Muthukrishnan	Added Table 28
3.0	01/15/2021	Vijayalakshmi Muthukrishnan	1. Updated Section 1.2.2 to add information for AR2021.04 2. Updated Table 20 - #44 3. Added Section 7.3 & Table 40

Version Number	Date	Author/Owner	Description of Change
			4. Updated figures 29 & 30
3.1	02/05/2021	Vijayalakshmi Muthukrishnan	1. Removed section 8.4.3 2. Updated section 9.2 to include "This report is being sent to all HIHs supporting eMDR Pre-Pay or Post-Pay submissions." 3. Updated Figure 31
3.2	08/04/2021	Sridevi Muthili	1. Updated Section 1.2.2 to add information for AR2021.10 2. Added new Section 4.9.1.4 for Partially-Affirmed Review Response 3. Updated HOPD where required to support the new PA Program.
3.3	09/08/2021	Rohini Kolan	Updated section 1.2.2 to add information regarding the reject error code(s) and reason code(s) GEX19.
4.0	11/15/2021	Sridevi Muthili	1. Updated Section 1.2.2 to add information for AR2022.01 2. Updated Section 9.2 and provided a new report screenshot.
5.0	01/10/2021	Rohini Kolan	1. Updated Section 1.2.2 to add information for AR2022.01 2. Updated tables 29, 34, 36 3. Added sections 4.9.3, 4.9.4 4. Added figures 15, 16
6.0	04/22/2022	Rohini Kolan Sridevi Muthili	1. Updated Section 1.2.2 to add information for AR2022.07 2. Added Section 9, 9.1,9.2, 9.2.1 3. Added Tables 48- 56
7.0	07/20/2022	Rohini Kolan	1. Updated Section 1.2.2 to add information for AR2022.10 2. Updated section 6, 6.5, 6.9 3. Added section 6.2, 6.3,6.4 4. Updated Figure 23 5. Updated Table 58
8.0	11/01/2022	Rohini Kolan Saranya Krishnan Sridevi Muthili	Updated the following for AR2023.01.0 1. Updated Figure 1 - Current esMD Process. 2. Added Section 4 - AWS Changes. 3. Updated Appendix B to include AWS-related acronyms. 4. Updated Sections 5.6.5.1 and 5.6.5.2 to mention the REST API. 5. Updated Appendix F to reflect current COR information.
9.0	01/03/2023	Saranya Krishnan	Updated the following for AR2023.04.0:

Version Number	Date	Author/Owner	Description of Change
			1. Updated Section 1.2.2, 4.1, 8.3, 9.4, 9.4.3, 9.4.4, and 11.2 for CR Post-Pay-Other. 2. Added a note to Section 8.3 for future Retry Failure Scenario information. 3. Table 2 - Updated to specify impact to HIH for all changes. 4. Table 43 - Updated the table caption. 5. Table 47 - Updated the information for CTC 1.6. 6. Table 50 - Updated the table caption. 7. Table 50 - Updated the description to reference eMDR Post-Pay-Other RCs (CERT, QIO and SMRC) and updated numbering sequence. 8. Figure 2 - Removed the name attribute. 9. Figure 16 - Added a sample PWK claim request for VDC 10. Figure 17 - New figure that provides a sample PWK claim request for Cloud 11. Figure 33 - Updated the figure caption and added process flow for Post-Pay-Other.
9.1	02/17/2023	Rohini Kolan	Updated the following for AR2023.04.0 Version 9.1: 1. Updated Sections 1.1.2, 1.2.2, 5.3, and 5.9.1.4 2. Added Section 5.9.5 3. Updated Table 2- Row #10, 12, 16, and 17. 4. Updated Table 3 - Row #2. Cont.1, and Row #14. Cont. 3 5. Updated Tables 52, 53, and 54
10.0	04/28/2023	Sridevi Muthili	Updated the following for AR2023.07.0 Version 10.0: 1. Updated Section(s): 1.2.2, 2.1.1, 5.1.10, 5.1.13, 5.1.16, 5.2.1, 5.2.6, 5.2.7, 5.2.9, 5.3, 5.6.5.1, 5.6.11, 5.9.6, 6.2, 6.3, 7.10, 9, and 9.1. 2. Updated Table(s): 2, 5, 22, 23, 24, 42, 45, 48, and 49. 3. Updated Figure(s): 4, 9, 10, 12, 13, 14, 15, 16, 21, 29, 30, 31, 36, and 37. 4. Removed Section 9 Pilot Programs (Renumbered affected sub-sections, figures, and tables.
10.1	05/12/2023	Sridevi Muthili Saranya Krishnan	Updated the following for AR2023.07.0 Version 10.1:

Version Number	Date	Author/Owner	Description of Change
			1. Updated section(s): 4.1, 5.3, 5.5.12, 5.6.11, 5.6.14, 5.8, and 5.9.7.4. 2. Updated Table(s): 23, and 24. 3. Updated Figure(s): 24 and 30.
11.0	07/31/2023	Sridevi Muthili Rohini Kolan	Updated the following for AR2023.10.0 version 11.0: 1. Updated Sections: 1.1.2, 1.2.2, 5.4, 5.6.4.1, 5.6.6.1, 5.6.6.2, 5.9.1.1, 5.9.1.2, 5.9.1.4, 5.9.2, 5.9.7.1, and 5.9.7.2. 2. Updated Tables: 4, 10, 15, 16, 22, 27, 31, 40, and 51. 3. Updated Figure: 17. 4. Added Sections: 7.5, and 10. 5. Added Table: 56. 6. Added Figures: 28, and 33.
12.0	01/22/2024	Sridevi Muthili Rohini Kolan	Updated the following for AR2024.04.0 version 12.0: 1. Converted the "Tables" caption to a "Figures" caption for all transaction data samples and updated the List of Figures. 2. Added Section 11: CAQH Core Rest API Approach. 3. Added Table: 53. 4. Updated Sections: 1.1.2, 1.2.2, 1.2.3, 6.4, 6.10, 7, 9.2.1.1, and 11.
12.1	01/29/2024	Sridevi Muthili Saranya Krishnan	Updated the following for AR2024.04.0 version 12.1: 1. Updated Table: 20 2. Updated Figures: 11 and 14.
13.0	3/27/2024	Sridevi Muthili Saranya Krishnan Rohini Kolan	Updated the following for AR2024.07.0 version 13.0: 1. Updated Section 1.2.2 - Added bullet #27. 2. Updated Section 1.2.3 - Added PDF validation feature. 3. Updated Section 12.1 - Added Notes #2 and #3. 4. Added Section 4.6.5.2 - PDF validation feature 5. Added Table 20 - Summary of PDF Validation Error and Audit Messages.
13.1	4/22/2024	Rohini Kolan	Updated the following for AR2024.07.0 version 13.1: 1. Updated Section(s):

Version Number	Date	Author/Owner	Description of Change
			a. 1.2.3 - Updated Release 2024.07.0 change information to include Service Registration Changes. b. 8 - Updated to include Service Registration Changes. 2. Updated Table(s): a. Table 20 - Updated the Error Code format. b. Table 21 - Removed line #36 error message for Service Start Date for eMDR Registration and renumbered remaining lines. c. Table 56 - Updated acronym list to include EEP.
13.2	6/3/2024	Saranya Krishnan	Updated the following for AR2024.07.0 version 13.2: 1. Updated Table 21 a. Updated row #34 Comments column. b. Updated row #36 First Notification Error Msg and Comments columns. c. Added rows #42 and #43. 2. Updated Sections a. 1.2.2 - Added July 2024 release information. b. 1.2.3 - Added SRVC element usage and format validation info for eMDR Pre-Pay elements. c. 8 - Added four bullets to describe SRVC processing validations. d. 8.1.1 - Added information related to special characters used in eMDR Pre-Pay metadata.
14.0	7/8/2024	Saranya Krishnan Rohini Kolan	Updated the following for AR2024.10.0 version 14.0: 1. Converted the caption for Tables 15, 16, and 17 to Figure(s) 9, 10, and 11; then adjusted the numbering of the captions for all subsequent figures and tables. 2. Updated Sections: 1.2.2, 1.2.3, 4.6.8, 4.9.1.5, 8, 9, and 12.1. 3. Updated Tables: 18 (Row 35), 36 (HOPD Row), and 43 (CTC values). 4. Updated Figures: 17, 37, and 46. 5. Added New Sections: 13 and 13.1.

Version Number	Date	Author/Owner	Description of Change
			6. Added New Table: 20 7. Added New Figures: 22, 23, 24, 49, and 50.
14.1	8/13/2024	Rohini Kolan	Updated the following for AR2024.10.0 version 14.1 1. Updated Section: 13.1. 2. Updated Figures: 49 and 50.
14.2	9/25/2024	Rohini Kolan	Updated the following for AR2024.12.0 version 14.2 1. Added Section(s): 4.9.6, 4.9.7, 4.9.8. 2. Added Figure(s): 27, 28. 3. Updated Sections(s): 1.2.2, 1.2.3, 4.3, 4.6.7.1, and 6.1. 4. Updated Table(s): 27 (Updated row 3, added rows 10-14).
15.0	10/09/2024	Saranya Krishnan John Stevens	Updated the following for AR2025.01.0 version 15.0: 1. Added Figure(s): 49, 51, 52 and renumbered remaining figures. 2. Updated Sections(s): 1.2.2, 1.2.3, 4.3, 12.1. 3. Updated Figure(s) 48, 50.
15.1	11/18/2024	Saranya Krishnan	Updated the following for AR2025.01.0 version 15.1: 1. Updated the title for Sections(s): 13 and 13.1.
16.0	12/19/2024	Saranya Krishnan Rohini Kolan	Updated the following for AR2025.04.0 version 16.0: 1. Updated Sections(s): 1.2.2, 1.2.3, and 9. 2. Updated Figure(s) 1 and 43.
16.1	1/7/2025	Rohini Kolan	Updated the following for AR2025.04.1 version 16.1: 1. Added Section 4.2.22 2. Updated Section 1.2.2 3. Updated Table 2 (Row 3 ResponseTypeCategory).
17	3/7/2025	Rohini Kolan	AR2025.07.0 release version 17.0 contains the following updates: **Deleted Section(s)** • 10 - Electronic Delivery of RC OID Information to the HIHs. • 13 - Electronic Delivery of List of NPI Information to the HIH (Registered Provider File).

Version Number	Date	Author/Owner	Description of Change
			NOTE: All subsequent sections, figures, and tables that follow the deleted sections were renumbered. **Added New Section(s):** • 11 - System Reference Information Delivery to HIHs. **Added New Figure(s):** 44, 45, 46, 47, 48, 49, and 50. **Updated Sections(s):** • 1.2.2 - Added bullet #33 with July 2025 release info. • 1.2.3 - Added July 2025 release info. • 4.6.5.2 - Removed poor file quality information. • 12.1 - Added AR2025.07.0 release info. **Updated Table(s):** • 18 - Removed error code ESMD_1236 info.
18.0	7/2/2025	John Stevens	AR2025.10.0 release version 18.0 contains the following updates: **Added Section(s):** • Created Sections 12.1.1, 12.1.2, and 12.1.3 to enhance organization of existing content for updates to the Reconciliation Report delivered in previous releases. • Section 12.1.4 - Release AR2025.10.0 Reconciliation Report Enhancements **Added Figure(s):** • Figure 37: Sample SRVC NPI Removal Request for a Single NPI • Figure 38: Sample SRVC NPI Removal Request for Multiple NPIs • Figure 56 - Recon Report with Updated Status and Audit Messages (Page 1) • Figure 57 - Recon Report with Updated Status and Audit Messages (Page 2) **Added Table(s):** • Table 50 - Service Registration Statuses and Audit Events • Table 51 - XDR Non-PA and XDR PA Statuses and Audit Events • Table 52 - X12-278 and Supporting Documentation Statuses and Audit Events

Version Number	Date	Author/Owner	Description of Change
			• Table 53 - X12-275 PWK Statuses and Audit Events **Updated Section(s):** • Section 8 - Added SRVC NPI removal information
19.0	8/25/2025	Rohini Kolan	AR2025.11.0 interim release version 19.0 contains the following updates: **Added Figure(s):** • 29 - ASC Review Result Response.txt File **Updated Sections(s):** • 1.1.2 - Added bullet 11 for ASC. • 1.2.2 - Added bullet 34 and related sub-bullet. • 1.2.3 - Added bullet for ASC. • 4.9.1.4 - Added ASC. **Updated Table(s):** • 8 - Added row for CTC 8.7 (ASC). • 14 - Added row for CTC 8.7 (ASC). • 15 - Added row 8 for ASC (Renumbered subsequent rows.) • 19 - Updated row 8 with ASC. • 24 - Added rows for CTC 8.7 (ASC). • 28 - Updated row 1 for ASC. • 37 - Added row for ASC Procedure Codes.

Appendix F: Approvals

The undersigned acknowledge that they have reviewed the HIH Implementation Guide AR2025.11.0 and agree with the information presented within this document. Changes to this HIH Implementation Guide AR2025.11.0 will be coordinated with, and approved by, the undersigned, or their designated representatives.

Signature:		Date:	
Print Name:	Earl Mclaughlin		
Title:	Contracting Officer's Representative (COR)		
Role:	CMS Approving Authority		