



# Electronic Submission of Medical Documentation (esMD)

## RC Technical Release Changes for AR2026.04.0 Release (Final)

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Version 1.1

02/16/2026

**Document Number:** AR2026.04.0\_RC\_TRC\_Final

**Contract Number:** HHSM-500-2016-000681:75FCMC21F0001

## Table of Contents

<b>1</b>	<b>Introduction .....</b>	<b>1</b>
<b>2</b>	<b>Purpose .....</b>	<b>2</b>
<b>3</b>	<b>High-Level Requirement Details .....</b>	<b>3</b>
3.1	Ambulatory Surgical Center PA Inbound Requests in X12 278.....	3
3.2	Streamline Document Exchange Through Updates to Selected Content Type Codes and esMD Functions .....	3
3.2.1	Claim ID in the First-Level Appeals and Second-Level Appeals XDR Requests .....	4
3.2.2	X12 PA Request Transaction ID .....	5
<b>Appendix A:</b>	<b>Record of Changes.....</b>	<b>7</b>
<b>Appendix B:</b>	<b>Acronyms.....</b>	<b>8</b>

## List of Tables

Table 1: Record of Changes .....	7
Table 2: Acronyms .....	8

## List of Figures

Figure 1: Sample Metadata XML for Claim ID .....	4
Figure 2: Sample Metadata XML with ParentTransactionId Element .....	5

# 1 Introduction

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This Technical Release Changes (TRC) document provides the interface and technical release changes that have been identified for the Electronic Submission of Medical Documentation (esMD) Change Request (CRs) that will be developed for the April 2026 release (AR2026.04.0).

This document must be used in conjunction with the Centers for Medicare & Medicaid Services (CMS) Review Contractor (RC) Implementation Guides for Java and .NET. RCs must use Java Development Kit (JDK) Version 1.8 or higher and .NET Framework Version 4.8 or higher.

The audience of this document are implementers, such as architects and developers, who are responsible for the exchange of supporting/attachment information among healthcare providers, RCs, and their business associates such as CMS.

## 2 Purpose

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This document outlines the functional/technical aspects of the following functionalities that will be implemented in the April 2026 release.

- **eChimp CR 14244** - Implement X12 Format for Ambulatory Surgical Center Prior Authorization Program (ASC PA).
- **eChimp CR 14097** - Streamline Document Exchange Through Updates to Selected Content Type Codes and esMD Functions. (CTC 9, 9.1 and 13).
- **CHG04** - Deliver Quarterly Document Code File (DCF) to RCs.

## 3 High-Level Requirement Details

### 3.1 Ambulatory Surgical Center PA Inbound Requests in X12 278

This CR will support the receipt of Ambulatory Surgical Center (ASC) Prior Authorization request transactions in the X12N 278 format. The following outlines the ASC Prior Authorization (X12N 278) processing specifications.

1. ASC-PA requests are transmitted as part of X12N 278 transaction.
  2. The Content Type Code (CTC) associated with the ASC-PA program is CTC 8.7.
  3. Each ASC PA request may contain one or more items of service.
  4. The request transaction contains a single service (procedure code) only for B004 and paired items of service (multiple procedure codes) for B005.
  5. At least one Patient Event Providers/Service Name is provided for the ASC program, with the provider type as 'Service Provider (SJ)'.
  6. Note: Even though the 14 identifiers are received from HIHs, RCs will receive only the following six: "SJ, DK, DN, FA, 71, & 72".
  7. The X12 278 ASC request submitted for Botulinum Toxin services (B005 program indicator) must contain admin code and a drug code.
  8. The X12 278 ASC request received for Blepharoplasty, Panniculectomy, Rhinoplasty, Vein Ablation (B004 program indicator) will contain only one procedure code.
  9. For ASC requests, the bill type code is expected to be "24", and the facility code qualifier is expected to be "B".
  10. RCs will receive the information as part of the existing automated process as a Flat-File-Record.
  11. File- and record-level error responses will continue to be transmitted for all existing business scenarios using the current information layout.
  12. RCs will continue to send the PA error responses and Administrative Errors for the supporting document received using RC Client.
- Note:** All existing Administrative Error situations are applicable to the ASC-PA Program transactions.
13. The RCs will continue to send the ASC-PA Decision Responses to esMD at the appropriate level (individual Service or request), using the Shared System Maintainer Flat File Data Element response file.

Notes:

- The current information layout and communication method will remain unchanged.
- The applicable decision indicators continue to be Affirmed and Non-Affirmed.
  - For the ASC-PA program, the existing automated rules for populating the decision response record elements will remain unchanged.

### 3.2 Streamline Document Exchange Through Updates to Selected Content Type Codes and esMD Functions

The changes under this CR are summarized as follows:

- The Claim ID metadata element must be populated as a mandatory element in the metadata that is received from the HIH for CTC-9 and CTC 9.1 XDR transactions.
- A Parent Transaction ID metadata element must be added to the metadata that is sent to the respective RC with Supporting Documentation (SD) packages.

### 3.2.1 Claim ID in the First-Level Appeals and Second-Level Appeals XDR Requests

With the April 2026 release, a new Claim ID metadata element will be included in the metadata XML as part of the package for first and second-level appeal request XDR submissions (CTC 9 and CTC 9.1).

Figure 1: Sample Metadata XML for Claim ID

```
<?xml version="1.0" encoding="UTF-8" standalone="yes"?>
<ns2:RetrieveMedicalDocumentationResponse
xmlns:ns2="http://esmd.ois.cms.hhs.gov/v2/rc" returnCode="1"
serviceSuccessful="true">
  <statusDescription>The RetrieveMedicalDocumentationRequest processed
successfully.</statusDescription>
  <NumberOfDocuments>1</NumberOfDocuments>
  <ESMDPackage>
    <ESMDTransaction TransactionId="KES0007293405EC" DeliveryType="E"/>
    <SendingOID>urn:oid:123.456.657.126</SendingOID>
    <TargetOID>urn:oid:2.16.840.1.113883.13.34.110.1.999.1</TargetOID>
    <CompleteSubmission>true</CompleteSubmission>
    <RequestType>XDR</RequestType>
    <SubmissionMetadata>
      <BusinessType>Request message</BusinessType>
      <CreationTime>2025-12-23T20:23:38.082-05:00</CreationTime>
      <SubmissionTime>2025-12-23T20:23:38.083-05:00</SubmissionTime>
      <EFTSubmissionTime>2025-12-23T20:23:38.084-
05:00</EFTSubmissionTime>
      <ContentTypeCode>9</ContentTypeCode>
      <WorkloadNumber>00001</WorkloadNumber>
      <NPI>1111111112</NPI>
      <ClaimId>12756</ClaimId>
    </SubmissionMetadata>
    <Documentation DocumentUniqueIdentifier="E_L_9_KES0007293405EC_1"
MimeType="application/pdf" FileName="E_L_9_KES0007293405EC_1.pdf">
      <OptionalMetadata>
        <FieldName>FileName</FieldName>
        <FieldValue>E_L9_KES0007293405EC_1.pdf</FieldValue>
      </OptionalMetadata>
      <OptionalMetadata>
        <FieldName>Description</FieldName>
        <FieldValue>From esMD</FieldValue>
      </OptionalMetadata>
      <OptionalMetadata>
        <FieldName>Checksum</FieldName>
        <FieldValue>af9ee951997031d08ffe9818b90cd308bf22eb1f0eb124dce70e3e14e372ef07
</FieldValue>
      </OptionalMetadata>
      <OptionalMetadata>
        <FieldName>AttachmentControlNumber</FieldName>
```

```

        <FieldValue>90B97FDVCTHC4K427DJJCHP9P</FieldValue>
      </OptionalMetadata>
    </Documentation>
  </ESMDPackage>
</ns2:RetrieveMedicalDocumentationResponse>

```

### 3.2.2 X12 PA Request Transaction ID

As part of the April 2026 release, RCs will receive the Transaction ID of the X12 278 PA request submission which is added as a new optional metadata element (ParentTransactionId) in the metadata xml as part of supporting document ZIP package.

The ParentTransactionId element is included for the XDR Supporting Documentation transaction (CTC-13) and X12-275 Supporting Documentation transaction in support of an X12 278 PA Request.

**Note:** This new metadata element is applicable only to PA Supporting Documentation transactions. This metadata element is included in all the subsequent supporting document transactions, until the review outcome is rendered.

**Figure 2: Sample Metadata XML with ParentTransactionId Element**

```

<?xml version="1.0" encoding="UTF-8" standalone="yes"?>
<ns2:RetrieveMedicalDocumentationResponse
xmlns:ns2="http://esmd.ois.cms.hhs.gov/v2/rc" returnCode="1"
serviceSuccessful="true">
  <statusDescription>The RetrieveMedicalDocumentationRequest processed
successfully.</statusDescription>
  <NumberOfDocuments>1</NumberOfDocuments>
  <ESMDPackage>
    <ESMDTransaction TransactionId="KES0007293405EC" DeliveryType="E"/>
    <SendingOID>urn:oid:123.456.657.126</SendingOID>
    <TargetOID>urn:oid:2.16.840.1.113883.13.34.110.1.999.1</TargetOID>
    <CompleteSubmission>true</CompleteSubmission>
    <RequestType>X12-XDR</RequestType>
    <SubmissionMetadata>
      <BusinessType>Response message for additional documentation
request</BusinessType>
      <CreationTime>2025-12-23T20:23:38.082-05:00</CreationTime>
      <SubmissionTime>2025-12-23T20:23:38.083-05:00</SubmissionTime>
      <EFTSubmissionTime>2025-12-23T20:23:38.084-
05:00</EFTSubmissionTime>
      <ContentTypeCode>8.1</ContentTypeCode>
      <WorkloadNumber>00001</WorkloadNumber>
      <NPI>111111112</NPI>
      <ParentTransactionId>MPS0007293404EC</ParentTransactionId>
    </SubmissionMetadata>
    <Documentation DocumentUniqueIdentifier="E_L_13_KES0007293405EC_1"
MimeType="application/pdf" FileName="E_L_13_KES0007293405EC_1.pdf">
      <OptionalMetadata>
        <FieldName>FileName</FieldName>
        <FieldValue>E_L_13_KES0007293405EC_1.pdf</FieldValue>
      </OptionalMetadata>
      <OptionalMetadata>
        <FieldName>Description</FieldName>

```

```
        <FieldValue>From esMD</FieldValue>
      </OptionalMetadata>
    <OptionalMetadata>
      <FieldName>Checksum</FieldName>
    </OptionalMetadata>
  <FieldValue>af9ee951997031d08ffe9818b90cd308bf22eb1f0eb124dce70e3e14e372ef07
</FieldValue>
  </OptionalMetadata>
  <OptionalMetadata>
    <FieldName>AttachmentControlNumber</FieldName>
    <FieldValue>90B97FDVCTHC4K427DJJCHP9P</FieldValue>
  </OptionalMetadata>
</Documentation>
</ESMDPackage>
</ns2:RetrieveMedicalDocumentationResponse>
```

## Appendix A: Record of Changes

Table 1: Record of Changes

Version Number	Date	Author/Owner	Description of Change
1.0	12/24/2025	Venkata Gurram	Preliminary version of the April 2026 Release RC TRC Version 1.0
1.1	1/20/2026	Venkata Gurram	AR2026.04.0 release version 1.1 contains the following changes: Updated Section(s): <ul style="list-style-type: none"><li>Section 3.1 - Updated bullet #5.</li></ul>

## Appendix B: Acronyms

Table 2: Acronyms

Acronym	Literal Translation
ASC	Ambulatory Surgical center
CHG	Change
CMS	Centers for Medicare & Medicaid Services
CR	Change Request
CTC	Content Type Code
DCF	Document Code File
esMD	Electronic Submission of Medical Documentation
HIH	Health Information Handler
ID	Identifier
JDK	Java Development Kit
OID	Organizational Identifier
PA	Prior Authorization
RC	Review Contractor
SD	Supporting Documentation
TRC	Technical Release Changes
XDR	Cross-Enterprise Document Reliable Interchange