



Centers for Medicare & Medicaid Services

Electronic Submission of Medical Documentation (esMD)

esMD Role Request Quick Reference Guide for AR2023.01.0 Release

Version 1.1

09/21/2022

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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. CMS administers Medicare and Medicaid and provides funds and guidance for all of the 50 states in the nation, for their Medicaid programs, and Children's Health Insurance Program (CHIP). CMS works together with the CMS community and organizations in delivering improved and better coordinated care.

Electronic Submission Of Medical Documentation System Overview

Each year, the Medicare Fee-For-Service (FFS) 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. Some HIHs are beginning to offer esMD gateway services. These Claim Clearinghouses, Release of Information vendors, Health Information Exchanges, and Electronic Health Record vendors are often referred to as HIHs.

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

Scope of the esMD Role Request Quick Reference Guide

The esMD Role Request Quick Reference Guide provides esMD RC End Users (Review Contractors), esMD Approvers & esMD Helpdesk users with the basic guidance needed to access the esMD Application using the CMS Enterprise Portal System (EPS) Aka. Portal.

Guidance is provided to all users on how to perform the following core functions using the Portal user interface (UI):

- How to create and register a Portal account
- How to log in to Portal
- How to request a role in the esMD Application

Guidance is allow provided to esMD Approvers and Helpdesk users on how to perform the following functions using the Portal UI:

- Approve Role Requests
- Reject Role Requests

Additional information is documented in the following Portal User Guides:

- **Enterprise Portal User Guide:** https://portal.cms.gov/portal/help/digital/user-guide/?guide=enterprise_portal_user_guide

- **Enterprise Portal Help Desk User Guide:**
https://portaldev.cms.gov/portal/help/digital/user-guide/?guide=enterprise_portal_help_desk_user_guide
- **Enterprise Portal Approver User Guide:**
https://portaldev.cms.gov/portal/help/digital/user-guide/?guide=enterprise_portal_approver_user_guide

2. How to Create and Register a Portal Account

Overview of CMS Portal Application

CMS Enterprise Portal is the common user presentation layer which provides a secure, browser-based, centralized point of entry for users to access the underlying data. CMS Enterprise Portal logically consolidates information and business functions, helping to ensure consistent delivery and presentation of information across the user base. Users can collaborate; share queries and reports; use browser-based reporting applications; manipulate data and information; and save that data and information in the portal layer, all without having to exit the portal to use other applications. CMS established the Enterprise Portal to provide business partners with a means to create a single user ID that they can use to access one or more CMS applications.

Note: Enterprise Portal passwords expire every 60 days. It is recommended that users sign in to Portal before signing in to the RC Client each time they change their passwords to help avoid accidental user account lock out.

Create and Register an Account

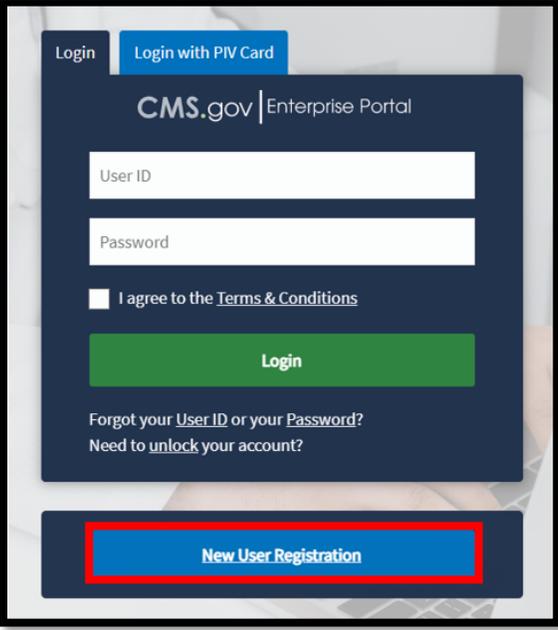
Note: Users who are participating in User Acceptance Testing (UAT) must use the account creation procedure outlined in [Appendix A: Instructions for UAT Testers](#).

Note: Existing users who already have an existing valid Portal User ID for access to the Internet Server (ISV) Application may skip to Section 4 How to Request a Role to Access the esMD Application

This section assists new users with using Portal's account registration process to create a new Portal Account. All users who do not have a Portal account are required to create one as a condition for accessing the esMD application.

New users must use the following procedure to create and register a Portal account.

1. Navigate to the Enterprise Portal public homepage at <https://portal.cms.gov/portal/>. The login page appears.

Figure 1: Portal Login Page

The screenshot shows the CMS.gov Enterprise Portal login interface. At the top, there is a 'Login' button and a 'Login with PIV Card' button. The main content area includes the CMS.gov logo, a 'User ID' input field, a 'Password' input field, and a checkbox labeled 'I agree to the Terms & Conditions'. Below these fields is a green 'Login' button. At the bottom of the page, there is a blue 'New User Registration' button, which is highlighted with a red border.

2. Click the **New User Registration** button. The Select Your Application window appears.
3. Use the menu to select the **esMD** application.
4. Review the Terms and Conditions and Click the **"I agree to the Terms and Conditions"** check box.
5. Click the **Next** button. The Register Your Information window appears.
6. Enter the requested **personal and contact information**. Note that all information is required unless it has been identified as optional.
7. Click the **Next** button. The Create User ID, Password & Security Question/Answer window appears.
8. Create a **User ID** and **Password**, then select a **Security Question** and enter a **Security Answer**.
9. Click the **Next** button. The New User Registration Summary window appears.
10. Review and verify the account information, then click the **Submit User** button. A confirmation message is displayed.

3. How to Log In to Portal

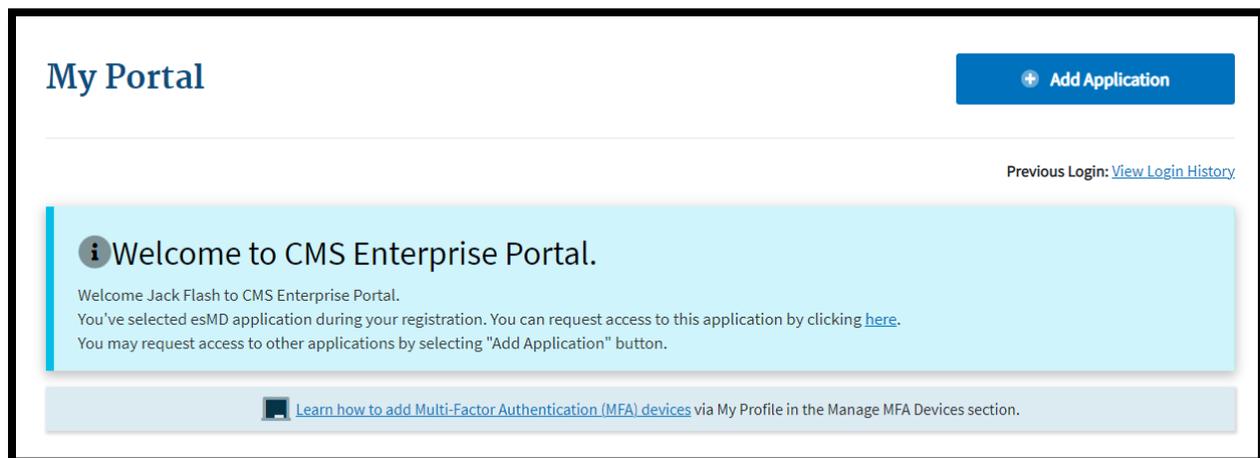
This section provides the procedure for logging in and authenticating to the CMS Portal application.

Note: Users who are participating in UAT must use the log in procedure outlined in [Appendix A: Instructions for UAT Testers](#).

Note: New users who log in to Portal for the first time, must configure a multi-factor authentication (MFA) device which will be used to enable future logins.

1. Navigate to the Enterprise Portal public homepage at <https://portal.cms.gov/portal/>. The login page appears as illustrated by Figure 1: Portal Login Page.
2. Enter the **User ID** and **Password**, click the “**I agree to the Terms & Conditions**” check box, then click the **Login** button. The Register MFA Device window appears.
3. New users must select at least one MFA device, then follow the on-screen prompts to register that device. Existing users can skip the registration step and proceed to Step 4.
4. Use the procedure for selected MFA device to complete the Portal log in process. The My Portal window appears.

Figure 2: The My Portal Window



4. How to Request a Role to Access the esMD Application

The following terms are introduced in this section:

- **Level of Assurance (LOA)** - LOA represents the level of assurance that a person is who they claim to be. LOA 1 is the lowest level and is assigned to all new users when they create an account. LOA 3 is the highest level and is only assigned to users who have had their identities verified. esMD requires that all users have their identities verified and assigned LOA 3.
- **Remote Identity Proofing (RIDP)** - Describes the process that is used to confirm a person's identity. All new users are required to complete RIDP as part of the process of being approved for a role. RIDP is also called Identity Verification. esMD Users have three opportunities to verify their identity. The verification opportunities occur in the following order:
 - **Online Proofing** - An identity verification procedure that uses Experian's computer-based Identity Verification service.
 - **Phone Proofing** - An identity proofing procedure that uses Experian's telephone-based Identity Verification service. Phone proofing is only available if the user is unable to verify their identity using online proofing.
 - **Manual Proofing** - An identity proofing procedure that is performed by an Application (Tier 1) Helpdesk in accordance with their policies. Manual proofing is not offered by every application and is only available if the user is unable to first verify their identity through online proofing and phone proofing.

Note: Existing users who have an ISV role have already had their identity verified and will not have to go through the process again.

Note: Users who are participating in UAT must use their real Business Contact Information and Mailbox ID when that is requested. UAT testers must follow the role request procedure outlined in [Appendix A: Instructions for UAT Testers](#)

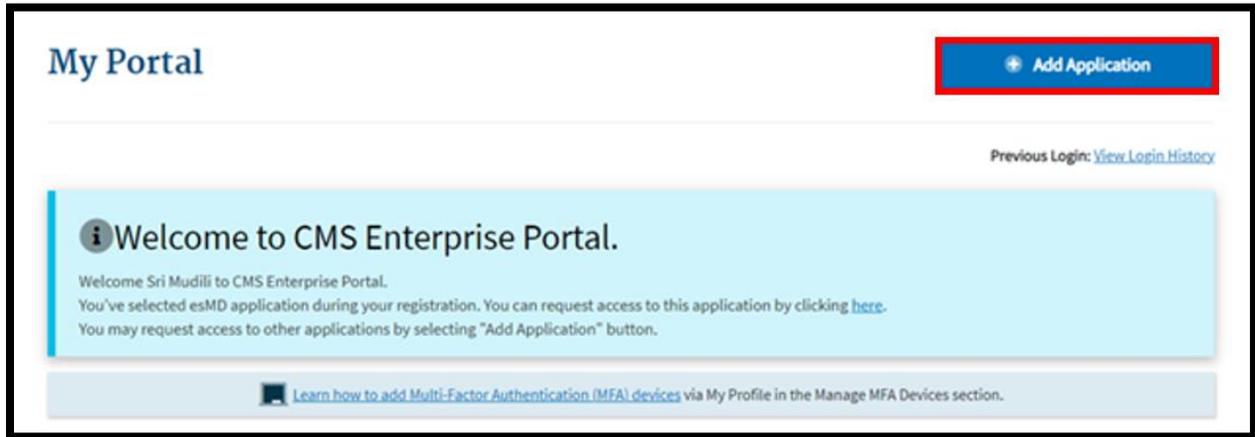
This section describes the procedure to request a role using the Portal UI. Users who request the RC End User role will also request a Mail Box. After the RC End User's role request is approved, that user will have access to an esMD Mail Box to upload and download files to the esMD system.

As part of the migration process, **all users** (existing and new) who are "Onboarding to the Cloud" must follow the steps in this procedure to gain access to the new "esMD application".

Note: The steps below are provided from the End User perspective. Users who request an Approver role or Helpdesk role must select the Approver or Helpdesk role during the role selection step.

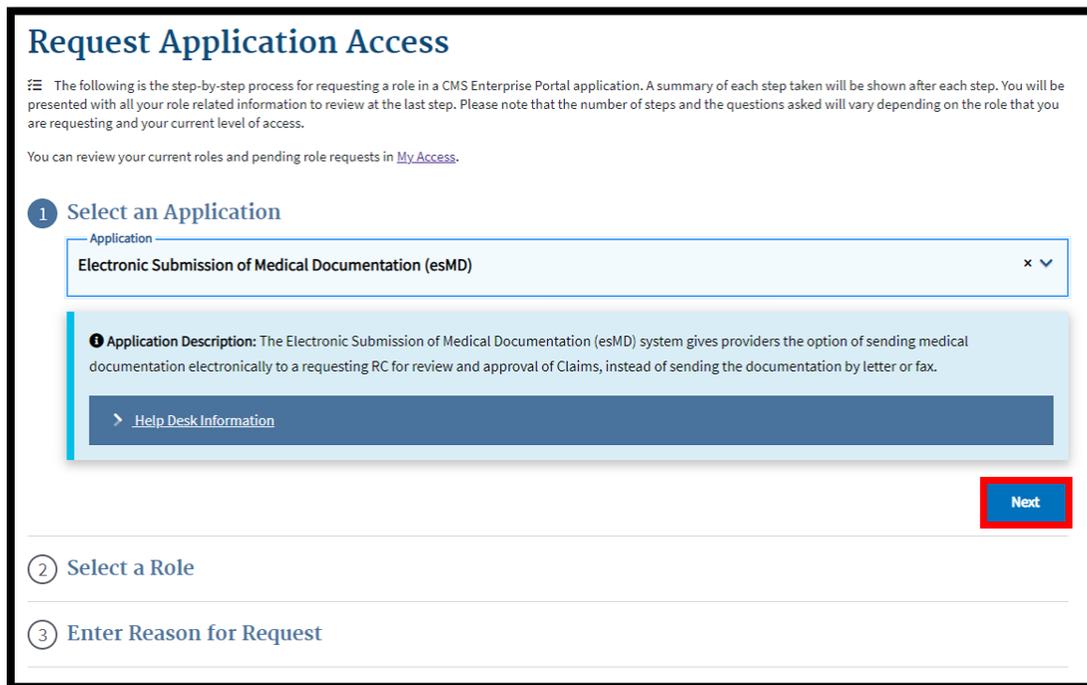
1. Log in to Portal by navigating to the Enterprise Portal public homepage at <https://portal.cms.gov/portal/> and following the procedure in Section 3 How to Log In to Portal. The My Portal window appears after successful log in.

Figure 3: My Portal Page with Add Application Button



2. Click the Add Application button. The Request Application Access window appears.

Figure 4: Portal Request Application Access Window - Select an Application



3. Select **esMD** using the Select an Application drop down menu, then click the **Next** Button.

Figure 5: Portal Request Application Access - Select a Role

Request Application Access

☰ The following is the step-by-step process for requesting a role in a CMS Enterprise Portal application. A summary of each step taken will be shown after each step. You will be presented with all your role related information to review at the last step. Please note that the number of steps and the questions asked will vary depending on the role that you are requesting and your current level of access.

You can review your current roles and pending role requests in [My Access](#).

1 Select an Application ✔ Completed
✎ Edit

✔ **Electronic Submission of Medical Documentation (esMD)**

2 Select a Role

Select a Role ▼

esMD Approver

esMD Helpdesk

esMD RC End User

Cancel

3

4. Select the **esMD End User** role using the Select a Role drop down menu, then click the **Next** button.
5. Users who have never completed Identify Verification must click the **Launch** button to proceed with the Remote Identity Proofing phase of the role request process by following the on-screen prompts. **Note: This step will not appear for users who have already completed the Identity Verification process.**
6. Users must review and/or enter their Business Contact Information, then click the **Next** button. **Note that all information is required unless it has been identified as optional.**

Figure 6: Portal Request Application Access - Enter Business Contact Information

3 Enter Business Contact Information

All fields are required unless marked (optional).

Social Security Number
XXX-XX-7990

Company Name
CHIT

Address Line 1
1234 Main Lane

Address Line 2 (optional)

City
Columbia

State
Maryland

ZIP Code
10744

ZIP+4 Code (optional)

Company Phone Number
575-757-6767

Extension (optional)

Office Phone Number
787-979-7998

Extension (optional)

Figure 7: Portal Request Application Access - Create Mail Box ID

2 Select a Role ✔ Completed [Edit](#)

✔ esMD RC End User

3 Enter Business Contact Information ✔ Completed [Edit](#)

✔ BCI Updates Completed.

4 Enter Role Details

All fields are required unless marked (optional).

Mail Box ID
ES5678

[Next](#)

5 Enter Reason for Request

[Cancel](#)

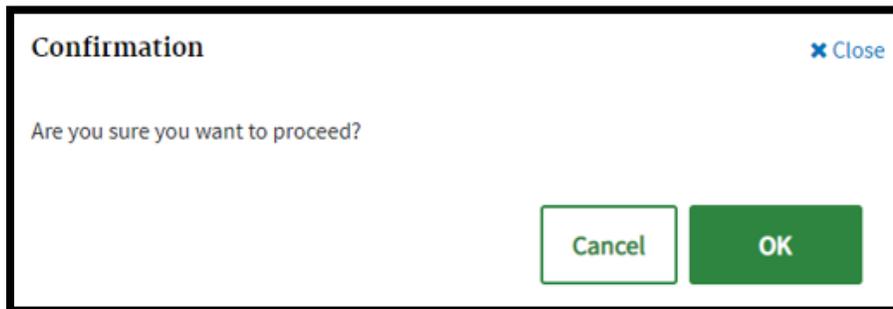
7. Enter the organization’s **Mail Box ID** into the Enter Mail Box ID box, then click Next.
Note: The Mail Box ID must be 5-7 alpha-numeric characters and must start with ES to be considered valid.

Figure 8: Portal Request Application Access - Enter a Reason for Request



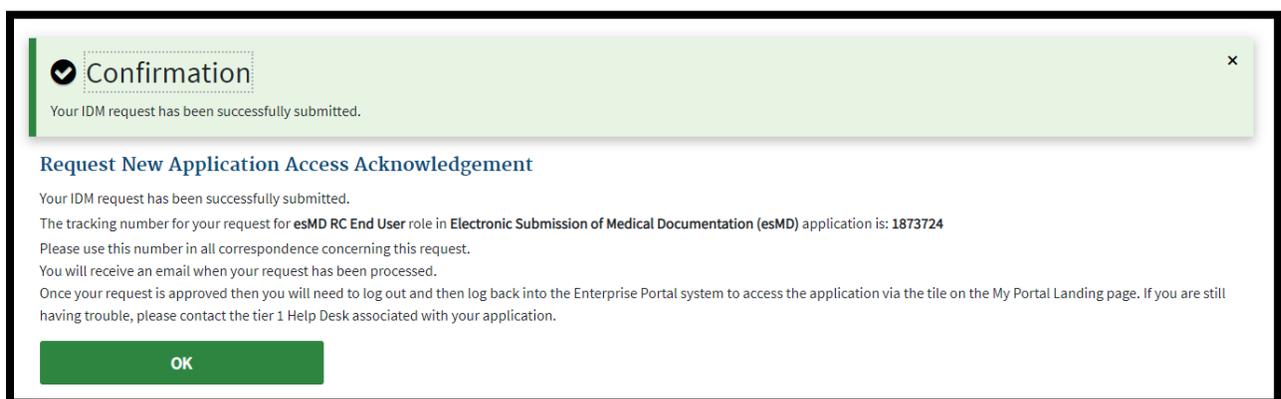
8. Enter a **justification statement** into the Enter Reason for Request box, then click the **Submit** button. The Confirmation window appears.

Figure 9: Portal Request Application Access: Confirmation Window



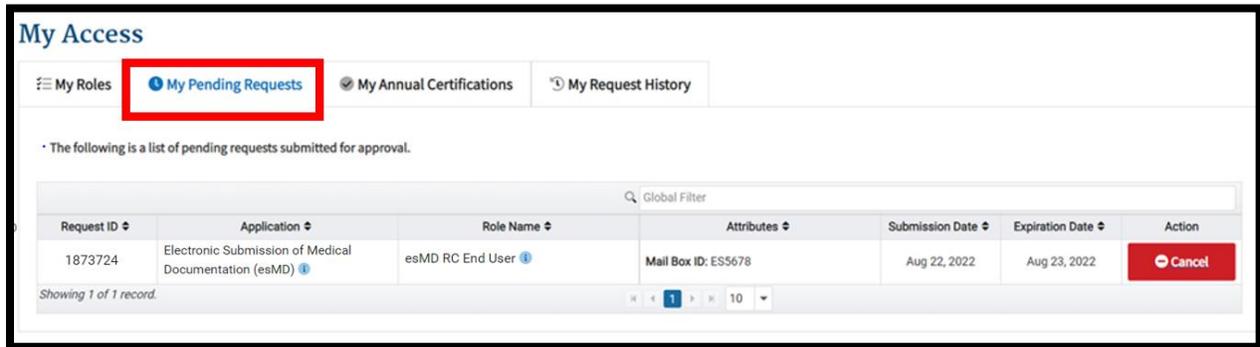
9. Click the **Ok** button. Portal displays a confirmation message that includes the requested role, the application, and a request tracking number.

Figure 10: Portal Request Application Access - Confirmation Message



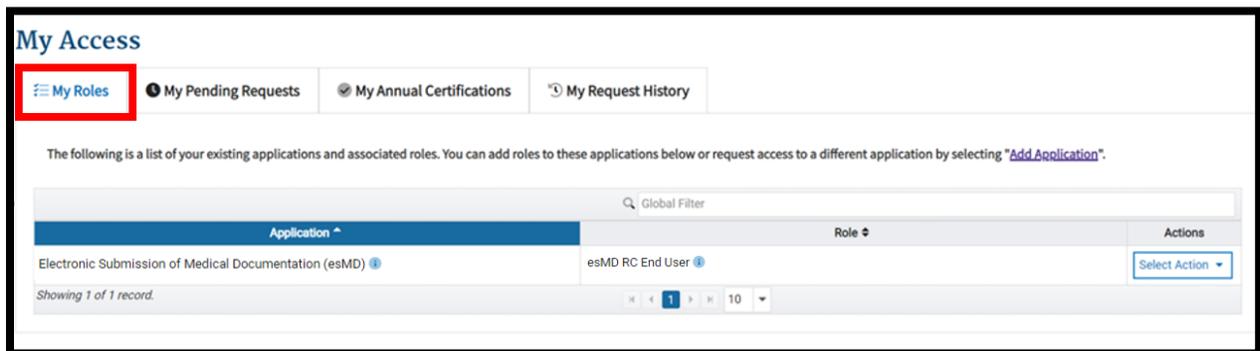
10. Click the **Ok** button. Portal displays the My Access window.
11. Users can click the **My Pending Requests** tab to view the status of the role they requested.

Figure 11: Portal Pending Role Request Information Window



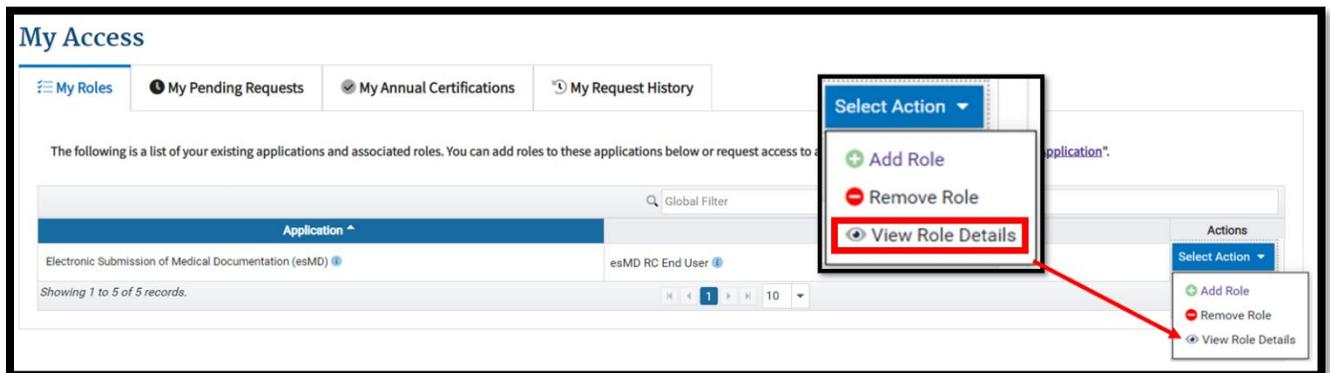
12. After the role request is approved, users can click the role is displayed under the **My Roles** tab to view the approved role for the esMD application.

Figure 12: Portal My Roles Information Window



13. Users can verify that they are entitled to the correct Mail Box by selecting **View Role Details** from the Select Actions menu.

Figure 13: Portal My Roles Window - View Role Details Option



14. When users select the **View Role Details** option, the Role Details window appears and displays the following summary information for the user's role:

- Application
- Role Name
- Role Assigned Date

- Role Details with the associated Mail Box ID details

Figure 14: Portal My Roles Window - Role Details Summary

Role Details

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

Role
esMD RC End User
The user with this role is a staff member who is trusted to perform Medicare business for the application
Role Assigned Date
Aug 22, 2022

Role Details
Mail Box ID
ES5678

5. Approvers & Helpdesk Users: How to Approve or Reject Role Requests

Role Request Approval/Rejection Overview

This section provides the procedure used by esMD Approver and esMD Helpdesk users to approve or reject the role requests they receive from users who have requested roles for the esMD application using the Portal UI as follows:

- The esMD Approver approves or rejects role requests from users that request the esMD Helpdesk role.
- Both the esMD Approver and esMD Helpdesk users approve or reject role requests from users that request the esMD RC End User role.

Note: Portal sends an email notification to approvers each time a user under their authority submits a role request using the Portal UI.

esMD Approvers and esMD Helpdesk users create must submit role requests for their respective roles using the procedure outlined in Section 4 How to Request a Role to Access the esMD Application

- esMD Approver user role requests are approved or rejected by the IDM Tier2 Helpdesk based on the consent of the esMD Application Business Owner.
- esMD Helpdesk user role requests are approved or rejected by the esMD Approver.

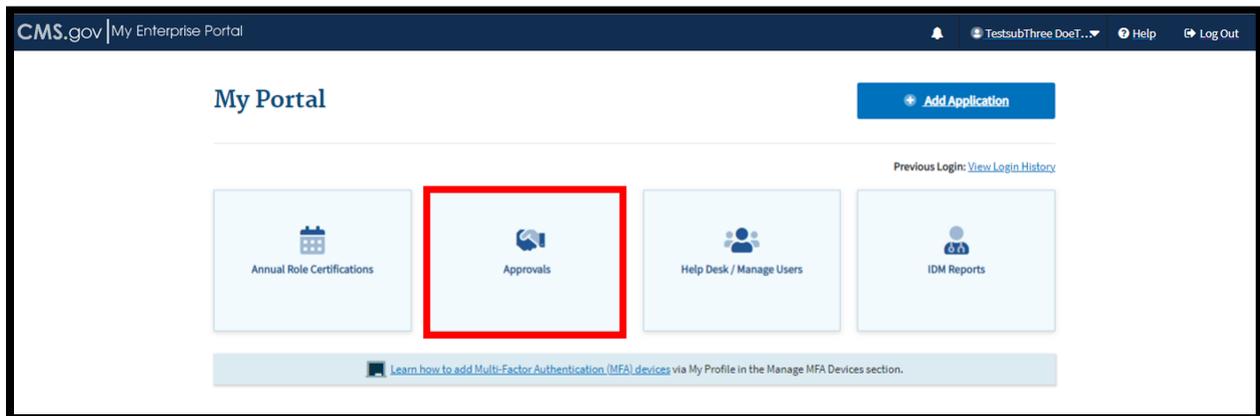
Note: Users who are participating in UAT must use the role approval/rejection procedure outlined in [Appendix A: Instructions for UAT Testers](#).

How to Approve or Reject Role Requests

esMD Approver and esMD Helpdesk users use the following procedure to approve or reject role requests.

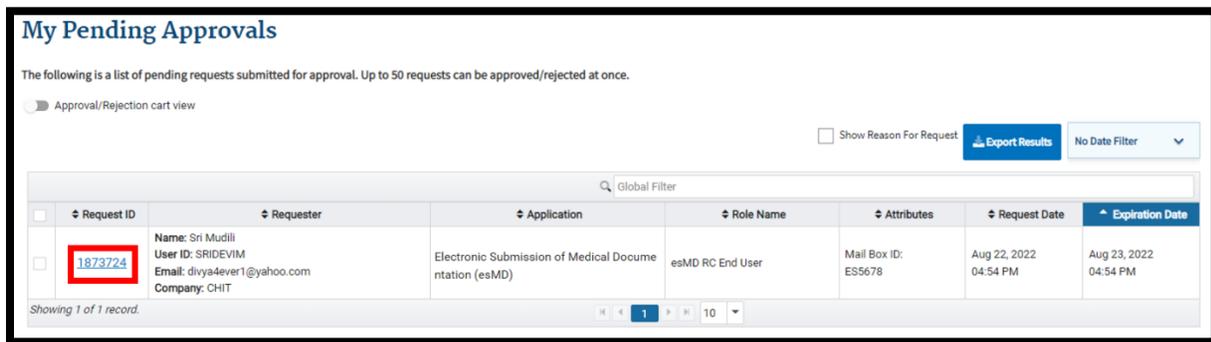
1. Log in to Portal by navigating to the Enterprise Portal public homepage at <https://portal.cms.gov/portal/> and following the procedure in Section 3 How to Log In to Portal. The My Portal window appears after successful log in.

Figure 15: My Portal Window - Approvals Tile



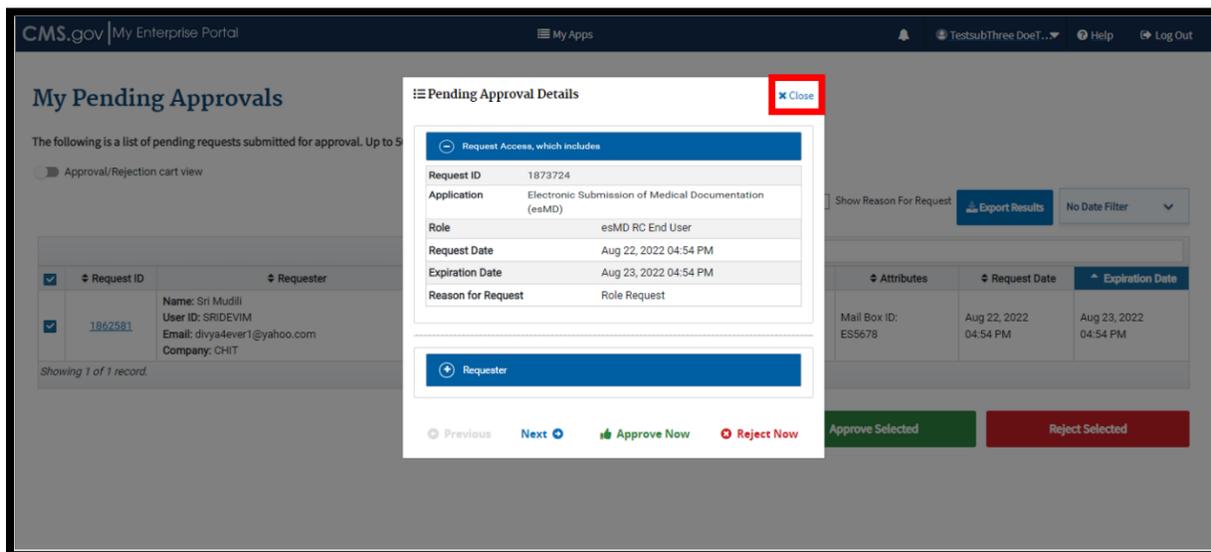
2. Click the Approvals tile. The My Pending Approvals window appears.

Figure 16: My Pending Approval Window



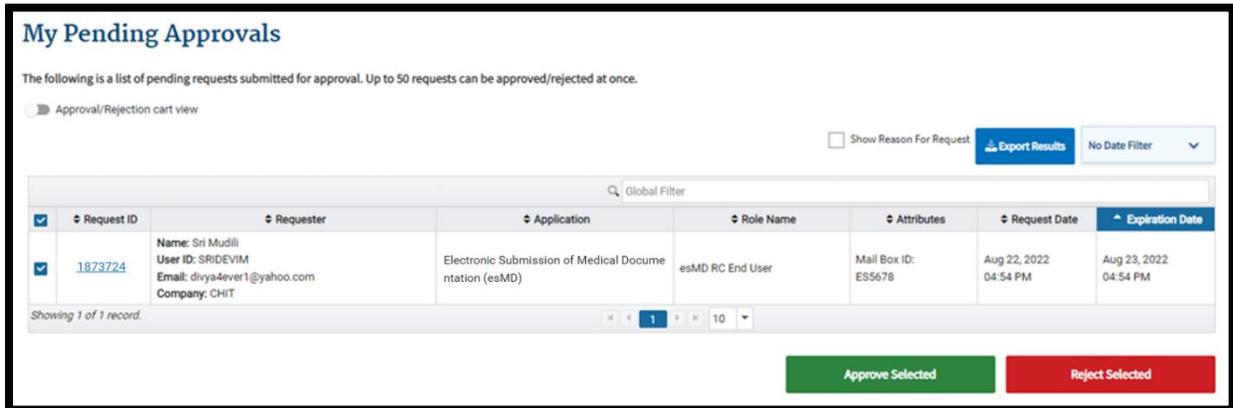
3. (Optional) Click the **Request ID** for a specific user. The Pending Approval Details window appears and displays the details for that user's role request.

Figure 17: Pending Approval Details Window



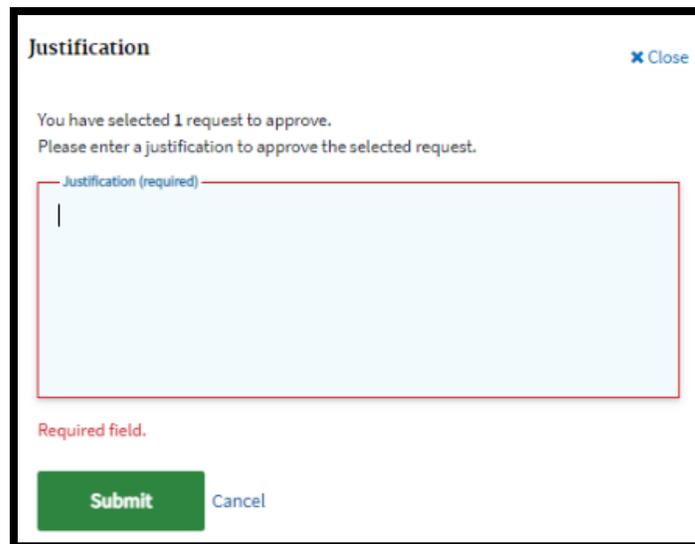
4. (Optional) Click the Approve Now or Reject Now button, then skip to Step 6.
5. Click the **Close** button to return to the My Pending Approvals window.
6. Click the **Check Box** adjacent to the Request ID for the role request that will be approved or rejected. The Approve Selected and Rejected buttons appear.

Figure 18: My Pending Approvals Window



7. Click the **Approve Selected** button to approve the role request, or click the **Reject Selected** button to reject the role request. The Justification window appears.

Figure 19: My Pending Approvals - Justification Window



8. Type a **justification** into the Justification box and then click the **Submit** button.
9. The Portal UI displays a confirmation message that indicates the approval or rejection operation was successful.

Appendix A: Instructions for UAT Testers

This Appendix provides procedures that are specific to users who participate in User Acceptance Testing.

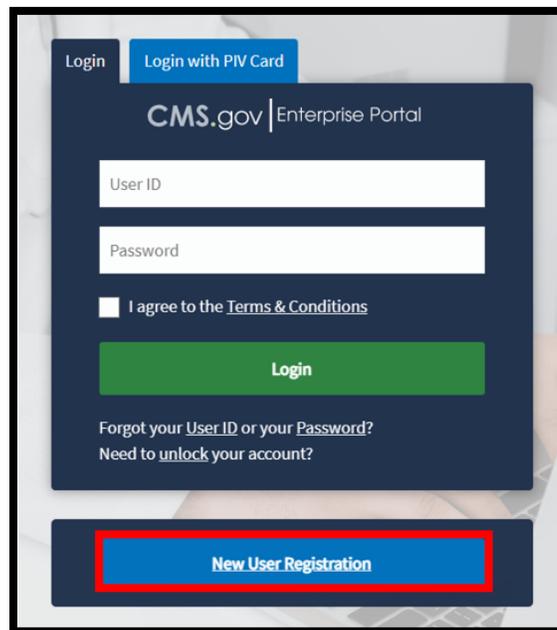
How Create and Register an Account in the Portal VAL Environment

Note: You must use your real email address to create and register an account in the Portal VAL environment. It is NOT necessary to use your real name or your real address unless specifically directed otherwise, in the Portal VAL environment.

New users must use the following procedure to create and register a Portal account in the Portal VAL environment:

1. Navigate to the Portal VAL environment homepage at <https://portalval.cms.gov/portal/> The login page appears.

Figure 20: Portal VAL Environment Login Page



2. Click the **New User Registration** button. The Select Your Application window appears.
3. Use the menu to select the **esMD** application.
4. Review the Terms and Conditions and Click the **“I agree to the Terms and Conditions”** check box.
5. Click the **Next** button. The Register Your Information window appears.
6. Enter the requested **personal and contact information**. Note that only the email address is required to be real. Other personal and contact information is not required

- to be real unless you are specifically directed otherwise. Additionally, all information is required unless it has been identified as optional. Also
7. Click the **Next** button. The Create User ID, Password & Security Question/Answer window appears.
 8. Create a **User ID** and **Password**, then select a **Security Question** and enter a **Security Answer**.
 9. Click the **Next** button. The New User Registration Summary window appears.
 10. Review and verify the account information, then click the **Submit User** button. A confirmation message is displayed.

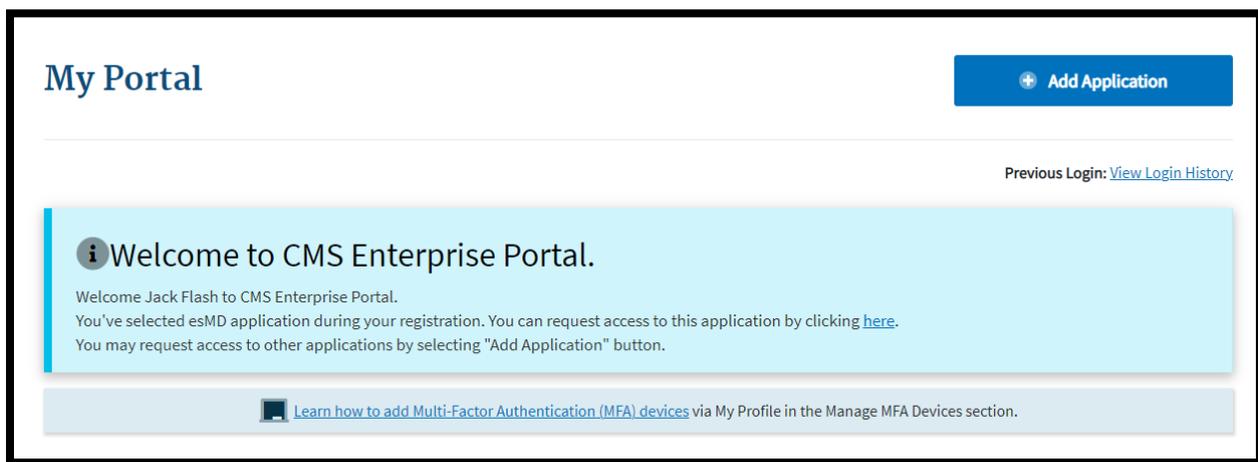
How to Log In to the Portal VAL Environment

This section provides the procedure for logging in and authenticating to the CMS Portal application.

Note: You must use your real email address and/or phone number when registering MFA devices in the Portal VAL environment.

1. Navigate to the Portal VAL environment public homepage at <https://portalval.cms.gov/portal/>. The login page appears as illustrated by Figure 20: Portal VAL Environment Login Page.
2. Enter the **User ID** and **Password**, click the “**I agree to the Terms & Conditions**” check box, then click the **Login** button. The Register MFA Device window appears.
3. New users must select at least one MFA device, then follow the on-screen prompts to register that device. Existing users can skip the registration step and proceed to Step 4.
4. Use the procedure for selected MFA device to complete the Portal log in process. The My Portal window appears. Note: You must use your real contact information to registers MFA devices.

Figure 21: The My Portal Window



How to Request a Role to Access the esMD Application in the Portal VAL Environment

This section provides the procedure for requesting a role in the esMD application in the Portal VAL environment.

Note: It is recommended that at least two UAT testers request and get approved for the esMD Helpdesk User Role. These users are responsible for approving the role requests that are submitted by the RC Client End Users.

Note: Users who are participating in UAT using the RC Client End User role must use their real Business Contact Information and Mailbox ID when such information is requested.

Note: Users who are participating in UAT must SKIP the Identity Verification Step. Identity Verification is only available in the Production (PROD) environment. Users who create test accounts in the Portal VAL environment must reach out to the esMD Application Helpdesk esMD_Support@cms.hhs.gov to undergo Manual Identity Verification in the Portal VAL environment BEFORE requesting a role.

- 1) Contact the esMD Application Helpdesk esMD_Support@cms.hhs.gov and provide the User ID for the user account that requires Manual Identity Proofing. Once the esMD Application Helpdesk indicates that Manual Proofing is complete, proceed to Step 2.
- 2) Navigate to the Portal VAL environment homepage at <https://portalval.cms.gov/portal/>. The login page appears as illustrated by Figure 20: Portal VAL Environment Login Page.
- 3) Log in to the Portal VAL environment using your UAT account credentials.
- 4) Once the My Portal window appears, continue with Step 2 of the procedure outlined in Section 4 How to Request a Role to Access the esMD Application.

How to Approve or Reject Role Requests in the Portal VAL Environment

This section provides the procedure for approving role requests for the esMD application in the Portal VAL environment.

- 1) Navigate to the Portal VAL environment homepage at <https://portalval.cms.gov/portal/>. The login page appears as illustrated by Figure 20: Portal VAL Environment Login Page.
- 2) Log in to the Portal VAL environment using your UAT account credentials.
- 3) Once the My Portal window appears, continue with Step 2 of the procedure outlined in Section 5 Approvers & Helpdesk Users: How to Approve or Reject Role Requests.

Appendix B: Record of Changes

Table 1: Record of Changes

Version Number	Date	Owner/Editor	Description of Change
1.0	08/30/2022	Sridevi Muthili / John Stevens	Created Initial Version of esMD Role Request Quick Reference Guide
1.1	09/21/2022	Sridevi Muthili / John Stevens	<p>Changes for AR2023.01.0</p> <ul style="list-style-type: none"> Added Appendix A - Instructions for Validation Testers. Updated Appendix D to reflect a new COR/Approver. Updated Section 4 to remove irrelevant information about EUA users.

Appendix C: Acronyms

Table 2: Acronyms

Acronym	Literal Translation
Aka	Also known as
CHIP	Children's Health Insurance Program
CMS	Centers for Medicare & Medicaid Services
esMD	Electronic Submission of Medical Documentation
EPS	Enterprise Portal System
EUA	Enterprise User Administration
FFS	Fee-For-Service
HIH	Health Information Handler
ISV	Internet Server
LOA	Level of Assurance
MFA	Multi-factor Authentication
PROD	Production
RC	Review Contractor
RIDP	Remote Identity Proofing
UI	User Interface

Appendix D: Approvals

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

Signature:

Date:

Print Name: Brenda Barksdale

Title: Contracting Officer's Representative

Role: CMS Approving Authority