



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

Enterprise Privacy Policy Engine (EPPE)



**Contractor DUA Training Slide Deck #5:
Requester DUA Re-assignment
and DUA Creation**

Contractor Requester Create DUA Training Topics

Training Topics in this Module

- EPPE Requester Approval Roles and Workflow
- Basic Information About EPPE
- EPPE Login
- DUA Re-assignment
- New/Re-use Requester DUA Creation
- DUA Queue Applicable to DUA Entry
 - My DUA(s) Menu Options
 - Unfinished
 - Submitted
 - Pending Actions
 - Approved
 - Denied

EPPE REQUESTER ROLES AND WORKFLOW

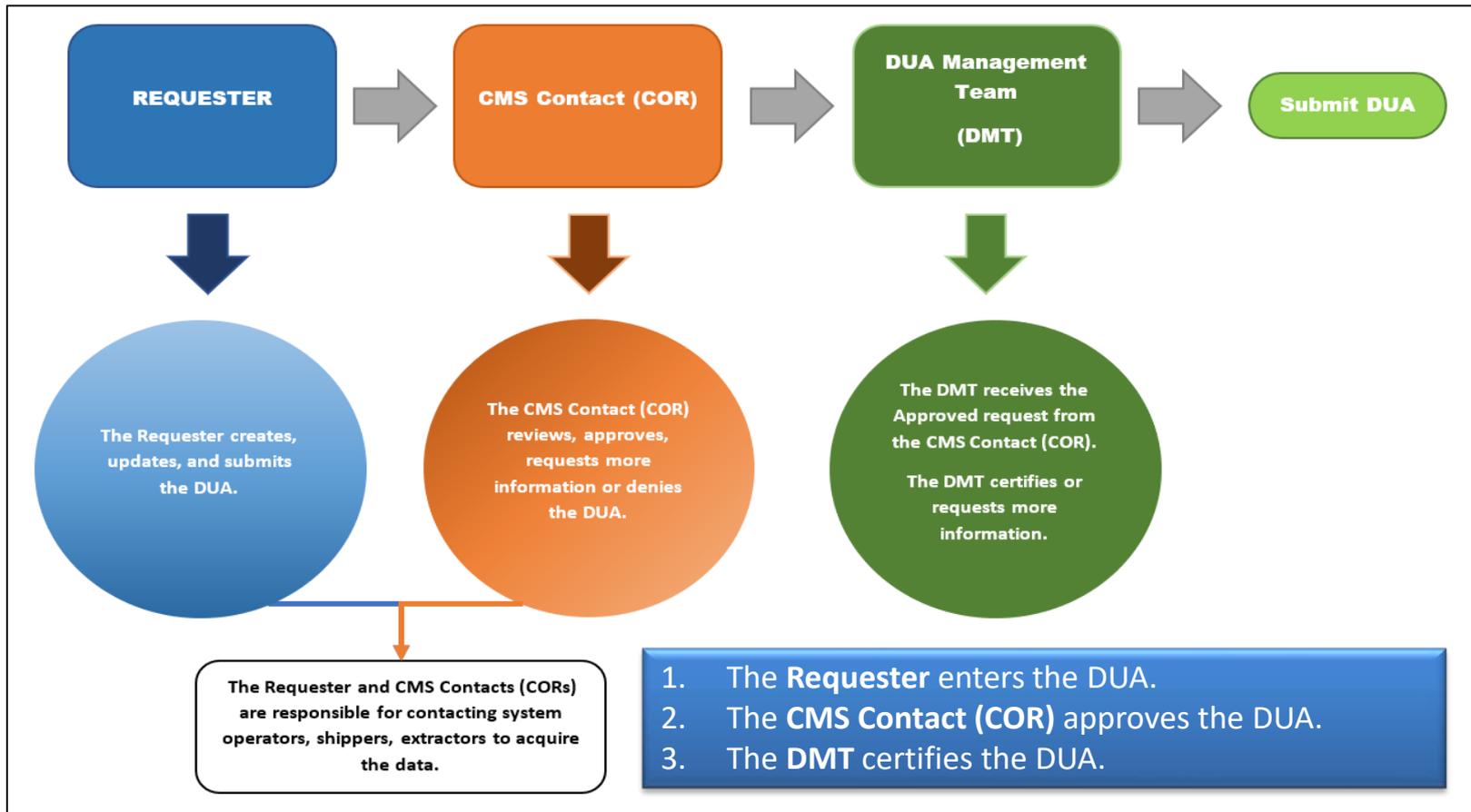
Requester Contractor DUA Workflow Roles

EPPE Roles

- **EPPE Roles Associated with Contractor DUAs**
 - **Requester:** Creates, Updates, and Submits the DUA
 - **CMS Contact (COR):** Approves, Requests More Information, or Denies the DUA
 - **DMT (DUA Management Team):** Certifies the DUA or Requests more information

Requester Contractor DUA Approval Workflow

EPPE Requester Contractor DUA High Level Workflow



BASIC INFORMATION AND LOGGING INTO EPPE

Basic Information About EPPE

Icons Used Throughout the EPPE System



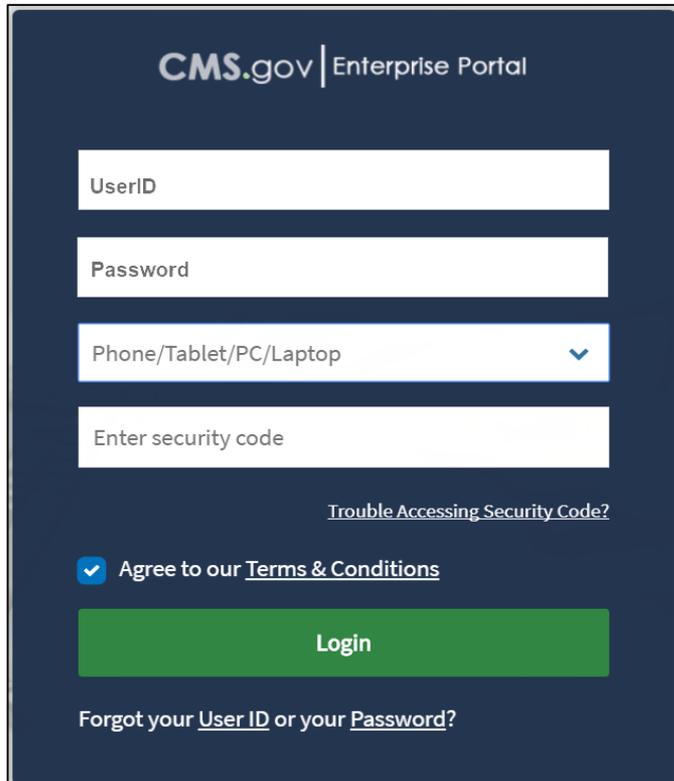
A red asterisks denotes that a field is required to be entered.



The question mark icon when selected will display field specific help.

EPPE Login

Login to EPPE as a DUA Requester



The screenshot shows the login interface for the CMS.gov Enterprise Portal. It features a dark blue background with white text and input fields. The fields are labeled 'UserID', 'Password', 'Phone/Tablet/PC/Laptop' (with a dropdown arrow), and 'Enter security code'. Below the fields is a link for 'Trouble Accessing Security Code?'. A checkbox labeled 'Agree to our Terms & Conditions' is checked. A green 'Login' button is positioned below the checkbox. At the bottom, there is a link for 'Forgot your User ID or your Password?'.

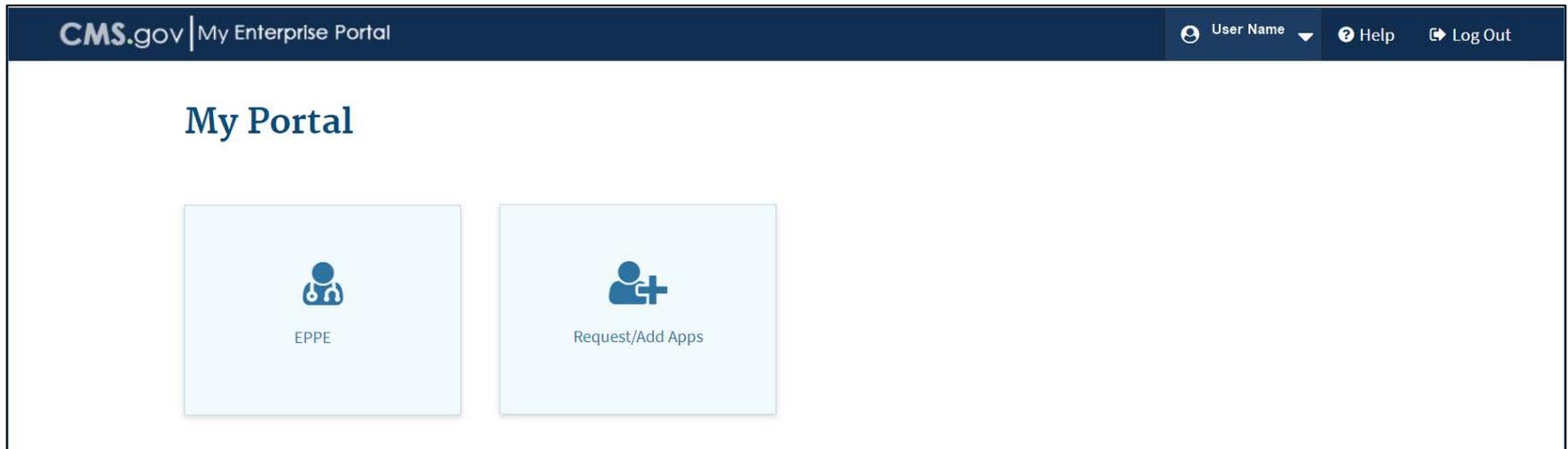


1. Access the **CMS Enterprise Portal** once your **DUA Requester** role has been approved
2. Enter your **User ID**
3. Enter Your **Password**
4. Choose the **MFA Device**
5. Enter the **Security Code** from the **VIP Access Software**
6. Select the **Agree to our Terms & Conditions** button
7. Select **Login**

Note: The **MFA Device** selection field and the **Security Code** field display after entering the **User ID** and **MFA Device** respectively.

EPPE Login

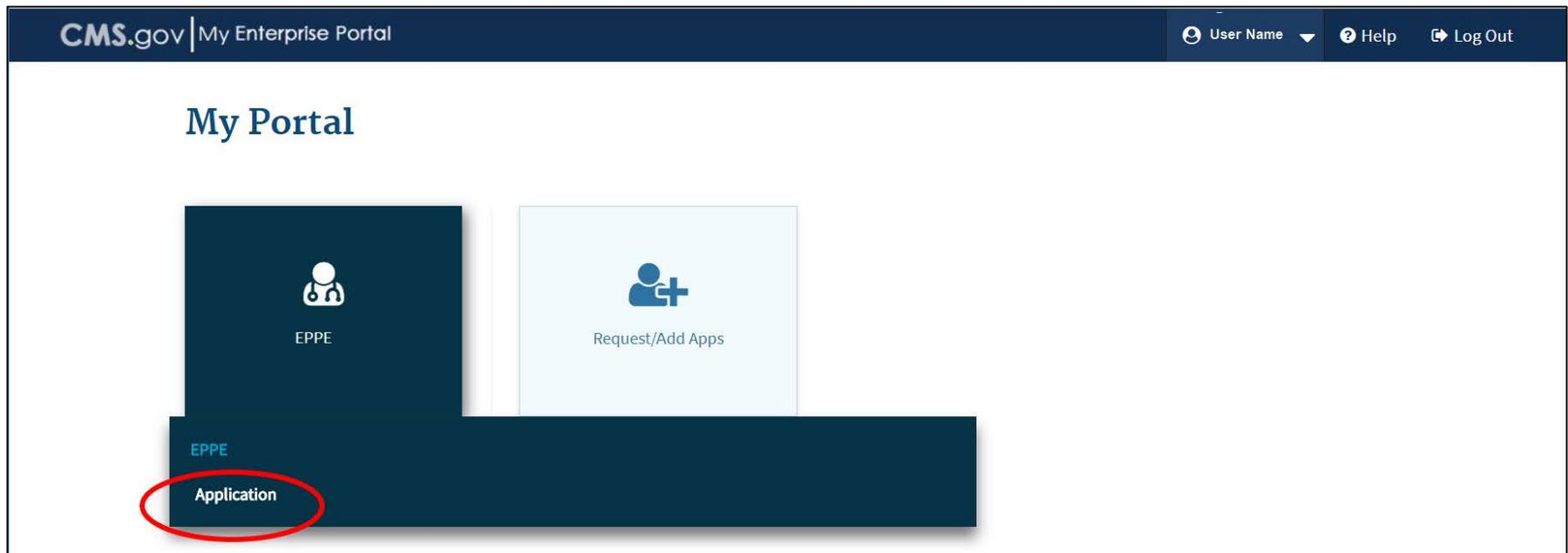
CMS Portal: Access the EPPE Application



1. The **CMS Portal Welcome Screen** displays.
2. Select the **EPPE** tile

EPPE Login

CMS Portal: Access the EPPE Application



Select **Application** to access the **EPPE** system

EPPE Login

EPPE Welcome Screen and Menu

The screenshot displays the Enterprise Privacy Policy Engine (EPPE) interface. At the top, the CMS.gov logo and "My Enterprise Portal" are visible on the left, and "My Apps", "User Name", "Help", and "Log Out" are on the right. The main heading is "Enterprise Privacy Policy Engine". On the left is a vertical "EPPE Menu" with items: Home, DUA(s), New! Hit Use, Update Request, Close, Failed, My DUA(s), Do I Need, Submitted, Pending Action(s), Approval, Export, Closed, Denied, Hit Assign DUA(s), Change Contact, Ad Hoc Request, Search, DUA Search, My Account, Manage Account, My Preferences, and Email Preferences. The main content area is titled "Welcome to EPPE" and contains a message about the application's purpose and goals. A red circle highlights the text "Logged in as: DUA REQUESTER" in the top right corner.

Enterprise Privacy Policy Engine

EPPE Home

DUA(s)

New! Hit Use

Update Request

Close

Failed

My DUA(s)

Do I Need

Submitted

Pending Action(s)

Approval

Export

Closed

Denied

Hit Assign DUA(s)

Change Contact

Ad Hoc Request

Search

DUA Search

My Account

Manage Account

My Preferences

Email Preferences

Logout

Welcome to EPPE

EPPE is an application that streamlines the process of requesting data from the Center for Medicare & Medicaid Services (CMS) via an online Data Use Agreement (DUA).

Goals:

- Reduce the amount of time to process a DUA.
- Transition from a paper based to an electronic process.
- Provide a CMS internal record of DUA data distribution.

Training Materials: Visit the EPPE info page on cms.gov to download Training Slide Decks for the following:

- Contractor Approval Workflow

The completion of your DUA(s) assignment is essential. You will receive a follow up email notification if the DUA(s) that have been assigned with instructions on how to follow up if there are missing DUA(s).

Version 2.0

Logged in as: DUA REQUESTER

The EPPE Welcome Screen displays with the EPPE Menu for the DUA Requester.

DUA RE-ASSIGNMENT

DUA Re-Assignment – Requester’s Initial Log-in

EPPE Welcome Screen – DUA Re-Assignment Table

Welcome to EPPE

EPPE is an application that streamlines the process of requesting data from the Centers for Medicare & Medicaid Services (CMS) via an online Data Use Agreement (DUA).

Goals:

- Reduce the amount of time to process a DUA.
- Transition from a paper-based to an automated process.
- Provide a 100% accessible record of CMS data disclosures.

Training Materials: Visit the EPPE web page on cms.gov to download Training Slide Decks for the following:

- Contractor Approval Workflow.

Version: 99.0

MY REASSIGNED DUA

DUA Number	Organization	Customer Type	Requester	Status	Action
CONT-2018-02051	NEW TRAINING COMPANY	Contractor	User Name	Approved	View

Showing 1 to 1 of 1 entries Previous Next

ACKNOWLEDGEMENT STATEMENT

I accept the above DUA(s)

I agree.

1. Requester logs into the EPPE system for the first time.
2. A list of DUAs created for that Requester under the data entry role is displayed.
3. Requester selects “I agree” and selects “Accept.”
4. DUAs now move into the Requester respective queues.

Note: You will not be able to create, update, extend, or close any DUAs until taking ownership of re-assigned DUAs

DUA Re-Assignment – Change Contact

DUA Re-Assignment – Request From Same Organization

The screenshot displays the CMS.gov My Enterprise Portal interface for the Enterprise Privacy Policy Engine (EPPE). The top navigation bar includes the CMS.gov logo, 'My Apps', and user options like 'User Name', 'Help', and 'Log Out'. The main content area is titled 'Enterprise Privacy Policy Engine' and shows a 'Welcome to EPPE' message. The left sidebar contains a menu with various options, including 'Change Contact', which is highlighted with a red box. The main content area also includes a 'Goals' section with a bulleted list and a 'Training Materials' section with a link to 'Training Slide Decks'. The user is logged in as 'DUA REQUESTER'.

Enterprise Privacy Policy Engine

Logged in as: DUA REQUESTER

EPPE Home

DUA(s)

New / Re-Use

Update / Amend

Close

Extend

My DUA(s)

Un-Finished

Submitted

Pending Action(s)

Approved

Expired

Closed

Denied

Re-Assign DUA(s)

Change Contact

Ad Hoc Request

Search

DUA Search

My Access

Manage Access

My Preference(s)

Email Preference

Exit EPPE

Welcome to EPPE

EPPE is an application that streamlines the process of requesting data from the Centers for Medicare & Medicaid Services (CMS) via an online Data Use Agreement (DUA).

Goals:

- Reduce the amount of time to process a DUA.
- Transition from a paper-based to an automated process.
- Provide a 100% traceable record of CMS data disclosures.

Training Materials: Visit the EPPE web page on cms.gov, to download [Training Slide Decks](#) for the following:

- Contractor Approval Workflow.

The acceptance of your DUA(s) re-assignment was successful. You will receive a follow-up email notification of the DUA(s) that have been re-assigned with instructions on how to follow-up if there are missing DUAs.

Version 27.0

The Requester can request or assign DUAs within their organization through the “Change Contact” process.

DUA Re-Assignment – Change Contact

DUA Re-Assignment – Request From Same Organization

EPPE Home

DUA(s)

New / Re-Use

Update / Amend

Close

Extend

My DUA(s)

Un-Finished

Submitted

Pending Action(s)

Approved

Expired

Closed

Denied

Re-Assign DUA(s)

Change Contact

Ad Hoc Request

Logged in as: DUA REQUESTER

Switch To: Select an Option

CHOOSE CHANGE CONTACT TYPE

Required fields are marked with an asterisk (*).

Choose the option to Request / Assign DUA (s) *

Request a DUA from same organization ?

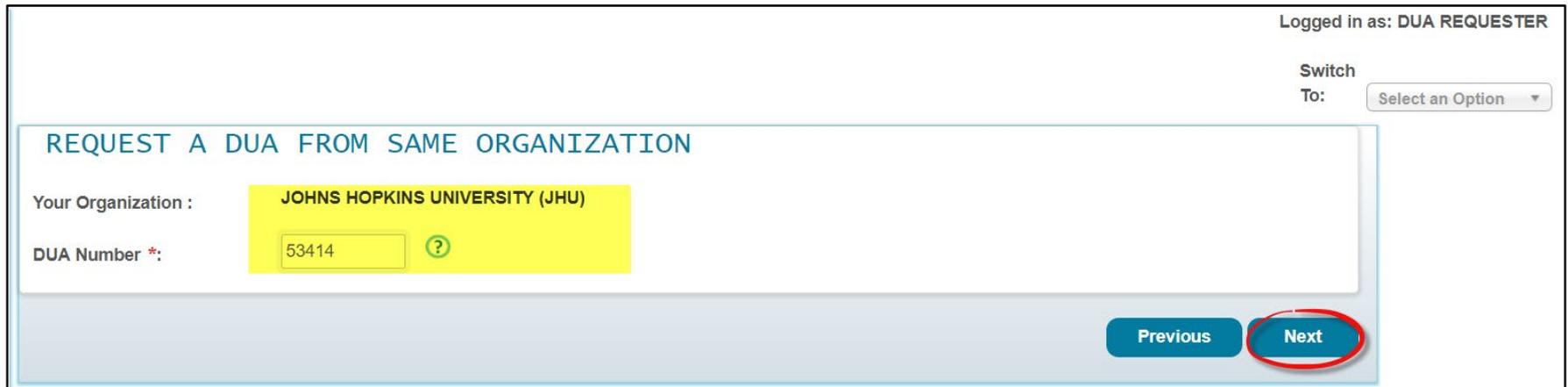
Assign a DUA to Requester from same organization ?

Next

1. Requester selects “Change Contact” from the left navigation menu.
2. Select “Request a DUA from same Organization.”
3. Select “Next.”

DUA Re-Assignment – Change Contact

DUA Re-Assignment – Request From Same Organization



The screenshot shows a web interface for requesting a DUA. At the top right, it says "Logged in as: DUA REQUESTER". Below that is a "Switch To:" dropdown menu with "Select an Option" and a downward arrow. The main content area is titled "REQUEST A DUA FROM SAME ORGANIZATION". It contains two fields: "Your Organization:" with a yellow background and the text "JOHNS HOPKINS UNIVERSITY (JHU)", and "DUA Number *:" with a text input field containing "53414" and a question mark icon. At the bottom right, there are two buttons: "Previous" and "Next", with the "Next" button circled in red.

1. Your organization is pre-populated. A drop-down will appear if you are a requester for multiple organizations for you to select your organization.
2. Enter a DUA number.
3. Select "Next."

DUA Re-Assignment – Change Contact

DUA Re-Assignment – Request From Same Organization

UPLOAD DOCUMENTS

You may upload one or more documents.

Add Files : No file chosen

Add Description : 2000 characters remaining (2000 maximum)

S.No	Document	Document Description	Uploaded Files
1	CERTIFICATE_OF_DISPOSITION.docx		Download Delete

1. Select "Choose Files."
2. Select a file to upload and select "Upload."
3. Select "Next."

DUA Re-Assignment – Change Contact

DUA Re-Assignment – Request From the Same Organization

Logged in as: DUA REQUESTER

Switch
To:

DUA Re-Assignment request for DUA 53414 has been successfully submitted.

CHOOSE CHANGE CONTACT TYPE

Required fields are marked with an asterisk (*).

Choose the option to Request / Assign DUA (s) *

Request a DUA from same organization ?

Assign a DUA to Requester from same organization ?

Next

1. Status message is displayed, “DUA Re-Assignment ##### has been successfully submitted.
2. DUA Re-Assignment request is routed to the CMS Contact (COR) for approval.

DUA Re-Assignment – Change Contact

DUA Re-Assignment – Assign Within the Same Organization

The screenshot displays the CMS.gov My Enterprise Portal interface. The top navigation bar includes the CMS.gov logo, "My Enterprise Portal", "My Apps", and user options like "User Name", "Help", and "Log Out". The main content area is titled "Enterprise Privacy Policy Engine" and shows a "Welcome to EPPE" message. The message text states: "EPPE is an application that streamlines the process of requesting data from the Centers for Medicare & Medicaid Services (CMS) via an online Data Use Agreement (DUA)." It lists goals: "Reduce the amount of time to process a DUA", "Transition from a paper-based to an automated process", and "Provide a 100% traceable record of CMS data disclosures." It also mentions training materials and a successful re-assignment notification. A sidebar on the left contains navigation links: "EPPE Home", "DUA(s)", "New / Re-Use", "Update / Amend", "Close", "Extend", "My DUA(s)", "Un-Finished", "Submitted", "Pending Action(s)", "Approved", "Expired", "Closed", "Denied", "Re-Assign DUA(s)", "Change Contact" (highlighted with a red box), "Ad Hoc Request", "Search", "DUA Search", "My Access", "Manage Access", "My Preference(s)", "Email Preference", and "Exit EPPE". The user is logged in as "DUA REQUESTER".

The Requester can request or assign DUAs within their organization through the “Change Contact” process.

DUA Re-Assignment – Change Contact

DUA Re-Assignment –Assign Within the Same Organization

Logged in as: DUA REQUESTER

Switch To:

CHOOSE CHANGE CONTACT TYPE

Required fields are marked with an asterisk (*).

Choose the option to Request / Assign DUA (s) *

Request a DUA from same organization ?

Assign a DUA to Requester from same organization ?

Next

1. Requester selects radio button, “Assign a DUA to Requester from same organization.”
2. Requester select “Next.”

DUA Re-Assignment – Change Contact

DUA Re-Assignment – Assign Within the Same Organization

Logged in as: DUA REQUESTER

Switch To:

ASSIGN A DUA TO REQUESTER FROM SAME ORGANIZATION

Your Organization : Automation Testing University

DUA Number *: ?

Requester *: x ?

1. Requester's organization is pre-populated. A drop-down will appear if you are a requester for multiple organizations for you to select your organization.
2. Requester selects "Next."
3. Enter the DUA number.
4. Select Requester from the drop-down.
5. Select "Next."

DUA Re-Assignment – Change Contact

DUA Re-Assignment – Assign Within the Same Organization

Re-Assign DUA(s)

Current Requester :	Mitesh Pandya
Current Requester's Email :	mitesh.pandya@eppe.com
Current Requester's Phone Number :	(410) 782-0476
Current Organization Name :	Automation Testing University
Reassigned Requester :	Bob Marley
Reassigned Requester's Email :	test@test.com
Reassigned Requester's Phone Number :	(123) 456-7890
Reassigned Organization Name :	Automation Testing University

[Previous](#) [Submit](#)

1. Re-assigned summary page is displayed showing the current requester and the re-assigned Requester's name.
2. Requester selects "Submit."

DUA Re-Assignment – Change Contact

DUA Re-Assignment – Assign Within the Same Organization

DUA Re-Assignment request for DUA 52365 has been successfully submitted.

CHOOSE CHANGE CONTACT TYPE

Required fields are marked with an asterisk (*).

Choose the option to Request / Assign DUA (s) *

Request a DUA from same organization ?

Assign a DUA to Requester from same organization ?

Next

1. Requester is returned to the “Change Contact” screen where the status of their current action is displayed at the top of the screen.

DUA Re-Assignment – Ad Hoc Request

DUA Re-Assignment – Ad Hoc Request

The screenshot displays the Enterprise Privacy Policy Engine (EPPE) interface. The top header reads "Enterprise Privacy Policy Engine". On the right side, it indicates "Logged in as: DUA REQUESTER" and a "Switch To:" dropdown menu with "Select an Option" selected. The left navigation menu includes the following items: "EPPE Home", "DUA(s)", "New / Re-Use", "Update / Amend", "Close", "Extend", "My DUA(s)", "Un-Finished", "Submitted", "Pending Action(s)", "Approved", "Expired", "Closed", "Denied", "Re-Assign DUA(s)", "Change Contact", "Ad Hoc Request" (highlighted in yellow), and "Search". The main content area features a "Welcome to EPPE" message, a description of the application's purpose, a list of goals, and training materials. The version number "Version 24.0" is visible in the bottom right corner of the main content area.

Welcome to EPPE

EPPE is an application that streamlines the process of requesting data from the Centers for Medicare & Medicaid Services (CMS) via an online Data Use Agreement (DUA).

Goals:

- Reduce the amount of time to process a DUA.
- Transition from a paper-based to an automated process.
- Provide a 100% traceable record of CMS data disclosures.

Training Materials: Visit the EPPE web page on cms.gov, to download [Training Slide Decks](#) for the following:

- Contractor Approval Workflow.

Version 24.0

1. Requester logs into EPPE.
2. Selects Ad Hoc Request from the left navigation menu.

DUA Re-Assignment – Ad Hoc Request

DUA Re-Assignment – Ad Hoc Request

REQUEST A DUA FROM DIFFERENT ORGANIZATION

Your Organization : **JOHNS HOPKINS UNIVERSITY (JHU)**

DUA Number : * ?

Upload one or more supporting documents : *

Add Files : No file chosen

Add Description :
2000 characters remaining (2000 maximum)

S.No	Document	Document Description	Uploaded Files
1	Acquisition_of_Company_Document.docx	This document is provided to support this request	Download Delete

1. Requester's organization displays.
2. Enters the DUA number.
3. Uploads supporting documentation and selects "Submit."

Note: If request belongs to multiple organizations, they would select organization from a drop-down.

DUA Re-Assignment – Ad Hoc Request

DUA Re-Assignment – Ad Hoc Request

DUA Re-Assignment request for DUA 52096 has been successfully submitted.

REQUEST A DUA FROM DIFFERENT ORGANIZATION

Your Organization : **JOHNS HOPKINS UNIVERSITY (JHU)**

DUA Number : * ?

Upload one or more supporting documents : *

Add Files : No file chosen

Add Description :
2000 characters remaining (2000 maximum)

1. Requester is returned to the Ad Hoc request home page.
2. Ad Hoc request is submitted to the EPPE Admin for approval.

CREATING A DUA

DUA Requester – New Contractor DUA Request

EPPE Home Screen: DUA(s) Menu

The screenshot displays the EPPE Home Screen. At the top, there is a navigation bar with 'CMS.gov | My Enterprise Portal' on the left, 'My Apps' in the center, and 'User Name', 'Help', and 'Log Out' on the right. Below the navigation bar, the main content area is titled 'Enterprise Privacy Policy Engine'. On the left side, there is a vertical menu with several options: 'EPPE Home', 'DUA(s)', 'New / Re-Use' (highlighted with a red box), 'Update / Amend', 'Close', 'Enroll', 'My DUA(s)', 'On Hold', 'Submitted', 'Pending Action(s)', 'Approval', 'Expired', 'Closed', 'Denied', 'Re-Assign DUA(s)', 'Change Contact', 'Add New Request', 'Search', 'DUA Search', 'My Access', 'Manage Access', 'My Preferences', and 'Email Preference'. The main content area features a 'Welcome to EPPE' message, a description of the application, a list of goals, and a list of training materials. The user is logged in as 'DUA REQUESTER'.

Select **New / Re-Use** to begin a new DUA.

DUA Requester – New Contractor DUA Request

DUA Type Selection

New / Re-Use DUA Request

DUA TYPE

Required fields are marked with an asterisk ().*

What type of New or Re-Use DUA do you wish to request? *

Contractor ?

Quit Next

1. The **DUA Type Screen** for the **New/Re-Use DUA Request** Screen displays.
2. Select the **Contractor** radio button
3. Select **Next**

DUA Requester – New Contractor DUA Request

Add Sub-Contracting Organization

The screenshot shows a web form titled "New / Re-Use DUA Request". The main heading is "ORGANIZATION(S)". Below this, it states "Required fields are marked with an asterisk (*)". The current organization is "NORTH CAROLINA STATE UNIVERSITY". A question asks "Do you wish to add/remove a sub-contracting organization(s) for this DUA request?" with radio buttons for "YES" (selected) and "NO". A help icon is next to "NO". Below this, instructions explain how to use the search field and the "Add" button, and mention a "Cannot Locate Organization" link. The "Select Sub-Contracting Organization" field contains "university of north carolin" and a dropdown menu is open, listing several options: "UNIVERSITY OF NORTH CAROLINA", "UNIVERSITY OF NORTH CAROLINA - CHAPEL HILL", "UNIVERSITY OF NORTH CAROLINA - GREENSBORO", "UNIVERSITY OF NORTH CAROLINA (UNC)", "UNIVERSITY OF NORTH CAROLINA - CHARLOTTE", and "UNIVERSITY OF NORTH CAROLINA". A "Cannot locate the Organization?" link with a help icon is also present. At the bottom, there is a table with two columns: "Sub-Contracting Organization Name" and "Action". Navigation buttons "Save", "Quit", "Previous", and "Next" are at the bottom of the form.

1. Answer **Yes** to select a **Sub-contracting Organization**
2. Enter the **Sub-Contracting Organization** name
3. Select the sub-contracting organization from the drop-down list.
4. Select **Add**

Note: You must select the organization from the list.

DUA Requester – New Contractor DUA Request

Sub-Contracting Organization Displays in Table

New / Re-Use DUA Request

ORGANIZATION(S)

Required fields are marked with an asterisk ().*

Your Organization : NORTH CAROLINA STATE UNIVERSITY

Do you wish to add/remove a sub-contracting organization(s) for this DUA request?

YES NO [?](#)

Use the Sub-Contracting Organization (autocomplete search field) to select an organization and then click **Add** button to add the sub-contracting organization to the DUA Request. Repeat the process to add additional sub-contracting organizations to the DUA Request. If the organization is not located in the search list, select **Cannot Locate Organization** link. The selected sub-contracting organizations on the DUA request are shown in the table.

Select Sub-Contracting Organization *:

Search by entering at least 3 characters [Cannot locate the Organization? ?](#)

Add

Selected Sub-Contracting Organizations

	Sub-Contracting Organization Name	Action
1	UNIVERSITY OF NORTH CAROLINA	Remove

Save **Quit** **Previous** **Next**

1. After selecting the **Add** button, the **Sub-Contracting Organization** is added to the selection table.
2. Select **Next**

Note: You can select the **Remove** link to remove the sub-contracting organization from the table.

DUA Requester – New Contractor DUA Request

Add New Sub-Contracting Organization

New / Re-Use DUA Request

ORGANIZATION(S)

Required fields are marked with an asterisk ().*

Your Organization : **NORTH CAROLINA STATE UNIVERSITY**

Do you wish to add/remove a sub-contracting organization(s) for this DUA request?

YES NO [?](#)

Use the Sub-Contracting Organization (autocomplete search field) to select an organization and then click **Add** button to add the sub-contracting organization to the DUA Request. Repeat the process to add additional sub-contracting organizations to the DUA Request. If the organization is not located in the search list, select **Cannot Locate Organization** link. The selected sub-contracting organizations on the DUA request are shown in the table.

Select Sub-Contracting Organization *:

[Cannot locate the Organization? ?](#)

Selected Sub-Contracting Organizations

Sub-Contracting Organization Name	Action
-----------------------------------	--------

Select the **Cannot locate the Organization?** link to create a sub-contracting organization that is not listed.

DUA Requester – New Contractor DUA Request

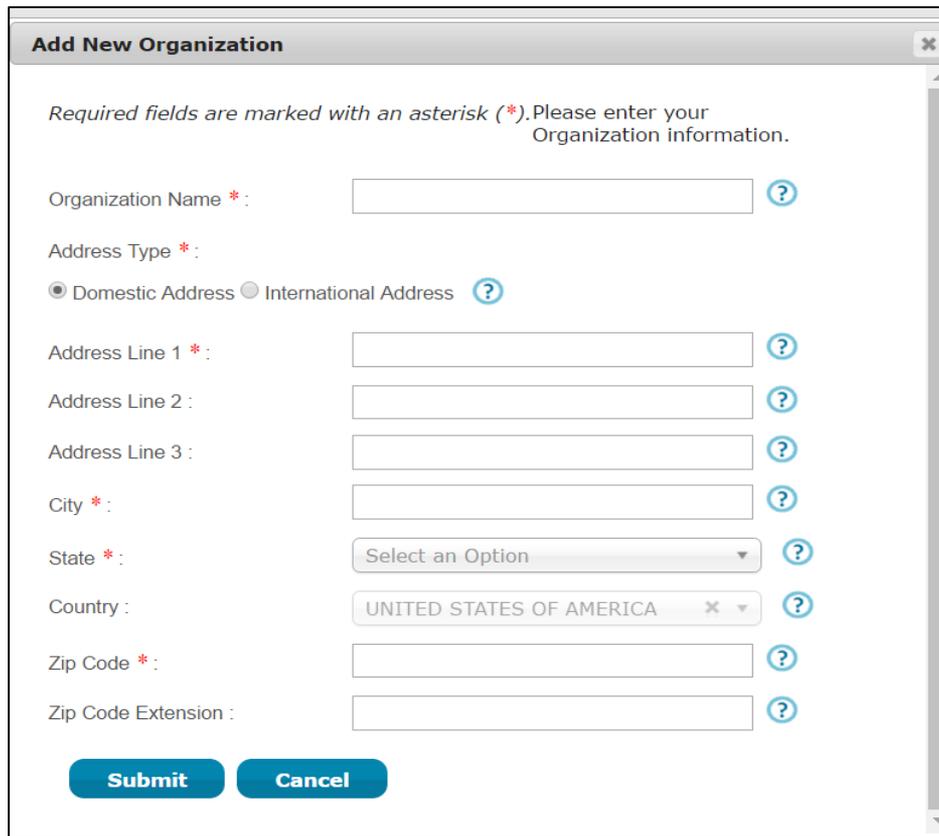
Add New Sub-Contracting Organization

The screenshot shows a web form titled "New / Re-Use DUA Request". The main heading is "ORGANIZATION(S)". Below this, there is a note: "Required fields are marked with an asterisk (*)". The form displays "Your Organization : NORTH CAROLINA STATE UNIVERSITY". A question asks: "Do you wish to add/remove a sub-contracting organization(s) for this DUA request?". The "YES" radio button is selected. Below this, there is a search box for "Sub-Contracting Organization" and an "Add" button. A pop-up dialog box titled "Organization" is open, displaying the text: "You can submit a request for a new organization, however it will be available for you to select only upon approval. Do you wish to request for a new organization?". The dialog has "Yes" and "No" buttons. At the bottom of the form, there are "Save", "Quit", "Previous", and "Next" buttons.

1. The **Organization** pop-up message displays a question asking if you want to request a new organization.
2. Select the **Yes** button to add a new sub-contracting organization

DUA Requester – New Contractor DUA Request

Add New Sub-Contracting Organization Information



The screenshot shows a web form titled "Add New Organization" with a close button (X) in the top right corner. Below the title is a message: "Required fields are marked with an asterisk (*). Please enter your Organization information." The form contains the following fields and controls:

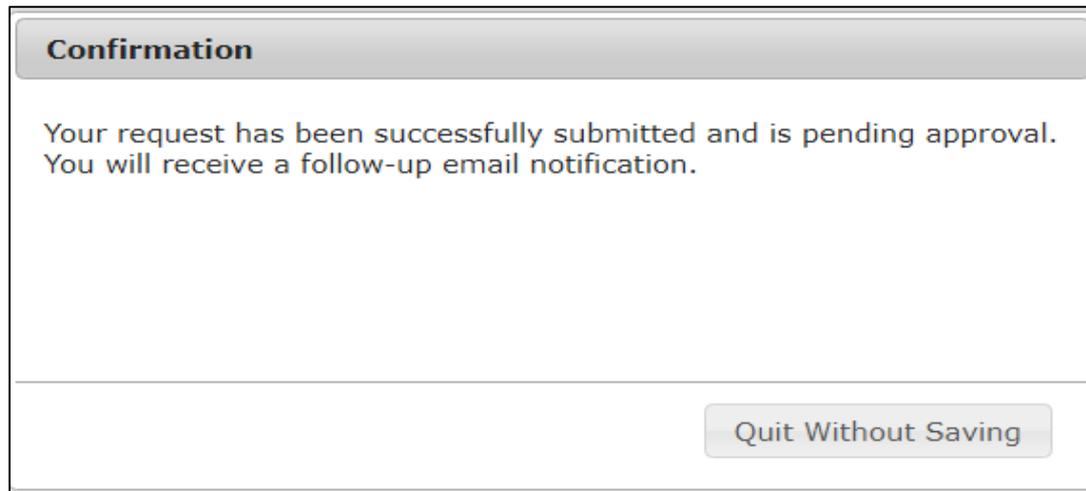
- Organization Name *: Text input field with a help icon (?)
- Address Type *: Radio buttons for "Domestic Address" (selected) and "International Address" with a help icon (?)
- Address Line 1 *: Text input field with a help icon (?)
- Address Line 2: Text input field with a help icon (?)
- Address Line 3: Text input field with a help icon (?)
- City *: Text input field with a help icon (?)
- State *: Dropdown menu with "Select an Option" and a help icon (?)
- Country: Dropdown menu with "UNITED STATES OF AMERICA" and a help icon (?)
- Zip Code *: Text input field with a help icon (?)
- Zip Code Extension: Text input field with a help icon (?)

At the bottom of the form are two buttons: "Submit" and "Cancel".

1. The **Add New Organization** pop-up displays.
2. Enter the **Organization** information
 - **Organization Name**
 - **Address Type:**
 - **Domestic (default)**
 - **International**
 - **Address**
 - **City**
 - **State**
 - **Country**
 - **United States of America (default)**
 - **Zip Code**
 - **Zip Code Extension (optional)**
3. Select the **Submit** button

DUA Requester – New Contractor DUA Request

New Sub-Contracting Organization Confirmation

A screenshot of a software confirmation dialog box. The dialog has a title bar that says "Confirmation". The main text area contains the message: "Your request has been successfully submitted and is pending approval. You will receive a follow-up email notification." At the bottom right of the dialog, there is a button labeled "Quit Without Saving".

Confirmation

Your request has been successfully submitted and is pending approval.
You will receive a follow-up email notification.

Quit Without Saving

1. The **Confirmation** message displays: ***“Your request has been successfully submitted and is pending approval. You will receive a follow-up email notification.”***
2. Select the **Quit Without Saving** button

Note: A new Organization requires EPPE Administration Approval. The DUA will not be saved. The DUA entry will have to be restarted once the organization is approved.

DUA Requester – New Contractor DUA Request

No Sub-Contracting Organization Needed

New / Re-Use DUA Request

ORGANIZATION(S)

Required fields are marked with an asterisk ().*

Your Organization : NORTH CAROLINA STATE UNIVERSITY

Do you wish to add/remove a sub-contracting organization(s) for this DUA request?

YES NO [?](#)

1. Select the **No** radio button If no sub-contracting organization is needed
2. Select **Next**

DUA Requester – New Contractor DUA Request

Main Information Screen

New / Re-Use DUA Request

Main Information Data Selection Upload Documents Review & Submit

DUA Number : CONT-2018-54108

MAIN INFORMATION

Required fields are marked with an asterisk ().*

Project Name * : ?

Contract Number * : ?

Task Order Number : ?

CONTRACT PERIOD * ?

Contract Start Date : Contract End Date :

CMS CONTACT (COR) * ?

Select CMS Contact (COR) :

Cannot locate your CMS Contact (COR)?

Save Quit Previous Next

1. The **DUA Number** is displayed.
2. The **Main Information** screen displays.
3. Enter the **Project Name**
4. Enter the **Contract Number**
5. Enter the **Task Order Number** (Optional)
6. Enter the **Contract Period Dates**
7. Enter the **CMS Contact (COR)**

DUA Requester – New Contractor DUA Request

Main Information Screen: Entering the Contract Period

New / Re-Use DUA Request

Progress: Main Information | Data Selection | Upload Documents | Review & Submit

DUA Number : CONT-2018-54108

MAIN INFORMATION

Required fields are marked with an asterisk (*).

Project Name * :

Contract Number * :

Task Order Number :

CONTRACT PERIOD *

Contract Start Date : Contract End Date :

CMS CONTACT (COR) *

Select CMS Contact (COR) :

Cannot locate your CMS Contact (COR)?

Buttons: Save, Quit, Previous, Next

CONTRACT PERIOD *

Contract Start Date : Contract End Date :

01/01/2016 12/31/2017

Calendar: Dec 2017

CMS CONTACT (COR) *

Select CMS Contact (COR) :

Cannot locate your CMS Contact (COR)?

Buttons: Save, Quit, Today, Done

1. Enter the **Contract Start Date (mm/dd/yyyy)** or use the pop-up calendar
2. Enter the **Contract End Date (mm/dd/yyyy)** or use the pop-up calendar

DUA Requester – New Contractor DUA Request

Main Information Screen: Entering the CMS Contact (COR) Information

New / Re-Use DUA Request

Main Information Data Selection Upload Documents Review & Submit

DUA Number : CONT-2018-54108

MAIN INFORMATION

Required fields are marked with an asterisk (*)

Project Name * :

Contract Number * :

Task Order Number :

CONTRACT PERIOD * :

Contract Start Date : Contract End Date :

CMS CONTACT (COR) * :

Select CMS Contact (COR) :

Cannot locate your CMS Contact (COR)?

Save Quit Previous Next

Alert

A CMS Contact (COR) must be registered in EIDM and EPPE in order for their name to appear in the drop-down list.

If you are unable to find your CMS Contact (COR)'s name, please alert your CMS Contact (COR) and ask them to inform you when their registration for EIDM and EPPE is complete. Then, you will be able to resume your DUA request.

OK

1. Select the **CMS COR** from the drop-down
2. Select **Next**
3. If the **COR** is not in the drop-down an **Alert** message displays when the **Cannot locate your CMS Contact (COR)** link is selected. **Save** the DUA, and resume entry once the **CMS Contact (COR)** displays in the list.

DUA Requester – New Contractor DUA Request

Main Information Screen

New / Re-Use DUA Request

Main Information Data Selection Upload Documents Review & Submit

DUA Number : CONT-2018-54108

MAIN INFORMATION

Required fields are marked with an asterisk ().*

Project Name * : Requester Training Project ?

Contract Number * : CONT1234 ?

Task Order Number : TO-123456 ?

CONTRACT PERIOD * ?

Contract Start Date : Contract End Date :

01/04/2017 12/31/2018

CMS CONTACT (COR) * ?

Select CMS Contact (COR) : Taraji Henson x

Cannot locate your CMS Contact (COR)?

First Name : Last Name :

Taraji Henson

Email Address : Phone Number :

fakepicnic@gmail.com 800-555-1212

Save Quit Previous Next

Select the **Next** button

DUA Requester – New Contractor DUA Request

Custodian(s)/DESY USER Screen: Add a Custodian/DESY User

The screenshot shows a web interface for a 'New / Re-Use DUA Request'. At the top, there is a progress bar with four steps: 'Main Information' (highlighted in blue), 'Data Selection', 'Upload Documents', and 'Review & Submit'. Below the progress bar, the 'DUA Number' is 'CONT-2018-52530'. The main section is titled 'CUSTODIAN(S)/DESY USER' and contains a search bar, a table with columns 'User Name', 'EUA User Id', 'Organization', and 'Action', and a button labeled 'Add Custodian(s)/DESY User'. At the bottom of the screen, there are 'Save', 'Quit', 'Previous', and 'Next' buttons.

1. The **Custodian(s)/DESY User** screen displays - Users who have administrative control over provided data and/or need access to data files within the DESY data dissemination system.
2. Select the **Add Custodian(s)/DESY User** button
 - Adding a Custodian is required
 - DESY Users need to have an **EUA ID**

Note: **Custodian(s)/DESY User(s)** added will display in the Custodians List.

DUA Requester – New Contractor DUA Request

Custodian/DESY USER Screen: Add a DESY User

Add Custodian/DESY User

Required fields are marked with an asterisk (*).

Select Organization * : Choose Organization...

Select Users * : Choose Users... Add New User

Select User Location * : Choose Location... Add New Location

Is the selected user a DESY User? : Yes No

EUA User Id * :

Cancel Submit

Add Custodian/DESY User

Required fields are marked with an asterisk (*).

Select Organization * : Choose Organization...

Select Users * : Choose Users... Add New User

Select User Location * : Choose Location... Add New Location

Is the selected user a DESY User? : Yes No

Cancel Submit

1. **Add Custodian/DESY User** pop-up displays.
2. Enter the **Organization Name**.
3. Select a **User** from the dropdown.
4. Select the **User Location**.
5. Is the selected user a DESY User?
 - a. If Yes, enter the EUA User ID.
 - b. If No, No EUA ID is asked for.
6. Select the **Submit** button.

Notes:

- Adding a **DESY User** adds the user as a **Custodian** on the DUA.

DUA Requester – New Contractor DUA Request

DESY USER Screen: Custodian(s)/DESY User Table

New / Re-Use DUA Request

Main Information Data Selection Upload Documents Review & Submit

DUA Number : CONT-2018-62530

CUSTODIAN(S)/DESY USER

Search:

User Name	EUA UserId	Organization	Action
REQ UserOne		NEW TRAINING COMPANY	Edit Remove
Testing UserOne	U12V	NEW TRAINING COMPANY 2	Edit Remove

Showing 1 to 2 of 2 entries

Add Custodian(s)/DESY User

Save Quit Previous Next

1. Custodian(s)/DESY user table displays.
2. Enter **Custodian(s)/DESY Users** as needed.
3. Select the **Next** button when all Custodian(s)/DESY Users have been added.

Notes: Select the **Remove** link to remove Custodian(s)/DESY user(s) from the table.

DUA Requester – New Contractor DUA Request

Re-Use Data Files Decision

New / Re-Use DUA Request

Main Information Data Selection Upload Documents Review & Submit

DUA Number : CONT-2018-54108

RE-USE DATA FILE(S) SELECTION

Required fields are marked with an asterisk (*).

Do you wish to re-use any data file(s) from the existing (active) DUA(s)? *

YES NO

Save Quit Previous Next

1. The **Re-use Data File(s) Selection** Screen Displays
2. Select the **Yes** or **No** radio button to answer the question ***Do you wish to re-use any data file(s) from the existing (active) DUA(s)?***

DUA Requester – New Contractor DUA Request

Add Re-Used Data Files

New / Re-Use DUA Request

Main Information → Data Selection → Upload Documents → Review & Submit

DUA Number : CONT-2018-54108

RE-USE DATA FILE(S) SELECTION

Required fields are marked with an asterisk (*).

Do you wish to re-use any data file(s) from the existing (active) DUA(s)? *

YES NO

The table below displays all the available data file descriptions for reuse from the approved DUA(s) for the organization. Use the checkbox in first column of each row to select the data file description and select **Add selection to DUA request** button to add the data file description to the selected table.

Available Data File Descriptions for Re-Use

Select	DUA Number	Organization	Data File Description	Extraction Percent	From - To Year	
<input type="checkbox"/>	CONT-2005-15819	UNIVERSITY OF NORTH CAROLINA	OTHER - OTHER DATA (SPECIFY)	Migrated from DADSS - NA.	2004 - 2006	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	BENE - ANNUAL BENEFICIARY SUMMARY FILE	22%	2010 - 2012	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	XWALK7 - CCW BENE ID TO SSN CROSSWALK FILE	100%	2010 - 2014	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	PDE22 - 20% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2014	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	PDE5 - 5% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2018	<input type="checkbox"/>

Showing 1 to 5 of 66 entries (filtered from 5 total entries) Previous Next

Add selection to DUA request

The table below displays all the selected data file descriptions for reuse. The last column of each row has two action links Use the **Edit** and **Remove** links in next column of each row to edit the data file attributes and remove the data file from the selected table respectively.

Selected New Data File Descriptions for Re-Use

Data File Description	Extraction % / Cohort	From Year	To Year	Status	Action
No data available in table					

Showing 0 to 0 of 0 entries Previous Next

Save Quit Previous Next

1. Select the **Yes** radio button to re-use data.
2. Data files available for re-use display in a table.
3. Select the file(s) to re-use.
4. Select the **Add selection to DUA request** button.

Notes:

- Files from the **Primary Organization** and/or **Sub-contracting Organization** can be selected.
- Before moving to another page to select files, make sure you select the **Add selection to Non-DUA Request** button to place the files on the table when you have completed selecting files from the current page.

DUA Requester – New Contractor DUA Request

Add Re-Used Data Files

New / Re-Use DUA Request

Main Information → Data Selection → Upload Documents → Review & Submit

DUA Number : CONT-2018-54108

RE-USE DATA FILE(S) SELECTION

Required fields are marked with an asterisk (*).

Do you wish to re-use any data file(s) from the existing (active) DUA(s)? *

YES NO

The table below displays all the available data file descriptions for reuse from the approved DUA(s) for the organization. Use the checkbox in first column of each row to select the data file description and select **Add selection to DUA request** button to add the data file description to the selected table.

Available Data File Descriptions for Re-Use

Select	DUA Number	Organization	Data File Description	Extraction Percent	From - To Year	
<input type="checkbox"/>	CONT-2005-15619	UNIVERSITY OF NORTH CAROLINA	OTHER - OTHER DATA (SPECIFY)	Migrated from DADSS - NA	2004 - 2006	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52688	NORTH CAROLINA STATE UNIVERSITY	BENE - ANNUAL BENEFICIARY SUMMARY FILE	22%	2010 - 2012	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52688	NORTH CAROLINA STATE UNIVERSITY	XWALK7 - CCW BENE ID TO SSN CROSSWALK FILE	100%	2010 - 2014	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52688	NORTH CAROLINA STATE UNIVERSITY	PDE22 - 20% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2014	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52688	NORTH CAROLINA STATE UNIVERSITY	PDE5 - 5% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2018	<input type="checkbox"/>

Showing 1 to 5 of 69 entries (filtered from 5 total entries) Previous Next

Add selection to DUA request

The table below displays all the selected data file descriptions for reuse. The last column of each row has two action links Use the **Edit** and **Remove** links in last column of each row to edit the data file attributes and remove the data file from the selected table respectively.

Selected New Data File Descriptions for Re-Use

Data File Description	Extraction % / Cohort	From Year	To Year	Status	Action
No data available in table					

Showing 0 to 0 of 0 entries Previous Next

Save Quit Previous Next

1. Select the **Yes** radio button to re-use data
2. Data files available for re-use display in a table
3. Select the file(s) to re-use
4. Select the **Add selection to DUA request** button

Notes:

- Files from the **Primary Organization** and/or **Sub-contracting Organization** can be selected.
- Before moving to another page to select files, make sure you select the **Add selection to Non-DUA Request** button to place the files on the table when you have completed selecting files from the current page.

DUA Requester – New Contractor DUA Request

Add Re-used File Extraction Criteria

Data file information

1. Data file extraction | 2. Custodians | 3. Shipping Information

Data File Description : PARTD5 - 5 % PART D MEDICARE SAMPLE PDE DATA

Available Year Range * : ?

From * : ?

To * : ?

Quarter(s) :

State(s) (if applicable) :

Add

Selected Multiple From and To Year

ID	FROM YEAR	TO YEAR	QUARTER	Extraction % / Cohort	STATES	STATUS	ACTION
----	-----------	---------	---------	-----------------------	--------	--------	--------

Previous **Next**

1. The **Data file information** pop-up displays with the **Data file extraction** tab in focus.
2. Select the **Available Year Range**
3. Select the **From** year
4. Select the **To** year
5. Select **Quarters** (optional)
6. Select **States** (optional)
7. Select **Add**

Notes:

- Some file years in the year range may not be available (e.g. 2019 file year).
- Available **Quarters** and/or **States** for selection will be those selected on the original DUA.
- If quarters/states were not selected on the original DUA, these fields will be disabled.

DUA Requester – New Contractor DUA Request

Re-used Data File Extraction Criteria Displays in Table

Data file information

1. Data file extraction | 2. Custodians | 3. Shipping Information

Data File Description : PARTD5 - 5 % PART D MEDICARE SAMPLE PDE DATA

Available Year Range * : [2010 - 2017] ; (100%)

From * : Select an Opt...

To * : Select an Opt...

Quarter(s) :

State(s) (if applicable) :

Add

Selected Multiple From and To Year

ID	FROM YEAR	TO YEAR	QUARTER	Extraction % / Cohort	STATES	STATUS	ACTION
1	2010	2017		100%		New Year(s)	Remove

Previous **Next**

1. Selected data file extraction attributes display in a table below
2. Select **Next**

DUA Requester – New Contractor DUA Request

Add Custodians for Re-Used Data Files

Data file information

1. Data file extraction **2. Custodians** 3. Shipping Information

Data File Description : PARTD5 - 5 % PART D MEDICARE SAMPLE PDE DATA

Required fields are marked with an asterisk (*).

Custodian Organization Name * : ?

Custodian Location * : [Add New Location](#) ?

Select Custodians * : ?

Add

Selected Custodian Locations and Custodians

Id	Organization	Custodian Location	Custodians	Email	Phone	Action
1	NORTH CAROLINA STATE UNIVERSITY	31 Rock Quarry Road, Raleigh, North Carolina, 27610, USA	1. Ogre Shrek Remove	1. fakepicnic@gmail.com	1 (800) 301-5555	Remove

Previous **Next**

1. **Custodians** tab displays
2. Select the **Custodian Organization Name**
3. Select the **Custodian Location**
4. Select the **Custodian(s)**
5. Select **Add**

Notes:

- If a **DESY User** was added (as in this example), they will display in the **Custodians Table**.

DUA Requester – New Contractor DUA Request

Shipping Information for Re-Used Data Files

The screenshot shows a web form titled "Data file information" with three tabs: "1. Data file extraction", "2. Custodians", and "3. Shipping Information". The "Shipping Information" tab is active. The form content includes:

- Data File Description : PARTD5 - 5 % PART D MEDICARE SAMPLE PDE DATA
- Required fields are marked with an asterisk (*).
- Access Method * : DIRECT ACCESS SHIPPING BOTH DIRECT ACCESS AND SHIPPING
- DIRECT ACCESS INFORMATION
- Access To Which Data CCW/VRDC DFSY/IDR FFT Other
- Disseminator * :

At the bottom right of the form are "Previous" and "Finish" buttons.

1. **Shipping Information** tab displays.
2. Shipping information from the original DUA displays in a table.
3. Select **Finish**.

Note: Re-used data files will not be re-shipped.

DUA Requester – New Contractor DUA Request

Re-Used Data File Attributes Completed for First File

New / Re-Use DUA Request

Main Information → Data Selection → Upload Documents → Review & Submit

DUA Number : CONT-2018-04108

RE-USE DATA FILE(S) SELECTION

Required fields are marked with an asterisk (*)

Do you wish to re-use any data file(s) from the existing (active) DUA(s)? *

YES NO

The table below displays all the available data file descriptions for reuse from the approved DUA(s) for the organization. Use the checkbox in first column of each row to select the data file description and select **Add selection to DUA request** button to add the data file description to the selected table.

Available Data File Descriptions for Re-Use

Select	DUA Number	Organization	Data File Description	Extraction Percent	From - To Year	
<input type="checkbox"/>	CONT-2005-15819	UNIVERSITY OF NORTH CAROLINA	OTHER - OTHER DATA (SPECIFY)	Migrated From DADSS - NA.	2004 - 2006	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	BENE - ANNUAL BENEFICIARY SUMMARY FILE	22%	2010 - 2012	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	XWALK7 - COV/BENE ID TO SSN CROSSWALK FILE	100%	2010 - 2014	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	PDE22 - 20% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2014	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	PDE5 - 5% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2018	<input type="checkbox"/>

Showing 1 to 5 of 66 entries (filtered from 5 total entries) Previous Next

Add selection to DUA request

The table below displays all the selected data file descriptions for reuse. The last column of each row has two action links Use the **Edit** and **Remove** links in last column of each row to edit the data file attributes and remove the data file from the selected table respectively.

Selected New Data File Descriptions for Re-Use

Data File Description	Extraction % / Cohort	From Year	To Year	Status	Action
PARTD5 - 5 % PART D MEDICARE SAMPLE PDE DATA	100%	2010	2017	COMPLETE	Edit Remove Apply All
PDE25 - 5% PRESCRIPTION DRUG EVENT DATA (16-VARIABLES)				INCOMPLETE	Edit Remove

Showing 1 to 2 of 2 entries Previous Next

Save Quit Previous Next

1. Status of the first re-used file is **Complete**
2. Select the **Apply All** link, if multiple files were selected for re-use

Note: Each file's attributes can be edited to **Complete** status , or you can select the **Apply All** link associated with the first file to copy all the custodian/data storage information from that file to the remaining files.

DUA Requester – New Contractor DUA Request

Re-Used Data Files: Apply All Custodians

Apply Data Selection Attributes ✕

Select the data file(s) to which you wish to apply the selected data attributes.

For Re-Use Apply All functionality, only Custodian/DataStorageLocation information will be applied to selected data file(s).

<input checked="" type="checkbox"/> Select All	Data File Description	Status
<input type="checkbox"/>	PDE25 - 5% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES)	INCOMPLETE

Apply to DUA request

1. **Apply Data Selection Attributes** pop-up displays
2. Check the **Select All** checkbox or select the checkbox associated with the applicable files
3. Select the **Apply to DUA Request** button

Note: When using the **Apply All** feature on **Re-used** data files, only the **Custodian** and **Data Storage information** will be applied to the selected files. The **Extraction** attributes (**Year Range, From/To Years, and States/Quarters as applicable**) must be entered to change the file status to **Complete**.

DUA Requester – New Contractor DUA Request

Re-Used Data Files: Continue to Update File(s) to “Complete” Status

The table below displays all the selected data file descriptions for reuse. The last column of each row has two action links. Use the **Edit** and **Remove** links in last column of each row to edit the data file attributes and remove the data file from the selected table respectively.

Selected New Data File Descriptions for Re-Use

Data File Description	Extraction % / Cohort	From Year	To Year	Status	Action
PARTD5 - 5% PART D MEDICARE SAMPLE PDE DATA	100%	2010	2017	COMPLETE	Edit Remove Apply All

Re-Used From DUA: CONT-2017-53209
Privacy Level: IDENTIFIABLE
From - To Year: Extraction % / Cohort: Quarters: States: 2010-2017; 100% ;NA,NA
Access Type: SHIPPING

Shipping Details

Id	Shipping Location	Recipient	Carrier	Carrier Account Number
1	STATISTICS DEPARTMENT2311 STANSON DRIVE, SALEDON, North Carolina, 27585, USA	Cindy-Lou Yalc		

Custodian Locations and Custodians

Id	Organization	Custodian Locations	Custodians	Email	Phone
1	NORTH CAROLINA STATE UNIVERSITY	31 Rock Quarry Road, Raleigh, North Carolina, 27510, USA	1 Oge Steak	1 takeprinc@gmail.com	1 (800) 301-5555
2	UNIVERSITY OF NORTH CAROLINA	2305 KERR HALL, CAMPUS BOX 7380, CHAPEL HILL, North Carolina, 27599, USA	1 Mary Parker Smith	1 mparr@uncp.edu	1 (301) 655-1212

PDE25 - 5% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES) **INCOMPLETE** [Edit](#) [Remove](#)

Re-Used From DUA: CONT-2017-53285
Privacy Level: IDENTIFIABLE
From - To Year: Extraction % / Cohort: Quarters: States:
Access Type: SHIPPING

Shipping Details

Id	Shipping Location	Recipient	Carrier	Carrier Account Number
1	2205 KERR HALL, CAMPUS BOX 7380, CHAPEL HILL, North Carolina, 27599, USA	ELIZABETH EXLEY		

Custodian Locations and Custodians

Id	Organization	Custodian Locations	Custodians	Email	Phone
1	NORTH CAROLINA STATE UNIVERSITY	31 Rock Quarry Road, Raleigh, North Carolina, 27510, USA	1 Oge Steak	1 takeprinc@gmail.com	1 (800) 301-5555
2	UNIVERSITY OF NORTH CAROLINA	2305 KERR HALL, CAMPUS BOX 7380, CHAPEL HILL, North Carolina, 27599, USA	1 Mary Parker Smith	1 mparr@uncp.edu	1 (301) 655-1212

Showing 1 to 2 of 2 entries

Save Quit Previous Next

1. File status for the remaining file(s) displays **Incomplete** (only the Custodian information was updated with the Apply All feature)
2. Select the **Edit** link for each file to update the data file extraction information

Notes:

- The display of the files in this list have been expanded to show the file details.
- The Custodian information for the second file is the same as that of the first file after the **Apply All** feature was used.

DUA Requester – New Contractor DUA Request

Re-Used Data Files: Continue to Update File(s) to “Complete” Status

Data file information

1. Data file extraction 2. Custodians 3. Shipping Information

Data File Description : PDE25 - 5% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES)

Available Year Range * :

From * :

To * :

Quarter(s) :

State(s) (if applicable) :

Selected Multiple From and To Year

ID	FROM YEAR	TO YEAR	QUARTER	Extraction % / Cohort	STATES	STATUS	ACTION
----	-----------	---------	---------	-----------------------	--------	--------	--------

1. **Data File Extraction** pop-up displays
2. Select Available **Year Range**
3. Select the **From** Year
4. Select the **To** Year
5. Select the **Quarters** (optional)
6. Select the **States** (optional)
7. Select **Add**

Notes:

- The Available **Quarters** and/or **States** for selection will be those selected on the original DUA.
- If quarters/states were not selected on the original DUA, these fields will be disabled.

DUA Requester – New Contractor DUA Request

Re-Used Data Files: Continue to Update File(s) to “Complete” Status

Data file information

1. Data file extraction 2. Custodians 3. Shipping Information

Data File Description : PDE25 - 5% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES)

Available Year Range * : [2010 - 2017] ; (100%)

From * : Select an Opt...

To * : Select an Opt...

Quarter(s) :

State(s) (if applicable) :

Add

Selected Multiple From and To Year

ID	FROM YEAR	TO YEAR	QUARTER	Extraction % / Cohort	STATES	STATUS	ACTION
1	2010	2017		100%		New Year(s)	Remove

Previous Next

1. Selected data file extraction attributes display in the table below
2. Select **Next**

DUA Requester – New Contractor DUA Request

Re-Used Data Files: Continue to Update File(s) to “Complete” Status

Data file information

1. Data file extraction 2. Custodians 3. Shipping Information

Selected Custodian Locations and Custodians

Id	Organization	Custodian Location	Custodians	Email	Phone
1	NEW TRAINING COMPANY	123 Main Street, Baltimore, Maryland, 21244, USA	1. REQ UserTwo	1.test@epee.com	1. (410) 555-1212

Previous Next

1. **Custodians** table is populated with view-only **Custodian** information from the first re-used file based on the **Apply All** function.
2. Select **Next**.

DUA Requester – New Contractor DUA Request

Re-Used Data Files: Continue to Update File(s) to Complete Status

Data file information

1. Data file extraction 2. Custodians 3. Shipping Information

Data File Description : PDE25 - 5% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES)

Required fields are marked with an asterisk (*).

Access Method * : DIRECT ACCESS SHIPPING BOTH DIRECT ACCESS AND SHIPPING ?

Data Dissemination System * :

Data Shipping Location * : ?

Primary Recipient * : ?

Carrier : ?

Add

Selected Shipping Details

Id	Shipping Location	Recipient	Carrier	Carrier Account Number	Action
1	2205 KERR HALL, CAMPUS BOX 7360, CHAPEL HILL, North Carolina, 27599, USA	ELIZABETH EXLEY			

Previous **Finish**

1. **Shipping Information** tab displays

Note: the re-used files will not be re-shipped; the shipping information from the original DUA displays in the table

2. Select **Finish**

DUA Requester – New Contractor DUA Request

Re-Used Data Files: Continue to Update File(s) to Complete Status

New / Re-Use DUA Request

Main Information → Data Selection → Upload Documents → Review & Submit

DUA Number : CONT-2018-54108

RE-USE DATA FILE(S) SELECTION

Required fields are marked with an asterisk (*).

Do you wish to re-use any data file(s) from the existing (active) DUA(s)? *

YES NO

The table below displays all the available data file descriptions for reuse from the approved DUA(s) for the organization. Use the checkbox in first column of each row to select the data file description and select **Add selection to DUA request** button to add the data file description to the selected table.

Available Data File Descriptions for Re-Use

Select	DUA Number	Organization	Data File Description	Extraction Percent	From - To Year	
<input type="checkbox"/>	CONT-2005-15519	UNIVERSITY OF NORTH CAROLINA	OTHER - OTHER DATA (SPECIFY)	Migrated from DAQSS - NA	2004 - 2006	<input checked="" type="radio"/>
<input type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	BENE - ANNUAL BENEFICIARY SUMMARY FILE	22%	2010 - 2012	<input checked="" type="radio"/>
<input type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	XWALK7 - CCW BENE ID TO SSN CROSSWALK FILE	100%	2010 - 2014	<input checked="" type="radio"/>
<input type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	FDE22 - 20% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2014	<input checked="" type="radio"/>
<input type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	PDES - 5% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2018	<input checked="" type="radio"/>

Showing 1 to 5 of 66 entities (filtered from 5 total entities) Previous Next

Add selection to DUA request

The table below displays all the selected data file descriptions for reuse. The last column of each row has two action links Use the **Edit** and **Remove** links in last column of each row to edit the data file attributes and remove the data file from the selected table respectively.

Selected New Data File Descriptions for Re-Use

Data File Description	Extraction % / Cohort	From Year	To Year	Status	Action
PARTD5 - 5 % PART D MEDICARE SAMPLE PDE DATA	100%	2010	2017	COMPLETE	Edit Remove Apply All
PDES - 5% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES)	100%	2010	2017	COMPLETE	Edit Remove

Showing 1 to 2 of 2 entries Previous Next

Save Quit Previous Next

1. Re-use Data File screen re-displays
2. Status for all files is **Complete**
3. Select **Next**

Notes:

- Additional files for re-use can be added.
- Data file attributes will need to be updated as described in previous slides.
- The **Apply All** function can be used on any additional files added.

DUA Requester – New Contractor DUA Request

Not Re-Using Data Files

New / Re-Use DUA Request

Main Information Data Selection Upload Documents Review & Submit

DUA Number : CONT-2018-54108

RE-USE DATA FILE(S) SELECTION

Required fields are marked with an asterisk ().*

Do you wish to re-use any data file(s) from the existing (active) DUA(s)? *

YES NO

Save Quit Previous Next

1. Select the **No** radio button if re-used data files will not be added to the DUA request
2. Select the **Next** button

DUA Requester – New Contractor DUA Request

Add New Data Files

New / Re-Use DUA Request

Main Information → Data Selection → Upload Documents → Review & Submit

DUA Number : CONT-2018-54108

NEW DATA FILE(S) SELECTION

Required fields are marked with an asterisk (*).

Privacy Level : ?

Select Data File Descriptions

- DMETSB - 100% Durable Medical Equipment Test System Base
- INP - 100% INPATIENT CLAIMS
- CRF - 100% CROSS REFERENCE FILE
- PDE22 - 20% PRESCRIPTION DRUG EVENT DATA
- MTSB - 25% Medicare Test Beneficiary Sample
- PDE24 - 40% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES)

Selected New Data File Descriptions

Data File Description	Extraction % / Cohort	From Year	To Year	Privacy Level	Status	Action
No data available in table						

Showing 0 to 0 of 0 entries

1. **New Data File(s) Selection** screen displays
2. Select the **Privacy Level**
3. Type at least 3 characters in the **Select Data File Descriptions** text box to narrow the results
4. Select the data file(s)
5. Select **Add selection to DUA request**

DUA Requester – New Contractor DUA Request

Add New Data Files and Attributes

New / Re-Use DUA Request

MAIN INFORMATION → Data Selection → Upload Documents → Review & Submit

DUA Number : CONT-2017-51585

NEW DATA FILE(S) SELECTION

Required fields are marked with an asterisk (*)

Privacy Level : IDENTIFIABLE ?

Select Data File Descriptions : Start typing to search...

- SAFSCR - 5% CARRIER SAF
- SAF-5 - 5% MEDICARE INFORMATION ON PART A AND PART B SERVICES. (ALL FILES)
- SAFSOP - 5% OUTPATIENT SAF
- POE5 - 5% PRESCRIPTION DRUG EVENT DATA
- POE15 - 5% PRESCRIPTION DRUG EVENT DATA (1-15 VARIABLES)
- POE25 - 5% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES)
- UB92 - ABBREVIATED UB-92 DATASET
- ACADPV - ACA Data Validation
- ERCE - ACA ERCE Data

Add selection to DUA request

Selected New Data File Descriptions

Data File Description	Extraction % / Cohort	From Year	To Year	Privacy Level	Status	Action
CCWBEH - CHRONIC CARE WAREHOUSE 100% BENEFICIARY SUMMARY FILE				IDENTIFIABLE	INCOMPLETE	Edit Remove
CCWCAR - CHRONIC CARE WAREHOUSE 100% CARRIER SAF				IDENTIFIABLE	INCOMPLETE	Edit Remove
CCWDME - CHRONIC CARE WAREHOUSE 100% DURABLE MEDICAL EQUIPMENT				IDENTIFIABLE	INCOMPLETE	Edit Remove
CCWHHA - CHRONIC CARE WAREHOUSE 100% HOME HEALTH AGENCY SAF				IDENTIFIABLE	INCOMPLETE	Edit Remove
CCWIP - CHRONIC CARE WAREHOUSE 100% INPATIENT SAF				IDENTIFIABLE	INCOMPLETE	Edit Remove

Showing 1 to 5 of 5 entries Previous Next

Save **Quit** **Previous** **Next**

1. Data files display with an **Incomplete Status**.
2. Select **Edit** to complete data file attributes.
3. Select **Remove** to remove the data file(s) from the table.

DUA Requester – New Contractor DUA Request

New Data Files: Enter Data File Extraction Information

The screenshot shows a web-based form titled "Data file information" with three tabs: "1. Data file extraction" (active), "2. Custodians", and "3. Shipping Information". The form contains the following fields and controls:

- Data File Description :** CARR - CARRIER STANDARD ANALYTICAL FILE 100%
- Data File Extraction % / Cohort * :** A dropdown menu with "Select an Option" and a help icon.
- From * :** A dropdown menu with "Select an Option" and a help icon.
- To * :** A dropdown menu with "Select an Option" and a help icon.
- Quarter(s) :** A text input field with "Choose Quarters..." placeholder.
- State(s) (if applicable) :** A text input field with "Select Some Options" placeholder.
- Add** button.
- Selected Multiple From and To Year** text below the form.
- Previous** and **Next** buttons at the bottom right.

1. **Data File Extraction** pop-up screen displays
2. Select the **Data File Extraction % / Cohort**
3. Select the **From** year
4. Select the **To** Year
5. Choose any **Quarters** (optional)
6. Select any **States** (optional)
7. Select **Add**

Notes:

- Some file years in the year range may not be available (e.g. 2019 file year).

DUA Requester – New Contractor DUA Request

New Data Files: Add Extraction Information

The screenshot shows a web form titled "Data file information" with three tabs: "1. Data file extraction" (active), "2. Custodians", and "3. Shipping Information". The form contains the following fields and controls:

- Data File Description : CARR - CARRIER STANDARD ANALYTICAL FILE 100%
- Data File Extraction % / Cohort *: Select an Opt... (dropdown) with a help icon (?)
- From *: Select an Opt... (dropdown) with a help icon (?)
- To *: Select an Opt... (dropdown) with a help icon (?)
- Quarter(s) : [text input field]
- State(s) (if applicable) : [text input field]
- [Add] button

Below the form, a table displays the selected data:

Selected Multiple From and To Year

ID	FROM YEAR	TO YEAR	QUARTER	Extraction % / Cohort	STATES	STATUS	ACTION
1	2010	2018		100%		New Year(s)	Remove

At the bottom right of the form are "Previous" and "Next" buttons.

1. Data file extraction attributes display in the table below
2. Select **Next**

DUA Requester – New Contractor DUA Request

New Data Files: Enter Custodian Information

Data file information

1. Data file extraction 2. Custodians 3. Shipping Information

Selected Custodian Locations and Custodians

Id	Organization	Custodian Location	Custodians	Email	Phone
1	NEW TRAINING COMPANY	123 Main Street, Baltimore, Maryland, 21244, USA	1. REQ UserTwo	1.test@epps.com	1. (410) 555-1212

Previous Next

1. **Custodians** table is populated with the **Custodian** information.
2. Select **Next**.

Notes:

- In this example, the **Custodians** table is automatically populated with the **DESY User's** information.
- You can add other **Custodians** from the Custodian(s)/DESY User page.
- You must have at least one custodian on the DUA.

DUA Requester – New Contractor DUA Request

New Data Files: Add Shipping Information

The screenshot shows a web form titled "Add New Location" with three tabs: "1. Data file extraction", "2. Custodians", and "3. Shipping Information". The "Shipping Information" tab is active. The form displays "Data File Description : CARR - CARRIER STANDARD ANALYTICAL FILE 100%". Below this, it states "Required fields are marked with an asterisk (*)". The "Access Method *" field has three radio button options: "DIRECT ACCESS" (selected), "SHIPPING", and "BOTH DIRECT ACCESS AND SHIPPING". Under the heading "DIRECT ACCESS INFORMATION", the "Access To Which Data" field has four radio button options: "CCW/VRDC", "DESY/IDR" (selected), "EFT", and "Other". The "Disseminator *" field is currently empty. At the bottom right of the form are "Previous" and "Finish" buttons.

1. **Shipping Information** tab displays.
2. Select the appropriate **Access Method**.

Note: In this example **Direct Access** is the default **Access Method** and **DESY/IDR** is the default **Data Disseminator** because a **DESY User** was added to the DUA, however this information is editable.

DUA Requester – New Contractor DUA Request

New Data Files: Add Direct Access and Shipping Information

The screenshot shows a web form titled "Add New Location" with three steps: 1. Data file extraction, 2. Custodians, and 3. Shipping Information. The form is currently on step 3. The "Data File Description" is "CARR - CARRIER STANDARD ANALYTICAL FILE 100%". A note states "Required fields are marked with an asterisk (*)". The "Access Method" is set to "BOTH DIRECT ACCESS AND SHIPPING". Under "DIRECT ACCESS INFORMATION", "Access To Which Data Disseminator" is set to "CCW/VRDC". The "Data Dissemination System" is "SHIPPING INFORMATION". The "Data Shipping Location" is a dropdown menu with "Choose Shipping Location..." selected. The "Primary Recipient" is a dropdown menu with "Choose Recipient..." selected. The "Carrier" is a dropdown menu with "Select an Option" selected. There is an "Add" button and a "Previous" button. At the bottom right, there is a "Finish" button.

1. Data file extraction 2. Custodians 3. Shipping Information

Data File Description : CARR - CARRIER STANDARD ANALYTICAL FILE 100%

Required fields are marked with an asterisk (*).

Access Method *: DIRECT ACCESS SHIPPING BOTH DIRECT ACCESS AND SHIPPING ?

DIRECT ACCESS INFORMATION

Access To Which Data Disseminator *: CCW/VRDC DESY/IDR EFT Other ?

Data Dissemination System *:

SHIPPING INFORMATION

Data Shipping Location *: Add New Location ?

Primary Recipient *: ?

Carrier : ?

Selected Shipping Details

Id	Shipping Location	Recipient	Carrier	Carrier Account Number	Action
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1. Select the **Access to Which Data Disseminator**.
 - This example is based on selecting the **Both Direct Access and Shipping** option
2. Select the **Access Method**
3. Select the **Data Disseminating System**
4. Select or Add the **Data Shipping Location**
5. Select the **Primary Recipient**
6. The **Carrier** information is optional
7. Select **Add**
8. Select the **Finish** button

DUA Requester – New Contractor DUA Request

New Data Files: Data File Attributes for First File is Complete

New / Re-Use DUA Request

Main Information Data Selection Upload Documents Review & Submit

DUA Number : CONT-2018-54108

NEW DATA FILE(S) SELECTION

Required fields are marked with an asterisk (*).

Privacy Level : IDENTIFIABLE

Select Data File Descriptions : Start typing to search...

- PDE22 - 20% PRESCRIPTION DRUG EVENT DATA
- MTSB - 25% Medicare Test Beneficiary Sample
- PDE24 - 40% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES)
- PDECF5 - 5 % PART D CHARACTERISTICS FILES
- PARTD5 - 5 % PART D MEDICARE SAMPLE PDE DATA
- DENOMP - 5 % SAMPLE OF DENOMINATOR FILE (PUF)

Add selection to DUA request

Selected New Data File Descriptions

Data File Description	Extraction % / Cohort	From Year	To Year	Privacy Level	Status	Action
CARR - CARRIER STANDARD ANALYTICAL FILE 100%	100%	2010	2018	IDENTIFIABLE	COMPLETE	Edit Remove Apply All
CARR20 - CARRIER STANDARD ANALYTICAL FILE 20%				IDENTIFIABLE	INCOMPLETE	Edit Remove
CARR40 - CARRIER STANDARD ANALYTICAL FILE 40%				IDENTIFIABLE	INCOMPLETE	Edit Remove
CARR5 - CARRIER STANDARD ANALYTICAL FILE 5%				IDENTIFIABLE	INCOMPLETE	Edit Remove

Showing 1 to 4 of 4 entries

Save Quit Previous Next

1. First file's status is **Complete**
2. Select the **Apply All** link to apply the same attributes to all the files *OR*
3. Select the **Edit** link on each data file line to individually complete the attributes

Notes:

- The **Apply All** link will only display if the DUA has multiple files.
- It displays once data file attributes for the first data file selection have been completed.

DUA Requester – New Contractor DUA Request

New Data Files: Apply First Data File Attributes to All New Files

Apply Data Selection Attributes ✕

Select the data file(s) to which you wish to apply the selected data attributes.

<input checked="" type="checkbox"/> Select All	Data File Description	Status
<input type="checkbox"/>	CARR20 - CARRIER STANDARD ANALYTICAL FILE 20%	INCOMPLETE
<input type="checkbox"/>	CARR40 - CARRIER STANDARD ANALYTICAL FILE 40%	INCOMPLETE
<input type="checkbox"/>	CARR5 - CARRIER STANDARD ANALYTICAL FILE 5%	INCOMPLETE

Apply to DUA request

1. **Apply Data Selection Attributes** pop-up displays
2. Select the **Select All** check box to select all data files, or **Select** individual data files
3. Select the **Apply to DUA request** button

Note: When using the **Apply All** feature on **New** data files, all **Extraction** attributes (Year Range, From/To Years, and States/Quarters as applicable), **Custodian/Data Storage information**, and **Disseminating/Shipping** information will be applied to the selected files.

DUA Requester – New Contractor DUA Request

New Data Files: Status for All New Files Displays “Complete”

New / Re-Use DUA Request

Main Information → Data Selection → Upload Documents → Review & Submit

DUA Number : CONT-2018-54108

NEW DATA FILE(S) SELECTION

Required fields are marked with an asterisk (*).

Privacy Level : IDENTIFIABLE ?

Select Data File Descriptions Start typing to search...

- PDE22 - 20% PRESCRIPTION DRUG EVENT DATA
- MTSB - 25% Medicare Test Beneficiary Sample
- PDE24 - 40% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES)
- PDECF5 - 5% PART D CHARACTERISTICS FILES
- PARTD5 - 5% PART D MEDICARE SAMPLE PDE DATA
- DENOMP - 5% SAMPLE OF DENOMINATOR FILE (PUF)

Add selection to DUA request

Selected New Data File Descriptions

Data File Description	Extraction % / Cohort	From Year	To Year	Privacy Level	Status	Action
CARR - CARRIER STANDARD ANALYTICAL FILE 100%	100%	2010	2018	IDENTIFIABLE	COMPLETE	Edit Remove Apply All
CARR20 - CARRIER STANDARD ANALYTICAL FILE 20%	100%	2010	2018	IDENTIFIABLE	COMPLETE	Edit Remove
CARR40 - CARRIER STANDARD ANALYTICAL FILE 40%	100%	2010	2018	IDENTIFIABLE	COMPLETE	Edit Remove
CARR5 - CARRIER STANDARD ANALYTICAL FILE 5%	100%	2010	2018	IDENTIFIABLE	COMPLETE	Edit Remove

Showing 1 to 4 of 4 entries Previous Next

Save Quit Previous Next

1. New Data Files Selection screen re-displays
2. Status for all data files is **Complete**
3. Select the **Next** button

Note: Select **Remove** to remove a data file if applicable.

DUA Requester – New Contractor DUA Request

Upload Documents

New / Re-Use DUA Request

Main Information → Data Selection → **Upload Documents** → Review & Submit

DUA Number : CONT-2018-54108

UPLOAD DOCUMENTS

You may upload one or more documents to support your DUA.

	Document	Uploaded Files	Upload Document
1	SIGNATURE ADDENDUM		<input type="button" value="Upload Documents"/>

1. **Upload Documents** screen displays
2. Predefined document type displays in the table
3. Select the **Upload Documents** button to upload the document(s) from your local computer
4. Select the **Next** button

Notes:

- Max file size is 2 megabytes.
- Not all file types can be uploaded. EPPE will display a message when attempting to upload non-allowable file types.
- For easy recognition, please name files appropriately based on their contents.

DUA Requester – New Contractor DUA Request

Review the DUA

New / Re-Use DUA Request

Main Information → Data Selection → Upload Documents → Review & Submit

DUA Number : CONT-2018-54108

REVIEW

DUA Life Cycle +

MAIN INFORMATION

DUA Number :	CONT-2018-54108
DUA Customer Type :	Contractor
DUA Request Type :	CREATE DUA
DUA Status :	In Progress
Requester :	Ogre Shrek
Requester's Email :	fakepicnic@gmail.com
Requester's Phone Number :	(800) 301-5555
Last Updated By :	
Organization Name :	NORTH CAROLINA STATE UNIVERSITY
Project Name :	Requester Training Project

CMS Contact (COR)

First Name :	Taraji
Last Name :	Henson
Email Address :	fakepicnic@gmail.com
Phone Number :	(800) 555-1212

Contract Information

Contract Number :	CONT1234
Task Order Number :	TO-123456
Contract Period - Start Date :	01-04-2017
Contract Period - End Date :	12-31-2018

SUBCONTRACTOR ORGANIZATION(S)

UNIVERSITY OF NORTH CAROLINA

1. **Review** screen displays
2. This slide displays the following sections of the DUA:
 - **DUA Life Cycle Access** (select green plus icon)
 - **Main Information**
 - **CMS Contact (COR)**
 - **Contract Information**
 - **Sub-contractor Organization(s)**

Note: For better legibility, the screen picture is being displayed on two slides.

DUA Requester – New Contractor DUA Request

Review the DUA

DESY USERS

Search:

User Name	EUA User Id	Organization
Ogre Shrek	OS23	NORTH CAROLINA STATE UNIVERSITY

Showing 1 to 1 of 1 entries

DATA FILE DESCRIPTIONS

Data File Description		From Year	To Year
CARR - CARRIER STANDARD ANALYTICAL FILE 100%	NEW	2010	2018
CARR20 - CARRIER STANDARD ANALYTICAL FILE 20%	NEW	2010	2018
CARR40 - CARRIER STANDARD ANALYTICAL FILE 40%	NEW	2010	2018
CARR5 - CARRIER STANDARD ANALYTICAL FILE 5%	NEW	2010	2018
PARTD5 - 5 % PART D MEDICARE SAMPLE PDE DATA	RE-USE	2010	2017

Showing 1 to 5 of 6 entries

DOCUMENTS

Document	Uploaded Files
1 SIGNATURE ADDENDUM	Signature_Addendum.docx Download

Comments :

2000 characters remaining (2000 maximum)

Save Quit Previous Next

1. Second half of the **Review** screen displays the following sections:
 - **DESY Users**
 - **Data File Descriptions** for new and re-used files (select green plus icon to see details)
 - **Documents**
2. Enter **Comments** if applicable
3. Select the **Next** button

DUA Requester – New Contractor DUA Request

Accept Terms and Conditions and Submit the DUA

New / Re-Use DUA Request

Main Information Data Selection Upload Documents Review & Submit

DUA Number: CONT-2018-54108

TERMS & CONDITIONS

This Agreement governs the requesting organization's ("you/you") receipt and use of data from the Centers for Medicare & Medicaid Services ("CMS"), a component of the U.S. Department of Health and Human Services ("HHS"). This Agreement covers the CMS data files you requested and the corresponding purposes for their use, as specified in the Enterprise Privacy Policy Engine ("EPPE") system.

CMS agrees to provide you with the data files specified in the DUA Request, which reside in a CMS Privacy Act System of Records ("SOR"). In exchange, you agree to: (a) pay any applicable fees; (b) use the data only for purposes that support your study, research, or project, as specified in the DUA Request, which CMS has determined to be valuable in helping CMS monitor, manage, and improve the Medicare and Medicaid programs and/or services provided to beneficiaries; and (c) to ensure the integrity, security, and confidentiality of the data by complying with the terms of this Agreement and any applicable law(s), including the Privacy Act (5 U.S.C. §552a) and Privacy Rule of the Health Insurance Portability and Accountability Act (HIPAA) (45 C.F.R. Subpart C, Parts 160 and Part 164, Subparts A and E). This Agreement is intended to: (a) secure data that reside in a CMS Privacy Act SOR; (b) ensure the integrity, security, and confidentiality of information maintained by CMS; and (c) permit appropriate disclosure and use of such data as permitted by law.

1. This Agreement addresses the conditions under which CMS will release and you will obtain, use, reuse, and disclose the CMS data files specified in the DUA Request. This Agreement also pertains to and covers any derivative files which may contain direct individual identifiers or elements that can be used in concert with other information to identify individuals. For all data released under this Agreement, the legal clauses contained herein supersede any and all agreements between you and CMS, and preempt and overrides any instructions, directions, agreements, or other understandings pertaining to any grant award or prior communication with HHS (or any of its components).

The terms of this Agreement can be changed only by a written modification to this Agreement or through adoption of a new agreement. Any instructions or interpretations issued to you concerning this Agreement or the data specified in the DUA Request are not considered valid unless issued in writing by the appropriate CMS representative associated with the project (e.g., Contracting Officer's Representative/Government Task Leader, Program Office, System Manager, etc.).

2. You agree that CMS retains all ownership rights to the data files specified in the DUA Request, and that you do not obtain any right, title, or interest in any of the data released by CMS.

3. You represent that the data files covered by this Agreement will be used solely for the purposes described in the DUA Request. In releasing the data files, CMS relies upon your representation.

You represent that the facts and statements made in any study, research proposal, or project plans listed in the DUA Request are complete and accurate. You also represent that said study protocols or project plans, which have been approved by CMS or another appropriate entity as CMS may determine, represent the total uses for which you will use the released data files.

You agree not to disclose, use, or reuse the data covered by this Agreement, except: (a) as specified in an Alter/Amend submitted in the FEA Request (b) as authorized by CMS, or (c) as otherwise required by law. You also agree not to sell, rent, lease, loan, or otherwise grant access to the data covered by this Agreement, unless you receive express permission from CMS.

You affirm that the requested data is the minimum necessary to achieve the purposes covered by this Agreement. You agree that, within your organization and the organization of your agents, access to the data covered by this Agreement shall be limited to the minimum amount of data and minimum number of individuals necessary to achieve the specified purposes (i.e., individual's access to the data will be on a need-to-know basis).

4. You agree that you may retain the files covered by this Agreement as well as any derivative files—including those that directly identify individuals, or that directly identify living firms and/or such firms' proprietary, confidential, or specific business information, which in concert with other information can be used to identify individuals—until the End Date specified in the DUA Request. If the purposes covered by this Agreement are completed before the specified End Date, you agree to notify CMS within 30 days of completion of those purposes (upon such notice or the End Date, whichever occurs first). You agree to destroy the data in your possession covered by this Agreement and provide certification of disposition of the files identified in the EPPE system within 30 days. You agree not to retain the files covered by this Agreement or any parts of the files after the notice of disposition, unless the appropriate CMS representative overseeing the project grants written authorization. You acknowledge that the End Date is not contingent on any action by CMS.

You understand that you, or CMS, may terminate this Agreement at any time. For any reason, upon 30 days written notice. Upon notice of termination, CMS will cease releasing the requested data files to you, and will notify you to destroy any data files in your possession. Sections 2, 3, 4, 6, 7, 8, 9, 11, 12, and 13 shall survive termination of this Agreement.

5. You agree to establish appropriate administrative, technical, and physical safeguards to protect the confidentiality of the data and to prevent unauthorized use or access to it. The safeguards shall provide a level and scope of security that is not less than the level and scope of security requirements established by the following documents:

- Office of Management and Budget (OMB), "OMB Circular No. A-130, Appendix II—Security of Federal Automated Information Resources" available at https://www.electronicprivacycenter.ohio.gov/ohioecprc_circular_a130_a130appendix_ii
- National Institute of Standards and Technology (NIST), "Federal Information Processing Standards Publication 200—Minimum Security Requirements for Federal Information and Information Systems" available at <http://csrc.nist.gov/csrc/nw/foip/200/FIPS-200-final-march.pdf>
- National Institute of Standards and Technology (NIST), "Special Publication 800-53—Security and Privacy Controls for Federal Information Systems and Organizations," available at <http://nvlpubs.nist.gov/nvlpubs/SpecialPublications/NIST.SP.800-53a.pdf>
- CMS Office of Information Services, "Acceptable Risk Safeguards, Appendix B—CMSR Moderate Impact Level Data," available at http://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/InformationSecurityDownloads/CMS_App_B_CMSR_Moderate.pdf

You acknowledge that the use of unsecured telecommunications, including the Internet, to transmit individually identifiable, bidder identifiable, or deducible information derived from the files covered by this Agreement is prohibited. You also agree that the data must not be physically moved, transmitted, or disclosed in any way from or by the site indicated in the DUA Request without written approval from CMS, unless such movement, transmission, or disclosure is required by law.

6. You agree to grant physical and/or electronic access to authorized representatives of CMS and/or HHS Office of the Inspector General ("OIG") for inspection of the site indicated in the DUA Request to confirm compliance with the terms of this Agreement.

7. You agree not to disclose direct findings, findings, or information derived from the files covered by this Agreement with or without identifiers of such findings, findings, or information can be themselves or in combination with other data be used to deduce an individual's identity. Examples of such data elements include, but are not limited to geographic location, age if 18, sex, diagnosis and procedure, admission/discharge dates, or date of death.

You agree that any use of CMS data in the creation of any document (e.g., manuscript, table, chart, study, report, etc.) concerning the purposes covered by this Agreement—regardless of whether the written product expressly refers to those purposes, CMS, the requested data files, or any data derived from such files—must adhere to CMS current cell site suppression policy. This policy stipulates that no cell (e.g., instructions, diagnoses, patients, services, etc.) 10 or less may be displayed. Also, no use of percentages or other mathematical formulas may be used if they result in the display of a cell 10 or less. You agree to abide by these rules, and therefore, will not be required to submit any written documents for CMS review. If you are unsure whether you meet the above criteria, you may submit your written products for CMS review. CMS may withhold approval for publication only if it determines that this format in which data are presented may result in identification of individual beneficiaries.

8. You agree that, absent express written authorization from the appropriate CMS representative associated with the project to do so, you shall not attempt to link records included in the files covered by this Agreement to any other individually identifiable source of information. This includes attempts to link the specified data to other CMS data files, CMS approval of study, research, or project protocols covered by this Agreement that include instruction for the linkage of specific files constitutes express authorization from CMS to link files, but only in the manner described in the protocols.

9. You understand and agree that you may not reuse original and/or derivative data files without prior written approval from the appropriate CMS representative associated with the project.

10. You agree that the Attachments uploaded electronically to the DUA Request are incorporated into this Agreement.

11. You agree that, in the event CMS determines or reasonably believes that you have made or may have made an unauthorized use, reuse, or disclosure of the files covered by this Agreement or another written authorization from the appropriate CMS representative associated with the project, then CMS—of its sole discretion—may require you to: (a) promptly investigate and report to CMS any of your conversations regarding all alleged or actual unauthorized use, reuse, or disclosure; (b) promptly resolve any problems identified by the investigation; (c) if requested by CMS, submit a formal response to any allegations of unauthorized use, reuse, or disclosure; (d) if requested by CMS, submit a corrective action plan with steps designed to prevent any future unauthorized uses, reuse, or disclosures; and/or (e) if requested by CMS, return or destroy the data files covered by this Agreement to CMS, as well as any derivative files containing information from the files released under this Agreement. You understand that as a result CMS' determination or reasonable belief that unauthorized uses, reuse, or disclosures have taken place, CMS may determine a period of time during which you are excluded from access to CMS data.

You agree to report any breach, civil, or unauthorized disclosure of protected health information (PHI) and/or personally identifiable information (PII) from the files covered by this Agreement to the CMS and/or HHS Office of Inspector General (OIG) by telephone at (410) 786-2000 or by e-mail notification at cms_pi_service_dekl@cms.hhs.gov within 1 hour and to cooperate fully in the federal security incident process. While CMS retains all ownership rights to the data files, as outlined above, you agree to bear the cost and liability for any breaches of PHI and/or PII from the data files when they are returned to you. Furthermore, if CMS determines that the risk of harm requires notification of affected individual persons regarding the security breach and/or other remedies, you agree to carry out these notices without cost to CMS.

12. You acknowledge that criminal penalties under Section 1100(a) of the Social Security Act (42 U.S.C. § 1100(a)), including a fine not exceeding \$10,000 or imprisonment not exceeding 5 years, or both, may apply to disclosure of information that are covered by Section 1100 and that are not authorized by regulation or by Federal law. You further acknowledge that criminal penalties under the Privacy Act (5 U.S.C. § 552a) may apply if it is determined that the Requester, Customer, or any individual employed or affiliated therewith, knowingly and willfully obtained the files under false pretenses. Any person found to have violated the above-cited section of the Privacy Act shall be guilty of a misdemeanor and fined not more than \$5,000. Finally, you acknowledge that criminal penalties may be imposed under 18 U.S.C. § 541 if it is determined that you or any individual employed or affiliated therewith, has taken or converted the data files to their own use, or received the data knowing that the files had been stolen or converted. Under such circumstances, they shall be fined under Title 18 or imprisoned not more than 10 years, or both, but if the value of such property does not exceed the sum of \$1,000, they shall be fined under Title 18 or imprisoned not more than 1 year, or both.

You acknowledge that in the event of a breach of this Agreement, additional criminal, civil, and/or administrative penalties, assessments, or fees may be determined as applicable by law.

13. By clicking "Agree," you attest that you are authorized to legally bind the requesting organization listed in the DUA Request, and agree to all the terms specified herein. Furthermore, you agree to abide by all provisions set out in this Agreement and acknowledge having received notice of potential criminal, civil, and/or administrative penalties for violation of the terms of this Agreement.

I agree to the terms and conditions above.

Previous Submit

1. Terms and Conditions screen displays
2. Select the I agree to the terms and conditions checkbox
3. Use your browser to print if applicable
4. Select Submit

DUA Requester – New Contractor DUA Request

DUA Submission Confirmation

New / Re-Use DUA Request [Print DUA](#)

[Main information](#) [Data Selection](#) [Upload Documents](#) [Review & Submit](#)

DUA Number : CONT-2018-54108

DUA REQUEST STATUS

Your DUA request CONT-2018-54108 has been submitted for approval. You will receive a follow-up email notification. To view the status of your DUA request navigate to "My DUA(s)".

DUA Life Cycle

MAIN INFORMATION

DUA Number : CONT-2018-54108
DUA Customer Type : Contractor
DUA Request Type : CREATE DUA
DUA Status : Submitted
Requested Date : 02-20-2018
Requester : Ogre Shrik
Requester's Email : fakepicnic@gmail.com
Requester's Phone Number : (800) 301-5555
Last Updated By :
Organization Name : NORTH CAROLINA STATE UNIVERSITY
Project Name : Requester Training Project

CMS Contact (COR)

First Name : Toraj
Last Name : Henson
Email Address : fakepicnic@gmail.com
Phone Number : (800) 555-1212

Contract Information

Contract Number : CONT1234
Task Order Number : TO-123456
Contract Period - Start Date : 01-04-2017
Contract Period - End Date : 12-31-2018

SUBCONTRACTOR ORGANIZATION(S)
UNIVERSITY OF NORTH CAROLINA

DESY USERS

Search:

User Name	EMA User ID	Organization
Ogre Shrik	OS23	NORTH CAROLINA STATE UNIVERSITY

Showing 1 to 1 of 1 entries

DATA FILE DESCRIPTIONS

Data File Description		From Year	To Year
CARR - CARRIER STANDARD ANALYTICAL FILE 100%	NEW	2010	2018
CARR20 - CARRIER STANDARD ANALYTICAL FILE 20%	NEW	2010	2018
CARR40 - CARRIER STANDARD ANALYTICAL FILE 40%	NEW	2010	2018
CARR5 - CARRIER STANDARD ANALYTICAL FILE 5%	NEW	2010	2018
PART05 - 5 % PART D MEDICARE SAMPLE PDE DATA	RE-USE	2010	2017

Showing 1 to 5 of 6 entries

DOCUMENTS

Document	Uploaded Files
1 SIGNATURE ADDENDUM	Signature_Addendum.docx Download

1. **Submission confirmation message** screen displays - shown here in 2 sections
2. **Submitted Queue** is accessible from the menu
3. **COR** will find the DUA in their **Pending Actions** queue

DUA Requester – DUA Life Cycle

Displaying the DUA Life Cycle

New / Re-Use DUA Request [Print DUA](#)

Main Information → Data Selection → Upload Documents → Review & Submit

DUA Number : CONT-2018-54108

DUA REQUEST STATUS

Your DUA request CONT-2018-54108 has been submitted for approval. You will receive a follow-up email notification. To view the status of your DUA request navigate to "My DUA(s)".

DUA Life Cycle 

MAIN INFORMATION

DUA Number :	CONT-2018-54108
DUA Customer Type :	Contractor
DUA Request Type :	CREATE DUA
DUA Status :	Submitted
Requested Date :	02-20-2018
Requester :	Ogre Shrek
Requester's Email :	fakepicnic@gmail.com
Requester's Phone Number :	(800) 301-5555
Last Updated By :	
Organization Name :	NORTH CAROLINA STATE UNIVERSITY
Project Name :	Requester Training Project

Select the **Green Plus Sign Icon** to view the **DUA Life Cycle**

DUA Requester – DUA Life Cycle

Status Progressions and Actions Display

New / Re-Use DUA Request [Print DUA](#)

Main Information → Data Selection → Upload Documents → Review & Submit

DUA Number : CONT-2018-54108

DUA REQUEST STATUS

Your DUA request CONT-2018-54108 has been submitted for approval. You will receive a follow-up email notification. To view the status of your DUA request navigate to "My DUA(s)".

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments	Special Instructions
Submitted-Waiting for CMS COR Approval	Feb 20, 2018 12:47:44 PM	CREATE DUA	Ogre Shrek		
In Progress	Feb 16, 2018 2:20:51 PM	CREATE DUA	Ogre Shrek		
In Progress	Feb 16, 2018 2:15:01 PM	CREATE DUA	Ogre Shrek		
In Progress	Feb 16, 2018 12:21:41 PM	CREATE DUA	Ogre Shrek		
In Progress	Feb 16, 2018 11:39:57 AM	CREATE DUA	Ogre Shrek		

Showing 1 to 5 of 13 entries [Previous](#) [1](#) [2](#) [3](#) [Next](#)

MAIN INFORMATION

DUA Number : CONT-2018-54108
DUA Customer Type : Contractor
DUA Request Type : CREATE DUA
DUA Status : Submitted
Requested Date : 02/20/2018
Requester : Ogre Shrek
Requester's Email : takepicnc@gmail.com
Requester's Phone Number : (800) 301-5555
Last Updated By :
Organization Name : NORTH CAROLINA STATE UNIVERSITY
Project Name : Requester Training Project

1. **DUA Life Cycle** details display
2. Select the **Next** button to scroll through the life cycle list if applicable
3. Select the **Red Negative Sign Icon** to collapse the **DUA Life Cycle** table

DUA Requester – Print DUA

How to Print the DUA

The screenshot displays the 'New / Re-Use DUA Request' interface. At the top, there is a navigation bar with a 'Print DUA' button. Below this, a progress bar shows four steps: 'Main Information', 'Data Selection', 'Upload Documents', and 'Review & Submit'. The 'DUA Number : CONT-2018-54108' is displayed. A 'DUA REQUEST STATUS' section contains a message: 'Your DUA request CONT-2018-54108 has been submitted for approval. You will receive a follow-up email notification. To view the status of your DUA request navigate to "My DUA(s)".' Below this is a 'DUA Life Cycle' section with a green play button icon. The 'MAIN INFORMATION' section is a table with the following data:

DUA Number :	CONT-2018-54108
DUA Customer Type :	Contractor
DUA Request Type :	CREATE DUA
DUA Status :	Submitted
Requested Date :	02-20-2018
Requester :	Ogre Shrek
Requester's Email :	fakepicnic@gmail.com
Requester's Phone Number :	(800) 301-5555
Last Updated By :	
Organization Name :	NORTH CAROLINA STATE UNIVERSITY
Project Name :	Requester Training Project

Select the **Print DUA** button at the top of the screen to access printing options

DUA Requester – Print DUA

DUA in HTML Displays for Printing

DUA: CONT-2018-54108

MAIN INFORMATION

DUA Number: CONT 2018-54108
 DUA Customer Type: Contractor
 DUA Status: Submitted-Waiting for CMS COR Approval
 Requested Date: 2/20/2018
 Requester: Open Blank
 Requester Organization Name: NORTH CAROLINA STATE UNIVERSITY
 Requester Email Address: fikept@ncsu@gmail.com
 Requester Phone Number: (919) 351-5555
 Project Name: Requester Training Project
 Privacy Act Authorization Code:

CMS Contact (COR)

Name: Taraji Hesoun
 Email: fikept@ncsu@gmail.com
 Phone Number: 4909 555-1212

Contract Information

Contract Number: CONT1234
 Task Order Number: TO-123456
 Contract Period - Start Date: 1/4/2017
 Contract Period - End Date: 12/31/2018

Subcontracting Organization

1. UNIVERSITY OF NORTH CAROLINA

DOCUMENTS

1. Signature_AidArshana.docx

DESY USERS

ID	User Name	DUA User Id	Organization	Email Address	Phone Number	Address
1	Open Blank	0923	NORTH CAROLINA STATE UNIVERSITY	fikept@ncsu@gmail.com	(919) 351-5555	11 Rock Quarry Road, Raleigh, North Carolina, 27610, USA

DATA FILE DESCRIPTION

ID	Data File Description	From Year	To Year	Quarter(s)	Extraction %	Re-Curl From DUA	Access Type	Status	Disposition Reason
1	CARR - CARRIER STANDARD ANALYTICAL FILE 100%	2010	2018		100%		BOTH DIRECT ACCESS AND SHIPPING	Open	
2	CARD2 - CARRIER STANDARD ANALYTICAL FILE 2%	2010	2018		100%		BOTH DIRECT ACCESS AND SHIPPING	Open	
3	CARR40 - CARRIER STANDARD ANALYTICAL FILE 40%	2010	2018		100%		BOTH DIRECT ACCESS AND SHIPPING	Open	
4	CARR20 - CARRIER STANDARD ANALYTICAL FILE 20%	2010	2018		100%		BOTH DIRECT ACCESS AND SHIPPING	Open	

CUSTODIANS

ID	Custodian	Organization	Address	Email Address	Phone Number
1	Open Blank	NORTH CAROLINA STATE UNIVERSITY	11 Rock Quarry Road, Raleigh, North Carolina, 27610, USA	fikept@ncsu@gmail.com	(919) 351-5555 Ext:
2	Mary Gentry	NORTH CAROLINA STATE UNIVERSITY	6584 Phyllis Drive, Chapel Hill, North Carolina, 27599, USA	mgentry@ncsu.com	(919) 555-1212 Ext:
3	Mary Pickett-Smith	UNIVERSITY OF NORTH CAROLINA	2195 KERR HALL, CAMPUS BOX 7600, CHAPEL HILL, North Carolina, 27599, USA	mpsm@uncp.edu	(919) 555-1212 Ext:

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments
Scheduled Waiting for CMS COR Approval	Tue Feb 20 12:47:41 EST 2018	CREATE DUA	Open Blank	
In Progress	Fri Feb 16 14:26:31 EST 2018	CREATE DUA	Open Blank	
In Progress	Fri Feb 16 14:51:01 EST 2018	CREATE DUA	Open Blank	
In Progress	Fri Feb 16 12:21:41 EST 2018	CREATE DUA	Open Blank	
In Progress	Fri Feb 16 11:36:57 EST 2018	CREATE DUA	Open Blank	
In Progress	Fri Feb 16 10:49:09 EST 2018	CREATE DUA	Open Blank	
In Progress	Fri Feb 16 09:51:30 EST 2018	CREATE DUA	Open Blank	
In Progress	Fri Feb 16 09:11:00 EST 2018	CREATE DUA	Open Blank	
In Progress	Thu Feb 15 10:47:32 EST 2018	CREATE DUA	Open Blank	
In Progress	Thu Feb 15 10:43:41 EST 2018	CREATE DUA	Open Blank	
In Progress	Thu Feb 15 10:15:30 EST 2018	CREATE DUA	Open Blank	
In Progress	Wed Feb 14 16:24:48 EST 2018	CREATE DUA	Open Blank	
In Progress	Wed Feb 14 16:06:07 EST 2018	CREATE DUA	Open Blank	

1. DUA Displays in HTML format for printing
2. Sections displayed are:
 - Main Information
 - CMS Contact (COR)
 - Contract Information
 - Sub-contracting Organization
 - Documents
 - DESY Users
 - Data File Descriptions
 - Custodians
 - DUA Life Cycle
3. Select the **Print** link to:
 - Print the DUA or
 - Save the DUA in PDF format

DUA QUEUES

DUA Requester –DUA Queues

DUA Queues Applicable to Requester DUA Entry

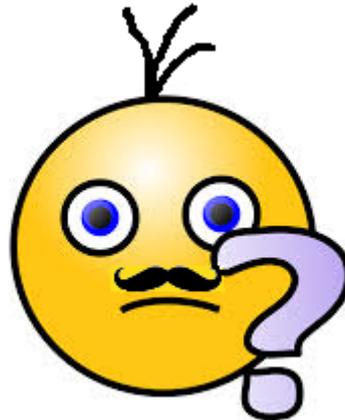
Queue	Description
Un-Finished	<ul style="list-style-type: none">• Displays incomplete DUAs from the New/Re-use (Create) DUA Process, or the Update/Amend DUA Process. The DUA Status is In Progress.• DUAs can be viewed, or edited to Submitted status.
Submitted	<ul style="list-style-type: none">• Displays DUAs that have been completed to Submitted status.• DUAs are ready for approval by the CMS Contact (COR).• DUAs in Submitted status can not be edited by the Requester.
Pending Actions	<ul style="list-style-type: none">• Displays DUAs for which the CMS Contact (COR) has requested more information.• Requester should provide the requested information and complete the DUA to Submitted status for CMS Contact (COR) approval.

DUA Requester – DUA Queues

DUA Queues Applicable to Requester DUA Entry, Cont...

Queue	Description
Approved	<ul style="list-style-type: none">• Displays DUAs which have been approved by the CMS Contact (COR) and Certified by the DMT. Note: DUAs in Approved status can be accessed through the Update/Amend menu option if they need to be edited after approval. Update/Amend will be discussed in another training session• DUAs are ready for order creation by the Extractor.
Denied	<ul style="list-style-type: none">• Displays DUAs that have been denied by the CMS Contact (COR).• DUAs in Denied status can not be edited by the Requester.

DUA Requester – Help



EPPE Help Desk Contact Information

Hours of Operation: Monday – Friday 9:00 AM to 6:00 PM EST

844-EPPE-DUA (844-377-3382)

eppe@cms.hhs.gov