

# Enterprise Privacy Policy Engine (EPPE)



**Contractor DUA Training Slide Deck #6:  
Requester - Update/Amend the DUA  
and DUA Search**

# Contractor Requester Training Topics

## Training Topics in this Module

- EPPE Roles Associated with Contractor DUAs in the Update/Amend Process
  - High Level Contractor DUA Approval Workflow
- Basic Information About EPPE
- EPPE Login
- DUA Queues Applicable to the Update/Amend Process
  - Un-Finished
  - Submitted
  - Pending Actions
  - Approved
  - Denied
- Update/Amend Contractor DUA(s)
- Search for DUA(s)

# EPPE REQUESTER ROLES AND WORKFLOW

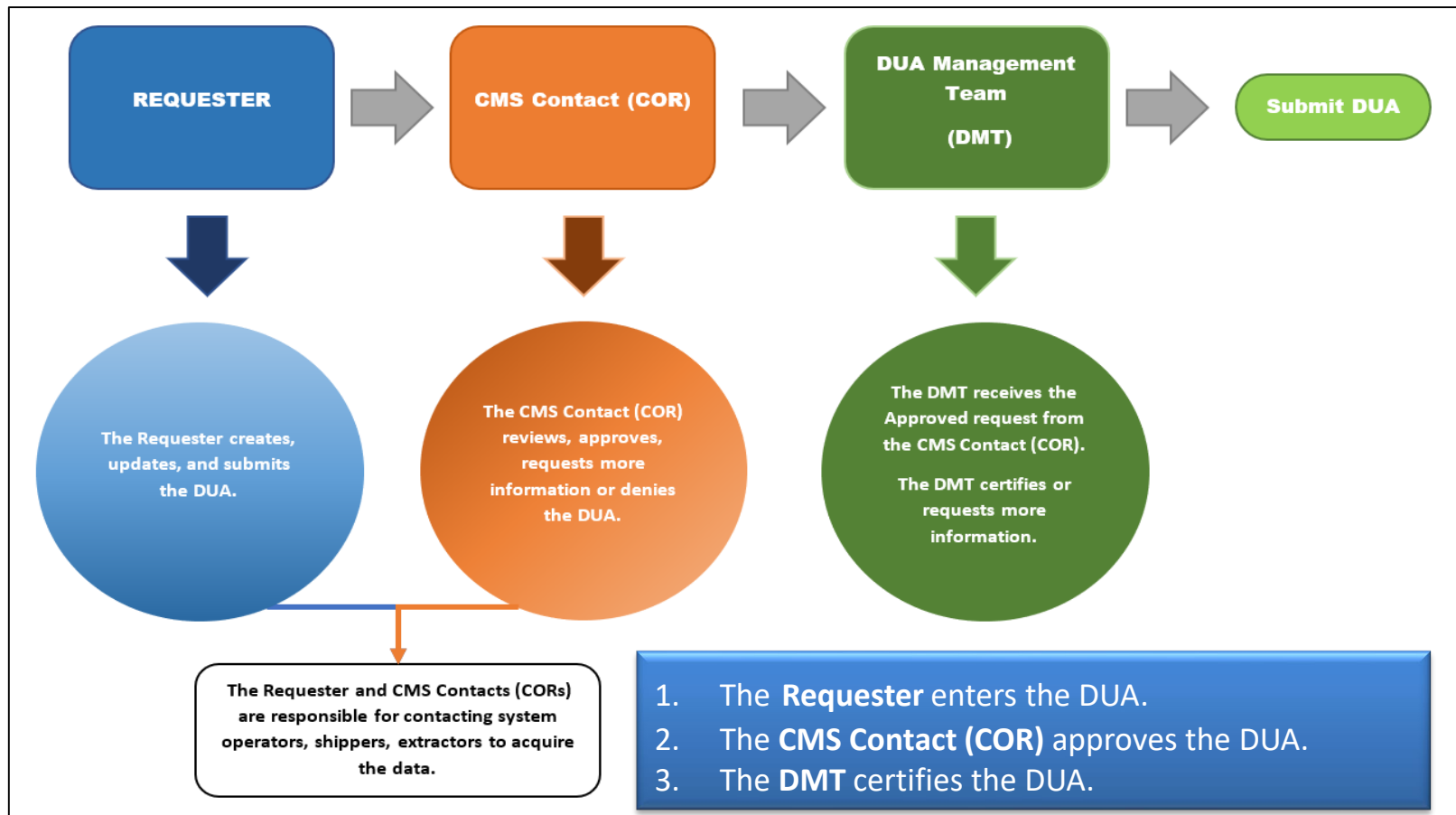
# Requester Contractor DUA Workflow Roles

## 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



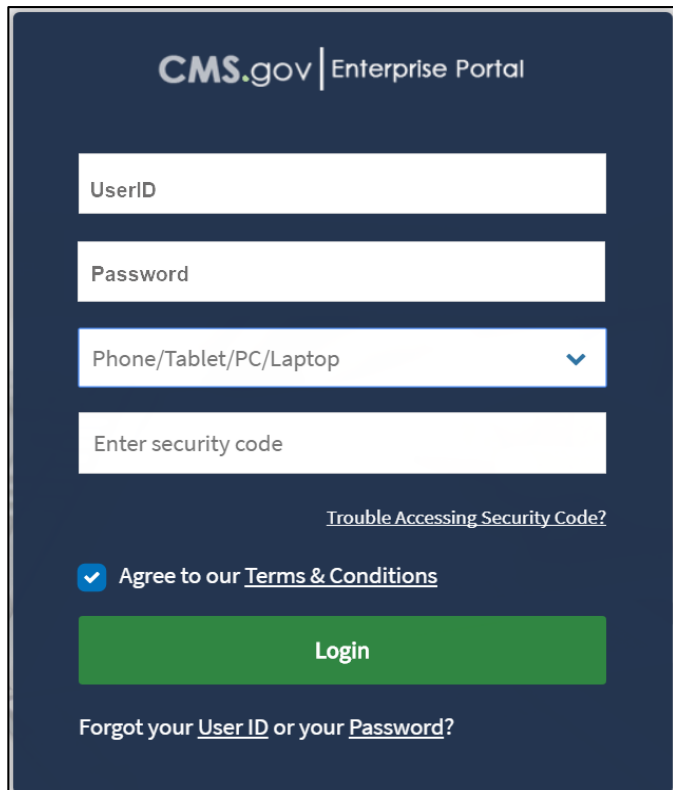
A red asterisks denotes that a field is required to be entered.



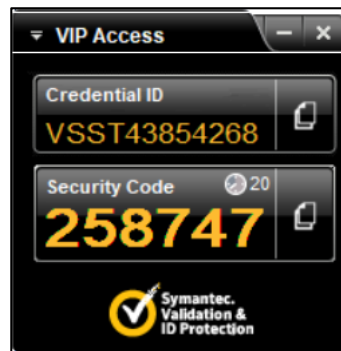
The question mark icon when selected will display field specific help.

# EPPE Login

## Login to EPPE as a DUA Requester



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



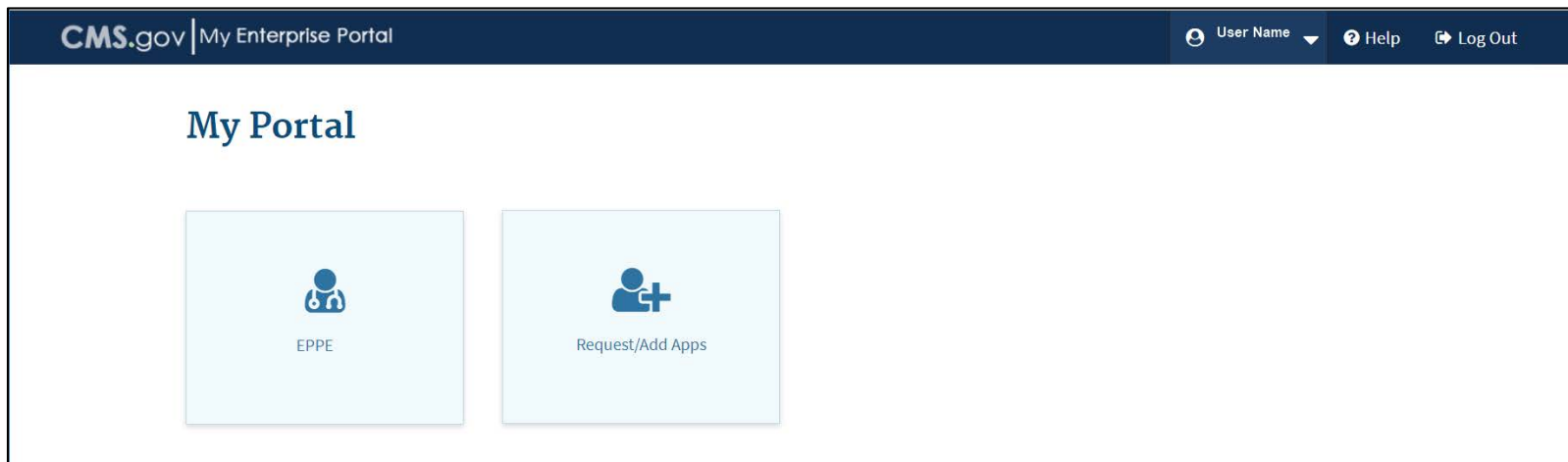
1. Access the **CMS Enterprise Portal** once your **DUA Requester Role** access has been approved.
2. Enter your **User ID**.
3. Enter Your **Password**.
4. Choose the **MFA Device**.
5. Enter the **Security Code** from the **VIP Access Software**.
6. Select the **Agree to our Terms & Conditions** button.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

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



# DUA Requester – EPPE Login

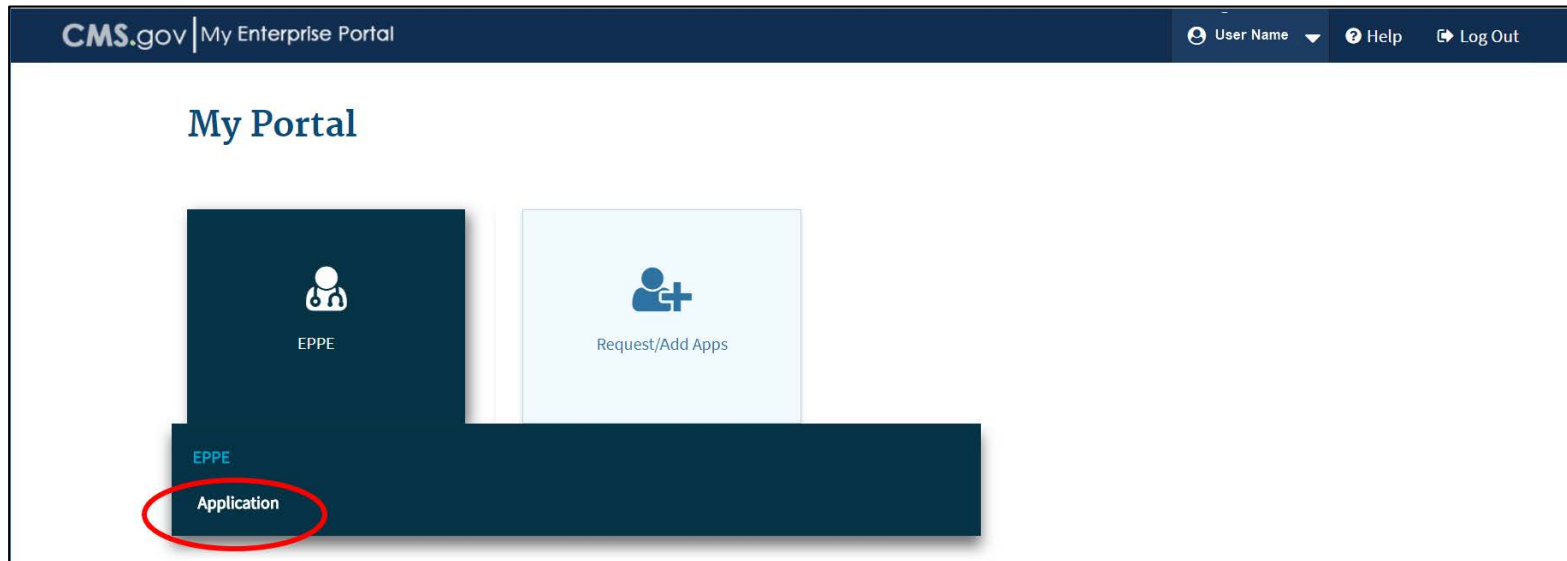
## CMS Portal: Access the EPPE Application



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

# DUA Requester – EPPE Login

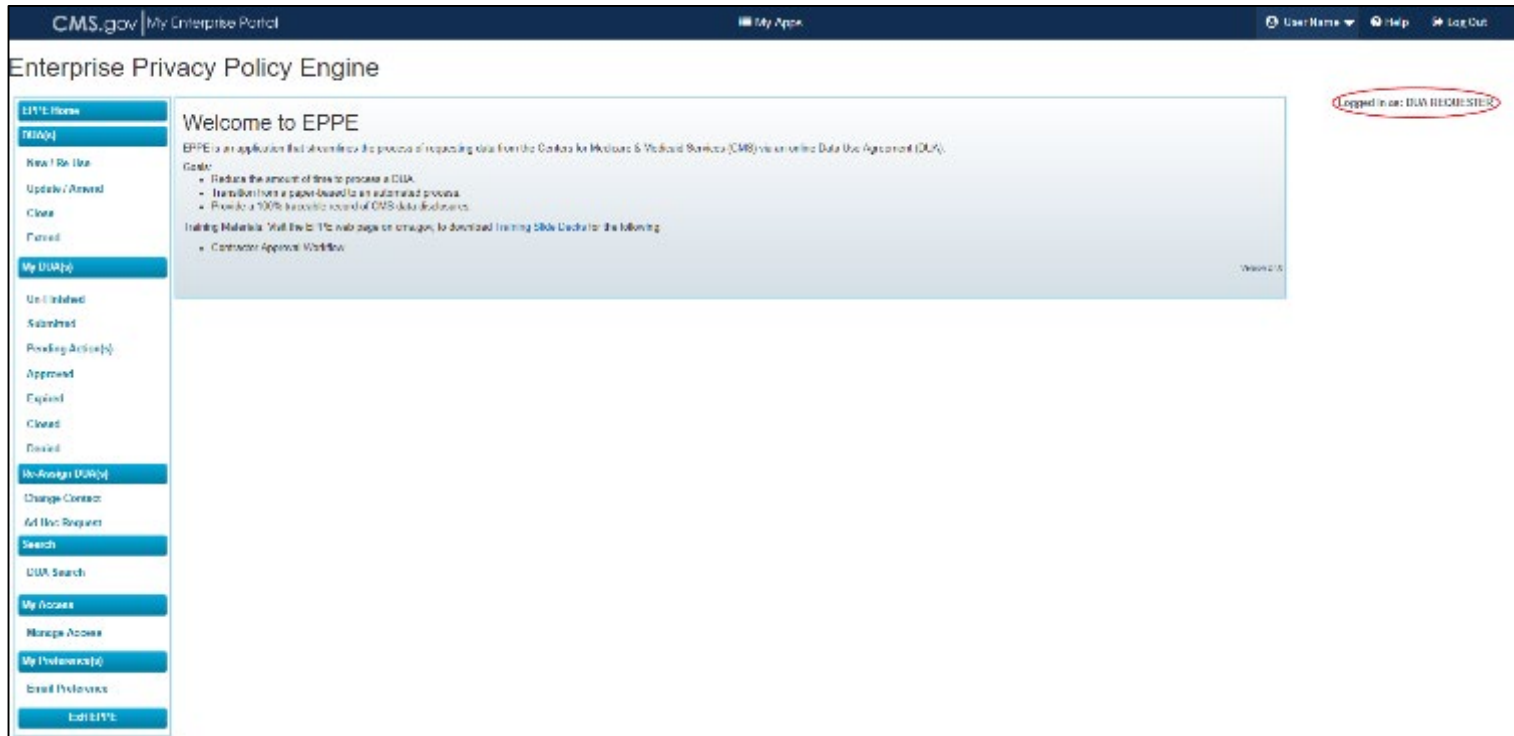
## CMS Portal: Access the EPPE Application



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

# DUA Requester – EPPE Login

## EPPE Welcome Screen and Menu

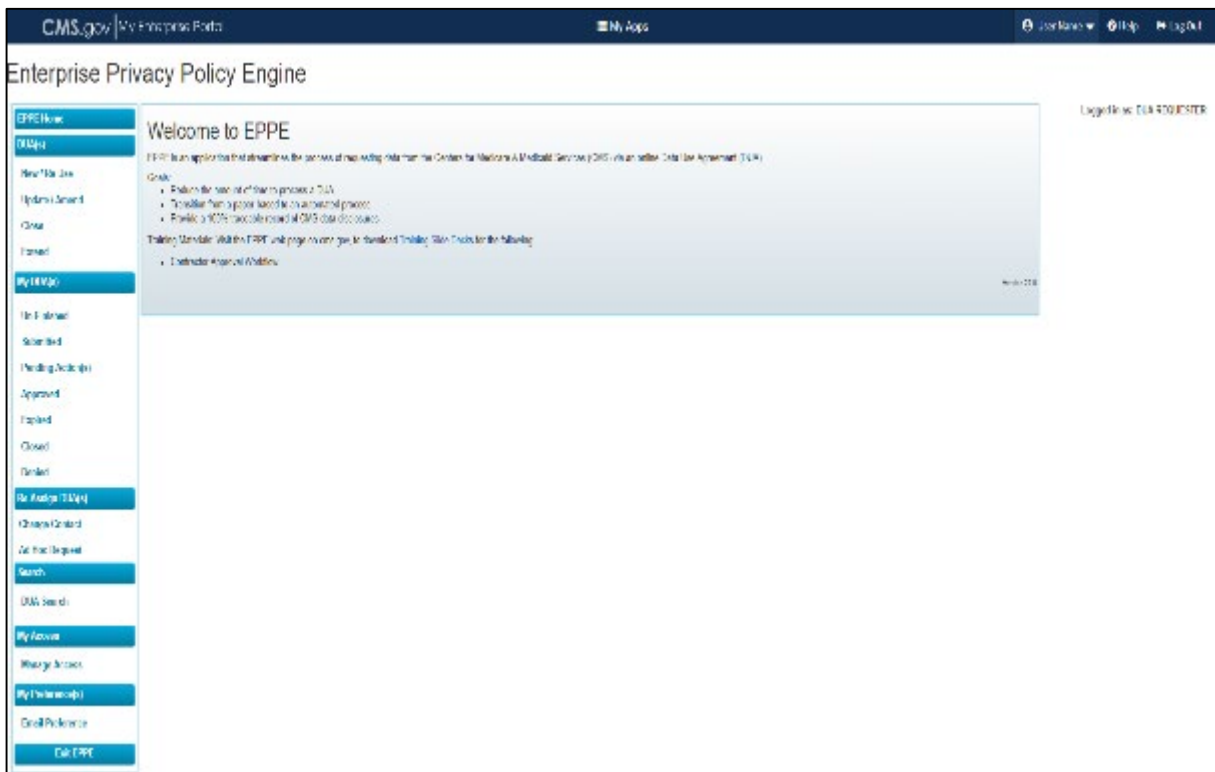


The **EPPE Welcome Screen** displays with the **EPPE Menu** for the **DUA Requester**.

# DUA QUEUES APPLICABLE TO UPDATE/AMEND

# DUA Requester – DUA Queues

## DUA Queues Used in the Update/Amend Process



DUA Queues which are applicable to the Requester DUA Update/Amend process are located on the DUA(s) menu:

- **Un-Finished**
- **Submitted**
- **Pending Action(s)**
- **Approved**
- **Denied**

# DUA Requester – DUA Queues

## DUA Queues Used in the Requester DUA Update/Amend Process

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

# DUA Requester – DUA Queues

## DUA Queues Used in the Requester DUA Update/Amend Process, Cont...

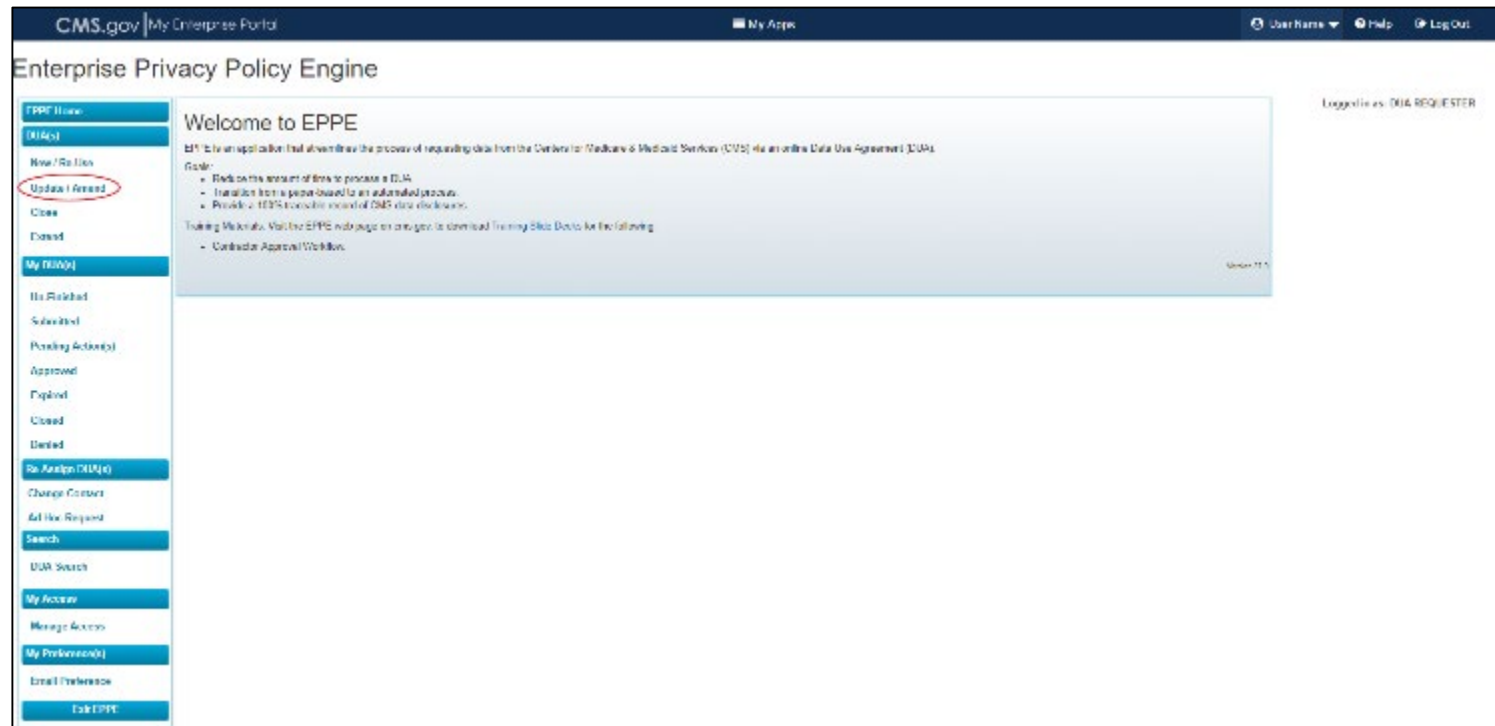
Queue	Description
<b>Approved</b>	<ul style="list-style-type: none"><li>Displays DUAs which have been <b>approved by the CMS Contact (COR) and Certified by the DMT</b>. <b>Note:</b> DUAs in <b>Approved</b> status can be accessed through the <b>Update/Amend</b> menu option if they need to be edited after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

# UPDATE/AMEND A DUA



# DUA Requester – Update/Amend

## EPPE Menu



Select the **Update / Amend** option on the DUA(s) menu to display a list of Approved DUAs that can be updated.

# DUA Requester – Update/Amend

## List of DUAs Eligible to Update

**DUA**

UPDATE DUA  
PLEASE SELECT ONE OF THE DUA TO UPDATE

Search:

DUA Number	Organization	Requester	Request Date	Status	
CONT-2018-53372	NORTH CAROLINA STATE UNIVERSITY	Taraji Henson	1-5-2018	Approved	<a href="#">View</a>
CONT-2018-54153	NORTH CAROLINA STATE UNIVERSITY	Taraji Henson	2-21-2018	Approved	<a href="#">View</a>

Showing 1 to 2 of 2 entries

[Previous](#) [Next](#)

1. A list of Approved DUAs displays.
2. Select the **View** link or **Search** for the DUA to update.

**Note:** If there are multiple pages of Approved DUAs, the **Previous** and **Next** buttons become enabled for scrolling through the listing.

# DUA Requester – Update/Amend

## DUA Displays

MY DUA

Print DUA

### DUA Life Cycle

MAIN INFORMATION

DUA Number: CONT 2016-54153  
DUA Customer Type: Contractor  
DUA Category: 42 - CMS PROGRAMS  
DUA Status: Approved  
Expiration Date: 09-30-2019  
Requested Date: 02-21-2018  
Requester: Terry Henson  
Requester's Email: thenson@ncsu.edu  
Requester's Phone Number: (800) 555-1212  
Last Updated By: [blank]  
Organization Name: NORTH CAROLINA STATE UNIVERSITY  
Project Name: Extend Test

CMS Contact (COR)

First Name: Terry  
Last Name: Henson  
Email Address: thenson@ncsu.edu  
Phone Number: (800) 555-1212

Contract Information

Contract Number: CONT1234  
Task Order Number: TO-123456  
Contract Period - Start Date: 04-04-2017  
Contract Period - End Date: 09-30-2018

### CUSTODIAN/KEY USERS

Search: [input]

User Name	DUA User ID	Organization
No data available in table		

Showing 0 to 0 of 0 entries

### DATA FILE DESCRIPTIONS

Data File Description	From Year	To Year	
PER22 - 20% PRESCRIPTION DRUG EVENT DATA	2010	2018	✓
PER24 - 40% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES)	2010	2018	✓
PERCOPS - 5 % PART D CHARACTERISTICS FILES	2010	2018	✓

Showing 1 to 3 of 3 entries

### DOCUMENTS

Document	Uploaded Files
1 SIGNATURE ADDENDUM	Signature_Addendum.docx <a href="#">Download</a>

Update

1. The **My DUA** screen displays.
2. Select the **Update** button.

# DUA Requester – Update/Amend

## DUA Review Screen Displays

**Update DUA Request**

DUA Number : CONT-2019-54153

**REVIEW**

Updated DUA Request

[View Approved Version](#)

**DUA Life Cycle**

**MAIN INFORMATION** [Edit](#)

DUA Number : CONT-2019-54153  
DUA Customer Type : Contractor  
DUA Category : 42 - CMS PROGRAMS  
DUA Request Type : UPDATE DUA  
DUA Status : In Progress  
Expiration Date : 06-30-2018  
Requested Date : 02-24-2018  
Requester : Terap Hansen  
Requester's Email : teraphcn@gmail.com  
Requester's Phone Number : (800) 555-1212  
Last Updated By :  
Organization Name : NORTH CAROLINA STATE UNIVERSITY  
Project Name : Extend Test  
**GMS Contact (GDR)**  
First Name : Terap  
Last Name : Hansen  
Email Address : teraphcn@gmail.com  
Phone Number : (800) 555-1212  
**Contract Information**  
Contract Number : CONT1234  
Task Order Number : 773-123456  
Contract Period - Start Date : 01-04-2017  
Contract Period - End Date : 06-30-2018

**SUBCONTRACTOR ORGANIZATION(S)** [Edit](#)

**CUSTODIAN/DESY USERS** [Edit](#)

User Name	EIA User ID	Organization
No data available in table		

Showing 0 to 0 of 0 entries

1. The first half of the **Update DUA Request** Review screen displays on this slide with the following editable sections:
  - **Main Information**
  - **Subcontractor Organization(s)**
  - **Custodian/DESY Users**
2. The second half is displayed on the next slide.

# DUA Requester – Update/Amend

## DUA Review Screen Displays

The screenshot displays the 'DUA Review Screen' with four main sections:

- EXISTING DATA FILE DESCRIPTIONS:** Contains a table with columns 'Data File Description', 'From Year', and 'To Year'. It lists three entries: 'PDE22 - 20% PRESCRIPTION DRUG EVENT DATA', 'PDE24 - 40% PRESCRIPTION DRUG EVENT DATA (10+ VARIABLES)', and 'PDECF5 - 5 % PART D CHARACTERISTICS FILES'. Each entry has a green checkmark icon. Below the table, it says 'Showing 1 to 3 of 3 entries' with 'Previous' and 'Next' links.
- RE-USE DATA FILE DESCRIPTIONS:** Contains a table with the same columns as the first section. It displays 'No data available in table'. Below the table, it says 'Showing 0 to 0 of 0 entries' with 'Previous' and 'Next' links.
- NEW DATA FILE DESCRIPTIONS:** Contains a table with the same columns. It displays 'No data available in table'. Below the table, it says 'Showing 0 to 0 of 0 entries' with 'Previous' and 'Next' links.
- DOCUMENTS:** Contains a table with columns 'Document' and 'Uploaded Files'. It lists one entry: '1 SIGNATURE ADDENDUM' with the file 'Signature\_Addendum.docx' and a 'Download' link.

At the bottom of the screen, there is a 'Comments' section with a text area and a character count: '2000 characters remaining (2000 maximum)'. Below the comments section are buttons for 'Save', 'Cancel Update', 'Previous', and 'Next'.

The second half of the **Update DUA Request** Review screen is displayed here with the following editable sections:

- Existing Data File Descriptions
- Re-use Data File Descriptions
- New Data File Descriptions
- Documents
- Comments

# DUA Requester – Update/Amend

## Edit DUA: Main Section

Update DUA Request

DUA Number : CONT-2018-54153

**REVIEW**

Updated DUA Request

[View Approved Version](#)

**DUA Life Cycle**

**MAIN INFORMATION**

[Edit](#)

DUA Number :	CONT-2018-54153
DUA Customer Type :	Contractor
DUA Category :	42 - CMS PROGRAMS
DUA Request Type :	UPDATE DUA
DUA Status :	In Progress
Expiration Date :	06-30-2018
Requested Date :	02-21-2018
Requester :	Taraji Henson
Requester's Email :	fakepicnic@gmail.com
Requester's Phone Number :	(800) 555-1212
Last Updated By :	
Organization Name :	NORTH CAROLINA STATE UNIVERSITY
Project Name :	Extend Test
<b>CMS Contact (COR)</b>	
First Name :	Taraji
Last Name :	Henson
Email Address :	fakepicnic@gmail.com
Phone Number :	(800) 555-1212
<b>Contract Information</b>	
Contract Number :	CONT1234
Task Order Number :	TO-123456
Contract Period - Start Date :	01-04-2017
Contract Period - End Date :	06-30-2018

Select the **Edit** button associated with the **Main Information** section.

# DUA Requester – Update/Amend

## Edit DUA: Main Section

Update DUA Request

DUA Number : CONT-2018-54153

**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) :  X

Cannot locate your CMS Contact (COR)?

First Name :  Last Name :

Email Address :  Phone Number :

1. Editable **Main Information** section.
2. Update applicable fields and select the **Save** button.

# DUA Requester – Update/Amend

## Edit DUA: Subcontractor Organization(s)

Update DUA Request

DUA Number : CONT-2018-54153

**REVIEW**

Updated DUA Request

[View Approved Version](#)

**DUA Life Cycle**

**MAIN INFORMATION**

[Edit](#)

DUA Number :	CONT-2018-54153
DUA Customer Type :	Contractor
DUA Category :	42 - CMS PROGRAMS
DUA Request Type :	UPDATE DUA
DUA Status :	In Progress
Expiration Date :	06-30-2018
Requested Date :	02-21-2018
Requester :	Taraji Henson
Requester's Email :	fakepicnc@gmail.com
Requester's Phone Number :	(800) 555-1212
Last Updated By :	
Organization Name :	NORTH CAROLINA STATE UNIVERSITY
Project Name :	Extend Test

**CMS Contact (COR)**

First Name :	Taraji
Last Name :	Henson
Email Address :	fakepicnc@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 :	06-30-2018

**SUBCONTRACTOR ORGANIZATION(S)**

[Edit](#)

Select the **Edit** button associated with the **Sub-contractor Organization(s)** section to make changes.



# DUA Requester – Update/Amend

## Edit DUA: Subcontractor Organization(s)

### Update 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 [?](#)

CancelSave

1. Editable **Organization(s)** section.
2. In this example, the Approved DUA being updated shows the original selections:
  - The **No** button was selected to answer the question ***“Do you wish to add/remove a sub-contracting organization(s) to this DUA request?”***.

# DUA Requester – Update/Amend

## Edit DUA: Subcontractor Organization(s)

### Update 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 [?](#)

CancelSave

1. You can perform the following actions:
  - **Select** the **Yes** button to add sub-contracting organization(s) to the table.
2. Select the **Save** button after adding sub-contracting organization(s).

# DUA Requester – Update/Amend

## Edit DUA: Custodian/DESY Users

SUBCONTRACTOR ORGANIZATION(S)  
NORTH CAROLINA STATE UNIVERSITY Edit

CUSTODIAN/DESY USERS Edit

Search:

User Name	PIA User ID	Organization	
User Name	NCDO	NORTH CAROLINA STATE UNIVERSITY	

Showing 1 to 1 of 1 entries Previous Next

EXISTING DATA FILE DESCRIPTIONS Edit

Data File Description	From Year	To Year	
MADE - BETA/MADE	1691	2043	
APPLCS - BID TO BID CROSSWALK	1559	2013	
DCDS - BLUE CROSS BLUE SHIELD DRUG & DISEASE DATA	1695	2013	
SPONAL - BPC INVESTIGATORY FILLS	1691	2043	
BPCI - BUNDLED PAYMENT FOR CARE IMPROVEMENT MODELS	1559	2013	

Showing 1 to 5 of 5 entries Previous Next

RL-USE DATA FILE DESCRIPTIONS Edit

Data File Description	From Year	To Year	
No data available in table			

Showing 0 to 0 of 0 entries Previous Next

Select the **Edit** button associated with the **Custodian/DESY Users** section to make changes if applicable.

# DUA Requester – Update/Amend

## DESY USER Screen: The DESY User

The screenshot shows a web interface for updating a DUA request. The title is 'Update DUA Request' in blue. Below it, the DUA Number is 'CONT-2018-54153'. The main section is titled 'CUSTODIAN(S)/DESY USER' in blue. It contains a search bar with the label 'Search:'. Below the search bar is a table with columns: 'User Name', 'EUA User Id', 'Organization', and 'Action'. The table is currently empty, with the text 'No data available in table' centered below it. Below the table, it says 'Showing 0 to 0 of 0 entries'. At the bottom of the table area is a button labeled 'Add Custodian(s)/DESY User'. In the bottom right corner of the entire form is a blue button labeled 'Done'.

1. The **Custodian(s)/DESY User** screen displays.
2. Select the **Add Custodian(s)/DESY User** button if **Custodians** need to be added as **DESY Users** to access data from the **DESY System**.

### Notes:

- Users who need direct access to **DESY** data files need to be added as **DESY Users** on the DUA.
- **DESY Users** added will automatically display in the Custodians List.
- **DESY Users** can be removed from the Custodians List on a DUA. This does not remove them as a **DESY User**.
- If you remove a **DESY User** from the DUA, this removes them as a **Custodian** on the DUA.
- It is optional to add **DESY Users** but you must have at least one (1) Custodian on the DUA.

# DUA Requester – Update/Amend

## 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 – Update/Amend

## DESY USER Screen: DESY User Table

Update DUA Request

DUA Number: CONT-2018-52595

**CUSTODIAN(S)/DESY USER**

Search:

User Name	EDM User ID	Organization	Action
User Name	N120	NORTH CAROLINA STATE UNIVERSITY	Edit   Remove

Showing 1 to 1 of 1 entries

1. The user displays in the table.
  2. You can select the **Add Custodian/DESY User** button to add another DESY User.
  3. You can select the **Edit** link to edit the Custodian/DESY User.
  4. You can select the **Remove** link to remove Custodian/DESY User from the table.
  5. Select the **Done** button when all **Custodian/DESY Users** have been added/updated.
- Note:** Removing a **Custodian/DESY User** from the table removes them as a **Custodian** on the DUA.

# DUA Requester – Update/Amend

## Edit DUA: Existing Data Files

EXISTING DATA FILE DESCRIPTIONS Edit

Data File Description	From Year	To Year	
PDE22 - 20% PRESCRIPTION DRUG EVENT DATA	2010	2018	
PDE24 - 40% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES)	2010	2018	
PDECF5 - 5% PART D CHARACTERISTICS FILES	2010	2018	

Showing 1 to 3 of 3 entries Previous Next

RE-USE DATA FILE DESCRIPTIONS Edit

Data File Description	From Year	To Year	
-----------------------	-----------	---------	--

No data available in table

Showing 0 to 0 of 0 entries Previous Next

NEW DATA FILE DESCRIPTIONS Edit

Data File Description	From Year	To Year	
-----------------------	-----------	---------	--

No data available in table

Showing 0 to 0 of 0 entries Previous Next

DOCUMENTS Edit

	Document	Uploaded Files
1	SIGNATURE ADDENDUM	Signature_Addendum.docx <a href="#">Download</a>

Comments :

2000 characters remaining (2000 maximum)

Save Cancel Update Previous Next

Select the **Edit** button associated with the **Existing Data File Descriptions** section.

# DUA Requester – Update/Amend

## Edit DUA: Select Existing Data Files

Update DUA Request

DUA Number : CONT-2018-54153

UPDATE DATA FILE(S) SELECTION

<input type="checkbox"/> Select All	Data File Description	Extraction Percent	From - To Year	
<input type="checkbox"/>	PDE22 - 20% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2018	<input checked="" type="radio"/>
<input type="checkbox"/>	PDE24 - 40% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES)	100%	2010 - 2018	<input checked="" type="radio"/>
<input type="checkbox"/>	PDEC5 - 5 % PART D CHARACTERISTICS FILES	100%	2010 - 2018	<input checked="" type="radio"/>

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

**Add selection to Update DUA request**

Selected 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 [Previous](#) [Next](#)

**Done**

1. The **Update Data File(s) Selection** section becomes editable.
2. Select the **Data File(s)** that need editing.
3. Select the **Add selection to Update DUA request** button.



# DUA Requester – Update/Amend

## Edit DUA: Edit Existing Data Files

Update DUA Request

DUA Number : CONT-2018-54153

UPDATE DATA FILE(S) SELECTION

<input type="checkbox"/> Select All	Data File Description	Extraction Percent	From - To Year	
<input checked="" type="checkbox"/>	PDE24 - 40% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES)	100%	2010 - 2018	
<input checked="" type="checkbox"/>	PDECF5 - 5 % PART D CHARACTERISTICS FILES	100%	2010 - 2018	

Showing 1 to 2 of 2 entries

Previous Next

Add selection to Update DUA request

Selected Data File Descriptions

Data File Description	Extraction % / Cohort	From Year	To Year	Privacy Level	Status	Action
PDE22 - 20% PRESCRIPTION DRUG EVENT DATA	100%	2010	2018	IDENTIFIABLE	NOT_UPDATED	Edit   Remove

Showing 1 to 1 of 1 entries

Previous Next

Done

1. The selected **Data File** moves to the update table below.
2. The **Status** of the data file reflects **Not Updated**.
3. Select **Edit** to change any of the data file attributes.
4. Select the **Remove** link to remove the file from the update table.

**Note:** **Remove** does not delete the file from the system. It will only remove the file from the update table below and place it back in the list of data files to be selected above.

# DUA Requester – Update/Amend

## Edit DUA: Existing Data File(s) Data File Extraction Attributes

**Data file information**

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

Data File Description : PDE22 - 20% PRESCRIPTION DRUG EVENT DATA

Data File Extraction % / Cohort \* :  ?

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
1	2010	2017		100%		Approved Year(s)	<a href="#">Remove</a>

[Previous](#) **Next**

1. The **Data file extraction** tab on the **Data file information** screen displays with the original file information.
2. You can add additional years , quarters, and states to the file if applicable.
3. Select the **Add** button.
4. Select the **Next** button.

# DUA Requester – Update/Amend

## Edit DUA: Existing Data File(s) Custodians

**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	UNIVERSITY OF NORTH CAROLINA	P.O. BOX 250, SAXAPAHAW, North Carolina, 27340, USA	1. ADEWOLE ADAMSON	1. test@eppe.com	1. (919) 843-7092
2	NORTH CAROLINA STATE UNIVERSITY	STATISTICS DEPARTMENT 2311 STINSON DRIVE, RALEIGH, North Carolina, 27695, USA	1. MONTSERVAT FUENTES	1. test@eppe.com	1. (919) 515-1921

Previous    Next

1. In this example, the **Custodians** tab on the **Data file information** screen displays with the **Custodian** information from the file on the Approved DUA. This information is view-only.
2. Select the **Next** button.

# DUA Requester – Update/Amend

## Edit DUA: Edit Existing Data File(s) Shipping Information

**Data file information**

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

Data File Description : PDE22 - 20% PRESCRIPTION DRUG EVENT DATA

Required fields are marked with an asterisk (\*).

Access Method \* : ☐ DIRECT ACCESS ☒ \*SHIPPING ☐ BOTH DIRECT ACCESS AND SHIPPING ?

Data Dissemination System \* : CCW/VRDC x SHIPPING INFORMATION

Data Shipping Location \* : Choose Shipping Location... Add New Location ?

Primary Recipient \* : Choose Recipient... ?

Carrier : Select an Option ?

**Add**

Selected Shipping Details

Id	Shipping Location	Recipient	Carrier	Carrier Account Number	Action
1	31 Rock Quarry Road, Raleigh, North Carolina, 27610, USA	Taraji Henson			Remove

**Previous Finish**

1. The **Shipping Information** tab on the **Data file information** screen displays with the file's original shipping information.
2. Make changes if needed. You can make the following changes:
  - **Remove** existing Shipping Details from the table.
  - Change the **Access Method**.
  - Change the **Data Disseminating System**.
  - Change/Add the **Data Shipping Location**.
  - Change the **Primary Recipient**.
  - Change/Add **Carrier**.
3. Select the **Finish** button.

# DUA Requester – Update/Amend

## Edit DUA: Existing Data File(s) Attribute Updates Completed

Update DUA Request

DUA Number : CONT-2018-54153

UPDATE DATA FILE(S) SELECTION

Select All	Data File Description	Extraction Percent	From - To Year	
<input type="checkbox"/>	PDE24 - 40% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES)	100%	2010 - 2018	
<input type="checkbox"/>	PDEC5 - 5 % PART D CHARACTERISTICS FILES	100%	2010 - 2018	

Showing 1 to 2 of 2 entries

Previous Next

Add selection to Update DUA request

Selected Data File Descriptions

Data File Description	Extraction % / Cohort	From Year	To Year	Privacy Level	Status	Action
PDE22 - 20% PRESCRIPTION DRUG EVENT DATA	100%	2010	2018	IDENTIFIABLE	UPDATED	Edit   Remove

Showing 1 to 1 of 1 entries

Previous Next

Done

1. The **Update Data File(s) Selection** screen redisplay.
2. The file **Status** changed to **Updated**.
3. If multiple data files were selected, edit the attributes and ensure each file's status is changed to **Updated**.
4. Select the **Done** button.

**Note:** You can select the **Remove** link to remove files from the table.

# DUA Requester – Update/Amend

## Edit DUA: Re-use Data Files

EXISTING DATA FILE DESCRIPTIONS Edit

Data File Description	From Year	To Year	
PDE22 - 20% PRESCRIPTION DRUG EVENT DATA	2010	2018	
PDE24 - 40% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES)	2010	2018	
PDECF5 - 5 % PART D CHARACTERISTICS FILES	2010	2018	

Showing 1 to 3 of 3 entries Previous Next

RE-USE DATA FILE DESCRIPTIONS Edit

Data File Description	From Year	To Year	
No data available in table			

Showing 0 to 0 of 0 entries Previous Next

NEW DATA FILE DESCRIPTIONS Edit

Data File Description	From Year	To Year	
No data available in table			

Showing 0 to 0 of 0 entries Previous Next

DOCUMENTS Edit

	Document	Uploaded Files
1	SIGNATURE ADDENDUM	Signature_Addendum.docx <a href="#">Download</a>

Comments :

2000 characters remaining (2000 maximum)

Save Cancel Update Previous Next

Select the **Edit** button associated with the **Re-use Data File Descriptions** section to add files to be re-used.

# DUA Requester – Update/Amend

## Edit DUA: Re-use Data Files


### Update DUA Request

DUA Number : CONT-2018-54153

#### 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

Done

1. The **Re-use Data File(s) Selection** screen displays.
2. In this example, **No** was selected in the approved version of the DUA.
3. Select **Yes** to add files for re-use.

# DUA Requester – Update/Amend

## Edit DUA: Re-use Data Files

**Update DUA Request**

DUA Number : CONT-2018-04163

**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-2017-52686	NORTH CAROLINA STATE UNIVERSITY	BENE - ANNUAL BENEFICIARY SUMMARY FILE	22%	2010 - 2012	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52686	NORTH CAROLINA STATE UNIVERSITY	XWALK7 - CCW BENE ID TO SSN CROSSWALK FILE	100%	2010 - 2014	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52686	NORTH CAROLINA STATE UNIVERSITY	PDE22 - 20% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2014	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52686	NORTH CAROLINA STATE UNIVERSITY	PDE5 - 5% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2016	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52686	NORTH CAROLINA STATE UNIVERSITY	PDE15 - 5% PRESCRIPTION DRUG EVENT DATA (1-15 VARIABLES)	100%	2010 - 2016	<input type="checkbox"/>

Showing 1 to 5 of 31 entries (Filtered from 5 total entries)

**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 % / Column	From Year	To Year	Status	Action
No data available in table					

Showing 0 to 0 of 0 entries

The table below displays all the existing re-use data file descriptions for editing. The last column of each row has an action link. Use the **Edit** link in last column of each row to edit the data file attributes from the selected table respectively.

Existing Re-Use Data File Description(s)

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

Showing 0 to 0 of 0 entries

**Done**

1. The **Re-use Data File(s) Selection** screen displays with files available to select for re-use.
2. From the list at the top of the screen, **Select** files for re-use.
3. Select the **Add Selection to DUA Request** button.

**Note:** Before moving to another page to select files, make sure you select the **Add selection to DUA Request** button to place the files in the table when you have completed selecting files from the current page.



# DUA Requester – Update/Amend

## Edit DUA: Re-use Data Files

**Update DUA Request**

DUA Number : CONT-2015-54153

**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-2017-52668	NORTH CAROLINA STATE UNIVERSITY	BENE - ANNUAL BENEFICIARY SUMMARY FILE	22%	2010 - 2012	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52668	NORTH CAROLINA STATE UNIVERSITY	XWALK7 - CCW BENE ID TO SSN CROSSWALK FILE	100%	2010 - 2014	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52668	NORTH CAROLINA STATE UNIVERSITY	PDE22 - 20% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2014	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52668	NORTH CAROLINA STATE UNIVERSITY	PDE5 - 5% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2018	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52668	NORTH CAROLINA STATE UNIVERSITY	PDE15 - 5% PRESCRIPTION DRUG EVENT DATA (1-15 VARIABLES)	100%	2010 - 2018	<input type="checkbox"/>

Showing 1 to 5 of 31 entries (Filtered from 5 total entries)

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[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
PDE15 - 5% PRESCRIPTION DRUG EVENT DATA (1-15 VARIABLES)				INCOMPLETE	<a href="#">Edit</a> <a href="#">Remove</a> <input type="checkbox"/>
XWALK7 - CCW BENE ID TO SSN CROSSWALK FILE				INCOMPLETE	<a href="#">Edit</a> <a href="#">Remove</a> <input type="checkbox"/>

Showing 1 to 2 of 2 entries

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The table below displays all the existing re-use data file descriptions for editing. The last column of each row has an action link. Use the **Edit** link in last column of each row to edit the data file attributes from the selected table respectively.

Existing Re-Use Data File Description(s)

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

Showing 0 to 0 of 0 entries

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[Done](#)

1. The selected data files display in the table below.
2. The file status displays **Incomplete**.
3. Select **Edit** to complete required file attributes.
4. You can select **Remove** to remove the file(s) just added to the table.

### Notes:

- If after adding **Re-used** data files to the table you decide not to re-use data files on the DUA, remove the files from the table, then select the **No** radio button to continue processing the DUA with no re-used files.
- All files must be in **Complete** status to proceed to the next steps.

# DUA Requester – Update/Amend

## Edit Re-used File Extraction Criteria

**Data file information**

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

Data File Description : PDE15 - 5% PRESCRIPTION DRUG EVENT DATA (1-15 VARIABLES)

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:

- For re-used files: The **Available Year Range** available for selection will be the range previously chosen for the file.
- 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 – Update/Amend

## Re-used Data File Extraction Criteria Displays in Table

**Data file information**

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

Data File Description : PDE15 - 5% PRESCRIPTION DRUG EVENT DATA (1-15 VARIABLES)

Available Year Range \* : [ 2010 - 2018 ] ; (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	2018		100%		New Year(s)	<a href="#">Remove</a>

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

# DUA Requester – Update/Amend

## Edit DUA: Re-use Data File Custodians

**Data file information**

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

Data File Description : PDE15 - 5% PRESCRIPTION DRUG EVENT DATA (1-15 VARIABLES)

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	3515 Peele Street, Chapel Hill, North Carolina, 27695, USA	1. Ogre Shrek <a href="#">Remove</a>	1. fakepicnic@gmail.com	1. (800) 301-5555	<a href="#">Remove</a>

**Previous**    **Next**

1. The **Custodians** tab displays. In this example the Custodian displays because a **DESY User** was added to the DUA.
2. Select the **Custodian Organization Name**.
3. Select the **Custodian Location**.
4. Select the **Custodian**.
5. Select the **Add** button.
6. Select the **Next** button.

**Note:** You can also **Add a New Location**.

# DUA Requester – Update/Amend

## Edit DUA: Re-use Data File Shipping Information

**Data file information**

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

Data File Description : PDE15 - 5% PRESCRIPTION DRUG EVENT DATA (1-15 VARIABLES)

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 ☒ DESY/IDR ☐ EFT ☐ Other ?

Disseminator \* :

Data Dissemination System \* : SHIPPING INFORMATION

Data Shipping Location \* :  ?

Primary Recipient \* :  ?

Carrier :  ?

**Add**

Selected Shipping Details

Id	Shipping Location	Recipient	Carrier	Carrier Account Number	Action
1	636 WEST CALL STREET, TALLAHASSEE, Florida, 32306, USA	Maureen O'Brien			

**Previous** **Finish**

1. The **Shipping Information** screen displays with the original **Access Method** and **Data Disseminator** information.
2. Re-used files will not be re-shipped.
3. The original shipping information displays in the table.
4. Select **Finish**.

# DUA Requester – Update/Amend

## Re-Used Data File Attributes Completed for First File

Update DUA Request

DUA Number : CONT-2018-04163

**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-2017-52688	NORTH CAROLINA STATE UNIVERSITY	BENE - ANNUAL BENEFICIARY SUMMARY FILE	22%	2010 - 2012	<input checked="" type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52688	NORTH CAROLINA STATE UNIVERSITY	XWALK7 - CCW BENE ID TO SSN CROSSWALK FILE	100%	2010 - 2014	<input checked="" type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52688	NORTH CAROLINA STATE UNIVERSITY	PDE22 - 20% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2014	<input checked="" type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52688	NORTH CAROLINA STATE UNIVERSITY	PDE5 - 5% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2018	<input checked="" type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52688	NORTH CAROLINA STATE UNIVERSITY	PDE15 - 5% PRESCRIPTION DRUG EVENT DATA (1-15 VARIABLES)	100%	2010 - 2018	<input checked="" type="checkbox"/>

Showing 1 to 5 of 31 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 % / Count	From Year	To Year	Status	Action
PDE15 - 5% PRESCRIPTION DRUG EVENT DATA (1-15 VARIABLES)	100%	2010	2018	COMPLETE	Edit   Remove   Apply All
XWALK7 - CCW BENE ID TO SSN CROSSWALK FILE				INCOMPLETE	Edit   Remove

Showing 1 to 2 of 2 entries Previous Next

The table below displays all the existing re-use data file descriptions for editing. The last column of each row has an action link Use the **Edit** link in last column of each row to edit the data file attributes from the selected table respectively.

Existing Re-Use Data File Description(s)

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

Showing 0 to 0 of 0 entries Previous Next

**Done**

1. The Status of the first re-used file is **Complete**.
2. If multiple files were selected for re-use as in this example, each file's attributes can be edited to **Complete** status, *or*
3. 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.
4. Select Apply All for this example.

# DUA Requester – Update/Amend

## 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 type="checkbox"/> Select All	Data File Description	Status
<input type="checkbox"/>	XWALK7 - CCW BENE ID TO SSN CROSSWALK FILE	INCOMPLETE

Apply to DUA request

1. The **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 – Update/Amend

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

**Update DUA Request**

DUA Number: CONT-2018-04103

**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-2017-52858	NORTH CAROLINA STATE UNIVERSITY	BENE - ANNUAL BENEFICIARY SUMMARY FILE	22%	2010 - 2012	<a href="#">Edit</a>
<input type="checkbox"/>	CONT-2017-52858	NORTH CAROLINA STATE UNIVERSITY	XWALK7 - CCW BENE ID TO SSN CROSSWALK FILE	100%	2010 - 2014	<a href="#">Edit</a>
<input type="checkbox"/>	CONT-2017-52858	NORTH CAROLINA STATE UNIVERSITY	PDE22 - 20% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2014	<a href="#">Edit</a>
<input type="checkbox"/>	CONT-2017-52858	NORTH CAROLINA STATE UNIVERSITY	PDES - 5% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2018	<a href="#">Edit</a>
<input type="checkbox"/>	CONT-2017-52858	NORTH CAROLINA STATE UNIVERSITY	PDE15 - 5% PRESCRIPTION DRUG EVENT DATA (1-15 VARIABLES)	100%	2010 - 2018	<a href="#">Edit</a>

Showing 1 to 5 of 31 entries (filtered from 5 total entries)

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**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
PDE15 - 5% PRESCRIPTION DRUG EVENT DATA (1-15 VARIABLES)	100%	2010	2018	COMPLETE	<a href="#">Edit</a>   <a href="#">Remove</a> <a href="#">Apply All</a>
XWALK7 - CCW BENE ID TO SSN CROSSWALK FILE				INCOMPLETE	<a href="#">Edit</a>   <a href="#">Remove</a>

Showing 1 to 2 of 2 entries

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The table below displays all the existing re-use data file descriptions for editing. The last column of each row has an action link: Use the **Edit** link in last column of each row to edit the data file attributes from the selected table respectively.

Existing Re-Use Data File Description(s)

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

Showing 0 to 0 of 0 entries

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**Done**

1. The 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.

**Note:** The Custodian/Data Storage information for the second file is the same as that of the first file after the Apply All feature was used.



# DUA Requester – Update/Amend

## 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 : XWALK7 - CCW BENE ID TO SSN CROSSWALK FILE

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
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Previous Next

1. The **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:

- 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 – Update/Amend

## 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 : XWALK7 - CCW BENE ID TO SSN CROSSWALK FILE

Available Year Range \* : [ 2010 - 2014 ] ; (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	2014		100%		New Year(s)	Remove

PreviousNext

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

# DUA Requester – Update/Amend

## 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	UNIVERSITY OF NORTH CAROLINA	P.O. BOX 250, SAXAPAHAW, North Carolina, 27340, USA	1. ADEWOLE ADAMSON	1. test@eppe.com	1. (919) 843-7092
2	NORTH CAROLINA STATE UNIVERSITY	STATISTICS DEPARTMENT2311 STINSON DRIVE, RALEIGH, North Carolina, 27695, USA	1. MONTSERVAT FUENTES	1. test@eppe.com	1. (919) 515-1921

Previous

Next

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

**Note:** The **Custodian** information is view-only on this tab.

# DUA Requester – Update/Amend

## 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 : XWALK7 - CCW BENE ID TO SSN CROSSWALK FILE

Required fields are marked with an asterisk (\*).

Access Method \* : ☐ DIRECT ACCESS ☒ SHIPPING ☐ BOTH DIRECT ACCESS AND SHIPPING ?

Data Dissemination System \* :  SHIPPING INFORMATION

Data Shipping Location \* :  ?

Primary Recipient \* :  ?

Carrier :  ?

**Add**

Selected Shipping Details

Id	Shipping Location	Recipient	Carrier	Carrier Account Number	Action
1	123 WEST FRANKLIN ST., CHAPEL HILL, North Carolina, 27516, USA	TONYA SICKELS			

**Previous**    **Finish**

1. The **Shipping Information** tab displays.
2. Note that re-used files will not be re-shipped.
3. The shipping information from the original DUA displays in the table.
4. Select **Finish**.

# DUA Requester – Update/Amend

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

**Update DUA Request**

DUA Number: CONT-2018-54153

**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 checked="" type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	BENE - ANNUAL BENEFICIARY SUMMARY FILE	22%	2010 - 2012	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	XWALKT - CCW BENE ID TO SSN CROSSWALK FILE	100%	2010 - 2014	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	PDE22 - 20% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2014	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	PDE5 - 5% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2018	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	PDE15 - 5% PRESCRIPTION DRUG EVENT DATA (1-15 VARIABLES)	100%	2010 - 2018	<input checked="" type="checkbox"/>

Showing 1 to 5 of 31 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
PDE15 - 5% PRESCRIPTION DRUG EVENT DATA (1-15 VARIABLES)	100%	2010	2018	COMPLETE	<a href="#">Edit</a>   <a href="#">Remove</a>   <a href="#">Apply All</a>
XWALKT - CCW BENE ID TO SSN CROSSWALK FILE	100%	2010	2014	COMPLETE	<a href="#">Edit</a>   <a href="#">Remove</a>

Showing 1 to 2 of 2 entries

[Previous](#) [Next](#)

The table below displays all the existing re-use data file descriptions for editing. The last column of each row has an action link. Use the **Edit** link in last column of each row to edit the data file attributes from the selected table respectively.

Existing Re-Use Data File Description(s)

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](#)

**Done**

1. The **Re-use Data File** screen redisplays.
2. The status for all files is **Complete**.
3. Select **Done**.

### 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 – Update/Amend

## Edit DUA: Add New Data Files

EXISTING DATA FILE DESCRIPTIONS Edit

Data File Description	From Year	To Year	
PDE22 - 20% PRESCRIPTION DRUG EVENT DATA	2010	2018	
PDE24 - 40% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES)	2010	2018	
PDECF5 - 5 % PART D CHARACTERISTICS FILES	2010	2018	

Showing 1 to 3 of 3 entries Previous Next

RE-USE DATA FILE DESCRIPTIONS Edit

Data File Description		From Year	To Year	
PDE15 - 5% PRESCRIPTION DRUG EVENT DATA (1-15 VARIABLES)	RE-USE	2010	2018	
XWALK7 - CGW BENE ID TO SSN CROSSWALK FILE	RE-USE	2010	2014	

Showing 1 to 2 of 2 entries Previous Next

NEW DATA FILE DESCRIPTIONS Edit

Data File Description	From Year	To Year	
No data available in table			

Showing 0 to 0 of 0 entries Previous Next

DOCUMENTS Edit

	Document	Uploaded Files
1	SIGNATURE ADDENDUM	Signature_Addendum.docx <a href="#">Download</a>

Comments :

2000 characters remaining (2000 maximum)

Save Cancel Update Previous Next

Select the **Edit** button associated with the **New Data File Descriptions** section.

# DUA Requester – Update/Amend

## Edit DUA: Add New Data Files

Update DUA Request

DUA Number : CONT-2018-54153

### NEW DATA FILE(S) SELECTION

Required fields are marked with an asterisk (\*).

Privacy Level :  ?

Select Data File Descriptions

:

[Add selection to DUA request](#)

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 [Previous](#) [Next](#)

[Done](#)

1. The **New Data File(s) Selection** screen displays.
2. Select the **Privacy Level**.
3. Select the new data file(s).
4. Select the **Add selection to DUA request** button.

# DUA Requester – Update/Amend

## Edit DUA: Add New Data Files

Update DUA Request

DUA Number : CONT-2018-54153

**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)

[Add selection to DUA request](#)

Selected New Data File Descriptions

Data File Description	Extraction % / Cohort	From Year	To Year	Privacy Level	Status	Action
LABCAR - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE CARRIER FILE				IDENTIFIABLE	INCOMPLETE	<a href="#">Edit</a>   <a href="#">Remove</a>
LABNAT - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE NATIONAL FILE				IDENTIFIABLE	INCOMPLETE	<a href="#">Edit</a>   <a href="#">Remove</a>

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

[Done](#)

1. The table displays the file selections.
2. The file status is **Incomplete**.
3. Select the **Edit** link to add attributes to the data file, *or*
4. You can select the **Remove** link to remove the file from the table.



# DUA Requester – Update/Amend

## Edit DUA: Add New Data File Attributes

**Data file information**

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

Data File Description : LABCAR - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE CARRIER FILE

Data File Extraction % / Cohort \* :  ?

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 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 – Update/Amend

## Edit DUA: Add New Data File Extraction Attributes

**Data file information**

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

Data File Description : LABCAR - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE CARRIER FILE

Data File Extraction % / Cohort \* :  ?

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
1	2010	2018		100%		New Year(s)	Remove

Previous **Next**

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

# DUA Requester – Update/Amend

## Edit DUA: Add New Data File Custodians

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	UNIVERSITY OF NORTH CAROLINA	P.O. BOX 250, SAXAPAHAW, North Carolina, 27340, USA	1. ADEWOLE ADAMSON	1. test@eppe.com	1. (919) 843-7092
2	NORTH CAROLINA STATE UNIVERSITY	STATISTICS DEPARTMENT2311 STINSON DRIVE, RALEIGH, North Carolina, 27695, USA	1. MONTSERVAT FUENTES	1. test@eppe.com	1. (919) 515-1921

Previous

Next

1. The **Custodians** tab displays.
2. The Organization, Custodian Location, and Custodians with their Email and Phone are displayed as view-only in the table.
3. Select **Next**.

### Notes:

- In this example, the **Custodians** table is automatically populated.

# DUA Requester – Update/Amend

## Edit DUA: Add New Data Files Shipping Information

The screenshot shows a web application window titled "Data file information". It has three tabs: "1. Data file extraction", "2. Custodians", and "3. Shipping Information", with the third tab being the active one. Below the tabs, the "Data File Description" is "LABCAR - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE CARRIER FILE". A note states "Required fields are marked with an asterisk (\*)". The "Access Method" section has three radio buttons: "DIRECT ACCESS" (selected), "SHIPPING", and "BOTH DIRECT ACCESS AND SHIPPING". Below this is the "DIRECT ACCESS INFORMATION" section, which includes "Access To Which Data" with radio buttons for "CCW/VRDC", "DESY/IDR" (selected), "EFT", and "Other", and a "Disseminator" field. At the bottom right are "Previous" and "Finish" buttons.

1. The **Shipping Information** tab on the Data File 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.

# DUA Requester – Update/Amend

## Edit DUA: Add New Data Files Shipping Information

**Data file information**

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

Data File Description : LABCAR - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE CARRIER FILE

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 :  ?

**Add**

Selected Shipping Details

Id	Shipping Location	Recipient	Carrier	Carrier Account Number	Action
----	-------------------	-----------	---------	------------------------	--------

**Previous**   **Finish**

1. The expanded Shipping Information screen displays (this example is based on selecting the **Both Direct Access and Shipping** option).
2. Select the **Access to Which Data Disseminator** (the system defaults to **DESY/IDR** in this example because a **DESY User** was added to the DUA).
3. Select the **Data Disseminating System**.
4. Select the **Data Shipping Location** or **Add a New Location**.
5. Select the **Primary Recipient**.
6. Select the **Carrier** (optional).
7. Select **Add**.

# DUA Requester – Update/Amend

## Edit DUA: Add New Data Files Shipping Information

**Data file information**

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

Data File Description : LABCAR - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE CARRIER FILE

Required fields are marked with an asterisk (\*).

Access Method \*: ☐ DIRECT ACCESS ☒ SHIPPING ☐ BOTH DIRECT ACCESS AND SHIPPING ?

Data Dissemination System \*: DESY/IDR x

SHIPPING INFORMATION

Data Shipping Location \*: Choose Shipping Location... Add New Location ?

Primary Recipient \*: Choose Recipient... ?

Carrier : Select an Option ?

**Add**

Selected Shipping Details

Id	Shipping Location	Recipient	Carrier	Carrier Account Number	Action
1	31 Rock Quarry Road, Raleigh, North Carolina, 27610, USA	Ogre Shrek			Remove

**Previous Finish**

1. The shipping information displays in the table.
2. Select the **Finish** button.

# DUA Requester – Update/Amend

## Edit DUA: Data File Attributes for First File is Complete

Update DUA Request

DUA Number : CONT-2018-54153

**NEW DATA FILE(S) SELECTION**

Required fields are marked with an asterisk (\*).

Privacy Level : IDENTIFIABLE ?

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

- ☐ 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)

Add selection to DUA request

Selected New Data File Descriptions

Data File Description	Extraction % / Cohort	From Year	To Year	Privacy Level	Status	Action
LABCAR - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE CARRIER FILE	100%	2010	2018	IDENTIFIABLE	COMPLETE	Edit   Remove Apply All
LABNAT - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE NATIONAL FILE				IDENTIFIABLE	INCOMPLETE	Edit   Remove

Showing 1 to 2 of 2 entries Previous Next

Done

1. The 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 to enter attributes for each file.

### 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.
- If the data file attributes should be different for the files, individual editing is available by selecting the **Edit** link.

# DUA Requester – Update/Amend

## Edit DUA: Apply First Data File Attributes to All 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"/>	LABNAT - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE NATIONAL FILE	INCOMPLETE

Apply to DUA request

1. The **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 – Update/Amend

## Edit DUA: Status for All New Files Displays “Complete”

Update DUA Request

DUA Number : CONT-2018-54153

### NEW DATA FILE(S) SELECTION

Required fields are marked with an asterisk (\*).

Privacy Level : IDENTIFIABLE ?

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)

[Add selection to DUA request](#)

Selected New Data File Descriptions

Data File Description	Extraction % / Cohort	From Year	To Year	Privacy Level	Status	Action
LABCAR - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE CARRIER FILE	100%	2010	2018	IDENTIFIABLE	COMPLETE	<a href="#">Edit</a>   <a href="#">Remove</a> <a href="#">Apply All</a>
LABNAT - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE NATIONAL FILE	100%	2010	2018	IDENTIFIABLE	COMPLETE	<a href="#">Edit</a>   <a href="#">Remove</a>

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

[Done](#)

1. The **New Data Files Selection** screen redispays.
2. The status for all data files is **Complete**.
3. Select the **Done** button.

### Notes:

- Select the green plus sign icon to see details about a data file.
- Select **Remove** to remove a data file if applicable.

# DUA Requester – Update/Amend

## Edit DUA: Upload Documents

EXISTING DATA FILE DESCRIPTIONS Edit

Data File Description	From Year	To Year	
PDE22 - 20% PRESCRIPTION DRUG EVENT DATA	2010	2018	
PDE24 - 40% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES)	2010	2018	
PDECFS - 5 % PART D CHARACTERISTICS FILES	2010	2018	

Showing 1 to 3 of 3 entries Previous Next

RE-USE DATA FILE DESCRIPTIONS Edit

Data File Description	From Year	To Year	
PDE15 - 5% PRESCRIPTION DRUG EVENT DATA (1-15 VARIABLES)	RE-USE	2010	2018
XWALK1 - COW BENE ID TO SSN CROSSWALK FILE	RE-USE	2010	2014

Showing 1 to 2 of 2 entries Previous Next

NEW DATA FILE DESCRIPTIONS Edit

Data File Description	From Year	To Year	
LABCAR - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE CARRIER FILE	2010	2018	
LABNAT - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE NATIONAL FILE	2010	2018	

Showing 1 to 2 of 2 entries Previous Next

DOCUMENTS Edit

Document	Uploaded Files
1 SIGNATURE ADDENDUM	Signature_Addendum.docx

Comments :

2000 characters remaining (2000 maximum)

Save Cancel Update Previous Next

Select the **Edit** button associated with the **Documents** section to upload supporting documentation if applicable.

# DUA Requester – Update/Amend

## Edit DUA: Upload Documents

### Update DUA Request

DUA Number : CONT-2018-54153

#### UPLOAD DOCUMENTS

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

	Document	Uploaded Files	Upload Document
1	SIGNATURE ADDENDUM	Signature_Addendum.docx <a href="#">Download</a> <a href="#">Delete</a>	<button>Upload Documents</button>

Done

1. The **Upload Documents** screen displays with a predefined document type table. In this example, the **Signature Addendum** file was uploaded when the DUA was created. The **Signature Addendum** is a required document.
2. Select the **Upload Documents** button to upload additional supporting documents from your local computer.

**Note:**

- Max file size is 2 megabytes and not all file types can be uploaded.
- A new Signature Addendum is required if any new Custodian/DESY Users were added to the DUA.

# DUA Requester – Update/Amend

## Edit DUA: Upload Documents

The screenshot shows the 'Update DUA Request' interface. At the top, it says 'Update DUA Request' and 'DUA Number : CONT-2018-54153'. Below this is the 'UPLOAD DOCUMENTS' section with the instruction 'You may upload one or more documents to support your DUA.' There is a table with columns 'Document', 'Unloaded Files', and 'Upload Document'. The first row shows '1' in the 'Document' column and 'SIGNATURE ADDENDUM' in the 'Unloaded Files' column. An 'Upload Documents' pop-up dialog is open, showing 'Document Type : SIGNATURE ADDENDUM' and 'Select Files : Choose Files No file chosen'. The dialog has 'Upload' and 'Cancel' buttons. A 'Done' button is also visible in the background interface.

1. The **Upload Documents** pop-up displays.
2. Select the **Choose Files** button to select the supporting document(s) from your local computer.
3. Select the **Upload** 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 contents.

# DUA Requester – Update/Amend

## Edit DUA: Upload Additional Documents

### Update DUA Request

DUA Number : CONT-2018-54153

#### UPLOAD DOCUMENTS

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

	Document	Uploaded Files	Upload Document
1	SIGNATURE ADDENDUM	<div>Signature_Addendum.docx <a href="#">Download</a> <a href="#">Delete</a></div> <div>Extra_Notes_for_DUA.docx <a href="#">Download</a> <a href="#">Delete</a></div>	<div>Upload Documents</div>

Done

1. The document displays in the **Upload Documents** table.
2. Select the **Upload Documents** button to select additional files from your local computer if needed.
3. Select the **Done** button.

# DUA Requester – Update/Amend

## Edit DUA: Add Comments

EXISTING DATA FILE DESCRIPTIONS

Edit

Data File Description	From Year	To Year	
PDE22 - 20% PRESCRIPTION DRUG EVENT DATA	2010	2018	
PDE24 - 40% PRESCRIPTION DRUG EVENT DATA (10+ VARIABLES)	2010	2018	
PDECF5 - 5 % PART D CHARACTERISTICS FILES	2010	2018	

Showing 1 to 3 of 3 entries

RE-USE DATA FILE DESCRIPTIONS

Edit

Data File Description	From Year	To Year		
PDE15 - 5% PRESCRIPTION DRUG EVENT DATA (1-15 VARIABLES)	RE-USE	2010	2018	
XWALK7 - OCW BENE ID TO SSN CROSSWALK FILE	RE-USE	2010	2014	

Showing 1 to 2 of 2 entries

NEW DATA FILE DESCRIPTIONS

Edit

Data File Description	From Year	To Year	
LABCAR - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE CARRIER FILE	2010	2018	
LABNAT - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE NATIONAL FILE	2010	2018	

Showing 1 to 2 of 2 entries

DOCUMENTS

Edit

Document	Uploaded Files
1. SIGNATURE ADDENDUM	Signature_Addendum.docx Download Extra_Notes_for_DUA.docx Download

Comments :

2000 characters remaining (2000 maximum)

Save Cancel Update Previous Next

1. All updates of the DUA are complete.
2. Enter any applicable **Comments** (optional).
3. Select the **Next** button.

# DUA Requester – Update/Amend

## Edit DUA: Terms and Conditions

### Update DUA Request

DUA Number : CONT-2018-54153

#### TERMS & CONDITIONS

This Agreement governs the requesting organization's ("you/your") 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 laws, 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 override 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 Officer, 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 such representation.

You represent that the facts and statements made in any study, research protocols, 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 Attachment uploaded to the DUA 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 adding firms and/or such firms' proprietary, confidential, or specific bidding 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 sooner, 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 III—Security of Federal Automated Information Resources," available at [https://www.whitehouse.gov/omb/circulars\\_a130\\_a130appendix\\_iii](https://www.whitehouse.gov/omb/circulars_a130_a130appendix_iii)

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/publications/fips/fips200/FIPS-200-final-march.pdf>

National Institute of Standards and Technology (NIST), "Special Publication 800-63—Security and Privacy Controls for Federal Information Systems and Organizations," available at <http://nvlpubs.nist.gov/nistpubs/specialpublications/NIST.SP.800-63v4.pdf>

CMS Office of Information Services, "Accessible Risk Safeguards, Appendix B—CMSR Moderate Impact Level Data," available at [http://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/InformationSecurity/Downloads/ARS\\_App\\_B\\_CMSR\\_Moderate.pdf](http://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/InformationSecurity/Downloads/ARS_App_B_CMSR_Moderate.pdf)

You acknowledge that the use of unsecured telecommunications, including the Internet, to transmit individually identifiable, either 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, listings, or information derived from the files covered by this Agreement with or without identifiers if such findings, listings, 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 or less, 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, letter, 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 size suppression policy. This policy stipulates that no cell (e.g., admission, discharge, 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 protocols for CMS review. CMS may withhold approval for publication until it determines that the 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, at its sole discretion—may require you to: (a) promptly investigate and report to CMS any of your determinations 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, reuses, 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, reuses, 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, loss, or unauthorized disclosure of protected health information (PHI) and/or personally identifiable information (PII) from the CMS data files covered by this Agreement to the CMS Action Desk by telephone at (410) 786-2680 or by email notification at [ams\\_i\\_service\\_notifications@cms.gov](mailto:ams_i_service_notifications@cms.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 while they are entrusted 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 actions without cost to CMS.
12. You acknowledge that criminal penalties under Section 1105(a) of the Social Security Act (42 U.S.C. § 1105(a)), including a fine not exceeding \$10,000 or imprisonment not exceeding 5 years, or both, may apply to disclosures of information that are covered by Section 1105 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(a)(3)) may apply if it is determined that the perpetrator, knowingly or willfully, obtained or disclosed the data knowing that the data had been system or covered. 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 fines 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. The Terms and Conditions agreement screen displays (shown in 2 parts for legibility).
2. Select the **I agree to the terms and conditions above** check box.
3. Use your browser to print (if applicable).
4. Select the **Submit** button.

# DUA Requester – Update/Amend

## Edit DUA: Submitted Message

**Update DUA Request** [Print DUA](#)

DUA Number: CONT-2018-04100

**DUA REQUEST STATUS**

Your DUA request CONT-2018-04100 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-2018-04100  
DUA Container Type: CONTAINER  
DUA Category: 40 - CORP REQUESTOR  
DUA Requester Type: CUP4070-DUA  
DUA Status: Submitted  
Expiration Date: 06-30-2019  
Requester Date: 02-27-2018  
Requester: Sarah Hensley  
Requester's Email: sarah.hensley@ncsu.edu  
Requester's Phone Number: (919) 555-1212  
Last Modified By: [blank]  
Organization Name: ACCESS TO LAND & WATER INFORMATION IT  
Project Name: [blank]  
DUA Contact (CORP): [blank]  
First Name: [blank]  
Last Name: [blank]  
Email Address: sarah.hensley@ncsu.edu  
Phone Number: (919) 555-1212

**Contract Information**

Contract Number: CONT1034  
Task Order Number: TOS-110400  
Contract Period - Start Date: 01-01-2017  
Contract Period - End Date: 06-30-2018

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**CUSTOMER/ISSY USERS**

[Search](#)

First Name	Last Name	Organization
Carol	Greene	NORTH CAROLINA STATE UNIVERSITY

Showing 1 of 1 of 1 entries

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**EXISTING DATA FILE DESCRIPTIONS**

Data File Description	From Year	To Year	
FILE001 - 2018 PRE-SUBSCRIPTION ONLINE SURVEY DATA	2018	2018	+
FILE002 - 2018 PRE-SUBSCRIPTION ONLINE SURVEY DATA (EXC. UNUSUALS)	2018	2018	+
FILE003 - 2018 PRE-SUBSCRIPTION ONLINE SURVEY DATA (EXC. UNUSUALS)	2018	2018	+

Showing 1 of 3 of 3 entries

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**REL-USE DATA FILE DESCRIPTIONS**

Data File Description	From Year	To Year	
FILE001 - 2018 PRE-SUBSCRIPTION ONLINE SURVEY DATA (EXC. UNUSUALS)	2018	2018	+
FILE002 - 2018 PRE-SUBSCRIPTION ONLINE SURVEY DATA (EXC. UNUSUALS)	2018	2018	+

Showing 1 of 2 of 2 entries

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**NEW DATA FILE DESCRIPTIONS**

Data File Description	From Year	To Year	
FILE001 - 2018 PRE-SUBSCRIPTION ONLINE SURVEY DATA (EXC. UNUSUALS)	2018	2018	+
FILE002 - 2018 PRE-SUBSCRIPTION ONLINE SURVEY DATA (EXC. UNUSUALS)	2018	2018	+

Showing 1 of 2 of 2 entries

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**DOCUMENTS**

Document	Uploaded File
1. INFORMATIONAL ATTACHMENT	Informational Attachment (Excel) Data, Access, and Audit Report (Excel)

1. The confirmation message displays.
2. Select the **Print DUA** button to print or save the DUA as a PDF.
3. Select the **green plus sign** icon to view the **DUA Life Cycle**.
4. The DUA can be viewed in the **Submitted** queue.
5. The DUA will need to be reviewed and **Approved** by the **COR** and then **Certified** by the **DMT** before it displays in the **Approved** queue.



# DUA Requester – DUA Life Cycle

## Displaying the DUA Life Cycle

### Update DUA Request


Print DUA

DUA Number : CONT-2018-54153

#### DUA REQUEST STATUS

Your DUA request CONT-2018-54153 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-2018-54153
DUA Customer Type :	Contractor
DUA Category :	42 - CMS PROGRAMS
DUA Request Type :	UPDATE DUA
DUA Status :	Submitted
Expiration Date :	06-30-2018
Requested Date :	02-27-2018
Requester :	Taraji Henson
Requester's Email :	takepicnic@gmail.com
Requester's Phone Number :	(800) 555-1212
Last Updated By :	
Organization Name :	NORTH CAROLINA STATE UNIVERSITY
Project Name :	Extend Test

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

# DUA Requester – DUA Life Cycle

## Status Progressions and Actions Display

### Update DUA Request

[Print DUA](#)

DUA Number : CONT-2018-54153

#### DUA REQUEST STATUS

Your DUA request CONT-2018-54153 has been submitted for approval. You will receive a follow-up email notification. To view the status of your DUA request navigate to "My DUAs(s)".

#### DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments	Special Instructions
Submitted-Waiting for CMS COR Approval	Feb 27, 2018 3:04:17 PM	<a href="#">UPDATE DUA</a>	Taraji Henson		
In Progress	Feb 27, 2018 2:35:11 PM	<a href="#">UPDATE DUA</a>	Taraji Henson		
In Progress	Feb 27, 2018 2:35:03 PM	<a href="#">UPDATE DUA</a>	Taraji Henson		
In Progress	Feb 27, 2018 2:06:09 PM	<a href="#">UPDATE DUA</a>	Taraji Henson		
In Progress	Feb 27, 2018 2:05:51 PM	<a href="#">UPDATE DUA</a>	Taraji Henson		

Showing 1 to 5 of 30 entries

Previous 1 2 3 4 5 6 Next

#### MAIN INFORMATION

DUA Number :	CONT-2018-54153
DUA Customer Type :	Contractor
DUA Category :	42 - CMS PROGRAMS
DUA Request Type :	UPDATE DUA
DUA Status :	Submitted
Expiration Date :	06-30-2018
Requested Date :	02-27-2018
Requester :	Taraji Henson
Requester's Email :	fakepicnic@gmail.com
Requester's Mobile Number :	(919) 333-1212
Last Updated By :	
Organization Name :	NORTH CAROLINA STATE UNIVERSITY
Project Name :	Extend Test

1. The **DUA Life Cycle** details display.
2. Select the **Next** button to scroll through the life cycle list if applicable.
3. Select the **Update DUA** hyperlink to display a list of updates made.
4. Select the **Red Negative Sign** Icon to collapse the **DUA Life Cycle** table.

# DUA Requester – Print DUA

## How to Print the DUA

### Update DUA Request

Print DUA

DUA Number : CONT-2018-54153

#### DUA REQUEST STATUS

Your DUA request CONT-2018-54153 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-2018-54153
DUA Customer Type :	Contractor
DUA Category :	42 - CMS PROGRAMS
DUA Request Type :	UPDATE DUA
DUA Status :	Submitted
Expiration Date :	06-30-2018
Requested Date :	02-27-2018
Requester :	Taraji Henson
Requester's Email :	fakepicnic@gmail.com
Requester's Phone Number :	(800) 555-1212
Last Updated By :	
Organization Name :	NORTH CAROLINA STATE UNIVERSITY
Project Name :	Extend Test

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

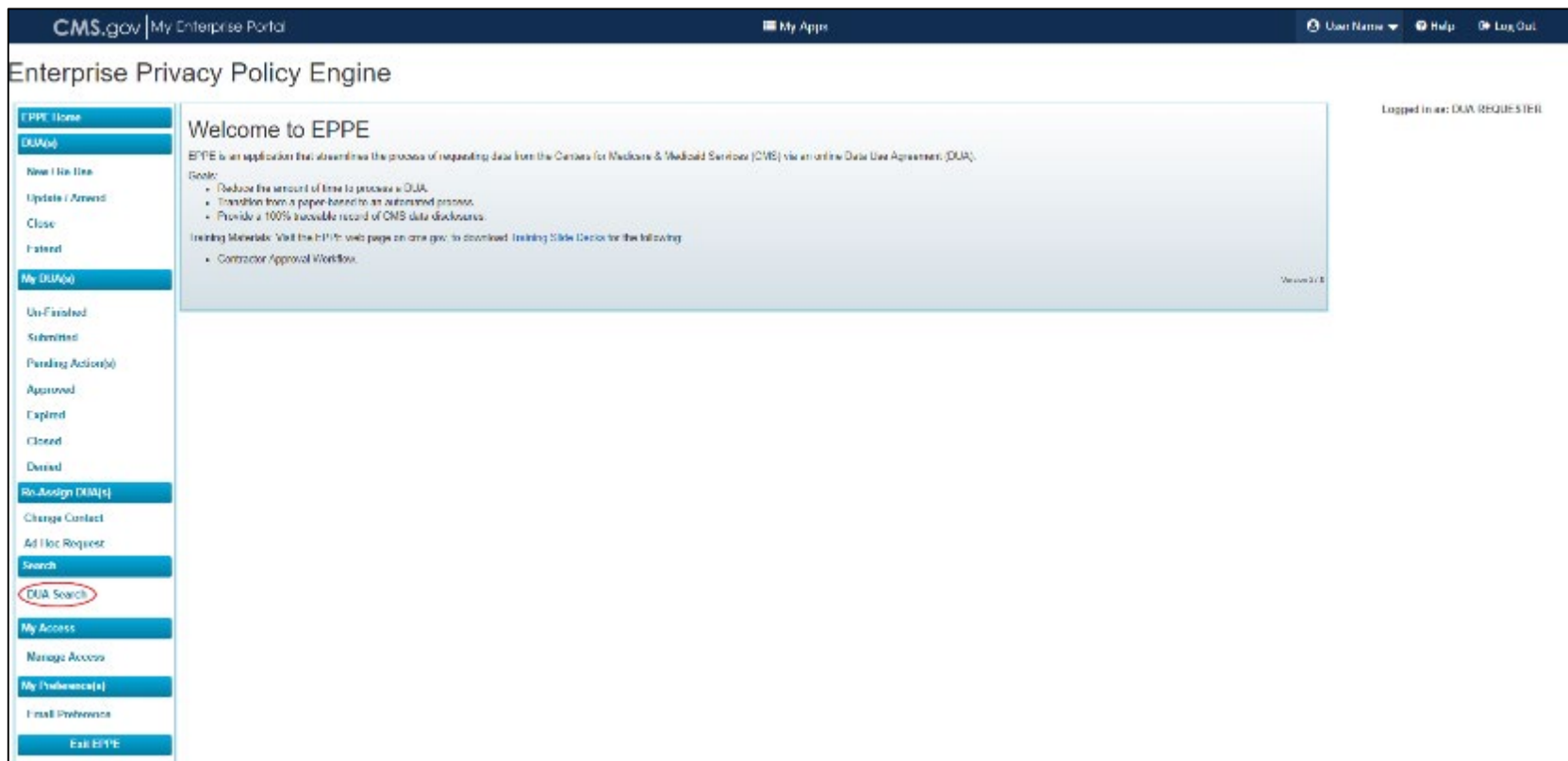
## DUA in HTML Displays for Printing

1. The DUA Displays in HTML format for printing.
2. Sections displayed are:
  - **Main Information**
  - **CMS Contact (COR)**
  - **Contract Information**
  - **Subcontracting 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 SEARCH

# DUA Requester – Search

## Searching for a DUA



On the **Search** Menu, select **DUA Search**.

# DUA Requester – DUA Search

## Enter DUA Search Criteria

**DUA SEARCH**

Search Criteria

Search based on one or multiple criteria below.

DUA Number :  Customer Type:  Year:  Digits only  ?

DUA Submission Date Range :  ?

DUA Expiration Date Range :  ?

DUA Status :  Choose DUA Status  ?

Study/Project name :  ?

ResDAC TICKET ID:  ?

Customer Type :  Choose Customer Type  ?

DUA Category :  Select DUA Category Code  ?

Contract Number :  ?

Organization :  ?

CMS Contact (COR) Name :  ?

DUA Requester Name :  ?

Custodian Name :  ?

Data File Descriptions :  ?

- ☐ MEDHTL - 1 800 MEDICARE HELPLINE
- ☐ INP - 100% INPATIENT CLAIMS
- ☐ SADHHA - 100% LDS WITH STANDARD ANALYTICAL DATE FILE - HOME HEALTH AGENCY
- ☐ SADHS - 100% LDS WITH STANDARD ANALYTICAL DATE FILE - HOSPICE
- ☐ SADIP - 100% LDS WITH STANDARD ANALYTICAL DATE FILE - INPATIENT
- ☐ SADOP - 100% LDS WITH STANDARD ANALYTICAL DATE FILE - OUTPATIENT
- ☐ SADSNF - 100% LDS WITH STANDARD ANALYTICAL DATE FILE - SKILLED NURSING FACILITY
- ☐ CRF - 100% CROSS REFERENCE FILE

1. The **DUA Search** screen displays.
2. Enter the **Search Criteria**.
3. Select the **Search** button.
4. Select the **Clear Criteria** button to start another search.

Note: The “**Search**” button must be clicked to initiate the search function. Clicking the “**Enter**” key does not initiate the search function.

# DUA Requester – DUA Search

## Results Display for the DUA Search

**DUA SEARCH**

Search Criteria Selected

DUA Status :Approved  
CustomerType :Contractor

Showing 9 of 9 Records.

[Export Search Result to Excel](#)

Search:

DUA Number	Customer Type	Organization	Project/StudyName	Requester	Request Date	Expiration Date	Status	
CONT-2017-52888	Contractor	NORTH CAROLINA STATE UNIVERSITY	Research Study	Happy NewUser	9-21-2017	9-21-2018	Approved	<a href="#">View</a>
CONT-2017-53209	Contractor	NORTH CAROLINA STATE UNIVERSITY	Training Deck	Cindy-Lou Who	11-13-2017	8-31-2018	Approved	<a href="#">View</a>
CONT-2018-53364	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-4-2018	12-31-2018	Approved	<a href="#">View</a>
CONT-2018-53365	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	<a href="#">View</a>
CONT-2018-53366	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	<a href="#">View</a>
CONT-2018-53367	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	<a href="#">View</a>
CONT-2018-53372	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	<a href="#">View</a>
CONT-2018-54108	Contractor	NORTH CAROLINA STATE UNIVERSITY	Requester Training Project	Ogre Shrek	2-20-2018	12-31-2018	Approved	<a href="#">View</a>
CONT-2018-54271	Contractor	NORTH CAROLINA STATE UNIVERSITY	Testing Document Requirement	Taraji Henson	2-27-2018	12-31-2018	Approved	<a href="#">View</a>

Showing 1 to 9 of 9 entries

[Back to Search](#)

1. The **DUA Search Results Screen** displays the search criteria at the top of the screen.
2. The **Search Results** list displays in the table.
3. Select the **View** link to display DUA details.



# DUA Requester – DUA Search

## View DUA Details

MY DUA

Print DUA

DUA Life Cycle

MAIN INFORMATION

DUA Number: CONT-2018-54109  
DUA Customer Type: Contractor  
DUA Category: 47 - CMS PROGRAMS  
DUA Status: Approved  
Expiration Date: 12-31-2018  
Requested Date: 02-29-2018  
Requester: Ogri Shrek  
Requester's Email: shreksnc@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: Tanay  
Last Name: Hanson  
Email Address: shreksnc@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: 12-31-2019

SUBCONTRACTOR ORGANIZATION(S)

UNIVERSITY OF NORTH CAROLINA

DESIGN USERS

Search:

User Name	DUA User ID	Organization
Ogri Shrek	OS23	NORTH CAROLINA STATE UNIVERSITY

Showing 1 to 1 of 1 entries

DATA FILE DESCRIPTIONS

Data File Description	From Year	To Year
CARR1 - CARRIER STANDARD ANALYTICAL FILE 100%	2010	2018
CARR20 - CARRIER STANDARD ANALYTICAL FILE 20%	2010	2018
CARR40 - CARRIER STANDARD ANALYTICAL FILE 40%	2010	2018
CARR5 - CARRIER STANDARD ANALYTICAL FILE 5%	2010	2018
PARTDS - 5% PART D MEDICARE SAMPLE PDE DATA	RE-USE	2010

Showing 1 to 5 of 5 entries

DOCUMENTS

Document	Uploaded Files
1 SIGNATURE ADDENDUM	Signature_Addendum.docx Download

Back To Results

1. The **My DUA** Details screen displays.
2. Select the **Print DUA** button to access printing options.
3. Select the **green plus sign icon** associated with the following to expand the sections and view details:
  - **DUA Life Cycle**
  - **DADSS Comments** (not shown in this example)
  - **Data File(s)**
4. Select the **Back to Results** button to return to the DUA search results screen.

# DUA Requester – DUA Search Report

## Results Display for the DUA Search

**DUA SEARCH**

Search Criteria Selected

DUA Status :Approved  
CustomerType :Contractor

Showing 9 of 9 Records.

[Export Search Result to Excel](#)

DUA Number	Customer Type	Organization	Project/StudyName	Requester	Request Date	Expiration Date	Status	
CONT-2017-52888	Contractor	NORTH CAROLINA STATE UNIVERSITY	Research Study	Happy NewUser	9-21-2017	9-21-2018	Approved	<a href="#">View</a>
CONT-2017-53209	Contractor	NORTH CAROLINA STATE UNIVERSITY	Training Deck	Cindy-Lou Who	11-13-2017	8-31-2018	Approved	<a href="#">View</a>
CONT-2018-53364	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-4-2018	12-31-2018	Approved	<a href="#">View</a>
CONT-2018-53365	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	<a href="#">View</a>
CONT-2018-53366	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	<a href="#">View</a>
CONT-2018-53367	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	<a href="#">View</a>
CONT-2018-53372	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	<a href="#">View</a>
CONT-2018-54108	Contractor	NORTH CAROLINA STATE UNIVERSITY	Requester Training Project	Ogre Shrek	2-20-2018	12-31-2018	Approved	<a href="#">View</a>
CONT-2018-54271	Contractor	NORTH CAROLINA STATE UNIVERSITY	Testing Document Requirement	Taraji Henson	2-27-2018	12-31-2018	Approved	<a href="#">View</a>

Showing 1 to 9 of 9 entries

[Back to Search](#)

1. The **DUA Search Results Screen** redispays with the search criteria.
2. Select the **Export Search Result to Excel** button to generate a report.

# DUA Requester – DUA Search Report

## Open Downloaded Report

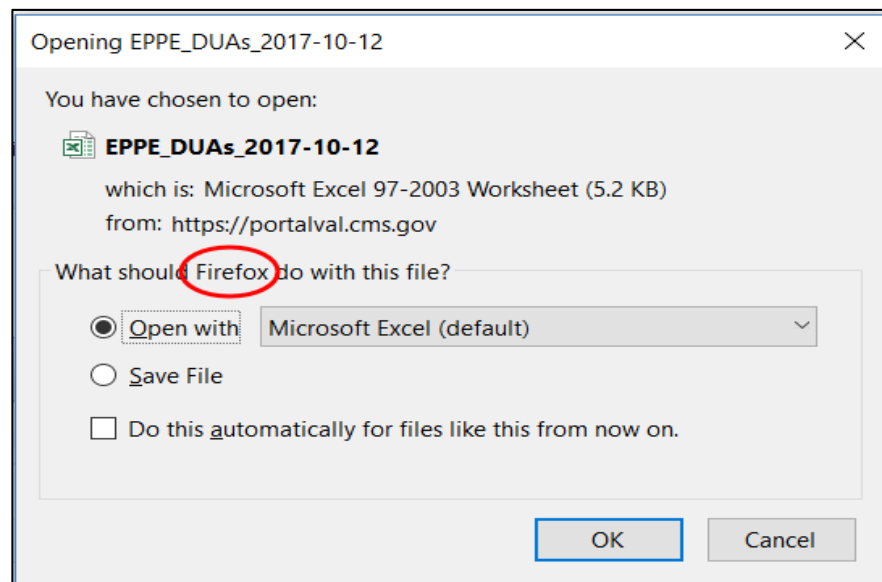
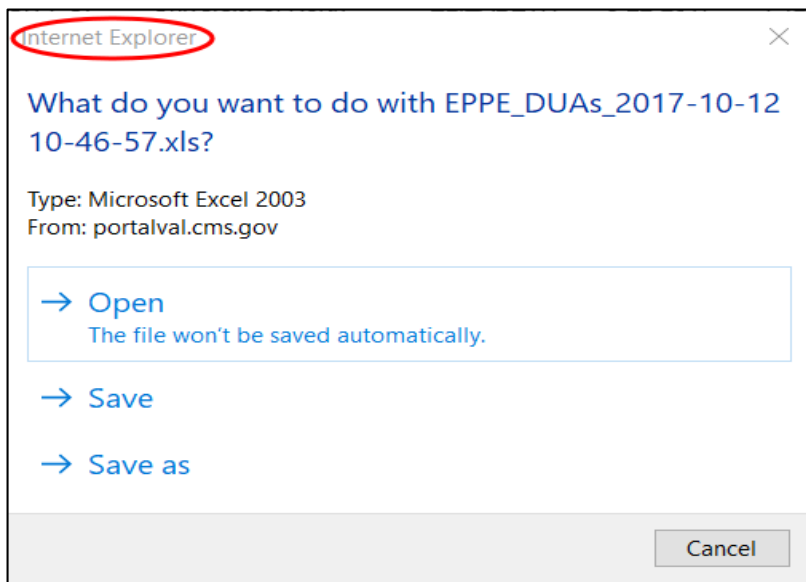
The screenshot shows the CMS.gov My Enterprise Portal interface. The top navigation bar includes 'CMS.gov | My Enterprise Portal', 'My Apps', 'User Name', 'Help', and 'Log Out'. The main heading is 'Enterprise Privacy Policy Engine'. On the left, a sidebar menu lists options: 'EPPE Home', 'DUA(s)', 'New / Re-Use', 'Update / Amend', 'Close', 'Extend', 'My DUA(s)', 'Un-Finished', 'Submitted', 'Pending Action(s)', 'Approved', 'Expired', 'Closed', and 'Denied'. The 'DUA(s)' section is active, showing 'DUA SEARCH' results. The search criteria are 'DUA Status :Approved' and 'CustomerType :Contractor'. It indicates 'Showing 9 of 9 Records.' and provides a button to 'Export Search Result to Excel'. A table of results is displayed with columns: DUA Number, Customer Type, Organization, Project/StudyName, Requester, Request Date, Expiration Date, Status, and a 'View' link. The table contains three visible rows of data. At the bottom of the screen, a file download bar shows 'EPPE\_DUAs\_2018-....xlsx' with a download icon, which is circled in red.

DUA Number	Customer Type	Organization	Project/StudyName	Requester	Request Date	Expiration Date	Status	View
CONT-2017-52888	Contractor	NORTH CAROLINA STATE UNIVERSITY	Research Study	Happy NewUser	9-21-2017	9-21-2018	Approved	<a href="#">View</a>
CONT-2017-53209	Contractor	NORTH CAROLINA STATE UNIVERSITY	Training Deck	Cindy-Lou Who	11-13-2017	8-31-2018	Approved	<a href="#">View</a>
CONT-2018-50000	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen	Taraji	1-4-2018	12-31-2018	Approved	<a href="#">View</a>

1. The **DUA Search Results Excel Report** is downloaded and displays at the bottom of the screen.
2. **Select** the file to open it.

# DUA Requester – DUA Search Report

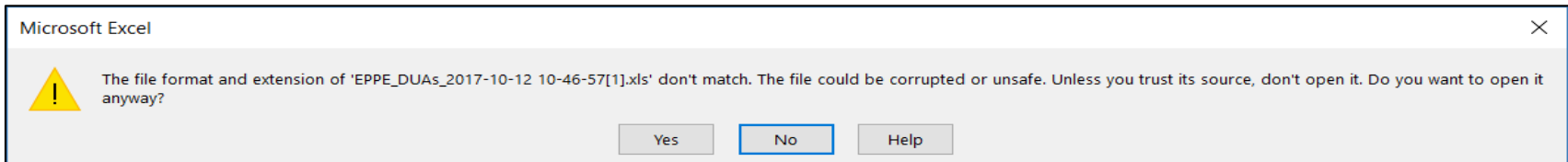
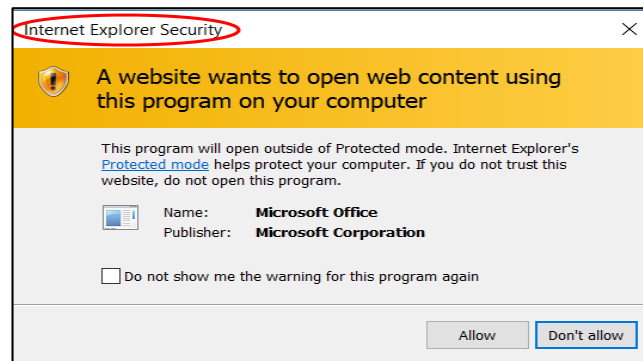
## Potential File Action Messages



1. Depending on your internet browser and other settings, messages may display asking if the file should be opened or saved.
  2. **Select the Open or Save option.**
- Note:** The examples shown are not all-inclusive.

# DUA Requester – DUA Search Report

## Potential Compatibility and Security Messages



1. Browser messages may also display asking if the file should be trusted.
2. Select the **Allow** option if you trust the website.
3. Microsoft Excel may display a file format/extension compatibility message.
4. Select the **Yes** button on the Microsoft Excel message if you trust the source.

**Note:** The examples shown are not all-inclusive.

# DUA Requester – DUA Search Report

## Downloaded Report Details

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U	V	
Dua Number	Status	Organization	DUA Category	Customer Type	Project/Study Name	Privacy Act Code	HIPPA Authorization Code	Request Date	Expiration Date	Requester Name	Requester Email	Contract Number	Task Order Number	Contract StartDate	Contract EndDate	CMS Contracting Officer Representative (COR) Name	CMS Contracting Officer Representative (COR) Email	Project Contact Name	Project Contact Email	ResDAC Ticket ID	Close Date	
1	CONT-2018-53365	Approved	NORTH CAROLINA STATE UNIVERSITY	CMS PROGRAMS	Contractor	EPPE Admin Reopen Test	CONTRACTOR	Essential Government	1/5/2018	12/31/2018	Taraji Henson	fakepicnic@gmail.com	CONT1234	TO-123456	1/1/2017	12/31/2018	Taraji Henson	fakepicnic@gmail.com				
2	CONT-2018-53366	Approved	NORTH CAROLINA STATE UNIVERSITY	CMS PROGRAMS	Contractor	EPPE Admin Reopen Test	CONTRACTOR	Essential Government	1/5/2018	12/31/2018	Taraji Henson	fakepicnic@gmail.com	CONT1234	TO-123456	1/3/2017	12/31/2018	Taraji Henson	fakepicnic@gmail.com				
3	CONT-2018-53367	Approved	NORTH CAROLINA STATE UNIVERSITY	CMS PROGRAMS	Contractor	EPPE Admin Reopen Test	CONTRACTOR	Essential Government	1/5/2018	12/31/2018	Taraji Henson	fakepicnic@gmail.com	CONT1234	TO-123456	1/3/2017	12/31/2018	Taraji Henson	fakepicnic@gmail.com				
4	CONT-2018-54271	Approved	NORTH CAROLINA STATE UNIVERSITY	CMS PROGRAMS	Contractor	Testing Document Requirement	COORDINATOR	Essential Government	2/27/2018	12/31/2018	Taraji Henson	fakepicnic@gmail.com	CONT1234	TO-123456	1/3/2018	12/31/2018	Taraji Henson	fakepicnic@gmail.com				
5	CONT-2018-	Approved	NORTH CAROLINA STATE UNIVERSITY	CMS PROGRAMS	Contractor	EPPE Admin Reopen Test	CONTRACTOR	Essential Government	1/5/2018	12/31/2018	Taraji Henson	fakepicnic@gmail.com	CONT1234	TO-123456	1/1/2018	12/31/2018	Taraji Henson	fakepicnic@gmail.com				
DUA Search Result Search Criteria +																						

The Excel Report of Exported **DUA Search Results** displays on the first tab.

# DUA Requester – DUA Search Report

## Downloaded Report Search Criteria

	A	B	C	D
1	<b>DUA Search Criteria Selected</b>			
2	DUA Status :Approved			
3	CustomerType :Contractor			
4				
5				
6	<b>Total Records</b>	9		
7				
DUA Search Result <b>Search Criteria</b> (+)				
Ready				

Select the second tab of the Excel Report of Exported **DUA Search Results** to display the Search Criteria.

# DUA Requester – DUA Search

## Return to the DUA Search Screen

**DUA SEARCH**

Search Criteria Selected

DUA Status :Approved  
CustomerType :Contractor

Showing 9 of 9 Records.

[Export Search Result to Excel](#)

DUA Number	Customer Type	Organization	Project/StudyName	Requester	Request Date	Expiration Date	Status	
CONT-2017-52888	Contractor	NORTH CAROLINA STATE UNIVERSITY	Research Study	Happy NewUser	9-21-2017	9-21-2018	Approved	<a href="#">View</a>
CONT-2017-53209	Contractor	NORTH CAROLINA STATE UNIVERSITY	Training Deck	Cindy-Lou Who	11-13-2017	8-31-2018	Approved	<a href="#">View</a>
CONT-2018-53364	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-4-2018	12-31-2018	Approved	<a href="#">View</a>
CONT-2018-53365	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	<a href="#">View</a>
CONT-2018-53366	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	<a href="#">View</a>
CONT-2018-53367	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	<a href="#">View</a>
CONT-2018-53372	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	<a href="#">View</a>
CONT-2018-54108	Contractor	NORTH CAROLINA STATE UNIVERSITY	Requester Training Project	Ogre Shrek	2-20-2018	12-31-2018	Approved	<a href="#">View</a>
CONT-2018-54271	Contractor	NORTH CAROLINA STATE UNIVERSITY	Testing Document Requirement	Taraji Henson	2-27-2018	12-31-2018	Approved	<a href="#">View</a>

Showing 1 to 9 of 9 entries

[Back to Search](#)

Select the **Back to Search** button to return to the DUA Search screen.



# 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](mailto:eppe@cms.hhs.gov)