



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

Enterprise Privacy Policy Engine (EPPE)



Contractor Approval Workflow: DUA Requester

Training Topics

Training Topics in this Module

- Requesting the EPPE DUA Requester Role
- EPPE Application Login
- DUA Re-Assignment
 - Initial DUA Re-Assignment
 - Change Contact Request
 - Ad Hoc Request
- New/Re-Use Contractor DUAs
- Update/Amend Contractor DUAs
- Extending & Closing Contractor DUAs

Training Topics (cont.)

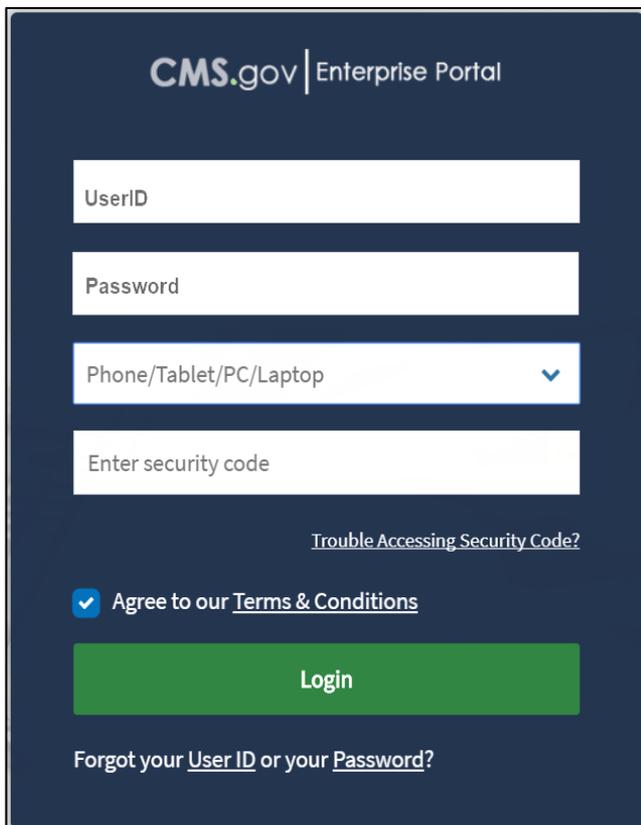
Training Topics in this Module

- Search for DUAs
- Manage Access
 - Adding/Removing a Role
- Requester Proxy Assignment
 - Adding/Removing a Proxy
 - Proxy Roles
- Email Preferences
- EPPE Help Desk Information

OBTAINING THE EPPE DUA REQUESTER ROLE

Obtaining the DUA Requester Role

Login as an EPPE User



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

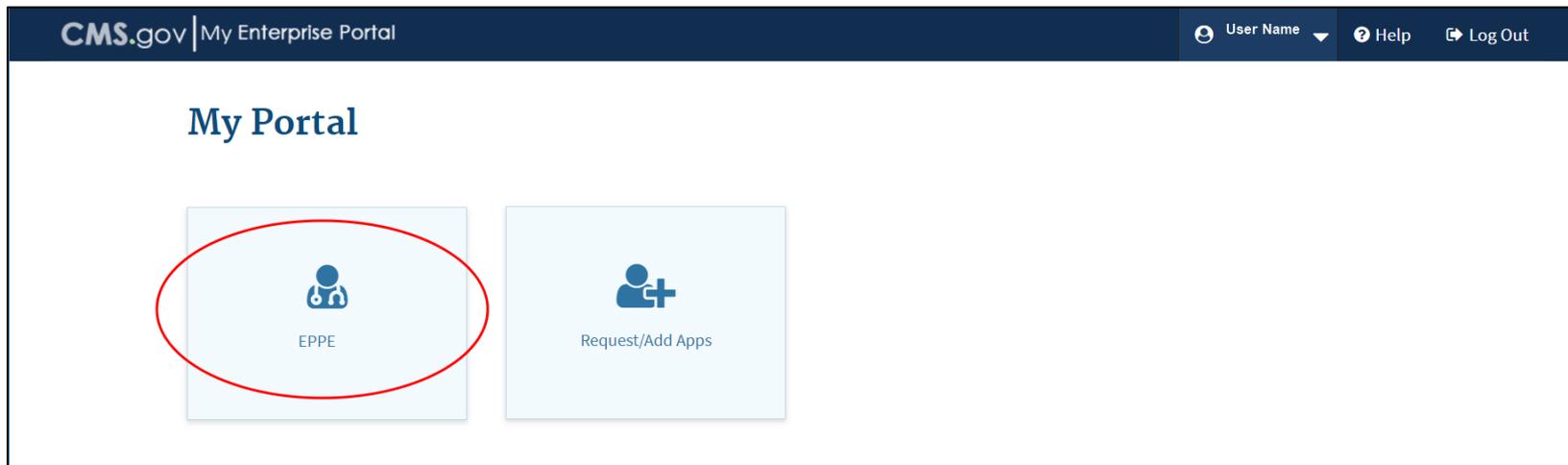


1. Once your **EPPE User Role** access has been approved, access the **CMS Enterprise Portal**.
2. Enter your **User ID**.
3. Enter Your **Password**.
4. Choose the **MFA Device**.
5. Enter the **Security Code** from the **VIP Access Software**.
6. Select the **Agree to our Terms & Conditions** button.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

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

Obtaining the DUA Requester Role

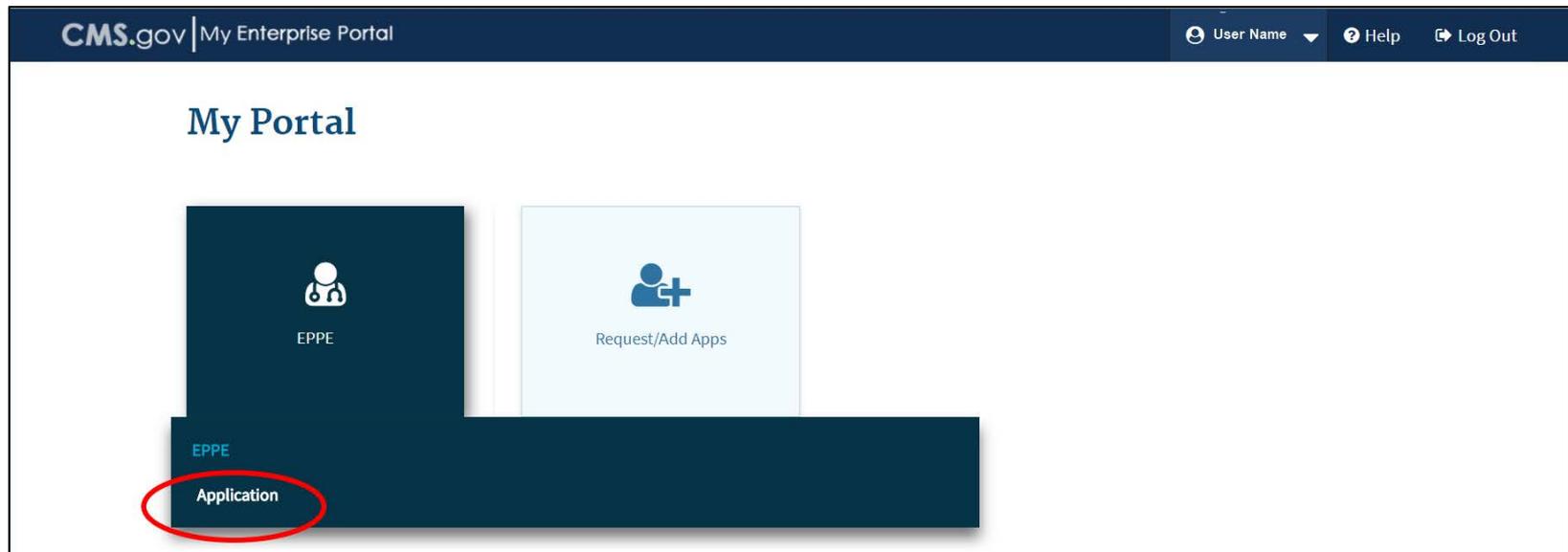
Request a Role in EPPE



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

Obtaining the DUA Requester Role

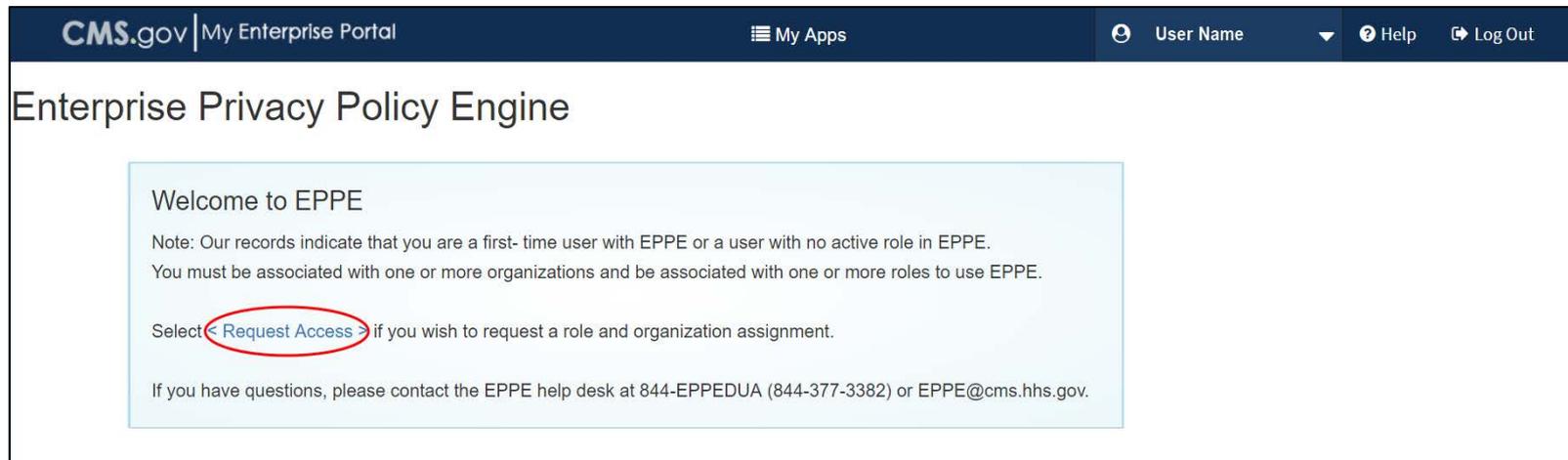
CMS Portal: Request a Role in EPPE



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

Obtaining the DUA Requester Role

EPPE Welcome Screen



The screenshot shows the EPPE Welcome Screen. At the top, there is a dark blue navigation bar with the CMS.gov logo and 'My Enterprise Portal' on the left, 'My Apps' in the center, and 'User Name', 'Help', and 'Log Out' on the right. Below the navigation bar, the main content area is titled 'Enterprise Privacy Policy Engine'. A light blue box contains the following text: 'Welcome to EPPE', 'Note: Our records indicate that you are a first-time user with EPPE or a user with no active role in EPPE. You must be associated with one or more organizations and be associated with one or more roles to use EPPE.', 'Select < Request Access > if you wish to request a role and organization assignment.', and 'If you have questions, please contact the EPPE help desk at 844-EPPEDUA (844-377-3382) or EPPE@cms.hhs.gov.' The text '< Request Access >' is circled in red.

1. The **EPPE Welcome Screen** displays.
2. Select the **Request Access link** to start the role selection process.

Obtaining the DUA Requester Role

Request EPPE Role

CMS.gov | My Enterprise Portal My Apps

Enterprise Privacy Policy Engine

REQUEST ROLE IN EPPE

Organization Name *: [Cannot locate your Organization?](#)

Role *:

Add

YOUR SELECTIONS

S.No.	Organization Name	Role	Data Dissemination System	Action
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Exit

1. Select your **Organization Name** from the dropdown.
2. Select the **DUA Requester** Role from the dropdown.
3. Select the **Add** button.

Obtaining the DUA Requester Role

REQUEST ROLE IN EPPE

Organization Name *: FLORIDA A&M UNIVERSITY Cannot locate your Organization?

Role *: DUA REQUESTER

Add

YOUR SELECTIONS

S.No.	Organization Name	Role	Data Dissemination System
1	FLORIDA A&M UNIVERSITY	DUA REQUESTER	

Submit **Exit**

ATTESTATION

Agreeing to this statement confirms that I have completed the mandatory training for the role that I am requesting, as specified on the EPPE web page. Link to [EPPE web page](#).

I agree. *

NEXT

1. The Attestation message displays: ***“Agreeing to this statement confirms that I have completed the mandatory training for the role that I am requesting, as specified on the [EPPE web page](#),”*** including a link to the EPPE page on CMS.gov.
2. Select the **I agree** checkbox.
3. Select the **Next** button.

Obtaining the DUA Requester Role

Enterprise Privacy Policy Engine

REQUEST ROLE IN EPPE

Organization Name *: FLORIDA A&M UNIVERSITY Cannot locate your Organization?

Role *: DUA REQUESTER

Add

YOUR SELECTIONS

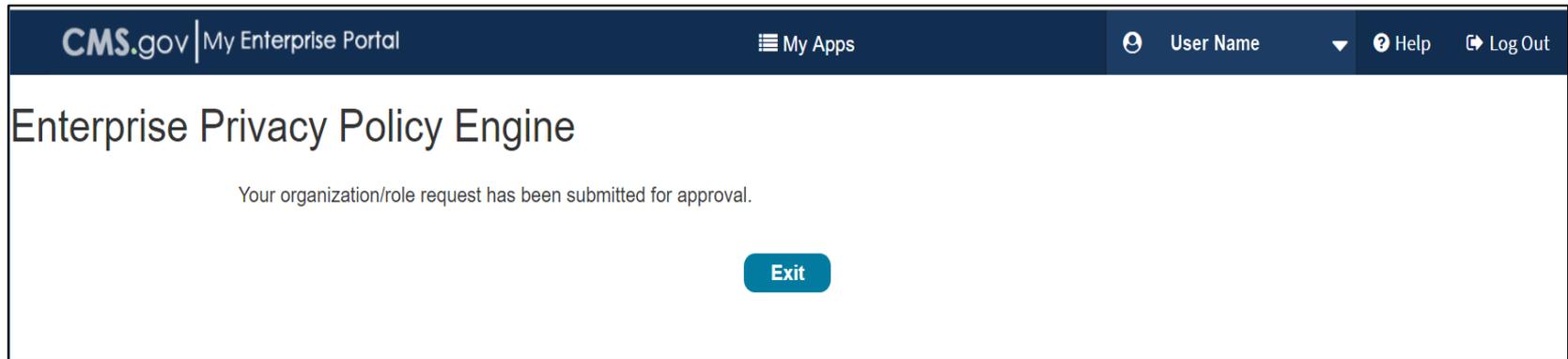
S.No.	Organization Name	Role	Data Dissemination System	Action
1	FLORIDA A&M UNIVERSITY	DUA REQUESTER		Edit Remove

Submit **Exit**

1. The **Selection** displays in the table.
2. Select the **Submit** button.

Obtaining the DUA Requester Role

EPPE Role Request Acknowledgement



1. The **EPPE** role request submission acknowledgement displays the message: ***“Your organization/role request has been submitted for approval.”***
2. The EPPE Administration (EPPE Admin) Team will review for approval.
3. Select the **Exit** button.

DUA Requester – EPPE Login

EPPE Welcome Screen and Menu

The screenshot shows the CMS.gov My Enterprise Portal interface. The header includes the CMS.gov logo, 'My Enterprise Portal', 'My Apps', the user name 'Stoney Johnson', and links for 'Help' and 'Log Out'. The main heading is 'Enterprise Privacy Policy Engine'. On the left is a navigation menu with items: EPPE Home, DUA(s), New / Re-Use, Update / Amend, Close, Extend, My DUA(s), Un-Finished, Submitted, Pending Action(s), Approved, Expired, Closed, Denied, and Re-Assign DUA(s). The main content area displays 'Welcome to EPPE' and explains that EPPE streamlines the process of requesting data from CMS via an online Data Use Agreement (DUA). It lists goals: reducing processing time, transitioning from paper-based to automated, and providing a 100% traceable record. Training materials for 'Contractor Approval Workflow' are also mentioned. The user is logged in as 'DUA REQUESTER' and can switch roles using a dropdown menu. The version number 'Version 27.1' is shown in the bottom right of the main content area.

CMS.gov | My Enterprise Portal

My Apps

Stoney Johnson

Help

Log Out

Enterprise Privacy Policy Engine

Logged in as: DUA REQUESTER

Switch To:

Welcome to EPPE

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

Goals:

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

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

- [Contractor Approval Workflow](#).

Version 27.1

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

DUA RE-ASSIGNMENT

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

EPPE Welcome Screen – DUA Re-Assignment Table

Logged in as: DUA REQUESTER

Welcome to EPPE

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

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

- Contractor Approval Workflow.

Version 27.1

MY REASSIGNED DUA

DUA Number	Organization	Customer Type	Requester	Status	Action
CONT-2018-52672	GEORGETOWN UNIVERSITY - HEALTH POLICY INSTITUTE	Contractor	Charlotte Webb	Approved	View
CONT-2018-52673	GEORGETOWN UNIVERSITY - HEALTH POLICY INSTITUTE	Contractor	Charlotte Webb	Closed	View

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

ACKNOWLEDGEMENT STATEMENT

I accept the above DUA(s)

I agree.

[Accept](#)

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

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

DUA Re-Assignment – Change Contact

DUA Re-Assignment – Request From Same Organization

EPPE Home

DUA(s)

New / Re-Use

Update / Amend

Close

Extend

My DUA(s)

Un-Finished

Submitted

Pending Action(s)

Approved

Expired

Closed

Denied

Re-Assign DUA(s)

Change Contact

Ad Hoc Request

Search

DUA Search

My Access

Manage Access

My Preference(s)

Email Preference

Exit EPPE

Logged in as: DUA REQUESTER

Welcome to EPPE

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

Goals:

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

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

- Contractor Approval Workflow.

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

Version 27.1

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

DUA Re-Assignment – Change Contact

EPPE Home

DUA(s)

New / Re-Use

Update / Amend

Close

Extend

My DUA(s)

Un-Finished

Submitted

Pending Action(s)

Approved

Expired

Closed

Denied

Re-Assign DUA(s)

Change Contact

Ad Hoc Request

Logged in as: DUA REQUESTER

Switch To: Select an Option

CHOOSE CHANGE CONTACT TYPE

Required fields are marked with an asterisk (*).

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

Request a DUA from same organization ?

Assign a DUA to Requester from same organization ?

Next

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

DUA Re-Assignment – Change Contact

DUA Re-Assignment – Request From Same Organization

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

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

DUA Re-Assignment – Change Contact

DUA Re-Assignment – Request From Same Organization

UPLOAD DOCUMENTS

You may upload one or more documents.

Add Files : No file chosen

Add Description : 2000 characters remaining (2000 maximum)

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

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

DUA Re-Assignment – Change Contact

DUA Re-Assignment – Request From the Same Organization

Logged in as: DUA REQUESTER

Switch
To:

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

CHOOSE CHANGE CONTACT TYPE

Required fields are marked with an asterisk (*).

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

Request a DUA from same organization ?

Assign a DUA to Requester from same organization ?

Next

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

DUA Re-Assignment – Change Contact

DUA Re-Assignment – Assign Within the Same Organization

The screenshot displays the CMS.gov My Enterprise Portal interface for the Enterprise Privacy Policy Engine (EPPE). The top navigation bar includes the CMS.gov logo, 'My Enterprise Portal', 'My Apps', and user options like 'User Name', 'Help', and 'Log Out'. The main content area is titled 'Enterprise Privacy Policy Engine' and shows a 'Welcome to EPPE' message. The left sidebar contains a menu with options such as 'EPPE Home', 'DUA(s)', 'New / Re-Use', 'Update / Amend', 'Close', 'Extend', 'My DUA(s)', 'Un-Finished', 'Submitted', 'Pending Action(s)', 'Approved', 'Expired', 'Closed', 'Denied', 'Re-Assign DUA(s)', 'Change Contact', 'Ad Hoc Request', 'Search', 'DUA Search', 'My Access', 'Manage Access', 'My Preference(s)', 'Email Preference', and 'Exit EPPE'. The 'Change Contact' option is highlighted with a red box. The main content area includes a 'Welcome to EPPE' message, a description of EPPE, goals, training materials, and a success message regarding DUA re-assignment. The user is logged in as 'DUA REQUESTER'.

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

DUA Re-Assignment – Change Contact

DUA Re-Assignment –Assign Within the Same Organization

Logged in as: DUA REQUESTER

Switch To:

CHOOSE CHANGE CONTACT TYPE

Required fields are marked with an asterisk (*).

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

Request a DUA from same organization ?

Assign a DUA to Requester from same organization ?

Next

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

DUA Re-Assignment – Change Contact

DUA Re-Assignment – Assign Within the Same Organization

Logged in as: DUA REQUESTER

Switch To:

ASSIGN A DUA TO REQUESTER FROM SAME ORGANIZATION

Your Organization : Automation Testing University

DUA Number *: ?

Requester *: x ?

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

DUA Re-Assignment – Change Contact

DUA Re-Assignment – Assign Within the Same Organization

Re-Assign DUA(s)

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

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

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

DUA Re-Assignment – Change Contact

DUA Re-Assignment – Assign Within the Same Organization

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

CHOOSE CHANGE CONTACT TYPE

Required fields are marked with an asterisk ().*

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

Request a DUA from same organization ?

Assign a DUA to Requester from same organization ?

Next

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

DUA Re-Assignment – Ad Hoc Request

DUA Re-Assignment – Ad Hoc Request

The screenshot displays the EPPE (Electronic Process for Processing and Reporting) web application. The user is logged in as 'DUA REQUESTER'. The left navigation menu includes options such as 'EPPE Home', 'DUA(s)', 'New / Re-Use', 'Update / Amend', 'Close', 'Extend', 'My DUA(s)', 'Un-Finished', 'Submitted', 'Pending Action(s)', 'Approved', 'Expired', 'Closed', 'Denied', 'Re-Assign DUA(s)', 'Change Contact', 'Ad Hoc Request' (highlighted in yellow), 'Search', 'DUA Search', 'My Access', 'Manage Access', 'My Preference(s)', 'Email Preference', and 'Exit EPPE'. The main content area shows a 'Welcome to EPPE' message, stating that EPPE streamlines the process of requesting data from CMS via an online Data Use Agreement (DUA). It lists goals: reducing processing time, transitioning from paper-based to automated processes, and providing a 100% traceable record of CMS data disclosures. Training materials are mentioned, including 'Contractor Approval Workflow'. A confirmation message states: 'The acceptance of your DUA(s) re-assignment was successful. You will receive a follow-up email notification of the DUA(s) that have been re-assigned with instructions on how to follow-up if there are missing DUAs.' The version number 'Version 27.1' is visible in the bottom right corner of the main content area.

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

DUA Re-Assignment – Ad Hoc Request

DUA Re-Assignment – Ad Hoc Request

REQUEST A DUA FROM DIFFERENT ORGANIZATION

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

DUA Number : * ?

Upload one or more supporting documents : *

Add Files : No file chosen

Add Description : 2000 characters remaining (2000 maximum)

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

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

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

DUA Re-Assignment – Ad Hoc Request

DUA Re-Assignment – Ad Hoc Request

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

REQUEST A DUA FROM DIFFERENT ORGANIZATION

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

DUA Number : *

Digits only



Upload one or more supporting documents : *

Add Files :

Choose Files No file chosen

Add Description :

2000 characters
remaining
(2000
maximum)

Upload

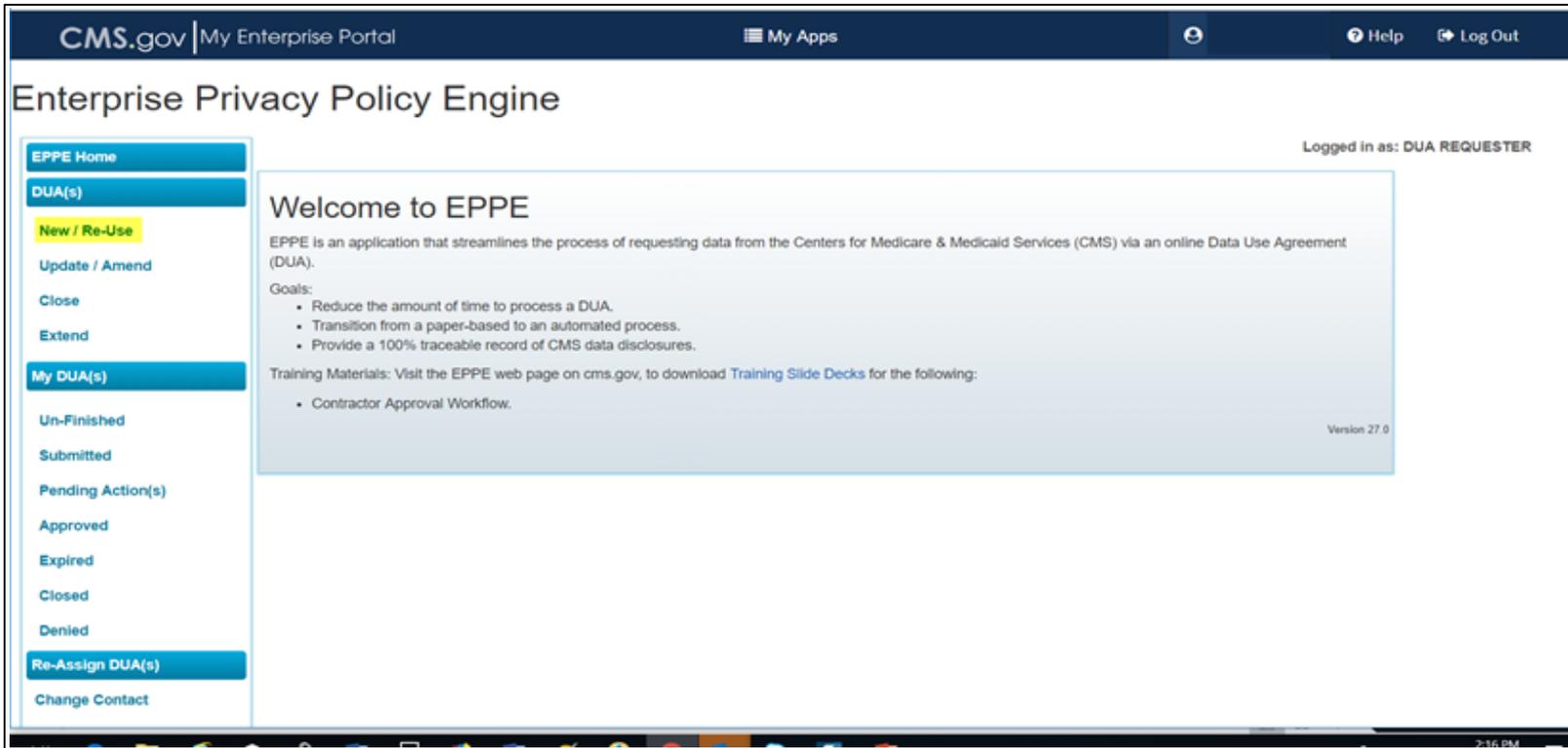
Submit

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

CREATING A DUA

DUA Requester – New Contractor DUA Request

EPPE Home Screen: DUA(s) Menu



The screenshot displays the Enterprise Privacy Policy Engine (EPPE) home screen. At the top, the navigation bar includes 'CMS.gov My Enterprise Portal', 'My Apps', 'Help', and 'Log Out'. The main header reads 'Enterprise Privacy Policy Engine' and 'Logged in as: DUA REQUESTER'. On the left, a vertical menu lists various options: 'EPPE Home', 'DUA(s)', 'New / Re-Use' (highlighted in yellow), 'Update / Amend', 'Close', 'Extend', 'My DUA(s)', 'Un-Finished', 'Submitted', 'Pending Action(s)', 'Approved', 'Expired', 'Closed', 'Denied', 'Re-Assign DUA(s)', and 'Change Contact'. The main content area features a 'Welcome to EPPE' message, a description of the application's purpose, a list of goals, and training material information. The version number 'Version 27.0' is visible in the bottom right corner of the main content area.

CMS.gov My Enterprise Portal My Apps Help Log Out

Enterprise Privacy Policy Engine

Logged in as: DUA REQUESTER

EPPE Home

DUA(s)

New / Re-Use

Update / Amend

Close

Extend

My DUA(s)

Un-Finished

Submitted

Pending Action(s)

Approved

Expired

Closed

Denied

Re-Assign DUA(s)

Change Contact

Welcome to EPPE

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

Goals:

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

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

- Contractor Approval Workflow.

Version 27.0

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

DUA Requester – New Contractor DUA Request

DUA Type Selection

New / Re-Use DUA Request

DUA TYPE

Required fields are marked with an asterisk ().*

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

Contractor ?

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

DUA Requester – New Contractor DUA Request

Add Sub-Contracting Organization

The screenshot shows a web form titled "New / Re-Use DUA Request". The main heading is "ORGANIZATION(S)". Below this, it states "Required fields are marked with an asterisk (*)". The current organization is "NORTH CAROLINA STATE UNIVERSITY". A question asks "Do you wish to add/remove a sub-contracting organization(s) for this DUA request?" with radio buttons for "YES" (selected) and "NO". A help icon is next to "NO". Below this, instructions explain the search process: "Use the Sub-Contracting Organization (autocomplete search field) to select an organization and then click **Add** button to add the sub-contracting organization to the DUA Request. Repeat the process to add additional sub-contracting organizations to the DUA Request. If the organization is not located in the search list, select **Cannot Locate Organization** link. The selected sub-contracting organizations on the DUA request are shown in the table." The form includes a search input with "university of north carolin" and a "Cannot locate the Organization?" link. A dropdown menu is open, listing: "UNIVERSITY OF NORTH CAROLINA", "UNIVERSITY OF NORTH CAROLINA - CHAPEL HILL", "UNIVERSITY OF NORTH CAROLINA - GREENSBORO", "UNIVERSITY OF NORTH CAROLINA (UNC)", "UNIVERSITY OF NORTH CAROLINA - CHARLOTTE", and "UNIVERSITY OF NORTH CAROLINA". Below the dropdown is a table with columns "Sub-Contracting Organization Name" and "Action". At the bottom, there are "Save", "Quit", "Previous", and "Next" buttons.

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

Note: You must select the organization from the list.

DUA Requester – New Contractor DUA Request

Sub-Contracting Organization Displays in Table

New / Re-Use DUA Request

ORGANIZATION(S)

Required fields are marked with an asterisk ().*

Your Organization : **NORTH CAROLINA STATE UNIVERSITY**

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

YES NO [?](#)

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

Select Sub-Contracting Organization *:

[Cannot locate the Organization? ?](#)

Add

Selected Sub-Contracting Organizations

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

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

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

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

DUA Requester – New Contractor DUA Request

Add New Sub-Contracting Organization

New / Re-Use DUA Request

ORGANIZATION(S)

Required fields are marked with an asterisk ().*

Your Organization : **NORTH CAROLINA STATE UNIVERSITY**

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

YES NO [?](#)

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

Select Sub-Contracting Organization *:

[Cannot locate the Organization? \[?\]\(#\)](#)

Selected Sub-Contracting Organizations

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

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

DUA Requester – New Contractor DUA Request

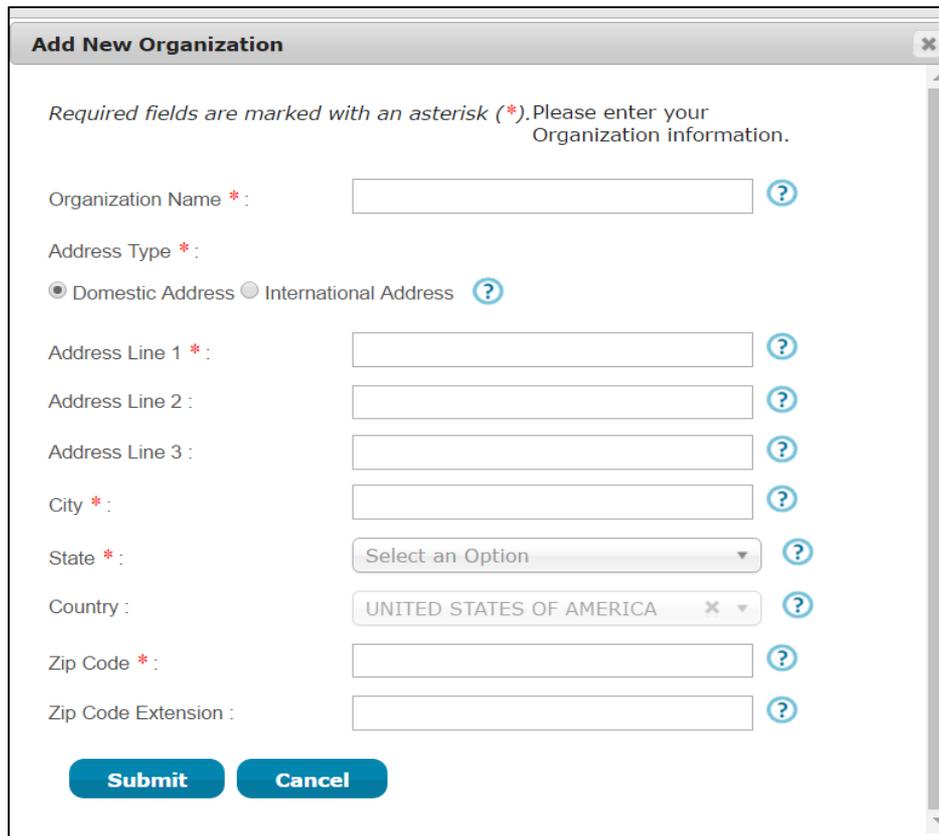
Add New Sub-Contracting Organization

The screenshot shows a web form titled "New / Re-Use DUA Request". The main heading is "ORGANIZATION(S)". Below this, there is a note: "Required fields are marked with an asterisk (*)". The form displays "Your Organization : NORTH CAROLINA STATE UNIVERSITY". A question asks: "Do you wish to add/remove a sub-contracting organization(s) for this DUA request?". There are radio buttons for "YES" (selected) and "NO", along with a help icon. Below this, instructions state: "Use the Sub-Contracting Organization (a) the DUA Request. Repeat the process to select **Cannot Locate Organization** link". A search box is labeled "Select Sub-Contracting Organization *:" and contains the text "Search". An "Add" button is visible. A pop-up dialog box titled "Organization" is open, containing the text: "You can submit a request for a new organization, however it will be available for you to select only upon approval. Do you wish to request for a new organization?". The dialog has "Yes" and "No" buttons. Below the dialog, there is a table for "Selected Sub-Contracting Organizations" with columns "Sub-Contracting Organization Name" and "Action". At the bottom of the form are "Save", "Quit", "Previous", and "Next" buttons.

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

DUA Requester – New Contractor DUA Request

Add New Sub-Contracting Organization Information



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

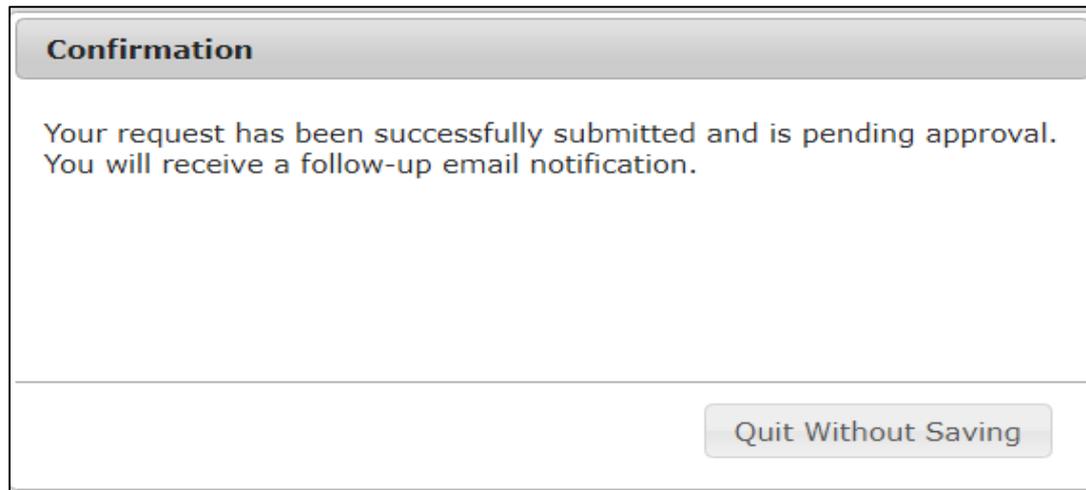
- Organization Name ***: A text input field with a help icon (?) to its right.
- Address Type ***: A radio button group with two options: "Domestic Address" (selected) and "International Address", with a help icon (?) to the right.
- Address Line 1 ***: A text input field with a help icon (?) to its right.
- Address Line 2**: A text input field with a help icon (?) to its right.
- Address Line 3**: A text input field with a help icon (?) to its right.
- City ***: A text input field with a help icon (?) to its right.
- State ***: A dropdown menu with "Select an Option" as the current selection and a help icon (?) to its right.
- Country**: A dropdown menu with "UNITED STATES OF AMERICA" as the current selection and a help icon (?) to its right.
- Zip Code ***: A text input field with a help icon (?) to its right.
- Zip Code Extension**: A text input field with a help icon (?) to its right.

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

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

DUA Requester – New Contractor DUA Request

New Sub-Contracting Organization Confirmation

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

Confirmation

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

Quit Without Saving

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

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

DUA Requester – New Contractor DUA Request

Main Information Screen

New / Re-Use DUA Request

Main Information Data Selection Upload Documents Review & Submit

DUA Number : CONT-2018-54108

MAIN INFORMATION

Required fields are marked with an asterisk ().*

Project Name * : ?

Contract Number * : ?

Task Order Number : ?

CONTRACT PERIOD * ?

Contract Start Date : Contract End Date :

CMS CONTACT (COR) * ?

Select CMS Contact (COR) :

Cannot locate your CMS Contact (COR)?

Save Quit Previous Next

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

DUA Requester – New Contractor DUA Request

Main Information Screen: Entering the Contract Period

New / Re-Use DUA Request

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

DUA Number : CONT-2018-54108

MAIN INFORMATION

Required fields are marked with an asterisk (*).

Project Name * :

Contract Number * :

Task Order Number :

CONTRACT PERIOD *

Contract Start Date : Contract End Date :

CMS CONTACT (COR) *

Select CMS Contact (COR) :

Cannot locate your CMS Contact (COR)?

Save Quit Previous Next

CONTRACT PERIOD *

Contract Start Date : Contract End Date :

CMS CONTACT (COR) *

Select CMS Contact (COR) :

Cannot locate your CMS Contact (COR)?

Save Quit

Today Done

Su	Mo	Tu	We	Th	Fr	Sa
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30
31						

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

DUA Requester – New Contractor DUA Request

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

New / Re-Use DUA Request

Main Information Data Selection Upload Documents Review & Submit

DUA Number : CONT-2018-54108

MAIN INFORMATION

Required fields are marked with an asterisk (*)

Project Name * :

Contract Number * :

Task Order Number :

CONTRACT PERIOD * :

Contract Start Date : Contract End Date :

CMS CONTACT (COR) * :

Select CMS Contact (COR) :

Cannot locate your CMS Contact (COR)?

Save Quit Previous Next

Alert

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

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

OK

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

DUA Requester – New Contractor DUA Request

Main Information Screen

New / Re-Use DUA Request

Main Information Data Selection Upload Documents Review & Submit

DUA Number : CONT-2018-54108

MAIN INFORMATION

Required fields are marked with an asterisk ().*

Project Name * : Requester Training Project ?

Contract Number * : CONT1234 ?

Task Order Number : TO-123456 ?

CONTRACT PERIOD * ?

Contract Start Date : Contract End Date :

01/04/2017 12/31/2018

CMS CONTACT (COR) * ?

Select CMS Contact (COR) : Taraji Henson x

Cannot locate your CMS Contact (COR)?

First Name : Last Name :

Taraji Henson

Email Address : Phone Number :

fakepicnic@gmail.com 800-555-1212

Save Quit Previous Next

Select the **Next** button

DUA Requester – New Contractor DUA Request

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

New / Re-Use DUA Request

Main Information Data Selection Upload Documents Review & Submit

DUA Number : CONT-2018-52530

CUSTODIAN(S)/DESY USER

Search:

User Name	EUA User Id	Organization	Action
Showing 0 to 0 of 0 entries			

Add Custodian(s)/DESY User

Save Quit Previous Next

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

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

DUA Requester – New Contractor DUA Request

Custodian/DESY USER Screen: Add a DESY User

Add Custodian/DESY User

Required fields are marked with an asterisk (*).

Select Organization * : Choose Organization...

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

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

Is the selected user a DESY User? : Yes No

EUA User Id * :

Cancel Submit

Add Custodian/DESY User

Required fields are marked with an asterisk (*).

Select Organization * : Choose Organization...

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

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

Is the selected user a DESY User? : Yes No

Cancel Submit

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

Notes:

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

DUA Requester – New Contractor DUA Request

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

New / Re-Use DUA Request

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

DUA Number : CONT-2018-54108

CUSTODIAN(S)/DESY USER

Search:

User Name	EUA User Id	Organization	Action
Charlotte Webb		GEORGETOWN UNIVERSITY - HEALTH POLICY INSTITUTE	Edit Remove
JACK HOADLEY	MH00	GEORGETOWN UNIVERSITY - HEALTH POLICY INSTITUTE	Edit Remove

Showing 1 to 2 of 2 entries

Add Custodian(s)/DESY User

Save Quit Previous Next

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

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

DUA Requester – New Contractor DUA Request

Re-Use Data Files Decision

New / Re-Use DUA Request

Main Information Data Selection Upload Documents Review & Submit

DUA Number : CONT-2018-54108

RE-USE DATA FILE(S) SELECTION

Required fields are marked with an asterisk ().*

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

YES NO

Save Quit Previous Next

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

DUA Requester – New Contractor DUA Request

Add Re-Used Data Files

New / Re-Use DUA Request

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

DUA Number : CONT-2018-54108

RE-USE DATA FILE(S) SELECTION

Required fields are marked with an asterisk (*).

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

YES NO

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

Available Data File Descriptions for Re-Use

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

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

Add selection to DUA request

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

Selected New Data File Descriptions for Re-Use

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

Showing 0 to 0 of 0 entries Previous Next

Save Quit Previous Next

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

Notes:

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

DUA Requester – New Contractor DUA Request

Add Re-Used Data Files

New / Re-Use DUA Request

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

DUA Number : CONT-2018-54108

RE-USE DATA FILE(S) SELECTION

Required fields are marked with an asterisk (*)

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

YES NO

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

Available Data File Descriptions for Re-Use

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

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

Add selection to DUA request

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

Selected New Data File Descriptions for Re-Use

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

Showing 0 to 0 of 0 entries Previous Next

Save Quit Previous Next

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

Notes:

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

DUA Requester – New Contractor DUA Request

Add Re-used File Extraction Criteria

Data file information

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

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

Available Year Range * : ?

From * : ?

To * : ?

Quarter(s) :

State(s) (if applicable) :

Add

Selected Multiple From and To Year

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

Previous **Next**

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

Notes:

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

DUA Requester – New Contractor DUA Request

Re-used Data File Extraction Criteria Displays in Table

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

- Data File Description:** PARTD5 - 5 % PART D MEDICARE SAMPLE PDE DATA
- Available Year Range:** [2010 - 2017] ; (100%)
- From:** Select an Opt...
- To:** Select an Opt...
- Quarter(s):** [Empty text box]
- State(s) (if applicable):** [Empty text box]
- Add:** [Blue button]

Below the form, a table titled "Selected Multiple From and To Year" displays the extracted criteria:

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

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

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

DUA Requester – New Contractor DUA Request

Add Custodians for Re-Used Data Files

Data file information

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

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

Notes:

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

DUA Requester – New Contractor DUA Request

Shipping Information for Re-Used Data Files

The screenshot shows a web application window titled "Data file information" with three tabs: "1. Data file extraction", "2. Custodians", and "3. Shipping Information". The "3. Shipping Information" tab is active. Below the tabs, there are several input fields and a table.

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

Data Dissemination System * : x

Primary Recipient * : ?

Data Shipping Location * : Add New Location ?

Carrier : ?

Selected Shipping Details

Id	Shipping Location	Recipient	Carrier	Carrier Account Number	Action
1	2717 Brigadoon Dr. Apt 21, Raleigh, North Carolina, 27606, USA	BRIAN REICH			<input type="button" value="Remove"/>

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

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

DUA Requester – New Contractor DUA Request

Re-Used Data File Attributes Completed for First File

New / Re-Use DUA Request

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

DUA Number : CONT-2018-04108

RE-USE DATA FILE(S) SELECTION

Required fields are marked with an asterisk (*).

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

YES NO

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

Available Data File Descriptions for Re-Use

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

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

Add selection to DUA request

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

Selected New Data File Descriptions for Re-Use

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

Showing 1 to 2 of 2 entries Previous Next

Save Quit Previous Next

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

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

DUA Requester – New Contractor DUA Request

Re-Used Data Files: Apply All Custodians

Apply Data Selection Attributes ✕

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

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

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

Apply to DUA request

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

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

DUA Requester – New Contractor DUA Request

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

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

Selected New Data File Descriptions for Re-Use

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

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

Shipping Details

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

Custodian Locations and Custodians

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

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

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

Shipping Details

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

Custodian Locations and Custodians

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

Showing 1 to 2 of 2 entries

[Save](#) [Quit](#) [Previous](#) [Next](#)

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

Notes:

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

DUA Requester – New Contractor DUA Request

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

Data file information

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

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

Available Year Range * : ?

From * : ?

To * : ?

Quarter(s) :

State(s) (if applicable) :

Selected Multiple From and To Year

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

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

Notes:

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

DUA Requester – New Contractor DUA Request

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

Data file information

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

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

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

From * : Select an Opt...

To * : Select an Opt...

Quarter(s) :

State(s) (if applicable) :

Add

Selected Multiple From and To Year

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

Previous Next

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

DUA Requester – New Contractor DUA Request

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

Data file information

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

Selected Custodian Locations and Custodians

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

Previous Next

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

DUA Requester – New Contractor DUA Request

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

Data file information

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

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

Required fields are marked with an asterisk (*).

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

Data Dissemination System * : SHIPPING INFORMATION

Data Shipping Location * : ?

Primary Recipient * : ?

Carrier : ?

Add

Selected Shipping Details

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

Previous **Finish**

1. **Shipping Information** tab displays

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

2. Select **Finish**

DUA Requester – New Contractor DUA Request

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

New / Re-Use DUA Request

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

DUA Number : CONT-2018-54108

RE-USE DATA FILE(S) SELECTION

Required fields are marked with an asterisk (*).

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

YES NO

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

Available Data File Descriptions for Re-Use

Select	DUA Number	Organization	Data File Description	Extraction Percent	From - To Year	
<input type="checkbox"/>	CONT-2005-15619	UNIVERSITY OF NORTH CAROLINA	OTHER - OTHER DATA (SPECIFY)	Migrated from DAOSS - NA	2004 - 2006	<input checked="" type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	BENE - ANNUAL BENEFICIARY SUMMARY FILE	22%	2010 - 2012	<input checked="" type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	XWALK7 - CCW BENE ID TO SSN CROSSWALK FILE	100%	2010 - 2014	<input checked="" type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	FDE22 - 20% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2014	<input checked="" type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	POE5 - 5% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2018	<input checked="" type="checkbox"/>

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

Add selection to DUA request

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

Selected New Data File Descriptions for Re-Use

Data File Description	Extraction % / Cohort	From Year	To Year	Status	Action
PARTD5 - 5 % PART D MEDICARE SAMPLE PDE DATA	100%	2010	2017	COMPLETE	Edit Remove Apply All
POE25 - 5% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES)	100%	2010	2017	COMPLETE	Edit Remove

Showing 1 to 2 of 2 entries Previous Next

Save Quit Previous Next

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

Notes:

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

DUA Requester – New Contractor DUA Request

Not Re-Using Data Files

New / Re-Use DUA Request

Main Information Data Selection Upload Documents Review & Submit

DUA Number : CONT-2018-54108

RE-USE DATA FILE(S) SELECTION

Required fields are marked with an asterisk ().*

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

YES NO

Save Quit Previous Next

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

DUA Requester – New Contractor DUA Request

Add New Data Files

New / Re-Use DUA Request

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

DUA Number : CONT-2018-54108

NEW DATA FILE(S) SELECTION

Required fields are marked with an asterisk (*).

Privacy Level : ?

Select Data File Descriptions

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

Selected New Data File Descriptions

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

Showing 0 to 0 of 0 entries

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

DUA Requester – New Contractor DUA Request

Add New Data Files and Attributes

New / Re-Use DUA Request

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

DUA Number : CONT-2017-51585

NEW DATA FILE(S) SELECTION

Required fields are marked with an asterisk (*)

Privacy Level : IDENTIFIABLE ?

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

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

Add selection to DUA request

Selected New Data File Descriptions

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

Showing 1 to 5 of 5 entries Previous Next

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

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

DUA Requester – New Contractor DUA Request

New Data Files: Enter Data File Extraction Information

Data file information

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

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

Data File Extraction % / Cohort * : Select an Option ?

From * : Select an Option ?

To * : Select an Option ?

Quarter(s) : Choose Quarters...

State(s) (if applicable) : Select Some Options

Add

Selected Multiple From and To Year

Previous Next

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

Notes:

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

DUA Requester – New Contractor DUA Request

New Data Files: Add Extraction Information

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

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

Below the form, a table displays the selected data:

Selected Multiple From and To Year

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

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

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

DUA Requester – New Contractor DUA Request

New Data Files: Enter Custodian Information

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

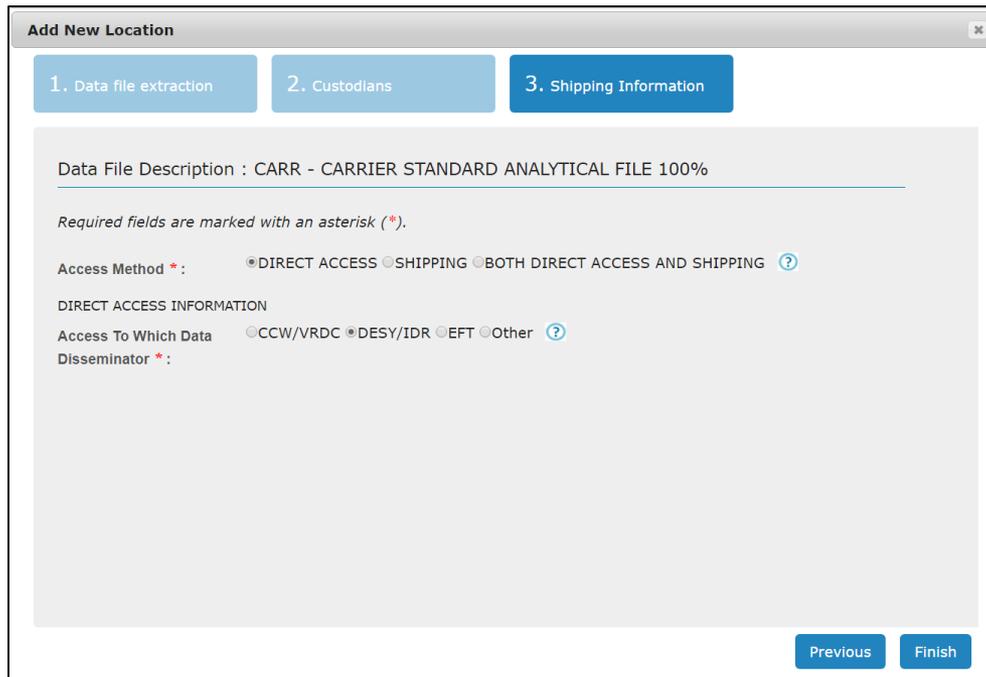
1. **Custodians** table is populated with the **Custodian** information.
2. Select **Next**.

Notes:

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

DUA Requester – New Contractor DUA Request

New Data Files: Add Shipping Information



The screenshot shows a web form titled "Add New Location" with three tabs: "1. Data file extraction", "2. Custodians", and "3. Shipping Information". The "Shipping Information" tab is active. The form displays the following information:

- Data File Description : CARR - CARRIER STANDARD ANALYTICAL FILE 100%
- Required fields are marked with an asterisk (*).
- Access Method *: DIRECT ACCESS SHIPPING BOTH DIRECT ACCESS AND SHIPPING ?
- DIRECT ACCESS INFORMATION
- Access To Which Data CCW/VRDC DESY/IDR EFT Other ?
- Disseminator *: [Empty field]

At the bottom of the form, there are two buttons: "Previous" and "Finish".

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

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

DUA Requester – New Contractor DUA Request

New Data Files: Add Direct Access and Shipping Information

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

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

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

Required fields are marked with an asterisk (*).

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

DIRECT ACCESS INFORMATION

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

Data Dissemination System * : ?

SHIPPING INFORMATION

Data Shipping Location * : Add New Location ?

Primary Recipient * : ?

Carrier : ?

Selected Shipping Details

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

DUA Requester – New Contractor DUA Request

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

New / Re-Use DUA Request

Main Information Data Selection Upload Documents Review & Submit

DUA Number : CONT-2018-54108

NEW DATA FILE(S) SELECTION

Required fields are marked with an asterisk (*).

Privacy Level : IDENTIFIABLE

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

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

Add selection to DUA request

Selected New Data File Descriptions

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

Showing 1 to 4 of 4 entries

Save Quit Previous Next

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

Notes:

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

DUA Requester – New Contractor DUA Request

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

Apply Data Selection Attributes ✕

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

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

Apply to DUA request

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

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

DUA Requester – New Contractor DUA Request

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

New / Re-Use DUA Request

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

DUA Number : CONT-2018-54108

NEW DATA FILE(S) SELECTION

Required fields are marked with an asterisk (*).

Privacy Level : IDENTIFIABLE ?

Select Data File Descriptions Start typing to search...

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

Add selection to DUA request

Selected New Data File Descriptions

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

Showing 1 to 4 of 4 entries Previous Next

Save Quit Previous Next

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

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

DUA Requester – New Contractor DUA Request

Upload Documents

New / Re-Use DUA Request

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

DUA Number : CONT-2018-54108

UPLOAD DOCUMENTS

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

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

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

Notes:

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

DUA Requester – New Contractor DUA Request

Review the DUA

New / Re-Use DUA Request

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

DUA Number : CONT-2018-54108

REVIEW

DUA Life Cycle +

MAIN INFORMATION

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

CMS Contact (COR)

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

Contract Information

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

SUBCONTRACTOR ORGANIZATION(S)

UNIVERSITY OF NORTH CAROLINA

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

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

DUA Requester – New Contractor DUA Request

Review the DUA

DESY USERS

Search:

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

Showing 1 to 1 of 1 entries

DATA FILE DESCRIPTIONS

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

Showing 1 to 5 of 6 entries

DOCUMENTS

Document	Uploaded Files
1 SIGNATURE ADDENDUM	Signature_Addendum.docx Download

Comments :

2000 characters remaining (2000 maximum)

Save Quit Previous Next

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

DUA Requester – New Contractor DUA Request

Accept Terms and Conditions and Submit the DUA

New / Re-Use DUA Request

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

DUA Number: CONT-2018-54108

TERMS & CONDITIONS

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

CMS agrees to provide you with the data files specified in the DUA Request, which reside in a CMS Privacy Act System of Records ("SOR"). In exchange, you agree to: (a) pay any applicable fees; (b) use the data only for purposes that support your study, research, or project, as specified in the DUA Request, which CMS has determined to be valuable in helping CMS monitor, manage, and improve the Medicare and Medicaid programs and/or services provided to beneficiaries; and (c) to ensure the integrity, security, and confidentiality of the data by complying with the terms of this Agreement and any applicable law's, including the Privacy Act (5 U.S.C. §552a) and Privacy Rule of the Health Insurance Portability and Accountability Act (HIPAA/HSC.F.R. Subpart C, Parts 100 and Part 164, Subparts A and E). This Agreement is intended to: (a) secure data that reside in a CMS Privacy Act SOR; (b) ensure the integrity, security, and confidentiality of information maintained by CMS; and (c) permit appropriate disclosure and use of such data as permitted by law.

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

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

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

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

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

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

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

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

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

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

- Office of Management and Budget (OMB), "OMB Circular No. A-130, Appendix II—Security of Federal Automated Information Resources" available at https://www.electronicprivacycenter.ohio.gov/ohioecircular_a130_a130appendix_ii
- National Institute of Standards and Technology (NIST), "Federal Information Processing Standards Publication 200—Minimum Security Requirements for Federal Information and Information Systems" available at <http://csrc.nist.gov/csrc/nw/foip/foip200/FIPS-200-final-march.pdf>
- National Institute of Standards and Technology (NIST), "Special Publication 800-53—Security and Privacy Controls for Federal Information Systems and Organizations," available at <http://nvlpubs.nist.gov/nvlpubs/SpecialPublications/NIST.SP.800-53a.pdf>
- CMS Office of Information Services, "Acceptable Risk Safeguards, Appendix B—CMSR Moderate Impact Level Data," available at http://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/InformationSecurityDownloads/CMS_App_B_CMSR_Moderate.pdf

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

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

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

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

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

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

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

11. You agree that, in the event CMS determines or reasonably believes that you have made or may have made an unauthorized use, reuse, or disclosure of the files covered by this Agreement or another written authorization from the appropriate CMS representative associated with the project, then CMS—of its sole discretion—may require you to: (a) promptly investigate and report to CMS any of your conversations regarding all alleged or actual unauthorized use, reuse, or disclosure; (b) promptly resolve any problems identified by the investigation; (c) if requested by CMS, submit a formal response to any allegations of unauthorized use, reuse, or disclosure; (d) if requested by CMS, submit a corrective action plan with steps designed to prevent any future unauthorized uses, 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, civil, or unauthorized disclosure of protected health information (PHI) and/or personally identifiable information (PII) from the files covered by this Agreement to the CMS and/or HHS Office of Inspector General (OIG) and/or HHS Office of Civil Rights (OCR) or by e-mail notification at cms_pi_service_dek@cms.hhs.gov within 1 hour and to cooperate fully in the federal security incident process. While CMS retains all ownership rights to the data files, as outlined above, you agree to bear the cost and liability for any breaches of PHI and/or PII from the data files when they are returned to you. Furthermore, if CMS determines that the risk of harm requires notification of affected individual persons regarding the security breach and/or other remedies, you agree to carry out these actions without cost to CMS.

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

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

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

I agree to the terms and conditions above.

Previous Submit

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

DUA Requester – New Contractor DUA Request

DUA Submission Confirmation

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

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

DUA Number : CONT-2018-54108

DUA REQUEST STATUS

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

DUA Life Cycle

MAIN INFORMATION

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

CMS Contact (COR)

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

Contract Information

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

SUBCONTRACTOR ORGANIZATION(S)
UNIVERSITY OF NORTH CAROLINA

DESY USERS

Search:

User Name	EMA User ID	Organization	
Ogire Shrik	OS23	NORTH CAROLINA STATE UNIVERSITY	+

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

DATA FILE DESCRIPTIONS

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

Showing 1 to 5 of 6 entries [Previous](#) [Next](#)

DOCUMENTS

	Document	Uploaded Files
1	SIGNATURE ADDENDUM	Signature_Addendum.docx Download

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

DUA Requester – DUA Life Cycle

Displaying the DUA Life Cycle

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

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

DUA Number : CONT-2018-54108

DUA REQUEST STATUS

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

DUA Life Cycle 

MAIN INFORMATION

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

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

DUA Requester – DUA Life Cycle

Status Progressions and Actions Display

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

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

DUA Number : CONT-2018-54108

DUA REQUEST STATUS

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

DUA Life Cycle

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

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

MAIN INFORMATION

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

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

DUA Requester – Print DUA

How to Print the DUA

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

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

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

DUA Requester – Print DUA

DUA in HTML Displays for Printing

DUA: CONT-2018-54108

MAIN INFORMATION

DUA Number: CONT-2018-54108
 DUA Customer Type: Contractor
 DUA Status: Submitted-Waiting for CMS COR Approval
 Requested Date: 2/20/2018
 Requester Org: Blank
 Requester Organization Name: NORTH CAROLINA STATE UNIVERSITY
 Requester Email Address: fakopirac@gmail.com
 Requester Phone Number: (919) 391-5555
 Project Name: Requester Training Project
 Privacy Act Authorization Code:

CMS Contact (COR)

Name: Taraji Hession
 Email: fakopirac@gmail.com
 Phone Number: 4909 555-1212

Contract Information

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

Subcontracting Organization

1. UNIVERSITY OF NORTH CAROLINA

DOCUMENTS

1. Signature_Authorization.docx

DESY USERS

ID	User Name	DUA User Id	Organization	Email Address	Phone Number	Address
1	Open Blank	0923	NORTH CAROLINA STATE UNIVERSITY	fakopirac@gmail.com	(919) 391-5555	11 Rock Quarry Road, Raleigh, North Carolina, 27610, USA

DATA FILE DESCRIPTION

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

CUSTODIANS

ID	Custodian	Organization	Address	Email Address	Phone Number
1	Open Blank	NORTH CAROLINA STATE UNIVERSITY	11 Rock Quarry Road, Raleigh, North Carolina, 27610, USA	fakopirac@gmail.com	(919) 391-5555 Ext:
2	Mary Gentry	NORTH CAROLINA STATE UNIVERSITY	6584 Phyllis Drive, Chapel Hill, North Carolina, 27599, USA	mgentry@ncsu.com	(919) 555-1212 Ext:
3	Mary Pickett-Smith	UNIVERSITY OF NORTH CAROLINA	2195 KERR HALL, CAMPUS BOX 7600, CHAPEL HILL, North Carolina, 27599, USA	mpsm@uncp.edu	(919) 555-1212 Ext:

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments
Scheduled Waiting for CMS COR Approval	Tue Feb 20 12:47:41 EST 2018	CREATE DUA	Open Blank	
In Progress	Fri Feb 16 14:26:31 EST 2018	CREATE DUA	Open Blank	
In Progress	Fri Feb 16 14:51:01 EST 2018	CREATE DUA	Open Blank	
In Progress	Fri Feb 16 12:21:41 EST 2018	CREATE DUA	Open Blank	
In Progress	Fri Feb 16 11:36:57 EST 2018	CREATE DUA	Open Blank	
In Progress	Fri Feb 16 10:49:09 EST 2018	CREATE DUA	Open Blank	
In Progress	Fri Feb 16 10:53:30 EST 2018	CREATE DUA	Open Blank	
In Progress	Fri Feb 16 09:11:00 EST 2018	CREATE DUA	Open Blank	
In Progress	Thu Feb 15 10:47:32 EST 2018	CREATE DUA	Open Blank	
In Progress	Thu Feb 15 10:48:41 EST 2018	CREATE DUA	Open Blank	
In Progress	Thu Feb 15 10:15:30 EST 2018	CREATE DUA	Open Blank	
In Progress	Wed Feb 14 16:24:48 EST 2018	CREATE DUA	Open Blank	
In Progress	Wed Feb 14 16:06:07 EST 2018	CREATE DUA	Open Blank	

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

UPDATE/AMEND A DUA

DUA Requester – Update/Amend

EPPE Menu

CMS.gov | My Enterprise Portal

My Apps

Charlotte Webb

Help

Log Out

Enterprise Privacy Policy Engine

Logged in as: DUA REQUESTER

- EPPE Home
- DUA(s)
 - New / Re-Use
 - Update / Amend
 - Close
 - Extend
- My DUA(s)
 - Un-Finished
 - Submitted
 - Pending Action(s)
 - Approved
 - Expired
 - Closed
 - Denied
- Re-Assign DUA(s)
- Change Contact
- Ad Hoc Request
- Search
 - DUA Search
- My Access
 - Manage Access
- My Preference(s)
 - Email Preference
- Exit EPPE

Welcome to EPPE

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

Goals:

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

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

- Contractor Approval Workflow.

Version 27.1

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	View
CONT-2018-54153	NORTH CAROLINA STATE UNIVERSITY	Taraji Henson	2-21-2018	Approved	View

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-2018-52679
DUA Customer Type : Contractor
DUA Status : Approved
Expiration Date : 03-01-2019
Requested Date : 10-12-2018
Requester : Charlotte Webb
Requester's Email : cwebb@fesi.com
Requester's Phone Number : (240) 214-6588 Ext:null
Last Updated By :
Organization Name : NORTH CAROLINA STATE UNIVERSITY
Project Name : Testing

CMS Contact (COR)

First Name : Stoney
Last Name : Johnson
Email Address : yvette.singleary@newwave.io
Phone Number : (443) 555-5555

Contract Information

Contract Number : HHA.HHM-2081
Task Order Number :
Contract Period - Start Date : 03-01-2018
Contract Period - End Date : 03-01-2019

CUSTODIAN/DESY USERS

Search:

User Name	EUA User Id	Organization	
Aditi Pathak		NORTH CAROLINA STATE UNIVERSITY	🟢
BRIAN REICH	AA35	NORTH CAROLINA STATE UNIVERSITY	🟢

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

DATA FILE DESCRIPTIONS

Data File Description	From Year	To Year	
CCWBN - CHRONIC CONDITION WAREHOUSE-BENEFICIARY SUMMARY FILE	2014	2018	🟢
CCWSD - CCW 5% PART D FILE	2014	2018	🟢
CCWIP - CHRONIC CARE WAREHOUSE 100% INPATIENT SAF	2014	2018	🟢
CCWCAR - CHRONIC CONDITION WAREHOUSE-CARRIER	2014	2018	🟢
CCWOME - CHRONIC CONDITION WAREHOUSE-DURABLE MEDICAL EQUIPMENT	2014	2018	🟢

Showing 1 to 5 of 6 entries [Previous](#) [Next](#)

DOCUMENTS

Document	Uploaded Files
1 SIGNATURE ADDENDUM	Signature_Addendum.docx Download

[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-2018-52679
REVIEW
Updated DUA Request View Approval Version

DUA Life Cycle View Approval Version

MAIN INFORMATION Edit

DUA Number : CONT-2018-52679
DUA Customer Type : Contractor
DUA Request Type : URGATE DUA
DUA Status : In Progress
Expiration Date : 03-01-2019
Requested Date : 10-12-2018
Requester : Charlotte Webb
Requester's Email : cwebb@test.com
Requester's Phone Number : (240) 214-6988 Ext: null
Last Updated By :
Organization Name : NORTH CAROLINA STATE UNIVERSITY
Project Name : Testing
CMS Contract (COR)
First Name : Stonoy
Last Name : Johnson
Email Address : yvette_singletary@ncsu.edu
Phone Number : (443) 595-9935
Contract Information
Contract Number : FFA-11IM-2001
Task Order Number :
Contract Period - Start Date : 03-01-2018
Contract Period - End Date : 03-01-2019

SUBCONTRACTOR ORGANIZATION(S) Edit

CUSTODIAN/DESY USERS Edit

User Name	EMA User Id	Organization	
Aditi Pathak		NORTH CAROLINA STATE UNIVERSITY	+
BRIAN REICH	AA35	NORTH CAROLINA STATE UNIVERSITY	+

Showing 1 to 2 of 2 entries Previous Next

EXISTING DATA FILE DESCRIPTIONS Edit

Data File Description	From Year	To Year	
COWBEN - CHRONIC CONDITION WAREHOUSE BENEFICIARY SUMMARY FILE	2014	2018	+
COWSD - COW 5% PART D FILE	2014	2018	+
CGWIP - CHRONIC CARE WAREHOUSE 100% INPATIENT SAF	2014	2018	+
COWCAR - CHRONIC CONDITION WAREHOUSE-CARRIER	2014	2018	+
COWDME - CHRONIC CONDITION WAREHOUSE-DURABLE MEDICAL EQUIPMENT	2014	2018	+

Showing 1 to 5 of 5 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 Download

Comments : 2000 characters remaining (2000 maximum)

Save Cancel Update Previous Next

1. The Update DUA Request Review screen displays on this slide with the following editable sections:

- Main Information
- Subcontractor Organization(s)
- Custodian/DESY Users
- Existing Data File Descriptions
- Re-use Data File Descriptions
- New Data File Descriptions
- Documents
- Comments

2. The second half is displayed on the next slide.

DUA Requester – Update/Amend

DUA Review Screen Displays

The screenshot displays the 'Update DUA Request' review screen. It is divided into several sections, each with an 'Edit' button:

- EXISTING DATA FILE DESCRIPTIONS:** 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', all with years 2010 and 2018.
- RE-USE DATA FILE DESCRIPTIONS:** A table with the same columns as above, but it is empty with the message 'No data available in table'.
- NEW DATA FILE DESCRIPTIONS:** A table with the same columns as above, also empty with the message 'No data available in table'.
- DOCUMENTS:** A table with columns 'Document' and 'Uploaded Files'. It contains one entry: 'SIGNATURE ADDENDUM' with the file 'Signature_Addendum.docx' and a 'Download' link.
- Comments:** A text input field with a character count: '2000 characters remaining (2000 maximum)'.

At the bottom, there 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

CMS Contact (COR)

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

Contract Information

Contract Number :	CONT1234
Task Order Number :	TO-123456
Contract Period - Start Date :	01-04-2017
Contract Period - End Date :	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 :	fakepcnrc@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 :	fakepcnrc@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

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

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

CUSTODIAN/DESY USERS

Search:

User Name	EUA User Id	Organization	
Aditi Pathak		NORTH CAROLINA STATE UNIVERSITY	+
BRIAN REICH	AA35	NORTH CAROLINA STATE UNIVERSITY	+

Showing 1 to 2 of 2 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

Update DUA Request

DUA Number : CONT-2018-52679

CUSTODIAN(S)/DESY USER

Search:

User Name	EUA User Id	Organization	Action
Aditi Pathak		NORTH CAROLINA STATE UNIVERSITY	Edit Remove 
BRIAN REICH	AA35	NORTH CAROLINA STATE UNIVERSITY	Edit Remove 

Showing 1 to 2 of 2 entries

Add Custodian(s)/DESY User

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:

- 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 * : [Empty text box]

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 Download

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="checkbox"/>
<input type="checkbox"/>	PDE24 - 40% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES)	100%	2010 - 2018	<input checked="" type="checkbox"/>
<input type="checkbox"/>	PDECF5 - 5 % PART D CHARACTERISTICS FILES	100%	2010 - 2018	<input checked="" type="checkbox"/>

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"/>	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	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) :

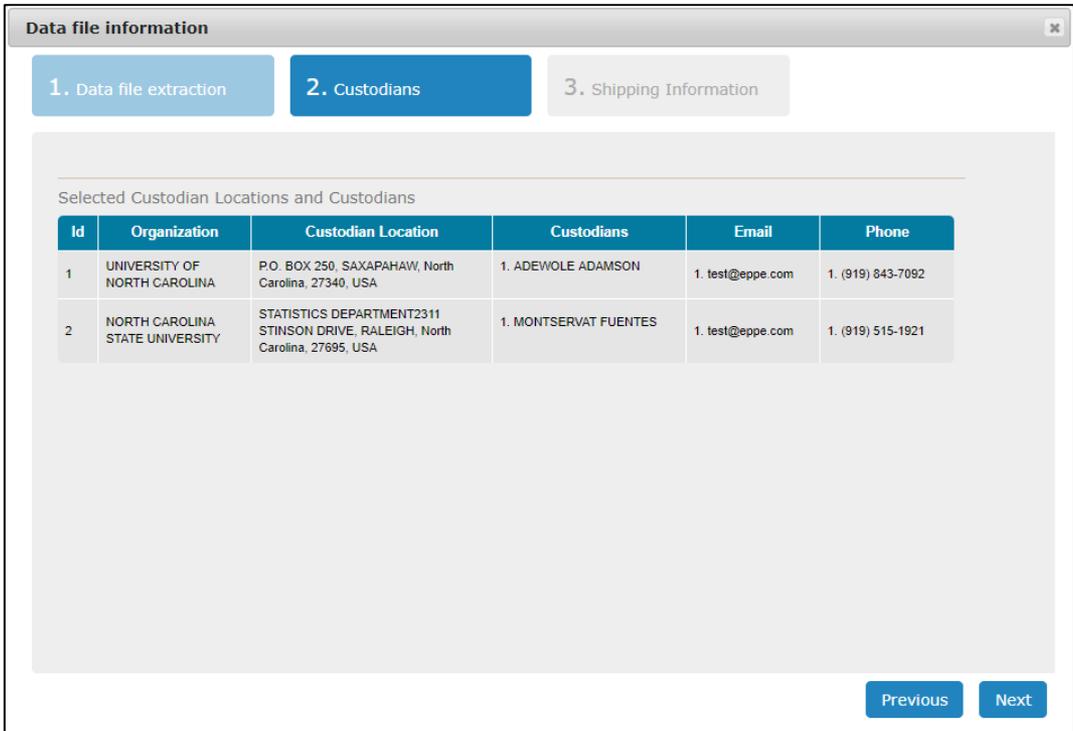
Selected Multiple From and To Year

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

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



The screenshot shows a web interface titled "Data file information" with three tabs: "1. Data file extraction", "2. Custodians", and "3. Shipping Information". The "Custodians" tab is active. Below the tabs, there is a section titled "Selected Custodian Locations and Custodians" containing a table with the following data:

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

At the bottom right of the screen, there are two buttons: "Previous" and "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

<input type="checkbox"/> 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"/>	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	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 Download

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-2017-52886	NORTH CAROLINA STATE UNIVERSITY	BENE - ANNUAL BENEFICIARY SUMMARY FILE	22%	2010 - 2012	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52886	NORTH CAROLINA STATE UNIVERSITY	XWALK7 - CDW BENE ID TO SSN CROSSWALK FILE	100%	2010 - 2014	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52886	NORTH CAROLINA STATE UNIVERSITY	PDE22 - 20% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2014	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52886	NORTH CAROLINA STATE UNIVERSITY	PDE5 - 5% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2018	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52886	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) [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 % / Column	From Year	To Year	Status	Action
No data available in table					

Showing 0 to 0 of 0 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 % / Column	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(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 checked="" 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 checked="" type="checkbox"/>	CONT-2017-52668	NORTH CAROLINA STATE UNIVERSITY	PDE22 - 20% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2014	<input type="checkbox"/>
<input checked="" type="checkbox"/>	CONT-2017-52668	NORTH CAROLINA STATE UNIVERSITY	PDE5 - 5% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2018	<input type="checkbox"/>
<input checked="" 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) 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 % / Content	From Year	To Year	Status	Action
PDE15 - 5% PRESCRIPTION DRUG EVENT DATA (1-15 VARIABLES)				INCOMPLETE	Edit Remove <input type="checkbox"/>
XWALK7 - CCW BENE ID TO SSN CROSSWALK FILE				INCOMPLETE	Edit Remove <input type="checkbox"/>

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

Showing 0 to 0 of 0 entries Previous Next

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) :

Selected Multiple From and To Year

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

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)	Remove

Previous **Next**

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: Select Organization Name

Custodian Location *: Choose Custodian Location... Add New Location

Select Custodians *: Choose 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 Remove	1. fakepicnic@gmail.com	1. (800) 301-5555	Remove

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 * :

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 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).

[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	Edit Remove Apply All
XWALK7 - CCW BENE ID TO SSN CROSSWALK FILE				INCOMPLETE	Edit Remove

Showing 1 to 2 of 2 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 % / Cohort	From Year	To Year	Status	Action
No data available in table					

Showing 0 to 0 of 0 entries.

[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: CCNT-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) DUAs? *

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"/>	CCNT-2017-52858	NORTH CAROLINA STATE UNIVERSITY	BENE - ANNUAL BENEFICIARY SUMMARY FILE	22%	2010 - 2012	Edit
<input type="checkbox"/>	CCNT-2017-52858	NORTH CAROLINA STATE UNIVERSITY	XWALK7 - CCW BENE ID TO SSN CROSSWALK FILE	100%	2010 - 2014	Edit
<input type="checkbox"/>	CCNT-2017-52858	NORTH CAROLINA STATE UNIVERSITY	FDE22 - 20% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2014	Edit
<input type="checkbox"/>	CCNT-2017-52858	NORTH CAROLINA STATE UNIVERSITY	FDES - 5% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2018	Edit
<input type="checkbox"/>	CCNT-2017-52858	NORTH CAROLINA STATE UNIVERSITY	FDE15 - 5% PRESCRIPTION DRUG EVENT DATA (1-15 VARIABLES)	100%	2010 - 2018	Edit

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 % / Count	From Year	To Year	Status	Action
FDE15 - 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

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

[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 * : Select an Option ?

From * : Select an Option ?

To * : Select an Option ?

Quarter(s) : Choose Quarters...

State(s) (if applicable) : Select Some Options

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 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

Previous **Next**

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 DEPARTMENT 2311 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 type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	BENE - ANNUAL BENEFICIARY SUMMARY FILE	22%	2010 - 2012	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	XWALKT - OCW BENE ID TO SSN CROSSWALK FILE	100%	2010 - 2014	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	PIDE22 - 20% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2014	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	PIDE5 - 5% PRESCRIPTION DRUG EVENT DATA	100%	2010 - 2018	<input type="checkbox"/>
<input type="checkbox"/>	CONT-2017-52888	NORTH CAROLINA STATE UNIVERSITY	PIDE15 - 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) [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
PIDE15 - 5% PRESCRIPTION DRUG EVENT DATA (1-15 VARIABLES)	100%	2010	2018	COMPLETE	Edit Remove Apply All
XWALKT - OCW BENE ID TO SSN CROSSWALK FILE	100%	2010	2014	COMPLETE	Edit Remove Apply All

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	
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
XWALK7 - CCW 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 Download

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	Edit Remove
LABNAT - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE NATIONAL FILE				IDENTIFIABLE	INCOMPLETE	Edit Remove

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

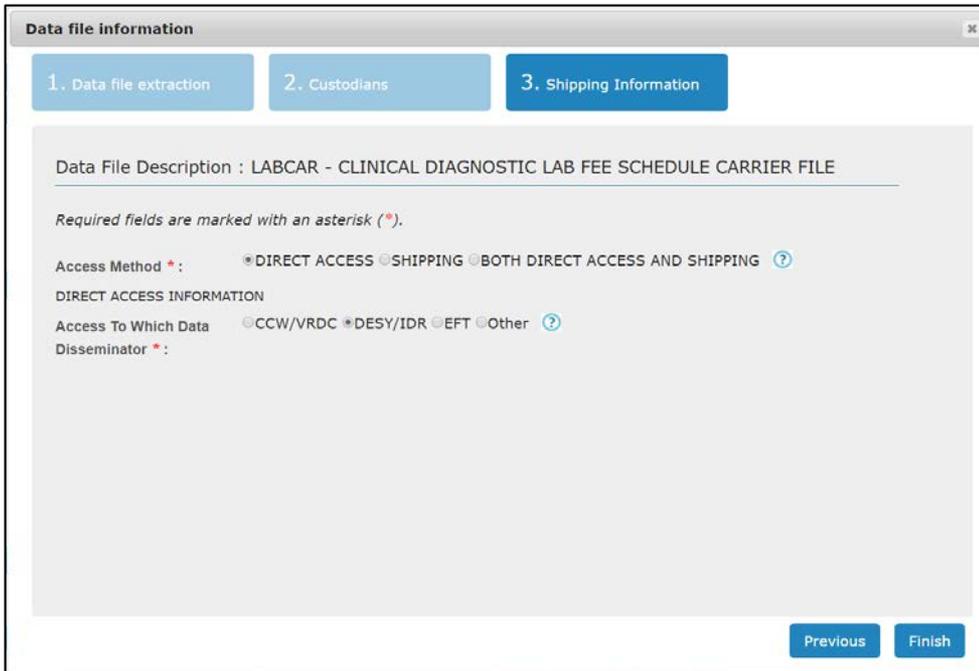
1. The **Custodians** tab displays.
2. The Organization, Custodian Location, and Custodians with their Email and Phone are displayed as view-only in the table.
3. Select **Next**.

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 window titled "Data file information" with three tabs: "1. Data file extraction", "2. Custodians", and "3. Shipping Information". The "Shipping Information" tab is active. The window displays the following 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 CCW/VRDC DESY/IDR EFT Other ?

Disseminator * :

At the bottom right, there 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 CCW/VRDC DESY/IDR EFT Other ?

Disseminator * :

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

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

- Data File Description :** LABCAR - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE CARRIER FILE
- Required fields are marked with an asterisk (*).**
- Access Method * :** Radio buttons for DIRECT ACCESS, SHIPPING, and BOTH DIRECT ACCESS AND SHIPPING.
- Data Dissemination System * :** A dropdown menu with "DESY/IDR" selected.
- Data Shipping Location * :** A dropdown menu with "Choose Shipping Location..." and an "Add New Location" link.
- Primary Recipient * :** A dropdown menu with "Choose Recipient..." and a help icon.
- Carrier :** A dropdown menu with "Select an Option" and a help icon.
- Add** button.

Below the form is a table titled "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

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

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 : ?

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	Edit Remove Apply All <input type="checkbox"/>
LABNAT - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE NATIONAL FILE				IDENTIFIABLE	INCOMPLETE	Edit Remove <input type="checkbox"/>

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 : Start typing to search....

- DMETSB - 100% Durable Medical Equipment Test System Base
- INP - 100% INPATIENT CLAIMS
- CRF - 100%GROSS 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	100%	2010	2018	IDENTIFIABLE	COMPLETE	Edit Remove

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
XXWALK7 - CCW 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 Download Delete	<input type="button" value="Upload Documents"/>

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 a section titled 'UPLOAD DOCUMENTS' 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 contains '1', 'SIGNATURE ADDENDU', and a 'Choose Files' button. An 'Upload Documents' pop-up window is overlaid on the table. It has a title bar with a close button. Inside, it shows 'Document Type : SIGNATURE ADDENDUM' and 'Select Files : Choose Files No file chosen'. At the bottom of the pop-up are 'Upload' and 'Cancel' buttons. A 'Done' button is 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	Signature_Addendum.docx Download Delete Extra_Notes_for_DUA.docx Download Delete	Upload Documents

[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	+
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	+
XWALK7 - OCW 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 Download Extra_Notes_for_DUA.docx Download

Comments :

2000 characters remaining (2000 maximum)

[Save](#) [Cancel Updates](#) [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 covers 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 disclosures contained herein supersede any and all agreements between you and CMS, and preempts and overrides any instructions, directions, agreements, or other understandings pertaining to any grant award or prior communication with HHS (or any of its components).

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

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

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

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/nsp/files/200-FIPS-200-final-march.pdf>

National Institute of Standards and Technology (NIST), "Special Publication 800-53—Security and Privacy Controls for Federal Information Systems and Organizations," available at <http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53rev4.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

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

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

7. You agree not to disclose direct findings, findings, or information derived from the files covered by this Agreement with or without identifiers if such findings, listings, or information can by 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 80, sex, diagnosis and procedure, admission/discharge dates, or date of death. You agree that any use of CMS data in the creation of any document (e.g. manuscript, table, chart, study, report, etc.) concerning the purposes covered by this Agreement—regardless of whether the written product expressly refers to those purposes, CMS, the requested data files, or any data derived from such files—must adhere to CMS' current cell 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 only if it determines that the format in which data is 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 observations 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) 265-2850 or by email notification at cms_it_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 defined 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 loss or failure 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. § 1305(a)), including a fine not exceeding \$10,000 or imprisonment not exceeding 5 years, or both, may apply to disclosures of information that is 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)(c)(3) may apply if it is determined that the Requestor, Custodian, or any individual employed or affiliated therewith, knowingly and willfully obtained the files under false pretenses. Any person found to have violated the aforementioned section of the Privacy Act shall be guilty of a misdemeanor and fined not more than \$5,000. Finally, you acknowledge that criminal penalties may be imposed under 18 U.S.C. § 641 if it is determined that you or any individual employed or affiliated therewith, has taken or concealed the data files 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 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 accept 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

The screenshot displays the 'Update DUA Request' interface. At the top, it shows the DUA Number 'CONT 0018-04100' and the status 'DUA REQUEST STATUS'. Below this, there is a 'DUA LIFE Cycle' section with a green plus icon. The 'MAIN INFORMATION' section contains the following details:

- DUA Number: CONT 0018-04100
- DUA Candidate Type: CONTINUED
- DUA Category: 40 - COR PROGRAMS
- DUA Request Type: UPDATED DUA
- DUA Status: Submitted
- Expiration Date: 06-30-2018
- Requester Date: 02-21-2018
- Requester: ERIC HENRIK
- Requester's Email: HENRIK@CAROLINA.EDU
- Requester's Phone Number: (919) 955-1212
- Organization Name: NORTH CAROLINA STATE UNIVERSITY
- Project Name: SAMSU Test

The 'EMS Contact (COR)' section includes:

- First Name: ERIC
- Last Name: HENRIK
- Email Address: HENRIK@CAROLINA.EDU
- Phone Number: (919) 955-1212

The 'Contract Information' section shows:

- Contract Number: CONT 0018
- Task Order Number: 00110000
- Contract Period - Start Date: 01-04-2017
- Contract Period - End Date: 06-30-2018

Below this is a 'CUSTOMER/ISSUE USERS' section with a table showing user details for 'ERIC HENRIK' at 'NORTH CAROLINA STATE UNIVERSITY'.

The 'EXISTING DATA FILE DESCRIPTIONS' section contains a table with columns for File Description, Expiration Year, and File Year. It lists three files related to '2018-2019 FIVE SUBJECTS CORRELATION DATA'.

The 'RELEASE DATA FILE DESCRIPTIONS' section contains a table with columns for File Description, Expiration Year, and File Year. It lists two files related to '2018-2019 FIVE SUBJECTS CORRELATION DATA'.

The 'NEW DATA FILE DESCRIPTIONS' section contains a table with columns for File Description, Expiration Year, and File Year. It lists two files related to '2018-2019 FIVE SUBJECTS CORRELATION DATA'.

At the bottom, there is a 'DOCUMENTS' section with a table showing document details.

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 DUA(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	UPDATE DUA	Tareji Henson		
In Progress	Feb 27, 2018 2:35:11 PM	UPDATE DUA	Tareji Henson		
In Progress	Feb 27, 2018 2:35:03 PM	UPDATE DUA	Tareji Henson		
In Progress	Feb 27, 2018 2:06:09 PM	UPDATE DUA	Tareji Henson		
In Progress	Feb 27, 2018 2:05:51 PM	UPDATE DUA	Tareji 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: 05-30-2018
Requested Date: 02-27-2018
Requester: Tareji Henson
Requester's Email: fskopicn@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 Requester – Print DUA

DUA in HTML Displays for Printing

DUA: CONT-2018-54183

MAIN INFORMATION

DUA Number: CONT-2018-54183
 DUA Customer Type: Contractor
 DUA Category: 42 - CMS PROGRAMS
 DUA Status: Submitted/Waiting For CMS COR Approval
 Requested Date: 2/27/2018
 Expiration Date: 6/30/2018
 Requester: Tariq Hossain
 Requester Organization Name: NORTH CAROLINA STATE UNIVERSITY
 Requester Email Address: thossain@ncsu.edu
 Requester Phone Number: (919) 515-1212
 Project Name: External Test
 Privacy Act Authorization Code: CONTRACTOR/BU
 HIPAA Authorization Code: Essential Government Functions

CMS Contact (COR)

Name: Tariq Hossain
 Email: thossain@ncsu.edu
 Phone Number: (919) 515-1212

Contract Information

Contract Number: CONT1234
 Task Order Number: TO-123456
 Contract Period - Start Date: 1/1/2017
 Contract Period - End Date: 6/30/2018

Subcontracting Organization

No subcontracting organization.

DOCUMENTS

1. Signature_Authorization.docx
 2. Data_Note_for_DUA.docx

DESY USERS

ID	User Name	REA User ID	Organization	Email Address	Phone Number	Address
1	Dupe Hossain	0003	NORTH CAROLINA STATE UNIVERSITY	thossain@gmail.com	(919) 515-1212	1515 Paine Street, Chapel Hill, North Carolina, 27607, USA

DATA FILE DESCRIPTION

ID	File Name	File Description	From Year	To Year	Quantity	Extraction %	Has Excl From DUA	Access Type	Status	Requester Name
1	PERCEI - 000-PRESCRIPTION DRUG EVENT DATA		2016	2018		100%		VIEW/NO	Open	
2	PERCEI - 000-PRESCRIPTION DRUG EVENT DATA (18-VARIABLE)		2016	2018		100%		VIEW/NO	Open	
3	LABINAT - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE NATIONAL FILE		2016	2018		100%		VIEW/NO	Open	
4	LABINAT - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE CARRIER FILE		2016	2018		100%		VIEW/NO	Open	
5	PERCEI - 1 %NARC-DIAGNOSTIC CHARACTERISTICS FILES		2016	2018		100%		VIEW/NO	Open	

CUSTODIANS

ID	Custodian	Organization	Address	Email Address	Phone Number
1	Dupe Hossain	NORTH CAROLINA STATE UNIVERSITY	1515 Paine Street, Chapel Hill, North Carolina, 27607, USA	thossain@gmail.com	(919) 515-1212
2	Tariq Hossain	NORTH CAROLINA STATE UNIVERSITY	11 Rock Quarry Road, Raleigh, North Carolina, 27606, USA	thossain@gmail.com	(919) 515-1212

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments
Submitted/Waiting For CMS COR Approval	Thu Feb 27 14:04:13 EST 2018	UPDATE DUA	Tariq Hossain	
In Progress	Thu Feb 27 14:05:11 EST 2018	UPDATE DUA	Tariq Hossain	
In Progress	Thu Feb 27 14:05:03 EST 2018	UPDATE DUA	Tariq Hossain	
In Progress	Thu Feb 27 14:06:09 EST 2018	UPDATE DUA	Tariq Hossain	
In Progress	Thu Feb 27 14:07:11 EST 2018	UPDATE DUA	Tariq Hossain	
In Progress	Thu Feb 27 14:07:27 EST 2018	UPDATE DUA	Tariq Hossain	
In Progress	Thu Feb 27 14:32:46 EST 2018	UPDATE DUA	Tariq Hossain	
In Progress	Mon Feb 26 14:41:14 EST 2018	UPDATE DUA	Tariq Hossain	
In Progress	Mon Feb 26 14:41:56 EST 2018	UPDATE DUA	Tariq Hossain	
Cancelled Update Attempt	Mon Feb 26 14:41:53 EST 2018	UPDATE DUA	Tariq Hossain	
In Progress	Mon Feb 26 14:41:53 EST 2018	UPDATE DUA	Tariq Hossain	
In Progress	Fri Feb 23 13:31:47 EST 2018	UPDATE DUA	Tariq Hossain	
In Progress	Thu Feb 22 10:30:21 EST 2018	UPDATE DUA	Tariq Hossain	
In Progress	Thu Feb 22 10:30:18 EST 2018	UPDATE DUA	Tariq Hossain	
In Progress	Thu Feb 22 10:30:18 EST 2018	UPDATE DUA	Tariq Hossain	
Cancelled Update Attempt	Thu Feb 22 10:30:18 EST 2018	UPDATE DUA	Tariq Hossain	
In Progress	Thu Feb 22 10:30:21 EST 2018	UPDATE DUA	Tariq Hossain	
In Progress	Thu Feb 22 10:30:18 EST 2018	UPDATE DUA	Tariq Hossain	
Cancelled Update Attempt	Thu Feb 22 10:30:18 EST 2018	UPDATE DUA	Tariq Hossain	
In Progress	Thu Feb 22 10:30:18 EST 2018	UPDATE DUA	Tariq Hossain	
In Progress	Thu Feb 22 10:30:18 EST 2018	UPDATE DUA	Tariq Hossain	
Approved	Wed Feb 21 14:58:43 EST 2018	EXTEND DUA	Tariq Hossain	Extending Excl Date From 9/30/2018 to 9/30/2018
Approved	Wed Feb 21 14:57:52 EST 2018	CREATE DUA	Tariq Hossain	
Approved	Wed Feb 21 14:57:49 EST 2018	CREATE DUA	Tariq Hossain	
Submitted/Waiting For CMS COR Approval	Wed Feb 21 14:57:04 EST 2018	CREATE DUA	Tariq Hossain	
In Progress	Wed Feb 21 14:47:21 EST 2018	CREATE DUA	Tariq Hossain	
In Progress	Wed Feb 21 14:47:18 EST 2018	CREATE DUA	Tariq Hossain	
In Progress	Wed Feb 21 14:47:11 EST 2018	CREATE DUA	Tariq Hossain	
In Progress	Wed Feb 21 14:47:11 EST 2018	CREATE DUA	Tariq Hossain	
In Progress	Wed Feb 21 14:46:18 EST 2018	CREATE DUA	Tariq Hossain	

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

VIEWING EXPIRED DUAs

DUA Requester – Extend a DUA

View Expired DUA Queue

The screenshot shows the CMS.gov My Enterprise Portal interface. At the top, there is a navigation bar with 'CMS.gov My Enterprise Portal', 'My Apps', 'REQ UserFive', 'Help', and 'Log Out'. Below this is the 'Enterprise Privacy Policy Engine' header. The main content area is titled 'Welcome to EPPE' and contains a description of the application and its goals. A sidebar on the left lists various menu 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 'Expired' option is circled in red. The user is logged in as 'DUA REQUESTER'.

EPPE Home

DUA(s)

New / Re-Use

Update / Amend

Close

Extend

My DUA(s)

Un-Finished

Submitted

Pending Action(s)

Approved

Expired

Closed

Denied

Welcome to EPPE

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

Goals:

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

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

- Contractor Approval Workflow.

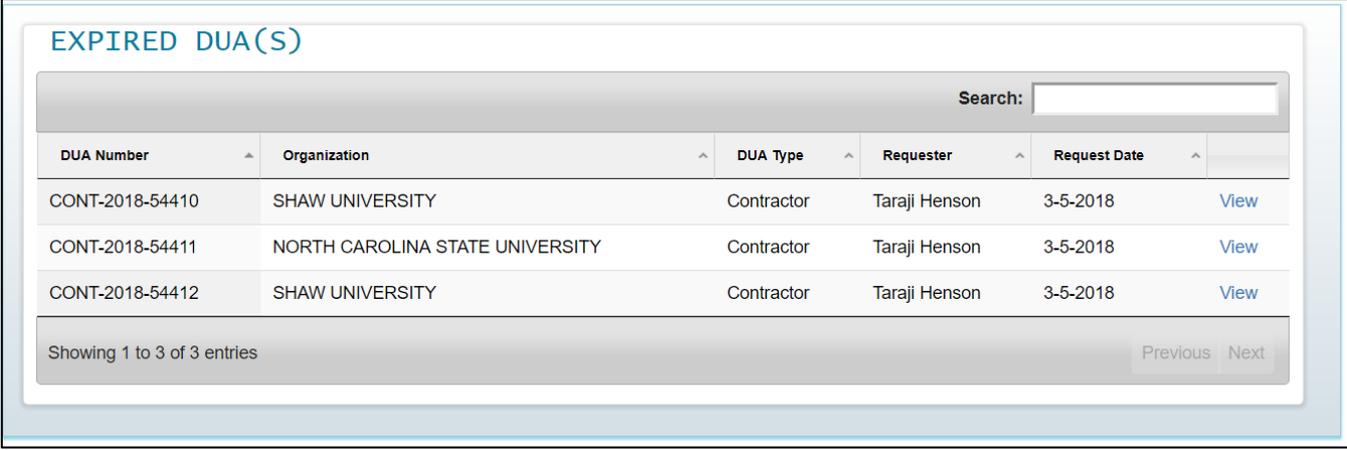
Version 27.1

Logged in as: DUA REQUESTER

1. The **Expired** DUA Queue contains DUAs that have Expired.
2. Select the **Expired** menu option to search for and view expired DUAs you may need to extend.

DUA Requester – Extend a DUA

View Expired DUA Queue



The screenshot displays a web interface titled "EXPIRED DUA(S)". At the top right of the interface is a search bar labeled "Search:". Below the search bar is a table with the following columns: "DUA Number", "Organization", "DUA Type", "Requester", "Request Date", and "View". The table contains three rows of data. At the bottom of the table area, there is a pagination bar that says "Showing 1 to 3 of 3 entries" and includes "Previous" and "Next" buttons.

DUA Number	Organization	DUA Type	Requester	Request Date	View
CONT-2018-54410	SHAW UNIVERSITY	Contractor	Taraji Henson	3-5-2018	View
CONT-2018-54411	NORTH CAROLINA STATE UNIVERSITY	Contractor	Taraji Henson	3-5-2018	View
CONT-2018-54412	SHAW UNIVERSITY	Contractor	Taraji Henson	3-5-2018	View

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

1. The list of **Expired** DUAs displays.
2. Specify **Search** criteria or scroll through the list if applicable.
3. Select the **View** link to view the DUA details.

Notes:

- If there are multiple pages of **Expired** DUAs, the **Previous** and **Next** buttons become enabled for scrolling through the listing.
- In this example the Requester is associated with two organizations and their Expired DUAs display.

DUA Requester – Extend a DUA

DUA Displays

MY DUA

REVIEW

DUA Life Cycle +

MAIN INFORMATION

DUA Number	CONT20180403
DUA Customer Type	Contractor
DUA Category	42 - CMS PROGRAMS
DUA Status	Expired
Expiration Date	05-05-2018
Requested Date	03-09-2018
Requester	Tony Harmon
Requester's Email	tshep@ic@gmail.com
Requester's Phone Number	(800) 555-4242
Last Updated By	
Organization Name	SHAW UNIVERSITY
Project Name	Expired Test

CRM Contact (SOR)

First Name	Tony
Last Name	Harmon
Email Address	tshep@ic@gmail.com
Phone Number	(800) 555-4242

Contract Information

Contract Number	CONT1034
Task Order Number	TO-020498
Contract Period - Start Date	03-01-2018
Contract Period - End Date	03-05-2018

CUSTOMER/DESY USERS

User Name	VSA User ID	Organization
Tony Harmon	19425	SHAW UNIVERSITY

Showing 1 of 1 of 1 entries

DATA FILE DESCRIPTIONS

Data File Description	From Year	To Year
IC0011 - AN EXTRACT FROM THE ICR TO SUPPORT HOSPITAL, WALK-BASED PURCHASING AS REQUIRED BY SECTION 3001 OF IT1	2010	2017
IC0016 - ICS - BENEFICIARY DEMOGRAPHICS FILE (ALIGNED BENES)	2010	2017
IC0010 - ICS - BENEFICIARY ENROLLMENT / ENTITLEMENT DATA (ALIGNED BENES)	2010	2017

Showing 1 to 3 of 3 entries

DOCUMENTS

Document	Uploaded Files
1 SIGNATURE ADDENDUM	Signature_Addendum.docx Download

1. The **Review** screen displays.
2. Select the **green plus sign icon** to view the **DUA Life Cycle**, the **DESY User** details, or the **Data File** details.

Notes:

- The DUA can only be viewed from the **Expired Queue**.
- Select the **Extend** menu option to find the DUA and extend it.

EXTEND A DUA

DUA Requester – Extend a DUA

EPPE Menu

CMS.gov | My Enterprise Portal My Apps REQ UserFive Help Log Out

Enterprise Privacy Policy Engine

Logged in as: DUA REQUESTER

- EPPE Home
- DUA(s)
- New / Re-Use
- Update / Amend
- Close
- Extend
- My DUA(s)
- Un-Finished
- Submitted
- Pending Action(s)
- Approved
- Expired
- Closed
- Denied

Welcome to EPPE

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

Goals:

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

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

- Contractor Approval Workflow.

Version 27.1

Select the **Extend** option on the DUA(s) menu.

DUA Requester – Extend a DUA

List of DUAs That Can Be Extended

DUA

EXTEND DUA
PLEASE SELECT ONE OF THE DUA TO EXTEND

Search:

DUA Number	Organization	Requester	Request Date	Status	
CONT-2018-54407	SHAW UNIVERSITY	Taraji Henson	3-5-2018	Approved	View
CONT-2018-54408	SHAW UNIVERSITY	Taraji Henson	3-5-2018	Approved	View
CONT-2018-54409	SHAW UNIVERSITY	Taraji Henson	3-5-2018	Approved	View
CONT-2018-54410	SHAW UNIVERSITY	Taraji Henson	3-5-2018	Expired	View
CONT-2018-54411	NORTH CAROLINA STATE UNIVERSITY	Taraji Henson	3-5-2018	Expired	View

Showing 1 to 5 of 6 entries

Previous Next

1. The list of DUAs that can be extended displays.
2. Specify **Search** criteria (if applicable).
3. Select the **View** link.

Notes:

- DUAs in the **Extend** Queue can be in **Approved** or **Expired** Status.
- In this example, the Requester is associated with two organizations and their DUAs display in the list.

DUA Requester – Extend a DUA

DUA Displays

MY DUA

[Print DUA](#)

DUA Life Cycle

MAIN INFORMATION

DUA Number: 00072019-04410
DUA Customer Type: Contractor
DUA Category: 47 - CMS PROGRAMS
DUA Status: Expired
Expiration Date: 03-05-2019
Requested Date: 03-05-2019
Requester: Terry Hanson
Requester's Email: mhanson@gmail.com
Requester's Phone Number: 689 555-1212
Last Updated By: Expired Test
Organization Name: SHAW UNIVERSITY
Project Name: Expired Test

CMS Center (DDR)

Org Name: Terry
Last Name: Hanson
Email Address: mhanson@gmail.com
Phone Number: 689 555-1212

Contract Information

Contract Number: 00071234
Task Order Number: TO-123456
Contract Period - Start Date: 03-05-2019
Contract Period - End Date: 03-05-2019

CUSTOMER/DEST USERS

User Name	EMR User ID	Organization
Terry Hanson	TH23	SHAW UNIVERSITY

Showing 1 to 1 of 1 entries

DATA FILE DESCRIPTIONS

Data File Description	From Year	To Year
ENRPT - AN EXTRACT FROM THE ER TO SUPPORT HOSPITAL VALUE BASED PURCHASING AS REQUIRED BY SECTION 3081 OF TH	2018	2019
ORRMS - (DR) - BENEFICIARY DEMOGRAPHIC FILE (ALIGNED BENE)	2018	2019
ORRMS - (DR) - BENEFICIARY ENROLLMENT / ENROLLMENT DATA (ALIGNED BENE)	2018	2019

Showing 1 to 3 of 3 entries

DOCUMENTS

Document	Uploaded File
SHAW LIFE ACCORDUM	ShawLife_Accordum.docx Download

[Extend](#)

1. The **My DUA** review screen displays.
2. Select the **Print DUA** button to print or save the DUA to PDF.
3. Select the **green plus sign icon** to view the DUA Life Cycle.
4. Select the **Extend** button.

Note: Details about **Printing the DUA** and **Viewing the DUA Life Cycle** will be discussed further on in the presentation.

DUA Requester – Extend a DUA

Changing the Contract Period End Date

EXTEND DUA

DUA Number : CONT-2018-54410

DUA EXTENSION REQUEST

DUA Number : CONT-2018-54410

CONTRACT PERIOD (REQUIRED) ⓘ

Start Date : End Date :

03/01/2016 03/05/2018

Comments :

Mar 2018

Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

Today Done

Previous Next

1. The **DUA Extension Request** screen displays.
2. Enter the **Contract End Date** if there is a new date.
3. Use the **mm/dd/yyyy** format to enter the dates, *or*
4. Use the pop-up calendar. If using the pop-up calendar, select the month, the year, and the day in that order.
5. Enter any applicable **Comments**.
6. Select the **Next** button.

Note: If there is no new **Contract End Date**, continue to extend the **Expiration Date** on the next screen.

DUA Requester – Extend a DUA

Changing the Expiration Date

EXTEND DUA

DUA Number : CONT-2018-54410

DUA EXPIRATION DATE

CURRENT DUA EXPIRATION DATE ?

Date :
03/05/2018

NEW DUA EXPIRATION DATE * ?

Date :
|

Mar 2018

Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

Today Done

Previous Next

1. The **DUA Expiration Date** screen displays.
2. Enter the **New DUA Expiration Date**.
3. Use the **mm/dd/yyyy** format to enter the dates, *or*
4. Use the pop-up calendar. If using the pop-up calendar, select the month, the year, and the day in that order.
5. Select the **Next** button.

DUA Requester – Extend a DUA

Accept Terms and Conditions and Submit the DUA

EXTEND DUA

DUA Number: CONT-2018-54410

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 law(s), including the Privacy Act (5 U.S.C. §552a) and Privacy Rule of the Health Insurance Portability and Accountability Act (HIPAA) (45 C.F.R. Subpart C, Parts 160 and Part 164, Subparts A and E). This Agreement is intended to: (a) secure data that reside in a CMS Privacy Act SOR; (b) ensure the integrity, security, and confidentiality of information maintained by CMS; and (c) permit appropriate disclosure and use of such data as permitted by law.

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

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

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

3. You represent that the data files covered by this Agreement will be used solely for the purposes described in the DUA Request. In releasing the data files, CMS relies upon 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 HHS; or (c) as otherwise permitted by law. You have agreed not to call, text, fax, or otherwise grant access to the data released 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 billing 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 earlier, you agree to destroy the data in your possession created by this Agreement and provide notification of the position of the data 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.
- 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 800-53—Security and Privacy Controls for Federal Information Systems and Organizations," available at <http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53a.pdf>.

CMS Office of Information Services, "Acceptable Risk Safeguards, Appendix B—CMSR Moderate Impact Level Data," available at http://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/InformationSecurity/Downloads/ARS_App_B_CMSR_Moderate.pdf.

You acknowledge that the use of unsecured telecommunications, including the Internet, to transmit individually identifiable, biometric, identifiable, or deducible information derived from the files covered by this Agreement is prohibited. The data must not be disseminated, stored, 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 by 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 > 65, sex, diagnosis and procedure, admission/discharge dates, or date of death.

You agree that any use of CMS data in the creation of any document (e.g. manuscript, table, chart, study report, etc.) concerning the purposes covered by this Agreement—regardless of whether the written product expressly refers to those purposes, CMS, the requested data files, or any data derived from such files—must adhere to CMS' current cell size suppression policy. This policy stipulates that no cell (e.g. admissions, discharges, patients, services, etc.) 10 or less may be displayed. Also, no use of percentages or other mathematical formulas may be used if they result in the display of a cell 10 or less. You agree to abide by these rules, and therefore, will not be required to submit any written documents for CMS review. If you are unsure whether you meet the above criteria, you may submit your written products for CMS review. CMS may withhold approval for publication only if it determines that 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 of 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) 786-2850 or by e-mail notification at cms_service_desk@cms.hhs.gov within 1 hour and to cooperate fully in the federal security incident process. While CMS retains all ownership rights to the data files, as outlined above, you agree to bear the cost and liability for any breaches of PHI and/or PII from the data files 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 1106(a) of the Social Security Act (42 U.S.C. § 1106(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 1106 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)(3)) may apply if it is determined that the Requester, Custodian, or any individual employed or affiliated therewith, knowingly and willfully obtained the files under false pretenses. Any person found to have violated the above-cited section of the Privacy Act shall be guilty of a misdemeanor and fined not more than \$5,000. Finally, you acknowledge that criminal penalties may be imposed under 18 U.S.C. § 641 if it is determined that you or any individual employed or affiliated therewith has taken or converted the data files to their own use, or received the data files knowing that the files had been stolen or converted. Under such circumstances, they shall be fined under Title 18 or imprisoned not more than 10 years, or both, but if the value of such property does not exceed the sum of \$1,000, they shall be fined under Title 18 or imprisoned not more than 1 year, or both.

You acknowledge that in the event of a breach of this Agreement, additional criminal, civil, and/or administrative penalties, assessments, or 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.

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

DUA Requester – Extend a DUA

DUA Extension Confirmation

EXTEND DUA Print DUA

DUA Number : CONT20184410

DUA REQUEST STATUS
Your DUA Extension request for DUA CONT20184410 has been completed.

DUA Life Cycle

MAIN INFORMATION

DUA Number: CONT20184410
DUA Customer Type: Contract
DUA Category: SI - DUA REQUESTERS
DUA Status: **Approved**
Expiration Date: 06-30-2019
Requested Date: 03-20-2019
Requester: Terry Hanson
Requester's Email: mhanson@si.edu
Requester's Phone Number: 800-520-1232
Last Updated By:
Organization Name: SIMA UNIVERSITY
Project Name:
Contract (DOB):
Contract Name:
Last Name:
First Name:
Email Address: mhanson@si.edu
Phone Number: 800-520-1232

Contract Information

Contract Number: CONT1214
Task Order Number: TO 123456
Contract Period - Start Date: 03-01-2015 Contract Period - End Date: 06-30-2019

CUSTOMER USER

First Name	Last Name	Organization
TERRY	HANSON	SIMA UNIVERSITY

Showing 1 of 1 entries

DATA FILE DESCRIPTIONS

File Description	File Size	File Type
DMED1 - AN EXTRACT FROM THE DM TO SUPPORT HOSPITAL VALUE BASED PURCHASING AS REQUIRED BY SPECIFIC SBA 101	2019	2007
DMED2 - DM - BENEFICIARY DEMOGRAPHIC FILE (ALIGNED DEMO)	2019	2007
DMED3 - DM - BENEFICIARY ENROLLMENT / ENROLLMENT DATA ALIGNED DEMO	2019	2007

Showing 3 of 3 entries

DOCUMENTS

Document	Uploaded File
1. SIMA UNIVERSITY	System Administrator Contract

1. The DUA Extension **Confirmation Message** displays.
2. The DUA status is **Approved**.
3. Select the **Print DUA** button to print or save the document as PDF.
4. Select the **green plus sign** button to view the DUA Life Cycle.

DUA Requester – DUA Life Cycle

Displaying the DUA Life Cycle

EXTEND DUA **Print DUA**

DUA Number : CONT-2018-54410

DUA REQUEST STATUS

Your DUA Extension request for DUA CONT-2018-54410 has been completed

DUA Life Cycle 

MAIN INFORMATION

DUA Number :	CONT-2018-54410
DUA Customer Type :	Contractor
DUA Category :	42 - CMS PROGRAMS
DUA Status :	Approved
Expiration Date :	06-29-2018
Requested Date :	03-06-2018
Requester :	Taraji Henson
Requester's Email :	fakepicnic@gmail.com
Requester's Phone Number :	(800) 555-1212
Last Updated By :	
Organization Name :	SHAW UNIVERSITY
Project Name :	Expired Test

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

DUA Requester – DUA Life Cycle

Status Progressions and Actions Display

EXTEND DUA [Print DUA](#)

DUA Number : CONT-2018-54410

DUA REQUEST STATUS

Your DUA Extension request for DUA CONT-2018-54410 has been completed

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments	Special Instructions
Approved	Mar 6, 2018 1:40:13 PM	EXTEND DUA	Taraji Henson	Extending Contract End Date and Expiration Date from 03/05/2018 to 06/26/2018	
Expired	Mar 5, 2018 10:10:00 PM		System		
Approved	Mar 5, 2018 2:27:14 PM	CREATE DUA	Taraji Henson		
Approved by CMS COR-Waiting for Contractor DUA Management Team Certification	Mar 5, 2018 2:25:09 PM	CREATE DUA	Taraji Henson		
Submitted-Waiting for CMS COR Approval	Mar 5, 2018 2:17:50 PM	CREATE DUA	Taraji Henson		

Showing 1 to 5 of 8 entries [Previous](#) [1](#) [2](#) [Next](#)

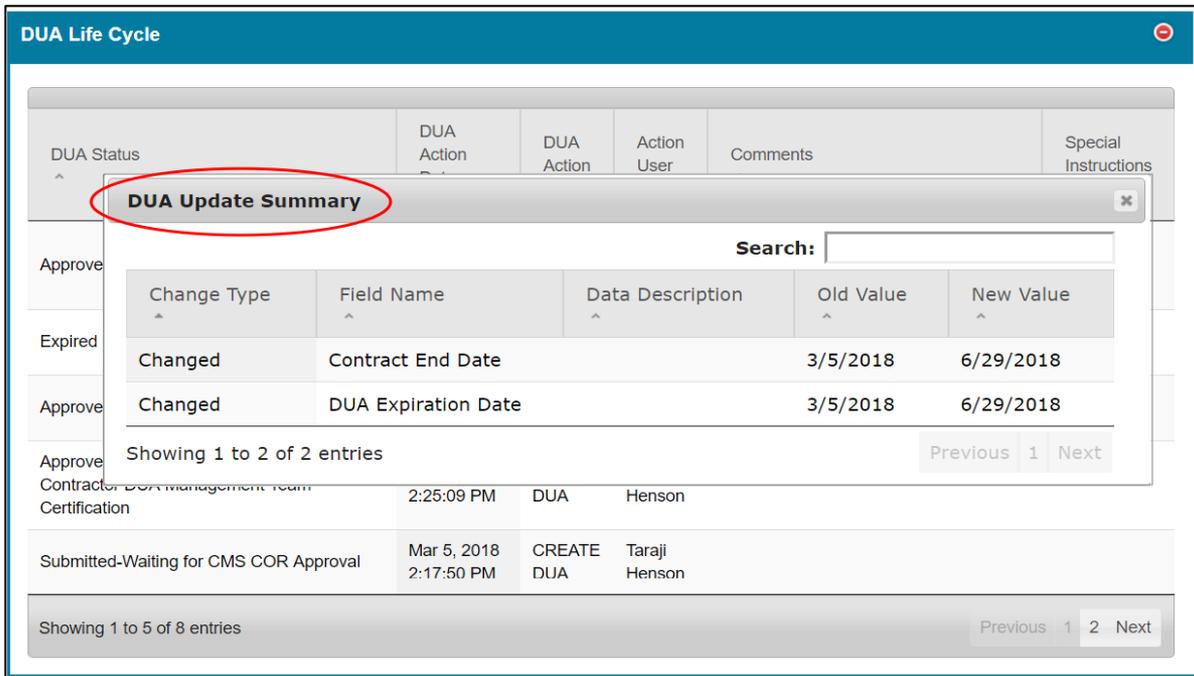
MAIN INFORMATION

DUA Number :	CONT-2018-54410
DUA Customer Type :	Contractor
DUA Category :	42 - CMS PROGRAMS
DUA Status :	Approved
Expiration Date :	05-26-2018
Requested Date :	03-06-2018
Requester :	Taraji Henson
Requester's Email :	tskepicnic@gmail.com
Requester's Phone Number :	(800) 555-1212
Last Updated By :	
Organization Name :	SHAW UNIVERSITY
Project Name :	Expired Test

1. The **DUA Life Cycle** details display the **Extend DUA** action.
2. The **DUA Status** is **Approved**.
3. Select the **Extend DUA** link to view more details.

DUA Requester – DUA Life Cycle

DUA Extension Details



The screenshot displays the 'DUA Life Cycle' application interface. A 'DUA Update Summary' pop-up window is overlaid on the main data table. The pop-up window has a search bar and a table with the following data:

Change Type	Field Name	Data Description	Old Value	New Value
Changed	Contract End Date		3/5/2018	6/29/2018
Changed	DUA Expiration Date		3/5/2018	6/29/2018

The pop-up window also includes a 'Showing 1 to 2 of 2 entries' indicator and 'Previous', '1', and 'Next' navigation buttons. The background table shows DUA entries with columns for DUA Status, DUA Action, DUA Action, Action User, Comments, and Special Instructions.

1. The **DUA Update Summary** pop-up displays to show the details of the DUA extension updates.
2. Select the **X** button to close the window.

DUA Requester – DUA Life Cycle

Status Progressions and Actions Display

EXTEND DUA [Print DUA](#)

DUA Number : CONT-2018-54410

DUA REQUEST STATUS
Your DUA Extension request for DUA CONT-2018-54410 has been completed.

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments	Special Instructions
Approved	Mar 6, 2018 1:40:13 PM	EXTEND DUA	Taraji Henson	Extending Contract End Date and Expiration Date from 03/05/2018 to 06/29/2018	
Expired	Mar 5, 2018 10:10:00 PM		System		
Approved	Mar 5, 2018 2:27:14 PM	CREATE DUA	Taraji Henson		
Approved by CMS COR-Waiting for Contractor DUA Management Team Certification	Mar 5, 2018 2:25:09 PM	CREATE DUA	Taraji Henson		
Submitted-Waiting for CMS COR Approval	Mar 5, 2018 2:17:50 PM	CREATE DUA	Taraji Henson		

Showing 1 to 5 of 8 entries [Previous](#) [1](#) [2](#) [Next](#)

MAIN INFORMATION

DUA Number : CONT-2018-54410
DUA Customer Type : Contractor
DUA Category : 42 - CMS PROGRAMS
DUA Status : Approved
Expiration Date : 06-29-2018
Requested Date : 03-05-2018
Requester : Taraji Henson
Requester's Email : takepicnic@gmail.com
Requester's Phone Number : (800) 555-1212
Last Updated By :
Organization Name : SHAW UNIVERSITY
Project Name : Expired Test

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

DUA Requester – Print DUA

How to Print the DUA

EXTEND DUA **Print DUA**

DUA Number : CONT-2018-54410

DUA REQUEST STATUS

Your DUA Extension request for DUA CONT-2018-54410 has been completed

DUA Life Cycle

MAIN INFORMATION

DUA Number :	CONT-2018-54410
DUA Customer Type :	Contractor
DUA Category :	42 - CMS PROGRAMS
DUA Status :	Approved
Expiration Date :	06-29-2018
Requested Date :	03-06-2018
Requester :	Taraji Henson
Requester's Email :	fakpicnic@gmail.com
Requester's Phone Number :	(800) 555-1212
Last Updated By :	
Organization Name :	SHAW UNIVERSITY
Project Name :	Expired Test

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

DUA Requester – Print DUA

DUA in HTML Displays for Printing

DUA: CONT-2018-54410

MAIN INFORMATION

DUA Number: CONT-2018-54410
 DUA Custodian Type: Contractor
 DUA Category: 42 - CMS PROGRAMS
 DUA Status: Approved
 Requested Date: 3/6/2018
 Expiration Date: 6/29/2018
 Requester: Tariji Henon
 Requester Organization Name: SHAW UNIVERSITY
 Requester Email Address: ftkopcaie@gmail.com
 Requester Phone Number: (909) 555-1212
 Project Name: Expired Test
 Privacy Act Authorization Code: CONTRACTOR BU
 HIPAA Authorization Code: Essential Government Functions

CMS Contact (COR)

Name: Tariji Henon
 Email: ftkopcaie@gmail.com
 Phone Number: (909) 555-1212

Contract Information

Contract Number: CONT1234
 Task Order Number: TO-123456
 Contract Period - Start Date: 3/1/2016
 Contract Period - End Date: 6/29/2018

Subcontracting Organization

No subcontracting organization.

DOCUMENTS

1. Signature_Addendum.docx

DESY USERS

ID	User Name	EUA User ID	Organization	Email Address	Phone Number	Address
1	Tariji Henon (THIS)		SHAW UNIVERSITY	ftkopcaie@gmail.com	(909) 555-1212	118 E SOUTH STREET, RALEIGH, North Carolina 27601, USA

DATA FILE DESCRIPTION

ID	Data File Description	From Year	To Year	Quarter(s)	Extraction %	Re-Used From DUA	Access Type	Status	Disposition Reason
1	IRB011 - AN EXTRACT FROM THE IIR TO SUPPORT HOSPITAL VALUE BASED PURCHASING AS REQUIRED BY SECTION 900 OF DR	2010	2017		100%		BOTH DIRECT ACCESS AND SHIPPING	Open	
1	IRB010 - IIR - BENEFCIARY ENROLLMENT - ENTITLEMENT DATA (ALIGNED BENE)	2010	2017		100%		BOTH DIRECT ACCESS AND SHIPPING	Open	
1	IRB008 - IIR - BENEFCIARY DEMOGRAPHIC FILE (ALIGNED BENE)	2010	2017		100%		BOTH DIRECT ACCESS AND SHIPPING	Open	

CUSTODIANS

ID	Custodian	Organization	Address	Email Address	Phone Number
1	Tariji Henon	SHAW UNIVERSITY	118 E SOUTH STREET, RALEIGH, North Carolina, 27601, USA	ftkopcaie@gmail.com	(909) 555-1212 Ext

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments
Approved	Tue Mar 06 13:40:15 EST 2018	EXTEND DUA	Tariji Henon	Extending Contract End Date and Expiration Date from 03/05/2018 to 06/29/2018
Expired	Mon Mar 05 22:30:00 EST 2018		System	
Approved	Mon Mar 05 14:27:14 EST 2018	CREATE DUA	Tariji Henon	
Approved by CMS COR Waiting for Contractor DUA Management Team Certification	Mon Mar 05 14:25:09 EST 2018	CREATE DUA	Tariji Henon	
Submitted Waiting for CMS COR Approval	Mon Mar 05 14:17:50 EST 2018	CREATE DUA	Tariji Henon	
In Progress	Mon Mar 05 14:17:32 EST 2018	CREATE DUA	Tariji Henon	
In Progress	Mon Mar 05 14:13:35 EST 2018	CREATE DUA	Tariji Henon	
In Progress	Mon Mar 05 14:13:31 EST 2018	CREATE DUA	Tariji Henon	
In Progress	Mon Mar 05 14:13:04 EST 2018	CREATE DUA	Tariji Henon	

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

CLOSE SELECT DATA FILES ON A DUA

DUA Requester – Close Select Data Files on the DUA

View DUAs for Closing

The screenshot displays the CMS.gov My Enterprise Portal interface for the Enterprise Privacy Policy Engine (EPPE). The top navigation bar includes 'CMS.gov My Enterprise Portal', 'My Apps', 'REQ UserFive', 'Help', and 'Log Out'. The main content area is titled 'Enterprise Privacy Policy Engine' and shows a 'Welcome to EPPE' message. The left sidebar contains a menu with 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 'Close' option is circled in red. The main content area includes a 'Welcome to EPPE' section with a description of the application, its goals, and training materials. The user is logged in as 'DUA REQUESTER'.

EPPE Home
DUA(s)
New / Re-Use
Update / Amend
Close
Extend
My DUA(s)
Un-Finished
Submitted
Pending Action(s)
Approved
Expired
Closed
Denied

Welcome to EPPE

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

Goals:

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

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

- Contractor Approval Workflow.

Version 27.1

Logged in as: DUA REQUESTER

Select the **Close** option on the DUA(s) menu.

DUA Requester – Close Select Data Files on the DUA

List of DUAs Eligible to Close

DUA

CLOSE DUA

PLEASE SELECT ONE OF THE DUA TO CLOSE

Search:

DUA Number	Organization	Requester	Request Date	Status	
CONT-2018-54412	SHAW UNIVERSITY	Taraji Henson	3-5-2018	Expired	View
CONT-2018-54411	NORTH CAROLINA STATE UNIVERSITY	Taraji Henson	3-5-2018	Expired	View
CONT-2018-54410	SHAW UNIVERSITY	Taraji Henson	3-6-2018	Approved	View
CONT-2018-54409	SHAW UNIVERSITY	Taraji Henson	3-5-2018	Approved	View
CONT-2018-54408	SHAW UNIVERSITY	Taraji Henson	3-5-2018	Approved	View

Showing 1 to 5 of 8 entries

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

1. The list of DUAs that can be closed displays.
2. You can specify **Search** criteria or page through the list using the **Next** button to find the DUA you want to close.
3. Select the **View** link to close files on the DUA.

DUA Requester – Close Select Data Files on the DUA

My DUA Screen Displays for Review

The screenshot shows the 'Enterprise Privacy Policy Engine' interface. The user is logged in as 'DUA REQUESTER'. The main content area is titled 'My DUA' and shows a 'Print DUA' button. Below this, the 'DUA Life Cycle' section is displayed, with a green plus sign icon in the top right corner. The 'MAIN INFORMATION' section includes the following details:

DUA Number	1234567890
DUA Customer Type	Contractor
DUA Category	0 - OTHER/REGUL - (REG. SEC. GEN. MANAGE. MEDICAL, INS.)
Expiration Date	01-31-2021
Requested Date	10-04-2018
Requester	802 User/PA
Requester's Email	802@epam.com
Requester's Phone Number	(410) 555-1212 - Ext:401
Last Updated By	802 User
Organization Name	Wells Training Company 1
Project Name	1234567890
EMR Contact (EMR)	
First Name	John
Last Name	Doe
Email Address	802@epam.com
Phone Number	(410) 555-1212
Contract Information	
Contract Number	1234567890
Task Order Number	
Contract Period - Start Date	01-01-2018
Contract Period - End Date	01-31-2021

The 'CUSTOMER/DEEY USERS' section shows a search bar and a message: 'No data available in table'. Below this, the 'DATA FILE DESCRIPTIONS' section displays a table with columns for 'Data File Description', 'From Year', and 'To Year'. The table contains two rows:

Data File Description	From Year	To Year
MEHLS - 188 MEDICARE REUPLINE	CLOSED 2018 2018	2018 2018
SHAWH - 10% L20 WITH STANWAD ANALYTICAL DATA FILE - HOME HEALTH AGENCY	CLOSED 2018 2018	2018 2018

The 'DOCUMENTS' section shows a table with columns for 'Document' and 'Uploaded Files'. The table contains one row:

Document	Uploaded Files
1 - SIGNATURE ACCESSION	Signature_Accession_Samples of Document

The 'Close' button is located at the bottom left of the screen.

1. The **My DUA** review screen displays.
2. The DUA status is **Approved**.
3. Select the **Print DUA** button to print or save the DUA as a PDF if you need a record prior to closing.
4. Select the **green plus sign** icon to view the DUA Life Cycle details. We will review the Life Cycle after closing files.
5. Select the **Close** button.

DUA Requester – Close Select Data Files on the DUA

Close DUA Files

CLOSE DUA

DUA Number : CONT-2018-54408

DATA FILE DESCRIPTIONS

Data File Description	From Year	To Year	Status	Action
FISS - PART A FISCAL INTERMEDIARY SYSTEM	2010	2018	OPEN	Edit 
MPCD - MEDICAID PHARMACY CLAIMS DATA	2010	2018	OPEN	Edit 
PHARM - MEDICARE PRESCRIPTION DRUG PLAN PHARMACY NETWORK PART 1 AND 2	2010	2018	OPEN	Edit 
IDRX04 - IDR DAS ETL DEV (NCH, HPMS, DDPS, NPICS, CME, MARX, MBD, PECOS, RAPS, RAS, FISS, VMS, MCS, MEDICAID)	2010	2018	OPEN	Edit 

Showing 1 to 4 of 4 entries [Previous](#) [Next](#)

Comments :

2000 characters remaining (2000 maximum)

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

1. After selecting the **Close** button on the **My DUA** screen, the **Close DUA** Screen displays.
2. The **Status** for all files is **OPEN**.
3. Select the **Edit** link for the file you want to close.

DUA Requester – Close Select Data Files on the DUA

Select the Reason for Closing a File

The screenshot shows a web interface titled "CLOSE DUA" with a sub-header "DUA Number : CONT-2018-54408". Below this is a section for "DATA FILE DESCRIPTIONS". A modal dialog box titled "Select Data Disposition Reason" is open, prompting the user to "Please select one of the Disposition Statements". The dialog contains four radio button options:

- The file has been destroyed, including copies, derivatives, subsets and manipulated files.
- The file or copies, derivatives, subsets, and/or manipulated files have been approved by CMS for re-use.
- I did not receive physical data and only accessed data through CMS systems.
- The file was not received for this DUA.

A "Submit" button is located at the bottom of the dialog. The background interface includes a table with columns for "Data", "FISS", "MPC", "PHAF", "IDRX", and "VMS", and a "Comments" section. Navigation buttons for "Previous" and "Next" are visible at the bottom right of the main interface.

1. The **Select Data Disposition Reason** pop-up displays.
2. Select the radio button associated with the reason for closing.
3. Select the **Submit** button.

DUA Requester – Close Select Data Files on the DUA

Confirm Closing the DUA

The screenshot shows a web interface titled "CLOSE DUA" with the DUA Number "CONT-2018-54408". A "DATA FILE DESCRIPTIONS" table is visible, with a "Select Data Disposition Reason" dialog box open. The dialog box contains the text "Please select one of the Disposition Statements *:" and three radio button options: "The file has been destroyed, including copies, derivatives, subsets and manipulated files.", "The file or copies, derivatives, subsets, and/or manipulated files have been approved by CMS for re-use.", and "I did not receive ph...". A "Submit" button is at the bottom of the dialog. A second, smaller dialog box titled "Close DUA Data File" is overlaid on top, containing a warning icon and the text "You have requested to close one or more data files on this DUA. Would you like to continue with the closure?". This dialog has "Yes" and "No" buttons.

1. The **Close DUA Data File** message pop-up displays.
2. Select the **Yes** button to confirm closing.

DUA Requester – Close Select Data Files on the DUA

Data File Status

CLOSE DUA

DUA Number : CONT-2018-54408

DATA FILE DESCRIPTIONS

Data File Description	From Year	To Year	Status	Action
FISS - PART A FISCAL INTERMEDIARY SYSTEM	2010	2018	CLOSE	Edit Apply All
MPCD - MEDICAID PHARMACY CLAIMS DATA	2010	2018	OPEN	Edit
PHARM - MEDICARE PRESCRIPTION DRUG PLAN PHARMACY NETWORK PART 1 AND 2	2010	2018	OPEN	Edit
IDRX04 - IDR DAS ETL DEV (NCH, HPMS, DDPS, NPICS, CME, MARX, MBD, PECOS, RAPS, RAS, FISS, VMS, MCS, MEDICAID)	2010	2018	OPEN	Edit

Showing 1 to 4 of 4 entries

Comments :

2000 characters remaining (2000 maximum)

Previous Next

1. The Data File **Status** is changed to **Close**.
2. Select **Edit** to close other data files if applicable or select the **Apply All** link to close all data files for the same reason.
3. Enter **comments** (optional).
4. Select the **Next** button.

Note: In this example, only one data file will be closed. The option to close one or all data files is available.

DUA Requester – Close All Data Files on the DUA

All Data Files Closed

CLOSE DUA

DUA Number : CONT-2018-54412

DATA FILE DESCRIPTIONS

Data File Description	From Year	To Year	Status	Action
ABBBC - ACUMEN BID TO BUCCANEER BID CROSSWALK	2010	2018	CLOSE	Edit Apply All
XWALKA - ACUMEN_BID TO BENE_ID CROSSWALK FILE	2010	2018	CLOSE	Edit
MAXA - ALPHA-MAX	2010	2018	CLOSE	Edit
MCBSXW - BASEID TO HIG CROSSWALK FROM THE MCBS	2010	2018	CLOSE	Edit

Showing 1 to 4 of 4 entries

Comments :

2000 characters remaining (2000 maximum)

Previous Next

1. The **Status** for all data files is **Close**.
2. Select the **green plus sign icon** to view file details.
3. Select the **Edit** link to change the reason for closing a file.
4. Enter **comments** (optional).
5. Select the **Next** button.

DUA Requester – Close Select Data Files on the DUA

Upload Data Disposition Certification

CLOSE DUA

DUA Number : CONT-2018-54408

DATA DISPOSITION CERTIFICATION

Add Files : No file chosen

Add Description : 2000 characters remaining (2000 maximum)

1. The **Data Disposition Certification** screen displays.
2. Select the **Choose Files** button to find supporting documentation on your local computer.
3. Select the **Upload** button.
4. Enter a **description** (optional).
5. Select the **Next** button.

Notes:

- Uploading the **Data Disposition Certification** is only needed when closing the entire DUA (all files).
- Name all files for uploading with descriptive names associated with the file contents.

DUA Requester – Close Select Data Files on the DUA

Confirmation of File Closing

The screenshot shows the 'Enterprise Privacy Policy Engine' interface. At the top, it says 'CMS.gov | My Enterprise Portal'. The main content area is titled 'DUA REQUEST STATUS' and contains a message: 'Your request to close DUA (2047-2019-0202) has been completed. However, the DUA will remain "open" until all data files on the DUA are closed.' Below this is the 'DUA Life Cycle' section, which includes 'MAIN INFORMATION' and 'SUBCONTRACTOR ORGANIZATION(S)'. The 'DATA FILE DESCRIPTIONS' table is as follows:

Data File Description	Year	From Year	To Year	To Do
SACD - 16% LOS WITH STANDARD ANALYTICAL DATA FILE - HOSPICE	CLOSED	2013	2017	+
SACP - 16% LOS WITH STANDARD ANALYTICAL DATA FILE - RHPHENT	CLOSED	2013	2017	+
SADHW - 16% LOS WITH STANDARD ANALYTICAL DATA FILE - HOME HEALTH AGENCY	RE USE	2016	2016	+
DRWPP - DRUG RELATIVE RISKS PUF (ONLY)	RE USE	2016	2016	+
DRWPP - DRUG RELATIVE RISKS FACILITY SURVEY PUF (ONLY)	RE USE	2016	2016	+

1. The **Close DUA** page displays.
2. The DUA file closing confirmation message displays.
3. Only selected files are **Closed**.
4. The **DUA Status** is still **Approved** (not all files are closed).
5. Select the **Print DUA** button to print or save the document as PDF.
6. Select the **green plus sign** button to view the DUA Life Cycle.

DUA Requester – DUA Life Cycle

Displaying the DUA Life Cycle

CLOSE DUA [Print DUA](#)

DUA REQUEST STATUS
Your request to close DUA CONT-2018-54408 has been completed; however, the DUA will remain "open" until all data files on the DUA are closed.

DUA Life Cycle 

MAIN INFORMATION

DUA Number :	CONT-2018-54408
DUA Customer Type :	Contractor
DUA Category :	42 - CMS PROGRAMS
DUA Status :	Approved
Expiration Date :	04-02-2018
Requested Date :	03-06-2018
Requester :	Taraji Henson
Requester's Email :	fakepicnic@gmail.com
Requester's Phone Number :	(800) 555-1212
Last Updated By :	
Organization Name :	SHAW UNIVERSITY
Project Name :	Expired Test

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

DUA Requester – DUA Life Cycle

Status Progressions and Actions Display

CLOSE DUA [Print DUA](#)

DUA REQUEST STATUS
Your request to close DUA CONT-2018-54408 has been completed; however, the DUA will remain "open" until all data files on the DUA are closed.

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments	Special Instructions
Approved	Mar 6, 2018 3:07:32 PM	DUA CLOSE REQUEST UPDATE	Taraji Henson	Closing FISS Part A file for non-receipt	
Approved	Mar 5, 2018 12:27:21 PM	CREATE DUA	Taraji Henson		
Approved by CMS COR-Waiting for Contractor DUA Management Team Certification	Mar 5, 2018 12:24:20 PM	CREATE DUA	Taraji Henson		
Submitted-Waiting for CMS COR Approval	Mar 5, 2018 11:51:20 AM	CREATE DUA	Taraji Henson		
In Progress	Mar 5, 2018 11:51:01 AM	CREATE DUA	Taraji Henson		

Showing 1 to 5 of 8 entries [Previous](#) [1](#) [2](#) [Next](#)

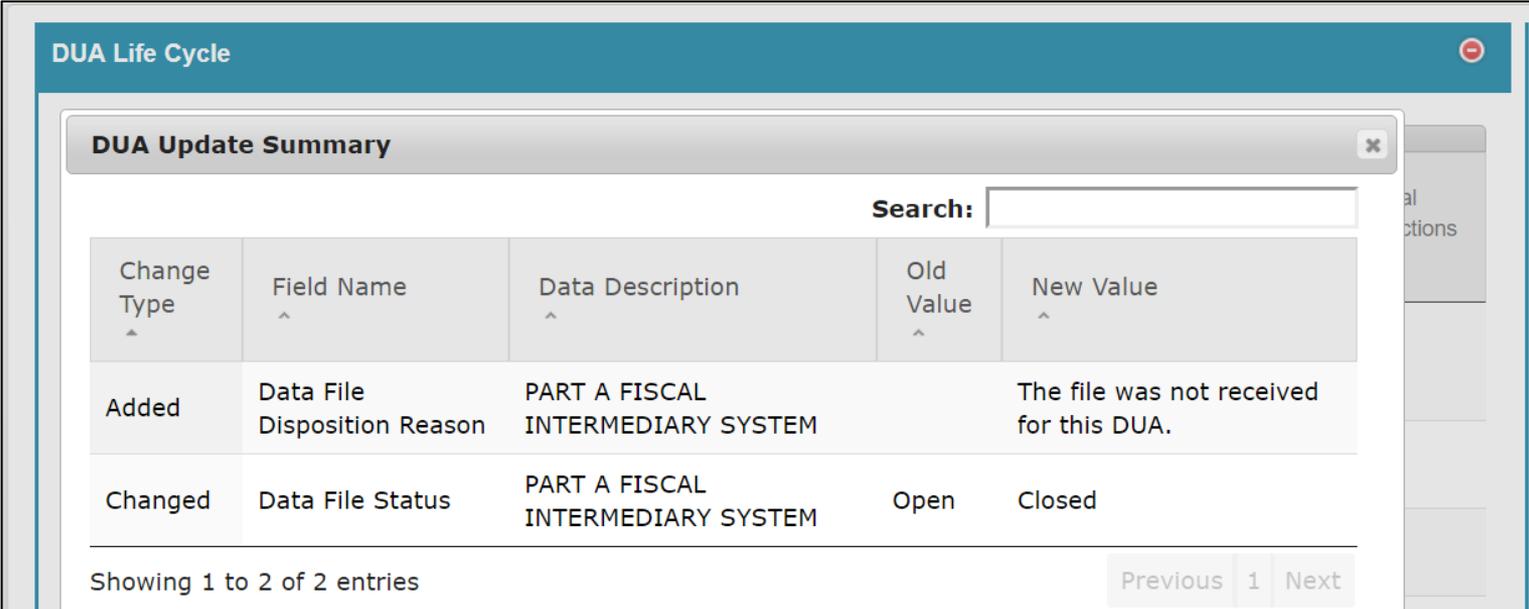
MAIN INFORMATION

DUA Number : CONT-2018-54408
DUA Customer Type : Contractor
DUA Category : 42 - CMS PROGRAMS
DUA Status : Approved
Expiration Date : 04-02-2018
Requested Date : 03-06-2018
Requester : Taraji Henson
Requester's Email : takepicnc@gmail.com
Requester's Phone Number : (800) 555-1212
Last Updated By :
Organization Name : SHAW UNIVERSITY
Project Name : Exprod Test

1. The **DUA Life Cycle** details display.
2. The **DUA Status** is **Approved**.
3. The **DUA Action** is **DUA Close Request Update**.
4. Select the **DUA Close Request** link to view more details.

DUA Requester – DUA Life Cycle

File Closure Details



The screenshot shows a web application interface for 'DUA Life Cycle'. A modal window titled 'DUA Update Summary' is open, displaying a table of update records. The table has five columns: Change Type, Field Name, Data Description, Old Value, and New Value. There are two entries in the table. The first entry is 'Added' for 'Data File Disposition Reason' with the description 'PART A FISCAL INTERMEDIARY SYSTEM' and a new value of 'The file was not received for this DUA.'. The second entry is 'Changed' for 'Data File Status' with the same description, changing from 'Open' to 'Closed'. Below the table, it says 'Showing 1 to 2 of 2 entries' and has navigation buttons for 'Previous', '1', and 'Next'. A search box is located above the table. A close button (X) is in the top right corner of the modal window.

Change Type	Field Name	Data Description	Old Value	New Value
Added	Data File Disposition Reason	PART A FISCAL INTERMEDIARY SYSTEM		The file was not received for this DUA.
Changed	Data File Status	PART A FISCAL INTERMEDIARY SYSTEM	Open	Closed

Showing 1 to 2 of 2 entries

Previous 1 Next

1. The **DUA Update Summary** displays to show the details of the file closure updates.
2. Select the **X** button to close the window.

DUA Requester – DUA Life Cycle

Status Progressions and Actions Display

CLOSE DUA [Print DUA](#)

DUA REQUEST STATUS
Your request to close DUA CONT-2018-54408 has been completed; however, the DUA will remain "open" until all data files on the DUA are closed.

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments	Special Instructions
Approved	Mar 6, 2018 3:07:32 PM	DUA CLOSE REQUEST UPDATE	Taraji Henson	Closing FISS Part A file for non-receipt	
Approved	Mar 5, 2018 12:27:21 PM	CREATE DUA	Taraji Henson		
Approved by CMS COR-Waiting for Contractor DUA Management Team Certification	Mar 5, 2018 12:24:20 PM	CREATE DUA	Taraji Henson		
Submitted-Waiting for CMS COR Approval	Mar 5, 2018 11:51:20 AM	CREATE DUA	Taraji Henson		
In Progress	Mar 5, 2018 11:51:01 AM	CREATE DUA	Taraji Henson		

Showing 1 to 6 of 6 entries [Previous](#) [2](#) [Next](#)

MAIN INFORMATION

DUA Number : CONT-2018-54408
DUA Customer Type : Contractor
DUA Category : 42 - CMS PROGRAMS
DUA Status : Approved
Expiration Date : 04-02-2018
Requested Date : 03-06-2018
Requester : Taraji Henson
Requester's Email : fakepicnic@gmail.com
Requester's Phone Number : (800) 555-1212
Last Updated By :
Organization Name : SHAW UNIVERSITY
Project Name : Expired Test

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

DUA Requester – Print DUA

How to Print the DUA

The screenshot shows a web interface for managing DUA requests. At the top, there are two buttons: 'CLOSE DUA' and 'Print DUA'. Below these is a 'DUA REQUEST STATUS' section with a message: 'Your request to close DUA CONT-2018-54408 has been completed; however, the DUA will remain "open" until all data files on the DUA are closed.' The main section is titled 'DUA Life Cycle' and contains a 'MAIN INFORMATION' table.

DUA Number :	CONT-2018-54408
DUA Customer Type :	Contractor
DUA Category :	42 - CMS PROGRAMS
DUA Status :	Approved
Expiration Date :	04-02-2018
Requested Date :	03-06-2018
Requester :	Taraji Henson
Requester's Email :	fakpicnic@gmail.com
Requester's Phone Number :	(800) 555-1212
Last Updated By :	
Organization Name :	SHAW UNIVERSITY
Project Name :	Expired Test

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

DUA Requester – Print DUA

DUA in HTML Displays for Printing

DUA: CONT-2018-54408

MAIN INFORMATION

DUA Number: CONT-2018-54408
 DUA Customer Type: Contractor
 DUA Category: 42 - CMS PROGRAMS
 DUA Status: Approved
 Requested Date: 3/6/2018
 Expiration Date: 4/2/2018
 Requester: Tariji Henson
 Requester Organization Name: SHAW UNIVERSITY
 Requester Email Address: tikepsnc@gmail.com
 Requester Phone Number: (800) 555-1212
 Project Name: Expired Test
 Privacy Act Authorization Code: CONTRACTOR RU
 HIPAA Authorization Code: Essential Government Functions

CMS Contact (COR)

Name: Tariji Henson
 Email: tikepsnc@gmail.com
 Phone Number: (800) 555-1212

Contract Information

Contract Number: CONT1284
 Task Order Number: TO-123456
 Contract Period - Start Date: 1/4/2016
 Contract Period - End Date: 4/2/2018

Subcontracting Organization

No subcontracting organization.

DOCUMENTS

1. Signature_Address.docx

DESY USERS

ID	User Name	TEA User ID	Organization	Email Address	Phone Number	Address
1	Tariji Henson	TH23	SHAW UNIVERSITY	tikepsnc@gmail.com	(800) 555-1212	118 E SOUTH STREET, RALEIGH, North Carolina, 27601, USA

DATA FILE DESCRIPTION

ID	Data File Description	From Year	To Year	Quarter(s)	Extraction %	Re-Used From DUA	Access Type	Status	Disposition Reason
1	PHARM - PART A FEDERAL INTERMEDIARY SYSTEM	2010	2018		100%		BOTH DIRECT ACCESS AND SHIPPING	Closed	The file was not received in this DUA.
2	PHARM - MEDICARE PRESCRIPTION DRUG PLAN PHARMACY NETWORK PART 1 AND 2	2010	2018		100%		BOTH DIRECT ACCESS AND SHIPPING	Open	
3	MPCD - MEDICARE PHARMACY CLAIMS DATA	2010	2018		100%		BOTH DIRECT ACCESS AND SHIPPING	Open	
4	IDRNS4 - DR DAs FITL DEV (NCH, HPMS, DDPS, NPICS, CME, MARK, MID, PECOS, RAPS, RAS, FHS, VMS, MCR, MEDICAD)	2010	2018		100%		BOTH DIRECT ACCESS AND SHIPPING	Open	

CUSTODIANS

ID	Custodian	Organization	Address	Email Address	Phone Number
1	MIMI KIM	SHAW UNIVERSITY	THE INSTITUTE FOR HEALTH, SOCIAL AND COMMUNITY RESOURCES SOUTH WILMINGTON STREET, SUITE 207, RALEIGH, North Carolina, 27601, USA	imk@shp.com	(919) 215-0142 Ext
2	Tariji Henson	SHAW UNIVERSITY	118 E SOUTH STREET, RALEIGH, North Carolina, 27601, USA	tikepsnc@gmail.com	(800) 555-1212 Ext

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments
Approved	Tue Mar 06 15:07:32 EST 2018	DUA CLOSE REQUEST UPDATE	Tariji Henson	Change FHS Part A file for non-range
Approved	Mon Mar 05 12:27:21 EST 2018	CREATE DUA	Tariji Henson	
Approved by CMS COR-Waiting for Contractor DUA Management Team Certification	Mon Mar 05 12:24:29 EST 2018	CREATE DUA	Tariji Henson	
Submitted-Waiting for CMS COR Approval	Mon Mar 05 11:51:20 EST 2018	CREATE DUA	Tariji Henson	
In Progress	Mon Mar 05 11:51:01 EST 2018	CREATE DUA	Tariji Henson	
In Progress	Mon Mar 05 11:48:07 EST 2018	CREATE DUA	Tariji Henson	
In Progress	Mon Mar 05 11:47:41 EST 2018	CREATE DUA	Tariji Henson	
In Progress	Mon Mar 05 11:46:53 EST 2018	CREATE DUA	Tariji Henson	

1. The DUA Displays in HTML format for printing.
2. The file that was closed shows the **Status as Closed** with the **Disposition Reason**.
3. Sections displayed are:
 - Main Information
 - CMS Contact (COR)
 - Contract Information
 - Subcontracting Organization
 - Documents
 - DESY Users
 - Data File Descriptions
 - Custodians
 - DUA Life Cycle
4. Select the **Print** link to:
 - Print the DUA or
 - Save the DUA in PDF format

DUA Requester – Close All Data Files on the DUA

View Data File Details

CLOSE DUA

DUA Number : CONT-2018-54412

DATA FILE DESCRIPTIONS

Data File Description	From Year	To Year	Status	Action
ABBC - ACUMEN BID TO BUCCANEER BID CROSSWALK	2010	2018	CLOSE	Edit Apply All 
XWALK - ACUMEN_BID TO BENE_ID CROSSWALK FILE	2010	2018	CLOSE	Edit 

Privacy Level : IDENTIFIABLE
From - To Year : Extraction % / Cohort , Quarters , States 2010-2015, 100%, NA,NA
Access Type : BOTH DIRECT ACCESS AND SHIPPING
Data Disseminator Type : DESY/IDR
Data Disposition Reason : The file has been destroyed, including copies, derivatives, subsets and manipulated files.
Data Dissemination System : DESY/IDR

Shipping Details

Id	Shipping Location	Recipient	Carrier	Carrier Account Number
1	118 E SOUTH STREET, RALEIGH, North Carolina, 27601, USA	Taraji Henson		

Custodian Locations and Custodians

Id	Organization	Custodian Locations	Custodians	Email	Phone
1	SHAW UNIVERSITY	118 E SOUTH STREET, RALEIGH, North Carolina, 27601, USA	1 Taraji Henson	1. fakepcnic@gmail.com	1. (800) 555-1212

MAXA - ALPHA MAX	2010	2018	CLOSE	Edit 
MCBSXW - BASED TO HIC CROSSWALK FROM THE MCBS	2010	2018	CLOSE	Edit 

Showing 1 to 4 of 4 entries Previous Next

Comments :

2000 characters remaining (2000 maximum)

Previous Next

1. The data file details display if you selected the **green plus sign icon**
 - Privacy Level
 - From/To Year, Extraction%/Cohort, Quarters, States
 - Access Type
 - Data Disseminator Type
 - Data Disposition Reason
 - Data Dissemination System
 - Shipping Details
 - Custodian Information
2. Select the **Red Negative Sign Icon** to collapse the **Data File Details**.

DUA Requester – Close All Data Files on the DUA

Confirmation of Data File Closing

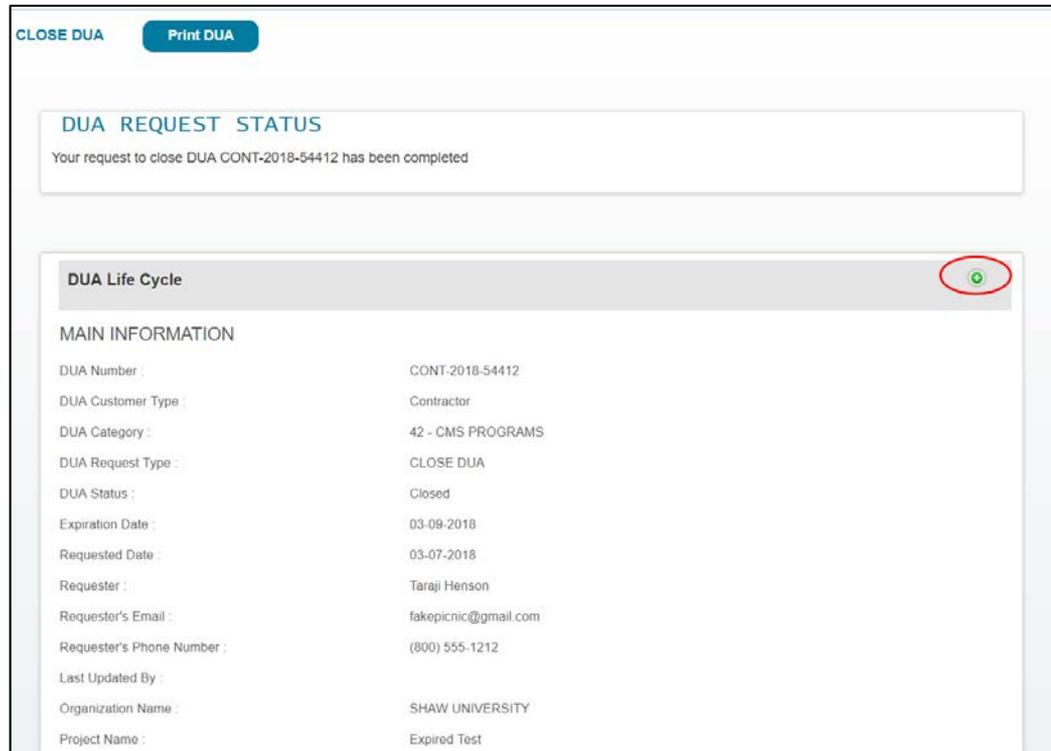
The screenshot displays the 'Enterprise Privacy Policy Engine' interface. The main content area is titled 'DUA REQUEST STATUS' and shows a 'DUA Life Cycle' section. A red circle highlights the 'Close DUA' button in the top right corner of the 'DUA Life Cycle' section. Below this, there is a 'SUBCONTRACTOR ORGANIZATION' section, a 'DATA DISPOSITION CERTIFICATION' table, a 'CUSTOMER/ISSUE USERS' section, and a 'DATA FILE DESCRIPTIONS' table. The 'DATA FILE DESCRIPTIONS' table has columns for 'Data File Name', 'Created Date', and 'Status'. The 'Status' column shows a green plus sign for each row, indicating that the data files are closed.

Data File Name	Created Date	Status	
SAVDS - 10% US WITH ETHNIC ANALYTICAL DATA FILE - HOSPC	6/20/20	2017	+
SAUP - 10% US WITH ETHNIC ANALYTICAL DATA FILE - ARMY	6/20/20	2017	+
SAVDA - 10% US WITH ETHNIC ANALYTICAL DATA FILE - HOME HEALTH AGENCY	6/20/20	2017	+
SAUPP - 10% US WITH ETHNIC ANALYTICAL DATA FILE - PUP (2017)	6/20/20	2017	+
SAUPP - 10% US WITH ETHNIC ANALYTICAL DATA FILE - PUP (2017)	6/20/20	2017	+

1. The **Close DUA** screen displays.
2. The DUA data file closing confirmation message displays.
3. All data files are **Closed**.
4. The **DUA Status** is **Closed**.
5. Select the **Print DUA** button to print or save the document as PDF.
6. Select the **green plus sign** button to view the DUA Life Cycle.

DUA Requester – DUA Life Cycle

Displaying the DUA Life Cycle



The screenshot displays a web interface for managing DUA requests. At the top, there are two buttons: "CLOSE DUA" and "Print DUA". Below this is a "DUA REQUEST STATUS" section with a message: "Your request to close DUA CONT-2018-54412 has been completed". The main section is titled "DUA Life Cycle" and contains a "MAIN INFORMATION" table. A green plus sign icon in the top right corner of the "DUA Life Cycle" header is circled in red, indicating it is the target for clicking to view the life cycle details.

DUA Life Cycle	
MAIN INFORMATION	
DUA Number :	CONT-2018-54412
DUA Customer Type :	Contractor
DUA Category :	42 - CMS PROGRAMS
DUA Request Type :	CLOSE DUA
DUA Status :	Closed
Expiration Date :	03-09-2018
Requested Date :	03-07-2018
Requester :	Taraji Henson
Requester's Email :	fakepicnic@gmail.com
Requester's Phone Number :	(800) 555-1212
Last Updated By :	
Organization Name :	SHAW UNIVERSITY
Project Name :	Expired Test

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

DUA Requester – DUA Life Cycle

Status Progressions and Actions Display

CLOSE DUA [Print DUA](#)

DUA REQUEST STATUS
Your request to close DUA CONT-2018-54412 has been completed

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments	Special Instructions
Closed	Mar 7, 2018 10:45:39 AM	CLOSE DUA	Taraji Henson		
Approved	Mar 6, 2018 3:58:24 PM	EXTEND DUA	Taraji Henson		
Expired	Mar 5, 2018 10:10:00 PM		System		
Approved	Mar 5, 2018 2:43:13 PM	CREATE DUA	Taraji Henson		
Approved by CMS COR-Waiting for Contractor DUA Management Team Certification	Mar 5, 2018 2:42:26 PM	CREATE DUA	Taraji Henson		

Showing 1 to 5 of 9 entries [Previous](#) [1](#) [2](#) [Next](#)

MAIN INFORMATION

DUA Number: CONT-2018-54412
DUA Customer Type: Contractor
DUA Category: 42 - CMS PROGRAMS
DUA Request Type: CLOSE DUA
DUA Status: Closed
Expiration Date: 03-09-2018
Requested Date: 03-07-2018
Requester: Taraji Henson
Requester's Email: fakepicnic@gmail.com
Requester's Phone Number: (800) 555-1212
Last Updated By:
Organization Name: SHAW UNIVERSITY
Project Name: Expired Test

1. The **DUA Life Cycle** details display.
2. The **DUA Status** is **Closed**.
3. The **DUA Action** is **Close DUA**.
4. Select the **Close DUA** link to view more details.

DUA Requester – DUA Life Cycle

Data File Closure Details

DUA Life Cycle

DUA Status DUA Action Date DUA Action Action User Comments Special Instructions

DUA Update Summary [X]

Search:

Change Type	Field Name	Data Description	Old Value	New Value
Added	Documents			Certificate_of_Disposition.docx
Added	Data File Disposition Reason	ACUMEN BID TO BUCCANEER BID CROSSWALK		The file has been destroyed, including copies, derivatives, subsets and manipulated files.
Added	Data File Disposition Reason	BASEID TO HIC CROSSWALK FROM THE MCBS		The file has been destroyed, including copies, derivatives, subsets and manipulated files.
Added	Data File Disposition Reason	ALPHA-MAX		The file has been destroyed, including copies, derivatives, subsets and manipulated files.
Added	Data File Disposition Reason	ACUMEN_BID TO BENE_ID CROSSWALK FILE		The file was not received for this DUA.

Showing 1 to 5 of 10 entries Previous 1 2 Next

1. The **DUA Update Summary** displays to show the details of the file closure updates.
2. Select the **Next** button to scroll to view other screens if applicable.
3. Select the **X** button to close the window.

DUA Requester – DUA Life Cycle

Status Progressions and Actions Display

CLOSE DUA [Print DUA](#)

DUA REQUEST STATUS
Your request to close DUA CONT-2018-54412 has been completed

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments	Special Instructions
Closed	Mar 7, 2018 10:45:39 AM	CLOSE DUA	Taraji Henson		
Approved	Mar 6, 2018 3:56:24 PM	EXTEND DUA	Taraji Henson		
Expired	Mar 5, 2018 10:10:00 PM		System		
Approved	Mar 5, 2018 2:43:13 PM	CREATE DUA	Taraji Henson		
Approved by CMS COR-Waiting for Contractor DUA Management Team Certification	Mar 5, 2018 2:42:25 PM	CREATE DUA	Taraji Henson		

Showing 1 to 5 of 9 entries [Previous](#) [1](#) [2](#) [Next](#)

MAIN INFORMATION

DUA Number: CONT-2018-54412
DUA Customer Type: Contractor
DUA Category: 42 - CMS PROGRAMS
DUA Request Type: CLOSE DUA
DUA Status: Closed
Expiration Date: 03-09-2018
Requested Date: 03-07-2018
Requester: Taraji Henson
Requester's Email: fakapicnic@gmail.com
Requester's Phone Number: (800) 555-1212
Last Updated by:
Organization Name: SHAW UNIVERSITY
Project Name: Expired Test

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

DUA Requester – Print DUA

How to Print the DUA

The screenshot displays a web interface for managing DUA requests. At the top, there are two buttons: 'CLOSE DUA' and 'Print DUA'. Below these is a 'DUA REQUEST STATUS' section with a message: 'Your request to close DUA CONT-2018-54412 has been completed'. The main section is titled 'DUA Life Cycle' and contains a 'MAIN INFORMATION' table.

DUA Number :	CONT-2018-54412
DUA Customer Type :	Contractor
DUA Category :	42 - CMS PROGRAMS
DUA Request Type :	CLOSE DUA
DUA Status :	Closed
Expiration Date :	03-09-2018
Requested Date :	03-07-2018
Requester :	Taraji Henson
Requester's Email :	fakepicnic@gmail.com
Requester's Phone Number :	(800) 555-1212
Last Updated By :	
Organization Name :	SHAW UNIVERSITY
Project Name :	Expired Test

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

DUA Requester – Print DUA

DUA in HTML Displays for Printing

DUA: CONT-2018-54412

MAIN INFORMATION

DUA Number: CONT-2018-54412
 DUA Customer Type: Contractor
 DUA Category: 42 - CMS PROGRAMS
 DUA Status: Closed
 Requested Date: 3/7/2018
 Expiration Date: 3/9/2018
 Requester: Taraji Henson
 Requester Organization Name: SHAW UNIVERSITY
 Requester Email Address: tkeppene@gmail.com
 Requester Phone Number: (800) 555-1212
 Project Name: Expired Test
 Privacy Act Authorization Code: CONTRACTOR.BU
 HIPAA Authorization Code: Essential Government Functions

CMS Contact (COR)

Name: Taraji Henson
 Email: tkeppene@gmail.com
 Phone Number: (800) 555-1212

Contract Information

Contract Number: CONT1234
 Task Order Number: TO-123456
 Contract Period - Start Date: 1/5/2015
 Contract Period - End Date: 3/9/2018

Subcontracting Organization

No subcontracting organization.

DOCUMENTS

1. Signature_Acknowledn.docx
 2. Certificate_of_Disposition.docx

DESY USERS

ID	User Name	EUA User Id	Organization	Email Address	Phone Number	Address
1	Taraji Henson	TKH3	SHAW UNIVERSITY	tkeppene@gmail.com	(800) 555-1212	118 E SOUTH STREET, RALEIGH, North Carolina, 27601, USA

DATA FILE DESCRIPTION

ID	Data File Description	From Year	To Year	Quarter(s)	Extraction %	Re-Used From DUA	Access Type	Status	Disposition Reason
1	ARHBC - ACUMEN BID TO RECCANER.BID CROSSWALK	2010	2018		100%		BOTH DIRECT ACCESS AND SHEPPING	Closed	The file has been destroyed, including copies, derivations, subsets and manipulated files.
2	MECSW - BASED TO IEC CROSSWALK FROM THE MECS	2010	2018		100%		BOTH DIRECT ACCESS AND SHEPPING	Closed	The file has been destroyed, including copies, derivations, subsets and manipulated files.
3	MANA - ALPHA MAN	2010	2018		100%		BOTH DIRECT ACCESS AND SHEPPING	Closed	The file has been destroyed, including copies, derivations, subsets and manipulated files.
4	YXWALKA - ACUMEN BID TO BENE_ID CROSSWALK FILE	2010	2018		100%		BOTH DIRECT ACCESS AND SHEPPING	Closed	The file was not received for this DUA.

CUSTODIANS

ID	Custodian	Organization	Address	Email Address	Phone Number
1	Taraji Henson	SHAW UNIVERSITY	118 E SOUTH STREET, RALEIGH, North Carolina, 27601, USA	tkeppene@gmail.com	(800) 555-1212 Ext

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments
Closed	Wed Mar 07 10:45:39 EST 2018	CLOSE DUA	Taraji Henson	
Approved	Tue Mar 06 15:58:24 EST 2018	EXTEND DUA	Taraji Henson	
Expired	Mon Mar 05 22:10:00 EST 2018		System	
Approved	Mon Mar 05 14:43:11 EST 2018	CREATE DUA	Taraji Henson	
Approved by CMS COR- Waiting for Contractor DUA Management Team Certification	Mon Mar 05 14:42:25 EST 2018	CREATE DUA	Taraji Henson	
ReSubmitted-Waiting for CMS COR Approval	Mon Mar 05 14:40:01 EST 2018	CREATE DUA	Taraji Henson	
In Progress	Mon Mar 05 14:39:02 EST 2018	CREATE DUA	Taraji Henson	
In Progress	Mon Mar 05 14:38:28 EST 2018	CREATE DUA	Taraji Henson	
In Progress	Mon Mar 05 14:36:33 EST 2018	CREATE DUA	Taraji Henson	
In Progress	Mon Mar 05 14:36:02 EST 2018	CREATE DUA	Taraji Henson	

1. The DUA displays in HTML format for printing.
2. All files have a **Status of Closed** and display with the **Disposition Reason**.
3. Sections displayed are:
 - Main Information
 - CMS Contact (COR)
 - Contract Information
 - Subcontracting Organization
 - Documents
 - DESY Users
 - Data File Descriptions
 - Custodians
 - DUA Life Cycle
4. Select the **Print** link to:
 - Print the DUA or
 - Save the DUA in PDF format

DUA Requester – View Closed DUAs

View Closed DUAs

The screenshot displays the CMS.gov My Enterprise Portal interface. At the top, the header includes 'CMS.gov | My Enterprise Portal', 'My Apps', and user information 'REQ UserFive' with 'Help' and 'Log Out' links. The main content area is titled 'Enterprise Privacy Policy Engine'. On the left, a navigation menu lists various 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 'Closed' option is circled in red. The main content area shows a 'Welcome to EPPE' message, a description of the application, a list of goals, and training materials. The user is logged in as 'DUA REQUESTER'.

Enterprise Privacy Policy Engine

EPPE Home
DUA(s)
New / Re-Use
Update / Amend
Close
Extend
My DUA(s)
Un-Finished
Submitted
Pending Action(s)
Approved
Expired
Closed
Denied

Welcome to EPPE

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

Goals:

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

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

- Contractor Approval Workflow

Version 27.1

Logged in as: DUA REQUESTER

Select the **Closed** option on the **My DUA(s)** menu to view **Closed** DUAs.

DUA Requester – View Closed DUAs

View DUA Closed Queue

CLOSED DUA(S)

Search:

DUA Number	Organization	DUA Type	DUA Action	Requester	Request Date	
CONT-2018-54412	SHAW UNIVERSITY	Contractor	CLOSE DUA	Taraji Henson	3-7-2018	View

Showing 1 to 1 of 1 entries

Previous Next

1. Search for the closed DUA if not visible on the list.
2. The DUA displays in the **Closed** queue.
3. Select the **View** link to display the DUA.

DUA Requester – View Closed DUAs

DUA Displays

The screenshot shows the 'Enterprise Privacy Policy Engine' interface. The main content area is titled 'DUA Life Cycle' and displays 'MAIN INFORMATION' for a specific DUA. The status is 'Closed'. The information includes:

- DUA Number: 10001-000-0000
- DUA Customer Type: Contractor
- DUA Request Type: 10-000-000
- DUA Status: Closed
- Expiration Date: 10-01-2019
- Request Date: 10-01-2019
- Requester: 10001-000-0000
- Requester's Email: 10001@10001.com
- Requester's Phone Number: 10001-000-0000
- Last Updated By: 10001-000-0000
- Organization Name: 10001-000-0000
- Project Name: 10001-000-0000
- SWB Contract (SWB): 10001-000-0000
- First Name: 10001
- Last Name: 10001
- Email Address: 10001@10001.com
- Phone Number: 10001-000-0000
- Contact Information: 10001-000-0000
- Contact Number: 10001
- Task Order Number: 10001
- Contract Period - Start Date: 10-01-2019
- Contract Period - End Date: 10-01-2019

Below the main information, there are sections for 'SUBCONTRACTOR ORGANIZATIONS', 'DATA DISPOSITION CERTIFICATION', 'CUSTODIAN/GENESY USERS', 'DATA FILE DESCRIPTIONS', and 'DOCUMENTS'. The 'DATA FILE DESCRIPTIONS' table shows the following data:

File Description	Year	Year	Year
SDOH - 100% USE WITH STANDARD ANALYTICAL DATE FILE - HSDPCE	10-000-000	2017	2017
SDOP - 100% USE WITH STANDARD ANALYTICAL DATE FILE - HSDPCE	10-000-000	2017	2017
SDOH - 100% USE WITH STANDARD ANALYTICAL DATE FILE - HOME HEALTH AGENCY	10-000-000	2017	2017
SDOH - 100% USE WITH STANDARD ANALYTICAL DATE FILE - HOME HEALTH AGENCY	10-000-000	2017	2017
SDOH - 100% USE WITH STANDARD ANALYTICAL DATE FILE - HOME HEALTH AGENCY	10-000-000	2017	2017
SDOH - 100% USE WITH STANDARD ANALYTICAL DATE FILE - HOME HEALTH AGENCY	10-000-000	2017	2017

1. The **My DUA** screen displays.
2. The **DUA Status** is **Closed**.
3. The **Status** of all files is **Closed**.
4. Select the **Print DUA** button to print or save the DUA to PDF.
5. Select the **green plus sign** icon to view the **DUA Life Cycle**.
6. Select the **green plus sign** icon to view the data file details.

DUA SEARCH

DUA Requester – Search

Searching for a DUA

The screenshot shows the CMS.gov My Enterprise Portal interface for the Enterprise Privacy Policy Engine (EPPE). The top navigation bar includes 'CMS.gov | My Enterprise Portal', 'My Apps', 'User Name', 'Help', and 'Log Out'. The main header reads 'Enterprise Privacy Policy Engine'. On the right, it indicates 'Logged in as: DUA REQUESTER'. The left sidebar contains a menu with the following items: EPPE Home, DUA(s), New / Re-Use, Update / Amend, Close, Extend, My DUA(s), Un-Finished, Submitted, Pending Action(s), Approved, Expired, Closed, Denied, Re-Assign DUA(s), Change Contact, Ad Hoc Request, Search, DUA Search (circled in red), My Access, Manage Access, My Preference(s), Email Preference, and Exit EPPE. The main content area features a 'Welcome to EPPE' section with the following text: 'EPPE is an application that streamlines the process of requesting data from the Centers for Medicare & Medicaid Services (CMS) via an online Data Use Agreement (DUA). Goals: • Reduce the amount of time to process a DUA. • Transition from a paper-based to an automated process. • Provide a 100% traceable record of CMS data disclosures. Training Materials: Visit the EPPE web page on cms.gov, to download Training Slide Decks for the following: • Contractor Approval Workflow. Version 27.0'.

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 : ?

DUA Submission Date Range : ?

DUA Expiration Date Range : ?

DUA Status : ?

Study/Project name : ?

ResDAC TICKET ID: ?

Customer Type : ?

DUA Category : ?

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	View
CONT-2017-53209	Contractor	NORTH CAROLINA STATE UNIVERSITY	Training Deck	Cindy-Lou Who	11-13-2017	8-31-2018	Approved	View
CONT-2018-53364	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-4-2018	12-31-2018	Approved	View
CONT-2018-53365	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	View
CONT-2018-53366	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	View
CONT-2018-53367	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	View
CONT-2018-53372	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	View
CONT-2018-54108	Contractor	NORTH CAROLINA STATE UNIVERSITY	Requester Training Project	Ogre Shrek	2-20-2018	12-31-2018	Approved	View
CONT-2018-54271	Contractor	NORTH CAROLINA STATE UNIVERSITY	Testing Document Requirement	Taraji Henson	2-27-2018	12-31-2018	Approved	View

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-2019-54109
DUA Customer Type: Contractor
DUA Category: 47 - CMS PROGRAMS
DUA Status: Approved
Expiration Date: 12-31-2018
Requested Date: 02-29-2018
Requester: Ogrt 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: Taraj
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

DESY USERS

User Name	DUA User ID	Organization
Ogrt Shrek	OR23	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
PARTD5 - 5% PART D MEDICARE SAMPLE PDE DATA	RE-USE	2010-2017

Showing 1 to 5 of 5 entries

DOCUMENTS

Document	Uploaded Files
1 SIGNATURE ACCENDUM	Signature_Accendum.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-2017-52886	Contractor	NORTH CAROLINA STATE UNIVERSITY	Research Study	Happy NewUser	9-21-2017	9-21-2018	Approved	View
CONT-2017-53209	Contractor	NORTH CAROLINA STATE UNIVERSITY	Training Deck	Cindy-Lou Who	11-13-2017	8-31-2018	Approved	View
CONT-2018-53364	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-4-2018	12-31-2018	Approved	View
CONT-2018-53365	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	View
CONT-2018-53366	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	View
CONT-2018-53367	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	View
CONT-2018-53372	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	View
CONT-2018-54108	Contractor	NORTH CAROLINA STATE UNIVERSITY	Requester Training Project	Ogre Shrek	2-20-2018	12-31-2018	Approved	View
CONT-2018-54271	Contractor	NORTH CAROLINA STATE UNIVERSITY	Testing Document Requirement	Taraji Henson	2-27-2018	12-31-2018	Approved	View

Showing 1 to 9 of 9 entries

[Back to Search](#)

1. The **DUA Search Results Screen** redisplay 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 'Enterprise Privacy Policy Engine' interface. The top navigation bar includes 'CMS.gov | My Enterprise Portal', 'My Apps', 'User Name', 'Help', and 'Log Out'. The main content area is titled 'DUA SEARCH' and shows 'Search Criteria Selected' with 'DUA Status :Approved' and 'CustomerType :Contractor'. It indicates 'Showing 9 of 9 Records.' and has an 'Export Search Result to Excel' button. A table lists the search results:

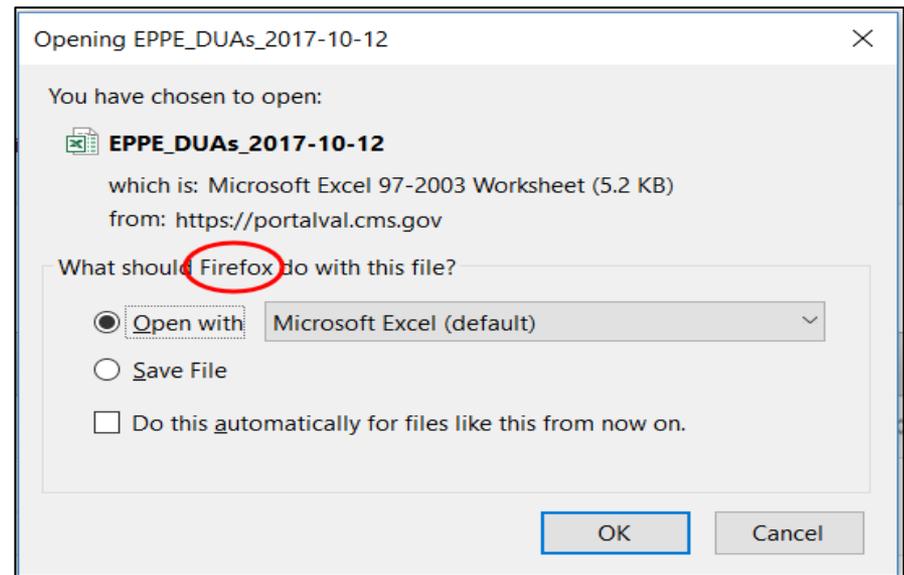
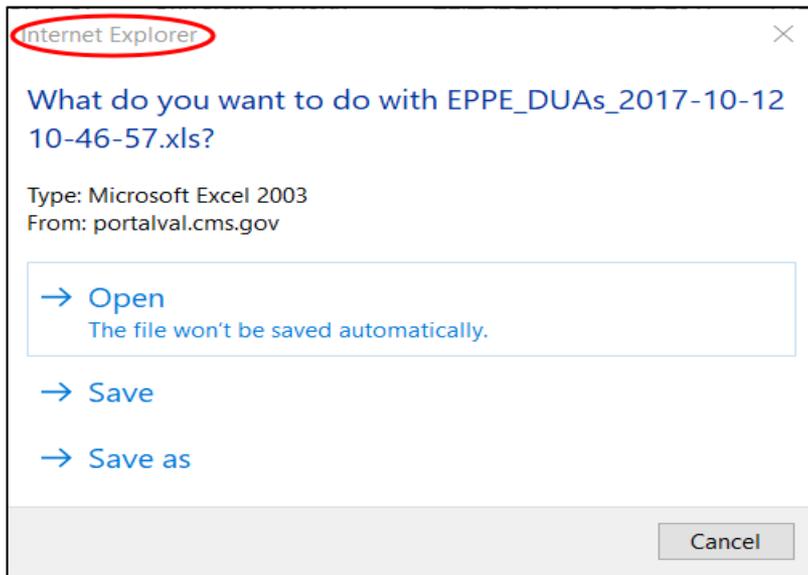
DUA Number	Customer Type	Organization	Project/StudyName	Requester	Request Date	Expiration Date	Status	
CONT-2017-52888	Contractor	NORTH CAROLINA STATE UNIVERSITY	Research Study	Happy NewUser	9-21-2017	9-21-2018	Approved	View
CONT-2017-53209	Contractor	NORTH CAROLINA STATE UNIVERSITY	Training Deck	Cindy-Lou Who	11-13-2017	8-31-2018	Approved	View
CONT-2018-50001	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen	Taraji	1-4-2018	12-31-2018	Approved	View

At the bottom of the screen, a taskbar shows a file named 'EPPE_DUAs_2018_....xlsx' which is circled in red.

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

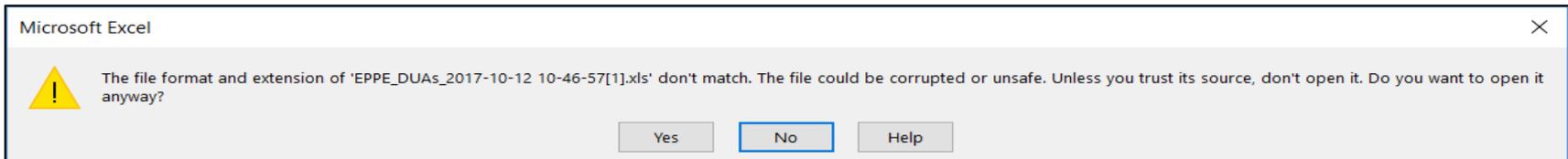
Potential File Action Messages



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

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				

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	DUA Search Criteria Selected			
2	DUA Status :Approved			
3	CustomerType :Contractor			
4				
5				
6	Total Records	9		
7				

Ready | DUA Search Result | **Search Criteria** | (+)

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](#)

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	View
CONT-2017-53209	Contractor	NORTH CAROLINA STATE UNIVERSITY	Training Deck	Cindy-Lou Who	11-13-2017	8-31-2018	Approved	View
CONT-2018-53364	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-4-2018	12-31-2018	Approved	View
CONT-2018-53365	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	View
CONT-2018-53366	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	View
CONT-2018-53367	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	View
CONT-2018-53372	Contractor	NORTH CAROLINA STATE UNIVERSITY	EPPE Admin Reopen Test	Taraji Henson	1-5-2018	12-31-2018	Approved	View
CONT-2018-54108	Contractor	NORTH CAROLINA STATE UNIVERSITY	Requester Training Project	Ogre Shrek	2-20-2018	12-31-2018	Approved	View
CONT-2018-54271	Contractor	NORTH CAROLINA STATE UNIVERSITY	Testing Document Requirement	Taraji Henson	2-27-2018	12-31-2018	Approved	View

Showing 1 to 9 of 9 entries

[Back to Search](#)

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

MANAGE ACCESS

DUA Requester – Manage Access

EPPE Menu

CMS.gov | My Enterprise Portal My Apps User Name Help Log Out

Enterprise Privacy Policy Engine

EPPE Home

DUA(s)

New / Re-Use

Update / Amend

Close

Extend

My DUA(s)

Un-Finished

Submitted

Pending Action(s)

Approved

Expired

Closed

Denied

Re-Assign DUA(s)

Change Contact

Ad Hoc Request

Search

DUA Search

My Access

Manage Access

My Preference(s)

Email Preference

Exit EPPE

Welcome to EPPE

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

Goals:

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

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

- Contractor Approval Workflow.

Version 27.0

Logged in as: DUA REQUESTER

Select the **Manage Access** option on the **My Access** menu.

DUA Requester – Manage Access

EPPE Roles Display

MANAGE ACCESS

My Roles

Organization Name	Role	Data Dissemination System	Remove
Video Training Company 1	DUA REQUESTER		Remove

Select an option *

Request Additional Role ?

Proxy Role ?

Next

1. The **Manage Access** screen displays with the **Organization Names, Roles, Data Disseminating Systems (if applicable)** to which you have access and **Proxy Role**.
2. Select the **Request Additional Role** radio button.
3. Select the **Next** button.

Note: **Data Dissemination System** applies only to the **Extractor** and **Shipper** roles which are internal to CMS.

DUA Requester – Manage Access for New Role

Select Organization

MANAGE ACCESS

Request Additional Role
Required fields are marked with an asterisk ().*

Enter **Organization Name ***: [Cannot locate the Organization? ?](#)

Role *:

Add

Selected Role Request

	Organization Name	Role	Data Dissemination System	Action
--	-------------------	------	---------------------------	--------

Quit **Previous** **Submit**

1. The **Request Additional Role** screen displays.
2. Enter the **Organization Name** to display a list of organizations matching the search criteria.

DUA Requester – Manage Access for New Role

Add New Organization

MANAGE ACCESS

Request Additional Role
Required fields are marked with an asterisk ().*

Enter Organization Name * : [Cannot locate the Organization? ?](#)

Role * :

Selected Role Request

	Organization Name	Role	Data Dissemination System	Action
--	-------------------	------	---------------------------	--------

If the organization does not exist in the EPPE System, select the **“Cannot locate the Organization?”** link.

DUA Requester – Manage Access for New Role

Add New Organization

Request New Organization

Required fields are marked with an asterisk (*). Please enter your
Organization information.

Organization Name * :

Address Type * :
 Domestic Address International Address

Address Line 1 * :

Address Line 2 :

Address Line 3 :

City * :

State * :

Country :

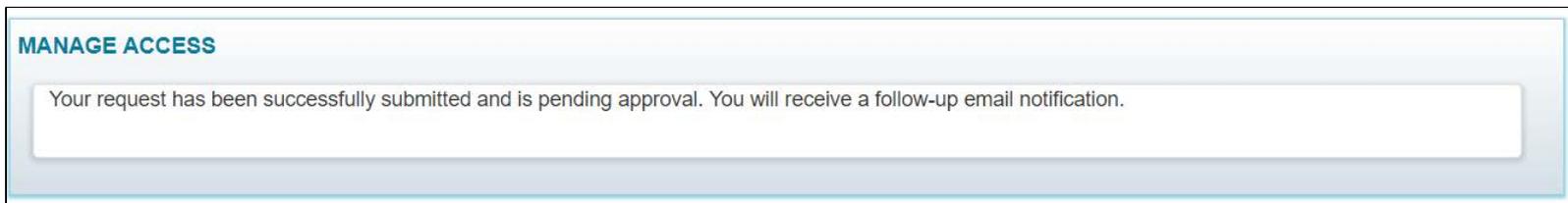
Zip Code * :

Zip Code Extension :

1. The “Request New Organization” pop-up displays.
2. Enter the **Organization** information:
 - **Organization Name**
 - **Address Type:** Note this defaults to **Domestic Address**. Select **International Address**, if applicable.
 - **Address**
 - **City**
 - **State**
 - **Country** (if not US)
 - **Zip Code**
 - **Zip Code Extension** (optional)
3. Select the **Submit** button.

DUA Requester – Manage Access for New Role

Add New Organization Submission Confirmation



1. The **Confirmation** message displays: ***“Your request has been successfully submitted and is pending approval. You will receive a follow-up email notification.”***
2. A new Organization requires EPPE Administration Approval. Re-Start the Role request with the organization once the organization is approved.

DUA Requester – Manage Access for New Role

Select Organization

MANAGE ACCESS

Request Additional Role
Required fields are marked with an asterisk ().*

Enter Organization Name *: [Cannot locate the Organization? ?](#)

Role *:
HAMPトン FAMILY PRACTICE
NORTHAMPTON COUNTY
HAMPTON ROADS GOOD HELP ACO, LLC
HAMPTON UNIVERSITY
HAMPTON REGIONAL MEDICAL CENTER

Selected Role Request

Organization Name	Role	Data Dissemination System	Action
-------------------	------	---------------------------	--------

1. The **Organization Name** drop down list displays based on the search criteria.
2. Select the **Organization** from the list.

Note: You must select the organization from the list.

DUA Requester – Manage Access for New Role

Select a Role

MANAGE ACCESS

Request Additional Role
Required fields are marked with an asterisk ().*

Enter Organization Name *: HAMPTON UNIVERSITY Cannot locate the Organization? ?

Role *:

- DUA REQUESTER
- DUA VIEWER

Selected Role Request

Organization Name	Role	Data Dissemination System	Action
-------------------	------	---------------------------	--------

1. Place the cursor in the **Role** drop-down selection box to display a list of eligible roles for the organization.
2. Select the **DUA Requester** from the list.

Note: You must select the role from the list.

DUA Requester – Manage Access for New Role

Select a Role

MANAGE ACCESS

Request Additional Role
Required fields are marked with an asterisk ().*

Enter Organization Name * : [Cannot locate the Organization? ?](#)

Role * : x v

Add

Selected Role Request

Organization Name	Role	Data Dissemination System	Action
-------------------	------	---------------------------	--------

Quit **Previous** **Submit**

1. The **Role** displays in the field.
2. Select the **Add** button.

DUA Requester – Manage Access for New Role

Select a Role

MANAGE ACCESS

Request Additional Role
Required fields are marked with an asterisk ().*

Enter Organization Name * : [Cannot locate the Organization? ?](#)

Role * :

[Add](#)

Selected Role Request

	Organization Name	Role	Data Dissemination System	Action
1	HAMPTON UNIVERSITY	DUA REQUESTER		Remove

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

1. The **Organization and Role** display in the table below.
2. You can add other role requests to the table.
3. Select the **Remove** link to remove a request from the table if applicable.
4. Select the **Submit** button.

DUA Requester – Manage Access for New Role

Role Request Acknowledgment

MANAGE ACCESS

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

1. The **Manage Access** screen displays with the confirmation message.
2. The EPPE Administration Team will review the request and determine if it should be approved.

REMOVING A ROLE

DUA Requester – Remove a Role

EPPE Menu

CMS.gov | My Enterprise Portal

My Apps

User Name Help Log Out

Enterprise Privacy Policy Engine

Logged in as: DUA REQUESTER

EPPE Home

DUA(s)

- New / Re-Use
- Update / Amend
- Close
- Extend

My DUA(s)

- Un-Finished
- Submitted
- Pending Action(s)
- Approved
- Expired
- Closed
- Denied

Re-Assign DUA(s)

- Change Contact
- Ad Hoc Request

Search

- DUA Search

My Access

- Manage Access**

My Preference(s)

- Email Preference

Exit EPPE

Welcome to EPPE

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

Goals:

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

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

- Contractor Approval Workflow.

Version 27.0

Select the **Manage Access** option on the **My Access** menu.

DUA Requester – Remove a Role

EPPE Roles Display

MANAGE ACCESS

Please log out and log back in to confirm your request has been processed.

My Roles

Organization Name	Role	Data Dissemination System	Remove
FLORIDA A&M UNIVERSITY	DUA REQUESTER		Remove
NORTH CAROLINA STATE UNIVERSITY	DUA VIEWER		Remove
HOWARD UNIVERSITY	DUA REQUESTER		Remove
Tallgen	DUA VIEWER		Remove
FLORIDA STATE UNIVERSITY	DUA REQUESTER		Remove

Select an option *

Request Additional Role ?

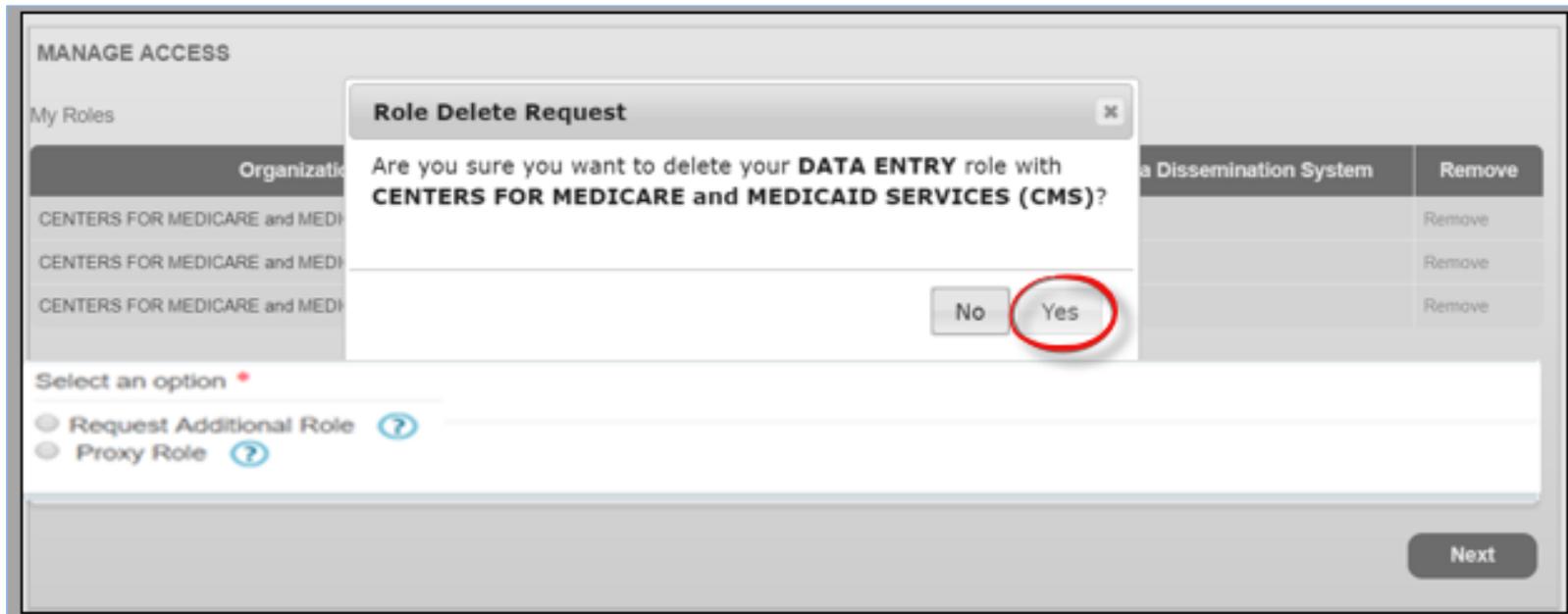
Proxy Role ?

[Next](#)

1. The Roles and Organization Names to which you have access are displayed.
2. Select the **Remove** link **associated** with the role you want to remove.

DUA Requester – Remove a Role

Confirm Deletion of Role



1. The **Role Delete Request** popup displays
2. Select the **Yes** button

DUA Requester – Remove a Role

EPPE Roles Display

MANAGE ACCESS

Please log out and log back in to confirm your request has been processed.

My Roles

Organization Name	Role	Data Dissemination System	Remove
FLORIDA A&M UNIVERSITY	DUA REQUESTER		Remove
NORTH CAROLINA STATE UNIVERSITY	DUA VIEWER		Remove
HOWARD UNIVERSITY	DUA REQUESTER		Remove
FLORIDA STATE UNIVERSITY	DUA REQUESTER		Remove

Select an option *

Request Additional Role ?

Proxy Role ?

Next

1. The **Manage Access My roles** screen redisplay with a message, “Please log out and log back in to confirm your request has been processed.”
2. The deleted role does not display in the list.

Notes:

- You can delete other roles, but you must retain at least one role.
- To obtain a previously deleted role again, you must submit the role request and it must be approved by the EPPE Administrator.

PROXY ASSIGNMENT

DUA Requester – Manage Access

EPPE Menu

The screenshot shows the EPPE web application interface. At the top, there is a header with 'CMS.gov My Enterprise Portal', 'My Apps', 'User Name', 'Help', and 'Log Out'. The main title is 'Enterprise Privacy Policy Engine'. On the left, there is a navigation menu with the following items: EPPE Home, DUA(s), New / Re-Use, Update / Amend, Close, Extend, My DUA(s), Un-Finished, Submitted, Pending Action(s), Approved, Expired, Closed, Denied, Re-Assign DUA(s), Change Contact, Ad Hoc Request, Search, DUA Search, My Access, Manage Access (circled in red), My Preference(s), Email Preference, and Exit EPPE. The main content area displays a welcome message: 'Welcome to EPPE' and 'EPPE is an application that streamlines the process of requesting data from the Centers for Medicare & Medicaid Services (CMS) via an online Data Use Agreement (DUA)'. Below this, there are 'Goals' and 'Training Materials' sections. The user is logged in as 'DUA REQUESTER'.

Select the **Manage Access** option on the **My Access** menu.

DUA Requester – Manage Access

EPPE Roles Display

MANAGE ACCESS

My Roles

Organization Name	Role	Data Dissemination System	Remove
CENTERS FOR MEDICARE and MEDICAID SERVICES (CMS)	CMS CONTACT (COR)		Remove
CENTERS FOR MEDICARE and MEDICAID SERVICES (CMS)	DATA ENTRY		Remove
CENTERS FOR MEDICARE and MEDICAID SERVICES (CMS)	NON DUA DATA ENTRY		Remove
CENTERS FOR MEDICARE and MEDICAID SERVICES (CMS)	PAYMENT COORDINATOR		Remove
CENTERS FOR MEDICARE and MEDICAID SERVICES (CMS)	RESEARCHER DUA MANAGEMENT TEAM		Remove
CENTERS FOR MEDICARE and MEDICAID SERVICES (CMS)	CONTRACTOR DUA MANAGEMENT TEAM		Remove
CENTERS FOR MEDICARE and MEDICAID SERVICES (CMS)	RESEARCH DATA ASSISTANCE CENTER (ResDAC)		Remove
CENTERS FOR MEDICARE and MEDICAID SERVICES (CMS)	NON-DUA VIEWER		Remove
CENTERS FOR MEDICARE and MEDICAID SERVICES (CMS)	EPPE ADMINISTRATOR		Remove
UNIVERSITY OF CHICAGO	DUA VIEWER		Remove
JOHNS HOPKINS UNIVERSITY (JHU)	DUA REQUESTER		Remove

Select an option *

Request Additional Role ?

Proxy Role ?

Next

1. The Roles and Organization Names to which you have access are displayed.
2. Select the Proxy Role radio button.
3. Select the **Next** button.

DUA Requester – Proxy Assignment

MANAGE PROXY ROLE

MANAGE PROXY ROLE

Required fields are marked with an asterisk (*).

Select Organization*: ?

Select Name*: ?

Start Date*: End Date:

Current Proxy Table *

Current proxy roles

First Name	Last Name	Proxy Start Date	Proxy End Date	Action
------------	-----------	------------------	----------------	--------

Manage Proxy page is displayed for user to populate.

DUA Requester – Proxy Assignment

MANAGE PROXY ROLE

MANAGE PROXY ROLE

Required fields are marked with an asterisk (*).

Select Organization *: Video Training Company 1 ?

Select Name *: REQ UserFour ?

Start Date *: 09/24/2018

End Date :

Add

Selected Proxy Request *

	Proxy Name	Start Date	End date	Action
1	REQ UserThree	09/24/2018		Remove
2	REQ UserFour	09/24/2018		Remove

Submit

1. Requester selects organization.
2. Select Proxy's name.
3. Select start and end date. The end date is an optional field.
4. Select "Add" and "Submit."

DUA Requester – Proxy Assignment

MANAGE PROXY ROLE

Current Proxy Table *

Search:

Current proxy roles

First Name	Last Name	Proxy Start Date	Proxy End Date	Action
REQ	UserThree	09/24/2018		Edit / Delete
REQ	UserFour	09/24/2018	09/24/2019	Edit / Delete

Showing 1 to 2 of 2 entries

[Quit](#) [Previous](#)

1. Once the Proxy Role requests have been submitted they will appear in a “Current Proxy Table.”
2. The Requester can “Quit” and will be returned to the EPPE homepage.

DUA Requester – Proxy Assignment

PROXY ROLE

PROXY PRIVILEGES

- A requester can assign up to two proxies to work on their behalf at a given timeframe.
- The requester proxy can create, update/amend, close and extend a DUA on behalf of a requester.
- The requester proxy will be able to take action on all DUAs of a requester while working as their proxy.
- Once the requester proxy assignment ends they will no longer have access to the DUAs they created, updated/amended, closed or extended on behalf of a requester.
- A requester proxy can work as a proxy for multiple requesters.

EMAIL PREFERENCES

DUA Requester – Manage Email Preferences

EPPE Menu

The screenshot shows the EPPE (Enterprise Privacy Policy Engine) interface. The top navigation bar includes 'CMS.gov My Enterprise Portal', 'My Apps', 'User Name', 'Help', and 'Log Out'. The main header reads 'Enterprise Privacy Policy Engine'. On the left, a sidebar menu lists various options: 'EPPE Home', 'DUA(s)', 'New / Re-Use', 'Update / Amend', 'Close', 'Extend', 'My DUA(s)', 'Un-Finished', 'Submitted', 'Pending Action(s)', 'Approved', 'Expired', 'Closed', 'Denied', 'Re-Assign DUA(s)', 'Change Contact', 'Ad Hoc Request', 'Search', 'DUA Search', 'My Access', 'Manage Access', 'My Preference(s)', 'Email Preference' (circled in red), and 'Exit EPPE'. The main content area displays a 'Welcome to EPPE' message, stating that EPPE streamlines the process of requesting data from CMS via an online Data Use Agreement (DUA). It lists goals such as reducing processing time, transitioning from paper-based to automated processes, and providing a 100% traceable record of CMS data disclosures. Training materials are also mentioned, including slide decks for Contractor Approval Workflow. The version number 'Version 27.0' is visible in the bottom right corner of the main content area. The user is logged in as 'DUA REQUESTER'.

Select the **Email Preference** option on the **My Preference(s)** menu.

DUA Requester – Manage Email Preferences

Select Email Preference

EMAIL PREFERENCE

Select Email Preference

Disable automated emails from EPPE ?

Enable automated emails from EPPE ?

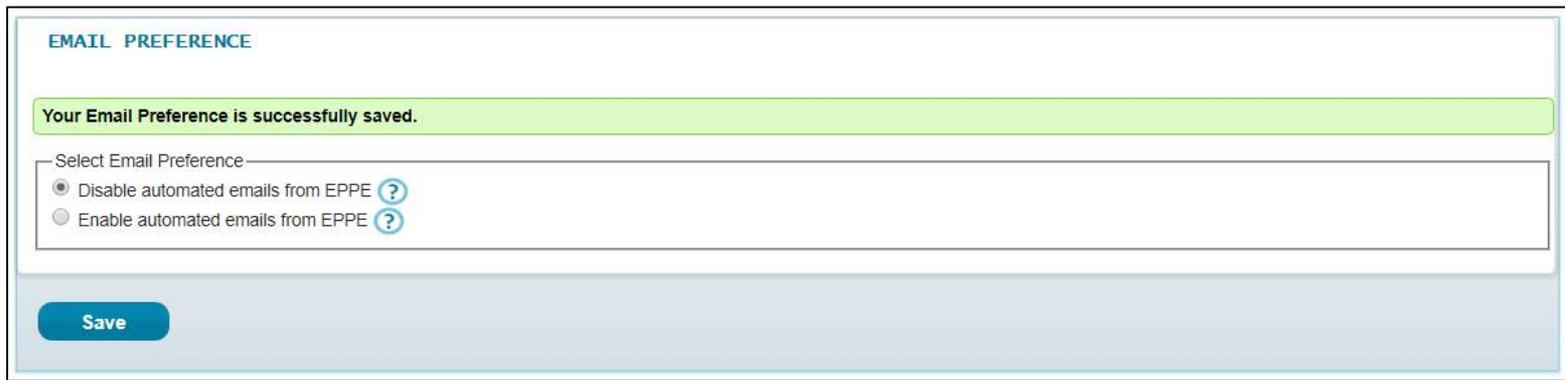
Save

1. The Email Preference screen displays.
2. The **Enable Automated Emails from EPPE** radio button is selected by default.
3. Select the **Disable Automated Emails from EPPE** to stop receiving emails.
4. Select the **Save** button.

Note: If you disable email notifications, you will still receive emails notifying you of expiring DUAs and DUAs that have closure actions [file(s) closed on a DUA or the DUA is closed].

DUA Requester – Manage Preferences

Email Preference Change Acknowledgment



EMAIL PREFERENCE

Your Email Preference is successfully saved.

Select Email Preference

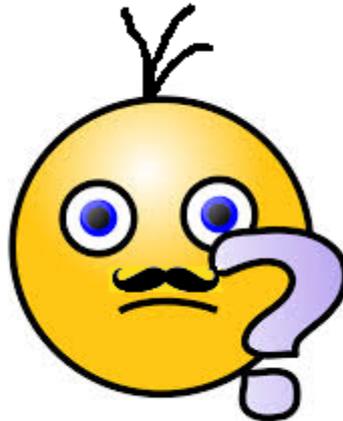
Disable automated emails from EPPE ?

Enable automated emails from EPPE ?

Save

1. The **Email Preference** Screen displays with the request Confirmation Message, ***“Your Email Preference is successfully saved.”***
2. You can change the selection and select **Save**.

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