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

Enterprise Privacy Policy Engine (EPPE)

Contractor Approval Workflow Training Module - Update DUA New & Re-Use Data Files

Training Topics

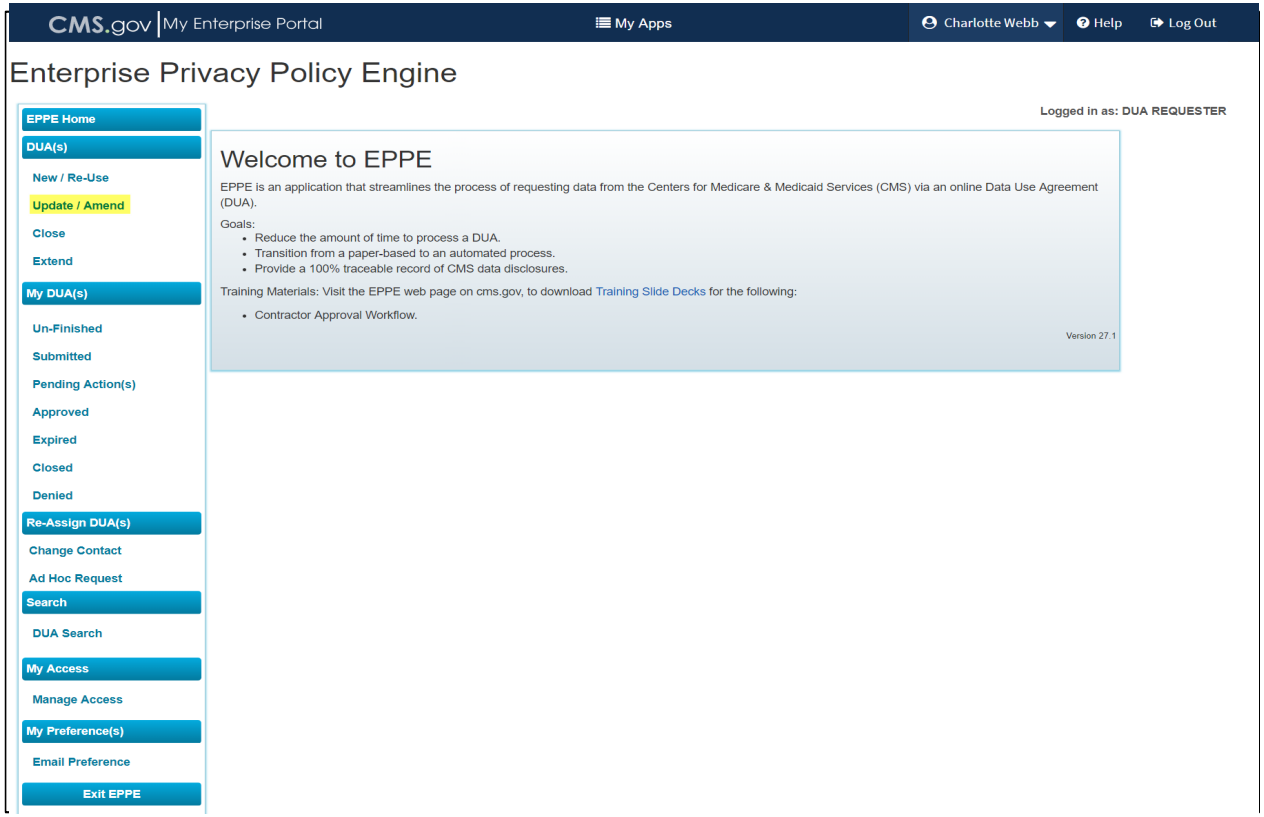
Training Topics in this Module

- Update/Amend DUA
  - New Data Files
  - Re-Use Data Files

UPDATE/AMEND A DUA

DUA Requester – Update/Amend

EPPE Menu



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

DUA Requester – Update/Amend

List of DUAs Eligible to Update

DUA

UPDATE DUA

PLEASE SELECT ONE OF THE DUA TO UPDATE

Search:

DUA Number	Organization	Requester	Request Date	Status	
CONT-2018-53372	NORTH CAROLINA STATE UNIVERSITY	Taraji Henson	1-5-2018	Approved	View
CONT-2018-54153	NORTH CAROLINA STATE UNIVERSITY	Taraji Henson	2-21-2018	Approved	View

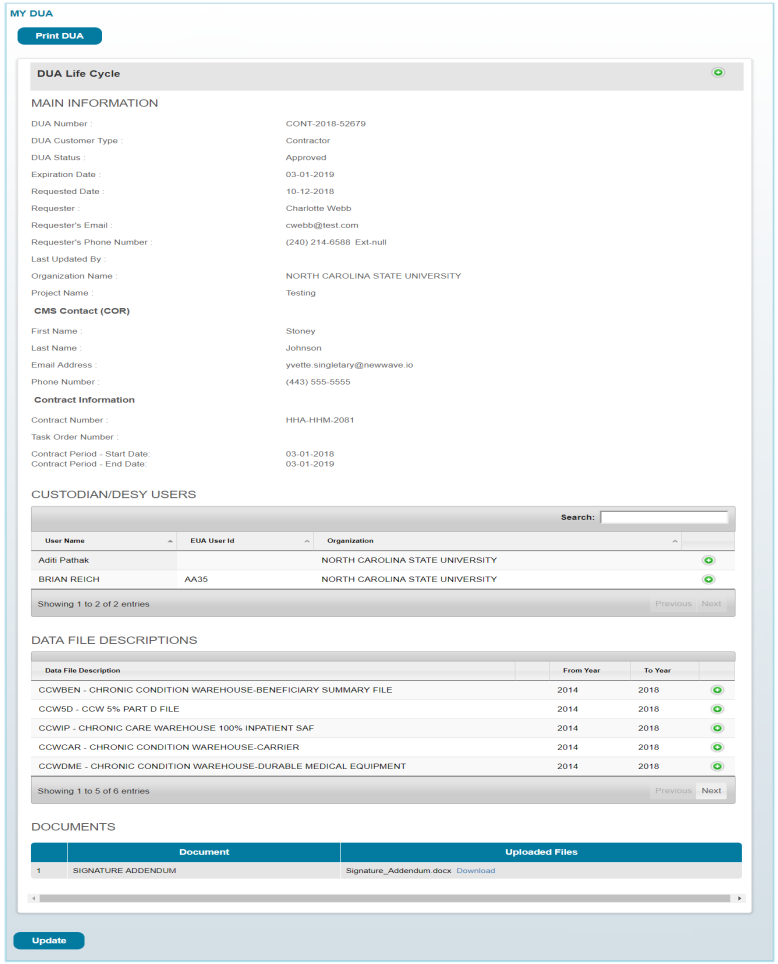
Showing 1 to 2 of 2 entries Previous Next

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@test.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.singletary@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
CCWBEN - CHRONIC CONDITION WAREHOUSE-BENEFICIARY SUMMARY FILE	2014	2018
CCW5D - CCW 5% PART D FILE	2014	2018
CCWIP - CHRONIC CARE WAREHOUSE 100% INPATIENT SAF	2014	2018
CCWCAR - CHRONIC CONDITION WAREHOUSE-CARRIER	2014	2018
CCWDME - CHRONIC CONDITION WAREHOUSE-DURABLE MEDICAL EQUIPMENT	2014	2018

Showing 1 to 5 of 6 entries Previous Next

DOCUMENTS

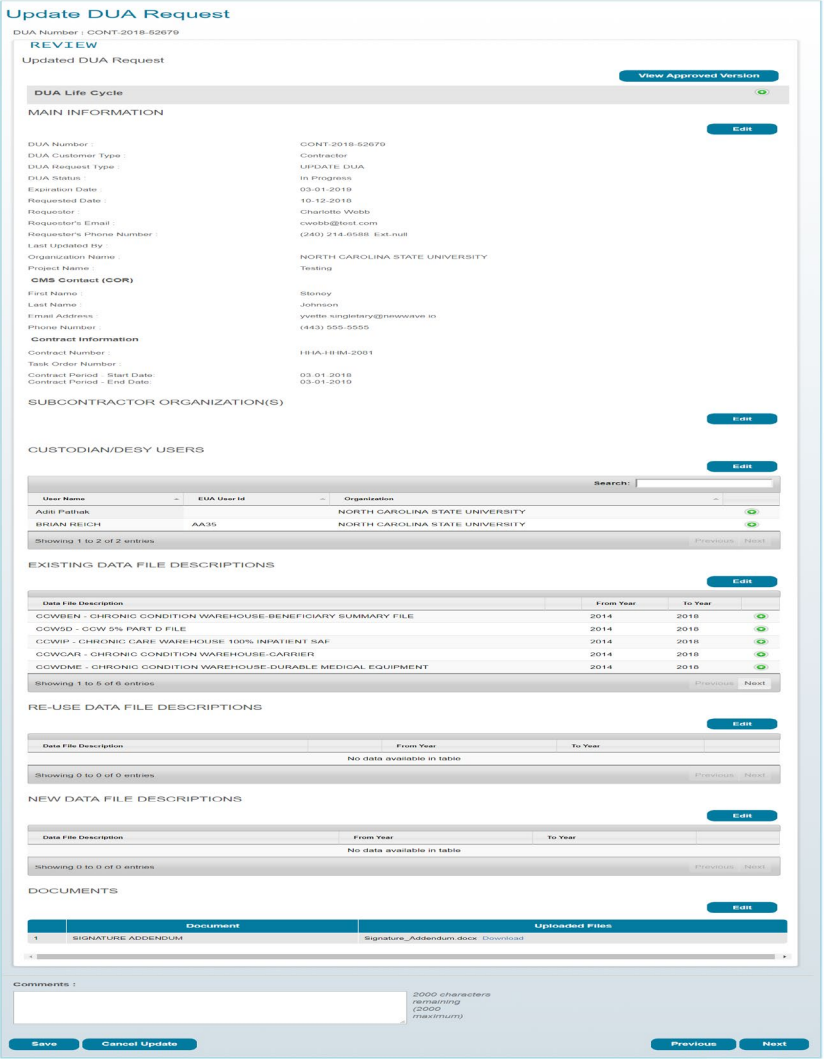
	Document	Uploaded Files
1	SIGNATURE ADDENDUM	Signature_Addendum.docx Download

Update

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

DUA Requester – Update/Amend

DUA Review Screen Displays

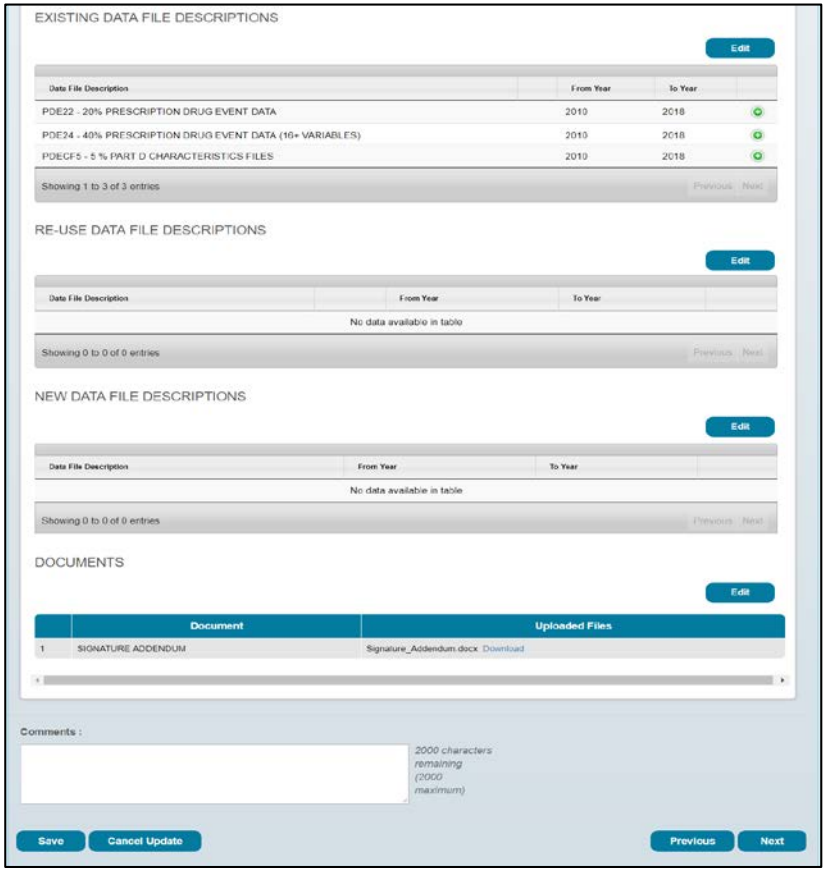


1. The **Update DUA Request** Review screen displays on this slide with the following editable sections:
   - **Main Information**
   - **Subcontractor Organization(s)**
   - **Custodian/DESY Users**
   - **Existing Data File Descriptions**
   - **Re-use Data File Descriptions**
   - **New Data File Descriptions**
   - **Documents**
   - **Comments**

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

DUA Requester – Update/Amend

DUA Review Screen Displays

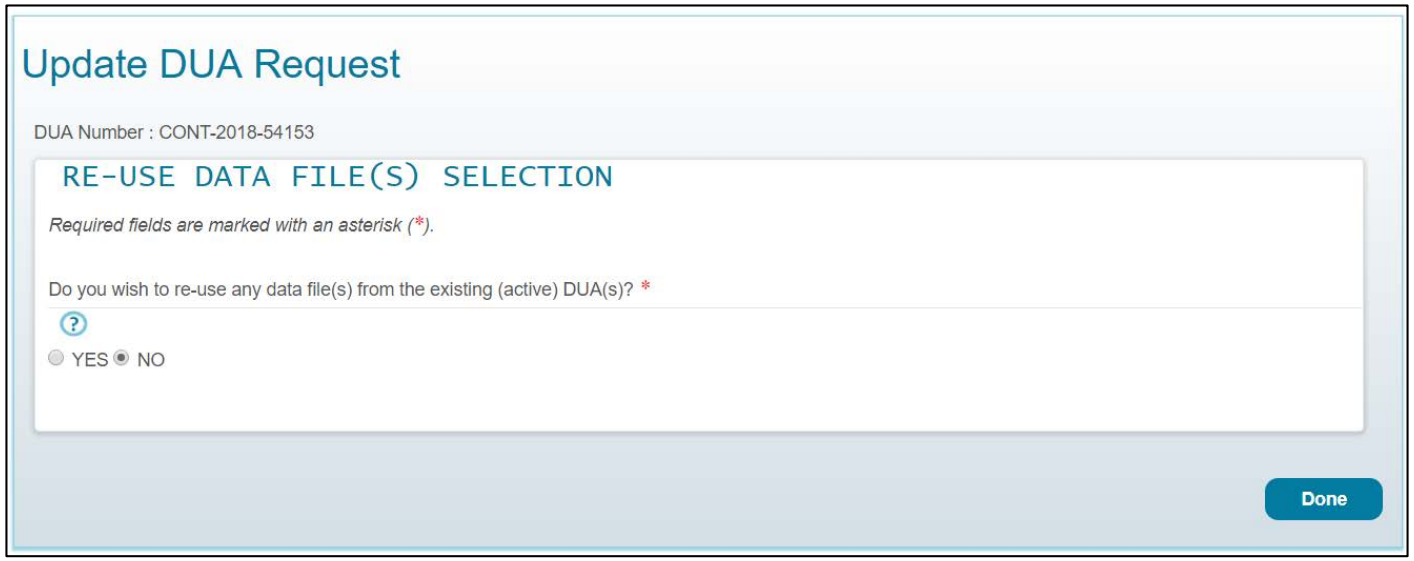


The second half of the **Update DUA Request** Review screen is displayed here with the following editable sections:

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

DUA Requester – Update/Amend

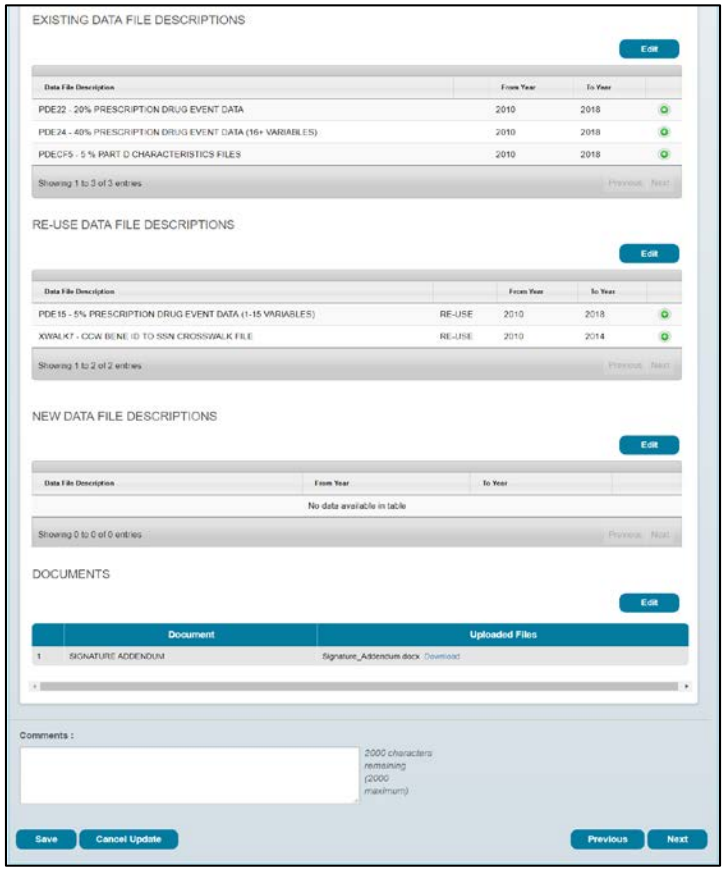
Edit DUA: Re-use Data Files



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

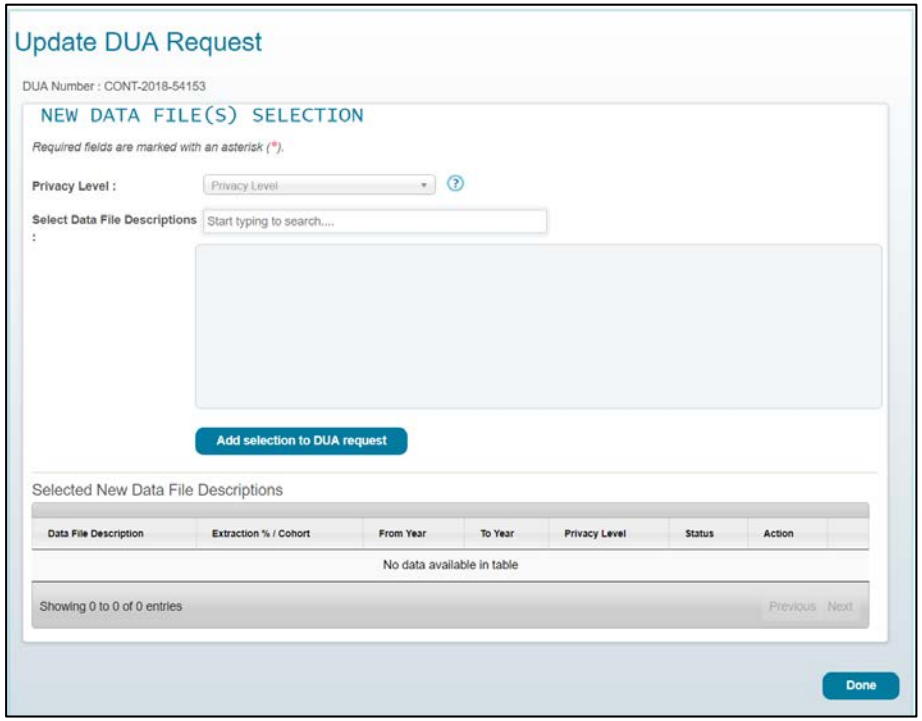
Edit DUA: Add New Data Files



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

DUA Requester – Update/Amend

Edit DUA: Add New Data Files



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 : IDENTIFIABLE

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

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

Add selection to DUA request

Selected New Data File Descriptions

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

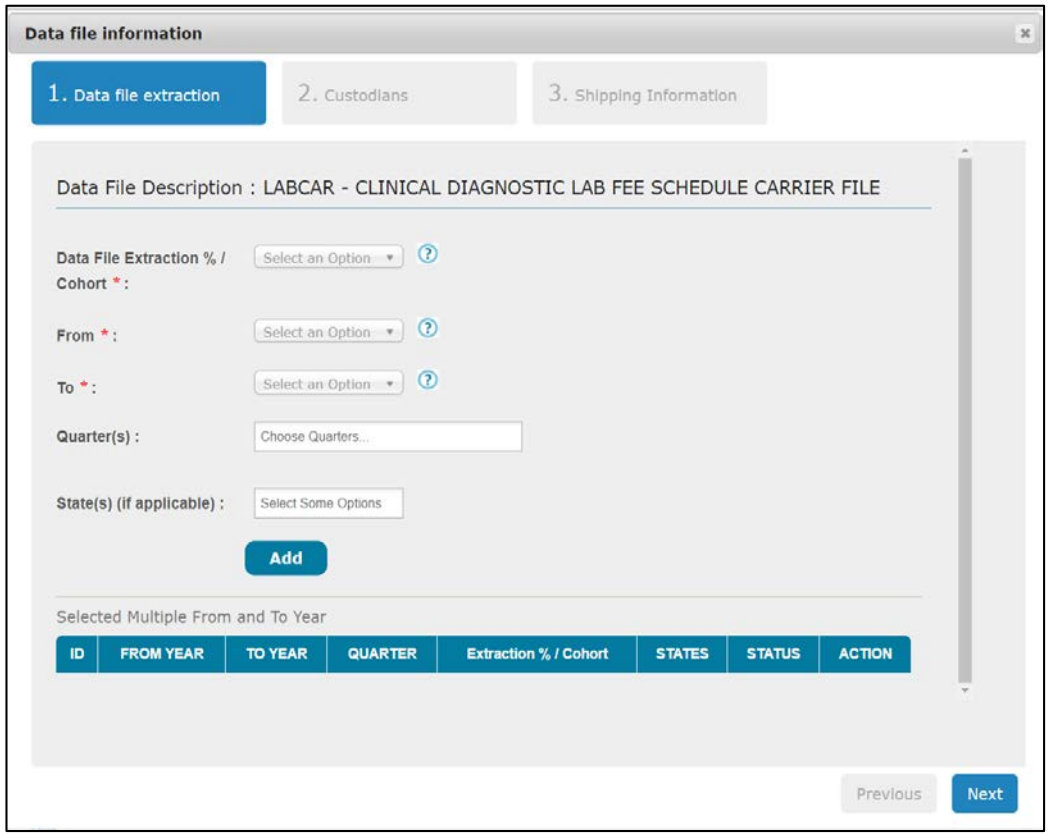
Showing 1 to 2 of 2 entries Previous Next

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

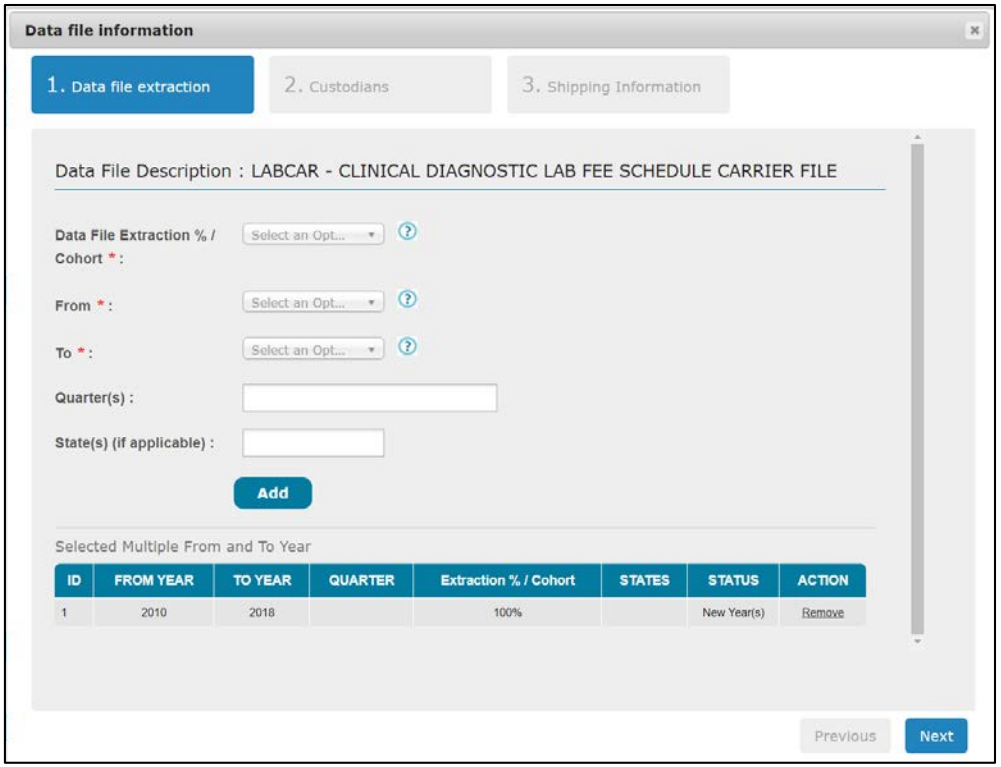


1. The **Data File Extraction** pop-up screen displays.
2. Select the **Data File Extraction % / Cohort**.
3. Select the **From** year.
4. Select the **To** year.
5. Choose any **Quarters** (optional).
6. Select any **States** (optional).
7. Select **Add**.

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

DUA Requester – Update/Amend

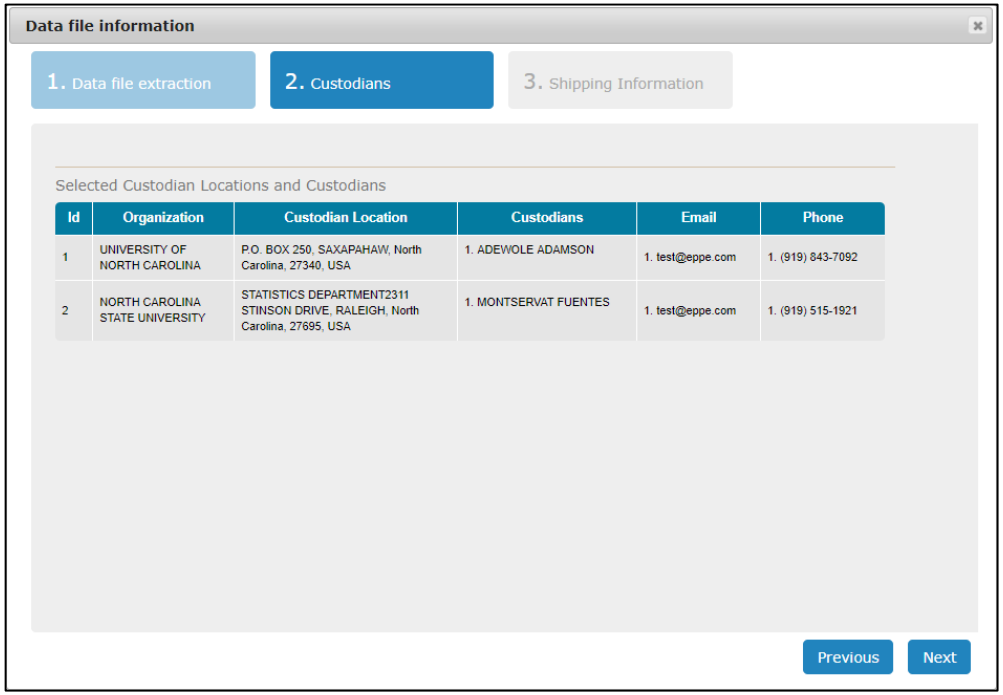
Edit DUA: Add New Data File Extraction Attributes



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



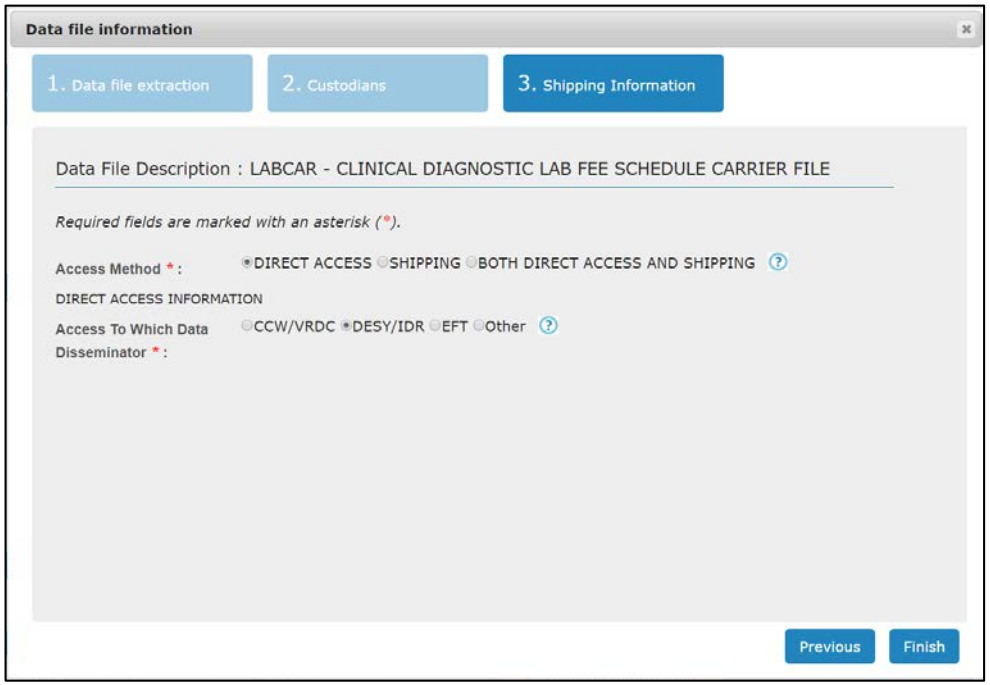
1. The **Custodians** tab displays.
2. The Organization, Custodian Location, and Custodians with their Email and Phone are displayed as view-only in the table.
3. Select **Next**.

Notes:

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

DUA Requester – Update/Amend

Edit DUA: Add New Data Files Shipping Information

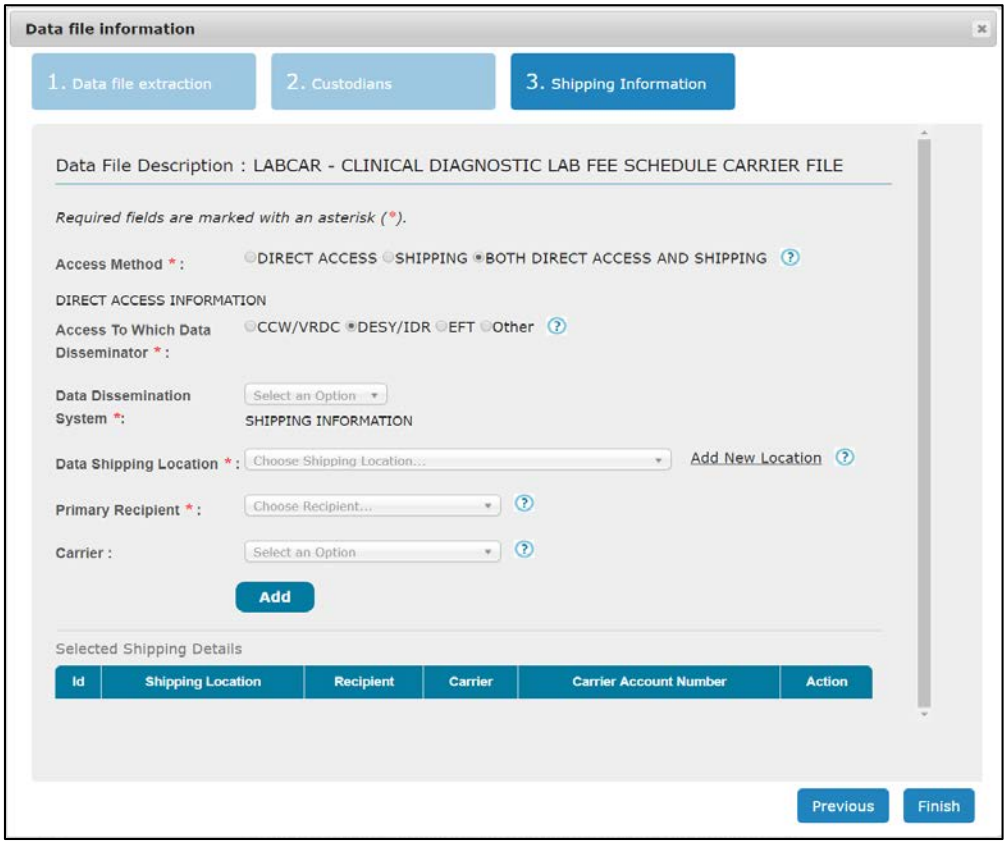


1. The **Shipping Information** tab on the Data File Information tab displays.
2. Select the appropriate **Access Method**.

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

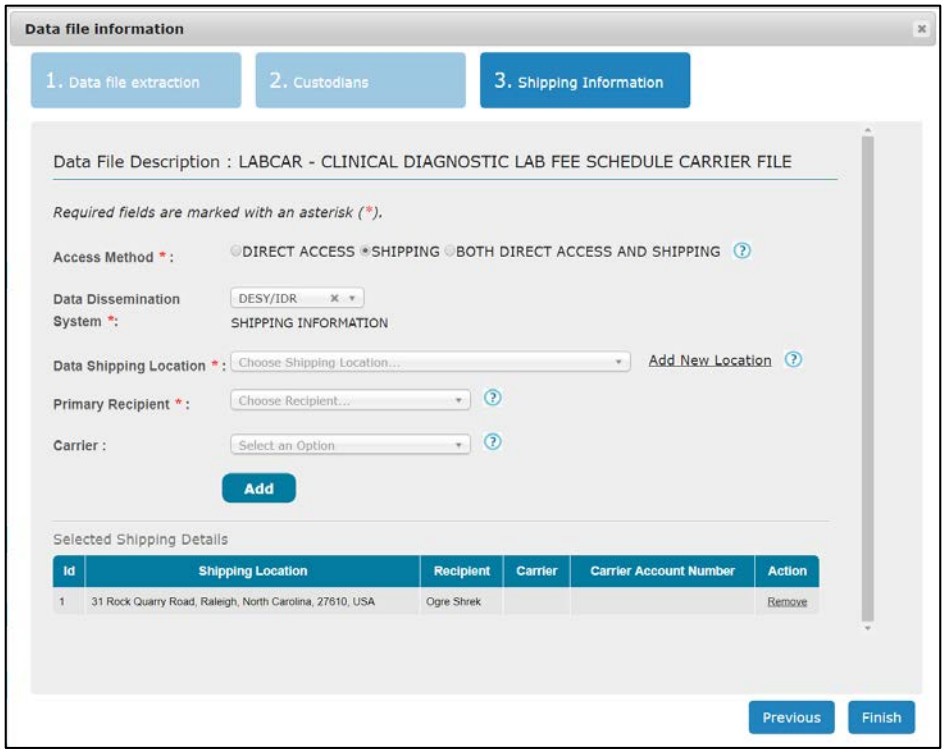
Edit DUA: Add New Data Files Shipping Information



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



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

DUA Requester – Update/Amend

Edit DUA: Data File Attributes for First File is Complete

Update DUA Request

DUA Number : CONT-2018-54153

NEW DATA FILE(S) SELECTION

Required fields are marked with an asterisk (*).

Privacy Level : IDENTIFIABLE

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

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

Add selection to DUA request

Selected New Data File Descriptions

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

Showing 1 to 2 of 2 entries Previous Next

Done

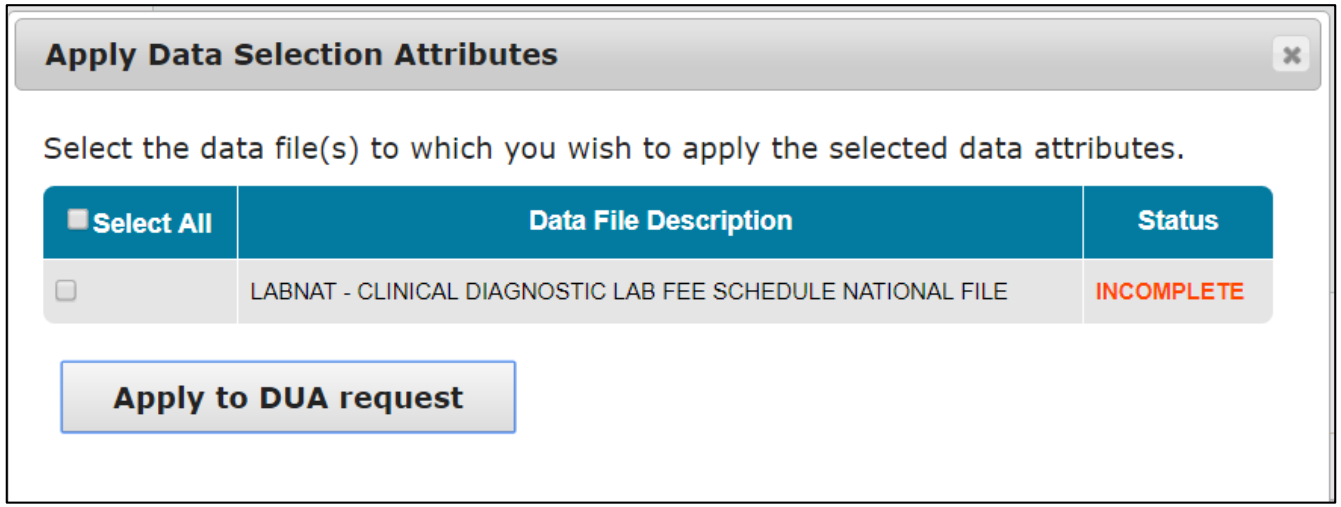
1. The first file's status is **Complete**.
2. Select the **Apply All** link to apply the same attributes to all the files, ***or***
3. Select the **Edit** link to enter attributes for each file.

Notes:

- The **Apply All** link will only display if the DUA has multiple files. It displays once data file attributes for the first data file selection have been completed.
- If the data file attributes should be different for the files, individual editing is available by selecting the **Edit** link.

DUA Requester – Update/Amend

Edit DUA: Apply First Data File Attributes to All Files



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%CROSS REFERENCE FILE
- PDE22 - 20% PRESCRIPTION DRUG EVENT DATA
- MTSB - 25% Medicare Test Beneficiary Sample
- PDE24 - 40% PRESCRIPTION DRUG EVENT DATA (16+ VARIABLES)

Add selection to DUA request

Selected New Data File Descriptions

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

Showing 1 to 2 of 2 entries Previous Next

Done

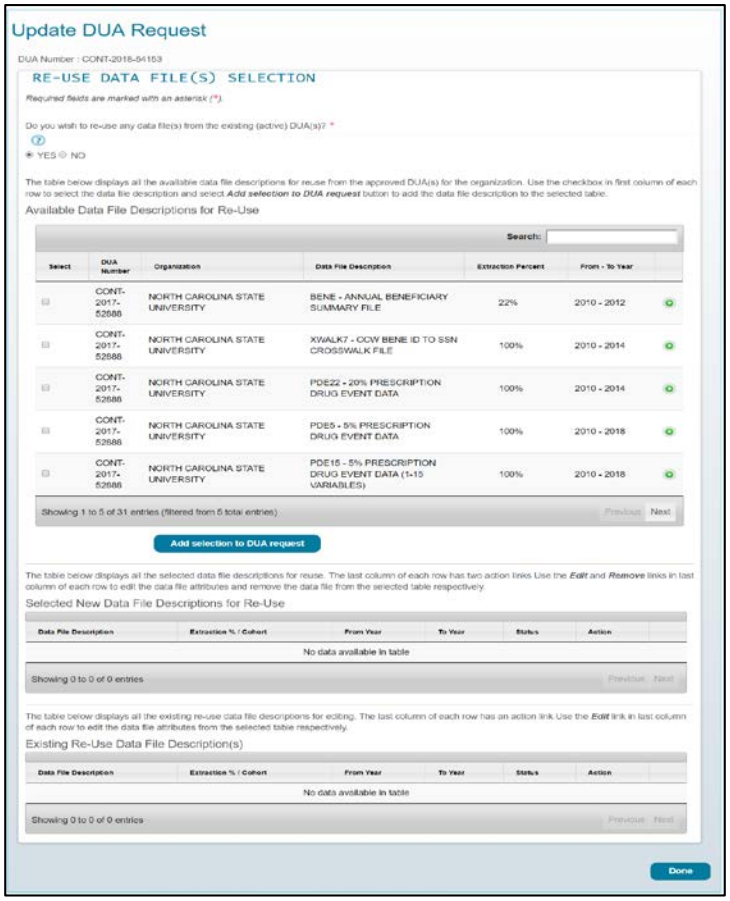
1. The **New Data Files Selection** screen redisplays.
2. The status for all data files is **Complete**.
3. Select the **Done** button.

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: Re-use Data Files

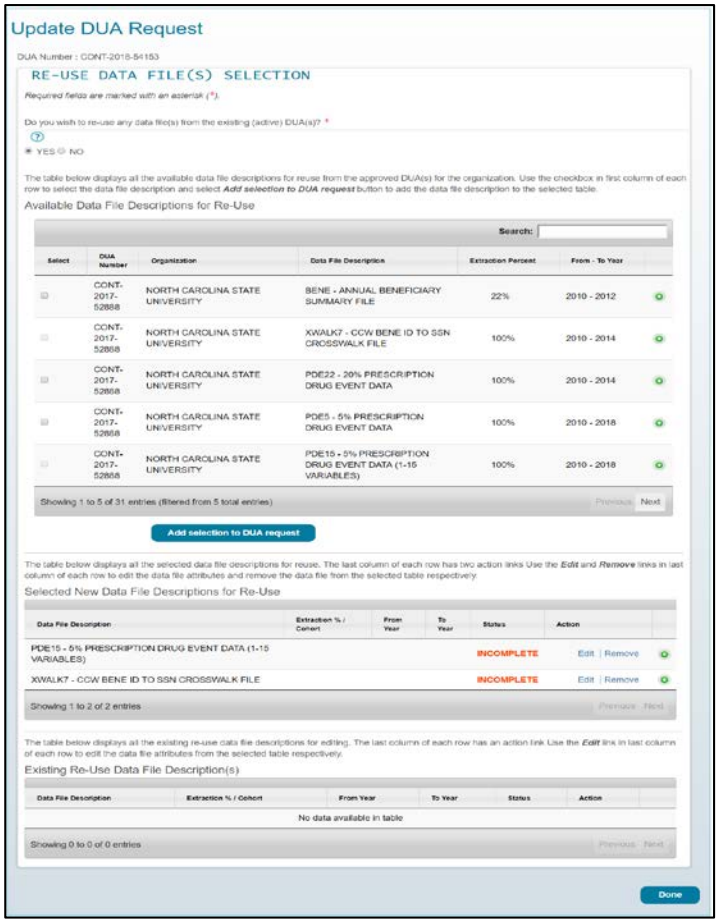


1. The **Re-use Data File(s) Selection** screen displays with files available to select for re-use.
2. From the list at the top of the screen, **Select** files for re-use.
3. Select the **Add Selection to DUA Request** button.

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



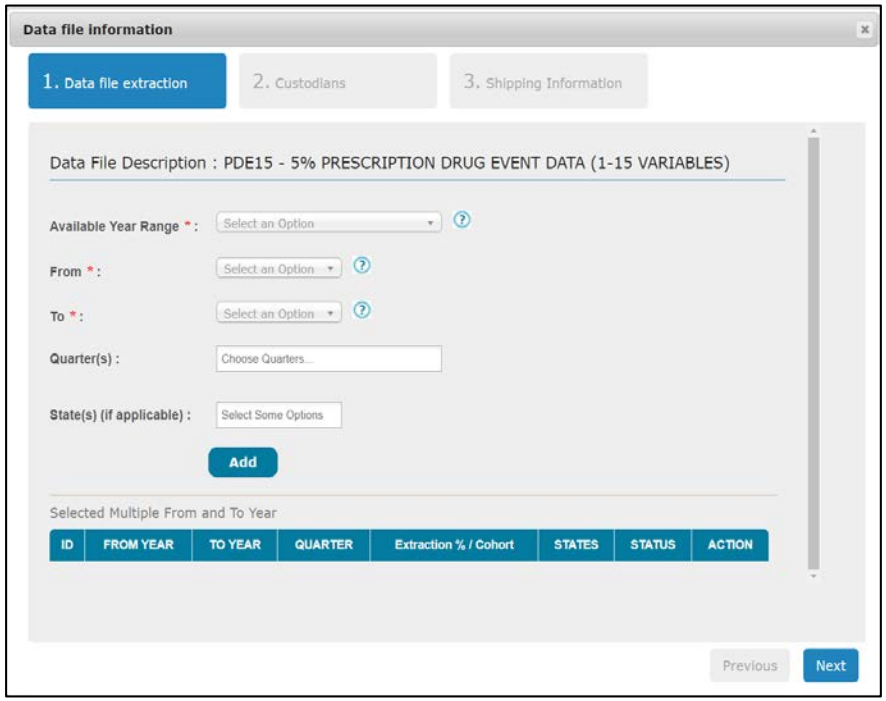
1. The selected data files display in the table below.
2. The file status displays **Incomplete**.
3. Select **Edit** to complete required file attributes.
4. You can select **Remove** to remove the file(s) just added to the table.

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



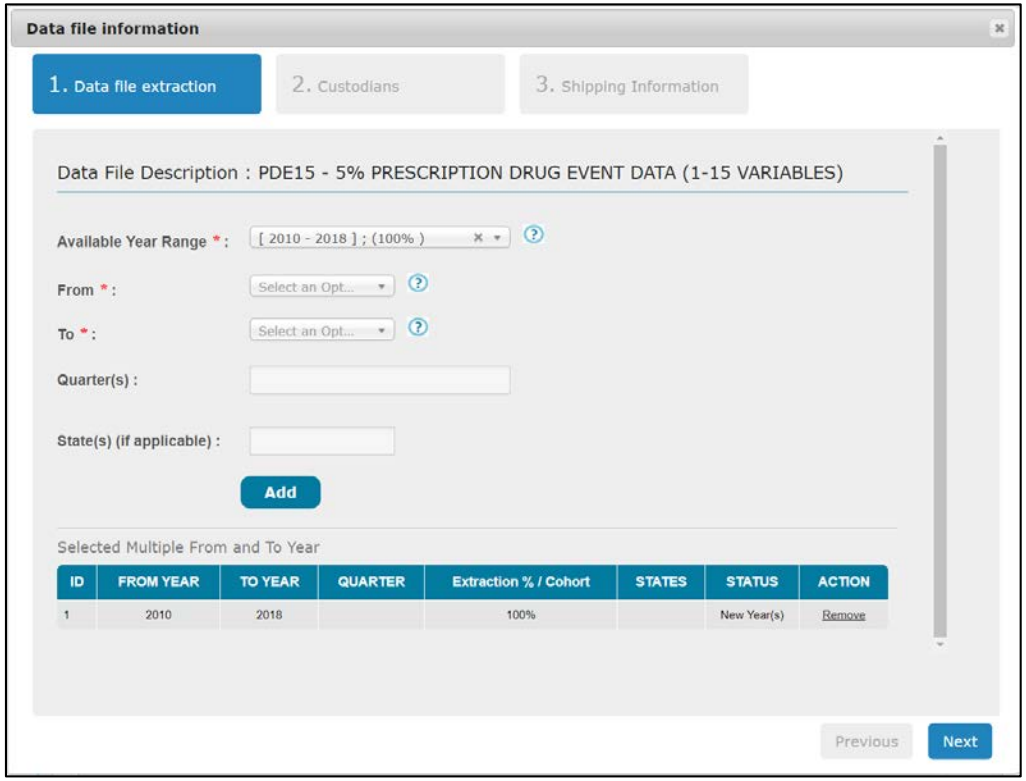
1. The **Data file information** pop-up displays with the **Data file extraction** tab in focus.
2. Select the **Available Year Range**.
3. Select the **From** year.
4. Select the **To** year.
5. Select **Quarters** (optional).
6. Select **States** (optional).
7. Select **Add**.

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

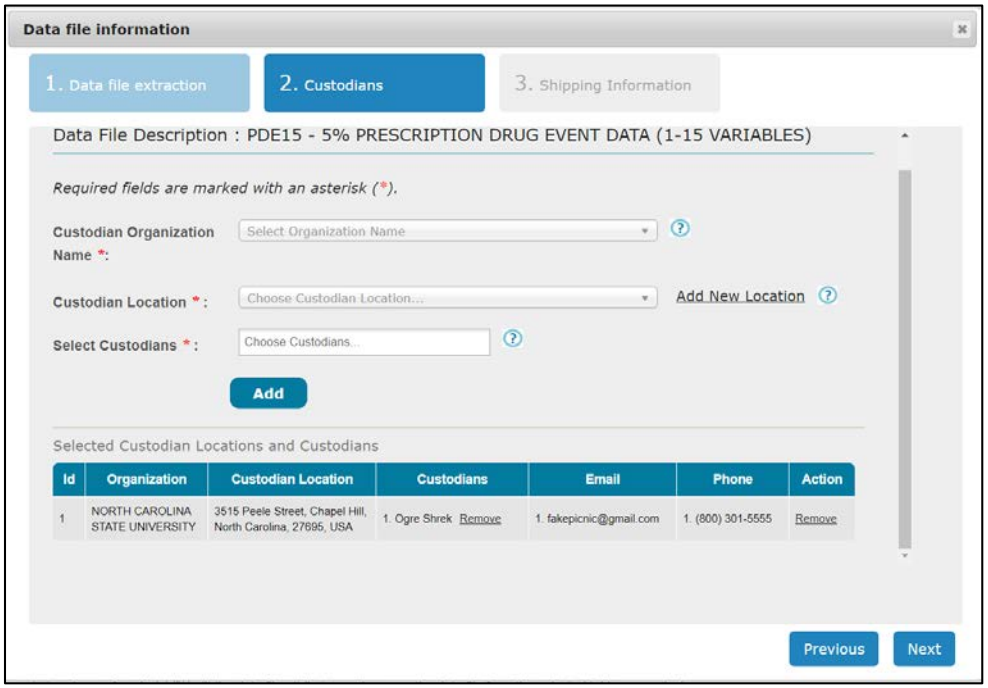
Re-used Data File Extraction Criteria Displays in Table



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

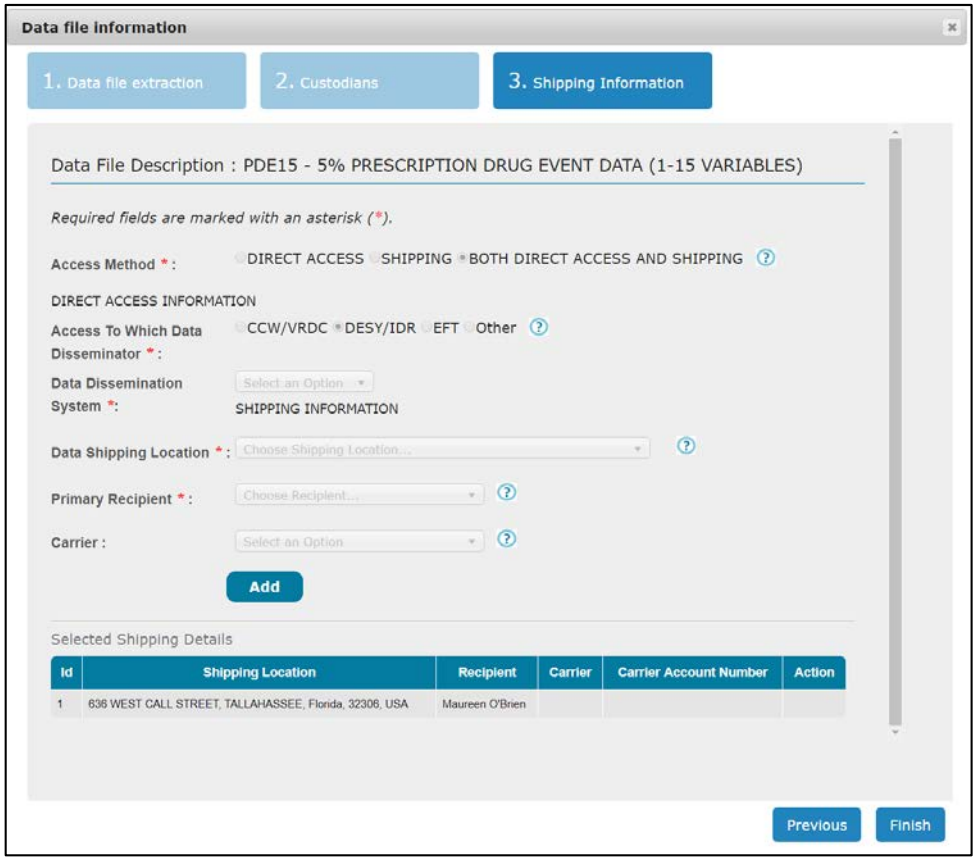


1. The **Custodians** tab displays. In this example the Custodian displays because a **DESY User** was added to the DUA.
2. Select the **Custodian Organization Name**.
3. Select the **Custodian Location**.
4. Select the **Custodian**.
5. Select the **Add** button.
6. Select the **Next** button.

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

DUA Requester – Update/Amend

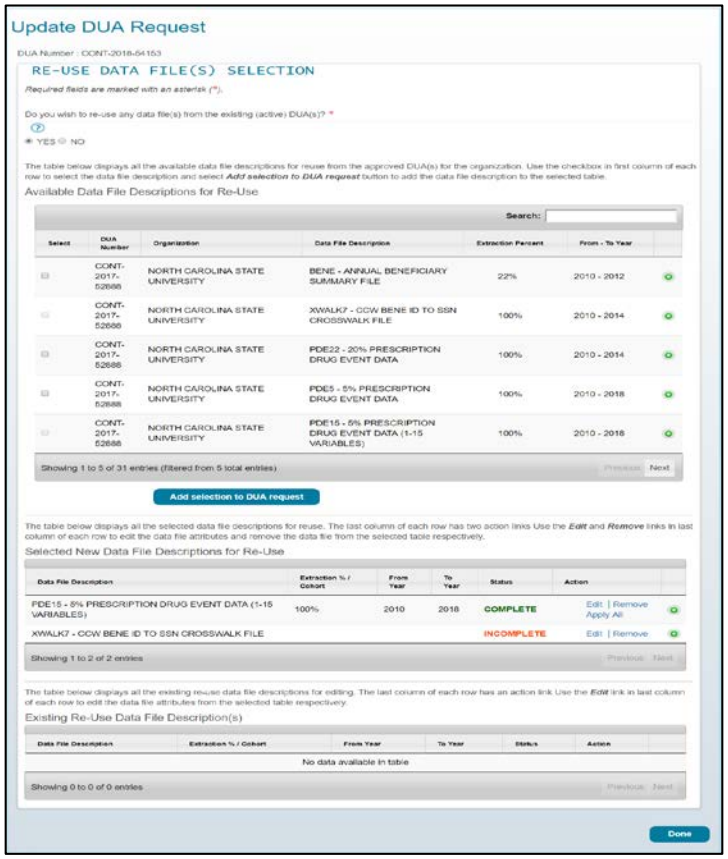
Edit DUA: Re-use Data File Shipping Information



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

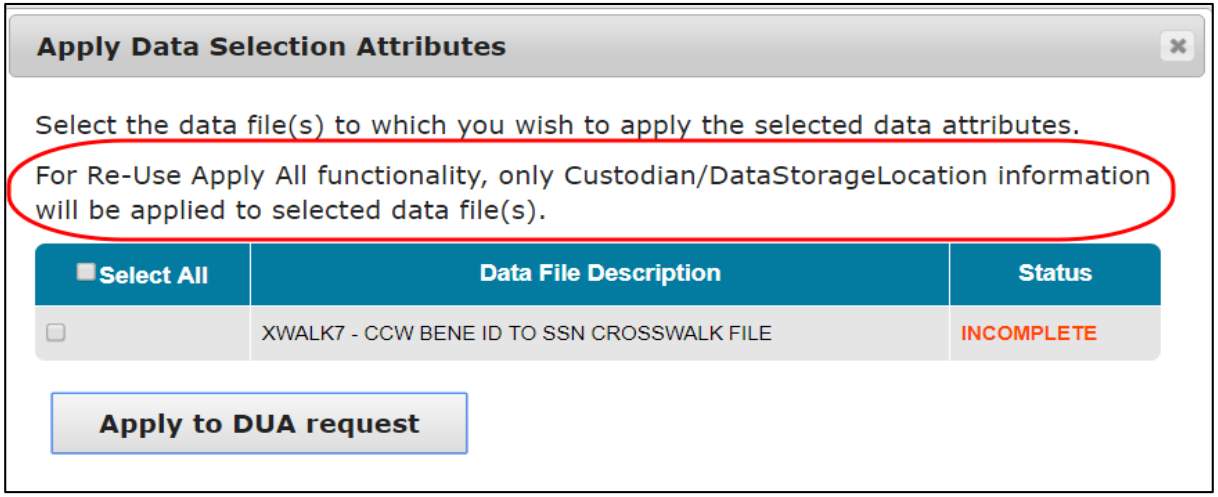
Re-Used Data File Attributes Completed for First File



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

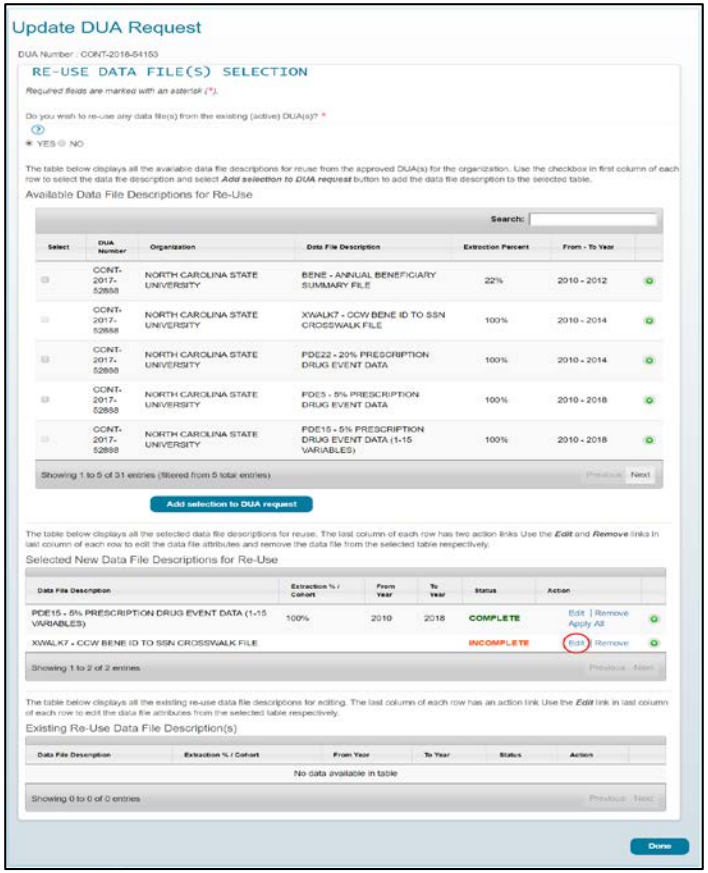


1. The **Apply Data Selection Attributes** pop-up displays.
2. Check the **Select All** checkbox or select the checkbox associated with the applicable files.
3. Select the **Apply to DUA Request** button.

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

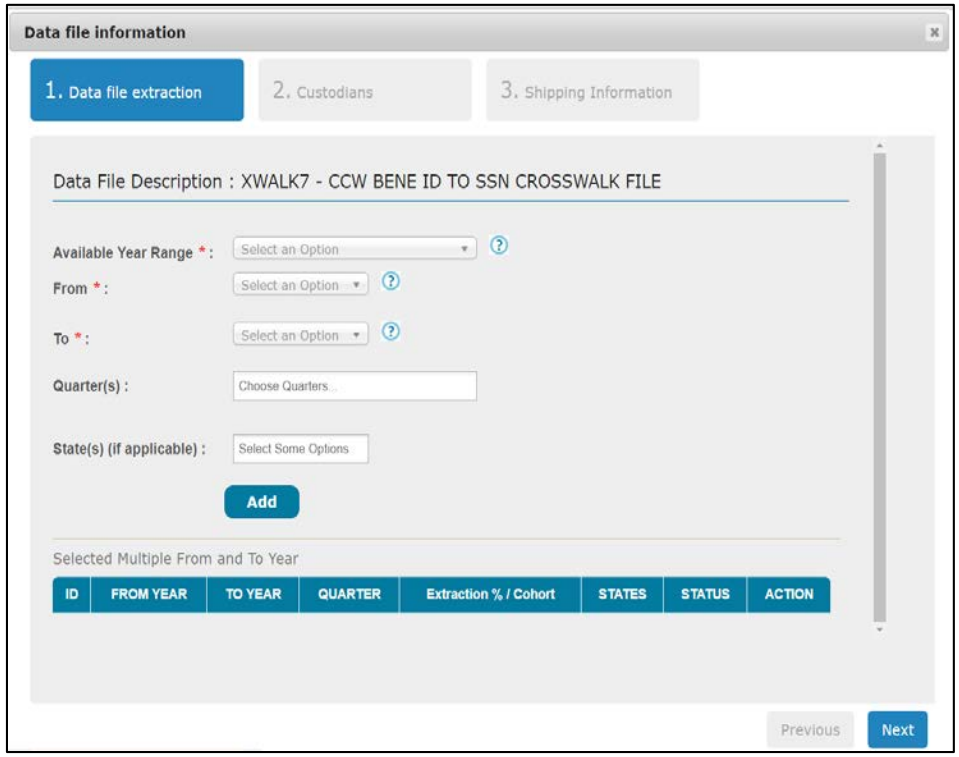


1. The file status for the remaining file(s) displays **Incomplete** (only the Custodian information was updated with the **Apply All** feature).
2. Select the **Edit** link for each file to update the data file extraction information.

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



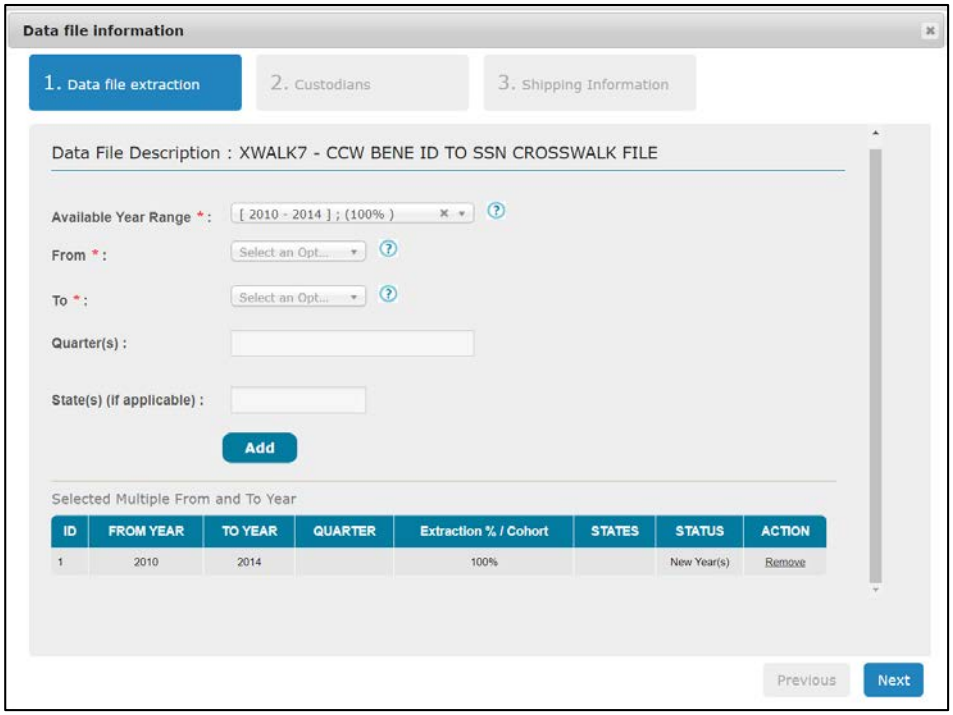
1. The **Data File Extraction** pop-up displays.
2. Select Available **Year Range**.
3. Select the **From** year.
4. Select the **To** year.
5. Select the **Quarters** (optional).
6. Select the **States** (optional).
7. Select **Add**.

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

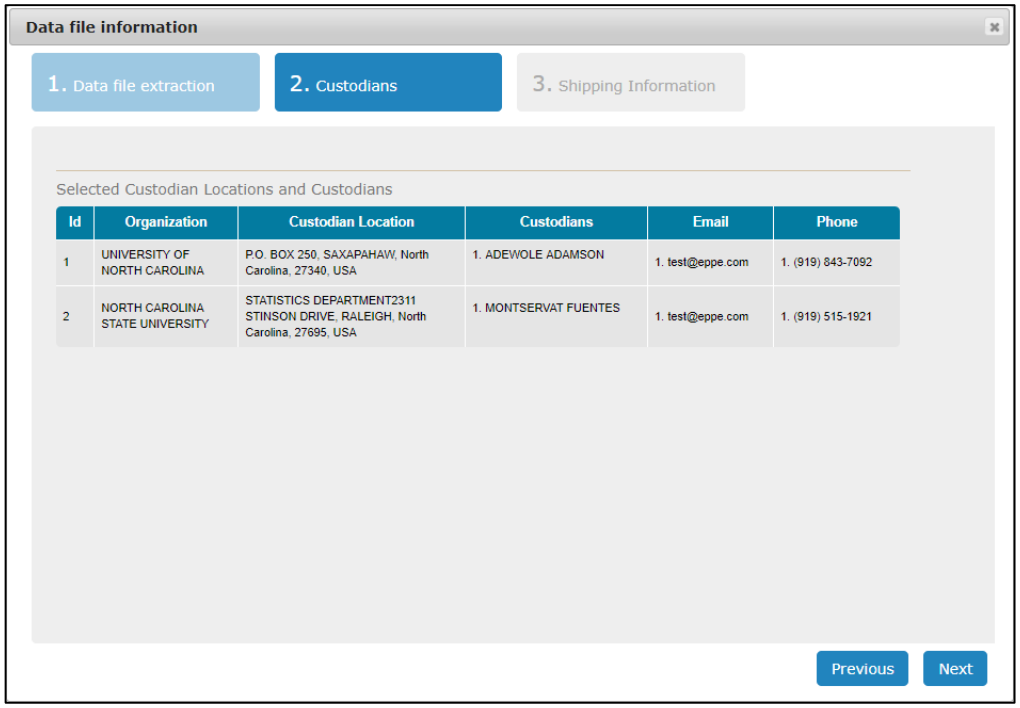
Re-Used Data Files: Continue to Update File(s) to Complete Status



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



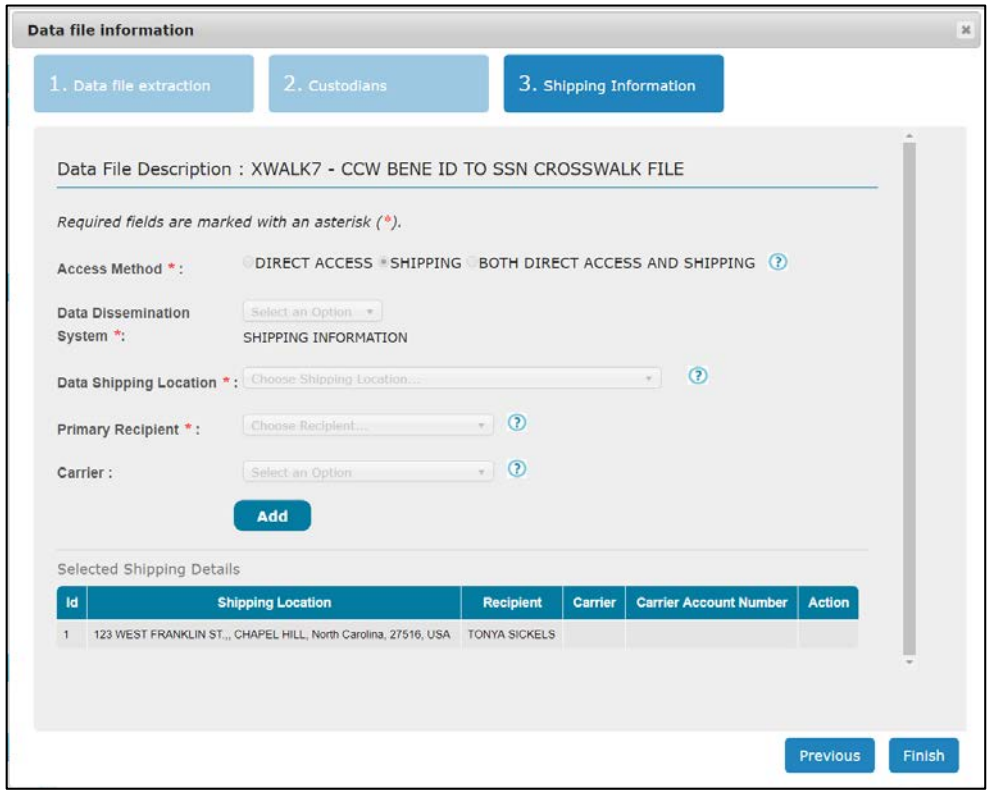
Id	Organization	Custodian Location	Custodians	Email	Phone
1	UNIVERSITY OF NORTH CAROLINA	P.O. BOX 250, SAXAPAHAW, North Carolina, 27340, USA	1. ADEWOLE ADAMSON	1. test@eppe.com	1. (919) 843-7092
2	NORTH CAROLINA STATE UNIVERSITY	STATISTICS DEPARTMENT2311 STINSON DRIVE, RALEIGH, North Carolina, 27695,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

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

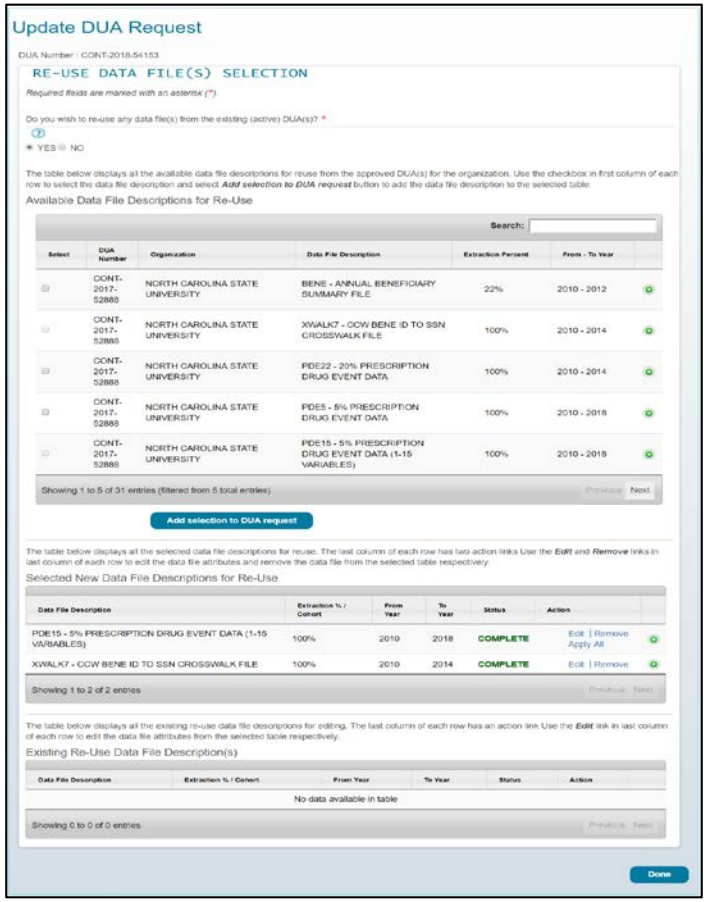
Re-Used Data Files: Continue to Update File(s) to Complete Status



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



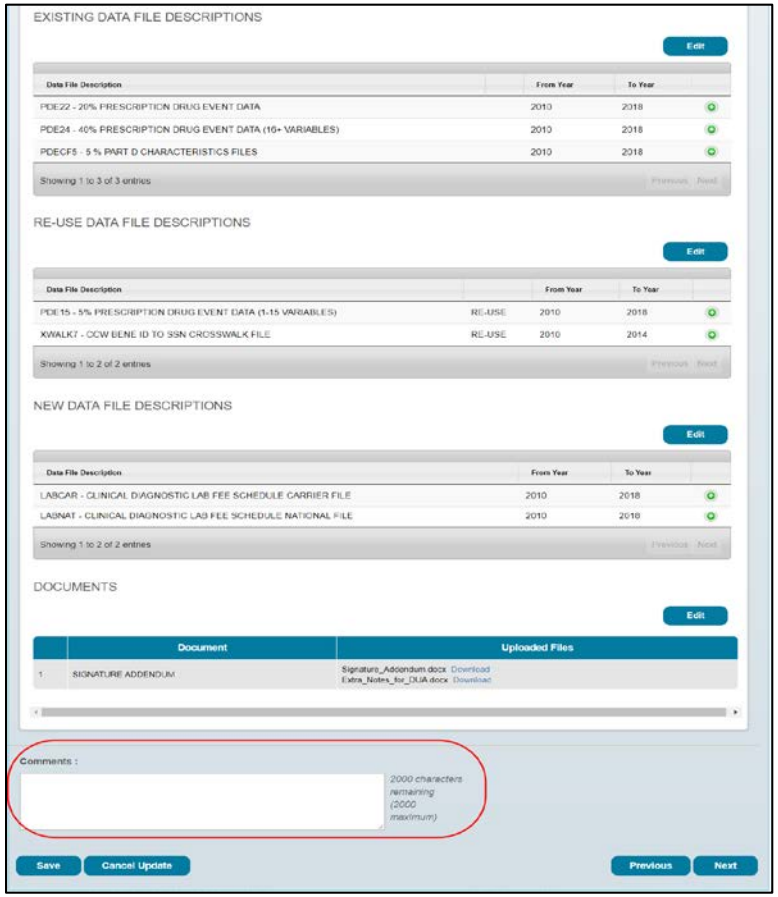
1. The **Re-use Data File** screen redisplays.
2. The status for all files is **Complete**.
3. Select **Done**.

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

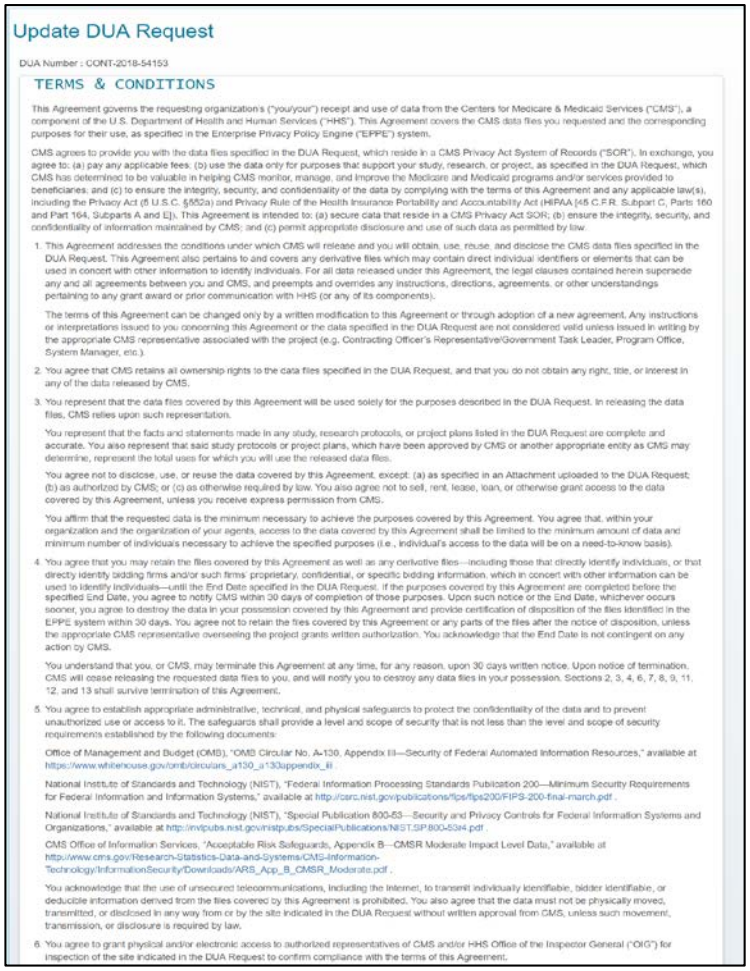
Edit DUA: Add Comments



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

DUA Requester – Update/Amend

Edit DUA: Terms and Conditions



Update DUA Request

DUA Number : CONT-2018-54153

TERMS & CONDITIONS

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

CMS agrees to provide you with the data files specified in the DUA Request, which reside in a CMS Privacy Act System of Records ("SOR"). In exchange, you agree to: (a) pay any applicable fees; (b) use the data only for purposes that support your study, research, or project, as specified in the DUA Request, which CMS has determined to be valuable in helping CMS monitor, manage, and improve the Medicare and Medicaid programs and/or services provided to beneficiaries; and (c) 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 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 bidding 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 .

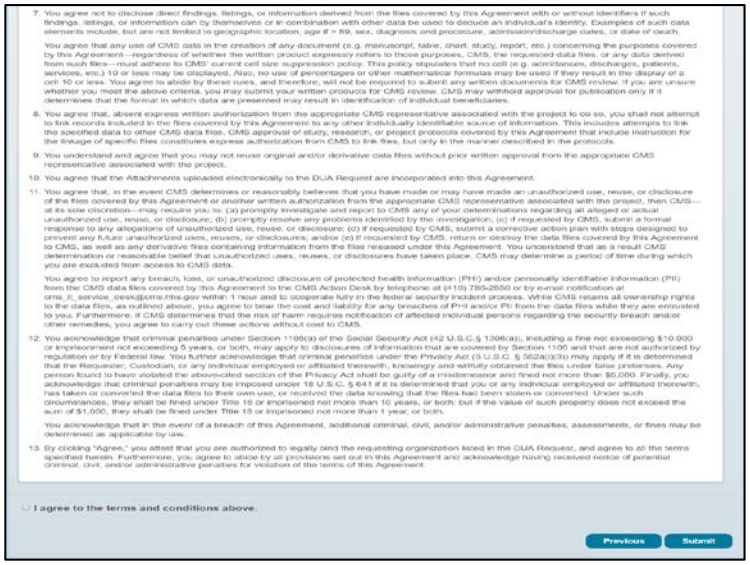
   National Institute of Standards and Technology (NIST), "Federal Information Processing Standards Publication 200—Minimum Security Requirements for Federal Information and Information Systems," available at http://csrc.nist.gov/publications/fips/fips200/FIPS-200-final-march.pdf .

   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.800-53r4.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, bidder identifiable, or deducible information derived from the files covered by this Agreement is prohibited. You also agree that the data must not be physically moved, transmitted, or disclosed in any way from or by the site indicated in the DUA Request without written approval from CMS, unless such movement, transmission, or disclosure is required by law.

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



7. You agree not to disclose direct findings, 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 > 89, 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 an alleged or actual unauthorized use, reuse, or disclosure; (b) promptly resolve any problems identified by the investigation; (c) if requested by CMS, submit a formal response to any allegations of unauthorized use, reuse, or disclosure; (d) if requested by CMS, submit a corrective action plan with steps designed to prevent any future unauthorized uses, reuses, or disclosures; and/or (e) if requested by CMS, return or destroy the data files covered by this Agreement to CMS, as well as any derivative files containing information from the files released under this Agreement. You understand that as a result CMS determination or reasonable belief that unauthorized uses, reuses, or disclosures have taken place, CMS may determine a period of time during which you are excluded from access to CMS data.

    You agree to report any breach, loss, or unauthorized disclosure of protected health information (PHI) and/or personally identifiable information (PII) from the CMS data files covered by this Agreement to the CMS Action Desk by telephone at (410) 786-2580 or by e-mail notification at cms_it_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.§ 1306(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(i)(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 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.

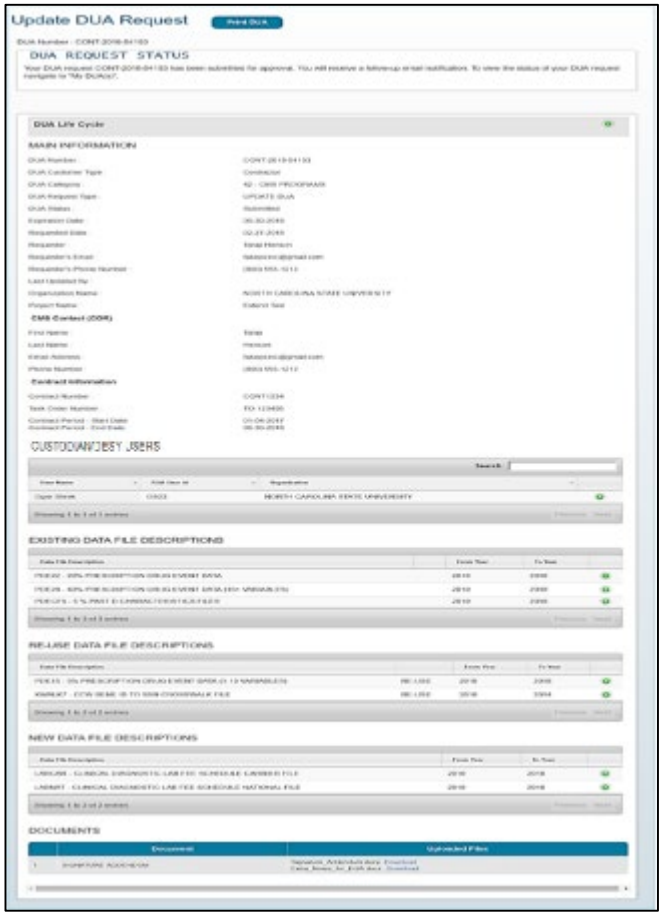
☐ I agree to the terms and conditions above.

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

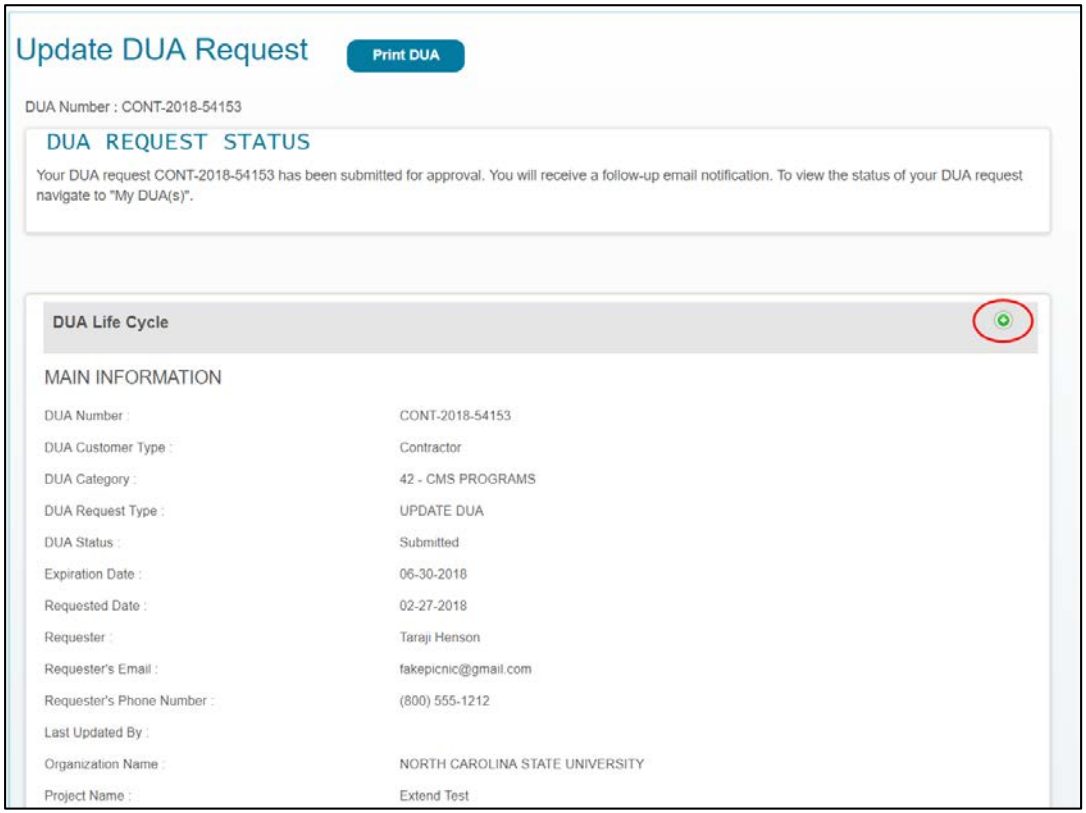
Edit DUA: Submitted Message



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

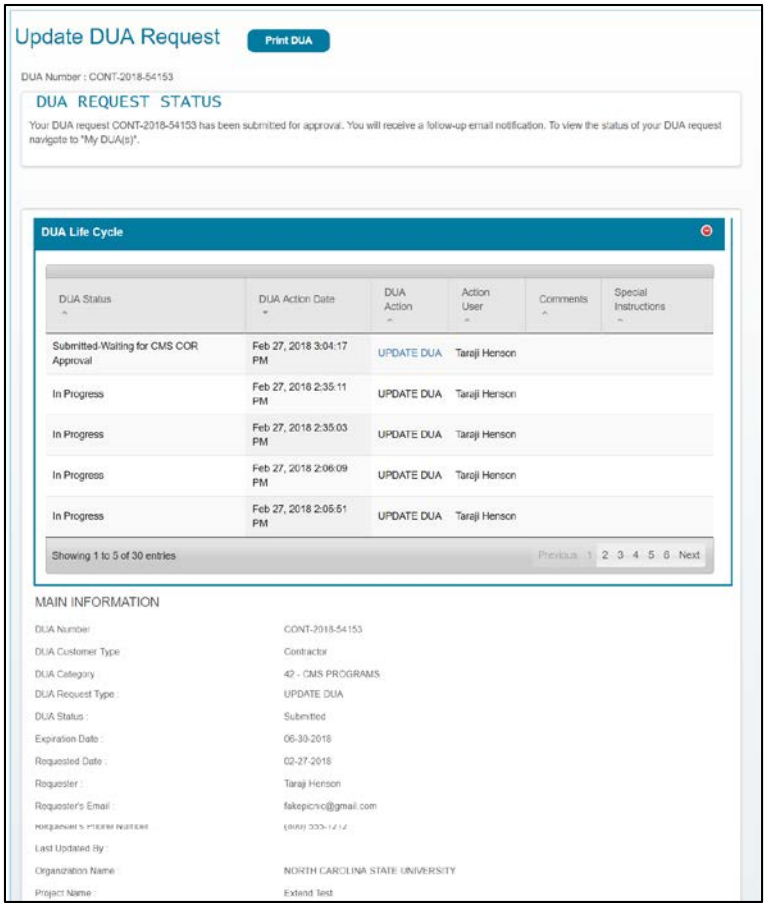
Displaying the DUA Life Cycle



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

DUA Requester – DUA Life Cycle

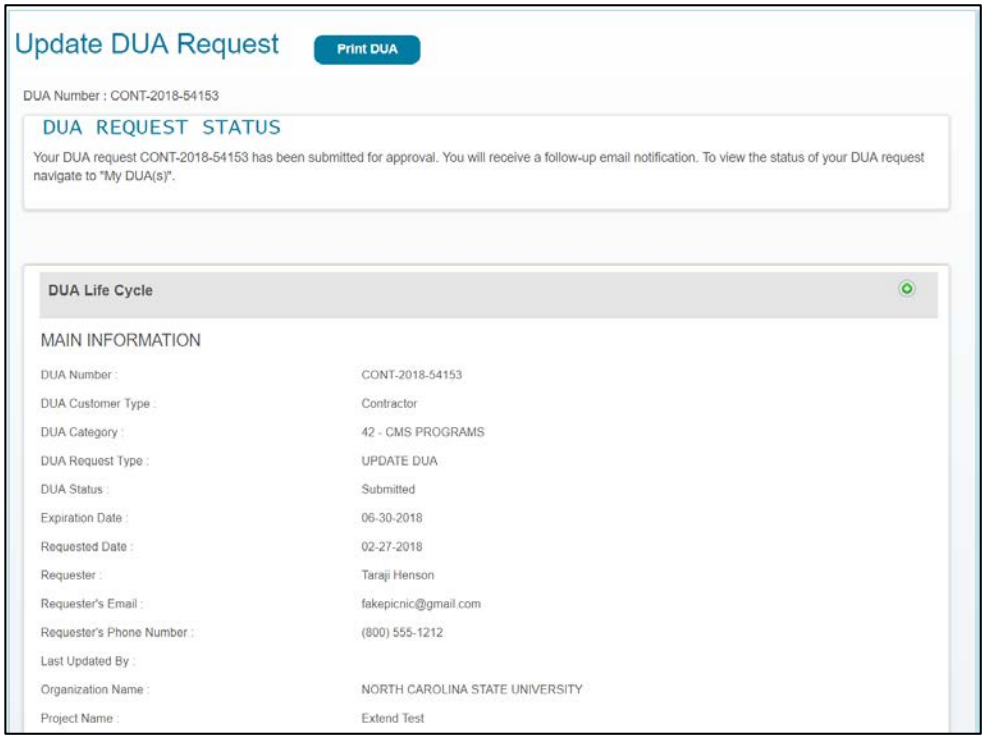
Status Progressions and Actions Display



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

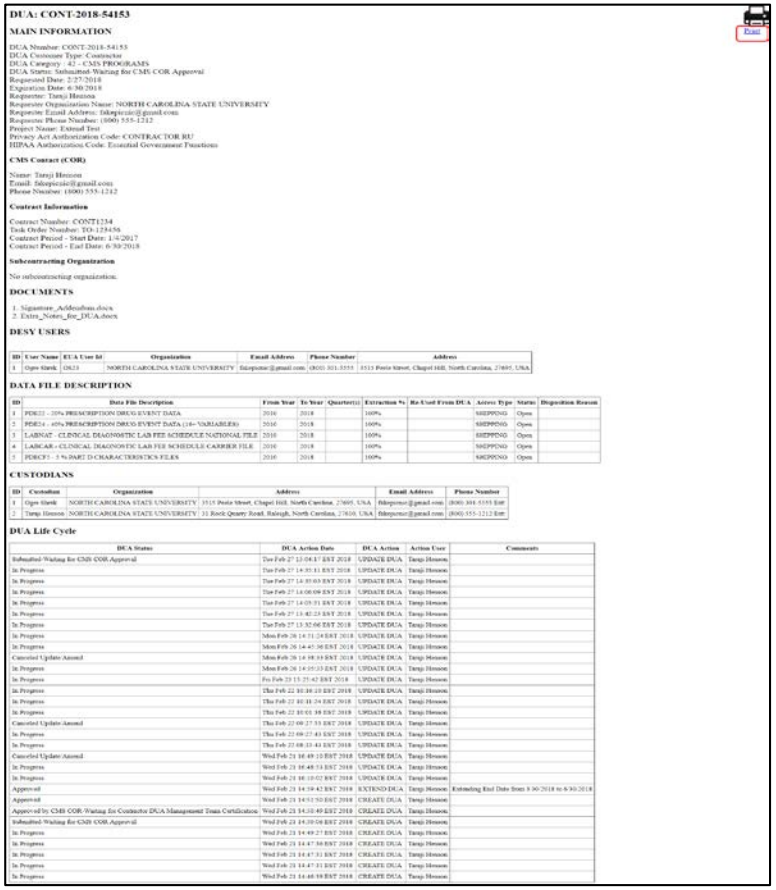
How to Print the DUA



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-2018-54153

MAIN INFORMATION

DUA Number: CONT-2018-54153
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: Tunji Hinson
Requester Organization Name: NORTH CAROLINA STATE UNIVERSITY
Requester Email Address: fakepicsie@gmail.com
Requester Phone Number: (800) 555-1212
Project Name: External Test
Privacy Act Authorization Code: CONTRACTOR RU
HIPAA Authorization Code: Essential Government Functions

CMS Contact (COR)

Name: Tunji Hinson
Email: fakepicsie@gmail.com
Phone Number: (800) 555-1212

Contract Information

Contract Number: CONT1234
Task Order Number: TO-123456
Contract Period - Start Date: 1/4/2017
Contract Period - End Date: 6/30/2018

Subcontracting Organization

No subcontracting organization.

DOCUMENTS

1. Signature_Addendum.docx
2. Extra_Notes_for_DUA.docx

DESY USERS

ID	User Name	EUA User Id	Organization	Email Address	Phone Number	Address
1	Ogre Shrek	OS23	NORTH CAROLINA STATE UNIVERSITY	fakepicsie@gmail.com	(800) 301-5555	3515 Poole Street, Chapel Hill, North Carolina, 27695, 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	PDE22 - 20% PRESCRIPTION DRUG EVENT DATA	2016	2018		100%		SHIPPING	Open	
2	PDE24 - 40% PRESCRIPTION DRUG EVENT DATA (14+ VARIABLES)	2016	2018		100%		SHIPPING	Open	
3	LABNAT - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE NATIONAL FILE	2016	2018		100%		SHIPPING	Open	
4	LABCAR - CLINICAL DIAGNOSTIC LAB FEE SCHEDULE CARRIER FILE	2016	2018		100%		SHIPPING	Open	
5	PDRCF1 - 5 % PART D CHARACTERISTICS FILES	2016	2018		100%		SHIPPING	Open	

CUSTODIANS

ID	Custodian	Organization	Address	Email Address	Phone Number
1	Ogre Shrek	NORTH CAROLINA STATE UNIVERSITY	3515 Poole Street, Chapel Hill, North Carolina, 27695, USA	fakepicsie@gmail.com	(800) 301-5555 Ext
2	Tunji Hinson	NORTH CAROLINA STATE UNIVERSITY	31 Rock Quarry Road, Raleigh, North Carolina, 27610, USA	fakepicsie@gmail.com	(800) 555-1212 Ext

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments
Submitted-Waiting for CMS COR Approval	Tue Feb 27 11:04:17 EST 2018	UPDATE DUA	Tunji Hinson	
In Progress	Tue Feb 27 14:35:11 EST 2018	UPDATE DUA	Tunji Hinson	
In Progress	Tue Feb 27 14:35:03 EST 2018	UPDATE DUA	Tunji Hinson	
In Progress	Tue Feb 27 14:08:09 EST 2018	UPDATE DUA	Tunji Hinson	
In Progress	Tue Feb 27 14:03:31 EST 2018	UPDATE DUA	Tunji Hinson	
In Progress	Tue Feb 27 11:42:23 EST 2018	UPDATE DUA	Tunji Hinson	
In Progress	Tue Feb 27 13:32:06 EST 2018	UPDATE DUA	Tunji Hinson	
In Progress	Mon Feb 26 14:31:24 EST 2018	UPDATE DUA	Tunji Hinson	
In Progress	Mon Feb 26 14:47:36 EST 2018	UPDATE DUA	Tunji Hinson	
Canceled Update Amend	Mon Feb 26 14:38:33 EST 2018	UPDATE DUA	Tunji Hinson	
In Progress	Mon Feb 26 14:35:33 EST 2018	UPDATE DUA	Tunji Hinson	
In Progress	Fri Feb 23 13:25:42 EST 2018	UPDATE DUA	Tunji Hinson	
In Progress	Thu Feb 22 10:10:10 EST 2018	UPDATE DUA	Tunji Hinson	
In Progress	Thu Feb 22 10:31:24 EST 2018	UPDATE DUA	Tunji Hinson	
In Progress	Thu Feb 22 10:01:38 EST 2018	UPDATE DUA	Tunji Hinson	
Canceled Update Amend	Thu Feb 22 09:27:33 EST 2018	UPDATE DUA	Tunji Hinson	
In Progress	Thu Feb 22 09:27:43 EST 2018	UPDATE DUA	Tunji Hinson	
In Progress	Thu Feb 22 08:33:43 EST 2018	UPDATE DUA	Tunji Hinson	
Canceled Update Amend	Wed Feb 21 16:49:10 EST 2018	UPDATE DUA	Tunji Hinson	
In Progress	Wed Feb 21 16:48:53 EST 2018	UPDATE DUA	Tunji Hinson	
In Progress	Wed Feb 21 16:10:02 EST 2018	UPDATE DUA	Tunji Hinson	
Approved	Wed Feb 21 14:59:42 EST 2018	EXTEND DUA	Tunji Hinson	Extending End Date from 3/30/2018 to 6/30/2018
Approved	Wed Feb 21 14:52:50 EST 2018	CREATE DUA	Tunji Hinson	
Approved by CMS COR-Waiting for Contractor DUA Management Team Certification	Wed Feb 21 14:20:49 EST 2018	CREATE DUA	Tunji Hinson	
Submitted-Waiting for CMS COR Approval	Wed Feb 21 14:20:08 EST 2018	CREATE DUA	Tunji Hinson	
In Progress	Wed Feb 21 14:49:27 EST 2018	CREATE DUA	Tunji Hinson	
In Progress	Wed Feb 21 14:47:38 EST 2018	CREATE DUA	Tunji Hinson	
In Progress	Wed Feb 21 14:47:31 EST 2018	CREATE DUA	Tunji Hinson	
In Progress	Wed Feb 21 14:47:31 EST 2018	CREATE DUA	Tunji Hinson	
In Progress	Wed Feb 21 14:46:38 EST 2018	CREATE DUA	Tunji Hinson	

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

DUA 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