

Centers for Medicare & Medicaid Services

Enterprise Privacy Policy Engine Cloud (EPPE)

Contractor Approval Workflow Training Module – New Contractor DUA with New Data Files

Version 2.0 01/22/2024

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1. Overview

This Training Guide will cover the following:

- How to add Sub-Contracting Organizations
- Main Information Selection
- How to add Data User/VRDC Users
- How to add New Data Files
- How to add the Data File Extraction Information
- How to add the Data User Information
- How to add the Shipping Information
- How to complete the Data File Attributes
- How to Upload Documentation
- How to review the DUA

1.1 EPPE Access Prerequisites

Before continuing this training, please complete the following:

- Obtain Identity Management (IDM) Credentials, Multi-Factor Authentication (MFA), and EPPE Access: <u>https://www.cms.gov/files/document/eppeidm.pdf</u>
- Access CMS Portal: <u>https://portal.cms.gov/</u>

1.2 Icons Used Throughout the EPPE System

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

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

2. Create a New DUA

Login to the EPPE system.

Figure 1: EPPE Welcome

	Enterprise Privacy Policy Engine				Logged In As:	DUA Requester		\$ USER GUIDES	
ŵ	NEW / RE-USE DUA	MY DUA(s)	RE-ASSIGN DUA(s)				DUA SEARCH:	٩	Advanced Search
W	Welcome to EPPE								
Goa	ls:								
:	Reduce the amount of tin Transition from a paper-b Provide a 100% traceable	ne to process a DU ased to an autom record of CMS dat	A. ated process. ta disclosures.						
Trai	Training Materials:								
Visit	Visit the EPPE web page on cms.gov, to download Training Silde Decks for the following:								
:	Contractor Approval Workflow. LD5 Approval Workflow.								

1. Click NEW / RE-USE DUA from the menu to begin a new DUA.

The DUA Set Up screen for New / Re-Use DUA Request is displayed.

Figure 2: DUA Set Up Selection

EPPE Enterprise Privacy P	olicy Engine	Logged In As: DUA Requester	C USER GUIDES	• TESTCMSCOR
A NEW / RE-USE DUA	MY DUA(s)		DUA SEARCH:	Advanced Search
New / Re-Use DUA	Choose Type of DUA Organization Information Requester Information			
1. DUA Setup 🔸	What type of New or Re-Use DLA do you wish to request? Contractor Perform work on behalf of the Federal government and only allowed access to data necessary to perform the function of their contract until their contract end Contract the second	minimum 5s. He specific allty Act of		Next Quit

1. Select the **Contractor** radio button.

2. Click Next.

Your organization is pre-populated. A dropdown will appear for you to select your organization if you are a Requester for multiple organizations.

Figure 3: Organization Selection

\bigcirc	EPPE Enterprise Privacy P	vlicy Engine	Logged In As: DUA Requester C I USER GUIDES TESTCMSCOR
ñ	NEW / RE-USE DUA	MY DUA(s)	DUA SEARCH: Q Advanced Search
New /	Re-Use DUA	Choose Type of DUA Organization Information Requester Information	
1. DUA Set	up 🔸	Our records indicate you belong to more than one organization. For which organizat	ion do you wish to create a DUA request?
		Select Organization* Please select the organization for this new DUA.	Previous Next Quit

3. Click Next.

Requester Information tab is displayed with the Requester Information pre-populated.

Figure 4: Requester Information

EPPE Enterprise Privacy	Policy Engine			Logged In As:	DUA Requester		\$ USER GUIDES	0 T	ESTCMSCOR
MEW / RE-USE DUA	MY DUA(s)					DUA SEARCH:	c	Advan	iced Search
New / Re-Use DUA									
	Choose Type of DUA	Organization Information	Requester Information						
1. DUA Setup	Organization Name: SC	OPE INFOTECH, INC.							
	Requester's Email: Ice Requester's Name: To Requester's Phone Nue	terco17@gmail.com ster COR (609) 665-2030							
							Previous	Next	Quit

4. Click Next.

2.1 Main Information

The DUA Number is displayed on the right on the Main Information screen.

Figure 5: Main Information Screen

New / Re-Use DUA	Main Information	DUA Number: CONT-2024-70392
1. DUA Setup	Project Name* Contract Number*	
2. Main Information		
3. Subcontractor Organization(s)	Task Order Number Contract Start Date* Contract End Date* mm/dd/yyyy mm/dd/yyyyy mm/dd/yyyy mm/dd/yyyy	
4. Data User(s)	Select your CMS Contact (COR)*	
5. Re-use Data File Selection(s)	Select •	
6. New Data File Selection(s)	Cannot locate your CMS Contact (CORI2	
7. Upload Documents		
8. Reviews		
		Save & Quit Next

- 1. Enter the **Project Name**
- 2. Enter the **Contract Number**
- 3. Enter the Task Order Number (Optional)
- 4. Enter the Contract Start Date and Contract End Date
- 5. Select the CMS CONTACT COR
- 6. Click Next.

If the CMS CONTACT COR is not in the dropdown:

Click Cannot locate your CMS Contact (CMS CONTACT COR)? Link

The alert message "If you are unable to find your CMS Contact (COR)'s name, please request your CMS Contact (COR) to complete their registration with IDM and EPPE. Once they have informed you registration is complete you will be able to resume your DUA request.." is displayed.

Figure 6: Unable to Find the CMS CONTACT COR Alert



- 7. Click Close.
- Save the DUA, and resume entry once the CMS Contact (CMS CONTACT COR) is displayed in the list.

2.2 Add Sub-Contracting Organization(s)

The Organizations tab is displayed with the selected Primary Organization Name.

CMS

Figure 7: Sub-Contracting Organization 1

CMS.gov My Enterpris	se Portal	i≣ My Apps		Tester COR	🕑 Help	🕞 Log Ou
EPPE Enterprise Privacy F	Policy Engine	Logged in As: DUA Requester	0	USER GUIDES		STCMSCOR
A NEW / RE-USE DUA	MY DUA(s)	DUA SEARCH:		٩	Advance	ed Search
New / Re-Use DUA	s	bcontractor Organization(s)		DUA Numb	er: CONT-20)23-70147
1. DUA Setup		CONT-2023-70147 has been saved.				
2. Main Information	s	lected Organization: SCOPE INFOTECH, INC.				
3. Subcontractor Organization(s)	→	hha				
4. Data User(s)						
5. Re-use Data File Selection(s)		Organization Name Ar	tions			
6. New Data File Selection(s)		There are no collaborating organizations associated with this DUA. Use the Add button to select one.				
7. Upload Documents						
8. Reviews						
				Previous Sav	o Ne	oxt

- 1. Click the Add Button if a Collaborating Organization is needed.
- 2. If no Collaborating Organization is needed, click Next.

Note: The Add button selection is depicted in the following example.

Clicked Add to Sub-Contracting Organization to open the Add Sub-Contractor tab.

Figure 8: Add Sub-Contracting Organization

Add Subcontractor Organization			×
Subcontractor Organization	Cannot Locate the Organization		
Select an Organization*			
Select	•		
Cannot locate the Organization			
		Add	Cancel

- 3. Enter the Sub-Contracting Organization name.
- 4. Select the Sub-Contracting Organization from the dropdown list.
- 5. Click Add.

Note: You must select the organization from the dropdown list.

After clicking ADD, the Sub-Contracting Organization is added to the selection table.

Figure 9: Sub-Contracting Organization 2

EPPE Enterprise Privacy Poli	sy Engine	Logged In As: DUA Requester C
A NEW / RE-USE DUA	NY DUA(s)	DUA SEARCH: Q Advanced Search
New / Re-Use DUA	Subcontractor Organization(s)	DUA Number: CONT-2023-70147
1. DUA Setup	HCD Organization was added to CONT-2023-70147	
2. Main Information	Selected Organization: SCOPE INFOTECH, INC.	
3. Subcontractor Organization(s)		
4. Data User(s)		
5. Re-use Data File Selection(s)	Organization Name	Actions
6. New Data File Selection(s)		nunov
7. Upload Documents		
8. Reviews		
		Previous Sove Next

6. Click Next.

Note: Use the Remove action to remove the Sub-Contracting Organization from the table.

2.3 Add Data Users

The Data User(s) screen is displayed. Data Users are users who have administrative control over provided data and/or need access to data files within the VRDC data dissemination system.

Notes:

- Adding a Data User is required.
- Data Users and VRDC users added will display in the Data Users List.

Figure 10: Data Users Screen

EPPE Enterprise Privacy Policy E	ingine	Logged	In As: DUA Requester	CUSER GUIDES STESTCMSCOR
A NEW / RE-USE DUA MY D	DUA(s)		DUA SEARCH:	Q Advanced Search
New / Re-Use DUA	Data User(s) –			DUA Number: CONT-2023-70147
1. DUA Setup	CONT-2023-70147 has been saved.			
2. Main Information	Add Data User			
3. Subcontractor Organization(s)	Data User Name	Data User Role	Organization	Actions
4. Data User(s) → 5. Re-use Data File Selection(s)		Use the add button to add Data	Users to this DUA.	
6. New Data File Selection(s)	Displaying 0 - 0 of 0			
7. Upload Documents				
8. Reviews				
				Previous Save Next

1. Click the Add Data User button.

The Add Data User pop-up is displayed.

					×
Add Data User	Add New Location	Add New User			
Select Organizati	on*				
Select			•		
Select Data User*					
Select			•	Add New User	
Select				Add Location	
Select			•	Add Location	
Select Select Data User's Data Custodia	s Role* an		•	Add Location	
Select Select Data User's Data Custodia Data Recipier	s Role* an nt		T	Add Location	
Select Select Data User's Data Custodia Data Recipier Direct Access	s Role* an nt		·	Add Location	
Select Select Data User's Data Custodia Data Recipier Direct Access Attach Signature	s Role* an nt Addendum*		·	Add Location	
Select Data User ¹ ; Data Custodii Data Recipier Direct Access Attach Signature. Choose File No	s Role* an nt Addendum* o file chosen		·	Add Location	

Figure 11: Add Data User Screen: Add Data User Tab

- 2. Select the Organization.
- 3. Select a **Data User** from the dropdown.
- 4. Select the Data User's Location.
- 5. Select the Data User's Role
- 6. Upload a Signature Addendum
- 7. Click the **Submit** button.

Figure 12: Data Users Screen: Data User(s) Table

CMS.gov My Enterprise Porte		🔳 My Apps			Tester COR	Help	🕩 Log Out
EPPE Enterprise Privacy Policy En	ngine		Logged In As: DUA Requester	0		TEST	TCMSCOR
MEW / RE-USE DUA MY D	UA(s)		DUA SEA	RCH:	a	Advance	d Search
New / Re-Use DUA	Data User(s)				DUA Numi	per: CONT-20	23-70147
1. DUA Setup	John Smith was added to CONT-2023	-70147 as a Data User.					
2. Main Information	Add Data User						
3. Subcontractor Organization(s)	Data User Name	Data User Role	Organization		Actions		
4. Data User(s) 🔶	John Smith	Direct Access	SCOPE INFOTECH, INC.		Show details		
5. Re-use Data File Selection(s)	Displaying 1 - 1 of 1						
6. New Data File Selection(s)							
7. Upload Documents							
8. Reviews							
				P	Previous	e Neo	ct

8. Click the **Next** button when all Data User(s) are added.

Note: Use the **Remove** action to remove Data User(s) from the table.

2.4 New Data File Selection

The New Data File(s) Selection screen is displayed.

Figure 13: New Data File(s) Selection

EPPE Enterprise Privacy Pol	cy Engine	Logged In As: DUA Requester	C USER GUIDES C TESTCMSCO
🐣 NEW / RE-USE DUA	MY DUA(s)	DUA SEARCH:	Q Advanced Searc
New / Re-Use DUA	New Data File Selection(s)		DUA Number: CONT-2023-7014
1. DUA Setup	CONT-2023-70147 has been saved.		
2. Main Information	Add New Data Files		
3. Subcontractor Organization(s)	Data File Description	From Year To Year Privacy Level S	Status Actions
4. Data User(s)	No Data Files are o	surrently selected. Please use the Add button to select and add Data Files.	
6. New Data File Selection(s)	Displaying 0 - 0 of 0		
7. Upload Documents			
8. Reviews			
			Previous Save Next

1. Click Add New Data File button.

Figure 14: Add New File Pop-Up

Select	Confirm		
	Search: Privacy Level: - Any -		\$
	Data File Description	÷	Privacy Level 🗘
	-		
	533155 - 100% INPATIENT CLAIMS		ENCRYPTED
	abcd - ABC CODE		IDENTIFIABLE
	ACADEV - ACA DATA VALIDATION		IDENTIFIABLE

- 2. Select the data files to add.
- 3. Click the **Next** button to see the select files.

Figure 15: Confirm Data Selection File Pop-Up

Add New Da	ta Files				×
Select Your select ✓ ACO- ✓ ACOI	Confirm ted Data Files AF - PIONEEF 3 - PIONEER A	:: R ACO ALIGNMENT FIL ICO BENEFICIARY FILE	E		
			Previous	Add Data Files	Cancel

4. Click the **Add Data Files** button to add the data files to the Data File table.

New Data File(s) Selection table is displayed. Enter more data files as needed. The selected data files are displayed in the new data files table.

Figure 16: New Data File(s) Selection with Files Added

ADD NEW DATA FILES					
ata File Description	\$ Extraction % / Cohort	From Year	To Year	Status	Actions
bcd - ABC CODE				INCOMPLETE	Show Details 🔻 🛛 🖋 Edit 📋 🗷 Remove
PPSPF - LDS - OPPS PARTIAL HOSPITALIZATION PROGRAM FINAL				INCOMPLETE	Show Details 🔻 📔 🖋 Edit 📋 🔀 Remove
isplaying 1 - 2 of 2					

5. Click the **Edit** action to enter attributes for the first file.

2.5 Data File Information: Data File Extraction

The Data File Information pop-up is displayed with the Data File Extraction tab in focus.

Figure 17: Data File Information: Data File Extraction Tab

Data File Extraction	Shipping Informatio	n					
ata File: abcd - ABC C	ODE						
ata File Extraction / C	ohort*	From*	To*				
- None -	•	- None -	- None -	• •			
xtraction Type(s)		State(s)					
Add							
Add Extraction % / Cohor	t	From Year	To Year	Extraction Types	States	Actions	
Add Extraction % / Cohor	t	From Year	To Year Add Data File B	Extraction Types	States	Actions	
Add Extraction % / Cohor	t	From Year	To Year Add Data File B	Extraction Types	States	Actions	
Add Extraction % / Cohor	t	From Year	To Year Add Data File B	Extraction Types	States	Actions	

- 1. Select the Available Year Range.
- 2. Select the **From** and **To** year.
- 3. Choose any Extraction Type (Standard Analytic Files (SAF) are available quarterly).
- 4. Choose **State(s)** if applicable.
- 5. Click Add.

The data file extraction attributes display in the table.

Figure 18: Data File Information: Data File Attributes Added

Extraction % / Cohort	From Year	To Year	Extraction Types	States	Actions	
.00	2023	2023			× Remove	
		1				

6. Click Next.

2.6 Data File Information: Shipping Information

The Shipping Information tab is displayed. In this example Direct Access is the default Access Method and VRDC/IDR is the default Data Disseminator because a VRDC User was added to the DUA; however, this information is editable.



Edit Data File Selection						×
Data File Extraction Shipping	g Information					
Data File: ACOP - PIONEER ACO PI						
Shipping Information		ACCESS AND SHIPPING				
Data Dissemination System:*	- None -	•				
Primary Recipient:*	- None -	•				
Data Shipping Location:*	- None -	Add Location				
Carrier:	- None -	•				
Add						
Recipient	Location	Carrier / Account Number		Actions		
		Add Shipping I	nformation using the form above.			
				Previous	Submit	Cance

- 1. Select the Shipping Access Method.
- 2. Select the Data Dissemination System.
- 3. Select the Primary Recipient.
- 4. Select the Data Shipping Location.
- 5. Select the Carrier (if applicable).
- 6. Click Add to populate the table.
- 7. Click **Submit**.

Figure	20·	bhΑ	Direct	Access	and	Shin	nina	Informat	ion
riguic	20.	Auu	DIICOL	ACCC33	ana	omp	pilig	morma	

Data File Selection					×
ccess Method: O DIRECT AC	CESS () SHIPPING ()BOTH DIRECT ACCES	S AND SHIPPING			
Access To Which Data Dissemina	tor:* 🔿 CCW/VRDC 🔘 IDR 🔿 Other 🤇) eft			
Shipping Information					
Data Dissemination System:*	- None - 🗸				
Primary Recipient:*	- None - 🗸				
Data Shipping Location:*	- None -	Add Location			
Carrier:	- None -				
Add					
Pociniont I c	Carrier / Account Nu	mbor		Actions	
			Previous	Submit	Cance

- 8. Select the **Access Method**. This example is based on selecting the Both Direct Access and Shipping option.
- 9. Select the Data Disseminating System.
- 10. Select or Add the Data Shipping Location.
- 11. Select the Primary Recipient.
- 12. Select the **Carrier** (if applicable)
- 13. Click Add to populate the table.
- 14. Click the **Submit** button.

2.7 Completing Data File Attributes

The first file's status is "COMPLETE."

Figure 21: Data File Attributes for First File is Complete

ADD NEW DATA FILES						
Data File Description	¢ e	Extraction % / Cohort	From Year	To Year	Status	Actions
abcd - ABC CODE	1	100	2023	2023	COMPLETE	Show Details 🕶 📔 🖉 Edit 🕴 🖪 Remove 🕴 🖉 Apply to Othe
OPPSPF - LDS - OPPS PARTIAL HOSPITALIZATION PROGRAM FINAL					INCOMPLETE	Show Details 🔻 🖋 Edit 🖪 Remove
Displaying 1 - 2 of 2						

1. Click the **Edit** action to enter attributes for each file.

OR

1. Click **Apply to Others** to apply the same attributes to all or some of the remaining files.

Notes:

- The **Apply to Others** button will only display if the DUA has multiple files.
- Displayed once data file attributes for the first data file selection have been completed.

The Apply All pop-up is displayed.

Figure 22: New Data File(s): Apply All Pop-Up



- 2. Select the check box to select all data files.
- 3. Click the **Submit** button.

Figure 23: New Data File(s): Status "COMPLETE"

					box number. Con1-2024-
ADD NEW DATA FILES					
Data File Description	Extraction % / Cohort	From Year	To Year	Status	Actions
abcd - ABC CODE	100	2023	2023	COMPLETE	Show Details 🔻 🖋 Edit 🖪 Remove 🖓 Apply to Others
OPPSPF - LDS - OPPS PARTIAL HOSPITALIZATION PROGRAM FINAL	100	2023	2023	COMPLETE	Show Details 🔻 🖋 Edit 🖪 Remove 🖓 Apply to Others
Displaying 1 - 2 of 2					

4. Click Next.

Note: Use Remove to remove a data file from the table, if applicable.

2.8 Upload Documents

The Upload Documents screen is displayed. Predefined document type is displayed in the table.

Figure 24: Upload Documents Screen

\bigcirc	EPPE Enterprise Privacy P	olicy Engine	,				Logged In	As: DUA	Requester	:	USER GUIDES	гсизс
*	NEW / RE-USE DUA	MY DUA(s)							DUA S	EARCH:	Q Advanced	d Sear
New / R	Re-Use DUA	u	pload Documents								DUA Number: CONT-202	23-701
1. DUA Setu	up		CONT-2023-70116 has been	n saved.								
2. Main Info	ormation		Upload Additional	Document								
3. Subcontr	ractor Organization(s)		Document Type	¢	Document Name	¢	Data User	÷	Description	Uploaded	\$	
4. Data Use	er(s)		SIGNATURE ADDENDUM		test (7).pdf		Ronald Anthionisamy			12/02/2023 - 14:36	Download	
5. Re-use D	ata File Selection(s)		SIGNATURE ADDENDUM		test (10)_0.pdf		John Smith			12/02/2023 - 21:44	Download	
6. New Data	a File Selection(s)		Displaying 1 - 2 of 2									
7. Upload D	Documents	→										
8. Reviews												
										Previou	is Save Next	t

1. Click Upload Additional Documents to upload document(s) from your local computer.

Figure 25: Upload Additional Documents pop-up

Jpload Additional Documents	×
Upload Documents	
Document Type*	
Select •	
Description*	
Select File* Choose File No file chosen	
Constant and Constant	ancel

- 2. Select **Document Type** from the dropdown menu.
- 3. Enter a **Description**.
- 4. Click the Choose File button to choose your file from your local computer.
- 5. Click the **Add** button once the file has been selected.

Notes:

- Max file size is 100 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.

2.9 Review the DUA

The Review screen is displayed the following sections of the DUA:

- DUA Life Cycle (click the plus icon to the right for details)
- Main Information
- Contacts and Proxies
- Sub-contractor Organization(s)
- Data User(s)
- Data File Descriptions for new and re-used files. Click the plus icon (+) for details.
- Documents

Figure 26: Review the DUA

New / Re-Use		DUA Number: CONT-2024-7047
DOA	DUA Life Cycle	+
1. DUA Setup		
2. Main Information	Main Information	-
3. Subcontractor Organization(s)	DUA Request Type: UPDATE DUA DUA Status: In Progress Expiration Date: 01/10/2025	
4. Data User(s)	Requested Date: 01/10/2024 Requester: Tester COR	Save & Quit Previous Submit
	Requester's Email: testercor07@gmail.com	

1. Click the **Submit** button.

Figure 27: Submit the DUA: Add Comments

			oggod In	Area III A Portugation	
omit CONT-20	23-70116 for Review				3
Comments	Terms & Conditions				
Add Common					
Add Comment			 7		
A comment i	s optional.				
-			4		
Content limited to	2000 characters, remaining: 2	000			
Special Instru	ctions		_		
Special instr	uctions are optional.				
Content limited to	2000 characters, remaining: 2	000	_		
				Next	Cance
auonusi					

- 2. Enter **Comments**, if applicable.
- 3. Click the **Next** button.

The Terms & Conditions screen is displayed.

Figure 28: Accept Terms and Conditions and Submit the DUA

Agree to the	he Terms & Conditions: 1	This Agreement governs the requesting organization's ("you/your") receipt and dicare & Medicaid Services ("CMS") a component of the U.S. Department of	^
Health and correspond	Human Services ("HHS"] ding purposes for their us). This Agreement covers the CMS data files you requested and the se, as specified in the Enterprise Privacy Policy Engine ("EPPE") system.	
CMS agree System of	s to provide you with the Records ("SOR"). In excha	data files specified in the DUA Request, which reside in a CMS Privacy Act	
purposes t to be valua	hat support your study, re ble in helping CMS monit	esearch, or project, as specified in the DUA Request, which CMS has determined tor, manage, and improve the Medicare and Medicaid programs and/or services	
provided to	o beneficiaries; and (c) to	ensure the integrity, security, and confidentiality of the data by complying with	Ŧ

- 4. Mark the *I agree to the terms and conditions above* checkbox.
- 5. Click Submit.

Note: The Terms & Conditions now in CMS Contact COR Attachment B which no longer needs to be submitted as a separate form.

Submission confirmation message is displayed on the DUA Request Status screen, "Your DUA request <DUA Number> has been submitted for approval. You will receive a follow-up email notification."

- The DUA Submitted Queue is accessible from the menu.
- The CMS CONTACT COR will find the DUA in their **Pending Action(s)** queue.

Figure 29: DUA Submission Confirmation Message

0	DUA request CONT-2024-70473 has been submitted for review. You will receive a follow-up email notification. To view the DUA navigate to "My DUA(
DUA	Number: CONT-2024-70473

3. Acronyms and Glossary

The following are acronyms used within the EPPE system.

Table 1: Acronyms

Acronym	Definition
CMS	Centers for Medicare and Medicaid Services
COR	CMS Contact (COR)
DUA	Data Use Agreement
EPPE	Enterprise Privacy Policy Engine
IDM	Identity Management
IDR	Integrated Data Repository
MFA	Multi-Factor Authentication
PDF	Portable Document Format
VRDC	Virtual Research Data Center

4. EPPE Help Desk Information

EPPE Help Desk Contact Information Hours of Operation: Monday – Friday 9:00 AM - 6:00 PM ET 844-EPPE-DUA (844-377-3382) eppe@cms.hhs.gov