

**Centers for Medicare & Medicaid Services** 

# **Enterprise Privacy Policy Engine Cloud (EPPE)**

# Contractor Approval Workflow Training Module -New Contractor DUA with Re- Use Data Files

Version 2.0 01/22/2024

Document Number: EPPEC-216-CONT\_DUAReq\_CreateDUAReUseFiles-v2.0

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### 1. Overview

This Training Guide will cover the following:

- How to add Sub-Contracting Organizations
- How to add Main Information
- How to add Data Users
- How to select Re-Use Data File(s) for a LDS DUA
- How to update Data User and Shipping Information
- How to Upload Documentation

### 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

A new DUA can be created.

#### Figure 1: EPPE Welcome Menu

Enterprise Privacy Policy Engine	Logged In As: DUA	Requester - Switch Roles 🔻
MY DUA(S) SHIPPED ORDERS RE-ASSIGN DUA(S)	DUA SEARCH	223445
Welcome To EPPE		Logged In As: DIIA I

1. Select New / Re-Use from the top 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

EPF	<b>PE</b> ise Privacy Po	licy Engine				Logged In As:	DUA Requester		0	USER GUIDES	TESTCMS	SCOR
A NEW / R	E-USE DUA	MY DUA(s)						DUA SEARCH:		Q	Advanced Se	arch
New / Re-Use	DUA	Choo	se Type of DUA	Organization Information	Requester Information							
1. DUA Setup	*	What tyy Cor Per dat Lim Lim 199	ee of New or Re-LU tractor om work on beh om work on beh ted Data Set. (Ured Data Set. (Ur	se DUA do you wish to request all of the Federal government form the Function of their con 5) contain beneficiary level he stillined in the Health Insuranc	2 and only allowed access to tract until their contract en alth information but exclu Portability and Accountab	minimum Is. le specific liity Act of					Next Quit	

- 2. Select the **Contractor** radio button.
- 3. 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

Ent	PPE Iterprise Privacy P	olicy Engin	e			Logged In As:	DUA Requester		C USER	GUIDES	TESTCMSCOR
A NI	IEW / RE-USE DUA	MY DUA(s)						DUA SEARCH:		Q A	dvanced Search
New / Re-	-Use DUA	Ch	oose Type of DUA	Organization Information	Requester Information						
1. DUA Setup	÷	Ourr	ecords indicate you	belong to more than one organ	ization. For which organizat	on do you wish t	o create a DUA reque	est?			
		Sele	ct Organization*								
		Plea	ase select the organ	ization for this new DUA.							
		sc	OPE INFOTECH, INC.								
									Previou	s Nex	Quit

4. Click Next.

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

Figure 4: Requester Information

EPPE Enterprise Privacy Pol	icy Engine	Logged In As: DUA Requester	C USER GUIDES TESTCMSCOR
👚 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 Setup	Organization Name: SCOPE INFOTECH, INC. Requester's Email: isstercoof/Ogmail.com Requester's Phone Number: (609) 665-2030		Previous Next Quit

5. Click Next.

### 2.1 Main Information

The DUA Number is displayed on the Main Information screen.

Figure 5: Main Information

New / Re-Use DUA	Main Information			DUA Number: CONT-2024-70391
1. DUA Setup	Project Name*	Contract Number*		
2. Main Information 🔶	Test	1234865		
3. Subcontractor Organization(s)	Task Order Number	Contract Start Date*	Contract End Date*	
4. Data User(s)	Select your CMS Contact (COR)*			
5. Re-use Data File Selection(s)	Tester COR × • Cannot locate your CMS Contact. (COR)2			
6. New Data File Selection(s)			_	
7. Upload Documents				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 your CMS Contact (COR)
- 6. Click Next.

### 2.2 Add Sub-Contracting Organization(s)

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

Select the **Yes** or **No** radio button to answer the question, "Do you wish to add/remove a sub-contracting organization(s) for this DUA request?"

CMS.gov My Enterprise	Portal	≣ My Apps		🗈 Tester COR 🔻	🛛 Help	🕞 Log Out
EPPE Enterprise Privacy Po	licy Engine	Logged in As: DUA Requester	0	USER GUIDES	C TES	STCMSCOR
🕋 NEW / RE-USE DUA	MY DUA(s)	DUA SEARCH:		a	Advance	ed Search
New / Re-Use DUA	Subc	ntractor Organization(s)		DUA Num!	er: CONT-20	)23-70147
1. DUA Setup	•	CONT-2023-70147 has been saved.				
2. Main Information	Select	d Organization: SCOPE INFOTECH, INC.				
3. Subcontractor Organization(s)	<b>→</b>	add				
4. Data User(s)						
5. Re-use Data File Selection(s)		Urganization Name	Actions			
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	e Ne	ort

- 1. Select 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 7: Sub-Contracting Organization: Yes

Add Subcontractor Organization			×
Subcontractor Organization	Cannot Locate the Organization		
Select an Organization*			
Select	••		
		Add	<u>Cancel</u>

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

Note: You must select the organization from the drop-down list.

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

#### Figure 8: Sub-Contracting Organization 2

Refer to the text above and below the image for more information

New / Re-Use DUA	Subcontractor Organization(s) DUA Number: CONT-2024-703									
1. DUA Setup	HCD INTERNATIONAL was added to CONT-2024-70391									
2. Main Information	Selected Organization: HCD Organization									
3. Subcontractor Organization(s)	ADD									
4. Data User(s)	Organization Name	Actions								
5. Re-use Data File Selection(s)	HCD INTERNATIONAL	Remove								
6. New Data File Selection(s)										
7. Upload Documents		Save & Quit Previous Next								

6. Click Next.

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

### 2.3 Add Data User(s)

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

Figure 9: Data Users with Add Data Users Button

EPPE Enterprise Privacy Policy	/ Engine		Logged In As: DUA Requester	C USER GUIDES A TESTCMSCOR
A NEW / RE-USE DUA NY	Y 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) 🔶		Use the add buttor	to add Data Users to this DUA.	
5. Re-use Data File Selection(s) 6. New Data File Selection(s)	Displaying 0 - 0 of 0			
7. Upload Documents				
8. Reviews				
				Previous Save Next

1. Click the Add Data Users button.

Notes:

- Adding a Data User is required.
- Data User(s) added will display in the Data Users List.

The Add Data User pop-up is displayed.

#### Figure 10: Add Data User

dd Data User						×
						*
Add Data User	Add New Location	Add New User				
Select Organizatio	in*					
Select			•			
Select Data User*						
Select			•	Add New User		
Select Data User's	Location*		•	Add Location		
Select Data User's	Role*					
O Data Custodia	n					
O Data Recipien	t					
O Direct Access						
Attach Signature A	Addendum*					
CHOOSE FILE NO	me chosen					-
					Submit	<u>Cancel</u>

- 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.

The Data User(s) table is displayed.

#### Figure 11: Data User(s) Table

New / Re-Use DUA	Data User(s)				DUA Number: CONT-2024-70391
1. DUA Setup	CONT-2024-70391 has	been saved.			
2. Main Information	ADD DATA USE	R			
3. Subcontractor Organization(s)	Data User Name	Data User Role	Organization	Actions	
4. Data User(s) →	Tester COR	Data Custodian	HCD Organization	Show details	🖋 Edit \mid 🛍 Remove
5. Re-use Data File Selection(s)	Displaying 1 - 1 of 1				
6. New Data File Selection(s)					
7. Upload Documents				5	Save & Quit Previous Next

- 8. Enter Data User(s), as needed (using steps 1 through 5).
- 9. Click the Next button when all Data Users have been added.

Note: Use the Remove action to remove users from the table.

### 2.4 Re-Use Data File(s) Decision

The Re-Use Data File(s) Selection screen is displayed.

#### Figure 12: Add Re-Use Data File(s)

EPPE Enterprise Privacy Pol	icy Engine		Logg	ed In As: DUA R	equester	:	USER GUIDES
A NEW / RE-USE DUA	MY DUA(s)				DUA SEARCH:		Q Advanced Sear
New / Re-Use DUA	Re-use Data Files(s) Selection						DUA Number: CONT-2023-701
1. DUA Setup	CONT-2023-70147 has been sa	wed.					
2. Main Information	Re-Use Data Files						
3. Subcontractor Organization(s)	Data File Description	Extraction % / Cohort	From Year	To Year	Privacy Level	Status	Actions
4. Data User(s)		No Data Files are cu	rrently selected. Please use t	he Add button to s	elect and add Data Files.		
6. New Data File Selection(s)	Displaying 0 - 0 of 0						
7. Upload Documents							
8. Reviews							
						Previ	ious Save Next

1. Click Re-Use Data Files button.

Re-Use Data Files pop-up is displayed with data files available for re-use displayed in a table.

#### Figure 13: Add Re-Use Data File(s)

Re-Use	Data Files				×	
Sele	ct Confirm					*
Sear	ch Table					
Sea	arch Table					
	DUA Number	Organization	Data File Description	Extraction %		
	) NDTR-2023-70083	SCOPE INFOTECH, INC.	533155 - 100% INPATIENT CLAIMS	100%		
	CONT-2023-70137	SCOPE INFOTECH, INC.	533155 - 100% INPATIENT CLAIMS	6		
	LDSS-2023-70132	SCOPE INFOTECH, INC.	533155 - 100% INPATIENT CLAIMS			
	CONT-2023-70137	SCOPE INFOTECH, INC.	533155 - 100% INPATIENT CLAIMS			Ŧ
				Next	ancel	

- 2. Select the file(s) for re-use.
- 3. Click the **Next** button to place the selected files in the table.

#### Figure 14: Add Re-Use Data File(s): Confirm



4. Click the **Re-Use Data File Selections** button to place the selected files in the table.

Note: Files from the Primary and/or Sub-contracting Organization can be selected.

Figure 15: Edit Re-Use Data File(s)

RE-USE DATA FILES							
Data File Description	÷	Re-Use DUA	Extraction % / Cohort	From Year	To Year	Status	Actions
ADVACF - ADVERSE ACTION FILE W/ MEDICAID PROVIDER TERMINATION, MEDICARE REVOCATION, & OIG HHS EXCLUSION DATA		CONT-2024-70373				INCOMPLETE	Show Details 🔻   🥜 Edit   💌 Remo
Displaying 1 - 1 of 1							

5. Click the Edit action to add attributes to a specific data file.

The Data file information pop-up is displayed with the Data file extraction tab in focus.

Figure 16: Add Re-Use Data File Extraction Criteria

	Shippi	ng Information					
<b>Data File</b> CONT-2023-70147: 5331	55 - 100%	INPATIENT CLAIM	s				
Data File Extraction / C	ohort*		From*	To*			
- None -		•	- None -	• - No	ne - 🔹		
Extraction Type(s)			State(s)				
ID From Year	To Year	Extraction Typ	es Extraction	% / Cohort	States	Actions	
		Add Data File	e Extracts using the	form above.			

- 6. Select the:
  - Available Year Range.
  - From year and To year.
- 7. Click Add.

Note: Some future file years in the year range may not be available yet.

Figure 17: Re-Use Data File(s) Extraction Criteria is Displayed in Table

Bata The Sciection						
ata File Extraction	Shipping Information	n				
Added extract:	100%, 2023 — 2024.					
vata File: ADVACF - AD	/ERSE ACTION FILE W/ M 4-70373)	IEDICAID PROVIDER 1	FERMINATION, MED	ICARE REVOCATION, & OIG HHS E	XCLUSION DATA	
vailable Extractions*	• 10313)	From*	▼ - None -			
xtraction Type(s) · None -		State(s) - None -				
Add						
Extraction % / Cohort		rom Year	To Year	Extraction Types	States	Actions
100%	2	023	2024			Remove

The selected data file extraction attributes display in the table below.

8. Click Next.

The Shipping Information tab is displayed.

### 2.5 Shipping

Shipping information from the original DUA is displayed as view-only in the table.

Figure 18: Shipping Information for Re-Use Data File(s)

Edit Data File Selection					×
Data File Extraction	Shipping Information				
Data File: ADVACF - AD	VERSE ACTION FILE W/ MEDICAID PRO	VIDER TERMINATION, MEDICARE REVOCATION, & OIG HHS	EXCLUSION DATA		
Access Method: *		BOTH DIRECT ACCESS AND SHIPPING			
Access To Which Data	a Disseminator:* 🔿 CCW/VRDC (	IDR O Other O EFT			
-Shipping Information					
Data Dissemination S	System:* HRS	•			
Recipient	Location	Carrier / Account Number		Actions	
Tester COR	One Lane One City, MD 21075	Federal Express (FedEx) 7676			
			Previous	Submit	Cancel

1. Click Submit.

The Status of the first re-use file is "COMPLETE."

Figure 19: Re-Use Data File Attributes Completed

Re-use Data Files(s) Selection						DUA Number: CONT-2024-7039
ADVACF - ADVERSE ACTION FILE W/ MEDICAID PROVIDER TERMINATION, MEDICAR	E REVOCATION, & OIG H	HS EXCLUSION DATA h	as been upda	ated.		
RE-USE DATA FILES						
Data File Description	Re-Use DUA	Extraction % / Cohort	From Year	To Year	Status	Actions
ADVACF - ADVERSE ACTION FILE W/ MEDICAID PROVIDER TERMINATION, MEDICARE REVOCATION, & OIG HHS EXCLUSION DATA	CONT-2024-70373	100%	2023	2024	COMPLETE	Show Details 👻   🎤 Edit   🖪 Remove
Displaying 1 - 1 of 1					1	
Displaying 1 - 1 of 1						
					Save	& Quit Previous Next

2. Click the **Next.** 

### 2.6 Upload Documents

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

Figure 20: New / Re-Use DUA Request: Upload Documents

UPLOAD ADDITIONAL DOCUMENT Document Type Data User Description Uploaded Actions SIGNATURE ADDENDUM 4_4_22_DMP.pdf Tester COR 01/06/2024 Download / Update	pload Documents								DUA Number: CONT-2024-703
Document Type     Document Name     Data User     Description     Uploaded     Actions       SIGNATURE ADDENDUM     4_4_22_DMP.pdf     Tester COR     01/06/2024     & Download   & Update	UPLOAD ADDITION	AL DOCUM	ENT						
SIGNATURE ADDENDUM 4_4_22_DMP.pdf Tester COR 01/06/2024 🛓 Download 🖋 Update	Document Type	¢	Document Name	Data User	¢	Description	Uploaded	÷	Actions
	SIGNATURE ADDENDUM		4_4_22_DMP.pdf	Tester COR			01/06/2024		🛓 Download 🔰 🖋 Update
Displaying 1 - 1 of 1	Displaying 1 - 1 of 1								
									Save & Quit Previous Next

1. Click **UPLOAD ADDITIONAL DOCUMENT** to upload document(s) from your local computer.

#### Figure 21: Upload Additional Documents Pop-Up

Upload Additional Documents	×
Upload Documents	
Document Type*	
Select •	
Description*	
Select File*	
Choose File No file chosen	
	Cancel

- 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.

### 2.7 Review and Submit New/Re-Use DUA

The Review screen displays the following sections of the DUA:

- Review: DUA Life Cycle
- Review: Main Information
- Review: Data User(s)
- Review: Data File Descriptions
- Review: Proxy
- Review: Signature Addendum Documents
- Add: Comments (Optional)

#### Figure 22: Review the DUA 1

New / Re-Use		DUA Number: CONT-2024-7047
DON	DUA Life Cycle	+
1. DUA Setup		
2. Main	Main Information	-
Information	DUA Number: CONT-2024-70471	
	DUA Request Type: UPDATE DUA	
3. Subcontractor Organization(s)	DUA Status: In Progress	
organization(s)	Expiration Date: 01/10/2025	
4 Dete Heer(e)	Requested Date: 01/10/2024	
4. Data User(s)	Requester: Tester COR	Save & Ouit Previous Submit
	Requester's Email: testercor07@gmail.com	

1. Click Submit.

The Terms & Conditions screen is displayed.

#### Figure 23: Accept Terms and Conditions and Submit the DUA

Comments	Terms & Conditions	
Agree to th and use of of Health a correspond	he Terms & Conditions: This Agreement governs the requesting organization's ("you/your") receipt data from the Centers for Medicare & Medicaid Services ("CMS"), a component of the U.S. Department ind Human Services ("HHS"). This Agreement covers the CMS data files you requested and the ding purposes for their use, as specified in the Enterprise Privacy Policy Engine ("EPPE") system. s to provide you with the data files specified in the DUA Request, which reside in a CMS Privacy Act	
System of F	Records ("SOR"). In exchange, you agree to: (a) pay any applicable fees; (b) use the data only for	
System of F purposes th determined and/or serv	Records ("SOR"). In exchange, you agree to: (a) pay any applicable fees; (b) use the data only for hat support your study, research, or project, as specified in the DUA Request, which CMS has d to be valuable in helping CMS monitor, manage, and improve the Medicare and Medicaid programs vices provided to beneficiaries; and (c) to ensure the integrity, security, and confidentiality of the data	•
System of F purposes to determined and/or serv	Records ("SOR"). In exchange, you agree to: (a) pay any applicable fees; (b) use the data only for hat support your study, research, or project, as specified in the DUA Request, which CMS has d to be valuable in helping CMS monitor, manage, and improve the Medicare and Medicaid programs vices provided to beneficiaries; and (c) to ensure the integrity, security, and confidentiality of the data of the terms and conditions above.*	•

- 2. Mark the *I agree to the terms and conditions above* checkbox.
- 3. Click Submit.

The Submission confirmation message, "Your DUA request <DUA number> has been submitted for approval. You will receive a follow-up email notification. To view the DUA navigate to My DUA(s)." is displayed on the DUA Request Status screen.

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

#### Figure 24: DUA Submission Confirmation Message



### 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
MFA	Multi-Factor Authentication
PDF	Portable Document Format
VRDC	Virtual Research Data Center

The following terms are defined for EPPE users in the Glossary.

#### Table 2: Glossary

Term	Definition
Signature Addendum	Required when adding Data Users to an LDS DUA, other than the requester, through New/Re-Use and/or Update/Amend.

### 4. EPPE Help Desk Information

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