



Centers for Medicare & Medicaid Services

Enterprise Privacy Policy Engine Cloud (EPPE)

Contractor Approval Workflow Training Module - Update Re-Use Data Files

Version 2.0

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Table of Contents

1. Overview	1
1.1 EPPE Access Prerequisites	1
1.2 Icons Used Throughout the EPPE System	1
2. Update/Amend a DUA	2
2.1 Add Re-Use Data Files	3
2.2 Add Comments to DUA.....	7
2.3 Agree to Terms and Conditions	8
3. Acronyms	10
4. EPPE Help Desk Information	11

List of Figures

Figure 1: EPPE Welcome Screen	2
Figure 2: List of DUAs Eligible to Update	2
Figure 3: My DUA Screen	2
Figure 4: Update DUA Request Review Screen.....	3
Figure 5: Click Re-Use Data Files Selection	3
Figure 6: Re-use Data Files(s) Selection.....	4
Figure 7: Data File Descriptions: Select Tab	4
Figure 8: Data File Descriptions: Confirm Selection Tab.....	4
Figure 9: Re-Use Data File (s) Edited	5
Figure 10: Show Details Pop-Up	5
Figure 11: Data File Information: Data File Extraction Tab.....	5
Figure 12: Data File Information: Extraction Attributes Selected	6
Figure 13: Data File Information: Shipping Information	6
Figure 14: Attribute Updates Completed	7
Figure 15: DUA Review Page	7
Figure 16: Add Comments or Special Instructions	8
Figure 17: Terms and Conditions	8
Figure 18: Submitted Message	9

List of Tables

Table 1: Acronyms 10

Table 2: Glossary 10

1. Overview

This Training Guide will cover the following:

- How to perform an Update/Amend to a Contractor DUA
- How to Add Re-Use Data Files
- How to use the Apply All functionality
- How to update Re-Use Data Files to the Complete Status

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: <https://www.cms.gov/files/document/eppeidm.pdf>
- Access CMS Portal: <https://portal.cms.gov/>

1.2 Icons Used Throughout the EPPE System



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

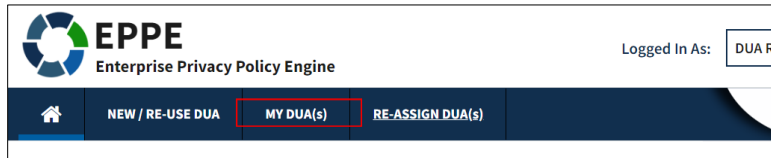


The question mark icon, when selected, will display field specific help.

2. Update/Amend a DUA

Log into the EPPE application

Figure 1: EPPE Welcome Screen



1. Click **MY DUA(S)** to display a list of Approved DUAs that can be updated.

A list of Approved DUAs is displayed.

Figure 2: List of DUAs Eligible to Update

My DUA(s)								
				Status:	Approved	Search:		
DUA Number	Organization	DUA Type	DUA Action	Status	Requester	Request Date	Last Updated	Actions
CONT-2023-70133	HCD Organization	Contractor	CREATE DUA	Approved	Tester COR	12/04/2023	12/04/2023 - 12:46	Close Update/Amend
LDSS-2023-70136	HCD Organization	Limited Data Set	CREATE DUA	Approved	Tester COR		12/04/2023 - 12:45	
CONT-2023-70124	SCOPE INFOTECH, INC.	Contractor	CREATE DUA	Approved	Tester COR		12/03/2023 - 11:08	
CONT-2023-70121	Test Org	Contractor	CREATE DUA	Approved	Tester COR	12/02/2023	12/02/2023 - 17:46	Close Update/Amend
CONT-2023-70117	Test Org	Contractor	UPDATE DUA	Approved	Tester COR		12/02/2023 - 16:40	
LDSS-2022-59326	HCD Organization	Limited Data Set		Approved		02/01/2023	11/29/2023 - 22:10	Close Update/Amend
CONT-2023-60167	HCD Organization	Contractor		Approved	Tester User	11/24/2023	11/24/2023 - 19:41	Close Update/Amend

2. Click the **Update/Amend** action or **Search** feature to locate a DUA to update.

Note: If there are multiple pages of Approved DUAs, the previous and next icons (<, >) and page number buttons are available for scrolling through the listing.

The **My DUA** screen is displayed.

Figure 3: My DUA Screen

DUA Number: CONT-2024-70454

Collapsed View

Expanded View

PRINT TO PDF

DUA Life Cycle

+

Main Information

-

DUA Number: CONT-2024-70454
DUA Status: Approved
Expiration Date: 01/10/2025
Requested Date: 01/09/2024
Requester: Tester COR
Requester's Email: testercor07@gmail.com

Update/Amend

Quit

3. Click the **Update/Amend** button.

Figure 4: Update DUA Request Review Screen

✓ The Update/Amend action was performed on CONT-2024-70454

DUA Number: CONT-2024-70454

Collapsed View Expanded View Approved Version

PRINT TO PDF

DUA Life Cycle +

Main Information -

DUA Number: CONT-2024-70454
 DUA Request Type: UPDATE DUA
 DUA Status: In Progress
 Expiration Date: 01/10/2025

Comment Edit Submit

4. Click the **Edit** button.

The Update DUA Request Review screen is displayed with the following editable sections:

- Main Information
- Custodian(s)
- Existing Data File Descriptions
- Re-use Data File Descriptions
- New Data File Descriptions
- Signature Addendum & Additional Supporting Documents

Figure 5: Click Re-Use Data Files Selection

New / Re-Use DUA

Upload Documents DUA Number: CONT-2024-70332

1. DUA Setup
 2. Main Information
 3. Subcontractor Organization(s)
 4. Data User(s)
 5. Re-use Data File Selection(s)
 6. New Data File Selection(s)
 7. Upload Documents
 8. Reviews

UPLOAD ADDITIONAL DOCUMENT

Document Type	Document Name	Data User	Description	Uploaded	Actions
SIGNATURE ADDENDUM	test (4).pdf			01/03/2024	Download Update

Displaying 1 - 1 of 1

Save & Quit Previous Next

5. Click the **Re-Use Data Files Selection** section.

2.1 Add Re-Use Data Files

The Re-use Data File(s) Selection screen is displayed with previous filled out Data File Description data to update.

Figure 6: Re-use Data File(s) Selection

Re-use Data File(s) Selection							DUA Number: CONT-2024-70519
RE-USE DATA FILES							
Data File Description	Re-Use DUA	Extraction % / Cohort	From Year	To Year	Status	Actions	
abcd - ABC CODE	CONT-2024-70533	100	2023	2024	COMPLETE	Show Details ▾ Edit Remove	
Displaying 1 - 1 of 1							

1. Click the **RE-USE DATA FILES** button to add files for re-use a Data File Description needs to be added.

The Re-use Data File(s) Selection screen is displayed with files available to select for re-use.

Figure 7: Data File Descriptions: Select Tab

Re-Use Data Files

Select

Confirm

Search Table

Search Table

	DUA Number	Organization	Data File Description	Extraction %	From	To
<input type="checkbox"/>	CONT-2023-70121	Test Org	abcd - ABC CODE			
<input type="checkbox"/>	CONT-2023-70121	Test Org	ACADSV - ACA DATA VALIDATION			
<input type="checkbox"/>	LDSS-2023-70144	Test Org	ACADSV - ACA DATA VALIDATION			
<input type="checkbox"/>	LDSS-2023-70110	Test Org	ASC-FR - AMBULATORY SURGICAL CENTER, FINAL RULE			
<input type="checkbox"/>	CONT-2023-70121	Test Org	BSF - BENEFICIARY SUMMARY FILE	100%	2019	2024
<input type="checkbox"/>	LDSS-2023-70110	Test Org	INP - 100% INPATIENT CLAIMS			

Next

Cancel

2. Select files for re-use from the list by clicking the checkbox next to each one needed.
3. Click **Next**.

Figure 8: Data File Descriptions: Confirm Selection Tab

Re-Use Data Files

Select

Confirm

Your selected Data Files:

☒ CONT-2023-70117: INP - 100% INPATIENT CLAIMS

Previous

Add Data Files

Cancel

4. Click **Add Data Files** to confirm the re-use of the respective Data File(s).

The selected data files are displayed in the table below. The file status displays **"INCOMPLETE."**

Figure 9: Re-Use Data File (s) Edited

New / Re-Use DUA

1. DUA Setup
2. Main Information
3. Subcontractor Organization(s)
4. Data User(s)
5. Re-use Data File Selection(s) →
6. New Data File Selection(s)
7. Upload Documents
8. Reviews

Re-use Data File(s) Selection DUA Number: CONT-2024-70383

RE-USE DATA FILES

Data File Description	Re-Use DUA	Extraction % / Cohort	From Year	To Year	Status	Actions
ADVACF - ADVERSE ACTION FILE (U) MEDICARE PROVIDER TERMINATION, MEDICARE REVOCATION, & DIG HHS EXCLUSION DATA	CONT-2024-70373	100%	2023	2024	COMPLETE	Show Details Edit Remove
ADVACF - ADVERSE ACTION FILE (U) MEDICARE PROVIDER TERMINATION, MEDICARE REVOCATION, & DIG HHS EXCLUSION DATA	CONT-2024-70373				INCOMPLETE	Show Details Edit Remove

Displaying 1 - 2 of 2

Save & Quit Previous Next

- Click the **Remove** action to remove the file(s) just added to the table.
- Click **Show Details** to review additional details about the Data File Description within a pop-up.

Figure 10: Show Details Pop-Up

Data File Description Details

Data File: PDE22 - 20% PRESCRIPTION DRUG EVENT DATA
Privacy Level: IDENTIFIABLE
Access Type: DIRECT ACCESS
Data Disseminator Type: IDR

From - To Year	Extraction % / Cohort	Extraction Type	States
2018 - 2019	100%		

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 click 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.

- Click the **Edit** action in the table to complete required file attributes.

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

Figure 11: Data File Information: Data File Extraction Tab

Edit Data File Selection

Data File Extraction Shipping Information

✓ Added extract: 100%, 2018 — 2019.

Data File: PDE22 - 20% PRESCRIPTION DRUG EVENT DATA
(Re-used from CONT-2023-59713)

Available Extractions* From* To*

- None - - None - - None -

Extraction Type(s) State(s)

- None - - None -

Add

Extraction % / Cohort	From Year	To Year	Extraction Types	States	Actions
100%	2018	2019			Remove

Next Cancel

8. Select the **Data File Extraction/Cohort**.
9. Select the **From** year and the **To** year.
10. Select **States** (if applicable).
11. Select **Extraction Type** (if applicable).
12. Click **Add**.

Notes:

- Some file years in the year range may not be available.
- Available **States** for selection will be those selected on the original DUA. If States were not selected on the original DUA, these fields will be disabled.

The selected data file extraction attributes are displayed in the table below.

Figure 12: Data File Information: Extraction Attributes Selected

Extraction % / Cohort	From Year	To Year	Extraction Types	States	Actions
100%	2018	2019			x Remove

[Next](#)
[Cancel](#)

13. Click **Next**.

The Shipping Information screen displays with the original Access Method and Data Disseminator information. Re-used files will not be re-shipped. The original shipping information is displayed in the table.

Figure 13: Data File Information: Shipping Information

Edit Data File Selection

Data File Extraction

Shipping Information

Data File: ADVACF - ADVERSE ACTION FILE W/ MEDICAID PROVIDER TERMINATION, MEDICARE REVOCATION, & OIG HHS EXCLUSION DATA

Access Method: ☐ DIRECT ACCESS ☐ SHIPPING ☒ BOTH DIRECT ACCESS AND SHIPPING

Direct Access Information

Access To Which Data Disseminator: ☐ CCW/VRDC ☒ IDR ☐ Other ☐ EFT

Shipping Information

Data Dissemination System:

Recipient	Location	Carrier / Account Number	Actions
Tester COR	One Lane One City, MD 21075	Federal Express (FedEx) 7676	

Previous

Submit

Cancel

14. Review the shipping information.
15. Click **Submit**.

Figure 14: Attribute Updates Completed

New / Re-Use DUA

1. DUA Setup
2. Main Information
3. Subcontractor Organization(s)
4. Data User(s)
5. Re-use Data File Selection(s) →
6. New Data File Selection(s)
7. Upload Documents
8. Reviews

Re-use Data File(s) Selection

DUA Number: CONT-2024-70383

✓ ADVACF - ADVERSE ACTION FILE (W/ MEDICAID PROVIDER TERMINATION, MEDICARE REVOCATION, & OIG HHS EXCLUSION DATA) has been updated.

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-2024-70383	100%	2023	2024	COMPLETE	Show Details Edit Remove
ADVACF - ADVERSE ACTION FILE (W/ MEDICAID PROVIDER TERMINATION, MEDICARE REVOCATION, & OIG HHS EXCLUSION DATA)	CONT-2024-70383	100%	2023	2023	COMPLETE	Show Details Edit Remove

Displaying 1 - 2 of 2

Save & Quit Previous Next

16. Click **Save & Quit**.

All updates of the DUA are completed. The DUA Review Page is displayed.

Figure 15: DUA Review Page

✓ CONT-2024-70519 has been saved.

DUA Number: CONT-2024-70519

Collapsed View Expanded View Approved Version

PRINT TO PDF

DUA Life Cycle +

Main Information -

DUA Number: CONT-2024-70519
DUA Request Type: UPDATE DUA
DUA Status: In Progress

Privacy Act & HIPAA Authorization Code
Privacy Act Authorization Code: PA01-EMP - EMPLOYEES OF DHH
HIPAA Authorization Code: Law Enforcement (court orders, subpoenas, etc.)

Comment Edit Submit

17. Click **Submit**

2.2 Add Comments to DUA

You can add comments to the DUA.

Figure 16: Add Comments or Special Instructions

Submit CONT-2023-70133 for Review

Comments Terms & Conditions

Add Comment

A comment is optional.

Content limited to 2000 characters, remaining: 2000

Special Instructions

Special instructions are optional.

Content limited to 2000 characters, remaining: 2000

Next Cancel

1. Enter any applicable **Comments** (optional).
2. Enter any applicable **Special Instructions** (optional).
3. Click **Next**.

2.3 Agree to Terms and Conditions

The Terms and Conditions agreement screen is displayed.

Figure 17: Terms and Conditions

Submit CONT-2023-70133 for Review

Comments Terms & Conditions

Agree to the 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

☒ I agree to the terms and conditions above.

Previous Submit Cancel

1. Click **Submit**.

The confirmation message, "<DUA number> has been submitted for review. You will receive a follow-up email notification. To view the DUA navigate to 'My DUA(s)'," is displayed.

Figure 18: Submitted Message

The screenshot displays a web interface for a submitted DUA request. At the top, a green banner contains a checkmark icon and the text: "DUA request CONT-2024-70519 has been submitted for review. You will receive a follow-up email notification. To view the DUA navigate to 'My DUA(s)'". Below this, the "DUA Number: CONT-2024-70519" is prominently displayed. Underneath the number are two tabs: "Collapsed View" (which is active) and "Expanded View". To the right of these tabs is a blue button labeled "PRINT TO PDF" with a printer icon. At the bottom of the interface, there are two expandable sections: "DUA Life Cycle" with a plus icon and "Main Information" with a minus icon.

Notes:

- The DUA can be printed.
- The Status of the DUA is Submitted.
- The DUA can be viewed in the Submitted queue.
- The DUA will need to be reviewed and Approved by the CMS Contact (COR) and then Certified by the DMT before it is displayed in the Approved queue.

3. Acronyms

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)
DMT	DUA Management Team
DUA	Data Use Agreement
EPPE	Enterprise Privacy Policy Engine
IDM	Identity Management
LDS	Limited Data Set
MFA	Multi-Factor Authentication
PDF	Portable Document Format

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

Table 2: Glossary

Term	Definition
Signature Addendum	Required when adding Custodians 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