

Centers for Medicare & Medicaid Services

Enterprise Privacy Policy Engine Cloud (EPPE)

Contractor Approval Workflow Training Module -Update New Data Files

Version 2.0 01/22/2024

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1. Overview

This Training Guide will cover the following:

- How to Update/Amend a Contractor DUA
- How to Edit the Data File Extraction Information
- How to Edit the Shipping Information
- How to Complete the Data File Attributes Information
- How to Add Comments

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. Update/Amend a DUA

Log in to the EPPE application.

Figure 1: EPPE Welcome Screen



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

A list of Approved DUAs will be displayed.

Figure 2: List of DUAs Eligible to Update

My DUA(s)						Status:	pproved 🗘 Sear	ch:
DUA Number 🌐 🌐	Organization $ au$	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 **Update/Amend** OR use the **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 activate for scrolling through the listing. The **My DUA** screen is displayed.

Figure	3:	DUA	Screen
--------	----	-----	--------

DUA Num	ber: CON1	-2024-70454	
Collapsed View	Expanded View		
			TO PDF
DUA Life Cycle			+
Main Informatio	on		_
DUA Number:	CONT-2024-70454		
DUA Status: Ap	oproved 01/10/2025		
Requested Date	e: 01/09/2024		
Requester: Tes Requester's Em	ster COR nail: testercor07@g	mail.com	nd Quit

3. Click the Update/Amend button.

Figure 4: Click the New Data Files Selection Section

The Upda	ate/Amend action w	vas performed on CON	T-2024-70454
Collapsed View	Expanded View	Approved Version	J 1
			🗅 PRINT TO PDF
DUA Life Cycle			
Main Informatio	on		
DUA Number: DUA Request Ty DUA Status: In Expiration Date	CONT-2024-70454 ype: UPDATE DUA Progress : 01/10/2025		💬 Comment 🥒 Edit Submit

4. Click the **Edit** button.

Note: When edit is selected, the user will be navigated to the last section of the DUA they were on.

The Update DUA Request Review screen has the following are the editable sections:

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

Figure 5: New Data File Descriptions Section

New / Re-Use DUA	Main Information	DUA Number: CONT-202	3-701
1. DUA Setup	Project Name*	Privacy Act Authorization Code*	
2. Main Information 3. Subcontractor Organization(s)	test	PA03-CPC - COMPREHENSIVE PRIMARY CARE	
4. Data User(s)	HIPAA Authorization Code* Research •	DUA Category - None - *	
5. Re-use Data File Selection(s)	Contract Number*	Task Order Number	
7. Upload Documents	3445		
8. Reviews	Contract Start Date* Contract End Date* 12/06/2023 12/31/2030	Select your CMS Contact (COR)* Tester COR * Save Next	t
		Connect Locate your CHC Contact (CODI)	

5. Click the New Data Files Selection(s) section.

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

Figure 6: Add New Data File

ADD NEW DATA FILES					
Data File Description	Extraction % / Cohort	From Year	To Year	Status	Actions

6. Click the ADD NEW DATA FILES button.

Figure 7: Edit: New Data File(s) Selection Screen

Add New D	ata Files		×
Select	Confirm		
	Search: Privacy Level: - Any -		\$
	Data File Description	Privacy Leve	¢
	533155 - 100% INPATIENT CLAIMS	ENCRYPTED	
	abcd - ABC CODE	IDENTIFIABLE	
	ACADFV - ACA DATA VALIDATION	IDENTIFIABLE	
		Next	<u>Cancel</u>

- 7. Select the **Privacy Level**.
- 8. Select new data file(s) from the **Data File Descriptions** table.
- 9. Click the Next.

Figure 8: Add New Data Files Confirmation

dd New Da	ata Files			
Select	Confirm			
Your Data	a Files Selections:			
🗸 АСТ	S - ASPEN COMPLAINTS/II	NCIDENTS TRACKING SYSTEM		
		Previous	Add Data Files	<u>Can</u>

10. Click the Add Data Files button.

The table displays the file selections. The file status is "INCOMPLETE."

Figure 9: New Data Files added to Update Table

ADD NEW DATA FILES					
Data File Description	Extraction % / Cohort	From Year	To Year	Status	Actions
ACOB - PIONEER ACO BENEFICIARY FILE	100%	2020	2023	COMPLETE	Show Details 🔻 🖋 Edit 🗷 Remove 🖓 Apply to Others
ACOP - PIONEER ACO PROVIDER FILE	100%	2023	2023	COMPLETE	Show Details ▼ 🖋 Edit 🗷 Remove 🖓 Apply to Others
ACOPNR - PIONEER ACO PARTICIPATING CLINICIAN NPI AND INSTITUTIONAL PROVIDER CMS CCN	88%	2019	2024	COMPLETE	Show Details 🔻 🖋 Edit 🗷 Remove 🖓 Apply to Others
ACOPNR - PIONEER ACO PARTICIPATING CLINICIAN NPI AND INSTITUTIONAL PROVIDER CMS CCN	100%	2019	2023	COMPLETE	Show Details 🔻 🖋 Edit 🗷 Remove 🖉 Apply to Others
ACTS - ASPEN COMPLAINTS/INCIDENTS TRACKING SYSTEM				INCOMPLETE	Show Details 🔻 📔 🧨 Edit 📔 🔀 Remove
Displaying 1 - 5 of 5					

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

Note: Click the **Remove** action at the right of each line to remove the file from the table.

2.1 Data File Information: Data File Extraction

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

Figure 10: Data File Information: Data File Extraction Tab

it Data File Selection						
Data File Extraction	Shipping Information					
Data File: ACOP - PION	IEER ACO PROVIDER FILE					
Data File Extraction / C	ohort*	From*	۲o *			
- None -	•	- None - 👻	- None - 🔹			
Extraction Type(s)		State(s)				
Add						
Extraction % / Cohort	t	From Year	To Year	Extraction Types	States	Actions
			Add Data Fil	e Extracts using the form above.		

- 1. Select Data File Extraction/Cohort field.
- 2. Select any States (if applicable).
- 3. Select the **From** year and the **To** year.
- 4. Select any Extraction Type.
- 5. Click Add.

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

Figure 11: Data File Information: Extraction Attributes Selected

	Add					
	Extraction % / Cohort	From Year	To Year	Extraction Types	States	Actions
	100	2023	2023	Annual	MD	Remove
_						
						list or an
						Next <u>Cance</u>

6. Click Next.

The Shipping Information tab is displayed.

2.2 Data File Information: Shipping Information

The Shipping Information tab displays. 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.

Figure 12: Data File Information: Shipping Information Tab

Edit Data File Selection						
Data File Education Shipping Information						
Data File: ACOP - PIONEER ACO PROVIDER FILE						
Access Methodi * 🔿 DIRECT ACCESS 🔿 SHIPPING 🛞 BOTH DIRECT ACCESS AND SHIPPING						
Direct Access Information						
Access To Which Data Disseminator." () CCNIVROC () IDR () Other () IFT						
- Shipping information						
Data Dissemination System* - Home						
Primary Recipient.* - Itorie						
Data Shipping Location." -None - Add Location						
Carrier: • None · •						
Add						
Recipient Location Carrier / Account Number	Actions					
Add Shipping Information using the form above.						
	Previous Submit Cance					

- 1. Select the appropriate Access Method.
- Select the Both Direct Access and Shipping. (Select the Access Method applicable to the DUA)
- 3. Click Add.

The expanded Shipping Information screen is displayed (this example is based on selecting the **Both Direct Access and Shipping** option).

Figure 13: Shipping Information: Selected Shipping Details

			ADD		
ID 🌲	SHIPPING LOCATION	RECIPIENT 🌲	CARRIER ≑	CARRIER ACCOUNT NUMBER	ACTIONS
1	100 S. 4RH STREET BANGOR ME 31234	RAY ALBERTINA	Federal Express (FedEx)	4105551212	
				SUBMIT	c

7. Click the SUBMIT button.

2.3 Completing Data File Attributes

The first file's status is "COMPLETE."

Figure 14: Data File Attributes for First File is Complete

Nev	v Data File Selection(s)					DUA Number: CONT-2024-703
	ACOP - PIONEER ACO PROVIDER FILE has been updated.					
	ADD NEW DATA FILES					
	Data File Description	Extraction % / Cohort	From Year	To Year	Status	Actions
	ACOP - PIONEER ACO PROVIDER FILE	100	2022	2023	COMPLETE	Show Details 🔻 🥒 Edit 🖾 Remove 🖓 Apply to Others
	ACTS - ASPEN COMPLAINTS/INCIDENTS TRACKING SYSTEM				INCOMPLETE	Show Details 🔻 🥒 Edit 🔣 Remove
	Displaying 1 - 2 of 2					

1. Click the **Edit** action to enter attributes for each file OR Click the **Apply to Others** button 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. 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 action.

The Apply Data Selection Attributes pop-up is displayed.

Figure 15: New Data File(s): Apply First Data File Attributes to All New Files

Apply to Others		×
Select Data Files		
Select Data Files CONT-2024-70315: ACTS - ASPEN COMPLAINTS/INCIDENTS TRACKING SYSTEM		
	Submit	<u>Cancel</u>

- 2. Select the check box to select data files OR select individual data file(s).
- 3. Click Submit.

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

The New Data File(s) Selection screen displays. The status for all New data files is "COMPLETE."

Figure 16: New Data File(s): Status Complete

N	ew Data File Selection(s)					DUA Number: CONT-2024-70315
I	The Apply to Others action was performed on CONT-2024-7	0315: ACOP - PIONEER ACO P	ROVIDER FILE			
	ADD NEW DATA FILES					
	Data File Description	Extraction % / Cohort	From Year	To Year	Status	Actions
	ACOP - PIONEER ACO PROVIDER FILE	100	2022	2023	COMPLETE	Show Details 👻 🖋 Edit 🗳 Remove 🖓 Apply to Others
	ACTS - ASPEN COMPLAINTS/INCIDENTS TRACKING SYSTEM	100	2022	2023	COMPLETE	Show Details 👻 📔 🌮 Edit 🕴 🖾 Remove 🕴 🙆 Apply to Others
	Displaying 1 - 2 of 2					
						Save & Quit Previous Next

4. Click **Save & Quit** at the bottom of the page.

Notes:

- Click the **Show Details** action to see details about that file.
- Click the **Remove** action to remove a data file, if applicable.

2.4 Submit the Update/Amend DUA

The DUA Review page is displayed. All updates of the DUA are complete.

Figure 17: Edit DUA: Review Page

CONT-202	4-70519 has been s	aved.				
DUA Numl	ber: CON	Г-2024-705	19			
Collapsed View	Expanded View	Approved Version				
						PRINT TO PDF
DUA Life Cycle						+
Main Informatio	'n					-
DUA Number: 0 DUA Request Ty DUA Status: In	CONT-2024-70519 rpe: UPDATE DUA Progress			Privacy Act & HIPAA Authorization Code Privacy Act Authorization Code: PADI-EMP - EMPLOYEES OF DHH HIPAA Authorization Code: Law Enforcement (court orders, subpc	© Comment	

1. Click Submit.

The Comments pop-up is displayed.

Figure 18: Submit: Comment Tab

comments	Terms & Conditions				
Add Comment					
A comment is	s optional.				
Content limited to	2000 characters, remaining: 20	000	12		
Content limited to Special Instru	2000 characters, remaining: 20	000	4		
Content limited to Special Instru Special instru	2000 characters, remaining: 20 ctions uctions are optional.	000			
Content limited to Special Instru Special instru	2000 characters, remaining: 2 ctions 	000	A		
Content limited to Special Instru Special instru	2000 characters, remaining: 2 ctions uctions are optional.	000	A		
Content limited to Special Instru Special instru	2000 characters, remaining: 2 c tions uctions are optional.				
Content limited to Special Instru Special instru Content limited to	2000 characters, remaining; 2 / ctions uctions are optional.	000			

- 2. Enter any applicable **Comments**.
- 3. Enter any applicable **Special Instructions.**
- 4. Click Next.

The Terms & Conditions screen is displayed.

2.5 Terms and Conditions

The Terms and Conditions are provided for review and acceptance.

Figure 19: Accept Terms and Conditions and Submit the DUA

Agree to tl use of data Health and correspond CMS agree System of purposes t	he Terms & Conditions: Thin from the Centers for Medica Human Services ("HHS"), T. ding purposes for their use, s to provide you with the dat Records ("SOR"). In exchang hat support your study, rese	Agreement governs the requesting organization's ("you/your") receipt and e & Medicaid Services ("CMS"), a component of the U.S. Department of is Agreement covers the CMS data files you requested and the specified in the Enterprise Privacy Policy Engine ("EPPE") system. If lies specified in the DUA Request, which reside in a CMS Privacy Act you agree to: (a) pay any applicable fees; (b) use the data only for rch, or project, as specified in the DUA Request, which CMS has determined	
provided to	o beneficiaries; and (c) to en	names, and improve the medicate and medicate programs and/or services ure the integrity, security, and confidentiality of the data by complying with above.*	Ŧ

- 1. Scroll through and click the *I agree to the terms and conditions above* checkbox.
- 2. Click Submit.

The submission confirmation message is displayed on the DUA Status screen indicating, "DUA request [DUA Number] has been submitted for review. You will receive a follow-up email notification. To view the DUA navigate to My DUA(s)."

Figure 20: DUA Status: Submitted Message



Notes:

- 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 displays in the Approved queue.

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)
DMT	DUA Management Team
DUA	Data Use Agreement
EPPE	Enterprise Privacy Policy Engine
IDM	Identity Management
IDR	Integrated Data Repository
LDS	Limited Data Set
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 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