



Centers for Medicare & Medicaid Services

Enterprise Privacy Policy Engine Cloud (EPPE)

Contractor Approval Workflow Training Module – Update New Data Files

Version 2.1

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1. Overview

This Training Guide will cover the following:

- How to Update/Amend a Contractor DUA
- How to update Extraction Attestation for New Data Files
- How to Edit the Data File Extraction Information
- How to Edit the Delivery Method Information
- How to Complete the Data File Attributes Information
- How to Upload Documentation
- 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: <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.

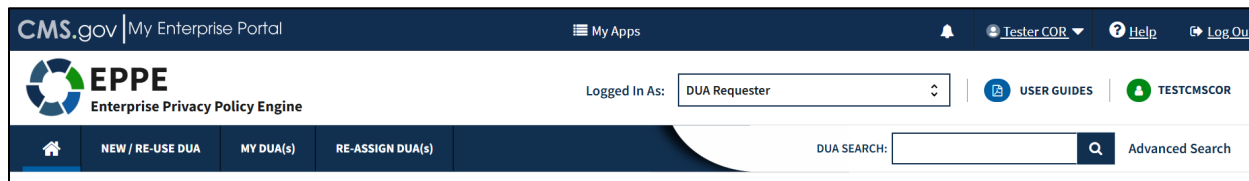


The question mark icon, when selected, will display field specific help.

2. Update/Amend a DUA

Log 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.

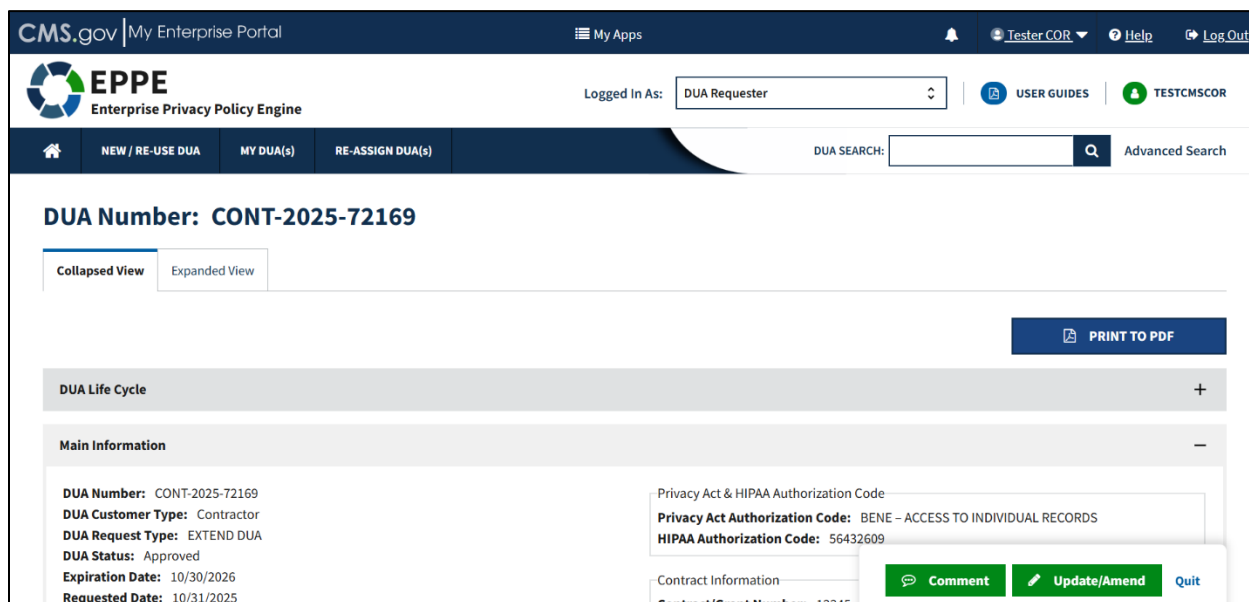
Figure 2: List of DUAs Eligible to Update

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 **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



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

Figure 4: DUA Screen: Edit

CMS.gov | My Enterprise Portal

EPPE Enterprise Privacy Policy Engine

Logged In As: DUA Requester

USER GUIDES TESTCMSCOR

DUA SEARCH: [Search] Advanced Search

NEW / RE-USE DUA MY DUA(s) RE-ASSIGN DUA(s)

✓ CONT-2025-72169 is ready for updates. Status has been changed to *In Progress*.

DUA Number: CONT-2025-72169

Collapsed View Expanded View Approved Version

PRINT TO PDF

DUA Life Cycle +

Main Information -

DUA Number: CONT-2025-72169
 DUA Customer Type: Contractor
 DUA Request Type: UPDATE DUA

Privacy Act Privacy Act

Cancel Update 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 screen has the following editable sections:

- Main Information
- Subcontractor Organization(s)
- Data users
- New Data File Selection(s)
- Upload Documents

Figure 5: New Data File Selection(s) Section

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

Main Information

DUA Number: CONT-2023-70152

Project Name* test

Privacy Act Authorization Code* PA03-CPC - COMPREHENSIVE PRIMARY CARE

HIPAA Authorization Code* Research

DUA Category - None -

Contract Number* 3445

Task Order Number

Contract Start Date* 12/06/2023

Contract End Date* 12/31/2030

Select your CMS Contact (COR)* Tester COR

Save Next

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

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

Figure 6: New Data File Selection(s): Extraction Attestation

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

New Data File Selection(s) DUA Number: CONT-2025-72169

Extraction Attestation

Will contractors be extracting/receiving CMS data outside of CMS systems?* ☐ Yes ☒ No

ADD NEW DATA FILES

Code	Data File Description	Extraction % / Cohort	From Year	To Year	Status	Actions
07687	test	1	2026	2026	APPROVED	Show Details Edit Apply to Others

Displaying 1 - 1 of 1

Save & Quit Previous Next

1. Select the appropriate Extraction Attestation.

Figure 7: New Data File Selection(s): Update Extraction Attestation

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

New Data File Selection(s) DUA Number: CONT-2025-72169

Extraction Attestation

Will contractors be extracting/receiving CMS data outside of CMS systems?* ☒ Yes ☐ No

Please provide justification describing why data must leave CMS system boundaries:*

Justification added.

Content limited to 400 characters, remaining: 380
Additional supporting documentation can be added in the Upload Documents section.

ADD NEW DATA FILES

Code	Data File Description	Extraction % / Cohort	From Year	To Year	Status
------	-----------------------	-----------------------	-----------	---------	--------

Save & Quit Previous Next

2. If **Yes** is selected, please provide a justification in the justification text box. The justification text box has a 400-character limit.

Note: The changes of the Extraction Attestation and Justification will be captured in the DUA Life Cycle.

Figure 8: New Data File Selection(s): Update New Data File

ADD NEW DATA FILES						
Code	Data File Description	Extraction % / Cohort	From Year	To Year	Status	Actions
07687	test	1	2026	2026	APPROVED	Show Details Edit Apply to Others
Displaying 1 - 1 of 1						

3. Click **Edit** link to update the specific Data file.

Note: Click **ADD NEW DATA FILES** if you want to add more Data Files to the Data File 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 9: Data File Information: Data File Extraction Tab

Edit Data File Selection

Data File Extraction

Delivery Method

Add New Location

Data File: 07687 - test

Data File Extraction / Cohort*

From*

To*

Extraction Type(s)

State(s)

Add

Extraction % / Cohort	From Year	To Year	Extraction Types	States	Actions
1	2026	2026			Remove

Next

Cancel

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

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

Figure 10: Data File Information: Extraction Attributes Selected

Extraction % / Cohort	From Year	To Year	Extraction Types	States	Actions
1	2026	2026			✕ Remove
100	2026	2026			✕ Remove

6. Click **Next**.

2.2 Data File Information: Delivery Method

The Delivery Method tab is displayed. Direct Access is the default Delivery Method and IDR is the default Data Dissemination System; however, this information is editable.

Figure 11: Data File Information: Both Direct Access and Shipping Delivery Method

Edit Data File Selection

Data File Extraction **Delivery Method** Add New Location

Data File: 07687 - test

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

Direct Access Information

Data Dissemination System:

Shipping Information

Data Dissemination System:

Primary Recipient:

Data Shipping Location: [Add Location](#)

Carrier:

Add

[Previous](#) **Submit** [Cancel](#)

1. Select the **Delivery Method**.
2. Select the **Data Dissemination System**.
3. Complete the other fields, as necessary.
4. Click **Add** to populate the table.
5. Click **Submit**.

2.3 Completing Data File Attributes

The file's status is changed to **"UPDATED."**

Figure 12: Updated status Data File

ADD NEW DATA FILES						
Code	Data File Description	Extraction % / Cohort	From Year	To Year	Status	Actions
111	sdfsd				INCOMPLETE	Show Details ▾ Edit Remove
07687	test	1 100	2026 2026	2026 2026	UPDATED	Show Details ▾ Edit Apply to Others
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 has 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 13: New Data File(s): Apply to Others Pop-Up: Select Extracts to Apply

Apply to Others

Select Extracts to Apply

Apply Delivery Details

Select Other Data Files

☐ [2010 - 2024] : 100%, Final

Next

Cancel

1. Select the check box to select the Extracts to Apply.
2. Click **Next**.

Figure 14: New Data File(s): Apply to Others Pop-Up: Select Apply Delivery Details

The screenshot shows a dark blue header bar with the text "Apply to Others" and a close button (X). Below the header is a white content area with three tabs: "Select Extracts to Apply", "Apply Delivery Details" (which is selected and highlighted with a blue border), and "Select Other Data Files". Under the "Apply Delivery Details" tab, there is a checkbox labeled "Apply Delivery Details" with the text "Check this box to apply the delivery details to the selected data files." below it. At the bottom of the window is a dark blue footer bar with three buttons: "Previous" (white text on a dark blue button), "Next" (white text on a green button), and "Cancel" (white text on a dark blue button).

3. Select the checkbox to Apply Delivery Details.
4. Click **Next**.

Figure 15: New Data File(s): Apply Others Pop-Up: Select Other Data Files

The screenshot shows the same "Apply to Others" pop-up window, but with the "Select Other Data Files" tab selected and highlighted with a blue border. The "Apply Delivery Details" checkbox is now greyed out. Under the "Select Other Data Files" tab, there is a list of two items, each with a checkbox: "111 - sdfsd" and "11620205 - Adding new data file". At the bottom of the window is a dark blue footer bar with three buttons: "Previous" (white text on a dark blue button), "Submit" (white text on a green button), and "Cancel" (white text on a dark blue button).

5. Select the check box to select the Data Files.
6. Click the **Submit** button.

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/Delivery Method 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

New Data File Selection(s) DUA Number: CONT-2024-70315

✓ The Apply to Others action was performed on CONT-2024-70315: ACOP - PIONEER ACO PROVIDER 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

7. Click the **Next** button.

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 Upload Documents

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

Figure 17: Upload Documents Section

NEW / RE-USE DUA MY DUA(s) RE-ASSIGN DUA(s) DUA SEARCH: Advanced Search

New / Re-Use DUA DUA Number: CONT-2025-72186

Upload Documents

UPLOAD ADDITIONAL DOCUMENTS

Document Type	Document Name	Data User	Description	Uploaded	Actions
SIGNATURE ADDENDUM	test (6).pdf	Arabella figg		11/10/2025	Download

Displaying 1 - 1 of 1 25 ▾

1. Click **Upload Additional Documents** to upload document(s).

Figure 18: Upload Additional Documents Pop-up

Upload Additional Documents

Upload Documents

Document Type*

Select

Description

Select File(s)*

Drag files here or [choose from folder](#)

Add [Cancel](#)

2. Select **Document Type** from the dropdown menu.
3. Enter a **Description** (Optional).
4. Click the **Choose from folder** link to choose your file.
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.

Figure 19: Upload Documents Table

NEW / RE-USE DUA | MY DUA(s) | RE-ASSIGN DUA(s) | DUA SEARCH: Advanced Search

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

Upload Documents | DUA Number: CONT-2025-72186

✓ Testing_0.docx was added to CONT-2025-72186

UPLOAD ADDITIONAL DOCUMENTS

Document Type	Document Name	Data User	Description	Uploaded	Actions
ADDITIONAL DOCUMENTS	Testing_0.docx			11/17/2025	Download Update Remove
SIGNATURE ADDENDUM	test (6).pdf	Arabella figg		11/10/2025	Download

Displaying 1 - 2 of 2

6. Click the **Next** button when the Documents are added.

2.5 Submit the Update/Amend DUA

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

Figure 20: Edit DUA: Review Page

✓ CONT-2024-70519 has been saved.

DUA Number: CONT-2024-70519

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 DHHS
 HIPAA Authorization Code: Law Enforcement (court orders, subpoenas)

1. Click **Submit**.

The Comments pop-up is displayed.

Figure 21: Submit: Comment Tab

The screenshot shows a web application window titled "Submit CONT-2024-70315 for Review". It has two tabs: "Comments" (active) and "Terms & Conditions". Under the "Comments" tab, there is a section "Add Comment" with a text area containing the placeholder text "A comment is optional." Below the text area, it says "Content limited to 2000 characters, remaining: 2000". There is another section "Special Instructions" with a text area containing the placeholder text "Special instructions are optional." Below this text area, it also says "Content limited to 2000 characters, remaining: 2000". At the bottom right of the window, there are two buttons: "Next" (green) and "Cancel" (blue).

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

The Terms & Conditions screen is displayed.

2.6 Terms and Conditions

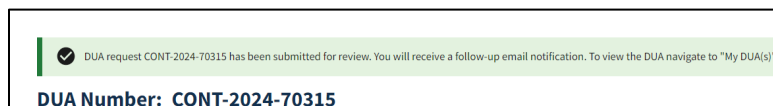
The Terms and Conditions are provided for review and acceptance.

Figure 22: Accept Terms and Conditions and Submit the DUA

The screenshot shows the same window as Figure 21, but the "Terms & Conditions" tab is active. It displays a scrollable text area with the following text: "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". Below the text area, there is a checkbox with a blue checkmark and the text "I agree to the terms and conditions above.*". At the bottom of the window, there are three buttons: "Previous" (blue), "Submit" (green), and "Cancel" (blue).

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 View 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 23: DUA Status: Submitted Message

Note: 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 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

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 CONT DUA.

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