



**Centers for Medicare & Medicaid Services**

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

## **Contractor Approval Workflow Training Module - CMS Contact (COR) Deny DUA**

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**Version 2.0**

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# 1. Overview

This Training Guide will cover the following:

- How to Review and Deny the Contractor DUA.
- How to view the DUA Data Files Details.
- How to view document attachments.
- How to view Denied Contractor DUA Confirmation.
- How to view the Denied DUA Acknowledgement.

## 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.



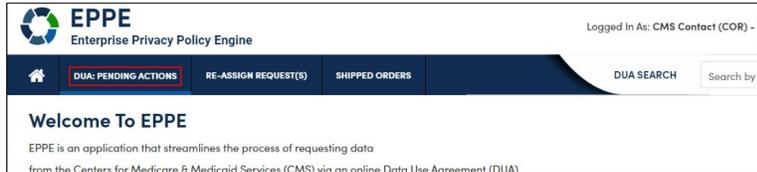
The question mark icon, when selected, will display field specific help.

## 2. Review and Deny the DUA

**Note:** All actions in this set of instructions are for the CMS Contact (COR) user.

Log in to the EPPE application.

Figure 1: EPPE Welcome Screen



1. Click **DUA: PENDING ACTIONS** to display a list of Submitted DUAs for COR review. A list of DUAs pending an action is displayed.

Figure 2: List of DUAs Pending an Action

DUA Approval & Extension Requests						
DUA Number	Organization	DUA Action	Requester	Request Date	Workflow Status	Actions
CONT-2023-70133	HCD Organization	UPDATE DUA	Tester COR	12/05/2023	Submitted-Waiting for CMS COR Approval	<a href="#">Review</a>
CONT-2023-70153	HCD Organization	CREATE DUA	Tester COR	12/07/2023	Submitted-Waiting for CMS COR Approval	<a href="#">Review</a>

2. Specify **Search** criteria (optional).
3. Click the **Review** action to review and take action.

**Note:** If there are multiple pages of DUAs Pending Action, the previous and next icons (<, >) and page number buttons allow you to scroll through the listing.

The **DUA Review** screen is displayed.

Figure 3: DUA Review

**DUA Number: CONT-2023-70153**

Collapsed View | Expanded View

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DUA Life Cycle +

Main Information -

<p>DUA Number: CONT-2023-70153</p> <p>DUA Request Type: CREATE DUA</p> <p>DUA Status: Submitted-Waiting for CMS COR Approval</p> <p>Requested Date: 12/07/2023</p> <p>Requester: Tester COR</p> <p>Requester's Email: testercor07@gmail.com</p> <p>Requester's Phone Number: (609) 665-2030</p> <p>Last Updated By: Tester COR</p> <p>Organization Name: HCD Organization</p> <p>Project Name: testing.2373</p>	<p>Privacy Act &amp; HIPAA Authorization Code</p> <p>Privacy Act Authorization Code: PA07-LAW - CIVIL / CRIMINAL LAW ENFORCEMENT</p> <p>HIPAA Authorization Code: Research</p> <p>Contract Information</p> <p>Contract/Grant Number: 2373</p> <p>Contract Start Date: 12/06/2023</p> <p>Contract End Date: 12/31/2030</p>
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[Request more information](#) [Approve](#) [Deny](#) [Quit](#)

4. Determine if a DUA should be denied by reviewing data files and uploaded documents.

**Note:** The reason for denial can be viewed in the DUA Lifecycle.

### 2.1 View DUA Data File Details

Review the DUA Data File details in the Data File Descriptions section.

**Figure 4: DUA Data File Details**

Data File Descriptions					
Re-used Data File Descriptions					
Code	Data File Description	Re-Use DUA	From Year	To Year	
533155	533155 - 100% INPATIENT CLAIMS		2019	2024	Show details
533155	533155 - 100% INPATIENT CLAIMS				Show details
Displaying 1 - 2 of 2					
New Data File Descriptions					
Code	Data File Description		From Year	To Year	
ACO-AF	ACO-AF - PIONEER ACO ALIGNMENT FILE		2020	2024	Show details
ACOB	ACOB - PIONEER ACO BENEFICIARY FILE				Show details
Displaying 1 - 2 of 2					

1. Click the **Show Details** action to view the **Data File Details**.

The Data file details for the selected file will be displayed (shown in two parts for legibility).

**Figure 5: Data File Description: Extraction Details**

Data File Description Details			
<b>Data File:</b> ADVACF - ADVACF - ADVERSE ACTION FILE W/ MEDICAID PROVIDER TERMINATION, MEDICARE REVOCATION, & OIG HHS EXCLUSION DATA <b>Privacy Level:</b> IDENTIFIABLE <b>Access Type:</b> BOTH DIRECT ACCESS AND SHIPPING <b>Data Disseminator Type:</b> IDR <b>Data Dissemination System:</b> HRS			
From - To Year	Extraction % / Cohort	Extraction Type	States
2023 - 2024	100%	Q2	AK
Shipping Details			
Shipping Location	Recipient	Carrier	Carrier Account Number
One Lane One City, MD 21075	Tester COR	Federal Express (FedEx)	7676

2. Review **Extraction** Details.
3. Scroll down the page to review additional sections.

**Figure 6: DUA File Description: Data User(s) Details**

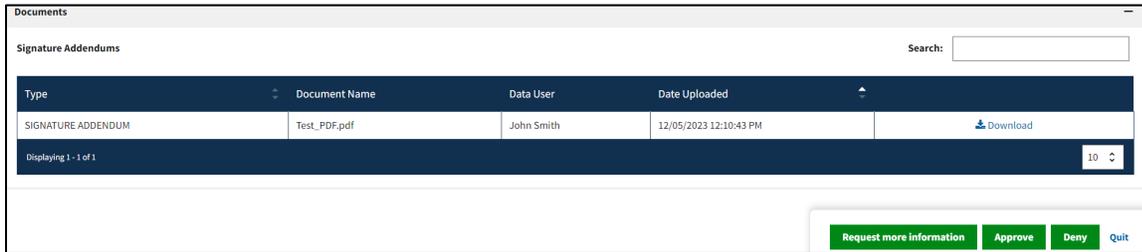
Data User Details
<b>Data User Role:</b> Direct Access <b>Data User Name:</b> John Smith <b>Email Address:</b> jsmith@email.com <b>Phone:</b> 1234567899 <b>Address:</b> 3rd Street, MD 21075

4. Review the **Data User(s)** details.

## 2.2 View Document Attachments

You can view the DUA supporting documentation in the Documents section.

Figure 7: Supporting Documentation

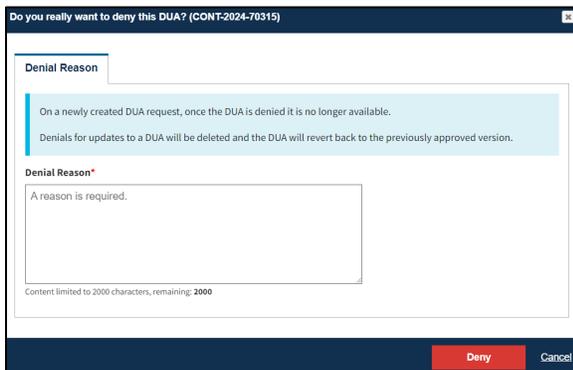


1. Click the **Download** action to view the document attachment(s).
2. Click the **DENY** button.

## 2.3 Denied DUA Confirmation

If the CMS Contact (COR) denies the DUA, the following confirmation, “*Do you really wish to deny the DUA? On a newly created DUA request, once the DUA is denied it is no longer available. Denials for updates to a DUA will be deleted and the DUA will revert to the previously approved version.*” is provided.

Figure 8: Denial Confirmation



1. Enter the **Denial Reason**.
2. Click **Deny**.

### Notes:

- Once the DUA is denied, it is no longer active on the new DUA request.
- Denials for updates to a new DUA will be deleted and the DUA will revert to the previously approved version.

## 2.4 Denied DUA Acknowledgement

The DUA Review Page will be redisplayed.

Figure 9: Pending Actions Queue



The message, “*<DUA number> has been denied*” is displayed.

### 3. Acronyms

The following are acronyms used within the EPPE system.

**Table 1: Acronyms**

Acronym	Definition
<b>CMS</b>	Centers for Medicare and Medicaid Services
<b>COR</b>	CMS Contact (COR)
<b>DUA</b>	Data Use Agreement
<b>EPPE</b>	Enterprise Privacy Policy Engine
<b>IDM</b>	Identity Management
<b>MFA</b>	Multi-Factor Authentication
<b>PDF</b>	Portable Document Format

## 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](mailto:eppe@cms.hhs.gov)