



**Centers for Medicare & Medicaid Services**

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

## **Contractor Approval Workflow Training Module - Update New Data Files**

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## Table of Contents

<b>1. Overview</b> .....	<b>1</b>
1.1 EPPE Access Prerequisites .....	1
1.2 Icons Used Throughout the EPPE System .....	1
<b>2. Update/Amend a DUA</b> .....	<b>2</b>
2.1 Data File Information: Data File Extraction .....	5
2.2 Data File Information: Shipping Information.....	5
2.3 Completing Data File Attributes .....	6
2.4 Submit the Update/Amend DUA .....	7
2.5 Terms and Conditions.....	8
<b>3. Acronyms and Glossary</b> .....	<b>10</b>
<b>4. EPPE Help Desk Information</b> .....	<b>11</b>

## List of Figures

Figure 1: EPPE Welcome Screen .....	2
Figure 2: List of DUAs Eligible to Update .....	2
Figure 3: DUA Screen .....	2
Figure 4: Click the New Data Files Selection Section.....	3
Figure 5: New Data File Descriptions Section .....	3
Figure 6: Add New Data File .....	3
Figure 7: Edit: New Data File(s) Selection Screen .....	4
Figure 8: Add New Data Files Confirmation .....	4
Figure 9: New Data Files added to Update Table .....	4
Figure 10: Data File Information: Data File Extraction Tab.....	5
Figure 11: Data File Information: Extraction Attributes Selected .....	5
Figure 12: Data File Information: Shipping Information Tab .....	6
Figure 13: Shipping Information: Selected Shipping Details.....	6
Figure 14: Data File Attributes for First File is Complete.....	6
Figure 15: New Data File(s): Apply First Data File Attributes to All New Files.....	7
Figure 16: New Data File(s): Status Complete .....	7
Figure 17: Edit DUA: Review Page .....	8
Figure 18: Submit: Comment Tab .....	8

Figure 19: Accept Terms and Conditions and Submit the DUA..... 9  
Figure 20: DUA Status: 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 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: <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.

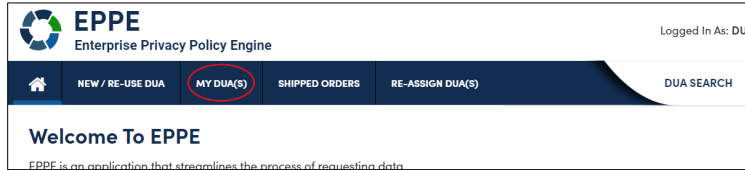


The question mark icon, when selected, will display field specific help.

## 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.

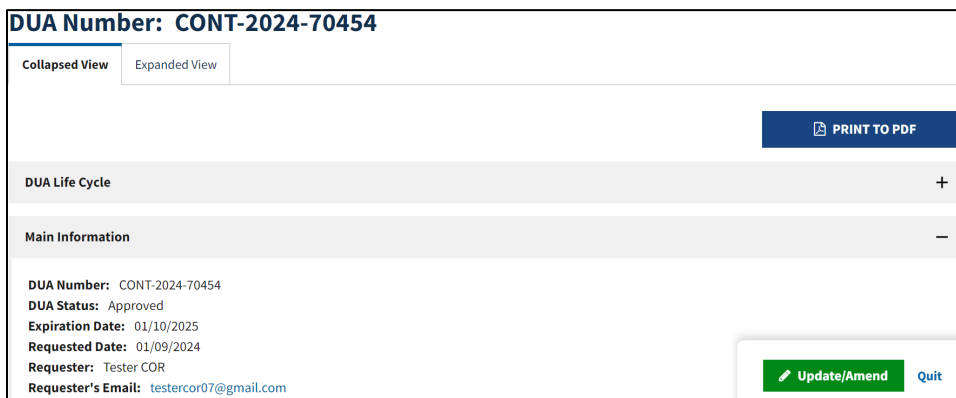
Figure 2: List of DUAs Eligible to Update

My DUA(s)									
Status: <span>Approved</span> Search: <input type="text"/>									
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	<a href="#">Close</a>	<a href="#">Update/Amend</a>
LDSS-2023-70136	HCD Organization	Limited Data Set	CREATE DUA	Approved	Tester COR		12/04/2023 - 12:45		
CONF-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	<a href="#">Close</a>	<a href="#">Update/Amend</a>
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	<a href="#">Close</a>	<a href="#">Update/Amend</a>
CONT-2023-60167	HCD Organization	Contractor		Approved	Tester User	11/24/2023	11/24/2023 - 19:41	<a href="#">Close</a>	<a href="#">Update/Amend</a>

2. Click **Update/Amend** OR use the **Search** feature to locate a DUA to update.

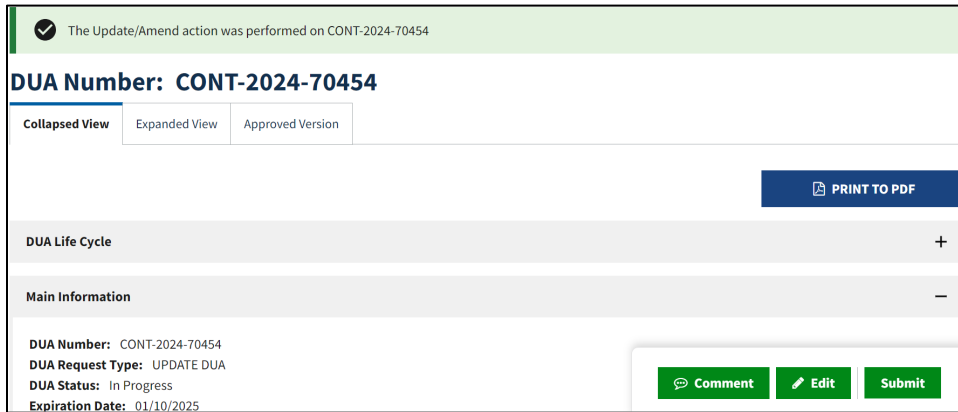
**Note:** If there are multiple pages of Approved DUAs, the previous and next icons (<, >) and page number buttons activate for scrolling through the listing. The **My DUA** screen is displayed.

Figure 3: DUA Screen



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

Figure 4: Click the New Data Files Selection Section



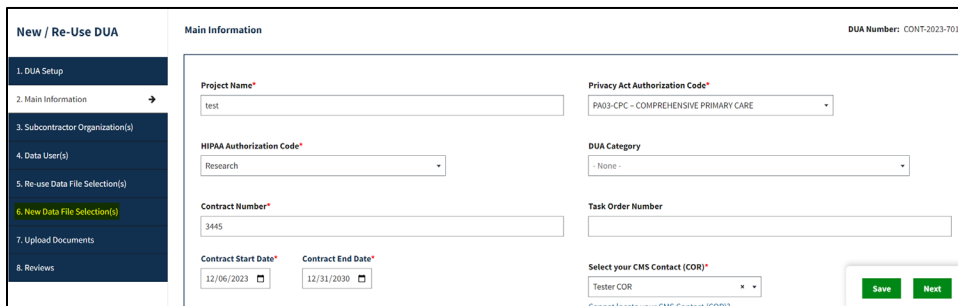
4. Click the **Edit** button.

**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

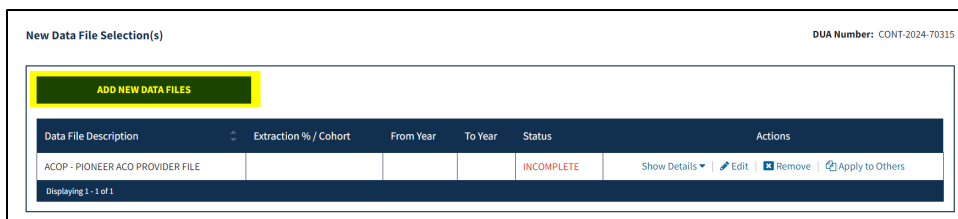
Figure 5: New Data File Descriptions Section



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

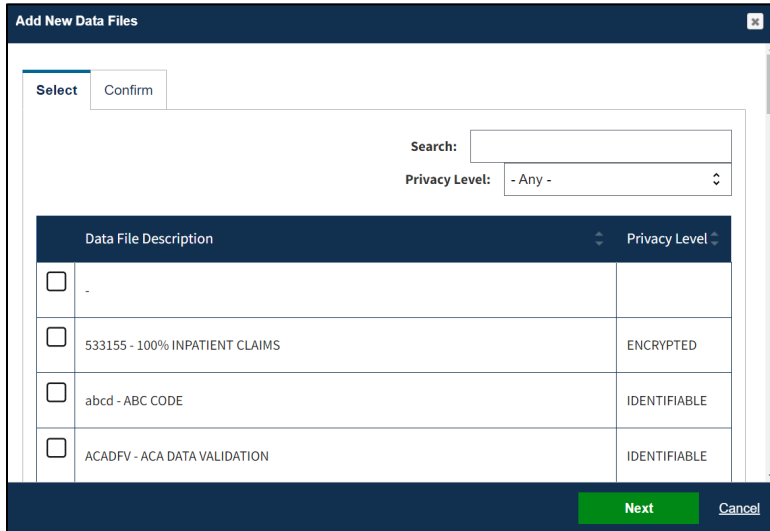
The New Data File(s) Selection screen is displayed.

Figure 6: Add New Data File



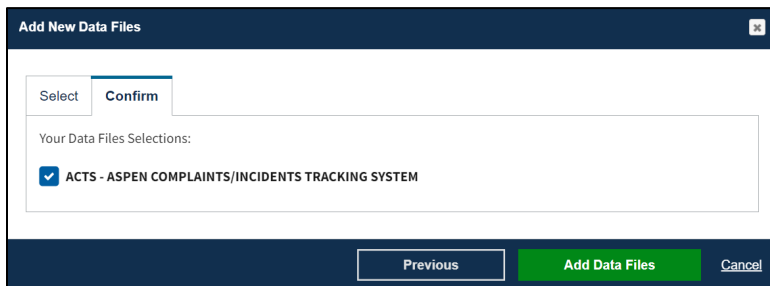
6. Click the **ADD NEW DATA FILES** button.

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



- 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



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**

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**

Extraction % / Cohort	From Year	To Year	Extraction Types	States	Actions
100	2023	2023	Annual	MD	Remove

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

1. Select the appropriate **Access Method**.
2. 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

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

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

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

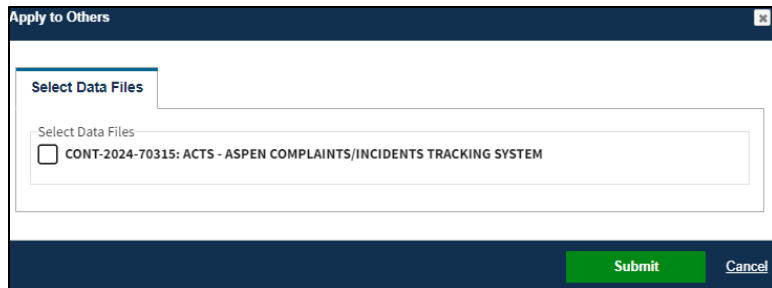
1. Click the **Edit** action to enter attributes for each file OR Click the **Apply to Others** button to apply the same attributes to all or some of the remaining files.

**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**

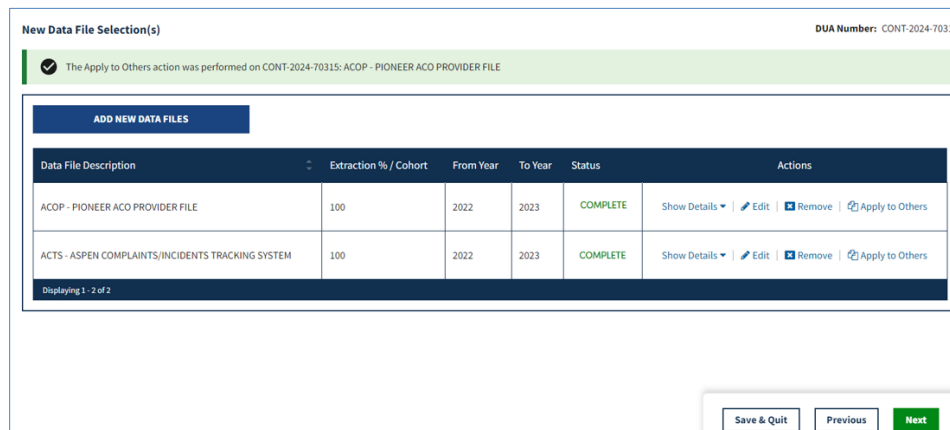


2. Select the check box to select data files OR select individual data file(s).
3. Click **Submit**.

**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**



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.

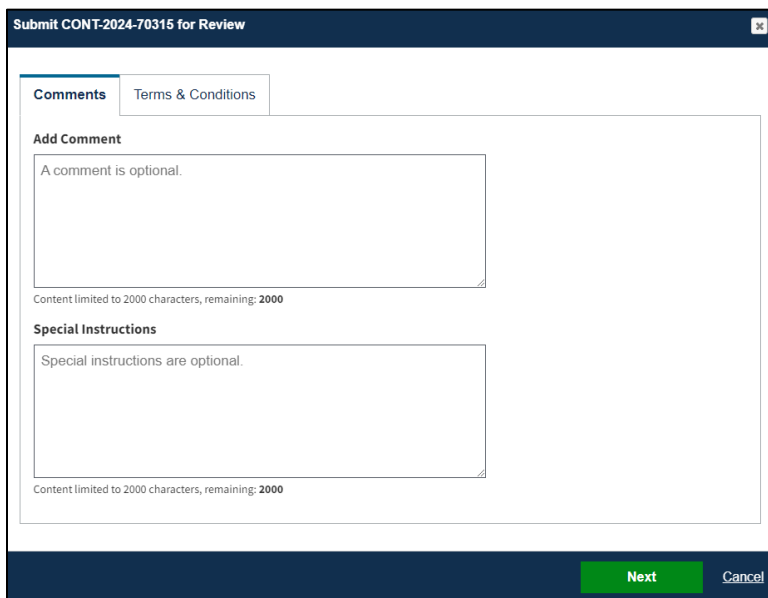
**Figure 17: Edit DUA: Review Page**



1. Click **Submit**.

The Comments pop-up is displayed.

**Figure 18: Submit: Comment Tab**



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**

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
<b>CMS</b>	Centers for Medicare and Medicaid Services
<b>COR</b>	CMS Contact (COR)
<b>DMT</b>	DUA Management Team
<b>DUA</b>	Data Use Agreement
<b>EPPE</b>	Enterprise Privacy Policy Engine
<b>IDM</b>	Identity Management
<b>IDR</b>	Integrated Data Repository
<b>LDS</b>	Limited Data Set
<b>MFA</b>	Multi-Factor Authentication
<b>PDF</b>	Portable Document Format
<b>VRDC</b>	Virtual Research Data Center

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

**Table 2: Glossary**

Term	Definition
<b>Signature Addendum</b>	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](mailto:eppe@cms.hhs.gov)