



Centers for Medicare & Medicaid Services

Enterprise Privacy Policy Engine Cloud (EPPE)

Contractor Approval Workflow Training Module – New Contractor DUA with New Data Files

Version 2.0

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1. Overview

This Training Guide will cover the following:

- How to add Sub-Contracting Organizations
- Main Information Selection
- How to add Data User/VRDC Users
- How to add New Data Files
- How to add the Data File Extraction Information
- How to add the Data User Information
- How to add the Shipping Information
- How to complete the Data File Attributes
- How to Upload Documentation
- How to review the DUA

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. Create a New DUA

Login to the EPPE system.

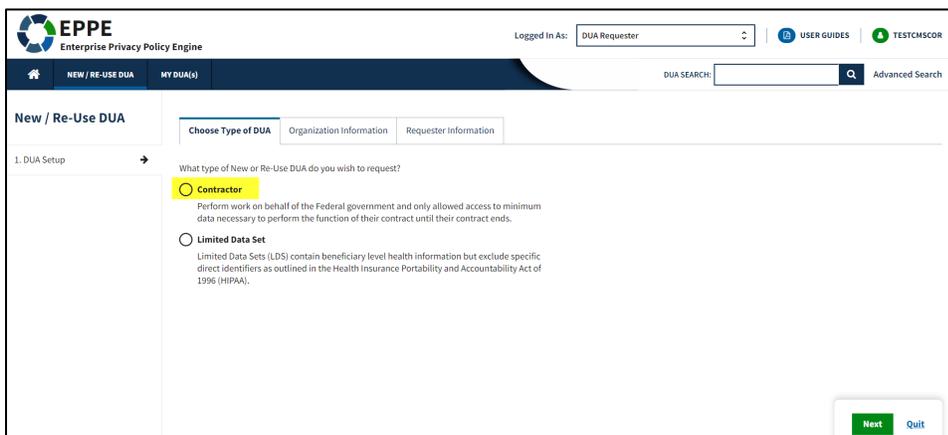
Figure 1: EPPE Welcome



1. Click **NEW / RE-USE DUA** from the menu to begin a new DUA.

The DUA Set Up screen for New / Re-Use DUA Request is displayed.

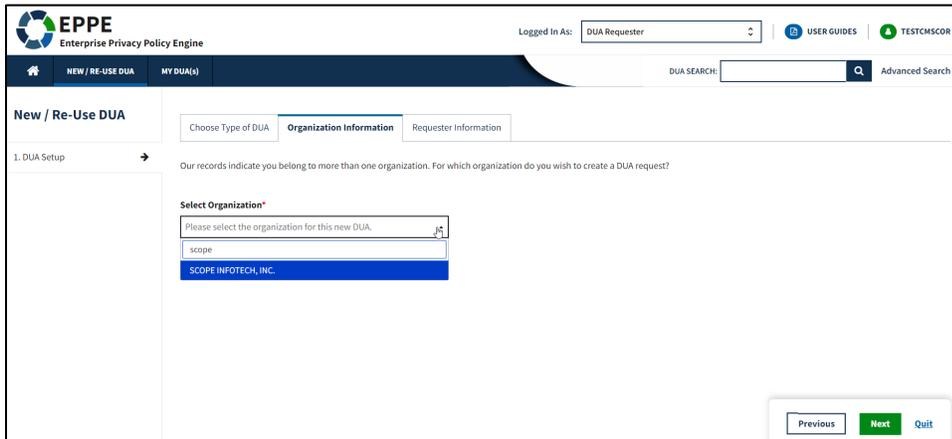
Figure 2: DUA Set Up Selection



1. Select the **Contractor** radio button.
2. Click **Next**.

Your organization is pre-populated. A dropdown will appear for you to select your organization if you are a Requester for multiple organizations.

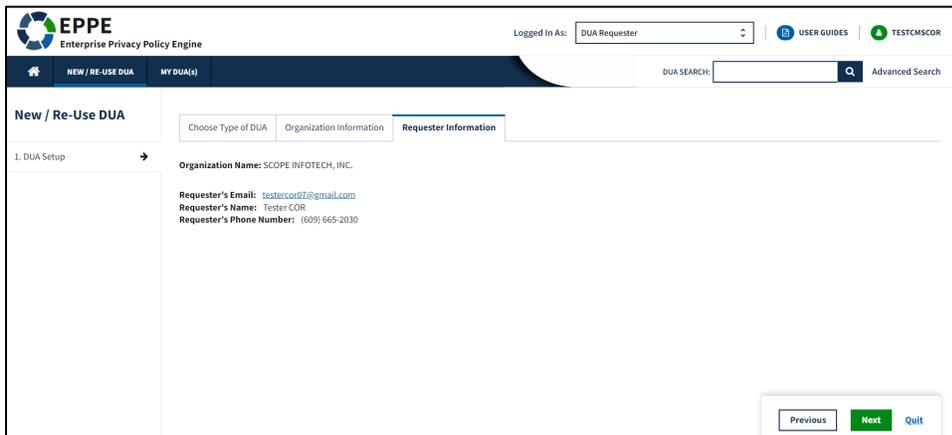
Figure 3: Organization Selection



3. Click **Next**.

Requester Information tab is displayed with the Requester Information pre-populated.

Figure 4: Requester Information



4. Click **Next**.

2.1 Main Information

The DUA Number is displayed on the right on the Main Information screen.

Figure 5: Main Information Screen

The screenshot shows the 'Main Information' screen for creating a new DUA. The sidebar on the left lists steps: 1. DUA Setup, 2. Main Information (selected), 3. Subcontractor Organization(s), 4. Data User(s), 5. Re-use Data File Selection(s), 6. New Data File Selection(s), 7. Upload Documents, and 8. Reviews. The main form area contains the following fields:

- Project Name***: Text input field.
- Contract Number***: Text input field.
- Task Order Number**: Text input field.
- Contract Start Date***: Date input field (mm/dd/yyyy).
- Contract End Date***: Date input field (mm/dd/yyyy).
- Select your CMS Contact (COR)***: Dropdown menu with 'Select' as the current selection.

Below the dropdown menu, there is a link: [Cannot locate your CMS Contact \(COR\)?](#). At the bottom right of the form, there are two buttons: 'Save & Quit' and 'Next'. The DUA Number is displayed as CONT-2024-70392 in the top right corner.

1. Enter the **Project Name**
2. Enter the **Contract Number**
3. Enter the **Task Order Number** (Optional)
4. Enter the **Contract Start Date** and **Contract End Date**
5. Select the **CMS CONTACT COR**
6. Click **Next**.

If the CMS CONTACT COR is not in the dropdown:

Click *Cannot locate your CMS Contact (CMS CONTACT COR)?* Link

The alert message “If you are unable to find your CMS Contact (COR)'s name, please request your CMS Contact (COR) to complete their registration with IDM and EPPE. Once they have informed you registration is complete you will be able to resume your DUA request..” is displayed.

Figure 6: Unable to Find the CMS CONTACT COR Alert

The alert message box has a dark blue header with the title "Cannot Locate your CMS Contact (COR)?". The main content area is white and contains the following text:

If you are unable to find your CMS Contact (COR)'s name, please request your CMS Contact (COR) to complete their registration with IDM and EPPE.

Once they have informed you registration is complete you will be able to resume your DUA request.

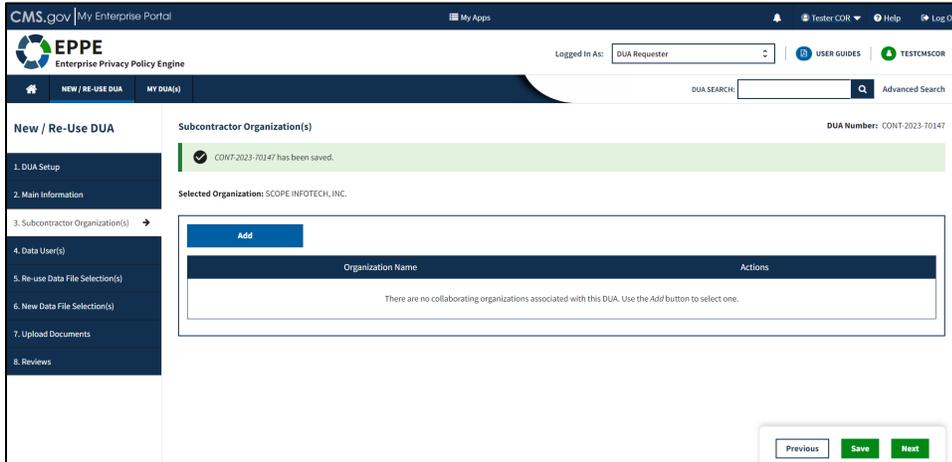
A "Close" button is located in the bottom right corner of the alert box.

7. Click **Close**.
8. Save the DUA, and resume entry once the CMS Contact (CMS CONTACT COR) is displayed in the list.

2.2 Add Sub-Contracting Organization(s)

The Organizations tab is displayed with the selected Primary Organization Name.

Figure 7: Sub-Contracting Organization 1

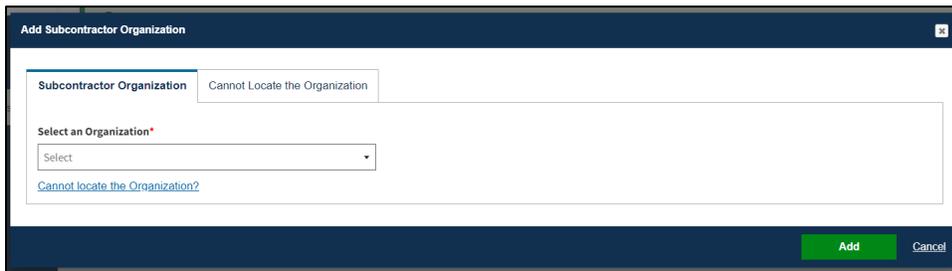


1. Click the **Add Button** if a Collaborating Organization is needed.
2. If no Collaborating Organization is needed, click **Next**.

Note: The **Add** button selection is depicted in the following example.

Clicked **Add** to Sub-Contracting Organization to open the **Add Sub-Contractor** tab.

Figure 8: Add Sub-Contracting Organization

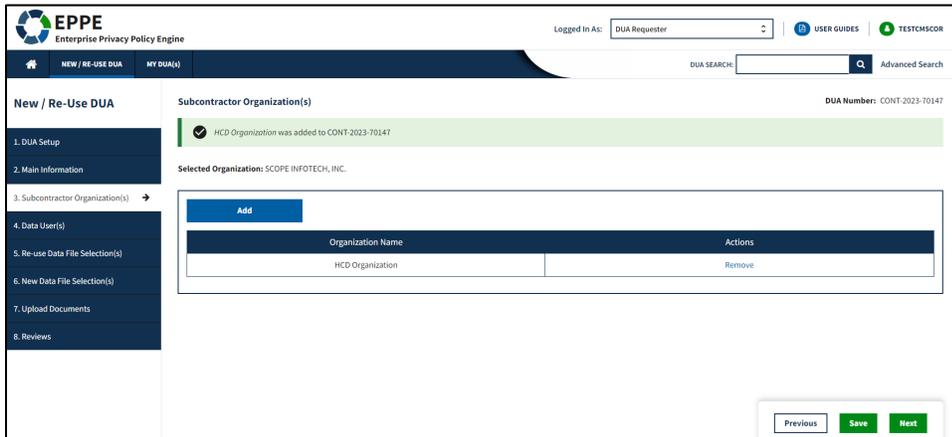


3. Enter the Sub-Contracting Organization name.
4. Select the Sub-Contracting Organization from the dropdown list.
5. Click **Add**.

Note: You must select the organization from the dropdown list.

After clicking ADD, the Sub-Contracting Organization is added to the selection table.

Figure 9: Sub-Contracting Organization 2



6. Click **Next**.

Note: Use the Remove action to remove the Sub-Contracting Organization from the table.

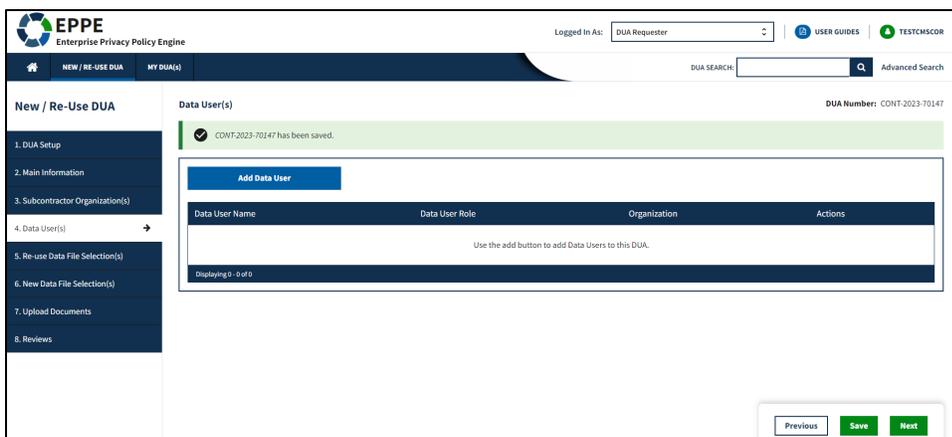
2.3 Add Data Users

The Data User(s) screen is displayed. Data Users are users who have administrative control over provided data and/or need access to data files within the VRDC data dissemination system.

Notes:

- Adding a Data User is required.
- Data Users and VRDC users added will display in the Data Users List.

Figure 10: Data Users Screen



1. Click the **Add Data User** button.

The Add Data User pop-up is displayed.

Figure 11: Add Data User Screen: Add Data User Tab

2. Select the **Organization**.
3. Select a **Data User** from the dropdown.
4. Select the **Data User's Location**.
5. Select the **Data User's Role**
6. Upload a **Signature Addendum**
7. Click the **Submit** button.

Figure 12: Data Users Screen: Data User(s) Table

Data User Name	Data User Role	Organization	Actions
John Smith	Direct Access	SCOPE INFOTECH, INC.	Show details

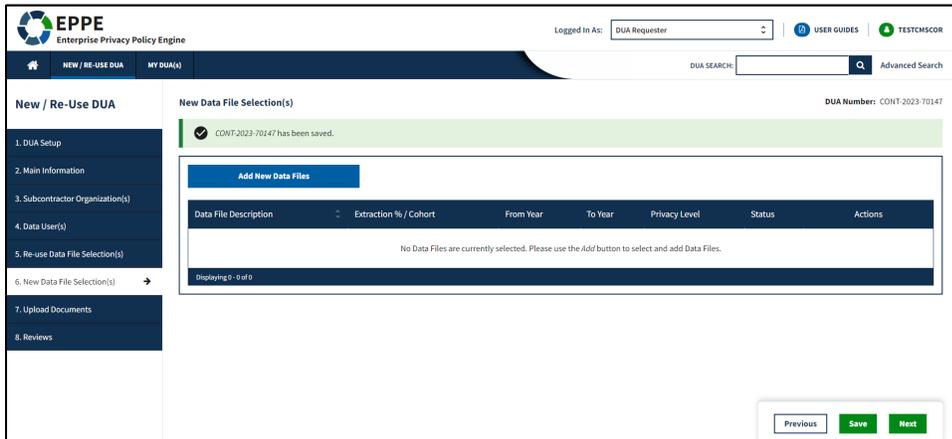
8. Click the **Next** button when all Data User(s) are added.

Note: Use the **Remove** action to remove Data User(s) from the table.

2.4 New Data File Selection

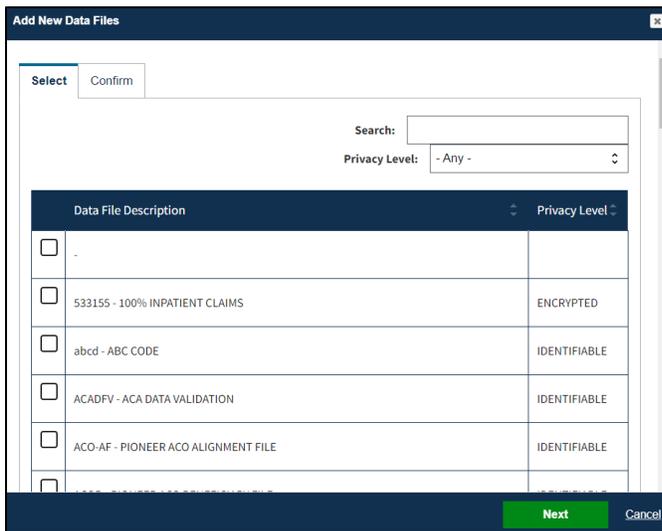
The New Data File(s) Selection screen is displayed.

Figure 13: New Data File(s) Selection



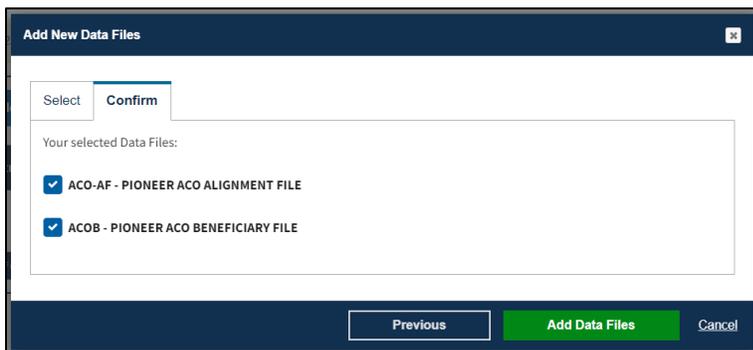
1. Click **Add New Data File** button.

Figure 14: Add New File Pop-Up



2. Select the data files to add.
3. Click the **Next** button to see the select files.

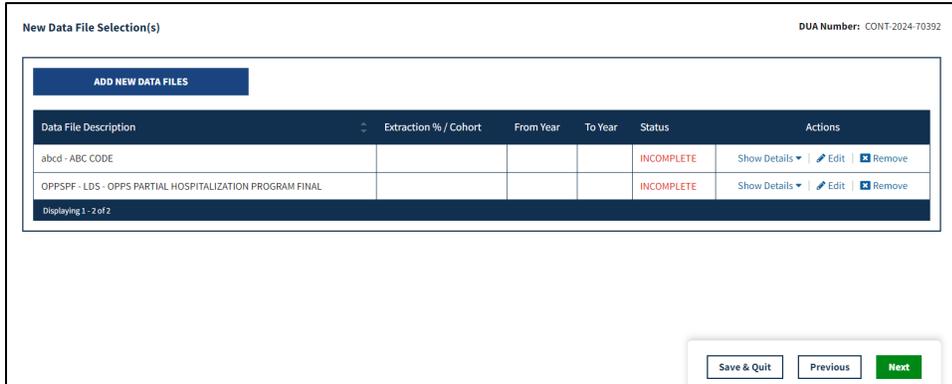
Figure 15: Confirm Data Selection File Pop-Up



4. Click the **Add Data Files** button to add the data files to the Data File table.

New Data File(s) Selection table is displayed. Enter more data files as needed. The selected data files are displayed in the new data files table.

Figure 16: New Data File(s) Selection with Files Added

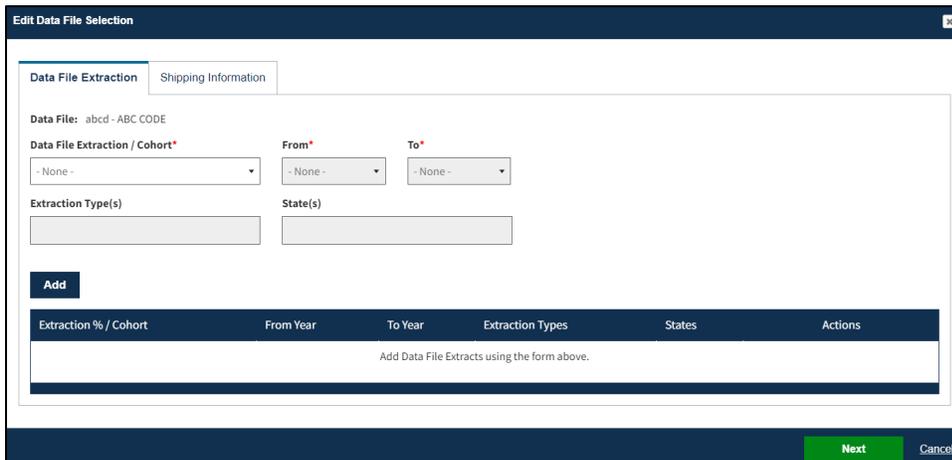


5. Click the **Edit** action to enter attributes for the first file.

2.5 Data File Information: Data File Extraction

The Data File Information pop-up is displayed with the Data File Extraction tab in focus.

Figure 17: Data File Information: Data File Extraction Tab



1. Select the **Available Year Range**.
2. Select the **From** and **To** year.
3. Choose any **Extraction Type** (Standard Analytic Files (SAF) are available quarterly).
4. Choose **State(s)** if applicable.
5. Click **Add**.

The data file extraction attributes display in the table.

Figure 18: Data File Information: Data File Attributes Added

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

Next
Cancel

6. Click **Next**.

2.6 Data File Information: Shipping Information

The Shipping Information tab is displayed. 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 19: Data File Information: Shipping Information Tab

Edit Data File Selection

Data File Extraction: Shipping Information

Data File: ACOP - PIONEER ACO PROVIDER FILE

Access Method: DIRECT ACCESS SHIPPING BOTH DIRECT ACCESS AND SHIPPING

Shipping Information

Data Dissemination System:

Primary Recipient:

Data Shipping Location: [Add Location](#)

Carrier:

Add

Recipient	Location	Carrier / Account Number	Actions
Add Shipping Information using the form above.			

Previous
Submit
Cancel

1. Select the **Shipping Access Method**.
2. Select the **Data Dissemination System**.
3. Select the **Primary Recipient**.
4. Select the **Data Shipping Location**.
5. Select the **Carrier** (if applicable).
6. Click **Add** to populate the table.
7. Click **Submit**.

Figure 20: Add Direct Access and Shipping Information

8. Select the **Access Method**. This example is based on selecting the Both Direct Access and Shipping option.
9. Select the **Data Disseminating System**.
10. Select or Add the **Data Shipping Location**.
11. Select the **Primary Recipient**.
12. Select the **Carrier** (if applicable)
13. Click **Add** to populate the table.
14. Click the **Submit** button.

2.7 Completing Data File Attributes

The first file’s status is “COMPLETE.”

Figure 21: Data File Attributes for First File is Complete

Data File Description	Extraction % / Cohort	From Year	To Year	Status	Actions
abcd - ABC CODE	100	2023	2023	COMPLETE	Show Details Edit Remove Apply to Others
OPPSPF - LDS - OPSS PARTIAL HOSPITALIZATION PROGRAM FINAL				INCOMPLETE	Show Details Edit Remove

- OR
1. Click the **Edit** action to enter attributes for each file.
 1. Click **Apply to Others** 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.
- Displayed once data file attributes for the first data file selection have been completed.

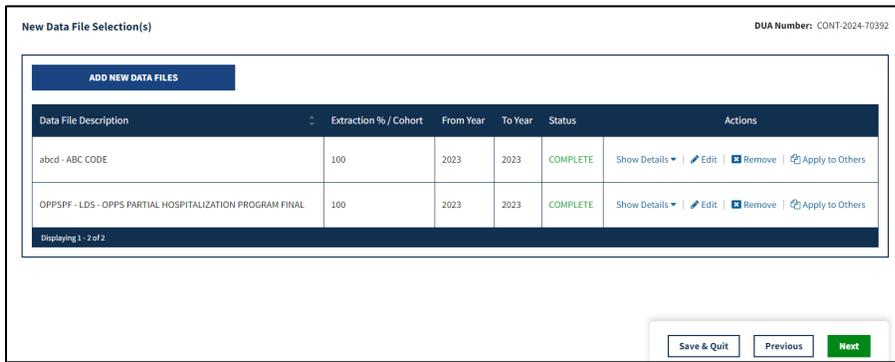
The Apply All pop-up is displayed.

Figure 22: New Data File(s): Apply All Pop-Up



2. Select the check box to select all data files.
3. Click the **Submit** button.

Figure 23: New Data File(s): Status “COMPLETE”



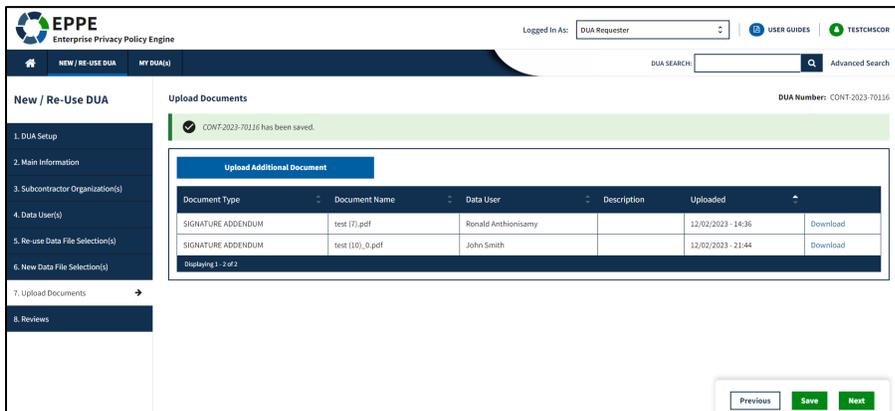
4. Click **Next**.

Note: Use **Remove** to remove a data file from the table, if applicable.

2.8 Upload Documents

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

Figure 24: Upload Documents Screen



1. Click **Upload Additional Documents** to upload document(s) from your local computer.

Figure 25: Upload Additional Documents pop-up

2. Select **Document Type** from the dropdown menu.
3. Enter a **Description**.
4. Click the **Choose File** button to choose your file from your local computer.
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.

2.9 Review the DUA

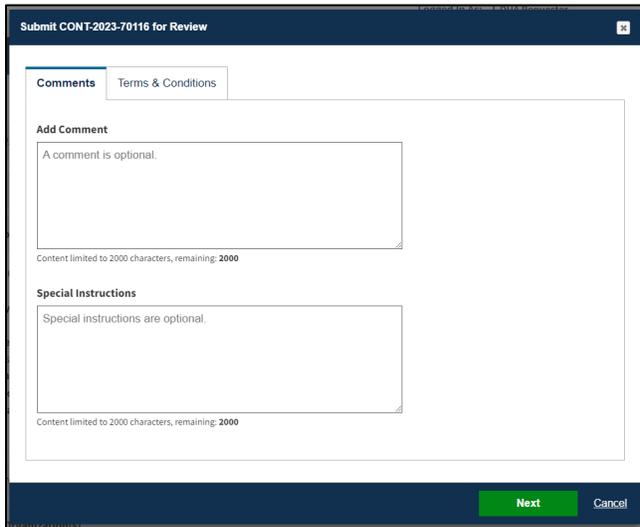
The Review screen is displayed the following sections of the DUA:

- DUA Life Cycle (click the plus icon to the right for details)
- Main Information
- Contacts and Proxies
- Sub-contractor Organization(s)
- Data User(s)
- Data File Descriptions for new and re-used files. Click the plus icon (+) for details.
- Documents

Figure 26: Review the DUA

1. Click the **Submit** button.

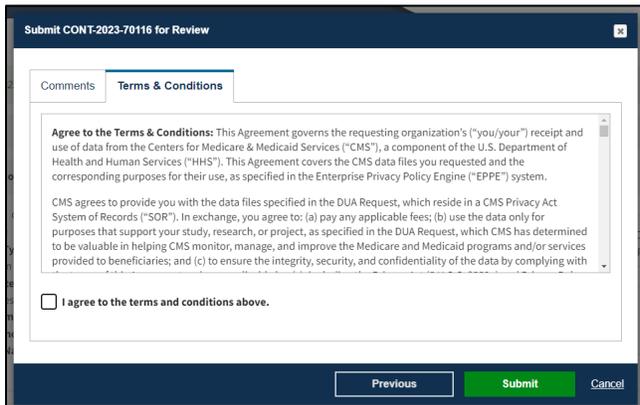
Figure 27: Submit the DUA: Add Comments



2. Enter **Comments**, if applicable.
3. Click the **Next** button.

The Terms & Conditions screen is displayed.

Figure 28: Accept Terms and Conditions and Submit the DUA



4. Mark the ***I agree to the terms and conditions above*** checkbox.
5. Click **Submit**.

Note: The Terms & Conditions now in CMS Contact COR Attachment B which no longer needs to be submitted as a separate form.

Submission confirmation message is displayed on the DUA Request Status screen, “*Your DUA request <DUA Number> has been submitted for approval. You will receive a follow-up email notification.*”

- The DUA Submitted Queue is accessible from the menu.
- The CMS CONTACT COR will find the DUA in their **Pending Action(s)** queue.

Figure 29: DUA Submission Confirmation Message



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)
DUA	Data Use Agreement
EPPE	Enterprise Privacy Policy Engine
IDM	Identity Management
IDR	Integrated Data Repository
MFA	Multi-Factor Authentication
PDF	Portable Document Format
VRDC	Virtual Research Data Center

4. EPPE Help Desk Information

EPPE Help Desk Contact Information

Hours of Operation: Monday – Friday 9:00 AM - 6:00 PM ET

844-EPPE-DUA (844-377-3382)

eppe@cms.hhs.gov