



Centers for Medicare & Medicaid Services

Enterprise Privacy Policy Engine Cloud (EPPE)

Contractor Approval Workflow Training Module - Update Supporting Documents

Version 2.0

01/22/2024

Document Number: EPPE-189-CONT_DUAReq_UpdateDocs-v2.0

Table of Contents

1. Overview	1
1.1 EPPE Access Prerequisites	1
1.2 Icons Used Throughout the EPPE System	1
2. DUA Requester – Update/Amend	2
2.1 Add Comments to DUA.....	5
2.2 Agree to Terms and Conditions	6
3. Acronyms and Glossary	7
4. EPPE Help Desk Information	8

List of Figures

Figure 1: EPPE Menu.....	2
Figure 2: List of DUAs Eligible to Update	2
Figure 3: My DUA Screen 1	2
Figure 4: My DUA Screen 2	3
Figure 5: Click Upload Documents Section	3
Figure 6: Upload Documents.....	4
Figure 7: Upload Documents Pop-Up.....	4
Figure 8: Upload Additional Documents	5
Figure 9: DUA Review Page	5
Figure 10: Add Comments or Special Instructions	5
Figure 11: Terms and Conditions	6
Figure 12: Submitted Message	6

List of Tables

Table 1: Acronyms	7
Table 2: Glossary	7

1. Overview

This Training Guide will cover the following:

- How to perform an Update/Amend to a Contractor DUA
- How to Add Comments to the Contractor DUA
- How to Update/Amend the Documents section of the Contractor 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. DUA Requester – Update/Amend

Log into the EPPE application.

Figure 1: EPPE Menu



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

A list of Approved DUAs is displayed.

Figure 2: List of DUAs Eligible to Update

My DUA(s)

Status: Search:

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 the **Update/Amend** link or **Search** for the DUA to update.

Note: If there are multiple pages of Approved DUAs, the previous and next (<, >) icons and page number buttons become available for scrolling through the listing.

The My DUA Screen is displayed.

Figure 3: My DUA Screen 1

DUA Number: CONT-2024-70454

Collapsed View Expanded View

[PRINT TO PDF](#)

DUA Life Cycle +

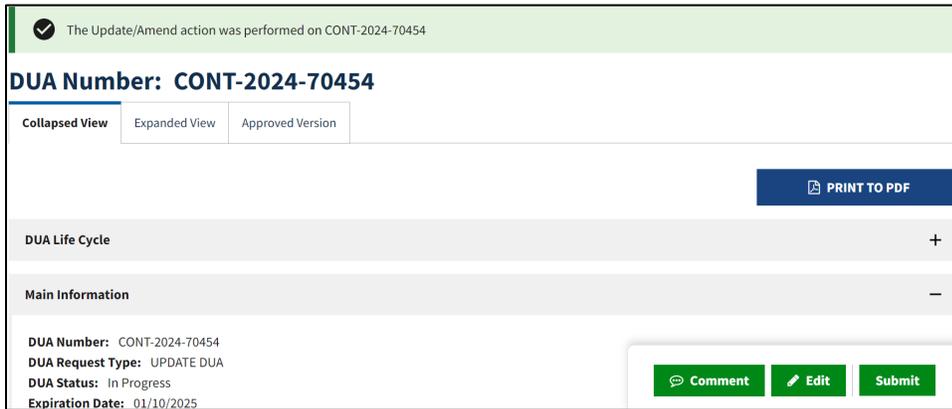
Main Information -

DUA Number: CONT-2024-70454
 DUA Status: Approved
 Expiration Date: 01/10/2025
 Requested Date: 01/09/2024
 Requester: Tester COR
 Requester's Email: testercor07@gmail.com

[Update/Amend](#) [Quit](#)

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

Figure 4: My DUA Screen 2

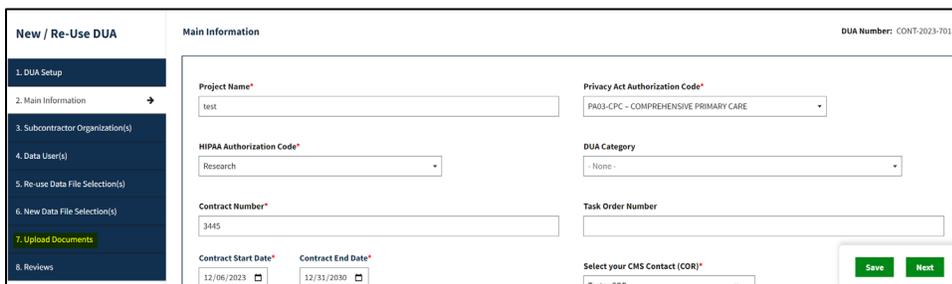


4. Click the **Edit** button.

The Update DUA Request Review screen is displayed with the following editable sections:

- Main Information
- Subcontractor Organization(s)
- Custodian
- Existing Data File Descriptions
- Re-use Data File Descriptions
- New Data File Descriptions
- Documents
- Comments

Figure 5: Click Upload Documents Section

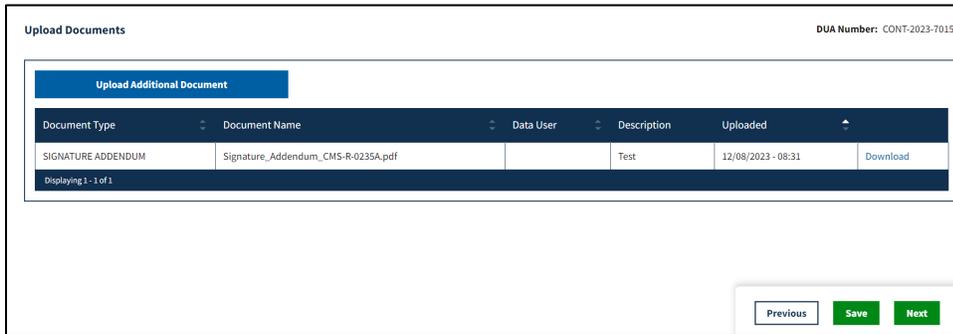


Each section is editable.

5. Click the **Upload Documents** section.

The Upload Documents screen is displayed with a predefined document type table. In this example, the Signature Addendum file was uploaded when the DUA was created. The **Signature Addendum** is a required document.

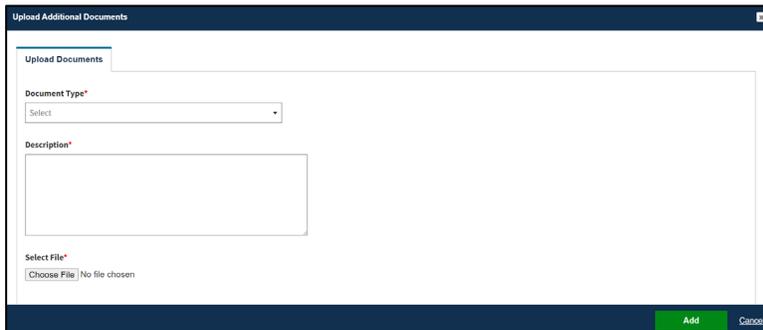
Figure 6: Upload Documents



6. Click **Upload Additional Documents** to upload additional supporting documents from your local computer.

The Upload Documents pop-up is displayed.

Figure 7: Upload Documents Pop-Up



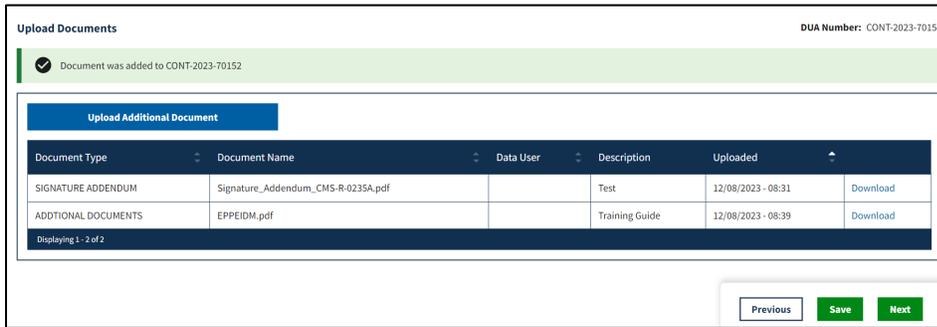
7. Select the **Document Type** from the drop-down menu.
8. Enter a **Description**.
9. Click the **Choose File** button to select supporting document(s) from your local computer.
10. Click **Add**.

Notes:

- Max file size is 100 megabytes and not all file types can be uploaded.
- Not all file types can be uploaded. EPPE will display a message when attempting to upload non-allowable file types.
- A new Signature Addendum is required if any new Custodians were added to the DUA.
- For easy recognition, please name files appropriately based on contents.

The document is displayed in the Upload Documents table.

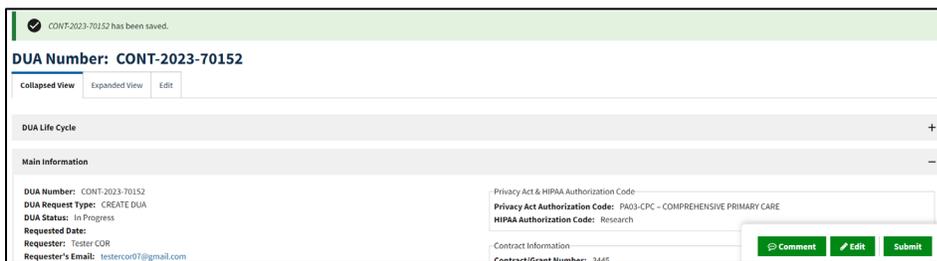
Figure 8: Upload Additional Documents



11. Click **Upload Additional Document** to select additional files, if needed.
12. Click **Save**.

All updates of the DUA are completed. The DUA Review Page is displayed.

Figure 9: DUA Review Page

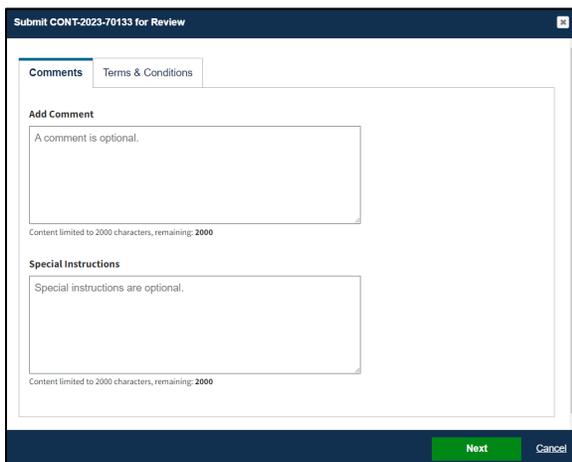


13. Click **Submit**

2.1 Add Comments to DUA

You can add comments to the DUA.

Figure 10: Add Comments or Special Instructions



1. Enter any applicable **Comments** (optional).
2. Enter any applicable **Special Instructions** (optional).
3. Click **Next**.

2.2 Agree to Terms and Conditions

The Terms and Conditions agreement screen is displayed.

Figure 11: Terms and Conditions

Submit CONT-2023-70133 for Review

Comments Terms & Conditions

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

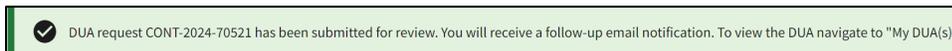
I agree to the terms and conditions above.

Previous Submit Cancel

1. Click **Submit**.

The confirmation message, "*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).*" is displayed.

Figure 12: 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 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
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 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