



**Centers for Medicare & Medicaid Services**

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

## **Contractor Approval Workflow Training Module - Extend DUA**

---

**Version 2.0**

**01/22/2024**

**Document Number:** EPPE-191-CONT\_DUAReq\_ExtendDUA-v2.0

## 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. Extend a Contractor DUA</b> .....	<b>2</b>
2.1 My DUA .....	2
2.2 Terms & Conditions .....	4
<b>3. Acronyms</b> .....	<b>6</b>
<b>4. EPPE Help Desk Information</b> .....	<b>7</b>

## List of Figures

Figure 1: EPPE Welcome Screen: .....	2
Figure 2: My DUAs .....	2
Figure 3: Extend DUA Details .....	2
Figure 4: DUA Extension Request .....	3
Figure 5: Changing the Contract Period End Date .....	3
Figure 6: Entering a New DUA Expiration Date.....	3
Figure 7: Add Comment .....	4
Figure 8: Terms and Conditions .....	4
Figure 9: Submitted Confirmation Message .....	4

## List of Tables

Table 1: Acronyms .....	6
-------------------------	---

# 1. Overview

This Training Guide will cover the following:

- How to Extend a Contractor DUA.
- How to view the My DUA page.
- How to view the DUA Lifecycle.
- How to Print 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.

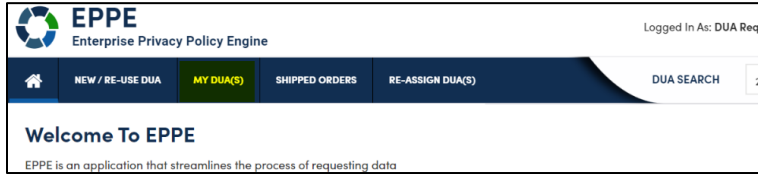


The question mark icon, when selected, will display field specific help.

## 2. Extend a Contractor DUA

Log into EPPE. The Welcome Screen is displayed.

Figure 1: EPPE Welcome Screen:



1. Click **MY DUA(s)** to search for and view expired DUAs.

**Note:** Expiration Reminder emails will be sent to the Requester and Requester Proxies 60 days, 30 days, 15 days, and then daily until the DUA is either extended or closed.

### 2.1 My DUA

A list of Expired DUAs is displayed.

Figure 2: My DUAs

My DUA(s)								
DUA Number	Organization	DUA Type	DUA Action	Status	Requester	Request Date	Last Updated	Actions
CONT-2023-60235	Test Org	Contractor	UPDATE DUA	Expired		01/04/2024	01/06/2024 - 11:41	Close Extend

1. Click the **Extend** action OR use the **Search** feature to locate a DUA to update.

**Notes:**

- As an existing Requester, any Approved and/or Expired CONT type DUAs you are the Requester for will also display in this list.
- **Approved** DUAs show in the Extend queue if expiring within 60 calendar days.
- If multiple pages, the previous and next icons (<, >) and page number buttons appear.

The Extend DUA review screen is displayed.

Figure 3: Extend DUA Details

**DUA Number: CONT-2022-59301**

Collapsed View | Expanded View

PRINT TO PDF

DUA Life Cycle +

Main Information -

<p>DUA Number: CONT-2022-59301                  DUA Customer Type: Contractor                  DUA Request Type: UPDATE DUA                  DUA Status: Expired                  Expiration Date: 11/18/2023                  Requested Date: 12/28/2022                  Requester: Tester COR                  Requester's Email: testercor07@gmail.com</p>	<p>Privacy Act &amp; HIPAA Authorization Code</p> <p>Privacy Act Authorization Code: PA01-EMP - EMPLOYEES OF DHHS                  HIPAA Authorization Code: Health Oversight Activity</p> <p>Contract Information</p> <p>Contract/Grant Number: HHSM-111-111-3                  Contract Start Date: 11/18/2022</p>
--	--

Contract En Extend Quit

2. Click the **EXTEND** button to extend this specific DUA.

The DUA Extension Request screen with the Contract Period Start Date and End Date is displayed.

Figure 4: DUA Extension Request

3. Edit the **Contract Period End Date** if this date has changed. Use a MM/DD/YYYY format to enter the dates or use the pop-up calendar. If using the pop-up calendar, select month, year, and then day, in that order.

**Notes:**

- If Contract End Date has not changed, continue extension request without changing it. The Contract End Date should be changed only if there is a new date.
- The **Today** button will highlight the current date in the calendar pop-up but will not select it. You will still need to select it, when applicable.
- The **Contract Period End Date** should be changed **only** if there is a new date.

Figure 5: Changing the Contract Period End Date

4. Click **Next**.

The **Current DUA Expiration Date** is displayed as view-only on the **DUA Extension Request**.

Figure 6: Entering a New DUA Expiration Date

5. Enter the **New DUA Expiration Date**:
  - A DUA may only be extended up to 365 days from the Current DUA Expiration Date or up to the current Contract Period End Date whichever is **sooner**.
  - Use MM/DD/YYYY format to enter the date or select a date from the pop-up calendar. Select Month, Year, and Day, **in that order** when using the calendar.
6. Click **Next**.

Figure 7: Add Comment

The screenshot shows a web interface for 'DUA Extension: CONT-2023-60235'. It features a tabbed menu with 'Extend DUA - Contract Period', 'DUA Expiration Date', 'Comment', and 'Terms & Conditions'. The 'Comment' tab is active, displaying a text area with the placeholder text 'A comment is optional.' and a character count 'Content limited to 2000 characters, remaining: 2000'. At the bottom, there are 'Previous', 'Next', and 'Cancel' buttons.

7. Enter any **Comments** (optional).
8. Click **Next**.

## 2.2 Terms & Conditions

The Terms & Conditions are displayed.

Figure 8: Terms and Conditions

The screenshot shows the 'Terms & Conditions' tab selected in the 'DUA Extension: CONT-2023-60235' interface. The text area contains the following terms: '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 is a checked checkbox labeled 'I agree to the terms and conditions above.\*'. At the bottom, there are 'Previous', 'Submit', and 'Cancel' buttons.

1. Click the down arrow icon or use scroll bar to reach the bottom.
2. Select the ***I agree to the terms and conditions above*** checkbox.
3. Click **Submit**.

The Submission confirmation message, "Your [New Date] extension request has been submitted for review on <DUA number>." is displayed.

Figure 9: Submitted Confirmation Message

The screenshot shows a confirmation message box with a green background and a checkmark icon. The text reads: 'Your 01/24/2024 extension request has been submitted for review on CONT-2023-59543.' Below the message is a link labeled 'My DUA(s)'.

The DUA is in a **Submitted** status with the new **Expiration Date** and will be placed in the Requester's **Submitted** queue.

**Notes:**

- An email will be sent to the COR listed on the DUA informing them that there is a pending **DUA Extension Request**.
- The Requester will receive an email when the COR either approves or denies the extension request.
- An organization will be unable to create or update DUAs if there is at least one (1) pending extension request for an Expired DUA.

### 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)