CMS
CENTERS FOR MEDICARE & MEDICAID SERVICES
CENTER FOR MEDICARE & MEDICAID INNOVATION

4iINNOVATION
APPLICATION

"My Agreements" in 4i for ETC

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This tip sheet provides information for the Centers for Medicare & Medicaid Services (CMS) 4Innovation (4i) application including the use of the "My Agreements" functionality for the End-Stage Renal Disease (ESRD) Treatment Choices (ETC) Model.

"My Agreements"

4i users can navigate to their agreements by selecting the **"My Agreements"** tab from the left-side navigation pane.

To further filter the page and only display agreements in a specific signing status, you can select the applicable agreement status from the **"Signature Status"** drop-down (including "All Signature Status," "Active," "Pending Participant Signature," "Pending HRSA Signature," "Pending CMS Signature," "Closed," "Retired," "Expired," and "Terminated").

You can also access all agreement statuses in one view for a participant by filtering the page to **"All Signature Status"** from the "Agreement Status" drop-down. Based on the status filtering selection, all participant's agreements will be listed in a sorted fashion on the page. The "Status" column will only be displayed in the table when the page is filtered by "All Signature Status".

The **"My Agreements"** table can be sorted and searched by "NPI/CCN," "Participant Name/LBN," "Agreement Name," "Agreement Start Date," and "Agreement Expiration Date". All actions can be completed by clicking on the icons in the **"Actions"** column.

> **Pro Tip:** Hovering over the icons in the "Actions" column will display a tooltip with additional details.

The ability to sign the ETC Data Sharing Agreement is limited to a specified period referred to as the signing window. The dates and times for these windows are not explicitly identified in 4i and will be shared with users outside of the system. The icon for signing the Data Sharing Agreement will be grayed out during times that are outside of the specified signing window.

ETC Data Sharing Agreement

What is a ETC Data Sharing Agreement?

The Data Sharing Agreement allows the participant to access personally identifiable information (PII) and protected health information (PHI). This legal agreement must be tri-laterally signed by

three parties, the ETC Participant, Health Resources and Services Administration (HRSA) agency, and CMS, respectively, prior to CMS sharing the data.

Who can sign a Data Sharing Agreement in 4i?

The Data Sharing Agreement is made available in 4i with the status **"Pending ETC Signature"** for the participant to sign. To sign a Data Sharing Agreement, you must have the role of APM Executive. Upon the ETC Participant signing the Data Sharing Agreement, the status of the agreement will change to **"Pending HRSA Signature"**. Once HRSA has signed the agreement, the status of the agreement will be updated to **"Pending CMS Signature"**. This status is an indicator that the agreement has been signed by both preceding parties and is now awaiting CMS' countersignature. The Data Sharing Agreement will not be considered "Active" or "Fully Executed" until CMS has reviewed and countersigned the agreement.

Please follow the steps below to sign the Data Sharing Agreement.

Step 1: Click **"My Agreements"** on the left navigation pane. Users affiliated with more than one participant will be able to view all agreements.

Step 2: Filter the **"Signature Status"** drop-down and select **"Pending Participant Signature"**.

Step 3 Navigate to the **"Actions"** column for the agreement. The link in the "Actions" column will display an enabled "Sign" (pencil) icon, indicating that the agreement is ready to be signed, for each participant with which you are associated.

>   **Pro Tip:** If the user is an APM Executive for the participant and the agreement is pending signature, then the "Actions" column will display an enabled "Sign" (pencil) icon. For all other users and statuses, only the "Review" (eye) icon will display.

Step 4: Clicking the enabled **"Sign"** (pencil) icon under the "Actions" column will open the Data Sharing Agreement page, displaying the recital and signature details.

Step 5: After reviewing all the details, you will be required to fill out your Data Custodian Contact's details. An Alternate Data Custodian Contact for your participant can be optionally provided on this form.

Step 6: Scroll to the attestation checkbox at the bottom of the displayed agreement to sign on behalf of the participant as the APM Executive Contact and certify that you have reviewed the agreement and are ready to sign.

Step 7: Click on the checkbox to activate the "Sign" button, then click **"Sign"**. A success message will display indicating that you have signed the Data Sharing Agreement on behalf of your participant.

Notes:

1. For new starters in any Measurement Year (MY), the users will see one Data Sharing Agreement with the status "Pending Participant Signature".

2. The "Sign" (pencil) icon will be enabled when the Data Sharing Agreement is ready to be signed (when the signing window is open) and will be disabled after you have signed the agreement or after the gate window has closed if the participant has not signed.

3. The Data Sharing Agreement changes to **"Pending HRSA Signature"** status after you have signed the Agreement. After HRSA has counter-signed the agreement, the status will change to **"Pending CMS Signature"**. Finally, the agreement will become **"Active"** once CMS countersigns the agreement and completes the signature process. The Agreement is effective for a period of 14 months from the effective date, or until the parties execute a new agreement, whichever occurs first. Users will be restricted from downloading reports with PHI until the Data Sharing Agreement is in Active Status.

4. Participants who started in MY1 and are continuing in MY2 will see two Data Sharing Agreements. The OLD Data Sharing Agreement version will be in "Active" status and the NEW Data Sharing Agreement version will be in "Pending Participant Signature". When the NEW Data Sharing Agreement version is signed and countersigned by the respective parties and becomes "Active", the OLD Data Sharing Agreement version will become "Retired" and the NEW Data Sharing Agreement will become "Active" for a period of 14 months from the effective date.

4i's Agreement Status Definitions

Signature Status	Definitions
Pending Participant Signature	Once the agreement is delivered to the model participants, the Data Sharing Agreement is set to "Pending Participant Signature," indicating the APM Executive user needs to sign the agreement.
Pending HRSA Signature	Once the APM Executive user signs the agreement, the status is set to "Pending HRSA Signature," indicating the HRSA user needs to counter-sign the agreement.
Pending CMS Signature	Once the HRSA user signs the agreement, the status is set to "Pending CMS Signature," indicating the CMS user needs to counter-sign the agreement.
Active	Once CMS countersigns the agreement, the agreement is set to "Active," indicating that the agreement has completed the trilateral signature workflow and has been executed.

Signature Status	Definitions
Closed	If the participant does not sign the agreement after the gate window has closed or CMS declines to countersign the agreement, then the status of the agreement is set to "Closed," indicating the agreements were never active at any point.
Expired	If the agreement has reached the legal expiration date referenced in the "My Agreements" table, which is one calendar year from the effective date, or until the participant executes a new agreement, whichever occurs sooner, then the agreement status is set to "Expired".
Retired	If an active agreement is replaced by an updated agreement, then the old active agreement is set to "Retired".

Downloading the Data Sharing Agreement

To download a copy of an executed Data Sharing Agreement, please follow the steps below.

Step 1: Select the **"Active"** option from the "Agreement Status" filter.

Step 2: Click the **"Download"** (cloud) icon under the "Actions" column to download the fully executed agreement as a PDF file.

Note: Only versions of agreements that were fully executed in the 4i application will be downloadable (i.e., in "Active" status).

Support

If you have questions or require technical assistance, please email ETC-CMMI@cms.hhs.gov.