



Centers for Medicare & Medicaid Services

Enterprise Privacy Policy Engine Cloud (EPPE)

Contractor Approval Workflow Training Module - Close Select Data Files on a Contractor DUA

Version 2.0

01/22/2024

Document Number: EPPE-192-CONT_DUAReq_CloseFiles-v2.0

Table of Contents

1. Overview	1
1.1 EPPE Access Prerequisites	1
1.2 Icons Used Throughout the EPPE System	1
2. Close Select Data Files on a DUA	2
2.1 Upload Data Disposition Certification.....	4
2.2 Add Comments	4
2.3 Accept Terms and Conditions	5
2.4 Confirmation of File Closing	5
3. Acronyms	6
4. EPPE Help Desk Information	7

List of Figures

Figure 1: EPPE Welcome Screen	2
Figure 2: List of DUAs Eligible to Close.....	2
Figure 3: My DUA Review Screen.....	2
Figure 4: Data File Information: Data File Descriptions Tab	3
Figure 5: Data File Information: Data Disposition Tab	3
Figure 6: Closed DUA Data File Status	3
Figure 7: All Data Files in the Closed Status	4
Figure 8: Data Disposition Certification	4
Figure 9: Add Comments	5
Figure 10: Terms & Conditions.....	5
Figure 11: Confirmation of File Closing	5

List of Tables

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

1. Overview

This Training Guide will cover the following:

- How to Close select Data Files on a Contractor DUA.
- How to upload a Data Disposition Certification.
- How to confirm Data Files on a Contractor DUA are Closed.

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.

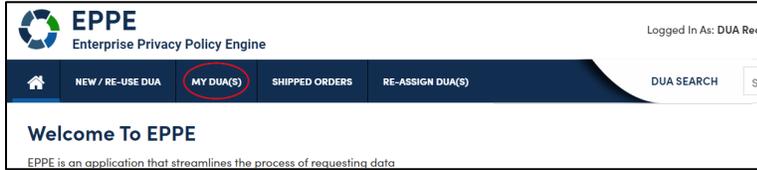


The question mark icon, when selected, will display field specific help.

2. Close Select Data Files on a DUA

Log into EPPE. The Welcome screen is displayed.

Figure 1: EPPE Welcome Screen



1. Click **MY DUA(S)**
2. Filter by Status to **Approved** or **Expired** to display a list of Approved DUAs that can be updated.

The list of DUAs that can be closed is displayed.

Figure 2: List of DUAs Eligible to Close

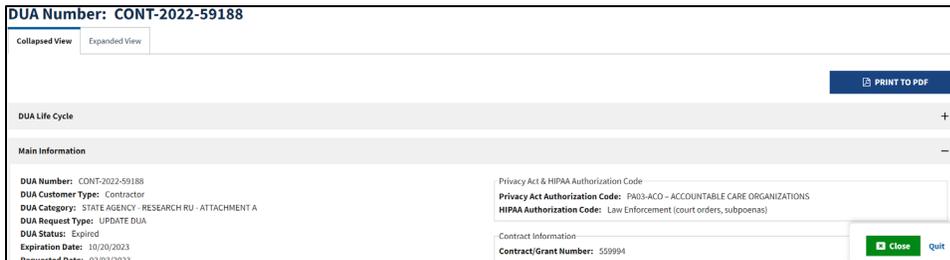
My DUA(s)								
DUA Number	Organization	DUA Type	DUA Action	Status	Requester	Request Date	Last Updated	Actions
CONT-2022-59276	HCD Organization	Contractor	UPDATE DUA	Expired	Tester User	11/15/2022	01/06/2024 - 11:41	
CONT-2022-59278	HCD Organization	Contractor	UPDATE DUA	Expired	Tester COR	11/16/2022	01/06/2024 - 11:41	Close Extend

3. Click the **Close** action OR use the **Search** feature to locate a DUA to close.

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's** screen is displayed.

Figure 3: My DUA Review Screen



4. Click the **PRINT TO PDF** button to print or save the DUA as a PDF if you need a record prior to closing.
5. Click the plus sign (+) icon to view the DUA Life Cycle details. We will review the Life Cycle after closing the files.
6. Click **Close**.

After clicking **Close**, the Data File Information pop-up is displayed.

Note: The Status for all files is **“OPEN.”**

Figure 4: Data File Information: Data File Descriptions Tab

Data File Description	Extraction % / Cohort	From Year	To Year	Privacy Level	Status	Actions
INP - 100% INPATIENT CLAIMS	100%	2021	2022	IDENTIFIABLE	OPEN	Show Details Edit
CRF - 100% CROSS REFERENCE FILE	100%	2021	2022	IDENTIFIABLE	OPEN	Show Details Edit

7. Click the **Edit** action for the file you want to close.

The Data Disposition Reason tab is displayed.

Figure 5: Data File Information: Data Disposition Tab

Data File: INP - 100% INPATIENT CLAIMS
Please Select One of the Disposition Statements

- The file has been destroyed, including copies, derivatives, subsets and manipulated files.
- The file or copies, derivatives, subsets, and/or manipulated files have been approved by CMS for re-use.
- I did not receive physical data and only accessed data through CMS systems.
- The file was not received for this DUA.

[Select & Go Back](#)

8. Select the radio button associated with the reason for closing:
- The file has been destroyed, including copies, derivatives, subsets, and manipulated files.
 - The file or copies, derivatives, subsets, and/or manipulated files have been approved by CMS for re-use.
 - I did not receive physical data and only accessed data through CMS systems.
 - The file was not received for this DUA.

9. Click **SELECT & GO BACK**.

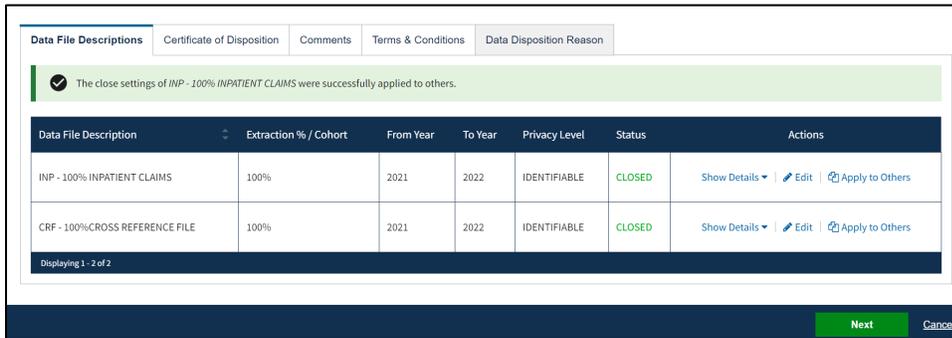
The Data File Status is changed to “**CLOSED**.”

Figure 6: Closed DUA Data File Status

Data File Description	Extraction % / Cohort	From Year	To Year	Privacy Level	Status	Actions
INP - 100% INPATIENT CLAIMS	100%	2021	2022	IDENTIFIABLE	CLOSED	Show Details Edit Apply to Others
CRF - 100% CROSS REFERENCE FILE	100%	2021	2022	IDENTIFIABLE	OPEN	Show Details Edit

10. Click the **Edit** action to close other data files, if applicable, or click **Apply to Others** to close all data files for the same reason.
11. Click **Next**.

Figure 7: All Data Files in the Closed Status

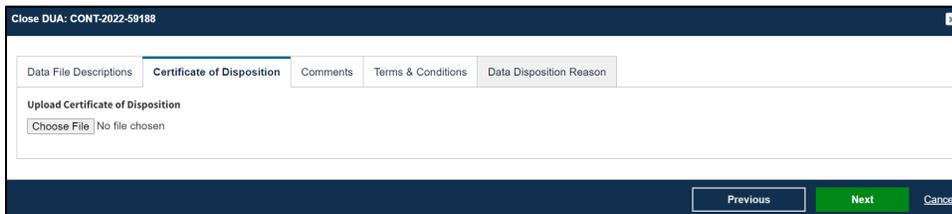


12. Click the **Next**.

2.1 Upload Data Disposition Certification

The Data Disposition Certification screen is displayed.

Figure 8: Data Disposition Certification



1. Click the **UPLOAD** button to find supporting documentation on your local computer.
2. Click **NEXT**.

Notes:

- Uploading the Certificate of Disposition is needed when closing the entire DUA (all files) and for Partial Close of the DUA.
- Name all files for uploading with descriptive names associated with the file contents.
- The Comment Tab is Optional.

2.2 Add Comments

The Add Comments screen is displayed.

Figure 9: Add Comments

1. Add any **Comments**. (Optional)
2. Click **Next**.

2.3 Accept Terms and Conditions

The Terms and Conditions agreement screen is displayed.

Figure 10: Terms & Conditions

1. Use the down arrow to review and reach the bottom of the window.
2. Click the ***I agree to the terms and conditions above*** check box.
3. Click **Submit**.

2.4 Confirmation of File Closing

The Close DUA page is displayed with the DUA file closing confirmation message, “*You have closed some Data Files of [DUA Number]. The DUA remains Approved.*”

Figure 11: Confirmation of File Closing



Note: Only selected files are closed; the DUA Status is still Approved (not all files are closed).

3. Acronyms

The following are acronyms used within the EPPE system.

Table 1: Acronyms

Acronym	Definition
CMS	Centers for Medicare and Medicaid Services
DUA	Data Use Agreement
EPPE	Enterprise Privacy Policy Engine
IDM	Identity Management
MFA	Multi-Factor Authentication
PDF	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