



Centers for Medicare & Medicaid Services

Enterprise Privacy Policy Engine Cloud (EPPE)

Contractor Approval Workflow Training Module - Close DUA

Version 2.0

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1. Overview

This Training Guide will cover the following:

- How to Close a Contractor DUA.
- How to upload a Data Disposition Certification.
- How to confirm the 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 a DUA

Log into EPPE. The Welcome to EPPE screen is displayed.

Figure 1: Welcome to EPPE



1. Click **MY DUA(S)** to view a list of DUAs ready for closing.

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	SCOPE INFOTECH, INC.	Contractor	UPDATE DUA	Expired	Tester User	11/15/2022	01/06/2024 - 11:41	
CONT-2022-59278	SCOPE INFOTECH, INC.	Contractor	UPDATE DUA	Expired	Tester COR	11/16/2022	01/06/2024 - 11:41	Close Extend

2. You can specify **Search** criteria or page through the list using the page number buttons to find the DUA you want to close.
3. Click the **Close** action to close files on the DUA.

The My DUA review screen is displayed. The DUA status is Expired.

Figure 3: My DUA Review

DUA Number: CONT-2022-59188

Collapsed View | Expanded View

[PRINT TO PDF](#)

DUA Life Cycle +

Main Information -

DUA Number: CONT-2022-59188
 DUA Customer Type: Contractor
 DUA Category: STATE AGENCY - RESEARCH RU - ATTACHMENT A
 DUA Request Type: UPDATE DUA
 DUA Status: Expired
 Expiration Date: 10/20/2023
 Requested Date: 02/03/2023

Privacy Act & HIPAA Authorization Code
 Privacy Act Authorization Code: FINE3-ACD - ACCOUNTABLE CARE ORGANIZATIONS
 HIPAA Authorization Code: Law Enforcement (court orders, subpoenas)

Contract Information
 Contract/Grant Number: 559994

[Close](#) [Quit](#)

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

After clicking the **Close** button on the My DUA screen, the Close DUA screen is displayed.

Figure 4: Data File Descriptions

Close DUA: CONT-2022-59188						
Data File Descriptions	Certificate of Disposition	Comments	Terms & Conditions	Data Disposition Reason		
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

Displaying 1 - 2 of 2

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

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

The **Select Data Disposition Reason** pop-up is displayed.

Figure 5: Data Disposition Reason

The screenshot shows a web interface with a tabbed menu at the top: 'Data File Descriptions', 'Certificate of Disposition', 'Comments', 'Terms & Conditions', and 'Data Disposition Reason' (which is selected). Below the tabs, the text reads: 'Data File: INP - 100% INPATIENT CLAIMS' and 'Please Select One of the Disposition Statements'. There are four radio button options:

- 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.

 A green 'Select & Go Back' button is located at the bottom right of the form.

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 user is taken back to the Data File Descriptions tab to proceed to the next step.

Figure 6: Apply to Others

The screenshot shows a window titled 'Apply to Others'. It contains a section 'Select Other Data Files To Close' with a list of data files. One file is visible: 'CRF - 100% CROSS REFERENCE FILE' with an unchecked checkbox next to it. At the bottom of the window, there are two buttons: a green 'Submit' button and a 'Cancel' button.

10. Click the **Apply to Others** action to view the pop-out window.
11. Click the checkbox next to the Data File you want to apply to.
12. Click **Submit**.
13. Click the **Next** button on the Data File Descriptions tab when all Data Files are Closed.

2.1 Data Disposition Certification

The Data Disposition Certification tab is displayed.

Figure 7: Data Disposition Certification

The screenshot shows a window titled 'Close DUA: CONT-2022-59188'. It has a tabbed menu with 'Data File Descriptions', 'Certificate of Disposition' (selected), 'Comments', 'Terms & Conditions', and 'Data Disposition Reason'. Below the tabs, the text reads: 'Upload Certificate of Disposition'. There is a 'Choose File' button and the text 'No file chosen'. At the bottom of the window, there are three buttons: 'Previous', a green 'Next' button, and 'Cancel'.

1. Click the **Choose File** 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) or 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 Accept Terms and Conditions

The Terms and Conditions screen is displayed.

Figure 8: Terms and Conditions

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

2.3 Confirmation of File Closing

The Close DUA page is displayed with the DUA file closing confirmation message.

Note: Only selected files are closed and the DUA Status is closed.

Figure 9: Close DUA Page With Confirmation Message



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)

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