

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

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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: <u>https://www.cms.gov/files/document/eppeidm.pdf</u>
- Access CMS Portal: <u>https://portal.cms.gov/</u>

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

0	Logged In As: DUA Requ											
*	NEW / RE-USE DUA	MY DUA(S)	SHIPPED ORDERS	RE-ASSIGN DUA(S)	DUA SEARCH Se							
Welcome To EPPE EPPE is an application that streamlines the process of requesting data												

- 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

Ν	My DUA(s)													_	
I										Status: Expi	red	0	Sear	rch:	
	DUA Number 🗘	Organization 🗘		DUA Type 🗦	DUA Action 🗘	St	tatus 🗘	Requester 🗘	F	Request Date		Last Updated			Actions
Γ	CONT-2022-59276	HCD Organization	Ι	Contractor	UPDATE DUA	Ex	pired	Tester User	1	11/15/2022		01/06/2024 - 1	11:41		
	CONT-2022-59278	HCD Organization		Contractor	UPDATE DUA	Ex	pired	Tester COR	1	11/16/2022		01/06/2024 - 1	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

DUA Number: CONT-2022-59188			
Collapsed View Expanded View			
		🖄 PRINT TO PE	DF
DUA Life Cycle			+
Main Information			-
DUA Number: CONT-2022-59188	Privacy Act & HIPAA Authorization Code		
DUA Customer Type: Contractor	Privacy Act Authorization Code: PA03-ACO – ACCOUNTABLE CARE ORGANIZATIONS		
DUA Request Type: UPDATE DUA	HIPAA Authorization Code: Law Enforcement (court orders, subpoenas)		
DUA Status: Expired	-Contract Information		
Expiration Date: 10/20/2023	Contract/Grant Number: 559994	Close	Quit
Requested Date: 02/03/2023	Annual Residence Baston Collections		

- 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

e DUA: CONT-2022-59188									
Data File Descriptions Certificate of Disposi		Comments	Terms & Con	ditions Data D	isposition Reas	on			
Data File Description	\$	Extraction % / Cohort		From Year	To Year	Privacy Level	Status	Actions	
INP - 100% INPATIENT CLA	IMS	100%		2021	2022	IDENTIFIABLE	OPEN	Show Details 🔻 🛛 🖋 Edit	
CRF - 100%CROSS REFEREN	NCE FILE	100%		2021	2022	IDENTIFIABLE	OPEN	Show Details 👻 🖋 Edi	
Displaying 1 - 2 of 2	(

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

The Data Disposition Reason tab is displayed.

	_			_			
Figure	5. Data	i Fila	Information	Data	Dien	∩eiti∩n	Tah
riguic	J. Dull		mormation.	Data	Pish	osition	1 UN



- 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 Descriptions Certificate of D		sposition Comments		Terms & Conditio	ns Data	Data Disposition Reason			
Data File Description	÷	Extractio	n % / 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	
Displaying 1 - 2 of 2									

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

Data File Descriptions	Certificate of D	isposition	Comments	Terms & Conditi	ons Data	Disposition Reason		
The class setting	15 woro succosofu	lly applied to other						
• The close settings	01 INF - 10070 INFA	UTENT CLAIN	io were successiu	ity applied to other	5.			
Data File Description	÷	Extractio	n % / Cohort	From Year	To Year	Privacy Level	Status	Actions
INP - 100% INPATIENT CLA	IMS	100%		2021	2022	IDENTIFIABLE	CLOSED	Show Details 👻 🖋 Edit 🗳 Apply to Others
CRF - 100%CROSS REFERE	NCE FILE	100%		2021	2022	IDENTIFIABLE	CLOSED	Show Details 👻 🥒 Edit 🖉 Apply to Others
Displaying 1 - 2 of 2								
								Next

12. Click the Next.

2.1 Upload Data Disposition Certification

The Data Disposition Certification screen is displayed.

Figure 8: Data Disposition Certification

Close DUA: CONT-2022-594	188						×
Data File Descriptions	Certificate of Disposition	Comments	Terms & Conditions	Data Disposition Reason			
Upload Certificate of Dis Choose File No file ch	position osen						
					Previous	Next	Cancel

- 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

Close DUA: CONT-2024-705	19						×
Data File Descriptions	Certificate of Disposition	Comments	Terms & Conditions	Data Disposition Reason			
Add Comment A comment is optional.							
Content limited to 2000 charact	ers, remaining: 2000		A				
					Previous	Next	<u>Cancel</u>

- 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

ose DUA: CONT-2022-59188							
Data File Descriptions	Certificate of Disposition	Comments	Terms & Conditions	Data Disposition Reason			
Agree to the Terms & C component of the U.S. I Enterprise Privacy Polic CMS agrees to provide y the data only for purpos Medicare and Medicaid any applicable law(s), ir Subparts A and EJ). This permit appropriate disc	Conditions: This Agreement go Department of Health and Hum y Engine ("EPPE") system. you with the data files specified ses that support your study, res programs and/or services prov ncluding the Privacy Act (5 U.S. Agreement is intended to: (a) :losure and use of such data as	verns the reques lan Services ("H lin the DUA Req search, or projec ided to benefici C. §552a) and Pr secure data that permitted by lan	sting organization's ("you/yo HS"). This Agreement covers uest, which reside in a CMS t, as specified in the DUA Re aries; and (c) to ensure the i vixacy Rule of the Health Insi reside in a CMS Privacy Act w.	our") receipt and use of data fro the CMS data files you request Privacy Act System of Records (quest, which CMS has determin tegrity, security, and confiden urance Portability and Account SOR; (b) ensure the integrity, so	m the Centers for Medicare & Medicaid ted and the corresponding purposes for ("SOR"). In exchange, you agree to: (a) p ned to be valuable in helping CMS mon- titality of the data by complying with th ability Act (HIPAA [45 C.F.R. Subpart C, F ecurity, and confidentiality of informati	Services ("CMS"), a their use, as specified in the ay any applicable fees; (b) use tor, manage, and improve the terms of this Agreement and tarts 160 and Part 164, on maintained by CMS; and (c)	
✓ I agree to the terms	and conditions above.*						
I agree to the terms	and conditions above.*	permitted by the					

- 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