

## Centers for Medicare & Medicaid Services

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

Contractor Approval Workflow Training Module - Close DUA

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CMS Overview

#### 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.

CMS Close a DUA

### 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



- 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.

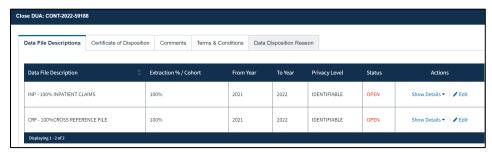
Figure 3: My DUA Review



- 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



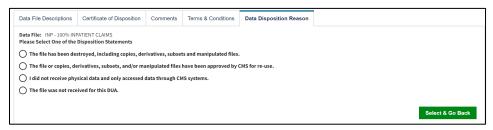
CMS Close a DUA

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



- 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



- 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



CMS Close a DUA

- 1. Click the **Choose File** button to find supporting documentation on your local computer.
- 2. Click Next.

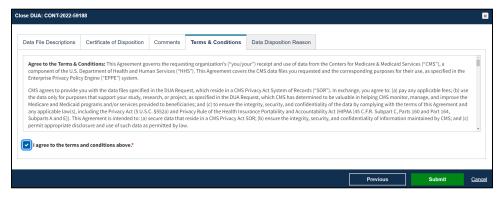
#### Notes:

- 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



CMS Acronyms

# 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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