Centers for Medicare & Medicaid Services

Enterprise Privacy Policy Engine Cloud (EPPE)

Limited Data Set (LDS) Approval Workflow Training Module- Closing an LDS DUA

Version 2.0

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1   Overview

This Training Guide will cover the following:

- How to view the Closed LDS DUAs
- How to verify all Data Files are Closed
- How to add comments
- How to change the reason for Closing the Data File
- How to view the DUA Lifecycle

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   View Closed Queue

Log in to the EPPE application.

Figure 1: EPPE Welcome Screen

1. Click **MY DUA(S)** t to view closed DUAs.

Notes:
*   The Close action will be listed on the left side of the My DUAs table.
*   DUAs are placed in Closed status when all data files have been closed.
*   If you are an existing Requester or Proxy, any Closed Limited Data Set type DUAs on which you are the Requester or Proxy will also display in the list.
*   Use the Previous and Next buttons if there are multiple pages of DUAs.

Use the Close DUA action to change an LDS DUA to closed.

Figure 2: List of DUAs Eligible to Close

2. Click **Close** action to close a DUA.

A list of Approved and/or Expired DUAs is displayed.

Notes:
*   If you are an existing Requester or Proxy, any Approved and/or Expired Limited Data Set type DUAs on which you are the Requester or Proxy will also display in the list.
*   Use the previous and next icons (<, >) and page number buttons to view pages of DUAs.

The My DUA review screen is displayed. The DUA status is Expired in this example.

Figure 3: My DUA Screen: Review
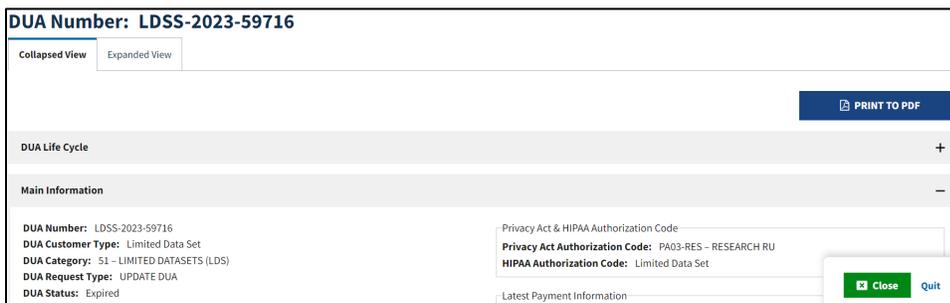
3. Click the **PRINT TO PDF** button to print or save the DUA as a PDF if you need a record prior to closing.

4. Click the plus sign (+) icon to view the DUA Life Cycle details.
5. Click the **Close** button.

Notes: If the DUA is in **Expired** status, all data files must be closed before submitting.

Figure 4: Close DUA: Close All Data Files

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

6. Click the **Edit** action for the file to close (files with the **OPEN** status can be closed).

Note: The **Apply to Others** button will only be displayed if the DUA has multiple files and at least one file in the table has been closed.

The Data Disposition Reasoning tab is displayed.

Figure 5: Close DUA: Data Disposition Reasoning

Data File Descriptions | Certificate of Disposition | Comments | Terms & Conditions | **Data Disposition Reason**

Data File: ESRD-F - LDS - ESRD FINAL
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

7. Select the appropriate **Disposition Statement.**
8. Click the **Select & Go Back** button.

Figure 6: Close DUA: Apply to Others

Data File Description	Extraction % / Cohort	From Year	To Year	Privacy Level	Status	Actions
DRUGUL - MEDICAID DRUG UTILIZATION DATA (STATE-SPECIFIC FILES)	88%	2020	2021	LIMITED DATASET	CLOSED	Show Details ▾ | ✎ Edit | ⎘ Apply to Others
ESRD-F - LDS - ESRD FINAL	67	2019	2023	LIMITED DATASET	OPEN	Show Details ▾ | ✎ Edit

Displaying 1 - 2 of 2

9. Click **Apply to Others.**

Note: If the same Data Disposition Reasoning applies to other Data Files, **Apply to Others** can be used. The **Apply to Others** button will only be displayed if the DUA has multiple files and at least one file in the table has been closed.

Figure 7: Close DUA: Apply to Others Pop-Out Window

Apply to Others   ☒

Select Other Data Files To Close

☑ **ESRD-F - LDS - ESRD FINAL**

Submit   Cancel

10. Click the **Data File(s)** checkbox that you would like to apply to.
11. Click **Submit.**
12. Click the **Next** button on the Data File Descriptions page when finished.

2.1   Upload Data Disposition Certification

The Data Disposition Certification screen is displayed.

Figure 8: Data Disposition Certification
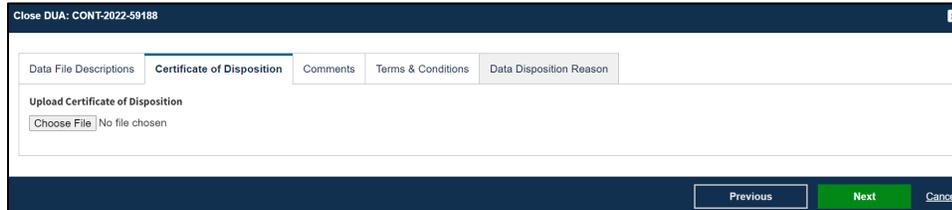
1. Click the **Choose File** button to find supporting documentation on your local computer.
2. Click **Next**.

Notes:
- Uploading the Certificate of Disposition is needed when closing the entire DUA (all files) 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

Figure 9: Close DUA: Add Comments
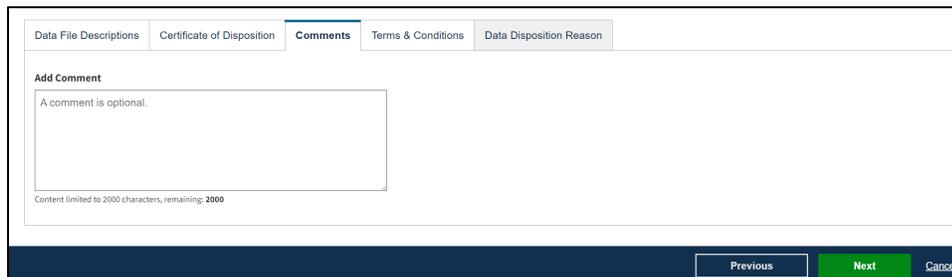
1. Add any **Comments.** (Optional)
2. Click **Next.**

2.3   Accept Terms and Conditions and Submit the DUA

The Terms and Conditions agreement screen is displayed.

Figure 10: Terms and Conditions

1. Click the **I agree to the terms and conditions above** check box.
2. Click **Submit.**

The confirmation message, "*Per your request, <DUA number> is now closed*." is displayed. The DUA Status is Closed because all data files are closed.

Figure 11: Closed Confirmation Messages

1. Click the **DUA Number** to view the review page and DUA Lifecycle.

Note: Closed data files and DUAs cannot be reopened by the Requester. Only the EPPE Administrators can reopen a **Closed** data file and/or **Closed** DUA.

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
EUA	Enterprise User Administration
IDM	Identity Management
LDS	Limited Data Set
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

Note: For information on policies, forms, and other LDS DUA related information, please refer to the Limited Data Set (LDS) page.