



Centers for Medicare & Medicaid Services

Enterprise Privacy Policy Engine Cloud (EPPE)

Limited Data Set (LDS) Approval Workflow Training Module- Close Select Data Files on an LDS DUA

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1. Overview

This Training Guide will cover the following:

- How to View Closed LDS DUAs
- How to Close selected Data Files

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.

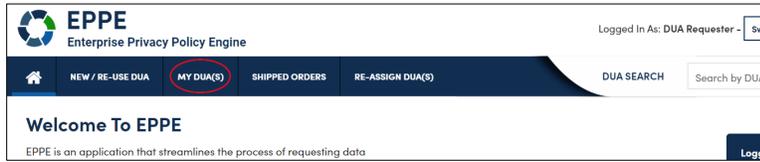


The question mark icon, when selected, will display field specific help.

2. View Closed LDS DUAs

The Closed DUA queue contains the DUAs that are in closed status.

Figure 1: EPPE Welcome: Closed



1. Click **MY DUA(S)** to display a list of Approved DUAs that can be updated.

Notes:

- The Closed DUA Queue will only list the DUAs where you are listed as the Requester.
- DUAs are placed in Closed status when all data files have been closed.

A list of DUAs is displayed.

Figure 2: Closed DUA Queue

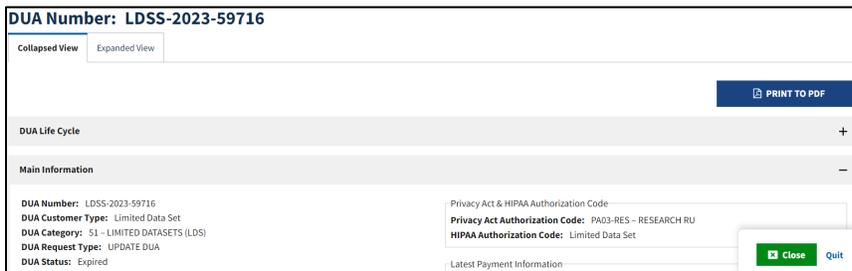
My DUA(s)								
DUA Number	Organization	DUA Type	DUA Action	Status	Requester	Request Date	Last Updated	Actions
CONT-2022-59166	SCOPE INFOTECH, INC.	Contractor	UPDATE DUA	Expired	Tester User	12/09/2022	01/06/2024 - 11:41	
CONT-2022-59162	SCOPE INFOTECH, INC.	Contractor	UPDATE DUA	Expired	Tester User	09/27/2022	01/06/2024 - 11:41	
LDSS-2022-59081	SCOPE INFOTECH, INC.	Limited Data Set	UPDATE DUA	Expired	Tester COR	09/14/2022	01/06/2024 - 11:41	Close Extend

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

2.1 Closing Select Data Files

You can close a DUA.

Figure 3: My DUA Screen



1. Click the plus sign (+) icon to view the DUA Life Cycle details. We will review the Life Cycle after closing the files.
2. Click **Close**.

The Close DUA screen is displayed and the Status for all files is **“OPEN.”**

Figure 4: Close DUA Screen

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

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

The Data Disposition Reason tab of the Data File Information screen is displayed.

Figure 5: Select Data Disposition Reason

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

4. 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.

5. Click **Select & Go Back**.

Figure 6: File Status Closed

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

6. Click **Apply to Others** and choose other data files to close for the same disposition reason **OR** click the **Edit** action to close other data files for a different disposition reason (for this example, only one data file will be closed).
7. Click the **Next** button.

Figure 7: Data File Disposition Certification

Upload Certificate of Disposition

Choose File | No file chosen

Previous **Next** Cancel

8. Click the **Choose File** button to find supporting documentation on your local computer.
9. Click **Next**.

Note: The Comment Tab is optional.

2.2 Terms & Conditions and Submit

Once you have closed a DUA, you will need to view the Terms & Conditions.

Figure 8: Terms & Conditions

The screenshot shows a web interface with a tabbed menu at the top containing 'Data File Descriptions', 'Certificate of Disposition', 'Comments', 'Terms & Conditions' (which is selected), and 'Data Disposition Reason'. The main content area contains the following text:

Agree to the Terms & Conditions: This Agreement governs the requesting organization's ("you/your") receipt and use of data from the Centers for Medicare & Medicaid Services ("CMS"), a component of the U.S. Department of Health and Human Services ("HHS"). This Agreement covers the CMS data files you requested and the corresponding purposes for their use, as specified in the Enterprise Privacy Policy Engine ("EPPE") system.

CMS agrees to provide you with the data files specified in the DUA Request, which reside in a CMS Privacy Act System of Records ("SOR"). In exchange, you agree to: (a) pay any applicable fees; (b) use the data only for purposes that support your study, research, or project, as specified in the DUA Request, which CMS has determined to be valuable in helping CMS monitor, manage, and improve the Medicare and Medicaid programs and/or services provided to beneficiaries; and (c) to ensure the integrity, security, and confidentiality of the data by complying with the terms of this Agreement and any applicable law(s), including the Privacy Act (5 U.S.C. §552a) and Privacy Rule of the Health Insurance Portability and Accountability Act (HIPAA [45 C.F.R. Subpart C, Parts 160 and Part 164, Subparts A and E]). This Agreement is intended to: (a) secure data that reside in a CMS Privacy Act SOR; (b) ensure the integrity, security, and confidentiality of information maintained by CMS; and (c) permit appropriate disclosure and use of such data as permitted by law.

Below the text is a checked checkbox with the label "I agree to the terms and conditions above." At the bottom of the form are three buttons: "Previous", "Submit", and "Cancel".

1. Click the ***I Agree to the terms and conditions above*** checkbox.
2. Click **Submit**

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

Figure 9: DUA Status and Confirmation



3. Acronyms and Glossary

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
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.