



**Centers for Medicare & Medicaid Services
eXpedited Life Cycle (XLC)**

Enterprise Privacy Policy Engine (EPPE)



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



Training Topics

Training Topics in This Module

- EPPE Application Access Prerequisites
- Basic Information About EPPE
- View Closed Queue
- Closing a DUA
- EPPE Help Desk Information

EPPE ACCESS PREREQUISITES

EPPE Access Prerequisites

CMS Enterprise Portal Access, IDM Credentials, and EPPE Access

- Obtain access to the CMS Enterprise Portal
 - Access CMS Portal
 - <https://portal.cms.gov/>
 - Obtain Identity Management (IDM) Credentials, Multi-Factor Authentication (MFA) and EPPE Access
 - <https://www.cms.gov/files/document/eppeidm.pdf>

Basic Information About EPPE

Icons Used Throughout the EPPE System



A red asterisks denotes that a field is required to be entered.



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

VIEW CLOSED QUEUE

DUA Requester – Close an LDS DUA

EPPE Welcome Screen: Closed DUA Queue

The screenshot displays the Enterprise Privacy Policy Engine (EPPE) interface. On the left is a navigation menu with the following items: EPPE Home, DUA(s), New / Re-Use, Update / Amend, Close, Extend, My DUA(s), Un-Finished, Submitted, Pending Action(s), Approved, Expired, Closed (circled in red), Denied, Re-Assign DUA(s), Change Contact, Ad Hoc Request, Search, DUA Search, My Access, Manage Access, My Preference(s), Email Preference, and Exit EPPE. The main content area is titled 'Welcome to EPPE' and includes a description of the application, its goals (reducing processing time, transitioning from paper-based to automated, and providing a 100% traceable record), and training materials (Contractor Approval Workflow and LDS Approval Workflow). The user is logged in as 'DUA REQUESTER'.

1. The **Closed** DUA Queue contains DUAs that are in Closed status.
2. Select the **Closed** menu option to search for and view closed DUAs.

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.

DUA Requester – Close an LDS DUA

View Closed DUA Queue

CLOSED DUA(S)

Search: <input type="text"/>						
DUA Number	Organization	DUA Type	DUA Action	Requester	Request Date	
LDSS-2004-14386	Demonstration Organization 2	Limited Data Set	CLOSE DUA	Demo UserOne	5-29-2019	View
LDSS-2005-14895	Demonstration Organization 2	Limited Data Set	CLOSE DUA	Demo UserOne	5-29-2019	View
CONT-2019-52533	Demonstration Organization 1	Contractor	CLOSE DUA	Demo UserOne	5-29-2019	View
LDSS-2019-52562	Demonstration Organization 1	Limited Data Set	CLOSE DUA	Demo UserOne	5-29-2019	View

Showing 1 to 4 of 4 entries [Previous](#) [Next](#)

1. A list of **Closed** DUAs displays.
2. Specify **Search** criteria or scroll through the list, if applicable.
3. Select the **View** link to view the DUA details.

Notes:

- If you are an existing Requester or Proxy, any Closed **Contractor** 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.

CLOSE AN LDS DUA

DUA Requester – Closing an LDS DUA

EPPE Welcome Screen: DUA(s) Menu

The screenshot displays the Enterprise Privacy Policy Engine (EPPE) interface. On the left is a navigation menu with the following items: EPPE Home, DUA(s), New / Re-Use, Update / Amend, Close (circled in red), Extend, My DUA(s), Un-Finished, Submitted, Pending Action(s), Approved, Expired, Closed, Denied, Re-Assign DUA(s), Change Contact, Ad Hoc Request, Search, DUA Search, My Access, Manage Access, My Preference(s), Email Preference, and Exit EPPE. The main content area is titled 'Welcome to EPPE' and contains the following text: 'EPPE is an application that streamlines the process of requesting data from the Centers for Medicare & Medicaid Services (CMS) via an online Data Use Agreement (DUA). Goals: • Reduce the amount of time to process a DUA. • Transition from a paper-based to an automated process. • Provide a 100% traceable record of CMS data disclosures. Training Materials: Visit the EPPE web page on cms.gov, to download Training Slide Decks for the following: • Contractor Approval Workflow. • LDS Approval Workflow.' The top right corner shows 'Logged in as: DUA REQUESTER'.

Select **Close** on the **DUA(s)** menu to close a DUA.

DUA Requester – Closing an LDS DUA

List of DUAs That Can Be Closed

DUA

CLOSE DUA
PLEASE SELECT ONE OF THE DUA TO CLOSE

Search:

DUA Number	Organization	Requester	Request Date	Status	
LDSS-2005-15694	Demonstration Organization 2	Demo UserOne	5-11-2018	Expired	View
LDSS-2006-16725	Demonstration Organization 2	Demo UserOne	5-11-2018	Expired	View
LDSS-2007-17452	Demonstration Organization 2	Demo UserOne	5-21-2019	Approved	View
LDSS-2010-20599	Demonstration Organization 2	Demo UserOne	4-27-2010	Expired	View
LDSS-2011-22221	Demonstration Organization 2	Demo UserOne	5-22-2019	Expired	View

Showing 1 to 5 of 20 entries

Previous Next

1. A list of Approved and/or Expired DUAs displays.
2. Select the **View** link to close or **Search** for the DUA to close.

Notes:

- If you are an existing Requester or Proxy, any Approved and/or Expired **Contractor** 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.

DUA Requester – Closing an LDS DUA

My DUA Screen Displays for Review

MY DUA

[Print DUA](#)

DUA Life Cycle 

DADSS Comments 

MAIN INFORMATION

DUA Number : LDSS-2010-20599
DUA Customer Type : Limited Data Set
DUA Category : 51 - LIMITED DATASETS (LDS)
DUA Status : Expired
Expiration Date : 06-01-2012
Requested Date : 04-27-2010
Requester : Demo UserOne
Requester's Email : test@eppe.com
Requester's Phone Number : (410) 555-1212 Ext-null
Last Updated By :
Organization Name : Demonstration Organization 2
Study/Project Aim :
Project Name : ASSESSING AND IMPROVING MANAGEMENT OF ARCADIAN HEALTH PLAN HIGH RISK POPULATION

COLLABORATING ORGANIZATION(S)

CUSTODIAN/DESY USERS

Search:

User Name	EUA User Id	Organization
MHIR SHAH		HUMANA, INC. 

Showing 1 to 1 of 1 entries [Previous](#) [Next](#)

DATA FILE DESCRIPTIONS

Data File Description		From Year	To Year	
ASC-PR - AMBULATORY SURGICAL CENTER, PROPOSED RULE (LDS)	CLOSED	2008	2008	
IFPPS - INPATIENT PSYCHIATRIC PROSPECTIVE PAYMENT SYSTEM		2007	2007	
LTCH - MEDPAR LONG TERM CARE (MDS)		2004	2008	
MEDPAR - MEDICARE PROVIDER ANALYSIS AND REVIEW		1997	2008	
OPPS - OUTPATIENT PPS		2008	2008	

Showing 1 to 5 of 7 entries [Previous](#) [Next](#)

[Close](#)

1. The **My DUA** review screen displays.
2. The DUA status is **Expired** in this example.
3. Select the **Print DUA** button to print or save the DUA as a PDF if you need a record prior to closing.
4. Select the **Green Plus Sign** icon to view the DUA Life Cycle details
5. Select the **Close** button.

Notes:

- If the DUA is in **Expired** status, all data files must be closed before submitting.
- In this example, one data file is already in **Closed** status.

DUA Requester – Closing an LDS DUA

Close DUA: Close All Data Files

CLOSE DUA

DUA Number : LDSS-2010-20599

DATA FILE DESCRIPTIONS

Data File Description	From Year	To Year	Status	Action	
ASC-PR - AMBULATORY SURIGICAL CENTER, PROPOSED RULE (LDS)	2008	2008	CLOSED	Edit Apply All	
IPFPSS - INPATIENT PSYCHIATRIC PROSPECTIVE PAYMENT SYSTEM	2007	2007	OPEN	Edit	
LTCH - MEDPAR LONG TERM CARE (MDS)	2004	2008	OPEN	Edit	
MEDPAR - MEDICARE PROVIDER ANALYSIS AND REVIEW	1997	2008	OPEN	Edit	
OPPS - OUTPATIENT PPS	2008	2008	OPEN	Edit	

Showing 1 to 5 of 7 entries Previous Next

Comments :

2000 characters remaining (2000 maximum)

Cancel Next

1. The **Close DUA** screen displays with one file in **Closed** status.
2. Select the **Edit** link for the file you want to close or use **Apply All** to apply the disposition from the first file to other selected files.

Note: The **Apply All** link will only display if the DUA has multiple files and once the first file in the table has been closed.

DUA Requester – Closing an LDS DUA

“Apply All” to Close All Data Files

The screenshot shows the 'CLOSE DUA' interface for DUA Number LDSS-2010-20599. The main area displays a table of 'DATA FILE DESCRIPTIONS' with columns for 'Data File Description' and 'Action'. The table lists several data files, including ASC-PR, IPFPPS, LTCH, MEDPAR, OPPTS, and SAFSNP. A pop-up dialog titled 'Apply Data Selection Attributes' is overlaid on the table. The dialog contains a 'Select All' checkbox, a table of data file descriptions with checkboxes and status indicators (all 'OPEN'), and an 'Apply to DUA request' button. The background interface includes a 'Comments' field, 'Cancel' and 'Next' buttons, and a 'Previous' button.

Data File Description	Action
ASC-PR - AMBULATORY SURGICAL CENTER, PROPOSED RULE (LDS)	Edit Apply All
IPFPPS - INPATIENT PSYCHIATRIC PROSPECTIVE PAYMENT SYSTEM	Edit
LTCH - MEDPAR LONG TERM CARE (MDS)	Edit
MEDPAR - MEDICARE PROVIDER ANALYSIS AND REVIEW	Edit
OPPTS - OUTPATIENT PPS	Edit

Select All	Data File Description	Status
<input type="checkbox"/>	IPFPPS - INPATIENT PSYCHIATRIC PROSPECTIVE PAYMENT SYSTEM	OPEN
<input type="checkbox"/>	LTCH - MEDPAR LONG TERM CARE (MDS)	OPEN
<input type="checkbox"/>	MEDPAR - MEDICARE PROVIDER ANALYSIS AND REVIEW	OPEN
<input type="checkbox"/>	OPPTS - OUTPATIENT PPS	OPEN
<input type="checkbox"/>	OPPSLD - OUTPATIENT PROSPECTIVE PAYMENT SYSTEM LIMITED DATA SET	OPEN
<input type="checkbox"/>	SAFSNP - SKILLED NURSING FACILITY LIMITED DATA SET	OPEN

1. The **Apply Data Selection Attributes** pop-up displays.
2. Select the **Select All** checkbox.
3. Select the **Apply to DUA request** button.

Notes:

- Select individual files if only those files will be closed.
- All data files must be in **Closed** status in order to close the DUA.

DUA Requester – Closing an LDS DUA

All Data Files Closed

CLOSE DUA

DUA Number : LDSS-2010-20599

DATA FILE DESCRIPTIONS

Data File Description	From Year	To Year	Status	Action	
ASC-PR - AMBULATORY SURIGICAL CENTER, PROPOSED RULE (LDS)	2008	2008	CLOSED	Edit Apply All	+
IPFPFS - INPATIENT PSYCHIATRIC PROSPECTIVE PAYMENT SYSTEM	2007	2007	CLOSED	Edit	+
LTCH - MEDPAR LONG TERM CARE (MDS)	2004	2008	CLOSED	Edit	+
MEDPAR - MEDICARE PROVIDER ANALYSIS AND REVIEW	1997	2008	CLOSED	Edit	+
OPPS - OUTPATIENT PPS	2008	2008	CLOSED	Edit	+

Showing 1 to 5 of 7 entries Previous Next

Comments :

2000 characters remaining (2000 maximum)

Cancel Next

1. The **Status** for all data files is **Closed**.
2. Select the **Green Plus Sign** icon to view file details.
3. Select the **Edit** link to change the reason for closing a file.
4. Enter **Comments** (optional).
5. Select the **Next** button.

DUA Requester – Closing an LDS DUA

View Data File Details

CLOSE DUA

DUA Number : LDSS-2010-20599

DATA FILE DESCRIPTIONS

Data File Description	From Year	To Year	Status	Action
ASC-PR - AMBULATORY SURGICAL CENTER, PROPOSED RULE (LDS)	2008	2008	CLOSED	Edit Apply All

Privacy Level : LIMITED DATASET
From - To Year ; Extraction % / Cohort ; Quarters ; States : 2008-2008, Migrated from DADSS - NA .NA,NA
Access Type : SHIPPING
Data Disposition Reason : The file has been destroyed, including copies, derivatives, subsets and manipulated files.
Data Dissemination System : CCWVRDC

Shipping Details

Id	Shipping Location	Recipient	Carrier	Carrier Account Number
1	500 12TH STREET,SUITE 340, OAKLAND, California, 94607, USA	MIHIR SHAH		

Custodian Locations and Custodians

Id	Organization	Custodian Locations	Custodians	Email	Phone
1	HUMANA, INC.	500 12TH STREET,SUITE 340, OAKLAND, California, 94607, USA	1. MIHIR SHAH	1. test@eppe.com	1. (510) 832-0311

IPFPPS - INPATIENT PSYCHIATRIC PROSPECTIVE PAYMENT SYSTEM	2007	2007	CLOSED	Edit	+
LTCH - MEDPAR LONG TERM CARE (MDS)	2004	2008	CLOSED	Edit	+
MEDPAR - MEDICARE PROVIDER ANALYSIS AND REVIEW	1997	2008	CLOSED	Edit	+
OPPS - OUTPATIENT PPS	2008	2008	CLOSED	Edit	+

Showing 1 to 5 of 7 entries

Comments :

2000 characters remaining (2000 maximum)

Cancel Next

1. The data file details display if you selected the **Green Plus Sign** icon:
 - **Privacy Level**
 - **From/To Year, Extraction%/Cohort, Quarters (if applicable), States (if applicable)**
 - **Access Type**
 - **Data Dissemination System**
 - **Shipping Details**
 - **Custodian Locations and Custodians**
2. Select the **Red Negative Sign** icon to collapse the **Data File Details**.

DUA Requester – Closing an LDS DUA

Change the Reason for Closing the Data File

The screenshot shows the 'CLOSE DUA' interface. At the top, it says 'CLOSE DUA' and 'DUA Number : LDSS-2010-20599'. Below this is a section titled 'DATA FILE DESCRIPTIONS' with a table of data file descriptions. A modal dialog titled 'Select Data Disposition Reason' is open in the center. The dialog contains the text 'Please select one of the Disposition Statements *:' and three radio button options. The first option is 'The file has been destroyed, including copies, derivatives, subsets and manipulated files.' The second option is 'The file or copies, derivatives, subsets, and/or manipulated files have been approved by CMS for re-use.' The third option is 'I did not receive physical data and only accessed data through CMS systems.' The fourth option, which is selected, is 'The file was not received for this DUA.' Below the options is a 'Submit' button. The background interface shows a 'Cancel' button at the bottom left and a 'Next' button at the bottom right. There are also 'Edit' and 'Apply All' buttons on the right side of the data file descriptions table.

1. Select **Edit** if you need to change the original **Disposition Reason** for closing which will be pre-populated.
2. You can change the reason before submission by selecting a different radio button.
3. Select the **Submit** button.

DUA Requester – Closing an LDS DUA

Change the Reason for Closing the Data File

The screenshot displays the 'CLOSE DUA' interface. At the top, it shows 'DUA Number : LDSS-2010-20599'. Below this is a section titled 'DATA FILE DESCRIPTIONS' containing a table with 7 entries. Each entry has a 'Data File Description' and an 'Action' column with an 'Edit' button and a green circular icon. A 'Submit' button is visible in the bottom left of the main interface. Two dialog boxes are overlaid on the interface. The first dialog, titled 'Select Data Disposition Reason', prompts the user to select one of the following reasons: '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.', and 'The file was not received for this DUA.'. The second dialog, titled 'Close DUA Data File', contains a warning icon and the text: 'You have requested to close one or more data files on this DUA. Would you like to continue with the closure?'. It has 'Yes' and 'No' buttons.

1. The **Close Data File Confirmation** displays.
2. Select the **Yes** button.

DUA Requester – Closing an LDS DUA

Change the Reason for Closing the Data File

CLOSE DUA

DUA Number : LDSS-2010-20599

DATA FILE DESCRIPTIONS

Data File Description	From Year	To Year	Status	Action
ASC-PR - AMBULATORY SURGICAL CENTER, PROPOSED RULE (LDS)	2008	2008	CLOSED	Edit Apply All 

Privacy Level : LIMITED DATASET
From - To Year ; Extraction % / Cohort ; Quarters ; States : 2008-2008; Migrated from DADSS - NA ; NA:NA
Access Type : SHIPPING
Data Disposition Reason : **The file was not received for this DUA.**
Data Dissemination System : CCWVRDC

Shipping Details

Id	Shipping Location	Recipient	Carrier	Carrier Account Number
1	500 12TH STREET,SUITE 340, OAKLAND, California, 94607, USA	MIHIR SHAH		

Custodian Locations and Custodians

Id	Organization	Custodian Locations	Custodians	Email	Phone
1	HUMANA, INC.	500 12TH STREET,SUITE 340, OAKLAND, California, 94607, USA	1. MIHIR SHAH	1. test@eppc.com	1. (510) 832-0311

IPFPPS - INPATIENT PSYCHIATRIC PROSPECTIVE PAYMENT SYSTEM	2007	2007	CLOSED	Edit	
LTCH - MEDPAR LONG TERM CARE (MDS)	2004	2008	CLOSED	Edit	
MEDPAR - MEDICARE PROVIDER ANALYSIS AND REVIEW	1997	2008	CLOSED	Edit	
OPPS - OUTPATIENT PPS	2008	2008	CLOSED	Edit	

Showing 1 to 5 of 7 entries Previous Next

Comments :

2000 characters remaining (2000 maximum)

Cancel Next

1. The **Data File Descriptions** screen redisplay.
2. Select the **Green Plus Sign** icon to view the updated **Disposition Reason**.
3. Enter **Comments** (optional).
4. Select the **Next** button.

DUA Requester – Closing an LDS DUA

Accept Terms & Conditions and Submit the DUA

CLOSE DUA

DUA Number : LDSS-2010-20599

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.

1. This Agreement addresses the conditions under which CMS will release and you will obtain, use, reuse, and disclose the CMS data files specified in the DUA Request. This Agreement also pertains to and covers any derivative files which may contain direct individual identifiers or elements that can be used in concert with other information to identify individuals. For all data released under this Agreement, the legal clauses contained herein supersede any and all agreements between you and CMS, and preempts and overrides any instructions, directions, agreements, or other understandings pertaining to any grant award or prior communication with HHS (or any of its components).

The terms of this Agreement can be changed only by a written modification to this Agreement or through adoption of a new agreement. Any instructions or interpretations issued to you concerning this Agreement or the data specified in the DUA Request are not considered valid unless issued in writing by the appropriate CMS representative associated with the project (e.g. Contracting Officer's Representative/Government Task Leader, Program Office, System Manager, etc.).

2. You agree that CMS retains all ownership rights to the data files specified in the DUA Request, and that you do not obtain any right, title, or interest in any of the data released by CMS.
3. You represent that the data files covered by this Agreement will be used solely for the purposes described in the DUA Request. In releasing the data files, CMS relies upon such representation.

You represent that the facts and statements made in any study, research protocols, or project plans listed in the DUA Request are complete and accurate. You also represent that said study protocols or project plans, which have been approved by CMS or another appropriate entity as CMS may determine, represent the total uses for which you will use the released data files.

You agree not to disclose, use, or reuse the data covered by this Agreement, except: (a) as specified in an Attachment uploaded to the DUA Request; (b) as authorized by CMS; or (c) as otherwise required by law. You also agree not to sell, rent, lease, loan, or otherwise grant access to the data covered by this Agreement, unless you receive express permission from CMS.

You affirm that the requested data is the minimum necessary to achieve the purposes covered by this Agreement. You agree that, within your organization and the organization of your agents, access to the data covered by this Agreement shall be limited to the minimum amount of data and minimum number of individuals necessary to achieve the specified purposes (i.e., individual's access to the data will be on a need-to-know basis).

4. You agree that you may retain the files covered by this Agreement as well as any derivative files—including those that directly identify individuals, or that directly identify bidding firms and/or such firms' proprietary, confidential, or specific bidding information, which in concert with other information can be used to identify individuals—until the End Date specified in the DUA Request. If the purposes covered by this Agreement are completed before the specified End Date, you agree to notify CMS within 30 days of completion of those purposes. Upon such notice or the End Date, whichever occurs sooner, you agree to destroy the data in your possession covered by this Agreement and provide certification of disposition of the files identified in the EPPE system within 30 days. You agree not to retain the files covered by this Agreement or any parts of the files after the notice of disposition, unless the appropriate CMS representative overseeing the project grants written authorization. You acknowledge that the End Date is not contingent on any action by CMS.

You understand that you, or CMS, may terminate this Agreement at any time, for any reason, upon 30 days written notice. Upon notice of termination, CMS will cease releasing the requested data files to you, and will notify you to destroy any data files in your possession. Sections 2, 3, 4, 6, 7, 8, 9, 11, 12, and 13 shall survive termination of this Agreement.

5. You agree to establish appropriate administrative, technical, and physical safeguards to protect the confidentiality of the data and to prevent unauthorized use or access to it. The safeguards shall provide a level and scope of security that is not less than the level and scope of security requirements established by the following documents:

Office of Management and Budget (OMB), "OMB Circular No. A-130, Appendix III—Security of Federal Automated Information Resources," available at https://www.whitehouse.gov/omb/circulars_a130_a130appendix_iii.

National Institute of Standards and Technology (NIST), "Federal Information Processing Standards Publication 200—Minimum Security Requirements for Federal Information and Information Systems," available at <http://csrc.nist.gov/publications/fips/fips200/FIPS-200-final-march.pdf>.

National Institute of Standards and Technology (NIST), "Special Publication 800-53—Security and Privacy Controls for Federal Information Systems and Organizations," available at <http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf>.

The first half of the **Terms & Conditions** screen displays.

Note: For better legibility, the image is being displayed on two (2) slides.

DUA Requester – Closing an LDS DUA

Accept Terms & Conditions and Submit the DUA (cont.)

CMS Office of Information Services, "Acceptable Risk Safeguards, Appendix B—CMSR Moderate Impact Level Data," available at http://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/InformationSecurity/Downloads/ARS_App_B_CMSR_Moderate.pdf.

You acknowledge that the use of unsecured telecommunications, including the Internet, to transmit individually identifiable, bidder identifiable, or deducible information derived from the files covered by this Agreement is prohibited. You also agree that the data must not be physically moved, transmitted, or disclosed in any way from or by the site indicated in the DUA Request without written approval from CMS, unless such movement, transmission, or disclosure is required by law.

6. You agree to grant physical and/or electronic access to authorized representatives of CMS and/or HHS Office of the Inspector General ("OIG") for inspection of the site indicated in the DUA Request to confirm compliance with the terms of this Agreement.

7. You agree not to disclose direct findings, listings, or information derived from the files covered by this Agreement with or without identifiers if such findings, listings, or information can by themselves or in combination with other data be used to deduce an individual's identity. Examples of such data elements include, but are not limited to geographic location, age if > 89, sex, diagnosis and procedure, admission/discharge dates, or date of death.

You agree that any use of CMS data in the creation of any document (e.g. manuscript, table, chart, study, report, etc.) concerning the purposes covered by this Agreement—regardless of whether the written product expressly refers to those purposes, CMS, the requested data files, or any data derived from such files—must adhere to CMS' current cell size suppression policy. This policy stipulates that no cell (e.g. admissions, discharges, patients, services, etc.) 10 or less may be displayed. Also, no use of percentages or other mathematical formulas may be used if they result in the display of a cell 10 or less. You agree to abide by these rules, and therefore, will not be required to submit any written documents for CMS review. If you are unsure whether you meet the above criteria, you may submit your written products for CMS review. CMS may withhold approval for publication only if it determines that the format in which data are presented may result in identification of individual beneficiaries.

8. You agree that, absent express written authorization from the appropriate CMS representative associated with the project to do so, you shall not attempt to link records included in the files covered by this Agreement to any other individually identifiable source of information. This includes attempts to link the specified data to other CMS data files. CMS approval of study, research, or project protocols covered by this Agreement that include instruction for the linkage of specific files constitutes express authorization from CMS to link files, but only in the manner described in the protocols.

9. You understand and agree that you may not reuse original and/or derivative data files without prior written approval from the appropriate CMS representative associated with the project.

10. You agree that the Attachments uploaded electronically to the DUA Request are incorporated into this Agreement.

11. You agree that, in the event CMS determines or reasonably believes that you have made or may have made an unauthorized use, reuse, or disclosure of the files covered by this Agreement or another written authorization from the appropriate CMS representative associated with the project, then CMS—at its sole discretion—may require you to: (a) promptly investigate and report to CMS any of your determinations regarding all alleged or actual unauthorized use, reuse, or disclosure; (b) promptly resolve any problems identified by the investigation; (c) if requested by CMS, submit a formal response to any allegations of unauthorized use, reuse, or disclosure; (d) if requested by CMS, submit a corrective action plan with steps designed to prevent any future unauthorized uses, reuses, or disclosures; and/or (e) if requested by CMS, return or destroy the data files covered by this Agreement to CMS, as well as any derivative files containing information from the files released under this Agreement. You understand that as a result CMS' determination or reasonable belief that unauthorized uses, reuses, or disclosures have taken place, CMS may determine a period of time during which you are excluded from access to CMS data.

You agree to report any breach, loss, or unauthorized disclosure of protected health information (PHI) and/or personally identifiable information (PII) from the CMS data files covered by this Agreement to the CMS Action Desk by telephone at (410) 786-2850 or by e-mail notification at cms_it_service_desk@cms.hhs.gov within 1 hour and to cooperate fully in the federal security incident process. While CMS retains all ownership rights to the data files, as outlined above, you agree to bear the cost and liability for any breaches of PHI and/or PII from the data files while they are entrusted to you. Furthermore, if CMS determines that the risk of harm requires notification of affected individual persons regarding the security breach and/or other remedies, you agree to carry out these actions without cost to CMS.

12. You acknowledge that criminal penalties under Section 1106(a) of the Social Security Act (42 U.S.C. § 1306(a)), including a fine not exceeding \$10,000 or imprisonment not exceeding 5 years, or both, may apply to disclosures of information that are covered by Section 1106 and that are not authorized by regulation or by Federal law. You further acknowledge that criminal penalties under the Privacy Act (5 U.S.C. § 552a(i)(3)) may apply if it is determined that the Requester, Custodian, or any individual employed or affiliated therewith, knowingly and willfully obtained the files under false pretenses. Any person found to have violated the above-cited section of the Privacy Act shall be guilty of a misdemeanor and fined not more than \$5,000. Finally, you acknowledge that criminal penalties may be imposed under 18 U.S.C. § 641 if it is determined that you or any individual employed or affiliated therewith, has taken or converted the data files to their own use, or received the data knowing that the files had been stolen or converted. Under such circumstances, they shall be fined under Title 18 or imprisoned not more than 10 years, or both; but if the value of such property does not exceed the sum of \$1,000, they shall be fined under Title 18 or imprisoned not more than 1 year, or both.

You acknowledge that in the event of a breach of this Agreement, additional criminal, civil, and/or administrative penalties, assessments, or fines may be determined as applicable by law.

13. By clicking "Agree," you attest that you are authorized to legally bind the requesting organization listed in the DUA Request, and agree to all the terms specified herein. Furthermore, you agree to abide by all provisions set out in this Agreement and acknowledge having received notice of potential criminal, civil, and/or administrative penalties for violation of the terms of this Agreement.

Attachment B

This attachment supplements the above-referenced Data Use Agreement (DUA) between the Centers for Medicare and Medicaid Services and the User (as set forth in the DUA). Upon execution by both parties, to the extent this Attachment is inconsistent with any terms in the DUA, this Attachment modifies and overrides the DUA.

A-1. Use of Data: Users may disseminate research findings on providers or suppliers (including individual physicians) using original or derived information from the files specified in Section 5 of the DUA provided all findings are limited to patient de-identified data that conform with the HIPAA Privacy Rule's definition of de-identified data at 45 CFR 164.514(b).

A-2. Disclosure of Findings: Nothing in the DUA, including but not limited to Section 8, prohibits Users from discussing or reporting on specific providers or suppliers (including individual physicians) in a manner consistent with A-1.

I agree to the terms and conditions above.

1. The second half of the **Terms & Conditions** screen displays.
2. Select the **I agree** checkbox.
3. User your browser to print if applicable.
4. Select **Submit**.

Previous

Submit

DUA Requester – Closing an LDS DUA

Confirmation of Data File Closing

CLOSE DUA [Print DUA](#)

DUA REQUEST STATUS
Your request to close DUA LDSS-2010-20599 has been completed

DUA Life Cycle 
DADSS Comments 

MAIN INFORMATION

DUA Number : LDSS-2010-20599
DUA Customer Type : Limited Data Set
DUA Category : 51 - LIMITED DATASETS (LDS)
DUA Request Type : CLOSE DUA
DUA Status : Closed
Expiration Date : 06-01-2012
Requested Date : 05-31-2019
Requester : Demo UserOne
Requester's Email : test@eppe.com
Requester's Phone Number : (410) 555-1212 Ext-null
Last Updated By :
Organization Name : Demonstration Organization 2
Study/Project Aim :
Project Name : ASSESSING AND IMPROVING MANAGEMENT OF ARCADIAN HEALTH PLAN HIGH RISK POPULATION

COLLABORATING ORGANIZATION(S)

CUSTODIAN/DESU USERS

Search:

User Name	EUA User Id	Organization	
MIHIR SHAH		HUMANA, INC.	

Showing 1 to 1 of 1 entries [Previous](#) [Next](#)

DATA FILE DESCRIPTIONS

Data File Description		From Year	To Year	
ASC-PR - AMBULATORY SURGICAL CENTER, PROPOSED RULE (LDS)	CLOSED	2008	2008	
IPFFPS - INPATIENT PSYCHIATRIC PROSPECTIVE PAYMENT SYSTEM	CLOSED	2007	2007	
LTCH - MEDPAR LONG TERM CARE (MDS)	CLOSED	2004	2008	
MEDPAR - MEDICARE PROVIDER ANALYSIS AND REVIEW	CLOSED	1997	2008	
OPPS - OUTPATIENT PPS	CLOSED	2008	2008	

Showing 1 to 5 of 7 entries [Previous](#) [Next](#)

1. The **Close DUA** screen displays with the closing confirmation message displayed.
2. The **DUA Status** is **Closed** because all the data files are **Closed**.
3. Select the **Print DUA** button to print or save the document as PDF.
4. Select the **Green Plus Sign** button to view the DUA Life Cycle.

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.

DUA Requester – Closing an LDS DUA

Displaying the DUA Life Cycle

[CLOSE DUA](#) [Print DUA](#)

DUA REQUEST STATUS
Your request to close DUA LDSS-2017-53257 has been completed

DUA Life Cycle 

MAIN INFORMATION

DUA Number :	LDSS-2017-53257
DUA Customer Type :	Limited Data Set
DUA Request Type :	CLOSE DUA
DUA Status :	Closed
Expiration Date :	12-07-2018
Requested Date :	02-13-2018
Requester :	SCOTT HINTON
Requester's Email :	test@eppe.com
Requester's Phone Number :	(850) 656-9397
Last Updated By :	Viola Davis
Organization Name :	FLORIDA STATE UNIVERSITY
Study/Project Aim :	EPPE 1536
Project Name :	Release 18: EPPE 1536

Select the **Green Plus Sign Icon** to view the **DUA Life Cycle**

DUA Requester – Closing an LDS DUA

Status Progressions and Actions Display

[CLOSE DUA](#) [Print DUA](#)

DUA REQUEST STATUS
Your request to close DUA LDSS-2017-53257 has been completed

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments	Special Instructions
Closed	Feb 13, 2018 1:14:51 PM	CLOSE DUA	Viola Davis		
Approved	Dec 7, 2017 2:31:50 PM	UPDATE DUA	Happy NewUser		
In Progress	Dec 7, 2017 2:31:28 PM	UPDATE DUA	Happy NewUser		
In Progress	Dec 7, 2017 2:28:57 PM	UPDATE DUA	Happy NewUser		
In Progress	Dec 7, 2017 2:27:44 PM	UPDATE DUA	Happy NewUser		

Showing 1 to 5 of 17 entries [Previous](#) [1](#) [2](#) [3](#) [4](#) [Next](#)

MAIN INFORMATION

DUA Number : LDSS-2017-53257
DUA Customer Type : Limited Data Set
DUA Request Type : CLOSE DUA
DUA Status : Closed
Expiration Date : 12-07-2018
Requested Date : 02-13-2018
Requester : SCOTT HINTON
Requester's Email : test@eppe.com
Requester's Phone Number : (850) 656-9397
Last Updated By : Viola Davis
Organization Name : FLORIDA STATE UNIVERSITY
Study/Project Aim : EPPE 1536
Project Name : Release 18: EPPE 1536

1. The **DUA Life Cycle** details display.
2. The **DUA Status** is **Closed**.
3. The **DUA Action** is **Close DUA**.
4. Select the **Close DUA** link to view more details.

DUA Requester – Closing an LDS DUA

Data File Closure Details

The screenshot shows a window titled "DUA Update Summary" with a search bar and a table of file closure details. The table has five columns: Change Type, Field Name, Data Description, Old Value, and New Value. The table contains five rows of data, all with "Added" as the change type. The first row shows a document named "Certificate_of_Disposition.docx". The subsequent four rows show data files that have been destroyed, with reasons such as "LDS - HOSPITAL OUTPATIENT PROSPECTIVE PAYMENT SYSTEM (OPPS), FINAL" and "5% LDS WITH STANDARD ANALYTICAL DATE FILE - OUTPATIENT". The window also includes a "Next" button and a "Showing 1 to 5 of 21 entries" indicator.

Change Type	Field Name	Data Description	Old Value	New Value
Added	Documents			Certificate_of_Disposition.docx
Added	Data File Disposition Reason	LDS - HOSPITAL OUTPATIENT PROSPECTIVE PAYMENT SYSTEM (OPPS), FINAL		The file has been destroyed, including copies, derivatives, subsets and manipulated files.
Added	Data File Disposition Reason	5% LDS WITH STANDARD ANALYTICAL DATE FILE - OUTPATIENT		The file has been destroyed, including copies, derivatives, subsets and manipulated files.
Added	Data File Disposition Reason	DENOMINATOR 5% FILE		The file has been destroyed, including copies, derivatives, subsets and manipulated files.
Added	Data File Disposition Reason	LDS - HOSPITAL OUTPATIENT PROSPECTIVE PAYMENT SYSTEM (OPPS), PROPOSED		The file has been destroyed, including copies, derivatives, subsets and manipulated files.

Showing 1 to 5 of 21 entries

Previous 1 2 3 4 5 Next

1. The **DUA Update Summary** displays the details of the file closure actions.
2. Select the **Next** button to scroll through other screens if applicable.
3. Select the **X** button to close the window.

DUA Requester – Closing an LDS DUA

Status Progressions and Actions Display

CLOSE DUA [Print DUA](#)

DUA REQUEST STATUS
Your request to close DUA LDSS-2017-53257 has been completed

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments	Special Instructions
Closed	Feb 13, 2018 1:14:51 PM	CLOSE DUA	Viola Davis		
Approved	Dec 7, 2017 2:31:50 PM	UPDATE DUA	Happy NewUser		
In Progress	Dec 7, 2017 2:31:28 PM	UPDATE DUA	Happy NewUser		
In Progress	Dec 7, 2017 2:28:57 PM	UPDATE DUA	Happy NewUser		
In Progress	Dec 7, 2017 2:27:44 PM	UPDATE DUA	Happy NewUser		

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MAIN INFORMATION

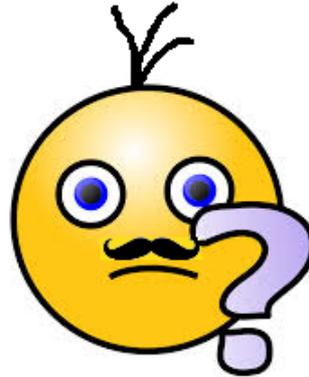
DUA Number : LDSS-2017-53257
DUA Customer Type : Limited Data Set
DUA Request Type : CLOSE DUA
DUA Status : Closed
Expiration Date : 12-07-2018
Requested Date : 02-13-2018
Requester : SCOTT HINTON
Requester's Email : test@eppe.com
Requester's Phone Number : (850) 656-9397
Last Updated By : Viola Davis
Organization Name : FLORIDA STATE UNIVERSITY
Study/Project Aim : EPPE 1536
Project Name : Release 18: EPPE 1536

1. The **DUA Life Cycle** details re-display.
2. Select the **Next** button to scroll through the life cycle list if applicable.
3. Select the **Red Negative Sign** icon to collapse the **DUA Life Cycle** table.

DUA Requester – Print DUA

Please refer to the **Print DUA** training module for more information on printing your DUA.

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 Close DUA related information, please refer to the [Extensions and Closures](#) page.