



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

Enterprise Privacy Policy Engine (EPPE)



**Contractor Approval Workflow
Training Module - Extend & Close
DUA**

Training Topics

Training Topics in this Module

- Closing a DUA
 - Closing select data files on a DUA
 - Closing all data files on a DUA
- Extending a DUA

EXTEND A DUA

DUA Requester – Extend a DUA

EPPE Menu

CMS.gov | My Enterprise Portal

My Apps

REQ UserFive Help Log Out

Enterprise Privacy Policy Engine

Logged in as: DUA REQUESTER

- EPPE Home
- DUA(s)
- New / Re-Use
- Update / Amend
- Close
- Extend
- My DUA(s)
- Un-Finished
- Submitted
- Pending Action(s)
- Approved
- Expired
- Closed
- Denied

Welcome to EPPE

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.

Version 27.1

Select the **Extend** option on the DUA(s) menu.

DUA Requester – Extend a DUA

List of DUAs That Can Be Extended

DUA

EXTEND DUA

PLEASE SELECT ONE OF THE DUA TO EXTEND

Search:

DUA Number	Organization	Requester	Request Date	Status	
CONT-2018-54407	SHAW UNIVERSITY	Taraji Henson	3-5-2018	Approved	View
CONT-2018-54408	SHAW UNIVERSITY	Taraji Henson	3-5-2018	Approved	View
CONT-2018-54409	SHAW UNIVERSITY	Taraji Henson	3-5-2018	Approved	View
CONT-2018-54410	SHAW UNIVERSITY	Taraji Henson	3-5-2018	Expired	View
CONT-2018-54411	NORTH CAROLINA STATE UNIVERSITY	Taraji Henson	3-5-2018	Expired	View

Showing 1 to 5 of 6 entries

[Previous](#) [Next](#)

1. The list of DUAs that can be extended displays.
2. Specify **Search** criteria (if applicable).
3. Select the **View** link.

Notes:

- DUAs in the **Extend** Queue can be in **Approved** or **Expired** Status.
- In this example, the Requester is associated with two organizations and their DUAs display in the list.

DUA Requester – Extend a DUA

DUA Displays

MY DUA

[Print DUA](#)

DUA Life Cycle

MAIN INFORMATION

DUA Number: 00072019-04410
DUA Customer Type: Contractor
DUA Category: 47 - CMS PROGRAMS
DUA Status: Expired
Expiration Date: 03-05-2019
Requested Date: 03-05-2019
Requester: Terry Hanson
Requester's Email: tshanson@gmail.com
Requester's Phone Number: 689 555-1212
Last Updated By: [blank]
Organization Name: SHAW UNIVERSITY
Project Name: Expired Test

CMS Center (DDR)

Org Name: Shaw
Last Name: Hanson
Email Address: tshanson@gmail.com
Phone Number: 689 555-1212

Contract Information

Contract Number: 00071234
Task Order Number: TO-123456
Contract Period - Start Date: 03-05-2019 Contract Period - End Date: 03-05-2019

CUSTOMER/DEBT USERS

User Name	EMR User ID	Organization
Terry Hanson	THAN	SHAW UNIVERSITY

Showing 1 to 1 of 1 entries

DATA FILE DESCRIPTIONS

Data File Description	From Year	To Year
ENRPT - AN EXTRACT FROM THE ER TO SUPPORT HOSPITAL VALUE BASED PURCHASING AS REQUIRED BY SECTION 3081 OF TH	2018	2011
ORWMS - (DR) - BENEFICIARY DEMOGRAPHIC FILE (ALIGNED BENE)	2018	2011
ORWMS - (DR) - BENEFICIARY ENROLLMENT / ENROLLMENT DATA (ALIGNED BENE)	2018	2011

Showing 1 to 3 of 3 entries

DOCUMENTS

Document	Uploaded File
SHAW LIFE ACCORDUM	ShawLife_Accordum.docx Download

[Extend](#)

1. The **My DUA** review screen displays.
2. Select the **Print DUA** button to print or save the DUA to PDF.
3. Select the **green plus sign icon** to view the DUA Life Cycle.
4. Select the **Extend** button.

Note: Details about **Printing the DUA** and **Viewing the DUA Life Cycle** will be discussed further on in the presentation.

DUA Requester – Extend a DUA

Changing the Contract Period End Date

EXTEND DUA

DUA Number : CONT-2018-54410

DUA EXTENSION REQUEST

DUA Number : CONT-2018-54410

CONTRACT PERIOD (REQUIRED) ⓘ

Start Date : End Date :

03/01/2016 03/05/2018

Comments :

Mar 2018

Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

Today Done

Previous Next

1. The **DUA Extension Request** screen displays.
2. Enter the **Contract End Date** if there is a new date.
3. Use the **mm/dd/yyyy** format to enter the dates, *or*
4. Use the pop-up calendar. If using the pop-up calendar, select the month, the year, and the day in that order.
5. Enter any applicable **Comments**.
6. Select the **Next** button.

Note: If there is no new **Contract End Date**, continue to extend the **Expiration Date** on the next screen.

DUA Requester – Extend a DUA

Changing the Expiration Date

EXTEND DUA

DUA Number : CONT-2018-54410

DUA EXPIRATION DATE

CURRENT DUA EXPIRATION DATE ?

Date :
03/05/2018

NEW DUA EXPIRATION DATE * ?

Date :
|

Mar 2018

Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

Today Done

Previous Next

1. The **DUA Expiration Date** screen displays.
2. Enter the **New DUA Expiration Date**.
3. Use the **mm/dd/yyyy** format to enter the dates, *or*
4. Use the pop-up calendar. If using the pop-up calendar, select the month, the year, and the day in that order.
5. Select the **Next** button.

DUA Requester – Extend a DUA

Accept Terms and Conditions and Submit the DUA

EXTEND DUA

DUA Number: CONT-2018-54410

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 HHS; or (c) as otherwise permitted by law. You have agreed not to call, text, fax, or otherwise contact anyone in the HHS network 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 earlier, you agree to destroy the data in your possession created by this Agreement and provide notification of the position of the data 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.800-53a.pdf>.

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, biometric, identifiable, or deducible information derived from the files covered by this Agreement is prohibited. The data must not be publicly released, 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 > 65, 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) 786-2650 or by e-mail notification at cms_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. § 1106(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)(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 files 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.

I agree to the terms and conditions above.

[Previous](#) [Submit](#)

1. The Terms and Conditions screen displays.
2. Select the I agree to the terms and conditions above checkbox.
3. Use your browser to print the DUA if applicable.
4. Select **Submit**.

DUA Requester – Extend a DUA

DUA Extension Confirmation

EXTEND DUA [Print DUA](#)

DUA Number : CONT2015-0419

DUA REQUEST STATUS
Your DUA Extension request for DUA CONT20150419 has been completed.

DUA Life Cycle

MAIN INFORMATION

DUA Number : CONT2015-0419
DUA Customer Type : Contract
DUA Category : IT - DUA REQUESTERS
DUA Status : **Approved**
Expiration Date : 06-30-2019
Requisition Date : 03-20-2019
Requisition : 1613
Requester's Email : mshapiro@smu.edu
Requester's Phone Number : (972) 552-1282
Last Updated By :
Organization Name : SMU UNIVERSITY
Project Name : Renewal Bid
ONS Contact (ONS)
First Name : Neil
Last Name : Hensel
Email Address : mshapiro@smu.edu
Phone Number : (972) 552-1282

Contract Information

Contract Number : CONT1214
Task Order Number : TO 123456
Contract Period - Start Date : 03-01-2015 Contract Period - End Date : 06-30-2015

CUSTOMER USES

Row Name	ESS Row ID	Organization
SMU HENSLEY	1613	SMU UNIVERSITY

Showing 1 of 1 entries

DATA FILE DESCRIPTIONS

Row File Description	From Year	To Year
DMED1 - AN EXTRACT FROM THE ICR TO SUPPORT HOSPITAL VALUE BASED PURCHASING AS REQUIRED BY SECTION 501(C)(3)	2018	2019
DMED2 - ICR - BENEFICIARY DEMOGRAPHIC FILE (ALIGNED DEMO)	2018	2019
DMED3 - ICR - BENEFICIARY ENROLLMENT / ENTPLEMENT DATA (ALIGNED DEMO)	2018	2019

Showing 3 of 3 entries

DOCUMENTS

Document	Uploaded Files
1. ORGANIZATION ADDRESS	System Administrator Comment

1. The DUA Extension **Confirmation Message** displays.
2. The DUA status is **Approved**.
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.

DUA Requester – DUA Life Cycle

Displaying the DUA Life Cycle

EXTEND DUA **Print DUA**

DUA Number : CONT-2018-54410

DUA REQUEST STATUS

Your DUA Extension request for DUA CONT-2018-54410 has been completed

DUA Life Cycle 

MAIN INFORMATION

DUA Number :	CONT-2018-54410
DUA Customer Type :	Contractor
DUA Category :	42 - CMS PROGRAMS
DUA Status :	Approved
Expiration Date :	06-29-2018
Requested Date :	03-06-2018
Requester :	Taraji Henson
Requester's Email :	fakepicnic@gmail.com
Requester's Phone Number :	(800) 555-1212
Last Updated By :	
Organization Name :	SHAW UNIVERSITY
Project Name :	Expired Test

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

DUA Requester – DUA Life Cycle

Status Progressions and Actions Display

EXTEND DUA [Print DUA](#)

DUA Number : CONT-2018-54410

DUA REQUEST STATUS

Your DUA Extension request for DUA CONT-2018-54410 has been completed

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments	Special Instructions
Approved	Mar 6, 2018 1:40:13 PM	EXTEND DUA	Taraji Henson	Extending Contract End Date and Expiration Date from 03/05/2018 to 06/26/2018	
Expired	Mar 5, 2018 10:10:00 PM		System		
Approved	Mar 5, 2018 2:27:14 PM	CREATE DUA	Taraji Henson		
Approved by CMS COR-Waiting for Contractor DUA Management Team Certification	Mar 5, 2018 2:25:09 PM	CREATE DUA	Taraji Henson		
Submitted-Waiting for CMS COR Approval	Mar 5, 2018 2:17:50 PM	CREATE DUA	Taraji Henson		

Showing 1 to 5 of 8 entries [Previous](#) [1](#) [2](#) [Next](#)

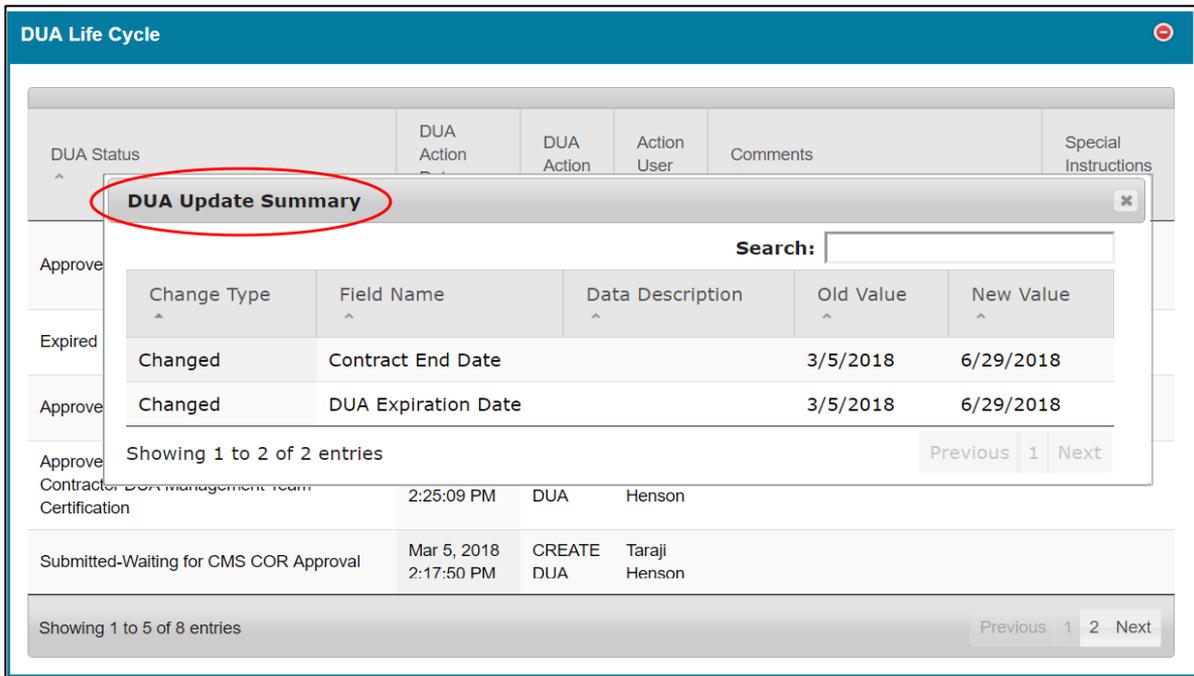
MAIN INFORMATION

DUA Number :	CONT-2018-54410
DUA Customer Type :	Contractor
DUA Category :	42 - CMS PROGRAMS
DUA Status :	Approved
Expiration Date :	05-26-2018
Requested Date :	03-06-2018
Requester :	Taraji Henson
Requester's Email :	tskepicnic@gmail.com
Requester's Phone Number :	(800) 555-1212
Last Updated By :	
Organization Name :	SHAW UNIVERSITY
Project Name :	Expired Test

1. The **DUA Life Cycle** details display the **Extend DUA** action.
2. The **DUA Status** is **Approved**.
3. Select the **Extend DUA** link to view more details.

DUA Requester – DUA Life Cycle

DUA Extension Details



The screenshot displays the 'DUA Life Cycle' application interface. A 'DUA Update Summary' pop-up window is overlaid on the main data table. The pop-up window has a search bar and a table with the following data:

Change Type	Field Name	Data Description	Old Value	New Value
Changed	Contract End Date		3/5/2018	6/29/2018
Changed	DUA Expiration Date		3/5/2018	6/29/2018

The pop-up window also includes a 'Showing 1 to 2 of 2 entries' message and 'Previous', '1', and 'Next' navigation buttons. The background table shows DUA entries with columns for DUA Status, DUA Action, DUA Action, Action User, Comments, and Special Instructions.

1. The **DUA Update Summary** pop-up displays to show the details of the DUA extension updates.
2. Select the **X** button to close the window.

DUA Requester – DUA Life Cycle

Status Progressions and Actions Display

EXTEND DUA [Print DUA](#)

DUA Number : CONT-2018-54410

DUA REQUEST STATUS

Your DUA Extension request for DUA CONT-2018-54410 has been completed

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments	Special Instructions
Approved	Mar 6, 2018 1:40:13 PM	EXTEND DUA	Taraji Henson	Extending Contract End Date and Expiration Date from 03/05/2018 to 06/29/2018	
Expired	Mar 5, 2018 10:10:00 PM		System		
Approved	Mar 5, 2018 2:27:14 PM	CREATE DUA	Taraji Henson		
Approved by CMS COR-Waiting for Contractor DUA Management Team Certification	Mar 5, 2018 2:25:09 PM	CREATE DUA	Taraji Henson		
Submitted-Waiting for CMS COR Approval	Mar 5, 2018 2:17:50 PM	CREATE DUA	Taraji Henson		

Showing 1 to 5 of 8 entries [Previous](#) [1](#) [2](#) [Next](#)

MAIN INFORMATION

DUA Number : CONT-2018-54410
DUA Customer Type : Contractor
DUA Category : 42 - CMS PROGRAMS
DUA Status : Approved
Expiration Date : 06-29-2018
Requested Date : 03-05-2018
Requester : Taraji Henson
Requester's Email : takepicnic@gmail.com
Requester's Phone Number : (800) 555-1212
Last Updated By :
Organization Name : SHAW UNIVERSITY
Project Name : Expired Test

1. The **DUA Life Cycle** details redisplay.
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

How to Print the DUA

EXTEND DUA [Print DUA](#)

DUA Number : CONT-2018-54410

DUA REQUEST STATUS

Your DUA Extension request for DUA CONT-2018-54410 has been completed

DUA Life Cycle 

MAIN INFORMATION

DUA Number :	CONT-2018-54410
DUA Customer Type :	Contractor
DUA Category :	42 - CMS PROGRAMS
DUA Status :	Approved
Expiration Date :	06-29-2018
Requested Date :	03-06-2018
Requester :	Taraji Henson
Requester's Email :	fakpicnic@gmail.com
Requester's Phone Number :	(800) 555-1212
Last Updated By :	
Organization Name :	SHAW UNIVERSITY
Project Name :	Expired Test

Select the **Print DUA** button at the top of the screen to access printing options.

DUA Requester – Print DUA

DUA in HTML Displays for Printing

DUA: CONT-2018-54410

MAIN INFORMATION

DUA Number: CONT-2018-54410
 DUA Custodian Type: Contractor
 DUA Category: 42 - CMS PROGRAMS
 DUA Status: Approved
 Requested Date: 3/6/2018
 Expiration Date: 6/29/2018
 Requester: Taraji Henson
 Requester Organization Name: SHAW UNIVERSITY
 Requester Email Address: ftkopcaie@gmail.com
 Requester Phone Number: (909) 555-1212
 Project Name: Expired Test
 Privacy Act Authorization Code: CONTRACTOR BU
 HIPAA Authorization Code: Essential Government Functions

CMS Contact (COR)

Name: Taraji Henson
 Email: ftkopcaie@gmail.com
 Phone Number: (909) 555-1212

Contract Information

Contract Number: CONT1234
 Task Order Number: TO-123456
 Contract Period - Start Date: 3/1/2016
 Contract Period - End Date: 6/29/2018

Subcontracting Organization

No subcontracting organization.

DOCUMENTS

1. Signature_Addendum.docx

DESY USERS

ID	User Name	EUA User ID	Organization	Email Address	Phone Number	Address
1	Taraji Henson (THIS)		SHAW UNIVERSITY	ftkopcaie@gmail.com	(909) 555-1212	118 E SOUTH STREET, RALEIGH, North Carolina 27601, USA

DATA FILE DESCRIPTION

ID	Data File Description	From Year	To Year	Quarter(s)	Extraction %	Re-Used From DUA	Access Type	Status	Disposition Reason
1	IRBX11 - AN EXTRACT FROM THE IDR TO SUPPORT HOSPITAL VALUE BASED PURCHASING AS REQUIRED BY SECTION 900 OF DR	2010	2017		100%		BOTH DIRECT ACCESS AND SHIPPING	Open	
2	IDRM03 - IDR - BENEFICIARY ENROLLMENT - ENTITLEMENT DATA (ALIGNED BIENES)	2010	2017		100%		BOTH DIRECT ACCESS AND SHIPPING	Open	
3	IDRM08 - IDR - BENEFICIARY DEMOGRAPHIC FILE (ALIGNED BIENES)	2010	2017		100%		BOTH DIRECT ACCESS AND SHIPPING	Open	

CUSTODIANS

ID	Custodian	Organization	Address	Email Address	Phone Number
1	Taraji Henson	SHAW UNIVERSITY	118 E SOUTH STREET, RALEIGH, North Carolina, 27601, USA	ftkopcaie@gmail.com	(909) 555-1212 Ext

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments
Approved	Tue Mar 06 13:40:15 EST 2018	EXTEND DUA	Taraji Henson	Extending Contract End Date and Expiration Date from 03/05/2018 to 06/29/2018
Expired	Mon Mar 05 22:30:00 EST 2018		System	
Approved	Mon Mar 05 14:27:14 EST 2018	CREATE DUA	Taraji Henson	
Approved by CMS COR Waiting for Contractor DUA Management Team Certification	Mon Mar 05 14:25:09 EST 2018	CREATE DUA	Taraji Henson	
Submitted/Waiting for CMS COR Approval	Mon Mar 05 14:17:50 EST 2018	CREATE DUA	Taraji Henson	
In Progress	Mon Mar 05 14:17:32 EST 2018	CREATE DUA	Taraji Henson	
In Progress	Mon Mar 05 14:13:35 EST 2018	CREATE DUA	Taraji Henson	
In Progress	Mon Mar 05 14:13:31 EST 2018	CREATE DUA	Taraji Henson	
In Progress	Mon Mar 05 14:13:04 EST 2018	CREATE DUA	Taraji Henson	

- The DUA Displays in HTML format for printing.
- Sections displayed are:
 - Main Information
 - CMS Contact (COR)
 - Contract Information
 - Subcontracting Organization
 - Documents
 - DESY Users
 - Data File Descriptions
 - Custodians
 - DUA Life Cycle
- Select the **Print** link to:
 - Print the DUA or
 - Save the DUA in PDF format

CLOSE SELECT DATA FILES ON A DUA

DUA Requester – Close Select Data Files on the DUA

View DUAs for Closing

The screenshot displays the CMS.gov My Enterprise Portal interface. At the top, the navigation bar includes 'CMS.gov | My Enterprise Portal', 'My Apps', 'REQ UserFive', 'Help', and 'Log Out'. The main heading is 'Enterprise Privacy Policy Engine'. On the left, a sidebar menu lists various options: 'EPPE Home', 'DUA(s)', 'New / Re-Use', 'Update / Amend', 'Close' (highlighted with a red circle), 'Extend', 'My DUA(s)', 'Un-Finished', 'Submitted', 'Pending Action(s)', 'Approved', 'Expired', 'Closed', and 'Denied'. The main content area features a 'Welcome to EPPE' message, a description of the application's purpose, a list of goals, training materials, and a version number 'Version 27.1'. The user is logged in as 'DUA REQUESTER'.

Select the **Close** option on the DUA(s) menu.

DUA Requester – Close Select Data Files on the DUA

List of DUAs Eligible to Close

DUA

CLOSE DUA

PLEASE SELECT ONE OF THE DUA TO CLOSE

Search:

DUA Number	Organization	Requester	Request Date	Status	
CONT-2018-54412	SHAW UNIVERSITY	Taraji Henson	3-5-2018	Expired	View
CONT-2018-54411	NORTH CAROLINA STATE UNIVERSITY	Taraji Henson	3-5-2018	Expired	View
CONT-2018-54410	SHAW UNIVERSITY	Taraji Henson	3-6-2018	Approved	View
CONT-2018-54409	SHAW UNIVERSITY	Taraji Henson	3-5-2018	Approved	View
CONT-2018-54408	SHAW UNIVERSITY	Taraji Henson	3-5-2018	Approved	View

Showing 1 to 5 of 8 entries

Previous Next

1. The list of DUAs that can be closed displays.
2. You can specify **Search** criteria or page through the list using the **Next** button to find the DUA you want to close.
3. Select the **View** link to close files on the DUA.

DUA Requester – Close Select Data Files on the DUA

My DUA Screen Displays for Review

The screenshot shows the 'Enterprise Privacy Policy Engine' interface. The user is logged in as 'DUA REQUESTER'. The main content area is titled 'My DUA' and shows a 'Print DUA' button. Below this is the 'DUA Life Cycle' section, which includes a 'MAIN INFORMATION' table and a 'DATA FILE DESCRIPTIONS' table. The 'DUA Life Cycle' table shows the following details:

Field	Value
DUA Number	1234567890
DUA Customer Type	Contractor
DUA Category	0 - OTHER/REGUL - (REG. SEC. GEN. HEALTHCARE, MEDICAL, INS.)
Expiration Date	10-15-2021
Requested Date	10-04-2018
Requester	REG User/PA
Requester's Email	reg@epam.com
Requester's Phone Number	(410) 555-1212 - Ext:101
Last Updated By	REG User
Organization Name	Wells Training Company 1
Project Name	1234567890
EMR Contact (EMR)	
First Name	John
Last Name	Doe
Email Address	john@epam.com
Phone Number	(410) 555-1212
Contact Information	
Contact Number	1234567890
Task Order Number	
Contact Period - Start Date	10-04-2018
Contact Period - End Date	10-15-2021

The 'DATA FILE DESCRIPTIONS' table shows the following details:

File Name	From Year	To Year	Status
MEHLS - 188 MEDICARE REUPLINE	2018	2018	CLOSED
MEHLS - 188 MEDICARE REUPLINE	2019	2019	CLOSED
SHAWH - 187A L26 WITH STANWARD ANALYTICAL DATA FILE - HOME HEALTH AGENCY	2018	2018	CLOSED
SHAWH - 187A L26 WITH STANWARD ANALYTICAL DATA FILE - HOME HEALTH AGENCY	2019	2019	CLOSED

The 'DOCUMENTS' section shows a table with columns for 'Document' and 'Uploaded Files'. The table contains one row with the document name 'SIGNATURE ACCESSION' and a link to 'Signature_Accession_Samples.pdf'. A 'Close' button is located at the bottom left of the screen.

1. The **My DUA** review screen displays.
2. The DUA status is **Approved**.
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. We will review the Life Cycle after closing files.
5. Select the **Close** button.

DUA Requester – Close Select Data Files on the DUA

Close DUA Files

CLOSE DUA

DUA Number : CONT-2018-54408

DATA FILE DESCRIPTIONS

Data File Description	From Year	To Year	Status	Action
FISS - PART A FISCAL INTERMEDIARY SYSTEM	2010	2018	OPEN	Edit 
MPCD - MEDICAID PHARMACY CLAIMS DATA	2010	2018	OPEN	Edit 
PHARM - MEDICARE PRESCRIPTION DRUG PLAN PHARMACY NETWORK PART 1 AND 2	2010	2018	OPEN	Edit 
IDRX04 - IDR DAS ETL DEV (NCH, HPMS, DDPS, NPICS, CME, MARX, MBD, PECOS, RAPS, RAS, FISS, VMS, MCS, MEDICAID)	2010	2018	OPEN	Edit 

Showing 1 to 4 of 4 entries Previous Next

Comments :

2000 characters remaining (2000 maximum)

Previous Next

1. After selecting the **Close** button on the **My DUA** screen, the **Close DUA** Screen displays.
2. The **Status** for all files is **OPEN**.
3. Select the **Edit** link for the file you want to close.

DUA Requester – Close Select Data Files on the DUA

Select the Reason for Closing a File

The screenshot shows a web interface titled "CLOSE DUA" with a sub-header "DUA Number : CONT-2018-54408". Below this is a section for "DATA FILE DESCRIPTIONS". A modal dialog box titled "Select Data Disposition Reason" is open, prompting the user to "Please select one of the Disposition Statements". The dialog contains four radio button options:

- 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.

A blue "Submit" button is located at the bottom of the dialog. The background interface includes a sidebar with categories like "Data", "FISS", "MPC", "PHAF", "IDRX", and "VMS", and a table with "Edit" buttons and "Previous/Next" navigation buttons.

1. The **Select Data Disposition Reason** pop-up displays.
2. Select the radio button associated with the reason for closing.
3. Select the **Submit** button.

DUA Requester – Close Select Data Files on the DUA

Confirm Closing the DUA

The screenshot displays the 'CLOSE DUA' interface. At the top, it shows 'DUA Number : CONT-2018-54408'. Below this is a section titled 'DATA FILE DESCRIPTIONS' with a table of data files. A 'Select Data Disposition Reason' dialog box is open, prompting the user to select a reason from a list of radio buttons. A 'Close DUA Data File' confirmation dialog is also open, asking 'You have requested to close one or more data files on this DUA. Would you like to continue with the closure?' with 'Yes' and 'No' buttons. The background interface includes a 'Submit' button and 'Previous'/'Next' navigation buttons.

1. The **Close DUA Data File** message pop-up displays.
2. Select the **Yes** button to confirm closing.

DUA Requester – Close Select Data Files on the DUA

Data File Status

CLOSE DUA

DUA Number : CONT-2018-54408

DATA FILE DESCRIPTIONS

Data File Description	From Year	To Year	Status	Action
FISS - PART A FISCAL INTERMEDIARY SYSTEM	2010	2018	CLOSE	Edit Apply All
MPCD - MEDICAID PHARMACY CLAIMS DATA	2010	2018	OPEN	Edit
PHARM - MEDICARE PRESCRIPTION DRUG PLAN PHARMACY NETWORK PART 1 AND 2	2010	2018	OPEN	Edit
IDRX04 - IDR DAS ETL DEV (NCH, HPMS, DDPS, NPICS, CME, MARX, MBD, PECOS, RAPS, RAS, FISS, VMS, MCS, MEDICAID)	2010	2018	OPEN	Edit

Showing 1 to 4 of 4 entries

Comments :

2000 characters remaining (2000 maximum)

Previous Next

1. The Data File **Status** is changed to **Close**.
2. Select **Edit** to close other data files if applicable or select the **Apply All** link to close all data files for the same reason.
3. Enter **comments** (optional).
4. Select the **Next** button.

Note: In this example, only one data file will be closed. The option to close one or all data files is available.

DUA Requester – Close All Data Files on the DUA

All Data Files Closed

CLOSE DUA

DUA Number : CONT-2018-54412

DATA FILE DESCRIPTIONS

Data File Description	From Year	To Year	Status	Action
ABBBC - ACUMEN BID TO BUCCANEER BID CROSSWALK	2010	2018	CLOSE	Edit Apply All
XWALKA - ACUMEN_BID TO BENE_ID CROSSWALK FILE	2010	2018	CLOSE	Edit
MAXA - ALPHA-MAX	2010	2018	CLOSE	Edit
MCBSXW - BASEID TO HIG CROSSWALK FROM THE MCBS	2010	2018	CLOSE	Edit

Showing 1 to 4 of 4 entries

Comments :

2000 characters remaining (2000 maximum)

Previous Next

1. The **Status** for all data files is **Close**.
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 – Close Select Data Files on the DUA

Upload Data Disposition Certification



The screenshot shows a web interface for closing a DUA. At the top left, it says 'CLOSE DUA'. Below that, the 'DUA Number : CONT-2018-54408' is displayed. The main section is titled 'DATA DISPOSITION CERTIFICATION'. Under this title, there is an 'Add Files :' section with a 'Choose Files' button and the text 'No file chosen'. Below that is an 'Add Description :' section with a text input field. To the right of the input field, it says '2000 characters remaining (2000 maximum)'. At the bottom left, there is a blue 'Upload' button. At the bottom right, there are two blue buttons: 'Previous' and 'Next'.

1. The **Data Disposition Certification** screen displays.
2. Select the **Choose Files** button to find supporting documentation on your local computer.
3. Select the **Upload** button.
4. Enter a **description** (optional).
5. Select the **Next** button.

Notes:

- Uploading the **Data Disposition Certification** is only needed when closing the entire DUA (all files).
- Name all files for uploading with descriptive names associated with the file contents.

DUA Requester – Close Select Data Files on the DUA

Accept Terms and Conditions

CLOSE DUA

DUA NUMBER: CCRF2016-0458

TERMS & CONDITIONS

This Agreement governs the recipient organization's ("recipient") 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 information 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 exists in a CMS Primary Act System of Records ("CPAS"). 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 valid in regard to CMS records, coverage, 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 laws, including the Privacy Act of 1974 (5 U.S.C. 552(a)) and Privacy Act of the Research, Assessment, Planning and Accountability Act (HIPAA) (42 U.S.C. 17101, 17102, 17103, 17104, 17105, 17106, 17107, 17108, 17109, 17110, 17111, 17112, 17113, 17114, 17115, 17116, 17117, 17118, 17119, 17120, 17121, 17122, 17123, 17124, 17125, 17126, 17127, 17128, 17129, 17130, 17131, 17132, 17133, 17134, 17135, 17136, 17137, 17138, 17139, 17140, 17141, 17142, 17143, 17144, 17145, 17146, 17147, 17148, 17149, 17150, 17151, 17152, 17153, 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18584, 18585, 18586, 18587, 18588, 18589, 18590, 18591, 18592, 18593, 18594, 18595, 18596, 18597, 18598, 18599, 18600, 18601, 18602, 18603, 18604, 18605, 18606, 18607, 18608, 18609, 18610, 18611, 18612, 18613, 18614, 18615, 18616, 18617, 18618, 18619, 18620, 18621, 18622, 18623, 18624, 18625, 18626, 18627, 18628, 18629, 18630, 18631, 18632, 18633, 18634, 18635, 18636, 18637, 18638, 18639, 18640, 18641, 18642, 18643, 18644, 18645, 18646, 18647, 18648, 18649, 18650, 18651, 18652, 18653, 18654, 18655, 18656, 18657, 18658, 18659, 18660, 18661, 18662, 18663, 18664, 18665, 18666, 18667, 18668, 18669, 18670, 18671, 18672, 18673, 18674, 18675, 18676, 18677, 18678, 18679, 18680, 18681, 18682, 18683, 18684, 18685, 18686, 18687, 18688, 18689, 18690, 18691, 18692, 18693, 18694, 18695, 18696, 18697, 18698, 18699, 18700, 18701, 18702, 18703, 18704, 18705, 18706, 18707, 18708, 18709, 18710, 18711, 18712, 18713, 18714, 18715, 18716, 18717, 18718, 18719, 18720, 18721, 18722, 18723, 18724, 18725, 18726, 18727, 18728, 18729, 18730, 18731, 18732, 18733, 18734, 18735, 18736, 18737, 18738, 18739, 18740, 18741, 18742, 18743, 18744, 18745, 18746, 18747, 18748, 18749, 18750, 18751, 18752, 18753, 18754, 18755, 18756, 18757, 18758, 18759, 18760, 18761, 18762, 18763, 18764, 18765, 18766, 18767, 18768, 18769, 18770, 18771, 18772, 18773, 18774, 18775, 18776, 18777, 18778, 18779, 18780, 18781, 18782, 18783, 18784, 18785, 18786, 18787, 18788, 18789, 18790, 18791, 18792, 18793, 18794, 18795, 18796, 18797, 18798, 18799, 18800, 18801, 18802, 18803, 18804, 18805, 18806, 18807, 18808, 18809

DUA Requester – Close Select Data Files on the DUA

Confirmation of File Closing

The screenshot displays the 'Enterprise Privacy Policy Engine' interface. At the top, it says 'CMS.gov | My Enterprise Portal' and 'My Apps'. The main content area is titled 'DUA REQUEST STATUS' and contains a message: 'Your request to close DUA (2047-2019-0202) has been completed. However, the DUA will remain "open" until all data files on the DUA are closed.' Below this is the 'DUA Life Cycle' section, which includes 'MAIN INFORMATION' and 'SUBCONTRACTOR ORGANIZATION(S)'. The 'MAIN INFORMATION' section shows details for DUA Number 0247-2019-0202, DUA Customer Type Contractor, and DUA Status Approved. The 'SUBCONTRACTOR ORGANIZATION(S)' section shows 'New Subcontracting Company'. The 'DATA FILE DESCRIPTIONS' section is a table with columns for Data File Description, From Year, and To Year. The first row is 'SAC01 - 16% LOS WITH STANDARD ANALYTICAL DATA FILE - HOSPICE' with From Year 2010 and To Year 2017. The status 'CLOSED' is circled in red. Other rows include 'SAC02 - 16% LOS WITH STANDARD ANALYTICAL DATA FILE - RHPHONY', 'SAC03 - 16% LOS WITH STANDARD ANALYTICAL DATA FILE - HOME HEALTH AGENCY', 'SAC04 - 16% LOS WITH STANDARD ANALYTICAL DATA FILE - HOME HEALTH AGENCY', 'SAC05 - 16% LOS WITH STANDARD ANALYTICAL DATA FILE - HOME HEALTH AGENCY', and 'SAC06 - 16% LOS WITH STANDARD ANALYTICAL DATA FILE - HOME HEALTH AGENCY'. The 'DOCUMENTS' section at the bottom shows a table with columns for Document and Upload Date.

1. The **Close DUA** page displays.
2. The DUA file closing confirmation message displays.
3. Only selected files are **Closed**.
4. The **DUA Status** is still **Approved** (not all files are closed).
5. Select the **Print DUA** button to print or save the document as PDF.
6. Select the **green plus sign** button to view the DUA Life Cycle.

DUA Requester – DUA Life Cycle

Displaying the DUA Life Cycle

CLOSE DUA [Print DUA](#)

DUA REQUEST STATUS
Your request to close DUA CONT-2018-54408 has been completed; however, the DUA will remain "open" until all data files on the DUA are closed.

DUA Life Cycle 

MAIN INFORMATION

DUA Number :	CONT-2018-54408
DUA Customer Type :	Contractor
DUA Category :	42 - CMS PROGRAMS
DUA Status :	Approved
Expiration Date :	04-02-2018
Requested Date :	03-06-2018
Requester :	Taraji Henson
Requester's Email :	fakepicnic@gmail.com
Requester's Phone Number :	(800) 555-1212
Last Updated By :	
Organization Name :	SHAW UNIVERSITY
Project Name :	Expired Test

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

DUA Requester – DUA Life Cycle

Status Progressions and Actions Display

CLOSE DUA [Print DUA](#)

DUA REQUEST STATUS
Your request to close DUA CONT-2018-54408 has been completed; however, the DUA will remain "open" until all data files on the DUA are closed.

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments	Special Instructions
Approved	Mar 6, 2018 3:07:32 PM	DUA CLOSE REQUEST UPDATE	Taraji Henson	Closing FISS Part A file for non-receipt	
Approved	Mar 5, 2018 12:27:21 PM	CREATE DUA	Taraji Henson		
Approved by CMS COR-Waiting for Contractor DUA Management Team Certification	Mar 5, 2018 12:24:20 PM	CREATE DUA	Taraji Henson		
Submitted-Waiting for CMS COR Approval	Mar 5, 2018 11:51:20 AM	CREATE DUA	Taraji Henson		
In Progress	Mar 5, 2018 11:51:01 AM	CREATE DUA	Taraji Henson		

Showing 1 to 5 of 8 entries [Previous](#) [1](#) [2](#) [Next](#)

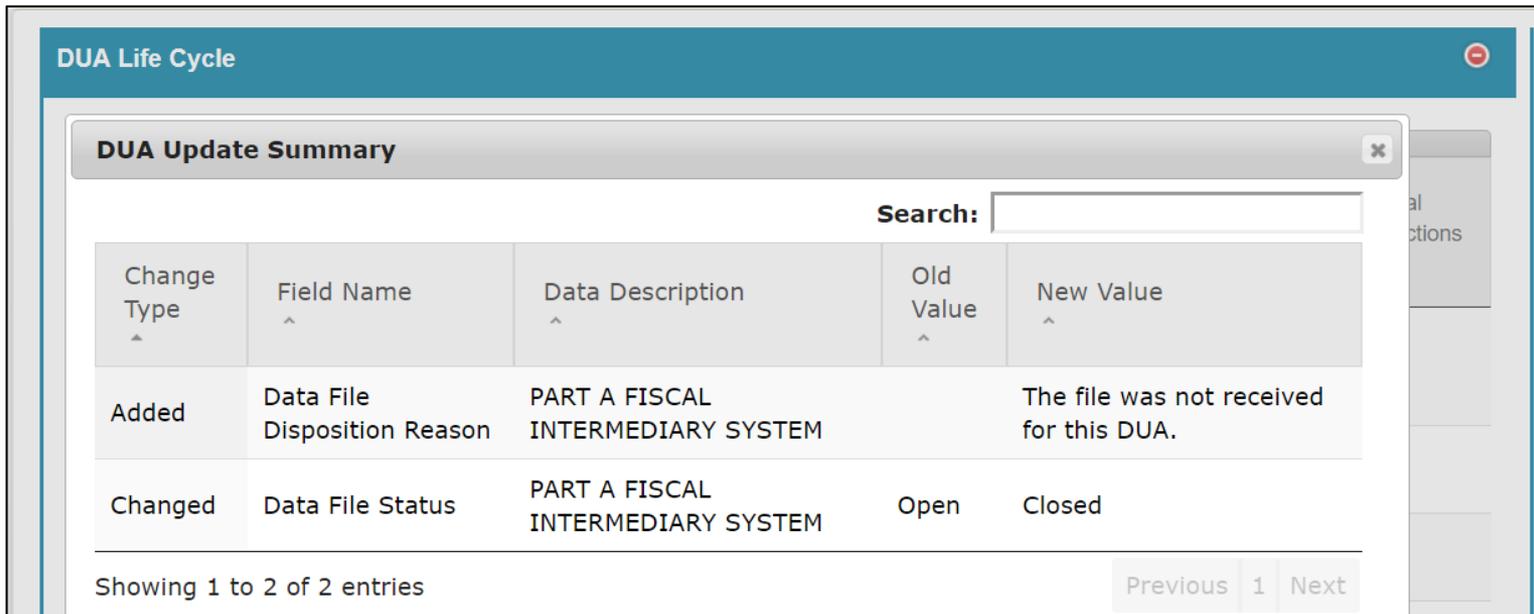
MAIN INFORMATION

DUA Number : CONT-2018-54408
DUA Customer Type : Contractor
DUA Category : 42 - CMS PROGRAMS
DUA Status : Approved
Expiration Date : 04-02-2018
Requested Date : 03-06-2018
Requester : Taraji Henson
Requester's Email : takepicnc@gmail.com
Requester's Phone Number : (800) 555-1212
Last Updated By :
Organization Name : SHAW UNIVERSITY
Project Name : Expirod Test

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

DUA Requester – DUA Life Cycle

File Closure Details



The screenshot shows a web application window titled "DUA Life Cycle" with a sub-window titled "DUA Update Summary". The sub-window contains a search bar and a table with the following data:

Change Type	Field Name	Data Description	Old Value	New Value
Added	Data File Disposition Reason	PART A FISCAL INTERMEDIARY SYSTEM		The file was not received for this DUA.
Changed	Data File Status	PART A FISCAL INTERMEDIARY SYSTEM	Open	Closed

Below the table, it says "Showing 1 to 2 of 2 entries" and there are navigation buttons for "Previous", "1", and "Next".

1. The **DUA Update Summary** displays to show the details of the file closure updates.
2. Select the **X** button to close the window.

DUA Requester – DUA Life Cycle

Status Progressions and Actions Display

CLOSE DUA [Print DUA](#)

DUA REQUEST STATUS
Your request to close DUA CONT-2018-54408 has been completed; however, the DUA will remain "open" until all data files on the DUA are closed.

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments	Special Instructions
Approved	Mar 6, 2018 3:07:32 PM	DUA CLOSE REQUEST UPDATE	Taraji Henson	Closing FISS Part A file for non-receipt	
Approved	Mar 5, 2018 12:27:21 PM	CREATE DUA	Taraji Henson		
Approved by CMS COR-Waiting for Contractor DUA Management Team Certification	Mar 5, 2018 12:24:20 PM	CREATE DUA	Taraji Henson		
Submitted-Waiting for CMS COR Approval	Mar 5, 2018 11:51:20 AM	CREATE DUA	Taraji Henson		
In Progress	Mar 5, 2018 11:51:01 AM	CREATE DUA	Taraji Henson		

Showing 1 to 6 of 6 entries [Previous](#) [2](#) [Next](#)

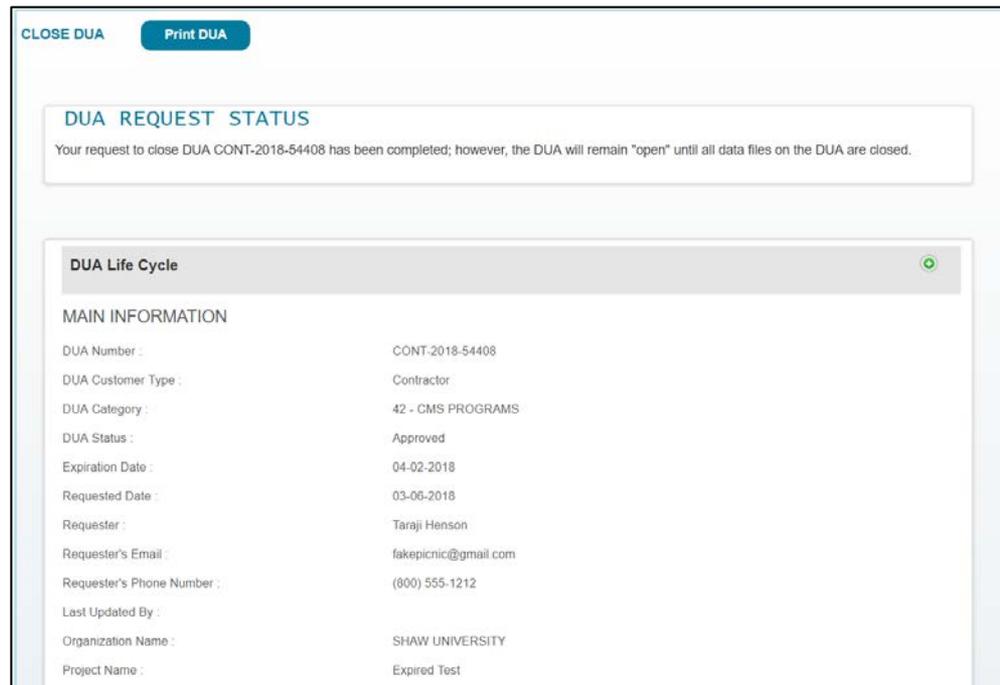
MAIN INFORMATION

DUA Number : CONT-2018-54408
DUA Customer Type : Contractor
DUA Category : 42 - CMS PROGRAMS
DUA Status : Approved
Expiration Date : 04-02-2018
Requested Date : 03-06-2018
Requester : Taraji Henson
Requester's Email : fakepicnic@gmail.com
Requester's Phone Number : (800) 555-1212
Last Updated By :
Organization Name : SHAW UNIVERSITY
Project Name : Expired Test

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**.

DUA Requester – Print DUA

How to Print the DUA



The screenshot shows a web interface for managing DUA requests. At the top, there are two buttons: 'CLOSE DUA' and 'Print DUA'. Below the buttons is a section titled 'DUA REQUEST STATUS' with a message: 'Your request to close DUA CONT-2018-54408 has been completed; however, the DUA will remain "open" until all data files on the DUA are closed.' Below this is a section titled 'DUA Life Cycle' with a green status indicator. Underneath is a 'MAIN INFORMATION' section containing a list of key-value pairs for various fields.

DUA Number :	CONT-2018-54408
DUA Customer Type :	Contractor
DUA Category :	42 - CMS PROGRAMS
DUA Status :	Approved
Expiration Date :	04-02-2018
Requested Date :	03-06-2018
Requester :	Taraji Henson
Requester's Email :	fakepicnic@gmail.com
Requester's Phone Number :	(800) 555-1212
Last Updated By :	
Organization Name :	SHAW UNIVERSITY
Project Name :	Expired Test

Select the **Print DUA** button at the top of the screen to access printing options.

DUA Requester – Print DUA

DUA in HTML Displays for Printing

DUA: CONT-2018-54408

MAIN INFORMATION

DUA Number: CONT-2018-54408
 DUA Customer Type: Contractor
 DUA Category: 42 - CMS PROGRAMS
 DUA Status: Approved
 Requested Date: 3/6/2018
 Expiration Date: 4/2/2018
 Requester: Tariji Henson
 Requester Organization Name: SHAW UNIVERSITY
 Requester Email Address: tikepsnc@gmail.com
 Requester Phone Number: (800) 555-1212
 Project Name: Expired Test
 Privacy Act Authorization Code: CONTRACTOR RU
 HIPAA Authorization Code: Essential Government Functions

CMS Contact (COR)

Name: Tariji Henson
 Email: tikepsnc@gmail.com
 Phone Number: (800) 555-1212

Contract Information

Contract Number: CONT1284
 Task Order Number: TO-123456
 Contract Period - Start Date: 1/4/2016
 Contract Period - End Date: 4/2/2018

Subcontracting Organization

No subcontracting organization.

DOCUMENTS

1. Signature_Address.docx

DESY USERS

ID	User Name	TEA User ID	Organization	Email Address	Phone Number	Address
1	Tariji Henson	TH23	SHAW UNIVERSITY	tikepsnc@gmail.com	(800) 555-1212	118 E SOUTH STREET, RALEIGH, North Carolina, 27601, USA

DATA FILE DESCRIPTION

ID	Data File Description	From Year	To Year	Quarter(s)	Extraction %	Re-Used From DUA	Access Type	Status	Disposition Reason
1	TEAS - PART A FISCAL INTERMEDIARY SYSTEM	2010	2018		100%		BOTH DIRECT ACCESS AND SHIPPING	Closed	The file was not received in this DUA.
2	PHARM - MEDICARE PRESCRIPTION DRUG PLAN PHARMACY NETWORK PART 1 AND 2	2010	2018		100%		BOTH DIRECT ACCESS AND SHIPPING	Open	
3	MPCD - MEDICARE PHARMACY CLAIMS DATA	2010	2018		100%		BOTH DIRECT ACCESS AND SHIPPING	Open	
4	IDRNS4 - DR DAs FTL DEV (NCH, HPSAs, DDPS, NPICS, CME, MARK, MID, PECOS, RAPS, RAS, FIS, VMS, MGS, MEDICATED)	2010	2018		100%		BOTH DIRECT ACCESS AND SHIPPING	Open	

CUSTODIANS

ID	Custodian	Organization	Address	Email Address	Phone Number
1	MIMI KIM	SHAW UNIVERSITY	THE INSTITUTE FOR HEALTH, SOCIAL AND COMMUNITY RESOURCES SOUTH WILMINGTON STREET, SUITE 207, RALEIGH, North Carolina, 27601, USA	imk@shp.com	(919) 215-0142 Ext
2	Tariji Henson	SHAW UNIVERSITY	118 E SOUTH STREET, RALEIGH, North Carolina, 27601, USA	tikepsnc@gmail.com	(800) 555-1212 Ext

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments
Approved	Tue Mar 06 15:07:32 EST 2018	DUA CLOSE REQUEST UPDATE	Tariji Henson	Change FIS Part A file for non-range
Approved	Mon Mar 05 12:27:21 EST 2018	CREATE DUA	Tariji Henson	
Approved by CMS COR-Waiting for Contractor TEJA Management Team Certification	Mon Mar 05 12:24:20 EST 2018	CREATE DUA	Tariji Henson	
Submitted-Waiting for CMS COR Approval	Mon Mar 05 11:51:20 EST 2018	CREATE DUA	Tariji Henson	
In Progress	Mon Mar 05 11:51:01 EST 2018	CREATE DUA	Tariji Henson	
In Progress	Mon Mar 05 11:48:07 EST 2018	CREATE DUA	Tariji Henson	
In Progress	Mon Mar 05 11:47:41 EST 2018	CREATE DUA	Tariji Henson	
In Progress	Mon Mar 05 11:46:53 EST 2018	CREATE DUA	Tariji Henson	

1. The DUA Displays in HTML format for printing.
2. The file that was closed shows the **Status as Closed** with the **Disposition Reason**.
3. Sections displayed are:
 - Main Information
 - CMS Contact (COR)
 - Contract Information
 - Subcontracting Organization
 - Documents
 - DESY Users
 - Data File Descriptions
 - Custodians
 - DUA Life Cycle
4. Select the **Print** link to:
 - Print the DUA or
 - Save the DUA in PDF format

CLOSE ALL DATA FILES ON A DUA

DUA Requester – Close All Data Files on the DUA

View Data File Details

CLOSE DUA

DUA Number : CONT-2018-54412

DATA FILE DESCRIPTIONS

Data File Description	From Year	To Year	Status	Action
ABBBC - ACUMEN BID TO BUCCANEER BID CROSSWALK	2010	2018	CLOSE	Edit Apply All 
XWALKA - ACUMEN_BID TO BENE_ID CROSSWALK FILE	2010	2018	CLOSE	Edit 

Privacy Level : IDENTIFIABLE
From - To Year : Extraction % / Cohort , Quarters , States 2010-2015, 100%, NA,NA
Access Type BOTH DIRECT ACCESS AND SHIPPING
Data Disseminator Type : DESY/IDR
Data Disposition Reason The file has been destroyed, including copies, derivatives, subsets and manipulated files.
Data Dissemination System : DESY/IDR

Shipping Details

Id	Shipping Location	Recipient	Carrier	Carrier Account Number
1	118 E SOUTH STREET, RALEIGH, North Carolina, 27601, USA	Taraji Henson		

Custodian Locations and Custodians

Id	Organization	Custodian Locations	Custodians	Email	Phone
1	SHAW UNIVERSITY	118 E SOUTH STREET, RALEIGH, North Carolina, 27601, USA	1 Taraji Henson	1. fakepcnic@gmail.com	1. (800) 555-1212

MAXA - ALPHA MAX	2010	2018	CLOSE	Edit 
MCBSXW - BASED TO HIC CROSSWALK FROM THE MCBS	2010	2018	CLOSE	Edit 

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

Comments :

2000 characters remaining (2000 maximum)

[Previous](#) [Next](#)

1. The data file details display if you selected the **green plus sign icon**
 - Privacy Level
 - From/To Year, Extraction%/Cohort, Quarters, States
 - Access Type
 - Data Disseminator Type
 - Data Disposition Reason
 - Data Dissemination System
 - Shipping Details
 - Custodian Information
2. Select the **Red Negative Sign Icon** to collapse the **Data File Details**.

DUA Requester – Close All Data Files on the DUA

Confirmation of Data File Closing

The screenshot displays the 'Enterprise Privacy Policy Engine' interface. The main content area is titled 'DUA REQUEST STATUS' and shows a 'DUA Life Cycle' section. A red circle highlights the 'Close DUA' button. Below this, there is a table for 'DATA FILE DESCRIPTIONS' with columns for 'Data File Description', 'Created Date', and 'Status'. The table lists several data files with their respective creation dates and status indicators (green plus signs).

Data File Description	Created Date	Status
SAFES - 10% LIS WITH STANDARD ANALYTICAL DATA FILE - HOSPICE	01/20/2017	2017
SAFES - 10% LIS WITH STANDARD ANALYTICAL DATA FILE - ADHDP	01/20/2017	2017
SAFES - 10% LIS WITH STANDARD ANALYTICAL DATA FILE - HOME HEALTH AGENCY	01/20/2017	2017
SAFES - 10% LIS WITH STANDARD ANALYTICAL DATA FILE - HOME HEALTH AGENCY	01/20/2017	2017
SAFES - 10% LIS WITH STANDARD ANALYTICAL DATA FILE - HOME HEALTH AGENCY	01/20/2017	2017
SAFES - 10% LIS WITH STANDARD ANALYTICAL DATA FILE - HOME HEALTH AGENCY	01/20/2017	2017

1. The **Close DUA** screen displays.
2. The DUA data file closing confirmation message displays.
3. All data files are **Closed**.
4. The **DUA Status** is **Closed**.
5. Select the **Print DUA** button to print or save the document as PDF.
6. Select the **green plus sign** button to view the DUA Life Cycle.

DUA Requester – DUA Life Cycle

Displaying the DUA Life Cycle

The screenshot displays a web interface for managing DUA requests. At the top, there are two buttons: "CLOSE DUA" and "Print DUA". Below these is a "DUA REQUEST STATUS" section with a message: "Your request to close DUA CONT-2018-54412 has been completed". The main section is titled "DUA Life Cycle" and contains a "MAIN INFORMATION" table. A green plus sign icon in the top right corner of the "DUA Life Cycle" header is circled in red, indicating it is the target for clicking to view the life cycle details.

DUA Life Cycle	
MAIN INFORMATION	
DUA Number :	CONT-2018-54412
DUA Customer Type :	Contractor
DUA Category :	42 - CMS PROGRAMS
DUA Request Type :	CLOSE DUA
DUA Status :	Closed
Expiration Date :	03-09-2018
Requested Date :	03-07-2018
Requester :	Taraji Henson
Requester's Email :	fakepicnic@gmail.com
Requester's Phone Number :	(800) 555-1212
Last Updated By :	
Organization Name :	SHAW UNIVERSITY
Project Name :	Expired Test

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

DUA Requester – DUA Life Cycle

Status Progressions and Actions Display

CLOSE DUA [Print DUA](#)

DUA REQUEST STATUS
Your request to close DUA CONT-2018-54412 has been completed

DUA Life Cycle

DUA Status	DUA Action Date	DUA Action	Action User	Comments	Special Instructions
Closed	Mar 7, 2018 10:45:39 AM	CLOSE DUA	Taraji Henson		
Approved	Mar 6, 2018 3:58:24 PM	EXTEND DUA	Taraji Henson		
Expired	Mar 5, 2018 10:10:00 PM		System		
Approved	Mar 5, 2018 2:43:13 PM	CREATE DUA	Taraji Henson		
Approved by CMS COR-Waiting for Contractor DUA Management Team Certification	Mar 5, 2018 2:42:26 PM	CREATE DUA	Taraji Henson		

Showing 1 to 5 of 9 entries [Previous](#) [1](#) [2](#) [Next](#)

MAIN INFORMATION

DUA Number: CONT-2018-54412
DUA Customer Type: Contractor
DUA Category: 42 - CMS PROGRAMS
DUA Request Type: CLOSE DUA
DUA Status: Closed
Expiration Date: 03-09-2018
Requested Date: 03-07-2018
Requester: Taraji Henson
Requester's Email: fakepicnic@gmail.com
Requester's Phone Number: (800) 555-1212
Last Updated By:
Organization Name: SHAW UNIVERSITY
Project Name: Expired Test

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 – Help



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