



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

# Enterprise Privacy Policy Engine (EPPE)



**Limited Data Set (LDS) Approval Workflow  
Training Module: DUA Re-Assignment**

# Training Topics

## Training Topics in This Module

- EPPE Application Access Prerequisites
  - Obtain EIDM Credentials
  - Obtain the EPPE User Role
- LDS Approval Workflow Roles
- Basic Information About EPPE
- DUA Re-Assignment
  - Initial DUA Re-Assignment
  - Change Contact
  - Ad Hoc Request
- EPPE Help Desk Information

# EPPE ACCESS PREREQUISITES

# EPPE Access Prerequisites

## CMS Enterprise Portal Access, EIDM Credentials, and EPPE Access

- Obtain access to the CMS Enterprise Portal
  - Access CMS Portal
    - <https://portal.cms.gov/>
  - Download the Symantec Validation & ID Protection (VIP) Access Multi-Factor Authentication (MFA) Software
    - <https://vip.symantec.com/>
  - Obtain Enterprise Identity Management (EIDM) Credentials and EPPE Access
    - <https://www.cms.gov/Research-Statistics-Data-and-Systems/Computer-Data-and-Systems/Privacy/EIDMNewUser.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.

# DUA RE-ASSIGNMENT

# DUA Re-Assignment

## Types of DUA Re-Assignment

**DUA Re-Assignment** – A process that moves existing DUAs to their respective DUA Requester. This process can be done in one of three ways. See below:

- **Initial Re-Assignment:** Upon the initial login of a new DUA Requester any DUA entered previously by data entry will transfer over to the Requester's ownership.
- **Change Contact:** DUA Requesters can request to take ownership or give ownership of a DUA to another DUA Requester within their organization. These DUAs could have been created by CMS or another DUA Requester. Change Contact Requests are approved by the LDS DMT.
  - **Note:** *This process is different than the "Contact Change" process that involves, updating, adding and removing Custodians as well as Requesters on a DUA.*
- **Ad Hoc Request:** DUA Requesters can request to take ownership of a DUA from another organization of which they are not currently assigned to as a Requester. These DUAs could have been created by CMS or another DUA Requester. Ad Hoc Requests are approved by the EPPE Administrators.

# INITIAL RE-ASSIGNMENT

# DUA Re-Assignment – Requester's Initial Log-in

## EPPE Welcome Screen – DUA Initial Re-Assignment Table

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.
- LDS Approval Workflow.

**MY REASSIGNED DUA**

DUA Number	Organization	Customer Type	Requester	Status	Action
LDSS-2019-54058	Demonstration Organization 1	Limited Data Set	Training SessionFive	Approved	<a href="#">View</a>
CONT-2019-54059	Demonstration Organization 1	Contractor	Training SessionFive	Approved	<a href="#">View</a>

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

**ACKNOWLEDGEMENT STATEMENT**

I accept the above DUA(s)

I agree.

[Accept](#)

1. Requester logs into the EPPE system for the first time.
2. A list of DUAs where he/she is listed as the **Requester** is displayed.
3. Requester selects **I agree** and selects **Accept**.
4. DUAs now move into the Requesters' respective queues.

### Note:

- You will not be able to create, update, extend, or close any DUAs until taking ownership of re-assigned DUAs displayed in this table.
- If you are an existing Requester, any **Contractor** type DUAs still in the Data Entry Workflow will also be re-assigned.

# CHANGE CONTACT

# DUA Re-Assignment – Change Contact

## DUA Re-Assignment – Request From Same Organization

The screenshot displays the Enterprise Privacy Policy Engine (EPPE) interface. The top left corner shows the title 'Enterprise Privacy Policy Engine'. The top right corner indicates the user is logged in as 'DUA REQUESTER'. 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](http://cms.gov), to download [Training Slide Decks](#) for the following:

- Contractor Approval Workflow.
- LDS Approval Workflow.

The left navigation menu includes 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
- Denied
- Re-Assign DUA(s)
- Change Contact** (highlighted in yellow)
- Ad Hoc Request
- Search
- DUA Search
- My Access
- Manage Access
- My Preference(s)
- Email Preference
- Exit EPPE

1. The Requester can request or assign DUAs within their organization through the **Change Contact** process.

2. Select **Change Contact** from the left navigation menu.

**Note:** This process is different than the “Contact Change” process that involves updating, adding, and removing Custodians as well as Requesters on a DUA.

# DUA Re-Assignment – Change Contact

## DUA Re-Assignment – Request From Same Organization

### CHOOSE CHANGE CONTACT TYPE

Required fields are marked with an asterisk (\*).

Choose the option to Request / Assign DUA (s) \*

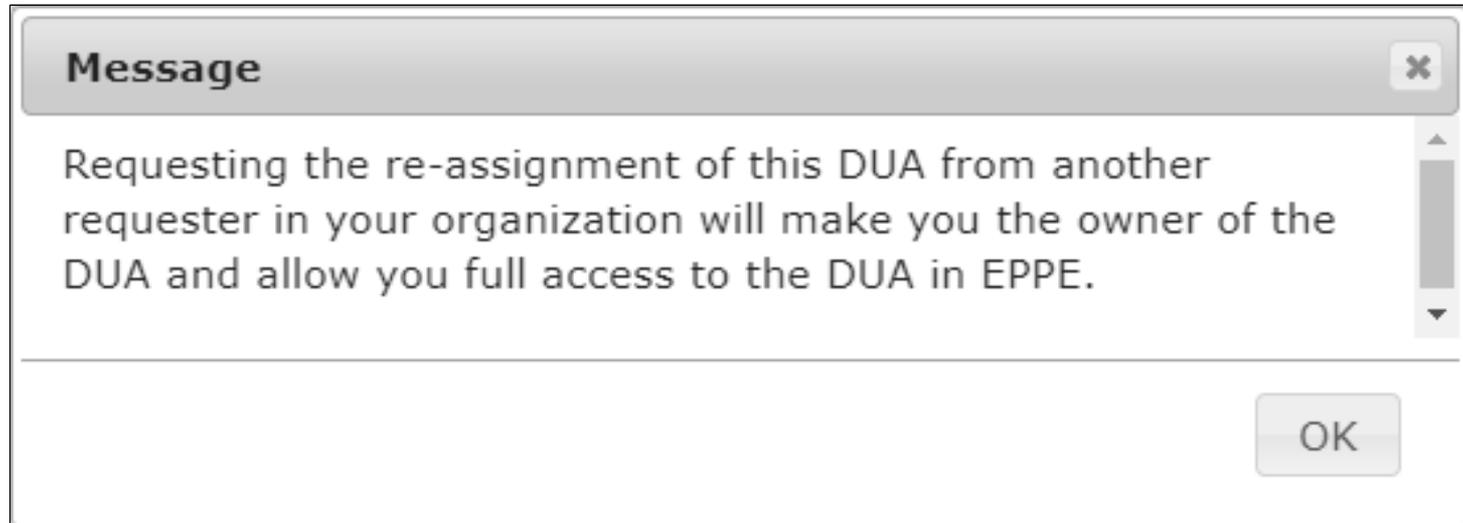
- Request a DUA from same organization 
- Assign a DUA to a different Requester within the same organization.

Next

1. Select the **Request a DUA from same Organization** radio button.
2. Select **Next**.

# DUA Re-Assignment – Change Contact

## Request From Same Organization Pop-up



1. A pop-up displays with the message **“Requesting the re-assignment of this DUA from another requester in your organization will make you the owner of the DUA and allow you full access to the DUA in EPPE.”**.
2. Select **Ok** to continue with the Change Contact Requester or select the **X** button to cancel.

# DUA Re-Assignment – Change Contact

## DUA Re-Assignment – Request From Same Organization

REQUEST A DUA FROM SAME ORGANIZATION

Your Organization : Demonstration Organization 1

DUA Number \*:  ?

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1. **Your Organization** is pre-populated. A drop-down will appear for you to select your organization if you are a Requester for multiple organizations.
2. Enter the 5-digit **DUA Number**.
3. Select **Next**.

# DUA Re-Assignment – Change Contact

## DUA Re-Assignment – Request From Same Organization

**UPLOAD DOCUMENTS**

A signature addendum or other documents supporting your request is required to be uploaded.

Add Files :  No file chosen

Add Description :  2000 characters remaining (2000 maximum)

1. Select **Choose Files** to select a file to upload.
2. Enter a **Document Description** and select **Upload**.
3. Select **Next**.

**Note:** In this example, a **Signature Addendum** was uploaded to support this Change Contact Request.

# DUA Re-Assignment – Change Contact

## DUA Re-Assignment – Request From Same Organization

Re-Assign DUA(s)

DUA Number : LDSS-2019-52570  
Current Requester : Testing UserThree  
Current Requester's Email : test@eppe.com  
Current Requester's Phone Number : (410) 555-1212  
Current Organization Name : Demonstration Organization 1  
Reassigned Requester : Demo UserTwo  
Reassigned Requester's Email : test@eppe.com  
Reassigned Requester's Phone Number : (410) 555-1212  
Reassigned Organization Name : Demonstration Organization 1

S.No	Document	Document Description	Date and Time	Action
1	Signature_Addendum_Test_File.pdf	Test file.	Jun 17, 2019 02:54:06 PM	<a href="#">Download</a>

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

1. The **Re-Assign DUA(s) Review** screen displays the **Current Requester** and **Reassigned Requester** details.
2. Use the Previous button if changes are needed before submitting the request.
3. Select **Submit**.

# DUA Re-Assignment – Change Contact

## DUA Re-Assignment – Request From Same Organization

DUA Re-Assignment request for DUA 52570 has been successfully submitted.

### CHOOSE CHANGE CONTACT TYPE

Required fields are marked with an asterisk (\*).

Choose the option to Request / Assign DUA (s) \*

- Request a DUA from same organization ?
- Assign a DUA to a different Requester within the same organization. ?

Next

1. Status message is displayed, ***“DUA Re-Assignment request for DUA ##### has been successfully submitted.”***
2. **Change Contact** Request is routed to the **DMT** for approval.

**Note:** The DUA will not appear in your queue until the **DMT** has approved it at which point you can manage your re-assigned DUAs.

# DUA Re-Assignment – Change Contact

## DUA Re-Assignment – Assign Within the Same Organization

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, Denied, Re-Assign DUA(s), Change Contact (highlighted in yellow), 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'.

The Requester can request or assign DUAs within their organization through the **Change Contact** process.

# DUA Re-Assignment – Change Contact

## DUA Re-Assignment – Assign Within the Same Organization

### CHOOSE CHANGE CONTACT TYPE

Required fields are marked with an asterisk (\*).

Choose the option to Request / Assign DUA (s) \*

- Request a DUA from same organization ?
- Assign a DUA to a different Requester within the same organization. ?

Next

1. Select the **Assign a DUA to a different Requester within the same organization** radio button.
2. Select **Next**.

# DUA Re-Assignment – Change Contact

## DUA Re-Assignment – Assign Within the Same Organization

ASSIGN A DUA TO REQUESTER FROM SAME ORGANIZATION

Your Organization : Demonstration Organization 1

DUA Number \*:  ?

Requester \*:  ?

Previous Next

1. **Your Organization** is pre-populated. A drop-down will appear for you to select your organization if you are a Requester for multiple organizations.
2. Enter the 5-digit **DUA Number**.
3. Select a **Requester** from the drop-down.
4. Select **Next**.

# DUA Re-Assignment – Change Contact

## DUA Re-Assignment – Assign Within the Same Organization

### Re-Assign DUA(s)

Current Requester :	Demo UserTwo
Current Requester's Email :	test@eppe.com
Current Requester's Phone Number :	(410) 555-1212
Current Organization Name :	Demonstration Organization 1
Reassigned Requester :	Demo UserOne
Reassigned Requester's Email :	test@eppe.com
Reassigned Requester's Phone Number :	(410) 555-1212
Reassigned Organization Name :	Demonstration Organization 1

Previous

Submit

1. The **Re-Assign DUA(s)** summary page is displayed showing the current Requester and the re-assigned Requester's name.
2. Select **Submit**.

**Note:** Only the **Current Requester** can assign a DUA to another Requester within the same organization.

# DUA Re-Assignment – Change Contact

## DUA Re-Assignment – Assign Within the Same Organization

DUA Re-Assignment request for DUA 52365 has been successfully submitted.

CHOOSE CHANGE CONTACT TYPE

Required fields are marked with an asterisk ( \* ).

Choose the option to Request / Assign DUA (s) \*

Request a DUA from same organization ?

Assign a DUA to Requester from same organization ?

Next

1. Requester is returned to the **Change Contact** screen where the status of their current action is displayed at the top of the screen.
2. **Change Contact Request** is routed to the **DMT** for approval.

**Note:** The DUA will not appear in the new Requester's queue until the **DMT** has approved it at which point they can manage the DUA.

# AD HOC REQUEST

# DUA Re-Assignment – Ad Hoc Request

## DUA Re-Assignment – Ad Hoc Request

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

**Re-Assign DUA(s)**

Change Contact

**Ad Hoc Request**

Search

DUA Search

**My Access**

Manage Access

**My Preference(s)**

Email Preference

Exit EPPE

**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.
- LDS Approval Workflow.

The Requester can request DUAs from an outside organization through the **Ad Hoc Request** process.

# DUA Re-Assignment – Ad Hoc Request

## DUA Re-Assignment – Ad Hoc Request

**REQUEST A DUA FROM DIFFERENT ORGANIZATION**

Your Organization : **JOHNS HOPKINS UNIVERSITY (JHU)**

DUA Number : \* **52096** 

Upload one or more supporting documents : \*

Add Files :  No file chosen

Add Description :  2000 characters remaining (2000 maximum)

S.No	Document	Document Description	Uploaded Files
1	Acquisition_of_Company_Document.docx	This document is provided to support this request	Download Delete

1. Requester's **Organization** is pre-populated.
2. Enter the **DUA Number**.
3. Upload supporting documentation and select **Submit**.

**Note:** A drop-down will appear for you to select your organization if you are a Requester for multiple organizations.

# DUA Re-Assignment – Ad Hoc Request

## DUA Re-Assignment – Ad Hoc Request

DUA Re-Assignment request for DUA 52096 has been successfully submitted.

**REQUEST A DUA FROM DIFFERENT ORGANIZATION**

Your Organization :      **JOHNS HOPKINS UNIVERSITY (JHU)**

DUA Number : \*            ?

Upload one or more supporting documents : \*

Add Files :            No file chosen

Add Description :            *2000 characters remaining (2000 maximum)*

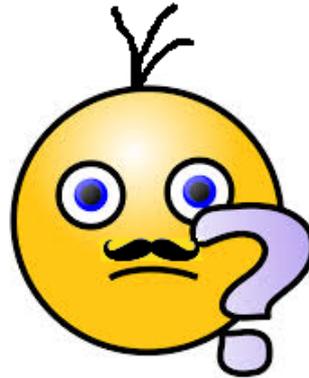
1. Requester is returned to the **Ad Hoc Request** home page.
2. **Ad Hoc Request** is submitted to the EPPE Admin for approval.

**Note:** The DUA will not appear in the Requester's queue until the **EPPE Administrator** has approved it at which point they can manage the DUA.

# DUA Requester – New LDS DUA Request

Please refer to the **Role Request** training module for more information on requesting roles as a new user in EPPE.

# 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](mailto:eppe@cms.hhs.gov)

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