



Centers for Medicare & Medicaid Services

Enterprise Privacy Policy Engine Cloud (EPPE)

Limited Data Set (LDS) Approval Workflow Training Module – Update/Amend Data Management Plan

Version 2.1

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1. Overview

This Training Guide will cover the following:

- How to initiate an Update/Amend LDS Data Use Agreement (DUA) request.
- How to Update/Amend Data Management Plan(s) listed on an LDS DUA
- How to Review and Submit an Update/Amend LDS DUA.

1.1 EPPE Access Prerequisites

Before continuing this training, please complete the following:

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

1.2 Icons Used Throughout the EPPE System



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

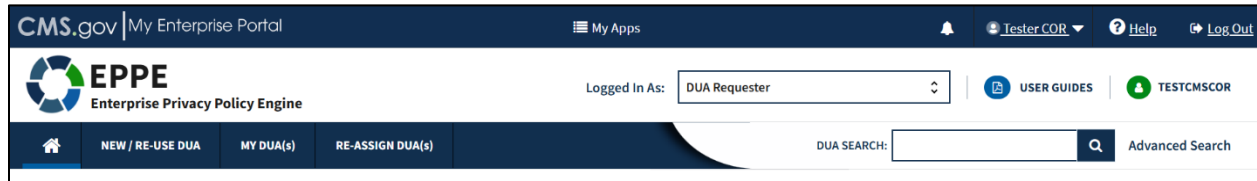


The question mark icon, when selected, will display field specific help.

2. Update/Amend LDS DUA DMP(s)

Log in to the EPPE application.

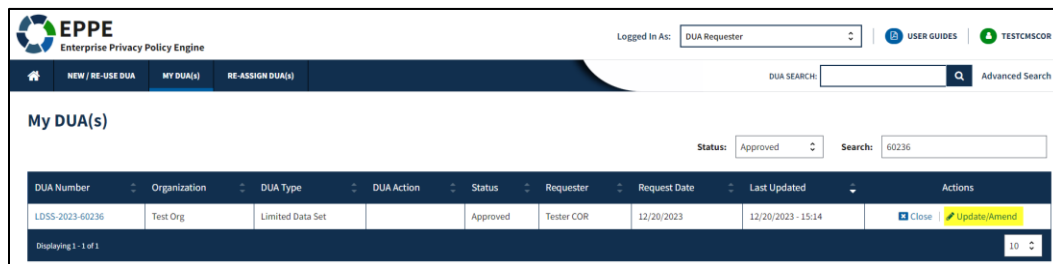
Figure 1: EPPE Welcome



1. EPPE User should log into the application with the **DUA Requester** role.
2. Click **MY DUAs** to display a list of the User's DUAs in EPPE.

Note: Users can filter the My DUAs table to show a list of approved DUAs. **Update/Amend** requests must be performed on DUAs with the status of **Approved**.

Figure 2: MY DUA(s) Table



3. Click the **Status** filter dropdown to filter the My DUAs table by **Approved** LDS DUAs OR Search for the specific DUA to update.
4. Click the **Update/Amend** action.

Notes:

- If your organization has at least one (1) DUA in Expired status, a message (when you click Update/Amend) shows a list of expired DUA(s) number(s) and instructions that you cannot create or update any DUAs until extending or closing all expired DUAs.
- If you are an existing Requester or Requester Proxy, any Approved LDS type DUAs on which you are the Requester or Requester Proxy will also display in the list.
- Previous and next (<, >) and number buttons allow you to scroll through the listing.

The **My DUA** screen is displayed.

Figure 3: My DUA

DUA Number: LDSS-2022-59303

Collapsed View Expanded View

PRINT TO PDF

DUA Life Cycle +

Main Information -

DUA Number: LDSS-2022-59303
 DUA Customer Type: Limited Data Set
 DUA Category: 51 - LIMITED DATASETS (LDS)
 DUA Request Type: UPDATE DUA
 DUA Status: Approved
 Expiration Date: 12/31/2025
 Requested Date: 01/06/2024
 Requester: Tester COR
 Requester's Email: testercor07@gmail.com
 Requester's Phone Number: (609) 665-2030
 Last Updated By: Tester COR
 Organization Name: SCOPE INFOTECH, INC.
 Project Name: LDS Demo with Darrell
 Project Aim: The aim of this project is to show Darrell the LDS Self-Service Workflow

Privacy Act & HIPAA Authorization Code:
 Privacy Act Authorization Code: PA03-RES - RESEARCH RU
 HIPAA Authorization Code: Limited Data Set

Latest Payment Information:
 Invoice Amount: \$1,000.00
 Payment Date: 11/28/2022

Update/Amend Quit

5. Click the **Update/Amend** button.

Figure 4: Edit DUA

LDSS-2023-57325 is ready for updates. Status has been changed to In Progress.

DUA Number: LDSS-2023-57325

Collapsed View Expanded View Approved Version

PRINT TO PDF

DUA Life Cycle +

Main Information -

DUA Number: LDSS-2023-57325
 DUA Customer Type: Limited Data Set
 DUA Category: 51 - LIMITED DATASETS (LDS)
 DUA Request Type: UPDATE DUA
 DUA Status: In Progress
 Expiration Date: 10/25/2024

Privacy Act & HIPAA Authorization Code:
 Privacy Act Authorization Code: PA03-RES - RESEARCH RU
 HIPAA Authorization Code: Limited Data Set

Lates
 Invoi

Cancel Update Comment Edit Request this DUA

6. Click the **Edit** button.

Note: Once Edit is clicked, the user is taken back to the last saved page (may or may not be the Main Information section).

Figure 5: Select the Data Management Plan(s) Section

New / Re-Use DUA

1. DUA Setup

2. Main Information

3. Collaborating Organization(s)

4. Data Management Plan(s)

Data Management Plan(s)

DUA Number: LDSS-2024-70033

ADD DMP

DMP Name	Primary Custodian	Effective Date	Expiration Date	Upload Date	Audit Date	Audit Type	Actions
New_DMP-SAQ_Test_File.pdf	Harry Potter	10/01/2023	12/31/2030	10/25/2023			Download Remove

7. Click the **Data Management Plan(s)** section from the menu on the left.

8. If the Data Management Plan(s) section is not clickable, please click the **Next or Previous** button until the respective section is reached.

Note: CMS requires all organizations requesting LDS Files to have an approved Data Management Plan Self-Attestation Questionnaire (DMP SAQ) for the environment in which they intend to store the CMS data. An approved DMP SAQ is required to submit the DUA. Please submit questions to DPSP@cms.hhs.gov or you can visit the [DMP SAQ](#) page for more information.

Figure 6: Update/Amend Data Management Plan(s)

Data Management Plan(s) DUA Number: LDSS-2024-70033

ADD DMP

DMP Name	Primary Custodian	Effective Date	Expiration Date	Upload Date	Audit Date	Audit Type	Actions
New_DMP- SAQ_Test_File.pdf	Harry Potter	10/01/2023	12/31/2030	10/25/2023			Download Remove

Save & Quit Previous Next

9. Click the **ADD DMP** button to add a Data Management Plan.

Figure 7: Add Data Management Plan

Add Data Management Plan

Select DMP

Select Organization*

SCOPE INFOTECH, INC.

Select DMP*

EPPE_Research_DUA_Data_Entry_Business_Process_Flow_v2.8_UPDATED_20220217_Automated_Bot.pdf (824)

Add Cancel

10. Select the **Organization** that the DMP is being used for from the drop-down menu.

11. Select the **DMP** that the user wants to attach from the drop-down menu.

12. Click the **Add** button.

Note: If no Data Management Plan (DMP) is available for selection, EPPE Users must request that a DMP be added to the respective organization so it can be selected (visit <https://www.cms.gov/data-research/cms-data/data-available-researchers/data-management-plan-self-attestation-questionnaire> for instructions regarding the use and approval of organizational DMP[s].)

2.1 Review and Submit a DUA

Review the applicable sections of the DUA:

- DUA Life Cycle (click the plus sign (+) icon)
- Main Information
- Collaborating Organization(s)
- Data User(s)/User(s)
- Existing Data File Descriptions
- Re-Use Data File Descriptions
- New Data File Descriptions
- Documents
- Comments

Figure 8: Proceed to Submission

The screenshot shows a web interface for adding a Data Management Plan (DMP). At the top is a blue button labeled "ADD DMP". Below it is a table with the following columns: DMP Name, Primary Custodian, Effective Date, Expiration Date, Upload Date, Audit Date, Audit Type, and Actions. The table contains one row with the following data: DMP Name: test_(7).pdf, Primary Custodian: Hytham Said, Effective Date: 05/05/2023, Expiration Date: 05/04/2024, Upload Date: 10/26/2023, Audit Date: (empty), Audit Type: (empty), and Actions: Download, Remove. At the bottom right of the interface are three buttons: "Save & Quit", "Previous", and "Next".

DMP Name	Primary Custodian	Effective Date	Expiration Date	Upload Date	Audit Date	Audit Type	Actions
test_(7).pdf	Hytham Said	05/05/2023	05/04/2024	10/26/2023			Download Remove

1. Click **Next** until **Reviews** section is displayed when all updates are completed.

Figure 9: Update/Amend DUA Review Screen

The screenshot shows the "Update/Amend DUA Review Screen" for DUA Number LDSS-2023-60236. At the top, a green banner indicates "The Update/Amend action was performed on LDSS-2023-60236". Below this, the "DUA Number: LDSS-2023-60236" is displayed. There are three tabs: "Collapsed View" (selected), "Expanded View", and "Approved Version". A "PRINT TO PDF" button is located on the right. The "DUA Life Cycle" section is expanded, showing "Main Information". The information includes: DUA Number: LDSS-2023-60236, DUA Customer Type: Limited Data Set, DUA Category: 51 - LIMITED DATASETS (LDS), DUA Request Type: UPDATE DUA, DUA Status: In Progress, Expiration Date: 12/19/2024, and Requested Date: 12/20/2023. A "Privacy Act & HIPAA Authorization Code" section shows: Privacy Act Authorization Code: PA03-RES - RESEARCH RU and HIPAA Authorization Code: Limited Data Set. At the bottom right are three buttons: "Comment", "Edit", and "Submit".

2. Click **Submit** when all updates are completed.

Notes:

- Comments are required for all updates to DUAs.

Figure 10: Submit: Comment and Special Instructions

The screenshot shows a dialog box titled "Submit LDSS-2022-59303 for Review". It has two tabs: "Comments" (selected) and "Terms & Conditions". Under the "Comments" tab, there is a section "Add Comment" with a text area containing the placeholder "A comment is optional." and a character count "Content limited to 2000 characters, remaining: 2000". Below this is a section "Special Instructions" with a text area containing the placeholder "Special instructions are optional." and a character count "Content limited to 2000 characters, remaining: 2000". At the bottom right are two buttons: "Next" and "Cancel".

3. Enter any applicable comments.
4. Enter any applicable special instructions.
5. Click **Next**.

The Terms & Conditions are displayed.

Figure 11: Terms & Conditions

Submit LDSS-2026-72762 for Review

Comments **Terms & Conditions**

This Data Use Agreement (Agreement) is entered into by and between the Centers for Medicare & Medicaid Services (CMS), a component of the U.S. Department of Health and Human Services (HHS), and the organization requesting data from CMS (Requesting Organization). This Agreement covers the CMS Limited Data Set (LDS) files that the Requesting Organization requested from CMS and the corresponding purposes for their use, as specified in the LDS Request Application and submitted via the CMS Enterprise Privacy Policy Engine (EPPE) system.

1. CMS LDS Data Request: CMS agrees to provide the Requesting Organization with the LDS files specified in the LDS Request Worksheet, set forth in Attachment B, which reside in a CMS Privacy Act System of Records. In exchange, the Requesting Organization agrees to:

2. Pay any applicable fees.

☐ I agree to the terms and conditions above.*

Previous Submit Cancel

6. Select the ***I agree to the terms and conditions above*** checkbox.
7. Click **Submit**.

Submission confirmation message, “*DUA request [DUA Number] has been submitted for review. You will receive a follow-up email notification. To view the DUA, navigate to ‘My DUAs.’*” is displayed on the DUA Status screen.

Figure 12: Submission Confirmation

✓ DUA request LDSS-2024-70522 has been submitted for review. You will receive a follow-up email notification. To view the DUA navigate to "My DUA(s)"

DUA Number: LDSS-2024-70522

Notes:

- The DUA will be placed in the Requester’s Submitted Queue.
- The LDS DMT will find the DUA in their Pending Action(s) queue.
- Denied updates will be placed in the Approved queue with a Denied entry in the DUA Life Cycle. You can resubmit an update with corrected information on the DUA.
- If payment is required, the DUA will not appear in your Approved queue until the LDS DMT approves it and the Payment Coordinator has confirmed payment.
- If payment is not required, the DUA will not appear in your Approved queue until the LDS DMT approves it.

3. Acronyms

The following are acronyms used within the EPPE system.

Table 1: Acronyms

Acronym	Definition
CMS	Centers for Medicare and Medicaid Services
DMP	Data Management Plan
DMP SAQ	Data Management Plan Self-Attestation Questionnaire
DMT	DUA Management Team
DUA	Data Use Agreement
EPPE	Enterprise Privacy Policy Engine
IDM	Identity Management
LDS	Limited Data Set
MFA	Multi-Factor Authentication
PDF	Portable Document Format

4. EPPE Help Desk Information

EPPE Help Desk Contact Information

Hours of Operation: Monday – Friday 9:00 AM to 6:00 PM EST

844-EPPE-DUA (844-377-3382)

eppe@cms.hhs.gov

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