



**Centers for Medicare & Medicaid Services**

## **Enterprise Privacy Policy Engine Cloud (EPPE)**

### **Limited Data Set (LDS) Approval Workflow Training Module- Update/Amend Data Management Plan**

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# 1. Overview

This Training Guide will cover the following:

- How to initiate an Update/Amend LDS 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.

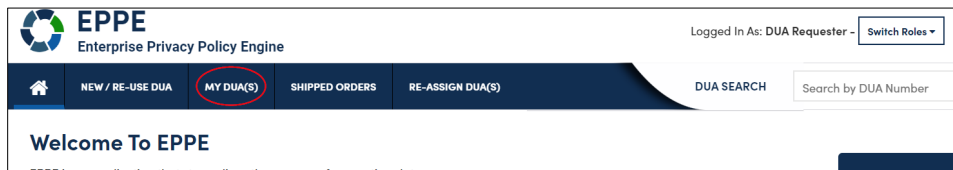


The question mark icon, when selected, will display field specific help.

## 2. Update/Amend LDS DUA DMP(s)

Log in to the EPPE application.

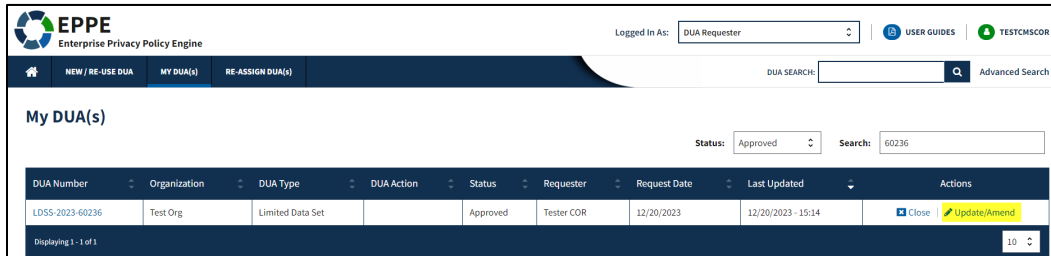
Figure 1: EPPE Welcome



1. EPPE User should log into the application with the **DUA Requestor** 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 and 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

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

Figure 4: Edit 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

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:** A Data Management Plan (DMP) is required for DUAs which store data in a cloud environment. The DMP is optional for all other DUAs. The DMP must already be approved by CMS’s Data Privacy Safeguards Program (DPSP) and added to the EPPE system. For more information, see the [DPSP website](#).

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

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)

12. Select the **Organization** that the DMP is being used for from the drop-down menu.
13. Select the **DMP** that the user wants to attach from the drop-down menu.
14. Click the **Add** button.

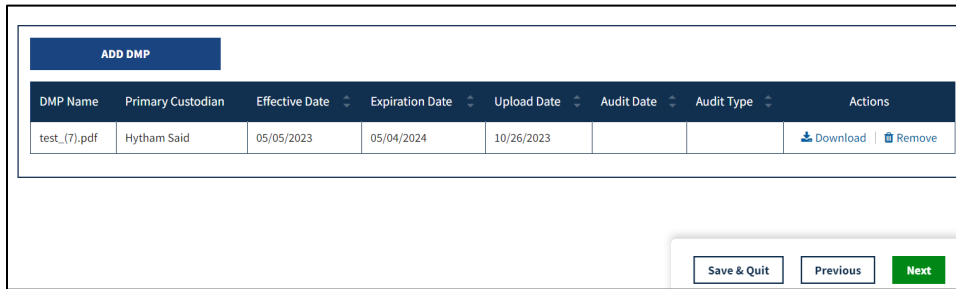
**Note:** If no DMP is available for selection, EPPE Users must request that a DMP be added to the respective organization so it can be selected (visit <https://resdac.org/request-form/dmp-saq> for instructions regarding the use and approval of organizational DMP(s).)

## 2.1 Review and Submit a DUA

Review the applicable sections of the DUA:

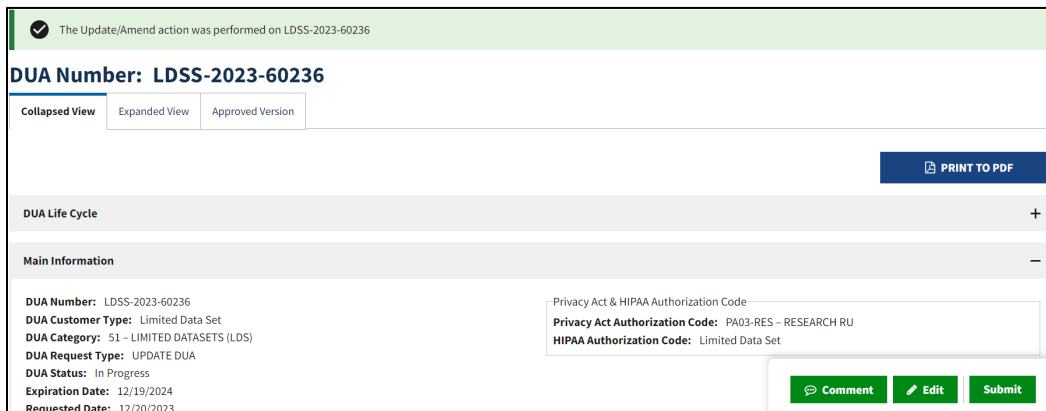
- DUA Life Cycle (click the plus sign (+) icon)
- Main Information
- Collaborating Organization(s)
- Data User(s)/ User(s)
- Existing Data File Descriptions
- Re-Use Data File Descriptions
- New Data File Descriptions
- Documents
- Comments

**Figure 8: Proceed to Submission**



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

**Figure 9: Update/Amend DUA Review Screen**

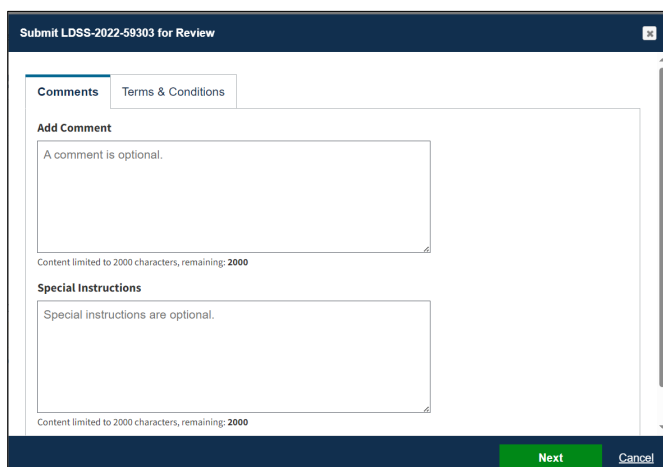


2. Click **Submit** when all updates are completed.

**Notes:**

- Comments are required for all updates to DUAs.

**Figure 10: Submit: Comment and Special Instructions**



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

The Terms & Conditions are displayed.

Figure 11: Terms &amp; Conditions

**Submit LDSS-2022-59303 for Review**

Comments **Terms & Conditions**

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

CMS agrees to provide you with the data files specified in the DUA Request, which reside in a CMS Privacy Act System of Records ("SOR"). In exchange, you agree to: (a) pay any applicable fees; (b) use the data only for purposes that support your study, research, or project, as specified in the DUA Request, which CMS has determined to be valuable in helping CMS monitor, manage, and improve the Medicare and Medicaid programs and/or services provided to beneficiaries; and (c) to ensure the integrity, security, and confidentiality of the data by complying with

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
<b>CMS</b>	Centers for Medicare and Medicaid Services
<b>DMP</b>	Data Management Plan
<b>DMT</b>	DUA Management Team
<b>DUA</b>	Data Use Agreement
<b>EPPE</b>	Enterprise Privacy Policy Engine
<b>IDM</b>	Identity Management
<b>LDS</b>	Limited Data Set
<b>MFA</b>	Multi-Factor Authentication
<b>PDF</b>	Portable Document Format
<b>VRDC</b>	Virtual Research Data Center

## 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](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.