



**Centers for Medicare & Medicaid Services**

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

### **Limited Data Set (LDS) Approval Workflow Training Module – New LDS DUA Request with New Data Files**

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**Version 2.1**

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# 1 Overview

This Training Guide will cover the following:

- How to Add Main Information
- How to Add Collaborating Organizations
- How to Add a Data User(s)
- How to Select Re-Use Data Files
- How to Add New Data Files
- How to Add Data File Extraction Information
- How to Add Delivery Method Information
- How to Complete the Data File Attributes
- How to Upload Documentation
- How to Review 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.

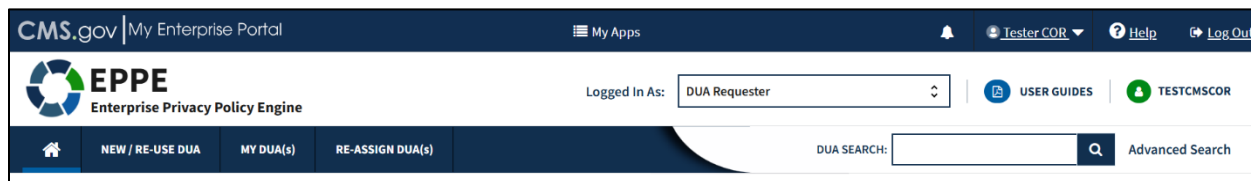


The question mark icon, when selected, will display field specific help.

## 2 Create a New LDS DUA

Login to the EPPE system.

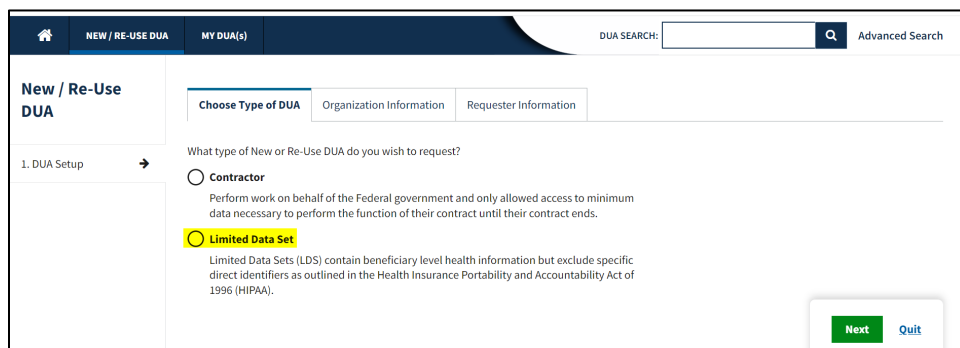
Figure 1: EPPE Welcome Screen



1. Click **NEW/RE-USE DUA** from the menu to begin a new DUA.

The DUA Set Up screen for New/Re-Use DUA is displayed.

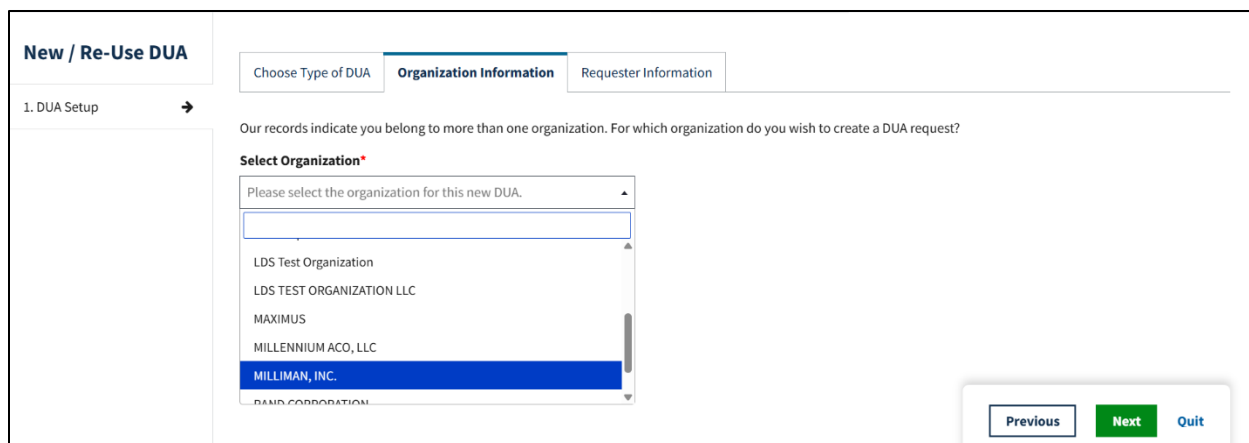
Figure 2: DUA Set Up selection



2. Select the **Limited Data Set** radio button.
3. Click **Next**.

Your organization is pre-populated. A dropdown will appear for you to select your organization if you are a Requester for multiple organizations.

Figure 3: Organization Selection



4. Select your **Organization** from the drop-down menu.
5. Click **Next**.

Requester Information tab is displayed with the Requester Information pre-populated.

Figure 4: Requester Information

The screenshot shows the 'Requester Information' tab selected in the 'New / Re-Use DUA' section. The 'Organization Name' is pre-populated as 'MILLIMAN, INC.'. Below it, the 'Requester's Name' is 'Tester COR', the 'Requester's Email' is 'testercor07new@gmail.com', and the 'Requester's Phone Number' is '6096652032'. At the bottom right, there are three buttons: 'Previous', 'Next' (highlighted in green), and 'Quit'.

**Note:** If the user has a proxy, select the appropriate option for the Requester Information.

Figure 5: Requester Information for Proxy

The screenshot shows the 'Requester Information' tab selected in the 'New / Re-Use DUA' section. The 'Organization Name' is pre-populated as 'HCD Organization'. Below it, there is a question: 'Do you want to work as a proxy?'. There are two radio button options: 'I will work as myself.' and 'I will work as a proxy for Tester User.'. At the bottom right, there are three buttons: 'Previous', 'Next' (highlighted in green), and 'Quit'.

6. Click **Next**.

The Main Information screen is displayed.

## 2.1 Main Information

Add the Main Information required for submitting a DUA.

Figure 6: Main Information

**New / Re-Use DUA**

1. DUA Setup

2. Main Information →

3. Collaborating Organization(s)

4. Data Management Plan(s)

5. Data User(s)

6. Re-use Data File Selection(s)

7. New Data File

**Main Information**

DUA Number: LDSS-2025-72190

Study Title\*

Study/Project Aim

Content limited to 4000 characters, remaining: 4000

Save & Quit Next

1. The **Study Title** field is required.
2. The **Study/Project Aim** field is optional.
3. Click **Next**.

## 2.2 Select Collaborating Organization

Select the Collaborating Organization that the DUA belongs to.

Figure 7: Select Collaborating Organization

**New / Re-Use DUA**

1. DUA Setup

2. Main Information

3. Collaborating Organization(s) →

4. Data Management Plan(s)

5. Data User(s)

6. Re-use Data File Selection(s)

7. New Data File Selection(s)

8. Upload Documents

9. Reviews

**Collaborating Organization(s)**

DUA Number: LDSS-2024-70405

✓ LDSS-2024-70405 has been saved.

Selected Organization: Test Org

ADD

Organization Name	Actions
There are no collaborating organizations associated with this DUA. Use the Add button to select one.	

Save & Quit Previous Next

1. Click the **ADD** button.

Figure 8: Add Collaborating Organization

**Add Collaborating Organization**

Collaborating Organization Cannot Locate the Organization

Select an Organization\*

Select

[Cannot locate the Organization?](#)

Add Cancel

2. Select the respective organization from the drop-down menu.
3. Click **Add**.

**Note:** If you cannot find the Organization, click the Cannot Locate the Organization hyperlink.

**Figure 9: Add Collaborating Organization: Cannot Locate Organization**

4. Click the **Cannot locate the Organization?** link to add an organization not listed.

**Figure 10: Add New Collaborating Organization**

5. Enter the **Organization Name**.
6. Select the **Country**
7. Enter the **Street Address**.
8. Enter the **City, State, and Zip Code**.
9. Click **Add**.

**Figure 11: Add New Collaborating Organization: Organization Dialogue**

**Note:**

- The Requesting Organization must be a location within the U.S. (LDS data files cannot be shipped outside of the U.S.).
- The EPPE Admin needs to process the New Collaborating Organization request. Once approved the New Collaborating Organization displays it in the dropdown list.



Figure 12: Added Collaborating Organization

EPPE Enterprise Privacy Policy Engine

Logged In As: DUA Requester | USER GUIDES | TESTCMSCOR

NEW / RE-USE DUA | MY DUA(s) | RE-ASSIGN DUA(s)

DUA SEARCH: [ ] Q Advanced Search

**New / Re-Use DUA**

- 1. DUA Setup
- 2. Main Information
- 3. Collaborating Organization(s) →
- 4. Data Management Plan(s)
- 5. Data User(s)
- 6. Re-use Data File Selection(s)
- 7. New Data File

**Collaborating Organization(s)** DUA Number: LDSS-2025-72190

✓ SCOPE INFOTECH, INC. was added to LDSS-2025-72190

**Selected Organization:** MILLIMAN, INC.

**ADD**

Organization Name	Actions
SCOPE INFOTECH, INC.	Remove

Save & Quit Previous Next

The Collaborating Organization is added to the table.

10. Click **Next**

## 2.3 Data Management Plan(s)

A Data Management Plan can be added to LDS DUAs.

Figure 13: Data Management Plan(s)

EPPE Enterprise Privacy Policy Engine

Logged In As: DUA Requester | USER GUIDES | TESTCMSCOR

NEW / RE-USE DUA | MY DUA(s) | RE-ASSIGN DUA(s)

DUA SEARCH: [ ] Q Advanced Search

**New / Re-Use DUA**

- 1. DUA Setup
- 2. Main Information
- 3. Collaborating Organization(s)
- 4. Data Management Plan(s) →
- 5. Data User(s)
- 6. Re-use Data File Selection(s)
- 7. New Data File Selection(s)
- 8. Upload Documents
- 9. Reviews

**Data Management Plan(s)** DUA Number: LDSS-2024-70405

✓ LDSS-2024-70405 has been saved.

**ADD DMP**

DMP Name	Primary Custodian	Effective Date	Expiration Date	Upload Date	Audit Date	Audit Type	Actions
No DMP(s) are currently associated with this DUA. Use the Add DMP button to select from primary and partner organizations.							

Save & Quit Previous Next

1. Click **ADD DMP**.

Figure 14: Add Data Management Plan

2. Select the **Organization**.
3. Select the **DMP**.
4. Click **Add**.

Figure 15: Data Management Plan(s): DMP(s) Table

DMP Name	Primary Custodian	Effective Date	Expiration Date	Upload Date	Audit Date	Audit Type	Actions
4_4_22_DMP_(1).pdf	Joseph DiCesare	10/11/2022	10/10/2026	10/11/2022		OTHER	Download   Remove

5. Click **Next** on the Data Management Plan Page when finished.

**Note:** A DMP for the LDS Self-Service Workflow is optional. 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].)

## 2.4 Data User(s)

The Data User(s) Page is displayed.

Figure 16: Data User(s)

**New / Re-Use DUA**

1. DUA Setup  
2. Main Information  
3. Collaborating Organization(s)  
4. Data Management Plan(s)  
5. Data User(s) →  
6. Re-use Data File Selection(s)  
7. New Data File Selection(s)  
8. Upload Documents  
9. Reviews

**Data User(s)** DUA Number: LDS-2024-70405

✓ LDS-2024-70405 has been saved.

**ADD DATA USER**

Data User Name	Data User Role	Organization	Actions
Use the add button to add Data Users to this DUA.			
Displaying 0 of 0			

Save & Quit Previous **Next**

1. Select the **ADD DATA USER** button.

Figure 17: Add Data User

**Add Data User**

Add Data User Add New Location Add New User

**Select Organization\***

Select

**Select Data User\***

Select Add New User

**Select Data User's Location\***

Select Add Location

Data User Role

**Select Data User's Role:** ☐ Data Custodian ☐ Data Recipient ☐ Direct Access

**Attach Signature Addendum\***

Drag file here or [choose from folder](#)

**Submit** Cancel

2. Select the **Organization** from the drop-down list.
3. Select a **Data User** from the dropdown list.
4. Select the **Data User's Location** from the drop-down list.
5. Select the **Data User's Role** from the drop-down list.
6. Click **Choose From Folder** to attach a **Signature Addendum** for the Data User.
7. Click **Submit**.

Figure 18: Add Data User: Data User(s)Table

**New / Re-Use DUA**

**1. DUA Setup**

**2. Main Information**

**3. Collaborating Organization(s)**

**4. Data Management Plan(s)**

**5. Data User(s)** →

**6. Re-use Data File Selection(s)**

**7. New Data File**

**Data User(s)** DUA Number: LDSS-2025-72190

✓ MAGGIE ALSTON was added to LDSS-2025-72190 as a Data User.

**ADD DATA USER**

Data User Name	Data User Role	Organization	Actions
Joseph DiCesare	Data Custodian	SCOPE INFOTECH, INC.	Show Details ▾   Edit
MAGGIE ALSTON	Data Recipient	MILLIMAN, INC.	Show Details ▾   Edit   Remove

Displaying 1 - 2 of 2

Save & Quit Previous **Next**

8. Click **Next** on the **Data User(s)** Page when finished.

**Note:**

- You must select at least one Data User that is a Data Custodian.
- Use the **Edit** action to update Data User(s) information.
- Use the **Remove** action to remove Data User(s) from the table.

## 2.5 Re-Use Data File Selection(s)

Refer to the New LDS DUA Request with Re-Use Data Files training module for more information on adding Re-Use Data Files to a New DUA.

## 2.6 New Data File Selection(s)

The New Data File Selection(s) screen is displayed.

Figure 19: New Data File Selection(s)

**New / Re-Use DUA**

**1. DUA Setup**

**2. Main Information**

**3. Collaborating Organization(s)**

**4. Data Management Plan(s)**

**5. Data User(s)**

**6. Re-use Data File Selection(s)**

**7. New Data File Selection(s)** →

**8. Upload Documents**

**9. Reviews**

**New Data File Selection(s)** DUA Number: LDSS-2024-70405

**ADD NEW DATA FILES**

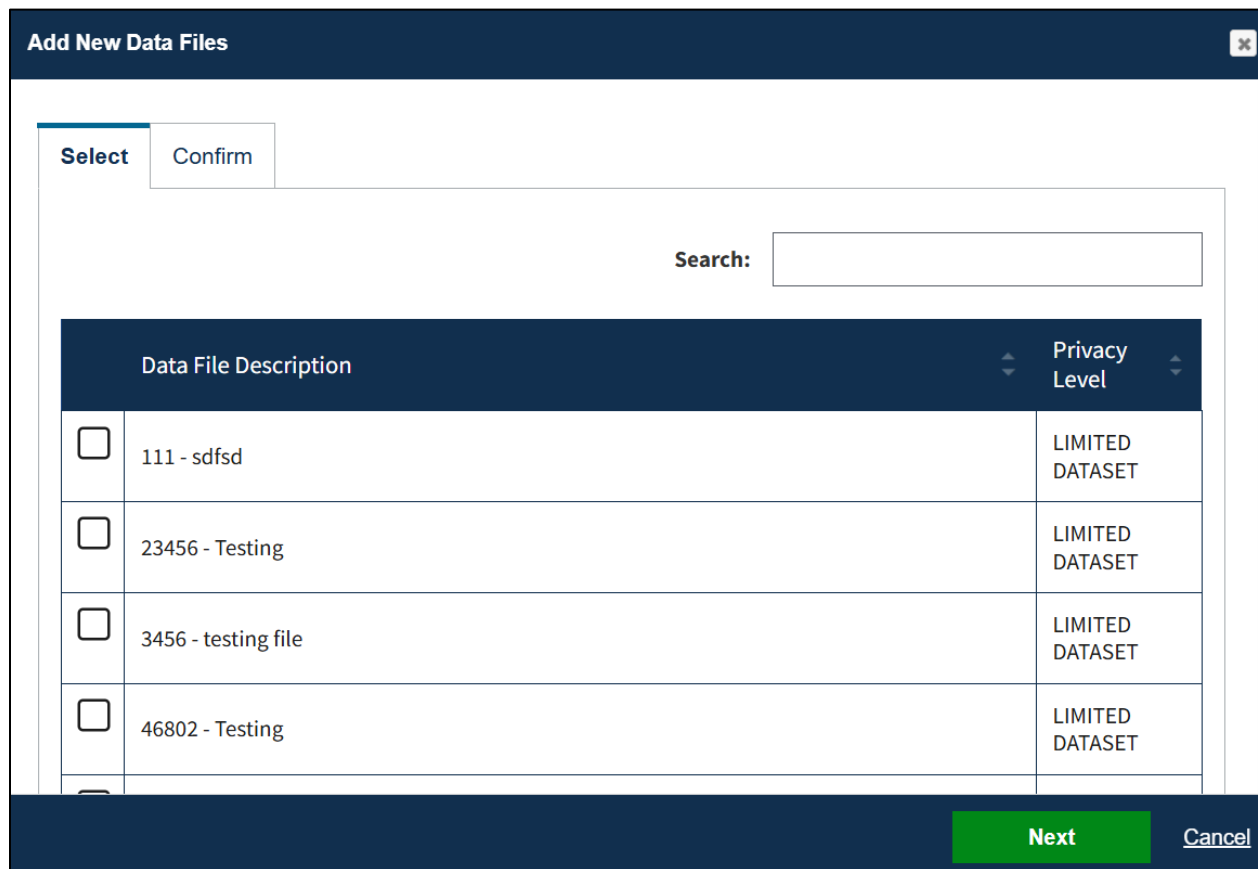
Data File Description	Extraction % / Cohort	From Year	To Year	Status	Actions
No Data Files are currently selected. Please use the Add button to select and add Data Files.					

Displaying 0 - 0 of 0

Save & Quit Previous **Next**

1. Click **ADD New Data Files** button.

Figure 20: Add New Data File(s) Pop-Up

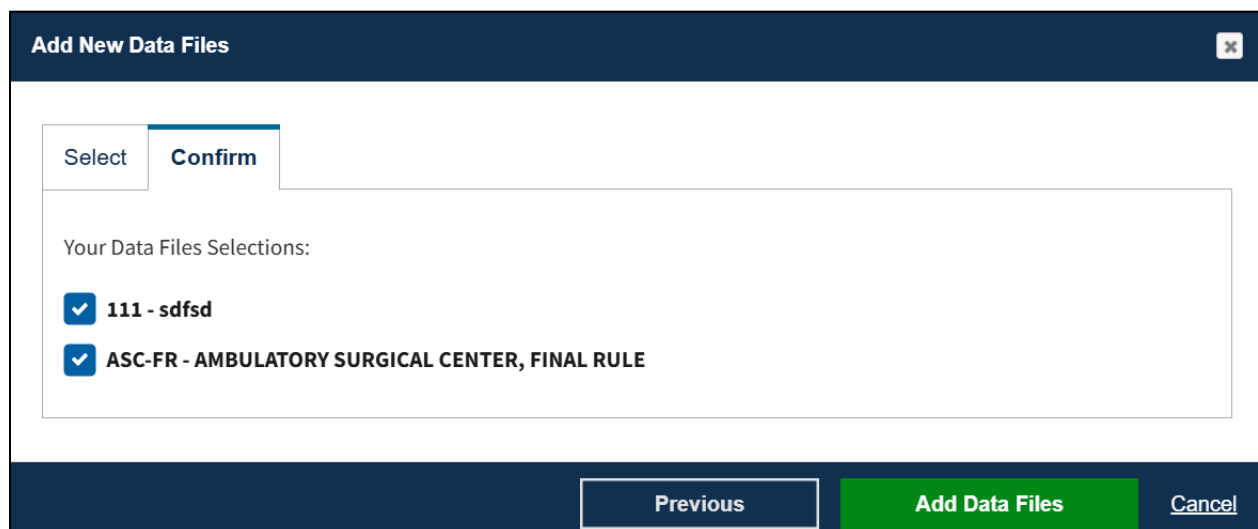


The 'Add New Data Files' pop-up window is shown with the 'Select' tab active. It features a search bar and a table of data files. The table has two columns: 'Data File Description' and 'Privacy Level'. Four files are listed, each with an unchecked checkbox in the first column. The 'Next' button is highlighted in green, and the 'Cancel' button is a link.

	Data File Description	Privacy Level
<input type="checkbox"/>	111 - sdfsd	LIMITED DATASET
<input type="checkbox"/>	23456 - Testing	LIMITED DATASET
<input type="checkbox"/>	3456 - testing file	LIMITED DATASET
<input type="checkbox"/>	46802 - Testing	LIMITED DATASET

2. Select the data file(s) to add.
3. Click **Next**.

Figure 21: Confirm Add New Data File(s)



The 'Add New Data Files' pop-up window is shown with the 'Confirm' tab active. It displays the selected files under the heading 'Your Data Files Selections:'. Two files are listed with checked checkboxes: '111 - sdfsd' and 'ASC-FR - AMBULATORY SURGICAL CENTER, FINAL RULE'. The 'Add Data Files' button is highlighted in green, and the 'Previous' and 'Cancel' buttons are links.

Your Data Files Selections:

- ☒ 111 - sdfsd
- ☒ ASC-FR - AMBULATORY SURGICAL CENTER, FINAL RULE

4. Click **Add Data Files** button to add the data files to the Data File table.

The selected data files are displayed in the table below. The file(s) status displayed is **“INCOMPLETE.”**

**Figure 22: Add New Data File(s): Incomplete**

**New / Re-Use DUA**

- 1. DUA Setup
- 2. Main Information
- 3. Collaborating Organization(s)
- 4. Data Management Plan(s)
- 5. Data User(s)
- 6. Re-use Data File Selection(s)
- 7. New Data File Selection(s) →
- 8. Upload Documents

**New Data File Selection(s)**
DUA Number: LDSS-2025-72190

LDSS-2025-72190 has been saved.

ADD NEW DATA FILES

Code	Data File Description	Extraction % / Cohort	From Year	To Year	Status	Actions
ASC-FR	AMBULATORY SURGICAL CENTER, FINAL RULE				INCOMPLETE	Show Details ▾    Edit    Remove
111	sdfsd				INCOMPLETE	Show Details ▾    Edit    Remove

Displaying 1 - 2 of 2

Save & Quit

Previous

Next

5. Click the **Edit** action next to each incomplete item to complete required file attributes.

**Note:** Click the **Remove** action for each file you need to remove from the table. It will only remove the file from this table and place it back in the list of new data files to be selected.

## 2.7 Add Data File Information

The Data file information pop-up is displayed with the Data file extraction tab in focus.

Figure 23: Data File Information: Data File Extraction

**Edit Data File Selection**

**Data File Extraction** | Delivery Method | Add New Location

**Data File:** ASC-FR - AMBULATORY SURGICAL CENTER, FINAL RULE

**Data File Extraction / Cohort\*** **From\*** **To\***

- None - - None - - None -

**Extraction Type(s)** **State(s)**

- None - - None -

**Add**

Extraction % / Cohort	From Year	To Year	Extraction Types	States	Actions
Add Data File Extracts using the form above.					

**Next** [Cancel](#)

1. Select the **Data File Extraction/Cohort**.
2. Select the **From** and **To** year.
3. Choose any **Extraction Type(s)**.
4. Choose **State(s)** if applicable.
5. Click **Add**.

**Notes:**

- Some future file years in the year range may not be available yet.
- You may only order files and years available on the LDS Worksheet.

The data file extraction attributes display in the table.

Figure 24: New Data File(s): Extraction Attributes Selected

**Add**

Extraction % / Cohort	From Year	To Year	Extraction Types	States	Actions
100	2023	2023	Final	MD	<a href="#">Remove</a>

**Next** [Cancel](#)

6. Click **Next**.

## 2.8 Data File Information: Delivery Method

The Delivery Method tab on the Data File Information pop-up is displayed with the Delivery Method options. Select a Delivery Method and Data Dissemination System.

Figure 25: Data File Information: Shipping Delivery Method

**Edit Data File Selection**

Data File Extraction | **Delivery Method** | Add New Location

**Data File:** ASC-FR - AMBULATORY SURGICAL CENTER, FINAL RULE

**Delivery Method:** ☐ DOWNLOAD ☒ SHIPPING

Shipping Information

**Data Dissemination System:**

**Primary Recipient:**

**Data Shipping Location:**  [Add Location](#)

**Carrier:**

**Add**

**Previous** **Submit** [Cancel](#)

1. Select the **Delivery Method**.
2. Select the **Data Dissemination System**.
3. Complete the other fields, as necessary.
4. Click the **Add** to populate the table.
5. Click **Submit**.

## 2.9 Completing Data File Attributes

The first file's status is now marked "COMPLETE."

Figure 26: Data File Attributes for First File is Complete

**New / Re-Use DUA**

**New Data File Selection(s)** DUA Number: LDSS-2025-72190

✓ ASC-FR - AMBULATORY SURGICAL CENTER, FINAL RULE has been updated.  
LDSS-2025-72190 has been saved.

**ADD NEW DATA FILES**

Code	Data File Description	Extraction % / Cohort	From Year	To Year	Status	Actions
ASC-FR	AMBULATORY SURGICAL CENTER, FINAL RULE	100	2023	2023	COMPLETE	Show Details   Edit   Remove   Apply to Others
111	sdfsd				INCOMPLETE	Show Details   Edit   Remove

Displaying 1 - 2 of 2

**Save & Quit** **Previous** **Next**



1. Click the **Edit** action to enter attributes for each file or click the **Apply to Others** action to apply the same attributes to all or some of the remaining files.

**Notes:**

- The **Apply to Others** action will only display if the DUA has multiple files. It displays once data file attributes for at least one data file selection has been completed.
- When using the **Apply to Others** feature on new data files, all Extraction attributes (Extraction %/Cohort, From/To years, and States, as applicable) and Data Dissemination System/Delivery Method will be applied to the selected files.

Figure 27: New Data File(s): Apply to Others pop-up: Select Extracts to Apply

The screenshot shows a dark blue header bar with the text "Apply to Others" and a close button (X). Below the header is a white content area with three tabs: "Select Extracts to Apply" (active), "Apply Delivery Details", and "Select Other Data Files". Under the active tab, there is a list of data files with a checkbox next to "[2023 - 2023] : 100, Final". At the bottom right, there are two buttons: a green "Next" button and a "Cancel" link.

2. Select the check box to select the Extracts to Apply.
3. Click the **Next** button.

Figure 28: New Data File(s): Apply to Others Pop-Up: Select Apply Delivery Details

The screenshot shows the same "Apply to Others" pop-up window, but with the "Apply Delivery Details" tab selected. The "Select Extracts to Apply" tab is now inactive. Under the active tab, there is a checkbox labeled "Apply Delivery Details" with the text "Check this box to apply the delivery details to the selected data files." below it. At the bottom, there are three buttons: a "Previous" button, a green "Next" button, and a "Cancel" link.

4. Select the checkbox to Apply Delivery Details.
5. Click **Next**.

Figure 29: New Data File(s): Apply to Others Pop-Up: Select Other Data Files

6. Select the check box to select the Data Files.
7. Click the **Submit** button.

The New Data File(s) Selection screen displays. The status for all New data files status is COMPLETE.

Figure 30: New Data File(s): Status for All New Files Displays “Complete”

Code	Data File Description	Extraction % / Cohort	From Year	To Year	Status	Actions
111	sdfsd	100	2023	2023	COMPLETE	Show Details ▾   Edit   Remove   Apply to Others
ASC-FR	AMBULATORY SURGICAL CENTER, FINAL RULE	100	2023	2023	COMPLETE	Show Details ▾   Edit   Remove   Apply to Others

8. Click **Next** when all Data Files display the **COMPLETE** status.

**Note:** Use **Remove** action to remove a data file from the table, if applicable.

## 2.10 Upload Documents

The following are the predefined LDS document types.

Table 1: Predefined LDS Document Types

Document	Rule(s)
<b>Attachment A Research Protocol</b>	Required for all New DUAs.
<b>LDS Worksheet</b>	The LDS Worksheet is required when New data files are being requested.
<b>Signature Addendum</b>	Required when adding Data Users to an LDS DUA.

The Standard Analytic File (SAF) Quarterly tab of the LDS Worksheet is shown in Figure 31.

**Notes:**

- Some future file years in the year range may not be available yet.
- You may only order files and years available on the LDS Worksheet.

**Figure 31: LDS Worksheet Example**

Form updated 04/30/2019

**Quarterly Request Form for LDS SAF (Standard Analytic File)**

Running Total all Files: <b>\$0</b>										Price per Quarter				
Name of File	Year	5%	100%	Select Quarter(s)				COST	5%	100%				
Master Beneficiary Summary File Quarterly	2015	5%	1 ▶	N/A	2 ▶	N/A	3 ▶	4 ▶	\$0	\$150	\$625			
		100%	1 ▶	N/A	2 ▶	N/A	3 ▶	4 ▶	\$0					
	2016	5%	1 ▶		2 ▶		3 ▶	4 ▶	\$0					
		100%	1 ▶		2 ▶		3 ▶	4 ▶	\$0					
	2017	5%	1 ▶		2 ▶		3 ▶	4 ▶	\$0					
		100%	1 ▶		2 ▶		3 ▶	4 ▶	\$0					
	2018	5%	1 ▶		2 ▶		3 ▶	4 ▶	\$0					
		100%	1 ▶		2 ▶		3 ▶	4 ▶	\$0					
	Carrier File Quarterly	2015	5%	1 ▶	N/A	2 ▶	N/A	3 ▶	4 ▶			\$0	\$1,075	N/A
			100%			N/A						N/A		
2016		5%	1 ▶		2 ▶		3 ▶	4 ▶	\$0					
		100%							N/A					
2017		5%	1 ▶		2 ▶		3 ▶	4 ▶	\$0					
		100%							N/A					
2018		5%	1 ▶		2 ▶		3 ▶	4 ▶	\$0					
		100%							N/A					
Durable Medical Equipment File Quarterly		2015	5%	1 ▶	N/A	2 ▶	N/A	3 ▶	4 ▶	\$0	\$500	N/A		
			100%							N/A				
	2016	5%	1 ▶		2 ▶		3 ▶	4 ▶	\$0					
		100%							N/A					
	2017	5%	1 ▶		2 ▶		3 ▶	4 ▶	\$0					
		100%							N/A					

INSTRUCTIONS | PROJECT INFO | Extract Spec 2005-Current | **SAF Quarterly** | LDS MCBS | LDS HOS | PAYMENT & SHIPPING

The Upload Documents screen is displayed and includes predefined document types.

**Figure 32: Upload Documents Screen**

**New / Re-Use DUA**

**Upload Documents** DUA Number: LDSS-2025-72190

✓ LDSS-2025-72190 has been saved.

**UPLOAD ADDITIONAL DOCUMENTS**

Document Type	Document Name	Data User	Description	Uploaded	Actions
SIGNATURE ADDENDUM	Testing_0.docx	MAGGIE ALSTON		11/17/2025	<a href="#">Download</a>   <a href="#">Update</a>
LDS WORKSHEET	UPLOAD REQUIRED →				<a href="#">Upload</a>
ATTACHMENT A RESEARCH PROTOCOL	UPLOAD REQUIRED →				<a href="#">Upload</a>

Displaying 1 - 3 of 3

Save & Quit | Previous | **Next**

1. Click Upload link to upload the required documents.

**Note:** If **Next** is clicked without uploading any or all of the required documents, a Validation Error message is displayed.

Figure 33: Required Documents

**New / Re-Use DUA** DUA Number: LDSS-2025-72190

**Upload Documents**

Please add the following documents:

- Attachment A Research Protocol
- LDS Worksheet

**UPLOAD ADDITIONAL DOCUMENTS**

Document Type	Document Name	Data User	Description	Uploaded	Actions
SIGNATURE ADDENDUM	Testing_0.docx	MAGGIE ALSTON		11/17/2025	<a href="#">Download</a>   <a href="#">Update</a>
LDS WORKSHEET	UPLOAD REQUIRED →				<a href="#">Upload</a>
ATTACHMENT A RESEARCH PROTOCOL	UPLOAD REQUIRED →				<a href="#">Upload</a>

Displaying 1 - 3 of 3

Buttons: [Save & Quit](#) [Previous](#) [Next](#)

- Click the **UPLOAD ADDITIONAL DOCUMENTS** button to upload any additional documents.

Figure 34: Upload Documents Pop-Up

**Upload Additional Documents**

**Upload Documents**

**Document Type\***

Select

**Description**

**Select File(s)\***

Drag files here or [choose from folder](#)

[Add](#) [Cancel](#)

- Select **Document Type** from the dropdown menu.
- Enter a **Description** (optional).
- Click the **choose from folder** link to choose your file.
- Click the **Add** button once the file has been selected.

**Notes:**

- Max file size is 100 megabytes.
- Not all file types can be uploaded. The EPPE will display a message when attempting to upload non-allowable file types.
- For easy recognition, please name files appropriately based on their contents
- Uploaded files can be deleted from this page prior to DUA submission.
- An upload date and time stamp will be displayed on the DUA Review screen for all uploaded files.

**Figure 35: Review the DUA**

**New / Re-Use DUA**

- 1. DUA Setup
- 2. Main Information
- 3. Collaborating Organization(s)
- 4. Data Management Plan(s)
- 5. Data User(s)
- 6. Re-use Data File Selection(s)
- 7. New Data File Selection(s)
- 8. Upload Documents →
- 9. Reviews

**Upload Documents**
DUA Number: LDSS-2025-70823

Testing.xlsx was added to LDSS-2025-70823

UPLOAD ADDITIONAL DOCUMENTS

Document Type	Document Name	Data User	Description	Uploaded	Actions
ADDITIONAL DOCUMENTS	Testing.xlsx			11/20/2025	<a href="#">Download</a>   <a href="#">Update</a>   <a href="#">Remove</a>
SIGNATURE ADDENDUM	Testing.docx	Jamie Lannister		11/20/2025	<a href="#">Download</a>   <a href="#">Update</a>
LDS WORKSHEET	Testing.docx			11/20/2025	<a href="#">Download</a>   <a href="#">Update</a>
ATTACHMENT A RESEARCH PROTOCOL	Testing.docx			11/20/2025	<a href="#">Download</a>   <a href="#">Update</a>

Displaying 1 - 4 of 4
25

Save & Quit

Previous

Next

7. Click the **Next** button when the Documents are added.

## 2.11 Review and Submit New/Re-Use LDS DUA

The following information is available for review in the DUA:

- DUA Life Cycle (click the plus icon [+] for details)
- Main Information
- Contacts and Proxies
- Collaborating Organization(s)
- Data Management Plans
- Data User(s)
- Data File Descriptions for New and Re-use Data files (Click the plus icon [+] for details)
- Documents

Figure 36: Review the DUA

**New / Re-Use DUA**

DUA SEARCH:   [Advanced Search](#)

DUA Number: LDSS-2025-72190

LDSS-2025-72190 has been saved.

**DUA Life Cycle** +

**Main Information** -

DUA Number: LDSS-2025-72190  
 DUA Customer Type: Limited Data Set  
 DUA Category: 51 - LIMITED DATASETS (LDS)  
 DUA Request Type: CREATE DUA  
 DUA Status: In Progress  
 Requested Date:  
 Requester: Tester COR  
 Requester's Email: [testercor07new@gmail.com](mailto:testercor07new@gmail.com)  
 Requester's Phone Number: (609) 665-2032

Save & Quit Previous **Submit**

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

Save & Quit Previous **Submit**

1. Click **Submit**.

Figure 37: Add Comments or Special Instructions

**Submit LDSS-2023-70111 for Review**

Comments Terms & Conditions

**Add Comment**

A comment is optional.

Content limited to 2000 characters, remaining: 2000

**Special Instructions**

Special instructions are optional.

**Next** Cancel

1. Add a Comment if applicable.
2. Add Special Instructions if applicable.
3. Click **Next**.

Figure 38: Terms and Conditions

**Submit LDSS-2023-70111 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

☐ I agree to the terms and conditions above.

Previous Submit Cancel

4. Select the **I agree to the terms and conditions** checkbox.
5. Click **Submit**.

Submission confirmation message is displayed on the DUA view screen, "*DUA request <DUA number> has been submitted for review. You will receive a follow-up email notification. To view the DUA, navigate to "MY DUA(s)."*

Figure 39: DUA Submission Confirmation

✓ DUA request LDSS-2023-70111 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-2023-70111**

Collapsed View | Expanded View

DUA Life Cycle	
Main Information	
DUA Number: LDSS-2023-70111	Privacy Act & HIPAA Authorization Code
DUA Category: 51 - LIMITED DATASETS (LDS)	Privacy Act Authorization Code: PA03-RES - RESEARCH RU
DUA Request Type: CREATE DUA	HIPAA Authorization Code: Limited Data Set
DUA Status: Submitted-Waiting for Limited Data Set DUA Management Team Approval	

#### Notes:

- Once the DUA is submitted, it will be routed to the CMS LDS DUA Management Team (DMT) for certification.
- Once the DUA is certified by the LDS DMT, it will be routed to the Payment Coordinator for [payment confirmation](#).
- Once payment is confirmed, the DUA will be approved and data extraction can begin.

### 3 Acronyms and Glossary

The following are acronyms used within the EPPE system.

**Table 2: Acronyms**

Acronym	Definition
<b>CMS</b>	Centers for Medicare and Medicaid Services
<b>COR</b>	CMS Contact (COR)
<b>DMT</b>	DUA Management Team
<b>DUA</b>	Data Use Agreement
<b>EPPE</b>	Enterprise Privacy Policy Engine
<b>EUA</b>	Enterprise User Administration
<b>IDM</b>	Identity Management
<b>LDS</b>	Limited Data Set
<b>MFA</b>	Multi-Factor Authentication
<b>PDF</b>	Portable Document Format

The following terms are defined for EPPE users in the Glossary.

**Table 3: Glossary**

Term	Definition
<b>Attachment A Research Protocol</b>	Required for all New LDS DUAs.
<b>Data Custodian</b>	Data Custodian will have actual possession of the CMS Data Files and who will be responsible for the observance of all conditions of use, including the establishment and maintenance of security arrangements to prevent unauthorized use.
<b>Data Recipient</b>	Data Recipients will have actual possession of the CMS Data Files
<b>Direct Access</b>	Direct Access Users have been granted electronic access to CMS Data Files via CMS' Data Dissemination Systems
<b>LDS Worksheet</b>	The LDS Worksheet is required when New data files are being requested.
<b>Signature Addendum</b>	Required when adding Data Users to an LDS DUA.



## 4 EPPE Help Desk Information

EPPE Help Desk Contact Information

Hours of Operation: Monday – Friday 9:00 AM - 6:00 PM ET

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.