Centers for Medicare & Medicaid Services

Enterprise Privacy Policy Engine Cloud (EPPE)

Limited Data Set (LDS) Approval Workflow Training Module- Update/Amend Re-Use Data Files

Version 2.0

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1.   Overview

This Training Guide will cover the following:

- How to update/amend Re-Use Data Files for a LDS DUA.
- How to update/amend the Data File Extraction.
- How to update/amend the Data Users.
- How to update/amend the Shipping Information.
- How to know the Re-Use Data File Attributes are updated successfully.

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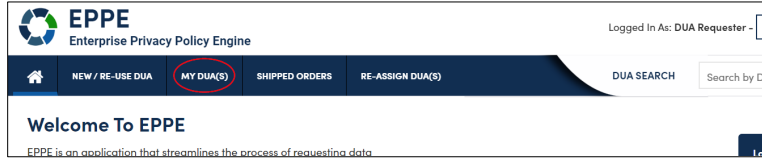
  The question mark icon, when selected, will display field specific help.

2.   Update/Re-Use Data Files
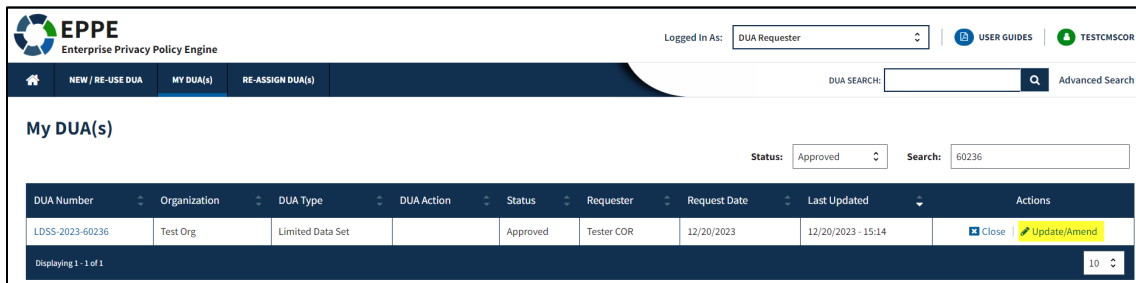
Log in to the EPPE application.

Figure 1: Welcome Screen

1. Select **MY DUA(S)** to display a list of approved DUAs that can be updated.

A list of Approved DUAs is displayed.
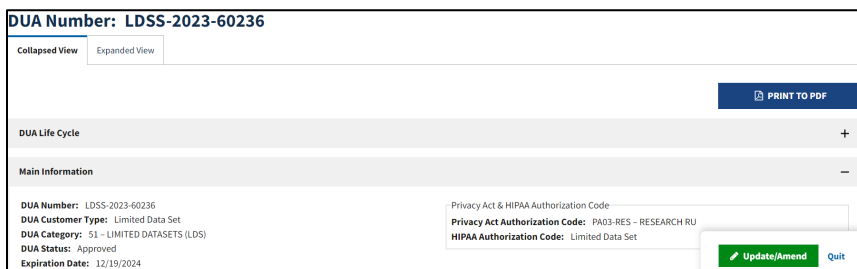
Figure 2: Search for Approved DUAs

2. Click **Update / Amend** action to display a list of Approved DUAs to be updated.

Notes:
- If your organization has at least one (1) Expired DUA, a message (when you select the Update button) lists the expired DUAs and instructions that you cannot create or update any DUAs until either extending or closing all of the expired DUAs.
- If you are an existing Requester or Requester Proxy, any Approved Contractor type DUAs on which you are the Requester or Requester Proxy will also display in the list.
- If there are multiple pages of Approved DUAs, the previous and next (<, >) and page number buttons become active to scroll through the listing.

The **My DUA** screen is displayed.

Figure 3: My DUA Screen

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

Figure 4: Edit DUA

4. Click the **Edit** button.

Note: Once Edit is clicked, user is taken back to the last saved page.

Figure 5: Select Re-Use Data Files Selection(s) Section

5. Click the **Re-Use Data File Selection(s)** section.

Figure 6: Update DUA Request

6. Click the **RE-USE DATA FILES** button to choose data files for re-use.

The Select Data Files page is displayed with available re-use data files from the Primary or Collaborating Organization(s). Files from active LDS DUAs as well as Researcher DUAs with "Limited Data Set" Privacy Level will also be displayed.

Figure 7: Select Data File Screen Showing Available Re-Use Data Files
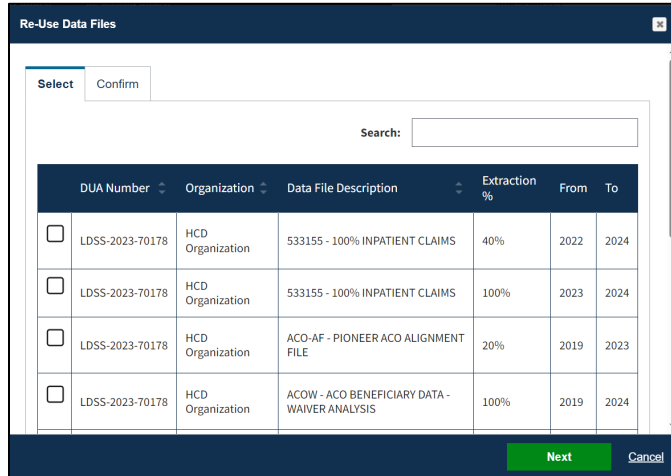
7. Select the file(s) for re-use.
8. Click the **Next** button.

Notes:
- To narrow the list, use Search to enter the file name or DUA number to re-use.
- Before moving to another page to select files, make sure you click the ADD SELECTIONS TO DUA button to place the files on the table.
- You can re-use from multiple entries on the list to get the complete set of years wanted.

Figure 8: Update DUA Request: Confirm Re-Use Data Files
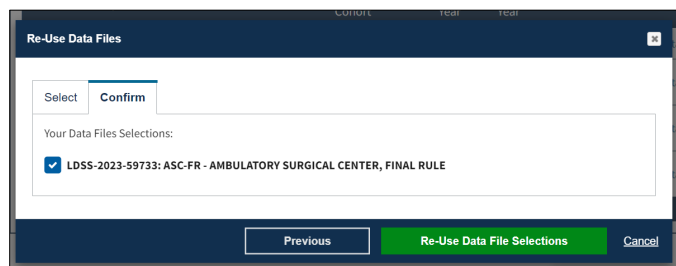
9. Click the **Re-User Data File Selections** button to add to the DUA.
10. Click **Previous** to go back to the Select Data Files table.
11. Click **Cancel** to revert all changes.

The selected Re-Use data files are displayed in the table. The file status is "INCOMPLETE."

Figure 9: Update DUA Request: Incomplete Re-Use Data Files

12. Click the **Edit** action to complete the required file attributes.

Notes:
- Use the Remove action to remove file(s) from to the table. Remove does not delete the file from the system; it only removes the file from the update table and to the file list.
- If after adding Re-Use data files to the table you decide not to re-use them on this DUA, remove the files from the table and select the No radio button at the top of the Re-use Data File(s) Selection screen to continue processing the DUA with no Re-Use data files.
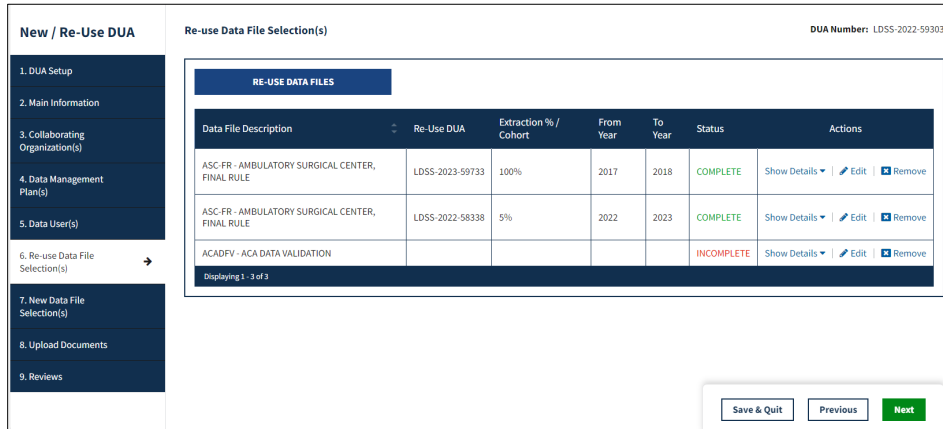
The **Data File Information** pop-up is displayed with the **Data File Extraction** tab in focus.

2.1   Data File Information: Data File Extraction Tab

After selecting re-use data files which are incomplete, additional information is needed.

Figure 10: Data File Information: Data File Extraction Tab
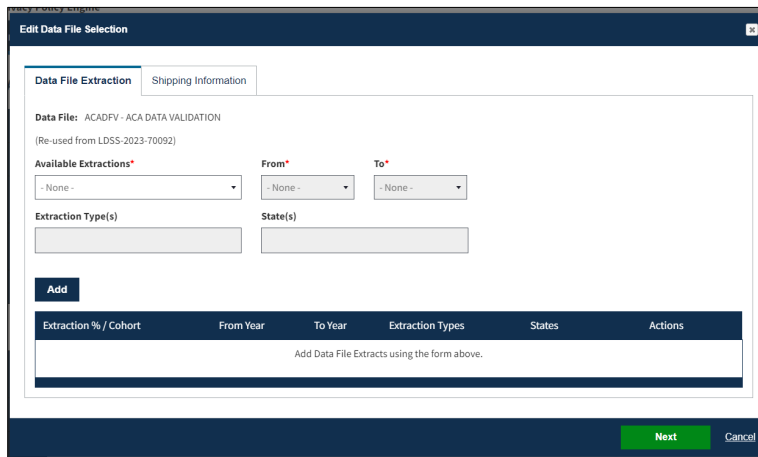
1. Select the **Available Extractions**. The dropdown displays the year range(s) that were listed on the original file and are available for re-use.
2. Select the **From** and **To** Year.
3. Click **Add**.

Notes:
- Available States will be those selected on the original DUA. If States were not selected on the original DUA, this field will be disabled.
- Some future file years in the year range may not be available yet.

The selected data file extraction attributes display in the table.

Figure 11: Data File Information: Data File Extraction: Attributes

4. Click **Next**.

2.2   Data File Information: Shipping Information Tab

After viewing the Data Users tab, the Shipping Information tab is displayed. Shipping information from the original DUA is displayed as view-only in the table.

Figure 12: Data File Information: Shipping Information Tab

1. Select the **Data Dissemination System.**
2. Select the **Primary Recipient.**
3. Select the **Data Shipping Location.**
4. Carrier is optional.
5. Click **Add.**
6. Click **Submit**.

Note: The Re-Use data files will not be re-shipped.

Figure 13: Data File Information: Direct Access Information Tab

7. Select the **Direct Access** type.
8. Select **Data Disseminator.**
9. Click **Submit**.

2.3   Edit DUA: Re-Use Data File Attributes Completed

The Status of the first re-use data file is "COMPLETE." If multiple files were selected for re-use as in this example, each file's attributes must be completed.

Figure 14: Update File(s) to Complete Status

1. Click the **Edit** action for each file to update the data file extraction information.
2. Click **Save & Quit** when complete.

Notes:
- The display of the files in this list have been expanded to show the file details.
- If there are re-use data files you are unable to select, a message will be displayed "If the files you would like to re-use are not in the re-use data files listed below, add them as new files. Please list the file names in the comment section along with the DUA number(s) from which the files would be re-used."

2.4   Review and Submit Updated LDS DUA

This Review screen displays the following sections of the DUA:

- Review: DUA Life Cycle

- Review: Main Information
- Review: Contacts and Proxies
- Review: Data Management Plans
- Review: Data User(s)
- Review: Data File Descriptions
- Review: Documents

Figure 15: Update DUA Request

1. Click **Submit.**

Figure 16: Submit: Comment and Special Instructions

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

The Terms & Conditions will be displayed.

2.5   Accept Terms and Conditions and Submit the DUA

The Terms and Conditions agreement screen is displayed.

Figure 17: Accept Terms and Conditions and Submit the DUA

1. Click the **I agree *to the terms and conditions above*** checkbox.
2. Click **Submit**.

Submission confirmation message, "*Your DUA request <DUA number> seen below has been submitted for approval. You will receive a follow-up email notification*." is displayed on the DUA Request Status screen.

Figure 18: DUA Submission Confirmation

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 re-submit 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 and Glossary

The following are acronyms used within the EPPE system.

Table 1: Acronyms

Acronym	Definition
CMS	Centers for Medicare and Medicaid Services
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

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

Table 2: Glossary

Term	Definition
Signature Addendum	Required when adding Data Users to an LDS DUA, other than the requester, through New/Re-Use and/or Update/Amend.

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.