Centers for Medicare & Medicaid Services

Enterprise Privacy Policy Engine Cloud (EPPE)

Limited Data Set (LDS) Approval Workflow Training Module – Update/Amend New Data Files

Version 2.1

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1.   Overview

This Training Guide will cover the following:

- •   How to Update/Amend an LDS DUA
- •   How to Search for an Approved LDS DUA
- •   How to Update the Data File Extraction Information
- •   How to Update the Data Users
- •   How to Update the Delivery Method Information
- •   How to Complete the Data File Attributes
- •   How to Review and Submit an Updated LDS DUA
- •   How to Upload Documentation

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/

1.1   Icons Used Throughout the EPPE System

* A red asterisk denotes that a field is required to be entered.
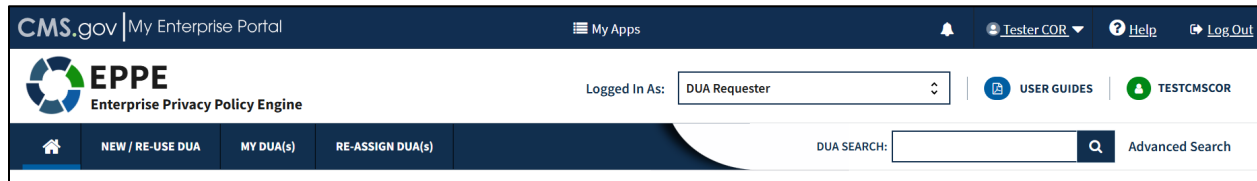
(?) The question mark icon, when selected, will display field specific help.

2.   Update/Amend a DUA
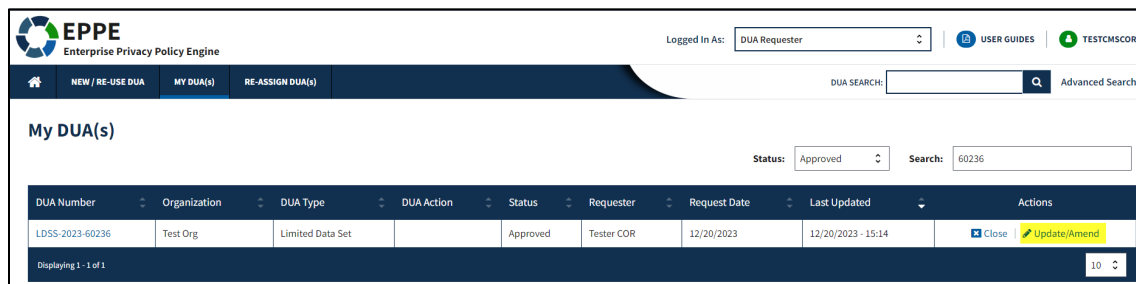
Log in to the EPPE application.

Figure 1: EPPE Welcome Screen

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

A list of Approved DUAs is displayed.

Figure 2: List of DUAs Eligible to Update

2. Click **Update/Amend** or use the **Search** feature to locate a DUA to update.

Notes:
*   If your organization has at least one (1) Expired DUA, a message will display (when you click Update/Amend DUA) with a list of expired DUAs and instructions that you cannot create, update/amend, or reuse a DUA until either extending or closing all of the expired DUAs.
*   If you are an existing Requester or Requester Proxy, any Approved Contractor DUAs on which you are the Requester or Requester Proxy will also be displayed in the list.
*   If there are multiple pages of Approved DUAs, the **Previous** and **Next** buttons become enabled to scroll through the listing.

The **MY DUA** screen is displayed.

Figure 3: DUA Screen

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

Figure 4: Edit DUA

4. Click the **Edit** button.

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

The Update DUA Request screen has the following editable sections:
- Main Information
- Collaborating Organization(s)
- Data Management Plan(s)
- Data users
- Re-use Data File Selection(s)
- New Data File Selection(s)
- Upload Documents

Figure 5: Select New Data Files Selection(s) Section

5. Click the **New Data Files Selection(s)** section.

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

Figure 6: New Data Files Selection(s): Update New Data File

6. Click the **Edit** link to update the specific Data file to add additional years.

Note: Click **ADD NEW DATA FILES** if you want to add more Data Files to the Data File table.

2.1   Data File Information: Data File Extraction

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

Figure 7: Data File Information: Data File Extraction Tab

7. Select **Data File Extraction/Cohort** field
8. Select the **From** year and the **To** year.
9. Choose any **Extraction Type(s)**.
10. Choose **State(s)** if applicable.
11. 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 below.

Figure 8: Data File Information: Extraction Attributes Selected

Extraction % / Cohort	From Year	To Year	Extraction Types	States	Actions
100%	2010	2024	Final	MD	☒ Remove
22	2025	2025	Q1	AK	☒ Remove

12. Click **Next**.

2.2   Data File Information: Delivery Method

The **Delivery Method** tab on the Data file information pop-up displays. Select a different Delivery Method and/or Data Dissemination System, if applicable.

Figure 9: Data File Information: Shipping Information Tab

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

2.3   Completing Data File Attributes

The file's status is changed to "**UPDATED**."

Figure 10: Updated Status Data File

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

Note: The Apply to Others link will only appear if the DUA has multiple files. It displays once data file attributes for the first data file selection have been completed.

When you click the **Apply to Others** link, the **Apply Data Selection Attributes** are displayed.

Figure 11: New Data File(s): Apply to Others Pop-Up: Select Extracts to Apply

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

Note: 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 information will be applied to the selected files.

Figure 12: New Data File(s): Apply to Others Pop-Up: Select Apply Delivery Details

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

Figure 13: 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 with status for New data files is "COMPLETE."

Figure 14: New Data File(s): Complete Status

8. Click **Next**.

Note:

*   Click the **Show Details** action to see details about that file.
*   Use the **Remove** action to remove individual data files from the table, if applicable.

2.4   Upload Documents

The Upload Documents screen is displayed. Predefined document type is displayed in the table.

Figure 15: Upload Documents section

1. Click **Upload Additional Documents** to upload document(s).

Figure 16: Upload Additional Documents Pop-up

2. Select **Document Type** from the dropdown menu.
3. Enter a **Description** (Optional).
4. Click the **choose from folder** link to choose your file.
5. 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.

Figure 17: Upload Documents Table

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

2.5   Review and Submit Updated LDS DUA

The 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 18: Review the DUA

1. Review by clicking the plus sign (+) icon to expand each section.
2. Click **Submit.**

The Comments pop-up is displayed.

Figure 19: Submit: Add Comments or Special Instructions

3. Enter any applicable Comments.
4. Enter any applicable Special Instructions.
5. Click **Next**.

The Terms & Conditions screen is displayed.

Figure 20: Accept Terms and Conditions and Submit the DUA

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

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

Figure 21: DUA Status: Submitted Message

✔ DUA request LDSS-2022-59303 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-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

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

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 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
Attachment A Research Protocol	Required for all New LDS DUAs.
LDS Worksheet	The LDS Worksheet is required when New data files are being requested.
Signature Addendum	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 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.