



**Centers for Medicare & Medicaid Services**

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

### **Limited Data Set (LDS) Approval Workflow Training Module- DUA Re-Assignment**

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**Version 2.0**

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# 1 Overview

This Training Guide will cover the following:

- How to request for an initial DUA Re-Assignment
- How to perform a Change Contact Request
- How to perform an Ad Hoc Request
- How to request for a new user role

## 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 DUA Re-Assignment

DUA Re-Assignment is a process that moves existing DUAs to their respective DUA Requester. This process can be done in one of three ways.

Table 1: DUA Re-Assignment Types

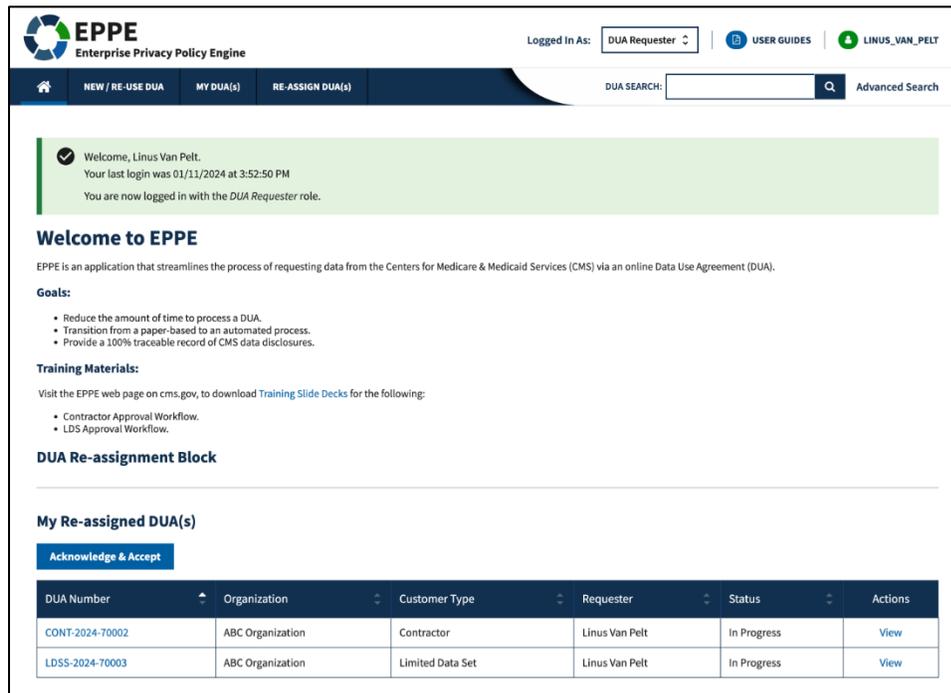
Type	Definition
<b>Initial Re-Assignment</b>	Upon the initial login of a new DUA Requester any DUA entered previously by data entry will transfer over to the Requester’s ownership.
<b>Change Contact</b>	DUA Requesters can request to take ownership or give ownership of a DUA to another DUA Requester within their organization. These DUAs could have been created by CMS or another DUA Requester. Change Contact Requests are approved by the LDS DMT.  <b>Note:</b> This process is different from the Contact Change process that involves updating, adding, or removing Custodians or Requesters of a DUA.
<b>Ad Hoc Request</b>	DUA Requesters can request to take ownership of a DUA from another organization of which they are not currently assigned to as a Requester. These DUAs could have been created by CMS or another DUA Requester. Ad Hoc Requests are approved by the EPPE Administrators.

### 2.1 Initial Re-Assignment

When a Requester logs into the EPPE system for the first time they will need to take ownership of re-assigned DUAs.

1. Log into EPPE and scroll down to review the My Re-Assigned DUA(s) table.

Figure 1: DUA Re-Assignment Block – My Re-Assigned DUA(s)



2. Click the **Acknowledge & Accept** button.

The DUA Re-Assignment pop-up is displayed.

Figure 2: DUA Re-Assignments Pop-up

3. Click the **I agree** checkbox.
4. Click **Accept**.

The message, “<Number> DUA(s) were successfully re-assigned to you.” is displayed.

Figure 3: DUA Re-Assignment Block – My Re-Assigned DUA(s) Success Message

#### Notes:

- You will not be able to create, update, extend, or close any DUAs until taking ownership of re-assigned DUAs displayed in the DUA Initial Re-Assignment Table.
- If you are an existing Requester, any Contractor type DUAs still in the Data Entry Workflow will also be re-assigned.

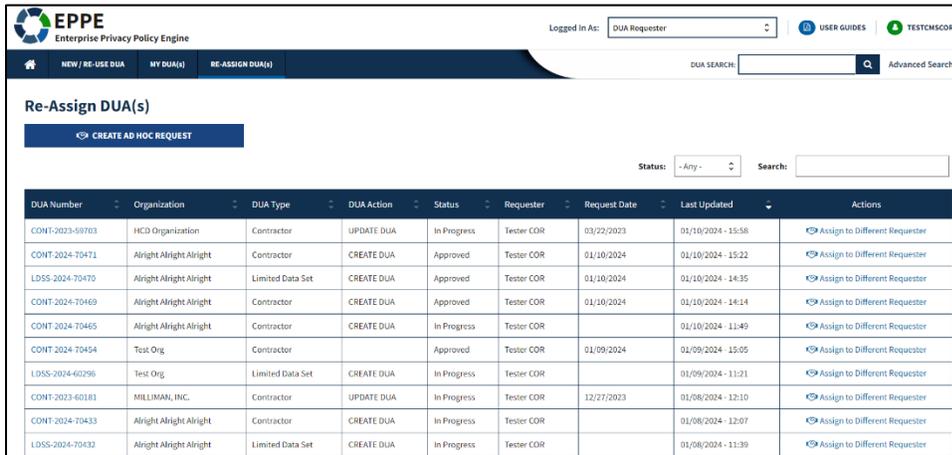
## 2.2 Re-Assign DUA(s): Create Ad Hoc Request

The Requester can request DUAs from an outside organization through the Ad Hoc Request process.

Figure 4: EPPE Welcome Screen 1

1. Click **Re-Assign DUA(s)** to open the Re-Assignment DUA Table.

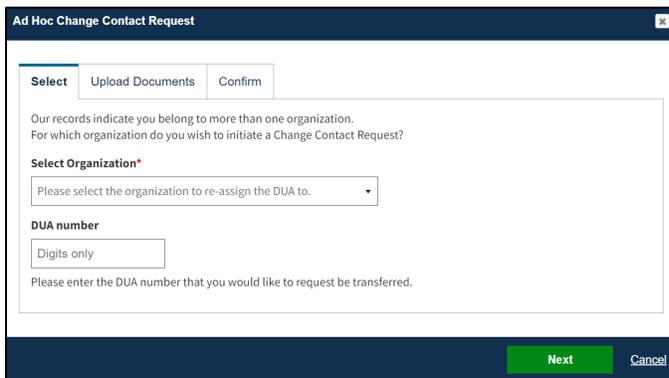
Figure 5: Re-Assign DUA



2. Click **CREATE AD HOC REQUEST** button.

The Ad Hoc Request pop-up will be displayed.

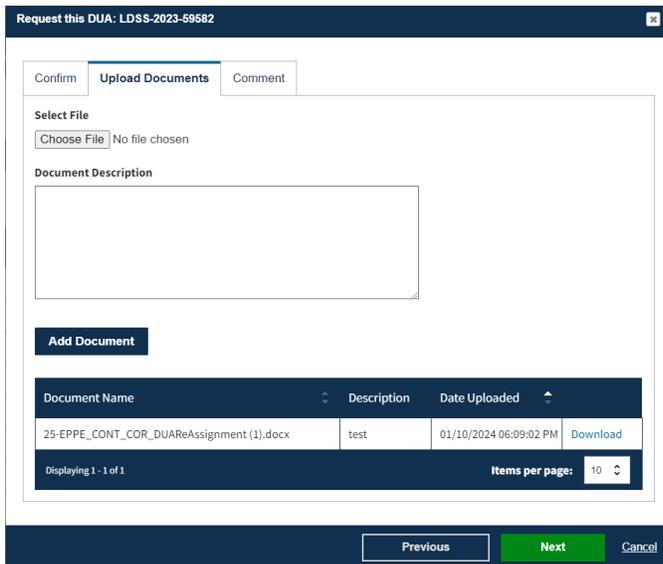
Figure 6: Ad Hoc Request Select Tab



3. Select the **Organization** from the **Select Organization** drop-down menu.
4. Enter the **DUA Number**.
5. Click **Next**.

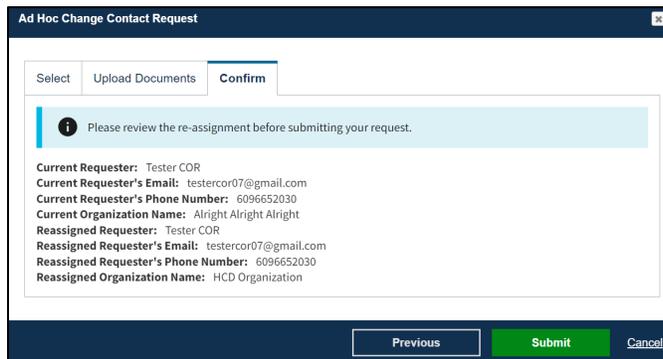
**Note:** Select your organization if you are a Requester for multiple organizations.

**Figure 7: Ad Hoc Request: Upload Documents**



6. Click the **Choose File** button to select a document to upload.
7. Add a **Document Description** in the open text file.
8. Click the **Add Document** button to ensure its added to the request.
9. Click **Next**.

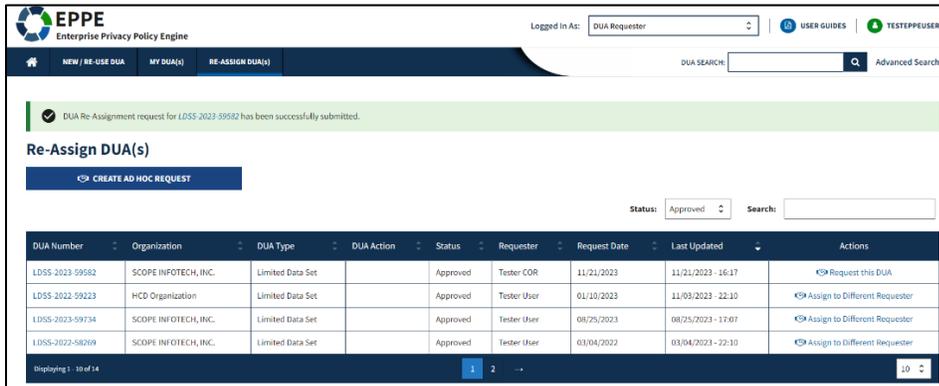
**Figure 8: Ad Hoc Request: Confirm Request**



10. Click the **Submit** button.

The message, "DUA Re-Assignment request for <DUA number> has been successfully submitted," is displayed.

Figure 9: Ad Hoc Change Contact Request – Success Message

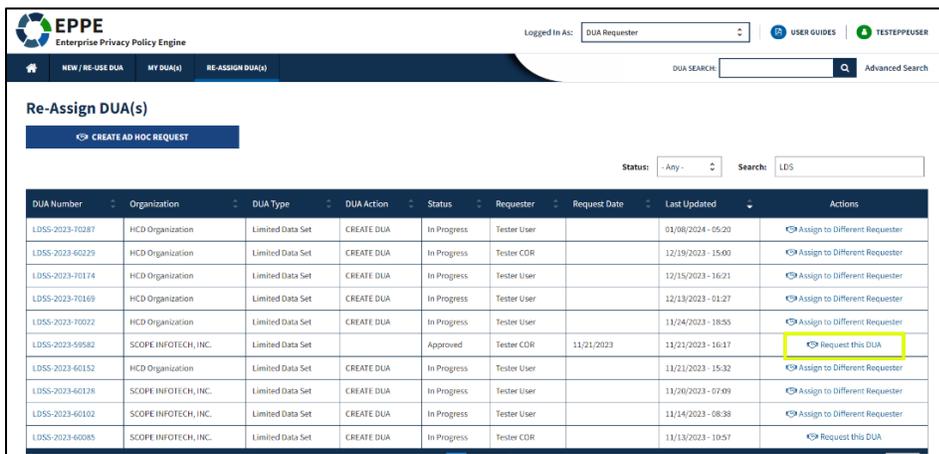


## 2.3 Re-Assign DUA(s): Request This DUA

You can request DUAs within the same organization through the Change Contact process. See figure 4 on how to the Re-Assign DUA(s) screen.

**Note:** This process is different than the “Contact Change” process that involves updating, adding, and removing Custodians as well as Requesters on a DUA.

Figure 10: Re-Assign DUA(s) Request This DUA



1. Click the **Request this DUA** action.

Figure 11: Request this DUA Confirm Tab

2. Click **Next**.

The Upload Documents tab opens.

Figure 12: Request this DUA Upload Documents Tab

Document Name	Description	Date Uploaded	
25-EPPE_CONT_COR_DUAReAssignment (1).docx	test	01/10/2024 06:09:02 PM	Download

3. Click the **Choose File** button to select a document to upload.
4. Add a **Document Description** in the open text file.
5. Click the **Add Document** button to ensure its added to the request.
6. Click **Next**.

The Comment tab opens.

Figure 13: Request this DUA Comment Tab

7. Add a comment as needed.
8. Click **Submit**

The message, “DUA Re-Assignment request for <DUA number> has been successfully submitted,” is displayed.

Figure 14: Re-Assign DUAs – Request this DUA Success Message

DUA Number	Organization	DUA Type	DUA Action	Status	Requester	Request Date	Last Updated	Actions
LDSS-2023-59582	SCOPE INFOTECH, INC.	Limited Data Set		Approved	Tester COR	11/21/2023	11/21/2023 - 16:17	Request this DUA
LDSS-2022-59223	HCD Organization	Limited Data Set		Approved	Tester User	01/10/2023	11/09/2023 - 22:10	Assign to Different Requester
LDSS-2023-59734	SCOPE INFOTECH, INC.	Limited Data Set		Approved	Tester User	08/25/2023	08/25/2023 - 17:07	Assign to Different Requester
LDSS-2022-58269	SCOPE INFOTECH, INC.	Limited Data Set		Approved	Tester User	03/04/2022	03/04/2023 - 22:10	Assign to Different Requester

## 2.4 Re-Assign DUA(s): Assign to Different Requester

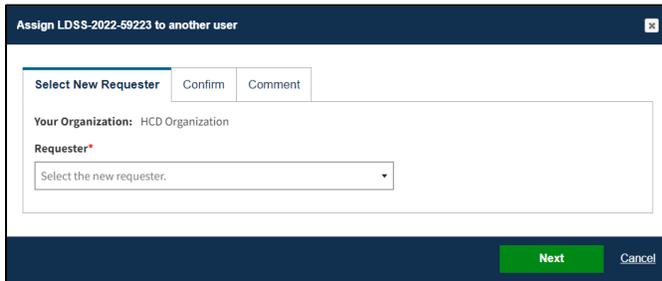
You re-assign DUAs within the same organization through the Change Contact process. See figure 4 on how to the Re-Assign DUA(s) screen.

Figure 15: Re-Assign DUA(s) – Assign to Different Requester

DUA Number	Organization	DUA Type	DUA Action	Status	Requester	Request Date	Last Updated	Actions
LDSS-2023-59582	SCOPE INFOTECH, INC.	Limited Data Set		Approved	Tester COR	11/21/2023	11/21/2023 - 16:17	Request this DUA Assign to Different Requester
LDSS-2022-59223	HCD Organization	Limited Data Set		Approved	Tester User	01/10/2023	11/09/2023 - 22:10	Assign to Different Requester
LDSS-2023-59734	SCOPE INFOTECH, INC.	Limited Data Set		Approved	Tester User	08/25/2023	08/25/2023 - 17:07	Assign to Different Requester
LDSS-2022-58269	SCOPE INFOTECH, INC.	Limited Data Set		Approved	Tester User	03/04/2022	03/04/2023 - 22:10	Assign to Different Requester

1. Click the **Assign to Different Requester** action.

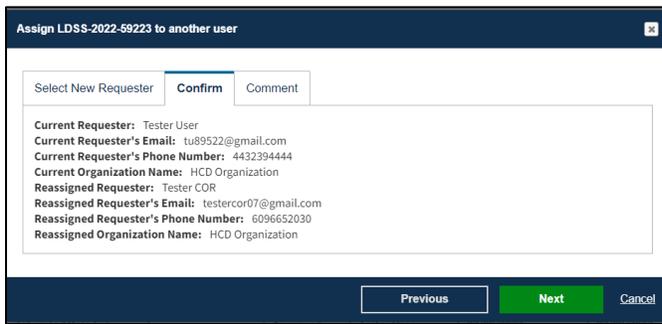
**Figure 16: Assign <DUA Number> to Another User Select New Requester Tab**



2. Choose a new requester from the dropdown.
3. Click **Next**.

The Confirm tab opens.

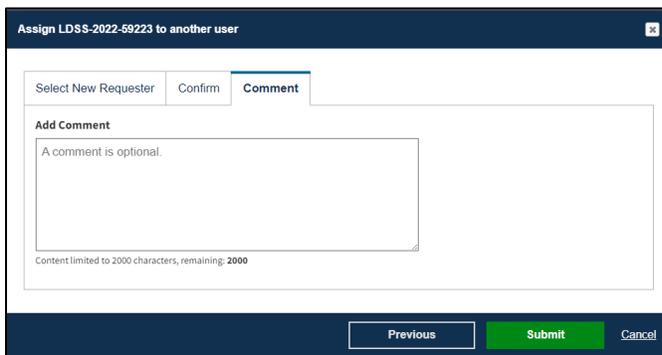
**Figure 17: Assign <DUA Number> to Another User Confirm Tab**



4. Click **Next**.

The Comment tab opens.

**Figure 18: Assign <DUA Number> to Another User Comment Tab**



5. Add a comment as needed.
6. Click **Submit**

The message, “DUA Re-Assignment request for <DUA number> has been successfully submitted,” is displayed.

Figure 19: Re-Assign DUAs Assign to Different Requester Success Message

The screenshot displays the EPPE (Enterprise Privacy Policy Engine) interface. At the top, the user is logged in as 'DUA Requester'. A navigation bar includes 'NEW / RE-USE DUA', 'MY DUA(s)', and 'RE-ASSIGN DUA(s)'. A success message states: 'DUA Re-Assignment request for LDSS-2022-59223 has been successfully submitted.' Below this, the 'Re-Assign DUA(s)' section features a 'CREATE AD HOC REQUEST' button and a search filter for 'Approved' status. A table lists existing DUA records with columns for DUA Number, Organization, DUA Type, DUA Action, Status, Requester, Request Date, Last Updated, and Actions. The table contains four rows of data, each with an 'Assign to Different Requester' action link.

DUA Number	Organization	DUA Type	DUA Action	Status	Requester	Request Date	Last Updated	Actions
LDSS-2023-59582	SCOPE INFOTECH, INC.	Limited Data Set		Approved	Tester CDR	11/21/2023	11/21/2023 - 16:17	<a href="#">Request this DUA</a>
LDSS-2022-59223	HCD Organization	Limited Data Set		Approved	Tester User	01/10/2023	11/03/2023 - 22:10	<a href="#">Assign to Different Requester</a>
LDSS-2023-59734	SCOPE INFOTECH, INC.	Limited Data Set		Approved	Tester User	08/25/2023	08/25/2023 - 17:07	<a href="#">Assign to Different Requester</a>
LDSS-2022-58269	SCOPE INFOTECH, INC.	Limited Data Set		Approved	Tester User	03/04/2022	03/04/2023 - 22:10	<a href="#">Assign to Different Requester</a>

### 3 Acronyms

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>IDM</b>	Identity Management
<b>MFA</b>	Multi-Factor Authentication
<b>PDF</b>	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](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.