



Centers for Medicare & Medicaid Services

Enterprise Privacy Policy Engine Cloud (EPPE)

Limited Data Set (LDS) Approval Workflow Training Module- Update/Amend Documents

Version 2.0

01/22/2024

Document Number: EPPE-223-LDS_DUAREq_UpdateDocs-v2.0

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1. Overview

This Training Guide will cover the following:

- How to Update Documentation on a LDS DUA
- How to differentiate between different document types
- How to Review and Submit the LDS DUA
- How to interpret the Status Progressions and Actions Display
- Refer to the Acronyms and Glossary of terms used within EPPE.
- Refer to EPPE Help Desk Information.

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. Upload Documents

Log in to the EPPE application.

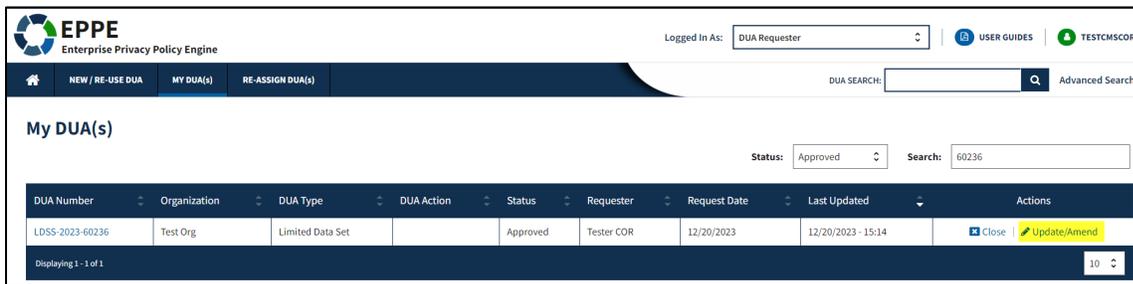
Figure 1: EPPE Welcome Screen



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) a list of 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 LDS 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 icons (<, >) and page number 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

The Update/Amend action was performed on LDSS-2022-59303

DUA Number: LDSS-2022-59303

Collapsed View | Expanded View | Approved Version

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
 DUA Status: In Progress
 Expiration Date: 01/05/2024
 Requested Date: 01/03/2024
 Requester: Tester COR

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

Latest Payment Information
 Invoice Amount: \$1,000.00
 Payment Date: 11/28/2022

Comment | Edit | Submit

4. Click the **Edit** button.

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

Figure 5: Select the Upload Documents Section

New / Re-Use DUA | Upload Documents | DUA Number: LDSS-2022-59303

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 ADDITIONAL DOCUMENT

| Document Type | Document Name | Data User | Description | Uploaded | Actions |
|--------------------------------|------------------------------------|-----------|-------------|------------|----------------------------|
| SIGNATURE ADDENDUM | Signature_Addendum_CMS-R-0235A.pdf | | | 11/18/2022 | Download Update |
| SIGNATURE ADDENDUM | Signature_Addendum_CMS-R-0235A.pdf | | | 11/18/2022 | Download Update |
| ATTACHMENT A RESEARCH PROTOCOL | DUA_RSCH-2022-58319.pdf | | | 11/18/2022 | Download Update Remove |
| DUA FORM/DUA UPDATE FORM | 3285_Screen_Shots.docx | | | 11/18/2022 | Download Update Remove |
| LDS FORM ATTACHMENT B | DUA_RSCH-2022-58319.pdf | | | 11/18/2022 | Download Update Remove |
| LDS WORKSHEET | EPPE_Sprint_9.10_TSR.docx | | | 11/18/2022 | Download Update Remove |
| LDS WORKSHEET | EPPE_Sprint_9.10_TSR-1.docx | | | 01/10/2023 | Download Update Remove |
| OTHER | COD - Closure_0.pdf | | | 12/02/2023 | Download Update Remove |
| SIGNATURE ADDENDUM | Addendum-3_0 (3).pdf | Test Test | | 01/04/2024 | Download Update |
| SIGNATURE ADDENDUM | Addendum-3_0 (3).pdf | Test Test | | 01/04/2024 | Download Update |
| SIGNATURE ADDENDUM | Addendum-3_0 (3).pdf | Test Test | | 01/04/2024 | Download Update |

Displaying 1 - 11 of 11

Save & Quit | Previous | Next

5. Click the **Upload Documents** section.

Figure 6: Upload Documents

New / Re-Use DUA | Upload Documents | DUA Number: LDSS-2022-59303

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 ADDITIONAL DOCUMENT

| Document Type | Document Name | Data User | Description | Uploaded | Actions |
|--------------------------------|------------------------------------|-----------|-------------|------------|----------------------------|
| SIGNATURE ADDENDUM | Signature_Addendum_CMS-R-0235A.pdf | | | 11/18/2022 | Download Update |
| SIGNATURE ADDENDUM | Signature_Addendum_CMS-R-0235A.pdf | | | 11/18/2022 | Download Update |
| ATTACHMENT A RESEARCH PROTOCOL | DUA_RSCH-2022-58319.pdf | | | 11/18/2022 | Download Update Remove |
| DUA FORM/DUA UPDATE FORM | 3285_Screen_Shots.docx | | | 11/18/2022 | Download Update Remove |
| LDS FORM ATTACHMENT B | DUA_RSCH-2022-58319.pdf | | | 11/18/2022 | Download Update Remove |
| LDS WORKSHEET | EPPE_Sprint_9.10_TSR.docx | | | 11/18/2022 | Download Update Remove |
| LDS WORKSHEET | EPPE_Sprint_9.10_TSR-1.docx | | | 01/10/2023 | Download Update Remove |
| OTHER | COD - Closure_0.pdf | | | 12/02/2023 | Download Update Remove |
| SIGNATURE ADDENDUM | Addendum-3_0 (3).pdf | Test Test | | 01/04/2024 | Download Update |
| SIGNATURE ADDENDUM | Addendum-3_0 (3).pdf | Test Test | | 01/04/2024 | Download Update |
| SIGNATURE ADDENDUM | Addendum-3_0 (3).pdf | Test Test | | 01/04/2024 | Download Update |

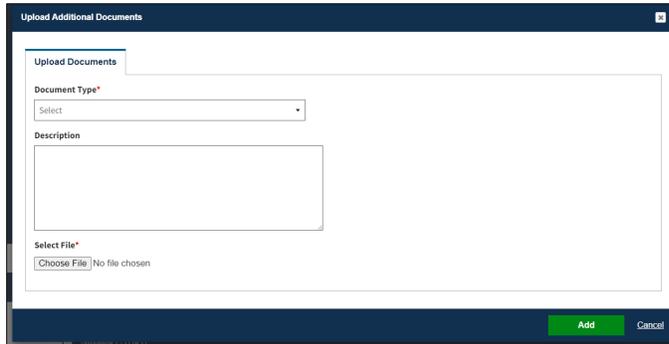
Displaying 1 - 11 of 11

Save & Quit | Previous | Next

6. Click the **UPLOAD ADDITIONAL DOCUMENT** button to upload the documents.

The Upload Documents window for the selected document type opens. In this example, LDS Worksheet was selected.

Figure 7: Upload Documents Pop-Up



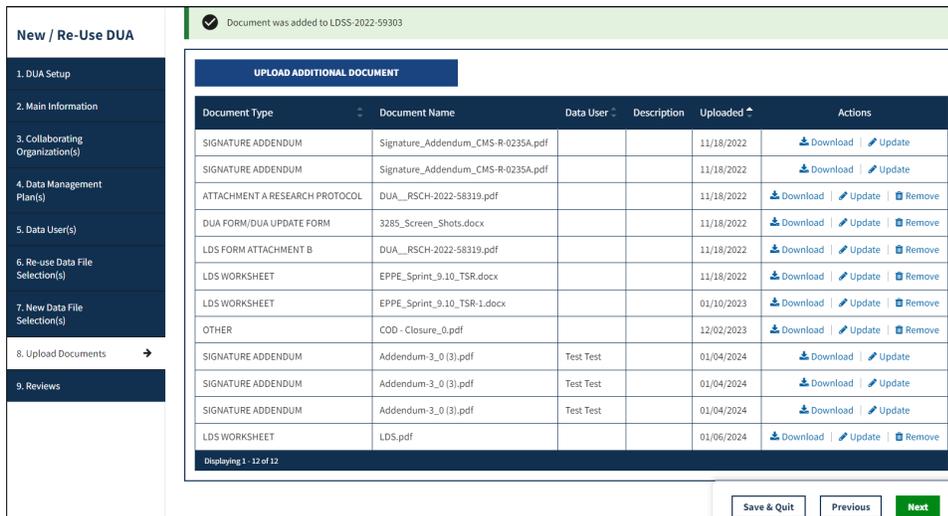
7. Choose the **Document Type** from the dropdown menu.
8. Enter a **Description**.
9. Click the **Select File** button to choose your file from your local computer.
10. Click the **Add** button.

Notes:

- Max file size is 100 megabytes and not all file types are allowed. EPPE will display a message when attempting to upload non- allowable file types.
- For easy recognition, please name files appropriately based on contents.
- EPPE cannot accept LDS Worksheets with macros. Be sure to save it as a standard Excel file prior to upload.

The Upload Documents screen is redisplayed.

Figure 8: Upload Documents: Redisplayed



11. Click **UPLOAD ADDITIONAL DOCUMENTS** to upload additional document types if applicable.
12. Click the **Save & Quit** button.

Notes:

- Files uploaded through Update/Amend can be deleted from this page prior to DUA submission. Documents uploaded on the Approved Version of the DUA can be downloaded but not deleted.
- An upload date and time stamp is displayed on the DUA Review screen for all files.

The notification, “Missing document: You must upload the <document type>!” is displayed when you click Next and there are missing documents.

2.1 Document Types

The following are the predefined LDS document types.

Table 1: Predefined LDS Document Types

| Document | Rule(s) |
|--|---|
| Attachment A Research Protocol | Required for all New DUAs. |
| LDS Worksheet/Re-Use Data Worksheet | <ul style="list-style-type: none"> The LDS Worksheet is required when New use files are being requested. The Re-Use Data Worksheet is required when Re-Use files are being requested. |
| Signature Addendum | Required when adding Custodians to an LDS DUA, other than the requester, through New/Re-Use and/or Update/Amend. |

The Standard Analytic File (SAF) Quarterly tab of the LDS Worksheet is shown in Figure 9.

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 9: LDS Worksheet Example

| Quarterly Request Form for LDS SAF (Standard Analytic File) | | | | | | | | | | |
|---|--|------|------|-------------------|-----|-----|-----|-------|-------------------|------|
| Name of File | Year | 5% | 100% | Select Quarter(s) | | | | COST | Price per Quarter | |
| | | | | 1 | 2 | 3 | 4 | | 5% | 100% |
| Master Beneficiary Summary File Quarterly EPPE Code: MBSFL | 2019 | 5% | 1 ▶ | 2 ▶ | 3 ▶ | 4 ▶ | \$0 | \$150 | \$625 | |
| | | 100% | 1 ▶ | 2 ▶ | 3 ▶ | 4 ▶ | \$0 | | | |
| | 2020 | 5% | 1 ▶ | 2 ▶ | 3 ▶ | 4 ▶ | \$0 | | | |
| | | 100% | 1 ▶ | 2 ▶ | 3 ▶ | 4 ▶ | \$0 | | | |
| | 2021 | 5% | 1 ▶ | 2 ▶ | 3 ▶ | 4 ▶ | \$0 | | | |
| | | 100% | 1 ▶ | 2 ▶ | 3 ▶ | 4 ▶ | \$0 | | | |
| | 2022 | 5% | 1 ▶ | 2 ▶ | 3 ▶ | 4 ▶ | \$0 | | | |
| | | 100% | 1 ▶ | 2 ▶ | 3 ▶ | 4 ▶ | \$0 | | | |
| | 2023 | 5% | 1 ▶ | 2 ▶ | 3 ▶ | N/A | N/A | \$0 | | |
| | | 100% | 1 ▶ | 2 ▶ | 3 ▶ | N/A | N/A | \$0 | | |
| | Carrier File Quarterly EPPE Code: SAF_SF (only available in 5%) | 2019 | 5% | 1 ▶ | 2 ▶ | 3 ▶ | 4 ▶ | \$0 | \$1,075 | N/A |
| | | | 100% | 1 ▶ | 2 ▶ | N/A | N/A | N/A | | |
| 2020 | | 5% | 1 ▶ | 2 ▶ | 3 ▶ | 4 ▶ | \$0 | | | |
| | | 100% | 1 ▶ | 2 ▶ | N/A | N/A | N/A | | | |
| 2021 | | 5% | 1 ▶ | 2 ▶ | 3 ▶ | 4 ▶ | \$0 | | | |
| | | 100% | 1 ▶ | 2 ▶ | N/A | N/A | N/A | | | |

2.2 Review and Submit

Review the DUA.

Figure 10: Review the DUA

LDSS-2022-59303 has been saved.

DUA Number: LDSS-2022-59303

Collapsed View | Expanded View | Approved Version

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
 DUA Status: In Progress
 Expiration Date: 06/22/2024
 Requested Date: 01/03/2024
 Requester: Tester CDR
 Requester's Email: testercdr07@gmail.com
 Requester's Phone Number: (609) 665-2030
 Last Updated By: Tester CDR

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

Latest Payment Information:
 Invoice Amount: \$1,000.00
 Payment Date: 11/28/2022

Comment | Edit | Submit

1. Click the plus icon (+) to expand each section. You can review:
 - Review: DUA Life Cycle
 - Review: Main Information
 - Review: Contacts and Proxies
 - Review: Data Management Plans
 - Review: Data Users (s)
 - Review: Data File Descriptions
 - Review: Documents
2. Click the minus icon (-) to collapse each section.
3. Click **Submit**.

The Comments pop-up is displayed.

Figure 11: Submit: Comment

Submit LDSS-2022-59303 for Review

Comments | Terms & Conditions

Add Comment

A comment is optional.

Content limited to 2000 characters, remaining: 2000

Special Instructions

Special instructions are optional.

Content limited to 2000 characters, remaining: 2000

Next | Cancel

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

Notes:

- If you were unable to select certain file(s) for re-use, please add a comment that includes the data file name(s) and the DUA(s) from which you are re-using them.
- Comments are required for all Update DUAs.

The Terms & Conditions screen is displayed.

Figure 12: Accept Terms and Conditions and Submit the DUA

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

7. Use the arrow and scroll bar to review the Terms & Conditions.
8. Click the ***I agree to the terms and conditions above*** checkbox.
9. Click **Submit**.

Submission confirmation message, "*Your request to edit <DUA number> is pending approval.*" is displayed on the DUA Request Status screen.

Figure 13: DUA Submission Confirmation

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:

- The DUA will be placed in the Requester's Submitted Queue.
- The LDS DMT will find the DUA in their Pending Action(s) queue.
- 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 2: 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 3: Glossary

| Term | Definition |
|--|---|
| Attachment A Research Protocol | Required for all New DUAs. |
| LDS Worksheet/Re-Use Data Worksheet | <ul style="list-style-type: none"> The LDS Worksheet is required when New use files are being requested. The Re-Use Data Worksheet is required when Re-Use files are being requested. |
| Signature Addendum | Required when adding Custodians 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.