



Centers for Medicare & Medicaid Services

Enterprise Privacy Policy Engine Cloud (EPPE)

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

Version 2.0

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1. Overview

This Training Guide will cover the following:

- How to Update/Amend Data User(s) listed on a LDS DUA
- How to Review and Submit a 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.

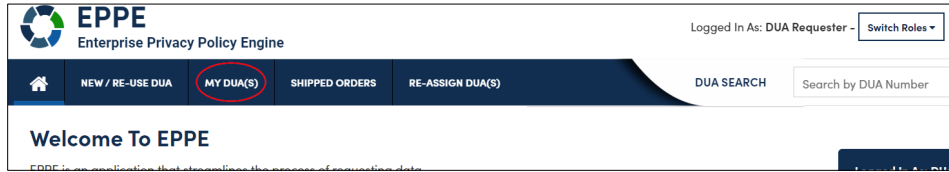


The question mark icon, when selected, will display field specific help.

2. Update/Amend LDS DUA

Log in to the EPPE application.

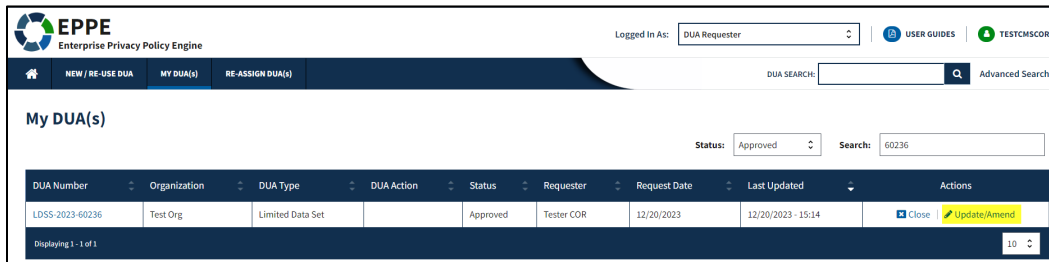
Figure 1: EPPE Welcome



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

A list of approved DUAs is displayed.

Figure 2: Approved DUA List



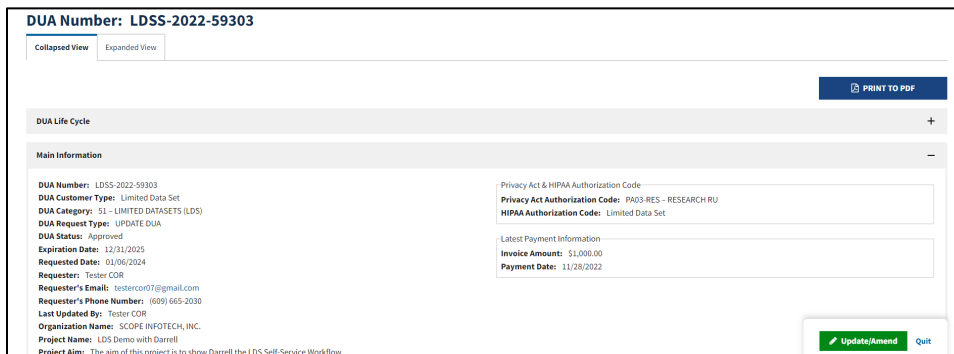
2. Click the **Update/Amend** action OR Search for the specific DUA to update.

Notes:

- If your organization has at least one (1) DUA in Expired status, a message (when you click Update/Amend DUA) shows a list of expired DUA(s) number(s) and instructions that you cannot create or update any DUAs until extending or closing all 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.
- Previous and next (<, >) and number buttons allow you to scroll through the listing.

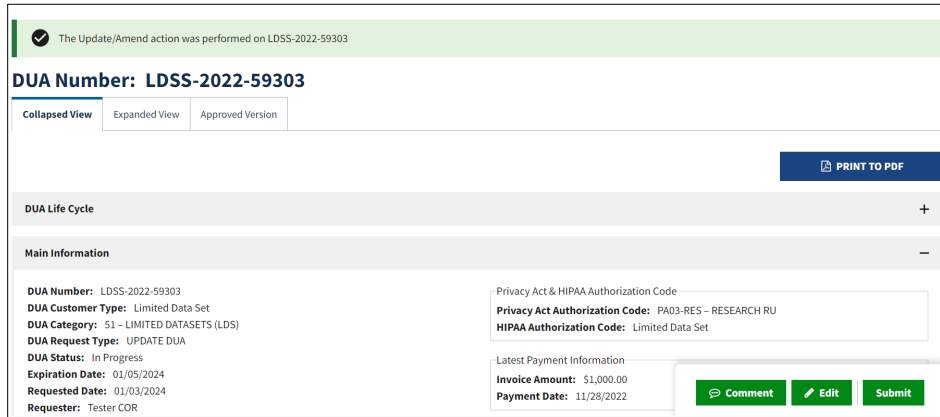
The My DUA screen is displayed.

Figure 3: My DUA



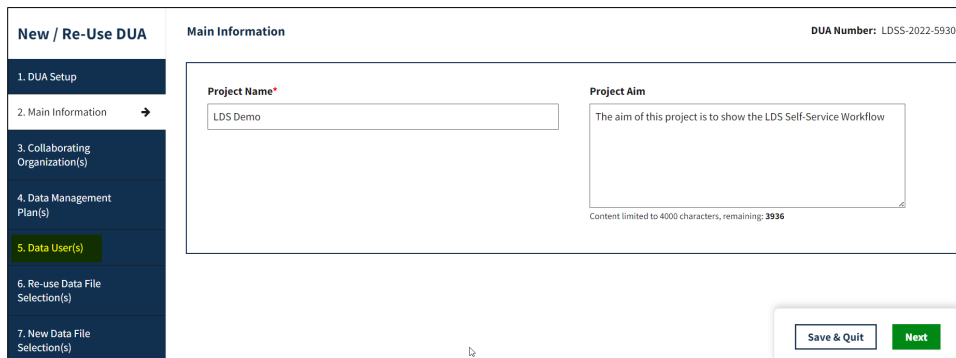
3. Click the **Update/Amend** button.

Figure 4: Edit DUA



4. Click the **Edit** button.

Figure 5: Select the Data User(s) Section

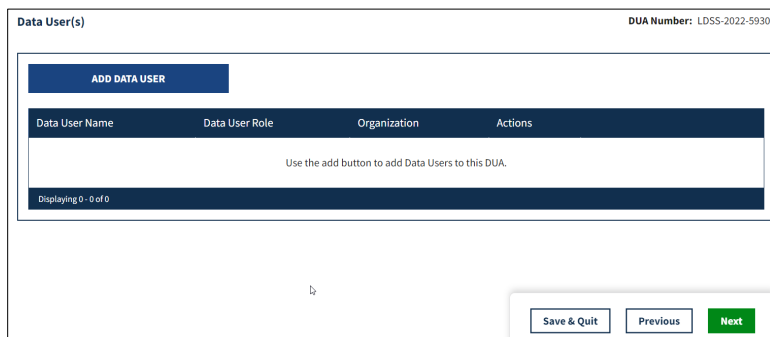


5. Click the **Data User(s)** section.

Note: Once Edit is clicked, user is taken back to the last saved page, it may or may not be the Main Information Section.

Data User(s) screen is displayed.

Figure 6: Edit Data User(s)



6. Click the **ADD DATA USER** button if additional Data Users for the DUA are needed.

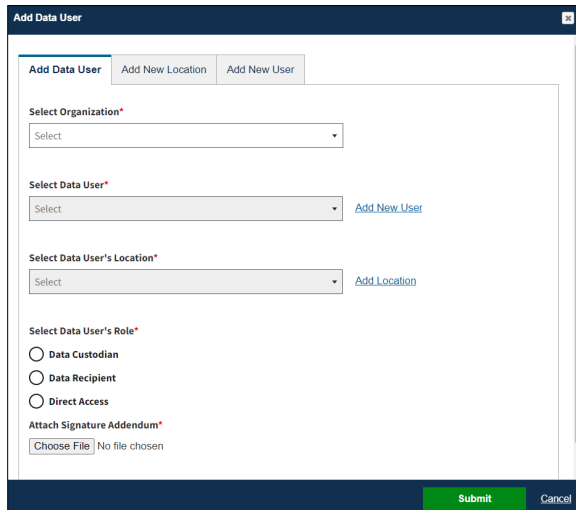
Notes:

- It is optional to add Users but there can only be one (1) Data User(s) on the DUA which can include the Requester.

- Editing a Data User’s information will affect their information across all DUAs they are listed on. A Data User’s information should never be changed to that of another Data User(s). Always Add the new Data User(s) and remove the unneeded Data User(s).
- Removing a Data User(s) from this table will remove them from all data files on the DUA.
- Data User(s) will be listed on each data file as view-only.

The Add Data User(s) pop-up is displayed.

Figure 7: Add Data User

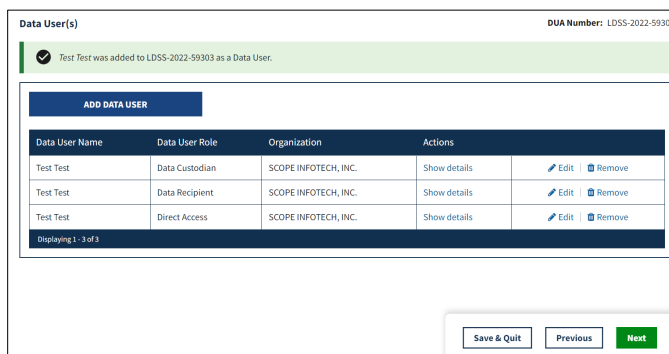


7. **Select Organization.**
8. **Select Data Users.**
9. **Select Data User Location.**
10. **Select Data User’s Role.**
11. **Attach Signature Addendum.**
12. Click **Submit**.

Notes:

- Data Users are selectable from the Primary Organization and any Collaborating Organization associated to the DUA.
- Use Add New User to add a new user for the selected organization.
- Use Add New Location to add a new location for the selected user.

Figure 8: Data User(s) Screen



13. Click **Save & Quit** when all users have been added/updated, as applicable.

Notes:

- Editing a user's information will affect their information across all DUAs.
- Removing a Data User(s) from this table removes them from all data files on the DUA.

2.1 Review and Submit a DUA

Review the applicable sections of the DUA:

- DUA Life Cycle (click the plus sign (+) icon)
- Main Information
- Collaborating Organization(s)
- Data User(s)/ User(s)
- Existing Data File Descriptions
- Re-Use Data File Descriptions
- New Data File Descriptions
- Documents
- Comments

Figure 9: Update DUA Screen

The screenshot shows the 'Update DUA Screen' for DUA Number LDSS-2023-60236. At the top, a green notification bar states 'The Update/Amend action was performed on LDSS-2023-60236'. Below this, the DUA Number is displayed as 'LDSS-2023-60236'. There are three tabs: 'Collapsed View' (selected), 'Expanded View', and 'Approved Version'. A 'PRINT TO PDF' button is visible on the right. The main content area is divided into sections: 'DUA Life Cycle' (with a plus icon), 'Main Information' (with a minus icon), and 'Privacy Act & HIPAA Authorization Code'. The 'Main Information' section contains the following details:

- DUA Number: LDSS-2023-60236
- DUA Customer Type: Limited Data Set
- DUA Category: S1 - LIMITED DATASETS (LDS)
- DUA Request Type: UPDATE DUA
- DUA Status: In Progress
- Expiration Date: 12/19/2024
- Requested Date: 12/20/2023

 The 'Privacy Act & HIPAA Authorization Code' section contains:

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

 At the bottom right, there are three buttons: 'Comment', 'Edit', and 'Submit'.

1. Click **Submit** when all updates are completed.

Notes:

- If you were unable to select certain files for re-use, 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 updates to DUAs.

Figure 10: Submit: Comment and Special Instructions

The screenshot shows the 'Submit LDSS-2022-58303 for Review' screen. It has two tabs: 'Comments' (selected) and 'Terms & Conditions'. The 'Comments' section contains an 'Add Comment' field with a placeholder text 'A comment is optional.' and a character count 'Content limited to 2000 characters, remaining: 2000'. Below this is a 'Special Instructions' section with a placeholder text 'Special instructions are optional.' and a character count 'Content limited to 2000 characters, remaining: 2000'. At the bottom, there are two buttons: 'Next' and 'Cancel'.

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

The Terms & Conditions are displayed.

Figure 11: Terms & Conditions

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

Submission confirmation message, “*DUA request [DUA Number] has been submitted for review. You will receive a follow-up email notification. To view the DUA navigate to “My DUAs.”*” is displayed on the DUA Status screen.

Figure 12: 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 resubmit 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

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
VRDC	Virtual Research Data Center

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.