



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 2.0

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1. Overview

This Training Guide will cover the following:

- How to Update New Data Files on a LDS DUA
- How to search for an Approved LDS DUA
- How to perform an Update on an Approved LDS DUA
- How to update the Data File Extraction
- How to update the Data Users
- How to update the Shipping Information
- How to know when you have successfully completed updating the Data File Attributes
- How to Review and Submit an Updated LDS DUA
- How to interpret the Status Progressions and Actions Display

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.

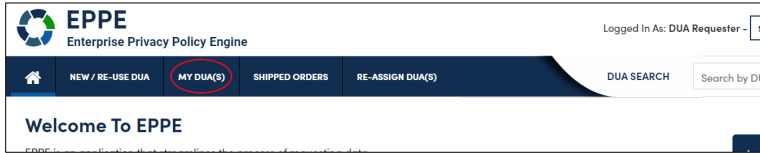


The question mark icon, when selected, will display field specific help.

2. Update New Data Files

Log in to the EPPE application.

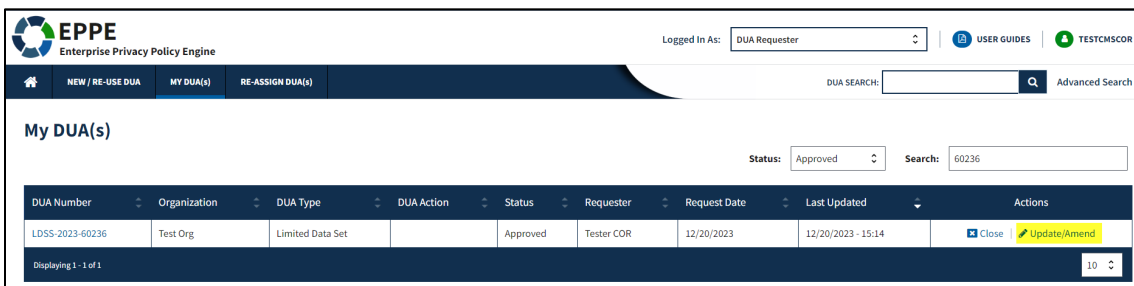
Figure 1: EPPE Welcome Screen



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



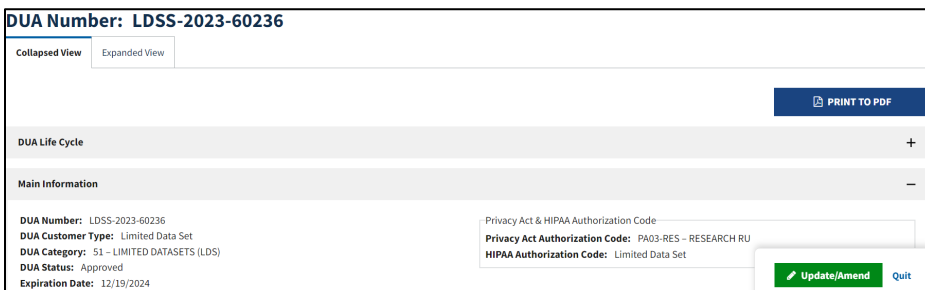
2. Click **Update/Amend** or use the **Search** feature to locate a DUA to update.

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 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 buttons become enabled to scroll through the listing.

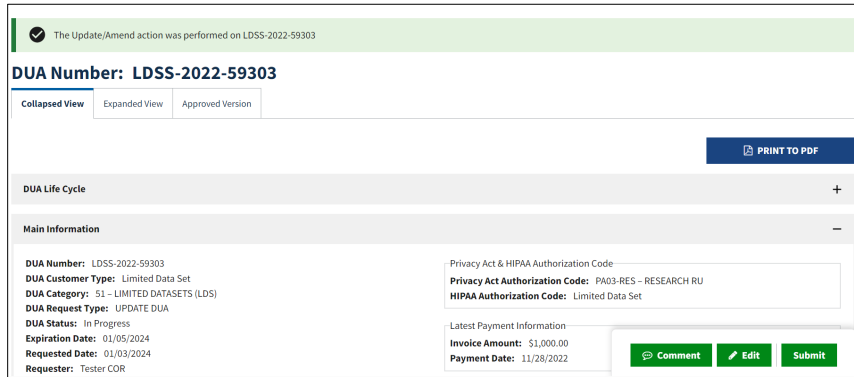
The **My DUA** screen is displayed.

Figure 3: DUA Screen



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

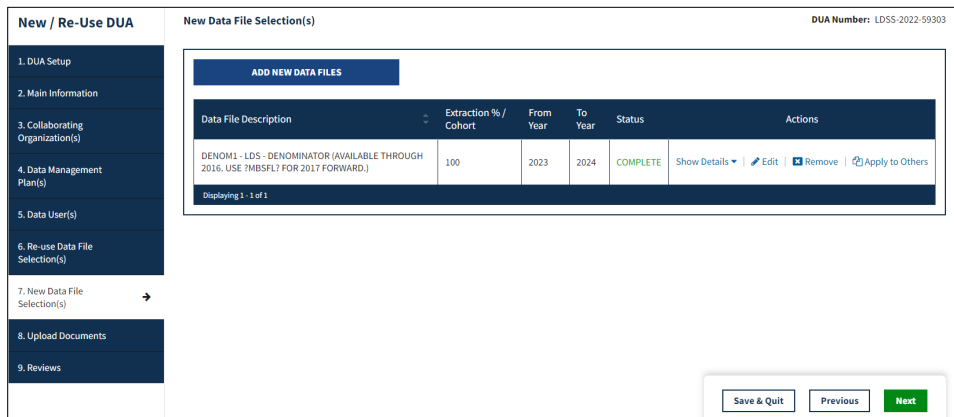
Figure 4: Edit DUA



4. Click the **Edit** button.

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

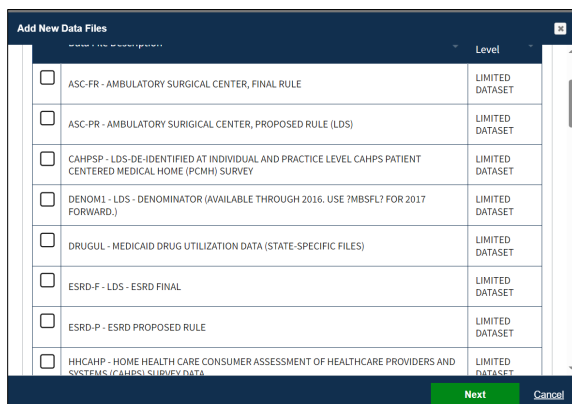
Figure 5: Select New Data Files Selection Section



- 5. Click the **New Data Files Selection(s)** section.
- 6. Click the **ADD NEW DATA FILES** button.

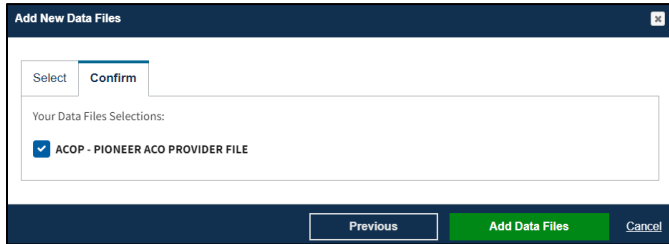
The New Data File(s) Selection screen displays. You must type at least 3 characters in the Select Data File Descriptions search box to narrow the results. If you are unsure of the data code, use key words to find your file such as “carrier” or “inpatient.”

Figure 6: Add New Data Files



7. Select the Data File(s) that will be added to the DUA.
8. Click **Next**.

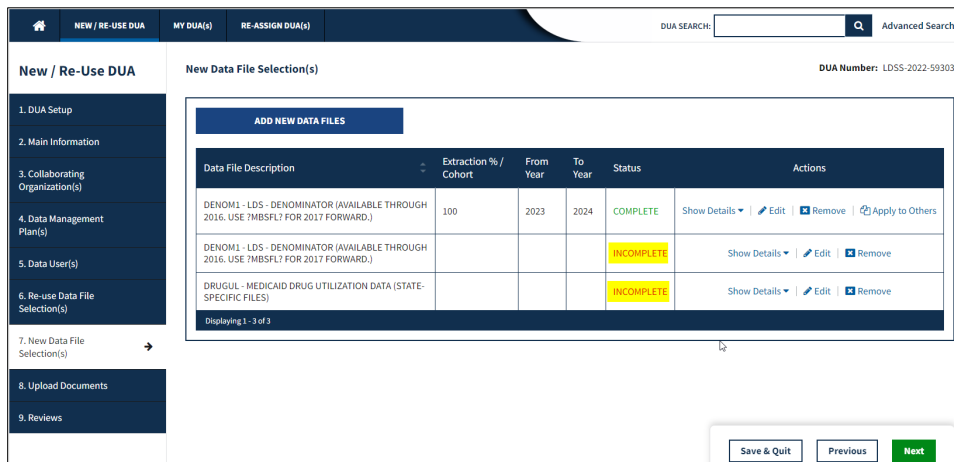
Figure 7: Confirm the New Data File(s)



9. Click the **Add Data Files** button.

The selected data files display in the table. The file(s) status is **“INCOMPLETE.”**

Figure 8: New Data Files added to Update Table



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

Note: Click **Remove** for each file you need to remove from the table. It will only remove the file from the table and place it back in the list of new data files that can be selected.

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

Figure 9: Data File Information: Data File Extraction Tab

11. Select **Available Extractions**
12. Select the **From** and **To** year.
13. Choose any **Extraction Type**.
14. Choose **State(s)** if applicable.
15. Click **Add**
16. Click **Next**.

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.

2.1 Data File Information

The data file extraction tab shows the extraction attributes.

Figure 10: Data File Information: Extraction Attributes Selected

Extraction % / Cohort	From Year	To Year	Extraction Types	States	Actions
100%	2023	2024	Final	MD	Remove

1. Click **Next**.

The Shipping Information tab on the Data file information pop-up displays with the Access Method defaulted to Shipping and Data Dissemination System. Select a different Access Method and/or Data Dissemination System, if applicable.

Figure 11: Data File Information: Shipping Information Tab

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

Notes:

- If you are not sure of which data access method and/or dissemination system to select, leave the default Shipping and CCW/VRDC selected.

2.2 Edit DUA: Data File Attributes Complete

The second file’s status is “**COMPLETE**.”

Figure 12: Data File Attributes for First File is Complete

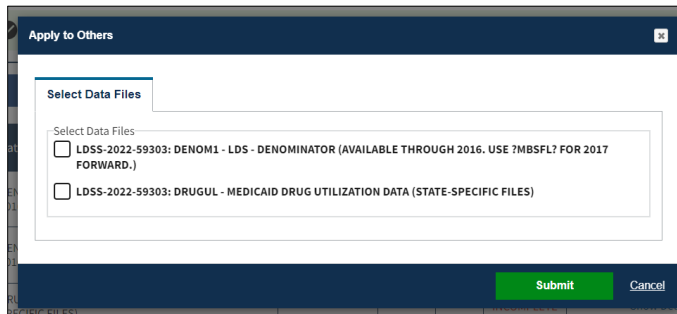
Data File Description	Extraction % / Cohort	From Year	To Year	Status	Actions
DENOM1 - LDS - DENOMINATOR (AVAILABLE THROUGH 2016. USE ?MBSFL? FOR 2017 FORWARD.)	100	2023	2024	COMPLETE	Show Details Edit Remove Apply to Others
DENOM1 - LDS - DENOMINATOR (AVAILABLE THROUGH 2016. USE ?MBSFL? FOR 2017 FORWARD.)	100	2023	2024	COMPLETE	Show Details Edit Remove Apply to Others
DRUGUL - MEDICAID DRUG UTILIZATION DATA (STATE-SPECIFIC FILES)				INCOMPLETE	Show Details Edit Remove

1. Click the **Apply to Others** button 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 button 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** button, the **Apply Data Selection Attributes** are displayed.

Figure 13: Apply to Others New Files

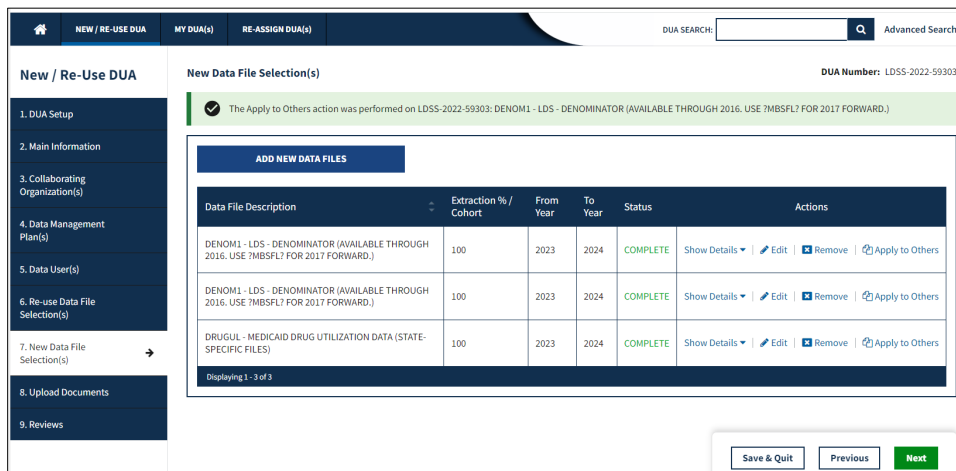


2. Select the check box to select all data files **OR** select individual data files.
3. Click the **Submit** button.

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/Shipping information will be applied to the selected files.

The New Data File(s) Selection screen with status for New data files is **“COMPLETE.”**

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



4. Click **Save & Quit**.

Note: Use the **Remove** action to remove individual data files from the table, if applicable.

2.3 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 Users (s)
- Review: Data File Descriptions
- Review: Documents

Figure 15: Review the DUA

The Update/Amend action was performed on LDSS-2023-60236

DUA Number: LDSS-2023-60236

Collapsed View Expanded View Approved Version

PRINT TO PDF

DUA Life Cycle +

Main Information -

DUA Number: LDSS-2023-60236
 DUA Customer Type: Limited Data Set
 DUA Category: 51 - LIMITED DATASETS (LDS)
 DUA Request Type: UPDATE DUA
 DUA Status: In Progress
 Expiration Date: 12/19/2024
 Request Date: 12/20/2023

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

Comment Edit Submit

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

The Comments pop-up is displayed.

Figure 16: Submit: Add Comments or Special Instructions

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

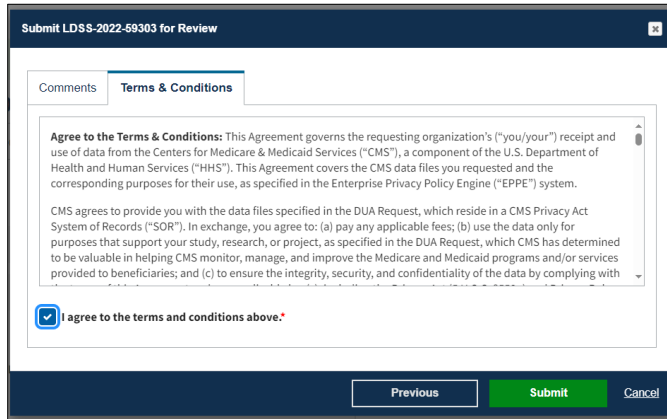
3. Enter any applicable Comments.
4. Enter any applicable Special Instructions.
5. Click **Next**.

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.

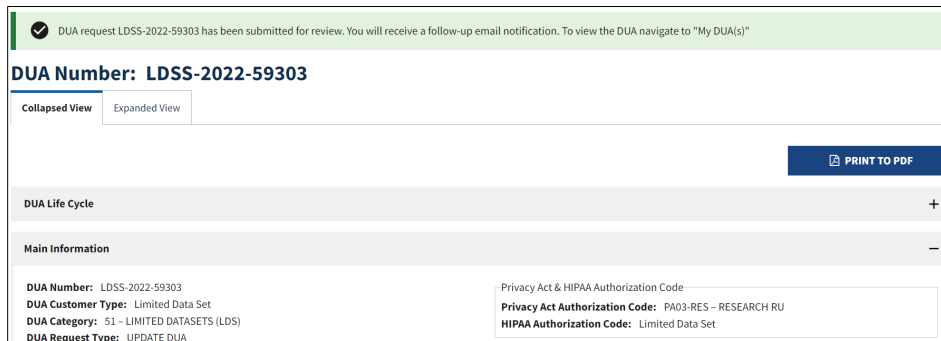
Figure 17: Accept Terms and Conditions and Submit the DUA



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

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

Figure 18: DUA Status: Submitted Message



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
CCW	Chronic Condition Warehouse
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

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

Table 2: Glossary

Term	Definition
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.