



**Centers for Medicare & Medicaid Services**

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

### **Limited Data Set (LDS) Approval Workflow Training Module- DUA Requester Queues**

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**Version 2.0**

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# 1. Overview

This Training Guide will cover the following:

- How the DUA Queues for an LDS DUA are operated

## 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.

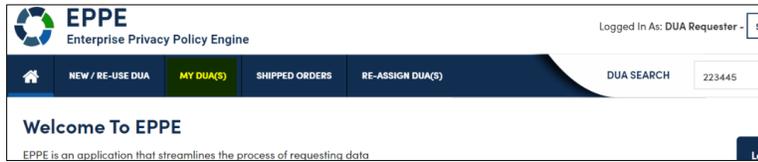


The question mark icon, when selected, will display field specific help.

## 2. DUA Queue

DUAs applicable to the DUA Requester for all Approval Workflows are located at **My DUA(s)**.

Figure 1: Welcome Screen



1. Click **MY DUA(S)** to view DUAs applicable to the DUA Requester.

Figure 2: DUA Queue

My DUA(s)									
DUA Number	Organization	DUA Type	DUA Action	Status	Requester	Request Date	Last Updated	Actions	
CONT-2023-70095	HCD Organization	Contractor	CREATE DUA	Requested More Information by CMS COR	Tester COR	11/29/2023	12/02/2023 - 10:23	<a href="#">Edit</a>	<a href="#">Review</a>
LDSS-2023-70110	Test Org	Limited Data Set	CREATE DUA	In Progress	Tester COR		12/02/2023 - 08:17	<a href="#">Edit</a>	
LDSS-2023-70111	Test Org	Limited Data Set	CREATE DUA	Submitted-Waiting for Limited Data Set DUA Management Team Approval	Tester COR	12/01/2023	12/02/2023 - 00:51		
CONT-2023-70109	HEALTHCARE INGENUITY, LLC	Contractor	CREATE DUA	In Progress	Tester COR		12/01/2023 - 14:47	<a href="#">Edit</a>	
LDSS-2023-60182	MILLIMAN, INC.	Limited Data Set	UPDATE DUA	In Progress	Tester COR	11/29/2023	12/01/2023 - 13:36	<a href="#">Edit</a>	

2. DUA Status is displayed in the **Status** column.

Review the applicable queue types in the table below.

Table 1: DUA Queues Applicable to the LDS Approval Workflow

Queue	Description
<b>Unfinished</b> (In-Progress)	<ul style="list-style-type: none"> <li>Displays incomplete DUAs from the New/Re-use (Create) DUA Process, or the Update/Amend DUA Process (In-Progress status). <b>Note:</b> Any New/Re-Use DUAs In-Progress for 60 days will be archived and not available for selection.</li> <li>DUAs can be viewed and/or edited to Submitted status.</li> </ul>
<b>Submitted</b>	<ul style="list-style-type: none"> <li>Displays DUAs that have been completed to Submitted status from the New/Re-Use and/or Update Amend DUA Processes.</li> <li>LDS DUAs are ready for approval by the LDS DMT and ready for payment entry by the Payment Coordinator (if payment is required).</li> </ul>
<b>Pending Actions</b>	Required when adding Custodians to an LDS DUA, other than the requester, through New/Re-Use and/or Update/Amend.
<b>Approved</b>	Displays DUAs which have been Approved. <b>Note:</b> DUAs in Approved status can be accessed through the Update/Amend queue if they need to be edited after approval. Update/Amend will be discussed in subsequent training module.
<b>Expired</b>	<ul style="list-style-type: none"> <li>Contains DUAs that are in Expired status.</li> <li>Expired DUAs can be extended from the Extend queue or closed (Closed queue).</li> </ul>
<b>Closed</b>	Contains DUAs where all data files have been closed and the DUA has been closed by the DUA Requester. <b>Note:</b> DUAs can only be re-opened by EPPE Administrators.
<b>Denied</b>	<ul style="list-style-type: none"> <li>Displays LDS DUAs that have been denied by the LDS DMT.</li> <li>DUAs in Denied status cannot be edited by the Requester.</li> </ul>

### 3. Acronyms and Glossary

The following are acronyms used within the EPPE system.

Table 2: Acronyms

Acronym	Definition
<b>CMS</b>	Centers for Medicare and Medicaid Services
<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>LDS</b>	Limited Data Set
<b>MFA</b>	Multi-Factor Authentication
<b>PDF</b>	Portable Document Format

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

Table 3: Glossary

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