Centers for Medicare & Medicaid Services

Enterprise Privacy Policy Engine Cloud (EPPE)

Limited Data Set (LDS) Approval Workflow Training Module- New LDS DUA Request with New Data Files

Version 2.0

01/22/2024

Document Number: EPPE-233-LDS_DUAReq_CreateDUA_NewFiles-v2.0

Table of Contents

1 Overview 1

1.1 EPPE Access Prerequisites 1
1.2 Icons Used Throughout the EPPE System 1

2 Create a New LDS DUA 2

2.1 Main Information 3
2.2 Select Collaborating Organization 3
2.3 Data Management Plan(s) 4
2.4 Data User(s) 5
2.5 Re-Use Data File(s) Selection 6
2.6 New Data File(s) Selection 6
2.7 Add Data File Information 8
2.8 Completing Data File Attributes 9
2.9 Upload Documents 11
2.10 Review and Submit New/Re-Use LDS DUA 14

3 Acronyms and Glossary 17

4 EPPE Help Desk Information 18

List of Figures

Figure 1: EPPE Welcome Screen: New/Re-Use DUA 2
Figure 2: DUA Set Up Tab 2
Figure 3: Organization Selection 2
Figure 4: Main Information 3
Figure 5: Select Collaborating Organization 3
Figure 6: Add Collaborating Organization 3
Figure 7: Add Collaborating Organization: Cannot Locate Organization 4
Figure 8: Add New Collaborating Organization Location 4
Figure 9: Add New Collaborating Organization: Organization Dialogue 4
Figure 10: Data Management Plan(s) 5
Figure 11: Add Data Management Plan 5
Figure 12: Data User(s) 5
Figure 13: Add Data User 6
Figure 14: New Data File Selection(s) 6
Figure 15: Add New Data File(s) 7

Figure 16: Confirm Add New Data File(s) 7
Figure 17: Add New Data File(s): Incomplete 7
Figure 18: Data File Information: Data File Extraction 8
Figure 19: New Data File(s): Extraction Attributes Selected 8
Figure 20: Data File Information: Shipping Information 9
Figure 21: Data File Information: Direct Access Information 9
Figure 22: Data File Attributes for First File is Complete 10
Figure 23: New Data File(s): Apply First Data File Attributes to All New Files 10
Figure 24: New Data File(s): Status for All New Files Displays “Complete” 11
Figure 25: LDS Worksheet Example 12
Figure 26: Upload Documents Screen 12
Figure 27: Upload Documents Pop-Up 13
Figure 28: Upload Documents Screen: Additional Supporting Documents 13
Figure 29: Required Documents 14
Figure 30: Review the DUA 14
Figure 31: Review the DUA: Expand/Collapse Sections 15
Figure 32: Add Comments or Special Instructions 15
Figure 33: Terms and Conditions 15
Figure 34: DUA Submission Confirmation 16

List of Tables

Table 1: Predefined LDS Document Types 11
Table 2: Acronyms 17
Table 3: Glossary 17

1 Overview

This Training Guide will cover the following:

- How to add Collaborating Organizations to the LDS DUA Request
- How to add Main Information to the LDS DUA Request
- How to add a Custodian/VRDC User
- How to select Re-Use Data Files
- How to select New Data Files
- How to Add Data File Information
- How to add Custodian Information
- How to add Shipping Information
- How to complete the Data File Attributes
- How to Upload Documentation
- 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

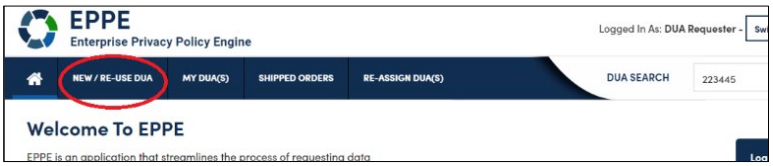
A red asterisk denotes that a field is required to be entered.

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

2 Create a New LDS DUA

Access the New/Re-Use actions from the Welcome screen.

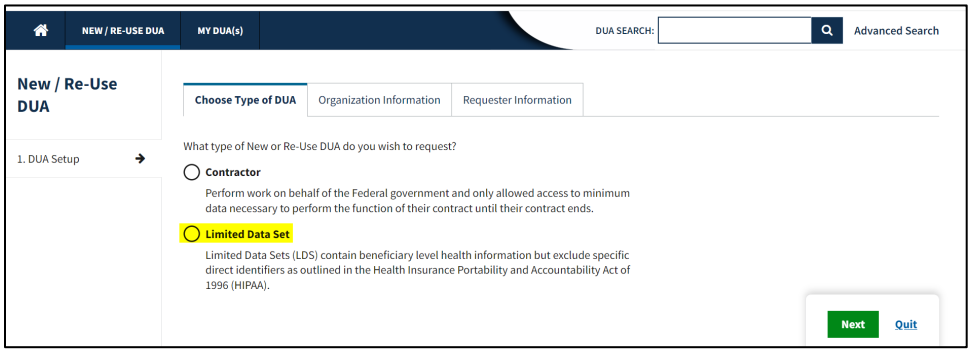
Figure 1: EPPE Welcome Screen: New/Re-Use DUA



1. Click **NEW/RE-USE DUA** to begin a new DUA.

The DUA Set Up screen for New / Re-Use DUA is displayed.

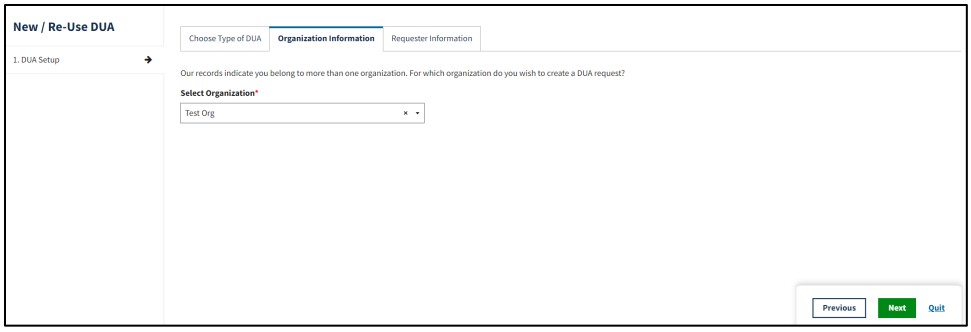
Figure 2: DUA Set Up Tab



2. Select the **Limited Data Set** radio button.
3. Click **Next**.

Your organization is pre-populated. A dropdown will appear for you to select your organization if you are a Requester for multiple organizations.

Figure 3: Organization Selection



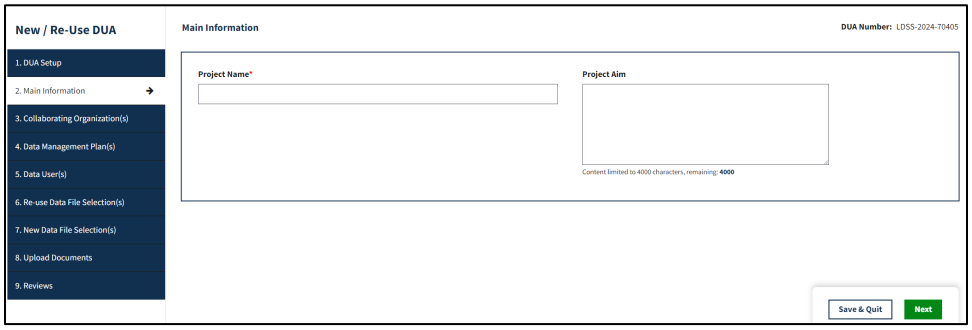
4. Select your **Organization** from the drop-down menu.
5. Verify the information in the **Requester Information** tab.
6. Click **Next**.

The Main Information screen is displayed.

2.1 Main Information

Add the Main Information required for submitting a DUA.

Figure 4: Main Information

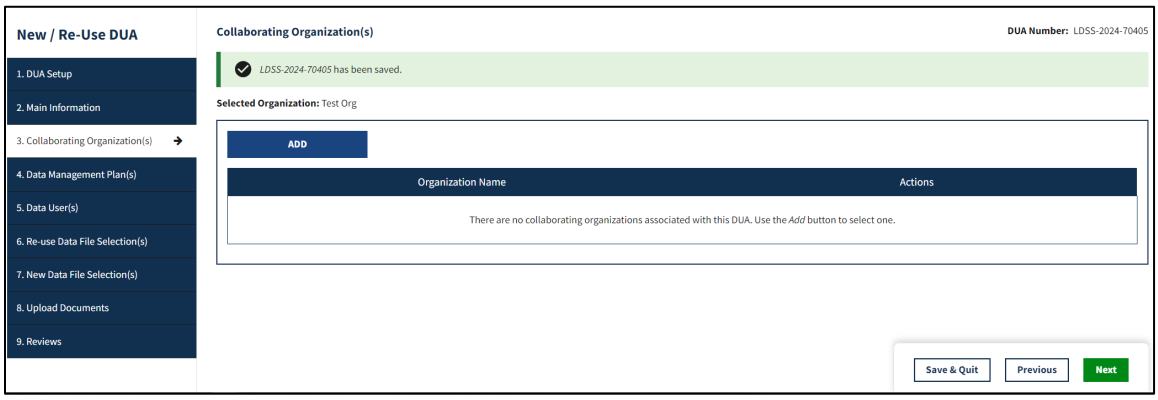


1. The **Project Name** field is required.
2. The **Project Aim** field is optional.
3. Click **Next.**

2.2 Select Collaborating Organization

Select the Collaborating Organization that the DUA belongs to.

Figure 5: Select Collaborating Organization



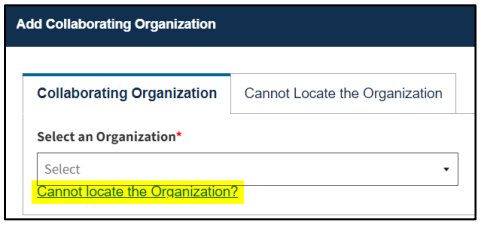
1. Click the **ADD** button.

Figure 6: Add Collaborating Organization

2. Select the respective organization from the drop-down menu.
3. Click **NEXT** on the Collaborating Organization Page when finished.

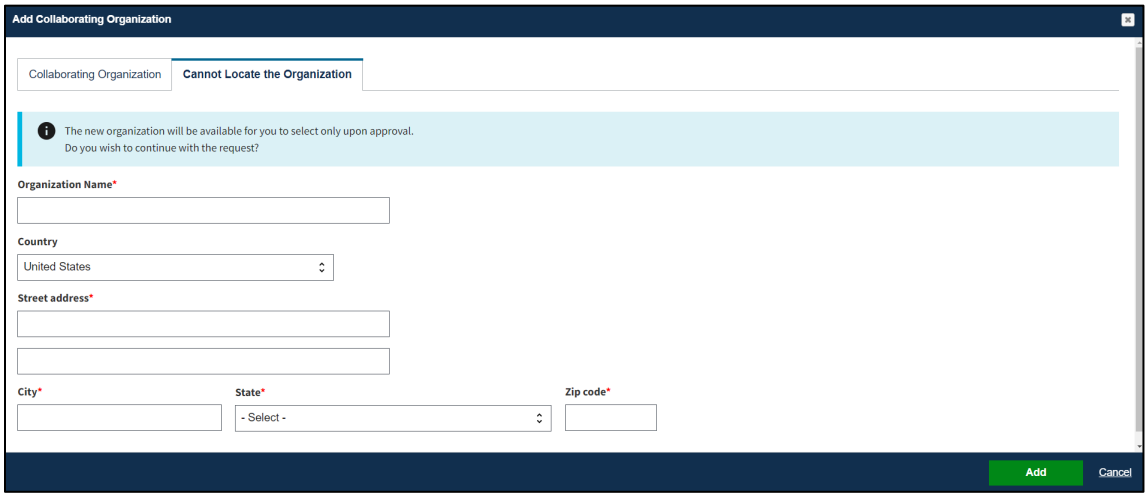
Note: If you cannot find the Organization, click the Cannot Locate Organization hyperlink.

Figure 7: Add Collaborating Organization: Cannot Locate Organization



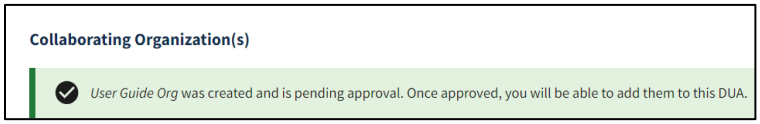
4. Click the ***Cannot locate the Organization*?** link to add an organization not listed.

Figure 8: Add New Collaborating Organization Location



5. Enter the **Organization Name.**
6. Select the **Country**
7. Enter the **Street Address.**
8. Enter the **City, State, and Zip Code.**
9. Click **Add**.

Figure 9: Add New Collaborating Organization: Organization Dialogue

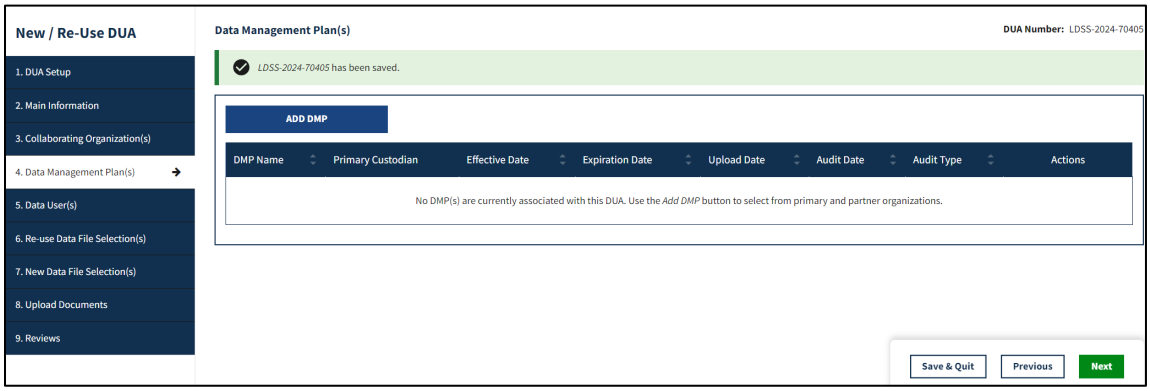


Note: The Requesting Organization must be a location within the U.S. (LDS data files cannot be shipped outside of the U.S.).

2.3 Data Management Plan(s)

A Data Management Plan can be added to LDS DUAs.

Figure 10: Data Management Plan(s)



1. Click **ADD DMP.**

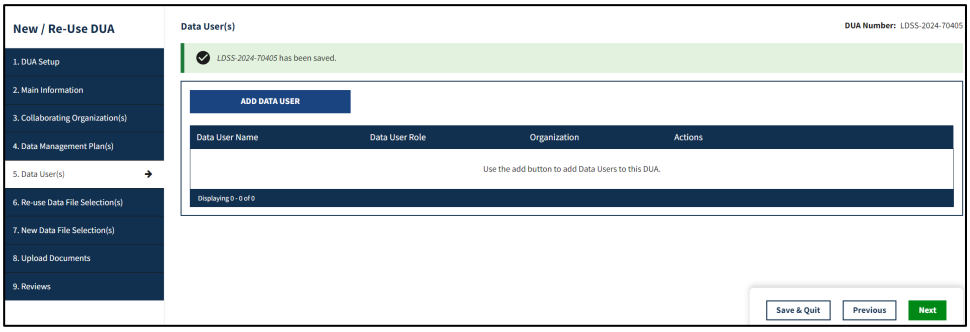
Figure 11: Add Data Management Plan

2. Select the **Organization.**
3. Select the **DMP.**
4. Click **Add.**
5. Click **Next** on the Data Management Plan Page when finished.

2.4 Data User(s)

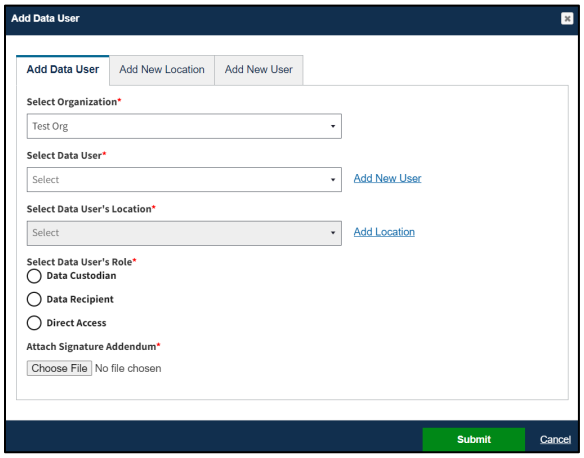
The Data User(s) Page is displayed.

Figure 12: Data User(s)



1. Select the **ADD DATA USER** button.

Figure 13: Add Data User



2. Select the **Organization** from the drop-down list.
3. Select a **Data User** from the dropdown list.
4. Select the **Data User's Location** from the drop-down list.
5. Select the **Data User's Role** from the drop-down list.
6. Click **Choose File** to attach a **Signature Addendum** for the Data User.
7. Click **Submit.**
8. Click **Next** on the **Data User(s)** Page when finished.

Note: You must select at least one Data User that is a Data Custodian.

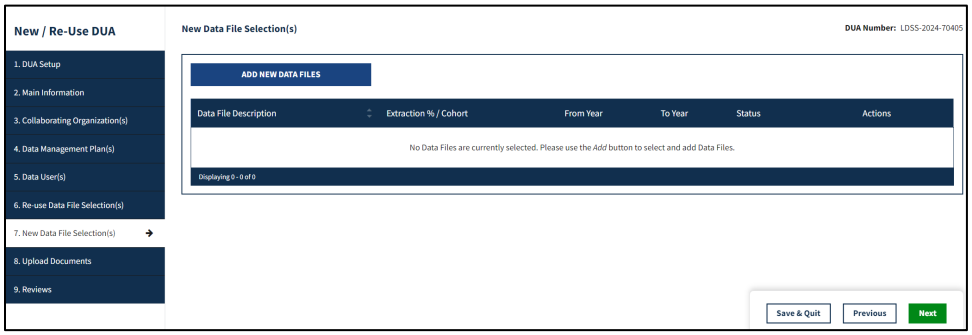
2.5 Re-Use Data File(s) Selection

Refer to the New/Re-Use LDS DUA Request with Re-Use Data Files training module for more information on adding Re-Use Data Files to a New/Re-Use DUA.

2.6 New Data File(s) Selection

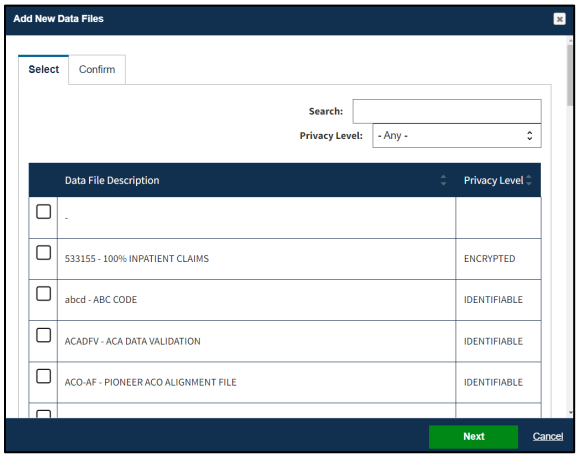
The New Data File(s) Selection screen is displayed. Select the Privacy Level "Limited Data Set" You must type at least 3 characters in the **Select Data File Descriptions** search box to narrow the results. Otherwise, use key words to find your file such as "carrier" or "inpatient."

Figure 14: New Data File Selection(s)



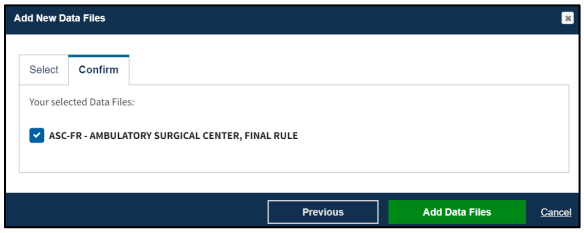
1. Click **Add New Data Files.**

Figure 15: Add New Data File(s)



2. Select **Limited Data Set** for the **Privacy Level**
3. Select the data file(s).
4. Click **Next**.

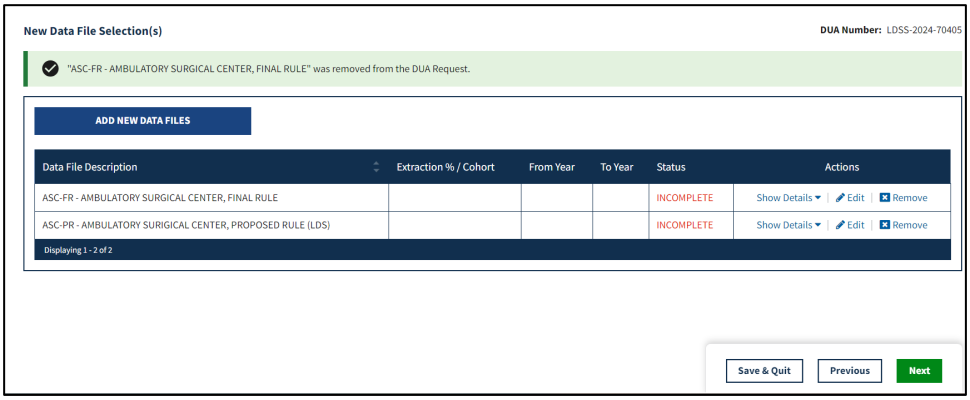
Figure 16: Confirm Add New Data File(s)



5. Click **Add Data Files.**

The selected data files are displayed in the table below. The file(s) status displayed is "INCOMPLETE".

Figure 17: Add New Data File(s): Incomplete



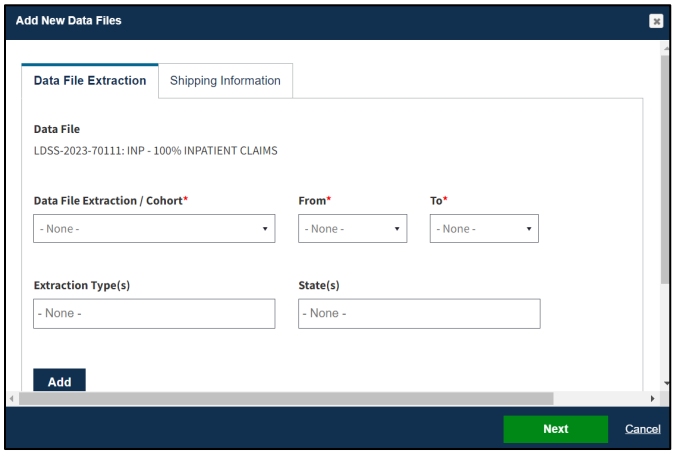
6. Click the **Edit** action next to each incomplete item to complete required file attributes.

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

2.7 Add Data File Information

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

Figure 18: Data File Information: Data File Extraction



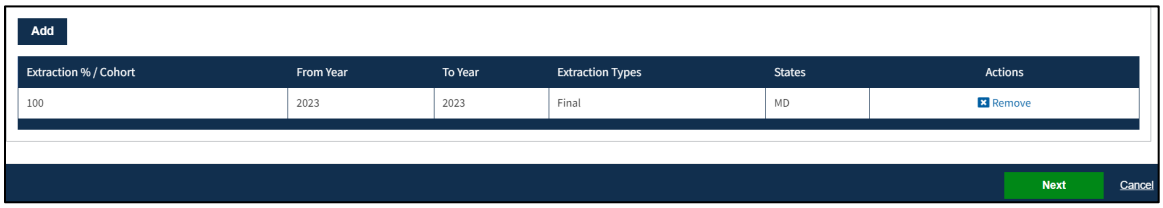
1. Select the **Available Year Range**.
2. Select the **From** and **To** year.
3. Choose any **Extraction Type** (Standard Analytic Files (SAF) are available quarterly).
4. Choose **State(s)** if applicable.
5. Click **Add**.

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.

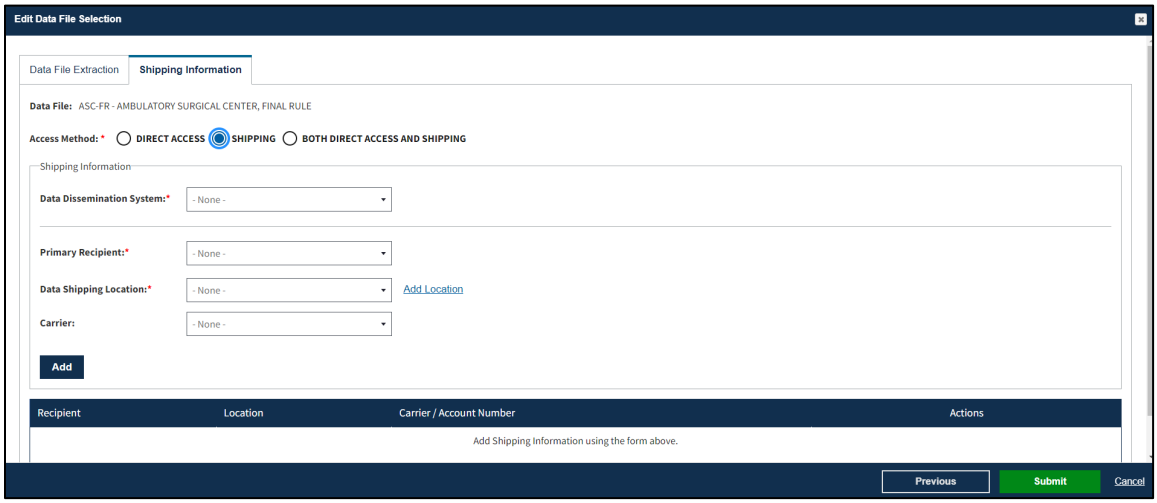
Figure 19: New Data File(s): Extraction Attributes Selected



6. Click **Next**.

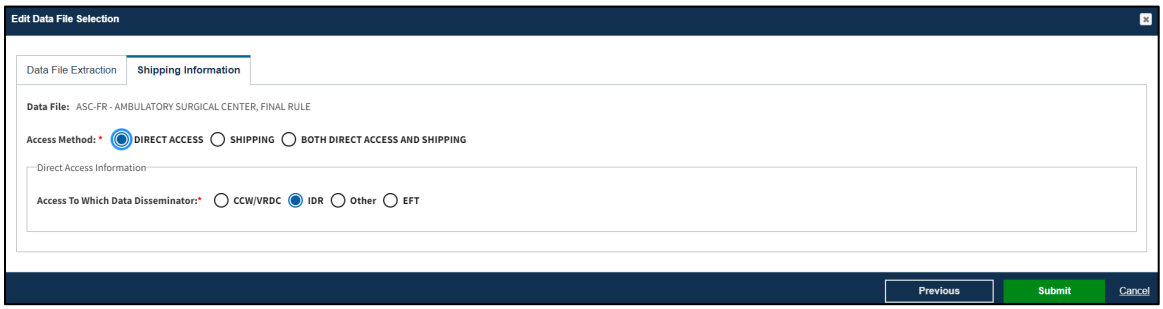
The Shipping Information tab on the Data File Information pop-up is displayed with the Access Method defaulted to **Shipping and Data Dissemination System** “CCW/VRDC.” Select a different Access Method and/or Data Dissemination System, if applicable.

Figure 20: Data File Information: Shipping Information



7. Select **Data Disseminator.**
8. Select **Carrier.**
9. Select **Carrier Account Number.**
10. Select **Primary Recipient**.
11. Select **Data Shipping Location**.
12. Click the **Add** button.

Figure 21: Data File Information: Direct Access Information

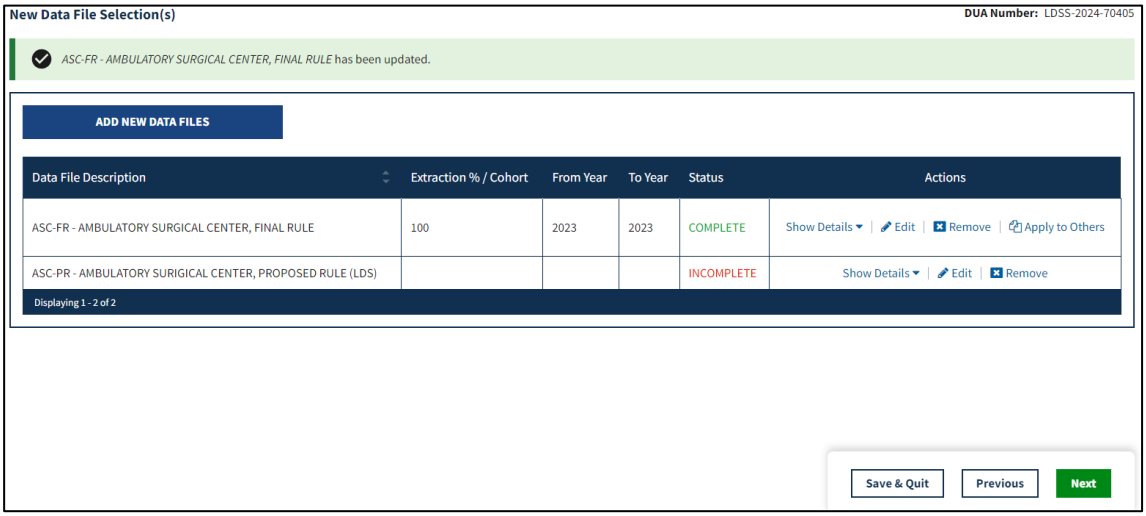


13. Select **Data Disseminator.**
14. Click **Submit.**

2.8 Completing Data File Attributes

The first file's status is now marked "COMPLETE."

Figure 22: Data File Attributes for First File is Complete

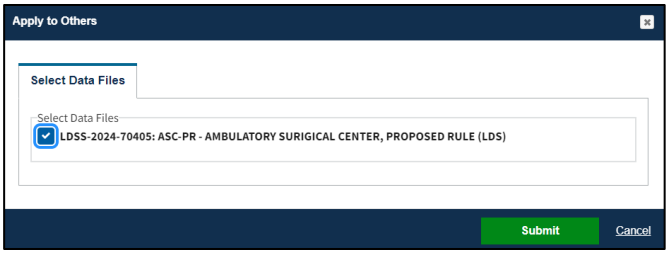


1. Click the **Edit** action to enter attributes for each file or click the **Apply to Others** action to apply the same attributes to all or some of the remaining files.

Notes:

- The **Apply to Others** action will only display if the DUA has multiple files. It displays once data file attributes for the first data file selection have been completed.
- 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.

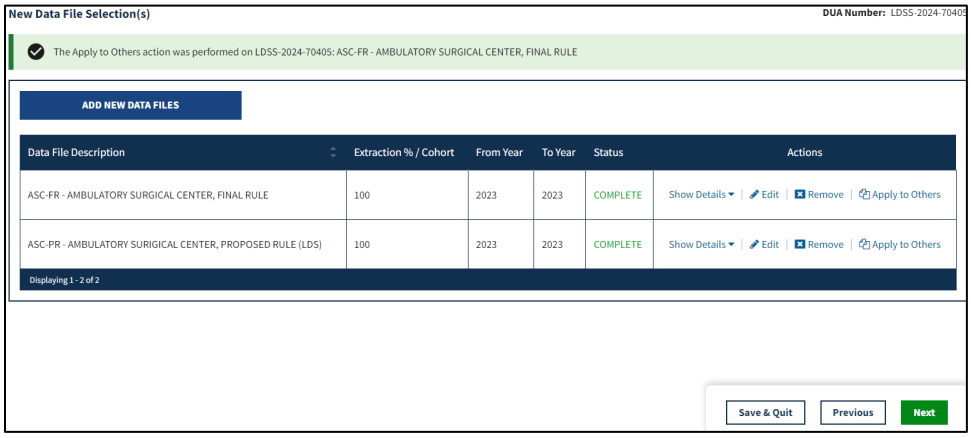
Figure 23: New Data File(s): Apply First Data File Attributes to All New Files



2. **Select** individual data file(s).
3. Click the **Submit** button.

The New Data File(s) Selection screen displays. The status for all **New** data files is Complete.

Figure 24: New Data File(s): Status for All New Files Displays "Complete"



4. Click **Next** when all Data Files display the **COMPLETE** status.

2.9 Upload Documents

The following are the predefined LDS document types.

Table 1: Predefined LDS Document Types

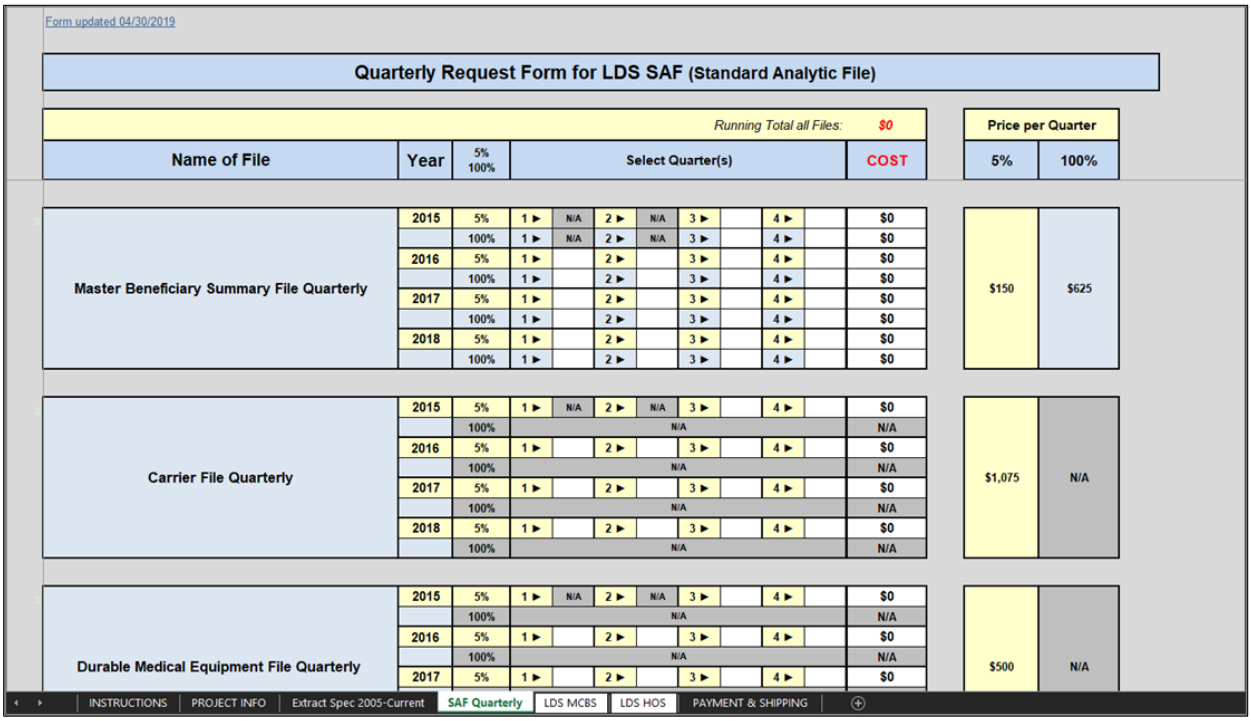
Document	Rule(s)
Attachment A Research Protocol	Required for all New DUAs.
LDS Worksheet/Re-Use Data Worksheet	• The LDS Worksheet is required when New use files are being requested. • The Re-Use Data Worksheet is required when Re-Use files are being requested.
Signature Addendum	Required when adding 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 25.

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 25: LDS Worksheet Example



Form updated 04/30/2019

Quarterly Request Form for LDS SAF (Standard Analytic File)

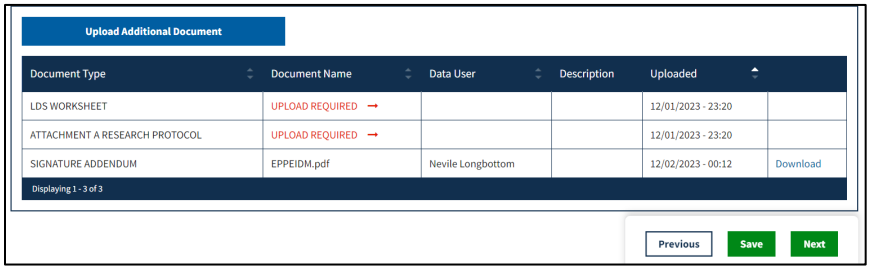
Running Total all Files: $0

Name of File	Year	5% 100%	Select Quarter(s)								COST	Price per Quarter 5%	Price per Quarter 100%
Master Beneficiary Summary File Quarterly	2015	5%	1 ►	N/A	2 ►	N/A	3 ►		4 ►		$0	$150	$625
		100%	1 ►	N/A	2 ►	N/A	3 ►		4 ►		$0		
	2016	5%	1 ►		2 ►		3 ►		4 ►		$0		
		100%	1 ►		2 ►		3 ►		4 ►		$0		
	2017	5%	1 ►		2 ►		3 ►		4 ►		$0		
		100%	1 ►		2 ►		3 ►		4 ►		$0		
	2018	5%	1 ►		2 ►		3 ►		4 ►		$0		
		100%	1 ►		2 ►		3 ►		4 ►		$0		
Carrier File Quarterly	2015	5%	1 ►	N/A	2 ►	N/A	3 ►		4 ►		$0	$1,075	N/A
		100%	N/A								N/A		
	2016	5%	1 ►		2 ►		3 ►		4 ►		$0		
		100%	N/A								N/A		
	2017	5%	1 ►		2 ►		3 ►		4 ►		$0		
		100%	N/A								N/A		
	2018	5%	1 ►		2 ►		3 ►		4 ►		$0		
		100%	N/A								N/A		
Durable Medical Equipment File Quarterly	2015	5%	1 ►	N/A	2 ►	N/A	3 ►		4 ►		$0	$500	N/A
		100%	N/A								N/A		
	2016	5%	1 ►		2 ►		3 ►		4 ►		$0		
		100%	N/A								N/A		
	2017	5%	1 ►		2 ►		3 ►		4 ►		$0		

INSTRUCTIONS | PROJECT INFO | Extract Spec 2005-Current | SAF Quarterly | LDS MCBS | LDS HOS | PAYMENT & SHIPPING

The Upload Documents screen is displayed and includes predefined document types.

Figure 26: Upload Documents Screen



Upload Additional Document

Document Type	Document Name	Data User	Description	Uploaded	
LDS WORKSHEET	UPLOAD REQUIRED →			12/01/2023 - 23:20	
ATTACHMENT A RESEARCH PROTOCOL	UPLOAD REQUIRED →			12/01/2023 - 23:20	
SIGNATURE ADDENDUM	EPPEIDM.pdf	Nevile Longbottom		12/02/2023 - 00:12	Download

Displaying 1 - 3 of 3

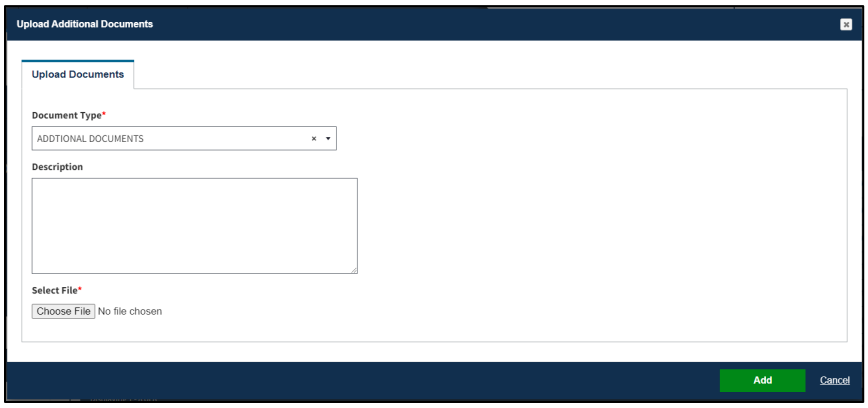
Previous Save Next

1. Click the **UPLOAD ADDITIONAL DOCUMENTS** button to upload documents.

Figure 27: Upload Documents Pop-Up

2. Select **Document Type** from the dropdown menu.
3. Enter a **Description.**
4. Click the **Choose File** button to choose your file from your local computer.
5. Click the **Add** button once the file has been selected.

Figure 28: Upload Documents Screen: Additional Supporting Documents



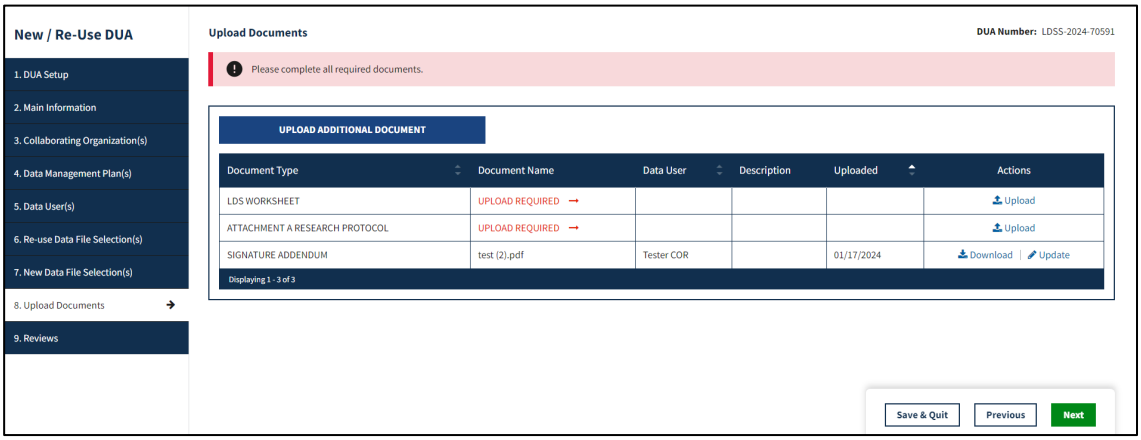
6. Click the **Choose File** button to choose your file from your local computer.
7. Click the **Add** button once the file has been selected.

Notes:

- Uploaded files can be deleted from this page prior to DUA submission.
- An upload date and time stamp will be displayed on the DUA Review screen for all uploaded files.

The Document upload is required message is displayed when selecting Next and there are missing documents. In this example, Upload Required is indicated for all required documents.

Figure 29: Required Documents



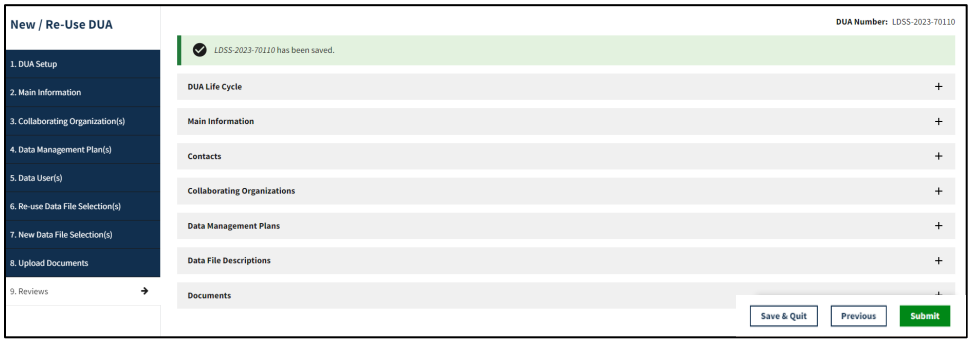
Note: You will receive additional pop-ups when specific predefined documents have not been uploaded such as an LDS Worksheet (required if New data files are added to the DUA).

2.10 Review and Submit New/Re-Use LDS DUA

The following information is available for review in the DUA:

- DUA Life Cycle (click the plus icon (+))
- Main Information
- Collaborating Organization(s)
- Custodian(s)

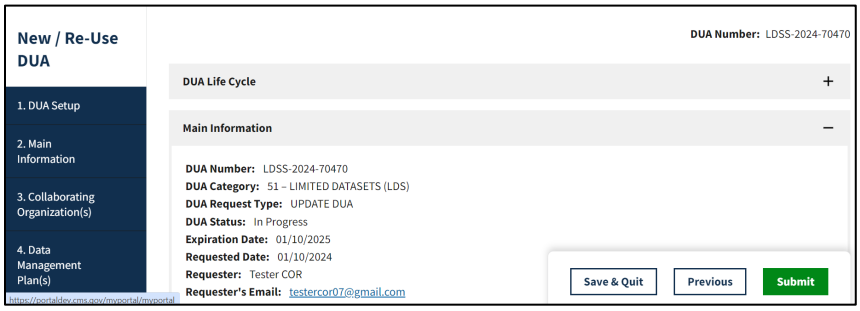
Figure 30: Review the DUA



Review screen includes:

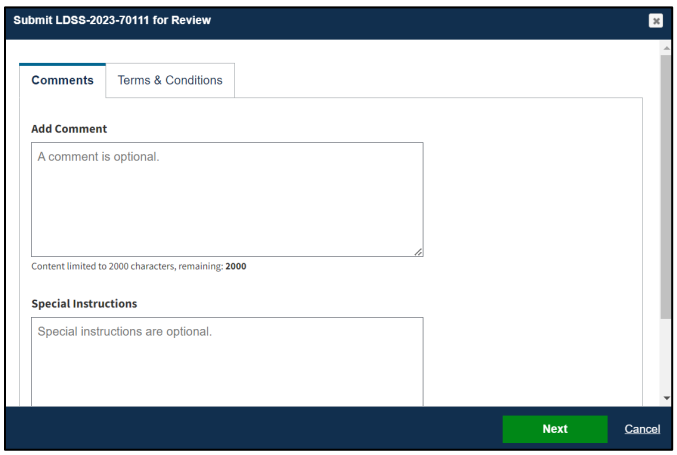
- DUA Life Cycle
- Main Information
- Contacts
- Collaborating Organizations
- Data Management Plan
- Data File Descriptions for New and Re-Use data files (click plus icon to see details).
- Proxy (will only display if you have assigned a Proxy).
- Documents.

Figure 31: Review the DUA: Expand/Collapse Sections



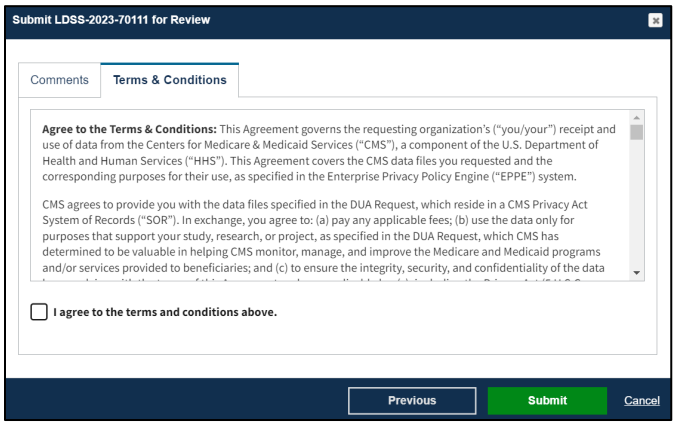
1. Click the plus icon (+) to expand the respective section.
2. Click the minus icon (-) to collapse the respective section.
3. Click **Submit.**

Figure 32: Add Comments or Special Instructions



4. Add a Comment if applicable.
5. Add Special Instructions if applicable.
6. Click **Next.**

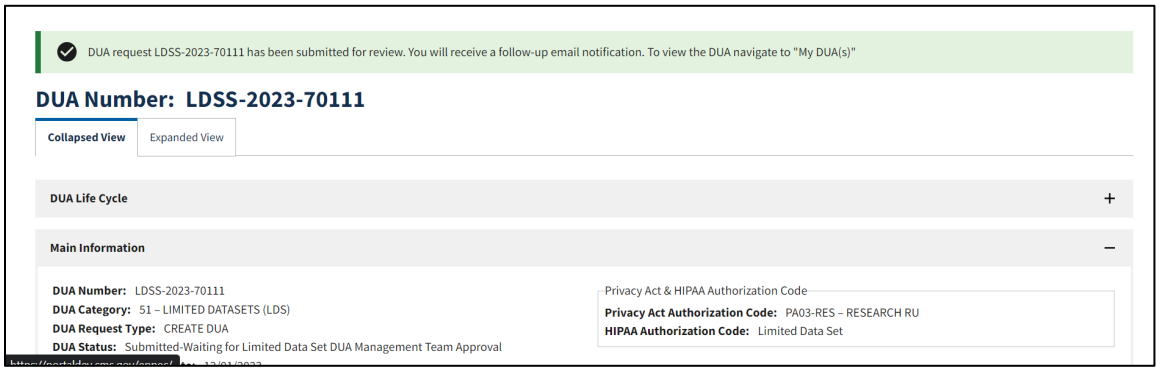
Figure 33: Terms and Conditions



7. Select the ***I agree to the terms and conditions*** checkbox.
8. Click **Submit**.

Submission confirmation message, "*Your DUA request <DUA number> seen below has been submitted for approval. You will receive a follow-up email notification.*" is displayed on the DUA Request Status screen.

Figure 34: DUA 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.
- 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
CCW	Chronic Condition Warehouse
CMS	Centers for Medicare and Medicaid Services
COR	CMS Contact (COR)
DMT	DUA Management Team
DUA	Data Use Agreement
EPPE	Enterprise Privacy Policy Engine
EUA	Enterprise User Administration
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 3: Glossary

Term	Definition
Attachment A Research Protocol	Required for all New DUAs.
Data Custodian	Data Custodian will have actual possession of the CMS Data Files and who will be responsible for the observance of all conditions of use, including the establishment and maintenance of security arrangements to prevent unauthorized use.
Data Recipient	Data Recipients will have actual possession of the CMS Data Files
Direct Access	Direct Access Users have been granted electronic access to CMS Data Files via CMS' Data Dissemination Systems
LDS Worksheet/Re-Use Data Worksheet	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 - 6:00 PM ET

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.