



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

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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.

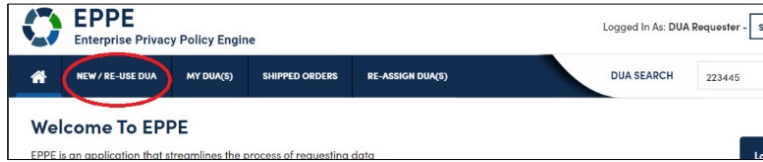


The question mark icon, when selected, will display field specific help.

2 Create a New LDS DUA

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

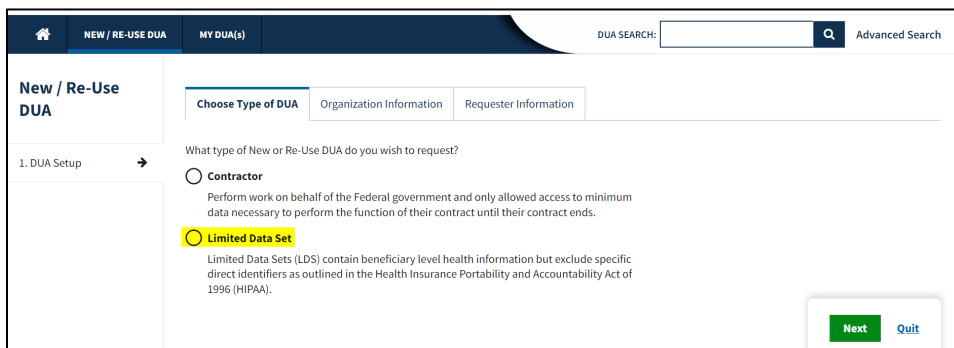
Figure 1: EPPE Welcome Screen: New/Re-Use DUA



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

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

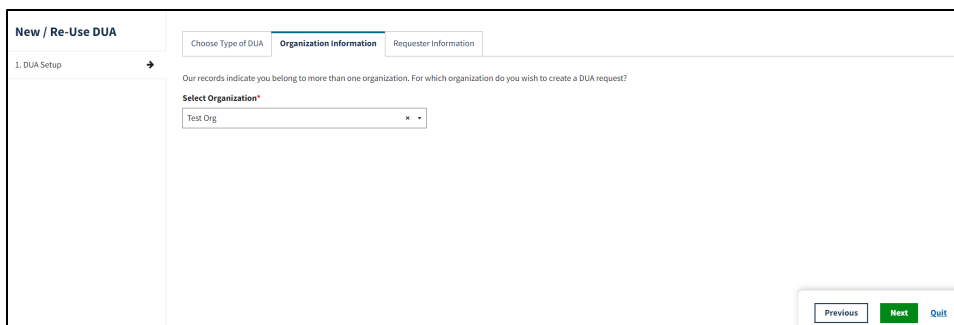
Figure 2: DUA Set Up Tab



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**.

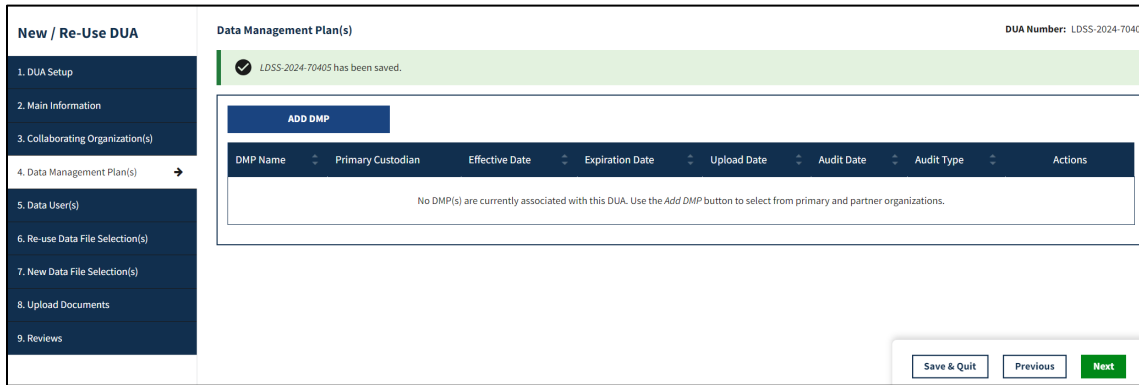
Figure 9: Add New Collaborating Organization: Organization Dialogue

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)

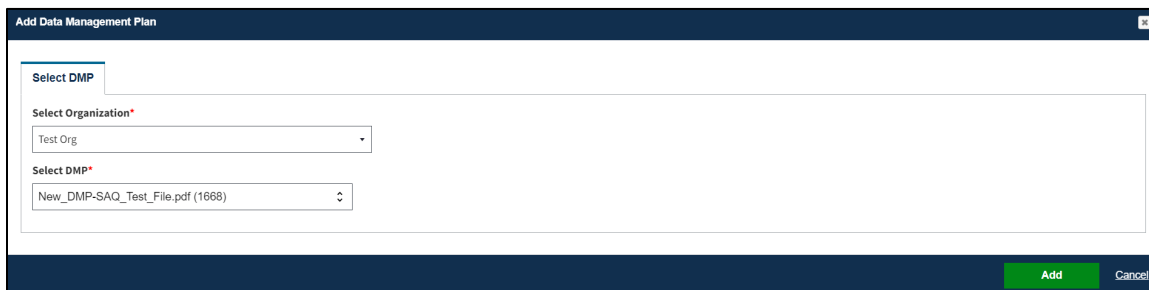
A Data Management Plan can be added to LDS DUAs.

Figure 10: Data Management Plan(s)



1. Click **ADD DMP**.

Figure 11: Add Data Management Plan

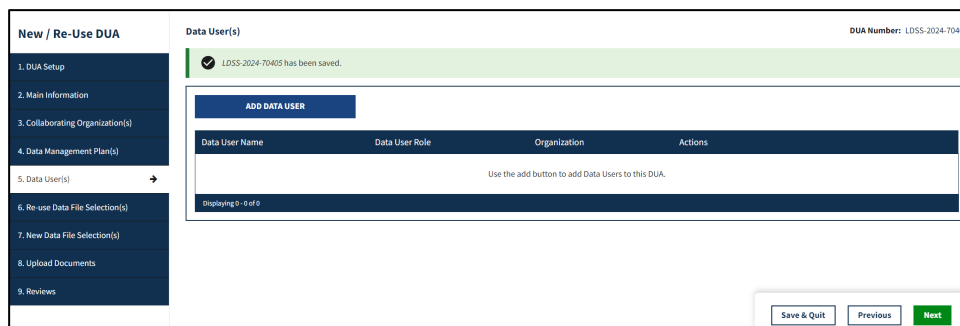


2. Select the **Organization**.
3. Select the **DMP**.
4. Click **Add**.
5. Click **Next** on the Data Management Plan Page when finished.

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.

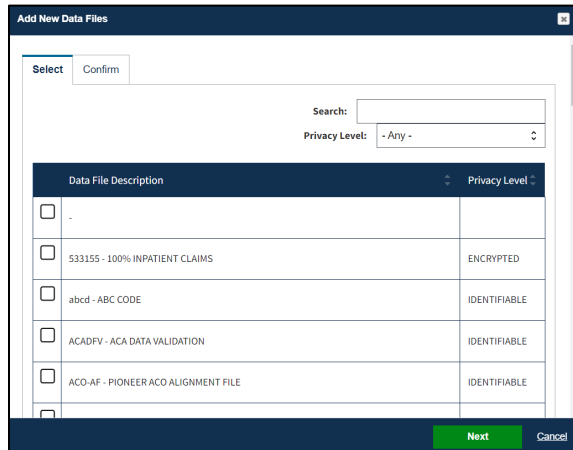
2.6 New Data File(s) Selection

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)

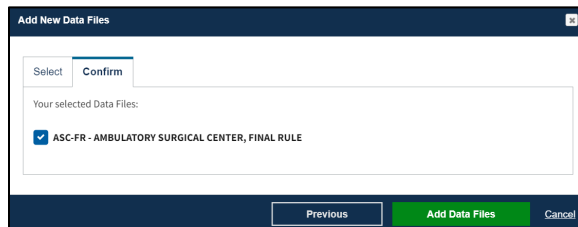
1. Click **Add New Data Files**.

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**.

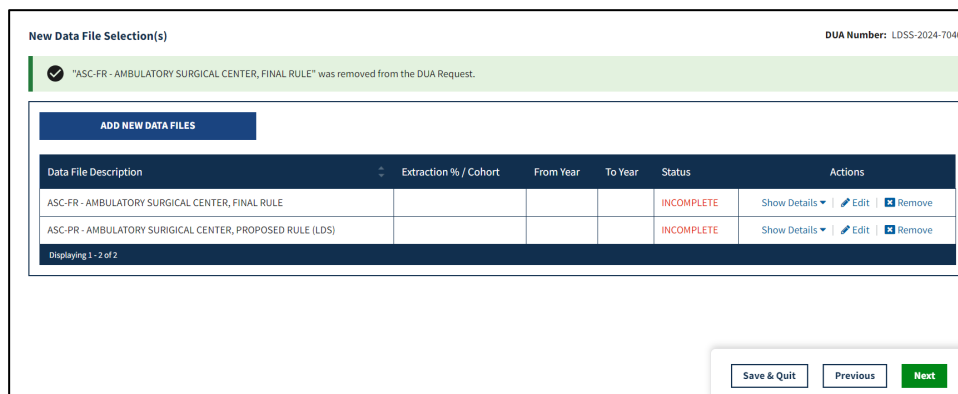
Figure 16: Confirm Add New Data File(s)



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

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

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

Edit Data File Selection

Data File Extraction: Shipping Information

Data File: ASC-FR - AMBULATORY SURGICAL CENTER, FINAL RULE

Access Method: DIRECT ACCESS SHIPPING BOTH DIRECT ACCESS AND SHIPPING

Shipping Information

Data Dissemination System:

Primary Recipient:

Data Shipping Location: [Add Location](#)

Carrier:

Add

Recipient	Location	Carrier / Account Number	Actions
Add Shipping Information using the form above.			

Previous Submit Cancel

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

Edit Data File Selection

Data File Extraction: Shipping Information

Data File: ASC-FR - AMBULATORY SURGICAL CENTER, FINAL RULE

Access Method: DIRECT ACCESS SHIPPING BOTH DIRECT ACCESS AND SHIPPING

Direct Access Information

Access To Which Data Disseminator: CCW/VRDC IDR Other EFT

Previous Submit Cancel

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

New Data File Selection(s) DUA Number: LDSS-2024-70405

✓ ASC-FR - AMBULATORY SURGICAL CENTER, FINAL RULE has been updated.

ADD NEW DATA FILES

Data File Description	Extraction % / Cohort	From Year	To Year	Status	Actions
ASC-FR - AMBULATORY SURGICAL CENTER, FINAL RULE	100	2023	2023	COMPLETE	Show Details ▾ Edit Remove Apply to Others
ASC-PR - AMBULATORY SURGICAL CENTER, PROPOSED RULE (LDS)				INCOMPLETE	Show Details ▾ Edit Remove

Displaying 1 - 2 of 2

Save & Quit Previous **Next**

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

Apply to Others

Select Data Files

Select Data Files

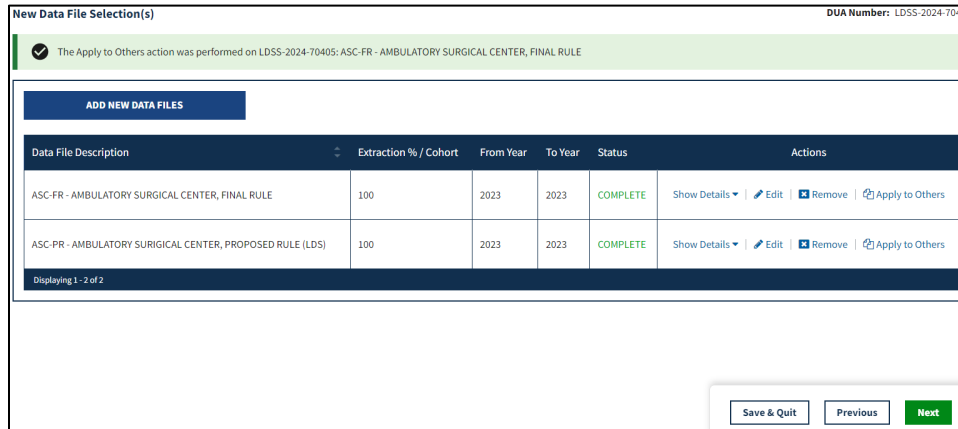
LDSS-2024-70405: ASC-PR - AMBULATORY SURGICAL CENTER, PROPOSED RULE (LDS)

Submit Cancel

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	<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 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										Price per Quarter		
Name of File	Year	5% 100%	Select Quarter(s)							COST	5%	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

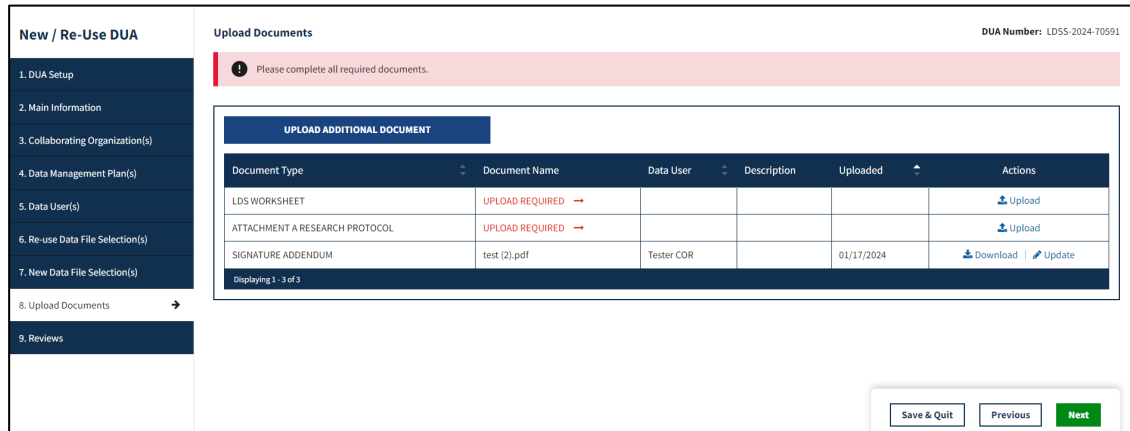
6. Click the **Choose File** button to choose your file from your local computer.
7. Click the **Add** button once the file has been selected.

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



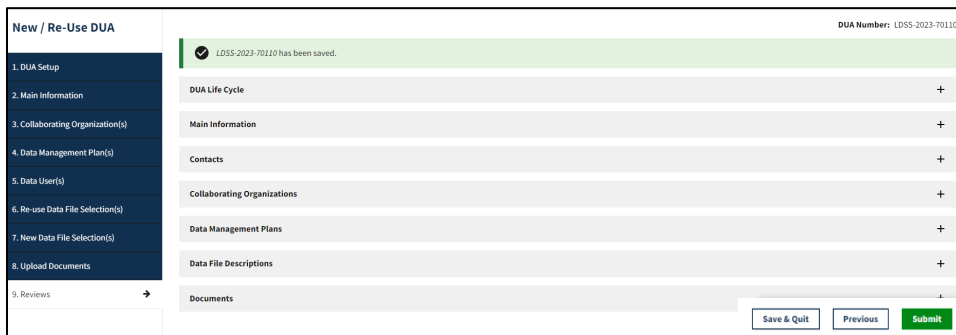
Note: You will receive additional pop-ups when specific predefined documents have not been uploaded such as an LDS Worksheet (required if New data files are added to the DUA).

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

The screenshot shows the 'New / Re-Use DUA' interface. On the left is a sidebar with four steps: 1. DUA Setup, 2. Main Information, 3. Collaborating Organization(s), and 4. Data Management Plan(s). The top right corner displays 'DUA Number: LDSS-2024-70470'. The main content area has two sections: 'DUA Life Cycle' with a plus icon (+) and 'Main Information' with a minus icon (-). The 'Main Information' section is expanded, showing the following details: DUA Number: LDSS-2024-70470, DUA Category: 51 - LIMITED DATASETS (LDS), DUA Request Type: UPDATE DUA, DUA Status: In Progress, Expiration Date: 01/10/2025, Requested Date: 01/10/2024, Requester: Tester COR, and Requester's Email: testercor07@gmail.com. At the bottom right of the main content area are three buttons: 'Save & Quit', 'Previous', and 'Submit'.

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

The screenshot shows the 'Submit LDSS-2023-70111 for Review' form. It has two tabs: 'Comments' and 'Terms & Conditions'. The 'Comments' tab is active, showing a text area with the placeholder text 'A comment is optional.' and a character count 'Content limited to 2000 characters, remaining: 2000'. Below the text area is the 'Special Instructions' section with the placeholder text 'Special instructions are optional.'. At the bottom right of the form are two buttons: 'Next' and 'Cancel'.

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

Figure 33: Terms and Conditions

The screenshot shows the 'Submit LDSS-2023-70111 for Review' form with the 'Terms & Conditions' tab active. The text area contains the following text: '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'. Below the text area is a checkbox with the label 'I agree to the terms and conditions above.'. At the bottom of the form are three buttons: 'Previous', 'Submit', and 'Cancel'.

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

✓ DUA request LDSS-2023-70111 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-2023-70111

Collapsed View Expanded View

DUA Life Cycle +

Main Information -

DUA Number: LDSS-2023-70111
 DUA Category: 51 - LIMITED DATASETS (LDS)
 DUA Request Type: CREATE DUA
 DUA Status: Submitted-Waiting for Limited Data Set DUA Management Team Approval

Privacy Act & HIPAA 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
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.