

**Centers for Medicare & Medicaid Services** 

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

## Limited Data Set (LDS) Approval Workflow Training Module-Update/Amend Main Information

Version 2.0 01/22/2024

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### 1. Overview

This Training Guide will cover the following:

- How to update the Main Information section of an LDS DUA
- How to Review and Submit Updated LDS DUAs

### 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 Main Information

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.

### Figure 2: A List of DUAs Eligible to Update

	Enterprise Privacy Policy Engine																	
*	NEW / RE-USE	DUA	MY DUA(s)	RE-ASS	IGN DUA(s)									DUA SEARCH:			Q Advanced Se	earch
M	/ DUA(s)												Status:	Approved 🗘	Search	60236		
DI	A Number		Organization		DUA Type		DUA Action		Status		Requester	Request Date		Last Updated			Actions	
LD	SS-2023-60236		Test Org		Limited Data Set				Approved		Tester COR	12/20/2023		12/20/2023 - 15:14		× Close	PUpdate/Amend	
Di	playing 1 - 1 of 1										÷						10	:

2. Click the Update/Amend action OR use the Search feature to locate a DUA.

Notes:

- 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.
- If there are multiple pages of Approved DUAs, the previous and next icons (<, >) and page number buttons become available to scroll through the listing.
- If your organization has at least one (1) DUA in Expired status, a message will be displayed when **Update/Amend** is clicked. A list of expired DUA numbers and instructions are displayed that no DUAs can be created or updated until either extending or closing all expired DUAs.

The My DUA screen displays.

#### Figure 3: My DUA Screen

DUA Numl	ber: LDSS	2023-60236			
Collapsed View	Expanded View				
				🖻 PRINT TO P	DF
DUA Life Cycle					+
Main Informatio	'n				-
DUA Number: 1 DUA Customer 1 DUA Category:	LDSS-2023-60236 Type: Limited Data 51 – LIMITED DATAS	Set ETS (LDS)	Privacy Act & HIPAA Authorization Code Privacy Act Authorization Code: PA03-RES – RESEARCH RU HIPAA Authorization Code: Limited Data Set		
DUA Status: Ap Expiration Date:	proved : 12/19/2024			🖋 Update/Amend	Quit

3. Click the Update/Amend button.

### Figure 4: Update DUA Request

EPPE Enterprise Privacy Policy Engine	Logged In As: DUA Requester 0	
RE-ASSIGN DUA(s)	DUA SEARCH:	Q Advanced Search
là -		
The Update/Amend action was performed on LDSS-2023-60236		
DUA Number: LDSS-2023-60236		
		PRINT TO PDF
DUA Life Cycle		+
Main Information		-
DUA Number: LDS-2023-60236 DUA Castomer Type: LIMIRED DIASTS (LDS) DUA Castogrow 51 - LIMIRED DIASTS (LDS) DUA Request Type: LIPORTE DUA DUA Status In Progress Expiration Dute: 12/20/2023 Requested Date: 12/20/2023 Requested Date: 12/20/2023	-Privacy Act & HIPAA Authorization Code Privacy Act Authorization Code : PA03 RES - RESEARCH RU HIPAA Authorization Code : Limited Data Set	
Requester's Email: testercor07@gmail.com Requester's Phone Number: (609) 665-2030		🖋 Edit Submit

- 4. Click the **Edit** button.
- 5. Click Main Information 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.

Figure 5: Edit: Main Information

EPPE Enterprise Privacy Policy E	Engine	Logged In As: DUA Requester C UIGE USER GUIDES TESTCMSCOR					
A NEW / RE-USE DUA MY I	DUA(s) RE-ASSIGN DUA(s)	DUA SEARCH: Q Advanced Search					
New / Re-Use DUA	Main Information	DUA Number: LDSS-2023-60236					
1. DUA Setup	Project Name*	Project Aim					
2. Main Information	LDS Demo	fest					
3. Collaborating Organization(s)							
4. Data Management Plan(s)							
5. Data User(s)		Content limited to 4000 characters, remaining: 3996					
6. Re-use Data File Selection(s)							
7. New Data File Selection(s)							
8. Upload Documents							
9. Reviews							
		Save & Quit Next					

- 6. Update applicable fields.
- 7. Click Save & Quit.

### 2.1 Review & Submit Updated LDS DUA

The Review screen with all the sections noted above is redisplayed.

#### Figure 6: Update DUA Request

S The Upda	ate/Amend action w	as performed on LDS	S-2023-60236						
DUA Num	ber: LDSS	-2023-602	36						
Collapsed View	Expanded View	Approved Version							
								🕒 PRINT TO PI	DF
DUA Life Cycle									+
Main Informatio	on								-
DUA Number:	LDSS-2023-60236			Privacy.	Act & HIPAA Authorization	n Code			
DUA Customer	Type: Limited Dat	a Set		Privacy	Act Authorization Code	PA03-RES - RESEARCH R	U.		
DUA Category:	51 – LIMITED DATA	SETS (LDS)		HIPAA A	uthorization Code: Lim	nited Data Set			
DUA Request Ty	/pe: UPDATE DUA					(			
DUA Status: In	Progress								
Expiration Date	: 12/19/2024					💬 Com	ment 🖉	Edit Sub	mit
Requested Date	12/20/2023								

1. Click Submit.

The Comments pop-up is displayed.

Figure 7: Submit:	Comment and Special	Instructions
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Comments	Terms & Conditions	
Add Commen	t	
A comment	o 2000 characters remaining: <b>2</b>	
	· · ·	

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

The Terms & Conditions will be displayed.

#### Figure 8: Terms & Conditions

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 NB has determined to be valuable in helping CMS monitor, manage, and improve the Medicare and Medicaid programs and/or services provided to be melficiaries and (-10 to ensure the interrity. Security and confidentiality of the data by complying with services provides to be melficiaries. and (-10 to ensure the interrity. Security and confidentiality of the data by complying with services provides to be services provides and services provides to be setting the complying with the complying with services provides to be setting the services provides to be setting the services provides to be setting the services provides to be setting to the data by complying with services provides provides to be setting the service provides to be setting the services provides to be setting the services provides to be setting the secret setting the secret by complying with setting the setting to secret by the setting the secret setting the secret by the setting the secret setting the secret by the setting the secret by the setting the secret by the setting the secret setting the secret by the setting the secret by		icinia di Conditiona										
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 interior security and confidentiality of the data by complying with the security of the security of the security security of the security security and confidentiality of the data by complying with the security of the security security security security and confidentiality of the data by complying with the security of the security security security security and confidentiality of the data by complying with the security of the security security security security security and confidentiality of the data by complying with the security s	Agree to the second sec	he Terms & Conditions: Thi I from the Centers for Medic: I Human Services ("HHS"). T ding purposes for their use, i	s Agreement governs the requesting organization's ("you/your") receipt and are & Mediciaid Services ("CMS"), a component of the U.S. Department of his Agreement covers the CMS data files you requested and the as specified in the Enterprise Privacy Policy Engine ("EPPE") system.	Î								
provided to beneficiaries: and (c) to ensure the integrity, security, and confidentiality of the data by complying with	CMS agree System of	s to provide you with the da Records ("SOR"). In exchang hat support your study, rese	ta files specified in the DUA Request, which reside in a CMS Privacy Act e, you agree to: (a) pay any applicable fees; (b) use the data only for earch, or project, as specified in the DUA Request, which CMS has determined									
, , , , , , , , , , , , , , , , , , , ,	purposes t to be valua	ble in helping CMS monitor.	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 by complying with									

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

### 6. Click **Submit**.

The submission confirmation message, "Your request to edit <DUA number> is pending approval" is displayed on the **DUA Status** screen.

### Figure 9: Submitted Confirmation

🕑 DUA requ	📎 DUA request LDSS-2022-59303 has been submitted for review. You will receive a follow-up email notification. To view the DUA navigate to "My DUA(s)"									
DUA Num	ber: LDSS-2	022-59303								
Collapsed View	Expanded View									
					🕒 PRINT TO P	PDF				
DUA Life Cycle						+				
Main Informatio	on					-				
DUA Number:	LDSS-2022-59303			Privacy Act & HIPAA Authorization Code						
DUA Customer	Type: Limited Data Set			Privacy Act Authorization Code: PA03-RES – RESEARCH RU	I					
DUA Category: DUA Request T	51 – LIMITED DATASETS /pe: UPDATE DUA	(LDS)		HIPAA Authorization Code: Limited Data Set						

### Notes:

- The DUA will be placed into the Requester's Submitted queue.
- The LDS DMT will find the DUA in the Pending Actions queue.
- Denied updates will be placed in the Approved queue with a Denied entry in the DUA Life Cycle. An update can be resubmitted with corrected information on the DUA.
- If payment is required, the DUA will not appear in the 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 the 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
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

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 Opdate/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 <u>Limited Data Set (LDS)</u> page.