

Centers for Medicare & Medicaid Services

Enterprise Privacy Policy Engine Cloud (EPPE)

Limited Data Set (LDS) Approval Workflow Training Module-Update/Amend Collaborating Organizations

Version 2.0 01/22/2024

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1. Overview

This Training Guide will cover the following:

- How to add a new Collaborating Organization to the LDS DUA
- How to review and Submit Updated LDS DUA

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: <u>https://www.cms.gov/files/document/eppeidm.pdf</u>
- Access CMS Portal: <u>https://portal.cms.gov/</u>

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.

?

Update Collaborating Organizations 2.

Log in to the EPPE application.

Figure 1: EPPE Welcome Screen

\bigcirc	EPPE Enterprise Privac	y Policy Engin	e		Lo	gged In As: DUA F	Requester - Switch
^	NEW / RE-USE DUA	MY DUA(S)	SHIPPED ORDERS	RE-ASSIGN DUA(S)	ſ	DUA SEARCH	223445
Wel EPPE is		PE	process of requesting	data			Logge

1. Click **MY DUA(S)** to see a list of approved DUAs.

	EPPE Enterprise Pr	rivacy	Policy Engine							Log	ged In As: DUA Re	equest	er	0	🙆 USER GUII	DES 🛛 🚺 1	restcmsc
*	NEW / RE-USE	DUA	MY DUA(s)	RE-ASS	IGN DUA(s)								DUA SEARCH:			Q Advar	nced Sear
M	y DUA(s)										Sta	tus:	Approved 🗘	Search	60236		
D	JA Number		Organization		DUA Type		DUA Action	Status	Requester		Request Date		Last Updated		,	Actions	
LD	SS-2023-60236		Test Org		Limited Data Set	t		Approved	Tester COR		12/20/2023		12/20/2023 - 15:14		X Close	🖋 Update/Ame	end
Di	splaying 1 - 1 of 1																10 0

Figure 2: List of DUAs Eligible to Update

2. Click the **Update/Amend** action to update or **Search** for the DUA to update.

Notes:

- If you are an existing Requester or Requester Proxy, any Approved Limited Data Set type DUAs where 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 allow you to scroll through the listing.
- If your organization has at least one (1) DUA in Expired status, a message will display • (when you click the Update/Amend DUA action) a list of the expired DUA(s) number(s) and instructions that you cannot create or update any DUAs until either extending or closing all of the expired DUAs.

The My DUA screen is displayed.

Figure 3: Select Update/Amend

DUA Num	ber: LDSS	-2023-60236		
Collapsed View	Expanded View			
			🕒 PRINT TO PD	F
DUA Life Cycle				+
Main Informatio	on			-
DUA Number: DUA Customer DUA Category: DUA Status: A	LDSS-2023-60236 Type: Limited Data 51 – LIMITED DATAS	Privacy Act & HIPAA Authorization Code Set Privacy Act Authorization Code: PTS (LDS) HIPAA Authorization Code:		
Expiration Date	e: 12/19/2024		🖋 Update/Amend	Quit

3. Click the Update/Amend button.

Figure 4: Update DUA Request

S The Upda	ate/Amend action w	vas performed on LDSS-20	22-59303					
DUA Num	ber: LDSS	5-2022-59303						
Collapsed View	Expanded View	Approved Version						
							🕒 PRIN	IT TO PDF
DUA Life Cycle								+
Main Informatio	on							-
DUA Number: DUA Customer DUA Category:	LDSS-2022-59303 Type: Limited Dat 51 – LIMITED DATA	a Set ISETS (LDS)			Privacy Act & HIPAA Authorization C Privacy Act Authorization Code: HIPAA Authorization Code: Limit	Code PA03-RES – RESEARCH RU ed Data Set		
DUA Status: In Expiration Date Requested Date Requester: Te	Progress 1: 01/05/2024 2: 01/03/2024 ster COR				Latest Payment Information Invoice Amount: \$1,000.00 Payment Date: 11/28/2022	P Comment	🖋 Edit	Submit

- 4. Click the Edit button in the section of the DUA that needs to be updated.
- 5. Click Collaborating Organization(s) 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 DUA: Collaborating Organization

Collaborating Organization(s)	DUA Number: LDSS-2022-59303
Selected Organization: SCOPE INFOTECH, INC.	
ADD	
Organization Name	Actions
Test Org	Remove
	Save & Quit Previous Next

6. The Collaborating Organization screen is displayed with the **Primary Organization Name**.

Note: In this example, the Approved DUA being updated shows the original selections and the previously selected Collaborating Organization is displayed in the table.

You can:

- Select new Collaborating Organization from the list of existing organizations.
- Click the "Cannot locate the Organization?" link to submit a new Organization to be approved by the EPPE Admins.
- Add Collaborating Organization to the DUA. In the example below, a second organization was added to the DUA.
- Remove Collaborating Organizations from the DUA (Remove action).

Note: Removing a Collaborating Organization will NOT remove any Custodians users from that Collaborating Organization associated to the DUA.

Add a Collaborating Organization 2.1

Figure 6: Add Collaborating Organization

Collaborating Organization(s)	DUA Number: LDSS-2022-59303
Selected Organization: SCOPE INFOTECH, INC.	
ADD	
Organization Name	Actions
Test Org	Remove

1. Click the **ADD** button.

Figure 7: Add Collaborating Organization selection

Selected Organization: P	co organization	
Add Collaborating Organization		×
Collaborating Organization	Cannot Locate the Organization	
Select an Organization*		
Select	▲	
Please enter 3 or more character	· · · · · · · · · · · · · · · · · · ·	
	Add Gala	ancel

- 2. Enter Organization name and select the Collaborating organization from the dropdown.
- 3. Click the Add button.

Figure 8: Add Collaborating Organization confirmation message.

New / Re-Use DUA	Collaborating Organization(s)	DUA Number: LDSS-2022-59303
1. DUA Setup	ABC Organization was added to LDSS-2022-59303	
2. Main Information	Selected Organization: SCOPE INFOTECH, INC.	
3. Collaborating Organization(s)	ADD	
4. Data Management	Organization Name	Actions
Plan(s)	ABC Organization	Remove
5. Data User(s)		
6. Re-use Data File Selection(s)		
7. New Data File Selection(s)		Save & Quit Previous Next

2.2 Add a New Collaborating Organization

If the needed Organization is not available, you will need to add one.

Figure 9: Add Collaborating Organization: Cannot Locate the Organization.

dd Collaborating Organization		1
Collaborating Organization	Cannot Locate the Organization	
Select an Organization*		
Cannot locate the Organization		
		Concentration Concentration

1. Click the "Cannot locate the Organization?" link to add an Organization that is not listed.

The Organization pop-up message notes, "You can submit a request for a new organization; however, it will be available for you to select only upon approval. Do you wish to request for a new organization?". The new Organization will require EPPE Administrator approval and will not be added for your use immediately.



Add Collaborating Organization					×
Collaborating Organization	Cannot Locate the Organization				
The new organization w Do you wish to continue	vill be available for you to select only upo e with the request?	on approval.			
Organization Name*					
Country United States	\$				
Street address*					
City*	State* - Select -	\$	Zip code*		
				Add	<u>Cancel</u>

- 2. Enter the Organization information:
 - Organization Name
 - Country (LDS data files cannot be shipped outside of the United States)
 - Street Address
 - City
 - State
 - Zip Code
- 3. Click the Add button.

The Confirmation message displays: "<ORGANIZATION NAME> was created and is pending approval. Once approved, you will be able to add them to this DUA."

Figure 11: New Organization Confirmation Message

New / Re-Use DUA	Collaborating Organization(s)	DUA Number: LDSS-2022-59303
1. DUA Setup	LDSS-2022-59303 has been saved.	
2. Main Information	Selected Organization: SCOPE INFOTECH, INC.	
3. Collaborating Organization(s) →	ADD	
4. Data Management	Organization Name	Actions
Plants	There are no collaborating organizations associated	with this DUA. Use the Add button to select one.
5. Data User(s)		
6. Re-use Data File Selection(s)		
7. New Data File Selection(s)		Save & Quit Previous Next

4. Click Save & Quit.

2.3 Review and Submit Updated LDS DUA

Review the following DUA Review Page sections using the plus sign (+) icon, as desired, before going to the Terms & Conditions. The Review screen displays the following sections of the DUA:

- DUA Life Cycle
- Main Information
- Collaborating Organization(s)
- Custodian(s)

Figure 12: DUA Review Screen

The Update/Amend action was performed on LDSS-2023-60236					
DUA Num	ber: LDSS	-2023-602	36		
Collapsed View	Expanded View	Approved Version			
					🕒 PRINT TO PDF
DUA Life Cycle					+
Main Informatio	n				-
DUA Number: LDSS-2023-60236 DUA Customer Type: Limited Data Set DUA Customer J. 1. LIMITED DATASETS (LDS)		Privacy Act & HIPAA Authorization Code Privacy Act Authorization Code: PA03-RES – RESEARCH RU HIPAA Authorization Code: Limited Data Set			
DUA Hequest type: OFOATE DUA DUA Status: In Progress Expiration Date: 12/20/2024 Requested Date: 12/20/2023					

1. Click **Submit**.

Note: Comments are required for all Update DUAs and can be entered in the comments tab of the Submit dialogue box.

Figure 13: Submit: Comment and Special Instructions

tional.					
			1.		
) characters, remaining: 2	000				
ons are optional					
ine are opnoriali					
	tional. D characters, remaining: 2 ns ms are optional.	tional. Dicharacters, remaining: 2000 ns are optional.	tional. Dcharacters, remaining: 2000 ns are optional.	tional. D characters, remaining: 2000 ns ans are optional.	tional. Dcharacters, remaining: 2000 ns are optional.

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

The Terms & Conditions screen is displayed following the DUA Review Page.

Figure 14: Accept Terms and Conditions



- 5. Mark the I agree to the terms and conditions above checkbox.
- 6. Click Submit.

Submission confirmation message, "DUA request [DUA Number] has been submitted for review. You will receive a follow-up email notification. To view the DUA navigate to My DUAs." is displayed on the DUA Request Status screen.

- The DUA will be placed in the Requester's Submitted Queue.
- The LDS DMT will find the DUA in their Pending Action(s) queue.

Figure 15: DUA Submission Confirmation

OUA 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	-2022-59303	
Collapsed View	Expanded View		
			🖄 PRINT TO PDF
DUA Life Cycle			+
Main Informatio	'n		_
DUA Number:	LDSS-2022-59303	- Privacy Act & HIPAA Authorization Code	
DUA Customer DUA Category: DUA Request Ty	Type: Limited Data 51 – LIMITED DATA Type: UPDATE DUA	Viset Privacy Act Authorization Code: PA03-RES - RESEARCH RU SETS (LDS) HIPAA Authorization Code: Limited Data Set	

Notes:

- 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.

CMS

3. Acronyms

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

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.