



# **Administrative Simplification Enforcement and Testing Tool (ASETT)**

**User Manual**

---

Version 4.1

3/5/2021

# Table of Contents

|   |           |
|---|-----------|
| <b>1. Introduction</b>                                  | <b>5</b>  |
| 1.1 Purpose   | 5         |
| <b>2. Overview</b>                                      | <b>6</b>  |
| 2.1 Business Processes                                  | 6         |
| 2.2 Conventions   | 6         |
| 2.3 Cautions and Warnings                               | 7         |
| <b>3. The ASETT Website Home Page</b>                   | <b>8</b>  |
| 3.1 Accessing the Website                               | 8         |
| 3.2 Navigating the Website                              | 9         |
| 3.2.1 Top Navigation Bar Links                          | 10        |
| 3.2.2 Action Buttons                                    | 19        |
| 3.2.3 Bottom Navigation Links                           | 33        |
| <b>4. Filing a Complaint as a Registered User</b>       | <b>37</b> |
| 4.1 Create an Electronic Complaint                      | 37        |
| 4.1.1 Complaint Type Page                               | 38        |
| 4.1.2 Complainant Details Page                          | 38        |
| 4.1.3 FAE Details Page                                  | 40        |
| 4.1.4 Complaint Details Page                            | 40        |
| 4.1.5 Attach Support Documents                          | 41        |
| 4.1.6 Add Notes   | 43        |
| 4.1.7 Review Complainant Summary Page                   | 43        |
| 4.1.8 Review the Submitted Complaint Page               | 45        |
| 4.1.9 Saving a Draft                                    | 46        |
| 4.1.10 Cancel a Complaint                               | 48        |
| 4.2 Managing Complaints                                 | 49        |
| 4.2.1 Attach Support Documents to a Submitted Complaint | 49        |
| 4.2.2 Add Notes to a Submitted Complaint                | 51        |
| 4.2.3 View Draft Complaints                             | 52        |
| 4.2.4 Close or Retract a Complaint                      | 53        |
| 4.3 Test HIPAA Transactions                             | 56        |
| 4.3.1 Error Report                                      | 60        |
| <b>5. Filing a Complaint without Registering</b>        | <b>61</b> |
| 5.1 Get Started   | 61        |
| 5.2 Complaint Type Page                                 | 64        |
| 5.3 Complainant Details Page                            | 65        |
| 5.4 FAE Details Page                                    | 67        |
| 5.5 Complaint Details Page                              | 68        |
| 5.6 Reviewing the Complaint                             | 69        |
| 5.6.1 Progress Bar                                      | 70        |

5.7 Cancel Button ..... 71

**6. Filed-Against Entity Portal ..... 72**

6.1 Access the FAE Portal ..... 72

6.2 Initial Response ..... 74

6.2.1 Agree with Violation ..... 75

6.2.2 Disagree with Violation ..... 75

6.2.3 Add Notes..... 76

6.2.4 Upload Attachment ..... 77

6.3 Corrective Action Plan ..... 79

6.3.1 Add Notes..... 79

6.3.2 Upload Attachment ..... 80

6.4 Certify CAP Complete..... 81

**7. Troubleshooting and Support..... 83**

7.1 Error Messages..... 83

7.1.1 Data-Entry Errors..... 83

7.1.2 System Errors..... 84

7.2 Support ..... 85

**8. Appendix A: Record of Changes ..... 86**

**9. Appendix B: Glossary of Terms and Acronyms..... 87**

## List of Figures

Figure 1 – ASETT Warning Message..... 7

Figure 2 – ASETT Home Page ..... 9

Figure 3 – Top Navigation Bar ..... 10

Figure 4 – Home Link in Top Navigation Bar ..... 11

Figure 5 – About ASETT Page ..... 12

Figure 6 – Expand the Topics..... 13

Figure 7 – Contact Us Link ..... 14

Figure 8 – Support Options..... 15

Figure 9 – ASETT Glossary Link ..... 16

Figure 10 – Glossary Page (Excerpt)..... 16

Figure 11 – Frequently Asked Questions Link ..... 17

Figure 12 – Frequently Asked Questions Page (Excerpt) ..... 18

|  |    |
|--|----|
| Figure 13 – User Manual Link.....                    | 18 |
| Figure 14 – User Manual Page (Excerpt).....          | 19 |
| Figure 15 – Register Button.....                     | 20 |
| Figure 16 – Personal Information Fields.....         | 21 |
| Figure 17 – IDM Self Service Screen.....             | 22 |
| Figure 18 – Request Security Code.....               | 23 |
| Figure 19 – Enter the Security Code.....             | 24 |
| Figure 20 – Business Contact Information Fields..... | 25 |
| Figure 21 – Reason for Request.....                  | 26 |
| Figure 22 – App Launcher Page.....                   | 27 |
| Figure 23 – Salesforce App Store.....                | 27 |
| Figure 24 – App Listing Page.....                    | 28 |
| Figure 25 – Login Button.....                        | 29 |
| Figure 26 – CMS IDM Sign In Page.....                | 29 |
| Figure 27 – Request Security Code.....               | 30 |
| Figure 28 – Enter Verification Code.....             | 31 |
| Figure 29 – ASETT Community Home Page.....           | 32 |
| Figure 30 – Get Started Button.....                  | 33 |
| Figure 31 – Home Link at Bottom of Page.....         | 34 |
| Figure 32 – Privacy Policy Link.....                 | 35 |
| Figure 33 – Privacy Policy (Excerpt).....            | 35 |
| Figure 34 – Security Policy Link.....                | 36 |
| Figure 35 – Security Policy Page.....                | 36 |
| Figure 36 – Registered User Home Page.....           | 37 |
| Figure 37 – Complaint Type Selection Page.....       | 38 |
| Figure 38 – Complainant Details Page.....            | 39 |
| Figure 39 – Filed-Against Entity Details Page.....   | 40 |



|  |    |
|--|----|
| Figure 40 – Complaint Details Page .....               | 41 |
| Figure 41 – Attachment Upload .....                    | 42 |
| Figure 42 – Complaint Notes .....                      | 43 |
| Figure 43 – Review Complainant Summary (Excerpt) ..... | 44 |
| Figure 44 – Complaint Submitted Message .....          | 45 |
| Figure 45 – Complaint Overview Page .....              | 46 |
| Figure 46 – Save Draft Button .....                    | 47 |
| Figure 47 – Complaint Draft Saved.....                 | 47 |
| Figure 48 – Cancel Complaint Button .....              | 48 |
| Figure 49 – Cancel Confirmation .....                  | 49 |
| Figure 50 – View Submitted Complaints Button.....      | 50 |
| Figure 51 – Submitted Complaints List .....            | 50 |
| Figure 52 – View Submitted Complaints Button.....      | 51 |
| Figure 53 – Submitted Complaint List.....              | 52 |
| Figure 54 – View Draft Complaints Button .....         | 53 |
| Figure 55 – Draft Complaints List .....                | 53 |
| Figure 56 – View Submitted Complaints.....             | 54 |
| Figure 57 – Submitted Complaints List .....            | 54 |
| Figure 58 – Close/Retract Complaint Button.....        | 55 |
| Figure 59 – Reason for Closure Page .....              | 55 |
| Figure 60 – Complaint Marked for Closure .....         | 56 |
| Figure 61 – Test HIPAA Transactions Button .....       | 57 |
| Figure 62 – Test HIPAA Transactions Page .....         | 58 |
| Figure 63 – Transaction Test Results Report .....      | 59 |
| Figure 64 –Error Report (Excerpt) .....                | 60 |
| Figure 65 – Get Started Button.....                    | 62 |
| Figure 66 – File a HIPAA Complaint.....                | 63 |

|  |    |
|--|----|
| Figure 67 – Select Complaint Type.....                 | 64 |
| Figure 68 – Complainant Details Page .....             | 65 |
| Figure 69 – FAE Details Page .....                     | 67 |
| Figure 70 – Complaint Details Page .....               | 68 |
| Figure 71 – Review the Complaint page (Excerpt).....   | 69 |
| Figure 72 – Success Message with Complaint Number..... | 70 |
| Figure 73 – Progress Bar.....                          | 71 |
| Figure 74 – Cancel Button .....                        | 71 |
| Figure 75 – System-Generated Notice of Complaint.....  | 72 |
| Figure 76 – Warning Screen.....                        | 73 |
| Figure 77 – Security Token Entry Page .....            | 73 |
| Figure 78 – FAE Portal Welcome Page .....              | 74 |
| Figure 79 – Initial Response Option Buttons.....       | 74 |
| Figure 80 – Agree Confirmation Message .....           | 75 |
| Figure 81 – Violation Accepted Displays.....           | 75 |
| Figure 82 – Disagree Confirmation Message.....         | 76 |
| Figure 83 – Violation Rejected Displays .....          | 76 |
| Figure 84 – Add a Note Page .....                      | 77 |
| Figure 85 – Note Added Success Message.....            | 77 |
| Figure 86 – Initial Response Upload Page.....          | 78 |
| Figure 87 – Upload Confirmation Message.....           | 78 |
| Figure 88 – Corrective Action Plan Option Buttons..... | 79 |
| Figure 89 – Add a Note Page .....                      | 79 |
| Figure 90 – Note Added Success Message.....            | 80 |
| Figure 91 – CAP Response Upload Page.....              | 80 |
| Figure 92 – Upload Confirmation Message.....           | 81 |
| Figure 93 – CAP Complete Certification .....           | 81 |

|   |    |
|---|----|
| Figure 94 – Agree with Certification Statement..... | 82 |
| Figure 95 – Complaint Closure Message.....          | 82 |
| Figure 96 – Complaint Error Message Display .....   | 83 |
| Figure 97 – Sample System Error.....                | 85 |

## List of Tables

|   |    |
|---|----|
| Table 1 – ASETT Business Processes.....                   | 6  |
| Table 2 - Complaint Detail Error Messages (Example) ..... | 83 |
| Table 3 – Record of Changes .....                         | 86 |
| Table 4 – Glossary of Terms and Acronyms .....            | 87 |

# 1. Introduction

---

Title II of the Health Insurance Portability and Accountability Act (HIPAA), known as the Administrative Simplification provisions, requires national standards for electronic healthcare transactions and national identifiers for providers and employers.

The standards improve the efficiency and effectiveness of the nation's healthcare system by encouraging widespread use of electronic data interchange (EDI) in the U.S. healthcare system.

Section 1104 of the ACA requires implementing transaction operating rules and additional standards. It also requires periodic compliance reviews.

The Administrative Simplification Enforcement and Testing Tool (ASETT) supports the Administrative Simplification and the ACA by providing complainants a way to file complaints, check the status and update their complaints (including electronic submission of supporting documents), and test healthcare transactions for compliance with HIPAA/ACA standards and Operating Rules. The tool also allows the staff of the Centers for Medicare and Medicaid Services (CMS), on behalf of the Department of Health and Human Services (HHS), to manage the overall complaint process, add information about a complaint, review and upload documents, test transactions, and generate reports to track activities and complaint status.

## 1.1 Purpose

This manual contains procedures for ASETT users (registrants, site users, administrators, and filed-against entities) to use all the ASETT functions and features.

## 2. Overview

The ASETT application is available for industry users (health plans, healthcare clearinghouses, providers, and their business partners or associates) to obtain information about the Administrative Simplification provisions, to file a complaint for a potential violation of those provisions, and for the National Standards Group (NSG) to monitor and enforce those provisions.

### 2.1 Business Processes

The ASETT application is comprised of the following business processes:

Table 1 – ASETT Business Processes

| Business Process                | Description   |
|---------------------------------|---|
| <b>Complainant Registration</b> | Prospective complainants can create user credentials for ASETT  |
| <b>Complaint Filing</b>         | Complainants can submit an electronic complaint and provide support for that complaint  |
| <b>Complaint Management</b>     | Registered users can check the status of a complaint or upload support documents. The complainant must have filed their complaint in the ASETT tool             |
| <b>Transaction Testing</b>      | Registered users can test a healthcare transaction for Administrative Standards compliance, with or without filing a complaint                                  |
| <b>Complaint Response</b>       | The Filed-Against Entity (FAE) can accept or dispute allegations, upload response documents, and certify a corrective action plan is complete, via a web portal |

ASET T is available 24 hours a day, seven (7) days a week, except for downtime for system maintenance.

### 2.2 Conventions

This User Manual provides screen images and corresponding descriptions for how to use the system. The manual follows the flow of ASETT screens. The manual begins with an overview and navigation of the ASETT Website Home Page, then moves to overviews of the ASETT Complaint filing and response tools.

Several of the screen images of the system are modified to fit into this user manual. The modifications provide a reasonable facsimile of the pages seen in your web browser.

Page names, field names, action buttons, and important information is displayed in **Bold** text.

As an instructional guide, this User Manual employs command syntax conventions adhering to the Microsoft Manual of Style for Technical Publications.

## 2.3 Cautions and Warnings

ASETT has one warning message, which is displayed before allowing access to the system, a warning about the penalties for unauthorized use.

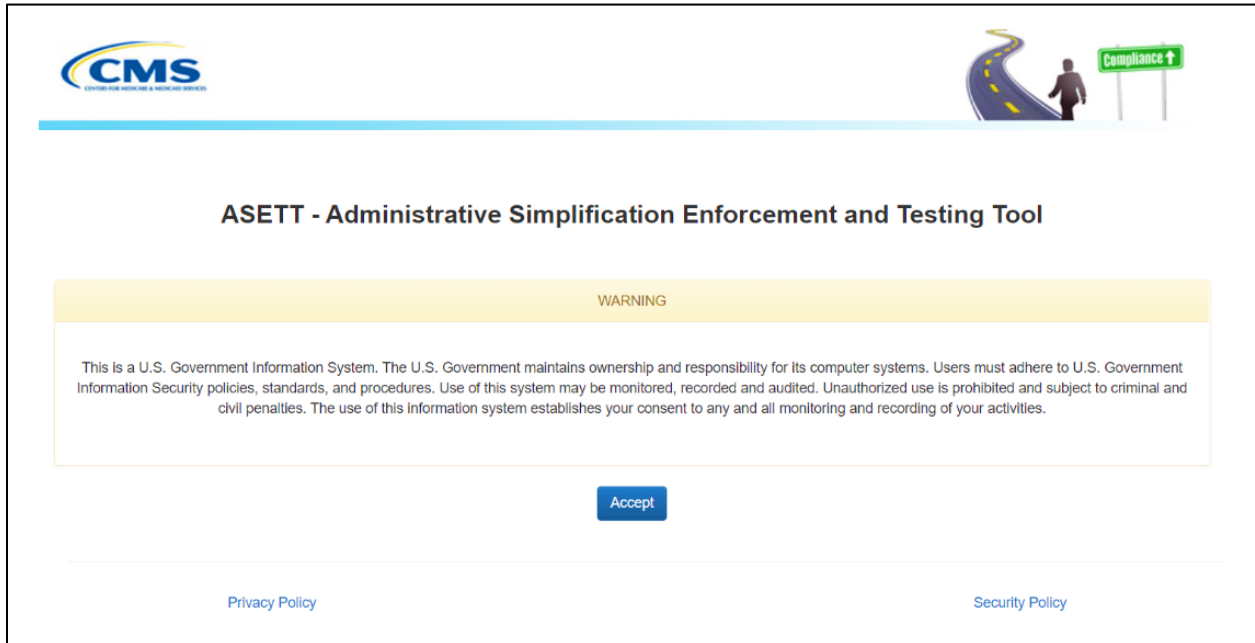


Figure 1 – ASETT Warning Message

## 3. The ASETT Website Home Page

---

### 3.1 Accessing the Website

ASETT requires no specific setup activities. You may access the system via a web browser (Internet Explorer (IE) 9 or above, Mozilla Firefox 3.6 and above, or Google Chrome) and enter data into ASETT via a personal computer. You need access to the Internet to find and view the ASETT pages, and access to a printer to print.

Select the following link to access ASETT: <https://asett.cms.gov>

The system will display the **ASETT Home Page**.

**Home**   **About ASETT**   **Contact Us**   **Support**   **Register**   **Login**

# COMPLIANCE

## ASETT

### Administrative Simplification Enforcement and Testing Tool

ASETT is a web-based application which enables individuals or organizations to file a Health Insurance Portability and Accountability Act (HIPAA) and/or Affordable Care Act (ACA) complaint against a HIPAA covered entity for potential non-compliance with the non-Privacy/Security provisions of HIPAA.

#### File HIPAA Complaint

See the [About ASETT](#) section to learn more about how to file a complaint.

Submit complaints for the following violations:

- Transaction
- Unique Identifier
- Code Sets
- Operating Rules

To file a complaint you must login by clicking the login button. If you don't have an account, you can create one through the CMS Enterprise Portal by clicking on the Create Account button.

If you would like to file a complaint without an account, click on the Get Started button below.

[Get Started](#)

#### Test HIPAA Transactions

Test Transaction tool allows all transactions to be checked consistently for compliance, syntax and business rules. Validate transactions across various formats including the following:

- ASC X12 5010
- NCPDP D.0
- ICD-10 Diagnostic and procedure codes
- Unique Identifiers

This tool can also validate code values against 60-plus clinical and non-clinical code sets, including ICD-9 and ICD 10 diagnosis and procedure code sets. The Test Transactions tool will provide intuitive error reports and acknowledgements to help identify and resolve error.

To test a transaction you must login by clicking the login button. If you don't have an account, you can create one by clicking on the Register link.

#### Privacy Complaints

If you believe that a covered entity or business associate violated your health information privacy rights or committed another violation of the Privacy, Security or Breach Notification Rules, you may file a complaint at the link below: [Office for Civil Rights \(OCR\)](#).

[Home](#)   [Privacy Policy](#)   [Security Policy](#)

Figure 2 – ASETT Home Page

## 3.2 Navigating the Website

The ASETT website is comprised of several pages and functions described in this section of the user manual.





Figure 3 – Top Navigation Bar

The ASETT website pages contain a top navigation bar with links to other ASETT pages. The links available are:

- **Home**
- **About ASETT**
- **Contact Us**
- **Support**

The ASETT Home Page contains three (3) action buttons for specific ASETT processes, further described in **Section 3.2**. The buttons are:

- **Register**
- **Login**
- **Get Started**

At the bottom of each page is displayed three (3) hyperlinks further described in **Section 3.3**. The links are:

- **Home**
- **Privacy Policy**
- **Security Policy**

There is also a link to the **Office for Civil Rights (OCR)** for users who found the ASETT Home Page while looking to file a complaint about HIPAA Privacy and Security regulation violation. ASETT is not affiliated with OCR.

## 3.2.1 Top Navigation Bar Links

### 3.2.1.1 Home

Selecting **Home** from the top navigation bar will return you to the **ASETT Home** page. If you are on the ASETT Home page, selecting the **Home** link will simply refresh the page.



Figure 4 – Home Link in Top Navigation Bar

Please also see **Section 3.2.3.1 Home**.

### 3.2.1.2 About ASETT

When **About ASETT** is selected, you are navigated to the **About ASETT** page.

The first item is a video overview of Administrative Simplification with an introduction to the ASETT system.

The screenshot shows the 'About ASETT' page on the CMS website. At the top, there is a navigation bar with 'Home', 'About ASETT', 'Contact Us', and 'Support'. To the right of the navigation bar are 'Register' and 'Login' buttons. Below the navigation bar is the 'About ASETT' section header. A paragraph of text describes the video content: 'This video provides an overview of Administrative Simplification, CMS' role in the enforcement of standards, and an introduction to ASETT, a CMS tool to test transactions, file a complaint and track the progress of a complaint.' Below the text is a video player with the title 'CMS Enforcement'. The video player has a play button and a sad face icon. Below the video player are five expandable menu items: 'ASET Overview', 'Filing a HIPAA Complaint', 'Testing HIPAA Transactions', 'Complaint Investigation Process', and 'More Information on HIPAA'. At the bottom of the page, there are links for 'Home', 'Privacy Policy', and 'Security Policy'.

Figure 5 – About ASETT Page

There are five sections displayed below the overview video. To open a section, click on the down icon on the left of the bar or select the section title:

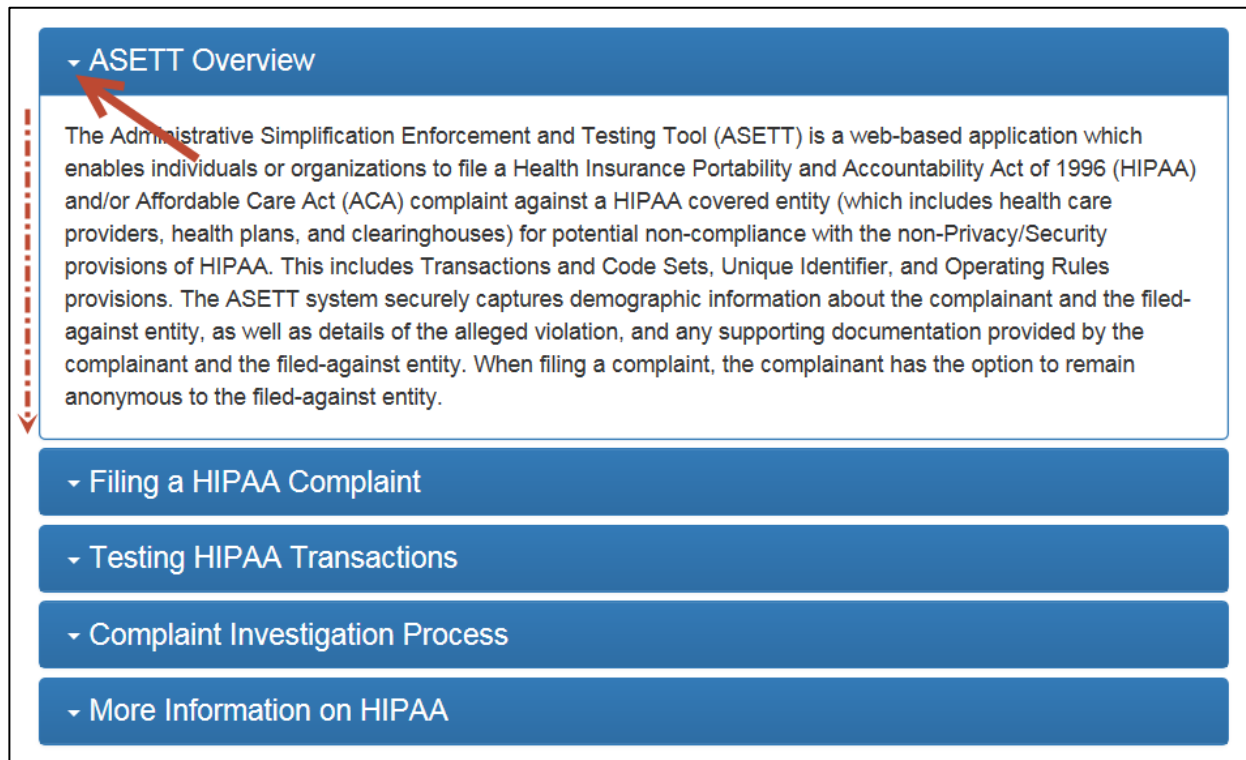


Figure 6 – Expand the Topics

Each section provides detail for the section heading (topic), ranging from description of the tool (**ASET Overview**) to instruction to perform activities within ASETT (**Filing a HIPAA Complaint** and **Testing HIPAA Transactions**), and including general information (**Complaint Investigation Process** and **More Information on HIPAA**).

To close the section, click on the down icon on the left of the bar, select the section title again, or select the next section title you wish to open, which automatically closes the previous open section.

The **Previous** button is located at the bottom of the page. Selecting this button will return you to the prior page, in this case, back to the **Home** page.

### 3.2.1.3 Contact Us

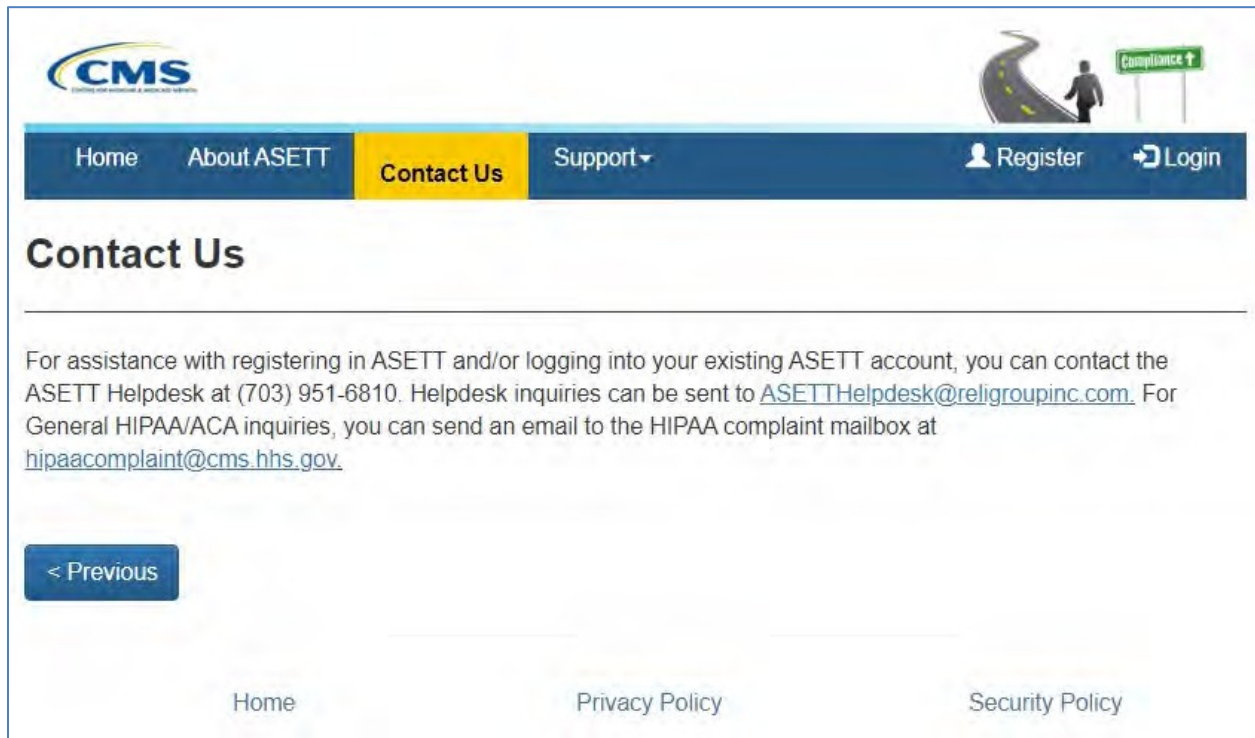


Figure 7 – Contact Us Link

When **Contact Us** is selected, you are navigated to the **Contact Us** page, where you will find several methods to reach out to both the NSG Enforcement Team and the ASETT Help Desk Team. The ASETT Help Desk is available from 8 am to 5 pm Eastern time, Monday through Friday, except for Federal holidays.

The **Previous** button is located at the bottom of the page. Selecting this button will return you to the prior page; in this case, back to the **About ASETT** page.

### 3.2.1.4 Support

The **Support** link is a drop-down menu. When the **Support** link is selected, it will display the menu options. Each option will navigate you to a new page.





Figure 8 – Support Options

The options to select for further assistance:

**ASETT Glossary**

**Frequently Asked Questions**

**User Manual**

### 3.2.1.4.1 ASETT Glossary



Figure 9 – ASETT Glossary Link

When you select the ASETT Glossary link, you are navigated to the Glossary page, where terms are defined for all users.

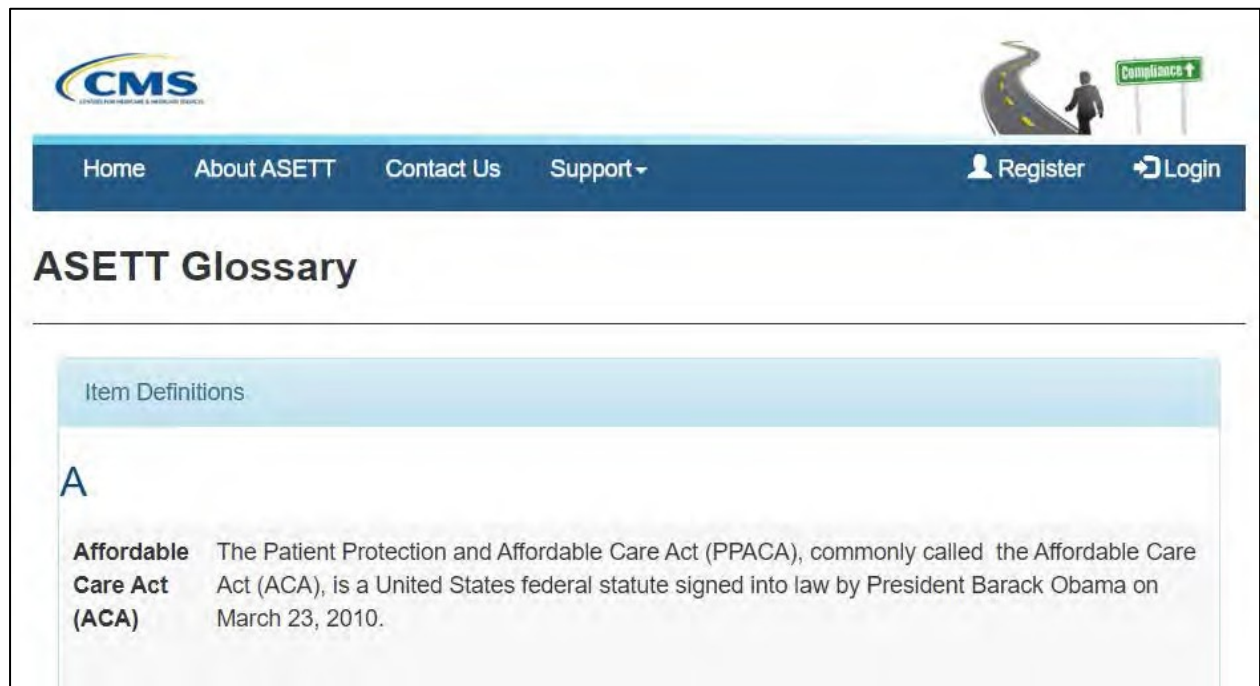


Figure 10 – Glossary Page (Excerpt)

The **Previous** button is located at the bottom of the page. Selecting this button will return you to the **Home** page.

### 3.2.1.4.2 Frequently Asked Questions



Figure 11 – Frequently Asked Questions Link

When **Frequently Asked Questions** is selected, you are navigated to the **Frequently Asked Questions** page, where you will find explanations and answers for most often asked questions about ASETT, HIPAA Administrative Simplification, and complaint enforcement.

The following is an excerpt from the page:



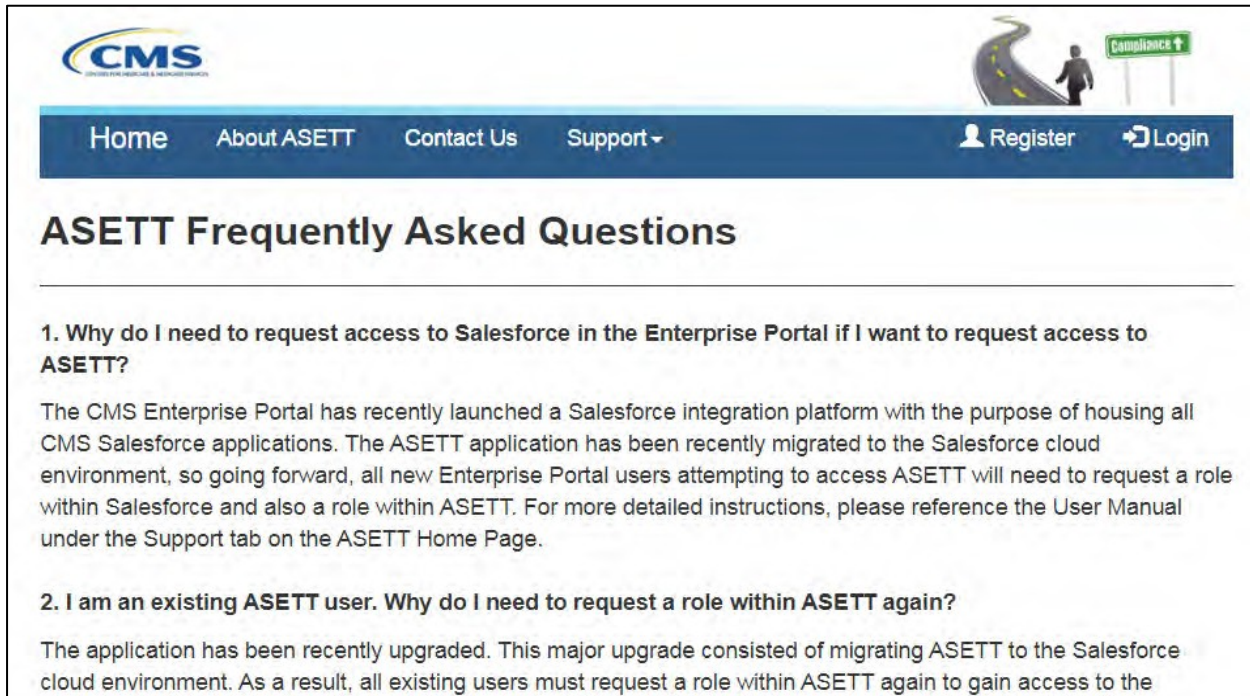


Figure 12 – Frequently Asked Questions Page (Excerpt)

The **Previous** button is located at the bottom of the page. Selecting this button will return you to the **Home** page.

3.2.1.4.3 *User Manual*



Figure 13 – User Manual Link

When **User Manual** link is selected, you will be navigated to the **Administrative Simplification Enforcement and Testing Tool (ASETT) User Manual**, a .pdf file that you

can review online or download to your local device. The user manual describes features and provides guides to navigating ASETT website pages. Hyperlinks within the user manual will direct you to affiliated CMS websites.



Figure 14 – User Manual Page (Excerpt)

The **Previous** button is located at the bottom of the page. Selecting this button will return you to the **Home** page.

### 3.2.2 Action Buttons

### 3.2.2.1 Register Button (New User Registration)



Figure 15 – Register Button

You must first register in the **CMS Identity Management (IDM)** system. This manual does not provide comprehensive steps to complete your registration in IDM; please see the [CMS IDM User Guide](#) found on the [CMS Identity Management](#) page.

#### 3.2.2.1.1 New User Registration

Select the **Register** button on the navigation bar at the top of any ASETT website page to be directed to the IDM registration page.

You may also access the IDM registration page by typing <https://sei.cms.gov/> into your browser; select the **New User Registration** button below the **Sign In** fields.

On the CMS.gov IDM Self Service **Personal** information page, complete all mandatory fields.

1 Personal 2 Contact 3 Credentials

\* Optional fields are labeled as (Optional).

First Name

Middle Name (Optional)

Last Name

Suffix (Optional)

Date Of Birth  
MM/DD/YYYY

E-mail Address

Confirm E-mail Address

[View Terms & Conditions](#)

I agree to the terms and conditions

Figure 16 – Personal Information Fields

On the subsequent registration pages, you will enter your contact details and create your username, password, and security question and answer.

Follow the screen prompts and the [CMS IDM User Guide](#).

#### 3.2.2.1.2 Complete Identity Proofing

After you complete the personal information registration, the system will log you out.

**Note:** It is best to complete all steps of the registration process in one day.

On the **CMS IDM Sign In** page, enter the user id you created in the **Username** field.

Enter the password you created in the **Password** field.

Mark the checkbox that you **Agree with our Terms & Conditions**.

Select the **Sign In** button.

The **IDM Self Service** screen will display with four tiles:

**My Profile**  
**Manage My Roles**  
**Role Request**  
**My Requests**

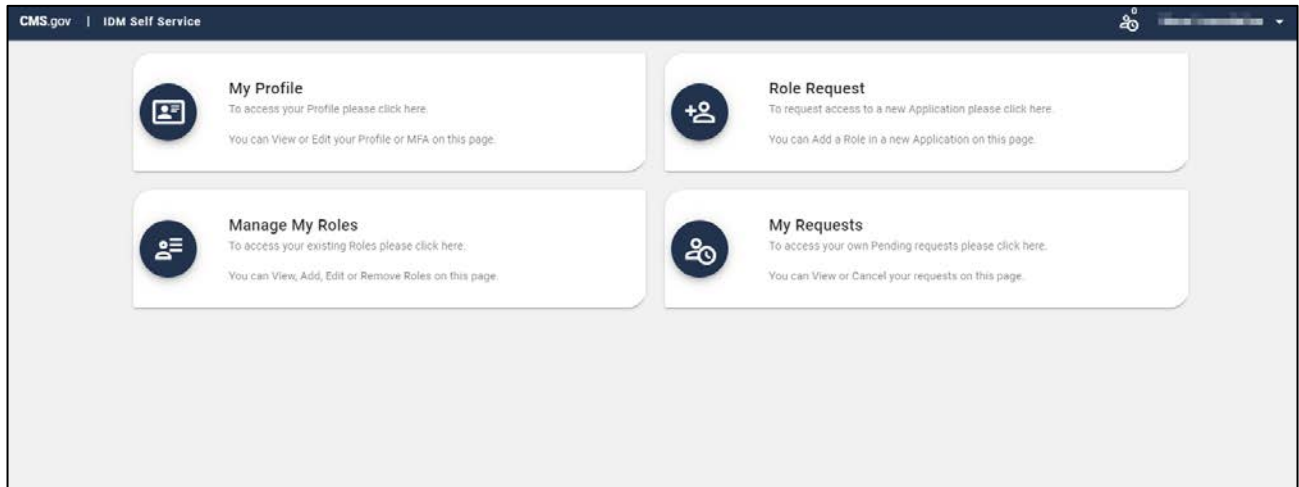


Figure 17 – IDM Self Service Screen

Select the **Role Request** tile

On the **Role Request** page, select **Salesforce** from the list in the **Select an Application** field.

Select **Salesforce User** from the list in the **Select a Role** field.

Agree to **Remote Identity Proofing (RIDP)** and complete the fields on the **Remote Identity Proofing** screen.

Select the **Next** button; the system will log you out.

**Note:** If you encounter any problems with RIDP, capture the **Review Reference code** in the disclaimer message at the top of the page and contact the ASETT Help Desk for assistance.

#### 3.2.2.1.3 *Request a Role*

On the **CMS IDM Sign In** page, enter your username and password, agree to the terms and conditions, and select the **Sign In** button.

On the next screen, the system will ask you to request a verification code.



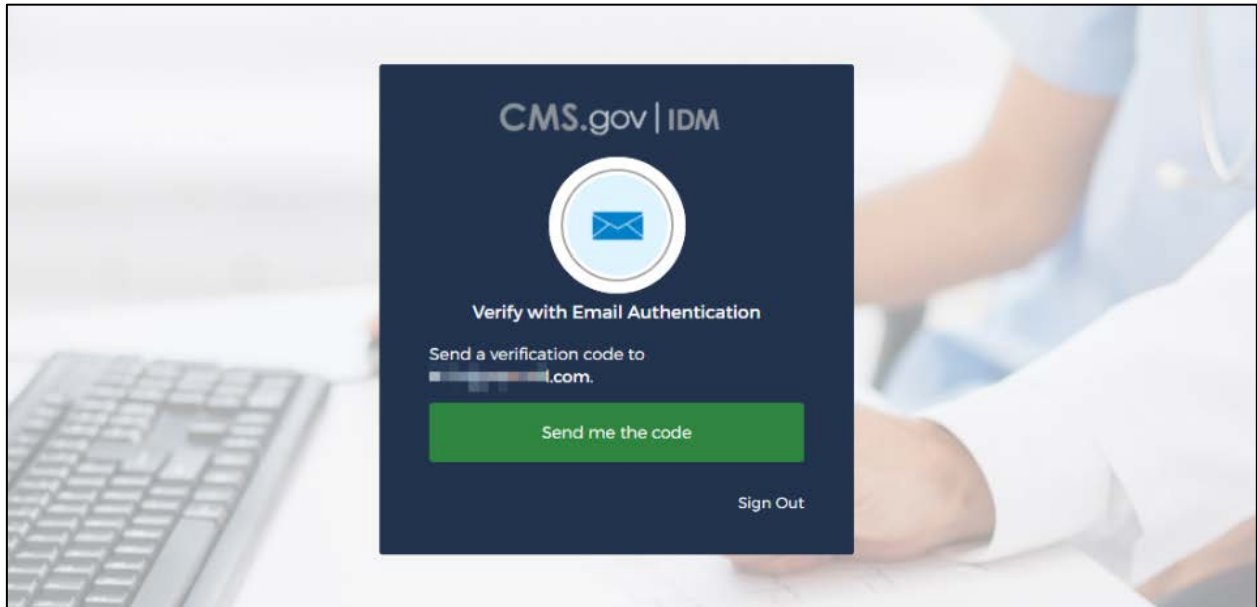


Figure 18 – Request Security Code

Select the **Send me the code** button. The system will send a security code to your email address.

The IDM page will redisplay with a **Verification code** field.

Enter the code from the email you received and select the **Verify** button.

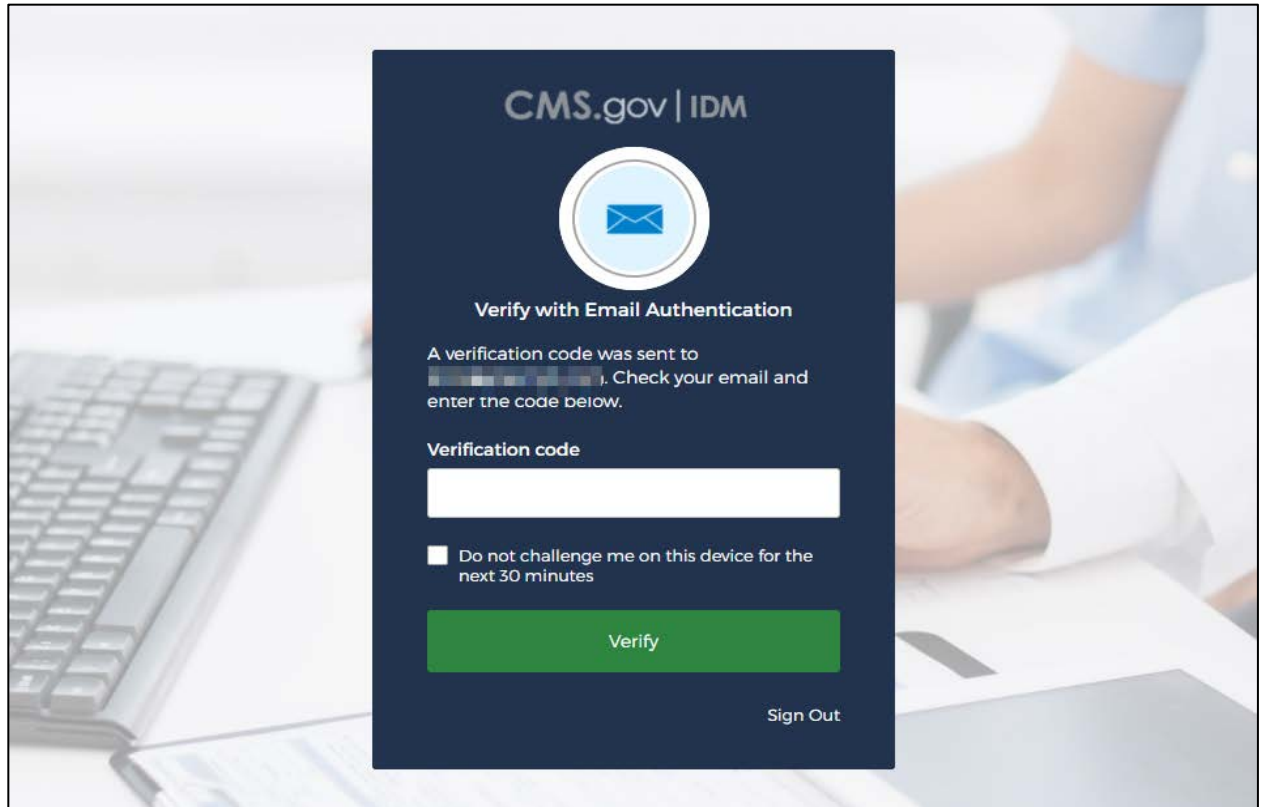


Figure 19 – Enter the Security Code

Add your **Business Contact** information to the **Business Contact Information** screen.

CMS.gov | IDM Self Service

### Role Request

\* Optional fields are labeled as (Optional).

Application Role BCI Review

#### Update Business Contact Information

\* Optional fields are labeled as (Optional).

Last 4 of SSN

Professional Credentials (Optional)

Company Name

Address Line 1

Address Line 2 (Optional)

City

State

Zip Code  
12345

Figure 20 – Business Contact Information Fields

When all the fields are complete, select the **Update Business Contact Information** button.

The **Role Request** page will display; enter your reason in the **Reason for Request** field. Select the **Submit Role Request** button.



The screenshot shows the 'Role Request' form in the 'IDM Self Service' application. The form is titled 'Role Request' and has a progress bar with three steps: 'Application', 'Role', and 'Review'. The 'Review' step is currently active. Below the progress bar, there are several input fields: 'Application' (Salesforce), 'Application Description' (CMS business applications on Salesforce Platform. Users include CMS Employees/Contractors, Applicants, Providers, Participants, State Organizations, and General Public etc.), 'Role' (Salesforce user), and 'Role Description' (CMS Employees/Contractors, Applicants, Providers, Participants, State Organizations, and General Public etc.). There is also a 'Reason for Request' text area. At the bottom, there are three buttons: 'Cancel' (red), 'Back' (yellow), and 'Submit Role Request' (green).

Figure 21 – Reason for Request

A confirmation message with a **Request ID** will display.

Select the **Back to Home** button or **Log Out** (found by hovering over your name in the upper right corner of the screen).

An approval email is sent to your email address.

#### 3.2.2.1.4 Request ASETT Access

**Note:** You must enter the web address <https://sei.cms.gov/> in your browser to complete the next steps.

On the **CMS IDM Sign In** page, enter your username and password, agree to the terms and conditions, and select the **Sign In** button.

Follow the screen prompts to request a security code, retrieve and enter the code from your email in the verification code field, and select the **Verify** button.

The **Salesforce Enterprise Integration App Launcher** page will display.

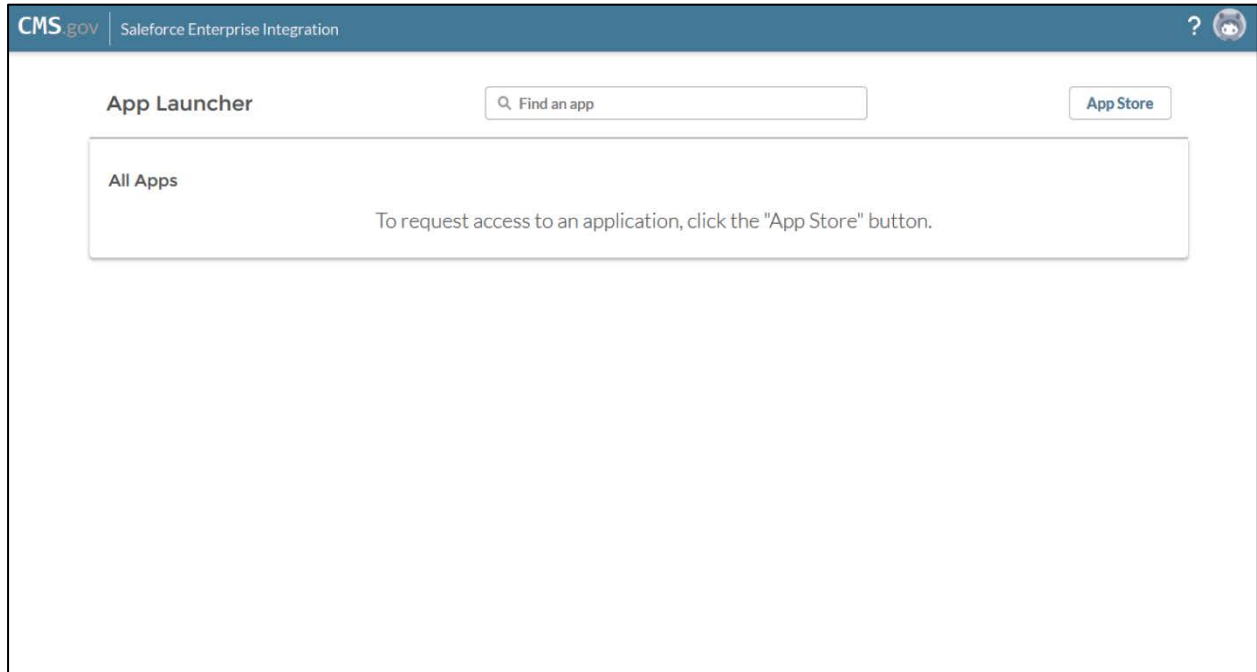


Figure 22 – App Launcher Page

Select the **App Store** button in the upper right corner of the screen.

The **Salesforce App Store** page will display, where you can request access to multiple CMS Salesforce applications as needed.

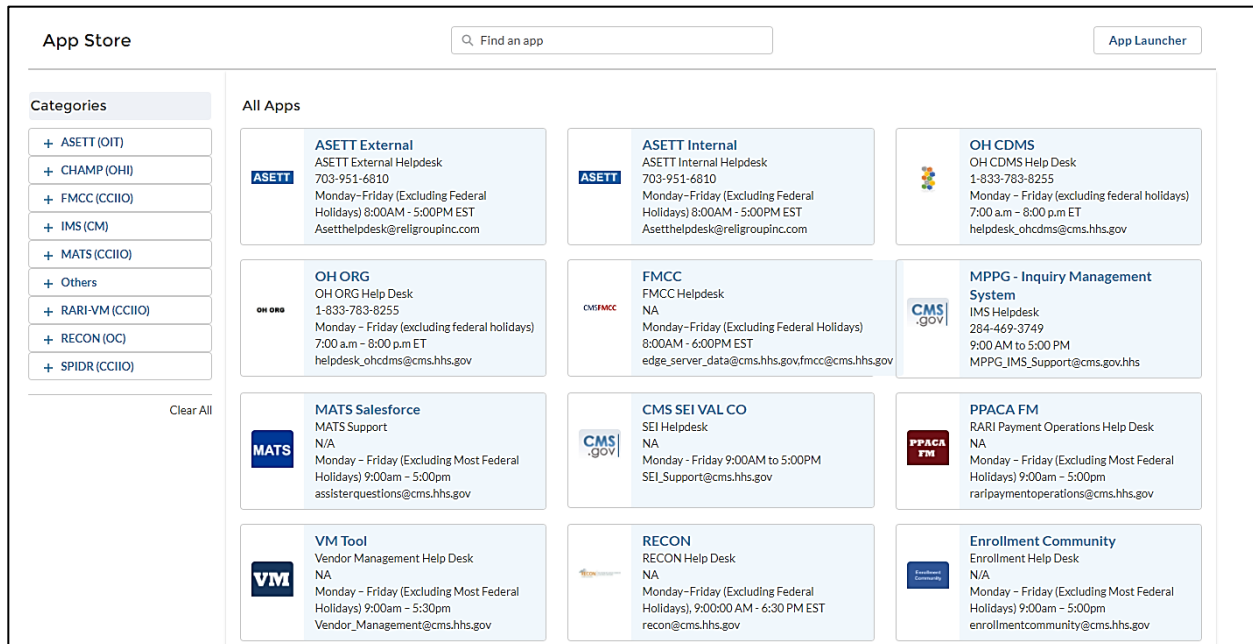


Figure 23 – Salesforce App Store

**Note:** Select the **ASET External** tile to file and maintain HIPAA complaints for violations of the Administrative Simplification regulations.

Select the **ASET External** tile from the catalog of applications shown.

The **CMS App Listing** page will display the **Application Details** tab and the **Help Desk Information** tab.

The screenshot shows the 'CMS App Listing' page. At the top, there is a header 'CMS App Listing'. Below it, there are two tabs: 'Application Details' (which is active) and 'Help Desk Information'. On the left side, there is a logo for 'ASETT' and the text 'ASETT External'. The main content area shows the following details:

- Application Name:** ASETT External
- Application Description:** Administrative Simplification Enforcement and Testing Tool
- Request Access:** A section with a label '\* Comments' and a text input field.

At the bottom right of the page, there are two buttons: 'Back to App Store' and 'Send Request'.

Figure 24 – App Listing Page

The **Application Description** is prefilled.

Enter comments in the **Request Access** field.

Select the **Send Request** button.

An **Application Request Confirmation** window will display. This indicates an email with information to access the application was sent to the address on file.

**Note:** External user roles are approved automatically.

### 3.2.2.2 Login Button



Figure 25 – Login Button

Select the **Login** button in the top navigation bar to be directed to the **CMS IDM Sign In** page.

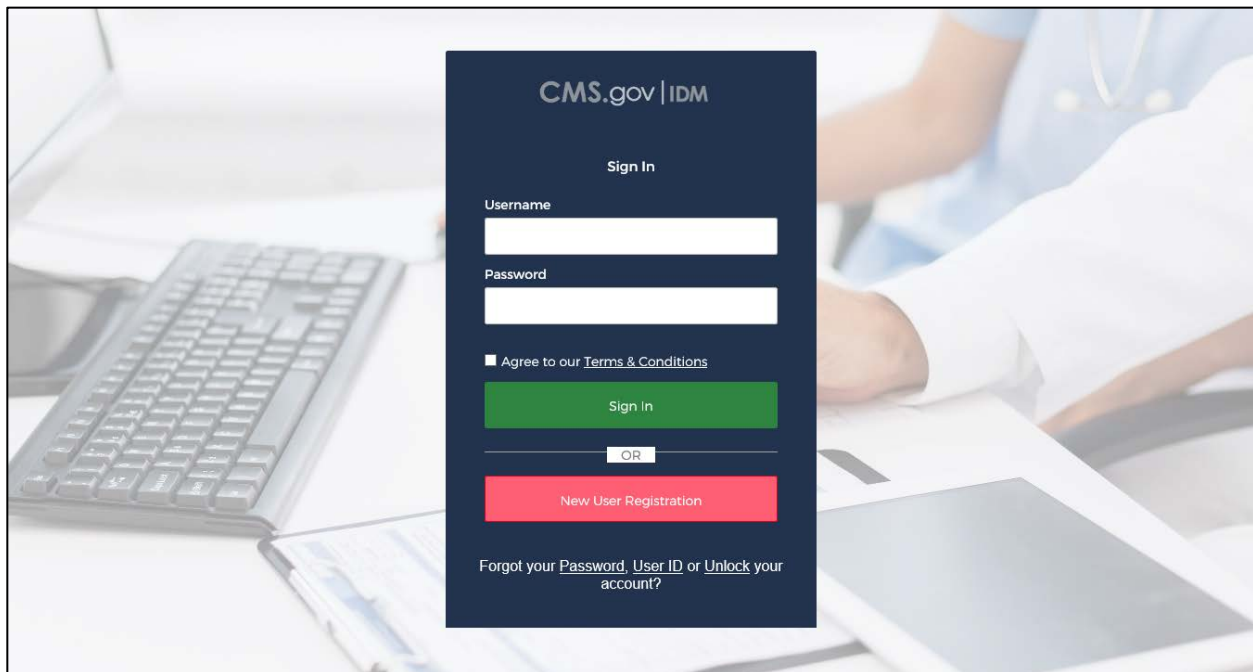


Figure 26 – CMS IDM Sign In Page

On the **CMS IDM Sign In** page, enter the User ID in the **Username** field.

Enter the password in the **Password** field.

Mark the checkbox that you **Agree with our Terms & Conditions**.

Select the **Sign In** button .

On the next screen, the system will ask you to request a verification code.

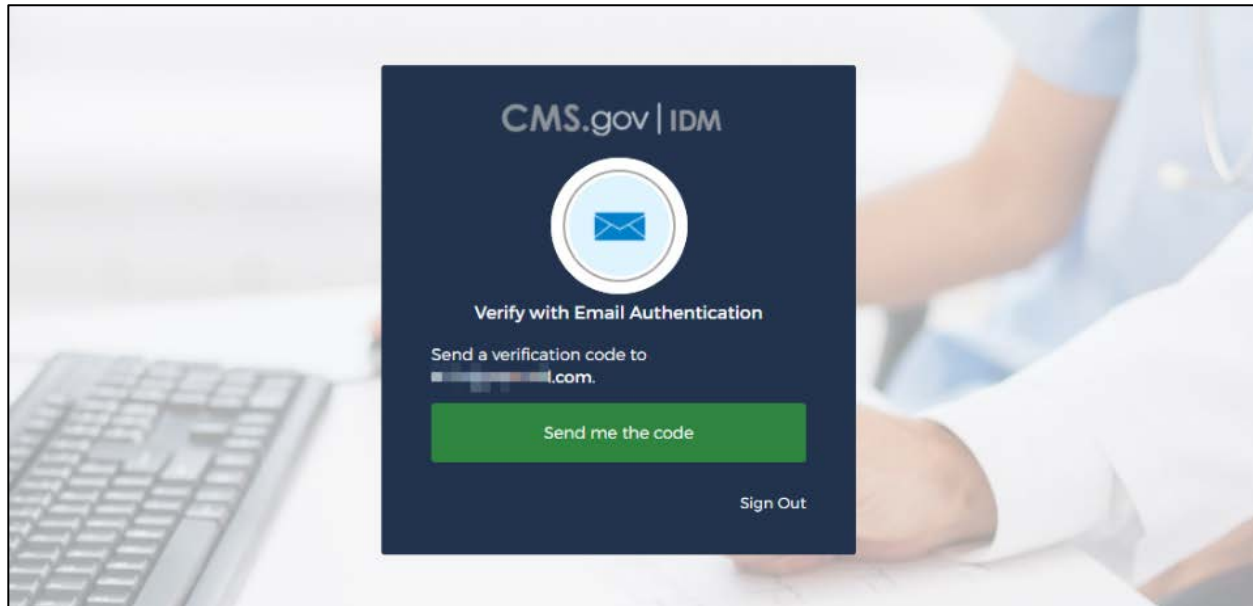


Figure 27 – Request Security Code

Select the **Send me the code** button.

The system will send a security code to your email address.

The IDM page will redisplay with a **Verification code** field.

Enter the code from the email you received and select the **Verify** button.

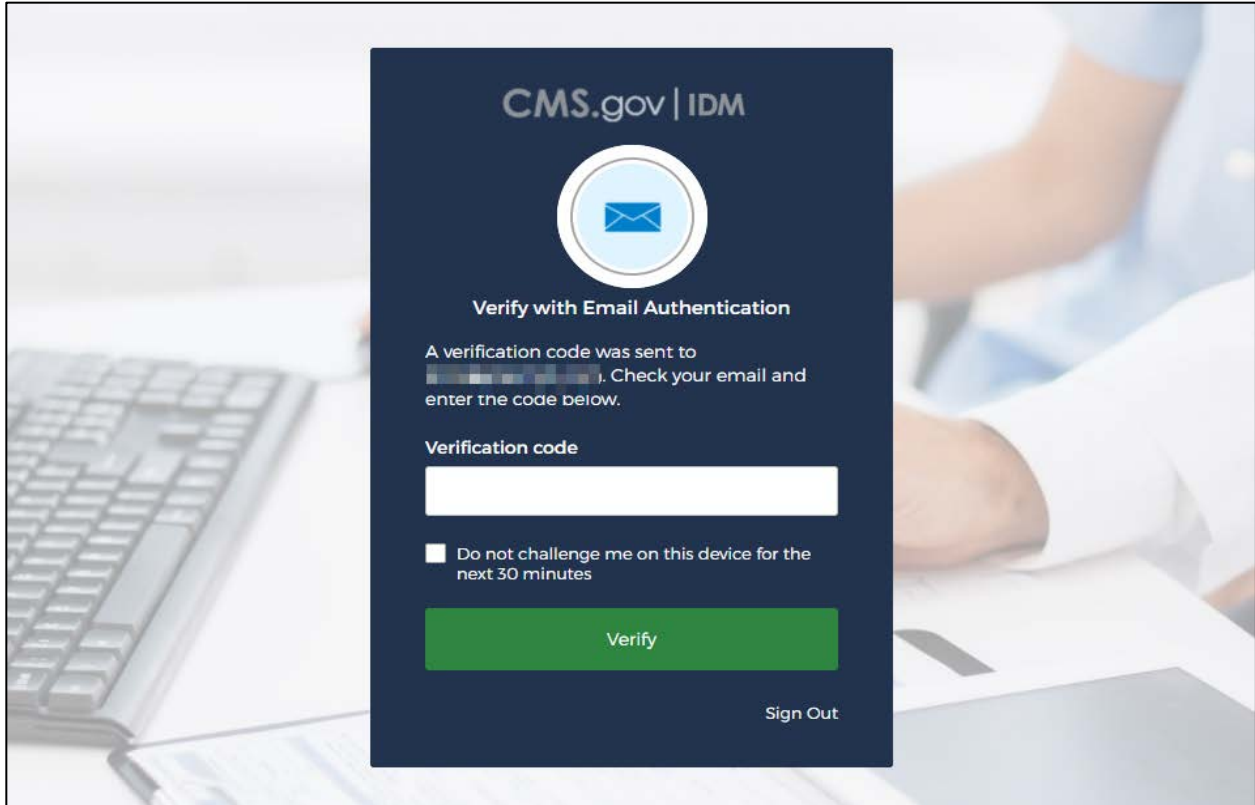


Figure 28 – Enter Verification Code

You are navigated to the **ASETT Community Home** page.

**CMS**  
CENTERS FOR MEDICARE & MEDICAID SERVICES

Home Page | About ASETT | Contact Us | ASETT Glossary | FAQ | User Manual | Logout

Welcome [User Name]

### New Complaints

The following is a list of the steps you will take in order to file a complaint regarding HIPAA Transactions and Code Sets, Unique Identifiers, and/or Operating Rules. If you wish to file a Health Information Privacy complaint, please visit the Office for Civil Rights website.

- Step 1: Identify the type of HIPAA/ACA Complaint
- Step 2: Provide your contact information
- Step 3: Identify the Filed Against Entity (FAE)
- Step 4: Describe the HIPAA/ACA violation
- Step 5: Attach supporting documentation (if available) to support your complaint.

You will have a chance to review all information entered before submitting your complaint to CMS. At any point before clicking submit, you may save a draft of the complaint if you would like to complete it at a later time. Once the complaint is submitted, CMS will review all information and respond to your complaint. Click the New Complaint button to begin filing your complaint.

[New Complaint](#)

### View Complaints

You may view drafts and submitted complaints by clicking the View Complaints button. Additionally, you may check the current status of all complaints, view details of a single complaint, and/or manage your open complaints by uploading supporting documentation, adding relevant notes or closing the complaint if the issue has been resolved.

[View Draft Complaints](#) [View Submitted Complaints](#)

### Test HIPAA Transactions

Test Transactions tool allows all transactions to be checked consistently for compliance, syntax and business rules. Validate transactions across various formats including the following

- ASC X12 5010
- NCPDP D.0
- ICD-10 Diagnostic and procedure codes
- Unique Identifiers

This tool can also validate code values against 60-plus clinical and non-clinical code sets, including ICD-9 and ICD 10 diagnosis and procedure code sets. The Test Transactions tool will provide intuitive error reports and acknowledgements to help identify and resolve error.

[Test HIPAA Transactions](#)

[Home](#) [Privacy Policy](#) [Security Policy](#)

\*\*\* Your session will time out after 30 minutes of inactivity. \*\*\*

Figure 29 – ASETT Community Home Page

### 3.2.2.3 Get Started Button

For users who have not registered in **IDM** but wish to file an Administrative Simplification complaint electronically, a simplified complaint form is available by selecting the **Get Started** button, located in the middle of the **ASETT Home Page**.




| File HIPAA Complaint  | Test HIPAA Transactions   |
|---|---|
| <p>See the <a href="#">About ASETT</a> section to learn more about how to file a complaint.</p> <p>Submit complaints for the following violations:</p> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <div style="background-color: #0056b3; color: white; padding: 5px 10px; border-radius: 3px;">Transaction</div> <div style="background-color: #0056b3; color: white; padding: 5px 10px; border-radius: 3px;">Unique Identifier</div> </div> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <div style="background-color: #0056b3; color: white; padding: 5px 10px; border-radius: 3px;">Code Sets</div> <div style="background-color: #0056b3; color: white; padding: 5px 10px; border-radius: 3px;">Operating Rules</div> </div> <p>To file a complaint you must login by clicking the login button. If you don't have an account , you can create one through the CMS Enterprise Portal by clicking on the Create Account button.</p> <p>If you would like to file a complaint without an account, click on the Get Started button below.</p> <div style="margin-top: 10px;"> <div style="background-color: #f4a460; padding: 5px 15px; border-radius: 3px; display: inline-block;">Get Started</div>  </div> | <p>Test Transaction tool allows all transactions to be checked consistently for compliance, syntax and business rules. Validate transactions across various formats including the following:</p> <ul style="list-style-type: none"> <li>ASC X12 5010</li> <li>NCPDP D.0</li> <li>ICD-10 Diagnostic and procedure codes</li> <li>Unique Identifiers</li> </ul> <p>This tool can also validate code values against 60-plus clinical and non-clinical code sets, including ICD-9 and ICD 10 diagnosis and procedure code sets. The Test Transactions tool will provide intuitive error reports and acknowledgements to help identify and resolve error.</p> <p>To test a transaction you must login by clicking the login button. If you don't have an account, you can create one by clicking on the Register link.</p> |

Figure 30 – Get Started Button

Although this method allows you to bypass the registration process, you cannot add documents in support of your complaint, monitor your submitted complaint, or test your EDI transactions for HIPAA Administrative Simplification compliance.

Please see **Section 4.3 Filing a Complaint without Registering** for the steps to file a complaint in ASETT as an unregistered user.

### 3.2.3 Bottom Navigation Links

#### 3.2.3.1 Home Link

Selecting the **Home** link at the bottom of any page will return you to the **ASETT Home** page.



To file a complaint you must login by clicking the login button. If you don't have an account , you can create one through the CMS Enterprise Portal by clicking on the Create Account button. .

If you would like to file a complaint without an account, click on the Get Started button below.

[Get Started](#)

This tool can also validate code values against 60-plus clinical and non-clinical code sets, including ICD-9 and ICD 10 diagnosis and procedure code sets. The Test Transactions tool will provide intuitive error reports and acknowledgements to help identify and resolve error.

To test a transaction you must login by clicking the login button. If you don't have an account, you can create one by clicking on the Register link.

### Privacy Complaints

If you believe that a covered entity or business associate violated your health information privacy rights or committed another violation of the Privacy, Security or Breach Notification Rules, you may file a complaint at the link below: [Office for Civil Rights \(OCR\)](#).

[Home](#)      [Privacy Policy](#)      [Security Policy](#)

Figure 31 – Home Link at Bottom of Page

Please also see **Section 3.2.1.1 Home**.

### 3.2.3.2 Privacy Policy Link

The **Privacy Policy** link at the bottom of each page will take you to the **Privacy Agreement** page.

To file a complaint you must login by clicking the login button. If you don't have an account, you can create one through the CMS Enterprise Portal by clicking on the Create Account button.

If you would like to file a complaint without an account, click on the Get Started button below.

[Get Started](#)

This tool can also validate code values against 60-plus clinical and non-clinical code sets, including ICD-9 and ICD 10 diagnosis and procedure code sets. The Test Transactions tool will provide intuitive error reports and acknowledgements to help identify and resolve error.

To test a transaction you must login by clicking the login button. If you don't have an account, you can create one by clicking on the Register link.

### Privacy Complaints


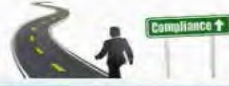
If you believe that a covered entity or business associate violated your health information privacy rights or committed another violation of the Privacy, Security or Breach Notification Rules, you may file a complaint at the link below: [Office for Civil Rights \(OCR\)](#).

Home

Privacy Policy

Security Policy

Figure 32 – Privacy Policy Link

Home
About ASETT
Contact Us
Support ▾
Register
Login

## Privacy Agreement

**PRIVACY POLICY :** *Thank you for visiting our website and for reviewing our Privacy Policy.*

**Please note that this privacy policy applies ONLY to the asett.cms.gov website. If you have arrived here from any other website, CMS does not make any claims regarding that website's data collection or reuse policies. Please contact that website's administrator for more details on how they collect and use your data. We collect no information about you, other than information automatically collected and stored (see below), when you visit our web site unless you choose to provide that information to us.**

**INFORMATION AUTOMATICALLY COLLECTED AND STORED:**

**When you browse through any web site, certain personal information about you can be collected. We automatically collect and temporarily store the following information about your visit:**

- **The name of the domain you use to access the Internet (for example, aol.com, if you are using an America Online account);**
- **The date and time of your visit;**

Figure 33 – Privacy Policy (Excerpt)

### 3.2.3.3 Security Policy Link

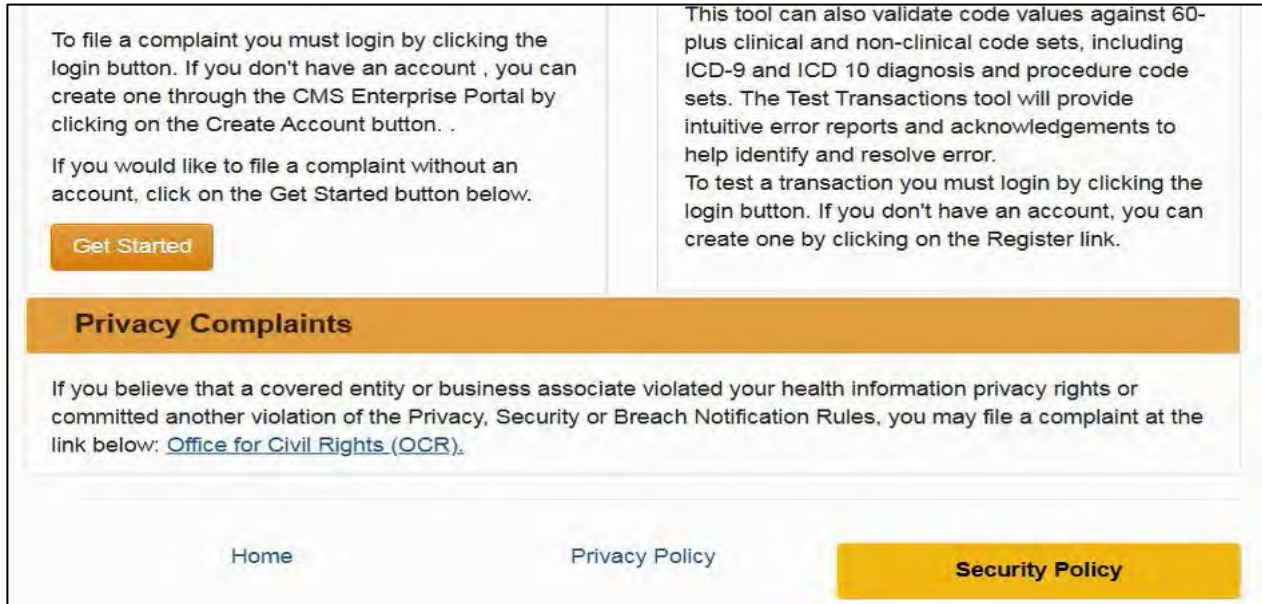


Figure 34 – Security Policy Link

The **Security Policy** link at the bottom of each page will take you to the **Privacy Agreement** page.



Figure 35 – Security Policy Page



## 4. Filing a Complaint as a Registered User

Before filing a complaint, you must complete the CMS IDM registration process and request a user role for ASETT (please see **Section 3.2.2.1 Register Button (New User Registration)**).

You may choose to create an account to file complaints or file a complaint as an unregistered user (see **Chapter 5 Filing a Complaint without Registering**).

Only registered users can view and update a complaint after it is submitted, begin and save a complaint as a draft, and use the tool to test a transaction for compliance without filing a complaint.

As an unregistered complainant, you may only input the details of your complaint.

All complaints are acknowledged by a system-generated email within 48 hours, followed by an acknowledgment letter containing next steps, sent via the US Postal System, within ten (10) business days.

### 4.1 Create an Electronic Complaint

After registering to use the ASETT system (see **Section 3.2.2.1 – Register Button (New User Registration)**), you are directed to the ASETT registered user Home Page, also referred to as the **Complaint Community Home Page**.

The screenshot shows the CMS Registered User Home Page. At the top left is the CMS logo. To the right is a graphic of a person walking on a path towards a sign that says 'Compliance ↑'. Below this is a navigation bar with the following links: Home Page | About ASETT | Contact Us | ASETT Glossary | Enforcement Video | FAQ | Site Help | User Manual | Logout. Below the navigation bar is a 'Welcome' message. The main content area is titled 'New Complaints' and contains the following text: 'The following is a list of the steps you will take in order to file a complaint regarding HIPAA Transactions and Code Sets, Unique Identifiers, and/or Operating Rules. If you wish to file a Health Information Privacy complaint, please visit the Office for Civil Rights website.' Below this text is a list of five steps: Step 1: Identify the type of HIPAA/ACA Complaint; Step 2: Provide your contact information; Step 3: Identify the Filed Against Entity (FAE); Step 4: Describe the HIPAA/ACA violation; Step 5: Attach supporting documentation (if available) to support your complaint. Below the list is a paragraph: 'You will have a chance to review all information entered before submitting your complaint to CMS. At any point before clicking submit, you may save a draft of the complaint if you would like to complete it at a later time. Once the complaint is submitted, CMS will review all information and respond to your complaint. Click the New Complaint button to begin filing your complaint.' Below this paragraph is a large blue button labeled 'New Complaint'. Below the 'New Complaint' button is a section titled 'View Complaints' with the following text: 'You may view drafts and submitted complaints by clicking the View Complaints button. Additionally, you may check the current status of all complaints, view details of a single complaint, and/or manage your open complaints by uploading supporting documentation, adding relevant notes or closing the complaint if the issue has been resolved.' Below this text are two blue buttons: 'View Draft Complaints' and 'View Submitted Complaints'.

Figure 36 – Registered User Home Page

The file complaint function enables a user to enter all required information for a HIPAA/ACA complaint. You will enter the relevant information for the complaint:

- Complaint type (Transaction, Code Sets, Operating Rules, or Unique Identifiers)
- Complainant Information
- Filed-against Entity (FAE) Information
- Complaint Details
- Supporting Documentation

#### 4.1.1 Complaint Type Page

Select the **New Complaint** button on the **Home Page**.

The system will display the **Complaint Type** page in a new window.

**Complaint Type**

**Make a selection below**

**Code Sets**  
Select if a covered entity is in violation of the following Code Sets: HCPCS (Ancillary Services/Procedures), CPT-4 (Physicians Procedures), CDT (Dental Terminology), ICD-9 (Diagnosis and hospital inpatient Procedures), ICD-10 (As of October 1, 2015) and NDC (National Drug Codes) codes with which providers and health plan are familiar, are the adopted code sets for procedures, diagnoses, and drugs.

**Transactions**  
Select if a covered entity is in violation of the following transactions: claims and encounter information, payment and remittance advice, claims status, eligibility, enrollment and disenrollment, referrals and authorizations, coordination of benefits and premium payment.

**Operating Rules**  
Select if a covered entity is suspected of being in violation of any of the adopted Operating Rules: Electronic Funds Transfer/Electronic Remittance Advice (EFT/ERA), Health Care Claim Status, and Eligibility for a Health Plan.

**Unique Identifiers**  
Select if a covered entity is in violation of the following Unique Identifiers: National Provider Identifier (NPI), Employer Identification Number (EIN).

Save Draft      Cancel      Complainant Information>

Figure 37 – Complaint Type Selection Page

Select a **Complaint Type** radio button.

Select the **Complainant Information** button at the bottom of the page.

**Note:** At any time, you may select the **Save Draft** or the **Cancel** button. Please see **Section 4.1.9 Saving a Draft** and **Section 4.1.10 Cancel a Complaint** for further details.

The system will display the **Complainant Details** page.

#### 4.1.2 Complainant Details Page

**Complainant Details**

Please fill out the fields in the form below.

Do you want to remain Anonymous during this process?  Yes  No

**Disclaimer :**  
If you select yes , please note CMS will not share your information to the Filed Against Entity (FAE) during the investigation process. However, information provided in this complaint is subject to rules and policy under Freedom of Information Act (FOIA).

Complainant Organization Name\*

Complainant Organization Type --None--

Complainant Organization Type (Other)

Complainant Organization Role

Complainant Organization Phone Number\*

Complainant Title\*

Complainant First Name\*

Complainant MI

Complainant Last Name\*

Complainant Address Line 1\*

Complainant Address Line 2

Complainant City/Town\*

Complainant State/Territory\*

Complainant Zip Code\* XXXX

Complainant Email Address\*

Complainant Contact Phone Number\* Ext.

Complainant Cell Phone Number XXX XXX XXXX

<Specify Complaint Type Save Draft Cancel Filed Against Entity Information>

Figure 38 – Complainant Details Page

Complete the required fields, marked with a red asterisk “\*” at the end of the field name.

Select the **Filed Against Entity Information** button at the bottom of the page.

**Note:** At any time, you may select the **Save Draft** or the **Cancel** button. Please see Section 4.1.7 **Saving a Draft** and Section 4.1.8 **Cancel a Complaint** for further details.

The system will display the **FAE Details** page.

### 4.1.3 FAE Details Page

**FAE Details**

Please fill out the fields in the form below.

FAE Organization Name\*

FAE Organization Type --None--

FAE Organization Type (Other)

FAE Organization Role

FAE Contact Title\* --None--

FAE Contact First Name\*

FAE Contact MI

FAE Contact Last Name\*

FAE Address Line 1\*

FAE Address Line 2

FAE City/Town\*

FAE State/Territory\* --None--

FAE Zip Code\*

FAE Contact Email Address

FAE Contact Phone Number\*

< Complaint Information    Save Draft    Cancel    Complaint Details Information >

Figure 39 – Filed-Against Entity Details Page

Complete the required fields, marked with a red asterisk '\*' at the end of the field name. Select the **Complaint Details Information** button at the bottom of the page.

**Note:** At any time, you may select the **Save Draft** or the **Cancel** button. Please see **Section 4.1.7 Saving a Draft** and **Section 4.1.8 Cancel a Complaint** for further details.

The system will display the **Complaint Details** page.

### 4.1.4 Complaint Details Page



**Complaint Detail**

Please fill out the fields in the form below.

Incident occurred date\* 10/22/2019

Complaint Subject\* complaint subject

Complaint Description\* Description for Demonstration Purposes, contains demo details, fake codes, invalid EIN, ICD 9. CARC/RARC group code

Complaint Transaction Type 837 - Health Care Claim - Institutional

Does the complaint relate to the FAE charging fees to conduct standard transactions?\* No

Have you previously attempted to resolve this complaint? No

If yes, describe the action you took to resolve the complaint.

Has this complaint been previously submitted? Yes

**Supporting Files and Notes**

Upload supporting documentation to your complaint. [Attach Files](#)

Add supporting notes to your complaint. [Add Notes](#)

**Complaint Attachment**

| Action                 | Attachment Name                      | Created By | Created Date            |
|------------------------|--------------------------------------|------------|-------------------------|
| <a href="#">Delete</a> | ActioNet HR Ethics Training_20180426 |            | 29 Mar 2020 06:34:42 PM |

**Complaint Notes**

| Action | Notes Name | Created By | Created Date |
|--------|------------|------------|--------------|
|--------|------------|------------|--------------|

[< Filed Against Entity Information](#) [Save Draft](#) [Cancel](#) [Complaint Review >](#)

\*\*\* Your session will time out after 30 minutes of inactivity. \*\*\*

Figure 40 – Complaint Details Page

Complete the required fields, marked with a red asterisk ‘\*’ at the end of the field name.

**Note:** At any time, you may select the **Save Draft** or the **Cancel** button. Please see **Section 4.1.9 Saving a Draft** and **Section 4.1.10 Cancel a Complaint** for further details.

### 4.1.5 Attach Support Documents

If desired, select the **Attach Files** button, located in the **Supporting Files and Notes** section of the **Complaint Detail** page.



The system will display the **Attachment Upload** page.

Figure 41 – Attachment Upload

Select the **Choose File** button to select the desired file from your computer.

Select an **Attachment Type** from the drop-down list of values to indicate the type of document being uploaded.

Type the description of the file in the **File Description** text box.

Select the **Upload** button.

The system will display a success message when the documentation upload is complete.

**Note:** The system will allow only the following file types: .dat, .docx, .pdf, .txt, .xlsx, and .zip.

**Note:** All files must be 4.8 MB or smaller to be accepted by the system.

The system will return to the **Complaint Detail** page.

Select the **Complaint Review** button at the bottom of the page.

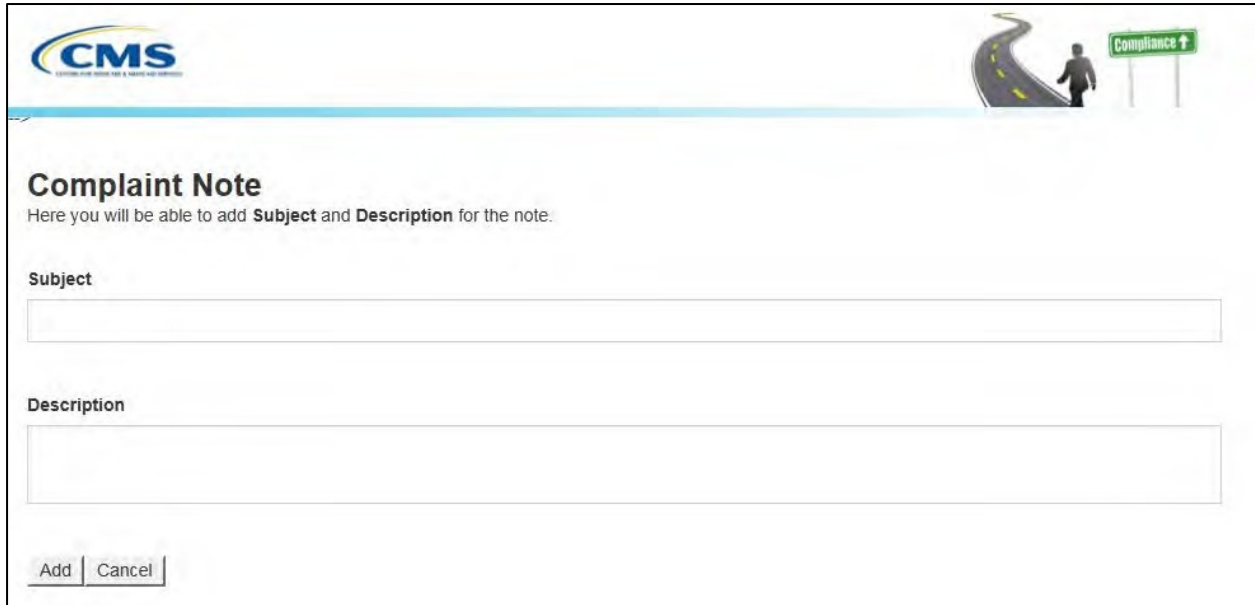
The system will display the **Review Complaint Summary** page.

**Note:** At any time, you may select the **Save Draft** or the **Cancel** button. Please see **Section 4.1.9 Saving a Draft** and **Section 4.1.10 Cancel a Complaint** for further details.

#### 4.1.6 Add Notes

If desired, select the **Add Notes** button, located in the **Supporting Files and Notes** section of the **Complaint Detail** page.

The system will display the **Complaint Note** page.



**Complaint Note**  
Here you will be able to add **Subject** and **Description** for the note:

**Subject**

**Description**

**Add** **Cancel**

Figure 42 – Complaint Notes

Type the subject of the note in the **Subject** text box.

Type the description of the note in the **Description** text box.

Select the **Add** button.

The system will display a success message when the note is added.

The system will return to the **Complaint Detail** page.

Select the **Complaint Review** button at the bottom of the page.

The system will display the **Review Complaint Summary** page.

**Note:** At any time, you may select the **Save Draft** or the **Cancel** button. Please see **Section 4.1.9 Saving a Draft** and **Section 4.1.10 Cancel a Complaint** for further details.

#### 4.1.7 Review Complainant Summary Page

**Review Complainant Summary**

---

**Complaint Details** [Edit Complaint Details](#)

|                                 |   |
|---------------------------------|---|
| Complaint Type*                 | Transaction   |
| Complaint Subject               | complaint subject   |
| Complaint Description           | Description for Demonstration Purposes, contains demo details, fake codes, invalid EIN, ICD 9, CARC/RARC group code |
| Complaint previously submitted? | Yes   |

**Complainant Details** [Edit Complainant Details](#)

|                               |                          |
|-------------------------------|--------------------------|
| Complainant Organization Name | Complainant Organization |
| Complainant City/Town         | Baltimore                |
| Complainant State/Territory   | Massachusetts            |
| Complainant Zip Code          | 02889                    |
| Complainant Email Address     | DemoUser@yopmail.com     |

**FAE Details** [Edit FAE Details](#)

|                           |                         |
|---------------------------|-------------------------|
| FAE Organization Name     | FAE Organization Name   |
| FAE Contact Title         | Ms.                     |
| FAE Contact Email Address | asetttester@yopmail.com |
| FAE Contact Phone Number  | (496) 896-7494          |

**Complaint Attachment**

| Attachment Name                      | Created By | Created Date            |
|--------------------------------------|------------|-------------------------|
| ActioNet HR Ethics Training_20180426 |            | 29 Mar 2020 06:34:42 PM |

**Complaint Notes**

| Notes Name | Created By | Created Date |
|------------|------------|--------------|
|------------|------------|--------------|

[< Complaint Details Information](#)
[Save Draft](#)
[Cancel](#)
[Submit >](#)

\*\*\* Your session will time out after 30 minutes of inactivity. \*\*\*

Figure 43 – Review Complainant Summary (Excerpt)

Select the **Edit** hyperlink next to any of the section headers to make changes to the respective page.

The system will redisplay the original page.

Select the **Back to Review Page** button at the bottom of the page you are reviewing to return to the **Review Complainant Summary** page.

**Note:** At any time, you may select the **Save Draft** or the **Cancel** button. Please see **Section 4.1.9 Saving a Draft** and **Section 4.1.10 Cancel a Complaint** for further details.

When the review is complete, select the **Submit** button at the bottom of the page.

A **Complaint Successfully Submitted** page will display with the assigned complaint number.



Figure 44 – Complaint Submitted Message

#### 4.1.8 Review the Submitted Complaint Page

Select the **Click to navigate to the complaint** link, located next to the **Complaint Reference #**, to see a complete overview of the submitted complaint.

The system will display the **Complaint Overview** page.

**Complaint Overview** Back

|                               |                               |                               |
|-------------------------------|-------------------------------|-------------------------------|
| Complaint Number<br>00064     | Complaint Type<br>Transaction | Status<br>Open                |
| Created Date<br>March 2, 2017 | Today's Date<br>March 2, 2017 | Tracking ID<br>2017-TCS-00064 |

- Complaint Details
- Complainant Details
- FAE Details
- Notes
 

| Action                       | Subject | Created By | Created Date |
|------------------------------|---------|------------|--------------|
| <a href="#">Add New Note</a> |         |            |              |
- Attachments
 

|                              |
|------------------------------|
| <a href="#">Attach Files</a> |
|------------------------------|
- Complaint Attachment History
- Test Transaction History

[Clear/Rebel Complaint](#)

Figure 45 – Complaint Overview Page

#### 4.1.9 Saving a Draft

A registered user can save the complaint as a draft at any time while filing a new complaint.

Select the **New Complaint** button located on the **ASETT Home Page**.



The system will display the **Complaint Type** page in a new window.  
 Select a **Complaint Type**.

Figure 46 – Save Draft Button

Select the **Save Draft** button.

**Note:** The **Save Draft** functionality is available on the **Complaint Type**, **Complainant Detail**, **FAE Detail**, **Complaint Detail**, and **Complaint Review** pages until the **Submit** button is selected.

The system will display a success message.

Figure 47 – Complaint Draft Saved

Select the **View Draft Complaints** link on the page, under the **Complaints Draft Reference Number**.

Alternately, you may log in later and select the **View Draft Complaints** button. (See **Section 4.2.3 View Draft Complaints**).

#### 4.1.10 Cancel a Complaint

A registered user can cancel their complaint entry at any time while filing a new complaint. Select the **New Complaint** button located on the **ASETT Home Page**.

The system will display the **Complaint Type** page in a new window.

Select a **Complaint Type**.

**Complaint Type**

Form Approved OMB No. 0938-0948

**Make a selection below**

- Code Sets**  
Select if a covered entity is in violation of the following Code Sets: HCPCS (Ancillary Services/Procedures), CPT-4 (Physicians Procedures), CDT (Dental Terminology), ICD-9 (Diagnosis and hospital inpatient Procedures), ICD-10 (As of October 1, 2015) and NDC (National Drug Codes) codes with which providers and health plan are familiar, are the adopted code sets for procedures, diagnoses, and drugs.
- Transactions**  
Select if a covered entity is in violation of the following transactions: claims and encounter information, payment and remittance advice, claims status, eligibility, enrollment and disenrollment, referrals and authorizations, coordination of benefits and premium payment.
- Operating Rules**  
Select if a covered entity is suspected of being in violation of any of the adopted Operating Rules: Electronic Funds Transfer/Electronic Remittance Advice (EFT/ERA), Health Care Claim Status, and Eligibility for a Health Plan.
- Unique Identifiers**  
Select if a covered entity is in violation of the following Unique Identifiers: National Provider Identifier (NPI), Employer Identification Number (EIN).

Save Draft      Cancel      Complainant Information>

\*\*\* Your session will time out after 30 minutes of inactivity. \*\*\*

Figure 48 – Cancel Complaint Button

Select the **Cancel** button.

**Note:** The **Cancel** functionality is available on the **Complaint Type, Complainant Detail, FAE Detail, Complaint Detail, and Complaint Review** pages until the **Submit** button is selected.

The system will display a confirmation message.



**CMS**  
Ensuring the highest quality of care

Form Approved OMB No. 0938-0948

## Cancel Filing a Complaint

Click on the "Continue" button below to quit the complaint process and return to draft complaints. Your complaint information WILL NOT be deleted or sent to CMS for investigation. If you would like to continue, click the Previous button below.

< Previous

Continue >

\*\*\* Your session will time out after 30 minutes of inactivity. \*\*\*

Figure 49 – Cancel Confirmation

Select the **Confirm** button to process the cancellation.

## 4.2 Managing Complaints

After submitting a complaint, a registered user can do the following:

- Upload Supporting Documents
- Add Notes
- Close/Retract Complaints

### 4.2.1 Attach Support Documents to a Submitted Complaint

To upload supporting documents to an existing complaint:

Select the **View Submitted Complaints** button on the **ASETT Welcome Page**.

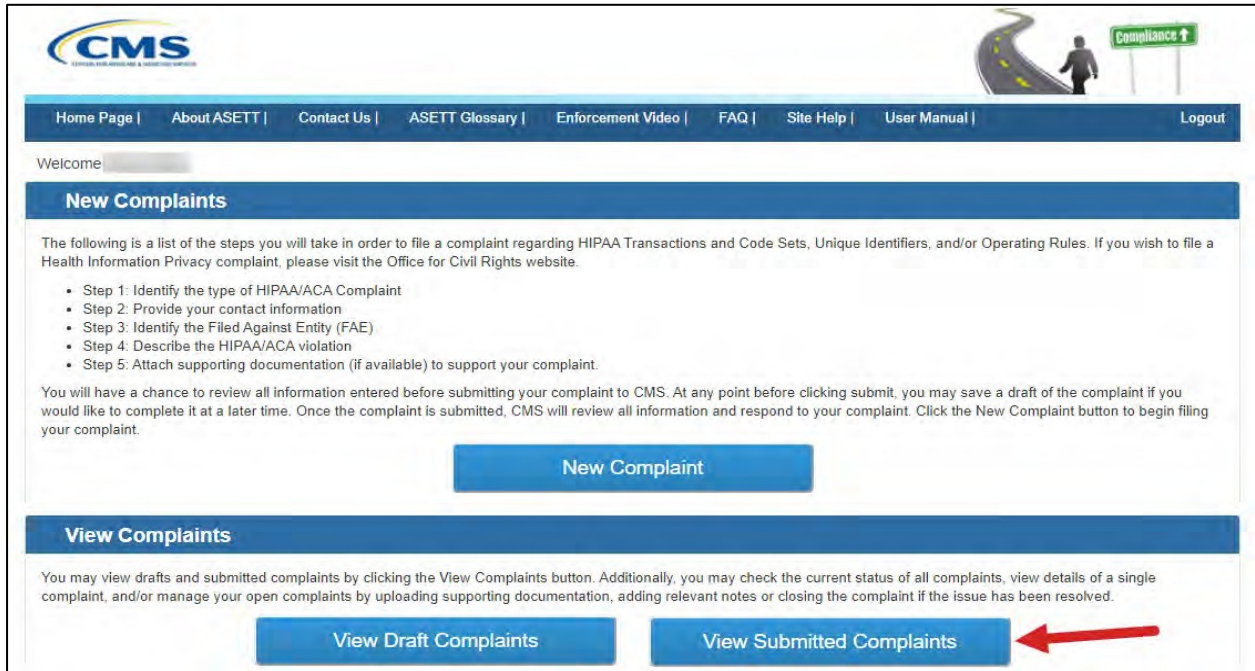


Figure 50 – View Submitted Complaints Button

The system will display the list of submitted complaints in a new window on the **Submitted Complaints** page.

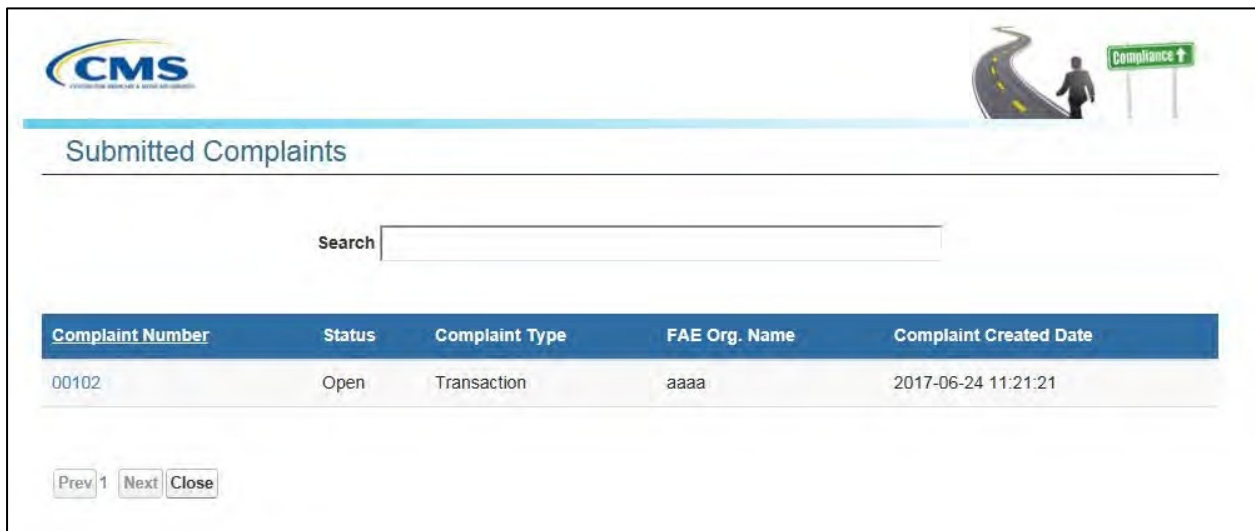


Figure 51 – Submitted Complaints List

Select the **Complaint Number** you wish to view. Alternatively, type the Complaint Number or FAE Organization Name in the search bar to open a specific complaint. The system will display the complaint that matches the search.

The system will display the **Complaint Overview** page for the selected complaint. Select the **Attach Files** button in the Attachments section of the Complaint Overview page.

The system will display the **Attachment Upload** page.

Select the **Choose File** button to select the desired file from your computer.

Select the **Attachment Type** from the drop-down list.

**Note:** The system will allow only the following file types: .dat, .docx, .pdf, .txt, .xlsx, and .zip.

**Note:** All files must be 4.8 MB or smaller to be accepted by the system.

Enter the description of the file in the **Description** text box.

Select the **Upload** button.

The system will display the **Complaint Overview** page indicating the file was saved successfully.

Please see **Section 4.1.5 – Attach Support Documents** for additional information.

## 4.2.2 Add Notes to a Submitted Complaint

The content of the notes is subjective and not restricted in any way. However, notes must not include any special characters or exceed a maximum of 1000 characters.

To add notes to an existing complaint:

Select the **View Submitted Complaints** button on the **ASETT Welcome Page**.

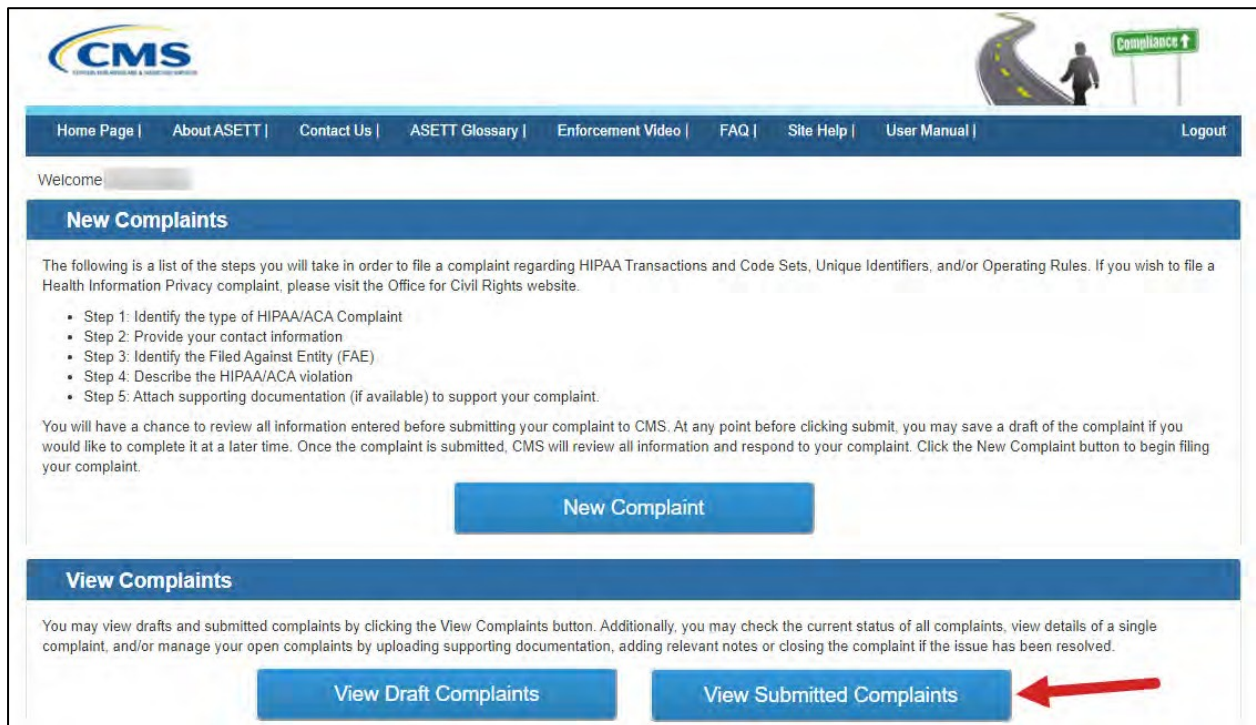
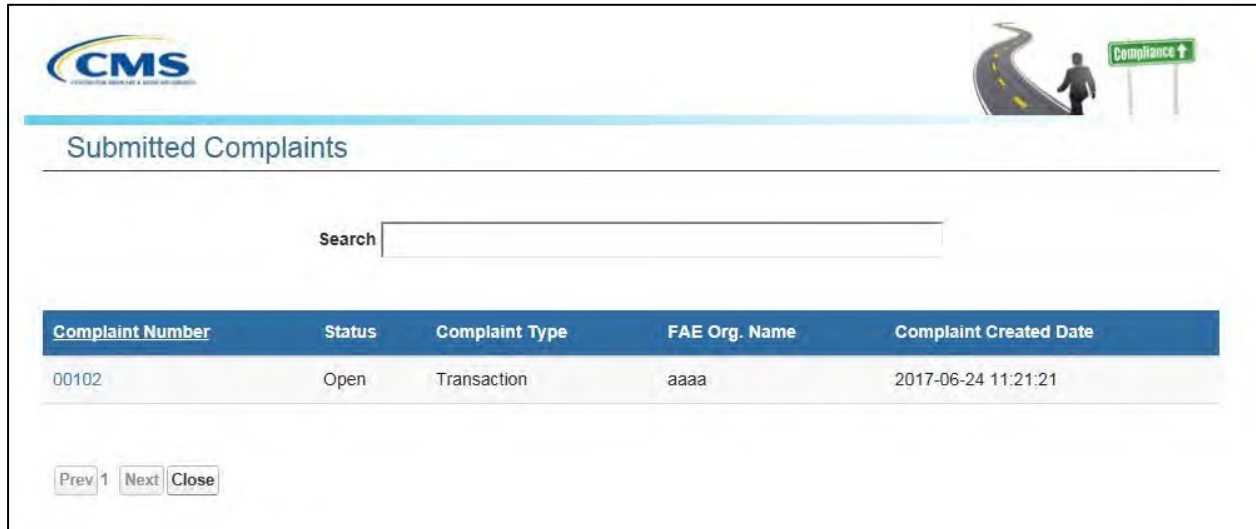


Figure 52 – View Submitted Complaints Button

The system will display the list of submitted complaints in a new window.



| Complaint Number | Status | Complaint Type | FAE Org. Name | Complaint Created Date |
|------------------|--------|----------------|---------------|------------------------|
| 00102            | Open   | Transaction    | aaaa          | 2017-06-24 11:21:21    |

Figure 53 – Submitted Complaint List

Select the Complaint Number you wish to view. Alternatively, type the Complaint Number or FAE Organization Name in the search bar to view a specific complaint. The system will display the complaint that matches the search.

The system will display the **Complaint Overview** page (see **Section 4.1.8 – Review the Submitted Complaint**) for the selected complaint.

Select the **Add New Note** button in the **Supporting Files and Notes** section of the page.

The system will display the **Complaint Note** page.

Type the subject of the note in the **Subject** text box.

Type the description of the note in the **Description** text box.

Select the **Save** button.

The system will display the **Complaint Overview** page indicating the note was saved successfully.

Please see **Section 4.1.6 – Add Notes** for additional information.

### 4.2.3 View Draft Complaints

When you are ready to resume a saved (draft) complaint, select the **View Draft Complaints** button on the **ASETT Welcome Page**.



Welcome [redacted]

### New Complaints

The following is a list of the steps you will take in order to file a complaint regarding HIPAA Transactions and Code Sets, Unique Identifiers, and/or Operating Rules. If you wish to file a Health Information Privacy complaint, please visit the Office for Civil Rights website.

- Step 1: Identify the type of HIPAA/ACA Complaint
- Step 2: Provide your contact information
- Step 3: Identify the Filed Against Entity (FAE)
- Step 4: Describe the HIPAA/ACA violation
- Step 5: Attach supporting documentation (if available) to support your complaint.

You will have a chance to review all information entered before submitting your complaint to CMS. At any point before clicking submit, you may save a draft of the complaint if you would like to complete it at a later time. Once the complaint is submitted, CMS will review all information and respond to your complaint. Click the New Complaint button to begin filing your complaint.

[New Complaint](#)

### View Complaints

You may view drafts and submitted complaints by clicking the View Complaints button. Additionally, you may check the current status of all complaints, view details of a single complaint, and/or manage your open complaints by uploading supporting documentation, adding relevant notes or closing the complaint if the issue has been resolved.

[View Draft Complaints](#) [View Submitted Complaints](#)

Figure 54 – View Draft Complaints Button

The system will display the draft complaints list page.

### Draft Complaints

Search

| Complaint Number | Complaint Type | FAE Org. Name | Complaint Created Date |
|------------------|----------------|---------------|------------------------|
| 00103            | Transaction    |               | 2017-06-24 13:13:06    |

[Prev](#) [1](#) [Next](#) [Close](#)

Figure 55 – Draft Complaints List

Reopen the draft complaint by selecting the number. The number is a hyperlink, and the draft complaint will reopen to the page where the **Save Draft** button was selected. Continue to enter your complaint details, save as a draft again, or select to cancel the complaint.

#### 4.2.4 Close or Retract a Complaint

Use this function when the complaint is no longer valid.

To close or retract a complaint:

Select the **View Submitted Complaints** button on the **ASETT Welcome Page**.

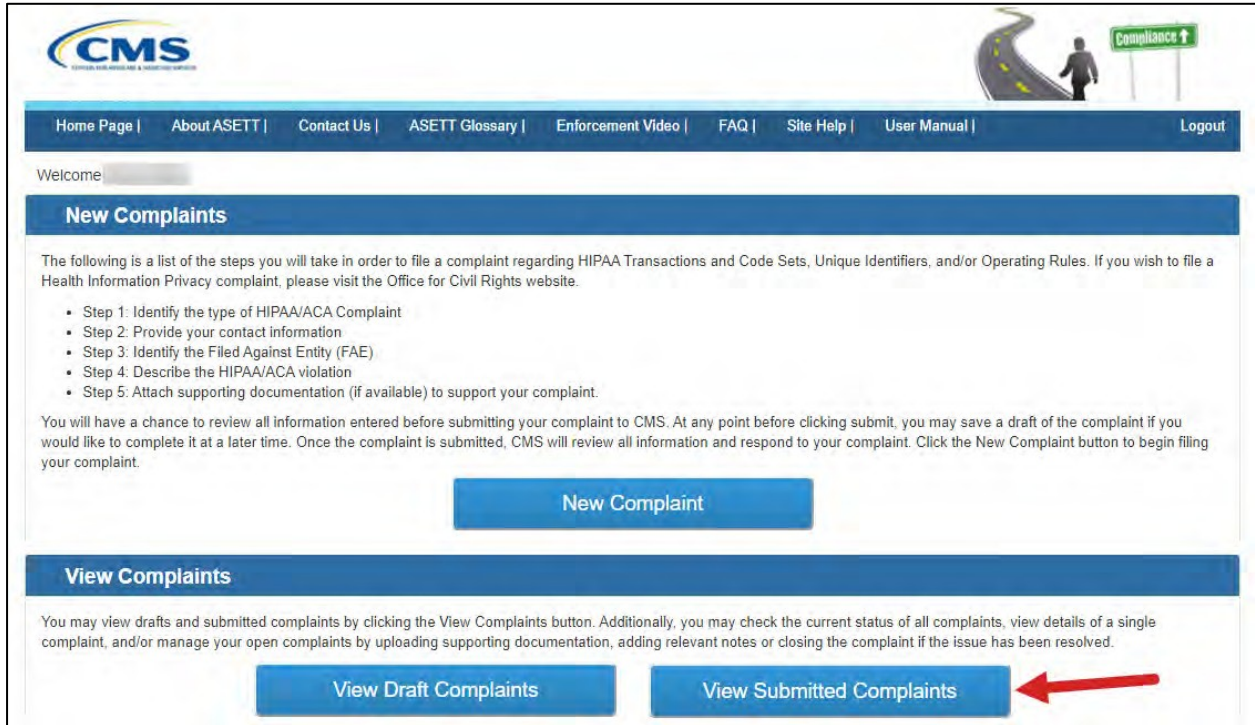


Figure 56 – View Submitted Complaints

The system will display the list of all submitted complaints in a new window on the **Submitted Complaints** page.

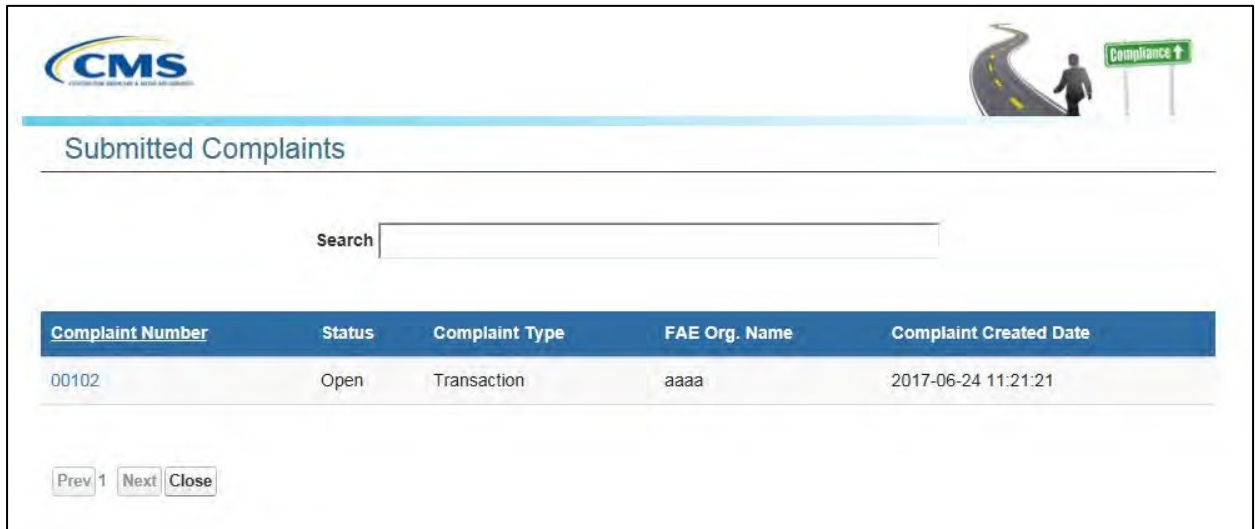


Figure 57 – Submitted Complaints List

Select the **Complaint Number** you wish to view. Alternatively, type the Complaint Number or FAE Organization Name in the search bar to open a specific complaint.

The system will display the **Complaint Overview** page for the selected complaint.

| Subject  | Created By                   | Created Date                                 |                     |
|--|------------------------------|--|---------------------|
| <input type="button" value="Add New Note"/>            |                              |  |                     |
| <b>Attachments</b>                                     |                              |  |                     |
| <input type="button" value="Attach Files"/>            |                              |  |                     |
| <b>Complaint Attachment History</b>                    |                              |  |                     |
| Attachment File  | Document Type                | Created By                                   | Created Date        |
| <a href="#">ASSETT_SMOKE TEST TEST COPY</a>            | Other Security Documentation |  | 2020-02-26 15:40:33 |
| <input type="button" value="Close/Retract Complaint"/> |                              | <input type="button" value="New Complaint"/> |                     |

Figure 58 – Close/Retract Complaint Button

Select the **Close/Retract Complaint** button located at the bottom of the page.

The system will display the **Close/Retract Complaint** page.



**CMS**  
Center for Medicare & Medicaid Services

**Disclaimer**  
You are trying to close a complaint. Once it is closed you wont be able to view it or edit the complaint. Are you sure want to proceed ?

Please Select the Close Reason

- Retracted
- Resolved/Complaint Parties
- Resolved /CMS Assistance
- Other

Figure 59 – Reason for Closure Page

Select the reason for the complaint to be closed from the list:

- Retracted
- Resolved/Complaint Parties
- Resolved/CMS Assistance
- Other

Note: If you select **Other**, you will be prompted to enter a reason for the closure.

Select the **Close Complaint** button.

The system will display the **Complaint Overview – Marked for Closure** page.





The screenshot displays the CMS interface for a complaint overview. At the top left is the CMS logo. At the top right is an illustration of a person walking on a path towards a sign that says 'Complaints'. Below this is a 'Complaint Overview' section with a 'Back' link. The overview table contains the following information:

| Complaint Number | Complaint Type | Status          |
|------------------|----------------|-----------------|
| 00054            | Transaction    | Open            |
| Created Date     | Today's Date   | Tracking ID     |
| March 2, 2017    | March 2, 2017  | 2017-TC S-00054 |

Below the table, a message states: 'This Complaint has been marked for closure and the access to update the complaint has been revoked. Contact ASETT helpdesk for any inquiries.'

Figure 60 – Complaint Marked for Closure

### 4.3 Test HIPAA Transactions

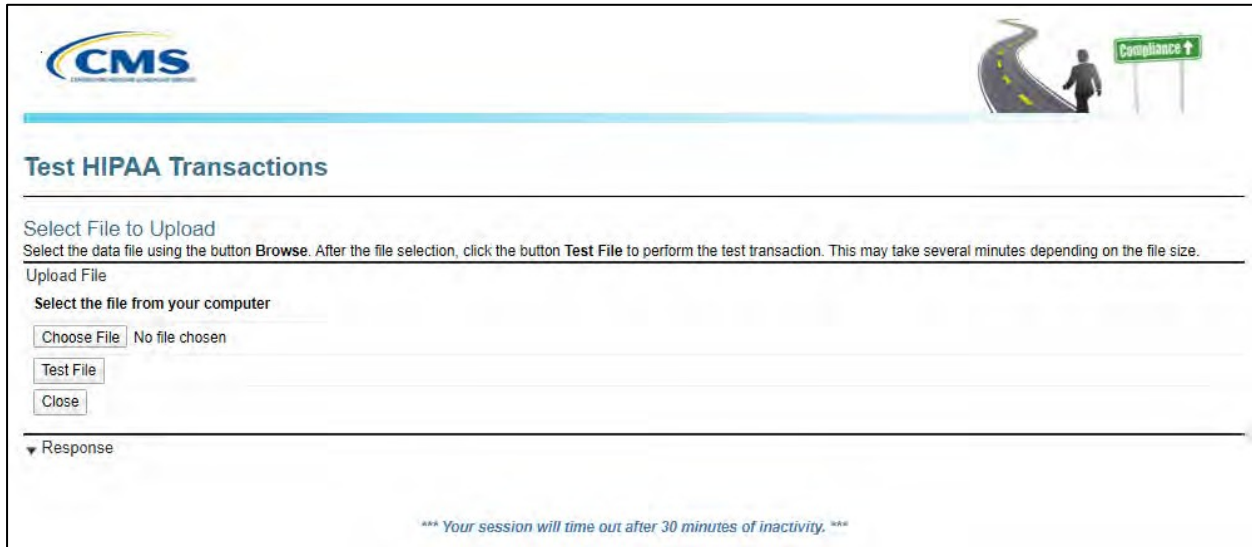
ASETT also allows you to test your transaction files, to support or otherwise help resolve a complaint, or to verify that you are compliant with the HIPAA standards for electronic data interchange (EDI) standards.

The screenshot displays the CMS ASETT user interface. At the top left is the CMS logo. To the right is a graphic of a person walking on a path towards a 'Compliance ↑' sign. Below this is a navigation bar with links: Home Page | About ASETT | Contact Us | ASETT Glossary | Enforcement Video | FAQ | Site Help | User Manual | Logout. The main content area is divided into three sections:

- New Complaints**: A section with a blue header. It contains a paragraph explaining the steps to file a complaint regarding HIPAA Transactions and Code Sets, Unique Identifiers, and/or Operating Rules. It lists five steps: 1. Identify the type of HIPAA/ACA Complaint; 2. Provide your contact information; 3. Identify the Filed Against Entity (FAE); 4. Describe the HIPAA/ACA violation; 5. Attach supporting documentation (if available) to support your complaint. Below the list is a paragraph stating that users can review and save drafts before submitting. A blue button labeled 'New Complaint' is centered below the text.
- View Complaints**: A section with a blue header. It contains a paragraph explaining that users can view drafts and submitted complaints, check the status of all complaints, view details of a single complaint, and manage open complaints by uploading documentation or adding notes. Two blue buttons are centered below the text: 'View Draft Complaints' and 'View Submitted Complaints'.
- Test HIPAA Transactions**: A section with a blue header. It contains a paragraph explaining that the Test Transactions tool allows all transactions to be checked consistently for compliance, syntax, and business rules. It lists the following formats: ASC X12 5010, NCPDP D.0, ICD-10 Diagnostic and procedure codes, and Unique Identifiers. A second paragraph states that the tool can also validate code values against 60-plus clinical and non-clinical code sets, including ICD-9 and ICD 10 diagnosis and procedure code sets. A blue button labeled 'Test HIPAA Transactions' is centered below the text.

Figure 61 – Test HIPAA Transactions Button

Select the **Test HIPAA Transactions** button on the **ASET T Welcome Page**. The Test HIPAA Transactions page will display.



**CMS**

**Test HIPAA Transactions**

Select File to Upload  
Select the data file using the button **Browse**. After the file selection, click the button **Test File** to perform the test transaction. This may take several minutes depending on the file size.

Upload File

Select the file from your computer

Choose File No file chosen

Test File

Close

▼ Response

\*\*\* Your session will time out after 30 minutes of inactivity. \*\*\*



Figure 62 – Test HIPAA Transactions Page

To test a HIPAA Transaction:

- Select the **Choose File** button to pick the desired file on your computer.

**Note:** The system will allow only these file types: .dat, .docx, .pdf, .txt, .xlsx, and .zip.

- Select the **Test File** button.
- The system will display a report under **Response**.

## Test HIPAA Transactions

Select File to Upload

Select the data file using the button Browse. After the file selection, click the button Test File to perform the test transaction. This may take several minutes depending on the file size.

Upload File

Select the file from your computer

Browse...

---

Response

**Splitting Report** Powered by Edifice

Executed Monday, July 10, 2017 02:30:27 PM (GMT)

ReportName: 72027-1026-1026-999-4000000000

This report shows the results of a separating the good business items from bad business items from an EDI data file.

| Error Severity Summary | File Information        |
|------------------------|-------------------------|
|                        | Interchange Received: 1 |
|                        | Interchange Accepted: 1 |

**Interchange**

**Interchange Status: Accepted**

|  |  |  |
|--|--|--|
| FunctionalGroup Received: 1<br>FunctionalGroup Accepted: 1 | Sender ID: 4197147<br>Receiver ID: 410602<br>Control Number: 999999999<br>Date: 20141001 | Sender Qualifier: ZZ<br>Receiver Qualifier: ZZ<br>Version: 00501<br>Time: 1402 |
|--|--|--|

**FunctionalGroup**

**FunctionalGroup Status: Accepted**

|  |   |  |
|--|---|--|
| TransactionSet Received: 1<br>TransactionSet Accepted: 1 | Sender ID: 4197147<br>Control Number: 999999999<br>Date: 20141001 | Receiver ID: PL001<br>Version: 00501007001<br>Time: 1402 |
|--|---|--|

**Transaction**

**Transaction Status: Accepted**

|  |                      |                     |
|--|----------------------|---------------------|
| InformationSource Received: 1<br>InformationSource Accepted: 1 | Control Number: 0001 | Transaction ID: 070 |
|--|----------------------|---------------------|

**InformationSource**

**InformationSource Status: Accepted**

|  |  |  |
|--|--|--|
| InformationReceiver Received: 1<br>InformationReceiver Accepted: 1 | InformationSourceEntryCode: PR<br>InformationSourceNameLastOrganizational: Inf &C<br>InformationSourcePrimaryID: 00000 | InformationSourceEntryType: 1<br>InformationSourcePrimaryIDQual: R1<br>InformationSourceILIndex: 1 |
|--|--|--|

**InformationReceiver**

**InformationReceiver Status: Accepted**

|  |  |  |
|--|--|--|
| Subscriber Received: 1<br>Subscriber Accepted: 1 | InformationReceiverPrimaryIDQual: 00<br>InformationReceiverILIndex: 1<br>InformationReceiverEntryType: 1 | InformationReceiverPrimaryID: 144702004<br>InformationReceiverEntryCode: 1P<br>InformationReceiverNameLastOrganizational: Inf R011 Org |
|--|--|--|

**Subscriber**

**Subscriber Status: Accepted**

|  |  |   |
|--|--|---|
| Inquiry Received: 1<br>Inquiry Accepted: 1 | SubscriberNameFirst: BRUNK<br>SubscriberBirthDate: 19750402<br>SubscriberILIndex: 1<br>ServiceTypeCode: 00<br>SubscriberNameLast: CASTILLO | SubscriberPrimaryID: FTRJRG0004<br>IsPatient: Yes<br>InquiryDate: 20141001<br>ParentAge: 00 |
|--|--|---|

**Inquiry**

**Inquiry Status: Accepted**

|  |                     |  |
|--|---------------------|--|
|  | ServiceTypeCode: 00 |  |
|--|---------------------|--|

This report is the proprietary and confidential information of Edifice, Inc. Any unauthorized use or disclosure of this report, or any portion or derivative thereof, is strictly prohibited.

Figure 63 – Transaction Test Results Report

ASETT User Manual v4.1

59

Administrative Simplification Enforcement & Testing Tool

### 4.3.1 Error Report

When testing a transaction, the system will generate an Error Report. This report validates the content and formatting of the transaction file. A file that is compliant will result in an Error Report with no high severity errors. Found errors are described and the severity of the error is noted.

| Error Report   |                        |                           | Powered by Edifice   |       |  |
|--|------------------------|---------------------------|----------------------|-------|--|
| <small>Edifice Tuesday, April 27, 2022 04:28:58 PM (GMT)</small><br><small>gpr:spca03@edifice.com-424241031-1642222028</small>   |                        |                           |                      |       |  |
| This report shows the results of a submitted data file validated against a guideline. If there are errors, you must fix the application that created the data file and then generate and submit a new data file. |                        |                           |                      |       |  |
| Report Summary   | Error Severity Summary | File Information          |                      |       |  |
| Passed<br>0 Error(s)   |                        | Interchange Received:     | 1                    |       |  |
|  |                        | Interchange Accepted:     | 1                    |       |  |
| <b>Interchange</b>   |                        |                           |                      |       |  |
| Interchange Status: Accepted   |                        |                           |                      |       |  |
| FunctionalGroup Received:  | 1                      | Sender ID: 3107147        | Sender Quarter:      | 22    |  |
| FunctionalGroup Accepted:  | 1                      | Receiver ID: 310442       | Receiver Quarter:    | 22    |  |
|  |                        | Control Number: 000000000 | Version:             | 00001 |  |
|  |                        | Date: 12/20/21            | Time:                | 14:05 |  |
| <b>FunctionalGroup</b>   |                        |                           |                      |       |  |
| FunctionalGroup Status: Accepted   |                        |                           |                      |       |  |
| TransactionSet Received:   | 1                      | Sender ID: 3107147        | Sender ID: 74494     |       |  |
| TransactionSet Accepted:   | 1                      | Control Number: 000000000 | Version: 00010121941 |       |  |
|  |                        | Date: 20/11/2021          | Time:                | 14:05 |  |
| <b>TransactionSet</b>  |                        |                           |                      |       |  |
| Transaction Status: Accepted   |                        |                           |                      |       |  |
|  |                        | Control Number: 001       | Transaction ID:      | 270   |  |

This report is the proprietary and confidential information of Edifice, Inc. Any unauthorized use or disclosure of this report, or any portion or derivative thereof, is strictly prohibited.

Figure 64 –Error Report (Excerpt)

## 5. Filing a Complaint without Registering

---

As an unregistered complainant, you may only input the details of your complaint. If you wish the opportunity to monitor your complaint, add notes, or upload supporting documentation to your complaint, please see **Chapter 4 - Filing a Complaint as a Registered User**.

All complaints are acknowledged by a system-generated email within 48 hours, followed by an acknowledgment letter containing next steps, sent via the US Postal System, within ten (10) business days.

To file a complaint without registering, start on the **ASETT Home Page** at <https://asett.cms.gov>.

### 5.1 Get Started

Select the **Get Started** button located within the File HIPAA Complaint section of the page. (See **Section 3.2.2.3 – Get Started Button**).



The screenshot shows the ASETT website interface. At the top, there is a navigation bar with links for Home, About ASETT, Contact Us, and Support. On the right side of the navigation bar are links for Register and Login. Below the navigation bar is a large banner with the word 'COMPLIANCE' and the ASETT logo. The ASETT logo text reads: 'ASETT Administrative Simplification Enforcement and Testing Tool'. Below the banner, there are two main sections: 'File HIPAA Complaint' and 'Test HIPAA Transactions'. The 'File HIPAA Complaint' section contains instructions on how to file a complaint, including a list of violations (Transaction, Unique Identifier, Code Sets, Operating Rules) and a 'Get Started' button. A red arrow points to the 'Get Started' button. The 'Test HIPAA Transactions' section contains information about the Test Transaction tool, including a list of supported formats (ASC X12 5010, NCPDP D.0, ICD-10 Diagnostic and procedure codes, Unique Identifiers) and instructions on how to use the tool.

Figure 65 – Get Started Button

The system will display the steps to file a HIPAA complaint along with a disclaimer message.



The screenshot displays the CMS Administrative Simplification Enforcement and Testing Tool (ASETT) interface. At the top, there is a navigation bar with links for Home, About ASETT, Contact Us, and Support. On the right side of the navigation bar, there are buttons for Register and Login. The main heading is 'Administrative Simplification Enforcement and Testing Tool (ASETT)'. Below the heading, a disclaimer states: 'Disclaimer: If you file a complaint without registration, you will not be able to view your complaints, upload supporting documents, correspond electronically, or test transactions.' This is followed by a list of steps for filing a complaint: Step 1: Identify the type of HIPAA/ACA complaint; Step 2: Provide your contact information; Step 3: Identify the Filed Against Entity; Step 4: Describe the HIPAA/ACA violation; Step 5: Review and Submit. A note indicates that users can review their information before submission and that CMS will respond after submission. At the bottom of the main content area, there are two buttons: 'Cancel' and 'Complaint Type>'. The footer contains links for Home, Privacy Policy, and Security Policy.

Figure 66 – File a HIPAA Complaint

Read the disclaimer.

Select the **Complaint Type** button at the bottom of the page to begin the complaint. The system will display the **Complaint Type** page.

## 5.2 Complaint Type Page

The screenshot shows the CMS website's complaint filing process. At the top, there's a navigation menu with 'Home', 'About ASETT', 'Contact Us', 'Support -', 'Register', and 'Login'. Below the menu is a progress bar with six steps: 1. COMPLAINT TYPE (highlighted in yellow), 2. COMPLAINANT DETAILS, 3. FAE DETAILS, 4. COMPLAINT DETAILS, 5. REVIEW COMPLAINT, and 6. SUBMITTED. The main heading is 'Complaint Type' with the instruction 'Make a selection below'. There are four radio button options:

- Transactions**: Select if a covered entity is in violation of the following transactions: claims and encounter information, payment and remittance advice, claims status, eligibility, enrollment and disenrollment, referrals and authorizations, coordination of benefits and premium payment.
- Code Sets**: Select if a covered entity is in violation of the following Code Sets: HCPCS (Ancillary Services/Procedures), CPT-4 (Physicians Procedures), CDT (Dental Terminology), ICD-9 (Diagnosis and Hospital Inpatient Procedures), ICD-10 (As of October 1, 2015) and NDC (National Drug Codes) codes with which providers and health plan are familiar, are the adopted code sets for procedures, diagnoses, and drugs.
- Unique Identifiers**: Select if a covered entity is in violation of the following Unique Identifiers: National Provider Identifier (NPI), Employer Identification Number (EIN).
- Operating Rules**: Select if a covered entity is suspected of being in violation of any of the adopted Operating Rules: Electronic Funds Transfer/Electronic Remittance Advice (EFT/ERA), Health Care Claim Status, and Eligibility for a Health Plan.

At the bottom of the selection area, there are three buttons: '<Welcome', 'Cancel', and 'Complainant Information>'. Below these are links for 'Home', 'Privacy Policy', and 'Security Policy'.

Figure 67 – Select Complaint Type

Select a **Complaint Type** radio button

- Transactions
- Code Sets
- Unique Identifiers
- Operating Rules

Select the **Complainant Information** button at the bottom of the page.

The system will display the **Complainant Details** page.

### 5.3 Complainant Details Page

**CMS**

Home About ASETT Contact Us Support Register Login

Form Approved OMB No. 0938-0348

1. COMPLAINT TYPE 2. COMPLAINANT DETAILS 3. FAE DETAILS 4. COMPLAINT DETAILS 5. REVIEW COMPLAINT 6. SUBMITTED

## Complainant Details

Do you want to remain Anonymous during this process?  Yes  No

**Disclaimer :** If you select yes, please note CMS will not share your information to the Filed Against Entity (FAE) during the investigation process. However, information provided in this complaint is subject to rules and policy under Freedom of Information Act (FOIA).

Complainant Organization Name\*

Complainant Organization Type

Complainant Organization Phone Number\*

Complainant Title\*

Complainant First Name\*

Complainant MI

Complainant Last Name\*

Complainant Address Line 1\*

Complainant Address Line 2

Complainant City/Town\*

Complainant State/Territory\*

Complainant Zip Code\*

Complainant Email Address\*

Complainant Contact Phone Number\*

<Specify Complaint Type Cancel Filed Against Entity Information>

Figure 68 – Complainant Details Page

Complete the required fields, marked with a red asterisk ‘\*’ at the end of the field name.

Select the **Filed Against Entity Information** button at the bottom of the page.  
The system will display the **FAE Details** page.

## 5.4 FAE Details Page

The screenshot displays the 'FAE Details' page within the CMS interface. At the top, there is a navigation menu with links for Home, About ASETT, Contact Us, Support, Register, and Login. A progress bar below the navigation indicates the current step in the process: 1. COMPLAINT TYPE, 2. COMPLAINANT DETAILS, 3. FAE DETAILS (highlighted in yellow), 4. COMPLAINT DETAILS, 5. REVIEW COMPLAINT, and 6. SUBMITTED. The main content area is titled 'FAE Details' and contains a form with the following fields:

- FAE Organization Name\*
- FAE Organization Type (dropdown menu, currently showing '-None-')
- FAE Organization Role
- FAE Contact Title\* (dropdown menu, currently showing '-None-')
- FAE Contact First Name\*
- FAE Contact MI
- FAE Contact Last Name\*
- FAE Address Line 1\*
- FAE Address Line 2
- FAE City/Town\*
- FAE State/Territory\* (dropdown menu, currently showing '-None-')
- FAE Zip Code\* (split into two boxes: 55555 and 55555)
- FAE Contact Email Address (example@demo.com)
- FAE Contact Phone Number\* (split into two boxes: XXX XXX XXXX and Ext.)

At the bottom of the form, there are three buttons: '< Complainant Information', 'Cancel', and 'Complaint Details Information >'. Below these buttons are links for Home, Privacy Policy, and Security Policy.

Figure 69 – FAE Details Page

Complete the required fields, marked with a red asterisk ‘\*’ at the end of the field name. Select the **Complaint Details Information** button at the bottom of the page.



The system will display the **Complaint Details** page.

## 5.5 Complaint Details Page

The screenshot displays the CMS Complaint Details page. At the top, there is a navigation menu with links for Home, About ASETT, Contact Us, Support, Register, and Login. A progress bar indicates the current step is 4. COMPLAINT DETAILS. The main form contains the following fields:

- Incident occurred date\* (Date picker showing 4/20/2020)
- Complaint Subject\*
- Complaint Description\*
- Complaint Unique Identifier Type (Dropdown menu showing --None--)
- Does the complaint relate to the FAE charging fees to conduct standard transactions?\* (Dropdown menu showing --None--)
- Attempted to Resolve (Dropdown menu showing --None--)
- Complainant Action Description
- Complaint Previously submitted (Dropdown menu showing --None--)

At the bottom of the page, there are three buttons: "< Filed Against Entity Information", "Cancel", and "Complaint Review >".

Figure 70 – Complaint Details Page

Complete the required fields, marked with a red asterisk "\*" at the end of the field name.

Select the **Complaint Review** button at the bottom of the page.

The system will display the **Reviewing the Complaint** page.



## 5.6 Reviewing the Complaint

**CMS** Home About ASETT Contact Us Support Register Login

Form Approved OMB No. 0938-0948

1. COMPLAINT TYPE 2. COMPLAINANT DETAILS 3. FAE DETAILS 4. COMPLAINT DETAILS 5. REVIEW COMPLAINT 6. SUBMITTED

### Reviewing the Complaint

#### Complaint Details [Edit](#)

Complaint Type\*

Complaint Subject

Complaint Description

Incident occurred date

Complaint Unique Identifier Type

Charging Fee to Conduct Transaction?

#### Complainant Details [Edit](#)

Complainant Organization Name

Complainant Organization Type

Complainant Organization Type (Other)

Complainant Organization Role

Complainant Organization Phone Number

Complainant Title

Complainant First Name

#### FAE Details [Edit](#)

FAE Organization Name

FAE Organization Type

FAE Organization Type (Other)

FAE Organization Role

FAE Contact Title

FAE Contact First Name

< Complaint Details Information Cancel Submit >

Home Privacy Policy Security Policy

Figure 71 – Review the Complaint page (Excerpt)

Select the **Edit** hyperlink to the right of any of the page name headings to edit the selected page.

The system will redisplay the original page.

Select the **Back to Review Page** button at the bottom of the page to return to the **Reviewing the Complainant** page.

When the review is complete, select the **Submit** button at the bottom of the page.

A **Complaint Successfully Submitted** page will display with the assigned complaint number.

**CMS**  
CENTERS FOR MEDICARE & MEDICAID SERVICES

Home About ASETT Contact Us Support Register Login

Form Approved OMB No. 0938-0948

1. COMPLAINT TYPE 2. COMPLAINANT DETAILS 3. FAE DETAILS 4. COMPLAINT DETAILS 5. REVIEW COMPLAINT 6. SUBMITTED

## Complaint Successfully Submitted

Thank you for using the automatic complaint system for compliance with the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and the Administrative Simplification Provisions of the Affordable Care Act of 2010 (ACA). Your complaint has been received by the Centers for Medicare and Medicaid Services (CMS) on behalf of the Department of Health and Human Services (HHS). The Enforcement Staff will review the allegations.

Please allow 10 business days for a member of the Enforcement Team to contact you with the status of your complaint. If you have any additional information to provide with regard to this complaint you can attach supporting documents, test transaction, and notes on the Complaint Details Page by clicking on the Go To Complaint button below. If needed, you may also close/retract your complaint from the Complaints Details page.

If further clarification or information is required, we will contact you by phone, email or letter. If your complaint pertains to the HIPAA Privacy Rule, it will be forwarded to the Office for Civil Rights for handling and processing, and it will be closed by our office. If your complaint is accepted by CMS, you may use the login identification information assigned to you during the registration process to check the status at any time. If you have questions regarding your complaint, you may send an email to [hipaacomplaint@cms.hhs.gov](mailto:hipaacomplaint@cms.hhs.gov).

Complaint Reference Number: **20-UID-0**

Home Privacy Policy Security Policy

Figure 72 – Success Message with Complaint Number

### 5.6.1 Progress Bar

Each page within the complaint form displays a progress bar at the top. This is a visual representation of each screen in the complaint form. A completed screen will display a

green bubble, the screen currently in progress will display a yellow bubble, and screens upcoming display a black bubble.



Figure 73 – Progress Bar

### 5.7 Cancel Button

Each page within the complaint form displays a cancel button at the bottom of the page. This allows you to discard all detail input if the complaint is no longer needed.

If you select to cancel the information entered, it cannot be recovered.

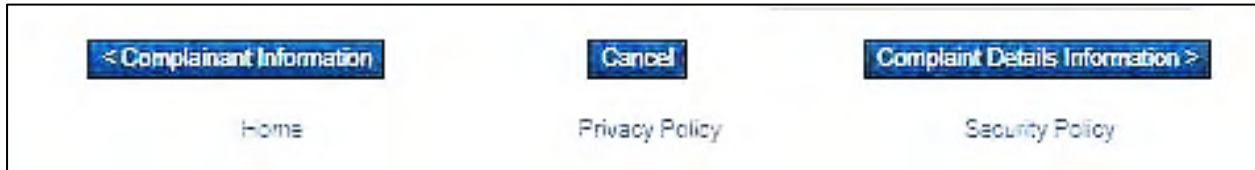


Figure 74 – Cancel Button

## 6. Filed-Against Entity Portal

As the filed-against entity (FAE), an alleged violation of HIPAA standards has been filed against you. Within ten (10) business days of the complaint acceptance and assignment to an Enforcement Analyst, you will receive a letter via the United States Postal System, notifying you of the allegations and next steps. The letter will also contain a URL and a security token.

The URL provides you a secure electronic platform to respond to the allegations noted in the letter received. The security token is your “key” to enter the portal.

### 6.1 Access the FAE Portal

In addition to a letter, the ASETT system generates an email sent to the email address entered by the complainant when they submitted their complaint to the system.

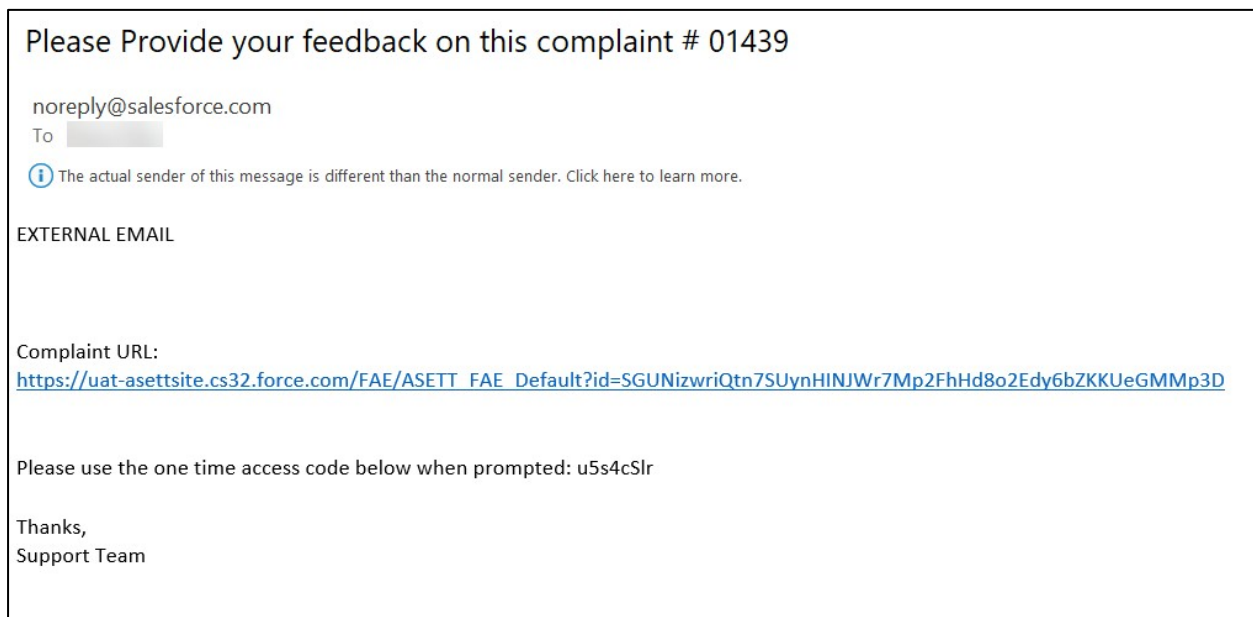


Figure 75 – System-Generated Notice of Complaint

Select the link provided in the email. Alternatively, you may copy and paste the URL into your browser address bar and select **Enter** key on your keyboard. The same URL and security token are included in your notification letter.

The system will display the **Warning** screen.



Figure 76 – Warning Screen

Select the **Accept** button.

The **FAE Security Token** page will display.



Figure 77 – Security Token Entry Page

Enter the security token in the **Security token** field from the email or letter you received.

If the URL or token expire, please contact the ASETT Support team by either calling the ASETT Help Desk at (703) 951-6810, or sending an email to [ASETTHelpdesk@religroupinc.com](mailto:ASETTHelpdesk@religroupinc.com), or to [HIPAAComplaint@cms.hhs.gov](mailto:HIPAAComplaint@cms.hhs.gov).

**Note:** the security token field will recognize spaces entered before or after the token number as part of the security key and display an error message.

Select the **Next** button. The **FAE Welcome Page** will display.



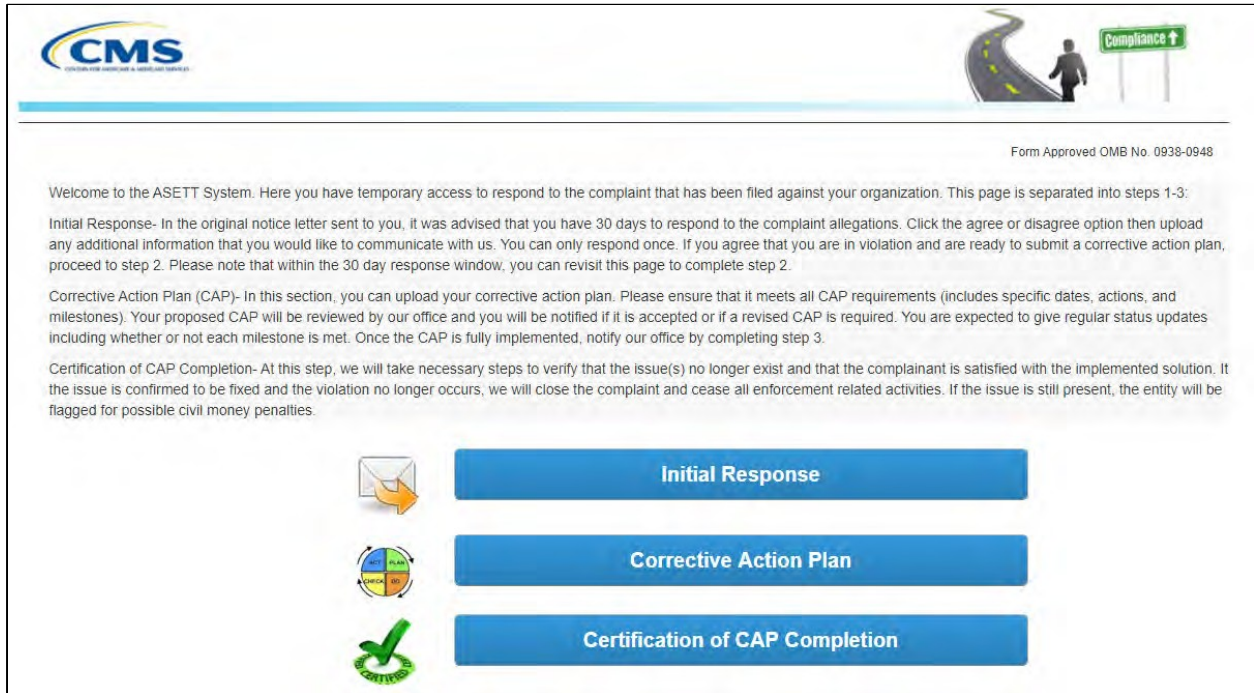


Figure 78 – FAE Portal Welcome Page

## 6.2 Initial Response

Select the **Initial Response** button located on the **FAE Portal Welcome Page**.

The system will display the initial response option buttons:

- Agree with Violation
- Disagree with Violation
- Notes
- Upload Attachment



Figure 79 – Initial Response Option Buttons

Under the Initial Response button, select either the **Agree With Violation** button or the



**Disagree With Violation** button to accept or reject the allegations. You may add notes and/or documentation in support of your response. See **Section 6.2.3 Add Notes** and **Section 6.2.4 Upload Attachment**.

### 6.2.1 Agree with Violation

If you agree with the allegations filed against you, please select the **Agree With Violation** button. A pop-up window will display a confirmation message. Please select either the **OK** or the **Cancel** button.



Figure 80 – Agree Confirmation Message

When you select the **OK** button, the page will show that you accept the violation filed against you.



Figure 81 – Violation Accepted Displays

The **Agree With Violation** button will display green, along with checkmark to the right, indicating the Initial Response step is complete.

Subsequently, the **Disagree With Violation** button is now disabled.

**Note:** All electronic responses are final. To change your response, contact the HIPAA Enforcement Team by sending an email to [HIPAAComplaint@cms.hhs.gov](mailto:HIPAAComplaint@cms.hhs.gov).

### 6.2.2 Disagree with Violation

If you disagree with the allegations filed against you, please select the **Disagree With Violation** button. A pop-up window will display a confirmation message. Please select either the **OK** or the **Cancel** button.



Figure 82 – Disagree Confirmation Message

When you select the **OK** button, the page will show that you reject the violation filed against you.



Figure 83 – Violation Rejected Displays

The **Disagree With Violation** button is green, along with a checkmark shown to the right of the **Initial Response** button, indicating the Initial Response step is complete.

Subsequently, the **Agree With Violation** button is disabled.

**Note:** All electronic responses are final. To change your response, contact the HIPAA Enforcement Team by sending an email to [HIPAAComplaint@cms.hhs.gov](mailto:HIPAAComplaint@cms.hhs.gov).

### 6.2.3 Add Notes

To support your position on the complaint, you may add notes or comments. Select the **Notes** button in the **Initial Response** section of the page.

The **Creating a Note** page will display.

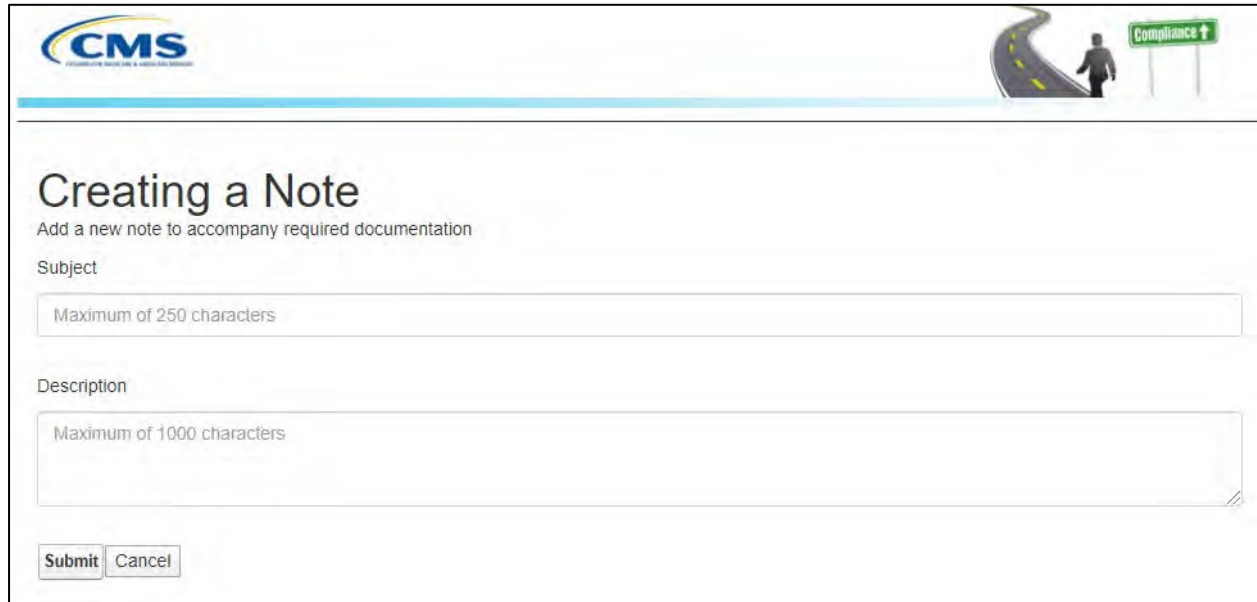


Figure 84 – Add a Note Page

Enter your note subject and description. Select the **Submit** button to save your note to the complaint record. Select **Cancel** to discard your entry.

After Submit, the system will display a submit confirmation message.

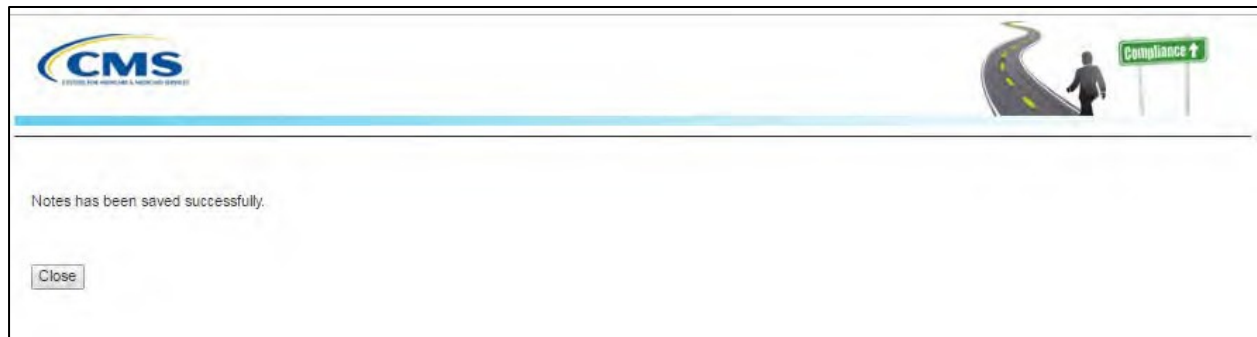


Figure 85 – Note Added Success Message

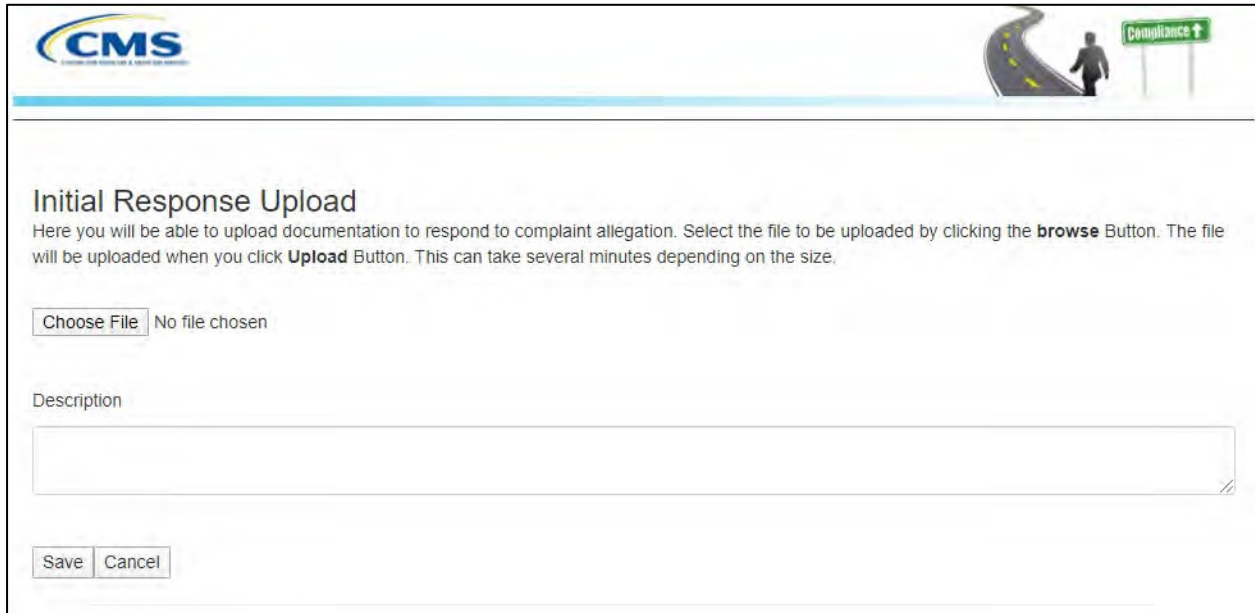
Select the **Close** button on the confirmation message page to return to the **FAE Portal Welcome Page**.

## 6.2.4 Upload Attachment

In addition to adding comments to support your position on the complaint, you may add documents.

Select the **Upload Attachment** button in the **Initial Response** section of the page.

The **Initial Response Upload** page will display.



The screenshot shows the 'Initial Response Upload' page. At the top left is the CMS logo. At the top right is a graphic of a person walking on a path towards a 'Compliance' sign. The main content area has the title 'Initial Response Upload' and a paragraph of instructions: 'Here you will be able to upload documentation to respond to complaint allegation. Select the file to be uploaded by clicking the **browse** Button. The file will be uploaded when you click **Upload** Button. This can take several minutes depending on the size.' Below this is a file selection area with a 'Choose File' button and the text 'No file chosen'. Underneath is a 'Description' label and a large text input box. At the bottom are 'Save' and 'Cancel' buttons.

Figure 86 – Initial Response Upload Page

Select the **Choose File** button to select the desired file from your computer.

**Note:** The system will allow only the following file types: .dat, .docx, .pdf, .txt, .xlsx, and .zip.

**Note:** All files must be 4.8 MB or smaller to be accepted by the system. Type the description of the file in Description text box.

Select the **Save** button.

The system will display a success message when the documentation upload is complete.



The screenshot shows the 'Upload Confirmation Message' page. At the top left is the CMS logo. At the top right is a graphic of a person walking on a path towards a 'Compliance' sign. The main content area has the message 'Attachment has been saved successfully.' Below this is a 'Close' button.

Figure 87 – Upload Confirmation Message

Select the **Close** button on the confirmation message page to return to the **FAE Portal Welcome Page**.

Your response will be reviewed by the enforcement team and you will be notified about the next steps.

## 6.3 Corrective Action Plan

To submit your Corrective Action Plan (CAP) resolution and timeline, log into the FAE Portal as described in **Section 6.1 – Access the FAE Portal**.

From the FAE Portal Welcome Page, select the **Corrective Action Plan** button.

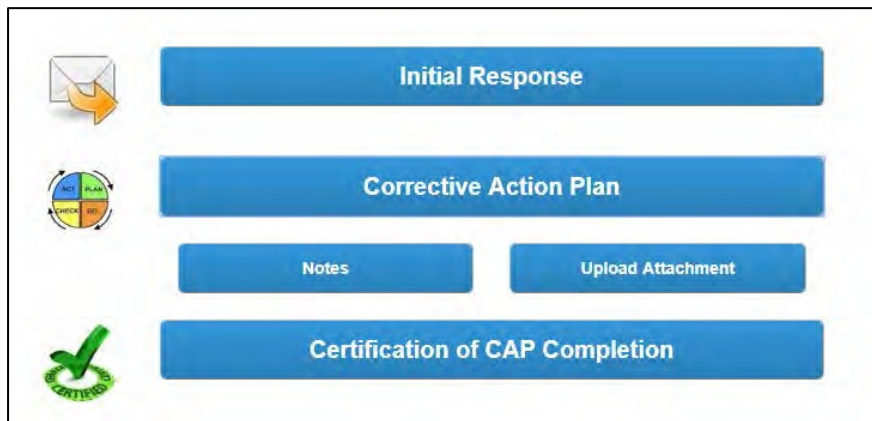


Figure 88 – Corrective Action Plan Option Buttons

### 6.3.1 Add Notes

To support your plan, you may add notes or comments. Select the **Notes** button in the **Corrective Action Plan** section of the page.

The **Creating a Note** page will display.

Figure 89 – Add a Note Page

Enter your note subject and description. Select the **Submit** button to save your note to the complaint record. Select **Cancel** to discard your entry.

After **Submit**, the system will display a submit confirmation message.

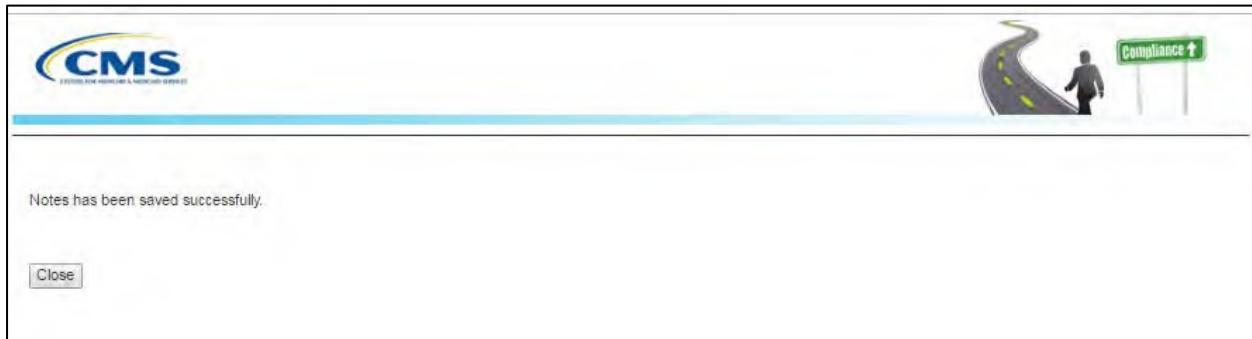


Figure 90 – Note Added Success Message

Select the **Close** button on the confirmation message page to return to the **FAE Portal Welcome Page**.

### 6.3.2 Upload Attachment

To submit the CAP for review and approval by the Enforcement Team, select the **Upload Attachment** button in the **Corrective Action** section of the page.

The **CAP Response Upload** page will display.

Figure 91 – CAP Response Upload Page

Select the **Choose File** button to select the desired file from your computer.

**Note:** The system will allow only the following file types: .dat, .docx, .pdf, .txt, .xlsx, and .zip.

**Note:** All files must be 4.8 MB or smaller to be accepted by the system.

Type the description of the file in **Description** text box.



Select the **Save** button.

The system will display a success message when the documentation upload is complete.



Figure 92 – Upload Confirmation Message

Select the **Close** button on the confirmation message page to return to the **FAE Portal Welcome Page**.

Your corrective action plan will be reviewed by the enforcement team and you will be notified about the next steps.

### 6.4 Certify CAP Complete

To close out the CAP, log into the **FAE Portal** as described in **Section 6.1 – Access the FAE Portal**.

From the FAE Portal Welcome Page, select the **Certification of CAP Completion** button on the FAE Portal Welcome Page.

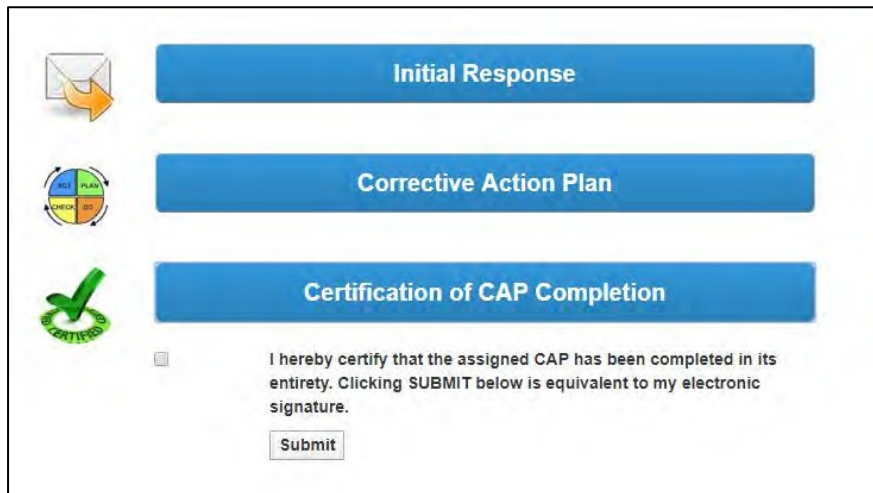


Figure 93 – CAP Complete Certification

The Certification Statement will display under the Certification of CAP Completion button.

Mark the checkbox to indicate you agree with the certification statement.

I hereby certify that the assigned CAP has been completed in its entirety. Clicking **SUBMIT** below is equivalent to my electronic signature.

Figure 94 – Agree with Certification Statement

Select the **Submit** button.

The system will display a submit confirmation message.



Figure 95 – Complaint Closure Message

## 7. Troubleshooting and Support

This section provides information for addressing the following types of issues:

- Error messages
- General HIPAA inquiries
- Production support for environmental issues
- Security incidents

### 7.1 Error Messages

The system generates error messages in the following scenarios:

- Error messages found during data entry
- ASETT System Error

#### 7.1.1 Data-Entry Errors

The system will display instructional error messages when a required field is missed or if invalid characters are entered in a field. The error messages appear at the top of the ASETT detail pages. Each error message contains a brief description of the error and suggests corrective action.

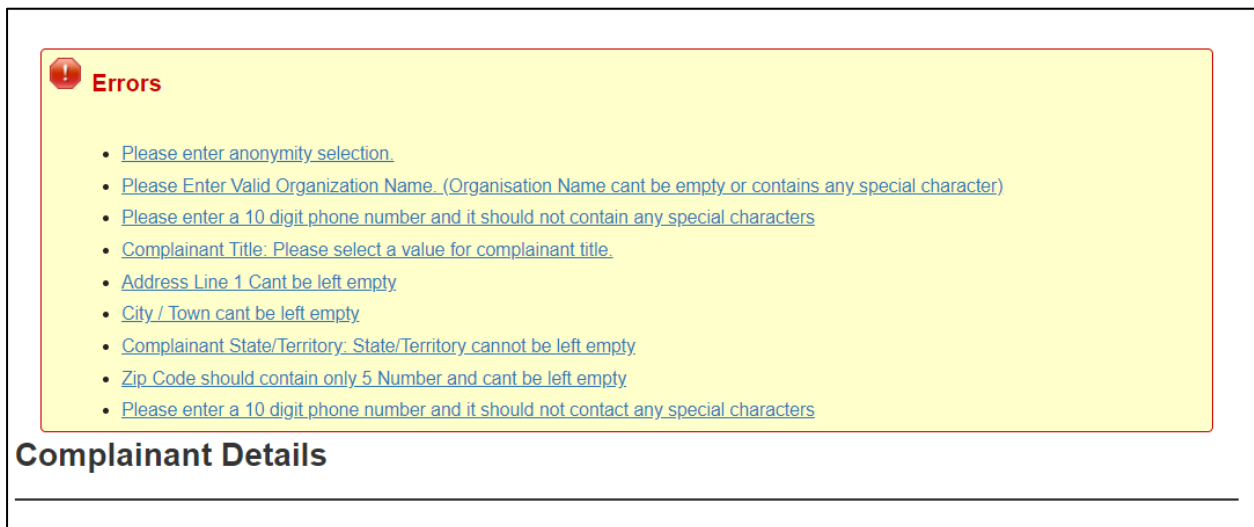


Figure 96 – Complaint Error Message Display

The following is a sample of error messages available on the complaint detail pages.

Table 2 - Complaint Detail Error Messages (Example)

| Location                   | Error Message  |
|----------------------------|--|
| <b>Complaint Type</b>      | Select a Complaint Type from the Complaint Type list         |
| <b>Complainant Details</b> | Select whether to remain anonymous in the Anonymous question |

| Location                   | Error Message   |
|----------------------------|---|
| <b>Complainant Details</b> | Enter the Complainant Organization Name in the Complainant Organization Name field    |
| <b>Complainant Details</b> | Enter the Complainant phone number in the Complainant Organization Phone Number field |
| <b>Complainant Details</b> | Select the Complainant Title for the Complainant Title field                          |
| <b>Complainant Details</b> | Enter the Complainant First Name in the Complainant First Name field                  |
| <b>Complainant Details</b> | Enter the Complainant Last Name in the Complainant Last Name field                    |
| <b>FAE Details</b>         | Enter the FAE Organization Name in the FAE Organization Name field                    |
| <b>FAE Details</b>         | Select the FAE Contact Title for the FAE Title field                                  |
| <b>FAE Details</b>         | Enter the FAE Contact First Name in the FAE First Name field                          |
| <b>FAE Details</b>         | Enter the FAE Contact Last Name in the FAE Last Name field                            |
| <b>Complaint Details</b>   | Enter the Incident Occurred Date in the Incident Occurred Date field.                 |
| <b>Complaint Details</b>   | Enter Complaint Subject in the Complaint Subject field                                |
| <b>Complaint Details</b>   | Enter Complaint Description in the Complaint Description field                        |
| <b>Add Notes</b>           | Please Enter Notes Title and Description before saving                                |
| <b>Close/Retract</b>       | Please Select Close Retract Reason  |

### 7.1.2 System Errors

You may encounter an ASETT system error; however, there is no immediate corrective action to remediate the error. You can log back in ASETT and resume activity.

Upon receiving an ASETT system error, please notify ASETT Support about your technical problems or ask questions about the ASETT application.

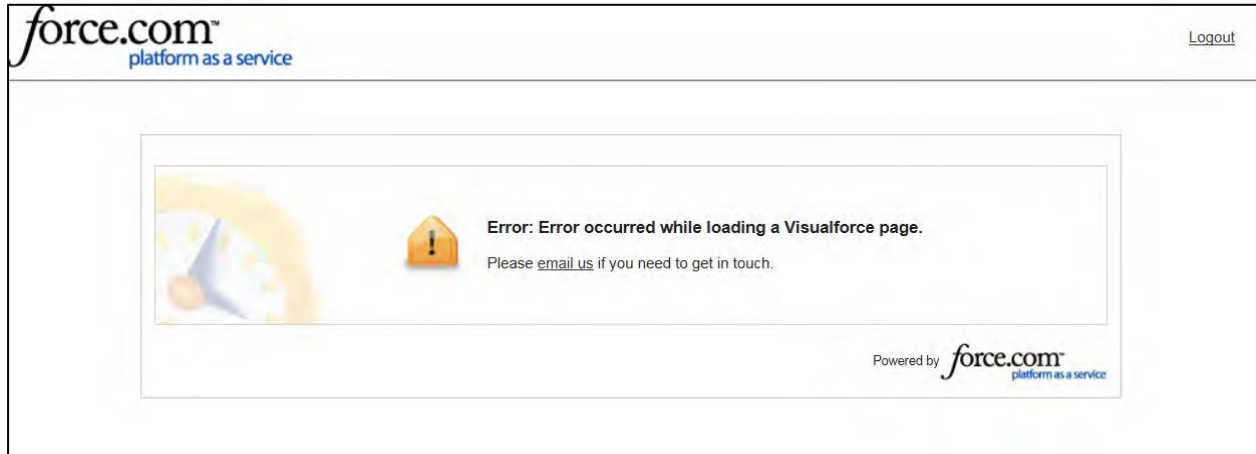


Figure 97 – Sample System Error

## 7.2 Support

For technical issues or questions about ASETT, contact the ASETT Helpdesk, Monday through Friday, 8:00 am to 5:00 pm (Eastern) at (703) 951-6810, or by sending an email to [ASETTHelpdesk@religroupinc.com](mailto:ASETTHelpdesk@religroupinc.com).

The ASETT Help Desk is available to assist with:

- ASETT complaint system
- [ASETT.cms.gov](http://ASETT.cms.gov) website
- Screen or system errors
- System connectivity
- Password resets
- Complaint status

For an extensive compilation of HIPAA and ACA Administrative Simplification information, visit <http://go.cms.gov/AdminSimp>

For other inquiries, send an email to the <mailto:HIPAAComplaint@cms.hhs.gov>.

## 8. Appendix A: Record of Changes

Table 3 – Record of Changes

| Version Number | Date      | Author/Owner   | Description of Change  |
|----------------|-----------|----------------|--|
| <b>2.3</b>     | 4/20/2020 | Nancy May      | Complete update: new screen prints, reformat manual, update chapter arrangement, added new Help Desk contact email |
|                | 4/24/2020 | Orlando Clarke | Quality Check  |
|                | 4/29/2020 | Nancy May      | QC edits, Section 508 compliance edits   |
| <b>3.0</b>     | 6/5/2020  | Nancy May      | Final for upload to ASETT Home Page  |
| <b>4.0</b>     | 2/19/2021 | Nancy May      | Revised for new IDM registration process   |
| <b>4.1</b>     | 3/5/2021  | Nancy May      | Updated with 508 compliance edits  |
|                |           |                |  |



## 9. Appendix B: Glossary of Terms and Acronyms

Table 4 – Glossary of Terms and Acronyms

| Term  | Acronym | Definition   |
|---|---------|--|
| <b>.dat</b>   | N/A     | A data file.   |
| <b>.docx</b>  | N/A     | A Microsoft Office Word document.  |
| <b>.pdf</b>   | N/A     | A multi-platform document created by Adobe Acrobat.  |
| <b>.txt</b>   | N/A     | A text file.   |
| <b>.xlsx</b>  | N/A     | A Microsoft Office Excel spreadsheet.  |
| <b>.zip</b>   | N/A     | An archive that contains one or more compressed files.   |
| <b>Administrative Simplification</b>                              | N/A     | Administrative Simplification is a provision emanating from the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191, requiring the Department of health and Human Services to adopt national standards for electronic health care transactions and code sets, unique health identifiers, and security.   |
| <b>Administrative Simplification Enforcement and Testing Tool</b> | ASETT   | ASETT is a web-based application that enables individuals or organizations to file a complaint against a health care provider, health plan, or clearinghouse for potential non-compliance with the (non-privacy) provisions of the Health Insurance Portability and Accountability Act to include Transaction and Code Sets, Unique Identifiers, or Security. ASETT securely captures demographic information about the complainant and the filed- against entity, as well as details of the allegation and any supporting documentation provided by both parties. |
| <b>Affordable Care Act</b>  | ACA     | The ACA reforms certain aspects of the private health insurance industry and public health insurance programs, including increasing insurance coverage of pre-existing conditions and expanding access to insurance to Americans, while mandating an increase in total national medical expenditures.  |
| <b>Corrective Action Plan</b>                                     | CAP     | A CAP is an organized approach to resolving a problem using data analysis, program analysis, corrective action planning, implementation, evaluation, and monitoring.   |
| <b>Electronic Data Interchange</b>                                | EDI     | EDI refers to the computer-to-computer exchange of structured information, by agreed message standards, from   |

| Term   | Acronym | Definition  |
|--|---------|---|
|  |         | one computer application to another by electronic means and with a minimum of human intervention.   |
| <b>Filed-Against Entity</b>                                | FAE     | The HIPAA-covered entity that is alleged to be in violation of the HIPAA/ACA standards for electronic data interchange transactions.  |
| <b>Health Insurance Portability and Accountability Act</b> | HIPAA   | Title I of the Health Insurance Portability and Accountability Act protects health insurance coverage for workers and their families when they change or lose their jobs. Title II of the Health Insurance Portability and Accountability Act, known as the Administrative Simplification provisions, requires the establishment of national standards for electronic health care transactions and national identifiers for providers, health insurance plans, and employers. |