Administrative Simplification Enforcement and Testing Tool (ASETT)

User Manual

Version 4.1

3/5/2021

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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
Complainant Registration	Prospective complainants can create user credentials for ASETT
Complaint Filing	Complainants can submit an electronic complaint and provide support for that complaint
Complaint Management	Registered users can check the status of a complaint or upload support documents. The complainant must have filed their complaint in the ASETT tool
Transaction Testing	Registered users can test a healthcare transaction for Administrative Standards compliance, with or without filing a complaint
Complaint Response	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

ASETT 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.
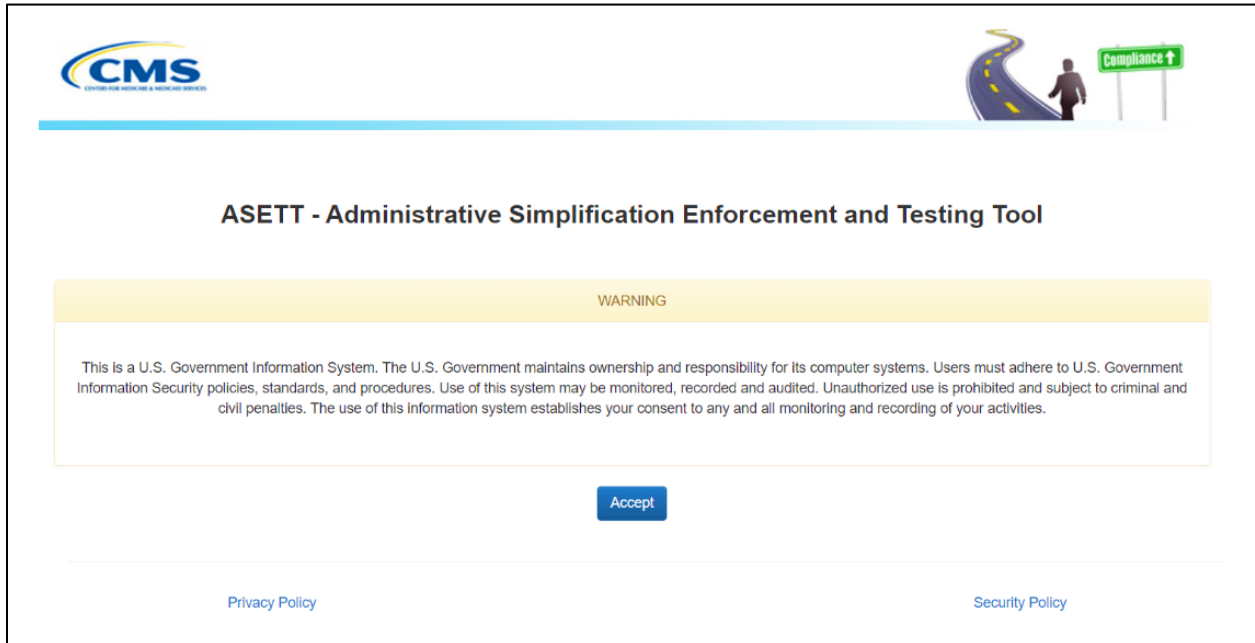
Figure 1 – ASETT Warning Message

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**.

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.

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:
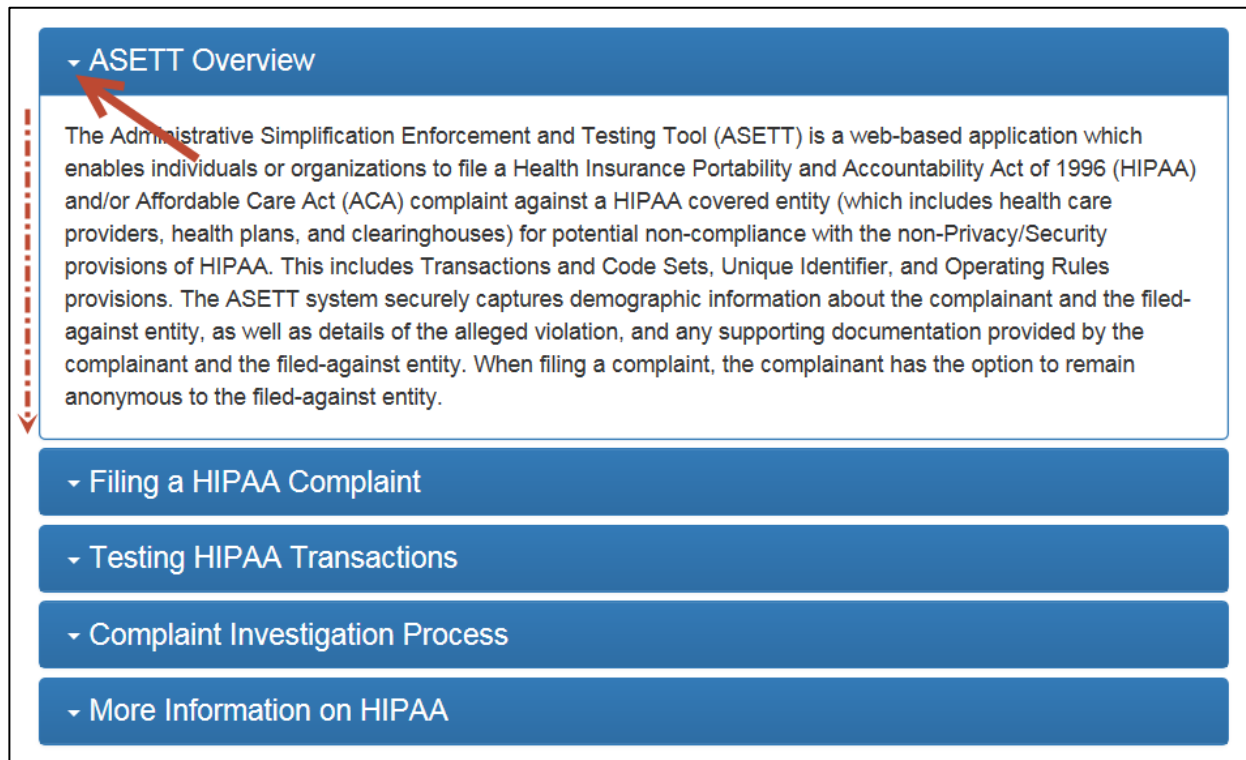
Figure 6 – Expand the Topics

Each section provides detail for the section heading (topic), ranging from description of the tool (**ASETT 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
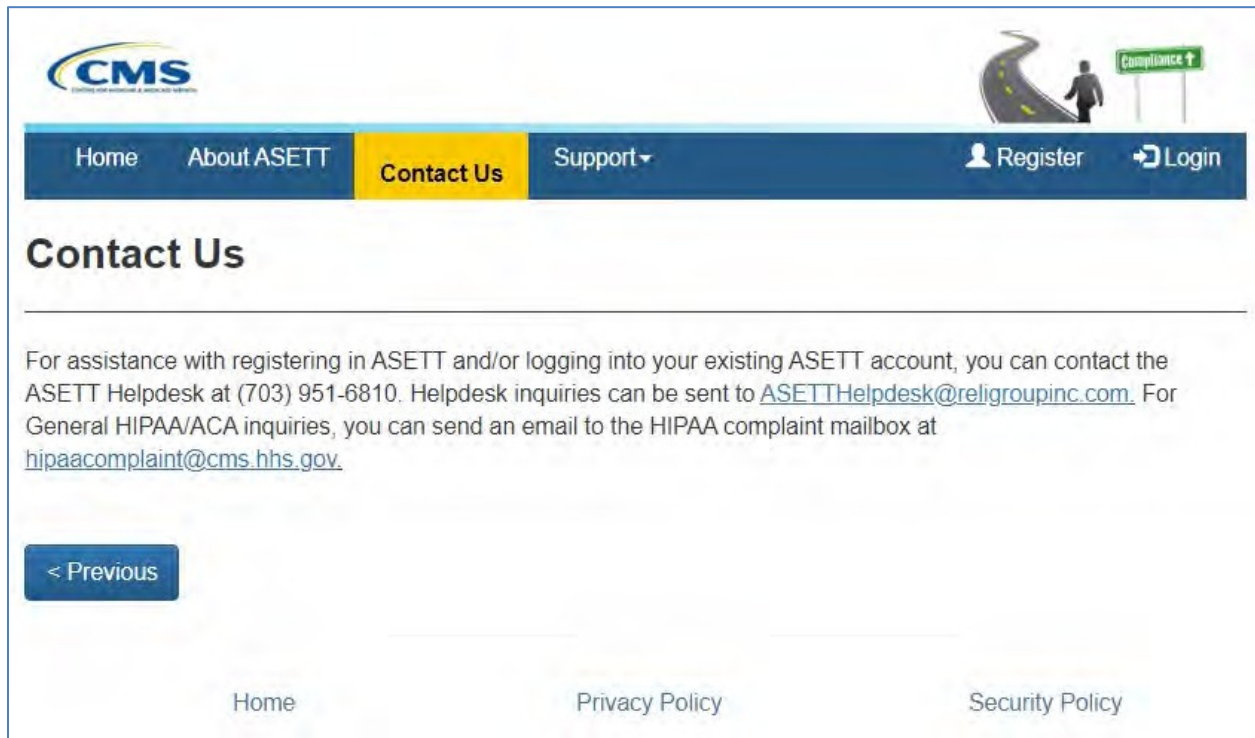
Figure 7 – Contact Us Link

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.
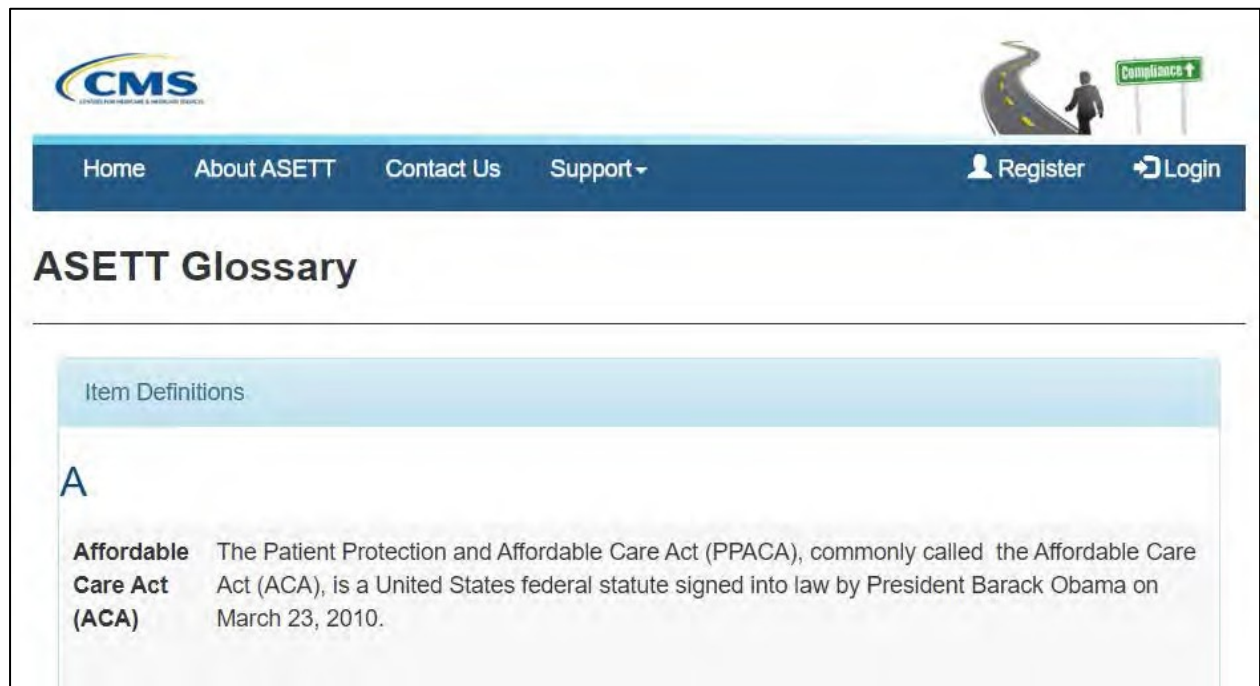
Figure 10 – Glossary Page (Excerpt)

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:
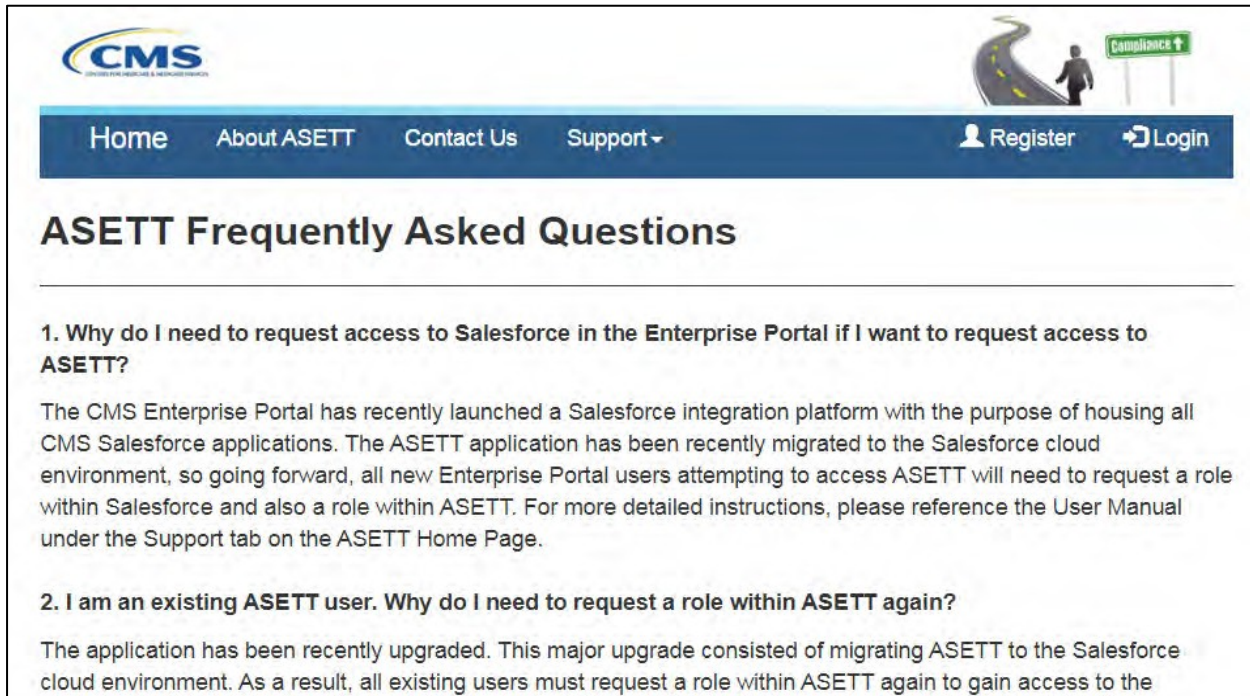
Figure 12 – Frequently Asked Questions Page (Excerpt)

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.

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
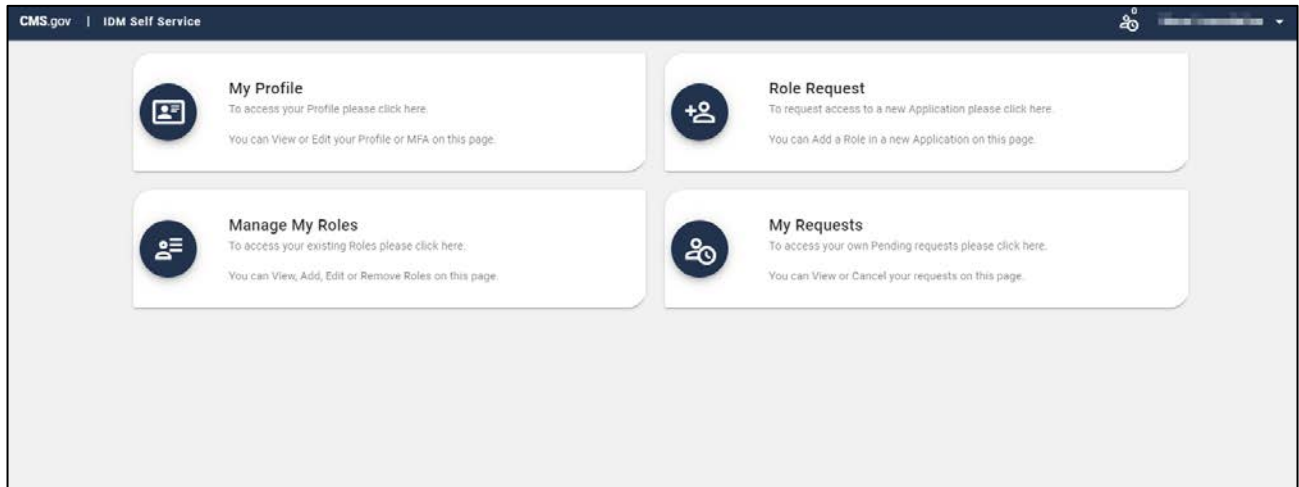
Figure 17 – IDM Self Service Screen

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

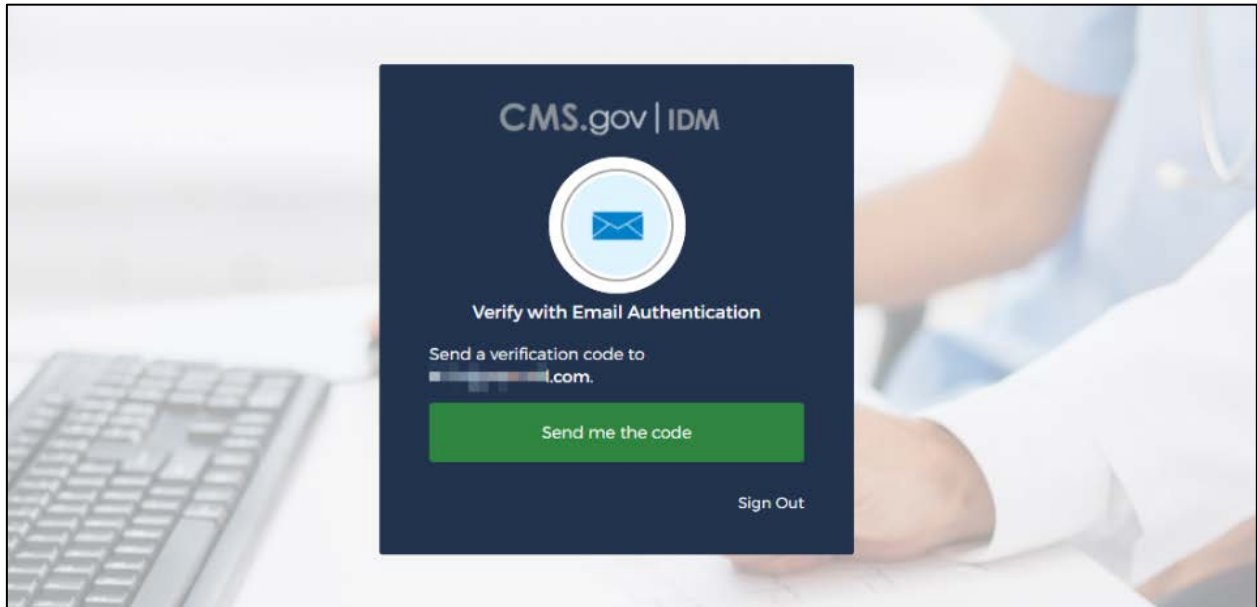Select the **Send me the code** button. The system will send a security code to your email address.

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

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

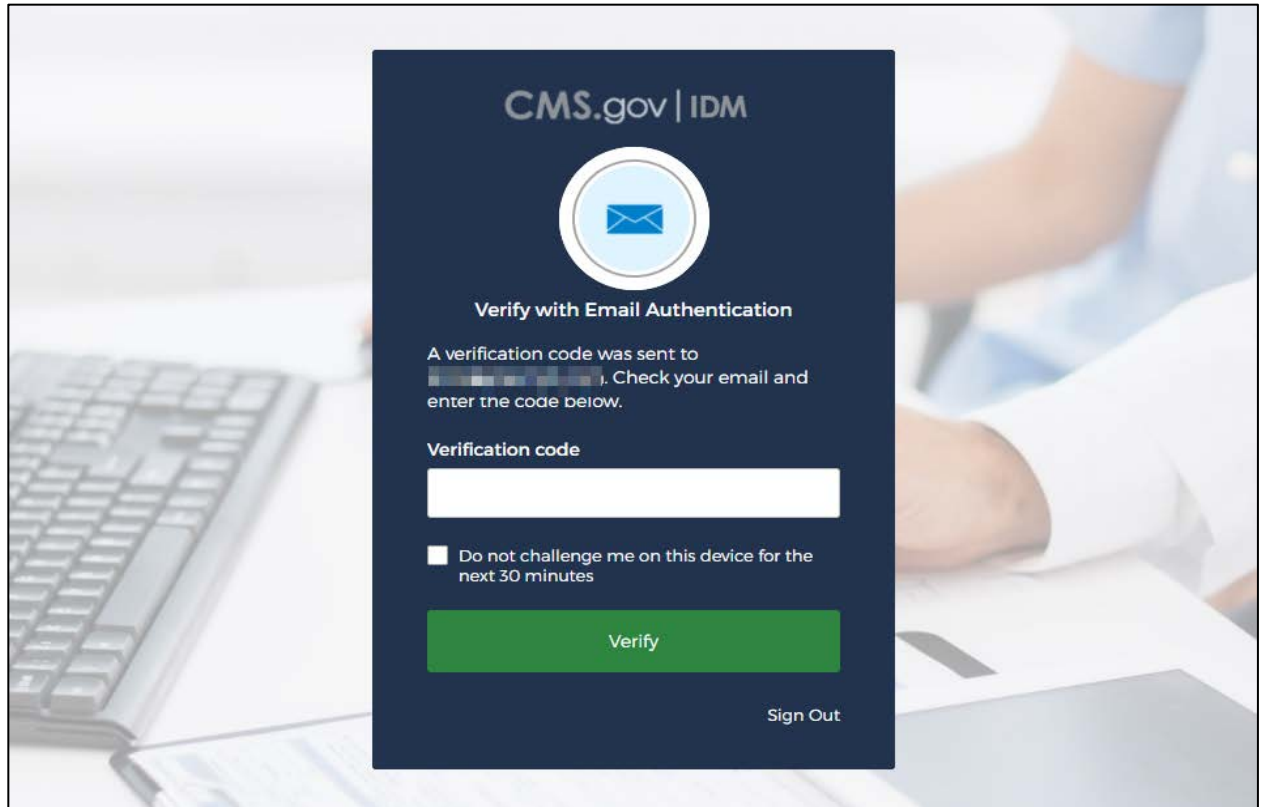Figure 19 – Enter the Security Code

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

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.

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.

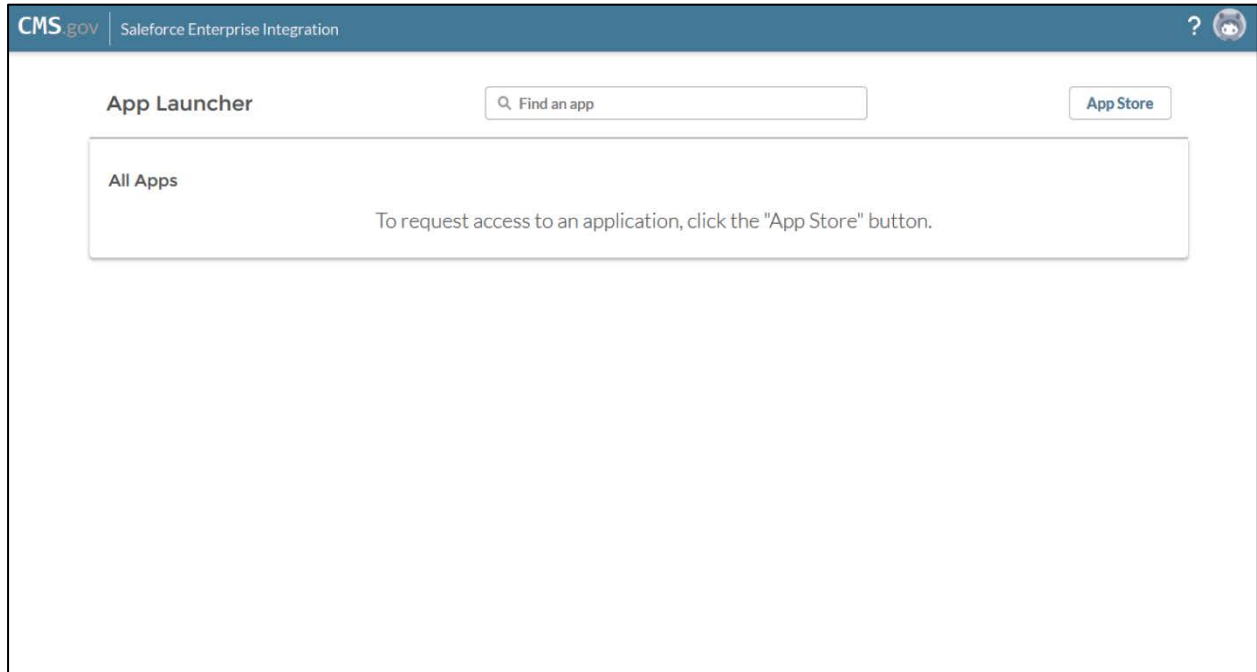The **Salesforce Enterprise Integration App Launcher** page will display.

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.
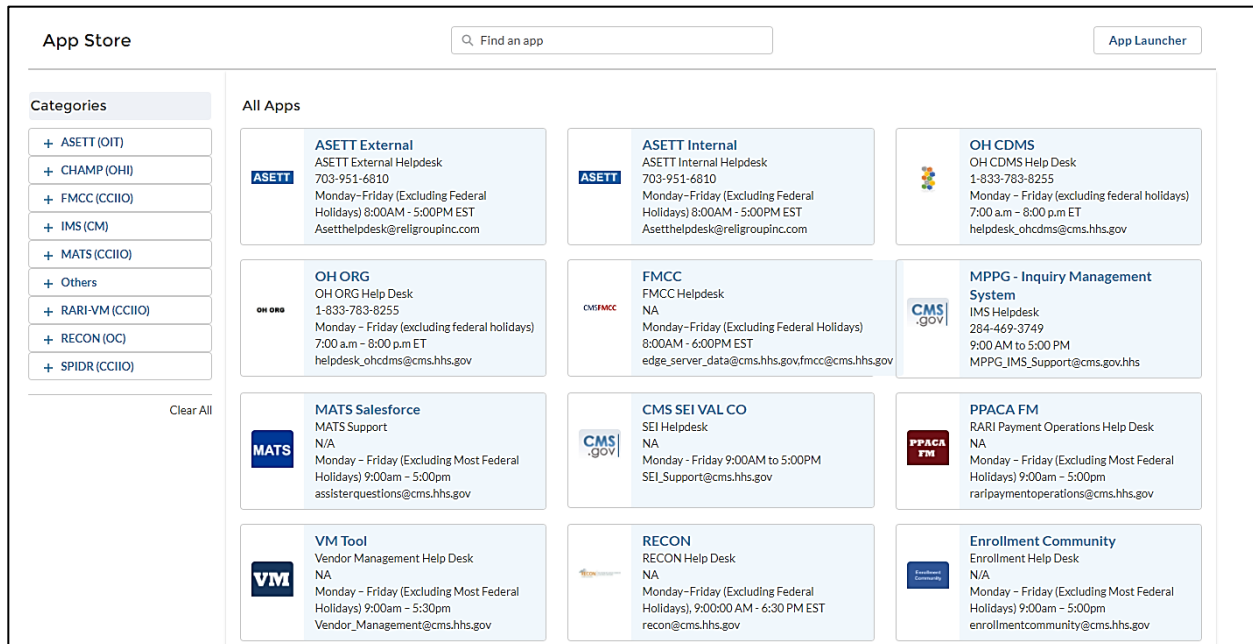

Figure 23 – Salesforce App Store

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

Select the **ASETT 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.

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.
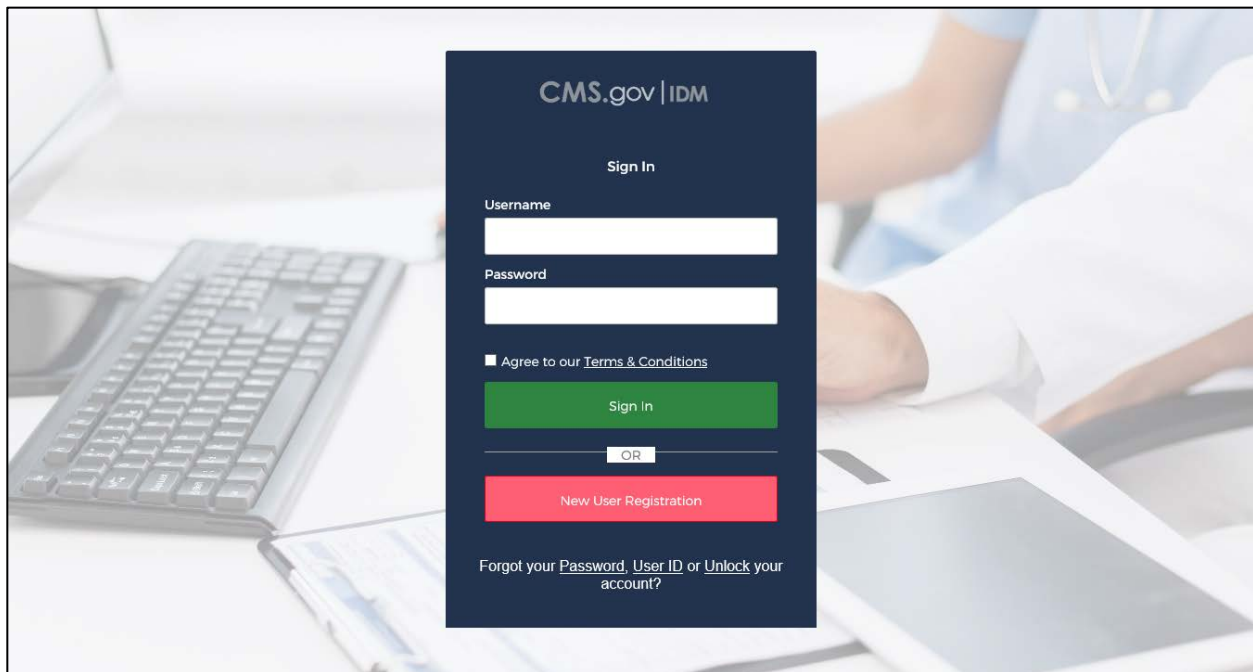

Figure 26 – CMS IDM Sign In Page

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.
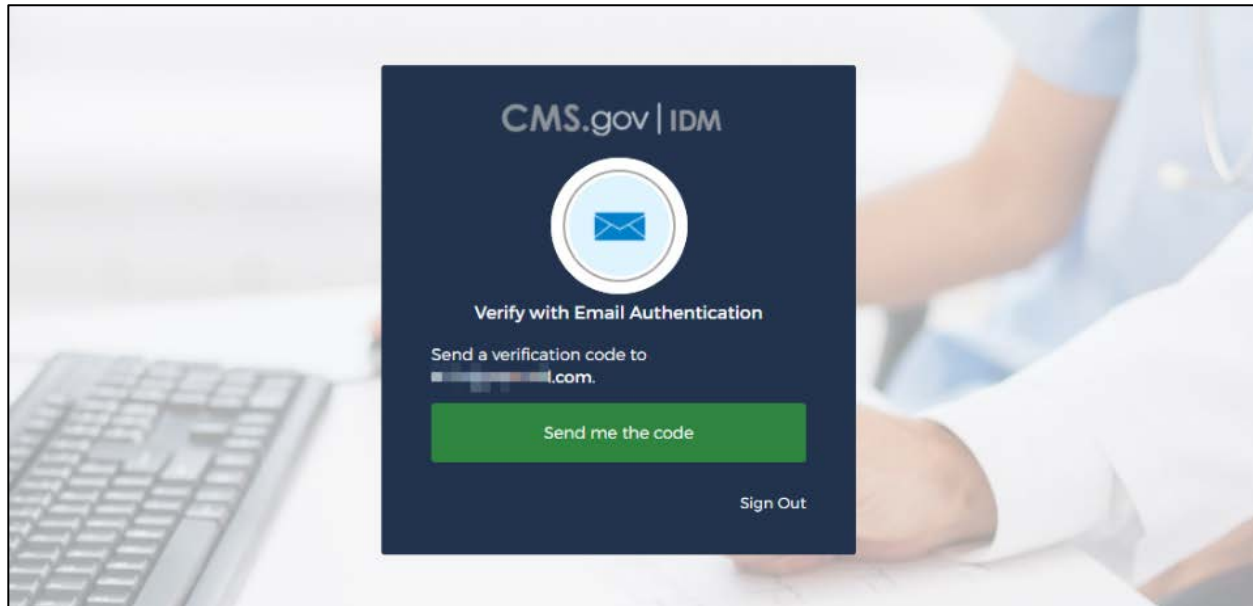

Figure 27 – Request Security Code

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.

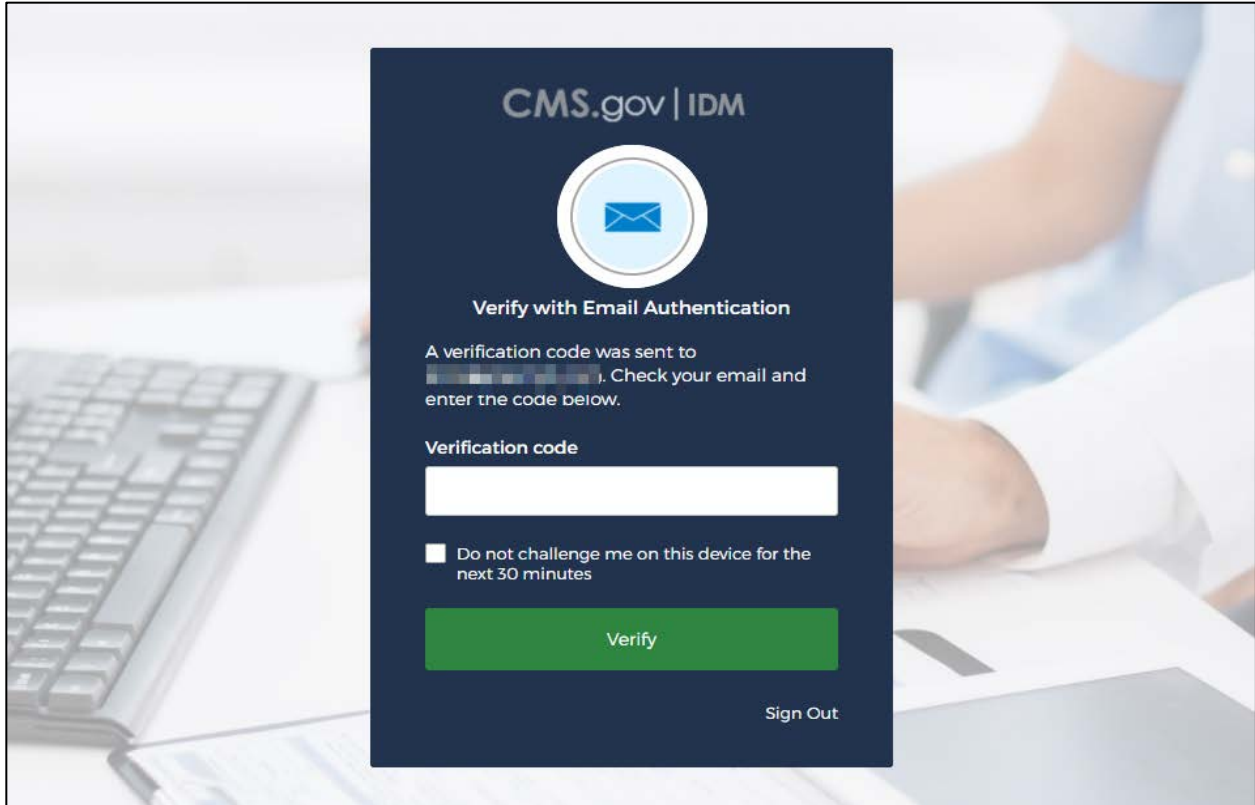Enter the code from the email you received and select the **Verify** button.

Figure 28 – Enter Verification Code

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

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**.

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.

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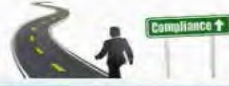
If you believe that a covered entity or business associate violated your health information privacy rights or committed another violation of the Privacy, Security or Breach Notification Rules, you may file a complaint at the link below: Office for Civil Rights (OCR).

Home   **Privacy Policy**   Security Policy

Figure 32 – Privacy Policy Link

CMS

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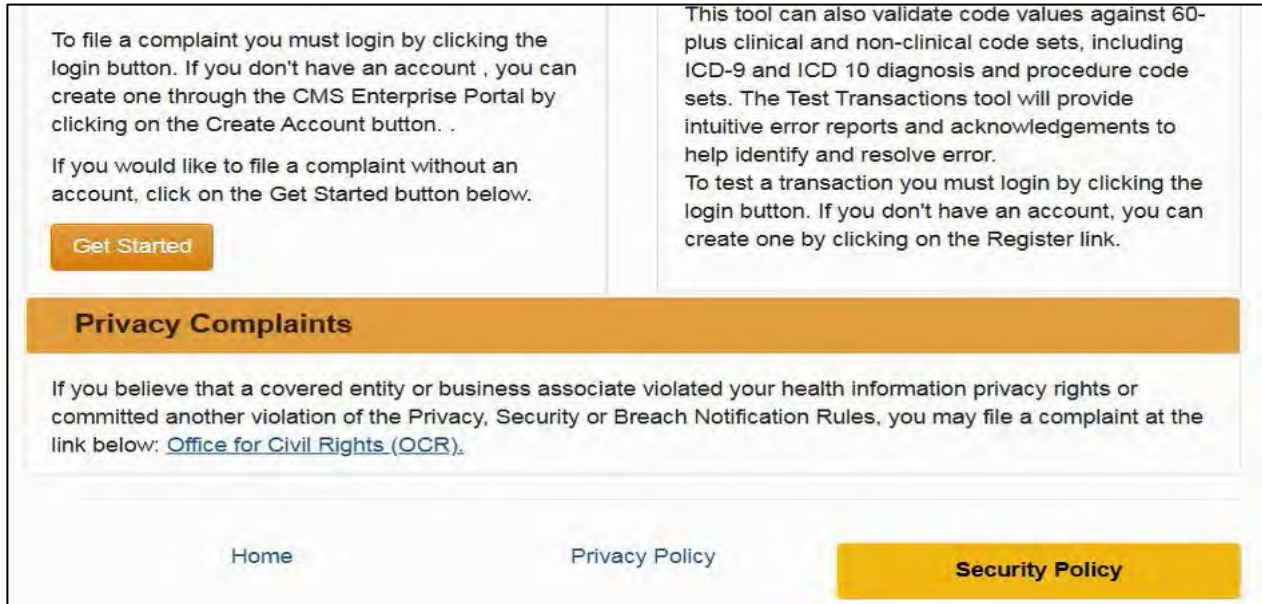
You may choose to create an account to file complaints or file a complaint as an unregistered user (see **Chapter 5 Filing a Complaint without Registering**).

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 am 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**.

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.

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

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

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

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.

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

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.

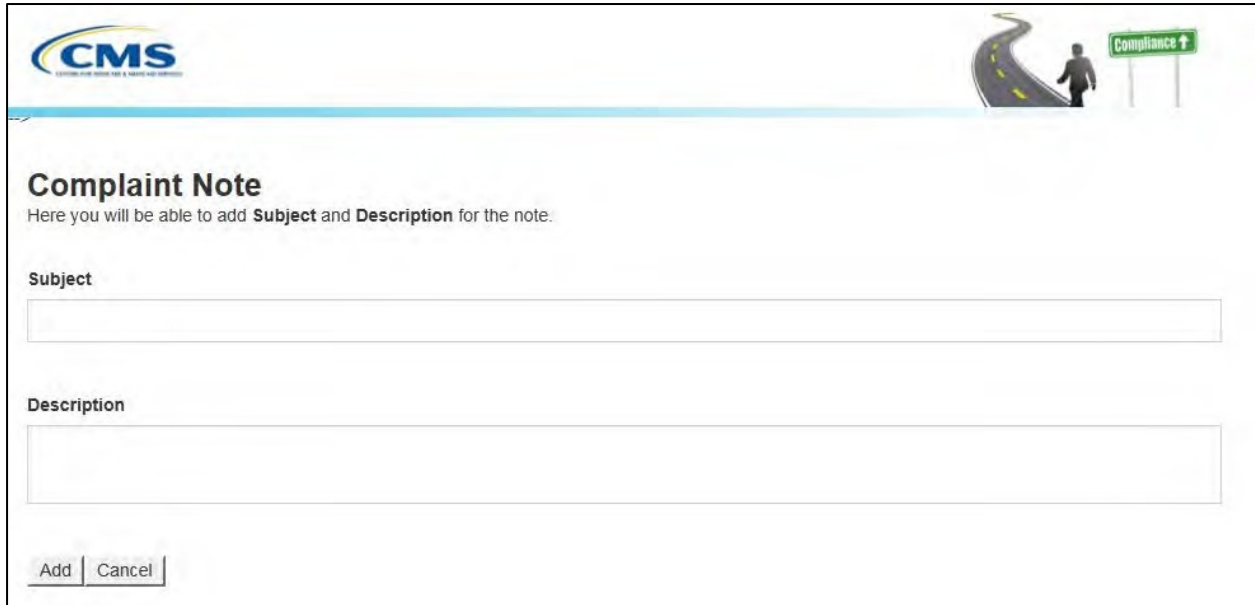Select the **Back to Review Page** button at the bottom of the page you are reviewing to return to the **Review Complainant Summary** page.

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.

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 link "Click to navigate to the complaint" 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.

Complaint Reference # - 00116 (Click to navigate to the complaint.)

New Complaint

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.

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**.

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.

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**.
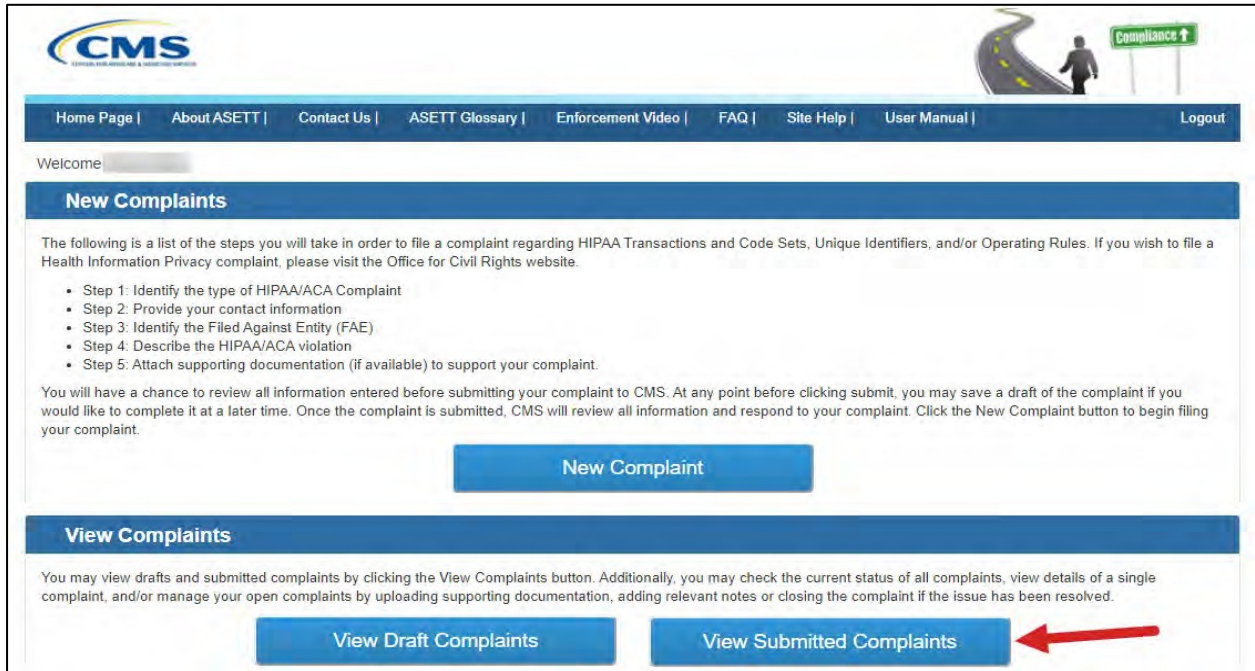
Figure 50 – View Submitted Complaints Button

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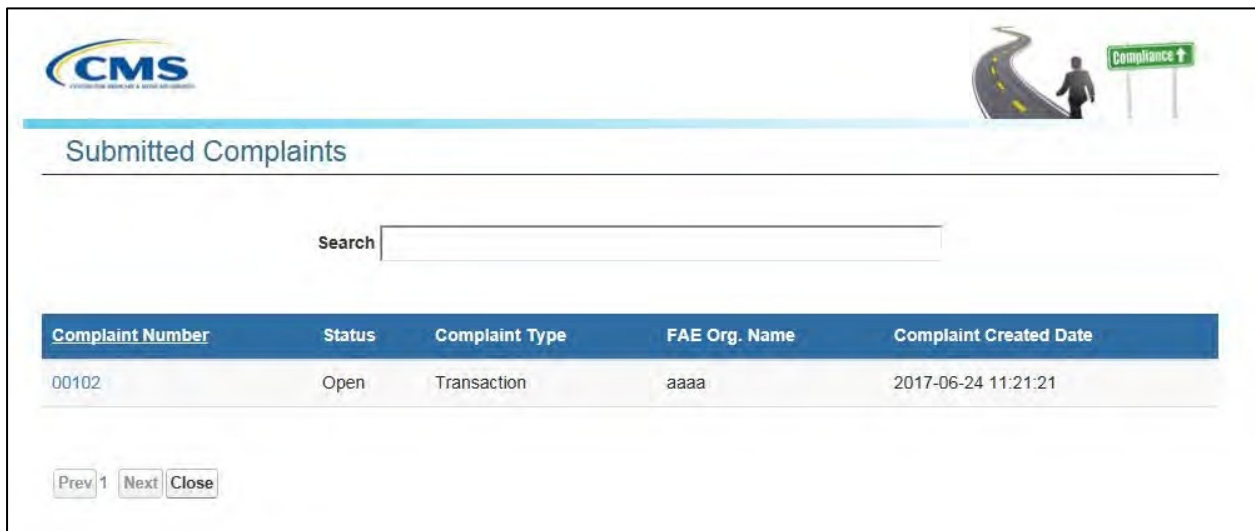

Figure 51 – Submitted Complaints List

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:

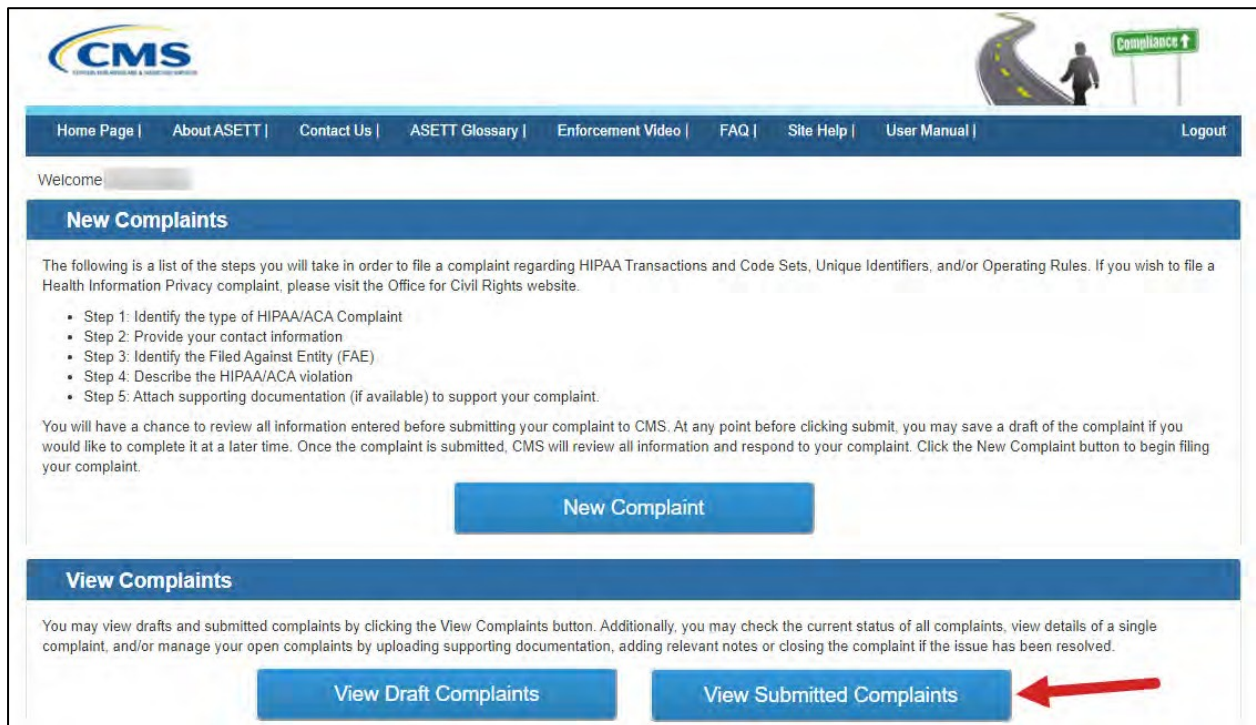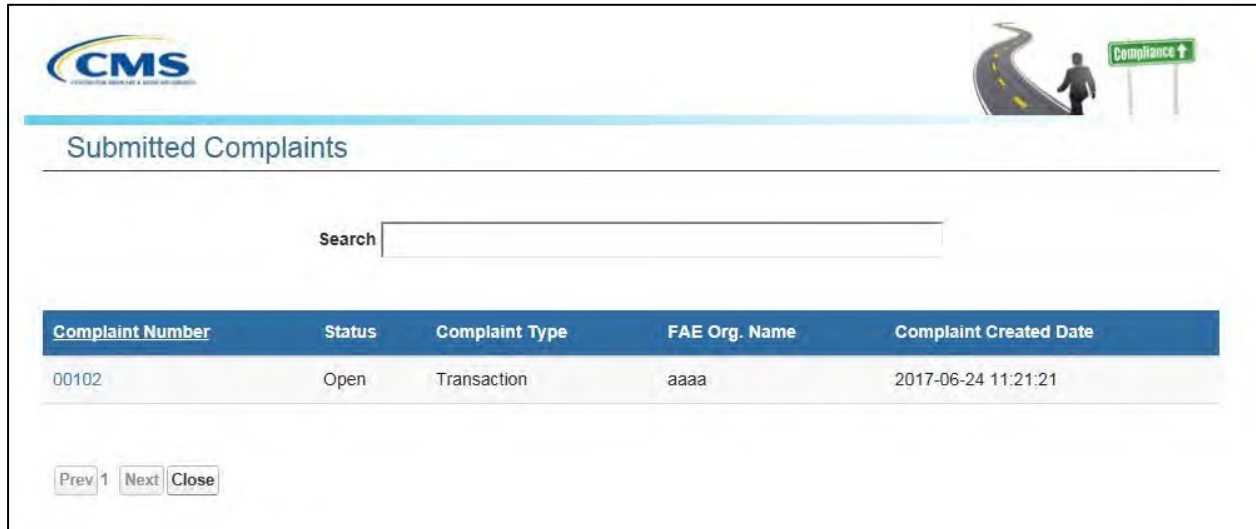Select the **View Submitted Complaints** button on the **ASETT Welcome Page**.

Figure 52 – View Submitted Complaints Button

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

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**.

Figure 54 – View Draft Complaints Button

The system will display the draft complaints list page.

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**.
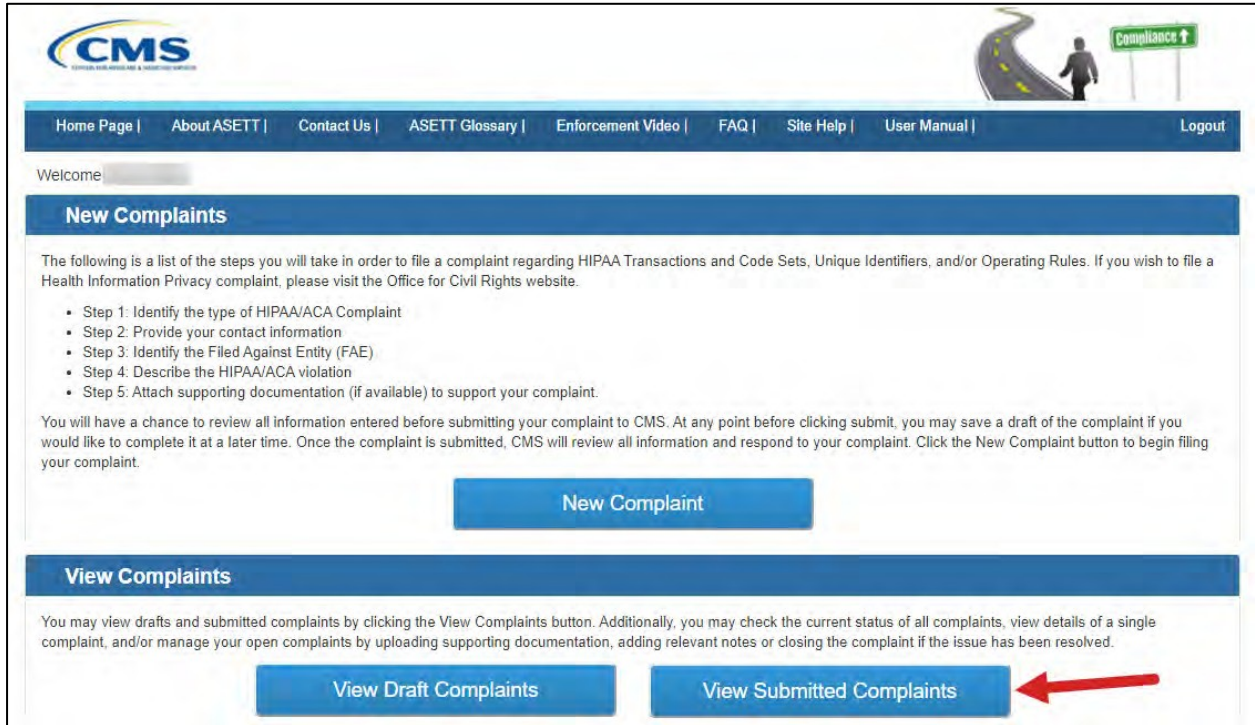

Figure 56 – View Submitted Complaints

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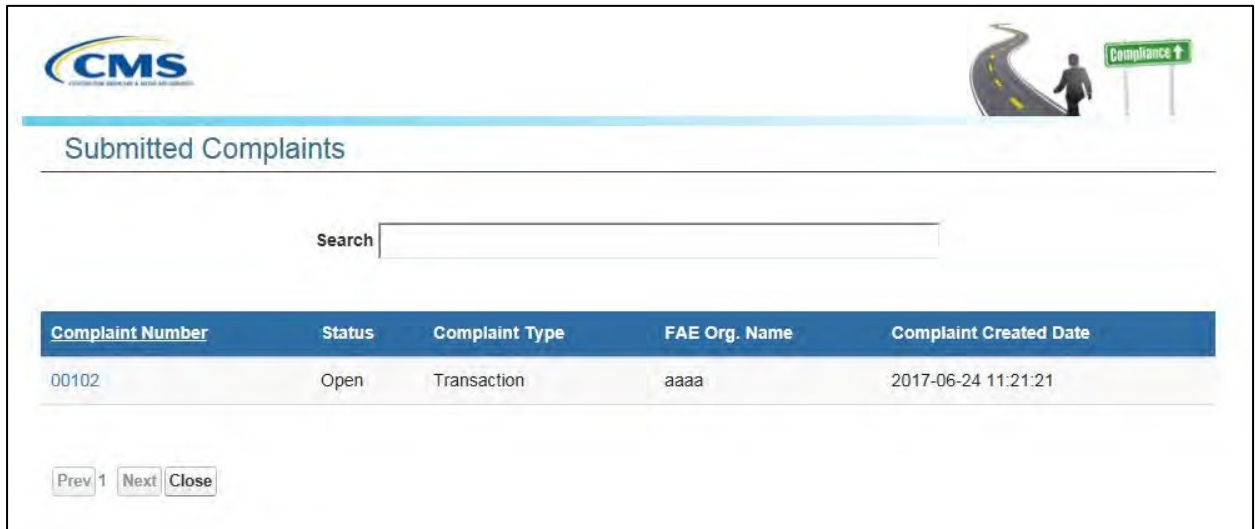

Figure 57 – Submitted Complaints List

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.

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.

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.

Figure 60 – Complaint Marked for Closure

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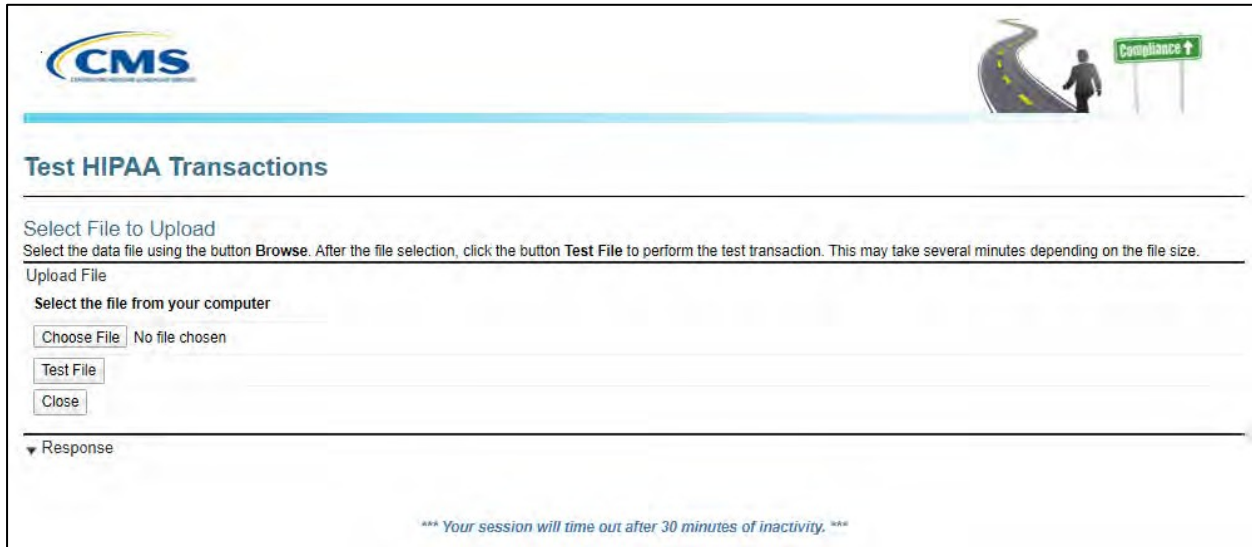
ASETT also allows you to test your transaction files, to support or otherwise help resolve a complaint, or to verify that you are compliant with the HIPAA standards for electronic data interchange (EDI) standards.

Figure 61 – Test HIPAA Transactions Button

Select the **Test HIPAA Transactions** button on the **ASETT Welcome Page**.

The Test HIPAA Transactions page will display.

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**.

Figure 63 – Transaction Test Results Report

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.

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**).

Figure 65 – Get Started Button

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

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

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

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

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

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

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.

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.
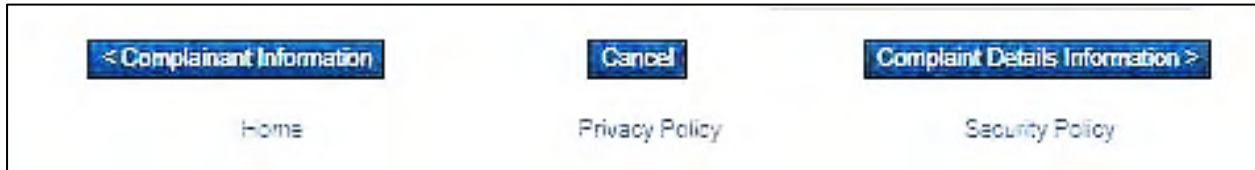
Figure 74 – Cancel Button

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.

Please Provide your feedback on this complaint # 01439

noreply@salesforce.com
To

(i) The actual sender of this message is different than the normal sender. Click here to learn more.

EXTERNAL EMAIL

Complaint URL:
https://uat-asettsite.cs32.force.com/FAE/ASETT_FAE_Default?id=SGUNizwriQtn7SUynHINJWr7Mp2FhHd8o2Edy6bZKKUeGMMp3D

Please use the one time access code below when prompted: u5s4cSlr

Thanks,
Support Team

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, or to 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.
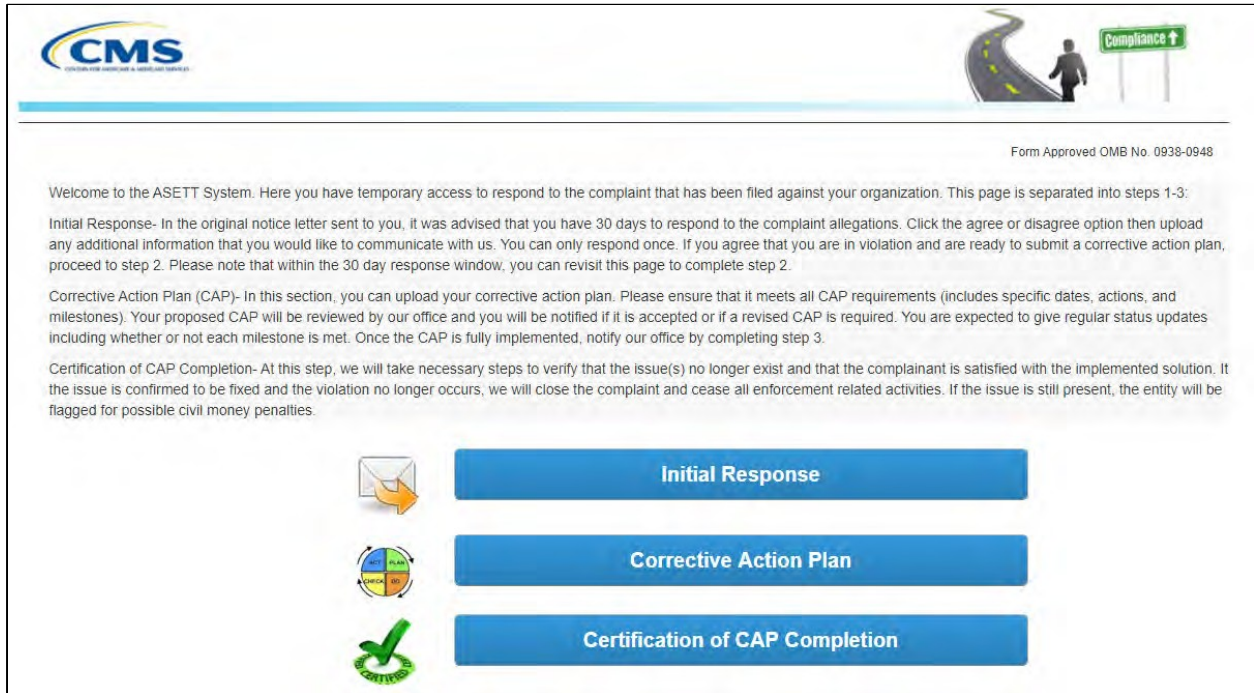
Figure 78 – FAE Portal Welcome Page

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.

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.

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.
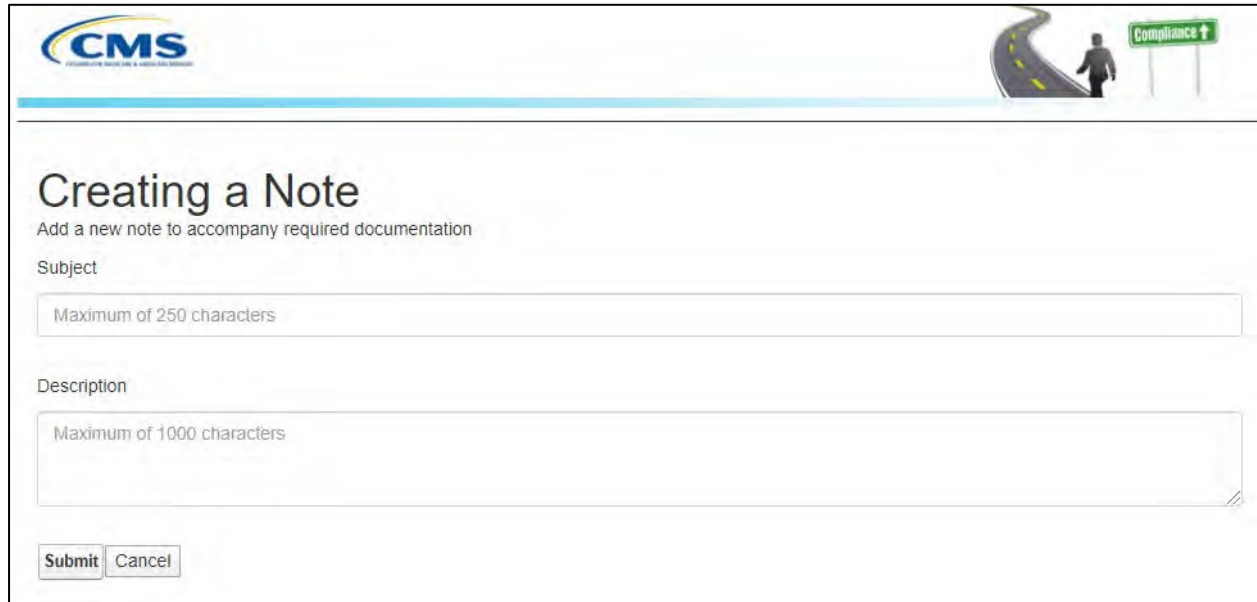
Figure 84 – Add a Note Page

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.
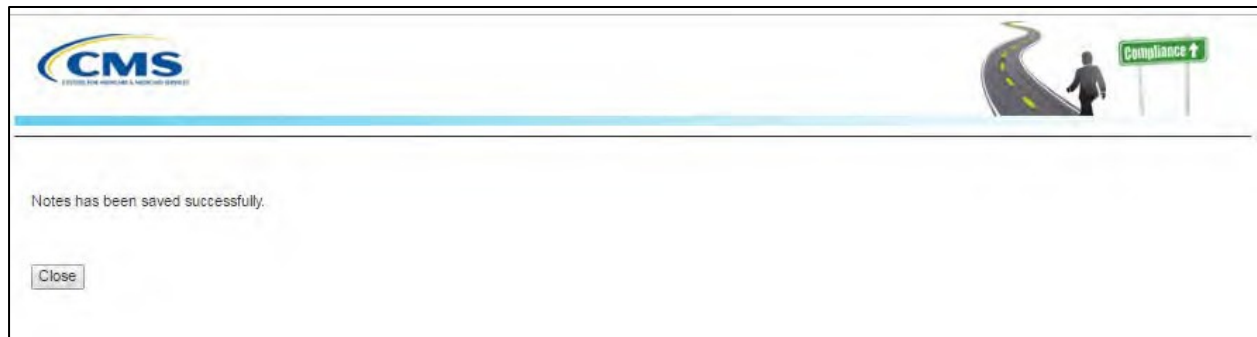
Figure 85 – Note Added Success Message
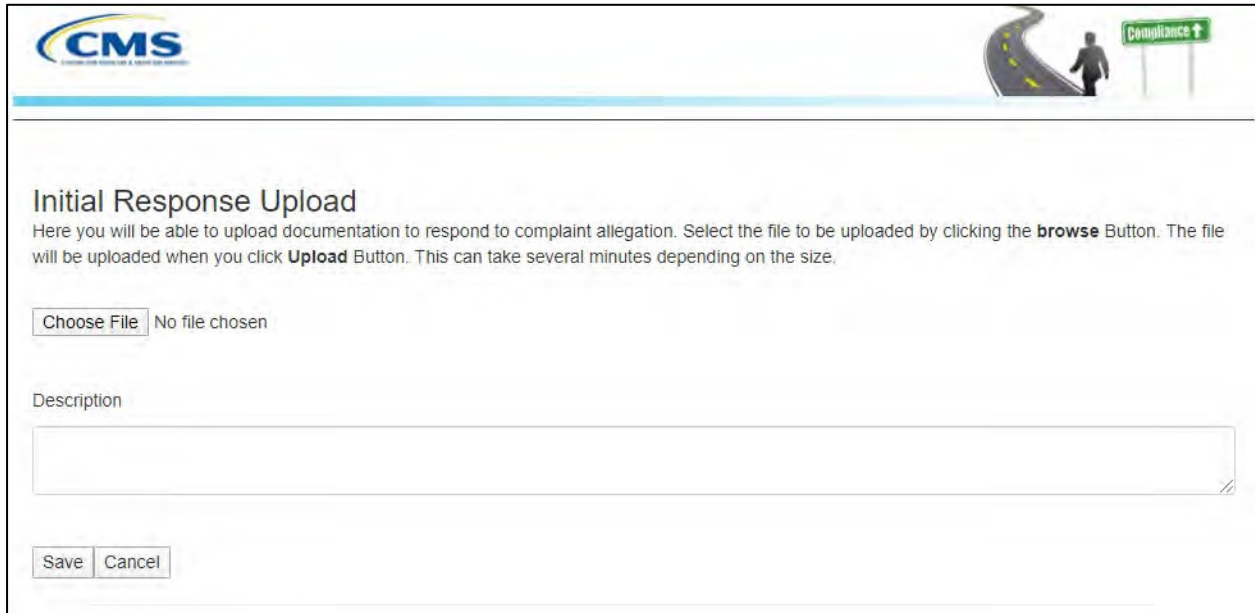
Select the **Close** button on the confirmation message page to return to the **FAE Portal Welcome Page**.

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.

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.

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.
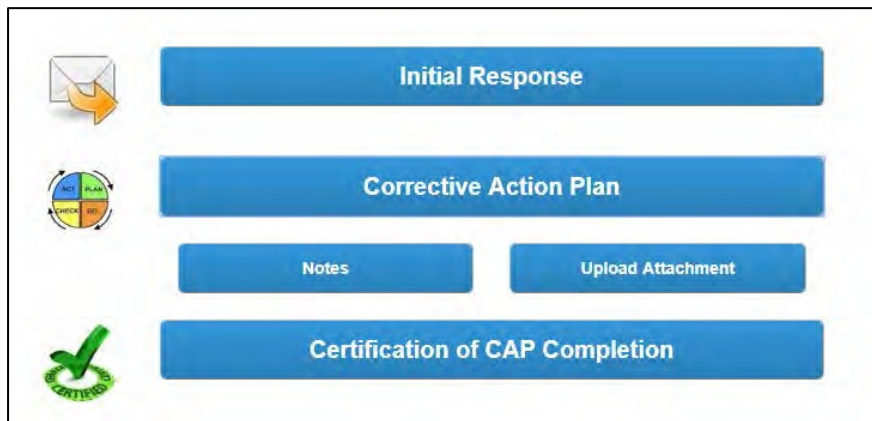
Figure 88 – Corrective Action Plan Option Buttons

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.
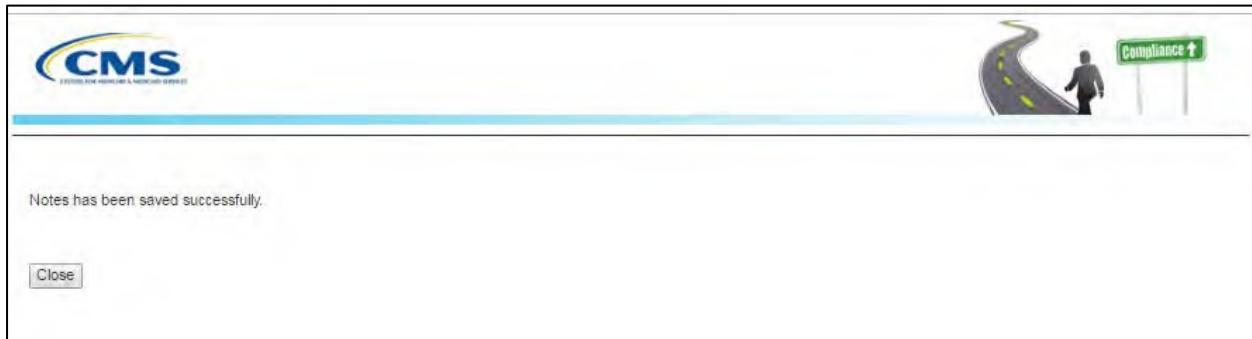
Figure 90 – Note Added Success Message

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.
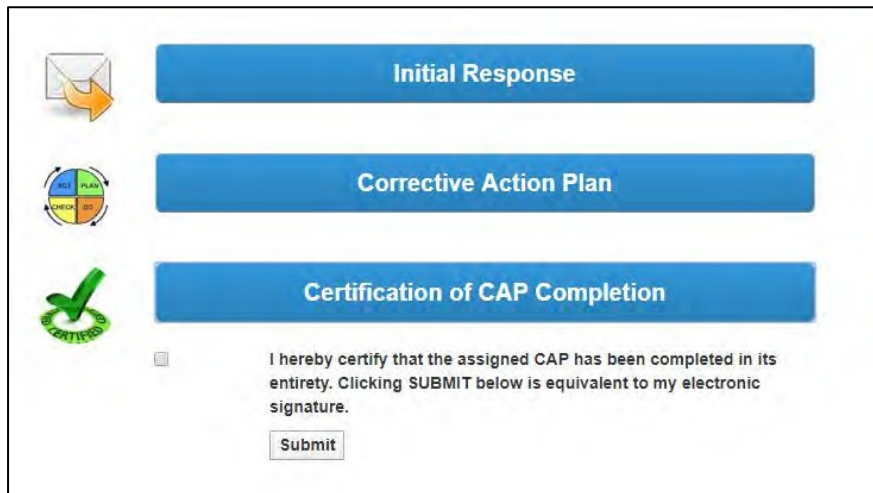
Figure 93 – CAP Complete Certification

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

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

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.

Errors

- Please enter anonymity selection.
- Please Enter Valid Organization Name. (Organisation Name cant be empty or contains any special character)
- Please enter a 10 digit phone number and it should not contain any special characters
- Complainant Title: Please select a value for complainant title.
- Address Line 1 Cant be left empty
- City / Town cant be left empty
- Complainant State/Territory: State/Territory cannot be left empty
- Zip Code should contain only 5 Number and cant be left empty
- Please enter a 10 digit phone number and it should not contact any special characters

Complainant Details

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
Complaint Type	Select a Complaint Type from the Complaint Type list
Complainant Details	Select whether to remain anonymous in the Anonymous question

Location	Error Message
Complainant Details	Enter the Complainant Organization Name in the Complainant Organization Name field
Complainant Details	Enter the Complainant phone number in the Complainant Organization Phone Number field
Complainant Details	Select the Complainant Title for the Complainant Title field
Complainant Details	Enter the Complainant First Name in the Complainant First Name field
Complainant Details	Enter the Complainant Last Name in the Complainant Last Name field
FAE Details	Enter the FAE Organization Name in the FAE Organization Name field
FAE Details	Select the FAE Contact Title for the FAE Title field
FAE Details	Enter the FAE Contact First Name in the FAE First Name field
FAE Details	Enter the FAE Contact Last Name in the FAE Last Name field
Complaint Details	Enter the Incident Occurred Date in the Incident Occurred Date field.
Complaint Details	Enter Complaint Subject in the Complaint Subject field
Complaint Details	Enter Complaint Description in the Complaint Description field
Add Notes	Please Enter Notes Title and Description before saving
Close/Retract	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.
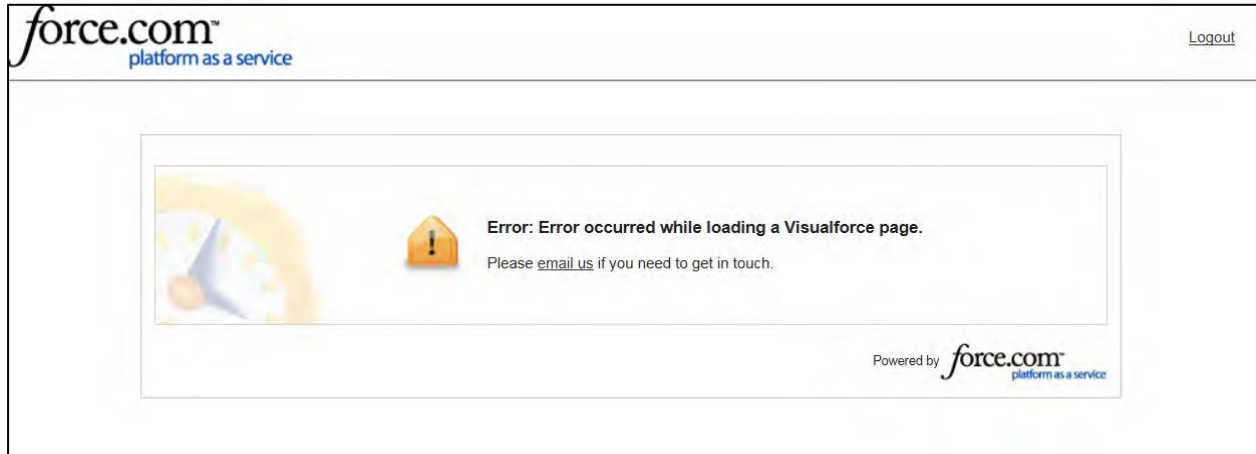
Figure 97 – Sample System Error

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.

The ASETT Help Desk is available to assist with:

•   ASETT complaint system
•   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
2.3	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
3.0	6/5/2020	Nancy May	Final for upload to ASETT Home Page
4.0	2/19/2021	Nancy May	Revised for new IDM registration process
4.1	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
.dat	N/A	A data file.
.docx	N/A	A Microsoft Office Word document.
.pdf	N/A	A multi-platform document created by Adobe Acrobat.
.txt	N/A	A text file.
.xlsx	N/A	A Microsoft Office Excel spreadsheet.
.zip	N/A	An archive that contains one or more compressed files.
Administrative Simplification	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.
Administrative Simplification Enforcement and Testing Tool	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.
Affordable Care Act	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.
Corrective Action Plan	CAP	A CAP is an organized approach to resolving a problem using data analysis, program analysis, corrective action planning, implementation, evaluation, and monitoring.
Electronic Data Interchange	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.
Filed-Against Entity	FAE	The HIPAA-covered entity that is alleged to be in violation of the HIPAA/ACA standards for electronic data interchange transactions.
Health Insurance Portability and Accountability Act	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.