



Administrative Simplification Enforcement and Testing Tool (ASETT)

User Manual

Version 5.1

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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

US Department of Health & Human Services (HHS) Terms and Conditions are applicable to use and for use of ASETT and are agreed to by all users who register to use Centers for Medicare & Medicaid Services (CMS) Identity Management (IDM) to access CMS systems and tools.

2.4 System Limitations

In areas where document uploads are required, the system has a file size limit and allows only specific file types.

2.4.1 File Size

Files over 4.8 MB cannot be uploaded.

2.4.2 File Type

Acceptable file types for upload are displayed on each page where there is an upload field. These file types, defined in **Appendix A: Acronyms**, are:

- .dat
- .docx
- .pdf
- .txt
- .xlsx
- .zip

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**.

The screenshot shows the ASETT 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 'Compliance' sign. The navigation bar includes 'Home', 'About ASETT', 'Contact Us', 'Support', 'Register', and 'Login'. The main content area has a large blue box with the text 'COMPLIANCE' and 'ASETT Administrative Simplification Enforcement and Testing Tool'. Below this are two columns: 'File HIPAA Complaint' and 'Test HIPAA Transactions'. At the bottom is a 'Privacy Complaints' section.

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 \(OCR\)](#).

Figure 1 – 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.

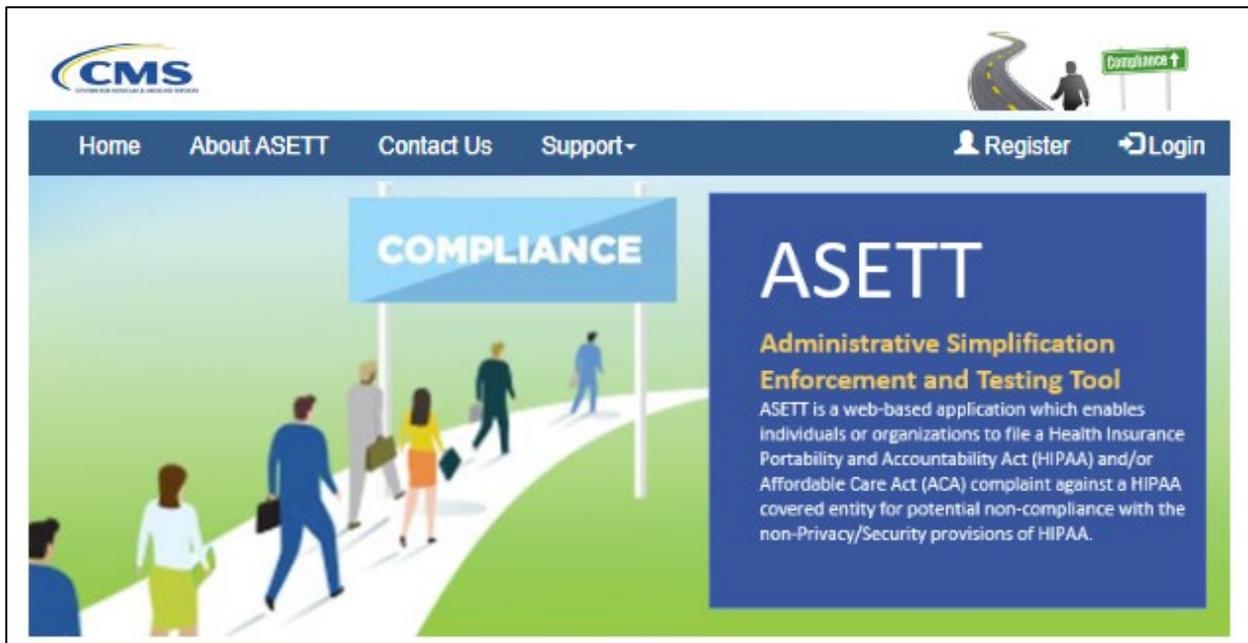


Figure 2 – Top Navigation Bar

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.

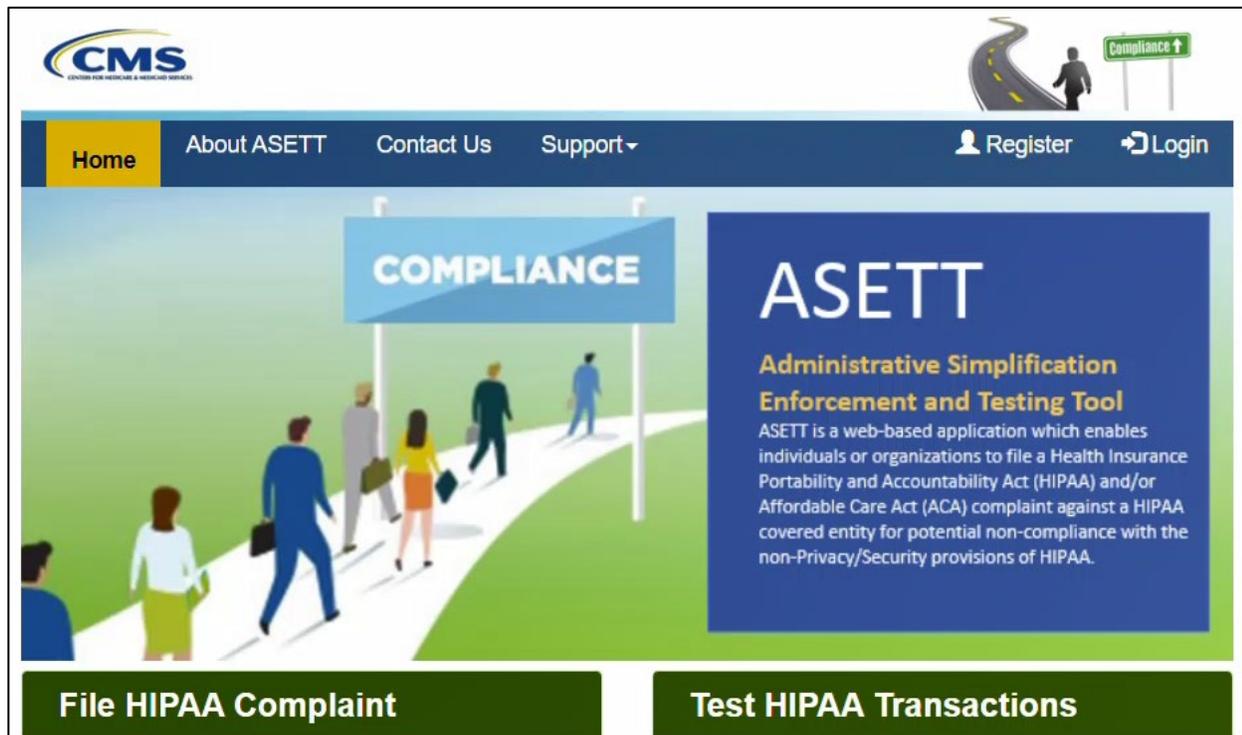


Figure 3 – Home Link in Top Navigation Bar

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. At the top, there is a CMS logo and a navigation bar with links for Home, About ASETT, Contact Us, and Support -. On the right side of the navigation bar, there are links for Register and Login. Below the navigation bar, the page title 'About ASETT' is displayed. 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.' The video player shows a thumbnail with the CMS logo and a sad face icon, with a red play button in the center. Below the video player, there is a 'Watch on YouTube' button. Underneath the video, there are five blue buttons with white text and a small downward arrow on the left: '- ASETT Overview', '- Filing a HIPAA Complaint', '- Testing HIPAA Transactions', '- Complaint Investigation Process', and '- More Information on HIPAA'. At the bottom left, there is a '< Previous' button. At the very bottom of the page, there are three links: Home, Privacy Policy, and Security Policy.

Figure 4 – 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:

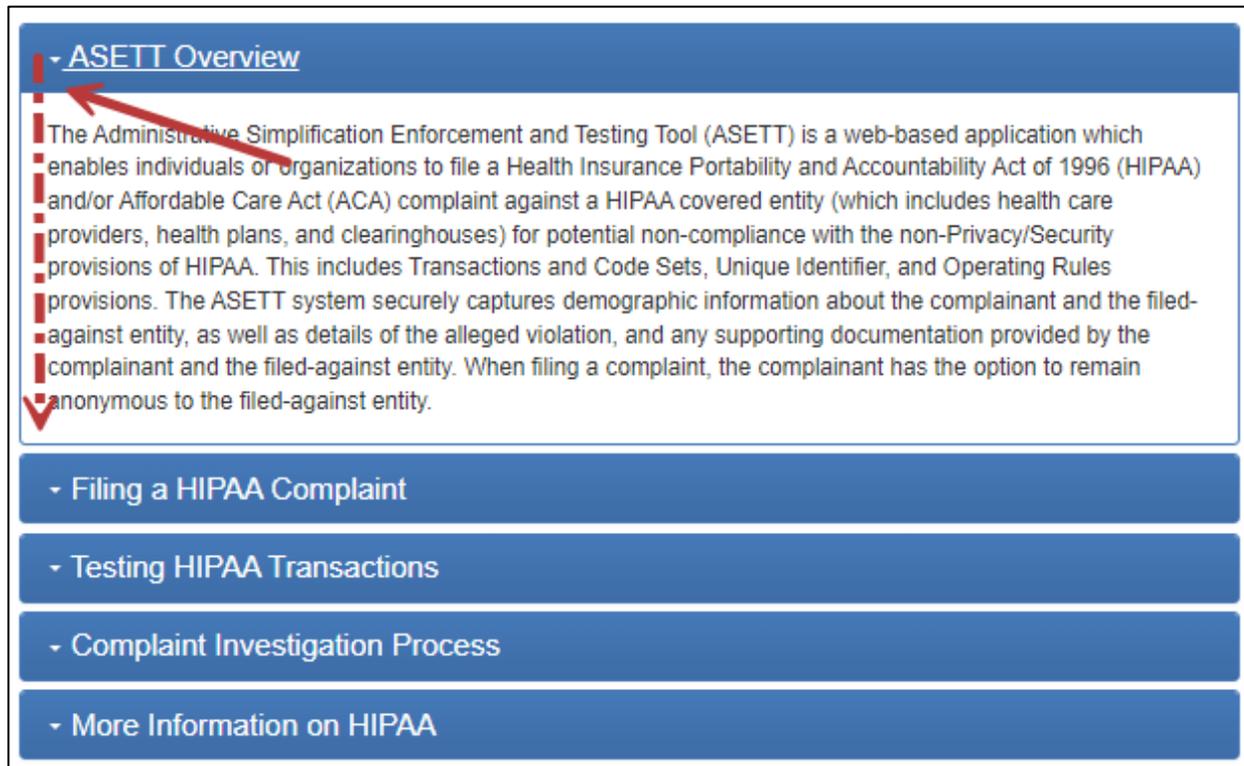


Figure 5 – Expand the Topics

Each section provides detail for the section heading (topic), ranging from description of the tool (**ASET Overview**) to instruction to perform activities within ASET (**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

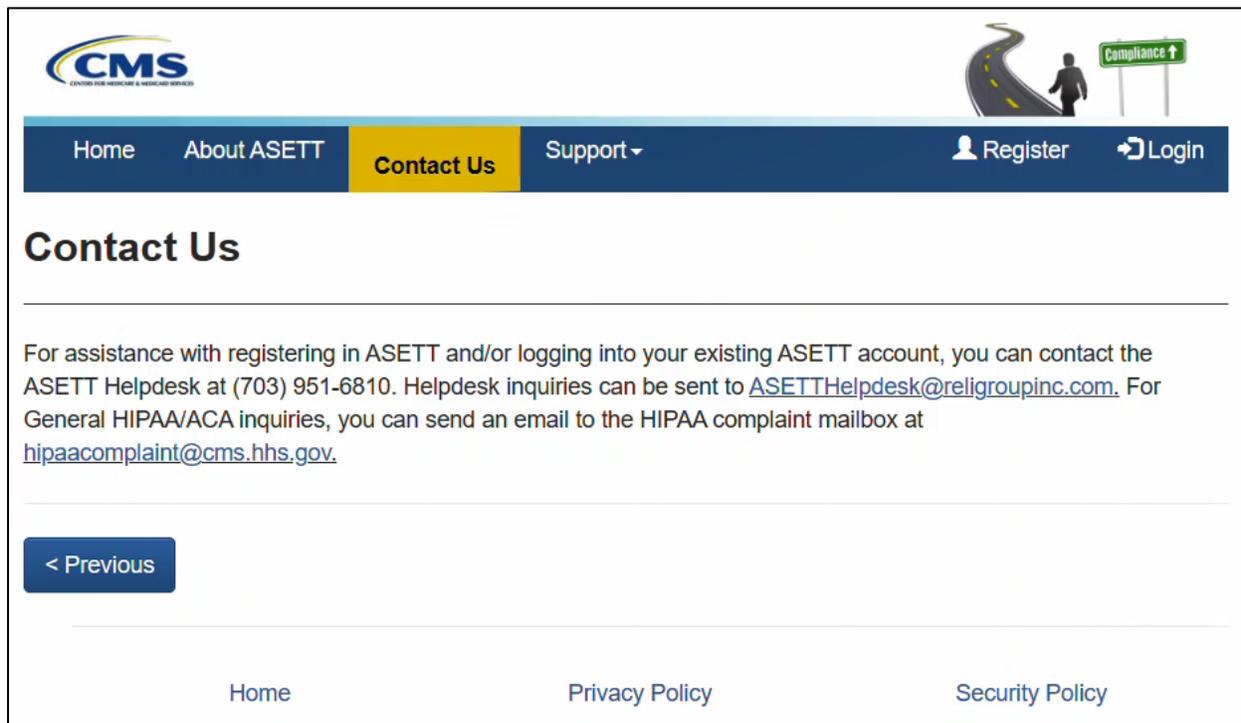


Figure 6 – Contact Us Link

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.

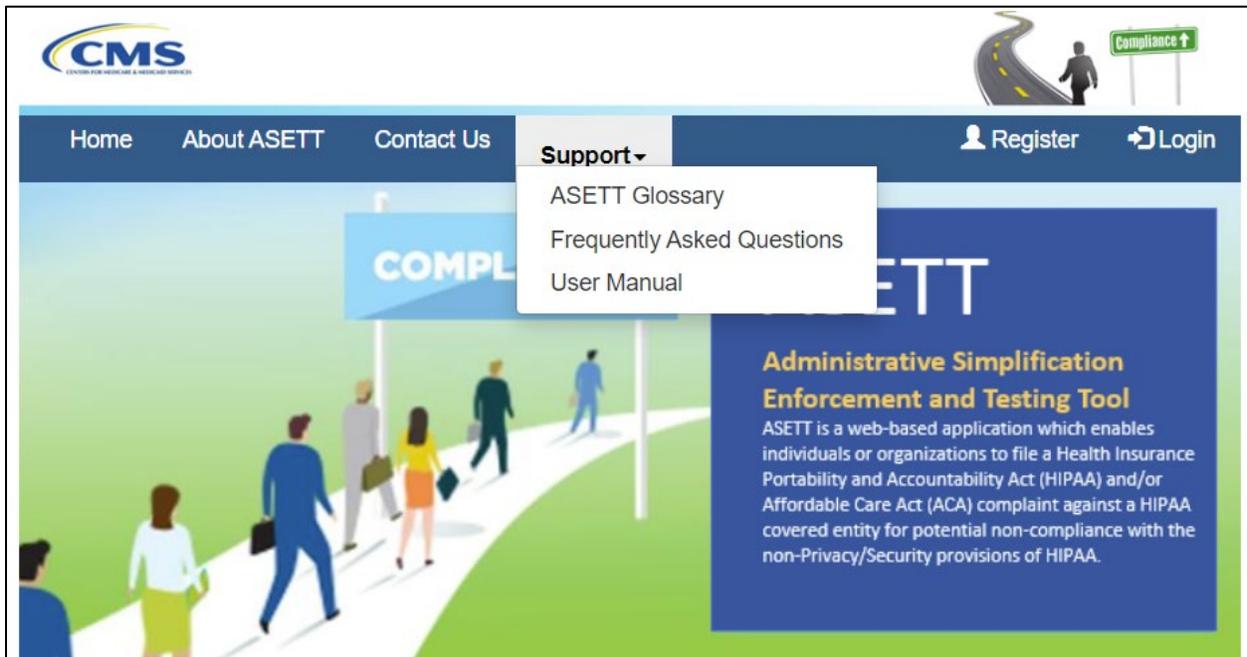


Figure 7 – Support Options

The options to select for further assistance:

ASETT Glossary

Frequently Asked Questions

User Manual

3.2.1.4.1 ASETT Glossary

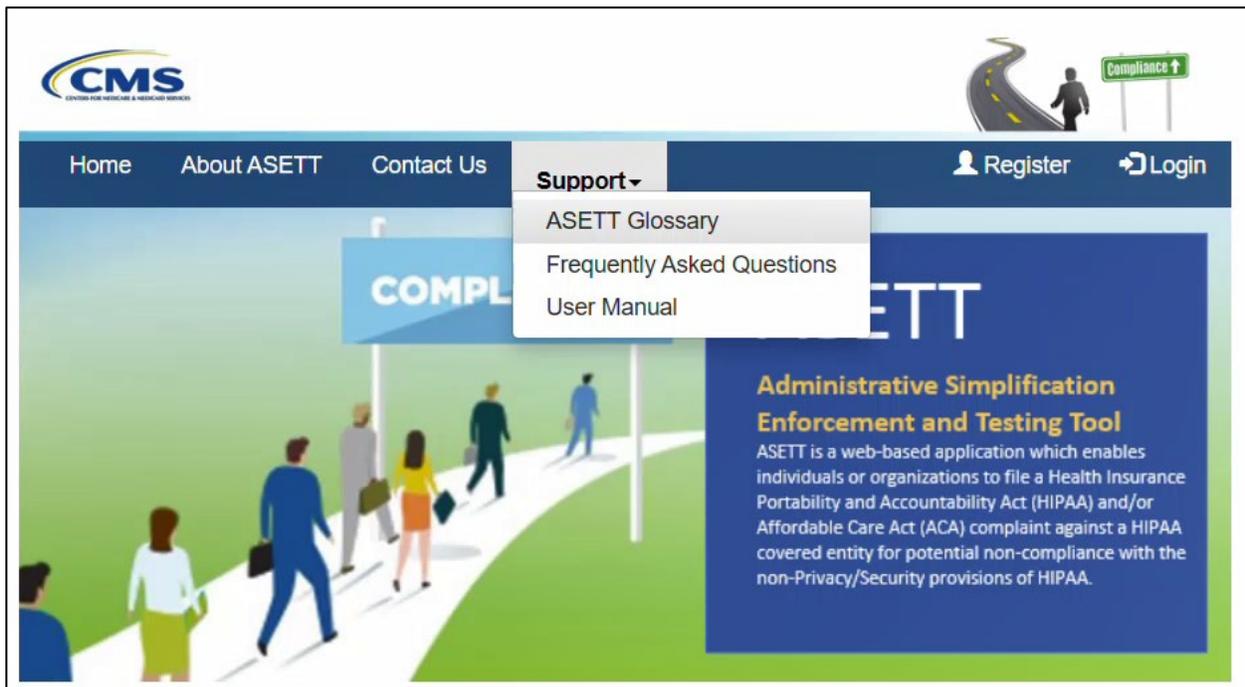


Figure 8 – ASETT Glossary Link

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



Figure 9 – 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

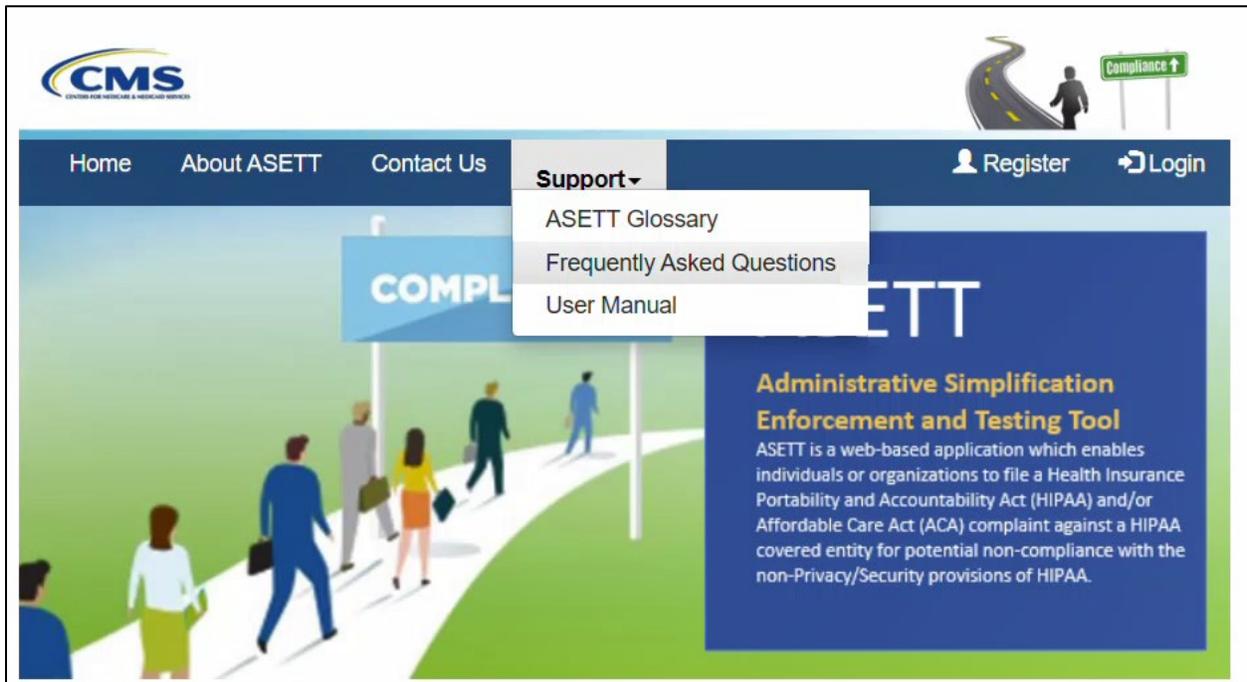


Figure 10 – Frequently Asked Questions Link

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:

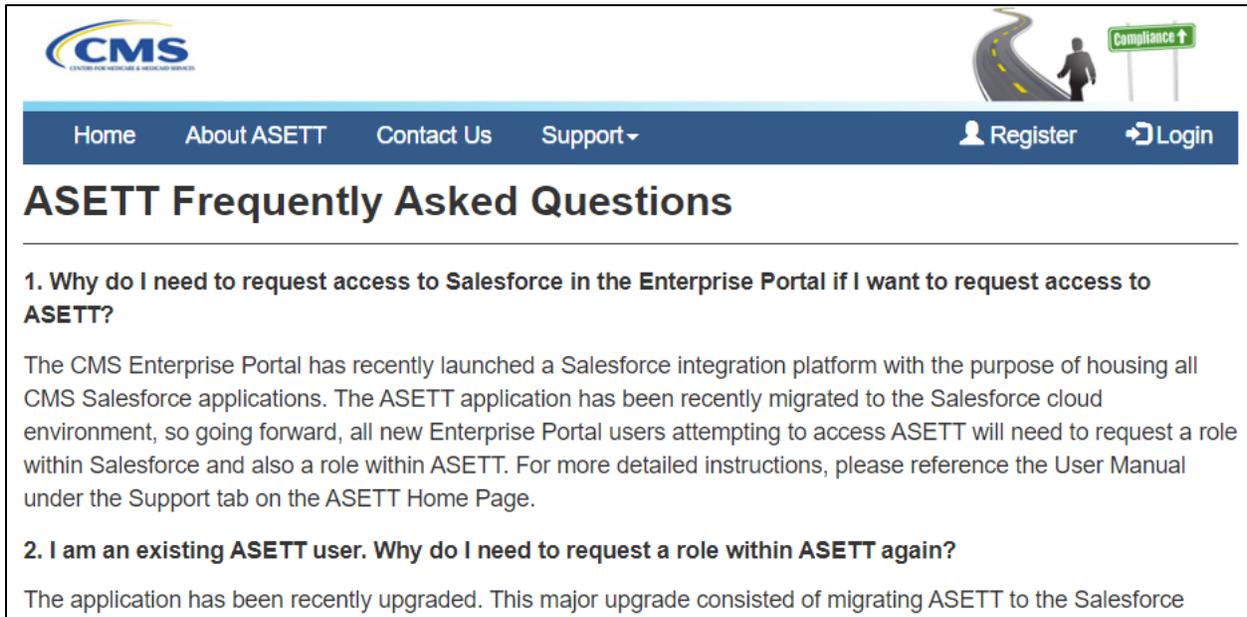


Figure 11 – Frequently Asked Questions Page (Excerpt)

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

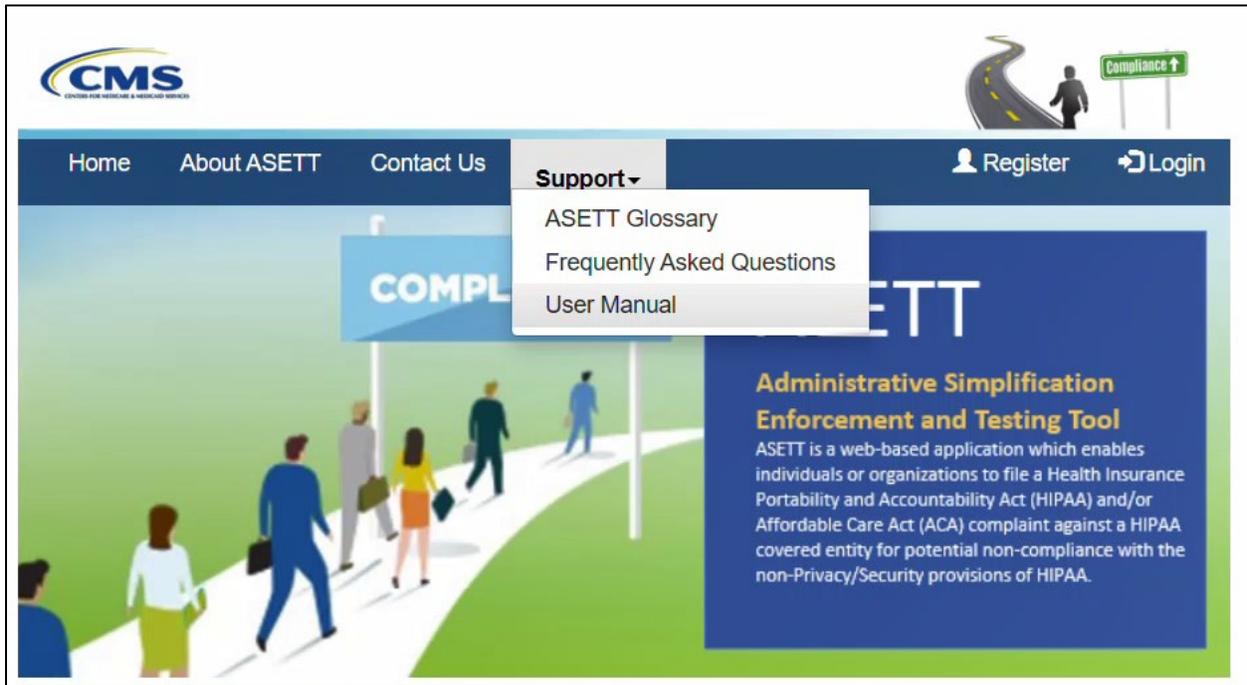


Figure 12 – User Manual Link

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.

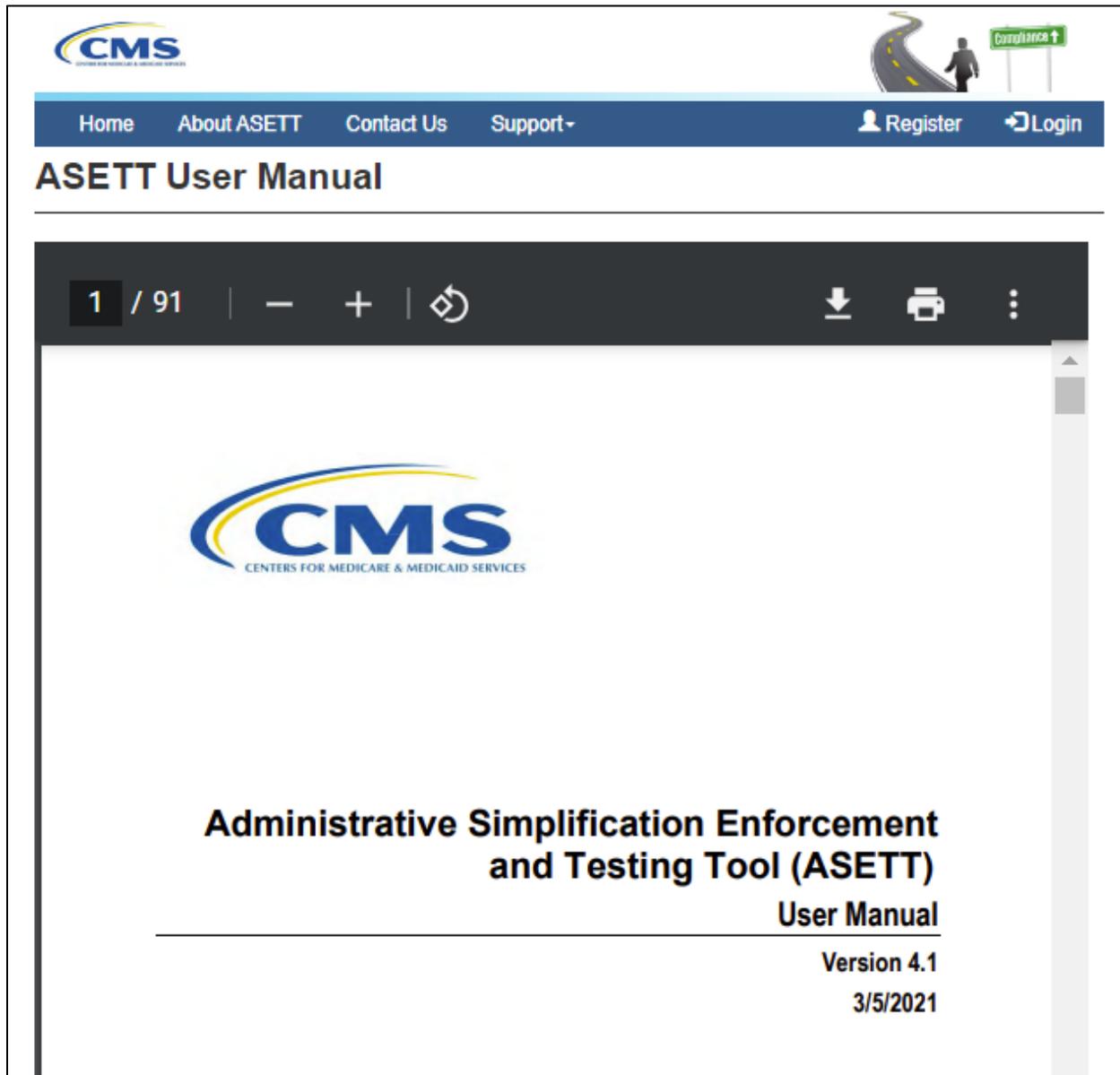


Figure 13 – User Manual Page (Excerpt)

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



Figure 14 – 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 **IDM User Guide (PDF)** found on the [IDM Documentation](#) page on the CMS website.

The ASETT application registration steps are found in **Section 3.3 New User Registration**.

3.2.2.2 Log In Button

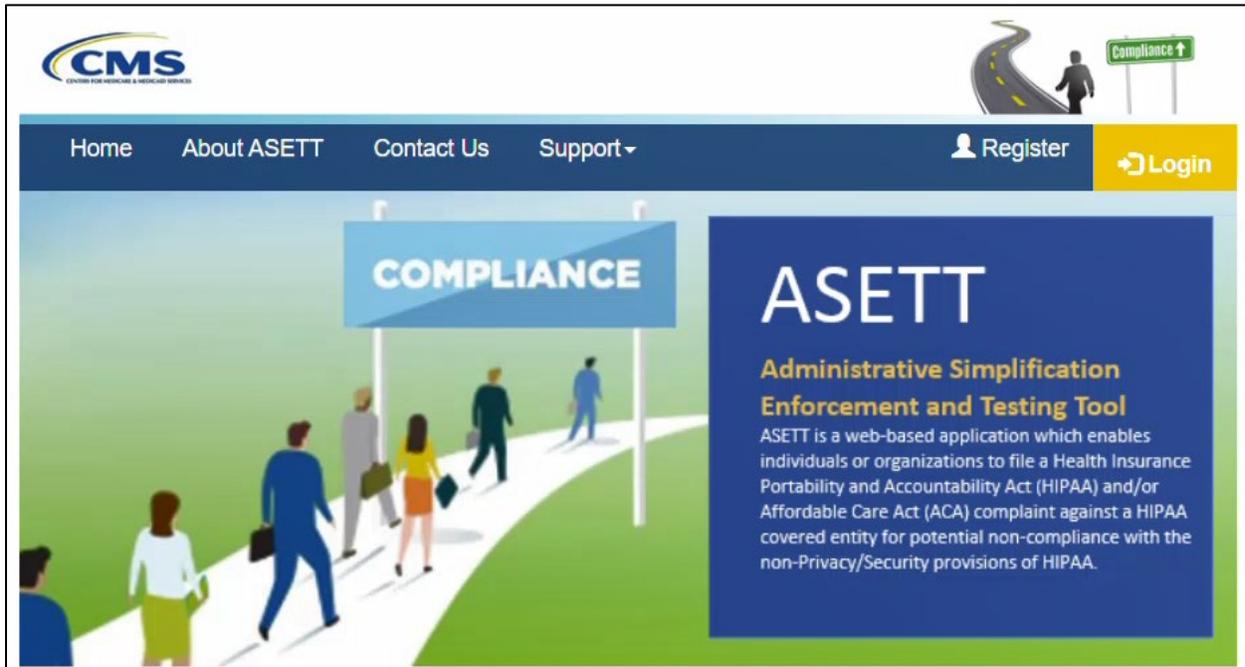


Figure 15 – Login Button

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

The steps to log into ASETT are found in **Section 3.4 Login**.

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 About ASETT section to learn more about how to file a complaint.</p> <p>Submit complaints for the following violations:</p> <ul style="list-style-type: none"> • Transaction • Unique Identifier • Code Sets • Operating Rules <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> <p></p> <p>Get Started</p>	<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"> • ASC X12 5010 • NCPDP D.0 • ICD-10 Diagnostic and procedure codes • Unique Identifiers <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 16 – 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 5 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**.

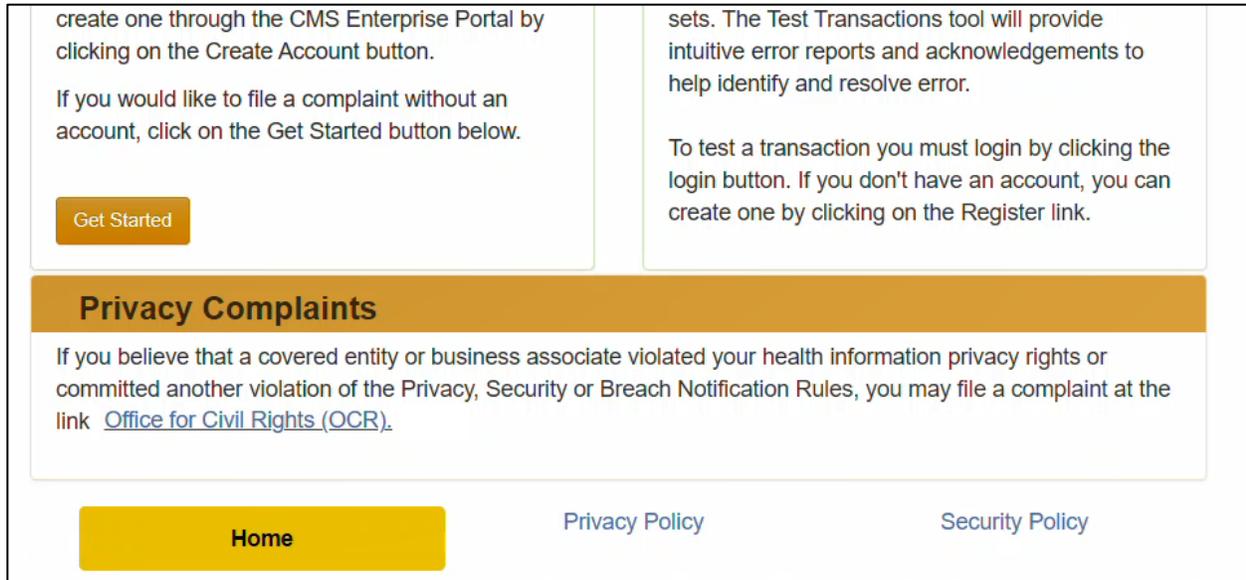


Figure 17 – Home Link at Bottom of Page

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.

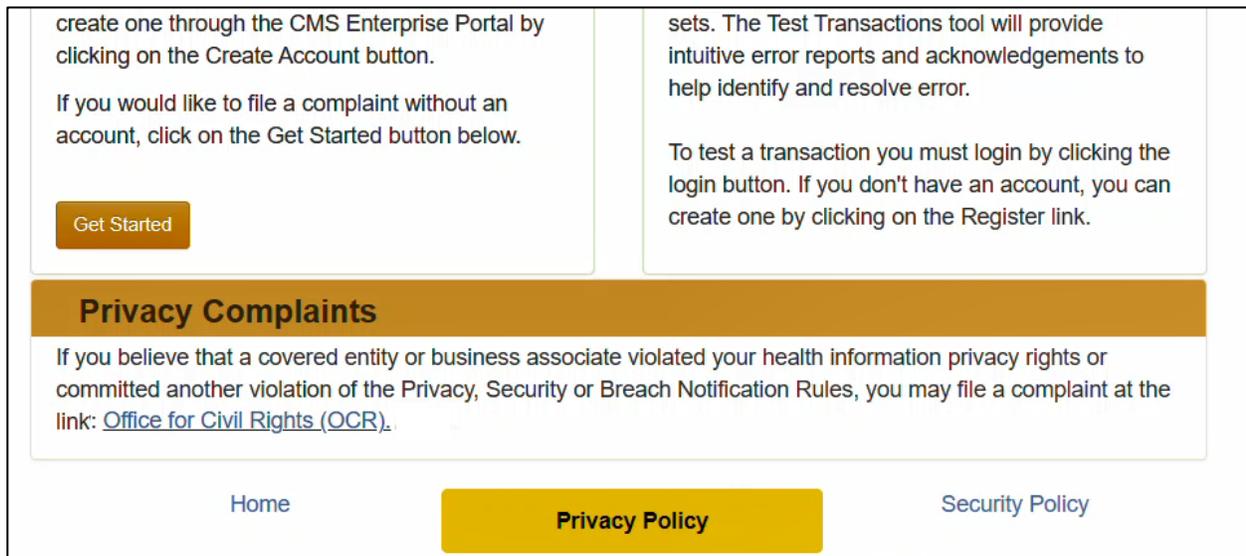


Figure 18 – Privacy Policy Link

CMS
CENTERS FOR MEDICARE & MEDICAID SERVICES

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 19 – Privacy Policy (Excerpt)

3.2.3.3 Security Policy Link

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

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: [Office for Civil Rights \(OCR\)](#).

Home Privacy Policy **Security Policy**

Figure 20 – Security Policy Link

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

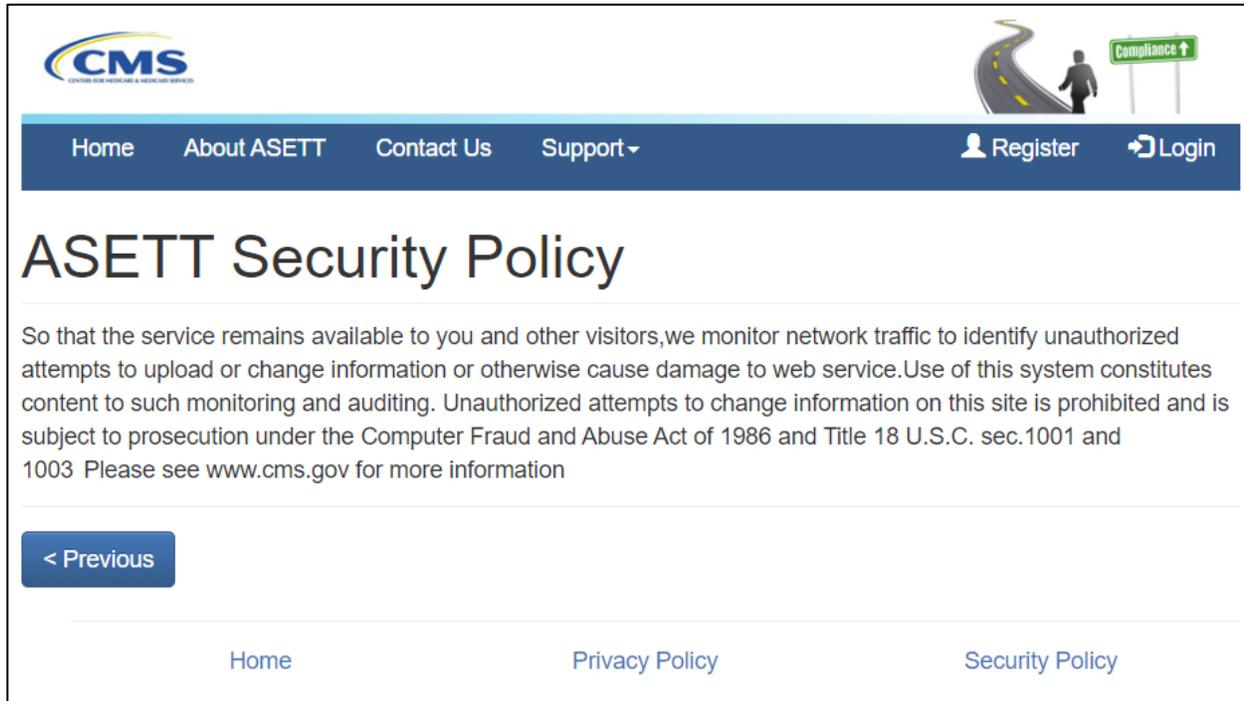


Figure 21 – Security Policy Page

3.3 New User Registration

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

You may also access the **CMS IDM Sign In** page, where you will begin registration, by typing <https://sei.cms.gov/> into your browser.

On the **CMS IDM Sign In** screen, select the **New User Registration** button below the **Sign In** fields.

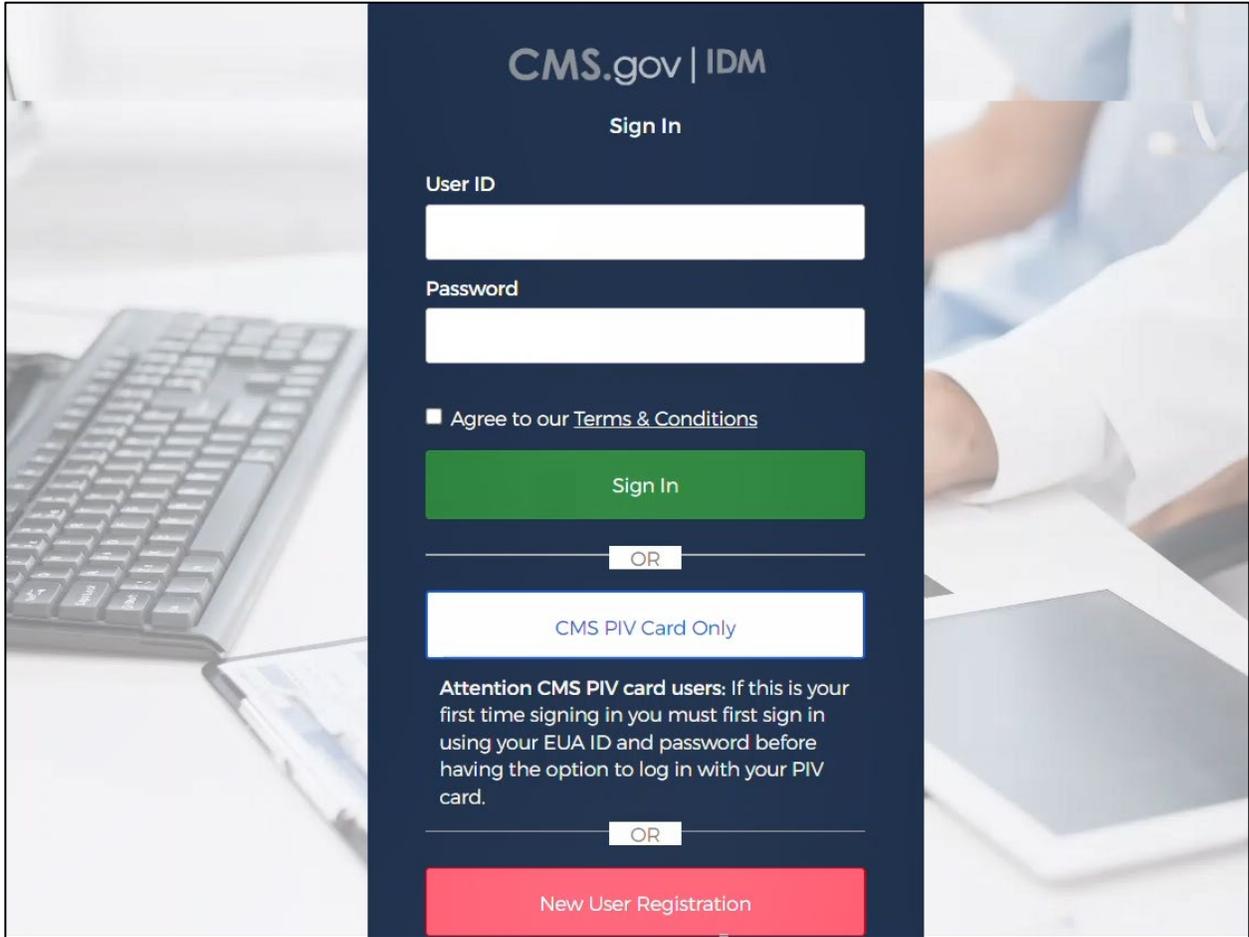


Figure 22 – CMS IDM Sign In Page

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

The screenshot shows the 'Personal' step of a three-step registration process. The header includes 'CMS.gov | IDM Self Service'. A progress bar at the top indicates three steps: 1. Personal, 2. Contact, and 3. Credentials. Below the progress bar, a note states '* Optional fields are labeled as (Optional)'. The form contains several input fields: 'First Name', 'Middle Name (Optional)', 'Last Name', 'Suffix (Optional)' (a dropdown menu), 'Date Of Birth' (with a placeholder 'MM/DD/YYYY'), 'E-mail Address', and 'Confirm E-mail Address'. At the bottom left, there is a 'View Terms & Conditions' button, a checkbox for 'I agree to the terms and conditions', a red 'Cancel' button, and a green 'Next' button.

Figure 23 – Personal Information Fields

On the subsequent registration pages, enter additional contact details and create a username, password, and security question and answer.

Note: the security question and answer combination allows you to reset your password and unlock your account without contacting Tier 1 Support.

Follow the screen prompts and the [IDM User Guide \(PDF\)](#) found on the [IDM Documentation](#) page.

3.3.1 Multifactor Authentication

After the personal information screens are completed, 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 displayed, enter the user id created in the **Username** field.

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

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

Select the **Sign In** button.

The screen will request you set up your multifactor authentication (MFA). Please select one of the authentication options and follow the on-screen instructions.

3.3.2 Role Request

After the MFA method is set, the **IDM Self Service** screen will display with four tiles:

My Profile

Manage My Roles

Role Request

My Requests

The CMS.gov **IDM Self Service** screen also displays [Terms & Conditions](#) in the lower left corner of the screen. There is no confirmation required, but it is understood that each user agrees to abide by the [CMS Privacy Act Statement](#) and the [HHS Rules of Behavior](#) stated.

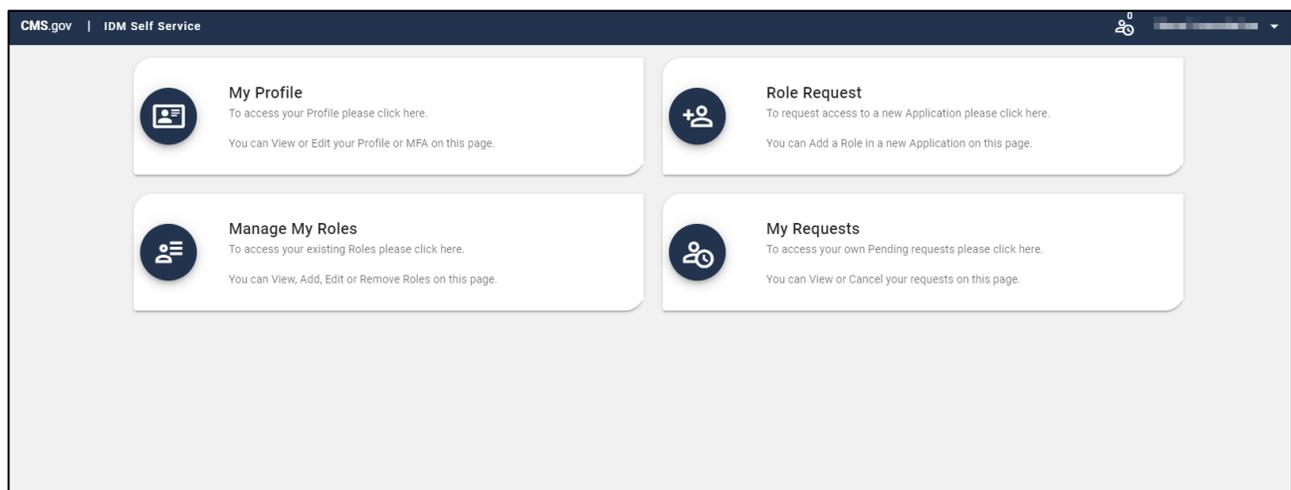


Figure 24 – IDM Self Service Screen

Select the **Role Request** tile.

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

For the **Select a Role** field, select **Salesforce User** from top of the list.

Agree to the terms and conditions, which will enable the **Next** button.

Select the **Next** button; the **Remote Identity Proofing** page will be displayed.

3.3.3 Remote Identity Proofing

On the **Remote Identity Proofing** screen, enter your personal information details in the fields as requested, *do not* enter your business contact details.

Figure 25 – Remote Identity Proofing Screen

Please refer to the **RIDP Tips for Success** and **Quick Start RIDP User Guide**, found on the [IDM Documentation](#) page.

Note: If you encounter problems with remote identity proofing, capture the **Response code** in the disclaimer message at the bottom of the page and contact the ASETT Help Desk for assistance.

After successfully completing Remote Identity Proofing, you will be logged out of the system.

3.3.4 Request a Role

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

Next, the system will ask you to request a verification code.

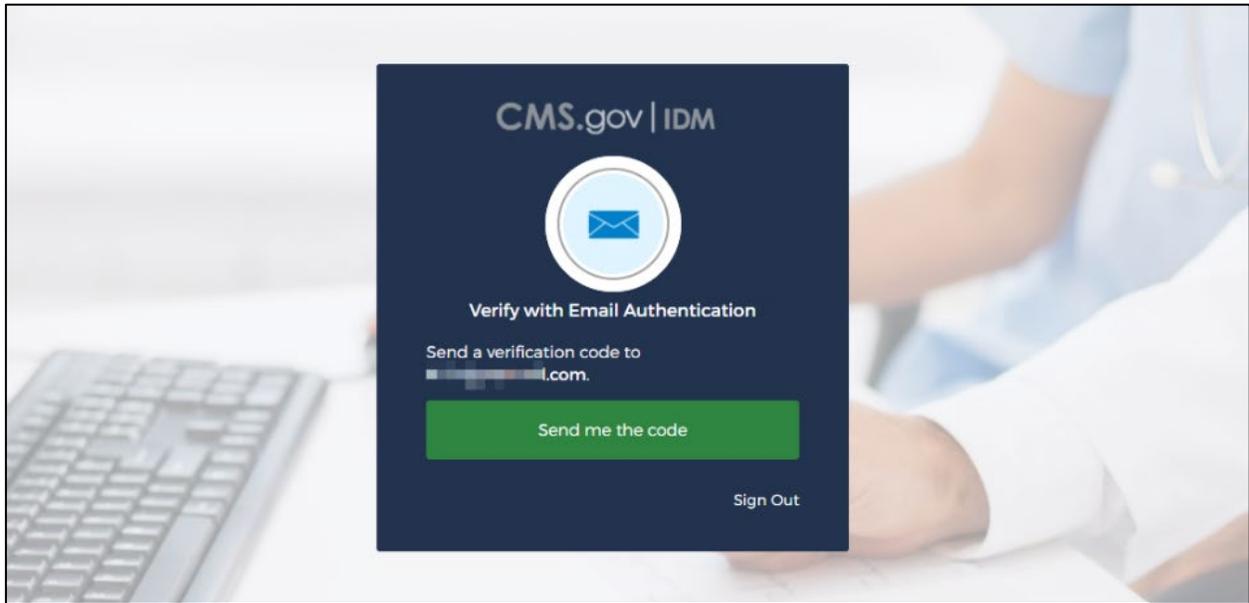


Figure 26 – Request Security Code

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

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

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

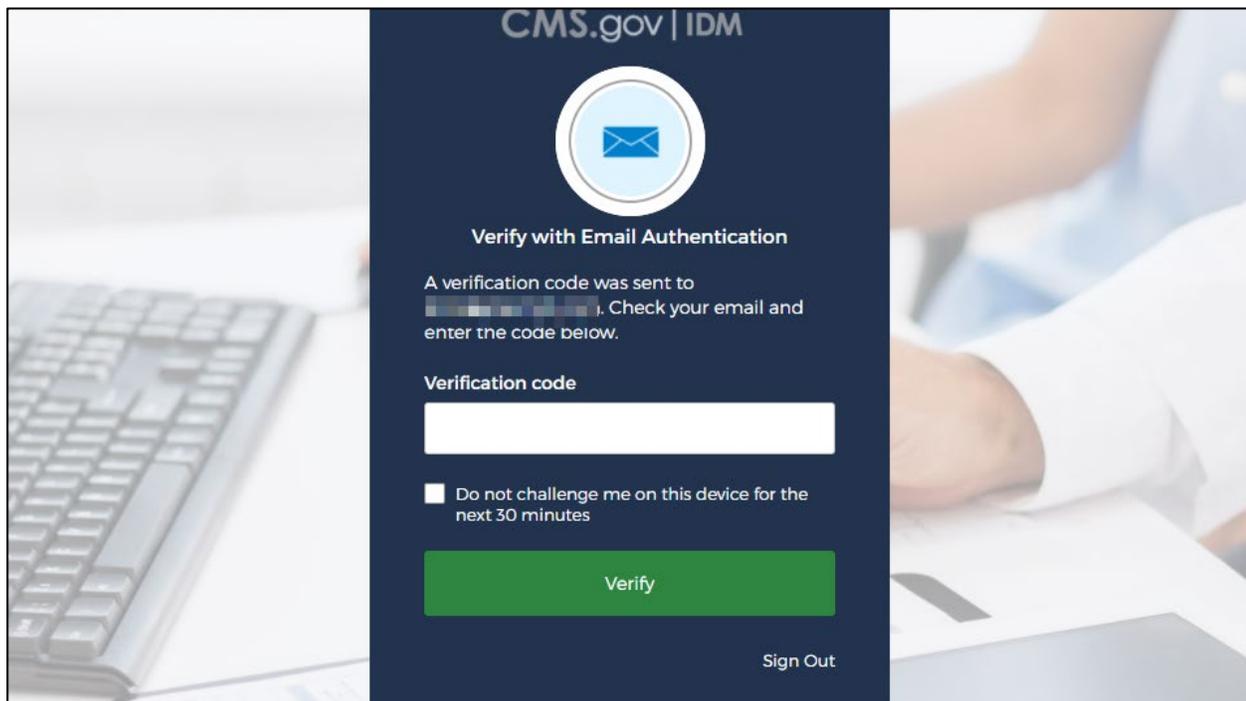


Figure 27 – Enter the Security Code

The next screen to display is auto generated since registration has not been completed.

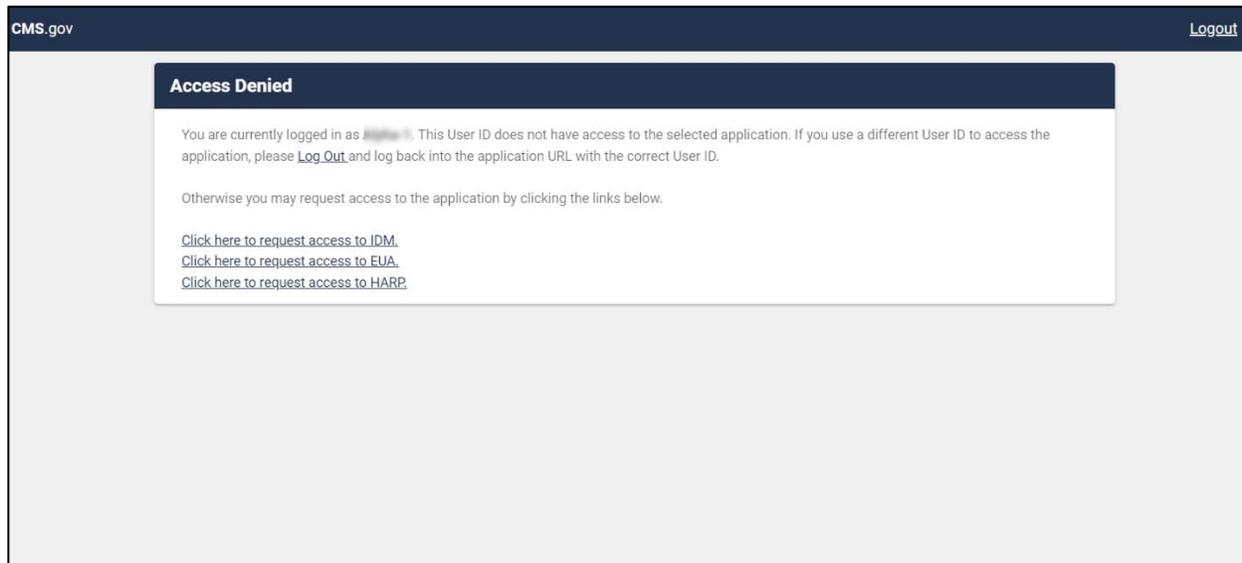


Figure 28 – Mid-Registration Warning Screen

Select the first hyperlink: **Click here to request access to IDM.**

On the next screen that is displayed, select the **Role Request** tile for a second time.

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

For the **Select a Role** field, select **Salesforce User** from top of the list.

Agree to the terms and conditions, which will enable the **Next** button.

Please refer to the CMS IDM User Guide (PDF) on the [IDM Documentation](#) page for detailed information.

On the following screen, 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 29 – Business Contact Information Fields

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

The **Review** page will be displayed; 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 indicator with three steps: Application, Role, and Review. The 'Review' step is currently active. The form contains the following fields and values:

- 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
- Role Description:** CMS Employees/Contractors, Applicants, Providers, Participants, State Organizations, and General Public etc.
- Reason for Request:** (Empty text area)

At the bottom of the form, there are three buttons: 'Cancel' (red), 'Back' (yellow), and 'Submit Role Request' (green).

Figure 30 – Reason for Request

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

Select the **Back to Home** button and **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.

3.3.5 Submit Request ASETT Access

Note: You must enter the web address <https://sei.cms.gov/> in your browser to complete the final steps. The login screen that displays after the user logs out of the Self-Service screen appears similar but only will return the user to the IDM Self-Service screen.

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 be displayed.

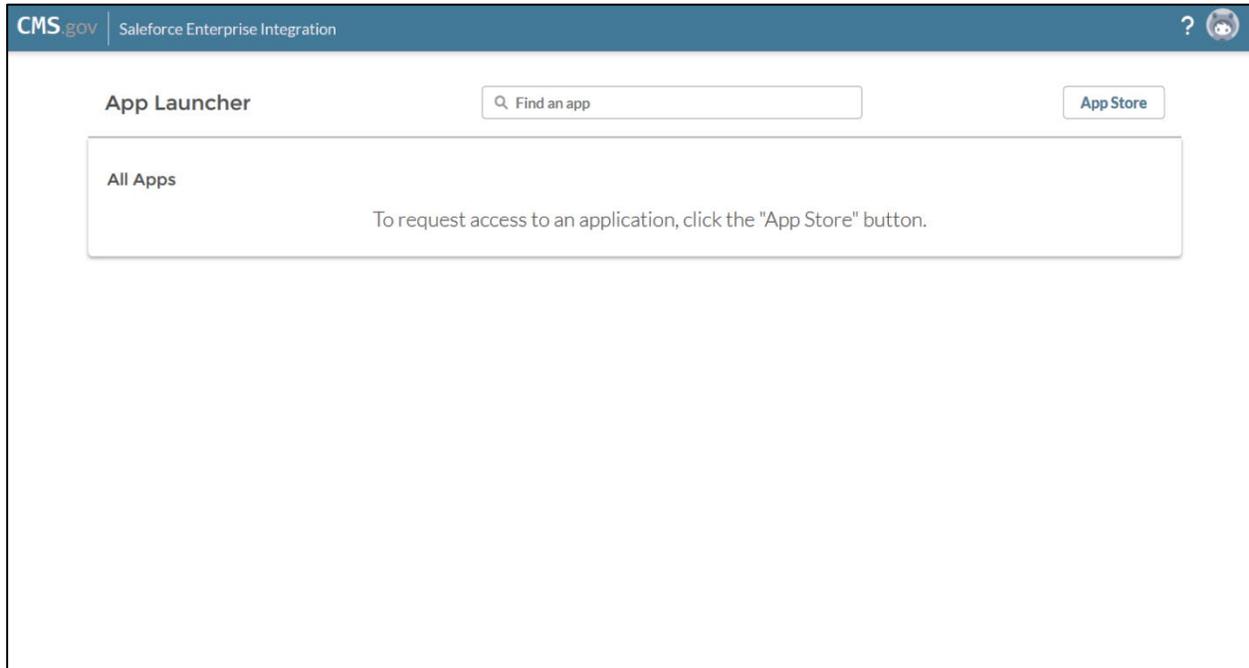


Figure 31 – App Launcher Page

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.

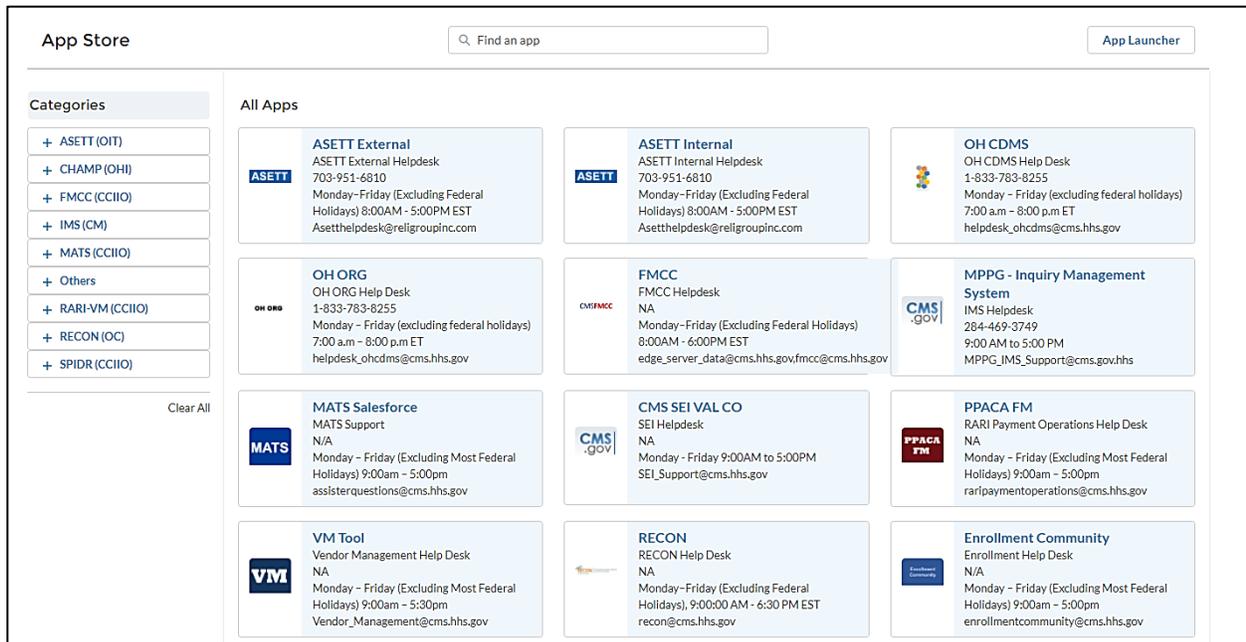


Figure 32 – Salesforce App Store

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.

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 33 – 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 access is approved automatically.

The subsequent times you log in, the **Salesforce Enterprise Integration App Launcher** page will be displayed.

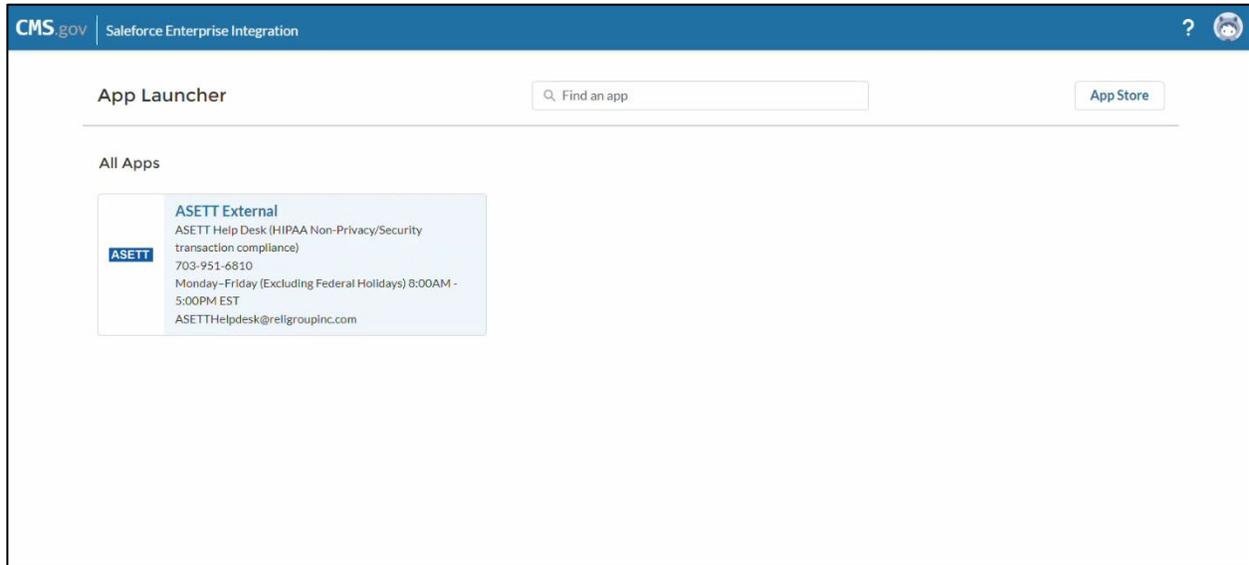


Figure 34 - ASETT External User Access

3.4 Login

Select the **Login** button in the top navigation bar on the **ASETT Home Page** to be directed to the **CMS IDM Sign In** page. The CMS IDM Sign In page may also be accessed directly by typing <https://sei.cms.gov/> into your browser.

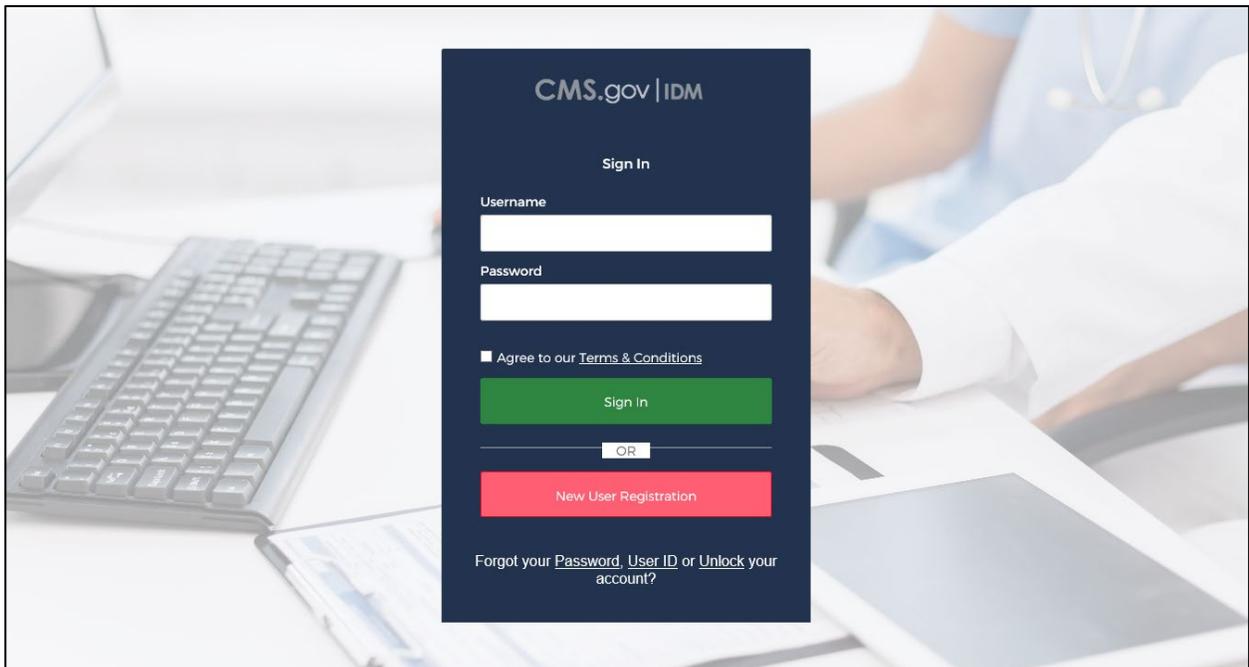


Figure 35 – CMS IDM Sign In Page

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.

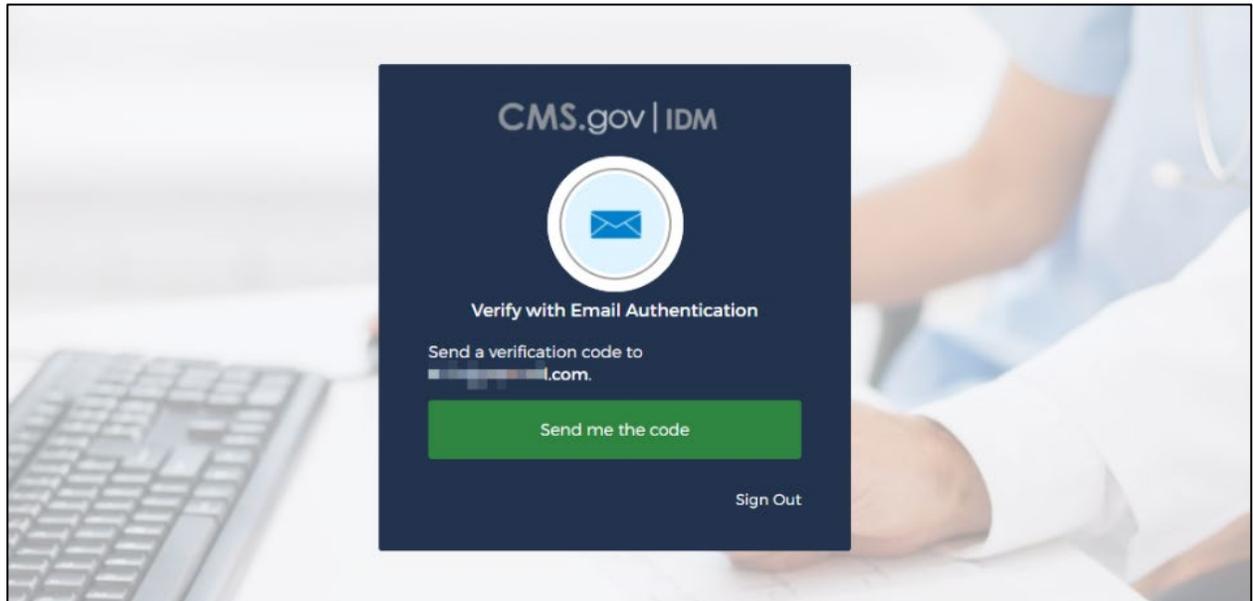


Figure 36 – Request Security Code

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.

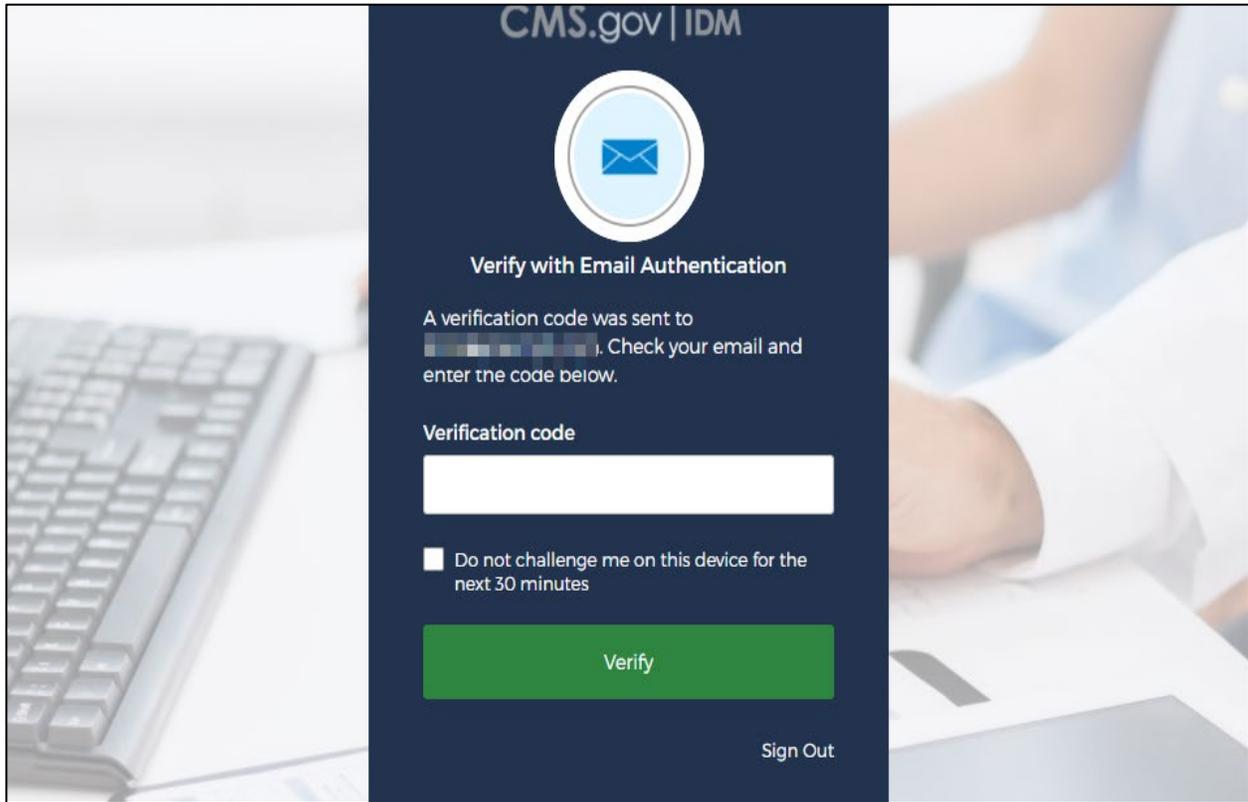


Figure 37 – Enter Verification Code

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 |

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**

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 6010
- 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 38 – ASETT Community Home 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 3.3 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 notice containing next steps, sent to the email added as the complainant's contact email address.

4.1 Create an Electronic Complaint

After registering to use the ASETT system (see **Section 3.3 – New User Registration**), you are directed to the ASETT registered user Home Page, also referred to as the **Complaint Community Home Page**.

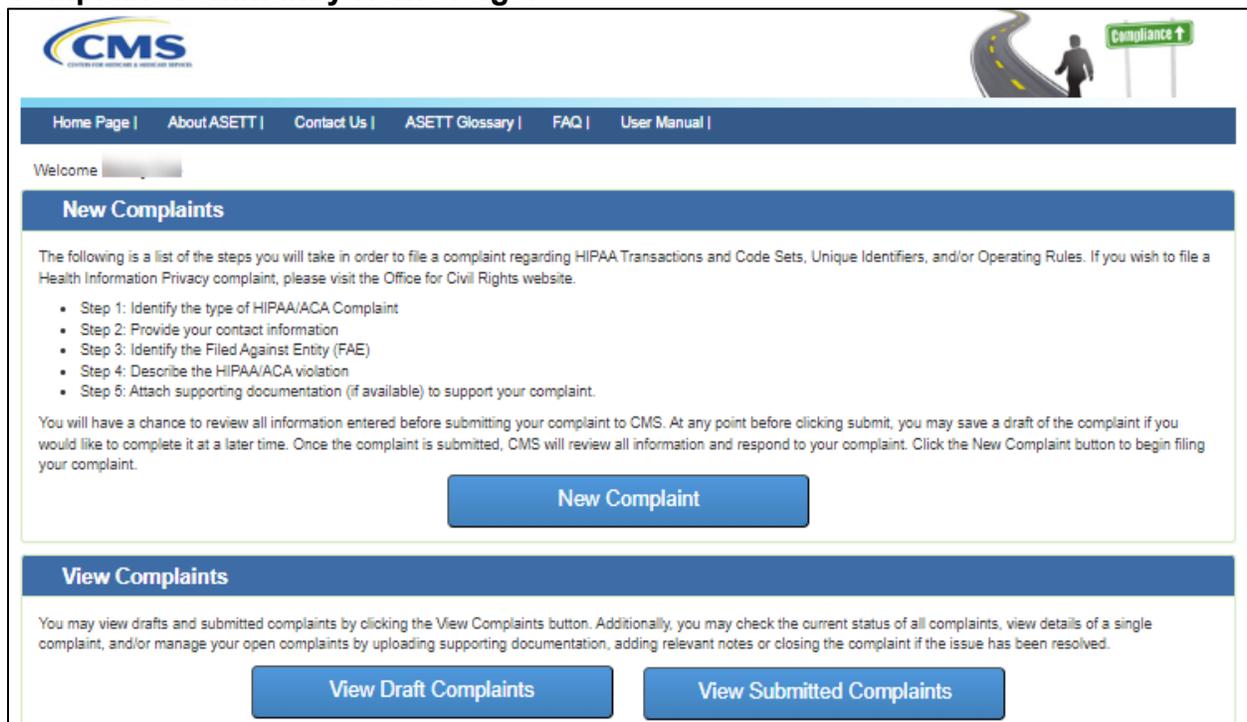


Figure 39 – Registered User Home Page

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

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>](#)

Figure 40 – Complaint Type Selection Page

Select the **Complaint Type** radio button that applies to the complaint to file.

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

Form Approved OMB No. 0938-0948

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, CMS will not share your Information with the Filed Against Entity (FAE) during the investigation process. However, information provided in this complaint is subject to rules and policies under the 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* --None--

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*

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

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

Figure 41 – 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 Filed-Against Entity Details Page

The screenshot displays the 'Filing a Complaint as a Registered User' interface. At the top left is the CMS logo (Center for Medicare & Medicaid Services). At the top right is an illustration of a person walking on a path towards a 'Compliance' sign, with the text 'Form Approved OMB No. 0938-0948' below it.

The main heading is 'FAE Details'. Below it, a message reads: 'Please fill out the fields in the form below.' The form contains the following fields:

- FAE Organization Name* (text input)
- FAE Organization Type (dropdown menu, currently showing '--None--')
- FAE Organization Type (Other) (text input)
- FAE Organization Role (text input)
- FAE Contact Title* (dropdown menu, currently showing '--None--')
- FAE Contact First Name* (text input)
- FAE Contact MI (text input)
- FAE Contact Last Name* (text input)
- FAE Address Line 1* (text input)
- FAE Address Line 2 (text input)
- FAE City/Town* (text input)
- FAE State/Territory* (dropdown menu, currently showing '--None--')
- FAE Zip Code* (two text input boxes, each containing 'XXXXX')
- FAE Contact Email Address (text input, containing 'example@demo.com')

At the bottom of the form, there are four navigation buttons: '< Complainant Information', 'Save Draft', 'Cancel', and 'Complaint Details Information >'. Below the buttons, a session timeout warning reads: '*** Your session will time out after 30 minutes of inactivity. ***'

Figure 42 – Filed-Against Entity Details Page

The Filed-Against Entity is also referred to as the FAE.

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*

Complaint Subject*

Complaint Description*

Complaint transaction type

Does the complaint relate to the FAB charging fees to conduct standard transactions?*

Have you previously attempted to resolve this complaint?

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

Has this complaint been previously submitted?

Supporting Files and Notes

Upload supporting documentation to your complaint.

Add supporting notes to your complaint.

Complaint Attachment

Action	Attachment Name	Created By	Created Date
--------	-----------------	------------	--------------

Complaint Notes

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

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

Figure 43 – 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.

Attachment Upload

Here you will be able to upload documentation related to complaint. Select the file to be uploaded by clicking the **Choose File** Button. The file will be uploaded when you click **Upload** Button. This can take several minutes depending on the file size.

Select the file from your computer.

Choose File No file chosen

Set "Attachment Type" and enter the file description for the complaint, "File Description".

Attachment Type

File Description

Upload **Cancel**

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

Figure 44 – 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.

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Complaint Note

Here you will be able to add **Subject** and **Description** for the note.

Subject

Description

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

Figure 45 – 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

Form Approved OMB No. 0938-0948

Review Complainant Summary

Complaint Details [Edit Complaint Details](#)

Complaint Type*

Complaint Subject

Complaint Description

Complainant Details [Edit Complainant Details](#)

Complainant Organization Name

Complainant Organization Type

FAE Details [Edit FAE Details](#)

FAE Organization Name

Complaint Attachment

Attachment Name	Created By	Created Date
-----------------	------------	--------------

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 46 – Review Complainant Summary (Excerpt)

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

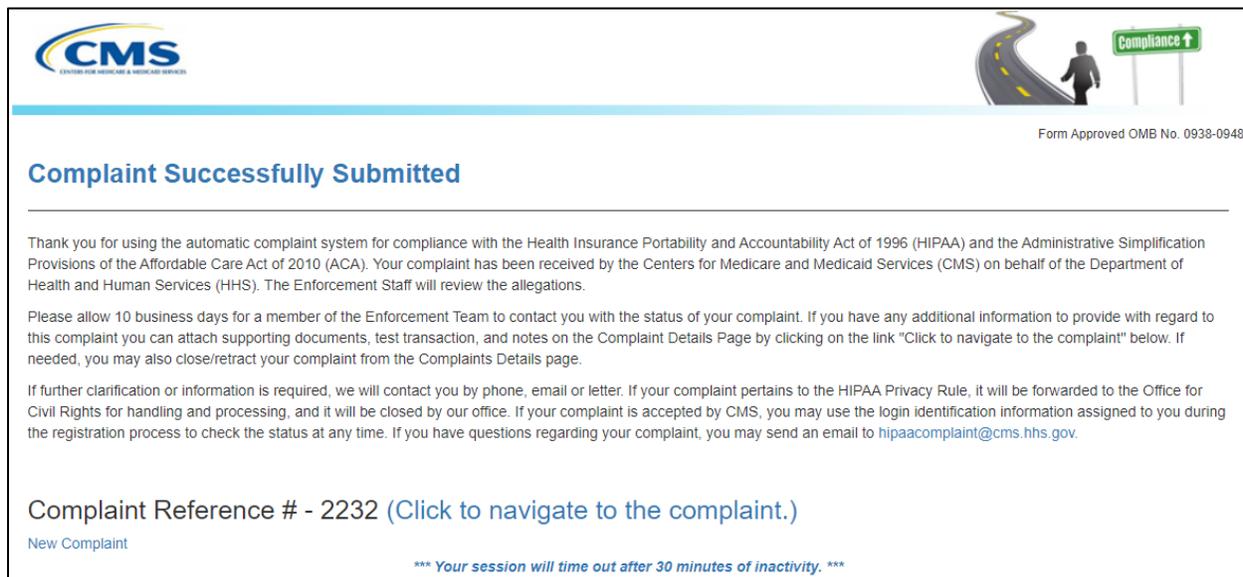
The system will redisplay the original page.

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.



The screenshot shows a web page with the CMS logo in the top left and a graphic of a person walking on a path towards a 'Compliance' sign in the top right. The main heading is 'Complaint Successfully Submitted'. Below this, there are three paragraphs of text providing information about the complaint process, including a 10-business-day response time and contact information for the Enforcement Team. A 'Complaint Reference # - 2232' is displayed with a link to navigate to the complaint. A 'New Complaint' link is also present. A session timeout warning is at the bottom.

Complaint Successfully Submitted

Form Approved OMB No. 0938-0948

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 # - 2232 ([Click to navigate to the complaint.](#))

[New Complaint](#)

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

Figure 47 – 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 [View Complaints](#)

Complaint Number	Tracking ID	User Profile
Logged Date	Today's Date	Status
Goto a Particular Section <input type="text" value="--None--"/>		

Complaint Details

Incident occurred date

Complaint Subject

Complaint Description

Notes Subject

Notes

Subject	Created By	Created Date
Add New Note		

Attachments

[Attach Files](#)

Complaint Attachment History

Attachment File	Document Type	Created By	Created Date
Close/Retract Complaint			
New Complaint			

Figure 48 – 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 49 – 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 50 – 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).

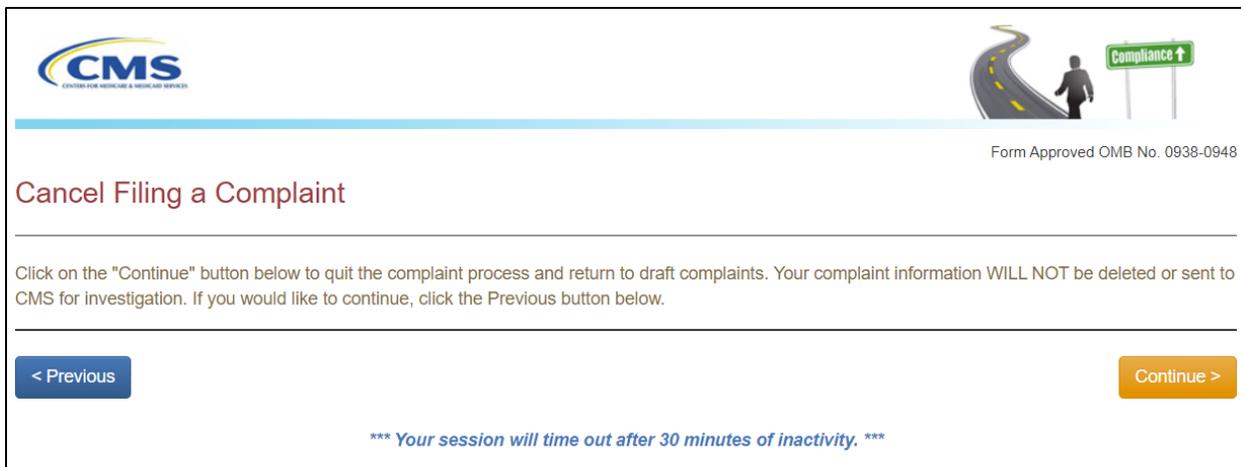
Save Draft **Cancel** Complainant Information>

Figure 51 – 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.



The screenshot shows a web page with the CMS logo in the top left and a graphic of a person walking on a path towards a 'Compliance ↑' sign in the top right. Below the header, the text 'Form Approved OMB No. 0938-0948' is visible. The main heading is 'Cancel Filing a Complaint'. A paragraph of text explains that clicking 'Continue' will return the user to draft complaints without deleting information, while clicking 'Previous' will continue the process. At the bottom, there are two buttons: '< Previous' and 'Continue >'. A session timeout warning is centered at the bottom: '*** Your session will time out after 30 minutes of inactivity. ***'

Figure 52 – 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**.

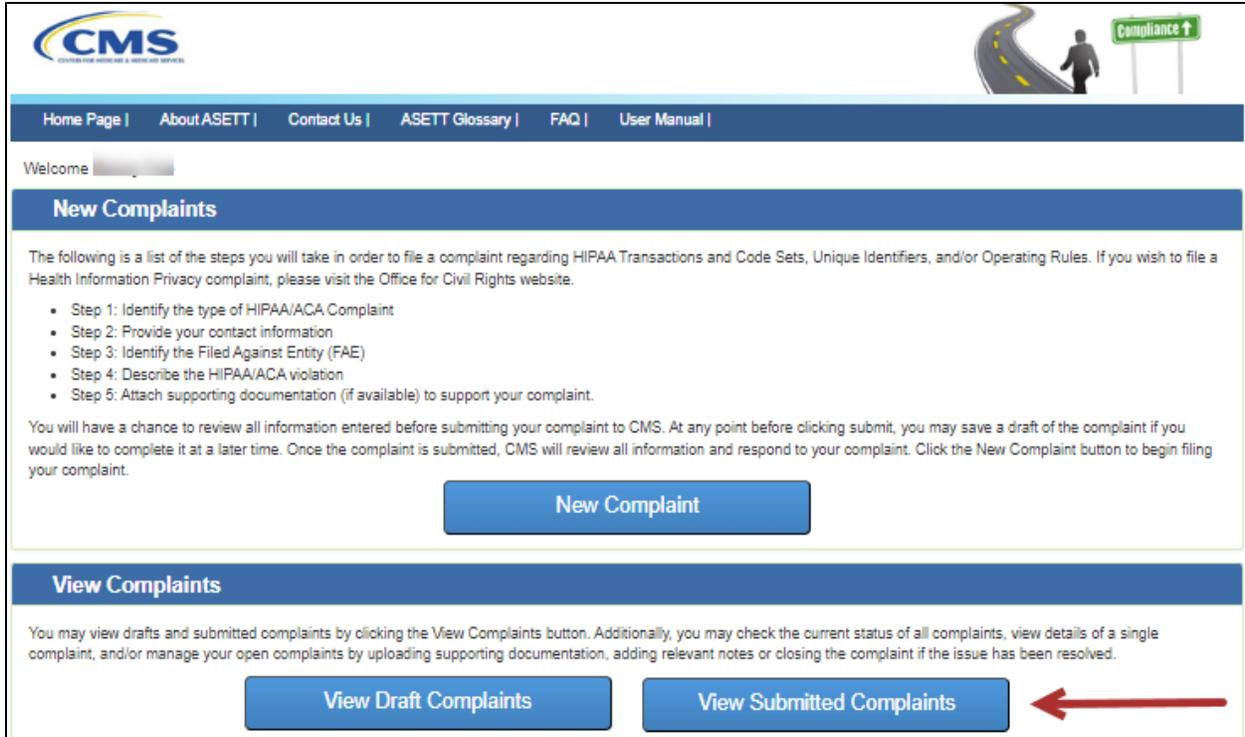


Figure 53 – View Submitted Complaints Button

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

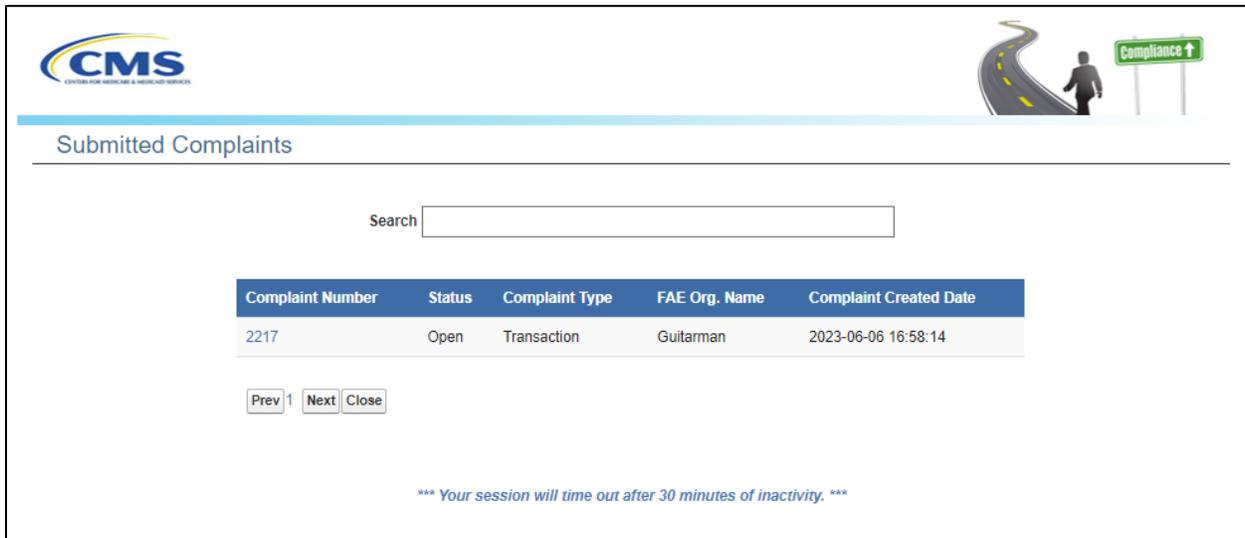


Figure 54 – Submitted Complaints List

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**.

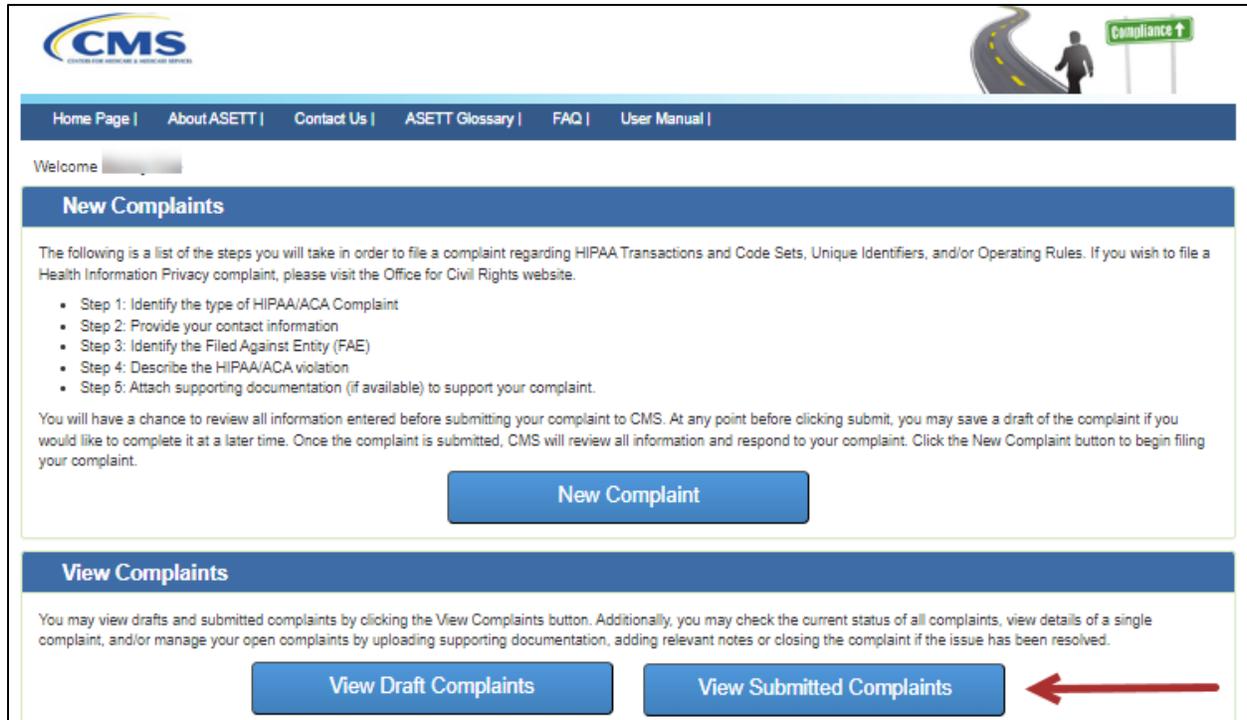


Figure 55 – View Submitted Complaints Button

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

screenshot of the Submitted Complaints Page

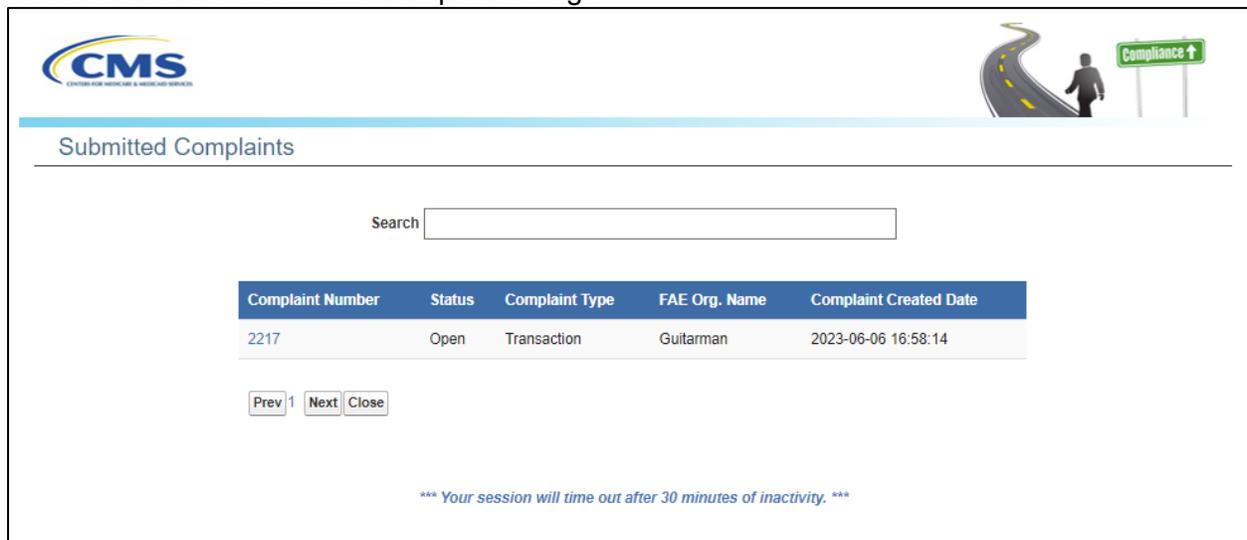


Figure 56 – Submitted Complaint List

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.

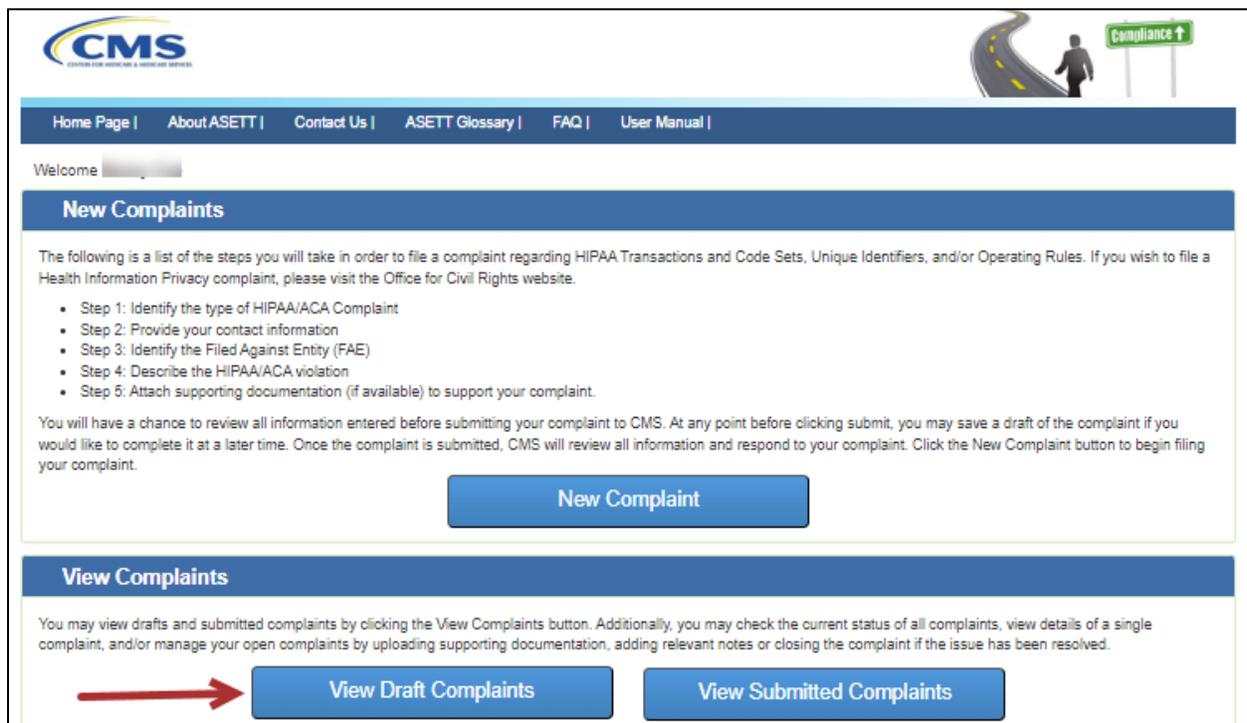
Select the **Save** button.

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**.



The screenshot displays the CMS ASETT Welcome Page. At the top left is the CMS logo. To the right is an illustration of a person walking on a path towards a 'Compliance' sign. Below the logo is a navigation bar with links: Home Page | About ASETT | Contact Us | ASETT Glossary | FAQ | User Manual. A 'Welcome' message is partially visible. The main content area is titled 'New Complaints' and contains a list of steps for filing a complaint. Below this is a 'New Complaint' button. The bottom section is titled 'View Complaints' and contains two buttons: 'View Draft Complaints' and 'View Submitted Complaints'. A red arrow points to the 'View Draft Complaints' button.

Figure 57 – View Draft Complaints Button

The system will display the draft complaints list page.

Search

Complaint Number	Complaint Type	FAE Org. Name	Complaint Created Date
2230	Code Sets		2023-07-03 00:35:27
2229	Transaction	SWAJ	2023-07-03 00:21:25

Prev 1 Next Close

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

Figure 58 – 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 or will not be pursued.

To close or retract a complaint:

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

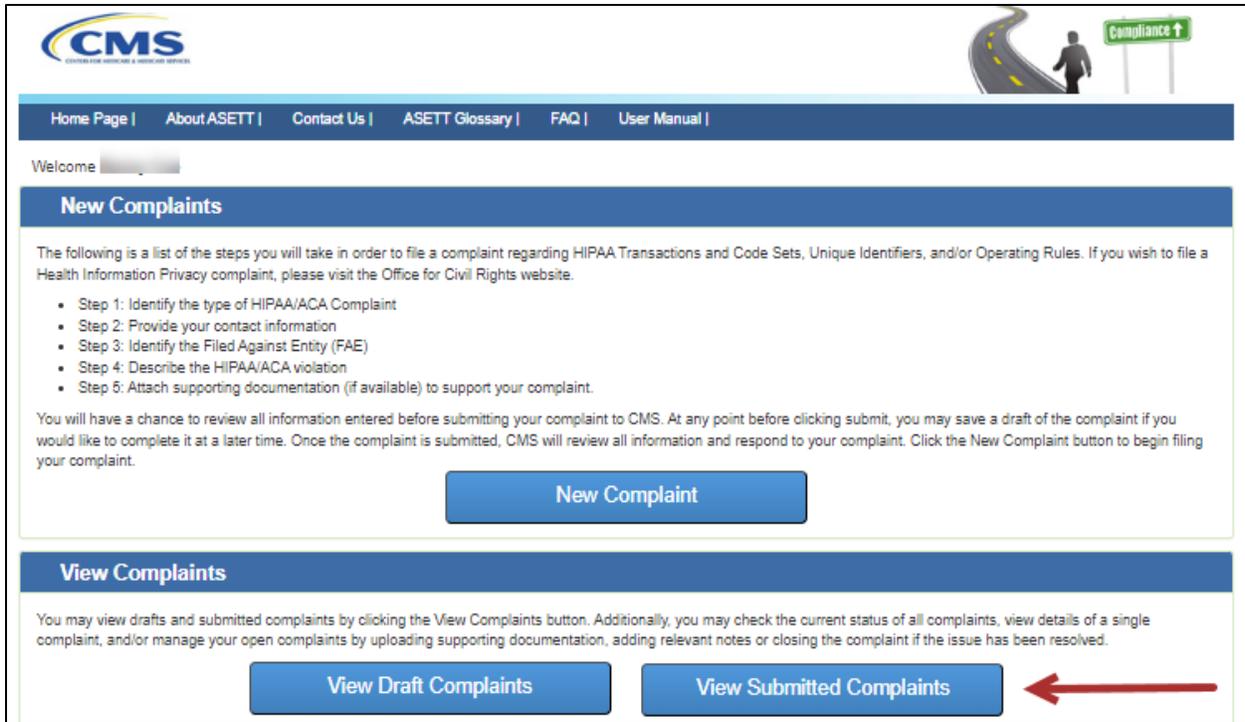


Figure 59 – View Submitted Complaints

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

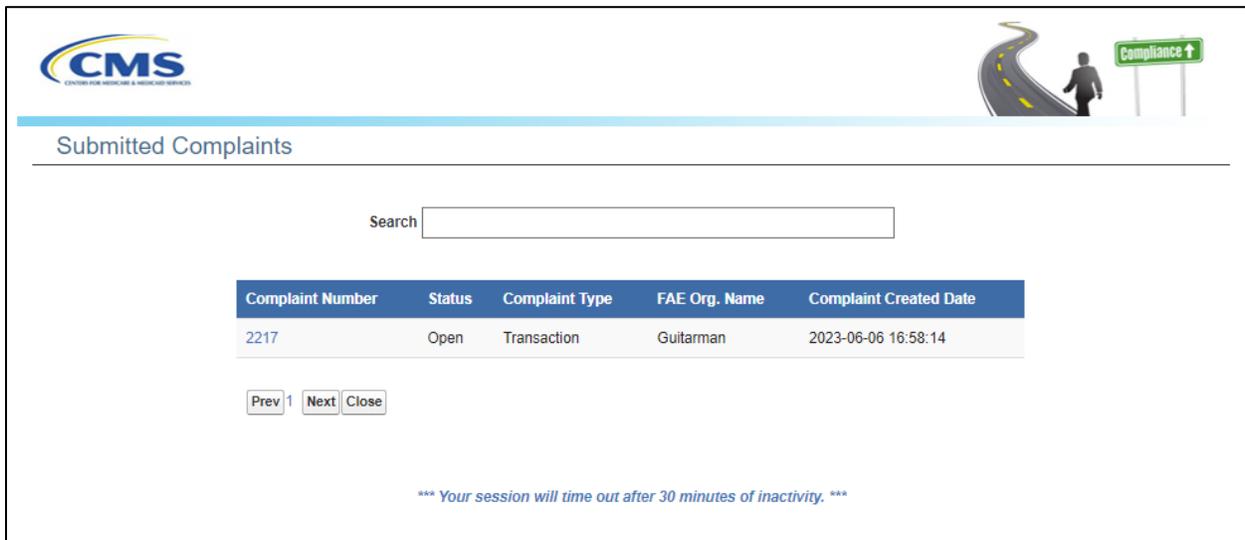


Figure 60 – Submitted Complaints List

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 61 – 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 62 – Reason for Closure Page

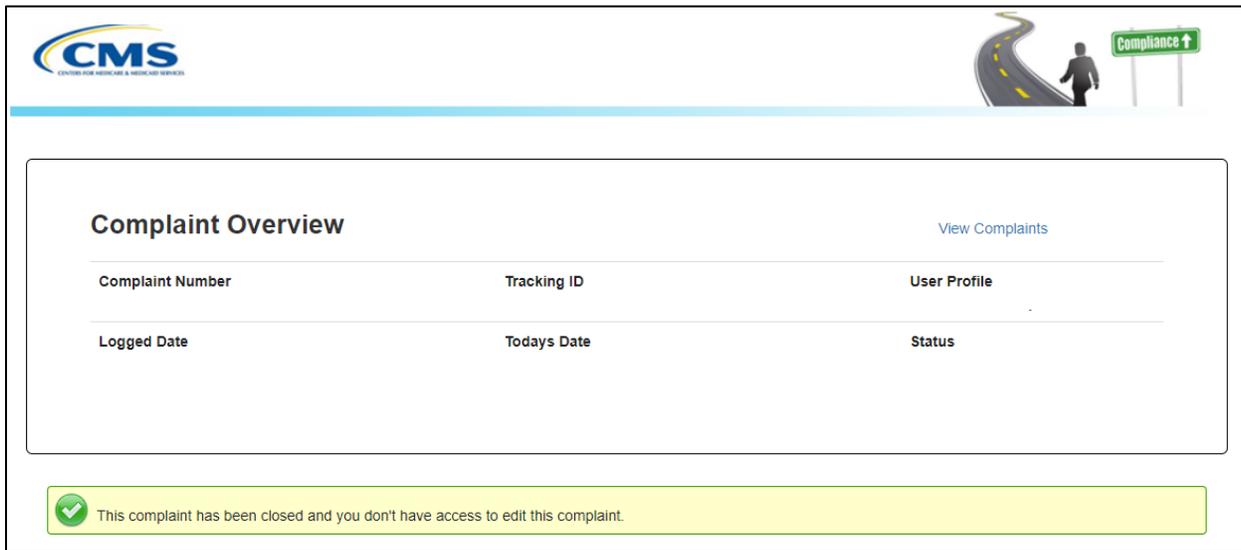
Select the reason for the complaint to be closed from the list:

- 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 shows the CMS logo in the top left and a navigation graphic in the top right. The main content area is titled "Complaint Overview" and includes a "View Complaints" link. Below the title is a table with the following headers:

Complaint Number	Tracking ID	User Profile
Logged Date	Today's Date	Status
This complaint has been closed and you don't have access to edit this complaint.		

A green checkmark icon is visible next to the message in the table row.

Figure 63 – Complaint Marked for Closure

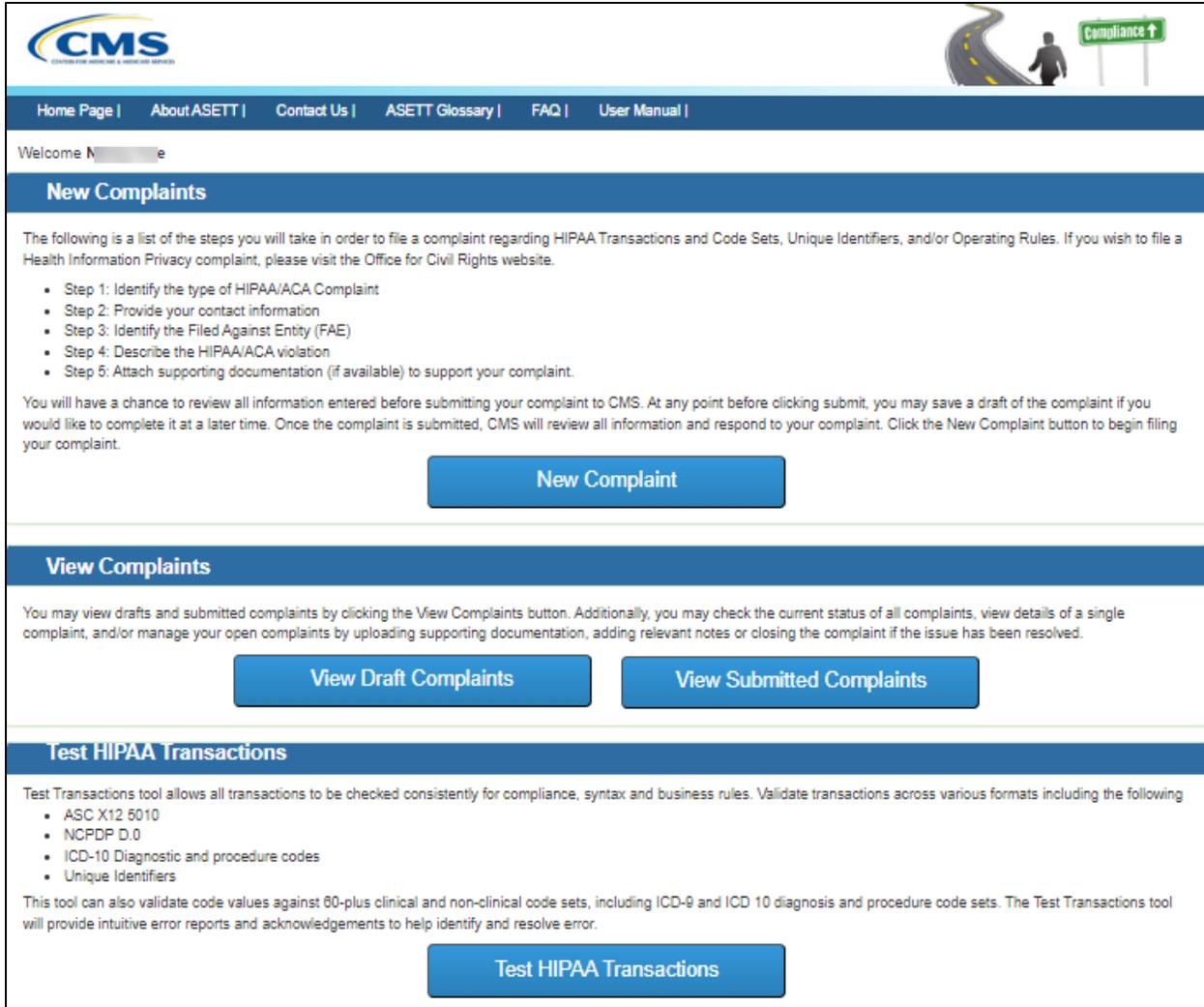
4.3 Test HIPAA Transactions

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.

ASETT provides access to Edifecs' **Onboarding, Testing, and Cloud Services (OTCS)** testing tool. New users must self-enroll in the **Self-Test** program.

4.3.1 Enroll in the HIPAA Transaction Testing Tool

On the **ASETT Complaints Community Welcome Page**, select the **Test HIPAA Transactions** button towards the bottom of the screen.



The screenshot displays the CMS website interface. At the top left is the CMS logo. A navigation bar contains links for Home Page, About ASETT, Contact Us, ASETT Glossary, FAQ, and User Manual. A user greeting 'Welcome N...' is visible. The main content area is divided into three sections: 'New Complaints', 'View Complaints', and 'Test HIPAA Transactions'. The 'New Complaints' section includes a list of five steps for filing a complaint and a 'New Complaint' button. The 'View Complaints' section includes instructions on viewing drafts and submitted complaints, with buttons for 'View Draft Complaints' and 'View Submitted Complaints'. The 'Test HIPAA Transactions' section describes the tool's capabilities and includes a 'Test HIPAA Transactions' button.

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

Figure 64 – Test HIPAA Transactions Button

The **Test HIPAA Transactions** page will be displayed.

Begin your enrollment by selecting the **Onboarding, Testing, and Cloud Services (OTCS)** link shown near the bottom of the screen.

CMS

Compliance ↑

Test HIPAA Transactions

Welcome to the **Onboarding, Testing, and Cloud Services (OTCS)** for HIPAA Transaction Testing.

Please read these instructions before accessing the transaction testing tool, all users must first enroll to use the tool.

Select the **Onboarding, Testing, and Cloud Services (OTCS)** link below.

On the Onboarding, Testing, and Cloud Services Welcome page, in the left navigation menu, below the **COT** label, select the second icon from the top.

On the Programs page, select the **Programs Available to Enroll (1)** button in the top, right corner.

Select the **Enroll** button found in the **Self Test** Program, displayed in the menu on the right side of the screen. Select the **Confirm** button when prompted.

The Program screen will redisplay with the **Self Test** Program tile.

Once enrolled, the OTCS link can be selected below to test transactions.

Please review the ASETT User Manual at the top of the Welcome Page for steps to test HIPAA EDI transactions; transaction testing instructions are found in Section 4.3 - Test HIPAA Transactions.

Test HIPAA EDI Transactions: [Onboarding, Testing, and Cloud Services \(OTCS\)](#)

Close

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

Figure 65 – Test HIPAA Transactions Page

On the Onboarding, Testing, and Cloud Services Welcome page, select the second icon from the top in the left navigation menu, below the COT label; Programs will display if you hover over it.

COT Onboarding and Testing Cloud Service Powered by **edifecs**

Test HIPAA Transactions

The Onboarding and Testing Cloud Service (OTCS) 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 clinical and non-clinical code sets, including ICD-10 diagnosis and procedure code sets.

The OTCS tool will provide intuitive error reports and acknowledgments to help identify and resolve errors.

For HHS Compliance Review Participants:

Please refer to Part C of your Compliance Review Package to verify which transaction types your organization is responsible for uploading and testing during the Compliance Review.

All X12 5010 version transactions are listed as tasks within the OTCS Compliance Review Program. Tasks for transactions not included in Part C can be skipped.

All transaction files must be:

- ASC X12 5010
- From the production environment
- In a text-readable format (.txt, .dat, .edi)
- The original (outbound) file sent to your trading partner
- Only one ISA to IEA transaction set per file

The designated primary point of contact for your Compliance Review will be notified if any transaction types must be resubmitted for testing.

Contact Us:

For HIPAA Complaints or general HIPAA/ACA inquiries: HIPAAComplaint@cms.hhs.gov

For Compliance Reviews: HIPAACompliance@cms.hhs.gov

ASETT Helpdesk*: (703) 951-6810

*Available Monday-Friday from 8 AM to 5 PM Eastern, except federal holidays

Figure 66 – OTCS Portal Welcome Page

On the Programs page, select the button in the top right corner **Programs Available to Enroll**.

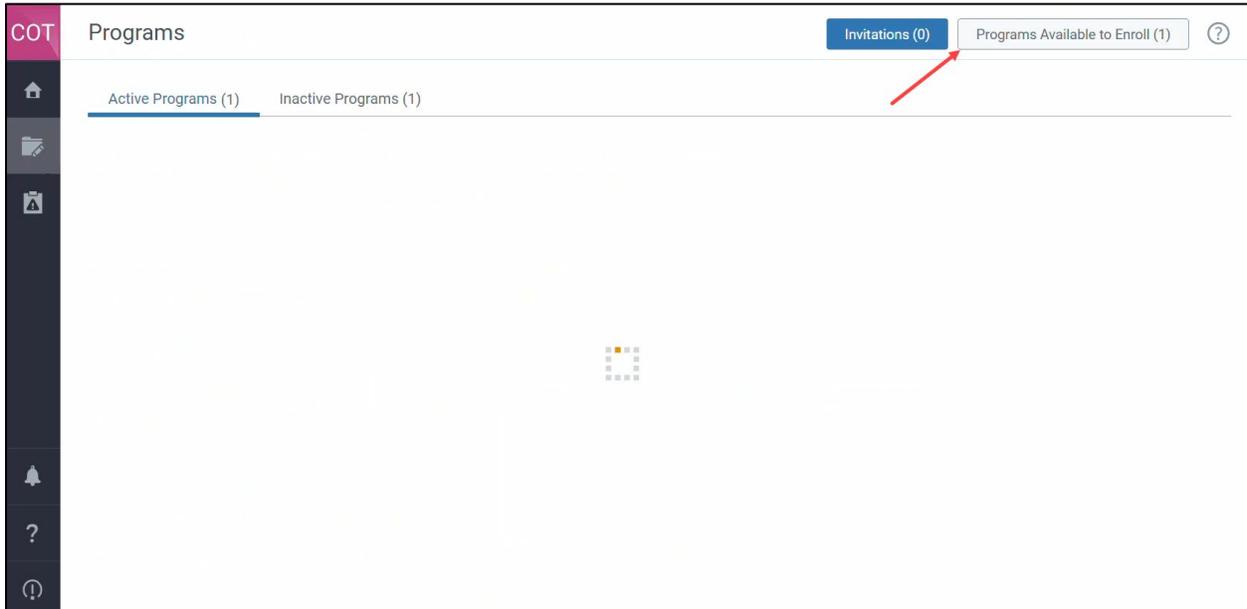


Figure 67 – Programs Available to Enroll Button

Select the **Enroll** button found in the **Self-Test** program, which is displayed under the **Programs Available to Enroll** heading on the right side of the screen.

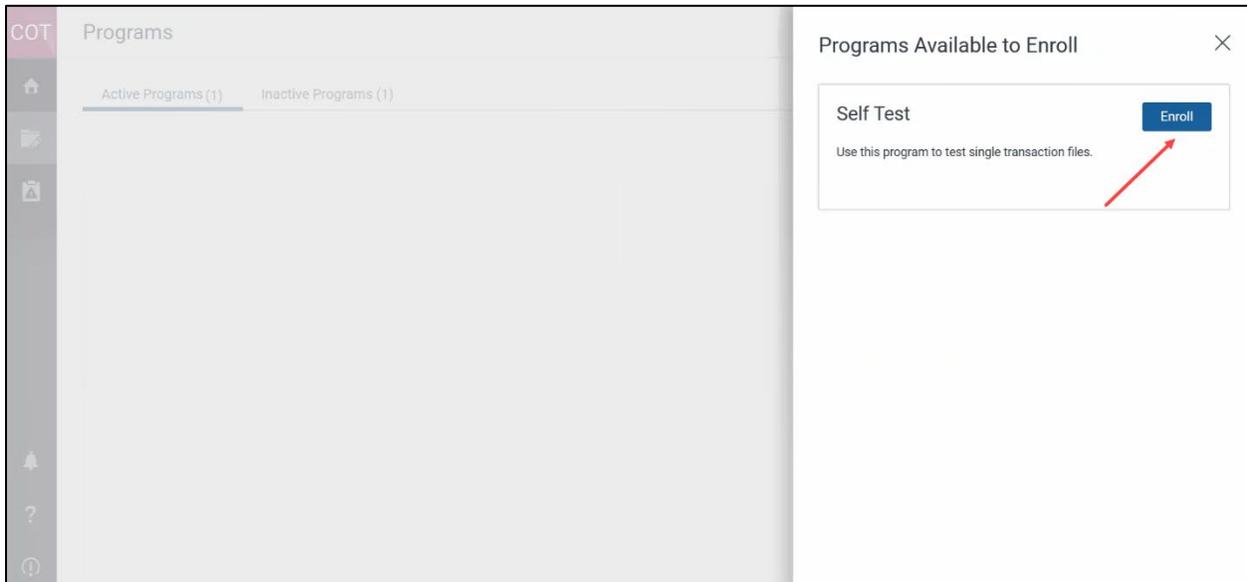


Figure 68 – Select the Enroll Button for Self-Test Program

Select the **Confirm** button when prompted.

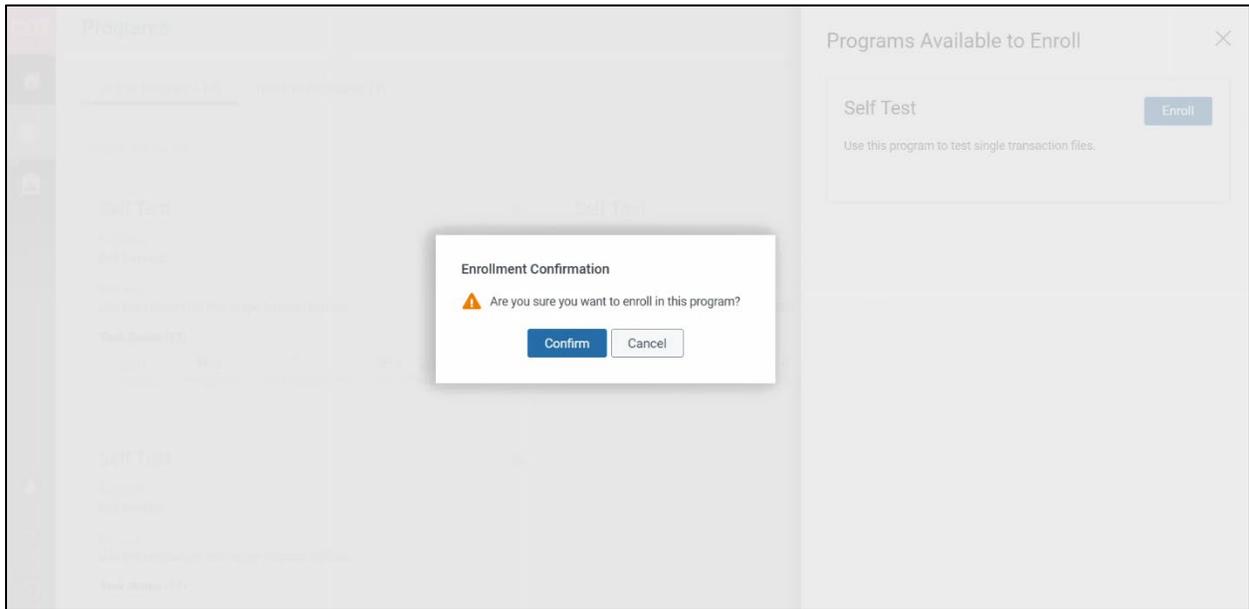


Figure 69 – Enrollment Confirmation Option Buttons

The **Program** screen will be redisplayed with the **Self-Test** program tile. A success message will be displayed at the top of screen, but briefly.

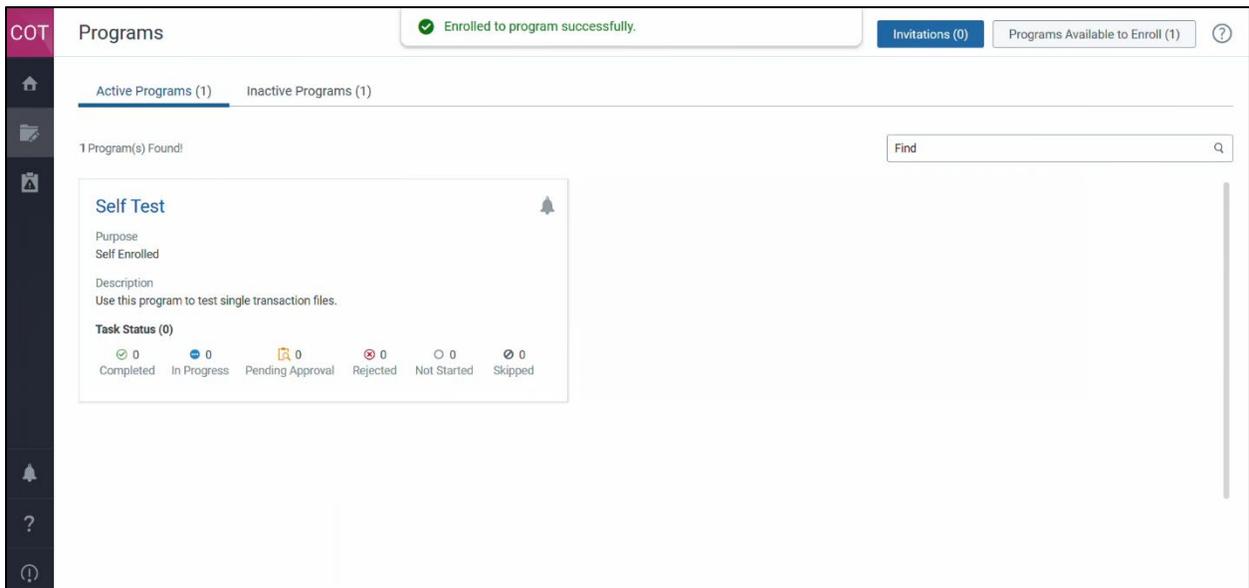


Figure 70 – Self Test Program Tile

4.3.2 HIPAA Transaction Testing

After enrolling in OTCS (see Section 4.3.1 - Enroll in the HIPAA Transaction Testing Tool), select the **Self-Test** title in the program title. The **Self-Test Task** page will be displayed.

Select a HIPAA EDI transaction type (**Task**) from the list on the left side of the page. The tasks available are:

- Validate HIPAA 837P
- Validate HIPAA 837I
- Validate HIPAA 837D
- Validate HIPAA 820
- Validate HIPAA 834
- Validate HIPAA 835
- Validate HIPAA 270
- Validate HIPAA 271
- Validate HIPAA 276
- Validate HIPAA 277
- Validate HIPAA 278 - Request
- Validate HIPAA 278 - Response
- Validate NCPDP D0 B1 - Request
- Validate NCPDP D0 B1 - Response

The following tasks are available to test, but there are no transaction standards that are enforced by HIPAA Administrative Simplification provisions.

- Validate X12N 999
- Validate X12N 277CA
- Validate X12N TA1

Select the Task from the list on the left, the Validate <transaction name> transaction page will be displayed on the right side of the screen.

Select the **Create Execution Run** button in the center of the page.

The screenshot shows the 'Self Test' interface. On the left, a sidebar lists tasks: '1. Validate HIPAA 837P transaction', '2. Validate HIPAA 837I transaction', '3. Validate HIPAA 837D transaction', '4. Validate HIPAA 820 transaction', and '5. Validate HIPAA 834 transaction'. The main area displays the details for the selected task, '1. Validate HIPAA 837P transaction'. It includes a 'Task Status' summary with counts for Not Started (17), In Progress (0), Completed (0), Skipped (0), Pending Approval (0), and Rejected (0). Below this, there is a message: 'Execution for this task needs to be submitted for review.' and a note: 'This task is for validation of HIPAA 837 Professional transaction.' The 'Transaction Type(s)' is listed as '837P'. At the bottom right of the task details, there is a blue button labeled 'Create Execution Run'.

Figure 71 – OTCS Task Page

Select a HIPAA EDI transaction type from the list on the left side of the page and then select the **Create Execution Run** button in the center of the page.

A pop-up box will display.

1. Enter a unique name in the **Run Name** field.
2. Select **Upload Test File** icon to locate and attach a file from the CE's local device.

Note: The system will allow only .dat, .edi, and .txt file types for testing.

3. Select the **Submit** button.

To cancel the upload, select the **Cancel** button.

Figure 72 – HIPAA EDI Transaction File Upload

The **Validate Transaction** page will be displayed and show the HIPAA EDI transaction file uploaded to OTCS.

Name	Status	Result	Last Modified On	Validation Response
835 Test 1	In Queue	None	24-Mar-2023	

Figure 73 – Validate HIPAA EDI Transaction Page

Note: If additional files for that transaction type are to be tested, select **Execute** from the top of the page and repeat the upload steps.

When all files are uploaded, refresh the screen by selecting the refresh icon, found to the right of the Execution section, just above the heading Validation Response, which will process the transaction test. A confirmation message will be displayed briefly at the top of the page, and the Status will display Completed, with a download icon available below the heading Validation Response.

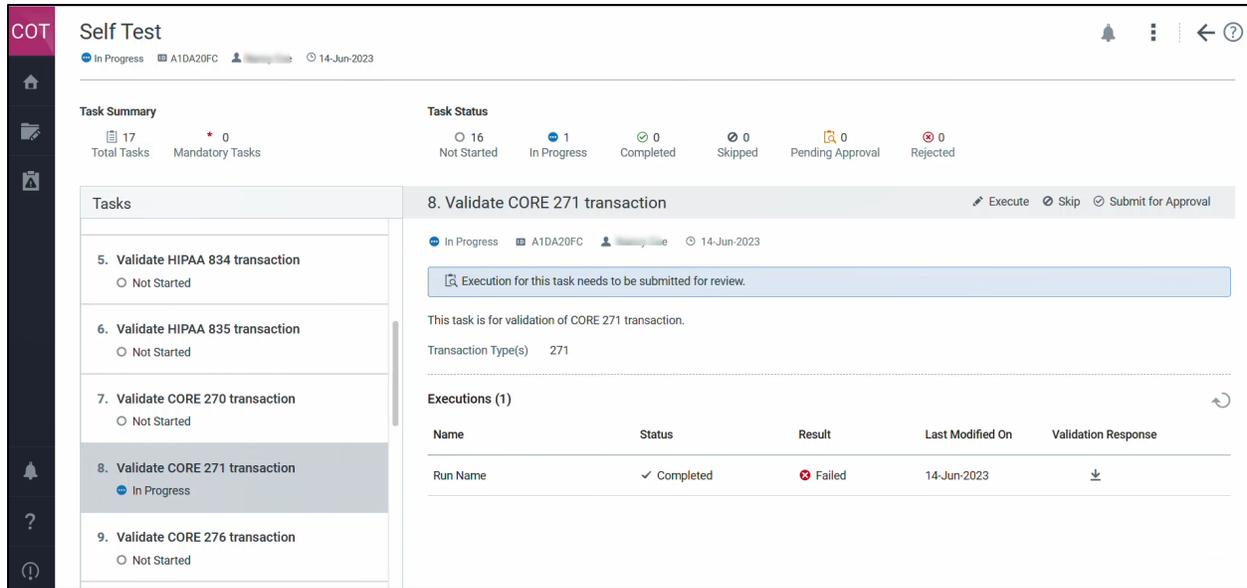


Figure 74 – Transaction File Submission Available for Download

To prevent locking the Transaction Task from future testing, **do not** select Submit for Approval, Mark Task Complete, or Skip. These options may appear to the right of the Execute option to the far right of the Transaction Task name.

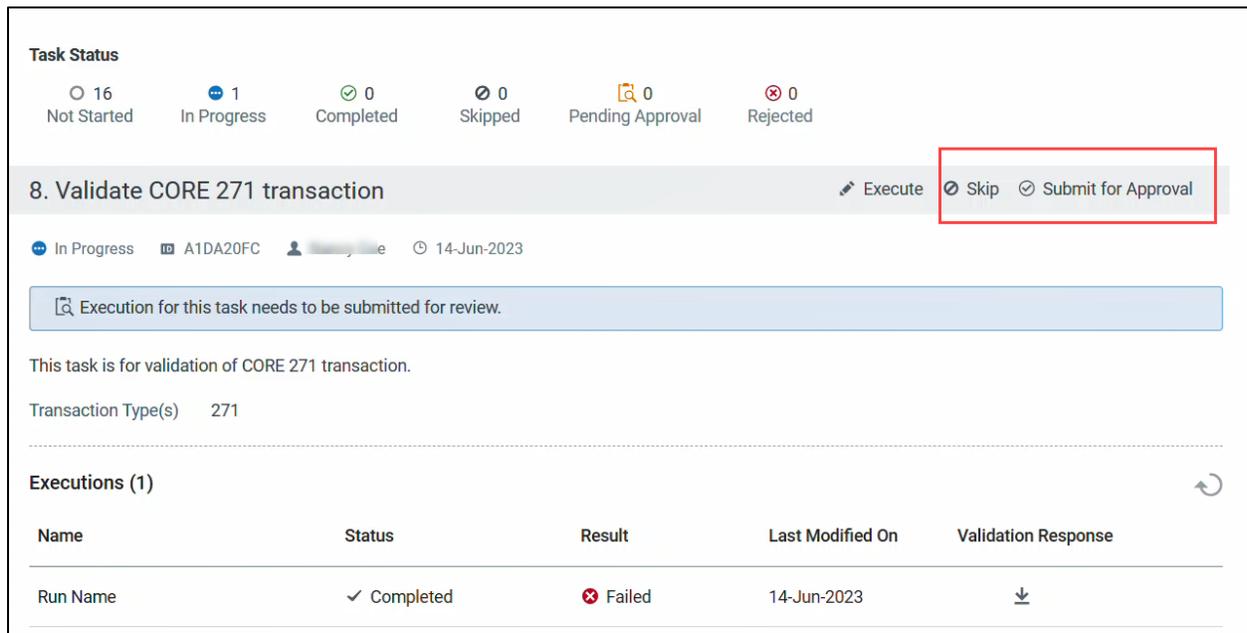


Figure 75 – Prevent Locking the Task

To exit OTCS, return to the **Programs** page, select the log out icon at the bottom of the left navigation pane.

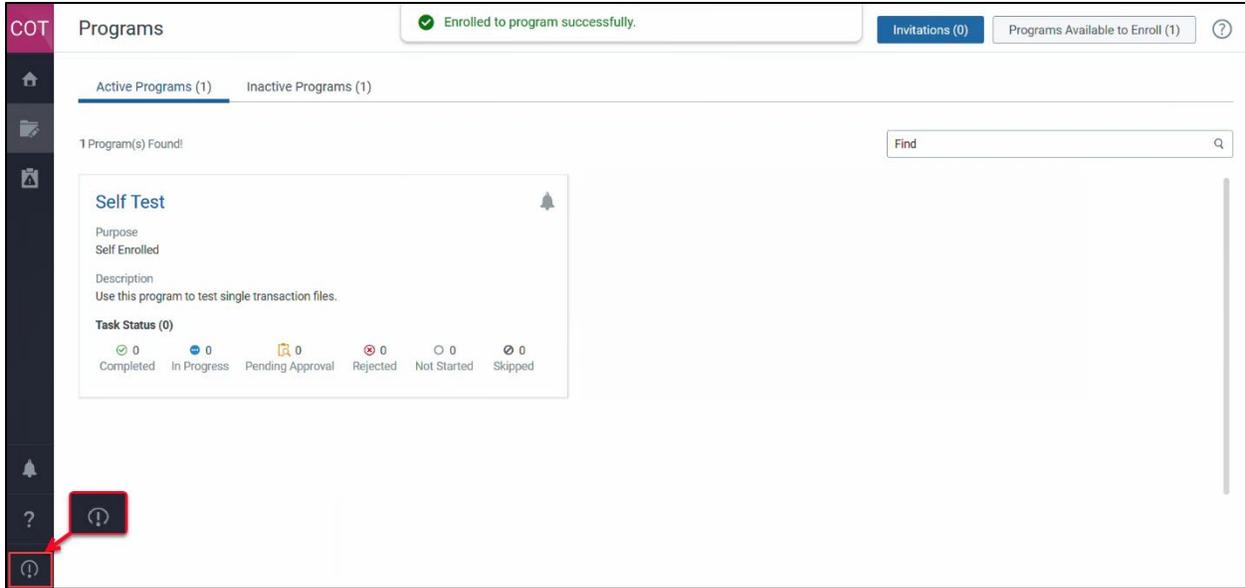


Figure 76 – Log Out of OTCS Button

After logging out of OTCS, close the browser tab to return to the **Test HIPAA Transactions Page** (if the system security time-out has not elapsed).

4.3.3 Error Report

When testing a transaction, the system will generate an Error Report.

To access the Error Report from OTCS, select the download icon under Validation Response.

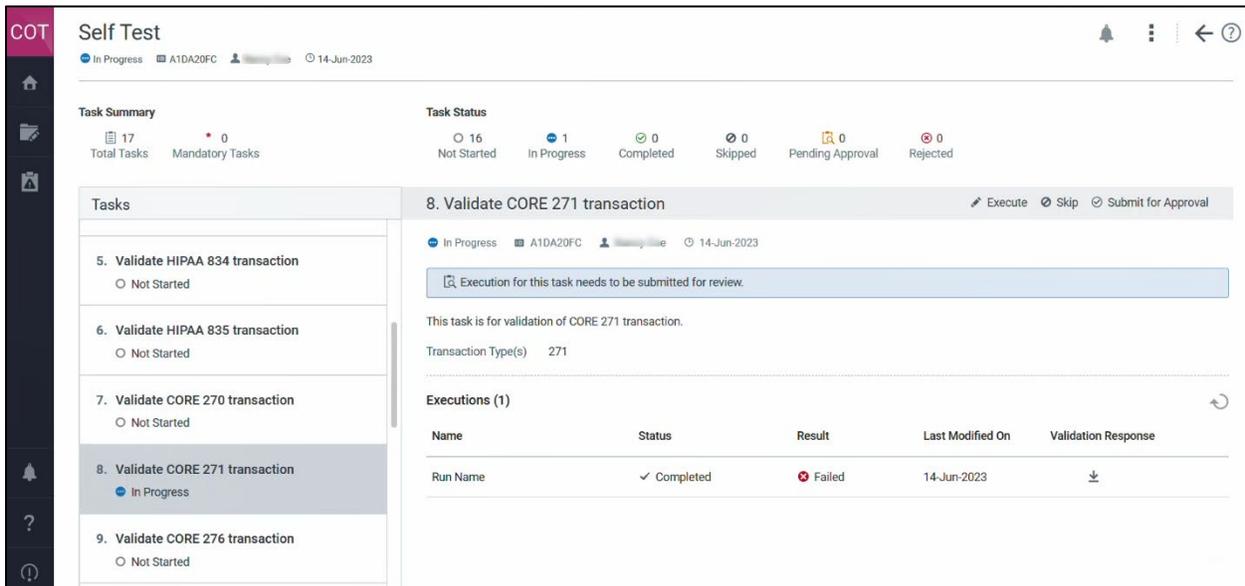


Figure 77 – Download the Validation Response File

The system will deliver a zip folder to your device that contains the Error Report in several formats – as an HTML file, and as a PDF file. Open the preferred version from the zip folder.

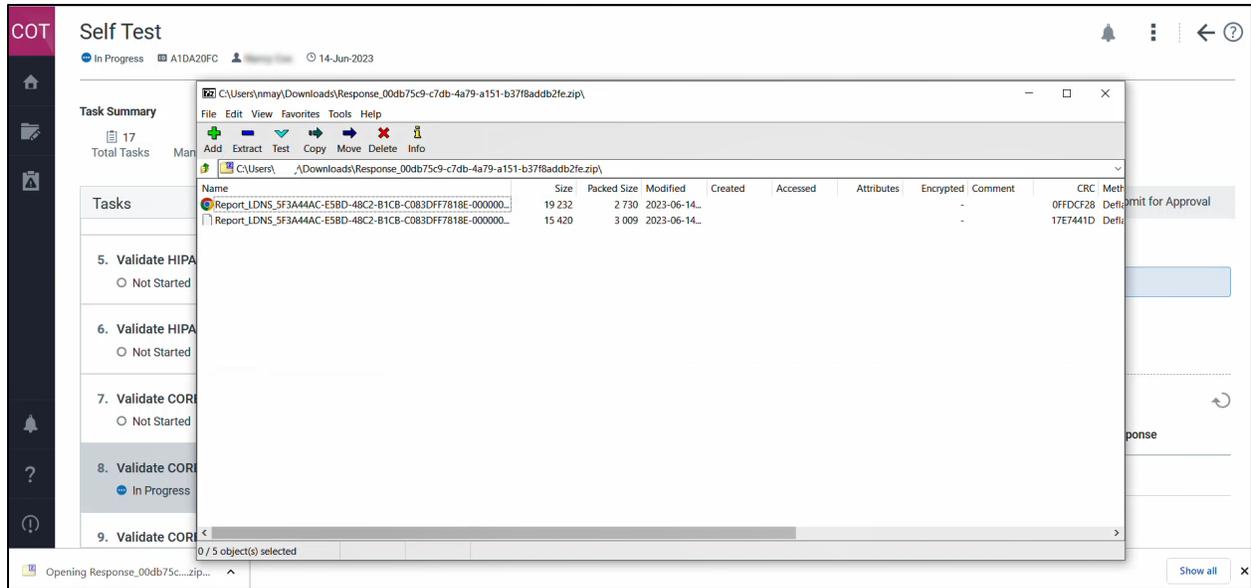


Figure 78 – Transaction File Error Report Download

The Error Report validates the content and formatting of the transaction file uploaded to OTCS for testing.

Error Report Powered by Edifecs

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 0 Error(s)		Interchange Received: 1 Interchange Accepted: 1

1 Interchange

Interchange Status: Accepted

FunctionalGroup Received: 1	Sender ID: 3137147	Sender Qualifier: ZZ
FunctionalGroup Accepted: 1	Receiver ID: 610442	Receiver Qualifier: ZZ
	Control Number: 999999998	Version: 00501
	Date: 131001	Time: 1405

1.1 FunctionalGroup

FunctionalGroup Status: Accepted

TransactionSets Received: 1	Sender ID: 4137147	Receiver ID: PLANA
TransactionSets Accepted: 1	Control Number: 999999998	Version: 005010X279A1
	Date: 20141001	Time: 1405

1.1.1 Transaction

Transaction Status: Accepted

	Control Number: 0001	Transaction ID: 270
--	----------------------	---------------------

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

Figure 79 – Error Report (Excerpt)

A file that is compliant with HIPAA will result in an Error Report with no high severity errors. All found errors are described within the report and the severity of the error is noted.

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 notice containing next steps, sent to the email added as the complainant's contact email address. To file a complaint without registering, start on the **ASETT Home Page** at <https://asett.cms.gov>.

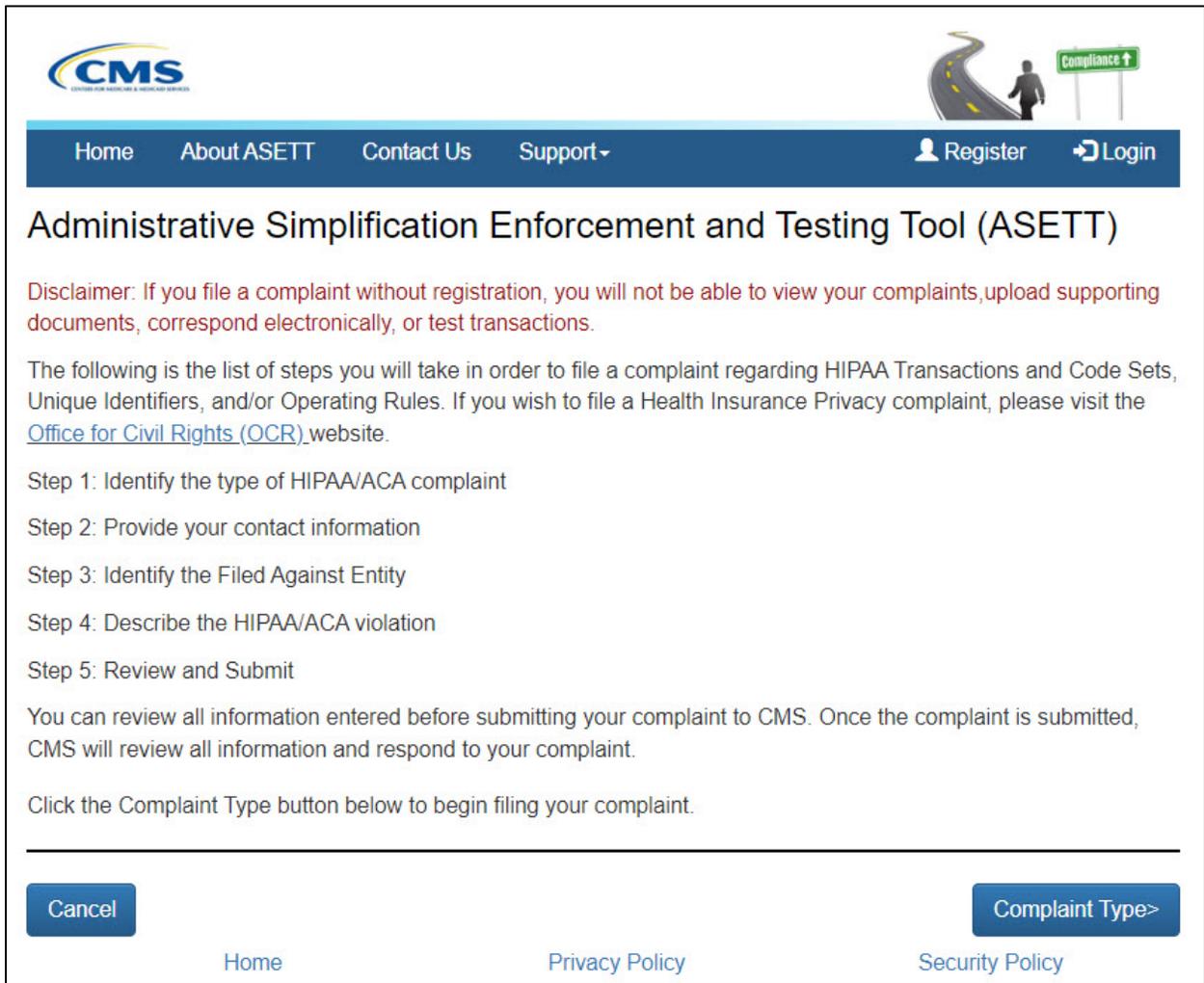
5.1 Get Started

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 web application interface. At the top left is the CMS logo. The navigation bar includes links for Home, About ASETT, Contact Us, and Support, along with Register and Login buttons. A large banner features the word 'COMPLIANCE' and the acronym 'ASETT', with a sub-header 'Administrative Simplification Enforcement and Testing Tool'. The banner text states: '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.' Below the banner are two main content areas. The left area is titled 'File HIPAA Complaint' and contains text about how to file a complaint, a list of violation types (Transaction, Unique Identifier, Code Sets, Operating Rules), and instructions on how to login or create an account. A 'Get Started' button is located at the bottom of this section, with a red arrow pointing to it. The right area is titled 'Test HIPAA Transactions' and describes the tool's capabilities for validating transactions against various formats and code sets, including ICD-9 and ICD-10.

Figure 80 – Get Started Button

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



The screenshot shows the CMS ASETT website 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 dark blue navigation bar with links for Home, About ASETT, Contact Us, and Support. On the right side of the navigation bar are 'Register' and 'Login' buttons. The main heading is 'Administrative Simplification Enforcement and Testing Tool (ASETT)'. Below the heading is a disclaimer in red text: '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 paragraph explaining the tool's purpose and a link to the OCR website. A list of five steps is provided: 1. Identify the type of HIPAA/ACA complaint, 2. Provide your contact information, 3. Identify the Filed Against Entity, 4. Describe the HIPAA/ACA violation, and 5. Review and Submit. Below the steps is a paragraph stating that users can review their information before submission and that CMS will respond after submission. A line of text instructs users to click the 'Complaint Type' button. At the bottom of the page are three buttons: 'Cancel', 'Complaint Type>', and a footer area with links for 'Home', 'Privacy Policy', and 'Security Policy'.

Administrative Simplification Enforcement and Testing Tool (ASETT)

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.

The following is the list of 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 Insurance Privacy complaint, please visit the [Office for Civil Rights \(OCR\)](#) website.

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

You can review all information entered before submitting your complaint to CMS. Once the complaint is submitted, CMS will review all information and respond to your complaint.

Click the Complaint Type button below to begin filing your complaint.

[Cancel](#) [Complaint Type>](#)

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

Figure 81 – 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 Type' selection page. At the top, there is a navigation bar with links for Home, About ASETT, Contact Us, Support, Register, and Login. Below the navigation bar is a progress indicator with six steps: 1. COMPLAINT TYPE (selected), 2. COMPLAINANT DETAILS, 3. FAE DETAILS, 4. COMPLAINT DETAILS, 5. REVIEW COMPLAINT, and 6. SUBMITTED. The main content area is titled 'Complaint Type' and asks the user to 'Make a selection below'. There are four radio button options: Transactions, Code Sets, Unique Identifiers, and Operating Rules. Each option has a brief description of the violation type. At the bottom of the page, there are three buttons: '<Welcome', 'Cancel', and 'Complainant Information>'. Footer links for Home, Privacy Policy, and Security Policy are also present.

Figure 82 – 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

[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

Complainant Details

Do you want to remain anonymous during this process?* Yes No

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

Complainant Organization Name*

Complainant Organization Type

Complainant Organization Type (Other)

Complainant Organization Role

Complainant Organization Phone Number*

Complainant Title*

Complainant City/Town*

Complainant State/Territory*

Complainant Zip Code*

Complainant Email Address*

Complainant Contact Phone Number*

[<Specify Complaint Type](#) [Cancel](#) [Filed Against Entity Information>](#)

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

Figure 83 – 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 **F AE Details** page.

5.4 FAE Details Page

CMS
COMPLAINT ENFORCEMENT & TESTING TOOL

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

FAE Details

FAE Organization Name*

FAE Organization Type

FAE Organization Role

FAE Contact Title*

FAE Contact First Name*

FAE Contact MI

FAE Contact Last Name*

FAE Address Line 1*

FAE Address Line 2

FAE City/Town*

FAE Contact Email Address

FAE Contact Phone Number*

< Complainant Information Cancel Complaint Details Information >

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Figure 84 – 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

CMS
CENTRAL BANK OF MALAYSIA & MONETARY AUTHORITY

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Form Approved OMB No. 0938-0948

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

Complaint Details

Incident occurred date*

Complaint Subject*

Complaint Description*

Does the complaint relate to the FAE charging fees to conduct standard transactions?*

Attempted to Resolve

Complainant Action Description

Complaint Previously submitted

< Filed Against Entity Information Cancel Complaint Review >

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Figure 85 – 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

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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

Complainant Details [Edit](#)

Complainant Organization Name

Complainant First Name

Complainant MI

Complainant Last Name

Complainant Address Line 1

FAE Details [Edit](#)

FAE Organization Name

FAE Contact First Name

FAE Contact MI

FAE Contact Last Name

FAE Address Line 1

< Complaint Details Information Cancel Submit >

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Figure 86 – 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.

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.

Complaint Reference Number: **23-0000-0000**

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Figure 87 – 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 88 – 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 details input if the complaint is no longer needed.

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

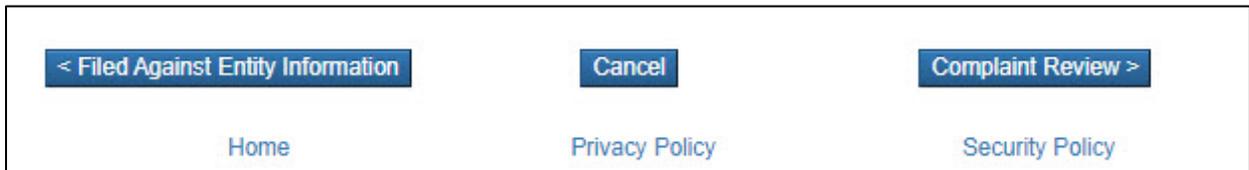


Figure 89 – Cancel Button

6. 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

6.1 Error Messages

The system generates error messages in the following scenarios:

- Error messages found during data entry
- ASETT System Error

6.1.1 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.

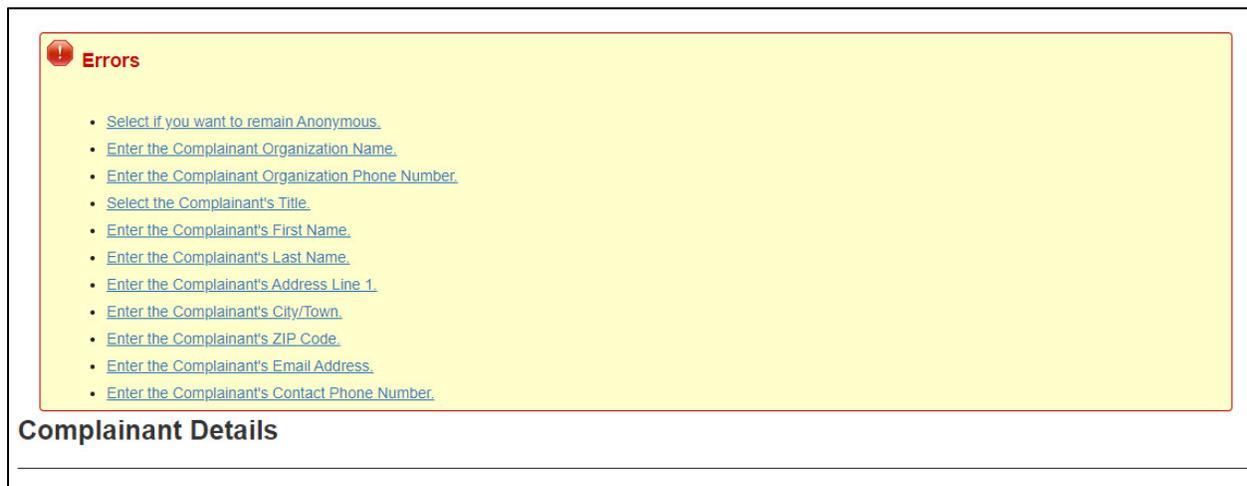


Figure 90 – Complaint Error Message Display

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
Complainant Details	Enter the Complainant Organization Name in the Complainant Organization Name field

Location	Error Message
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

6.1.2 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.

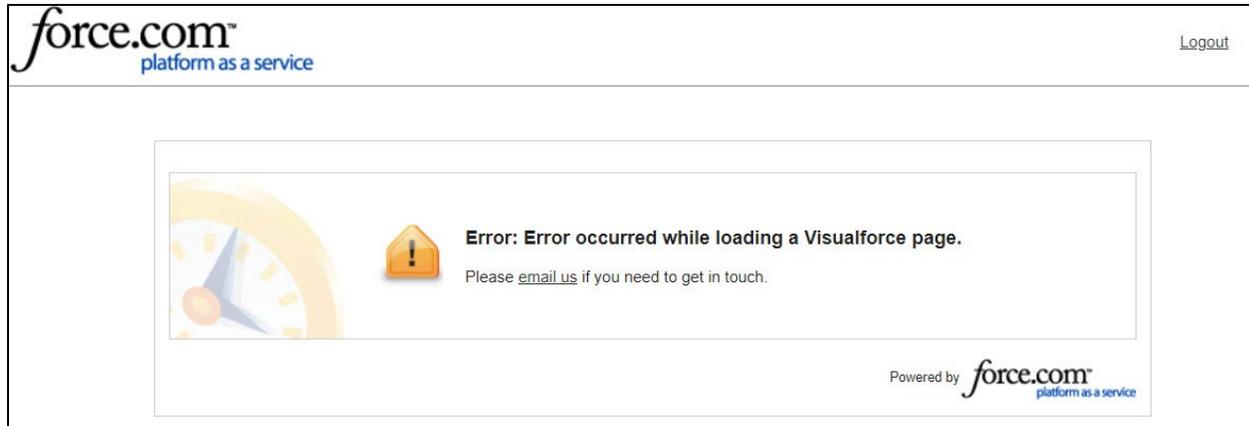


Figure 91 – Sample System Error

6.2 Support

For technical issues or questions about ASETT, contact the ASETT Helpdesk, Monday through Friday, 8:00 am to 5:00 pm (Eastern Time) 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](mailto:HIPAAComplaint@cms.hhs.gov).

7. 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
5.0	6/30/2023	Nancy May	Updated with new Test Transaction enrollment and testing steps.
5.1	10/27/2023	Nancy May	Updates to New User Registration for revised Remote Identity Proofing process implemented by IDM on 8/15/20203

8. 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 (1) 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 (1) 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.
Onboarding, Testing, and Cloud Services	OTCS	A tool provided by Edifecs to validate HIPAA transaction files used in the healthcare industry.