



## Centers for Medicare & Medicaid Services

### **Administrative Simplification Enforcement and Testing Tool (ASETT) Quick Start User Guide**

#### **Introduction**

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The Centers for Medicare & Medicaid Services takes seriously its role in overseeing enforcement of the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and covered entities' compliance with nationally-adopted transactions, code sets, unique identifiers, and operating rules. Under federal law, the Secretary for Health and Human Services adopts these rules, which reduce administrative burden and improve efficiency among HIPAA covered entities such as health care providers, health plans and health care clearinghouses. These rules are sometimes referred to as the non-privacy/security provisions of HIPAA. CMS has been designated by the Secretary of Health and Human Services (HHS) to adopt and enforce compliance with the provisions. A key part of this enforcement is ensuring the public has an opportunity to submit complaints related to covered entities' compliance with adopted standards and operating rules.

This Quick Start User Guide serves as a brief reference for the web-based application that individuals can use to file complaints relating to covered entities' compliance with the non-privacy/security provisions of HIPAA. CMS believes it is especially important for individuals to have the ability to file complaints and permit CMS to investigate potential non-compliance. This application is called the Administrative Simplification Enforcement and Testing Tool, or ASETT. It specifically enables individuals or organizations to file a HIPAA and/or Patient Protection and Affordable Care Act (ACA) complaint against a HIPAA covered entity for potential non-compliance with the non-Privacy/Security provisions of HIPAA.

More information on ASETT and step-by-step instructions on how to use the system is available on the [ASETT website](#).

Complaints related to the privacy and/or security provisions of HIPAA (for example, personally identifiable information is inappropriately shared) should be directed to the [Office for Civil Rights \(OCR\)](#).

#### **ASETT Capabilities**

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Once users are logged in, they may file a complaint for non-compliance, test transactions, check the status of an existing complaint, upload supporting documents, save a draft complaint and retract an existing complaint. Users can also file a complaint for non-compliance without registering in the ASETT system. However, users who opt to not register will not be able to track the progress of a complaint, save a draft complaint, or add supporting documentation to a complaint if filed as an unregistered user. To learn about how to file a complaint as an unregistered user, navigate to the [Filing a Complaint](#) section.



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## Getting Started: Account Registration Walkthrough

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Prior to creating an ASETT account, each potential user must complete the registration process within the CMS Identity Management (IDM) system and then request appropriate application roles to gain access to the tool. This registration method is designed to protect the security of users' information and collect needed information to process a complaint. The procedure is a quick 3-part process which consists of registering in IDM, requesting access to Salesforce, and requesting access to ASETT\*.

*\*If you have an Enterprise Portal account, your credentials will be migrated to IDM. If you have an IDM account, you may skip to Part 2.*

### Part 1 – CMS IDM Registration:

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

1. Go to the [IDM Sign In Page](#).
2. Select the **New User Registration** button below the **Sign In** fields.
3. On the CMS.gov IDM Self Service **Personal** information page, complete all mandatory fields.
4. Mark the checkbox that you Agree with our **Terms & Conditions**.
5. On the subsequent pages, enter your contact details, create your username, password, and security question and answer. Be sure to mark these down in a secure area during registration so you will have them for later use. Select the **Next** button.
6. Follow the screen prompts and the [CMS IDM User Guide](#).
7. After your personal information registration is complete, the system will log you out.

**Note:** For more information on registering in IDM, please review the [CMS IDM User Guide](#) found on the [CMS Identity Management](#) page.

### Part 2 – Complete Identity Proofing:

1. After registering within IDM, proceed to the **CMS IDM home page**.
2. On the **CMS IDM Sign In** page, enter your username and password, agree to the terms and conditions, and select the **Sign In** button.
3. The **IDM Self Service** screen will display with four tiles. Select the **Role Request** tile.
4. On the **Role Request** page, select **Salesforce** from the list in the **Select an Application** field.
5. Select **Salesforce user** from the **Select a role** drop-down list.
6. Agree to **Remote Identity Proofing (RIDP)** and complete the fields on the **Remote Identity Proofing** screen.
7. Select **Next**; the system will log you out.

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



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### Part 3 – Request a role:

1. On the **CMS IDM Sign In** page, enter your username and password, agree to the terms and conditions, and select the **Sign In** button.
2. On the next screen, the system will ask you to request a verification code.
3. Select the **Send me the code** button. The system will send a security code to your email address.
4. The **IDM page** will redisplay with a **Verification code** field.
5. Enter the code from the email you received and select the **Verify** button.
6. Add your **Business Contact** information to the screen.
7. When all the fields are complete, select the **Update Business Contact Information** button.
8. The **Role Request** page will display; enter your reason in the **Reason for Request** field.
9. Select the **Submit Role Request** button. A confirmation message with a Request ID number will display.
10. Select the **Back to Home** button or **Log Out** (found by hovering over your name in the upper right corner of the screen). An approval email will be sent to your email address.

### Part 4 – Request ASETT access:

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

1. On the **CMS IDM Sign In** page, enter your username and password, agree to the terms and conditions, and select the **Sign In** button.
2. 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.
3. The **Salesforce Enterprise Integration App Launcher** page will display.
4. Select the **App Store** button in the upper right corner of the screen.
5. The **Salesforce App Store** page will display, where you can request access to multiple CMS Salesforce applications as needed.
6. Select the **ASETT External** tile from the catalog of applications shown.
7. The **CMS App Listing** page will display the **Application Details** tab and the **Help Desk Information** tab.
8. The **Application** Description is prefilled.
9. Enter comments in the **Request Access** field select the **Send Request** button.
10. An **Application Request Confirmation** window will display. This indicates an email with information to access the application was sent to the address on file.

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



## Logging into ASETT

After you have requested a role for Salesforce in IDM and a role in ASETT in the Salesforce app launcher, you are ready to log into ASETT. A system-generated email will be sent to the address on file with instructions, the system URL and other information for how to access the ASETT application.

## Filing a Complaint

ASET T allows users to enter a complaint for violations that are specific to the HIPAA and ACA Transactions, Code Sets, Unique Identifiers, and Operating Rules. To file a complaint as an unregistered user, click on the **Get Started** button on the [ASET T Home Page](#). To file a complaint as a registered user, click on the **New Complaint** button at the middle of the Welcome page. Users will be required to fill out their complaint record with the following sequence of information:



Registered users may save a complaint at any time in the filing process. To retrieve a draft complaint, the user can click on the Draft Complaints button in the middle of the Welcome Page. Once complaints are submitted, users will be provided a complaint ID and instructions for the next steps. For more information and tips on how to file a complaint, download the ASET T User Manual available on the ASET T website.

## Testing Transactions

ASET T allows users to test transactions for compliance with the adopted standards. In order to use the test transaction tool, users must be logged into ASET T. Once logged in, users can click on the **Test HIPAA Transactions** button at the bottom of the Welcome page. Users will be prompted to select a transaction data file to upload. Once uploaded, a report will be generated to identify any errors in the file.

Users can run several tests to verify transactions, or they can run a test to provide evidence for any violations associated with a complaint. For more information on how to use the test transaction tool, download the ASET T User Manual available on the [ASET T website](#).

## Finding Help

The ASET T User Manual contains detailed steps on how to file complaints, test transactions, check the status of complaints, upload supporting documents, close or retract complaints, and many more tips. A copy can be downloaded by clicking on the User Manual from the main menu of ASET T.

Additionally, ASET T provides more information via Frequently Asked Questions (FAQs), Videos on the Enforcement Process, key terms, help pages, and helpdesk contact information.

Users may also submit an issue to the ASET T support staff by sending an e-mail to [hipacomplaint@cms.hhs.gov](mailto:hipacomplaint@cms.hhs.gov). Hours of operation are from 8:00 AM to 5:00 PM Eastern Time.