



Centers for Medicare & Medicaid Services

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

Introduction

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 very 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

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

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

**If you already have an Enterprise Portal account, skip to Part 2.*

Part 1 – CMS Enterprise Portal Registration:

1. Go to the [Enterprise Portal Home Page](#).
2. Click **New User Registration** on the top right hand side of the page.
3. Enter the identifying information on the **Your Information** page in all required text boxes. Required text boxes are marked by an asterisk “*”. Click **Next**.
4. Create a User ID and Password on the **Choose User ID and Password** page.
5. Choose challenge questions from the list of available options and create answers for each. Be sure to mark these down in a secure area during registration so you will have them for later use. Click **Next**.
6. You will see an Account Successfully Created Message informing you that a confirmation email has been sent to the address on file. Click **OK**.

For more information on registering in the Enterprise Portal, please review the [CMS Enterprise Identity Management \(EIDM\) User Guide](#).

Part 2 – Request a role in Salesforce:

7. After registering within the Enterprise Portal, proceed to the CMS Enterprise Portal home page and click **Request Access Now**.
8. Navigate to the Salesforce application within the **Access Catalog** screen displayed.
9. Click **Request Access**.
10. Select **Salesforce user** from the **Select a role** drop-down list. Click **Next**.
11. At this point, you will be required to register an MFA device if you have not already done so in the Enterprise Portal registration. Please reference the [CMS Enterprise Portal Quick Reference Guide](#) for more details on how to complete the MFA device registration process.
12. Once the MFA device registration is complete, an additional page will display asking for additional information about your company, address and phone number. Enter the identifying information on the page in all required text boxes. Required text boxes are marked by an asterisk “*”. Click **Next**.
13. The **Request New Application Access** page will display with a newly added Reason for Request text box. This text box is to provide the justification for submitting the request. Enter the reason, and click **Next**.
14. A **Request New Application Access Review** page will display, allowing any additional edits as needed before submitting. If no edits are needed, click **Submit**.



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15. An email will be sent to the address on file confirming access. After a few minutes, log out and log back into the Enterprise Portal. Once the access has been confirmed, a **Salesforce** tab will appear in the left hand corner of the page.
16. Click the **Salesforce** tab and click **Application**. This will take you to the Salesforce App Launcher page, where you can request access to multiple CMS Salesforce applications.

Part 3 – Request an external role in ASETT:

17. Navigate to the Salesforce App Launcher page if not there already. Click the **App Store** logo at the top of the page.
18. Select **ASETT** from the list of applications by either typing it into the ‘Search Apps...’ search bar or from the tiles.
19. Click the **ASETT External** tile. Application Details will display.
20. Click **Send Request** on the right hand side of the page.
21. A Request Details window will display. In the text box, provide the reason for the request – i.e., filing a complaint, testing a transaction – etc. Click **Send**.
22. An Application Request Confirmation window will display indicating that an email with information to access the application has been sent to the address on file. External roles are automatically approved.

Logging into ASETT

After you have requested a role for Salesforce in the Enterprise Portal 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 on how to access the ASETT application.

Filing a Complaint

ASETT 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 [ASETT 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 ASETT User Manual available on the [ASETT website](#).



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Testing Transactions

ASETT allows users to test transactions for compliance with the adopted standards. In order to use the test transaction tool, users must be logged into ASETT. 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 ASETT User Manual available on the [ASET](#) [website](#).

Finding Help

The ASETT 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 ASETT.

Additionally, ASETT 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 ASETT support staff by sending an e-mail to HIPAA support staff at hipaacomplaint@cms.hhs.gov. Hours of operation are from 8:00 AM to 5:00 PM Eastern Time.