Table of Contents

1. Introduction .............................................................................................................. 5
   1.1 Purpose ............................................................................................................ 5

2. Overview ................................................................................................................... 6
   2.1 Business Processes .......................................................................................... 6
   2.2 Conventions ...................................................................................................... 6
   2.3 Cautions and Warnings ..................................................................................... 7
   2.4 System Limitations ............................................................................................ 7
       2.4.1 File Size ...................................................................................................... 7
       2.4.2 File Type ..................................................................................................... 7

3. The ASETT Website Home Page ............................................................................. 8
   3.1 Accessing the Website ...................................................................................... 8
   3.2 Navigating the Website ................................................................................... 10
       3.2.1 Top Navigation Bar Links ...................................................................... 11
       3.2.2 Action Buttons .......................................................................................... 19
       3.2.3 Bottom Navigation Links ........................................................................ 21
   3.3 New User Registration .................................................................................... 24
       3.3.1 Multifactor Authentication ..................................................................... 26
       3.3.2 Role Request ............................................................................................ 27
       3.3.3 Remote Identity Proofing ........................................................................ 27
       3.3.4 Request a Role ......................................................................................... 28
       3.3.5 Request ASETT Access ........................................................................... 32
   3.4 Login ............................................................................................................... 35

4. Filing a Complaint as a Registered User ............................................................. 39
   4.1 Create an Electronic Complaint ...................................................................... 39
       4.1.1 Complaint Type Page ............................................................................... 40
       4.1.2 Complainant Details Page ........................................................................ 41
       4.1.3 Filed-Against Entity Details Page .............................................................. 42
       4.1.4 Complaint Details Page ............................................................................ 43
       4.1.5 Attach Support Documents ....................................................................... 43
       4.1.6 Add Notes ................................................................................................. 44
       4.1.7 Review Complainant Summary Page ....................................................... 46
       4.1.8 Review the Submitted Complaint Page .................................................... 47
       4.1.9 Saving a Draft ........................................................................................... 48
       4.1.10 Cancel a Complaint .................................................................................. 50
   4.2 Managing Complaints ..................................................................................... 51
       4.2.1 Attach Support Documents to a Submitted Complaint .............................. 51
       4.2.2 Add Notes to a Submitted Complaint ........................................................ 53
       4.2.3 View Draft Complaints ............................................................................. 55
       4.2.4 Close or Retract a Complaint .................................................................... 56
   4.3 Test HIPAA Transactions ................................................................................. 59
4.3.1 Enroll in the HIPAA Transaction Testing Tool ........................................... 59
4.3.2 HIPAA Transaction Testing ...................................................................... 64
4.3.3 Error Report .............................................................................................. 68

5. Filing a Complaint without Registering ............................................................... 70
  5.1 Get Started ..................................................................................................... 70
  5.2 Complaint Type Page ..................................................................................... 73
  5.3 Complainant Details Page .............................................................................. 74
  5.4 FAE Details Page ........................................................................................... 76
  5.5 Complaint Details Page .................................................................................. 78
  5.6 Reviewing the Complaint ............................................................................. 79
    5.6.1 Progress Bar .......................................................................................... 80
  5.7 Cancel Button ............................................................................................... 81

6. Troubleshooting and Support .............................................................................. 82
  6.1 Error Messages ............................................................................................ 82
    6.1.1 Data-Entry Errors ................................................................................. 82
    6.1.2 System Errors ....................................................................................... 83
  6.2 Support ......................................................................................................... 84

7. Appendix A: Record of Changes ........................................................................ 85

8. Appendix B: Glossary of Terms and Acronyms .................................................. 86

List of Figures

Figure 1 – ASETT Home Page .............................................................................. 9
Figure 2 – Top Navigation Bar ............................................................................. 10
Figure 3 – Home Link in Top Navigation Bar ....................................................... 11
Figure 4 – About ASETT Page ............................................................................. 12
Figure 5 – Expand the Topics ............................................................................ 13
Figure 6 – Contact Us Link ................................................................................ 14
Figure 7 – Support Options ............................................................................... 15
Figure 8 – ASETT Glossary Link ....................................................................... 15
Figure 9 – Glossary Page (Excerpt) ................................................................. 16
Figure 10 – Frequently Asked Questions Link .................................................... 16
Figure 11 – Frequently Asked Questions Page (Excerpt) .................................... 17
Figure 12 – User Manual Link .......................................................................... 17
Figure 13 – User Manual Page (Excerpt)....................................................................... 18
Figure 14 – Register Button.......................................................................................... 19
Figure 15 – Login Button ............................................................................................ 20
Figure 16 – Get Started Button..................................................................................... 21
Figure 17 – Home Link at Bottom of Page..................................................................... 22
Figure 18 – Privacy Policy Link.................................................................................... 22
Figure 19 – Privacy Policy (Excerpt)............................................................................ 23
Figure 20 – Security Policy Link.................................................................................. 23
Figure 21 – Security Policy Page.................................................................................. 24
Figure 22 – CMS IDM Sign In Page............................................................................. 25
Figure 23 – Personal Information Fields ...................................................................... 26
Figure 24 – IDM Self Service Screen........................................................................... 27
Figure 25 – Remote Identity Proofing Screen ............................................................... 28
Figure 26 – Request Security Code.............................................................................. 29
Figure 27 – Enter the Security Code............................................................................ 29
Figure 28 – Business Contact Information Fields........................................................... 31
Figure 29 – Reason for Request .................................................................................. 32
Figure 30 – App Launcher Page.................................................................................... 33
Figure 31 – Salesforce App Store.................................................................................. 33
Figure 32 – App Listing Page ...................................................................................... 34
Figure 33 - ASETT External User Access .................................................................... 35
Figure 34 – CMS IDM Sign In Page............................................................................. 35
Figure 35 – Request Security Code.............................................................................. 36
Figure 36 – Enter Verification Code............................................................................ 37
Figure 37 – ASETT Community Home Page ................................................................ 38
Figure 38 – Registered User Home Page .................................................................... 39
Figure 39 – Complaint Type Selection Page................................................................. 40
Figure 40 – Complainant Details Page ................................................................. 41
Figure 41 – Filed-Against Entity Details Page .................................................. 42
Figure 42 – Complaint Details Page .................................................................. 43
Figure 43 – Attachment Upload ........................................................................ 44
Figure 44 – Complaint Notes ............................................................................. 45
Figure 45 – Review Complainant Summary (Excerpt) ........................................ 46
Figure 46 – Complaint Submitted Message ...................................................... 47
Figure 47 – Complaint Overview Page ............................................................... 48
Figure 48 – Save Draft Button ........................................................................... 49
Figure 49 – Complaint Draft Saved ................................................................. 49
Figure 50 – Cancel Complaint Button ............................................................ 50
Figure 51 – Cancel Confirmation .................................................................... 51
Figure 52 – View Submitted Complaints Button ............................................. 52
Figure 53 – Submitted Complaints List .............................................................. 52
Figure 54 – View Submitted Complaints Button ............................................. 54
Figure 55 – Submitted Complaint List .............................................................. 54
Figure 56 – View Draft Complaints Button ..................................................... 55
Figure 57 – Draft Complaints List .................................................................... 56
Figure 58 – View Submitted Complaints .......................................................... 57
Figure 59 – Submitted Complaints List ............................................................ 57
Figure 60 – Close/Retract Complaint Button .................................................. 58
Figure 61 – Reason for Closure Page .............................................................. 58
Figure 62 – Complaint Marked for Closure .................................................... 59
Figure 63 – Test HIPAA Transactions Button ................................................ 60
Figure 64 – Test HIPAA Transactions Page ................................................... 61
Figure 65 – OTCS Portal Welcome Page .......................................................... 62
Figure 66 – Programs Available to Enroll Button .......................................... 63
Figure 67 – Select the Enroll Button for Self-Test Program ........................................... 63
Figure 68 – Enrollment Confirmation Option Buttons .................................................... 64
Figure 69 – Self Test Program Tile ............................................................................... 64
Figure 70 – OTCS Task Page ....................................................................................... 65
Figure 71 – HIPAA EDI Transaction File Upload ........................................................... 66
Figure 72 – Validate HIPAA EDI Transaction Page ...................................................... 66
Figure 73 – Transaction File Submission Available for Download .................................. 67
Figure 74 – Prevent Locking the Task ........................................................................... 67
Figure 75 – Log Out of OTCS Button ............................................................................ 68
Figure 76 – Download the Validation Response File ..................................................... 68
Figure 77 – Transaction File Error Report Download .................................................... 69
Figure 78 – Error Report (Excerpt) ................................................................................ 69
Figure 79 – Get Started Button ...................................................................................... 71
Figure 80 – File a HIPAA Complaint .............................................................................. 72
Figure 81 – Select Complaint Type ................................................................................ 73
Figure 82 – Complainant Details Page .......................................................................... 74
Figure 83 – FAE Details Page ....................................................................................... 76
Figure 84 – Complaint Details Page ............................................................................... 78
Figure 85 – Review the Complaint page (Excerpt) ......................................................... 79
Figure 86 – Success Message with Complaint Number .................................................. 80
Figure 87 – Progress Bar ............................................................................................... 81
Figure 88 – Cancel Button ............................................................................................. 81
Figure 89 – Complaint Error Message Display .............................................................. 82
Figure 90 – Sample System Error .................................................................................. 84
List of Tables

Table 1 – ASETT Business Processes................................................................. 6
Table 2 – Complaint Detail Error Messages (Example)........................................ 82
Table 3 – Record of Changes ........................................................................ 85
Table 4 – Glossary of Terms and Acronyms ................................................... 86
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>
<thead>
<tr>
<th>Business Process</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Complainant Registration</td>
<td>Prospective complainants can create user credentials for ASETT</td>
</tr>
<tr>
<td>Complaint Filing</td>
<td>Complainants can submit an electronic complaint and provide support for that complaint</td>
</tr>
<tr>
<td>Complaint Management</td>
<td>Registered users can check the status of a complaint or upload support documents. The complainant must have filed their complaint in the ASETT tool</td>
</tr>
<tr>
<td>Transaction Testing</td>
<td>Registered users can test a healthcare transaction for Administrative Standards compliance, with or without filing a complaint</td>
</tr>
<tr>
<td>Complaint Response</td>
<td>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</td>
</tr>
</tbody>
</table>

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.
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.

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.

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.

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

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

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

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)](image)

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](image)

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:

![Image of the ASETT Website Home 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**

![Image of the User Manual Link]

**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.

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

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

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.
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.
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.
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.

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).

The Security Policy link at the bottom of each page will take you to the Privacy Agreement 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.
On the CMS.gov IDM Self Service **Personal** information page, complete all mandatory 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](image)

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.
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.
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.

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

![Figure 33 – App Listing Page](image)

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.
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.

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](image)

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.
You are navigated to the **ASETT Community Home** page.
The ASETT Website Home Page

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.

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

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.

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.

Test HIPAA Transactions

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

- ASC X12 5010
- NCPD 0.0
- ICD-10 Diagnostic and Procedure codes
- Unique Identifiers

This tool can also validate code values against 30 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 acknowledgments to help identify and resolve errors.

Test HIPAA Transactions

---

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.

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
Filing a Complaint as a Registered User

- 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.

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.
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

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

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.

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.
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

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.
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.
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**.
Filing a Complaint as a Registered User

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.

Select the **View Draft Complaints** link on the page, under the **Complaints Draft Reference Number**.
Alternately, you may log in later and select the **View Draft Complaints** button. (See Section 4.2.3 **View Draft Complaints**).

### 4.1.10 Cancel a Complaint

A registered user can cancel their complaint entry at any time while filing a new complaint. Select the **New Complaint** button located on the ASETT Home Page. The system will display the **Complaint Type** page in a new window.

Select a **Complaint Type**.

![Figure 51 – Cancel Complaint Button](image)

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.
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.
Filing a Complaint as a Registered User

CMS

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 **ASSETT Welcome Page**.
Filing a Complaint as a Registered User

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

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

The system will display the Complaint Overview page (see Section 4.1.8 – Review the Submitted Complaint) for the selected complaint.
Select the **Add New Note** button in the **Supporting Files and Notes** section of the page.

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

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

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

Select the **Save** button.

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

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

### 4.2.3 View Draft Complaints

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

![Figure 57 – View Draft Complaints Button](image)

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

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.
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.
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 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.

![Test HIPAA Transactions Page](image)

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.

![Figure 66 – OTCS Portal Welcome Page](image-url)
On the Programs page, select the button in the top right corner **Programs Available to Enroll**.

![Figure 67 – Programs Available to Enroll Button](image)

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](image)
Select the **Confirm** button when prompted.

![Figure 69 – Enrollment Confirmation Option Buttons](image)

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](image)

### 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.

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](image)

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

![Figure 73 – Validate HIPAA EDI Transaction Page](image)

**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.
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.

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

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

![Error Report](image)

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

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

Complete the required fields, marked with a red asterisk "*" at the end of the field name.
Select the **Filed Against Entity Information** button at the bottom of the page.
The system will display the **FAE Details** page.
5.4 FAE Details Page

Figure 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

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

![Reviewing the Complaint](image)

**Complaint Details**
- Complaint Type
- Complaint Subject
- Complaint Description
- Incident occurred date

**Complainant Details**
- Complainant Organization Name
- Complainant First Name
- Complainant MI
- Complainant Last Name
- Complainant Address Line 1

**FAE Details**
- FAE Organization Name
- FAE Contact First Name
- FAE Contact MI
- FAE Contact Last Name
- FAE Address Line 1

---

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.

![Figure 87 – Success Message with Complaint Number](image)

### 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.

![Errors](image)

**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)**

<table>
<thead>
<tr>
<th>Location</th>
<th>Error Message</th>
</tr>
</thead>
<tbody>
<tr>
<td>Complaint Type</td>
<td>Select a Complaint Type from the Complaint Type list</td>
</tr>
<tr>
<td>Complainant Details</td>
<td>Select whether to remain anonymous in the Anonymous question</td>
</tr>
<tr>
<td>Complainant Details</td>
<td>Enter the Complainant Organization Name in the Complainant Organization Name field</td>
</tr>
</tbody>
</table>
## 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.
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.
7. **Appendix A: Record of Changes**

<table>
<thead>
<tr>
<th>Version Number</th>
<th>Date</th>
<th>Author/Owner</th>
<th>Description of Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.3</td>
<td>4/20/2020</td>
<td>Nancy May</td>
<td>Complete update: new screen prints, reformat manual, update chapter arrangement, added</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>new Help Desk contact email</td>
</tr>
<tr>
<td>4/24/2020</td>
<td></td>
<td>Orlando Clarke</td>
<td>Quality Check</td>
</tr>
<tr>
<td>4/29/2020</td>
<td></td>
<td>Nancy May</td>
<td>QC edits, Section 508 compliance edits</td>
</tr>
<tr>
<td>3.0</td>
<td>6/5/2020</td>
<td>Nancy May</td>
<td>Final for upload to ASETT Home Page</td>
</tr>
<tr>
<td>4.0</td>
<td>2/19/2021</td>
<td>Nancy May</td>
<td>Revised for new IDM registration process</td>
</tr>
<tr>
<td>4.1</td>
<td>3/5/2021</td>
<td>Nancy May</td>
<td>Updated with 508 compliance edits</td>
</tr>
<tr>
<td>5.0</td>
<td>6/30/2023</td>
<td>Nancy May</td>
<td>Updated with new Test Transaction enrollment and testing steps.</td>
</tr>
</tbody>
</table>
| 5.1            | 10/27/2023 | Nancy May        | Updates to New User Registration for revised Remote Identity Proofing process implemented by IDM on 8/15/2020
# Appendix B: Glossary of Terms and Acronyms

## Table 4 – Glossary of Terms and Acronyms

<table>
<thead>
<tr>
<th>Term</th>
<th>Acronym</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>.dat</td>
<td>N/A</td>
<td>A data file.</td>
</tr>
<tr>
<td>.docx</td>
<td>N/A</td>
<td>A Microsoft Office Word document.</td>
</tr>
<tr>
<td>.pdf</td>
<td>N/A</td>
<td>A multi-platform document created by Adobe Acrobat.</td>
</tr>
<tr>
<td>.txt</td>
<td>N/A</td>
<td>A text file.</td>
</tr>
<tr>
<td>.xlsx</td>
<td>N/A</td>
<td>A Microsoft Office Excel spreadsheet.</td>
</tr>
<tr>
<td>.zip</td>
<td>N/A</td>
<td>An archive that contains one (1) or more compressed files.</td>
</tr>
<tr>
<td>Administrative Simplification</td>
<td>N/A</td>
<td>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.</td>
</tr>
<tr>
<td>Administrative Simplification Enforcement and Testing Tool</td>
<td>ASETT</td>
<td>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.</td>
</tr>
<tr>
<td>Affordable Care Act</td>
<td>ACA</td>
<td>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.</td>
</tr>
<tr>
<td>Corrective Action Plan</td>
<td>CAP</td>
<td>A CAP is an organized approach to resolving a problem using data analysis, program analysis, corrective action planning, implementation, evaluation, and monitoring.</td>
</tr>
<tr>
<td>Electronic Data Interchange</td>
<td>EDI</td>
<td>EDI refers to the computer-to-computer exchange of structured information, by agreed message standards, from</td>
</tr>
<tr>
<td>Term</td>
<td>Acronym</td>
<td>Definition</td>
</tr>
<tr>
<td>-------------------------------------------</td>
<td>---------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>one (1) computer application to another by electronic means and with a minimum of human intervention.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Filed-Against Entity</td>
<td>FAE</td>
<td>The HIPAA-covered entity that is alleged to be in violation of the HIPAA/ACA standards for electronic data interchange transactions.</td>
</tr>
<tr>
<td>Health Insurance Portability and Accountability Act</td>
<td>HIPAA</td>
<td>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.</td>
</tr>
<tr>
<td>Onboarding, Testing, and Cloud Services</td>
<td>OTCS</td>
<td>A tool provided by Edifecs to validate HIPAA transaction files used in the healthcare industry.</td>
</tr>
</tbody>
</table>