Centers for Medicare & Medicaid Services

Administrative Simplification Enforcement and Testing Tool (ASETT) Frequently Asked Questions

Introduction

The Administrative Simplification Enforcement and Testing Tool (ASETT) is a web-based application, which enables individuals or organizations to file a complaint against a HIPAA-covered entity (which includes health care providers, health plans, and clearinghouses) for potential non-compliance with the HIPAA adopted transactions, code sets, unique identifiers, and operating rules. The complaint resolution process is enforced by the Centers for Medicare & Medicaid Services (CMS) on behalf of the Department of Health and Human Services (HHS).

This document addresses many common issues and questions that may arise while using the ASETT system. It is based on numerous enforcement-related activities and previous feedback.

Frequently Asked Questions (FAQ)

1. **I am an existing ASETT user. Will I need to request a role within ASETT again?**
   The application has been upgraded. This major upgrade changed the protocols for accessing CMS applications. If you have not accessed your ASETT account in six (6) months, your account may not be active. As a result, you may need to reset your access with CMS' IDM system and request a role within ASETT again to gain access to the system. For more detailed instructions, please refer to the User Manual under the Support tab on the ASETT Home Page.

2. **Who should I contact for registration, user account, and password related issues?**
   For assistance with registering in ASETT and/or logging into your ASETT account, contact the ASETT Helpdesk at (703) 951-6810, or email ASETTHelpdesk@religroupinc.com.

3. **Can I file a complaint without an account?**
   Yes. To file a complaint without registering, select the **Get Started** button on the ASETT Home Page. However, without an account, you are unable to view your complaint after it is submitted, upload supporting documents, correspond electronically, or test transactions for HIPAA violations.

   To ensure that any Personally Identifiable Information (PII) or Protected Health Information (PHI) is secure, we recommend that you create an account. Any supporting documents submitted to the National Standards Group (NSG) through other means such as the HIPAA mailbox are subject to the HIPAA Security Rule and other applicable federal regulations.

4. **Who should I contact for ASETT technical assistance or questions when filing a complaint?**

   You can contact a Helpdesk representative at (703) 951-6810. Email inquiries can be sent to the ASETT helpdesk mailbox at ASETTHelpdesk@religroupinc.com.

5. **Why was I logged out after stepping away from my computer?**

   As a security precaution, the system will log users out of the application after 15 minutes of inactivity. To log back into your account, please log in through the ASETT Home Page.

6. **Who should I contact for general HIPAA/ACA inquiries**?

   Send an email to the HIPAA complaint mailbox at hipaacomplaint@cms.hhs.gov.

7. **Where can I go to get additional information regarding the HIPAA/ACA regulations?**

   For additional information, visit the CMS Administrative Simplification website at CMS website.

8. **How will I know the status of my complaint?**

   Upon submitting a complaint in ASETT, you will receive correspondence from the National Standards Group (NSG) via U.S. mail within 30 days regarding the status of the complaint. We may also attempt to communicate with all parties via telephone and/or email. For specific inquiries related to your complaint, email the HIPAA complaint mailbox at hipaacomplaint@cms.hhs.gov.

9. **How do I manage my complaint once it has been submitted?**

   Once a complaint is submitted, log into ASETT at any time to upload additional documents to support your complaint, add notes, and/or check the status of your complaint. Please note, all complaint management functionalities listed are only available with an account, but users can email the HIPAA complaint mailbox with additional documentation or follow-up communication at hipaacomplaint@cms.hhs.gov.

10. **Can I use ASETT to file a complaint if I believe the privacy of my health information has been compromised?**

    No. You should file a Privacy/Security complaint with the Office for Civil Rights (OCR). Complaints filed in ASETT regarding privacy or security issues will not be investigated by the National Standards Group (NSG) and will be referred to OCR for proper processing. To learn more about how to file a security and privacy complaint, visit the OCR website at Office for Civil Rights.

11. **How long will it take for my complaint to be resolved?**

    A complaint investigation involves a number of steps, so the amount of time for resolution can vary. A brief overview of the process follows:

    a. CMS investigates the validity of the complaint to determine if it is a HIPAA/ACA national standards violation.
    b. CMS notifies the complainant and the filed-against entity of next steps and may request additional information.
    c. The filed-against entity has 30 days to respond to the allegation(s).
    d. CMS evaluates the filed-against entity's response.
    e. CMS may require corrective action from the filed-against entity.

Depending on the solution to resolve the complaint, time may be needed for system changes. CMS will evaluate and confirm with the complainant whether compliance has been achieved by the filed-against entity before the complaint is closed.

12. **Can I test my transactions to verify if they are HIPAA compliant?**
Yes. The ability to test a transaction requires a registered ASETT account but is separate from filing a complaint. A user does not have to file a complaint to test a transaction.

13. **Can I submit a paper complaint?**
Yes. At the CMS website, you can download the HIPAA Non-Privacy Complaint Form and send the completed form to the HIPAA complaint mailbox at hipaacomplaint@cms.hhs.gov, or mail the complaint to:

> Centers for Medicare & Medicaid Services (CMS)
> HIPAA Enforcement, S2-25-15
> Attn: National Standards Group (NSG)
> P.O. Box 8030
> Baltimore, MD 21244-8030

Please note, if a paper complaint is submitted, you will be unable to view the complaint. Also, you will not be able to upload supporting documents, correspond electronically, or test transactions.

14. **Is there a user manual available?**
Yes. A comprehensive user manual is available under the Support tab on the ASETT Home Page.

15. **What information is required when I file a complaint?**
Required information will be identified with a red asterisk (*) and must be provided before a complaint can be submitted.

16. **What file types are acceptable when testing transactions?**
When testing transactions, acceptable file types are: .dat, .docx, .pdf, .txt, .xlsx, or .zip.