



CENTERS FOR MEDICARE & MEDICAID SERVICES

DATE: October 9, 2018

TO: All Medicare Advantage, Cost, PACE, Demonstration, and Prescription Drug Plan Organizations

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SUBJECT: Upcoming Complaints Tracking Module Updates

The Complaints Tracking Module (CTM), housed in the Health Plan Management System (HPMS), has been an invaluable system over the last 10 years allowing CMS and plans to manage a variety of beneficiary and provider issues, both securely and efficiently. On November 2, 2018, CMS will provide an update to the CTM that affects all plan users.

- To better aid CMS and plan users with tracking how resolutions are communicated to complainants, there will be a new field on the resolution screen called “Resolution Notification?” that will be a required field upon resolving a complaint.
- Changes have been made to Plan Casework Upload File Record Layout and the Plan Download File Record Layout to reflect the Resolution Notification field (see **Attachment A** and **Attachment B**).

As a reminder, to obtain access to HPMS, you must follow the instructions found at <https://www.cms.gov/Research-Statistics-Data-and-Systems/Computer-Data-and-Systems/HPMS/UserIDProcess.html>. Note that it is important to adhere to all instructions as provided on this page to ensure timely processing of your user ID request.

Once a new user is notified of their HPMS access, an e-mail must be sent to HPMS_Access@cms.hhs.gov to request CTM access. The e-mail’s subject line should read “CTM Access Request” and the message should contain the user ID.

As an additional reminder, a user must change their CMS password every 60 days, and complete their Computer Based Training (CBT) and recertification annually or risk having their user ID revoked and ultimately deleted. When a user ID is deleted, the user must submit a request for a new ID.

For technical assistance with the HPMS CTM, please contact the HPMS Help Desk at either 1-800-220-2028 or hpms@cms.hhs.gov. For general questions about complaint handling and casework operating procedures, please contact your plan's Lead Caseworker and/or Account Manager.

Thank you for your continued work and support in complaints resolution.

Appendix A – Plan Casework Upload File Record Layout

CTM Plan Casework Upload File Record Layout

- ASCII tab-delimited text file is the required file format.
- Do NOT include a header record.
- The file name extension should be ".TXT"
- Upload the data according to the record layout provided below. Only the listed data (Field Name) will be uploaded.
- Casework Note entered becomes the Resolution Summary if the complaint is currently being resolved.
- Only the Casework Notes and Comments fields are read if the complaint is already resolved.

Record Layout				
Field Name	Field Type	Field Length	Field Description	Sample Field Value(s)
Complaint ID	CHAR REQUIRED	11	Complaint ID assigned by HPMS CTM. The complaint ID must already exist in HPMS CTM.	C1600999999
Casework Notes	CHAR REQUIRED	4,000	Summary description regarding the complaint and its resolution. Only include new notes. Any notes already entered in the HPMS CTM should not be included in the upload. Please note: if the user is resolving the complaint the Casework Note becomes the Resolution Summary.	Casework Note
Resolve Complaint Y/N	CHAR REQUIRED	1	Enter Y if the complaint should be resolved. Enter N if the complaint should remain open.	Y
Comments	CHAR OPTIONAL	4,000	If desired, provide any notes that CMS should see when performing their casework. Otherwise, leave this field blank.	Comments
Complainant Satisfied?	CHAR CONDITIONAL	1	If Y is entered into the Resolve Complaint Y/N field, then this field must be non-missing. Enter N to indicate No; enter Y to indicate Yes; enter U to indicate Unknown/Unable to	U

Record Layout				
Field Name	Field Type	Field Length	Field Description	Sample Field Value(s)
			Reach. This field must be blank or U if N is entered into the Resolve Complaint Y/N field.	
HPI Related?	CHAR CONDITIONAL	1	If Y is entered into the Resolve Complaint Y/N field, then this field must be non-missing. Enter N to indicate No; enter Y to indicate Yes; enter U to indicate Unknown/Unsure	Y
Resolution Notification	CHAR CONDITIONAL	1	If Y is entered into the Resolve Complaint Y/N field, then this field must be non-missing. Enter the Resolution Notification type, used to communicate with the user. Example: If an email, fax, letter or any other electronic communication was sent to the user, enter the value 2, (or) if the user was never notified, enter value 4. Enter the corresponding digit for the following: 0. Unknown 1. Telephone 2. Written 3. Telephone and Written 4. None This field must be 1, 2 or 3, if Y or N is entered into the Complainant Satisfied field.	3

Appendix B – Plan Download File Record Layout

CTM Plan Download File Record Layout

File is tab-delimited text, with one record per line.

Record Layout	
Field Name	Field Description
COMPLAINT_ID	HPMS CTM Complaint ID Exact length = 11
RECEIVED_DATE	Complaint Received Date Maximum length = 10
CASEWORKER	Name of Caseworker Maximum length = 70
COMPLAINT_TYPE	Beneficiary or Provider Maximum length = 11
CONTACT_FNAME	Contact First Name Maximum length = 50
CONTACT_LNAME	Contact Last Name Maximum length = 50
CONTACT_PHONE	Contact Phone Number Maximum length = 50
CONTRACT_ID	Contract ID Exact length = 5
CATEGORY_LEAD	CMS or Plan Maximum length = 4
COMPLAINT_CATEGORY	Complaint Category Maximum length = 250
COMPLAINT_SUBCATEGORY	Complaint Subcategory Maximum length = 250
COMPLAINT_SUBCAT_OTHER	Complaint Subcategory Description Other Maximum length = 400
COMPLAINT_SUMMARY	Complaint Summary Maximum length = 4,000
RESOLUTION_DATE	Complaint Resolution Date Maximum length = 10

Record Layout	
Field Name	Field Description
RESOLUTION_SUMMARY	Complaint Resolution Summary Maximum length = 4,000
ISSUE_LEVEL	Issue Level Description Maximum length = 100
BENE_IDENTIFIER	Health Insurance Claim Number/Medicare Beneficiary Identifier Maximum length = 13
ALT_PHONE	Alternate Phone Number Maximum length = 50
PREFERRED_CALL_TIME	Preferred Call Back Time Maximum length = 250
PREFERRED_LANGUAGE	Preferred Language Maximum length = 50
SPECIAL_INTEREST	Special Interest Yes/No Maximum Length = 3
ASSIGNMENT/REASSIGNMENT_DATE	Date Current Contract was Assigned/Reassigned to the Complaint Maximum length = 10
COMMENTS	CMS, Plan, and System- generated Comments Maximum length = 4,000
PLAN_CASEWORK_NOTES	Plan Casework Notes Maximum length = 4,000
ATTACHMENTS_YN	Attachments Indicator Yes/No Maximum length = 3
CONTACT_PLAN_BEFORE_COMPLAINT_ENTERED	Did the complainant contact the plan before the complaint was entered? Yes/No Maximum length = 3
CONTRACT_CHANGE_REQUESTS	Contract Change Request Indicator Value: blank, Pending, Approved, Rejected Maximum length = 8
ISSUE_LEVEL_CHANGE_REQUESTS	Issue Level Request Indicator Value: blank, Pending, Approved, Rejected Maximum length = 8
CMS_ISSUE_CHANGE_REQUESTS	CMS Issue Change Request Indicator Value: blank, Pending, Approved, Rejected

Record Layout	
Field Name	Field Description
	Maximum length = 8
COMPLAINANT_SATISFIED	Was the complainant satisfied by the outcome of the resolution? Value: Unknown/Unable to Reach, No, Yes Maximum length = 23
RESOLUTION_NOTIFICATION	Resolution Notification type, used to communicate with the user. Value: Unknown, Telephone, Written, Telephone and Written, None Maximum length = 21
HPI_RELATED	Is this HPI Related? Value: Unknown/Unsure, No, Yes Maximum length = 14