
HEALTH PLAN MANAGEMENT SYSTEM
MEDICARE ADVANTAGE & PART D PROGRAM
COMPLAINTS TRACKING MODULE
USER'S MANUAL
(PLAN VERSION)

MAY 15, 2006

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INTRODUCTION

The Centers for Medicare & Medicaid Services (CMS) Health Plan Management System (HPMS) supports the Complaints Tracking Module (CTM) system for tracking and processing complaints received from beneficiaries and providers specifically related to the Part D Medicare Prescription Drug Program. As part of the complaint resolution process, the CTM provides the **Plan Resolution** functionality for the participating Part D Medicare Prescription Drug Program organizations. This functionality allows the users (plan/account managers) to access, view, respond, and resolve the Part D complaint(s) submitted to their organizations.

This document serves as a technical user's manual for accessing the HPMS, navigating through the CTM, and performing the following Plan Resolution functions:

- Access Complaints;
- View Complaints;
- Edit Complaints;
- Respond Actions-Taken to Complaints; and
- Resolve Complaints.

GETTING STARTED

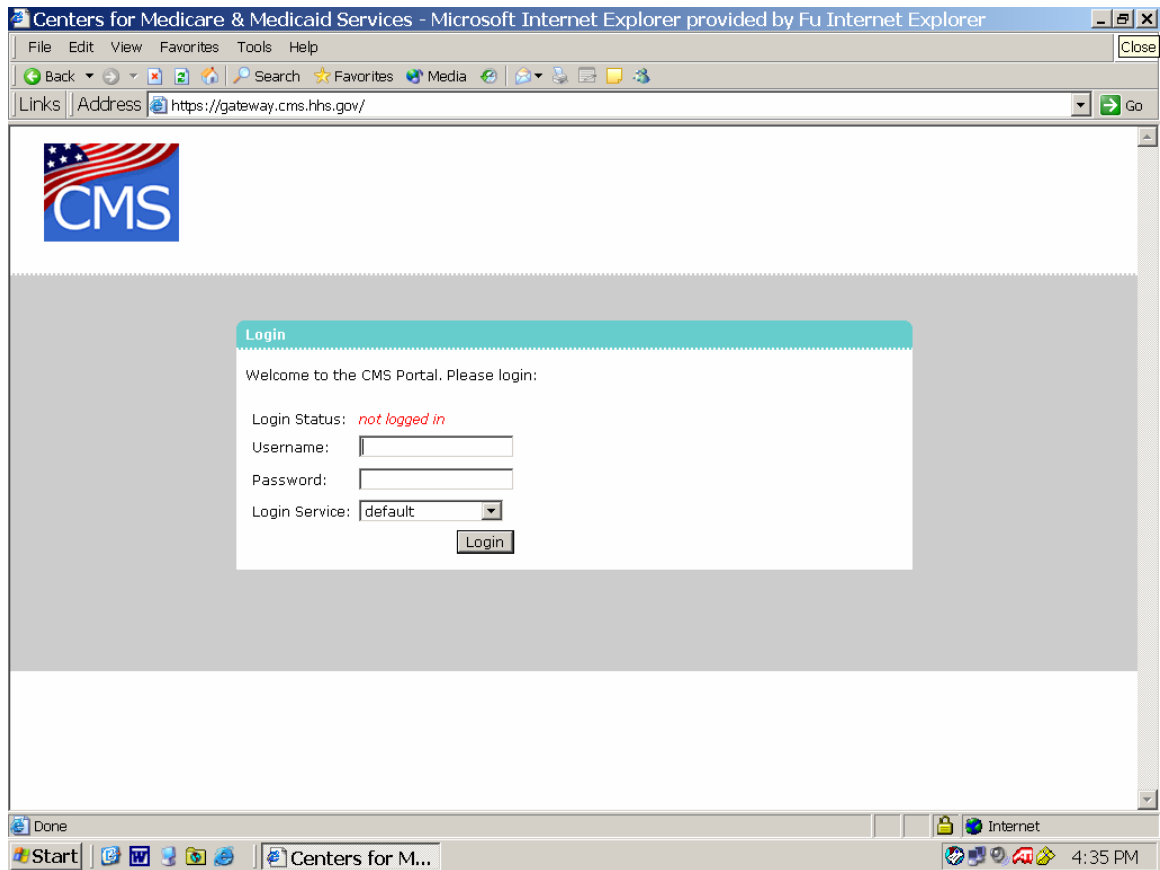
The HPMS CTM operates on an AT&T Global Network Services (AGNS)-based Extranet that is accessed via Internet using a Secure Sockets Layer (SSL) Virtual Private Network (VPN). All HPMS users with a valid CMS-issued HITS User ID and password can log into the HPMS. The CTM resides on the AGNS and the URL for the CMS SSL VPN portal is gateway.cms.hhs.gov.

Note: The HPMS CTM continues to be accessible by dial-up or T1/leased line via the Medicare Data Communications Network (MDCN). The URL for MDCN access is <http://32.91.239.68>.

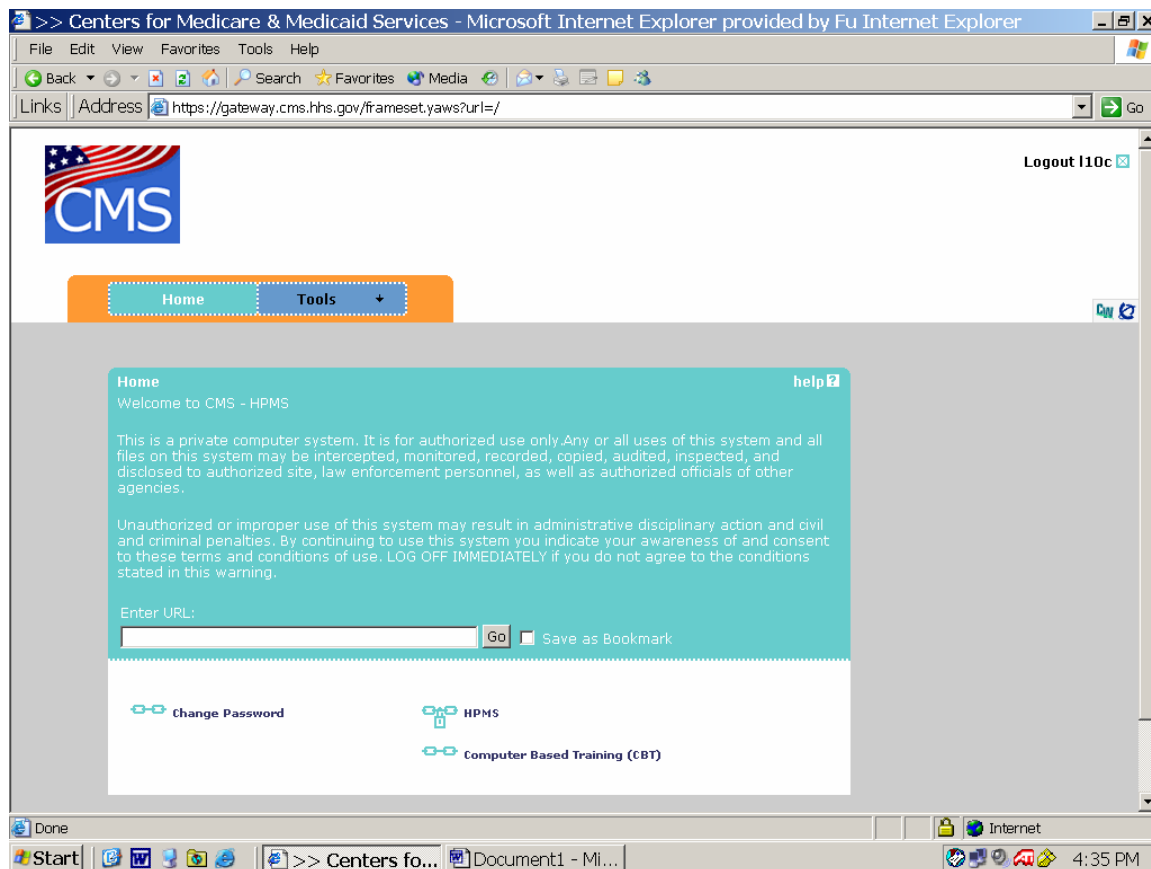
Please contact your system administrator to access the AGNS network if the connection is not available.

Step 1: Open the web browser (e.g., Internet Explorer) and enter the CMS SSL VPN gateway address gateway.cms.hhs.gov in the Address field.

Step 2: Log on with a valid CMS-issued HITS User ID and Password. (Screen below)



Step 3: Select “Login” to access the SSL VPN portal page. (Screen below)



Step 4: Select the “HPMS” link from the SSL VPN portal page to access the **HPMS Home** page. (Screen below)

HPMS Health Plan Management System Home | Help

Plan Bids
ACRP
Contract Management
MCO Contracts
Enrollment Closures
Monitoring
Drug Card
Quality and Performance
Risk Adjustment
Cost Reports

Change HPMS Password
Log Off HPMS

This is a U.S. Government computer system subject to Federal law.

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Hello HPMS MCO Organization !

In the News

- **09/14/2006** Release of MPPF update.
- **08/31/2006 - 09/01/2006** MPPF plan preview period for September 14 update.
- **08/31/2006** Release of MPPF update.
- **08/17/2006** Release of MPPF update.
- **08/07/2006** MPPF plan preview period for August 17 update.
- **06** Release of MPPF update.
- **07/10/2006** MPPF plan preview period for July 20 update.
- **06** Release of MPPF update.
- **06/05/2006** MPPF plan preview period for June 15 update.
- **06** Release of MPPF update.
- **06** [Memo](#) re: informational package on premium withholding process.
- **06** [Medicare Advantage Audit Guide Version 4](#)
- **05/09/2006** Part C & D Weekly [Bulletin](#) for 5/9/2006, supporting [documents](#), and [Entel attachment](#).
- **05/08/2006** Part C & D Weekly [Bulletin](#) for 5/5/2006 and supporting [documents](#).
- **05/05/2006** Updated: [List](#) of EOB Transfer Contact Information in HPMS.
- **05/05/2006 - 05/08/2006** MPPF plan preview period for May 18 update.
- **05/04/2006** [Memo](#) re: MARx May payment.
- **05/02/2006** [Memo](#) re: contingency planning for the May 15 Initial Enrollment Period (IEP) deadline.
- **05/02/2006** [Memo](#) re: ensuring that beneficiary elections prevail over facilitated enrollments into PDPs.
- **04/28/2006** [List](#) of EOB Transfer Contact Information in HPMS.
- **04/28/2006** [Memo](#) re: Special Transaction Reply Reports (TRRs).
- **04/27/2006** [Memo](#) re: formulary changes during the plan year.
- **04/26/2006** Part C & D Weekly [Bulletin](#) for 4/24/2006 and supporting [documents](#).
- **04/20/2006** [Memo](#) re: the public release of Part D plan enrollment data.
- **04/20/2006** [Memo](#) re: CY 2007 PBP software enhancement.

Click here for the [archived in the News](#) items.

[Website Accessibility](#) | [HPMS Web Policies](#)

Step 5: Select “Monitoring” from the left-hand side menu bar. By ‘rolling over’ the “Monitoring” title with a mouse, the user is able to select **Complaints Tracking** to access the **Complaints Tracking Functionality – Plan Resolution** page. (Screen below)

HPMS Health Plan Management System Home | Help

Plan Resolution

Complaints Tracking Functionality

You have access to the following Complaints Tracking functionality in HPMS:

- Complaints Tracking Module Plan Resolution

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If you have any questions on accessing the CTM, please contact Don Freeburger at 410-786-4586 or don.freeburger@cms.hhs.gov.

PLAN RESOLUTION - ACCESS

The CTM provides the **Plan Resolution** functionality that allows the user (plan/account managers) to view, respond, and resolve the Part D complaint(s). The user can perform the functions by a selected Complaint ID/Contract, Time Period, and Plan Resolution Status. The Plan Resolution Status criteria also allow the user to generate and view the complaints by the open, closed, and both (open and closed) complaints.

Step 1: Select **Plan Resolution** from the **Complaints Tracking Functionality** page. (Screen below)



Step 2: Select the selection criteria options (Complaint ID or Contract, Time Period, and Plan Resolution Status) from the **Plan Resolution Criteria** page. (Screen below)

Complaints Tracking - Plan Resolution

Plan Resolution Criteria

Complaint ID:

OR

Contract:
Other
Unknown
H3935 - 1040J
R4925 - 222

Time Period:

Plan Resolution Status:

Open
 Closed
 Both

Go To: [MA/Part D Complaints Tracking Start Page](#)

PLAN RESOLUTION STATUS – OPEN

The **Plan Resolution** function provides a capability for the user to generate and view the Part D complaints by the “Plan Resolution Status” selection. The user can generate, view and/or edit the complaints by the “Open” complaint cases.

Step 1: Select the “Open” option from the “Plan Resolution Status” on the **Plan Resolution Criteria** page to access the open complaints. (Screen below)

Complaints Tracking - Plan Resolution

Plan Resolution Criteria

Complaint ID:

OR

Contract:

Select All
Other
Unknown
H3935 - 1040J
R4925 - 222

Time Period:

Plan Resolution Status:

- Open
 Closed
 Both

Go To: [MA/Part D Complaints Tracking Start Page](#)

Step 2: Click on the “Submit” button to generate and view the **Complaint Select** page by the open complaints. (Screen below)

Note: The user may sort the complaints by: Complaint ID; Category; Beneficiary or Provider; Issue Level; or Date.

Complaints Tracking - Plan Resolution

Complaint Select

Selected Report Criteria

Contract: All
Time Period: DEC 2005
Plan Resolution Status: Open

Select One of the Following Options:

ID	Category	Beneficiary or Provider	Issue Level	Date	
C0500001902	Benefits/Access	Beneficiary	N/A	12/1/2005	View Edit
C0500001826	Benefits/Access	Beneficiary	N/A	12/6/2005	View Edit
C0500001855	Enrollment/Disenrollment	Beneficiary	N/A	12/6/2005	View Edit
C0500001854	Enrollment/Disenrollment	Beneficiary	N/A	12/6/2005	View Edit
C0500001856	Customer Service	Beneficiary	N/A	12/6/2005	View Edit
C0500001903	Benefits/Access	Beneficiary	N/A	12/8/2005	View Edit
C0500001893	Benefits/Access	Beneficiary	N/A	12/8/2005	View Edit
C0500001905	Benefits/Access	Beneficiary	N/A	12/8/2005	View Edit

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Go To: [MA/Part D Complaints Tracking Start Page](#)

Step 3: Select the “View” option from the **Complaint Select** page to access and view the **Plan Resolution – View Complaint Data** pop-up page. (Screen below)

Complaint Tracking

Plan Resolution - View Complaint Data

Part D Complaint

Complaint ID:	C0500001826
Date Complaint Received:	12/6/2005
Date of Incident:	
Complaint Source:	Phone
Caseworker:	Regional Number1
Is this complaint controlled in CIS:	No
Is this complaint on behalf of a beneficiary or provider?	Beneficiary
Issue Level	
Press or Hill Interest	

Complainant Information

Complainant: Beneficiary
Name: john baskus
Organization: us script
Address 1: 1215 northrup way
Address 2:
City:
State: ZIP Code:
Phone: 2066152700
E-Mail:

Beneficiary Information:

Name: john baskus
Organization: us script
Address 1: 1215 northrup way
Address 2:
City:
State: ZIP Code:
Phone: 2066152700
E-Mail:

Eligibility

Full Dual Eligible ?
LIS Eligible ?

Complaint Against Pharmacy

Is this a complaint against a pharmacy?

Go To: [MA/Part D Complaints Tracking Start Page](#)

Step 4: Select the “Edit” option from the **Complaint Select** page to respond and/or resolve the complaints on the **Plan Response** page. (Screen below)

HPMS Health Plan Management System Home | Help

Complaints Tracking - Plan Resolution

Plan Response

Complaint ID: C0500001826

CMS Notes to Plan:

You are the plan. I am the note, from CMS. :-> --mp 4/11/2006 test data

Previous Plan entry:

Currently, there are no plan resolution entries for this complaint.

Current Entry

Does the plan believe this complaint is resolved?

No Yes

Plan Resolution Date (MM/DD/YYYY):

Go To: [MA/Part D Complaints Tracking Start Page](#)

The description of the data entry fields is provided below to assist the user to complete the **Plan Response** page.

- **Complaint ID:** The identification number of the complaint field.
- **CMS Notes to Plan:** The description field that provides CMS notes to the Plans (plan/account manager).

- **Previous Plan Entry:** The date/time and description fields. All previous entries on the **Plan Response** page are displayed in this section to provide a history of the complaint's entries.
- **Current Entry:** The description field for the user to respond to CMS and/or enter comments.

Note: When the information is saved and re-opened, the current entry will appear under the Previous Plan Entry field with the date and time of the entry.

- **Does the plan believe this complaint is resolved?:** Select “Yes” or “No” to indicate the status.
- **Resolution Date (MM/DD/YYYY):** The date field to enter if “Yes” is selected from the “Does the plan believe this complaint is resolved?”

Step 5: Select the “Submit” button to save the information.

PLAN RESOLUTION STATUS – CLOSED

The user has the option to view the Part D complaints by the “Closed” complaint cases. For closed complaint cases, only the “View” option is available to the user.

Step 1: Select the “Closed” option from the “Plan Resolution Status” on the **Plan Resolution Criteria** page to access and view all closed complaints. (Screen below)

Complaints Tracking - Plan Resolution

Plan Resolution Criteria

Complaint ID:

OR

Contract:

Select All
Other
Unknown
H3935 - 1040J
R4925 - 222

Time Period:

May	2006
-----	------

Plan Resolution Status:

- Open
 Closed
 Both

Go To: [MA/Part D Complaints Tracking Start Page](#)

Step 2: Select the “Submit” button to generate and view the **Complaint Select** page by the closed complaints. (Screen below)

Note: The user may sort the complaints by: Complaint ID; Category; Beneficiary or Provider; Issue Level; or Date.

Complaints Tracking - Plan Resolution

Complaint Select

Selected Report Criteria

Contract: All
Time Period: DEC 2005
Plan Resolution Status: Closed

Select One of the Following Options:

ID	Category	Beneficiary or Provider	Issue Level	Date	
C0500001902	Benefits/Access	Beneficiary	N/A	12/1/2005	<input type="button" value="View"/>
C0500001944	Benefits/Access	Beneficiary	Urgent	12/9/2005	<input type="button" value="View"/>
C0500001940	Benefits/Access	Beneficiary	N/A	12/9/2005	<input type="button" value="View"/>
C0500001957	N/A	Provider	N/A	12/9/2005	<input type="button" value="View"/>

Go To: [MA/Part D Complaints Tracking Start Page](#)

Step 3: Select the “View” option from the **Complaint Select** page to access and view the **Plan Resolution – View Complaint Data** page.

Complaint Tracking

Plan Resolution - View Complaint Data

Part D Complaint

Complaint ID:	C0500001826
Date Complaint Received:	12/6/2005
Date of Incident:	
Complaint Source:	Phone
Caseworker:	Regional Number1
Is this complaint controlled in CIS:	No
Is this complaint on behalf of a beneficiary or provider?	Beneficiary
Issue Level	
Press or Hill Interest	

Complainant Information

Complainant: Beneficiary
Name: john baskus
Organization: us script
Address 1: 1215 northrup way
Address 2:
City:
State: **ZIP Code:**
Phone: 2066152700
E-Mail:

Beneficiary Information:

Name: john baskus
Organization: us script
Address 1: 1215 northrup way
Address 2:
City:
State: **ZIP Code:**
Phone: 2066152700
E-Mail:

Eligibility

Full Dual Eligible ?
LIS Eligible ?

Complaint Against Pharmacy

Is this a complaint against a pharmacy?

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PLAN RESOLUTION STATUS – BOTH

The user has the capability to view and/or edit the Part D complaints on the “Plan Resolution Status” by both “Open” and “Closed” complaint cases.

Step 1: Select the “Both” option from the “Plan Resolution Status” on the **Plan Resolution Criteria** page to access both open and closed complaints. (Screen below)

The screenshot displays the HPMS (Health Plan Management System) interface. At the top, there is a red header with the HPMS logo and the text 'Health Plan Management System' and 'Home | Help'. Below the header, the main content area is titled 'Complaints Tracking - Plan Resolution'. Underneath, there is a section for 'Plan Resolution Criteria'. This section includes a 'Complaint ID' text input field, an 'OR' separator, a 'Contract' dropdown menu (showing 'Select All', 'Other', 'Unknown', 'H3935 - 1040J', and 'R4925 - 222'), and a 'Time Period' section with 'Dec' and '2005' dropdowns. The 'Plan Resolution Status' section has three radio buttons: 'Open', 'Closed', and 'Both', with 'Both' selected. A 'Submit' button is located below the radio buttons. At the bottom of the form area, there is a link: 'Go To: [MA/Part D Complaints Tracking Start Page](#)'.

Step 2: Click on the “Submit” button to generate and view the **Plan Resolution Complaint Select** page by both open and closed complaints. (Screen below)

Note: The user may sort the complaints by: Complaint ID; Category; Beneficiary or Provider; Issue Level; or Date.

Complaints Tracking - Plan Resolution

Complaint Select

Selected Report Criteria

Contract: All
 Time Period: DEC 2005
 Plan Resolution Status: Both

Select One of the Following Options:

ID	Category	Beneficiary or Provider	Issue Level	Date	
C0500001902	Benefits/Access	Beneficiary	N/A	12/1/2005	View
C0500001826	Benefits/Access	Beneficiary	N/A	12/6/2005	View Edit
C0500001856	Customer Service	Beneficiary	N/A	12/6/2005	View Edit
C0500001855	Enrollment/Disenrollment	Beneficiary	N/A	12/6/2005	View Edit
C0500001854	Enrollment/Disenrollment	Beneficiary	N/A	12/6/2005	View Edit
C0500001905	Benefits/Access	Beneficiary	N/A	12/8/2005	View Edit
C0500001904	Benefits/Access	Beneficiary	N/A	12/8/2005	View Edit

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Step 3: Select the “View” option from the **Complaint Select** page to access and view the **Plan Resolution – View Complaint Data** pop-up page on both open and closed complaints. (Screen below)

Complaint Tracking

Plan Resolution - View Complaint Data

Part D Complaint

Complaint ID:	C0500001826
Date Complaint Received:	12/6/2005
Date of Incident:	
Complaint Source:	Phone
Caseworker:	Regional Number1
Is this complaint controlled in CIS:	No
Is this complaint on behalf of a beneficiary or provider?	Beneficiary
Issue Level	
Press or Hill Interest	

Complainant Information

Complainant: Beneficiary
Name: john baskus
Organization: us script
Address 1: 1215 northrup way
Address 2:
City:
State: **ZIP Code:**
Phone: 2066152700
E-Mail:

Beneficiary Information:

Name: john baskus
Organization: us script
Address 1: 1215 northrup way
Address 2:
City:
State: **ZIP Code:**
Phone: 2066152700
E-Mail:

Eligibility

Full Dual Eligible ?
LIS Eligible ?

Complaint Against Pharmacy

Is this a complaint against a pharmacy?

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Go To: [MA/Part D Complaints Tracking Start Page](#)

Step 4: Select the “Edit” option from the **Complaint Select** page to respond and/or resolve the complaints on the **Plan Response** page. (Screen below)

HPMS Health Plan Management System Home | Help

Complaints Tracking - Plan Resolution

Plan Response

Complaint ID: C0500001826

CMS Notes to Plan:

You are the plan. I am the note, from CMS. :-) --mp 4/11/2006 test data

Previous Plan entry:

Currently, there are no plan resolution entries for this complaint.

Current Entry

Does the plan believe this complaint is resolved?

No Yes

Plan Resolution Date (MM/DD/YYYY):

Go To: [MA/Part D Complaints Tracking Start Page](#)

Step 5: Select the “Submit” button to save the information.

APPENDIX A: CTM CONTACT INFORMATION

Subject Matter	Name	Phone	Email Address / Web Address
CTM-HPMS Analyst	Serrick McNeill	410-786-7243	Serrick.McNeill@cms.hhs.gov
CTM – Business Owner	Anita Varghese, Pharm.D.	410-786-8640	Anita.varghese@cms.hhs.gov
CTM access requests	CTM mailbox		ctm@cms.hhs.gov
Connectivity	Don Freeburger	410-786-4586	Don.freeburger@cms.hhs.gov
Password Resets	Neetu Jhagwani	410-786-4586	Neetu.jhagwani@cms.hhs.gov
Password Resets (after normal business hours)	CMS Technical Help Desk	410-786-2548	N/A
HPMS Help Desk	N/A	410-786-2580	hpms@cms.hhs.gov
Access Forms	N/A	800-220-2028	http://www.cms.hhs.gov/AccessstoDataApplication/