



CENTER FOR MEDICARE

DATE: September 21, 2026

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

FROM: Vanessa S. Duran, Director
Medicare Drug Benefit and C & D Data Group

SUBJECT: October 2026 Complaints Tracking Module Enhancements

On October 30, 2026, CMS will release the following enhancements to the Health Plan Management System (HPMS) Complaints Tracking Module (CTM):

- Plan users will be able to indicate that a casework note must be included in the Resolution Summary when updating a complaint via the casework upload function. This change is reflected in **Appendices A and B**, where the casework upload user interface and application programming interface (API) will include this new optional field after the Agent/Broker Notes field:
 - Include in the Resolution Summary
- Plan users will be able to search using two new fields on the Manage Complaint – Advanced Search Page:
 - Provider Confirmation ID
 - Department of Insurance field indicator
- When managing complaints submitted via the online [provider complaints form](#), the beneficiary's first and last names will be added to the Complaint Information Panel and removed from the Complaint Summary field.
- Providers will have the option to upload an attachment that links to a complaint submitted via the online [provider complaints form](#).

For questions regarding these updates, contact Kristy Holtje at Kristy.Holtje@cms.hhs.gov.

Appendix A: CTM Plan 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, Comments, and the Agent/Broker 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 Reach. This field must be blank or U if N is entered into the Resolve Complaint Y/N field.	U

Record Layout				
Field Name	Field Type	Field Length	Field Description	Sample Field Value(s)
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
Agent/Broker Complaint	CHAR OPTIONAL	1	Enter Y if the complaint should be marked as an Agent/Broker Complaint. Enter N if the complaint should not be marked as an Agent/Broker Complaint. Only complaints that allow Agent/Broker information based on the assigned Category/Subcategory will be updated.	Y
Agent/Broker First Name	CHAR OPTIONAL	50	Enter the Agent/Broker First Name if Y is entered into the Agent/Broker Complaint field. Only complaints that allow Agent/Broker information based on the assigned Category/Subcategory will be	First

Record Layout				
Field Name	Field Type	Field Length	Field Description	Sample Field Value(s)
			updated. This field must be blank if N is entered into the Agent/Broker Complaint Y/N field.	
Agent/Broker Last Name	CHAR OPTIONAL	50	Enter the Agent/Broker Last Name if Y is entered into the Agent/Broker Complaint field. Only complaints that allow Agent/Broker information based on the assigned Category/Subcategory will be updated. This field must be blank if N is entered into the Agent/Broker Complaint Y/N field.	Last
Agent/Broker National Producer Number	NUMERIC OPTIONAL	15	Enter the Agent/Broker National Producer Number if Y is entered into the Agent/Broker Complaint field. Only complaints that allow Agent/Broker information based on the assigned Category/Subcategory will be updated. This field must be blank if N is entered into the Agent/Broker Complaint Y/N field.	123456789
Agent/Broker Field Marketing Organizations	CHAR OPTIONAL	125	Enter the Agent/Broker Field Marketing Organizations if Y is entered into the Agent/Broker Complaint field. Only complaints that allow Agent/Broker information based on the assigned Category/Subcategory will be updated. This field must be blank if N is entered into the Agent/Broker Complaint Y/N field.	Company Name
Agent/Broker Notes	CHAR OPTIONAL	250	Enter the Agent/Broker Notes if Y is entered into the Agent/Broker Complaint field. Only complaints that allow Agent/Broker information based on the assigned Category/Subcategory will be updated. This field must be	Agent broker notes

Record Layout				
Field Name	Field Type	Field Length	Field Description	Sample Field Value(s)
			blank if N is entered into the Agent/Broker Complaint Y/N field.	
Include in the Resolution Summary	CHAR OPTIONAL	1	Enter Y if the casework note should be included in the resolution summary. Enter N or leave null to indicate the casework note should not be included in the resolution summary.	Y

Appendix B: API changes

1.1 AMM Token Call

Endpoint: /api/idm/oauth/AMMtoken

Method: POST

Description: AMM Token Generation

1.2 Usage

Example requests:

```
POST /api/idm/oauth/AMMtoken
Headers:
    Content-Type: application/json
Body:
{
    "keyId": "your API Key",
    "keySecret": "your Secret Key"
}
```

Example responses:

```
CODE: 200
{
    "accessToken": "Generated token",
    "expires": 3600
}
```

1.3 Download Complaints

Endpoint: /api/ctm_ext/api/downloadcomplaints

Method: POST

Description: Download complaint data

Parameter	Type	Description	Required	Allowed Values	Default Behavior
complaintStatus	string	Filter for status of complaints	Y	“”, “0” - open “1” - resolved “0,1” - all	Defaults to “0,1” – ALL when empty string is provided
contracts	string	Filter for list of contracts	Y	“”,	Defaults to all contracts

Parameter	Type	Description	Required	Allowed Values	Default Behavior
				"E3014" - any single contract "E3014, H0034" - multiple contracts comma separated	when empty string is provided
dateFrom	string	Filter for from date	Y	"", "2024-06-26" - any date in yyyy-mm-dd string format	Defaults to 90 days from today when empty string is provided
dateTo	string	Filter for to date	Y	"", "2024-06-26" - any date in yyyy-mm-dd string format	Defaults to today when empty string is provided
limitToAttachment	empty string boolean	Filter to only include complaints who have an attachment	Y	"", true, false	Defaults to false when empty string is provided
limitToRequests	empty string boolean	Filter to only include complaints who have answered plan requests	Y	"", true, false	Defaults to false when empty string is provided

1.4 Usage

Example requests:

POST /api/ctm_ext/api/downloadcomplaints

Authorization:

Auth Type Bearer Token: your generated token

Headers:

Content-Type: application/json

X-API-CONSUMER-ID: your api key

Body:

```
{
  "complaintStatus": "0,1",
  "contracts": "H1234",
  "dateFrom": "2024-08-20",
  "dateTo": "2024-08-30",
  "limitToAttachment": true,
```

```
    "limitToRequests": false
  }
```

POST /api/ctm_ext/api/downloadcomplaints

Authorization:

Auth Type Bearer Token: your generated token

Headers:

Content-Type: application/json

X-API-CONSUMER-ID: your api key

Body:

```
{
  "complaintStatus": "",
  "contracts": "",
  "dateFrom": "",
  "dateTo": "",
  "limitToAttachment": "",
  "limitToRequests": ""
}
```

Example responses:

CODE: 200

```
[
  {
    "COMPLAINT_ID": "C1234567890",
    "RECEIVED_DATE": "06/26/2024",
    "CASEWORKER": "Joe Smith",
    "COMPLAINT_TYPE": "Provider",
    "CONTACT_FNAME": "SAMPLE",
    "CONTACT_LNAME": "TEST",
    "CONTACT_PHONE": "(123) 456-7890",
    "CONTRACT_ID": "H1234",
    "CATEGORY_LEAD": "CMS",
    "COMPLAINT_CATEGORY": "Premiums and Costs",
    "COMPLAINT_SUBCATEGORY": "Beneficiary",
    "COMPLAINT_SUBCAT_OTHER": "",
    "COMPLAINT_SUMMARY": "Test...",
    "RESOLUTION_DATE": "",
    "RESOLUTION_SUMMARY": "",
    "ISSUE_LEVEL": "No Issue Level",
    "BENE_ID": "",
    "ALT_PHONE": "",
    "PREFERRED_CALL_TIME": "ANY",
    "PREFERRED_LANGUAGE": "English",
    "CONGRESSIONAL": "No",
  }
]
```

```

    "CONGRESSIONAL_INFORMATION": "",
    "SWIFT": "No",
    "SWIFT_CONTROL_NUMBER": "",
    "AGENT_BROKER": "No",
    "AGENT_BROKER_FNAME": "",
    "AGENT_BROKER_LNAME": "",
    "AGENT_BROKER_NPN": "",
    "AGENT_BROKER_FMO": "",
    "AGENT_BROKER_NOTES": "",
    "ASSIGNMENT/REASSIGNMENT_DATE": "06/26/2024",
    "COMMENTS": "",
    "PLAN_CASEWORK_NOTES": "",
    "ATTACHMENTS_YN": "N",
    "CONTACT_PLAN_BEFORE_COMPLAINT_ENTERED": "No",
    "CONTRACT_CHANGE_REQUESTS": "",
    "ISSUE_LEVEL_CHANGE_REQUESTS": "",
    "CMS_LEAD_CHANGE_REQUESTS": "",
    "COMPLAINANT_SATISFIED": "Unknown/Unable to Reach",
    "RESOLUTION_NOTIFICATION": "",
    "HPI_RELATED": "Unknown/Unsure",
    "ACCESSIBLE_FORMAT": "No"
  },
  ...
]

CODE: 400
{
  "error": "Parameter: contracts type mismatch. Expected: string Actual: number"
}

CODE: 401
{
  "error": "Authorization failed"
}

CODE: 500
{
  "error": "Internal Server Error"
}

```

NOTE: You will receive the 401 “Authorization failed” error if the following scenarios are true:

1. Your "accessToken" is either incorrect or it has expired. Be sure to run the token call before running the downloadcomplaints api to get a current "accessToken".
2. The Key X-API-CONSUMER-ID is not included/checked in the header or the key Value is incorrect. Verify the Key X-API-CONSUMER-ID is checked and the key Value is populated with the your API keyID.

1.5 Casework Upload

Endpoint: /api/ctm_ext/api/uploadcaseworkfile

Method: POST

Description: Upload casework data

Parameter	Type	Description	Validation Constraints	Required	Allowed Values	Default Behavior
complaintId	string	Complaint ID assigned by HPMS CTM. The complaint ID must already exist in HPMS CTM.	Exactly 11 chars	Y	“C1600999999” – any valid complaint id	N/A
caseworkNotes	string	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.	1 to 4000 chars, not whitespace-only	Y	“Note supporting the resolution of the complaint”	N/A
hpiRelated	string null	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.	If used must be 1 char	Y	“Y” - Yes, “N” - No, “U” – Unknown/Unsure, null	N/A

Parameter	Type	Description	Validation Constraints	Required	Allowed Values	Default Behavior
resolutionNotification	string null	If Y is entered into the Resolve Complaint Y/N field, then this field must be non-missing. Enter 0 to indicate Unknown; enter 1 to indicate Telephone; enter 2 to indicate Written; enter 3 to indicate Telephone and Written; enter 4 to indicate None. This field must be 1, 2, or 3 if Y or N is entered into the Complainant Satisfied? field.	If used must be 1 char	Y	“0” - Unknown, “1” - Telephone, “2” - Written, “3” - Telephone and Written, “4” - None, null	N/A
resolveComplaintYN	string	Enter Y if the complaint should be resolved. Enter N if the complaint should remain open.	Exactly 1 char	Y	“Y”, “N”	N/A
comments	string null	If desired, provide any notes that CMS should see when performing their casework. Otherwise, leave this field blank.	If used 1 to 4000 chars, not whitespace-only	Y	“Some comments”, null	N/A
complainantSatisfied	string null	If Y is entered into the Resolve Complaint Y/N field, then this field must be non-null. Enter N to indicate No; enter Y to indicate Yes;	If used must be 1 char	Y	“Y” – Yes, “N” – No, “U” - Unknown	N/A

Parameter	Type	Description	Validation Constraints	Required	Allowed Values	Default Behavior
		enter U to indicate Unknown/Unable to Reach. This field must be blank or U if N is entered into the Resolve Complaint Y/N field.			n/Unable to Reach, null	
agentBrokerComplaint	string null	Enter Y if the complaint should be marked as an Agent/Broker Complaint. Enter N if the complaint should not be marked as an Agent/Broker Complaint. Only complaints that allow Agent/Broker information based on the assigned Category/Subcategory will be updated.	If used must be 1 char	Y	“Y” - Yes, “N” - No, null	N/A
agentBrokerFirstName	string null	Enter the Agent/Broker First Name if Y is entered into the Agent/Broker Complaint field. Only complaints that allow Agent/Broker information based on the assigned Category/Subcategory will be updated. This field must be blank if N is	If used max 50 chars	Y	“First Name” null	N/A

Parameter	Type	Description	Validation Constraints	Required	Allowed Values	Default Behavior
		entered into the Agent/Broker Complaint Y/N field.				
agentBrokerLastName	string null	Enter the Agent/Broker Last Name if Y is entered into the Agent/Broker Complaint field. Only complaints that allow Agent/Broker information based on the assigned Category/Subcategory will be updated. This field must be blank if N is entered into the Agent/Broker Complaint Y/N field.	If used max 50 chars	Y	“Last Name” Null	N/A
agentBrokerNPN	string null	Enter the Agent/Broker National Producer Number if Y is entered into the Agent/Broker Complaint field. Only complaints that allow Agent/Broker information based on the assigned Category/Subcategory will be updated. This field must be blank if N is entered into the Agent/Broker Complaint Y/N field.	If used max 15 chars, digits only	Y	“123456789012345” Null	N/A

Parameter	Type	Description	Validation Constraints	Required	Allowed Values	Default Behavior
agentBrokerFMO	string null	Enter the Agent/Broker Field Marketing Organizations if Y is entered into the Agent/Broker Complaint field. Only complaints that allow Agent/Broker information based on the assigned Category/Subcategory will be updated. This field must be blank if N is entered into the Agent/Broker Complaint Y/N field.	If used max 125 chars	Y	“Company Name” null	N/A
agentBrokerText	string null	Enter the Agent/Broker Text if Y is entered into the Agent/Broker Complaint field. Only complaints that allow Agent/Broker information based on the assigned Category/Subcategory will be updated. This field must be blank if N is entered into the Agent/Broker Complaint Y/N field.	If used max 250 chars	Y	“Agent/Broker Text” null	N/A
includeInResolutionYN	string null	Enter Y if the casework note should be included in the resolution	If used must be 1 char	Y	“Y” - Yes, “N” - No,	N/A

Parameter	Type	Description	Validation Constraints	Required	Allowed Values	Default Behavior
		summary. Enter N or leave null to indicate the casework note should not be included in the resolution summary.			null	

Payload:

- The payload must include all fields above for each record (no missing keys, no extra keys).
- The request body must be a non-empty array of objects.
- To avoid overloading the UploadCaseWork API when running scripts, send requests in controlled batches and add a pause between calls.
- Recommended starting point: 25 to 50 records per request, one request at a time, with a delay of several seconds between requests once response is received.
- If you receive timeouts, 429, or 5xx responses, reduce batch size and apply exponential backoff. This helps maintain stable performance and improves overall success rates for large uploads.

1.6 Usage

Example request:

```

POST /api/ctm_ext/api/uploadcaseworkfile
Authorization:
    Auth Type Bearer Token: your generated token
Headers:
    Content-Type: application/json
    X-API-CONSUMER-ID: your api key
Body:
    [
      {
        "caseworkNotes": "testing ctm ext api casework upload feature",
        "complaintId": "C1600999999",
        "hpiRelated": null,
        "resolutionNotification": null,
        "resolveComplaintYN": "N",
        "comments": null,
        "complainantSatisfied": null,
        "agentBrokerComplaint": "N",
        "agentBrokerFirstName": null,
        "agentBrokerLastName": null,
      }
    ]

```

```

        "agentBrokerNPN": null,
        "agentBrokerFMO": null,
        "agentBrokerText": null,
        "includeInResolutionYN": "Y"
    },
    {
        "caseworkNotes": "Some casework notes!",
        "complaintId": "C222222222",
        "hpiRelated": null,
        "resolutionNotification": null,
        "resolveComplaintYN": "N",
        "comments": null,
        "complainantSatisfied": null
        "agentBrokerComplaint": "Y"
        "agentBrokerFirstName": "John"
        "agentBrokerLastName": "Doe"
        "agentBrokerNPN": "123456789012345"
        "agentBrokerFMO": "Company Name"
        "agentBrokerText": "Related agent broker text",
        "includeInResolutionYN": null
    },
    ...
]

```

Example responses:

CODE: 200

```

"Status": [
    {
        "line": 2,
        "complaintId": "C222222222",
        "message": "The specified case does not exist."
    },
    {
        "line": 1,
        "complaintId": "C1600999999",
        "message": "Casework Saved"
    }
]

```

CODE: 400

```

{
    "error": "Parameter: contracts type mismatch. Expected: string Actual: number"
}

```

CODE: 401

```
{  
  "error": "Authorization failed"  
}
```

CODE: 500

```
{  
  "error": "Internal Server Error"  
}
```

NOTE: You will receive the 401 “Authorization failed” error if the following scenarios are true:

1. Your "accessToken" is either incorrect or it has expired.
 - a. Be sure to run the token call before running the downloadcomplaints api to get a current "accessToken".
2. The Key X-API-CONSUMER-ID is not included/checked in the header or the key Value is incorrect.
 - a. Verify the Key X-API-CONSUMER-ID is checked and the key Value is populated with your API keyID.
3. The Key Request in the API Key Management Module does not include the necessary scope.
 - a. Verify the key request includes the CTM Upload scope.