



Data Collection Tool

Introduction

Grievances and Appeals Commercial Insurers Annual Reporting

About the Data Collection Tool

The District of Columbia Department of Health Care Finance, Office of Health Care Ombudsman and Bill of Rights (OHCOBR) designed the tool to collect the grievances and appeals data in a standardized format. This tool allows two approaches to fill in the data in an Excel spreadsheet: manually or via a file upload. The tool includes capabilities to run initial validations on the collected data before these data are submitted to OHCOBR for further processing.

The Grievances and Appeals Data Collection Tool (G&A Tool) is based on MS Excel and utilizes Excel macros for data upload and validations of data for formatting and acceptable values.

Using the Tool

The G&A Tool can be used in two ways: either commercial insurers can manually enter the data in respective worksheets, or they can use a file upload option to load data from a comma separated values (CSV) file that meets the Upload File Specifications provided later on in this guide.

Important note about the Excel Macros Enable feature

The G&A Tool uses MS Excel macros for numerous functionalities; therefore, before using the tool, the commercial insurers must ensure that Excel macros are enabled. More information about Excel macros and enabling/disabling the same can be found here: [Macros in Office files](#).

Steps from the link above:

Enable macros when the Message Bar appears

When you open a file that has macros, the yellow message bar appears with a shield icon and the **Enable Content** button. If you know the macro, or macros, are from a reliable source, use the following instructions:

- On the **Message Bar**, click **Enable Content**.
The file opens and is a [trusted document](#).

The following image is an example of the Message Bar when macros are in the file.



Inside the Tool

The G&A Tool consists of the following spreadsheets:

- Instructions — includes instructions on how to use the G&A Tool; it also contains the commands to upload the data and validate the data.
- Summary — collects commercial insurers' specific information.
- Data — captures grievances and appeals data to be included in the annual submission to the OHCOBR.
- Lookups — is used for validations of the entered data based on the specific parameters.

Setting Up the Tool

In preparation for data submission, the **Summary** worksheet should be completed using the commercial insurer’s specific information. This tab does not have an upload feature, and all required information should be entered manually.

Figure 1: Summary

Field_Name	Status	Organization_Response	Field_Desc
Organization Name (R)			Name of commercial insurer organization
NAIC Number (R)			National Association of Insurance Commissioner’s (NAIC) number assigned to company
Denied Claims (F)			Number of denied claims and/or claims with denied service lines
Denied Prior Authorizations (R)			Number of prior authorizations with services not approved
Additional Information (O)			Additional information about the organization submitting the report
Spreadsheet_Check_Date			System generated - date & time of last time Check My Spreadsheet was run - MM/DD/YYYY - hh:mm (24)

*The last field on Summary worksheet (Spreadsheet_Check_Date) is used for validations and **must not** be filled in manually.

Manual Mode or File Upload

The G&A Tool can be used either to enter data manually or using a file upload.

Manual Mode

In manual mode, all the required fields must be entered manually. The G&A Tool is equipped with helpful drop-downs where applicable to enable easy data entry.

Figure 2: Manual Mode Data Collection

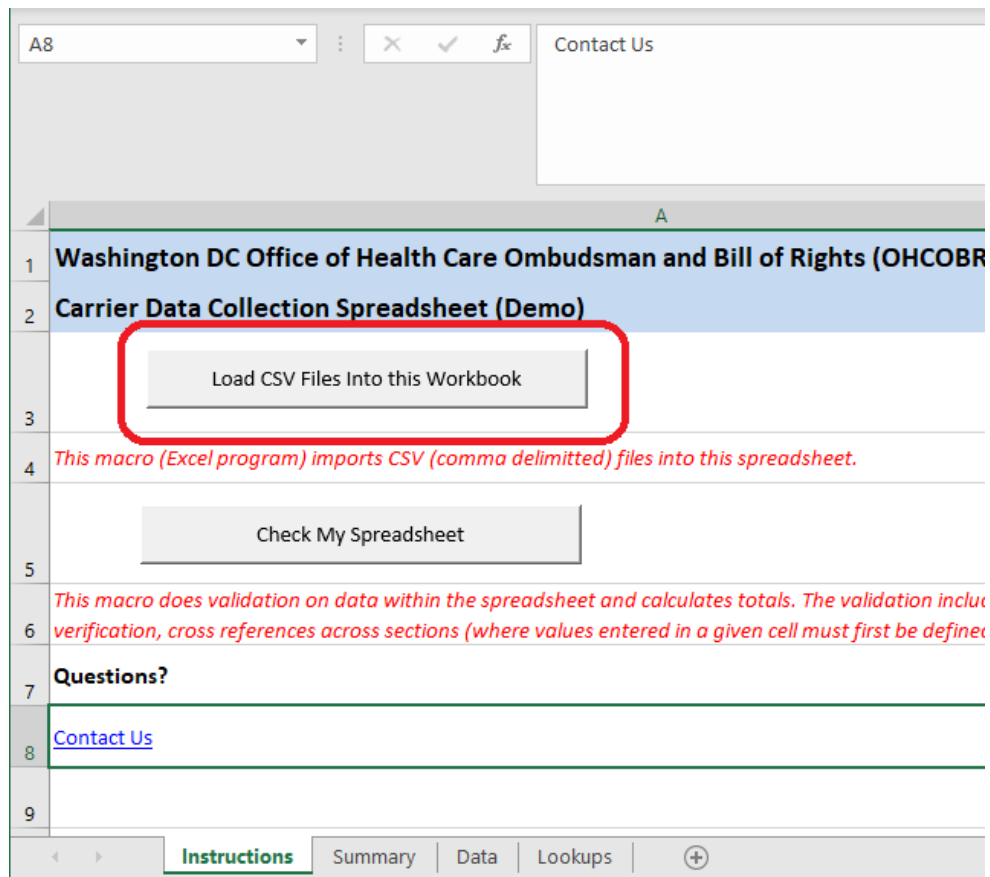
A	B	C	D	E	F	G
Status	Member Gender (R)	Member Ethnicity (O)	Member Race (O)	Member age category (R)	Nature of appeal (R)	Clinical appeal category (C)
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

File Upload Mode

The G&A Tool can be used to upload data from a CSV file instead of entering data manually. To upload the data, the CSV file should be placed in the same location as the Excel tool. The CSV file format is provided under Upload File Specifications and a sample upload file is attached.

To upload data from a file, click on the “Load CSV Files into this Workbook” button on the **Instructions** worksheet.

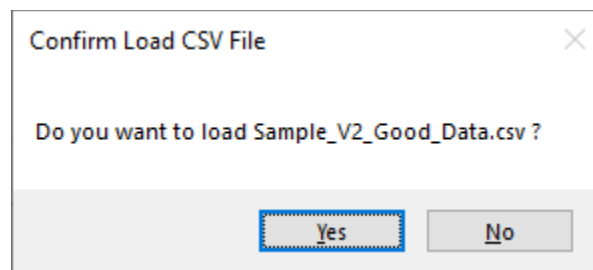
Figure 3: File Upload Mode Data Collection



The tool scans its folder location and prompts to upload any CSV files found in the folder. If there is more than one CSV file found in the folder, it prompts for them one by one. Commercial insurers must select the file that should be loaded in the tool.

Note: At present, only one file can be loaded to the tool. If there is more than one CSV file available, only confirm loading of the file for the current load. If multiple files are loaded, only the final file's data will be loaded in the tool. The suggested workaround is to combine all CSV files to be loaded into one file before executing the upload.

Figure 4: File Selection Prompt



Once the data is loaded, the **Data** worksheet is enabled to show the uploaded data. Any manual modifications to the data can be completed here.

Figure 5: Grievances and Appeals Data

Status	Member Gender (R)	Member Ethnicity (O)	Member Race (O)	Member age category (R)	Nature of appeal (R)	Clinical appeal category (C)	Other - Clinical Appeal Category (C)
	Male	Hispanic or Latino	Asian	Adolescent (13-17)	Administrative		
	Female	Not Hispanic or Latino	White	18-24	Administrative		
	Other	Unknown	Black or African An	25-34	Administrative		
	Unknown	Not Hispanic or Latino	Native Hawaiian or	35-44	Administrative		
	Male	Hispanic or Latino	American Indian or	45-54	Administrative		
	Female	Not Hispanic or Latino	More than one race	55-64	Administrative		
	Other	Hispanic or Latino	Unknown	65 and over	Clinical	Not medically necessary	

Upload File Specifications

The CSV upload file has the following fields. More information about these fields is available in the Data Dictionary.

Data values and the headers should not include commas (,) or any other special characters (= * % etc.) in names or values.

Most of the fields only accept values from a specified list of values. These are validated during the validation phase.

Upload File Fields:

Field Name	Description/Reference
Status	Should be left blank in upload file
Member gender	Controlled value, see data dictionary
Member ethnicity	Controlled value, see data dictionary
Member race	Controlled value, see data dictionary
Member age category	Controlled value, see data dictionary
Nature of appeal	Controlled value, see data dictionary
Clinical appeal category	Controlled value, see data dictionary
Other – Clinical appeal category	Free text value when Clinical appeal category is set to “Other”
Administrative appeal category	Controlled value, see data dictionary
Other – Administrative appeal category	Free text value when Administrative appeal category is set to “Other”
Clinical review of the appeal	Controlled value, see data dictionary
Other – Clinical review of the appeal	Free text value when Clinical review of the appeal is set to “Other”
Appeal type	Controlled value, see data dictionary
Expedited appeal	Controlled value, see data dictionary
Appeal Final Disposition	Controlled value, see data dictionary
Appeal filing method	Controlled value, see data dictionary
Other – Appeal filing method	Free text value when Appeal filing method is set to “Other”
Grievance requestor	Controlled value, see data dictionary
Other – Grievance requestor	Free text value when Grievance requestor is set to “Other”
Class of grievance/appeals	Controlled value, see data dictionary
Other – Class of grievance/appeals	Free text value when Class of grievance/appeals is set to “Other”

Field Name	Description/Reference
Grievance/appeal description	Controlled value, see data dictionary
Other – Grievance/appeal description	Free text value when Grievance description is set to “Other”
Inpatient (non-acute)	Controlled value, see data dictionary
Other – Inpatient (non-acute)	Free text value when Inpatient (non-acute) is set to “Other”
Date denial sent	Date, see data dictionary
Date/time appeal received	Date and time, see data dictionary
Date appeal acknowledged	Date and time, see data dictionary
Date/time appeal resolved	Date and time, see data dictionary
Date/time appeal resolution sent	Date and time, see data dictionary
ICD/DSM Code	Free Text, see data dictionary
CPT/CDT Code	Free Text, see data dictionary
NDC	Free Text, see data dictionary
HCPCS Code	Free Text, see data dictionary
Revenue Code	Free Text, see data dictionary
Place of service	Free Text, see data dictionary
Hospital Stay	Controlled value, see data dictionary
Network Indicator	Controlled value, see data dictionary
Provider taxonomy	Free Text, see data dictionary

Sample CSV Upload File:



Sample_V2_Good_Data.csv

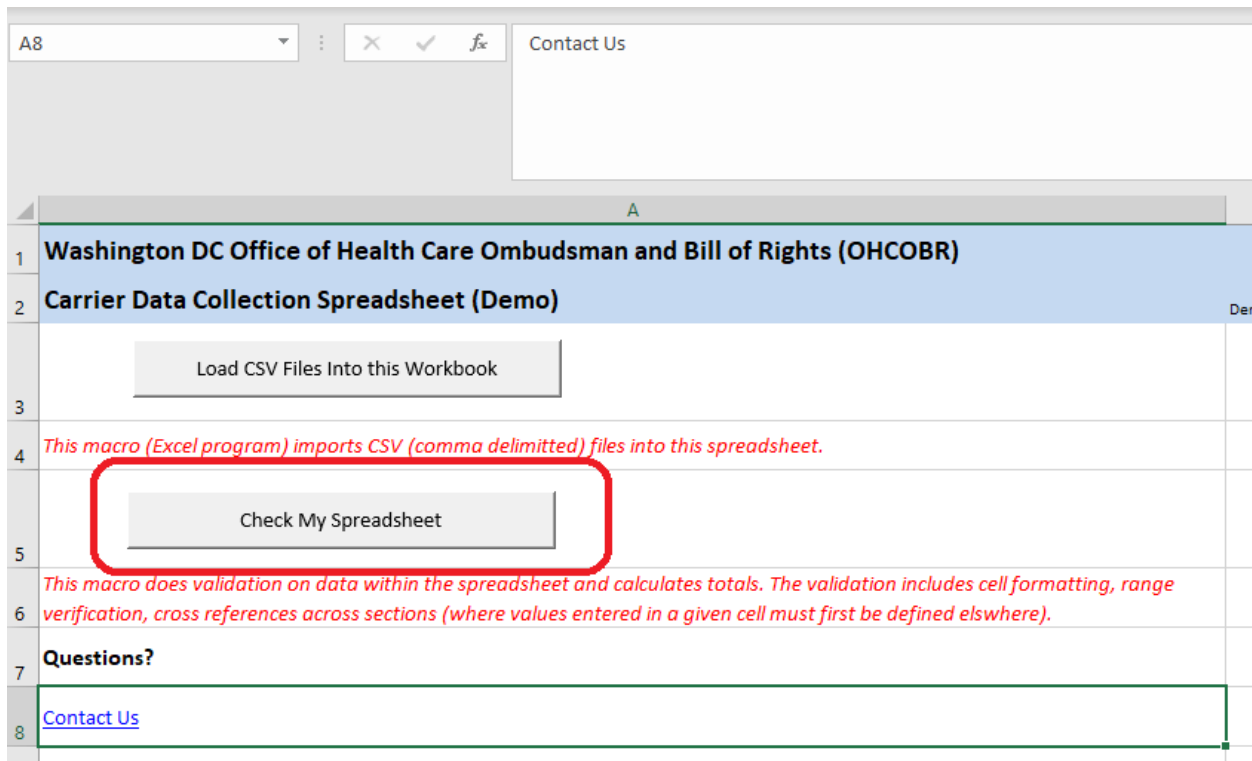
Validations in Tool

The G&A Tool has two (2) types of validation available to the users: validation build into the tool (“Check My Spreadsheet”) and Excel built-in functionality. Commercial insurers can use the excel built-in functionality; however, before the data submission the file must be checked using the “Check My Spreadsheet” macro built into the tool, as this validation was developed specifically for the grievances and appeals data collection and identifies all expected business rules.

Validation Built Into the Tool – “Check My Spreadsheet”

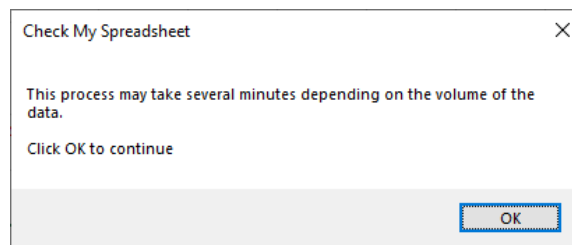
Before the data are submitted to OHCOBR, the data entered (either manually or via file upload) must be checked for formatting and valid values as specified in the Data Dictionary. After data entry or file upload, the commercial insurers should run the validations using the “Check My Spreadsheet” button on the **Instructions** tab.

Figure 6: Validation Check



Clicking on the button will start the validation process. Before the validations are run, the user is informed that the validations may take some time in order to check all the data entered for valid values.

Figure 7: Prompt for Validation



Clicking "OK" on the prompt will start validations. Once validations are completed, the G&A Tool automatically changes to the **Summary** worksheet and provides a summary on the "Spreadsheet_Check_Date" field. If errors are identified, the field displays the message "Errors exist on one or more data."

Figure 8: Validation Check Date

Field_Name	Status	Organization_Response
Organization Name (R)	Missing mandatory value	
NAIC Number (R)	Missing mandatory value	
Reporting Period (R)	Missing mandatory value	
Organization Address (R)	Missing mandatory value	
Additional information (O)		
Spreadsheet_Check_Date	Errors exist on one or more data elements, please review and rerun CheckMySpreadsheet	

The errors need to be examined on the **Summary** and **Data** worksheets. In the screenshot above, there is missing summary data with the message “Missing mandatory value.” Fields with incorrect or missing data must be fixed.

If there are no **Summary** errors and Spreadsheet_Check_Date field is still reporting errors, it is indicative of errors in the **Data** worksheet. **Data** worksheet errors are shown for each row. Each error displayed will include information on the type of error and in which column the error is found (example below presents the error in column V).

Figure 9: Errors in Data Submission

A	B	C	V
Status	Member Gender (R)	Member Ethnicity (O)	Grievance/appeal description (R)
	Unknown	Not Hispanic or Latino	Inpatient (non-acute)
	Male	Unknown	Medical
(Column V) Incorrect value for grievance/appeal description	Female	Hispanic or Latino	Mental Health
	Other	Not Hispanic or Latino	Inpatient (acute)
	Unknown	Unknown	Occupational Therapy
	Male	Hispanic or Latino	Optometry
	Female	Not Hispanic or Latino	Outpatient

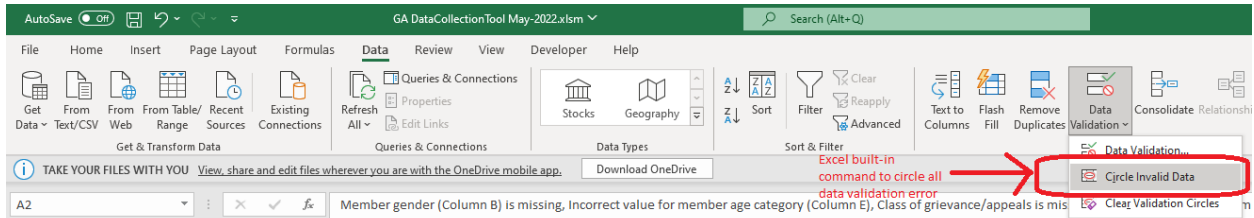
If there is more than one error for an entry, they are all shown in the **Status** field.

Once all **Summary** and **Data** worksheet validation errors are fixed, the Validation process should be started again by clicking “Check My Worksheet” button. Upon successful validation of all data, the “Spreadsheet_Check_Date” field displays a timestamp when the spreadsheet is validated. After successful completion of validations, the G&A Tool is ready for submission to OHCOBR.

Excel Built-In Functionality to Circle Validation Errors

Under this option, the user can choose the Excel built-in functionality to circle validation errors by going to Excel menu Data → Data Validation → Circle Validation Errors.

Figure 10: Excel Built-In Functionality to Identify Errors



This option is built in as a standard function in Excel; commercial insurers should be aware that this function is a computing resource-intensive process that may take a long time to circle all validation errors. Once the process is complete, the incorrect values are identified by circles around them.

Figure 11: Excel Build-In Data Validation

Status	Member Gender (R)	Member Ethnicity (O)	Grievance/appeal description	Other - Grievance/appeal description (C)
	Male	Hispanic or Latino	Anesthesia	
	Female	Not Hispanic or Latino	Chiropractic	
	Other	Unknown	Dental	
	Unknown	Not Hispanic or Latino	Durable Medical Equipment	
	Male	Hispanic or Latino	Emergency Room	
	Female	Not Hispanic or Latino	Home Health Services	
	Other	Hispanic or Latino	Inpatient (acute)	
	Unknown	Not Hispanic or Latino	Inpatient (non-acute)	
	Male	Unknown	Medical	
	Female	Hispanic or Latino	Mental Health	
	Other	Not Hispanic or Latino	Inpatient (acute)	
	Unknown	Unknown	Occupational Therapy	

(Column V) Incorrect value for grievance/appeal description

Example of how the excel build validation identifies errors