*Compliance New Hire Training – Complaints and Grievances*

**Design Document**

**Course Description:**

This 2-day course is part of a broader 6-week New Hire training course. The purpose of this course is train Member Service Advocates on how to handle and process complaints and grievances correctly and thoroughly to achieve a 95% pass rate with United Healthcare.

**Instructional Strategies:**

This course will be an instructor-led course and will employ the following techniques / methods at various points during the training:

* Discussions
* Demonstrations
* Practice
* UHC eLearning material
* Slide presentation
* Question and Answer exercises

**Audience:**

X Member Service Advocates for X

**Media:**

* Instructor Guide
* Slide presentation

**Course Objectives:**

Upon completion of this course, Member Service Advocates will be able to:

* Identify the types of complaints/grievances, with examples of each
* Successfully handle a complaint grievance call with a Member
* Use all systems accurately to submit a grievance/complaint
* Apply critical thinking skills to identify root cause and ask probing questions while on the call with the Member
* Provide an appropriate resolution to each grievance/complaint
* Utilize tools available to aid in submitting a complaint/grievance
* Submit a passing complaint/grievance

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| **Lesson 1: Introduction to Complaints and Grievances**  Time:  Objectives:   * Define complaint, grievance, and appeal * Determine the difference between an inquiry, complaint/grievance, and an appeal * Describe and categorize different types of grievances in detail * Give examples of each type of complaint/grievance * Determine which type of complaint/grievance should be filed for a customer issue, if one should be filed at all | | | | |
| **Time** | **Topic** | **Content** | | **Design/Treatment** |
| 15 min. | Why is this important? | * Why are we spending two days talking about complaints and grievances | | **Discussion:** Instructor will ask class their thought on why this is important, discuss, and debrief using guidance from the Instructor Guide. |
| 15 min. | Complaint Tracking Module Overview | * Introduction to Complaint Tracking (big picture starting with Medicare) * Why we file/submit complaints * The purpose of them * Where they go when they are submitted | | **UHC eLearning Module – *Understanding the CTM Process*:**  Self-paced (participants will go through the module on their own)  **Debrief:**  Brief discussion on why this is critical to take seriously and get right (a passing score on submitted grievances.) |
| 10 min. | Grievances vs. Inquiries | * The difference between an inquiry and a grievance * How to determine if the Member is merely inquiring about something or genuinely upset where a grievance must be filed * Words to listen for, probing a little bit deeper, paying attention, etc. | | **Discussion:**   * How do you know if you should submit a compliant / grievance at all? What if the customer is just confused? |
| 30 min. | Types of Grievances / Appeals | * Explanation of each grievance/complaint type   + Verbal Grievances (Verbal, Sales, and Quality of Care)   + CDs   + MIODs   + Appeals (when to file an appeal instead of a grievance) | | Discussion:  Instructor will ask participants to think about possible things clients may call in to complain about (based on last few weeks of training.) He/she will write them on the board.  PPT Slides:  He/she will then introduce each type of grievance / complaint. The grievances / complaints that the participants came up with will then be put into categories and if there are some categories that did not have any examples given, the instructor will provide some. |
| 15 min. | Part C vs. Part D | When completing complaints and grievances in the system, the Advocate will be asked if it applies to Part C or Part D so it is important to know the difference.   * Part C- Medical Plan * Part D – Medication * Everything else but medication falls under Part C | | **UHC eLearning Module – *Understanding Part C Terms* and *Understanding Part D Terms*:**  The Instructor will need the class through the module as a group where participants guess whether situations are Part C or Part D and get feedback.  The Instructor will provide additional talking points as outlined in the Instructor Guide, where needed. |
| 15 min. | Practice: Types of Complaints / Grievances vs. Inquiries and Appeals | * Practice determining if an issue is an inquiry, appeal, or a complaint /grievance * Practice determining which type of complaint / grievance an issue is | | **UHC eLearning Module – *Check Your Understanding: Part C or Part D – MAPD Practice Activity*:**  Participants will categorize different situations/issues presented as a class  Additional explanation provided by the instructor to supplement UHC material, when needed, as indicated in the Instructor Guide. |
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| **Lesson 2: Verbal Grievances**  Time:  Objectives:   * Explain what a verbal grievance is * Differentiate between the different types of verbal grievances * Give examples of each type of verbal grievance * Identify a call containing a verbal grievance from a Member * Enter a verbal grievance into the system completely and accurately * Identify the 5 important probing questions to ask to obtain necessary information to enter a complaint/grievance * Give examples of probing questions * Document the issue and resolution accurately in the system * Handle and process expedited grievances | | | | |
| **Time** | **Topic** | **Content** | | **Design/Treatment** |
| 10 min. | Introduction to Verbal Grievances | * Review of what a verbal grievance is * Verbal grievance examples / situations | | **Discussion:**  Introductory discussion to get participants talking about verbal grievances. Instructor throws ascenario out to the class and asks which type of complaint / grievance it is and how do they know.  It will be a Verbal grievance. This is before the section is introduced.  The instructor will ask someone in the class to explain why it is a verbal grievance. |
| 10 min. | Verbal Grievance Type #1: Standard Verbal Grievance | * What is a standard verbal grievance? * Examples | | **PPT Slides:**  The Instructor will explain what participants think a standard verbal grievance is and when it would apply.  He/she will then explain what it is and give some examples of standard verbal grievances. |
| 1 hour | System Demonstration:  Standard Verbal Grievance | * Introduction to completing grievances in Maestro * The Complaints, Appeals, and Grievances intent * How to answer questions upfront to have system tell you which type it is * Completing a Standard Verbal Grievance in Maestro   Topics to be covered:   * Checking to see if there are any previous CTM cases * Part C vs. Part D for verbal grievances * Compliance Reason Tool (UHC Knowledge Base) * How to document the issue (how it needs to be phrased) * Reasons and Sub-reasons * How to document the resolution (how it needs to be phrased – will get into how to find an adequate resolution later) * UHC Knowledge Base | | **UHC eLearning Module – *Standard Verbal Grievances Section – Ms. Van Peursem*:**  This module walks through a call with a Member with snippets of that call that are paused to show the screens that the Advocate would fill out and ask questions on the screen. Instructor will go through it together with participants as a class, adding in supplementary material, as indicated in the Instructor Guide. The screen shown here are screenshots and not actual system screens. |
| 20 min. | Probing Questions (Obtaining Important Information from the Member) | * One of the things discussed in the previous section was documenting the problem / issue – How do you know what to include? * The 5 W words that participants need to ask: * Who? * What? * When? * Where? * Why? * Documenting the issue in this way applies to all complaints / grievances | | **Discussion:** Instructor will ask participants what types of information they feel is important to get from the Member regarding their issue. Create five separate spaces on the white board and ask participants to come up with a question, write it in the space that corresponds with the categories below (but don’t write the categories yet.) When finished, put the categories (below) at the top and explain that these questions fall into 5 categories, ALL of which must be addressed when on a call. |
| 45 min. | Practice Individually- Maestro: Standard Verbal Grievances | * Standard Verbal Grievance practice | | **Practice in System:**  Participants will be given a scenario and have to practice entering it in the system individually. Instructor will walk around and answer questions.  The Instructor will tell them to pause when they get to the Resolution screen. |
| 30 min. | Finding an Adequate  Resolution | * Important that appropriate resolution is provided * It’s not just documenting what you did correctly, you must be do the right thing to resolve the issue * How to find the best resolution * Two questions to ask yourself as an Advocate:   + What else can I do for the member?   + What can I do for the situation not to happen again? * Finding the appropriate resolution does not always mean the problem is actually resolved * Conversely, just because you resolved the issue does not mean you don’t need to file a grievance | | **Discussion:**  Instructor will discuss how it is not only important that the resolution is documented correctly but that the appropriate resolution is performed for the issue at hand.  Instructor will ask participants: How do you find the best resolution?  Debrief: Ask two questions:   * What else can I do for the member? * What can I do for the situation not to happen again?   The instructor will throw out scenarios and ask what a resolution might be? |
| 10 min. | Grievance Checklist | * So many things to remember – let’s make it a little easier and come up with the top things we need to check off that we have done/thought about for every grievance /complaint * This checklist will be used going forward for each practice that they do | | **Discussion:**  The Instructor will ask participants to think back to some of the things they feel should be on a checklist – that they might likely forget to think about or do.  If they forget anything, add to the list from the Grievance Checklist in the Instructor Guide. |
| 10 min. | Introduction to Verbal Grievance Type #2 – Sales Grievances | * What is a sales grievance? * Examples * Extra form required | | **PPT Slides:**  The Instructor will explain what it is, how there are two forms to be filled out. and give some examples of standard verbal grievances. |
| 30 min. | System Demonstration  - Sales Grievance: Maestro | Completing a Standard Verbal Grievance in Maestro | | **UHC eLearning Module – *Sales Grievances Section –******Mr. Bainbridge*:**  This module walks through a call with a Member with snippets of that call that are paused to show the screens that the Advocate would fill out and ask questions on the screen. Instructor will go through it together with participants as a class, adding in supplementary material, as indicated in the Instructor Guide.  The screen shown here are screenshots and not actual system screens. |
| 30 min. | Practice Individually – Sales Grievances: Maestro | Sales Grievance Practice – Maestro  Use Grievance Checklist | | **Practice in System:**  Participants will be given a scenario and have to practice entering it in the system individually. Instructor will walk around and answer questions. He/she will remind them to use the Grievance Checklist.  **Debrief:**  The Instructor will ask where did they trip up on this one and answer questions. |
| 30 min. | System Demonstration  - Sales Grievance: Sales Investigation Form | Completing the Sales Investigation Form | | **UHC eLearning Module – *Sales Grievances Section –******Sales Investigation Form*:**  This module walks through a call with a Member with snippets of that call that are paused to show the screens that the Advocate would fill out and ask questions on the screen. Instructor will go through it together with participants as a class, adding in supplementary material, as indicated in the Instructor Guide.  The screen shown here are screenshots and not actual system screens. |
| 20 min. | Practice Individually- Sales Grievances: Sales Investigation Form | Sales Grievance Practice – Sales Investigation Form | | **Practice in System:**  Participants will use same scenario above to practice entering it in the system individually. Instructor will walk around and answer questions.  **Debrief:**  The Instructor will ask where did they trip up on this one and answer questions. |
| 10 min. | Verbal Grievance Type #3: Quality of Care Grievance | * What is a Quality of Care grievance? * Examples | | **PPT Slides:**  The Instructor will explain what participants think a quality of care grievance is and when it would apply.  He/she will then explain what it is and give some examples of quality of care grievances. |
| 30 min. | System Demonstration:  - Quality of Care Grievance | Completing a Quality of Care grievance in Maestro | | **UHC eLearning Module – *Quality of Care section – Ms. Smith*:**  This module walks through a call with a Member with snippets of that call that are paused to show the screens that the Advocate would fill out and ask questions on the screen. Instructor will go through it together with participants as a class, adding in supplementary material, as indicated in the Instructor Guide.  The screen shown here are screenshots and not actual system screens. |
| 30 min. | Practice Individually – Quality of Care Grievances: Maestro | Quality of Care Grievance Practice – Maestro  Use Grievance Checklist | | **Practice in System:**  Participants will be given a scenario and have to practice entering it in the system individually. Instructor will walk around and answer questions. He/she will remind them to use the Grievance Checklist.  **Debrief:**  The Instructor will ask where did they trip up on this one and answer questions. |
| 10 min. | Verbal Grievance Type #4: OptumRX Grievance | * What is a Quality of Care grievance? * Examples | | **PPT Slides:**  The Instructor will explain what an OptumRX grievance is and where to find the form to submit it. |
| 10 min. | Expedited Grievances | * How to handle and when to submit an expedited grievance | | **UHC eLearning – *Expedited Grievances*:**  Instructor will go through the module with participants as a class |
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| **Lesson 3: Member Initiated Organization Determination (MIODs)**  Time:  Objectives:   * Explain what a MIOD is * Give examples of MIODs * Identify a call containing a MIODs grievance from a Member * Verify that a requested medical benefit requires Prior Authorization * Determine if an existing MIOD is on file within ICUE * Submit an MIOD into the system completely and accurately based on the member’s plan type * Submit the M&R InfoPath form completely and accurately * Identify the best resolution for an MIOD * Document the issue and resolution accurately in the system * Apply best practices when submitting MIODs | | | | |
| **Time** | **Topic** | **Content** | | **Design/Treatment** |
| 15 min. | Introduction to Member Initiated Organization Determinations (MIODs) | * Review of what an MIOD is * Examples / situations where this may apply * Extra form required | | **Discussion:**  Introductory discussion to get participants talking about MIODs. Instructor throws ascenario out to the class and asks which type of complaint / grievance it is and how do they know.  It will be an MIOD. This is before the section is introduced.  The instructor will ask someone in the class to explain why it is an MIOD.  **UHC eLearning – *MIOD Story***: Instructor will go through it with participants as a class |
| 15 min. | Types of MIODs | * Review what an MIOD is * Most common types of MIODs | | **Discussion:**  Ask someone in the class to explain what an MIOD is.  Debrief with an explanation.  The instructor will explain the most common types. |
| 1 hour | System Demonstration:  - MIOD | Completing an MIOD in Maestro   * Status of an Existing Authorization | | **UHC eLearning Module:**  This module walks through a call with a Member with snippets of that call that are paused to show the screens that the Advocate would fill out and ask questions on the screen. Instructor will go through it together with participants as a class, adding in supplementary material, as indicated in the Instructor Guide.  The screen shown here are screenshots and not actual system screens. |
| 45 min. | Practice Individually – MIODs: Maestro | MIOD Practice - Maestro | | **Practice in System:**  Participants will be given a scenario and have to practice entering it in the system individually. Instructor will walk around and answer questions. He/she will remind them to use the Grievance Checklist.  **Debrief:**  The Instructor will ask where did they trip up on this one and answer questions. |
| 20 min. | Practice Individually: M&R Infopath Form | MIOD Practice – InfoPath Form | | **Practice in System:**  Participants will use same scenario above to practice entering it in the system individually. Instructor will walk around and answer questions.  **Debrief:**  The Instructor will ask where did they trip up on this one and answer questions. |
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| **Lesson 4: Condition Determination (CDs)**  Time:  Objectives:   * Explain what a Coverage Determination is * Determine the different types of Coverage Determinations * Identify when a Coverage Determination is necessary * Give examples of Coverage Determinations * Identify a call containing a Coverage Determination from a Member * Identify if an existing Coverage Determination is on file within the PAS * Enter a Coverage Determination into the system completely and accurately * Complete the PA Initiative Form * Document the issue and resolution accurately in the system | | | | |
| **Time** | **Topic** | **Content** | | **Design/Treatment** |
| 15 min. | Introduction to Condition Determinations (CDs) | * Review of what a CD is * Examples / situations where this may apply * Extra form required | | **Discussion:**  Introductory discussion to get participants talking about CDs. Instructor throws ascenario out to the class and asks which type of complaint / grievance it is and how do they know.  It will be a CD. This is before the section is introduced.  The instructor will ask someone in the class to explain why it is a condition determination. |
| 30 min. | Types of CDs | * Review what a CD is * Different types of CDs | | **UHC eLearning Activity – *Utilization Management Definitions:***  Instructor will go through eLearning activity with participants as a class to learn about the different types of CDs and run through situations, choosing the appropriate type. |
| 10 min. | Offering a CD | When should a CD be offered to the Member? | | **UHC eLearning Activity – *When Should I Offer?***  Instructor will go through eLearning as a class, which runs through scenarios and asks participants if they should offer a CD. |
| 1 hour | System Demonstration:  - CD | Completing a CD in Maestro   * Search PAS for open submissions | | **UHC eLearning Module:**  This module walks through a call with a Member with snippets of that call that are paused to show the screens that the Advocate would fill out and ask questions on the screen. Instructor will go through it together with participants as a class, adding in supplementary material, as indicated in the Instructor Guide.  The screen shown here are screenshots and not actual system screens. |
| 45 min. | Practice Individually – CDs: Maestro | CD Practice - Maestro | | **Practice in System:**  Participants will be given a scenario and have to practice entering it in the system individually. Instructor will walk around and answer questions. He/she will remind them to use the Grievance Checklist.  **Debrief:**  The Instructor will ask where did they trip up on this one and answer questions. |
| 20 min. | Practice Individually: PA Initiative Form | CD Practice – PA Initiative Form | | **Practice in System:**  Participants will use same scenario above to practice entering it in the system individually. Instructor will walk around and answer questions.  **Debrief:**  The Instructor will ask where did they trip up on this one and answer questions. |
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| **Lesson 5: Handling the Call with the Member (Critical Thinking)**  Time:  Objectives:   * Determine the root cause of the Member’s issue, in order to file a complaint/grievance for the appropriate concern * Ask probing questions to gather all information necessary for the complaint/grievance (review) * Determine what to do when there are multiple grievances on a call | | | | |
| **Time** | **Topic** | **Content** | | **Design/Treatment** |
| 10 min. | Introduction to Critical Thinking (How to Handle the Call with the Member) | * We have talked about the system for a while, so let’s move on to how to handle the actual call with the member * Why is this important? | | Discussion:  The Instructor will ask what are some of the things you need to be thinking about when on the call with the member to ensure you complete all forms correctly, gather all information needed, and adequately resolve the issue. |
| 40 min. | Determining Root Cause and Gathering all Necessary Information | * What is root cause? How does it apply here? Can we take what they say at face value? * How do you find the root cause? * Probing – 5 W questions we discussed earlier (this was introduced earlier in reference to gathering all necessary information when documenting the issue but will be reinforced and expanded here when talking about root cause) | | Group Activity:  Part 1:  Have participants get in groups of 4 and give each one a situation (basic information) that member would call in about involving a complaint / grievance.  Have them come up with the questions they would ask the member and share with the class.  Part 2: The Instructor will reveal some more information (answers to 5 Why’s). Have them get back in groups and discuss potential root causes. They will them share with the class.  Each group will have different scenarios. |
| 5 min. | Multiple Grievances | What do you do when there are multiple grievances on a call? | | **Discussion:**  Instructor will discuss how to handle multiple grievances on one call |
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| **Lesson 6: Tools to Aid in Your Success**  Time:  Objectives:   * Use the Compliance Improvement tool * Identify the top 5 mistakes when submitting a complaint/grievance and how to avoid them * Be familiar with the criteria needed to successfully pass a complaint/grievance submission * Explain how complaints/grievances submitted by each Advocate are tracked * Explain the process for getting a complaint/grievance approved by a Supervisor before submitting | | | | |
| **Time** | **Topic** | **Content** | | **Design/Treatment** |
| 15 min. | Compliance Tracking and Criteria | * Spreadsheet used for tracking * Pass/fail percentage * Tracking criteria * How many needed to pass to maintain overall passing percentage * Reiterate importance (we are fined if we fall below 95%) | | Discussion:  Compliance Manager/Supervisor will come in and show spreadsheet tracking each Advocate.  The 95% criteria to pass will be discussed, as well is what is required to meet that criteria. |
| 10 min. | Compliance Improvement Tool | Introduction of the Compliance Improvement Tool to give them verbiage on how to document the most common complaints / grievances | | **Instructor Demonstration of Compliance Improvement Tool:**  The Compliance Improvement Tool will be introduced as a resource for Advocates to be successful. The Instructor will pull it up and show how to use it. |
| 30 min. | Top 5 Mistakes | Top 5 Mistakes that the Compliance Champions have discovered Advocates making, resulting in failed submissions | | **Discussion/Group Activity:**  The Instructor will ask participants what they think the top mistakes might be when completing grievances/complaints.  Instructor will then divide the class into 5 groups and give each one of the top mistakes. They must talk for 3 minutes about they would ensure they don’t make that mistake and present each mistake as well as what they discussed to the class. |
| 10 min. | Process for Submitting Grievance | Advocates need to raise their hand and have their complaint / grievance form looked at by a Compliance Champion before submitting it (while the Member is still on the phone.) | | Discussion:  Instructor will make sure the participants understand that they cannot submit a complaint/grievance without getting it approved by a Supervisor. They need to stay on the phone with the Member but put them on hold and raise their hand to get approval. |
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| **Lesson 7: Conclusion / Wrap Up** | | | | |
| 10 min. | Conclusion / Wrap Up | N/A | | N/A |
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| **Total Time** | 16 hours | |