

# Fact Sheet

## Part C Reconsideration Appeals Data – Q4 2020

### Part C Appeals Process

An appeal is the process by which a party (which includes individuals enrolled in a Medicare Health Plan (enrollees), their representatives, or certain providers) may challenge a plan's organization determination. Appeals begin with a request by a party for reconsideration by the plan of an "organization determination" made by the plan about furnishing, covering or paying for a benefit. If the plan's reconsideration decision continues to uphold its original denial, in whole or in part, the plan must forward the reconsideration to the Part C Independent Review Entity (also called the Part C Qualified Independent Contractor or "Part C QIC"). A party that is dissatisfied with the Independent Review Entity's decision may appeal to an Administrative Law Judge when the amount in controversy limits are met. If the party continues to be dissatisfied with the decision, additional appeal levels include the Medicare Appeals Council and federal judicial review, if additional amount in controversy limits are met.

The following data summarizes and highlights some of the key data on Part C reconsiderations from Q4 of 2020.

### Reconsideration Volume

The Part C QIC received 29,527 reconsideration requests during Q4 of 2020. This represents a rate of 4.63 reconsiderations for each 1,000 Medicare beneficiaries enrolled<sup>1</sup>.

Standard PreService cases represented 16.6% of all appeals received and resulted in a rate of 0.77 reconsiderations for each 1,000 beneficiaries enrolled.

Standard PreService Part B drug cases represented 2.0% of all appeals received and resulted in a rate of 0.09 reconsiderations for each 1,000 beneficiaries enrolled.

Standard retrospective cases represented 58.8% of all appeals received and resulted in a rate of 2.72 reconsiderations for each 1,000 beneficiaries enrolled.

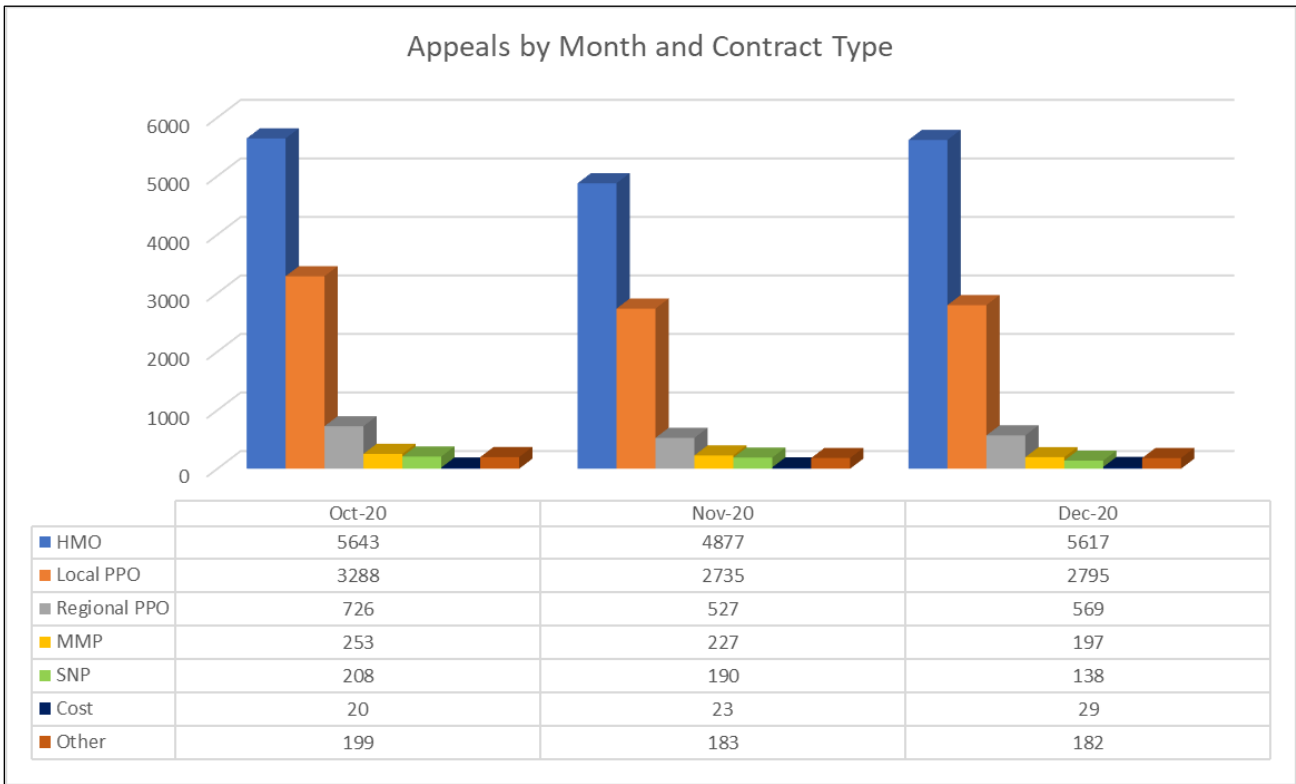
Expedited cases represented 22.6% of all appeals received and resulted in a rate of 1.04 expedited cases for each 1,000 beneficiaries enrolled.

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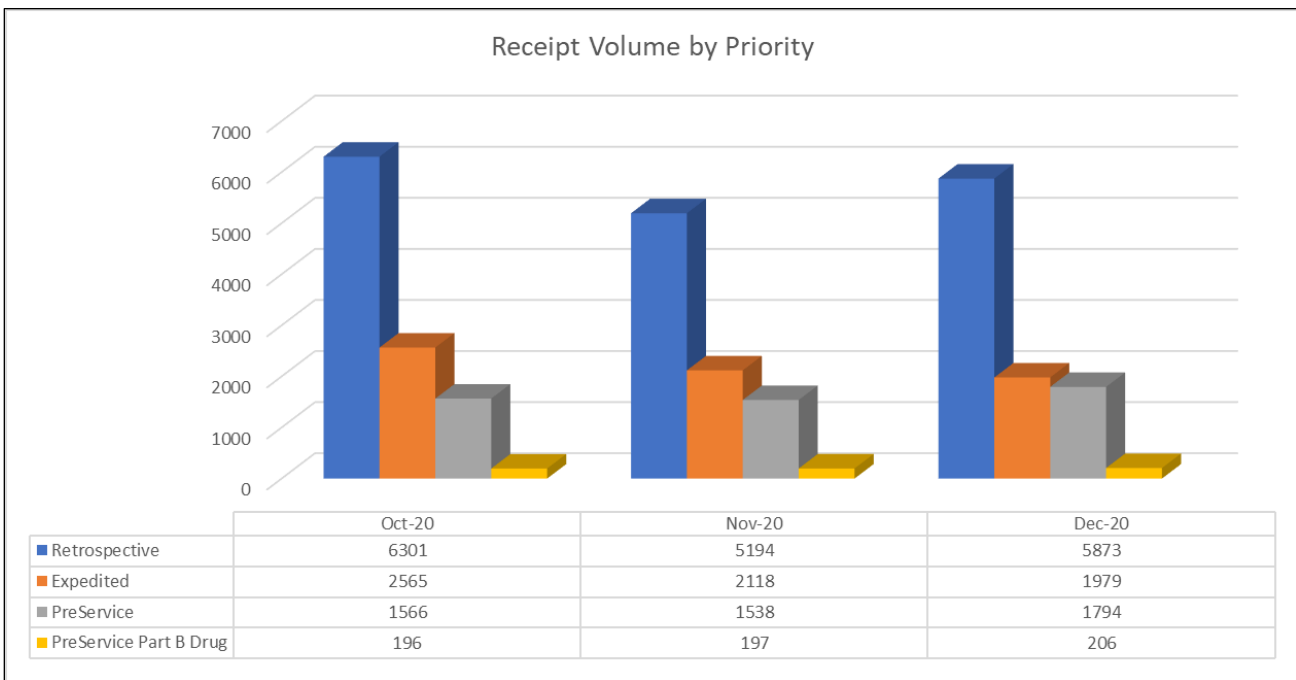
<sup>1</sup> Annual volume, divided by quarter-year enrollment (times 1,000) is used to calculate the annual rate of appeals per 1,000 enrollees.

# Reconsideration Volume

## Appeal Receipts with Contract Type

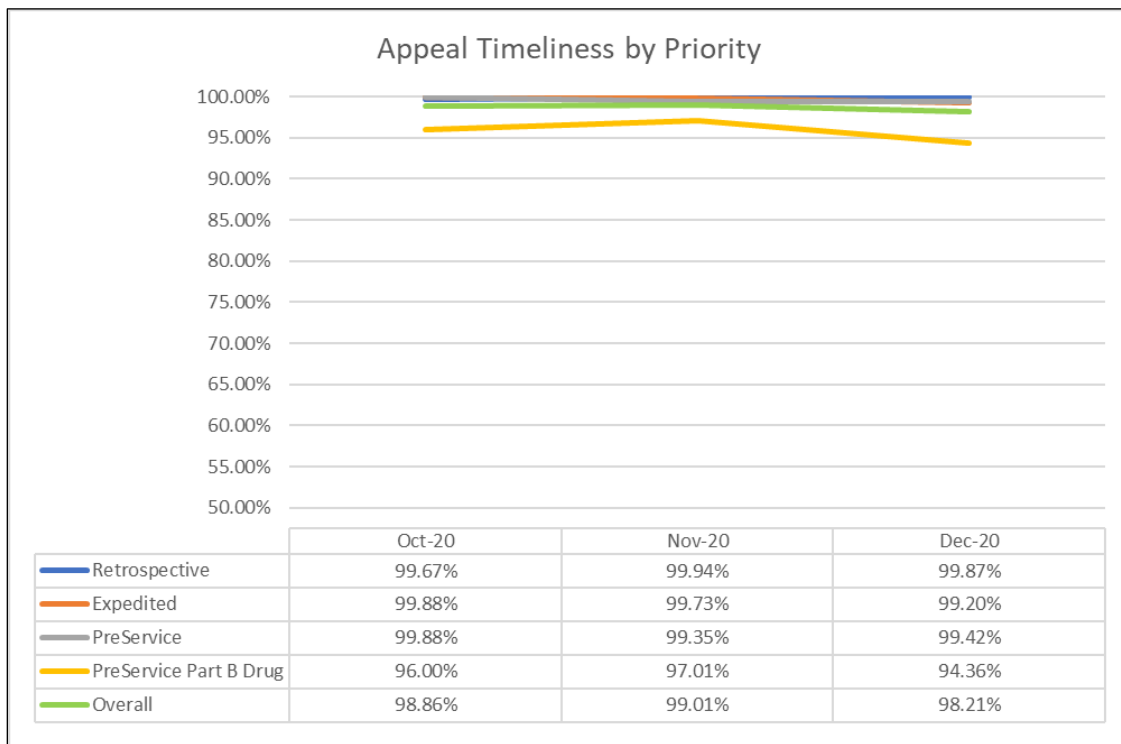


## Appeal Receipts by Priority

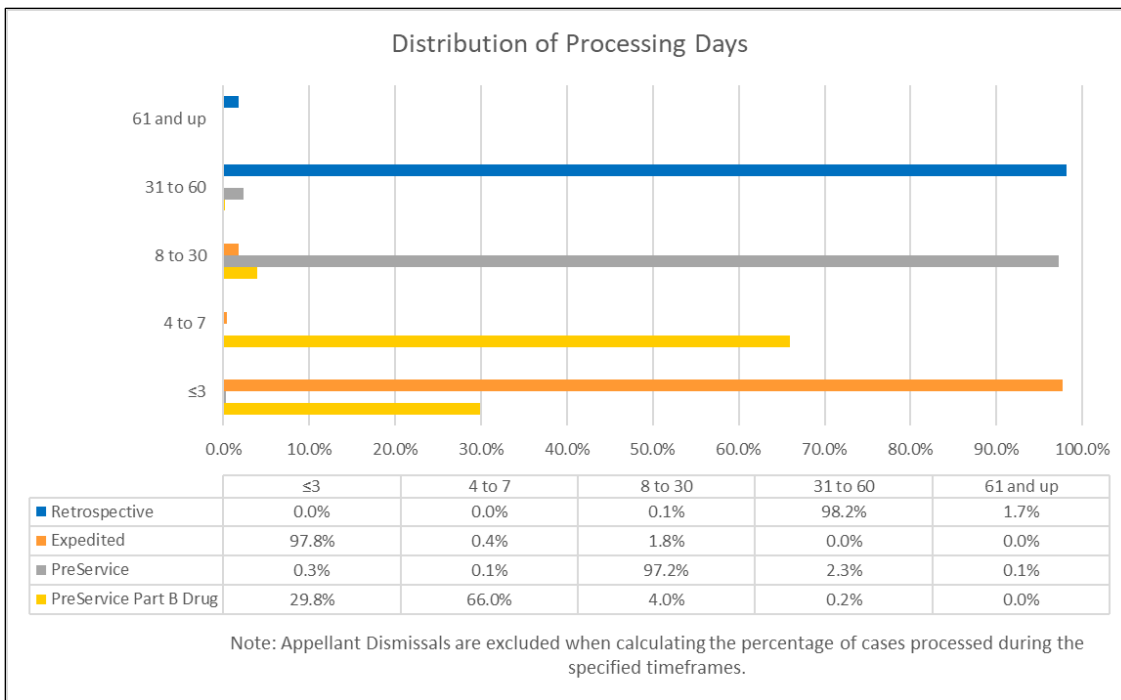


# Timeliness of Reconsideration Cases

## Timeliness of Decisions by Priority

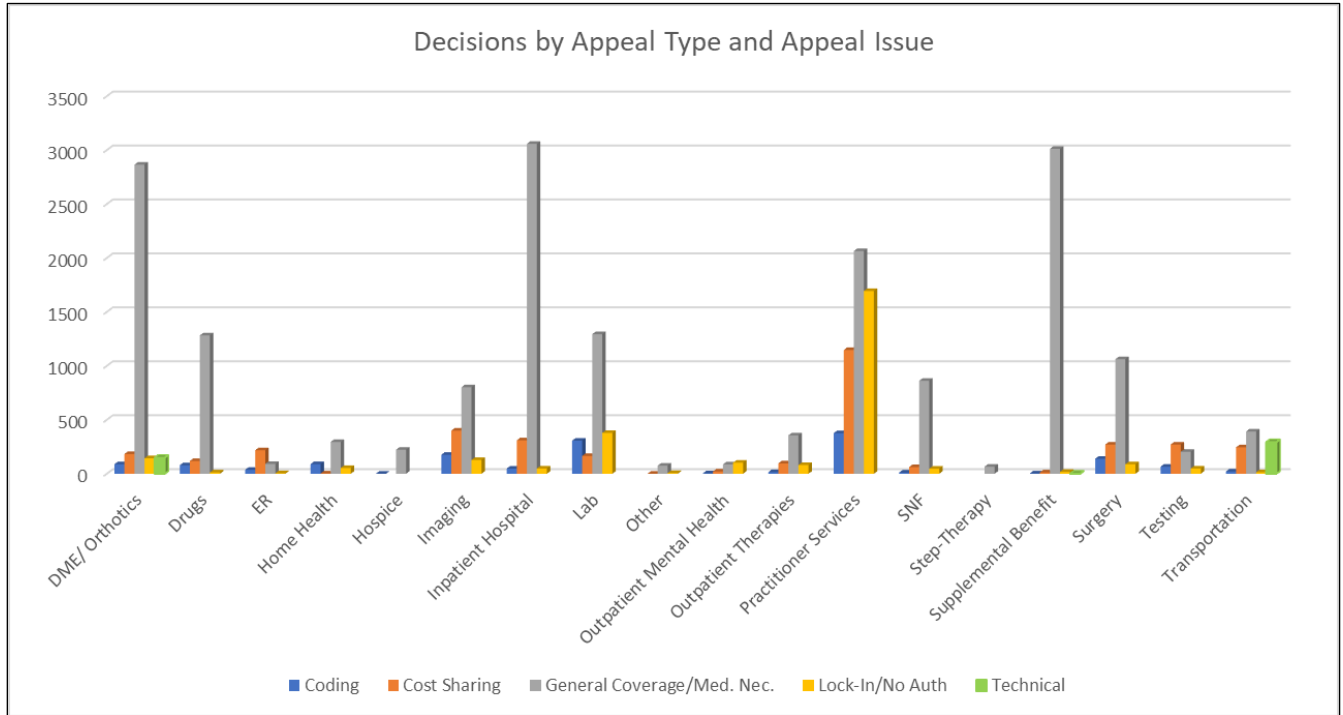


## Days to Decision



# Appeal Details

## Substantive Decisions by Appeal Type and Appeal Issue<sup>2</sup>



<sup>2</sup> Substantive cases include appeals where MAXIMUS rendered a decision on the merits of the request. This includes unfavorable, favorable, and partially favorable decisions. It does not include Appellant Dismissals or cases that were dismissed or withdrawn.

## Decisions by Appeal Type and Appeal Issue

Appeal Type	Substantive Cases										All
	Coding		Cost Sharing		General Coverage/Med. Nec.		Lock-In/No Auth		Technical		
	Number	%	Number	%	Number	%	Number	%	Number	%	
DME/Orthotics	88	2.6%	183	5.3%	2865	83.6%	144	4.2%	148	4.3%	3428
Drugs	79	5.3%	118	7.9%	1283	85.9%	13	0.9%	0	0.0%	1493
ER	37	10.5%	218	62.1%	91	25.9%	5	1.4%	0	0.0%	351
Home Health	89	20.2%	3	0.7%	295	66.9%	54	12.2%	0	0.0%	441
Hospice	1	0.4%	0	0.0%	223	99.6%	0	0.0%	0	0.0%	224
Imaging	176	11.7%	400	26.6%	802	53.3%	128	8.5%	0	0.0%	1506
Inpatient Hospital	48	1.4%	310	8.9%	3058	88.3%	49	1.4%	0	0.0%	3465
Lab	307	14.3%	165	7.7%	1294	60.4%	378	17.6%	0	0.0%	2144
Other	0	0.0%	1	1.2%	75	90.4%	7	8.4%	0	0.0%	83
Outpatient Mental Health	4	1.9%	21	9.8%	87	40.5%	103	47.9%	0	0.0%	215
Outpatient Therapies	15	2.7%	96	17.5%	356	65.0%	81	14.8%	0	0.0%	548
Practitioner Services	376	7.1%	1147	21.7%	2064	39.1%	1694	32.1%	0	0.0%	5281
SNF	11	1.1%	62	6.3%	862	87.8%	47	4.8%	0	0.0%	982
Step-Therapy	0	0.0%	0	0.0%	66	100.0%	0	0.0%	0	0.0%	66
Supplemental Benefit	3	0.1%	13	0.4%	3012	98.8%	18	0.6%	2	0.1%	3048
Surgery	139	8.9%	271	17.4%	1062	68.1%	88	5.6%	0	0.0%	1560
Testing	66	11.2%	271	46.0%	203	34.5%	49	8.3%	0	0.0%	589
Transportation	21	2.2%	245	25.4%	392	40.6%	14	1.5%	293	30.4%	965
<b>Grand Total</b>	<b>1460</b>	<b>5.5%</b>	<b>3524</b>	<b>13.4%</b>	<b>18090</b>	<b>68.6%</b>	<b>2872</b>	<b>10.9%</b>	<b>443</b>	<b>1.7%</b>	<b>26389</b>

## Overturn Details

### Substantive Case Overturn Rate by Priority

Priority	Substantive Decision				Grand Total
	Favorable (Overturn)	Partially Favorable (Partially Overturn)	Unfavorable (Uphold)	Overturn Rate	
Expedited	353	18	6156	5.7%	6527
PreService	284	27	4247	6.8%	4558
PreService Part B Drug	42	1	526	7.6%	569
Retrospective	668	56	14011	4.9%	14735
Total	1347	102	24940	5.5%	26389

### Types of Appeals and Rates of Overturn of Plan Denials

Appeal Type	Total Cases	Substantive Cases	Substantive Rate	Overturns*	% Overturned	% of All Overturns
DME/ Orthotics	3496	3428	98.1%	115	3.4%	7.9%
Drugs	1553	1493	96.1%	111	7.4%	7.7%
ER	378	351	92.9%	20	5.7%	1.4%
Home Health	454	441	97.1%	7	1.6%	0.5%
Hospice	225	224	99.6%	0	0.0%	16.0%
Imaging	1585	1506	95.0%	232	15.4%	13.5%
Inpatient Hospital	3560	3465	97.3%	195	5.6%	10.6%
Lab	2662	2144	80.5%	154	7.2%	0.4%
Other	450	83	18.4%	6	7.2%	0.3%
Outpatient Mental Health	226	215	95.1%	4	1.9%	3.2%
Outpatient Therapies	575	548	95.3%	46	8.4%	13.8%
Practitioner Services	5530	5281	95.5%	200	3.8%	2.5%
SNF	1037	982	94.7%	36	3.7%	0.1%
Step-Therapy	66	66	100.0%	1	1.5%	7.9%
Supplemental Benefit	3130	3048	97.4%	114	3.7%	9.4%
Surgery	1595	1560	97.8%	136	8.7%	2.6%
Testing	606	589	97.2%	37	6.3%	2.4%
Transportation	1023	965	94.3%	35	3.6%	2.4%
Total	28151	26389	93.7%	1449	5.5%	100.0%

\*Includes both fully and partially favorable decisions.

## Substantive Dispositions by Appeal Type and Item Service

	Favorable (Overturn)		Partially Favorable (Partially Overturn)		Unfavorable (Uphold)		Substantive Cases
	%	Number	%	Number	%	Number	Total
<b>DME/ Orthotics</b>	<b>3.12%</b>	<b>107</b>	<b>0.23%</b>	<b>8</b>	<b>96.65%</b>	<b>3313</b>	<b>3428</b>
Compression Stockings	1.28%	1	0.00%	0	98.72%	77	78
CPAP	3.37%	3	1.12%	1	95.51%	85	89
Diabetic Supplies	6.12%	15	0.82%	2	93.06%	228	245
Extremity Brace	0.91%	2	0.00%	0	99.09%	217	219
Foot Orthotics	2.93%	6	0.00%	0	97.07%	199	205
Manual Wheelchair	2.63%	2	1.32%	1	96.05%	73	76
Neck/Back	1.23%	1	0.00%	0	98.77%	80	81
Other	3.91%	62	0.13%	2	95.96%	1522	1586
Oxygen Equipment	4.62%	6	0.00%	0	95.38%	124	130
Pneumatic Compression Device	1.55%	3	0.00%	0	98.45%	191	194
Power Mobility Devices	1.08%	4	0.54%	2	98.38%	365	371
Seat Lift Mechanism	2.27%	1	0.00%	0	97.73%	43	44
Shower/Bath Chair	0.00%	0	0.00%	0	100.00%	80	80
Walker	3.33%	1	0.00%	0	96.67%	29	30
<b>Drugs</b>	<b>7.10%</b>	<b>106</b>	<b>0.33%</b>	<b>5</b>	<b>92.57%</b>	<b>1382</b>	<b>1493</b>
Chemotherapy	18.49%	22	1.68%	2	79.83%	95	119
Immunology	4.00%	1	0.00%	0	96.00%	24	25
Other	7.10%	36	0.39%	2	92.50%	469	507
Pain Management	8.33%	4	0.00%	0	91.67%	44	48
PreService Part B-Drug	7.27%	42	0.17%	1	92.56%	535	578
Rheumatology	0.00%	0	0.00%	0	100.00%	5	5
Self-Administered	0.47%	1	0.00%	0	99.53%	210	211
<b>ER</b>	<b>5.70%</b>	<b>20</b>	<b>0.00%</b>	<b>0</b>	<b>94.30%</b>	<b>331</b>	<b>351</b>
<b>Home Health</b>	<b>1.36%</b>	<b>6</b>	<b>0.23%</b>	<b>1</b>	<b>98.41%</b>	<b>434</b>	<b>441</b>
<b>Hospice</b>	<b>0.00%</b>	<b>0</b>	<b>0.00%</b>	<b>0</b>	<b>100.00%</b>	<b>224</b>	<b>224</b>
<b>Imaging</b>	<b>14.67%</b>	<b>221</b>	<b>0.73%</b>	<b>11</b>	<b>84.59%</b>	<b>1274</b>	<b>1506</b>
CT Scan	21.98%	80	1.10%	4	76.92%	280	364
CTA	15.38%	4	0.00%	0	84.62%	22	26
DEXA	10.00%	1	0.00%	0	90.00%	9	10
EKG	8.77%	5	1.75%	1	89.47%	51	57
Mammography	1.30%	1	0.00%	0	98.70%	76	77
MRI	21.62%	56	1.16%	3	77.22%	200	259
Other	9.30%	28	0.66%	2	90.03%	271	301
PET Scan	29.03%	27	0.00%	0	70.97%	66	93
X-Ray	5.96%	19	0.31%	1	93.73%	299	319

	Favorable (Overturn)		Partially Favorable (Partially Overturn)		Unfavorable (Uphold)		Substantive Cases
	%	Number	%	Number	%	Number	Total
<b>Inpatient Hospital</b>	<b>5.45%</b>	<b>189</b>	<b>0.17%</b>	<b>6</b>	<b>94.37%</b>	<b>3270</b>	<b>3465</b>
Acute Inpatient	23.56%	131	0.90%	5	75.54%	420	556
Acute Inpatient Rehab	0.41%	7	0.00%	0	99.59%	1711	1718
Critical Care	0.00%	0	0.00%	0	100.00%	44	44
Inpatient Mental Health	12.43%	23	0.54%	1	87.03%	161	185
LTACH	0.51%	4	0.00%	0	99.49%	783	787
Other	14.53%	17	0.00%	0	85.47%	100	117
Post Stabilization	12.07%	7	0.00%	0	87.93%	51	58
<b>Lab</b>	<b>6.90%</b>	<b>148</b>	<b>0.28%</b>	<b>6</b>	<b>92.82%</b>	<b>1990</b>	<b>2144</b>
Drug Testing	2.82%	9	0.00%	0	97.18%	310	319
General Health Panel	7.84%	16	0.00%	0	92.16%	188	204
Genetic Testing	5.42%	30	0.54%	3	94.03%	520	553
Other	8.71%	93	0.28%	3	91.01%	972	1068
<b>Other</b>	<b>6.02%</b>	<b>5</b>	<b>1.20%</b>	<b>1</b>	<b>92.77%</b>	<b>77</b>	<b>83</b>
<b>Outpatient Mental Health</b>	<b>1.40%</b>	<b>3</b>	<b>0.47%</b>	<b>1</b>	<b>98.14%</b>	<b>211</b>	<b>215</b>
<b>Outpatient Therapies</b>	<b>8.03%</b>	<b>44</b>	<b>0.36%</b>	<b>2</b>	<b>91.61%</b>	<b>502</b>	<b>548</b>
Cardiac Rehab	0.00%	0	0.00%	0	100.00%	6	6
Occupational Therapy	14.81%	4	0.00%	0	85.19%	23	27
Other	8.77%	10	0.88%	1	90.35%	103	114
Physical Therapy	7.29%	28	0.26%	1	92.45%	355	384
Pulmonary Rehab	0.00%	0	0.00%	0	100.00%	1	1
Speech Therapy	12.50%	2	0.00%	0	87.50%	14	16
<b>Practitioner Services</b>	<b>3.31%</b>	<b>175</b>	<b>0.47%</b>	<b>25</b>	<b>96.21%</b>	<b>5081</b>	<b>5281</b>
Acupuncture	11.63%	5	0.00%	0	88.37%	38	43
Anesthesia	7.76%	9	0.86%	1	91.38%	106	116
Cardiovascular Disease	2.94%	1	0.00%	0	97.06%	33	34
Chiropractic Care	0.00%	0	0.00%	0	100.00%	221	221
Experimental/Investigational	2.38%	1	2.38%	1	95.24%	40	42
Immunizations	0.00%	0	0.00%	0	100.00%	45	45
Injections	5.49%	27	0.41%	2	94.11%	463	492
Non-Physician Provider	0.00%	0	0.00%	0	100.00%	46	46
Office Visit	2.75%	49	0.34%	6	96.91%	1727	1782
Other	3.49%	68	0.51%	10	96.00%	1871	1949
Out of Area	1.72%	1	0.00%	0	98.28%	57	58
Pain Management	1.92%	4	1.92%	4	96.15%	200	208
Preventive Services	0.00%	0	0.00%	0	100.00%	10	10
Pulmonary Disease	0.00%	0	0.00%	0	100.00%	3	3
Services Not Covered	6.67%	1	0.00%	0	93.33%	14	15
Specialty vs. Primary Care	2.22%	3	0.00%	0	97.78%	132	135
Wound Care	7.32%	6	1.22%	1	91.46%	75	82



	Favorable (Overturn)		Partially Favorable (Partially Overturn)		Unfavorable (Uphold)		Substantive Cases
	%	Number	%	Number	%	Number	Total
<b>Skilled Nursing Facility</b>	<b>3.36%</b>	<b>33</b>	<b>0.31%</b>	<b>3</b>	<b>96.33%</b>	<b>946</b>	<b>982</b>
<b>Step-Therapy</b>	<b>1.52%</b>	<b>1</b>	<b>0.00%</b>	<b>0</b>	<b>98.48%</b>	<b>65</b>	<b>66</b>
<b>Supplemental Benefit</b>	<b>3.02%</b>	<b>92</b>	<b>0.72%</b>	<b>22</b>	<b>96.26%</b>	<b>2934</b>	<b>3048</b>
Dental	2.54%	63	0.85%	21	96.62%	2400	2484
Gym Membership	0.00%	0	0.00%	0	100.00%	18	18
Hearing Aids	2.68%	3	0.00%	0	97.32%	109	112
OTC (Over-The-Counter)	0.00%	0	0.00%	0	100.00%	6	6
Other	4.49%	7	0.00%	0	95.51%	149	156
Vision Care	6.99%	19	0.37%	1	92.65%	252	272
<b>Surgery</b>	<b>8.33%</b>	<b>130</b>	<b>0.38%</b>	<b>6</b>	<b>91.28%</b>	<b>1424</b>	<b>1560</b>
Brain and Spine	3.60%	9	0.00%	0	96.40%	241	250
Endoscopy	0.00%	0	0.00%	0	0.00%	0	0
Eye	4.71%	4	1.18%	1	94.12%	182	85
Joint/Bone Surgery	12.86%	27	0.48%	1	86.67%	886	210
Other	8.72%	85	0.41%	4	90.87%	35	975
Plastic Surgery	12.50%	5	0.00%	0	87.50%	35	40
<b>Testing</b>	<b>5.60%</b>	<b>33</b>	<b>0.68%</b>	<b>4</b>	<b>93.72%</b>	<b>552</b>	<b>589</b>
Colonoscopy	3.90%	3	1.30%	1	94.81%	73	77
Endoscopy	4.35%	2	2.17%	1	93.48%	43	46
Experimental/Investigational	0.00%	0	0.00%	0	0.00%	0	0
Nuclear Stress Test	14.29%	3	0.00%	0	85.71%	18	21
Other	5.48%	12	0.46%	1	94.06%	206	219
PET Scan	11.11%	1	0.00%	0	88.89%	8	9
Sleep Study	10.53%	4	0.00%	0	89.47%	34	38
Ultrasound	4.47%	8	0.56%	1	94.97%	170	179
<b>Transportation</b>	<b>3.52%</b>	<b>34</b>	<b>0.10%</b>	<b>1</b>	<b>96.37%</b>	<b>930</b>	<b>965</b>
Ambulance	2.92%	20	0.15%	1	96.94%	665	686
Ambulance - Air	16.00%	4	0.00%	0	84.00%	21	25
Ambulance - Non-Emergent	7.27%	8	0.00%	0	92.73%	102	110
Other	1.39%	2	0.00%	0	98.61%	142	144
<b>Grand Total</b>	<b>5.10%</b>	<b>1347</b>	<b>0.39%</b>	<b>102</b>	<b>94.51%</b>	<b>24940</b>	<b>26389</b>