

# Fact Sheet

## Part C Reconsideration Appeals Data – Q3 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 Q3 of 2020.

### Reconsideration Volume

The Part C QIC received 28,075 reconsideration requests during Q3 of 2020. This represents a rate of 4.44 reconsiderations for each 1,000 Medicare beneficiaries enrolled<sup>1</sup>.

Standard Pre-service cases represented 14.9% of all appeals received and resulted in a rate of 0.66 reconsiderations for each 1,000 beneficiaries enrolled.

Standard Pre-Service Part B drug cases represented 2.2% of all appeals received and resulted in a rate of 0.10 reconsiderations for each 1,000 beneficiaries enrolled.

Retrospective cases represented 60.3% of all appeals received and resulted in a rate of 2.68 reconsiderations for each 1,000 beneficiaries enrolled.

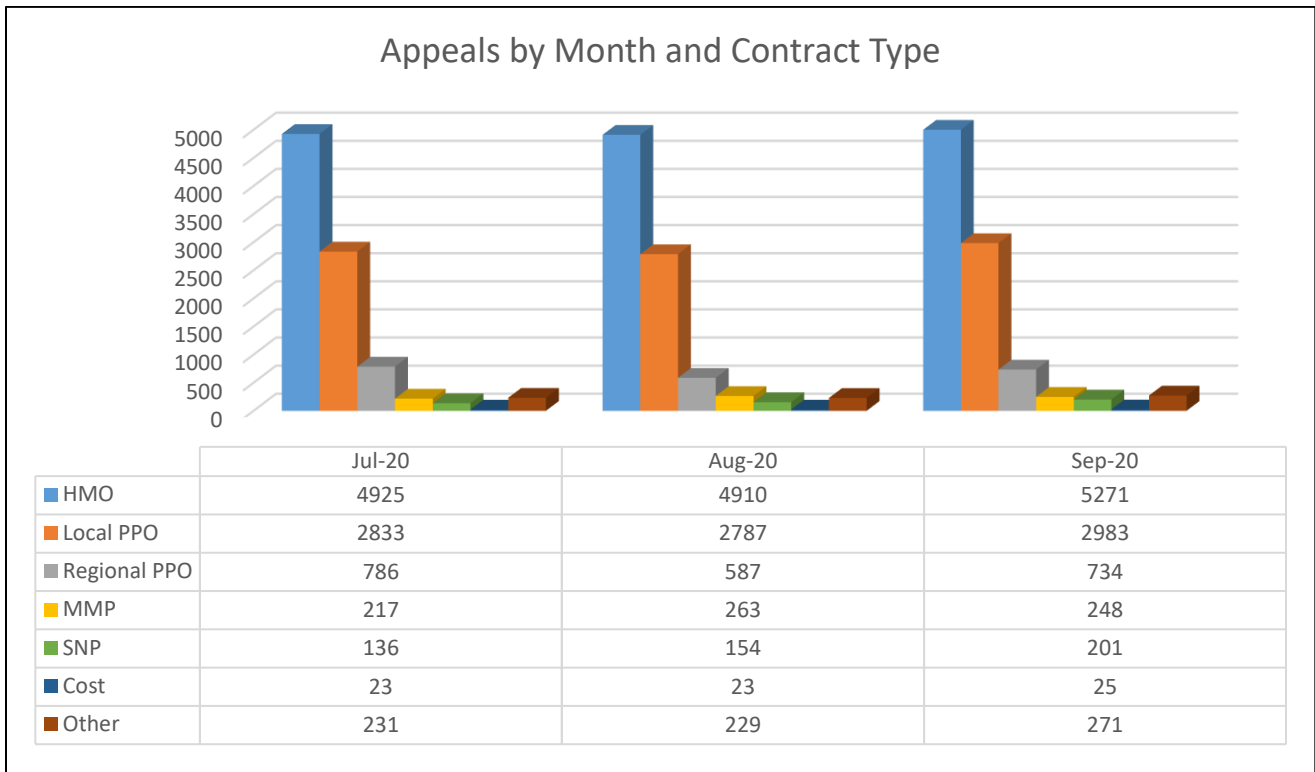
Expedited cases represented 22.6% of all appeals received and resulted in a rate of 1.00 expedited cases for each 1,000 beneficiaries enrolled.

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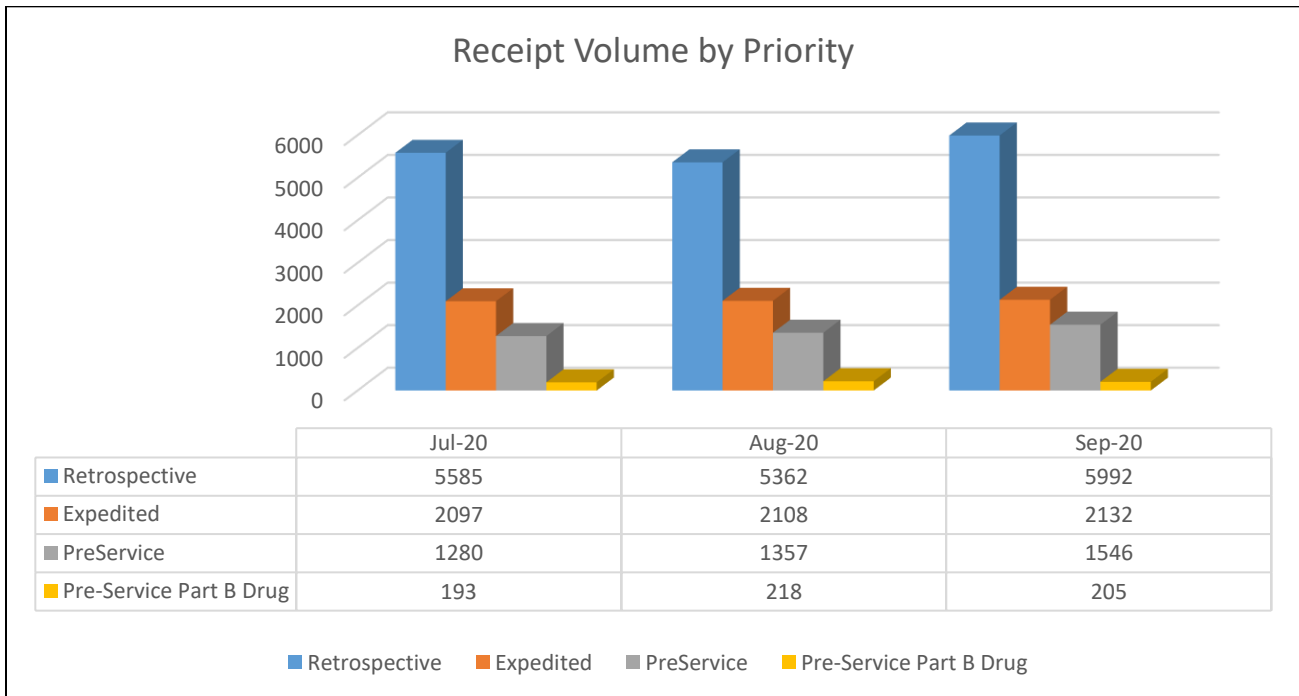
<sup>1</sup> Annual volume, divided by quarter-year enrollment (times 1,000) is used to calculate the annual rate of appeals per 1,000 enrollees.

# Reconsideration Volume

## Appeal Receipts with Contract Type

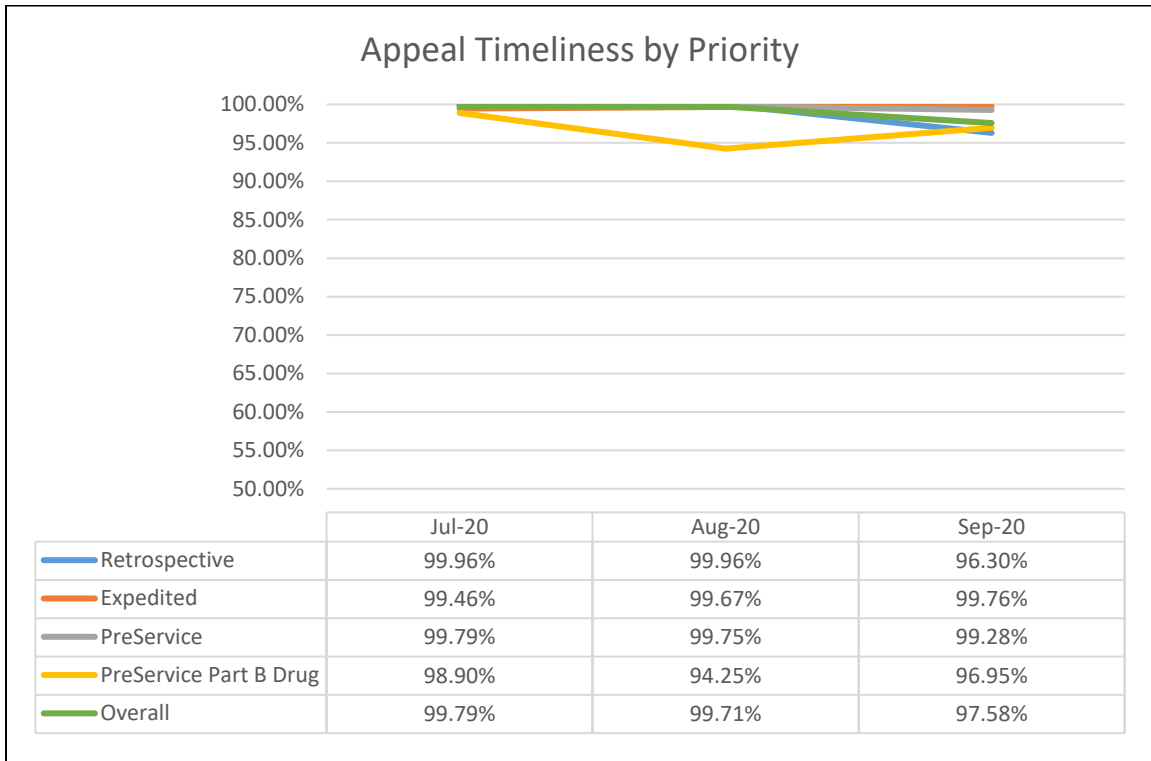


## Appeal Receipts by Priority

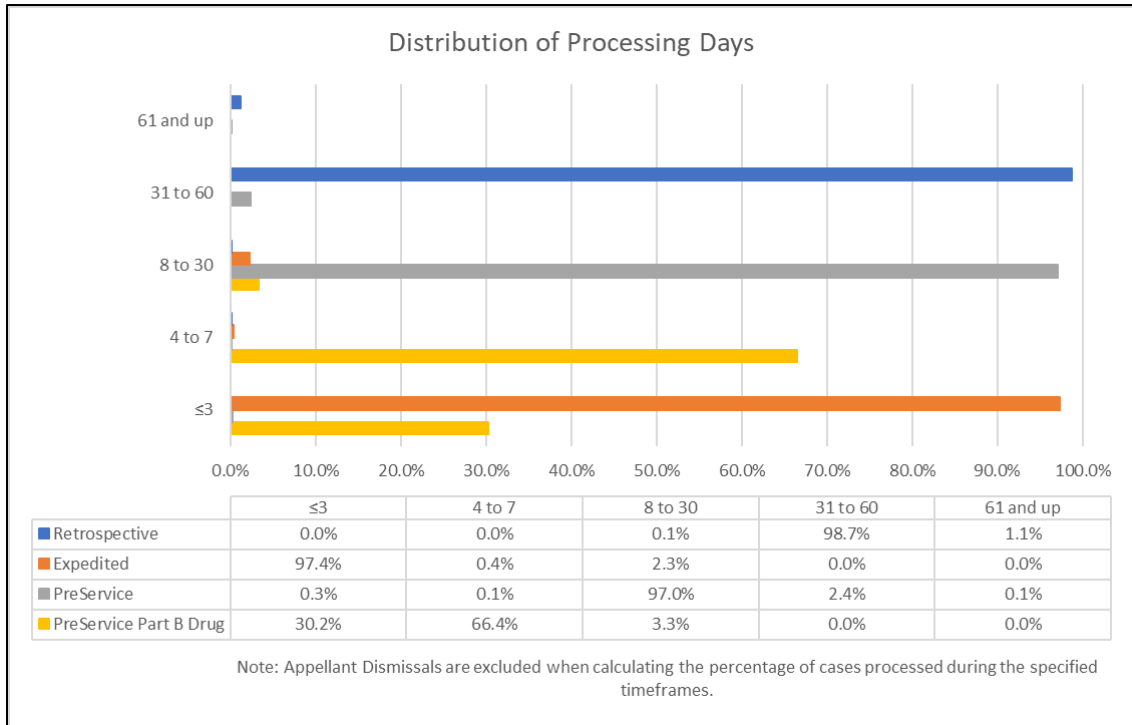


# Timeliness of Reconsideration Cases

## Timeliness of Decisions by Priority

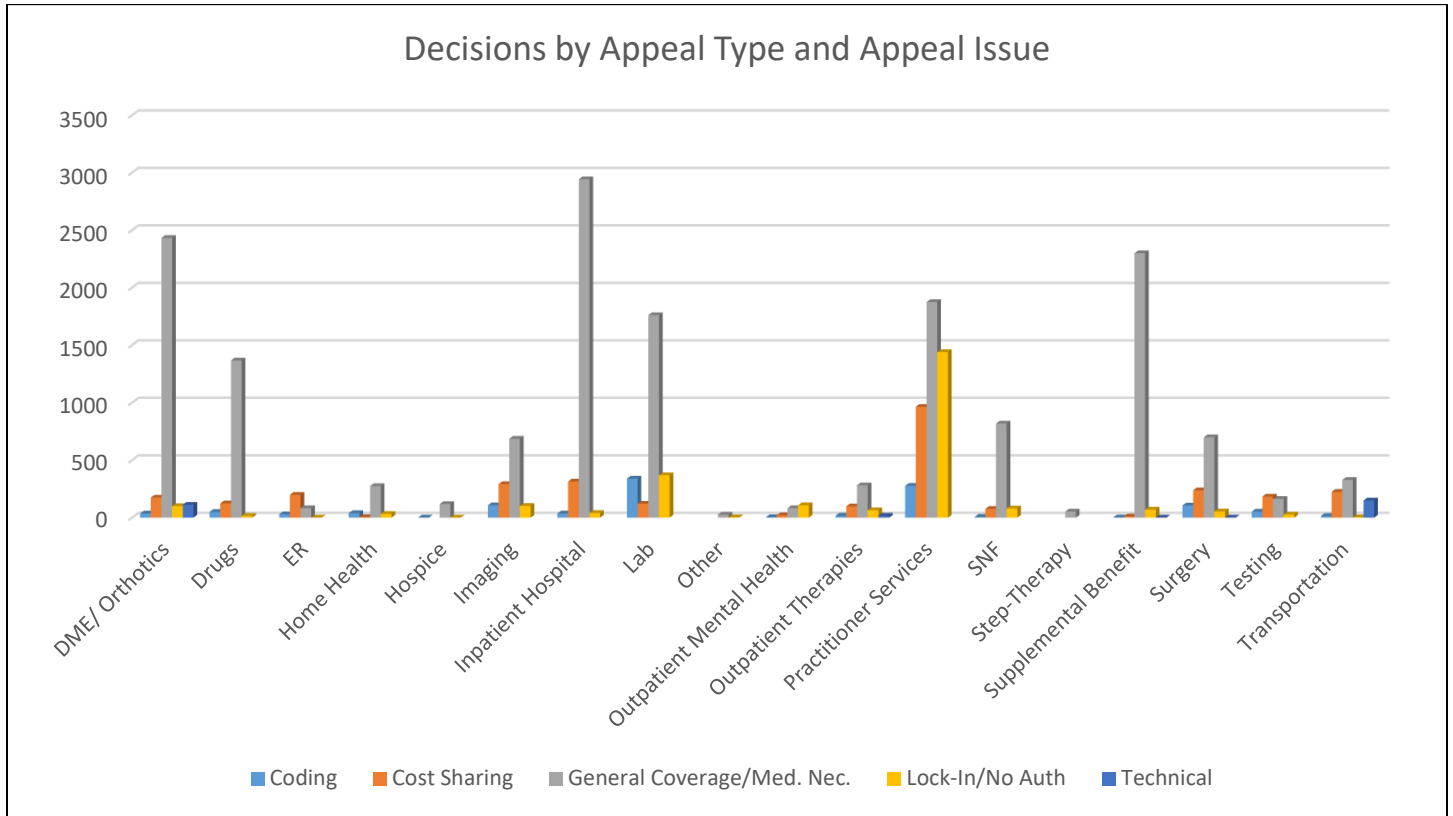


## Days to Decision



# 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	36	1.3%	174	6.1%	2433	85.2%	100	3.5%	112	3.9%	2855
Drugs	50	3.2%	124	8.0%	1367	87.9%	15	1.0%	0	0.0%	1556
ER	29	9.4%	198	63.9%	82	26.5%	1	0.3%	0	0.0%	310
Home Health	39	11.1%	5	1.4%	275	78.3%	32	9.1%	0	0.0%	351
Hospice	1	0.8%	0	0.0%	118	98.3%	1	0.8%	0	0.0%	120
Imaging	107	9.0%	291	24.5%	686	57.8%	102	8.6%	0	0.0%	1186
Inpatient Hospital	36	1.1%	314	9.4%	2943	88.3%	41	1.2%	0	0.0%	3334
Lab	339	13.1%	121	4.7%	1761	68.0%	369	14.2%	0	0.0%	2590
Other	0	0.0%	0	0.0%	26	89.7%	3	10.3%	0	0.0%	29
Outpatient Mental Health	4	1.9%	21	9.8%	82	38.1%	108	50.2%	0	0.0%	215
Outpatient Therapies	17	3.6%	98	20.5%	281	58.9%	65	13.6%	16	3.4%	477
Practitioner Services	277	6.1%	964	21.2%	1875	41.2%	1440	31.6%	0	0.0%	4556
SNF	7	0.7%	76	7.7%	818	83.4%	80	8.2%	0	0.0%	981
Step-Therapy	0	0.0%	0	0.0%	53	100.0%	0	0.0%	0	0.0%	53
Supplemental Benefit	2	0.1%	10	0.4%	2300	96.5%	70	2.9%	1	0.0%	2383
Surgery	105	9.6%	237	21.6%	699	63.8%	54	4.9%	1	0.1%	1096
Testing	52	12.2%	183	43.1%	163	38.4%	27	6.4%	0	0.0%	425
Transportation	14	1.9%	224	31.2%	328	45.7%	3	0.4%	149	20.8%	718
Grand Total	1115	4.8%	3040	13.1%	16290	70.1%	2511	10.8%	279	1.2%	23235

## Overturn Details

### Substantive Case Overturn Rate by Priority

Priority	Substantive Decision				Grand Total
	Favorable (Overturn)	Partially Favorable (Partially Overturn)	Unfavorable (Uphold)	Overturn Rate	
Expedited	313	11	5815	5.3%	6139
PreService	219	23	3165	7.1%	3407
Pre-Service Part B Drug	46	0	533	7.9%	579
Retrospective	582	61	12467	4.9%	13110
Total	1160	95	21980	5.4%	23235

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

Appeal Type	Total Cases	Substantive Cases	Substantive Rate	Overturns*	% Overtured	% of All Overturns
DME/ Orthotics	2917	2855	97.9%	82	2.9%	6.5%
Drugs	1601	1556	97.2%	106	6.8%	8.4%
ER	327	310	94.8%	13	4.2%	1.0%
Home Health	365	351	96.2%	18	5.1%	1.4%
Hospice	120	120	100.0%	1	0.8%	0.1%
Imaging	1289	1186	92.0%	148	12.5%	11.8%
Inpatient Hospital	3424	3334	97.4%	148	4.4%	11.8%
Lab	2700	2590	95.9%	124	4.8%	9.9%
Other	270	29	10.7%	1	3.4%	0.1%
Outpatient Mental Health	220	215	97.7%	2	0.9%	0.2%
Outpatient Therapies	502	477	95.0%	43	9.0%	3.4%
Practitioner Services	4903	4556	92.9%	252	5.5%	20.1%
SNF	1011	981	97.0%	34	3.5%	2.7%
Step-Therapy	53	53	100.0%	1	1.9%	0.1%
Supplemental Benefit	2465	2383	96.7%	110	4.6%	8.8%
Surgery	1151	1096	95.2%	102	9.3%	8.1%
Testing	441	425	96.4%	50	11.8%	4.0%
Transportation	761	718	94.3%	20	2.8%	1.6%
Total	24520	23235	94.8%	1255	5.4%	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>2.6%</b>	<b>75</b>	<b>0.2%</b>	<b>7</b>	<b>97.1%</b>	<b>2773</b>	<b>2855</b>
Compression Stockings	1.4%	1	0.0%	0	98.6%	70	71
CPAP	6.5%	4	0.0%	0	93.5%	58	62
Diabetic Supplies	6.3%	13	0.5%	1	93.3%	194	208
Extremity Brace	1.1%	2	0.0%	0	98.9%	183	185
Foot Orthotics	2.7%	4	0.0%	0	97.3%	144	148
Manual Wheelchair	0.0%	0	0.0%	0	100.0%	53	53
Neck/Back	1.3%	1	0.0%	0	98.7%	74	75
Other	3.0%	41	0.4%	5	96.6%	1309	1355
Oxygen Equipment	2.4%	3	0.0%	0	97.6%	120	123
Pneumatic Compression Device	1.6%	2	0.0%	0	98.4%	122	124
Power Mobility Devices	1.4%	4	0.3%	1	98.3%	291	296
Seat Lift Mechanism	0.0%	0	0.0%	0	100.0%	45	45
Shower/Bath Chair	0.0%	0	0.0%	0	100.0%	84	84
Walker	0.0%	0	0.0%	0	100.0%	26	26
<b>Drugs</b>	<b>6.6%</b>	<b>103</b>	<b>0.2%</b>	<b>3</b>	<b>93.2%</b>	<b>1450</b>	<b>1556</b>
Chemotherapy	18.2%	24	1.5%	2	80.3%	106	132
Immunology	5.6%	1	0.0%	0	94.4%	17	18
Other	4.3%	23	0.2%	1	95.5%	509	533
Pain Management	8.6%	5	0.0%	0	91.4%	53	58
Pre-Service Part B-Drug	7.8%	46	0.0%	0	92.2%	545	591
Rheumatology	10.0%	1	0.0%	0	90.0%	9	10
Self-Administered	1.4%	3	0.0%	0	98.6%	211	214
<b>ER</b>	<b>3.9%</b>	<b>12</b>	<b>0.3%</b>	<b>1</b>	<b>95.8%</b>	<b>297</b>	<b>310</b>
<b>Home Health</b>	<b>4.6%</b>	<b>16</b>	<b>0.6%</b>	<b>2</b>	<b>94.9%</b>	<b>333</b>	<b>351</b>
<b>Hospice</b>	<b>0.8%</b>	<b>1</b>	<b>0.0%</b>	<b>0</b>	<b>99.2%</b>	<b>119</b>	<b>120</b>
<b>Imaging</b>	<b>11.9%</b>	<b>141</b>	<b>0.6%</b>	<b>7</b>	<b>87.5%</b>	<b>1038</b>	<b>1186</b>
CT Scan	16.7%	44	0.8%	2	82.5%	217	263
CTA	12.5%	2	0.0%	0	87.5%	14	16
DEXA	0.0%	0	0.0%	0	100.0%	5	5
EKG	2.6%	1	0.0%	0	97.4%	37	38
Mammography	2.7%	2	1.4%	1	95.9%	71	74
MRI	19.7%	40	0.5%	1	79.8%	162	203
Other	7.1%	18	0.8%	2	92.1%	234	254
PET Scan	21.4%	21	1.0%	1	77.6%	76	98
X-Ray	5.5%	13	0.0%	0	94.5%	222	235

	Favorable (Overturn)		Partially Favorable (Partially Overturn)		Unfavorable (Uphold)		Substantive Cases
	%	Number	%	Number	%	Number	Total
	<b>Inpatient Hospital</b>	<b>4.4%</b>	<b>147</b>	<b>0.0%</b>	<b>1</b>	<b>95.6%</b>	<b>3186</b>
Acute Inpatient	18.4%	109	0.0%	0	81.6%	483	592
Acute Inpatient Rehab	0.6%	10	0.1%	1	99.3%	1647	1658
Critical Care	3.8%	1	0.0%	0	96.2%	25	26
Inpatient Mental Health	6.1%	11	0.0%	0	93.9%	170	181
LTACH	1.0%	7	0.0%	0	99.0%	722	729
Other	7.8%	8	0.0%	0	92.2%	95	103
Post Stabilization	2.2%	1	0.0%	0	97.8%	44	45
<b>Lab</b>	<b>4.6%</b>	<b>118</b>	<b>0.2%</b>	<b>6</b>	<b>95.2%</b>	<b>2466</b>	<b>2590</b>
Drug Testing	5.3%	52	0.1%	1	94.6%	922	975
General Health Panel	2.9%	4	0.0%	0	97.1%	132	136
Genetic Testing	5.4%	35	0.2%	1	94.4%	610	646
Other	3.2%	27	0.5%	4	96.3%	802	833
<b>Other</b>	<b>3.4%</b>	<b>1</b>	<b>0.0%</b>	<b>0</b>	<b>96.6%</b>	<b>28</b>	<b>29</b>
<b>Outpatient Mental Health</b>	<b>0.9%</b>	<b>2</b>	<b>0.0%</b>	<b>0</b>	<b>99.1%</b>	<b>213</b>	<b>215</b>
<b>Outpatient Therapies</b>	<b>8.8%</b>	<b>42</b>	<b>0.2%</b>	<b>1</b>	<b>91.0%</b>	<b>434</b>	<b>477</b>
Cardiac Rehab	0.0%	0	0.0%	0	100.0%	5	5
Occupational Therapy	40.0%	26	0.0%	0	60.0%	39	65
Other	10.1%	8	0.0%	0	89.9%	71	79
Physical Therapy	2.3%	7	0.3%	1	97.4%	302	310
Pulmonary Rehab	0.0%	0	0.0%	0	100.0%	1	1
Speech Therapy	5.9%	1	0.0%	0	94.1%	16	17
<b>Practitioner Services</b>	<b>4.9%</b>	<b>223</b>	<b>0.6%</b>	<b>29</b>	<b>94.5%</b>	<b>4304</b>	<b>4556</b>
Acupuncture	7.1%	2	0.0%	0	92.9%	26	28
Anesthesia	10.0%	9	0.0%	0	90.0%	81	90
Cardiovascular Disease	4.5%	2	0.0%	0	95.5%	42	44
Chiropractic Care	3.9%	9	0.9%	2	95.3%	222	233
Experimental/Investigational	5.6%	4	0.0%	0	94.4%	68	72
Immunizations	0.0%	0	0.0%	0	100.0%	45	45
Injections	6.9%	32	1.7%	8	91.4%	426	466
Non-Physician Provider	7.7%	1	0.0%	0	92.3%	12	13
Office Visit	3.2%	45	0.5%	7	96.3%	1345	1397
Other	5.3%	90	0.6%	11	94.0%	1595	1696
Out of Area	2.1%	1	0.0%	0	97.9%	46	47
Pain Management	5.9%	8	0.7%	1	93.3%	126	135
Preventive Services	6.3%	1	0.0%	0	93.8%	15	16
Pulmonary Disease	11.1%	1	0.0%	0	88.9%	8	9
Services Not Covered	9.1%	4	0.0%	0	90.9%	40	44
Specialty vs. Primary Care	5.6%	7	0.0%	0	94.4%	119	126
Wound Care	7.4%	7	0.0%	0	92.6%	88	95



	Favorable (Overturn)		Partially Favorable (Partially Overturn)		Unfavorable (Uphold)		Substantive Cases
	%	Number	%	Number	%	Number	Total
<b>Skilled Nursing Facility</b>	<b>3.0%</b>	<b>29</b>	<b>0.5%</b>	<b>5</b>	<b>96.5%</b>	<b>947</b>	<b>981</b>
<b>Step-Therapy</b>	<b>1.9%</b>	<b>1</b>	<b>0.0%</b>	<b>0</b>	<b>98.1%</b>	<b>52</b>	<b>53</b>
<b>Supplemental Benefit</b>	<b>3.5%</b>	<b>84</b>	<b>1.1%</b>	<b>26</b>	<b>95.4%</b>	<b>2273</b>	<b>2383</b>
Dental	3.4%	65	1.2%	24	95.4%	1833	1922
Gym Membership	8.8%	3	0.0%	0	91.2%	31	34
Hearing Aids	4.1%	4	0.0%	0	95.9%	94	98
OTC (Over-The-Counter)	0.0%	0	0.0%	0	100.0%	2	2
Other	5.1%	6	0.9%	1	94.0%	110	117
Vision Care	2.9%	6	0.5%	1	96.7%	203	210
<b>Surgery</b>	<b>8.7%</b>	<b>95</b>	<b>0.6%</b>	<b>7</b>	<b>90.7%</b>	<b>994</b>	<b>1096</b>
Brain and Spine	4.6%	6	0.0%	0	95.4%	124	130
Endoscopy	0.0%	0	0.0%	0	100.0%	1	1
Eye	7.8%	5	3.1%	2	89.1%	57	64
Joint/Bone Surgery	13.9%	19	0.7%	1	85.4%	117	137
Other	7.9%	57	0.6%	4	91.6%	662	723
Plastic Surgery	19.5%	8	0.0%	0	80.5%	33	41
<b>Testing</b>	<b>11.8%</b>	<b>50</b>	<b>0.0%</b>	<b>0</b>	<b>88.2%</b>	<b>375</b>	<b>425</b>
Colonoscopy	2.7%	2	0.0%	0	97.3%	73	75
Endoscopy	16.0%	8	0.0%	0	84.0%	42	50
Experimental/Investigational	0.0%	0	0.0%	0	100.0%	1	1
Nuclear Stress Test	9.4%	3	0.0%	0	90.6%	29	32
Other	10.4%	12	0.0%	0	89.6%	103	115
PET Scan	75.0%	3	0.0%	0	25.0%	1	4
Sleep Study	27.9%	12	0.0%	0	72.1%	31	43
Ultrasound	9.5%	10	0.0%	0	90.5%	95	105
<b>Transportation</b>	<b>2.8%</b>	<b>20</b>	<b>0.0%</b>	<b>0</b>	<b>97.2%</b>	<b>698</b>	<b>718</b>
Ambulance	2.9%	14	0.0%	0	97.1%	469	483
Ambulance - Air	0.0%	0	0.0%	0	100.0%	21	21
Ambulance – Non-Emergent	3.2%	3	0.0%	0	96.8%	91	94
Other	2.5%	3	0.0%	0	97.5%	117	120
<b>Grand Total</b>	<b>5.0%</b>	<b>1160</b>	<b>0.4%</b>	<b>95</b>	<b>94.6%</b>	<b>21980</b>	<b>23235</b>