

**Excess Days in Acute Care after Hospitalization for Heart Failure  
(Version 1.1)**

**Updated Measure Methodology Report**

**Submitted By:**

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**Prepared For:**

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## 1. Overview of Report

This report describes the Centers for Medicare & Medicaid Services' (CMS's) excess days in acute care (EDAC) measure for heart failure. This report provides a single source of information about this measure for a wide range of readers. Reports describing condition-specific and procedure-specific readmission measures and other outcome measures can be found on [QualityNet](#).

This report provides an overview of the 2016 measure specifications (Version 1.1) for the heart failure EDAC measure ([Section 2](#)), a description of updates made to the measure specifications since the measure was originally developed ([Section 3](#)), results from the July 2012 through June 2015 measurement period ([Section 4](#)), and the original measure methodology report ([Section 5](#), [Section 6](#), and [Section 7](#)), which describes the development and testing of the original measure (Version 1.0).

In 2016, CMS will provide hospitals with their results on the heart failure EDAC measure. These results will be made available in the Hospital-Specific Reports (HSRs). The measure results will not be publicly reported on Hospital Compare in July 2016. The measure results will first appear on Hospital Compare in July 2017 and will be included in the fiscal year 2018 payment determination for the Hospital Inpatient Quality Reporting Program (HIQR).

Specifically, the report includes:

- [Section 2](#) – Overview of 2016 Measure Specifications
  - Cohort inclusions and exclusions
  - Risk-adjustment variables
  - Assessment of the EDAC outcome
- [Section 3](#) – Updates to Measure for 2016
- [Section 4](#) – Results for 2016
- [Section 5](#), [Section 6](#), and [Section 7](#) – Original Measure Methodology Report
  - Overview
  - Data sources
  - Cohort definition
  - Outcome definition
  - Final risk-adjustment variables
  - Statistical approach to measure calculation
  - Hospital performance reporting
  - Measure testing

The Appendices contain detailed measure information, including:

- [Appendix A](#) – Definition of Emergency Department (ED) Visits and Observation Stays
- [Appendix B](#) – Planned Readmission Algorithm (Version 4.0) for 2016

## 2. Overview of 2016 Measure Specifications

CMS contracted with the Yale-New Haven Health Services Corporation/Center for Outcomes Research & Evaluation (CORE) to update the heart failure EDAC measure for 2016 through a process of measure reevaluation. The measure is reevaluated annually in order to improve it by responding to stakeholder input and incorporating advances in science or changes in coding.

The 2016 heart failure EDAC measure uses specifications from the initial measure methodology report ([Section 5](#), [Section 6](#), and [Section 7](#)) with refinements to the measure. An overview of the 2016 measure specifications is presented in this section.

### 2.1 Cohort

#### 2.1.1 Inclusion Criteria

- Principal discharge diagnosis of heart failure ([Table 1](#))  
Rationale: Heart failure is the condition targeted for measurement.
- Enrolled in Medicare Fee-for-Service (FFS)  
Rationale: Claims data are consistently available only for Medicare FFS.
- Aged 65 or over  
Rationale: Medicare patients younger than 65 usually qualify for the program due to severe disability. They are not included in the measure because they are considered to be too clinically distinct from Medicare patients 65 and over.
- Discharged alive from a non-Federal acute care hospital  
Rationale: Patients who are alive are eligible for an ED visit, observation stay, or readmission.
- Not transferred to another acute care facility  
Rationale: Hospitalizations that result in a transfer to another acute care facility are not included in the measure because the measure's focus is on admissions that result in discharge to a non-acute care setting (for example, to home or a skilled nursing facility).
- Enrolled in Part A and Part B Medicare for the 12 months prior to the date of admission, and enrolled in Part A during the index admission  
Rationale: The 12-month prior enrollment criterion ensures that patients were Medicare FFS beneficiaries and that their comorbidities are captured from claims for risk adjustment. Medicare Part A is required at the time of admission to ensure no Medicare Advantage patients are included in the measure.

### 2.1.2 Exclusion Criteria

- Without at least 30 days of post-discharge enrollment in FFS Medicare  
Rationale: The 30-day outcome cannot be assessed in this group since claims data are used to determine whether a patient visited the ED, was placed under observation, or was readmitted.
- Discharged against medical advice (AMA)  
Rationale: Providers did not have the opportunity to deliver full care and prepare the patient for discharge.
- Hospitalizations for patients with an index admission within 30 days of a previous index admission  
Rationale: Additional heart failure admissions within 30 days are excluded as index admissions because they are part of the outcome, and we choose not to count a single admission both as an index admission and a readmission for another index admission.
- With a procedure code for LVAD implantation or heart transplantation either during the index admission or in the 12 months prior to the index admission  
Rationale: These patients represent a clinically distinct, highly selected group ([Table 2](#)).

Table 1. International Classification of Diseases, Ninth Revision, Clinical Modification (ICD-9-CM) codes for heart failure cohort

ICD-9-CM codes	Description
402.01	Malignant hypertensive heart disease with heart failure
402.11	Benign hypertensive heart disease with heart failure
402.91	Unspecified hypertensive heart disease with heart failure
404.01	Hypertensive heart and chronic kidney disease, malignant, with heart failure and with chronic kidney disease stage I through stage IV, or unspecified
404.03	Hypertensive heart and chronic kidney disease, malignant, with heart failure and with chronic kidney disease stage V or end stage renal disease
404.11	Hypertensive heart and chronic kidney disease, benign, with heart failure and with chronic kidney disease stage I through stage IV, or unspecified
404.13	Hypertensive heart and chronic kidney disease, benign, with heart failure and chronic kidney disease stage V or end stage renal disease
404.91	Hypertensive heart and chronic kidney disease, unspecified, with heart failure and with chronic kidney disease stage I through stage IV, or unspecified
404.93	Hypertensive heart and chronic kidney disease, unspecified, with heart failure and chronic kidney disease stage V or end stage renal disease
428.0	Congestive heart failure, unspecified
428.1	Left heart failure
428.20	Systolic heart failure, unspecified
428.21	Acute systolic heart failure
428.22	Chronic systolic heart failure

ICD-9-CM codes	Description
428.23	Acute on chronic systolic heart failure
428.30	Diastolic heart failure, unspecified
428.31	Acute diastolic heart failure
428.32	Chronic diastolic heart failure
428.33	Acute on chronic diastolic heart failure
428.40	Combined systolic and diastolic heart failure, unspecified
428.41	Acute combined systolic and diastolic heart failure
428.42	Chronic combined systolic and diastolic heart failure
428.43	Acute on chronic combined systolic and diastolic heart failure
428.9	Heart failure, unspecified

Table 2. International Classification of Diseases, Ninth Revision, Clinical Modification (ICD-9-CM) LVAD and heart transplant codes that exclude an admission from heart failure cohort

ICD-9-CM Procedure Codes	Description
33.6	Combined heart-lung transplantation
37.51	Heart transplantation
37.60	Implantation or insertion of biventricular external heart assist system
37.62	Insertion of temporary non-implantable extracorporeal circulatory assist device
37.65	Implant of single ventricular (extracorporeal) external heart assist system
37.66	Insertion of implantable heart assist system
37.68	Insertion of percutaneous external heart assist device

## 2.2 Risk Adjustment

[Table 3](#) lists the risk-adjustment variables and for the list of complications that are excluded from risk adjustment if occurring during the index admission for heart failure.

Table 3. Risk variables for heart failure measure

Description	Variable	Variables not used in risk adjustment if occurred only during index admission (indicated by “X”)
Age minus 65 (years above 65, continuous)	n/a	
Male	n/a	
History of Coronary Artery Bypass Graft (CABG) surgery	ICD-9 diagnosis code V45.81; ICD-9 procedure codes 36.10–36.16	
Metastatic cancer or acute leukemia	CC 7 Metastatic cancer or acute leukemia	
Cancer	CC 8 Lung, upper digestive tract, and other severe cancers	
	CC 9 Lymphatic, head and neck, brain, and other major cancers	

Description	Variable	Variables not used in risk adjustment if occurred only during index admission (indicated by "X")
	CC 10 Breast, prostate, colorectal and other cancers and tumors	
	CC 11 Other respiratory and heart neoplasms	
	CC 12 Other digestive and urinary neoplasms	
Diabetes mellitus (DM) or DM complications	CC 15 Diabetes with renal manifestation	
	CC 16 Diabetes with neurologic or peripheral circulatory manifestation	
	CC 17 Diabetes with acute complications	X
	CC 18 Diabetes with ophthalmologic manifestation	
	CC 19 Diabetes with no or unspecified complications	
	CC 119 Proliferative diabetic retinopathy and vitreous hemorrhage	
	CC 120 Diabetic and other vascular retinopathies	
Protein-calorie malnutrition	CC 21 Protein-calorie malnutrition	
Disorders of fluid/electrolyte/acid-base	CC 22 Other significant endocrine and metabolic disorders	
	CC 23 Disorders of fluid/electrolyte/acid-base balance	X
Liver or biliary disease	CC 25 End-stage liver disease	
	CC 26 Cirrhosis of liver	
	CC 27 Chronic hepatitis	
	CC 28 Acute liver failure/disease	X
	CC 29 Other hepatitis and liver disease	
	CC 30 Gallbladder and biliary tract disorders	
Peptic ulcer, hemorrhage, other specified gastrointestinal disorders	CC 34 Peptic ulcer, hemorrhage, other specified gastrointestinal disorders	X
Other gastrointestinal disorders	CC 36 Other gastrointestinal disorders	
Severe hematological disorders	CC 44 Severe hematological disorders	
Iron deficiency or other unspecified anemias and blood disease	CC 47 Iron deficiency or other unspecified anemias and blood disease	
Dementia and other specified brain disorders	CC 49 Dementia	
	CC 50 Senility, nonpsychotic organic brain syndromes/conditions	
Drug/alcohol psychosis or dependence	CC 51 Drug/alcohol psychosis	
	CC 52 Drug/alcohol dependence	
	CC 53 Drug/alcohol abuse, without dependence	
Major psychiatric disorders	CC 54 Schizophrenia	
	CC 55 Major depressive, bipolar, and paranoid disorders	
	CC 56 Reactive and unspecified psychosis	
Depression	CC 58 Depression	
Other psychiatric disorders	CC 60 Other psychiatric disorders	



Description	Variable	Variables not used in risk adjustment if occurred only during index admission (indicated by "X")
Hemiplegia, paraplegia, paralysis, functional disability	CC 67 Quadriplegia, other extensive paralysis	
	CC 68 Paraplegia	
	CC 69 Spinal cord disorders/injuries	
	CC 100 Hemiplegia/hemiparesis	X
	CC 101 Diplegia (upper), monoplegia, and other paralytic syndromes	X
	CC 102 Speech, language, cognitive, perceptual deficits	X
	CC 177 Amputation status, lower limb/amputation complications	X
	CC 178 Amputation status, upper limb	X
Cardio-respiratory failure and shock	CC 79 Cardio-respiratory failure and shock	X
Congestive heart failure	CC 80 Congestive heart failure	X
Acute coronary syndrome	CC 81 Acute myocardial infarction	X
	CC 82 Other acute/subacute forms of ischemic heart disease	X
Coronary atherosclerosis or angina	CC 83 Angina pectoris/old myocardial infarction	
	CC 84 Coronary atherosclerosis/other chronic ischemic heart disease	
Valvular or rheumatic heart disease	CC 86 Valvular or rheumatic heart disease	
Specified arrhythmias and other heart rhythm disorders	CC 92 Specified arrhythmias	X
	CC 93 Other heart rhythm and conduction disorders	X
Other or unspecified heart disease	CC 94 Other or unspecified heart disease	
Stroke	CC 95 Cerebral hemorrhage	X
	CC 96 Ischemic or unspecified stroke	X
Vascular or circulatory disease	CC 104 Vascular disease with complications	X
	CC 105 Vascular disease	X
	CC 106 Other circulatory disease	X
Chronic Obstructive Pulmonary Disease (COPD)	CC 108 Chronic Obstructive Pulmonary Disease (COPD)	
Fibrosis of lung or other chronic lung disorders	CC 109 Fibrosis of lung or other chronic lung disorders	
Asthma	CC 110 Asthma	
Pneumonia	CC 111 Aspiration and specified bacterial pneumonias	X
	CC 112 Pneumococcal pneumonia, emphysema, lung abscess	X
	CC 113 Viral and unspecified pneumonia, pleurisy	
Dialysis status	CC 130 Dialysis status	X
Renal failure	CC 131 Renal failure	X
Nephritis	CC 132 Nephritis	X
Other urinary tract disorders	CC 136 Other urinary tract disorders	

Description	Variable	Variables not used in risk adjustment if occurred only during index admission (indicated by "X")
Decubitus ulcer or chronic skin ulcer	CC 148 Decubitus ulcer of skin	X
	CC 149 Chronic ulcer of skin, except decubitus	

## 2.3 Outcome

### 2.3.1 Outcome Criteria

- All-cause days in acute care  
Rationale: We define days in acute care as days spent in an ED, admitted to observation status, or admitted as an unplanned readmission for any cause within 30 days from the date of discharge from the index heart failure hospitalization. From a patient perspective, days in acute care from any cause is undesirable.
- Count multiple events  
Rationale: We take this approach in order to capture the full patient experience in the post-discharge period.
- 30-day time frame  
Rationale: Outcomes occurring within 30 days of discharge can be influenced by hospital care. The use of the 30-day time frame is a clinically meaningful period for hospitals to collaborate with their communities in an effort to reduce days in acute care.

### **3. Updates to Measure for 2016**

#### **3.1 Rationale for Measure Updates**

Measure reevaluation ensures that the risk-standardized days in acute care model is continually assessed and remains valid, given possible changes in clinical practice and coding standards over time, while allowing for model refinements. Modifications made to the measure cohort, risk model, and outcome are informed by review of the most recent literature related to the measure condition or outcome, feedback from various stakeholders, and empirical analyses including assessment of coding trends that reveal shifts in clinical practice or billing patterns. As this report describes, for the July 2012 through June 2015 measurement period, we made the following modifications to the heart failure EDAC measure:

- Updated the heart failure cohort to exclude patients with a procedure code for left ventricular assist device (LVAD) implantation or heart transplantation either during the index admission or in the 12 months prior to the index admission;
- Updated the planned readmission algorithm based on findings from a validation study and review of those findings by clinical experts.

In addition, each year we assess measure characteristics and revise the statistical software code used to calculate measure results. As a part of these annual reevaluation activities, we undertook the following activities:

- Validated the performance of the heart failure model and its corresponding risk-adjustment variables in three recent one-year time periods (July 2012-June 2013, July 2013-June 2014, and July 2014-June 2015) and for the three years combined (July 2012-June 2015);
- Evaluated and validated model performance for the recent three-year period (July 2012-June 2015);
- Updated the measure's SAS analytic package and documentation; and,
- Applied the 2015 version of the AHRQ CCS to the planned readmission algorithm.

Although hospitals are using International Statistical Classification of Diseases and Related Health Problems 10<sup>th</sup> Revision (ICD-10) coding for discharges effective on or after October 1, 2015, ICD-10 codes for use in defining the cohorts, ICD-10-based Condition Category Groups (CC) for use in risk adjustment, and ICD-10-based Agency for Healthcare Research and Quality (AHRQ) Clinical Classification Software (CCS) diagnosis and procedure categories for use in

planned readmission categorization were not incorporated into the measure specifications this year, as the measurement period for 2016 does not include claims data after June 30, 2015.

## **3.2 Detailed Discussion of Measure Updates**

### *3.2.1 Update to Heart Failure Cohort Exclusions*

#### *Exclusion of LVADs and Heart Transplants from Cohort*

The exclusion criteria for the heart failure measure have been modified to remove patients with an ICD-9 procedure code for LVAD implantation or heart transplantation either during the index admission or in the 12 months prior to the index admission from the heart failure measure cohort ([Table 2](#)).

#### *Rationale for LVAD/Heart Transplant Exclusion*

Patients with heart failure who receive an LVAD or undergo heart transplantation represent a highly-selected, clinically distinct group of patients that are appropriate exclusions for the measure. Over the past 5 – 10 years, there has been a marked increase in the use of LVADs, especially for “destination” therapy.<sup>51</sup> These LVAD patients essentially define a new cohort of patients that did not exist when the heart failure readmission measure was originally developed. The heart failure EDAC measure cohort was developed to be aligned with the heart failure readmission measure. Heart failure patients with an LVAD or who undergo heart transplantation have the most severe and clinically advanced heart failure and often complex co-existing medical conditions. As such, they are expected to have increased healthcare utilization.

#### *Effect of LVAD/Heart Transplant Exclusion on Measure*

Patients receiving an LVAD or heart transplant during the index admission or in the year prior to admission accounted for only 0.10% of the overall measure cohort. EDAC are not significantly different based on whether these admissions are included or excluded from the estimates.

### *3.2.2 Update to Version 4.0 of Planned Readmission Algorithm*

The planned readmission algorithm version 4.0 was modified from version 3.0. The changes from version 3.0 to version 4.0 have been applied to each readmission and EDAC measure. Version 4.0 incorporates improvements made following a validation study of the algorithm, which used data from a medical record review of 634 charts at seven hospitals and review of the results of that study by clinical experts.

### *Removal of Potentially Planned Procedure Categories*

Version 4.0 removes the following five AHRQ CCS categories from the potentially planned procedure list ([Table PR.3](#)):

- AHRQ CCS 47 - Diagnostic cardiac catheterization; coronary arteriography
- AHRQ CCS 48 - Insertion; revision; replacement; removal of cardiac pacemaker or cardioverter/defibrillator
- AHRQ CCS 62 - Other diagnostic cardiovascular procedures
- AHRQ CCS 157 - Amputation of lower extremity
- AHRQ CCS 169 - Debridement of wound; infection or burn

### *Rationale for Removal of Potentially Planned Procedure Categories*

The planned readmission algorithm version 3.0 categorized the five AHRQ CCS procedure categories above as planned. However, the validation study revealed that they were very often found to be unplanned in medical record review. We determined that any potential change in the algorithm warranted review by clinical experts in order to reverse the decision of the development working group to include these procedure categories on the list of potentially planned procedures. Two panels of cardiology experts, including interventional cardiologists and electrophysiologists, were convened. Removal of these procedure categories was confirmed by the panels.

### *Addition of Potentially Planned Procedures Category*

Version 4.0 adds AHRQ CCS procedure category 1, Incision and excision of the Central Nervous System [CNS], to the potentially planned procedure list ([Table PR.3](#)).

### *Rationale for Addition of Potentially Planned Procedures Category*

A stakeholder suggested that CMS add AHRQ CCS procedure category 1, Incision and excision of the central nervous system [CNS], to the list of potentially planned procedures because procedures within this CCS category are usually performed during planned admissions. The stakeholder suggested that initial hospitalizations in which CNS tumors are diagnosed are often followed by a period of diagnostic testing after which patients are electively readmitted for resection. A clinical expert panel was convened and confirmed the observations of this single stakeholder, and recommended inclusion of AHRQ CCS 1 on the planned readmission algorithm's potentially planned procedures list.

Full descriptions of the rationale for each change are listed in [Table 4](#). The full list of codes in version 4.0 of the planned readmission algorithm is located in [Appendix B](#) ([Figure PR.1](#), [Table PR.1](#), [Table PR.2](#), [Table PR.3](#), [Table PR.4](#)).

Table 4. Updates to planned readmission algorithm version 3.0

Action	Procedure category	Rationale
Remove from planned procedure list	Diagnostic cardiac catheterization; coronary arteriography (AHRQ CCS 47)	These cardiac procedures are rarely the main reason for an elective inpatient hospitalization. Typically, these procedures are done during an observation stay. Removal of these procedure categories from the potentially planned procedures list reduces the rate of misclassification of unplanned readmissions as planned.
	Insertion; revision; replacement; removal of cardiac pacemaker or cardioverter/defibrillator (AHRQ CCS 48)	
	Other diagnostic cardiovascular procedures (AHRQ CCS 62)	
	Amputation of lower extremity (AHRQ CCS 157)	Readmissions for these procedures typically represent worsening of wound unresponsive to previous management. Removal of these procedure categories from the potentially planned procedures list reduces the rate of misclassification of unplanned readmissions as planned (with the exception of AHRQ CCS 169, which was always considered unplanned in the stroke readmission measure).
	Debridement of wound; infection or burn (AHRQ CCS 169)	
Add to planned procedure list	Incision and excision of CNS (AHRQ CCS 1)	Patients admitted with newly diagnosed brain tumors may be electively readmitted for definitive management. The addition of this procedure category to the acute diagnoses list reduces the misclassification of planned readmissions as unplanned.

### *Effect on the Measures*

These changes improve the accuracy of the algorithm by decreasing the number of readmissions that the algorithm mistakenly designated as planned or unplanned. The impact of the planned readmission algorithm changes on the heart failure EDAC measure is summarized in [Table 5](#).

Table 5. Effect of planned readmission algorithm on heart failure EDAC measure (2011-2014)

	Heart failure with planned readmission version 3.0	Heart failure with planned readmission version 4.0
Number of admissions	1,212,321	1,212,321
Number of unplanned readmissions	266,799	271,864
Unplanned readmission rate	22.0%	22.4%

	Heart failure with planned readmission version 3.0	Heart failure with planned readmission version 4.0
<b>Number of planned readmissions</b>	14,692	9,627
<b>Planned readmission rate</b>	1.2%	0.8%
<b>% of readmissions that are planned</b>	5.2%	3.4%

## 4. Results for 2016

### 4.1 Assessment of Updated Models

The heart failure EDAC measure estimates hospital-specific 30-day all-cause EDAC using a hierarchical generalized linear model. See [Section 6](#) for a complete description of the measure methodology and model risk-adjustment variables.

We evaluated the performance of the model, using the July 2012 to June 2015 data. We examined the frequency of patient risk factors and the model parameter estimates.

We assessed the overall fit of the model using posterior predictive checking (PPC) for the three-year combined period. For the logit model of zero versus non-zero days, which includes all patients in the cohort, we calculated the C-statistic. For the truncated Poisson model of non-zero days, which includes only admissions followed by some acute care, we calculated the deviance  $R^2$ . The deviance  $R^2$  is computed from the difference in the log-likelihoods between the final model and an empty model (no covariates) attributed to each observation, averaged over all observations.<sup>46</sup> We also created a calibration plot, with mean predicted and mean observed days in acute care plotted against decile of predicted utilization rate (predicted days/exposure days).

The results of these analyses for the heart failure measure are presented below.

### 4.2 Heart Failure EDAC 2016 Model Results

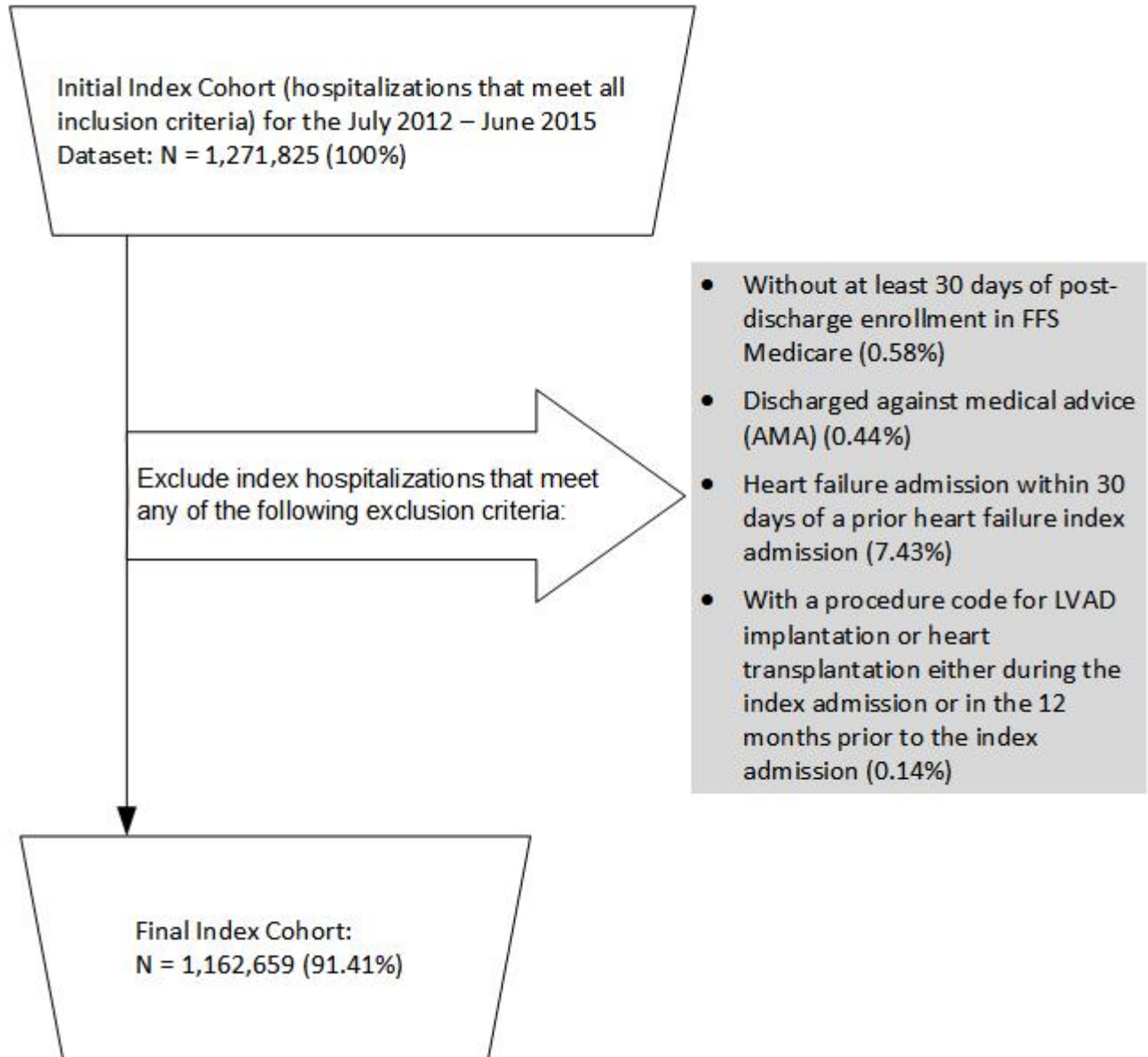
#### 4.2.1 Index Cohort Exclusions

The percentage of heart failure admissions meeting each exclusion criterion in the July 2012-June 2015 dataset is presented in [Figure 1](#).

Admissions may have been counted in more than one exclusion category because they are not mutually exclusive. The index cohort includes short-term acute care hospitalizations for Medicare patients aged 65 or over with a principal discharge diagnosis of heart failure; enrolled in Medicare FFS Part A and Part B for the 12 months prior to the date of admission, and enrolled in Part A during the index admission; who were not transferred to another acute care facility; and were alive at discharge.



Figure 1. Index heart failure cohort for the July 2012-June 2015 dataset



#### 4.2.2 Frequency of Heart Failure Model Variables

We examined the change in both observed days in acute care and frequency of clinical and demographic variables. Between July 2012-June 2013 and July 2014-June 2015, the observed days in acute care decreased from 146.33 to 143.92. Notable changes in the frequencies for model variables include:

- Decreases in other urinary tract disorders (33.2% to 31.1%)
- Increases in cardio-respiratory failure and shock (28.5% to 31.3%) and other psychiatric disorders (20.0% to 22.6%)

Refer to [Table 6](#) for more detail.

Table 6. Frequency of heart failure model variables over different time periods

Variable	07/2012-06/2013	07/2013-06/2014	07/2014-06/2015	07/2012-06/2015
Total N	394,344	380,236	388,079	1,162,659
Mean age minus 65 (standard deviation [SD])	80.98 (8.3)	80.89 (8.4)	80.92 (8.4)	80.93 (8.4)
Male (%)	45.0	45.6	45.7	45.4
History of Coronary Artery Bypass Graft (CABG) surgery (ICD-9 diagnosis code V45.81; ICD-9 procedure codes 36.10-36.16)	20.0	19.7	19.4	19.7
Cardio-respiratory failure and shock (CC 79)	28.5	29.8	31.3	29.9
Congestive heart failure (CC 80)	76.3	75.8	75.3	75.8
Acute coronary syndrome (CC 81-82)	17.1	16.8	16.8	16.9
Coronary atherosclerosis or angina (CC 83-84)	74.4	73.6	72.5	73.5
Valvular or rheumatic heart disease (CC 86)	54.8	54.7	55.1	54.8
Specified arrhythmias and other heart rhythm disorders (CC 92-93)	69.0	68.9	69.4	69.1
Other or unspecified heart disease (CC 94)	33.9	33.4	33.8	33.7
Vascular or circulatory disease (CC 104-106)	53.6	53.5	53.5	53.5
Metastatic cancer or acute leukemia (CC 7)	2.3	2.3	2.3	2.3
Cancer (CC 8-12)	21.2	21.3	21.2	21.2
Diabetes mellitus (DM) or DM complications (CC 15-19, 119-120)	53.6	55.0	55.0	54.8
Protein-calorie malnutrition (CC 21)	10.2	10.0	10.0	10.1
Disorders of fluid/electrolyte/acid-base (CC 22-23)	50.2	50.3	50.5	50.3
Liver or biliary disease (CC 25-30)	11.3	11.3	11.5	11.3
Peptic ulcer, hemorrhage, other specified gastrointestinal disorders (CC 34)	15.6	15.3	15.0	15.3
Other gastrointestinal disorders (CC 36)	64.3	64.4	65.1	64.6
Severe hematological disorders (CC 44)	2.5	2.4	2.2	2.4
Iron deficiency or other unspecified anemias and blood disease (CC 47)	64.4	64.2	63.9	64.1
Dementia or other specified brain disorders (CC 49-50)	24.7	24.5	24.2	24.5

Variable	07/2012-06/2013	07/2013-06/2014	07/2014-06/2015	07/2012-06/2015
Drug/alcohol psychosis or dependence (CC 51-53)	13.9	14.4	15.1	14.5
Major psychiatric disorders (CC 54-56)	10.7	10.9	11.0	10.9
Depression (CC 58)	21.8	22.0	22.4	22.1
Other psychiatric disorders (CC 60)	20.0	21.4	22.6	21.3
Hemiplegia, paraplegia, paralysis, functional disability (CC 67-69, 100-102, 177-178)	8.7	8.6	8.5	8.6
Stroke (CC 95-96)	9.4	9.2	9.3	9.3
Chronic Obstructive Pulmonary Disease (COPD) (CC 108)	49.5	49.0	48.8	49.1
Fibrosis of lung or other chronic lung disorders (CC 109)	10.4	9.7	9.4	9.9
Asthma (CC 110)	10.0	10.1	10.4	10.2
Pneumonia (CC 111-113)	46.2	45.8	46.0	46.0
Dialysis status (CC 130)	4.9	4.6	4.5	4.7
Renal failure (CC 131)	51.7	52.5	53.3	52.5
Nephritis (CC 132)	4.2	4.4	4.4	4.3
Other urinary tract disorders (CC 136)	33.2	32.3	31.1	32.2
Decubitus ulcer or chronic skin ulcer (CC 148-149)	14.6	14.7	14.6	14.6

#### 4.2.3 Heart Failure Model Parameters and Performance

[Table 7](#) shows the parameter estimates and 95% credible intervals (CIs) for the heart failure days in acute care model for the combined three-year dataset. [Table 8](#) shows the posterior predictive checking (PPC) results for the combined three-year dataset. The c-statistic for the logit part of remained constant at 0.59 ([Table 9](#)). The deviance  $R^2$  for the truncated Poisson part was 0.023%. As shown in [Figure 2](#), the model underestimates risk for the lowest risk decile patients and slightly overestimates risk for the highest risk decile patients.

Table 7. Median parameter estimates and credible intervals (CIs) of risk variables from the logit and Poisson models (July 2012-June 2015)

Risk variable	Part 1: Logit model		Part 2: Poisson model	
	Median	CI	Median	CI
Age minus 65 (years above 65, continuous)	0.0001	(-0.0004, 0.0007)	-0.0051	(-0.0053, -0.0048)
Male	0.0185	(0.0107, 0.0284)	0.0004	(-0.0024, 0.0037)
History of Coronary Artery Bypass Graft (CABG) (ICD-9 codes V45.81, 36.10-36.16)	-0.0115	(-0.0214, -0.0012)	-0.0149	(-0.0185, -0.0114)
Diabetes mellitus (DM) or DM complications (CC 15-19, 119-120)	0.0670	(0.0582, 0.0783)	0.0346	(0.0308, 0.0378)
Disorders of fluid/electrolyte/acid-base (CC 22-23)	0.1068	(0.0963, 0.1168)	0.0326	(0.0291, 0.0363)
Iron deficiency or other unspecified anemias and blood disease (CC 47)	0.0877	(0.0790, 0.0976)	0.0732	(0.0696, 0.0773)
Cardio-respiratory failure or shock (CC 79)	0.0630	(0.0529, 0.0721)	0.0493	(0.0457, 0.0526)

Risk variable	Part 1: Logit model		Part 2: Poisson model	
	Median	CI	Median	CI
Congestive heart failure (CC 80)	0.1063	(0.0950, 0.1162)	0.0145	(0.0104, 0.0189)
Vascular or circulatory disease (CC 104-106)	0.0655	(0.0572, 0.0750)	0.0119	(0.0083, 0.0153)
Chronic obstructive pulmonary disease (COPD) (CC 108)	0.1221	(0.1134, 0.1296)	0.0598	(0.0558, 0.0634)
Pneumonia (CC 111-113)	0.0558	(0.0460, 0.0634)	0.0589	(0.0551, 0.0623)
Renal failure (CC 131)	0.1301	(0.1208, 0.1393)	0.0851	(0.0811, 0.0890)
Other urinary tract disorders (CC 136)	0.0674	(0.0601, 0.0751)	0.0096	(0.0063, 0.0133)
Decubitus ulcer or chronic skin ulcer (CC 148-149)	0.0839	(0.0723, 0.0955)	0.0878	(0.0835, 0.0915)
Other gastrointestinal disorders (CC 36)	0.0930	(0.0842, 0.1013)	-0.0113	(-0.0148, -0.0076)
Acute coronary syndrome (CC 81-82)	0.1232	(0.1119, 0.1343)	-0.0122	(-0.0158, -0.0086)
Valvular or rheumatic heart disease (CC 86)	0.0441	(0.0348, 0.0517)	0.0319	(0.0287, 0.0352)
Specified arrhythmias and other heart rhythm disorders (CC 92-93)	0.0463	(0.0358, 0.0562)	0.0137	(0.0098, 0.0178)
Asthma (CC 110)	0.0491	(0.0358, 0.0612)	-0.0206	(-0.0251, -0.0157)
Peptic ulcer, hemorrhage, other specified gastrointestinal disorders (CC 34)	0.0542	(0.0433, 0.0668)	0.0224	(0.0177, 0.0268)
Cancer (CC 8-12)	0.0176	(0.0078, 0.0284)	0.0027	(-0.0014, 0.0063)
Drug/alcohol psychosis or dependence (CC 51-53)	0.1087	(0.0953, 0.1184)	-0.0314	(-0.0366, -0.0271)
Major psychiatric disorders (CC 54-56)	0.0720	(0.0592, 0.0851)	0.0122	(0.0069, 0.0176)
Dialysis status (CC 130)	0.2031	(0.1847, 0.2212)	-0.1175	(-0.1242, -0.1105)
Severe hematological disorders (CC 44)	0.1778	(0.1521, 0.2030)	0.0515	(0.0425, 0.0602)
Nephritis (CC 132)	0.0680	(0.0489, 0.0865)	0.0447	(0.0387, 0.0507)
Liver or biliary disease (CC 25-30)	0.0810	(0.0694, 0.0928)	0.0350	(0.0302, 0.0395)
Metastatic cancer or acute leukemia (CC 7)	0.1866	(0.1591, 0.2151)	0.0297	(0.0197, 0.0385)
Stroke (CC 95-96)	0.0393	(0.0242, 0.0542)	-0.0137	(-0.0188, -0.0087)
Dementia or other specified brain disorders (CC 49-50)	0.0680	(0.0571, 0.0771)	-0.0253	(-0.0286, -0.0217)
Coronary atherosclerosis or angina (CC 83-84)	0.0726	(0.0623, 0.0827)	-0.0158	(-0.0198, -0.0120)
Other or unspecified heart disease (CC 94)	0.0557	(0.0478, 0.0653)	-0.0082	(-0.0118, -0.0052)
Other psychiatric disorders (CC 60)	0.1093	(0.0993, 0.1198)	-0.0132	(-0.0176, -0.0090)
Hemiplegia, paraplegia, paralysis, functional disability (CC 67-69, 100-102, 177-178)	0.0369	(0.0210, 0.0538)	0.0141	(0.0091, 0.0203)
Fibrosis of lung or other chronic lung disorders (CC 109)	0.0606	(0.0474, 0.0740)	0.0351	(0.0301, 0.0398)
Protein-calorie malnutrition (CC 21)	0.1129	(0.0984, 0.1263)	0.0961	(0.0916, 0.1005)

Risk variable	Part 1: Logit model		Part 2: Poisson model	
	Median	CI	Median	CI
Depression (CC 58)	0.0120	(0.0009, 0.0225)	-0.0215	(-0.0256, -0.0177)

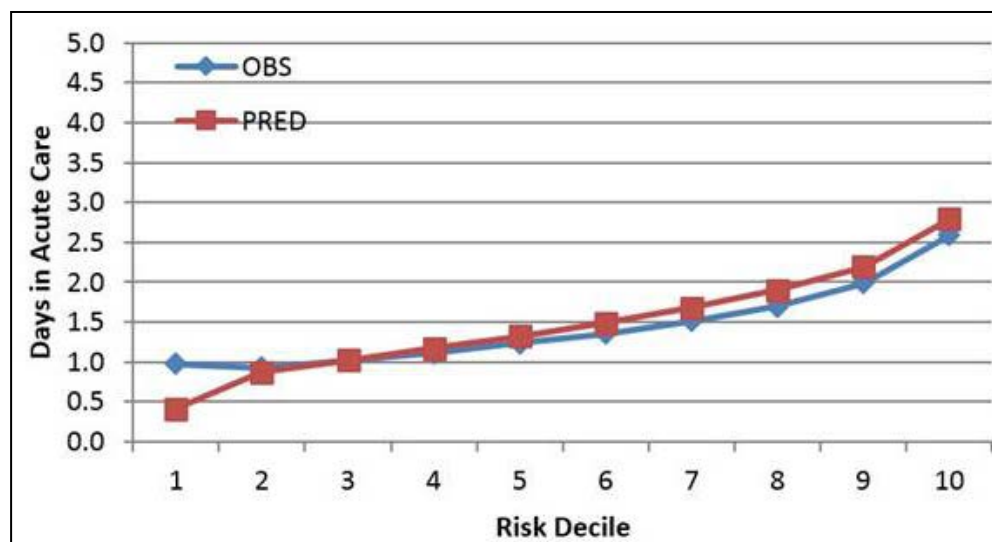
Table 8. Posterior predictive checking (PPC) results (July 2012-June 2015)

Statistic	Observed days in acute care	MCMC 95% credible interval (CI) for predicted days in acute care	P-value
Variance	0.3904	(0.2951, 0.3747)	0.0073
Median	1.3140	(1.3274, 1.3515)	0.0003
Interquartile range (IQR)	0.5950	(0.5764, 0.6136)	0.4883
Coefficient of variation	0.4738	(0.4024, 0.4498)	0.0003

Table 9. Heart failure generalized linear modeling (logistic regression) performance (July 2012-June 2015)

Characteristic	07/2012-06/2015
c-statistic (Logit part)	0.59
Deviance r-squared (Poisson part)	0.02

Figure 2. Plot of observed versus predicted days in acute care for July 2012-June 2015 dataset



#### 4.2.4 Distribution of Hospital Volumes and EDAC for Heart Failure

[Table 10](#) shows both unadjusted (observed) days of post-discharge events per 100 discharges and EDAC per 100 discharges for heart failure. The median hospital EDAC in the combined three-year dataset was 0.24 (IQR -14.72 - 18.62). [Figure 3](#) shows the overall distribution of the hospital EDAC for the dataset.

For purposes of illustration only, [Table 11](#) shows the unadjusted event rates and the mean days of events among patients with an event. Only risk-adjusted days in acute care are considered in calculation of the measure.

Table 10. Hospital-level unadjusted distribution of overall acute care, emergency department (ED) visits, observation stays, and readmissions per 100 heart failure discharges, and distribution of excess days in acute care (EDAC)

Description	Mean $\pm$ SD	Median (Q1, Q3)	Range
Observed days in acute care	131.86 (62.48)	131.40 (100.00, 159.50)	1,150.00
Days of ED visits	10.07 (6.61)	8.49 (6.25, 12.30)	100.00
Days of observation stays	9.56 (9.00)	8.00 (4.35, 12.5)	150.00
Days of readmissions	116.27 (61.36)	115.38 (82.88, 144.38)	1,150.00
EDAC	3.76 (26.60)	0.24 (-14.72, 18.62)	207.91
Days of predicted	134.74 (34.15)	132.12 (110.15, 155.34)	328.22
Days of expected	130.98 (16.51)	131.93 (121.91, 140.99)	283.33

Figure 3. Hospital-level, excess days in acute care (EDAC) per 100 discharges for the July 2012-June 2015 dataset

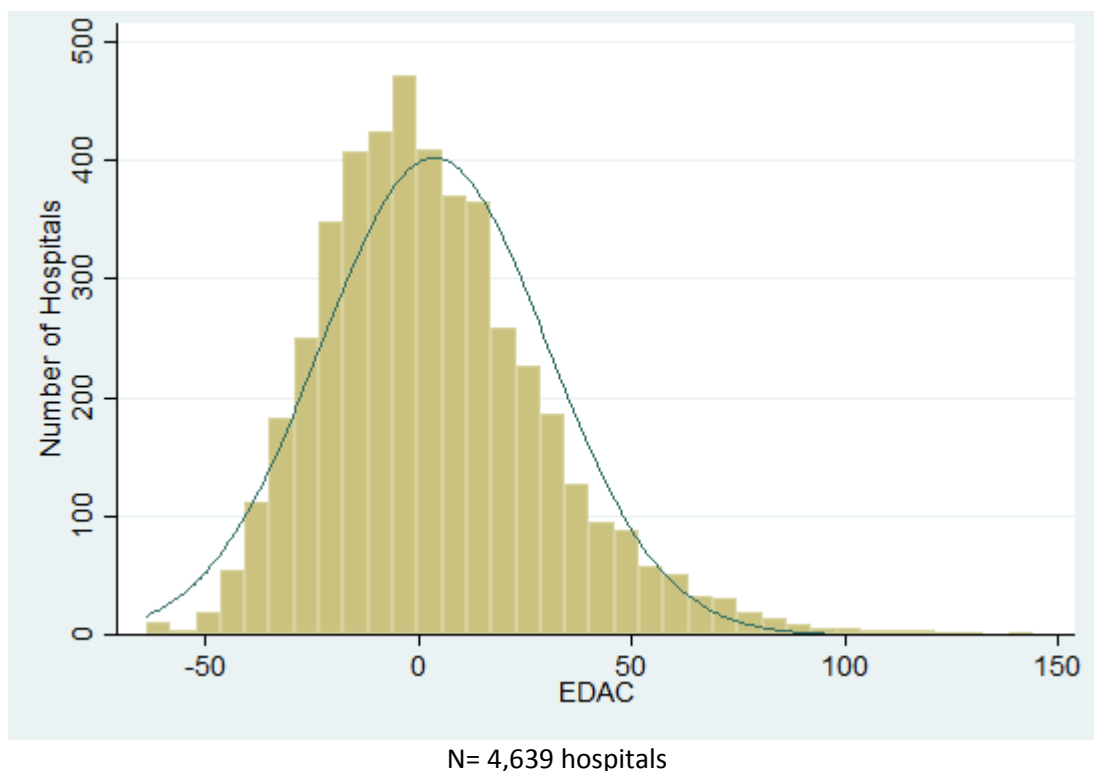


Table 11. Random sample of hospitals in top and bottom quintiles of performance

Quintile	Excess days in acute care/100 discharges	Number of qualifying discharges	Unadjusted results					
			Readmission Rate	Observation stay rate	Emergency department (ED) visit rate	Mean readmission days*	Mean observation stay days*	Mean ED visit days*
Top	-26.40	268	16.4%	7.1%	15.3%	4.39	1.76	0.60
Top	-32.17	231	16.9%	5.6%	12.6%	4.49	1.42	0.57
Top	-13.13	118	25.4%	2.5%	10.2%	5.37	1.33	0.58
Top	-31.14	364	19.5%	4.7%	16.2%	3.90	1.71	0.61
Top	-15.66	1098	17.5%	3.9%	10.3%	5.76	1.94	0.62
Top	-24.60	932	20.4%	4.6%	12.2%	4.81	1.65	0.57
Top	-28.02	558	20.6%	5.9%	14.9%	4.24	1.35	0.60
Top	-17.68	127	18.9%	6.3%	10.2%	3.96	1.50	0.73
Top	-28.31	115	17.4%	2.6%	9.6%	4.35	2.67	0.64
Top	-27.45	326	16.6%	3.4%	16.6%	4.96	1.73	0.70
Bottom	51.75	364	24.5%	7.4%	10.7%	6.78	1.69	0.56
Bottom	29.49	668	25.7%	3.0%	9.7%	6.48	1.30	0.56
Bottom	32.56	362	29.3%	6.6%	16.9%	5.58	1.83	0.58
Bottom	57.82	110	30.0%	4.5%	10.9%	6.09	2.20	0.71
Bottom	47.59	397	23.9%	3.0%	9.8%	6.74	1.75	0.54
Bottom	45.07	165	30.9%	9.1%	12.1%	5.96	1.37	0.65
Bottom	31.85	711	20.1%	4.4%	11.0%	7.52	1.79	0.55
Bottom	74.91	442	26.7%	4.5%	9.7%	7.78	1.68	0.52
Bottom	59.95	1782	22.0%	3.9%	9.2%	8.46	1.67	0.56
Bottom	51.72	549	24.6%	4.2%	13.7%	7.30	1.74	0.69

Performance color key: ■ = Better, ■ = Worse

\*Among patients with specified event

#### *4.2.5 Distribution of Hospitals by Performance Category in the Three-Year Dataset*

Of 4,639 hospitals in the study cohort, 491 had EDACs “lower than expected,” 2,440 were “no different than expected,” and 877 had EDACs “higher than expected.” 831 were classified as “number of cases too small” (fewer than 25) to reliably tell how well the hospital is performing.



## 5. Original Methodology Report: Introduction

### 5.1 Executive Summary

This technical report describes the excess days in acute care measure for heart failure developed by Yale New Haven Health Services Corporation – Center for Outcomes Research & Evaluation (CORE) under contract with the Centers for Medicare & Medicaid Services (CMS). The outcome of this measure is the number of risk-adjusted days a hospital's patients spend in an emergency department (ED), a hospital observation unit, or a hospital inpatient unit ("days in acute care") during the 30 days following a hospitalization for heart failure. The measure reports, for each hospital, the difference ("excess") between each hospital's average days in acute care ("predicted days"), and the number of days in acute care that each hospital's patients would have been expected to spend if discharged from an average performing hospital ("expected days").

Existing measures publicly report readmission and mortality rates following hospitalization for heart failure. These measures do not include all post-discharge outcomes that matter to patients, such as having to return to the ED or spend time in the hospital under observation. Moreover, the increasing use of observation care may be replacing some readmissions.<sup>1</sup> Hospitals with high rates of observation stays in the post-discharge period may therefore have lower readmission rates that do not fully reflect their quality of care. In addition, current measures report only readmissions as a binary outcome (that is, any versus no readmission). However, some readmissions reflect severe deterioration requiring prolonged hospitalization while others involve only a brief, less acute hospitalization. Some patients have multiple visits in 30 days. Existing measures do not distinguish among these outcomes. In addition, binary metrics do not account for each patient's opportunity for readmission: in those measures, patients who die post-discharge have less opportunity for readmission, but are counted as being at the same risk for readmission as those who survive the full measurement period. The EDAC measure addresses all of these gaps by including other outcomes (that is, ED visits and observation stays), by capturing the total amount of time patients spend in acute care, and by accounting for time at risk of an event (that is, survival time). We anticipate that the measure will support hospital efforts to further optimize quality of care for patients with heart failure, particularly the quality of transitional care, by providing a more comprehensive picture of post-discharge events. It will also provide more detailed information to consumers on what to expect following discharge.

The outcome is risk-adjusted, meaning it takes into account patients' age, sex, and comorbidities in profiling hospitals. The risk-adjustment model also takes into account post-discharge deaths by scaling patient risk for acute care use and the available days for acute care to account for the time patients are alive. In addition, the model adjusts separately for the risk

of having at least one event and for the duration of any event, and assumes hospitals may have differing performance for each of these. We risk standardize the measure by reporting the difference between the predicted risk-adjusted days in acute care and the expected risk-adjusted days in acute care for each hospital. Each visit to the ED is counted as one half-day in acute care. Observation care is counted according to the hours spent in observation care, rounded up to the nearest half day. Readmissions are counted as the days spent in the hospital. Planned readmissions are not counted as outcomes. The measure reports the EDAC per 100 discharges in order to be analogous with existing readmission measures, which report the number of patients with any readmission per 100 discharges.

Overall, we find that the mean expected hospital-level days in acute care for hospitals with at least 25 discharges is 136.68 days per 100 discharges from 2010 to 2013. The mean hospital-level risk-standardized EDAC for hospitals with at least 25 discharges is 6.48 days per 100 discharges, with a minimum of -67.02 and maximum of 196.31 days per 100 discharges. The measure has a good three-year reliability using the current model specifications.

## **5.2 Background**

In July 2009, CMS began publicly reporting hospital 30-day risk-standardized readmission rates (RSRRs) for heart failure. Heart failure was the second most common principal discharge diagnosis among patients with Medicare in 2012.<sup>2</sup> Heart failure also accounts for a large fraction of hospitalization costs and it was the third most expensive condition billed to Medicare in 2011.<sup>3</sup>

Patients admitted for heart failure have disproportionately high readmission rates. Readmission rates following discharge for heart failure are highly variable across hospitals in the United States (U.S.).<sup>4,5</sup> For the time period between July 2012 and June 2013, hospitals' 30-day RSRRs for heart failure ranged from 17.0% to 28.2%.<sup>6</sup>

Patients, however, are not only at risk of requiring rehospitalization in the post-discharge period. ED visits represent a significant proportion of post-discharge acute care utilization. Two recent studies conducted in patients of all ages have shown that 9.5% of patients return to the ED within 30 days of hospital discharge and that about 12.0% of these patients are discharged from the ED and are not captured by the current CMS 30-day heart failure readmission measure.<sup>7,8</sup>

Additionally, over the past decade, the use of observation stays has rapidly increased. Between 2001 and 2008, the use of observation services increased nearly three-fold,<sup>9</sup> and significant variation has been demonstrated in the use of observation services for conditions such as chest pain.<sup>10</sup> These rising rates of observation stays among Medicare beneficiaries have gained the attention of patients, providers, and policymakers.<sup>1,7,8</sup> A report from the Office of the Inspector

General (OIG) noted that in 2012, Medicare beneficiaries had 1.5 million observation stays. Many of these observation stays lasted longer than the intended one day. The OIG report also noted the potential relationship between hospital use of observation stays as an alternative to short-stay inpatient hospitalizations as a response to changing hospital payment incentives.<sup>11</sup>

Thus, in the context of the publicly reported CMS 30-day heart failure readmission measure, the increasing use of ED visits and observation stays has raised concerns that the current CMS 30-day heart failure readmission measure does not capture the full range of unplanned acute care in the post-discharge period. In particular, there exists concern that high use of observation stays could in some cases replace readmissions, and hospitals with high rates of observation stays in the post-discharge period may therefore have low readmission rates that do not accurately reflect the quality of care.<sup>12</sup> In response to these concerns, we have built a measure for heart failure that incorporates the full range of post-discharge use of acute care.

### **5.3 Importance of Post-Discharge Outcomes**

The goal of this measure is to improve patient care by providing patients, physicians, and hospitals with information about hospital-level, risk-standardized acute care use following hospitalization for heart failure. Measurement of patient outcomes allows for a broad view of quality of care that cannot be captured entirely by individual process-of-care measures. Safely transitioning patients from hospital to home requires a complex series of tasks which would be cumbersome to capture individually as process measures: timely and effective communication between providers, prevention of and response to complications, patient education about post-discharge care and self-management, timely follow-up, and more. Suboptimal transitions contribute to a variety of adverse outcomes post-discharge, including ED evaluation, need for observation, and readmission. Measures of unplanned readmission already exist, but there are no current measures for ED and observation stay utilization. It is thus difficult for providers and consumers to gain a complete picture of post-discharge outcomes. Moreover, separately reporting each outcome encourages “gaming,” such as recategorizing readmission stays as observation stays to avoid a readmission outcome. By capturing a range of outcomes that are important to patients, we can produce a more complete picture of post-discharge outcomes that better informs consumers about care quality and incentivizes global improvement in transitional care.

### **5.4 Post-Discharge Outcomes as a Measure of Quality**

Acute care utilization after discharge (that is, return to the ED, observation stay, and readmission), for any reason, is disruptive to patients and caregivers, costly to the healthcare system, and puts patients at additional risk of hospital-acquired infections and complications. Although some hospital returns are unavoidable, others may result from poor quality of care,

overutilization of care or inadequate transitional care. Transitional care includes effective discharge planning, transfer of information at the time of discharge, patient assessment and education, and coordination of care and monitoring in the post-discharge period. When appropriate care transition processes are in place (for example, patient is discharged to a suitable location, communication occurs between clinicians, medications are correctly reconciled, timely follow-up is arranged), fewer patients return to an acute care setting, either for an ED visit, observation stay, or hospital readmission during the 30 days post-discharge. Numerous studies have found an association between quality of inpatient or transitional care and early (typically 30-day) readmission rates,<sup>13-20</sup> and ED visits<sup>21-25</sup> for a wide range of conditions including heart failure.

All acute care utilization is not, however, equal in its disruption, cost, or risk to patients. Prolonged acute care is worse from a patient perspective than a brief ED visit. That is why we elected to report the EDAC measure as a count of days: events lasting longer with more cost and disruption (such as readmissions) therefore naturally weigh more than brief events (such as ED visits) in the overall day count, and multiple events weigh more than a single event. Similarly, that is why we do not separately report rates of each type of event. A hospital with a high number of ED visits may still be able to achieve a low number of total days in acute care by actively coordinating care from the ED and avoiding rehospitalizations. That is, we assume that the rate of each type of event is not as relevant to patients as the total days that they spend in acute care settings.

## **5.5 Approach to Measure Development**

CMS has contracted with Yale New Haven Health Services Corporation – Center for Outcomes Research & Evaluation (CORE) to develop a patient-centered measure of post-discharge outcomes for heart failure. We developed this measure in consultation with national guidelines for publicly reported outcomes measures, following the technical approach to outcomes measurement set forth in the National Quality Forum (NQF) guidance for outcomes measures,<sup>26,27</sup> CMS Measure Management System guidance,<sup>28</sup> and the guidance articulated in the American Heart Association scientific statement, “Standards for Statistical Models Used for Public Reporting of Health Outcomes.”<sup>27</sup> These standards include adequate risk adjustment and transparency. We sought and obtained expert input during measure development, both through CMS and through consultation with clinical and statistical experts.

## **5.6 Aims of the Measure**

The primary objective of this work was to develop a 30-day post-discharge outcome measure that:

- Captures differences in days of acute care provided by hospitals to patients discharged alive after heart failure admission in the 30 days post-discharge;
- Adjusts for hospital case-mix;
- Assesses relative performance of hospitals; and
- Aligns with existing CMS heart failure quality measures.

Using administrative claims data, we measure EDAC for Medicare patients during the 30 days after hospitalization for heart failure. The heart failure EDAC measure captures acute care utilization in the inpatient and outpatient settings. Key decisions made in the development of the heart failure EDAC measure are aligned with key decisions made for the CMS 30-day heart failure readmission measure.

## **6. Original Methodology Report: Methods**

### **6.1 Overview**

We developed a hospital-level measure of post-discharge outcomes for patients aged 65 years and over admitted for heart failure to a non-Federal acute care hospital in the U.S. (including U.S. Virgin Islands, Puerto Rico, Guam, Northern Mariana Islands, and American Samoa). This measure reports the full spectrum of acute care after discharge from an acute care setting for heart failure. This measure reports a collective set of adverse outcomes that can occur post-discharge: ED visits, observation stays, and unplanned readmissions at any time during the 30 days post-discharge. The measure does not count planned readmissions in the measure outcome since they are generally not a signal of quality of care.

We developed the measure in the Medicare Fee-for-Service (FFS) population and aligned the cohort definition and risk-adjustment strategy with those of the existing CMS 30-day heart failure readmission measure. The outcome is defined as days spent in acute care (that is, ED visits, observation stays, and readmissions). Use of a day-count outcome generates a clinically reasonable and natural weighting scheme such that events that take more days (typically, days rehospitalized) naturally carry more weight than events taking fewer days (typically, ED visits). That is, the weight of each component of the composite is determined by its actual impact and burden on patients, not by an arbitrary weighting scheme. We risk adjust the day count to account for age, gender, and comorbidities. We use a model appropriate for count data, and we incorporate exposure time to account for survival times shorter than 30 days. The final reported outcome of EDAC is risk-standardized by subtracting the average expected number of days in acute care from the average predicted number. These EDAC are multiplied by 100 to represent EDAC per 100 discharges for reporting purposes.

### **6.2 Data Sources**

We used Medicare administrative claims data for measure development. To develop and test the measure, we used Medicare inpatient, outpatient, and physician Carrier claims data, enrollment data, and the Chronic Conditions Data Warehouse (CCW) data files.

We used two data sources to define the cohort, comorbidities, and other factors for risk adjustment and disparities testing, and to capture the outcome of hospitalization days within 30 days after the index hospitalization for heart failure:

1. Medicare Enrollment Database (EDB) (to determine eligibility). This dataset contains Medicare beneficiary demographic, benefit/coverage, enrollment status, and vital status information.

2. Medicare hospital inpatient and outpatient claims, and physician Carrier claims.

We used a third data source to capture the outcome of days in acute care of ED visits and observation stays.

3. CCW 100% condition-specific datasets. Specifically, we used the outpatient hospital institutional claims file and physician Carrier file (also known as the Physician/Supplier Part B claims file).

For measure development and testing, we constructed a full three-year dataset of heart failure hospitalizations (July 1, 2010 to June 30, 2013) and then randomly split the dataset into two equal samples, stratified on hospital (so that each sample contained one half of each hospital's discharges). These samples served as a development sample and a validation sample. We used the development sample for statistical model selection and measure testing (including reliability testing), and we used the validation sample for model performance examination, model variable reliability and validity testing, and measure reliability testing.

### **6.3 Cohort Definition**

We defined the eligible cohort for the measure as those hospitalizations eligible for the current, NQF-endorsed, CMS 30-day heart failure readmission measure, except for patients admitted to Veterans Administration hospitals. That is, the cohort includes patients aged 65 years and older who were hospitalized with a principal discharge diagnosis of heart failure at a non-Federal acute care facility and who were alive at discharge. Patients are eligible for inclusion if they had a qualifying diagnosis and continuous enrollment in Part A and Part B Medicare 12 months prior to the first day of the index hospitalization. Hospitalizations in which the patient was transferred to another acute care facility are not included, but hospitalizations at the facility receiving the transfer are included. We defined the cohorts using the International Classification of Diseases, Ninth Revision, Clinical Modification (ICD-9-CM) diagnosis codes identified in inpatient claims data, as shown in [Table 1](#).

#### **6.3.1 Index Cohort Exclusions**

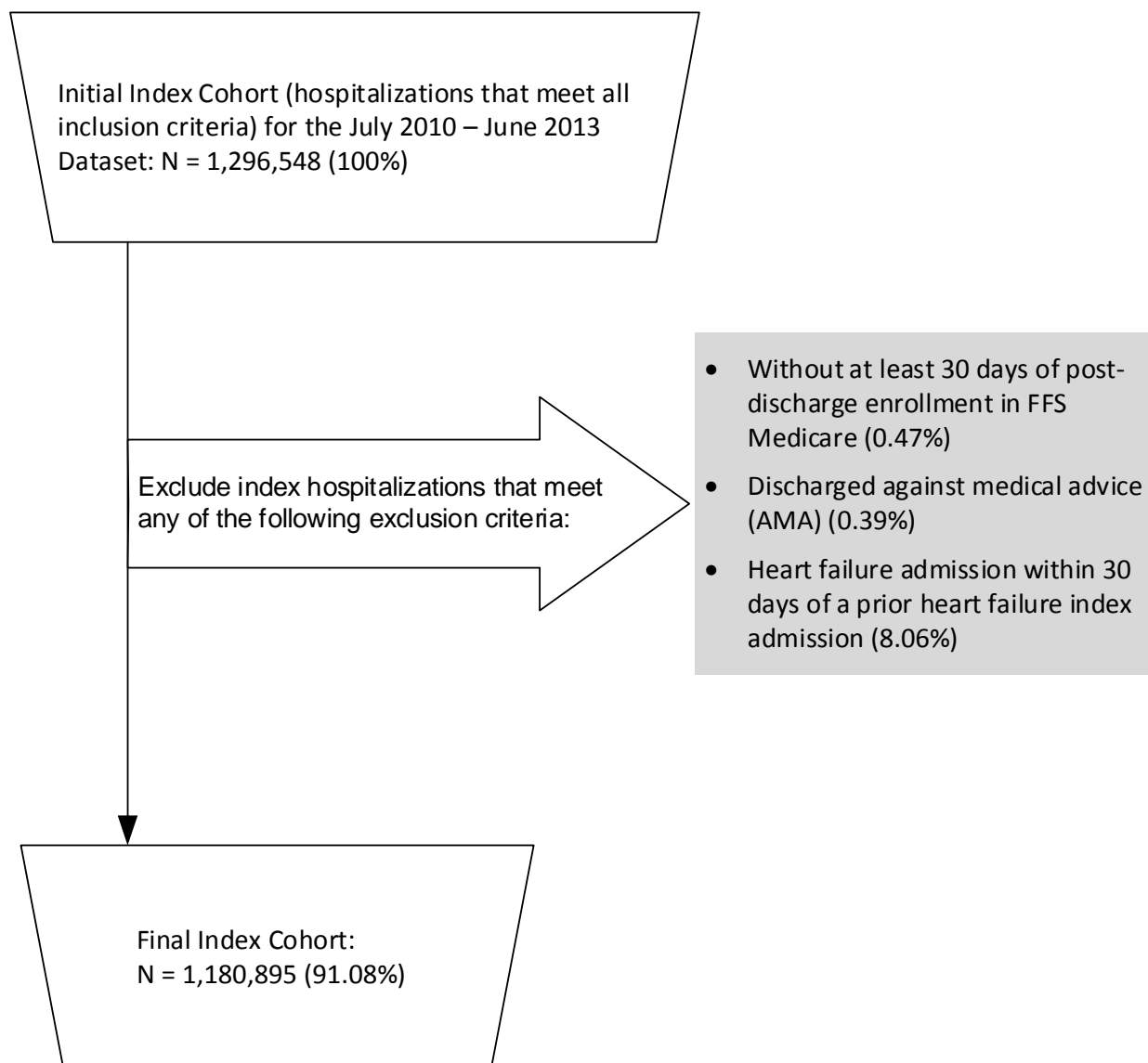
Consistent with CMS's 30-day heart failure readmission measure, we applied the following exclusion criteria to the cohort of index admissions ([Figure 4](#)):

- Hospitalizations without at least 30 days of post-discharge enrollment in Part A and Part B FFS Medicare  
Rationale: The 30-day outcome cannot be assessed in this group since claims data are used to determine whether a patient visited the ED, was placed under observation, or was readmitted.

- Discharged against medical advice (AMA)  
Rationale: Providers did not have the opportunity to deliver full care and prepare the patient for discharge.
- Hospitalizations for patients with an index admission within 30 days of a previous index admission  
Rationale: Additional heart failure admissions within 30 days are excluded as index admissions because they are part of the outcome, and we choose not to count a single admission both as an index admission and a readmission for another index admission.

Admissions may have been counted in more than one exclusion category because they are not mutually exclusive.

Figure 4. Index heart failure cohort for the 2010-2013 dataset





## 6.4 Outcome Definition

The outcome is the number of days the patient spends in acute care (ED treat-and-release visits, observation stays, and readmissions) during the first 30 days after discharge from the hospital.

### 6.4.1 Definition of the Outcome

We define days in acute care as days spent in an ED, admitted to observation status, or admitted as an unplanned readmission for any cause within 30 days from the date of discharge from the index heart failure hospitalization.

- We define an ED visit as a visit with revenue center codes '0450', '0451', '0452', '0459', or '0981'. See [Table A1](#) in [Appendix A](#) for the code definitions. Each ED visit is counted as one half-day (0.5 days).
- We define an observation stay as a visit with revenue center code '0762' or Healthcare Common Procedure Coding System (HCPCS) code 'G0378' (in the outpatient data files) or Current Procedural Terminology (CPT) codes '99217' to '99220' or '99234' to '99236' (in the physician Carrier data files). This broad definition captures all post-discharge observation stays in the facility and physician Carrier files. See [Table A1](#) in [Appendix A](#) for the code definitions. Observation stays are recorded in terms of hours and converted for the measure into half-days (rounded up).
- We define a readmission as any unplanned acute care hospital inpatient hospitalization within 30 days of the discharge date for the index hospitalization. "Planned" readmissions are those planned by providers for anticipated medical treatment or procedures that must be provided in the inpatient setting. To exclude planned readmissions, we use the planned readmission algorithm previously developed for the publicly reported CMS 30-day heart failure readmission measure.<sup>29</sup> Each rehospitalization is counted according to the length of stay, which is calculated as the discharge date minus the admission date. Admissions that extend beyond the 30-day follow-up period are truncated on day 30.
- When an ED visit, observation stay, or readmission overlaps with another event on the same day, we count only the most severe of the overlapping events. For example, we count only a readmission day if the readmission and either an observation stay or ED visit happens on the same day; we count only an observation day if an observation stay and an ED visit happen on the same day.

### 6.4.2 Multiple Events

We count all eligible outcomes occurring in the 30-day period, even if they are repeat occurrences. For example, if a patient returns to the ED three times on three different days, we count each ED visit as a half-day. Similarly, if a patient has two hospitalizations within 30 days, the days spent in each are counted. We take this approach in order to capture the full patient experience in the post-discharge period.

### 6.4.3 30-Day Timeframe

The measure assesses eligible outcomes within a 30-day period from the date of discharge from an index hospitalization. We considered 30 days as a clinically reasonable timeframe for two reasons:

1. Within a 30-day timeframe, ED visits, observation stays, and readmissions are more likely attributable to the care received during the index admission and during the transition to the outpatient setting than outcomes occurring later post-discharge. A number of studies have demonstrated that improvements in care at the time of patient discharge can reduce 30-day readmission rates.<sup>25,30-40</sup> Hospitals, in collaboration with their medical communities, can take a number of actions to reduce readmissions: ensure patients are clinically ready at discharge; reduce risk of infection; reconcile medications; improve communications among providers involved in transition of care; encourage strategies that promote disease management principles; and educate patients about symptoms to monitor, whom to contact with questions, and where and when to seek follow-up care.<sup>25,30-40</sup> Studies also show that it can take more than 14 days for the benefits of these interventions to appear.<sup>41</sup>
2. The 30-day timeframe is consistent with the existing CMS 30-day heart failure readmission measure approved by NQF and publicly reported by CMS. Note that if a readmission or observation stay extends beyond 30 days, only that portion of the stay that occurs during the 30 days is included in the outcome. In addition, note that for patients who did not survive 30 days, we adjusted their total exposure period to reflect the number of days they survived (see [Section 6.4.6](#)).

### 6.4.4 All-Cause Days in Acute Care

We measure all-cause acute care utilization for several reasons. First, from the patient perspective, acute care utilization for any cause is undesirable. Second, limiting the measure to acute care utilization for heart failure exacerbation may make it susceptible to gaming. Moreover, it is often hard to exclude quality concerns and accountability based on the documented cause of a hospital visit.

#### *6.4.5 Transfers*

The measure considers multiple contiguous hospitalizations to be a single acute episode-of-care. Admissions to a hospital within one day of discharge from another hospital are considered transfers whether or not the first institution indicates intent to transfer the patient in the discharge disposition code. Days in acute care for transferred patients are attributed to the hospital that ultimately discharges the patient to a non-acute care setting (for example, to home or to a skilled nursing facility). Thus, if a patient is admitted to Hospital A, transferred to Hospital B, and ultimately discharged from Hospital B to a non-acute care setting, all ED visits, observation stays, and readmissions within 30 days of discharge are attributed to Hospital B. If a patient is readmitted to the same hospital on the same day of discharge for the same diagnosis as the index admission, the measure considers the patient to have had one single continuous admission. However, if the diagnosis of the readmission is different from the index admission, this is considered a readmission in the measure.

#### *6.4.6 Exposure Time*

Because some patients do not survive 30 days, not all patients are at risk for an acute event for the same amount of time. We calculated ‘exposure time’ as the number of days each patient survived after discharge, up to 30. This exposure time was incorporated as part of the outcome to reflect differential risk for EDAC after discharge. This differs from the existing CMS heart failure 30-day readmission measure, which considers all patients to be equally at risk for a hospital event regardless of survival time.

### **6.5 Final Risk-Adjustment Variables**

We used the final risk-adjustment variables in the current CMS 30-day heart failure readmission measure in order to harmonize with the existing measure. We verified the adequacy of this risk-adjustment strategy with our new outcome by comparing the discrimination of the models with a full set of all comorbidities to the more parsimonious existing risk models. We found no meaningful improvement in model discrimination with the full set.

The measure adjusts for variables (that is, age, gender, comorbid diseases, and indicators of patient frailty) that are clinically relevant and have strong relationships with the outcome. For each patient, risk-adjustment variables are obtained from inpatient, outpatient, and physician Medicare administrative claims data extending 12 months prior to, and including, the index admission.

The measure seeks to adjust for case-mix differences among hospitals based on the clinical status of the patient at the time of the index admission. Accordingly, only comorbidities that convey information about the patient at that time or in the 12 months prior, and not

complications that arise during the course of the index hospitalization, are included in the risk adjustment.

The measure does not adjust for patients' admission source or their discharge disposition (for example, skilled nursing facility) because these factors are associated with the structure of the healthcare system, not solely patients' clinical comorbidities. Regional differences in the availability of post-acute care providers and practice patterns might exert undue influence on model results. In addition, these data fields are not audited and are not as reliable as diagnosis codes.

The measure also does not adjust for socioeconomic status (SES) because the association between SES and health outcomes can be due, in part, to differences in the quality of healthcare that patients with varying SES receive.

The Office of the Assistant Secretary for Planning and Evaluation (ASPE) is conducting research to examine the impact of SES on quality measures, resource use, and other measures under the Medicare program as directed by the Improving Medicare Post-Acute Care Transformation Act of 2014 (IMPACT Act), and will issue an initial report to Congress by October 2016 and a final report to Congress by October 2019. We will closely examine the findings of these reports and related Secretarial recommendations and consider how they apply to the measure at such time as they are available.

Refer to [Table 3](#) for the list of risk-adjustment variables and for the list of complications that are excluded from risk adjustment if occurring during the index admission for heart failure.

## **6.6 Statistical Approach to Measure Calculation**

We performed a number of analyses to determine the best model specification for the number of days in acute care. This is a pseudo-count variable (similar to a count variable, but taking half-integer values for half days of acute care), and we therefore considered models that were generalized count models. All model development was performed using the development sample.

### **6.6.1 Modeling Alternatives**

Inspection of the distribution of the outcome determined that the number of event days was highly skewed, with a large number of zeroes. Thus, we considered models appropriate for skewed data, including approaches that modeled the zero-day outcomes and non-zero day outcomes separately. We only considered approaches that allowed us to incorporate exposure time to account for differential risk.

First, using only patients with non-zero days, we estimated a generalized linear model (GLM) using a Poisson specification, and applied a Park test;<sup>42</sup> the Park test indicated that Poisson was the best fit for our outcome. The Poisson model is commonly used for modeling count data and can be generalized to dependent variables that take non-integer values, such as ours.

We then considered three different model specifications for the full set of outcomes (zero and non-zero days):

1. Poisson: this is the conventional GLM model.
2. Zero-inflated Poisson: this is a generalization of the Poisson model, which includes separate parameters for zero and non-zero outcomes.
3. Two-part logit/Poisson: this two-part model (often called a “hurdle” model) assumes that the outcome results from two related processes: an initial dichotomous event – that a patient has at least one day of acute care – which is modeled as the logit of the probability of the event, and for patients with an event (those which clear the “hurdle”), the number of days, which is modeled as a Poisson process.

Importantly, for all three models we included the exposure time see ([Section 6.4.6](#)) as an offset. For the hurdle model, we included exposure time as an offset for each part.

For each of the three specifications listed above, we estimated (non-hierarchical) generalized linear models with days in acute care as the outcome. We compared the three different model specifications for the outcome using the following criteria:

1. Akaike information criterion (AIC);
2. Bayesian information criterion (BIC); and
3. Log likelihood.

We also graphed the distribution of each observed outcome with the predicted values from the model specifications.

The best performing model was the two-part logit/Poisson model.

## **6.7 Hospital Performance Reporting**

### **6.7.1 Excess Days in Acute Care**

For the final risk-adjustment model, we used a hierarchical generalized linear model (HGLM). This consists of the two-part logit/truncated Poisson model specifications for days in acute care

and includes two random effects for hospitals – one for the logit part and one for the truncated Poisson part – with a non-zero covariance between the two random effects. This allowed us to account for within-hospital correlation of the observed outcome and accommodates the assumption that underlying differences in quality across hospitals lead to systematic differences in outcomes.

Explicitly, let  $Y_{ij}$  denote the number of days in acute care experienced by the  $i$ -th patient discharged from the  $j$ -th hospital, and  $\omega_{ij}$  is the patient's exposure time (that is, the number of days alive up to 30). At the first stage, whether a patient has non-zero days in acute care is modeled via a logistic regression model. At the second stage, we assume that conditional on  $Y_{ij} > 0$ ;  $Y_{ij}$  follows a zero-truncated Poisson distribution. Thus, we have the following “hurdle” model:

$$\begin{cases} \text{logit}(\pi_{ij}) = \log(\omega_{ij}) + X_{ij}C + v_j \text{ where } \pi_{ij} = \Pr\{Y_{ij} > 0\} \\ \log(\mu_{ij}) = \log(\omega_{ij}) + X_{ij}B + u_j \text{ where } Y_{ij} | Y_{ij} > 0 \sim \text{Truncated Poisson}(\mu_{ij}) \end{cases} \quad (1)$$

Note that  $E(Y_{ij} | Y_{ij} > 0) = \mu_{ij} / (1 - \exp(-\mu_{ij}))$  and  $E(Y_{ij}) = \pi_{ij} \mu_{ij} / (1 - \exp(-\mu_{ij}))$ .

$(v_j, u_j) \sim MVN(M, \Sigma)$ , where  $v_j$  and  $u_j$  are random effects across hospitals with means  $M = [C_0, B_0]$  and variance-covariance matrix  $\Sigma$ . The  $X_{ij}$  is a vector of patient risk factors, and  $B$  and  $C$  are vectors of coefficients.

We estimated the model and used the coefficient vectors  $B$  and  $C$  and the random effects  $v_j$  and  $u_j$  to calculate the predicted ( $P_{ij}$ ) and expected ( $E_{ij}$ ) days in acute care for each index admission, respectively. The predicted number of days is calculated as:

$$P_{ij} = \text{logit}^{-1}(X_{ij}C + v_j) * \frac{\exp(X_{ij}B + u_j)}{1 - \exp(-\exp(X_{ij}B + u_j))} \quad (2)$$

And, the expected number of days is calculated as:

$$E_{ij} = \text{logit}^{-1}(X_{ij}C + C_0) * \frac{\exp(X_{ij}B + B_0)}{1 - \exp(-\exp(X_{ij}B + B_0))} \quad (3)$$

where  $C_0$  and  $B_0$  are means of the random effects  $v_j$  and  $u_j$ .

We then calculated the EDAC for the hospital  $j$  as:

$$EDAC_j = 100 * \sum(P_{ij} - E_{ij}) / m_j \quad (4)$$

where the sum is over all patients at hospital  $j$ , and  $m_j$  is the number of index admissions at hospital  $j$ . To be consistent with the reporting of the CMS 30-day heart failure readmission measure, we have multiplied the final measure by 100 so that EDAC represents EDAC per 100 discharges.

### 6.7.2 Estimation and Interval Estimates

The model (1) was first estimated using maximum likelihood, which indicated that  $\Sigma$  had non-zero off diagonal values ( $v_j$  and  $u_j$  have non-trivial covariance). Because the EDAC defined in (4) is a complex function of model estimates, and in particular because  $\Sigma$  is not diagonal, it is problematic to construct standard errors for  $P_{ij}$  from the maximum likelihood estimates, while the computational intensity of estimating model (1) made non-parametric bootstrapping impractical.

For these reasons, and to make fewer assumptions about the parameter distributions, we chose to estimate our final version of model (1) using fully Bayesian Markov Chain Monte Carlo (MCMC) estimation.<sup>43</sup> MCMC estimation allowed us to generate a large number of simulated values of  $P_{ij}$ ,  $E_{ij}$ ,  $v_j$  and  $u_j$ , from which to make inferences; using these simulated values, we calculated a similar number of values of  $EDAC_j$  for each hospital. The median value was taken as the hospital estimate, with the 2.5<sup>th</sup> and 97.5<sup>th</sup> percentile order statistics taken as the endpoints of a 95% credible interval (CI).

### 6.7.3 Categorizing Hospital Performance

To categorize hospital performance, we estimated each hospital's EDAC and the corresponding 95% CI. We assigned hospitals to a performance category by comparing each hospital's EDAC interval estimate to zero. Comparative performance for hospitals with 25 or more eligible cases was classified as follows:

- “No different than expected” if the 95% CI surrounding the hospital's days includes zero.
- “Higher than expected” if the entire 95% CI surrounding the hospital's days is above zero.
- “Lower than expected” if the entire 95% CI surrounding the hospital's days is below zero.

If a hospital has fewer than 25 eligible cases for a measure, we assigned the hospital to a separate category: “The number of cases is too small (fewer than 25) to reliably tell how well the hospital is performing.”

## 6.8 Measure Testing

To assess the reliability and validity of the measure, we used data from July 2010 to June 2013, divided as described above ([Section 6.2](#)) into development and validation samples.

### 6.8.1 Model Estimation

We used methods appropriate for MCMC estimation to assess convergence and the assumptions of the model. To estimate each MCMC model and to assess the convergence of the model, we generated three separate chains (series of iterations), each starting with different initial values of the between-hospital variances ( $\Sigma$  in model 1) – the estimates from an initial maximum likelihood (ML) model, one half those estimates, and twice those estimates. Retaining 4,000 simulations from each chain, we calculated the Gelman-Rubin diagnostic for each parameter using the first 3,000 from each chain.<sup>44</sup> Convergence was assumed if the Gelman-Rubin ratio was between 0.9 and 1.1. If convergence was achieved for all parameters, the last 1,000 iterations from each chain were combined, and the resulting 3,000 iterations used for all future inferences (that is, for all results). Unless otherwise specified, median values from this pooled set are reported.

### 2.8.2 Model Performance

We then used posterior predictive checking (PPC) to evaluate the overall fit of the model in the development sample.<sup>45</sup> PPC compares hypothetical data generated by our model to observed data. If the model is well-specified, then the distribution of the hypothetical data it generates should include the observed data. Because our primary unit of interest is the hospital, we applied PPC to observable hospital summary statistics. Using the results of model (1), and the underlying sampling distributions (logit, Poisson) we generated 3,000 datasets of simulated “observed” data; for each, we calculated the mean days in acute care per hospital and then the median, variance, interquartile range (IQR), and coefficient of variation (CV) across hospitals. The same statistics calculated from the observed data were compared to the distribution of simulated data, and the corresponding P-value calculated.

To assess model discrimination, we computed two different statistics – one for the logit part of the model and one for the truncated Poisson part – using the development sample. For the logit model of zero versus non-zero days, which includes all patients in the cohort, we calculated the C-statistic. For the truncated Poisson model of non-zero days, which includes only patients with some acute care, we calculated the deviance  $R^2$ . The deviance  $R^2$  is computed from the difference in the log-likelihoods between the final model and an empty model (no covariates) attributed to each observation, averaged over all observations.<sup>46</sup>



In a generalization of the calibration statistics for logistic models, we calculated the linear prediction  $Z = XB$  and  $W = XC$  using the coefficients  $B$  and  $C$  from the development sample and data  $X$  from the validation sample. We then estimated a model using the same functional form but only two independent variables,  $Z$  for the truncated Poisson part and  $W$  for the logit part. The intercepts and coefficients of  $Z$  and  $W$  in these second models are reported as  $(\gamma_0, \gamma_1)$ , the calibration statistics for each part of the model. The closer they are to  $(0, 1)$ , the better the model calibration.<sup>47</sup>

We also created a calibration plot, with mean predicted and mean observed days in acute care plotted against decile of predicted utilization rate (predicted days/exposure days).

Finally, we summarized the EDACs, overall and according to hospital performance category or outlier status. In addition, to provide some insight into the relative contribution of each type of event to the overall outcome, and to provide some insight into patterns of performance by high-scoring and low-scoring hospitals, we examined the ED visit, observation stay, and readmission rates and average days for a random sample of ten hospitals each in the top and bottom quintile of performance on the EDAC measure.

### *6.8.2 Reliability of Data Elements*

The data elements used in the measure are taken from claims data, and all, with the exception of age, are elements used for reimbursement. Prior efforts have established that the publicly reported CMS 30-day heart failure readmission measure risk model variables derived from claims data are consistent with those based on medical chart review. We are using the same risk variables as are used in that measure.

We assessed the reliability of the data elements by comparing variable frequencies between our development sample and validation sample.

### *6.8.3 Measure Score Reliability*

For test-retest reliability, we calculated the EDAC for each hospital using first the development sample, then again using the validation sample. Thus, we measured each hospital twice, but made each measurement using an entirely distinct set of patients. We then compared these using intraclass correlation coefficient (ICC) [2, 1].<sup>48</sup> Using two independent samples provides a stringent estimate of the measure's reliability as compared to using two random, but potentially overlapping samples, which would exaggerate the agreement.

We restricted this calculation to hospitals with at least 12 discharges in both samples in a one and a half years to approximate the set of hospitals that would have more than 24 discharges over three years and are thus likely to be included in public reporting. We applied the

Spearman-Brown prophecy formula to adjust the ICC [2,1] of the split samples to represent three years of data.<sup>49</sup>

#### *6.8.4 Validity Testing*

We demonstrated measure validity through relevant prior validity testing that we conducted for other claims-based measures, through use of established measure development guidelines, through assessment by external groups, and through systematic assessment of measure face validity by a technical expert panel (TEP) of national experts and stakeholder organizations.

This measure is closely related in design to the publicly reported, NQF-endorsed CMS 30-day heart failure readmission measure. While this measure includes additional endpoints, and measures them in a different metric (that is, days rather than rates), we would expect that hospitals would have similar – though not identical – performance rankings on the two measures. Thus, as one assessment of validity, we compared the rankings of all hospitals using the two measures to assess the consistency of hospital performance on closely related outcomes. We calculated the Pearson correlation, and graphed the readmission measure against the EDAC measure to determine if there were outliers.

Additionally, we systematically assessed the face validity of the measure score as an indicator of quality by soliciting the TEP members' agreement with the following statement: "The EDAC obtained from the measure as specified can be used to distinguish between better and worse quality hospitals." We measured agreement using a six-point scale: 1=Strongly disagree, 2=Moderately disagree, 3=Somewhat disagree, 4=Somewhat agree, 5=Moderately agree, 6=Strongly agree.

## 7. Original Methodology Report: Results

### 7.1 Model Results

In this section, we show results for the heart failure measure for the July 1, 2010 to June 30, 2013 time period.

#### 7.1.1 Development and Validation Samples

After applying all inclusion and exclusion criteria, the full three-year dataset included 1,180,895 discharges. The development sample consisted of 590,448 discharges from 4,626 hospitals. Patients hospitalized for heart failure were mostly female (55.9%) and had an average age of 81.0 years. The validation sample consisted of 590,447 discharges from 4,634 hospitals. Patients in the validation sample were mostly female (55.9%) and had an average age of 81.0 years.

#### 7.1.2 Final Risk-Adjustment Variables

Consistent with the current CMS 30-day heart failure readmission measure, the final risk-adjustment model included 37 variables. [Table 12](#) shows the frequency of each risk variable in the final heart failure days in acute care model in the development and validation samples. Compared to the development sample, the mean age of patients and the frequencies of risk-adjustment variables in the validation sample were similar.

Table 12. Frequency of risk model variables in the development and validation samples

Risk variable	Development sample (N=590,448)		Validation sample (N=590,447)	
	n	%	n	%
Age, continuous (mean [SD])	81.0 (8.2)		81.0 (8.2)	
Male	260,609	44.1	260,557	44.1
History of Coronary Artery Bypass Graft (CABG) (ICD-9 codes V45.81, 36.10-36.16)	106,935	18.1	106,455	18.0
Diabetes mellitus (DM) or DM complications (CC 15-19, 119-120)	321,646	54.5	320,487	54.3
Disorders of fluid/electrolyte/acid-base (CC 22-23)	291,028	49.3	290,254	49.2
Iron deficiency or other unspecified anemias and blood disease (CC 47)	372,097	63.0	371,958	63.0
Cardio-respiratory failure or shock (CC 79)	160,703	27.2	160,315	27.2
Congestive heart failure (CC 80)	455,321	77.1	454,922	77.1
Vascular or circulatory disease (CC 104-106)	314,822	53.3	314,296	53.2

Risk variable	Development sample (N=590,448)		Validation sample (N=590,447)	
	n	%	n	%
Chronic obstructive pulmonary disease (COPD) (CC 108)	289,162	49.0	288,601	48.9
Pneumonia (CC 111-113)	270,161	45.8	269,905	45.7
Renal failure (CC 131)	297,618	50.4	296,544	50.2
Other urinary tract disorders (CC 136)	196,599	33.3	196,534	33.3
Decubitus ulcer or chronic skin ulcer (CC 148-149)	86,055	14.6	86,707	14.7
Other gastrointestinal disorders (CC 36)	367,348	62.2	367,211	62.2
Acute coronary syndrome (CC 81-82)	102,372	17.3	102,039	17.3
Valvular or rheumatic heart disease (CC 86)	313,520	53.1	314,086	53.2
Specified arrhythmias and other heart rhythm disorders (CC 92-93)	403,247	68.3	403,252	68.3
Asthma (CC 110)	57,719	9.8	58,061	9.8
Peptic ulcer, hemorrhage, other specified gastrointestinal disorders (CC 34)	92,393	15.7	92,049	15.6
Cancer (CC 8-12)	124,978	21.2	125,202	21.2
Drug/alcohol psychosis or dependence (CC 51-53)	68,980	11.7	69,352	11.8
Major psychiatric disorders (CC 54-56)	62,099	10.5	62,334	10.6
Dialysis status (CC 130)	28,111	4.8	27,637	4.7
Severe hematological disorders (CC 44)	21,696	3.7	21,630	3.7
Nephritis (CC 132)	22,445	3.8	22,597	3.8
Liver or biliary disease (CC 25-30)	62,928	10.7	62,893	10.7
Metastatic cancer or acute leukemia (CC 7)	12,940	2.2	13,280	2.3
Stroke (CC 95-96)	57,476	9.7	57,170	9.7
Dementia or other specified brain disorders (CC 49-50)	143,500	24.3	142,610	24.2
Coronary atherosclerosis or angina (CC 83-84)	440,271	74.6	440,242	74.6
Other or unspecified heart disease (CC 94)	198,418	33.6	197,547	33.5
Other psychiatric disorders (CC 60)	98,793	16.7	98,513	16.7
Hemiplegia, paraplegia, paralysis, functional disability (CC 67-69, 100-102, 177-178)	50,100	8.5	50,231	8.5
Fibrosis of lung or other chronic lung disorders (CC 109)	68,245	11.6	68,297	11.6
Protein-calorie malnutrition (CC 21)	57,291	9.7	57,414	9.7
Depression (CC 58)	117,160	19.8	116,801	19.8

### 7.1.3 Model Performance

All parameters had Gelman-Rubin ratios between 0.9 and 1.1, with the variance components having ratios very close to 1. The median parameter estimates for each of the two parts of the model are shown in [Table 13](#) along with the credible interval (2.5<sup>th</sup> percentile and 97.5<sup>th</sup> percentile values).

Table 13. Median parameter estimates and credible intervals (CIs) of risk variables from the logit and Poisson models for the development sample

Risk variable	Part 1: Logit model		Part 2: Poisson model	
	Median	CI	Median	CI
Age minus 65 (years above 65, continuous)	0.002	(0.001, 0.002)	-0.004	(-0.004, -0.003)
Male	0.033	(0.023, 0.042)	0.006	(0.001, 0.010)
History of Coronary Artery Bypass Graft (CABG) (ICD-9 codes V45.81, 36.10-36.16)	-0.049	(-0.066, -0.034)	-0.018	(-0.023, -0.013)
Diabetes mellitus (DM) or DM complications (CC 15-19, 119-120)	0.069	(0.055, 0.082)	0.032	(0.028, 0.037)
Disorders of fluid/electrolyte/acid-base (CC 22-23)	0.130	(0.116, 0.143)	0.034	(0.030, 0.039)
Iron deficiency or other unspecified anemias and blood disease (CC 47)	0.076	(0.063, 0.090)	0.071	(0.066, 0.075)
Cardio-respiratory failure or shock (CC 79)	0.069	(0.056, 0.083)	0.057	(0.051, 0.062)
Congestive heart failure (CC 80)	0.120	(0.104, 0.137)	0.008	(0.001, 0.015)
Vascular or circulatory disease (CC 104-106)	0.064	(0.054, 0.076)	0.011	(0.006, 0.015)
Chronic obstructive pulmonary disease (COPD) (CC 108)	0.124	(0.112, 0.137)	0.062	(0.057, 0.066)
Pneumonia (CC 111-113)	0.080	(0.069, 0.092)	0.063	(0.059, 0.068)
Renal failure (CC 131)	0.136	(0.124, 0.150)	0.095	(0.090, 0.101)
Other urinary tract disorders (CC 136)	0.076	(0.065, 0.087)	0.018	(0.013, 0.022)
Decubitus ulcer or chronic skin ulcer (CC 148-149)	0.078	(0.063, 0.094)	0.080	(0.075, 0.086)
Other gastrointestinal disorders (CC 36)	0.092	(0.078, 0.104)	-0.020	(-0.024, -0.015)
Acute coronary syndrome (CC 81-82)	0.130	(0.115, 0.148)	-0.016	(-0.021, -0.011)
Valvular or rheumatic heart disease (CC 86)	0.032	(0.020, 0.044)	0.022	(0.017, 0.026)
Specified arrhythmias and other heart rhythm disorders (CC 92-93)	0.037	(0.024, 0.048)	0.008	(0.002, 0.014)
Asthma (CC 110)	0.027	(0.008, 0.048)	-0.025	(-0.032, -0.017)
Peptic ulcer, hemorrhage, other specified gastrointestinal disorders (CC 34)	0.049	(0.035, 0.065)	0.032	(0.026, 0.038)

Risk variable	Part 1: Logit model		Part 2: Poisson model	
	Median	CI	Median	CI
Cancer (CC 8-12)	0.014	(-0.001, 0.027)	0.001	(-0.004, 0.008)
Drug/alcohol psychosis or dependence (CC 51-53)	0.099	(0.078, 0.117)	-0.042	(-0.048, -0.035)
Major psychiatric disorders (CC 54-56)	0.073	(0.054, 0.092)	0.005	(-0.002, 0.012)
Dialysis status (CC 130)	0.158	(0.134, 0.184)	-0.136	(-0.145, -0.127)
Severe hematological disorders (CC 44)	0.190	(0.157, 0.217)	0.046	(0.036, 0.055)
Nephritis (CC 132)	0.069	(0.037, 0.096)	0.029	(0.021, 0.040)
Liver or biliary disease (CC 25-30)	0.064	(0.046, 0.083)	0.044	(0.038, 0.051)
Metastatic cancer or acute leukemia (CC 7)	0.177	(0.136, 0.211)	0.025	(0.010, 0.039)
Stroke (CC 95-96)	0.047	(0.027, 0.066)	-0.009	(-0.016, -0.003)
Dementia or other specified brain disorders (CC 49-50)	0.084	(0.068, 0.097)	-0.019	(-0.025, -0.014)
Coronary atherosclerosis or angina (CC 83-84)	0.060	(0.044, 0.075)	-0.015	(-0.020, -0.009)
Other or unspecified heart disease (CC 94)	0.053	(0.040, 0.065)	-0.009	(-0.014, -0.004)
Other psychiatric disorders (CC 60)	0.116	(0.102, 0.133)	-0.021	(-0.026, -0.015)
Hemiplegia, paraplegia, paralysis, functional disability (CC 67-69, 100-102, 177-178)	0.044	(0.022, 0.065)	0.021	(0.014, 0.028)
Fibrosis of lung or other chronic lung disorders (CC 109)	0.056	(0.038, 0.074)	0.030	(0.024, 0.037)
Protein-calorie malnutrition (CC 21)	0.110	(0.091, 0.126)	0.101	(0.095, 0.109)
Depression (CC 58)	0.030	(0.016, 0.045)	-0.012	(-0.018, -0.007)

The results of the PPC are shown in [Table 14](#).

Table 14. Posterior predictive checking (PPC) results for development sample

Statistic	Observed days in acute care	MCMC 95% credible interval (CI) for predicted days in acute care	P-value
Variance	0.60	(0.410, 0.531)	0.0007
Median	1.32	(1.343, 1.375)	<0.0001
Interquartile range (IQR)	0.72	(0.675, 0.724)	0.2270
Coefficient of variation*	0.57	(0.461, 0.518)	<0.0001

\*Note: Coefficient of variation is defined as the ratio of the standard deviation to the mean.

As can be seen in [Table 14](#), the IQR of the hospital median days in acute care fell within the MCMC CIs; the median, variance and coefficient of variation did not. However, when we removed the three hospitals with at least 10 observed days in acute care (each with a single

patient, so three patients total removed from the PPC analysis), the variance fell within the MCMC CIs ([Table 15](#)).

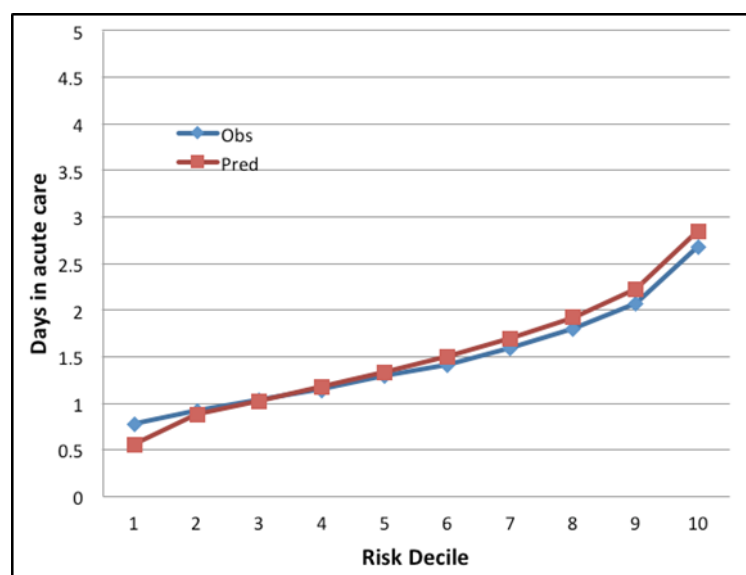
Table 15. Posterior predictive checking (PPC) results for development sample after removal of three hospitals with at least 10 observed days in acute care

Statistic	Observed days in acute care	MCMC 95% credible interval (CI) for predicted days in acute care	P-value
Variance	0.50	(0.401, 0.502)	0.0503
Median	1.32	(1.344, 1.375)	<0.001
Interquartile range (IQR)	0.72	(0.673, 0.723)	0.2427
Coefficient of variation	0.52	(0.456, 0.506)	0.0200

\*Note: Coefficient of variation is defined as the ratio of the standard deviation to the mean.

The C-statistic for the logit part of the model was 0.59; the deviance  $R^2$  for the truncated Poisson part was 0.026 or 2.6%. We applied the models in the development sample and the validation sample. The calibration statistics were (0.03, 1.00) and (-0.06, 0.97) for the logit and truncated Poisson parts of the model, respectively. If the  $\gamma_0$  in the validation samples are substantially far from zero, and the  $\gamma_1$  is substantially far from one, there is potential evidence of over-fitting. The calibration value of close to zero at one end and close to one at the other end indicates very good calibration of the model. As shown in [Figure 5](#), the model underestimates risk for the lowest risk decile patients and slightly overestimates risk for the highest risk decile patients.

Figure 5. Plot of observed versus predicted days in acute care in the development sample



#### 7.1.4 Unadjusted and Adjusted Outcomes

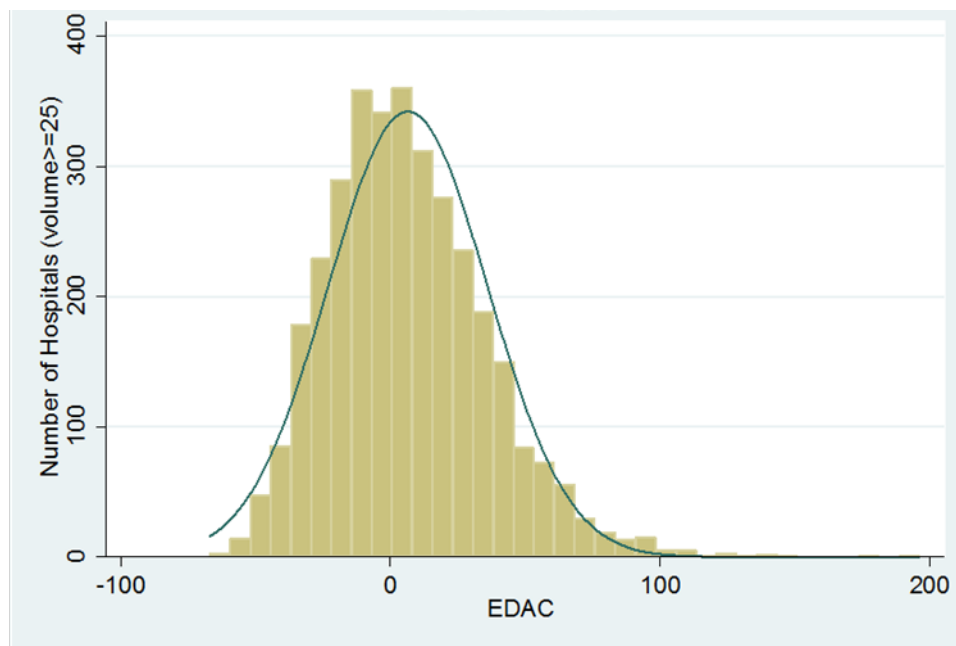
In [Table 16](#) below, we show both unadjusted (observed) days of post-discharge events per 100 discharges and EDAC per 100 discharges for heart failure in the development sample. [Figure 6](#) illustrates the distribution of EDAC across hospitals for heart failure. All results are shown at the hospital-level, and EDAC results are restricted to hospitals with at least 25 discharges in the measurement period.

Table 16. Hospital-level unadjusted distribution of overall acute care, emergency department (ED) visits, observation stays, and readmissions per 100 heart failure discharges, and distribution of excess days in acute care (EDAC)

Description	Mean $\pm$ SD	Median (Q1, Q3)	Range
Observed days in acute care	141.32 $\pm$ 46.06	139.13 (111.27, 168.79)	467.37
Days of ED visits	8.62 $\pm$ 4.75	7.44 (5.54, 10.21)	37.93
Days of observation stays	7.79 $\pm$ 6.26	6.45 (3.60, 10.39)	61.02
Days of readmissions	127.80 $\pm$ 46.06	125.09 (97.00, 155.71)	475.61
EDAC	6.48 $\pm$ 29.63	3.62 (-14.41, 24.33)	263.33
Days of predicted	143.16 $\pm$ 35.07	140.06 (118.02, 165.24)	267.53
Days of expected	136.68 $\pm$ 12.89	136.68(128.55,144.79)	113.06

Note: Data from 2010-2013 FFS claims development sample for hospitals with  $\geq 25$  discharges; N=3,375; ED visit=0.5 day; observation stay hours are rounded up to the nearest 0.5 day.

Figure 6. Hospital-level, excess days in acute care (EDAC) per 100 discharges for hospitals with at least 25 discharges in the development sample





The mean EDAC per 100 discharges for hospitals in the top decile of performance is -29.02 compared to 196.31 for hospitals in the bottom decile. The variation in days in acute care suggests there are meaningful differences in the quality of care received across hospitals for the heart failure EDAC measure.

To visualize the relative contributions of ED visits, observation stays, and readmissions, we sorted hospitals with at least 100 discharges according to their EDAC and randomly selected ten in the top quintile of performance and ten in the bottom quintile of performance. For purposes of illustration only, we include the unadjusted event rates and the mean days of events among patients with an event ([Table 17](#)). Only risk-adjusted days in acute care are considered in calculation of the measure.

#### *Distribution of Hospitals by Performance Category in the Three-Year Dataset*

Of 4,654 hospitals in the study cohort, 532 had EDACs “lower than expected,” 2,501 were “no different than expected,” and 915 had EDACs “higher than expected.” 706 were classified as “number of cases too small” (fewer than 25) to reliably tell how well the hospital is performing.

Table 17. Random sample of hospitals in top and bottom quintiles of performance

Quintile	Excess days in acute care/100 discharges	Number of qualifying discharges	Unadjusted results					
			Readmission rate	Observation stay rate	Emergency department (ED) visit rate	Mean readmission days*	Mean observation stay days*	Mean ED visit days*
Top	-39.47	110	21.8%	5.5%	13.6%	3.54	1.67	0.50
Top	-37.30	107	13.1%	2.8%	15.0%	4.43	2.50	0.56
Top	-31.70	225	14.2%	0.9%	10.2%	4.94	1.00	0.63
Top	-28.84	111	15.3%	0.9%	10.8%	4.76	3.00	0.50
Top	-25.21	150	17.3%	4.0%	5.3%	4.50	1.42	0.50
Top	-25.20	163	20.9%	6.1%	16.6%	4.50	1.85	0.67
Top	-22.63	157	17.2%	1.3%	14.0%	5.56	2.00	0.57
Top	-22.53	216	18.1%	1.9%	17.6%	5.13	2.00	0.58
Top	-21.92	185	20.5%	2.2%	15.1%	4.29	2.50	0.57
Top	-19.90	144	16.7%	5.6%	13.9%	5.04	1.88	0.55
Bottom	29.93	167	23.4%	5.4%	12.6%	5.92	1.28	0.55
Bottom	42.38	187	27.3%	4.3%	7.5%	5.98	1.00	0.50
Bottom	42.52	145	31.0%	3.4%	9.0%	6.02	2.10	0.58
Bottom	48.85	156	30.8%	4.5%	9.0%	6.29	1.64	0.50
Bottom	50.89	312	28.8%	3.8%	9.3%	6.93	1.71	0.62
Bottom	54.37	146	27.4%	0.7%	6.2%	7.10	3.00	0.56
Bottom	64.37	252	27.4%	0.8%	8.3%	7.38	1.75	0.52
Bottom	66.36	164	32.3%	4.3%	13.4%	6.42	2.57	0.52
Bottom	74.21	212	28.3%	0.5%	6.6%	7.45	2.00	0.57
Bottom	88.55	132	30.3%	0.8%	8.3%	7.50	1.00	0.59

Performance color key: ■ = Better, ■ = Worse

\*Among patients with specified event

## 7.2 Measure Testing

### 7.2.1 Reliability Testing

The results of reliability testing are consistent with existing hospital-level measures of patient outcomes. Compared to the development sample, the mean age of patients and the frequency of the risk-adjustment variables were similar in the validation sample ([Table 12](#)).

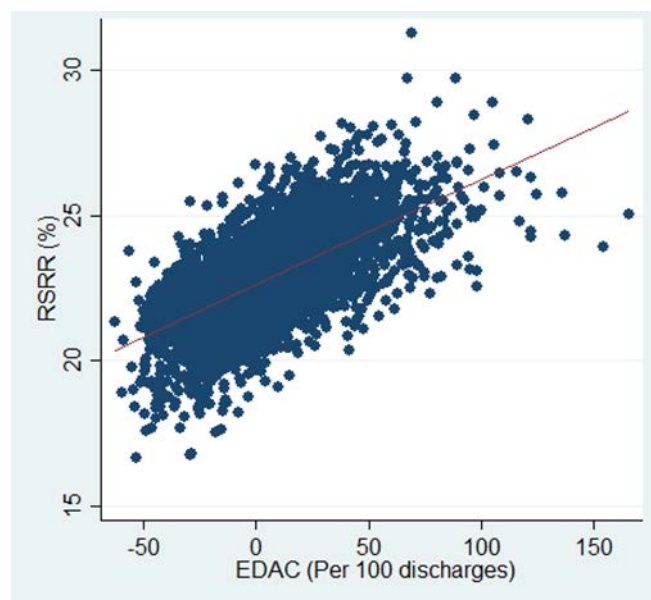
The agreement between the two EDAC values for each hospital was estimated for three years to be ICC [2,1] = 0.73, which according to the conventional interpretation is “substantial.”<sup>50</sup> The ICC [2,1] score, estimated for three years of data, indicates agreement between samples across the full range of measure values. We interpret this to mean that when used with a full three years of data, the measure will be reliable by the standards of hospital measurement.

### 7.2.2 Validity Testing

#### *Validity of Claims-Based Measures*

Comparison of the new measure with the existing CMS 30-day heart failure readmission measure found a Pearson’s correlation of 0.714 ( $P < 0.0001$ ). As shown in [Figure 7](#), there was substantial correlation between the RSRRs and EDAC, indicating that the existing CMS 30-day heart failure readmission measure and newly developed EDAC measure share underlying properties.

Figure 7. Comparison of excess days in acute care (EDAC) and risk-standardized readmission rates (RSRRs)



### *Face Validity*

A total of 12 of the 16 TEP members responded to the survey of face validity, which was conducted in the initial, early phase of development at which time the outcomes of ED and observation use, and readmission and the day count approach had been established. Ten respondents indicated that they moderately or strongly agreed with the following statement: “The EDAC obtained from the measures as specified can be used to distinguish between better and worse quality hospitals” ([Table 18](#)). These validity testing results demonstrate TEP agreement with the overall face validity of the measure.

Table 18. Summary of measure rating by Technical Expert Panel (TEP)

Rating	Number of responses	Percent (%)	Cumulative percent (%)
6 (Strongly agree)	4	33.3%	33.3%
5 (Moderately agree)	6	50.0%	83.3%
4 (Somewhat agree)	1	8.3%	91.7%
3 (Somewhat disagree)	0	0.0%	91.7%
2 (Moderately disagree)	1	8.3%	100.0%
1 (Strongly disagree)	0	0.0	100.0%

## **8. Summary**

This outcome measure of EDAC following hospitalization for heart failure will inform healthcare providers and can help to facilitate their engagement in efforts to improve care. Reducing ED visits, observation stays, and unplanned readmissions for this common and costly condition are likely to improve outcomes for patients and impact Medicare spending. The final cohort and risk-adjustment model are consistent with the publicly reported CMS 30-day heart failure readmission measure, and can be implemented using available data. Consistent with measure development guidelines, this measure was developed with input from clinical and methodological experts and multiple stakeholders.

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## 10. Appendices

### Appendix A. Definition of Emergency Department Visits and Observation Stays

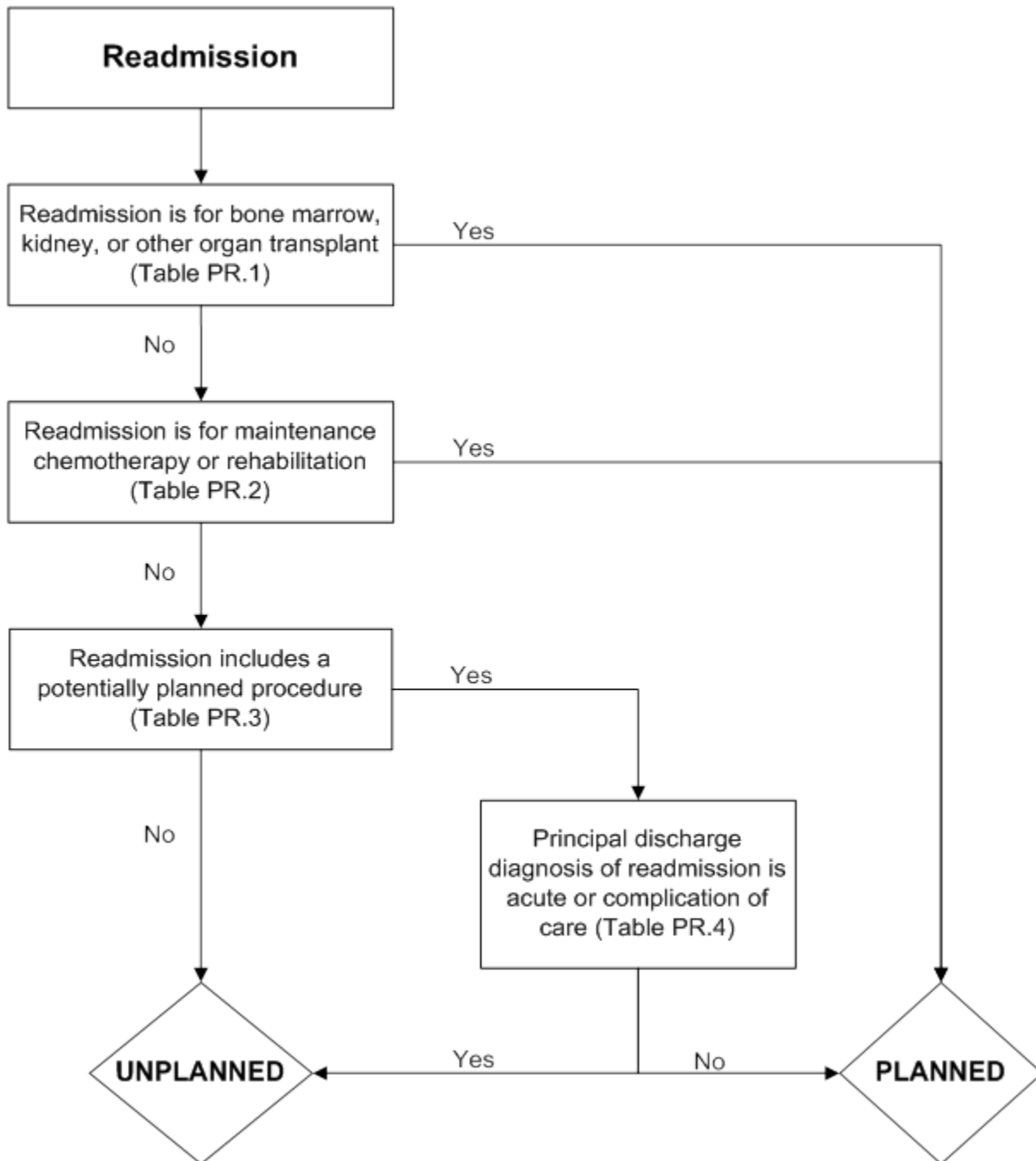
Table A1. Codes used to define emergency department (ED) visits and observation stays

Code (Code Type)	Description
<b>Emergency Department (ED) Definition</b>	
0450 (Revenue Center Code)	Emergency Room
0451 (Revenue Center Code)	Emergency Room: EM/EMTALA
0452 (Revenue Center Code)	Emergency Room: ER/Beyond EMTALA
0459 (Revenue Center Code)	Emergency Room: Other emergency room
0981 (Revenue Center Code)	Professional fees (096x) Emergency room
<b>Observation Stay Definition</b>	
0762 (Revenue Center Code)	Observation room
or	
G0378 (Healthcare Common Procedure Coding System [HCPCS] Code)	Hospital observation service, per hour
or	
99217 (Current Procedural Terminology [CPT] Code)	Hospital observation service, per hour
99218 (CPT Code)	Initial observation care, per day, for the evaluation and management of a patient which requires these three key components: a detailed or comprehensive history; a detailed or comprehensive examination; and medical decision making that is straightforward or of low complexity. Counseling and/or coordination of care with other providers or agencies are provided consistent with the nature of the problem(s) and the patient's and/or family's needs. Usually, the problem(s) requiring admission to observation status are of low severity
99219 (CPT Code)	Initial observation care, per day, for the evaluation and management of a patient, which requires these three key components: a comprehensive history; a comprehensive examination; and medical decision making of moderate complexity. Counseling and/or coordination of care with other providers or agencies are provided consistent with the nature of the problem(s) and the patient's and/or family's needs. Usually, the problem(s) requiring admission to observation status are of moderate severity.
99220 (CPT Code)	Initial observation care, per day, for the evaluation and management of a patient, which requires these three key components: a comprehensive history; a comprehensive examination; and medical decision making of high complexity. Counseling and/or coordination of care with other providers or agencies are provided consistent with the nature of the problem(s) and the patient's and/or family's needs. Usually, the problem(s) requiring admission to observation status are of high severity.

Code (Code Type)	Description
99234 (CPT Code)	Observation or inpatient hospital care, for the evaluation and management of a patient including admission and discharge on the same date which requires these three key components: a detailed or comprehensive history; a detailed or comprehensive examination; and medical decision making that is straightforward or of low complexity. Counseling and/or coordination of care with other providers or agencies are provided consistent with the nature of the problem(s) and the patient's and/or family's needs. Usually the presenting problem(s) requiring admission are of low severity.
99235 (CPT Code)	Observation or inpatient hospital care, for the evaluation and management of a patient including admission and discharge on the same date which requires these three key components: a comprehensive history; a comprehensive examination; and medical decision making of moderate complexity. Counseling and/or coordination of care with other providers or agencies are provided consistent with the nature of the problem(s) and the patient's and/or family's needs. Usually the presenting problem(s) requiring admission are of moderate severity.
99236 (CPT Code)	Observation or inpatient hospital care, for the evaluation and management of a patient including admission and discharge on the same date which requires these three key components: a comprehensive history; a comprehensive examination; and medical decision making of high complexity. Counseling and/or coordination of care with other providers or agencies are provided consistent with the nature of the problem(s) and the patient's and/or family's needs. Usually the presenting problem(s) requiring admission are of high severity.

## Appendix B. Planned Readmission Algorithm, Version 4.0

Figure PR.1. Planned readmission algorithm version 4.0 flowchart



## Planned Readmission Algorithm Version 4.0 Tables – Heart Failure

Table PR.1. Procedure categories that are always planned (version 4.0)

AHRQ CCS Procedure	Description
64	Bone marrow transplant
105	Kidney transplant
134	Cesarean section (Included only in all-payer population, not Medicare)
135	Forceps; vacuum; and breech delivery (Included only in all-payer population, not Medicare)
176	Other organ transplantation

Table PR.2. Diagnosis categories that are always planned (version 4.0)

AHRQ CCS Diagnosis	Description
45	Maintenance chemotherapy
194	Forceps delivery (Included only in all-payer population, not Medicare)
196	Normal pregnancy and/or delivery (Included only in all-payer population, not Medicare)
254	Rehabilitation (Includes only V52.0, V52.1, V52.4, V52.8, V52.9, V53.8, and V58.82)

Table PR.3. Potentially planned procedure categories (version 4.0)

AHRQ CCS Procedure	Description
1	Incision and excision of CNS
3	Laminectomy; excision intervertebral disc
5	Insertion of catheter or spinal stimulator and injection into spinal
9	Other OR therapeutic nervous system procedures
10	Thyroidectomy; partial or complete
12	Other therapeutic endocrine procedures
33	Other OR therapeutic procedures on nose; mouth and pharynx
36	Lobectomy or pneumonectomy
38	Other diagnostic procedures on lung and bronchus
40	Other diagnostic procedures of respiratory tract and mediastinum
43	Heart valve procedures
44	Coronary artery bypass graft (CABG)
45	Percutaneous transluminal coronary angioplasty (PTCA)
49	Other OR heart procedures
51	Endarterectomy; vessel of head and neck
52	Aortic resection; replacement or anastomosis
53	Varicose vein stripping; lower limb
55	Peripheral vascular bypass
56	Other vascular bypass and shunt; not heart
59	Other OR procedures on vessels of head and neck
66	Procedures on spleen
67	Other therapeutic procedures; hemic and lymphatic system
74	Gastrectomy; partial and total
78	Colorectal resection
79	Local excision of large intestine lesion (not endoscopic)
84	Cholecystectomy and common duct exploration
85	Inguinal and femoral hernia repair
86	Other hernia repair
99	Other OR gastrointestinal therapeutic procedures
104	Nephrectomy; partial or complete
106	Genitourinary incontinence procedures
107	Extracorporeal lithotripsy; urinary
109	Procedures on the urethra
112	Other OR therapeutic procedures of urinary tract
113	Transurethral resection of prostate (TURP)
114	Open prostatectomy
119	Oophorectomy; unilateral and bilateral
120	Other operations on ovary

<b>AHRQ CCS Procedure</b>	<b>Description</b>
124	Hysterectomy; abdominal and vaginal
129	Repair of cystocele and rectocele; obliteration of vaginal vault
132	Other OR therapeutic procedures; female organs
142	Partial excision bone
152	Arthroplasty knee
153	Hip replacement; total and partial
154	Arthroplasty other than hip or knee
158	Spinal fusion
159	Other diagnostic procedures on musculoskeletal system
166	Lumpectomy; quadrantectomy of breast
167	Mastectomy
170	Excision of skin lesion
172	Skin graft
<b>ICD-9 Procedure Codes</b>	<b>Description</b>
30.1, 30.29, 30.3, 30.4, 31.74, 34.6	Laryngectomy, revision of tracheostomy, scarification of pleura (from AHRQ CCS Procedure category 42- Other OR Rx procedures on respiratory system and mediastinum)
38.18	Endarterectomy leg vessel (from AHRQ CCS Procedure category 60- Embolectomy and endarterectomy of lower limbs)
55.03, 55.04	Percutaneous nephrostomy with and without fragmentation (from AHRQ CCS Procedure category 103- Nephrotomy and nephrostomy)
94.26, 94.27	Electroshock therapy (from AHRQ CCS Procedure category 218- Psychological and psychiatric evaluation and therapy)

Table PR.4. Acute diagnosis categories (version 4.0)

AHRQ CCS Diagnosis	Description
1	Tuberculosis
2	Septicemia (except in labor)
3	Bacterial infection; unspecified site
4	Mycoses
5	HIV infection
7	Viral infection
8	Other infections; including parasitic
9	Sexually transmitted infections (not HIV or hepatitis)
54	Gout and other crystal arthropathies
55	Fluid and electrolyte disorders
60	Acute posthemorrhagic anemia
61	Sickle cell anemia
63	Diseases of white blood cells
76	Meningitis (except that caused by tuberculosis or sexually transmitted disease)
77	Encephalitis (except that caused by tuberculosis or sexually transmitted disease)
78	Other CNS infection and poliomyelitis
82	Paralysis
83	Epilepsy; convulsions
84	Headache; including migraine
85	Coma; stupor; and brain damage
87	Retinal detachments; defects; vascular occlusion; and retinopathy
89	Blindness and vision defects
90	Inflammation; infection of eye (except that caused by tuberculosis or sexually transmitted disease)
91	Other eye disorders
92	Otitis media and related conditions
93	Conditions associated with dizziness or vertigo
99	Hypertension with complications
100	Acute myocardial infarction (with the exception of ICD-9 diagnosis codes 410.x2)
102	Nonspecific chest pain
104	Other and ill-defined heart disease
107	Cardiac arrest and ventricular fibrillation
109	Acute cerebrovascular disease
112	Transient cerebral ischemia
116	Aortic and peripheral arterial embolism or thrombosis
118	Phlebitis; thrombophlebitis and thromboembolism
120	Hemorrhoids
122	Pneumonia (except that caused by TB or sexually transmitted disease)
123	Influenza
124	Acute and chronic tonsillitis



AHRQ CCS Diagnosis	Description
125	Acute bronchitis
126	Other upper respiratory infections
127	Chronic obstructive pulmonary disease and bronchiectasis
128	Asthma
129	Aspiration pneumonitis; food/vomitus
130	Pleurisy; pneumothorax; pulmonary collapse
131	Respiratory failure; insufficiency; arrest (adult)
135	Intestinal infection
137	Diseases of mouth; excluding dental
139	Gastroduodenal ulcer (except hemorrhage)
140	Gastritis and duodenitis
142	Appendicitis and other appendiceal conditions
145	Intestinal obstruction without hernia
146	Diverticulosis and diverticulitis
148	Peritonitis and intestinal abscess
153	Gastrointestinal hemorrhage
154	Noninfectious gastroenteritis
157	Acute and unspecified renal failure
159	Urinary tract infections
165	Inflammatory conditions of male genital organs
168	Inflammatory diseases of female pelvic organs
172	Ovarian cyst
197	Skin and subcutaneous tissue infections
198	Other inflammatory condition of skin
225	Joint disorders and dislocations; trauma-related
226	Fracture of neck of femur (hip)
227	Spinal cord injury
228	Skull and face fractures
229	Fracture of upper limb
230	Fracture of lower limb
232	Sprains and strains
233	Intracranial injury
234	Crushing injury or internal injury
235	Open wounds of head; neck; and trunk
237	Complication of device; implant or graft
238	Complications of surgical procedures or medical care
239	Superficial injury; contusion
240	Burns
241	Poisoning by psychotropic agents
242	Poisoning by other medications and drugs

<b>AHRQ CCS Diagnosis</b>	<b>Description</b>
243	Poisoning by nonmedicinal substances
244	Other injuries and conditions due to external causes
245	Syncope
246	Fever of unknown origin
247	Lymphadenitis
249	Shock
250	Nausea and vomiting
251	Abdominal pain
252	Malaise and fatigue
253	Allergic reactions
259	Residual codes; unclassified
650	Adjustment disorders
651	Anxiety disorders
652	Attention-deficit, conduct, and disruptive behavior disorders
653	Delirium, dementia, and amnestic and other cognitive disorders
656	Impulse control disorders, NEC
658	Personality disorders
660	Alcohol-related disorders
661	Substance-related disorders
662	Suicide and intentional self-inflicted injury
663	Screening and history of mental health and substance abuse codes
670	Miscellaneous disorders
<b>ICD-9 Diagnosis Codes</b>	<b>Description</b>
<b>Acute ICD-9 diagnosis codes within AHRQ CCS Diagnosis category 97: Peri-; endo-; and myocarditis; cardiomyopathy</b>	
032.82	Diphtheritic myocarditis
036.40	Meningococcal carditis, unspecified
036.41	Meningococcal pericarditis
036.42	Meningococcal endocarditis
036.43	Meningococcal myocarditis
074.20	Coxsackie carditis, unspecified
074.21	Coxsackie pericarditis
074.22	Coxsackie endocarditis
074.23	Coxsackie myocarditis
112.81	Candidal endocarditis
115.03	Infection by Histoplasma capsulatum, pericarditis
115.04	Infection by Histoplasma capsulatum, endocarditis
115.13	Infection by Histoplasma duboisii pericarditis
115.14	Histoplasma duboisii, endocarditis
115.93	Histoplasmosis, unspecified, pericarditis
115.94	Histoplasmosis, unspecified, endocarditis

AHRQ CCS Diagnosis	Description
130.3	Myocarditis due to toxoplasmosis
391.0	Acute rheumatic pericarditis
391.1	Acute rheumatic endocarditis
391.2	Acute rheumatic myocarditis
391.8	Other acute rheumatic heart disease, unspecified
391.9	Acute rheumatic heart disease, unspecified
392.0	Rheumatic chorea with heart involvement
398.0	Rheumatic myocarditis
398.90	Rheumatic heart disease, unspecified
398.99	Other rheumatic heart diseases
420.0	Acute pericarditis in diseases classified elsewhere
420.90	Acute pericarditis, unspecified
420.91	Acute idiopathic pericarditis
420.99	Other acute pericarditis
421.0	Acute and subacute bacterial endocarditis
421.1	Acute and subacute infective endocarditis in diseases classified elsewhere
421.9	Acute endocarditis, unspecified
422.0	Acute myocarditis in diseases classified elsewhere
422.90	Acute myocarditis, unspecified
422.91	Idiopathic myocarditis
422.92	Septic myocarditis
422.93	Toxic myocarditis
422.99	Other acute myocarditis
423.0	Hemopericardium
423.1	Adhesive pericarditis
423.2	Constrictive pericarditis
423.3	Cardiac tamponade
429.0	Myocarditis, unspecified
<b>Acute ICD-9 diagnosis codes within AHRQ CCS Diagnosis category 105: Conduction disorders</b>	
426.0	Atrioventricular block, complete
426.10	Atrioventricular block, unspecified
426.11	First degree atrioventricular block
426.12	Mobitz (type) II atrioventricular block
426.13	Other second degree atrioventricular block
426.2	Left bundle branch hemiblock
426.3	Other left bundle branch block
426.4	Right bundle branch block
426.50	Bundle branch block, unspecified
426.51	Right bundle branch block and left posterior fascicular block
426.52	Right bundle branch block and left anterior fascicular block
426.53	Other bilateral bundle branch block

<b>AHRQ CCS Diagnosis</b>	<b>Description</b>
426.54	Trifascicular block
426.6	Other heart block
426.7	Anomalous atrioventricular excitation
426.81	Lown-Ganong-Levine syndrome
426.82	Long QT syndrome
426.9	Conduction disorder, unspecified
<b>Acute ICD-9 diagnosis codes within AHRQ CCS Diagnosis category 106: Dysrhythmia</b>	
427.2	Paroxysmal tachycardia, unspecified
427.69	Other premature beats
427.89	Other specified cardiac dysrhythmias
427.9	Cardiac dysrhythmia, unspecified
785.0	Tachycardia, unspecified
<b>Acute ICD-9 diagnosis codes within AHRQ CCS Diagnosis category 108: Congestive heart failure; nonhypertensive</b>	
398.91	Rheumatic heart failure (congestive)
428.0	Congestive heart failure, unspecified
428.1	Left heart failure
428.20	Systolic heart failure, unspecified
428.21	Acute systolic heart failure
428.23	Acute on chronic systolic heart failure
428.30	Diastolic heart failure, unspecified
428.31	Acute diastolic heart failure
428.33	Acute on chronic diastolic heart failure
428.40	Combined systolic and diastolic heart failure, unspecified
428.41	Acute combined systolic and diastolic heart failure
428.43	Acute on chronic combined systolic and diastolic heart failure
428.9	Heart failure, unspecified
<b>Acute ICD-9 diagnosis codes within AHRQ CCS Diagnosis category 149: Biliary tract disease</b>	
574.00	Calculus of gallbladder with acute cholecystitis, without mention of obstruction
574.01	Calculus of gallbladder with acute cholecystitis, with obstruction
574.30	Calculus of bile duct with acute cholecystitis, without mention of obstruction
574.31	Calculus of bile duct with acute cholecystitis, with obstruction
574.60	Calculus of gallbladder and bile duct with acute cholecystitis, without mention of obstruction
574.61	Calculus of gallbladder and bile duct with acute cholecystitis, with obstruction
574.80	Calculus of gallbladder and bile duct with acute and chronic cholecystitis, without mention of obstruction
574.81	Calculus of gallbladder and bile duct with acute and chronic cholecystitis, with obstruction
575.0	Acute cholecystitis
575.12	Acute and chronic cholecystitis
576.1	Cholangitis
<b>Acute ICD-9 diagnosis codes within AHRQ CCS Diagnosis category 152: Pancreatic disorders</b>	
577.0	Acute pancreatitis