

Table 1: Examples of Potentially Significant Risk Factors

Clinical Diagnoses, Behavioral Health, Special Needs	Potential Physical Limitations	Social Determinants	Utilization/Claims Data	Clinician Input (Personal Knowledge)
<ul style="list-style-type: none"> - Any chronic disease, particularly one that is not in control or at desired goal - Chronic pain - Substance abuse (alcohol/drug/tobacco) - Terminal illness - Advanced age with frailty - Multiple co-morbidities - Pre-term delivery of newborn - Child, youth, or adult with special needs - Anxiety, schizophrenia, bipolar, depression, or other behavior affecting health - Dental health - Dementia/Alzheimer's disease 	<ul style="list-style-type: none"> - Non-ambulatory - Needs Assistance with Activities of Daily Living (ADLs) - Severely diminished functional status - Declining eyesight - Extreme weakness or fatigue - At risk for falls 	<ul style="list-style-type: none"> - Lack of financial or family support that impacts care - Unemployed - No health insurance - Low health literacy - Unsafe home environment - Homeless - Lives alone and needs assistance with ADLs - Transportation for health care appointments is difficult - Language barriers 	<ul style="list-style-type: none"> - Frequent hospitalizations (particularly heart failure, GI disorders, and pneumonia) - Frequent office, ER, or urgent care visits - Multiple providers - Hospital readmission within 30 days - Major procedure in last year - Chronic kidney disease - Brain trauma - Expensive medications 	<ul style="list-style-type: none"> - Polypharmacy - Patient is taking several medications that may not all be needed and/or could have potential for interactions - High-risk medications - Non-compliant with treatment plan - Confusion with medications or following the treatment plan - Recent move to long-term facility or other transition of care - Spouse (who was the caregiver) recently deceased - Lack of engagement in care plan - Low confidence or ability for self-management - Answer to the question: Is this patient at higher risk for dying within the next year?

Table 2: Risk Categories and Levels using Diabetes Example Case

CATEGORY	PRIMARY PREVENTION (Low Resource Use) GOAL: To prevent onset of disease		SECONDARY PREVENTION (Moderate Resource Use) GOAL: To treat a disease and avoid serious complications		TERTIARY (High Resource Use) GOAL: To treat the late or final stages of a disease and minimize disability	CATASTROPHIC/COMPLEX (Extremely High Resource Use) GOAL: May range from restoring health to only providing comfort care
	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6
Stage	No known diagnoses or complex treatments	No known diagnoses but demonstrates warning signs or potentially significant risk factors	Has diagnosis, but stabilized or in control; potentially significant risk factors	Has diagnosis and/or complex treatment, and at higher risk for complications or potentially significant risk factors	Has diagnosis, complex treatment, and complications or potentially significant risk factors - goal is to prevent further complications	<ul style="list-style-type: none"> • Very severe illness or condition and potentially significant risk factors • End-of-life care • Premature baby (May have high costs with limited or no opportunity for improvement, stabilization, or cost control)
Example of using uncontrolled progression of diabetes	<ul style="list-style-type: none"> • Healthy 	<ul style="list-style-type: none"> • Blood glucose and lipids rising, but still within desired parameters • BMI elevated • Smoker 	<ul style="list-style-type: none"> • Diagnosed with type 2 diabetes, blood sugar, and lipids brought within desired parameters • Married, family involved 	<ul style="list-style-type: none"> • Blood sugar and lipids not within desired parameters, and financial situation impacting negatively • Lives alone • One ER visit and one hospitalization in past year 	<ul style="list-style-type: none"> • Has diabetes with early renal disease, coronary artery disease, failing eyesight, and lives alone • Three ER visits and two hospitalizations in past year • Dual eligible Medicaid/Medicare • Needs Assistance with Activities of Daily Living (ADLs) 	<ul style="list-style-type: none"> • Diagnosed with lung cancer • Recent myocardial infarction • Progression to ESRD with renal dialysis • Amputation of one leg • Blind • Lives in nursing home
Example of Care Plan Considerations for patient with uncontrolled progression of diabetes	<ul style="list-style-type: none"> ✓ Preventive screenings and immunizations ✓ Patient education and engagement ✓ Appropriate monitoring for warning signs ✓ Health risk assessment (annual) ✓ Care plan that includes smoking cessation counseling and program offered 	<ul style="list-style-type: none"> ✓ Preventive screenings and immunizations ✓ Patient education and engagement ✓ Appropriate monitoring ✓ Health risk assessment (semi-annual) ✓ Care plan with smoking cessation counseling and program offered ✓ Team/planned care ✓ Group visits ✓ Health coach ✓ Referrals as appropriate, such as social services ✓ Community resources ✓ Home self-monitoring 	<ul style="list-style-type: none"> ✓ Preventive screenings and immunizations ✓ Patient education and engagement ✓ Appropriate monitoring ✓ Health risk assessment (semi-annual) ✓ Care plan with smoking cessation counseling and program offered ✓ Team/planned care ✓ Group visits ✓ Health coach ✓ Referrals as appropriate, such as social services ✓ Community resources ✓ Home self-monitoring 	<ul style="list-style-type: none"> ✓ Preventive screenings and immunizations ✓ Patient education and engagement ✓ Appropriate monitoring ✓ Health risk assessment (quarterly) ✓ Intensive care management plan and resources ✓ Smoking cessation ✓ Group visits ✓ Health coach ✓ Home health 	<ul style="list-style-type: none"> ✓ Hospitalization ✓ Rehabilitation ✓ Long-term care ✓ Hospice ✓ Home health ✓ Individualized intensive care management and coordination ✓ May or may not conduct preventive screenings ✓ Health risk assessment, as appropriate 	

Identifying Disease Burden and Determining Health Risk Status

