# Risk Adjustment Technical Steps and Risk Factor Specifications 

Effective January 1, 2023
Last Updated: December 23, 2022

## I. Background

The Centers for Medicare \& Medicaid Services (CMS) maintains, re-evaluates and implements changes to the OASIS data item set and develops, implements, maintains and re-evaluates quality measures that are reflective of quality of care provided by home health agencies (HHAs) in the home setting. For outcome measures, the re-evaluation process includes evaluating and updating, as needed, the risk adjustment models used to adjust for patient characteristics at admission, to ensure they are adequately robust and allow for valid comparison across providers. OASIS-based home health outcome measures are risk adjusted using OASIS items that are statistically significant and clinically relevant predictors of the outcome.

The updated risk models in this document re-produce the prior risk adjustment models after revising the following risk factors to accommodate changes in OASIS-E:

- Depression Screening (PHQ-2 Score) was replaced with Patient Mood Screening (PHQ-2 to 9)
- Home Care Diagnoses were replaced with CMS-Hierarchical Condition Categories (CMS-HCCs)

All other risk factors remain the same as the January 1, 2021 update. The next major update of the risk adjustment models is planned to take effect in CY 2024. During that update, the risk adjustment models will be based on refreshed data and all risk factors will be re-tested for inclusion.
The latest risk adjustment update is applicable to home health quality episodes with a start of care/resumption care assessment completion date (M0090_ASMT_CMPLT_DT) on or after begin January 1, 2023. The OASIS-based outcome measures for which the updated risk adjustment models apply starting January 1, 2023 are:

- Improvement in Ambulation/Locomotion
- Improvement in Bathing
- Improvement in Bed Transferring
- Improvement in Bowel Incontinence
- Improvement in Confusion Frequency
- Improvement in Dyspnea
- Improvement in Lower Body Dressing
- Improvement in Upper Body Dressing
- Improvement in Management of Oral Medications
- Improvement in Toilet Transferring
- Discharged to Community

Section II describes the technical steps for calculating risk adjusted measures and describes the development of the risk adjustment models. Section III contains the detailed specifications for each of the risk factors used in the risk adjustment models.
Appendix Table 1 and Appendix Table 2 contains the list of risk factors and the estimated covariate coefficients for each measure, respectively.

## II. Technical Approach

## Calculating Risk Adjusted Quality Measures

The following steps are used to calculate each quality measure:
A. Calculate the agency observed score (steps 1 through 3)

Step 1. Calculate the denominator count:
Calculate the total number of quality episodes that do not meet the exclusion criteria following each measure's specifications. ${ }^{1}$

Step 2. Calculate the numerator count:
Calculate the total number of quality episodes in the denominator whose OASIS assessments indicates meeting numerator criteria for each month, following each measure's specifications.

Step 3. Calculate the agency's observed rate:
Divide the agency's numerator count by its denominator count to obtain the agency's observed rate; that is, divide the result of step $\mathbf{2}$ by the result of step 1.
B. Calculate the predicted rate for each quality episode (steps 4 and 5)

Step 4. Determine presence or absence of the risk factors for each patient (technical specifications for risk factors are in Section III):

If dichotomous risk factors are used, assign values, either ' 0 ' for condition not present or ' 1 ' for condition present, for each quality episode for each of the covariates as reported at SOC/ROC, as described in the section above.

Step 5. Calculate the predicted rate for each quality episode with the following formula:
[1] Episode-level predicted QM rate $=1 /\left[1+\mathrm{e}^{-x}\right]$
Where e is the base of natural logarithms and X is a linear combination of the constant and the logistic regression coefficients times the covariate scores (from Formula [2], below).
[2] Quality measure triggered (yes $=1$, no $=0$ ) $=\mathrm{B}_{0}+\mathrm{B}_{1}{ }^{*} \mathrm{COV}_{1}+\mathrm{B}_{2}{ }^{*} \mathrm{COV}_{2}+\ldots \mathrm{B}_{\mathrm{N}}{ }^{*} \mathrm{COV}_{\mathrm{N}}$
Where $B_{0}$ is the logistic regression constant, $B_{1}$ is the logistic regression coefficient for the first covariate, $\mathrm{COV}_{1}$ is the episode-level rate for the first covariate, $\mathrm{B}_{2}$ is the logistic regression coefficient for the second covariate, and $\mathrm{COV}_{2}$ is the episode-level rate for the second

[^0]covariate, etc. The regression constant and regression coefficients are provided in Appendix Table 2.
C. Calculate the agency predicted rate (step 6)

Step 6. Once a predicted QM rate has been calculated for all quality episodes, calculate the mean agency-level predicted QM rate by averaging all episode-level predicted values for that agency for each month.
D. Calculate national predicted rate (step 7)

Step 7. Calculate the national predicted rate:
Once a predicted QM value has been calculated for all episodes, calculate the mean nationallevel predicted QM rate by averaging all episode-level predicted values for each month. Note that the sample will include only those quality episodes with non-missing data for the component covariates.
E. Calculate the agency's risk-adjusted rate (step 8)

Step 8. Calculate the agency-level monthly risk-adjusted rate based on the agency-level monthly observed quality measure rate (step 3), agency-level monthly mean predicted quality measure rate (step 6), and national monthly mean predicted QM rate (step 7), using the following formula:
[3] agency risk adjusted rate = agency observed rate + national predicted rate - agency predicted rate
F. Calculate the agency's 12-month risk adjusted rate (step 9)

Step 9. Calculate the 12 -month risk-adjusted rate by averaging the agency's monthly riskadjusted rate (step 8) weighting by the HHA's number of episodes in each month over the 12month period.

If the adjusted rate is greater than $100 \%$, the adjusted rate is set to $100 \%$. Similarly, if the result is a negative number, the adjusted rate is set to zero.

## Identifying Risk Factors

The risk adjustment model was developed using OASIS national repository data from assessments submitted between January 1, 2021 and December 31, 2021 ( $\sim 6.2$ million episodes of care). The population of 6.2 million episodes for calendar year 2021 was split in half such that 3.1 million episodes were used as a developmental sample and 3.1 million episodes were used as a validation sample. The following process was used to identify unique contributing risk factors to the prediction model:

1. Risk factors were identified based on OASIS items that will remain following the OASIS-E transition. The statistical properties of the items were examined to specify risk factors (e.g., item responses were grouped when there was low prevalence of certain responses). Team clinicians then reviewed all risk factors for clinical relevance and redefined or updated risk factors as necessary. These risk factors were divided into 31 risk factor groups (e.g., functional status, CMSHCCs). Where possible, risk factors were defined such that they flagged mutually exclusive subgroups within each content focus group. When modelling these risk factors, the exclusion category was set to be either the risk factor flag for most independent or the most frequent within each content focus group.
2. A logistic regression specification was used to estimate coefficients among the full set of candidate risk factors. Those risk factors that are statistically significant at probability $<0.0001$ are kept for further review.
3. Each risk factor flagged in Step 2 was reviewed to determine which one of the two groups its content focus group resided. Either its content focus group was explicitly tiered by increasing severity or it was not. This classification determined which risk factors covariates were kept and which were dropped from the final risk adjustment specification. For content focus groups that are explicitly tiered by increasing severity, either all risk factors are included within a content focus group or none of them. For example, if response option levels 1 and 2 for M1800 Grooming were statistically significant at probability $<0.0001$ for a particular outcome, then response option level 3 for M1800 Grooming was added to the list even if it was not statistically significant. If none of the risk factors within an explicitly tiered content focus group are statistically significant at $<0.0001$, the entire content focus group is removed from the model.
4. A logistic regression was computed on the list of risk factors that had achieved probability <0.0001 in Step 3 above.
5. Goodness of fit statistics (McFadden's R', C-statistic, and Intra-Class Correlation) were calculated to measure how well the predicted values generated by the prediction model were related to the actual outcomes. Separate bivariate correlations were constructed between the risk factors and the outcomes to confirm the sign and strength of the estimated coefficients in the logistic model.
6. The initial model was reviewed by a team of at least three experienced home health clinicians. Each risk factor was reviewed for its clinical plausibility. Clinicians were asked about the direction indicated by the coefficient in the risk adjustment model and how it compares to their perceived bivariate relationship given their experience treating patients in the home. Risk factors that were not clinically plausible were revised or eliminated if revisions were not possible.
7. The risk factors that were deemed not clinically plausible were revised or eliminated, and Steps 3,4 , and 5 in this process were repeated. The resulting logistic regression equation was designated as the risk adjustment model for the outcome.
8. The risk adjustment model was applied to the validation sample and goodness of fit statistics were computed. The statistics were similar to the goodness of fit statistics computed with the development sample. As additional testing, HHAs were stratified across several observable characteristics, and the distributions of the risk-adjusted outcomes were checked to confirm that values remained similar across strata.
9. Updated for January 1, 2023 as outlined in Section I: Risk adjustment models were re-run after revising two risk factors(i.e., replacing depression screening with patient mood screening and home care diagnoses with HCCs).

## III. Risk Factor Technical Specifications

OASIS data items are referred to in this documentation using field names specified in OASIS Data Submission Specifications published by CMS. "[1]" is appended to the field name if the value is taken from the beginning of episode assessment (Start or Resumption of Care), and "[2]" is appended if the value is to be taken from the assessment conducted at the end of the episode (Discharge, Transfer, or Death).

## 1. Age

IF M0100_ASSMT_REASON[1] = 01
THEN
IF MONTH(M0030_START_CARE_DT[1]) > MONTH(M0066_PAT_BIRTH_DT[1]) OR
(MONTH(MOO30_START_CARE_DT[1]) = MONTH(M0066_PAT_BIRTH_DT[1])
AND DAY(M0030_START_CARE_DT[1]) >= DAY(M0066_PAT_BIRTH_DT[1]))
THEN

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            AGE = YEAR(M0030_START_CARE_DT[1]) - YEAR(M0066_PAT_BIRTH_DT[1])
```

ELSE
AGE $=$ YEAR(M0030_START_CARE_DT[1]) - YEAR(M0066_PAT_BIRTH_DT[1])-1
END IF
ELSE
IF MONTH(M0032_ROC_DT[1]) > MONTH(M0066_PAT_BIRTH_DT[1])OR
(MONTH(M0032_ROC_DT[1]) = MONTH(M0066_PAT_BIRTH_DT[1]) AND
DAY(M0032_ROC_DT[1]) >= DAY(M0066_PAT_BIRTH_DT[1]))
THEN
AGE $=$ YEAR(M0032_ROC_DT[1]) - YEAR(M0066_PAT_BIRTH_DT[1])
ELSE
AGE $=$ YEAR(M0032_ROC_DT[1]) - YEAR(M0066_PAT_BIRTH_DT[1])-1
END IF
END IF

Age: 0-54
IF (AGE >= 18 AND AGE <= 54)
THEN
AGE_0_54 = 1
ELSE
AGE_0_54 = 0
END IF

Age: 55-59
IF (AGE >= 55 AND AGE <= 59)
THEN
AGE_55_59 = 1
ELSE
AGE_55_59 = 0
END IF

```
Age: 60-64
```

IF (AGE >= 60 AND AGE <= 64)
THEN
AGE_60_64 = 1
ELSE
AGE_60_64 = 0
END IF
Age: 65-69
IF (AGE >= 65 AND AGE <= 69)
THEN
AGE_65_69 = 1
ELSE
AGE_65_69 = 0
END IF
Age: 70-74
IF (AGE >= 70 AND AGE <= 74)
THEN
AGE_70_74 = 1
ELSE
AGE_70_74 = 0
END IF
Age: 75-79
IF (AGE >= 75 AND AGE <= 79)
THEN
AGE_75_79 = 1
ELSE
AGE_75_79 = 0
END IF
Age: 80-84
IF (AGE >= 80 AND AGE <= 84)
THEN
AGE_80_84 = 1
ELSE
AGE_80_84 = 0
END IF
Age: 85-89
IF (AGE >= 85 AND AGE = 89)
THEN
AGE_85_89 = 1
ELSE
AGE_85_89 = 0
END IF

```
Age: 90-94
IF (AGE >= 90 AND AGE <= 94)
THEN
    AGE_90_94 = 1
ELSE
    AGE_90_94 = 0
END IF
Age: 95+
IF (AGE >= 95)
THEN
    AGE_95PLUS = 1
ELSE
    AGE_95PLUS = 0
END IF
2. Gender
IF M0069_PAT_GENDER[1] = 2
THEN
    GENDER = 1
ELSE
    GENDER = 0
END IF
Patient is Female
IF GENDER = 1
THEN
    GENDER_FEMALE = 1
ELSE
    GENDER_FEMALE = 0
END IF
Patient is Male
IF GENDER = 0
THEN
    GENDER_MALE = 1
ELSE
    GENDER_MALE = 0
END IF
```


## 3. Payment Source

Payment Source: Medicare FFS only
IF M0150_CPAY_MCARE_FFS[1] = 1 AND M0150_CPAY_NONE[1] = 0 AND M0150_CPAY_MCARE_HMO[1] = 0 AND M0150_CPAY_MCAID_FFS[1] = 0 AND M0150_CPAY_MCAID_HMO[1] = 0 AND M0150_CPAY_WRKCOMP[1] = 0 AND

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M0150_CPAY_TITLEPGMS[1] = 0 AND M0150_CPAY_OTH_GOVT[1] = 0 AND
M0150_CPAY_PRIV_INS[1] = 0 AND M0150_CPAY_PRIV_HMO[1] = 0 AND
M0150_CPAY_SELFPAY[1] = 0 AND M0150_CPAY_OTHER[1] = 0 AND M0150_CPAY_UK [1] = 0
THEN
    PAY_MCARE_FFS = 1
ELSE
    PAY_MCARE_FFS = 0
END IF
Payment Source: Medicare HMO only
IF M0150_CPAY_MCARE_HMO[1] = 1 AND M0150_CPAY_NONE[1] = 0 AND
M0150_CPAY_MCARE_FFS[1] = 0 AND M0150_CPAY_MCAID_FFS[1] = 0 AND
M0150_CPAY_MCAID_HMO[1] = 0 AND M0150_CPAY_WRKCOMP[1] = 0 AND
M0150_CPAY_TITLEPGMS[1] = 0 AND M0150_CPAY_OTH_GOVT[1] = 0 AND
M0150_CPAY_PRIV_INS[1] = 0 AND M0150_CPAY_PRIV_HMO[1] = 0 AND
M0150_CPAY_SELFPAY[1] = 0 AND M0150_CPAY_OTHER[1] = 0 AND M0150_CPAY_UK[1] = 0
THEN
    PAY_MCARE_HMO = 1
ELSE
    PAY_MCARE_HMO = 0
END IF
```


## Payment Source: Medicare and Medicaid

```
IF ((M0150_CPAY_MCARE_FFS[1] = 1 AND M0150_CPAY_MCAID_FFS[1] = 1) OR
(M0150_CPAY_MCARE_FFS[1] = 1 AND M0150_CPAY_MCAID_HMO[1] = 1) OR
(M0150_CPAY_MCARE_HMO[1] = 1 AND M0150_CPAY_MCAID_FFS[1] = 1) OR
(M0150_CPAY_MCARE_HMO[1] = 1 AND M0150_CPAY_MCAID_HMO[1] = 1) OR
(M0150_CPAY_MCARE_FFS[1] = 1 AND M0150_CPAY_MCARE_HMO[1] = 1 AND
M0150_CPAY_MCAID_FFS[1] = 1) OR (M0150_CPAY_MCARE_FFS[1] = 1 AND
M0150_CPAY_MCARE_HMO[1] = 1 AND M0150_CPAY_MCAID_HMO[1] = 1) OR
(M0150_CPAY_MCARE_FFS[1] = 1 AND M0150_CPAY_MCAID_FFS[1] = 1 AND
M0150_CPAY_MCAID_HMO[1] = 1) OR (M0150_CPAY_MCARE_HMO[1] = 1 AND
M0150_CPAY_MCAID_FFS[1] = 1 AND M0150_CPAY_MCAID_HMO[1] = 1)) AND
M0150_CPAY_NONE[1] = 0 AND M0150_CPAY_WRKCOMP[1] = 0
THEN
    PAY_MCAREANDMCAID = 1
ELSE
    PAY_MCAREANDMCAID = 0
END IF
```


## Payment Source: Medicaid Only

```
IF (M0150_CPAY_MCAID_FFS[1] = 1 OR M0150_CPAY_MCAID_HMO[1] = 1) AND
M0150_CPAY_NONE[1] = 0 AND M0150_CPAY_MCARE_FFS[1] = 0 AND
M0150_CPAY_MCARE_HMO[1] = 0 AND M0150_CPAY_WRKCOMP[1] = 0 AND
M0150_CPAY_TITLEPGMS[1] = 0 AND M0150_CPAY_OTH_GOVT[1] = 0 AND
M0150_CPAY_PRIV_INS[1] = 0 AND M0150_CPAY_PRIV_HMO[1] = 0 AND
M0150_CPAY_SELFPAY[1] = 0 AND M0150_CPAY_OTHER[1] = 0 AND M0150_CPAY_UK[1] = 0
THEN
```

```
    PAY_MCAID_ONLY = 1
ELSE
    PAY_MCAID_ONLY = 0
END IF
```

Payment Source: Other Combinations
IF PAY_MCARE_FFS = 0 AND PAY_MCARE_HMO = 0 AND PAY_MCAREANDMCAID $=0$ AND
PAY_MCAID_ONLY = 0
THEN
PAY_OTHER_COMBO = 1
ELSE
PAY_OTHER_COMBO = 0
END IF

## 4. SOC/ROC and Admission Source

Discharged from facility in past 14 days
IF (M1000_DC_IPPS_14_DA[1] = 01 OR M1000_DC_SNF_14_DA[1] = 01 OR M1000_DC_IRF_14_DA[1] = 01 OR
M1000_DC_LTC_14_DA[1] = 01 OR M1000_DC_LTCH_14_DA[1] = 01 OR M1000_DC_PSYCH_14_DA[1] = 01)
THEN
INPT_FACILITY = 1
ELSE
INPT_FACILITY = 0
END IF

Start of Care - Further visits planned: Discharged from facility in past 14 days
IF (M0100_ASSMT_REASON[1] = 01 AND INPT_FACILITY = 1)
THEN
SOC_INPT = 1
ELSE
SOC_INPT = 0
END IF

Start of Care - Further visits planned: Not Discharged from facility in past 14 days
IF (M0100_ASSMT_REASON[1] = 01 AND INPT_FACILITY = 0)
THEN
SOC_COMM = 1
ELSE
SOC_COMM $=0$
END IF

Resumption of care (after inpatient stay)
IF (M0100_ASSMT_REASON[1] = 03)
THEN
$R O C=1$
ELSE
$R O C=0$

## END IF

## 5. Post-Acute Facility Admission Source

## Not discharged from post-acute facility past 14 days

IF M1000_DC_SNF_14_DA[1] = 1 OR M1000_DC_IRF_14_DA[1] = 1 OR M1000_DC_NF_14_DA[1] = 1 OR M1000_DC_LTCH_14_DA[1] = 1 OR M1000_DC_PSYCH_14_DA[1] = 1
THEN
INPT_NOPOSTACUTE = 0
ELSE
INPT_NOPOSTACUTE = 1
END IF

Discharged from post-acute facility past 14 days
IF M1000_DC_SNF_14_DA[1] = 1 OR M1000_DC_IRF_14_DA[1] = 1 OR M1000_DC_NF_14_DA[1] = 1 OR M1000_DC_LTCH_14_DA[1] = 1 OR M1000_DC_PSYCH_14_DA[1] = 1

```
THEN
```

    INPT_POSTACUTE = 1
    ELSE
INPT POSTACUTE $=0$
END IF

## 6. Risk of Hospitalization

Risk of Hospitalization: History of falls in past 12 months

```
IF M1033_HOSP_RISK_HSTRY_FALLS[1] = 1
```

THEN
RISK_HSTRY_FALLS = 1
ELSE
RISK_HSTRY_FALLS $=0$
END IF

Risk of Hospitalization: Unintentional weight loss in past 12 months
IF M1033_HOSP_RISK_WEIGHT_LOSS[1] = 1
THEN
RISK_WEIGHTLOSS = 1
ELSE
RISK_WEIGHTLOSS = 0
END IF

Risk of Hospitalization: Multiple hospitalizations in past 6 months
IF M1033_HOSP_RISK_MLTPL_HOSPZTN[1] = 1
THEN
RISK_MLTPL_HOSPZTN = 1
ELSE

```
    RISK_MLTPL_HOSPZTN = 0
```

END IF

```
Risk of Hospitalization: Multiple ED visits in past }6\mathrm{ months
IF M1033_HOSP_RISK_MLTPL_ED_VISIT[1] = 1
THEN
    RISK_ED = 1
ELSE
    RISK_ED = 0
END IF
Risk of Hospitalization: Recent decline mental/emotional decline in past 3 months
IF M1033_HOSP_RISK_MNTL_BHV_DCLN[1] = 1
THEN
    RISK_RCNT_DCLN = 1
ELSE
    RISK_RCNT_DCLN = 0
END IF
Risk of Hospitalization: Difficulty complying with medical instruction in past 3 months
IF M1033_HOSP_RISK_COMPLIANCE[1] = 1
THEN
    RISK_COMPLY = 1
ELSE
    RISK_COMPLY = 0
END IF
Risk of Hospitalization: Taking five or more medications
IF M1033_HOSP_RISK_5PLUS_MDCTN[1] = 1
THEN
    RISK_5PLUS_MDCTN = 1
ELSE
    RISK_5PLUS_MDCTN = 0
END IF
Risk of Hospitalization: Reports Exhaustion
IF M1033_HOSP_RISK_CRNT_EXHSTN[1] = 1
THEN
    RISK_EXHAUST = 1
ELSE
    RISK_EXHAUST = 0
END IF
Risk of Hospitalization: Other unlisted risk factors
IF M1033_HOSP_RISK_OTHR_RISK[1] = 1
THEN
    RISK_OTHR = 1
ELSE
    RISK_OTHR = 0
END IF
```

Risk of Hospitalization: None of the Above
IF M1033_HOSP_RISK_NONE_ABOVE[1] = 1
THEN
RISK_NONE = 1
ELSE
RISK_NONE = 0
END IF

## 7. Availability of Assistance

## Availability of Assistance

Around the clock
IF M1100_PTNT_LVG_STUTN[1] = 01 OR M1100_PTNT_LVG_STUTN[1] = 06 OR M1100_PTNT_LVG_STUTN[1] = 11
THEN
ASSIST_ARND_CLOCK = 1
ELSE
ASSIST_ARND_CLOCK = 0
END IF

Regular daytime
IF M1100_PTNT_LVG_STUTN[1] = 02 OR M1100_PTNT_LVG_STUTN[1] = 07 OR M1100_PTNT_LVG_STUTN[1] = 12
THEN
ASSIST_REGDAY = 1
ELSE
ASSIST_REGDAY $=0$
END IF

Regular nighttime
IF M1100_PTNT_LVG_STUTN[1] = 03 OR M1100_PTNT_LVG_STUTN[1] = 08 OR
M1100_PTNT_LVG_STUTN[1] = 13

THEN
ASSIST_REGNITE = 1
ELSE
ASSIST_REGNITE = 0
END IF

Occasional/None
IF M1100_PTNT_LVG_STUTN[1] = 04 OR M1100_PTNT_LVG_STUTN[1] = 05 OR M1100_PTNT_LVG_STUTN[1] = 09 OR M1100_PTNT_LVG_STUTN[1] = 10 OR M1100_PTNT_LVG_STUTN[1] = 14 OR M1100_PTNT_LVG_STUTN[1] = 15
THEN
ASSIST_OCC_NONE = 1
ELSE
ASSIST_OCC_NONE = 0

## END IF

## Living Arrangement

## Lives alone

IF M1100_PTNT_LVG_STUTN[1] = 01 OR M1100_PTNT_LVG_STUTN[1] = 02 OR
M1100_PTNT_LVG_STUTN[1] = 03 OR M1100_PTNT_LVG_STUTN[1] = 04 OR
M1100_PTNT_LVG_STUTN[1] = 05
THEN
LIV_ALONE = 1
ELSE
LIV_ALONE = 0
END IF
Lives with Others
IF M1100_PTNT_LVG_STUTN[1] = 06 OR M1100_PTNT_LVG_STUTN[1] = 07 OR
M1100_PTNT_LVG_STUTN[1] = 08 OR M1100_PTNT_LVG_STUTN[1] = 09 OR
M1100_PTNT_LVG_STUTN[1] = 10
THEN
LIV_OTHERS = 1
ELSE
LIV_OTHERS = 0
END IF
Lives in a Congregate Situation
IF M1100_PTNT_LVG_STUTN[1] = 11 OR M1100_PTNT_LVG_STUTN[1] = 12 OR
M1100_PTNT_LVG_STUTN[1] = 13 OR M1100_PTNT_LVG_STUTN[1] = 14 OR
M1100_PTNT_LVG_STUTN[1] = 15
THEN
LIV_CONGREGATE = 1
ELSE
LIV_CONGREGATE $=0$
END IF

## 8. Pressure Ulcers

```
None or Stage I Present
IF M1306_UNHLD_STG2_PRSR_ULCR[1] = 00 AND
(M1322_NBR_PRSULC_STG1[1] = 00 OR M1322_NBR_PRSULC_STG1[1] = 01 OR
M1322_NBR_PRSULC_STG1[1] = 02 OR M1322_NBR_PRSULC_STG1[1] = 03 OR
M1322_NBR_PRSULC_STG1[1] = 04)
THEN
    PU_NONE_STG1ONLY = 1
ELSE
    PU_NONE_STG1ONLY = 0
END IF
```

```
Stage II or Higher and Unstageable Present
IF M1311_NBR_PRSULC_STG2_A1[1] > 0 OR M1311_NBR_PRSULC_STG3_B1[1] > 0 OR
M1311_NBR_PRSULC_STG4_C1[1] > 0 OR M1311_NSTG_DRSG_D1[1] > 0 OR
M1311_NSTG_CVRG_E1[1] > 0 OR M1311_DEEP_TSUE _F1[1] > 0
THEN
    PU_STG2PLUS_UNSTG = 1
ELSE
    PU_STG2PLUS_UNSTG = 0
END IF
```


## 9. Stasis Ulcers

Stasis Ulcer: No observable stasis ulcers
IF M1330_STAS_ULCR_PRSNT[1] = 00 OR M1330_STAS_ULCR_PRSNT[1] = 03

## THEN

STAS_ULCR_NONE = 1
ELSE
STAS_ULCR_NONE = 0
END IF

Stasis Ulcer: 1 observable stasis ulcer only
IF M1332_NBR_STAS_ULCR[1] = 1
THEN
STAS_ULCR_OBS_1 = 1
ELSE
STAS_ULCR_OBS_1 = 0
END IF

Stasis Ulcer: Multiple observable stasis ulcers
IF M1332_NBR_STAS_ULCR[1] = 2 OR M1332_NBR_STAS_ULCR[1] = 3 OR M1332_NBR_STAS_ULCR[1] = 4
THEN
STAS_ULCR_OBS_2PLUS = 1
ELSE
STAS_ULCR_OBS_2PLUS = 0
END IF

## 10. Surgical Wounds

Status of Surgical Wound: None
IF M1342_STUS_PRBLM_SRGCL_WND[1] = MISSING
THEN
SRG_WND_OBS_NONE = 1
ELSE
SRG_WND_OBS_NONE = 0
END IF

```
Status of Surgical Wound: Newly Epithelialized
IF M1342_STUS_PRBLM_SRGCL_WND[1] = 00
THEN
        SRG_WND_OBS_EPI = 1
ELSE
    SRG_WND_OBS_EPI = 0
END IF
Status of Surgical Wound: Fully granulating or early/partial granulation
IF M1342_STUS_PRBLM_SRGCL_WND[1] = 01 OR M1342_STUS_PRBLM_SRGCL_WND[1] = 02
THEN
    SRG_WND_OBS_GRAN = 1
ELSE
    SRG_WND_OBS_GRAN = 0
END IF
Status of Surgical Wound: Not healing
IF M1342_STUS_PRBLM_SRGCL_WND[1] = 03
THEN
SRG_WND_OBS_NOHEAL = 1
ELSE
```

```
    SRG_WND_OBS_NOHEAL = 0
```

    SRG_WND_OBS_NOHEAL = 0
    END IF

```

\section*{11. Dyspnea}
```

Dyspnea: Not short of breath
IF (M1400_WHEN_DYSPNEIC[1] = 00)
THEN

```
```

    DYSPO = 1
    ```
    DYSPO = 1
ELSE
    DYSPO = 0
END IF
Dyspnea: Walking more than 20 feet, climbing stairs
IF (M1400_WHEN_DYSPNEIC[1] = 01)
THEN
```

```
            DYSP1 = 1
```

            DYSP1 = 1
    ELSE
DYSP1 = 0
END IF
Dyspnea: Moderate exertion
IF (M1400_WHEN_DYSPNEIC[1] = 02)
THEN
DYSP2 $=1$
ELSE

```
```

    DYSP2 = 0
    END IF
Dyspnea: Minimal to no exertion
IF (M1400_WHEN_DYSPNEIC[1] = 03 OR M1400_WHEN_DYSPNEIC[1] = 04)
THEN
DYSP34 = 1
ELSE
DYSP34 = 0
END IF

```

\section*{12. Urinary Status}

Urinary incontinence/catheter: None
IF M1610_UR_INCONT[1] = 00
THEN
URINCONT_NONE = 1
ELSE
URINCONT_NONE \(=0\)
END IF

Urinary incontinence/catheter: Incontinent
IF M1610_UR_INCONT[1] = 01
THEN
URINCONT_INCONT = 1
ELSE
URINCONT_INCONT \(=0\)
END IF

Urinary incontinence/catheter: Catheter
IF M1610_UR_INCONT[1] = 02
THEN
URINCONT_CATH = 1
ELSE
URINCONT_CATH = 0
END IF

\section*{13. Bowel Incontinence}

\section*{Bowel incontinence Frequency: Never or Very Rare}

IF M1620_BWL_INCONT[1] = 00 OR M1620_BWL_INCONT[1] = UK
THEN
BWL_NONE_UK = 1
ELSE
BWL_NONE_UK = 0
END IF

Bowel incontinence Frequency: Less than once a week
IF M1620_BWL_INCONT[1] = 01
THEN
\(B W L \_F R 1=1\)
ELSE
\(B W L_{-} F R 1=0\)
END IF

Bowel incontinence Frequency: One to Three times a week
IF M1620_BWL_INCONT[1] = 02
THEN
\(B W L_{-} F R 2=1\)
ELSE
\(B W L \_F R 2=0\)
END IF
Bowel incontinence Frequency: Four to six times a week or more
IF M1620_BWL_INCONT[1] = 03 OR M1620_BWL_INCONT[1] = 04 OR M1620_INCONT[1] = 05
THEN
BWL_FR345 = 1
ELSE
BWL_FR345 \(=0\)
END IF

Bowel incontinence Frequency: Ostomy for bowel elimination
IF M1620_BWL_INCONT[1] = NA
THEN
BWL_OSTOMY = 1
ELSE
BWL_OSTOMY = 0
END IF

\section*{14. Cognitive function}

Cognitive Functioning: Alert and focused
IF M1700_COG_FUNCTION[1] = 00
THEN
COGNO = 1
ELSE
COGNO = 0
END IF

Cognitive Functioning: Requires prompting under stress
IF M1700_COG_FUNCTION[1] = 01
THEN
COGN1 = 1
ELSE
```

    COGN1 = 0
    END IF
Cognitive Functioning:Requires assist in special circumstances
IF M1700 COG FUNCTION[1] = 02
THEN
COGN2 = 1
ELSE
COGN2 = 0
END IF

```
Cognitive Functioning: Requires considerable assist/totally dependent
IF M1700_COG_FUNCTION[1] = 03 OR M1700_COG_FUNCTION[1] = 04
THEN
    COGN34 = 1
ELSE
    COGN34 \(=0\)
END IF

\section*{15. Confusion}

\section*{Confused: Never}

IF M1710_WHEN_CONFUSED[1] = 0 OR M1710_WHEN_CONFUSED[1] = NA
THEN
CONFO = 1
ELSE
CONFO \(=0\)
END IF

Confused: In new or complex situations
IF M1710_WHEN_CONFUSED[1] = 01
THEN
CONF1 = 1
ELSE
CONF1 \(=0\)
END IF

Confused: Sometimes
IF M1710_WHEN_CONFUSED[1] = 02 OR M1710_WHEN_CONFUSED[1] = 03
THEN
CONF23 = 1
ELSE
CONF23 = 0
END IF

Confused: Constantly
IF M1710_WHEN_CONFUSED[1] = 04
```

THEN
CONF4 = 1
ELSE
CONF4 = 0
END IF

```

\section*{16. Anxiety}

Anxiety: None of the time
IF M1720_WHEN_ANXIOUS[1] = 00 OR M1720_WHEN_ANXIOUS[1] = NA
THEN
\[
\text { ANXO = } 1
\]

ELSE
ANXO \(=0\)
END IF

Anxiety: Less often than daily
IF M1720_WHEN_ANXIOUS[1] = 01
THEN
ANX1 = 1
ELSE
ANX1 \(=0\)
END IF

Anxiety: Daily, but not constantly
IF M1720_WHEN_ANXIOUS[1] = 02
THEN
ANX2 \(=1\)
ELSE
\(A N X 2=0\)
END IF

Anxiety: All of the time
IF M1720_WHEN_ANXIOUS[1] = 03
THEN
ANX3 = 1
ELSE
\[
\text { ANX3 }=0
\]

END IF

\section*{17. Patient Mood Screening (PHQ-2to9)}

Patient Mood Screening (PHQ-2to9): Patient meets criteria for further evaluation
IF D0150_A2[1] = 02 OR
D0150_A2[1] = 03 OR
D0150_B2[1] = 02 OR
D0150_B2[1] = 03

THEN
PHQ2_TO9_MEET = 1
ELSE
PHQ2_TO9_MEET \(=0\)
Patient Mood Screening (PHQ-2to9): Patient does not meet criteria for further evaluation IF (D0150_A2[1] = 00 OR D0150_A2[1] = 01) AND (D0150_B2[1] = 00 OR D0150_B2[1] = 01)
THEN
PHQ2_TO9_NOTMEET = 1
ELSE
PHQ2_TO9_NOTMEET = 0
Patient Mood Screening (PHQ-2to9): Patient was not screened
IF ((D0150_A2[1] = ^ AND (D0150_B2[1] = 00 OR D0150_B2[1] = 01 OR D0150_B2[1] = ^)) OR ((D0150_B2[1] = ^ AND (D0150_A2[1] = 00 OR D0150_A2[1] = 01 OR D0150_A2[1] = ^))
THEN
PHQ2_TO9_NA = 1
ELSE
PHQ2_TO9_NA \(=0\)

\section*{18. Behavioral Symptoms}

Behavioral: None
IF M1740_BD_NONE[1] = 01
THEN
BEHAV_NONE \(=1\)
ELSE
BEHAV_NONE \(=0\)
END IF

Behavioral: Memory Deficit
IF M1740_BD_MEM_DEFICIT[1] = 01
THEN
BEHAV_MEM_DEFICIT = 1
ELSE
BEHAV_MEM_DEFICIT = 0
END IF
Behavioral: Impaired decision making
IF M1740_BD_IMP_DECISN[1] = 01
THEN
BEHAV_IMPR_DECISN = 1
ELSE
BEHAV_IMPR_DECISN = 0
END IF
```

Behavioral: Verbally disruptive, physical aggression, disruptive, or delusional
IF M1740_BD_VERBAL[1] = 01 OR M1740_BD_PHYSICAL[1] = 01 OR
M1740_BD_SOC_INAPPRO[1] = 01 OR M1740_BD_DELUSIONS[1] = 01
THEN
BEHAV_OTHR = 1
ELSE
BEHAV_OTHR = 0
END IF

```

\section*{19. Disruptive Behavior Frequency}

Frequency of Disruptive Behavior: Never
IF M1745_BEH_PROB_FREQ[1] = 00
THEN
BEHPFRO \(=1\)
ELSE
BEHPFRO \(=0\)
END IF

Frequency of Disruptive Behavior: Once a month or less
IF M1745_BEH_PROB_FREQ[1] = 01 OR M1745_BEH_PROB_FREQ[1] = 02
THEN
BEHPFR12 = 1
ELSE
BEHPFR12 \(=0\)
END IF

Frequency of Disruptive Behavior: Several times a month
IF M1745_BEH_PROB_FREQ[1] = 03
THEN
BEHPFR3 \(=1\)
ELSE
BEHPFR3 \(=0\)
END IF

Frequency of Disruptive Behavior: Several times a week
IF M1745_BEH_PROB_FREQ[1] = 4
THEN
BEHPFR4 = 1
ELSE
BEHPFR4 \(=0\)
END IF

Frequency of Disruptive Behavior: At least once daily
IF M1745_BEH_PROB_FREQ[1] = 5
THEN
BEHPFR5 = 1
```

ELSE
BEHPFR5 = 0
END IF

```

\section*{20. Grooming}

Grooming: Able to groom self unaided
IF M1800_CRNT_GROOMING[1] = 00
THEN
GROOMO = 1
ELSE
GROOMO \(=0\)
END IF

Grooming: Grooming utensils must be placed within reach
IF M1800_CRNT_GROOMING[1] = 01
THEN
GROOM1 = 1
ELSE
GROOM1 \(=0\)
END IF

Grooming: Assistance needed
IF M1800_CRNT_GROOMING[1] = 02
THEN
GROOM2 \(=1\)
ELSE
GROOM2 \(=0\)
END IF

Grooming: Entirely dependent upon someone else
IF M1800_CRNT_GROOMING[1] = 03
THEN
GROOM3 = 1
ELSE
GROOM3 \(=0\)
END IF

\section*{21. Upper Body Dressing}

Ability to Dress Upper Body: No help needed
IF M1810_CRNT_DRESS_UPPER[1] = 00
THEN
UPPERO = 1
ELSE
UPPERO \(=0\)
END IF
```

Ability to Dress Upper Body: Needs clothing laid out
IF M1810_CRNT_DRESS_UPPER[1] = 01
THEN
UPPER1 = 1
ELSE
UPPER1 = 0
END IF
Ability to Dress Upper Body: Needs assistance needed putting on clothing
IF M1810_CRNT_DRESS_UPPER[1] = 02
THEN
UPPER2 = 1
ELSE
UPPER2 = 0
END IF
Ability to Dress Upper Body: Entirely dependent upon someone else
IF M1810_CRNT_DRESS_UPPER[1] = 03
THEN
UPPER3 = 1
ELSE
UPPER3 = 0
END IF

```

\section*{22. Lower Body Dressing}
```

Ability to Dress Lower Body: No help needed
IF M1820_CRNT_DRESS_LOWER[1] = 00
THEN
LOWERO $=1$
ELSE
LOWERO $=0$
END IF
Ability to Dress Lower Body: Needs clothing/shoes laid out
IF M1820_CRNT_DRESS_LOWER[1] = 01
THEN
LOWER1 $=1$
ELSE
LOWER1 $=0$
END IF
Ability to Dress Lower Body: Assist needed putting on clothing
IF M1820_CRNT_DRESS_LOWER[1] = 02
THEN
LOWER2 $=1$
ELSE LOWER2 $=0$

```
```

END IF
Ability to Dress Lower Body: Entirely dependent upon someone else
IF M1820_CRNT_DRESS_LOWER[1] = 03
THEN
LOWER3 = 1
ELSE
LOWER3 = 0
END IF

```
23. Bathing
Bathing: Independently in shower/tub
IF M1830_CRNT_BATHING[1] = 00
THEN
    BATHO = 1
ELSE
    BATHO = 0
END IF
Bathing: With the use of devices in shower/tub
IF M1830_CRNT_BATHING[1] = 01
THEN
    BATH1 = 1
ELSE
    BATH1 = 0
END IF
Bathing: With intermittent assistance in shower/tub
IF M1830_CRNT_BATHING[1] = 02
THEN
    BATH2 = 1
ELSE
    BATH2 \(=0\)
END IF
Bathing: Participates with supervision in shower/tub
IF M1830_CRNT_BATHING[1] = 03
THEN
    BATH3 = 1
ELSE
    BATH3 \(=0\)
END IF
Bathing: Independent at sink, in chair, or on commode
IF M1830_CRNT_BATHING[1] = 04
THEN
    BATH4 = 1
```

ELSE
BATH4 = 0
END IF
Bathing: Participates with assist at sink, in char, or commode
IF M1830_CRNT_BATHING[1] = 05
THEN
BATH5 = 1
ELSE
BATH5 = 0
END IF
Bathing: Unable to participate; bathed totally by another
IF M1830_CRNT_BATHING[1] = 06
THEN
BATH6 = 1
ELSE
BATH6 = 0
END IF

```

\section*{24. Toilet Transferring}

Toilet Transferring: No assistance needed
IF M1840_CRNT_TOILTG[1] = 00
THEN
TLTTRNO = 1
ELSE
TLTTRNO \(=0\)
END IF

Toilet Transferring: To/from/on/off toilet with human assist
IF M1840_CRNT_TOILTG[1] = 01
THEN
TLTTRN1 = 1
ELSE
TLTTRN1 = 0
END IF

Toilet Transferring: Able to self-transfer to bedside commode
IF M1840_CRNT_TOILTG[1] = 02
THEN
TLTTRN2 = 1
ELSE
TLTTRN2 \(=0\)
END IF

Toilet Transferring: Unable to transfer to/from toilet or commode
IF M1840_CRNT_TOILTG[1] = 03 OR M1840_CRNT_TOILTG[1] = 04
```

THEN
TLTTRN34 = 1
ELSE
TLTTRN34 = 0
END IF
25. Toilet Hygiene
Toilet Hygiene Assistance: None needed
IF M1845_CRNT_TOILTG_HYGN[1] = 00
THEN
TLTHYGO = 1
ELSE
TLTHYGO = 0
END IF
Toilet Hygiene Assistance: Needs supplies laid out
IF M1845_CRNT_TOILTG_HYGN[1] = 01
THEN
TLTHYG1 = 1
ELSE
TLTHYG1 = 0
END IF
Toilet Hygiene Assistance: Needs assistance
IF M1845_CRNT_TOILTG_HYGN[1] = 02
THEN
TLTHYG2 $=1$
ELSE
TLTHYG2 $=0$
END IF
Toilet Hygiene Assistance:
IF M1845_CRNT_TOILTG_HYGN[1] = 03
THEN
TLTHYG3 = 1
ELSE
TLTHYG3 $=0$
END IF

```

\section*{26. Transferring}

Transferring: No assistance needed
IF M1850_CRNT_TRNSFRNG[1] = 00
THEN
TRNFRO = 1
ELSE
```

    TRNFRO = 0
    END IF
Transferring: With minimal human assist or with device
IF M1850_CRNT_TRNSFRNG[1] = 01
THEN
TRNFR1 = 1
ELSE
TRNFR1 = 0
END IF
Transferring: Bears weight and pivots only
IF M1850_CRNT_TRNSFRNG[1] = 02
THEN
TRNFR2 = 1
ELSE
TRNFR2 = 0
END IF
Transferring: Unable or bedfast
IF M1850_CRNT_TRNSFRNG[1] = 03 OR M1850_CRNT_TRNSFRNG[1] = 04 OR
M1850_CRNT_TRNSFRNG[1] = 05
THEN
TRNFR345 = 1
ELSE
TRNFR345 = 0
END IF

```

\section*{27. Ambulation}

Ambulation/Locomotion: Walk Independently
IF M1860_CUR_AMBLTN[1] = 00
THEN
\(\mathrm{AMBO}=1\)
ELSE
\(A M B O=0\)
END IF

Ambulation/Locomotion: One-handed device on all surfaces
IF M1860_CUR_AMBLTN[1] = 01
THEN
\[
\text { AMB1 = } 1
\]

ELSE
AMB1 \(=0\)
END IF
```

Ambulation/Locomotion: Two-handed device/human assist on steps
IF M1860_CUR_AMBLTN[1] = 02
THEN
AMB2 = 1
ELSE
AMB2 = 0
END IF
Ambulation/Locomotion: Walks only with supervision or assist
IF M1860_CUR_AMBLTN[1] = 03
THEN
AMB3 = 1
ELSE
AMB3 = 0
END IF
Ambulation/Locomotion: Chairfast or bedfast
IF M1860_CUR_AMBLTN[1] = 04 OR M1860_CUR_AMBLTN[1] = 05 OR M1860_CUR_AMBLTN[1] = 06
THEN
AMB456 = 1
ELSE
AMB456 =0
END IF

```

\section*{28. Feeding or Eating}
```

Eating: Independent
IF M1870_CRNT_FEEDING[1] = 0
THEN
EATO $=1$
ELSE
EATO $=0$
END IF
Eating: Requires set up, intermittent assist or modified consistency
IF M1870_CRNT_FEEDING[1] = 1
THEN
EAT1 $=1$
ELSE
EAT1 $=0$
END IF
Eating: Unable to feed self and must be assisted throughout meal
IF M1870_CRNT_FEEDING[1] = 2
THEN
EAT2 $=1$
ELSE

```
```

    EAT2 = 0
    END IF

```
Eating: Requires tube feedings, or no nutrients orally or via tube
IF M1870_CRNT_FEEDING[1] = 03 OR M1870_CRNT_FEEDING[1] = 04 OR M1870_CRNT_FEEDING[1] = 05
THEN
    EAT345 = 1
ELSE
    EAT345 = 0
END IF

\section*{29. Oral Medication Management}

\section*{Management of Oral Meds: Independent}

IF M2020_CRNT_MGMT_ORAL_MDCTN[1] = 00
M2020_CRNT_MGMT_ORAL_MDCTN[1] = NA OR
M2020_CRNT_MGMT_ORAL_MDCTN[1] = ^ OR
M2020_CRNT_MGMT_ORAL_MDCTN[1] = MISSING
THEN
ORMEDO = 1
ELSE
ORMEDO \(=0\)
END IF

Management of Oral Meds: Advance dose prep/chart needed
IF M2020_CRNT_MGMT_ORAL_MDCTN[1] = 01
THEN
ORMED1 = 1
ELSE
ORMED1 \(=0\)
END IF

Management of Oral Meds: Reminders needed
IF M2020_CRNT_MGMT_ORAL_MDCTN[1] = 02
THEN
ORMED2 = 1
ELSE
ORMED2 \(=0\)
END IF

Management of Oral Meds: Unable
IF M2020_CRNT_MGMT_ORAL_MDCTN[1] = 03
THEN
ORMED3 = 1
ELSE
ORMED3 \(=0\)
END IF

\section*{30. Supervision and Safety Assistance}

\section*{None needed}
```

IF M2102_CARE_TYPE_SRC_SPRVSN[1] = 00

```
THEN
    SPRVSN_NONE_NEEDED = 1
ELSE
    SPRVSN_NONE_NEEDED \(=0\)
END IF
Careqiver currently provides
IF M2102_CARE_TYPE_SRC_SPRVSN[1] = 01
THEN
    SPRVSN_CG_PROVIDES = 1
ELSE
    SPRVSN_CG_PROVIDES \(=0\)
END IF

\section*{Caregiver training needed}
```

IF M2102_CARE_TYPE_SRC_SPRVSN[1] = 02

```
THEN
    SPRVSN_NEED_TRAINING = 1
ELSE
    SPRVSN_NEED_TRAINING \(=0\)
END IF
Uncertain/unlikely to be provided
IF M2102_CARE_TYPE_SRC_SPRVSN[1] = 03 OR M2102_CARE_TYPE_SRC_SPRVSN[1] = 04 OR
M2102_CARE_TYPE_SRC_SPRVSN[1] = MISSING
THEN
    SPRVSN_CG_UNCERTAIN_NONE = 1
ELSE
    SPRVSN_CG_UNCERTAIN_NONE =0
END IF

\section*{31. Hierarchical Condition Categories}

Note: Several intermediate variables are calculated for use in the calculation of these risk factors.
The following modified version of the 2021 Midyear Final Model Version 24 Software is used to convert ICD-10-CM codes into CMS-Hierarchical Condition Categories (CMS-HCCs) for each quality episode that begins in 2023. \({ }^{2}\) The HCC risk factors will always be created with software lagged by two years. For

\footnotetext{
\({ }^{2}\) Going forward, the risk adjustment models for OASIS-based quality measures will be updated annually. CMS updates its CMS-HCC model annually and provides software for replicating risk adjustment estimation. https://www.cms.gov/Medicare/Health-Plans/MedicareAdvtgSpecRateStats/Risk-Adjustors
}
example, quality episodes beginning in 2023 will use 2021 software. For the below pseudo-code, references to \(\{Y Y Y Y-2\}\) and \(\{Y Y-2\}\) translate into the quality episode \(\{Y Y Y Y\}\) year minus 2 . If the quality episode year \(\{Y Y Y Y\}\) is 2023, then \(\{Y Y Y Y-2\}\) equals 2021 and \(\{Y Y-2\}\) equals 21.

\section*{Assign ICD-10-CM codes to Condition Categories}

Import F24\{YY-2\}P1M.TXT as a crosswalk between ICD-10-CM codes (column 1) and the 86 Condition Categories (CCs) in the payment model (column 2). The crosswalk contains duplicates because a single ICD-\(10-\mathrm{CM}\) code can be associated with up to three Condition Categories (e.g., E1052 matches to CCs 18, 106, and 108). The third column contains a duplicate flag equal to " D " if the record is a duplicate and blank otherwise.

Divide F24\{YY-2\}P1M.TXT into three datasets. Each dataset will have two columns: HC_DIAG and CC.
1) Save all ICD-10-CMs that are unique and the first record for each duplicate ICD-10-CM in dataset XWALK1.
2) Save the second record for each duplicate ICD-10-CM in dataset XWALK2.
3) Save the third record, if one exists, for each duplicate ICD-10-CM in dataset XWALK3.

\section*{Create six diagnosis variables}

Load quality episodes that begin on or after January \{YYYY\} in dataset MAIN and create six diagnosis variables (HC_DIAG1-HC_DIAG6):

\section*{Primary Diagnosis:}

HC_DIAG1 = UPCASE(TRIM(M1021_PRMRY_DGNS10_CD_1)
IF HC_DIAG1 = 00
THEN
HC_DIAG1 = BLANK
IF SUBSTRING(HC_DIAG1, 1, .) = . OR SUBSTRING(HC_DIAG1, 1, .) = ^
THEN
HC_DIAG1 = HC_DIAG1, REMOVE(. OR ^)
Secondary Diagnosis \#1:
HC_DIAG2 = UPCASE(TRIM(M1023_OTHR_DGNS10_1_CD_1)
IF HC_DIAG2 = 00
THEN
HC_DIAG2 = BLANK
IF SUBSTRING(HC_DIAG2, 1, .) = . OR SUBSTRING(HC_DIAG2, 1, .) = ^
THEN
HC_DIAG2 = HC_DIAG2, REMOVE(. OR ^)

\section*{Secondary Diagnosis \#2:}
```

HC_DIAG3 = UPCASE(TRIM(M1023_OTHR_DGNS10_2 _CD_1)

```
IF HC_DIAG3 = 00
THEN
    HC_DIAG3 = BLANK
IF SUBSTRING(HC_DIAG3, 1, .) = . OR SUBSTRING(HC_DIAG3, 1, .) = ^
THEN
    HC_DIAG3 = HC_DIAG3, REMOVE(. OR ^)
Secondary Diagnosis \#3:
HC_DIAG4 = UPCASE(TRIM(M1023_OTHR_DGNS10_3 _CD_1)
IF HC_DIAG4 = 00
THEN
    HC_DIAG4 = BLANK
IF SUBSTRING(HC_DIAG4, 1, .) = . OR SUBSTRING(HC_DIAG4, 1, .) = ^
THEN
    HC_DIAG4 = HC_DIAG4, REMOVE(. OR ^)
Secondary Diagnosis \#4:
HC_DIAG5 = UPCASE(TRIM(M1023_OTHR_DGNS10_4 _CD_1)
IF HC_DIAG5 = 00
THEN
HC_DIAG5 = BLANK
```

IF SUBSTRING(HC_DIAG5, 1, .) = . OR SUBSTRING(HC_DIAG5, 1, .) = ^

```
THEN
    HC_DIAG5 = HC_DIAG5, REMOVE(. OR \(\left.{ }^{\wedge}\right)\)
Secondary Diagnosis \#5:
HC_DIAG6 = UPCASE(TRIM(M1023_OTHR_DGNS10_5 _CD_1)
IF HC_DIAG6 \(=00\)
THEN
    HC_DIAG6 = BLANK
IF SUBSTRING(HC_DIAG6, 1, .) = . OR SUBSTRING(HC_DIAG6, 1, .) = ^
THEN
HC_DIAG6 = HC_DIAG6, REMOVE(. OR ^)

Create arrays for Condition Categories and Hierarchical Condition Categories
In the MAIN dataset, create two arrays: "C" for CCs, "HCC" for CMS-HCCs. Set all elements in C and HCC to zero. Then, flag each element in C if one of the CC\#_\# columns contains a CC value. Set each HCC element equal to each element in C .

LET N_CC = 204 /* MACRO EQUALING MAXIMUM NUMBER OF HCCS. MACRO INITIALIZED AS \%N_CC.*/
ARRAY C = CC1-CC\%N_CC
ARRAY HCC = HCC1- HCC\%N_CC

DO I = 1 TO \%N_CC
```

    C(I) = 0
    HCC(I) = 0
    DO J = 1 TO 6
    IF CC1_(J) = I THEN C(I) = 1
    IF CC2_(J) = I THEN C(I) = 1
    IF CC3_(J) = I THEN C(I) = 1
    END
HCC(I) = C(I)
END

```

\section*{Impose Hierarchies}

Impose hierarchy using Table 3 in the Appendix. For certain HCC indicators (CC_HCC in Table 3), if other lower hierarchy HCC indicators (CC_ZERO1-CC_ZERO5 in Table 3) are also flagged, then recode those lower hierarchy HCC indicators to zero. Below is an example for imposing hierarchies for neoplasm.

\section*{Neoplasm 1}

IF HCC8 = 1 AND (HCC9 = 1 OR HCC10 =1 OR HCC11 = 1 OR HCC12 = 1)
THEN
\(\mathrm{HCC}=0\)
HCC10 \(=0\)
HCC11 \(=0\)
HCC12 \(=0\)
END
Neoplasm 2
IF HCC9 = 1 AND (HCC10 = 1 OR HCC11 = 1 OR HCC12 = 1), THEN DO
HCC10 \(=0\)
HCC11 \(=0\)
HCC12 \(=0\)
END

Neoplasm 3
IF HCC10 = 1 AND (HCC11 = 1 OR HCC12 = 1), THEN DO
HCC11 \(=0\)
HCC12 \(=0\)

\section*{END}

Neoplasm 4
IF HCC11 = 1 AND (HCC12 = 1), THEN
\[
\mathrm{HCC} 12=0
\]

Note: Please refer to Appendix Table 3 in the Appendix for the complete list of hierarchies that need to be recoded. HCCs not listed in Table 3 do not need to be recoded (e.g., HCC1 for HIV/AIDS). Execution of this step must be performed in linear order from the first record in Table 3 to the second record and so on. If done correctly, Neoplasm 2 through Neoplasm 4 cannot be flagged if Neoplasm 1 is flagged, and likewise for other disease categories.

The above steps create indicators for 204 HCC columns, but there are only 86 CMS-HCCs. Assign labels for these 86 HCCs and remove unlabeled HCC columns (e.g., keep HCC1 and HCC2 and remove HCC3, HCC4, and HCC5). Labels are listed in Appendix Table 4 in the Appendix.

DO I=1 TO \%N_CC
IF HCC(I) HAS LABEL THEN ASSIGN LABEL
ELSE DELETE HCC(I)
END

The final output file contains unique quality episode identifiers and 86 CMS-HCC flags (1=yes, 0=no) ranging from HCC 1 to HCC 189.

\section*{Appendix Table 1: Description of Risk Factors}

Effective January 1, 2023
\begin{tabular}{|c|c|c|c|c|c|c|c|}
\hline \begin{tabular}{l}
Risk \\
Factor Group \#
\end{tabular} & Risk Factor Group & Risk Factor & Response Notes & \begin{tabular}{l}
OASIS \\
Item
\end{tabular} & OASIS Item Description & Variable Name & Excluded Category Indicator \\
\hline \multirow[t]{10}{*}{1} & \multirow[t]{10}{*}{Age} & Age: 0-54 & Calculated off birth date & M0066 & Birth Date & AGE_0_54 & \\
\hline & & Age: 55-59 & Calculated off birth date & M0066 & Birth Date & AGE_55_59 & \\
\hline & & Age: 60-64 & Calculated off birth date & M0066 & Birth Date & AGE_60_64 & \\
\hline & & Age: 65-69 & Calculated off birth date & M0066 & Birth Date & AGE_65_69 & Excluded category \\
\hline & & Age: 70-74 & Calculated off birth date & M0066 & Birth Date & AGE_70_74 & \\
\hline & & Age: 75-79 & Calculated off birth date & M0066 & Birth Date & AGE_75_79 & \\
\hline & & Age: 80-84 & Calculated off birth date & M0066 & Birth Date & AGE_80_84 & \\
\hline & & Age: 85-89 & Calculated off birth date & M0066 & Birth Date & AGE_85_89 & \\
\hline & & Age: 90-94 & Calculated off birth date & M0066 & Birth Date & AGE_90_94 & \\
\hline & & Age: 95+ & Calculated off birth date & M0066 & Birth Date & AGE_95PLUS & \\
\hline \multirow[t]{2}{*}{2} & \multirow[t]{2}{*}{Gender} & Patient is female & response 2 & M0069 & Gender & GENDER_FEMALE & Excluded category \\
\hline & & Patient is male & response 1 & M0069 & Gender & GENDER_MALE & \\
\hline \multirow[t]{5}{*}{3} & \multirow[t]{5}{*}{Payment source} & Payment source: Medicare FFS only & response \(1 \&\) NOT any other response & M0150 & Current Payment Sources for Home Care & PAY_MCARE _FFS & Excluded category \\
\hline & & Payment source: Medicare HMO only & response 2 \& NOT any other response & M0150 & Current Payment Sources for Home Care & PAY_MCARE_HMO & \\
\hline & & Payment source: Medicare and Medicaid & response (1 or 2) \& (3 or 4) & M0150 & Current Payment Sources for Home Care & PAY_MCAREANDMCAID & \\
\hline & & Payment Source: Medicaid only & response (3 or 4) \& NOT any other response & M0150 & Current Payment Sources for Home Care & PAY_MCAID_ONLY & \\
\hline & & Payment Source: Other combinations & Not one of the above four categories & M0150 & Current Payment Sources for Home Care & PAY_OTHER_COMBO & \\
\hline 4 & SOC/ROC and Admission Source & Start of Care and inpatient admission & \(\mathrm{M} 0100=1 \& \mathrm{M} 1000=1,2,3,4,5\), or 6 & \[
\begin{aligned}
& \text { M0100, } \\
& \text { M1000 }
\end{aligned}
\] & (M0100) Reason for assessment; (M1000) Admission source & SOC_INPT & Excluded category \\
\hline
\end{tabular}
\begin{tabular}{|c|c|c|c|c|c|c|c|}
\hline \begin{tabular}{l}
Risk \\
Factor \\
Group \#
\end{tabular} & Risk Factor Group & Risk Factor & Response Notes & OASIS Item & OASIS Item Description & Variable Name & Excluded Category Indicator \\
\hline \multirow[t]{2}{*}{} & \multirow[t]{2}{*}{} & Start of Care and community admission & M0100 = 1 \& M1000 NOT 1, 2, 3, 4, 5, or 6 & \begin{tabular}{l}
M0100, \\
M1000
\end{tabular} & (M0100) Reason for assessment; (M1000) Admission source & SOC_COMM & \\
\hline & & Resumption of care (after inpatient stay) & M0100=3 & M0100 & Reason for assessment & ROC & \\
\hline \multirow[t]{2}{*}{5} & \multirow[t]{2}{*}{Post-acute facility admission source} & Discharged from post-acute facility in past 14 days & response \(1,2,4,5\), or 6 & M1000 & Inpatient Facilities & INPT_POSTACUTE & \\
\hline & & Not discharged from post-acute facility & NOT response 1, 2, 4, 5, and 6 & M1000 & Inpatient Facilities & INPT_NOPOSTACUTE & Excluded category \\
\hline
\end{tabular}
\begin{tabular}{|c|c|c|c|c|c|c|c|}
\hline \begin{tabular}{l}
Risk \\
Factor \\
Group \#
\end{tabular} & Risk Factor Group & Risk Factor & Response Notes & OASIS Item & OASIS Item Description & Variable Name & Excluded Category Indicator \\
\hline \multirow[t]{10}{*}{6} & \multirow[t]{10}{*}{Risk of Hospitalization} & Risk for Hospitalization: History of falls in past 12 months & response 1 & M1033 & Risk for Hospitalization & RISK_HSTRY_FALLS & \\
\hline & & Risk for Hospitalization: Unintentional weight loss in past 12 months & response 2 & M1033 & Risk for Hospitalization & RISK_WEIGHTLOSS & \\
\hline & & Risk for Hospitalization: Multiple hospitalizations in past 6 months & response 3 & M1033 & Risk for Hospitalization & RISK_MLTPL_HOSPZTN & \\
\hline & & Risk for Hospitalization: Multiple ED visits in past 6 months & response 4 & M1033 & Risk for Hospitalization & RISK_ED & \\
\hline & & Risk for Hospitalization: Recent mental/emotional decline in past 3 months & response 5 & M1033 & Risk for Hospitalization & RISK_RCNT_DCLN & \\
\hline & & Risk for Hospitalization: Difficulty complying with medical instruction in past 3 months & response 6 & M1033 & Risk for Hospitalization & RISK_COMPLY & \\
\hline & & Risk for Hospitalization: Taking five or more medications & response 7 & M1033 & Risk for Hospitalization & RISK_5PLUS_MDCTN & \\
\hline & & Risk for Hospitalization: Reports exhaustion & response 8 & M1033 & Risk for Hospitalization & RISK_EXHAUST & \\
\hline & & Risk for Hospitalization: Other unlisted risk factors & response 9 & M1033 & Risk for Hospitalization & RISK_OTHR & \\
\hline & & None of the above & response 10 & M1033 & Risk for Hospitalization & RISK_NONE & \\
\hline \multirow[t]{7}{*}{7} & \multirow[t]{4}{*}{Availability of Assistance} & Around the clock & response 1, 6, or 11 & M1100 & Patient Living Situation & ASSIST_ARND_CLOCK & \\
\hline & & Regular daytime & response 2,7 , or 12 & M1100 & Patient Living Situation & ASSIST_REGDAY & \\
\hline & & Regular nighttime & response 3,8 , or 13 & M1100 & Patient Living Situation & ASSIST_REGNITE & \\
\hline & & Occasional/none & response 4, 5, 9, 10, 14, or 15 & M1100 & Patient Living Situation & ASSIST_OCC_NONE & Excluded category \\
\hline & \multirow[t]{3}{*}{\begin{tabular}{l}
Living \\
Arrangement
\end{tabular}} & Living Arrangement: Lives alone & response \(1,2,3,4\), or 5 & M1100 & Patient Living Situation & LIV_ALONE & \\
\hline & & Living Arrangement: Lives with another person & response 6, 7, 8, 9, or 10 & M1100 & Patient Living Situation & LIV_OTHERS & Excluded category \\
\hline & & Living Arrangement: Lives in congregate situation & response 11, 12, 13, 14, or 15 & M1100 & Patient Living Situation & LIV_CONGREGATE & \\
\hline
\end{tabular}
\begin{tabular}{|c|c|c|c|c|c|c|c|}
\hline \begin{tabular}{l}
Risk \\
Factor Group \#
\end{tabular} & Risk Factor Group & Risk Factor & Response Notes & \begin{tabular}{l}
OASIS \\
Item
\end{tabular} & OASIS Item Description & Variable Name & Excluded Category Indicator \\
\hline \multirow[t]{2}{*}{8} & \multirow[t]{2}{*}{Pressure Ulcers} & Pressure ulcer: None or Stage I only present & M1306 response 0 \& M1322 response \(0,1,2,3\), or 4 & \[
\begin{aligned}
& \text { M1306 } \\
& \text { M1322 } \\
& \hline
\end{aligned}
\] & At least 1 Stage 2 or unstageable PU? Current number of Stage 1 PUs & PU_NONE_STG1ONLY & Excluded category \\
\hline & & Pressure ulcer: Stage II or higher or unstageable present & response A1>0 OR B1>0 OR C1>0 OR D1>0 OR E1>0 OR F1>0 & M1311 & Number of PUs at each stage & PU_STG2PLUS_UNSTG & \\
\hline \multirow[t]{3}{*}{9} & \multirow[t]{3}{*}{Stasis Ulcer} & Stasis Ulcer: None & response 0 or 3 & M1330 & Does this patient have a Stasis Ulcer? & STAS_ULCR_NONE & Excluded category \\
\hline & & Stasis Ulcer: 1 observable stasis ulcer & response 1 & M1332 & Number of stasis ulcers & STAS_ULCR_OBS_1 & \\
\hline & & Stasis Ulcer: Multiple observable stasis ulcers & response 2,3, or 4 & M1332 & Number of stasis ulcers & STAS_ULCR_OBS_2PLUS & \\
\hline \multirow[t]{4}{*}{10} & \multirow[t]{4}{*}{Surgical Wound} & Status of Surgical Wound: None & Not response 0, 1, 2, 3 & M1342 & Status of Most Problematic Surgical Wound that is Observable & SRG_WND_OBS_NONE & Excluded category \\
\hline & & Status of Surgical Wound: Newly epithelialized & response 0 & M1342 & Status of Most Problematic Surgical Wound that is Observable & SRG_WND_OBS_EPI & \\
\hline & & Status of Surgical Wound: Fully granulating or early/partial granulation & response 1 or 2 & M1342 & Status of Most Problematic Surgical Wound that is Observable & SRG_WND_OBS_GRAN & \\
\hline & & Status of Surgical Wound: Not healing & response 3 & M1342 & Status of Most Problematic Surgical Wound that is Observable & SRG_WND_OBS_NOHEAL & \\
\hline \multirow[t]{4}{*}{11} & \multirow[t]{4}{*}{Dyspnea} & Dyspnea: Not short of breath & response 0 & M1400 & When is the patient dyspneic or noticeably Short of Breath? & DYSPO & Excluded category \\
\hline & & Dyspnea: Walking more than 20 feet, climbing stairs & response 1 & M1400 & When is the patient dyspneic or noticeably Short of Breath? & DYSP1 & \\
\hline & & Dyspnea: Moderate exertion & response 2 & M1400 & When is the patient dyspneic or noticeably Short of Breath? & DYSP2 & \\
\hline & & Dyspnea: Minimal to no exertion & response 3 or 4 & M1400 & When is the patient dyspneic or noticeably Short of Breath? & DYSP34 & \\
\hline \multirow[t]{3}{*}{12} & \multirow[t]{3}{*}{Urinary Status} & Urinary incontinence/catheter: None & response 0 & M1610 & Urinary Incontinence or Urinary Catheter Presence & URINCONT_NONE & Excluded category \\
\hline & & Urinary incontinence/catheter: Incontinent & response 1 & M1610 & Urinary Incontinence or Urinary Catheter Presence & URINCONT_INCONT & \\
\hline & & Urinary incontinence/catheter: Catheter & response 2 & M1610 & Urinary Incontinence or Urinary Catheter Presence & URINCONT_CATH & \\
\hline 13 & Bowel Incontinence & Bowel Incontinence Frequency: Never or very rare & response 0 and UK & M1620 & Bowel Incontinence Frequency & BWL_NONE_UK & Excluded category \\
\hline
\end{tabular}
\begin{tabular}{|c|c|c|c|c|c|c|c|}
\hline \begin{tabular}{l}
Risk \\
Factor \\
Group \#
\end{tabular} & Risk Factor Group & Risk Factor & Response Notes & OASIS Item & OASIS Item Description & Variable Name & Excluded Category Indicator \\
\hline \multirow[t]{4}{*}{} & \multirow[t]{4}{*}{} & Bowel Incontinence Frequency: Less than once a week & response 1 & M1620 & Bowel Incontinence Frequency & BWL_FR1 & \\
\hline & & Bowel Incontinence Frequency: One to three times a week & response 2 & M1620 & Bowel Incontinence Frequency & BWL_FR2 & \\
\hline & & Bowel Incontinence Frequency: Four to six times a week or more & response 3, 4 or 5 & M1620 & Bowel Incontinence Frequency & BWL_FR345 & \\
\hline & & Bowel Incontinence Frequency: Ostomy for bowel elimination & NA & M1620 & Bowel Incontinence Frequency & BWL_OSTOMY & \\
\hline
\end{tabular}
\begin{tabular}{|c|c|c|c|c|c|c|c|}
\hline \begin{tabular}{l}
Risk \\
Factor \\
Group \#
\end{tabular} & Risk Factor Group & Risk Factor & Response Notes & OASIS Item & OASIS Item Description & Variable Name & Excluded Category Indicator \\
\hline \multirow[t]{4}{*}{14} & \multirow[t]{4}{*}{Cognitive function} & Cognitive Functioning: Alert and focused & response 0 & M1700 & Cognitive Functioning & COGNO & Excluded category \\
\hline & & Cognitive Functioning: Requires prompting under stress & response 1 & M1700 & Cognitive Functioning & COGN1 & \\
\hline & & Cognitive Functioning: Requires assist in special circumstances & response 2 & M1700 & Cognitive Functioning & COGN2 & \\
\hline & & Cognitive Function: Requires considerable assist/totally dependent & response 3 or 4 & M1700 & Cognitive Functioning & COGN34 & \\
\hline \multirow[t]{4}{*}{15} & \multirow[t]{4}{*}{Confusion} & Confused: never & response 0 or NA & M1710 & When Confused (Reported or Observed Within the Last 14 Days) & CONFO & Excluded category \\
\hline & & Confused: In new or complex situations & response 1 & M1710 & When Confused (Reported or Observed Within the Last 14 Days) & CONF1 & \\
\hline & & Confused: Sometimes & response 2 or 3 & M1710 & When Confused (Reported or Observed Within the Last 14 Days) & CONF23 & \\
\hline & & Confused: Constantly & response 4 & M1710 & When Confused (Reported or Observed Within the Last 14 Days) & CONF4 & \\
\hline \multirow[t]{4}{*}{16} & \multirow[t]{4}{*}{Anxiety} & Anxiety: None of the time & response 0 or NA & M1720 & When Anxious (Reported or Observed Within the Last 14 Days) & ANXO & Excluded category \\
\hline & & Anxiety: Less often than daily & response 1 & M1720 & When Anxious (Reported or Observed Within the Last 14 Days) & ANX1 & \\
\hline & & Anxiety: Daily, but not constantly & response 2 & M1720 & When Anxious (Reported or Observed Within the Last 14 Days) & ANX2 & \\
\hline & & Anxiety: All of the time & response 3 & M1720 & When Anxious (Reported or Observed Within the Last 14 Days) & ANX3 & \\
\hline \multirow[t]{3}{*}{17} & \multirow[t]{3}{*}{Patient Mood Screening} & PHQ-2 to 9: Does not meet criteria for further eval & (D0150A2 response 0 or 1 ) and (D0150B2 response 0 or 1) & D0150 & Patient Mood Interview (PHQ-2 to 9) & PHQ2_TO9_NOTMEET & Excluded category \\
\hline & & PHQ-2 to 9: Meets criteria for further eval & (D0150A2 response 2 or 3) or (D0150B2 response 2 or 3) & D0150 & Patient Mood Interview (PHQ-2 to 9) & PHQ2_TO9_MEET & \\
\hline & & PHQ-2 to 9: No Patient Mood Screening & ```
(D0150A2 response "^") and ((D0150B2
response 0, 1, or "^")) or
(D0150B2 response "^" and (D0150A2
response 0, 1, or "^"))
``` & D0150 & Patient Mood Interview (PHQ-2 to 9) & PHQ2_TO9_NA & \\
\hline
\end{tabular}
\begin{tabular}{|c|c|c|c|c|c|c|c|}
\hline  & Risk Factor Group & Risk Factor & Response Notes & OASIS Item & OASIS Item Description & Variable Name & Excluded Category Indicator \\
\hline \multirow[t]{4}{*}{18} & \multirow[t]{4}{*}{Behavioral Symptoms} & Behavioral: None & response 7 & M1740 & Cognitive, behavioral, and psychiatric symptoms that are demonstrated at least once a week (Reported or Observed) & BEHAV_NONE & \\
\hline & & Behavioral: Memory deficit & response 1 & M1740 & Cognitive, behavioral, and psychiatric symptoms that are demonstrated at least once a week (Reported or Observed) & BEHAV_MEM_DEFICIT & \\
\hline & & Behavioral: Impaired decision making & response 2 & M1740 & Cognitive, behavioral, and psychiatric symptoms that are demonstrated at least once a week (Reported or Observed) & BEHAV_IMPR_DECISN & \\
\hline & & Behavioral: Verbally disruptive, physical aggression, disruptive, or delusional & response \(3,4,5\) or 6 & M1740 & Cognitive, behavioral, and psychiatric symptoms that are demonstrated at least once a week (Reported or Observed) & BEHAV_OTHR & \\
\hline \multirow[t]{5}{*}{19} & \multirow[t]{5}{*}{\begin{tabular}{l}
Disruptive \\
Behavior Frequency
\end{tabular}} & Frequency of Disruptive Behavior: Never & response 0 & M1745 & Frequency of Disruptive Behavior Symptoms (Reported or Observed) & BEHPFRO & Excluded category \\
\hline & & Frequency of Disruptive Behavior: Once a month or less & response 1 or 2 & M1745 & Frequency of Disruptive Behavior Symptoms (Reported or Observed) & BEHPFR12 & \\
\hline & & Frequency of Disruptive Behavior: Several times a month & response 3 & M1745 & Frequency of Disruptive Behavior Symptoms (Reported or Observed) & BEHPFR3 & \\
\hline & & Frequency of Disruptive Behavior: Several times a week & response 4 & M1745 & Frequency of Disruptive Behavior Symptoms (Reported or Observed) & BEHPFR4 & \\
\hline & & Frequency of Disruptive Behavior: At least once daily & response 5 & M1745 & Frequency of Disruptive Behavior Symptoms (Reported or Observed) & BEHPFR5 & \\
\hline \multirow[t]{4}{*}{20} & \multirow[t]{4}{*}{Grooming} & Grooming: Able to groom self, unaided & response 0 & M1800 & Grooming & GROOMO & Excluded category \\
\hline & & Grooming: Grooming utensils must be placed within reach & response 1 & M1800 & Grooming & GROOM1 & \\
\hline & & Grooming: Assistance needed & response 2 & M1800 & Grooming & GROOM2 & \\
\hline & & Grooming: Entirely dependent upon someone else & response 3 & M1800 & Grooming & GROOM3 & \\
\hline
\end{tabular}
\begin{tabular}{|c|c|c|c|c|c|c|c|}
\hline \begin{tabular}{l}
Risk \\
Factor \\
Group \#
\end{tabular} & Risk Factor Group & Risk Factor & Response Notes & OASIS Item & OASIS Item Description & Variable Name & Excluded Category Indicator \\
\hline \multirow[t]{4}{*}{21} & \multirow[t]{4}{*}{Upper Body Dressing} & Ability to Dress Upper Body: No help needed & response 0 & M1810 & Ability to Dress Upper Body & UPPER0 & Excluded category \\
\hline & & Ability to Dress Upper Body: Needs clothing laid out & response 1 & M1810 & Ability to Dress Upper Body & UPPER1 & \\
\hline & & Ability to Dress Upper Body: Needs assistance putting on clothing & response 2 & M1810 & Ability to Dress Upper Body & UPPER2 & \\
\hline & & Ability to Dress Upper Body: Entirely dependent upon someone else & response 3 & M1810 & Ability to Dress Upper Body & UPPER3 & \\
\hline
\end{tabular}
\begin{tabular}{|c|c|c|c|c|c|c|c|}
\hline \begin{tabular}{l}
Risk \\
Factor \\
Group \#
\end{tabular} & Risk Factor Group & Risk Factor & Response Notes & OASIS Item & OASIS Item Description & Variable Name & Excluded Category Indicator \\
\hline \multirow[t]{4}{*}{22} & \multirow[t]{4}{*}{Lower Body Dressing} & Ability to Dress Lower Body: No help needed & response 0 & M1820 & Ability to Dress Lower Body & LOWERO & Excluded category \\
\hline & & Ability to Dress Lower Body: Needs clothing/shoes laid out & response 1 & M1820 & Ability to Dress Lower Body & LOWER1 & \\
\hline & & Ability to Dress Lower Body: Assist needed putting on clothing & response 2 & M1820 & Ability to Dress Lower Body & LOWER2 & \\
\hline & & Ability to Dress Lower Body: Entirely dependent upon someone else & response 3 & M1820 & Ability to Dress Lower Body & LOWER3 & \\
\hline \multirow[t]{7}{*}{23} & \multirow[t]{7}{*}{Bathing} & Bathing: Independently in shower/tub & response 0 & M1830 & Bathing: Excludes grooming (washing face, washing hands, and shampooing hair). & BATHO & Excluded category \\
\hline & & Bathing: With the use of devices in shower/tub & response 1 & M1830 & Bathing: Excludes grooming (washing face, washing hands, and shampooing hair). & BATH1 & \\
\hline & & Bathing: With intermittent assistance in shower/tub & response 2 & M1830 & Bathing: Excludes grooming (washing face, washing hands, and shampooing hair). & BATH2 & \\
\hline & & Bathing: Participates with supervision in shower/tub & response 3 & M1830 & Bathing: Excludes grooming (washing face, washing hands, and shampooing hair). & BATH3 & \\
\hline & & Bathing: Independent at sink, in chair, or on commode & response 4 & M1830 & Bathing: Excludes grooming (washing face, washing hands, and shampooing hair). & BATH4 & \\
\hline & & Bathing: Participates with assist at sink, in chair, or commode & response 5 & M1830 & Bathing: Excludes grooming (washing face, washing hands, and shampooing hair). & BATH5 & \\
\hline & & Bathing: Unable to participate; bathed totally by another & response 6 & M1830 & Bathing: Excludes grooming (washing face, washing hands, and shampooing hair). & BATH6 & \\
\hline \multirow[t]{2}{*}{24} & \multirow[t]{2}{*}{Toilet Transferring} & Toilet Transferring: No assistance needed & response 0 & M1840 & Toilet Transferring & TLTTRNO & Excluded category \\
\hline & & Toilet Transferring: To/from/on/off toilet with human assist & response 1 & M1840 & Toilet Transferring & TLTTRN1 & \\
\hline
\end{tabular}
\begin{tabular}{|c|c|c|c|c|c|c|c|}
\hline \begin{tabular}{l}
Risk \\
Factor
\end{tabular} & Risk Factor Group & Risk Factor & Response Notes & OASIS Item & OASIS Item Description & Variable Name & Excluded Category Indicator \\
\hline \multirow[t]{2}{*}{} & \multirow[t]{2}{*}{} & Toilet Transferring: Able to self-transfer to bedside commode & response 2 & M1840 & Toilet Transferring & TLTTRN2 & \\
\hline & & Toilet Transferring: Unable to transfer to/from toilet or commode & response 3 or 4 & M1840 & Toilet Transferring & TLTTRN34 & \\
\hline \multirow[t]{4}{*}{25} & \multirow[t]{4}{*}{Toilet Hygiene} & Toilet Hygiene Assistance: None needed & response 0 & M1845 & Toileting Hygiene & TLTHYGO & Excluded category \\
\hline & & Toilet Hygiene Assistance: Needs supplies laid out & response 1 & M1845 & Toileting Hygiene & TLTHYG1 & \\
\hline & & Toilet Hygiene Assistance: Needs assistance & response 2 & M1845 & Toileting Hygiene & TLTHYG2 & \\
\hline & & Toilet Hygiene Assistance: Entirely dependent & response 3 & M1845 & Toileting Hygiene & TLTHYG3 & \\
\hline \multirow[t]{4}{*}{26} & \multirow[t]{4}{*}{Transferring} & Transferring: No assistance needed & response 0 & M1850 & Transferring & TRNFRO & Excluded category \\
\hline & & Transferring: With minimal human assist or with device & response 1 & M1850 & Transferring & TRNFR1 & \\
\hline & & Transferring: Bears weight and pivots only & response 2 & M1850 & Transferring & TRNFR2 & \\
\hline & & Transferring: Unable or bedfast & response 3 or 4 or 5 & M1850 & Transferring & TRNFR345 & \\
\hline
\end{tabular}
\begin{tabular}{|c|c|c|c|c|c|c|c|}
\hline \begin{tabular}{l}
Risk \\
Factor Group \#
\end{tabular} & Risk Factor Group & Risk Factor & Response Notes & OASIS Item & OASIS Item Description & Variable Name & Excluded Category Indicator \\
\hline \multirow[t]{5}{*}{27} & \multirow[t]{5}{*}{Ambulation} & Ambulation/Locomotion: Walk independently & response 0 & M1860 & Ambulation/Locomotion & AMBO & Excluded category \\
\hline & & Ambulation/Locomotion: One-handed device on all surfaces & response 1 & M1860 & Ambulation/Locomotion & AMB1 & \\
\hline & & Ambulation/Locomotion: Two-handed device/human assist on steps & response 2 & M1860 & Ambulation/Locomotion & AMB2 & \\
\hline & & Ambulation/Locomotion: Walks only with supervision or assist & response 3 & M1860 & Ambulation/Locomotion & AMB3 & \\
\hline & & Ambulation/Locomotion: Chairfast or bedfast & response 4 or 5 or 6 & M1860 & Ambulation/Locomotion & AMB456 & \\
\hline \multirow[t]{4}{*}{28} & \multirow[t]{4}{*}{Feeding or Eating} & Eating: Independent & response 0 & M1870 & Feeding or Eating & EATO & Excluded category \\
\hline & & Eating: Requires set up, intermittent assist or modified consistency & response 1 & M1870 & Feeding or Eating & EAT1 & \\
\hline & & Eating: Unable to feed self and must be assisted throughout meal & response 2 & M1870 & Feeding or Eating & EAT2 & \\
\hline & & Eating: Requires tube feedings, or no nutrients orally or via tube & response 3 or 4 or 5 & M1870 & Feeding or Eating & EAT345 & \\
\hline \multirow[t]{4}{*}{29} & \multirow[t]{4}{*}{Oral Medication Management} & Management of Oral Meds: Independent & response 0 or NA or missing & M2020 & Management of Oral Medications: Excludes injectable and IV medications. & ORMEDO & Excluded category \\
\hline & & Management of Oral Meds: Advance dose prep/chart needed & response 1 & M2020 & Management of Oral Medications: Excludes injectable and IV medications. & ORMED1 & \\
\hline & & Management of Oral Meds: Reminders needed & response 2 & M2020 & Management of Oral Medications: Excludes injectable and IV medications. & ORMED2 & \\
\hline & & Management of Oral Meds: Unable & response 3 & M2020 & Management of Oral Medications: Excludes injectable and IV medications. & ORMED3 & \\
\hline \multirow[t]{3}{*}{30} & \multirow[t]{3}{*}{Supervision and Safety Assistance} & None needed & response 0 & M2102 & Types and Sources of Assistance & SPRVSN_NONE_NEEDED & Excluded category \\
\hline & & Caregiver currently provides & response 1 & M2102 & Types and Sources of Assistance & SPRVSN_CG_PROVIDES & \\
\hline & & Caregiver training needed & response 2 & M2102 & Types and Sources of Assistance & SPRVSN_NEED_TRAINING & \\
\hline
\end{tabular}
\begin{tabular}{|c|c|c|c|c|c|c|c|}
\hline \begin{tabular}{l}
Risk \\
Factor \\
Group \#
\end{tabular} & Risk Factor Group & Risk Factor & Response Notes & OASIS Item & OASIS Item Description & Variable Name & Excluded Category Indicator \\
\hline & & Uncertain/unlikely to be provided & response 3 or 4 or missing & M2102 & Types and Sources of Assistance & SPRVSN_CG_UNCERTAIN_NON
E & \\
\hline \multirow[t]{17}{*}{31} & \multirow[t]{17}{*}{Hierarchical Condition Categories} & HCC: HIV/AIDS & \multirow[t]{17}{*}{\begin{tabular}{l}
2023 HCCs were generated based on 2021 Model Software/ICD-10 \\
Mappings. Future HCCs will be generated using software with a twoyear lag. For example, 2024 HCCs will be generated based on 2022 software. \\
Source: \\
https://www.cms.gov/medicarehealt h- \\
plansmedicareadvtgspecratestatsrisk -adjustors/2021-model-softwareicd-10-mappings
\end{tabular}} & \[
\begin{aligned}
& \hline \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC1 & \\
\hline & & HCC: Septicemia, sepsis, systemic inflammatory response syndrome/shock & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC2 & \\
\hline & & HCC: Opportunistic infections & & \[
\begin{aligned}
& \hline \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC6 & \\
\hline & & HCC: Metastatic cancer and acute leukemia & & \[
\begin{aligned}
& \hline \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC8 & \\
\hline & & HCC: Lung and other severe cancers & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC9 & \\
\hline & & HCC: Lymphoma and other cancers & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 }
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC10 & \\
\hline & & HCC: Colorectal, bladder, and other cancers & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 }
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC11 & \\
\hline & & HCC: Breast, prostate, and other cancers and tumors & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 }
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC12 & \\
\hline & & HCC: Diabetes with acute complications & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 }
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC17 & \\
\hline & & HCC: Diabetes with chronic complications & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 }
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC18 & \\
\hline & & HCC: Diabetes without complication & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC19 & \\
\hline & & HCC: Protein-calorie malnutrition & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 }
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC21 & \\
\hline & & HCC: Morbid obesity & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC22 & \\
\hline & & HCC: Other significant endocrine and metabolic disorders & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC23 & \\
\hline & & HCC: End-stage liver disease & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 }
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC27 & \\
\hline & & HCC: Cirrhosis of liver & & \[
\begin{aligned}
& \hline \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC28 & \\
\hline & & HCC: Chronic hepatitis & & \[
\begin{aligned}
& \hline \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC29 & \\
\hline
\end{tabular}

\begin{tabular}{|c|c|c|c|c|c|c|c|}
\hline  & Risk Factor Group & Risk Factor & Response Notes & OASIS Item & OASIS Item Description & Variable Name & Excluded Category Indicator \\
\hline \multirow[t]{18}{*}{} & \multirow[t]{18}{*}{} & & & M1023 & (M1023) Other Diagnoses & & \\
\hline & & HCC: Paraplegia & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC71 & \\
\hline & & HCC: Spinal cord disorders/injuries & & \[
\begin{aligned}
& \hline \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC72 & \\
\hline & & HCC: Amyotrophic lateral sclerosis and other motor neuron disease & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 }
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC73 & \\
\hline & & HCC: Cerebral palsy & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC74 & \\
\hline & & HCC: Myasthenia gravis/myoneural disorders and Guillain-Barre syndrome/inflammatory and toxic neuropathy & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 }
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC75 & \\
\hline & & HCC: Muscular dystrophy & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC76 & \\
\hline & & HCC: Multiple sclerosis & & \[
\begin{aligned}
& \hline \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC77 & \\
\hline & & HCC: Parkinson's and Huntington's diseases & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC78 & \\
\hline & & HCC: Seizure disorders and convulsions & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 }
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC79 & \\
\hline & & HCC: Coma, brain compression/anoxic damage & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC80 & \\
\hline & & HCC: Respirator dependence/tracheostomy status & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC82 & \\
\hline & & HCC: Respiratory arrest & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC83 & \\
\hline & & HCC: Cardio-respiratory failure and shock & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 }
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC84 & \\
\hline & & HCC: Congestive heart failure & & \[
\begin{aligned}
& \hline \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC85 & \\
\hline & & HCC: Acute myocardial infarction & & \[
\begin{aligned}
& \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC86 & \\
\hline & & HCC: Unstable angina and other acute ischemic heart disease & & \[
\begin{aligned}
& \hline \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC87 & \\
\hline & & HCC: Angina pectoris & & \[
\begin{aligned}
& \hline \text { M1021, } \\
& \text { M1023 } \\
& \hline
\end{aligned}
\] & (M1021) Primary Diagnosis \& (M1023) Other Diagnoses & HCC88 & \\
\hline
\end{tabular}



\section*{Appendix Table 2: Estimated Coefficients}

Effective January 1, 2023
\begin{tabular}{|c|c|c|c|c|c|c|c|c|c|c|c|c|c|c|c|}
\hline \begin{tabular}{l}
Risk \\
Factor \\
Group \#
\end{tabular} & Risk Factor Group & \begin{tabular}{l}
Risk \\
Factor \#
\end{tabular} & Risk Factor Name & Excluded Category Indicator & Amb & Bathing & Bed Transfer & Bowel Incont & Conf & Dyspnea & Lower Dress & Upper Dress & \begin{tabular}{l}
Oral \\
Meds
\end{tabular} & Toilet Transfer & DTC \\
\hline \multirow{10}{*}{1} & \multirow{10}{*}{Age} & 1 & AGE_0_54 & & -0.1456 & -0.1063 & -0.0709 & -0.1676 & -0.0498 & -0.0271 & -0.1120 & -0.1619 & -0.1029 & -0.1588 & -0.1766 \\
\hline & & 2 & AGE_55_59 & & -0.1524 & -0.1198 & -0.0997 & -0.0590 & -0.0536 & -0.0980 & -0.0965 & -0.1325 & -0.0838 & -0.1196 & -0.1320 \\
\hline & & 3 & AGE_60_64 & & -0.1468 & -0.1312 & -0.1228 & -0.1018 & -0.0735 & -0.1135 & -0.1020 & -0.1343 & -0.1133 & -0.1355 & -0.1085 \\
\hline & & 4 & AGE_65_69 & Excluded category & & & & & & & & & & & \\
\hline & & 5 & AGE_70_74 & & 0.0027 & -0.0032 & 0.0177 & 0.0165 & -0.0422 & 0.0246 & 0.0158 & -0.0009 & -0.0388 & 0.0106 & 0.0189 \\
\hline & & 6 & AGE_75_79 & & -0.0347 & -0.0463 & -0.0106 & 0.0015 & -0.1483 & -0.0045 & -0.0128 & -0.0451 & -0.1388 & -0.0347 & 0.0029 \\
\hline & & 7 & AGE_80_84 & & -0.1197 & -0.1330 & -0.0889 & 0.0002 & -0.2837 & -0.0256 & -0.0839 & -0.1299 & -0.2890 & -0.1201 & -0.0089 \\
\hline & & 8 & AGE_85_89 & & -0.2078 & -0.2358 & -0.1781 & -0.0360 & -0.3881 & -0.0494 & -0.1698 & -0.2312 & -0.4187 & -0.2039 & -0.0240 \\
\hline & & 9 & AGE_90_94 & & -0.3494 & -0.3947 & -0.3020 & -0.0784 & -0.5044 & -0.1196 & -0.3327 & -0.3963 & -0.5769 & -0.3482 & -0.0052 \\
\hline & & 10 & AGE_95PLUS & & -0.5530 & -0.6350 & -0.4972 & -0.1539 & -0.5947 & -0.2309 & -0.5782 & -0.6447 & -0.7774 & -0.5495 & -0.0256 \\
\hline \multirow[b]{2}{*}{2} & \multirow[b]{2}{*}{Gender} & 11 & GENDER_FEMALE & Excluded category & & & & & & & & & & & \\
\hline & & 12 & GENDER_MALE & & 0.0541 & 0.0624 & 0.0425 & & & -0.0342 & & & -0.0575 & 0.0318 & -0.0574 \\
\hline \multirow{5}{*}{3} & \multirow{5}{*}{Payment source} & 13 & PAY_MCARE _FFS & Excluded category & & & & & & & & & & & \\
\hline & & 14 & PAY_MCARE_HMO & & -0.0943 & -0.0975 & -0.0537 & 0.0448 & & -0.0074 & -0.0532 & -0.0611 & -0.0298 & -0.0087 & 0.1145 \\
\hline & & 15 & PAY_MCAREANDMCAID & & -0.3388 & -0.3844 & -0.2674 & -0.3061 & & -0.1760 & -0.3215 & -0.2464 & -0.3633 & -0.2395 & 0.0312 \\
\hline & & 16 & PAY_MCAID_ONLY & & -0.1492 & -0.2279 & -0.0932 & -0.0882 & & -0.1128 & -0.1519 & -0.1563 & -0.1775 & -0.0560 & -0.0464 \\
\hline & & 17 & PAY_OTHER_COMBO & & -0.0129 & -0.0099 & 0.1052 & 0.1803 & & 0.1098 & 0.0447 & 0.1179 & 0.0730 & 0.2399 & 0.1480 \\
\hline \multirow{3}{*}{4} & \multirow[t]{3}{*}{SOC/ROC and Admission Source} & 18 & SOC_INPT & Excluded category & & & & & & & & & & & \\
\hline & & 19 & SOC_COMM & & -0.4099 & -0.3616 & -0.4107 & -0.3563 & -0.3757 & -0.2979 & -0.3529 & -0.3811 & -0.3457 & -0.4201 & 0.2229 \\
\hline & & 20 & ROC & & -0.4025 & -0.3934 & -0.4373 & -0.2730 & -0.2332 & -0.3715 & -0.4017 & -0.4340 & -0.3801 & -0.4310 & -0.6546 \\
\hline \multirow[b]{2}{*}{5} & \multirow[t]{2}{*}{Post-acute facility admission source} & 21 & INPT_POSTACUTE & & -0.2154 & -0.1538 & -0.1413 & & -0.1148 & -0.0830 & -0.0971 & -0.0775 & -0.1567 & -0.1265 & -0.0732 \\
\hline & & 22 & INPT_NOPOSTACUTE & Excluded category & & & & & & & & & & & \\
\hline \multirow[b]{2}{*}{6} & \multirow[t]{2}{*}{Risk of Hospitalization} & 23 & RISK_HSTRY_FALLS & & -0.0572 & & & 0.1140 & -0.0636 & & & & & 0.0522 & -0.0511 \\
\hline & & 24 & RISK_WEIGHTLOSS & & & & & 0.1032 & 0.0604 & & 0.0518 & & & 0.0436 & -0.1174 \\
\hline
\end{tabular}

\begin{tabular}{|c|c|c|c|c|c|c|c|c|c|c|c|c|c|c|c|}
\hline Risk Factor Group \# & Risk Factor Group & Risk Factor \# & Risk Factor Name & Excluded Category Indicator & Amb & Bathing & Bed Transfer & Bowel Incont & Conf & Dyspnea & Lower Dress & Upper Dress & \[
\begin{aligned}
& \text { Oral } \\
& \text { Meds }
\end{aligned}
\] & Toilet Transfer & DTC \\
\hline \multirow{3}{*}{12} & \multirow{3}{*}{Urinary Status} & 53 & URINCONT_NONE & Excluded category & & & & & & & & & & & \\
\hline & & 54 & URINCONT_INCONT & & -0.2766 & -0.2719 & -0.3118 & -0.2881 & -0.2060 & -0.2332 & -0.2741 & -0.2607 & -0.2565 & -0.2923 & -0.1178 \\
\hline & & 55 & URINCONT_CATH & & -0.5689 & -0.5877 & -0.6072 & -0.5210 & -0.2041 & -0.3626 & -0.5621 & -0.5682 & -0.4438 & -0.5979 & -0.7638 \\
\hline \multirow{5}{*}{13} & \multirow{5}{*}{Bowel Incontinence} & 56 & BWL_NONE & Excluded category & & & & & & & & & & & \\
\hline & & 57 & BWL_FR1 & & -0.1741 & -0.1990 & -0.1618 & & -0.0155 & -0.1078 & -0.1867 & -0.1823 & -0.1074 & -0.1339 & -0.0938 \\
\hline & & 58 & BWL_FR2 & & -0.3316 & -0.3699 & -0.3477 & 0.1124 & -0.1346 & -0.2217 & -0.3625 & -0.3630 & -0.2457 & -0.3062 & -0.1806 \\
\hline & & 59 & BWL_FR345 & & -0.5065 & -0.5877 & -0.5966 & 0.1750 & -0.2301 & -0.2900 & -0.5814 & -0.5992 & -0.4157 & -0.6541 & -0.2073 \\
\hline & & 60 & BWL_OSTOMY & & -0.1300 & -0.2597 & -0.1582 & 0.0000 & -0.0504 & -0.0676 & -0.1799 & -0.2102 & -0.1078 & -0.2564 & -0.4139 \\
\hline \multirow{4}{*}{14} & \multirow{4}{*}{Cognitive function} & 61 & COGNO & Excluded category & & & & & & & & & & & \\
\hline & & 62 & COGN1 & & -0.1181 & -0.1476 & -0.1871 & -0.1270 & -0.4186 & -0.0873 & -0.1484 & -0.1587 & \(-0.2778\) & -0.1823 & -0.0366 \\
\hline & & 63 & COGN2 & & -0.1983 & -0.2710 & -0.2308 & -0.2192 & -0.6888 & -0.0939 & -0.2600 & -0.2959 & -0.4688 & -0.2748 & -0.0502 \\
\hline & & 64 & COGN34 & & -0.3252 & -0.4478 & -0.3449 & -0.3101 & -0.9922 & -0.0720 & -0.4392 & -0.5126 & -0.6760 & -0.3881 & 0.0138 \\
\hline \multirow{4}{*}{15} & \multirow{4}{*}{Confusion} & 65 & CONFO & Excluded category & & & & & & & & & & & \\
\hline & & 66 & CONF1 & & -0.1194 & -0.1310 & -0.1325 & -0.0804 & & -0.0977 & -0.1145 & -0.1417 & \(-0.2780\) & -0.1550 & -0.0699 \\
\hline & & 67 & CONF23 & & -0.2141 & -0.2406 & -0.2167 & -0.1551 & 1.3096 & -0.0870 & -0.2280 & -0.2598 & -0.4988 & -0.2616 & -0.0725 \\
\hline & & 68 & CONF4 & & -0.4083 & -0.4566 & -0.3521 & -0.2194 & 1.8660 & -0.0153 & -0.4357 & -0.5206 & -0.8084 & -0.4397 & 0.0002 \\
\hline \multirow{4}{*}{16} & \multirow{4}{*}{Anxiety} & 69 & ANXO & Excluded category & & & & & & & & & & & \\
\hline & & 70 & ANX1 & & 0.0028 & -0.0095 & -0.0127 & 0.0013 & -0.0270 & -0.1187 & -0.0111 & -0.0023 & 0.0195 & -0.0005 & -0.0231 \\
\hline & & 71 & ANX2 & & 0.0401 & 0.0213 & 0.0326 & 0.1536 & 0.0400 & -0.1241 & 0.0431 & 0.0561 & 0.0653 & 0.0632 & -0.0561 \\
\hline & & 72 & ANX3 & & 0.1534 & 0.1350 & 0.1702 & 0.3065 & 0.1569 & -0.0400 & 0.1533 & 0.1778 & 0.1908 & 0.2157 & -0.0320 \\
\hline \multirow{3}{*}{17} & \multirow{3}{*}{Depression Screening} & 73 & PHQ2_TO9_NOTMEET & Excluded category & & & & & & & & & & & \\
\hline & & 74 & PHQ2_TO9_MEET & & -0.1260 & -0.1624 & -0.1280 & -0.0477 & -0.0306 & -0.1882 & -0.1553 & -0.1537 & -0.1207 & -0.1030 & -0.1488 \\
\hline & & 75 & PHQ2_TO9_NA & & -0.2227 & -0.2877 & -0.2476 & -0.1842 & -0.2297 & -0.1272 & -0.3146 & -0.3737 & -0.2963 & -0.3017 & -0.0968 \\
\hline \multirow{4}{*}{18} & \multirow{4}{*}{Behavioral Symptoms} & 76 & BEHAV_NONE & & 0.2240 & 0.2687 & 0.1888 & & 0.1589 & 0.1323 & 0.2273 & 0.2907 & 0.3637 & 0.1944 & 0.1078 \\
\hline & & 77 & BEHAV_MEM_DEFICIT & & & & & & -0.2302 & & & & -0.0842 & -0.0696 & 0.0652 \\
\hline & & 78 & BEHAV_IMPR_DECISN & & -0.0430 & & & & -0.1705 & -0.1139 & -0.0381 & & & -0.0516 & \\
\hline & & 79 & BEHAV_OTHR & & -0.2320 & -0.2405 & \(-0.2283\) & -0.2368 & -0.2716 & -0.1781 & -0.2440 & -0.2485 & \(-0.2885\) & -0.2292 & -0.1246 \\
\hline 19 & Disruptive & 80 & BEHPFRO & Excluded category & & & & & & & & & & & \\
\hline
\end{tabular}
\begin{tabular}{|c|c|c|c|c|c|c|c|c|c|c|c|c|c|c|c|}
\hline Risk Factor Group \# & Risk Factor Group & Risk Factor \# & Risk Factor Name & Excluded Category Indicator & Amb & Bathing & Bed Transfer & Bowel Incont & Conf & Dyspnea & Lower Dress & Upper Dress & Oral Meds & Toilet Transfer & DTC \\
\hline & \multirow[t]{4}{*}{Behavior Frequency} & 81 & BEHPFR12 & & 0.2049 & 0.2519 & 0.1083 & 0.0169 & 0.1074 & 0.1608 & 0.2087 & 0.1830 & 0.2517 & 0.0460 & 0.0428 \\
\hline & & 82 & BEHPFR3 & & 0.1810 & 0.1987 & 0.1323 & 0.0418 & 0.0963 & 0.1527 & 0.1853 & 0.1873 & 0.2214 & 0.1240 & 0.0106 \\
\hline & & 83 & BEHPFR4 & & 0.1836 & 0.1996 & 0.1933 & 0.0900 & 0.1197 & 0.2144 & 0.1984 & 0.2074 & 0.2205 & 0.1995 & 0.0435 \\
\hline & & 84 & BEHPFR5 & & 0.1866 & 0.2012 & 0.2380 & 0.1531 & 0.0606 & 0.2765 & 0.2149 & 0.2296 & 0.1845 & 0.2497 & 0.0950 \\
\hline \multirow{4}{*}{20} & \multirow{4}{*}{Grooming} & 85 & GROOMO & Excluded category & & & & & & & & & & & \\
\hline & & 86 & GROOM1 & & & & & & & & 0.0187 & -0.0533 & & 0.0468 & -0.0125 \\
\hline & & 87 & GROOM2 & & & & & & & & -0.0348 & -0.2266 & & -0.0807 & -0.0738 \\
\hline & & 88 & GROOM3 & & & & & & & & -0.2614 & -0.6388 & & -0.2766 & -0.1197 \\
\hline \multirow{4}{*}{21} & \multirow{4}{*}{Upper Body Dressing} & 89 & UPPERO & Excluded category & & & & & & & & & & & \\
\hline & & 90 & UPPER1 & & & 0.0711 & & & & & 0.0609 & & 0.0544 & 0.1143 & 0.0558 \\
\hline & & 91 & UPPER2 & & & -0.1187 & & & & & -0.1674 & 1.3913 & -0.1747 & -0.1364 & -0.0662 \\
\hline & & 92 & UPPER3 & & & -0.2419 & & & & & -0.3022 & 2.7888 & -0.4250 & -0.2224 & -0.0660 \\
\hline \multirow{4}{*}{22} & \multirow{4}{*}{Lower Body Dressing} & 93 & LOWERO & Excluded category & & & & & & & & & & & \\
\hline & & 94 & LOWER1 & & 0.2481 & 0.1723 & & & & & & & 0.1643 & & \\
\hline & & 95 & LOWER2 & & 0.1469 & 0.1050 & & & & & 0.9604 & & 0.1861 & & \\
\hline & & 96 & LOWER3 & & 0.1168 & 0.0941 & & & & & 2.7133 & & 0.2389 & & \\
\hline \multirow{7}{*}{23} & \multirow{7}{*}{Bathing} & 97 & BATH0 & Excluded category & & & & & & & & & & & \\
\hline & & 98 & BATH1 & & -0.3104 & & & & 0.1143 & 0.0309 & -0.0971 & & & & 0.2316 \\
\hline & & 99 & BATH2 & & -0.2311 & 1.0554 & & & 0.1429 & 0.0342 & 0.0280 & & & & 0.2606 \\
\hline & & 100 & BATH3 & & -0.3304 & 1.8635 & & & 0.1690 & 0.0785 & -0.0458 & & & & 0.2172 \\
\hline & & 101 & BATH4 & & -0.2710 & 2.3000 & & & 0.1992 & 0.1120 & 0.0609 & & & & 0.2291 \\
\hline & & 102 & BATH5 & & -0.1907 & 2.8351 & & & 0.3400 & 0.3334 & 0.0161 & & & & 0.2317 \\
\hline & & 103 & BATH6 & & -0.5194 & 3.0200 & & & -0.0183 & 0.0457 & -0.4423 & & & & 0.1418 \\
\hline \multirow{4}{*}{24} & \multirow{4}{*}{Toilet Transferring} & 104 & TLTTRNO & Excluded category & & & & & & & & & & & \\
\hline & & 105 & TLTTRN1 & & 0.2398 & 0.2257 & 0.1285 & & 0.1857 & 0.1942 & 0.1418 & & 0.1972 & & 0.1390 \\
\hline & & 106 & TLTTRN2 & & 0.1577 & 0.2051 & 0.0012 & & 0.1608 & 0.1588 & 0.0996 & & 0.2369 & 1.9087 & 0.0441 \\
\hline & & 107 & TLTTRN34 & & 0.2654 & 0.2315 & -0.0994 & & 0.1531 & 0.1998 & 0.0993 & & 0.3116 & 2.3808 & 0.0007 \\
\hline 25 & Toilet Hygiene & 108 & TLTHYGO & Excluded category & & & & & & & & & & & \\
\hline
\end{tabular}
\begin{tabular}{|c|c|c|c|c|c|c|c|c|c|c|c|c|c|c|c|}
\hline \begin{tabular}{l}
Risk \\
Factor \\
Group \#
\end{tabular} & Risk Factor Group & \begin{tabular}{l}
Risk \\
Factor \#
\end{tabular} & Risk Factor Name & Excluded Category Indicator & Amb & Bathing & Bed Transfer & Bowel Incont & Conf & Dyspnea & Lower Dress & Upper Dress & \begin{tabular}{l}
Oral \\
Meds
\end{tabular} & Toilet Transfer & DTC \\
\hline & & 109 & TLTHYG1 & & 0.0035 & -0.0244 & -0.0612 & 0.2388 & & & -0.1023 & -0.1508 & 0.0022 & -0.3275 & \\
\hline & & 110 & TLTHYG2 & & -0.2067 & -0.1383 & -0.3749 & 0.0863 & & & -0.2809 & -0.3630 & -0.1159 & -0.5370 & \\
\hline & & 111 & TLTHYG3 & & -0.4120 & -0.3989 & -0.7458 & -0.4307 & & & -0.6439 & -0.7183 & -0.3828 & -0.7859 & \\
\hline \multirow{4}{*}{26} & \multirow{4}{*}{Transferring} & 112 & TRNFRO & Excluded category & & & & & & & & & & & \\
\hline & & 113 & TRNFR1 & & -0.2762 & -0.0967 & & & 0.0320 & 0.0192 & & & 0.0664 & -0.0662 & \\
\hline & & 114 & TRNFR2 & & -0.0846 & 0.1528 & 2.2364 & & 0.2668 & 0.3004 & & & 0.3712 & -0.0149 & \\
\hline & & 115 & TRNFR345 & & -0.1754 & 0.0153 & 2.8715 & & 0.2433 & 0.2712 & & & 0.3171 & -0.2834 & \\
\hline \multirow{5}{*}{27} & \multirow{5}{*}{Ambulation} & 116 & AMBO & Excluded category & & & & & & & & & & & \\
\hline & & 117 & AMB1 & & & -0.2624 & -0.5265 & & & -0.1522 & -0.2026 & -0.0697 & -0.0372 & -0.2071 & 0.0739 \\
\hline & & 118 & AMB2 & & 0.1031 & -0.5863 & -0.9988 & & & -0.2658 & -0.3367 & -0.1681 & -0.1952 & -0.3394 & 0.0431 \\
\hline & & 119 & AMB3 & & 1.9729 & -0.2801 & -0.5887 & & & -0.0021 & 0.0072 & 0.2182 & 0.1436 & 0.0940 & 0.1748 \\
\hline & & 120 & AMB456 & & 1.4478 & -1.1906 & -1.6254 & & & -0.4108 & -0.9394 & -0.6353 & -0.4173 & -0.8768 & -0.0884 \\
\hline \multirow{4}{*}{28} & \multirow{4}{*}{Feeding or Eating} & 121 & EATO & Excluded category & & & & & & & & & & & \\
\hline & & 122 & EAT1 & & -0.0361 & -0.0428 & -0.1678 & -0.0519 & -0.0403 & & -0.0932 & -0.1902 & -0.0439 & -0.2625 & -0.0705 \\
\hline & & 123 & EAT2 & & -0.1059 & -0.1659 & -0.3406 & -0.2327 & -0.0597 & & -0.2337 & -0.4347 & -0.2160 & -0.4280 & -0.0601 \\
\hline & & 124 & EAT345 & & -0.2458 & -0.5826 & -0.5647 & -0.4969 & -0.2219 & & -0.5538 & -0.8000 & -0.5694 & -0.7949 & -0.3668 \\
\hline \multirow{4}{*}{29} & \multirow{4}{*}{\begin{tabular}{l}
Oral \\
Medication Management
\end{tabular}} & 125 & ORMEDO & Excluded category & & & & & & & & & & & \\
\hline & & 126 & ORMED1 & & 0.1451 & & 0.0481 & 0.0819 & & 0.1133 & & & & & -0.1244 \\
\hline & & 127 & ORMED2 & & 0.3199 & & 0.0854 & 0.1890 & & 0.2211 & & & 1.2634 & & -0.0570 \\
\hline & & 128 & ORMED3 & & 0.3822 & & 0.3121 & 0.3746 & & 0.3987 & & & 1.6797 & & -0.0273 \\
\hline \multirow{4}{*}{30} & \multirow{4}{*}{Supervision and Safety Assistance} & 129 & SPRVSN_NONE_NEEDED & Excluded category & & & & & & & & & & & \\
\hline & & 130 & SPRVSN_CG_PROVIDES & & -0.1582 & -0.1896 & -0.1882 & & -0.2433 & -0.0892 & -0.1935 & -0.2569 & -0.3029 & -0.2651 & -0.0447 \\
\hline & & 131 & SPRVSN_NEED_TRAINING & & -0.0290 & -0.0066 & -0.1006 & & -0.2019 & 0.0020 & -0.0473 & -0.0892 & -0.1098 & -0.1849 & 0.0179 \\
\hline & & 132 & SPRVSN_CG_UNCERTAIN_NONE & & -0.1936 & -0.1842 & -0.2426 & & -0.2272 & -0.2171 & -0.1735 & -0.2559 & -0.1326 & -0.2637 & -0.1746 \\
\hline \multirow{4}{*}{31} & \multirow{4}{*}{Hierarchical Condition Categories} & 133 & hcc1 & & & & & & & & & & & & \\
\hline & & 134 & hcc2 & & & & & & & & & & & & -0.1807 \\
\hline & & 135 & hcc6 & & & & & & & & & & & & -0.2973 \\
\hline & & 136 & hcc8 & & -0.6926 & -0.7576 & -0.6812 & -0.3018 & -0.1757 & -0.7416 & -0.6532 & -0.7693 & -0.6601 & -0.6263 & -1.1436 \\
\hline
\end{tabular}
\begin{tabular}{|c|c|c|c|c|c|c|c|c|c|c|c|c|c|c|c|}
\hline Risk Factor Group \# & Risk Factor Group & Risk Factor \# & Risk Factor Name & Excluded Category Indicator & Amb & Bathing & \[
\begin{gathered}
\text { Bed } \\
\text { Transfer }
\end{gathered}
\] & Bowel Incont & Conf & Dyspnea & Lower Dress & \[
\begin{aligned}
& \text { Upper } \\
& \text { Dress }
\end{aligned}
\] & Oral
Meds & Toilet Transfer & DTC \\
\hline & & 137 & hcc9 & & -0.3042 & -0.3821 & -0.3100 & & -0.0648 & -0.5132 & -0.3072 & -0.3867 & -0.3503 & -0.3034 & -0.7722 \\
\hline & & 138 & hcc10 & & -0.2249 & -0.2263 & -0.2188 & & & -0.2383 & -0.2074 & -0.2668 & -0.2504 & -0.1565 & -0.7135 \\
\hline & & 139 & hcc11 & & & & & & & -0.1548 & & & & & -0.3956 \\
\hline & & 140 & hcc12 & & & & & & & -0.0896 & & -0.0782 & & & -0.2168 \\
\hline & & 141 & hcc17 & & & & & & & & & & & & -0.2581 \\
\hline & & 142 & hcc18 & & -0.1341 & -0.1027 & -0.1468 & & -0.0393 & -0.1533 & -0.0957 & -0.1071 & -0.1249 & -0.1583 & -0.2594 \\
\hline & & 143 & hcc19 & & & & & & & & & & & -0.0812 & -0.0777 \\
\hline & & 144 & hcc21 & & -0.1527 & -0.1790 & -0.1237 & & -0.1073 & -0.1561 & -0.0994 & -0.1469 & \(-0.2112\) & -0.1490 & -0.2795 \\
\hline & & 145 & hcc22 & & -0.2609 & -0.3291 & -0.2272 & & 0.1882 & -0.3539 & -0.3325 & -0.1744 & & -0.1420 & 0.1331 \\
\hline & & 146 & hcc23 & & & & & & & & & & & & -0.1997 \\
\hline & & 147 & hcc27 & & -0.2840 & -0.3354 & -0.3111 & & -0.1664 & -0.3603 & -0.2974 & -0.3370 & -0.3962 & -0.2845 & -1.0453 \\
\hline & & 148 & hcc28 & & -0.2068 & -0.2181 & -0.1808 & & -0.1041 & -0.2448 & -0.1906 & -0.2282 & -0.2921 & -0.1723 & -0.6478 \\
\hline & & 149 & hcc29 & & & & & & & & & & & & -0.1561 \\
\hline & & 150 & hcc33 & & & & & & & & & & & & -0.2952 \\
\hline & & 151 & hcc34 & & & & & & & & & & & & -0.5025 \\
\hline & & 152 & hcc35 & & 0.2278 & 0.1976 & 0.2034 & & & & 0.1885 & 0.1763 & & 0.1557 & -0.2977 \\
\hline & & 153 & hcc39 & & -0.1146 & -0.1078 & -0.1104 & & & & & & & -0.1230 & -0.2634 \\
\hline & & 154 & hcc40 & & & & & & 0.0653 & & & -0.0669 & & & -0.0610 \\
\hline & & 155 & hcc46 & & -0.1946 & & & & & -0.1868 & & -0.2180 & & -0.1544 & -0.6810 \\
\hline & & 156 & hcc47 & & & & & & & & & & & & -0.2950 \\
\hline & & 157 & hcc48 & & & & & & & & & & & & -0.1462 \\
\hline & & 158 & hcc51 & & -0.3334 & -0.3475 & -0.2205 & -0.2984 & -0.7529 & & -0.3435 & -0.4394 & -0.5627 & -0.3989 & \\
\hline & & 159 & hcc52 & & -0.2140 & -0.2425 & -0.1292 & -0.2367 & -0.6768 & 0.0740 & -0.2411 & -0.3167 & -0.4916 & -0.3018 & 0.0435 \\
\hline & & 160 & hcc54 & & & & & & -0.2555 & & & & -0.2793 & & \\
\hline & & 161 & hcc55 & & & & & & & & & & & & -0.1147 \\
\hline & & 162 & hcc56 & & & & & & & & & & & & \\
\hline & & 163 & hcc57 & & & & & & -0.3022 & & & & \(-0.4456\) & & -0.3660 \\
\hline & & 164 & hcc58 & & & & & & & & & & & & \\
\hline
\end{tabular}
\begin{tabular}{|c|c|c|c|c|c|c|c|c|c|c|c|c|c|c|c|}
\hline Risk Factor Group \# & Risk Factor Group & Risk Factor \# & Risk Factor Name & Excluded Category Indicator & Amb & Bathing & Bed Transfer & Bowel Incont & Conf & Dyspnea & Lower Dress & Upper Dress & \begin{tabular}{l}
Oral \\
Meds
\end{tabular} & Toilet Transfer & DTC \\
\hline & & 165 & hcc59 & & & & -0.0884 & & -0.1325 & -0.0641 & & & -0.1214 & -0.0831 & -0.0625 \\
\hline & & 166 & hcc60 & & & & & & & & & & -0.5231 & & \\
\hline & & 167 & hcc70 & & -1.0791 & -1.1827 & -1.2492 & -0.5298 & & & -1.2108 & -1.2295 & -0.9412 & -1.3641 & \\
\hline & & 168 & hcc71 & & -1.2517 & -0.4245 & -0.7906 & -0.4443 & & & -0.5559 & -0.3265 & -0.1706 & -0.7592 & 0.1283 \\
\hline & & 169 & hcc72 & & -0.6073 & -0.2782 & -0.3501 & & & & -0.2844 & -0.2592 & -0.1680 & -0.2947 & \\
\hline & & 170 & hcc73 & & -1.6164 & -1.5456 & -1.5024 & & & \(-1.1146\) & -1.6512 & -1.7862 & -1.4899 & -1.4186 & \\
\hline & & 171 & hcc74 & & -0.9118 & -0.7945 & -0.8181 & -0.3391 & \(-0.3593\) & & -0.8240 & -0.8623 & -0.7450 & -0.8214 & 0.3847 \\
\hline & & 172 & hcc75 & & -0.1998 & -0.1440 & -0.1571 & & & -0.1473 & -0.1306 & -0.1681 & & -0.1346 & -0.0817 \\
\hline & & 173 & hcc76 & & -1.1144 & -0.8187 & -1.1053 & & & \(-0.3647\) & -0.8869 & -0.8722 & -0.6423 & -0.9499 & 0.2880 \\
\hline & & 174 & hcc77 & & -0.7089 & -0.4841 & -0.6226 & -0.2535 & & & -0.5543 & -0.4953 & -0.3269 & -0.5191 & \\
\hline & & 175 & hcc78 & & -0.4362 & -0.3724 & -0.3307 & & -0.1630 & -0.0508 & -0.4600 & -0.4662 & -0.3889 & -0.3590 & -0.0618 \\
\hline & & 176 & hcc79 & & -0.1529 & -0.1597 & -0.1281 & & -0.1944 & & -0.1128 & -0.1692 & -0.2552 & -0.1650 & -0.0720 \\
\hline & & 177 & hcc80 & & -0.2845 & -0.3132 & & & -0.2763 & & & & -0.4614 & -0.2994 & \\
\hline & & 178 & hcc82 & & & -0.4302 & & & & -0.6123 & -0.2877 & -0.3329 & -0.4519 & & -0.3005 \\
\hline & & 179 & hcc83 & & & & & & & & & & & & \\
\hline & & 180 & hcc84 & & & -0.0655 & & & 0.0913 & -0.3892 & & -0.0761 & -0.0782 & & -0.1428 \\
\hline & & 181 & hcc85 & & -0.1761 & -0.1912 & -0.1806 & -0.0482 & -0.0373 & -0.2845 & -0.1780 & -0.1840 & -0.1683 & -0.1814 & -0.4286 \\
\hline & & 182 & hcc86 & & & & & & & -0.0727 & 0.1126 & & & & -0.1860 \\
\hline & & 183 & hcc87 & & & & & & & & & & & & -0.1088 \\
\hline & & 184 & hcc88 & & & & & & & -0.1100 & & & & & -0.0590 \\
\hline & & 185 & hcc96 & & & & & 0.0966 & 0.0447 & & & & & & -0.1617 \\
\hline & & 186 & hcc99 & & & & & & & & & & & & \\
\hline & & 187 & hcc100 & & -0.4052 & -0.4270 & -0.4065 & & & -0.3411 & -0.4253 & -0.4905 & -0.3891 & -0.3904 & -0.2084 \\
\hline & & 188 & hcc103 & & -0.4304 & -0.3310 & -0.3320 & -0.2143 & -0.1436 & & -0.4121 & -0.4708 & -0.4054 & -0.3428 & 0.0576 \\
\hline & & 189 & hcc104 & & -0.1988 & & & & & & -0.1539 & & -0.1673 & & \\
\hline & & 190 & hcc106 & & -0.6090 & -0.5298 & \(-0.5617\) & & & -0.3773 & -0.4312 & -0.4800 & \(-0.3128\) & \(-0.4886\) & -1.1894 \\
\hline & & 191 & hcc107 & & & & & & & -0.0778 & & & & & \\
\hline & & 192 & hcc108 & & -0.1139 & & & & & & -0.0517 & -0.0485 & & -0.0647 & -0.1482 \\
\hline
\end{tabular}
\begin{tabular}{|c|c|c|c|c|c|c|c|c|c|c|c|c|c|c|c|}
\hline Risk Factor Group \# & Risk Factor Group & Risk Factor \# & Risk Factor Name & Excluded Category Indicator & Amb & Bathing & \[
\begin{aligned}
& \text { Bed } \\
& \text { Transfer }
\end{aligned}
\] & Bowel Incont & Conf & Dyspnea & Lower Dress & Upper Dress & Oral
Meds & Toilet Transfe & DTC \\
\hline & & 193 & hcc110 & & & & & & & & & & & & \\
\hline & & 194 & hcc111 & & -0.1551 & -0.1580 & -0.1317 & & -0.0442 & -0.4785 & -0.1031 & -0.1401 & -0.1289 & -0.1412 & -0.2620 \\
\hline & & 195 & hcc112 & & -0.1177 & & & & & -0.5441 & & -0.1286 & -0.1223 & & -0.2207 \\
\hline & & 196 & hcc114 & & -0.1538 & -0.1586 & -0.1344 & & & & -0.1632 & -0.1997 & -0.2868 & -0.1623 & -0.0935 \\
\hline & & 197 & hcc115 & & & & & & & & & & & & \\
\hline & & 198 & hcc122 & & & & & & & & & & & & \\
\hline & & 199 & hcc124 & & & & & & & & & & & 0.4038 & \\
\hline & & 200 & hcc134 & & -0.7258 & -0.6931 & -0.7056 & -0.5213 & -0.3791 & -0.5043 & -0.6120 & -0.6946 & \(-0.6666\) & -0.7931 & -0.7957 \\
\hline & & 201 & hcc135 & & & & & & & -0.0770 & & & & & -0.3029 \\
\hline & & 202 & hcc136 & & -0.5036 & -0.4766 & -0.4506 & -0.2688 & -0.1817 & -0.2851 & -0.3995 & -0.4569 & -0.4583 & -0.4866 & -0.6885 \\
\hline & & 203 & hcc137 & & -0.0805 & -0.1050 & -0.1009 & & & -0.1097 & -0.1056 & -0.1188 & -0.0716 & -0.0972 & -0.4063 \\
\hline & & 204 & hcc138 & & & & & & & & & & & & -0.1359 \\
\hline & & 205 & hcc157 & & -0.6076 & -0.4686 & -0.6929 & -0.4443 & & \(-0.3237\) & -0.5724 & -0.5944 & -0.3355 & -0.7182 & -0.7135 \\
\hline & & 206 & hcc158 & & -0.2622 & -0.1793 & -0.3303 & & & & -0.2590 & -0.2658 & -0.1070 & -0.2962 & -0.4394 \\
\hline & & 207 & hcc159 & & -0.1399 & & -0.1601 & & & & -0.1410 & -0.1529 & & -0.1649 & -0.0859 \\
\hline & & 208 & hcc161 & & -0.3095 & -0.3639 & -0.3576 & & & -0.3122 & -0.3367 & -0.3535 & -0.1465 & -0.3480 & -0.7748 \\
\hline & & 209 & hcc162 & & & & & & & & & & & & \\
\hline & & 210 & hcc166 & & & & & & & & & & & & \\
\hline & & 211 & hcc167 & & & & & & \(-0.2085\) & & & & \(-0.2139\) & & \\
\hline & & 212 & hcc169 & & & & & & & & & & & & \\
\hline & & 213 & hcc170 & & -0.2435 & & & & & & & & & & \\
\hline & & 214 & hcc173 & & -0.6830 & & & & & & & & & & \\
\hline & & 215 & hcc176 & & & & & & 0.1824 & & & & & & -0.3216 \\
\hline & & 216 & hcc186 & & 0.3043 & & 0.3267 & & & & & & & & -0.4329 \\
\hline & & 217 & hcc188 & & & & & & & & & & & & -0.3375 \\
\hline & & 218 & hcc189 & & -1.0179 & -0.3925 & -0.4743 & & -0.1812 & -0.1797 & -0.2367 & -0.2507 & -0.2396 & -0.3591 & -0.3610 \\
\hline 32 & CONSTANT & 219 & _CONS & & 0.9281 & 0.9135 & 2.0258 & 1.3833 & 0.5920 & 1.2072 & 1.8981 & 2.1937 & 0.9086 & 2.6705 & 2.0724 \\
\hline
\end{tabular}

Appendix Table 3: CMS-HCC Mapping
Effective January 1, 2023
\begin{tabular}{|c|c|c|c|c|c|c|}
\hline HCC LABEL & CC_HCC & CC_ZERO1 & CC_ZERO2 & CC_ZERO3 & CC_ZERO4 & CC_ZERO5 \\
\hline Neoplasm 1 & 8 & 9 & 10 & 11 & 12 & \\
\hline Neoplasm 2 & 9 & 10 & 11 & 12 & & \\
\hline Neoplasm 3 & 10 & 11 & 12 & & & \\
\hline Neoplasm 4 & 11 & 12 & & & & \\
\hline Diabetes 1 & 17 & 18 & 19 & & & \\
\hline Diabetes 2 & 18 & 19 & & & & \\
\hline Liver 1 & 27 & 28 & 29 & 80 & & \\
\hline Liver 2 & 28 & 29 & & & & \\
\hline Blood 1 & 46 & 48 & & & & \\
\hline Cognitive 2 & 51 & 52 & & & & \\
\hline SUD 1 & 54 & 55 & 56 & & & \\
\hline SUD 2 & 55 & 56 & & & & \\
\hline Psychiatric 1 & 57 & 58 & 59 & 60 & & \\
\hline Psychiatric 2 & 58 & 59 & 60 & & & \\
\hline Psychiatric 3 & 59 & 60 & & & & \\
\hline Spinal 1 & 70 & 71 & 72 & 103 & 104 & 169 \\
\hline Spinal 2 & 71 & 72 & 104 & 169 & & \\
\hline Spinal 3 & 72 & 169 & & & & \\
\hline Arrest 1 & 82 & 83 & 84 & & & \\
\hline Arrest 2 & 83 & 84 & & & & \\
\hline Heart 2 & 86 & 87 & 88 & & & \\
\hline Heart 3 & 87 & 88 & & & & \\
\hline CVD 1 & 99 & 100 & & & & \\
\hline CVD 5 & 103 & 104 & & & & \\
\hline Vascular 1 & 106 & 107 & 108 & 161 & 189 & \\
\hline Vascular 2 & 107 & 108 & & & & \\
\hline Lung 1 & 110 & 111 & 112 & & & \\
\hline Lung 2 & 111 & 112 & & & & \\
\hline Lung 5 & 114 & 115 & & & & \\
\hline Kidney 3 & 134 & 135 & 136 & 137 & 138 & \\
\hline Kidney 4 & 135 & 136 & 137 & 138 & & \\
\hline Kidney 5 & 136 & 137 & 138 & & & \\
\hline Kidney 6 & 137 & 138 & & & & \\
\hline Skin 1 & 157 & 158 & 159 & 161 & & \\
\hline Skin 2 & 158 & 159 & 161 & & & \\
\hline Skin 3 & 159 & 161 & & & & \\
\hline Injury 1 & 166 & 80 & 167 & & & \\
\hline
\end{tabular}

Appendix Table 4: CMS-HCC Labels
Effective January 1, 2023
\begin{tabular}{|c|c|}
\hline HCC & Label \\
\hline HCC1 & HIV/AIDS \\
\hline HCC2 & Septicemia, Sepsis, Systemic Inflammatory Response Syndrome/Shock \\
\hline HCC6 & Opportunistic Infections \\
\hline HCC8 & Metastatic Cancer and Acute Leukemia \\
\hline HCC9 & Lung and Other Severe Cancers \\
\hline HCC10 & Lymphoma and Other Cancers \\
\hline HCC11 & Colorectal, Bladder, and Other Cancers \\
\hline HCC12 & Breast, Prostate, and Other Cancers and Tumors \\
\hline HCC17 & Diabetes with Acute Complications \\
\hline HCC18 & Diabetes with Chronic Complications \\
\hline HCC19 & Diabetes without Complication \\
\hline HCC21 & Protein-Calorie Malnutrition \\
\hline HCC22 & Morbid Obesity \\
\hline HCC23 & Other Significant Endocrine and Metabolic Disorders \\
\hline HCC27 & End-Stage Liver Disease \\
\hline HCC28 & Cirrhosis of Liver \\
\hline HCC29 & Chronic Hepatitis \\
\hline HCC33 & Intestinal Obstruction/Perforation \\
\hline HCC34 & Chronic Pancreatitis \\
\hline HCC35 & Inflammatory Bowel Disease \\
\hline HCC39 & Bone/Joint/Muscle Infections/Necrosis \\
\hline HCC40 & Rheumatoid Arthritis and Inflammatory Connective Tissue Disease \\
\hline HCC46 & Severe Hematological Disorders \\
\hline HCC47 & Disorders of Immunity \\
\hline HCC48 & Coagulation Defects and Other Specified Hematological Disorders \\
\hline HCC51 & Dementia With Complications \\
\hline HCC52 & Dementia Without Complication \\
\hline HCC54 & Substance Use with Psychotic Complications \\
\hline HCC55 & Substance Use Disorder, Moderate/Severe, or Substance Use with Complications \\
\hline HCC56 & Substance Use Disorder, Mild, Except Alcohol and Cannabis \\
\hline HCC57 & Schizophrenia \\
\hline HCC58 & Reactive and Unspecified Psychosis \\
\hline HCC59 & Major Depressive, Bipolar, and Paranoid Disorders \\
\hline HCC60 & Personality Disorders \\
\hline HCC70 & Quadriplegia \\
\hline HCC71 & Paraplegia \\
\hline HCC72 & Spinal Cord Disorders/Injuries \\
\hline HCC73 & Amyotrophic Lateral Sclerosis and Other Motor Neuron Disease \\
\hline HCC74 & Cerebral Palsy \\
\hline HCC75 & Myasthenia Gravis/Myoneural Disorders and Guillain-Barre Syndrome/Inflammatory and Toxic Neuropathy \\
\hline HCC76 & Muscular Dystrophy \\
\hline HCC77 & Multiple Sclerosis \\
\hline HCC78 & Parkinson's and Huntington's Diseases \\
\hline HCC79 & Seizure Disorders and Convulsions \\
\hline HCC80 & Coma, Brain Compression/Anoxic Damage \\
\hline HCC82 & Respirator Dependence/Tracheostomy Status \\
\hline HCC83 & Respiratory Arrest \\
\hline HCC84 & Cardio-Respiratory Failure and Shock \\
\hline HCC85 & Congestive Heart Failure \\
\hline HCC86 & Acute Myocardial Infarction \\
\hline HCC87 & Unstable Angina and Other Acute Ischemic Heart Disease \\
\hline HCC88 & Angina Pectoris \\
\hline HCC96 & Specified Heart Arrhythmias \\
\hline HCC99 & Intracranial Hemorrhage \\
\hline HCC100 & Ischemic or Unspecified Stroke \\
\hline HCC103 & Hemiplegia/Hemiparesis \\
\hline HCC104 & Monoplegia, Other Paralytic Syndromes \\
\hline HCC106 & Atherosclerosis of the Extremities with Ulceration or Gangrene \\
\hline HCC107 & Vascular Disease with Complications \\
\hline
\end{tabular}
\begin{tabular}{|l|l|}
\hline HCC & Label \\
\hline HCC108 & Vascular Disease \\
\hline HCC110 & Cystic Fibrosis \\
\hline HCC111 & Chronic Obstructive Pulmonary Disease \\
\hline HCC112 & Fibrosis of Lung and Other Chronic Lung Disorders \\
\hline HCC114 & Aspiration and Specified Bacterial Pneumonias \\
\hline HCC115 & Pneumococcal Pneumonia, Empyema, Lung Abscess \\
\hline HCC122 & Proliferative Diabetic Retinopathy and Vitreous Hemorrhage \\
\hline HCC124 & Exudative Macular Degeneration \\
\hline HCC134 & Dialysis Status \\
\hline HCC135 & Acute Renal Failure \\
\hline HCC136 & Chronic Kidney Disease, Stage 5 \\
\hline HCC137 & Chronic Kidney Disease, Severe (Stage 4) \\
\hline HCC138 & Chronic Kidney Disease, Moderate (Stage 3) \\
\hline HCC157 & Pressure Ulcer of Skin with Necrosis Through to Muscle, Tendon, or Bone \\
\hline HCC158 & Pressure Ulcer of Skin with Full Thickness Skin Loss \\
\hline HCC159 & Pressure Ulcer of Skin with Partial Thickness Skin Loss \\
\hline HCC161 & Chronic Ulcer of Skin, Except Pressure \\
\hline HCC162 & Severe Skin Burn or Condition \\
\hline HCC166 & Severe Head Injury \\
\hline HCC167 & Major Head Injury \\
\hline HCC169 & Vertebral Fractures without Spinal Cord Injury \\
\hline HCC170 & Hip Fracture/Dislocation \\
\hline HCC173 & Traumatic Amputations and Complications \\
\hline HCC176 & Complications of Specified Implanted Device or Graft \\
\hline HCC186 & Major Organ Transplant or Replacement Status \\
\hline HCC188 & Artificial Openings for Feeding or Elimination \\
\hline HCC189 & Amputation Status, Lower Limb/Amputation Complications \\
\hline
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[^0]:    ${ }^{1}$ Measure specifications are available in the Downloads section of the Home Health Quality Measures website: https://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/HomeHealthQualityInits/Home-Health-Quality-Measures.htmI

