Introduction

Atrial fibrillation (AF) is a risk factor for ischemic stroke, but among patients with AF, the level of risk for an individual patient varies according to other clinical characteristics [1-5]. Several risk stratification schemes have been developed for assessing the relative risk of stroke in patients with non-valvular AF [2-8], and such information may help clinicians in making more informed decisions regarding clinical management. While these risk stratification schemes were developed for use in individual patients, they may also be useful in population-based studies [9-14]. For individual patients, chart reviews to obtain prior and current medical conditions are typically used for identifying characteristics associated with increased risks of stroke. However, for assessing relative risks for large cohorts of patients, administrative data is often more feasible.

There is disagreement on which risk stratification scheme provides the most useful information in patients with AF. We have chosen to focus on the CHADS2 because its elements (age and diagnoses) are often available in large administrative databases [6]. (Some risk stratification schemes use data that is less commonly available in such databases, such as systolic blood pressure or heart size measurements from echocardiograms [3-5].) In the CHADS2 scheme, a score is created by adding one point for each of the elements of Congestive heart failure (CHF), Hypertension, Age $\geq 75$ or Diabetes, and two points for prior Stroke or transient ischemic attack (TIA) [6]. In the initial validation of CHADS2 in Medicare beneficiaries, a chart review was used to identify the presence of hypertension, a history of stroke or TIA and, for most of the cohort, diabetes [6]. However, International Classification of Diseases, 9th Revision, Clinical Modification (ICD-9) codes were
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used to identify “recent” CHF exacerbations associated with hospitalizations. ICD-9 codes were also used to identify the presence of diabetes for some of the patients. In a subsequent study comparing the CHADS2 to other risk adjustment schemes, any history of CHF was substituted for recent exacerbations [8].

Since the initial validation of CHADS2, a number of population-based studies have defined the elements of the CHADS2, in whole or in part, by the use of ICD-9 diagnosis codes [9-12]. However, in defining the various elements of the CHADS2, there have been differences among studies in the specifications of sets of ICD-9 codes associated with each condition, the number of times that a code was required to be present or the use of inpatient vs. outpatient datasets from which codes are extracted. Furthermore, there has been variation in the time interval used in searching for such codes.

Studies that have focused on validating sets of ICD-9 codes to represent the types of clinical conditions associated with the CHADS2 scheme have reported differences in sensitivity and specificity based on similar types of choices [15 -19]. Use of ICD-9 codes to identify stroke has been particularly difficult in regard to identifying code sets that have both high sensitivity and specificity [19-21]. Therefore, among investigators who have used ICD-9-based datasets in defining CHADS2 scores, variation in codes to identify CHADS2 conditions is probably not surprising.

Differences in choices regarding how ICD-9 codes are used to identify the clinical conditions associated with CHADS2 could also impact the distribution of CHADS2 scores at the population level. This, in turn, could affect statistical associations and conclusions. The purpose of this study was to assess how different sets of ICD-9 codes as well as other decisions (such as the number of times a code appears and the time over which the presence of codes is searched) affect the apparent prevalence of CHADS2-associated conditions and the distribution of CHADS2 scores in a population of patients with non-valvular AF.

Methods

Datasets

Department of Veterans Affairs (VA) national datasets encompassing outpatient visits and/or acute inpatient hospitalizations were used to determine the presence of certain ICD-9 codes, as further specified below.

Population

Patients with “non-valvular” AF were identified from among those cared for in the VA during fiscal year (FY) 2007 (October 2006 through September 2007). Diagnoses for AF were based on having two or more inpatient or outpatient ICD-9 codes of 427.31 separated by at least 60 days. Patients were excluded if there was a history of valvular heart disease manifested by mitral stenosis or certain types of prior cardiac valve surgery [22], as indicated by the following ICD-9 diagnostic or procedure codes: 394.0, 394.2, 396.0, 396.1, 396.8, V42.2, V43.3, 35.10 to 35.14 or 35.20 to 35.28. These exclusion diagnoses were based on outpatient or inpatient records in the three years prior to the initial diagnosis of AF identified in FY2007.

ICD-9 definitions for CHADS2 components

A number of reports in the literature that incorporate CHADS2 scores have defined the presence of CHF, hypertension, diabetes or stroke/TIA using sets of ICD-9 codes [9-12]. Other reports, not involved with CHADS2, have studied ICD-9 code sets for these conditions in comparison to chart reviews [15, 16, 18, 19]. “Core” sets of codes often include 428.x for CHF, 401.xx-405.xx for hypertension and 250.x for diabetes. Additional codes for each condition, typically associated with other comorbidities or complications, have been used by some investigators. For example, the set for CHF has included 398.91, 402.01, 402.11, 402.91, 404.01, 404.11, 404.03, 404.13, 404.91, 404.93, that for hypertension has included 437.2, and that for diabetes has included 357.2, 362.0 and 366.41 [10, 19]. While it did not seem likely that use of these additional codes would identify a substantial number of additional patients with the relevant condition, we investigated this issue by specifying “more restrictive” and “more inclusive” code sets, as indicated in Table 1.

Compared to the other CHADS2 conditions, the use of ICD-9 codes to identify patients with prior ischemic stroke or TIA is more problematic. Because the CHADS2 scheme includes any prior history of ischemic stroke or TIA, it becomes
important to search for records indicating prior in addition to acute events. Validation studies in the literature have typically assessed the codes associated with acute strokes associated with hospitalizations, and even in that setting, it has been difficult to identify code sets that have both good sensitivity and specificity [20, 21].

Using one year of inpatient records, Birman-Deych reported use of an ICD-9 code set that achieved a sensitivity of 58% for detecting acute or prior strokes, but patients in the cohort were selected based on a hospitalization for AF [19]. In attempting to identify any history of an ischemic stroke or TIA in a population that includes individuals without hospitalizations within a specified span of data, it would seem important to include outpatient records. However, we are not aware of published studies that have reported on systematic validation of outpatient ICD-9 codes for either acute or prior strokes (or TIAs). While we included outpatient codes in our more inclusive code set, as indicated below, we recognize that the accuracy of such codes is unknown at this time.

For the more restrictive code set for stroke/TIA, we included ICD-9 codes 433.x1, and 434.x1 identified from acute inpatient records, as these codes have been found to have high specificity and positive predictive value [20]. Also included in the restrictive set is 435.x for TIA. We accepted these codes in any position in the list of discharge diagnoses.

For the more inclusive code set, we included codes that appeared in either acute inpatient or in outpatient records. In addition to 433.x1, 434.x1 and 435.x, we included codes 436 and 438.x. Investigators who have defined CHADS2 using ICD-9 codes have often included code 436 ("Acute, but ill-defined, cerebrovascular disease") in identifying stroke [9-12], although it had a positive predictive value of only 48% in VA inpatient datasets [20]. We included ICD-9 code 438.x ("Late effects of cerebrovascular disease") in an effort to detect previous strokes [11, 19]. One potential issue is whether, in the outpatient setting, prior strokes are being coded with 438.x or with one of the codes more typically associated with acute events. Yiannakoulas et al found that in certain outpatient facilities in the province of Alberta, Canada, ICD-9 codes 435.x, 436 and 438.x were the most common of those for cerebrovascular disease [23]. However, there were substantial differences among the facilities in which of these codes predominated. For example, at some facilities, 438.x predominated, while at others, it was 436. While the actual medical conditions were not determined by chart review, the authors suggested that such wide variation in coding was unlikely to be explainable by differences in disease prevalence.

There was a change in the definition of ICD-9 code 436 beginning in October 2004 that was intended to remove the words “stroke” and “cerebrovascular accident” (CVA) from its description and to re-index those terms to other codes [24, 25]. However, it is unclear how this has changed coding practices in either the inpatient or outpatient setting, and some reference documents have continued to include, for certain sub-entries, the terms “stroke” and “CVA” in association with code 436 [26, 27]. Therefore we counted its presence in periods after September 2004 as part of the more inclusive code set. V12.54 is a current code for indicating prior stroke or TIA without residual sequelae, but was not relevant to this study as it was not an official code until Oct. 1, 2007.

In searching for relevant ICD-9 codes for each of the CHADS2 conditions, we assessed the effect

<table>
<thead>
<tr>
<th>CHADS2 condition</th>
<th>More restrictive set</th>
<th>More inclusive set</th>
</tr>
</thead>
<tbody>
<tr>
<td>Congestive heart failure</td>
<td>428.x</td>
<td>428.x, 398.91, 402.01, 402.11, 402.91, 404.01, 404.11, 404.03, 404.13, 404.91, 404.93</td>
</tr>
<tr>
<td>Hypertension</td>
<td>401.x, 402.x, 403.x, 404.x, 405.x</td>
<td>401.x, 402.x, 403.x, 404.x, 405.x, 437.2</td>
</tr>
<tr>
<td>Diabetes</td>
<td>250.x</td>
<td>250.x, 357.2, 362.0, 366.41</td>
</tr>
<tr>
<td>Stroke and TIA</td>
<td>433.x1, 434.x1, 435.x</td>
<td>433.x1, 434.x1, 435.x, 436, 438.x</td>
</tr>
</tbody>
</table>

*Assessed using only inpatient data
Choices in the use of ICD-9 codes to identify stroke risk factors

Table 2. Prevalence (%) of Components of CHADS2 by ICD-9 set (restrictive/inclusive), number of diagnoses required and lookback period. TIA: transient ischemic attack

<table>
<thead>
<tr>
<th>Component variant</th>
<th>Lookback period</th>
<th>1 year</th>
<th>2 years</th>
<th>3 years</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2 diagnoses</td>
<td>1 diagnosis</td>
<td>2 diagnoses</td>
<td>1 diagnosis</td>
</tr>
<tr>
<td>Congestive Heart Failure</td>
<td>More Restrictive</td>
<td>17.2</td>
<td>24.5</td>
<td>21.7</td>
</tr>
<tr>
<td>More Inclusive</td>
<td>17.3</td>
<td>24.7</td>
<td>21.9</td>
<td>28.4</td>
</tr>
<tr>
<td>Hypertension</td>
<td>More Restrictive</td>
<td>61.6</td>
<td>76.9</td>
<td>73.7</td>
</tr>
<tr>
<td>More Inclusive</td>
<td>61.6</td>
<td>76.9</td>
<td>73.7</td>
<td>81.6</td>
</tr>
<tr>
<td>Diabetes</td>
<td>More Restrictive</td>
<td>30.2</td>
<td>34.3</td>
<td>32.7</td>
</tr>
<tr>
<td>More Inclusive</td>
<td>30.4</td>
<td>34.4</td>
<td>32.8</td>
<td>35.6</td>
</tr>
<tr>
<td>Stroke and TIA</td>
<td>More Restrictive</td>
<td>N/A</td>
<td>0.6</td>
<td>N/A</td>
</tr>
<tr>
<td>More Inclusive</td>
<td>N/A</td>
<td>9.6</td>
<td>N/A</td>
<td>11.7</td>
</tr>
</tbody>
</table>

of looking back 1, 2 and 3 years (“lookback” times) prior to the initial diagnoses of AF in FY2007. Also, for diagnoses involving CHF, hypertension and diabetes, we explored the effect of requiring only 1 vs. 2 diagnoses during each of the relevant “lookback” times.

Statistical methods

We used descriptive analyses to indicate the prevalence of disease as a percent of all individuals in the cohort. In addition, we assessed the distribution of the CHADS2 scores (0, 1, 2, or 3+) as a percent of all scores in the cohort for each of the choices related to ICD-9 code sets, number of diagnoses and years of lookback.

Results

A total of 126,167 individuals met the study criteria for non-valvular AF. Their mean age was 74.0, and 98.4% were male. Table 2 shows the prevalence of the individual conditions that comprise the CHADS2 as a function of the ICD-9 code set (more restrictive vs. more inclusive), the number diagnoses required (1 vs. 2) and the number of “lookback” years used in assessing for the presence of diagnoses (1, 2 or 3).

For CHF, hypertension and diabetes, the additional codes in the more inclusive set made relatively little difference, as expected, in the calculated disease prevalence. However, the requirement of having at least two diagnoses substantially decreased the apparent prevalence for all three conditions, especially with only a one year lookback, although the effect was greater for CHF and hypertension in comparison to diabetes. For Stroke/TIA, there was a substantial difference in the calculated prevalence of disease between the more restrictive and more inclusive code sets, mainly due to the inclusion in the more inclusive code set of diagnoses drawn from outpatient datasets. A majority of such outpatient codes were for 436, and there was also a substantial prevalence of 438.x and 435.x, whereas there were relatively few 433.x1 and 434.x1.

For all four of the condition categories, the number of years of lookback also had a substantial effect on the calculated disease prevalence. On a relative basis, the difference was most pronounced for stroke/TIA. Diabetes showed the least change as a function of years of lookback, perhaps because diabetes is so often a focus of office visits.

Table 3 shows the distribution of CHADS2 scores as function of ICD-9 criteria, number of diagnoses required and years of database lookback. In this case, the more restrictive and more inclusive categories include the corresponding code sets for each of the four conditions. There were moderate differences in the CHADS2 distribution between the more restrictive and more inclusive categories, mainly due to the prevalence differences for stroke/TIA. The effect of the more restrictive/ more inclusive categories was greater for the higher CHADS2 scores.

Varying the number of required diagnoses and
the number of years of database lookback both had substantial effects on the distribution of the CHADS2 scores. As expected, there was a decrease in those with scores of 3+ when two diagnoses were required. Similarly, the number of patients with CHADS2 scores of 0 was substantially higher with one year compared to three years of lookback, and there was a corresponding decrease in the percentage of those with scores of 3+ with one compared to three years of lookback. For the more restrictive code sets, use of two diagnoses over one year was associated with 12.1% of patients with CHADS2 score of 0, compared to 5% when one diagnosis was required over three years.

Discussion

Because the more inclusive sets of ICD-9 codes for hypertension, CHF and diabetes differed from the more restrictive sets only by inclusion of codes that indicate certain complications or comorbidities, it is not surprising that there were only small differences in prevalence between these sets. However, for these same conditions, the requirements based on the number of years of lookback and number of diagnoses required both had more substantial effects on disease prevalence. The extent of these differences may vary among different healthcare systems and their associated administrative datasets.

For stroke and TIA, there were also substantial differences in apparent disease prevalence as a function of the number of years of lookback. There were also large relative differences in disease prevalence between more restrictive and more inclusive code sets. For the more inclusive code set, the increased prevalence was mainly due to the inclusion of codes in the outpatient setting, including those more typically associated with acute events. However, it is possible that in many cases of “acute” codes, the intent was to indicate a prior stroke or TIA. To the extent that prior strokes or TIs were being diagnosed, the relative contribution of such data to the overall prevalence of stroke/TIA might be expected to have a larger effect in VA datasets compared to those of some other healthcare systems. This hypothesis is based on a report that most patients dually eligible for VA care and Medicare receive their initial care for acute strokes in non-VA hospitals, and such acute events would not typically be included in the VA acute hospitalization files [28]. As previously noted, we are not aware of any validation studies in the outpatient setting for using ICD-9 codes to identify stroke/TIA, and chart reviews were not part of this study. Therefore, the relative accuracy of different outpatient codes to identify stroke/TIA is unknown, and further studies in this area are warranted. However, the apparent prevalence of stroke/TIA of 13.1% using three years of data is similar to other studies that have determined the prevalence of these conditions in patients with AF [29, 30].

Consistent with the effect on disease prevalence, choices studied in this report regarding identification of conditions from ICD-9 codes also had a substantial effect on the distribution of the CHADS2 scores. Reports in the literature that have assessed CHADS2 scores based on ICD-9 codes have varied in these parameters, and this may affect comparison among studies [9-12].

Even in our “more inclusive” set of codes for stroke/TIA, we did not include such codes as 433.x0 or 434.x0 since these codes have been found to have poor positive predictive value for

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Table 3. Distribution of CHADS2 (%) scores by ICD-9 set (restrictive/inclusive), number of diagnoses required, and lookback period

<table>
<thead>
<tr>
<th>CHADS2 Variant</th>
<th>1-Year Lookback</th>
<th>2-Year Lookback</th>
<th>3-Year Lookback</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Value of CHADS2</td>
<td>Value of CHADS2</td>
<td>Value of CHADS2</td>
</tr>
<tr>
<td>More restrictive</td>
<td>0   1   2   3+</td>
<td>0   1   2   3+</td>
<td>0   1   2   3+</td>
</tr>
<tr>
<td>2 diagnoses*</td>
<td>12.1 32.7 36.5 18.7</td>
<td>8.4 27.5 39.8 24.3</td>
<td>7.5 25.9 40.0 26.5</td>
</tr>
<tr>
<td>1 diagnosis</td>
<td>6.8 26.2 40.5 26.5</td>
<td>5.5 23.9 40.4 30.2</td>
<td>5.0 22.7 40.0 32.3</td>
</tr>
<tr>
<td>More Inclusive</td>
<td>0   1   2   3+</td>
<td>0   1   2   3+</td>
<td>0   1   2   3+</td>
</tr>
<tr>
<td>2 diagnoses*</td>
<td>11.4 30.0 33.7 24.9</td>
<td>7.8 25.0 35.9 31.3</td>
<td>7.0 23.3 35.5 34.2</td>
</tr>
<tr>
<td>1 diagnosis</td>
<td>6.4 24.2 37.1 32.3</td>
<td>5.2 21.7 36.2 36.8</td>
<td>4.6 20.5 35.5 39.4</td>
</tr>
</tbody>
</table>

*Except for stroke/transient ischemic attack, which uses 1 diagnosis.
stroke, although they may indicate other manifestations of cerebrovascular disease [20]. We also did not assess variation of disease prevalence or CHADS2 distribution as a function of the position of a particular diagnosis (i.e. primary vs. anywhere in the record). Such an assessment would likely have resulted in further variation in the observed parameters. For those ICD-9 codes identified from outpatient records, we included all outpatient services (including laboratory, radiology, etc) and not just face-to-face clinical encounters. This may also have affected the relative prevalence of these codes.

There are several additional issues that may limit the generalizability of our findings. The VA population in our cohort was 98.4% male, and the VA population tends to have a higher prevalence of comorbidities than non-VA populations. Also, as previously noted, a substantial percentage of patients dually eligible for VA care and Medicare receive initial care for strokes outside the VA. Therefore, the presence of outpatient codes suggestive of stroke/TIA may have had a greater influence on apparent disease prevalence compared to other health care systems. In addition to care for stroke, many VA patients receive at least some routine outpatient care outside the VA, and the VA datasets may therefore not reflect some comorbidities not addressed at VA clinic encounters. Regarding outpatient diagnoses, the VA uses an electronic medical record (EMR) to document care. The EMR's characteristics and the methods by which providers choose ICD-9 codes using this EMR may result in different distributions of codes compared to those found in other healthcare systems. Because of the presence of these issues, the actual numbers in this report derived from VA datasets are likely to be different in other systems of care. Although specific numbers may vary, it seems likely that in other healthcare systems, decisions in identifying CHADS2 conditions using ICD-9 codes can similarly affect calculated disease prevalence and distribution of scores.

Our goal in this report was not to define “optimal” algorithms to identify the presence of the various conditions associated with CHADS2 from administrative data, but rather to demonstrate the variation that can occur in the observed prevalence of these conditions as a function of choices made in their identification. While the CHADS2 often is used on an “n” of 1 basis for the clinical care of patients who might be at increased risk of stroke, the intent of this paper is to show the effect of different choices regarding use of ICD-9 codes in deriving the CHADS2 scores for application in population-based studies and not for individual patients.

Researchers performing population-based studies based on ICD-9 codes identified in administrative datasets should be aware of how choices in specifying components of stroke risk stratification schemes, such as the CHADS2, affect the distribution of risk scores. Further studies would be useful to assess how such choices affect the accuracy of administrative diagnostic codes for different healthcare systems. In particular, validation studies are needed regarding the accuracy of outpatient ICD-9 codes to indicate prior strokes and TIAs.

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The views expressed in this report are solely those of the authors and do not necessarily represent the position or policy of the Department of Veterans Affairs or the United States Government, Boston University School of Public Health or Boehringer Ingelheim, Pharmaceuticals, Inc.

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References


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