Developing a patient-centered model of the risk of perioperative complications in spine surgery

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Structured Abstract

Purpose: To develop a set of predictive models for common adverse events after spine surgery.

Scope: A retrospective cohort study of patients undergoing spine surgery. We extracted patients from the MarketScan (MKS)/MarketScan Medicaid and Medicare databases. Overall adverse event (AE) occurrence and types of AE occurrence during the 30-day postoperative follow-up. We prospectively followed 283 patients undergoing spine surgery and assayed AE occurrence.

Methods: We applied a least absolute shrinkage and selection operator (LASSO) regularization method and a logistic regression approach for predicting the risks of an overall AE and the top six most commonly observed AEs. Predictors included patient demographics, location of the spine procedure, comorbidities, type of surgery performed, and preoperative diagnosis. Scoring was applied to our prospective patient cohort and correlation with AE occurrence was recorded.

Results: The AUC of a prediction model for an overall AE was 0.7. Among the six individual prediction models, the model for predicting the risk of a pulmonary complication showed the greatest accuracy (AUC 0.76), and the range of AUC for these six models was 0.7 to 0.76. Medicaid status was one of the most important factors in predicting the occurrences of AEs. The model predicted tertiles of AE occurrence in our prospective cohort.

Conclusions: We present a set of predictive models for AEs following spine surgery that account for patient-, diagnosis-, and procedure-related factors that can contribute to patient counseling, accurate risk adjustment, and accurate quality metrics.

Purpose

This project sought to develop a relative risk model predicting incidence of complications in spine surgery, incorporating both Medicare and non-Medicare aged patients. Spine surgery is a rapidly growing area of healthcare expenditures; complications in spine surgery significantly add to healthcare spending and may impact patient outcomes. The elderly are more prone than are many other groups to perioperative complications. Poor understanding of complication incidence makes patient counseling and shared decision making difficult.

Better understanding of how patient factors contribute to operative outcomes may significantly improve patient engagement in discussion of treatment options.

Scope

Adverse events (AEs) following spine surgery negatively impact patients, surgeons, and the healthcare system. The incidence of AEs in the 30 days following a spine surgery procedure range from 40% to 50% in single-center prospective studies and 2% to 23% in retrospective studies using administrative databases and national registries.[1–8] Post- and perioperative metrics have become a benchmark to evaluate surgeons and hospitals. As reimbursement becomes tied to quality metrics, it is critical to investigate factors that are associated with AEs and to develop risk stratification strategies that account for patient factors. Predictive models that account for patient-, diagnosis-, and procedure-related factors are necessary for patient counseling, accurate risk adjustment, and accurate quality metrics.

The objective of this study was to build a set of models based on a wide array of patients to best reflect the overall population of patients undergoing spine surgery in the US. We used a variety of patients for model development, including an elderly patient population via records from the Centers for Medicare and Medicaid Services (CMS), privately insured patients from Truven MarketScan, and patients with lower socioeconomic status through patients from the Truven MarketScan Medicaid database.

The potential predictors for these models include preoperative diagnosis, comorbidities, surgical procedures, demographics, and interaction among these factors. As a measure of lower socioeconomic status, we include Medicaid status in our analysis.

We present a set of predictive models for an overall AE and the six most common individual AEs following spine surgery using data from over one million patients representing a variety of insurance types (private employer-based insurance, Medicare, and Medicaid). Compared with existing studies, this approach encompasses a wide array of patients to better reflect the population of patients undergoing spine surgery in the US.[8–12] The predictive models for AEs built based on this data showed greater accuracy versus the previous models, with AUC ranging between 0.7 and 0.76, which account for patient-, diagnosis-, and procedure-related factors.

Patient socioeconomic status, as evidenced by Medicaid status, has a significant impact on AE occurrence. Our analysis showed that Medicaid status was the single most important factor in predicting the risks of various AEs after spine surgery (OR range of 1.24-1.6 with $P<0.001$). These results indicate potential targets for quality improvement and additional investigation. The finding that Medicaid status is strongly associated with AEs indicates that this is a population that may benefit from targeted interventions to reduce AEs. Medicaid patients had comorbidity rates significantly higher than non-Medicaid patients. The strong association between Medicaid and postoperative AEs in our study is consistent with previous findings in the spine surgery literature.[17,18] Some of these studies used a prospective registry and found Medicaid status to be associated with higher postoperative AEs (OR 1.7, P=0.001).[13,14]

Although there are several existing studies that explored the predictive models for AEs following spine surgery, they have several limitations.[8–11] For example, Bekelis et al. developed the predictive models for AEs based on the National Surgical Quality Improvement Program (NSQIP). However, a major limitation of the study based on NSQIP is that the study population is young, with an average age of 55.7, that do not well capture elderly patients. In addition, the sample size of their study is moderate (N<14,000) compared with ours (N>1 million), and their models do not incorporate Medicaid status that has shown to be one of the most important factors in predicting AEs following spine surgery. In addition, the prediction models in our prior work focused on predicting overall AEs, and the models for predicting the risks of individual adverse events (e.g., pulmonary complication) had limited discriminative accuracy.[8] When we applied our original model, developed from a relatively homogenous set of MKS-only patients, to our new dataset of MKS, CMS, and Medicaid patients, we found its performance was much worse in the more heterogenous population. Given that this heterogeneous population better reflects the patient population undergoing spine surgery procedures, the new models we developed will be more generalizable and will better reflect AE occurrence observed in a real-world setting.

Our current study has several strengths. The risk prediction models we developed can be used to improve risk adjustment when assessing patient populations with varying comorbidities and demographic profiles. These models can inform patient counseling by enabling surgeons to tailor their assessment of risk to individual patient characteristics. By developing models for specific types of complications, we also provide a tool for surgeons and patients to focus on complications for which they have the highest suspicion or concern.

Similar to other administrative database studies, this study relies on accuracy of administrative coding of procedures, diagnoses, comorbidities, and complications. Though administrative data classically has been assumed to underestimate complication occurrence, use of longitudinal data decreases this inaccuracy.[7] However, database studies still are predicated on the assumption that postoperative de novo appearance of a diagnosis code in a longitudinal assessment indicates occurrence of an AE. Therefore, errors in coding or failure in preoperative comorbidity capture are sources of potential bias. Complication rates in our administrative data presented here are comparable to other prospective datasets.

Although we have a larger number of observations compared with our previous work and incorporated extensive feature variables, such as comorbidity, preoperative diagnosis, and surgery procedures, the AUCs of the models still have not exceeded 0.8. Even though the sample size increased to over a million, the number and the domains of the features for outcomes remained the same as before,[7] hence limiting the performance of the prediction models. There may be explanatory features not captured in administrative data that contribute to the risk of AEs. This may indicate an intrinsic limitation of the ability of administrative data to predict AE occurrence. Applications of alternative machine learning approaches (e.g., tree-based methods or deep-learning methods) also could be explored to examine if these can help enhance predictive accuracy. To our best knowledge, there is not a well-defined optimal AUC value for predicting adverse outcomes after spine surgery. However, a number of studies reported AUC values ranging from 0.60 to 0.78 for predicting complications after spine surgery that include urinary tract infections, pulmonary embolism, and overall adverse events.[8,10]

Given the limited accuracy of the predictive models, they could be primarily used for identifying expected complication rates in a population of patients and so might be valuable for assessing

O:E ratios for AE occurrence in a given practice. Being able to translate from a population-based approach to an individual patient could be more challenging.

We also found that the machine learning approach using LASSO did not show better performance compared with a classical generalized regression based approach, which was also observed in the previous study.[8] This could be because a penalized regression approach such as LASSO tends to perform better over the traditional approaches when the number of observations is relatively small compared to the number of features, which is not the case in our data.

Our application of the model to a set of prospectively captured operative cases revealed that the model could predict low-, medium-, and high-risk patient cohorts.

Methods

Study design and data sources

We conducted a retrospective administrative database study of more than one million patients who had undergone spine surgery in the United States from 2009 to 2013. We used the two databases: (1) the claims data (N=345,510 patients) from the Truven Health Analytics MarketScan Commercial Claims and Encounters and Medicare Supplemental and Coordination of Benefits databases (denoted MKS in the manuscript); and (2) CMS Medicare data (denoted CMS in the manuscript), including 760,724 Medicare beneficiaries. The databases used in this assessment included 157,895 Medicaid recipients from the MarketScan Medicaid and CMS databases who had undergone spine surgery procedures; the Medicaid cohort included both patients with Medicaid as a primary insurer and also dual-eligible Medicare and Medicaid beneficiaries. A previous approach using a smaller database of Marketscan privately insured patients, following similar methodology, has been described.[8]

Split-sample approach: Training vs validation set

We randomly divided the data into a training dataset (70%) and a validation dataset (30%) based on the suggested split proportions provided in the literature.[15] The training dataset was used to develop a set of prediction models for various types of AEs, both a generalized linear regression model with a logit link function (i.e., logistic regression model) and a least absolute shrinkage and selection operator (LASSO) regularization method (see the following subsections). The validation dataset was used to evaluate the performance of the prediction models developed using the training data.

Cohort definition

Our cohort of patients was defined by querying the overall MKS and CMS databases for patients with Common Procedural Terminology (CPT) descriptors for spine surgeries. Patients were divided into four general preoperative diagnostic groups: degenerative disease, trauma, neoplasm, and infection. MKS and CMS are both longitudinal databases, allowing for tracking of patients over time and for identification of new diagnoses not present prior to admission for a given surgery. Based on the retrospective assessment of diagnoses present prior to the admission for spine surgery, we evaluated comorbidities of patients using the databases. Both databases are compiled from billing records, and entries are made as part of the billing process by hospitals and physician practices; they are processed by CMS and by third party payers for healthcare. CPT codes are based upon claims paid for physician services, and ICD-9-CM codes are entered by facilities, by hospital-based chart abstractors, or by individual physician practice coders.

Definition of the outcome variables: adverse events

We defined an AE as the occurrence of new ICD-9-CM codes either during the admission for a given spine surgery or during the patient's postoperative follow-up claims history. We restricted the analysis to the 30 days immediately after the date of the surgery. We limited the dataset to patients with at least 30 day follow-up; thus, patients with less follow up were not included in the analysis. The approach of using longitudinal databases to capture complication occurrence has been explored previously.[8,16] Longitudinal databases such as Marketscan and Medicare have been shown to capture rates of AE occurrence after spine surgery procedures that are comparable to prospective data capture.[7] An overall AE was defined as having at least one of the 15 different AEs. We were interested in developing prediction models for the top six most frequent AEs (with the prevalence rate at least larger than 2.5% in either CMS or MKS)—cardiac dysfunction, congestive heart failure, pulmonary complication, pneumonia, neurologic complication, and urinary tract infections. We note that this grouping of AEs into less granular categories of the most frequent AEs observed in our patient population risks sacrificing granularity for ease of use of the model.

Features

The following categories of features or variables were considered as potential predictors for the risks of AEs: (i) demographic factors; (ii) preoperative diagnosis; (iii) procedure-based cohort indicator for anterior cervical (AC), posterior cervical (PC), anterior thoracolumbar (AT), and posterior thoracolumbar (PT) procedure groups; (iv) comorbidities; and (v) surgery procedure. It is possible that the effects of some features may vary by Medicaid or Medicare status, by type of surgical approach, or by other factors in the data; thus, we allowed pairwise interactions between all the features. The possibility of three-way interaction (i.e., a two-way interaction that varies across levels of a third variable) was considered *a priori* and assessed using a likelihood ratio test.

Predictive modeling approaches

In building predictive models, we used a LASSO regression approach based on a penalized regression to obtain shrinkage estimators for the regression coefficients, which has been widely applied in predicting complications rates after various surgical procedures using administrative claims data.[8,17,18] Although the statistical model used under LASSO is a generalized linear model with a logit link function, by its nature, LASSO uses a regularization method and shrinkage estimators to impose a constraint on the model parameters that causes regression coefficients for some variables to shrink toward zero. Therefore, the selection of the features and the estimation of the parameters under LASSO are different from those based on a stepwise selection method using logistic regression. In conducting the LASSO analysis, we used a 10-fold cross-validation to find a tuning parameter for each predictive model. The second approach to build prediction models was logistic regression. In order to select features for logistic regression models, we conducted a backward stepwise selection procedure based on Akaike information criterion (AIC). To capture the non-linearity of continuous variables, we used a natural cubic spline method that is constructed of piecewise third-order polynomials. Variable importance was evaluated based on the absolute value of the z-statistic for each model parameter used.

Performance evaluation

To evaluate the performance of the predictive models, discrimination was assessed using the receiver operator characteristic (ROC) area under the curve (AUC) on both training and validation data. Calibration was assessed by plotting the observed incidence of each AE against the model-predicted probability of incidence. In a well-calibrated model, we expect the predictions to be close to a 45-degree diagonal line. We also calculated the Brier score that is measured as the average squared difference between the predicted probability and the observed outcome of each model (that ranges between 0 and 1, for which the brier score value of 0 shows a perfect fit). Sensitivity and specificity were also calculated using the median predicted probability as a threshold.

Sensitivity analysis

For sensitivity analysis, we created other "overall" AE variables to examine if a different definition of an overall AE impacts the performance of predictive models. First, we defined a medical-related overall AE variable that excludes any of the following surgical complications—(i) wound hematoma, (ii) wound infection, (iii) other wound complication, and (iv) infection. Second, we defined a surgical related overall AE so that the variable is coded as 1 (vs 0) if a subject has at least one of the following complications listed in (i)-(iv) or a neurologic complication.

In order to explore how the sample size of data affects the performance of a prediction model for an overall AE, we conducted a simulation study; we randomly selected a subset of data from a varying size from N=10,000 to N=1,000,000 patients and repeated the model fitting procedure for predicting an overall AE using a logistic regression to calculate AUC. To increase the robustness of the results, we repeated the random sampling 10 times for each sample size and we reported the average AUC for each sample size.

Benchmark model

We compared the performance of our new model for an overall AE that incorporates more diverse study subjects to the performance of the existing model ("benchmark model")[7] that was developed using the similar database (MKS database) but without elderly patients in CMS. We applied the benchmark model to the entire data (based both on MKS and CMS cohort) and calculated the performance metrics.

Prospective Patient Assessment

To validate the predictive model, we conducted a prospective assessment of complications occurring in spine surgery patients at our institution. An auditor prospectively captured demographic and comorbidity data and then followed perioperative patients to capture complication and adverse event occurrence. This approach will follow our previously validated means of assessing perioperative complications in spine surgery procedures.

Results

Cohort characteristics

Our patient cohort characteristics are shown in Table 1, and procedure descriptors for each of the patient cohorts are tabulated in Tables 2 and 3. The average age of the entire cohort was 62 years (standard deviation [SD]:14.74 years). The mean age of the CMS-Medicare cohort was 69 (SD:10.7), older than the mean age for the MKS cohort of 49 (SD:12.5). The overall AE rate (i.e., the proportion of subjects who have at least one AE event) in the patient population was 24.7%, and it was 27.6% in CMS versus 18.0% in MKS. The most common individual AE was a cardiac dysfunction in CMS patients (10.6%) and a pulmonary complication in MKS (4.7%). Overall, the patients in CMS also had higher comorbidity rates compared with patients in MKS.

Prediction of an overall AE

The ROC curve of the prediction model for an overall AE based on training data is shown in Figure 1, with a corresponding AUC value of 0.7. A calibration plot for the prediction model is displayed in

Figure 1, which shows that the predicted probability and observed outcome are in good agreement (intercept 0; slope 1). The top 20 most important variables for predicting an overall AE based on the final model selected by logistic regression (that included 274 variables) on training data are shown in Figure 2. According to these results, Medicaid status is significantly associated with the risk of an overall AE with an OR of 1.26 (95% Confidence Interval [CI]=1.24-1.28, $P<1x10^{-10}$), indicating that patients who received Medicaid have 26% higher odds of developing an overall AE compared with non-Medicaid recipients. Also, the results show that preoperative infection is strongly associated with increased odds of developing a postoperative overall AE compared to those without preoperative infection. The performance of the prediction models based on LASSO was similar but a bit lower compared with those using logistic regression; the overall AUC was 0.69.

Prediction for individual AEs

We fitted separate prediction models for each of the following top most frequent AEs in our data—pulmonary complication, cardiac dysrhythmia, urinary tract infection, neurological complication, pneumonia, and congestive heart failure—using logistic regression on training data. The highest AUC was observed for the prediction model for a pulmonary complication (AUC 0.76). The performance of the model for a pulmonary complication showed that the Brier score was 0.04, and sensitivity and specificity were 82% and 52%, respectively, using the median predicted probability value of 0.033 as a threshold. The next-highest performance was shown in congestive heart failure symptoms (AUC 0.75) and pneumonia (AUC 0.74). The results for the performance of all individual AEs are shown in Table 4. Medicaid status was one of the most important factors in predicting individual AEs after spine surgery, including the following AE outcomes: congestive heart failure symptoms (OR 1.6; P<0.0001), pneumonia (OR 1.42; P<0.0001), and pulmonary complication (OR 1.28; P<0.0001). The results based on LASSO were similar to those using logistic regression, with AUCs equal to or a bit lower than those using logistic regression.

Validation and sensitivity analysis

We used the remaining dataset (30%) for validation to evaluate the performance of the prediction models. Overall, the AUCs for validation analysis were comparable to those based on training data (see Table 4). We also conducted sensitivity analysis by redefining the overall AE variable (i.e., medical-related overall AE) to exclude surgical-related AEs, and the prediction result for this outcome (AUC 0.71) was similar to the initial overall AE (AUC 0.7) (Table 4). Similarly, the prediction model for an overall surgical-related AE showed AUC of 0.69.

The simulation study to examine the impact of the sample size on the performance of the prediction model showed that, by increasing the sample size from N=10,000 to 400,000, the AUC of the prediction model increased from 0.67 to 0.70. The AUC showed a plateau effect beyond a sample size of >400,000, with no improvement in accuracy as we increased sample size.

Comparison to the benchmark model

To examine how our new model for an overall AE that incorporates more diverse study subjects compared to the benchmark model, which is based solely upon a MKS database without elderly patients in CMS, we applied the earlier model to the entire data (based both on MKS and CMS cohort). Overall AUC for the earlier model applied to the new dataset was 0.6 (compared with 0.7 using the new model), and the calibration plot showed that the risk of an overall AE is underestimated (intercept: -0.63; slope: 0.301).

Validation in Clinical Model

We followed 283 patients undergoing spine surgery procedures at our institution for the 30 days immediately after their operative procedure. For patients undergoing staged procedures, we counted the 30 days after the final procedure as our window for AE occurrence. There were 152 female patients (53%). The average age was 60.2 years (+/-14.9 years), and the majority of patients were white/non-Hispanic (221 patients, 78%). The patient cohort encompassed Hispanic, African-American, and Asian demographics (Hispanic: 44 patients, 16%; Asian: 14 patients, 5%; African-American: four patients, 1%). There were 136 Medicare beneficiaries in the cohort (48%) and 11 Medicaid patients (4%). The procedures covered the breadth of spine surgery and was a representative sample of Stanford's spine practice.

AEs occurred during follow-up in 71 cases, for an AE occurrence rate of 25%. Patients having an AE had higher scores on the predictive model than did those patients not having an AE (score for patients suffering an AE: 32.4 [95% CI 28.2-26.7] vs score for patients not suffering an AE: 25.7 [95% CI 23.5-27.8], $p<0.002$).

To apply the model to our prospectively captured patient cohort, we first divided the original dataset, composed of Marketscan, Marketscan Medicaid, and Medicare patients, into tertiles (Figure 3). This provided an estimate of low-, medium-, and high-risk patients for AE occurrence. We applied the algorithm to our prospectively captured patient cohort and then divided scores based upon low, medium, and high risk of AE occurrence (Figure 4). There were 90 patients in the low-risk group, 74 patients in the medium-risk cohort, and 114 patients in the high-risk group.

Complication occurrence correlated with score and with tertile of risk based upon algorithm prediction. The observed incidences of AEs increased with score, and AE occurrence was significantly different based upon risk group ($P<0.01$, Figure 5).

Conclusions

We present predictive models of AE occurrence after spine surgery procedures, integrating multiple administrative claims databases and encompassing privately and publicly insured patients, which provide greater accuracy in predicting the risks of AEs following spine surgery. The predictive validity of the model was confirmed in a prospective assessment of AE occurrence. Our findings can inform patient counseling, risk adjustment, and quality assessment in spine surgery. Identifying variables of importance in predicting AEs may inform targeted interventions for quality improvement. Future directions include the implementation of these prediction models in software or applications, improvement of the granularity of individual AE prediction, and the evaluation of the performance of these models in independent prospective or retrospective studies.

Table 1 Patient Characteristics for MKS and CMS

Cohort Attributes	MKS (2009-2013)		CMS (2009-2013)	
	N (343,509)	**% (std)**	**N (760,724)**	**% (std)**
Gender				
Male	160,988	47.0	347,022	45.6
Age				
Average age at time of surgery (yrs)	------------	49(12)	------------	69(11)
Medicaid				
Yes	31,101	9.1	126,794	16.7
No	312,408	90.9	633,723	83.3
Unknown/Other	0	0.0	207	0.0
Spine procedure type				
Cervical-unambiguous	123,782	36.0	184,969	24.3
Thoracolumbar-unambiguous	226,127	65.8	586,651	77.1
Anterior Cervical	104,834	30.5	141,203	18.6
Posterior Cervical	23,849	6.9	50,020	6.6
Anterior Thoracolumbar	32,892	9.6	42,436	5.6
Posterior Thorocolumbar	213,360	62.1	570,429	75.0
Had Fusion	213,522	62.0	391,700	51.5
Had instrumentation	253,231	74.0	431,569	56.7
Used additonal level	177,377	53.0	467,208	61.4
Used BMP	24,350	7.1	90,507	11.9
Diagnosis of				
Degenerative disease	334,678	97.4	754,379	99.2
Neoplasm	9,170	2.7	14,955	2.0
Trauma	18,221	5.3	19,325	3.0
Infection	3,558	1.0	4,369	<1
Pre-existing comorbidities:				
Any Comorbidities	221,728	65.0	665,639	87.5
Pulmonary disorder	36,103	10.5	136,370	17.9
Neurological disorder/deficit	22,003	6.4	62,659	8.2
Hypercholesterolemia	52,304	15.2	283,422	37.3
Smoking	62,301	18.1	184,581	24.3
Hypertension	115,230	33.5	496,143	65.2
Cardiac disorder other than hypertension	324	<1	4,525	<1
Diabetes mellitus	39,042	11.4	181,906	23.9
Cancer	17,213	5.0	91,184	12.0
Gastroesophageal disorder	2,389	0.7	13,231	1.7
ETOH/drug use	6,462	1.9	488	<1
Psychiatric disorder	52,271	15.2	150,303	19.8
Complications (within 30 days post surgery)				
Overall (any) Complication	60,958	18.0	209,646	27.6

Cardiac dysrhythmia	14,689	4.3	80,822	10.6
Pulmonary	16,138	4.7	40,046	5.3
Urinary Tract Infection (UTI)	11,410	3.3	46,786	6.2
Neurological Complications	7,317	2.1	29,462	4.0
Congestive Heart Failure (CHF)	3,538	1.0	26,989	3.6
Pneumonia	6,629	1.9	21,861	2.9
Deep Vein Thrombosis (DVT)	6,055	1.8	18,344	2.4
Wound hematoma	5,523	1.6	17,700	1.6
Other wound complications	4,383	1.3	9,352	1.0
Myocardial Infarction (MI)	2,429	0.7	10,724	1.4
Pulmonary Embolism (PE)	2,251	0.7	7,651	1.0
Renal failure	2,021	0.6	7,040	0.9
Delirium	1,539	<1	8,478	1.1

Table 2 MKS Comorbidities and Complication Occurrence in Cervical and Thoracolumbar Spine Surgery

Cohort Attributes	**Cervical**		**Cohort Attributes**	**Thoracolumbar**	
Total number	**N (123,782)**	**% (SD)**	**Total number**	**N (226,127)**	**% (SD)**
Gender			**Gender**		
Male	58,699	47.0	Male	105,585	47.0
Age			**Age**		
Average age at time of surgery (yrs)	------------	50(10)	Average age at time of surgery (yrs,(std))	------------	48(14)
Spine procedure type			**Spine procedure type**		
Cervical procedures			**Thoracolumbar procedures**		
Anterior cervical decompression and fusion (ACDF) single level	18,633	15.1	Posterior thoracic decompression (PTD)	5,118	2.3
ACDF single + instrumentation	18,225	14.7	PTD + instrumentation	502	<1
ACDF single + bone morphogenic protein (BMP)	537	<1	PTD + bone morphogenic protein (BMP)	26	<1
ACDF, multiple level	49,168	39.7	Posterior thoracic decompression and fusion (PTDF)	4,488	2.0
ACDF multiple level + instrumentation	48,653	39.3	PTDF + instrumentation	4,268	1.9
ACDF multiple + BMP	1,537	1.2	PTDF + BMP	381	<1
Anterior cervical corpectomy	16,441	13.3	Posterior lumbar decompression (PLD)	75,802	33.5
ACC + instrumentation	15,806	12.8	PLD + instrumentation	2,604	1.2
ACC + BMP	460	<1	PLD + BMP	418	<1
Posterior cervical decompression (PCD)	11,400	9.2	Posterior lumbar decompression and fusion (PLDF)	140,195	62.0
PCD + instrumentation	1,556	1.3	PLDF + instrumentation	135,755	60.0
PCD + BMP	105	<1	PLDF + BMP	20,161	8.9
Posterior cervical decompression with fusion (PCDF)	10,038	8.1	Anterior thoracolumbar decompression and fusion (ATCDF)	7,591	3.4
PCDF + instrumentation	9,721	7.9	ATCDF + instrumentation	7,456	3.3
PCDF + BMP	690	0.6	ATCDF + BMP	903	<1
Total instrumentation	111,336	89.9	Total instrumentation	147,686	65.3

Total BMP	3,974	3.2	Total BMP	20,829	9.2
Primary diagnosis of			**Primary diagnosis of**		
Degenerative disease	118,375	98.0	Degenerative disease	219,343	97.0
Neoplasm	1,237	1.0	Neoplasm	4,702	2.1
Trauma	6,189	5.0	Trauma	5,777	2.6
Infection	396	<1	Infection	1,503	<1
Other	740	<1	Other	10,152	4.5
Pre-existing comorbidities:			**Pre-existing comorbidities:**		
Pulmonary disorder	13,655	11.0	Pulmonary disorder	23,172	10.2
Neurological disorder/deficit	7,609	6.1	Neurological disorder/deficit	15,279	6.8
Hypercholesterolemia	18,952	15.3	Hypercholesterolemia	34,168	15.1
Smoking	25,251	20.4	Smoking	38,101	16.8
Hypertension	41,727	33.7	Hypertension	75,588	33.4
Cardiac disorder other than hypertension	121	<1	Cardiac disorder other than hypertension	213	<1
Diabetes mellitus	14,312	11.6	Diabetes mellitus	25,443	11.3
Cancer	5,487	4.4	Cancer	12,353	5.5
Gastroesophageal disorder	942	0.8	Gastroesophageal disorder	1,518	<1
ETOH/drug use	2,616	2.1	ETOH/drug use	4,138	1.8
Psychiatric disorder	19,567	15.8	Psychiatric disorder	33,713	14.9
Complications (within 30 days post surgery)			**Complications (within 30 days post surgery)**		
Overall (any) Complication	18,064	14.6	Overall (any) Complication	45,103	19.9
Cardiac dysrhythmia	5,034	4.1	Cardiac dysrhythmia	10,178	4.5
Pulmonary	5,764	4.7	Pulmonary	11,323	5.0
Urinary Tract Infection (UTI)	3,236	2.6	Urinary Tract Infection (UTI)	8,584	3.8
Neurological Complications	2,579	2.1	Neurological Complications	5,087	2.2
Pneumonia	2,497	2.0	Pneumonia	4,547	2.0
Deep Vein Thrombosis (DVT)	1,777	1.4	Deep Vein Thrombosis (DVT)	4,548	2.0
Wound hematoma	1,411	1.1	Wound hematoma	4,272	1.9
Other wound complications	847	0.7	Other wound complications	3,708	1.6
Myocardial Infarction (MI)	683	0.6	Myocardial Infarction (MI)	1,821	0.8
Pulmonary Embolism (PE)	607	<1	Pulmonary Embolism (PE)	1,737	0.8
Renal failure	519	<1	Renal failure	1,565	0.7
Congestive Heart Failure (CHF)	1,182	1.0	Congestive Heart Failure (CHF)	2,493	1.1
Delirium	473	<1	Delirium	1,143	0.5

Table 3 CMS Comorbidities and Complication Occurrence in Cervical and Thoracolumbar Spine Surgery

Cohort Attributes	**Cervical**		**Cohort Attributes**	**Thoracolumbar**	
	N (184,969)	**% (SD)**		**N (586,651)**	**% (SD)**
Gender			**Gender**		
Male	88,515	48.0	Male	263,775	45.0
Age			**Age**		
Average age at time of surgery (yrs)	------------	66(11)	Average age at time of surgery (yrs,(std))	------------	70(10)
Spine procedure type			**Spine procedure type**		

Cervical procedures			Thoracolumbar procedures		
Anterior cervical decompression and fusion (ACDF) single level	20,259	11.0	Posterior thoracic decompression (PTD)	7,672	1.3
ACDF single + instrumentation	19,832	10.7	PTD + instrumentation	771	<1
ACDF single + bone morphogenic protein (BMP)	1,222	0.7	PTD + bone morphogenic protein (BMP)	137	<1
ACDF, multiple level	45,848	24.8	Posterior thoracic decompression and fusion (PTDF)	4,621	0.8
ACDF multiple level + instrumentation	45,035	24.3	PTDF + instrumentation	4,227	0.7
ACDF multiple + BMP	2,838	1.5	PTDF + BMP	957	<1
Anterior cervical corpectomy	20,657	11.2	Posterior lumbar decompression (PLD)	307,520	52.4
ACC + instrumentation	20,051	10.8	PLD + instrumentation	14,844	2.5
ACC + BMP	1,227	0.7	PLD + BMP	4,268	0.7
Posterior cervical decompression (PCD)	25,373	13.7	Posterior lumbar decompression and fusion (PLDF)	285,024	48.6
PCD + instrumentation	3,541	1.9	PLDF + instrumentation	259,622	44.3
PCD + BMP	460	0.2	PLDF + BMP	75,970	12.9
Posterior cervical decompression with fusion (PCDF)	21,372	11.6	Anterior thoracolumbar decompression and fusion (ATCDF)	3,999	0.7
PCDF + instrumentation	20,371	11.0	ATCDF + instrumentation	3,904	0.7
PCDF + BMP	2,653	1.4	ATCDF + BMP	1,065	<1
Total instrumentation	161,385	87.2	Total instrumentation	279,811	47.7
Total BMP	11,544	6.2	Total BMP	80,492	14.0
Primary diagnosis of			**Primary diagnosis of**		
Degenerative disease	181,949	98.4	Degenerative disease	539,718	92.0
Neoplasm	554	<1	Neoplasm	2,816	<1
Trauma	4,439	2.4	Trauma	5,163	<1
Infection	287	<1	Infection	1,290	<1
Other	6,103	3.3	Other	36,372	6.2
Pre-existing comorbidities:			**Pre-existing comorbidities:**		
Pulmonary disorder	39,521	21.4	Pulmonary disorder	99,059	16.9
Neurological disorder/deficit	17,606	9.5	Neurological disorder/deficit	46,454	7.9
Hypercholesterolemia	63,361	34.3	Hypercholesterolemia	223,985	38.2
Smoking	54,638	29.5	Smoking	132,679	22.6
Hypertension	115,304	62.3	Hypertension	387,890	66.1
Cardiac disorder other than hypertension	927	<1	Cardiac disorder other than hypertension	3,677	<1
Diabetes mellitus	45,207	24.4	Diabetes mellitus	139,112	23.7
Cancer	20,103	10.9	Cancer	72,621	12.4
Gastroesophageal disorder	3,427	1.9	Gastroesophageal disorder	10,015	1.7
ETOH/drug use	188	<1	ETOH/drug use	314	<1
Psychiatric disorder	43,485	23.5	Psychiatric disorder	109,201	18.6
Complications (after surgery)			**Complications (after surgery)**		
Overall (any) Complication	47,054	25.0	Overall (any) Complication	169,019	29.0
Cardiac dysrhythmia	17,582	9.5	Cardiac dysrhythmia	64,949	11.1
Pulmonary	12,083	6.5	Pulmonary	29,320	5.0
Urinary Tract Infection (UTI)	9,067	4.9	Urinary Tract Infection (UTI)	38,552	6.6
Neurological Complications	7,017	3.8	Neurological Complications	23,086	3.9
Congestive Heart Failure (CHF)	6,286	3.4	Congestive Heart Failure (CHF)	21,345	3.6
Pneumonia	6,501	3.5	Pneumonia	15,940	2.7
Deep Vein Thrombosis (DVT)	3,762	2.0	Deep Vein Thrombosis (DVT)	14,951	2.5
Wound hematoma	2,917	1.6	Wound hematoma	9,255	1.6
Other wound complications	1,499	<1	Other wound complications	8,052	1.4
Myocardial Infarction (MI)	2,349	1.3	Myocardial Infarction (MI)	8,588	1.5
Renal failure	1,587	<1	Renal failure	5,588	<1
Pulmonary Embolism (PE)	12,083	6.5	Pulmonary Embolism (PE)	6,247	1.1
Delirium	1,829	<1	Delirium	6,857	1.2

Table 4 The discriminatory performance (AUC) of the prediction models for each adverse event

Adverse event	Training data	Validation data
Pulmonary complication	0.76	0.75
Congestive Heart Failure	0.75	0.75
Pneumonia	0.74	0.74
Urinary Tract Infections	0.71	0.71
Neurologic complication	0.7	0.69
Cardiac dysrhythmia	0.72	0.72
Overall adverse event	0.7	0.7
Overall medical complication	0.71	0.7
Overall surgical complication	0.69	0.69

Figure 1 The performance of the prediction model for the overall adverse event. Panel A shows the ROC curve and corresponding AUC value, and panel B shows the calibration plot of the prediction model for the overall adverse event.

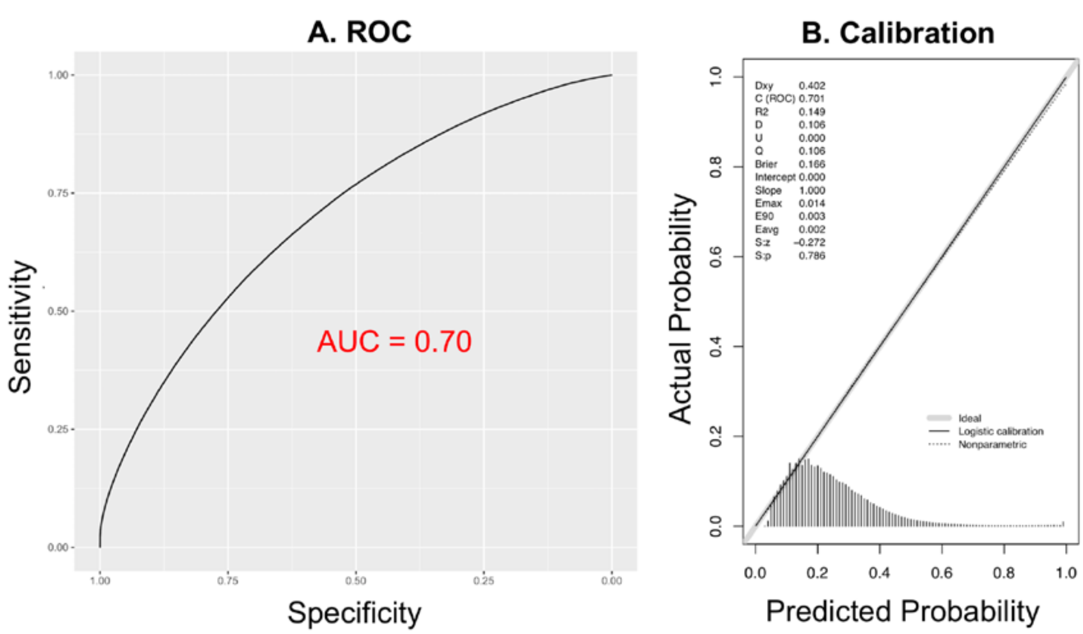


Figure 2 Variable Importance for the prediction model for the overall AE. Importance was calculated by taking an absolute value of t-statistic. Medicaid status was the single strongest predictor of AE occurrence.

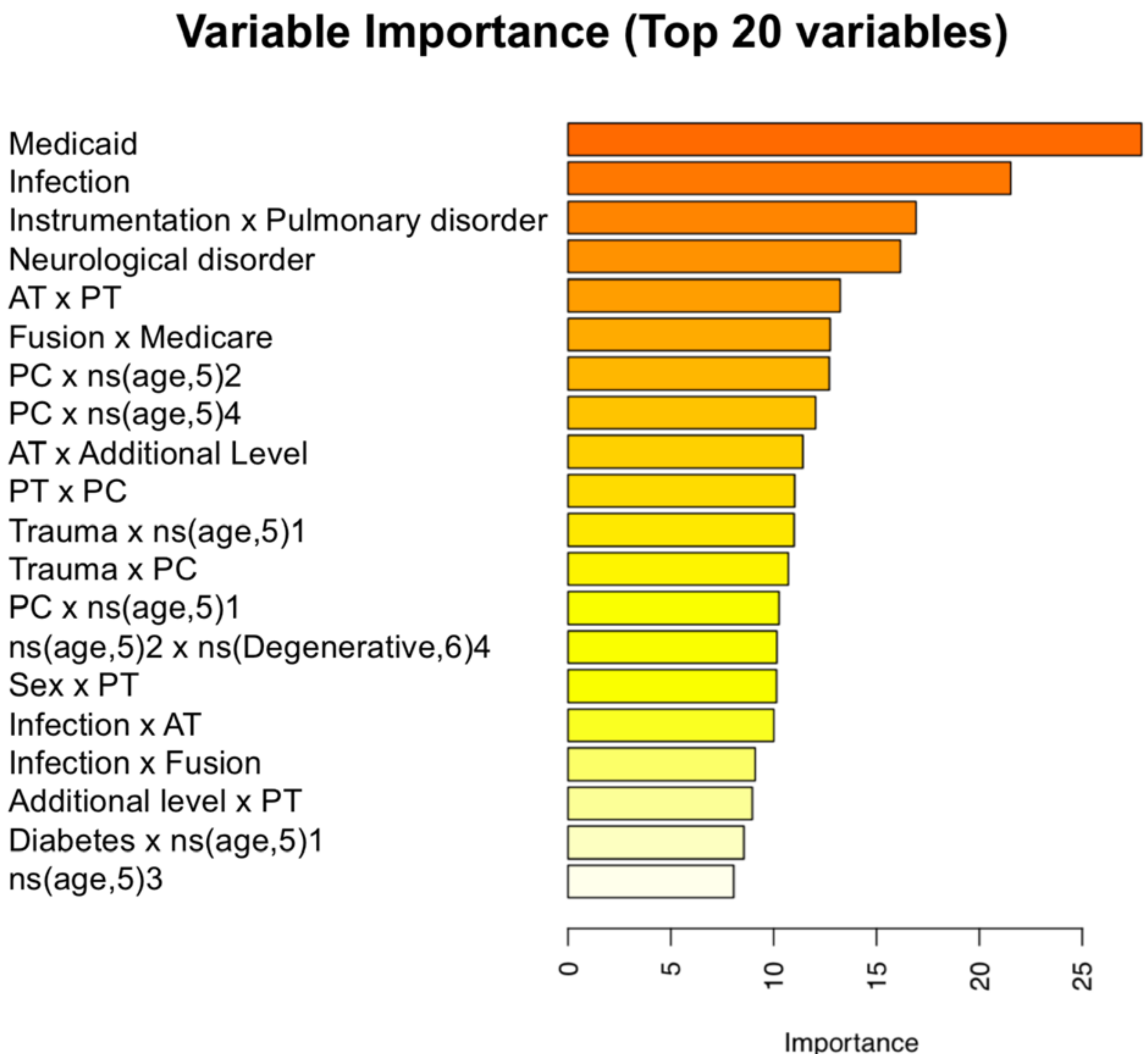


Figure 3 Using the combined Marketscan, Marketscan Medicaid, and Medicare data, we divided the patients into tertiles based upon probability of an adverse event occurring.

Cutting the original data into tertiles (0-33rd percentile, 34th-66th percentile, 67th-100th percentile), we get the following risk groups for the probability of any adverse event:

	Low risk	**Medium risk**	**High risk**
Any AE probability	(0, 0.169]	(0.169, 0.278]	(0.278, 1.000]
Number of patients	368,016	368,001	368,009

Below depicts the distribution in the original data set, with red lines indicating risk group thresholds:

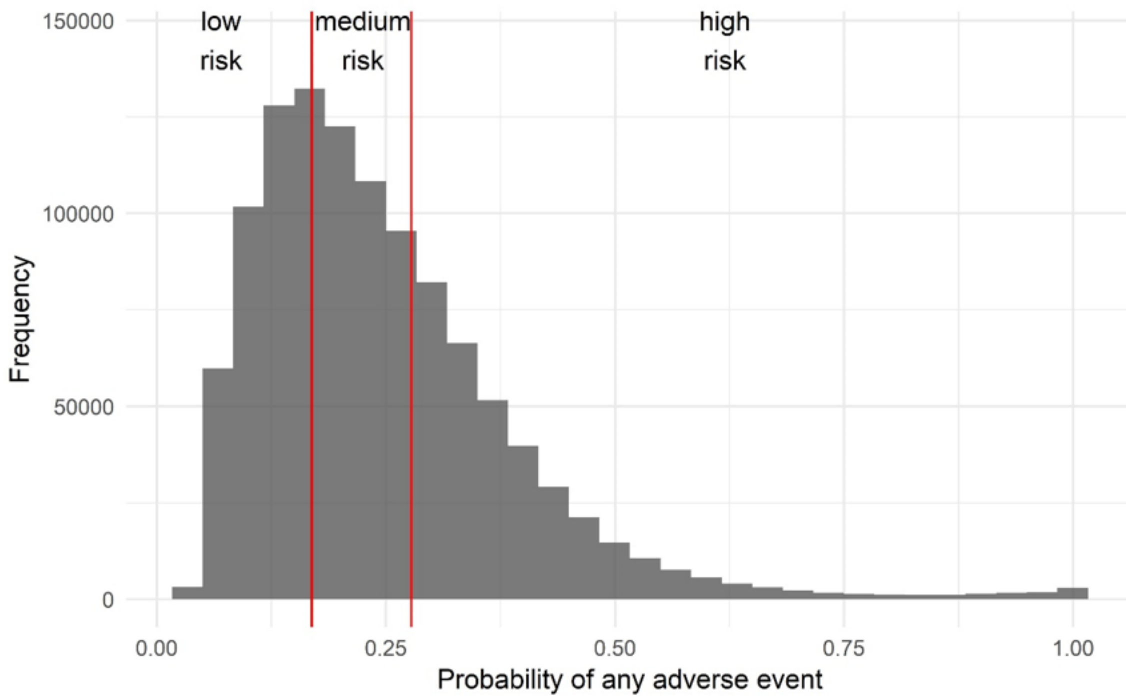


Figure 4 Distribution of prospective patients based upon algorithm score, grouped into low, medium, and high risk.

Using the risk thresholds on the new data, we have n=90, n=74, and n=114 in the low, medium, and high risk groups, respectively.

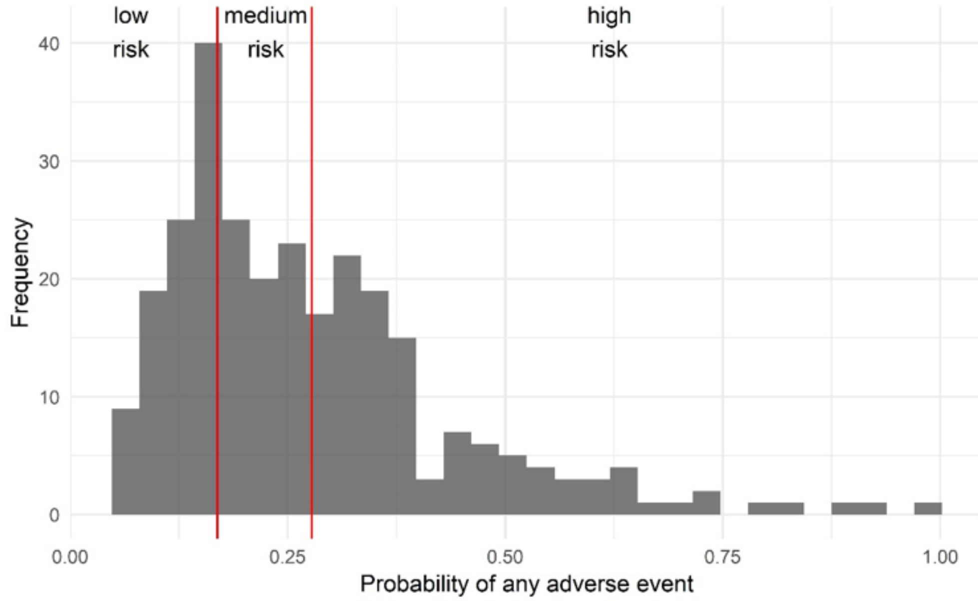
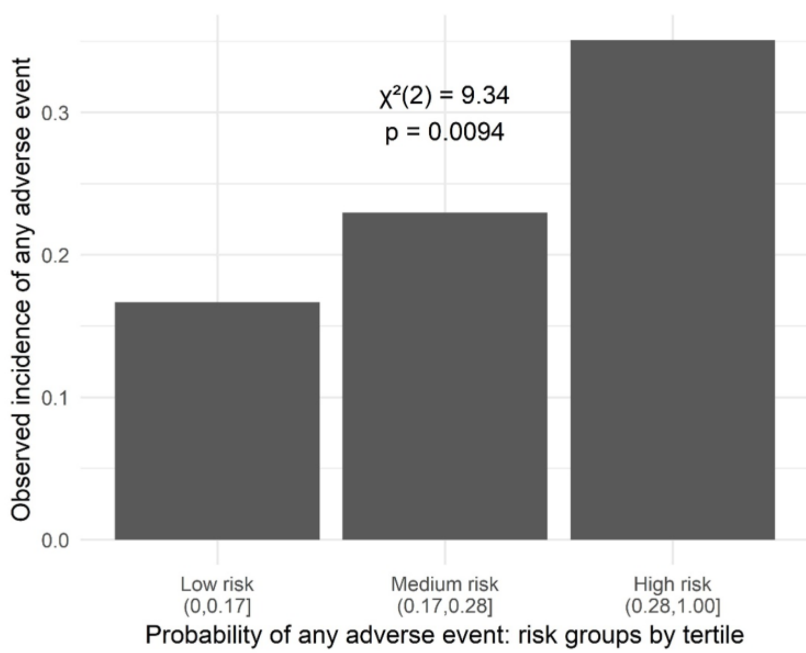


Figure 5 Tertile of algorithm predicted score matched increasing risk of AE occurrence in our prospectively captured patient population.

The observed incidence of any AE increases as we climb into each higher risk group (observed incidence: low=0.17, medium=0.23, high=0.35). Adverse event incidence is significantly different by risk group (Chi-squared test, p=0.0094).



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