# **Health Affairs**

At the Intersection of Health, Health Care and Policy

Cite this article as:

Robert L. Phillips, Winston Liaw, Peter Crampton, Daniel J. Exeter, Andrew Bazemore, Katherine Diaz Vickery, Stephen Petterson and Mark Carrozza How Other Countries Use Deprivation Indices—And Why The United States Desperately Needs One

Health Affairs 35, no.11 (2016):1991-1998 doi: 10.1377/hlthaff.2016.0709

The online version of this article, along with updated information and services, is available at:

http://content.healthaffairs.org/content/35/11/1991

For Reprints, Links &

**Permissions:** http://content.healthaffairs.org/1340\_reprints.php

Email Alertings: http://content.healthaffairs.org/subscriptions/etoc.dtl

**To Subscribe :** https://fulfillment.healthaffairs.org

Health Affairs is published monthly by Project HOPE at 7500 Old Georgetown Road, Suite 600, Bethesda, MD 20814-6133. Copyright ©

by Project HOPE - The People-to-People Health Foundation. As provided by United States copyright law (Title 17, U.S. Code), no part of

may be reproduced, displayed, or transmitted in any form or by any means, electronic or mechanical, including photocopying or by information storage or retrieval systems, without prior written permission from the Publisher. All rights reserved.

By Robert L. Phillips, Winston Liaw, Peter Crampton, Daniel J. Exeter, Andrew Bazemore, Katherine Diaz Vickery, Stephen Petterson, and Mark Carrozza

ANALYSIS & COMMENTARY

# How Other Countries Use Deprivation Indices—And Why The United States Desperately Needs One

DOI: 10.1377/hlthaff.2016.0709 HEALTH AFFAIRS 35, NO. 11 (2016): 1991–1998 ©2016 Project HOPE— The People-to-People Health Foundation, Inc.

ABSTRACT Integrating public health and medicine to address social determinants of health is essential to achieving the Triple Aim of lower costs, improved care, and population health. There is intense interest in the United States in using social determinants of health to direct clinical and community health interventions, and to adjust quality measures and payments. The United Kingdom and New Zealand use data representing aspects of material and social deprivation from their censuses or from administrative data sets to construct indices designed to measure socioeconomic variation across communities, assess community needs, inform research, adjust clinical funding, allocate community resources, and determine policy impact. Indices provide these countries with comparable data and serve as a universal language and tool set to define organizing principles for population health. In this article we examine how these countries develop, validate, and operationalize their indices; explore their use in policy; and propose the development of a similar deprivation index for the United States.

he 2008 World Health Organization report, Closing the Gap in a Generation: Health Equity through Action on the Social Determinants of Health, highlighted that "our children have dramatically different life chances depending on where they were born," and that "health...follow[s] a social gradient." The report laid out an international approach for countries to follow to reduce disparities in social determinants of health. Since its release, social determinants of health have received considerable attention in the United States. Specifically, there is increasing focus on capturing and using data on social determinants of health for clinical, public health, and policy purposes. Several reports from the Institute of Medicine (IOM, now the National Academy of Medicine) have emphasized the importance of social determinants of health to improve public health and primary care integration, advance population health, and guide what data to collect.<sup>2-4</sup> Another IOM report went further, recommending that the Department of Health and Human Services (HHS) "coordinate the development and evaluation and advance the use of *predictive and system-based simulation models to understand the health consequences of underlying determinants of health*" (emphasis added).<sup>5</sup> Most efforts at HHS, both before and after the release of these reports, have focused on data elements rather than how data should be prioritized or organized for use.

Efforts to capture, aggregate, display, and analyze community data in the United States are noteworthy but not sufficient. Sites taking part in the National Neighborhood Indicators Part-

**Robert L. Phillips** is vice president for research and policy at the American Board of Family Medicine, in Washington, D.C.

Winston Liaw (wliaw@aafp .org) is medical director at the Washington, D.C., office of the American Academy of Family Physicians.

**Peter Crampton** is pro-vicechancellor of the Division of Health Sciences, University of Otago, in Dunedin, New Zealand.

**Daniel J. Exeter** is a senior lecturer at the University of Auckland, in New Zealand.

**Andrew Bazemore** is director of the Robert Graham Center at the American Academy of Family Physicians.

**Katherine Diaz Vickery** is a clinician investigator at Hennepin County Medical Center, in Minneapolis, Minnesota.

**Stephen Petterson** is research director at the American Academy of Family Physicians.

**Mark Carrozza** is director of HealthLandscape, in Cincinnati, Ohio.

nership have laid the foundations for standardized risk and health outcome measurement.<sup>6</sup> Likewise, tools such as datadiversity.org facilitate looking at a variety of measures and have led to the development of other tools, such as the Child Opportunity Index.<sup>7,8</sup> Unfortunately, this index has not been tested against health outcomes.

Other localities have gone further in linking risk and health outcome measurement. Hennepin County in Minnesota created an integrated data warehouse to track members of a countysponsored Medicaid accountable care organization, Hennepin Health. The data warehouse combines social service case records, health plan enrollment, demographic, and claims data with encounter-level electronic health record data. Hennepin augments these data by administering an electronic health record-captured psychosocial needs assessment and identifying members with unstable housing.9 These data augment traditional risk assessment calculators and inform patient-guided care plans.10 The Public Health Disparity Geocoding Project found that poverty was the best predictor of several health outcomes at the census-tract level in Massachusetts and Rhode Island, and the Index of Concentration at the Extremes captured extremes of poverty and race/ethnicity concentration with an increasing relative risk for three mortality measures within New York Census tracts. 11,12 Gopal Singh and colleagues went further by testing a county-level deprivation index against mortality. 13 While Singh and colleagues' study is important for its use of modeling to construct an index associated with important outcomes, an index that supports clinical, public health, or policy interventions needs data at the subcounty level.

To prepare for the broader use of data on the social determinants of health, the National Committee on Vital and Health Statistics, a statutory advisory body to the HHS secretary, is identifying approaches for improving access to local data. The Office of the Assistant Secretary for Planning and Evaluation at HHS has been charged with developing a plan for using social determinants data to adjust Medicare payments,14 and there are calls for using social-determinants-ofhealth adjustments for quality measures more broadly. 15,16 A recent Centers for Medicare and Medicaid Services proposed rule asks whether a measure of "performance of activities for use of standardized processes for screening for social determinants" should be included in the Merit-Based Incentive Payment System, part of a broader Medicare reform law passed in 2015.<sup>17</sup> These federal efforts increase the availability of data on social determinants of health and incentives for addressing population health, but they

also raise concerns that policy makers are driving data enumeration and collection without sufficient evidence to guide these activities. Appendix A describes organizational efforts to capture and address social determinants.<sup>18</sup>

The Social Vulnerability Index, developed within the Centers for Disease Control and Prevention (CDC), uses fifteen social factors to identify census tracts most likely to need support from health services following hazardous events.<sup>19</sup> This index has not been evaluated against outcomes to test associations, provide factor weighting, or eliminate collinear variables. For health care, the United States needs an empirical model for organizing and weighting social-determinants-of-health variables to understand how these variables are associated with health outcomes.

The Robert Graham Center, the policy institute affiliated with the American Academy of Family Physicians, developed the Social Deprivation Index (Exhibit 1), using data on neighborhood social determinants of health, to model health outcomes and health service use and to study the stability of the model across different geographies. The index was modeled on efforts in New Zealand and the United Kingdom, where deprivation indices have been used for more than two decades to allocate health care resources and identify "hot spots"—clusters of high health care utilizers in poor health—and "cold spots"—resource-poor communities with unmet need for health services. 21

In this article we describe the social deprivation indices developed in New Zealand and the United Kingdom, explore their potential application in the United States, and identify international opportunities to improve the utility of social-determinants-of-health data. Finally, we examine how indices measure social gradients in health outcomes to identify communities with higher or lower levels of deprivation than expected.<sup>22</sup>

### **International Deprivation Indices**

NEW ZEALAND INDEX OF DEPRIVATION The New Zealand Index of Deprivation project began in the mid-1990s to assist with resource allocation in health services. <sup>23</sup> National and regional stakeholders expressed frustration that resource allocation lacked a readily available, theoretically robust, reliable, and validated tool for the measurement of socioeconomic position. <sup>24</sup> In response, the New Zealand Index of Deprivation, a small-area index of socioeconomic deprivation, was created from national census data, and based on international research, with three purposes in mind: resource allocation, commu-

nity advocacy, and research.

The New Zealand Index of Deprivation was built around the idea that deprivation is "a state of observable and demonstrable disadvantage relative to the local community or the wider society or nation." <sup>25(p125)</sup> It can involve both material and social deprivation, where material deprivation involves the goods, services, resources, amenities, physical environment, and location of life, and social deprivation involves the roles, relationships, functions, customs, rights, and responsibilities of membership of society. <sup>25</sup>

The New Zealand Index of Deprivation is used extensively, and its fifth iteration in 2013 combines nine variables from the 2013 census that reflect eight dimensions of socioeconomic deprivation (Exhibit 2). Principal components analysis was used to create the index, which provides a deprivation score for each Meshblock, a smallarea geographic unit containing a median of approximately eighty people.<sup>26</sup>

The Ministry of Health uses the index to explore health variation and differentially allocate funds to local health care providers. Local governments use the index maps to visualize the diversity and neediness of local communities as a tool for service planning.<sup>24</sup> An exploratory 2013 New Zealand Index of Deprivation atlas is available.<sup>27</sup> Further details concerning the construction of the index are available elsewhere.<sup>24,28</sup>

The national Population-based Funding Formula for health services uses the New Zealand Index of Deprivation for needs-based resource allocation. New Zealand's health system is large-

### EXHIBIT 1

### US Social Deprivation Index factors and weighting

Description of variables	Component weight
Single-mother household	0.861
Population below poverty	0.828
Rate of no car ownership	0.760
Less than 12 years' schooling	0.753
Renter-occupied housing	0.734
Nonemployed	0.704
Percent overcrowded	0.609
Percent black	0.511
High-need age group	0.379
	Variables Single-mother household Population below poverty Rate of no car ownership Less than 12 years' schooling Renter-occupied housing Nonemployed Percent overcrowded Percent black

**SOURCE** Butler DC, Petterson S, Phillips RL, Bazemore AW. Measures of social deprivation that predict health care access and need within a rational area of primary care service delivery (see Note 20 in text).

ly funded by the national government, but most health care practices are private businesses. The formula is used to distribute the bulk of health funding, aiming to provide each District Health Board with similar relative resources to respond to the needs of its population.<sup>29</sup> The formula covers a range of health services including primary care, hospitalization, community care services, health services for older people, and mental health services.<sup>29</sup>

The formula adjusts the population in each region using the New Zealand Index of Deprivation, ethnicity (Māori, Pacific, or other), and

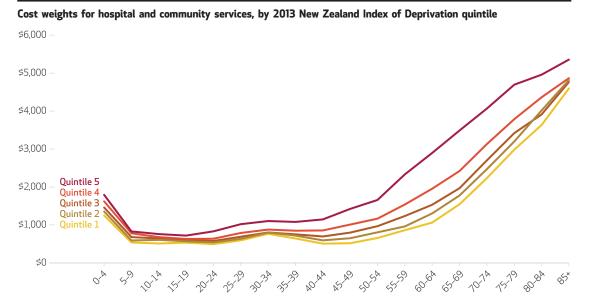
### EXHIBIT 2

### 2013 New Zealand Index of Deprivation element descriptions and weighting

Dimension of deprivation	Description of variables	Component weight
Communication	People under age 65 with no access to the Internet at home	0.372
Income	People ages 18-64 receiving a means tested benefit	0.364
Income	Equivalized household income below threshold <sup>a</sup>	0.356
Employment	People ages 18-64 unemployed	0.338
Qualifications	People ages 18–64 without high school or postsecondary qualification	0.332
Owned home	People not living in own home	0.322
Support	People age under 65 living in a single-parent family	0.317
Living space	Equivalized households below a bedroom occupancy threshold	0.303
Transport	People with no access to a car	0.286

**SOURCE** Ministry of Health. Population-based Funding Formula Review: 2015 technical report (see Note 29 in text). \*Equivalence scales are "measures of the relative incomes needed by different types of families to attain the same material standard of living" See Whiteford P. A family's needs: equivalence scales, poverty, and social security. Canberra: Department of Social Security, Development Division; 1985. Equivalized household income was used for calculating the income variable so that, for example, the standard of living of a household consisting of a single person with an income of \$40,000 could be compared to that of a household consisting of two adults and six children with an income of \$40,000. Household equivalized poverty thresholds were guided by research and set to include 15 percent of people (see Note 29 in text).

### EXHIBIT 3



**SOURCE** Ministry of Health. Population-based Funding Formula Review: 2015 technical report (see Note 29 in text). **NOTE** Cost weights are in New Zealand dollars.

sex; areas with greater deprivation receive more funding. <sup>29</sup> Exhibit 3 provides an example of payment weights for hospital and community services by New Zealand Index of Deprivation quintile. The second use of the New Zealand Index of Deprivation in the formula is in one of three additional adjusters applied to compensate for rurality, immigrants and refugees, and unmet needs. The latter adjustment reduces costly hospital readmissions resulting from unmet need and is based on ethnicity and the New Zealand Index of Deprivation. The amount of funding allocated via the unmet needs factor is calibrated according to calculations of excess "unmet need" in the highest-need sectors of the population. <sup>29</sup>

UNITED KINGDOM INDEX OF MULTIPLE DEPRIVA-TION Contemporary research into area-based deprivation in the United Kingdom began following the release of 1966 census data for small areas. Sally Holtermann used eighteen variables from the 1971 census representing housing conditions, unemployment, occupational social class, "special needs" or dependent populations, and housing tenure to explore geographic variations in deprivation.<sup>30</sup> Peter Townsend made the theoretical distinction between poverty and deprivation, the latter of which can include poverty but other forms of material and social disadvantage, too, and extended Holtermann's work using data from the 1981 UK census.<sup>25</sup> Townsend's index used four indicators of deprivation (unemployment, household overcrowding, non-home ownership, and non-car ownership) by Census Ward in England and Wales. Each indicator was

selected for its theoretical ability to measure social or material deprivation and was predicated on the availability of 1981 census data.31 In Scotland, Vera Carstairs and Russell Morris used four variables derived from the 1981 UK census (male unemployment, lack of car ownership, low social class, and household overcrowding) by postcode sector; as in the work of Townsend, the level of deprivation was calculated as the sum of the zscores of the four variables.<sup>32</sup> Both indices were used to better understand health inequalities, independently in the United Kingdom and Scotland. For example, the Townsend Index demonstrated that the widening inequalities in Britain during the 1970s and 1980s were real and worse than estimated by the Black Report, a seminal study demonstrating wide disparities in health outcomes based on social class in the United Kingdom.33

The UK government developed its own Index of Local Conditions in 1991 and the Index of Local Deprivation in 1998. Both indices were produced at three spatial scales based on the 1991 census boundaries: Enumeration District (approximately 101,000 districts with an average of 420 people); Census Ward (approximately 8,620 wards with an average of 5,000 people); and Local Authority District (354 districts in 1998 with an average of 122,000 people). At the Local Authority District scale, the Index of Local Deprivation included twelve indicators, while the Enumeration District and Census Ward scales used five and six indicators, respectively. 34 Concerns about dependence on decennial cen-

sus data, which could become dated, for guiding investments in deprived communities led to enhancements in the electronic collection of data.

In 2000 the English Indices of Multiple Deprivation, built on the Index of Local Deprivation and using new, routinely collected data, incorporated a combination of direct (employment, education, housing, geographic access) and indirect (income, health) measures (Exhibit 4). However, because the population distribution of Census Wards varies immensely within countries, Wales, Northern Ireland, and Scotland have used an "intermediate" geographic scale to measure deprivation. Intermediate geographies (mean of 4,000 people) were aggregations of Output Areas—the smallest UK census areas, containing approximately 300 people each—and were designed to be small enough to reflect neighborhoods while being large enough to be statistically robust. In addition, their populations were designed to be more equally distributed than the existing small area census boundaries (Output Areas or Census Wards). A particular strength of the Indices of Multiple Deprivation is that the domains of deprivation can be used independently or combined as an overall index of multiple deprivation.<sup>35</sup>

The initial allocation of funding for the National Health Service favored wealthier areas, which risked widening health inequalities.<sup>36</sup> The political response was to allocate the health budget according to need. The resulting formula to incorporate population need into allocation decisions considered population distribution, sex, age, and hospital volume, and it introduced weighted capitation. Initially, funding adjustments focused on hospital and resource equity;

in the late 1990s, prescriptions and primary care were added to adjustment considerations.<sup>37</sup>

The Index of Local Deprivation and then Indices of Multiple Deprivation informed the government's allocation of health and social resources. For example, between 2008 and 2011, Local Authorities were eligible to receive a share of £1.5 billion based on their ranking in three deprivation domains.<sup>38</sup> The National Health Service also used the English Indices of Multiple Deprivation (2004, 2007) as part of its weighted capitation funding modeling, allocating £85 million to primary care trusts and deprivation-weighted bonuses to physicians.<sup>39</sup>

Two separate studies found that the 2000 Indices of Multiple Deprivation were more effective for reaching the poor and reducing inequalities than were previously used methods, and that the use of the indices in a weighted capitation formula was associated with a significant reduction in absolute inequalities between the least and most deprived communities for causes amenable to health care. <sup>40,41</sup> A tool for exploring the 2015 Indices of Multiple Deprivation is available online. <sup>42</sup>

The United Kingdom continues to wrestle with how to simplify payment formulas to improve transparency without losing specificity for targeting inequality. Some researchers also argue for greater local resource decision-making flexibility regarding funding clinical versus community services, and for configuring and integrating health services to improve health outcomes.<sup>37</sup>

Between 2001 and 2007 the Department of Communities and Local Government allocated £2.9 billion to ninety-one Neighborhood Renewal Funds and £2 billion to New Deal for Commu-

### EXHIBIT 4

English Index of Multiple Depriv	vation element descriptions and weighting	
Dimension of deprivation	Description of variables	Component weight
Income deprivation	Includes both people who are out of work and people who are working but have low earnings (and who satisfy the respective means tests)	22.5%
Employment deprivation	Proportion of the working-age population in an area involuntarily excluded from the labor market	22.5%
Education, skills and training deprivation	Lack of attainment and skills in the local population	13.5%
Health deprivation and disability	Premature death and the impairment of quality of life through poor physical or mental health	13.5%
Crime	Risk of personal and material victimization at the local level	9.3%
Barriers to housing and services	Physical and financial accessibility of housing and local services People under age 65 living in a single-parent family (geographic and affordability barriers)	9.3%
Living environment deprivation	Quality of housing, air quality, road traffic accidents	9.3%

**SOURCE** Smith T, Noble M, Noble S, Wright G, McLennan D, Plunkett E. The English Indices of Deprivation 2015: technical report. London: Department for Communities and Local Government; 2015.

nities areas using the Indices of Multiple Deprivation. Both programs aim to reduce social and economic inequalities through community partnership and regeneration. By 2007 there was evidence of health improvements among the most deprived areas, including a reduction in cardiovascular mortality disparities.<sup>43</sup>

## A Social Deprivation Index In The United States

LEARNING FROM PEERS As the United States considers how to use social determinants of health to reduce health disparities and allocate resources for health care, it can look to the experience of peer nations. These case studies suggest that the United States should start with social-determinants-of-health indices based on ecological data, enabling rapid data acquisition and use, while reducing the marginal costs for health practices. Using ecological data, in which at least one observation is measured at the population level, is more efficient than collecting data from individuals.

The Social Deprivation Index developed by the Robert Graham Center is one US index similar to indices in the United Kingdom and New Zealand that has been tested for use. The CDC's Social Vulnerability Index is a laudable demonstration and may be another good option with empirical testing and weighting. Appendix B compares the dimensions included across deprivation indices. We believe that the Office of the Assistant Secretary for Planning and Evaluation is the HHS agency best positioned to lead such an effort.

shared international exploration Concerns in the United States about using ecological data provide an opportunity for collaboration among researchers, policy makers, and health systems both domestically and internationally. Federally qualified health centers and clinical systems such as Hennepin Health, which routinely collect data on social determinants of health data at the individual level, are natural laboratories for studying individual versus neighborhood measurement of these determinants. International research collaborations can also aid in understanding how index elements and weightings are associated with outcomes.

There is a shared opportunity to learn more about clinical applications of indices to individuals and populations, including growing interest in the United States for creating Community Vital Signs, which communicate patient-level risk for bad health outcomes.<sup>44</sup> Clinics in the United States have used social-determinants-of-health data within a geospatial mapping envi-

# Policy makers and researchers share a need to better understand which policy applications may reduce disparities.

ronment to better understand whom they serve and understand community characteristics. <sup>21,45</sup> Policy makers and researchers also share a need to better understand which policy applications may reduce disparities. Justifying and improving social determinants of health-derived policies would benefit from research and evaluation of applications and interventions.

### **Discussion**

**POSITIVE AND NEGATIVE DEVIANTS** Deprivation indices that have been tested against health outcomes not only illuminate health inequalities but also highlight communities whose health outcomes are better or worse than would be predicted by their levels of deprivation. A collective opportunity exists to evaluate and learn from outlier communities: those that appear to be more resilient (better-than-predicted health outcomes) or more affected by social determinants of health than others are. 46,47 Identifying how resilient communities overcome deprivation can provide a blueprint for similar communities to potentially replicate.

LIMITATIONS OF INDICES While deprivation indices hold great promise, several caveats merit future research. First, researchers and policy makers may disagree over the criteria required to judge the validity of indices, particularly when each performs differently depending on the selected test of validity. This means that decisions cannot be completely driven by evidence and will require researchers and policy makers to continuously evaluate and modify them. Second, the configuration of administrative boundaries and scale at which analyses are conducted can significantly affect results and interpretations. Users must be mindful of the modifiable areal unit problem, which observes that aggregated values vary depending on how underlying area bound-

aries are drawn, and thus optimize their data and geographical boundaries in a way that mitigates these errors. 48 Relatedly, small-area census geographies are susceptible to boundary changes over time, which can be mitigated through data harmonization techniques.49 Third, there is debate over whether it is appropriate to apply arealevel measures of deprivation to individuals. Using current indices as proxies for individual characteristics risks ecological fallacy, where false conclusions are made about individuals based on group data. In New Zealand, researchers found weak correlation between small-area and individual deprivation indices: Nondeprived individuals lived in communities with poor index scores, and vice versa.50 However, New Zealand researchers have found that the likelihood and magnitude of the error decreases with smaller geographic units.

### Conclusion

The United States lacks a nationally agreed-upon strategic approach for reducing health disparities and for bringing social determinants of health into efforts to do so. It lags behind other countries and behind innovative communities within its borders in addressing the health impact of social inequities through clinical and policy interventions, including adjusting resource allocation according to need. Collectively, these experiences construct a compelling case for developing and building consensus around a deprivation index for the United States derived from ecological data. The Robert Graham Center's Social Deprivation Index offers one option on which to build. The Social Vulnerability Index offers a platform of small-area data managed by the CDC that appears ripe for development into a weighted index. The Office of the Assistant Secretary for Planning and Evaluation, which is responsible for developing a plan for using social determinants data to adjust health care payments, should have a vested interest in developing a reliable index. New Zealand and the United Kingdom offer decades of experience in the use of such indices. The United States could learn from the evidence of health outcome improvements in those countries as it pursues both financial savings and better health for all. ■

### NOTES

- 1 Marmot M, Friel S, Bell R, Houweling TAJ, Taylor S. Closing the gap in a generation: health equity through action on the social determinants of health. Lancet. 2008;372(9650):1661–9.
- 2 Institute of Medicine. Primary care and public health: exploring integration to improve population health. Washington (DC): National Academies Press; 2012.
- 3 Institute of Medicine. Capturing social and behavioral domains in electronic health records: phase 1. Washington (DC): National Academies Press; 2014.
- **4** Institute of Medicine. Capturing social and behavioral domains and measures in electronic health records: phase 2. Washington (DC): National Academies Press; 2014.
- 5 Institute of Medicine. For the public's health: the role of measurement in action and accountability. Washington (DC): National Academies Press; 2011.
- 6 Urban Institute. National Neighborhood Indicators Partnership [home page on the Internet]. Washington (DC): Urban Institute; c 2015 [cited 2016 Oct 3]. Available from: http://www.neighborhoodindicators.org/
- 7 Acevedo-Garcia D, McArdle N, Hardy EF, Crisan UI, Romano B, Norris D, et al. The Child Opportunity Index: improving collaboration between community development and public health. Health Aff (Millwood). 2014; 33(11):1948–57.

- 8 Brandeis University, Heller School for Social Policy and Management. diversitydata.org [Internet]. Waltham (MA): Brandeis University; c 2016 [cited 2016 Oct 3]. Available from: http://www.diversitydata.org
- 9 Blewett LA, Owen RA. Accountable care for the poor and underserved: Minnesota's Hennepin Health model. Am J Public Health. 2015;105(4): 622-4.
- 10 Sandberg SF, Erikson C, Owen R, Vickery KD, Shimotsu ST, Linzer M, et al. Hennepin Health: a safety-net accountable care organization for the expanded Medicaid population. Health Aff (Millwood). 2014;33(11): 1975–84.
- 11 Krieger N, Chen JT, Waterman PD, Rehkopf DH, Subramanian SV. Painting a truer picture of US socioeconomic and racial/ethnic health inequalities: the Public Health Disparities Geocoding Project. Am J Public Health. 2005;95(2): 312–23.
- 12 Krieger N, Waterman PD, Spasojevic J, Li W, Maduro G, Van Wye G. Public health monitoring of privilege and deprivation with the Index of Concentration at the Extremes. Am J Public Health. 2016;106(2):256-63.
- 13 Singh GK, Azuine RE, Siahpush M, Kogan MD. All-cause and causespecific mortality among US youth: socioeconomic and rural-urban disparities and international patterns. J Urban Health. 2013;90(3):388–405.
- 14 National Academy of Medicine. Ac-

- counting for social risk factors in Medicare payment. Washington (DC): National Academies Press; 2016.
- **15** Fiscella K, Burstin HR, Nerenz DR. Quality measures and sociodemographic risk factors: to adjust or not to adjust. JAMA. 2014;312(24): 2615–6.
- 16 National Quality Forum. Risk adjustment for socioeconomic status or other sociodemographic factors. Washington (DC): National Quality Forum; 2014 Aug [cited 2016 Oct 3]. Available for download from: http://www.qualityforum.org/Publications/2014/08/Risk\_Adjustment\_for\_Socioeconomic\_Status\_or\_Other\_Socio demographic\_Factors.aspx
- 17 Centers for Medicare and and Medicaid Services, Medicare Program: Merit-Based Incentive Payment System (MIPS) and Alternative Payment Model (APM) incentive under the physician fee schedule, and criteria for physician-focused payment models. Proposed rule. Federal Register [serial online]. 2016 May 9 [cited 2016 Oct 3]. Available from: https://www.federalregister.gov/ documents/2016/05/09/2016-10032/medicare-program-meritbased-incentive-payment-systemmips-and-alternative-paymentmodel-apm
- **18** To access the Appendix, click on the Appendix link in the box to the right of the article online.

- 19 Flanagan BE, Gregory EW, Hallisey EJ, Heitgerd JL, Lewis B. A social vulnerability index for disaster management. J Homel Secur Emerg Manag. 2011;8(1):Article 3.
- 20 Butler DC, Petterson S, Phillips RL, Bazemore AW. Measures of social deprivation that predict health care access and need within a rational area of primary care service delivery. Health Serv Res. 2012;48(2 Pt 1): 539–59.
- 21 Westfall JM. Cold-spotting: linking primary care and public health to create communities of solution. J Am Board Fam Med. 2013;26(3):239–40.
- 22 Exeter D, Flowerdew R, Boyle P.
  Policy implications of pockets of
  deprivation in Scotland. In: Wise S,
  Craglia M, editors. GIS and evidencebased policy making. Boca Raton
  (FL): CRC Press; 2007.
- 23 Salmond C, Crampton P, Sutton F. NZDep91: A New Zealand Index of Deprivation. Aust NZ J of Public Health. 1998;22(7):835–7.
- 24 Salmond CE, Crampton P. Development of New Zealand's Deprivation Index (NZDep) and its uptake as a national policy tool. Can J Public Health. 2012;103(8):S7–S11.
- **25** Townsend P. Deprivation. J Soc Policy. 1987;16(02):125–46.
- 26 Atkinson J, Salmond C, Crampton P. NZDep2013 Index of Deprivation [Internet]. Wellington: University of Otago, Department of Public Health; 2014 May [cited 2016 Oct 3]. Available from: http://www.otago.ac.nz/wellington/otago069936.pdf
- 27 Ministry of Health, Center for Public Health Research. New Zealand Index of Deprivation atlas [Internet]. Wellington: CPHR Online; [cited 2016 Oct 3]. Available from: http://cphronline.massey.ac.nz/dataviews/view?viewId=96
- 28 Salmond C, Crampton P. Measuring socioeconomic position in New Zealand. J Prim Health Care. 2012; 4(4):271–80.
- 29 New Zealand Ministry of Health.
  Population-based Funding Formula

- review: 2015 technical report [Internet]. Wellington: The Ministry; 2016 Mar 24 [cited 2016 Oct 3]. Available from: http://www.health.govt.nz/publication/population-based-funding-formula-review-2015-technical-report
- 30 Holtermann S. Areas of deprivation in Great Britain: an analysis of 1971 census data. Soc Trends. 1975;6: 43-8.
- **31** Townsend P. Poverty. New Statesman Soc. 1979;50(894):451.
- **32** Carstairs V, Morris R. Deprivation and health in Scotland. Aberdeen: Aberdeen University Press; 1991.
- **33** Black D, Morris J, Smith C, Townsend P. The Black Report: inequalities in Health. London: Department of Health and Social Security; 1980.
- **34** Department of the Environment, Transport, and the Regions. The 1998 Index of Local Deprivation: a summary of results. London: The Department; 1998.
- **35** Noble M, Wright G, Smith G, Dibben C. Measuring multiple deprivation at the small-area level. Environ Plan A. 2006;38(1):169–85.
- **36** Hart JT. The inverse care law. Lancet. 1971;297(7696):405–12.
- **37** Buck D, Dixon A. Improving the allocation of health resources in England. London: King's Fund; 2013.
- **38** UK Department for Communities and Local Government. Working Neighbourhoods Fund allocations. London: The Department; 2008.
- 39 UK Department of Health, Financial Planning and Allocations Division. Resource allocation: weighted capitation formula, 7th edition. Leeds: UK Department of Health; 2011.
- **40** Barr B, Bambra C, Whitehead M. The impact of NHS resource allocation policy on health inequalities in England 2001–11: longitudinal ecological study. BMJ. 2014;348:g3231.
- 41 Tunstall RL. Is targeting deprived areas an effective means to reach poor people? An assessment of one rationale for area-based funding programmes. London: London

- School of Economics; 2003.
- 42 UK Department for Communities and Local Government. Index of Multiple Deprivation explorer [home page on the Internet]. London: OpenDataCommunities.org; c 2015 [cited 2016 Oct 3]. Available from: http://opendatacommunities.org
- **43** UK Department for Communities and Local Government. The Working Neighbourhoods Fund. London: Department for Work and Pensions; 2007.
- 44 Bazemore AW, Cottrell EK, Gold R, Hughes LS, Phillips RL, Angier H, et al. "Community Vital Signs": incorporating geocoded social determinants into electronic records to promote patient and population health. J Am Med Inform Assoc. 2016;23(2):407-12
- **45** Bazemore A, Phillips RL, Miyoshi T. Harnessing geographic information systems (GIS) to enable community-oriented primary care. J Am Board Fam Med. 2010;23(1):22–31.
- **46** Tunstall H, Mitchell R, Gibbs J, Platt S, Dorling D. Is economic adversity always a killer? Disadvantaged areas with relatively low mortality rates. J Epidemiol Community Health. 2007; 61(4):337–43.
- **47** Mitchell R, Gibbs J, Tunstall H, Platt SD, Dorling D. Factors which nurture geographical resilience in Britain: a mixed methods study. J Epidemiol Community Health. 2009; 63(1):18–23.
- **48** Fotheringham AS, Wong DWS. The modifiable areal unit problem in multivariate statistical analysis. Environ Plan A. 1991;23(7):1025–44.
- 49 Exeter DJ, Boyle P, Feng Z, Flowerdew R, Schierloh N. The creation of "consistent areas through time" (CATTs) in Scotland, 1981– 2001. Popul Trends. 2005(119): 28–36.
- **50** Salmond C, Crampton P. Heterogeneity of deprivation within very small areas. J Epidemiol Community Health. 2002;56(9):669–70.

Phillips RL, Liaw W, Crampton P, Exeter DJ, Bazemore A, Vickery KD, et al. How other countries use deprivation indices—and why the United States desperately needs one. Health Aff (Millwood). 2016;35(11).

Appendix A: Government & Other Organizations with Roles in social determinants of health Policy

	Organization's contribution to social determinants	Current activities related to social determinants	Potential future role	Social determi- nants of health data collection	Social determinants of health measure creation	Interventions that address social determinants of health	Payment
States	Virginia and Connecticut have independently developed indices that capture deprivation.	Health Opportunities Index (Virginia) Health Equity Index (Connecticut)	Collection and dissemination of public health data  Funders of social determinants of health projects	x	х	X	
National Academy of Medicine	Identified domains that should be included in electronic health records and described opportunities for linking electronic health record data with public health organizations.  Created a framework for integrating public health and primary care	Domains proposed included race / ethnicity, education, financial resource strain, stress, depression, physical activity tobacco use, alcohol use, social connections, exposure to violence, and neighborhood and community	Curation of best practices  Synthesis of current evidence	x	x	x	

National Quality	Endorses clinical but not	Its nonulation health	Measurement	v	v		
National Quality Forum	Endorses clinical but not population health measures	Its population health framework discusses the process of selecting appropriate measures but does not endorse a set of measures.  Its Measure Applications Partnership vets specific measures within federal programs. It highlighted a need for more population health measures but did not comment on specific ones.	Measurement creation and validation around population health	x	x		
Centers for Disease Control and Prevention (CDC)	Programs to address social determinants Tools for putting social determinants into action Sources for data on social determinants	Has a repository of social determinants of data and does less to curate that list or push forward measures	Creation of a minimum data set, which could be used by providers and payers	х		x	

National Creation of a patient completed social determinants of health tool (PRAPARE - Procotol for responding to and assessing patient assets, risks, and experiences)  PRAPARE's tool includes testing and standardizing assessment of patient social needs situation, education, insurance, income, unmet needs, social interventions that
Community Health Centers  of health tool (PRAPARE - migrant status, family structure, housing assessing patient assets, risks, and experiences)  insurance, income, unmet needs, social  of health tool (PRAPARE - migrant status, family structure, housing situation, education, insurance, income, unmet needs, social interventions that
Health Centers  Procotol for responding to and assessing patient assets, risks, and experiences)  Procotol for responding to and structure, housing situation, education, insurance, income, unmet needs, social interventions that
assessing patient assets, risks, and experiences) situation, education, insurance, income, unmet needs, social interventions that
and experiences) insurance, income, Creation of unmet needs, social interventions that
unmet needs, social interventions that
indiction level income and description
isolation, legal issues, address social
transportation, refugee determinants of
status, and safety. health
National The committee assists and Population Health Creation of a x
Committee on advises on health data, subcommittee minimum data set,
Vital Statistics statistics, privacy, national developing a set of which could inform
administered by health information policy, and "core" measurement delivery and
CDC) strategy. domains that payment
encompass metrics that adjustment
help describe
population health
outcomes and well-
being of communities
Health IT Policy Stage 3 Meaningful Use aimed Stage 3 Meaningful Use Provide guidance x x
Committee to improve health outcomes asks for collection of around integrating
(Office of the and asked electronic health occupation and industry public health and
National records to collect social codes, sexual electronic health
Coordinator) information and connect orientation, and gender records, detail
practices to registries identity. Electronic electronic health
health records also record data
need to report to collection capacity
population and public requirements
health registries.

Health and	In its advisory role, the	Payment adjustment	Provide a model for		х
Human Services,	Assistant Secretary for	using social	incorporating social		
Assistant	Planning and Evaluation will	determinants of health	determinants of		
Secretary for	be developing social		health into payment		
Planning and	determinants of health				
Evaluation	payment adjustment				
	recommendations				
Centers for	Accountable health	The accountable	Creation of a		Х
Medicare and	communities	health communities	geographic		
Medicaid		promote clinical-	adjustment of		
Services	Comprehensive primary care	community	payment		
	payment model that includes	collaboration			
	functions to meet social				
	needs	CMS adjusts Medicare			
		payment based on			
		input costs, such as			
		physician wages and			
		rent but does not			
		adjust payments to			
		account for			
		differences in			
		sociodemographic			
		factors.			

**Appendix B.** Comparison of Deprivation Indices Dimensions

Country	Geographic unit	Dimension of deprivation	Description of variable
New Zealand New Zealand Deprivation Index*	Meshblock (~100 people)	Communication	No access to the internet at home
		Income	Receiving a means tested benefit Living in equivalized <sup>6</sup> households with income below an income threshold
		Employment	Unemployed
		Education	No high school degree
		Housing	Not living in own home Living in equivalized <sup>6</sup> households below a bedroom occupancy threshold
		Household	Single parent family
		Transportation	No access to a car

United Kingdom Indices of Multiple Deprivation**	Neighborhoods (~1500 people)	Income	Receiving income support
Беричаской		Employment	Receiving unemployment support
		Education, Skills, and Training	Meeting specific educational milestones
			English proficiency
		Health Deprivation and Disability	Years of potential life lost
			Disability
			Morbidity
			Mood and anxiety prevalence
		Crime	Violence
			Bulgary
			Theft
			Criminal damage
		Barriers to Housing and Services	Distance to post office, primary school,
			supermarket, and general practice
			Crowding
			Homelessness
			Housing affordability
		Housing and Neighborhood	Housing in poor condition
			Houses without central heating
			Air quality indicator
			Road traffic accidents indicator

United States Social Vulnerability Index <sup>¥</sup>	Census tract (mean ~4000 people)	Income	Below poverty Income
		Employment	Unemployed
		Education	No high school diploma
		Demographics	Aged 65 or older
		- 1	Aged 17 or younger
			Older than age 5 with a disability
		Household	Single parent
		Demographics	Minority
			Speaks English "Less than Well"
		Housing	Multi-unit structures
			Mobile homes
			Crowding
			Group quarters
		Transportation	No vehicle
United States social deprivation index <sup>§</sup>	Primary care service area (mean ~40,000 people; median ~15,000)	Income	Below poverty
		Employment	Unemployed
		Household	Single parent family
		Demographics	Black
			High Need Age Group: Under 5, Female aged 15-44
		Education	Less than 12 years of schooling
		Transportation	No car
		Housing	Renter occupied
			Crowding

### Sources:

- \*New Zealand Deprivation Index; New Zealand Ministry of Health. *Population-Based Funding Formula Review: 2015 Technical Report.*; 2016. http://www.health.govt.nz/publication/population-based-funding-formula-review-2015-technical-report. Accessed May 26, 2016.
- \*\*Index of Multiple Deprivation; Department for Communities and Local Government. *The English Indices of Deprivation 2015.*; 2015.

https://www.gov.uk/government/uploads/system/uploads/attachment\_data/file/465791/English\_Indices\_of\_Deprivation\_2015\_ -\_Statistical\_Release.pdf. Accessed May 26, 2016.

¥Social Vulnerability Index; Centers for Disease Control and Prevention. *Social Vulnerability Index 2014 Documentation.*; 2016. http://svi.cdc.gov/Documents/Data/2014\_SVI\_Data/SVI2014Documentation.pdf. Accessed May 26, 2016. §Social Deprivation Index; Butler DC, Petterson S, Phillips RL, Bazemore AW. Measures of Social Deprivation That Predict Health Care Access and Need within a Rational Area of Primary Care Service Delivery. *Health Serv Res.* 2013;48(2pt1):539-559. Notes: Variables in the "Description of variable" column are summaries and not comprehensive Equivalization is a method used to control for household composition.