CHICAGO HOSPITALS AND THE AFFORDABLE CARE ACT

New Opportunities for Prevention

March 2014







Dear Friends,

When Mayor Emanuel and I announced Healthy Chicago in 2011, we pledged to improve access to care by working together with partners and residents across our city. Today, Chicago's hospitals have more opportunities to provide more residents quality, preventative care, thereby maximizing their health and wellness.

As the Patient Protection and Affordable Care Act (ACA) is implemented, much of the discussion has focused on opportunities to provide health care coverage for the nation's uninsured. However, the ACA provides other historic opportunities to increase access to care –including the requirements that charitable hospitals conduct periodic community health needs assessments and implementation plans. These plans will improve population health, reduce costs and result in better quality care. Furthermore, these plans provide new opportunities for hospitals to invest in upstream interventions – working to make policy, systems and environment improvements

that will impact the communities in which they serve.

This defined focus on community improvement is similar to the work being done by local health departments for decades. The attention to population health creates a clear and distinct opportunity for hospitals to not only partner with local health departments like the Chicago Department of Public Health, but also to partner with one another to improve the health of community members in overlapping service areas. Throughout this report, you will see that as different as Chicago's hospitals may be, they are quite similar in their concerns about the public's health.

We hope that this report will help you better identify key levers for change in the community you serve, including those hospitals working toward the same goals. Most importantly, we hope this report can inspire a spirit of collaborative innovation among hospitals and health systems to work with one another and the Chicago Department of Public Health to seize this historic moment and improve access to care across our City.

Together, we can make Chicago the healthiest city in the nation.

Bechara Choucair, M.D.

Commissioner, Chicago Department of Public Health

BACKGROUND

On March 23, 2010, the Patient Protection and Affordable Care Act (ACA) was signed into law. While most widely touted for providing a pathway for healthcare coverage for millions of uninsured Americans, the ACA has also provided numerous opportunities for public health and prevention.

To date, most discussions about public health prevention have focused on the ACA's Prevention and Public Health Fund (PPHF). The PPHF was established to expand and sustain national investments in prevention and public health, to improve health outcomes, and to enhance health care quality. In Chicago, PPHF has already invested millions of dollars in a broad range of evidence-based activities, including surveillance, public health infrastructure, immunizations and screenings, tobacco prevention, and obesity prevention.

The PPHF investments, along with expanded insurance coverage for selected screening services, are explicitly identified under the ACA as health promotion and disease prevention opportunities. However, there are also significant opportunities for prevention among hospitals that have received less attention thus far.

This report briefly summarizes new requirements for charitable hospitals, discuss the findings of this work thus far among Chicago hospitals, and highlight best and promising public health practices for addressing selected health and public health issues prioritized by these hospitals.

NEW REQUIREMENTS FOR CHARITABLE HOSPITALS

The Affordable Care Act imposed four general requirements on charitable 501(c)(3) hospitals. Under the ACA, each hospital must:

- establish written financial assistance and emergency medical care policies,
- limit amounts charged for emergency or other medically necessary care to individuals eligible for assistance under the hospital's financial assistance policy,
- make reasonable efforts to determine whether an individual is eligible for assistance under the hospital's financial assistance policy before engaging in extraordinary collection actions against the individual, and
- conduct a Community Health Needs Assessment (CHNA) and adopt an implementation strategy at least once every three years.

The CHNA requirements are effective for tax years beginning after March 23, 2012, and excise taxes can be imposed on hospitals for failure to meet this requirement. CHNAs are due based on hospitals' taxable years, which can be different. At the time of this report's completion, 16 Chicago hospitals had posted their CHNAs for public review.

The CHNA provides an unprecedented opportunity to connect health care and public health. Historically, many (but not all) hospitals have defined needs based on the conditions with which their patients present. Through the CHNA processes, hospitals are looking outside of their walls and focusing on the broader communities that comprise their service areas. This is an activity familiar to the public health community and its traditional focus on population health.

CHARITABLE CONTRIBUTIONS FROM CHICAGO HOSPITALS

CHARITABLE CONTRIBUTIONS CHICAGO HOSPITALS, 2011



Medicare/Medicaid Shortfalls \$501,490,973 (35%)



Community Health Services \$88,032,949 (6%)



Free Care \$479,151,189 (33%)



Research \$108,244,032 (7%)



Medical Education \$208,776,483 (14%)



Donations and Volunteerism \$49,978,910 (3%)



Language Services \$6,637,200 (1%) In 2011, Chicago hospitals collectively reported providing \$1.4 billion annually in charitable contributions to the communities they serve. One-third of these contributions are attributed to free hospital care which includes charity care for those with no or inadequate coverage and bad debt. It is anticipated that with the dramatic increase in Chicago's insured population, scheduled to begin in January 2014 under the ACA, free care contributions will be reduced. What is not known at

this time is the extent to which those who become newly insured through the Health Insurance Marketplace will be able to afford their deductibles. Some of these costs could be assumed by the provider and be considered as free care. Further, despite the many benefits of the ACA, it contains no insurance provisions for most non-citizens. In Chicago, this translates to just over 108,000 residents.

APPROACH

As noted previously, under the ACA, the US Internal Revenue Service requires that all non-profit hospitals make their Community Health Needs Assessments available to the public through their websites. Deadlines for completing and posting the CHNAs vary depending on the hospitals' tax years. As of September 2013, 16 Chicago hospitals had completed and posted their assessments. CDPH staff reviewed each needs assessment.

The review focused on both the geographic areas served by each hospital and the key findings and priority health issues emerging from their assessments. These factors suggest opportunities for hospitals to work in partnership and leverage resources to address identified community needs.

KEY FINDINGS AND RECOMMENDED PRACTICES

There was considerable overlap in the priorities that emerged from the 16 hospital Community Health Needs Assessments that were completed and posted to the public by September 1, 2013. This section of the report is organized around these priorities. For each priority presented, information is included on the hospitals which selected that health issue and a map depicts the geographic service areas of those same hospitals. Finally, related interventions which have been scientifically reviewed and included in the Guide to Community Preventive Services (the Guide) are presented.

The Guide is useful for ensuring that existing resources are used most effectively. The Guide considers which program and policy interventions have been proven effective ("Recommended"), which have not ("Not Recommended"), and which require further evaluation ("Insufficient Evidence"). The Guide helps to answer questions, including:

- What interventions have and have not worked?
- In which populations and settings has the intervention worked or not worked?
- What might the intervention cost? What should I expect for my investment?
- Does the intervention lead to any other benefits or harms?
- What interventions need more research before we know if they work or not?

The Guide to Community Preventive Services is a free resource made available through the U.S. Centers for Disease Control and Prevention (CDC) that the public health community has relied upon to choose programs and policies to improve health and prevent disease. The Guide is informed by the CDC-appointed Community Preventive Services Task Force (Task Force), an independent, non-federal, unpaid panel of public health and prevention experts that provides evidence-based findings and recommendations about community preventive services, programs, and policies to improve health.

KEY PRIORITIES

Numerous priorities emerged from the hospital Community Health Needs Assessments. The table below lists some of the key priorities identified by hospitals in their assessments. Some hospital assessments identified additional priorities, such as medical research, that are not reflected in the table below. It is important to note that a decision by a hospital not to identify a specific condition as a priority should not be interpreted to mean that hospital is not concerned about nor recognizes the importance of the condition. In some cases, the hospital prioritized conditions relating to its principal function, as provided by federal regulations issued to guide hospitals in conducting their assessments. (See I.R.S./Treasury Notice 2011-52 at 14, available at http://www.irs.gov/pub/irs-drop/n-11-52.pdf.) Such was the case with at least one rehabilitation hospital listed below, which identified multiple rehabilitation conditions as key priorities. In other cases, a hospital may choose to focus its efforts elsewhere due to its limited resources. Other hospitals may have identified other priorities based on their scope of practice and expertise.

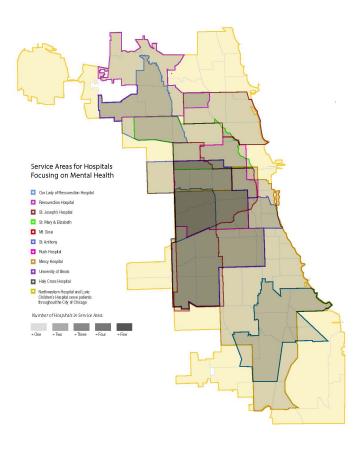
The academic medical centers, health systems, and hospitals in Chicago that conduct medical research and clinical trials are committed to advancing medical innovation. This establishes Chicago as a gateway for clinical research. Patients reap the benefits by having increased access to more treatment options when traditional techniques are exhausted. Therefore Chicagoans, who represent some of the most socioeconomically-diverse populations in the nation, have the opportunity to participate in cutting-edge clinical research, a key part of the effort to improve overall population health.

COMMUNITY HEALTH NEEDS ASSESSMENTS: KEY PRIORITIES Selected Chicago Hospitals										
Mental Health	Obesity	Access to Care	Diabetes	Heart Health	Chronic Disease	Respiratory Health	Violence	Social Determinants	Cancer	
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MENTAL HEALTH

Issues related to mental health were identified as priorities in 12 of the 16 completed CHNAs. Specific issues included suicide, depression, and hospitalizations related to drug and alcohol use, mood disorders and psychotic disorders. Hospitals mentioned the need for prevention efforts, most notably among young people, and a greater capacity for community-based treatment.

Hospitals prioritizing mental health: Ann & Robert H. Lurie Children's Hospital of Chicago, Holy Cross Hospital, Mercy Hospital and Medical Center, Mount Sinai Hospital, Northwestern Memorial Hospital, Presence Our Lady of Resurrection Medical Center, Presence Resurrection Medical Center, Presence Saint Joseph Hospital Chicago, Presence Saints Mary & Elizabeth Medical Center, Rush University Medical Center, Saint Anthony Hospital, and University of Illinois Hospital and Health Sciences System.



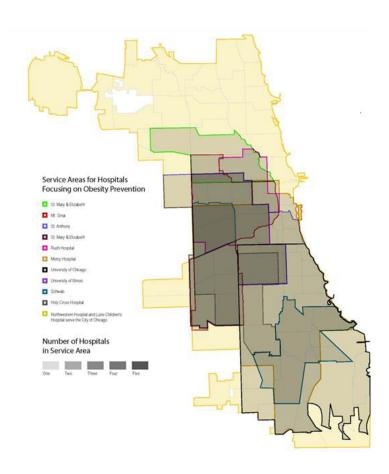
CDC GUIDE TO COMMUNITY PREVENTIVE SERVICES

MENTAL HEALTH INTERVENTIONS									
Collaborative care for the management of depressive disorders Mental health benefits legislation	Recommended Recommended	Interventions in Communit Home-based depression care management Clinic-based depression care management Community-based exercise interventions Findings available at http://www/thecommunityguide.org/mentalhealth/index.html	y Settings Recommended Recommended Insufficient Evidence						

OBESITY, NUTRITION, PHYSICAL ACTIVITY & WEIGHT CONTROL

Eleven of the 16 reviewed CHNAs identified obesity, nutrition, physical activity, and/or weight control as a priority issue. In 2013, the largest scale analysis ever conducted of childhood obesity in Chicago revealed the overall prevalence of overweight or obesity for kindergarten, sixth grade and ninth grade public school students was 43.3%. The latest available data show that 36.8% of Chicago adults are overweight and 27.2% are obese.

Hospitals prioritizing obesity: Ann & Robert H. Lurie Children's Hospital of Chicago, Holy Cross Hospital, Mercy Hospital and Medical Center, Mount Sinai Hospital, Northwestern Memorial Hospital, Presence Saints Mary & Elizabeth Medical Center, Rush University Medical Center, Schwab Rehabilitation Hospital, University of Chicago Medical Center, and University of Illinois Hospital and Health Sciences System.



CDC GUIDE TO COMMUNITY PREVENTIVE SERVICES

Recommended

Recommended

Recommended

Recommended

Recommended

OBESITY PREVENTION AND CONTROL Interventions in Community Settings Provider-Oriented Interventions Provider education

Behavioral Interventions to Reduce Screen Time Mass media interventions to reduce screen time **Technology-Supported Interventions**

Multicomponent coaching or counseling intervention to:

Reduce weight Maintain weight loss Interventions in Specific Settings

Interventions to Reduce Screen Time

Worksite programs School-based programs Recommended Provider feedback

Provider reminders Provider education with a client intervention

Multicomponent provider interventions

Multicomponent provider interventions with client interventions

Findings available at http://thecommunityquide.org/obesity/index.html

NUTRITION

School-based programs promoting nutrition and physical activity

 ${\it Findings available at http://the community guide.org/nutrition/index.html}$

Insufficient Evidence

Insufficient Evidence

Insufficient Evidence Insufficient Evidence

Insufficient Evidence

Insufficient Evidence

Insufficient Evidence

PHYSICAL ACTIVITY

Interventions in Community Settings

Campaigns and Informational Approaches

Community-wide campaigns Stand-alone mass media campaigns

Classroom-based health education focused on providing information

Behavioral and Social Approaches

Individually-adapted health behavior change programs

Social support intervention in community settings

Family-based social support

Enhanced school-based physical education

College-based physical education and health education

Classroom-based health education to reduce TV viewing and video game playing

Environmental and Policy Approaches

Community-scale urban design and land use policies

Creation of or enhanced access to places for physical activity combined with informational outreach activities

Street-scale urban design and land use policies Transportation and travel policies and practices

Point-of-decision prompts to encourage use of stairs

Findings available at http://thecommunityguide.org/pa/index.html

Recommended Insufficient Evidence

Insufficient Evidence

Recommended

Recommended Insufficient Evidence Recommended Insufficient Evidence Insufficient Evidence

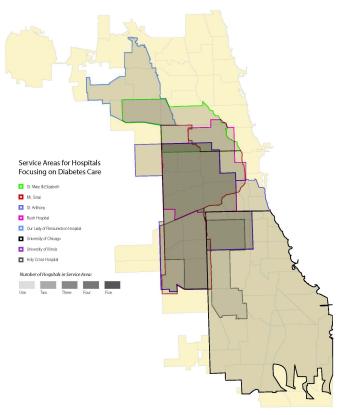
> Recommended Recommended Recommended

Insufficient Evidence Recommended

DIABETES

Diabetes emerged as a priority in the needs assessments conducted by eight Chicago hospitals. In 2009, the most recent year for which data are available, diabetes was the sixth leading cause of death in Chicago, accounting for 619 or 3.2% of all deaths that year. With an overall death rate of 26.3 per 100,000, rates were highest among African Americans (35.5) and Hispanics (34.2). Recognizing the inter-relationship between diabetes and obesity, all but one of the eight hospitals that identified diabetes as a priority, also prioritized obesity.

Hospitals prioritizing diabetes: Holy Cross Hospital, Mount Sinai Hospital, Presence Our Lady of Resurrection Medical Center, Presence Saints Mary and Elizabeth Medical Center, Rush University Medical Center, Saint Anthony Hospital, University of Chicago Medical Center and University of Illinois Hospital and Health Sciences System.



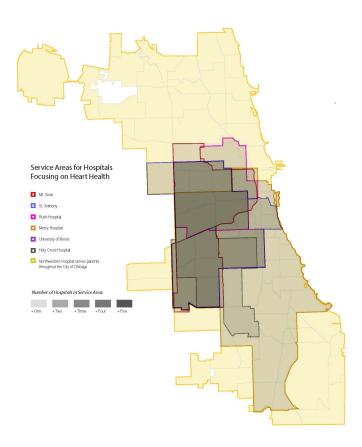
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DIABETES **Healthcare System Level Interventions** Case management interventions to improve glycemic control Recommended Disease management programs Recommended Self management education In community gathering places- Adults with Type 2 Diabetes Recommended In the home- Children and Adolescents with Type 1 Diabetes Recommended In the home-People with Type 2 Diabetes Recommended In recreational camps Insufficient Evidence In worksites Insufficient Evidence Insufficient Evidence In school settings Findings available at http://thecommunityquide.org/diabetes/index.html

HEART DISEASE & RELATED RISK FACTORS

Seven Chicago hospitals identified heart disease and related risk factors as priorities stemming from their Community Health Needs Assessments. In Chicago, diseases of the heart are the leading cause of death, accounting for 5,224 lives lost (27.3%) of all deaths in 2009. While heart disease is the leading cause of death for both males and females, deaths among males occur at a much higher rate (283.3) than among women (173.1).

Hospitals prioritizing heart disease: Holy Cross Hospital, Mercy Hospital and Medical Center, Mount Sinai Hospital, Northwestern Memorial Hospital, Rush University Medical Center, Saint Anthony Hospital, and University of Illinois Hospital and Health Sciences System.



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CARDIOVASCULAR DISEASE PREVENTION AND CONTROL

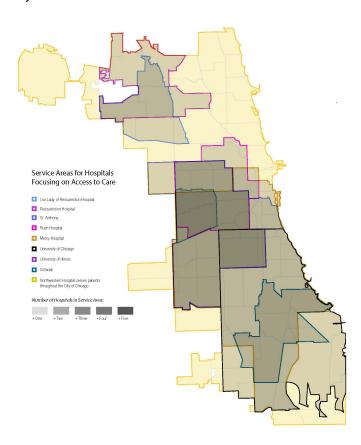
Clinical decision-support systems
Reducing out-of-pocket costs for CDV preventive services for patients with high blood pressure and high cholesterol
Team-based care to improve blood pressure control
Findings available at http://thecommunityguide.org/cvd/index.html

Recommended Recommended Recommended

ACCESS TO HEALTH CARE SERVICES

Ten hospitals identified issues related to health care access among the priorities emerging from their Community Health Needs Assessments. Access issues were identified not only to meet the need for medical care, but also for mental health, oral health, and vision services. There are an estimated 506,340 Chicagoans who currently lack health insurance. The vast majority of these residents will become eligible for coverage in January 2014 under the Affordable Care Act. However, over 100,000 are undocumented residents and therefore not eligible for ACA coverage.

Hospitals prioritizing access to health care services: Mercy Hospital and Medical Center, Mount Sinai Hospital, Northwestern Memorial Hospital, Presence Our Lady of Resurrection Medical Center, Presence Resurrection Medical Center, Presence Saint Joseph Hospital, Rush University Medical Center, Saint Anthony Hospital, Schwab Rehabilitation Hospital, University of Chicago Medical Center, and University of Illinois Hospital and Health Sciences System.

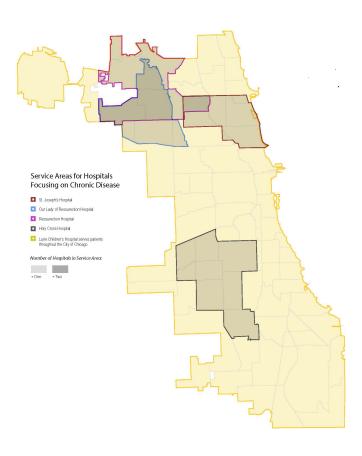


The Guide to Community Preventive Services does not identify recommended strategies for increasing access to care. However, since the 2010 passage of the Affordable Care Act, over \$42 million in federal funding has been awarded to increase the capacity and quality of services provided by Chicago's Federally Qualified Health Centers. Further federal and state investments of nearly \$15 million have been dedicated to supporting outreach, education and insurance enrollment efforts by more than 40 community based organizations, health centers, and other Chicago stakeholders.

CHRONIC DISEASE

In addition to specific conditions identified by hospitals, six hospitals identified chronic diseases as a priority. In most cases, concerns focused on the need for chronic disease prevention efforts, disease management needs, and the need to address complex chronic conditions.

Hospitals prioritizing chronic disease: Ann & Robert H. Lurie Children's Hospital of Chicago, Holy Cross Hospital, Presence Our Lady of Resurrection Medical Center, Presence Resurrection Medical Center, and Presence Saint Joseph Hospital Chicago.

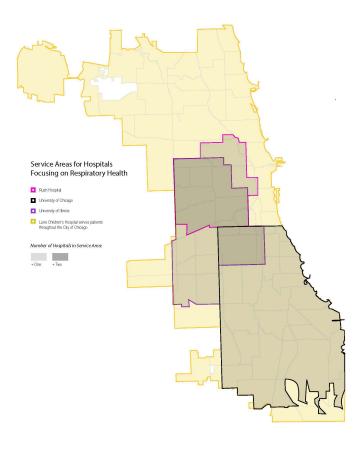


While the Guide to Community Preventive Services does not include interventions under a specific "chronic disease" category, relevant guidance is available through its reviews of interventions related to cardiovascular disease, diabetes, tobacco use, and more.

RESPIRATORY HEALTH

Conditions related to respiratory health, such as chronic obstructive pulmonary disease, were identified as priorities by four of the 16 hospitals whose Community Health Needs Assessments were reviewed. Most frequently mentioned was asthma.

Hospitals prioritizing respiratory health: Ann & Robert H. Lurie Children's Hospital of Chicago, Rush University Medical Center, University of Chicago Medical Center, and University of Illinois Hospital and Health Sciences System.



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ASTHMA

Home-based Multi-trigger, Multi-component Environmental interventions

For Children and Adolescents with Asthma For Adults with Asthma

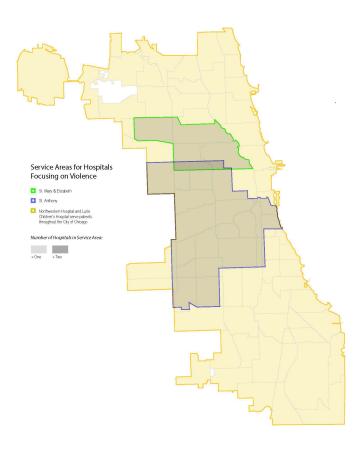
Findings available at http://thecommunityguide.org/asthma/index.html

Recommended Insufficient Evidence

VIOLENCE

Violence was identified as a priority by four Chicago hospitals. Areas of concern were broad and ranged from child abuse to gang activity and gun violence. The need for collaborative responses, drawing of the resources and commitments of community and other institutional partners was noted.

Hospitals prioritizing violence: Ann & Robert H. Lurie Children's Hospital of Chicago, Northwestern Memorial Hospital, Presence Saints Mary & Elizabeth Medical Center, and Saint Anthony Hospital.



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VIOLENCE

Early Childhood Home Visitation

To prevent child maltreatment

To prevent intimate partner violence

To prevent violence by parents (Other than child maltreatment or intimate partner violence)

To prevent violence by children

Firearm Laws

Bans on specified firearms or ammunition

Restrictions on firearm acquisition

Waiting periods for firearm acquisition

Firearm registration and licensing of firearm owners

"Shall issue" concealed weapons carry laws

Child access prevention (CAP) laws Zero tolerance of firearms in schools

Combinations of firearms laws

Reducing Psychological Harm from Traumatic Events

Cognitive-Behavioral Therapy (CBT)

Individual CBT

Group CBT

Other Therapies Play therapy

Art therapy

Psychodynamic therapy

Pharmacological therapy

Psychological debriefing

School-based Programs

School-based programs to reduce violence

Therapeutic Foster Care

For chronically delinquent juveniles

For children with sever emotional disturbance

Youth Transfer to Adult Criminal System

Policies facilitating the transfer of juveniles to adult justice systems

Findings available at http://thecommunityguide.org/violence/index.html

Recommended Insufficient Evidence

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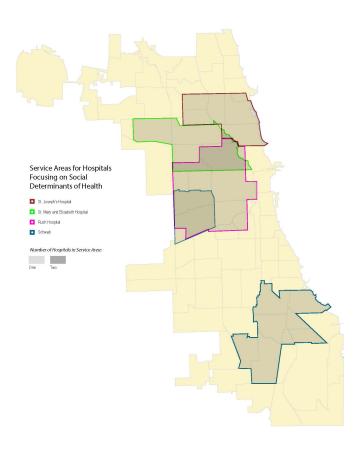
Recommended Insufficient Evidence

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SOCIAL DETERMINANTS

Four hospitals identified priorities that could be placed within a broader category of social determinants of health. Identified issues included poverty, jobs, homelessness, affordable housing, economic disparities, and neighborhood quality.

Hospitals prioritizing Social Determinants: Presence Saint Joseph Hospital, Presence Saints Mary & Elizabeth Medical Center, Rush University Medical Center, and Schwab Rehabilitation Hospital.



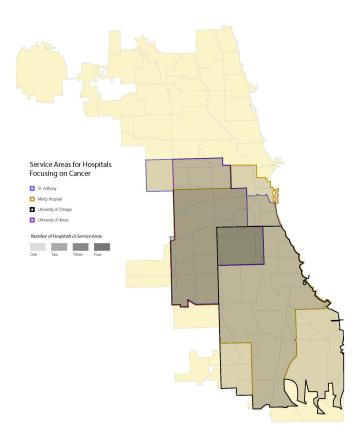
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CDC GOIDE TO COMMONTT I PREVENTIVE SERVICES							
HEALTH EQUITY							
Education Programs and Policies	D						
Full day kindergarten Comprehensive, center-based programs for children of low-income families	Recommended Recommended						
Culturally Competent Health Care Cultural competency training for healthcare providers	Insufficient Evidence						
Culturally specific healthcare settings Use of interpreter services or bilingual providers	Insufficient Evidence Insufficient Evidence						
Use of linguistically and culturally appropriate health education materials	Insufficient Evidence						
Programs to recruit and retain staff who reflect the community's cultural diversity Housing Programs and Policies	Insufficient Evidence						
Mixed -income housing developments Tenant-based rental assistance programs	Insufficient Evidence Insufficient Evidence						
Findings available at http://thecommunityguide.org/healthequity/index.html	insufficient Evidence						

CANCER

Four hospitals identified cancer as a priority. Cancer is the second leading cause of death overall in Chicago (4,407 deaths in 2009) and the leading cause of death among Hispanics and Non-Hispanic Asian/Pacific Islanders.

Hospitals prioritizing cancer: Mercy Hospital and Medical Center, Saint Anthony Hospital, University of Chicago Medical Center, and University of Illinois Hospital and Health Sciences System.



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CANCER

Increasing Breast, Cervical, and Colorectal Cancer Screening

Client-Oriented Interventions

Client reminders Client incentives Small media Mass media

Interventions

Group education
One-on-One education
Reducing structural barriers

Reducing client out-of-pocket costs Provider-Oriented Interventions (e.g., reminders, incentives)

Provider assessment & feedback

Provider incentives

Provider reminder and recall systems

Breast Cancer Recommended Insufficient Evidence Recommended Insufficient Evidence Recommended Recommended Recommended Recommended

Recommended Insufficient Evidence

Recommended

Recommended Insufficient Evidence Recommended Insufficient Evidence Insufficient Evidence Recommended Insufficient Evidence Insufficient Evidence

Cervical Cancer

Colorectal Cancer Recommended Insufficient Evidence Recommended Insufficient Evidence Insufficient Evidence Recommended Recommended Insufficient Evidence

Preventing Skin Cancer

Education and Policy Approaches

Primary and middle school interventions Outdoor recreation settings Child care center-based interventions Secondary schools and colleges Outdoor occupation settings Healthcare settings and providers

Interventions Targeting Children's Parents and Caregivers

 $Interventions \ Targeting \ Children's \ Parents \ and \ Caregivers$

Community-Wide Interventions

Mass media
Multicomponent community-wide interventions

Recommended Recommended Recommended Insufficient Evidence Insufficient Evidence Insufficient Evidence

Insufficient Evidence

Insufficient Evidence Recommended

Insufficient Evidence

Promoting Informed Decision Making For Cancer Screening

Promoting informed decision making for cancer screening

Tomoting informed decision making for cancer screening

Findings available at http://thecommunityguide.org/cancer/index.html

¹ New Requirements for 501(c)(3) Hospitals Under the Affordable Care Act, http://www.irs.gov/Charities-&-Non-Profits/Charitable-Organizations/New-Requirements-for-501(c)(3)-Hospitals-Under-the-Affordable-Care-Act. Accessed August 26, 2013

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^v Illinois Department of Public Health. Behavioral Risk Factor Surveillance System. 2011.

[&]quot; Chicago Department of Public Health and Health and Disabilities Advocates. Enroll Chicago!: A profile of Chicago's uninsured. August, 2013.

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