

**BIOGRAPHICAL SKETCH**

Provide the following information for the key personnel and other significant contributors in the order listed on Form Page 2.  
Follow this format for each person. **DO NOT EXCEED FOUR PAGES.**

NAME Ethan A. Halm		POSITION TITLE	
eRA COMMONS USER NAME ETHALM		Associate Professor	
EDUCATION/TRAINING <i>(Begin with baccalaureate or other initial professional education, such as nursing, and include postdoctoral training.)</i>			
INSTITUTION AND LOCATION	DEGREE <i>(if applicable)</i>	YEAR(s)	FIELD OF STUDY
Wesleyan University, Middletown, CT	B.A.	1986	Psychology
Yale University School of Medicine, New Haven, CT	M.D.	1991	Medicine
Harvard School of Public Health, Boston, MA	M.P.H.	1997	Public Health

**A. POSITIONS AND HONORS**Positions

1991-1994 Intern and Resident, University of California, San Francisco, CA,  
 1994-1995 Associate Chief, Medical Service, University of California, San Francisco, CA  
 1995-1997 Fellow, General Internal Medicine, Massachusetts General Hospital, Boston, MA  
 1997- 2004 Assistant Professor, Departments of Health Policy and Medicine, Mount Sinai School of Medicine, NY  
 1998 Small Business Innovation Research Study Section, Agency for Healthcare Research and Quality (AHRQ)  
 2000 Health Care Markets and Managed Care Study Section, AHRQ  
 2002-present Member, National Spirometry Project Subcommittee, American Thoracic Society  
 2002-2005 Deputy Editor, Medical Care  
 2003-present Associate Chief and Director of Research, Division of General Internal Medicine, Mount Sinai  
 2004-present Associate Professor, Departments of Medicine and Health Policy, Mount Sinai, NY  
 2006-present Associate Director, Institute for Epidemiology, Biostatistics and Disease Prevention, Mount Sinai  
 2007-present Program Director, Masters of Science in Clinical Research, Mount Sinai

Honors

1985 Phi Beta Kappa, Wesleyan University, junior year election  
 1996 Outstanding Trainee Abstract Award, American Federation for Medical Research  
 1998 Outstanding Junior Faculty Abstract Award, American Federation for Medical Research  
 1998 Milton W. Hamolsky Junior Faculty Research Award, Society of General Internal Medicine  
 2000 Robert Wood Johnson Foundation Generalist Physician Faculty Scholar Award  
 2003 Outstanding Research Abstract Award, Academy Health (formerly AHSR) National Meeting

**B. SELECTED PEER-REVIEWED PUBLICATIONS (Selected 31 of 62)**

1. Halm EA, Browner WS, Tubao JF, Tateo IM, Mangano DT. Echocardiography for assessing cardiac risk in patients having noncardiac surgery. *Ann Intern Med* 1996;125:433-441.
2. Halm EA, Causino NA, Blumenthal D. Is gatekeeping better than traditional care? A survey of physicians' attitudes. *JAMA* 1997; 278:1663-1669.
3. Halm EA, Fine MJ, Coley CM, Kapoor WN, Marrie TJ, Singer DE. The time to clinical stability in patients hospitalized with community-acquired pneumonia: implications for practice guidelines. *JAMA* 1998; 279:1452-7.
4. Halm EA, Chassin MR. Why do hospital death rates vary? *New Engl J Med* 2001; 345: 692-694.
5. Halm EA, Fine MJ, Singer DE, Kapoor WN, Marrie TJ, Siu AL. Instability on hospital discharge and the risk of adverse outcomes in patients with pneumonia. *Arch Intern Med* 2002; 162:1278-1284
6. Halm EA, Lee C, Chassin MR. Is volume related to outcome in health care: A systematic review and methodologic critique of the literature. *Ann Intern Med* 2002; 137:511-520.

7. [Halm EA](#), Teirstein AS. Management of community-acquired pneumonia. *New Engl J Med* 2002;347:2039-45.
8. [Halm EA](#), Magaziner J, Hannan EL, Wang JJ, Silberzweig, SB, Boockvar K, Orosz GM, McLaughlin MA, Koval KJ, Siu AL. Active clinical issues and new impairments on hospital discharge and risk of adverse outcomes in patients with hip fracture. *Arch Intern Med* 2003; 163:107-112.
9. [Halm EA](#), Chassin, MR, Tuhim, S, Hollier, LH, Faust G, Popp, JA, Ascher E, Dardik H, Riles TS. Revisiting the appropriateness and use of carotid endarterectomy. *Stroke* 2003; 34:1464-1472.
10. [Halm EA](#), Wang JJ, Boockvar K, Penrod, JD, Silberzweig, SB, Magaziner J, Koval K, Siu, AL. Effects of blood transfusion on clinical and functional outcomes in patients with hip fracture. *Transfusion* 2003; 43:1358-65.
11. [Halm EA](#), Wang JJ, Boockvar KS, Penrod JD, Silberzweig SB et al. The effect of perioperative anemia on clinical and functional outcomes in patients with hip fracture. *J Ortho Trauma* 2004, 18:369-374.
12. [Halm EA](#), Horowitz C, Silver A, Fein A, Dlugacz J, Hirsch B, Chassin M. Limited impact of a multicenter intervention to improve the quality and efficiency of pneumonia care. *Chest* 2004, 126:100-7.
13. Wisnivesky JP, McGinn T, Henschke C, Hebert P, Iannuzzi M, [Halm EA](#). Ethnic Disparities in the Treatment of Stage I Non-small Cell Lung Cancer. *Am J Resp Crit Care Med* 2005, 171:1158-63.
14. Busse PJ, Wang JJ, [Halm EA](#). Allergen sensitization evaluation and allergen avoidance education in an inner city adult cohort with persistent asthma. *J Allergy Clin Immun* 2005, 116:146-52.
15. Wisnivesky JP, Leventhal H, [Halm EA](#). Predictors of Asthma-Related Health Care Utilization and Quality of Life among Inner City Asthmatics. *J Allergy Clin Immun* 2005, 116:636-42.
16. [Halm EA](#), Wisnivesky JP, Leventhal H. Quality and access to care among a cohort of inner city adults with asthma: who gets guideline concordant care? *Chest* 2005, 128:1943-1950.
17. [Halm EA](#), Mora P, Leventhal H. No symptoms, no asthma: the acute episodic disease belief is associated with poor self-management among inner city adults with persistent asthma. *Chest* 2005, 129:573-580.
18. [Halm EA](#), [Hannan EL](#), [Rojas M](#), [Tuhim S](#), [Riles TS](#), [Rockman CB](#), [Chassin MR](#). [Clinical and operative predictors of outcomes of carotid endarterectomy](#). *J Vasc Surg* 2005; 42:420-8.
19. [Rockman CB](#), [Halm EA](#), Wang JJ, Chassin MR, [Tuhim S](#), Formisano P, [Riles TS](#). Primary closure of the artery is associated with poorer outcomes during [carotid endarterectomy](#). *J Vasc Surg* 2005; 42:870-7.
20. Federman AD, [Halm EA](#), Zhu C, Hochman T, Siu AL. Association of income and prescription drug coverage with generic medication use among older adults with hypertension. *Am J Managed Care* 2006; 12:611-618.
21. [Press MJ](#), [Chassin MR](#), [Wang J](#), [Tuhim S](#), [Halm EA](#). [Predicting medical and surgical complications of carotid endarterectomy: Comparing the risk indices](#). *Arch Intern Med* 2006; 166:914-20.
22. [Halm EA](#). Sydenham Society: Assessing the appropriateness of carotid endarterectomy. *J Clin Epi* 2007; 60:203-7.
23. [Halm EA](#), Tuhim S, Wang JJ, [Rojas M](#), Hannan EL, [Chassin MR](#). Has evidence changed practice? Appropriateness of carotid endarterectomy after the clinical trials. *Neurology* 2007; 68:187-194.
24. Federman AD, [Halm EA](#), Siu AL. Use of generic cardiovascular medications by elderly Medicare beneficiaries receiving generalist or cardiologist care. *Med Care* 2007; 45:109-15.
25. Wisnivesky JP, [Halm EA](#). Sex differences in lung cancer survival: Do tumors behave differently in elderly women? *J Clin Oncol*, 2007; 25: 1705-12.
26. Wisnivesky JP, Sampson H, Berns S, Kattan M, [Halm EA](#). Lack of association between indoor allergen sensitization and asthma morbidity in inner-city adults. *J Allergy Clin Immun* 2007; 120:113-20.
27. Moore C, McGinn T, [Halm EA](#). Tying Up Loose Ends: Discharging Patients with Unresolved Medical Issues. *Arch Intern Med* 2007; 167:1305-1311.
28. Berns SH, [Halm EA](#), Sampson HA, Sicherer SH, Busse PJ, Wisnivesky JP. Food allergy as a risk factor for asthma morbidity in adults. *J Asthma* 2007, 44:377-81.
29. Rockman C, [Halm EA](#). Intraoperative imaging: Does it really improve perioperative outcomes of carotid endarterectomy? *Semin Vasc Surg*. 2007; 20(4):236-43
30. Greenstein AJ, Chassin MR, Tuhim S, Wang J, Rockman CB, Riles TS, [Halm EA](#). Association between minor and major surgical complications after carotid endarterectomy: Results of the New York Carotid Artery Surgery Study. *J Vasc Surg* 2007; 46(6):1138-46.
31. [Halm EA](#), Press MJ, Tuhim S, Wang J, Rojas M, Chassin MR. Does managed care affect quality? Appropriateness, referral patterns, and outcomes of carotid endarterectomy. *Am J Med Quality* 2008, in press.

**C. RESEARCH SUPPORT****ONGOING**

- RO1 NS056028-01A1 Halm (PI) 7/1/07-6/30/12 Role: Principal Investigator  
National Institute of Neurological Disorders and Stroke  
Long Term Outcomes of Carotid Endarterectomy in the Elderly  
This project will determine the long term outcomes of CEA by examining the 5 and 10 year death and stroke-free survival in a large, population-based, statewide cohort.
- P01/R24 Leventhal (PI) 9/1/04-8/31/09 Role: Center Co-Director  
National Institute on Aging PI: Asthma Project  
Center for the Study of Health Beliefs and Behavior: Asthma Self-Management in Older Adults  
The asthma project in this center grant will conduct a prospective observational cohort study to identify self-regulation beliefs, medication adherence, self-management behaviors, and outcomes among older, inner city adults with asthma. It will also conduct a pilot RCT of a self-management intervention.
- GCO 06-0725 Halm (PI) 12/1/06-11/30/09 Role: Principal Investigator  
Attorneys General Prescriber Education Program  
Data smog and marketing fog: Educating health professionals about rational prescribing  
This grant focuses on empowering practicing health professionals and trainees to critically evaluate drug information, resist industry marketing techniques, and manage patients' drug-specific requests.
- Empire Clinical Research Investigator Program 7/1/2007-6/30/2009 Role: Principal Investigator  
New York State Department of Health  
Adherence and Self-Management in Older Inner City Asthmatics  
This is a training grant to support a research fellow focusing on asthma adherence and outcomes
- R01 CA 123128-01 (Wisnivesky) 7/1/07-6/30/10 Role: Co-Investigator  
NIH/NCI  
Evaluating the Effectiveness of Lung Cancer Treatment in the Elderly  
This proposal will use SEER and Medicare datasets to develop population-based evaluations of the effectiveness of several treatments for early lung cancer in elderly patients
- ACS Cancer Control Grant (Wisnivesky) 7/1/07 - 6/30/11 Role: Co-Investigator  
American Cancer Society  
Determinants of Disparities in Diagnosis and Treatment of Lung Cancer  
This is a multicenter observational cohort study that seeks to evaluate cultural factors that may explain ethnic and racial disparities in lung cancer treatment and outcomes

**COMPLETED**

- GCO 06-1030 Halm (PI) 2/1/2007-1/31/2008 Role: Principal Investigator  
New York State Health Foundation  
Improving Access to High Quality Asthma Care in East Harlem  
This project will develop an asthma portal and navigator system to facilitate access to timely, high quality outpatient care for inner city adults with emergency room visits or hospitalizations for asthma.
- Empire Clinical Research Investigator Program 7/1/05-6/30/07 Role: Principal Investigator  
New York State Department of Health  
Reducing Medical Errors and Improving Patient Safety Among Vulnerable Populations  
This is a training grant to support a research fellow focusing on medical errors and patient safety.

Principal Investigator/Program Director (Last, First, Middle): Halm, Ethan A.  
 CCCDA-04-225 (Halm) 7/1/04-6/30/07 Role: Principal Investigator  
 American Cancer Society  
 Adherence with Colorectal Cancer Screening in Inner City Adults  
 This is cohort study will examine the patient, physician, and system factors associated with successful completion of colorectal cancer screening among Latino and African-American adults.

RWJ 020803 Chassin (PI) 3/1/03-8/31/05 Role: Co-Investigator  
 Robert Wood Johnson Foundation  
 The Impact of Managed Care on the Appropriateness and Outcomes of Carotid Endarterectomy  
 This population-based study examined the impact of managed care on appropriateness, indications, and outcomes for Medicare beneficiaries undergoing carotid endarterectomy.

RO1 HS09754-02 Chassin (PI) 6/1/98-5/31/04 Role: Co-Investigator  
 Agency for Healthcare Research and Quality  
 Measuring and Improving Quality: Carotid Endarterectomy  
 This population-based study measured the appropriateness, indications, processes of care, and perioperative outcomes for all patients undergoing carotid endarterectomy in New York State.

RWJ 039178 Halm (PI) 7/01/00-12/31/04 Role: Principal Investigator  
 Robert Wood Johnson Foundation  
 Improving the Outcomes and Quality of Care in Pneumonia  
 This was a multicenter interrupted time series trial of an intervention to improve the outcomes and processes of care in 4 hospitals in New York.

R01 HS09973 Halm (PI) 12/1/98-9/30/02 Role: Principal Investigator  
 Agency for Healthcare Research and Quality  
 Outcomes of Instability on Discharge in Urban Hospitals  
 This study developed and validated condition-specific measures of instability on discharge in patients with asthma, pneumonia, and hip fracture and assessed the outcomes of premature hospital discharge.

UHF 010608B Halm (PI) 7/1/01-3/31/04 Role: Principal Investigator  
 United Hospital Fund  
 Predicting Relapse, Functioning, and Resource Use in Inner City Adults with Persistent Asthma  
 This study identified patient, process of care, system, and provider factors that predict long term relapse, poor functioning, and high resource use among adult asthmatics.

GCO-98-094 Halm (PI) 4/1/99-3/30/01 Role: Principal Investigator  
 Ortho-Biotech  
 Outcomes of Anemia in Patients with Hip Fracture  
 This study examined the effects of blood transfusion and anemia on clinical and functional outcomes of patients in patients hospitalized with hip fracture.

#### **CURRENT GRANTS PARTICIPATING AS MENTOR**

Generalist Faculty Award, Federman (PI) 7/1/04-6/30/08 Role: Co-Mentor  
 Robert Wood Johnson Foundation  
 Patient and Physician Communication About Financial Matters in Healthcare  
 This cohort study assesses underuse of medications, preventive services, and physician services due to cost, doctor-patient communication about costs, and risk factors for cost-related underuse.

K23 AG028955-01 Federman (PI) 8/15/06-7/31/11 Role: Co-Mentor  
 National Institute on Aging  
 Beeson Award: Health Insurance Navigators for Low Income Seniors  
 This is a RCT of a patient navigator intervention to provide individually tailored counseling to low income, inner city seniors with regard to Medicare Part D drug coverage and insurance decision making