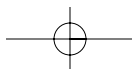
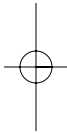
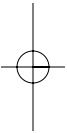


# Part I \_\_\_\_\_

## Part Title



# 1

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## Introduction

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### WHY LOOK AT OUTCOMES

Quality of care has assumed increased importance. Several factors are responsible, including the fact that much has been made of the dangers of medical errors (Kohn, Corrigan, & Donaldson, 2000). Demands for accountability have increased under pressures to see society become more prudent purchasers of care. The growing cost of health care raises renewed questions about its value. As a by-product, assessing outcomes of care has taken on new importance. The focus of much clinical research has broadened to address larger questions about the ultimate impact of care. The “outcomes” examined in outcomes research are more likely to approximate what one ultimately wants health care to achieve—improvements in functional status and quality of life.

Outcomes research differs from other medical research in another important way: It is more inclusive of what is considered an intervention. Whereas most medical research may examine the effects of a particular drug or surgical intervention, outcomes research may examine the effects of such elements as counseling or even reorganizing the way care is delivered. Hence, outcomes research may ask not only are individuals with CHD better off with angioplasty or medical therapy (a valid outcomes research question) but are individuals with CHD who get their health care in HMOs better off than others.

Like Moliere’s *bourgeois gentilhomme* who suddenly discovered he had been speaking prose all his life, health care providers seem to have awakened to the need to examine the results of their labors. The observations

## 4 CHAPTER 1 INTRODUCTION

about the large variation in the rates of various medical activities and utilization of care stirred interest in whether these differences had any effect on outcomes (Chassin, et al., 1987; Leape, et al., 1990; Wennberg, Freeman, Shelton, & Bubolz, 1989). The rise of managed care, with its industrial accountability and productivity models, stimulated a revised way of thinking about care. As the variation data generated a press for greater consistency, which was translated into a demand for clinical guidelines, it became quickly evident that medicine does not have a vast store of empirically verified information about the relationship between what is done and the results.

Evidence-based medicine is de rigueur. Much attention has been devoted of late to methods for assessing the quality of the medical literature and summarizing the findings from it (Sackett, 1997). The Cochrane Collaborating Centers have developed a library of reports that assess the literature on various topics and make recommendations for practice (see [www.cochrane.org/index0.htm](http://www.cochrane.org/index0.htm)). The Agency for Healthcare Research and Quality has chartered a set of evidence-based practice centers to conduct systematic literature reviews and report on the findings with a direct goal of providing the bases for practice recommendations (see [www.ahrq.gov/clinic/epcix.htm](http://www.ahrq.gov/clinic/epcix.htm)).

Coincident with all this attention to outcomes has been a growth in outcomes research programs. Most academic medical centers now have some entity charged with leading research on the outcomes of care. Many managed care programs have such a unit, either directed at research per se or linked more closely to clinical activity under the general heading of quality improvement. Indeed the prototype for such an organization is the Institute for Health Care Delivery Research in Intermountain Health Care, which has pioneered applied outcomes research ([www.ihc.com/xp/ihc/physician/research/institute/](http://www.ihc.com/xp/ihc/physician/research/institute/)).

Outcomes analysis can be undertaken for several reasons:

1. *To make market decisions.* In an ideal world, consumers looking for help might want to know how well a given clinician has performed in treating their specific problem. Likewise, those acting on behalf of consumers (e.g., benefits managers) might want such information to help in their decisions about with whom to contract.
2. *For accountability.* Several agencies have a stake in the quality of medical care. Formal regulatory activity is vested in the government and in professional societies. Payers may also be concerned that the

care they are buying is of adequate quality. In effect, the same information on the outcomes achieved can be analyzed at the level of a clinician or a clinic or a hospital (if the sample size is large enough). In conducting such analyses, however, appropriate adjustments for case-mix and other relevant risk factors are needed in both cases.

3. *To improve the knowledge base of medicine.* The substrate for evidence-based medicine (EBM) is good evidence on which to base it. Solid outcomes information is the crucial building block for the EBM edifice. The enthusiasm for establishing guidelines for care has been somewhat dampened by the growing realization that the empirical database for most of these recommendations is quite weak and they are forced to rely on clinical consensus judgments. Although some would hold that the only real science comes from randomized controlled trials (RCTs), much can be learned by carefully applying epidemiological analyses to large databases of well-collected experiential information. Outcomes research should be seen as complementing, not competing with RCTs. It attempts to address a particular type of medical knowledge, i.e., a better understanding of how treatment in the real world affects a wide range of outcomes.

Outcomes can be expressed in different ways. Perhaps the simplest and most direct measure is survival, although some ethicists might seek to complicate even this determination. Clinicians are most familiar with clinical measures ranging from death to values of specific parameters like blood pressure. Outcomes can also be derived from symptoms or even the results of physical examinations. They can be the results of simple tests, like blood levels, or more complex physiological measures. Another set of outcomes rely on information collected from patients. This data usually reflects how they have experienced the illness and the effects it has had on their lives. These outcomes include measures of functioning as well as measures of affect. Satisfaction with care and with life in general can be considered part of this set of outcomes. In general, clinicians place greater faith in the data they get from laboratory tests and their own observations than what patients report, but this prejudice may not be appropriate. One cannot actually measure "health" in a laboratory. One may not be able to relate the results of the colorimetric reaction to outcomes that a researcher might be interested in. For example, knowing the oxygen saturation in the great toe of a person with impaired circulation may be wonderful but it is more salient to know

## 6 CHAPTER 1 INTRODUCTION

that the patient still can't walk. Patient-derived information can be as valid as—or even more valid than—that obtained from a machine. For example, the results of a scale based on patient perceptions of events may be as valid as the inference placed on the results of a colorimetric reaction that is interpreted as reflecting the level of enzymatic activity.

**Why Outcomes May be Hard to Sell**

Looking directly at the outcomes of care (as opposed to concentrating on the process of care) makes a lot of sense. In the best traditions of the famous bank robber, Willie Sutton, that is where the treasure can be found. However, using outcomes may be less satisfying than one may wish. Clinicians have difficulties with outcomes on several grounds:

1. The outcomes of care may be due to many things, only some of which are under the clinician's control. Outcomes are rarely the product of a single individual's efforts. Instead, they result from the collaboration and coordination of many people working within a system. System failure is at least as deadly as individual error (Berwick, 1989). It is much more satisfying to be able to say one did all the right things, even if something bad happened. Some estimates suggest that medical care has only a limited effect on the overall health of a population; numbers in the range of 10 to 25 percent are bandied about. It seems reasonable to assume that the size of the effect of treatment on specific sick people is larger, but other factors will influence the results. It is not necessary that treatment explain all (or even most) of the variance on outcomes to make it worthwhile to examine its effectiveness. One can change the risk of a successful outcome by several orders of magnitude by interventions that fail to explain even a modest amount of the variance in outcomes.
2. Although theory suggests that outcomes and process measures are closely linked, the correlation between process and outcomes is often weak. Hence, a poor outcome does not necessarily indicate what needs to be done differently. At best, outcomes can only suggest to an investigator where to look for more information about the process of care. In clinical practice, they are often best considered as screeners. Rather than examining the processes of care for all the care provided,

a pattern of poor outcomes can suggest which types of care (or which providers) need closer scrutiny.

3. Outcomes information usually requires extra effort (and expense) to collect. Medical record keeping is notoriously inconsistent (Weed, 1968a; 1968b). Much information is recorded as judgments and definitions vary widely. Omissions are frequent. What does “within normal limits” mean? Medical practice does not routinely gather systematic information about the outcomes of care. At best, clinicians are generally aware of only those patients who return for further care. Rarely do they systematically follow the course of those who do not return, although these may be the outcomes of greatest interest. Even less often do they systematically collect data on other variables that might influence the outcomes.
4. Outcomes are essentially probability statements. Because outcomes can be influenced by many different factors, one should not try to judge the success of any single case; instead, outcomes are addressed in the aggregate. The rate of success is compared. Thus, outcomes reflect the experience of a clinician, not the results of any single effort.
5. Because outcomes rely on group data, there must be enough cases to analyze. For many clinicians, the volume of cases around a specific condition is too small to permit rapid aggregation for analysis. One must either collect cases over several years or use a group of physicians as the unit of analysis. Both strategies have disadvantages.
6. Outcome results take a long time to assemble. First, one has to accumulate cases. For each case, one has to wait for the outcomes to become evident. As a result, by the time an outcomes report is available, the care reported on may have occurred some time ago. The results may no longer seem fresh.

Given all these problems, it is little wonder that people would rather talk about outcomes than deal with them. It is much more comfortable to test the extent to which care complies with extant orthodoxy, but one quickly runs into a paradox. Despite all the attention to EBM, thoughts about what constitutes appropriate care are still more often based on beliefs than hard evidence. Before one endorses an orthodoxy, a person would like to have better proof that a given approach really leads to better outcomes. Consensus should not be confused with wisdom. Imagine what would have happened if there had been a consensus conference in the mid-19th century

on cupping and leaching. Developing such linkages means having a data system that can provide the needed grist for the analytic mill.

### Collecting Outcomes Information

Two strategies are available to collect outcomes information:

1. Routine medical practice can incorporate system data collection and feedback to track outcomes of care. The rise of managed care, with its improved information systems and its concerns about efficiency, may prove a catalyst for this effort.
2. Special practices can be designated to operate data collection activities under some scientific aegis that would systematically collect data on outcomes and relate them to the process of care (much the way academic centers conduct clinical trials to test new therapies). Practitioners would then rely on the validated processes for assessing their quality of care.

Having recognized the discrepancy between what one knows and what one believes, medicine was at an impasse. One camp, anxious for fast results, pushed for creating practice guidelines based on the best available information and filling in the rest with expert opinion. They argued that, at worst, such a strategy would produce the equivalent of a higher quality textbook. The other camp maintained that enforcing arbitrary rules not based on empirical evidence was equivalent to codifying beliefs. They urged greater restraint until a better science base was developed.

The early experience with guideline writing confirmed the weak science base that underlay much of clinical practice (Field & Lohr, 1992). The big question then was how to remedy the situation—with systematic outcomes research the obvious answer. The choice of the best research strategy remained the question.

The classical view of quality of medical care used a framework that divided such work into structure, process, and outcome (Donabedian, 1966). Structure referred to such aspects as the training of the care providers or the equipment of the facility in which the care was provided. Process addresses what was done: Was the correct (appropriate) action taken? Was it done skillfully? Outcomes referred to the results of these actions. There was an assumption that these three aspects are directly

related, but that belief has often proven hard to demonstrate empirically. One explanation was that the “lore” or medicine was just that: a set of beliefs and traditions that were poorly grounded in empirical evidence. Another interpretation was that the effects of care were simply too subtle to be easily revealed by most studies, especially nonexperimental ones.

The weak relationships often found between process and structure on the one hand and outcomes on the other cuts both ways. Investigators seeking to demonstrate the validity of their outcomes findings may turn to structural and process correlations. Turning the system on its head, one might test the validity of guidelines by assessing whether those adhering to the guidelines achieved better results than those who do not. If outcome measures work, one would expect to find better outcomes among those providers judged by some external standard to give better care. What does it mean when care provided in teaching hospitals is no better than that offered in community hospitals? On the one hand, the measures may be insensitive; alternatively, there may be less difference than one might suspect. If the results are the inverse of what was expected, there will obviously be greater cause for concern, but failure to find a difference where orthodox teaching said one should be found may raise at least as many questions about the orthodoxy as challenges to the validity of the observation.

## AN OUTCOMES APPROACH

An outcomes approach requires more than simply collecting data on the outcomes of care. Rather, it should be considered in terms of an outcomes information system. Careful and complete data collection for purposes of both outcomes ascertainment and risk adjustment has to be combined with proper analyses.

The basic model for analyzing the outcomes of care is the same whether one uses a RCT or an epidemiological approach. The model is summarized as follows:

$$\text{Outcomes} = f(\text{baseline, patient clinical characteristics, patient demographic/ psychosocial characteristics, treatment, setting})$$

This pseudoequation indicates that clinical outcomes are the result of several factors, which can be classified as risk factors (baseline status, clin-

## 10 CHAPTER 1 INTRODUCTION

ical status, and demographic/psychosocial characteristics) and treatment characteristics (treatment and setting).<sup>1</sup> The goal of the analysis is to isolate the relationship between the outcomes of interest and the treatment provided by controlling for the effects of other relevant material. The latter is often referred to as risk adjustment.

### Risk Adjustment

The patient's baseline status is very important. With a few exceptions (such as plastic surgery and elective orthopedics), patients never get better than they were before the episode that started the need for treatment in the first place. Thus, there are really two types of baseline status information that need to be collected:

1. status at the outset of treatment (which can be used to show how much change has occurred since treatment began)
2. usual status before the onset of the problem that requires treatment (which defines the upper bound of just how much improvement is possible or likely).

Information on baseline status basically corresponds to what will be later collected to assess outcomes.

Patient clinical characteristics cover a lot of territory. One of the reasons clinicians make diagnoses is to group patients into classes that share a need for a given type of therapy and/or suggest an expected course. Knowing a patient's diagnosis would thus play a central role in building an outcomes data system. Many patients have more than one diagnosis. It is necessary for purposes of analysis to identify one diagnosis as the primary diagnosis and to treat the others as modifiers.<sup>2</sup> These are often referred to as comorbidities.

Diagnoses can be further refined in terms of their implications for outcomes by addressing characteristics that suggest varying prognoses. These are termed severity measures. In addition to severity, one may be concerned about other modifiers of diagnoses such as duration of the problem and history of previous episodes. In general, it is usually safer to be as inclusive as possible. Because clinicians are especially distrustful of non-randomized controlled trials, they need a great deal of reassurance that all possible differences between groups have been considered. By including

elements that seem unnecessary, the investigator may eventually gain greater acceptance for the results. Nothing is more frustrating than presenting an analysis, especially one that challenges conventional wisdom, only to have the clinical audience say: “Yes, but did you consider . . . ?” A policy of inclusion is not an automatic talisman against rejection, but it can help avoid it. At some point, of course, the cost of collecting seemingly irrelevant data can be overwhelming. A reasonable compromise must be struck. If the clinician audience is involved in planning the study, at least those elements that seem most important can be covered. Other clinical information may address different risk factors (e.g., exposure to toxins, diet, habits).

The other set of patient information concerns demographic and psychosocial factors. Some obvious items, such as age and gender, seem to need no justification, but even they should be thoughtfully addressed. A specific conceptual model that indicates the expected influence of each variable is a critical first step in planning an outcomes study. Others, such as education and social support, may exert their effects more subtly. The relevance of specific elements may vary with the condition being examined. Other psychosocial variables, like the patient’s cognitive or emotional state, may influence on the effects of treatment on other outcomes.

## **Treatment**

Setting refers to both the physical location where the care is provided as well as the organization of that site. It can also address other attributes such as the philosophy of care provided. For example, one may want to compare the same basic care provided in an inpatient and outpatient context. Alternatively, one may want to address the level of risk aversion or the extent of staffing for apparently similar models of care. One site may have a philosophy of encouraging patients to do as much as possible for themselves; another may be inclined to provide a lot of services to assist patients in performing basic activities, either because they are concerned about safety or they feel that doing things for patients may be faster in the long run.

At its most basic level, treatment can refer simply to gross types; for example, does medical management work better than surgical? It can even be simply a proxy for care given in hospital versus another or by one physician versus others. Measuring the effects of treatment first requires a clear, useful taxonomy for treatments. Surprisingly little work has gone into cre-

## 12 CHAPTER 1 INTRODUCTION

ating such schema. Just as one needs to think not only about formal treatments like prescribed drugs but also about over-the-counter medications, the definition of a therapy may not be limited to what is done in a clinical setting. Informal care may play a substantial role. In some cases, the treatment may extend over several sites. For example, much of the care formerly rendered in hospitals is now provided in nursing homes and even at home.

A simple model to classify treatment can be derived from drug therapy, where one talks about such constructs as type, dosage, duration, and timing. A similar approach can be applied to other treatments like surgery. The next level of analysis might ask whether the same treatment in different hands produces different results. At this point, the issue becomes individual skill.

Treatment relates directly to what has been termed process of care under the taxonomy created by Donabedian (1966), which can be said to be composed to two basic aspects: (1) doing the right/appropriate thing and (2) doing it well. The goal of outcomes research is to establish what treatment is appropriate for a given situation by isolating the effects of treatment from the effects of other factors that influence outcomes. It is harder to use outcomes to address skill compared to appropriateness, but in the end, that is the only real way. Although some may try to “tease out” the skill component by using some sort of direct analysis, such a strategy will not readily distinguish between skill and appropriateness. A more precise approach is first to ascertain what type of care produces the best (or at least acceptable levels of) results for a given problem (or group of patients). Then, one can apply the same deductive analytic approach to examining those cases where the appropriate care was given to look for differences across providers. Where such differences are found, they can be said to reflect differences in skill.

## TYPES OF STUDY DESIGNS

There is substantial confusion about the relationship of study design to outcomes research. Many people seem to equate outcomes research with epidemiological study designs and thus wonder what role randomized controlled trials (RCTs) can play in outcomes research. Indeed, RCTs that examine the outcomes of interest to outcomes research are as much outcomes research as studies that use other designs. The emphasis on other study designs in outcomes research reflects the more expansive interventions considered reasonable for study (many of which do not lend themselves to

RCTs) and the issue with generalizability of RCTs when one is interested in the effect of health care on the broader the population of interest.

Clinical research worships at the shrine of the RCT. The basic difference between a RCT and well-conducted prospective observational study is the allocation of patients. In an RCT, the allocation is not under the control of either the medical practitioner or the patient. In observational studies, there is always a possibility of selection bias. Patients either may elect certain practitioners or certain types of care or the practitioners may assign care on the basis of differences in clinical status. Indeed, no one in their right mind would assume that care is assigned randomly. The science of medicine depends on matching treatment to need. The real question from the perspective of scientific study is whether some unmeasured factor might be responsible for the choice of treatment. Random assignment obviates that risk. It does not necessarily mean that the experimental and control groups are equivalent. (It is still possible to get differences by chance.) However, it does mean that any differences are not systematic; in other words, they do not reflect bias. Those using observational methods are under great pressure to prove the comparability of the treated and untreated groups. Even when all measured variables are examined, there always remains the possibility of some systematic difference of an unmeasured variable.

The ability to assign subjects randomly to either experimental or control status confers an aura of science that is unsurpassed.<sup>3</sup> Indeed, serious questions of bias arise whenever the decision to treat or not (or how to treat) is determined by some external force. Those reviewing the results of nonrandomized studies need to be reassured that potential risk factors have been identified and addressed. Nonetheless, there remains a concern that the experimental and control groups are not completely comparable; hence, that unknown factors may account for differences found. A number of statistical procedures have been developed to address this issue, but the level of comfort with the results of these efforts varies with the discipline. Clinicians, who are usually not statistically sophisticated, need a lot of reassurance that the experimental and control groups are comparable.

In recent years, biostatisticians have promoted propensity scores as a way of providing clinicians with more comfort about well-conducted observational studies (D'Agostino Jr., 1998). In essence, propensity scores identify the variables that might be associated with using or not using a given service. Clinically homogeneous risk subgroups are created on the basis of these measured variables and the results compared across each of these subgroups. Some researchers, especially economists, still worry about unmeasured

variables and have developed procedures that attempt to adjust for these. One of the most common is the use of instrumental variables (IVs) (Angrist, Imbens, & Rubin, 1996; Lee, 1994). These are variables that are statistically associated with the likelihood of treatment but not with the outcomes. By using these IVs, the researchers can presumably adjust for unmeasured effects. The problem lays in finding IVs that fit the bill. In most cases, it is hard to identify a variable that is associated with getting care but not with its outcomes. The most common IVs are measures of access to care.

RCTs may encourage false confidence; they are not a guarantee of good science. Problems with attrition, for example, may create new sources of bias. Standards for the conduct and reporting of RCTs, like CONSORT (Begg, et al., 1996), promote better research quality.

RCTs have real limitations. In general, randomized trials use great care in design to specify inclusion criteria. Because RCTs are complicated and difficult to mount, they are usually restricted to very tightly targeted groups of patients. Often the investigators are not actively concerned about how the subjects are obtained and rely on random allocation to distribute any differences equally across the two groups. As a result, randomized trials often trade internal validity (tightness of comparisons) for external validity (generalizability). Thus, randomization does not provide the protective shield that some think. Even if the groups are more comparable (and such a distribution is not assured by random assignment), the pertinent analyses may still require looking at the data within subclasses. It does not seem feasible to rely exclusively on RCTs for all, or even most, of the needed empirical data linking outcomes to the process of care.

There are those who maintain that nothing but randomized controlled trials can provide real evidence of efficacy. Epidemiological models applied to observational data can never be absolutely sure that differences found were not due to unobserved variations in the two groups. Random allocation is a powerful tool, but both because of other limitations (especially in regard to examining the effectiveness of a treatment; i.e., how it actually works in practice) and simply for reasons of logistics, epidemiological (observational) studies will inevitably play a major role. It is crucial that these latter studies be carefully designed to minimize their limitations (Campbell & Stanley, 1963; Cook & Campbell, 1979). (Chapter 2 provides a more detailed discussion about the alternative approaches.)

In effect, both approaches require some level of extrapolation and inference. The RCT requires a heavy set of inferences to extrapolate the results based on extensive participant selection and fixed interventions to clinical

practice. The epidemiological approach requires a substantial amount of inference in the analysis itself, but the translation to practice is thus much easier because many of the relevant variables have already been addressed.

Because the epidemiological approach is essentially a naturalistic technique that relies on data collected as part of extant practice, questions will arise about the comparability of those who receive different forms of care. The assignment to treatment groups is not based on chance. Factors, both overt and more subtle, determine who gets what care. The burden of proof lies with the investigator. In truth no amount of evidence can absolutely guarantee comparability, but a lot of informational benefit can accrue from using carefully analyzed information derived from real practice.

A much more important problem in using clinical information is its quality. Clinical investigators quickly appreciate that clinical data is not recorded systematically or thoroughly. Patient information is entered when patients visit the system. No systematic follow-up is obtained. Much of the information recorded summarizes clinicians' summary impressions rather than capturing the presence of specific signs and symptoms. Two clinicians may opt to record quite disparate information, even when they use the same headings. Investigators seeking to mount outcomes studies will need to plan these studies to include prospective data collection and incorporate deliberate steps that attend to the quality of information at each stage. Most good observational studies require a prospective design with standardized, systematic data collection on all aspects (i.e., case mix, treatment, and outcomes).

## **MEASURING OUTCOMES**

Outcomes come in a variety of sizes and shapes. The selection of an outcome measure should be based on a clear sense of what one wants to measure and why. Outcome measures can be both generic and specific to a given problem. The generic measures are useful for looking at policy issues or reflecting the bottom line effects of care on health status or even aspects of quality of life. They provide a sort of lingua franca that can be used to compare the treatments for various conditions in analyses such as cost effectiveness.

Because much medical care can affect specific signs and symptoms but may not have a profound impact on the greater spheres of life, most clinicians are accustomed to looking at the more limited effects of care. These are more closely linked to specific interventions and hence are usually more satisfying to see. Condition-specific outcomes, as the name implies,

will vary with the condition being treated, although some measures may prove useful for more than one condition.

Generic measures address larger constructs and hence their causal links to specific treatment events may be more difficult to trace. The generic measures can include both measures of function in various sectors (e.g., self-care, social activity, emotional state) as well as satisfaction with the care provided, the way it is provided, and perhaps even the setting in which it is provided. It is not always easy to separate opinions about the quality of care from feelings about the results of treatment. Although someone may feel satisfied that a clinician did his best even if the results are disappointing, it is likely that patients will be more satisfied when the results are favorable.

Both generic and condition-specific outcomes measures (as well as the other components of the outcomes equation) often need to be aggregated to create some sort of summary measure. The aggregation process is complex. There is a strong temptation to simply add raw scores to generate a total score, but such a step is foolhardy. In the simplest case, it implies an equal weighting among the components, an assumption that is not automatically true. Even worse, the components may take on different weights because of the way the answers are constructed. For example, a response with five categories may receive a score of 1–5, while a dichotomous answer would be 0,1. There is no a priori reason to suspect that a 5 on the first scale is any more important than a 1 on the second. Even when the responses are in some apparent order, a response of “5” is not necessarily five times more than one of “1”.

Deciding how to weight the components of a summary scale properly can be a serious undertaking. Ordinarily, one needs some construct to use as the basis for “norming” the values placed on each component. Techniques that vary in sophistication and ease of implementation (usually inversely) can be applied to obtaining the value weights of different constituencies. In the outcomes trade, these values are usually referred to as utility weights. Sometimes they are directly related to overt concepts; sometimes they are inferred from observed behaviors.

The science of measurement has come a long way. Before an outcomes measure can be said to have attained its pedigree, it must pass a series of tests. Basically, the criteria for a useful measure are that it is reliable (i.e., it will yield the same results consistently); it is valid (i.e., it measures what it says it does); and it is responsive (i.e., can it can detect meaningful increments of change) (Guyatt, Deyo, Charlson, Levine, & Mitchell, 1989).

Some measures have been extensively studied; others are more novel. Few if any can be used on all occasions. The astute outcomes researcher must weigh the measure’s reputation against its actual content and the

application intended. For example, some measures work well with some populations but not with others. They may cover only a limited portion of the full performance spectrum or be better at distinguishing among some aspects of function than others.

## CONCEPTUAL MODELING

There are five key steps in outcomes research. Although they are performed sequentially, they are not as independent as they might seem. Greater clarification of later steps may entail revising earlier ones. In the end, any presentation must be internally coherent. The individual steps must be shown and they must relate to one another. The five steps are:

1. Define a researchable question.
2. Develop a conceptual model.
3. Identify the critical dependent and independent variables.
4. Identify appropriate measures for each.
5. Develop an analysis plan.

In most cases, the research question precedes the underlying model, but not necessarily. Asking a researchable question is much harder than simply posing a question. A researchable question must be answerable by direct means. It is not a philosophic proposition. One test of the completeness and directness of the question will come from the conceptual model. Frequently the question will be modified after the model is refined.

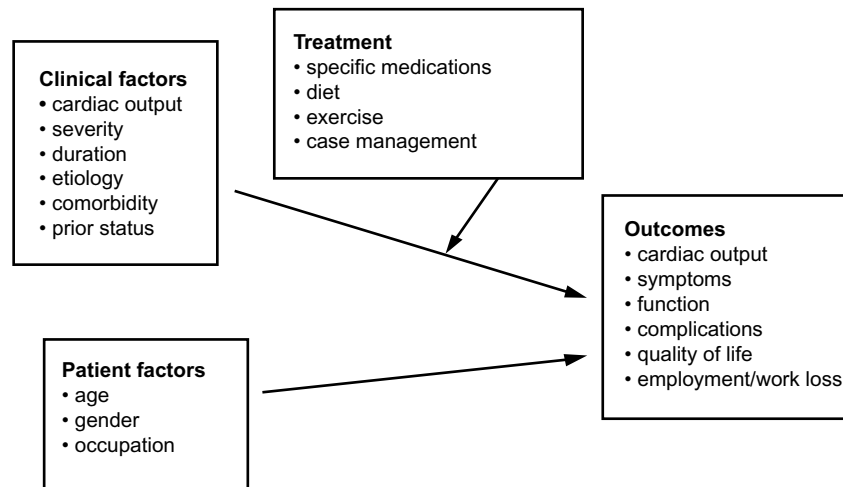
A critical step in developing an outcomes study is the creation of a conceptual model. This need will be stressed frequently in this book, because it is so central to successful outcomes work. In essence, the conceptual model indicates what is believed to cause the outcome. It identifies what are the critical pathways and what other factors are likely to affect these. It should identify which variables, chosen to represent the various components of the basic outcomes equation described earlier, are pertinent to the study at hand. The variables themselves and their relationship both to the outcomes of interest and to each other should be specified. The process of creating a conceptual model is itself iterative. One starts from a set of premises based on theory and/or clinical insights. As one fleshes out the model and becomes ever more specific about just what is involved, one can begin to consider how to operationalize this model. This operationalization may necessitate revisiting the model.

## 18 CHAPTER 1 INTRODUCTION

A conceptual model is not necessarily the same as a theoretical model. No disciplinary theory needs to drive the model. Instead, it should explicate clearly what process the investigator believes is occurring—or at least what elements need to be controlled in the analysis. Such a model can be based on clinical experience as well as a review of prior work. Working the model through provides a way to think about what factors are most important. Figure 1–1 offers a simple illustration of a conceptual model for looking at the outcomes of congestive heart failure. The items in the boxes are operationalized aspects of the basic elements that are addressed in the outcomes equation described earlier. The arrows indicate an expected effect. In this model, the effects of treatment are expected to interact with the clinical factors to produce outcomes.

Once these elements have been identified, they can be operationalized. Each one can be captured in one or more measures. The delineation of the model and the specification of variables represent two of the major components of a research design.

A familiar quote in outcomes research is that what cannot be measured does not exist. In one sense, the concept is attractive. One needs to be able to reduce complex attributes to measurable representations in order to study it and to compare its presence across programs. However, one must approach



**Figure 1–1** Conceptual Model of Treatment and Outcomes in Congestive Heart Failure

measurement with respect. Measurement involves distortion; it is by nature a process of abstraction and something is inevitably lost in the process.

Likewise, the commitment to measurement should not be construed as endorsing the idea that everything that can be measured is useful. Perhaps one of the most memorable misuses of measurement was the theory behind the conduct of the Vietnam War. Body counts and arbitrary definitions of successful missions do not necessarily lead to a successful conclusion. Quantitative analysis works best when it serves conceptual thinking, not as a substitute for it.

Clinical intuition and insight is a valuable gift, which should not be discarded or devalued in the face of quantitative science. In his autobiography, Colin Powell describes an intelligence unit in Vietnam that received endless amounts of data on the enemy's shelling patterns. All this information was entered into a computer regression model that eventually produced the result that shelling was heavier on moonless nights, an observation that any combat veteran could have provided (Powell, 1995).

Outcomes research shares some of these problems. On the one hand, if its findings do not agree with clinical wisdom, they are distrusted. On the other hand, if they support such beliefs, they are extraneous. Life is generally too complicated to attempt outcomes analysis without some sort of framework. Some analysts may believe that the data will speak for themselves, but most appreciate the value of a frame of reference. Even more important, with so much information waiting to be collected, one needs some basis for even deciding where to look for the most powerful answers.

Using outcomes wisely requires having a good feel for what question is being asked and what factors are likely to influence the answer. Outcomes research is largely still a clinical undertaking, although it has become sophisticated. At its heart is a clinical model of causation.

Before an outcomes study can be planned, the investigator needs to develop a clear model of the factors that are believed to be most salient and their relationship to the outcomes of interest. Some factors will play a direct role; others may influence events more indirectly. Each needs to be captured and its role defined. This model forms the basis of the analysis plan.

The third key ingredient is the analysis plan.<sup>4</sup> The conceptual model provides a general framework for the analysis, but the specifics depend on several factors, primarily the nature of the variables. Most analyses, especially those that rely on an epidemiological approach, have to be multivariate. One or another variation of regression models is likely to be employed. Although multivariate modeling can take into account the effects of inter-

vening variables, nonrandom assignment invariably raises questions about the comparability of treatment and control groups. Even groups that seem extremely comparable on the basis of variables examined may vary widely along some other parameter. Some researchers have proposed statistical models to deal with this so-called selection bias. Special models are developed to identify and deal with the correlated error associated with such a bias. These corrections use factors that are common to both the equation that describe the factors associated with care use and that looking directly at outcomes and one that seem to apply to one but not the other.

Interpreting the results of regression equations can be complicated. Fundamentally, the major question is whether the independent variable of greatest interest (usually treatment) is significantly related to the dependent variable (i.e., the outcome) after the effects of other factors has been considered. This relationship can be examined in two ways: (1) the extent to which a change in the risk factor affects the dependent variable (e.g., the odds ratio) and (2) the capacity of the full equation to explain the variance in the model. It is quite feasible for a variable to be significantly related to the dependent variable in an equation that explains very little of the overall variance. Conversely, explaining the variance does not examine the relationship between the independent variables and the dependent variable. In epidemiological terms, the size and strength of a coefficient from the regression equation reflect the power of the relationship, whereas the amount of variance explained describes the power of the overall model. It is possible to have a significant relationship among variables and still not explain much of the total variance in the distribution of the dependent variable. Because outcomes may be influenced by many things—not all of them measurable, many outcome equations do not explain large amounts of the variance, although the adjusted relationship between variables of interest may be very significant. Being able to establish a clear relationship between a treatment and its purported effects is important even when that relationship does not account for all, or even most, of the effect. A clear understanding of how a treatment influences outcomes for defined subgroups of patients lays the foundation for meaningful guidelines about what constitutes appropriate care.

## ORGANIZATION OF THE BOOK

The next three chapters in this introductory section address overarching design issues; two address study design issues and one is on measurement principles. The next section of this book (chapters 2–4) is organized to dis-

cuss the implications of the basic outcomes model. Each component is discussed at some length to identify the issues that must be considered and to suggest some measures that may prove useful (along with caveats about using them). Chapters 5–7 address outcomes measures including generic measures, condition-specific measures, and satisfaction. Chapters 8 and 9 cover the major components of risk adjustment, including severity of illness, comorbidity, and demographic and psychosocial characteristics. Chapter 10 addresses cost effectiveness, a growing area of related interest in outcomes research. Chapter 11 discusses treatment and proposes a taxonomy for this central component. The final two chapters (12–13) address some overarching issues in conducting outcomes research. Chapter 12 provides some practical issues in implementing research studies in a clinical setting. The last chapter then offers some final thoughts for those who are anxious to launch into outcomes studies. Although these observations are intended primarily for neophytes, the authors hope that even more experienced outcomes researchers may gain some useful insights from them.

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## 22 CHAPTER 1 INTRODUCTION

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**NOTES**

1. Terminology varies a great deal with respect to the use of the term “risk factors.” Some people use it interchangeably with disease severity. Others use it more generically to refer to the whole set of factors that can influence the outcomes of care (even including treatment). In this book, we have tried to use it consistently to refer to those factors besides treatment that can affect outcomes.
2. It would be possible to deal with clusters of diagnoses, but the numbers of combinations could quickly become unmanageable.
3. Random assignment does not confer an absolute protection against bias. It simply reduces the likelihood that such bias has occurred. It is still important to examine the characteristics of the experimental and control groups to look for such bias and to consider the value of subgroup analysis where the effects of treatment may be greater with one portion of the sample than another.
4. This book does not attempt to discuss the intricacies of the analytic methods for non-experimental studies. Investigators should consult with a methodologist and/or statistician before any outcomes analysis is undertaken.