POMP 5 CASE MANAGEMENT SURVEY
Data Collection Procedures
March 24, 2004

1.0 Overview of the Survey Design for Case Management Measurement Survey

POMP 5 participants formed a workgroup to develop a case management performance measurement survey. Two modules were developed: client and program administrator. Clients are interviewed over the telephone, and the program administrators complete a short paper-and-pencil questionnaire.

There are two versions of the client questionnaire. One version is for clients who respond to the questionnaire themselves or through an interpreter (for those clients who are not English speaking). The second version is for proxies (caregivers or others who are close to the client), answering for clients who have hearing or cognitive impairments. The only differences in the client and proxy versions of the questionnaires are the instructions and the wording of some of the questions to reflect that the proxy is referring to the client and not to him or herself. The content of the questions in the two versions is identical.

Grantees draw a random sample of case management clients either on the state, area agency on aging (AAA), or provider level, depending on how the data will be used. It is also possible to stratify on other factors (e.g., urban, rural, etc.). Directions for sampling are in Section 3. The client questionnaire focuses on consumer assessment of case management services and the extent to which the services assist clients in remaining independent.

A designated staff person completes the program administrator's questionnaire. The areas in the questionnaire include the number of full-time equivalent case managers, total caseload, turnover rate, and reasons for termination.

The following sections contain instructions for sampling and data collection.

2.0 Preparing for Data Collection

For the case management client module, grantees administer the following questionnaires: Client, Demographic, and Physical Functioning. The Social Functioning and Emotional Well Being Questionnaires are optional. The program administrator's questionnaire is just administered by itself. The questionnaires and accompanying technical assistance materials are on the POMP 5 website (www.pomp5.net). The materials posted on the website follow:

Questionnaires - Client

- Client questionnaire
- Proxy client questionnaire
- Demographics questionnaire
- Physical Functioning questionnaire
- Social Functioning questionnaire (optional)
- Emotional Well Being (optional)

Questionnaire – Program Administrator

- Program administrators questionnaire

Technical Assistance Materials:

- Sample size calculator
- Sampling Procedures Report
- Sample Tracking Form
- Data Collection Instructions

3.0 Sample Selection

3.1 Criteria for Inclusion in the Sample

To be eligible for inclusion in the study, all clients must meet the following criteria:

- Active clients
- 60 years of age and older
- Received services for at least 3 months (i.e., must have started receiving services prior to Jan. 1, 2004)
- Receiving case management services funded under Title III of the Older Americans Act (OAA) and/or state funded (**exclude Medicaid Waiver only clients**)

Instructions for Sampling

It is important for you to follow the steps below for sample selection.

1. Master Client List: Generate a master list of active clients (e.g., delete persons no longer receiving case management services) for the geographic (or other) area you wish to sample. The area may be a state, AAA, or a provider. (It is also possible to stratify the sample on additional factors). The area chosen will determine your ability to generalize the results of the survey. For instance, if you draw a random sample of clients from one AAA, the results can only be generalized to that specific AAA and not to any other area.

2. Sample Size: To determine the appropriate sample size, please install the sample size calculator located on the POMP 5 website. Follow the instructions for loading the calculator onto your computer also located on the POMP 5 web site. The population size is the total number of clients in the program. When using the sample size calculator please enter 50% in the response rate box.

3. Sample List: Once the sample size has been determined, use a simple sampling rate method to select the clients to be included in your drawn sample (e.g., the initial list of clients in your sample before interviewing them). Calculate the sampling rate by dividing the sample size by the total population to select every nth caller on the sample list. For example, if the entire population is 1000 and the sample size is 351, the sampling rate is 1000/351 or every 3rd client. It is best to avoid choosing the 1st person on the list, so choose a random number between 1 and the sampling rate (in this example 3) to begin sampling. Please use the Sampling Tracking Form to record the result code for all clients in the drawn sample. Westat will need this form along with the completed questionnaires.

If at all possible, we recommend stratifying your sample. This could be done by agency, region, or case manager. If you need technical assistance, please contact Beth Rabinovich at 301-315-5965.

4.0 Information needed for Weighting

Whenever possible, we plan to adjust for nonresponse bias and sampling bias. The adjustment for nonresponse bias deals with clients in the drawn sample who were not locatable, refused to participate, or weren't home when called by an interviewer. Weighting the sample allows you to generalize your results to everyone in the program, not just to the sample.

Information Need for Nonresponse Adjustment

To apply a nonresponse adjustment and weighting techniques to the sample, specific information is needed. First, we need the result code for each person in the drawn sample. The **Sample Tracking Form** has a column for the result of your attempt to reach clients. Whenever possible, please collect the following information for all clients in the **drawn sample**:

- Age
- Sex

Information needed for weighting

The **Sample Procedures Report** asks for the information necessary for weighting the sample to the total population of your case management program. The following information is needed for weighting:

- The total number of clients on the **master client list**
- Sample size for the drawn and competed samples.

5.0 Training Data Collectors

Administer the client and proxy questionnaires over the telephone. Please train interviewers to read the introductory script and questions verbatim. This will ensure consistency in survey administration across interviewers and grantees. In addition, instruct interviewers to do the following:

For Clients in the Completed Sample:

- For open-ended questions, please enter the clients' answers verbatim. Make sure that another person can read them.
- Complete all information in the office box.
- Be sure to administer the demographics and physical functioning questionnaires
- After the client has been successfully contacted and has completed the questionnaire, be sure to record this in the Sample Tracking Form as C.

For Clients in the Drawn Sample

- Record the result code on the Sample Tracking Form (for all clients in the drawn sample (even those who were not locatable or refused to be in the survey).