

# **AoA Sixth National Survey (2011)**

## **1. SAMPLE SELECTION, WEIGHTING, AND VARIANCE ESTIMATION**

The survey employed a two-stage sample design, first selecting a sample of Area Agencies on Aging (AAAs) in stage one and, in the second stage, a sample of clients for each service within each sampled AAA. The sixth national survey covered six services – Home-Delivered Meals, Homemaker Services, Transportation, the Family Caregiver Support Program, Congregate Meals and Case Management.

Weighting of each service record was done separately. Initially, base weights were computed by taking the inverse of the selection probability for each sampled client. Then the base weights were adjusted for nonresponse, followed by trimming of the extreme weights. Finally, a poststratification adjustment was made using available control totals. Fay's modified Balanced Repeated Replication (BRR) method was used for computation of the sampling variances of survey estimates.

### **Agency Selection**

At the first stage of the two-stage design for the national survey, a stratified sample of 312 AAAs (allowing for a 20% non-response) was selected from the frame of 637 agencies. The sampling frame was similar to the frame used for the first through fifth national surveys. However, the agency measures of size for the sixth survey were completely updated with new budget figures based on the most recent reports from the AAAs. This was the first update of size measures since Survey 1.

The AAA sample was selected independently within five budget size strata, which were created based on the square root of the total budget sizes of the AAAs. The AAA and client samples were proportionally allocated to the total of the square root of the budget sizes in each stratum. However, within a stratum the sample of AAAs was selected with equal probability, but sorted by Census region. This method was used instead of direct probability proportional to size (PPS) sampling because in the earlier national surveys it was found that budget size was not necessarily well correlated with the total number of clients in each agency for every service. In the absence of any other information, budget size was still used in sample selection, but with less importance. First, the square root of the budget size (instead of budget size itself) was used to

reduce the effect of large variation in budget sizes. Second, the sample was allocated at the stratum level proportional to the overall total of the square root of the budget size. This procedure gave a higher probability of selection to agencies with larger budget sizes, but the agencies within a budget size stratum received the same probability of selection. As in the prior surveys, some agencies were selected with certainty. The total sample size was allocated to the five strata as shown in the following table:

**Table 1      Sampling strata and allocation of agencies into strata for the national sample.**

STRATUM	Square Root of Budget Size	Allocation of AAA Sample
<b>Certainty</b>	Greater than or equal to \$4,676	42
Non-certainty Stratum 1	\$2,645 - \$4,675	68
Non-certainty Stratum 2	\$1,873 - \$2,644	67
Non-certainty Stratum 3	\$1,480 - \$1872	68
Non-certainty Stratum 4	Less than \$1,480	67

The forty-two agencies with the largest budget sizes were selected with certainty for the AAA sample. The remaining sample was then selected independently within each of the non-certainty strata. The implicit stratification (sorting) variables in the selection process were the four Census Regions (Northeast, Midwest, South and West), meaning that the number of agencies in each Region was selected roughly in proportion to the total of the square root of budget of the Region. Table 2 shows the agency distribution in the frame and in the originally-selected sample by Census Region.

**Table 2 Distributions of agencies in the universe and in the original sample by region.**

Census Region	Number of AAAs in the Frame	Number of AAAs in the Sample
Northeast	172	83
Midwest	111	64
South	230	105
West	124	60
<b>Total</b>	<b>637</b>	<b>312</b>

### **Client Selection**

Client samples by service type (Home-Delivered Meals, Homemaker, Transportation, Caregiver Service, Congregate Meals, and Case Management) were drawn randomly within each sampled AAA. The total number of clients receiving each service within an agency was obtained by contacting either the sampled agencies or the State Unit on Aging (SUA) for the state in which the sampled agency is located before selecting the sample of clients. Based on the total number of clients, line numbers from client master lists were sampled using a Westat software application that took the total number of clients in each service by agency and randomly selected the matching line numbers for the selected clients. The number of clients selected from a service within each agency is such that the expected overall probability of selection of a client within a service is roughly the same for all clients within each sampling stratum. Also, to allow for a nonresponse or ineligibility rate (e.g., due to mortality, nursing home placement, or other service termination), the number of clients selected was increased by the inverse of the rates observed in the previous cycle of the national survey in order to meet the required sample size for each service. In the certainty agencies, the number of clients selected in each agency varied depending on the budget sizes of the agencies. However, in the non-certainty agencies, fixed-size client samples were selected from each agency for each service as indicated in Table 3 below.

**Table 3 Within-AAA sample sizes by stratum type for the six target services**

<b>Service</b>	<b>Certainty Stratum*</b>	<b>Non-certainty Stratum</b>
Family Caregiver	Roundup (312*27*MOS10/ SUM (MOS10))	27
Home-Delivered Meals	Roundup (312*10*MOS10/ SUM (MOS10))	10
Homemaker Service	Roundup (312*6*MOS10/ SUM (MOS09))	6
Transportation	Roundup (312*16*MOS10/ SUM (MOS10))	16
Congregate Meals	Roundup (312*11*MOS10/ SUM (MOS10))	11
Case Management	Roundup (312*11*MOS10/ SUM (MOS10))	11

\* In the formulas for the certainty strata above, the quantity MOS10 is the square root of the budget size for the given AAA, and the expression SUM (MOS10) is the sum of the size measures over all AAAs on the frame. Thus, the formula for the client sample size for a certainty AAA is the ratio of the individual measure of size to the sum of all the measures of size times 312 times the fixed sample size for the given service. The result is then rounded up to the next largest integer. Note that the within-AAA client sample sizes were increased for the sixth survey from what they were for the fifth survey because of updated response and eligibility rates based on the results of the fifth survey.

**Selection Probability**

The probability of selection of a client within a service can be mathematically expressed as follows. First, let

$$P_{i \in h} = \text{Probability of selection of agency } i \text{ in stratum } h,$$

$$= \frac{\text{Number of noncertainty agencies selected from the stratum}}{\text{Total number of noncertainty agencies in the stratum}}$$

$$= \frac{m_h}{M_h}, \text{ for agencies in a non-certainty stratum.}$$

For certainty agencies, the probability of selection was 1 (i.e.,  $P_{h=c} = 1$ ). Next, let

$$P_{ijs} = \text{Probability of selection of client } j \text{ in service } s \text{ within agency } i,$$

$$= \frac{\text{Number of clients selected from service } s \text{ in agency } i}{\text{Total number of clients in service } s \text{ in agency } i} = \frac{n_{is}}{N_{is}}.$$

Recall that  $n_{is}$  was fixed in advance for non-certainty agencies by service, as shown in Table 3.

Thus, the overall probability of selection of client  $j$  in service  $s$  within agency  $i$  in stratum  $h$  was

$$\pi_{ijs} = P_{i \in h} \times P_{ijs} = \frac{m_h}{M_h} \times \frac{n_{is}}{N_{is}} \quad \text{for the clients within non-certainty agencies,}$$

$$= 1 \times \frac{n_{is}}{N_{is}} = \frac{n_{is}}{N_{is}} \quad \text{for the clients within certainty agencies.}$$

## Weighting

Weighting was done in four steps: calculation of base weights, nonresponse adjustment, trimming of extreme weights, and poststratification adjustments to known population control totals.

### Base Weights

The base weight is the inverse of the overall selection probability of a client. The base weight of a client can be obtained by calculating the base weight for an agency and multiplying that weight by the within-agency-level base weight of a client in a service within that agency.

The base weight for an agency  $i$  can be expressed as

$$a_{i, i \in h} = \frac{1}{P_h} = \frac{M_h}{m_h} \quad \text{for non-certainty agencies,}$$

$$= 1 \quad \text{for certainty agencies,}$$

and the base weight for a client in a service within an agency can be expressed as

$$v_{ijs} = \frac{1}{P_{ijs}} = \frac{N_{is}}{n_{is}},$$

= the within-agency base weight of client  $j$  in service  $s$  within agency  $i$ .

Therefore, the overall base weight of a client within a service is

$$w_{ijs} = a_i \times v_{ijs} = \frac{1}{\pi_{ijs}},$$

$$= \frac{M_h}{m_h} \times \frac{N_{is}}{n_{is}} \quad \text{for non-certainty agencies,}$$

$$= 1 \times \frac{N_{is}}{n_{is}} \quad \text{for certainty agencies.}$$

#### Nonresponse Adjustment

Since not all sampled agencies and clients responded to the survey, the base weights had to be adjusted for nonresponse. The nonresponse adjustment was done in two steps by performing separate adjustments for agency-level and client-level nonresponse.

If  $m_{hs}^r$  denotes the number of agencies in stratum  $h$  that responded to the survey for service  $s$ , then the agency-level nonresponse adjustment was calculated as follows:

$$a_{is, i \in h}^r = \frac{M_h}{m_h} \times \frac{m_h}{m_{hs}^r} = \frac{M_h}{m_{hs}^r}$$

= the nonresponse adjusted weight of agency  $i$  for service  $s$ .

If  $n_{is}^r$  denotes the number of clients that responded for service  $s$  within agency  $i$ , then the client-level nonresponse adjustment was calculated as follows:

$$v_{ijs}^r = \frac{N_{is}}{n_{is}} \times \frac{n_{is}}{n_{is}^r} = \frac{N_{is}}{n_{is}^r},$$

= the nonresponse adjusted weight for client  $j$  for service  $s$  within agency  $i$ .

Therefore, the overall nonresponse-adjusted weight of client  $j$  for service  $s$  within agency  $i$  is

$$w_{ijs}^r = a_{is}^r \times v_{is}^r = \frac{M_h}{m_{hs}^r} \times \frac{N_{is}}{n_{is}^r} .$$

### Trimming of Weights

To keep the variance of the survey estimates within an acceptable level, extreme weights were trimmed. The sample design was set up to select clients within a service with equal probability so that the base weights of all clients within a service would be roughly equal. This would have been the case if the measure of size used in selecting the agencies (i.e., the square root of each agency's annual budget) was perfectly correlated with the number of clients in a service and if there had been no nonresponse. But in reality, this correlation was not high, and there was some nonresponse. Some agencies had larger budgets due to larger client sizes in some services but smaller numbers of clients in other services. Similarly, some agencies had smaller budgets but relatively larger numbers of clients in a particular service. This contributed to increased variability in the selection probabilities and subsequently in the base weights. Moreover, the variability in weights was increased further due to the adjustment of client nonresponse rates that varied substantially from agency to agency. Since variability in the weights increases the variances of the survey estimates, those weights which were too high compared to the median base weight were trimmed to upper acceptable limits to reduce the variance of the weights.

Initially, the upper acceptable limits were determined by using the median base weight within a service group. For Home-Delivered Meals, weights larger than 4 times the median base weight in the service group were trimmed to be equal to 4 times the median base weight in the group. However, for the remaining five services, this trimming rule was empirically shown to over-trim with respect to the percentiles of the distribution of all weights for that service. Thus, for caregiver and transportation, the weights were trimmed at the 99<sup>th</sup> percentile. For congregate meals, the weights were trimmed at the 95<sup>th</sup> percentile. For homemaker the weights were trimmed at the 97.5 percentile, and for case management at the 97<sup>th</sup> percentile. One effect of trimming weights is that estimated totals are reduced from what they would have been, had trimming not been applied to the weights. This loss in the sum of weights due to the trimming was adjusted in the poststratification adjustment described below. The trimmed, nonresponse adjusted weights will be denoted by  $w_{ijs}^\theta$  in the following sections.

### Poststratification Adjustment

The final step of weighting involved the benchmarking of the estimated number of clients in a service (based on the trimmed, nonresponse-adjusted weights) to the known total number of clients (control total) obtained from the AoA State Program Reports (SPR). The poststratification adjustment, or benchmarking, was done at the regional level, since reliable control totals were available at the regional level.

The post-stratified weights ( $w_{ijs}^p$ ) for service  $s$  were calculated by multiplying the trimmed, nonresponse-adjusted weights ( $w_{ijs}^\theta$ ) by the ratio of the known control total ( $N_s$ ) to the estimated total ( $\sum_{ij} w_{ijs}^\theta$ ) as follows:

$$w_{ijs}^p = w_{ijs}^\theta \times \frac{N_s}{\sum_{ij} W_{ijs}^\theta}$$

The poststratification adjustment described in this paragraph was applied to Home-delivered Meals, Homemaker Services, Congregate Meals and Case Management. The adjustments for Caregiver and Transportation services were calculated somewhat differently and are described below.

### Poststratification Adjustment for Caregiver Service

The mathematical details for the poststratification adjustment of Caregiver services are identical to those described in the paragraphs immediately above. However, two different sets of control totals were made available for Caregiver services and hence two different sets of weights were created. First, caregiver clients were divided into three groups according to which particular caregiver service the client received: Respite Care, Counseling, or Total Supplemental Services. A separate set of post-stratified weights was created for each of these three subgroups **to be applied only to those clients receiving that particular service**. This was done so that weighted totals would be forced to equal the total reported number of clients receiving Respite, Counseling and Supplemental services, respectively. The weights produced by these calculations should be applied only to the individual subgroups of clients (Respite, Counseling and Supplemental) receiving those individual services. It is important to note that a small number of clients (n=154) did not receive any of the caregiver subgroup services and thus were excluded from this file, although they were included in the weight file for the group of all caregiver clients combined (see below).

In addition, a set of control totals for **all caregiver recipients combined** was applied to the entire sample of caregiver clients surveyed. Since a given client could have received any of the three sub-categories of service described in the previous paragraph, the subgroup totals were randomly allocated to the subgroups so that those clients who received more than one of the subgroup services were not overestimated in the overall total. The weights produced by this procedure should be used to produce any estimates for the total group of caregiver clients combined. **The data user must use caution to ensure that the correct set of post-stratified weights is used in making estimates for caregiver clients.**

#### Poststratification Adjustment for Transportation Service

For the Transportation service, control totals for the number of clients were not available. However, State Units on Aging (SUAs) did provide the number of one-way passenger trips in the State Program Reports (SPR). These SPR regional level trip counts were used for the purpose of estimating control totals for the number of clients receiving transportation services by region. The following summarizes the methodology used for constructing these transportation client counts:

- The national survey asked respondents how many one-way trips per month they usually took using the AAA transportation service. To ensure proper identification of AAA-funded transportation programs, the computer assisted telephone interviewing (CATI) software allowed the interviewers to prompt the respondents with the specific name of the transportation service, which the provider had supplied to Westat during the client sampling stage.
- An average annual per-person trip count by region was estimated from the survey data file using the trimmed, nonresponse-adjusted weights.
- By dividing the total trip count by the per-person average annual number of trips, Westat estimated the total number of persons who received transportation services by region.

The method of estimation explained above can be mathematically expressed as follows:

$$\hat{N}_s = \sum_g \hat{N}_{gs} = \sum_g \frac{T_g}{\bar{t}_g} = \sum_g \frac{T_g}{\frac{\sum_{ij} t_{ij} w_{ijs}^{\theta}}{\sum_{ij} w_{ijs}^{\theta}}} = \sum_g \frac{T_g}{\hat{T}_{gw}} \times \hat{N}_{gw},$$

where

$\hat{N}_s$  is the final estimate of transportation client count,

$\hat{N}_{gs}$  is the final estimate of transportation client count in region  $g$ ,

$T_g$  is the total number of one-way trips reported by the SUAs in region  $g$ ,

$\bar{t}_g = \frac{\sum_{ij, i \in g} t_{ij} w_{ijs}^{\theta}}{\sum_{ij, i \in g} w_{ijs}^{\theta}}$  is the per-person weighted average of annual number of trips in

region  $g$ ,

$t_{ij}$  is the number of annual one-way trips made by client  $j$  in agency  $i$ ,

$\hat{T}_{gw} = \sum_{ij, i \in g} t_{ij} w_{ijs}^{\theta}$  is an initial estimate of the total number of one-way trips in region

$g$  based on the trimmed, nonresponse-adjusted weights;

$\hat{N}_{gw} = \sum_{ij, i \in g} w_{ijs}^{\theta}$  is an initial estimate of the total number of transportation clients

in region  $g$  based on the trimmed, nonresponse-adjusted weights.

The above estimator is widely known as a *Ratio Estimator* in the sample survey literature because the initial estimate of the total number of transportation clients ( $\hat{N}_w$ ) is adjusted by the ratio of actual to estimated total number of one-way trips ( $\frac{T}{\hat{T}_w}$ ).

### Variance Estimation

Westat routinely uses replication-based variance estimation methods for computing sampling variances of the survey estimates derived from complex multi-stage sample designs. Westat's variance computation software, WesVar, is designed for this purpose. A version of balanced repeated replication (BRR) referred to as "Fay's method" was used to calculate the variances (and their square roots, the standard errors) of estimates derived from the AoA national survey. Implementation of BRR methods for variance estimation requires the use of a series of "replicate weights," each of which provides an alternative (replicate-specific) estimate of a characteristic of interest. The variability of the replicate estimates about the full-sample estimate of the same characteristic is then used to obtain the variance or standard error of the characteristic.

Let  $y_{ij}$  denote a survey characteristic (variable) for the  $j$ th respondent in the  $i$ th agency, and let  $w_{ij}^p$  denote the corresponding full-sample final weight. Further, let  $w_{ij}^k$  denote the  $k$ th replicate weight, where  $k = 1, 2, \dots, K$ . The estimated total for the survey variable is given by the weighted sum

$$\hat{y} = \sum_{ij} w_{ij}^p y_{ij} .$$

The corresponding replicate estimates are given by the weighted sums

$$\hat{y}_k = \sum_{ij} w_{ij}^k y_{ij} , \text{ for } k = 1, 2, \dots, K$$

The variance of the estimate  $\hat{y}$  is then computed as:

$$\text{var}(\hat{y}) = \frac{1}{(1 - .30)^2} \sum_{k=1}^K (\hat{y}_k - \hat{y})^2 ,$$

where the 0.30 in the above formula is referred to as ‘‘Fay’s factor.’’ The corresponding standard error is simply the square root of  $\text{var}(\hat{y})$  as computed above.

The replicate weights,  $w_{ij}^k$ , required for variance estimation were derived from replicate-specific base weights and include all of the adjustments (e.g., nonresponse and poststratification) used to develop the full-sample weights,  $w_{ij}^p$ .

Replicates were formed first by creating variance strata and variance units. For non-certainty AAAs, variance strata were formed with two or three AAAs in each stratum, and each AAA was treated as a variance unit. For certainty AAAs, each AAA was treated as a variance stratum, and random groups of clients were formed as variance units within the stratum. This difference in forming variance strata for certainty and non-certainty AAAs was necessary to account for the fact that there was no first stage sampling variance for certainty AAAs. Under BRR, the replicates are formed in a balanced way by taking one variance unit from each variance stratum. However, a modified version of BRR called Fay’s method was used for the AoA survey. Under the modified approach, the full-sample weights are adjusted or ‘‘perturbed’’ to define the required replicates, rather than taking one variance unit from each stratum. Further details on

BRR and Fay's method, or replication methods in general, can be found in WesVar 5.0 User's Guide, ([www.Westat.com](http://www.Westat.com)).

WesVar, SUDAAN, STATA, SAS and other complex sample survey software packages can use replicate weights to compute variance estimates that fully account for the complex design used in the AoA national surveys.

## 2. SIGNIFICANCE TESTING OF THE DIFFERENCE BETWEEN TWO ESTIMATES

The statistic given below can be used to test whether the difference between two estimates of proportions is statistically significant. This test can be used to check the significance of the difference either between an agency level estimate and a national level estimate or between estimates for two different agencies. The test statistic is

$$z = \frac{|\hat{p}_1 - \hat{p}_2|}{\sqrt{SE^2(\hat{p}_1) + SE^2(\hat{p}_2)}}$$

where,  $\hat{p}_1$  and  $\hat{p}_2$  are the two survey estimates to be compared, and  $SE^2(\hat{p}_1)$  and  $SE^2(\hat{p}_2)$  are squares of the corresponding standard errors of the two estimates.

When the sample size (i.e., the number of valid responses in each comparison group) is 30 or more, the above test statistic will approximately follow a statistical distribution called the *normal distribution* and the difference will be considered significant at the 5% level of significance if  $z > 1.96$ . The interpretation of such a result is that the probability of obtaining a difference as large as the observed difference by chance alone is less than 5%.

However, if the number of valid responses in one of the groups is less than 30, then the above test statistic will follow a different statistical distribution called the *t-distribution* with  $(n_1 + n_2 - 2)$  degrees of freedom, where  $n_1$  and  $n_2$  are the number of valid responses in the two groups. In this case, the critical value for the significance of a difference will depend on  $(n_1 + n_2 - 2)$ . The following table presents a rough indication of the critical values of the *t* distribution for a 5% level of significance for different values of  $(n_1 + n_2 - 2)$ . The computed value of  $z$  must be greater than the corresponding critical value for the difference between the two estimates to be considered significant.

Degrees of freedom, ( $n_1 + n_2 - 2$ )	Critical value of $t$ distribution at the 5% level of significance
>58	1.96
30-58	2.05
25-29	2.06
20-24	2.08
15-19	2.13

For interested readers, more detailed tables of critical values of the normal,  $t$ , and other statistical distributions are available in standard textbooks on statistical methods.