

# PREFACE

This book defines the three broad perspectives of health services research—effectiveness, efficiency, and equity—and illustrates their application in the evaluation of health services, systems, and policies. The nature and scope of health services research are described in the context of a model of health that recognizes healthcare, behavioral, and environmental determinants. The continuum of personal and community-based health services addressed by health services research is defined, as are the different levels of analysis. A brief history of health services delivery, research, and policy in the United States is presented along with an international overview.

The text presents the conceptual frameworks, definitions, and methods of each perspective and follows up with discussions of current policies and programs addressing each perspective and their performance. The book ends by relating health services research to the principal aims of policy analysis; the case study in Chapter 9 applies and integrates the three perspectives of health services research in the evaluation of a recent policy change concerning disparities in breast cancer screening and early diagnosis.

This book lends itself to any program that trains students how to assess the effectiveness, efficiency, or equity of health services and formulate and evaluate policies designed to improve health services delivery. The primary audiences for the book are practicing professionals and graduate students in public health, health administration, and the healthcare professions as well as federal, state, and local policymakers and program planners charged with the design and conduct of policy-relevant health services research. Professionals and students in medical sociology, the behavioral sciences, and public administration interested in conducting applied or policy-oriented health and health services research will also find the book of considerable interest. We developed and applied the perspective presented in the book in a course we have offered to masters and doctoral students in public health since 1986.

Revisions to this edition draw on a growing body of research on the social, economic, behavioral, and health services determinants of clinical and population health and explore the distinct and complementary roles of personal health services, community-based public health services, and

public policy in improving the health of individuals and communities. Chapter 1 provides an updated, integrative framework of the contributions of health services research to describing and evaluating the performance of health services and systems with respect to the objectives of effectiveness, efficiency, and equity. Many areas in the book have been updated and refined, including discussion on the evolving nature and focus of health services research, the three perspectives of health services research and their relationship to other methods of inquiry, the levels of health services research analysis, the objectives and practices of policy analysis, and the international perspective on health services research and policy. The historical summary of health services research and delivery in the United States also has been updated to include discussion on the Patient Protection and Affordable Care Act (ACA).

As in previous editions, Chapters 2, 4, and 6 introduce the objectives, concepts, and methods of effectiveness, efficiency, and equity research, respectively, while Chapters 3, 5, and 7 review the policy strategies that have emerged to accomplish these objectives and the criteria and evidence used to measure their success. The effectiveness chapters (2 and 3) introduce and apply a conceptual framework that integrates methods for assessing the effectiveness of medical and nonmedical interventions from the population and clinical perspectives. The Donabedian structure/process/outcome model is retained as the prevailing analysis model, but additional models are reviewed, including the Glasgow RE-AIM model, and interrelationships among these models are reviewed. A new focus emphasizes the strengths and weaknesses of published effectiveness analyses, noting the nature of the sampled population, the nature of the data analyzed, and the wide range of effectiveness study designs. As in the previous edition, Chapter 3 reviews ways in which policy and program efforts might be effective for sustaining and improving health and ways that policy efforts can be evaluated using population-wide indicators as benchmarks for outcomes.

The efficiency discussion (Chapters 4 and 5) examines the concepts of production and allocation efficiency and major findings regarding the performance of the US and other countries' healthcare systems with respect to these objectives. Updated material on the cost, financing, and level of efficiency of the US healthcare system relative to other major industrial countries is included. Findings from the Oregon policy experiment, which used a lottery system to assign eligibility for enrollment in a limited number of Medicaid slots, highlight recent research on the benefits of insurance coverage for low-income individuals. The chapter discusses aspects of the ACA that address cost control and the efficiency of healthcare delivery, provides updated information on historical changes to the structure of the health services system in the United States, and explains how failure to address efficiency and equity concerns led to the development of the ACA in 2009. The ACA is contrasted

with Enthoven's model for a universal health insurance system based on managed competition. Pay for performance, accountable care organizations, and medical homes are introduced as new payment and service delivery models designed to improve the efficiency and quality of the health services delivery system in the United States.

Chapters 6 and 7 introduce a conceptual framework grounded in emerging and expanded theoretical dimensions of deliberative, distributive, and social justice and use it to assess the progress of the US health services system in achieving equity along each of these dimensions. All of the material and references have been updated, and a discussion of the equity objectives of the ACA has been incorporated. The conceptual framework section has been revised to more prominently discuss the historical role of distributive justice as a paradigm for assessing equity in health services research. The study design section now includes a brief discussion of the role of nonrandomized data and designs and references methods that have been developed to address issues arising from their use. The organization discussion in the section on distributive justice has been updated to reflect infrastructure changes, and the financing discussion has been updated to reflect the coverage changes introduced by the ACA. The section on at-risk populations has been expanded to reflect recent literature on health equity disparities related to predisposing, enabling, and need-related characteristics. The section on realized access has been revised to emphasize the mutable factors shown to affect access and explain disparities (e.g., insurance, education).

Chapters 8 and 9 describe the interrelationships between the objectives, concepts, and methods of effectiveness, efficiency, and equity research and the objectives and principles of policy analysis in formulating and evaluating health policy. A new section in Chapter 8 discusses the stages of the policymaking process and the factors that influence it. Existing material on the roles that policy analysts can, do, and should play in the policymaking process has been updated, as has the section on the challenges and limitations of applying health services research in policy analysis. Chapter 9 presents a new case study illustrating the kinds of information and analyses involved in applying health services research in an evaluation of a policy change. The case is concerned with determining the outcomes of introducing Medicaid coverage for the National Breast and Cervical Cancer Early Detection Program. The major objectives and features of this government program are described, and its implementation in Texas is summarized. The chapter illustrates policy analysis by describing and evaluating key elements of the Medicaid change.

This book makes unique contributions to the field of health services research: It (1) presents and applies an integrative framework for defining health services research as a field of study involving the application of concepts and methods of effectiveness, efficiency, and equity in evaluating

health policies and programs; (2) reviews and integrates the conceptual, methodological, and empirical contributions of health services research to addressing these issues; and (3) illustrates how the perspectives and methods of effectiveness, efficiency, and equity research can be used to anticipate and pose relevant questions to inform current and future health policy debates.

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