Intraclass Correlation Estimates for Cancer Screening Outcomes: Estimates and Applications in the Design of Group-Randomized Cancer Screening Studies

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Background	Screening has become one of our best tools for early detection and prevention of cancer. The group-randomized
	trial is the most rigorous experimental design for evaluating multilevel interventions. However, identifying the
	proper sample size for a group-randomized trial requires reliable estimates of intraclass correlation (ICC) for
	screening outcomes, which are not available to researchers. We present crude and adjusted ICC estimates for
	cancer screening outcomes for various levels of aggregation (physician, clinic, and county) and provide an
	example of how these ICC estimates may be used in the design of a future trial.

- Methods Investigators working in the area of cancer screening were contacted and asked to provide crude and adjusted ICC estimates using the analysis of variance method estimator.
- **Results** Of the 29 investigators identified, estimates were obtained from 10 investigators who had relevant data. ICC estimates were calculated from 13 different studies, with more than half of the studies collecting information on colorectal screening. In the majority of cases, ICC estimates could be adjusted for age, education, and other demographic characteristics, leading to a reduction in the ICC. ICC estimates varied considerably by cancer site and level of aggregation of the groups.
- **Conclusions** Previously, only two articles had published ICCs for cancer screening outcomes. We have complied more than 130 crude and adjusted ICC estimates covering breast, cervical, colon, and prostate screening and have detailed them by level of aggregation, screening measure, and study characteristics. We have also demonstrated their use in planning a future trial and the need for the evaluation of the proposed interval estimator for binary outcomes under conditions typically seen in GRTs.

J Natl Cancer Inst Monogr 2010;40:97-103

Screening has become one of our best tools for early detection and prevention of breast, cervical, and colorectal cancers. Despite periodic modifications of specific recommendations, these screening tests continue to include the following: mammography for breast cancer; prostate-specific antigen for prostate cancer; the Papanicolaou test and testing for high-risk types of human papillomavirus for cervical cancer, and fecal occult blood test, flexible sigmoidoscopy and colonoscopy for colorectal cancer screening (1,2). In spite of their efficacy, uptake of these screening tests is not optimal, and further outreach and dissemination efforts are needed to inform the community about screening test availability and recommended intervals, to reduce health service access barriers to obtaining screening, and to encourage positive decisions to seek screening (2). Specifically, these issues are particularly apparent in rural communities, such as Appalachia (3–6).

Public health interventions to increase screening include efforts focusing on individuals, the health-care providers, the health-care

delivery systems, other organizational groups in the community (churches and work sites), or an entire community (2,4,6,7). When an intervention operates at a group level, when it cannot be delivered to individuals, or when it manipulates the social or physical environment, a cluster or group-randomized trial (GRT) may be employed to evaluate the intervention effects. GRTs are a natural extension of the usual randomized clinical trial; in GRTs, distinct groups rather than individuals are randomly assigned to the intervention or control condition (8,9).

Because the primary goal of a GRT is to compare the treatment conditions which are assigned to groups, not to individuals, the design and analysis of the trial must account for individuals being a member of a group. Group membership is expressed as the correlation among individuals in the same group. Individuals who see the same physician, who go to the same clinic, who work in the same place, or who live in the same community are expected to share some common characteristics creating a positive intraclass correlation (ICC). A positive ICC affects the estimated variance of the intervention effect by a factor of $(1 + (\overline{m} - 1)\rho)$, where \overline{m} is the average number of individuals per group and ρ is the ICC between members of the group (10). For large \overline{m} , the inflation factor may substantially increase the variance, even when ρ is small, as it often is in GRTs.

Identifying the proper sample size for a GRT requires reliable estimates of ICC, which are often not published or easily available to researchers. An underestimated ICC will result in an underpowered study, whereas an inflated ICC will require too many groups to be randomized. Accurate sample size estimates are needed for the efficient and timely use of scarce research funding.

Gathering estimates of relevant ICCs is an important step in planning a GRT. We are aware of only two articles that have published ICCs for cancer screening outcomes (11,12). In this article, we present the results of a study to gather both crude and adjusted ICC estimates for different cancer screening outcomes for various levels of aggregation (physician, clinic, county, and region). Furthermore, we provide an example of how these ICC estimates may be used in the design of a future trial.

Methods

Data Sources

Twenty-nine investigators working in the area of cancer screening were identified based on our experience in cancer screening research and through discussions with officials at the National Cancer Institute; all were contacted via e-mail in February 2009. Each was asked if he or she had access to data on cancer screening outcomes (ever screened, yes/no; screened within guidelines, yes/ no) and would be willing to work together to calculate crude and adjusted ICC estimates. Approximately, 2 weeks after the initial e-mail, regular follow-up phone calls began to address investigators' concerns and to answer questions they had in calculating ICCs. Regular contact continued with each investigator to compile results and to ensure that all calculations were performed in a consistent fashion. All data were approved by the investigators' local institutional review board.

Cancer Screening Outcomes

For each estimated ICC, collaborating investigators provided details on the study's design, including the target cancer under study, the percentage of individuals ever screened or screened within guidelines, the type and number of groups, and the number of individuals for each group.

Analysis Methods

To calculate ICC estimates consistently, investigators were asked to estimate ρ via the analysis of variance or analysis of covariance method, which has been shown to perform well for continuous and binary outcomes (13). ICCs were calculated as follows:

$$\hat{\rho} = \frac{MS_{between} - MS_{within}}{MS_{between} + (m_0 - 1) - MS_{within}}$$

where $MS_{between}$ is the mean square between groups and MS_{within} is the mean square within group, and $m_0 = \frac{1}{g-1} \left[M - \sum_{i=1}^{g} \frac{m_i^2}{M} \right]$, which is a weighted mean group size. The total number of subjects is given by $M = \sum_{i=1}^{g} m_i$, where m_i is the number of subjects in the *i*th group and *g* is the number of groups. When possible, unadjusted/ crude estimates of ICC, ICC adjusted for age and education, and ICC adjusted for other covariates were provided for each outcome and level of aggregation.

Results

Of the 29 investigators initially contacted, two referred us to their collaborators who were principal investigators of pertinent cancer screening studies; one investigator initially contacted was involved in a research project of a principal investigator already contacted by us. Of the 28 investigators of unique research projects, 10 agreed to collaborate, 11 indicated that they did not have any relevant data to share, three declined to participate because of time constraints, and four did not respond.

From the 10 participating investigators, we received 138 ICC estimates from 12 different studies. Characteristics of each data source are presented in Table 1. More than half of the studies collected information on colorectal and mammography screening, five of the 12 studies collected data on Papanicolaou test screening, whereas only two studies could provide information on prostate cancer screening (prostate-specific antigen). Outcomes were assessed via medical record abstraction/chart review for more than half of the studies, and the majority of studies enrolled participants more than 40 years old.

Table 2 presents crude and adjusted ICCs and further study characteristics. We note that all ICC estimates are from baseline data, except when noted as coming from follow-up. Adjustment for basic demographics (age and education) as well as adjustment for other factors reduced the estimated ICCs in most cases. Adjustment of ICCs (models 2 and 3) most often occurred as a continuous covariate for age and a categorical covariate for education. Exceptions are noted in Table 2. Estimates of ICCs varied considerably by cancer site and by the size of the aggregated group, with larger sized groups tending to have smaller ICCs (24). Adjustment factors considered by investigators, other than age and education, included income, marital status, race, ethnicity, city, insurance status, smoking status, comorbidities, and the number of primary care visits recorded.

Application of Findings for Trial Design

Details of how to use ICC estimates in sample size calculations for GRTs have been described elsewhere (8,9). Here, we provide a relevant example for potential GRTs in cancer screening. We consider a nested cohort design to examine the effect of a new intervention program to increase colon cancer screening in a diverse urban population of men and women. We plan to implement our intervention in community health clinics and will verify up-to-date colorectal cancer screening via chart review. We expect that approximately 40% of adults in our population are already appropriately screened, and we believe that an increase in this rate by 30%, to 52% screened, would be a reasonable and scientifically meaningful increase. Moreover, we believe that we can recruit at least 25 patients on average from each clinic. The planned analysis of this trial will be via a mixed model analysis of covariance, adjusting

Table 1. Study characteristics*

Study (PI)	Screening outcomes	Study population description	Study population age ranges	Self-report or chart audit
V. Champion (14)	Mammography	Patients were recruited from one large HMO and general medicine clinics serving primarily African American indigent patients in the Midwest Women were eligible if they were overdue or had never received a mammogram Participants went on to be randomized to one of the six	50–85 y	Chart audit
B. F. Crabtree (15)	Mammography, colonoscopy, PSA	groups Patients were recruited from 25 primary care practices in New Jersey Patients were recruited from each practice waiting room Baseline of the Supporting Colorectal Cancer Outcomes	≥50 y	Self-report and chart audit
A. Dietrich (16)	Mammography, barium enema, home FOBT, colonoscopy, sigmoidoscopy, Pananicolaou test	through Participatory Enhancements (SCOPE) study Women who were overdue for one or more cancer screening were recruited from community and migrant health centers in New York City Participants were randomized to receive an intervention or usual care	50–69 y	Chart audit
M. Dignan (unpublished data)	Colonoscopy	Primary care practices in rural Kentucky were recruited for the project and were randomized to early or delayed intervention. Patients aged 50 y and older with a recent visit to the practice were selected. At 6- and 18-mo postintervention, new samples of records were reviewed at each practice Baseline and follow-up data	≥50 γ	Chart audit
J. Fenton (17,18)	Mammography, barium enema, FOBT, colonoscopy,	Subjects were enrolled in Group Health, a Washington State health plan Enrollees were included if they were eligible for colorectal,	50–78 y	Chart audit
R. Hiatt (19,20)	Mammography, Papanicolaou test	As part of the Breast and Cervical Cancer Intervention Study (BACCIS), low-income women were recruited to participate in an intervention to increase breast and cervical screening to underserved multiethnic populations in the San Francisco Bay Area	40–75 y	Self-report
E. Paskett (6)	Mammography, Papanicolaou test	Women were recruited from public health clinics From the Robeson Health Care Corporation in Robeson County, North Carolina, women were randomly selected to participate in an intervention to improve breast cancer screening	≥40 у	Self-report
E. Paskett (5)	Papanicolaou test	Participants in the cross-sectional study of Community Awareness, Resources and Education (CARE) project were recruited from four regions and 14 health clinics or private practices in Appalachia, OH Women were randomly selected from active participant	≥18 y	Chart audit
E. Paskett (3)	Colonoscopy	Minority women in North and South Carolina who were residents of subsidized housing communities were targeted in an effort to improve colorectal cancer screening Eleven cities were grouped into four regions in which a	≥50 у	Self-report
S. Shariff-Marco (unpublished	Modality and flexible	Subjects were enrolled in the 2005 California Health Interviewer Survey	50–84 y	Self-report
uata) K. Stange (21,22)	Mammography, colonoscopy, Papanicolaou test	Primary care practices were recruited to the Enhancing Practice Outcomes through Community and Healthcare Systems (EPOCHS) study, a group-randomized trial to promote quality management through the delivery of evidence-based health care Practices were recruited from three health-care systems in porthoast Obio	≥18 y	Chart audit
E. Yano (23)	Colonoscopy	Patient data from the US Department of Veterans Affairs health-care facilities were reviewed for colorectal screening outcomes	52–85 y	Chart audit

* FOBT = fecal occult blood test; PSA = prostate-specific antigen.

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Site	Group	Method	Outcome	Rate, %	groups	per group				Study
Breast	Clinic	CA	Ever screened	88.4	7	113	6000	0006		(14)
Breast	Clinic	CA	Screened 6-mo post intervention	43.9	7	113	6260.	.0912		(14)
Breast	Clinic	CA	Screened within guidelines	35.7	25	18	.1444	.1376	.1418	(15)
Breast	Clinic	CA	Ever screened	67.4	25	18	.2166	.2139	.2149	(15)
Breast	Clinic	CA	Screened during 18-mo intervention period	62.9	10	130	.0047	.0050	.0034	(16)
Breast	Clinic	CA	Screened within guidelines	70.0	31	240	.0359	.0351‡		(21,22)
Breast	Clinic	CA	Screened one or more times during 2-y period	64.1	33	1093	.0074		.0065	(17,18)
Breast	Clinic	SR	Screened within guidelines	74.5	4	215	.0011	0039	0009	(9)
Breast	Clinic	SR	Screened within guidelines	68.5	25	18	.0449	.0567	.0623	(15)
Breast	Clinic	SR	Ever screened	95.1	25	18	.0006	0050	0052	(15)
Breast	Community	SR	Screened within guidelines	65.0	00	200	.0694	.0518§	.0053§	(20)
Breast	Community	SR	Screened within guidelines (follow-up)	66.5	ω	202	.0281	.0236§	0008§	(20)
Breast	Community	SR	Ever screened	75.5	œ	200	.1080	.0798§	.0019§	(20)
Breast	Community	SR	Ever screened (follow-up)	81.5	œ	202	.0607	.0565§	.0028§	(20)
Breast	Community	SR	Screened three or more times in 5 y	42.5	00	200	.0744	.0668§	.0176§	(20)
Breast	Community	SR	Screened three or more times in 5 y (follow-up)	46.0	00	202	.0292	.0276§	0009§	(20)
Breast	Physician	CA	Screened one or more times during 2-y period	64.1	373	100	.0089		.0077	(17,18)
Cervical	Clinic	CA	Screened during 18-mo intervention period	74.1	10	130	.0253	.0323‡	.0253	(16)
Cervical	Clinic	CA	Screened within guidelines	53.0	31	240	.0429	.0417‡		(21,22)
Cervical	Clinic	CA	Screened within guidelines	67.6	14	41	.0624	.0426	.0254	(2)
Cervical	Clinic	SR	Screened within guidelines	53.6	4	215	.0000	0023	0011	(9)
Cervical	Community	SR	Screened within guidelines	76.4	œ	200	.1911	.1528§	.0136§	(20)
Cervical	Community	SR	Screened within guidelines (follow-up)	80.6	00	202	.1001	.0675§	.0022§	(20)
Cervical	Community	SR	Ever screened	89.3	00	200	.2920	.2472§	.0295§	(20)
Cervical	Community	SR	Ever screened (follow-up)	91.8	00	202	.1772	.1315§	.0044§	(20)
Cervical	Region	CA	Screened within guidelines	67.6	4	143	.0309	.0203	.0119	(2)
Colon	City	CA	Screened within guidelines	50.5	11	83	.0349	.0328	.0195	(3)
Colon	Clinic	CA	Screened within guidelines	54.0	31	240	.0449	.0453‡		(21,22)
Colon	Clinic	CA	Screened during 2-y period	34.0	34	1383	.0100		.0075	(17,18)
Colon	Clinic	CA	Screened within guidelines	49.0	25	21	.046	.0415	.0426	(15)
Colon	Clinic	CA	Ever screened	55.4	25	21	.0961	.0881	.0911	(15)
Colon	Clinic	CA	Screened up to date (follow-up)	36.3	10	130	.0157	.0187‡	.0141	(16)
Colon	Clinic	SB	Screened within guidelines	67.4	25	21	.0005	0055	0038	(15)
Colon	Clinic	SR	Ever screened	77.3	25	21	.0214	.0132	.0091	(15)
Colon	County	SR	Screening within guidelines (any modality)	62.4	58	339	.0074	.0052§	.0031§	S. Shariff-Marco
Colon	County	SR	Screening within guidelines (flexible sigmoidoscopy)	25.6	58	171	.0314	.0254§	.0117§	S. Shariff-Marco
Colon	MSSA	SR	Screening within guidelines (any modality)	62.4	534	39	.0158	.0113§	.0058§	S. Shariff-Marco
Colon	MSSA	SR	Screening within guidelines (flexible sigmoidoscopy)	25.6	525	20	.0355	.0268§	.0212§	S. Shariff-Marco
Colon	Physician	CA	Screened within guidelines	29.8	65	62	.1814	.1810		M. Dignan
Colon	Physician	CA	Screened within guidelines (follow-up)	30.9	03	59	.1254	.1255‡		M. Dignan
Colon	Physician	CA	Ever screened	28.9	65	60	.1010	±6260.		M. Dignan
Colon	Physician	CA	Ever screened (follow-up)	32.2	63	58	.1339	.1335‡		M. Dignan
(Table con	tinues)									

Table 2. Study cancer screening rates and intraclass correlation estimates $\ensuremath{^*}$

Site	Group	Method	Outcome	Rate, %	Number of groups	Average No. of members per group	Model1† ICC	Model2† ICC	Model3† ICC	Study
Colon	Physician	CA	Screened during 2-v period	34.0	392	124	.0184		.0172	(17.18)
Colon	Region	CA	Screened within auidelines	50.5	4	229	.0265	.0242	.0147	(3)
Colon	VA Station	CA	Screened within guidelines	69.8	239	130	.1166	.1153‡	.1175	(23)
Prostate	Clinic	CA	Screened one or more times during 2-y period	34.2	30	1131	.0326		.0329	(17,18)
Prostate	Clinic	CA	Screened within guidelines	35.5	25	12	0151	0132	0134	(15)
Prostate	Clinic	CA	Ever screened	57.2	25	12	.1181	.1162	.1061	(15)
Prostate	Clinic	SR	Screened within guidelines	59.9	25	12	.0139	0114	0116	(15)
Prostate	Clinic	SR	Ever screened	78.4	25	12	.0203	.0077	0035	(15)
Prostate	Physician	CA	Screened one or more times during 2-y period	34.2	345	101	.0954		.0967	(17,18)
* All estim.	ates are from be	seline data ur	nless otherwise noted. CA = chart audit; MSSA = Medical Se	ervice Study Area	i; SR = self-repor	t; VA = Veterans A	vffairs.			

Model 1: unadjusted ICC; model 2: ICC adjusted for age and education; model 3: ICC adjusted for age, education, and other covariates

Age adjusted as a categorical covariate

Unpublished data

Only age adjusted.

Table 2 (continued)

for baseline covariates. The sample size formula for this type of trial can be written as follows (8):

$$g_{\rm c} = \frac{2(\hat{\sigma}_y^2(1 - \widehat{\rm ICC})\hat{\theta}_m + \overline{m}\hat{\sigma}_y^2(\widehat{\rm ICC})\hat{\theta}_g)(t_{df,\alpha/2} + t_{df,\beta})^2}{\overline{m}\Delta^2}$$

Here, g_c is the number of clinics per condition, \overline{m} is the average number of individuals per group (clinic), and $\hat{\sigma}_y^2$ is the variance of the primary endpoint. The critical values, $t_{df,\alpha/2}$ and $t_{df,\beta}$ will reflect the acceptable Type I and II error rates for this trial, and $\hat{\theta}_m$ and $\hat{\theta}_g$ reflects one minus the percent of variance reduction expected through regression adjustment for member-level and group-level covariates, respectively.

For example, we may expect that regression adjustment for member-level covariates to reduce variance in our outcome by 10%, and therefore, $\hat{\theta}_m$ would be set to .9. Note that conservative estimates of $\hat{\theta}_m$ and $\hat{\theta}_g$ would be 1. Sample size calculation begins with critical values $t_{df,\alpha/2}$ and $t_{df,\beta}$ set for infinite *df*. Next, we use the calculated sample size to determine an updated estimate of *df* and iterate through the calculation updating the critical values appropriately. Given the proposed study's target population and outcome, we will use the ICC estimates from Ferrante et al. (15) for this example (cf Table 2). We calculate sample size as follows allowing the estimated ICC to be .05, $\hat{\theta}_m = .90$, $\hat{\theta}_g = .80$, and a Type I error of 5% and 80% power:

$$g_{c} = \frac{2(0.2496(1-0.05)0.90+25\times0.2496(0.05)0.80)(1.96+0.84)^{2}}{25\times0.12^{2}} = 20.20.$$

In the above calculation, we began by using the critical values with infinite df. We can recalculate sample size, assuming df equal to 2(21 - 1) = 40.

$$g_{c} = \frac{2(0.2496(1-0.05)0.90+25\times0.2496(0.05)0.80)(2.021+0.851)^{2}}{25\times0.12^{2}} = 21.21.$$

Once again, we iterate through the sample size calculation updating the df = 2(22 - 1) = 42.

$$g_c = \frac{2(0.2496(1-0.05)0.90+25\times0.2496(0.05)0.80)(2.018+0.850)^2}{25\times0.12^2} = 21.16.$$

Therefore, we can suggest that with 22 clinics per condition and 25 patients per clinic, we will have 80% power to detect a 12% absolute increase in screening from a baseline of 40% given the above assumptions. To gauge the sensitivity of the calculated sample size to the study assumptions, we vary both the number of patients to be recruited per clinic and the estimated ICC. Because we expect to be able to recruit at least 25 patients per clinic, a reasonable upper value may be 75 patients per clinic. To obtain a range of ICC values, we calculate the one-sided upper 80% confidence interval for the ICC based on the method described by Searle (25) and by Snedecor and Cochran (26). This method was developed for continuous outcomes, and it is unknown if the nominal coverage level is maintained for binary outcomes (27,28). Even so, we use this method here only to provide an approximate range of values for sample size calculation. Further investigation of the properties of this confidence interval method for binary outcomes is needed under conditions typically seen in GRTs. Kieser and Wassmer (29) discuss the use of confidence limits for estimates used in sample size calculation to take into account uncertainty of sample estimates. They confirm that using the upper one-sided 80% confidence limit should guarantee that the planned power be $1 - \beta$, with probability of at least $1 - \alpha$. Table 2 provides ICC estimates and their associated number of groups and average number of members per group needed to calculate confidence limits as outlined above. Using the ICC estimate, the associated number of groups, and members from Ferrante et al. (15), we calculate the upper 80% one-sided confidence limit for the ICC to be approximately .08.

Varying these values, Table 3 outlines the required study sample size per condition. In the range specified, increasing the number of individuals enrolled per clinic reduces the number of groups required, although the decrease appears to be less after increasing to 50 patients per clinic (8). In contrast, any increase in ICC contributes substantially to the number of groups per condition needed to detect our hypothesized treatment effect, with 80% power and 5% two-sided probability of Type I error.

We note that others have suggested varying approaches to account for uncertainty in estimation of the ICC (30-32). Turner et al. use a Bayesian approach that can be extended to combining multiple prior estimates of the ICC. Blitstein et al. (32) developed a method to combine ICC estimates based on techniques common in meta-analysis. Both methods attempt to provide a means to incorporate interstudy heterogeneity and provide investigators the ability to use all data available. Moreover, both authors provide guidance that we find useful for the selection of external ICC estimates (30,32). Available ICCs should be collected from studies that are as similar as possible to the study to be designed. Specifically, it is preferred that the ICC estimates come from studies with a similar endpoint, which use a comparable method of measurement, and are calculated from measurements taken on the same general target population. Furthermore, it is preferable if the design and analysis of the trial from which the ICCs are derived are similar to those of the study being planned (32). Turner et al. (30) relax some of these criteria to incorporate other relevant data sources but allow these to have less influence when combining ICC estimates.

Conclusions

Previously, we had found only two articles with published ICCs for cancer screening outcomes; one of which discussed cervical screening, whereas the other investigated breast cancer screening (11,12). Their reported ICCs fall in line with those presented here (.02–.07) for breast and cervical cancer screening.

Our work makes at least three relevant contributions to the literature. First, we have compiled and described crude and adjusted ICC estimates from 13 studies covering breast, cervical, colon, and prostate screening estimates. Estimates are detailed by

 Table 3. Estimated number of groups needed per condition by intraclass correlation (ICC) and average number of subjects per group

Average No. of		ICC	
subjects per group	.05	.06	.08
25	22	24	28
50	17	19	23
75	15	18	22

level of aggregation, screening measure, and study characteristics. Second, all ICC estimates in Table 2 were calculated in the same manner for consistency. Finally, we have provided an illustration of how these estimates can be used to plan future trials.

There is considerable variation in the ICC estimates both between and within screening types. This is a function of the screening outcome measure, level of aggregation, and overall study design. We note that adjustment for basic demographic characteristics beyond age and education, which are likely available in almost any study, generally aids in reducing the ICC estimate. In fact, in several instances, the point estimate for an ICC fell below zero. In practice, we would recommend using a small positive value for sample size calculation instead of a negative value or zero. As we have done in the above example, investigators can consider calculating the one-sided upper 80% confidence interval for the ICC estimate, which would likely correspond to a small positive number.

We also note that adjustment for covariates can increase the ICC estimate, as it did in a few cases in Table 1. Group-level ICCs can increase as a result of covariate adjustment (8). This can occur when the uneven distribution of a covariate across groups masks what is otherwise a higher level of within-group correlation. When we adjust for the covariate, we remove the mask and the ICC estimate increases.

Although the studies presented should provide a starting point for investigators in planning future studies, it is likely that they will have to do some of their own pilot work to determine the most accurate ICCs for their studies. These pilot ICCs can be combined with published estimates using either of the methods mentioned above to determine a more robust estimate of ICC for sample size determination.

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Funding

National Cancer Institute (P50CA105632), the Department of Veterans Affairs (VA) Health Services Research and Development (HSR&D) Service and National Cancer Institute (NCI) Colorectal Cancer (CRC) Quality Enhancement Research Initiative (QUERI) Service–Directed Research (project CRS 02-163) and the HSR&D Service (project IIR 06-087).

Notes

The study sponsors had no role in the design of the study, the collection of the data, the analysis or interpretation of the data, the decision to submit the manuscript for publication, or the writing of the manuscript.

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