



Australian
National
University

Use of censuses and surveys in record linkage studies to evaluate completeness of death registration

Chalapati Rao

- Background
- Statistical methods
- Examples
 - Viet Nam
 - Indonesia
 - Oman
- Completeness measurement in current context of CRVS development

- Generalizability
 - Coverage
 - **Completeness**
 - Aggregated data analysis (indirect methods)
 - Record linkage and matching (direct methods)
- Accuracy
 - Reliability
 - Validity – particularly of registered causes of death
- Policy relevance
 - Timeliness
 - Sub national data availability (geographical disaggregation)

- Completeness =
$$\frac{\textit{number of registered events}}{\textit{estimated number of total events}} \times 100$$

- Comparisons of numbers/rates for same population over time for consistency/time trends
- Comparisons between populations with similar characteristics
- Comparisons between different sources for same population (e.g. census enumerations; health service records etc)
- Overall, not a satisfactory approach (both sources could be of inadequate quality)

Demographic analysis of aggregated data

- Using models of population growth/ change to derive expected deaths as denominator for completeness
- Models based on assumptions
 - accurate population counts;
 - no migration;
 - accurate age-reporting of population and deaths;
 - completeness invariant by age
 - In some methods – stable population (constant fertility and mortality in preceding decades)
- Vastly differing measures from different methods, with considerable uncertainty (**±25%**)

Record linkage or matching studies

- Capture-recapture / dual record system/ matching studies
- requires two or more independent sources of information on individual members of the population
- Estimates total population size (total deaths) when a full count of the total population is unavailable or unfeasible from a single source

Conceptual basis

Individuals 'captured' in one source and 'recaptured' when matched in 2nd source

Matching across key variables:

- Personal details / address variables / Event details - Date of birth/death/registration

Linkage produces 3 sets i.e Matched records; plus sets of unique records in either source

record linkage permits another statistical procedure (based on certain conditions) to estimate deaths not captured by either source

Completeness estimated using denominator from reconciliation of 3 cells
OR (Indian Sample Registration System)

by including the fourth cell (estimated missed deaths) (Chinese DSP)

Computation

TABLE 1. Two-source model

		Source Y		Total
		Yes	No	
Source Z	Yes	a	b	$a + b = Z_0$
	No	c	x	
Total		$a + c = Y_0$		$N = a + b + c + x$

Estimated values		Maximum likelihood estimator (MLE)
Unobserved cell:	\hat{x}	bc/a
Completeness of source Y:	\hat{Y}_c	$a/(a + b) = a/Z_0$
Completeness of source Z:	\hat{Z}_c	$a/(a + c) = a/Y_0$
Total population:	\hat{N}	$a + b + c + (bc/a)$ or, $(a + b)(a + c)/a$

$$\text{Completeness of Y} = \frac{a+c}{a+b+c+x}$$

$$\text{Completeness of Z} = \frac{a+b}{a+b+c+x}$$

- Hook, E.B. and R.R. Regal, *Capture-recapture methods in Epidemiology: Methods and limitations*. Epidemiologic Reviews, 1995. 17(2): p. 243-64.

- No 'out-of-scope' events in either source
 - Correct identity/time frame/residence status/no migration
- Homogeneity of capture probability in each source
 - No selective exclusion by gender/age/ethnicity/geography/SES
- Independence of data sources (capture in one source does not influence capture in the second source)
- Accuracy of matching procedures and matching outcomes (no erroneous matches or erroneous non-matches)

Type of data collection	Primary source ¹	Secondary source ²	Remarks
Continuous recording systems			
Civil registration	Yes		<ul style="list-style-type: none"> • Optimal source • annual data on routine basis
Alternate registration	Yes	Yes	<ul style="list-style-type: none"> • Health system vital records e.g Vietnam, Fiji • Church records in Christian societies
Sample registration	Yes	Can serve as a secondary source for evaluating CRVS	<ul style="list-style-type: none"> • Best alternative to CRVS • Indian SRS (ref) • Chinese DSP (ref) • Bangladesh SVRS (ref)
Special registration	Yes	Can serve as a secondary source for evaluating CRVS or SRS	<ul style="list-style-type: none"> • E.g. Health and Demographic Surveillance Sites in several countries (INDEPTH Network) (ref)
Age based registers		Yes	<ul style="list-style-type: none"> • Maternal/child health • senior citizens /pensioners databases
Disease surveillance systems		Yes	<ul style="list-style-type: none"> • tuberculosis • cancers • injuries • stroke
Periodic data collections			
Census (total population)	Yes	Yes	<ul style="list-style-type: none"> • Optimal 2nd data source (national coverage)
National sample surveys		Yes	<ul style="list-style-type: none"> • Inter censal surveys • DHS program • WHO NCD surveillance (STEPS) surveys • UNICEF MICS surveys etc
Special surveys designed to assess completeness		Yes	<ul style="list-style-type: none"> • Evaluation surveys for sample/special registration • sporadic research based examples

1 = data source for which completeness needs to be evaluated

2 = data source which will be used to evaluate completeness of the primary source

Parameters for study design

- Scope of analysis e.g national / sub national measures; by age; pop sub groups
- Availability/choice of primary & secondary data sources
- Reference time period of analysis
- Matching process
 - Manual/electronic
 - Deterministic/probabilistic/implicit rules
- Statistical procedures
 - Data reconciliation
 - Use of multiple parallel sources or partial data sources
 - DRS method (2source/multiple source models)
 - Hybrid models

- Completeness of $Y = \frac{a+c}{a+b+c+x}$
- Chandra-Deming proposed that if all conditions are met, then
SE of completeness = $\sqrt{Nq_1q_2/p_1p_2}$
- Where N = total number of events estimated by the method (Table 1)
 - p_1 = the probability that an event is recorded in data source 1
 - p_2 = the probability that an event is recorded in data source 2
 - q_1 = the probability that an event is missed in data source 1
 - q_2 = the probability that an event is missed in data source 2

- RMSE of completeness estimate: $RMSE = \sqrt{variance + bias^2}$
- **Variance = sampling error (in one or both sources)**
- **Three sources of bias – out of scope/dependence/matching bias**
 - *Due to varying directions; net bias is usually less than any individual source of bias*

Methods to measure effect of dependence

TABLE 3. SELECTED ARTICLES DESCRIBING METHODS TO MEASURE BIAS AND ERROR IN COMPLETENESS ESTIMATES FROM DUAL-RECORD SYSTEMS ANALYSES

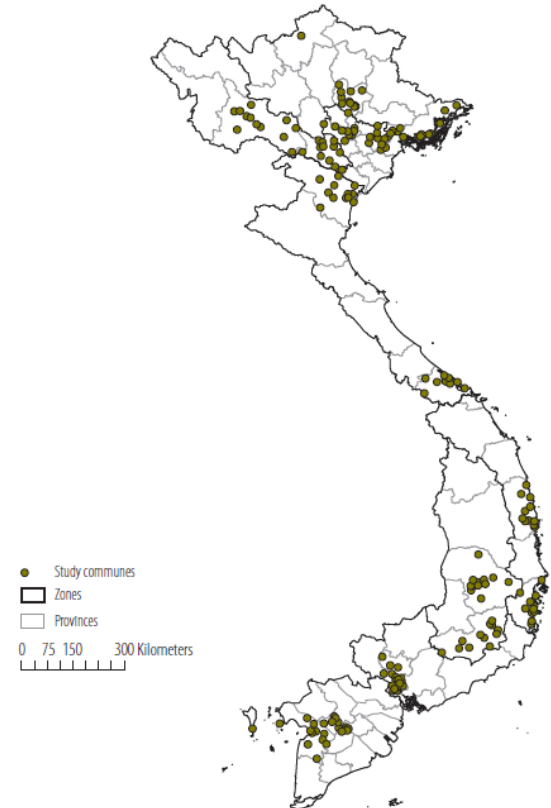
<i>Author/Year</i>	<i>Source</i>	<i>Title</i>	<i>Example</i>	<i>Methods/Results</i>
Seltzer and Adlakha (1974)	International Program for Population Statistics, UNC, Chapel Hill, United States of America. Reprint Series 14, 1974	On the effect of errors in the application of the Chandrasekar-Deming technique	Theoretical example	Proposes methods for estimating net relative bias from out of scope events, lack of independence, matching errors, and interactions between these three sources. No details on measurement of standard error of completeness estimate.
Greenfield (1976)	Journal of the Royal Statistical Society. 139 (3) 389-401	A revised procedure for Dual-Record Systems in Estimating Vital Events	Malawi Population Change survey, 1972	Greenfield estimate accounting for lack of independence; 10 per cent higher than standard DRS estimate; no standard error measurement.
Raj (1977)	Journal of the American Stats, Assoc. 72 (358) 377-81	On Estimating the Number of Events in Demographic Surveys	Theoretical example based on 3 scenarios of completeness	Detailed methods for estimating bias from lack of independence; sampling variance; and total mean square error of completeness.
Nour (1982)	Journal of the Royal Statistical Society. 145 (1) 106-116	On the estimation of the Total Number of Vital Events from Dual Systems	Malawi Population Change survey, 1972	Nour estimate accounting for lack of independence; 4.7 per cent higher than standard DRS estimate; presents method for estimating sampling variance.
Chandrasekaran (1983)	Cairo Demographic Centre Working paper 6	On two estimates of the number of events missed in a dual-record system	Theoretical examples, Indonesian Vital Registration Project	Compares Greenfield method and standard DRS, identifies that error is inversely proportional to the completeness estimate; two estimates provide a plausible range of completeness.
Hook and Regal (1995)	Epidemiologic Reviews. 17(2); 243-264	Capture-recapture methods in Epidemiology	Examples of multiple source data on diseases	Implements separate models for two-source/three-source analysis of missed events, accounting for dependence in each source combination. Proposes use of range of completeness estimates from different methods, rather than any specific variance based standard error calculation of CI.
Ayhan (2000)	Journal of Applied Statistics. 27 (2) 157-169	Estimators of vital events in dual-record systems	Theoretical example based on two sample sources	Method accounts for lack of independence, no details on measurement of standard error of completeness estimate, or of sampling variance.
El-Khorazaty (2000)	Environmetrics; 11; 435-448	Dependent dual-record system estimation of number of Events: a capture-mark-recapture strategy	Vital registration and sample survey data for Egypt, 1974-75	Method accounts for dependence, but assumes no geographic or matching error. Paper compares completeness estimates from data reconciliation; standard DRS; Greenfield; Nour; and El-Khorazaty. No methods for estimating standard error or variance.
Chatterjee and Mukherjee (2013)	arXiv:1311.3812v3[stat.ME] . https://arxiv.org/abs/1311.3812	Approximate Bayesian solution for estimating population size from a Dual-record system	Malawi Population survey, 1972	Models account for variations in behavioural response causing dependence between sources. Includes method for estimating Standard error and 95 per cent CI of completeness.

Hook/Regal proposed to try as many methods as possible, and use the average of all errors

Example: Viet Nam – two routine sources

- Study population :192 communes; 2.6 million pop
- Data sources – Commune health (source 1) / Justice system (source 2)
- manual matching at commune level
- relaxation of matching criteria (age, date of death)
- Unobserved cell computed from two source analysis
- Reconciled data used as numerator
- Completeness factor used to adjust life tables etc

Fig. 1. Geographic distribution of communes included in the sample mortality surveillance system, Viet Nam, 2009



Matching results

	Regions	Total in reconciled list	CHC	Population Dep	Justice system	Other
1	Ha Noi	2304	1723 (75%)	1580 (69%)	1669 (72%)	720 (31%)
2	Thai Nguyen	1185	999 (85%)	210 (18%)	183 (15%)	85 (7%)
3	Hue	2221	1768 (78%)	1043 (47%)	1311 (59%)	777 (35%)
4	Ho Chi Minh	2453	435 (18%)	571 (23%)	1871 (76%)	202 (8%)
5	Can Tho	1758	872 (49%)	758 (43%)	1081 (62%)	535 (30%)

- A death could be recorded in more than one system

-  = interdependence

Table 1. Age- and sex-specific observed and estimated deaths^a and completeness of mortality data, Viet Nam, 2009

Sex-specific age group (in years)	Sample	a ^b	b ^c	c ^d	x ^e	Other source only	Deaths		Per cent completeness ^f (95% CI)
							Observed (a + b + c + additional)	Estimated (a + b + c + x)	
Males	1 239 937	2138	1984	1363	1265	215	5700	6750	81.2 (74.1–87.1)
15–59	873 727	903	873	597	577	92	2465	2950	80.4 (72.2–80.3)
60–74	53 985	453	414	274	250	38	1179	1391	82.0 (74.9–87.9)
75+	22 852	710	629	453	401	77	1869	2193	81.7 (74.7–87.4)
Females	1 309 462	1572	1413	1026	922	181	4192	4933	81.3 (74.4–87.1)
15–59	929 773	373	350	251	236	56	1030	1210	80.5 (72.5–87.1)
60–74	72 999	342	271	213	169	41	867	995	83.0 (75.4–89.0)
75+	37 684	812	734	539	487	80	2165	2572	81.0 (73.9–87.0)

CI, confidence interval.

^a Age- and sex-specific deaths deviate slightly from the totals reported in the text because 27 deaths had no age data.

^b Number of deaths reported by the Commune Health Centre, the Commune Population and Family Planning Committee (CHC/CPFPC) and the Justice Department.

^c Number of deaths reported by the CHC/CPFPC but not by the Justice Department.

^d Number of deaths reported by the Justice Department but not by the CHC/CPFPC.

^e Estimated number of deaths missing from CHC/CPFPC and Justice Department sources.

^f Proportion of estimated deaths derived from the list obtained by reconciling the Justice Department and combined CHC/CPFPC lists. Derived with the following formula: $(a + b + c) \div (a + b + c + x) \times 100$.

Adjusted mortality indicators

Table 2. **Summary sex-specific measures of mortality based on WHO, UNPD and Viet Nam census data for the 16 study provinces, Viet Nam, 2009**

Data source	Per cent data completeness (95% CI)	Life expectancy at birth (95% CI) [e0]	Risk of death in children under 5 (deaths per 1000) [5q0]	Risk of death at ages 15–59 (deaths per 1000) [45q15]	Remaining years of life at age 60 [e60]
Males					
Surveillance sample (unadjusted)	–	74.4 (74.0–74.8)	7.4	163	20.9
Surveillance sample (adjusted) ^a	81.1 (74.1–87.1)	70.4 (70.1–70.8)	24.6 ^c	199	19.4
Viet Nam census (unadjusted)	–	75.2 (75.0–75.4)	10.9	157	22.1
Viet Nam census (adjusted) ^b	65.6 (–)	68.8 (68.6–69.0)	16.5	230	17.9
WHO (2009)	NA (modelled)	69.8 (–)	24.6	173	17
UNPD (2005–2010)	NA (modelled)	72.3 (–)	No data	139	No data
Females					
Surveillance sample (unadjusted)	–	82.3 (82.0–82.7)	5.8	57	25.1
Surveillance sample (adjusted) ^a	81.3 (74.4–87.1)	78.7 (78.4–79.0)	22.5 ^c	71	23.6
Viet Nam census (unadjusted)	–	85.2 (85.0–85.6)	8.8	50	28.4
Viet Nam census (adjusted) ^b	57.8 (–)	77.8 (77.5–78.0)	15.7	86	22.4
WHO (2009)	NA (modelled)	74.5 (–)	22.6	107	19.8
UNPD (2005–2010)	NA (modelled)	76.2 (–)	No data	96	No data

CI, confidence interval; NA, not applicable; UNPD, United Nations Population Division; WHO, World Health Organization.

^a Adjusted for data incompleteness and mortality in children under 5 years of age.

^b Adjustment by the Preston-Coale method.

^c WHO estimate.

Oman 2010 – registration & census

- Acknowledgement: This study was a PhD thesis by Dr Salah al Muzahmi passed by the University of Queensland, Australia in 2016
- Study covering entire population of Omani nationals (excl expats)
- Data sources – Health system routine data 2010 (Source 1)
Census 2010 one year recall (Source 2)
- Three rounds of matching – electronic plus manual
- Analysis – capture-recapture adjustment of completeness of death notification data

Matching variables

Table 1 Variables by source

Variable	BDNS database	Census 2010 database
Notification number	✓	
Reported institution	✓	
Name of deceased	✓	
Name/tribe name of applicant*	✓	✓
<u>Governorate/region</u>	✓	✓
<u>Wilayat (district)</u>	✓	✓
<u>Town/village</u>	✓	✓
Locality or compound		✓
<u>Sex</u>	✓	✓
<u>Date of death</u>	✓	✓
<u>Age at death</u>	✓	✓
Date of birth	✓	

* The applicant for death registration, as well as the census respondent, is assumed to be from the same household and tribe as the deceased. Hence the tribe name of the deceased would be the same as the tribe name of the BDNS applicant as well as the census respondent. Hence, the tribe names were used in the matching process.

Data quality – missing variables

Table 1 Missing/duplication of the primary variables.

Items	Birth and death notification system database	Census
Total records	6,039	5,400
Missing date of death	0	0 [^]
Duplicates	3	19
Missing age	652	0
Missing sex	18	0
Missing governorate	457	0
Missing <i>Wilayat</i>	535	0
Missing nationality	18	0
Missing <i>Wilayat</i> and governorate	457	0
Records used in matching	6,036	5,381

[^] Date of death in the census dataset is divided into three variables (year, month and day); there are 153 records with unknown day and month

Results of matching

FIRST ROUND

Table 14 Summary findings of the first phase of the matching process

	Records
Matched records in the first round	568 (9.5%)
Not matched from Death notification	5468
Missing age	500
Missing governorate	435
Missing <u>wilayat</u>	502
Missing village/locality	1022

Reasons for mismatch

- Variations in
- Spellings
- age
- address
- date of death

SECOND ROUND

Table 15 Summary findings of the phase two of matching process

	Records
Matched according to age	2,983
Matched according to date of death	3,078
Matched according to gender	3,252
Matched according to <u>wilayat</u> /village	3,284
Total matched records on all variables	2,983 (49.5%)

Correction strategy

- Corrected spellings, address variables,
- 5 year margin for age, if matched on other variables
- One month margin for date, if matched on other variables

THIRD ROUND

Table 17 Summary findings of the third round of matching process

	Records
Matched records after third corrections	4,819 (79%)
Not matched	1,217
Reasons for un-matched records*	
Missing age	192
Missing governorate	168
Missing <u>wilayat</u> /village	179
Under-recorded events in census	650

* Some records remained unmatched due to > 1 missing variable

Correction strategy

- Field verification of variables for unmatched cases from health records
- 10 year margin for age for deaths above 65 years, if matched on other variables
- Two month margin for date, if matched on other variables

Table 18 Overall completeness of reporting of deaths
census 2010

		Yes	No	Total
Death notification system	Yes	4,819	1,217	6,036
	No	562	142	644
	Total	5,381	1,359	6,740

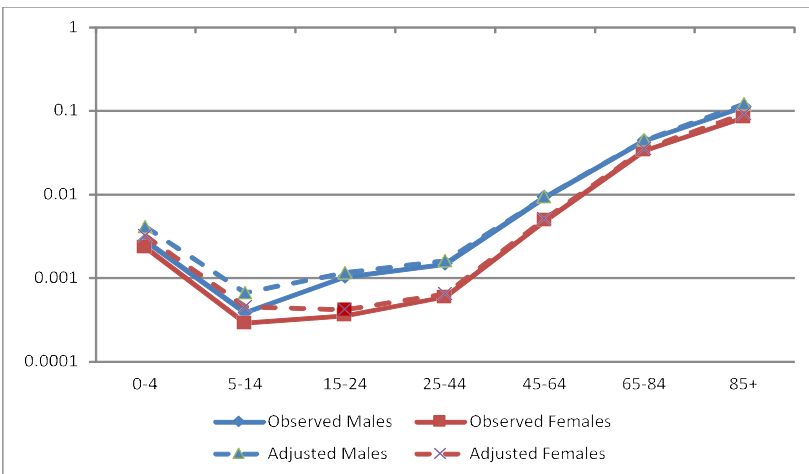


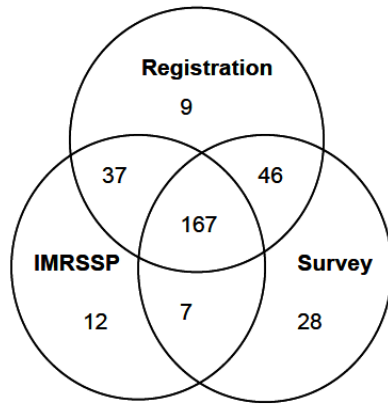
Figure 1: Log plot of Age and sex specific death rate (Observed vs Adjusted), Oman 2010

Sex	Governorate	Completeness rate (95% CI)	Adjusted LE in years (95% CI)
Males	Ad Dhakhliah	92 (90 - 95)	73.7 (72.4 - 74.9)
	<u>Ad Dhahira</u>	<u>86 (83 - 91)</u>	72.1 (70.4 - 73.9)
	Al Buraymi [^]	81 (71 - 91)	81.0 (77.1 - 84.7)
	<u>Dhofar</u>	<u>87 (82 - 91)</u>	75.3 (73.5 - 77.0)
	Musandam [^]	83 (72 - 95)	83.6 (77.5 - 89.6)
	<u>Muscat</u>	<u>87 (84 - 90)</u>	74.2 (73.1 - 75.2)
	N Al Batinah	93 (91 - 95)	73.0 (71.9 - 74.0)
	N. Sharqiyah	98 (86 - 93)	74.1 (72.3 - 75.8)
	S Al Batinah	91 (89 - 94)	73.3 (72.0 - 74.6)
	S. Sharqiyah	92 (89 - 95)	77.0 (75.0 - 79.0)
Total	90 (89 - 91)	73.7 (73.3 - 74.2)	
Females	Ad Dhakhliah	91 (88 - 94)	78.8 (77.4 - 80.2)
	Ad Dhahira	87 (82 - 93)	82.1 (79.7 - 84.3)
	Al Buraymi [^]	84 (72 - 97)	83.4 (79.2 - 87.6)
	<u>Dhofar</u>	<u>88 (83 - 93)</u>	80.2 (78.4 - 82.0)
	Musandam [^]	67 (46 - 87)	79.6 (76.1 - 83.2)
	<u>Muscat</u>	<u>82 (78 - 86)</u>	80.3 (79.1 - 81.5)
	N Al Batinah	97 (95 - 98)	80.6 (79.3 - 82.0)
	N. Sharqiyah	90 (86 - 95)	79.3 (77.5 - 81.3)
	S Al Batinah	90 (86 - 93)	81.5 (80.0 - 83.2)
	S. Sharqiyah	89 (84 - 94)	86.3 (84.1 - 88.4)
Total	89 (88 - 90)	80.0 (79.5 - 80.4)	

Indonesia : Three independent sources

- Central Java – record linkage/matching across three sources (health system, vital registration, independent survey)
- Independent survey and record linkage/matching conducted only in a sample of villages from the overall study population
- Completeness of health system data calculated as a proportion of total deaths obtained from the reconciled list of unique deaths

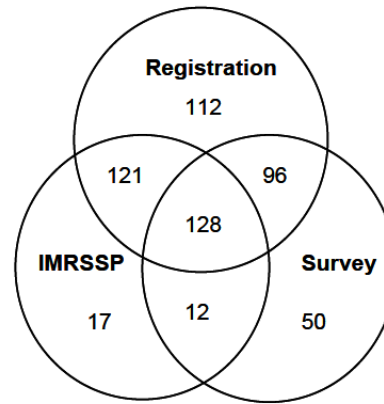
PEKALONGAN



Total deaths = 306

Completeness = 73%

SURAKARTA



Total deaths = 536

Completeness = 55%

Strengths of capture-recapture methods

- Conditions for using capture-recapture methods are ‘data driven’ as compared to the demographic assumptions of underlying fertility /mortality/population growth/migration patterns in the study population
- The data collection procedures allow direct assessment of bias and error
- Independent survey findings can identify systemic weaknesses in registration
- Involvement of local staff in matching builds awareness for improving registration
- Age specific measures of completeness
- Data reconciliation from additional sources helps fill data gaps in cause of death information

Availability of computerised data sources from registration and census/surveys

Electronic linkage vastly reduces logistical challenges of manual matching

Wider use and recording of Unique Identifiers which are invaluable for linkage

Potential to improve data quality of recorded variables used in matching (name spellings; address variables, age, date of death etc)

Explicit rules and probabilistic approach using computerised datasets can be applied to test a range of scenarios and judge cut points for specific criteria

Routine application of these methods in India and China serve as robust examples of their general acceptability

Mortality estimates by age, sex and cause are universally recognised as essential data for population health assessment

To the extent that the dictum since 1990 has been

WHERE THERE IS NO DATA, MODEL IT

Currently, modelling is guided by national mortality data availability score

'Percent well certified' = *completeness (%) * (1 - % 'ill-defined causes')*

Lower the score, higher the extent of statistical modelling for estimation (GBD)

Global distribution of 'percent well-certified'

Negligible = 0-34%; Partial = 35 – 84%; Adequate = 85%

Table 2 Distribution of countries by mortality data quality rating* according to geography and population size

WHO region†	Population	Data quality rating			Total
		Negligible	Partial	Adequate	
Africa					
	<10m	16	2	1	19
	10–50m	22	0	0	22
	>50m	4	2	0	6
Americas					
	<10m	1	16	5	22
	10–50m	2	5	5	12
	>50m	0	1	3	4
Eastern Mediterranean					
	<10m	6	2	0	8
	10–50m	8	3	0	11
	>50m	1	2	0	3
Europe					
	<10m	3	13	16	32
	10–50m	1	8	5	14
	>50m	0	3	3	6
South east Asia					
	<10m	2	1	0	3
	10–50m	2	1	0	3
	>50m	1	4	0	5
Western Pacific					
	<10m	10	4	2	16
	10–50m	2	1	1	4
	>50m	1	4	0	5
World					
	<10m	38	38	24	100
	10–50m	37	18	11	66
	>50m	7	16	6	29
Total		82	72	41	195

What next?

- Completeness estimation -a combination of science and art
- Existing and future 'market' for completeness estimation over next 3 decades, as CRVS systems develop globally
- Current market monopoly at global level
- Need for new players at country level, along with simple methods for error measurement