Copyright is owned by the Author of the thesis. Permission is given for a copy to be downloaded by an individual for the purpose of research and private study only. The thesis may not be reproduced elsewhere without the permission of the Author.

# BAYESIAN METHODS TO ADDRESS MULTIPLE COMPARISONS AND MISCLASSIFICATION BIAS IN STUDIES OF OCCUPATIONAL AND ENVIRONMENTAL RISKS OF CANCER

A thesis by publications presented in partial fulfilment of the requirements for the
degree of

**Doctor of Philosophy** 

in

**Public Health** 

Massey University, Wellington, New Zealand

**Marine Corbin** 

#### **Abstract**

In this thesis I explore the application of several Bayesian approaches, implemented with standard statistical software, in environmental and occupational epidemiology. These methods are applied to case-control studies of occupational risks for lung and upper aerodigestive tract cancers conducted in New Zealand and Europe. The findings are of interest in themselves, but the focus of the thesis is on the application of Bayesian methods to produce these findings. It is not intended to represent a comprehensive overview of all Bayesian methods, but rather to explore Bayesian methods which are most appropriate for the studies which are presented here.

In the first section, I review the underlying theory involved in such analyses.

In the second section, I use Bayesian methods to address the problem of multiple comparisons. In occupational case-control studies, we may collect information on hundreds of occupations/exposures for which there is little or no prior evidence. For those occupations/exposures, we get a false positive finding by chance about 5% of the time. This means that if we repeat the study in a new population, these chance associations are likely to exhibit 'regression to the mean' and will not show such extreme risks again. Bayesian methods can be used to 'shrink' effect estimates based on how strong the regression to the mean is likely to be.

In the third section, I use Bayesian methods for assessing and correcting systematic error. Although the methods I use can be applied to several situations (selection bias, misclassification, residual confounding), I apply them to the specific situation of

misclassification of the main exposure. In particular, I apply four different methods for such sensitivity analyses: multiple imputation for measurement error (MIME); imputation based on specifying the sensitivity and specificity (SS), Direct Imputation (DI) of the 'true' exposure using a regression model for the predictive values and imputation based on a fully Bayesian analysis.

I conclude by summarising the strengths, limitations, and areas of future development for the use of these methods. It is anticipated that, in 5-10 years time, such analyses may become standard supplements to 'traditional' forms of analysis, i.e. that Bayesian methods may be routinely used, and may form part of the 'epidemiological toolkit' for assessing and correcting for both random and systematic error.

## **Author's declaration**

This thesis was produced according to Massey University's "Thesis-by-Paper" requirements. That is, it is based on research that is published, in-press, submitted for publication, or is in final preparation for submission. Each individual chapter is set out in the style of the journal to which it has been submitted. Consequently, some of the submitted chapters are relatively succinct, there is some repetition (particularly in the Methods sections) and there are small stylistic differences between chapters. To supplement the relative brevity of some of the chapters, the appropriate sections of the background and methods chapter have been extended.

I have stated my contribution to each chapter in Appendix IV.

## Acknowledgements

First of all I would like to thank both of my supervisors Neil Pearce and Milena Maule for their constant guidance, support and faith in me during this long adventure and through the distance.

Neil, thank you for welcoming me in New Zealand and at Centre for Public Health Research (CPHR) and for giving me the chance to embark on this PhD. Thanks for your advice and encouragement over the years and thanks for all the opportunities you gave me to extend my knowledge and experience. Thanks also for always finding the time and the ways to meet regularly and answer my questions, even though the different locations, internet connection and time differences did not always make it very easy.

Milena, grazie della tua amicizia e di essere sempre stata qua per me durante tutti questi anni, anche durante i primi mesi di vita di Matteo. Grazie di avermi dato la motivazione e di avermi incoraggiata a iniziare questo dottorato. Grazie del tuo immenso aiuto sia sul piano lavorativo che sul piano morale e di aver condiviso con me tutti i momenti alti e bassi nella realizzazione di questa tesi. Sei stata bravissima a saper ridarmi energia e fiducia ogni volta che ne avevo bisogno e ricorderò sempre sia le insalate di formule che tutte le risate insieme.

Thanks to all my workmates at CPHR for making me feel so quickly part of the 'family'. In particular, thanks to Jeroen Douwes for welcoming me back at CPHR for the last part of my PhD and for helping me through the examination process. Thanks to my mock examiners Jeroen, Steve Haslett, Laura Howe, Andrea 't Mannetje, Amanda Eng and Collin Brookes for their constructive comments. Thanks to Steve for his availability and for his very helpful guidance. Thanks to Amanda and Collin, my

"mentor PhD students", for all their valuable advice and support. Thanks to Dave McLean, Andrea 't Mannetje, Soo Cheng and Fiona McKenzie for their help with the lung cancer study. Thanks to Mathu and Helene for their support and coaching and for our weekly quiz nights and a particular thank you Mathu for hosting me in your lovely apartment every time I came back to Wellington. Thanks to Katharine for being such a supportive roommate during the ultimate phase of this PhD. Thanks to Soo and Grace for keeping me going with the magic tiger balm and essential oils. Thanks to Kerry and Soo for the many rides home when I stayed late at work. Thanks also to Hilary for being always so helpful and thanks to Nathalie and Vicki for their help in the last minute rush.

Grazie ai miei colleghi dell'Unità di Epidemiologia dei Tumori per la loro accoglienza e per avermi viziata dal mio primo giorno a Torino. Innanzitutto grazie mille a Franco Merletti di avermi accolta prima come stagista e poi come dottoranda, di avermi spinta e indirizzata nella scelta di questo dottorato e di avermi dato tutte le opportunità possibili per condurre questo progetto. Grazie a Lorenzo Richiardi per il suo importante contributo a questa tesi e per i suoi consigli che mi hanno aiutata tante volte. Grazie a tutti i "stanzonesi" (Milena, Lorenzo, Daniela, Costanza, Emanuele e Enrica) per tutti i buoni momenti passati insieme e i tradizionali pranzi dagli "Oscar" che mi mancano. Grazie anche a Daniela Aimar di avermi ospitata durante alcune settimane nella sua casa.

I want to thank all my coauthors and in particular thanks to Sander Greenland and Kyle Steenland for their guidance and advice. Thanks also to Jonathan Bartlett for his help and input on Chapter VI.

My stay in New Zealand would not have been such a nice experience if I had not had a nice home to go to every night. Thanks to Carl Lin, Jacob, KC, Steve Mainwaring, Mousumi, Matilda and Swann for being such amazing flatmates.

I am grateful to all my friends for always staying in contact even through the distance.

Un spécial gros merci à Claire, Morgane, Elena et Manue pour leurs visites à

Wellington et/ou à Turin qui m'ont fait énormément plaisir.

I also wish to thank my wonderful family. Merci à Maman, Martin, Clémentine, Marjolaine, Corentin et Capucine de m'avoir soutenue et encouragée pendant toutes mes études. Merci d'avoir supporté mes crises de nerfs à chaque départ, quand je décidais de déballer ma valise cinq minutes avant de partir parce que j'avais oublié quelque chose. Merci aussi d'avoir fait le voyage tous les six à Turin et à Welllington. Merci à Papy et Mamie de m'avoir également soutenue et accompagnée dans tous mes projets. Merci de m'avoir emménagée et déménagée lors de tous mes déplacements en Europe (même sous la neige) et de m'avoir continuellement gâtée. Merci aussi de vos 2 consécutives visites en Nouvelle-Zélande! Merci aussi à ma cousinette Hélène de m'avoir hébergée lors de mes visites à Londres.

Finally, Sebastián, without this PhD I would probably have never met you but without you I would probably have never managed to finish this thesis in time. Thanks for your support for the last few years and for always believing in me and thanks also for your very special care for the last months. ¡Mil gracias por todo!

## **Table of Contents**

Abstract		i
Author's	declaration	iii
Acknowle	dgements	iv
Table of C	Contents	vii
List of tab	oles	ix
List of fig	ures	xi
O	breviations	
SECTIO	ON 1. INTRODUCTION, BACKGROUND AND METHODS	1
Chapter I	. General introduction	2
Chanter I	I. Background and methods	7
Chapter		
A.	Background	
	Occupational and environmental risk factors for cancer	7
	2. Statistical issues in the estimation of risks associated with occupational and	
	environmental exposures	
В.	Methods	
	Introduction to Bayesian inference	
	2. Shrinkage methods	
	3. Bayesian methods for the analysis of bias	36
SECTIO	N 2. RANDOM ERROR	46
Chantar I	II. Lung cancer and occupation: A New Zealand cancer registry-based	
Chapter 1		
	case-control study	4/
Chapter I	V. Occupation and risk of upper aerodigestive tract cancer: the	
	ARCAGE study	76
Chapter V	7. Hierarchical regression for multiple comparisons in a case-control	
Chapter ,	study of occupational risks for lung cancer	95
	study of occupational risks for fung cancer	••••
SECTIO	N 3. SYSTEMATIC ERROR	. 117
Chanter V	7I. Adjustment for exposure misclassification – Application of several	
Jimpici V	methods in a case-control study of lung cancer where the smoking	
	status has been misclassified	118
	NATUS DAS DEED HUSSRISHUED	118

SECTIO	ON 4. DISCUSSION AND CONCLUSIONS	155
Chapter	VII. General discussion	156
A.	Key findings in occupational epidemiology of lung cancer and upper	
	aerodigestive tract cancer	157
В.	Bayesian methods to account for random error	161
	Summary of the approach	161
	2. Key findings	163
	3. Limitations	165
C.	Bayesian methods to adjust for systematic error	167
	1. Summary of the approach	167
	2. Key findings	168
	3. Limitations	172
D.	Future research	173
E.	Conclusions	174
REFER	ENCES	176
APPEN	DICES	190
Appendix	x I – Publications arising from the work presented in the thesis	192
Appendix	x II – Further details of methodology	193
Appendix	x III – Program codes	201
	x IV – Statements of contribution to doctoral thesis containing	
• •		221
publication	ons	441

## List of tables

Table II.1. The 22 agents, for which exposures are mostly occupational, without
considering pesticides and drugs, which are established human carcinogens
(Group 1)10
Table II.2. Frequencies of statistically significant increased risks of lung cancer for job
titles (defined on the basis of 1 to 5 digit ISCO codes) before and after
Bonferroni and Semi-Bayes adjustments. Men
Table II.3. Characteristics of several quantitative bias analysis techniques
<b>Table III.1.</b> Characteristics of the study participants.    55
<b>Table III.2.</b> Odds ratios (OR) and 95% CIs for a priori high risk occupations62
<b>Table III.3.</b> Odds Ratios (OR) and 95% CIs for a priori high risk industries65
Table III.4. Odds Ratios (OR) and 95% CIs for not a priori high risk occupations and
industries (p<0.05) (excluding the a priori high risk occupations listed in
tables III.2 and III.3)66
Table IV.1. Selected characteristics of cases and controls    82
Table IV.2. Selected occupations and industrial branches. Men.    86
<b>Table IV.3.</b> Selected occupations and industrial branches by cancer site. Men87
Table V.1. Selected characteristics of cases and controls.    103
Table V.2. Odds ratio (OR) of lung cancer and 95% confidence intervals (CI) for ever
being exposed to each level of exposure of asbestos, chromium and
silica
Table V.3. Descriptive statistics for the distribution of the ln(OR)s of lung cancer for
the 129 selected occupations (3-digit ISCO codes; n>10) obtained using
Maximum Likelihood (ML), Semi-Bayes adjustment towards the global
mean (SB) and hierarchical regression (HR)
Table V.4. ORs of lung cancer and 95% confidence intervals obtained using Maximum
Likelihood (ML), Semi-Bayes adjustment towards the global mean (SB) and
hierarchical regression (HR) for the occupations associated with the twenty
highest ORs in the conventional ML analysis

Table VI.1. Odds ratios of lung cancer and respective 95% CIs after the application of
MIME122
Table VI.2. Prior distributions on sensitivity and specificity for SS PBA         131
Table VI.3. Fixed values for model (2) coefficients in DI FBA    133
Table VI.4. Definition of model (2) coefficients for DI FBA.    134
Table VI.5. Prior distributions on model (2) coefficients for DI PBA
Table VI.6. Definition of model (3) coefficients for the fully Bayesian analysis141
Table VI.7.a. Prior distributions for the fully Bayesian analysis corresponding to the SS
PBA analysis (Table VI.2)
Table VI.7b. Prior distributions for the fully Bayesian analysis corresponding to the DI
PBA analysis (Table VI.5)142
<b>Table VI.8.</b> Prevalences of subjects classified as exposed and non-exposed in strata of Y
and C
Table VI.9. Smoking-lung cancer odds ratios from SS FBA    146
<b>Table VI.10.</b> Smoking-lung cancer odds ratios from DI FBA.    147
Table VI.11. Smoking-lung cancer odds ratios from SS PBA    148
Table VI.12. Smoking-lung cancer odds ratios from DI PBA    149
Table VI.13. Smoking-lung cancer odds ratios from MCMC analysis 1    150
Table VI.14. Smoking-lung cancer odds ratios from MCMC analysis 2
Table VII.1. Bias in log odds ratio estimated in Chapter VI with the misclassified
smoking status (naïve) and after adjustment using MIME, SS Fixed-
parameter Bias Analysis (FBA), DI FBA, SS Probabilistic Bias Analysis
(PBA), DI PBA and MCMC analyses 1 and 2
Table VII.2. Strengths and limitations of Multiple Imputation for Measurement Error
(MIME), Imputation based on Sensitivity and Specificity (SS), Direct
Imputation (DI) and Imputation based on a fully Bayesian analysis171

# List of figures

<b>Figure II.1.</b> Likelihood function for the proportion of successes $\theta$ , given that we obtain
4 successes in our experiment
<b>Figure II.2.</b> Illustration of Monte Carlo Integration
<b>Figure II.3.</b> The rifle example (1) - Illustration of bias and scatter
<b>Figure II.4.</b> The rifle example (2) - Illustration of shrinkage
Figure II.5. Scatter plot of the lower bound of the Semi-Bayes (SB) adjusted 95%
confidence intervals (CI) against the lower bound of the standard 95% CI
for increased odds ratios (OR) of lung cancer for different job titles,
defined on the basis of 2, 3, 4 and 5 ISCO digits. Men30
Figure V.1. Kernel density distributions of the ln(OR)s. Kernel density distributions of
the ln(OR)s of lung cancer for the 129 selected occupations obtained using
Maximum Likelihood (ML), Semi-Bayes adjustment towards the global
mean (SB) and hierarchical regression (HR)
Figure V.2. Relationship between the ORs obtained with the different approaches.
Scatter plots of the ORs of lung cancer for the 129 selected occupations
estimated using hierarchical regression (HR) with $\tau = 0.76$ vs. Maximum
Likelihood (ML) (A), HR with $\tau = 0.59$ vs. ML (B), HR with $\tau = 0.23$ vs.
ML (C) and Semi-Bayes adjustment towards the global mean (SB) vs. ML
(D)109
<b>Figure VI.1.</b> Description of possible ranges for misclassification parameters145

### **List of Abbreviations**

CI Confidence interval

CL Confidence/Credibility limits

DI Direct imputation of the 'true' exposure using a regression model

for the predictive values

EB Empirical Bayes

FBA Fixed-parameter bias analysis

HR Hierarchical regression

ISCO International Standard Classification of Occupations

ISIC International Standard Industrial Classification

logOR (or ln(OR)) log Odds Ratio

MCMC Markov Chain Monte Carlo

MIME Multiple imputation for measurement error

ML Maximum likelihood

NACE National Industrial Classification of All Economic Activities

NZSCO New Zealand Standard Classification of Occupations

NZSEI New Zealand Socio-Economic Index

OR Odds Ratio

PBA Probabilistic bias analysis

SB Semi-Bayes

SI Simulation Intervals

SL Simulation Limits

SS Imputation based on specifying the sensitivity and specificity

UADT Upper aerodigestive tract