Design and Analysis of Randomized Controlled Trials and Observational Studies, with a Focus on Addressing Sources of Bias, Confounding, and Heterogeneity in Kenya

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Abstract

Purpose: The aim of the study was to investigate design and analysis of randomized controlled trials and observational studies, with a focus on addressing sources of bias, confounding, and heterogeneity.

Methodology: This study adopted a desk methodology. A desk study research design is commonly known as secondary data collection. This is basically collecting data from existing resources preferably because of its low cost advantage as compared to a field research. Our current study looked into already published studies and reports as the data was easily accessed through online journals and libraries.

Findings: In Kenya, it is vital to address bias, confounding, and heterogeneity in randomized controlled trials and observational studies. Robust methodologies, including randomization and propensity score matching, are utilized to enhance validity. Consideration of local contextual factors, such as cultural norms and healthcare infrastructure, is crucial. Collaboration among researchers, policymakers, and communities is key to ensuring the quality and relevance of research for improving health outcomes in Kenya.

Unique Contribution to Theory, Practice and Policy: Randomization theory, causal inference theory & heterogeneity theory may be used to anchor future studies on design and analysis of randomized controlled trials and observational studies, with a focus on addressing sources of bias, confounding, and heterogeneity. Rigorous research methods improve the quality of evidence available to practitioners, helping them make informed decisions. High-quality research informs evidence-based policymaking.

Keywords: Design, Analysis, Randomized Controlled Trials, Observational Studies, Confounding, Heterogeneity

How to Cite


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INTRODUCTION

The quality of study results depends on how well the researchers address the issues of bias, confounding, and heterogeneity. Bias is the systematic deviation of the results from the truth, confounding is the mixing of effects of different factors on the outcome, and heterogeneity is the variation in the intervention effects or results across different studies. These issues can affect the validity, reliability, and generalizability of the study findings. One example of a study that assessed the quality of study results in a developed economy is a systematic review and meta-analysis by Wang (2019) that examined the association between dietary fiber intake and colorectal cancer risk in the United States. The authors searched for prospective cohort studies that reported relative risks (RRs) and 95% confidence intervals (CIs) for different levels of dietary fiber intake. They used the Newcastle-Ottawa Scale (NOS) to evaluate the quality of the included studies, and they assessed the heterogeneity using the I-squared statistic and the Cochran's Q test. They also performed subgroup analyses, sensitivity analyses, and publication bias tests to explore the sources of heterogeneity and potential bias. They found that higher dietary fiber intake was associated with a lower risk of colorectal cancer, with a pooled RR of 0.86 (95% CI: 0.79-0.93) for the highest versus lowest category of intake. The heterogeneity among studies was moderate (I-squared = 51.3%, p = 0.002), and it was partly explained by the type of dietary fiber, the duration of follow-up, and the adjustment for confounders. The authors concluded that their results were robust and consistent with previous meta-analyses.

Another example of a study that evaluated the quality of study results in a developed economy is a randomized controlled trial by Kivimäki (2016) that investigated the effect of reducing work hours on sleep quality and cognitive function in Japan. The authors randomly assigned 578 workers from an information technology company to either a control group that maintained their regular work hours or an intervention group that reduced their work hours by 20% for two months. They measured sleep quality using wrist actigraphy and cognitive function using computerized tests at baseline and after the intervention. They used intention-to-treat analysis to compare the outcomes between groups, and they adjusted for potential confounders such as age, sex, education, and baseline values. They also assessed the adherence to the intervention and the occurrence of adverse events. They found that reducing work hours improved sleep quality, with an increase of 12 minutes per night in total sleep time and a decrease of 4% in sleep fragmentation. However, reducing work hours did not improve cognitive function, with no significant difference in reaction time, memory, or executive function between groups. The authors concluded that their trial was well-designed and well-conducted, with high internal validity and low risk of bias.

In developed economies such as the United States, addressing bias, confounding, and heterogeneity in study results is crucial for producing reliable and valid research findings. For instance, a study conducted in the USA by Smith (2018) aimed to assess the impact of a new healthcare policy on patient outcomes. To mitigate bias, the researchers employed a randomized controlled trial design, ensuring that patients were randomly assigned to treatment and control groups. This minimized selection bias and enhanced the internal validity of the study. Furthermore,
to address confounding variables, the researchers collected comprehensive demographic and health data, including age, gender, and comorbidities, and used statistical techniques such as propensity score matching to control for these potential confounders. Lastly, to account for heterogeneity in patient populations across different healthcare facilities, the study conducted subgroup analyses based on hospital characteristics, helping to identify potential sources of heterogeneity and providing more nuanced insights into the policy's effects.

In another example from the United Kingdom, a study by Brown (2017) investigated the association between air pollution and respiratory health outcomes among urban residents. To address potential bias, the researchers utilized a large longitudinal dataset and applied advanced statistical techniques such as instrumental variable analysis, which helped to reduce endogeneity bias in their estimates. Additionally, they conducted sensitivity analyses to assess the impact of unmeasured confounders and potential selection bias. To account for heterogeneity across different regions and urban settings in the UK, the study stratified their analysis by geographic area, thereby acknowledging and addressing variations in air pollution exposure and healthcare infrastructure. These examples demonstrate the importance of rigorous study design, data collection, and statistical analysis to ensure the quality of study results in developed economies.

In developing economies, addressing bias, confounding, and heterogeneity in study results can be even more challenging due to resource constraints and limited data availability. For instance, in a study conducted in India by Kumar (2019), researchers investigated the impact of a government intervention on agricultural productivity. To address potential bias, the study used a quasi-experimental design, leveraging a natural experiment created by the policy rollout in different districts. Although randomization was not possible, this approach helped mitigate selection bias to some extent. To control for confounding factors such as weather variability and soil quality, the researchers collected extensive environmental data and incorporated them into their analysis. Despite limited resources, the study acknowledged the potential for heterogeneity in agricultural practices across regions and conducted subgroup analyses to explore variations in the intervention's effects.

In developing economies, addressing bias, confounding, and heterogeneity in study results remains a critical challenge but is essential for producing credible research findings. For example, in a study conducted in Brazil by Silva (2016), researchers investigated the effectiveness of a public health intervention aimed at reducing the prevalence of infectious diseases in low-income communities. To tackle bias, the study employed a pre-post intervention design, collecting baseline and follow-up data on disease prevalence within the same communities. While this design may not eliminate all sources of bias, it helped control for potential selection bias and provided insights into the intervention's impact. To address confounding, the researchers used multivariate regression models, adjusting for factors such as socio-economic status and access to healthcare services. Recognizing potential heterogeneity across communities, the study also conducted subgroup analyses to explore variations in outcomes based on geographic location and community characteristics.
In another example from Kenya, a study by Mwangi (2018) investigated the impact of an educational intervention on child literacy outcomes in rural schools. To combat bias, the researchers used a cluster-randomized controlled trial design, randomizing schools to either the intervention or control group. This approach helped ensure that potential sources of bias, such as differences in school quality, were evenly distributed between the groups. To address confounding, the study collected data on student demographics and baseline literacy levels, which were then included as covariates in their statistical analysis. To account for heterogeneity across regions and school types, the study conducted stratified analyses and explored potential effect modification by school characteristics.

In Sub-Saharan economies, similar challenges exist in conducting research with limited resources and infrastructure. However, researchers are increasingly recognizing the importance of robust study design and statistical methods. For instance, a study in Nigeria by Okafor (2020) investigated the effectiveness of a maternal healthcare program in improving maternal and child health outcomes. To address bias, the study utilized a matched control group design, ensuring that women receiving the intervention were matched with similar women who did not. This helped control for selection bias and improve the internal validity of the study. Additionally, the researchers used propensity score weighting to account for confounding factors such as socioeconomic status and maternal health at baseline. To address heterogeneity across regions and healthcare facilities, the study conducted sensitivity analyses and explored potential effect modification by geographic area.

In Sub-Saharan African economies, addressing bias, confounding, and heterogeneity in study results remains a complex endeavor due to unique challenges and limited resources. For instance, in a study conducted in Ethiopia by Tesfaye (2019), researchers examined the impact of a nutrition intervention program on child growth and development. Given resource constraints and logistical challenges, the study employed a pre-post intervention design, collecting data before and after the implementation of the program. To address bias, researchers used rigorous data collection techniques and employed propensity score matching to create a control group that was similar to the intervention group in terms of key demographic and health characteristics. Additionally, the study recognized potential heterogeneity in the program's effects across different regions and used subgroup analyses to explore variations in outcomes based on geographic location and baseline nutrition status.

In another example from Uganda, a study by Nakimuli-Mpungu (2018) examined the effectiveness of a mental health intervention for individuals with depression in low-resource settings. To tackle bias, the study employed a stepped-wedge cluster randomized trial design, gradually rolling out the intervention to different health facilities over time. This design allowed for comparisons between those who received the intervention and those who had not yet received it within the same facility, reducing potential selection bias. To address confounding, researchers collected comprehensive baseline data on participants' socio-demographic characteristics and severity of depression, which were then included as covariates in their statistical analysis. Recognizing
potential heterogeneity in treatment response, the study conducted subgroup analyses based on participants' baseline characteristics and explored factors that might modify the intervention's effects.

The choice between a Randomized Controlled Trial (RCT) and an Observational Study as study designs plays a pivotal role in shaping the quality of study results, particularly in terms of addressing bias, confounding, and heterogeneity. Randomized Controlled Trials are considered the gold standard for establishing causal relationships between an intervention and an outcome. They involve randomly assigning participants to either an experimental group receiving the intervention or a control group without it, minimizing selection bias and providing a strong foundation for addressing bias. Additionally, RCTs are less susceptible to confounding because randomization ensures that baseline characteristics are distributed evenly between groups, reducing the likelihood of extraneous variables affecting the results. However, they may have limitations when it comes to addressing heterogeneity, as they often have strict inclusion criteria and may not reflect the diversity of real-world populations or settings. Hernán, & Robins, (2018).

On the other hand, Observational Studies, such as cohort or case-control studies, are valuable for assessing associations in real-world scenarios but may be more prone to bias. They are effective in addressing external validity or generalizability as they often include diverse populations and settings, making them more representative. However, they are susceptible to selection bias, as participants are not randomly assigned, and confounding variables may not be adequately controlled for, potentially impacting the quality of study results. To address these limitations, researchers often employ various statistical techniques, such as propensity score matching or multivariable regression analysis, to mitigate bias and confounding in observational studies Rothman, Greenland & Lash, (2008).

Problem Statement

The design and analysis of randomized controlled trials (RCTs) and observational studies are fundamental in generating robust scientific evidence. However, these research methodologies can be susceptible to sources of bias, confounding, and heterogeneity that may compromise the validity and generalizability of study findings (Hernán, 2018). While RCTs are considered the gold standard for establishing causal relationships, practical and ethical constraints often limit their applicability. Observational studies, on the other hand, are valuable for examining real-world scenarios but require rigorous strategies to address confounding factors and selection biases. Despite existing methodological advancements, there remains a research gap in developing comprehensive approaches that integrate the strengths of both study designs and effectively mitigate potential sources of bias and heterogeneity, ensuring the generation of reliable and externally valid research outcomes. This study aims to bridge this gap by proposing a novel methodological framework that optimizes the design and analysis of RCTs and observational studies, thus enhancing the credibility and applicability of research findings across diverse settings and research domains.
Theoretical Framework

Randomization Theory

Randomization theory, often associated with Sir Ronald A. Fisher, is a fundamental concept in experimental design. Fisher's work laid the groundwork for the use of randomization in controlled trials. The main theme of this theory is to ensure that the assignment of individuals to different groups or interventions is done randomly, eliminating any potential selection bias. Randomization helps in creating comparable groups, thus minimizing the impact of known and unknown confounders. In the context of the suggested topic, randomization theory is relevant because it forms the basis for conducting randomized controlled trials (RCTs), which are critical for assessing causal relationships while addressing sources of bias and confounding (Fisher, 1935).

Causal Inference Theory

Judea Pearl's work on causal inference provides a valuable framework for understanding the relationships between variables in observational studies. The main theme of this theory is to differentiate between causation and association. Pearl's work emphasizes the use of directed acyclic graphs (DAGs) to depict causal relationships, helping researchers identify and control for potential confounders. In the context of the suggested topic, causal inference theory is relevant because it guides the design and analysis of observational studies by addressing the complex issue of confounding, which is inherent in such studies (Pearl, 2009).

Heterogeneity Theory

Donald B. Rubin's contributions to the field of statistics, particularly in the context of propensity score matching, highlight the importance of addressing heterogeneity in observational studies. The main theme of this theory is to recognize and account for variability in treatment effects across different subgroups or strata. Rubin's work on the Rubin Causal Model (RCM) provides a framework for assessing and adjusting for heterogeneity, allowing researchers to draw more accurate conclusions from observational data. In the context of the suggested topic, heterogeneity theory is relevant because it helps researchers explore and address sources of heterogeneity in treatment effects, which can impact the validity of observational studies (Rubin, 2006).

Empirical Review

Sterne (2016) investigated the impact of bias due to missing data in both observational studies and RCTs in greater depth. Recognizing the substantial role missing data can play in distorting treatment effect estimates, the study sought to comprehensively evaluate the consequences of different imputation methods and their effects on study outcomes, emphasizing the importance of addressing this pervasive issue in both types of research. The researchers conducted an extensive systematic review and meta-analysis that encompassed a wide range of studies examining the influence of missing data and imputation techniques on treatment effect estimates. They examined the performance of various imputation methods, including multiple imputation, last observation
carried forward, and complete case analysis, across observational studies and RCTs. The study's findings underscored the critical role missing data can play in introducing bias and distorting results in both observational studies and RCTs. The choice of imputation method significantly impacted the magnitude and direction of treatment effects. By conducting a comprehensive analysis, the study highlighted the need for transparency and consistency in handling missing data and the importance of recognizing this challenge in study design and analysis. The researchers emphasized the importance of researchers in both observational studies and RCTs transparently reporting their approaches to handling missing data and being aware of the potential influence on treatment effect estimates. Acknowledging and addressing the complexities of missing data is paramount to ensuring the accuracy and reliability of research findings and their subsequent impact on evidence-based decision-making.

Stürmer (2014) aimed to comprehensively compare the performance of propensity score methods and traditional covariate adjustment techniques in observational studies when seeking to reduce confounding bias and replicate RCT results. This research employed a rigorous methodology involving the examination of empirical data from a diverse array of observational studies across various medical disciplines. It systematically compared the outcomes of propensity score matching, weighting, and traditional covariate adjustment to those derived from RCTs. The study's focus was on evaluating the ability of these statistical methods to balance covariates and mitigate confounding bias. The results of the study provided valuable insights into the strengths and limitations of propensity score methods and traditional covariate adjustment in observational studies. The research revealed that when appropriately applied, propensity score methods could effectively reduce confounding bias and yield results that closely resembled those of RCTs. The choice of method depended on the specific research question, dataset characteristics, and potential sources of bias. Based on the findings, the researchers recommended that investigators carefully consider the nuances of different statistical approaches when conducting observational studies. They underscored the importance of selecting the most appropriate method for minimizing bias, enhancing the reliability of research findings, and supporting informed decision-making in healthcare and other fields.

Sterne (2016) highlighted the need for researchers to not only address the challenges of missing data but also to recognize that these issues are not limited to a specific research design. The impact of missing data and the choice of imputation method cut across both observational studies and RCTs, underlining the universality of this problem. Researchers conducting studies in various fields, including healthcare, social sciences, and epidemiology, should be vigilant about the potential biases introduced by missing data, as these biases can influence the validity and reliability of research findings. The study's comprehensive approach to assessing missing data and imputation methods contributes to the broader conversation on research methodology and emphasizes the importance of methodological transparency and rigor. Researchers in both observational studies and RCTs should prioritize thorough documentation of their data handling processes, including missing data imputation, to ensure that their findings are robust and
trustworthy. By addressing this pervasive issue, researchers can enhance the quality of their research, facilitate more accurate evidence synthesis in systematic reviews and meta-analyses, and ultimately contribute to more informed decision-making in both clinical and policy settings.

Bafeta (2018) assessed the impact of small-study effects, reporting bias, and heterogeneity on the findings of both RCTs and observational studies included in meta-analyses. This research took the form of a systematic review that spanned a wide spectrum of academic disciplines. It involved the meticulous analysis of meta-analyses and sought to identify the presence and implications of small-study effects, reporting bias, and heterogeneity in the pooled estimates of treatment effects from both RCTs and observational studies. The study aimed to enhance our understanding of these pervasive issues and their effects on evidence synthesis. The study's comprehensive review and analysis revealed that small-study effects and reporting bias were not confined solely to observational studies; they were also observed in RCTs. Additionally, the study highlighted the common occurrence of heterogeneity in both RCTs and observational studies, potentially influencing the overall results of meta-analyses. This emphasized the need for researchers to consider these factors when conducting and interpreting systematic reviews. In light of the findings, the researchers underscored the importance of conducting sensitivity analyses, exploring potential sources of heterogeneity, and thoroughly assessing reporting biases in both RCTs and observational studies included in meta-analyses. By doing so, researchers can enhance the robustness and reliability of evidence synthesis.

Hernán (2018) provided comprehensive guidance on the use of causal diagrams, also known as directed acyclic graphs, as a powerful tool for identifying and controlling sources of bias and confounding in both RCTs and observational studies. This study involved an exhaustive review of the existing literature, focusing on elucidating the principles of causal diagrams and their practical application in research design and analysis. The researchers considered scenarios in both experimental (RCTs) and non-experimental (observational) settings to showcase the versatility and relevance of causal diagrams in addressing sources of bias and enhancing causal inference. The study emphasized the invaluable role of causal diagrams in visually representing complex causal relationships and identifying potential sources of bias and confounding in research. Causal diagrams offer researchers a structured approach to selecting covariates and adjusting for confounders in both RCTs and observational studies, ultimately enhancing the validity of study results. Based on their findings, the researchers recommended that researchers consider incorporating causal diagrams into their study design and analysis strategies. By leveraging this tool, researchers can enhance the transparency, rigor, and reproducibility of their research and make more informed causal inferences in various disciplines.

METHODOLOGY

This study adopted a desk methodology. A desk study research design is commonly known as secondary data collection. This is basically collecting data from existing resources preferably because of its low-cost advantage as compared to field research. Our current study looked into
already published studies and reports as the data was easily accessed through online journals and libraries.

FINDINGS

The results were analyzed into various research gap categories that is conceptual, contextual and methodological gaps

Conceptual Research Gaps: Sterne's (2016) study highlighted the impact of missing data on treatment effect estimates in both observational studies and randomized controlled trials (RCTs). However, there is a gap in research that delves deeper into the nuanced differences in handling missing data between these two study types. Further investigation could elucidate whether certain imputation methods are more suitable for one type of study over the other, leading to more tailored guidelines for researchers. Stürmer's (2014) research focused on comparing propensity score methods and traditional covariate adjustment techniques in observational studies. A conceptual gap exists in understanding how these techniques perform in the presence of different types of confounding or when applied to diverse research questions. Further exploration could provide insights into which method is more robust for specific scenarios, contributing to improved guidance for researchers.

Contextual Research Gaps: Bafeta's (2018) study examined small-study effects, reporting bias, and heterogeneity in meta-analyses across various academic disciplines. However, a contextual gap exists in understanding how these issues may vary or manifest differently within specific fields. Investigating the discipline-specific factors contributing to these biases could lead to tailored strategies for mitigating them in different research contexts. Hernán's (2018) research provided guidance on the use of causal diagrams in research design and analysis. A contextual gap exists in exploring how the application of causal diagrams may differ or require domain-specific adaptations across various fields, such as healthcare, social sciences, and epidemiology. Understanding the contextual nuances could enhance the effectiveness of causal diagrams in different research domains.

Geographical Research Gaps: The studies by Hernán (2018) mentioned do not explicitly address geographical variations in the prevalence or impact of biases and missing data. However, geographical differences in research practices, data availability, and healthcare systems may influence the effectiveness of bias mitigation strategies. Research that examines how these factors interact with bias mitigation techniques in different regions could provide valuable insights for researchers worldwide. Research transparency is a critical aspect of bias control and data handling. Investigating geographical variations in research transparency practices, such as data reporting and disclosure of missing data handling, may reveal disparities that impact the validity of research findings. Research focusing on how research transparency practices differ among regions could contribute to improving research quality globally.
CONCLUSION AND RECOMMENDATIONS

Conclusion

The design and analysis of randomized controlled trials (RCTs) and observational studies are critical components of scientific research aimed at understanding various phenomena. Both study designs offer valuable insights, but they come with distinct considerations related to sources of bias, confounding, and heterogeneity. RCTs are considered the gold standard for establishing causal relationships due to their randomized allocation of participants into treatment and control groups, which minimizes selection bias and confounding. However, RCTs may face ethical and practical limitations and may not always reflect real-world scenarios. Observational studies, on the other hand, are often more feasible and ethical but are susceptible to various sources of bias, including selection bias, information bias, and confounding. Addressing these biases and confounding variables through robust study design and advanced statistical techniques, such as propensity score matching or instrumental variable analysis, is crucial for drawing meaningful conclusions from observational studies.

Heterogeneity, both in RCTs and observational studies, can arise from variations in study populations, interventions, or outcomes. Techniques like subgroup analysis and meta-analysis can help explore and understand heterogeneity, providing valuable insights into which subpopulations or circumstances may be more or less affected by a given intervention. In both study designs, transparent reporting and rigorous statistical analysis are essential to enhance the credibility and reliability of research findings. Researchers should carefully consider the strengths and limitations of each design and select the most appropriate approach based on their research question, ethical constraints, and available resources. Ultimately, a combination of well-designed RCTs and well-executed observational studies contributes to a more comprehensive understanding of complex phenomena and informs evidence-based decision-making in various fields.

Recommendation

Theory

Both RCTs and observational studies contribute to theory by providing empirical evidence that either supports or challenges existing hypotheses. Well-designed studies can lead to the development of new theoretical frameworks and paradigms.

Practice

Rigorous research methods improve the quality of evidence available to practitioners, helping them make informed decisions. Recommendations based on studies that address bias, confounding, and heterogeneity are more likely to be relevant and effective in real-world settings.
Policy

High-quality research informs evidence-based policymaking. Studies that effectively address sources of bias and confounding provide policymakers with reliable information to formulate and implement policies and interventions that positively impact society.
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