A Study of Time Trend in Global Infant Mortality Rates: Regression with Autocorrelated Data

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2 ABSTRACT

- The infant mortality rate (IMR) is considered to be one of the most important indices of a country's well being. Countries around the world and international organizations such as the World Health Organization are dedicating their resources, knowledge and energy to reduce the infant mortality rates (IMR). The well-known Millennium Development Goal 4 (MDG 4), which is an example of such commitment, aims to achieve a two-thirds reduction of the under-five mortality rate between 1990 and 2015.
- Many statistical tools are developed for data analysis by assuming independence of 10 observations. However, IMR data collected over time forms a time series. The repeated observations of IMR time series are usually not statistically independent. So in modeling the 11 trend of IMR, it is necessary to account for these autocorrelations. In this article we proposed to use the general linear models to take into account the autocorrelations to model worldwide 13 IMR. We compared results from general linear model with correlation structure to that from ordinary least squares method to investigate how significantly the estimates change. Our 15 analysis showed that results from these two methods were different for global data but not 16 for specific countries except for two special cases and the discrepancy could be significantly 17 different when considering the population size of the countries. 18
- We modeled the trends of IMR from the 1950s to 2010s for selected countries. Our results quantified the trends of IMR over time and measured the difference across countries.
- 21 Keywords: Infant mortality rate, Regression analysis, Time series, Autocorrelation

1 INTRODUCTION

- Infant mortality rate (IMR) is defined as the number of deaths within one year of age per 1,000 live births (?). The IMR is considered to be one of the important indicators of a population's health and well being along with life expectancy (LE) and under-five mortality rate (U5MR) (?). In the year of 2010, the IMR
- of the United States was 6.6 per 1000, compared with 66.9 per 1000 in Sudan (?). This tenfold difference

- in IMR reveals a large gap in health conditions between these two nations. As IMRs from developed countries are generally lower than those in developing countries, the IMR is also a reflection of general 27
- 28 socioeconomic conditions across different countries.
- With improvement in socioeconomic conditions, improvement in health care for deliveries and 29 30 newborns, and with recent efforts made by the World Health Organization (WHO), the IMR has been
- decreasing in most countries of the world (?). According to the Millennium Development Goal 4 (MDG 31
- 4), the global mortality rates for children who are younger than five years old are supposed to be reduced 32
- by two-thirds from 1990 to 2015 (?). 33
- 34 Although the IMR has declined to a relatively low level in some countries in recent decades, there are still many infants, especially those from the developing countries, who are suffering from many risk 35
- factors that lead to high IMR in those countries. Our study of time trend of IMR over the past a few decades
- 37 will provide the health organizations and the general public a clear insight into this global health issue.
- In our article, we have investigated recent achievements regarding reductions in the IMR, globally with a 38
- special attention on specific nations or regions. We modeled the current trend of IMRs and measured gaps 39
- from the goal as set in the MDG4 (?), etc. The results from this study will help us to better understand 40 41
- the trend of IMR to formulate strategies for improvement in the IMRs and to decide where to focus our
- attention and efforts and how to allocate the health resources around the world more effectively(?).

MATERIAL & METHODS

STUDY DESIGN AND STUDY POPULATION

- In this study we used countries as the study units (?). For each of the countries, annual IMR data were
- collected and the earliest time point in records starts from 1932. In our regression analysis model, the
- response variable is the IMR and the independent variable is the time (year).

2.2 **DATA**

- Our data set includes annual infant mortality rate for 195 countries/regions around the world between
- the times of May 1932 to May 2010. The data set is mainly collected from the Child Mortality Estimates 47
- (CME)¹ website: http://www.childmortality.org (?), compiled with those from the World Bank website (? 48
-). A closer examination of the data set showed that for most of the countries/regions, the data were mostly 49
- missing before 1950. To deal with this issue, we set the time interval starting from 1950 for our study. 50
- Countries with sparse data were not included in the study. Also we took consideration to cover countries 51
- from different continents and different level of socioeconomic status in order to investigate the influence
- 53 of those factors on the trend of the IMR. To make it representative and comprehensive, we selected the
- countries and regions that are listed in Table 1.

STATISTICAL METHOD 2.3

- 2.3.1 General linear models and generalized lest squares For the linear regression model, i.e. $y_{n\times 1} =$
- $\mathbf{X_{n \times p}} \beta_{\mathbf{p} \times \mathbf{1}} + \varepsilon_{\mathbf{n} \times \mathbf{1}}^{2}$, we assume the error term $\varepsilon \sim N_{n}(0, \sigma^{2}\mathbf{I_{n}})$, which leads to the *ordinary-least-squares(OLS)* estimator of β (?):

¹ CME Info is a database containing the latest child mortality estimates based on the research of the UN Inter-agency Group for Child Mortality Estimation.

 $^{^{2}}$ n indicates the number of observations, p indicates the number of covariates

Table 1. Selected countries for the study

Continent	Countries Selected	Development Status
Asia	Japan, Singapore China, India, Thailand	developed (countries) developing (countries)
Europe	UK, Italy, Sweden Russia, Poland	developed developing
Africa	Algeria, Sudan, Zambia, Morocco, Libya	developing
America	US Brazil, Mexico	developed developing
Oceania	Australia	developed

$$\hat{\beta}_{OLS} = (X'X)^{-1}X'y \tag{1}$$

with variance-covariance matrix:

$$Var(\hat{\boldsymbol{\beta}}_{OLS}) = \sigma^2 (X'X)^{-1} \tag{2}$$

However, in our study this ideal assumption of error terms cannot always be satisfied-there may be some correlations among the error terms, which can be modeled with a more general assumption of 60 $\varepsilon \sim N_n(0, \Sigma)$, where the error-covariance matrix Σ is symmetric and positive-definite. Different 61 diagonal entries in Σ represent non-constant error variances and nonzero off-diagonal entries correspond to correlated errors. Based on this more general assumption, our estimator of β becomes the generalized*least-squares (GLS)* estimator if the variance-covariance matrix is known:

$$\hat{\beta}_{GLS} = (X'\Sigma^{-1}X)^{-1}X'\Sigma^{-1}y \tag{3}$$

with variance-covariance matrix:

$$Var(\hat{\beta}_{GLS}) = (X'\Sigma^{-1}X)^{-1}$$
(4)

- Time-series data is a typical example in which the error terms from a regression model are correlated,
- since the data are obtained from multiply measurements on the same subject over time (?). In our study, 67
- the observations of infant mortality rates were collected annually from each of the countries, which means
- that the data are equally spaced with intervals of one-year period. This type of data belongs to discrete
- time series case (?). The IMR data measured sequentially over time in a given country are very likely
- to be correlated due to the similarity of the socioeconomic condition, health care condition, etc. within
- that country. Ignoring correlations in the model building steps may lead to inaccurate or even misleading 72
- 73 results.(?)

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- 2.3.2 Time-series regression models In this study, we assume that the regression errors is stationary
- 75 (?) (?), that is, the covariance of two error terms depends only upon their separation k in time and is
- independent of time t, i.e. $cov(\varepsilon_t, \varepsilon_{t+k}) = cov(\varepsilon_t, \varepsilon_{t-k}) = \sigma^2 \rho_k$, where $\rho_k < 1$ is the error autocorrelation at lag k (?). (With underlying assumptions $E(\varepsilon) = 0$ and $var(\varepsilon_t) = \sigma^2$) 76
- Thus, the error-covariance matrix can be written as following:

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$$\Sigma = \sigma^{2} \begin{bmatrix} 1 & \rho_{1} & \rho_{2} & \rho_{3} & \dots & \rho_{n-1} \\ \rho_{1} & 1 & \rho_{1} & \rho_{2} & \dots & \rho_{n-2} \\ \rho_{2} & \rho_{1} & 1 & \rho_{1} & \dots & \rho_{n-3} \\ \vdots & \vdots & \vdots & \vdots & \ddots & \vdots \\ \rho_{n-1} & \rho_{n-2} & \rho_{n-3} & \rho_{n-4} & \dots & 1 \end{bmatrix} = \sigma^{2} \mathbf{P}$$
(5)

Since the true value of σ^2 and ρ 's are unknown, we cannot directly apply above result to finding the GLS estimator of β in this time-series regression setting. In addition, the large number, (n-1), of ρ 's makes it impossible to estimate them without specifying any structure for the autocorrelated errors.

83 *The first-order autoregression process,* AR(1):

$$\varepsilon_t = \phi \varepsilon_{t-1} + v_t, \tag{6}$$

where ε_t and ε_{t-1} are the error terms at time t and t-1 respectively; v_t is the *Gaussian white noise*, $N(0,\sigma_v^2)$. In this model, it can be shown that $\rho_1=\phi, \rho_k=\phi^k$, and $\sigma^2=\sigma_v^2/(1-\phi^2)$ (?). Because $|\phi|<1$ is assumed for stationary autoregressive processes, the error autocorrelation ρ_k approaches to 0 exponentially as s increases. The variance-covariance matrix under AR(1) model can be expressed as

$$\Sigma = \sigma^{2} \begin{bmatrix} 1 & \phi & \phi^{2} & \phi^{3} & \dots & \phi^{n-1} \\ \phi & 1 & \phi & \phi^{2} & \dots & \phi^{n-2} \\ \phi^{2} & \phi & 1 & \phi & \dots & \phi^{n-3} \\ \vdots & \vdots & \vdots & \vdots & \ddots & \vdots \\ \phi^{n-1} & \phi^{n-2} & \phi^{n-3} & \phi^{n-4} & \dots & 1 \end{bmatrix} = \sigma^{2} \mathbf{P}$$
(7)

In our modelling, we first fitted the data using linear regression model by assuming P = I; after that and before deciding whether it's appropriate to use GLS method to model the data, we tested the correlation among the observations with two methods: one is the Durbin-Watson test and the other is plotting the correlogram.(?) When the existence of autocorrelation was detected, we built the model for the IMR data based on time-series and compared the results with those from OLS model.

3 RESULTS

The trends in IMR between 1950 and 2010 are depicted in **Figure ??**, in which the three decreasing curves represent the time trends in global IMR, in developed countries and developing countries³ respectively based on the data from World Bank (?). **Figure ??** shows that the IMR in developed countries is much lower compared with that in developing countries and the overall global IMR, which is calculated by combining all the countries in previous two categories, lies between them. We also plotted the time trend in IMR for each of the selected countries (see **Figure ??** to **Figure ??**) with the IMR values from 1950 to 2010.

Generally, it can be observed from these plots that although the IMR from developing countries was much higher, it decreased more rapidly than the IMR in developed countries. The difference of IMR between them is much smaller in 2010 compared with the difference of IMR in 1950 as shown in

³ Developed countries/regions comprise Europe, Northern America, Australia/New Zealand and Japan; developing countries/regions comprise all regions of Africa, Asia (excluding Japan), Latin America and the Caribbean plus Melanesia, Micronesia and Polynesia.

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Table 2. Regression coefficients of IMR v.s. time from OLS (upper) & GLS (lower) models, United States $(1950 \sim 2010)$

		Estimate	Std. Error	t value	Pr(> t)
(Intercep Ye		917.8335 -0.4556	29.8878 0.0151	30.71 -30.19	0.0000
		ρ	Intercept	Slope	_
	est. s.e.	0.9926 0.0071	864.2053 59.1964	-0.4271 0.0299	_

the figures. The absolute value of the slope of the regression lines modeling the time trend in IMR of developing countries is larger than that in developed countries.

To investigate the relationship between IMR and time quantitatively, we implemented the method of regression analysis and built models of IMR in terms of time by estimating the regression coefficient of

the model. We first tried simple OLS method without taking into account the autocorrelation to model the

10 IMR time trend, then we built new models that take into account autocorrelation. The results from these

two methods were compared. We took the United Stated as an example to conduct the above analyses. The results of the other selected countries were obtained similarly.

3.1 FITTED MODELS WITH OLS METHOD

- 113 Without considering the autocorrelation among the observations, first we simply tried to fit the regression
- model for the IMR data by OLS method. Table 2 (upper) shows the estimations of coefficients using the
- 115 OLS regression of United States (1950–2010) and **Figure ??** (left) shows the IMR trend in time of United
- 116 States between the years of 1950 to 2010, along with the regression line fitted to the data. The function
- shows the relationship between IMR and time:

$$IMR = -0.456 * year + 917.8335,$$

which means that the IMR of United States decreased 0.456 per 1000 per year during this time interval.

3.2 FITTED MODELS WITH GLS METHOD

- 119 The R function arima was used to build the time-series regression model. For the data from United States
- we chose the order (1,0,0), which equals to the first order autoregressive model i.e. AR(1). Table 2 (lower)
- 121 shows the output, and the resulting model is:

$$IMR = -0.427 * year + 864.2053,$$

- which means that the IMR of United States decreased 0.427 per 1000 per year during the time period
- between 1950 and 2010, and with $\rho = 0.9926$, $\sigma^2 = 0.06588$. The regression line is shown in Figure ??
- 124 (right) along with the IMR trend curve similar as in Figure ?? (left).

Table 3. Comparison of the slopes (from GLS) for different countries

Comparison	$Diff.\ in\ slopes$	Std of diff.	z-value	p-value	lower	upper
US-UK	0.0113	0.042	0.266	0.790	-0.072	0.095
Australia-Sweden	-0.036	0.031	-1.173	0.241	-0.096	0.024
Japan-Singapore	0.0822	0.164	0.502	0.616	-0.239	0.403
China-India	0.6751	0.163	4.145	< 0.00001	0.356	0.994
Sudan-Zambia	-0.1078	0.184	-0.586	0.558	-0.468	0.252
US-China	1.2523	0.135	9.266	< 0.00001	0.987	1.517

COMPARISON OF TIME TRENDS OF THE IMR FROM THE SELECTED COUNTRIES

Figure ?? to Figure ?? show the country-wise time trends of the IMR by continent. To compare the 125 equality of the decreasing rate (the slope) of the IMR between developed and developing countries, we 126 applied the Wilcoxon rank sum test. The Wilcoxon rank sum test gave us p-values of 0.0008 in testing 127 128 the equality of slopes in models for developed countries and developing countries from OLS method and 0.0003 from the GLS method respectively. 129

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To compare the slopes for two specific countries, we implemented two-sample t-test (based on the 131 relatively large sample size, which is around 60 for the selected countries). And the results are listed in 132 **Table ??**. 4 133

COMPARISON OF THE RESULTS FROM TWO MODEL BUILDING METHODS

- In **Table ??** we listed the slopes and corresponding standard errors for all the countries from both models. As mentioned previously, regardless of the close value of the coefficients, they still can be statistically 135 different. To check if the regression coefficients from two regression methods for each specific country 136 are statistically different, we assumed that the two estimates were independent and conducted a series of 137 z-tests. The test results are listed in **Table ??**. To check the overall similarity of the two model-building methods, we treated the 19 slope estimates from OLS and GLS methods as two groups respectively and 139
- conducted the two-sample paired *t-test*. 140

DISCUSSION

- Time trend of the IMR were studied for selected countries in this study, in which the graphical 141 representation showed how the IMR has declined during the past six decades. After investigating the 142
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- autocorrelations among the observations using Durbin-Watson test as well as the autocorrelation function
- (acf) and partial-autocorrelation function (p-acf), both produced significant results, i.e. the IMR data are 144
- statistically correlated (not shown in this paper). We proceeded to build up the time-series regression 145
- models for the IMR in term of time based on the results from autocorrelation tests and then compared 146
- them with those results from OLS methods. 147

⁴ All slopes are negative. Positive difference indicates that first country has smaller slope, in absolute value, than the second, indicating smaller decreasing rate of IMR, vice versa.

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Table 4. Regression coefficients from two model-building methods

country	$development_status$	ols_slope	s.e.	gls_slope	s.e.	ρ
Japan	developed	-0.7292	0.05377	-0.8995	0.1145	0.9126
Singapore	developed	-0.8231	0.04683	-0.9817	0.1172	0.8773
Thailand	developing	-2.06	0.06825	-2.066	0.1504	0.9035
India	developing	-2.275	0.04358	-2.3545	0.0957	0.8918
China	developing	-1.454	0.05659	-1.6794	0.1318	0.8563
Algeria	developing	-2.635	0.06008	-2.5626	0.1308	0.9185
Sudan	developing	-1.15	0.05225	-1.3219	0.1156	0.9068
Zambia	developing	-0.8197	0.05924	-1.2141	0.1429	0.9383
Libya	developing	-3.046	0.1895	-3.7296	0.4409	0.8859
Morocco	developing	-2.267	0.02545	-2.1171	0.0602	0.9256
UK	developed	-0.4382	0.0122	-0.4384	0.0302	0.8991
Sweden	developed	-0.3094	0.009713	-0.3149	0.0214	0.9253
Italy	developed	-0.9982	0.04317	-1.0559	0.093	0.9125
Poland	developing	-1.008	0.05758	-1.263	0.15	0.8592
Russia	developing	-0.5489	0.01509	-0.5686	0.0289	0.9181
US	developed	-0.4556	0.01509	-0.4271	0.0299	0.9367
Brazil	developing	-2.427	0.04272	-2.4057	0.093	0.9132
Mexico	developing	-1.741	0.02986	-1.6635	0.0587	0.9235
Australia	developed	-0.3784	0.008724	-0.3509	0.022	0.9310

Table 5. Statistical test of the equivalence of the slope estimates from OLS and GLS methods

Country	Diff.	Std of Diff.	z-value	p-value	lower	upper
Japan	0.1703	0.126	1.346	0.177	-0.078	0.418
Singapore	0.1586	0.126	1.257	0.208	-0.089	0.406
Thailand	0.006	0.165	0.036	0.971	-0.318	0.330
India	0.0795	0.105	0.756	0.450	-0.127	0.286
China	0.2254	0.143	1.571	0.116	-0.056	0.507
Algeria	-0.0724	0.144	-0.503	0.615	-0.355	0.210
Sudan	0.1719	0.127	1.355	0.175	-0.077	0.421
Zambia	0.3944	0.155	2.550	0.011	0.091	0.698
Libya	0.6836	0.480	1.424	0.154	-0.257	1.624
Morocco	-0.1499	0.065	-2.294	0.022	-0.278	-0.022
UK	0.0002	0.033	0.006	0.995	-0.064	0.064
Sweden	0.0055	0.024	0.234	0.815	-0.041	0.052
Italy	0.0577	0.103	0.563	0.573	-0.143	0.259
Poland	0.255	0.161	1.587	0.113	-0.060	0.570
Russia	0.0197	0.033	0.604	0.546	-0.044	0.084
US	-0.0285	0.033	-0.851	0.395	-0.094	0.037
Brazil	-0.0213	0.102	-0.208	0.835	-0.222	0.179
Mexico	-0.0775	0.066	-1.177	0.239	-0.207	0.052
Australia	-0.0275	0.024	-1.162	0.245	-0.074	0.019

4.1 TIME TRENDS OF THE IMR FOR DIFFERENT REGIONS

Among all the selected countries, the situation of IMR was the worst in Africa and the best in Europe and Oceania. Although they all have achieved a huge decline in IMR for the past six decades, the general IMR in Africa is still around the level that the European countries had in 1950s (around 30 per 1000). One special case is in Zambia, instead of a decrease, the IMR increased during the 1980s to 1990s. In Asia and America the case was similar. There was still a gap of IMR between developing and developed countries,

however the developing countries are catching up. 153

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The baseline of IMR was much higher in developing countries compared with developed countries; however the difference became smaller during the past six decades since the IMR decreased faster in those developing countries. Wilcoxon rank sum tests showed that the decreasing rates between developing countries and developed countries were significantly higher in developing countries either based on OLS or GLS method (with *p-values* 0.00081 and 0.0003 respectively).

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From **Table ??**, for example, we can see that the slopes for China and India are significantly different (with difference equals to 0.6751 and p-value < 0.0001), which indicates China has smaller IMR decreasing rate than India (in absolute value of the slopes). The same conclusion can be drawn form the comparison between US and China (US has smaller IMR decreasing rate than China). Comparisons can also be done for other countries using similar method. Although high achievement had been made in reducing the IMR in developing countries for the past few decades, attentions, efforts, and resources are still desirable and necessary in the future. For the countries that already have lower IMR, more effective methods need to be considered and applied to lower the IMR further.

THE DIFFERENCE IN TWO MODEL-BUILDING METHODS

Two regression lines were presented in Figure ?? to Figure ??, graphically showing the comparison 169 between these two model-building methods (solid line stands for OLS regression and dashed line stands 170 for GLS regression). Neither from the numeric values in Table 4 nor from the graphs the results from OLS method are greatly different from those from the GLS method at the first glance - they have similar 172 173 absolute values or the two regression lines lie close to each other. Country-wise statistical tests for comparison of the difference in the estimates of slopes also turned out to be insignificant expect for 174 two countries as we can see from Table ??: Zambia and Morocco had significant results, which means 175 the regression slopes from OLS and GLS methods are significantly different with each other. For all 176 other countries we failed to reject the null hypothesis and both OLS and GLS methods produced similar estimates of slopes.

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However the overall two-sample paired *t-test* showed that the regression coefficients from the OLS and GLS methods are statistically significantly different from each other with *p-value* turned out to be 0.0435, which was slightly less than 0.05, indicated we could reject the null hypothesis, and the slops from OLS and GLS methods were statistically different with a significance level of 5%. In addition, when we take account of the whole population size, this "small" difference could result in huge discrepancy: for example, the population of US was around 308,745,538 in 2010. If we apply above two methods separately the difference in IMR for the year of 2010 can be calculated as

$$|(-0.427 * 2010 + 864.2053) - (-0.456 * 2010 + 917.8335)| = 4.6618/1000$$

If we multiply this value with the population of US, the difference is 1,439,310 deaths of infant, which 187 is not minor. Same for other nations, when we take into account the population size, the OLS and GLS 188 methods actually lead to different results that cannot be ignored. As we have shown that the IMR data are 189 190 highly correlated, it is highly necessary to choose GLS method instead of simply apply OLS regression method. 191

DISCLOSURE/CONFLICT-OF-INTEREST STATEMENT

- 192 The authors declare that the research was conducted in the absence of any commercial or financial
- 193 relationships that could be construed as a potential conflict of interest.

AUTHOR CONTRIBUTIONS

- This is originally MY's thesis work for his master's of science (MS) degree at the University of Texas 194
- School of Public Health. Dr. DL is the chair of the dissertation committee and Dr. KW is another 195
- committee member from the epidemiology division. 196

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SUPPLEMENTAL DATA

See Reference items 4 and 7. 202

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FIGURES

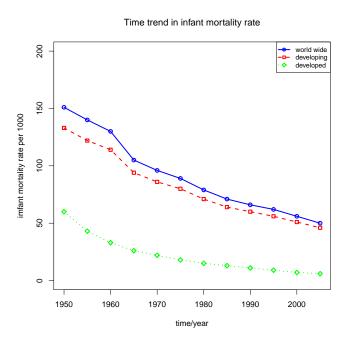


Figure 1. Time trends of IMR for different development status

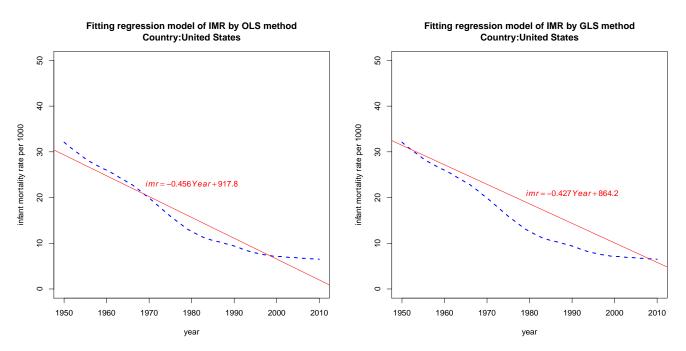


Figure 2. Regression line of IMR v.s. time from OLS (left) & GLS (right) models, United States (1950–2010)

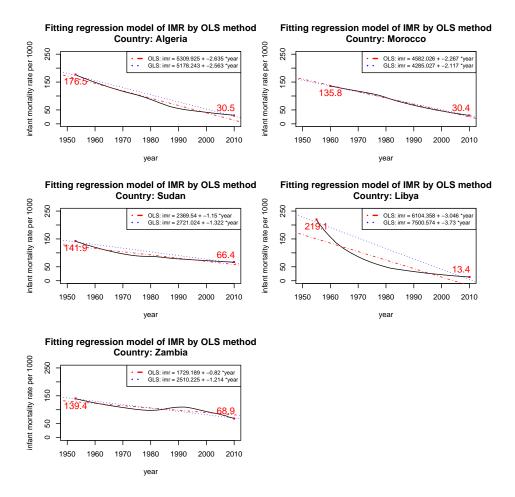


Figure 3. IMR time trends for African countries: Algeria, Sudan, Zambia, Morocco, and Libya

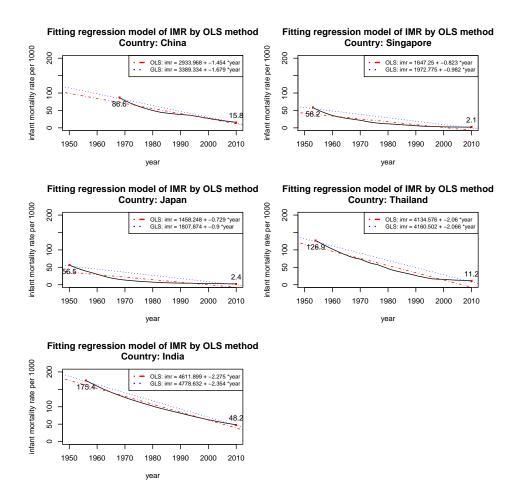


Figure 4. IMR time trends for Asian countries: China, Japan, India, Singapore, and Thailand

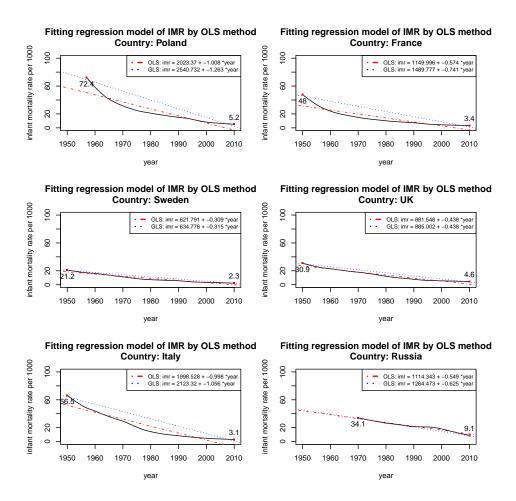


Figure 5. IMR time trends for European countries: Poland, Sweden, Italy, France, UK, and Russia

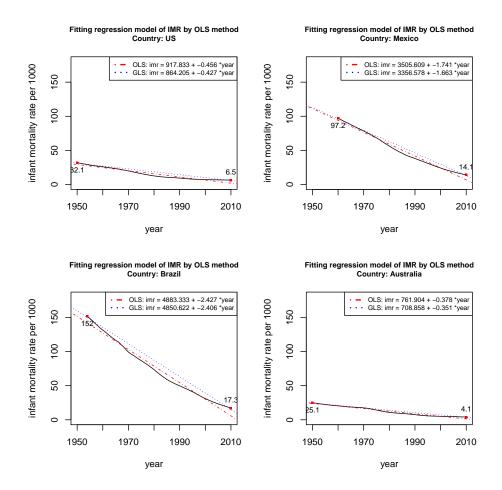


Figure 6. IMR time trends for American and Oceanian countries: US, Brazil, Mexico, and Australia