Predicting Cases of Ambulatory Care Sensitive Conditions

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Abstract: Proper management of ambulatory care sensitive conditions does not only enhance patient care, but also reduces healthcare costs by minimizing hospitalizations. In order to strategically allocate resources, it is essential to rely on informed forecasting decisions. Among other factors, the healthcare data is deeply affected by seasonality, granularity, missing information and the sheer volume. We have used the ten-year history from a Discharge Abstract Database to build predictive models and perform multi-dimensional analysis on key metrics such as age, gender, and demographics. The valuable insights suggest that investments in some areas appear to be working and should continue whereas other areas suggest a need for reallocation of resources. The results have been confirmed using two distinct time series models. The forecasted data is integrated with existing data and presented to users through data visualization tools with capabilities to drill down to reports of finer granularity. It is observed that though some diagnoses appear to be on an upward trend in prevalence over the next few years, other ACSC-related diagnoses will continue to occur with either the same or slightly less frequency.

1 INTRODUCTION

Ambulatory care sensitive conditions (ACSC) are medical conditions such as hypertension, asthma, diabetes, and COPD which are normally treatable in an outpatient setting. Identification of disproportionately high levels of ACSC cases in specific regions, health service delivery areas (HSDAs), or public demographics is key to reducing health care costs and enhancing patient care; most ACSC cases are preventable (Oster and Bindman, 2003) and do not require hospitalization (Brown et al., 2001); (Schrieber and Zielinski, 1997). Many variables affect the distribution of ACSC cases – such as region, age, socioeconomic conditions and availability of health services. These variables can be difficult to identify because of the sheer quantity of data and the raw format in which it is stored. Data mining tools can be used to find these data patterns and to forecast reliably. Examples include the prediction of the number of cases into several years in the future, the probability that a person fitting a demographic set has an ACSC diagnosis, and more. The external variables (such as new breakthroughs in disease management or environmental factors causing more significant disease symptoms) that influence health care make predicting these metrics challenging. The data mining algorithms based on moving averages, linear regressions equations, and seasonal patterns are designed to reduce the impact of unknown and undetectable variables. Thus the algorithms are capable of detecting trends in data even when it contains a small percentage of outlying data which could potentially skew the results. Predictions that show a lack of disease treatment and management performance (e.g. in a specific community) will convince health care decision makers to revisit areas that may have been neglected but deserve attention.

2 RELATED WORK

It is the nature of ACSC that treatment differs from normal inpatient care. Additional challenges are often present such as the frequency of diagnoses being made, which may be many over a short period of time (Starfield et al., 1991). Examinations into demographics and locales that experience higher rates have been an interesting research in the health care field. Observations include a higher rate of ACSC occurrences in younger children and poorer areas (Parker and Schoendorf, 2000). Research also shows that non-Caucasian individuals tend to visit
physicians for ACSC-related circumstances at a lesser rate than Caucasian individuals. The correlation between income and patient’s race supports the notion that income is related to accessibility and frequency of ACSC treatment in potential patients (Lieu et al., 1993). Furthermore, remote and aboriginal communities were observed to have increased risk of complications with diabetes (Booth et al., 2005). It is likely that other ACSC diagnoses follow a similar pattern. The difference between areas with a higher overall income and the poorer areas may show a lack of health care access for some people (Roos et al., 2005).

Time is a significant component in variations in ACSC case data. In Ontario, between the years 1994-1999, acute complications of diabetes decreased by roughly 6% per year (Booth et al., 2005). In U.S., research into childhood asthma showed an overall increase in visitations for the ACSC disease between the years 1980-1998. However, the data does show a recent stabilization of the proportion of youth admitted for asthma (Akinbami and Schoendorf, 2002).

Researching the causes of and situations for ACSC cases is critical in improving a key health care performance metric: Primary Health Care (PHC). It has been identified by professionals that improving PHC significantly improves the treatment of ACSC and prevention of ACSC hospitalizations. By looking for symptoms related to the onset of ACSC, this pre-emptive care is most effective (Caminal et al., 2004).

3 METHODOLOGY

The Discharge Abstract Database (DAD), consisting of approximately one million rows and over seven hundred sparsely populated columns, formed the basis of this study. Upon pivoting, this yielded over twenty-six million rows that were to be analyzed. Earlier, we had used Business Intelligence (BI) tools and techniques to efficiently analyze this database and presented statistically significant trends and patterns (Haque and Edwards, 2012). We have now extended this study using advanced analytics for developing predictive models. There are several methods which can be deemed viable for predictive analytics. Our data mining solution focuses primarily on time-based mining and requires input sets with equally distributed time slices. Mining models for the identified metrics have been created and trained individually for each dimension (or set of dimensions) in order to attain maximum level of accuracy. Microsoft SQL Server Analysis Services (SSAS) tools are used to achieve our solution (Microsoft Corp, 2013). Furthermore, separate models are developed using the software R and its various multivariate linear regression algorithms (Gentleman et al., 2012).

Other available algorithms include Microsoft Clustering, Decision Trees, Neural Networks, and Linear Regression. The Clustering algorithm was immediately invalidated because it did not support a continuous type attribute (ACSC data is continuous as opposed to discrete). While the other algorithms could be used for our predictions, they would require a mapping between the id fields in the date dimension and integer values. Linear Regression was the most applicable, because the input series for our data was primarily based on increase and decrease in number of cases. However, the Microsoft Time Series algorithm is a special implementation of a blend of the Linear Regression algorithm and ARIMA. It is designed to operate with date key values and simplifies the process of forecasting over time ranges. As a result, time series was our choice of data mining technique. This technique allows use of a combination of the proprietary Microsoft ARTXP algorithm and popular ARIMA algorithm (MSDN, 2012).

As Microsoft Time Series does not supply control over every variable used by ARTXP or ARIMA algorithms, a comparison of our SSAS results with those produced by R is used to enhance our confidence and support the results of our data mining solution.

3.1 Data Challenges

The data integrity issues encountered ranged from formatting that prevents straightforward integration into an existing cube structure to absence of data that could have been a useful metric for forecasting. An example of such data is the ethnicity of an individual identified with ACSC.

3.1.1 Time Series Stationarity

A requirement of the ARIMA time series data mining algorithm is stationarity of the input time slices. “Stationarity has three components. First, the series has a constant mean, which implies that there is no tendency for the mean of the series to increase or decrease over time. Second, the variance of the series is assumed constant over time. Finally, any autocorrelation pattern is assumed constant throughout the series.” (Barao, 2008) In general, the volatility of the health care data causes a lack of
stationarity. The process of differencing is used to reduce or eliminate non-stationarity from the input series. In both manual and automatic differencing (done by time series implementation examining autoregressive values) (MSDN, 2012), the application of the differencing process cannot resolve the externally influenced changes in input series mean. Thus, increasing the levels of differencing in ACSC data cannot redeem ARIMA as useful for all model applications. As a result, we are limited to the use of ARTXP time series algorithm for several predictions.

Due to inherent seasonality in our ACSC data, creating mining models at a finer granularity becomes a greater challenge because finding a fitting historic model curve becomes more difficult. Trimming the input set of irregular data can help to improve the generation of historic model.

3.1.2 Input Data Limitations

The input set for time series models should have a large number of slices in order to create a strong historic model and reduce the overall impact of irregularities. In general, using between 32-40 time slices is the minimum for an acceptable ARTXP model. The existing set of ACSC data gives us 36 fiscal quarter slices. It is also critical that data is supplied continuously through all periods – a lack of data for an input slice means we must either determine it as zero, or take the mean of previous time slices, adding error. A similar problem exists when the series is fully populated but the metric values lack significant variation. This occurs more frequently as data granularity becomes finer when incorporating additional attributes.

Ethnicity has been observed to be a strong influencer of the frequency and severity of ACSC occurrences. The DAD, however, does not contain any aggregations on ethnic demographics. As a result, we cannot explore or forecast change in ACSC in varying ethnic groups. We instead choose to explore how changing gender and age demographics will affect ACSC prevalence.

3.1.3 Conformed Date Dimension

Time series data mining predictions output their data as a set of SQL rows split by attributes and future time slices. An inconsistency exists between the way SQL creates a date dimension and the way the time series implementation creates future time slices in fiscal quarters. The forecasting tool produces data whose date fields progress in ¼ of a calendar year. However, the Northern Health (NH) conformed date dimension uses fiscal quarters aligning along specific months. As a result, a mapping query is needed to link the predicted data to the NH conformed date dimension. The mapping query prevents the quarter-year output from the mining prediction from becoming offset from the proper fiscal quarters.

3.1.4 Storing Forecasted Data

Output from mining model predictions in SSAS is exported to a SQL table. We have two options when storing: either update the existing prediction results table or create a new one for the prediction. When a large number of unique predictions are done, the number of tables would become large with the latter choice. This not only adds complexity to the cube but additional tables require that SSAS data source view must be updated for every new table; this makes calculations more complex, involving multiple separate relations’ fields as opposed to a single standard field. Updating existing prediction tables require distinguishing between sets of rows using a key column. This solution results in longer lookup times and increased space complexity, but this is less of an issue in analytical work than it would be in a transactional scenario. The cube is only periodically processed; the lookup on the data in the database only occurs when the DAD is updated. As a result, we used a single table whose rows are differentiated by the key.

4 DATA MINING/PREDICTIONS

The use of data mining functionality in SQL Server requires creation of a mining structure (with models) and preparation of two sets of data: a training set, and a template set. The latter is required for forecasting in the instance where partial future data needs to be added to an existing model (such as in the case of ACSC predictions based on future census population) and consists of relations with arity and domain equivalent to the model’s training data. Training sets are needed for each unique collection of dimensions used to slice the data.

The SSAS data mining tools support two modes of creation: the model can be created on top of the cube, or it can be created based on the corresponding SQL database. The latter option requires special formatting of the forecast output data. Though our ultimate intent is to update the cube, having access to the SQL database content gives us additional control over the mining results. With results in SQL
rows, we can easily tie in new data with existing data as well as split the data by arbitrary conditions. Therefore, the SQL mode was a preferred choice for use in our solution.

4.1 Preparation of Training Data

Our training data set consists of numbers of cases and interventions over a given period of time. Existing raw data resides in a SQL database from where we gather appropriate dimensions for the measures that are being forecast. Preparation of training data can include any number of dimensions and conditions. Each row with an ACSC flag in the diagnosis table represents a unique case. By aggregating on unique attribute groups, we can obtain the number of cases belonging to those groups. As we are working at the SQL level, we must replicate the calculation for the measure in the training query. Because each row in the diagnosis fact table is considered a case, we can select a sum of the number of rows where one or more of their dimension parameters match. For example, we could choose a count of rows where genders match. Thus, the output set would consist of two columns; one column specifies the gender, and the other displays the number of rows/cases corresponding to that gender. The output is stored in a temporary staging table.

4.2 Training the Model

SSAS mining structures are used to process data from the staging tables; the chosen algorithm learns the patterns in the input data and enables forecasting based on those patterns. Initially, a univariate analysis was done. We considered the variations in either number of ACSC cases or total cases when divided by various attributes relevant to prescribed time-based metrics. Eventually, population was identified as an important predictor for a multivariate analysis.

In SSAS, the data source view is prepared to accept newly forecast data for cube processing without additional configuration. The control parameters used by the algorithm to learn the trends in its input series are given in Table 1. The mining model processes the data based on these values and exports it as a series of SQL rows. By completing the query process the raw output data can be combined with other forecast data as well as DAD data.

SSAS does not allow control over the algorithm learning process past these parameters. Instead, heuristic algorithms assist in determining the values that compose the prediction algorithm’s equation. This equation is based on the linear change in input series as well as some constant variance values. In case of ARIMA, the additional process of differencing is used to get the best possible forecast equation; SSAS deems the equation fitting when stationarity is maximized. Using the mining model viewer in SSAS, we examine the short-term results of the forecast as well as how accurately the historical model collection matches up with existing data. Prediction results are exported to the SQL database once the model is deemed acceptably accurate.

### Table 1: Model parameters.

<table>
<thead>
<tr>
<th>Parameter</th>
<th>Property</th>
<th>Use</th>
</tr>
</thead>
<tbody>
<tr>
<td>FORECAST_METHOD</td>
<td>Controls the algorithm used by SSAS in forecasting</td>
<td>ARIMA or ARTXP</td>
</tr>
<tr>
<td>HISTORIC_MODEL_COUNT</td>
<td>Multiplier for historic models</td>
<td>1</td>
</tr>
<tr>
<td>HISTORIC_MODEL_GAP</td>
<td>Number of time slices each historic model spans.</td>
<td>12 / 8</td>
</tr>
<tr>
<td>MINIMUM_SERIES_VALUE</td>
<td>Series values cannot be predicted below this threshold (case counts cannot be negative)</td>
<td>0</td>
</tr>
<tr>
<td>MISSING_VALUE_SUBSTITUTION</td>
<td>Value used when points in the middle of the series are absent.</td>
<td>0: values (&lt;10) MEAN: values (&gt;10)</td>
</tr>
<tr>
<td>PERIODICITY_HINT</td>
<td>Seasonality of data</td>
<td>12 / 4</td>
</tr>
</tbody>
</table>

4.3 Integrating Forecasted Data

In order to combine raw forecast data with existing data in the cube, it needs to be assigned the appropriate foreign keys for various dimensions. Output strings are parsed for attribute members found in dimension tables. A lookup is executed for finding the key value that corresponds with the attribute members and finally the data is inserted into a table for completed predictions. An additional key is used to identify the unique prediction fields; for example, a different identifier key is used for a prediction on the gender attribute than for prediction on both gender and age group. This identifier enables us to choose the right data from the cube for visual reports.

Further examination of the accuracy of the historical models is conducted by averaging percentage difference for each time slice. In general, mining models that generate historical prediction values of less than 30% difference from the actual values are accepted for use in deliverable reports.
Predictions with few attributes tend to have differences of less than 5-6%. Data is finally formatted to be processed by the SSAS cube. New entries in tables linked to forecasts and forecast-related dimensions become a part of the cube. Upon completion, the case count metrics can be split by the unique prediction identifiers described above.

4.4 Data Visualization

Charts and tables enable users to easily observe trends in the ACSC metrics; many charts are broken down by fiscal quarters or fiscal years and show the change in ACSC over time. Aggregations take place at levels such as on diagnosis or locale. Data is aggregated on diagnosis, institution, locale cluster, HSDA/LHA, and discharge disposition.

4.4.1 Dashboard

The dashboard presents a high-level overview of the ACSC data. Visualization of data at this level is not filtered. Common attributes for slicing charts and tables include diagnosis, age group, and gender. The users can select up to 5 years into the future. A user may choose to exclude historical data, forecasted data, or any combination. Forecast information in the chosen future period is clearly identified, either by a description or by an alternate colour. Tooltips offer additional details on series seen in charts. Other reports include metrics broken down by ACSC diagnoses, Discharge Disposition, and ACSC prevalence by geographic clusters/location.

4.4.2 Other Reports

The drilldown reports provide information about the core ACSC metrics at a finer granularity. New information on various charts is displayed in the same manner as the dashboard, wherever predictions for the attributes present in those charts produced results with acceptable accuracy. Users can choose to filter data by members of the corresponding attribute, as well as the specified time period. As explained earlier, forecasting results become increasingly sparse as more attributes are introduced.

For the sake of space, the dashboard or other drilldown reports are not included in this paper.

5 ANALYSIS OF RESULTS

In this section, we present some observations from each of the models developed in SSAS and R, the closeness of results between the two, and significant trends found from the data forecast by each corresponding mining model. We have selected the most representative results from our study.

5.1 Quarterly vs. Monthly Aggregation

The first noticeable result is the quality of forecasts when using monthly vs. quarterly aggregation of data. Both SSAS and R models result in higher quality predictions when using quarterly aggregation. This is observed by examining R’s AIC, AICc, and BIC values which determine the ideal fit from a pool of candidate models. AIC represents the amount of information suspected to have been lost by the model. BIC values operate in the same manner as AIC, but incur a more significant penalty when additional attributes are included in the model. This helps to prevent overfitting to the training data. We use these values as a confidence measure for R’s models.

The label associated with R models comes in the form ARIMA\((0,0,0)(0,0,1)\)\([12]\) (Figure 1). It is a representation of the equation used by ARIMA for generating the model. The two tuples in parentheses imply that the model combines two equations. The first index in a tuple is the number of regressive terms, the second is the number of deviations in the series that do not follow a seasonal pattern, and the last is the lagged forecast error in the equation. Finally, the label “\([12]\)” implies the model’s seasonality, which in this case is monthly.

In Figure 1, values prior to 2010 are data from DAD. The data beyond 2010 shows predicted metric values by the ARIMA algorithm and the bands around this line represent the 85% and 90% confidence levels. The values of AIC, AICc, and BIC are 504.96, 505.19, and 513.01, respectively. A higher value of these metrics implies a lower relative quality of forecast. Relatively, these values are high
and therefore the level of confidence in this model is low. An additional observation in this chart is the absence of any variation in the predicted period. This commonly occurs when the input series does not have strong seasonality – as a result, the algorithm resorts to detecting a mean of the series.

An experiment separating the genders produced significant variation between the predicted values. For example, it was observed that the male category in 30-39 age group showed a poor forecast of seasonality from both the R and SSAS models (Figure 5). Though both models were unable to detect and represent the quarterly seasonal pattern, the values of AIC, AICC, and BIC in the R model were 204.96, 205.32, and 208.13, respectively. These values, relative to our other successful predictions, show that the model has a good degree of accuracy. For this age group, the forecast results were significantly improved when the male and female input sets were combined and forecasted on (Figure 6). Both SSAS and R models created forecasts with strong seasonality and both produced nearly identical output. AIC, AICC, and BIC values of approximately 195 show a close fit to DAD data in the R model.

5.2 Reducing the Number of Attributes

An experiment separating the genders produced significant variation between the predicted values. For example, it was observed that the male category in 30-39 age group showed a poor forecast of seasonality from both the R and SSAS models (Figure 5). Though both models were unable to detect and represent the quarterly seasonal pattern, the values of AIC, AICC, and BIC in the R model were 204.96, 205.32, and 208.13, respectively. These values, relative to our other successful predictions, show that the model has a good degree of accuracy. For this age group, the forecast results were significantly improved when the male and female input sets were combined and forecasted on (Figure 6). Both SSAS and R models created forecasts with strong seasonality and both produced nearly identical output. AIC, AICC, and BIC values of approximately 195 show a close fit to DAD data in the R model.
very acceptable confidence level of 89.5%. This also demonstrates that predicting on the aggregated case count produces a more accurate forecast.

Figure 7: Quarterly ACSC cases forecast by gender.

5.3 Some observed Trends

Accurate forecasting of ACSC metrics allows management to make informed decisions on the choice of future healthcare strategies instead of making simple extrapolations from past data.

Sample Observation 1. As an example, Figure 8 identify the 70-75 year old as an age group in which overall ACSC frequency is on the decline. Following a spike at around 2007, our models project a consistent decrease in ACSC occurrence. Because the forecasting models are heavily influenced by more recent events, the actual decrease may not end up being as sharp as the forecast. However, this does promote the idea that existing activities designed for improving the ACSC care of seniors have helped and will continue to help that group.

Sample Observation 2. In recent years, the number of ACSC cases in the Region 1 (Figure 9) has stayed higher than the period around year 2004. Data predicted by our models suggests that while the ACSC numbers may stabilize at their current levels for a couple years, the yearly average trend should begin to return to previous levels after 2-3 years. However, though the yearly cases on average will begin to decline, 4th quarter spikes in ACSC will remain. Region 2 occurrences (Figure 10) will continue to remain reasonably high after identifying a recent increase in their prevalence. Earlier time slices have influenced the model such that the expected threshold will not be as extreme as the 2008 peak.

Sample Observation 3. The overall number of ACSC cases in all groups and diagnoses (Figure 11) appears to remain constant over the forecast period. In the chart, a diagnosis category with a historical value approximately twice the forecast value is one whose ACSC count per year has not changed (the historical period is twice the forecast period). Within these counts, COPD and Diabetes appear to be on a slight increase in prevalence over the next 5 years and other ACSC-related diagnoses will continue to occur with either the same or slightly less frequency.

Figure 8: ACSC cases forecast for 70-75 yr females.

Figure 9: Historical and Forecasted Quarterly ACSC cases in Region 1.

Figure 10: Yearly ACSC prevalence as a percentage of population in Region 2.

Figure 11: ACSC cases in each diagnosis (2002-2010, forecast to 2015).
6 CONCLUSIONS

Data mining tools have been applied to ACSC data. The resulting predictions have identified both, areas and groups that need attention and those that are headed in a positive direction. Because of the inconsistent nature of health-related data, these trends are more reliable when data is aggregated. Despite this limitation, improvements to the health care system can be targeted towards high-impact locations and critical demographic groups identified by our predictive models. COPD and Diabetes diagnosis groupings appear to be on the rise and require additional health care focus. Conversely, population such as the 70-75 age group may be receiving adequate treatment thus decreasing the morbidity of these cases. Visualizations methods provide a clear and easy to understand interface for correctly distinguishing factual existing data and predicted/forecasted data. The reporting tools offer drill-down capabilities for further insight into any desired set of existing and forecasted information over specified time ranges. The models developed offer a strong confidence level where stable forecasting of ACSC-related health data is possible. The SSAS environment was confirmed as an effective means of creating forecasting models for the ACSC data by observing similar results with R. As a result, SSAS was deemed a beneficial tool for creating a data mining solution for ACSC as it simplified the task of designing mining structures and models without the need for statistics expertise. The reporting is also more intuitive and interactive. The tight integration with the existing analytics cube further centralized the task of data mining and incorporation of new data into the data warehouse.

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