C-LACE: Computational Model to Predict 30-Day Post-Hospitalization Mortality

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Abstract: This paper describes a machine learning approach to creation of computational model for predicting 30-day post hospital discharge mortality. The Computational Length of stay, Acuity, Comorbidities and Emergency visits (C-LACE) is an attempt to improve accuracy of popular LACE model frequently used in hospital setting. The model has been constructed and tested using MIMIC III data. The model accuracy (AUC) on testing data is 0.74. A simplified, user-oriented version of the model (Minimum C-LACE) based on 20-most important mortality indicators achieves practically identical accuracy to full C-LACE based on 308 variables. The focus of this paper is on detailed analysis of the models and their performance. The model is also available in the form of online calculator.

1 INTRODUCTION

Risk Adjusted Mortality Rates are important indicators for care outcome. They are used by administrators, Policy makers and organizations including government agencies, managed care companies and consumer groups (Inouye et al, 1998) to compare effectiveness of care among different facilities and utilize results in quality improvement efforts. Clinicians are mostly interested in accurate and valid mortality prediction models to use as tools for better planning of care, evaluation of medical effectiveness among treatment groups while controlling for patients’ baseline risk, and to help clinicians decide if a patient may benefit from intensive care units and when. From patient’s family perspective, discussing outcome of critically ill patients is always welcomed and appreciated. (Rocker et al, 2004)

Many illness severity scoring systems that are primarily used to measure prognosis early in the course of critical illness had been widely used to calculate in-hospital mortality. The Simplified Acute Physiology Score (SAPS) and the Mortality Prediction Model (MPM) use data collected within one hour of ICU admission. Sequential Organ Failure Assessment (SOFA) scoring uses data obtained 24 hours after admission and then every 48 hours. Logistic Organ Dysfunction Score (LODS) and Multiple Organ Dysfunction Score (MODS) also had been used to measures severity of illness at time of ICU admission. Acute Physiologic and Chronic Health Evaluation (APACHE) scoring system widely used to predict risk of in-hospital mortality among ICU patients. The score uses the worst physiologic values measured within 24 hours of admission to the ICU and requires a large number of clinical variables including age, diagnosis, some laboratory results, and other clinical variables and run the result on a computer generated logistic regression model to calculate risk of mortality. However, these scoring systems have shown limited accuracy predicting risk of mortality for individual patients.

Most relevant to the presented work, the LACE index, which has been used to predict mortality within 30 days of hospital discharge can use both primary and administrative data. The name LACE explains variables required: length of stay (“L”); acuity of the admission (“A”); comorbidity or diagnoses of the patient (uses Charlson comorbidity score) (“C”); and number of emergency department visits in the six months before admission (“E”). LACE index scoring ranges from 0 (2.0% expected risk) to 19 (43.7% expected risk) (Walraven et al, 2010). However, standard LACE didn’t show sufficient accuracy and it is not always possible to obtain data on the 4th item (“E”), as emergency room visits are not necessarily available.
2 DATA ANALYSIS AND MODEL CONSTRUCTION

2.1 MIMIC III Data

In order to construct and test the C-LACE model, we obtained and analyzed Medical Information Mart for Intensive Care III (MIMIC III) data. The data is publicly available to researchers who satisfy certain conditions (Goldberg et al., 2000). The MIMIC III data has been collected between 2001 and 2012 in the Beth Israel Deaconess Medical Center. It consists of over 58,000 hospital admissions for more than 40,000 patients. It is structured into 26 tables organized as a relational database (Johnson et al., 2016).

From the MIMIC III data, we selected only admissions for patients at least 65 years old and alive at hospital discharge. This results in selection of 21,651 admissions. The distribution of selected attributes in the data is presented in Tables 1a and 1b. The tables also show likelihood ratios (RL) associated with each of the attributes for predicting mortality. Within the data, the majority of patients were treated in Medical Intensive Care Units (MICU), followed by Cardiac Surgery Recovery Units (SCRU), Cardiac Care Units (CCU), Surgical Intensive Care Units (SICU) and Trauma Surgical Intensive Care Units (TSICU). It can also be noted from the data that the majority of patients were hospitalized only once.

In the presented work, instead of loading to relational database, the data has been analyzed within distributed computing infrastructure designed and implemented as a part of the larger research project conducted in GMU's Machine Learning and Inference Laboratory. The data has been mapped to concepts within the Unified Medical Language System (UMLS) and integrated during analysis based on unique concept identifiers. The mapping process is a combination of manual labor-intensive identification of appropriate concepts which requires strong domain background of the person performing the mapping, with automated search for concepts between different terminologies in UMLS. The latter can be done when original data stored in database are coded using one of standard terminologies, but the final results still need to be verified by human experts. In fact, the presented construction of the model served as a testing application for the developed platform, whose description is out of scope of this paper (Wojtusiak et al., 2016).

<table>
<thead>
<tr>
<th>Variable</th>
<th>Died in 30 days N = 1425</th>
<th>Not died in 30 days N = 20226</th>
<th>LR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Age (mean, SD)</td>
<td>79.33 years (7.26)</td>
<td>76.93 years (7.16)</td>
<td></td>
</tr>
<tr>
<td>Length of Stay</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hospital</td>
<td>15.73 days (11.13)</td>
<td>10.52 days (9.15)</td>
<td></td>
</tr>
<tr>
<td>CCU (mean, SD)</td>
<td>121.22 days (115.58)</td>
<td>72.45 days (63.18)</td>
<td>3.82</td>
</tr>
<tr>
<td>MICU (mean, SD)</td>
<td>126.65 days (122.28)</td>
<td>72.45 days (63.18)</td>
<td>2.74</td>
</tr>
<tr>
<td>SICU (mean, SD)</td>
<td>130.62 days (122.68)</td>
<td>111.51 days (107.28)</td>
<td>1.37</td>
</tr>
<tr>
<td>Admission Location</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Emergency Room Admission</td>
<td>51.15%</td>
<td>39.22%</td>
<td>1.09</td>
</tr>
<tr>
<td>Chief Referral/Procedures</td>
<td>18.99%</td>
<td>19.93%</td>
<td>0.94</td>
</tr>
<tr>
<td>Phs Referral/Therapists</td>
<td>6.99%</td>
<td>21.73%</td>
<td>0.32</td>
</tr>
<tr>
<td>Transfer From Hospital Admission</td>
<td>18.06%</td>
<td>18.39%</td>
<td>0.98</td>
</tr>
<tr>
<td>Transfer From Medical Unit</td>
<td>1.71%</td>
<td>0.61%</td>
<td>2.89</td>
</tr>
<tr>
<td>Transfer From Other Unit</td>
<td>0.49%</td>
<td>0.10%</td>
<td>4.75</td>
</tr>
<tr>
<td>Int. Not Academic</td>
<td>0.07%</td>
<td>0.00%</td>
<td>14.20</td>
</tr>
</tbody>
</table>
2.2 Model Construction

During the analysis, the data has been randomly split into training set (80%) and testing set (20%). The testing portion of the data has been set aside and the experimental work has been performed on the training set. Only final application of models has been done on the testing set.

The data (diagnoses, ICU stays, lab tests, and medications) has been aggregated on the level of admission, i.e., one example in the final dataset corresponds to hospital admission. Because of specific implementation of machine learning library that was used, all data had to be coded as numeric attributes. Values of nominal attributes were coded as 0, 1, 2, etc. for patient has been retrieved and coded. - Basic demographic information (age, gender, race, etc.) for patient has been retrieved and coded.

- Diagnoses present during hospitalization were coded in the original data as ICD-9-CM codes. They were aggregated to CCS categories that group together similar ICD codes while preserving their clinical meaning (AHQR, 2016).
- Lab values were coded as normal and abnormal. This coding was created as part of the original MIMIC dataset. Then, if at least one abnormal value for a test was detected, the overall value was coded as abnormal. This corresponds to taking the worst case and is consistent with several other approaches to patient modeling. However, this is a significant oversimplification, since the values should be treated as a time series and patient trajectory analyzed accordingly Verduijn et al., 2007; Moskovitch and Shahar, 2015.
- Drugs were coded with a single binary attribute indicating use of immunosuppressant drugs. The drugs were extracted using their LOINC codes.
- Binary output attribute indicating mortality within 30 days after discharge has been calculated using the dates of discharge and death.

The data has been transformed into a single analytic file (or technically corresponding data structures) in order to be used by machine learning software.

A number of supervised machine learning methods have been explored in order to arrive at most accurate and useful set of models. Among the tested methods were logistic regression, random forest, naïve Bayes, and support vector machines. Comparison of the methods is presented in section 3.1, and actual descriptions of the methods is outside of the scope of this paper and can be found in the literature.

2.3 Implementation

The presented work has been implemented in Python 3 programming language (Anaconda distribution Python 3.5.2). The main libraries used are Pandas (v. 0.18.1) for data processing and scienskit-learn (sklearn v. 0.17.1) for machine learning.

All developed source code is open source and available on request. We are in the process of preparing release code that will be available on the project website.

3 RESULTS

3.1 Method Selection

The first set of results concern selection of the most appropriate method that can handle the data. Table 2 shows comparison of accuracy of six methods applied to training data and testing data. The methods have been executed with multiple parameters and top results are presented.

<table>
<thead>
<tr>
<th>Method</th>
<th>AUC (training)</th>
<th>AUC (testing)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Logistic</td>
<td>0.73</td>
<td>0.663</td>
</tr>
<tr>
<td>SVM</td>
<td>1.0</td>
<td>0.5</td>
</tr>
<tr>
<td>Linear SVM</td>
<td>0.522</td>
<td>0.512</td>
</tr>
<tr>
<td>Bayesian</td>
<td>0.514</td>
<td>0.512</td>
</tr>
<tr>
<td>Decision Tree</td>
<td>1.0</td>
<td>0.543</td>
</tr>
<tr>
<td>Random Forest</td>
<td>1.0</td>
<td>0.743</td>
</tr>
</tbody>
</table>

The table clearly indicates that SVM and naïve Bayesian approaches are not performing well on the data. Decision tree is strongly overfit and useless on
testing data. Logistic regression performs reasonably on both sets. Although its performance on testing data is below desired level.

Random Forest (Breiman, 2001) has consistently shown the highest accuracy on testing data, despite clear overfit. Detailed analysis of the model presented in Section 4 shows that the model is stable and appropriate. Based on the result, the remainder of this paper will focus on using Random Forest as the prediction algorithm. It is a well-studied approach, previously used in healthcare (i.e., Gu et al., 2015), in which large number of shallow decision trees are generated based on subsets of data (both examples and attributes). In our case, the best performance was achieved when generating 1,000 trees.

3.2 Use of Administrative and Clinical Data

The primary dataset used to test the research question is MIMIC III (Johnson et al., 2016) which is part of PhysioNet project (Goldberger et al., 2000). The dataset includes a variety of patient and clinical information about hospitalizations, ICU, and patient history. MIMIC III comprises over 58,000 hospital admissions for 38,645 adults and 7,875 neonates. The data spans June 2001 - October 2012. The rationale of using MIMIC III in this project is that it includes much more complex and diverse information than typically found in claims data. One of our goals is to illustrate that learning models from such data using the described method leads to better results than those that can be obtained from claims only data.

In the second set of experiments we tested if addition of clinical data (lab values) to administrative data (coded diagnoses) improves accuracy of prediction of 30-day mortality. Inclusion of lab values is consistent with existing models such as APACHE II.

The results indicate that addition of clinical data makes small difference in the accuracy. The AUC increases from 0.72 to 0.74. The ROC for combined administrative and clinical data is consistently above one for administrative data only, as shown in Figure 1. Interestingly, when applied to Medical Intensive Care Unit (MICU) and Surgical Intensive Care Unit (SICU) patients only, the accuracy worsens. While contradictory to the fact that these are two distinct types of patients and separate modeling should improve accuracy, this discrepancy can be explained by the amount of data available and thus overfitting of models.

3.3 Minimum C-LACE Model

Finally, we investigated possibility of reducing number of attributes needed to accurately predict 30-day mortality. Such a reduction is important for simplification of the model and, as described in Section 4, allows for creation of online calculator in which data can be entered manually.

All 308 attributes used in the full model were ranked based on their Mean Decrease Impurity calculated by the Random Forest model. It is a standard measure reported by RF after forests are built. We created a set of models while increasing number of attributes until the accuracy became comparable to one in full model. This resulted in selection of top 20 attributes listed in Table 3 along with their weights. The table also includes counts of patients and likelihood ratio as additional measure of attribute quality.

Table 3: Selected top 20 attributes along with their importance.

<table>
<thead>
<tr>
<th>Feature</th>
<th>Importance</th>
<th>Count of Patients</th>
<th>Likelihood Ratio</th>
</tr>
</thead>
<tbody>
<tr>
<td>Age</td>
<td>0.0452</td>
<td>30,606</td>
<td></td>
</tr>
<tr>
<td>HOSPITAL_LOS</td>
<td>0.0346</td>
<td>30,606</td>
<td></td>
</tr>
<tr>
<td>MICU_LOS</td>
<td>0.0320</td>
<td>30,606</td>
<td></td>
</tr>
<tr>
<td>CCS 157</td>
<td>0.0177</td>
<td>30,606</td>
<td></td>
</tr>
<tr>
<td>CCS 106</td>
<td>0.0176</td>
<td>30,606</td>
<td></td>
</tr>
<tr>
<td>CCS 98</td>
<td>0.0159</td>
<td>30,606</td>
<td></td>
</tr>
<tr>
<td>ADMISSION_LOCATION</td>
<td>0.0137</td>
<td>30,606</td>
<td></td>
</tr>
<tr>
<td>CCS 131</td>
<td>0.0152</td>
<td>30,606</td>
<td></td>
</tr>
<tr>
<td>CCS 108</td>
<td>0.0145</td>
<td>30,606</td>
<td></td>
</tr>
<tr>
<td>CCS 122</td>
<td>0.0133</td>
<td>30,606</td>
<td></td>
</tr>
<tr>
<td>SICU_LOS</td>
<td>0.0130</td>
<td>30,606</td>
<td></td>
</tr>
<tr>
<td>CCS 159</td>
<td>0.0129</td>
<td>30,606</td>
<td></td>
</tr>
<tr>
<td>CCS 127</td>
<td>0.0127</td>
<td>30,606</td>
<td></td>
</tr>
<tr>
<td>CCS 49</td>
<td>0.0127</td>
<td>30,606</td>
<td></td>
</tr>
<tr>
<td>CSRU_LOS</td>
<td>0.0126</td>
<td>30,606</td>
<td></td>
</tr>
<tr>
<td>CCS 59</td>
<td>0.0133</td>
<td>30,606</td>
<td></td>
</tr>
<tr>
<td>CCS 55</td>
<td>0.0123</td>
<td>30,606</td>
<td></td>
</tr>
<tr>
<td>CCS 53</td>
<td>0.0110</td>
<td>30,606</td>
<td></td>
</tr>
</tbody>
</table>
The AUC of the model based only on age was 0.516 which is basically a random guess based on prior class distribution. Similarly, the AUC of the model based on Age and Length of Hospital Stay was 0.576. Interestingly models based on 5 and 10 top attributes performed very close to each other with AUC values of 0.6961 and 0.697, respectively. Finally, the model based on 20 attributes performed only slightly worse than one based on all 308 attributes (AUCs 0.734 and 0.743 respectively). Figure 2 below illustrates ROC for these models.

Figure 2: Accuracy of models for different selection of attributes given as ROC.

Additional analysis indicates that in fact predicted probabilities from both models are very close. When applied to training data Mean Squared Error (MSE) between probabilities of 30-day mortality calculated between both models was 0.000439 as illustrated in scatterplot in Figure 3.

Figure 3: Comparison of probabilities of C-LACE and Minimum C-LACE on training data.

Similarly, when compared on testing data the MSE between the two models was 0.00335 as shown in Figure 4. While there is a slight difference in the predicted probabilities, the data are clearly clustered into two groups that correspond to low and high risks of mortality. Assignment to these groups is virtually identical regardless of models used.

Figure 4: Comparison of probabilities of C-LACE and Minimum C-LACE on testing data.

The above analysis indicates that the two models are almost identical in terms of predictions, thus the simpler of the models should be used.

4 MODEL ANALYSIS

In addition to standard testing of the created model presented in the previous section, this section discusses a more detailed analysis of the created Minimum C-LACE model. The goal is to understand the model’s behavior and its sensitivity to changes in input attributes.

The first set of experiments was to investigate how probabilities of 30-day mortality depend on changes in single variables. This is particularly important for continuous variables for which model should be “smooth” and not produce sudden changes in output probabilities. This property can be investigated by applying the model to large simulated data and comparing output to distribution of values in real dataset.

First created simulated dataset was completely random, that is, each input attribute was assigned uniformly a random value from list of allowed values for that attribute with exception for one attribute being controlled. For example, generation of simulated data to test age attribute followed the procedure:

```
for a = min(age) to max(age):
    Generate 1,000 random examples:
        age = a
        for each attribute x other than age:
            x = random(domain(x))
```

After simulated dataset is generated, C-LACE model is applied to predict mortality probabilities. These probabilities can then be investigated to check model’s behavior based on changes in age.
Obviously, accuracy measures are not applicable to this simulated data since no true answer is known. The result is shown in Figure 5, which also includes distribution of average values depending on age in training, testing and complete data.

One can immediately note that the probabilities based on “completely random” simulated data are much higher than those in real data. This is correct, because a completely randomly generated patient is much “sicker” than real patients due to the way data are generated. The data on the plot shows that the model is smooth in regard to changes of probability with age. An interesting fact about model is that probabilities are somewhat higher for the lowest allowed value of age, namely 65.

![Figure 5: Distribution of predicted probability of 30-day mortality based on patient age for completely random simulated data compared with real data.](image)

The second (averaged training) method used to generate simulated data started with original dataset used for training C-LACE model and multiplied the data by copying all examples for each fixed age and applying low probability random distortion to all other attributes.

\[
\text{for } a = \min(\text{age}) \text{ to } \max(\text{age}): \\
\text{For each example in training data:} \\
\quad \text{Copy the example} \\
\quad \text{age} = a \\
\quad \text{for each attribute } x \text{ other than age:} \\
\quad \text{distort } x
\]

One can notice that probabilities of mortality in the simulated data are no longer higher than those of real data. This is due to the fact that all attributes other than age are distributed as in the original dataset (Figure 6). In the plot, one can immediately see that there is a similar “jump” of probability at the age of 65 indicating possible instability of model there.

![Figure 6: Distribution of predicted probability of 30-day mortality based on patient age for averaged training simulated data compared with real data.](image)

The same methodology for creating completely random and averaged training simulated data has been applied to other attributes in the data with similar results. One interesting result was obtained when simulating data for fixed hospital length of stay (LOS) shown in Figure 7. When applied to completely random data, LOS has absolutely no effect on predicted probability (straight line on the plot). Interestingly, on simulated averaged training data, LOS shows clear trend. One possible explanation of this fact is that within the model LOS is strongly confounded with other attributes. The visible trend is in fact one of other attributes interacting with LOS to affect predicted mortality indirectly. Finally, a number of colored randomly looking lines in Figure 7 show that in the original data there is no clear pattern of how LOS affects predicted 30-day mortality.

The fact that when working with simulated data probabilities output by the model are smooth,
confirms the hypothesis that the constructed C-LACE model is stable.

4.1 Analysis of Errors

An interesting and important question concerns finding cases for which the model makes mistakes. If successful, such analysis may allow for predicting when C-LACE is more likely to make a mistake, and thus preventing it.

As shown in Figures 8 and 9, there is basically no pattern on when the model makes mistakes based on distribution of age and length of hospital stay. In both figures, green dots representing patients who died should be clustered towards the top, and red ones representing alive patients towards the bottom. The distribution errors in the model (how far green dots are from the top) is practically uniform with respect to age. While the distribution of hospital length of stay is clearly positively skewed, there seems to be no pattern in when errors are made (Figure 9).

Secondary model was learned from data to predict when C-LACE is likely to misclassify positive mortality examples. Specifically, it was built from data labeled as correct classification/misclassification of testing data used to evaluate C-LACE. The secondary model has been learned using logistic regression. Following the standard procedure the misclassification data was split into training (80%) and testing (20%). When tested, the model showed very high promise of predicting when C-LACE is likely to make mistakes. It achieved AUC 0.867 on misclassification training and AUC 0.858 on misclassification testing data.

The final set of performed tests investigated optimal classification threshold based on precision and recall. Using C-LACE it is possible to achieve any value or recall, precision in general stays very low as shown in Figure 10. The figure indicates that selection of classification threshold for C-LACE around 0.1 may be the most reasonable. More detailed cost-benefit analysis of false positives and false negatives of the model is needed to arrive at final threshold applicable for final use.

Figure 10: Analysis of Precision and Recall of the Minimum C-LACE model on testing data.

5 ONLINE CALCULATOR

In order for other researchers to test the developed mortality prediction models, an online calculator which includes Minimum and Full C-LACE models was created. The minimum model is available through a web form that can be used by entering data, as well as Application Programing Interface (API) for automated use. The full model is available only through an API, since it is unlikely for anyone to answer 308 questions on a web form. At this stage, the online calculator is intended only for research purposes and not for clinical use, since additional
validation is needed. The online calculator is available at the website http://hi.gmu.edu/cgi-bin/calculator/c-lace/c-lace.cgi.

Figure 11: Design of the simple form used to enter patient and hospitalization information.

Simple online form (Figure 11) is used to enter patient and hospitalization characteristics. The entry is split into sections related to length of stay in hospital and specific ICUs, age, admission location and selected conditions most predictive of 30-day mortality. After submitting the form, user is provided with estimated probability of 30-day mortality. Because of the way the data was analyzed, the calculator is intended to be used at the time of hospital discharge.

It is important to note that within the scope of this project it was impossible to completely test the calculator and in particular assess its impact on patient care. Thus, the site contains a disclaimer that the calculator is intended to be used only for research purposes.

6 CONCLUSIONS

This paper presented construction and analysis of C-LACE method for predicting probability of 30-day post-hospitalization mortality. The presented solution based on application of Random Forest algorithm gives accuracy comparable to other methods available in the literature and superior to accuracy of the original LACE index. It shows that Minimum C-LACE, a 20-attributes version of the presented model, achieves the same results as one that uses 308 attributes.

Detailed analysis of the constructed model shows that the model is not sensitive to changes in values of key variables and, in fact, smoothens the data (the most visible for length of stay). While the accuracy of the model precludes its use completely independently, it is a reasonable improvement over popular LACE method. The model can be used to inform clinicians when performing patient risk assessment. Analysis has indicated that it may be possible to automatically assess classification errors from the model, though additional work is needed in this area.

The current continuation of research proceeds in two main directions:

- Possible improvement of the model accuracy by using additional clinical variables. There is significant work that remains to be done in the area of incorporating detailed clinical information and patient notes with specific focus on temporal aspect of the data. In the presented Minimum C-LACE model, no clinical attributes were included, which may be result of oversimplification of how the values were coded (see Section 2.2).

- Analysis of how the model should be presented to end-users so they understand predicted probabilities and model limitations. The latter is particularly important to make the presented online calculator useful.

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