Deep Learning Approach for Classification of Mild Cognitive Impairment Subtypes

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Abstract: Timely intervention in individuals at risk of dementia is often emphasized, and Mild Cognitive Impairment (MCI) is considered to be an effective precursor to Alzheimer's disease (AD), which can be used as an intervention criterion. This paper attempts to use deep learning techniques to recognise MCI in the elderly. Deep learning has recently come to attention with its superior expressive power and performance over conventional machine learning algorithms. The current study uses variations of auto-encoders trained on neuropsychological test scores to discriminate between cognitively normal individuals and those with MCI in a cohort of community dwelling individuals aged 70-90 years. The performance of the auto-encoder classifier is further optimized by creating an ensemble of such classifiers, thereby improving the generalizability as well. In addition to comparable results to those of conventional machine learning algorithms, the auto-encoder based classifiers also eliminate the need for separate feature extraction and selection while also allowing seamless integration of features from multiple modalities.

1 INTRODUCTION

A decline in cognitive functions such as memory, processing speed and executive processes is associated with aging by Hedden and Gabrieli (Hedden and Gabrieli, 2004). Every human will eventually go through this process in varying degrees from different starting points and different rates of progression (Chua et al., 2009; Cui et al., 2012a; Gauthier et al., 2006). Since cognitive decline in late life is commonly associated with brain pathology, it has become an ongoing research challenge to discriminate between cognitive decline due to pathological processes and normal aging. Among the numerous neurodegenerative diseases, Alzheimer’s disease (AD) is at the forefront, as the progressive cognitive impairment caused by it can have devastating effects for the individual as well as their families. Early identification of individuals at risk of progressing to dementia due to AD may have a major impact on the treatment and management of such patients.

Mild Cognitive Impairment (MCI) can be considered as a prodromal stage to dementia and could exhibit early signs of neurodegenerative diseases such as AD (Chételat et al., 2005; Cui et al., 2012b; Haller et al., 2013; Peterson et al., 2009). The progression rate from MCI to dementia is estimated at 10-12% per annum in clinical samples, but it is much lower in the general elderly population (Mitchell and Shiri-Feshki, 2009). Hence, it is suggested that early diagnosis of MCI can be efficiently used to monitor a patient’s progression to AD. There are accepted consensus diagnostic criteria for MCI (Winblad et al., 2004; Albert et al., 2011) that are operationalized differently, resulting in differing rates of MCI across studies and regions (Kochan et al., 2010). This has a ripple down effect, making it difficult to predict progression to AD dementia. The Main research focus in this area can be broken down to three key objectives: (i) differentiating between cognitively normal (CN) and MCI individuals (ii) predicting conversion from MCI to AD and (iii) predicting the time to conversion from MCI to AD (Lemos et al., 2012). This paper focuses on the first problem. Identifying and differentiating between the subtypes of MCI is also of importance, as differential rates of conversion exist from different subtypes.
Table 1: The subtypes of MCI.

<table>
<thead>
<tr>
<th>Amnestic subtype of MCI (aMCI)</th>
<th>Non-amnestic subtype of MCI (naMCI)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Single domain aMCI (sd-aMCI)</td>
<td>Single domain naMCI (sd-naMCI)</td>
</tr>
<tr>
<td>Multi domain aMCI (md-aMCI)</td>
<td>Multi domain naMCI (md-naMCI)</td>
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</tbody>
</table>

of MCI to dementia.

MCI is divided into two major subtypes: (i) amnestic subtype (aMCI) in which memory is impaired and (ii) non-amnestic subtype (naMCI) in which one or more non-memory domains such as executive functions, attention, visuospatial ability or language are impaired. Each of these subtypes is further subdivided into two depending on the number of domains (single or multiple) impaired, as listed in Table 1 (Winblad et al., 2004; Albert et al., 2011).

Much of the work carried out in this area has focused on studying different modalities of magnetic resonance (MR) images in discriminating between subtypes of MCI (Alexander et al., 2007; Chételat et al., 2005; Chua et al., 2008; Chua et al., 2009; Haller et al., 2013; Hinrichs et al., 2011; Reddy et al., 2013; Raamana et al., 2014; Reppermund et al., 2014; Sachdev et al., 2013b; Sachdev et al., 2013a; Thillainadesan et al., 2012). It has been shown that MR modalities such as diffusion tensor imaging (DTI) can be used to identify micro-structural changes that are indicative of neurodegenerative or vascular disease. Our focus in this paper is the analysis of neuropsychological measures (NM) using deep learning for the task. To the best of our knowledge, this is the first study that uses deep learning methods with neuropsychological measures in differentiating between MCI and its subtypes. A degree of circularity appears to be involved when using neuropsychological measures which we elaborate in the discussion section. A comprehensive overview of deep learning methods and their respective applications can be found elsewhere (Schmidhuber, 2014). In this paper, we will briefly discuss the application of deep learning techniques, specifically auto-encoders, in medical imaging to narrow down the purview. Suk et al. and Li et al. have used auto-encoders in AD diagnosis using MR and PET images (Suk and Shen, 2013; Li et al., 2014). Liu et al (Liu et al., 2014) has used auto-encoders with MR images for early diagnosis of AD while Kallenberg et al (Kallenberg et al., 2016) has used the same for mammographic risk scoring. The key difference in their own and our own work is two fold: (i) we use a mix of conventional auto-encoders as well as sparse auto-encoders and (ii) we use neuropsychological measures instead of MR or other medical imaging modalities to train our models, which presents significant challenges due to the differences in data complexity.

The remainder of this paper is organized as follows. The materials and datasets used are described in section 2. We then introduce the methods, pivoting on the core machine learning concepts used. The results of our study are in section 3 and we conclude this study in the final section with a discussion on results and indicating future directions of research.

2 MATERIALS AND METHODS

2.1 Participants

Sydney Memory and Aging Study (MAS) dataset was used for this work, where 1037 community-dwelling, non-demented individuals were recruited randomly from two electorates of East Sydney, Australia (Sachdev et al., 2010). The Baseline age of these individuals were 70-90 and each participant was administered a comprehensive neuropsychological test battery. Only 52% of the population underwent an MRI scan. Individuals were excluded if they had a Mini-Mental State Examination (MMSE) score < 24 (adjusted for age, years of education and non-English-speaking background), a diagnosis of dementia, mental retardation, psychotic disorder (including schizophrenia and bipolar disorder), multiple sclerosis, motor neuron disease and progressive malignancy or inadequate English to complete assessments. Three repetitive waves after the baseline assessment have been carried out to date at a frequency of 2 years. Details of the sampling methodology have been published previously (Sachdev et al., 2010). This study was approved by the Human Research Ethics Committees of the University of New South Wales and the South Eastern Sydney and Illawarra Area Health Service, and all participants gave written informed consent. The demographics of the participants at baseline are given in Table 2. Only non-demented individuals from English speaking backgrounds with complete neuropsychological measures available were selected for the study.

2.2 Cognitive Assessments

A subset of available neuropsychological measures and clinical data was used in an algorithm to diagnose MCI in line with international criteria (Winblad et al., 2004; Sachdev et al., 2010): (i) complaint of decline in memory and/or other cognitive functions by...
the participant or knowledgeable informant; (ii) preserved instrumental activities of daily living (Bayer ADL Scale (Hindmarch et al., 1998) score < 3.0); (iii) objectively assessed cognitive impairment (any neuropsychological test score ≥ 1.5 standard deviations (SDs) below published norms), (iv) not demented. If individuals were found to perform above the 7th percentile (≥ 1.5 SD) compared to published normative data for all measures after adjusting for age and education, they were considered cognitively normal. Apart from this, when unusual clinical features or an indication of possible dementia were found, a panel of psychiatrists, neuropsychiatrists and neuropsychologists were consulted. Consensus diagnosis of MCI, dementia or CN was made using all available data where necessary and the detailed methodology has been published (Sachdev et al., 2010). The battery of neuropsychological tests administered has been described previously (Sachdev et al., 2010). These tests were administered over four waves altogether at two year intervals.

### 2.3 Classification using Neuropsychological Test Scores

Neuropsychological measures mentioned in subsection 2.2 were used as inputs with deep learning to train models that differentiate between different subtypes of MCI and CN individuals. There were 35 neuropsychological test scores (features) available for each individual in the first wave while 29, 28 and 28 test scores were available respectively for the second, third and the fourth wave. The diagnosis label from the expert panel was used as the ground truth. We use stacked auto-encoders as a supervised learning algorithm with the labeled data. The classifiers in question are all binary classifiers. We elaborate our experimental setup in the ensuing subsections.

#### 2.3.1 Auto-encoders

Auto-encoder is a type of artificial neural network that can be defined with three layers: (i) input layer (ii) hidden layer and (iii) output layer. They transform inputs into outputs with the least possible amount of distortion. Auto-encoders were first introduced in the 1980s and their history and evolution are elaborated elsewhere (Baldi, 2012). It is predominantly an unsupervised learning algorithm, but recent advances have made it possible to use a set of auto-encoders stacked on top of each other as a supervised learning algorithm (Hinton et al., 2006). We will discuss the general auto-encoder framework before delving into the architectural refinements performed. Denote the input vector by \( x \in \mathbb{R}^{D_1} \), where \( D_1 \) and \( D_2 \) denote the number of hidden and input units respectively. An auto-encoder creates a deterministic mapping from input to a latent representation \( y \) such that 
\[
y = f(W_1 x + b_1),
\]
This is parameterized by the weight matrix \( W_1 \in \mathbb{R}^{D_1 \times D_2} \) and the bias vector \( b_1 \in \mathbb{R}^{D_1} \).

This latent representation \( y \in \mathbb{R}^{D_1} \) is mapped back to a vector \( z \in \mathbb{R}^{D_2} \) which can be considered as an approximate reconstruction of the input vector \( x \) with the deterministic mapping
\[
z = W_2 y + b_2 = x \quad \text{where} \quad W_2 \in \mathbb{R}^{D_2 \times D_1} \quad \text{and} \quad b_2 \in \mathbb{R}^{D_2}.
\]
We use a logistic sigmoid function \( f(a) = \frac{1}{1 + e^{-a}} \) in this study.

We use typical auto-encoders where \( D_H < D_I \) in combination with sparse auto-encoders where \( D_H > D_I \) in our approach. A typical auto-encoder tries to determine some form of compression or feature extraction that identifies the inter-relationships between variables, while sparse auto-encoders learn a sparse representation of the input. We use a sparsity regularizer to ensure the sparsity of the hidden layer. The reason to initially use a sparse auto-encoder is to come up with a sparse representation that can then be compressed into a latent representation at a latter layer.

We only have 35 features which is relatively small for deep learning studies. We needed a way to project the features to a higher dimensional space, which is achieved using the sparse auto-encoder. We then compress the features to create a bottleneck which is then used to train a classifier. Each of these auto-encoders can be considered as a building block of a much deeper network.

Hinton et. al have shown that conventional gradient based optimization with random initialization can suffer from the poor local optimum problem which may be alleviated by the greedy layer-wise unsupervised pre-training approach they demonstrated (Hinton et al., 2006). We use this approach where the network is trained one layer at a time. The first layer is trained using the training data as inputs and the second layer with the outputs of first hidden layer. Gener-

### Table 2: Demographic characteristics of the participants at baseline.

<table>
<thead>
<tr>
<th>Sample size: 837</th>
<th>Baseline (wave 1)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Age (years)</td>
<td>78.57 ± 4.51 (70.29-90.67)</td>
</tr>
<tr>
<td>Sex (male/female)</td>
<td>43.07% / 56.92%</td>
</tr>
<tr>
<td>Education (years)</td>
<td>12.00 ± 3.65</td>
</tr>
<tr>
<td>MMSE (Mini-Mental State Exam)</td>
<td>28.77 ± 1.26</td>
</tr>
<tr>
<td>CDR (Clinical Dementia Rating)</td>
<td>0.066 ± 0.169</td>
</tr>
</tbody>
</table>
alizing this, the hidden representation of the $l$-th hidden layer is used as the input for $(l+1)$-th layer. This approach is called pre-training and is an unsupervised learning technique as labels are not used. Apart from alleviating the local minimum problem, the ability to train the network in an unsupervised manner enables the use of all available data which is a significant advantage in a field like medical imaging where annotated data is rare and expensive.

After the auto-encoders are trained, we add the final layer which is trained on supervised data. We then stack these layers on top of each other and use backpropagation to fine-tune the entire network using supervised data. This phase of training is therefore called fine-tuning. Thus, the training of our auto-encoder based classifier can be broken into two parts: (i) unsupervised pre-training and (ii) supervised fine-tuning. It has been demonstrated that this approach reduces the risk of falling into a poor local optimum (Hinton et al., 2006). We carry out grid search to find optimal hyper-parameter values for the stacked auto-encoder (SAE) classifier network, which are then used in our final classifier.

2.3.2 Experimental Setup

We trained a number of binary classifiers for different class labels as tabulated in Table 3. As deep learning is a data intensive approach, we also set up one against all experiments, where we consider one class as positive and everything else as negative. Due to the time taken to train and optimize the models, we used five fold cross validation to eliminate bias and improve the reliability of the results. An inherent advantage of using the SAE based approach is that there is no need to carry out feature subset selection. Auto-encoders can be considered as feature extractors that identify the relationships and dependencies between input variables, which eliminates the need to perform a separate feature subset selection. Since the dataset was acquired in four waves two years apart, we treat them as four separate datasets. All experiments are performed for individual waves and results are presented accordingly. We believe this is one of the larger datasets available for AD research having 836 patients altogether in the first wave, where 505 are CN individuals and 332 are MCI individuals.

3 RESULTS

This section is subdivided into two parts; the first subsection presents the results for one vs one classes while the second subsection presents the results for one vs all classes.

### 3.1 One vs One Classes

The performance of the SAE models we trained are presented in Figure 1. These are the best results obtained with the SAE classifier against our previous work (Senanayake et al., 2016) we have done on the same dataset using conventional learning algorithms. While the results from the SAE classifier is not as good as the conventional classifiers, there are two significant advantages: (i) SAE classifier can be used as an unsupervised feature extractor/subset selector and (ii) SAE classifier can be used to combine multiple modalities of data with ease, as extending this work to include data from different MR modalities is the ultimate objective. In addition, the same SAE classifier can be used as a multi-class classifier as well. Since the best results were obtained using one vs all classes experiments, we include a better comparison in the next subsection.

### 3.2 One vs All Classes

We present the results of one vs all classes for all four waves in Figure 2. Clearly the accuracy of the trained models has improved significantly and this shows how data dependent the SAE classifier is. This has been noted before in deep learning literature multiple times; the more the available data, the better the performance of the model. We then compare the results obtained with the SAE classifier against our previous work (Senanayake et al., 2016) in Table 4. While the results are comparable, conventional machine learning algorithms outperform the deep learning classifier. This is due to the smaller sample size we have, which hinders the deep learning classifier from reaching its full potential.

In order to improve the performance of SAE classifier, we created an ensemble of SAE classifiers at the

<table>
<thead>
<tr>
<th>One vs One</th>
<th>One vs All</th>
</tr>
</thead>
<tbody>
<tr>
<td>MCI — CN</td>
<td>aMCI — everything else</td>
</tr>
<tr>
<td>aMCI — CN</td>
<td>naMCI — everything else</td>
</tr>
<tr>
<td>naMCI — CN</td>
<td>sd-naMCI — everything else</td>
</tr>
<tr>
<td>aMCI — naMCI</td>
<td>md-naMCI — everything else</td>
</tr>
<tr>
<td>sd-aMCI — md-aMCI</td>
<td>sd-aMCI — everything else</td>
</tr>
<tr>
<td>sd-naMCI — md-naMCI</td>
<td>md-aMCI — everything else</td>
</tr>
</tbody>
</table>
Figure 1: Accuracy and area under the ROC curve (AUC) for each wave in one vs one experiments.

Figure 2: Accuracy and area under the ROC curve (AUC) for each wave in one vs all experiments.
Table 4: Comparison of Deep learning results against previous results for one vs all experiments.

<table>
<thead>
<tr>
<th></th>
<th>aMCI</th>
<th>sd-aMCI</th>
<th>md-aMCI</th>
<th>naMCI</th>
<th>sd-naMCI</th>
<th>md-naMCI</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wave 1</td>
<td>SAE Old</td>
<td>SAE Old</td>
<td>SAE Old</td>
<td>SAE Old</td>
<td>SAE Old</td>
<td>SAE Old</td>
</tr>
<tr>
<td>Wave 2</td>
<td>85.62</td>
<td>95.17</td>
<td>89</td>
<td>90.91</td>
<td>88.54</td>
<td>91.88</td>
</tr>
<tr>
<td>Wave 3</td>
<td>85.93</td>
<td>95.95</td>
<td>86.27</td>
<td>93.46</td>
<td>93.15</td>
<td>82.4</td>
</tr>
<tr>
<td>Wave 4</td>
<td>87.57</td>
<td>97.29</td>
<td>90.81</td>
<td>93.05</td>
<td>92.95</td>
<td>88.39</td>
</tr>
<tr>
<td></td>
<td>82.77</td>
<td>88.14</td>
<td>81.76</td>
<td>86.91</td>
<td>84.35</td>
<td>87.69</td>
</tr>
</tbody>
</table>

Figure 3: Comparison of best SAE classifier results against SAE Ensemble classifier results for Wave 3. Accuracy-E and AUC-E stands for the accuracy and AUC of the SAE ensemble classifier.

model level. We used the same training/testing dataset to train multiple SAE classifiers with different hyperparameters and used these classifiers in conjunction with a voting scheme, to come up with the final class label. We present a cross-section of the ensemble we built taking wave 3 as an example, in Figure 3. While the accuracies have almost always improved, the area under the ROC curve has significantly benefited from creating an ensemble of classifiers. This in turn means that the classifiers we train are more generalizable and are robust to noise.

4 DISCUSSION

The diagnostic value of neuropsychological features has been studied previously (Senanayake et al., 2016). In this paper, we apply a deep learning technique in order to compare and contrast the performance of conventional machine learning techniques. To the best of our knowledge, this is the first study that compares the use of neuropsychological measures with deep learning techniques in MCI diagnosis. This is interesting, as SAEs are usually used with multi-dimensional data such as images, but we trained our SAE classifier on a uni-dimensional dataset. Multiple classifiers were trained for different subtypes of MCI, and the SAE classifiers demonstrate comparable performance to that of conventional techniques. As deep learning is a data intensive approach, we presume that with more data, the performance of the classifier could be further improved. This is clearly demonstrated in one vs all classes as an increase in
data points almost always resulted in better performance.

In order to improve the performance of individual classifiers, we have proposed an ensemble of SAE classifiers that has increased the performance of the classification task. The proposed ensemble is a model level ensemble rather than a data level ensemble, as we train different models with different hyperparameters on the same training set and test on the same test set. The results of individual SAE classifiers are then taken into consideration and the majority vote is considered as the predicted class label. This enables us to use different versions of auto-encoders including conventional auto-encoders and sparse auto-encoders together. The optimum configuration of the ensemble was found using grid search.

We note that there is a degree of circularity in using neuropsychological measures to differentiate between MCI subtypes, because the same neuropsychological measures were used to come up with the initial clinical classification. This is similar to any labeling process an expert undertakes and we consider the initial expert labels as a weak classifier with a dynamic set of exceptions whenever the panel of experts disagree. Our approach builds on top of this weak classifier, as the SAE classifier improves coverage by including more features than the expert. In addition, the inherent advantage of using SAE based classifiers is the ability to eliminate feature extraction and selection processes entirely. This in turn enables us to use MR images directly with the classifier without extracting features. Another advantage of using a SAE based classifier is the ability to fuse data from multiple modalities, which we are currently working on.

In conclusion, we suggest that neuropsychological measures can be effectively used to differentiate between MCI subtypes. The proposed SAE based classifier has significant advantages over a conventional classifier, and enables us to combine data from multiple modalities in order to train a better diagnostic system. We believe our work is a step towards reliable MCI diagnosis using neuropsychological measures.

REFERENCES


