A Machine Learning Approach for Carotid Diseases using Heart Rate Variability Features

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Abstract: In the last few years the incidence of carotid diseases has been increasing rapidly. Atherosclerosis constitutes a major cause of morbidities and mortalities worldwide. The early detection of these diseases is considered necessary to avoid tragic consequences and automatic systems and algorithms can be a valid support for their diagnosis. The main objective of this study is to investigate and compare the performances of different machine learning techniques capable of detecting the presence of a carotid disease by analysing the Heart Rate Variability (HRV) parameters of opportune electrocardiographic signals selected from an appropriate database available online on the Physionet website. All the analyses are evaluated in terms of accuracy, precision, recall and F-measure.

1 INTRODUCTION

During the recent decade the incidence of carotid atherosclerosis has been increasing dramatically. This disease accounts for 20\% of ischemic stroke (Högb erg et al., 2016; Lockau et al., 2015; Yesilot Barlas et al., 2013) constituting a major cause of morbidities and mortalities worldwide (Rafieian-Kopaei et al., 2014). Atherosclerosis is a multifactorial vascular disorder with several genetic and environmental causes involving multiple arterial vessels. It is characterized by an accumulation of lipids, fibrous materials and mineral in the arteries, that causes the formation of plaque (Riccion i et al., 2003). This, in turn, causes a decrease of the blood flow and damage to the organs with, in some cases, very serious consequences.

To prevent and reduce the resulting disabilities, appropriate medical therapy and risk factor control can be adopted. In addition, the early detection and accurate diagnosis of this disorder are necessary.

Several medical techniques are used to diagnose carotid diseases. Carotid Doppler ultrasonography (US) is the most frequently used tool for the evolution of atherosclerosis of the carotid artery (Högb erg et al., 2016; Grant et al., 2003). It is preferable to other diagnostic techniques, such as computed tomography or magnetic resonance, due to non-invasiveness, easy repeatability and low cost. It allows you to perform an accurate morphological and hemodynamic study of the arterial axis, and to locate and evaluate the site and severity of the arterial lesion responsible for the symptomatology. In particular, it is used to measure the intima-media thickness (IMT), the best biomarker for atherosclerosis, useful for the plaque characterization.

Unfortunately, there is no standardization for the execution of carotid US examinations. This can cause errors in the performance of this examination. The most common mistakes are due to an incorrect positioning of the Doppler probe at the wrong Doppler angle (Grant et al., 2003), with as a result the possibility of serious errors in the diagnosis. In addition, the Doppler signals can be influenced by any motion of the walls of the blood vessels, whose fluctuations can cause incorrect estimates of these disorders.

To avoid unwanted diagnostic errors and the excessive costs of other medical examinations, we have aimed to identify a helpful supplementary diagnostic supplementary tool that can relate the carotid arterial wall thickness and Heart Rate Variability (HRV) analysis using machine learning techniques. Such a technique represents one of the main estimators of cardiovascular systems (Camm et al., 1996), whose relationship with carotid diseases is demonstrated in several studies existing in literature (Kwon et al., 2008;
Kaufman et al., 2007; Chao et al., 2003). Many of these report, in fact, a decrease of the HRV parameters in subjects suffering from atherosclerosis, an association that could be due to ischemic damage to the cardiac nerves (Fakhrzadeh et al., 2012; Gottsäter et al., 2006). In addition, due to the easy derivation of HRV measurements, many commercial devices provide for their automated measurement.

In detail, in this study we have investigated and compared the performance of several machine learning techniques capable of identifying the presence of carotid diseases using the HRV parameters as the features for different classifiers. The performances are evaluated in terms of accuracy, precision, recall and F-measure for each considered machine learning method considered.

The paper is organized as follows. In Section 2, we present the main studies about techniques able to estimate the carotid diseases existing in literature. In Section 3, we introduce our experimental phase, in detail we focus on dataset used in data analysis, the HRV features considered for the classification and the machine learning techniques evaluated. The obtained results are presented in Section 4, while conclusions are provided in Section 5.

2 RELATED WORK

The analysis of heart rate variability (HRV) from electrocardiographic (ECG) signals has become an important method for the assessment of cardiovascular regulation (Huikuri et al., 1999). Several algorithms have been developed for the automated characterization of coronary artery disease (CAD) using linear and non-linear (Kim et al., 2007; Verma et al., 2016) HRV features, often using artificial intelligence techniques. Kim et al. (Kim et al., 2016), for example, proposed an extraction methodology from ultrasound images for carotid diseases and HRV parameters useful in the diagnosis of cardiovascular diseases. Additionally, Lee et al. (Lee et al., 2008) investigated the identification of cardiovascular diseases by evaluating various features of HRV and carotid wall thickness, comparing several machine learning techniques.

There are, however, not many studies concerning the automated characterization of carotid diseases and, unfortunately, these use private and not publicly available databases limiting the reproducibility of the test. Polat et al. (Polat et al., 2007), for example, identify atherosclerosis analysing carotid doppler signals with the Fuzzy weighted pre-processing and Least Square Support Vector Machine (LSSVM). The doppler signals used were acquired from 114 subjects and analysed to evaluate the power spectral density and sonogram using the Autoregressive (AR) method. Additionally, Dirgenali et al. (Dirgenali and Kara, 2006) evaluated Doppler sonograms to distinguish between healthy subjects and those with atherosclerosis. The adopted technique classified the Doppler signals, selected from, also in this case, a private database, using Artificial Neural Networks (ANN) and Principles Component Analysis (PCA) for the data reduction.

A combining neural network model was implemented by Ubeysi et al. (Ubeysi and Güler, 2005), instead, for the diagnosis of ophthalmic and internal carotid arterial disorders. Also in this case the Doppler signals were selected from a private database.

3 MATERIALS AND METHODS

In this study we have evaluated the performance of several machine learning techniques capable of identifying the presence of atherosclerosis using HRV features. The analyses have been performed using WEKA Data Mining toolbox (Witten et al., 2016), one of the most commonly used systems due to its reliability, efficiency and ease of use.

In our experimental phase, we have selected several ECG signals from an appropriate database. These signals were processing to extract the features of interest useful in the classification phase using different machine learning techniques, thanks to we have estimated the presence of carotid diseases or not. This procedure, used in the development of the classification method, is shown in the Figure 1.

In the following subsections we introduce the dataset used in data analysis, the HRV features considered for the classification and the machine learning techniques evaluated.

3.1 Dataset

In our research, we selected the ECG Holter recordings of 126 patients from the "Smart Health for As-
Table 1: HRV features.

<table>
<thead>
<tr>
<th>HRV Features</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Linear Features</strong></td>
<td></td>
</tr>
<tr>
<td>Mean RR</td>
<td>Mean of RR intervals</td>
</tr>
<tr>
<td>SDRR</td>
<td>Standard deviation of the RR intervals</td>
</tr>
<tr>
<td>SDNN</td>
<td>Standard deviation of NN intervals</td>
</tr>
<tr>
<td>SDSD</td>
<td>Standard deviation of the successive difference RR intervals</td>
</tr>
<tr>
<td>RMSSD</td>
<td>Square root of the mean of the squares of the successive differences between adjacent NNs</td>
</tr>
<tr>
<td>HF Components</td>
<td>High Frequency power, from 0.15 Hz to 0.4 Hz</td>
</tr>
<tr>
<td>LF Components</td>
<td>Low Frequency power, from 0.04 Hz to 0.15 Hz</td>
</tr>
<tr>
<td>VLF Components</td>
<td>Very Low Frequency power, from 0 Hz to 0.04 Hz</td>
</tr>
<tr>
<td><strong>Nonlinear Features</strong></td>
<td></td>
</tr>
<tr>
<td>SD1</td>
<td>Standard deviation of the distance of RR(i) from the line y=x in the Poincaré plot</td>
</tr>
<tr>
<td>SD2</td>
<td>Standard deviation of the distance of RR(i) from the line y=-x+2RR in the Poincaré plot</td>
</tr>
</tbody>
</table>

All features are calculated by means of the Pan-Tompkins algorithm (Pan and Tompkins, 1985) using the Matlab software.

### 3.2 Feature Extraction

Heart Rate Variability is, generally, used as a clinical tool to evaluate the cardiac autonomic function (Camm et al., 1996). It is based on the analysis of RR intervals, the series of time intervals between heartbeats.

Traditional HRV measures are distinguished into two categories: time domain measures and frequency domain measures. The mean, standard deviation, square root of the mean of successive RR intervals difference and other time domain measures are widely utilized to quantify the overall variability of the heart rate. Frequency domain features of HRV, instead, provide information about the cardiac autonomic regulation. Finally, the HRV analysis provides several nonlinear features useful to estimate the variability and regularity of the regulatory system of the heart rate.

In detail, the HRV features used in our study are reported in Table 1, where normal-to-normal (NN) intervals are defined as intervals between adjacent QRS complexes resulting from sinus node depolarizations.

### 3.3 Classification Methods

To classify the signals we executed several test choosing different machine learning algorithms. These techniques are:

- **Support Vector Machine (SVM)**: The idea of the SVM algorithm is to create a hyperplane between datasets and indicate which class it belongs to. The main advantages of the SVM method are its flexibility, remarkable resistance to overfitting and simplicity. The accuracy performance obtained with the SVM technique can be improved by changing the kernel function \( K(x,y) \) (Schölkopf et al., 1999; Vapnik, 1999), choosing a polynomial kernel function or radial basis function (RBF). In this study, we applied the sequential minimum optimization (SMO) algorithm (Platt, 1998).

- **Bayesian Classification**: This approach takes its name from Thomas Bayes, who proposed the Bayes Theorem. The classification is based on a probabilistic model that represents a set of random variables and their conditional dependencies, identified, respectively, as nodes and strings, by means of an acyclic oriented graph (John and Langley, 1995).

- **Decision Tree**: This algorithm is one of the most widely used and practical methods to classify categorical data based on their attributes, features that described each considered case. Decision tree algorithms begin with a set of cases and create a tree data structure. We used J48, an implementation of algorithm C4.5 (Salzberg, 1994).
Table 2: Results obtained for several $q$ values for polynomial kernel.

<table>
<thead>
<tr>
<th>$q$</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accuracy (%)</td>
<td>72.22</td>
<td>72.22</td>
<td>70.63</td>
<td>70.63</td>
<td>70.63</td>
<td>70.63</td>
</tr>
<tr>
<td>Recall (%)</td>
<td>97.75</td>
<td>98.88</td>
<td>98.88</td>
<td>98.88</td>
<td>100.00</td>
<td>100.00</td>
</tr>
<tr>
<td>Precision (%)</td>
<td>72.50</td>
<td>72.13</td>
<td>70.97</td>
<td>70.97</td>
<td>70.63</td>
<td>70.63</td>
</tr>
<tr>
<td>F-measure (%)</td>
<td>83.25</td>
<td>83.41</td>
<td>82.63</td>
<td>82.63</td>
<td>82.79</td>
<td>82.79</td>
</tr>
</tbody>
</table>

Table 3: Results obtained for several $\gamma$ values for RBF kernel.

<table>
<thead>
<tr>
<th>$\gamma$</th>
<th>0.01</th>
<th>0.50</th>
<th>0.70</th>
<th>0.90</th>
<th>1.00</th>
<th>1.50</th>
<th>2.00</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accuracy (%)</td>
<td>70.63</td>
<td>69.84</td>
<td>70.63</td>
<td>69.84</td>
<td>69.05</td>
<td>69.05</td>
<td>70.63</td>
</tr>
<tr>
<td>Recall (%)</td>
<td>100.00</td>
<td>98.88</td>
<td>98.88</td>
<td>95.51</td>
<td>94.38</td>
<td>95.51</td>
<td>98.88</td>
</tr>
<tr>
<td>Precision (%)</td>
<td>70.63</td>
<td>70.40</td>
<td>70.97</td>
<td>71.43</td>
<td>71.19</td>
<td>70.83</td>
<td>70.97</td>
</tr>
<tr>
<td>F-measure (%)</td>
<td>82.79</td>
<td>82.24</td>
<td>82.63</td>
<td>81.73</td>
<td>81.16</td>
<td>81.34</td>
<td>82.63</td>
</tr>
</tbody>
</table>

Multilayer Perceptron: In 1958 Rosenblatt presented the notion of the single perceptron, concept on which the Multilayer Perceptron algorithm is based. He introduced the idea that a single output from multiple real-valued inputs is calculated by a perceptron, a network of simple neurons. A linear combination according to its input weights is developed and the output is presented through some non-linear activation functions (Ruck et al., 1990).

Logistic Model Tree: In this technique the logistic regression models is combined with tree induction. It consists of a standard decision tree structure where the leaves are the logistic regression functions. In Weka this algorithm is implemented by the Simple Logistic class (Landwehr et al., 2005).

Instance-based Learning algorithm: This approach generates classification predictions using only specific instances. The algorithms used are k-nearest neighbor (k-NN) (Aha et al., 1991), that looks at the k nearest neighbors of a new instance to decide which class the new instance should belong to (Ibk in Weka) and K* (Cleary et al., 1995), an instance-based classifier that uses an entropy-based distance function unlike other instance-based learners (kStar in Weka).

4 RESULTS AND DISCUSSION

Due to the limited number of samples, cross-validation was used to validate the feature vector calculated. In detail we used a 10-fold cross-validation, such as we partitioned randomly the dataset into k=10 equal size subsdatasets. From these latter, a single subset is considered as the validation set for testing the model while the remaining k-1 subsdatasets constitute the training data. This process is repeated k times where each k subsdatasets is used to validate data.

We defined the following measurements:

- True positive (TP): the input sample is pathological and the algorithm recognizes this;
- True Negative (TN): the input sample is healthy and the algorithm recognizes this;
- False Positive (FP): the input sample is healthy but the algorithm recognizes it as pathological;
- False Negative (FN): the input sample is pathological but the algorithm recognizes it as healthy.

The final results were evaluated in terms of accuracy, precision, recall and F-measure, defined as follows:

\[
\text{Accuracy} = \frac{TP + TN}{TP + TN + FP + FN} \quad (1)
\]

\[
\text{Precision} = \frac{TP}{TP + FP} \quad (2)
\]

\[
\text{Recall} = \frac{TP}{TP + FN} \quad (3)
\]

\[
F - measure = \frac{(2 \times \text{Precision} \times \text{Recall})}{(\text{Precision} + \text{Recall})} \quad (4)
\]

In the first phase of the experimental analysis we performed a series of tests using the Support Vector Machine classifier, one of the most usually used machine learning algorithms. As indicated in the Subsection 3.3, it is possible to improve the classification accuracy of this algorithm by changing the Kernel value and expression. The Kernel function can, in fact, be indicated in the polynomial form or with the radial basis function (RBF) (Burges, 1998). In the first case, the kernel is expressed as a polynomial function of degree $q$, that is:

\[
K(x_i, x_j) = (x_i^T x_j + 1)^q \quad (5)
\]
Table 4: Results achieved with the main machine learning techniques.

<table>
<thead>
<tr>
<th>Classifier</th>
<th>Accuracy (%)</th>
<th>Recall (%)</th>
<th>Precision (%)</th>
<th>F-measure (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>SMO</td>
<td>72.22</td>
<td>98.88</td>
<td>72.50</td>
<td>83.25</td>
</tr>
<tr>
<td>Bayesian Classification</td>
<td>70.63</td>
<td>100.00</td>
<td>70.63</td>
<td>82.79</td>
</tr>
<tr>
<td>Decision Tree (J48)</td>
<td>69.05</td>
<td>97.75</td>
<td>70.16</td>
<td>81.69</td>
</tr>
<tr>
<td>Multilayer Perceptron</td>
<td>71.43</td>
<td>96.63</td>
<td>72.27</td>
<td>82.69</td>
</tr>
<tr>
<td>Ibk</td>
<td>66.67</td>
<td>74.16</td>
<td>77.65</td>
<td>75.86</td>
</tr>
<tr>
<td>Kstar</td>
<td>52.38</td>
<td>62.92</td>
<td>67.47</td>
<td>65.12</td>
</tr>
<tr>
<td>Logistic Model Tree</td>
<td>72.22</td>
<td>97.75</td>
<td>72.50</td>
<td>83.25</td>
</tr>
</tbody>
</table>

Figure 2: Results achieved with the main machine learning techniques.

where \( x_i \) and \( x_j \) are two input samples, \( x^T \) is transposed and \( q \) is the degree of the polynomial function, which can be selected by the user. When \( q = 1 \), we have the linear kernel that corresponds to the original formulation.

The RBF kernel, instead, is indicated as:

\[
K(x_i, x_j) = \exp\left(-\frac{||x_i - x_j||^2}{2s^2}\right) \tag{6}
\]

where \( x_i \) and \( x_j \) are two input samples and \( s \) is selected by user. It can be, also, expressed as:

\[
K(x_i, x_j) = \exp\left(-\gamma ||x_i - x_j||^2\right), \gamma > 0 \tag{7}
\]

defining the parameter \( \gamma \) as:

\[
\gamma = \frac{1}{2s^2} \tag{8}
\]

In this work the \( q \) parameter for the kernel polynomial and the \( \gamma \) one for RBF were experimentally investigated to achieve the best classification result.

Several performances obtaining changing \( q \) parameters for the kernel polynomial are indicated in the Table 2. Overall, the best performances were obtained for \( q = 2 \) in terms of accuracy, recall and F-measure, although, the precision result is slightly lower than that obtained for \( q = 1 \).

In the Table 3 several results for different \( \gamma \) values are shown. In this case the several obtained performance are similar. The best performance are obtained with a \( \gamma \) value equal to 0.01.

Analysing the results obtained using both the polynomial kernel and RBF kernel, the best performance in terms of accuracy was achieved by using the polynomial function.

The results obtained were compared with results achieved with the main machine learning techniques considered. These results are shown in the Table 4 and in the Figure 2. The lowest performances were obtained using the Instance-based Learning algorithms (Ibk and KStar), while the best results were achieved using the SMO classifier.

5 CONCLUSIONS

Nowadays, the incidence of degenerative atherosclerosis is rapidly increasing. Automated classification systems can constitute a valid support for the early detection of this disorder, offering several advantages: they are fast, non-invasive, easy to perform and inexpensive.

In this study, a comparison between the most frequently used machine learning techniques has been carried out, by evaluating their performance in clas-
sifying the presence of carotid diseases using HRV features. HRV analysis represents one of the main approach able to estimate functionality of cardiovascular system, in relationship with carotid diseases as demonstrated by several studies existing in literature. We have considered several machine learning methods including Support Vector Machine, Bayesian Classifiers, Decision Tree, Multilayer Perceptron, Logistic Model Tree and Instance-based Learning algorithms. The Support Vector Machine has proved to be more effective than any of the other methods considered.

In future work, we will explore the possibility of improving the classification obtained by using a hybrid system constructed by combining several machine learning techniques and methods for data reduction, such as for example the Principles Component Analysis (PCA), necessary to reduce computational complexity and execution times.

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