Applying Machine Learning on Patient-Reported Data to Model the Selection of Appropriate Treatments for Low Back Pain: A Pilot Study

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Abstract: The objective of this pilot study was to determine whether machine learning can be applied on patient-reported data to model decision-making on treatments for low back pain (LBP). We used a database of a university spine centre containing patient-reported data from 1546 patients with LBP. From this dataset, a training dataset with 354 features (input data) was labelled on treatments (output data) received by these patients. For this pilot study, we focused on two treatments: pain rehabilitation and surgery. Classification algorithms in WEKA were trained, and the resulting models were validated during 10-fold cross validation. Next to this, a test dataset was constructed - containing 50 cases judged on treatments by 4 master physician assistants (MPAs) - to test the models with data not used for training. We used prediction accuracy and average area under curve (AUC) as performance measures. The interrater agreement among the 4 MPAs was substantial (Fleiss Kappa 0.67). The AUC values indicated small to medium (machine) learning effects. However, model performances must be improved before these models can be used in real practice.

1 INTRODUCTION

Low back pain (LBP) is experienced by about 80% people once in their lifetime (Balagué, 2012) and causes considerable disability in patients and financial burden for society (Buchbinder, 2018). Although most episodes of acute LBP fade after a period (Simpson, 2006), about 20% of the people with LBP develop a chronic condition (with pain lasting for more than 3 months), of which around 11% become disabled (Balagué, 2012). The prevention of chronic LBP and disability are therefore major societal challenges (Buchbinder, 2018).

Most patients with (chronic) LBP have non-specific LBP (Balagué, 2012). Because the LBP in this group of patients is very heterogeneous, it is difficult to determine what treatment(s) suit which patients best in a specific situation. This has led to a substantial variation of diagnostic and therapeutic management of patients with LBP among healthcare professionals.

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providers (Patel, 2016). This plethora of treatments and contradictory advises may have negative consequences for an optimal recovery and may lead to passive coping style, somatization in patients and consequently to chronic pain (Campbell, 2007). To standardize treatments and advices to patients with LBP, research has been focused on developing methods for classifying patients with LBP into more homogeneous subgroups based on patho-anatomical, mechanical, and bio-psychosocial characteristics (Koes, 2010)(Hill, 2011)(Widerström, 2016)(Gross, 2016).

In the Netherlands, patients with chronic LBP can be referred to secondary or tertiary care by their general practitioner (GP) or medical specialist, although with mixed effects. Frequently, LBP recurs after discharge within 1 year in about 24% to 80% (Hoy, 2010). When LBP recurs, the patient may start again in primary care. Therefore, communication among both secondary and primary care practitioners is of great importance to avoid passivity and somatization in patients. For this, a clinical decision support system (CDSS) that supports physicians providers in primary care in the selection of appropriate treatments and advises for patients with LBP will be helpful.

CDSSs assist healthcare providers in making clinical decisions for the benefit of their patients (Shortliffe, 2018). Most of these clinical decisions are used for diagnostic purposes, selection of treatments, or improving the uptake of guideline recommendations. The most common type of a CDSS in routine clinical care are knowledge-based systems (Coiera, 2003). The development of knowledge-based systems focuses on the construction and maintenance of a knowledge base and inference engine. For this, knowledge is elicited from literature and domain experts, for example by conducting interviews. An example of a knowledge-based approach is the Nijmegen Decision Tool for referral of chronic LBP to be used by secondary or tertiary spine care specialists to decide which patients with chronic LBP should be seen by a spine surgeon or by other non-surgical medical specialists (Hooft, 2018). Knowledge for this system was elicited during a three-round Delphi study with experts on LBP treatment.

The construction and maintenance of a knowledge base and inference engine can be very time consuming, and therefore too expensive (Berner, 2007). Instead of using a knowledge-based approach, a data-driven approach with the help of machine learning technologies is increasingly more often used in healthcare informatics (Beam, 2018). The application of big data and machine learning in healthcare highly benefits from the increasing amount of available digital health data sources, especially by the application of electronic health records (EHR) in healthcare processes. Because of this growing amount of available data, the use of a data-driven approach in the design of CDSSs will facilitate the process of building and maintaining the CDSS, compared to a knowledge-based approach.

2 OBJECTIVES

In this paper, we describe a study that aims to determine whether a data-driven approach can model the decision-making process in the selection of appropriate treatments for patients with LBP. Questionnaires are used for patient stratification and to measure treatment outcomes (Hill, 2011)(Chiarotto, 2016), leading to databases with patient-reported data. The objective of this study was to determine whether it is possible to apply machine learning on patient-reported data only to model decision-making on treatments for LBP.

3 METHODS

We followed steps that are generally used in data mining processes (Shaﬁque, 2014), i.e. data understanding, data preparation, and modelling and evaluation.

3.1 Data Understanding

The Groningen Spine Center (GSC) is a tertiary care centre for comprehensive care for patients with spine related disorders and pathology. The GSC provided a database containing retrospective self-reported data from 1546 patients with LBP that were collected in the period 2008-2015. From these patients, 894 (58%) were female and 652 (42%) were male. The mean age of these patients was 52.3 years (SD 15.1; range 37.0-91.0 years). From these self-reported data, we used data as reported during intake (baseline data) and data on received treatments reported during follow-up.

For the intake, patients had to fill in an online biopsychosocial questionnaire. This questionnaire consisted of descriptive questions and questions from the following survey-instruments:
- The Pain disability Index (PDI) (Tait, 1990) to assess the degree to which the chronic pain interfered with various daily activities;
- The Örebro Musculoskeletal Pain Questionnaire (OMPQ) as screening questionnaire to identify patients at risk for developing persistent back pain problems and related disability (Linton, 2003);
- The Roland-Morris Disability Questionnaire (RMDQ) (Davidson, 2014) was used to assess physical disability due to LBP;
- The EQ-5D-3L to measure health-related quality of life on five dimensions: mobility, explanation and reassurance, usual activities, pain/discomfort and anxiety /depression (Szende, 2007)

The baseline data was used for patient referral to treatments in the GSC and contained 354 features. Treatment referral of a patient was performed by one of the four master physician assistants (MPAs) of the GSC. The MPAs had a background in physical therapy or nursing and were specifically trained in triaging by all specialists at the spine centre. The mean clinical experience of these MPAs was 10 years. After discharge, the patient reported, via a follow-up form, what treatment he or she had received.

### 3.1.1 Interrater Agreement Analysis

We also wanted to know the consistency of decision making on treatment referral among the four different MPAs as the decision on the treatment referral is related to the treatment labels in the training dataset. Therefore, an interrater analysis was performed among the MPAs. We randomly selected 50 cases, and for these cases the MPAs selected those treatment which they found most suitable, based on the baseline data. To keep the burden for the MPAs acceptable, each MPA was asked to judge 25 out of the 50 cases. Next to this, 25 of the 50 cases were judged 3 times by three different MPAs.

As there were more than two raters per case, we calculated Fleiss’ Kappa, which is an extension of Cohen’s kappa for three raters or more (Fleiss, 1973). We calculated this score per treatment and then assessed the mean Fleiss Kappa. For interpretation, we used the values according to Landis and Koch (Landis, 1977): agreement with a value smaller than 0 is indicated as ‘poor’, between 0-0.20 as ‘slight’, between 0.21-0.40 as ‘fair’, between 0.41-0.60 as ‘moderate’, between 0.61-0.80 as ‘substantial’, and a value higher than 0.81 as ‘almost perfect’.

### 3.2 Data Preparation

The data in the database were used to construct a training dataset for machine learning. The self-reported data collected at baseline were used as input variables (features). The reported treatments were used as response variables which can either be received (positive class “yes”) or not received (negative class “no”).

As this was a study to determine whether it is possible to apply machine learning on patient-reported data or not, we focused on two treatments - non-invasive and invasive – i.e. rehabilitation and surgery. Table 1 shows the distribution of these received treatments among the 1546 cases.

<table>
<thead>
<tr>
<th>Treatment received</th>
<th>no</th>
<th>yes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rehabilitation</td>
<td>1143 (74%)</td>
<td>403 (26%)</td>
</tr>
<tr>
<td>Surgery</td>
<td>1407 (91%)</td>
<td>139 (9%)</td>
</tr>
</tbody>
</table>

### 3.2.1 Handling Missing Data

The values in the training dataset were not complete, because 32% of the values of the input data were missing. First, we removed the features that contained no values in the dataset. In some cases, we could impute the empty fields with zero. For example, when the patient only indicated which healthcare professionals, he/she had seen before visiting the GSC, leading to empty values for the non-visited professionals. We did not remove all cases with missing values as this may lead to a bias in study results because of the possible exclusion of a substantial proportion of the original sample (Sterne, 2009).

### 3.2.2 Handling Continuous Data

Most features in the dataset were categorical. Many classification algorithms require a discrete feature space (Dougherty, 1995) meaning all data should be categorical. Therefore, all non-categorical features in the training dataset were transformed into categorical data. For example, ages in years were binned in a feature called “Age” representing age groups i.e. 0-19, 20-29, 30-39, 40-49, 50-59, 60-69, 70-79, >=80.

After data preparation, 287 features remained, 67 features less than the original amount of 354 features.
3.3 Modelling and Evaluation

Supervised machine learning was applied, because the dataset consisted of cases that could be labelled with “yes” or “no” for a treatment (Han, 2011). As tool, we used the WEKA data mining software (Hall, 2009). WEKA contains classification algorithms that can be grouped into base classifiers and meta classifiers. A meta algorithm can be wrapped around base learning algorithms to widen applicability or enhance performance (Hall, 2009).

We performed the machine learning process in two steps. At first, all WEKA base classification algorithms were trained with the training dataset to see what algorithms performed best on the data. Subsequently, machine learning was applied again, but with cost-sensitive learning of the WEKA meta classification algorithm CostSensitiveClassifier. The best performing base classification algorithms in the first step were used as input for this meta classification algorithm in this second step.

This second step - the cost-sensitive learning step - was added, because the training dataset was imbalanced. The patients that did not receive the treatment were the over-represented group of patients for both rehabilitation and surgery. The distribution of the “no”/“yes” classes were 74%/26% and 91%/9% for rehabilitation and surgery respectively (Table 1). Cost-sensitive learning can be applied when data is highly imbalanced to reduce the number of false-negative or false-positive errors to get better performing models (Ling, 2011) (López, 2013).

The resulting models were validated with 10-fold cross validation in order to assess and compare the performances of the different classification algorithms. After validation, the models were tested on a test dataset consisting of the 50 cases that were judged by the MPAs, to test the models with data not used for training. Figure 1 shows the different steps of the modelling and evaluation process.

Prediction accuracy and the average area under the curve (AUC) were calculated as performance measures. The prediction accuracies of the models should at least be equal to the percentage of the majority class in the dataset. The performance measure AUC was used as it is a common performance measure in the evaluation of machine learning algorithms (Bradley, 1997). We used an AUC greater than 0.55 as threshold to select the best predicting models. An AUC between 0.55 and 0.64 indicates a small effect, an AUC between 0.64 and 0.71 a medium effect, and an AUC equal or greater than 0.71 a large effect (Rice, 2005).
3.4 Ethical Considerations

All patients included in this database signed informed consent. The Medical Ethical Committee of the University Medical Center Groningen in the Netherlands approved the usage of data from the database of the GSC for this study at February 11, 2016.

4 RESULTS

4.1 Interrater Agreement

The MPAs judged 50 cases on treatments and Table 2 shows the distribution of these judgments on the rehabilitation and surgery treatments.

Table 2: Distribution of treatment among the judged 50 cases for rehabilitation and surgery.

<table>
<thead>
<tr>
<th>Treatment received</th>
<th>no</th>
<th>yes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rehabilitation</td>
<td>27 (54%)</td>
<td>23 (46%)</td>
</tr>
<tr>
<td>Surgery</td>
<td>48 (96%)</td>
<td>2 (4%)</td>
</tr>
</tbody>
</table>

The interrater agreement analysis showed that the agreement among MPAs of the GSC was substantial, with an average Fleiss Kappa of 0.67. The highest consensus was observed for Rehabilitation, namely 0.77. The consensus on Surgery was 0.65.

4.1 Machine Learning

In WEKA, 25 different base classification algorithms were trained to model decision making on Rehabilitation and Surgery. The performances of the models with an AUC > 0.55 in both, 10-fold cross validation and testing, in step 1 are shown in Table 3. The second part of Table 3 shows the model performances when these algorithms where used as input for the WEKA meta classification algorithm CostSensitiveClassifier.

Table 3 also shows that cost-sensitive learning has effect on model accuracies. For example, the 10-fold cross validation accuracy of the BayesNet model for Rehabilitation improves from 65% to 67%. On the other hand, the testing accuracy of the PART model for Rehabilitation drops from 56% to 54%.

5 DISCUSSION

In this study, we investigated the possibility of applying machine learning on patient-reported data to model the decision-making on the selection of appropriate treatments for patients with LBP. As this was a pilot study, we focused on two treatments: Rehabilitation and Surgery. With the idea to expand to other treatments in future studies when applying machine learning on patient-reported data proves to be rewarding. It may be questioned whether patient reported data is reliable or not, but other studies show that accuracy of self-reported data is high (Dueck, 2015)(Kool, 2017).

The interrater agreement among the MPAs of the GCS was proven substantial, and therefore it could be concluded that all patients were referred to treatments in substantial the same way. This also meant that the patient-reported treatments could be used for reliable labelling of the training dataset used for the machine learning.

The results showed small to medium machine learning effects based on the AUC values of the models. This indicated that the classification algorithms indeed learned from the training dataset. The model performances should be improved further before the models can be actually used in in real practice to support physicians in the selection of appropriate treatments for patients with LBP. The AUC of the model should at least be 0.72 as this will indicate a large effect (Rice, 2005). Next to this, the prediction accuracy of a model should preferably also be higher than the percentage of the majority class in the dataset to be sure that the model does not classify all cases as majority class (López, 2013).

5.1 Future Research

In this study, we used patient-reported data. It would be of great benefit when in future research also data from EHRs and other data sources can be involved in the machine learning, also called multimodal machine
Table 3: Model performances on 10-fold cross validation and testing with the test dataset of the models with an AUC > 0.55 after step 1. C.I. = confidence interval.

<table>
<thead>
<tr>
<th>Step 1: Base classification algorithms AUC &gt; 0.55</th>
<th>Treatment Rehabilitation</th>
<th>Treatment Surgery</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>10-fold cross validation</td>
<td>Testing</td>
</tr>
<tr>
<td></td>
<td>Accuracy % (95%-CI)</td>
<td>AUC</td>
</tr>
<tr>
<td>RandomForest</td>
<td>0.74 (0.72 – 0.76)</td>
<td>0.63</td>
</tr>
<tr>
<td>PART</td>
<td>0.74 (0.72 – 0.76)</td>
<td>0.63</td>
</tr>
<tr>
<td>DecisionStump</td>
<td>0.74 (0.72 – 0.76)</td>
<td>0.56</td>
</tr>
<tr>
<td>REPTree</td>
<td>0.72 (0.69 – 0.74)</td>
<td>0.62</td>
</tr>
<tr>
<td>VotedPerceptron</td>
<td>0.72 (0.69 – 0.74)</td>
<td>0.57</td>
</tr>
<tr>
<td>NaiveBayes</td>
<td>0.66 (0.63 – 0.68)</td>
<td>0.66</td>
</tr>
<tr>
<td>BayesNet</td>
<td>0.65 (0.63 – 0.67)</td>
<td>0.67</td>
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<tr>
<td></td>
<td></td>
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</tr>
<tr>
<td></td>
<td>10-fold cross validation</td>
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<tr>
<td></td>
<td>Accuracy % (95%-CI)</td>
<td>AUC</td>
</tr>
<tr>
<td>DecisionStump</td>
<td>0.91 (0.89 – 0.92)</td>
<td>0.66</td>
</tr>
<tr>
<td>RandomForest</td>
<td>0.91 (0.89 – 0.92)</td>
<td>0.59</td>
</tr>
<tr>
<td>RandomTree</td>
<td>0.86 (0.85 – 0.88)</td>
<td>0.58</td>
</tr>
<tr>
<td>NaiveBayes</td>
<td>0.77 (0.75 – 0.79)</td>
<td>0.67</td>
</tr>
<tr>
<td>BayesNet</td>
<td>0.76 (0.74 – 0.79)</td>
<td>0.67</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Step 2: Meta classification algorithm CostSensitiveClassifier</th>
<th>Treatment Rehabilitation</th>
<th>Treatment Surgery</th>
</tr>
</thead>
<tbody>
<tr>
<td>10-fold cross validation</td>
<td>Testing</td>
<td></td>
</tr>
<tr>
<td>PART</td>
<td>0.74 (0.72 – 0.76)</td>
<td>0.63</td>
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<tr>
<td>RandomForest</td>
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<td>0.53</td>
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</tr>
<tr>
<td>NaiveBayes</td>
<td>0.68 (0.66 – 0.70)</td>
<td>0.66</td>
</tr>
<tr>
<td>BayesNet</td>
<td>0.67 (0.65 – 0.70)</td>
<td>0.67</td>
</tr>
</tbody>
</table>

| 10-fold cross validation                                      | Testing                   |                   |
| DecisionStump                                 | 0.91 (0.89 – 0.92)        | 0.66              | 0.96 (0.87 – 0.99)  | 0.56              |
| RandomForest                                  | 0.91 (0.89 – 0.92)        | 0.59              | 0.96 (0.87 – 0.99)  | 0.75              |
| RandomTree                                    | 0.87 (0.85 – 0.88)        | 0.53              | 0.90 (0.79 – 0.96)  | 0.77              |
| NaiveBayes                                    | 0.79 (0.77 – 0.81)        | 0.66              | 0.84 (0.71 – 0.92)  | 0.73              |
| BayesNet                                      | 0.78 (0.76 – 0.80)        | 0.67              | 0.80 (0.67 – 0.89)  | 0.69              |
learning (Baltrušaitis, 2018). For example, when also EHR data can be used, data imbalance can be limited, and more cases can be retrieved to increase the size of the training dataset with data. However, at this moment it is still a very time-consuming process to gain data out of EHRs (Kool, 2017), although health data integration and interoperability between healthcare systems is a main topic in current research (Oyeyemi, 2018). When EHR data, and other data sources on (chronic) LBP, can be integrated in the application of machine learning, it is expected that this will improve model performances and facilitate model maintenance.

The dataset in this study contained 287 features as input variables for the classification algorithms. These features were related to all data variables a patient could enter into the baseline questionnaire. Future research should also focus on which features are most predictive on the selection of a treatment and to see if the number of features can be reduced without dropping model performances. Or to put it even more strongly, to see if model performances can increase by using the most predictive features only. For Surgery, a study already showed some features – e.g. gender, previous surgery, treatment expectations, body weight$body mass index – that could partly predict whether a patient should be referred to surgery or not (Dongen, 2017). We expect that predictive features will differ per treatment, because this study also showed different best performing decision making models per treatment.

5.2 Study Limitations

The database we used contained imbalanced data. The patients that did not receive the treatment were the over-represented group of patients for both Rehabilitation and Surgery. This makes it difficult to create classification models that predict a patient should receive a treatment. This also influenced the currently retrieved model performances. We applied cost-sensitive learning on the classification algorithms that performed best on the data, because cost-sensitive learning may help to reduce the number of false-negative or false-positive errors to get better performing models (Ling, 2011). This helped to increase the performances of most models a little as estimated during 10-fold cross validation.

6 CONCLUSIONS

It seems possible to apply machine learning to model decision making on the selection of treatments for LBP, where decision making models differ per treatment. However, model performances have to be improved further before machine learned decision support tools can actually be used in real practice.

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