Online Decision Support Tool that Explains Temporal Prediction of Activities of Daily Living (ADL)

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Abstract: This paper presents an online decision support tool that can be used to assess and predict functional abilities in terms of nine Activities of Daily Living (ADLs) up to one year ahead. The tool is based on previously developed Computational Barthel Index (CBIT) and has been rebuilt using Gradient Boost (GB) models with average Area under ROC (AUC) of 0.79 (0.77-0.80), accuracy of 0.74 (0.70-0.79), recall of 0.78 (0.58-0.93), and precision of 0.75 (0.67-0.82) when evaluating ADLs for new patients. When re-evaluating patients, the models achieved AUC 0.95 (0.94-0.96), accuracy of 0.91 (0.90-0.92), recall of 0.91 (0.86-0.95), and precision of 0.92 (0.88-0.94). The decision support tool has been equipped with a prediction explanation module that calculates and visualizes influence of patient characteristics on the predicted values. The explanation approach focuses on patient characteristics present in the data, rather than all attributes used to construct models. The tool has been implemented in Python programming language using Flask Web framework and is accessible through a website or an Application Programming Interface (API).

1 INTRODUCTION

The presented work addresses assessment and prediction of functional abilities and their improvement or decline over time as an important factor in making decision regarding care provided to elderly patients. According to Fried et al. (2002), patients who were aware that they were unlikely to return to their baseline functional status were less likely to proceed with hospital treatment. Quality of life (QOL), including functional independence, is often more important than survival time for many patients (McCarthy et al., 2000). QOL depends on many factors, one of which is patients’ functional independence, including the ability to perform basic Activities of Daily Living (ADLs) and more complex Instrumental Activities of Daily Living (iADLs). Often, functional ability of nursing home patients is assessed by direct observation of skilled nurses, which is a time consuming and costly process. In the United States, the assessments are often reported using the Minimum Data Set (MDS). It is a standardized patient evaluation instrument collected by nurses through observing patients in consultation with other care team members. The assessment data are collected by nursing homes and entered in MDS Section G (MDS 3.0 Technical Information, n.d.). However, similar data are not routinely collected for elderly patients outside of nursing homes.

Assessing and predicting patients’ functional status has several important uses in clinical work and research. It also allows for an informed discussion between clinicians and patients or caregivers and may help in planning care. This paper presents an online decision support tool based on the previously developed Computational Barthel Index, CBIT (Wojtusiak et al. 2020). All models in the original CBIT have been rebuilt to improve the tool’s performance. The tool allows for automatically assessing current functional status and predicting functional status up to one year ahead in terms of the ability to perform the ADLs. The system name is inspired by the Barthel index (scale) which is standardized instrument for evaluating ADLs (Mahoney and Barthel, 1965; Bouwstra et al., 2019). Specifically, the system considers the ability to assess and predict independence in bathing, eating, grooming, bladder, bowels, dressing, transferring, toileting and walking. The tenth item from the original Barthel scale, stairs, is not included as it is impossible to assess in nursing home population.
The problem of assessing and predicting ADLs is not new. It is the focus of several works using physical and physiological predictors (Gobbens & van Assen, 2014), activity recognition through wearable sensors (Stikic et al., 2008), surveys (Min et al., 2017) and diagnoses (Faurot et al., 2014).

Clinical Decision Support Systems (CDSS) are a key component of health information systems and integral part of clinical workflows (Wasylewicz et al., 2019). While most commercially available CDSS are rule-based with sets of rules manually implemented to support guidelines, there is a growing interest in integrating models created by machine learning (ML) methods as part of CDSS (Peiffer-Smadja et al., 2019). Along with triggering alerts, ML-based models are also used to predict likely outcomes and help with diagnosing patients (Belard et al., 2017).

One important feature of ML-based CDSS is their ability to provide evidence in supporting predictions (alerts, reminders, recommendations). Such evidence is typically referred to as prediction explanation and is considered as one of criteria for overall model transparency. The idea of constructing transparent machine learning-based models that can explain predictions is not new and goes back to early machine learning systems in the 1970s and 1980s (Michalski, 1983). One can consider many reasons for providing explanations and evidence in supporting predictions. Most importantly, one needs to gain trust of CDSS users in the predictions. Users are most likely to act upon recommendations from CDSS if the system provides an explanation. Khairat et al. (2018) stated that “Physicians must be able to support their decision and are skeptical of recommendations or claims that lack supporting evidence or transparency.” However, it is incorrect to assume that the goal of providing explanations is only to make users trust the predictions. Since no machine learning-based model (or any other CDSS) is free of prediction errors (accuracy < 1.0), one should consider explanations an integral part of prediction. The decision makers consider both prediction and provided evidence in making their final judgement. After reviewing the evidence, users may be convinced that the prediction is correct and act accordingly, or that it is not correct and act in an opposite way. In other words, explanation is part of prediction. This approach to providing explanations is implemented in the presented work and discussed further in Section 4.

There are several contributions of the presented work. The online tool is based on a set of models that have been rebuilt from the original CBIT to improve efficiency. The models have good properties in terms of accuracy and calibration. The tool is accessible through the Web as well as an Application Programming Interface (API). Finally, the tool attempts to provide explanations of the predictions.

## 2 MODEL CONSTRUCTION

### 2.1 Data

Data and model construction followed the process used previously to construct the original CBIT models (Wojtusiak et al., 2020). The data consisted of 1,901,354 MDS evaluations completed between 2000 and 2011 with 1,151,222 evaluations for 295,491 patients. MDS data were mapped to nine Barthel Index categories using a procedure described by Wojtusiak et al. (2016). The data were then linked to demographics and history of diagnoses extracted from medical records. The data consisted of inpatient and outpatient diagnoses coded using the International Classification of Diseases, ninth edition (ICD-9) standard, and were transformed into 281 distinct categories using Clinical Classification Software (HCUP CCS, 2017). Only patients with at least two MDS evaluations were included (to access “previous status”), resulting in a final dataset of 855,731 evaluations for 181,213 patients. The final data consisted of 578 attributes. The patient cohort was split into training (90%) and testing (10%) datasets. The data were shifted in time by 30, 90, 180 and 360 days to move the prediction horizon for constructing models that predict future ADLs (Figure 1). It simulates situation in which outcomes (ADLs)
are assessed after certain number of days. These timepoints were selected based on clinical judgement.

In the original CBIT as well as here, diagnoses were coded to include the number of days between the first as well as the last occurrence of diagnosis to evaluation time. This simple yet effective temporal coding system is shown to significantly outperform standard binary (one-hot) coding in which 0/1 variables are used to indicate the presence or absence of a condition. More specifically, each diagnosis code CCS, is transformed into two attributes CCS_{\text{imax}} (the number of days between when the diagnosis was present in patient’s record for the first time and the prediction time) and CCS_{\text{imin}} (the number of days between when the diagnosis was present in patient’s record most recently and the prediction time).

2.2 Supervised Learning

Supervised machine learning was applied to construct a total of 72 models for predicting functional status: four time points, nine ADLs, Evaluation/Re-Evaluation models. Specifically, there are 36 output attributes (dependent variables) for which models are constructed: \{Bathing_0, Bathing_90, \ldots, Walking_{180}, Walking_{360}\}. Evaluation models are intended to be used for patients for whom previous functional status is unknown. The models use demographics and diagnoses for assessment and prediction. Re-Evaluation models are intended for patients for whom previous functional status is known, and it is included as nine previous ADL attributes along with other variables.

When constructing the original CBIT, several ML methods were investigated, including Logistic Regression, Decision Trees, Naïve Bayes, and Random Forest, leading to the selection of Random Forest (RF) as the top performing algorithm. Hyperparameters were tuned within 10-fold cross-validation and models were calibrated using 5-fold cross-validated isotonic regression. These models were based on the full set of 578 input attributes. Further, a set of limited models was constructed based on top 50 patient characteristics as ranked by feature importance of RF models. These models do not perform statistically significantly worse than the original full models.

2.3 Random Forest vs. Gradient Boost

The initial model selection resulted in Random Forest (RF) achieving the best performance. The 72 constructed models achieved good accuracy, were well calibrated and ready for deployment in the decision support tool. The downside of using RF was model size with each single model being between 1GB and 2GB, totaling about 100GB for all models. The size of models made them infeasible for use as part of the online decision support tool. The server running the tool would need to have 128GB+ of RAM if all the models were all loaded at the same time. Alternatively, the models could be loaded sequentially as the predictions are made. Unfortunately, the latter approach is extremely slow, and prediction of a single case took more than 10 minutes making it unusable as a decision support tool.

To address this issue, Gradient Boost (GB) models were created for the use within the decision support tool. The GB models are significantly smaller in size and can be easily incorporated in the online tool. Experimental results show that RF and GB provide comparable results with an overall $R^2 = 0.92$ and $\text{Kappa}=0.86$ across all 72 models. This is also illustrated in terms of one model (evaluation of Bathing) scatterplot from 1000 randomly selected testing patients in Figure 2. Colors are used to indicate true class, thus green points in the upper right portion of the plot are correctly classified by both models functionally independent patients. Red points in the bottom left part of the plot indicates correctly evaluated by both models as disabled patients. Scatterplots for other models show similarly high correlation between models. This shows an overall very high level of agreement between the models.

![Figure 2: Comparison on outputs from RF and GB models on a subset of testing data.](image)

2.4 GB Model Evaluation

Both Evaluation and Re-Evaluation GB models achieved high accuracy. The Evaluation models for assessing current status achieved average AUC of 0.79 (0.77-0.80), accuracy of 0.74 (0.70-0.79), recall of 0.78 (0.58-0.93), and precision of 0.75 (0.67-0.82). The Re-Evaluation models achieved average AUC of 0.95 (0.94-0.96), accuracy of 0.91 (0.90-0.92), recall of 0.91 (0.86-0.95), and precision of 0.92 (0.88-0.94).
### Table 1: Evaluation results of Gradient Boost models. The numbers are average for nine ADSs.

<table>
<thead>
<tr>
<th>Prediction Time</th>
<th>Re-Evaluation Models</th>
<th>Evaluation Models</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Accuracy</td>
<td>AUC</td>
</tr>
<tr>
<td>Current</td>
<td>.91±.01</td>
<td>.95±.01</td>
</tr>
<tr>
<td>3 Months</td>
<td>.82±.02</td>
<td>.88±.01</td>
</tr>
<tr>
<td>6 Months</td>
<td>.76±.03</td>
<td>.81±.01</td>
</tr>
<tr>
<td>12 Months</td>
<td>.74±.03</td>
<td>.78±.02</td>
</tr>
</tbody>
</table>

It is also clear that predicting some ADLs is easier (i.e. bathing) than others (i.e. eating). For example, current evaluation of bathing achieved AUC of 0.80, while it was 0.77 for eating. Further, the accuracy of the models decreases with time. When evaluating patients for the first time, the average AUC (over nine ADLs) is about 0.79 and drops to about 0.73 when predicting a year ahead. Similarly, when re-evaluating patients, the average AUC is 0.95 that drops down to 0.78 when predicting a year ahead.

The developed models also have good properties. They are well-calibrated, which allows for probability interpretation of model outputs. Consequently, users can interpret results as likelihood of independence. This also increases prediction transparency as discussed in Section 4. An example of calibration plot for one of the 72 models is shown in Figure 3.

![Figure 3: Example calibration plot for one of 72 models used in the decision support tool.](image)

Figure 3: Example calibration plot for one of 72 models used in the decision support tool.

The models are constructed using sufficient amount of data, as shown in two aggregate learning curves in Figure 4. The curves represent average values for Evaluation (top) and Re-Evaluation models (bottom). The complete set of all calibration curves and learning curves along with details of all experimental results are available on the tool website.

![Figure 4: Average learning curves for Evaluation and Re-Evaluation models.](image)

Figure 4: Average learning curves for Evaluation and Re-Evaluation models.

### 3 ONLINE DECISION SUPPORT

The 72 constructed CBIT models are part of a publicly available online decision support system. The system is accessible at https://hi.gmu.edu/cbit. The general design of the system is depicted in Figure 5. It provides Web interface as well as Application Programming Interface (API). Requests to both are passed through Apache web server (Apache HTTP Server Project, n.d.) that acts as a proxy to Flask Web Framework, thus providing additional security by not exposing Flask to the world. Web requests are submitted from an HTML form, while API requests are submitted as JSON (JavaScript Object Notation). The CBIT models are created using Scikit-learn library (Pedregosa et al., 2011) which is also used to execute them within the tool. The explanation generation is a custom code written in Python that uses sensitivity analysis and a set of templates to generate results. Similarly, the final result formatting is a combination of Python code with HTML.
templates. The results of Web requests are formatted as an HTML page and displayed to the user, while the results of API requests are returned as JSON.

The Web form (available at the tool website: https://hi.gmu.edu/cbit) used to insert data is split into two sections that correspond to Evaluation and Re-Evaluation models. Previous known functional status is pre-set as fully independent. Age is pre-set to 71, which is the mean value in the data. Time from diagnosis can be entered as a number of days or selected from pre-populated list (last week, last two weeks, last month, last three months, last six months, last year, last three years, and more than three years). Such increasing in time interval size corresponds to how people think about continuous values with higher precision closer to zero.

ML-based models produce results regardless of consistency of inputs, as long as the library (here Scikit-learn) is able to handle them. For example, one may run models on negative patient’s age, time of diagnosis prior to any data being possible, etc. A simple set of rules can prevent user from inserting such data. However, this is not sufficient. Data may seem to be reasonable but be significantly different from what was used to train models. While ML-based models are expected to generalize training data, it is impossible to tell how the models behave for data that is very different from training examples. The presented tool implements a simple method to check the input against training data, and provides warnings when input is outside of the training data range, as well as outside of 90th and 95th percentile of values. It is being extended by an approach that checks for combinations of attributes through calculating distance from clusters of data.

The results of prediction are presented in a graphical form as one in Figure 6 for a hypothetical patient. On the plot, the prediction results are shown as the probabilities of full functional independence vs. any level of disability. The higher the value is, the more likely the patient is to be independent. The probability interpretation of results is reasonable because of the model calibration previously discussed in Section 2.2. However, the probability of
4 PREDICTION EXPLANATION

The presented tool attempts to explain the results by linking them to the information provided on the Web form. Such explanation can be viewed as presentation of prediction results in the context of patient diagnoses. More specifically, the method assesses and depicts strength of the influence of diagnoses on the predicted probabilities.

There is broad literature on model transparency, interpretability, trust and prediction explanations. It is important to distinguish between model interpretability and explanation, and prediction explanation. A good framework for distinguishing between different types of explanations has been proposed by Guidotti et al. (2018). The authors consider three distinct problems: model explanation that aims at explaining model globally, typically through mapping it to a transparent form; outcome explanation (prediction explanation) in which explanation is provided for prediction result of one specific instance (focus of this work); and model inspection that allows for investigating specific properties of the model.

There are numerous existing approaches for explaining predictions available in the literature. In most cases these are considered as “reverse engineering” approaches because a model is treated as a black box and the explanation is based on how changes in inputs affect outputs. Among the most frequently used local explanation methods are LIME (Local Interpretable Model-agnostic Explanations), LORE (Local Rule-based Explanations), and SHAP (Shapley Additive exPlanations). While based on different theoretical bases, all three methods are similar in the way they locally sample models and construct surrogate models. LIME generates random synthetic data in the neighborhood of the instance being explained and fits a linear model to that data (Ribeiro et al., 2016). Coefficients of that model are used to explain the local prediction. Similarly, LORE generates synthetic data in the neighborhood of the instance being explained (through genetic algorithm rather than randomly) and constructs a decision tree from that data. The tree is consequently converted to a set of rules given as an explanation. SHAP uses Shapley values that estimate individual contributions of attributes through game theory (Lundberg and Lee, 2016). Further, many prediction explanation approaches have been developed to work specifically with certain types of models. Recent literature mainly covers neural networks and specific types of data, such as images (Du et al., 2019). Finally, a number of authors claim the need for causality in explaining
predictions (Pearl, 2019; Richens et al., 2020), specifically important in medical domain such as differential diagnosis.

In the presented work, a simple approach similar to LIMIE is used, but which does not rely on construction of a secondary model. Instead, it calculates direct change in probability based on present patient diagnoses. The key observation for this method is that the explanation problem is not symmetric with respect to diagnoses, i.e., one should consider explanation based on diagnosis present in a given patient, and not simulate what would happen if the patient had more conditions. Such an approach is reasonable, because it grounds explanation in what is known about the patient. For example, consider a model that predicts that a patient is fully independent in terms of walking, and justifies the prediction with the strongest predictor as not having a leg fracture. This is not a reasonable way of providing explanation. The leg fracture is one of many possible causes of walking impairment. In contrast, it is reasonable to explain prediction of not being independent by listing fractured leg as a reason. One exception, used in the proposed tool, is based on lack of any patient characteristics that could justify patient being not independent. Further, the influence of diagnoses on ADLs can be positive or negative as the presence of a diagnosis can increase or decrease the probability of functional independence. The influence is typically different for different ADLs and changes with time.

In the presented tool, new synthetic cases are generated through single-parameter (a.k.a. first-order) sensitivity analysis which simulates changes to the models’ outputs based on changes in one input at a time. Changes are made by iteratively removing patient characteristics or diagnoses present in the model input. Strength of a predictor is estimated as a difference between the probability of independence in the original instance and the synthetic one. This method creates a 3-dimensional tensor that includes change of probabilities of nine ADLs over time for all present diagnoses. To visualize this 3-dimensional result, the influence of the diagnoses is (1) averaged over time for a given ADL (depicted in Figure 7), and (2) averaged over ADLs at a given time.

5 CONCLUSIONS

Once fully developed and tested, the presented online decision support tool is ultimately intended for the clinical use to support clinicians in decision making and having informed discussions with patients, their caregivers, family members, and other care team members. The current version of the tool is available for research and education purposes. Deployment of the tool in clinical care would need further clinical testing and regulatory approvals for ML or AI-based software, which vary across countries (FDA, n.d.).

The presented tool has been originally developed as a set of Random Forest models, and later changed to Gradient Boost models. These models provided the highest accuracy as well as desired properties in terms of sensitivity and calibration. In the future, one may investigate the possibility of using recurrent neural networks (RNNs) in order to create models that incorporate more detailed temporal relationships between diagnoses. However, our initial work with the data indicated that neural networks did not perform well for the problem, yet further investigation of reasons is needed.

One potential limitation of the presented work is that the patient cohort may not generalize to other settings/institutions. This is known as cross-hospital generalization, which is a significant problem in the application of ML methods in healthcare settings (Nie
et al., 2018). The tool also requires rigorous usability evaluation and testing in clinical settings.

The decision support tool presented here is a working laboratory for our team and it is constantly being updated and extended with new features.

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