Development, Implementation and Validation of a Stochastic Prediction Model of UICC Stages for Missing Values in Large Data Sets in a Hospital Cancer Registry

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Abstract: Cancer is still a fatal disease in many cases, despite intensive research into prevention, treatment and follow-up. In this context, an important parameter is the stage of the cancer. The TNM/UICC classification is an important method to describe a cancer. It dates back to the surgeon Pierre Denoix and is an important prognostic factor for patient survival. Unfortunately, despite its importance, the TNM/UICC classification is often poorly documented in cancer registries. The aim of this work is to investigate the possibility of predicting UICC stages using statistical learning methods based on cancer registry data. Data from the Cancer Registry Clinic Arlesheim (CRCA) were used for this analysis. It contains a total of 5,305 records of which 1,539 cases were eligible for data analysis. For prediction classification and regression trees, random forests, gradient tree boosting and logistic regression are used as statistical methods for the problem at hand. As performance measures Mean misclassification error (mmce), area under the receiver operating curve (AUC) and Cohen’s kappa are applied. Misclassification rates were in the range of 28.0% to 30.4%. AUCs ranged between 0.73 and 0.80 and Cohen kappa showed values between 0.39 and 0.44 which only show a moderate predictive performance. However, with only 1,539 records, the data set considered here was significantly lower than those of larger cancer registries, so that the results found here should be interpreted with caution.

1 INTRODUCTION

Cancer is still a fatal disease in many cases, despite intensive research into prevention, treatment and follow-up. With a deeper understanding of the pathogenesis of cancer in the 19th century, first ideas were developed to produce reliable statistics on cancer-related mortality or morbidity rates Wagner, 1991). Around 1900, the first nationwide survey on cancer was launched (Meyer 1911). Another 30 years later, a first population-based cancer registry was established in Germany, allowing to follow the treatment process including survival time and survival rate of cancer patients, which was one of the starting points of cancer epidemiology (Alam 2011).

In cancer epidemiology, survival rates play an important role: they provide information on the percentage of people with the same cancer and cancer stage who survived a certain period of time after diagnosis (usually five years) following a specific therapy. This information can be used to predict treatment success. In particular, cancer registry data can be used to identify patients with prolonged survival, which is one of the main goals in clinical oncology.

In this context, an important parameter is the stage of the cancer. The TNM classification is an important method to describe a cancer. It dates back to the surgeon Pierre Denoix (1944) and is an important prognostic factor for patient survival (Takes et al., 2010). It is based, as the title of the original paper suggests, on the three pillars:

T = Tumor, extent and behavior of the primary tumor.
N = Nodus (Latin nodus lymphoideus = lymph node) absence or presence of regional lymph node metastases.
M = Metastases, absence or presence of distant metastases

According to the definition of the International Union against Cancer (Union internationale contre le cancer (UICC)), founded in 1933, stages of cancer can be grouped into five stages (UICC 0 to 4) according to the TNM classification. These are:
- Stage 0: Tumors with no spread to connective tissue, no lymph node involvement, and no metastases.
- Stage I: Small and medium-sized tumors (T1, T2) without lymph node involvement and metastases
- Stage II: Medium to large tumors (T3, T4) without lymph node involvement and metastases
- Stage III: Tumors of any size with metastases in 1-4 lymph nodes in the surrounding area without distant metastases
- Stage IV: Tumors of any size with metastases in 1-4 lymph nodes in the surrounding area with distant metastases.

Unfortunately, despite its importance, the TNM/UICC classification is often poorly documented in cancer registries (Søgaard et al., 2012). For example, in one of the oldest national cancer registries, the Danish Cancer Registry (DCR), a proportion of 25% missing TNM information is reported in patients with prostate cancer aged 0-39 years. In the same registry, the missing TNM information of colon and rectal cancer was examined with respect to age, comorbidities, and year.

For colon cancer, the percentage of missing TNM information increased, from 28.7% in 2004 to a value of 35.2% in 2009 (Ostenfels et al., 2012). Missing TNM values are also observed in other cancer registries, such as the Mallorca Cancer Registry (Ramos et al., 2015).

The aim of this work is to investigate the possibility of predicting the TNM classification into the five UICC stages using statistical learning methods based on cancer registry data.

2 MATERIAL AND METHODS

The aim of this work is to investigate the possibility of predicting the TNM classification into UICC stages using statistical learning methods based on cancer registry data.

2.1 Data Acquisition

Data from the Cancer Registry Clinic Arlesheim (CRCA) were used for the analysis. The CRCA was established in the 1960s. It has contained data from a follow-up database since 1961, additional data from the documentation of the international oncology database QuaDoSta since 2010 (Schad, 2016), and data from its own hospital information system (HIS) since 2016. They contribute with different magnitude to the documentation of the clinical course of different cancer entities in the CRCA (Ostermann et al. 2022).

The complexity of the data structure is already evident from the different components from which the CRCA obtains its data, which makes it likely that the UICC stages will be missed, especially in the area of the older follow-up database.

Figure 1: Flow chart for the inclusion/exclusion of data.

The CRCA contains a total of 5,305 records. In n=956 cases (18.2%), only one consultation appointment was available. An incomplete history led to data exclusion in n=391 cases (7.4%). In n=379 records (7.1%), there was no informed consent from the patient for further use of the data or documentation was refused. In n=215 cases (4.1%), the data concerned hematoblasts not amenable to...
TNM classification. In another 197 cases (3.7%), treatments were performed at another clinical centre, and in 92 cases (1.7%), there was no proving histology of the primary tumour.

Therefore, a total of \(n = 3075\) cases in principle were suitable for evaluation. However, this sample consisted of a total of only \(n=1539\) cases (50.0%) with tumor staging, which was used as a sample for training and validation. For \(n=1536\) cases without tumor staging, supervised learning would have been possible, but due to lack of cross-validation, verification of learning outcomes would not have been possible. Accordingly, the following analysis was performed on \(N = 1539\) cases (Fig.1).

### 2.2 Classification Methods

Especially in cases where no further data are available or patient records are no longer accessible for completion, appropriate statistical methods can be important tools to complete the clinical documentation in such cases for scientific evaluation.

However, the predictive power of such methods is also linked to the existing data quality of the available data in the registry. So far, there are only a few corresponding studies in the literature on this topic. Therefore, the choice of methods is not predetermined by existing approaches or models.

From other studies, classification and regression trees, random forests and gradient tree boosting and logistic regression analysis are known as established as reliable supervised learning methods (Hancock et al., 2005, Freeman et al., 2016; Boughorbel et al., 2016). Therefore, they are used as statistical methods for the problem at hand.

#### Classification and Regression Trees

Classification and regression trees (CART) are partitioning methods using recursive splits. A tree consists of two elements: a tree decision structure and a prediction structure. By using a series of recursive binary splits for every possible predictor, homogeneous subsets of the sample are created (Buskirk, 2018) and a tree topology with nodes, leaves and branches is created (Figure 1). To prevent overfitting and overdimensionality of the grown classification tree, the tree is pruned back in a next step using the Gini index for categorical outcomes and the sum of squared errors for continuous variables.

#### Random Forests

Random forests as the name says, are collections of decision trees whose results are aggregated into one final result. According to (Breiman, 2001), the algorithm for random forests is as follows:

For \(b=1\) to \(B\):

- Draw a bootstrap sample \(Z^*\) of sample size \(N\) from the training data.
- Grow a random forest tree \(T\) on the bootstrap sample by repeating the following steps until the final node reaches a minimum size:
  - Randomly choose \(m\) variables from the \(p\) variables.
  - Choose the best pair (splitting variable, splitting point) from the \(m\) variables.
  - Split the node into two daughter nodes.
  - Output the ensemble of trees

For classification, the model prediction of the random forest is given by the class selected by most trees (Fig.3).

#### Gradient Tree Boosting

Besides the Random Forest method, Gradient tree boosting (GBT) ensemble method. Again a learning method is applied several times to the training data. In contrast to Random forests the individual models are not considered and adjusted separately, but rather in an iterative procedure with each model trying to predict the error left over by the previous model to an

![Figure 2: Development of a CART-model (from: https://dphi.tech/blog/introduction-to-decision-tree-algorithm/).](https://dphi.tech/blog/introduction-to-decision-tree-algorithm/)

![Figure 3: Process of the random forest algorithm (from: https://www.tibco.com/de/reference-center/what-is-a-random-forest) 1539 cases.](https://www.tibco.com/de/reference-center/what-is-a-random-forest)
additive overall model. In each step a regression tree is fitted such that terminal regions emerge. The algorithm therefore is as follows:

1. Initialize a simple prediction model
2. Train a new model that learns from the mistakes of the old one
3. Combine the weak models to a stronger model
4. Repeat step 2 and 3 until selected termination condition occurs.

Residuals here correspond to negative gradients of the error function, which gives the naming of the procedure (Mayr et al., 2014). Figure 4 illustrates the algorithm graphically.

Figure 4: Illustration of the gradient tree boosting algorithm (https://medium.com/swlh/gradient-boosting-trees-for-classification-a-beginners-guide-596b594a14ea).

2.3 Dependent and Independent Variables

In all three models, UICC classification was defined as the dependent variable. However, due to sample size for each stage, a dichotomous variable was created:

0 = Stage 0 - II
1 = Stage III - IV

The following parameters served as independent variables:
- Age at diagnosis
- Chemotherapy history (y/n)
- First diagnosis of distant metastases
- Systemic therapy: 1st entry chemotherapy (y/n)
- Radiation therapy in the medical history (y/n)
- Radiotherapy (y/n)
- Chemotherapy (y/n)
- Surgery (y/n)
- 1 year survival (y/n)
- 2 year survival (y/n)
- 5 year survival (y/n)

2.4 Validation and Performance Measures

In cases of small sample sizes performance measures can be determined using cross-validation. In this procedure, data are randomly divided into \( K \) approximately equal subsamples. One part at a time is used for validation and the remaining \( K-1 \) parts are used for training. This is done \( k=1,\ldots,K \) times resulting in \( K \) performance measures which are combined into one measure.

The following performance measures are applied:

**Mean Misclassification Error**
The Mean misclassification error (mmce) is the misclassification rate, which can be calculated as follows:

\[
\text{mmce} = \frac{1}{n} \sum_{i=1}^{n} I(\hat{c}_i(x))
\]

with

\[
I(\hat{c}_i(x)) = \begin{cases} 
1, & \text{if } \hat{c}_i(x) \neq c(x) \\
0, & \text{if } \hat{c}_i(x) = c(x)
\end{cases}
\]

That is, the errors are summed and divided by the number of predictions \( n \).

**Receiver Operating Characteristic Curve**
The Receiver Operating Characteristic curve (ROC curve) is created by plotting the false positive rate against the true positive rate. In doing so, the threshold for class assignment is systematically varied across all values. The area under the ROC curve (AUC) is the respective performance measure and ranges from 0.5 to 1. An AUC of \( > 0.8 \) is considered to be good, and an AUC > 0.9 is considered to be very good (Šimundić, A, 2009).

**Cohen's Kappa Coefficient of Agreement**
Cohen’s kappa coefficient of agreement is given by

\[
\kappa = 1 - \frac{(1 - p_0)}{(1 - p_e)}
\]

where \( p_0 \) is the observed frequency of agreement and \( p_e \) is the expected frequency of agreement at independence. Cohen’s kappa normally ranges from 0 to 1. A value of 1 means perfect agreement. A value of 0 corresponds to agreement that is consistent with pure chance. In seldom cases negative values occur, which indicate a match that is even smaller than a random match. Landis and Koch (1977) judge values of \( > 0.6 \) as sufficient for agreement.

2.5 Software

Classification and statistical analysis is performed using the statistical software R (R version 3.6.1). For classification the R package mlr2 is used.
3 RESULTS

Table 1 shows the distribution of predictor data among the respective UICC stagings.

Table 1: Distribution of the predictor data among the respective UICC stagings. For metric variables mean ± SD and for binary variables absolute frequency and relative frequency in %) are shown. NAs denotes the number of missing values.

<table>
<thead>
<tr>
<th>Predictor</th>
<th>UICC Stage 0 – II</th>
<th>UICC Stage III – IV</th>
</tr>
</thead>
<tbody>
<tr>
<td>N</td>
<td>776</td>
<td>761</td>
</tr>
<tr>
<td>Age at diagnosis</td>
<td>57.73 ± 11.83 NAs = 3</td>
<td>58.82 ± 11.54 NAs = 3</td>
</tr>
<tr>
<td>Chemotherapy in the</td>
<td></td>
<td></td>
</tr>
<tr>
<td>medical history</td>
<td>234 (34.93 %) NAs = 108</td>
<td>418 (61.65 %) NAs = 83</td>
</tr>
<tr>
<td>Initial diagnosis of</td>
<td></td>
<td></td>
</tr>
<tr>
<td>distant metastases</td>
<td>10 (1.44 %) NAs = 83</td>
<td>170 (27.51 %) NAs = 143</td>
</tr>
<tr>
<td>Systemic therapy: 1st</td>
<td></td>
<td></td>
</tr>
<tr>
<td>entry Chemotherapy</td>
<td>289 (37.15 %) NAs = 0</td>
<td>141 (18.53 %) NAs = 0</td>
</tr>
<tr>
<td>Radiotherapy in the</td>
<td></td>
<td></td>
</tr>
<tr>
<td>medical history</td>
<td>250 (37.76 %) NAs = 116</td>
<td>214 (33.86 %) NAs = 129</td>
</tr>
<tr>
<td>Chemotherapy</td>
<td>481 (61.83 %) NAs = 0</td>
<td>421 (55.32 %) NAs = 0</td>
</tr>
<tr>
<td>Surgery</td>
<td>320 (41.13 %) NAs = 0</td>
<td>585 (76.87 %) NAs = 0</td>
</tr>
<tr>
<td>1 year survival</td>
<td>765 (98.84 %) censored = 4</td>
<td>703 (92.38 %) censored = 0</td>
</tr>
<tr>
<td>5 year survival</td>
<td>738 (95.84 %) censored = 6</td>
<td>593 (78.07 %) censored = 4</td>
</tr>
<tr>
<td>10 year survival</td>
<td>603 (88.81 %) censored = 99</td>
<td>369 (54.42 %) censored = 83</td>
</tr>
</tbody>
</table>

Especially in the variables "Chemotherapy in the medical history", "First diagnosis of distant metastases" and "Systemic therapy" clear differences between the two groups are recognizable. The extent to which these differences lead to sufficiently good classification results will be investigated in the following analyses.

Figure 2 shows the joint display of the ROC curves of the different classification methods. Even a mere eye-validation of the curves shows a rather moderate classification performance.

Table 2 presents the summary of the performance measures of goodness of the different methods.

Comparing the related methods with each other, it is noticeable that the mean classification rate of all methods is between 28.0% (random forest) and 30.41% (gradient boosting), which can be considered rather insufficient for a classification algorithm.

Also, the AUCs have values between 0.731 and 0.803, which also does not meet the standards for a valid procedure, for which an AUC > 0.8 is defined as good and an AUC > 0.9 as very good (cf. Šimundić, 2009).

4 CONCLUSIONS

Missing data is a common problem in epidemiological research (Shah et al., 2014), especially in population-based cancer registries (Seneviratne et al. 2014). Both classical statistical prediction models, such as logistic regression or classification trees, and newer machine learning methods, such as random forests or gradient boosting methods, are used to impute missing data in many areas of epidemiology (Eisemann et al. 2011). Both the completeness of primary data and the accuracy of
staging coding need to be improved for cancer registries to fulfill their growing role in cancer control, according to a Europe-wide review of cancer registries (Minicucci et al., 2017).

Extensive analyses have not yet been conducted in the area of cancer staging prediction. In their simulation study, Eisemann's group reported initial imputation of UICC stages with concordance rates of approximately 80% (Eisemann et al. 2011). In this work, we therefore investigated the extent to which the above-mentioned methods for predicting missing data in tumor stages yielded similar results. In this context, logistic regression, as a well-known method, served as a benchmark for comparison with the other four methods.

The results of this work are below the orders of magnitude of Eisemann's group. Even though no multiple imputation was performed in the present approach, the classification rates were in the range of 28.0% to 30.4%. Similar to Eisemann's work, the results of the classical methods (logistic regression, classification tree) were not inferior to those of machine learning (random forests, gradient boosting) both in their concordance (0.39; 0.43) and in their prognostic quality (AUC 0.79; 0.73) (concordance: 0.44; 0.39 AUC: 0.80; 0.79).

Nevertheless, the kappa values between 0.39 for logistic regression and 0.44 for random forests according to the classification of Koch and Landis (1977) are in the rather moderate range. Moreover, the UICC stagings were additionally combined into a binary variable, which again reduces the significance.

Also, with only 1539 records, the data set considered here was significantly lower than those of larger cancer registries, so that the results found here should be interpreted with caution. In addition, a multiple imputation strategy (Burgette et al., 2010) was not used here, although it is unclear whether this would have led to a significant improvement in the classification results in the present case.

While in contrast to Eisemann et al., 2011) the methods used did not exhibit convergence problems, the heterogeneity in the primary data was a clear challenge for data management. Although in this particular case this may be explained by the historical genesis of the cancer registry, other work also highlights the issue of primary data heterogeneity as a source of statistical error (Carmona-Bayonas et al., 2018). Here, it would be important to optimize the harmonization of data across data sources through standards for data collection, recording, and presentation to facilitate the analysis of large data sets (Le Sueur et al., 2020).

Although the results of this paper are somehow disappointing, future work in this field should nevertheless continue and particularly pay attention to new technologies and strategies in the field of artificial neural networks and machine learning to develop sound prognostic classification models based on available registry data to support an individualized approach to cancer treatment.

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