Using Demographic Factors and Comorbidities to Develop a Predictive Model for ICU Mortality in Patients with Acute Exacerbation COPD

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Abstract

Recognizing factors associated with mortality in patients admitted to the ICU with acute exacerbation of chronic obstructive pulmonary disease could reduce healthcare costs and improve end-of-life care. Previous studies have identified possible predictive variables, but analysis is lacking on the combined effect of demographic factors and comorbidities. Using the MIMIC-III database, this study examined factors associated with mortality in a model incorporating comorbidities, comorbidity indices, and demographic factors. After determining associations between predictive variables and mortality through univariate and multivariate binomial logistic regression, three predictive models were developed: (1) univariate GLM-derived logistic, (2) Mean Gini-derived logistic (MGDL), and (3) random forest. The MGDL model best predicted mortality with an AUROC of 0.778. Variables with the greatest relative importance in determining mortality included the Charlson Comorbidity Index, Elixhauser Index, male, and arrhythmia. The results support the potential of using the MGDL model and need for further work in exploring demographic factors.

Introduction

Acute exacerbation of chronic obstructive pulmonary disease (AECOPD) accounts for nearly 3.5% of all hospitalizations with an associated cost per hospitalization that has risen from \$22,187 in 2002 to \$38,455 in 2010.¹ Given an estimated 514,000 hospitalizations due to AECOPD in 2008², total spending on AECOPD is roughly 20 billion dollars per year. Chipping away at this staggering figure could reduce costs tremendously, which would benefit from an understanding of which factors predict mortality in these patients. Consequently, these predictive factors could be targeted through public health measures for decreasing the cost burden of AECOPD.

Moreover, finding AECOPD predictive factors could enable physicians to understand which admitted patients may have a higher risk for mortality. An improved prediction of mortality could not only improve plan of care, but also drive further more informed conversations regarding end-of-life (EOL) care. Physicians often avoid EOL discussions for fear of hurting their relationship with patients.³⁻⁵ However, these discussions have been shown to reduce costs associated with overly involved EOL medical care and improve overall satisfaction and quality of life.⁵⁻ ⁸ Recognizing a patient with factors linked to higher mortality could help facilitate additional EOL discussion.

Studies have examined how demographic factors and comorbidities increase risk for developing COPD.⁹⁻¹⁰ and the way that acute measures, such as serum albumin and arterial pCO2, can predict mortality.¹¹⁻¹³ Literature reviews have found factors including disease duration, older age, low pH, and low Glasgow Coma Scale score to be significantly associated with a higher risk of mortality in COPD patients.¹⁴⁻¹⁵ Others have developed predictive models to forecast readmission, illness severity, and risk of one-year mortality in patients with COPD.¹⁶⁻¹⁹ Tabak *et al*. used coefficients from a logistic regression model including age, sex, laboratory results, vital signs, and comorbidities to predict mortality in AECOPD patients.²

There is a lack of large-scale analyses on the combined ability of comorbidities and demographic information to predict mortality in ICU patients admitted with AECOPD. Moreover, previous studies have not considered such combined features using machine learning approaches for developing mortality prediction models for AECOPD patients. Using publicly accessible electronic health record (EHR) data, this study examined which factors were significantly associated with mortality in a model that incorporated comorbidities, comorbidity indices, and demographic factors. Univariate and multivariate Generalized Linear Model (GLM) analyses were used to determine associations between predictive variables and mortality. Multiple predictive models were then developed using logistic regression and machine learning. The predictive capacity of the developed models were assessed according to their sensitivity, specificity, and Area Under the Receiver Operating Characteristic (AUROC) curve.

Methods

Data Source

Data were obtained from the Medical Information Mart for Intensive Care III (MIMIC-III) database, a publicly accessible collection of over 58,000 intensive care unit (ICU) admissions at the Beth Israel Deaconess Medical Center from 2001 to 2012.²¹ Admissions to the ICU due to AECOPD were determined using the AECOPD ICD-9-CM code 491.21, resulting in three data sets for each corresponding admission: (1) demographic and demographic variables including insurance status, marital status, ethnicity, time of admission, and time of death; (2) additional demographic variables of gender (1 if male, 0 if female) and date of birth; and, (3) a series of comorbidities for each admission represented by a binary 1 or 0 variable. The first and second data sets were combined into a single demographic table, and age at admission was calculated by subtracting date of birth from the time of admission.

Predictors and Outcome

All data cleaning and analyses were performed using the Julia programming language $(v0.5)$,²² utilizing the *DataFrames.jl* package (v0.8.5) to create the data tables.

To measure the effect of socioeconomic status (SES), insurance status as categorized by MIMIC-III was used: (1) Medicare, (2) Private, (3) Medicaid, (4) Government, and (5) Self Pay. Insurance was used as a proxy for SES under the general assumption that Medicaid and Self Pay represent low-income patients, Private and Government represent higher-income patients, and Medicare represents elderly patients. Five variables were created, one for each of these statuses, with a possible value of 1, if that person had that type of insurance, or 0. Since each person had only one kind of insurance, every admission had a value of 1 for only one of these five insurance variables.

There were four primary ethnicities designated in MIMIC-III: (1) White, (2) Black/African American, (3) Hispanic/Latino, and (4) Asian. Any ethnicity outside these four was placed in an "other" category. As before, each variable was given a value of 1 or 0, and each admission had a value of 1 for only one of the five ethnicity variables. With regards to marital status, there were five possible categories: (1) Married, (2) Single, (3) Divorced, (4) Widowed, or (5) Separated. Patients were classified under one of these binary variables or a sixth, "unknown marital status," variable.

Nine age bins were derived using guidelines provided by the National Cancer Institute's Surveillance, Epidemiology, and End Results Program (SEER) Database: (1) 49 and under, (2) 50-54, (3) 55-59, (4) 60-64, (5) 65- 69, (6) 70-74, (7) 75-79, (8) 80-84, and (9) 85 and older.²³

Comorbidity predictors were obtained from the third data set containing a series of comorbidities for each admission represented by a binary 1 or 0 variable. Extracted comorbidities were found in the Elixhauser and Charlson Comorbidity indices using previously created code and literature on which ICD-9-CM codes fell under each of these conditions.²⁴⁻²⁵ To investigate the correlation between these comorbidity indices and mortality, an age-adjusted Charlson comorbidity score²⁶⁻²⁷ and an Elixhauser comorbidity score²⁸ were calculated for each patient and included as predictive variables. These indices are a combination of comorbidities that can be used to predict mortality and a patient's level of morbidity.

The outcome variable was mortality during the ICU admission. Using the time of death variable, a "DEATH" indicator variable was created with a value of either 0 (if the death time was null, implying that the patient did not die during the admission), or 1 if the patient died. Some patients had multiple admissions to the ICU. For these patients, only the most recent admission was used, and a separate variable representing number of readmissions was created.

Statistical Analysis

Using the *GLM.jl* package (v0.6.1), univariate GLMs were fitted to measure the univariate significance of association between each of the predictors and mortality. Those with significant associations were then placed in a multivariate regression against mortality in order to determine which variables maintained a significant predictive association with mortality after taking into account their interactions with other variables.

After significant associations were determined through univariate binomial logistic regression models, multiple predictive models were developed to predict mortality. A multivariate binomial logistic regression model was created using the variables that were significantly associated with mortality through univariate logistic regression. Variables that did not improve the predictive strength of the model (as measured using AUROC) were removed.

The ability of machine learning to improve the predictive capacity of the model was then examined through two methods. First, using R^{29} and the *RCall.jl* package (v0.6.4), relative variable importance was calculated using Mean Gini decrease, 30 a tool chosen because it bridges machine learning and logistic regression. It utilizes random forests to create a predictive model and then derives the relative contribution of each feature in predicting the outcome. From this, the 25 features with greatest relative importance (additional variables did not improve the predictive strength of the model and were not included) were incorporated into a logistic model. Variables that did not improve the predictive strength of the model were removed. Second, using the *DecisionTree.jl* package (v0.5.1), a random forest model consisting of an ensemble of 500 trees was used. Trees were made using a random 70% selection of all training samples and 10 of the 65 possible features. Meta-parameters were selected using five-fold cross-validation. Trees were grown to a maximum depth of 10. The model then selected which trees had best classification accuracy.

Each of the chosen models was developed on a training set comprised of 70% of the total dataset; testing was then done on the remaining 30% of the dataset. Each prediction made by the models was initially given as a decimal value representing likelihood of mortality. If this likelihood fell below a given threshold, it was deemed to be a survival, and if it fell above that threshold, it was deemed a mortality. The threshold was varied from 0 to 1 at increments of 0.02 and calculated sensitivity and specificity of the predictions made by the model at each threshold. Using these sensitivities and specificities and the *AUC.jl* package (v0.1), an AUROC value for each model was calculated.

Results

MIMIC-III contained 1,198 admissions due to AECOPD. These admissions represented 943 unique subjects with an average of 0.27 readmissions per patient. Summary statistics on this population are shown in Table 1. Of the 467 males and 476 females admitted, 156 patients died.

Variable	Summary Statistics	Variable	Summary Statistics			
	$0-49:23(2.4\%)$ 50-54: 43 (4.6%) 55-59: 57 (6.0%) 60-64: 96 (10.2%)	Insurance Status	Medicare: 776 (82.3%) Private: 104 (11.0%) Medicaid: 48 (5.1%) Self-pay: 2 (0.2%)			
Age	$65-69:158(16.8\%)$ 70-74: 130 (13.8%) 75-79: 162 (17.2%) 80-84: 161 (17.1%) 85 and up: 113 (12.0%)	Ethnicity	White: 727 (77.1%) Black/African-American: 89 (9.4%) Hispanic/Latino: 18 (1.9%) Asian: 13 (1.4%) Other/Unknown: 96 (10.2%)			
Gender	Male: 467 (49.5%) Female: 476 (50.5%)		Married: 355 (37.6%) Divorced: 79 (8.4%)			
Charlson Comorbidity Index	$6.216 + - 2.654$	Marital Status	Single: 209 (22.2%) Widowed: 243 (25.8%)			
Elixhauser Comorbidity Index	$5.036 + (-1.968)$		Separated: $9(1\%)$ Unknown: 48 (5.1%)			
Number of Readmissions	$0.270 + -0.995$	Death	Lived: 787 (83.5%) Died: 156 (16.5%)			

Table 1. Summary statistics on patients admitted to the ICU with AECOPD

μ \cdots Variable	Coefficient P-value		Variable	Coefficient P-value	
Congestive Heart Failure	-0.2199	0.2183	Renal Disease	0.1637	0.4492
Arrhythmia	0.8	\leq 1e-5	Drug Abuse	-0.9227	0.1281
Valve Disorder	0.1503	0.5328	Dementia	-7.9501	0.8767
Pulmonary Circulation Disorder	-0.5449	0.0592	Number of Readmissions	0.027	0.7791
Peripheral Vascular Disease	0.1683	0.5255	Charlson Comorbidity Index	0.1486	\leq 1e-5
Hypertension	-0.3043	0.0928	Elixhauser Score	0.0613	0.1625
Hypertension with Complications	0.1811	0.4391	Insurance Status		
Paralysis	-0.3326	0.6615	Medicare	0.5825	0.0289
Other neurologic disorder	0.3049	0.2654	Private	-0.6833	0.0475
Diabetes	-0.3517	0.1081	Medicaid	-0.1569	0.7078
Diabetes with Complications	-0.3432	0.4403	Government	-0.8755	0.4016
Hypothyroidism	-0.3758	0.2248	Self Pay	-7.9501	0.8767
Renal Failure	0.1637	0.4492	Ethnicity		
Liver Disease	0.7848	0.0115	White	-0.0116	0.9556
Ulcer	-0.8754	0.4016	Black/AA	-0.3717	0.2658
AIDS	-8.955	0.8543	Hispanic/Latino	-1.2302	0.2315
Lymphoma	0.2361	0.7169	Asian	0.8219	0.1758
Metastases	0.8267	0.0102	Male	-0.0079	0.9643
Tumor	0.8035	0.0008	Marital Status		
Rheumatoid Arthritis + Collagen	0.0929	0.9837	Married	0.2973	0.0941
Vascular Disease					
Coagulopathy	0.9406	0.0002	Divorced	-0.1103	0.7354
Obesity	-0.7624	0.604	Single	-0.3627	0.111
Weight Loss	0.5243	0.1277	Widowed	-0.1737	0.4004
Fluid and Electrolyte Disorder	0.2425	0.1669	Separated	0.3696	0.6466
Blood Loss Anemia	-0.1784	0.7444	Age		
Deficiency Anemia	-0.6564	0.2182	$0 - 49$	-1.4943	0.1405
Alcohol Abse	-0.6876	0.1165	50-54	-1.0046	0.0964
Moderate/Severe Liver Disease	0.421	0.5258	55-59	-1.3236	0.0265
Psychoses	-1.416	0.0503	60-64	-0.4676	0.1605
Depression	-0.7696	0.015	65-69	-0.8204	0.0054
Myocardial Infarction	0.423	0.0374	$70 - 74$	0.3293	0.1637
Cerebrovascular Disease	0.3093	0.3094	75-79	0.1667	4574
Mild Liver Disease	0.7684	0.0161	80-84	0.6839	0.001
Hemiplegia or Paraplegia	-0.6906	0.5117	85 and up	0.4757	0.05

Table 2. Univariate GLM analysis of each of the independent predictors against mortality. Predictors with significant association ($p \le 0.0008$) are shown in red.

Results of univariate binomial logistic regression analysis of all the predictive variables against mortality is shown in Table 2. Note that in order to correct for the risk of Type-I error inflation that occurred because of the multiple testing, a Bonferroni correction was applied. The significance level of 0.05 was divided by the number of predictors, 64, to create a new significance level of 0.0008. Those with a significant association at this level, indicated in red, were then placed in a multivariate binomial logistic regression. Table 3 shows the result of this analysis. Arrhythmias, coagulopathy, and Charlson Comorbidity Index (CCI) were all significantly associated ($p < 0.05$) with mortality.

Table 3. Multivariate GLM analysis of all variables found to be significant in univariate analysis against mortality. Significant predictors ($p < 0.05$) are shown in red.

Variable	Coefficient	P-Value		
Arrhythmia	0.7015	0.0001		
Tumor	0.3402	0.2379		
Coagulopathy	0.8211	0.0018		
	0.1055	0.0044		

Table 4. Predictors included in the first and second predictive model.

Figure 1. ROC curves for the predictive models. Along with the three main models, a baseline linear curve and logistic models of each of the comorbidity indices are provided for comparison.

Figure 2. Results of Mean Gini Decrease analysis for Relative Feature Importance.

In the next phase of this study, predictive models were developed to predict mortality in patients admitted to the ICU with AECOPD. The first predictive model was a logistic regression model comprised of variables found to be significantly associated with mortality through univariate logistic regression. Rather than using the significance level of 0.0008 , $p < 0.05$ was chosen as the level of significance for initial inclusion of variables because the Bonferroni correction can be conservative and we did not want to fail to include any important predictors due to the conservative estimate. To improve the sensitivity and specificity of this model, the Elixhauser score was included and variables that decreased the predictive capacity of the model were removed. This resulted in the inclusion of the parameters shown in Table 4. By varying the threshold for accepting a prediction as indicative of mortality, the ROC curve shown in Figure 1 was created. The AUROC for this curve was 0.719, and notable sensitivity/specificity combinations included sensitivity of 68% and specificity of 65% at a threshold of 0.14, and sensitivity of 77% and specificity of 59% at a threshold of 0.12.

The results of the Mean Gini Decrease analysis are shown in Figure 2. The numerical values show the relative contribution of each variable compared to the highest contributor. Using a baseline contribution of 100 by CCI, which had the greatest relative contribution towards predicting mortality, the Elixhauser Score had a relative contribution of 83.1% that of the CCI. Arrhythmia had a relative contribution of 33.8% that of the CCI. After removal of any variables that did not improve the predictive capacity of the predictive model, a Mean Gini-derived logistic (MGDL) model was created using the parameters shown in Table 4. From this model, an ROC curve (Figure 1) with an AUROC of 0.778 was derived. Notable sensitivity/specificity combinations included sensitivity of 84% and specificity of 67% at a threshold of 0.14, and sensitivity of 64% and specificity of 73% at a threshold of 0.16.

Logistic regression models composed of just the comorbidity indices are provided for comparison (Figure 1). A logistic predictive model with just the CCI had an AUROC of 0.622; with only the Elixhauser, it had an AUROC of 0.540. The ROC curve generated by the random forest model (Figure 1) yielded an AUROC of 0.652. Notable sensitivity/specificity combinations included sensitivity of 64% and specificity of 56% at a threshold of 0.08 and sensitivity of 52% and specificity of 66.5% at a threshold of 0.10.

Discussion

Understanding which variables can contribute to mortality in patients admitted to the ICU with AECOPD may be used to inform the development of targeted public health measures and potentially enhance discussions around EOL care. In this study, three models that included comorbidities, comorbidity indices, and demographic factors were developed, of which the MGDL predictive model performed best. The univariate GLM-derived logistic model did not perform as well, which may be due to the way that the models were constructed. The MGDL model determined which features had the greatest relative contribution towards predicting mortality after taking into account all their interactions, which was not taken into account in univariate analysis. It should be noted, though, that both of these logistic predictive models outperformed logistic models of either comorbidity index alone (Figure 1).

Previous literature suggests that of the comorbidities contained in the CCI and Elixhauser Comorbidity Index, those most commonly associated with exacerbations of COPD are anxiety, depression, and cardiovascular disease.³³ Of these, only cardiovascular-related conditions had a high enough feature importance to be included independently in the MGDL model. Neurologic disorders and electrolyte disorders were included in the MGDL model, and coagulopathy was included in both the first and second model. While the connection between these and mortality due to AECOPD is interesting, conclusions cannot be drawn without further studies.

In addition to some of the variables that comprise them, the CCI and Elixhauser Comorbidity Index were included in the predictive models because both indices improved the predictive strengths of these models when included. In fact, in the MGDL model, increases in CCI had the largest impact on mortality. Increases in CCI scores have been correlated with worse outcomes in ICU patients as well as increasing age in the literature. One study described how univariate analysis of respiratory ICU patients in Beijing, China showed that CCI was correlated with a higher risk of death.³¹ This has been validated using retrospective claims data as well.³² Stavems *et al*. developed a model composed of CCI score, age, sex, and type of admission.³² Our data did not provide information on the type of admission, but a logistic regression model comprising sex and the age-adjusted CCI score on our dataset had an AUROC of 0.5669, suggesting that our model may be better suited for this set of patients. Though they improved the predictive strength of the MGDL model, the CCI and Elixhauser Comorbidity Index certainly do have limitations, as they may contain certain comorbidities not useful for AECOPD and lack some that are. Various modifications have been made to these indices for different health conditions³⁴⁻³⁵, and further modification may improve the predictive strength of the MGDL model.

With an AUROC of 0.778, the MGDL model performed well.³⁶ Duenk *et al*. used logistic regression to develop the Pro-Pal COPD tool to identify COPD patients in potential need of palliative care. Using demographic factors, questionnaire results, and comorbidities, their model performed very well, with an AUC of 0.82. As compared to the 155 patient sample used in the development of the Pro-Pal COPD tool, the MGDL model was developed on a larger sample of patients and does not require some of the questionnaire results used by the Pro-Pal COPD tool that might not be readily available in the EHR. Tabak *et al*. also developed a model to predict mortality in AECOPD patients using demographic factors, lab results, vitals, and comorbidities. Their model had an AUROC ranging from 0.83- 0.84 and was trained on a large cohort of nearly 70,000 patients.²⁰ In comparison to the Tabak model, though, the MGDL model does not require lab results or vital signs. The model can predict mortality from a person's medical history, information that can be obtained right when a patient enters the hospital.

Though developed on data from ICU patients, the MGDL model offers the opportunity to augment patient care in a variety of settings. The threshold in the MGDL model can be varied to leverage the model in different scenarios. At a threshold of 0.10, the model has a sensitivity of 96.4% and a specificity of 46.7%. Such a high sensitivity could be useful as a first-pass screening in the Emergency Department, where the goal is to minimize any missed severe cases. On the other hand, if the goal is to allocate a fixed number of resources to patients at the highest risk, then minimization of false positives is key. In this case, the threshold of the model could be raised to 0.18, creating a specificity of 81.5% and sensitivity of 57.1%. If a situation necessitated both good sensitivity and specificity, a threshold of 0.14 offers a sensitivity of 84% and specificity of 67%. At each of these thresholds, the model better predicts mortality than either the Elixhauser Score or CCI alone.

When discussing the performance of these different predictive models, it is important to keep in mind the end goal of a predictive model: *to improve patient care*. In order to do so, the results of any model will need to be incorporated into a decision support tool that can notify a provider if a patient is at a particularly high risk of dying. At this point, decision support tools in practice are dominated by basic "if this, then that" functions while logistic

regression models and even more complex models have yet to be incorporated broadly.³⁷ In incorporating these machine learning models, training time must be considered. Furthermore, one needs to consider the consequences of implementing a machine learning model versus a logistic regression based model. Previous work has shown that decision support tools are most effective when they provide advice or information to patients along with providers.³⁸ This could theoretically be problematic in certain machine learning models in which justification for a certain prediction or weighting of variables is not provided. With a logistic regression, variables are assigned weights; providers and patients could therefore be informed about specific risk factors that led to a prediction.

Future work will look to improve the predictive strength of this model. The MIMIC-III database provides an opportunity to study, on a larger scale, conditions commonly encountered in the ICU; however, it does have some limitations in terms of data availability. For example, smoking history, which is a known impactful comorbidity for AECOPD,³⁹ was not included because it was not immediately available as structured data in the MIMIC-III database. Incorporation of this element could be quite informative and next steps include using natural language processing techniques to extract smoking history from clinical notes.⁴⁰⁻⁴¹ Future work will also involve validating this model with other large patient samples (e.g., using data from other EHR systems and institutions).

Future analysis will continue to examine the importance of demographic factors. Many of the demographic factors examined in this study were not significant predictors of mortality. In particular, SES did not play a significant role in predicting mortality. Yet, SES has repeatedly been shown to play a role in health outcomes in various fields. It may be the case that insurance status is not an effective proxy for SES. However, if insurance is in fact an effective representation of SES, then perhaps there is a different explanation behind the lack of significance of SES. It may be the case that SES is related to a patient's development of COPD, but once the patient is admitted to the ICU, SES no longer plays a role in predicting mortality; instead, comorbidities and age become more important predictors. Future work will further explore this relationship by examining other representations of SES available in other databases.

In addition to demographic factors, future work will examine the impact of including in-hospital lab values to the MGDL model. The MGDL model offers significant utility in clinical settings where these values may not be readily available, but usually by the time a patient reaches the ICU, basic lab values have already been obtained. Given that these values have been included in several models, including the Tabak model, incorporating these values may increase the predictive strength of the MGDL model, making it more useful for the ICU setting.

Finally, previous models predicting mortality in AECOPD patients have primarily been developed using logistic regression.18,20 Mortality prediction for COPD patients have been developed using machine learning techniques such as Classification and Regression Tree (CART) analysis.¹¹ Therefore, logistic regression and random forests were chosen to develop the predictive models for this study. Random forests were chosen as the particular machine learning algorithm because they offered decreased training time and more manageable meta-parameters. Future work, though will compare other machine learning models to the logistic regression and random forest models used in this study. Support vector machines (SVM) have been used to analyze genes related to severity of COPD.⁴² Outside of COPD, though, other machine learning techniques have been used to predict mortality. Stylianou *et al*. used artificial neural networks (ANN) and naïve Bayes, in addition to random forests and SVM, to predict mortality after burn injury.⁴³ We have begun analysis with these models and will continue to explore them in the future.

Conclusion

Hospitalizations due to AECOPD account for significant healthcare costs; better predictions of mortality in ICU patients with AECOPD could reduce those costs and improve EOL care. Three models incorporating comorbidities, comorbidity indices, and demographic factors were developed to predict mortality in these patients. Of the three models, the MGDL model performed best with an AUROC of 0.778. In order to realize the maximum potential of predictive models, they must be implemented in care. The MGDL model offers the opportunity to enhance care in a variety of settings, and its threshold can be varied to provide the optimal sensitivity and specificity combination given the clinical setting. Future work will look to validate this model in other large patient samples, include more demographic factors, and perform analysis with additional machine learning models.

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