

# Personalized Prognostic Models for Oncology: A Machine Learning Approach

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## Abstract

We have applied a little-known data transformation to subsets of the Surveillance, Epidemiology, and End Results (SEER) publically available data of the National Cancer Institute (NCI) to make it suitable input to standard machine learning classifiers. This transformation properly treats the right-censored data in the SEER data and the resulting Random Forest and Multi-Layer Perceptron models predict full survival curves. Treating the 6, 12, and 60 months points of the resulting survival curves as 3 binary classifiers, the 18 resulting classifiers have AUC values ranging from .765 to .885. Further evidence that the models have generalized well from the training data is provided by the extremely high levels of agreement between the random forest and neural network models predictions on the 6, 12, and 60 month binary classifiers.

## Author Summary

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## Introduction

Opportunities are emerging in many industries today to develop and deploy services that cater to individual needs and preferences. Music aficionados can create their own radio stations from Pandora<sup>1</sup>, bibliophiles can receive book recommendations from goodreads.com<sup>2</sup>, and Google will provide directions between any two points, giving options such as mode of transportation and warnings of delays in realtime.<sup>3</sup> These

<sup>1</sup>Pandora Internet Radio - Listen to Free Music You'll Love, <http://www.pandora.com/> (accessed 27 Jan 2016)

<sup>2</sup>Share Book Recommendations With Your Friends, Join Book Clubs, Answer Trivia, <https://www.goodreads.com/> (accessed 27 Jan 2016)

<sup>3</sup>Google Maps, <https://goo.gl/1D7Jwf> (accessed 27 Jan 2016)

individualized services share many common features. In particular, they leverage large databases to learn and extract information relevant to individuals. A class of techniques that transforms data into actionable information goes by the name of Machine Learning [1]. Machine Learning has recently become a popular method to answer questions and solve problems that are too complex to solve via traditional methods.

The primary objective of this study is to show how machine learning methods can be trained to produce personalized survival prognosis curves. The methods presented below can be applied to any type of survival data. Traditionally, cancer survival curves have been estimated using Kaplan-Meier methods [2]. Kaplan-Meier methodology also uses large datasets to make predictions, but the resulting curves are summaries for a population and not necessarily relevant or particularly accurate for any given individual. This property of Kaplan-Meier methods is exacerbated when dealing with heterogeneous populations. The methods presented in this report generate personalized survival curves relevant to individual patients. This objective is aligned with Predictive, Preventive and Personalized Medicine (PPPM), which aims to leverage increasing amounts of health data to maximize quality of care and to eliminate inefficient use of resources [?]. This capability to provide individualized survival curve prognosis is a direct result of the recent advances in computing power and machine learning algorithms, and similar methodology is becoming commonplace in many industries. These techniques are now infiltrating the healthcare industry.

The Surveillance, Epidemiology, and End Results (SEER) Program of the National Cancer Institute (NCI) has been collecting data because intuitively researchers feel confident that this data will eventually allow researchers to detect information crucial to patients and providers including the relationships between the types of data collected (demographic as well as staging information, treatment and disease characteristics) and the survival outcomes. Though these relationships evade capture by traditional methods, it is possible to surface them with two machine learning techniques known as *Random Forests* and *Neural Networks*. As will be demonstrated in section , these two methods produce very similar results when applied to the SEER dataset, and are based on almost diametrically opposed learning philosophies, which lends confidence in the validity of the results.

The Surveillance, Epidemiology, and End Results (SEER) Program of the National Cancer Institute (NCI) is the most recognized authoritative source of information on cancer incidence and survival in the United States. SEER currently collects and publishes cancer incidence and survival data from population-based cancer registries covering approximately 28 percent of the US population.

Quoting directly from the SEER website [3]:

The SEER program registries routinely collect data on patient demographics, primary tumor site, tumor morphology and stage at diagnosis, first course of treatment, and follow-up for vital status. This program is the only comprehensive source of population-based information in the United States that includes stage of cancer at the time of diagnosis and patient survival data. The mortality data reported by SEER are provided by the National Center for Health Statistics. The population data used in calculating cancer rates is obtained periodically from the Census Bureau. Updated annually and provided as a public service in print and electronic formats, SEER data are used by thousands of researchers, clinicians, public health officials, legislators, policymakers, community groups, and the public.

One characteristic of the SEER data that is shared by many datasets in the medical field goes by the name of "censored data." Observations are labeled censored when the survival time information is incomplete. The SEER data contains the number of months

each patient survived, as well as an indicator variable showing whether or not the patient is still alive at the end of the data collection period. Methods to deal effectively with this kind of "right-censored data" include Kaplan-Meier curves and Cox Proportional Hazard models [2]. The Kaplan-Meier techniques only give estimates for cohorts of patients and are not applicable for predicting the survival curve for a single patient, and the Cox Proportional Hazard models require a fairly restrictive set of assumptions to be satisfied in order to yield reliable results.

Previous work applying machine learning methods to subsets of the SEER data include creative attempts to deal with the problems presented by "right-censored data." Shin et al. [?] use semi-supervised learning techniques to predict 5 year survival, essentially imputing values for SEER records where the survival months information is censored at a value less than 5 years. Zolbanin et al. [?] investigate the effects of comorbidities; i.e., patients with two different cancer diagnoses, but their treatment of the censored data underestimates the survival probabilities. All records representing patients who survived at least 60 months as well as all those who died earlier than 60 months were considered, but patients alive prior to 60 months but censored out of the study before 60 months were not included. This treatment biases the data and the predictions, leading to overly pessimistic survival probabilities predicted by the models.

Previous work applying machine learning methods based on decision trees to survival data in general have a long history, starting with Gordon et al. [4]. A summary of more recent developments concerning *survival trees* is provided by Bou-Hamad et al. [5]. These methods focus on altering the splitting criteria used in decision tree growth to account for the censoring, and use 1958 Kaplan-Meier methods at the resulting nodes for prediction purposes. These methods do not generalize to non-tree-based machine learning algorithms, though Ishwaran et al. have extended the methodology to *random survival forests*, ensembles of *survival trees* [?].

IOBS has applied a little-known technique to transform the SEER data to make it amenable to more powerful machine learning methods. Instead of modifying existing learning algorithms in drastic ways, we focus attention on the input data. This approach allows for different machine learning algorithms to use the same data with no modification. The essential idea is to recast the problem to an appropriate discrete classification problem instead of a regression problem (predicting survival months). Treating months after diagnosis as just another discrete feature, the SEER data (or any other right-censored data) can be transformed to make predictions for the hazard function (probability of dying in the next month, given that the patient has not yet died). The full survival function can then be derived from the hazard function.

This paper is organized as follows. We introduce the subsets of the SEER data used for this study, and present survival curves computed from traditional methods based on this data for the three cancer types *lung*, *breast*, and *colon*. We then present the essential methodology of this work, the data transformation that allows censored survival data to be used as input to existing machine learning classifiers. Then we present the details of the trained models, including some subtleties arising from the data transformation pertaining to the partition into training and test datasets. The method of deriving binary classifiers from the models' predictions for the survival curves is presented. In this paper, we have constructed binary classifiers corresponding to 6, 12, and 60 months, as these are standard metrics in cancer survival prognosis. Then follows a discussion of the evaluation of the trained models. The performance metrics are the 18 AUC curves associated with the 6, 12, and 60 month survival binary classifiers for the two models associated with each cancer type. We also present additional evidence supporting validity of the predictions by computing the levels of agreement between the random forest and neural network models for each of the 18 binary classifiers and find striking agreement. Next we provide urls for 6 web applications that use the trained

models to predict individual cancer survival prognosis curves. These apps are hosted on the popular Heroku website, and allow for exploration of the nonlinear relationships between the input features and resulting survival prognosis. It is exactly these kinds of tools that are the goal of Predictive, Preventive and Personalized Medicine. Finally, we present avenues for future research.

## Materials and Methods

For this study we use the publically available 1973-2012 SEER incidence data files corresponding to colon, breast and lung cancer contained in the list below. SEER requires that researchers submit a request for the data, which includes an agreement form. Detailed documentation explaining the contents of both the incidence data files used in this study as well as a data dictionary for the 1973-2012 SEER incidence data files are available without the need to register or submit a data request [?].

- incidence\yr1973.2012.seer9\COLRECT.txt
- incidence\yr1973.2012.seer9\BREAST.txt
- incidence\yr1973.2012.seer9\RESPIR.txt
- incidence\yr1992.2012.sj\_la\_rg\_ak\COLRECT.txt
- incidence\yr1992.2012.sj\_la\_rg\_ak\BREAST.txt
- incidence\yr1992.2012.sj\_la\_rg\_ak\RESPIR.txt
- incidence\yr2000.2012.ca\_ky\_lo\_nj\_ga\COLRECT.txt
- incidence\yr2000.2012.ca\_ky\_lo\_nj\_ga\BREAST.txt
- incidence\yr2000.2012.ca\_ky\_lo\_nj\_ga\RESPIR.txt
- incidence\yr2005.lo\_2nd\_half\COLRECT.txt
- incidence\yr2005.lo\_2nd\_half\BREAST.txt
- incidence\yr2005.lo\_2nd\_half\RESPIR.txt

## Data preparation and preprocessing

A great deal of data munging is necessary before using these SEER incidence files as input into machine learning algorithms. A preprocessing step common to each of the three cancer types studied involves the SEER STATE-COUNTY RECODE variable. The STATE-COUNTY RECODE field is a state-county combination where the first two characters represent the state FIPS code and the last three digits represent the FIPS county code. The FIPS code is a five-digit Federal Information Processing Standard (FIPS) code which uniquely identifies counties and county equivalents in the United States, certain U.S. possessions, and certain freely associated states. This particular field illustrates an important characteristic of machine learning, that is, the difference between *categorical features* and *numeric features*. All input into a machine learning algorithm must be numeric, but real numbers carry with them the usually extremely useful property known as the well-ordering property. Machine learning algorithms use the well-ordering property of the real numbers to learn. But if one is tasked with encoding a categorical feature into suitable numeric format for machine learning, it is necessary to do so in a way that removes the well-ordering property [6].

As a simple example of how to correctly treat categorical variables in a machine learning context, consider the SEER variable SEX. This variable is encoded in the SEER raw data files with a numeric 1 for males and a numeric 2 for females as shown in Table (1). Values such as "Male" and "Female" encoded as numbers are dangerous because if not handled properly, they can generate bogus results [7]. Leaving the information for SEX as in Table (1) implies that Female is somehow greater than Male. This implied ordering affects the machine learning algorithms' convergence on a model.

Code	Description
1	Male
2	Female

**Table 1.** Encoding of gender in the SEER incidence files. These types of categorical variables need to be transformed via one-hot-encoding.

Simply encoding Male by 2 and Female by 1 would result in a completely different model, because of the now completely reversed ordering implied in the `SEX` variable. The proper way to transform the SEER `SEX` variable is to create two additional variables: `sex_Male` and `sex_Female`, and then to eliminate the variables `SEX` and `sex_Male` (keeping both of the variables `sex_Male` and `sex_Female` is a redundant representation). For example,

$$\begin{array}{|c|} \hline \text{Sex} \\ \hline 1 \\ \hline \end{array} \rightarrow \begin{array}{|c|c|} \hline \text{sex\_Male} & \text{sex\_Female} \\ \hline 1 & 0 \\ \hline \end{array} \rightarrow \begin{array}{|c|} \hline \text{sex\_Female} \\ \hline 0 \\ \hline \end{array} \quad (1)$$

and

$$\begin{array}{|c|} \hline \text{Sex} \\ \hline 2 \\ \hline \end{array} \rightarrow \begin{array}{|c|c|} \hline \text{sex\_Male} & \text{sex\_Female} \\ \hline 0 & 1 \\ \hline \end{array} \rightarrow \begin{array}{|c|} \hline \text{sex\_Female} \\ \hline 1 \\ \hline \end{array} \quad (2)$$

The procedure outlined in Equations (1, 2) is known as one-hot encoding and needs to be applied to all of the nominal categorical variables in the SEER data that we wish to include in our predictive models. In particular, in order to include the geographical information contained in the SEER categorical variable `STATE-COUNTY RECODE`, it becomes necessary to create a new feature variable for each of the distinct (state,county) pairs in the data. In the United States, there are approximately 3,000 counties. Clearly, transforming the `STATE-COUNTY RECODE` data representation into distinct (state,county) columns will explode the dataset to become wider than is optimal for machine learning. Adding extra columns to your dataset, making it wider, requires more data rows (making it taller) in order for machine learning algorithms to effectively learn [6]. Because one-hot coding `STATE-COUNTY RECODE` would cause such drastic shape changes in our data, we wish to avoid doing so. Fortunately, this variable, though given as a categorical variable, is actually a recode for three ordinal variables. There is an ordering among the (state,county) columns, namely longitude, latitude, and elevation. We can transform the data in `STATE-COUNTY RECODE` into three new numerical columns: `lat`, `lng`, and `elevation`.

For example, Table (2) shows how five entries of `STATE-COUNTY RECODE` corresponding to counties within New Mexico can be represented by the `elevation`, `lat`, and `lng` features.

**Table 2.** Example of the transformation of `STATE-COUNTY RECODE` to `elevation`, `lat`, and `lng`.

STATE-COUNTY RECODE	address	elevation	lat	lng
35001	Bernalillo+county+NM	5207.579772	35.017785	-106.629130
35003	Catron+county+NM	8089.242628	34.151517	-108.427605
35005	Chaves+county+NM	3559.931671	33.475739	-104.472330
35006	Cibola+county+NM	6443.415570	35.094756	-107.858387
35007	Colfax+county+NM	6147.749089	36.579976	-104.472330

It is a simple exercise to construct the full lookup table from the SEER STATE-COUNTY RECODE variable to the corresponding three values `elevation`, `lat`, and `lng`. We use the publically available datafile from the United States Census Bureau [?] to map the state FIPS and county FIPS codes to query strings like those in the `address` field in Table (2). It is then possible to programmatically query the Google Maps Geocoding API for the latitude and longitude [?], and the Google Maps Elevation API for the corresponding elevation [?]. An added benefit of this shift from the single categorical variable `STATE-COUNTY RECODE` to the three continuous numerical variables `lat`, `lng`, and `elevation` is that input into the web applications described later are not restricted to the states and counties covered in the SEER registries; in fact, the input to the models can be any address you would enter into Google Maps and calls to the Google Maps Geocoding API and the Google Maps Elevation API provide the conversion from the address string to the input variables `lat`, `lng`, and `elevation`. The full lookup table analogous to Table (2) is available from a GitHub repository containing supplemental information for this study [?].

This study focused on three different cancer types, namely colorectal cancer, lung cancer, and breast cancer. In the SEER data, there are instances of subjects with multiple rows; whenever a subject, or patient, is diagnosed with a new tumor, an additional record is added. In this study, we restrict attention to the data corresponding to the first record of each subject; i.e., we wish to make models that predict survival prognosis based on the data available right after diagnosis. The full set of conditions defining the subsets of the SEER data used in this study follows below.

The four COLRECT.txt files were imported into a pandas DataFrame object. This data was then filtered according to the conditions in Table (3). The RESPIR.txt and BREAST.txt files were imported into separate dataframes in similar fashion and filtered according to the conditions in Table (4) and Table (5), respectively. The SEER variable `CS TUMOR SIZE` records the tumor size in millimeters if known. But if not known, `CS TUMOR SIZE` is given as '999', to indicate that the tumor size is "Unknown; size not stated; not stated in pateint record." In this study, we discard those records, as indicated in Tables (5, 3, 4).

**Table 3. Filters applied to the Colon Cancer data.**

Column	Filter
SEQUENCE NUMBER-CENTRAL	$\neq$ "Unspecified"
AGE AT DIAGNOSIS	$\neq$ "Unknown age"
BIRTHDATE-YEAR	$\neq$ "Unknown year of birth"
YEAR OF DIAGNOSIS	$\geq 2004$
SURVIVAL MONTHS FLAG	$= 1$
CS TUMOR SIZE EXT/EVAL	$\neq$ ""
CS TUMOR SIZE	$\neq 999$
SEER RECORD NUMBER	$= 1$
PRIMARY SITE	$=$ "LARGE INTESTINE, (EXCL. APPENDIX)"
SEQUENCE NUMBER-CENTRAL	$= 0$

The following categorical features were one-hot encoded for each of the three datasets:

- SEX ,
- MARITAL STATUS AT DX ,

Table 4. Filters applied to the Lung Cancer data.

Column	Filter
SEQUENCE NUMBER-CENTRAL	≠ "Unspecified"
AGE AT DIAGNOSIS	≠ "Unknown age"
BIRTHDATE-YEAR	≠ "Unknown year of birth"
YEAR OF DIAGNOSIS	≥ 2004
SURVIVAL MONTHS FLAG	= "1"
CS TUMOR SIZE EXT/EVAL	≠ ""
CS TUMOR SIZE	≠ 999
SEER RECORD NUMBER	= 1
PRIMARY SITE	= "LUNG & BRONCHUS"
SEQUENCE NUMBER-CENTRAL	= 0

Table 5. Filters applied to the Breast Cancer data.

Column	Filter
SEQUENCE NUMBER-CENTRAL	≠ "Unspecified"
AGE AT DIAGNOSIS	≠ "Unknown age"
BIRTHDATE-YEAR	≠ "Unknown year of birth"
YEAR OF DIAGNOSIS	≥ 2004
SURVIVAL MONTHS FLAG	= "1"
CS TUMOR SIZE EXT/EVAL	≠ " "
CS TUMOR SIZE	≠ 999
SEER RECORD NUMBER	= 1
SEQUENCE NUMBER-CENTRAL	= 0

- RACE/ETHNICITY , 217
  - SPANISH/HISPANIC ORIGIN , 218
  - GRADE , 219
  - PRIMARY SITE , 220
  - LATERALITY , 221
  - SEER HISTORIC STAGE A , 222
  - HISTOLOGY RECODE--BROAD GROUPINGS , 223
  - MONTH OF DIAGNOSIS , 224
  - VITAL STATUS RECODE , 225

and the STATE-COUNTY RECODE variable was dropped and replaced with the elevation , lat , and lng variables for all three datasets as illustrated in Table (2).

Before applying machine learning models trained with these datasets, we review below the salient features of survival analysis and censored data. We then describe in detail a method that takes full advantage of all the data, including the right-censored data, and which involves a simple and intuitive transformation, culminating in the full set of features and target variable listed in the back of this report.



## Traditional Survival Analysis

Survival analysis pertains to data containing survival times, which are *intervals* between certain kinds of events, e.g.; cancer diagnosis date and expiry date. These intervals are often affected by a kind of "partial missingness" called *censoring*. Censored data must be analyzed in a special way to avoid biased estimates and bogus conclusions. Special methods have been developed long ago to analyze censored data properly.

With survival data, including the SEER data considered in this study, you may not know the exact time of death for some subjects. Some of the SEER subjects are still alive at the the time of the latest SEER data release. When the **VITAL STATUS RECODE** variable indicates that the subject is still alive, the **SURVIVAL MONTHS** variable is only a lower bound on the true number of survival months; this is called the *date of last contact* mode of censoring. You know that each subject either died on a certain date or was definitely alive up to some last-seen date (and you don't know how far beyond that date he or she may ultimately have lived). The latter situation is called a *censored* observation.

Statisticians have developed some traditional techniques to utilize the partial information contained in censored observations: the life-table method and the Kaplan-Meier method. Both of these methods make use of the partial information to provide unbiased estimates of the two fundamental concepts: - *hazard* and *survival*, both of which are functions of time:

- **The hazard rate**  $\lambda(t)$  is the probability of dying in the next small interval of time, assuming that the subject is alive right now.
- **The survival rate**  $S(t)$  is the probability of living for a certain amount of time after some starting point.

Incorrect treatment of survival data still seen in practice, and leading to biased results, includes simply excluding all subjects with a censored survival time from any survival analysis, and *imputing* (replacing) the censored (last-seen) date with some reasonable value. Both of these techniques destroy the partial information contained in the censored observations and nullify the validity of the resulting estimates for the hazard rate and survival rate [2].

In 1958, Edward L. Kaplan and Paul Meier collaborated to publish the seminal paper on how to estimate the hazard and survival rates for data containing censored observations [8]. The method is straightforward and for small datasets can be performed by hand. As an example, consider the survival data shown in Table (6). In the Kaplan-Meier calculation of the survival curve, the first step is to sort the subjects in Table (6) labeled 0 through 9 by *Survival Time* in ascending order. This process results in the first two columns (*Censored Status*, and *Survival Times*) in Table (7). The *At Risk* column decreases by one for each row; in every row a subject has either been censored out of the study or has died. The hazard rate is then computed for each value of *Survival Time* (necessarily a discrete function because the number of subjects is countable), by dividing the value in *Censored Status* by the value in *At Risk*. The hazard function is shown in the *Hazard Function* column in Table (7). It is then straightforward to calculate the survival function; 1 - hazard function represents the probability of not dying in the next interval of time, assuming that the subject has survived up until now and is represented by column *Prob of Surv*. The cumulative survival probability can then be obtained by successively multiplying all these individual time-slice probabilities together. In order to survive 2.4 years, first the subject has to survive .5 years, then survive .75 years, 2.3 years and 2.4 years. The probability of surviving 2.4 years is then the product of these 3 probabilities and is given as .666 in Table(7) in the *Survival Function* column. The Kaplan-Meier survival estimate corresponding to the data given in Table (6) is shown in Table (7).



Table 6. Example data to illustate traditional Survival Analysis.

	Survival Time (Years)	Censored Status
0	0.75	1
1	6.10	1
2	7.00	0
3	2.40	1
4	0.50	0
5	4.50	1
6	3.50	0
7	5.80	0
8	2.30	1
9	5.20	1

Table 7. Kaplan-Meier table corresponding to the example data in Table (6).

	Censored Status	Survival Time	At Risk	Hazard Function	Prob of Surv	Survival Function
4	0	0.50	10	0.000000	1.000000	1.000000
0	1	0.75	9	0.111111	0.888889	0.888889
8	1	2.30	8	0.125000	0.875000	0.777778
3	1	2.40	7	0.142857	0.857143	0.666667
6	0	3.50	6	0.000000	1.000000	0.666667
5	1	4.50	5	0.200000	0.800000	0.533333
9	1	5.20	4	0.250000	0.750000	0.400000
7	0	5.80	3	0.000000	1.000000	0.400000
1	1	6.10	2	0.500000	0.500000	0.200000
2	0	7.00	1	0.000000	1.000000	0.200000

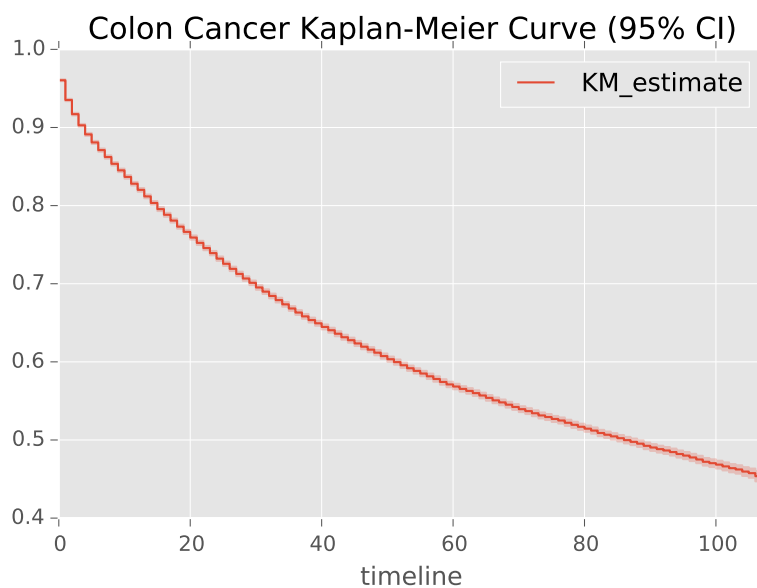
After the above one-hot encoding procedure, the new variable `vital.status_recode_Dead` indicates that the patient is deceased if this variable = 1, or else that the patient's record is right-censored if this variable = 0.

`SURVIVAL MONTHS` and `vital.status_recode_Dead` are all that is needed to construct the Kaplan-Meier estimates for the SEER datasets. The Kaplan-Meier estimates of the survival curves for colon (Figure (1)), lung (Figure (3)), and breast cancer (Figure (2)) are constructed from the full population of cancer patients in the respective datasets. An unsatisfactory feature of these curves is that these estimates are based on populations and data with enough heterogeneity to make them not very meaningful to an indivual. Patients with very disparate characteristics are given the same prognosis by these Kaplan-Meier survival curve estimates. Therefore it is desirable to find robust predictors for survival curves of individual subjects where the input is an individual record as opposed to a population. We present below the data transformation that allows for machine learning to be applied to censored data.

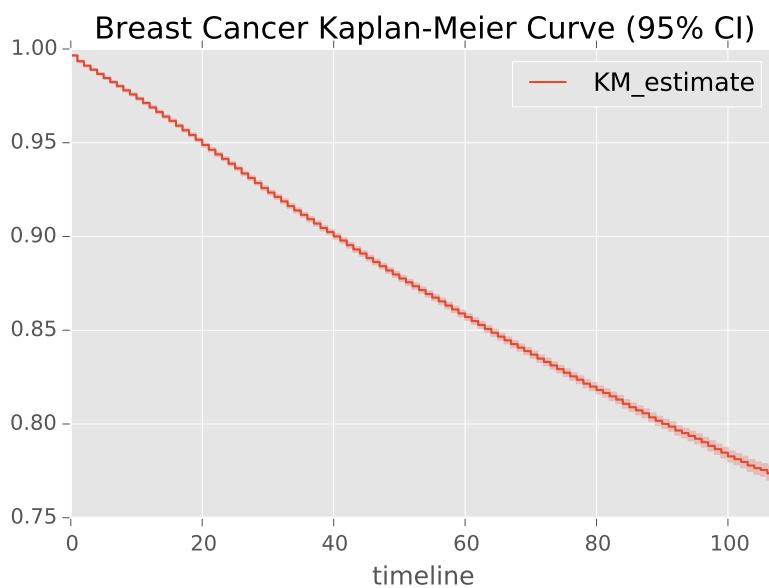
## Transformation of Censored Data for Machine Learning

In this section we describe an inuitive way to transform right-censored data appropriately so that it may be used as input to machine learning algorithms that learn the hazard fuction. The full details of this transformation, and a large inspiration for this study, can be flound in this blog post [?].

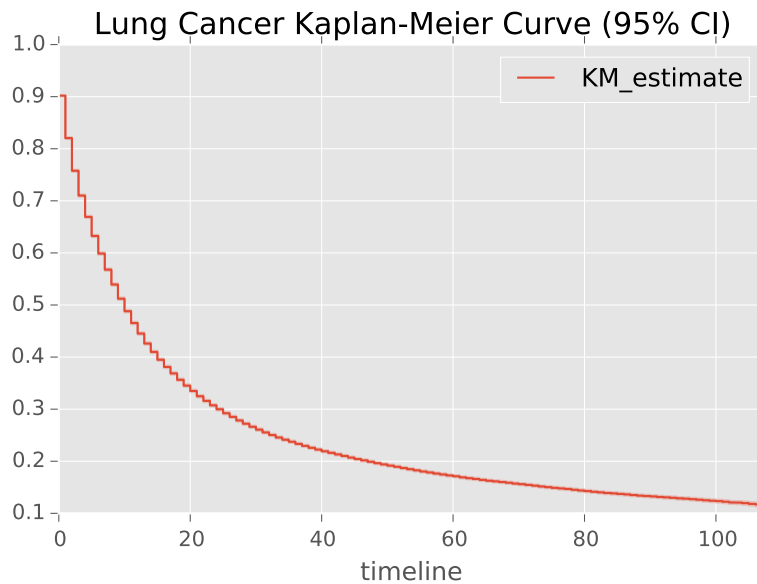
The overall philosophy of the Kaplan-Meier estimate of the survival curve for a population differs fundamentally from the methods described below and used in this



**Figure 1.** Traditional Kaplan-Meier estimate of the survival curve for all colon cancer patients. Fitted with 113072 observations, 71804 censored.



**Figure 2.** Traditional Kaplan-Meier estimate of the survival curve for all breast cancer patients. Fitted with 329949 observations, 292279 censored.



**Figure 3.** Traditional Kaplan-Meier estimate of the survival curve for all lung cancer patients. Fitted with 177089 observatins, 47409 censored.

study. The Kaplan-Meier estimate of the survival curve is given by

$$\hat{S}(t) = \prod_{t_i < t} \frac{n_i - d_i}{n_i} \quad (3)$$

where  $d_i$  are the number of death events at time  $t$  and  $n_t$  is the number of subjects at risk of death just prior to time  $t$ . Equation (3) uses the entire data set to arrive at an estimate of the entire population survival curve. In contrast, the method described below uses the entire data set to learn a model so as to predict hazard and survival curves from the data for as yet unseen individuals.

The key observation is to note that the hazard function can be directly learned via standard machine learning methods. It can be rewritten as

$$\lambda(\mathbf{X}, t) = P(Y = t | Y \geq t, \mathbf{X}), \quad (4)$$

the probability that, if someone has survived up until month  $t$ , they will die in that month. where  $\mathbf{X}$  represents all of the data for that particular record, and in our case  $Y$  represents the true, uncensored number of survival months of the patient. What is actually provided in the SEER data is the related variable **SURVIVAL MONTHS**  $T$  (how long each subject was in the study), and whether they exited by dying or being censored ( $D$ ), **VITAL STATUS RECODE**.  $D$  is a Boolean variable, so  $D = 1$  if  $T = Y$ , and  $D = 0$  if  $T < Y$ .

It follows directly from equation 4 that

$$P(Y = t | \mathbf{X}) = \lambda(\mathbf{X}, t) \prod_{i=1}^{t-1} (1 - \lambda(\mathbf{X}, i)) \quad (5)$$

, which is the full probability distribution of dying at time  $Y$  [?]. The survival function is then readily derived from this distribution as

$$S(\mathbf{X}, t_k) = 1 - CDF(\mathbf{X}, t_k) \quad (6)$$

where  $CDF(\mathbf{X}, t_k) = \sum_{k=1}^n P(Y = t_k | \mathbf{X})$  is the cumulative density function corresponding to the probability mass function in equation 5 [7].

Treating  $T$  as just another covariate is the key to the transformation. Each datapoint in the hidden classification problem is the combination of an  $\mathbf{X}_i$  in the original dataset plus some month  $t$ , and the classification problem is "did point  $\mathbf{X}_i$  die in month  $t$ ." We will call this new variable  $D_{it}$  (`newtarget`). We can transform our original data set into a new one, with one row for each month that each  $\mathbf{X}_i$  is in the sample; train a standard classifier on this new dataset with  $D_{it}$  as the target, and derive a survival model from the original dataset. Psuedocode for this transformation is found in section Pseudocode for the Data Transformation.

Explicit examples will help make this transformation clear. The untransformed datapoint represented Table (8) is transformed to the multiple records shown in Table (10). All uncensored data is transformed in this way. All censored data is similarly transformed. The untransformed datapoint represented Table (9) is transformed to the multiple records shown in Table (11).

**Table 8. Example of four columns in an uncensored record in the untransformed dataset.**

	cs_tumor_size	year_of_birth	survival_months	vital_status_recode_Death
newindex				
205	60	1951	3	1

**Table 9. Example of four columns in a censored record in the untransformed dataset.**

	cs_tumor_size	year_of_birth	survival_months	vital_status_recode_Death
newindex				
205	40	1950	3	0

**Table 10. Example of four columns in an uncensored record in the transformed dataset.**

	cs_tumor_size	year_of_birth	month	newtarget
newindex				
205	60	1951	0	0
205	60	1951	1	0
205	60	1951	2	0
205	60	1951	3	1

One obvious side effect of this transformation is that it explodes the length of the dataset. For this study, the original, untransformed colon cancer DataFrame has shape (113072, 103), and the total transformed colon cancer DataFrame has shape (4165251, 103). Similarly, the original, untransformed lung cancer DataFrame has shape (177089, 115), and the total transformed lung cancer DataFrame has shape (3079931, 115). The biggest explosion in dataset size occurred with the breast cancer data, which is a consequence of the relatively high survival rates in breast cancer. A subject who is censored with a recorded survival months of 48 will contribute an extra 48 rows to the transformed dataset. The original, untransformed breast cancer DataFrame has shape (329949, 67), and the total transformed breast cancer DataFrame has shape (15085711, 67). Training machine learning algorithms on such large datasets, even after splitting into training and testing sets described below, require large RAM.

Table 11. Example of four columns in a censored record in the transformed dataset.

	cs_tumor_size	year_of_birth	month	newtarget
newindex				
205	40	1950	0	0
205	40	1950	1	0
205	40	1950	2	0
205	40	1950	3	0

All computations for this study were performed on a Dell XPS 8700 Desktop with 32GB of RAM.

### Training and Test Partitions

After performing the data transformation adumbrated above, it is necessary to be mindful of how we partition the data into training and testing data. Each subject that was represented by a single row in the original untransformed dataset now potentially is represented by multiple rows in the transformed dataset, and care must be taken to ensure that all of the rows corresponding to a particular subject are either assigned exclusively to the training set or exclusive to the testing set. An additional characteristic of this transformed data that requires careful treatment involves balancing. The transformation results in many new records with the target variable `newtarget == 0`. The training and test sets must be chosen such that the ratio of the number of records with `newtarget == 0` to that of the number of records with `newtarget == 1` is the same in the training and test datasets. This ratio turns out to be  $\approx 396$  for the breast cancer data,  $\approx 99$  for the colon cancer data, and  $\approx 22.75$  for the lung cancer data. The shapes of the training and testing datasets for breast cancer used in this study are (14936862, 67) and (148849, 67), respectively. For lung cancer, the corresponding datasets have shapes (2988768, 115) and (91163, 115). Finally, for colon cancer the partition into training and test datasets of the transformed data have the shapes (3958008, 103) and (207243, 103). Multiple rows correspond to the same test patient in these datasets. The colon cancer test dataset represents 5654 distinct subjects; the breast cancer test dataset represents 3300 distinct subjects; and the lung test dataset contains data for 5313 distinct subjects.

The models described below are trained to learn the values of `newtarget`, which is a binary variable: a value of '0' indicating that the subject is still alive at the given month, while a value of '1' indicates that the patient died at that particular value of `months`. The random forests and neural networks described below are binary classifiers with the target `newtarget`. Fortunately, both the random forests and neural networks are capable of not only performing strict class prediction, i.e. predicting whether `newtarget` is '0' or '1', but are also able to predict the *probability* of `newtarget` being '0' or '1', and thus learning the hazard function.

Finally, we emphasize the crucial point that the features `survival_months` and `vital_status_recode_Death` are dropped from both the training and testing data, and are replaced with the features `months` and `newtarget`, as illustrated in Tables (8, 9, 10, 11). The information of which subjects represent censored data (`vital_status_recode_Death == 0`) and which died is retained and recoverable through the `newindex` variable and is needed for proper evaluation of the performance metrics; when evaluating AUC curves for the 6, 12, and 60 month binary classifiers, we need to limit the test data to those subjects that we know definitively whether or not they

survived 6, 12 or 60 months respectively. This requirement will necessitate the elimination of some of the censored data when computing some of the performance metrics. We introduce the two machine learning algorithms used in this study below, chosen because of their high performance in machine learning competitions and their complementary methods, so that their mutual agreement shown below on the test datasets can be taken as indication that they are actually learning useful information.

Random Forests are made up of an ensemble of independent **Decision trees** that are purposefully exposed to only subsets of the data. The general philosophy is presented in the popular science book "The Wisdom of Crowds" [?]. The idea is that a large number of independent non-expert opinions converge on the correct answer when averaged. The success of this philosophy of prediction was startlingly shown by the success of the political and world event predictions made by the prediction market site Intrade, before its forced closure by the Commodity Futures Trading Commission [?]. The other class of methods used by IOBS to develop predictive models are called neural networks, and are modelled on how the human brain learns high level concepts from lower level ones. As opposed to the crowd-based wisdom of a random forest, a neural network is analogous to a seasoned expert. A Neural network learns from repeated exposure to the training data and improves its predictions with each pass over the data. The general philosophy is similar to that represented by the well-known maxim that it takes 10,000 hours to become an expert in any given field [?].

## Prediction Models

With the datasets transformed as described above, we are now able to use them to train and evaluate machine learning classifiers. The classifier models described in this section are learning the hazard function: given all of the data given in the Supporting Information section for each cancer type and includes the field `months` (the months after diagnosis), the models predict the target variable `newtarget`, which is a binary class label equal to 1 if the subject died in that month and 0 otherwise. Fortunately, both random forests and neural networks are capable of not only performing strict class prediction, i.e. predicting whether `newtarget` is 0 or 1, but are also able to predict the *probability* of `newtarget` being 0 or 1, and thus learning the hazard function. The models learn  $\lambda(\mathbf{X}, \text{months})$ . This prediction task should not be confused with the regression problem of trying to predict precisely in what month a patient will die.

The hazard functions thus learned and predicted are intermediary products; what we are really pursuing are the survival functions for each patient that are derived from the predicted hazard functions. From the resulting hazard functions for each unique patient, we can construct the resulting survival functions as presented in section () and Equation (??) and explicitly given in python code in the notebooks at the github repository containing supplemental material for this study [?]. For each subject  $i$ , all input data minus `months` and `newtarget` is represented by  $\mathbf{X}_i$ . After the classifier models have trained with target `newtarget` on the (very large) training set, each subject's survival function is computed in the corresponding (much smaller) test set. These functions are computed by using the model to predict  $\lambda(\mathbf{X}_i, t_j)$  for  $j$  running from 0 to 107 months, and  $\mathbf{X}_i$  corresponds to the single row corresponding to subject  $i$  in the original untransformed dataset. 107 months was the maximum value of survival months in all three of the cancer datasets, and is a consequence of the data subsets chosen for this study.

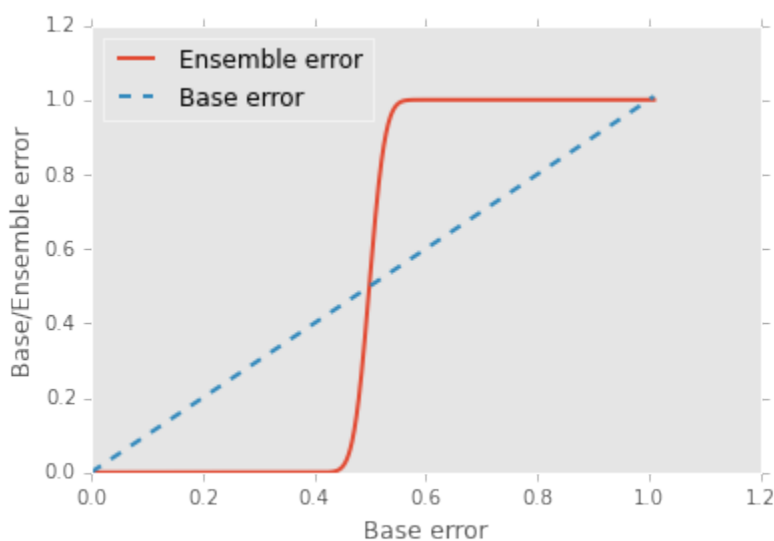
**Decision Trees and Random Forests** *Decision tree* classifiers are attractive models because they can be interpreted easily. Like the name decision tree suggests, we

can think of this model as breaking down our data by making decisions based on asking a series of questions. Based on the features in our training set, the decision tree model learns a series of questions to infer the class labels of the samples.

*Random forests* have gained huge popularity in applications of machine learning during the last decade due to their good classification performance, scalability, and ease of use. Intuitively, a random forest can be considered as an *ensemble of decision trees*. The idea behind ensemble learning is to combine *weak learners* to build a more robust model, a *strong learner*, that has a better generalization error and is less susceptible to overfitting.

The goal behind *ensemble methods* is to combine different classifiers into a meta-classifier that has a better generalization performance than each individual classifier alone. For example, assuming that we collected predictions from 10 experts, ensemble methods would allow us to strategically combine these predictions by the 10 experts to come up with a prediction that is more accurate and robust than the predictions by each individual expert. The individual decision trees that make an ensemble are called base learners, and as long as the error rate of each base learner is less than .50, the combined random forest will benefit from the affects of combining predictions to achieve a far greater accuracy.

Figure (4) illustrates the power of ensemble methods; the Figure illustrates how the ensemble error rate is much lower than the Base learner error rate, as long as the Base learner error rate is less than 0.5. The Figure illustrates this effect for an ensemble of 500 base learners.



**Figure 4.** Illustration of ensemble methods showing how a collection of base learners with poor accuracy can combine to produce an accurate ensemble learner.

A big advantage of random forests is that honing in on suitable hyperparameter values (the number of trees in the forest, the depth of each decision tree, the specific measure of information gain used to choose the node splitting, etc) is not very difficult. The ensemble method is robust to noise from the individual decision trees, which helps to prevent overfitting (memorizing the training dataset targets instead of generalizing from learned rules to perform successfully on unseen data). The only parameter that has a clearly noticeable effect on performance is the number of trees to include in the forest; in general, the more trees the better the performance, but there is a price to pay in terms of computational cost. The number of trees for the forests trained in this study



was relatively small, 20 trees for breast cancer and 25 for both the lung and colon cancer models.

IOBS has chosen to use the Python scikit-learn implementation of the Random Forest machine learning classifier [9]. Random Forests are frequent winners of the Kaggle machine learning competitions [10]. The model parameters for each cancer type are given in sections (Lung Random Forest Model Hyperparameters, Colon Random Forest Model Hyperparameters, Breast Random Forest Model Hyperparameters).

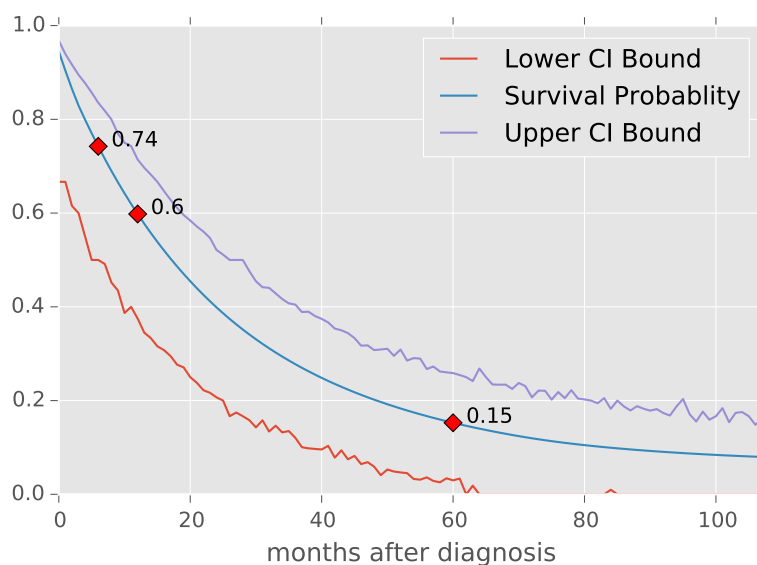
**Multi-Layer Perceptron Neural Networks** Neural networks are a biologically-inspired programming paradigm that enable computers to learn from observational data [11]. Deep learning can be understood as a set of algorithms that were developed to train artificial neural networks with many layers most efficiently. Neural networks are a hot topic not only in academic research, but also in big technology companies such as Facebook, Microsoft, and Google who invest heavily in artificial neural networks and deep learning research. As of today, complex neural networks powered by deep learning algorithms are considered as state-of-the-art when it comes to complex problem solving such as image and voice recognition. In addition, the pharmaceutical industry recently started to use deep learning techniques for drug discovery and toxicity prediction, and research has shown that these novel techniques substantially exceed the performance of traditional methods for virtual screening [?].

IOBS has chosen to use the Multi-Layer Perceptron Neural Network (MLP neural network) implementation Keras developed at MIT. Keras was initially developed as part of the research effort of project ONEIROS (Open-ended Neuro-Electronic Intelligent Robot Operating System) [12]. Keras is a minimalist, highly modular neural networks library, written in Python and capable of running on top of either TensorFlow or Theano. The model architecture for each cancer type are given in sections (Breast Neural Network Model Architecture, Colon Cancer Neural Network Model Architecture, Lung Cancer Neural Network Model Architecture). Training a neural network and choosing an appropriate architecture is as much art as science [11], and the search for a good neural network architecture for the lung cancer case was more demanding than for the breast and colon cases. The presence of both non-small cell lung cancer (NSCLC) and small cell lung cancer (SCLC) in the SEER data may be the source of this need for more iterations and trials of different architectures when training the lung cancer neural network models.

## Results

In order to evaluate the performance of the models, we first construct three binary classifiers corresponding to whether or not a subject survived 6, 12, or 60 months after diagnosis. This is done by iterating over all distinct patient indices in the test set, predicting the full survival function, and capturing the values corresponding to 6, 12, and 60 months. If the survival function evaluated at 6 months is greater than or equal to .5 for a given subject, then the 6 months binary classifier predicts that that subject will be alive 6 months after diagnosis. Similarly, if the survival function evaluated at 60 months is less than .5, then the 12 months binary classifier predicts that that subject will be dead 12 months after diagnosis. Figure (5) illustrates the method; in this case the 6-month and 12-month classifiers predict survival, while the 60-month classifier predicts expiry.

Because of censoring it is necessary to apply some Boolean filters to the data in order to correctly assess the resulting classifiers. To construct AUC curves for the 6 month classifier, we restrict ourselves to considering subjects in the test data where either of the following mutually exclusive conditions holds:



**Figure 5.** Example of the construction of the binary classifiers for 6, 12, and 60 months survival. A subject's hazard curve  $\lambda(\mathbf{X}, t)$  is predicted by the model for times out to 107 months. The survival curve is then readily computed as in Equation (6). For this example, the 6-month and 12-month classifiers predict survival, while the 60-month classifier predicts expiry.

- `survival_months >= 6 AND vital_status_recode == 0`
- `vital_status_recode == 1`

That is, we restrict ourselves to subsets of the data where we know for certain whether or not the subject survived at least 6 months. Similarly for the 12 and 60 months survival classifiers.

**Survival Curve Error Estimates** The standard calculation of confidence intervals used in the Kaplan-Meier estimates of survival curves does not apply for these personal predictions. The following bootstrap method was used to calculate the upper and lower bounds corresponding to 95% confidence intervals. From equation 6, we can obtain the cumulative distribution function (CDF) associated with each individual survival curve. We then sample from this CDF in a way that reflects the underlying data used to produce the model. The training data used to create the model has an underlying distribution of survival months. In the transformed training dataset, each subject contributes as many rows as the number of survival months plus one (patients with zero survival months still represent one row of the training data). A subject that survived 50 months contributes 51 "points" to the training of the model. If all patients lived out to 107 months, the model would contain less uncertainty. This observation leads to the following algorithm for determining the error estimates to the predicted survival curves:

- compute the CDF associated with the survival curve
- use the underlying training data CDF of survival months to choose the number of points to draw from the survival curve CDF, and compute a new survival curve
- Repeat the previous step 10,000 times and collect the curves into a list. Changing the number of curves affects how smooth the upper and lower bounds are, but does not affect the interval size between for each month.

- extract for each month from the list of curves the .975 and .025 percentiles to record the values for the upper and lower curves

The process is somewhat analogous to the following hypothetical situation. Imagine a patient going to an expert, and the expert after collecting data on the patient and keeping records predicts the central, single survival curve. The patient then seeks multiple "second opinions." These second opinions are generated not from independent examinations of the patient, but by outside experts sampling from the data already collected by the expert initially consulted. Then the predictions of 95% of these 10,000 experts all fall within the band determined by the upper and lower curves.

## Performance Metrics

The AUC scores for each of the 18 different binary classifiers are listed in Table (12). We emphasize the above-mentioned discussion concerning the correct treatment of the censored test data when evaluating performance metrics. Namely, when computing the AUC for the 12 month survival curve classifiers, we restrict the test data subjects to those that in the untransformed data set that satisfy either of the following mutually exclusive conditions:

- `survival_months >= 12 AND vital_status_recode == 0`
- `vital_status_recode == 1`

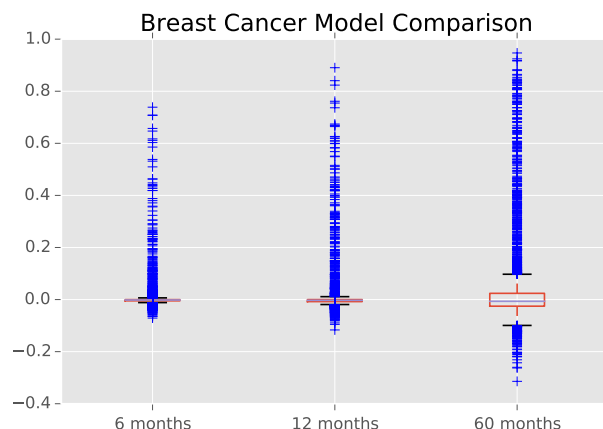
We limit evaluation data to subsets of the data where we know for certain whether or not the subject survived at least 12 months. Similar considerations apply to the 12 and 60 months AUC calculations. The lowest AUC in Table 12 is .765, corresponding to the lung neural network model predictions for 6 months survival, while the highest AUC in Table 12 is .885, corresponding to the breast random forest model predictions for 12 months survival.

**Table 12. AUC values for the Random Forest and Neural Networks model binary classifiers derived from the full survival curve predictions; see text for details. The number of subjects that were used in the calculation of a given AUC score are given in parenthesis after the score.**

Model	6 Months AUC	12 Months AUC	60 Months AUC
Breast RF	.846 (3035)	.885 (2797)	.844 (1392)
Breast NN	.855 (3035)	.867 (2797)	.836 (1392)
Colon RF	.804 (5281)	.806 (5003)	.828 (3232)
Colon NN	.797 (5281)	.804 (5003)	.841 (3232)
Lung RF	.772 (5019)	.796 (4860)	.874 (4143)
Lung NN	.765 (5019)	.796 (4860)	.875 (4143)

## Model Agreement

An additional means of validating the predictions of these models is by comparing their predictions to each other for the same set of input data. Table 13 shows the strong agreement between the random forest and neural network classifiers for each cancer type. Python code showing how the values in Table 13 are computed is available in the files `NewPatientBreastCF.html`, `NewPatientColonCF.html`, and `NewPatientLung.html` in the GitHub repository containing supplemental material for this study [?]. Table 13 is computed as follows. For each cancer type (breast,colon, and lung), do the following:



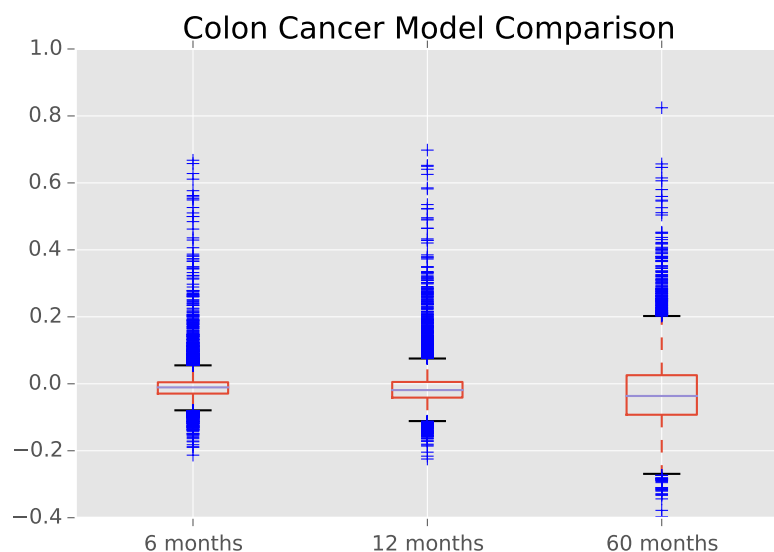
**Figure 6.** Box plots showing the distributions of the signed difference between the MLP model's prediction for the probability of surviving 6 months and the Random Forest model's prediction of the same quantity for breast cancer. The plot shows the same quantity for the 12 and 60 months classifiers. It is apparent from the figures that the outliers are due to the neural network models predicting higher survival probabilities than the random forest for some few cases. These differences were evaluated for the 3300 test patients in the breast cancer data.

- use the corresponding Random Forest and Neural Network models to compute the survival curves for all of the test subjects
- extract the values of the survival curve evaluated for 6, 12, and 60 months for both models
- if both models predict less than .5 or both models predict greater than or equal to .5, that counts as agreement
- otherwise, the models disagree

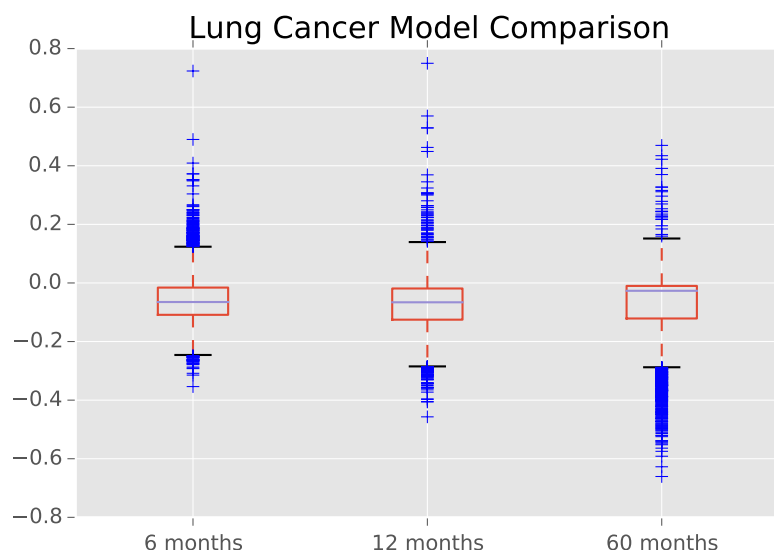
The high level of agreement between two models lends confidence to the notion that they have both learned from the training data and are generalizing well. Figures (7, 6, 8) show box plots of the value of the random forest prediction subtracted from the neural network prediction. We emphasize that when evaluating the model agreement, we put no restrictions on the distinct subjects in the respective test datasets; we are confronting the models against each other, not some known ground truth as in the AUC performance metric calculations. The number of distinct subjects in all three of the colon cancer survival binary classifiers (6, 12, and 60 month survival) was 5654; for lung cancer the number of subjects entering into the calculation of Table (13) was 5313; and for breast cancer it was 3300.

**Table 13.** Percentage agreement for the Random Forest and Neural Network classifiers for 6, 12, and 60 month survival predictions on the test data for each cancer type.

Cancer Type	% agreement 6 months	% agreement 12 months	% agreement 60 months
Colon	.981	.971	.915
Breast	.994	.984	.938
Lung	.861	.883	.900



**Figure 7.** Box plots showing the distributions of the signed difference between the MLP model's prediction for the probability of surviving 6 months and the Random Forest model's prediction of the same quantity for colon cancer. The plot shows the same quantity for the 12 and 60 months classifiers. It is apparent from the figures that the outliers are due to the neural network models predicting higher survival probabilities than the random forest for some few cases. These differences were evaluated for the 5654 test patients in the colon cancer data.



**Figure 8.** Box plots showing the distributions of the signed difference between the MLP model's prediction for the probability of surviving 6 months and the Random Forest model's prediction of the same quantity for lung cancer. The plot shows the same quantity for the 12 and 60 months classifiers. These differences were evaluated for the 5313 test patients in the lung cancer data. The Interquartile Ranges for lung cancer are visibly larger than those for breast cancer and colon cancer shown in fig 6 and fig 7.

## Survival Curve Prediction Apps

The six models described in section Prediction Models, namely the random forest and MLP neural network models for each of the three cancer types considered in this study, have their full hyperparameter and architecture presented in section Supporting Information. Python code for all six model training and evaluation is available at the github repository containing supplemental material for this study [?].

Using the popular Flask microframework for web applications [?], we have made web applications corresponding to the six models. The list of web applications below will allow readers to freely experiment with the models.

1. breast cancer
  - (a) random forest:
   
<https://github.com/doolingdavid/breast-cancer-rf-errors.git>
  - (b) neural network:
   
<https://github.com/doolingdavid/breast-cancer-nn-errors.git>
2. lung cancer
  - (a) random forest:
   
<https://github.com/doolingdavid/lung-cancer-rf-errors.git>
  - (b) neural network:
   
<https://github.com/doolingdavid/lung-cancer-nn-errors.git>
3. colon cancer
  - (a) random forest:
   
<https://github.com/doolingdavid/colon-cancer-rf-errors.git>

(b) neural network: 613  
<https://github.com/doolingdavid/colon-cancer-nn-errors.git> 614

After downloading the .zip file associate with one of the above web applications, and 615  
 assuming python is installed on your system, you can launch the application by running 616

```
>python hello.py 617
```

and pointing the browser to the local server: <http://127.0.0.1:5000> . 618

These machine learning models are used to predict survival curves for a given set of 619  
 input data. The resulting survival curves predict the probability that a patient with the 620  
 given input data will survive at least to month  $x$ . 621

For example, using the Colon Cancer neural network app, and inputting the values 622  
 listed in Table (14) results in the survival curve depicted in Figure (9); the predicted 623  
 probabilities of living at least 6, 12, and 60 months are .89, .83, and .50, respectively. 624

**Table 14. Example input data to the Colon Cancer neural network app**  
<https://github.com/doolingdavid/colon-cancer-nn-errors.git>.

Variable	Value
What is the tumor size (mm)	300
What is the patient's address?	boston massachusetts
Grade	moderately differentiated
Histology	adenomas and adenocarcinomas
Laterality	not a paired site
Marital Status at Dx	Single, never married
Month of Diagnosis	Jan
How many primaries	1
Race_ethnicity	White
seer_historic_stage_a	Regional
Gender	Male
spanish_hispanic_origin	Non-spanish/Non-hispanic
Year of Birth	1940
Year of Diagnosis	2010

Changing the data in Table 14 so that the address field is changed from Boston, 625  
 Massachusetts to Denver, Colorado but keeping all other variables are unchanged results 626  
 in the predicted probabilities of living at least 6, 12, and 60 months: .945, .902, .665. 627  
 Behind the scenes, the apps use the input to the address field to make a call to the 628  
 Google Maps API to convert the address into a latitude, longitude and elevation. These 629  
 probabilities are noticeably higher and reflect the documented effects of both longitude 630  
 and elevation on cancer treatment and prognosis in the United States [13]. 631

A similar example of how changing the inputs to the models affects the predicted 632  
 survival curves in interesting ways can be seen with the random forest model for lung 633  
 cancer. Changing the data in Table 15 by toggling between the male/female, and 634  
 married/single four possible permutations results in the following prediction probabilities 635  
 for 6, 12, and 60 month survival: 636

- male/married: .53, .27, .01 637
- male/single: .35, .18, .009 638
- female/married: .55, .31, .01 639
- female/single: .50, .27, .01 640

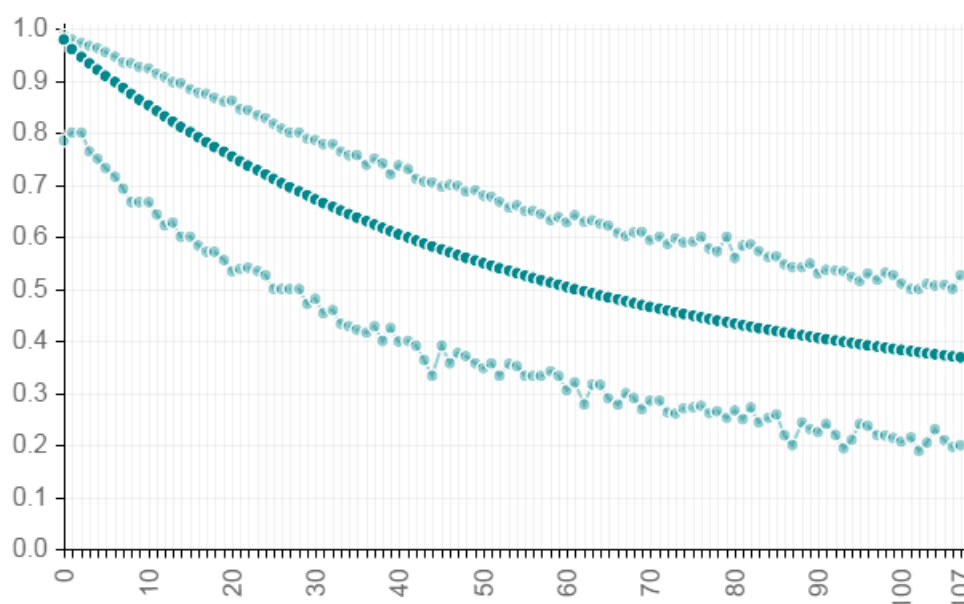


# Colon Cancer Survival Curve Prediction

## Prediction:

1. Probability of Surviving 6 months is **0.897**
2. Probability of Surviving 12 months is **0.831**
3. Probability of Surviving 60 months is **0.504**

## Predicted Survival Curve from Model



**Figure 9.** Colon Cancer Survival Curve predicted from the data in Table (14) using the neural network web app  
<https://github.com/doolingdavid/colon-cancer-nn-errors.git>.

Inputting the same combinations of data into the lung cancer neural network app  
<https://github.com/doolingdavid/lung-cancer-nn-errors.git> yields the following probabilities:

- male/married: .42, .24, .04
- male/single: .40, .22, .03
- female/married: .44, .26, .04
- female/single: .42, .24, .04

It is interesting to note that both the random forest and neural network lung cancer models predict greater 6 month survival rates for married people, with a slightly greater benefit for males than females. The effect is greater in the random forest model, but is also visible in the neural network model.

**Table 15. Example input data to the Lung Cancer random forest app**  
<https://github.com/doolingdavid/lung-cancer-rf-errors.git>.

Variable	Value
What is the tumor size (mm)	500
What is the patient's address?	newark new jersey
Grade	well differentiated
Histology	acinar cell neoplasms
Laterality	bilateral involvement, lateral origin unknown; stated to be single primary
Marital Status at Dx	Married including common law
Month of Diagnosis	Jan
How many primaries	1
Race_ethnicity	White
seer_historic_stage_a	Distant
Gender	Female
spanish_hispanic_origin	Non-spanish/Non-hispanic
Year of Birth	1970
Year of Diagnosis	2011

## Discussion

The purpose of this study has been twofold; to develop a general methodology of data transformation to survival data with censored observations so that machine learning algorithms can be applied and to help further the cause of PPPM medicine by developing models of personalized survival curve prognosis. To help further refine the methodology, we would like to apply it to different survival datasets [?], not necessarily within the healthcare domain. In particular, the methods presented in this paper do not take into account time varying features. For example, the `cs_tumor_size` variable that has been a part of this study is kept fixed at the value measured at diagnosis for all records corresponding to a given subject. Clearly, the actual tumor size varies along with time and a sophisticated model can be developed to take this into account, given available datasets. Unfortunately, the SEER datasets considered in this study do not provide this kind of granularity over time.

The SEER database has been linked with claims data in the SEER-Medicare Linked Database [?]. This linkage allows for the identification of additional clinical data for each record in the SEER database and allows for an enrichment of the models presented in this study, and is an avenue for further investigation.

An additional avenue of research concerns the broad concept of causality. As demonstrated in section Survival Curve Prediction Apps, there appears to be a correlation between marital status and survival prognosis. Does this mean that if a single person in Boston, Massachusetts is diagnosed with cancer, that they should immediately get married and move to Denver? Of course not. But personal discussions with providers has confirmed for one of the authors (D.D.) that married males tend to be much more diligent in following instructions than their single counterparts. What appears to be in effect is that some of the SEER data is providing an identifiable signature of underlying causes not directly represented by the data. Latent variables not directly seen in the data are still providing echos of patterns in the data and the sheer volume allows us to see glimpses of these patterns. Marital status is in some instances a surrogate for the presence of a strong social structure and support group surrounding a patient, which presence presumably leads to more desirable survival prognosis. The daunting and exciting task of teasing out actual causality relationships within machine

learning contexts has been pioneered by Judea Pearl of the University of California, Los Angeles <sup>4</sup> and seems particularly relevant and applicable to censored survival data. Combining the methodology presented in this study for the marriage of machine learning and censored survival data with that of the pioneering work of Judea Pearl on causality will be a fruitful avenue for future research.

## Supporting Information

### Colon Cancer Feature Selection

The feature set used as input into both the Random Forest and Neural Network models, after the transformation described in section Transformation of Censored Data for Machine Learning is given below and also available in full detail in the file `NewPatientColonML.html`.

- cs\_tumor\_size
- elevation
- grade\_cell type not determined
- grade\_moderately differentiated
- grade\_poorly differentiated
- grade\_undifferentiated; anaplastic
- grade\_well differentiated
- histology\_recode\_broad\_groupings\_acinar cell neoplasms
- histology\_recode\_broad\_groupings\_adenomas and adenocarcinomas
- histology\_recode\_broad\_groupings\_blood vessel tumors
- histology\_recode\_broad\_groupings\_complex epithelial neoplasms
- histology\_recode\_broad\_groupings\_complex mixed and stromal neoplasms
- histology\_recode\_broad\_groupings\_cystic, mucinous and serous neoplasms
- histology\_recode\_broad\_groupings\_ductal and lobular neoplasms
- histology\_recode\_broad\_groupings\_epithelial neoplasms, NOS
- histology\_recode\_broad\_groupings\_fibromatous neoplasms
- histology\_recode\_broad\_groupings\_germ cell neoplasms
- histology\_recode\_broad\_groupings\_lipomatous neoplasms
- histology\_recode\_broad\_groupings\_miscellaneous bone tumors
- histology\_recode\_broad\_groupings\_myomatous neoplasms
- histology\_recode\_broad\_groupings\_neuroepitheliomatous neoplasms
- histology\_recode\_broad\_groupings\_nevi and melanomas
- histology\_recode\_broad\_groupings\_paragangliomas and glomus tumors
- histology\_recode\_broad\_groupings\_soft tissue tumors and sarcomas, NOS
- histology\_recode\_broad\_groupings\_squamous cell neoplasms
- histology\_recode\_broad\_groupings\_synovial-like neoplasms
- histology\_recode\_broad\_groupings\_transitional cell papillomas and carcinomas
- histology\_recode\_broad\_groupings\_unspecified neoplasms
- lat
- laterality\_Left: origin of primary
- laterality\_Not a paired site
- laterality\_Only one side involved, right or left origin unspecified
- laterality\_Paired site, but no information concerning laterality; midline tumor
- laterality\_Right: origin of primary
- lng

<sup>4</sup>Judea Pearl homepage at the University of California, Los Angeles, [http://bayes.cs.ucla.edu/jp\\_home.html](http://bayes.cs.ucla.edu/jp_home.html), accessed 11 Jan 2016.

• marital_status_at_dx_Divorced	729
• marital_status_at_dx_Married (including common law)	730
• marital_status_at_dx_Separated	731
• marital_status_at_dx_Single (never married)	732
• marital_status_at_dx_Unknown	733
• marital_status_at_dx_Unmarried or domestic partner	734
• marital_status_at_dx_Widowed	735
• month_of_diagnosis_Apr	736
• month_of_diagnosis_Aug	737
• month_of_diagnosis_Dec	738
• month_of_diagnosis_Feb	739
• month_of_diagnosis_Jan	740
• month_of_diagnosis_Jul	741
• month_of_diagnosis_Jun	742
• month_of_diagnosis_Mar	743
• month_of_diagnosis_May	744
• month_of_diagnosis_Nov	745
• month_of_diagnosis_Oct	746
• month_of_diagnosis_Sep	747
• number_of primaries	748
• race_ethnicity_Amerian Indian, Aleutian, Alaskan Native or Eskimo	749
• race_ethnicity_Asian Indian	750
• race_ethnicity_Asian Indian or Pakistani	751
• race_ethnicity_Black	752
• race_ethnicity_Chinese	753
• race_ethnicity_Fiji Islander	754
• race_ethnicity_Filipino	755
• race_ethnicity_Guamanian	756
• race_ethnicity_Hawaiian	757
• race_ethnicity_Hmong	758
• race_ethnicity_Japanese	759
• race_ethnicity_Kampuchean	760
• race_ethnicity_Korean	761
• race_ethnicity_Laotian	762
• race_ethnicity_Melanesian	763
• race_ethnicity_Micronesian	764
• race_ethnicity_New Guinean	765
• race_ethnicity_Other	766
• race_ethnicity_Other Asian	767
• race_ethnicity_Pacific Islander	768
• race_ethnicity_Pakistani	769
• race_ethnicity_Polynesian	770
• race_ethnicity_Samoan	771
• race_ethnicity_Thai	772
• race_ethnicity_Tongan	773
• race_ethnicity_Unknown	774
• race_ethnicity_Vietnamese	775
• race_ethnicity_White	776
• seer_historic_stage_a_Distant	777
• seer_historic_stage_a_In situ	778
• seer_historic_stage_a_Localized	779
• seer_historic_stage_a_Regional	780

- seer\_historic\_stage\_a.Unstaged 781
- sex\_Female 782
- spanish\_hispanic\_origin.Cuban 783
- spanish\_hispanic\_origin.Dominican Republic 784
- spanish\_hispanic\_origin.Mexican 785
- spanish\_hispanic\_origin.Non-Spanish/Non-hispanic 786
- spanish\_hispanic\_origin.Other specified Spanish/Hispanic origin (excludes Dominican Repuclic) 787
- spanish\_hispanic\_origin.Puerto Rican 788
- spanish\_hispanic\_origin.South or Central American (except Brazil) 789
- spanish\_hispanic\_origin.Spanish surname only 790
- spanish\_hispanic\_origin.Spanish, NOS; Hispanic, NOS; Latino, NOS 791
- spanish\_hispanic\_origin.Uknown whether Spanish/Hispanic or not 792
- year\_of\_birth 793
- year\_of\_diagnosis 794
- month 795

and **newtarget** is the target variable, indicating whether or not the subject died in month given by the value of the **month** variable. 797

## Lung Cancer Feature Selection 799

The feature set used as input into both the Random Forest and Neural Network models, after the transformation described in section Transformation of Censored Data for Machine Learning is given below and also available in full detail in the file **NewPatientLungML.html** . 800  
801  
802  
803

- cs\_tumor\_size 804
- elevation 805
- grade\_cell type not determined 806
- grade\_moderately differentiated 807
- grade\_poorly differentiated 808
- grade\_undifferentiated; anaplastic 809
- grade\_well differentiated 810
- histology\_recode\_broad\_groupings\_acinar cell neoplasms 811
- histology\_recode\_broad\_groupings\_adenomas and adenocarcinomas 812
- histology\_recode\_broad\_groupings\_blood vessel tumors 813
- histology\_recode\_broad\_groupings\_complex epithelial neoplasms 814
- histology\_recode\_broad\_groupings\_complex mixed and stromal neoplasms 815
- histology\_recode\_broad\_groupings\_cystic, mucinous and serous neoplasms 816
- histology\_recode\_broad\_groupings\_ductal and lobular neoplasms 817
- histology\_recode\_broad\_groupings\_epithelial neoplasms, NOS 818
- histology\_recode\_broad\_groupings\_fibroepithelial neoplasms 819
- histology\_recode\_broad\_groupings\_fibromatous neoplasms 820
- histology\_recode\_broad\_groupings\_germ cell neoplasms 821
- histology\_recode\_broad\_groupings\_gliomas 822
- histology\_recode\_broad\_groupings\_granular cell tumors & alveolar soft part sarcomas 823
- histology\_recode\_broad\_groupings\_lipomatous neplasms 824
- histology\_recode\_broad\_groupings\_miscellaneous bone tumors 825
- histology\_recode\_broad\_groupings\_miscellaneous tumors 826
- histology\_recode\_broad\_groupings\_mucoepidermoid neoplasms 827
- histology\_recode\_broad\_groupings\_myomatous neoplasms 828

• histology_recode_broad_groupings_myxomatous neoplasms	830
• histology_recode_broad_groupings_nerve sheath tumors	831
• histology_recode_broad_groupings_neuroepitheliomatous neoplasms	832
• histology_recode_broad_groupings_nevi and melanomas	833
• histology_recode_broad_groupings_osseous and chondromatous neoplasms	834
• histology_recode_broad_groupings_paragangliomas and glumus tumors	835
• histology_recode_broad_groupings_soft tissue tumors and sarcomas, NOS	836
• histology_recode_broad_groupings_squamous cell neoplasms	837
• histology_recode_broad_groupings_synovial-like neoplasms	838
• histology_recode_broad_groupings_thymic epithelial neoplasms	839
• histology_recode_broad_groupings_transistional cell papillomas and carcinomas	840
• histology_recode_broad_groupings_trophoblastic neoplasms	841
• histology_recode_broad_groupings_unspecified neoplasms	842
• lat	843
• laterality_Bilateral involvement, lateral origin unknown; stated to be single primary	844
• laterality_Left: origin of primary	845
• laterality_Not a paired site	846
• laterality_Only one side involved, right or left origin unspecified	847
• laterality_Paired site, but no information concerning laterality; midline tumor	848
• laterality_Right: origin of primary	849
• lng	850
• lng	851
• marital_status_at_dx_Divorced	852
• marital_status_at_dx_Married (including common law)	853
• marital_status_at_dx_Separated	854
• marital_status_at_dx_Single (never married)	855
• marital_status_at_dx_Unknown	856
• marital_status_at_dx_Unmarried or domestic partner	857
• marital_status_at_dx_Widowed	858
• month_of_diagnosis_Apr	859
• month_of_diagnosis_Aug	860
• month_of_diagnosis_Dec	861
• month_of_diagnosis_Feb	862
• month_of_diagnosis_Jan	863
• month_of_diagnosis_Jul	864
• month_of_diagnosis_Jun	865
• month_of_diagnosis_Mar	866
• month_of_diagnosis_May	867
• month_of_diagnosis_Nov	868
• month_of_diagnosis_Oct	869
• month_of_diagnosis_Sep	870
• number_of primaries	871
• race_ethnicity_Amerian Indian, Aleutian, Alaskan Native or Eskimo	872
• race_ethnicity_Asian Indian	873
• race_ethnicity_Asian Indian or Pakistani	874
• race_ethnicity_Black	875
• race_ethnicity_Chamorran	876
• race_ethnicity_Chinese	877
• race_ethnicity_Fiji Islander	878
• race_ethnicity_Filipino	879
• race_ethnicity_Guamanian	880
• race_ethnicity_Hawaiian	881

- race\_ethnicity\_Hmong
- race\_ethnicity\_Japanese
- race\_ethnicity\_Kampuchean
- race\_ethnicity\_Korean
- race\_ethnicity\_Laotian
- race\_ethnicity\_Melanesian
- race\_ethnicity\_Micronesian
- race\_ethnicity\_New Guinean
- race\_ethnicity\_Other
- race\_ethnicity\_Other Asian
- race\_ethnicity\_Pacific Islander
- race\_ethnicity\_Pakistani
- race\_ethnicity\_Polynesian
- race\_ethnicity\_Samoan
- race\_ethnicity\_Thai
- race\_ethnicity\_Tongan
- race\_ethnicity\_Unknown
- race\_ethnicity\_Vietnamese
- race\_ethnicity\_White
- seer\_historic\_stage\_a\_Distant
- seer\_historic\_stage\_a\_In situ
- seer\_historic\_stage\_a\_Localized
- seer\_historic\_stage\_a\_Regional
- seer\_historic\_stage\_a\_Unstaged
- sex\_Female
- spanish\_hispanic\_origin\_Cuban
- spanish\_hispanic\_origin\_Dominican Republic
- spanish\_hispanic\_origin\_Mexican
- spanish\_hispanic\_origin\_Non-Spanish/Non-hispanic
- spanish\_hispanic\_origin.Other specified Spanish/Hispanic origin (excludes Dominican Repuclic)
- spanish\_hispanic\_origin.Puerto Rican
- spanish\_hispanic\_origin.South or Central American (except Brazil)
- spanish\_hispanic\_origin.Spanish surname only
- spanish\_hispanic\_origin.Spanish, NOS; Hispanic, NOS; Latino, NOS
- spanish\_hispanic\_origin.Uknown whether Spanish/Hispanic or not
- year\_of\_birth
- year\_of\_diagnosis
- month

## Breast Cancer Feature Selection

The feature set used as input into both the Random Forest and Neural Network models, after the transformation described in section Transformation of Censored Data for Machine Learning is given below and also available in full detail in the file `NewPatientBreastML.html` .

- cs\_tumor\_size
- elevation
- grade\_moderately differentiated
- grade\_poorly differentiated
- grade\_ndifferentiated; anaplastic
- grade\_well differentiated



• histology_recode_broad_groupings_adenomas and adenocarcinomas	932
• histology_recode_broad_groupings_adnexal and skin appendage neoplasms	933
• histology_recode_broad_groupings_basal cell neoplasms	934
• histology_recode_broad_groupings_complex epithelial neoplasms	935
• histology_recode_broad_groupings_cystic, mucinous and serous neoplasms	936
• histology_recode_broad_groupings_ductal and lobular neoplasms	937
• histology_recode_broad_groupings_epithelial neoplasms, NOS	938
• histology_recode_broad_groupings_nerve sheath tumors	939
• histology_recode_broad_groupings_unspecified neoplasms	940
• lat	941
• laterality_Bilateral involvement, lateral origin unknown; stated to be single primary	942
• laterality_Paired site, but no information concerning laterality; midline tumor	943
• laterality_Right: origin of primary	944
• lng	945
• lng	946
• marital_stats_at_dx_Divorced	947
• marital_stats_at_dx_Married (including common law)	948
• marital_stats_at_dx_Separated	949
• marital_stats_at_dx_Single (never married)	950
• marital_stats_at_dx_Unknown	951
• marital_stats_at_dx_Unmarried or domestic partner	952
• marital_stats_at_dx_Widowed	953
• month_of_diagnosis_Apr	954
• month_of_diagnosis_Aug	955
• month_of_diagnosis_Dec	956
• month_of_diagnosis_Feb	957
• month_of_diagnosis_Jan	958
• month_of_diagnosis_Jul	959
• month_of_diagnosis_Jun	960
• month_of_diagnosis_Mar	961
• month_of_diagnosis_May	962
• month_of_diagnosis_Nov	963
• month_of_diagnosis_Oct	964
• month_of_diagnosis_Sep	965
• race_ethnicity_Amerian Indian, Aletian, Alaskan Native or Eskimo	966
• race_ethnicity_Asian Indian	967
• race_ethnicity_Black	968
• race_ethnicity_Chinese	969
• race_ethnicity_Japanese	970
• race_ethnicity_Melanesian	971
• race_ethnicity_Other	972
• race_ethnicity_Other Asian	973
• race_ethnicity_Pacific Islander	974
• race_ethnicity_Thai	975
• race_ethnicity_Unknown	976
• race_ethnicity_Vietnamese	977
• race_ethnicity_White	978
• seer_historic_stage_a_Distant	979
• seer_historic_stage_a_In sit	980
• seer_historic_stage_a_Localized	981
• seer_historic_stage_a_Unstaged	982
• sex_Female	983

- spanish\_hispanic\_origin.Cuban 984
- spanish\_hispanic\_origin.Mexican 985
- spanish\_hispanic\_origin.Non-Spanish/Non-hispanic 986
- spanish\_hispanic\_origin.Other specified Spanish/Hispanic origin (excludes Dominican Republic) 987
- spanish\_hispanic\_origin.Spanish surname only 988
- spanish\_hispanic\_origin.Spanish, NOS; Hispanic, NOS; Latino, NOS 989
- year\_of\_birth 990
- year\_of\_diagnosis 991
- month 992

and `newtarget` is the target variable, indicating whether or not the subject died in month given by the value of the `month` variable. 994

and `newtarget` is the target variable, indicating whether or not the subject died in month given by the value of the `month` variable. 995

## Pseudocode for the Data Transformation 998

```
def train(X, T, D) 999
    // X, T, D are the original dataset 1000
    X' = [] 1001
    D' = [] 1002

    // the transformation 1003
    for each index i in X: 1004
        for t=1 to T[i]: 1005
            new_D = (0 if t < T[i], else D[i]) 1006
            append new_D to D' 1007
            new_X = (X[i], t) 1008
            append new_X to X' 1009

    return a decision tree trained on (X', D') 1010

def pmf(h, X) 1011
    // X is a single datapoint 1012
    // returns an array A where A[i] = P(Y = i | X) 1013
    A = [] 1014
    p_so_far = 1 // this is p(T >= t | X) 1015
    for t = 1 to (the last month where h has any data): 1016
        // h knows p(T = t | T >= t, X), we call this p_cur 1017
        p_cur = h's prediction for (X, t) 1018
        append (p_so_far * p_cur) to A 1019
        p_so_far *= (1 - p_cur) 1020
    1021
    1022
    1023
    1024
```

## Breast Random Forest Model Hyperparameters 1025

```
f = RandomForestClassifier(n_estimators=20,min_samples_split=3, 1026
                           max_depth = 15, 1027
                           max_features = .8, 1028
                           n_jobs=5,verbose=2,random_state=33) 1029
```

## Colon Random Forest Model Hyperparameters

```
rf = RandomForestClassifier(n_estimators=25,min_samples_split=3,
                           max_depth = 10,
                           max_features = .5,
                           n_jobs=5,verbose=2,random_state=3)
```

## Lung Random Forest Model Hyperparameters

```
rf = RandomForestClassifier(n_estimators=25,min_samples_split=3,
                           max_depth = 11,
                           max_features = .8,
                           n_jobs=5,verbose=2,random_state=3)
```

## Breast Neural Network Model Architecture

The architecture of the Keras multilayer perceptron neural network model trained on the breast cancer data is given explicitly below:

```
modelbreast = Sequential()
modelbreast.add(Dense(114, input_shape=(66,) ,init='normal'))
modelbreast.add(Activation('relu'))
modelbreast.add(Dropout(0.05))
modelbreast.add(Dense(50, init='normal'))
modelbreast.add(Activation('relu'))
modelbreast.add(Dropout(0.05))

modelbreast.add(Dense(36, init='normal'))
modelbreast.add(Activation('relu'))
modelbreast.add(Dropout(0.05))

modelbreast.add(Dense(2, init='normal'))
modelbreast.add(Activation('softmax'))

rms = RMSprop(lr=0.001)

modelbreast.compile(loss='binary_crossentropy',
                    optimizer=rms, class_mode="binary")
```

and trained with a batch size of 1500 for 200 epochs.

## Colon Cancer Neural Network Model Architecture

The architecture of the Keras multilayer perceptron neural network model trained on the colon cancer data is given explicitly below:

```
modelcolon = Sequential()
modelcolon.add(Dense(114, input_shape=(102,) ,init='normal'))
modelcolon.add(Activation('relu'))
modelcolon.add(Dropout(0.05))
modelcolon.add(Dense(50, init='normal'))
```

```

modelcolon.add(Activation('relu'))
modelcolon.add(Dropout(0.05))

modelcolon.add(Dense(35, init='normal'))
modelcolon.add(Activation('relu'))
modelcolon.add(Dropout(0.05))

modelcolon.add(Dense(2, init='normal'))
modelcolon.add(Activation('softmax'))

rms = RMSprop(lr=0.001)

modelcolon.compile(loss='binary_crossentropy',
                   optimizer=rms, class_mode="binary")

and trained with a batch size of 1500 for 200 epochs.

```

## Lung Cancer Neural Network Model Architecture

The architecture of the Keras multilayer perceptron neural network model trained on the lung cancer data is given explicitly below:

```

modellung = Sequential()
modellung.add(Dense(114, input_shape=(114,) ,init='normal'))
modellung.add(Activation('relu'))
modellung.add(Dropout(0.1))
modellung.add(Dense(80, init='normal'))
modellung.add(Activation('relu'))
modellung.add(Dropout(0.1))
modellung.add(Dense(40, init='normal'))
modellung.add(Activation('relu'))
modellung.add(Dropout(0.1))

modellung.add(Dense(2, init='normal'))
modellung.add(Activation('softmax'))

rms = RMSprop(lr=0.001)

modellung.compile(loss='binary_crossentropy',
                 optimizer=rms, class_mode="binary")

and trained with a batch size of 2000 for 50 epochs.

```

## S1 Video

**Bold the first sentence.** Maecenas convallis mauris sit amet sem ultrices gravida. Etiam eget sapien nibh. Sed ac ipsum eget enim egestas ullamcorper nec euismod ligula. Curabitur fringilla pulvinar lectus consectetur pellentesque.

## S1 Text 1121

**Lorem Ipsum.** Maecenas convallis mauris sit amet sem ultrices gravida. Etiam eget sapien nibh. Sed ac ipsum eget enim egestas ullamcorper nec euismod ligula. Curabitur fringilla pulvinar lectus consectetur pellentesque. 1122 1123 1124

## S1 Fig 1125

**Lorem Ipsum.** Maecenas convallis mauris sit amet sem ultrices gravida. Etiam eget sapien nibh. Sed ac ipsum eget enim egestas ullamcorper nec euismod ligula. Curabitur fringilla pulvinar lectus consectetur pellentesque. 1126 1127 1128

## S2 Fig 1129

**Lorem Ipsum.** Maecenas convallis mauris sit amet sem ultrices gravida. Etiam eget sapien nibh. Sed ac ipsum eget enim egestas ullamcorper nec euismod ligula. Curabitur fringilla pulvinar lectus consectetur pellentesque. 1130 1131 1132

## S1 Table 1133

**Lorem Ipsum.** Maecenas convallis mauris sit amet sem ultrices gravida. Etiam eget sapien nibh. Sed ac ipsum eget enim egestas ullamcorper nec euismod ligula. Curabitur fringilla pulvinar lectus consectetur pellentesque. 1134 1135 1136

## Acknowledgments 1137

Cras egestas velit mauris, eu mollis turpis pellentesque sit amet. Interdum et malesuada fames ac ante ipsum primis in faucibus. Nam id pretium nisi. Sed ac quam id nisi malesuada congue. Sed interdum aliquet augue, at pellentesque quam rhoncus vitae. 1138 1139 1140

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