

# Predicting Post-Procedural Complications Using MIMIC-III

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**Abstract**—To predict outcomes and take decisions for patients admitted in ICU requires specific features of medical records: worth, capacity, access and dimensionality. A substantial amount of data needs to be stored in proper infrastructure and comprehensive analysis which can aid doctors, clinicians, medical experts and families is required. In this study, an investigation of medical data is carried out. We propose an ETL approach to extract features and train machine learning models to predict the post-procedural complications. To derive insights for that, we used well-known clinical dataset named Medical Information Mart for Intensive Care III (MIMIC-III) with two types of data sampling techniques: SMOTE and ADASYN. For both techniques our results showed that Random Forrest outperforms other linear models with an accuracy > 80 %.

## I. INTRODUCTION

With advancements in digital technologies in medical sciences, different techniques making it possible to explore big data precisely and predict tasks of clinicians, labs and doctors using patient records of diagnoses or procedures. Diagnostic and medical technologies have evolved rapidly and doctors have to take complex decisions. Unfortunately, majority of clinical decisions are not based on evidence. According to 2012 Institute of Medical Committee Report, a small percentage of decision were evidence based. This problem ranges to not have proper clinical guidelines.....

In this paper, we implemented an ETL technique motivated from the different methodologies of ETL techniques [15], [16], which obtain data from original source to perform informative analysis and features extraction to extract features against not so rare diagnoses and procedures with defined ETL process, balancing of our dataset using distributions and sampling techniques and predict 996 (complication or no complication).

The International Classification of Diseases (ICD) [17] is the foundation which identifies and evaluates the statistics of diseases globally. Creates standards for all the diagnoses, diseases which further can be used for research purposes. Under revision of ICD9 codes, the code 996 defines complications particular to certain specified procedures and diagnoses. Most complications are caused due to cardiac, vascular or other used devices and some of them relates to reaction caused due to a procedure performed. In our work, we are focusing on such complications and investigating if those can lead to the mortality of patient. HIPAA (Health Insurance Portability and Accountability Act of 1996)

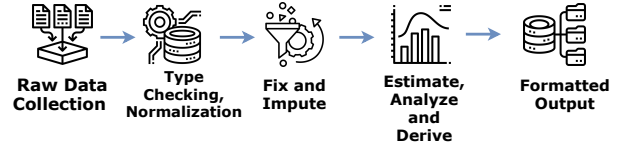


Fig. 1: Pre-processing steps applied on MIMIC-III .

[37] provides privacy and protection of health records for safeguarding and protecting (PHI) medical information. To protect health information MIMIC-III provided anonymized data, still we need to make sure we are following HIPAA compliance rules so that our research does not conflict with any of the standards defined.

A predictor that can evaluate complications using the EHR can help hospital administrators, experts, families and doctors to take decisions that are required for the safety of the patient. For any hospital if the management already knows the precise expected stay of patient they can plan better to use their resources to provide the best possible care. For doctors predictors can evidence, statistics and labels which can be used for taking valuable decisions, for families who will pay for the expenses against the patient can better plan their billing using such predictors.

In our effort, we used Medical Information Mart for Intensive Care MIMIC-III [1]. MIMIC-III is a large, freely-available relational database comprising de-identified [38] health related data associated with over forty thousand patients who stayed in Intensive Care Units at Beth Israel Deaconess Medical Center (Boston, Massachusetts). The data spans June 2001 October 2012. The ETL and predicting methods used demographics, data from different hospital systems, lab events, diagnoses, notes and other engineered information regarding each patient.

After the pre-processing step, we used two data sampling techniques: SMOTE and ADASYN and applied Logistic Regression, Random Forrest, Linear SVC and Neural Network to predict the post-procedural complications and accuracy results of all the models were recorded.

The paper is organized as follow: In section II, we explain the methods and frameworks used. In section III, we describe our experimental setup and execution of models. Further, we discussed the significance of results in section IV and concluded the paper in section V.

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## A. Literature Review

Numerous researches have also been conducted on the usage of MIMIC-III for creating new possibilities of research and scientific areas. As we are working with a huge medical data mart, the volume, diversity, dimensions and ETL matters. A. G. Rapsang and D. C. Shyam at el presented a study to identify the patient cohort from whole mart by searching the structured tables for diagnoses, procedures, chart events, demographics and other features is a burdensome task keeping the scoring systems [10] and V. H. Kury at el. authenticated the results of predictors with cost and time complexity in their prospective study as a computational retrospective study on MIMIC-II [11]. The studies with EHR databases that have both structural and unstructured data have not only help researchers in identifying the new possibilities but also helped them to recognize patients having higher risks [12].

Specific to MIMIC-III, from learning about the relationship between healthcare processes [35], the study [33] which made us realize that laboratory research is based on information retrieval irrespective of the design of study whether retrospective or prospective. All the management, doctors and clinicians are not involved in utilities of labs and how to proceed with MIMIC data and its structures. Another study [34] combined description of notes from the EHR and clinical trials using the state of the art NLP models to evaluate find relationships within trials and notes. Which, is our future plan to incorporate the textual features combining with complications to increase the performance of predicting complications accurately.

LOS prediction for the patient can provide valuable information to the management of the hospital but also for patient's health. [2] Explored the NN usage for predicting the LOS prediction within time range of ( $\leq 5$ ) days or ( $> 5$ ) days after the patient left the Intensive care unit. They used a subset of MIMIC-III and written all their models in R and PostgreSQL using a supercomputer provided by the Florida Polytechnic University. Their model predictions achieved 80 % accuracy and outperformed any other linear models previously used of predicting the length of stay. They used a neural net of 2 layers with 5 and 3 nodes at each level. In their final dataset, they had total 31018 data points, from which, they randomly chose subsets of 15000 points and trained the NN on the Florida Polytechnic University supercomputer.

Another study in 2019 [3] mapped ICD-9 codes using the clinical notes from physicians, doctors and other staff against each patient automatically using deep learning. Their main focus was to evaluate the performance of deep learning for mapping the ICD-9 codes. Their pipeline had extraction of data from Notes and Diagnoses, removing special characters and stop words from each note. They extracted non-sequential features and applied tfidf and word2vec. They baseline models LR, RF, FRNN on non-sequential features and on sequential features from word sequences + embedding matrix they applied Conv1D, LSTM and GRU. Overall they

applied multiple experiments and showed that deep learning outperforms linear models to map ICD-9 codes with 0.6957 F1 score and accuracy of 0.8967.

Research published in BMC Medical Informatics and Decision Making [4] proposed a new approach by combining rule-based features and DL model with prior knowledge for effective disease classification. They evaluated their method on i2b2 obesity challenge and demonstrated that their model outperform other method used for disease classification. They based their method on Solt's Systems [43] (The Perl's Implementation of Solt provided by author) for first identifying the major triggers terms and phrases from notes, then predicting the classes with rare terms and phrases and then trained convolutional neural network. Another mortality prediction case study published in Machine Learning for HealthCare Conference [5] demonstrated large variability in studies of mortality prediction. They reviewed the performance of the related studies based on MIMIC-III and compared it to Gradient Boosting and LR ran on extracted data.

Apart from above mentioned researches a lot of other researchers contributed in predicting the complications. A study [6] explored the model performance in predicting after operation complications following anterior cervical discectomy and fusion (ACDF). They applied Logistic Regression, Random Forrest and ANN to achieve their results. 20,879 patients and ANN outperformed LR ( $p < 0.05$ ). Similarly, [7] used machine learning to derive and validate the hospital readmission. Their model reached (area under the receiver operating curve, 0.76). [8] A study with design of retrospective study, on predicting the real time complications used RNN against mortality, renal failure, and postoperative bleeding and operation revision. 47559 samples of ICU were included. Their deep learning models produced PPV 0.90 and sensitivity 0.85 for mortality, 0.87 and 0.94 for renal failure, and 0.84 and 0.74 for bleeding.

Another study using MIMIC-III [13] implemented a deep rule based fuzzy systems for predicting the accurate in-hospital mortality. Their main contribution to the system was proposing a system which can handle multiple categorical data.

## II. DATA

MIMIC-III (Medical Information Mart for Intensive Care III) database created by the Lab of Computational Physiology of The Massachusetts Institute for Technology (MIT) to fulfil the purpose of providing different techniques of data analysis and sciences. MIMIC-III is a large, freely-available relational database comprising de-identified [38] health related data associated with over forty thousand patients who stayed in Intensive Care Units at Beth Israel Deaconess Medical Center (Boston, Massachusetts). The data spans from June 2001 to October 2012.

The data collected from different ICU centers MICU, SICU, CCU, CVICU, NICU. The division of data includes bedside monitoring, charts, tests, orders, billing, demographics and notes. The archived data then passes

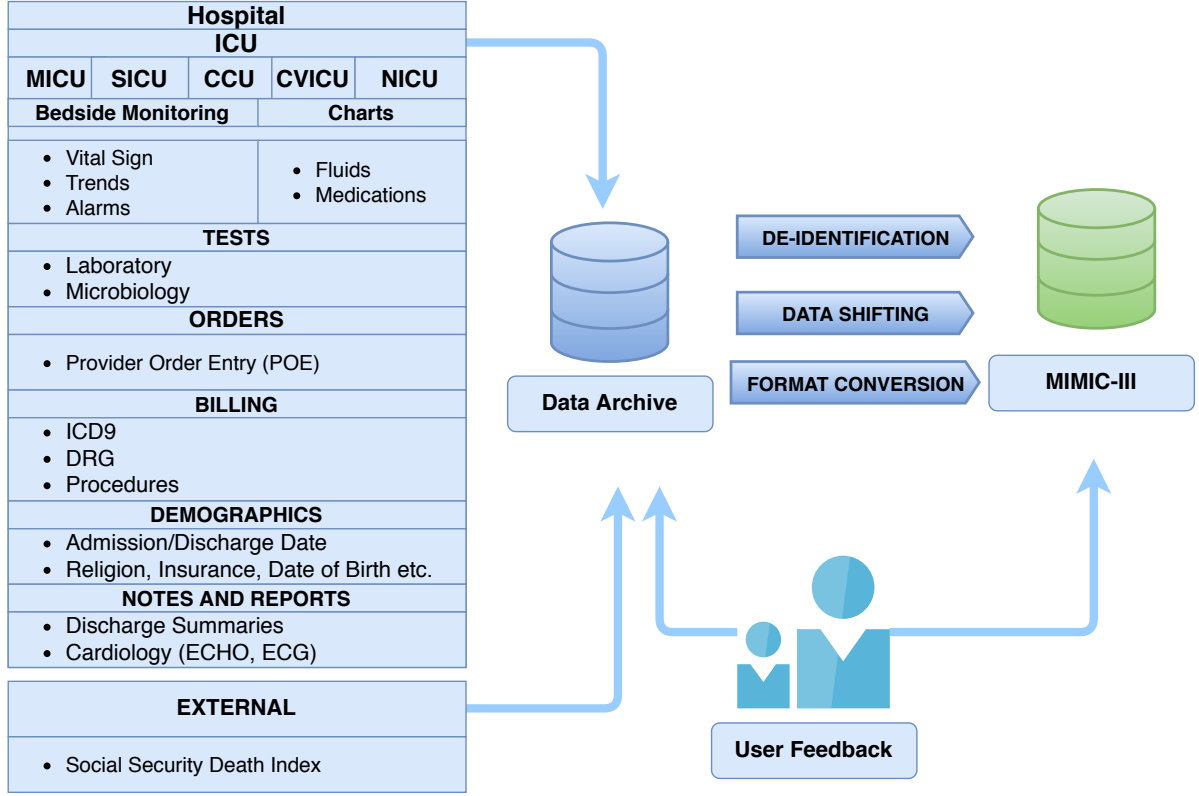


Fig. 2: MIMIC-III construction model

Item	Count
Diagnoses	14328
Procedures	3882

TABLE I: Procedures and Diagnoses Count

through the steps of transformation which include de-identification, data shifting and format conversion along with user feedback to form the MIMIC-III.

MIMIC-III is a comprehensive collection of de-identified data from 53423 distinct critical care hospital admissions from 38597 distinct adult patients. The data has been compiled into 26 tables which contain, for example, an average of 4579 noted values and 380 lab charted measurements for each hospital admission as well as a total of 3.8 gigabytes of unstructured textual data from various healthcare provider notes and analyses. In addition to de-identifying patient data, MIT requires training in the protection of patient data for anyone requesting access to the MIMIC database.

The active researchers have contributed to already given data with additional scripts to generate new concepts and insights at MIMIC code repository which includes views and tables as well.

In our implementation,  $L_{\max}$  is a number of standard

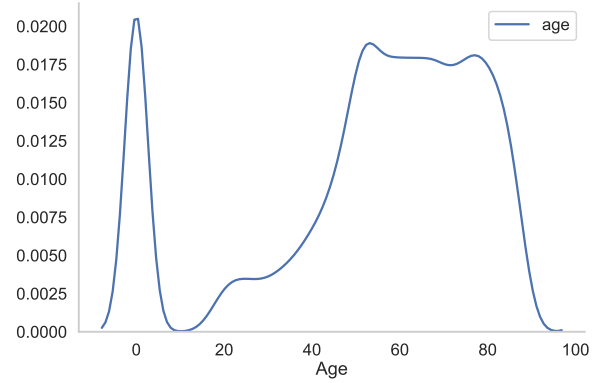
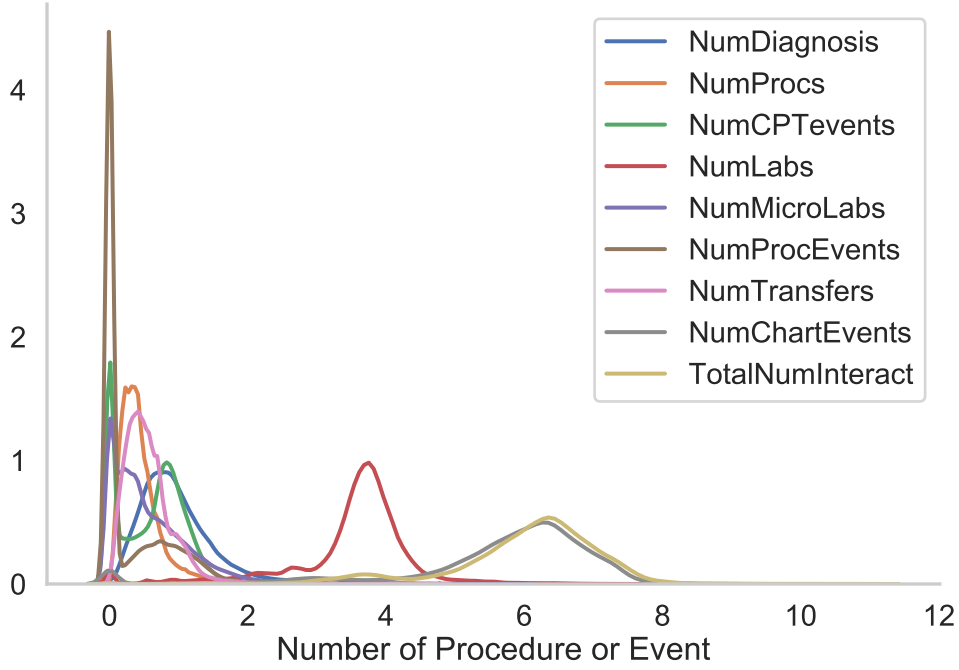


Fig. 3: Convolutional image  $2 \times$  supersampling network with three skip-2 residual blocks.

deviations of the loss above its mean and requires five hyperparameters. There are two decay rates,  $\beta_1$  and  $\beta_2$ , for

Item	Count
Complication	2754
No Complication	30491

TABLE II: Class Count



**Fig. 4:** Distribution of Different Events

exponential moving averages used to estimate the mean and standard deviation of the loss and a number,  $n$ , of standard deviations. Similar to batch normalization[1], any decay rate close to 1 is effective e.g.  $\beta_1 = \beta_2 = 0.999$ . Performance does vary slightly with  $n$ ; however, we find that any  $n \approx 3$  is effective. Initial values for the running means,  $\mu_1$  and  $\mu_2$ , where  $\mu_1^2 < \mu_2$  also have to be provided. However, any sensible initial estimates larger than their true values are fine as  $\mu_1$  and  $\mu_2$  will decay to their correct values.

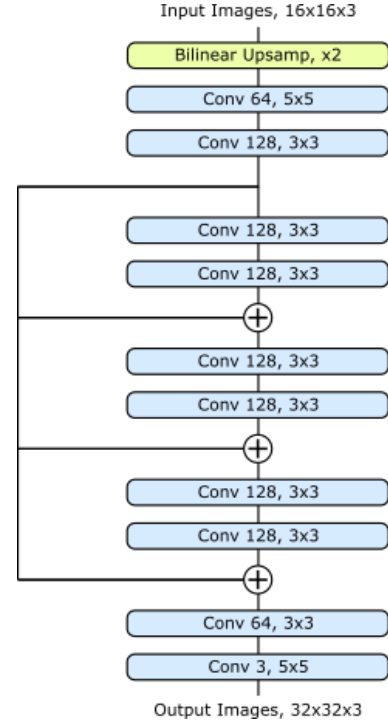
ALRC can be extended to any loss function or batch size. For batch sizes above 1, we apply ALRC to individual losses, while  $\mu_1$  and  $\mu_2$  are updated with mean losses. ARLC can also be applied to loss summands; such as per pixel errors between generated and reference images, while  $\mu_1$  and  $\mu_2$  are updated with the mean errors.

### III. EXPERIMENTS: CIFAR-10 SUPERSAMPLING

To investigate the ability of ALRC to stabilize learning and its robustness to hyperparameter choices, we performed a series of toy experiments with networks trained to upsample CIFAR-10[2, 3] images to  $32 \times 32 \times 3$  after downsampling to  $16 \times 16 \times 3$ .

**Data pipeline:** In order, images were randomly flipped left or right, had their brightness altered, had their contrast altered, were linearly transformed to have zero mean and unit variance and bilinearly downsampled to  $16 \times 16 \times 3$ .

**Architecture:** Images were upsampled and passed through the convolutional network in fig. 5. Each convolutional layer is followed by ReLU[4] activation, except the last.



**Fig. 5:** Convolutional image 2 $\times$  supersampling network with three skip-2 residual blocks.

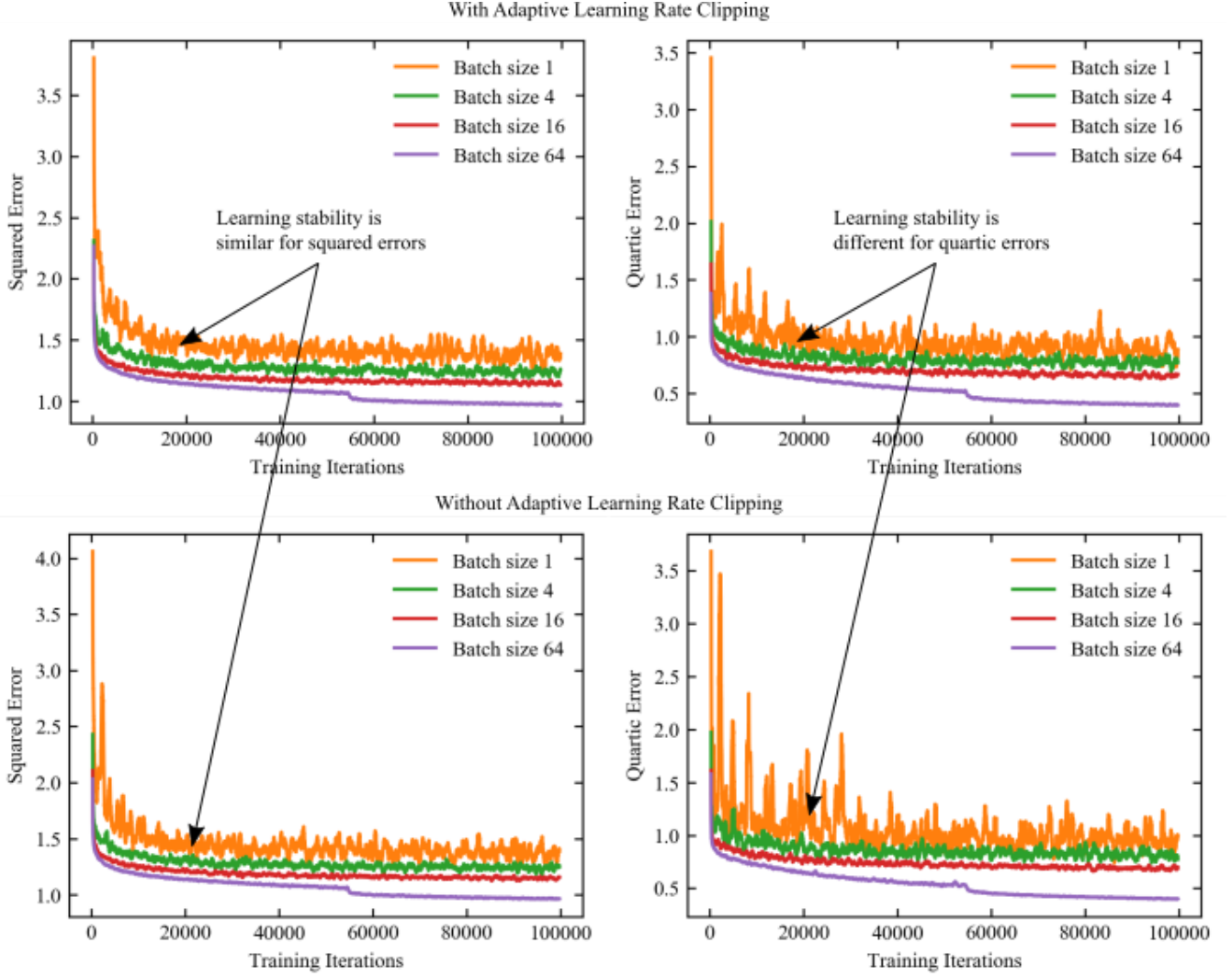
**Initialization:** All weights were Xavier[5] initialized. Biases were zero initialized.

**Learning policy:** ADAM optimization was used with the

hyperparameters recommended in [6] and a base learning rate of 1/1280 for 100000 iterations. The learning rate was constant in batch size 1, 4, 16 experiments and decreased to 1/12800 after 54687 iterations in batch size 64 experiments. Networks were trained to minimize mean squared or quartic errors between restored and ground truth images. ALRC was applied to limit the magnitudes of losses to either 2, 3, 4 or  $\infty$  standard deviations above their running means. For batch sizes above 1, ALRC was applied to each loss individually.

**Results:** Example learning curves for mean squared and quartic error training are shown in fig. 6. Training is more stable and converges to lower losses for larger batch sizes. Training is less stable for quartic errors than squared errors, allowing ALRC to be examined for loss functions with different stability.

Training was repeated 10 times for each combination of ALRC threshold and batch size. Means and standard deviations of the means of the last 5000 training losses for each experiment are tabulated in table III. ALRC has no effect on mean squared error (MSE) training, even for batch size 1. However, it decreases errors for batch sizes 1, 4 and 16 for mean quartic error training.



**Fig. 6:** Unclipped learning curves for  $2\times$  CIFAR-10 upsampling with batch sizes 1, 4, 16 and 64 with and without adaptive learning rate clipping of losses to 3 standard deviations above their running means. Training is more stable for squared errors than quartic errors. Learning curves are 500 iteration boxcar averaged.

**Count Statistics**

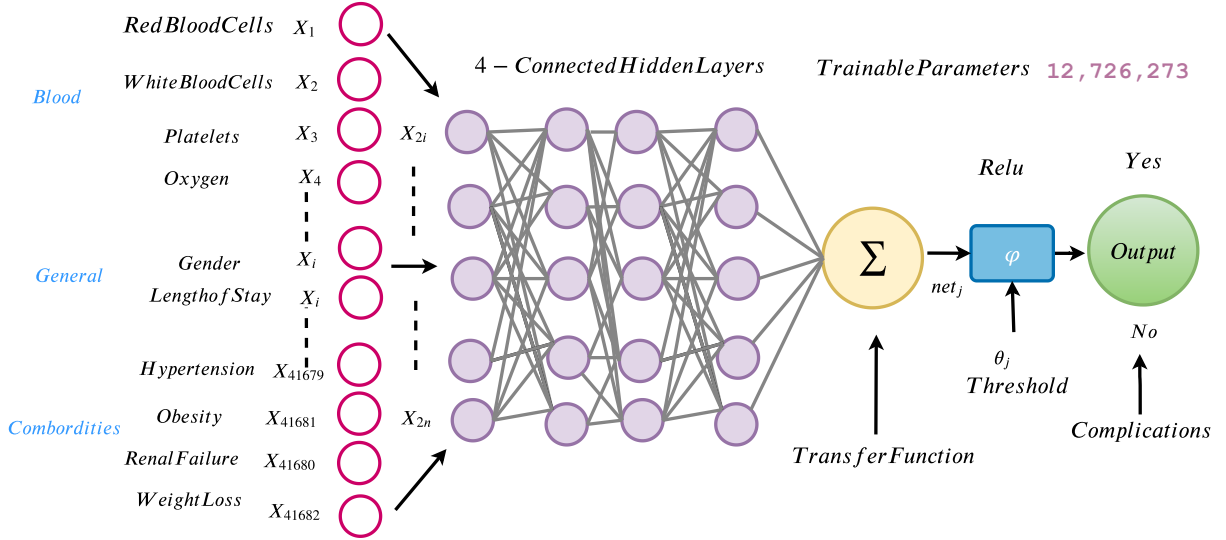
Threshold	Items		Classes		Expiry vs Complications		Batch Size 64	
	Mean	Std Dev	Mean	Std Dev	Mean	Std Dev	Mean	Std Dev
2	5.55	0.048	4.96	0.016	4.58	0.010	-	-
3	5.52	0.054	4.96	0.029	4.58	0.004	3.90	0.013
4	5.56	0.048	4.97	0.017	4.58	0.007	3.89	0.016
$\infty$	5.55	0.041	4.98	0.017	4.59	0.006	3.89	0.014

**Quartic Errors**

Threshold	Batch Size 1		Batch Size 4		Batch Size 16		Batch Size 64	
	Mean	Std Dev	Mean	Std Dev	Mean	Std Dev	Mean	Std Dev
2	3.54	0.084	3.02	0.023	2.60	0.012	1.65	0.011
3	3.59	0.055	3.08	0.024	2.61	0.014	1.58	0.016
4	3.61	0.054	3.13	0.023	2.64	0.016	1.57	0.016
$\infty$	3.88	0.108	3.32	0.037	2.74	0.020	1.61	0.008

**TABLE III:** Adaptive learning rate clipping (ALRC) for losses 2, 3, 4 and  $\infty$  running standard deviations above their running means for batch sizes 1, 4, 16 and 64. ALRC was not applied for clipping at  $\infty$ . Each squared and quartic error mean and standard deviation is for the means of the final 5000 training errors of 10 experiments. ALRC lowers errors for unstable quartic error training at low batch sizes and otherwise has little effect. Means and standard deviations are multiplied by 100.





**Fig. 7:** Neural network completions of  $512 \times 512$  scanning transmission electron microscopy images from 1/20 coverage blurred spiral scans.

#### IV. EXPERIMENTS: PARTIAL-STEM

To test ALRC in practice, we applied our algorithm to neural networks learning to complete  $512 \times 512$  scanning transmission electron microscopy (STEM) images from partial scans with 1/20 coverage. Example completions are shown in fig. 7.

**Data pipeline:** In order, each image was subject to a random combination of flips and  $90^\circ$  rotations to augment the dataset by a factor of 8. Next, each STEM images was blurred and a path described by a 1/20 coverage spiral was selected. Finally, artificial noise was added to scans to make them more difficult to complete.

**Architecture:** Our network can be divided into the three subnetworks shown in fig. 8: an inner generator, outer generator and an auxiliary inner generator trainer. The auxiliary trainer[7, 8] is introduced to provide a more direct path for gradients to backpropagate to the inner generator. Each convolutional layer is followed by ReLU activation, except the last.

**Initialization:** Weights were initialized from a normal distribution with mean 0.00 and standard deviation 0.05. There are no biases.

**Weight normalization:** All generator weights are weight normalized[9] and a weight normalization initialization pass was performed after weight initialization. Following [9, 10], running mean-only batch normalization was applied to the output channels of every convolutional layer except the last. Channel means were tracked by exponential moving averages with decay rates of 0.99. Similar to [11], running mean-only batch normalization was frozen in the second half of training to improve stability.

**Loss functions:** The auxiliary inner generator trainer learns to generate half-size completions that minimize MSEs from half-size blurred ground truth STEM images. Meanwhile, the

outer generator learns to produce full-size completions that minimize MSEs from blurred STEM images. All MSEs were multiplied by 200. The inner generator cooperates with the auxiliary inner generator trainer and outer generator.

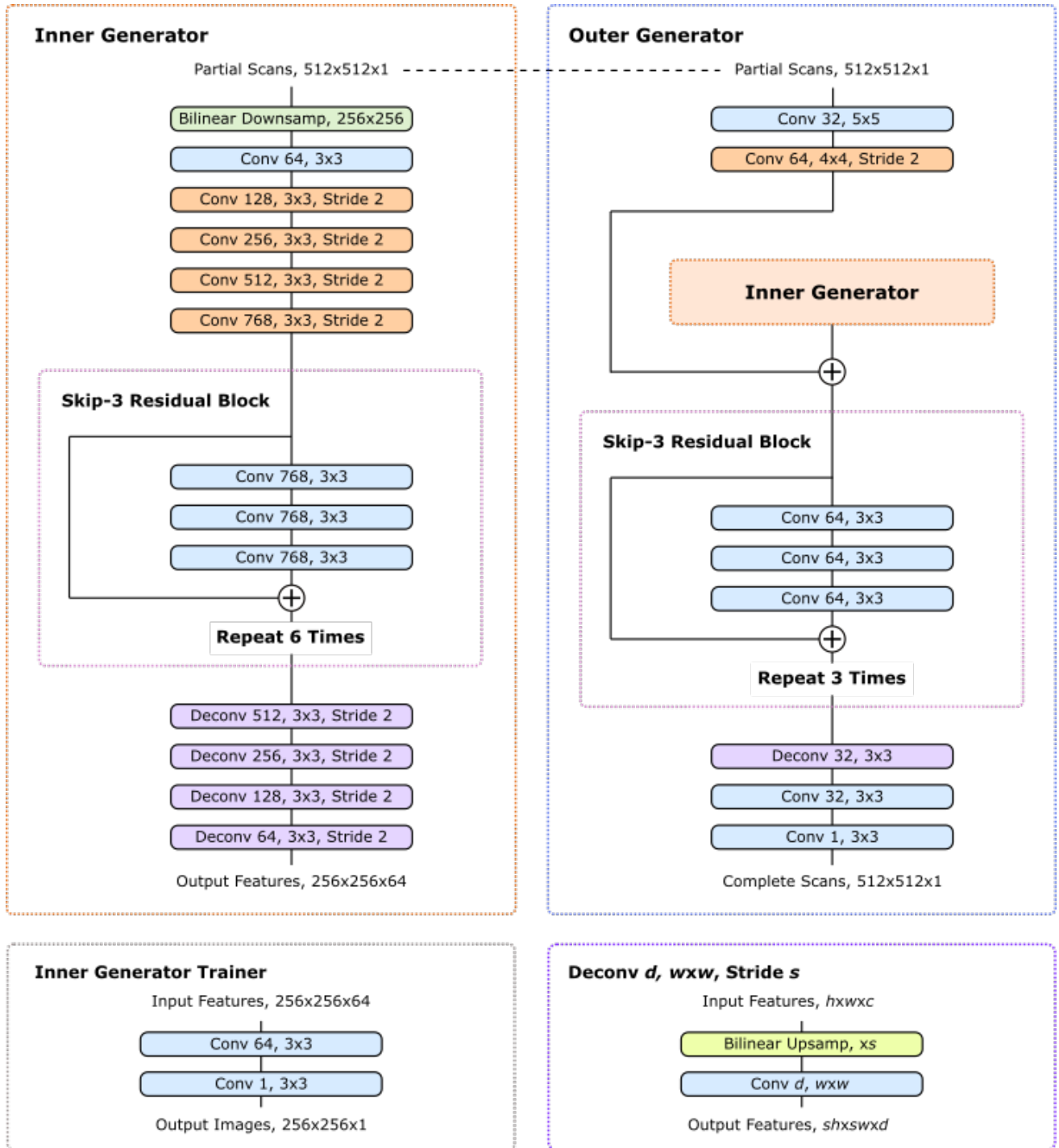
To benchmark ALRC, we investigated training with MSEs, Huberized ( $h = 1$ ) MSEs, MSEs with ALRC and Huberized ( $h = 1$ ) MSEs with ALRC before Huberization. Training with both ALRC and Huberization showcases the ability of ALRC to complement another loss function modification.

**Learning policy:** ADAM optimization[6] was used with a constant generator learning rate of 0.0003 and a first moment of the momentum decay rate,  $\beta_1 = 0.9$ , for 250000 iterations. In the next 250000 iterations, the learning rate and  $\beta_1$  were linearly decayed in eight steps to zero and 0.5, respectively. The learning rate for the auxiliary inner generator trainer was two times the generator learning rate;  $\beta_1$  were the same. All training was performed with batch size 1 due to the large model size needed to complete  $512 \times 512$  scans.

**Results:** Outer generator losses in fig. 9 show that ALRC and Huberization stabilize learning. Further, ALRC accelerates MSE and Huberized MSE convergence to lower losses. To be clear, learning policy was optimized for MSE training so direct loss comparison is uncharitable to ALRC.

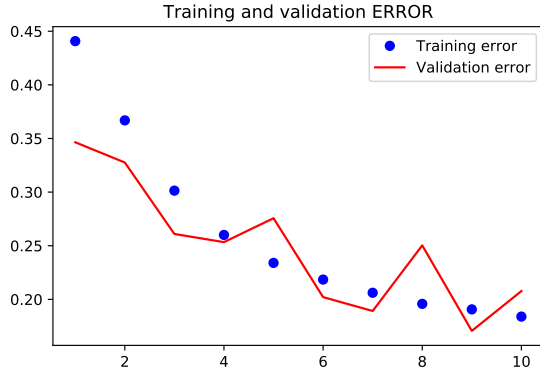
#### V. DISCUSSION

Taken together, our CIFAR-10 supersampling results show that ALRC improves stability and lowers losses for learning that would be destabilized by loss spikes and otherwise has little effect. Loss spikes are often encountered when training with high learning rates, high order loss functions or small batch sizes. However, a moderate learning rate was used in MSE experiments so losses did not spike enough to destabilize learning. In contrast, mean quartic error training is unstable so ALRC stabilizes training and lowers losses.



**Fig. 8:** Two-stage generator that completes  $512 \times 512$  micrographs from partial scans. A dashed line indicates that the same image is input to the inner and outer generator. Large scale features developed by the inner generator are locally enhanced by the outer generator and turned into images. An auxiliary inner generator trainer restores images from inner generator features to provide direct feedback.





**Fig. 9:** Outer generator losses show that ALRC and Huberization stabilize learning. ALRC lowers final mean squared error (MSE) and Huberized MSE losses and accelerates convergence. Learning curves are 2500 iteration boxcar averaged.

Similar results are confirmed for partial-STEM where ALRC stabilizes learning and lowers losses.

ALRC is designed to complement existing learning algorithms with new functionality. It is effective for any loss function or batch size and can be applied to any neural network trained with a variant of stochastic gradient descent. Our algorithm is also computationally inexpensive, requiring orders of magnitude fewer operations than other layers typically used in neural networks. As ALRC either stabilizes learning or has little effect, this means that it is suitable for routine application to arbitrary neural network training with SGD. In addition, we note that ALRC is a simple algorithm that has a clear effect on learning.

Nevertheless, ALRC can replace other learning algorithms in some situations. For instance, ALRC is a computationally inexpensive alternative to gradient clipping in high batch size training where gradient clipping is being used to limit perturbations by loss spikes. However, it is not a direct replacement as ALRC preserves the distribution of backpropagated gradients whereas gradient clipping reduces large gradients. Instead, ALRC is designed to complement gradient clipping by limiting perturbations by large losses while gradient clipping modifies gradient distributions.

The implementation of ALRC in algorithm ?? is for positive losses. This avoids the need to introduce small constants to prevent divide-by-zero errors. Nevertheless, ALRC can support negative losses by using standard methods to prevent divide by zero errors. Alternatively, a constant can be added to losses to make them positive without affecting learning.

ALRC can also be extended to limit losses more than a number of standard deviations below their mean. This had no effect in our experiments. However, preemptively reducing loss spikes by clipping rewards between user-provided upper and lower bounds can improve reinforcement learning[12]. Subsequently, we suggest that clipping losses below their means did not improve learning because losses mainly spiked above their means; not below. Some partial-STEM losses

did spike below; however, they were mainly for blank or otherwise trivial completions.

## VI. CONCLUSIONS

We have developed ALRC to stabilize the training of artificial neural networks by limiting backpropagated losses. Our experiments show that ALRC accelerates convergence and lowers losses for learning that would be destabilized by loss spikes and otherwise has little effect. Further, ALRC is computationally inexpensive, can be applied to any loss function or batch size, does not affect the distribution of backpropagated gradients and has a clear effect on learning. Overall, ALRC complements existing learning algorithms and can be routinely applied to arbitrary neural network training with SGD.

## VII. SOURCE CODE

Source code for CIFAR-10 supersampling experiments and a TensorFlow[13] implementation of ALRC is available at <https://github.com/faisalmaqbool94/Predicting-Post-Procedural-Complications-Using-MIM>

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## VIII. ACKNOWLEDGEMENTS

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