

Reinforcement Learning Approach to Prescription Safety Under Incomplete Patient Information: A Synthetic Environment Study

Herald Michain Samuel Theo Ginting

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Abstract

Clinical Decision Support Systems (CDSS) suffer from high alert override rates (40-96%) due to context-insensitive rules and inability to handle incomplete Electronic Health Record (EHR) data. This research explores whether reinforcement learning (RL) agents can maintain acceptable prescription safety performance despite 40-60% missing patient data. We formulate prescription safety as a Partially Observable Markov Decision Process (POMDP) and implement Q-learning and SARSA agents in a controlled synthetic environment with 7 common medications and 12-15 drug-drug interactions. Our safety-centered reward function balances severe interaction detection against alert fatigue penalties. The target performance objective is 85% severe interaction detection at 10% false negative rate under 40% missing data. Through systematic evaluation across missing data rates (20%-80%), anticipated results show RL agents can meet these objectives while outperforming static rule-based systems under uncertainty, demonstrating graceful degradation as data incompleteness increases. Results establish a methodology for adaptive clinical decision support under partial observability and provide a foundation for future real-world validation studies.

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1. Introduction

1.1 Background and Motivation

Medication errors remain a critical patient safety issue in modern healthcare, causing approximately 1.5 million preventable adverse drug events (ADEs) annually in the United States, with an economic burden exceeding \$3.5 billion and contributing to 7,000-9,000 deaths per year [1]. Drug-drug inter-

actions (DDIs) and contraindications account for 20-30% of these ADEs [2], making prescription safety a crucial target for intervention.

Clinical Decision Support Systems (CDSS) have been deployed widely in electronic health record (EHR) systems to alert clinicians about potential medication risks. However, current implementations face severe limitations:

Alert Fatigue Crisis: Studies show that 40-96% of CDSS alerts are overridden by clinicians, with override rates reaching 90% for interruptive alerts in some systems [3,4]. This pervasive alert fatigue leads to dangerous scenarios where critical warnings are ignored alongside the numerous false alarms.

Incomplete Data Challenge: Real-world EHR data exhibits 40-60% average incompleteness due to fragmented healthcare systems, delayed laboratory results, patient non-disclosure, and data entry errors [5,6]. Current rule-based CDSS implementations struggle with missing data, defaulting to either over-alerting (generating false alarms) or under-alerting (missing genuine risks).

Static Decision Logic: Rule-based systems employ context-insensitive binary logic that cannot adapt to patient-specific factors, uncertainty levels, or historical patterns. A 35-year-old patient and an 85-year-old patient with identical medication combinations receive identical alerts, despite vastly different risk profiles.

1.2 1.2 Research Gap

While machine learning has advanced drug-drug interaction prediction through Graph Neural Networks and knowledge graphs [7,8], these approaches focus on *classification* (predicting whether an interaction exists) rather than *decision-making* (determining appropriate clinical actions). Reinforcement learning has shown promise in treatment optimization for sepsis and chemotherapy dosing [9,10], but these applications typically assume complete patient information.

The intersection of **adaptive decision-making** and **partial observability** in prescription safety remains largely unexplored. Traditional POMDP solvers are computationally expensive for clinical-scale problems [11], while practical RL implementations have not been systematically evaluated for safety-critical medical decisions under realistic data incompleteness.

1.3 1.3 Research Objectives

This research addresses the question: **Can a reinforcement learning agent learn to make safe prescription decisions under partial observability, maintaining acceptable safety performance even when 40-60% of patient data is missing?**

Primary Objective: Develop an RL agent with target performance objectives of 85% detection rate for severe drug-drug interactions and 10% false negative rate under 40% missing data baseline, while demonstrating graceful degradation as data completeness decreases to 60-80% missing.

Secondary Objectives:

1. Compare RL (Q-learning, SARSA) against Random, Rule-Based, and Perfect Oracle baselines
2. Characterize robustness through systematic evaluation across missing data rates (20%-80%)
3. Demonstrate interpretability of RL decisions through Q-value analysis
4. Validate safety-centered reward function design with alert fatigue penalties

1.4 1.4 Contributions

This work contributes:

1. **Methodology:** RL framework for prescription safety under partial observability with tractable POMDP approximation
 2. **Reward Design:** Safety-centered reward function balancing interaction detection against alert fatigue
 3. **Evaluation Framework:** Systematic robustness assessment across data completeness levels
 4. **Empirical Evidence:** Performance characterization demonstrating RL advantages over static rules in uncertain scenarios
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2 2. Related Work

2.1 2.1 POMDP in Medical Decision-Making

Partially Observable Markov Decision Processes have been applied to healthcare scenarios where patient states are imperfectly observable. Hauskrecht and Fraser (2000) used POMDPs for chronic disease management, optimizing diagnostic policies for coronary heart disease [12]. Schaefer et al. (2005) applied POMDPs to maximize quality-adjusted life years (QALYs) for diagnostic decisions [13]. Lizotte et al. (2012) developed a POMDP framework for early sepsis prediction, reducing false alarms while maintaining detection sensitivity [14].

These works establish POMDPs as appropriate for medical scenarios with incomplete observations. However, exact POMDP solvers become intractable for large state spaces, motivating approximation approaches.

2.2 2.2 Reinforcement Learning for Treatment Optimization

RL has shown success in optimizing sequential treatment decisions. Komorowski et al. (2018) used deep RL to learn sepsis treatment policies from MIMIC-III ICU data, achieving performance comparable to clinician decisions [9]. Raghu et al. (2017) employed continuous state-space models for fluid-vasopressor management [15]. Coronato et al. (2020) applied deep RL to chemotherapy dosing schedules, minimizing drug toxicity while maintaining therapeutic efficacy [10].

While these demonstrate RL’s potential in healthcare, they typically assume relatively complete patient information and focus on treatment optimization rather than safety screening.

2.3 2.3 Alert Fatigue in Clinical Decision Support

Phansalkar et al. (2010) documented drug-drug interaction alert override rates of 49-96% across healthcare systems [3]. Van der Sijs et al. (2006) found 90% override rates for interruptive alerts, attributing this to poor specificity and lack of context-awareness [4]. Ancker et al. (2017) demonstrated that workload and interruptions significantly impact alert response rates [16].

These studies highlight the urgent need for context-aware, adaptive CDSS that balance sensitivity against specificity.

2.4 Synthetic Data in Medical AI

Synthetic environments enable controlled experimentation without patient risk. Chen et al. (2021) surveyed synthetic data generation for healthcare ML, validating its use for algorithm development prior to real-world validation [17]. Choi et al. (2017) developed MedGAN for generating synthetic EHR records [18]. The FDA has issued guidance accepting synthetic data for medical device validation in pre-clinical phases [19].

3 Methodology

3.1 Problem Formulation as POMDP

We formulate prescription safety as a Partially Observable Markov Decision Process, formally defined as a 7-tuple:

$$\text{POMDP} = (S, A, T, R, \Omega, O, \gamma)$$

3.1.1 State Space (S)

The true patient state $s \in S$ represents complete clinical reality (hidden from the agent):

$$s = \langle \text{age}, \mathbf{C}, \mathbf{M}, \phi, r_{\text{DDI}}, r_{\text{contra}} \rangle$$

where:

- $\text{age} \in [18, 85]$ - patient demographics
- $\mathbf{C} \subseteq \mathcal{C}$ - true medical conditions (\mathcal{C} = condition universe)
- $\mathbf{M} \subseteq \mathcal{D}$ - current medications (\mathcal{D} = drug set)
- ϕ - hidden physiological states (renal function, hepatic function, metabolism rate)
- $r_{\text{DDI}} \in [0, 20]$ - true drug-drug interaction risk
- $r_{\text{contra}} \in [0, 10]$ - true contraindication risk

3.1.2 Observation Space (Ω)

The agent receives partial observations $o \in \Omega$:

$$o = \langle \text{age}, \mathbf{C}_{\text{vis}}, \mathbf{M}, \mathbf{L}, c \rangle$$

where:

- $\mathbf{C}_{\text{vis}} \subseteq \mathbf{C}$ - visible conditions (subset of true conditions)
- $\mathbf{L} \subseteq \phi$ - available lab results (may be empty)
- $c \in [0, 1]$ - data completeness indicator

3.1.3 Observation Function (O)

The observation function $P(o|s)$ models EHR incompleteness:

$$P(\mathbf{C}_{\text{vis}}|\mathbf{C}) = \prod_{c_i \in \mathbf{C}} \begin{cases} p_{\text{obs}} & \text{if } c_i \in \mathbf{C}_{\text{vis}} \\ 1 - p_{\text{obs}} & \text{otherwise} \end{cases}$$

where $p_{\text{obs}} = 0.6$ (baseline 40% missing rate).

Laboratory results availability follows:

$$\begin{aligned} P(\mathbf{L} = \phi|s) &= p_{\text{lab}} \\ P(\mathbf{L} = \emptyset|s) &= 1 - p_{\text{lab}} \end{aligned}$$

where $p_{\text{lab}} = 0.6$.

3.1.4 Action Space (A)

The agent selects from four clinical actions:

$$A = \{\text{APPROVE}, \text{WARN}, \text{SUGGEST_ALT}, \text{REQUEST_DATA}\}$$

APPROVE (0): Prescription deemed safe, proceed without intervention

WARN (1): Flag potential risk for clinician review

SUGGEST_ALT (2): Recommend alternative medication

REQUEST_DATA (3): Request additional patient information before decision

REQUEST_DATA Mechanism: In our episodic formulation, REQUEST_DATA is modeled as an information-seeking action that provides reward shaping based on current uncertainty level (data completeness). While the current episode terminates after action selection, the reward structure incentivizes the agent to recognize high-uncertainty scenarios where additional data would improve decision quality. This models the clinical practice of deferring decisions pending laboratory results. Future multi-step extensions could implement actual observation updates following data requests.

3.1.5 Reward Function (R)

Our safety-centered reward function balances interaction detection against alert fatigue:

$$R(s, a) = \begin{cases} +2 & \text{if } a = \text{APPROVE} \wedge r_{\text{total}}(s) = 0 \\ -2 - r_{\text{total}}(s) & \text{if } a = \text{APPROVE} \wedge r_{\text{total}}(s) > 0 \\ +3 & \text{if } a = \text{WARN} \wedge r_{\text{total}}(s) > 5 \\ -1 & \text{if } a = \text{WARN} \wedge r_{\text{total}}(s) \leq 2 \\ +4 & \text{if } a = \text{SUGGEST_ALT} \wedge r_{\text{total}}(s) > 8 \\ +2(1 - c) & \text{if } a = \text{REQUEST_DATA} \wedge c < 0.7 \\ -0.5 & \text{if } a = \text{REQUEST_DATA} \wedge c \geq 0.7 \end{cases}$$

where $r_{\text{total}}(s) = r_{\text{DDI}}(s) + r_{\text{contra}}(s)$ is total risk.

Design Rationale: - Severe penalties (-10 to -2) for approving risky prescriptions (false negatives)
 - Moderate rewards (+2 to +4) for correct risk flagging - Small penalty (-1) for false alarms (alert fatigue)
 - Incentive for data requests when uncertainty is high

3.1.6 3.1.6 Transition Function (T) and Discount Factor ()

We employ an episodic formulation where each episode represents one prescription decision:

$$T(s'|s, a) = P_{\text{patient}}(s')$$

New patient sampled from population distribution each episode. Discount factor $\gamma = 0.95$ maintains general RL framework compatibility.

3.2 3.2 Reinforcement Learning Algorithms

3.2.1 3.2.1 State Encoding

True POMDP belief state tracking is computationally prohibitive. We approximate via feature aggregation:

$$\text{encode}(o) = \langle \text{sort}(\mathbf{M}), \lfloor \text{age}/10 \rfloor, \lfloor 10c \rfloor, \text{sort}(\mathbf{C}_{\text{vis}}) \rangle$$

This produces discrete state space tractable for tabular methods (estimated ~50,000 states).

3.2.2 3.2.2 Q-Learning (Off-Policy TD Control)

Q-learning update rule:

$$Q(s, a) \leftarrow Q(s, a) + \alpha[r + \gamma \max_{a'} Q(s', a') - Q(s, a)]$$

Hyperparameters: - Learning rate $\alpha = 0.1$ - Discount factor $\gamma = 0.95$ - Exploration rate $\epsilon = 0.2$ (training), $\epsilon = 0$ (evaluation)

3.2.3 3.2.3 SARSA (On-Policy TD Control)

SARSA update rule (more conservative for safety-critical domains):

$$Q(s, a) \leftarrow Q(s, a) + \alpha[r + \gamma Q(s', a') - Q(s, a)]$$

where a' is the action actually taken (not necessarily optimal).

Rationale: On-policy learning produces safer exploration policies by learning the value of the policy being followed, including exploration noise.

3.3 Synthetic Environment Design

3.3.1 Patient Generation

Synthetic patients sampled from realistic distributions:

- **Age:** Uniform(18, 85)
- **Conditions:** Sample $k \sim \text{Uniform}(0, 3)$ from $\mathcal{C} = \{\text{diabetes, hypertension, renal_impairment, heart_failure, atrial_fibrillation}\}$
- **Medications:** Sample $m \sim \text{Uniform}(1, 4)$ from $\mathcal{D} = \{\text{warfarin, aspirin, ibuprofen, metformin, lisinopril, atorvastatin, amlodipine}\}$
- **Hidden States:**
 - Renal function: $P(\text{impaired}) = 0.3$
 - Hepatic function: $P(\text{impaired}) = 0.2$

3.3.2 Drug Knowledge Base

Data Sources: - Drug-Drug Interactions: DrugBank [20], DDInter [21], FDA Drug Interaction Database - Contraindications: Guide to PHARMACOLOGY, FDA drug labels - Severity Classification: Manual curation from clinical guidelines

Knowledge Base Schema:

```
{
  "warfarin+aspirin": {
    "severity": "high",
    "mechanism": "increased_bleeding_risk",
    "penalty": -10
  },
  "metformin": {
    "contraindications": ["renal_impairment"],
    "penalty": -8
  }
}
```

12-15 clinically validated DDI pairs with severity levels (high: -10, medium: -5, low: -2).

3.4 Baseline Comparisons

3.4.1 Random Policy

$$\pi_{\text{random}}(a|s) = \frac{1}{|A|} = 0.25$$

Provides lower-bound performance expectation.

3.4.2 Rule-Based CDSS

```
IF high_severity_DDI_visible(o):
  RETURN WARN
ELSE IF contraindication_visible(o):
  RETURN SUGGEST_ALT
```


ELSE:

 RETURN APPROVE

Emulates current clinical CDSS logic (static, context-insensitive).

3.4.3 3.4.3 Perfect Oracle

Oracle with access to true state s (not just observation o):

```
risk = compute_true_risk(s)
IF risk > 10: RETURN SUGGEST_ALT
ELSE IF risk > 5: RETURN WARN
ELSE: RETURN APPROVE
```

Represents theoretical upper bound (100% data completeness).

3.5 3.5 System Architecture

The implementation follows a modular architecture organized into five core layers (Figure 1).

3.5.1 3.5.1 Knowledge Layer

The knowledge base stores pharmacological ground truth in structured JSON files: `drugs.json` (drug metadata), `interactions.json` (DDI pairs with severity classifications), `contraindications.json` (drug-condition contraindications), and `severity_matrix.json` (penalty mappings). Data sources include DrugBank, DDInter, and FDA drug labels. A `KnowledgeBase` class provides centralized access with validation methods to ensure consistency.

3.5.2 3.5.2 Environment Layer

Patient Generator: Samples synthetic patients from realistic distributions (age, conditions, medications, hidden physiological states). Implements `sample()` method returning `Patient` objects with complete (hidden) clinical state.

Observation Model: Simulates EHR incompleteness via stochastic data masking. The `observe(patient)` method takes true patient state and returns partial `Observation` with configurable missing rate, tracking data completeness indicator.

Reward Function: Implements safety-centered reward computation. Takes true patient state, action, and observation context to compute scalar rewards balancing detection against alert fatigue.

CDSS Environment: Orchestrates all components via standard RL interface (`reset()`, `step(action)`). Maintains current patient state, coordinates observation generation, reward computation, and episode termination.

3.5.3 3.5.3 Agent Layer

State Encoding: `encode_state(observation)` converts partial observations to discrete state tuples via feature aggregation (medication combinations, age buckets, data completeness levels, visible conditions). Produces tractable state space (~50K states) for tabular methods.

Q-Learning/SARSA Agents: Implement tabular value-based RL with ϵ -greedy exploration. Maintain Q-tables as defaultdicts, provide `select_action(state)` and `update(...)` methods. SARSA uses on-policy updates for more conservative exploration in safety-critical domains.

Baseline Policies: Three comparison agents: `RandomPolicy` (uniform random), `RuleBasedCDSS` (static if-then rules on visible data only), `PerfectOracle` (optimal decisions given complete information).

3.5.4 3.5.4 Training Module

Trainer class manages episodes loop (500 iterations), logging (rewards, TD errors), progress monitoring (100-episode checkpoints), and model persistence. Coordinates environment resets, action selection, Q-value updates, and history aggregation.

3.5.5 3.5.5 Evaluation Module

SafetyMetrics: Runs evaluation episodes (greedy policy), classifies outcomes (severe detected/missed, false warnings), computes detection rate, FNR, precision, safety score.

RobustnessTester: Systematic evaluation across missing data rates (20%, 40%, 60%, 80%), generates degradation curves.

Comparator: Executes all baselines on identical test sets, performs statistical testing (paired t-tests, 95% CIs), aggregates results for visualization.

3.5.6 Data Flow

Training pipeline: `Trainer` \rightarrow `Environment.reset()` \rightarrow `PatientGenerator` \rightarrow `ObservationModel` \rightarrow `Agent.select_action()` \rightarrow `Environment.step()` \rightarrow `RewardFunction` \rightarrow `Agent.update()`. Evaluation follows similar flow with `gamma=0` and metrics aggregation.

4 4. Experimental Design

4.1 4.1 Evaluation Metrics

4.1.1 Primary Safety Metrics

Detection Rate (Recall):

$$DR = \frac{\text{Severe DDIs Detected}}{\text{Total Severe DDIs Present}}$$

Target: $DR \geq 0.85$

False Negative Rate:

$$FNR = \frac{\text{Missed Severe DDIs}}{\text{Total Severe DDIs}}$$

Target: $FNR \leq 0.10$

Safety Score:

$$\text{SafetyScore} = \frac{1}{2}(DR - FNR)$$

Target: $\text{SafetyScore} \geq 0.40$

4.1.2 Decision Quality Metrics

Precision:

$$\text{Precision} = \frac{\text{TP}}{\text{TP} + \text{FP}}$$

Target: ≥ 0.70

F1-Score:

$$F_1 = 2 \cdot \frac{\text{Precision} \cdot \text{Recall}}{\text{Precision} + \text{Recall}}$$

Target: ≥ 0.75

False Alarm Rate:

$$\text{FAR} = \frac{\text{False Warnings}}{\text{Total Decisions}}$$

Target: ≤ 0.15

4.1.3 Robustness Metrics

Performance across missing data rates $\rho \in \{0.2, 0.4, 0.6, 0.8\}$:

$$\text{RobustnessScore} = \frac{1}{|\mathcal{P}|} \sum_{\rho \in \mathcal{P}} \text{DR}(\rho)$$

Target: ≥ 0.80

Degradation Rate:

$$\Delta = \frac{\text{DR}(0.2) - \text{DR}(0.6)}{0.4}$$

Target: $\Delta \leq 0.5$ (0.5% per percentage point)

4.2 Experimental Protocol

4.2.1 Phase 1: Training (500 episodes)

1. Initialize $Q(s, a) = 0$ for all (s, a) pairs
2. For $t = 1$ to 500:
 - Sample patient $s \sim P_{\text{patient}}$
 - Generate observation $o \sim P(o|s)$
 - Encode state $\tilde{s} = \text{encode}(o)$
 - Select action $a \sim \pi_{\epsilon}(\cdot|\tilde{s})$ (ϵ -greedy)
 - Compute reward $r = R(s, a)$
 - Update $Q(\tilde{s}, a)$ via Q-learning or SARSA
 - Log: reward, TD error, state visits

4.2.2 Phase 2: Evaluation (100 test episodes, greedy policy)

1. Set $\epsilon = 0$ (no exploration)
2. Evaluate on 100 held-out synthetic patients
3. Compute all performance metrics
4. Record decision traces for interpretability analysis

4.2.3 Phase 3: Robustness Testing

For each missing rate $\rho \in \{0.2, 0.4, 0.6, 0.8\}$: 1. Configure observation model: $p_{\text{obs}} = 1 - \rho$ 2. Evaluate agent on 100 episodes 3. Record detection rate, precision, recall

4.2.4 Phase 4: Baseline Comparison

1. Train RL agents with 5 different random seeds
2. Evaluate all baselines (Random, Rule-Based, Oracle) on same test set
3. Compute mean \pm std for all metrics
4. Statistical testing: Paired t-test ($p < 0.01$ for significance)

Statistical Power Consideration: Given the limited number of independent runs ($n=5$), results are interpreted as indicative rather than conclusive. Statistical significance is reported where achieved, with primary focus on consistent performance trends observed across varying missing data regimes (20%-80%). This sample size is standard for RL benchmarking studies but acknowledged as a limitation for definitive clinical validation.

4.3 4.3 Statistical Validation

Confidence Intervals (95%):

$$\bar{x} \pm t_{0.025, n-1} \cdot \frac{s}{\sqrt{n}}$$

where \bar{x} is sample mean, s is standard deviation, $n = 5$ independent runs.

Hypothesis Testing: - Null hypothesis H_0 : $\mu_{\text{RL}} = \mu_{\text{baseline}}$ - Alternative H_1 : $\mu_{\text{RL}} > \mu_{\text{baseline}}$ - Significance level: $\alpha = 0.01$

5 5. Expected Results and Discussion

5.1 5.1 Anticipated Performance

Based on related work in RL for medical decisions and POMDP applications, we anticipate:

RL Agent (Q-Learning/SARSA): - Detection Rate: 85-90% - False Alarm Rate: 10-15% - Convergence: 300-500 episodes - Robustness at 60% missing data: 70-75% detection rate

Comparative Performance: - **vs Random:** +60 percentage points detection rate ($p < 0.001$) - **vs Rule-Based at 60% missing:** +15-20 percentage points ($p < 0.01$) - **vs Oracle at 40% missing:** Within 5-10 percentage points

5.2 5.2 Key Hypotheses

H1 (Safety Performance): RL agent will achieve 85% detection rate with 10% FNR at 40% missing data baseline, significantly outperforming random policy.

H2 (Robustness Advantage): RL will outperform rule-based CDSS at high missing data rates (60%), demonstrating adaptive behavior under uncertainty.

H3 (Graceful Degradation): Performance decline will be linear and gradual (0.5% per percentage point) rather than catastrophic.

H4 (Interpretability): Q-value analysis will reveal coherent decision patterns with 90% consistency for similar patient states.

5.3 Limitations and Future Work

Current Limitations: 1. Synthetic environment only (not validated on real EHR data) 2. Small drug set (7 drugs, 15 interactions) - scalability to hundreds of drugs uncertain 3. Tabular RL - limited to discrete state spaces 4. No human factors evaluation (clinician trust, workflow integration) 5. Episode-based (single-decision) - does not model multi-step treatment sequences

Mitigation Strategies: - Clear documentation: “methodological demonstration, NOT production software” - Modular architecture for future scaling to DQN/PPO - Comprehensive baselines for contextualization - Statistical rigor (5 independent runs, CIs, hypothesis testing)

Future Directions: 1. **Real Data Validation:** IRB-approved study with de-identified EHR data 2. **Scalability:** Extend to deep RL (DQN, PPO) for larger drug sets (50-100 medications) 3. **Multi-Step Decisions:** Model sequential prescribing over patient episodes 4. **Human-in-the-Loop:** Clinician feedback integration, trust calibration 5. **Production Deployment:** FDA software-as-medical-device pathway, continuous monitoring

6 Conclusion

This research explores reinforcement learning for prescription safety under realistic data incompleteness. By formulating the problem as a POMDP and implementing practical RL approximations (Q-learning, SARSA with state encoding), we aim to demonstrate that adaptive agents can maintain 85% severe interaction detection despite 40-60% missing patient data.

Our contributions include: (1) a tractable RL methodology for safety-critical medical decisions under partial observability, (2) a safety-centered reward function balancing detection against alert fatigue, (3) systematic robustness evaluation across data completeness levels, and (4) comparative analysis against static rule-based systems.

If successful, this work establishes a foundation for adaptive clinical decision support systems that gracefully handle uncertainty, potentially reducing the alert fatigue crisis while improving patient safety. The synthetic environment approach enables ethical experimentation without patient risk, with clear pathways for future real-world validation.

Reproducibility: All code, data, and documentation will be openly available at:
<https://github.com/loxleytsck/adaptive-cdss-under-uncertainty>

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Author Information:

Herald Michain Samuel Theo Ginting

Email: heraldmsamueltheo@gmail.com

GitHub: <https://github.com/loxleyftsck>

Repository: <https://github.com/loxleyftsck/adaptive-cdss-under-uncertainty>

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