# A transfer to utility study using the R package TTU

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#### Abstract

Background: Background text.

Objectives: We aimed to: Add study objectives here.

Methods: Add abstract here.

Results: Add results here.

Conclusions: Add conclusion here

Data: Add details on dataset.

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### 1 Introduction

This article is an automatically generated scientific summary of a study that the authors implemented using the R package TTU [1].

Our study aimed to identify the best TTU regression models to predict Assessment of Quality of Life - Six Dimension (AQoL-6D) utility and evaluate the predictive ability of two candidate measures of depression and psychological distress.

### 2 Methods

### 2.1 Sample and setting

#### 2.2 Measures

Data was collected on utility weights, two candidate predictors of utility weights and descriptive population characteristics.

#### 2.2.1 Utility weights

Utility weights were assessed using the AQoL-6D multi-attribute utility instrument.

### 2.2.2 Candidate predictors

Data from two measures of depression (one measure) and psychological distress (one measure) were used as candidate predictors to construct TTU models.

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Depression was measured by Patient Health Questionnaire (PHQ-9 - measured on a scale of 0-27). Psychological distress was measured by Kessler Psychological Distress Scale (6 Dimension) (K6 - measured on a scale of 0-24).

#### 2.2.3 Population characteristics

Population characteristic data were age, relationship status, education and employment status, primary diagnosis and clinical stage.

#### 2.3 Statistical analysis

We implemented the generalised form of the study analysis algorithm developed by Hamilton, Gao and colleagues [2], the key steps of which are described as follows.

#### 2.3.1 Descriptive statistics

Basic descriptive statistics were used to characterise the cohort in terms of baseline population variables. Pearson's Product Moment Correlations (r) were used to determine the relationships between candidate predictors and the AQoL-6D utility score.

#### 2.3.2 TTU regression models

We compared predictive performance of a range of models predicting AQoL-6D utility scores using the candidate predictor that had the highest Pearson correlation coefficient with utility scores. The models compared include ordinary least squares (OLS) regression models and generalised linear models (GLMs). OLS regression models used no transformation, complementary log log transformation, logit transformation, log log transformation and log transformation. GLMs used gaussian distribution and log link, beta distribution and complementary log log link and beta distribution and logit link. Ten-fold cross-validation was used to compare model fitting using training datasets and predictive ability using testing datasets using three indicators including R<sup>2</sup>, root mean square error (RMSE) and mean absolute error (MAE) [3,4].

To evaluate whether candidate predictors could independently predict utility scores, we established multivariate prediction models using baseline data with the candidate predictor and demographic, functioning and clinical covariates. Demographic covariates were age, relationship status and education and employment status. The functioning covariate was social and occupational functioning assessment scale. Clinical covariates were clinical stage and primary diagnosis.

#### 2.3.3 Candidate predictor comparison

We compared the usefulness of the candidate predictors by using a random forest model including both candidate predictors and by evaluating the independent predictive ability of different candidate predictors using 10-fold cross-validation.

#### 2.3.4 Longitudinal transfer to utility models

We next established longitudinal models using linear mixed effect models (LMMs) and generalised linear mixed effect models (GLMMs) that included both the baseline and follow-up data. Model fitting was evaluated using Bayesian R<sup>2</sup> [5].

#### 2.3.5 Secondary analyses

One secondary analysis was undertaken. The secondary analysis used Social and Occupational Functioning Assessment Scale as a predictor.

#### 2.3.6 Software

We undertook all our analyses using R 4.0.5 [6] using the TTU package [1].

Table 1: Participant characteristics

			eline	Follow-Up	
		(N =	1068)	(N =	643)
	Mean (SD)	17.56	(3.09)	17.77	(3.09)
	Median (Q1 Q3)	17.00	(15.00 20.00)	18.00	(16.00 20.00)
$\mathbf{Age}$	Min - Max	12.00	25.00	12.00	25.00
	Missing	0.00		0.00	
	In a relationship	317.00	(29.68%)	190.00	(29.55%)
Relationship Status	Not in a relationship	751.00	(70.32%)	453.00	(70.45%)
r	Missing	0.00		0.00	
	Not studying or working	159.00	(15.35%)	152.00	(24.40%)
	Studying and working	305.00	(29.44%)	146.00	(23.43%)
Education and Employment	Studying only	405.00	(39.09%)	167.00	(26.81%)
Status	Working only	167.00	(16.12%)	158.00	(25.36%)
	Missing	32.00		20.00	
	Anxiety	264.00	(26.01%)	175.00	(29.02%)
	Depression	182.00	(17.93%)	140.00	(23.22%)
n' n' '	Depression and Anxiety	332.00	(32.71%)	152.00	(25.21%)
Primary Diagnosis	Other	237.00	(23.35%)	136.00	(22.55%)
	Missing	53.00		40.00	
	0-1a	625.00	(60.27%)	249.00	(39.78%)
	1b	326.00	(31.44%)	216.00	(34.50%)
Clinical Stage	2-4	86.00	(8.29%)	161.00	(25.72%)
	Missing	31.00		17.00	

## 3 Results

#### 3.1 Cohort characteristics

Participants characteristics at baseline and follow-up are displayed in Table 1. This study included all 1068 participants with complete AQoL-6D data.

There were 643 participants (60.2%) who completed AQoL-6D questions at the follow-up survey three months after baseline assessment.

## 3.2 AQoL-6D and candidate predictors

Distribution of AQoL-6D total utility score and sub-domain scores are displayed in Figure 1. The mean utility score at baseline is 0.61 (SD = 0.19) and is 0.69 (SD = 0.18) at follow-up. Distribution of candidate predictors, PHQ-9 and K6, are summarised in Table 2. PHQ-9 was found to have the highest correlation with utility score both at baseline and follow-up followed by K6.

Table 2: Candidate predictors distribution parameters and correlations with AQoL-6D utility

		Bas	seline	Follo	ow-Up	
		(N =	1068)	(N =	643)	p
T 1 D 11 ' 1	Mean (SD)	12.08	(5.60)	10.10	(5.66)	0.00
Kessler Psychological Distress Scale (6	Missing	1.00		2.00		0.00
Dimension) $(0-24)$	Correlation with AQOL-6D	-0.67		-0.69		0.00, 0.00
	Mean (SD)	12.65	(6.23)	9.74	(6.21)	0.00
Patient Health	Missing	4.00		2.00		0.00
Questionnaire $(0-27)$	Correlation with AQOL-6D	-0.78		-0.80		0.00, 0.00

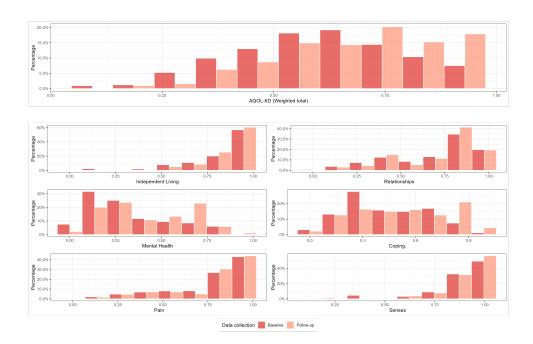


Figure 1: Distribution of AQoL-6D domains

## 3.3 TTU regression model performance

The 10-fold cross-validated model fitting index from TTU models using PHQ-9 are reported in Table A.1 in the Supplementary Material. The best OLS model was found to be either no transformation, log transformation or clog-log transformation. Both GLM with Gaussian distribution and log link and OLS with clog-log transformation were selected for further evaluation. Predictive ability of each candidate predictor using baseline data were also compared using 10-fold cross-validation.

Table A.2 illustrates that PHQ-9 had the highest predictive ability followed by K6. This is consistent with the random forest model in which PHQ-9 was found to be the most 'important' predictor (see Figure A.1). The confounding effect of other participant characteristics when using the candidate predictors in predicting utility score were also evaluated. Using the baseline data, SOFAS was found to independently predict utility scores in models for both candidate predictors (p<0.01).

## 3.4 Longitudinal TTU regression models

Regression coefficients of the baseline score and score changes (from baseline to follow-up) estimated in individual GLMM and LLM models are summarised in Table 3. Bayesian  $R^2$  from each model is reported. Modelled residual standard deviations (SDs) were also provided to support simulation studies which need to capture individual level variation. In both GLMM and LLM models, the prediction models using PHQ-9 had the highest  $R^2$  (0.76 and 0.82) and lowest estimated residual SD.  $R^2$  were above 0.8 for all LLM models and above 0.6 for all GLMM models. Variance of the random intercept was comparable with the residual variance.

Table 3: Estimated coefficients from longitudinal TTU models

	GLMM with Gaussian distribution and log link			k LMM with clog-log transformation				on		
Parameter	Estimate	SE	95CI	R2	Sigma	Estimate	SE	95CI	R2	Sigma
PHQ9 model				0.76	0.09				0.82	0.26
SD (Intercept)	0.11	0.01	0.10,  0.13			0.26	0.01	0.24,  0.28		
Intercept	-0.03	0.01	-0.05, -0.01			0.94	0.02	0.89,  0.98		
PHQ9 baseline	-3.81	0.09	-3.98, -3.65			-7.65	0.17	-7.98, -7.32		
PHQ9 change	-2.45	0.12	-2.68, -2.22			-4.74	0.21	-5.16, -4.32		
K6 model				0.74	0.10				0.79	0.28
SD (Intercept)	0.16	0.01	0.15,  0.18			0.34	0.01	0.32,  0.36		
Intercept	-0.05	0.01	-0.08, -0.03			0.89	0.03	0.83,  0.95		
K6 baseline	-3.68	0.12	-3.91, -3.46			-7.45	0.23	-7.90, -6.99		
K6 change	-1.94	0.12	-2.19, -1.70			-3.85	0.22	-4.30, -3.42		

The mean ratio between two coefficients ( $\beta_{change}/\beta_{baseline}$ ) is 0.63 for depression measurements, 0.52 for K6 and between Inf and -Inf for SOFAS.

Distribution of observed and predicted utility scores and their association from GLMM (Gaussian distribution and log link) and LLM (complementary log log transformation) using PHQ-9 are plotted in Figure 2.

We also evaluated models with SOFAS at baseline and SOFAS change from baseline added to depression, psychological distress and functioning predictors (see Tables A.3 and A.4).

Detailed summaries of all models are available in the online data repository (see "Availability of data and materials").

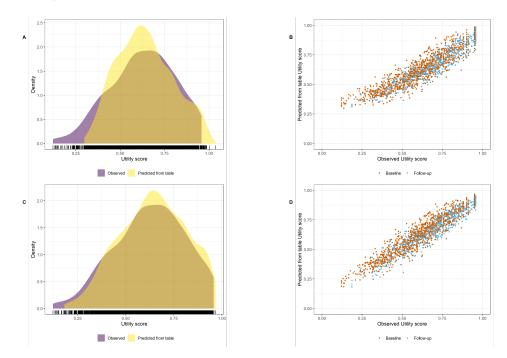


Figure 2: Comparison of observed and predicted AQoL-6D utility score from longitudinal TTU model using PHQ-9 (A) Density plots of observed and predicted utility scores (GLMM (Gaussian distribution and log link)) (B) Scatter plots of observed and predicted utility scores by timepoint (GLMM (Gaussian distribution and log link)) (C) Density plots of observed and predicted utility scores (LLM(complementary log log transformation)) (D) Scatter plots of observed and predicted utility scores by timepoint (LLM (complementary log log transformation))

### 4 Discussion

Add discussion text here.

### 5 Conclusions

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### Availability of data and materials

None available

## Ethics approval

Add ethics text here.

## Funding

Add funding details.

## Conflict of Interest

None declared.

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# A Supplementary Material

## A.1 Additional tables

Table A.1: 10-fold cross-validated model fitting index for different OLS or GLM models for using PHQ9 total

scores as predictor with the baseline data

	Training model fit		Testing model fit		del fit		
	(averaged over 10 folds)				(averaged over 10 folds)		
Model	R2	RMSE	MAE	R2	RMSE	MAE	
OLS							
No transformation	0.60	0.12	0.09	0.60	0.12	0.09	
Complementary Log Log transformation	0.60	0.12	0.09	0.60	0.12	0.10	
Logit transformation	0.59	0.12	0.10	0.59	0.12	0.10	
Log Log transformation	0.57	0.12	0.10	0.57	0.12	0.10	
Log transformation	0.57	0.12	0.10	0.57	0.12	0.10	
$\operatorname{GLM}$							
Gaussian distribution and log link	0.59	0.12	0.10	0.59	0.12	0.10	
Beta distribution and complementary log log link	0.60	0.12	0.09	0.60	0.12	0.10	
Beta distribution and logit link	0.60	0.12	0.10	0.60	0.12	0.10	

<sup>\*</sup> RMSE: Root Mean Squared Error; MAE: Mean Absolute Error

Table A.2: 10-fold cross-validated model fitting index for different candidate predictors estimated using GLM with Gaussian distribution and log link with the baseline data

	Training model fit Testing model fit		del fit			
	(aver	aged over	10 folds)	(avera	aged over	10 folds)
Model	R2	RMSE	MAE	R2	RMSE	MAE
PHQ9	0.59	0.12	0.10	0.59	0.12	0.10
K6	0.44	0.14	0.11	0.44	0.14	0.11

<sup>\*</sup> RMSE: Root Mean Squared Error; MAE: Mean Absolute Error

Table A.3: Estimated coefficients from longitudinal TTU models based on candidate predictors and SOFAS score using LLM (with cloglog transformation)

Parameter*	Estimate	SE	95CI	R2	Sigma
PHQ9 SOFAS model				0.84	0.24
SD (Intercept)	0.24	0.01	0.22,  0.26		
Intercept	-0.16	0.08	-0.32, 0.00		
PHQ9 baseline	-6.72	0.17	-7.05, -6.39		
PHQ9 change	-4.19	0.19	-4.58, -3.82		
SOFAS baseline	1.48	0.11	1.27, 1.70		
SOFAS change	1.05	0.10	0.86, 1.24		
K6 SOFAS model				0.81	0.26
SD (Intercept)	0.30	0.01	0.28,  0.32		
Intercept	-0.61	0.10	-0.80, -0.41		
K6 baseline	-6.24	0.22	-6.66, -5.81		
K6 change	-3.39	0.21	-3.81, -2.97		
SOFAS baseline	2.05	0.13	1.79, 2.31		
SOFAS change	1.24	0.10	1.03, 1.44		

<sup>\*</sup> Calculated as original scores divided by 100

 $\begin{tabular}{ll} Table A.4: Estimated coefficients from longitudinal TTU models based on individual candidate predictors and SOFAS score using GLM (Gaussian distribution with log link) \\ \end{tabular}$ 

Parameter*	Estimate	SE	95CI	R2	Sigma
PHQ9 SOFAS model				0.78	0.09
SD (Intercept)	0.10	0.01	0.09, 0.12		
Intercept	-0.58	0.04	-0.66, -0.49		
PHQ9 baseline	-3.36	0.09	-3.52, -3.19		
PHQ9 change	-2.19	0.11	-2.41, -1.98		
SOFAS baseline	0.74	0.06	0.63,  0.86		
SOFAS change	0.51	0.05	0.41,  0.61		
K6 SOFAS model				0.76	0.09
SD (Intercept)	0.14	0.01	0.12,  0.15		
Intercept	-0.81	0.05	-0.90, -0.71		
K6 baseline	-3.08	0.11	-3.30, -2.87		
K6 change	-1.71	0.12	-1.94, -1.48		
SOFAS baseline	1.03	0.06	0.90, 1.16		
SOFAS change	0.60	0.06	0.48,  0.71		

<sup>\*</sup> Calculated as original scores divided by 100

Package	Version	Citation
arsenal	3.6.3	Ethan Heinzen, Jason Sinnwell, Elizabeth Atkinson, Tina Gunderson and Gregory Dougherty (2021). arsenal: An Arsenal of 'R' Functions for Large-Scale Statistical Summaries. R package version 3.6.3. https://CRAN.R-project.org/package=arsenal
assertthat	0.2.1	Hadley Wickham (2019). assertthat: Easy Pre and Post Assertions. R package version 0.2.1. https://CRAN.R-project.org/package=assertthat
BCEA	2.3-1.1	Baio et al (2017). Bayesian Cost Effectiveness Analysis with the R package BCEA. Springer, New York, NY. doi: 10.1007/978-3-319-55718-2, URL:
betareg	3.1-4	http://www.springer.com/us/book/9783319557168/. Cribari-Neto F, Zeileis A (2010). "Beta Regression in R." _Journalof Statistical Software_, *34*(2), 1-24. doi: 10.18637/jss.v034.i02(URL: https://doi.org/10.18637/jss.v034.i02).
boot	1.3-28	Angelo Canty and Brian Ripley (2021). boot: Bootstrap R (S-Plus) Functions. R package version 1.3-28.
Boruta	7.0.0	Miron B. Kursa, Witold R. Rudnicki (2010). Feature Selection with the Boruta Package. Journal of Statistical Software, 36(11), 1-13. URL http://www.jstatsoft.org/v36/i11/.
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caret	6.0-88	Max Kuhn (2021). caret: Classification and Regression Training. R package version 6.0-88. https://CRAN.R-project.org/package=caret
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simstudy	0.2.1	Keith Goldfeld and Jacob Wujciak-Jens (2020). simstudy: Simulation of Study Data. R package version 0.2.1. https://CRAN.R-project.org/package=simstudy
stats	4.0.5	R Core Team (2021). R: A language and environment for statistical computing. R Foundation for Statistical Computing, Vienna, Austria. URL https://www.R-project.org/.
stringi	1.6.2	https://stringi.gagolewski.com/>.
stringr	1.4.0	Hadley Wickham (2019). stringr: Simple, Consistent Wrappers for Common String Operations. R package version 1.4.0. https://CRAN.R-project.org/package=stringr
Surrogate	1.9	Wim Van der Elst, Paul Meyvisch, Alvaro Florez Poveda, Ariel Alonso, Hannah M. Ensor and Christopher J. Weir & Geert Molenberghs (2021). Surrogate: Evaluation of Surrogate Endpoints in Clinical Trials. R package version 1.9. https://CRAN.R-project.org/package=Surrogate
synthpop	1.6-0	Beata Nowok, Gillian M. Raab, Chris Dibben (2016). synthpop: Bespoke Creation of Synthetic Data in R. Journal of Statistical Software, 74(11), 1-26. doi:10.18637/jss.v074.i11
testthat	3.0.4	Hadley Wickham. testthat: Get Started with Testing. The R Journal, vol. 3, no. 1, pp. 5–10, 2011
tibble	3.1.2	Kirill Müller and Hadley Wickham (2021). tibble: Simple Data Frames. R package version 3.1.2. https://CRAN.R-project.org/package=tibble
tidyr	1.1.3	Hadley Wickham (2021). tidyr: Tidy Messy Data. R package version 1.1.3. https://CRAN.R-project.org/package=tidyr
tidyselect	1.1.1	Lionel Henry and Hadley Wickham (2021). tidyselect: Select from a Set of Strings. R package version 1.1.1. https://CRAN.R-project.org/package=tidyselect
truncnorm	1.0-8	Olaf Mersmann, Heike Trautmann, Detlef Steuer and Björn Bornkamp (2018). truncnorm: Truncated Normal Distribution. R package version 1.0-8. https://CRAN.R-project.org/package=truncnorm
TTU	0.0.0.9285	Caroline Gao and Matthew Hamilton (2021). TTU: Transfer to Utility Mapping Algorithm Toolkit. https://ready4-dev.github.io/TTU/, https://github.com/ready4-dev/TTU, https://ready4-dev.github.io/ready4/.

utils viridis	4.0.5 0.6.1	R Core Team (2021). R: A language and environment for statistical computing. R Foundation for Statistical Computing, Vienna, Austria. URL https://www.R-project.org/. Simon Garnier, Noam Ross, Robert Rudis, Antônio P. Camargo, Marco Sciaini, and Cédric Scherer (2021). Rvision - Colorblind-Friendly Color Maps for R. R package version 0.6.1.
youthu	0.0.0.9094	Matthew Hamilton and Caroline Gao (2021). youthu: Youth Outcomes to Health Utility. https://ready4-dev.github.io/youthu/, https://github.com/ready4-dev/youthu, https://www.ready4-dev.com/.
youthvars	0.0.0.9058	Matthew Hamilton and Caroline Gao (2021). youthwars: Youth Mental Health Variables Modelling Toolkit. https://ready4-dev.github.io/youthwars/, https://github.com/ready4-dev/youthwars, https://ready4-dev.github.io/ready4/.

# A.2 Additional figures

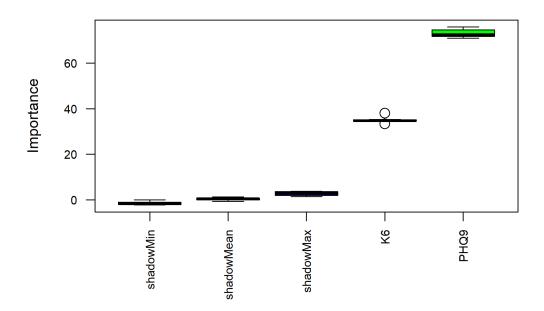


Figure A.1: Variable importance estimated using random forest