



Smart Prescription Ordering System for Elderly Patients with
Diabetes, Hypertension and Cardiovascular Disease
at Songklanagarind Hospital

Apichat Sae-ang

A Thesis Submitted in Partial Fulfillment of the Requirements
for the Degree of Master of Science in Data Science

Prince of Songkla University

2023

Copyright of Prince of Songkla University



Smart Prescription Ordering System for Elderly Patients with
Diabetes, Hypertension and Cardiovascular Disease
at Songklanagarind Hospital

Apichat Sae-ang

A Thesis Submitted in Partial Fulfillment of the Requirements
for the Degree of Master of Science in Data Science

Prince of Songkla University

2023

Copyright of Prince of Songkla University

Thesis Title Smart Prescription Ordering System for Elderly Patients with Diabetes, Hypertension and Cardiovascular Disease at Songklanagarind Hospital


Author Mr.Apichat Sae-ang

Major Program Data Science

Major Advisor


.....
(Asst. Prof. Dr. Sitthichok Chaichulee)


Examining Committee:


.....ChairPerson
(Assoc. Prof. Dr. Prasit Wuthisuthimethawee)

Co-Advisor


.....
(Dr. Thammasin Ingviya)


.....Committee
(Asst. Prof. Dr. Sitthichok Chaichulee)


.....Committee
(Dr. Thammasin Ingviya)


.....Committee
(Dr. Supharek Thawillarp)

The Graduate School, Prince of Songkla University, has approved this thesis as partial fulfillment of the requirements for the Master of Science Degree in Data Science

.....
(Asst. Prof. Dr. Thakerng Wongsirichot)
Acting Dean of Graduate School

This is to certify that the work here submitted is the result of the candidate's own investigations. Due acknowledgement has been made of any assistance received.



.....Signature

(Asst. Prof. Dr. Sitthichok Chaichulee)

Major Advisor

.....Signature

(Mr. Apichat Sae-ang)

Candidate

I hereby certify that this work has not been accepted in substance for any degree,
and is not being currently submitted in candidature for any degree.

.....Signature

(Mr.Apichat Sae-ang)

Candidate

ชื่อวิทยานิพนธ์	ระบบใบสั่งยาอัจฉริยะสำหรับผู้ป่วยสูงอายุที่ป่วยด้วยโรคเบาหวาน ความดันโลหิตสูงและโรคหัวใจ ณ โรงพยาบาลสงขลานครินทร์
ผู้เขียน	นายอภิชาติ แซ่เอ็ง
สาขาวิชา	วิทยาการข้อมูล
ปีการศึกษา	2565

บทคัดย่อ

เมื่อเวลาผ่านไป ข้อมูลการรักษาผู้ป่วยที่มาพบแพทย์ที่คลินิกจำนวนมาก ได้ถูกสะสมอยู่ในบันทึกสุขภาพอิเล็กทรอนิกส์ (EHRs) เมื่อข้อมูลสะสมมากขึ้น ทำให้ยากสำหรับบุคลากรทางการแพทย์ในการนำข้อมูลมาใช้และทำการตัดสินใจที่เน้นใช้ข้อมูลผู้ป่วยเป็นศูนย์กลาง สิ่งนี้เน้นย้ำถึงความจำเป็นของระบบคำแนะนำด้านการดูแลสุขภาพที่ช่วยให้แพทย์สามารถตัดสินใจได้รวดเร็วและแม่นยำยิ่งขึ้น การศึกษานี้กล่าวถึงระบบการแนะนำยาที่สร้างรายการยาที่เหมาะสม ซึ่งตรงกับการวินิจฉัยของผู้ป่วยในปัจจุบัน คำแนะนำต่างๆ จัดทำขึ้นโดยแพทย์เอง แต่นี้เป็นเรื่องยากสำหรับผู้ป่วยที่มีโรคร่วมหลายโรค เราสำรวจแนวทางคำแนะนำการใช้ยาโดยพิจารณาจากผู้ป่วยสูงอายุที่เป็นโรคเบาหวาน โรคความดันโลหิตสูง และโรคหัวใจ ที่เข้ารับบริการที่คลินิกปฐมภูมิและมักมีภาวะร่วมหลายอย่าง เราได้ตรวจสอบทั้งวิธีการกรองร่วมกัน (collaborative filtering) และวิธีการแยกกลุ่มประเภท (machine learning classifiers) รวมถึงการใช้ไฮบริดโมเดลระหว่างทั้งสองประเภท แม้ว่า การกรองร่วมกัน (collaborative filtering) จะใช้กันอย่างแพร่หลายในระบบคำแนะนำ (recommendation systems) แต่ผลลัพธ์ของเราแสดงให้เห็นว่าการกรองประเภทนี้มีประสิทธิภาพต่ำกว่าการจัดประเภทแบบแยกกลุ่ม (machine learning classifiers) การกรองร่วมกันนั้นมีความไม่สมดุลของคลาสและสนับสนุนคลาสที่ได้รับความนิยมมากกว่า การศึกษานี้ได้เน้นถึงความท้าทายที่ต้องแก้ไขเมื่อพัฒนาระบบคำแนะนำในบันทึกสุขภาพอิเล็กทรอนิกส์ (EHRs)

Thesis Title	Smart Prescription Ordering System for Elderly Patients with Diabetes, Hypertension and Cardiovascular Disease at Songklanagarind Hospital
Author	Mr.Apichat Sae-ang
Major Program	Data Science
Academic Year	2022

ABSTRACT

Over time, large amounts of clinical data have accumulated in electronic health records (EHRs), making it difficult for healthcare professionals to navigate and make patient-centered decisions. This underscores the need for healthcare recommendation systems that help medical professionals make faster and more accurate decisions. This study addresses drug recommendation systems that generate an appropriate list of drugs that match patients' diagnoses. Currently, recommendations are manually prepared by physicians, but this is difficult for patients with multiple comorbidities. We explored approaches to drug recommendations based on elderly patients with diabetes, hypertension, and cardiovascular disease who visited primary care clinics and often had multiple conditions. We examined both collaborative filtering approaches and traditional machine learning classifiers. The hybrid model between the two yielded a recall at 5 of 76.61%, a precision at 5 of 46.20%, a macro-averaged area under the curve of 74.52%, and an average physician agreement of 47.50%. Although collaborative filtering is widely used in recommendation systems, our results showed that it consistently underperformed traditional classification. Collaborative filtering was sensitive to class imbalances and favored the more popular classes. This study has highlighted challenges that need to be addressed when developing recommendation systems in EHRs.

Keywords: Recommender systems, Collaborative filtering, Classification, Diseases, Electronic medical prescriptions,

ACKNOWLEDGEMENT

This thesis was successfully completed because of the kind support and attention given to the advice from Asst. Prof. Dr. Sitthichok Chaichulee, thesis advisor for giving advice on applying knowledge, guidelines for study and research all along, suggesting to correct and improve the flaws so that this thesis can be successfully completed. The researcher would like to express his gratitude on this occasion.

I would like to thank Dr. Thammasin Ingviya, M.D., thesis co-advisor. for giving advice and testing the results of my research including doctors from primary care clinics.

I would like to thank Assoc. Prof. Dr. Prasit Wuthisuthimethawee, M.D. Please be an honor chairman of the thesis examination chair and thank you Dr. Supharker Thawillarp, M.D. Please be an honor thesis examination committee.

I am grateful for the kindness of all those mentioned and those not mentioned here who have helped and encouraged me throughout. Therefore, I sincerely thank all of you. And I would like to dedicate the benefits arising from this thesis to my parents, teachers, professors, and all related people who always support and encourage me. I would like to pay my respects to the author of the academic textbook who has studied, researched, and used it as a reference.

Mr. Apichat Sae-ang

CONTENTS

List of Tables.....	ix
List of Figures.....	x
List of Abbreviations and Symbols.....	xi
CHAPTER 1 Introduction.....	1
1.1 Background.....	1
1.2 Literature Review.....	3
CHAPTER 2 Objectives.....	7
2.1 Primary Objectives.....	7
2.2 Conceptual Framework.....	7
CHAPTER 3 Methodology.....	9
3.1 Study Target and Criteria.....	9
3.2 Variables of the Study.....	9
3.3 Study Procedures.....	10
CHAPTER 4 Results and Discussion.....	18
4.1 Recommendation Performance.....	18
4.2 Physician Evaluation.....	20
4.3 Discussion.....	21
4.4 Comparison to Other Studies.....	23
4.5 Physician Acceptance.....	24
4.6 Study Limitations.....	25
CHAPTER 5 Conclusion and Future work.....	26
5.1 Conclusions.....	26
5.2 Future Work.....	26
5.3 Implementation Considerations.....	27
Reference.....	29
Appendix.....	32
Paper.....	32
Human Research Ethics Approval Document.....	51
VITAE.....	52

List of Tables

Table 1. Descriptive statistics of the dataset.....	11
Table 2. Performance of the classification, collaborative filtering, and hybrid models for recommending drugs on the test set.....	18
Table 3. Performance of the multilayer perceptron, Offsets, and hybrid models for recommending each drug in the test set.	19
Table 4. Physician acceptance of drug recommendations.	21

List of Figures

Figure 1. Conceptual framework.....	7
Figure 2. Study procedures.....	10
Figure 3. Distribution of patient age at visit (N = 28,728).	12
Figure 4. Distribution of (a) ICD-10 codes and (b) drugs' generic names for the 40 most frequent ICD-10 codes and the 60 most frequent generic names of drugs in the dataset. All chosen features have at least 200 occurrences.	13
Figure 5. Medications are grouped according to their therapeutic function. Different drugs may belong to the same group.	13
Figure 6. Example of the preprocessed data frame.	14
Figure 7. Distribution of recommended drugs in the test set.....	20
Figure 8. Distribution of (a) ICD-10 codes and (b) recommended drugs in our physician evaluation set.....	20

List of Abbreviations and Symbols

NCDs	Non Communicable Diseases
EHR	Electronic Health Records
ICD	International Classification of Diseases
GNNs	Graph Neural Networks
BERT	Bidirectional Encoder Representations from Transformers
OPD	Out-Patient Department

CHAPTER 1

Introduction

1.1 Background

Non Communicable Diseases (NCDs) refer to a group of diseases that are not caused by infection and are not transmitted by contact or carrier. They tend to be of long-lasting duration and are the result of a combination of genetic, physiological, environmental and behavioral factors. NCDs usually progress slowly and gradually, and symptoms accumulate steadily over time. These include heart disease, stroke, cancer, diabetes, and chronic lung disease, which together account for nearly 70% of all deaths worldwide. Nearly three-quarters of all NCD deaths occur in low- and middle-income countries. The rise in NCDs is primarily due to four main risk factors: tobacco use, physical inactivity, harmful alcohol use, and unhealthy diets.

NCDs have common risk factors. Many people have multiple NCDs, especially the elderly. Cardiovascular disease is the leading cause of death in patients with diabetes, and many factors, including hypertension, contribute to this high prevalence of cardiovascular disease. Hypertension is about twice as common in patients with diabetes as in patients without the disease. Diabetes, hypertension, and cardiovascular disease are the most common chronic NCDs causing high mortality and morbidity worldwide. With the rapid increase in NCD-related deaths in Asia-Pacific countries, NCDs are now the leading cause of disease burden in the region.

For patients with NCDs, a doctor often prescribes medication for one to six months, depending on symptoms and severity of the disease. The doctor also schedules an appointment for the patient's next visit to continue treatment. The doctor may order a pathological examination. The results of the pathological examination are used to consider an appropriate medical prescription. Treatment of patients with diabetes, hypertension, and cardiovascular disease requires continuous prescription of medications. There may be increases and decreases in the amount taken, but patients must continue to take the medications until the results of the pathologic examination are satisfactory. The medications given to the patient on the prescription must be appropriate for the patient's pathological results, and the number

and dosage must be correct. In this way, the medications can be used safely for patients.

The management of patients with complex comorbidity has long been considered a challenging task. This is not only because of the complexity of the disease and medication dependence, but also because physicians typically prescribe medications based on their intuition and expertise.

Electronic health records (EHRs) document patients' complete medical histories, including their diagnoses, procedures, medications, imaging, and laboratory results. In recent decades, healthcare digitalization has increased the availability of patient data for health data analytics. The increasing adoption and use of EHRs has created a tremendous opportunity to leverage health data for improved clinical decision making. EHR research ranges from disease classification to readmission prediction to mortality assessment. Drug recommendation systems are one area being studied in this field. The goal of medication recommendation systems is to provide a list of relevant medications based on the patient's disease conditions. Advances in recommender technologies have the potential to help physicians prescribe medications for patients by utilizing extensive EHR data.

In addition to recommending a list of medications, it is important to provide explanations for these recommendations in order to increase doctors' acceptance of the system. Consequently, an ideal medication recommendation system should (a) combine patient-specific information, such as diagnoses and interventions performed, collected over time to tailor recommendations; (b) incorporate information about drug allergies to avoid harmful side effects; and (c) offer reasons for the suggestions made. A medication recommendation system that suggests a list of medications based on a patient's diagnosis, tests performed, and so on while minimizing adverse drug reactions will be an important decision support tool for physicians.

Existing medication recommendation systems have yet to seamlessly leverage all sources of information in the EHR, and they do not provide a rationale for why a particular medication is recommended. In this work, we develop a personalized drug recommendation system that incorporates information from the EHR, and

evaluate a list of recommended medications quantitatively compared to the actual medications prescribed by physicians, and qualitatively against physicians whether they agree or disagree with the list.

Our goal is also to investigate the most appropriate approach and data combination to address a medication recommendation problem. We explore medication recommendation tools using both classical methods and neural networks. For the classical methods, we employ classification models (e.g., nearest neighbors, logistic regression, and random forests) and collaborative filtering algorithms (e.g., popular-based, content-based, collaborative matrix factorization). In neural networks, neural collaborative filtering is implemented to consider information from multiple sources, including outpatient notes, laboratory results, previous prescriptions, and drug allergies. The results of this research will be developed into a system that supports clinical decision making in medication prescription and medication verification

1.2 Literature Review

Hospitals have access to a wealth of information about patients and their health-related characteristics. EHR studies cover a variety of topics, including disease classification, predicting readmissions, and predicting mortality. One topic being researched in this area is medication recommendation systems. Recent advances in Deep Learning are revolutionizing the healthcare industry by, among other things, offering drug recommendations for patients with complex conditions. It is said that patients with two or more conditions, acute or chronic, often take five or more different medications simultaneously and have significant health risks. Based on a patient's current health status, diagnostic history, current medications, symptoms, and previous treatments, medication recommendation systems can generate a list of potential medications for physicians to select. Such recommendation systems, which enable faster and more accurate decision making, can be developed using machine learning techniques.

Many existing medicine recommendation systems have been developed based on different approaches and algorithms, which can be divided into two groups.

1. Ontology and rule-based systems. Medication recommendation systems are mainly implemented based on hard-coded recommendation protocols, typically set by physicians or their institution's policies. Some studies have developed more advanced algorithms that take into account drug ontology and drug-to-drug interactions. GelenOWL (Doulaverakis et al., 2012) recommends medications for a patient using a medical and rule-based reasoning approach developed based on the patient's disease, allergies, and known drug interactions for the medications in the database. SemMed (Rodríguez et al., 2009) used an ontology-based approach based on diseases, medications, and allergies to provide a list of recommended medications. These algorithms required the development of extensive rules which is difficult and time-consuming to develop on a large scale.

2. Machine-learning based systems. Most machine learning-based algorithms used patient data from hospital information systems (HIS), which are similar to the data available to hospitals in practice. The format of the data was different in different studies. There are mainly two types of ML recommendation systems:

2. 1) Instance-based medication recommendation models that recommend drugs based only on the current encounter and do not consider longitudinal patient history. LEAP (Zhang et al, 2017) was a medication recommendation system for patients with complex multimorbidity that broke down the treatment recommendation into a series of decision-making steps and automatically selected the best medications. The algorithms take the diagnosis codes of a given visit as inputs and generate a list of recommended medications that can avoid adverse drug interactions. SMR (Gong et al., 2020) was a medication recommendation system based on a high-quality heterogeneous graph by bridging EMRs (MIMIC-III) and medical knowledge graphs (ICD-9 ontology and DrugBank). The algorithm uses heterogeneous graph and joint learning embedding models to generate a list of medications while taking into account the patient's diagnoses and adverse drug reactions.

2.2) Longitudinal medication recommendation methods that use the temporal dependencies within longitudinal patient history to predict future medication. GAMENet (Shang et al., 2019) was a deep learning model that takes both

longitudinal patient data and drug knowledge based on drug to drug interactions as inputs and generate a list of recommended medications. The network was formulated as a multi-label classification problem. The method fuses data from various sources using a dual recurrent neural network and a graph-augmented memory module. Bajor et al. (2017) developed a deep learning model for medication prediction that uses the most recent 100 billing codes and generates a list of suggested drugs based on their therapeutic class. PREMIER (Bhoi et al., 2021) employed a two-stage personalised medication recommender system that incorporates various outpatient data and provides a list of recommended medication that achieves the best balance between accuracy and drug-drug interaction. PREMIER was developed using feature embedding over neural networks and took into account a variety of losses related to both accuracy and negative drug reactions. Wang et al. (2018) developed a drug recommendation model that jointly learns representations of patients, diseases and medications and fuses them with a trilinear method that takes disease ontology into account. CompNet (Wang et al, 2019) used reinforcement learning to learn how doctors prescribe medicines for complex patients based on a graph convolutional reinforcement learning model. CompNet chooses medications by combining patient data with the knowledge graph for medicines. Shang et al (2019) proposed G-BERT which combined the strengths of Graph Neural Networks (GNNs) and BERT (Bidirectional Encoder Representations from Transformers) for the representation of medical codes and medication recommendations. G-BERT performed better than the baselines in terms of medication recommendation task prediction accuracy.

Most studies were conducted with the public MIMIC III dataset. Few studies were conducted with institutional or proprietary datasets. Standards for diagnosis codes, billing codes, and medication codes vary by country. Most studies referenced the US dataset. None of the studies addressed interoperability between systems. Studies conducted elsewhere are not applicable in Thailand.

Regarding algorithms, there are still gaps in how a neural network considers the chief complaint, how far back to look in the medical history, how much minimally viable data is needed for platform-agnostic model development, how to modalize drug interactions in terms of Thai medicine terminology standard, how best

to present results to physicians, and how to measure acceptance of the system by physicians or pharmacists? for example.

This study will address these gaps and develop a drug recommendation system that is appropriate and compatible for Songklanagarind Hospital data.

CHAPTER 2

Objectives

2.1 Primary objective:

1. To develop medication recommendation systems for patients with chronic diseases using the data set from Songklanagarind Hospital.
2. To validate the proposed systems with the quantitative and qualitative metrics to see if they are applicable in the clinic.

2.2 Conceptual Framework

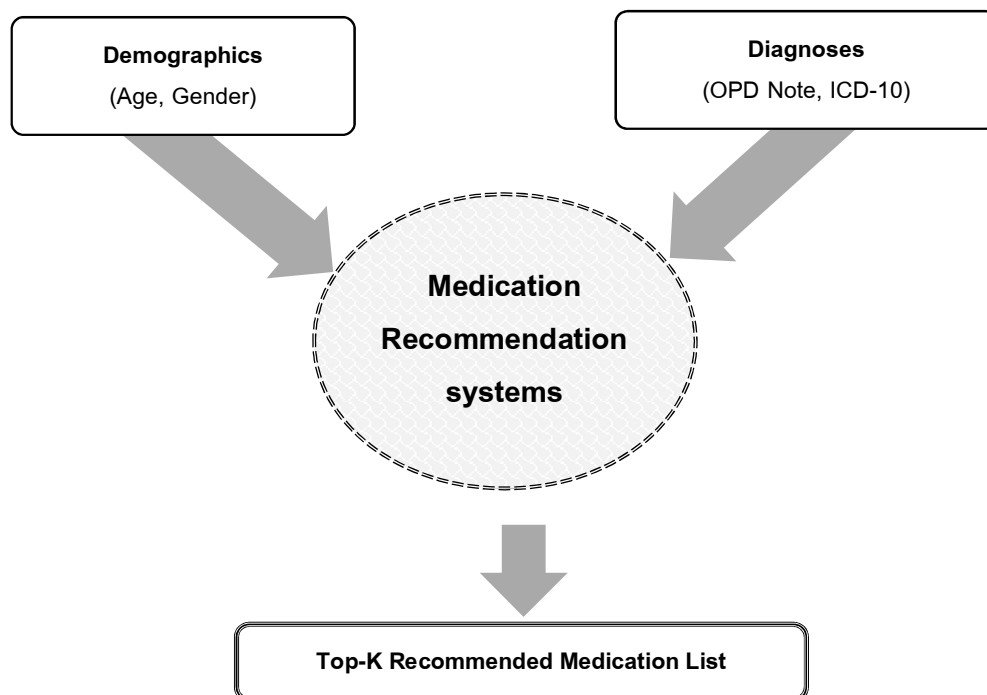


Figure 1. Conceptual framework

Note that the specific variables/features (e.g., lab name, how much should one look into the past information) that are used in the models will be determined from the analysis of features and outcomes in the second stage of the

study but would not exceed what outlined here. The selection of each predictive feature is based on its predictive power to the medications of interest.

CHAPTER 3

Methodology

3.1 Study Target and Criteria

Patients who have visited primary care clinics and general practice clinics of Songklanagarind Hospital between January 1st, 2015 to June 30th, 2022 that were diagnosed with chronic diseases (either diabetes mellitus, hypertensive diseases, ischemic heart diseases, chronic lower respiratory diseases, or cerebrovascular diseases; as defined by their ICD-10 blocks).

Inclusion Criteria

- Patients whose aged greater than 65 years old.
- Patients whose diagnosed as one of the following chronic diseases:
 - Diabetes mellitus (E10-E14)
 - Hypertension (I10-I15)
 - Ischemic heart diseases (I20-I25)
 - Chronic lower respiratory diseases (J40-J47)
 - Cerebrovascular diseases (I60-I69)
 - Dyslipidemia (78)

Exclusion Criteria

- Patients who had no medications prescribed.
- Patients who visited premium clinics

3.2 Variables of the Study

Dependent and independent variables

- Demographic variables: gender, age
- Physical examination variables: weight, height, BMI, blood pressure
- Diagnosis variables: OPD note, ICD-10
- Laboratory variables: chemistry and hematology laboratory results
- Medication prescription variables: medication's generic name
- Drug allergy variables: allergic medication's generic name

Potential confounder variables

- Patients do not run out of medications, so doctors do not prescribe the medications that patients currently have.
- Patients have chronic diseases, but the chief complaint for their current visit is other clinical conditions, e.g., constipation. ICD-10s of chronic diseases are still listed in the diagnosis code.

Method(s) to minimize bias(es) during study

- The confounder variables would affect the outcome of the proposed algorithm, however, this study proposed to develop a recommendation system that produced a list of recommended medications given clinical details. By its nature, the process is tolerated to a certain degree of uncertainties.
- Since the patient demographics, physical examination, and diagnosis codes do not directly indicate chief complaint, the top recommended medications may not be related to chief complaint. We anticipate that the inclusion of OPD notes in the model would address this issue.

3.3 Study Procedures

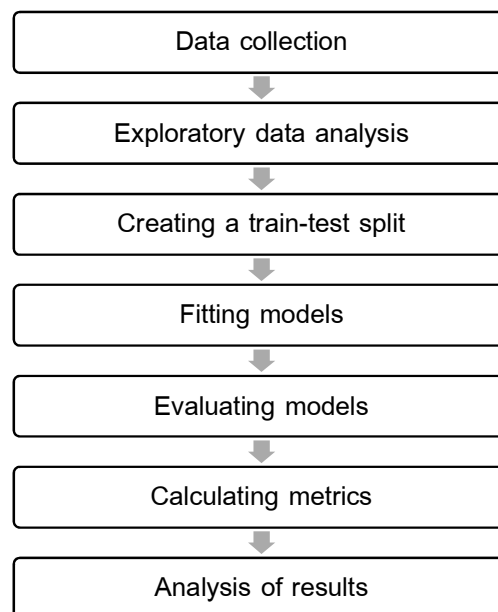


Figure 2. Study procedures

Data collection

Our study employs a retrospective cross-sectional data from Songklanagarind Hospital, which do not contain personal identifiable information. We retrieved data according to the inclusion and exclusion criteria with the clinical variables of the study. The data were providing by the Division of Information Technology and the Division of Digital Innovation and Data Analytics, Faculty of Medicine, Prince of Songkla University. We used data from patients aged more than 65 years who visited the primary-care clinics and general-practice clinics of Songklanagarind Hospital between January 2015 and December 2021 and were diagnosed with diabetes (ICD-10 code: E10-E14), hypertension (ICD-10 code: I10), or cardiovascular disease (ICD-10 code: E78). Our dataset contains patient demographics (age and sex), diagnosis codes (ICD-10), and prescribed drugs (generic name) for each outpatient visit. We did not include personal identifiable information (PII). We excluded patients who were not prescribed drugs or did not have diagnosis codes reported. The study protocol was approved by the Office of Human Research Ethics Committee, Faculty of Medicine, Prince of Songkla University under Approval No. REC.65-340-38-2.

Table 1. Descriptive statistics of the dataset.

Characteristics	January 2015 to December 2021
Duration	
Number of visits	28,728
Number of patients	3925
Number of visits per patient ¹	7.25 (6.46)
Age ¹	74.25 (6.66)
Sex	
Male ²	1676 (42.27%)
Female ²	2289 (57.73%)
Number of diagnosis codes ³	109,625 (946)
Number of diagnosis codes per visit ¹	3.82 (1.18)
Number of prescribed drugs ³	182,743 (523)
Number of prescribed drugs per visit ¹	6.36 (2.94)

¹ mean (standard deviation); ² frequency (proportion); and ³ total count (unique values).

Figure 3 shows the distribution of patient age at visit in our dataset, ranging from 65 to 105 years.

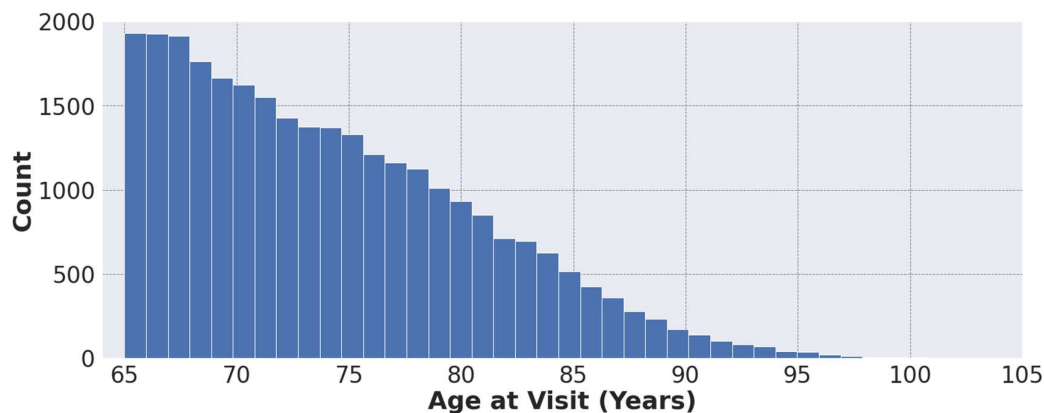


Figure 3. Distribution of patient age at visit (N = 28,728).

Exploratory data analysis

We first calculate the histogram of diagnosis codes (ICD-10) and medications (generic names) across the dataset. We aim for our algorithm to support the diagnosis codes and medications that have more than 200 occurrences. Then, we calculate the correlation coefficients and mutual information between each clinical variable and medication. We select only the clinical variables that have high predictive power to medications as inputs/predictors for the system.

Patients come to the doctor for a wide variety of reasons. Our dataset contains 946 unique ICD-10 codes and 523 unique generic codes for drugs (see Table 1). Some diseases and conditions have a high prevalence, while others are coded less frequently. The same applies for drugs. It is difficult to develop a model which supports all ICD-10 codes and all drugs. Some less frequently coded features may not have strong predictive power or may not be sufficient to represent the problem.

Our process of data transformation was as follows. First, we selected the 40 most frequent ICD-10 codes and the 60 most frequent generic names of drugs. All selected features have more than 200 occurrences. Figure 4 shows the distribution of ICD-10 codes and drugs' generic names for all records. Second, because different drugs have similar therapeutic functions, we grouped drugs according to their therapeutic functions using a panel of physicians. This resulted in 30 different drug groups from 60 individual generic names of drugs, as shown in Figure 5. Finally, the categorical variables, i.e., ICD-10 codes and generic names of drugs, were transformed into dummy

or indicator variables which take the value 0 or 1 only to indicate the presence or absence of each category. Figure 6 illustrates an example of the preprocessed data frame used in the study.

We randomly divided our preprocessed data into two sets: a training set (90%); and a test set (10%). Patients in the training and test sets were assumed to be mutually exclusive. This resulted in the training set containing 25,855 inpatient visits, whereas the test set contained 2873 inpatient visits. We used 10-fold cross-validation in the training set to find optimal hyper-parameters and select the best model to evaluate with the test set.

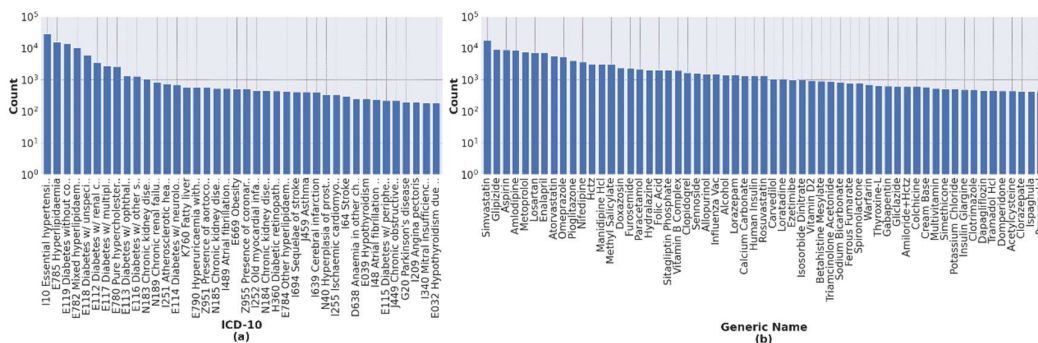


Figure 4. Distribution of (a) ICD-10 codes and (b) drugs' generic names for the 40 most frequent ICD-10 codes and the 60 most frequent generic names of drugs in the dataset. All chosen features have at least 200 occurrences.

1. Statins Simvastatin Atorvastatin Rosuvastatin Ezetimibe	4. Antihypertensive Medicaiton Amlodipine Metoprolol Losartan Enalapril Nifedipine HCTZ Manidipine HCL Doxazosin Hydralazine Carvedilol Isosorbide Dinitrate Amiloride+HCTZ Propranolol	6. Methyl Salicylate 7. Oral Analgesics Paracetamol Tramadol HCL	17. Vitamin D2 18. Betahistine Mesylate 19. Triamcinolone Acetonide 20. Sodium Bicarbonate 21. Ferrous Fumarate
3. Antiplatelet Medication Aspirin Clopidogrel Warfarin	5. Gastrointestinal Medication Omeprazole Simethicone Domperidone	11. Allopurinol 12. Influenza Vac 13. Alcohol 14. Benzodiazepines Lorazepam Clorazepate	23. Thyroxine-L 24. Gabapentin 25. Colchicine 26. Cream Base 27. Multivitamin 28. Potassium Chloride 29. Acetylcysteine 30. Clotrimazole
		15. Calcium Carbonate 16. Loratadine	

Figure 5. Medications are grouped according to their therapeutic function. Different drugs may belong to the same group.

Patient	Age	Sex	ICD-10				Generic Name			
			D638 Anaemia in other chronic ...	E112 diabetes mellitus with	Z955 Coronary angioplasty ...	Acetylcysteine	Anatelsic medication	...	Thyroxine-L
1	67.6	F	0	0	:	0	0	0	:	1
2	70.0	F	0	1	:	0	0	0	:	0
3	70.1	F	0	0	:	0	0	0	:	0
4	69.2	F	0	0	:	0	1	0	:	0
:	:	:	:	:	:	:	:	:	:	:
N	69.5	1	0	0	:	0	0	0	0	0

Figure 6. Example of the preprocessed data frame.

Creating a train-test split

We split our data into two sets, using 80% of the data for algorithm development and 20% for testing. For the first half, we used a 10-fold cross-validation scheme for fitting models and tuning the hyper parameters.

Fitting models

We develop medication recommendation tools using both classical methods and neural networks. For the classical methods, we employ classification models (e.g., nearest neighbors, logistic regression, and random forests) and collaborative filtering algorithms (e.g., popular-based, content-based, collaborative matrix factorization). Our classical methods only support the use of demographic data, physical examinations, and diagnosis codes as inputs and produces a list of recommended medications. In neural networks, neural collaborative filtering is implemented to consider information from multiple sources, including outpatient notes, laboratory results, previous prescriptions, and drug allergies.

Classification is a predictive modeling problem which predicts a class label for input data. A model uses the training dataset with many examples of inputs and outputs to learn to map input data to class labels. Drug recommendation can be formulated as a supervised multi-class multi-label classification problem in which patient demographics and diagnosis codes are the inputs and the drugs are outputs. In this study, four different classification algorithms were assessed: nearest neighbors, logistic regression, random forest, and multilayer perceptron.

Nearest neighbors ^[20] looks for a certain number of training samples which are closest to the new data and then uses them to predict the class label by a simple majority vote of the closest neighbors of the new data. Probability scores are a fraction of votes among the closest neighbors. Nearest neighbors was a simple baseline method for our classification models. We implemented a nearest neighbor algorithm with 24 nearest neighbors and the Minkowski distance metric.

Logistic regression ^[20] is a statistical model which predicts the probability of an event based on independent variables. Given a set of m input variables $\mathbf{X} = \{X_1, X_2, \dots, X_m\}$, the binary logistic function has the form:

$$p(\mathbf{x}) = \frac{1}{1 + e^{-(\beta_0 + \beta_1 x_1 + \beta_2 x_2 + \dots + \beta_m x_m)}}$$

where $\beta = \{\beta_0, \beta_1, \beta_2, \dots, \beta_m\}$ are the regression coefficients learned from the data by minimizing a loss function. We used the lbfgs optimizer ^[21] with L2 regularization and a C parameter of 1.

Random forests ^[22] is an ensemble learning model based on multiple decision trees created from the training data. Decision trees are a popular method for non-parametric supervised-learning problems. However, deep decision trees tend to have low bias but high variance because they often over fit their training data. The strategy of random forests is to average multiple shallow decision trees trained from different parts of the same training set with the aim of reducing variance. The output of random forests is the class label chosen by the majority of the decision trees. Probability scores are aggregated by averaging the class probability estimates for all

decision trees. In our implementation, we used the Gini impurity criterion to estimate the best feature for the split, the number of decision trees of 200, and the maximum tree depth of 8.

Multilayer perceptron ^[20] is a fully connected feedforward artificial neural network consisting of an input layer, one or more hidden layers, and an output layer. One layer can have multiple nodes. Each node is equipped with a weighted neuron with a nonlinear activation function. Every node in one layer has a weighted connection to every node in the following layer. Learning is performed by adjusting the weights of each neuron based on the errors in comparison to the expected results. The inputs pass through each layer in turn and are weighted until they reach the output layers. Subsequently, the softmax function is applied to normalize the output of the network into a vector of probability scores. Multilayer perceptron is able to find approximate solutions to complex problems. We implemented a multilayer perceptron network with two hidden layers in which each layer has 128 nodes. Each node was equipped with a ReLU activation function. The network was trained using the Adam optimizer with a constant learning rate of 0.001 until the loss did not improve by 0.0001 over 10 consecutive iterations.

We used the scikit-learn library ^[23] on Python 3.8.10 for the development of all classification algorithms. In our case, with multiple classes and multiple labels, the one-vs-rest scheme was used to train multiple binary classification models in which each model is responsible for only one class label. All hyperparameters, as listed above, were determined by 10-fold cross-validation on the training set. We provided class weights which are inversely proportional to class frequencies to compensate for imbalances between classes.

Evaluating models

With the same test dataset, we run inference on each model to obtain a list of recommended medications for each OPD visit. The resulting data were then later compared to a list of actual medications prescribed by physicians.

Calculating metrics

We used both quantitative and qualitative performance metrics. With the quantitative metrics, we compared a list of recommended medications to a list of actual medications prescribed by physicians. We also used the qualitative metrics to see if physicians agreed with a list of recommended medications given the clinical details provided. We used the same evaluation procedures for all models. We employed SHAP to calculate feature importance.

Analysis of results

The resulting evaluation metrics of each recommendation model are then compared and discussed. The advantages and disadvantages of each algorithm are analyzed. Further analysis is then provided for other research questions. For example, which models are better at addressing chief complaints, how much minimally viable data is needed for model development, and would it be possible to develop a platform-independent model?

CHAPTER 4

Results and Discussion

This section presents the performance of the classification, collaborative filtering, and hybrid models. For each model, we performed 10-fold cross-validation to optimize and select the best hyper parameters. During the cross-validation, we found neither under fitting nor over-fitting for all models. All models were evaluated with the hold-out test set. The list of recommended drugs was compared with the actual prescribed drugs using the evaluation metrics mentioned in the previous section, and it was assessed by physicians whether they agreed with the recommendations.

4.1 Recommendation Performance

Table 2 shows the performance of the classification, collaborative filtering, and hybrid models for recommending drugs on the hold-out test set. Among the classification algorithms, the multilayer perceptron model, which was based on feedforward neural networks, scored highest on most metrics. Among the collaborative filtering algorithms, the Offsets model, which was based on linear additive combinations, scored highest on most metrics. Overall, the classification models outperformed the collaborative filtering models. The hybrid model, which was based on weighting the scores from the best classification and collaborative filtering models, scored highest on most metrics.

Table 2. Performance of the classification, collaborative filtering, and hybrid models for recommending drugs on the test set.

	Recall@5	Precision@5	Hit@5	NDCG@5	Macro AP	Micro AP	Macro AUC	Micro AUC
Classification Models								
Nearest neighbors	74.76	44.67	96.89	77.06	24.53	61.56	70.62	88.10
Logistic regression	74.78	44.63	97.07	77.26	22.94	63.35	69.32	88.54
Random forests	76.11	46.31	97.49	76.09	32.95	64.10	73.23	89.49
Multilayer perceptron	76.19	45.94	96.89	78.56	32.50	67.40	75.65	89.67
Collaborative filtering models								
Most popular	73.18	43.55	95.92	75.02	11.01	53.96	50.00	84.22
Collaborative matrix factorization	73.78	43.71	96.78	76.07	14.52	59.26	58.89	85.90
Offsets	73.87	43.81	96.75	76.31	15.79	60.78	60.27	86.28
Hybrid model	76.61	46.20	97.00	78.97	32.53	68.26	74.52	90.09

The bold texts indicate the algorithms that achieved the highest score for each evaluation metric.

Table 3 details the AUCs of the multilayer perceptron, Offsets, and hybrid models when recommending each drug in the test set. The Offsets model performed worse compared with the other models for all drugs. The hybrid model performed better on the more common drugs. The differences in performance between the multilayer perceptron model and the Offsets model were much more pronounced for less common drugs.

Figure 7 shows the distribution of recommended drugs at the threshold, which yielded a recall score of 0.80 in the validation set. The multilayer perceptron model offered clear advantages over the Offsets model, which did not perform well for the less common drugs. It is more biased toward popular drugs.

Table 3. Performance of the multilayer perceptron, Offsets, and hybrid models for recommending each drug in the test set.

	N	AUC		
		Multilayer Perceptron	Offsets	Hybrid
1. Statins	726	70.17	59.91	70.33
2. Antidiabetic Medication	1331	69.55	60.50	69.73
3. Antiplatelet Medication	1041	75.61	65.43	75.52
4. Antihypertensive Medicaiton	2478	71.92	62.78	71.91
5. Gastrointestinal Medication	541	70.50	62.17	70.64
6. Methyl Salicylate	288	66.26	51.28	66.00
7. Oral Analgesics	231	67.86	51.52	67.69
8. Folic Acid	201	74.34	64.08	75.00
9. Vitamin B Complex	190	72.77	57.71	73.24
10. Constipation Medication	127	69.64	61.91	70.89
11. Allopurinol	120	85.15	75.11	86.15
12. Influenza Vac	151	61.05	58.71	61.53
13. Alcohol	156	78.10	69.69	79.12
14. Benzodiazepines	190	71.43	56.96	71.58
15. Calcium Carbonate	122	80.45	64.55	80.83
16. Loratadine	105	72.25	51.82	71.32
17. Vitamin D2	90	83.80	61.74	83.51
18. Betahistine Mesylate	104	63.79	41.70	61.82
19. Triamcinolone Acetonide	86	68.05	48.99	67.19
20. Sodium Bicarbonate	65	90.83	84.55	92.87
21. Ferrous Fumarate	72	81.82	70.66	82.32
22. Diuretics	204	87.66	78.91	87.68
23. Thyroxine-L	66	82.25	62.61	80.78
24. Gabapentin	55	69.17	56.15	68.88
25. Colchicine	44	78.25	47.32	74.25
26. Cream Base	55	77.48	62.99	77.04
27. Multivitamin	58	67.24	46.60	67.77
28. Potassium Chloride	55	85.28	60.83	83.80
29. Acetylcysteine	42	78.67	63.70	78.63
30. Clotrimazole	42	67.44	47.18	67.66

The bold texts indicate the algorithms that achieved the highest score for each drug.

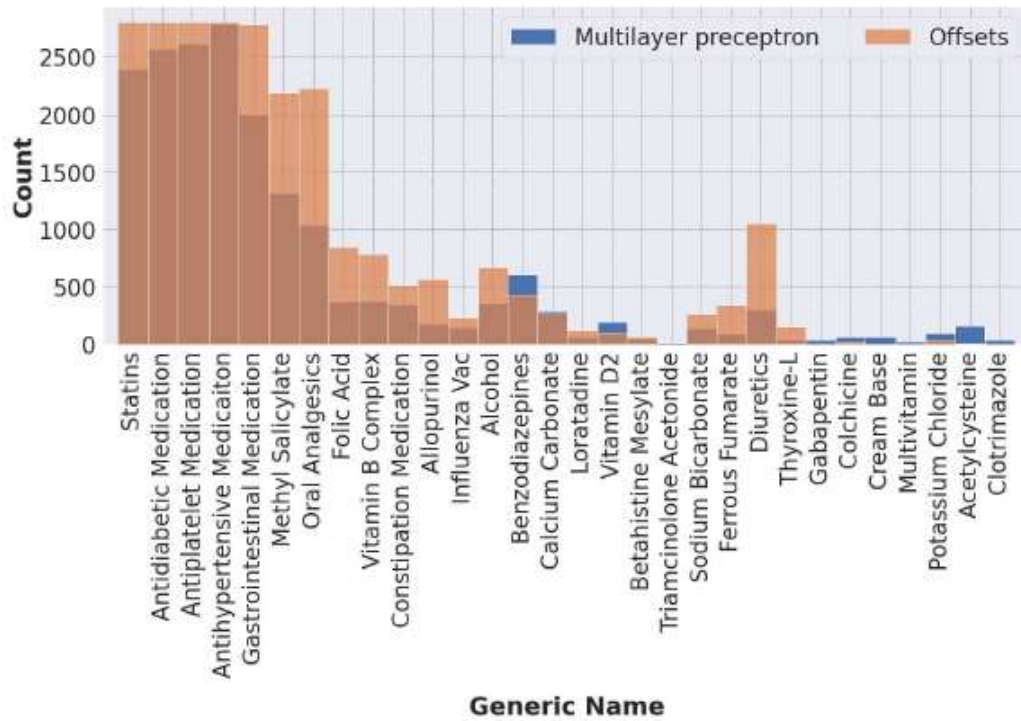


Figure 7. Distribution of recommended drugs in the test set.

4.2 Physician Evaluation

Figure 6 shows the histogram of ICD codes, actual prescribed drugs, and recommended drugs in our physician evaluation set of 200 inpatient visits. The average number of ICD codes, actual prescribed drugs, and recommended drugs were 5.38, 4.86, and 7.35 per inpatient visit, respectively.

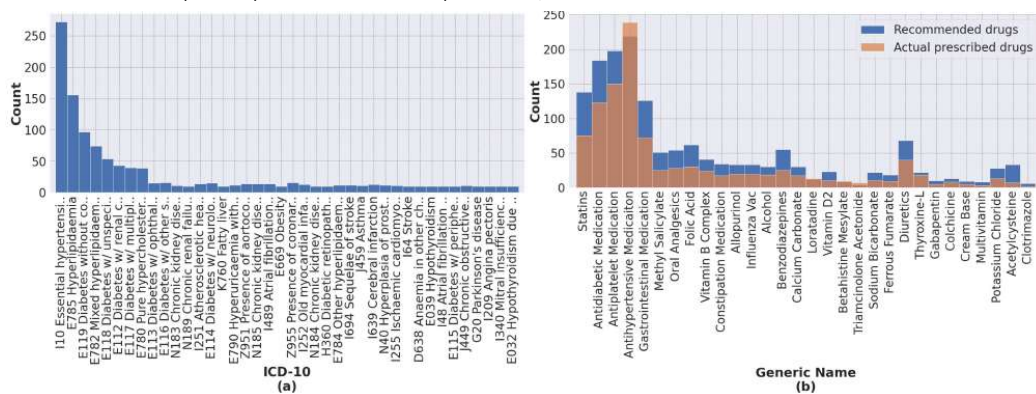


Figure 8. Distribution of (a) ICD-10 codes and (b) recommended drugs in our physician evaluation set.

We ran each sample in our physician evaluation set through the hybrid model to obtain a list of recommended drugs for physician evaluation, as the hybrid model scored highest overall. The average of the percentages upon which physicians agreed with the recommendations was 47.50% with a multi-rater Fleiss' Kappa coefficient of 30.54% (see Table 4).

Table 4. Physician acceptance of drug recommendations.

Acceptance (%)				Inter-Rater Agreement
Physician A	Physician B	Physician C	Mean	
34.50	52.00	56.00	47.50	30.54

4.3 Discussion

The growing amount of medical records has motivated the secondary use of data to support clinical workflow. Drug recommendation systems learn from the diagnostic and prescription data already in the system to suggest drugs which might be of interest to a physician. The systems recommend drugs that correspond to the patient's diagnostic concerns. This could reduce the time it takes to prescribe drugs in the EMR system. The model trained for the drug recommendation system could also be used to automatically review prescriptions to determine if they are consistent with their diagnostic details.

The objective of the study was to examine a problem of drug recommendation using classification-based and collaborative filtering-based algorithms on real-world hospital data. In this present study, we specifically focused on patients with diabetes, hypertension and cardiovascular disease, which were prevalent in primary-care clinics. This allowed a better understanding of the performance of different recommender systems on medical data which may have different characteristics compared to other real-world data.

Although collaborative filtering is widely used to provide personalized recommendation by collecting data characteristics from many subjects, we found that collaborative filtering did not perform well in our problem. All classification approaches outperformed the best collaborative filtering model, even with the simplest nearest-neighbor classification.

For the classification models, multilayer perceptron slightly outperformed random forests, and a large difference was observed in the macro-averaged AUC. Both models have proven successful on nonlinear problems and are inherently flexible for mixed predictors of continuous, categorical, and binary variables. In our view, both models can well handle severe class imbalance and missing data, which are common in medical data.

Among the collaborative filtering models, the collaborative matrix factorization and Offsets models that account for side information performed better than the most popular model, which was the baseline. While differences between recommendation metrics for the top-five recommendations were marginal, large differences in performance were observed for AP and AUC values. When comparing the best classification model, multilayer perceptron, with the best collaborative filtering model, Offsets, a large difference in performance was observed. This may be because our dataset is largely unbalanced, which may cause collaborative filtering to give unfair predictions for minority classes. They did not seem to capture some of the less frequently coded labels (see Figure 5). This problem could be mitigated by a larger dataset.

The purpose of implementing the hybrid model was to combine the scores of the best classification and collaborative filtering models into a single score in order to improve performance. As expected, the hybrid model produced the best overall results, even with the simple weighting combinations. Unfortunately, because the Offsets model performs poorly on less frequent labels, it also degrades the performance of the hybrid model on less frequent labels (see Table 3).

Due to the inherent complexities of the drug recommendation problem, there were a number of uncertainties in both the task itself and the data. For example, the chief complaints, which are the main reason for the patient's visit, were not explicitly coded in our dataset. We only have the patient's demographic data and a list of unranked diagnosis codes. It is possible that relevant drugs were not prescribed because a patient already had them on hand from previous visits. It is also possible that patients came to the consultation for reasons unrelated to the chronic diseases in which we are interested. Some degree of error was, therefore, to be expected.

4.4 Comparison to Other Studies

Our results are consistent with those of Hao and Blair ^[5], who investigated classification and collaborative filtering approaches for clinical prediction on various simulated and real-world datasets. Their study focused on the performance of the algorithms under different degrees of missing data. They concluded that the collaborative filtering approach was consistently inferior to classification-based approaches, such as logistic regression and random forests, under various imputations on both real-world and simulated data. They suggested that collaborative filtering might not be desirable in the clinical setting, where classification may be an acceptable alternative. Although there was a slight difference in both the implementation of the collaborative filtering algorithms, where our algorithms take into account side information, and the objective of the algorithm, i.e., clinical prediction vs. drug recommendation. We observed similar results with collaborative filtering. Collaborative filtering performed poorly on datasets with severe class imbalances.

Our results differ from those by Hassan and Syed ^[18], which used collaborative filtering for clinical prediction. They reported that collaborative filtering approaches had a higher prediction accuracy than classification counterparts for certain tasks, i.e., sudden cardiac death and recurrent myocardial infarction. They noted that collaborative filtering exploits similarity between individual patients in the historical dataset in determining patient risk by comparing new patients to historical datasets. They also found that collaborative filtering can provide benefits when the data are complete, that is, without missing data or unknown outcomes.

Compared with other studies in the field of drug recommendations, many studies were based on complicated rule-based ontology reasoning approaches which consider domain knowledge, such as drug-drug interactions ^[9-14]. Compared with our study, which obtained a micro-averaged AUC of 90.09% for the hybrid model on the de-identified Songklanagarind's EHR dataset, Bajor and Lasko ^[8] obtained a micro-averaged AUC of 92.70% on the de-identified Vanderbilt's EHR dataset, and Wu et al. ^[14] obtained micro-averaged AUCs of 86.08% and 72.75% on the MIMIC-IV dataset and the Claims dataset, respectively. These results are slightly different because the studies were designed differently and different datasets were used. Our approaches

were based on the knowledge discovered by learning patterns in data, similar to Bajor and Lasko's study ^[8]. In their study, they trained a recurrent neural network model on a larger dataset of over 600,000 patient records. Similar to us, they grouped similar drugs based on their therapeutic class (e.g., beta blockers, diuretics, and immune suppressants), resulting in over 1000 drugs grouped into 182 therapeutic classes. Their model processed 100 recent ICD-9 codes to generate a list of suggested drugs. It was reported that their recurrent neural network model outperformed a feedforward neural network model by 1 percent in micro-averaged AUC. Such a small difference could possibly be noticeable in clinical use ^[8]. While we focused on the patient's current visit, their approaches may be biased toward patients who visit the hospital frequently compared to patients who are visiting the hospital for the first time. To date, no study has examined both classification and collaborative filtering approaches together for drug recommendation.

4.5 Physician Acceptance

Physician acceptance is critical to getting the most value from systems designed to support physicians. They must be accurate, because physicians will ignore inaccurate and ineffective decision support systems. They must support existing clinical workflows without requiring additional inputs or actions. They must help physicians improve the quality of care while maximizing their own productivity and efficiency.

When developing a recommendation system, we can expect an algorithm to have other good algorithmic properties besides numerical metrics, such as diversity and explain ability. We do not want a user to be trapped in the confinement area of popular classes. Currently, none of the studies take physician acceptance into account. We conducted a human-based evaluation to assess the quality of the recommendations provided by the systems. We obtained an average agreement rate of 47.50% with an inter-rater coefficient of 30.54% (see Table 4). This indicates that physicians agreed with the list generated from the recommendation model fairly often. Physicians criticisms included that the algorithms often recommended drugs that they did not think were relevant to the patient condition based on the given ICD-10 codes alone, e.g., analgesics and diuretics. If the algorithm

was integrated with a drug–drug interaction database, a disease ontology database, and a drug ontology database, this problem could still occur. To address the problem, the algorithm should process the patient’s chief complaint or clinical notes in addition to ICD-10 codes. More studies, however, need to be carried out on the algorithms to see how the systems are ready to be used and adopted by physicians.

4.6 Study Limitations

The study was subject to certain limitations. First, we did not consider domain knowledge, such as disease ontology or drug–drug interactions, in developing the models. We relied solely on the model to discover complex patterns in the data. Integrating these medical concepts could improve drug recommendation and physician acceptance. Second, apart from the diagnosis codes, we did not consider any other context around the visit, such as physical examination, laboratory tests, and patient notes. Third, with collaborative filtering, it is notoriously difficult to incorporate side features for items. We used collective matrix factorization approaches ^[25], which can incorporate side features, but little performance improvement was observed. Deeper investigation of approaches, e.g., with advanced feature embedding, could lead to further improvements in the results. Finally, our model did not consider the patient’s historical records. Past medical records can provide information about what medications the patient was prescribed in the past and what medications the patient is currently taking. Incorporating these into the model would allow physicians to make better recommendations and lead to better physician acceptance. Models based on long short-term memory (LSTM), gated recurrent units (GRU) or transformers which can handle sequential or historical data could further improve results.

CHAPTER 5

Conclusion and Future work

5.1 Conclusions

Recommendation systems can help healthcare professionals make better and faster clinical decisions in this age of overloaded medical information. This study aims to explore approaches for drug recommendations in patients with diabetes, hypertension and cardiovascular disease on a real-world institutional dataset. Drug recommendation systems learn from the diagnostic and prescription data already in the EHR system to recommend drugs that correspond to the patient's diagnostic concerns to a physician. We investigated both collaborative filtering approaches and traditional machine-learning classifiers. Although collaborative filtering is widely used in recommender systems to provide personalized recommendations based on data characteristics from many subjects, collaborative filtering consistently underperformed traditional classification in our problem of interest. We observed that collaborative filtering was sensitive to severe class imbalances and tended to favor more popular labels. Performance improvements could be observed by incorporating more comprehensive patient profiles into the learning process. Drug recommenders could be an important tool for healthcare professionals as they can streamline clinical workflow. There are practical and implementation issues that need to be considered, such as deplorability, prediction latency, clinical coding changes, and long-term maintainability.

From this system, we will be developed into a decision making program to help in checking prescriptions of doctors. The pharmacists to use a prescription verify program compared to the list of drugs from this research. The pharmacist can check the doctor's prescription against the list of medicines recommended by the system to verify the effectiveness of the doctor's prescription. The pharmacist may use this recommendation system to inform the physician to double-check the medication list to see if the prescribed prescription is complete or does not match the

recommendation system. So that the doctor can decide whether to confirm the original order or change the medication list.

Although the drug list recommendation system is able to recommend the most suitable drug list for the patients. There are certain conditions that doctor and pharmacist may need to consider is about the patient's payment rights This will affect some prescriptions. However, this drug recommendation system attempts to recommend a drug list based on the form of a generic name. Pharmacists and physicians may also make use of the generic list of recommended drugs to determine the correct prescriptions recommended by the drug recommendation system.

Finally, the physician must also consider the appropriateness of the prescription. Although the system recommends a list of medications that are suitable for the patient, the appropriate amount of medication must be taken into account. Otherwise, it will result in the patient receiving too much or too little of the drug.

5.2 Future Work

Our recommendation systems can be improved by considering more comprehensive patient profiles (such as current and historical weight, height, body mass index, laboratory tests, diagnosis, and treatment), domain knowledge (such as disease ontology and drug–drug interactions), as well as laboratory and diagnostic tests when making recommendations. Drug recommendation systems can also be improved by incorporating unstructured data such as clinical notes, both from nurses and physicians, which often contain important contextual information about each patient visit. For example, patients' chief complaints, which indicate the main reasons for their visits, are often written as free text in clinical notes. The chief complaints might include information about the patient's condition which is sometimes not included in diagnosis codes, thus improving the outcomes of recommendations. Such an implementation requires more complex feature engineering and neural network architectures, such as a language model for processing natural language data and a recurrent neural network model for processing clinical data with irregular times. Although it seems that collaborative filtering approaches may also be appropriate for this context due to their scalability and dynamic learning, the present study and Hao and Blair's study ^[5] prove

otherwise. They do not handle complex clinical data well. In addition, recommendation systems can also be extended to support more disease codes and drugs by leveraging a larger set of clinical data. Further investigation into more advanced algorithms and more comprehensive clinical data is our focus for future work.

5.3 Implementation Considerations

The overabundance of medical information has made it difficult for health-care professionals to make patient-centered decisions. These difficulties highlight the need to implement healthcare recommendation systems to help both end users and healthcare professionals make more efficient and accurate clinical-related decisions. These systems must gain the confidence of users in the sense that they draw robust and causal inferences from clinical data. They must also be fast enough and integrate well with the current system. Such complex artificial intelligence systems may need to be deployed locally at the edge of the system to enable rapid performance. Server-side processing may result in some latency. Deployment considerations must be made before developing clinical recommendation engines. Recommendation systems are often based on medical codes (such as medicinal code, ICD-9, ICD-10, or the most recent ICD-11). The use of these codes varies from country to country and from institution to institution. There are also some variations of these codes, such as country-specific extensions. At some point, there may be a change from the current version to a newer version. Although mapping between different versions is possible, the newer versions of the codes generally include more diseases and symptoms and may be more specific. Some institutions may use SNOMED-CT, which contains more detailed clinical information than ICD variants. It could also be that new drugs will be introduced at some point. This creates hurdles in implementing the systems and makes it difficult to maintain them. The system must be dynamic enough to cope with such constant changes. It is certainly difficult to create a one-size-fits-all solution.

Reference

1. Hunter, D.J.; Reddy, K.S. Noncommunicable Diseases. *N. Engl. J. Med.* 2013, 369, 1336–1343.
2. GBD 2015 Risk Factors Collaborators. Global, regional, and national comparative risk assessment of 79 behavioural, environmental and occupational, and metabolic risks or clusters of risks, 1990–2015: A systematic analysis for the Global Burden of Disease Study 2015. *Lancet* 2016, 388, 1659–1724.
3. Sowers, J. R. ; Epstein, M. ; Frohlich, E. D. Diabetes, Hypertension, and Cardiovascular Disease. *Hypertension* 2001, 37, 1053–1059.
4. Low, W.Y.; Lee, Y.K.; Samy, A.L. Non-communicable diseases in the Asia-Pacific region: Prevalence, risk factors and communitybased prevention. *Int. J. Occup. Med. Environ. Health* 2014, 28, 20–26.
5. Hao, F. ; Blair, R. H. A comparative study: Classification vs. user-based collaborative filtering for clinical prediction. *BMC Med. Res. Methodol.* 2016, 16, 172.
6. Doulaverakis, C. ; Nikolaidis, G. ; Kleontas, A. ; Kompatsiaris, I. GalenOWL: Ontology-based drug recommendations discovery. *J. Biomed. Semant.* 2012, 3, 14.
7. Rodríguez, A. ; Jiménez, E. ; Fernández, J. ; Eccius, M. ; Gómez, J. M. ; Alor-Hernandez, G.; Posada-Gomez, R.; Laufer, C. SemMed: Applying Semantic Web to Medical Recommendation Systems. In *Proceedings of the 2009 First International Conference on Intensive Applications and Services*, Valencia, Spain, 20–25 April 2009.
8. Bajor, J. M. ; Lasko, T. A. Predicting Medications from Diagnostic Codes with Recurrent Neural Networks. In *Proceedings of the ICLR*, Toulon, France, 24–26 April 2017.
9. Zhang, Y.; Chen, R.; Tang, J.; Stewart, W.F.; Sun, J. LEAP. In *Proceedings of the 23rd ACM SIGKDD International Conference on Knowledge Discovery and Data Mining*, Halifax, NS, Canada, 13–17 August 2017.

10. Wang, L.; Zhang,W.; He, X.; Zha, H. Personalized Prescription for Comorbidity. In Database Systems for Advanced Applications; Springer International Publishing: Cham, Switzerland, 2018; pp. 3–19.
11. Gong, F.;Wang, M.;Wang, H.;Wang, S.; Liu, M. SMR: Medical Knowledge Graph Embedding for Safe Medicine Recommendation. *Big Data Res.* 2021, 23, 100174.
12. Shang, J.; Xiao, C.; Ma, T.; Li, H.; Sun, J. GAMENet: Graph Augmented MEmory Networks for Recommending Medication Combination. *Proc. AAAI Conf. Artif. Intell.* 2019, 33, 1126–1133.
13. Yang, C.; Xiao, C.; Ma, F.; Glass, L.; Sun, J. SafeDrug: Dual Molecular Graph Encoders for Recommending Effective and Safe Drug Combinations. In Proceedings of the 30th International Joint Conference on Artificial Intelligence, IJCAI 2021, Montreal, QC, USA, 19–27 August 2021.
14. Wu, Z.; Yao, H.; Su, Z.; Liebovitz, D.M.; Glass, L.M.; Zou, J.; Finn, C.; Sun, J. Knowledge-Driven New Drug Recommendation. *arXiv* 2022.
15. Johnson, A.E.; Pollard, T.J.; Shen, L.; Lehman, L.W.H.; Feng, M.; Ghassemi, M.; Moody, B.; Szolovits, P.; Celi, L.A.; Mark, R.G. MIMIC-III, a freely accessible critical care database. *Sci. Data* 2016, 3, 160035.
16. Davis, D.A.; Chawla, N.V.; Christakis, N.A.; Barabási, A.L. Time to CARE: A collaborative engine for practical disease prediction. *Data Min. Knowl. Discov.* 2009, 20, 388–415.
17. Folino, F.; Pizzuti, C. A recommendation engine for disease prediction. *Inf. Syst. E-Bus. Manag.* 2014, 13, 609–628.
18. Hassan, S.; Syed, Z. From netflix to heart attacks. In Proceedings of the ACM International Conference on Health Informatics IHI' 10, Arlington, VA, USA, 11–12 November 2010.
19. Morales, L.F.G.; Valdiviezo-Diaz, P.; Reátegui, R.; Barba-Guaman, L. Drug Recommendation System for Diabetes Using a Collaborative Filtering and Clustering Approach: Development and Performance Evaluation. *J. Med. Internet Res.* 2022, 24, e37233.
20. Bishop, C.M. Pattern Recognition and Machine Learning; Springer: New York, NY, USA, 2006.

21. Fan, R.E.; Chang, K.W.; Hsieh, C.J.; Wang, X.R.; Lin, C.J. LIBLINEAR: A Library for Large Linear Classification. *J. Mach. Learn. Res.* 2008, 9, 1871–1874.
22. Breiman, L. Random Forests. *Mach. Learn.* 2001, 45, 5–32.
23. Pedregosa, F.; Varoquaux, G.; Gramfort, A.; Michel, V.; Thirion, B.; Grisel, O.; Blondel, M.; Prettenhofer, P.; Weiss, R.; Dubourg, V.; et al. Scikit-Learn: Machine Learning in Python. *J. Mach. Learn. Res.* 2011, 12, 2825–2830.
24. Singh, A.P.; Gordon, G.J. Relational learning via collective matrix factorization. In *Proceedings of the 14th ACM SIGKDD International Conference on Knowledge Discovery and Data Mining—KDD 08, Las Vegas, NV, USA, 24–27 August 2008*.
25. Cortes, D. Cold-start recommendations in Collective Matrix Factorization. *arXiv* 2018.

Appendix

Paper



International Journal of
*Environmental Research
and Public Health*



Article

Drug Recommendation from Diagnosis Codes: Classification vs. Collaborative Filtering Approaches

Apichat Sae-Ang, Sawrawit Chairat, Natchada Tansuebchueasai, Orapan Fumaneeshoat,
Thammasin Ingviya and Sitthichok Chaichulee

Special Issue

[Application of Information Technology in Medicine and Healthcare](#)

Edited by

Prof. Dr. Carolina Del Valle Soto and Dr. Luis Rizo-Dominguez



<https://doi.org/10.3390/ijerph20010309>

Article

Drug Recommendation from Diagnosis Codes: Classification vs. Collaborative Filtering Approaches

Apichat Sae-Ang ¹, Sawrawit Chairat ², Natchada Tansuebchueasai ³, Orapan Fumaneeshoat ^{4,5},
 Thammasin Ingviya ^{4,5} and Sitthichok Chaichulee ^{2,5,*}

¹ College of Digital Science, Prince of Songkla University, Songkhla 90110, Thailand

² Department of Biomedical Sciences and Biomedical Engineering, Faculty of Medicine, Prince of Songkla University, Songkhla 90110, Thailand

³ Department of Ophthalmology, Faculty of Medicine, Prince of Songkla University, Songkhla 90110, Thailand

⁴ Department of Family and Preventive Medicine, Faculty of Medicine, Prince of Songkla University, Songkhla 90110, Thailand

⁵ Research Center for Medical Data Analytics, Faculty of Medicine, Prince of Songkla University, Songkhla 90110, Thailand

* Correspondence: sitthichok.c@psu.ac.th

Abstract: Over time, large amounts of clinical data have accumulated in electronic health records (EHRs), making it difficult for healthcare professionals to navigate and make patient-centered decisions. This underscores the need for healthcare recommendation systems that help medical professionals make faster and more accurate decisions. This study addresses drug recommendation systems that generate an appropriate list of drugs that match patients' diagnoses. Currently, recommendations are manually prepared by physicians, but this is difficult for patients with multiple comorbidities. We explored approaches to drug recommendations based on elderly patients with diabetes, hypertension, and cardiovascular disease who visited primary-care clinics and often had multiple conditions. We examined both collaborative filtering approaches and traditional machine-learning classifiers. The hybrid model between the two yielded a recall at 5 of 76.61%, a precision at 5 of 46.20%, a macro-averaged area under the curve of 74.52%, and an average physician agreement of 47.50%. Although collaborative filtering is widely used in recommendation systems, our results showed that it consistently underperformed traditional classification. Collaborative filtering was sensitive to class imbalances and favored the more popular classes. This study highlighted challenges that need to be addressed when developing recommendation systems in EHRs.

Keywords: machine learning; collaborative filtering; classification; diseases; electronic medical prescriptions; recommender systems



Citation: Sae-Ang, A.; Chairat, S.; Tansuebchueasai, N.; Fumaneeshoat, O.; Ingviya, T.; Chaichulee, S. Drug Recommendation from Diagnosis Codes: Classification vs. Collaborative Filtering Approaches. *Int. J. Environ. Res. Public Health* **2023**, *20*, 309. <https://doi.org/10.3390/ijerph20010309>

Academic Editors: Carolina Del Valle Soto and Luis Rizo-Dominguez

Received: 24 November 2022

Revised: 18 December 2022

Accepted: 20 December 2022

Published: 25 December 2022



Copyright: © 2022 by the authors. Licensee MDPI, Basel, Switzerland. This article is an open access article distributed under the terms and conditions of the Creative Commons Attribution (CC BY) license (<https://creativecommons.org/licenses/by/4.0/>).

1. Introduction

Noncommunicable diseases (NCDs) are a group of diseases that are not caused by infection and cannot be transmitted through contact or a carrier [1]. They are caused by a combination of genetic, environmental, physiological, and behavioral factors. NCDs usually have a long duration and slow progression, and symptoms accumulate steadily over time. These include diabetes mellitus, hypertension, dyslipidemia, cerebrovascular diseases, heart diseases, chronic lower respiratory diseases, and cancer. NCDs account for more than 71% of annual deaths and are the leading cause of death worldwide. Nearly three quarters of all NCD deaths occur in low- and middle-income countries [2]. The increase in NCDs is largely attributable to four major risk factors: tobacco use, physical inactivity, harmful alcohol consumption, and unhealthy diets. Many people can have multiple NCDs, especially the elderly [1].

Cardiovascular disease is the leading cause of mortality in patients with diabetes, and many factors, including hypertension, contribute to this high prevalence of cardiovascular disease [3]. Hypertension is about twice as common in patients with diabetes as in

those without the disease. Diabetes, hypertension, and cardiovascular disease are the most common chronic NCDs causing high mortality and morbidity worldwide. With the rapid increase in NCD-related deaths in Asia-Pacific countries, NCDs are now the leading cause of disease burden in the region [4].

The management of patients with complex comorbidities has long been considered a challenging task. For patients with diabetes, hypertension, and cardiovascular disease, a physician often prescribes drugs for one to six months, depending on their symptoms and the severity of the disease. The physician also schedules an appointment for the patient's next visit to continue treatment. The physician may also order a pathological examination for the next visit. Together with the results of the physical examination, the results of the pathological examination are used to consider an appropriate medical prescription. Treatment of patients with diabetes, hypertension, and cardiovascular disease requires the continuous prescription of drugs. There may be increases and decreases in the amount taken, but patients must continue to take the drugs until the results of the pathological examination are satisfactory. The drugs prescribed to the patient must be appropriate for the patient's pathological results, and the number and dosage must be correct. In this way, the drugs can be used safely by the patients.

Electronic health records (EHRs) document patients' complete medical histories, including their diagnoses, procedures, drugs, imaging, and laboratory results. In recent decades, healthcare digitalization has increased the availability of patient data for health data analytics. The increasing adoption and use of EHRs has created a tremendous opportunity to leverage health data for clinical decision making.

Modern EHRs code patients' diseases and conditions using diagnosis codes. The International Classification of Diseases (ICD) is a standardized classification system for diseases and conditions commonly used in EHRs globally. The ICD codes have long been used for clinical, health management, and epidemiological purposes. The ICD-10 version includes nearly 70,000 codes. Drugs can be referred to by their generic name or their brand name. The generic name does not refer to the brand of a particular company. It provides a clear and unique identification and appears on all drug and medicine labels. Generic names are often an abbreviation of the chemical name, structure, or formula of the drug. Standard terminologies, such as ICD-10 and generic names, facilitate the secondary use of EHR data and support data-driven clinical and translational research.

EHR research ranges from disease classification to readmission prediction to mortality assessment. Drug recommendation systems are one area being studied in this field. The goal of drug recommendation systems is to provide a list of relevant drugs based on the patient's disease conditions. In recent years, recommendation systems have evolved and become indispensable for certain businesses, such as Google. Advances in recommender systems may help physicians prescribe drugs for patients by utilizing extensive EHR data. In addition to recommending a list of drugs, it is important to provide explanations for these recommendations in order to increase physicians' acceptance of the system.

The development of recommendation systems in the medical domain has presented some challenges [5]. First, clinical data are based on variables, such as clinical measurements, medical examinations, and professional expertise, which are subjective and may be influenced by patient and physician preferences. Second, the absence of a diagnosis may mean that a person has not yet been diagnosed with a disease. However, this does not always mean that the person does not have the disease. Lastly, clinical data may consist of a variety of variable types (such as binary, continuous, categorical, and ordinal), making it difficult to model and to merge information from different sources.

Many existing drug recommendation systems have been developed based on different approaches and algorithms. For ontology- and rule-based systems, drug recommendation systems are implemented primarily based on hard-coded protocols, which are typically established by physicians and their institutions' policies. GelenOWL [6] recommended drugs for patients using a medical and rule-based reasoning approach developed based on the patient's disease, allergies, and known drug interactions for the drugs in the database.

SemMed [7] used an ontology-based approach based on diseases, drugs, and allergies to provide a list of recommended drugs. These algorithms required the development of extensive rules, which is difficult and time-consuming to perform on a large scale.

For machine-learning-based systems, Bajor and Lasko [8] developed a deep-learning model for drug prediction which uses the most recent 100 billing codes and generates a list of suggested drugs based on their therapeutic class. LEAP [9] was a drug recommendation system for patients with complex multimorbidity which broke down the treatment recommendation into a series of decision-making steps and automatically selected the best drugs. The algorithms take the diagnosis codes of a given visit as inputs and generate a list of recommended drugs that can avoid adverse drug interactions. Wang et al. [10] developed a drug recommendation model which jointly learns the representations of patients, diseases and drugs and fuses them with a trilinear method which takes disease ontology into account. SMR [11] was a drug recommendation system based on a high-quality heterogeneous graph by bridging EMRs and medical knowledge graphs. The algorithm used heterogeneous graphs and joint-learning-embedding models to generate a list of drugs while taking into account the patient's diagnoses and adverse drug reactions. Recently, several studies have examined specific problems in recommending drugs with more sophisticated methods. Shang et al. [12] investigated a method for drug recommendation that leverages both patient representation and drug interactions through recurrent neural networks which also take into account the patient's previous visits. The method can effectively reduce the rate of drug-to-drug interactions in recommended medication combinations. Yang et al. [13] developed a safe drug recommendation engine based on diagnosis codes, procedure codes, drug molecule structures, and drug-drug interactions using neural networks and graph representation, which showed some improvement over using only diagnosis and procedure codes. Wu et al. [14] explored approaches which address newly approved drugs which do not have much historical prescription data using a few-shot learning problem which leverages the drug ontology to link new drugs to existing drugs with similar treatment effects and learns ontology-based drug representations. Most studies were conducted with the public MIMIC datasets [15]. Few studies have been conducted with institutional datasets. Standards for diagnosis codes, billing codes, and drug codes vary between countries. Most studies of drug recommendations relied on traditional classification methods.

Collaborative filtering, one of the most popular techniques in recommender systems, has recently been employed for clinical prediction [5]. It is based on the notion that individuals with similar preferences who agree on certain items are likely to agree on other items of which they may not be aware. Collaborative filtering can be used to generate a personalized ranking of items that are of interest. Many collaborative-filtering applications in the medical domain are for predicting comorbidities based on a patient's clinical data, such as clinical variables or diagnosis codes. Davis et al. [16] developed a collaborative filtering model which uses patients' ICD-9-CM codes to predict future disease risk. The model predicted each patient's disease risk based on the patient's own medical history and the histories of patients with similar characteristics. The output was a list of diseases for each patient, personalized and ranked by severity. Folio et al. [17] developed a similar approach for predicting comorbidities based on ICD-9-CM codes with additional layers which relied on clustering and association rules. Hassan and Syed [18] proposed a collaborative filtering model which incorporated extensive clinical variables (such as clinical measurements, diagnoses, and family history) to predict patient outcomes, i.e., sudden cardiac death and recurrent myocardial infarction. Collaborative filtering was shown to outperform traditional logistic regression and support vector machines on the same dataset. Recently, Granda Morales et al. [19] developed a drug recommendation specifically for patients with diabetes based on a user-based collaborative filtering approach which supports 10 diabetes drugs. The performance of collaborative filtering depended heavily on the data [5].

This study was motivated by the growing volume of medical records and the desire to use these data to support clinical decision making. Drug recommendation systems can assist both physicians in prescribing drugs and pharmacists in reviewing prescribed

drugs. We took steps to evaluate collaborative filtering and classification approaches in the context of drug recommendation. We hypothesized that collaborative filtering could generate a list of recommended drugs based on patient characteristics, while leveraging patient similarities. This could circumvent the problem of missing data (e.g., the absence of diagnoses) in the medical domain. In this study, we focused on elderly patients with diabetes, hypertension, and cardiovascular disease because they share common risk factors and are one of the largest groups of people who frequently visit hospitals. The results of this research can be developed into a system which supports clinical decision making in drug prescription and drug verification.

2. Materials and Methods

Drug recommendation systems based on both classification and collaborative filtering algorithms were developed and evaluated using data from the Songklanagarind Hospital Information System. This section describes data collection, data preparation, algorithms, and evaluation procedures.

2.1. Dataset

Our study used retrospective cross-sectional data taken from the Hospital Information System of Songklanagarind Hospital, Thailand. We used data from patients aged more than 65 years who visited the primary-care clinics and general-practice clinics of Songklanagarind Hospital between January 2015 and December 2021 and were diagnosed with diabetes (ICD-10 code: E10-E14), hypertension (ICD-10 code: I10), or cardiovascular disease (ICD-10 code: E78). Our dataset contains patient demographics (age and sex), diagnosis codes (ICD-10), and prescribed drugs (generic name) for each outpatient visit. We did not include personal identifiable information (PII). We excluded patients who were not prescribed drugs or did not have diagnosis codes reported. The study protocol was approved by the Office of Human Research Ethics Committee, Faculty of Medicine, Prince of Songkla University under Approval No. REC.65-340-38-2.

Table 1 shows the descriptive statistics for our dataset. Our dataset consists of 28,728 outpatient visits from 3925 different patients, with an average number of visits of 7.25 per patient over five years. The total number of diagnosis codes assigned for all visits was 109,625 with 946 unique ICD-10 codes and an average of 3.82 ICD-10 codes per visit. The total number of drugs prescribed for all visits was 182,743, with 523 unique drugs and an average of 6.36 drugs per visit. Data entry standards were consistent across the dataset.

Table 1. Descriptive statistics of the dataset.

Characteristics	January 2015 to December 2021
Duration	
Number of visits	28,728
Number of patients	3925
Number of visits per patient ¹	7.25 (6.46)
Age ¹	74.25 (6.66)
Sex	
Male ²	1676 (42.27%)
Female ²	2289 (57.73%)
Number of diagnosis codes ³	109,625 (946)
Number of diagnosis codes per visit ¹	3.82 (1.18)
Number of prescribed drugs ³	182,743 (523)
Number of prescribed drugs per visit ¹	6.36 (2.94)

¹ mean (standard deviation); ² frequency (proportion); and ³ total count (unique values).

Figure 1 shows the distribution of patient age at visit in our dataset, ranging from 65 to 105 years.

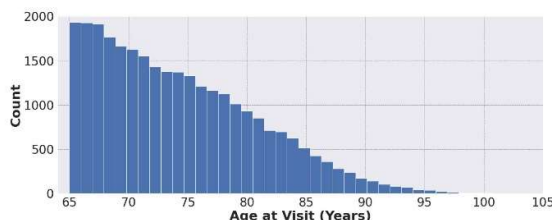


Figure 1. Distribution of patient age at visit (N = 28,728).

2.2. Data Preparation

Patients come to the doctor for a wide variety of reasons. Our dataset contains 946 unique ICD-10 codes and 523 unique generic codes for drugs (see Table 1). Some diseases and conditions have a high prevalence, while others are coded less frequently. The same applies for drugs. It is difficult to develop a model which supports all ICD-10 codes and all drugs. Some less frequently coded features may not have strong predictive power or may not be sufficient to represent the problem.

Our process of data transformation was as follows. First, we selected the 40 most frequent ICD-10 codes and the 60 most frequent generic names of drugs. All selected features have more than 200 occurrences. Figure 2 shows the distribution of ICD-10 codes and drugs’ generic names for all records. Second, because different drugs have similar therapeutic functions, we grouped drugs according to their therapeutic functions using a panel of physicians. This resulted in 30 different drug groups from 60 individual generic names of drugs, as shown in Figure 3. Finally, the categorical variables, i.e., ICD-10 codes and generic names of drugs, were transformed into dummy or indicator variables which take the value 0 or 1 only to indicate the presence or absence of each category. Figure 4 illustrates an example of the preprocessed data frame used in the study.

We randomly divided our preprocessed data into two sets: a training set (90%) and a test set (10%). Patients in the training and test sets were assumed to be mutually exclusive. This resulted in the training set containing 25,855 inpatient visits, whereas the test set contained 2873 inpatient visits. We used 10-fold cross-validation in the training set to find optimal hyper-parameters and select the best model to evaluate with the test set.

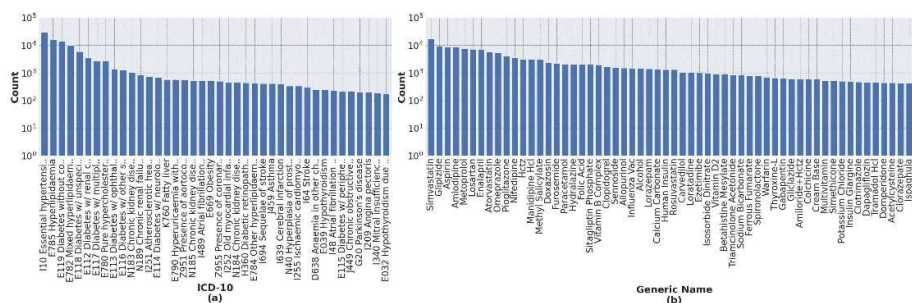


Figure 2. Distribution of (a) ICD-10 codes and (b) drugs’ generic names for the 40 most frequent ICD-10 codes and the 60 most frequent generic names of drugs in the dataset. All chosen features have at least 200 occurrences.

1. Statins Simvastatin Atorvastatin Rosuvastatin Ezetimibe	4. Antihypertensive Medication Amlodipine Metoprolol Losartan Enalapril Nifedipine HCTZ Manidipine HCL Doxazosin Hydralazine Carvedilol Isosorbide Dinitrate Amloride+HCTZ Propranolol	6. Methyl Salicylate	17. Vitamin D2
		7. Oral Analgesics Paracetamol Tramadol HCL	18. Betahistine Mesylate
2. Antidiabetic Medication Glipizide Pioglitazone Sitagliptin Phosphate Human Insulin Gliclazide Insulin Glargine Dapagliflozin	5. Gastrointestinal Medication Omeprazole Simethicone Domperidone	8. Folic Acid	19. Triamcinolone Acetonide
		9. Vitamin B Complex	20. Sodium Bicarbonate
3. Antiplatelet Medication Aspirin Clopidogrel Warfarin		10. Constipation Medication Sennoside Ispaghula	21. Ferrous Fumarate
		11. Allopurinol	22. Diuretics Furosemide Spironolactone
		12. Influenza Vac	23. Thyroxine-L
		13. Alcohol	24. Gabapentin
		14. Benzodiazepines Lorazepam Clorazepate	25. Colchicine
		15. Calcium Carbonate	26. Cream Base
		16. Loratadine	27. Multivitamin
			28. Potassium Chloride
			29. Acetylcysteine
			30. Clotrimazole

Figure 3. Medications are grouped according to their therapeutic function. Different drugs may belong to the same group.

Patient	Age	Sex	ICD-10					Generic Name			
			D638 Anaemia in other chronic ...	E112 diabetes mellitus with	Z955 Coronary angioplasty ...	Acetylcysteine	Anaesthetic medication	...	Thyroxine-L	
1	67.6	F	0	0	:	0	0	0	:	1	
2	70.0	F	0	1	:	0	0	0	:	0	
3	70.1	F	0	0	:	0	0	0	:	0	
4	69.2	F	0	0	:	0	1	0	:	0	
:	:	:	:	:	:	:	:	:	:	:	
N	69.5	1	0	0	:	0	0	0	0	0	

Figure 4. Example of the preprocessed data frame.

2.3. Classification Algorithms

Classification is a predictive modeling problem which predicts a class label for input data. A model uses the training dataset with many examples of inputs and outputs to learn to map input data to class labels. Drug recommendation can be formulated as a supervised multi-class multi-label classification problem in which patient demographics and diagnosis codes are the inputs and the drugs are outputs. In this study, four different classification algorithms were assessed: nearest neighbors, logistic regression, random forest, and multilayer perceptron.

Nearest neighbors [20] looks for a certain number of training samples which are closest to the new data and then uses them to predict the class label by a simple majority vote of the closest neighbors of the new data. Probability scores are a fraction of votes among the closest neighbors. Nearest neighbors was a simple baseline method for our classification models. We implemented a nearest neighbor algorithm with 24 nearest neighbors and the Minkowski distance metric.

Logistic regression [20] is a statistical model which predicts the probability of an event based on independent variables. Given a set of m input variables $\mathbf{x} = \{x_1, x_2, \dots, x_m\}$, the binary logistic function has the form:

$$p(\mathbf{x}) = \frac{1}{1 + e^{-(\beta_0 + \beta_1 x_1 + \beta_2 x_2 + \dots + \beta_m x_m)}} \quad (1)$$

where $\beta = \{\beta_0, \beta_1, \beta_2, \dots, \beta_m\}$ are the regression coefficients learned from the data by minimizing a loss function. We used the lbfgs optimizer [21] with L2 regularization and a C parameter of 1.

Random forests [22] is an ensemble learning model based on multiple decision trees created from the training data. Decision trees are a popular method for non-parametric supervised-learning problems. However, deep decision trees tend to have low bias but high variance because they often overfit their training data. The strategy of random forests is to average multiple shallow decision trees trained from different parts of the same training set with the aim of reducing variance. The output of random forests is the class label chosen by the majority of the decision trees. Probability scores are aggregated by averaging the class probability estimates for all decision trees. In our implementation, we used the Gini impurity criterion to estimate the best feature for the split, the number of decision trees of 200, and the maximum tree depth of 8.

Multilayer perceptron [20] is a fully connected feedforward artificial neural network consisting of an input layer, one or more hidden layers, and an output layer. One layer can have multiple nodes. Each node is equipped with a weighted neuron with a nonlinear activation function. Every node in one layer has a weighted connection to every node in the following layer. Learning is performed by adjusting the weights of each neuron based on the errors in comparison to the expected results. The inputs pass through each layer in turn and are weighted until they reach the output layers. Subsequently, the softmax function is applied to normalize the output of the network into a vector of probability scores. Multilayer perceptron is able to find approximate solutions to complex problems. We implemented a multilayer perceptron network with two hidden layers in which each layer has 128 nodes. Each node was equipped with a ReLU activation function. The network was trained using the Adam optimizer with a constant learning rate of 0.001 until the loss did not improve by 0.0001 over 10 consecutive iterations.

We used the scikit-learn library [23] on Python 3.8.10 for the development of all classification algorithms. In our case, with multiple classes and multiple labels, the one-vs-rest scheme was used to train multiple binary classification models in which each model is responsible for only one class label. All hyperparameters, as listed above, were determined by 10-fold cross-validation on the training set. We provided class weights which are inversely proportional to class frequencies to compensate for imbalances between classes.

2.4. Collaborative Filtering Algorithms

Relational learning is the process of determining unknown values in a relationship utilizing a database of entities and their relationships to each other [24]. In our case, we employ relational learning for drug recommendation, where the entities include patients, drugs, and diagnoses. The relationships encode the drugs prescribed by physicians and the diagnoses of the patients. In domains with multiple relationships, information from one relationship can be used to predict another.

Relational data is composed of entities and the interactions between them [24]. In many relational domains, the number of entity types and interactions is often fixed. They may consist of only one or two entity types, such as patients and drugs. Given a relational schema with t entity types: e_1, \dots, e_t in which $e_t \in \mathcal{E}_t$. An interaction between a pair of entity types, e_i and e_j , is denoted as an $n_i \times n_j$ interaction matrix, $X^{(ij)}$, where n_i is the number of e_i entities and n_j is the number of e_j entities. The element $x_{e_i, e_j} \in X^{(ij)}$ specifies an interaction

between two entities, ϵ_i and ϵ_j . Using the low-rank matrix factorization, the interaction matrix $X^{(ij)}$ can be expressed as the product of two lower dimensional matrices:

$$X^{(ij)} \approx f^{(ij)}(U^{(i)}(U^{(j)})^T) \quad (2)$$

where $U^{(i)} \in \mathbb{R}^{n_i \times k_{ij}}$, $U^{(j)} \in \mathbb{R}^{n_j \times k_{ij}}$ and $k_{ij} \ll n_i, n_j$. The two lower dimensional matrices, $U^{(i)}$ and $U^{(j)}$, can be thought of as latent factors determined for entity type ϵ_i and ϵ_j , respectively. The latent dimension k is the number of latent factors and $f^{(ij)}$ is a non-linear indicator function [24]. If ϵ_i is involved in more than one interaction, each interaction can be modeled separately. The latent factors, $U^{(i)}$ and $U^{(j)}$, can be obtained by minimizing a loss function [25] based on the observed interaction matrix, $X^{(ij)}$:

$$\min_{U^{(i)}, U^{(j)}} \|f^{(ij)}(X^{(ij)} - b^{(i)} - b^{(j)} - U^{(i)}(U^{(j)})^T)\| \quad (3)$$

where $b^{(i)}$ and $b^{(j)}$ are biases for ϵ_i and ϵ_j , respectively [25]. The prediction for the unknown values of $X^{(ij)}$ can be obtained by the product of the two latent factors, $U^{(i)}$ and $U^{(j)}$. Recommendations can be made by sorting the predictions in descending order.

Collective matrix factorization (CMF) extends the low-rank matrix factorization by jointly factorizing the interaction matrices along with their side information, while sharing the latent factors between them [25]. Our CMF model was based on two entity types: ϵ_1 for patients and ϵ_2 for drugs. The CMF model jointly factorizes the interaction matrix $X^{(12)}$, which indicates which drug is prescribed for which patient, along with the patient attribute matrix $S^{(1)}$, which indicates patient demographics and the diagnoses a physician makes for each patient, and the drug attribute matrix $S^{(2)}$, which indicates the distribution of each diagnosis code for each drug. Using low-rank matrix factorization, the side attribution matrices can be expressed as $S^{(1)} \approx U^{(1)}(V^{(1)})^T$ and $S^{(2)} \approx U^{(2)}(V^{(2)})^T$, where $V^{(1)}$ and $V^{(2)}$ are the two new latent factors for the patient and drug attribute matrices, respectively. The latent factors can be obtained by minimizing a squared loss:

$$\min_{U^{(1)}, U^{(2)}, V^{(1)}, V^{(2)}} \|f^{(12)}(X^{(12)} - b^{(1)} - b^{(2)} - U^{(1)}(U^{(2)})^T)\|^2 + \|S^{(1)} - U^{(1)}(V^{(1)})^T\|^2 + \|S^{(2)} - U^{(2)}(V^{(2)})^T\|^2 \quad (4)$$

where $U^{(1)}$ and $U^{(2)}$ are shared between factorizations [25]. This non-convex optimization can be solved using the alternating least squares method to find local minima.

Offsets [25] is a recommendation model which provides another alternative to the CMF model in which the low-rank matrix is decomposed into linear additive components:

$$X^{(ij)} \approx f^{(ij)}((U^{(i)} + S^{(i)}V^{(i)})(U^{(j)} + S^{(j)}V^{(j)})^T). \quad (5)$$

The latent vectors are obtained by optimizing a squared loss based on the observed interaction matrix:

$$\min_{U^{(i)}, U^{(j)}, V^{(i)}, V^{(j)}} \|f^{(ij)}(X^{(ij)} - b^{(i)} - b^{(j)} - (U^{(i)} + S^{(i)}V^{(i)})(U^{(j)} + S^{(j)}V^{(j)})^T)\|^2. \quad (6)$$

The Offsets model is aimed at making cold-start recommendations because the predictions can be obtained by a simple vector-matrix product rather than by solving a complex linear system.

Most Popular [25] is a recommendation model which fits a model with only biases in order to provide non-personalized recommendations (see Equation (3)). The Most Popular model is a simple model which resembles the CMF model without the latent factors that serve as a benchmark.

In our study, we applied the CMF, Offsets, and Most Popular models to our dataset. Similar to classification approaches, 10-fold cross-validation was applied to the training

set to find appropriate model hyperparameters. Our models were then evaluated with the test set.

2.5. Hybrid Strategy

The prediction scores from both classification and collaborative filtering models, as computed above, can be combined into a final prediction score as follows:

$$p_{\text{combine}}(x) = \alpha \cdot p_{\text{class}}(x) + (1 - \alpha) \cdot p_{\text{collab}}(x) \quad (7)$$

where α is a weighting factor. The appropriate α value was determined by cross-validation. The class labels which had scores in the top K , or more than a predefined threshold, were recommended.

2.6. Evaluation Metrics

We performed inference for each model on the hold-out test set to obtain a top- K of recommended drugs, ranked by their scores, for each outpatient visit. Results were compared with a list of actual prescribed drugs. We employed the following evaluation metrics:

- Recall at K (Recall@ K) is the proportion of the actual drugs prescribed for a given patient that are included in the top- K recommendation list:

$$\text{Recall@}K = \frac{1}{|\tau|} \sum_{i=1}^K \begin{cases} 1 & r_i \in \tau \\ 0 & \text{otherwise} \end{cases} \quad (8)$$

where r_i is the recommended item ranked at position i (sorting by the prediction scores in descending order) and τ is the set of actual drugs prescribed by a physician).

- Precision at K (Precision@ K) is the proportion of top- K recommendation list that contains the actual drugs prescribed for a given patient:

$$\text{Precision@}K = \frac{1}{K} \sum_{i=1}^K \begin{cases} 1 & r_i \in \tau \\ 0 & \text{otherwise} \end{cases} \quad (9)$$

Precision@ K is the most intuitive metric, which captures what a recommendation system is aiming for.

- Hit rate at K (Hit@ K) is a metric which examines whether any of the top- K recommended items were included in the list of actual drugs prescribed for a given patient.
- Normalised discounted cumulative gain at K (NDCG@ K) is a metric which considers the presence of an item in the top- K recommendation list and applies a discount according to the rank of each item in the top- K list.
- Average precision (AP) calculates the average value of precision over precision-recall pairs for different thresholds. It describes how well a system recalls the actual items in the top ranks.
- Area under the receiver-operating characteristic curve (AUROC) takes the entire ranking of items and gives a standardized number between 0 and 1. AUROC describes the overall classification ability of the system.

In our evaluation scheme, we used $K = 5$ and calculated the macro average and macro average across class labels for both AP and AUROC.

2.7. Physician Evaluation

While it was tempting to test the model under real-world conditions, this required a certain level of confidence in the model and passing several rounds of the assurance process. Instead, we developed a web-based system to ask whether a physician would accept or reject the list of recommendations if it appeared when prescribing medication.

From the test set, 200 inpatient visits were selected to create a physician evaluation set using stratified random sampling, with each ICD code associated with at least ten inpatient

visits. This was done to ensure that our physician evaluation set covered all ICD codes and drugs.

For each inpatient visit, our highest-scoring model processed patient demographics and ICD codes to suggest a list of drugs whose scores were above the threshold, which yielded a recall score of 0.80 in the validation set. We presented the input and the output to three physicians and asked whether they agreed or disagreed with a list of recommended drugs. We asked the physicians to make a judgment based on diversity, explainability, and ranking. After all physicians completed the task, we calculated the percentage of when physicians agreed with the recommended drugs and a Fleiss' kappa coefficient which describes agreement between annotators.

3. Results

This section presents the performance of the classification, collaborative filtering, and hybrid models. For each model, we performed 10-fold cross-validation to optimize and select the best hyperparameters. During the cross-validation, we found neither underfitting nor overfitting for all models. All models were evaluated with the hold-out test set. The list of recommended drugs was compared with the actual prescribed drugs using the evaluation metrics mentioned in the previous section, and it was assessed by physicians whether they agreed with the recommendations.

3.1. Recommendation Performance

Table 2 shows the performance of the classification, collaborative filtering, and hybrid models for recommending drugs on the hold-out test set. Among the classification algorithms, the multilayer perceptron model, which was based on feedforward neural networks, scored highest on most metrics. Among the collaborative filtering algorithms, the Offsets model, which was based on linear additive combinations, scored highest on most metrics. Overall, the classification models outperformed the collaborative filtering models. The hybrid model, which was based on weighting the scores from the best classification and collaborative filtering models, scored highest on most metrics.

Table 2. Performance of the classification, collaborative filtering, and hybrid models for recommending drugs on the test set.

	Recall@5	Precision@5	Hit@5	NDCG@5	Macro AP	Micro AP	Macro AUC	Micro AUC
Classification Models								
Nearest neighbors	74.76	44.67	96.89	77.06	24.53	61.56	70.62	88.10
Logistic regression	74.78	44.63	97.07	77.26	22.94	63.35	69.32	88.54
Random forests	76.11	46.31	97.49	76.09	32.95	64.10	73.23	89.49
Multilayer perceptron	76.19	45.94	96.89	78.56	32.50	67.40	75.65	89.67
Collaborative filtering models								
Most popular	73.18	43.55	95.92	75.02	11.01	53.96	50.00	84.22
Collaborative matrix factorization	73.78	43.71	96.78	76.07	14.52	59.26	58.89	85.90
Offsets	73.87	43.81	96.75	76.31	15.79	60.78	60.27	86.28
Hybrid model	76.61	46.20	97.00	78.97	32.53	68.26	74.52	90.09

The bold texts indicate the algorithms that achieved the highest score for each evaluation metric.

Table 3 details the AUCs of the multilayer perceptron, Offsets, and hybrid models when recommending each drug in the test set. The Offsets model performed worse compared with the other models for all drugs. The hybrid model performed better on the more common drugs. The differences in performance between the multilayer perceptron model and the Offsets model were much more pronounced for less common drugs.

Figure 5 shows the distribution of recommended drugs at the threshold, which yielded a recall score of 0.80 in the validation set. The multilayer perceptron model offered clear advantages over the Offsets model, which did not perform well for the less common drugs. It is more biased toward popular drugs.

Table 3. Performance of the multilayer perceptron, Offsets, and hybrid models for recommending each drug in the test set.

	N	AUC		
		Multilayer Perceptron	Offsets	Hybrid
1. Statins	726	70.17	59.91	70.33
2. Antidiabetic Medication	1331	69.55	60.50	69.73
3. Antiplatelet Medication	1041	75.61	65.43	75.52
4. Antihypertensive Medicaiton	2478	71.92	62.78	71.91
5. Gastrointestinal Medication	541	70.50	62.17	70.64
6. Methyl Salicylate	288	66.26	51.28	66.00
7. Oral Analgesics	231	67.86	51.52	67.69
8. Folic Acid	201	74.34	64.08	75.00
9. Vitamin B Complex	190	72.77	57.71	73.24
10. Constipation Medication	127	69.64	61.91	70.89
11. Allopurinol	120	85.15	75.11	86.15
12. Influenza Vac	151	61.05	58.71	61.53
13. Alcohol	156	78.10	69.69	79.12
14. Benzodiazepines	190	71.43	56.96	71.58
15. Calcium Carbonate	122	80.45	64.55	80.83
16. Loratadine	105	72.25	51.82	71.32
17. Vitamin D2	90	83.80	61.74	83.51
18. Betahistine Mesylate	104	63.79	41.70	61.82
19. Triamcinolone Acetonide	86	68.05	48.99	67.19
20. Sodium Bicarbonate	65	90.83	84.55	92.87
21. Ferrous Fumarate	72	81.82	70.66	82.32
22. Diuretics	204	87.66	78.91	87.68
23. Thyroxine-L	66	82.25	62.61	80.78
24. Gabapentin	55	69.17	56.15	68.88
25. Colchicine	44	78.25	47.32	74.25
26. Cream Base	55	77.48	62.99	77.04
27. Multivitamin	58	67.24	46.60	67.77
28. Potassium Chloride	55	85.28	60.83	83.80
29. Acetylcysteine	42	78.67	63.70	78.63
30. Clotrimazole	42	67.44	47.18	67.66

The bold texts indicate the algorithms that achieved the highest score for each drug.

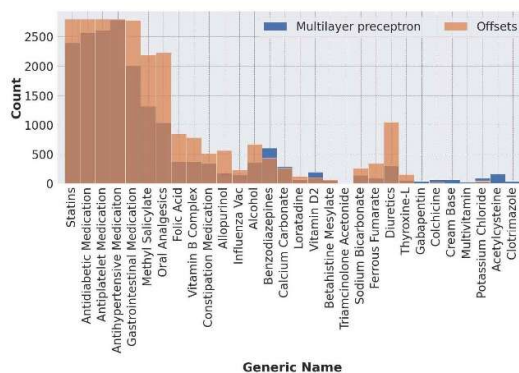


Figure 5. Distribution of recommended drugs in the test set.

3.2. Physician Evaluation

Figure 6 shows the histogram of ICD codes, actual prescribed drugs, and recommended drugs in our physician evaluation set of 200 inpatient visits. The average number of ICD codes, actual prescribed drugs, and recommended drugs were 5.38, 4.86, and 7.35 per inpatient visit, respectively.

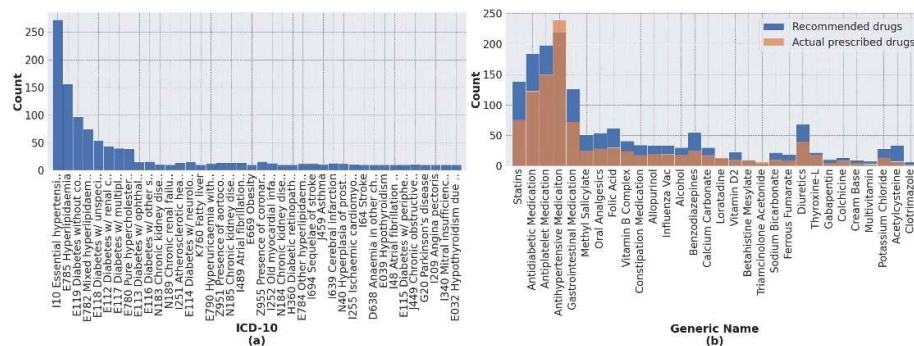


Figure 6. Distribution of (a) ICD-10 codes and (b) recommended drugs in our physician evaluation set.

We ran each sample in our physician evaluation set through the hybrid model to obtain a list of recommended drugs for physician evaluation, as the hybrid model scored highest overall. The average of the percentages upon which physicians agreed with the recommendations was 47.50% with a multi-rater Fleiss’ Kappa coefficient of 30.54% (see Table 4).

Table 4. Physician acceptance of drug recommendations.

Physician A	Acceptance (%)			Mean	Inter-Rater Agreement
	Physician B	Physician C	Mean		
34.50	52.00	56.00	47.50	30.54	

4. Discussion

The growing amount of medical records has motivated the secondary use of data to support clinical workflow. Drug recommendation systems learn from the diagnostic and prescription data already in the system to suggest drugs which might be of interest to a physician. The systems recommend drugs that correspond to the patient’s diagnostic concerns. This could reduce the time it takes to prescribe drugs in the EMR system. The model trained for the drug recommendation system could also be used to automatically review prescriptions to determine if they are consistent with their diagnostic details.

The objective of the study was to examine a problem of drug recommendation using classification-based and collaborative filtering-based algorithms on real-world hospital data. In this present study, we specifically focused on patients with diabetes, hypertension and cardiovascular disease, which were prevalent in primary-care clinics. This allowed a better understanding of the performance of different recommender systems on medical data which may have different characteristics compared to other real-world data.

Although collaborative filtering is widely used to provide personalized recommendation by collecting data characteristics from many subjects, we found that collaborative filtering did not perform well in our problem. All classification approaches outperformed the best collaborative filtering model, even with the simplest nearest-neighbor classification.

For the classification models, multilayer perceptron slightly outperformed random forests, and a large difference was observed in the macro-averaged AUC. Both models have proven successful on nonlinear problems and are inherently flexible for mixed predictors of continuous, categorical, and binary variables. In our view, both models can well handle severe class imbalance and missing data, which are common in medical data.

Among the collaborative filtering models, the collaborative matrix factorization and Offsets models that account for side information performed better than the most popular model, which was the baseline. While differences between recommendation metrics for the top-five recommendations were marginal, large differences in performance were observed for AP and AUC values. When comparing the best classification model, multilayer perceptron, with the best collaborative filtering model, Offsets, a large difference in performance was observed. This may be because our dataset is largely unbalanced, which may cause collaborative filtering to give unfair predictions for minority classes. They did not seem to capture some of the less frequently coded labels (see Figure 5). This problem could be mitigated by a larger dataset.

The purpose of implementing the hybrid model was to combine the scores of the best classification and collaborative filtering models into a single score in order to improve performance. As expected, the hybrid model produced the best overall results, even with the simple weighting combinations. Unfortunately, because the Offsets model performs poorly on less frequent labels, it also degrades the performance of the hybrid model on less frequent labels (see Table 3).

Due to the inherent complexities of the drug recommendation problem, there were a number of uncertainties in both the task itself and the data. For example, the chief complaints, which are the main reason for the patient's visit, were not explicitly coded in our dataset. We only have the patient's demographic data and a list of unranked diagnosis codes. It is possible that relevant drugs were not prescribed because a patient already had them on hand from previous visits. It is also possible that patients came to the consultation for reasons unrelated to the chronic diseases in which we are interested. Some degree of error was, therefore, to be expected.

4.1. Comparison to Other Studies

Our results are consistent with those of Hao and Blair [5], who investigated classification and collaborative filtering approaches for clinical prediction on various simulated and real-world datasets. Their study focused on the performance of the algorithms under different degrees of missing data. They concluded that the collaborative filtering approach was consistently inferior to classification-based approaches, such as logistic regression and random forests, under various imputations on both real-world and simulated data. They suggested that collaborative filtering might not be desirable in the clinical setting, where classification may be an acceptable alternative. Although there was a slight difference in both the implementation of the collaborative filtering algorithms, where our algorithms take into account side information, and the objective of the algorithm, i.e., clinical prediction vs. drug recommendation. We observed similar results with collaborative filtering. Collaborative filtering performed poorly on datasets with severe class imbalances.

Our results differ from those by Hassan and Syed [18], which used collaborative filtering for clinical prediction. They reported that collaborative filtering approaches had a higher prediction accuracy than classification counterparts for certain tasks, i.e., sudden cardiac death and recurrent myocardial infarction. They noted that collaborative filtering exploits similarity between individual patients in the historical dataset in determining patient risk by comparing new patients to historical datasets. They also found that collaborative filtering can provide benefits when the data are complete, that is, without missing data or unknown outcomes.

Compared with other studies in the field of drug recommendations, many studies were based on complicated rule-based ontology reasoning approaches which consider domain knowledge, such as drug–drug interactions [9–14]. Compared with our study, which

obtained a micro-averaged AUC of 90.09% for the hybrid model on the de-identified Songklanagarind's EHR dataset, Bajor and Lasko [8] obtained a micro-averaged AUC of 92.70% on the de-identified Vanderbilt's EHR dataset, and Wu et al. [14] obtained micro-averaged AUCs of 86.08% and 72.75% on the MIMIC-IV dataset and the Claims dataset, respectively. These results are slightly different because the studies were designed differently and different datasets were used. Our approaches were based on the knowledge discovered by learning patterns in data, similar to Bajor and Lasko's study [8]. In their study, they trained a recurrent neural network model on a larger dataset of over 600,000 patient records. Similar to us, they grouped similar drugs based on their therapeutic class (e.g., beta blockers, diuretics, and immune suppressants), resulting in over 1000 drugs grouped into 182 therapeutic classes. Their model processed 100 recent ICD-9 codes to generate a list of suggested drugs. It was reported that their recurrent neural network model outperformed a feedforward neural network model by 1 percent in micro-averaged AUC. Such a small difference could possibly be noticeable in clinical use [8]. While we focused on the patient's current visit, their approaches may be biased toward patients who visit the hospital frequently compared to patients who are visiting the hospital for the first time. To date, no study has examined both classification and collaborative filtering approaches together for drug recommendation.

4.2. Physician Acceptance

Physician acceptance is critical to getting the most value from systems designed to support physicians. They must be accurate, because physicians will ignore inaccurate and ineffective decision support systems. They must support existing clinical workflows without requiring additional inputs or actions. They must help physicians improve the quality of care while maximizing their own productivity and efficiency.

When developing a recommendation system, we can expect an algorithm to have other good algorithmic properties besides numerical metrics, such as diversity and explainability. We do not want a user to be trapped in the confinement area of popular classes. Currently, none of the studies take physician acceptance into account. We conducted a human-based evaluation to assess the quality of the recommendations provided by the systems. We obtained an average agreement rate of 47.50% with an inter-rater coefficient of 30.54% (see Table 4). This indicates that physicians agreed with the list generated from the recommendation model fairly often. Physicians criticisms included that the algorithms often recommended drugs that they did not think were relevant to the patient condition based on the given ICD-10 codes alone, e.g., analgesics and diuretics. If the algorithm was integrated with a drug–drug interaction database, a disease ontology database, and a drug ontology database, this problem could still occur. To address the problem, the algorithm should process the patient's chief complaint or clinical notes in addition to ICD-10 codes. More studies, however, need to be carried out on the algorithms to see how the systems are ready to be used and adopted by physicians.

4.3. Study Limitations

The study was subject to certain limitations. First, we did not consider domain knowledge, such as disease ontology or drug–drug interactions, in developing the models. We relied solely on the model to discover complex patterns in the data. Integrating these medical concepts could improve drug recommendation and physician acceptance. Second, apart from the diagnosis codes, we did not consider any other context around the visit, such as physical examination, laboratory tests, and patient notes. Third, with collaborative filtering, it is notoriously difficult to incorporate side features for items. We used collective matrix factorization approaches [25], which can incorporate side features, but little performance improvement was observed. Deeper investigation of approaches, e.g., with advanced feature embedding, could lead to further improvements in the results. Finally, our model did not consider the patient's historical records. Past medical records can provide information about what medications the patient was prescribed in the past and what medications the patient is currently taking. Incorporating these into the model would allow physicians to make better

recommendations and lead to better physician acceptance. Models based on long short-term memory (LSTM), gated recurrent units (GRU) or transformers which can handle sequential or historical data could further improve results.

4.4. Future Work

Our recommendation systems can be improved by considering more comprehensive patient profiles (such as current and historical weight, height, body mass index, laboratory tests, diagnosis, and treatment), domain knowledge (such as disease ontology and drug–drug interactions), as well as laboratory and diagnostic tests when making recommendations. Drug recommendation systems can also be improved by incorporating unstructured data such as clinical notes, both from nurses and physicians, which often contain important contextual information about each patient visit. For example, patients’ chief complaints, which indicate the main reasons for their visits, are often written as free text in clinical notes. The chief complaints might include information about the patient’s condition which is sometimes not included in diagnosis codes, thus improving the outcomes of recommendations. Such an implementation requires more complex feature engineering and neural network architectures, such as a language model for processing natural language data and a recurrent neural network model for processing clinical data with irregular times. Although it seems that collaborative filtering approaches may also be appropriate for this context due to their scalability and dynamic learning, the present study and Hao and Blair’s study [5] prove otherwise. They do not handle complex clinical data well. In addition, recommendation systems can also be extended to support more disease codes and drugs by leveraging a larger set of clinical data. Further investigation into more advanced algorithms and more comprehensive clinical data is our focus for future work.

4.5. Implementation Considerations

The overabundance of medical information has made it difficult for health-care professionals to make patient-centered decisions. These difficulties highlight the need to implement healthcare recommendation systems to help both end users and healthcare professionals make more efficient and accurate clinical-related decisions. These systems must gain the confidence of users in the sense that they draw robust and causal inferences from clinical data. They must also be fast enough and integrate well with the current system. Such complex artificial intelligence systems may need to be deployed locally at the edge of the system to enable rapid performance. Server-side processing may result in some latency. Deployment considerations must be made before developing clinical recommendation engines.

Recommendation systems are often based on medical codes (such as medicinal code, ICD-9, ICD-10, or the most recent ICD-11). The use of these codes varies from country to country and from institution to institution. There are also some variations of these codes, such as country-specific extensions. At some point, there may be a change from the current version to a newer version. Although mapping between different versions is possible, the newer versions of the codes generally include more diseases and symptoms and may be more specific. Some institutions may use SNOMED-CT, which contains more detailed clinical information than ICD variants. It could also be that new drugs will be introduced at some point. This creates hurdles in implementing the systems and makes it difficult to maintain them. The system must be dynamic enough to cope with such constant changes. It is certainly difficult to create a one-size-fits-all solution.

5. Conclusions

Recommendation systems can help healthcare professionals make better and faster clinical decisions in this age of overloaded medical information. This study aims to explore approaches for drug recommendations in patients with diabetes, hypertension and cardiovascular disease on a real-world institutional dataset. Drug recommendation systems learn from the diagnostic and prescription data already in the EHR system to recommend drugs that correspond to the patient’s diagnostic concerns to a physician. We investigated both collabora-

tive filtering approaches and traditional machine-learning classifiers. Although collaborative filtering is widely used in recommender systems to provide personalized recommendations based on data characteristics from many subjects, collaborative filtering consistently underperformed traditional classification in our problem of interest. We observed that collaborative filtering was sensitive to severe class imbalances and tended to favor more popular labels. Performance improvements could be observed by incorporating more comprehensive patient profiles into the learning process. Drug recommenders could be an important tool for healthcare professionals as they can streamline clinical workflow. There are practical and implementation issues that need to be considered, such as deployability, prediction latency, clinical coding changes, and long-term maintainability.

Author Contributions: Conceptualization, A.S.-A.; methodology, A.S.-A. and S.C. (Sithichok Chaichulee); software, A.S.-A.; validation, N.T., O.F. and T.I.; formal analysis, A.S.-A., T.I. and S.C. (Sithichok Chaichulee); investigation, A.S.-A., T.I. and S.C. (Sithichok Chaichulee); resources, A.S.-A. and S.C. (Sithichok Chaichulee); data curation, A.S.-A. and T.I.; writing—original draft preparation, A.S.-A., T.I. and S.C. (Sithichok Chaichulee); writing—review and editing, S.C. (Sawrawit Chairat) and S.C. (Sithichok Chaichulee); visualization, S.C. (Sawrawit Chairat) and S.C. (Sithichok Chaichulee); supervision, T.I. and S.C. (Sithichok Chaichulee); project administration, T.I. and S.C. (Sithichok Chaichulee); funding acquisition, S.C. (Sithichok Chaichulee). All authors have read and agreed to the published version of the manuscript.

Funding: Apichat Sae-Ang gratefully received financial support for tuition fees from Faculty of Medicine, Prince of Songkla University. This research was supported by National Science, Research, and Innovation Fund (NSRF) and Prince of Songkla University. This work was also supported by the Kasikomthai Foundation and the SCG Foundation through the Division of Digital Innovation and Data Analytics (DIDA), Faculty of Medicine, Prince of Songkla University. The APC was funded jointly by Research and Development Office (RDO) and Faculty of Medicine, Prince of Songkla University.

Institutional Review Board Statement: Approval of all ethical and experimental procedures and protocols was granted by the Office of Human Research Ethics Committee, Faculty of Medicine, Prince of Songkla University under Approval No. REC.65-340-38-2 (Date 31 August 2022), and performed in line with the Declaration of Helsinki.

Informed Consent Statement: Patient consent was waived due to the retrospective nature of the study. The study analyzed de-identified clinical data of the patients.

Data Availability Statement: The data presented in this study are available on request from the corresponding author. The data are not publicly available due to the institutional policy.

Conflicts of Interest: The authors declare no conflict of interest.

References

- Hunter, D.J.; Reddy, K.S. Noncommunicable Diseases. *N. Engl. J. Med.* **2013**, *369*, 1336–1343. [[CrossRef](#)] [[PubMed](#)]
- GBD 2015 Risk Factors Collaborators. Global, regional, and national comparative risk assessment of 79 behavioural, environmental and occupational, and metabolic risks or clusters of risks, 1990–2015: A systematic analysis for the Global Burden of Disease Study 2015. *Lancet* **2016**, *388*, 1659–1724. [[CrossRef](#)] [[PubMed](#)]
- Sowers, J.R.; Epstein, M.; Frohlich, E.D. Diabetes, Hypertension, and Cardiovascular Disease. *Hypertension* **2001**, *37*, 1053–1059. [[CrossRef](#)] [[PubMed](#)]
- Low, W.Y.; Lee, Y.K.; Samy, A.L. Non-communicable diseases in the Asia-Pacific region: Prevalence, risk factors and community-based prevention. *Int. J. Occup. Med. Environ. Health* **2014**, *28*, 20–26. [[CrossRef](#)] [[PubMed](#)]
- Hao, F.; Blair, R.H. A comparative study: Classification vs. user-based collaborative filtering for clinical prediction. *BMC Med. Res. Methodol.* **2016**, *16*, 172. [[CrossRef](#)] [[PubMed](#)]
- Doulaverakis, C.; Nikolaidis, G.; Kleontas, A.; Kompatsiaris, I. GalenOWL: Ontology-based drug recommendations discovery. *J. Biomed. Semant.* **2012**, *3*, 14. [[CrossRef](#)] [[PubMed](#)]
- Rodríguez, A.; Jiménez, E.; Fernández, J.; Eccius, M.; Gómez, J.M.; Alor-Hernandez, G.; Posada-Gomez, R.; Laufer, C. SemMed: Applying Semantic Web to Medical Recommendation Systems. In Proceedings of the 2009 First International Conference on Intensive Applications and Services, Valencia, Spain, 20–25 April 2009. [[CrossRef](#)]
- Bajor, J.M.; Lasko, T.A. Predicting Medications from Diagnostic Codes with Recurrent Neural Networks. In Proceedings of the ICLR, Toulon, France, 24–26 April 2017.

9. Zhang, Y.; Chen, R.; Tang, J.; Stewart, W.F.; Sun, J. LEAP. In Proceedings of the 23rd ACM SIGKDD International Conference on Knowledge Discovery and Data Mining, Halifax, NS, Canada, 13–17 August 2017. [\[CrossRef\]](#)
10. Wang, L.; Zhang, W.; He, X.; Zha, H. Personalized Prescription for Comorbidity. In *Database Systems for Advanced Applications*; Springer International Publishing: Cham, Switzerland, 2018; pp. 3–19. [\[CrossRef\]](#)
11. Gong, F.; Wang, M.; Wang, H.; Wang, S.; Liu, M. SMR: Medical Knowledge Graph Embedding for Safe Medicine Recommendation. *Big Data Res.* **2021**, *23*, 100174. [\[CrossRef\]](#)
12. Shang, J.; Xiao, C.; Ma, T.; Li, H.; Sun, J. GAMENet: Graph Augmented MEMory Networks for Recommending Medication Combination. *Proc. AAAI Conf. Artif. Intell.* **2019**, *33*, 1126–1133. [\[CrossRef\]](#)
13. Yang, C.; Xiao, C.; Ma, F.; Glass, L.; Sun, J. SafeDrug: Dual Molecular Graph Encoders for Recommending Effective and Safe Drug Combinations. In Proceedings of the 30th International Joint Conference on Artificial Intelligence, IJCAI 2021, Montreal, QC, USA, 19–27 August 2021. [\[CrossRef\]](#)
14. Wu, Z.; Yao, H.; Su, Z.; Liebovitz, D.M.; Glass, L.M.; Zou, J.; Finn, C.; Sun, J. Knowledge-Driven New Drug Recommendation. *arXiv* **2022**. [\[CrossRef\]](#)
15. Johnson, A.E.; Pollard, T.J.; Shen, L.; Lehman, L.W.H.; Feng, M.; Ghassemi, M.; Moody, B.; Szolovits, P.; Celi, L.A.; Mark, R.G. MIMIC-III, a freely accessible critical care database. *Sci. Data* **2016**, *3*, 160035. [\[CrossRef\]](#) [\[PubMed\]](#)
16. Davis, D.A.; Chawla, N.V.; Christakis, N.A.; Barabási, A.L. Time to CARE: A collaborative engine for practical disease prediction. *Data Min. Knowl. Discov.* **2009**, *20*, 388–415. [\[CrossRef\]](#)
17. Folino, F.; Pizzuti, C. A recommendation engine for disease prediction. *Inf. Syst. E-Bus. Manag.* **2014**, *13*, 609–628. [\[CrossRef\]](#)
18. Hassan, S.; Syed, Z. From netflix to heart attacks. In Proceedings of the ACM International Conference on Health Informatics—IHI'10, Arlington, VA, USA, 11–12 November 2010. [\[CrossRef\]](#)
19. Morales, L.F.G.; Valdiviezo-Diaz, P.; Reátegui, R.; Barba-Guaman, L. Drug Recommendation System for Diabetes Using a Collaborative Filtering and Clustering Approach: Development and Performance Evaluation. *J. Med. Internet Res.* **2022**, *24*, e37233. [\[CrossRef\]](#)
20. Bishop, C.M. *Pattern Recognition and Machine Learning*; Springer: New York, NY, USA, 2006.
21. Fan, R.E.; Chang, K.W.; Hsieh, C.J.; Wang, X.R.; Lin, C.J. LIBLINEAR: A Library for Large Linear Classification. *J. Mach. Learn. Res.* **2008**, *9*, 1871–1874.
22. Breiman, L. Random Forests. *Mach. Learn.* **2001**, *45*, 5–32. [\[CrossRef\]](#)
23. Pedregosa, F.; Varoquaux, G.; Gramfort, A.; Michel, V.; Thirion, B.; Grisel, O.; Blondel, M.; Prettenhofer, P.; Weiss, R.; Dubourg, V.; et al. Scikit-Learn: Machine Learning in Python. *J. Mach. Learn. Res.* **2011**, *12*, 2825–2830.
24. Singh, A.P.; Gordon, G.J. Relational learning via collective matrix factorization. In Proceedings of the 14th ACM SIGKDD International Conference on Knowledge Discovery and Data Mining—KDD 08, Las Vegas, NV, USA, 24–27 August 2008. [\[CrossRef\]](#)
25. Cortes, D. Cold-start recommendations in Collective Matrix Factorization. *arXiv* **2018**. [\[CrossRef\]](#)

Disclaimer/Publisher's Note: The statements, opinions and data contained in all publications are solely those of the individual author(s) and contributor(s) and not of MDPI and/or the editor(s). MDPI and/or the editor(s) disclaim responsibility for any injury to people or property resulting from any ideas, methods, instructions or products referred to in the content.

Human Research Ethics Approval Document

20/12/2022, 11:25

RMIS Approval Document

AL-001



**หนังสือแจ้งผล
การพิจารณาโครงการวิจัย**

สำนักงานคณะกรรมการพิจารณาจริยธรรมการวิจัยในมนุษย์
15 อ.กาญจนวนิชย์
ต.คอหงส์ อ.หาดใหญ่ จ.สงขลา 90110

วันที่ 31 สิงหาคม พ.ศ. 2565

เรื่อง การแจ้งผลการพิจารณาด้านจริยธรรมการวิจัยในมนุษย์
เรียน สิทธิโชค ไชยชูลี

ตามที่ท่านได้ยื่นเสนอโครงการวิจัยเพื่อรับพิจารณาจริยธรรมการวิจัยในมนุษย์ เรื่อง "ระบบในสั่งยาอัจฉริยะสำหรับผู้ป่วยโรคเรื้อรัง" (Smart Medical Prescription System for Patients with Chronic Diseases) หมายเลขสำคัญโครงการ REC.65-340-38-2 นั้น

คณะกรรมการพิจารณาจริยธรรมการวิจัยในมนุษย์ ได้ทบทวนโครงการวิจัย ผลการพิจารณา คือ โครงการเข้าข่ายยกเว้นการพิจารณาจริยธรรมการวิจัยในมนุษย์ (Exempt determination) จึงออกใบรับทราบ เมื่อวันที่ วันที่ 31 สิงหาคม พ.ศ. 2565

ทั้งนี้ ได้บรรจุในวาระการประชุมคณะกรรมการพิจารณาจริยธรรม ครั้งที่ 27/2565 วาระ 3.3 เพื่อรับทราบต่อไป

จึงเรียนมาเพื่อโปรดทราบ

ลงชื่อ

(รศ.นพ.บุญลีน ดั่งตระกูลวนิช)

ประธานคณะกรรมการพิจารณาจริยธรรมการวิจัยในมนุษย์
คณะแพทยศาสตร์ มหาวิทยาลัยสงขลานครินทร์

หมายเหตุ

- ท่านไม่ต้องรายงานความก้าวหน้าต่อคณะกรรมการพิจารณาจริยธรรมการวิจัยและไม่ต้องต่ออายุโครงการ แต่ยังคงต้องรายงานความก้าวหน้าต่อแหล่งทุนวิจัย
- ท่านยังคงต้องส่งรายงานสรุปผลการวิจัยแก่คณะกรรมการพิจารณาจริยธรรมการวิจัย เมื่อดำเนินการวิจัยเสร็จสิ้น

คณะกรรมการจริยธรรมการวิจัยในมนุษย์
คณะแพทยศาสตร์ มหาวิทยาลัยสงขลานครินทร์
15 ถนนกาญจนวนิชย์ อำเภอหาดใหญ่ จังหวัดสงขลา 90110
โทรศัพท์ 074451149, 074451157
โทรสาร 074212900

Ref no. xWXD-hzSB-3PXY-9JsL
มอ 351.7.2/ec.491

VITAE

Name Mr. Apichat Sae-ang
Student ID 6310025014

Educational Attainment

Degree	Name of Institution	Year of Graduation
Bachelor of Science	Rajabhat Suratthani Institute	2001

List of Publication and Proceeding

Sae-Ang, A.; Chairat, S.; Tansuebchueasai, N.; Fumaneeshoat, O.; Ingviya, T.; Chaichulee, S. Drug Recommendation from Diagnosis Codes: Classification vs. Collaborative Filtering Approaches. *Int. J. Environ. Res. Public Health* 2023, 20, 309.
<https://doi.org/10.3390/ijerph20010309>