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Predicting progression to advanced age-related macular degeneration from clinical, genetic and lifestyle factors using machine learning

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This article contains additional online-only material. The following should appear

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Running head: Predicting progression to advanced age-related macular degeneration

Abstract:

- **Objective:** Current prediction models for advanced age-related macular
- degeneration (AMD) are based on a restrictive set of risk factors. The objective of
- this study was to develop a comprehensive prediction model, applying a machine
- learning algorithm allowing selection of the most predictive risk factors automatically.
- **Design:** Two population-based cohort studies
- **Participants:** The Rotterdam Study I (RS-I, training set) included 3838 participants
- aged 55 years or more, with a median follow-up period of 10.8 years and 108
- incident cases of advanced AMD. The ALIENOR study (test set) included 362
- participants aged 73 years or more, with a median follow-up period of 6.5 years and
- 33 incident cases of advanced AMD.
- **Methods:** The prediction model used the bootstrap lasso for survival analysis to
- select the best predictors of incident advanced AMD in the training set. Predictive
- performance of the model was assessed using the area under the receiver operating
- characteristic curve (AUC).
- **Main outcome measures:** incident advanced AMD (atrophic and/or neovascular),
- based on standardized interpretation of retinal photographs.
- **Results:** The prediction model retained i) age, ii) a combination of phenotypic predictors (based on the presence of intermediate drusen, hyper-pigmentation in one or both eyes and age-related eye disease study (AREDS) simplified score), iii) a
- summary genetic risk score based on 49 single nucleotide polymorphisms, iv)
- smoking, v) diet quality, vi) education, and vii) pulse pressure. The cross-validated
- AUC estimation in RS-I was 0.92 [0.88-0.97] at 5 years, 0.92 [0.90-0.95] at 10 years
- and 0.91 [0.88-0.94] at 15 years. In ALIENOR, the AUC reached 0.92 at 5 years

- [0.87-0.98]. In terms of calibration, the model tended to underestimate the cumulative
- incidence of advanced AMD for the high-risk groups, especially in ALIENOR.
- **Conclusions:** This prediction model reached high discrimination abilities, paving the
- way towards making precision medicine for AMD patients a reality in the near future.

67 Age related macular degeneration (AMD) is a leading cause of blindness, worldwide.¹ 68 It is a multifactorial degenerative eye disease affecting the central part of the retina, 69 named macula.² Its prevalence is rising alongside the general ageing of the human p_{1} ropulation³, with a projected number of individuals affected by AMD worldwide of 196 71 million in 2020 and up to 288 million in 2040.⁴ AMD typically progresses through 72 different stages from an early to an advanced form, subdivided into atrophic and 73 neovascular subtypes. Advanced AMD results in permanent severe visual 74 impairment or blindness, with major consequences on quality of life and functional 75 independence.² Major therapeutic progress has been made for the neovascular form 76 of the disease in the last 15 years, with the intravitreal injection of anti-angiogenic 77 agents.² However, these treatments are not curative, represent a major cost for 78 society (for instance 2.3 billion of dollars annually for Medicare beneficiaries) and do not always successfully stave off vision $loss⁵$ Moreover, there still is no treatment 80 available for the atrophic form of the disease (about 50% of advanced cases). 81 Prediction models are increasingly being used by clinicians in order to stratify 82 patients according to their risk and adapt therapies, recommendations and follow-up 83 frequency. Such models can also be used for patient selection in clinical trials testing 84 new therapies or interventions. For instance, several prediction models are now 85 videly used in clinical practice for cardiovascular disease risk assessment.⁶ 86 Both genetic and modifiable risk factors (in particular smoking, nutrition and vascular 87 risk factors) for advanced AMD have been previously identified⁷, and several 88 prediction models have been proposed.⁸⁻¹⁴ However, these prediction models did not 89 include dietary factors, relied only on a limited set of lifestyle factors and incorporated 90 only a restricted set of genetic variants.

 Furthermore, stepwise selection methods are still widely used to develop such 92 models despite their lack of stability^{15, 16} and the availability of more principled alternatives. In particular, penalized regression methods can handle overfitting and multicollinearities among the predictors and have been proven to improve stability of 95 variable selection as well as prediction performance.^{17, 18} In addition, in elderly cohorts, death is a competing event for the onset of advanced AMD. But due to interval censoring (AMD is assessed only at follow-up visits in the cohort), AMD status at death is unknown for subjects without advanced AMD at their last visit. Standard survival analyses (e.g. Cox model) thus underestimate the incidence of advanced AMD because they ignore advanced AMD cases developing between the last visit and death. More importantly, regression parameters from Cox model may be biased if the excess risk of death among AMD patient is large and predictors of 103 AMD are also associated with death risk.¹⁹ The aim of this article is to develop a prediction model for advanced AMD from a wider set of potential predictors. Thus, our prediction model was developed from a

 population-based cohort using a machine learning (ML) approach performing both parameter estimation and automatic variable selection simultaneously. In addition, this prediction model was validated on an independent population-based cohort to better assess its generalizability.

- **Methods**
- **Study design and participants**
- The training data set included participants enrolled in the Rotterdam Study I (RS-I).
- The validation dataset included participants enrolled in the Antioxydants, LIpids

- Essentiels, Nutrition et maladies OculaiRes (ALIENOR) study. The complete
- methodologies of these two population-based cohorts have been detailed elsewhere.
- $20, 21$ Data from both studies were harmonized and included in the database of the
- EYE-RISK consortium (www.eyerisk.eu) which aims at proposing new clinical
- guidelines and recommendations for prevention, and at providing a better
- 120 understanding of the pathogenetic causes of $AMD³$ All participants gave written
- informed consent for participation in accordance with the declaration of Helsinki and
- ethics approval was obtained in both studies.
- RS-I included participants aged 55 and over. Baseline examinations took place from
- 1990 to 1993 and 4 follow-up examinations were performed in 1993-1995, 1997-
- 1999, 2002-2004 and 2009-2011.
- ALIENOR included participants aged 73 years or more at first eye examination.
- Baseline eye examinations took place from 2006 to 2008 and 4 follow-up
- examinations were performed in 2009-2010, 2011-2012, 2013-2015 and 2015-2017.
-

Main outcome

- Classification of advanced AMD (neovascular or atrophic AMD) was based on retinal
- photographs, interpreted by trained graders according to a modification of the
- 133 Wisconsin Age-Related Maculopathy Grading System²² for RS-I and according to the
- 134 International Classification²³ for ALIENOR. These classifications were identical
- regarding for advanced AMD, but showed some differences regarding features of
- early AMD (such as drusen area or location, for instance). Only features using
- identical definitions in both classification were used in the analyses.

 Incidence of advanced AMD was defined as participants without advanced AMD at baseline progressing to advanced AMD at any point during the study period. All advanced AMD cases were adjudicated by retina specialists of the corresponding study and harmonized within the EYE-RISK consortium.³

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Statistical analysis

 We compared excluded participants with those included in the final set, both in RS-I and ALIENOR using the t-test for continuous variables and the chi-square test or the Fisher exact test for categorical variables accordingly. All the p-values were adjusted for multiple testing using the Holm correction method (controlling the Family Wise 149 Error Rate).²⁴

- The training dataset comprised a set of 33 variables which were common to RS-I and
- ALIENOR: 7 variables describing retinal alterations (including the AREDS simplified
- scale,²⁵ the Beckman classification²⁶ and the Rotterdam classification²⁷), 25 variables
- 153 for demographic, lifestyle (including the Mediterranean diet score²⁸) and
- comorbidities, and a genetic risk score based on 49 previously identified single
- nucleotide polymorphisms (SNPs). Based on the 52 single nucleotide polymorphisms
- 156 (SNPs) proposed by Fritsche et al. , the genetic risk score was calculated only for
- participants without missing data for the following 5 major risk alleles:
- CFH_rs10922109, CFH_rs570618, C2_rs11603772 (merged with: C2_rs429608),
- C3_rs2230199 and ARMS2_rs3750846. In addition, 3 minor alleles with high
- missingness were excluded from the analyses: TRPM3_rs71507014,
- CNN2_rs67538026 and MMP9_rs142450006. Thus, the final genetic risk score was

 calculated as a linear combination of 49 SNPs using the beta coefficients of Fritsche 163 et al. study.164 We performed variable selection using the lasso method in a survival framework. However, since the lasso may not be consistent in terms of variable selection when 166 there is a strong correlation between the relevant and the irrelevant predictors^{30, 31},^{31,} 32 we insured the stability of the selected predictors using the bootstrap as 168 recommended by several authors.^{33, 34} As shown in Figure 1, we started by performing a resampling with replacement from the entire Rotterdam Study I (RS-I) cohort in order to generate 100 bootstrap samples. Of note, we stratified the individuals in each bootstrap sample according to the incidence rate of advanced AMD. The objective was to maintain the same ratio of events in each generated bootstrap sample since there is a low number of events in RS-I (2.8%). We then estimated a 174 lasso in a survival framework in each bootstrap sample in order to perform variable selection while handling the multicollinearity of some predictors. The penalization parameter of the lasso was estimated by minimizing the partial likelihood deviance using a 5-fold cross-validation stratified on the incidence rate of advanced AMD. The final set of selected variables was composed of the most frequently selected variables on all the bootstrap samples using the elbow criterion.³⁵ The risk score was then estimated by including the final set of selected variables in a semi-parametric Illness-Death Model (IDM) (i.e., the baseline transition intensities were left unspecified and approximated by M-splines) to account for the probability of 183 developing advanced AMD between the last visit without the disease and death.³⁶ 184 The IDM was estimated with the R package *smoothHazard* v1.4.1.³⁷ The parameters of the IDM were estimated by maximization of the penalized likelihood. The penalization parameters, which control the trade-off between the data fit and the

 smoothness of the intensity functions, were estimated by leave-one-out cross- validation. We selected an equidistant sequence of 5 knots between the minimal and maximal event times to fit the splines for each transition intensity. Finally, we included the variables selected by bootstrap lasso as inputs for the regression model of the transition intensity to advanced AMD and we added gender (in addition to the variables selected by bootstrap lasso) as input for the regression models of the two transition intensities to death. The risk score for advanced AMD was defined as the linear predictor for the transition intensity to advanced AMD estimated from this IDM. We then defined 2 cutpoints at 5 years in RS-I, in order to classify participants in 3 risk categories (low, intermediate and high). The first threshold was chosen to be highly sensitive (sensitivity closest to 95%) and the second to be highly specific (specificity closest to 95 %) similarly to Delcourt *et al.*³⁸ Finally, prediction performance was evaluated both internally in RS-I (using cross- validation) as well as externally in ALIENOR. Discrimination performance was assessed by calculating the area under the receiver operating curve (AUC) for 203 incident advanced AMD while accounting for the competing risk of death.³⁹ All AUCs are reported with 95% confidence intervals, based on the quantiles of the standard 205 normal distribution.³⁹ Calibration was evaluated by comparing the observed cumulative incidence to the model-estimated cumulative incidence of advanced AMD in each risk category. Of note, the predicted CIF of advanced AMD was estimated using a parametric IDM where the baseline transition intensities were modelled by Weibull distributions. The observed CIF was estimated using a semi-parametric IDM where the baseline transition intensities were left unspecified and approximated by 211 M-splines.³⁶

In a sensitivity analysis, other missing data for comorbidities, phenotypic and

- environmental variables were imputed using multiple imputation by chained
- 214 equations.⁴⁰ In RS-I, participants for whom either all genetic data ($n= 572$) or all
- nutritional data (n= 768) was missing were excluded from the training set, because it
- became impossible to build a reliable imputation model in such cases. We generated
- 5 imputed datasets and the imputation procedure was iterated 20 times. We
- performed all the analyses using R, version 3.3.4 (R Foundation). We used two-sided
- 219 P values with an $\alpha = .05$ threshold for statistical significance.

Results

Study participants

 As shown in Figure 2, among the 5,214 RS-I participants without advanced AMD at baseline and with at least one follow-up examination, 572 had no genetic data, mostly because of lack of blood samples, 144 participants had incomplete phenotypic data and 690 had incomplete lifestyle data (including comorbidities, nutritional and environmental data), leading to a final sample size of 3,838 subjects and 108 cases of incident advanced AMD. Among the 617 participants of the ALIENOR study with incidence data and without advanced AMD at baseline, 112 had no genetic data, 107 had incomplete phenotypic data and 36 had incomplete lifestyle data, leading to a final sample size of 362 participants and 33 cases of incident advanced AMD. The description of the included and excluded participants of both cohorts is provided in Table S1 (available at http://www.aaojournal.org). In both RS-I and ALIENOR study, included participants tended to be younger than those excluded. Additionally, in RS-I, the included participants tended to have less frequently early AMD, to have

Code de champ modifié

Prediction model

CI, 0.87 to 0.98) at 5 years of follow-up.

 As genetic testing is not currently available in routine ophthalmological practice, we tested the prediction performance of an IDM model with 8 variables (after exclusion of the genetic risk score). In the Rotterdam study, the cross-validated AUCSs were 0.91 (95% CI, 0.86-0.95), 0.90 (95%CI, 0.87-0.93) and 0.88 (95%CI, 0.84-0.92) at 5, 10 and 15 years of follow-up, respectively. In ALIENOR, the AUC was 0.93 (95%CI, 0.89-0.97).

Risk categories characteristics

 We described the distribution of the risk score calculated in RS-I and validated in ALIENOR for incident advanced AMD and non-incident advanced AMD participants (Figure S3, available at http://www.aaojournal.org). As expected, we observe a bimodal distribution in both studies, although some overlap persisted. To further investigate the prediction ability of the final prediction model, we classified the participants in 3 risk categories (low, intermediate and high). The definition of the cut-points was performed in RS-I. The first cut-point was set at 1.49, corresponding to a sensitivity of 93.8%, and the second cut-point was set at 2.73, corresponding to a specificity of 95.0%. We estimated the cumulative incidence of advanced AMD in each of the risk categories for RS-I and ALIENOR using a semi-parametric IDM (Figure 4). In both

 samples, the high-risk group was characterized by a high cumulative incidence increasing steeply from baseline and reaching 21% at 8 years and 44% at 15 years in RS-I and 32% at 8 years in ALIENOR. In both samples, the intermediate-risk and the low-risk categories showed much lower incidence rates than the higher risk category, at all-time points. Particularly, the low-risk category showed a cumulative incidence close to 0 during the whole follow-up in both cohorts. In RS-I, the incidence in the intermediate-risk and low-risk groups were distinguishable only in the long term

 (after 5 years). In ALIENOR, both incidences remained very close until 8 years of follow-up. This is probably due to the very low number of events in both of these categories (see Table 1). It is however to be noted that in RS-I, the incidence of advanced AMD in the intermediate group was only after 7-10 years clearly higher than that in the low risk category.

 As shown in Table 1, in RS-I, 3,146 (81.9%) participants were classified as low-risk, 405 (10.6%) as intermediate-risk and 287 (7.5%) as high-risk. Overall, 49% of the incident cases were observed in the high-risk category versus 24% in the intermediate-risk category and 27% in the low-risk category (due to the larger size of this last group). The AMD genetic risk score ranging from -3.36 to 4.54 in the whole sample had a mean of 0.2, 1.2 and 1.6 in the low-risk, intermediate-risk and high-risk categories respectively. Regarding phenotypic characteristics, 93.3% of participants in the low-risk category were classified as free of AMD in the AREDS simplified scale (score 0). Interestingly, this was also the case for 73.1% and 26.1% of the participants classified in the intermediate-risk and high-risk groups, respectively. The high-risk participants with an AREDS score of 0 were characterized by a high frequency of intermediate drusen at baseline (84%), a very high genetic risk score (mean of 2.06) and a high cumulative incidence of advanced AMD (9 incident cases out of 75, 12 %). Finally, regarding lifestyle and co-morbidities, the high-risk category showed a higher frequency of primary education, a lower adherence to the Mediterranean diet score and a higher mean pulse pressure compared to the intermediate-risk and low-risk groups.

 In ALIENOR, 52.5% of the participants were classified as low-risk, 22.3% as intermediate-risk and 25.2% as high-risk. Overall, 81.8% of the incident cases were observed in the high-risk category, 6.1% in the intermediate-risk category and 12.1 % in the low-risk category. Again, 15.4% of the participants classified as high-risk had a score of 0 on the AREDS simplified scale. Regarding lifestyle and co-morbidities, we observed the same trends as in RS-I.

 Finally, we assessed the calibration of the prediction model (i.e., the ability of the model to correctly predict the incidence of advanced AMD in each risk category). As displayed in Figure 5, the model tends to underestimate the cumulative incidence of advanced AMD for the high-risk groups, especially in ALIENOR.

Discussion

- We developed a prediction model for advanced AMD based on phenotypic, genotypic
- and lifestyle factors. This model reached high discrimination performances with an
- AUC equal to 92% at 5 years in the external validation set. In addition, the proposed
- model showed a good stratification of participants into low-risk and high-risk groups
- of incident advanced AMD both in RS-I and ALIENOR.
- Buitendijk et al. developed a prediction model for incident advanced AMD based on
- 327 RS-I and validated it in two independent population-based cohorts.¹⁰ Other prediction
- models for incident advanced AMD trained on the Age-Related Eye Disease Study
- 329 (AREDS) clinical trial were proposed, $8, 9, 12, 14, 41$ These models were similarly based
- on genetic, phenotypic and lifestyle variables and also reached high discrimination
- performances externally (AUC of 0.85 to 0.90), although somewhat lower than the
- model presented here. The main differences with the present model lie in the

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 inclusion of a wider set of lifestyle and comorbidities factors as well as a genetic score based on 49 AMD-related SNPs. To our knowledge, the present study is the first to use an automatic variable selection approach to select the most predictive 337 variables from a wide set of predictors.³³ Indeed, this is a principled way to identify new predictors compared to less rigorous strategies used in the aforementioned prediction models where only a limited set of variables were selected *a priori*. Of particular interest, among the predictors selected by the bootstrap lasso approach here, pulse pressure as well as the Mediterranean diet score were never included in the previously reported AMD prediction models. These predictors have previously been reported as associated with AMD and are modifiable factors, which could lead 344 to preventive interventions.⁴²⁻⁴⁴ Interestingly, the bootstrap lasso also selected education, which we believe is more likely to be a surrogate for other unmeasured lifestyle risk factors rather than a direct risk factor of advanced AMD. We also considered the competing risk of death during both the training of the model³⁶ and when assessing its discrimination performance³⁹, which was not done in previous studies. Furthermore, in order to insure comparability with the previously developed prediction models, we ran a standard Cox model (instead of an IDM) on the variables selected by bootstrap lasso, considering subjects who died without AMD as censored at their last visit before death. This "naïve" model reached slightly better predictive discrimination performances than the IDM with a cross-validated AUC in RS-I equal to 0.94 (95% CI, 0.89 to 0.99) at 5 years, 0.93 (95% CI, 0.90 to 0.96) at 10 years and

 0.92 (95% CI, 0.89 to 0.95) at 15 years. In ALIENOR, the AUC remained at 0.92 at 5 years (95% CI, 0.87 to 0.97). The differences in AUC between the Cox and IDM

models were small, most probably because the risk of death was not much higher

- among AMD patients and only a few of the selected predictors for AMD were
- 360 predictors of death.¹⁹
- Since genetic testing is not currently available in routine ophthalmological practice,
- we also ran an IDM model without the genetic risk score. Although the genetic risk
- score was selected in 100% of the boostrap lasso samples, the AUCs of this model
- 364 were similar to those obtained with the complete model both in the Rotterdam $(91\%$
- 365 90% and 88% at 5, 10 and 15 years, respectively) and Alienor studies (93% at 5
- years). However, in a minority of cases, genetic information might help identify high
- risk subjects. In particular, a small number of subjects with a simplified AREDS score
- 368 0 were classified as high risk. They had a high genetic score (average 2.06) and
- exhibited an incidence of late AMD of 12%.
- The main limitations of this study were the low number of events making it impossible
- to investigate AMD subtypes. In addition, our model tended to underestimate the
- incidence of advanced AMD for the high-risk groups, particularly in the validation set,
- which is most probably due to the higher incidence rates in ALIENOR compared to
- RS-I. As discussed previously, these differences in incidence rates are partially due
- to age differences among the cohorts⁴², but may also be due to differences in design,
- classification of disease and potentially differences in AMD incidence among the
- Netherlands and France. Further validation in other cohorts, in particular in
- populations with a different genetic make-up (such as Asian populations), would
- enhance the generalizability of this model.
- Further enhancements of this prediction model could still be achieved by integrating
- multiple data sources as color fundus photographs (CFPs) and Optical Coherence
- Tomography (OCT) examinations. Indeed, in the present model, description of
- phenotype is based on human interpretation of a few standard retinal alterations on

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somewhat lower (88% versus 91% at 15 years, in the

Rotterdam study).

- recommendations and to lower the risk of AMD. Our prediction model paves the way
- towards making precision medicine for AMD patients a reality in the near future.
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- **Figures legends:**
- Figure 1. The bootstrap lasso and IDM procedures for developing the prediction model
- of advanced AMD.
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- Figure 2. Flowchart of Rotterdam Study I (RS-I) and Antioxydants, LIpids Essentiels,
- Nutrition et maladies OculaiRes (ALIENOR) study.
-
- Figure 3. Selection frequency of variables in the Rotterdam Study I (RS-I) using the
- Bolasso method.
- The vertical dashed line represent the threshold corresponding to a selection
- frequency equals to 80%.
-

Figure 4. Cumulative incidence of advanced age-related macular degeneration

(AMD) according to risk categories.

A, Rotterdam Study I (RS-I). B, Antioxydants, LIpids Essentiels, Nutrition et maladies

OculaiRes (ALIENOR) study.

Figure 5. Calibration of prediction risk scores per risk group.

A,B,C. Comparison of the cross-validated predicted and observed cumulative

incidence in the Rotterdam Study I (RS-I). D. Comparison of the predicted and

observed cumulative incidence in the Antioxydants, LIpids Essentiels, Nutrition et

maladies OculaiRes (ALIENOR) study.

- The vertical bars represent the 95% confidence intervals of the observed cumulative
- incidences.
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