Application of Machine Learning Techniques for Heart Sound Recording Classification

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Abstract—Ultrasound and electrocardiogram (ECG) are standard, reputable methods for heart disease diagnosis, but due to expensive and limited accessibility, typical preliminary diagnosis is performed by highly trained physicians with stethoscope hearings. Due to global shortage of healthcare providers, there is growing interest for a cheaper, more ubiquitous alternative. The envisioned goal is to determine, from a single short 5 - 120 sec precordial heart sound recording, whether the patient should be referred to expert diagnosis. Such heart sound recordings can come from various clinical or nonclinical environments, including at-home recordings with a smartphone to in-hospital recordings by a nurse. For diagnosis to be successfully automated, heart sound waveforms must be segmented into appropriate S1, systole, S2, and diastole phases of the heart cycle. In this paper, logistic regression hidden semi-Markov model is used for waveform segmentation. Features are then extracted from the segmented waveforms and used in conjunction with physicians-provided classification labels, to train supervised machine learning models to identify heart abnormality in patient test data. Various supervised machine learning models are explored, implemented, and compared for performance.

Index Terms—Heart sound segmentation, hidden Markov models, (HMMs), logistic regression (LR), phonocardiography (PCG), feature extraction, heartbeat time series, heart rate variability (HRV), support vector machine (SVM).

I. INTRODUCTION

Heart sound recording can be an inexpensive way to acquire patients’ heart rate variability (HRV) information, compared with more involved techniques such as electrocardiogram (ECG) at the hospital. Audio recording with a smartphone or a voice recorder can readily be achieved at home, providing an affordable way to collect valuable patient information. Prior research has shown HRV can be used to classify patients’ physiological condition, age, autonomic nervous balance, level of stress and activity [1]. We used publicly available heart sound recordings [2, 3] to classify whether a patient has normal or abnormal heart condition, e.g. heart murmur or extrasystole heartbeat.

Our approach applies techniques discussed in [1] to phonocardiograms (PCG), instead of ECG waveforms. We will use datasets available in [2, 3] to create a model for classifying PCG into two different classes: normal or abnormal. We conducted pre-processing of audio samples into PCG features, which are then used in heart sound classification. In particular, segmentation of time series data into four distinctive phases of a heartbeat cycle, the S1 (lub) and S2 (dub) sounds and the systole and diastole periods between them, is required to extract HRV features for PCG classification. S1 and S2 respectively mark the beginning of systole and diastole phases of a heartbeat, as shown in Figure 1 below. We use logistic regression hidden semi-Markov model [4, 5] to segment heartbeat waveforms into four states, as this algorithm is currently state-of-the-art.

Once data is segmented, we extract statistical HRV features and use several supervised learning methods to classify waveforms into two classes as described above. Support vector machines (SVM) is shown as a robust and efficient technique for classifying ECG signals based on HRV analysis [1]. Moreover, SVMs remained robust even with white Gaussian noise added to the waveforms. Other classifiers considered are logistic regression, neural network, and K-means clustering.

The flowcharts in Figure 2 and Figure 3 respectively illustrate the steps for LR-HSMM creation and its application in the overall classification scheme.

This paper is organized as follows: Section II describes dataset preparation and preprocessing necessary for correct waveform segmentation. Section III describes HRV features extraction for classification. Section IV presents classification algorithms. Section V discusses classification model performance and error analysis. Section VI concludes the paper.

II. DATASET PREPARATION AND PREPROCESSING

Our heart sound dataset consists of five databases labeled A through E, containing a total of 3,541 heart sound recordings in .wav format, each lasting between 5 to over 120 seconds. Sound recordings are provided by Physionet [3], come from a variety of environments and patients, and are recorded from various locations on the body. The recordings are labeled as either
normal or abnormal, with no distinction among the various heart diseases. There are 2,725 normal and 816 abnormal recordings which are shuffled into training and test datasets.

![Flowchart for LR-HSMM training and segmentation model creation.](image1)

Figure 2: Flowchart for LR-HSMM training and segmentation model creation.

However, before any heart sound classification can be done, we must first prepare and preprocess the audio data into a format that our model can readily train against. Thus, our methodology follows after [5] and consists of three major steps: (1) create a data segmentation model to parse the audio waveform into the corresponding four heart cycle states, (2) from the segmented PCG data, we extract HRV features based on labeled heart cycle states, (3) we use the extracted HRV features and provided data labels to train our classification models to classify the sound as normal or abnormal.

This section describes the first step: creation of the data segmentation model. The HRV feature extraction for classification is described in Section III, and classification model training is described in Section IV.

### A. Data Segmentation Modeling

To give a high-level overview of data segmentation model creation: we first process the audio waveforms with preliminary filtering and resampling into PCGs, next we extract features from each PCG, and lastly, the extracted features are used to train a segmentation model against reference segmentation data derived from more accurate ECG data. The ultimate goal of data segmentation model is to accurately parse any PCG time series waveform into the S1, systole, S2, and diastole states of the heart cycle.

#### 1) Dataset Preparation into PCG

As a preprocessing step, the sound recordings have been resampled at 1 kHz to allow for homogeneous conversion into PCG waveforms. We then perform a fourth order Butterworth band pass filter from 25 – 400 Hz on all PCGs. According to [7], the majority of frequency content of S1 and S2 sounds are below 150 Hz with a peak at 50 Hz. The band pass filter bandwidth was chosen in accord with [5]. In addition, outlier spikes in the PCGs are removed according to Schmidt’s spike removal technique [8].

#### 2) PCG Feature Extraction

After aforementioned data preparation steps, we leverage the methodology from [5, 6] which deploys a logistic regression hidden semi-Markov model (LR-HSMM) on four features: homomorphic envelopogram, Hilbert envelope, wavelet envelope and power spectral density. Details of LR-HSMM and descriptions of the four features can be found in [5, 6].

#### 3) Segmentation Model Training

The dataset for feature extraction consists of 792 audio waveforms with manually annotated R-peak and T-wave end labels from ECG waveforms. The ECG annotations serve as the ground truth, from which the reference data segmentation is derived. The methodology of creating the ECG-derived reference heart state labels is described in [5].

Once the reference segmentation labels are created and the corresponding PCG features are extracted, we use LR-HSMM to learn to segment PCG into heart cycle states.

### B. Data Segmentation Results

To validate the LR-HSMM segmentation model, we use 720 randomly chosen examples to train and 72 examples for cross validation, i.e. a 90% training and 10% cross validation split of the available ECG annotated dataset. Figure 4 illustrates results on one of the test waveforms. The audio data is displayed alongside the predicted and reference heart states. Hearts states are encoded as 1, 2, 3, and 4, respectively representing the S1, systole, S2, and diastole states of the heart cycle. Thus, the labeled and reference heart states resemble a staircase waveform on the plot.

The segmentation is not perfect and the exact onset of state transitions do not fully line up. To evaluate the learned segmentation, we adopt the following metric from [6]: a tolerance parameter δ is used to define a window around the reference state onset in which the predicted onset is considered correct if it were to fall within that window. For example, let t be the onset of S1 in the reference segmentation. If onset of S1 in the predicted segmentation is within t–δ and t+δ, then the predicted onset is considered true positive (TP). If within this interval, there are two predicted state onsets, then the extraneous one counts as a false positive (FP). If there are no state onsets in this window when one is expected, then the missing occurrence counts as a false negative (FN). In this paper and in accord with [6], we use a δ of 60 ms to define the window. In addition, we define the metrics of selectivity/recall (Se), positive predictivity/precision (P+), accuracy (Acc), and F1 score:

\[
Se = \frac{TP}{TP + FN} \quad (1) \quad P_+ = \frac{TP}{TP + FP} \quad (2)
\]

\[
Acc = \frac{TP}{TP + FP + FN} \quad (3) \quad F_1 = \frac{2 \times Se \times P_+}{Se + P_+} \quad (4)
\]

Table 1 and Table 2 respectively summarizes the performance of our segmentation model on a cross validation set of 72 examples and a training set of 720 examples.
The value x was experimentally set to 1.04*mean(RR intervals) to produce a value in range of (0,1) for a reasonable number of examples. Percent of autocorrelation of S1 intervals > x uses autocorrelation of all S1 intervals in a PCG with a window size set to maximum length of S1 interval in that PCG.

### IV. Classification Models

We investigated several machine learning models to classify heart beat sound recordings into normal or abnormal categories. The models we investigated include logistic regression (LR), K-means clustering, Gaussian (radial basis function) kernel-based support vector machines (RBF-SVM), and neural network with one and two hidden layers. Every model takes n-dimensional feature vector $x^{(i)} \in \mathbb{R}^n$ as input and outputs a class prediction for the $i$th example $y^{(i)} \in \mathbb{R}$. The prediction is 1 if the example is predicted to be abnormal heart sound and -1 or 0 if it is normal.

#### A. Logistic Regression

For a baseline classifier, we implemented logistic regression (LR) on the 24 HRV features listed in Table 3. LR is a simple classifier that works well on data that can be separated with a hyperplane. LR uses learned parameters $\theta \in \mathbb{R}^n$ to map input features of the $i$th example $x^{(i)} \in \mathbb{R}^n$ into the predicted class $\hat{y}^{(i)} = h_\theta(x^{(i)}) \in \mathbb{R}$. LR uses the logistic function shown below to transform the linear mapping to the $(0,1)$ output range, which represents the confidence of example $i$ being in the positive (abnormal) class. Finally, a threshold of 0.5 is used to bin the output into abnormal (1) or normal (0) classes.

$$h_\theta(x) = \frac{1}{1 + e^{-\theta^T x}}$$  

We trained the model using batch gradient ascent to maximize log likelihood shown below:

$$\ell(\theta) = \sum_{i=1}^{m} y^{(i)} \log h(x^{(i)}) + (1 - y^{(i)}) \log(1 - h(x^{(i))))$$  

#### B. K-Means Clustering

K-means clustering is an unsupervised machine learning algorithm that aims to group examples into several cohesive clusters. After the algorithm converges, new examples can be classified as normal or abnormal by determining which cluster they belong to. The k-means algorithm consists of iteration over two steps. In the first step, every example is “colored” (assigned to a cluster) based on the minimum distance to all cluster centroids. In the second step, each cluster centroid is updated to the mean value of all the examples in that cluster. The summary of the algorithm is shown below:
1. Randomly initialize cluster centroids \( \mu_1, \mu_2, \ldots, \mu_k \in \mathbb{R}^n \), where \( k = 2 \) is number of clusters {normal, abnormal}.

2. Repeat until convergence {
   
   \begin{align*}
   \text{Color: } & c^{(i)} = \arg\min_j \| x^{(i)} - \mu_j \|^2 \\
   \text{Adjust centroids: } & \forall j; \mu_j = \frac{\sum_{i=1}^n \mathbb{I}[c^{(i)} = j] x^{(i)}}{\sum_{i=1}^n \mathbb{I}[c^{(i)} = j]} 
   \end{align*}

}\}

C. Gaussian Kernel-Based SVM

Support vector machines is a very powerful off-the-shelf supervised learning algorithm shown to outperform other machine learning algorithms for heartbeat classification on ECG waveforms [1]. SVM finds the hyperplane separating the input data that is furthest from both convex hulls. For linear SVM, the algorithm tries to maximize the functional margin – distance between the separating hyperplane and examples (support vectors) closest to it. This problem is equivalent to minimizing the cost function:

\[
\min_{w,b} \frac{1}{2} \|w\|^2 \\
\text{s.t. } y^{(i)} (w^T x^{(i)} + b) \geq 1, i = 1, \ldots, m
\]

In the above, \( w \) and \( b \) describe the hyperplane \( f(x) = w^T x + b = 0 \) separating two classes and \( y^{(i)} (w^T x^{(i)} + b) \) is the functional margin of \( w, b \). This formulation has a convex quadratic objective and can be solved using commercial Quadratic Programming (QP) software. Alternatively, the formulation can be solved with Lagrange multipliers. Solving the primal optimization problem we find \( w \) can be expressed as:

\[
w = \sum_{i=1}^m \alpha_i y^{(i)} x^{(i)}
\]

Plugging this into the original Lagrangian and simplifying gives us the dual optimization problem:

\[
\max_{\alpha} \sum_{i=1}^m \alpha_i - \frac{1}{2} \sum_{i=1,j=1}^m y^{(i)} y^{(j)} \alpha_i \alpha_j (x^{(i)}, x^{(j)}) \\
\text{s.t. } \alpha_i \geq 0, i = 1, \ldots, m; \sum_{i=1}^m \alpha_i y^{(i)} = 0
\]

The optimal \( \alpha \)’s can then be plugged into equation for \( w \). Any one support vector from each class can be used to find \( b \) as the equidistant point between the two support vectors. The classification problem for input example \( x \) can be solved as:

\[
h(x) = \text{sign} \left( \sum_{i=1}^m \alpha_i y^{(i)} (x^{(i)}, x) + b \right)
\]

For datasets that cannot be separated with a linear hyperplane, kernel-based classification can provide better separation between classes by mapping features into a higher-dimensional space before finding a separating hyperplane in that space. The kernel can be computed using equation (11):

\[
K(x, z) = \exp \left( -\frac{\|x - z\|^2}{2\sigma^2} \right)
\]

Effectively, the kernel computes the separation of vectors \( x \) and \( z \) with maximum value of one when vectors are equal and falls off exponentially with increase in dissimilarity between the two vectors. Parameter \( \sigma \) controls how fast the kernel falls off with distance between vectors and is a tunable hyper parameter.

To use a Gaussian kernel with SVM, we replace the inner product of feature vectors with the Gaussian kernel (11) in the dual (9) and classification (10) equations:

\[
(x^{(i)}, x) \leftarrow K(x^{(i)}, x)
\]

D. Neural Network

Unlike traditional machine learning algorithms, neural networks have the desirable property of learning complex features inside the neurons of hidden layers. Deeper hidden layers are able to derive higher-level features that provide additional information helpful in correctly classifying input data. Neural networks, however, require sufficient number of training examples in order to learn these hidden features. An example of a neural network architecture is shown in Figure 5.

Figure 5: Example neural network architecture with n-dimensional input layer, two hidden layers and binary output layer. Hidden layer 1 has 3 hidden units, hidden layer 2 has 2 hidden units.

Each neuron in a neural network performs affine transformation of inputs followed by a non-linear activation function, as shown below:

\[
Z^{[j]} = W^{[j]} A^{[j-1]} + b^{[j]} \\
A^{[j]} = g(Z^{[j]})
\]

In the equations above, \( Z^{[j]} \in \mathbb{R}^{n \times m} \) is a matrix with \( m \) columns representing \( m \)-examples and \( h_j = n \) is number of neurons in layer \( j \); \( W^{[j]} \in \mathbb{R}^{n \times k} \) is weight matrix which transforms \( k \)-dimensional inputs of previous layer to \( n \)-dimensional output, its rows represent each neuron’s weights; \( A^{[j-1]} \in \mathbb{R}^{k \times m} \) is the previous layer’s \( k \)-dimensional output with examples stacked as \( m \)-columns; \( b^{[j]} \in \mathbb{R}^{n \times m} \) is an \( n \)-dimensional bias vector replicated \( m \)-times; \( A^{[j]} \in \mathbb{R}^{n \times m} \) is activation output with same dimensions as \( Z^{[j]} \) and is from element-wise activation.

As with any supervised machine learning algorithm, neural network needs to be trained to optimize weights and biases \( W^{[j]} \) and \( b^{[j]} \) for every layer \( j \). For neural nets, the training process consists of forward propagation to compute all neurons’ outputs and compute log likelihood function \( \ell(\theta) \), which is the same as shown in (6) for logistic regression. This is followed by backpropagation step which computes all the gradients of log likelihood function with respect to all weights and biases, so that the latter can be updated according to batch gradient ascent.

V. CLASSIFICATION RESULTS AND DISCUSSION

A. Hyperparameter Selection

Different classification models have various hyperparameters that affect their performance. In order to tune these hyperparameters, a cross-validation set is allocated from the training set and consists of 10% of training examples. This cross-validation set is used to evaluate performance of the model for every hyperparameter setting. Ideally, an automated hyperparameter search would be implemented. However, we manually swept various values of hyperparameters, chose the best setting for every model, and then re-trained the models on all training examples. The hyperparameters for every deployed model are summarized in Table 4.
that linear HRV features are the bottleneck for better classification, we took the logistic regression model and added a Gaussian kernel to implement a locally weighted logistic model. The kernel creates non-linearity in the effective feature set, derived from linear HRV features. The model is non-parametric and described by locally weighted diagonal matrix \( W \) and corresponding equations below, where \( X \) is the training set matrix and \( \tilde{y} \) is the training column vector of observed outputs. \( \tau \) is chosen to be 3, in accord with the Gaussian kernel SVM model. The model prediction is denoted \( h_0(x) \).

\[
\begin{align*}
W &= \begin{bmatrix} w^{(1)} & \cdots & 0 \\ \vdots & \ddots & \vdots \\ 0 & \cdots & w^{(n)} \end{bmatrix}, \\
X &= \begin{bmatrix} -x^{(1)T} \\ \vdots \\ -x^{(n)T} \end{bmatrix} \\
\theta &= (X^TWX)^{-1}X^TW\tilde{y} \quad h_0(x) = \frac{1}{1+\exp(-\theta^T x)}
\end{align*}
\]

Applied on a test set, the modified logistic regression model outperformed the original one, which had only linear HRV features. Results are shown in Table 6. Thus, this is supporting evidence that linear features do not perform well for classification.

<table>
<thead>
<tr>
<th>Model</th>
<th>TP</th>
<th>TN</th>
<th>FN</th>
<th>FP</th>
<th>Se</th>
<th>P+</th>
<th>Acc</th>
<th>F1</th>
</tr>
</thead>
<tbody>
<tr>
<td>LW-LR</td>
<td>118</td>
<td>130</td>
<td>45</td>
<td>33</td>
<td>72.4</td>
<td>78.1</td>
<td>76.0</td>
<td>75.1</td>
</tr>
<tr>
<td>LR</td>
<td>86</td>
<td>113</td>
<td>77</td>
<td>50</td>
<td>52.8</td>
<td>63.2</td>
<td>61.0</td>
<td>57.5</td>
</tr>
</tbody>
</table>

Table 6: Summary of locally-weighted logistic regression (LW-LR) model performance on cross validation set of 326 examples compared to original logistic regression (LR) model.

VI. CONCLUSION

In summary, we performed heart sound classification using a variety of machine learning algorithms. We first filtered and pre-processed the data using logistic regression HSMM to segment time series heart sound into the four heart cycle states. Then, we derived statistical HRV features from the segmented states to train logistic regression, Gaussian kernel-based SVM, k-means, and two neural network models to classify the heart sound recording. RBF-SVM and NN models outperformed linear models significantly. Using error analysis to investigate reasons for poor performance of linear models we determined that most likely cause is the current set of HRV features does not form linearly separable classes. Finally, RBF-SVM achieved highest performance of all models with all four performance metrics over 88%.

This work can be extended by collecting more data by incorporating Kaggle Heartbeat Sounds dataset to add abnormal examples to improve training. This is especially critical for neural network models. NN models can further be tuned by changing activation functions to ReLU or tanh. Additionally, more features can be added to the existing HRV features in an attempt to improve classification performance. Automatic hyperparameter selection scripts can be added to tune the models. Lastly, RNNs can be used on PCG segments time series directly without manual HRV feature selection as an additional model.


REFERENCES


Application of Supervised Machine Learning Techniques to Classify Heart Sound Recordings

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Project Contributions

Anatoly Yakovlev:
- Literature survey on heart rate variability (HRV) based heartbeat classification algorithms.
- Some initial investigation of LR-HSMM segmentation algorithm on a small set of training examples to establish the flow of segmentation, feature extraction, and classification.
- Added more HRV features that showed successful performance in literature.
- Added classification models to train and classify data. The models added are: logistic regression model, k-means clustering, Gaussian kernel-based SVM, 3-layer neural network, and 4-layer neural network.
- Performed hyperparameter optimization for the above classification models using parameter sweeps and cross-validation datasets.
- Tried normal equations for learning but the resulting model does not generalize as well as batch gradient descent.
- Added data normalization for several models – neural nets, k-means.
- Added principal component analysis (PCA) to reduce data dimensionality.
- Performed some error analysis on initial unbalanced training dataset and re-balanced the training set to achieve better model performance.
- Contributed to poster preparation and writing of paper.

Vincent Lee:
- Performed literature search for state-of-the-art heart sound segmentation algorithm.
- Searched and acquired heart sound recording dataset.
- Adapted open-source LR-HSMM segmentation model for project use.
- Trained LR-HSMM on entire ECG-annotated training set and cross-validated on dev set.
- Implemented and performed segmentation and classification performance metrics.
- Created figures and tables and contributed to writing of paper and poster creation.
- Performed error analysis and ground truth data segmentation analysis.
- Implemented locally weighted logistic regression to show linearity of features is bottleneck to better classification performance, i.e. non-linear classifiers are needed.