




# External Validation of Models for Predicting Disability in Community-Dwelling Older People in the Netherlands: A Comparative Study

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**Background:** Advanced statistical modeling techniques may help predict health outcomes. However, it is not the case that these modeling techniques always outperform traditional techniques such as regression techniques. In this study, external validation was carried out for five modeling strategies for the prediction of the disability of community-dwelling older people in the Netherlands.

**Methods:** We analyzed data from five studies consisting of community-dwelling older people in the Netherlands. For the prediction of the total disability score as measured with the Groningen Activity Restriction Scale (GARS), we used fourteen predictors as measured with the Tilburg Frailty Indicator (TFI). Both the TFI and the GARS are self-report questionnaires. For the modeling, five statistical modeling techniques were evaluated: general linear model (GLM), support vector machine (SVM), neural net (NN), recursive partitioning (RP), and random forest (RF). Each model was developed on one of the five data sets and then applied to each of the four remaining data sets. We assessed the performance of the models with calibration characteristics, the correlation coefficient, and the root of the mean squared error.

**Results:** The models GLM, SVM, RP, and RF showed satisfactory performance characteristics when validated on the validation data sets. All models showed poor performance characteristics for the deviating data set both for development and validation due to the deviating baseline characteristics compared to those of the other data sets.

**Conclusion:** The performance of four models (GLM, SVM, RP, RF) on the development data sets was satisfactory. This was also the case for the validation data sets, except when these models were developed on the deviating data set. The NN models showed a much worse performance on the validation data sets than on the development data sets.

**Keywords:** prediction models, modeling techniques, external validation, performance, calibration, correlation coefficient, root of the mean squared error

## Introduction

Prediction of continuous and binary outcomes has since long received much attention in medical research.

Prediction is a complex process because the specification of the model structure requires the inclusion of main effects, potential nonlinearities and statistical interactions.<sup>1-3</sup> While most prediction models for continuous and binary outcomes are still based on regression analysis, there is an increasing interest in more advanced techniques, such as support vector machines, neural nets, and tree models. These more advanced methods hold the promise of better capturing nonlinearities and interactions in medical data.<sup>4</sup> Some examples are: the use of support vector machines for the classification of breast cancer,<sup>5</sup> the application of neural networks for the analysis of censored survival data,<sup>6</sup> the prediction of frailty with Bayesian networks,<sup>7</sup> and risk prediction of type II diabetes based on a random forest model.<sup>8</sup>

The performance of a prediction model at internal and external validation is a decisive factor in choosing a modeling technique for prediction. Many studies compared advanced modeling techniques with classical techniques, but mostly the resulting models were only validated internally.<sup>9</sup> External validation was used in only a few comparisons of classification trees, neural networks and logistic regression,<sup>10–12</sup> and in a comparative study on stroke patients.<sup>13</sup> External validation is necessary to assess the reproducibility and the generalizability of a model.<sup>14</sup>

The performance of a prediction model can be assessed using various measures,<sup>15</sup> but the focus is commonly on discrimination. When the performance of a model is assessed in a new data set, estimates can be influenced in several ways. The model parameters may be incorrect, which results in a poorly fitting model. However, the distribution of patient characteristics (case-mix) may also differ, which directly influences the performance of the model.<sup>16</sup> Less heterogeneity at external validation implies lower performance compared to the model development setting. Therefore, benchmark values were recently proposed to disentangle a case-mix effect from incorrect regression coefficients, when interpreting the performance of a model in a validation set.<sup>17</sup>

In this study, we aimed to compare the external validity of five modeling techniques in predicting the disability score as measured with the Groningen Activity Restriction Scale (GARS) for community-dwelling older people<sup>18</sup> with items of the Tilburg Frailty Indicator (TFI).<sup>19</sup> We choose this patient group because the Netherlands is aging and, as a result, the number of community-dwelling older people is increasing. This increase has a major impact on the healthcare system in the Netherlands and the care that needs to be given to this group.<sup>20</sup> Many studies therefore focus on this patient group. For example, a study concerning factors associated with falls among community-dwelling older adults.<sup>21</sup>

The preferred technique for the prediction of the GARS score for this patient group is still under debate, and preference for a technique varies among investigators. Various statistical techniques have been used in this area. Nowadays, a wide array of advanced learning techniques is available, including tree modeling techniques, support vector machines, and neural networks.

## Methods

### Data

In this study, we used five data sets for the development and the validation of the models. The five data sets included data from community-dwelling older people that filled in the Tilburg Frailty Indicator (TFI)<sup>19</sup> for assessing frailty among community-dwelling older people and eighteen items as measured with the Groningen Activity Restriction Scale (GARS)<sup>18</sup> by which the total disability score was calculated. The B-part of the TFI consists of fifteen items, but one item was left out because this item was not present in all data sets. We used the fourteen remaining items as dichotomized predictors to predict the total disability score.

The first data set contained data from a sample that was randomly drawn in 2008 from the municipality Roosendaal, the Netherlands. Of the 1154 people aged 75 years or older who received the questionnaires (TFI, GARS), a total of 484 people decided to participate in the study (response rate 42%). In addition, we used three data sets from the “Senioren Barometer”. This was a web-based questionnaire to assess opinions of Dutch people aged 50 years or older about different aspects of their life. For this study, we included data collected in 2009, 2010, and 2012 with 1492, 1302, and 661 participants, respectively. The subjects were invited to participate in different ways and through multiple sources. For instance, organizations for older people were asked to issue an announcement about completing the “Senioren Barometer” on their websites. The fifth data set contained data collected in 2015 among people who received homecare from Zonnehuisgroep Amstelland. This sample included 142 people referring to a response rate 24.2%.

For each data set, we deleted the subjects which had missing values for the GARS or for at least one of the fourteen dichotomized predictors of the TFI. For the final number of subjects of each data set we used for the modeling, we refer to Table 1.

### Modeling Techniques

We compared five statistical modeling techniques to predict the GARS score: general linear model (GLM), support vector machine (SVM), neural net (NN), recursive partitioning (RP), and random forest (RF). We here summarized the

**Table I** Characteristics Predictors

	D1		D2		D3		D4		D5	
	n	%	n	%	n	%	n	%	n	%
<b>Unexplained weight loss</b>										
no	392	92.5	1429	95.8	363	91.4	626	94.8	102	78.5
Yes	32	7.5	63	4.2	34	8.6	34	5.2	28	21.5
<b>Difficulty in walking</b>										
no	223	52.6	1129	75.7	168	42.3	485	73.5	16	12.3
Yes	201	47.4	363	24.3	229	57.7	175	26.5	114	87.7
<b>Difficulty in maintaining balance</b>										
no	276	65.1	1298	87	281	70.8	564	85.5	36	27.7
Yes	148	34.9	194	13	116	29.2	96	14.5	94	72.3
<b>Poor hearing</b>										
no	270	63.7	1179	79	268	67.5	513	77.7	82	63.1
Yes	154	36.3	313	21	129	32.5	147	22.3	48	36.9
<b>Poor vision</b>										
no	330	77.8	1356	90.9	331	83.4	599	90.8	94	72.3
Yes	94	22.2	136	9.1	66	16.6	61	9.2	36	27.7
<b>Lack of strength in the hands</b>										
no	284	67	1210	81.1	264	66.5	543	82.3	58	44.6
Yes	140	33	282	18.9	133	33.5	117	17.7	72	55.4
<b>Physical tiredness</b>										
no	238	56.1	1046	70.1	141	35.5	437	66.2	27	20.8
Yes	186	43.9	446	29.9	256	64.5	223	33.8	103	79.2
<b>Problems with memory</b>										
No	386	91	1434	96.1	365	91.9	631	95.6	106	81.5
Yes	38	9	58	3.9	32	8.1	29	4.4	24	18.5
<b>Feeling down</b>										
no	262	61.8	855	57.3	163	41.1	417	63.2	42	32.3
Yes	162	38.2	637	42.7	234	58.9	243	36.8	88	67.7
<b>Feeling nervous or anxious</b>										
no	296	69.8	1066	71.4	216	54.4	469	71.1	58	44.6
Yes	128	30.2	426	28.6	181	45.6	191	28.9	72	55.4
<b>Unable to cope with problems</b>										
no	365	86.1	1327	88.9	321	80.9	555	84.1	92	70.8
Yes	59	13.9	165	11.1	76	19.1	105	15.9	38	29.2
<b>Living alone</b>										
no	213	50.2	1063	71.2	243	61.2	443	67.1	29	22.3
Yes	211	49.8	429	28.8	154	38.8	217	32.9	101	77.7
<b>Lack of social relations</b>										
no	169	39.9	726	48.7	142	35.8	297	45	26	20
Yes	255	60.1	766	51.3	255	64.2	363	55	104	80
<b>Lack of social support</b>										
no	357	84.2	1294	86.7	300	75.6	558	84.5	103	79.2
Yes	67	15.8	198	13.3	97	24.4	102	15.5	27	20.8

**Notes:** D1=Gemeente Roosendaal 2008. D2=Seniorenbarometer 2009. D3=Seniorenbarometer 2010. D4=Seniorenbarometer 2012. D5=Zonnehuisgroep Amstelland 2015.

main characteristics of the evaluated modeling techniques, based on the work of several authors<sup>3,22–27</sup> and also earlier publications of the first author.<sup>28,29</sup>

## GLM

GLM includes linear regression we used in our study. Linear regression is often used in medical research and uses a linear function of the predictors. By minimizing the sum of the least squared error, the regression coefficients are estimated.<sup>1,3,23</sup>

## SVM

SVM can perform classification tasks by constructing hyperplanes with a margin in a multidimensional space that separates cases from different classes. An SVM uses different kernels (radial, linear, and polynomial) to perform a non-linear classification or regression task. The hyperparameters for SVMs are the C-parameter (cost), which regulates the margin width, and the gamma parameter for the kernel calculation. SVMs are suited to analyze data with large numbers of predictor variables. For most researchers, an SVM is a “black box” because the underlying algorithm is complicated.<sup>25,30,31</sup> The C-parameter was set at 1 and the gamma parameter was set at 0.067 in our study.

## NN

NN uses interconnected processing units that are arranged in layers: an input layer, one or more hidden layers, and an output layer. The units in the layers are connected with varying connection strengths. Data are propagated from the input layer to the hidden layer(s) and from there to the output layer. The prediction, delivered from the output layer, is then compared to the actual value. The NN makes adjustments to the weights whenever the prediction is incorrect. The gradient descent algorithm is used to minimize the prediction error. This process is repeated many times and stops when the magnitude of the gradient is less than a certain threshold (eg 0.00005). The key parameters of a NN are the number of units in the layer, and the decay parameter that penalizes large weights to avoid overfitting.<sup>24,32</sup> In our study, we set the number of hidden layers at 1, the number of units in the layer at 20, and the decay parameter at 0.

## RP

RP uses recursive partitioning to split the training data into subsets with similar endpoint values. The process of partitioning starts by finding the best split based on the input variables. The reduction in an impurity index is used to find the best split. The split consists of two subgroups and each subgroup is split into two new subgroups until a stopping criterion for the impurity index is met. The key parameter for RP is the cp-parameter (cost complexity factor).<sup>22,29</sup> In our study, we set the cp-value at 0.01.

## RF

RF is a modeling technique based on many decision trees. For categorical output variables, RF outputs the class that is the mode among the classes from individual trees. For continuous output variables, RF outputs the value that is the mean of the values output from individual trees. A bootstrap sample from the original data set is used to construct each tree by RP as described earlier. For continuous output variables, the split rule is based on minimizing the mean squared error. For categorical outcomes, the Gini index is commonly used. At each split, a subset of candidate variables is tested for the split rule optimization. The number of trees and the number of candidate variables are the key parameters.<sup>22,30,33</sup> In our study, we set the number of trees at 500 and the number of candidate variables at 4.

## External Validation Procedure

We developed each model on one of the five data sets and then applied the resulting model to each of the four remaining data sets for validation. As a result, each model was developed five times and validated twenty times. For the performance of the models, we used the measures as mentioned in “Performance Measures” section below.

## Performance Measures

For assessing the performance of the models, we calculated the correlation coefficient ( $r$ ) and the root of the mean squared error ( $rmse$ ). The correlation coefficient measures the association between the actual total disability score and the predicted total disability score. We considered a value of  $r > 0.5$  as indication for good association. The root of the mean squared error ( $rmse$ ) measures the typical distance between the actual total disability score and the predicted total disability score. Values of the  $rmse$  towards zero indicate good fit of the model. For the calculation of  $r$  and  $rmse$ , we refer to (1) and (2). For assessing the calibration of the models, we used the calibration characteristics intercept ( $b_0$ ) and slope ( $b_1$ ). The calibration characteristics  $b_0$  and  $b_1$  were calculated using linear regression on the predicted total disability score with the actual total disability score as dependent variable. A value of  $b_0 < 0$  indicates a systematic underestimation of the actual total disability score by the model, whereas a value of  $b_0 > 0$  indicates systematic overestimation. A value of  $b_1 < 1$  indicates that the predicted values are too low for low actual values and too high for high actual values, whereas  $b_1 > 1$  indicates the opposite.<sup>34</sup>

$$r = \frac{\sum_{i=1}^n (y_i - \bar{y})(\hat{y}_i - \bar{\hat{y}})}{\sqrt{\sum_{i=1}^n (y_i - \bar{y})^2} \sqrt{\sum_{i=1}^n (\hat{y}_i - \bar{\hat{y}})^2}} \quad (1)$$

$$rmse = \sqrt{\frac{\sum_{i=1}^n (y_i - \hat{y}_i)^2}{n}} \quad (2)$$

In (1) and (2),  $y$  is the actual value,  $\hat{y}$  is the predicted value,  $\bar{y}$  is the mean of  $y$ ,  $\bar{\hat{y}}$  is the mean of  $\hat{y}$ , and  $n$  is the number of observations.

## Analysis

For all analyses, we used R version 3.4.4<sup>35</sup> and in particular the libraries “e1071”, “nnet”, “rpart”, and “randomForest” for the calculation of the models.

## Results

Table 1 shows the distribution of the predictor variables for the five data sets. For almost all predictors, the distribution within data set D5 differed considerably from that within the other data sets.

Table 2 shows the characteristics of our outcome variable (GARS score). Again, the characteristics of our outcome variable within data set D5 differed considerably from those within the other data sets.

The performance of the five models for the five data sets, as measured by the calibration characteristics  $b_0$  and  $b_1$ , the correlation coefficient  $r$ , and the  $rmse$  is shown in Table 3. For example, the GLM model, as developed on data set D3, showed for the validation data sets D1, D2, D4, and D5 the correlation coefficients 0.63, 0.64, 0.64, and 0.57, respectively. For the visualisation of the calibration of the models, we refer to [Figures S1–S5](#).

**Table 2** Characteristics GARS Scores

GARS Score	D1	D2	D3	D4	D5
Minimum	18	18	18	18	18
25% quartile	19	18	22	18	32
Median	24	19	27	19	41
Mean	26.7	22.3	29.8	21.9	42.7
75% quartile	31	24	35	22	55
Maximum	67	72	63	69	70

**Notes:** D1=Gemeente Roosendaal 2008. D2=Seniorenbarometer 2009. D3=Seniorenbarometer 2010. D4=Seniorenbarometer 2012. D5=Zonnehuisgroep Amstelland 2015.

**Table 3** Performance Characteristic Models

Development					Validation					Validation					Validation					Validation				
D	b0	b1	r	rmse	D	b0	b1	r	rmse	D	b0	b1	r	rmse	D	b0	b1	r	rmse	D	b0	b1	r	rmse
<b>GLM</b>																								
1	0.00	1.00	0.66	7.14	2	-0.32	0.97	0.64	5.64	3	2.27	1.00	0.53	8.24	4	0.41	0.90	0.63	5.65	5	-7.41	1.53	0.56	10.82
2	0.00	1.00	0.66	5.51	1	1.88	0.97	0.64	7.26	3	0.72	1.10	0.56	8.06	4	0.47	0.95	0.65	5.49	5	-11.60	1.71	0.58	10.62
3	0.00	1.00	0.58	7.93	1	2.25	0.86	0.63	7.36	2	1.04	0.85	0.64	5.59	4	1.48	0.81	0.64	5.57	5	-13.26	1.61	0.57	10.75
4	0.00	1.00	0.66	5.44	1	2.37	0.98	0.63	7.37	2	0.00	1.03	0.65	5.56	3	1.31	1.11	0.54	8.16	5	-11.88	1.77	0.59	10.58
5	0.00	1.00	0.64	10.03	1	10.97	0.50	0.61	7.49	2	9.05	0.51	0.61	5.77	3	11.57	0.54	0.51	8.36	4	9.08	0.48	0.61	5.73
<b>SVM</b>																								
1	-7.27	1.38	0.65	7.22	2	-7.15	1.33	0.64	5.62	3	-8.65	1.51	0.53	8.25	4	-6.56	1.27	0.64	5.59	5	-30.41	2.53	0.59	10.60
2	-7.66	1.45	0.66	5.46	1	-5.25	1.40	0.64	7.29	3	-6.27	1.53	0.55	8.13	4	-6.76	1.38	0.66	5.46	5	-18.43	2.24	0.55	10.92
3	-22.72	1.89	0.57	8.01	1	-17.35	1.64	0.63	7.36	2	-18.74	1.63	0.65	5.58	4	-17.56	1.56	0.65	5.53	5	-50.62	3.07	0.58	10.71
4	-16.10	1.89	0.66	5.45	1	-15.58	1.96	0.63	7.35	2	-17.10	1.97	0.65	5.56	3	-19.40	2.22	0.56	8.08	5	-38.53	3.31	0.56	10.85
5	-147.30	4.58	0.60	10.48	1	-91.28	2.99	0.61	7.50	2	-95.84	3.07	0.60	5.82	3	-79.84	2.77	0.43	8.76	4	-93.77	3.00	0.61	5.74
<b>NN</b>																								
1	-0.20	1.01	0.79	5.76	2	6.76	0.65	0.53	6.20	3	16.16	0.49	0.38	8.99	4	6.64	0.64	0.52	6.19	5	21.77	0.62	0.34	12.31
2	0.08	1.00	0.85	3.90	1	15.43	0.43	0.45	8.43	3	20.37	0.35	0.32	9.20	4	9.84	0.54	0.50	6.28	5	30.86	0.34	0.31	12.47
3	0.42	0.99	0.73	6.68	1	10.26	0.56	0.46	8.40	2	3.52	0.72	0.55	6.08	4	4.19	0.67	0.55	6.06	5	23.14	0.55	0.38	12.14
4	-0.06	1.00	0.91	2.95	1	16.60	0.39	0.45	8.43	2	10.93	0.51	0.53	6.17	3	19.92	0.37	0.41	8.88	5	36.21	0.20	0.19	12.86
5	-0.46	1.01	0.85	6.86	1	17.92	0.29	0.46	8.39	2	16.13	0.25	0.44	6.56	3	22.20	0.23	0.31	9.24	4	15.45	0.26	0.47	6.39
<b>RP</b>																								
1	0.00	1.00	0.65	7.20	2	-0.79	0.97	0.61	5.77	3	6.96	0.83	0.50	8.44	4	-0.77	0.94	0.63	5.65	5	13.37	0.89	0.40	12.02
2	0.00	1.00	0.67	5.42	1	7.22	0.76	0.59	7.63	3	6.25	0.91	0.55	8.13	4	1.31	0.92	0.64	5.59	5	12.44	0.95	0.52	11.18
3	0.00	1.00	0.63	7.51	1	1.86	0.86	0.56	7.82	2	-3.34	0.97	0.60	5.82	4	-1.78	0.89	0.59	5.85	5	7.96	0.99	0.51	11.27
4	0.00	1.00	0.68	5.29	1	5.84	0.85	0.59	7.63	2	0.31	1.02	0.63	5.68	3	7.25	0.90	0.54	8.20	5	8.79	1.08	0.50	11.35
5	0.00	1.00	0.67	9.78	1	7.78	0.55	0.55	7.87	2	1.51	0.70	0.60	5.82	3	9.67	0.59	0.51	8.33	4	2.55	0.65	0.60	5.78
<b>RF</b>																								
1	2.84	0.89	0.57	7.76	2	-2.65	1.05	0.65	5.57	3	2.70	0.97	0.50	8.40	4	-2.27	1.01	0.65	5.51	5	2.02	1.24	0.47	11.57
2	1.04	0.95	0.64	5.63	1	4.94	0.84	0.64	7.27	3	6.65	0.88	0.53	8.21	4	0.05	0.97	0.67	5.36	5	7.66	1.06	0.51	11.28
3	1.69	0.94	0.53	8.23	1	1.96	0.85	0.59	7.63	2	-0.80	0.89	0.61	5.77	4	-0.49	0.85	0.62	5.71	5	-5.62	1.36	0.57	10.72
4	1.76	0.92	0.61	5.73	1	4.15	0.91	0.63	7.32	2	-0.53	1.05	0.66	5.48	3	6.99	0.89	0.54	8.18	5	4.85	1.20	0.53	11.10
5	4.94	0.88	0.47	11.54	1	2.11	0.70	0.59	7.60	2	-1.02	0.76	0.62	5.74	3	3.15	0.75	0.54	8.15	4	-0.95	0.73	0.64	5.59

**Notes:** D1=Gemeente Roosendaal 2008. D2=Seniorenbarometer 2009. D3=Seniorenbarometer 2010. D4=Seniorenbarometer 2012 D5=Zonnehuisgroep Amstelland 2015 b0=calibration intercept, b1=calibration slope, r=correlation coefficient, rmse=root mean squared error.

## Discussion

In this study, we aimed to compare the external validity of five modeling techniques in predicting the disability score for community-dwelling older people as measured with the Groningen Activity Restriction Scale (GARS) with fourteen dichotomized items of the B-part of the Tilburg Frailty Indicator (TFI). External validation addresses the performance of a model on different but plausibly related data sets, which still represent the underlying community-dwelling older people domain. This validation step is widely considered important and necessary before implementing a developed prediction model.<sup>36,37</sup> However, only 5% of the developed prediction models were subject to external validation.<sup>38</sup> Prediction models generally perform more poorly in external validation than in development.<sup>39</sup> Our study supports this notion.

## Principal Findings

The data sets used for this validation study had as common feature the inclusion of community-dwelling older people in the Netherlands who completed both the Tilburg Frailty Indicator (TFI) and the Groningen Activity Restriction Scale (GARS). The data sets D1, D2, D3, and D4 were comparable, but data set D5 showed deviating distributions of the predictor variables. Despite this, we included data set D5 in our study to show the effect of a non-comparable data set in external validation, see Table 1 and Table 2.

The GLM models showed  $r$ -values  $>0.5$  for all validation sets. For all validations on data set D5, when the models were developed on the data sets D1 to D4, the GLM model required a lot of calibration and the  $rmse$ -values were  $>10$ . The GLM model developed on D5 required a lot of calibration when validated on data sets D1 to D4, see Table 3 and Figure S1. The SVM models showed  $r$ -values  $>0.5$  for all validation sets, except for validation set D3 when the model was developed on data set D5 ( $r=0.43$ ). All SVM models required calibration, especially for the validation on data set D5 when the models were developed on the data sets D1 to D4. In the latter case, all  $rmse$ -values were  $>10$ , see Table 3 and Figure S2.

The NN models showed a lot of  $r$ -values  $<0.5$  for the validation sets. All NN models required a lot of calibration on the validation sets, especially when the development set was data set D5. For the development sets D1 to D4, the validation on data set D5 showed  $rmse$ -values  $>12$ , see Table 3 and Figure S3.

For both tree models (RP and RF), all  $r$ -values were  $>0.5$ , except for the validation of the models on D5 when the models were developed on D1 ( $r$ -values 0.40 and 0.47 respectively). Only few calibration was required for the validation on D5 when the models were developed on data sets D1 to D4. For the validation on D1 to D4 when the models were developed on data set D5, a lot of calibration was required. For the validation on data set D5 when the models were developed on the data sets D1 to D4, the  $rmse$ -values were  $>11$  and  $>12$  respectively, see Table 3, and Figures S4 and S5.

If we look at the performance of the models in relation to the size of the development data set, it is noticeable that the performance at D2 ( $n = 1492$ ) and D4 ( $n = 660$ ) is the best. The latter means that large data sets are required for the development of good prediction models.

We have chosen the most widely used techniques for predicting medical outcomes. We are aware that there were other possibilities (eg, XGBoost) as well. Based on the obtained results, the public health implication is that GLM and SVM models are very well suited for the prediction of the disability score for community-dwelling older people in the Netherlands. In a follow-up study, a calculator based on GLM or SVM models could be developed for healthcare providers for the prediction of the disability score of community-dwelling older people in the Netherlands. This would of course require a proper tuning of the SVM technique first (C and gamma parameters). As an example, see the link to a calculator created by the authors in a previous study:<sup>40</sup> <https://tjeerd.shinyapps.io/robbert/>.

## Comparison to Prior Work

To our knowledge, this is the first study that evaluated models in predicting the GARS with the TFI at external validation within the domain of community-dwelling older people in the Netherlands. A validation study with the same design as our study was conducted in 2016 for traumatic brain injury (TBI) patients using modern modeling techniques.<sup>12</sup>

## Limitations

Several limitations of this study should be addressed. First, for the modeling techniques, we used the default settings from the R software<sup>35</sup> instead of tuning the techniques for the best hyperparameters. This was a conscious choice



because by tuning the hyper parameters, we would do too much “justice” to the development data. In a follow-up study, it would be interesting to tune the models a priori with the development data. Second, the TFI and the GARS are self-reported data, so both are subjectively assessed. However, the construct validity of the TFI has been determined in detail using objective measurements<sup>41</sup> and also the construct validity of the GARS was showed.<sup>42</sup> The use of another frailty measure instead of the TFI, such as the phenotype of frailty by Fried et al,<sup>43</sup> would have led to different results. Third, the response rates in Gemeente Roosendaal 2008 and Zonnehuisgroep 2015 were low, 42% and 24.2%, respectively. With regard to the data from the Senioren Barometer, it should be noted that people could only participate if they had access to the Internet. As a consequence, we have to be careful about generalizing the findings of our study. Fourth, for the external validation of the models, we used data sets with subjects appearing in multiple data sets. Unfortunately, those subjects were not traceable because the data was collected anonymously. Fifth, the B-part of the TFI consists of fifteen items, but one item was left out because this item was not present in all data sets. This might have led to different results.

## Conclusions

The performance of four models (GLM, SVM, RP, RF) on the development data sets was satisfactory. This was also the case for the validation data sets, except when these models were developed on the deviating data set. The NN models showed a much worse performance on the validation data sets than on the development data sets.

## Data Sharing Statement

The data sets used and analyzed during the current study are available from the corresponding author upon reasonable request.

## Ethics Approval and Consent to Participate

All procedures performed in studies involving human participants followed the ethical standards of the institute and/or national research committee and with the 1964 Helsinki declaration and its later amendments or comparable ethical standards. For the present study, medical ethics approval was not necessary because treatments or interventions were not offered or withheld from respondents. Moreover, the integrity of respondents was not encroached upon because of participating in this study, which is the main criterion in medical-ethical procedures in the Netherlands.<sup>44</sup> Informed consent related to detailing the study and maintaining confidentiality was observed.

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## Disclosure

The authors declare that they have no competing interests.

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