Automated operative phase identification in peroral endoscopic myotomy

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Abstract

Background Artificial intelligence (AI) and computer vision (CV) have revolutionized image analysis. In surgery, CV applications have focused on surgical phase identification in laparoscopic videos. We proposed to apply CV techniques to identify phases in an endoscopic procedure, peroral endoscopic myotomy (POEM).

Methods POEM videos were collected from Massachusetts General and Showa University Koto Toyosu Hospitals. Videos were labeled by surgeons with the following ground truth phases: (1) Submucosal injection, (2) Mucosotomy, (3) Submucosal tunnel, (4) Myotomy, and (5) Mucosotomy closure. The deep-learning CV model—Convolutional Neural Network (CNN) plus Long Short-Term Memory (LSTM)—was trained on 30 videos to create POEMNet. We then used POEMNet to identify operative phases in the remaining 20 videos. The model’s performance was compared to surgeon annotated ground truth.

Results POEMNet’s overall phase identification accuracy was 87.6% (95% CI 87.4–87.9%). When evaluated on a per-phase basis, the model performed well, with mean unweighted and prevalence-weighted F1 scores of 0.766 and 0.875, respectively. The model performed best with longer phases, with 70.6% accuracy for phases that had a duration under 5 min and 88.3% accuracy for longer phases.

Discussion A deep-learning-based approach to CV, previously successful in laparoscopic video phase identification, translates well to endoscopic procedures. With continued refinements, AI could contribute to intra-operative decision-support systems and post-operative risk prediction.

Keywords Computer vision · Deep learning · Endoscopy · Artificial intelligence · Phase identification · Phase segmentation

We are in the midst of an artificial intelligence (AI) and computer vision (CV) revolution. CV, a sub-field of AI, teaches computers to not only “see” images but understand their contents [1]. In 2012, Krizhevsky designed a novel neural network architecture that could attain human-like image comprehension with readily available computer hardware, thereby democratizing CV and sparking the CV revolution [2]. Since this discovery, the medical field has seen numerous CV applications, with algorithms published that perform at levels similar to pathologists [3], radiologists [4], and dermatologists [5].

CV in surgery, though, has seen relatively fewer advances, which stems from the magnitude of information in surgical video and difficulties in teaching AI algorithms surgical workflow. Current efforts in the surgical community focus on automated phase identification in surgical videos. Laparoscopic surgeries, due to their readily available video feed and stable field-of-view, lend themselves to CV analysis, with work done in cholecystectomy (86.7% accuracy [6]), sleeve gastrectomy (85.6% accuracy [7]), and sigmoid colectomy (91.9% accuracy [8]).

We sought to apply CV techniques to identify surgical phases for the first time on an endoscopic procedure. As our
target procedure, we selected peroral endoscopic myotomy (POEM), a minimally invasive endoscopic treatment for esophageal achalasia.

**Materials and methods**

**Institutional approval**

This study's protocol was reviewed and approved by the Partners Healthcare Institutional Review Board (Protocol No: 2015P001161). Written patient consent for use of the videos for research purposes was obtained prior to any procedures being performed.

**Dataset**

We collected 35 videos from Massachusetts General Hospital (Boston, USA) and 15 videos from Showa University Koto Toyosu Hospital (Tokyo, Japan) for a total of 50 POEM videos. Videos were processed and de-identified with the FFmpeg software [9].

Three surgeons annotated the videos with the operative phases (Table 1), outlined in Inoue et al. [10], to create the “ground truth” information from which our AI model would learn. To assess inter-annotator reliability and agreement, each surgeon annotated 14 identical videos. We set a Krippendorff’s alpha greater than 0.800 to indicate sufficient inter-annotator reliability to allow for pooling of multiple surgeons’ annotations into a single training set for the model [11]. We compared levels of inter-annotator agreement, on a per-step and overall basis, with Fleiss’ kappa, using kappa ranges of 0–0.20, 0.21–0.40, 0.41–0.60, 0.61–0.80, and 0.81–1.00 to indicate poor, slight, fair, moderate, substantial, and almost perfect agreement, respectively [12]. All calculations were performed using R version 3.6.1 [13] with the irr package [14], treating the annotation for each video second as an independent observation. After confirmation of annotation similarity, each surgeon annotated a subset of the 50 total videos.

**Model architecture**

Automated surgical phase identification AI models receive individual video frames and attempt to classify them as one of a pre-learned set of phases. Similar to our prior work on laparoscopic sleeve gastrectomy [7], we based the architecture of our AI model on a Convolutional Neural Network (CNN) visual model (ResNet [15]) combined with a Long Short-Term Memory (LSTM) temporal model (Fig. 1). As their names imply, the visual model attempts to classify each frame of a video based on visual features alone, while the temporal model considers data about the temporal order in which frames have appeared. We implemented our model with the PyTorch library [16].

For the AI model to learn to identify POEM phases, we first trained it on 30 randomly selected videos. We down-sampled the original videos to one image per second. These images, paired with their annotated surgical phase ground truths, were given to the model as the training set. The model self-adjusted the internal parameters in its neural network until it could generate a consistent and correct phase identification for each second, thereby creating the “trained” model: POEMNet.

We tested POEMNet on the remaining 20 videos. As with our training set, we down-sampled the original videos to one image per second. Each second’s image was given first to the visual model then to the model’s temporal “memory” component (LSTM) to generate a likeliest phase identified from the visual cues combined with its knowledge of prior seen images (Fig. 1). As a proof-of-concept for offline applications, a forward–backward Hidden Markov Model (HMM) was applied in post-processing to improve performance on phases with a short duration.

**Evaluation metrics**

We compared POEMNet’s phase identifications to the surgeon-labeled phases to evaluate performance on an overall, per-phase, and per-duration, basis. Calculations were performed with the caret package [17] and graphics generated with ggplot2 [18] in R 3.6.1. We computed the following metrics:

\[
\text{Accuracy} = \frac{\text{Correctly identified frames}}{\text{Total number of frames for a time duration}}
\]

\[
\text{Precision} = \frac{\text{Correctly identified frames for a phase}}{\text{Total number of frames identified for a phase}}
\]

\[
\text{Recall} = \frac{\text{Correctly identified frames for a phase}}{\text{Total number of frames for a phase}}
\]

\[
\text{F-score} = 2 \cdot \frac{\text{Recall} \cdot \text{Precision}}{\text{Recall} + \text{Precision}}
\]

Accuracy demonstrates a model’s overall performance across the entire test set and allows for performance evaluation of phases with certain intervals (e.g., all phases that are under 30 s in length). Precision (positive predictive value) demonstrates the model’s rate of mis-classifications of a phase, while recall (sensitivity) shows its ability to find all the frames of a phase [19].
Table 1  Five phases annotated in the POEM videos with representative images and descriptions of the start and stop points

| Phase         | Representative image | Description                                      |
|---------------|----------------------|--------------------------------------------------|
| Submucosal injection | ![Image](image1.png) | Start: needle touches mucosa  
End: needle withdraws from mucosa |
| Mucosotomy    | ![Image](image2.png) | Start: energy device touches mucosa  
End: mucosal incision finished |
| Submucosal tunnel | ![Image](image3.png) | Start: energy device touches submucosa  
End: no further energy application |
| Myotomy       | ![Image](image4.png) | Start: energy device first touches muscle  
End: no further energy application |
| Mucosotomy closure | ![Image](image5.png) | Start: first clip touches mucosotomy  
End: last clip fully applied |

We chose start and stop points based on tools touching their target tissue to improve agreement between annotators.
Results

Video information

We collected 50 POEM videos with a mean length of 93.04 min (± 25.98 min standard deviation). The five phases of POEM vary widely in length, from the shortest, “Submucosal Injection,” to the longest, “Submucosal Tunnel” (Fig. 2).

Inter-annotator reliability and agreement

The three annotators had sufficient inter-annotator reliability to combine their annotations of different videos into a single dataset, with a Krippendorff’s alpha coefficient of 0.882. Overall, there was almost perfect agreement between the three surgeons, with a Fleiss’ kappa of 0.821. They almost perfectly agreed across all phases except for “Mucosotomy” (Table 2).

Model results

Overall

POEMNet’s overall automated phase identification accuracy was 87.6% (95% CI 87.4–87.9%). Straightforward cases yielded nearly perfect phase identification, while more difficult cases that required repeated tunnel inspection, scope
cleaning, and repair of mucosal perforations caused the machine to mis-classify phases (Fig. 3).

Per-phase

The model performed well when evaluated on a per-phase basis (Table 3). The longer phases—“Submucosal Tunnel,” “Myotomy,” and “Mucosotomy Closure”—had the best results, with few mis-classifications. Due to visual similarity, “Submucosal Tunnel” and “Myotomy” had a small amount of shared mis-classifications. The model struggled with the shorter phases—“Submucosal Injection” and “Mucosotomy”—with decreased phase identification performance and increased shared mis-classifications (Fig. 4). The model’s difficulty with these phases mirrors their lower inter-annotator agreements (Table 2). The shorter phases comprised a small percentage of total video duration and therefore minimally impacted overall performance.

Table 3 POEMNet’s performance across phases

| Phase                | Precision | Recall | F1 score | Prevalence |
|----------------------|-----------|--------|----------|------------|
| Submucosal Injection | 0.667     | 0.361  | 0.468    | 0.006      |
| Mucosotomy           | 0.837     | 0.602  | 0.700    | 0.044      |
| Submucosal tunnel    | 0.955     | 0.840  | 0.894    | 0.513      |
| Myotomy              | 0.791     | 0.945  | 0.861    | 0.278      |
| Mucosotomy closure   | 0.848     | 0.971  | 0.906    | 0.159      |
| Overall (unweighted) | 0.820     | 0.744  | 0.766    |            |
| Overall (weighted)   | 0.885     | 0.876  | 0.875    |            |

The model did well in phase identification across phases. It experienced some difficulties in recall for the shorter phases, “Submucosal Injection” and “Mucosotomy,” which together comprised under 5% of all video frames. The overall metrics were calculated from unweighted and prevalence-weighted averages of each phase. Overall accuracy (frames correctly identified/total frames) was 87.6% (95% CI 87.4–87.9%).

Fig. 3 “Surgical fingerprints” for two representative cases. The “Straightforward” case proceeded with nearly complete alignment between identified phase (blue bar) and ground truth (red line), with an accuracy of 96.0%. The model’s certainty is proportional to the bar’s darkness (white for low probability of identified phase; dark blue for high probability of identified phase). The “Tortuous Esophagus” case had a difficult “Submucosal Tunnel” creation, leading to repeated inspections, scope cleanings, and a mucosal perforation. POEMNet tried to classify these deviations as other, more visually similar, phases, shown by areas along the ground truth with gaps, signifying no identification for the technically “correct” phase. Accuracy for this video was 84.8% (Color figure online)

Fig. 4 Confusion matrix (recall) of the model’s identified phase for each ground truth phase. For each ground truth phase, the proportion of frames assigned to each identified phase is represented by the color in the heat map (white for low proportion of frames assigned to identified step; dark blue for high proportion of frames assigned to identified step). The short “Submucosal Injection” and “Mucosotomy” phases proved more difficult for accurate classification, while later phases, despite high visual similarity, demonstrated improved performance (Color figure online)
Per-duration

The model performed best on longer duration phases as noted above. Some phases varied widely in duration (Fig. 2), so model performance was additionally analyzed on a phase duration basis. Model performance increased proportional to phase duration, with the largest jumps when the phase duration increased to over 30 s (55.1% to 72.3% accuracy) and over 5 min (77.1% to 95.4%) in length. As a proof-of-concept, we applied a forward–backward HMM, which took both past and future phase information, to improve phase identification. The HMM’s filtering boosted the model’s phase identification performance of phases with a duration under 60 s (Table 4).

Discussion

This study demonstrates that a deep-learning approach to automated operative phase identification, previously employed with laparoscopic video, translates well to endoscopic procedures with 87.6% accuracy. We obtained this accuracy with a video dataset from two institutions in different countries and a training set of only 30 videos, unlike prior studies that all used single-institution datasets and larger training sets [7, 8, 20].

Phase identification in POEM has immediate applications. It could offer real-time updates on the procedure’s progress for optimization of operating room and endoscopy suite workflow. In addition, it could automate indexing of cases for surgical libraries. Clinical decision-support systems could incorporate our “Surgical fingerprint” technology to elicit a “call a friend” prompt if portions of the case start to become complicated, as illustrated in Fig. 3. These prompts could be configurable based on operator experience, with surgeons and residents learning new procedures having lower thresholds for an assistance prompt.

Our current work is limited by the annotation granularity. Our annotation schema, with its five labels, only captures big-picture operative phases, which does not account for the smaller sub-components that, in total, comprise a phase. “Submucosal Tunnel,” for example, could be split into “Introduction of endoscope into submucosal space,” “Dissection of submucosal layer,” “Submucosal inspection of tunnel,” and “Intraluminal inspection of tunnel.” POEMNet’s lower accuracy in more complicated cases, like the Tortuous Esophagus in Fig. 3, shows the limitations of a non-granular annotation schema: it attempted to classify the non-standard deviations from a typical “Submucosal Tunnel” (e.g., closure of inadvertent mucosotomy) as more visually similar (and “surgically” correct) phase labels (“Mucosotomy Closure”). Training a machine to identify these smaller sub-components would greatly increase understanding of the operation and afford more opportunity to identify deviation phases and errors. The more granular annotation structure would create a foundation for advanced warning prior to adverse events (like mucosal perforation in POEM) and provide meaningful intra-operative findings to guide post-operative risk prediction.

Increased annotation granularity presents difficulties for current deep-learning technology because it leads to shorter temporal segments. POEMNet’s overall performance was excellent, but it struggled with phases less than 1 min in length. To our knowledge, CV model performance, on a per-phase-duration basis, has not previously been reported; other studies have only analyzed overall and per-phase performance. Some of the difficulty in the detection of short duration phases stems from inherent training issues. First, there is simply less training data available. Second, training optimizes for overall accuracy, which means the neural network self-tunes to perform best on longer duration phases to best optimize its score and complete training. To mitigate the training issues, we were able to boost the short-phase identification performance with HMM post-processing (Table 4). This HMM approach refines phase identification for a certain second with information from past and future seconds of the video, so it is only useful for offline applications after a completed procedure.

Table 4 Per-duration model accuracy

| Duration (s) | Accuracy (POEMNet) | Accuracy (POEMNet + HMM) |
|-------------|-------------------|-------------------------|
| 1–30        | 0.418             | 0.551                   |
| 31–60       | 0.643             | 0.723                   |
| 61–300      | 0.760             | 0.771                   |
| 301–600     | 0.936             | 0.954                   |
| > 600       | 0.878             | 0.900                   |

Individual phases from each video were grouped based on length, and then accuracy (total number of seconds correctly identified/total number of seconds) was calculated in aggregate. POEMNet’s accuracy increased proportionally to phase duration. We additionally assessed accuracy applying a forward–backward Hidden Markov Model (HMM) filter, which took into account past and future phase information. The HMM improved performance for phases with a duration under 60 s.
results, if the phases are long and continuous with few transitions, but will fail to predict short duration phases. Their limited memory also fails to capture long-term understanding of the procedure, which can lead to predictions of phases that happened well in the past due to “forgetting” that they already occurred. Complete understanding of a surgery at a certain time necessitates knowledge of all the procedure’s preceding events and the ability to look at different time scales. Neural network models need novel designs to afford this introspection of temporal surgical dependencies. There have been initial efforts in this area, though they do not generalize to all types of procedures and require hand-crafted knowledge of operative phase workflow to limit incorrect identification of already performed phases [21].

Annotation granularity will also present challenges for annotation consistency. The machine depends on its inputs to correctly learn. Building upon our previous work [7], we analyzed inter-annotator agreement and reliability for independently annotated data. We ensured that our three surgeons had sufficient inter-annotator reliability to train a CV model with pooled annotations, a pre-training validation step that, to our knowledge, has not previously been reported. Overall, our three annotators agreed nicely, with near-perfect agreement across most phases. The shorter phases, “Submucosal Injection” and “Mucosotomy,” did experience lower agreement, which gave differing inputs from which the machine learned. These inconsistent inputs could account for the model’s difficulties with phase identification in these shorter phases. Similarly, an annotator disagreement source centered around the transition from “Mucosotomy” to “Submucosal Tunnel,” which reflected in the model’s mis-classification of some of the former phase as the latter (Fig. 4). Improved annotation granularity requires reproducible annotation standards. The Society of American Gastrointestinal and Endoscopic Surgeons (SAGES) has recently spear-headed the effort to produce surgical video annotation standards, bringing together an international cross-disciplinary group for a Video Annotation Conference in February 2020.

With improved model design and these new annotation standards, we hope that short-phase identification will one day become a reality. AI that can perform granular phase identification promises a collective surgical consciousness, based on myriad videos and surgeons’ experiences, that can provide intra- and post-operative adverse event prevention and guide surgeons and endoscopists to performing better, and more importantly safer, procedures across the world.

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Compliance with ethical standards

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