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Artificial Intelligence-Based Pneumonia Detection via Chest X-Ray – A State-of-the-Art Review

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Abstract: Artificial intelligence (AI) has emerged as a useful tool for early detection of pneumonia disease in the lungs using chest X-ray (CXR). For pneumonia detection different machine learning, deep learning, and transfer learning algorithms are used but a detailed review comparing the dataset with literature is lacking. This review paper first briefly summarizes different AI-based algorithms on classification, regression, and clustering. Then a detailed comparison of current literature on the ground of different reliable datasets and techniques are presented. Lastly, major challenges faced over the last few years are discussed with their future scopes. Our main objective is to provide a state-of-the-art review of the AI studies detecting pneumonia disease in CXR using data comparison and find the limitations to make suggestions for practitioners.

Keywords: Artificial intelligence, pneumonia, chest X-ray, machine learning, deep learning, transfer learning, state-of-the-art.

1. Introduction

Severe pneumonia is a life-threatening bacterial disease caused by the streptococcus pneumonia bacterium that affects one or both lungs in humans [1-3]. According to Walton-Roberts and Rajan's report [4], there is a rise in the global demand for the medical profession currently fulfilled by acute domestic healthcare workers. Due to the shortage of health care profession, it is really hard to tackle the fatalities caused by Pneumonia [5, 6]. According to the World Health Organization, pneumonia is responsible for one out of every three fatalities in India (WHO) [7]. A report confirms the death of 740,180 children under the age of 5 in 2019 [8] and the mortality rate will be even worse if it is not diagnosed early [9]. Many imaging modalities are used by physicians for the early diagnosis of pneumonia.

Although it is quite difficult to make a reliable decision compared to imaging techniques like CT or MRI, due to cost and other factors, chest X-ray (CXR) is generally preferred by doctors for various diagnostic purposes [10]. By studying CXR images, radiologists can also identify pleurisy, pneumonia, nodule, effusion, atelectasis, pericarditis, cardiomegaly, pneumothorax, and many other disorders and diseases [11]. Physicians can diagnose CXR more quickly and precisely with a computer-aided diagnosis (CAD) [12]. Using CAD, chest disorders can be observed as cavitation,

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* Corresponding Author Email: <u>skbanchhor.bme@nitrr.ac.in</u> ORCID ID: 0000-0003-0406-7184 infiltrations, blunted phrenic angles, and tiny, wide-spread nodules [13, 14] on CXR pictures. To avoid the limitations of CAD such as feature extraction and feature selection researchers usually favor Artificial Intelligence (AI) based solutions.

As it is now simpler to train a computer using the vast quantity of data created every day by numerous sources and applications [15] [16, 17], AI is a compilation of intelligence that has been created artificially. AI is a broad term and is sometimes related to machine learning (ML) and deep learning (DL). To be precise, AI is the broad term or class which has ML as its subclass and DL as a sub-subclass [18, 19]. To understand the techniques used for pneumonia detection using chest X-rays, an understanding of AI-based algorithms is desirable. A discussion of classification, regression, and clustering algorithms is presented below:

1.1. Classification algorithms

Classification algorithms are mostly part of the supervised algorithm where it divides a broad class into subclasses. Based on that subclass, the new data class is predicted. Some of the classification algorithms widely used are NavieBayes, Decision Tree, Support Vector Machine (SVM), Random Forest, and K Nearest Neighbour (KNN). A brief discussion of these algorithms are presented below:

1.1.1. Navie Bayes

The Naive Bayes technique is a probabilistic-based methodology based on the Bayes theorem [20]. Each class is assigned with a probability which is updated when the data is fed inside the algorithm. The newly updated probability is known as a posterior probability. This



posterior probability is now used to select the class for the data. [21, 22].

1.1.2. Decision Tree

It is like a flowchart structure where nodes represent the test and leaves represent the result or outcomes [23]. It is like an if-else statement where the model learns by taking decisions to move on which branch. They are simple to interpret but sometimes they create an over-completed tree that is not generalized for other data and can be a cause of overfitting. [24, 25].

1.1.3. Random Forest

As the name suggests it is the forest that consists of multiple decision trees. The input is divided and fed to a separate decision tree and the average outcomes from all decision trees are considered [26]. Since it consists of multiple decision trees removing a node doesn't affect much as the tree are randomly selected [27].

1.1.4. SVM

Support Vector Machines are used for both regressions as well as classification. In this technique, a virtual plane is created which tries to keep the distance of the plane and support vector as large as possible [28]. We can use Scalar Vector Classifier (SVC), Nu SVC, and Linear SVC for classification purposes. SVM is also highly effective in high dimension spaces. Overfitting issues arise if the feature size is larger than the sample size. kernel functions and regularisation are generally used to avoid this problem. [29] [30].

1.1.5. KNN

In KNN, the number of classes is known a prior. The data points are clustered based on random cluster centers. Now, the clusters are modified based on new cluster centers which are calculated using the K-nearest neighbor approach. The above steps are repeated till no new cluster centers are formed. [31-33].

1.2. Regression algorithm

In a regression problem, there is an attempt to predict a continuous output, i.e. to translate an input variable to a continuous function [34]. The most commonly used regression algorithms are discussed below:

1.2.1. Linear Regression

It is the simplest regression technique that draws a straight line between the data point and tries to reduce the cost function by optimizing the parameter of the function. The new point is predicted based on the equation of the line [35, 36].

1.2.2. Lasso Regression

Similar to linear regression, Lasso regression involves a

shrinking approach where the data points are contracted towards a point with the lowest prediction errors [37, 38].

1.3. Clustering algorithm

Clustering (an unsupervised learning technique) groups the data points based on shared features [39]. The most common clustering algorithms are Fuzzy C-means, K-Means, Hierarchical, etc.

So basically ML is the part of the AI, which makes a machine able to think with the minimum human intervention [40, 41]. While DL is like imitating the human brain. For example, the neural network model is highly influenced by the human neutron, where dendrites are feeding the feature and after processing neuron transfer it to another neuron with the help of an axon. A neuron is linked with multiple other neurons for processing [42, 43]. Transfer learning (TL), on the other hand, is a semisupervised technique for utilizing an existing model that was created for a different purpose [44]. In the case of CXR, we have very few images, and training a model completely on medical images is not feasible, as it will not learn several simple parameters like boundary detection, void detection, etc. So for edge detection, we already have some predeveloped models like Cellular automata, Hueckel's model, 2-D random field model, and many more [45-47], therefore, one can easily analyze the CXR data on this pre-trained model. TL is advantageous since it saves time because many of the features have already been learned [48].

Recent advances in AI-enhanced systems and graphic processing unit availability have enabled AI developers to work on more image-related data. Due to this reason, the number of studies performed on AI in the last six years has increased dramatically. In this review paper, we had examined the literature from the last six years and presented a detailed comparison on the ground of different reliable datasets and techniques used. The performance is compared and major challenges and future scope are presented.

2. Search Strategy

A thorough literature search was conducted in Web of Science, Google Scholar, Scopus, PubMed, and Embase to retrieve all of the relevant scientific work done before in this domain. We started with the most recently published study and worked our way back till the year 2015. Before 2015, the majority of papers were focused on the retrieval of textual material from CXR and making decisions that are out of the scope of the current study. We have also excluded papers related to COVID-19, published papers other than the English language, and studies with no validation.

3. Comparison of Different Datasets Used in the Literature

The datasets used by prior studies are shown in Table 1.

Figure 1 presents the number of images present in the various dataset and Figure 2 presents the usage of datasets (in %) in the literature. It was observed that prior studies on pneumonia detection usually suffer from the limitation of small datasets. Antani et al. [49] tried to overcome this limitation by assembling a large number of datasets which includes JSRT (247 radiographs) [67], Montgomery (138 CXR) [68], Shenzhen (662 CXR), Indiana, and India datasets, respectively. As all the data were not classified, the major challenge faced by this study was the imbalanced dataset. Later, Wang et al. used the ChestX-ray14 dataset [69] that consisted of 112,120 CXR images (frontal view) synthesized between the years 1992 to 2015. Rajpurkar et al. [50] and Toğaçar et al. [54] utilized the same dataset in their respective models, namely; the Chexnet model and ensemble model, respectively. Antin et al. [51] and Rajaraman et al. [52] used the Mendeley dataset (widely known as the Kaggle dataset). The Kaggle dataset is divided into three folders: one for training, one for testing, and one for validating the model. Although the Kaggle dataset has fewer images than ChestX-ray14, it was more popular among researchers because of its high-quality images that were tagged with Pneumonia/Normal using the Natural Language Processing (NLP) technique. From Figure 2, it can be observed that a majority of the researchers have chosen the Kaggle dataset.



Fig. 1. Collection of images in the various dataset



Fig. 2. Usage of the datasets in the literature

Fable 1: Comparison of datasets used in the literatu	ire
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Author	Yea r	Dataset used	Total images	Test image s	Train image s	Additional information	
Antani, et al. [49]	201 5	JSRT, MC X-ray set, and Shenzhen	5440	138	5302	2048 x 2048 pixel images with grayscale depth of 12 bits	
Rajpurkar et al. [50]	201 7	ChestX-ray14	104988	6351	98637	consist of 14 label diseases	
Antin, et al. [51]	201 7	Kaggle	5856	624	5232	JPEG images divided into (Pneumonia/Normal)	
Rajaraman et al. [52]	201 8	Kaggle	5856	624	5232	JPEG images divided into (Pneumonia/Normal)	
Abiyev and Ma'aitah [53]	201 8	ChestX-ray14	112120	33636	78484	consist of 14 label disease	
Toğaçar et al. [54]	201 9	ChestX-ray14	6653	2559	4094	consist of 14 label diseases	

Author	Yea r	Dataset used	Total images	Test image s	Train image s	Additional information
Altiparmakis [55]	201 9	Kaggle	5656	440	5216	JPEG images divided into (Pneumonia/Normal)
Sirazitdinov et al. [56]	201 9	Kaggle and Mendeley	26684	1000	25684	JPEG images divided into (Pneumonia/Normal)
Sousa, et al. [57]	201 9	Kaggle	5856	624	5232	JPEG images divided into (Pneumonia/Normal)
Bhandary et al. [58]	201 9	Kaggle	4000	2000	2000	JPEG images divided into (Pneumonia/Normal)
Acharya et al. [59]	202 0	Kaggle	5628	300	5328	JPEG images divided into (Pneumonia/Normal)
Mittal et al. [60]	202 0	Kaggle	4978	878	4100	JPEG images divided into (Pneumonia/Normal)
Wu et al. [61]	202 0	Kaggle	5839	1928	3911	JPEG images divided into (Pneumonia/Normal)
Islam et al. [62]	202 0	Kaggle	5856	624	5232	JPEG images divided into (Pneumonia/Normal)
Rahman et al. [63]	202 0	Kaggle	5247	419	4824	JPEG images divided into (Pneumonia/Normal)
Chouhan et al. [64]	202 0	Kaggle	5866	634	5232	JPEG images divided into (Pneumonia/Normal)
Sarkar et al. [65]	202 0	Kaggle	5856	1168	4688	JPEG images divided into (Pneumonia/Normal)
Liang and Zheng [66]	202 0	Kaggle	5856	624	5232	JPEG images divided into (Pneumonia/Normal)

4. Comparison of Different Techniques Used in the Literature

Techniques used in the literature can be divided into three broad categories, namely (a) Pure algorithm-based, (b) CNN-based, and (c) TL-based. Evaluation metrics namely; accuracy [70], precision [71], recall [71], and F1 score [72] are extensively used in these studies. Comparison of techniques and evaluation parameters are shown in Table 2 and comparison of accuracies are presented in Figure 3.

In 2015, before Antani et al. [49], most of the studies on

pneumonia detection used NLP (the textual content printed on the CXR) to train their model. But with the advancement in DL, image features start to play a vital role. Antani, et al. [49] used CXR images on a lung segmentation algorithm to detect contours that indicate the disease. Since it was the beginning of the usage of images as detection parameters, the algorithm produced an accuracy of 0.783. Even if the accuracy was low, Antani et al.'s work provides an idea to other researchers to use CXR images features. In 2017, Rajpurkar et al. [50] proposed a CheXNet model based on 121 layer CNN. The CheXNet model takes the CXR pixel as its feature and produce the output for 14 different lung disease including pneumonia. The study obtained an area under the curve (AUC) of 0.768. CheXNet model proposed by Rajpurkar et al. is DenseNet121 trained on ChestXray14 dataset. DenseNet-121 is a 121 layers neural network consisting of five convolutions and pooling layers, one classification layer, three transition layers (6,12,24), and two dense blocks (1x1 and 3x3 Conv) [73]. Following Rajpurkar et al., Antin, et al. tried DenseNet-121 with logistic regression [74] and applied random horizontal flip on the CXR images, and observed an AUC of 0.6037 [51]. It was observed that Antin's model cannot replicate the performance of Rajpurkar, the reason was the lesser number of positive pneumonia samples as compared to nonpneumonia samples, causing bias usually known as the data imbalanced problem [75]. To solve this bias, Rajaraman et al. [52] customized the VGG-16 model [76] [77] with global average pooling (GAP) [78, 79]. This proposed VGG-16 model can effectively learn the complex data, thus reducing the bias and improving the generalization. Accuracy of 0.962 was achieved by the VGG-16 model. In the same year, Abiyev and Ma'aitah [53] worked on a back-propagation neural network (BpNN) and competitive neural network (CpNN) [80] [81]. The CpNN can be trained faster and BpNN can reduce the error gradient. The model achieved an accuracy of 0.924.

In 2019, Toğaçar [54] ensembled the AlexNet [82-84] and the VGG-16 model used by Rajaraman et al. [52] and concatenates it with GG-19 where the mRMR (Minimum Redundancy Maximum Relevance) approach improved classification efficiency by lowering feature set dimension. The model achieved an accuracy of 0.994. Since the dataset used by Toğaçar has very few sample images therefore there were high chances of overfitting. Altiparmakis [55] tried to solve this issue by modifying the ResNet-50 model [85] by taking the top layer as GAP and also adding ridge regression and dropout for regularization and achieved an accuracy of 0.964. While Altiparmakis tried to solve the overfitting issue, Sirazitdinova et al. [56] found that it is very hard to detect pneumonia region as it is very small. To tackle this problem, Sirazitdinova et al. used the Feature Pyramid Network (FPN) principle in the backbone of RetinaNet and Mask-CNN ensemble model [86]. FPN can produce multiscale feature maps with higher quality data as compared to the typical feature pyramid. In contrast to conventionally stacked convolutional layers, FPN employs residual networks [87] as a basis backbone model since it decreases the influence of deterioration and allowed for developing deeper models. The model attained an accuracy of 0.838.

Sousa et al. [57] completely focused on CNN and had used 50 different CNN architectures to achieve an accuracy of 0.954. Bhandary et al. [58] modified AlexNet [88] and used Principle Component Analysis to enhance the feature vector. The performance of this DL structure was evaluated using the Lung Image Database Consortium-benchmark, Infectious Disease Research Institute lung cancer CT images. The model achieved an accuracy of 0.87.

In 2020, Acharya et al. [59] observed that the deep siamesebased neural network (originally proposed by Wang in 2017) worked very well on symmetric images and hence can be applied to the chest images [89]. In this approach, the model was trained to flip the CXR. Each CXR left-side was flipped to make it right and the network was trained on examining each portion of the chest. Because of flipping, the network can work on small datasets. The model achieved an accuracy of 0.967. For improving the classification, Mittal et al. [60] utilized the CapsNet model [90] [91] [92] and trained it with CXR images. Although the CapsNet model achieved an accuracy of 0.94, convolutions and capsules were formed using the trial-and-error approach in ICCs and ECCs which is inefficient for establishing a good classification or generative model [93]. Wu et al. [61] solve the issue of image classification using the CNN-RF model which has previously given good results for the image classification task, along with good classification it also reduces the computation time [94, 95]. CNN-RF model achieves the accuracy and sensitivity of 0.956 and 0.95, respectively.

A recent approach to tackle the issue of fewer databases is the TL-based approach [96-98]. With a small data size, it is very hard for a model to train on the edge [99, 100]. This problem can be solved by following a two-step solution. In the first step, edge training is performed with the available public dataset and in the next step, this result is fed to the model which can significantly increase the performance. This is the fundamental concept of the TL-based approach. Islam et al. [62], Rahman et al. [63], and Chouhan et al. [64] used the TL-based approach [101]. Islam et al. worked on Squeezenet [102] and Inception V3 [103-105] ensembled architecture and observed accuracy of 0.989 while Rahman and Chouhan worked on Alextnet [62, 105] and ResNet-50 model and achieved accuracies of 0.988 and 0.954, respectively. In the same year, Sarkar et al. [65] improve the detection accuracy of pneumonia clouds (0.983) by working on the Deep separable residual learning method [107, 108]. For edge preservation, bilateral filtering was used and contrast limited adaptive histogram equalization was achieved by using an optimal image enhancement. Very recently, Liang and Zheng [66] proposed a method that utilized residual structure to address the depth model's overfitting and degradation issues. The method can tackle the overfitting issue and achieve an accuracy of 0.905.



Fig. 3. Accuracy comparison of the studies

5. Ongoing Challenges and Future Scope

Small and unbalanced data size are the two major issues faced by the current studies, which if cared off can improve the accuracy. After 2020, the COVID-19 cases had increased the false detection rate, thus proposed models must be adjusted for both pneumonia and COVID-19. Although the studies had achieved high accuracy but still lack real-time testing and detection of pneumonia cases. This review paper has included only studies related to CXR images which can be further extended with other imaging techniques.

6. Conclusion

This study provides a detailed overview of the pneumonia detection techniques using CXR images. It summarizes the topic, analyzing the usability, accuracy, and sensitivity of each study. All the datasets used by the studies are freely available and accessible with the Kaggle dataset preferred the most. We had observed that the AlexNet model was highly preferred by the researchers and yielded very high accuracies. Lastly, the available dataset needs to be balanced.

Fable 2:	Comparison of	of techniques	and evaluation	parameters used	in the literature
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Author	Year	Technique Used	Accuracy	Precision	Recall	F1 score
Antani, et al. [49]	2015	Lung segmentation algorithm	0.783	0.741	0.741	0.741
Rajpurkar et al. [50]	2017	CheXNet	0.768 (AUC)	NA	NA	0.435
Antin, et al. [51]	2017	Logistic Regression, and DenseNet121	0.604 (AUC)	NA	NA	NA
Rajaraman et al. [52]	2018	Customized VGG16 model, and GAP	0.962	0.962	0.938	0.95
Abiyev and Ma'aitah [53]	2018	CNN, CpNN, and BpNN	0.924	NA	NA	NA
Toğaçar et al. [54]	2019	AlexNet, VGG-16, and GG-19	0.994	0.996	0.992	0.994
Altiparmakis [55]	2019	ResNet-50	0.964	0.963	0.988	0.975
Sirazitdinov et al. [56]	2019	RetinaNet and Mask R-CNN	0.838	0.759	0.793	0.776
Sousa, et al. [57]	2019	CNN	0.954	0.933	0.997	0.964
Bhandary et al. [58]	2019	MAN-SVM (Modified alexnet)	0.870	0.881	0.858	0.869
Acharya et al. [59]	2020	Deep Siamese based neural network	0.967	0.97	0.98	0.975
Mittal et al. [60]	2020	CapsNet (Convolutions and Dynamic Capsule Routing)	0.940	0.971	0.945	0.958
Wu et al. [61]	2020	CNN-RF	0.956	0.9	0.95	0.924

Author	Year	Technique Used	Accuracy	Precision	Recall	F1 score
Islam et al. [62]	2020	SqueezeNet and Inception-v3	0.989	0.995	0.987	0.991
Rahman et al. [63]	2020	AlexNet, ResNet18, DenseNet201, and SqueezeNet	0.988	0.986	0.991	0.988
Chouhan et al. [64]	2020	AlexNet,DenseNet121,InceptionV3,ResNet18, and GoogLeNet neural network	0.954	0.934	0.998	0.965
Sarkar et al. [65]	2020	Deep separable residual learning	0.983	0.984	0.993	0.988
Liang and Zheng [66]	2020	CNN	0.905	0.891	0.667	0.927

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