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Combining knowledge- and data-driven methods for de-identification of clinical narratives

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ABSTRACT

A recent promise to access unstructured clinical data from electronic health records on large-scale has revitalized the interest in automated de-identification of clinical notes, which includes the identification of mentions of Protected Health Information (PHI). We describe the methods developed and evaluated as part of the i2b2/UTHealth 2014 challenge to identify PHI defined by 25 entity types in longitudinal clinical narratives. Our approach combines knowledge-driven (dictionaries and rules) and data-driven (machine learning) methods with a large range of features to address de-identification of specific named entities. In addition, we have devised a two-pass recognition approach that creates a patient-specific run-time dictionary from the PHI entities identified in the first step with high confidence, which is then used in the second pass to identify mentions that lack specific clues. The proposed method achieved the overall micro F_1-measures of 91% on strict and 95% on token-level evaluation on the test dataset (514 narratives). Whilst most PHI entities can be reliably identified, particularly challenging were mentions of *Organizations* and *Professions*. Still, the overall results suggest that automated text mining methods can be used to reliably process clinical notes to identify personal information and thus providing a crucial step in large-scale de-identification of unstructured data for further clinical and epidemiological studies.

1. Introduction

A recent promise and the potential of wider availability of data from Electronic Health Records (EHRs) to support clinical research are often hindered by personal health information that is present in EHRs, raising a number of ethical and legal issues. De-identification of such data is therefore one of the main pre-requisites for using EHRs in clinical research. As a result, there is a growing interest for automated de-identification methods to ultimately aid accessibility to data by removing Protected Health Information (PHI) from clinical records. De-identification of unstructured data in particular is challenging, as PHI can appear virtually anywhere in a clinical narrative or letter. This task is often considered as Named Entity Recognition (NER), where mentions of specific PHI data types (e.g. patient names, their age and address) need to be identified in the text of clinical narratives.

Automated de-identification of unstructured documents has been a research topic for more than twenty years. As early as 1996, Sweeney et al. proposed a rule-based approach to recognize twenty five overlapping entity types they identified as PHI in EHRs [1]. Since then, a large number of systems have been introduced, including knowledge-based [2–5] and data-driven [6–11], as well as hybrid [12–14] methods that combine various approaches. In terms of types of clinical narrative, previous de-identification research has explored varied clinical documents such as discharge summaries [11,15], pathology reports [9], nursing progress notes [2] and mental health records [4].

The 2006 i2b2 de-identification challenge [15] was the first effort to provide a common test-bed for eight PHI entity types (mentions of *Patients*, *Doctors*, *Hospitals*, *IDs*, *Dates*, *Locations*, *Phone numbers* and *Age*) in clinical discharge summaries. The submitted systems ranged from rule-based [5] and machine-learning (ML) methods (e.g. using Conditional Random Fields [13], Hidden Markov Models [13], and Decision Trees [8]) with a wide range of features, to hybrid approaches (e.g. combining rules and Support Vector Machines [12]). A notable observation across

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methods was the use of knowledge-driven techniques (in particular rules) both for the direct recognition of PHI and in support of data-driven and hybrid methods. For example, rules were used as features in ML models (e.g. indicating whether a particular rule was triggered) [12], as a post-processing correction module [13] or combined with data-driven results at the final step (e.g. integration of ML and rule-based annotations) [14]. This trend was often motivated by the presence of a number of categories that are characterized by regularized expressions (e.g., date, phone, zip/postcode, and identification numbers), which make rules an efficient modeling technique. In general, the 2006 shared task showed that data-driven methods with features generated by rules for regularized expressions performed best [8,13]. They were followed by hybrid methods [12], while the pure rule-based systems proved to perform less well [5].

The 2014 i2b2/UTHealth [16] Shared Task in de-identification [17] of longitudinal clinical narratives focused on 25 entity types, inclusive of twelve types as defined by the Health Insurance Portability and Accountability Act (HIPAA). The entity types were grouped into seven main categories: *Names* (e.g., patient and doctor names), *Profession*, *Locations* (e.g., street, city, zip code, organizations), *Contacts* (e.g., phone, fax, email), *IDs* (e.g., medical record, identification number), *Age* and *Dates*. The organizers provided a fully annotated mention-level training dataset, as well as a test dataset for the evaluation. This paper describes a hybrid method that integrates the results of knowledge- (dictionary- and rule-based components) and data-driven methods. We present the results and further discuss the challenges in the de-identification task.

2. Methodology

The training data (790 narratives, 460,164 tokens) was released in two batches by the organizers. We have used the first batch (521 narratives, 316,357 tokens) for the initial design of the methods, whereas the second batch (269 narratives, 143,807 tokens) was used as a development set for validation and tuning. The initial analysis of the training data confirmed that some of the entity types are more lexically closed (e.g. country and city names) or regularized (e.g. zip codes, phones, etc.) than the others (e.g. patient and doctor names). The methods developed have largely followed that observation, devising a hybrid approach aiming to combine different methods where appropriate. Fig. 1 shows an overview of the system, and the steps are detailed below.

2.1. Pre-processing

The narratives were pre-processed with *cTAKES* [18] and *GATE* [19] to provide basic lexical and terminological features, including tokenization, sentence splitting, part-of-speech tagging and chunking.

2.2. Dictionary- and rule-based taggers

The dictionary-based taggers were used for the *Hospital*, *City*, *Country, State, Profession* and *Organization* entity types. The dictionaries (see Supplementary material for the full list) were collected from open sources such as Wikipedia, GATE and deid [2,20]. We have merged the entity-specific term lists from these sources and then manually filtered the resulting dictionaries to exclude ambiguous terms.

The rule-based tagger included a set of rules that exploited several types of features including the output of the dictionary-based taggers to recognize entities. Five feature types were used in the rule engineering:

1. *Orthographic* features, which include word characteristics such as *allCapitals*, *upperInitial*, *mixedCapitals*, or *lowerCase*; as well as token/word length.
2. *Pattern* features, which include common lexical patterns of specific entity types as derived from the training data set e.g., date (e.g., DD-MM-YYYY), zip (XXXX), telephone number (XXX-XXX-XXXX) and so forth.
3. *Semantic/lexical* cues or entity types. For example, *Street* names often include lexical cues such as 'street', 'drive', 'lane', *State* (e.g., "DC", "CA", etc.), and so forth.
4. *Contextual* cues that indicate the presence of a particular entity type. They include specific lexical expressions (e.g., person and doctor titles, months, weekdays, seasons, holidays, common medical abbreviations, etc.), symbols (e.g., bracket and colon, e.g. used for *Username* and *Medical record* respectively), and other special characters such as white space and newline.
5. *Negative* contextual cues (e.g., lexical and orthographic) are used for disambiguation (e.g., for entity types that are similar e.g., phone and fax number, patient and doctor names).

Using the combination of these features enabled us to craft a relatively small rule set of 5 rules on average per entity type (the minimum of 1 for zip, fax and email, and the maximum of 11 for age). The rules were developed using Java Annotation Patterns Engine (JAPE) [19] and Java regular expressions. An example rule is given in Table 1.

2.3. ML-based tagger

As target entities comprise spans of text, we approached the task as a token tagging problem and trained separate Conditional Random Fields (CRF) [21] models for each entity type. We used a token-level CRF with the Inside–Outside (I–O) schema [22], for each of the entity types separately. In this schema, a token is labeled with *I* if it is inside the entity span and with *O* if it is outside of it. For example: in sentence "*Saw Dr. Oakley 4/5/67*", token "*Oakley*" will be tagged as *I_Doctor* (inside a doctor's name), whereas all other tokens will be annotated as *O_Doctor* (outside doctor's name). This schema provides more examples of "inside" tokens to learn from than the other schemas (e.g. the Beginning–Inside–Outside, B–I–O), and in our case, it also provided satisfactory results during training.

The feature vector consisted of 279 features for each token (see Supplementary material for the full list of features), representing the token's own properties (e.g. lexical, orthographic and semantic) and context features of the neighboring tokens. Experiments on the development set with various context window sizes showed that two tokens on each side provide the best performance. The following features were engineered for each token:

1. *Lexical features* included the token itself, its lemma and POS tag, as well as lemmas and POS tags of the surrounding tokens. Each token was also assigned its location within the chunk (beginning or inside). All chunk types returned by *cTAKES* (see Supplementary material for the full list) were considered for this feature.
2. *Orthographic features* captured the orthographic patterns associated with gold-standard entity mentions. For example, a large percentage of hospital mentions are acronyms (e.g., *DHN*, *EHMS*), doctor and patient names are usually capitalized (e.g., *Xavier Rush*, *Yosef Villegas*), dates contain digits and special characters (e.g., "2069-04-07", "04/07/69"), etc. We engineered two groups of orthographic features. The features in the first group captured standard orthographic characteristics (e.g., is the token capitalized, does it consist of only capital letters, does it contain digits, etc.). The second group aimed to further model
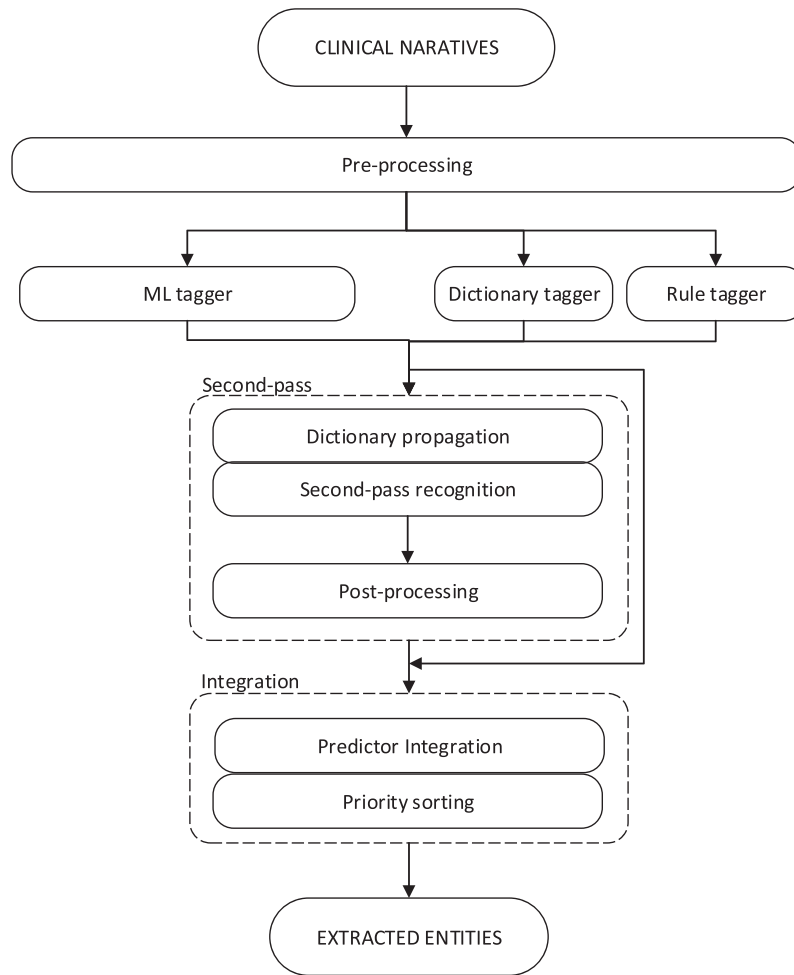
Fig. 1. System architecture.

Table 1
Example of a rule. Row 2 shows a rule for capturing a subset of *Street* mentions. The rule uses four types of features (pattern, orthographic indicators and semantic/lexical and contextual clues).

Feature type	Pattern {RegEx} = [1-9][0-9]*	Orthographic {ORTHO} = {upperInitial, allCapital, . . .}	Semantic/Lexical {STREET_CLUE} = {Street, St, Drive, Dr, . . . }	Contextual {SYMBOL} = {∅, '.'}
A rule	{RegEx} {ORTHO} {STREET_CLUE}{SYMBOL}			
In text	. . .62 Angora Dr. . . .			
	. . .1 Jefferson Road. . .			
	. . .55 Bury St. . .			

the token's orthographic pattern using an abstract representation where each upper-case letter is replaced with "X", lower-case letter with "x", a digit with "d" and any other character with "S". Two features were created in this group: the first feature contained one mapping for each character in a token (e.g., *BrightPoint* was mapped to "XxxxxxXxxxx"); the second feature mapped a token to a four character string that contained (binary) indicators of a presence of a capital letter, a lower case letter, a digit or any other character (absence was mapped to a "_"), e.g., *BrightPoint* was mapped to "Xx_ _".

3. *Semantic features* indicate if a given token represents an entity of a specific category. These features were extracted using dictionary matching for US states and cities, calendar months, professions and profession hints (e.g., "*worked for*", "*retired from*", etc.). A feature that captures whether a token is likely to represent a US zip code was also extracted using a regular expression.

4. *Positional features* included the absolute position of the line containing the token (in order to utilize the semi-structured nature of clinical narratives) and a binary feature indicating the presence of a space character between the current and the next token (to capture the cases where a single annotation unit was tokenized in multiple tokens e.g., the following date '2069-04-07' is tokenized in five tokens: '2069', '–', '04', '–', '07').

We initially constructed ML models for each entity category present in the training data. After the validation using the development dataset and comparison with the results of the rule-based component, we opted for separate ML models for the following entity types: *City*, *Date*, *Hospital*, *Organization*, *Profession* and *Patient*. Each of the models was trained on a particular sub-set of features (determined by using a development set from the training data).

The output of the ML models was post-processed by a set of manually crafted rules with the goal of expanding the resulting tags (reducing false negatives) or removing them (reducing false positives). The rules were designed to capture the context (neighboring tokens) of an ML tag. For example, if the token was tagged as a *Hospital*, its first letter was a capital letter and one of the nearby tokens is the word '*Hospital*' then the whole window between that token and '*Hospital*' was tagged as a *Hospital* (e.g., '*Barney Convalescent Hospital*'). Another type of rule is removing the *Date* tag of a token that has more than two '/' characters in its neighborhood e.g., '*140/4.0/107/25.7/32/1*'.

Along with our CRF model we have used another ML-based tagger i.e., the *Stanford Named Entity Recognizer* [23] to obtain additional annotations of *Organizations*; it was only applied on sentences that contained specific contextual indicators of the entity type (e.g., "*works in*", "*runs*", "*church*", "*lodge*", etc.). The output of the tagger was directly added to the final output of the system.

2.4. Second-pass recognition

In order to capture PHI mentions that lack local contextual cues implemented by steps II and III, we devised a 'two-pass' approach. Specifically, for each entity type, initial annotations were extracted at the patient-level (the dataset contained up-to five narratives per patient) using the methods described in steps II and III. These are then collected into a temporary, run-time patient-level dictionary, which is filtered to remove ambiguous terms and obvious false positives. This filtering was based on a set of terms obtained from the analysis performed on the development set. The patient-specific dictionary is then used for the 'second-pass' dictionary matching (using longest string matching) on the narratives belonging to that patient.

2.5. Integration module

This component integrates the results from the previous steps into different submissions, merging the tags (at the mention-level) derived from different components (see below). The submission combinations were determined based on the performance achieved during development and specifically based on the 'strict text matching' results. Three different submissions were created.

In all of the submissions, we relied on rules only (i.e. no dictionaries or ML) for *Age, Street, Zip, Email, Fax, Phone, Username, Identification number* and *Medical record*. The dictionary and rules were combined for *Country* and *State;* and the dictionary and ML results were integrated for *City, Hospital, Organization* and *Profession*. The three submissions differed only in annotations used for *Date, Doctor* and *Patient* mentions (see Supplementary material for the complete submission schema; Fig. 2 illustrates Submission 3):

- Submission 1 included only rule-based approaches for *Date, Doctor* and *Patient*; this submission aimed at optimizing precision.
- Submission 2 targeted recall and integrated – on top of Submission 1 – all ML models for *Date, Doctor* and *Patient*.
- Submission 3 aimed to optimize the F_1-measure: it included Submission 1 and the ML model for *Date* and *Patient*.

To deal with the integration of overlapping tags from multiple categories (i.e. conflicting annotations) we have developed a priority sorting approach. A frequent example were confusions between *Doctor* and *Patient* (given that both are personal names), and *Age* and *Date* (e.g., "80's"). Based on the results during development, we have defined specific priorities for each of the categories, for
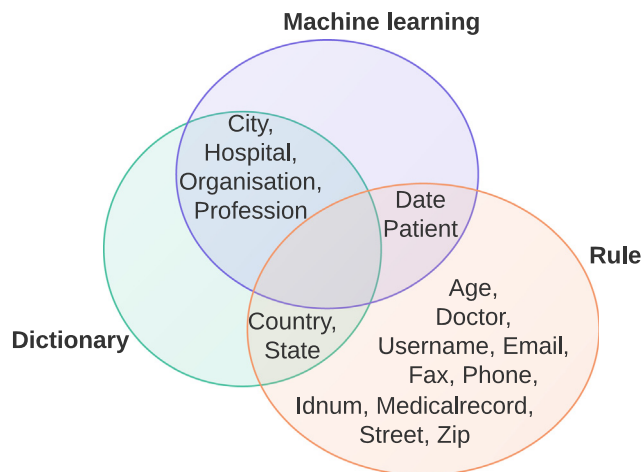

Fig. 2. Proposed methods for NER of PHI.

example, *Doctor* was "preferred" over *Patient*, while *Age* was "preferred" over *Date*, etc. (see Supplementary material for the full list of priorities assigned to categories). During the integration, multiple categories assigned to a span were sorted by priority and the one with the highest priority was chosen as the final tag.

3. Results and discussion

The PHI entity recognition results on the test dataset (514 narratives, 297,459 tokens) are given in Table 2. There were three official evaluation measures based on different matching strategies: *token level matching* that requires at least one token of the gold standard span and the resulting span to match; *text strict matching* that requires an exact match of the gold standard span with the resulting span, and the *HIPPA strict matching* that considers only the categories that are in the strict interpretation of the HIPAA guidelines (see Supplementary material for the full list). Our third run provided the best micro-average F_1-measure (90.65%) along with the highest precision (93.06%) and was officially ranked second best in the challenge based on token level matching (both when considering all PHI and HIPAA only entity types) and third when considering all PHIs (text strict matching).

The results of our runs mostly concur with the aim of each of the submissions, with the exception of Submission 1 that had a slightly lower precision than Submission 3, which is likely due to the fact that the ML model for the *Date* category (Submission 3) provided slightly higher precision than the rule-based tagger included in Submission 1 (data not shown). The token-level matching scores were significantly higher (around 4% across all the measures). There are several reasons for this: there were fewer false negatives (1334 for token-level vs. 1728 for the strict matching), which indicate that both the ML and the rule-based approaches would benefit from a better method for boundary adjustment. Furthermore, the correctly recognized gold standard entities have 64% of terms of a length greater than one, which consequently resulted in the increase of true positives at the token-level evaluation.

We note that our results on the development set are fairly consistent (less than 1% F_1-measure, see Table 3) compared to the test evaluation results shown in Table 2 (i.e., there was not much over-fitting present), indicating a generalizable methodology.

The results for different PHI categories for Submission 3 (see Table 4) indicate that well-defined and structured categories such as *Age, Date, Email, Idnum, Medical record, Phone, Street* and *Zip* can be extracted with high F_1-measure (over 94%). On the other hand,

Table 2
Micro-averaged results on the test data (514 narratives). (P = precision; R = recall; F = F_1-measure).

	Token level matching			Text strict matching			HIPAA strict matching		
	P%	R%	F%	P%	R%	F%	P%	R%	F%
Submission 1	97.11	86.49	91.49	93.02	81.94	87.13	**94.46**	82.80	88.25
Submission 2	96.55	**93.16**	**94.82**	91.73	**88.50**	90.09	93.11	92.00	92.55
Submission 3	**97.22**	92.50	94.80	**93.06**	88.36	**90.65**	94.37	**92.13**	**93.23**

Table 3
Micro-averaged results on the development set (269 narratives).

	Token level matching			Text strict matching			HIPAA strict matching		
	P%	R%	F%	P%	R%	F%	P%	R%	F%
Submission 1	97.56	88.71	92.92	**94.26**	84.03	88.85	96.63	84.06	89.91
Submission 2	96.8	**93.99**	**95.37**	92.56	**89.11**	90.8	95.21	**91.34**	**93.24**
Submission 3	**97.63**	93.11	95.31	93.73	88.68	**91.13**	**95.65**	90.94	93.23

Table 4
Per category performance on the test data, submission 3 (text strict matching).

Category	Entity type	Frequency	Precision (%)	Recall (%)	F-measure (%)
AGE	*Age*	764	97.49	91.62	94.47
DATE	*Date*	4980	95.52	95.58	95.55
CONTACT	*Email*	1	100.00	100.00	100.00
	Fax	2	33.33	50.00	40.00
	Phone	215	96.57	91.63	94.03
LOCATION	*City*	260	83.95	78.46	81.11
	Country	117	83.65	74.36	78.73
	Hospital	875	81.88	76.46	79.08
	Organization	82	40.48	20.73	27.42
	State	190	92.00	84.74	88.22
	Street	136	96.92	92.65	94.74
	Zip	140	100.00	94.29	97.06
ID	*Idnum*	195	90.53	78.46	84.07
	Medical record	422	96.03	91.71	93.82
NAME	*Doctor*	1912	96.56	83.79	89.80
	Patient	879	88.14	84.53	86.30
	Username	92	100.00	95.65	97.78
PROFESSION	*Profession*	179	59.17	55.87	57.47

ambiguous (and potentially contextually dependent) categories such as *City*, *Country*, *Doctor*, *Hospital*, *Patient* and *State* were slightly more complex with F_1-measure varying between 79% and 90%. Finally, the categories that are lexically variable and have low frequency (in both the training and test data) proved to be challenging, with the method achieving F-measures of 57% (*Profession*) and 27% (*Organization*). *Organization*, in particular, was a relatively infrequent (124 mentions in the 790 narratives in the training data) and broadly defined category (see below).

Based on the experiments conducted during the development phase, the two-pass recognition method was found to be effective for the following entity types: in the rule-based components: *Patient*, *Doctor*, *Zip*, *Medical record number*, and *Identification number*; for the ML-based taggers: *City*, *Hospital* and *Patient*. We further evaluated the impact of the proposed *two-pass recognition* method on the test set for the relevant entity types (see Table 5). Five of the seven entity types on which we applied this method showed a gain of 2–7% F_1-measure; four entity types showed a gain of 3–9% in recall and three entity types showed a gain of 5–7% precision.

The notable gain in precision was unexpected. A closer examination showed that the dictionary filtering step was the main factor in this regard. These results are consistent with the training dataset (not shown), indicating that two-pass recognition can be a useful method for de-identification of longitudinal clinical notes.

Another characteristic of our method is the integration of knowledge- and data-driven methods. An analysis on the test dataset results showed notable gains for a number of entity types. We observed gains in F_1-measure for *Patient* (+4.37%), *City* (+13%), *Hospital* (+1%), and *Date* (1.5%). Two special cases where our knowledge-driven component had the greatest impact were *Organization* (+25%) and *Profession* (+56%). Extremely poor performance of our ML models on these categories (~1% F-measure) is due to their low frequency in the training data and lexical broadness (see below). We note that despite expected low impact of the two ML models, we decided to include them in the final pipeline because our dictionary-based components for *Profession* and *Organization* also had low results during development (compared to other entity types).

We performed the error analysis on the whole test data set. Five major error categories have been identified. The first category comprises both FNs and FPs due to lack of representative features or training data. Typical examples are *Organization* and *Profession* as broadly defined, ambiguous, context dependent and infrequent (in terms of the gold standard mentions) entity types. Our features were not able to capture all possible variations of *Organizations* ('Vassar', 'army', 'catering business', 'weight room', etc.) and *Professions* ('Personnel Officer', 'mathematics', 'Ground Transit Operators Supervisor', 'model planes', 'veteran', 'Craftperson', 'Justice of the peace', etc.). FPs belonging to this category of errors were the consequence of context dependence, most evident with *Profession* type e.g., 'with assistance from the plumber', 'use pill cutter', 'lab tech'.

Opting for the token level CRF contributed notably to drop in performance in terms of the strict measures. Large portion of FNs was due to the models correctly tagging only a subset of tokens of the gold standard annotations. This was the case for most of the entity types considered by ML e.g. (correctly tagged tokens are underlined): *Doctor* ('Johnathan <u>Kiefer</u>'), *Patient* ('Clarence H. <u>HESS</u>'), *City* ('<u>Cape Cod</u>'), *Profession* ('Ground Transit <u>Operators Supervisor</u>'), etc.

Specific feature groups generated a subset of FPs i.e., lexical features produced confusions between first names of doctors and

Table 5
Impact of the two-pass recognition method on the test set.

Entity type	No two-pass			With two-pass			Δ		
	P (%)	R (%)	F (%)	P (%)	R (%)	F (%)	P (%)	R (%)	F (%)
Patient	81.65	75.60	78.51	86.73	84.76	85.73	**+5.08**	**+9.16**	**+7.22**
City	77.69	75.00	76.32	83.95	78.46	81.11	**+6.26**	**+3.46**	**+4.79**
Hospital	81.29	70.51	75.52	80.96	76.80	78.83	−0.33	**+6.29**	**+3.31**
Doctor	89.24	83.81	86.44	96.56	83.79	89.72	**+7.32**	−0.02	**+3.28**
Medicalrecord	96.86	87.68	92.04	96.03	91.71	93.82	−0.83	**+4.03**	**+1.78**
Zip	100.00	93.57	96.68	100.00	94.29	97.06	0.00	+0.72	+0.38
Idnum	89.47	78.46	83.61	90.00	78.46	83.84	+0.53	0.00	+0.23

patients, while orthographic features caused many medical abbreviations to be tagged as hospitals ('PCP', 'LIMA', 'CHB', etc.).

The forth error category comprised FNs and FPs that were the result of incorrect tokenization, which is mainly a direct consequence of data quality issues with the provided documents. For example, in a number of cases there was a missing space between two neighboring tokens; examples include identification numbers and hospital abbreviations ('45479406HBMC'); *Hospitals* ('Roper Hospital NorthProblems', 'atNorth Mountain Hospital'); *Patients* ('VivianLee Jorgenson', 'EarnestBranche'), etc.

As expected, some false positives and negatives were due to inconsistent gold-standard annotations. A prominent example includes mentions of the language spoken by a patient and the *Country* category. For example, 80% of the cases where a mention refers to patient speaking English were annotated as *Country* in the training data, while only 20% of such mentions were annotated in the test data.

4. Conclusion

Automated de-identification of clinical narrative data is a key for using EHR to facilitate large-scale evidence based research in medicine. In this paper we described and evaluated a hybrid approach for the identification of PHI from clinical narratives. Our approach is based on the combination of hand-crafted rules, focused dictionaries and various features used in the ML models. We have also proposed a novel *two-pass recognition* approach to address de-identification of longitudinal narratives by generating run-time and patient-specific PHI dictionaries that are used for identification of mentions that lacked specific clues considered by the initial entity extraction modules. A method integration approach proposed included a combination of initial taggers' output (rule, dictionary, ML, and two-pass recognition) and a priority sorting approach used to select the categories in cases of overlapping text spans that are tagged as belonging to different PHI types.

The overall results showed good performance for frequent and well-scoped classes (e.g., *Date*, *Email*, *Phone* and *Street*); non-focused and context-dependent categories (e.g. *City*, *Country*, *Doctor*, *Hospital* and *Patient*) had reasonable performance, whereas infrequent and broadly scoped categories (*Organization* and *Profession*) proved to be challenging and will require further investigation for identifying additional local cues and/or modeling the contextual dependencies (e.g. taking into account inter-dependences between PHI mentions e.g., by applying data mining methods (association rule analysis, clustering, etc.). We also plan to explore boundary adjustment techniques including alternative sequence label modeling to improve the identification of entity types [24].

Availability

The system is available at http://clinical-deid.sourceforge.net/.

Conflict of interest

The authors declare no conflict of interest.

Appendix A. Supplementary material

Supplementary data associated with this article can be found, in the online version, at http://dx.doi.org/10.1016/j.jbi.2015.06.029.

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