Disease Identification in Electronic Health Records  
An Ontology based Approach

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Abstract: Exploiting efficiently medical data from Electronic Health Records (EHRs) is a current joint research focus of the knowledge extraction and the medical communities. EHR structuring is essential for the efficient exploitation of the information they capture. To that end, concept identification and categorization represent key tasks. This paper presents a disease identification approach which applies several NLP document pre-processing steps, queries the SNOMED-CT ontology and then applies a filtering rule on the retrieved information. The hierarchical approach provides a better filtering of the concepts, reducing the amount of falsely identified disease concepts. We have performed a series of evaluations on the Medline abstracts dataset. The results obtained so far are promising – our method achieves a precision of 87.79% and a recall of 87.12%, better than the results obtained by Apache’s cTAKES system on the same task and dataset.

1 INTRODUCTION

The 21st century technological revolution has had a great impact on our everyday life, by making it easier for us to communicate, organize, access information, and so on; it has also transformed the way we handle our health – we are quite accustomed to searching online for any symptoms we might be experiencing and establishing a diagnosis, and (perhaps) even a treatment schema, on our own. But online information is not always reliable.

Wearable technology is likely to transform medical care, by helping both patients and clinicians monitor vital signs and symptoms. Systems which track the activity of elderly people and send health measurements to their caregivers or those which measure and send various body values to the patients’ doctors are already established on the market.

Consequently, Electronic Health Records (EHRs) are adopted by an accelerated increasing number of medical doctors, pharmaceutical companies, caregivers and personal trainers. EHRs represent a step forward in the development of the medical system, by capturing the medical history and current patient conditions with detailed information about symptoms, procedures, medications, illnesses or allergies. They are an important source of knowledge if exploited correctly: one can extract information on disease interactions, the influence of demographics on patient conditions, and so on. But, in order to do this, the documents need to be clear, unambiguous and should carry correct information. In most cases, EHRs are unstructured and may contain recurrent information.

Therefore, the final goal of our work is to perform a structuring of the EHRs and further design personal medical assistant applications (fig. 1). The benefits of such applications are manifold: a shorter, less painful and less expensive diagnosis process; assist patients when they require additional information regarding their condition; monitor and transmit (and alert) health state; provide easier access to medical information for physicians.

The flow in fig. 1 depicts the two main steps to consider in order to reach the desired outcomes: EHR structuring and knowledge extraction. We are currently focusing on EHR structuring, and in this paper we tackle an essential task for this step: automatic concept annotation, with a focus on disease annotation, and propose an ontology based disease identification approach.

The rest of the paper is organized as follows: the next section discusses related approaches. Section 3 sets the background of our research. In section 4 we present our vision on concept identification in EHRs.
with focus on the ontology based approach proposed in this paper. Section 5 presents the experiments performed and a discussion based on the results obtained. The last section presents the concluding remarks.

2 RELATED WORK

In (Sibanda, 2006), the authors describe a statistical semantic category recognizer for discharge summaries, which employs a multiclass SVM classifier on a set of orthographic, lexical, syntactic and ontological features. The authors focus on 8 semantic categories and show that, for clinical text, the lexical and syntactic contextual clues provide stronger indications of the semantic category of a term than information extracted from the UMLS (Unified Medical Language System) Meta-thesaurus.

The authors of (Rosario, 2004) explore several generative graphical models (both static and dynamic) and an artificial neural network for the task of semantic relation classification in bioscience texts. Seven different relation types between entities of the type treatment and disease are considered, and a set of lexical, syntactic and semantic features. The results reported by the authors show that the neural network achieves superior recognition rates to the graphical models. In the same area, (Rink, 2011) proposes an approach for extracting relations between medical problems, treatments, and tests in clinical texts, by using a linear SVM classifier and a rich set of features related to context, similarity, nested relations, single concept, Wikipedia and vicinity. The technique achieved the highest F1 score on the relation identification task in the 2010 i2b2 Challenge.

The NLP-SNOMED (Hina, 2010) system is a rule based system which employs GATE (General Architecture for Text Engineering) and SNOMED-CT to annotate the key medical concepts in discharge summaries. A strategy which aims to extract and code diseases and procedures from discharge summaries using the structure of the summary to locate the appropriate text, divide text segments which might contain disease data into phrases, perform normalization and coding on the phrases by using UMLS to find the concepts is presented in (Long, 2005). In the evaluations performed, the approach has managed to code all but 10 phrases out of 250 phrases to be coded, with 19 false positives. The system was further developed to produce a list of concepts to be used by physician annotators to speed the process of generating disease and procedure lists for ICU cases in (Long, 2007), with a reported recall of 93%, but a rather high number of false positives.

In (Batool, 2013), the authors propose a system which extracts medical terms from discharge summaries and converts them into SNOMED-CT codes, by combining several NLP pre-processing techniques and an additional ontology and a synonymy service to enhance recognition and mapping to SNOMED-CT concepts. The authors perform some evaluations on their approach, but do not report absolute performance values since that part is currently ongoing.

A regular expression parser which employs a set of manually defined parsing rules to extract medication information from discharge summaries is presented in (Gold, 2008), with a reported precision of 94% and recall of 83%.

Medical concept identification along with negation and document structuring are presented in cTAKES Apache clinical Text Analysis and Knowledge Extraction System (Savona, 2010). It relies on UMLS and medical ontologies – such as SNOMED to identify diseases, symptoms or procedures, and RxNorm (Nelson, 2011) to identify drug names and specific components. The cTAKES system consists of several modules: sentence boundary detector, tokenizer, part-of-speech tagger, negation identification, concept mapping, shallow parser and named entity recognizer. The authors have evaluated separately each module, reporting F1-score values ranging from 0.58 to 0.957. The
named entity recognizer achieved an F-score of 0.715 for exact and 0.824 for overlapping spans.

3 BACKGROUND

This section attempts to set the background of the work presented in this paper by introducing the main concepts we operate with: EHRs and the need to structure them, medical concept annotation as a step in EHR structuring and the role of handling negation in EHR concept identification and structuring.

3.1 Electronic Health Records

The EHRs are legal documents and must conform to privacy and confidentiality policies. They capture the patient’s consent and authorization for medical procedures and information sharing with third parties. A clinical discharge document in raw format informs about document structuring into chapters containing grouped information regarding: Symptoms, Diseases, Diagnosis, patient’s Historical information, Medical procedures (Long, 2005), Medication (Halgrim, 2011), Investigations, Demographic data or Follow-up information (Rudd, 2010).

EHRs focus on all medical aspects of a patient’s health and help find correlations between the current condition and previous investigations and conditions (Clay, 2012). In most cases, EHRs are unstructured, which means – among other things, that information regarding a certain aspect may be found in several document sections. In order to access information efficiently and fast, it becomes imperative that all documents are aligned to a standard structure.

3.2 Extracting Concepts from Medical Documents

The end goal of our work is to obtain a semi-supervised approach for assisted diagnosis, procedures, treatment, based on the symptoms and investigations performed. Thus, the first step in structuring the EHRs is to identify the concepts and the relations between them. Then, the following combinations will be considered (see also fig. 2): (symptoms - diagnosis), (symptoms - procedures), (diagnosis - evolution) and (diagnosis - treatment). Starting from the list of symptoms that a patient experiences and those which he/she denies, the system will be able to recommend diagnosis or suggest several procedures to be carried out. Once the diagnosis is established by the physician, the system could recommend a treatment plan or determine the disease progression.

Establishing these relationships requires that the medical concepts are clearly and correctly identified and annotated in the documents. When the annotation is performed, the sentences containing medical concepts are assigned to categories such that all sentences regarding symptoms are found in the symptoms section, the procedures related statements are in the procedures section and so on, facilitating the access to the information.

Two main approaches exist for extracting entities from documents: using a set of regular expressions to perform direct matching, or using a machine learning classification methodology. Both approaches require the existence of some auxiliary resources such as dictionaries or ontologies which are queried at some point.

Systematized Nomenclature of Medicine – Clinical Terms (SNOMED-CT) represents a clinical healthcare terminology (aligned to international standards) designed for being used in EHRs. It can be used to describe a patient’s condition, the procedures performed, the spread of epidemics and many more. It consists of more than 311,000 active concepts with unique meanings organized into hierarchies from the most general to the most specific concept. Each concept is assigned a unique ID. In order to handle the synonymy of concepts, SNOMED-CT uses descriptions for each synonym of the concept. SNOMED-CT is represented in a hierarchical form containing grouped information about disorders, procedures or body structures for identifying anatomical structures affected, staging and scales to identify for example a tumour staging.

A concept in SNOMED is represented by its name and (possibly) alternative names, definition, parent relationship and several IDs that help in the unique identification of the concept in different storage places. The information captured in SNOMED is represented in RDF format, using basic graph pattern triples <subject-predicate-relation> (SPARQL, 2013) In order to query the ontology, the SPARQL query language is employed. The queries performed using SPARQL allow searching for concepts by names, unique IDs or properties, for discovering the relationships between concepts, and also for result filtering. The concepts are related based on the is-a relationship and a concept can have several parents. Like in the case of Acute appendicitis with peritoneal abscess is-a Acute digestive system disorder which is-a Acute disease.
### Table 1: Negation statistics for MTsamples dataset.

<table>
<thead>
<tr>
<th>Medical concepts</th>
<th>Common words</th>
</tr>
</thead>
<tbody>
<tr>
<td>Symptom</td>
<td>92.04%</td>
</tr>
<tr>
<td>Diagnosis</td>
<td>17.78%</td>
</tr>
<tr>
<td>Procedure</td>
<td>12.98%</td>
</tr>
<tr>
<td>History</td>
<td>1.92%</td>
</tr>
<tr>
<td>Medication</td>
<td>4.34%</td>
</tr>
<tr>
<td>Other</td>
<td>15.59%</td>
</tr>
<tr>
<td></td>
<td>7.96%</td>
</tr>
</tbody>
</table>

Figure 2: Relations between medical concepts.

3.3 Negation

As indicated by analyses performed on medical documents, negative polarity sentences are rather frequent in medical records: 2% of the concepts have their value flipped due to negation (Barbantan, 2014b).

For example the following three sentences state the same thing:

- The patient has no symptoms.
- The patient is asymptomatic.
- The patient doesn’t have symptoms.

Thus, negation can be expressed using explicit terms like no and n’t, but can also be expressed using prefixes, such as a. In (Givon, 1993), explicit negation is referred to as syntactic negation, whereas negation with prefixes is termed as morphologic. Studies on negation (Mutalik, 2001) (Councill, 2010) focus on syntactic negation alone.

However, analyses performed on the MTsamples medical documents (MTSamples, 2012) have revealed that morphologic negation is as important (56% of the total number of negations is morphologic, and 44% is syntactic).

Also, Table 1 presents a statistic performed on the categories of concepts which appear negated in the same dataset: 92% of the negations are related to the medical concepts while only 7.96% are related to common words. The most common negated medical concepts are the symptoms – 45% of all negated medical concepts. Therefore, in order to extract the correct information from medical documents, it is essential to separate between affirmed and negated concepts: i.e. for establishing a diagnosis, the affirmed symptoms are used to determine possible diseases, whereas negated symptoms are employed to refine that list via exclusion using the negated symptoms.

However, negation analysis is no trivial task, since the influence of negation identifiers can spread to several parts of a sentence and change the meaning of several concepts (as in “The patient did not present with fever, headache or ocular pain”).

4 METHODOLOGY FOR CONCEPT IDENTIFICATION FROM EHRS

In our work so far, we have implemented several algorithms for identifying medical concepts (needed to further extract the categories). In (Barbantan, 2014a), we employed a vocabulary of terms and a binary bag of words feature vector. In (Barbantan, 2014b), we also exploited the meaning of the terms.

Our current work proposes a more in depth analysis of the concepts as we include the relationships between concepts and their meanings, by using well-established medical domain ontology.

4.1 Vocabulary Based Concept Identification

In (Barbantan, 2014a), we have presented the BOW-NPI methodology for negation identification using a rule-based approach and a dictionary represented as a bag of words. Negated concepts were identified by consulting the NegEx list of negation identifiers (Chapman, 2001). To deal with the morphologic negation we employed a bag of words classification approach where part of the corpus was used to create the dictionary and the rest was used for testing. To determine whether a word is negated with prefix, we computed its validity by determining its existence in the feature set. Using this approach we achieved a precision of 95.79% and recall of 87.63%.

4.2 Dictionary Based Concept Identification

The dictionary based approach (Barbantan, 2014b) exploits the meaning of the words by using an English language dictionary; negated compound words were addressed by using an n-gram based approach. The rules for negation identification used in this approach are:
**Definition recurrence rule:** the root of a prefixed word is contained in the prefixed word’s definition.

**Definition content rule:** both the root of the prefixed word and the prefix word are defined in WordNet and the definition of the prefixed word contains a negation identifier.

**Hyphen rule:** the prefix is followed by hyphen or space – the case is handled by removing the special character and sending the entity to be analysed with the previous rules.

**Compound words:** progressively build a word from consecutive letters on an n-gram basis; remove the prefix and perform an analysis of the root. If the word can be split into two words with definitions in WordNet, we consider the word negated with negation prefix. The precision achieved by this approach was 95.96% and the recall 94.23%, on a subset of EHRs provided by (MTsamples, 2012), which yields an absolute improvement of 6.6% in terms of recall and a small increment (0.17%) in precision.

### 4.3 Ontology Based Concept Identification

In this paper we attempt to improve our medical concept identification approach by making use of a specialized medical domain ontology. Using an ontology to extract concepts from text provides several advantages over any dictionary-based approach. This is due to the fact that, like the majority of words in natural language, medical concepts can be expressed using several terminologies. For example, in order to refer to a respiratory manifestation, the medical doctors use the concept “influenza”, in ICD-10 (WHO, 2004) disease is identified by the J11.1 diagnosis code and in common language we refer to it as “flu”. Ontologies, unlike vocabularies or dictionaries, can easily capture this aspect by means of relations, like synonymy, hierarchical levels or different labels. The proposed methodology is presented in fig. 3. It works as follows: first, a series of pre-processing steps are applied, where we remove the stop words and parse the text into individual tokens. The tokens are then submitted to the POS tagger and pronouns are eliminated. For each remaining token, we decide whether it is affirmed or negated via the negation identification module; then, we query the ontology and analyse the response. For this, we integrated the web service provided by the SPARQL BioPortal (Salvadores, 2012). In case a positive response is presented as output, we determine whether this response is related to a disease (to be described shortly).

Initially, the query considered the name, description and label of the concepts as they are stored in the ontology. When evaluating the results of the query, we noticed a relatively large number of false positives. In order to remove such errors, we introduced a supplementary condition which exploits the hierarchical representation of the concepts in SNOMED. As most of the diseases we search for in the documents are actually leaf instances in the ontology, we establish that a concept is a disease if both the instance and its parent are diseases.
The SPARQL query we employ currently is:

```
PREFIX rdfs: <http://www.w3.org/2000/01/rdf-schema#>
SELECT DISTINCT * FROM <http://bioportal.bioontology.org/ontologies/SNOMEDCT>
WHERE {
  ?x rdfs:subClassOf ?parent.
  FILTER ((CONTAINS ( str(?label), concept ) && (CONTAINS ( str(?parentLabel), concept )
};
```

Results post-processing: After determining the possible disease concepts (via the rule stated above), we apply a post-processing step which considers the position of the concept in the retrieved response, in order to finally establish whether the concept is actually a disease. We split the description of the disease into sections and define as leading concepts the tokens found in the first positions. The concept is considered to be a disease when its occurrences as leading concept outnumber the occurrences in the final terms of the description. Otherwise, the word is considered as auxiliary term in the description of some disease. The pseudo-code of the post-processing procedure is presented below:

Procedure FilterResults

**Input:** Token – the current token, the subject of the current query
**Results** – a set of strings, representing the output returned by the current query
**Output:** IsDisease - a boolean, TRUE if the current token represents a disease concept

**Procedure:**

```plaintext```
leading <- 0
for result in Results
  resultArr <- result.split()
  for i<-1 to resultArr.size()/2
    if(resultArr[i]=Token) then
      leading <- leading + 1
    endif
  endfor
  if(leading>2*Results.size()-leading)
    IsDisease <- true
  else
    IsDisease <- false
  endif
return IsDisease
```

To give an example of how the approach works, say we want to determine whether the word *influenza* is a disease, one of the responses obtained is represented by the concept with SNOMED ID 81524006, associated with the following description “Influenza due to Influenza virus, type C (disorder)”. The token *influenza* is a leading concept as it is on the first position in the disease description. But, we obtain the same result when performing an interrogation for the token *virus*. However, in this case *virus* is not a leading concept and therefore it is not annotated as a disease.

A medical concept can match a disease, a procedure, a body structure or a situation. As our goal is to identify diseases, we remove the cases when the concept is related to hierarchies which don’t contain diseases, and verify whether the concept can match the name provided for the disease.

5 EXPERIMENTAL WORK

This section presents the experiments performed so far on the proposed disease identification method. Since there are no publicly available annotated EHRs (to the best of our knowledge), for now we validate our approach on medical documents with similar content, although possibly a different layout: the annotated Medline abstracts dataset.

5.1 Medline Abstracts Dataset

The U.S. National Library of Medicine contains a collection of biomedical abstracts and citations which are constantly updated. Part of these abstracts were previously annotated and employed in the identification of relations between medical concepts like diseases and treatment in (Rosario, 2004). The annotation process was performed by a student with biological background. The labelled data used in our analysis consists of more than 120 abstracts. The identified concepts were surrounded by tags related to the concept’s type like <DIS>, <DISEASE> or <DIS_VAG> for diseases and <TREAT>, <TREATONLY> corresponding to treatment.

5.2 Experimental Setup

In order to evaluate the efficiency of our approach, we used a subset of abstracts from the annotated abstracts. We considered only the diseases that were clearly annotated and ignored the cases where vagueness was induced, such as <DIS_VAG> tags. To prepare the dataset, we removed the tags related
to diseases. The diseases appear in the abstracts either as nouns (mostly) or as ICD codes.

We have performed the same disease identification task using Apache’s cTAKES (Savona, 2010) module for named entity recognition.

5.3 Results and Discussion

For the specific classification task we are focusing on, both recall and precision are important to establish the performance. Thus, we report both values in Table 2. As it can be observed, we have performed several analyses of the performance of our approach: using the initial ontology strategy query, which did not exploit hierarchy-related information (Initial in table), then recomputed the values taking into account only the diseases which appeared in SNOMED (Initial, SNOMED diseases only), and using the hierarchy information as well (Initial+Hierarchy).

The rather modest value obtained for recall in E1 is partly motivated by the fact that 29% of the diseases which appeared in the documents had no identifiers in SNOMED. If we consider only the diseases that are represented in SNOMED (E2), we obtain a recall value of 66.25%. Using also the rule which exploits the parent relationship as defined in the ontology, we obtained significantly better results for both precision (89.79%) and recall (87.12%).

Table 2: Disease identification performance on the Medline abstracts dataset.

<table>
<thead>
<tr>
<th>Experiments</th>
<th>Precision</th>
<th>Recall</th>
</tr>
</thead>
<tbody>
<tr>
<td>E1: Initial</td>
<td>84.12%</td>
<td>47.31%</td>
</tr>
<tr>
<td>E2: Initial, SNOMED diseases only</td>
<td>84.12%</td>
<td>66.25%</td>
</tr>
<tr>
<td>E3: Initial+Hierarchy</td>
<td>89.79%</td>
<td>87.12%</td>
</tr>
<tr>
<td>Improvement E1 -&gt; E3</td>
<td>5.67%</td>
<td>39.99%</td>
</tr>
<tr>
<td>cTAKES</td>
<td>63.51%</td>
<td>78.33%</td>
</tr>
</tbody>
</table>

The analysis of the missed disease concepts during identification yielded a series of issues which can be addressed at three different levels: dataset level, word level and ontology level.

At the dataset level, the annotations are not always consistent; for example, we find cases when the entire concept “prostate cancer” is annotated and cases when only “cancer” is annotated as a disease.

Also, at word level (but associated with the dataset), misspellings are fairly common – for example we found the disease Alzheimer spelled as “Alzeimer”, which is why this concept was not identified as a disease. To solve this issue we propose using a spell checking algorithm on the documents in the pre-processing step and performing a non-exact matching of the concepts in the documents with the entities in the ontology (use a similarity measure instead of an exact match).

At ontology level, the issues we identified are related to the degree of synonymy offered by the ontology. Some of the concepts are identified only by their medical representation – for example, the Down syndrome is represented in the ontology as “trisomy”.

6 CONCLUSIONS

This paper continues our research efforts in structuring EHRs, by proposing an approach for identifying diseases in unstructured discharge summaries. The method employs the SNOMED-CT medical ontology to identify diseases in the medical documents. It consists of a series of text pre-processing steps, followed by the actual identification, in which the ontology is queried and the results are processed by a set of rules to determine whether the tokens (or the list of tokens) in the query represent a disease or not. In the evaluations performed we have compared the performance of our approach with that achieved by a similar system – cTAKES significantly better recall and precision values, thus we can claim that our approach is indeed promising.

Also, we have identified a set of issues at different levels: dataset, word and ontology, and we are in the process of investigating several tactics for addressing them, such as including auxiliary resources (e.g. a synonymy service) or performing a similarity based matching between the concepts.

As further work, we propose exploiting all the properties defined in the SNOMED ontology in order to identify all types of medical concepts which may appear in EHRs: diseases, procedures, symptoms, body structures.

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