A Methodology to Perform Semi-automatic Distributed EHR Database Queries

Olga Fajarda¹, Luís Bastião Silva², Peter R. Rijnbeek³, Michel Van Speybroeck⁴ and José Luís Oliveira¹

¹University of Aveiro, DETI/IEETA, Portugal
²BMD Software, Aveiro, Portugal
³Erasmus MC, Rotterdam, The Netherlands
⁴Janssen Pharmaceutica NV, Beerse, Belgium

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Abstract: The proliferation of electronic health databases has resulted in the existence of a wide collection of diversified clinical digital data. These data are fragmented over dispersed databases in different clinical silos around the world. The exploration of these electronic health records (EHRs) is essential for clinical and pharmaceutical research and, therefore, solutions for secure sharing of information across different databases are needed. Although several partial solutions have been proposed over the years, data sharing and integration has been hindered by many ethical, legal and social issues. In this paper, we present a methodology to perform semi-automatic queries over longitudinal clinical data repositories, where every data custodian maintains full control of data.

1 INTRODUCTION

Over the past two decades the use of electronic health record (EHR) systems has significantly increased in many countries around the world. This increase has resulted in the proliferation of electronic health databases containing a wide collection of diversified clinical digital data. Beyond the undeniable value that EHRs have for the direct health care of patients, i.e., beyond primary clinical care, the secondary use of these data brings great benefit to scientific, clinical and translational research. It can improve the quality of healthcare services, allow public health and pharmaceutical surveillance, monitor health crises, increase the understanding of diseases, and can lead to the development of new treatments (Hersh, 2007; Safran et al., 2007).

The secondary use of clinical data opens the door to translational research, which can be considered a two-way path. The first is from "Bench to Bedside", that is, translate research discoveries into clinical practice; the second is from "Bedside to Bench", i.e., the other direction, using clinical practice to assist research. The reuse of clinical digital data is very useful in both ways, allowing time-saving and cost reduction, and avoiding redundant data collection.

In the development of new therapies, the secondary use of clinical digital data can improve the clinical trial design and accelerate the complex process of identifying clinical trial participants (Ohmann and Kuchinke, 2007; Pakhomov et al., 2007). A feasibility trial usually starts by asking data custodians or physicians if they have patients who meet research eligibility criteria. For a clinical trial to be scientifically and statistically valid, the number of participants must be sufficiently large (Köpcke and Prokosch, 2014), and so this process can be very slow and expensive. The use of EHR data can reduce the time and cost of this process. Besides, a pre-trial feasibility analysis using EHR data also allows a redefinition of criteria in order to increase the number of participants (Doods et al., 2014).

Some adverse drug events are only observed after its release to a large and diverse population because a clinical trial has only a reduced number of participants. Drug safety surveillance, that is, monitoring medical product safety, can be done using EHRs (Trifrò et al., 2014).

EHRs can also be reused to conduct observational studies, such as retrospective cohort studies and case-control studies. A cohort study is a form of longitudinal study used to study the incidence, causes, and
prognosis of a given clinical condition. In a retrospective cohort study, one or more groups of patients are followed up backwards to examine medical events or outcomes (Mann, 2003). Some authors used EHRs to do retrospective cohort studies, but they only used EHRs collected in a few healthcare centers (Harris et al., 2010; McDonald et al., 2014; Reisner et al., 2015). In case-control studies, two groups of people, one with the outcome of interest and the other without it, are compared, retrospectively, on the basis of the exposure to some agent or treatment (Song and Chung, 2010) and, once again, this comparison can be done using EHRs.

Despite the recognized value of the secondary use of EHR, it is still nearly impossible to obtain access to digital clinical data. Lopes et al. (Lopes et al., 2015) reviewed initiatives and projects focusing on the exploration of patient-level data and pointed out that even data obtained through public research funding projects are not shared with the research community.

There are several reasons for this difficulty of sharing patient-level digital data. One impediment is the existence of database silos. Over the years, as clinical digital data were collected in different countries and institutions, many isolated silos were created due to the lack of regulation and primitive technological implementation (Lopes et al., 2015; Miller and Tucker, 2014). Due to these database silos, it is difficult for many researchers to locate the appropriate dataset needed for their studies.

Clinical digital data are also widely distributed and fragmented. A patient’s clinical history may be fragmented and distributed among multiple electronic systems, such as the patient’s pharmacy, insurance companies, care providers and others (Pringle and Lippitt, 2009). These distributed, decentralized and autonomous EHR systems lead to the existence of multiple highly heterogeneous databases, since every system collects and stores the data in an application-specific or vendor-specific format without considering information sharing. The heterogeneity of the databases can be found at several levels, namely, in the technologies and data models employed, in the query languages supported and the terminologies recognized.

Another major impediment relates to privacy issues due to legal, ethical and regulatory requirements (Cushman et al., 2010). Data privacy protection is a very important and sensitive matter because a minimal break in privacy can have dramatic consequences for individuals’ lives, healthcare providers and subgroups within society. Moreover, legislation differs from one country to another and it may be difficult to develop a protocol that conforms to all of them (Meystre et al., 2017). The upcoming EU General Data Protection Regulation (GDPR) will hopefully address this caveat.

For the success of clinical translational research, it is imperative to develop solutions that enable the querying of distributed and heterogeneous EHR databases without losing data and patients’ privacy.

This paper presents a methodology to semi-automatically query several distributed, heterogeneous databases. In Section 2 we present an overview of existing solutions, while our methodology is presented in section 3. In Section 4 we discuss a proof-of-concept implementation and Section 5 concludes the paper.

2 RELATED WORK

As awareness of the value of secondary use of EHR increased, several projects emerged to develop solutions for secure sharing of information across different databases. These solutions have been fundamentally guided by two distinct approaches: they can be centralized, where EHRs of dispersed systems are copied and integrated into a single centralized database, or they can be distributed, where the aim is to query multiple physically distributed healthcare data sources.

Mini-Sentinel (Platt and Carnahan, 2012) is a project developed by the U.S. Food and Drug Administration (FDA) to perform active safety surveillance of FDA-regulated medical products using routinely collected electronic health record data from multiple sources. The developed system uses data from public and private organizations, centralized in a secure container. A common data model was designed so that each data partner is able to transform local source data into this model. Several complementary software tools have been developed to support specific research questions, related to identification and evaluation of the exposure of medical products and possible associated health issues. However, the setup of these technologies requires some technical expertise and field knowledge.

The Informatics for Integrating Biology and the Bedside (i2b2) (Murphy et al., 2010) is a U.S. project launched with the aim to develop tools that can help clinical researchers integrate medical records and clinical research data in the genomics age. The i2b2 team developed a web application which allows cohort estimation and feasibility determination by querying de-identified and aggregate EHR data. The

http://www.eugdpr.org/
The i2b2 team also developed the Shared Health Research Information Network (SHRINE) (McMurry et al., 2013; Weber et al., 2009), a distributed query system that allows researchers to query synchronously several databases containing everyday clinical data. SHRINE provides obfuscated, aggregated counts of patients, which facilitates population-based research and assessment of potential clinical trial cohorts. The software developed by the i2b2 is open source, freely available and can be adapted to query other groups of databases.

The Electronic Health Records for Clinical Research (EHR4CR), was a European public-private project that developed a platform to assist researchers in clinical trials’ feasibility assessment and patient recruitment (Daniel et al., 2016). Through a distributed real-time querying system, multiple clinical data warehouses across Europe containing de-identified EHR data, can be synchronously queried to obtain aggregated results. The platform may enable a trial sponsor to predict the number of eligible patients for a candidate clinical trial protocol, to assess its feasibility and to locate the most relevant hospital sites.

Another U.S. initiative is OHDSI (Observational Health Data Sciences and Informatics) (Hripcsak et al., 2015) a multi-stakeholder and interdisciplinary project whose main purpose is to facilitate the analyses of large-scale observational health data. This worldwide initiative grew out of the Observational Medical Outcomes Partnership (OMOP) and develops new solutions for data gathering and aggregation, promoting a standardized data model for patient-level database representation, the OMOP Common Data Model (OMOP CDM). Besides the common data model, the OHDSI community has been developing several analytic tools, such as Achilles, Achilles Web, HERMES and CIRCE. More recently, they developed a web-based platform, ATLAS, which integrates features from various previously developed OHDSI applications. This platform allows database exploration, standardized vocabulary browsing, cohort definition, and population-level analysis of observational data converted to the OMOP Common Data Model.

The European Medical Information Framework (EMIF) is one of the most recent European projects, aiming to facilitate the reuse and exploitation of patient-level data from different EHR systems and cohorts, for research purposes (Lopes et al., 2015). The EMIF Platform intends to be an integrated system to allow researchers to browse information at three different conceptual levels. The first level refers to browsing a catalog containing database fingerprints, i.e. a general characterization of the databases (Bastiaão et al., 2014), the second level will allow the extraction of aggregated data from several databases and the third level will allow drilling down to the individual patient level in those databases. EMIF has also adopted OMOP-CDM for EHR data harmonization. Currently, the EMIF Catalogue includes information from 6 research communities, from population-based data sources (e.g. electronic health records, regional databases) up to disease-specific ones (e.g. Alzheimer).

Most of the solutions presented combine data from healthcare centers which adopt the same data model and allow the integration or distributed query of databases. However, data sharing cannot be taken for granted, and it might even be impossible for many centers. Data custodians’ desire to share clinical data for research is usually hindered by legal and governance issues, and they do not engage in solutions that, for instance, use centralized data warehouses or real-time query systems. Therefore, clinical research is still hindered by the limited and fragmented access to health data repositories. The methodology we present allows clinical researchers to query several heterogeneous databases while keeping patient health data private in each healthcare institution.

3 METHODOLOGY

The methodology we present enables semi-automatically querying of several distributed, heterogeneous EHR databases at once, which streamlines the entire request process. This approach is semi-automatic so that every data custodian can maintain control of their database and only share the data they consider to fulfill the legal, ethical and regulatory requirements. Moreover, the methodology uses partially existing solutions and open-source software, which significantly reduces the cost involved in the process.

Our methodology has three main actors:

- the **Researcher**, the person who wants to query one or several patient-level databases;
- the **Data Custodian** (DC), the person responsible for managing a database;
- the **Study Manager** (SM), the person who leads and manages the research study and moderates the tasks between the researcher and the Data Custodian.

Other actors can be involved in the process, e.g. the
SM can delegate some of their tasks and responsibilities to others.

The methodology assumes the use of a publicly available common data model and an open-source analytical tool that releases statistical and aggregated information on clinical digital data converted to this model. Several authors (Kahn et al., 2012; Ogunyemi et al., 2013; Ross et al., 2014) compared some of the existing common data models, including the ones from OMOP, from Mini-Sentinel, and from i2b2, and they all concluded that the OMOP CDM was the most complete and efficient. Many data custodians worldwide have already converted the data from their databases to OMOP CDM. For instance, OHDSI Europe is a recent initiative that aims to build a strong European OHDSI community to actively contribute to the implementation and further development of OMOP-CDM and its analytical tools.

ATLAS is the open-source web application used to conduct scientific analyses on standardized observational data converted to the OMOP CDM. This analytical tool allows the generation and execution of scripts with cohort definitions, which considerably simplifies the data custodians’ work when asked to query their databases. Although another common data model can be used, we assume in the rest of the paper that all the databases involved in the process were converted to the OMOP CDM and the analytical tool used is ATLAS.

Our approach also assumes that the EMIF Catalogue is the main entry and management solution, where researchers can search for data sources, submit a study request, choose the databases to engage with, and follow the progress of the study, while others (SM and DC) are handling the data extraction job. So all communication between all users is through this application. In addition, a workflow management tool is used to perform and monitor all the tasks involved in the process.

The SM manages the entire query process. They receive all the study requests, evaluate their suitability and also the DCs’ willingness to participate, create an ATLAS script that defines the cohort, share it with the DCs, and after receiving the DCs’ response, reply to the study request. The SM is a community expert that knows the characteristics of the different databases that are part of the group, and is familiar with the technologies and software needed to query these databases, namely the EMIF Platform and ATLAS.

The DC is responsible for the local running of the script sent by the SM and determines if the results of a query can be shared. Since this methodology does not require all the data to be centralized, nor does it need to previously de-identify the data, the DC keeps autonomy and control of its database and the executing and sharing of query results.

Figure 1 presents the main workflow of this methodology. The researcher starts by formulating a study request, which can be done by simply specifying a question. This request is made using the EMIF platform where the researcher also has access to a catalogue of databases that can be chosen.

Afterwards, the SM analyses the study request and decides if they can fulfill the request or if they need more detailed information about the request in order to accurately define the cohort, in which case they contact the researcher using the platform. The SM can also make suggestions on how to formulate the study request in order to be accepted. After accepting the request, the SM uses a workflow management tool to create a workflow with the tasks necessary to perform the query process and designate the participants in the process, namely the data custodians. During this phase, a governance board approval and other administrative issues can also be included in the protocol. The next step is to use ATLAS to create a script that defines the cohort and send it to the data custodians through the workflow execution.

After receiving the script, the DC runs it locally, using a local installation of ATLAS, and generates the results. Subsequently, the DC evaluates the results and decides if these can be shared or not. The workflow management tool can be used to inform the SM of the rejection and the respective reason. Otherwise, the DC sends the results to the SM using the same workflow management tool.

Once all data custodians have completed the local queries and returned aggregate results, the SM uses ATLAS to visualize the results and compiles them in a document that is sent to the researcher, completing the query process.

4 DISCUSSION

The worldwide proliferation of EHR systems leads to the existence of an increasing number of digital clinical data repositories. Despite the recognized value of these repositories for secondary use, and their undeniable importance for clinical research, it is still very difficult to access these data. There are several reasons that make sharing of this data so difficult: the existence of database silos, the difficulty in locating EHR databases, the distribution and fragmentation of the data, and privacy issues due to legal, ethical and
regulatory requirements.

Technical solutions for health data integration typically use a centralized data warehouse, with replicas of original EHRs, or a real-time distributed query system, which relies on complex governance agreements and institutions’ trust. These solutions are time consuming or imply governance models that might not be allowed by most data custodians. Moreover, in both cases, data custodians lose control of their data. Other solutions are designed for a specific type of database and are difficult to adapt to other types. Other solutions suffer from technical complexity and most research organizations do not have the technical skills or knowledge to use them. However, there are partial solutions, which can be combined. The EMIF Data Catalogue, for example, enables researchers to find several differentiated databases, and the OMOP tools can transform data from different databases into a CDM, thereby allowing queries across a set of databases.

To overcome the continuing difficulties in the secondary use of EHRs, we developed a methodology to perform semi-automatic distributed EHR database queries. Our methodology does not use centralized data warehouses, but rather it is semi-automatic so that every data custodian can maintain control of their database and only share the data they consider to fulfill the legal, ethical and regulatory requirements. Moreover, our methodology relies on existing solutions and open-source software, which significantly reduces the cost involved in the process.

Next, we present a simple example of a feasibility study involving the various actors (R, SM, and DCs), i.e. a study to identify how many patients of one or more databases fulfill some criteria. Here, we ignore governance and contractual aspects, although they can be incorporated at any stage of this workflow.

- **Step 1 (R): Research question**
  - After logging into the EMIF Catalogue, the user (researcher) fills out a form describing the research question and the objective of the study.
  - As an example, we may take a research question such as “How many patients, with prostate cancer, had prostate cancer screening” involving three databases. Other information, such as the expected delivery deadline, the user’s e-mail, institution and position, among others, also need to be provided.

- **Step 2 (SM): Feasibility assessment**
  - The study manager receives a notification about the existence of a new study request.
  - They log into the EMIF Catalogue and evaluate the feasibility of this request.
  - Through an internal messaging system, they can ask the researcher for more information or details, in order to better understand the scope of the study. The study manager can also make suggestions on how to improve the request.
  - After this step is concluded, the study can start internally.

- **Step 3 (SM): Define the cohort template**
  - The study manager enters the ATLAS installation available in the EMIF Catalogue.
They start by creating the Concept Sets needed for the Cohort definition, namely, “Prostate cancer screening” and “Prostate cancer”.

The Concept Sets created are used to specify the inclusion criteria when the study manager defines the cohort. Figure 2 presents the cohort definition of this study.

The cohort definition is exported in a JSON format.

- Step 4 (SM): Create and initiate the study workflow
  - Using a workflow management tool, the study manager creates a new study.
  - They select the participants, namely, the data custodians of the selected databases, assigning them the tasks.
  - After initiating the workflow, the study manager shares the cohort definition, using the workflow management tool.

- Step 5 (DC): Execute partial studies
  - The study management tool sends a notification to each data custodian selected by the study manager, informing them that they have been chosen as a participant in a study workflow and have assigned tasks.
  - The data custodian executes the common cohort definition using the local ATLAS installation.
  - Results are analyzed locally, and evaluated regarding the possibility for sharing.
  - If the results can be shared, the data custodian exports them using the local ATLAS installation and uploads them into the study management tool. Otherwise, the data custodian informs the study manager that they will not share the results.

- Step 6 (SM): Result integration and reporting
  - After all data custodians complete their tasks, the workflow management tool notifies the study manager.
  - They upload the file with the results sent by each data custodian into the ATLAS installation of the EMIF Catalogue.
  - The study manager visualizes the results of the study, using the ATLAS installation of the EMIF Catalogue, and elaborates a report based on these results.
  - Through an internal messaging system, the study manager sends the report back to the researcher.

- Step 7 (R): Results evaluation
  - The researcher receives a notification informing that the results are available.
  - They access the results and analyse them.
  - If needed, the researcher can ask for more information, through the internal messaging system.

The presented methodology allows managing and simplifying the execution of feasibility studies over multiple EHRs databases, addressing one of the core concerns for the sharing of clinical data for research, i.e. by preserving local governance.
5 CONCLUSIONS

In this paper we presented a methodology to perform semi-automatic distributed EHR database queries that uses pre-existing partial solutions and open-source software. The query process presented enables the researcher to formulate a feasibility question and obtain statistical and aggregated information about data from different databases without accessing these data directly or contacting the various data custodians.

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REFERENCES


