Emerging Named Entity Recognition in a Medical Knowledge Management Ecosystem

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Abstract: In this paper, we present a knowledge engineering project in the medical domain. The objective of the project is to identify recent medical knowledge represented by emerging Named Entities. Hence, we introduce the concept of emerging Named Entities and present our studies on their occurrence and use in medical document corpora. We derive an approach for the emerging Named Entity Recognition utilizing textual and temporal features through Natural Language Processing and Machine Learning and present detailed evaluation results. Furthermore, we present a complementary system design that utilizes emerging Named Entity Recognition support several KE use cases in the medical domain.

1 INTRODUCTION

Recommendation Rationalisation (RecomRatio of Bielefeld, 2017), is a DFG funded research project that aims to support expert health professionals during informed decision-making processes (e.g., for or against a certain diagnosis/therapy) through providing evidence that is based on textual arguments found in the medical literature. Within RecomRatio, we intend to make emerging Named Entities (eNEs) (Nawroth et al., 2019) available for Information Retrieval supporting medical argumentation, e.g., by recognizing and visualizing them in IR dialogues related to Controlled Clinical Trials (CCTs) literature. Another use case is the utilization of eNEs as a ranking/filtering criterion for retrieving arguments to provide the most recent medical knowledge supporting argumentation in informed medical diagnostic and treatment decisions. To express an information need, medical expert users usually apply a professional terminology, that is quite often formalized in taxonomies or vocabularies like Medical Subject Headings (MeSH)¹ (Lipscomb, 2000). Query log analysis (Herskovice et al., 2007) indicates that on PubMed² more than 50 percent of the users’ queries contain terms that contain Named Entities (NEs), which are represented by a domain-specific vocabulary like MeSH. Therefore, the medical domain is predestined for Entity Retrieval (ER) (Balog et al., 2011; Balog, 2017). In the remainder of this paper, first, we introduce definitions for the concepts emerging Entities leading to the task of emerging Entity Recognition used in this paper, followed by a state-of-the-art overview. We derive use cases and design a system for recognizing emerging knowledge in medical use cases and explain feature-engineering and feature selection for our approach. With relative temporal features, we introduce and evaluate a new feature set for our approach to increase its generalization. This paper’s main contribution is a detailed quantitative evaluation of our approach of combining textual and temporal features. This evaluation also addresses challenges posed by label imbalance in our real-world scenario.

2 DEFINITIONS

ER aims to fulfill medical users’ information needs on domain-specific entities like, e.g., diagnostic methods and results or treatment methods. However, ER in medical domain contexts faces the major challenges of Information Explosion (Huth, 1989) and Overload (Bawden and Robinson, 2009). These effects are re-
flected in the two medical document corpora that we use for this work: PubMed MEDLINE Baseline 2020 3 (MEDLINE) and PubMed Open Access (PMC OA) Subset 4. While the first one generally only consists of the title and abstract, the second one also contains the full texts, so we decided to use both in parallel for our project. Between 1970 and 2019, the number of citations added to MEDLINE grew from 219,337 entries per year to 1,406,789, based on our corpus index statistic derived from our experimental corpora. This essentially means that the yearly growth rate increased by a factor of 6.4 within 50 years. Also, the medical expert terminology and its use is changing over time ((Nawroth et al., 2020)). To identify new and emerging elements of terminology is a challenging task. Each of these new entries typically is a name for a new medical entity. They could also represent at least a new name for an existing entity. In general, new entities that arise in a domain are known as Emerging Entities (EEs): Hoffart et al. define EEs as entities that have been out-of-knowledge-base before (Hoffart et al., 2014). (Brambilla et al., 2017) define EEs as entities that are not included in a knowledge graph of a domain but are present in social media. (Derczynski et al., 2018) define the task of EE recognition in a generic setup and report a max. $F_1$ of 0.42.

Our initial approach for addressing EEs (Nawroth et al., 2019) is different. It focuses on the textual representation (the name/label) and temporal representation (the initial appearance and the acknowledgment by the community) of an entity instead of the knowledge object. Therefore, we refer to it as an Emerging Named Entity (eNE). In several preparatory studies (Nawroth et al., 2020), we showed that ENEs are used in medical document corpora before their acknowledgment. Furthermore, the preparatory studies revealed that ENEs represent more recent knowledge compared to non-emerging NEs. Hence, emerging Named Entity Recognition (eNER) aims to recognize ENEs as early as possible in the document corpus and make the represented emerging knowledge available for medical Information Retrieval use cases. Based on our statistical observations, we have developed a temporal definition of ENEs that we initially introduced in (Nawroth et al., 2018) and (Nawroth et al., 2019) and that we are now refining here:

Definition 1 (Emerging Named Entity (eNE)). A term or a noun phrase that is in use domain-specific literature since the time $t_{USE}$ and which is afterward acknowledged at the time $t_{ACK}$ is defined as an emerging Named Entity (eNE) for the time interval $[t_{USE}, t_{ACK}]$. After $t_{ACK}$ the ENE becomes an Named Entity (NE) with the features $t_{USE}$ and $t_{ACK}$.

Definition 2 (Emerging Named Entity Acknowledgment through Vocabulary Acceptance (eNEAVA)). An eNE is acknowledged as a NE through acknowledgment for a common domain-specific vocabulary by an expert community at the time $t_{ACK}$. A single domain expert also acknowledges an eNE through acknowledgment for the expert’s own personal vocabulary.

3 STATE OF THE ART AND RELATED WORK

Based on the insights of the preparatory studies and our motivation for this contribution, our state of the art review covers selected publications from the fields NER, IR, and ER. Furthermore, we illustrate ML approaches and related work from the field of emerging topic detection and for using IR as a NER method.

Named Entity Recognition (NER) is a sub-task of Natural Language Processing (NLP) (Nadeau and Sekine, 2007). Traditional approaches are based on local textual features (e.g. Part of Speech, characters) and use regular expressions (Nadeau and Sekine, 2007) or sequenced based learning models such as Hidden Markov Model (HMM) (Zhou and Su, 2002) or Conditional Random Fields CRF (Lafferty et al., 2001; Andrew McCallum and Wei Li, 2003). More recent NER approaches utilize Recurrent Neural Networks for language understanding tasks (Yao et al., 2013). Recent Unsupervised methods as Bidirectional Encoder Representations from Transformers (BERT) (Devlin et al., 2019) for general tasks and BioBERT (Lee et al., 2019) for medical language tasks have led to impressive performance results. A recent state-of-the-art NLP-library that utilizes some of these techniques is SpaCy (Honnibal and Montani, 2017). The NER methods above use local textual features and require an expert tagged training corpus, large amounts of text, or use external knowledge sources. In all these approaches, no appropriate training data for medical ENEs is available at present. To the best of our knowledge, no such training data exists in any other approach. In contrast, our approach uses existing temporal features derived through semi-automatic retrieval from MEDLINE. It works without explicit and manually expert

\[
\text{Precision} = \frac{TP}{TP+FP}, \quad \text{Recall} = \frac{TP}{TP+FN}, \quad F_1 = \frac{2 \cdot \text{Precision} \cdot \text{Recall}}{\text{Precision} + \text{Recall}}
\]

\[^3\text{https://www.nlm.nih.gov/databases/download/pubmed_medline.html}\]

\[^4\text{https://www.ncbi.nlm.nih.gov/pmc/tools/openftlist/}\]

\[^5\text{Precision, Recall and } F_1 \text{ are commonly used to evaluate classification systems, using True Positives (TP), False Positives (FP) and False Negatives (FN) (Manning et al., 2008): }\]

\[^2\text{Precision, Recall, } F_1 \text{ based on} \]
annotated training material. Instead, it uses training material gained through community expert feedback (eNEA V A). Combining IR and NER has been introduced as Named Entity Retrieval, among others, by Petkova and Croft (Petkova and Croft, 2007). They propose an IR approach based on the proximity between the text of a document and the entities. Furthermore, another common use case for NER in IR is the task of entity linking and retrieval, which aims at satisfying users’ information needs by providing actual entities instead of documents that mention them (Meij et al., 2013; Balog et al., 2011; Balog, 2017).

To support ER, several approaches aim at detecting NEs in queries, which are referred to as Named Entity Recognition in Query (NERQ) (Guo et al., 2009; Du et al., 2010). In (Piccinino and Ferragina, 2014; Cornolti et al., 2014; Cucerzan, 2014) multiple approaches for entity recognition and disambiguation have been presented that utilize external knowledge sources (e.g., Wikipedia, Freebase). In the medical sector, the Mesh on Demand tool (Dan Cho, 2014) represents a practical implementation of a system that combines IR and NER for medical Entity Retrieval use cases. Coming to the ML part of our approach, the following methods provided by scikit-learn (Gˇeron, 2017) are compared for the task of eNER on temporal features: AdaBoost (AB), Decision Tree (DT), Gradient Boosting Classifier (GBC), K Nearest Neighbour (KNN), Naive Bayes (NB), Linear Support Vector Machine (LSV), Multi-Layer-Perceptron (Neural Network, NN), Quadratic Discriminant Analysis (QDA), Random Forest (RF) and Stochastic Gradient Descent (SGD). As scikit-learn (Gérond, 2017) integrates seamlessly with SpaCy, both are our frameworks of choice for our initial prototypical work. A major challenge for several ML applications is class imbalance, i.e., scenarios in which the distribution of the positive and negative classes is highly imbalanced (Ling Charles X. et al., 2010). To handle challenges coming from the class imbalance between eNEs and NEs, we use the library imbalanced-learn (Lemaître et al., 2020), which integrates with the other frameworks as well. Imbalanced-learn provides amongst others the following recent imbalance handling strategies, SMOTE (Chawla et al., 2002), SMOTETEN (Batista et al., 2004) and Random Under Sampling (RUS).

4 DISCUSSION AND APPROACH

Our approach follows (Chang and Manning, 2014), who propose to complement statistical or learning-based methods with rule-based approaches, especially if there is no appropriate training data available. Our work is related to the task of realtime Emerging Topic Detection in Microblogs as presented by (Chen et al., 2013), which also utilizes ML techniques on non-textual features to detect emerging topics within microblogs. Our approach differs as it does not focus on realtime detection but long-term eNEs in a scientific text corpus, and therefore, it uses different non-textual temporal features compared to (Chen et al., 2013). Furthermore, our approach for eNER aims at recognizing eNE in scientific corpora and hence combines techniques from traditional NER and ML.

Compared to Chen et al. (Chen et al., 2013) we investigate more ML approaches. In their work, (Chen et al., 2013) also address the topic of class imbalance, which we investigate in this paper in more detail concerning imbalance handling strategies. The max. reported $F_1$ from Chen et al. (Chen et al., 2013) in a balanced setup is 0.90. The definition of an emerging topic by (Chen et al., 2013) is similar to our definition of eNEs. In a recent work of Wang et al. (Wang et al., 2019), apply hot topic detection to the field of academic big data, which they call Academic Hot Topic Detection. Like our approach, they combine a textual NER approach in the first stage with a feature learning approach. Their main features are a co-occurrence graph and word embeddings amongst additional document related features. In contrast, we focus on eNEs in a solely temporal way, not yet analyzing whether these topics are “hot”, which means setting a trend of popular information need/interest. Similar to our approach (Foley et al., 2018) propose to understand NER as an IR/search task that addresses the challenge of missing training material. They present a study, how to transform textual features derived from CRF-based NER and handcrafted rules into search queries. In their approach, the search engine returns tokens instead of documents that belong to a NE class, and they collect users’ feedback on the result sets. In contrast, in our approach, the search engine does not directly return eNE candidates but provides temporal features of the eNE candidate for further use in an eNER classifier. To implement this approach, we now give an overview of our emerging Named Entity Recognition Information Retrieval System (eNER-IRS) architecture design that addresses the challenges outlined in the previous sections.

5 SYSTEM DESIGN

To design the eNER-IRS, we will apply a user-centered design approach (Norman and Draper, 1986). Therefore, we introduce the relevant use cases first and derive an overview of the system’s general...
architecture.

5.1 eNER-IRS Use Cases

The eNER-IRS is intended to support four different information retrieval use cases. These are eNE retrieval support, document linking through NEs, emerging Knowledge Discovery, and emerging Argument Entity discovery as displayed in Figure 1. All of these four use cases are supported by one or two visualization use cases provided through the visualization subsystem. In the following, we briefly introduce the four general use cases. The first general use case ENE Retrieval Support (see Figure 1), aims at providing functionality that utilizes eNEs to enhance and support several standard retrieval methods, like query completion, filtering, faceted search, and boosting of ranking results depending on eNEs. The associated visual use case is visual eNE Retrieval Support. Within this visual use case, it is intended to highlight eNEs during several steps of the user interaction with the retrieval system. The second general use case supported by one visual use case is document-linking through eNEs. In this use case, eNEs are utilized to provide a link between documents from different corpora. E.g., a user finds a clinical trial in the ClinicalTrials (CT) Corpus that contains eNEs that represent new medical knowledge in the respective clinical trial. Then these eNEs can be used to search for documents in another text corpus, e.g., MEDLINE, to retrieve new and emerging knowledge from that text corpus too. The associated visualization is intended to provide an interactive graphical representation of that use case, i.e., a network graph showing links between documents from different corpora based on eNEs. The third general use case is emerging Knowledge Discovery. This use case has an exploratory characteristic and allows the user to explore new knowledge on the document level and the single emerging entity level. The associated visual use cases provide views for both exploratory aspects, which means visual highlighting of eNEs in selected documents and providing detailed information on selected eNEs based on the textual and temporal analysis from the ML-eNER components of the eNER-IRS. The fourth use case is emerging Argument Entity Discovery. Based on emerging Argument Entities (e.g., from a survey article) in arguments’ premises or conclusions, the expert medical users can retrieve arguments that cover the most recent medical knowledge. Based on the emerging Argument Entities, an argumentation tree is visualized. This use case and the visualization is published in (Nawroth et al., 2020).

5.2 eNER-IRS System Architecture

Following the motivation and the four initial use cases, our architectural modeling approach (see Figure 2) for recognizing eNEs in medical a document and query corpus (mDQC) combines methods from NLP, NER, IR, and ML (Nawroth et al., 2019). Our approach follows the Model View Controller (MVC) paradigm (Krasner et al., 1988). The focus of this section is the conceptual design of the controller layer that contains the core components of the eNER-IRS. The overall design objective is to implement a three-phased pipeline for eNER. As a first baseline step, eNE candidates are automatically extracted from documents of the mDQC based on their textual features using NLP-baseline NER methods (b-NLP-NER, see Figure 2). The eNE candidates are then passed to a temporal-feature search engine (t-FSE) that has indexed the mDQC. The temporal IR-result set of the t-FSE is then transformed into an eNE temporal-feature result vector to obtain the temporal features for each baseline eNE candidate in addition to the textual features. The feature vector is then passed to a temporal eNER classifier (t-eNER-CLF) model that needs to be trained on temporal IR-feature vectors of already acknowledged eNEs beforehand. The eNER t-eNER-CLF provides a classification result, whether the eNE
candidate is likely an eNE or not. If the classifier outcome is positive, the recognized eNE is passed to the IR system users of the IR-supported argumentation use case. Afterward, the users can finally acknowledge the eNE as a NE for their vocabulary (eNEA V A) or reject it. In both cases, users’ feedback is used to update the ML training material for future learning. Furthermore, in the case of acknowledgment, the term or noun phrase is indexed as a NE for further utilization for supporting the argumentation use case. The temporal properties (i.e., \texttt{tUSE}, \texttt{tACK}) of it are properly recorded. For the integration of eNER-IRS with the view and controller layers within the medical use cases (e.g., medical argumentation), we use a RESTful API to allow a lightweight and flexible interface that may also be used in cross-organizational contexts (Kleppmann, 2017). Our conceptual architectural modeling approach is based on an application of machine learning and, thereby, data-driven. Hence for our conceptual system modeling approach, besides the use case and the conceptual architecture modeling also the underlying textual and temporal test and training data resource play a significant role. Therefore, we will introduce the resource design in the next chapter.

6 DATA MODELLING

In this section, we introduce the relevant data modeling and analysis aspects leading to our machine learning feature modeling that will interact with the system design. Furthermore, along with the test and training data resource modeling, we introduce our evaluation approach.

6.1 Test and Training Data Resources

The structure of the test and training data is derived from our retrospective evaluation approach (see section 8). We go back to the year 2012 and evaluate how far our approach is capable of recognizing eNEs from the perspective of 2012, which are acknowledged in the meantime (2020). Furthermore, as a text corpus, we use MEDLINE Baseline 2020\(^6\), and PMC OA 2020, both with a limited year range from 1969 to 2012 to avoid temporal artifacts resulting from historical documents. The limit in 2012 is necessary for the evaluation from the 2012 perspective. The MEDLINE corpus’s overall document count in that time range is 19,139,708, and the SOLR index size is approx. 28.2 GB. For PMC OA, the count is 2.739.074, and the index size is 85.9 GB. This shows that the indexed text per document is approx. 21.28 times higher for PMC OA compared to MEDLINE. For the task of eNERD, we created smaller MEDLINE and PMC OA subsets that follow the design of the CONLL 2003 corpus for NER evaluation (Sang, Erik F. Tjong Kim and de Meulder, 2003) (due to performance scaling reasons for the training and testing the b-NLP-NER model). The size of the MEDLINE subset is 1,443 documents and for PMC OA, 2,154 documents. Each of the subsets consists of training and test sets (ratio 1:1). To prepare a gold-standard of the test and training documents, we retrospectively automatically tagged all eNEs (noun chunks) within the subsets using the MeSH 2020 vocabulary. All documents are taken randomly from MEDLINE / PMC OA in 2012, and each contains at least one eNE from the perspective of 2012. For our prototypical implementation, we prefer MeSH over other (meta) thesauri like UMLS as it provides a widely-used vocabulary that is domain-specific for the medical domain. At the same time, it is somehow generic to ensure that it represents topics that are widely-used during medical discourse and research. For the task of eNERQ, we randomly chose a portion from the eNEs acknowledged between 2012 and 2020 from MeSH 2020 to create ML training queries (the positive class ‘eNE’). The remaining part of the acknowledged eNEs are test queries that should be correctly classified as eNEs through the t-eNER-CLF and which we use for evaluation. They are unknown to the t-eNER-CLF model during training. To create training and test queries for the negative class ‘non-eNE,’ we used randomly chosen arbitrary medical queries from a public log file of PUBMED (Mosa and Yoo, 2013).

6.2 Absolute Temporal Feature Models

To identify, calculate, and select relevant temporal IR-features that can be used for the t-eNER-CLF, we applied Feature Engineering (FE)(Zheng and Casari, ) and Feature Selection (Géron, 2017) methods. As introduced above for eNERD and eNERQ, candidates for eNEs are passed to t-FSE as a query \( q \). The search engine returns a result set of the length \( n \). For each document in the result set returned for \( q \), the publication year (DOC\_YEAR) is used as a temporal feature. This leads to an initial result vector \( r_0 \) for each query \( q \). First of all, we identified six relevant temporal IR-features that are calculated from \( r_0 \): the number of documents (\( n \)) per result vector, minimum, maximum, mean, and median of DOC\_YEAR per result vector, and the DOC\_YEAR\( 0 \), which is the year of the first ranked document of the result set. Through

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\(^6\)https://mbr.nlm.nih.gov/
the last-mentioned feature (besides the temporal and corpus features), we also utilize ranking information (i.e., the year of the first ranked document) from the underlying IR algorithm. In this way, FE leads to the following feature vector \( \vec{f}_q \) for a result vector \( r_q \):

\[
\vec{r}_q = \begin{pmatrix}
DOC\_YEAR0 \\
\vdots \\
DOC\_YEAR_{n-1}
\end{pmatrix} \xrightarrow{FE} \begin{pmatrix}
\text{max}(r_q) \\
\text{min}(r_q) \\
\text{mean}(r_q) \\
\text{median}(r_q) \\
DOC\_YEAR0
\end{pmatrix}
\]

For feature selection we use a correlation matrix (e.g., see Figure 3), based on Pearson’s Correlation Coefficient\(^7\) \( p \). The correlation matrix displays the correlation of the calculated features \( f_i \) and the classification outcome (class), which may be an eNE or non-eNE. Figure 3 displays that for the eNERQ task, there is a medium negative correlation from features COUNT with the class labels of the queries for both subtasks and corpora. On the other hand, for the feature min, the correlation is with exception to NERQ and MEDLINE medium positive (approx 0.27 - 0.37). For NERQ on MEDLINE, there are no features prominent positive features visible. However, we decided to use the same features for both tasks and corpora to ensure comparability between the subtasks eNERD and eNERQ. As we will show in the evaluation section, absolute temporal features lead to the best classification results in our experiments. However, they lack generalization as they have to be retrained each year to be up to date regarding absolute years. Furthermore, they require extensive user acknowledgment to provide sufficient training data. So, a challenge is bootstrapping an empty eNER model with them.

### 6.3 Relative Temporal Feature Models

In addition to the feature set above, we developed an alternative feature set that uses relative temporal features instead of absolute features. This feature set can be automatically constructed completely from already known emerging Named Entities from the past. As they use relevant temporal features calculated in past years, we argue that these features generalize better and are suitable for bootstrapping new eNER models. To implement relative temporal features, we introduce the \( PIVOT\_YEAR \). In training, the \( PIVOT\_YEAR \) is a year in the past that is within the training year range (e.g., last ten years). For each \( PIVOT\_YEAR \) during training, eNEs / NEs are identified, and for each, a relative feature vector \( r_{qr} \) is calculated as follows:

\[
r_{qr} = \begin{pmatrix}
PIVOT\_YEAR - DOC\_YEAR0 \\
\vdots \\
PIVOT\_YEAR - DOC\_YEAR_{n-1}
\end{pmatrix}
\]

On \( r_{qr} \), the same feature engineering is applied as introduced for the absolute features. In the following section, we introduce an exemplary proof-of-concept implementation of our approach to combine the conceptual architecture and the data model in a real-world scenario.

### 7 PROOF-OF-CONCEPT

The focus of this section is on the prototypical proof-of-concept implementation controller layer, which comprises the core components of our project, which are the t-eNER-CLF pipeline, b-NLP-NER, and t-FSE. Furthermore, we explain the implementation of the model and view layers through a knowledge management ecosystem.

#### 7.1 Temporal eNER Classification Pipeline (Controller Layer)

The t-eNER-CLF component is prototypically implemented through a scikit-learn (Géron, 2017) pipeline (see Figure 4). This initial proof-of-concept pipeline implementation consists of one of the scikit-learn Standard Scaler (Géron, 2017). The scaler is followed by the imbalance handling method, which is SMOTE, RS, or SMOTEEN. This way, we consider each general imbalance handling strategy, namely oversampling, undersampling, and a combination of both. The final step is one of the following classifiers, as introduced in section 3: AB, DT, GBC, LSV, KERAS-MLP, QDA, RF, or SGD. The choice of these ML

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\(^7\)https://libguides.library.kent.edu/SPSS/PearsonCorr
techniques is based on the insight that machine learning strategies often have to be investigated empirically (Chollet, 2018). So, the choice comprises different ML models that have proven to be sufficient for several ML problems (Géron, 2017) and that utilize different basic ML approaches (e.g., Vector Machines, Trees, Neural Networks). To investigate class imbalance between eNE and non-eNE, the training and test input data is split in the following ratios between eNE and non-eNE class: 1:1, 1:2, 1:5, 1:10, 1:50, and 1:100. For the evaluation, we tested all possible pipeline combinations and ratios.

7.2 Baseline NLP NER (Controller Layer)

For b-NLP-NER, as a technical baseline for the textual recognition of eNEs and as a benchmark for our approach, we implement two b-NLP-NER models based on SpaCy that use only textual features. First of all, we implemented an (initially naive) rule-based system for b-NLP-NER that utilizes regular expressions for the task of eNERD. The main textual features for the rule-based approach are noun chunks provided through SpaCy’s Dependency parser. For the task eNERD, we applied our rule-based approach to the evaluation subset documents as introduced above. As shown by (Guo et al., 2009), traditional NER approaches on textual features fail for the use in queries. Therefore, we do not consider the rule-based or training based textual approach for the task of eNERQ. In addition to the rule-based approach for eNERD, we trained two own SpaCy models, each one for MEDLINE and PMC OA. The model for eNERD was trained on the training subset and evaluated on the test split of the respective subsets as introduced above.

7.3 Temporal Feature Search Engine (Controller Layer)

The t-FSE is implemented through SOLR with a standard configuration that indexed the MEDLINE 2020 Baseline and PMC OA 2020 corpora in two distinct indexes as introduced above.

7.4 Knowledge-Management Ecosystem Portal (View and Model Layer)

In our contribution to the RecomRatio project the MVC layers are already implemented through an existing knowledge-management ecosystem, the Knowledge-Management Ecosystem Portal (KM-EP) (Vu and Hemmje, 2019). Therefore, the RecomRatio KM-EP has been developed to provide powerful web-based tools for managing knowledge resources and content. The underlying KM-EP technology consists of five subsystems as displayed in Figure 5 and explained in (Vu and Hemmje, 2019) as follows:

- “Information Retrieval Subsystem (IRS) indexes contents and lets the user search for them in a quick manner.”
- “Learning Management Subsystem (LMS) helps, e.g., a course creator, who is not an expert of the KM-EP and the underlying Learning Management System - Moodle, to create and manage courses.”
- “Content and Knowledge Management Subsystem (CKMS) manages contents and knowledge resources. It allows users to create, edit, remove, and rate different types of contents in the ecosystem.”
- “User Management Subsystem (UMS) manages users, groups of users, authentication, and access control for all subsystems.”

Figure 5: eNER-IRS integration with KM-EP adapted from (Vu and Hemmje, 2019).
Table 1: Baseline NER Performance.

<table>
<thead>
<tr>
<th>Task</th>
<th>NER Method</th>
<th>Rec.</th>
<th>Prec.</th>
<th>F1</th>
</tr>
</thead>
<tbody>
<tr>
<td>MEDLINE</td>
<td>Spacy Training Model</td>
<td>0.50</td>
<td>0.04</td>
<td>0.07</td>
</tr>
<tr>
<td>MEDLINE</td>
<td>Spacy Rule Based Model</td>
<td>1.00</td>
<td>0.02</td>
<td>0.04</td>
</tr>
<tr>
<td>PMC OA</td>
<td>Spacy Training Model</td>
<td>0.55</td>
<td>0.03</td>
<td>0.06</td>
</tr>
<tr>
<td>PMC OA</td>
<td>Spacy Rule Based Model</td>
<td>1.00</td>
<td>0.02</td>
<td>0.04</td>
</tr>
</tbody>
</table>

- “Storage Management Subsystem (SMS) preserves the integrity of the digital file and its metadata for the lifetime of an asset.”

While the medical RecomRatio IR use cases provided by the RecomRatio KM-EP, the eNER-IRS in the controller layer is a new and additional functionality. As the eNER-IRS service is implemented through a python server, it is provided through a restful API to the other controller layer components of KM-EP. A more detailed description of this implementation will be detailed in another publication due to page space limitation. Besides the components introduced above, KM-EP contains an advanced visual Web-interface that implements the view layer in the MVC and provides the visual use cases. This section has explained how a prototypical proof-of-concept implementation and an integration into the RecomRatio KM-EP looks like. From the proof-of-concept implementation based on the conceptual design and the data modeling in the following section, we will evaluate the b-NLP-NER and t-eNER-CLF components that are the core components of our work.

8 EVALUATION

To evaluate the outcome of our eNER approach, we use the standard measure $F_1$ on the class ‘eNE’ for the b-NLP-NER and the t-eNER-CLF. Due to its weaknesses with imbalanced datasets, we do not use accuracy for evaluation. We evaluate the performance of the b-NLP-NER, followed by a detailed evaluation of t-eNER-CLF concerning balanced and imbalanced class ratios and evaluation of imbalance handling strategies.

8.1 Baseline NLP NER Evaluation

The first evaluation phase addresses the b-NLP-NER outcome for the eNERD sub task. Table 1 displays the results for both corpora, MEDLINE and PMC OA. For both corpora, it becomes clear that the training-based approach delivers a medium recall (approx. 0.5) while maintaining a low precision leading to a low $F_1$ in both corpora. In contrast, the rule-based approach is based on an (initially) naive rule set, which explicitly aims at a high recall of 1.00 to identify all relevant eNE candidates for further processing in the t-eNER-CLF. So the low $F_1$ of 0.04 for both corpora resulting from a low precision of only 0.02 at this point is not surprising. The rule-based approach’s outcome reveals that the “real world” ratio in the 2012 document selections between noun chunks containing eNEs and non-eNE noun chunks is 1:50. Due to the limitations of textual NER approaches (Guo et al., 2009) for NERQ, we resign from applying textual NER on queries. Hence we do not calculate a b-NLP-NER baseline for the subtask of eNERQ.

8.2 Temporal eNER Classification Evaluation (balanced class labels)

In the second evaluation phase, we evaluate the outcome of the t-eNER-CLF. To avoid overfitting, for evaluation of t-eNER-CLF, we apply stratified five-fold cross-validation. That means every pipeline combination is tested five times with stratified test and training data. Hence, for each of the prototypical classifier implementations, we identify the pipeline combination that leads to the best max. and mean $F_1$ out of five folds for a 1:1 class ratio between eNEs and non-eNEs. To achieve the overall benchmarks, we calculated an $F_1$ for all eNEs from 2012 to 2020. These benchmarks reflect the ability to recognize an arbitrary eNE from the time range 2012 to 2020 from the perspective of the year 2012. For the described task setting to the best of our knowledge, there exists no baseline benchmark. Hence, for the 1:1 class ratio, we choose a common-sense baseline as proposed by (Chollet, 2018) in cases there is no “known solution (yet)”. For $F_1$, a common-sense baseline is 0.67. This is the $F_1$ of the trivial combination from a Recall of 1 and a Precision of 0.5. In contrast, a trivial random classifier achieves a $F_1$ of 0.5, which could also be used for baseline. We decided to use the higher baseline for benchmarking to ensure the robustness and generability of our models. Figure 6 displays the resulting max. and mean. $F_1$ results for absolute and relative features for eNERD on both corpora.

For the sub-task of eNERD the max. values for $F_1$
for the different pipeline combinations are in a span of $[0.68, 0.72]$ for absolute features and $[0.59, 0.71]$ for relative features for MEDLINE. For PMC OA the range of max $F_1$ values for absolute features is $[0.69, 0.71]$ and $[0.72, 0.75]$ for relative features. Looking at the mean values for both tasks and corpora indicates that the respective spans are broader, due to a bad mean overall performance of SGD. Figure 7 displays the resulting max. and mean $F_1$ values for absolute and relative features for eNERQ on both corpora. For the sub-task of eNERQ the max. values for $F_1$ for all pipeline combinations are in a span of $[0.71, 0.76]$ for absolute features and $[0.69, 0.73]$ for relative features for MEDLINE. For PMC OA the range of max $F_1$ values for absolute features is $[0.69, 0.73]$ and $[0.71, 0.73]$ for relative features. The lowest $F_1$ for each measure again is provided by SGD classifier pipeline. Comparing Figures 6 and 7 it becomes clear that the overall performance of the classification pipelines is slightly better for the subtask of eNERQ. Furthermore, for eNERQ the variance of the results is lower, again with exception of the SGD result. Overall the evaluation of t-eNER-CLF in 1:1 class ratio showed satisfactory $F_1$ results with a max of 0.76 for eNERQ that can keep up with generic baselines. However, in real world scenarios label imbalance plays a major role that we evaluate in subsection 8.4.

### 8.3 Temporal eNER Classification Lookahead Evaluation

While evaluating the overall $F_1$ aims at all eNEs in the full-time range between 2012 and 2020, the next evaluation step is intended to achieve a year based evaluation. Based on the absolute or relative training material of 2012, we evaluated the $F_1$ values per year, concerning the $T_{ACK}$ years of the eNEs in the range 2012 - 2020. Figure 8 displays the mean $F_1$ values per year for both corpora and absolute and relative feature sets for eNERD. It becomes clear that the mean $F_1$ for MEDLINE in both features sets mostly meanders above and below the baseline. In contrast, for PMC OA, the mean $F_1$ values are predominantly above the baseline for both feature sets.

Figure 9 displays the mean $F_1$ values per year for both corpora and absolute and relative feature sets for eNERQ. Compared to eNERD, the lookahead performance for eNERQ is higher. Except for SGD, the mean $F_1$ of other classifier pipelines predominantly remains above the baseline. For both tasks eNERD and eNERQ, it is visible that the $F_1$ rises with an increasing $T_{ACK}$ year. We argue that the features of eNEs with $T_{ACK}$ in the “remote future” are more discriminable compared to eNEs that have a $T_{ACK}$ close to the year of the analysis. The lookahead analysis showed that the best t-eNER-CLF classifier pipelines
can correctly recognize eNEs in a range of at least eight years with approx. baseline or better performance.  

8.4 Temporal eNER Classification  
Evaluation with Label Imbalance

While the subsection before was intended to evaluate the general appropriateness of our model, this subsection is intended to evaluate our approach concerning a real-world scenario. Hence, we evaluate the t-eNER-CLF approach in a scenario with imbalanced class labels, i.e., the classes “eNE” and “non-eNE” have a ratio of 1:50. This ratio is derived from the naive rule-based approach of the b-NLP-NER task that revealed approximately this ratio between eNE and non-eNE noun-chunks. In this subsection, we changed the scales of the plots to have a better-detailed view. Hence, the plots are not visually comparable to those from the former subsection. The common-sense baseline, as used in the balanced ratio for the 1:50 ratio, is 0.04 for a trivial classifier with recall one and precision 0.02. In addition, we introduce a second baseline that comes from our real-world b-NLP-NER setup. The spacy training model, based only on textual features, achieves a $F_1$ value of 0.07 for MEDLINE and 0.06 for PMC OA (see Table 1).

Figure 10 displays the resulting max. and mean $F_1$ results for absolute and relative features for eNERD on both corpora. For the sub-task of eNERD the max. values for $F_1$ for the different pipeline combinations are in a span of [0.08, 0.2] for absolute features and [0.09, 0.2] for relative features for MEDLINE. For PMC OA the range of max $F_1$ values for absolute features is [0.08, 0.22] and [0.08, 0.23] for relative features.

Overall, Figures 11 and 11 indicate that for all corpora, subtasks and feature sets the mean and max $F_1$ values outperform the generic baseline. However, for eNERD, the SpaCy baselines are only exceeded by max. $F_1$ values of selected classifier pipelines. Only for the eNERD task on absolute features with PMC OA also the mean $F_1$ outperform the SpaCy baseline. This indicates that our temporal approach in principle is capable of keeping up with state of the art learning-based NER, especially when there are only small training sets available (see above). During our experiments, we found out that for a 1:50 class ratio pipeline without imbalance handling is not capable of achieving an $F_1 > 0$, so for both evaluations above, we did not consider them for the max. and mean $F_1$ values indicated in Figures 10 and 11. The following Figures 12 and 13 display the impact of different imbalance handling strategies on the $F_1$ values in dependency on the class ratio. They show exemplarily the $F_1$ performance of a GBC classifier pipeline. We have chosen GBC as in the 1:50 class ratio as it has shown good overall performance in all subtasks, corpora, and feature sets, compared to other classifiers (see above).

For all subtasks, corpora and feature sets it becomes clear, that with imbalanced class label ratios of $< \frac{1}{5}$ without imbalance handling for the respective $F_1$ is decreasing immediately towards 0. In all these cases imbalance handling significantly increases $F_1$ for smaller ratios. However, the plots indicate that the choice of concrete imbalance handling strategy (SMOTE, RUS, SMOTEENN) only influences the outcome marginally.

As with the balanced class ratio, the last evaluation step again is the lookahead performance. Fig-
Table 2: Examples for correct classified eNEs.

<table>
<thead>
<tr>
<th>Term / Query</th>
<th>(T_{ACK})</th>
<th>MeSH ID</th>
<th>Task</th>
</tr>
</thead>
<tbody>
<tr>
<td>neurokinin-1 receptor antagonists</td>
<td>2013</td>
<td>D064729</td>
<td>eNERD</td>
</tr>
<tr>
<td>atazanavir sulfate</td>
<td>2015</td>
<td>D000069446</td>
<td>eNERD</td>
</tr>
<tr>
<td>bortezomib treatment</td>
<td>2015</td>
<td>D000069286</td>
<td>eNERD</td>
</tr>
<tr>
<td>trali</td>
<td>2016</td>
<td>T000909011</td>
<td>eNERQ</td>
</tr>
<tr>
<td>lescol</td>
<td>2018</td>
<td>T209301</td>
<td>eNERQ</td>
</tr>
<tr>
<td>adalimumab</td>
<td>2015</td>
<td>D000068879</td>
<td>eNERQ</td>
</tr>
</tbody>
</table>

Figure 12: Imbalance Handling for GBC (\(F_1\), eNERD).
Figure 13: Imbalance Handling for GBC (\(F_1\), eNERQ).
Figure 14: eNERD Lookahead for Ratio 1:50.
Figure 15: eNERQ Lookahead for Ratio 1:50.

ures 14 and 15 indicate that for all analyzed cases, the lookahead performance over the whole time range again oscillates around the baselines. Furthermore, the figures reveal an overall increase towards the end of the time range, similar to the 1:1 class ratio. For eNERD towards the end of the time range, selected classifiers outperform the SpaCy baseline. This leads to the conclusion that in general, t-eNER-CLF is capable of early recognizing eNEs and can be used in addition to a textual training based approach.

8.5 Outlook: Qualitative Evaluation

Finally, to have “hands-on” results, we also conducted a qualitative evaluation and created an exemplar list of recognized eNEs for both sub-tasks. Table 2 displays an extract. Due to space limitation, the details of the qualitative evaluation will be published elsewhere. In general, the evaluation showed that t-eNER-CLF is capable of recognizing eNEs in a balanced label set with \(F_1\) values that are above generic baselines. The max. observed \(F_1\) is 0.76 for the task of eNERQ in a balanced setup. Except for SGD for balanced class labels, all evaluated classifier models mostly performed on a similar level. This leads to the conclusion that not the ML model, but the features have the main impact on the t-eNER-CLF outcome.

9 CONCLUSION

In our real-world scenario, the evaluation showed that t-eNER-CLF connected with a rule-based b-NLP-NER can keep up with baselines achieved by our textual training SpaCy NER models. However, the ratio between eNE and non-eNE (class imbalance) in
particular use cases significantly influences the performance, as also already reported by (Chen et al., 2013) in their emerging Topic scenario. This requires the use of an appropriate imbalance handling strategy. Applying sufficient feature engineering and designing an ML pipeline with a proper combination of an ML and an imbalance handling strategy is the major challenge for future practical use of eNER on temporal IR features, e.g., in medical argumentation support. The difference between max. and mean evaluation results, in particular, cases, indicates that the models in those cases may be prone to overfitting. Overall the results indicate that as future work, more non-local features should be considered in the classification, as proposed by (Chen et al., 2013). Feature candidates from MEDLINE are, e.g., the number of non-emerging MeSH concepts per document in the result set, or the publishing journals’ IDs in the result set. Parameter optimization of the ML models is also advised.

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