DeIDNER Model: A Neural Network Named Entity Recognition Model for Use in the De-identification of Clinical Notes

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Keywords: Clinical Named Entity Recognition, Deep Learning, De-identification, Word Embeddings, and Natural Language Processing.

Abstract: Clinical named entity recognition (NER) is an essential building block for many downstream natural language processing (NLP) applications such as information extraction and de-identification. Recently, deep learning (DL) methods that utilize word embeddings have become popular in clinical NLP tasks. However, there has been little work on evaluating and combining the word embeddings trained from different domains. The goal of this study is to improve the performance of NER in clinical discharge summaries by developing a DL model that combines different embeddings and investigate the combination of standard and contextual embeddings from the general and clinical domains. We developed: 1) A human-annotated high-quality internal corpus with discharge summaries and 2) A NER model with an input embedding layer that combines different embeddings: standard word embeddings, context-based word embeddings, a character-level word embedding using a convolutional neural network (CNN), and an external knowledge sources along with word features as one-hot vectors. Embedding was followed by bidirectional long short-term memory (Bi-LSTM) and conditional random field (CRF) layers. The proposed model reaches or overcomes state-of-the-art performance on two publicly available data sets and an F1 score of 94.31% on an internal corpus. After incorporating mixed-domain clinically pre-trained contextual embeddings, the F1 score further improved to 95.36% on the internal corpus. This study demonstrated an efficient way of combining different embeddings that will improve the recognition performance aiding the downstream de-identification of clinical notes.

1 INTRODUCTION

Named entity recognition (NER) is an important step in any natural language processing (NLP) task. Clinical NER, i.e., NER applied to unstructured data in medical records, has received much more attention recently (Catelli et al., 2020). Clinical NER allows recognizing and labeling entities in the clinical text, which is an essential building block for many downstream NLP applications such as information extraction from and de-identification of entities in clinical narratives.

Early clinical NER systems often relied on rule-based techniques, which heavily depend on dictionaries or ontologies (Liu et al., 2017). Later, a number of machine learning (ML), deep learning (DL), and hybrid models emerged and provided improved performance (Syeda et al., 2021; S. Wu et al., 2020). A major challenge with these later models is access to a corpus of labeled data for training,
testing, and evaluating the models (Syed, Syed, et al., 2021). To promote the development and evaluation of clinical NER systems, workshops like Informatics for Integrating Biology and the Bedside (I2B2) have released open access labeled corpora (Stubbs & Uzuner, 2015). In addition, several studies devoted a significant amount of resources to developing corpora for domain-specific clinical NER tasks (Syed, Al-Shukri, et al., 2021). Models trained on such domain-specific corpora demonstrate improved accuracy in named entity recognition and model performance (Habibi, Weber, Neves, Wiegandt, & Leser, 2017). However, because of privacy concerns, these data sets are either not publicly released or contain synthetic identifiers affecting the generalizability of the models.

Recently, DL-based NER algorithms have been proposed for solving a wide range of text mining and NLP tasks (Luo et al., 2018; Y. Wu, Jiang, Xu, Zhi, & Xu, 2018). They have a significant advantage over traditional ML methods as DL techniques do not require extensive feature engineering (Burns, Li, & Peng, 2019). The core concept of such DL methods is to compute distributed representations of words, i.e., word embeddings, in the form of vectors (Li, Sun, Han, & Li, 2020). Early word embedding models such as Word2Vec (Mikolov, Chen, Corrado, & Dean, 2013), GloVe (Pennington, Socher, & Manning, 2014), and fastText (Bojanowski, Grave, Joulin, & Mikolov, 2017) have demonstrated good performance in many NLP tasks. However, these models are context-free generating a single word embedding representation for each word not adjusted to the surrounding context. More recent word embedding models such as Bidirectional Encoder Representations from Transformers (BERT) (Devlin, 2019), embeddings from language models (ELMo) (Peters et al., 2018), and FLAIR (Abkib, Blythe, & Vollgraf, 2018) addresses this deficiency by adjusting the context of the word based on the surroundings (Khattak et al., 2019). The major difference between above contextual word embedding models is that BERT uses vocabulary that contains words and subwords extracted from general domain and generally needs to be updated when pre-trained to specific domain, whereas FLAIR and ELMo uses sequence of characters to build word-level embeddings and independent of such vocabulary (Tai, Kung, Dong, Comiter, & Kuo, 2020).

In addition to word embeddings, combining character-level word embeddings have proven to be critical for NER tasks. In the context of combining word embeddings along with character-level word embeddings, Lample et al. (Lample, Ballesteros, Subramanian, Kawakami, & Dyer, 2016) used long short-term memory (LSTM) character-level word embeddings whereas Ma and Hovy (Ma & Hovy, 2016) used convolutional neural networks (CNN). Zhai et al. (Zhai, Nguyen, & Verspoor, 2018) further confirmed the choice of LSTM or CNN character-level word embeddings in Bi-LSTM CRF model did not have clear positive effect on the performance, however CNN shows advantage in reducing training complexity and was recommended.

To date, the most successful DL model for NER is a bidirectional long short-term memory (Bi-LSTM) with conditional random field (CRF) architecture first proposed by Huang et al. (Huang, Xu, & Yu, 2015). Several recent studies have applied off-the-shelf general domain, pre-trained clinical embeddings, and mixed-domain embeddings methods as input to NER models (Alsentzer et al., 2019; Catelli, Casola, De Pietro, Fujita, & Esposito, 2021). However, very few studies have explored the full potential of combining these embeddings, especially in identifying the entities related to de-identification from clinical narratives. Jiang et al. (Jiang, Sanger, & Liu, 2019) demonstrated the combination of the standard word embeddings (Word2Vec), contextual embeddings (FLAIR and ELMo), and semantic embeddings to identify clinical entities such as treatments, problems, and tests. However, above study utilized Word2Vec standard word embeddings, but not GloVe, which is a superior standard word embeddings method and uses word co-occurrence matrix in generating quality word representations (Min, Zeng, Chen, Chen, & Jiang, 2017). In addition, above study did not utilize additional character-level word embedding and instead rely on FLAIR and ELMo character-based architecture. Augmenting the embeddings with an additional character-level word embedding using a CNN architecture could play a complementary role in fully exploiting the potential of different embeddings and improve the overall performance.

This study describes our NER model, which addresses the limitation of earlier studies in combining different embeddings, and its potential to generate accurate named entities that will aid in the de-identification of medical texts and other downstream clinical NLP tasks. Our main contributions include the following:

- Carefully preparing a human-annotated corpus with hospital discharge summaries to train and evaluate the model for generalizability.
- We present an innovative DL NER model, DeIDNER, specifically useful for generating named entities that will be used in a larger model to de-identify clinical texts (e.g., discharge
summaries). The model comprises of an input embedding layer that combines: standard word embeddings (GloVe), context based word embeddings (FLAIR), a character-level word embedding using a CNN, and external knowledge bases along with word features as one-hot vectors followed by Bi-LSTM CRF layers.

- A detailed systematic analysis is performed on the effect of mixed-domain clinical pre-trained contextual embeddings on the internal corpus.

2 MATERIALS AND METHODS

2.1 Data Sets

This study was conducted with University of Arkansas for Medical Sciences (UAMS) institutional review board approval (IRB #228649). This study used three datasets, two of which are publicly available (CoNLL-2003 data and 2014 I2B2 challenge datasets), and an internally generated corpus. The internal corpus was developed from our previous work, and consists of 500 discharge summary notes. The named entity labels in the internal corpus include: PERSON, LOCATION, ORGANIZATION, DATE, AGE, ID, and PHONE which are in BIO (Begin, Inside, Outside) notation format.

2.2 Neural Network Model Architecture

Figure 1 gives the main structure of our model that consists of 1) input embeddings layer with all different word embeddings, and 2) a recurrent neural network (RNN) layer that takes concatenated embeddings from the input layer, and finally 3) a CRF layer that obtains a globally optimal chain of labels for a given sequence considering the correlations between adjacent tags.

2.2.1 Input Embeddings Layer

This layer is used to generate word embeddings in order to fit the text stream to our neural network model. The word embeddings capture semantic and syntactic meanings of words based on their surrounding words, and are widely used in many NLP tasks. This layer consists of four different embeddings: 1) Standard word embeddings using GloVe, 2) Contextualized word embeddings using FLAIR, 3) Character level word embeddings using CNN, and 4) Semantic embeddings as one-hot vectors.

1. Standard Word Embeddings: For standard word embeddings, we have used Stanford’s pre-trained GloVe (Pennington et al., 2014) with 100-dimensional word embeddings to generate vector representation of the input words. GloVe pre-trained embeddings on an out-of-domain corpus provide broad vocabulary coverage. In addition, GloVe embeddings tend to perform better where context is not important.

2. Context-based Word Embeddings: FLAIR embeddings, a context-dependent word representation, were used to generate vector representations of a word based on its context in a sentence. The experiment performed by Habibi et al. (Habibi et al., 2017) showed that word embeddings trained on biomedical corpora improve the model’s performance. Thus, we have experimented with two different FLAIR embeddings in our model based on the data-set:

- A base version of FLAIR embeddings for two public data-sets evaluation and
- A pre-trained version of FLAIR trained on 12,000 discharge summaries from the UAMS Electronic Health Record (EHR) system separate from 500 discharge summaries used for evaluation. We followed the method Akbik et al. (Akbik et al., 2018) introduced to train the FLAIR base model with similar parameter settings: learning rate 0.1, batch size 32, dropout 0.5, patience number 6, and 250 epochs. This pre-trained version was used only against the internal corpus evaluation.
3. **Character-level Word Embeddings**: Apart from the word-level embeddings, character-level word embeddings contain rich structural information of an entity and are widely used in many NLP tasks. To provide character-level morphological information and alleviate out of vocabulary problems, we generated character-level word embeddings using a CNN adopted from Zhang et al. (Zhang, Zhao, & LeCun, 2015) with all the default settings.

4. **Semantic One-hot Vector Embeddings**: Due to the complexity of the clinical domain, integrating external knowledge sources into deep learning models has shown improved results in clinical NLP tasks. Here, we employed a one-hot vector representation for each type of external knowledge sources and lexical word feature. The external knowledge sources are adopted from the Neamatullah et al. (Neamatullah et al., 2008) study including common first names, last names, geo locations, and selected list of medical terms compiled from Unified Medical Language System (UMLS) thesaurus.

Finally, all the different embeddings are combined with a simple concatenation method before feeding it to the deep neural network model.

### 2.2.2 Neural Network Model and CRF Layer

To date, most state-of-the-art sequential text data algorithms have used LSTM (Yu, Si, Hu, & Zhang, 2019). However, conventional LSTMs are only able to make use of a previous context. To overcome this limitation, we adopted the Bi-LSTM proposed by Huang et al. (Huang et al., 2015), which can leverage the context information in both forward and backward directions.

\[
\begin{align*}
    i_t &= \sigma (W_{ixt} x_t + W_{ih} h_{t-1} + W_{ic} c_{t-1} + b_i) \\
    f_t &= \sigma (W_{fxt} x_t + W_{fh} h_{t-1} + W_{fc} c_{t-1} + b_f) \\
    c_t &= f_t c_{t-1} + i_t \tanh(W_{cx} x_t + W_{ch} h_{t-1} + b_c) \\
    o_t &= \sigma (W_{ox} x_t + W_{oh} h_{t-1} + W_{oc} c_t + b_o) \\
    h_t &= o_t \tanh(c_t)
\end{align*}
\]

where \( \sigma \) is the logistic sigmoid function, \( x_t \) is the input vector at time \( t \) and \( h_t \) is the hidden state vector. Weights \( W_x, W_c, W_h \) and bias constants \( b_i, b_f, b_c, b_o \) are the parameters to be learned. \( x=(x_1, x_2, \ldots, x_n) \) is the input sequence that can be fed into a classification layer for many classification tasks. As shown in Figure 1, the output from the input embeddings layer which is a concatenation of the different types of embeddings described in the previous sections is given as input to the Bi-LSTM layer.

Finally, the last layer is a CRF layer that utilizes hidden states from the word-level Bi-LSTM and uses neighbor tag information in predicting the current tag. Again, it has been shown that CRFs can produce better tagging accuracy.

### 3 EXPERIMENTS AND EVALUATION

This section outlines the experiments performed to validate and evaluate the proposed model separately against internal corpus and public data-sets. We used the following configuration for all the experiments: learning rate 0.1, batch size 32, dropout 0.5, patience number 5, and the number of epochs was 150.

#### 3.1 Experiments on Public Data-sets

In this experimental setup, we evaluate our proposed model, DeIDNER by combining all four different embeddings described earlier; namely (1) standard word embeddings using GloVe, (2) base version of FLAIR contextual embeddings, (3) character-level word embeddings using a CNN, and (4) semantic one-hot vector embeddings.

This experiment was to verify and demonstrate the effectiveness of the developed model using domain agnostic or general embeddings. Specifically, against two publicly available data sets, CoNLL-2003 and I2B2 2014, to benchmark and compare the performance with state-of-the-art models that used above public datasets.

#### 3.2 Experiments on Internal Corpus

In this experimental setup, we evaluate our proposed model, DeIDNER, by combining all four different embeddings described earlier; namely (1) standard word embeddings using GloVe, (2) base version of FLAIR contextual embeddings, (3) character-level word embeddings using a CNN, and (4) semantic one-hot vector embeddings.

In all the experiments, we used the training set (70%) to learn model parameters, the validation set (10%) to select optimal hyper-parameters, and the test set (20%) to report the final results.

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3.3 Evaluation

For evaluating the model, we used the most common evaluation metrics for multi-class classification tasks: precision, recall, and F1 score. In addition, the performance of the model was assessed by a five-fold cross-validation approach. In order to obtain comparable and reproducible results, we followed the CoNLL-2003 model evaluation methodology at the entity level exact match and reporting the metrics after repeating the procedure five times and averaging the results.

\[
\text{Precision} = \frac{P}{M} \quad (6) \\
\text{Recall} = \frac{R}{N} \quad (7) \\
\text{F1 Score} = \frac{2PR}{P+R} \quad (8)
\]

\(M\) = total number of predicted entities in the sequence.
\(N\) = total number of ground truth entities in the sequence.
\(C\) = total number of correct entities.

A Tesla (NVIDIA Corporation) graphics processing unit was used to conduct the experiment. The source code was written in Pytorch 1.8 (GPU-enabled version) for Python 3.6.

4 RESULTS

4.1 Public Data-Set

Table 1&2 summarizes the performance of the proposed model against the public data-sets. Our proposed model reaches or overcomes state-of-the-art performance on two publicly available data sets, CoNLL-2003 and I2B2 2014.

The proposed model DeIDNER using general domain embeddings achieved an F1 score of 93.25% on CoNLL-2003 corpus and 94.89% on I2B2 2014 test data sets.

4.2 Internal Corpus

As shown in Table 3, the proposed model with general domain embeddings achieved an F1 score of 94.31%. The experimental setup with mixed-domain clinically pre-trained FLAIR embeddings yielded an improved F1 score of 95.36%. This clearly demonstrates the importance of mixed-domain clinically pre-trained word embeddings. The 5-fold cross validation of aforementioned best model against the internal gold corpus reported F1 score range of 94.85% - 95.36% with mean confidence interval (CI = 95%) was 95.19 ± 0.36.

Figures 2, show confusion matrix of our best performing model that combines all four embeddings on the internal corpus. The performance for DATE entity was best, and the worst for LOCATION followed by ORGANIZATION.

5 DISCUSSION

In this study, we investigated a DL based approach for clinical NER specifically focused on entities important for a clinical free de-identification task. We systematically analyzed the contributions of different embeddings in the input embeddings layer and the effect of mixed-domain clinically pre-trained performance on two publicly available data sets, CoNLL-2003 and I2B2 2014.

Table 1: DeIDNER model performance on CoNLL-2003 data set along with best published method in literature as baseline.

<table>
<thead>
<tr>
<th>Model</th>
<th>F1 Score (%)</th>
<th>Precision (%)</th>
<th>Recall (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Akbik et al. (Akbik et al., 2018)</td>
<td>93.09</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>DeIDNER</td>
<td>93.25</td>
<td>92.99</td>
<td>93.50</td>
</tr>
</tbody>
</table>

Table 2: DeIDNER model performance on I2B2 2014 data set along with best published method in literature as baseline.

<table>
<thead>
<tr>
<th>Model</th>
<th>F1 Score (%)</th>
<th>Precision (%)</th>
<th>Recall (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Catelli et al. (Catelli et al., 2021)</td>
<td>94.80</td>
<td>95.52</td>
<td>94.09</td>
</tr>
<tr>
<td>DeIDNER</td>
<td>94.89</td>
<td>95.96</td>
<td>93.84</td>
</tr>
</tbody>
</table>

Table 3: DeIDNER model performance on internal corpus with and without mixed-domain pre-training.

<table>
<thead>
<tr>
<th>Model</th>
<th>F1 Score (%)</th>
<th>Precision (%)</th>
<th>Recall (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>DeIDNER (without mixed-domain pre-training)</td>
<td>94.31</td>
<td>93.86</td>
<td>93.37</td>
</tr>
<tr>
<td>DeIDNER (with mixed-domain pre-training)</td>
<td>95.36</td>
<td>96.23</td>
<td>94.51</td>
</tr>
</tbody>
</table>
embeddings. We also demonstrated the generalizability of the model on the clinical corpus that we generated from discharge summary documents. Our methodology and findings are significant for future work in clinical NLP research.

The success of a NER model relies on how the text is represented and integrated in the input layer with different embeddings. Analysis by Akbik et al. (Akbik et al., 2018) demonstrated that combining standard word embeddings with contextual embeddings improves the performance of the NER models. In addition, Luo et al. (Luo et al., 2018) combined word embeddings with character-level embeddings and produced promising results. In our study, we demonstrated an effective way to incorporate different embeddings each representing different characteristics of knowledge contained in the corpora being analyzed. The results from our experiment against the two publicly available data-sets showed that our model is competitive compared to other methods in literature that used above data.

Many previous studies have demonstrated improved performance in the clinical NER models when using domain-specific embeddings, but not in entities that are non-clinical in nature like de-identification (Alsentzer et al., 2019; Catelli et al., 2021). However, in our experiments against the internal corpus, we have achieved an F1 score of 94.31% using general embeddings and improved F1 score of 95.36% when mixed-domain clinically pre-trained embeddings are used. This was an interesting finding and we wanted to further validate the F1 score improvement is statistically significant between the proposed models with and without mixed-domain clinically pre-trained embeddings. We performed a 5x2cv paired t-test (Dietterich, 1998). The results showed that the improvement of F-measure between DeIDNER model without pre-training and DeIDNER with mixed-domain clinical pre-training were statistically significant (P value < 0.05).

We conducted an analysis of errors in our proposed system. We observed that most errors occurred in entities that are long combined texts. For instance, in a LOCATION entity “4301 W Markham Street”, only part of it “W Markham Street” was predicted as a LOCATION. Another problem was ambiguities in the text. For instance, “St Louis” was predicted as ORGANIZATION instead of LOCATION. These errors are likely due to a lack of training data.

This research study has some inherent limitations. First, although we focused on different combinations of embeddings, we have not exhausted all individual embedding methods. For instance, standard word embeddings can be accomplished using many approaches, e.g., word2vec, FastText. We only used GloVe embeddings, as we believe this approach is more robust for generating standard embeddings. Similar to standard embeddings, we also did not exhaustively research the more recent context-based embeddings models but chose FLAIR which is the current state-of-the-art model and do not depend on vocabulary like BERT based variants. Finally, we used concatenation method to combine all the embeddings, which was simple and straightforward way of combining knowledge from different corpora. However, in our future work, we plan to explore ensemble method of combining the embeddings and evaluate the performance of downstream de-identification algorithms using the entities from our work.

6 CONCLUSIONS

In this paper, we proposed a unique deep learning method, combining multiple word embeddings that include both standard word embeddings and contextual word embeddings trained on clinical discharge summaries to improve recognition of named entities. The mixed-domain clinically pre-trained model achieved a best F1 score of 95.36%, which offers potential for further utilization in NLP research. The knowledge generated here may contribute to the downstream tasks, especially the de-identification of clinical narratives and has generated new insights relevant to the pre-processing stage of biomedical NLP end models.
ACKNOWLEDGEMENTS

This study was supported in part by the Translational Research Institute (TRI), grant UL1 TR003107 received from the National Center for Advancing Translational Sciences of the National Institutes of Health (NIH) and award AWD00053499, Supporting High Performance Computing in Clinical Informatics. The content of this manuscript is solely the responsibility of the authors and does not necessarily represent the official views of the NIH.

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