Using Soft Constraints in Joint Inference for Clinical Concept Recognition

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Abstract

This paper introduces IQPs (Integer Quadratic Programs) as a way to model joint inference for the task of concept recognition in clinical domain. IQPs make it possible to easily incorporate soft constraints in the optimization framework and still support exact global inference. We show that soft constraints give statistically significant performance improvements when compared to hard constraints.

1 Introduction

In this paper, we study the problem of concept recognition in the clinical domain. State-of-the-art approaches (de Bruijn et al., 2011; Patrick et al., 2011; Torii et al., 2011; Minard et al., 2011; Jiang et al., 2011; Xu et al., 2012; Roberts and Harabagiu, 2011; Jindal and Roth, 2013) for concept recognition in clinical domain (Uzun et al., 2011) use sequence-prediction models like CRF (Lafferty et al., 2001), MEMM (McCallum et al., 2000) etc. These approaches are limited by the fact that they can model only local dependencies (most often, first-order models like linear chain CRFs are used to allow tractable inference).

Clinical narratives, unlike newswire data, provide a domain with significant knowledge that can be exploited systematically to improve the accuracy of the prediction task. Knowledge in this domain can be thought of as belonging to two categories: (1) Background Knowledge captured in medical ontologies like UMLS (Url1, 2013), MeSH and SNOMED CT and (2) Discourse Knowledge driven by the fact that the narratives adhere to a specific writing style. While the former can be used by generating more expressive knowledge-rich features, the latter is more interesting from our current perspective, since it provides global constraints on what output structures are likely and what are not. We exploit this structural knowledge in our global inference formulation.

Integer Linear Programming (ILP) based approaches have been used for global inference in many works (Roth and Yih, 2004; Punyakanok et al., 2004; Punyakanok et al., 2008; Marciniak and Strube, 2005; Bramsen et al., 2006; Barzilay and Lapata, 2006; Riedel and Clarke, 2006; Clarke and Lapata, 2007; Clarke and Lapata, 2008; Denis et al., 2007; Chang et al., 2011). However, in most of these works, researchers have focussed only on hard constraints while formulating the inference problem.

Formulating all the constraints as hard constraints is not always desirable because the constraints are not perfect in many cases. In this paper, we propose Integer Quadratic Programs (IQPs) as a way of formulating the inference problem. IQPs is a richer family of models than ILPs and it enables us to easily incorporate soft constraints into the inference procedure. Our experimental results show that soft constraints indeed give much better performance than hard constraints.

2 Identifying Medical Concepts

Task Description Our input consists of clinical reports in free-text (unstructured) format. The task is: (1) to identify the boundaries of medical concepts and (2) to assign types to such concepts. Each concept can have 3 possible types: (1) Test, (2) Treatment, and (3) Problem. We would refer to these three types by TEST, TRE and PROB in the following discussion.

Our Approach In the first step, we identify the concept boundaries using a CRF (with BIO encod-
[Chest x-ray] gave positive evidence for [atelectasis] and [sarcoidosis].

(a) Example 1
No [hemoptysis], [hematemesis], [urgency], [abdominal pain], [black or tarry stools], [dysuria].

(b) Example 2

Table 1: Some patterns that were used in constraints.

| Pattern                                                                 |
|------------------------------------------------------------------------|
| 1 using [TRE] for [PROB]                                              |
| 2 [TEST] showed [PROB]                                                |
| 3 Patient presents with [PROB] status post [TRE]                      |
| 4 use [TRE] to correct [PROB]                                         |
| 5 [TEST] to rule out [PROB]                                           |
| 6 Unfortunately, [TRE] has caused [PROB]                             |

Inference Procedure: The final assignment of types to concepts is determined by an inference procedure. The basic principle behind our inference procedure is: “Types of concepts which appear close to one another are often closely related. For some concepts, type can be determined with more confidence. And relations between concepts’ types guide the inference procedure to determine the types of other concepts.” We will now explain it in more detail with the help of examples. Figure 1 shows two sentences in which the concepts are shown in brackets and correct (gold) types of concepts are shown above them.

First, consider first and second concepts in Figure 1a. These concepts follow the pattern: [Concept1] gave positive evidence for [Concept2]. In clinical narratives, such a pattern strongly suggests that Concept1 is of type TEST and Concept2 is of type PROB. Table 1 shows additional such patterns. Next, consider different concepts in Figure 1b. All these concepts are separated by commas and hence, form a list. It is highly likely that such concepts should have the same type.

3 Modeling Global Inference

Inference is done at the level of sentences. Suppose there are m concepts in a sentence. Each of the m concepts has to be assigned one of the following types: TEST, TRE, PROB or NULL. To represent this as an inference problem, we define the indicator variables \( x_{i,j} \) where \( i \) takes values from 1 to \( m \) (corresponding to concepts) and \( j \) takes values from 1 to 4 (corresponding to 4 possible types). \( p_{i,j} \) refers to the probability that the \( i^{th} \) concept has type \( j \).

We can now write the following optimization problem to find the optimal concept types:

\[
\max_x \sum_{i=1}^{m} \sum_{j=1}^{4} x_{i,j} \cdot p_{i,j} \\
\text{subject to } \sum_{j=1}^{4} x_{i,j} = 1 \quad \forall i \\
x_{i,j} \in \{0, 1\} \quad \forall i, j
\]
a unique type. We would refer to these as Type-1 constraints.

3.1 Constraints Used

In this subsection, we will describe two additional types of constraints (Type-2 and Type-3) that were added to the optimization procedure described above. Whereas Type-1 constraints described above were formulated as hard constraints, Type-2 and Type-3 constraints are formulated as soft constraints.

3.1.1 Type-2 Constraints

Certain constructs like comma, conjunction, etc. suggest that the 2 concepts appearing in them should have the same type. Figure 1b shows an example of such a constraint. Suppose that there are $n_2$ such constraints. Also, assume that the $l^{th}$ constraint says that the concepts $R_l$ and $S_l$ should have the same type. To model this, we define a variable $w_l$ as follows:

$$w_l = \sum_{m=1}^{4} (x_{R_l,m} - x_{S_l,m})^2$$  \hspace{1cm} (4)$$

Now, if the concepts $R_l$ and $S_l$ have the same type, then $w_l$ would be equal to 0; otherwise, $w_l$ would be equal to 2. So, the $l^{th}$ constraint can be enforced by subtracting $(\rho_2 \cdot \frac{w_l}{2})$ from the objective function given by Equation (1). Thus, a penalty of $\rho_2$ would be enforced if this constraint is violated.

3.1.2 Type-3 Constraints

Some short patterns suggest possible types for the concepts which appear in them. Each such pattern, thus, enforces a constraint on the types of corresponding concepts. Figure 1a shows an example of such a constraint. Suppose that there are $n_3$ such constraints. Also, assume that the $k^{th}$ constraint says that the concept $A_{1,k}$ should have the type $B_{1,k}$ and that the concept $A_{2,k}$ should have the type $B_{2,k}$. Equivalently, the $k^{th}$ constraint can be written as follows in boolean algebra notation: $(x_{A_{1,k},B_{1,k}} = 1) \land (x_{A_{2,k},B_{2,k}} = 1)$. For the $k^{th}$ constraint, we introduce one more variable $z_k \in \{0,1\}$ which satisfies the following condition:

$$z_k = 1 \iff x_{A_{1,k},B_{1,k}} \land x_{A_{2,k},B_{2,k}}$$  \hspace{1cm} (5)$$

Using boolean algebra, it is easy to show that Equation (5) can be reduced to a set of linear inequalities. Thus, we can incorporate the $k^{th}$ constraint in the optimization problem by adding to it the constraint given by Equation (5) and by subtracting $(\rho_3(1 - z_k))$ from the objective function given by Equation (1). Thus, a penalty of $\rho_3$ is imposed iff $k^{th}$ constraint is not satisfied ($z_k = 0$).

3.2 Final Optimization Problem - An IQP

After incorporating all the constraints mentioned above, the final optimization problem (an IQP) is shown in Figure 2. We used Gurobi toolkit (Url6, 2013) to solve such IQPs. In our case, it solves 76 IQPs per second on a quad-core server with Intel Xeon X5650 @ 2.67 GHz processors and 50 GB RAM.

4 Experiments and Results

4.1 Datasets and Evaluation Metrics

For our experiments, we used the datasets provided by i2b2/VA team as part of 2010 i2b2/VA shared task (Uzuner et al., 2011). The datasets used for this shared task contained de-identified clinical reports from three medical institutions: Partners Healthcare (PH), Beth-Israel Deaconess Medical Center (BIDMC) and the University of Pittsburgh Medical Center (UPMC). UPMC data was divided into 2 sections, namely discharge (UPMCD) and progress notes (UPMCP). A total of 349 training reports and 477 test reports were made available to the participants. However, data which came from UPMC (more than 50% data) was not made available for public use. As a result, we had only 170 clinical reports for training and 256 clinical reports for testing. Table 3 shows the number of clinical reports made available by different institutions. The
Table 2: Our final system, **BKC**, consistently performed the best among all 4 systems (**B**, **BK**, **BC** and **BKC**).

|       | PH | BIDMC | UPMCD | UPMCP |
|-------|----|-------|-------|-------|
| Train | 97 | 73    | 98    | 84    |
| Test  | 133| 123   | 102   | 119   |

**Table 3:** Dataset Characteristics

strikethrough text in this table indicates that the data was not made available for public use and hence, we couldn’t use it. We used about 20% of the training data as a development set. For evaluation, we report precision, recall and F1 scores.

### 4.2 Results

In this section, we would refer to following 4 systems: (1) Baseline (**B**), (2) Baseline + Knowledge (**BK**), (3) Baseline + Constraints (**BC**) and (4) Baseline + Knowledge + Constraints (**BKC**). Please note that the difference between **B** and **BK** is that **B** does not use the features derived from domain-specific knowledge sources (namely MetaMap, UMLS, MeSH and SNOMED CT) for training the classifiers. Both **B** and **BK** do not use the inference procedure. **BKC** uses all the features and also the inference procedure. In addition to these 4 systems, we would refer to another system, namely, **BKC-HARD**. This is similar to **BKC** system. However, it sets \( \rho_2 = \rho_3 = 1 \) which effectively turns **Type-2** and **Type-3** constraints into hard constraints by imposing very high penalty.

#### 4.2.1 Importance of Soft Constraints

Figures 3a and 3b show the effect of varying the penalties (\( \rho_2 \) and \( \rho_3 \)) for **Type-2** and **Type-3** constraints respectively. These figures show the F1-score of **BKC** on the development set. Penalty of 0 means that the constraint is not active. As we increase the penalty, the constraint becomes stronger. As the penalty becomes 1, the constraint becomes hard in the sense that final assignments must respect the constraint. We observe from Figures 3a and 3b that for **Type-2** and **Type-3** constraints, global maxima is attained at \( \rho_2 = 0.6 \) and \( \rho_3 = 0.3 \) respectively.

**Hard vs Soft Constraints** Table 4 compares the performance of **BKC-HARD** with that of **BKC**. First 3 rows in this table show the performance of both systems for the individual categories (**TEST**, **TRE** and **PROB**). The fourth row shows the overall score of both systems. **BKC** outperformed **BKC-HARD** on all the categories by statistically significant differences at \( p = 0.05 \) according to Bootstrap Resampling Test (Koehn, 2004). For the **OVERALL** category, **BKC** improved over **BKC-HARD** by 1.0 F1 points.
4.2.2 Comparing with state-of-the-art baseline

In the 2010 i2b2/VA shared task, majority of top systems were CRF-based models, motivating the use of CRF as our baseline. Table 2 compares the performance of 4 systems: B, BK, BC and BKC. As pointed out before, our BK system uses CRF for boundary detection, employs all the knowledge-based features and is very similar to the top-performing systems in i2b2 challenge. We see from Table 2 that BKC consistently performed the best for individual as well as overall categories\(^1\). This result is statistically significant at \(p = 0.05\) according to Bootstrap Resampling Test (Koehn, 2004). It should also be noted that BC performed significantly better than B for all the categories. Thus, the constraints are helpful even in the absence of knowledge-based features. Since we report results on publicly available datasets, future works would be able to compare their results with ours.

4.2.3 Effect of training data size

In Figure 4, we report the overall F1-score on a part of the development set as we vary the size of the training data from 40 documents to 130 documents. We notice that the performance increases steadily as more and more training data is provided. This suggests that if we could train on full training data as was made available in the challenge, the final scores could be much higher. We also notice from the figure that BKC consistently outperforms the state-of-the-art BK system as we vary the size of the training data, indicating the robustness of the joint inference procedure.

\(^1\)Please note that the results reported in Table 2 can not be directly compared with those reported in the challenge because we only had a fraction of the original training and testing data.

5 Discussion and Related Work

In this paper, we chose to train a rather simple sequential model (using CRF), and focused on incorporating global constraints only at inference time\(^2\). While it is possible to jointly train the model with the global constraints (as illustrated by Chang et al. (2007), Mann and McCallum (2007), Mann and McCallum (2008), Ganchev et al. (2010) etc.), this process will be a lot less efficient, and prior work (Roth and Yih, 2005) has shown that it may not be beneficial.

Roth and Yih (2004, 2007) suggested the use of integer programs to model joint inference in a fully supervised setting. Our paper follows their conceptual approach. However, they used only hard constraints in their inference formulation. Chang et al. (2012) extended the ILP formulation and used soft constraints within the Constrained Conditional Model formulation (Chang, 2011). However, their implementation performed only approximate inference. In this paper, we extended the integer linear programming to a quadratic formulation, arguing that it simplifies the modeling step\(^3\), and showed that it is possible to do exact inference efficiently.

Conclusion

This paper presented a global inference strategy (using IQP) for concept recognition which allows us to model structural knowledge of the clinical domain as soft constraints in the optimization framework. Our results showed that soft constraints are more effective than hard constraints.

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\(^2\)In another experiment, we replaced the CRF with an MEMM. Surprisingly, MEMM performed as well as CRF.

\(^3\)It should be noted that it is possible to reduce IQPs to ILPs using variable substitution. However, the resulting ILPs can be exponentially larger than original IQPs.
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