Abstract

Automatic ICD coding is defined as assigning disease codes to electronic medical records (EMRs). Existing methods apply label attention with code representations to match related text snippets for coding. Unlike these works that model the label with the code hierarchy or description, we argue that the code synonyms can provide more comprehensive knowledge based on the observation that the code expressions in EMRs vary from their descriptions in ICD. By aligning codes to concepts in UMLS, we collect synonyms of every code in ICD. Then, we propose a multiple synonyms matching network to leverage synonyms for better code representation learning, and finally help the code classification. Experiments on two settings of the MIMIC-III dataset show that our proposed method outperforms previous state-of-the-art methods.

1 Introduction

International Classification of Diseases (ICD) is a classification and terminology that provides diagnostic codes with descriptions for diseases\(^1\). The task of ICD coding refers to assigning ICD codes to electronic medical records (EMRs) which is highly related to clinical tasks or systems including patient similarity learning (Suo et al., 2018), medical billing (Sonabend et al., 2020), and clinical decision support systems (Sutton et al., 2020). Traditionally, healthcare organizations have to employ specialized coders for this task, which is expensive, time-consuming, and error-prone. As a result, many methods have been proposed for automatic ICD coding since the 1990s (de Lima et al., 1998).

Deep learning methods usually treat this task as a multi-label classification problem (Xie and Xing, 2018; Li and Yu, 2020; Zhou et al., 2021), which learn deep representations of EMRs with an RNN or CNN encoder and then predict codes with a multi-label classifier. Recent state-of-the-art methods propose label attention that uses the code representations as attention queries to extract the code-related representations\(^2\) (Mullenbach et al., 2018). Following this idea, many works further propose using code hierarchical structures (Fallis et al., 2019; Xie et al., 2019; Cao et al., 2020) and descriptions (Cao et al., 2020; Song et al., 2020) for better label representations.

In this work, we argue that the synonyms of codes can provide more comprehensive information. For example, the description of code 244.9 is “Unspecified hypothyroidism” in ICD. However, this code can be described in different forms in EMRs such as “low t4” and “subthyroidism”. Fortunately, these different expressions can be found in the Unified Medical Language System (Bodenreider, 2004), a repository of biomedical vocabularies that contains various synonyms for all ICD codes. Therefore, we propose to leverage synonyms of codes to help the label representation learning and further benefit its matching to the EMR texts.

To model the synonym and its matching to EMR text, we further propose a Multiple Synonyms Matching Network (MSMN). Specifically, we first apply a shared LSTM to encode EMR texts and each synonym. Then, we propose a novel multi-synonyms attention mechanism inspired by the multi-head attention (Vaswani et al., 2017), which considers synonyms as attention queries to extract different code-related text snippets for code-wise representations. Finally, we propose using a biaffine-based similarity of code-wise text representations and code representations for classification.

We conduct experiments on the MIMIC-III dataset with two settings: full codes and top-50 codes. Results show that our method performs better than previous state-of-the-art methods. We will release our codes for further research.

\(^1\)who.int/standards/classifications/classification-of-diseases

\(^2\)“Label” is equivalent to “code” in this paper.


2 Approach

Consider free text $S$ (usually discharge summaries) from EMR with words $\{w_i\}_{i=1}^N$. Let $C$ be the ICD codes set, for each code $l \in C$ with code description $l^1$ from ICD, the task is to assign a binary label $y_l \in \{0, 1\}$ based on $S$. Figure 1 shows an overview of our method.

2.1 Code Synonyms

We extend the code description $l^1$ by synonyms from the medical knowledge graph (i.e., UMLS Metathesaurus). We first align the code to the Concept Unique Identifiers (CUIs) from UMLS. Then we select corresponding synonyms of English terms from UMLS with same CUIs and add additional synonyms by removing hyphens and the word “NOS” (Not Otherwise Specified). We denote (Hochreiter and Schmidhuber, 1997) as our encoder. We use pre-trained word embeddings to map code synonym representations to query $q_l$ to code $l$ in which each code synonym $l^j$ is composed of words $\{l^j_i\}_{i=1}^N$.

2.2 Encoding

Previous works (Ji et al., 2021; Pascual et al., 2021) have shown that pretrained language models like BERT (Devlin et al., 2019) cannot help the ICD coding performance, hence we use an LSTM (Hochreiter and Schmidhuber, 1997) as our encoder. We use pre-trained word embeddings to map words $w_i$ to $x_i$. A $d$-layer bi-directional LSTM layer with output size $h$ is followed by word embeddings to obtain text hidden representations $H$.

$$H = h_1, ..., h_N = \text{Enc}(x_1, ..., x_N)$$ (1)

For code synonym $l^j$, we apply the same encoder with a max-pooling layer to obtain representation $q^j_l \in \mathbb{R}^h$.

$$q^j_l = \text{MaxPool}(\text{Enc}(x^j_1, ..., x^j_{N_j}))$$ (2)

2.3 Multi-synonyms Attention

To interact text with multiple synonyms, we propose a multi-synonyms attention inspired by the multi-head attention (Vaswani et al., 2017). We split $H \in \mathbb{R}^{N \times h}$ into $m$ heads $H^1, ..., H^m$:

$$H = H^1, ..., H^m$$ (3)

Then, we use code synonyms $q^j_l$ to query $H^j$. We take the linear transformations of $H^j$ and $q^j_l$ to calculate attention scores $\alpha^j_l \in \mathbb{R}^N$. Text related to code synonym $l^j$ can be represented by $H\alpha^j_l$. We aggregate code-wise text representations $v_l \in \mathbb{R}^h$ using max-pooling of $H\alpha^j_l$ since the text only needs to match one of the synonyms.

$$\alpha^j_l = \text{softmax}(W_Q q^j_l \cdot \text{tanh}(W_H H^j))$$ (4)

$$v_l = \text{MaxPool}(H\alpha^j_l, ..., H\alpha^m_l)$$ (5)

2.4 Classification

We classify whether the text $S$ contains code $l$ based on the similarity between code-wise text representation $v_l$ and code representation. We aggregate code synonym representations $\{q^j_l\}$ to code representation $q_l \in \mathbb{R}^h$ by max-pooling. We then propose using a biaffine transformation to measure the similarity for classification:

$$q^j_l = \text{MaxPool}(\text{Enc}(x^j_1, ..., x^j_{N_j}))$$ (2)

$$\tilde{y}_l = \sigma(\log\gamma_l) = \sigma(v^T_l \cdot W_q q_l)$$ (7)

Previous works (Mullenbach et al., 2018; Vu et al., 2020) classify codes via$^3$:

$$\tilde{y}_l = \sigma(\log\gamma_l) = \sigma(v^T_l \cdot w_l)$$ (8)

Their work need to learn code-dependent parameters $|w_l|_{l \in C} \in \mathbb{R}^{|C| \times h}$ for classification, which suffers from training rare codes. On the contrary, our biaffine function that replaces $W_q q_l$ to $w_l$ only needs to learn code-independent parameters $W_l \in \mathbb{R}^{h \times h}$.

2.5 Training

We optimize the model using binary cross-entropy between predicted probabilities $\tilde{y}_l$ and labels $y_l$:

$$\mathcal{L} = \sum_{l \in C} -y_l \log(\tilde{y}_l) - (1 - y_l) \log(1 - \tilde{y}_l)$$ (9)

$^3$We omit the biases in all equations for simplification.
### Table 1: Results on the MIMIC-III full test set.

| Method             | AUC Macro | AUC Micro | F1 Macro | F1 Micro | Precision@8 | Precision@15 |
|--------------------|-----------|-----------|----------|----------|--------------|--------------|
| CAML (Mullenbach et al., 2018) | 89.5      | 98.6      | 8.8      | 53.9     | 70.9         | 56.1         |
| MSATT-KG (Xie et al., 2019)    | 91.0      | 99.2      | 9.0      | 55.3     | 72.8         | 58.1         |
| MultiResCNN (Li and Yu, 2020) | 91.0      | 98.6      | 8.5      | 55.2     | 73.4         | 58.4         |
| HyperCore (Cao et al., 2020)  | 93.0      | 98.9      | 9.0      | 55.1     | 72.2         | 57.9         |
| LAAT (Vu et al., 2020)         | 91.9      | 98.8      | 9.9      | 57.5     | 73.8         | 59.1         |
| JointLAAT (Vu et al., 2020)    | 92.1      | 98.8      | 10.7     | 57.5     | 73.5         | 59.0         |
| MSMN                           | 95.0      | 99.2      | 10.3     | 58.4     | 75.2         | 59.9         |

### Table 2: Results on the MIMIC-III 50 test set.

| Method             | AUC Macro | AUC Micro | F1 Macro | F1 Micro | P@5          |
|--------------------|-----------|-----------|----------|----------|--------------|
| CAML               | 87.5      | 90.9      | 53.2     | 61.4     | 60.9         |
| MSATT-KG           | 91.4      | 93.6      | 63.8     | 68.4     | 64.4         |
| MultiResCNN        | 89.9      | 92.8      | 60.6     | 67.0     | 64.1         |
| HyperCore          | 89.5      | 92.9      | 60.9     | 66.3     | 63.2         |
| LAAT               | 92.5      | 94.6      | 66.6     | 71.5     | 67.5         |
| JointLAAT          | 92.5      | 94.6      | 66.1     | 71.6     | 67.1         |
| MSMN               | 92.8      | 94.7      | 68.3     | 72.5     | 68.0         |

### 3 Experiments

#### 3.1 Dataset

MIMIC-III dataset (Johnson et al., 2016) contains deidentified discharge summaries with human-labeled ICD-9 codes. We use the same splits with previous works (Mullenbach et al., 2018; Vu et al., 2020) with two settings as full codes (MIMIC-III full) and top-50 frequent codes (MIMIC-III 50). We follow the preprocessing of Xie et al. (2019); Vu et al. (2020) to truncate discharge summaries at 4,000 words. We measure the results using macro AUC, micro AUC, macro F₁, micro F₁ and precision@k (k = 5 for MIMIC-III 50, 8 and 15 for MIMIC-III full). Detailed statistics of the MIMIC-III dataset are listed in Appendix A.

#### 3.2 Implementation Details

We sample \( m = 4 \) and 8 synonyms per code for MIMIC-III full and MIMIC-III 50 respectively. We use the same word embeddings as Vu et al. (2020) which are pretrained on the MIMIC-III discharge summaries using CBOW (Mikolov et al., 2013) with hidden size 100. We apply R-Drop with \( \alpha = 5 \) (Liang et al., 2021) to regularize the model to prevent over-fitting. We train MSMN with AdamW (Loshchilov and Hutter, 2019) with a linear learning rate decay. We optimize the threshold of classification using the development set.

#### 3.3 Baselines

CAML (Mullenbach et al., 2018) uses CNN to encode texts and proposes label attention for coding. MSATT-KG (Xie et al., 2019) applies multi-scale attention and GCN to capture codes relations. MultiResCNN (Li and Yu, 2020) encodes text using multi-filter residual CNN. HyperCore (Cao et al., 2020) embeds ICD codes into the hyperbolic space to utilize code hierarchy and uses GCN to leverage the code co-occurrence. LAAT & JointLAAT (Vu et al., 2020) propose a hierarchical joint learning mechanism to relieve the imbalanced labels, which is our main baseline since it is most similar to our work.

#### 3.4 Main Results

Table 1 and 2 show the main results under the MIMIC-III full and MIMIC-III 50 settings, respectively. Under the full setting, our MSMN achieves 95.0 (+2.0), 99.2 (+0.0), 10.3 (-0.4), 58.4 (+0.9), 75.2 (+1.4), and 59.9 (+0.8) in terms of macro-AUC, micro-AUC, macro-F₁, micro-F₁, P@8, and P@15 respectively (parentheses shows the differences against previous best results), which shows that MSMN obtains state-of-the-art results in most metrics. Under the top-50 codes setting, MSMN performs better than LAAT in all metrics and achieves state-of-the-art scores of 92.8 (+0.3), 94.7 (+0.1), 68.3 (+1.7), 72.5 (+0.9), 68.0 (+0.5) on macro-AUC, micro-AUC, macro-F₁, micro-F₁, and P@5, respectively. We notice that the macro F₁ has large variance in MIMIC-III full setting because it is more sensitive in a long tail problem.

#### 3.5 Discussion

To explore the influence of leveraging different numbers of code synonyms, we search \( m \) among \( \{1, 2, 4, 8, 16\} \) on the MIMIC-III 50 dataset. Results are shown in Table 3. Compared with \( m = 1 \) that we only use ICD code descriptions itself, lever-
Table 3: Results of different settings including synonyms counts and scoring functions on MIMIC-III 50 dataset. Underlined setting denotes the default parameters used in MSMN.

| m = 1 | 92.1  | 94.2  | 67.4  | 71.0  | 67.0  |
| m = 2 | 92.6  | 94.6  | 67.6  | 71.7  | 67.2  |
| m = 4 | 92.8  | 94.7  | 67.9  | 71.9  | 67.7  |
| m = 8 | 92.8  | 94.7  | 68.3  | 72.5  | 68.0  |
| m = 16| 92.5  | 94.6  | 66.9  | 71.5  | 67.6  |

| $v_l^T W q_l$ | 92.8  | 94.7  | 68.3  | 72.5  | 68.0  |
| $v_l^T q_l$   | 92.5  | 94.5  | 67.1  | 71.2  | 67.1  |
| $v_l^T w_l$   | 91.5  | 94.1  | 65.1  | 70.8  | 66.3  |

Figure 2: T-SNE visualization of code synonym representations learned from MIMIC-III 50.

In this paper, we propose MSMN to leverage code synonyms from UMLS to improve the automatic ICD coding. Multi-synonyms attention is proposed for extracting different related text snippets for code-wise text representations. We also propose a biaffine transformation to calculate similarities among texts and codes for classification. Experiments show that MSMN outperforms previous methods with label attention and achieves state-of-the-art results in the MIMIC-III dataset. Ablation studies show the effectiveness of multi-synonyms attention and biaffine-based similarity.

5 Conclusions

Automatic ICD coding is an important task in the medical NLP community. Earlier works use machine learning methods for coding (Larkey and Croft, 1996; Pestian et al., 2007; Perotte et al., 2014). With the development of neural networks, many recent works consider ICD coding as a multilabel text classification task. They usually apply RNN or CNN to encode texts and use the label attention mechanism to extract and match the most relevant parts for classification. The label attention relies on the label representations as attention queries. Li and Yu (2020); Vu et al. (2020) randomly initialize the label representations which ignore the code semantic information. Cao et al. (2020) use the average of word embeddings as label representations to leverage the code semantic information. Xie et al. (2019); Cao et al. (2020) use GCN to fuse hierarchical structures of ICD codes for label representations. Compared with previous works, we use synonyms instead of a single description to represent the code, which can provide more comprehensive expressions of codes.
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we add a linear layer upon the LSTM layer (the output dimension of the linear layer refers to LSTM output dim. in the Table 5).

| Parameters | Full | Top 50 |
|------------|------|-------|
| Emb. dim.  | 100  | 100   |
| Emb. dropout | 0.2  | 0.2   |
| LSTM Layer $(d)$ | 2    | 1     |
| LSTM hidden dim. | 256  | 512   |
| LSTM output dim. $(h)$ | 512  | 512   |
| Synonyms count $(m)$ | 4    | 8     |
| Rep. dropout | 0.2  | 0.2   |
| R-Drop weight | 5.0  | 5.0   |
| Epoch      | 20   | 20    |
| Peak lr.   | 5e-4 | 5e-4  |
| Batch size | 16   | 16    |
| Adam $\varepsilon$ | 1e-8 | 1e-8  |
| Weight decay | 0.01 | 0.01  |
| Clipping grad. | 1.0  | 1.0   |

Table 5: Hyper-parameters used for training MIMIC-III full setting and MIMIC-III 50 setting.

**A MIMIC-III Dataset Statistics**

We list the document counts, average word counts per document, average codes counts per document, and total codes of the MIMIC-III dataset in Table 4.

**B Training Details**

For the MIMIC-III 50 setting, we train with one 16GB NVIDIA-V100 GPU. For the MIMIC-III full setting, we train with 8 32GB NVIDIA-V100 GPUs. We list the detailed training hyper-parameters in Table 5. We apply the dropout with a ratio of 0.2 after the word embedding layer and before the classification layer. For text encoding,