Research and Applications

PIE: A prior knowledge guided integrated likelihood estimation method for bias reduction in association studies using electronic health records data

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ABSTRACT

Objectives: This study proposes a novel Prior knowledge guided Integrated likelihood Estimation (PIE) method to correct bias in estimations of associations due to misclassification of electronic health record (EHR)-derived binary phenotypes, and evaluates the performance of the proposed method by comparing it to 2 methods in common practice.

Methods: We conducted simulation studies and data analysis of real EHR-derived data on diabetes from Kaiser Permanente Washington to compare the estimation bias of associations using the proposed method, the method ignoring phenotyping errors, the maximum likelihood method with misspecified sensitivity and specificity, and the maximum likelihood method with correctly specified sensitivity and specificity (gold standard). The proposed method effectively leverages available information on phenotyping accuracy to construct a prior distribution for sensitivity and specificity, and incorporates this prior information through the integrated likelihood for bias reduction.

Results: Our simulation studies and real data application demonstrated that the proposed method effectively reduces the estimation bias compared to the 2 current methods. It performed almost as well as the gold standard method when the prior had highest density around true sensitivity and specificity. The analysis of EHR data from Kaiser Permanente Washington showed that the estimated associations from PIE were very close to the estimates from the gold standard method and reduced bias by 60%–100% compared to the 2 commonly used methods in current practice for EHR data.

Conclusions: This study demonstrates that the proposed method can effectively reduce estimation bias caused by imperfect phenotyping in EHR-derived data by incorporating prior information through integrated likelihood.

Key words: association study, bias reduction, electronic health record, misclassification, prior information.

INTRODUCTION

Electronic health records (EHRs) have emerged as a major source of data for clinical and health services research.¹⁻⁵ Despite their great potential, the complex and inconsistent nature of EHR data brings additional challenges for many clinical studies. One such challenge is information bias, also known as observation, classification, or measurement bias, which results from incorrect determination of outcomes, exposures, or both in EHR-derived data.⁶⁻⁸ In particular, automated phenotyping algorithms, which extract patients’ disease,
treatment, and response information from EHRs using both structured data (e.g., International Classification of Diseases, Ninth and Tenth Revision codes) and unstructured data (e.g., clinical narratives) through advanced informatics technologies, may create misclassification or measurement errors due to limited sensitivity and specificity of the algorithms.9–11 Current practice in EHR-based studies usually requires that phenotyping algorithms achieve reasonable performance1,5 but ignores the errors of EHR phenotyping in subsequent analysis, which could lead to biased estimations of associations and loss of power in further association studies.12 Recently, we conducted extensive simulation studies motivated by real-world EHR data to quantify power loss due to misclassification of binary outcomes in EHR-based genetic and epidemiological association studies.13 We explored various settings, including different levels of sensitivity and specificity, and found that estimation bias and power loss can be substantial. Even in a relatively low misclassification situation, where the positive predictive value of the algorithm is 0.90 and the sensitivity is 0.84, the power loss can be as much as 25% due to misclassification.13 Alternatively, phenotyping can be conducted by manual chart review, but this approach is time-consuming and costly. In most situations, only a small validation study using manual chart review is affordable.

Standard likelihood-based or Bayesian methods can address this challenge by accounting for misclassification and measurement errors.14 Specifically, information bias due to an imperfect phenotyping algorithm can be parameterized using phenotype misclassification parameters (sensitivity and specificity), and association estimates can be obtained using joint estimates of the misclassification parameters and the association parameters by a maximum likelihood (ML) or Bayesian approach.12,13,14,15 However, the sample size required to successfully carry out this joint estimation is very large, making this approach impracticable.14 Intuitively, the identified “cases” and “controls” are a mixture of both diseased and healthy individuals. Thus, joint estimation of the misclassification parameters and the association parameters is a mixture-model problem, which is notoriously difficult and requires an extremely large sample size. In practice, investigators conducting EHR-based studies have found that the maximum likelihood estimator (MLE) of the association parameters using joint estimation has large bias and variability.17 To overcome this challenge, one approach is to fix the sensitivity and specificity at particular values. With simulation studies conducted by manual chart review, but this approach is time-consuming and costly. In most situations, only a small validation study using manual chart review is affordable.

In this paper, we propose a novel Prior knowledge guided Integrated likelihood Estimation method (PIE) to address the challenge of information bias caused by phenotyping errors without specifying fixed values for the sensitivity and specificity of phenotyping algorithms. The proposed method incorporates prior knowledge about phenotype sensitivity and specificity through integrated likelihood (IL),16 where uncertainty in sensitivity and specificity is rigorously accounted for by integration. Such a method can mitigate the need for validation data and can reduce bias in estimation of association by fixing sensitivity and specificity at particular values. With simulation studies and a real data example from Kaiser Permanente Washington (KPW), an integrated health care system in Washington State, we demonstrate the advantage of this proposed method over existing methods.

METHODS

We first compare the bias of the estimated association parameters obtained from PIE and 2 commonly used methods using simulated data. Then we evaluate the performance of the 3 methods on an EHR dataset with information about type 2 diabetes from KPW, where gold standard information (defined in the description of dataset) is available.

Development and evaluation of the PIE using simulated data

Simulation settings

To illustrate the idea in its simplest form, we consider a setting with only one risk factor. However, proposed methods apply to more complex settings that include multiple predictors. We wished to study the association between a continuous predictor, x (e.g., number of cigarettes per day for one person), and a binary disease outcome, y (e.g., type II diabetes), using EHR-derived data. Due to imperfect phenotyping, the identified diabetes status is subject to misclassification, i.e., a surrogate variable, S, is observed rather than the true disease status, Y, where i is the index of the subject. We assume the true association between x and Y is described by a logistic regression model

\[
\log\{\Pr (Y_i = 1)\} = \beta_0 + \beta_1 \times x_i, \tag{1}
\]

where \(\logit(p) = \log\{p/(1 - p)\}\). In the nondifferential misclassification scenario, i.e., where the misclassification rates of the surrogate are not modified by the exposure level, the relationship between x and the surrogate variable, S, can be described as

\[
\Pr (S_i = 1) = (1 - \alpha_0) + (\alpha_0 + \alpha_1 - 1)\expit(\beta_0 + \beta_1 \times x_i), \tag{2}
\]

where \(\expit(p) = \exp\{p/(1 + \exp(p))\}\). \(z_i = \Pr(S_i = 1 | Y_i = 1)\) and \(\alpha_0 = \Pr(S_i = 0 | Y_i = 0)\) are the sensitivity and specificity of the phenotyping algorithm, respectively.

We considered scenarios with disease prevalence ranging from 20% to 80% and 2 values of effect size, \(\beta_1 = 1\) and 1.5, in model (1). The sensitivity and specificity of a phenotyping algorithm for the disease were either high (0.85 and 0.90, respectively) or low (0.65 and 0.80, respectively). The continuous predictor was generated from a normal distribution for 1000 individuals, \(x_i \sim N(0, \sigma^2)\), where \(\sigma^2 = 4\). The true disease status of each subject was generated from a binomial distribution with success rate, \(\Pr (Y_i = 1)\), calculated using model (1). The observed surrogate, S, was then generated using the assumed misclassification rates.

Algorithms

The association parameter, \(\beta_1\), can be estimated using the following methods:

Method ignoring phenotyping errors (naive). A straightforward solution to estimating the odds ratio, \(\beta_1\), is to ignore misclassification
and treat the surrogate $S_i$ as the true disease status. This estimates the regression coefficient $\gamma_1$ in the logistic regression model

$$\text{logit}(\Pr(S_i = 1)) = \gamma_0 + \gamma_1 \cdot x_i.$$  \hspace{1cm} (3)

Although this method is simple and easy to implement, the estimated association $\hat{\gamma}_1$ is a biased estimate of the true association, and is toward null under nondifferential misclassification.\textsuperscript{22}

\begin{itemize}
  \item **ML method, unknown accuracy.** A more rigorous procedure is to use the MLE, which treats misclassification rates as nuisance parameters jointly estimated with the association parameters. In the non-differential misclassification scenario, the likelihood function is constructed as

$$L(\beta_0, \beta_1, \alpha_0, \alpha_1) = \prod_{i=1}^{n} p_i^{\beta_1} (1 - p_i)^{1 - \alpha_1},$$  \hspace{1cm} (4)

where $p_i = \Pr(S_i = 1) = (1 - \alpha_0) + (\alpha_0 + \alpha_1 - 1) \expit(\beta_0 + \beta_1 x_i)$. The parameter of interest $\beta_1$ can be estimated by maximizing the likelihood $L(\beta_0, \beta_1, \alpha_0, \alpha_1)$. The advantage of this method is that the misclassified binary outcome is modeled using $\alpha_1$ and $\alpha_0$, and the MLE is guaranteed to be unbiased when the sample size is very large. However, the practical utility of this approach is limited by the need for extremely large sample sizes.\textsuperscript{14,15} The performance of the MLE in moderate sample sizes is poor, because the shape of the likelihood $L(\beta_0, \beta_1, \alpha_0, \alpha_1)$ is usually very flat, leading to bias, as shown in Figure 1. Thus, this method is not commonly used in practice.

\item **ML method, conditioned on accuracy (ML with fixed accuracy parameters).** To reduce the bias caused by the undesirable performance of the MLE, one can fix the sensitivity and specificity at given values and maximize the resulting likelihood function. For example, by fixing $\alpha_0 = 0.90$ and $\alpha_1 = 0.85$, the new likelihood function becomes

$$L(\beta_0, \beta_1) = \prod_{i=1}^{n} p_i^{\beta_1} (1 - p_i)^{1 - \alpha_1},$$  \hspace{1cm} (5)

where $p_i = 0.1 + 0.7 \expit(\beta_0 + \beta_1 x_i)$. The parameter of interest $\beta_1$ can be estimated by maximizing the likelihood $L(\beta_0, \beta_1)$. The disadvantage of this method is that correct specification of sensitivity and specificity requires a large validation sample, which is not cost-effective, and mis specification of these accuracy parameters will lead to biased estimation of $\beta_1$.

\item **Prior knowledge guided integrated likelihood estimation method (PIE).** IL is a novel tool developed recently to make valid inferences for parameters of interest in the presence of nuisance parameters.\textsuperscript{21,23} It eliminates the nuisance parameters (here, sensitivity and specificity) by integrating with respect to a prior function, so that the resultant IL depends only on the parameters of interest (here, the regression coefficients) and the data. Unlike standard likelihood-based inference, where the nuisance parameters are maximized over their ranges, in the IL the nuisance parameters are “averaged” or “smoothed” over their ranges.\textsuperscript{21,23} The resultant likelihood function, $L_I(\beta_0, \beta_1)$, can be used as a standard likelihood function for inference under certain conditions, and the estimate is obtained by maximizing the IL. We propose to use a PIE method to account for misclassification of phenotypes and to correct estimation bias in EHR-based association studies.

\begin{itemize}
  \item **Comparison of likelihood function with unknown accuracy (blue solid line), likelihood function conditioned on misspecified accuracy (black solid line), likelihood function conditioned on known accuracy (black dashed line), and prior knowledge guided integrated likelihood function (red solid line). The true sensitivity and specificity are 90%.

\begin{figure}[h]
\centering
\includegraphics[width=\textwidth]{figure1.png}
\caption{Comparison of likelihood function with unknown accuracy (blue solid line), likelihood function conditioned on misspecified accuracy (black solid line), likelihood function conditioned on known accuracy (black dashed line), and prior knowledge guided integrated likelihood function (red solid line). The true sensitivity and specificity are 90%.
}
\end{figure}

Practically, to account for phenotyping errors and reduce information bias, the proposed PIE method can be conducted in 2 steps:

1. Construct prior distributions for sensitivity and specificity from a small validation study or a literature review on available evidence for accuracy of phenotyping algorithms, and

2. Incorporate the prior distribution into the likelihood using the PIE method to achieve bias reduction.

In practice, the exact sensitivity and specificity of a phenotyping algorithm are often unknown. However, a reasonable range or distribution of the sensitivity and specificity can be obtained by mining the existing literature or analyzing a small validation study.

The proposed IL is constructed as

$$L_I(\beta_0, \beta_1) = \int L(\beta_0, \beta_1, \alpha_0, \alpha_1) \pi(\alpha_0, \alpha_1) d\alpha_0 d\alpha_1,$$

where $\pi(\alpha_0, \alpha_1)$ is a prior distribution for sensitivity and specificity. We note that formulating the IL does not require accurate specification of the sensitivity and specificity at a particular value. A plausible range or distribution is adequate. This feature makes the proposed method feasible in practical settings and robust to misspecification of the sensitivity and specificity, which can minimize the cost of extensive chart review while reducing information bias.
Experiments and evaluation

In this study, we compare the PIE method to the method ignoring phenotyping errors, referred to hereafter as the naı́ve method, and the ML method with misspecified sensitivity and specificity, referred to hereafter as the ML with misspecification, or the ML-MS method. The ML method with unknown phenotyping errors was not included in the comparison, as this method is not commonly used and is not considered practical. We also included the ML method with known accuracy, referred to hereafter as the gold standard method. In reality, such a situation is relatively rare.

We simulated 500 datasets and compared the bias of the estimated $\beta_1$ from the naı́ve method, the ML-MS method, the gold standard, and the proposed PIE method. For the PIE method, we evaluated the performance under 5 prior distributions as follows, also shown in Table 1 and Figure 2.

1. PIE1: transformed logit normal prior distributions with highest density around the true values of sensitivity and specificity.
2. PIE1_sv: transformed logit normal prior distributions with highest density around the true values of sensitivity and specificity, with small variances (sv).
3. PIE2: transformed logit normal prior distributions with highest density ~10% (on the scale of sensitivity and specificity) different from the true values of sensitivity and specificity.
4. PIE2_lv: transformed logit normal prior distributions with highest density ~10% (on the scale of sensitivity and specificity) different from the true values of sensitivity and specificity, with large variances (lv).
5. PIE3: uniformly distributed prior distribution with a range of 30%, centered ~10% (on the scale of sensitivity and specificity) different from the true values of sensitivity and specificity.

Table 1. Five prior distributions used for the proposed PIE method

| Prior names | Prior for sensitivity | Prior for specificity |
|-------------|-----------------------|-----------------------|
| PIE1        | $0.5 + 1/2\logit\text{normal}(0.67,0.60)$ | $0.5 + 1/2\logit\text{normal}(0.73,0.80)$ |
| PIE1_sv     | $0.5 + 1/2\logit\text{normal}(0.70,0.20)$ | $0.5 + 1/2\logit\text{normal}(0.80,0.23)$ |
| PIE2        | $0.5 + 1/2\logit\text{normal}(0.50,0.60)$ | $0.5 + 1/2\logit\text{normal}(0.58,0.60)$ |
| PIE2_lv     | $0.5 + 1/2\logit\text{normal}(0.50,1.20)$ | $0.5 + 1/2\logit\text{normal}(0.53,1.20)$ |
| PIE3        | uniform(0.60,0.90)    | uniform(0.65,0.95)    |

The first 2 priors mimic the situation where the phenotyping algorithm has been previously applied in similar settings and the performance of the algorithm is relatively well understood. The second 2 priors mimic the case where the phenotyping algorithm is less well characterized or its performance differs across datasets. In such situations, the highest density of the prior distribution obtained from previous studies deviates from the actual performance in the study population. The last prior mimics a situation in which investigators believe that the phenotyping error could be any value within a range with equal probability, a common situation in practice. For comparability of PIE and ML-MS, we set the sensitivity and specificity for the ML-MS method to values that are the same as the maximum of the third and fourth prior distributions (PIE2 and PIE2_lv). We calculated the mean and variance of estimation bias for each method as the mean and variance of the 500 estimates minus the true value of the association parameter.

Application of PIE to an EHR dataset including type 2 diabetes

Dataset

We applied the proposed method to a dataset derived from EHR data for a sample from KPW. Data were provided by the Adult Changes in Thought study, a longitudinal study of aging and dementia. Participants were dementia-free, at least 65 years old at the time of study enrollment, and randomly selected from the KPW membership. Study procedures have been previously described. Our analysis was based on a deidentified subset consisting of 2022 participants who met the same inclusion criteria as a prior study of glucose and dementia.

In the current analysis, “treated diabetes” was the phenotype of interest and the gold standard was defined as “two filled prescriptions for diabetes medications.” Based on KPW pharmacy records, we
extracted this information for all 2022 participants. An imperfect surrogate measure for treated diabetes was created by dichotomizing the average glucose level in the prior 3 years, based on laboratory results for glucose and hemoglobin A1c, using a threshold of 140 mg/dL. We investigated the association between treated diabetes and predictors of interest, namely body mass index (BMI), treated hypertension, and race (white vs nonwhite). By comparing the surrogate and true diabetes measures, we estimated the true sensitivity and specificity of the surrogate to be 0.89 and 0.98, respectively.

Evaluation
We applied the naive method, the ML method with true sensitivity and specificity (gold standard in the simulation section), the ML-MS method (accuracy 5% lower than the true sensitivity and specificity), and the PIE method to this dataset. We used uniform prior distributions with ranges from 0.80 to 0.99 for sensitivity and specificity in the PIE method, resembling the scenario where, based on prior studies, investigators hypothesize the misclassification rates of their phenotype to be at least 0.80. We compare the relative bias of the estimated effect sizes (log odds ratio) for BMI, hypertension, and race on type 2 diabetes using the 4 methods.

RESULTS
Evaluation of bias reduction through simulation studies
To illustrate the specification of the prior distributions in the PIE method, Figure 2 visualizes the priors where true sensitivity and specificity of a phenotyping algorithm are 85 and 90%, respectively.

Figure 3 presents comparison of the estimates of $\beta_1$ using box plots. As expected, the gold standard method yielded estimates with almost no bias and small variance. The estimates from the naive method had small variance but large bias toward the null. The estimates of the ML-MS method had both large bias and large variation. In contrast, the bias of the proposed PIE method under all 3 prior distributions (PIE1, PIE2, and PIE3) was substantially smaller than that of the naive and ML-MS methods. Under PIE2, when the peak of the prior distribution was about 10% lower than the truth, the proposed PIE method had smaller bias compared to the ML-MS method. This finding reveals the key advantage of the PIE method: even when the prior distributions of sensitivity and specificity do not peak at the truth values, the PIE method can still reduce the bias by integrating over the possible values of sensitivity and specificity. Interestingly, PIE3 (with a uniform prior not centered at the truth) has much smaller bias than PIE2, and has comparable bias and only slightly larger variance than PIE1 (where the prior distribution is peaked at the truth). This suggests that (1) strong nonuniform priors not peaking at the truth can lead to some bias, and (2) strong nonuniform priors peaking at the truth sometimes cannot lead to much efficiency gain compared to a weak uniform prior. Such findings shed light on better strategies for specifying priors for PIE methods.

By comparing the results from the PIE methods with the naive method, we can see a clear variance-bias trade-off. However, the bias of the naive method persists in larger samples, while the variance of the PIE estimates becomes smaller with larger sample size.

Table 2 provides a more quantitative comparison of bias and variance among the methods under evaluation. Compared to the naive method, the percentage of relative bias reduction (absolute bias reduction divided by true association) of the PIE methods is between 38% and 65%, 20% and 65%, and 28% and 47%, when the prior distribution is peaked at the truth (PIE1), peaked at 10% away from the truth (PIE2), and uniformly distributed with center not at the truth (PIE3), respectively. The PIE method can reduce bias more when the true association is stronger, ie, $\beta_1 = 1.5$ compared to $\beta_1 = 1$, or when the actual sensitivity and specificity are lower, ie, $\alpha_0/\alpha_1 = 80%/65%$ compared to $\alpha_1 = 90%/85%$. Compared to the ML-MS method, the percentage of relative bias reduction of the PIE methods is up to 78%. The standard deviations of the estimates of the PIE methods also increase when the true association is stronger (with difference up to 0.23) and the actual sensitivity and specificity are lower (with difference up to 0.41).

Figure 4 shows the relative impact of bias and variance of prior distributions on the performance of PIE estimates. We found that...
In this paper, we proposed PIE as a method to correct bias in association estimates due to information bias in EHR-derived data. The results of both simulation studies and real data analysis show that the proposed PIE method effectively reduced bias in estimation of associations by incorporating prior information on performance of phenotyping algorithms. The proposed method outperformed 2 existing methods that are commonly used in EHR-related studies and was comparable to the gold standard method. A unique strength of the proposed method is that it does not require specification of fixed values for sensitivity and specificity, thus is more robust to model misspecification compared to existing methods.

An important implication of the PIE method is that bias reduction without validation data is possible under practical scenarios for EHR-based studies. More precisely, when validation data are not available, prior information on sensitivity and specificity can be obtained by mining the existing literature to extract previously estimated misclassification rates. For diseases that have been well studied and for which sensitivity and specificity of the phenotyping algorithms have been reported in various datasets (eg,\textsuperscript{5,25}), the prior distribution of the sensitivity and specificity can be built using the empirical distribution of the sensitivity/specificity obtained from text-mining existing literature. In other scenarios where the condition is less studied or algorithms are newly developed such that prior information is limited in the literature, a uniform prior distribution with a reasonable range of values for sensitivity and specificity can be used. In both situations, the proposed method can substantially reduce the bias of estimated associations compared to the naive method and the ML-MS method, as we demonstrated in simulation studies and a real case study.

In practice, when a small validation dataset is available, a common strategy is to jointly model the validation data and the nonvalidated data, and base inferences on ML estimation. In future studies, it will be of interest to compare the performance of the ML estimation method with the PIE method, which incorporates information on phenotyping accuracy as an informative prior.

Further work is needed to fully develop and evaluate the PIE method. For example, the confidence sets for the PIE estimates can be obtained by reversing the IL ratio test.\textsuperscript{19,21} Practically, such sets can also be obtained by resampling methods for computational efficiency. In addition, maximizing the IL function in PIE can be computationally expensive due to the double integration in the likelihood function when the dimension of predictors is relatively high. Numerical optimization approaches, eg, coordinate descent,\textsuperscript{37–39} need to be developed to improve computational efficiency. Furthermore, we have not evaluated a full Bayesian approach in our methods comparison. It would be of interest to develop a fully Bayesian method and compare it with the proposed PIE method. Finally, the current investigation has been limited to the case where misclassification is nondifferential. In practice, misclassification rates may depend on exposure status. The PIE method needs to be further developed to account for such challenges.

In this paper, we have focused on correction of bias due to misclassification of binary outcomes in EHR-derived data. Similar ideas can be adapted to misclassification of survival outcomes and measurement errors in exposure variables. These extensions are currently under investigation and will be reported in the future. We believe the proposed approach is an important contribution to bias reduction in EHR-based association studies.
**Table 4.** Estimated effect sizes (in log odds ratio scale) of the risk factors for diabetes using different methods

|                | Hypertension | BMI | Race  |
|----------------|--------------|-----|-------|
|                | Point estimate | Relative bias (%) | Point estimate | Relative bias (%) | Point estimate | Relative bias (%) |
| Gold standard  | 0.53          | 0   | 0.09  | 0     | 0.57     | 0               |
| Naive          | 0.41          | -23 | 0.08  | -11   | 0.48     | -16             |
| ML-MS          | 0.68          | 28  | 0.10  | 11    | 0.65     | 14              |
| PIE            | 0.48          | -9  | 0.09  | 0     | 0.56     | 2               |

**CONCLUSION**

In this study, we proposed a maximum IL estimation method, the PIE method, to reduce estimation bias by incorporating prior knowledge of phenotyping errors. Our evaluation using simulated datasets and data from KPW demonstrated that the proposed PIE method can effectively reduce bias compared to methods that are commonly used in current EHR-based studies.

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**CONTRIBUTORS**

JH, RD, RH, YW, JM, MX, and YC designed methods and experiments; RH provided the dataset from Kaiser Permanente Washington for data analysis; RH, YW, and YC guided the dataset generation for the simulation study; JH and RD generated the simulation datasets, conducted simulation experiments, and conducted data analysis of the EHR data from Kaiser Permanente Washington; RH, JM, MX, and YC interpreted the results and provided instructive comments; JH, RD, RH, and YC drafted the main manuscript. All authors have approved the manuscript.

**COMPETING INTERESTS**

The authors have no competing interests to declare.

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