



# MIT Open Access Articles

## *High-throughput multimodal automated phenotyping (MAP) with application to PheWAS*

The MIT Faculty has made this article openly available. **Please share** how this access benefits you. Your story matters.

<b>As Published</b>	10.1093/JAMIA/OCZ066
<b>Publisher</b>	Oxford University Press (OUP)
<b>Version</b>	Original manuscript
<b>Citable link</b>	<a href="https://hdl.handle.net/1721.1/134057">https://hdl.handle.net/1721.1/134057</a>
<b>Terms of Use</b>	Creative Commons Attribution-Noncommercial-Share Alike
<b>Detailed Terms</b>	<a href="http://creativecommons.org/licenses/by-nc-sa/4.0/">http://creativecommons.org/licenses/by-nc-sa/4.0/</a>

# High-throughput Multimodal Automated Phenotyping (MAP) with Application to PheWAS

Katherine P. Liao, MD, MPH<sup>†1,2,3</sup>, Jiehuan Sun, PhD<sup>†4,3</sup>, Tianrun A. Cai, MD<sup>1,2,3</sup>, Nicholas Link, BA<sup>3</sup>, Chuan Hong, PhD<sup>4</sup>, Jie Huang, MS<sup>2</sup>, Jennifer E. Huffman, PhD<sup>3</sup>, Jessica Gronsbell, PhD<sup>5</sup>, Yichi Zhang, PhD<sup>6,4</sup>, Yuk-Lam Ho, MPH<sup>3</sup>, Victor Castro, MS<sup>7</sup>, Vivian Gainer, MS<sup>7</sup>, Shawn N. Murphy, MD, PhD<sup>2,7</sup>, Christopher J. O'Donnell, MD, MPH<sup>1,3</sup>, J. Michael Gaziano, MD, MPH<sup>1,2,3</sup>, Kelly Cho, PhD, MPH<sup>1,2,3</sup>, Peter Szolovits, PhD<sup>8</sup>, Isaac S. Kohane, MD, PhD<sup>2</sup>, Sheng Yu, PhD<sup>\*9</sup>, Tianxi Cai, ScD<sup>\*2,4,3</sup> with the VA Million Veteran Program<sup>#</sup>

<sup>1</sup>*Brigham and Women's Hospital, Boston, MA, USA;*

<sup>2</sup>*Harvard Medical School, Boston, MA, USA;*

<sup>3</sup>*VA Boston Healthcare System, Boston, MA, USA;*

<sup>4</sup>*Harvard T.H. Chan School of Public Health, Boston, MA, USA;*

<sup>5</sup>*Verily Life Sciences, Cambridge, MA, USA;*

<sup>6</sup>*University of Rhode Island, Kingston, RI, USA*

<sup>7</sup>*Partner's Healthcare Systems, Charlestown, MA, USA;*

<sup>8</sup>*Massachusetts Institute of Technology, Cambridge, MA, USA;*

<sup>9</sup>*Tsinghua University, Beijing, China*

† Liao and Sun contributed equally

\* Yu and Cai contributed equally.

# Part of this research is based on data from the Million Veteran Program, Office of Research and Development, Veterans Health Administration, and was supported by award #MVP000. This publication does not represent the views of the Department of Veterans Affairs or the United States Government.

## **Abstract**

**Objective:** Electronic health records (EHR) linked with biorepositories are a powerful platform for translational studies. A major bottleneck exists in the ability to phenotype patients accurately and efficiently. The objective of this study was to develop an automated high-throughput phenotyping method integrating International Classification of Diseases (ICD) codes and narrative data extracted using natural language processing (NLP).

**Method:** We developed a mapping method for automatically identifying relevant ICD and NLP concepts for a specific phenotype leveraging the UMLS. Aggregated ICD and NLP counts along with healthcare utilization were jointly analyzed by fitting an ensemble of latent mixture models. The MAP algorithm yields a predicted probability of phenotype for each patient and a threshold for classifying subjects with phenotype yes/no. The algorithm was validated using labeled data for 16 phenotypes from a biorepository and further tested in an independent cohort PheWAS for two SNPs with known associations.

**Results:** The MAP algorithm achieved higher or similar AUC and F-scores compared to the ICD code across all 16 phenotypes. The features assembled via the automated approach had comparable accuracy to those assembled via manual curation ( $AUC_{MAP}$  0.943,  $AUC_{manual}$  0.941). The PheWAS results suggest that the MAP approach detected previously validated associations with higher power when compared to the standard PheWAS method based on ICD codes.

**Conclusion:** The MAP approach increased the accuracy of phenotype definition while maintaining scalability, facilitating use in studies requiring large scale phenotyping, such as PheWAS.

## INTRODUCTION

High-throughput technologies have provided powerful tools for dissecting the genomic and biologic architecture of complex human traits. To continue on the trajectory of their success, more work is needed to translate ‘omics’ findings to improvement in patient care. A major challenge in realizing such translation is linking the high-throughput biologic data with detailed high-quality phenotypic data. To improve their translational potential, ‘omics’ studies are increasingly conducted using cohorts with linked Electronic Health Records (EHR) data and biobanks. Such studies are typically designed to investigate hundreds to thousands of phenotypes simultaneously, identifying a large unmet need for scalable, standardized, efficient and portable approaches for phenotyping.

The current standard for studying hundreds to thousands of phenotypes over millions of patients is using diagnoses codes such as the International Classification of Diseases (ICD) codes. The Phenome-Wide Association Studies (PheWAS) approach[1] was developed specifically for use in EHRs linked with biobanks to screen for associations between a genetic marker with roughly 1800 phenotypes. The phenotypes in the PheWAS are generated by grouping ICD9 codes. However, a known pitfall of ICD codes are variations in accuracy, leading to loss of power for association studies[2-5]. Rule-based manual curation and machine learning-based supervised learning approaches have been proposed as more accurate alternatives for phenotyping and have been used to create EHR-based patient cohorts for discovery research[6-18]. These approaches enhance the accuracy of phenotyping by combining information from multiple EHR features, including codified features such as ICD codes and narrative features identified via natural language processing (NLP). While collaborative platforms such as the PheKB[19] share existing phenotyping algorithms, deploying these algorithms across institutions can be labor intensive, limiting the feasibility of using these algorithms for phenotype screens.

To improve the efficiency for developing phenotyping algorithms, various approaches have been developed to reduce the level of human input required. Examples of these approaches include active sampling, feature

refinement, and feature selection[20-23]. As well, several automated annotation methods have also been proposed[24 25]. However, these methods either still require expert input to curate silver standard labels or have variable accuracy. Recently, Yu et al., developed ‘PheNorm’[26], a fully automated phenotyping algorithm based on normal mixture modeling using ICD codes only. While PheNorm presented a highly scalable approach by ranking subjects with respect to their likelihood of having a phenotype, it could not provide the final classification of whether a subject had a specific phenotype necessary for clinical studies.

In this paper, we propose an unsupervised multimodal automated phenotyping (MAP) method with application in PheWAS. We hypothesize that MAP, which incorporates NLP, will efficiently and accurately classify millions of subjects across the roughly 1800 phenotypes in the PheWAS compared to existing approaches.

## **METHODS**

The MAP procedure includes two key steps: (i) assembling the ICD codes and NLP features corresponding to the target phenotype; (ii) annotation via unsupervised ensemble latent mixture modeling.

### **Identifying the Main ICD and NLP Features for Phenotypes**

For a target phenotype, we first identify the main ICD code associated with the phenotype. The main ICD code is either defined by the investigator or by selecting a PheWAS code (phecode) from the catalog (<https://phewascatalog.org/phecodes>) to use the associated ICD mapping[1 27]. Briefly, the phecode is a published mapping of grouping ICD codes into clinically relevant groups. For example, salmonella pneumonia (PNA) (ICD-9 003.22), PNA due to streptococcus (ICD-9 482.3), etc. are grouped into one phecode “480.1” for “bacterial pneumonia”. Multiple or higher level phecodes can also be used together to represent a broader category, e.g. diabetes mellitus (phecode 250) which includes type 1 diabetes (phecode 250.1) and type 2 diabetes (phecode 250.2). The PheWAS catalog provides a hierarchical roll up

information to aggregate broader phenotypes. For a given list of ICD-9 codes selected via phecode mapping or domain expert to represent the phenotype, all codes are aggregated to represent the main ICD feature. Next, the total count of the main ICD feature is extracted from the dataset, denoted by  $ICD_{count}$ . All ICD-10 codes were first mapped to ICD-9 codes based on the General Equivalence Mapping (GEMS) available at the Centers for Medicare & Medicaid Services[28]. Each ICD-9 code is only counted once per day to reduce the impact of dual coding.

The main NLP feature used in MAP for the phenotype is determined through identifying the medical concepts by mapping relevant clinical terms to the Concept Unique Identifiers (CUIs) listed in the Unified Medical Language System (UMLS). While the main medical concept can be selected by a domain expert, we find it more robust to identify the CUIs through a mapping process utilizing the PheWAS catalogue map, in which a phenotype text string is used to describe each phecode. For each phecode, we identify its corresponding ICD codes along with the phenotype string. We identify a list of CUIs for the phecode through three mapping steps: (i) mapping all relevant ICD-9 codes directly to CUIs, which can be performed directly in UMLS using the (CODE field in the MRCONSO table); (ii) mapping ICD-9 strings to CUIs; (using the STR field in the MRCONSO table) with exact string-matching and (iii) mapping the phenotype string to CUIs (again using the MRCONSO STR field) with exact string-matching (Supplementary Figure 1). Although steps (i) and (ii) typically yield identical lists, (ii) occasionally results in a larger list since an ICD-9 string may be mapped to multiple concepts. Combining all CUIs mapped in the three steps gives a list of CUIs to represent each phecode.

The narrative text notes for all subjects are then processed. Using the CUI list assembled for each phecode, the total number of positive mentions of any clinical terms belonging to the CUIs list, denoted by  $NLP_{count}$ , is used as the main NLP feature for the phecode. If a phenotype is defined by several phecodes, we take the sum of the corresponding NLP counts as the  $NLP_{count}$  feature for the phenotype. The Narrative Information Linear Extraction (NILE)[29] was used to extract concepts in the experiments of this study.

Based on previous phenotyping studies, the NLP features extracted were similar regardless of NLP platform used.[10-18]

As demonstrated in the Yu et al.[26] PheNorm study, the level of healthcare utilization contributed noise to algorithm features and dampened their ability to predict the phenotype status. We thus include the total number of narrative notes for each patient, denoted by  $Note_{count}$ , as a proxy for the healthcare utilization in the MAP algorithm. We also consider modeling the logarithm transformed features,  $ICD_{log} = \log(1 + ICD_{count})$ ,  $NLP_{log} = \log(1 + NLP_{count})$ , and  $Note_{log} = \log(1 + Note_{count})$ . Additionally, similar to Yu et al.[26], we combine ICD and NLP counts to create additional features  $ICDNLP_{count} = 0.5 \times (ICD_{count} + NLP_{count})$  and  $ICDNLP_{log} = \log(1 + ICDNLP_{count})$ .

### Unsupervised MAP Prediction

Using patient level data on the  $ICD_{count}$ ,  $NLP_{count}$ ,  $ICDNLP_{count}$ ,  $ICD_{log}$ ,  $NLP_{log}$ ,  $ICDNLP_{log}$ , and  $Note_{log}$ , we separately fitted mixture models to each individual feature along with  $Note_{log}$  to obtain the probability that a patient has the phenotype. Specifically, for  $X_{count} \in \{ICD_{count}, NLP_{count}, ICDNLP_{count}\}$ , we fitted a Poisson mixture model with  $X_{count} | Y = y \sim \text{Poisson}(\alpha Note_{log} + \lambda_y)$ , where  $Y \in \{0,1\}$  is the unobserved phenotype status. The probability mass function of  $X_{count}$  is therefore

$$P(X_{count} = x) = \theta \frac{(\alpha Note_{log} + \lambda_1)^x e^{-(\alpha Note_{log} + \lambda_1)}}{x!} + (1 - \theta) \frac{(\alpha Note_{log} + \lambda_0)^x e^{-(\alpha Note_{log} + \lambda_0)}}{x!},$$

where the parameters  $\theta$ ,  $\alpha$ ,  $\lambda_1$ , and  $\lambda_0$  are estimated with the Expectation-Maximization (EM) algorithm. The parameter  $\theta = P(Y = 1)$  is the prevalence of the phenotype,  $\lambda_y$  is essentially the healthcare utilization adjusted mean of  $X_{count}$  among those with  $Y = y$  for  $y \in \{0,1\}$ , and  $\alpha Note_{log}$  is used to mitigate the noise brought into  $X_{count}$  in predicting the phenotype status, where  $\alpha$  is generally negative. To increase the robustness of the procedure, we also fit normal mixture models to the log-transformed count data  $X_{log} \in \{ICD_{log}, NLP_{log}, ICDNLP_{log}\}$  with  $X_{log} | Y = y \sim \text{Normal}(\alpha Note_{log} + \mu_y, \sigma_y^2)$  whose probability density function is

$$f(x) = \frac{\theta}{\sqrt{2\pi\sigma_1^2}} e^{-\frac{(x - \alpha Note_{log} - \mu_1)^2}{2\sigma_1^2}} + \frac{1 - \theta}{\sqrt{2\pi\sigma_0^2}} e^{-\frac{(x - \alpha Note_{log} - \mu_0)^2}{2\sigma_0^2}},$$

where  $\theta = P(Y = 1)$ ,  $\alpha$ ,  $\mu_1$ ,  $\mu_0$ ,  $\sigma_1^2$ , and  $\sigma_0^2$  are similarly estimated with the EM algorithm. The parameters  $\mu_y$  and  $\sigma_y^2$  respectively denote the healthcare utilization adjusted mean and variance of  $X_{\log}$  among those with phenotype  $Y = y$ . We fit the above Poisson and log-normal mixture models to the ICD and NLP features as either or both models may provide a good approximation to the observed data and it is unclear which model provides a better approximation for a given dataset, especially in the absence of gold standard labels on  $Y$ .

To assign a predicted probability to each subject, we calculate the posterior probabilities of having the phenotype given the feature information from each fitted mixture model via the Bayes' rule. Under each model, the prevalence of the phenotype can be estimated by the average value of the posterior probabilities across all patients. The final MAP algorithm assigns the predicted probability of having the phenotype as the average of the six predicted probabilities. We also estimate the prevalence of the phenotype,  $\theta^*$ , by averaging the prevalence estimates from the six latent mixture model fittings. The prevalence estimate is then used as a threshold to assign a binary classification of whether a subject has the phenotype. Subjects with predicted probabilities above  $\theta^*$  are assigned as having the phenotype with  $\hat{y} = 1$ , and those below are assigned as not having the phenotype with  $\hat{y} = 0$  (See Supplementary Method for detailed MAP algorithm description).

## Validation of MAP using real world biorepository data

### Study Populations

**Partners Biobank** contains linked EHR and genetic data anchored by two large tertiary care hospitals: Brigham and Women's Hospital and Massachusetts General Hospital in Boston. A total of 17,805 patients had codified data, NLP data as well as genetic data[30 31]. Additionally, gold standard labels were curated on an average of 545 patients for 16 phenotypes: asthma, bipolar disorder (BD), schizophrenia (SCZ), breast cancer (BrCa), chronic obstructive pulmonary disease (COPD), congestive heart failure (CHF), coronary



artery disease (CAD), hypertension (HTN), depression (DPRSSN), epilepsy, multiple sclerosis (MS), rheumatoid arthritis (RA), type I diabetes mellitus (T1DM), type II diabetes mellitus (T2DM), Crohn's disease (CD) and ulcerative colitis (UC).

**The Veteran's Affairs Million Veteran's Project (VA MVP)** is a longitudinal cohort study, recruiting at approximately 50 VA facilities in the United States[32]. MVP data was used to validate the MAP approach, and to demonstrate the application of MAP to a PheWAS. A total of 330,374 patients had both EHR and genetic data available for the PheWAS analysis.

### **Overview of analyses**

The performance of the MAP algorithm was validated in three separate experiments: (i) phenotyping 16 conditions using MAP compared against the gold-standard labels obtained from chart review in the Partners Biobank; (ii) an association study between a low density lipoprotein cholesterol (LDL-C) genetic risk score (GRS) and hyperlipidemia phenotypes; and (iii) a PheWAS in MVP of the interleukin-6R (*IL6R*) genetic variant (Asp358Ala, rs2228145)[33].

#### **(i) Testing the performance of MAP against existing approaches for phenotyping across 16 conditions with gold standard labels**

In the Partners Biobank, we compared the accuracy of (a) the main ICD feature; (b) the main NLP feature, (c) the PheNorm algorithm, and (d) the MAP algorithm. Similar to previous phenotyping approaches[21 22 26 31], we first applied a filter to create a dataset of subjects who may have the phenotype. This simple filter was  $\geq 1$  ICD-9 codes for the phenotype of interest. All subjects who passed this filter consisted of the "filter positive set". Those without any ICD-9 codes for the phenotype were assigned a probability of 0. Comparisons of the above approaches against gold standard labels were performed among the filter positive set.

For the comparison, the main ICD features using in MAP were defined in two ways, either a list of ICD-9 codes defined by domain experts or generated using the semi-automated process as part of MAP. Similarly, the main NLP feature was defined either as a list created by domain experts or using the mapping steps described above. The optional denoising step in the PheNorm algorithm was not applied because it requires additional candidate features beyond the main ICD and NLP features, limiting its ability to scale up for application to the PheWAS.

We evaluated the overall performance of the main ICD, main NLP, PheNorm, and MAP against the gold standard labels for the 16 phenotypes using the area under the receiver operating characteristic curve (AUC). In addition, we compared the MAP classification rule which automatically provides an estimated threshold to classify subjects in phenotype yes/no categories. The performance of the MAP-based binary yes/no classification were compared to phenotypes defined using  $\geq 2$  ICD-9 codes. We reported the positive predictive value (PPV) or precision, negative predictive value (NPV), and F-score, against the 16 phenotypes with gold standard labels.

### **(ii) MAP for genetic association studies**

Using genetics and EHR data from Partners Biobank, we performed a genetic association study between a previously published LDL-C GRS[34 35] and the disease phenotype of hyperlipidemia defined either using MAP predicted probabilities or based on having  $\geq 2$  ICD9 codes for hyperlipidemia (ICD-9 272.x), corresponding to the phecode 272.1[1 36]. The association analyses were performed by fitting a logistic regression model regressing the MAP probabilities or ICD-9 based binary status for hyperlipidemia against the LDL GRS, adjusted for age, gender, and self-reported race.

### **(iii) MAP for PheWAS**

In MVP, we performed a PheWAS for the IL6R variant, rs2228145. Individuals with the IL6R variant have profiles similar to individuals on IL6R antagonists, tocilizumab and sarilumab; both have been indicated for the treatment of rheumatoid arthritis (RA), and tocilizumab for giant cell arteritis (GCA). A recently

published standard PheWAS based on ICD codes using MVP data found 22 phenotypes significantly associated with IL6R at the false discovery rate of 0.05[33]. While this SNP was found to be associated with vascular and cardiac diseases, its associations with RA and GCA were not statistically significant. In this analysis, we tested whether MAP compared to the standard PheWAS method improved the power to detect these expected associations.

For each phecode, we predicted the presence of the phenotype based on either the MAP algorithm or the ICD-9 code. Since MAP provided predicted probabilities of having the phenotype, we performed PheWAS directly relating the predicted probabilities from MAP to the genetic variant by fitting a quasi-binomial model. For both PheWAS methods, we adjusted for age, gender, and self-reported race; the robust sandwich estimator[37] for the variance. We performed PheWAS on 1606 phenotypes, defined as the phecodes with prevalence >0.1% in MVP.

## RESULTS

### **The performance of MAP against existing approaches for phenotyping across 16 phenotypes**

The ICD-9 and NLP concepts selected using the proposed semi-automated method as part of MAP yielded phenotype algorithms with similar AUCs to those developed using features selected by domain experts (Figure 1). The average AUC of the 16 MAP algorithms developed using ICD-9 + NLP features extracted using the MAP automated feature curation was 0.943, compared to 0.941 for algorithms developed from manual feature curation (Supplementary Table 1). The average AUCs of the individual ICD and NLP features created by the semi-automated process were 0.881 and 0.896, slightly higher than that of those curated manually, 0.873 and 0.870, respectively. We focused on discussing the results using ICD-9 and NLP concepts selected by the proposed semi-automated method in the following sections.

Across the 16 phenotypes with gold standard labels, MAP classified the phenotypes with higher accuracy

than ICD-9 or NLP in 13 out of the 16 cases (Figure 1, top panel). Also, the MAP algorithm outperformed PheNorm algorithm in most phenotypes and the most significant improvement in AUC were observed in Epilepsy and HTN (Supplementary Table 1). Compared to the ICD-9 feature, NLP feature, and PheNorm, the MAP algorithm improved the AUC significantly by about 0.062 (p-value =  $2.37 \times 10^{-9}$ ), 0.047 (p-value =  $2.91 \times 10^{-11}$ ), and 0.027 (p-value =  $7.21 \times 10^{-7}$ ) on average, respectively (Supplementary Table 1).

The MAP-based binary yes/no classification also had higher accuracy than phenotypes defined by using  $\geq 2$  ICD-9 codes when evaluated against a gold standard. Across the 16 phenotypes, MAP classified all phenotypes with a higher PPV (precision) than ICD-9 codes while maintaining a comparable NPV (Figure 2). For instance, the PPVs for the MAP and ICD-9 code were 0.947 versus 0.621 for RA, 0.876 versus 0.569 for CAD (Supplementary Table 2). Accounting for the trade-off between sensitivity (recall) and PPV (precision), the MAP classification attained a higher F-score than the simple ICD-9 rule across most phenotypes, resulting in an average difference in F-score of 0.076 (p-value =  $4.11 \times 10^{-9}$ ). In addition, MAP had larger AUCs (AUC here is for binary classifier) than ICD-9 codes across 16 phenotypes with average difference of 0.136 (p-value =  $4.47 \times 10^{-23}$ ). Similarly, MAP had better performance than binary classifier defined by NLP features (Supplementary Table 2).

### **Genetic Association Between LDL GRS and Hyperlipidemia in the Partners Biobank**

Among Partners Biobank subjects, a total of 8,226 (46.2%) out of 17,805 subjects had  $\geq 2$  ICD-9 codes for hyperlipidemia. The estimated odds ratio (OR) between the LDL-C GRS and hyperlipidemia was 1.007 (p-value = 0.015) when hyperlipidemia was defined using the standard ICD-9 code thresholding approach. In contrast, the estimated OR was 1.010 (p-value = 0.0001) when the hyperlipidemia phenotype was defined using MAP, suggesting that MAP had improved power for association test compared to ICD-9 code.

### **PheWAS using VA MVP Data**

In MVP, we performed both MAP based and ICD-9 based PheWAS of *IL6R* rs2228145. The minor allele

frequency for *IL6R* rs2228145 (risk allele: A; Asp358Ala) was 0.35. The PheWAS results based on the MVP data are shown in Figure 3. Detailed results for the association pairs that attained significant p-values after Bonferroni correction based on either MAP or  $\geq 2$  ICD-9 codes are shown in Supplementary Table 3. Compared to the standard ICD-9 code based PheWAS, MAP yields a similar number of significant associations when using Bonferroni correction, 13 for MAP and 12 for ICD. MAP, using the predicted probability as the outcome, generally detected stronger associations with odds ratios in larger magnitude and smaller p-values when compared to the results based on the standard PheWAS. For example, the estimated OR between *IL6R* SNP and ischemic heart disease was 0.945 (p-value =  $3.89 \times 10^{-19}$ ) for MAP and 0.955 (p-value =  $3.59 \times 10^{-12}$ ) for ICD. Among the 17 phenotypes that were significantly associated with *IL6R* by either MAP or standard PheWAS, the average negative log<sub>10</sub> p-value was 7.40 for MAP and 6.78 for ICD while the average absolute log odds ratio was estimated as 0.067 by MAP but 0.064 by ICD.

The *IL6R* antagonists were approved for treating rheumatoid arthritis (RA), giant cell arteritis (GCA), and systemic juvenile idiopathic arthritis (sJIA), also known as juvenile rheumatoid arthritis (JRA). However, the associations between *IL6R* and these three phenotypes were not detected in the VA MVP PheWAS due to the low prevalence and low accuracy of the ICD codes<sup>[33]</sup>. The *IL6R* PheWAS in MVP using ICD codes to define phenotypes found the following associations: GCA 0.926 (p-value = 0.279), RA 0.984 (p-value = 0.402), and juvenile RA (JRA) 1.082 (p-value = 0.684). Using MAP based phenotype definitions, the following associations were observed with *IL6R*: GCA 0.883 (p-value = 0.082), RA OR 0.986 (p-value = 0.494) and JRA OR 1.152 (p-value = 0.509) (Supplementary Table 4). Defining phenotypes with MAP showed a stronger association between *IL6R* and reduced risk of GCA whereby the magnitude of the reduced risk was higher with MAP as well as the level of significance. For JRA and RA, both MAP and ICD did not detect the associations, likely due to the inaccuracy in the coding and specific characteristics of the VA population.

We also validated the association of GCA, RA and juvenile RA (JRA) using the Partner's biobank. Using an ICD based definition for phenotypes the associations with *IL6R* showed the following: GCA OR 0.870

(p-value = 0.320), RA OR 0.897 (p-value = 0.008), and JRA OR 0.745 (p-value = 0.050). Using MAP to define the phenotypes, the estimated OR was 0.853 (p-value = 0.269) for GCA, 0.888 (p-value = 0.007) for RA, and 0.721 (p-value = 0.041) for JRA (Supplementary Table 4). These results again suggest improved power in detecting associations using the MAP approach.

## DISCUSSION

In summary, MAP provided three major advancements for high-throughput phenotyping. First, MAP provides a systematic automated approach for integrating narrative information using NLP with ICD codes for use in a high-throughput phenotype algorithm pipeline. Second, MAP automates selection of the NLP concepts for a given phenotype, traditionally a labor-intensive manual process. Third, built into MAP is the ability to assign a threshold to provide a binary yes/no classification for each phenotype. This was accomplished using the existing EHR data, thereby bypassing another traditionally rate limiting step, medical record review to determine the threshold probability above which a subject is considered to have the phenotype. This high degree of automation allows the integration of more data extracted using NLP into the algorithms, resulting in improvements in accuracy, while maintaining the scalability enabling large scale phenotype screens such as the PheWAS. The improved power and scalability will also enable more efficient and less biased epidemiological studies since MAP can be used to accurately annotate both the main phenotype of interest and other risk factors or covariates. In addition, the scalability of MAP is enhanced by its efficiency in computation time. For MVP cohort, it took about 1 minute per phenotype to run MAP utilizing one core on an Intel Xeon 5650 6-Core CPU (2.66 GHz) and it took NILE about 1 second to process 1000 notes that have at least 500 characters using the dictionary of 43,291 terms and 12,621 CUIs.

Similar to an existing high-throughput phenotyping approach such as PheNorm[26] and others[24]. MAP can rank order subjects according to the likelihood of having the phenotype. However, MAP also provides

a predicted probability of having the phenotype as well as an automated method to determine a threshold for each phenotype, facilitating classification into the binary phenotype yes/no categories. This ability to define a phenotype in two ways provides options for investigators depending on the study question. Using a probability of phenotype rather than a binary yes/no classification allows investigators to consider a phenotype as a continuous trait. This characteristic improved power to detect associations[38] compared to the standard PheWAS approach, which uses a binary trait, with higher effect sizes and smaller p-values. From our study using Partners Biobank, using MAP defined hyperlipidemia yielded much more significant result than that defined by ICD code, regarding the association between the LDL GRS and hyperlipidemia. This further confirms that using MAP defined phenotypes can improve the statistical power of downstream association studies as well as more accurate estimate of the effect sizes compared to ICD based analyses.

The option of classifying subjects into yes/no binary phenotype categories is also a step not available in PheNorm or other existing unsupervised algorithms. The ability to generate a data driven threshold that is adaptive to the specific phenotype and the healthcare system is also a desirable feature. Existing methods largely use a common threshold (e.g. 1 or 2 for ICD codes) but may result in poor performance for specific phenotypes or poor portability due to heterogeneity in healthcare systems[10]. Prevalence estimates using MAP, ICD codes, and chart review are provided in Supplementary Table 2, which suggests that the MAP estimates are more consistent with that based on chart review. Throughout our experiments, we assign a probability of 0 for patients in the filter negative set and evaluation on the filter positive set. The filter defined as having at least 1 ICD code generally has a high NPV. For example, in Partner's Biobank, the NPV for having no ICD code attained an average of 99% across the 16 phenotypes with 10 of which reaching 100%. In addition, the average NPV across 16 phenotypes for all patients (including both filter negative and filter positive patients) was 0.994 for both MAP and ICD-9 code (Supplementary Table 5). These suggest that assigning a probability of 0 for filter negative patients is safe and reasonable. However, alternative filters may have better performance and our MAP approach is not restricted to any specific filter. For under coded diseases phenotypes such as suicide ideation, filters based on both NLP and ICD may be attain higher accuracy.

A key part of MAP is the use of automated steps to identify the relevant ICD or NLP features for any given phenotype algorithm. The algorithms developed using ICD and NLP features selected using the MAP process had comparable or slightly better AUCs than manually curated features selected by domain experts across the 16 phenotypes. Additionally, the experiment shows that MAP was more robust than PheNorm. MAP uses model averaging over three types of features (ICD, NLP, and ICD+NLP) and two types of distributions (Poisson and log-normal) for algorithm development; PheNorm uses only the normal distribution and relies on majority voting. The additional models used by MAP improves the robustness of the algorithm. Specifically, to see the impacts of each single model and healthcare utilization on the performance of the MAP algorithm, we compared the performance of our proposed MAP algorithm to several simplified versions of MAP algorithm by removing some of the components for phenotyping the 16 diseases. From the results (Supplementary Tables 1 and 2), we found that the performance of MAP algorithm decreased when some of the components were excluded. To aggregate the results from all six models, MAP currently uses a simple model average of the predicted probabilities, in part due to the difficulty in ascertaining the performance of mixture models in the absence of labels. Data adaptive weighting can potentially be used to further improve the MAP performance.

It is worth noting that the denoising step of the original PheNorm was not used in this study. The denoising step can potentially improve the accuracy of PheNorm when the main ICD and NLP features are not sufficiently predictive, for example in the cases of asthma with automated features and T1DM with manual features. In comparison, MAP had a more robust performance and can attain reasonable accuracy in the absence of additional features and is thus highly scalable. However, it is plausible that incorporating additional features may further improve the accuracy of MAP for certain phenotypes, which warrants further research.

Compared to ICD based analyses, the improved accuracy of MAP translated into improved power in both association studies and a PheWAS using real world cohort data. From the genetic association study example



between the LDL GRS and hyperlipidemia in the Partners Biobank (n=17,805), we observed that improving the accuracy of phenotype definitions is particularly important when the sample size is relatively small. The association between LDL GRS and hyperlipidemia was much more significant when the phenotype is defined by MAP compared to that defined by ICD-9 codes alone. In MVP and Partners Biobank, MAP provided improved power to detect associations between *IL6R* and uncommon phenotypes where the accuracy of the ICD code was relatively low.

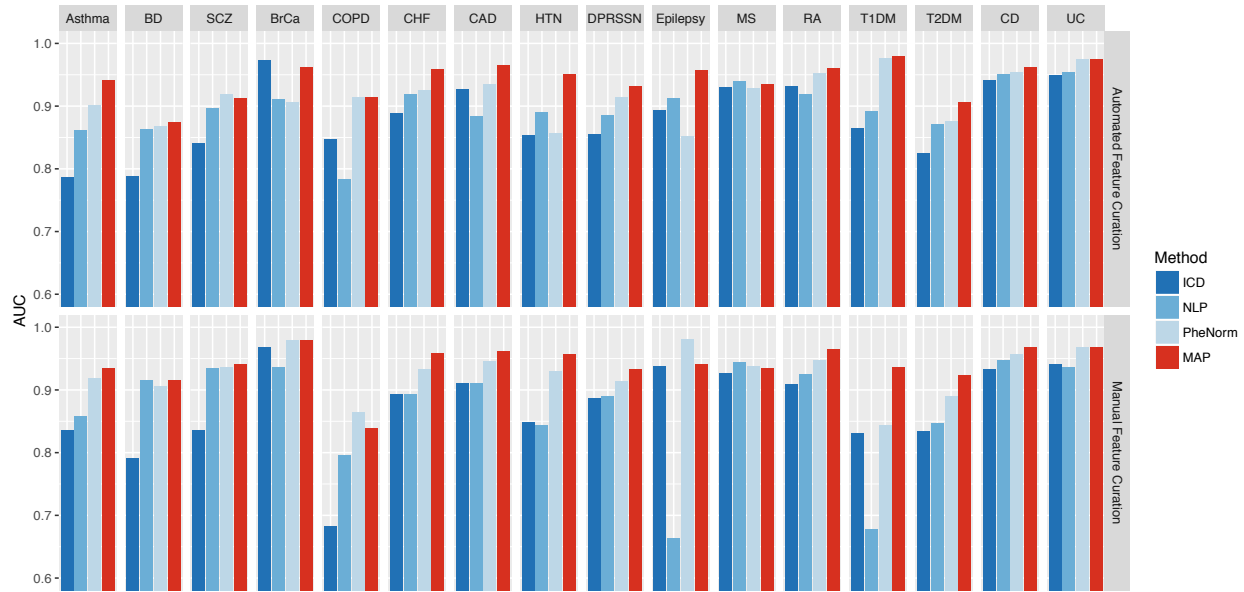
## CONCLUSION

Using a relatively large number of phenotypes with gold standard labels for validation, we demonstrated that the proposed MAP algorithm achieves more efficient, robust, and accurate phenotyping compared to existing approaches. One distinct advantage to MAP is the process of providing automated selection of both ICD and NLP features and integration of multiple feature types and distributions. We validated the MAP approach in two independent biobanks, demonstrating that MAP annotated phenotypes are comparable to those developed using manual approaches, can replicate known associations, and improve power in smaller datasets. Finally, MAP provides two forms of phenotype data for studies, in a traditional phenotype yes/no format or as a probability of a phenotype. The MAP high-throughput phenotyping approach integrating ICD-9 and key NLP concepts has direct applications in large scale association studies such as PheWAS in biorepositories linked with EHR data. This promising approach can also improve the resolution, particularly among less common or poorly coded conditions, to study the relationships across multiple phenotypes in one study.

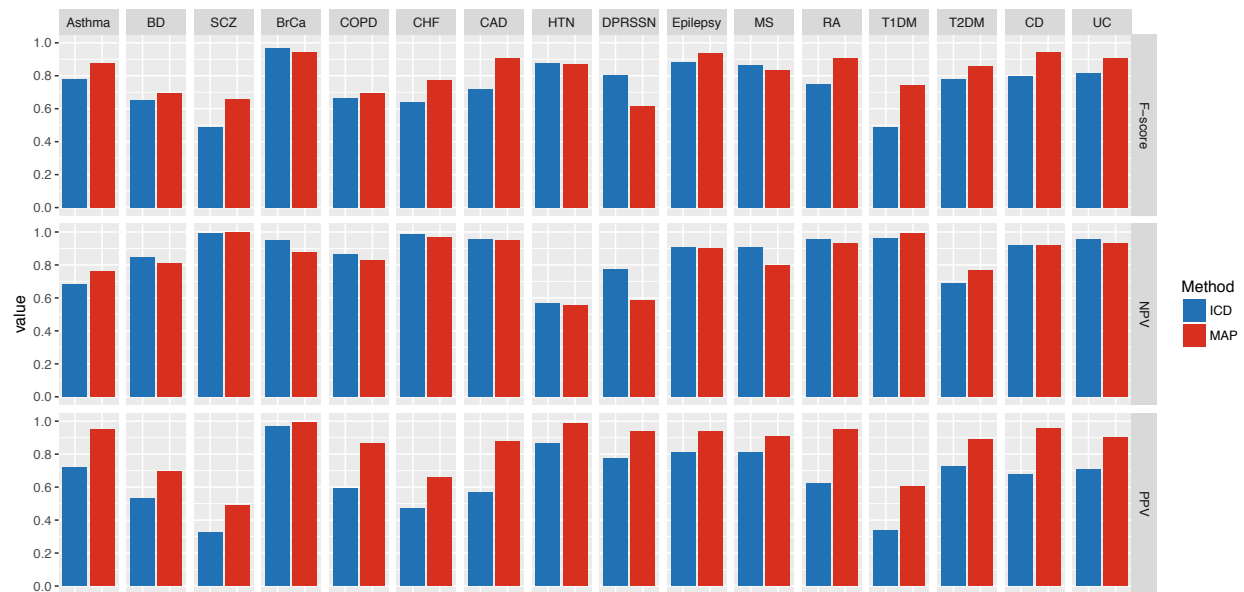
**Funding:** This work was supported in part by the U.S. National Institutes of Health Grants P30-AR072577, U54-HG007963, U01-HG008685 and RO1-HG009174, National Natural Science Foundation of China Grant 11801301, and National Key R&D Program of China Grant 2018YFC0910404.

**Competing Interests:** None.

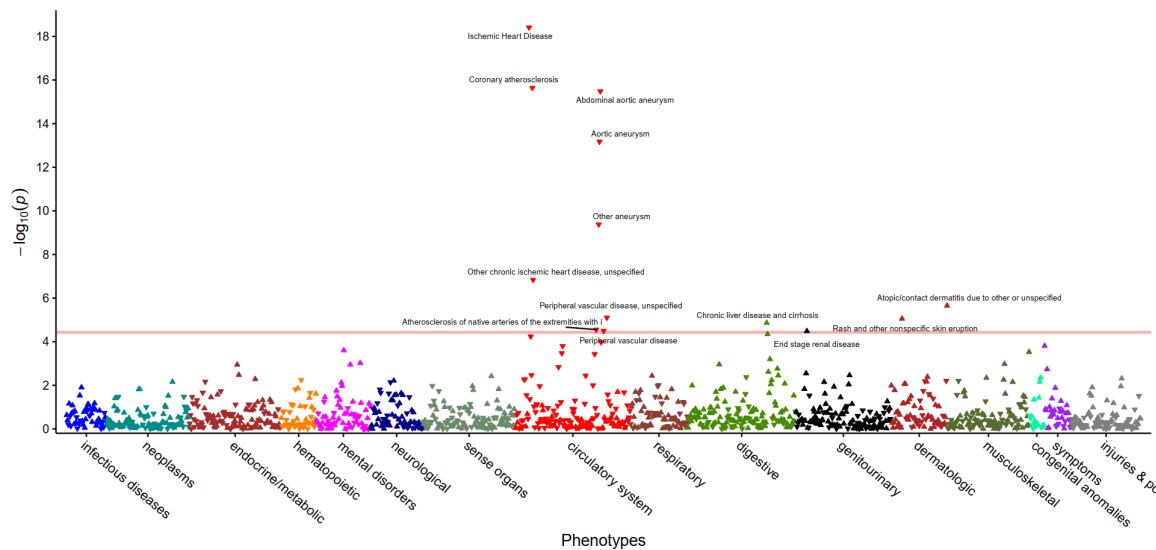
**Contributorship:** All authors made substantial contributions to: conception and design; acquisition, analysis and interpretation of data; drafting the article or revising it critically for important intellectual content; and final approval of the version to be published.



**Figure 1.** Top panel: Comparison of AUCs with gold standard labels for ICD-9 count, NLP, PheNorm, and MAP for 16 disease phenotypes using the MAP automated feature curation; Bottom panel: Comparison of AUCs for the 16 phenotypes features manual curated by domain experts.



**Figure 2.** Performance of phenotype classification using MAP compared to ICD-9 codes for 16 phenotypes with gold-standard labels. [F-score, negative predictive value (NPV), positive predictive value (PPV, precision)].



**Figure 3.** PheWAS results using MAP defined phenotypes for the IL6R SNP. Phenotypes significantly associated with IL6R after Bonferroni correction are annotated.

## Bibliography

1. Denny JC, Ritchie MD, Basford MA, et al. PheWAS: demonstrating the feasibility of a phenome-wide scan to discover gene-disease associations. *Bioinformatics* 2010;**26**(9):1205-10 doi: 10.1093/bioinformatics/btq126[published Online First: Epub Date].
2. Benesch C, Witter DM, Jr., Wilder AL, Duncan PW, Samsa GP, Matchar DB. Inaccuracy of the International Classification of Diseases (ICD-9-CM) in identifying the diagnosis of ischemic cerebrovascular disease. *Neurology* 1997;**49**(3):660-4
3. Birman-Deych E, Waterman AD, Yan Y, Nilasena DS, Radford MJ, Gage BF. Accuracy of ICD-9-CM codes for identifying cardiovascular and stroke risk factors. *Med. Care* 2005;**43**(5):480-5
4. White RH, Garcia M, Sadeghi B, et al. Evaluation of the predictive value of ICD-9-CM coded administrative data for venous thromboembolism in the United States. *Thromb. Res.* 2010;**126**(1):61-7 doi: 10.1016/j.thromres.2010.03.009[published Online First: Epub Date].
5. Zhan C, Battles J, Chiang YP, Hunt D. The validity of ICD-9-CM codes in identifying postoperative deep vein thrombosis and pulmonary embolism. *Jt. Comm. J. Qual. Patient Saf.* 2007;**33**(6):326-31
6. CONSIDER-A COMPUTER PROGRAM FOR MEDICAL INSTRUCTION. N. Y. State J. Med.; 1969. MED SOC STATE OF NY 420 LAKEVILLE RD PO BOX 5404, LAKE SUCCESS, NY 11042.
7. McCarty CA, Chisholm RL, Chute CG, et al. The eMERGE Network: a consortium of biorepositories linked to electronic medical records data for conducting genomic studies. *BMC Med. Genomics* 2011;**4**:13 doi: 10.1186/1755-8794-4-13[published Online First: Epub Date].

8. Conway M, Berg RL, Carrell D, et al. Analyzing the heterogeneity and complexity of Electronic Health Record oriented phenotyping algorithms. *AMIA Annu Symp Proc* 2011;**2011**:274-83
9. Newton KM, Peissig PL, Kho AN, et al. Validation of electronic medical record-based phenotyping algorithms: results and lessons learned from the eMERGE network. *J. Am. Med. Inform. Assoc.* 2013;**20**(e1):e147-54 doi: 10.1136/amiajnl-2012-000896[published Online First: Epub Date]].
10. Liao KP, Cai T, Gainer V, et al. Electronic medical records for discovery research in rheumatoid arthritis. *Arthritis Care Res. (Hoboken)* 2010;**62**(8):1120-7 doi: 10.1002/acr.20184[published Online First: Epub Date]].
11. Ananthakrishnan AN, Cai T, Savova G, et al. Improving case definition of Crohn's disease and ulcerative colitis in electronic medical records using natural language processing: a novel informatics approach. *Inflamm. Bowel Dis.* 2013;**19**(7):1411-20 doi: 10.1097/MIB.0b013e31828133fd[published Online First: Epub Date]].
12. Xia Z, Secor E, Chibnik LB, et al. Modeling disease severity in multiple sclerosis using electronic health records. *PLoS One* 2013;**8**(11):e78927 doi: 10.1371/journal.pone.0078927[published Online First: Epub Date]].
13. Castro VM, Minnier J, Murphy SN, et al. Validation of electronic health record phenotyping of bipolar disorder cases and controls. *Am. J. Psychiatry* 2015;**172**(4):363-72 doi: 10.1176/appi.ajp.2014.14030423[published Online First: Epub Date]].
14. Yu S, Kumamaru KK, George E, et al. Classification of CT pulmonary angiography reports by presence, chronicity, and location of pulmonary embolism with natural language processing. *J. Biomed. Inform.* 2014;**52**:386-93 doi: 10.1016/j.jbi.2014.08.001[published Online First: Epub Date]].
15. Liao KP, Ananthakrishnan AN, Kumar V, et al. Methods to Develop an Electronic Medical Record Phenotype Algorithm to Compare the Risk of Coronary Artery Disease across 3 Chronic Disease Cohorts. *PLoS One* 2015;**10**(8):e0136651 doi: 10.1371/journal.pone.0136651[published Online First: Epub Date]].
16. Liao KP, Cai T, Savova GK, et al. Development of phenotype algorithms using electronic medical records and incorporating natural language processing. *BMJ* 2015;**350**:h1885 doi: 10.1136/bmj.h1885[published Online First: Epub Date]].
17. Castro V, Shen Y, Yu S, et al. Identification of subjects with polycystic ovary syndrome using electronic health records. *Reprod. Biol. Endocrinol.* 2015;**13**:116 doi: 10.1186/s12958-015-0115-z[published Online First: Epub Date]].
18. Castro VM, Dligach D, Finan S, et al. Large-scale identification of patients with cerebral aneurysms using natural language processing. *Neurology* 2017;**88**(2):164-68 doi: 10.1212/WNL.0000000000003490[published Online First: Epub Date]].
19. Kirby JC, Speltz P, Rasmussen LV, et al. PheKB: a catalog and workflow for creating electronic phenotype algorithms for transportability. *J. Am. Med. Inform. Assoc.* 2016;**23**(6):1046-52 doi: 10.1093/jamia/ocv202[published Online First: Epub Date]].
20. Chen Y, Carroll RJ, Hinz ER, et al. Applying active learning to high-throughput phenotyping algorithms for electronic health records data. *J. Am. Med. Inform. Assoc.* 2013;**20**(e2):e253-9 doi: 10.1136/amiajnl-2013-001945[published Online First: Epub Date]].
21. Yu S, Liao KP, Shaw SY, et al. Toward high-throughput phenotyping: unbiased automated feature extraction and selection from knowledge sources. *J. Am. Med. Inform. Assoc.* 2015;**22**(5):993-1000 doi: 10.1093/jamia/ocv034[published Online First: Epub Date]].

22. Yu S, Chakraborty A, Liao KP, et al. Surrogate-assisted feature extraction for high-throughput phenotyping. *J. Am. Med. Inform. Assoc.* 2017;**24**(e1):e143-e49 doi: 10.1093/jamia/ocw135[published Online First: Epub Date]].
23. Chiu PH, Hripcsak G. EHR-based phenotyping: Bulk learning and evaluation. *J. Biomed. Inform.* 2017;**70**:35-51 doi: 10.1016/j.jbi.2017.04.009[published Online First: Epub Date]].
24. Agarwal V, Podchiyska T, Banda JM, et al. Learning statistical models of phenotypes using noisy labeled training data. *J. Am. Med. Inform. Assoc.* 2016;**23**(6):1166-73 doi: 10.1093/jamia/ocw028[published Online First: Epub Date]].
25. Halpern Y, Horng S, Choi Y, Sontag D. Electronic medical record phenotyping using the anchor and learn framework. *J. Am. Med. Inform. Assoc.* 2016;**23**(4):731-40 doi: 10.1093/jamia/ocw011[published Online First: Epub Date]].
26. Yu S, Ma Y, Gronsbell J, et al. Enabling phenotypic big data with PheNorm. *J. Am. Med. Inform. Assoc.* 2018;**25**(1):54-60 doi: 10.1093/jamia/ocx111[published Online First: Epub Date]].
27. Denny JC, Bastarache L, Ritchie MD, et al. Systematic comparison of phenome-wide association study of electronic medical record data and genome-wide association study data. *Nat. Biotechnol.* 2013;**31**(12):1102-10 doi: 10.1038/nbt.2749[published Online First: Epub Date]].
28. CMS.gov. 2018 ICD-10 CM and GEMS. Secondary 2018 ICD-10 CM and GEMS 2018. <https://www.cms.gov/Medicare/Coding/ICD10/2018-ICD-10-CM-and-GEMs.html>.
29. Yu S, Cai T. A short introduction to NILE. arXiv preprint arXiv:1311.6063 2013
30. Karlson EW, Boutin NT, Hoffnagle AG, Allen NL. Building the Partners HealthCare Biobank at Partners Personalized Medicine: Informed Consent, Return of Research Results, Recruitment Lessons and Operational Considerations. *J Pers Med* 2016;**6**(1) doi: 10.3390/jpm6010002[published Online First: Epub Date]].
31. Gainer VS, Cagan A, Castro VM, et al. The Biobank Portal for Partners Personalized Medicine: A Query Tool for Working with Consented Biobank Samples, Genotypes, and Phenotypes Using i2b2. *J Pers Med* 2016;**6**(1) doi: 10.3390/jpm6010011[published Online First: Epub Date]].
32. Gaziano JM, Concato J, Brophy M, et al. Million Veteran Program: A mega-biobank to study genetic influences on health and disease. *J. Clin. Epidemiol.* 2016;**70**:214-23 doi: 10.1016/j.jclinepi.2015.09.016[published Online First: Epub Date]].
33. Cai T, Zhang Y, Ho YL, et al. Association of Interleukin 6 Receptor Variant With Cardiovascular Disease Effects of Interleukin 6 Receptor Blocking Therapy: A Phenome-Wide Association Study. *JAMA Cardiol* 2018;**3**(9):849-57 doi: 10.1001/jamacardio.2018.2287[published Online First: Epub Date]].
34. Teslovich TM, Musunuru K, Smith AV, et al. Biological, clinical and population relevance of 95 loci for blood lipids. *Nature* 2010;**466**(7307):707-13 doi: 10.1038/nature09270[published Online First: Epub Date]].
35. Liao KP, Diogo D, Cui J, et al. Association between low density lipoprotein and rheumatoid arthritis genetic factors with low density lipoprotein levels in rheumatoid arthritis and non-rheumatoid arthritis controls. *Ann. Rheum. Dis.* 2014;**73**(6):1170-5 doi: 10.1136/annrheumdis-2012-203202[published Online First: Epub Date]].
36. Gottesman O, Kuivaniemi H, Tromp G, et al. The Electronic Medical Records and Genomics (eMERGE) Network: past, present, and future. *Genet. Med.* 2013;**15**(10):761-71 doi: 10.1038/gim.2013.72[published Online First: Epub Date]].

37. Halekoh U, Højsgaard S, Yan J. The R package GEEPACK for generalized estimating equations. *Journal of Statistical Software* 2006;**15**(2):1-11
38. Sinnott JA, Dai W, Liao KP, et al. Improving the power of genetic association tests with imperfect phenotype derived from electronic medical records. *Hum. Genet.* 2014;**133**(11):1369-82 doi: 10.1007/s00439-014-1466-9[published Online First: Epub Date]].