Clinical Trend Discovery and Analysis of Taiwanese Health Insurance Claims Data

by

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S.B., Massachusetts Institute of Technology (2015)

Submitted to the

Department of Electrical Engineering and Computer Science in partial fulfillment of the requirements for the degree of

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Abstract

Data-driven analysis can improve our understanding of medicine, and data from electronic health records and labs has been used successfully in predictive tasks. Less advanced analysis has been done on health insurance claims data, which can be rich and more structured but large in scale. Taiwan has had nationalized health insurance for twenty years; its National Health Research Institute Database (NHIRD) contains records of insurance claims, including medications, prescriptions, and treatment costs for both inpatient and outpatient visits, spanning sixteen years and a million patients. The NHIRD enables longitudinal studies of a patient's medical progression as well as aggregation and generalization to population-level insights. We conducted preliminary exploration of data trends in aggregate, such as diagnosis code frequency and average treatment cost over time. An infrastructure to perform large-scale queries and handle results was required to effectively use the NHIRD for research applications. After indexing database tables to improve query performance, we created a pipeline in Python to connect to and query the database, analyze data for hypothesis discovery and hypothesis testing, convert Taiwanese codes to international standards, and produce plots and graphs. This pipeline was used to examine drug side effects and comorbidities observed across a population, accounting for demographic variables. We also studied patient-specific longitudinal matrices of medical events, which were highly sparse. We attempted quantitative imputation methods to densify these matrices, but because the data was binary (indicating the presence of an event at a given time), categorical, and irregular, advanced imputation offered limited benefit. Nevertheless, we discovered interesting patterns in cohorts of diabetes patients treated with various classes of drugs. This information can be exploited in computational phenotyping and other learning methods, and combined with other data sources it could increase accuracy of clinical predictive tasks.

Thesis Supervisor: Peter Szolovits Title: Professor of Computer Science and Engineering

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Chapter 1

Introduction

This chapter will explain the challenges associated with this specific dataset as well as healthcare systems in general, while providing a foundation for the problems we attempted to address with this data in later chapters. Chapter 2 provides a background on medical terminology, the Taiwanese system, and international standards. Chapter 3 outlines findings from our initial data exploration to better understand the database and population-level trends. Chapter 4 describes the processes to perform more systematic analysis: the adjusting and indexing of the database, and the development of a pipeline coded primarily in Python. Chapter 5 describes results from one of the primary applications of the pipeline: to detect potential side effects of prescription drugs and determine their relative risks. Chapter 6 focuses on analyses specific to the individual patient, including attempts at missing value imputation on matrix representations of a patient's medical history. Finally, chapter 7 summarizes these results and highlights potential avenues for further research.

1.1 Overview

1.1.1 Data analysis in healthcare

Countries around the world are increasingly instituting healthcare reform, moving towards more comprehensive, even universal, coverage. Coupled with this shift is the introduction of electronic documentation requirements, which aim to bring healthcare technology up to par with other industries by centralizing clinical information and facilitating reimbursement. These requirements result in a large accumulation of data from electronic health records (EHRs) used in clinical practice, quantitative lab results, and insurance claims for reimbursement. Whether intended for clinical or billing purposes, this data can be immensely useful in answering questions relating to population health, disease progression, or an individual patient's medical trajectory.

Data in EHRs can include a mix of structured and unstructured fields, with much of the informative content inside the free-text of a physician's notes. In contrast, claims data is far more structured, adhering to strict requirements to be processed for reimbursement purposes. A patient's diagnosis, prescriptions, and ordered procedures are all represented by standardized alphanumeric codes, with other relevant information like the time of encounter and patient identification number well-documented. This structure gives claims data the advantage of clarity and ease of processing compared to other data sources.

Yet, claims data is not often analyzed on its own or as the primary data source for clinical questions. Since its purpose is administrative, there may be distrust as to its comprehensiveness for clinical questions. And in countries where reimbursement for health-related costs can be done by a mix of public and private agencies, with numerous insurance companies, it may be nearly impossible to have a single comprehensive data source containing all the claims for a set of individuals. This concern is remedied in countries like Taiwan, which has had single-payer nationalized health insurance for about twenty years.

1.1.2 Taiwanese health insurance

Taiwan implemented a nationalized health insurance program in 1995, as a singlepayer system covering medical costs with a low co-pay. Currently over 99.9% of its 23.4 million citizens are enrolled in the program. Taiwan's National Health Research Institute Database (NHIRD) maintained and stored records of insurance claims, including medications, prescriptions, and treatment costs for both inpatient and out-

Table	Outpatient	Inpatient
Visits	67 GB	1 GB
(diagnoses)	222 million rows 1.6 million rows	
Orders	136 GB	12 GB
(prescriptions, procedures, labs) \parallel 977 million rows \mid 82.8 million rows		

Table 1.1: Database Table Sizes

patient visits, spanning sixteen years (1996-2012) [\[1\]](#page-60-0).

Our lab currently has access to an anonymized subset of data from both inpatient admissions and outpatient visits, covering 1 million unique patients. Although the data is deidentified (stripped of sensitive identifying information such as name and medical record number), there are unique patient identifiers to link records that belong to the same patient across different tables. Thus, we can track a patient's medical progression over time in longitudinal studies, and the large data size permits generalization to population-level insights.

1.1.3 Database

The high volume of the NHIRD could allow for more comprehensive analyses than were possible with previous medical databases. Yet, the same feature that would make analysis rewarding also poses a computational challenge. The PostgreSQL database sits on a remote server with limited RAM. The initial data queries triggered on the remote server can be slow to return a large number of results, but the data cannot be moved elsewhere until it is analyzed, incurring an additional IO cost between the remote server and our computers. In such a large database, potential cohort sizes could be prohibitively large, so queries should be designed appropriately and efficiently, limiting the cohort size as necessary and appropriate.

While we were not allowed to modify the original database, we were allowed to copy tables from the original database into a separate working database on the remote server. There, we could create custom tables and indices to speed up queries. We created indices on columns used most commonly in our queries, and while they took up additional GB of disk space, they sped up results immensely.

The most relevant columns in the NHIRD, such as diagnostic and procedure codes, are structured fields, making analysis simpler than it would be, for example, on free text notes.

1.2 Previous work with NHIRD

The NHIRD has previously been used to answer several questions with a variety of focuses: some studies relate to the treatment of an individual disease [\[2\]](#page-60-1), while others look at broader patterns in treatment cost [\[4\]](#page-60-2), physician practices [\[3,](#page-60-3) [5\]](#page-60-4), or even the accuracy of the database itself [\[6\]](#page-60-5). While these studies have been informative and useful as models for future research, few of the clinically-focused studies use analysis more advanced than adjusted odds ratios, and they rarely go beyond a single disease phenotype.

Peter Szolovits and previous UROP student Neil Gurram used R scripting to connect to a sample database and perform some initial analyses on subsets of this data. However, as Python had similar functionality in database connection and analysis, and the full database required different parameters, I started from scratch and wrote most of my code in Python.

1.3 Goals

1. Exploratory analysis

To better understand the data we were working with, we searched for large-scale aggregate trends across the population. While the NHIRD has been analyzed before to answer several specific questions, an understanding of the database as a whole, such as general size of the data tables (as shown in [1.1\)](#page-12-1) or commonly observed diagnoses, was previously lacking. This exploration confirmed the comprehensiveness of the Taiwanese dataset to answer a broad range of clinically relevant questions. It also helped us better understand steps to take to standardize our analysis procedure.

2. Pipeline development for generalized analysis

As discussed further in [4.2,](#page-33-0) we wrote code in Python for most of the analysis, organizing roughly into modules grouped by function. Some statistical methods, especially those from other sources, were implemented in MATLAB.

3. New clinical discoveries

We used this pipeline to answer clinical questions both on broader scales related to drug side effects and disease management, as well as on the level of a specific patient.

Chapter 2

Background

This chapter will explain some of the terminology and concepts required for healthcare analysis, as they relate to the Taiwanese system and international standards.

2.1 Diagnosis

Physicians determine the patient's likely disease state with a diagnosis, represented by a standardized diagnosis code in structured EHR fields and claims data.

2.1.1 Inpatient vs. Outpatient settings

Our database tables are separated by inpatient and outpatient settings. The term "inpatient" implies that the patient is formally admitted to a hospital facility on a doctor's order, with a corresponding admission date and a discharge date when the patient leaves the hospital. The majority of inpatient admissions come through the emergency room. "Outpatient" services are broader, encompassing visits to clinics, initial emergency department services, and rehabilitation services. Outpatient care is also referred to as ambulatory care. In practice outpatient visits far outnumber inpatient admissions; this applies to the Taiwanese database as well, as outpatient tables are far larger than inpatient tables [\(1.1.3\)](#page-12-0).

2.1.2 International codes: ICD-9

The International Statistical Classification of Diseases, 9th revision, clinical modification (ICD-9-CM) is used in the U.S. as well as other countries. The ICD-9 codes are standard: they are generally three digits (sometimes prefaced with a letter) corresponding to a general diagnosis, and more specific details about the diagnosis have codes that differ in the digits after the decimal point.

Codes that are numerically close often correspond to related diagnoses. Top-level groups combine diagnoses that fall into similar categories: for example, codes 240–279 refer to "endocrine, nutritional and metabolic diseases, and immunity disorders." A following group will be slightly more specific, ex. codes 249–259 code for diseases of "other endocrine glands" (not the thyroid). The primary 3-digit code for diabetes mellitus (DM) is 250. The first digit after the decimal point introduces more specificity, ex. 250.0 is diabetes without mention of complication, while 250.1 is diabetes with ketoacidosis. Diabetes mellitus has two types which are different in mechanism and treatment. While type 1 is often early-onset and characterized by an inability of the pancreatic beta cells to produce insulin (thus being treatable with insulin injections), type 2 can occur later in life and is characterized by a resistance to insulin (often requiring combinations of antidiabetic drugs to increase cellular uptake of insulin). To accomodate this difference, the ICD-9 codes for diabetes can have a second digit after the decimal point, with any of the complications specified by the first digit. 250.x0 codes for diabetes mellitus type 2, 250.x1 codes for type 1, 250.x2 codes for type 2 uncontrolled, and 250.x3 codes for type 1 uncontrolled.

Currently many countries are undergoing a transition to the newest revision, ICD-10, which introduces many more highly specific codes. However, in the time period studied in our database, ICD-9 was still the standard.

2.1.3 Diagnosis code systems in Taiwan

Prior to 2000, Taiwan was using its own A-code system, a different and more general diagnosis coding system. In 2000, Taiwan officially implemented a transition to

ICD-9-CM. The use of ICD-9 codes in the NHIRD makes it comparable with other databases that use the same coding system, further facilitating analysis and interpretation of results.

However, some A-codes linger in the dataset even after 2000. This is in part because practitioners of Traditional Chinese Medicine (TCM) were slow to convert to ICD-9, as many TCM treatments could not be coded for in the newer systems. Since ICD-9 codes and A-codes are mixed in the same column in the database, distinguishing between the two systems requires preprocessing and knowledge of both coding systems. Even the ICD-9 codes that were used in the Taiwanese dataset differ slightly from the international standard, as they lack decimal points and use leading zeros for lower codes. Data cleaning was needed to verify the validity of the ICD-9 codes missing decimal points and ignore codes that were "junk data," not corresponding to any code equivalent in either the modified ICD-9 or the A-code system. After conducting this data cleaning, we found that while A-codes are common from 1996- 1999, the most common codes post-2000 were ICD-9, and starting in 2006 no A codes could be found at all.

We note that the ICD-9 codes available in our database primarily pertain to billing for insurance purposes, and they may not necessarily reflect the patient's true medical state. Past studies on the NHIRD have shown varying levels of diagnostic coding accuracy for a single disease, but the codes are still reasonably useful in large-scale analysis.

2.1.4 Disease phenotype aggregation

It can be useful to group similar or related diagnoses together. Fewer features will make computation faster, and less redundancy in the features will make analysis more meaningful, accounting for variation between different billing codes that represent the same phenotype. The ICD-9 top-level section groups as described earlier can be used for such aggregation. But even those introduce ambiguity and redundancy: codes for different types of diabetes with each complication fall under the same 3-digit code, yet the complications have their own codes in different sections. There could be multiple ways to code the same diagnosis, yet it is just as easy to lose information representing different diseases if the codes are aggregated by their ICD-9 category alone.

Another attempt at aggregating related ICD-9 diagnoses and mapping them to their corresponding disease is a Vanderbilt project called [PheWAS \(Phenome-wide](https://phewas.mc.vanderbilt.edu/) [association studies\).](https://phewas.mc.vanderbilt.edu/) There are 1645 PheWAS case groups (diseases) that are similar to the ICD-9 code groupings, but they "have been revised based on statistical cooccurrence, code frequency, and human review" [\[7\]](#page-60-6). For example, there are different ICD-9 codes for type II diabetes based on whether it is controlled or uncontrolled, but PheWAS maps both types to the same code: "250.2: Type 2 diabetes." All the diabetes codes and more fall under PheWAS group 3: "endocrine/metabolic" disorders (there are about 18 such groups). This is similar to the ICD-9 grouping for endocrine/ metabolic/ other disorders, codes 240-279, but it is not limited to these codes, nor does it include all the codes in that group. PheWAS group 3 also includes ICD-9 codes like V85.45, a code for BMI 70 or above in an adult, as it corresponds to "Morbid obesity" (like ICD-9 code 278 for obesity). But PheWAS group 3 does not include the ICD-9 code "256.31: Premature menopause": this is considered more similar to ICD-9 code 627 for menopausal and postmenopausal disorders, so it is grouped under PheWAS group 11, "genitourinary" disorders. The PheWAS mapping may prove to be helpful in aggregating disease codes, especially in larger-scale analysis.

2.2 Medications

A physician can choose to order procedures, prescription medications, and lab results. For this thesis, we focused on the orders for prescription medications. Taiwan used its own coding system with 28664 unique codes for prescription medications, but many of these codes can be different preparations of the same active ingredient, differing in manufacturer or dosage.

2.2.1 ATC codes

The WHO Collaborating Centre for Drug Statistics Methodology maintains a stable list of drug preparations classified according to the Anatomical Therapeutic Chemical (ATC) classification system. The following example of the classification of diabetes drug metformin, code A10BA02, is taken directly from the [WHO ATC website](http://www.whocc.no/atc/structure_and_principles/) [\[8\]](#page-60-7).

ATC codes are 7 characters long. The first character is a letter corresponding to the first-level anatomical main group: here "A" represents the group for drugs treating the "alimentary tract and metabolism." The following two characters represent the second-level therapeutic subgroup (treatment for a specific disease): here "A10" represents the subgroup for drugs used in diabetes. The following letter forms the third-level pharmacological subgroup: "A10B" is the class of blood glucose-lowering drugs, excluding insulins. The next letter forms the fourth-level chemical subgroup: "A10BA" refers to all biguanides. The final two numbers indicate the specific chemical substance: "A10BA02" represents the drug metformin.

2.2.2 Mapping Taiwanese codes

There is a many-to-one mapping between the Taiwanese drug codes and the international ATC codes. Each unique prescription in the Taiwanese database can be mapped to a single unique ATC code representing the functional ingredient. However, one ATC code can refer to many possible Taiwanese prescription codes. For metformin, ATC code A10BA02, there are 151 different Taiwanese prescription codes, including "A034549100: MEGLUMINE TABLETS 500MG (METFORMIN) S.S.P." and "A047594100: ILIMIN FILM COATED TABLETS 850MG S.D." Some may differ in dose; some have different preparations or coatings, and others differ solely in manufacturer or brand name.

We were provided mappings between the Taiwanese codes and international ATC codes in csv and text files. We converted this into a Python dictionary, with Taiwanese codes as the key and ATC codes as the value. In total the 28664 Taiwanese codes map to 1770 unique ATC codes.

Chapter 3

Database Exploration

The overall sizes of inpatient and outpatient data for visits (diagnoses) and orders (including prescriptions) were listed in [1.1;](#page-12-1) more detail on the specific database tables partitioned by years is available in table [A.1.](#page-57-0) Our analysis focused on the first four tables listed in that appendix. Birthdate and gender were normally documented in the records of the visit tables, but when they were missing, we could refer to the last table of demographic information (id). This contained the birthdate (month and year), gender, and regional district of each individual. Previous research has looked at variations in care across regions in Taiwan, such as differences between rural and urban settings; we examined it briefly but focused mostly on age and gender as demographic variables.

3.1 Diagnosis Frequency

Though there are 14428 possible ICD-9 codes, many of them are never or rarely observed in the NHIRD. 1067 ICD-9 codes never appear in either inpatient or outpatient visits. 61 codes account for the top 50% of billed codes, and 863 codes account for the top 90%. Certain illnesses may be more common than others, and these may vary between inpatient and outpatient visits. Understanding these differences could give us clues as to diseases to focus on in later specific analysis of the Taiwanese population.

Figure 3-1: Top 15 most coded outpatient diagnoses, 2000-2012

Diagnosis (ICD9-CM)	Frequency
465.9: Acute upper respiratory infections of unspecified site	18446463
466: Acute bronchitis	7249447
401.9: Unspecified essential hypertension	7125307
521: Dental caries	6831468
460: Acute nasopharyngitis [common cold]	6421725
461.9: Acute sinusitis, unspecified	5259519
463: Acute tonsillitis	4393754
250.00: Diabetes mellitus without mention of complication,	4076726
type II or unspecified type, not stated as uncontrolled	
462: Acute pharyngitis	3249391
477.9: Allergic rhinitis, cause unspecified	2913866
692.9: Contact dermatitis and other eczema, unspecified cause	2837567
558.9: Other and unspecified noninfectious gastroenteritis	2713511
and colitis	
$786.2:$ Cough	2593550
784: Headache	2588796
465: Acute laryngopharyngitis	2400743

Table 3.1: Top 15 outpatient diagnoses, 2000-2012

3.1.1 Outpatient

In figure [3-1](#page-23-0) and table [3.1](#page-23-1) I explored diagnosis code frequency in the outpatient diagnosis tables, focusing on the top fifteen ICD-9 codes observed in 2000-2012. This counts each visit, not each patient diagnosed: a patient visiting multiple times in a year will increase the count of that diagnosis for each visit.

8 of the top 15 codes correspond to diseases of the respiratory system (460-519), 7 of them acute respiratory infections (460-466). This suggests that certain disease groups will account for most of the outpatient visit codes. It will be interesting to see how the ICD-9 groups compare with other aggregation such as PheWAS, especially since the 13th billing code, "786.2: Cough," does not fall in the same ICD-9 code group but could be a symptom of respiratory disease.

Aggregation (outpatient diagnosis codes)

The initial level of PheWAS code grouping [\(3-3\)](#page-26-0) is very similar to that of the original ICD-9 diagnosis codes, but by aggregating similar diagnoses, the PheWAS captures even more related codes, heightening the already large prevalence of respiratory infections. The original ICD-9 codes can be aggregated at a slightly higher level in ICD-9 code groups (Hierarchical Condition Codes or HCCs, [3-2\)](#page-25-0), where it is still clear that respiratory illnesses dominate other outpatient diagnoses. One major issue with this aggregation is the presence of ambiguous groups like "780-789: Symptoms": this group includes symptoms of many different organ systems that may have no functional relation to each other. The PheWAS codes are more specific, not grouping all respiratory diseases at this level, but less ambiguous, as symptoms are grouped with a corresponding disease. PheWAS codes themselves can be aggregated into 18 categories at the highest, least specific level. While respiratory illness remains high throughout the years, categories like digestive system illness are not far behind.

Figure 3-2: Top 15 ICD-9 (HCC) groups, Outpatient diagnoses 2000-2012

Code Range	Frequency
460-466: Acute respiratory infections	54393463
780-789: Symptoms	19954595
520-529: Diseases of oral cavity, salivary glands, and jaws	17628063
360-379: Disorders of the eye and adnexa	13800144
401-405: Hypertensive disease	11404753
530-537: Diseases of esophagus, stomach, and duodenum	10683380
720-724: Dorsopathies	7399809
249-259: Diseases of other endocrine glands	6842291
690-698: Other inflammatory conditions of skin and	6777811
subcutaneous tissue	
710-719: Arthropathies and related disorders	6721825
470-478: Other diseases of the upper respiratory tract	6647497
725-729: Rheumatism, excluding the back	6630685
270-279: Other metabolic and immunity disorders	6529154
300-316: Neurotic, personality, and other nonpsychotic	5480604
mental disorders	
617-629: Other disorders of female genital tract	5049707

Table 3.2: ICD-9 top 15 code groups, outpatient diagnoses 2000-2012

Figure 3-3: Top 15 PheWAS codes, Outpatient diagnoses 2000-2012

PheWAS code	Frequency
465: Acute upper respiratory infections of multiple or	28713713
unspecified sites	
483: Acute bronchitis and bronchiolitis	8634657
401.1: Essential hypertension	8399722
521.1: Dental caries	6831587
464: Acute sinusitis	5886825
250.2: Diabetes mellitus type 2	4937451
474.1: Acute tonsilitis	4424112
939: Atopic/contact dermatitis due to other or unspecified	4366584
465.4: Acute laryngitis and tracheitis	3486007
564: Functional digestive disorders	3307620
476: Allergic rhinitis	3283876
465.2: Acute pharyngitis	3274851
760: Back pain	2792472
558: Noninfectious gastroenteritis	2740514
401.21: Hypertensive heart disease	2722687

Table 3.3: PheWAS top 15 code groups, outpatient diagnoses 2000-2012

Figure 3-4: PheWAS categories, outpatient diagnoses 2000-2012

3.1.2 Inpatient

Inpatient admissions might be expected to include more emergency services and intense, acute care but less chronic diseases than in outpatient visits. Similar analysis was done for inpatient records in table [3.5](#page-30-0) and figure [3-5.](#page-28-0) There are far fewer inpatient admissions than outpatient visits overall. The most common inpatient diagnosis, "401.9: Essential hypertension, unspecified," is also the third most frequent outpatient billing code: it grows over the years in both settings, but its growth appears far more drastic in the inpatient settings, where its frequency jumps 7-fold in the twelveyear period. Otherwise, inpatient diagnoses seem very different from outpatient ones: the rest of the top 15 codes do not overlap. There may be different common code groups in the inpatient setting observed when aggregating billing codes, or considering comorbidities. For example, codes 650 and V27 both relate to pregnancy: the former, related to pregnancy complications, was the most common inpatient billing code in the year 2000 but decreased afterwards, stabilizing just under its original frequency.

Figure 3-5: Top 15 most coded inpatient diagnoses, 2000-2012

Figure 3-6: Top 15 most expensive outpatient billing codes on average, 2000-2012

3.2 Expenses

The diagnosis codes are primarily intended for billing purposes; thus there is concern that, in cases where billing codes are somewhat ambiguous for a given disease phenotype, physicians could choose codes that will qualify for higher reimbursements. Taiwan has experimented with various policies surrounding reimbursement, aiming for approximately even levels for equivalent treatment. Since we have data on treatment costs and the amount reimbursed (in Taiwan new dollars- NT\$), it would be informative to see which codes account for the highest costs, and whether those appear unusually frequently. Since outpatient visits far outweigh inpatient admissions, we focused on outpatient diagnoses and their average cost (figure [3-6\)](#page-29-1). The most frequently billed code group is not the most reimbursed: codes in the 460-519 group for respiratory illness do not appear in the list in table [3.4.](#page-28-1)

Supplementary codes (prefaced with the letter "V"), especially codes for "persons encountering health services for specific procedures and aftercare" (V50-59), were disproportionately represented. For this group, the specific description of each individual code is more informative (see table [3.4\)](#page-28-1). Other high-cost codes fall into the categories of blood diseases (280-289) and metabolic and immunity disorders (270- 279): the high-cost codes themselves seem rare in the NHIRD, though they belong to some of the more frequently observed code categories. There was not much of a correlation between billing frequency and reimbursement, but future analyses would need to account for multiple codes in the same visit, procedures, medications, and

Diagnosis (ICD9-CM)	Average Cost (NT\$)
277.5: Mucopolysaccharidosis	1332479.68
286.0: Congenital factor VIII disorder	1165922.80
286.1: Congenital factor IX disorder	947910.18
271.0: Glycogenosis	607634.86
742.3: Congenital hydrocephalus	530229.14
V58.0: Encounter for radiotherapy	498878.08
713.2: Arthropathy associated with	492414.79
hematological disorders	
V56.0: Encounter for extracorporeal dialysis	469869.77
V56.8: Encounter for other dialysis	420543.32
589.2: $*$ invalid ICD-9 code.	351768.05
$589 =$ small kidney of unknown cause	
719.12: Hemarthrosis, upper arm	326904.76
V45.1: Postsurgical renal dialysis status	315804.87
V52.1: Fitting and adjustment of artificial leg	284250.40
V56.32: Encounter for adequacy testing for	267355.11
peritoneal dialysis	
758.6: Gonadal dysgenesis	254705.92

Table 3.5: Top 15 expensive outpatient billing codes, 2000-2012

other factors that could influence costs.

Chapter 4

Pipeline

An infrastructure was required to enable more systematic analysis. A rough schematic is shown in [4-1.](#page-33-1)

4.1 Database preprocessing (PostgreSQL)

As mentioned in section [1.1.3,](#page-12-0) we made some modifications to working copies of database tables to speed up queries. The orders tables did not contain the unique ID of the patient who was prescribed the drug, but the record in this table could be cross-referenced with the corresponding patient visit in the visits tables based on six columns. We joined the orders and visits tables on these fields with queries like:

```
SELECT (id, id_sex, id_birthday, drug_amt, icd9cm_code, ... )
INTO dddo96_03 FROM dd1996_2003
LEFT OUTER JOIN do USING
(fee_ym, appl_type, hosp_id, case_type, seq_no, appl_date);
```
We created indices on both the original and combined tables. Indices on the outpatient tables took up a large amount of disk space. Indices on the single outpatient orders tables (oo) were 42GB , 30GB , and $\leq 1\text{GB}$ for the different partitions, comparable to the size of the original tables themselves. Indices on this table joined with records from the visits tables were of similar sizes. Yet, queries in the new database

Figure 4-1: Pipeline

with these indices took anywhere from $1/3$ to $1/10$ of the time that it took on the original unmodified database. The inpatient tables were small enough such that queries could run relatively quickly without indices. In both inpatient and outpatient settings, the tables we created combining diagnosis and prescription information sped up our overall analysis significantly.

4.2 Querying pipeline (Python)

We attempted to separate code for related tasks into Python modules, for future reusability. The ref module contained our reference lookup dictionaries for things like Taiwanese prescription code to ATC code matching, or diagnosis phenotype aggregation (both mentioned in chapter 2). Files in the db module handled database connection, storing connection parameters as well as table/ column names for inpatient and outpatient visits and orders tables. Rather than typing out multiple SQL select statements in Postgres and waiting for each query to finish, or running a bash script of SQL queries and attempting to parse the output, we directly triggered desired queries from Python using the psycopg2 module. In the *queries* module we wrote functions to handle common queries for selecting medical events for a given patient; medical events across all patients matching characteristics like time, diagnoses, or prescriptions; obtaining the demographic information for a patient; and more. Files in the explore module were used to perform analyses like those detailed in chapter 3. Finally, functions for plotting graphs of results, heavily relying on the matplotlib package, are in the plot module.

4.3 Further analyses (Python, MATLAB)

In the data imputation attempts discussed in chapter 6, we tested methods developed by other researchers. Many of their toolboxes were written in MATLAB, so our use of those toolboxes was also done in MATLAB. The output csv files could then be read in Python to evaluate accuracy of the original imputation method.

Chapter 5

Medication Side Effects

A potential application of this claims data is the early detection of side effects. We started by looking at examples of known side effects confirmed by clinical trial. In particular, we looked at rofecoxib (Vioxx), a drug for pain relief manufactured by Merck, widely used until it was recalled in 2004. We examined relative risk as did the VIGOR trial, but also comparing age and gender. We applied this procedure and other methods for detecting potential side effects in classes of diabetes drugs.

5.1 Known side effect: rofecoxib and MI

Rofecoxib was a NSAID (nonsteroidal anti-inflammatory drug) used to treat acute pain: as a selective COX-2 inhibitor, it could target the enzyme isoform COX-2 responsible for pain and inflammation but avoid the isoform COX-1 needed to protect the stomach lining. Thus, it was hoped to have lower gastrointestinal side effects than other pain relief drugs. Merck conducted the VIGOR (Vioxx Gastrointestinal Outcomes Research) clinical trial to confirm Vioxx's superior gastrointestinal outcomes compared to a standard pain relief drug, naproxen (Aleve), used as a control. However, the same VIGOR trial found a higher risk of myocardial infarction (MI, heart attack) associated with rofecoxib than the control naproxen. [\[10\]](#page-61-0)

5.1.1 Rofecoxib codes and dosage frequency

Merck was maligned for mishandling the results and hiding evidence prior to the recall, yet the trial itself focused on an older population with rheumatoid arthritis taking the highest allowed therapeutic dose of rofecoxib (50 mg). It is not immediately clear from the clinical trial alone whether the observed side effect would apply to other demographics. The Taiwanese population is more homogeneous in some dimensions than the American one, and the NHIRD is fairly comprehensive during the time frame. Thus, the NHIRD would serve as an interesting case study for this side effect.

The ATC code for rofecoxib is M01AH02. Two Taiwanese prescription codes map to this ATC code: B023113100 ("VIOXX TAB. 25MG") and B023490100 ("VIOXX TABLETS 50MG"). The first code for rofecoxib (25 mg tablets) is only prescribed from 2001-2005. However, the second of these prescription codes, for the dose at 50 mg, is never used in the database. The lack of the 50 mg dose of Vioxx in the dataset makes it difficult to compare directly to the VIGOR trial where subjects took the maximum 50 mg dose daily. Still, if patients took the 25 mg tablets twice daily, it would be equivalent to the daily 50 mg dose and roughly comparable. There is drug dosage frequency information embedded in the database, where doctors prescribe with abbreviations like "QD" for every day, "BID" for twice a day, and others.

Figure [5-1](#page-38-1) shows the count of outpatient prescriptions of rofecoxib in the database for each year it was prescribed from 2001 to 2005, along with information on dosage frequency for abbreviations that we could translate (the ones we could not disambiguate, or ones that coded for variable, "as-needed" dosages, are listed as "Unknown"). The vast majority (42934/47557 or about 90%) of all prescriptions are prescribed to be taken once a day. A remaining 6.6% (3126) are coded to be taken twice a day. 201 are for every alternate day, 147 are to be taken 3x or 4x a day, and 1350 are "unknown" or of variable dosage.

Rofecoxib outpatient prescriptions over time

Figure 5-1: Rofecoxib outpatient prescription frequency

5.1.2 Myocardial infarctions

Although myocardial infarction (heart attack) is considered an acute event likely to be treated in an inpatient setting, many heart attacks may go undetected at the time, and some may be recorded later in an outpatient setting. Thus, we consider both inpatient and outpatient occurrence of myocardial infarction.

The total number of patients that had experienced myocardial infarction (ICD-9 code 410.* with any precision after the decimal point) was relatively low in the Taiwanese database. 5871 unique patients experienced a heart attack in the inpatient records. 6660 patients were diagnosed as having had a heart attack in their outpatient records, but there is some overlap between the inpatients and outpatients: the total number of unique patients with heart attacks anywhere in their history is 9293. Figure [5-2](#page-39-0) shows the number of new patients with heart attacks in each year. Figure [5-3](#page-39-1) also displays each patient's first instance of a heart attack, grouped by age, and stacked by gender: more males had heart attacks than females in the population, and females seem to have their first heart attack at a slightly older age than do males.

Figure 5-2: Myocardial infarction incidence

Figure 5-3: Myocardial infarction distribution by age, stacked by gender

Figure 5-4: Myocardial infarction medications

5.1.3 Rofecoxib vs. Naproxen

While we compared rofecoxib to naproxen like the VIGOR trial, we did not limit our analysis to patients with rheumatoid arthritis in a certain age range, or rofecoxib users on a 50 mg daily dose. We did exclude any patients that had myocardial infarction before taking either drug, as well as patients prescribed both drugs.

Figure [5-4](#page-40-2) shows age and gender distributions for users of each drug, with or without a subsequent heart attack. Table [5.1](#page-41-2) shows relative risks of myocardial infarction after being prescribed each drug, calculated as (Number of patients prescribed a drug and afterwards experiencing myocardial infarction) divided by (Total number of patients prescribed the drug).

5.2 Demographics adjustment

The risk table [5.1](#page-41-2) makes the relative increased risk of myocardial infarction unclear: while the difference is high for all users, it is smaller in the age 40-59 group and almost

\parallel MI/(MI + No MI)	Rofecoxib		Naproxen Overall MI
All Users	$4.62\,$ $\%$	0.86%	0.93%
Ages $40-59$	3.10%	1.30%	Total 3154
Ages 60-79	4.72 $%$	4.11%	Total 4294
Male	6.17%	1.17%	1.24 $%$
Female	3.73%	0.61%	0.63%

Table 5.1: MI risk Vioxx vs. Naproxen

disappears in the age 60-79 group. More work needs to be done to control for these demographic variables, as well as other aspects of patient history.

5.3 Type 2 Diabetes

Type 2 diabetes (T2DM) is a growing public health issue worldwide, especially in Taiwan. While T2DM can be associated with complications that require treatment in an inpatient setting, as a chronic disease it is often diagnosed and treated in outpatient visits. Figure [5-5](#page-42-0) shows the number of new outpatients diagnosed with diabetes per year, from 1996 to 2012, totaling 138,720 patients. Figure [5-6](#page-42-1) shows the distribution of the age of onset. T2DM is an adult onset disease, and the distribution is centered around ages 50-55.

5.3.1 Classes of diabetes drugs

While Type 1 Diabetes is defined by a lack of insulin production and can be treated with insulin injections, Type 2 is characterized by insulin resistance and requires oral drugs to treat. Major drugs used to treat T2DM include metformin, sulfonylureas, alpha-glucosidase inhibitors, thiazolidinediones, glinides, and DPP-4 inhibitors. There are 567 Taiwanese codes for these blood glucose-lowering drugs (ATC codes starting with "A10B"). Some drug classes have many corresponding Taiwanese codes; less common or newer drugs like DPP-4 inhibitors have fewer Taiwanese codes, sometimes none for the corresponding ATC code. The actual numbers are shown in [A.2.](#page-58-0)

Figure 5-5: Diabetes over time

Figure 5-6: Diabetes age of onset

The usage of these various types of treatment in Taiwan was studied in 2012 [\[9\]](#page-61-1). That study found that metformin and sulfonylurea-based treatments have accounted for the majority of prescriptions. However, other oral drug categories (glinides, alphaglucosidase inhibitors) grew in prescription usage throughout the 2000s. DPP-4 inhibitors are not substantially represented in the dataset before 2009, perhaps because it was not reimbursed until 2009. Prescriptions for thiazolinediones grew until a peak in 2004, and then started to decrease as data pointed to risk of serious side effects such as congestive heart failure (CHF) for rosiglitazone. These trends applied both for the drugs in monotherapy and as part of a combination therapy.

5.3.2 Thiazolinedione side effects

Though research has pointed to serious potential side effects associated with thiazolinediones, in particular rosiglitazone, the drug has not been officially recalled from the market [\[11\]](#page-61-2). We attempted to investigate potential side effects of the drug in our data by looking at potential comorbidities.

From a set of 230 diabetic patients prescribed rosiglitazone, we focused on the most common ICD-9 codes (at the three-digit level) for the following 24 months after their prescription, considering each month as a bin. It was hoped that this would limit the number of variables in our dataset and the sparsity to a more manageable number, while also eliminating more spurious trends and focusing on the associations more likely to be truly associated with diabetes. We aggregated this over the population of patients, and repeated the procedure for patients prescribed pioglitazone. We excluded patients taking both drugs, but we did not have time to exclude those on other classes of diabetes drugs.

Figure [5-7](#page-44-0) and appendix table [A.3](#page-59-0) showed a rather similar profile for users of both drugs. Users of both drugs have the same top 8 most frequent diagnoses, including (unsurprisingly) code 250: Diabetes mellitus, but also various other expected comorbidities like 272: Disorders of lipoid metabolism and 401: Essential hypertension. Others are observed in such a low percent of cases that it is dangerous to draw any conclusions from these numbers alone.

Figure 5-7: Diagnoses after thiazolinedione prescription: (left) rosiglitazone, or (right) pioglitazone. Codes in the legends are described in appendix [A.3.](#page-59-0)

Individual patient matrices from this cohort were also used for analysis in the following chapter.

Chapter 6

Individual Patient Medical History

So far, data exploration and analysis has been done primarily in aggregate, looking at patient medical history on a population scale. Analysis on the individual patient level could help generate more meaningful clinical results. There are different possible ways to study change in a patient's disease state over time. Lasko proposes treating the data as streams of events, using MCMC methods to model parameters [\[12\]](#page-61-3). On the other hand, many clinical phenotyping methods require conversion of patient medical history to a matrix [\[13\]](#page-61-4).

ICD-9 and ATC codes do not tell the full story, but they can be signs of a clinically meaningful patient phenotype. A clinical phenotype can be defined by a combination of diagnoses and medications that may co-occur in a patient or group of patients; each feature's presence may have a different contribution to the overall clinical phenotype. As in the construction of PheWAS [\[7\]](#page-60-6), these phenotypes can be determined using unsupervised methods and then refined with existing medical knowledge, but the resulting phenotypes should be interpretable. With a matrix of patient medical history, methods involving matrix factorization can identify distinct and clinically relevant phenotypes.

Figure 6-1: Schematic to make matrix

6.1 Matrix Representation

A patient's medical history of discrete events can be converted into a longitudinal matrix as in figure [6-1.](#page-47-1) The variables are medical events measured across the dimension of time; binary data indicate whether the event was observed at a given time. If medical events are rows and times are columns, the value at row i and column j in such a matrix will be 1 if the event i is observed at time j , and 0 otherwise.

A longitudinal patient matrix constructed this way is often sparse and noisy in practice, with more possible variables and timesteps than observed events. There are many possible medical events: 14428 ICD-9 codes and over 28 thousand Taiwanese prescription codes (see chapter 2). Yet only a few events can be coded on a given visit (in the NHIRD, a maximum of 3 diagnosis codes are present in each record for outpatient visits, and 4 codes for inpatient admissions). Data may be missing due to irregular patient visits, and billing codes may be an incomplete representation of the patient's medical state. Thus, the presence of a 0 in the matrix is not the same as a negative result: more precisely, it may be missing data. In the case of diagnoses, data could be missing in dates between visits, because the patient's state between visits is not known, or even in a visit's record, if the physician does not encode all applicable diagnosis codes in the billing process. Treating all these values as 0s could cause inaccurate results in predictive tasks. It is possible to simply ignore missing values, deleting all instances that have them, but this could remove far too much of our data, losing valuable information and introducing bias.

6.2 Data Imputation

Rather than ignoring missing data, we can replace it with imputed values. We tested methods designed to impute continuous data, but the original data in our binary matrices could only take on a value of 0 or 1. The imputed values could be any valuemost were decimals between 0 and 1, but some were outside those bounds. We did not round the values during imputation, but when it came time to compare accuracy to the original binary values, we treated an imputed value as a 0 if it was less than 0.5, and as a 1 if it was greater than or equal to 0.5. Alternate analysis could compare to the original imputed value directly, without rounding, for a measure of uncertainty. Another possible way to repeat this analysis would be to use larger time bins and add the events in a time window, such that the values could be bigger than 1, perhaps making continuous imputation methods more valuable.

The methods could impute on simple, predictable patterns when full time points were removed, so we tested them on more representatively complex patterns, but still on relatively dense patient matrices, with some percent of the values removed at random.

6.2.1 Standard methods

Single imputation methods consider each variable on its own. They can replace each missing value with a single value, such as the mean of the entire row, or a function of neighboring values (k-Nearest Neighbor based). We include the following simple control methods.

- ∙ AVG: row average average value of observed feature over time
- ∙ LOCF: Last observation carry forward
- ∙ NOCB: Next observation carry backward

% Missing Values				$AVG LOCF NOCB FLk-NN$
$10 \ \%$		77.5 % 72.4 %	82.5%	70.0 %
25%		78.1% 82.2 %	$80.2\,\,\%$	85.4%
50%	80.0%	83.7%	78.4 %	78.9 %
75%		82.6% 77.1 %	78.1 %	69.8 %
90%	79.0 %	176.4%	75.6 %	67.5 %

Table 6.1: Method accuracy

6.2.2 Advanced methods in literature

Multiple imputation methods consider how different variables are related. Some methods in the literature use sophisticated models and machine learning techniques, but they can be computationally expensive, infeasible for our large data size. We isolated a few recently published methods that claimed to work on large datasets. For instance, FLk-NN (Fourier-lagged correlation/ k-Nearest Neighbors) extends k-Nearest Neighbors and a Fourier transform to allow for missing data imputation even when all of the data at a time point is missing, and it was found to work well for up to half the data missing [\[14\]](#page-61-5). Though it was tested on synthetic medical data, it was not tested for datasets as sparse as ours, nor on binary data.

One might expect the methods to be less accurate on more sparse matrices. However, that is not uniformly the case, as seen in table [6.1.](#page-49-1) Accuracy only steadily decreases for the NOCB method; other methods' accuracies increase before they decrease, and FLk-NN's accuracy peaks at 85.4% accuracy with 25% sparsity. After that, it decreases fairly sharply. At extreme levels of sparsity (75% and 90%), where FLk-NN was not tested, its performance drops off sharply below even the most basic methods, whereas the simpler imputation methods perform fairly well. One issue is that in sparse binary matrices, the values are likely to be zero most of the time, which could lead to artificially high performance of simple methods that are biased towards zero.

The theory behind FLk-NN relies on variables being highly correlated, but those correlations being seen after a time lag. While time lags may apply with ICD-9 codes,

the time between our visits is not as granular as that observed in the continuous data tested by FLk-NN, so the lagged correlation analysis may be less valuable. Advanced imputation methods like FLk-NN may be unnecessary for binary data, but perhaps they will be more useful with more dense or aggregated variables.

Chapter 7

Conclusion

A major caveat in interpreting results from any retrospective, observational study is the oft-quoted "correlation is not causation." With such broad-scale multiple hypothesis testing, it is easy to find spurious correlations, and very difficult to control for alternate contributing factors. Nevertheless, results from these studies could have immense value in identifying potential research questions for future clinical trials. When powered by large and comprehensive data, these analyses can still inform clinical practice in meaningful ways.

7.1 Results

We accomplished our initial goals of broadly exploring the database and developing an infrastructure for further analysis. We were able to perform some specific analyses on drug side effects, looking at certain demographic variables such as age and gender. While we could weakly confirm rofecoxib's increased risk of myocardial infarction, it is not clear if the effects would be observed in all age groups. We were also able to test imputation methods on individual patient matrices and found that advanced methods were of limited use compared to baseline single imputation methods in highly sparse matrices, though generalization of these results may be limited.

7.2 Future Work

Far more work could be done in any one of the areas discussed in this thesis. More sophisticated models could be used to account for demographic variables and past patient medical history.

While we created lookup dictionaries to perform conversions between database area codes and higher-level district groupings in Taiwan, more research could be done on geographic effects. We have not yet delved into non-prescription orders such as procedures, for which there are also international coding systems.

Some of the methods discussed and tested in this thesis were not originally designed for claims data, and the binary, discrete nature may break theoretical assumptions behind those individual methods. In the case of imputation methods, there is likely not a "one-size-fits-all" approach, and while advanced methods like FLk-NN could be helpful for many analyses, in our cases simpler imputation methods will work just as well, sometimes better. Perhaps supervised medical knowledge could help determine the best methods to model different diseases. Chronic diseases will probably have different patterns than acute ones: conditions like infectious diseases are probably intermittently observed, while others like diabetes may persist for the patient's entire lifetime. It is unclear whether one of the existing models could work equally well for such different diseases.

Now that we have successfully converted patient medical history to matrices, we still need to test computational phenotyping methods. The scale at which to aggregate each dimension is not always clear, and will likely vary based on the research question and input data.

Computational power and flexibility of data transfer would be useful for further analysis with this dataset. The indices created aid significantly in query speed, but they take up about half the disk space of the original table. More advanced distributed data processing capabilities do exist but are still somewhat fresh, raising questions about data security- particularly important for medical data, which is considered sensitive data. Perhaps in the future, as these technologies mature and become more

widely accepted in the international research community, this will no longer be an issue.

Another interesting possibility would be to integrate other data sources, whether EHRs, labs, genetics, or other registries. Health is affected by many other factors, and even sources outside of medicine, like economic status of certain area codes, could be useful in answering questions like whether poorer regions have different healthcare resource utilization patterns. Each data source has unique advantages, disadvantages, and quirks when being analyzed in practice. Combining many of these data sources could reduce error and variation in one source of data while multiplying predictive power.

7.3 Summary

We have shown that claims data analyzed on its own can be informative for a range of clinical questions, and we have implemented procedures to answer such questions with the Taiwanese NHIRD. New methods are constantly being developed to analyze a wide range of data, and the comprehensiveness of the NHIRD will make it an attractive target for such methods. The approaches mentioned in this thesis have already revealed information about healthcare usage in Taiwan; while not every new method will be easily applied to this data, carefully chosen methods that can handle highly variable data with many variables will be immensely helpful in clinical practice and understanding healthcare systems.

Appendix A

Tables

Diabetes Treatments	ATC Codes	Taiwanese Codes
Insulins and Analogues	A10A	118 codes
Blood glucose-lowering drugs	A10B	567 codes
(excluding insulins)		
Biguanides	A10BA	153 codes
- Metformin	-02	151 codes
- Buformin	-03	2 codes
Sulfonylureas (incl. Glimepiride)	A10BB	248 codes
	$-01-12, 31$	
Glymidine (a heterocyclic sulfonamide)	A10BCO1	None
Alpha-glucosidase inhibitors	A10BF	43 codes
	$-01, 02, 03$	$-39, 4, 0$
Thiazolidinediones:	A10BG	52 codes
- Rosiglitazone	$-$ A10BG02	-14 codes
- Pioglitazone	$-$ A10BG03	-38 codes
DPP-4 inhibitors	A10BH [01-06, 51]	5 codes:
	-01 (Januvia)	$- B024668100$
	-02	$- B025306100$
	-03	$- B025220100,$
		B025221100
	-05	$- B025537100$

Table A.2: Diabetes drugs and ATC codes

ICD-9 Code	Rosiglitazone	Pioglitazone	$\overline{\text{Ros.}}$ /Pio.
	$(\%)$	$(\%)$	
250: Diabetes mellitus	21.22	23.49	0.90
272: Disorders of lipoid metabolism	7.48	8.73	0.86
274: Gout	0.56	1.19	0.47
300: Anxiety, dissociative and somato-	0.83	0.65	1.27
form disorders			
362: Other retinal disorders	1.06	0.66	1.61
366: Cataract	0.91	0.71	1.28
372: Disorders of conjunctiva	1.09	0.91	1.20
401: Essential Hypertension	8.68	8.89	0.98
402: Hypertensive heart disease	3.36	3.40	0.99
414: Other forms of chronic ischemic	2.67	2.65	1.01
heart disease			
434: Occlusion of cerebral arteries	$\overline{1.52}$	0.77	1.99
438: Late effects of cerebrovascular dis-	1.11	0.11	9.81
ease			
465: Acute upper respiratory infections	2.23	2.07	1.08
of multiple or unspecified sites			
533: Peptic ulcer, site unspecified	$0.66\,$	1.04	0.63
564: Functional digestive disorders, not	1.15	0.84	1.37
elsewhere classified			
571: Chronic liver disease and cirrhosis	1.41	0.82	1.72
585: Chronic kidney disease (CKD)	1.47	0.55	2.67
Osteoarthrosis and allied disor- 715:	2.03	1.58	1.29
ders			
721: Spondylosis and allied disorders	1.21	0.85	1.43
724: Other and unspecified disorders of	1.19	1.56	0.76
back			
726: Peripheral enthesopathies and al-	1.15	0.88	1.30
lied syndromes			
729: Other disorders of soft tissues	0.68	0.93	0.72
780: General symptoms	2.96	1.98	1.50
Symptoms involving head and 784:	0.97	0.94	1.03
neck			
Symptoms involving respiratory 786:	0.69	0.84	0.82
system and other chest symptoms			

Table A.3: Most frequent ICD-9 codes after thiazolidinedione prescription

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