Research and Applications

A comparative study of large language model-based zero-shot inference and task-specific supervised classification of breast cancer pathology reports

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Abstract

Objective: Although supervised machine learning is popular for information extraction from clinical notes, creating large annotated datasets requires extensive domain expertise and is time-consuming. Meanwhile, large language models (LLMs) have demonstrated promising transfer learning capability. In this study, we explored whether recent LLMs could reduce the need for large-scale data annotations.

Materials and Methods: We curated a dataset of 769 breast cancer pathology reports, manually labeled with 12 categories, to compare zero-shot classification capability of the following LLMs: GPT-4, GPT-3.5, Starling, and ClinicalCamel, with task-specific supervised classification performance of 3 models: random forests, long short-term memory networks with attention (LSTM-Att), and the UCSF-BERT model.

Results: Across all 12 tasks, the GPT-4 model performed either significantly better than or as well as the best supervised model, LSTM-Att (average macro F1-score of 0.86 vs 0.75), with advantage on tasks with high label imbalance. Other LLMs demonstrated poor performance. Frequent GPT-4 error categories included incorrect inferences from multiple samples and from history, and complex task design, and several LSTM-Att errors were related to poor generalization to the test set.

Discussion: On tasks where large annotated datasets cannot be easily collected, LLMs can reduce the burden of data labeling. However, if the use of LLMs is prohibitive, the use of simpler models with large annotated datasets can provide comparable results.

Conclusions: GPT-4 demonstrated the potential to speed up the execution of clinical NLP studies by reducing the need for large annotated datasets. This may increase the utilization of NLP-based variables and outcomes in clinical studies.

Key words: electronic health records; large language models; breast cancer; pathology; natural language processing.

Introduction

Over the past decade, supervised machine learning methods have been the most popular technique for information extraction from clinical notes. However, supervised learning for clinical text is arduous, requiring curation of large domain-specific datasets, interdisciplinary collaborations to design and execute standardized annotation schema, and significant time from multiple domain experts for the meticulous task of data annotation. Supervised modeling can often require subsequent iterative development driven by advanced technical expertise, which can be limiting for certain practitioners. The entire process thus takes a significant amount of time between problem conception and obtaining final results.

These challenges, combined with the limited availability of clinical notes corpora, have contributed to an under-utilization of Natural Language Processing (NLP) in observational studies from Electronic Health Records (EHRs).

Recently, language models have demonstrated promising ability for transfer learning, ie, the ability to use knowledge from pre-trained models to improve performance on a related task. This is encouraging for information extraction from clinical text without extensive task-specific model training. Prompt-based querying is popular with generative language models, where practitioners can query the model in natural language to obtain the desired information, sometimes by presenting a few examples of the task they may be trying to
solve. Querying large language models (LLMs) like the GPT-4 model have demonstrated varying levels of proficiency in medical inference tasks, such as diagnosing complex clinical cases, answering United States medical licensing exam questions, radiology report interpretation, clinical notes-based patient phenotyping, automated clinical trial matching, clinical concept extraction, drafting replies to inbox messages, recommending treatments, and improving patient interaction with health systems. However, to understand whether LLMs may be able to perform well in clinical settings without curating large training datasets, few studies have investigated whether zero-shot inference with LLMs can perform as well as task-specific supervised learning in low-resource settings. In this study, utilizing a large corpus of breast cancer pathology notes, we investigate this hypothesis. To this end, we have a 3-fold contribution:

1) We developed an annotation schema and detailed guidelines to create an expert-annotated dataset of 769 breast cancer pathology reports with document-level, treatment-relevant information. We further analyzed the curation process to identify frequent modes of disagreements in data annotation, which we additionally present here.

2) To establish a baseline of automated breast cancer pathology classification against that of expert clinicians, using the newly curated dataset, we benchmarked the performance of supervised machine learning models of varied levels of complexity, which include a random forest classifier, a long short-term memory network (LSTM) classifier, and a transformers-based BERT classifier trained on UCSF EHR data.

3) We finally queried proprietary and open source LLMs to obtain zero-shot classification results, i.e., results without using any task-specific labeled dataset from UCSF, which we compared to the supervised learning performance obtained earlier. We additionally analyzed the errors made by the best LLM and the best supervised model to understand their limitations.

Materials and methods

Data
Breach cancer pathology reports between January 1, 2012 and March 31, 2021 were retrieved from the University of California, San Francisco (UCSF) clinical data warehouse, de-identified and date-shifted with the Philter algorithm as previously described. Access to this de-identified dataset qualifies as non-human subjects research, and no further Institutional Review Board approval was necessary for this study. Patients with breast cancer were identified by querying for encounters with the ICD-9 codes 174, 175, 233.0, or V10.3, or the ICD-10 codes C50, D05, or Z85.3. The cohort was restricted to pathology reports by selecting the note type “Pathology and Cytology.” Notes shorter than 300 characters in length, and those unrelated to breast cancer, for example, those about regular cervical cancer screening through pap smears, were removed through keyword match for “cervix,” “cervical,” and “vaginal.” A flow diagram for the inclusion and exclusion criteria is presented in Figure 1. Among the final set of notes, 769 pathology reports were randomly selected for manual labeling with treatment-relevant breast cancer pathology.

Annotation schema and guidelines were designed in collaboration with oncology experts, who reviewed breast cancer diagnostic and treatment guidelines to determine the most relevant features to infer from pathology reports, along with the categories of these features. To align with the clinical decision-making process, if multiple features of the same category were present, annotators were asked to focus on the one portending poorest prognosis for document level annotations. For example, if there were 2 independent tumors within the report corresponding to grade 2 and grade 3, respectively, the annotator was asked to record grade 3. To analyze categories relevant for prognostic inference, categories such as final tumor margins and lymphovascular invasion were added in addition to commonly investigated categories of biomarkers, histopathology, and grade. The final cohort of 769 breast cancer pathology reports was annotated through 12 key tasks, including 9 single-label tasks and 3 multi-label tasks (Figure 2). Each report contained metadata such as the report date and patient ID, along with the pathologist’s comments and the complete clinical diagnosis. Text spans corresponding to 4 labels (cancer pTNM stage, number of examined and involved lymph nodes, tumor size, and tumor type) were pre-highlighted within text with an internal convolutional neural network (CNN)-based model that had been previously trained for named entity recognition in 5 active learning rounds. The training of this internal tool encompassed approximately 2500 pathology notes across colon, lung, kidney, brain, breast, and prostate cancers based on initial annotations developed earlier. The open-source software LabelStudio was used to further add document-level labels. To establish a good inter-annotator agreement, a group of 2 independent oncology fellows annotated the documents jointly in the first phase. After achieving high inter-annotator agreement, the fellows further labeled the documents in the training subset (570 documents) independently. Furthermore, the test subset (100 reports) was established with documents that were annotated by both oncology fellows, and any disagreements between discordant labels were manually adjudicated by a third reviewer. Similarly, the validation subset (99 reports) was annotated in parallel by 3 medical students and any disagreements were independently adjudicated by the same reviewer. The complete annotation guidelines are provided in the Supplementary Materials, Section S1.

Supervised modeling
Supervised machine learning classifiers were trained independently for each of the 12 breast cancer pathology classification tasks on the training subset of 570 pathology notes. Three models of varied complexity were included in the analysis—a random forests classifier, a Long Short Term Memory networks (LSTM) classifier with attention, and a fine-tuned UCSF-BERT (base) model. An analysis of these models accounts for different levels of resources that may be available at different institutions as well as different capabilities of the model architecture itself. While the random forests classifier is a bag-of-ngrams model that does not consider the order of phrases within a document, the LSTM model and the UCSF-BERT model provide a sequential architecture that accounts for word order in input documents. However, while the UCSF-BERT model is powerful due to self-supervised pretraining on clinical data, it is limited in the length of sequences it can process (512 tokens), thereby...
potentially limiting its performance on document-level tasks unlike the LSTM model.

Model hyperparameters for all supervised models were fine-tuned on the validation set consisting of 99 pathology notes, and the final classification performance was reported on the held-out test set of 100 pathology notes. Details of hyperparameter tuning and the final model settings are available in the Supplementary Materials, Section S2.1. To obtain a reliable estimate of minority class performance, model performance was evaluated on a held-out test set with the metric of macro-averaged F1-score instead of accuracy.

**Random forests classifier**

The random forests model was initialized with a TF-IDF vector of n-grams within pathology notes. Pathology reports were pre-processed to remove punctuations and symbols and were converted to lowercase before vectorization. For single-label tasks, training data samples of the minority classes were
up-sampled to reflect a uniform distribution and address data imbalance. Validation and test data were not modified and reflected the real-world distribution. To find the best parameters, a random grid search was performed, using 3-fold cross-validation on the training data and 15 iterations.

LSTM networks

The word embeddings in the LSTM model were initialized with fasttext embeddings of 250 dimensions, trained on a corpus of 110 million clinical notes at UCSF. The choice of attention with the LSTM model was additionally made to ensure that long sequences of words can be processed effectively by allowing the model to dynamically focus on different parts of the input. Pathology reports were pre-processed in the similar manner to the use of random forests classifier. To address the data imbalance in multi-label tasks, asymmetric loss asymmetric loss was used, while the categorical cross-entropy loss was used for single-label tasks.

UCSF-BERT model

The UCSF-BERT model, which was already pretrained from scratch on 75 million clinical notes at UCSF, was fine-tuned further on pathology classification-specific tasks. Similar pre-processing settings as the random forests and the LSTM model were used for both single label and multi-label tasks. Cross-entropy loss was used for all single-label tasks, and asymmetric loss was used for all multi-label tasks to address class imbalance.

Zero-shot inference with LLMs

Proprietary models

Two large language models, the GPT-3.5 model and the GPT-4 model, were queried via the HIPAA-compliant Azure OpenAI Studio to provide the requested category of breast cancer pathology information from a given pathology report. (The AI framework to safely use OpenAI application programming interfaces is called Versa at UCSF.) Data were not permanently transferred to or stored by either OpenAI or Microsoft for any purposes. Model inputs were provided in the format [system role description] [note section text, prompt]. The specific prompt, model version, and the model hyperparameters are provided in the Supplementary Materials, section S2.2. All classification labels were requested through a single prompt, as one call to the model for each pathology report. Prompt development was performed on the development set, and the final results were reported on a held-out test set. Model outputs were requested in the JSON format, which were post-processed into python dictionaries to automatically evaluate model outputs.

Open source models

We additionally compared 2 open source models, the Starling-7B-beta model and the ClinicalCamel-70B model, using the same prompts and model settings as GPT-4 and GPT-3.5 models. Prompts were formatted into chat templates specific to the individual models via the HuggingFace transformers library. We also analyzed the Llama2-7B-chat model but did not obtain any relevant results for this task and chose to exclude it for further comparisons.

Significance testing

Approximate randomized testing was used to test for significance between the performance of the best LLM and the best supervised model. To estimate the P-value, model outputs were permuted 100,000 times, counting the number of times that the resulting difference between their macro F1-scores is as or more extreme than that observed with the data. The significance level of 0.01 was chosen to assert significance.

Results

Breast cancer pathology information extraction dataset

769 breast cancer pathology reports were annotated with detailed breast cancer pathology information across 12 key tasks (Figure 2). Minimum, maximum, mean, and median document length of the dataset were 36, 4430, 723.4, and 560 words, respectively, and the interquartile range was 508 words. The dataset included a population diverse across demographics and age, with nearly 1% of cases being male breast cancer, which reflects the relative incidence of this disease (Table 1). Median patient age was 55 years. To encourage reproducibility and further research, upon manuscript publication, the dataset will be freely shared through the controlled-access repository PhysioNet. Average inter-annotator agreement, as quantified with Krippendorf’s alpha, was 0.85, which varied across tasks (Supplementary Materials, Table S3). Classification of DCIS margins and the multi-label category of sites examined showed the lowest inter-annotator concordance, while lympho-vascular invasion and invasive carcinoma margin status showed the highest concordance.

Sources of disagreements between annotators in the development and the test sets were analyzed by an independent adjudicator. Common sources of disagreements included differences in inferring the most aggressive (“worst”) sample when multiple samples were analyzed, incorrectly including information from patient history into labels for the current report, linguistic or clinical ambiguity in the pathology

Table 1. Socio-demographic distribution of patients in the annotated dataset.

<table>
<thead>
<tr>
<th>Sample characteristic</th>
<th>Count (percentage)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gender</td>
<td></td>
</tr>
<tr>
<td>Male</td>
<td>7 (0.91%)</td>
</tr>
<tr>
<td>Female</td>
<td>762 (99.09%)</td>
</tr>
<tr>
<td>Age</td>
<td></td>
</tr>
<tr>
<td>Median [IQR]</td>
<td>55.0 [19.0]</td>
</tr>
<tr>
<td>Race/ethnicity</td>
<td></td>
</tr>
<tr>
<td>White</td>
<td>505 (65.67%)</td>
</tr>
<tr>
<td>Asian</td>
<td>101 (13.13%)</td>
</tr>
<tr>
<td>Latinx</td>
<td>42 (5.46%)</td>
</tr>
<tr>
<td>Black or African-American</td>
<td>36 (4.68%)</td>
</tr>
<tr>
<td>Native Hawaiian or Other Pacific Islander</td>
<td>7 (0.91%)</td>
</tr>
<tr>
<td>Other</td>
<td>25 (3.25%)</td>
</tr>
<tr>
<td>Multi-Race/Ethnicity</td>
<td></td>
</tr>
<tr>
<td>Unknown/Declined</td>
<td>15 (1.95%)</td>
</tr>
<tr>
<td>Other</td>
<td>38 (4.94%)</td>
</tr>
<tr>
<td>Language</td>
<td></td>
</tr>
<tr>
<td>English</td>
<td>702 (91.29%)</td>
</tr>
<tr>
<td>Russian</td>
<td>18 (2.34%)</td>
</tr>
<tr>
<td>Unknown/Declined</td>
<td>17 (2.21%)</td>
</tr>
<tr>
<td>Chinese—Cantonese</td>
<td>9 (1.17%)</td>
</tr>
<tr>
<td>Spanish</td>
<td>9 (1.17%)</td>
</tr>
<tr>
<td>Vietnamese</td>
<td>4 (0.52%)</td>
</tr>
<tr>
<td>Other</td>
<td>10 (1.30%)</td>
</tr>
</tbody>
</table>

IQR, interquartile range.
report, discordant interpretation of procedures involving excisions when differentiating between a histopathology report and a cytology report, inconsistencies in categorizing metastatic disease sites as “other tissues” and histology as “others,” and inconsistent execution of the annotation guidelines for annotating molecular pathology reports and grade information.

The class distribution across the annotated data was highly skewed, resulting in a highly imbalanced dataset. Certain low frequency categories such as groups of histology codes or the low positive and positive categories of Estrogen Receptor status were combined before further automated classification, resulting in the final distribution presented in Figure 3. The Unknown class, which corresponded to the case where the requested information could not be inferred from the given note, was the majority class across 8 of 12 tasks. Among the remaining classes, high imbalances were observed in tasks of inferring the category of the number of lymph nodes involved, lymphovascular invasion, tumor margins, and HER-2 receptor status.

Comparison of model performance

Despite no task-specific training, the GPT-4 model either outperformed or performed as well as our task-specific supervised models trained on task-specific breast cancer pathology data (Figure 4 and Table S4, Supplementary Materials). For both the GPT-4 model and the GPT-3.5 model, all model responses were automatically parsed as JSON without any errors. However, 2 responses of the Starling model and 24 responses of the ClinicalCamel model could not be parsed automatically and were considered “Unknown” for evaluation. The average macro F1 score of the GPT-4 model across all tasks was 0.86, of the LSTM model with attention was 0.74, of the random forests model was 0.59, of the UCSF-BERT model was 0.56, of the GPT-3.5-turbo model (zero-shot) was 0.55, of the ClinicalCamel-70B was 0.34, and that of the Starling model was 0.36. The GPT-4 model was significantly better than the LSTM model (the best supervised model) for the task of margin status \( (P < .01) \). This task encompassed a large training data imbalance resulting in a sparsity of class-specific training instances. For all other tasks, no significant differences were obtained between the zero-shot GPT-4 model and the supervised LSTM model.

The GPT-3.5-turbo model and the open source LLMs performed significantly worse than the GPT-4 model for all tasks. Similarly, the UCSF-BERT model, which is a transformer model pre-trained on the corpus of UCSF clinical notes, did not outperform the simpler LSTM-Att model for several tasks, although it did match the performance of the GPT-3.5-turbo model. The random forests classifier performed well on keyword-oriented tasks, like pathology type classification and biomarker status classification, but underperformed on tasks requiring more advanced reasoning, like grade and margins inference. Oversampling training data for mitigating label imbalance in single-label classification tasks demonstrated mixed benefit across tasks and models (Figure S1a), although the choice of asymmetric loss showed consistent improvements compared to the use of binary cross-entropy loss (Figure S1b).

Error analysis

The confusion matrix of the GPT-4 model revealed that it had difficulties in differentiating the unknown class from the class that indicated no lymph node involvement and no lympho-vascular invasion (Supplementary Materials, Figure S2). Furthermore, margin status inference was challenging for the model, where more than 2 mm margins (negative margins) were confused with less than 2 mm margins. Confusion between classes was more prevalent in multi-label tasks than single-label tasks. Further errors from the GPT-4 model were prevalent when the task design was ambiguous in model prompts, such as the grouping of sparse histology into an “others” category, the assignment of metastatic sites for breast cancer as “other tissues than breast or lymph nodes,” or the inference of pathology reports unrelated to breast cancer.
cancer. The latter set of errors correspond to common sources of disagreements identified during the data annotation process.

Manual analysis of the GPT-4 model errors revealed several consistent sources of errors, described in Table 2. Common sources of errors in biomarker reporting included the reporting of results from clinical history or tests conducted at other clinical sites that were not confirmed in the current report. Furthermore, the GPT-4 model incorrectly reported nuclear grade as the overall tumor grade when the overall grade was not discussed in the note. Moreover, common errors in reporting tumor margins were concerned with mathematical inferences over multiple margin thicknesses (for example, anterior, posterior, medial, etc), where the value representing the thinnest margin was to be provided. Manual analysis additionally uncovered several error sources for multi-label tasks. The model performed inconsistently when inferring sites of benign findings; while the model frequently missed reporting the site of benign findings as a site examined for tumors, it also sometimes included sites of benign findings as a site of cancer. Furthermore, sentinel and axillary lymph nodes were frequently reported as tissues other than breast or lymph nodes, although they were annotated as lymph node sites. Some errors related to complex cases were also found, for example, 1% staining results for progesterone receptors were provided as negative by the model, whereas they were annotated as positive. Finally, errors related to task setup were reflected in histology-related errors, where the model could not reliably abstain from providing histology from reports unrelated to breast cancer and from molecular pathology reports for ERBB2 despite being instructed as such, and errors due to the grouping of histologies like LCIS into an “others” category.

Manual error analysis of the LSTM-Att model, which was the best supervised classification model, revealed a few similarities with errors from the GPT-4 model (nuclear grade provided instead of total grade, numerical inference error from multiple margins samples, difficulty in learning the “others” category for tumor histology, difficulty in answering from reports unrelated to breast cancer or from molecular pathology reports for ERBB2). However, additional errors due to poor model generalization were identified, where linguistic variability compared to the training set resulted in incorrect responses (Table 2). Several errors occurred even when correct answers were directly mentioned within text, which could potentially indicate that the model did not use broader context for providing outputs, but rather overfit on specific keyword patterns in the training set. Finally, independent training of classifiers for multi-label classification posed challenges in learning interaction between multiple labels (Table 2).

Discussion

Task-specific supervised learning models trained on manually annotated data have been the standard approach in clinical NLP for over a decade. Using a manually annotated dataset of 769 breast cancer pathology reports focused on the most clinically relevant report features, our study compared the performance of supervised learning models, including random forests classifier, LSTM models, and the UCSF-BERT model, with a zero-shot classification performance of 2 proprietary LLMs, the GPT-4 model, and the GPT-3.5-turbo model, and 2 open-source LLMs, the Starling-7B-beta model, and the ClinicalCamel-70B model. We found that even in zero-shot setups, the GPT-4 model performs as well as or
<table>
<thead>
<tr>
<th>Task</th>
<th>Error category</th>
<th>Example</th>
</tr>
</thead>
</table>
| **Biomarkers: ER, PR** | Reporting from history | Clinical Diagnosis/History:

... This cancer was 6 cm in greatest dimension by imaging and was **ER, PR, and ****/neu positive**.

GPT-4 output: Positive
Annotation: Unknown

Complex case | The cells stain strongly for the estrogen receptor (>95% at 3+ staining; on a scale of 0-3+) and only rare cells stained for the progesterone receptor (~1% at 3+ staining; on a scale of 0-3+). |
GPT-4 output: Negative
Annotation: Positive

**Biomarker: HER2** | Incorrect inference due to redaction | This carcinoma is **positive for **** oncoprotein over-expression**. The staining intensity of this carcinoma is 3+ on a scale of 0–3. |
GPT-4 output: Unknown
Annotation: Positive

**Tumor grade** | Nuclear grade reported instead of final total grade | - Invasive tumor grade (modified ****.*****):
- Nuclear grade: 2, 2 points.
- Mitotic count: < 10 mitotic figures/HPF, 1 point.
- Tubule/papilla formation: >75%, 1 point.
- Total grade/points: 1. |
GPT-4 output: 2 (Intermediate)
Annotation: 1 (Low)

**Margin status** | Error in numerical inference from multiple margins | Clinical history:
The patient underwent needle core biopsy of a left breast mass at an outside institution 08/27/2013, which revealed infiltrating carcinoma interpreted as high-grade ductal carcinoma. |
GPT-4 output: 3 (High)
Annotation: Unknown

Complex case: Margins before final resection reported | Resection margins for invasive tumor: *The initial lumpectomy (****.*****.*****) demonstrated extension of tumor to the green-inked margin.*
No residual tumor is identified in the select slides submitted for review from the left modified radical mastectomy (****.*****.*****) |
GPT-4 output: Positive
Annotation: Less than or equal to 2 mm

**DCIS margin status** | Error in numerical inference from multiple margins | Resection margins for DCIS:
Posterior margin: Negative (tumor is 0.4 cm away, on slide A8-1).
Anterior nipple/areolar base: A cauterized duct suspicious for DCIS is present at the inked margin, although cautery artifact precludes definitive evaluation. Evaluable DCIS is present immediately adjacent to this cauterized focus, <0.1 cm from the margin (on slide A3-1).
Medial margin: Negative (by report, tumor is >1 cm away).
Lateral margin: Negative (by report, tumor is >1 cm away).
***** margin: Negative (by report, tumor is >1 cm away).
Inferior margin: Negative (by report, tumor is >1 cm away). |
GPT-4 output: Less than 2 mm
Annotation: Positive

**Lymph node involvement** | Different reporting for benign findings from sites that did not include lymph nodes | **FINAL CYTOLOGIC DIAGNOSIS:**
Soft tissue, right upper chest, fine needle aspiration: Benign fibroadipose tissue and skeletal muscle; see comment. |
GPT-4 output: 0 involved
Annotation: Unknown

(continued)
<table>
<thead>
<tr>
<th>Task</th>
<th>Error category</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lympho-vascular invasion</td>
<td>No invasive carcinoma was identified but lympho-vascular invasion not mentioned explicitly</td>
<td>COMMENTS: The upper outer quadrant and the area deep to the nipple were extensive sampled. No invasive carcinoma or ductal carcinoma in situ was identified. GPT-4 output: Absent Annotation: Unknown</td>
</tr>
<tr>
<td>Sites examined</td>
<td>All sites not reported, particularly when no tumors are found</td>
<td>Final Diagnosis: A. Lymph node, right axilla sentinel #1, biopsy: No tumor in one lymph node (0/1). B. Right breast, total skin-sparing mastectomy: 1. No invasive or in situ carcinoma identified; see comment. 2. Hematoma with adjacent surgical site changes. 3. Nonproliferative fibrocystic change (stromal fibrosis, microcysts and apocrine metaplasia). C. Right breast, nipple, biopsy: No tumor. D. Skin, left chest/breast, biopsy: No tumor. GPT-4 output: Right LN, Right Breast Annotation: Left Breast, Right LN, Right Breast</td>
</tr>
<tr>
<td>Sites of disease</td>
<td>Incorrect reporting of benign finding as a site of disease</td>
<td>DIAGNOSIS: Cerebrospinal Fluid BENIGN. CLINICAL DATA: 73-year-old female with history of breast cancer, now with bone metastasis and focus of leptomeningeal metastasis. GPT-4 output: Other tissues Annotation: None</td>
</tr>
<tr>
<td>Tumor histology</td>
<td>Other histology is not reported</td>
<td>FINAL PATHOLOGIC DIAGNOSIS ... A. Left breast (slides A1, A3, A8-10 only), modified radical mastectomy: 1. Invasive ductal carcinoma with focal micropapillary features, multifocal by report, largest focus 2.2 cm, **** grade 2, margins negative; see comment. 2. Ductal carcinoma in situ, intermediate and low nuclear grades, cribriform and solid patterns with necrosis, cauterized duct at nipple base margin; see comment. 3. Atypical ductal hyperplasia. 4. Flat epithelial atypia. 5. Usual ductal hyperplasia, apocrine metaplasia and dilated ducts. 6. Detached calcifications. B. Left axillary lymph nodes, dissection: Metastatic carcinoma in 5 of 19 lymph nodes (July 03), largest focus 0.5 cm; see comment. C. Left axillary sentinel lymph nodes, biopsy: Metastatic carcinoma in 1 of 2 lymph nodes (February 15), largest focus 1.1 cm, with extranodal extension; see comment. D. Right breast, total skin-sparing mastectomy: Benign breast tissue with cystic dilatation of ducts. E. Right breast, new inferior margin, excision: Benign fibroadipose tissue with no significant pathologic abnormality. GPT-4 output: Invasive ductal, DCIS, Others Annotation: Invasive ductal, DCIS</td>
</tr>
<tr>
<td>Tumor histology</td>
<td>Task setup-related error: Molecular pathology reports</td>
<td>Molecular Diagnostics Report ... Formalin-fixed, paraffin-embedded tissue on glass slides. ... Gastric: Adenocarcinoma. GPT-4 output: Other tissues Annotation: Unknown</td>
</tr>
<tr>
<td>LSTM model</td>
<td>Insufficient generalization to test set</td>
<td>These demonstrate that the cells are negative for ****/6 (on blocks ...), diffusely positive for ER (on blocks ...), and positive for synaptophysin and chromogranin. LSTM output: ER Positive Annotation: ER Unknown Estrogen and progesterone receptor immunoperoxidase studies are performed on block ****. Strong nuclear staining (3+/3+) for both ER and PR is present in 90% of invasive tumor cells. LSTM output: PR Positive Annotation: PR Negative</td>
</tr>
<tr>
<td>Task</td>
<td>Error category</td>
<td>Example</td>
</tr>
<tr>
<td>------------------------------------------</td>
<td>-------------------------------------------------------------------------------</td>
<td>--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Table 2. (continued)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| **Biomarker:** HER-2                      | Results before FISH testing provided by the model when results both before and after FISH testing are discussed | Result of **** test: This carcinoma is equivocal for **** oncoprotein over-expression. The staining intensity of this carcinoma was 2+ on a scale of 0–3. By report, **** FISH was performed and was negative for **** ****

LSTM output: HER-2 positive

Annotation: HER-2 Equivocal

**Tumor grade** | Nuclear grade reported instead of final total grade | Invasive tumor grade (modified ****.****):
- Nuclear grade: 2, 2 points.
- Total grade/points: 1.

LSTM output: 2 (Intermediate)

Annotation: 1 (Low)

**Margin status** | Insufficient generalization to test set | Carcinoma is located 0.6 cm from the anterior margin (slide . . .) and greater than 1 cm from all other margins.

LSTM output: Unknown

Annotation: More than/eq to 2 mm

**Inference error from multiple margins** | Margins for invasive tumor:
- Posterior margin: Negative (tumor is <0.1 cm away, on slide . . .)
- Medial margin: Negative (tumor is >0.5 cm away).
- Lateral margin: **** but negative (tumor is <0.05 cm away, on slide D28).
- Anterior/superior margin: Positive, focal (tumor is focally on ink at margin, on slide D22 keratin immunostain).
- Anterior/inferior margin: **** but negative (tumor is <0.05 cm away, on slides D17 and D21).

LSTM output: More than/eq to 2 mm

Annotation: Positive

**DCIS margin status** | Insufficient generalization to test set | The immunostains support the presence of cauterized DCIS at **** ****-inked inferior margin (slide 2E) and the ****-inked anterior margin (slide 2K).

LSTM output: Unknown

Annotation: Positive

**Inference error** | Status of resection margins for ductal carcinoma in situ: In main lumpectomy specimen: DCIS within much less than 0.01 cm in multiple foci; areas of cauterized tissue suspicious for DCIS present at margin

LSTM output: Less than 2 mm

Annotation: Positive

**Lymph node involvement** | Insufficient generalization to test set | - Lymph node status:
- Number of positive lymph nodes: 18.

LSTM output: 1-3 involved

Annotation: 10+ involved

No tumor in 10 lymph nodes (0/10)

LSTM output: Unknown

Annotation: 0 involved

**Lympho-vascular invasion** | Insufficient generalization to test set | Lymphovascular space invasion: No definite invasion.

LSTM output: Unknown

Annotation: Absent

**Sites examined** | Insufficient generalization to test set | A. Left breast, needle core biopsy . . . Invasive carcinoma consistent with breast primary, infiltrating fibroadipose tissue; see comment.
B. Right adrenal gland, needle core biopsy . . . Large cell-rich B-cell lymphoma; see comment.
C. Right adrenal gland, needle core biopsy . . . Lymphoid tissue consistent with large cell-rich B-cell

LSTM output: Left Breast

Annotation: Left Breast, Other tissues
significantly better than simpler, task-specific supervised counterparts on all classification tasks, although other LLMs performed significantly worse. Previous studies have demonstrated similar results, showing that in zero-shot setups, LLMs consistently perform the same as or outperform fine-tuned models on biomedical NLP datasets with small training data sizes (fewer than 1000 training examples).\textsuperscript{35,36} Similar small datasets are common in medical informatics studies since domain expertise is frequently required for reliably annotating clinical notes, making the process time-consuming and difficult to scale.\textsuperscript{37} This study enhances previous findings on a new real-world clinical dataset, reinforcing that the GPT-4 model is promising for use in classification tasks in low-resource clinical settings. Open source models need further developments before they are conducive for use in similar settings.

Tasks where the training data contained high label imbalance were particularly conducive for using GPT-4 model over task-specific supervised models, including compared to pre-trained models like the UCSF-BERT model. Given that the GPT-4 model is already trained on internet-scale corpora and the specifics of model training are not available publicly, the model may already encode a fundamental understanding of breast cancer pathology, which may explain its surprising zero-shot capability on these tasks, including that on complex and imbalanced tasks like margins inference. However, the reasons behind the striking performance difference between the GPT-3.5 and GPT-4 models remain unclear due to the closed nature of these models, although similar trends have been observed in previous medical NLP studies.\textsuperscript{38,39,15} However, if access to models like the GPT-4 model is prohibitive due to either privacy or computational constraints, comparable performance on EHR-based NLP tasks such as pathology classification can be obtained with simpler deep learning classifiers trained on task-specific datasets, particularly if annotated sample sizes are sufficiently large and class imbalance can be controlled through targeted annotations of minority classes for model training.

An analysis of the GPT-4 model errors indicated several errors due to insufficient understanding of idiosyncratic task-design choices, for example differentiating between “Unknown” and “no lymph node involvement” categories. When histopathological samples were complex and could not be characterized entirely within one of the pre-defined histologic categories, the GPT-4 model still provided the imperfect option rather than using the “Other” category for ambiguous cases. This demonstrates how models may be susceptible to information loss due to the artificial nature of many medical classifications schemas that, in reality, exist on a continuum. It is possible that these errors can be mitigated with strategies, such as few-shot learning to demonstrate a better understanding of annotation-specific choices, or chain-of-thought-prompting to elucidate reasoning and avoid answering from incomplete or old information within text report. However, it has been demonstrated earlier that the GPT-4 model cannot process long input contexts efficiently,\textsuperscript{40} and we leave this

### Table 2. (continued)

<table>
<thead>
<tr>
<th>Task</th>
<th>Error category</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sites of disease</td>
<td>Ignoring context; overfitting on keywords</td>
<td>Brain, left cerebellum, resection: Metastatic adenocarcinoma; see comment.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>LSTM output: Left breast</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Annotation: Other tissues</td>
</tr>
<tr>
<td>Tumor histology</td>
<td>Multi-sample inference error due to independent multi-label training</td>
<td>Final Diagnosis:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>A. Sentinel lymph node, left axilla, excision: One lymph node with no tumor identified (0/1); see comment.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>B. Sentinel lymph node #2, left axilla, excision: One lymph node with no tumor identified (0/1); see comment.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>C. Sentinel lymph node #3, left axilla, excision: One lymph node with no tumor identified (0/1); see comment.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>D. Left breast, surgical scar, excision: Scar with foreign body reaction to suture material; no tumor identified.</td>
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<tr>
<td></td>
<td></td>
<td>E. Left breast, partial mastectomy: Scar with foreign body reaction to suture material; no tumor identified.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>LSTM output: Other tissues, Left LN, None</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Annotation: None</td>
</tr>
</tbody>
</table>

### An analysis of the GPT-4 model errors indicated several errors due to insufficient understanding of idiosyncratic task-design choices, for example differentiating between “Unknown” and “no lymph node involvement” categories. When histopathological samples were complex and could not be characterized entirely within one of the pre-defined histologic categories, the GPT-4 model still provided the imperfect option rather than using the “Other” category for ambiguous cases. This demonstrates how models may be susceptible to information loss due to the artificial nature of many medical classifications schemas that, in reality, exist on a continuum. It is possible that these errors can be mitigated with strategies, such as few-shot learning to demonstrate a better understanding of annotation-specific choices, or chain-of-thought-prompting to elucidate reasoning and avoid answering from incomplete or old information within text report. However, it has been demonstrated earlier that the GPT-4 model cannot process long input contexts efficiently, and we leave this
question for future research. Finally, analysis of the LSTM model errors identified those stemming from training the model on an insufficiently diverse dataset, for example, incorrect responses when results were discussed in free-form patterns rather than following the structure of a standard breast cancer pathology note. Although these findings are not surprising, they highlight the challenge of supervised model generalization in low-resource settings, which may add to clinical deployment-related challenges.

Although we found promising performance of the GPT-4 model compared to task-specific supervised models, several design choices may have impacted the findings. The dataset was curated from a single health system, and further validation of the findings on pathology reports from other health systems may improve the reliability of the results. Although potential de-identification errors may have impacted the capability of LLMs, the data reflects real-world setups for retrospective observational studies in a privacy-preserving manner. Furthermore, although it may be possible to further improve model performance with more hyperparameter and prompt tuning, the findings of this study will inform future studies on the development of more advanced prompting and few-shot strategies for LLMs to obtain even better performance, the development of effective annotated datasets for simpler supervised classification setups, the evaluation of newer LLMs for clinical information extraction, and the analysis of output sensitivity to input prompts and model settings. Moreover, the studied classifiers may exhibit biases against specific demographics, and caution must be exercised when deploying them in clinical workflows. These biases need to be investigated further in the future to establish concrete guidelines for their use. Finally, we note that the label Unknown in the dataset covers 2 distinct scenarios: (1) although the information may be present within a patient’s EHR record in some form, it is not present or identifiable within the specific pathology note, or (2) the feature is not relevant or cannot be obtained from this context. For instance, while HER-2 status may not be identifiable from a specific note (and thus is Unknown at the time of annotation), we would expect that this would be an identifiable piece of information in the patient’s EHR record at some point. This subtle difference should be noted in future utilization of this dataset.

Pathology reports represent a foundational source of clinical information, both for diagnosis and medical decision making and for cohort development for research. Given the importance of this information for clinical oncology, along with the challenges and time required for accurate interpretation, the ability to accurately extract salient features from pathology reports could improve physician workflow as well as facilitate cohort development for large scale research analyses. Accurate zero-shot methods for inferring treatment-relevant pathology will enable swift identification and categorization of complex pathology features, thus holding the potential to expedite the development of research cohorts, enabling rapid hypothesis testing for retrospective research and quicker clinical trial enrolments within the clinic. For instance, these methods can be utilized to quickly screen large volumes of pathology reports for identifying similar patients suffering from a rare cancer subtype to facilitate personalized treatments and tumor board discussions for new patients, while also freeing up specialists to focus on more nuanced clinical decision-making tasks. This utility depends on the accuracy of automatic extraction of relevant information from notes, as any errors in this workflow may cause further harm to patients in clinical settings. Based on our analyses, zero-shot inference with the GPT-4 model shows strong promise for cohort identification and labeling for clinical research, but may not yet be sufficiently robust for direct integration into clinical workflows.

Despite widespread studies on oncology information extraction from textual clinical records, annotated datasets of breast cancer pathology reports are not publicly available. To make the findings of this study replicable and promote further research on breast cancer pathology extraction, the dataset curated in this study along with corresponding source code will be shared publicly through a controlled-access repository PhysioNet, accessible via a data use agreement.

Conclusions
The study compared breast cancer pathology classification abilities of 7 models of varying sizes and architecture, finding that the GPT-4 model, even in zero-shot setups requiring no further model training, performed similarly to or better than the LSTM model with attention trained on nearly 570 pathology report examples. The GPT-4 model outperformed simpler baselines for classification tasks with high label imbalance. However, when large training datasets were available, no significant differences were observed between the performance of simpler models like the LSTM model with attention compared to the GPT-4 model. The results of this study demonstrated that while LLMs may relieve the need for resource-intensive data annotations for creating large training datasets in medicine, if there are privacy, computational, or cost-related concerns regarding the use of LLMs with patient data, it may be possible to obtain reliable performance with simpler models by developing large annotated datasets, with particular focus on minority class labeling potentially in an active-learning setup.

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Author contributions
Madhumita Sushil ideated and led the study, formed the study team, set up the technical pipelines, developed and
executed data extraction, modeling, and inference pipelines, advised on supervised model development, and oversaw the data annotation process, and analyzed model errors. MS additionally wrote the manuscript and incorporated co-author feedback.

Travis Zack and Divneet Mandair led the data extraction and annotation processes, developing the annotation schema and guidelines, annotated pathology reports, and analyzed model errors. They led the clinical aspects of the study and additionally provided critical feedback to the manuscript.

Zhiwei Zheng, Ahmed Wali, and Yuwei Quan developed supervised classification pipelines and additionally provided critical feedback to the manuscript.

Yan-Ning Yu adjudicated annotation disagreements, reviewed the dataset for potential errors, clarified annotation guidelines, and analyzed errors in model outputs and additionally provided critical feedback to the manuscript.

Dmytro Lituiev developed the internal CNN model used to label tumor type, cancer stage, and lymph node involvement within notes before further annotation. He further provided critical feedback for data annotation and to the manuscript, thereby improving research dissemination.

Atul J. Butte supervised the entire study, setting its critical direction including data extraction, annotation, modeling, and interpretation of results, acquired partial funding for the study, and provided critical feedback to different stages of the manuscript.

Supplementary material

Supplementary material is available at Journal of the American Medical Informatics Association online.

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Conflicts of interests

M.S. reports no financial associations or conflicts of interest. T.Z. is a medical advisor and minor shareholder at OpenEvidence.com. D.M. is a consultant to Third Rock Ventures. Z. Z. reports no financial associations or conflicts of interest. A. W. is currently an employee of Abbott. Y.-N.Y. is currently an employee of City of Hope. Y.Q. is currently an employee of X-camp Academy. D.L. is currently an employee and minor shareholder of Johnson and Johnson and a co-founder and major shareholder of Synthez AI Corp. A.J.B. is a co-founder and consultant to Personalis and NuMedii; consultant to Mango Tree Corporation, and in the recent past, Samsung, 10x Genomics, Helix, Pathway Genomics, and Verinata (Illumina); has served on paid advisory panels or boards for Geisinger Health, Regenstrief Institute, Gerson Lehman Group, AlphaSights, Covance, Novartis, Genentech, and Merck, and Roche; is a shareholder in Personalis and NuMedii; is a minor shareholder in Apple, Meta (Facebook), Alphabet (Google), Microsoft, Amazon, Snap, 10x Genomics, Illumina, Regeneron, Sanofi, Pfizer, Royalty Pharma, Moderna, Sutro, Doximity, BioNtech, Invitae, Pacific Biosciences, Editas Medicine, Nuna Health, Assay Depot, and Vet24seven, and several other non-health related companies and mutual funds; and has received honoraria and travel reimbursement for invited talks from Johnson and Johnson, Roche, Genentech, Pfizer, Merck, Lilly, Takeda, Varian, Mars, Siemens, Optum, Abbott, Celgene, AstraZeneca, AbbVie, Westat, and many academic institutions, medical or disease specific foundations and associations, and health systems. A.J.B. receives royalty payments through Stanford University, for several patents and other disclosures licensed to NuMedii and Personalis. A.J.B.’s research has been funded by NIH, Peraton (as the prime on an NIH contract), Genentech, Johnson and Johnson, FDA, Robert Wood Johnson Foundation, Leon Lowenstein Foundation, Intervalen Foundation, Priscilla Chan and Mark Zuckerberg, the Barbara and Gerson Bakar Foundation, and in the recent past, the March of Dimes, Juvenile Diabetes Research Foundation, California Governor’s Office of Planning and Research, California Institute for Regenerative Medicine, L’Oreal, and Progenity. None of these entities had any bearing on this research or interpretation of the findings.

Data availability

The dataset of 769 pathology reports curated in this study will be made available through the controlled-access repository PhysioNet after signing a data use agreement. The source code for the study, including those for supervised modeling and large language model inference, are available through the GitHub repository: https://github.com/MadhumitaSushil/BreastCaPathClassification.

References


