DIAGNOSING THE EFFECTS OF PRE-TRAINING DATA ON FINE-TUNING AND SUBGROUP ROBUSTNESS FOR OCCUPATIONAL NER IN CLINICAL NOTES

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ABSTRACT

This work evaluates Named Entity Recognition (NER) across five large language models (LLMs) using real-world narratives from healthcare and general-purpose datasets, focusing on occupational biases and cross-domain robustness. While prior studies have primarily examined biases in name-based entities using short sentence templates, we shift the focus to evaluating occupational NER in long note templates, analyzing biases across gender, race, and annual wage dimensions. Additionally, we assess cross-domain performance to understand how well the models generalize to unseen domain-specific data, such as healthcare datasets. Our evaluation demonstrates the effectiveness of fine-tuning on domain-specific datasets in improving performance compared to zero-shot and universal NER models. However, significant disparities in model performance and bias representation are observed, highlighting the need for targeted mitigation strategies to ensure subgroup robustness in real-world NER applications.

1 INTRODUCTION

Named Entity Recognition (NER) is commonly framed sequence labeling problem, which consists of representational extraction followed by a classification task. Traditional approaches commonly leverage bidirectional Long Short Term Memory (LSTM) networks for character-level word representations with conditional random fields (CRF) Lample et al. (2016); Dernoncourt et al. (2017); Liu et al. (2017). Additionaly, the large-scale pre-trained deep Bidirectional Transformers (BERT) model Devlin et al. (2018) has gained widespread adoption for its ability to produce highly contextualized word embeddings. With the advent of large language models (LLMs) Brown et al. (2020), several new frameworks for Named Entity Recognition (NER) have emerged. For instance, GPT-NER Wang et al. (2023a) redefined NER as a text-generation task compatible with LLMs, mitigating hallucination issues through a self-verification strategy. Similarly, InstructUIE, fine-tuned LLMs on diverse information extraction datasets to achieve reasonable zero-shot performance Wang et al. (2023b). Building upon this, GoLLIE fine-tuned CodeLLaMA with annotation guidelines, yielding notable performance gains Sainz et al. (2023). Another approach, UniversalNER, employed targeted distillation and instruction tuning on diverse datasets annotated by ChatGPT to create a robust open-domain NER model Zhou et al. (2023).

Large Language Models (LLMs) have been extensively applied in the medical domain for tasks such as Named Entity Recognition (NER), including clinical information extraction and de-identification. Recent advancements such as DeID-GPT Liu et al. (2023) and Retrieval-Augmented Generation (RAG) Xiong et al. (2024) have contributed to these applications. DeID-GPT leverages GPT-4 for zero-shot de-identification, effectively removing Protected Health Information (PHI) from clinical text while preserving semantic coherence. On the other hand, RAG integrates external knowledge

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with LLMs to enhance zero-shot NER, improving the recognition of specialized medical entities like diseases and treatments by providing relevant contextual information during inference. Building on these advancements, Monajatipoor et al. (2024) demonstrated that carefully designed prompts and strategic selection of in-context examples can significantly enhance LLM performance in clinical NER tasks. Similarly, Hu et al. (2024) investigate the application of LLMs for information extraction from clinical notes, highlighting their potential in this area. Furthermore, Keloth et al. (2024) explore the advancement of entity recognition in biomedicine through instruction tuning of LLMs, underscoring their broad applicability and impact in the medical field.

Despite prior studies focusing predominantly on name-based entities and relying on short sentence templates to evaluate bias Mishra et al. (2020); Chen et al. (2022), significant gaps remain in understanding how such biases manifest in real-world contexts Nazer et al. (2023); Holmes Fee et al. (2023). Existing evaluations often fail to capture the complexities of occupational bias, which intersects with demographic factors such as gender, race, and socioeconomic status Moukheiber et al. (2024).

In contrast to earlier approaches, we conduct a comprehensive evaluation of five open-source LLMs using real-world narratives from four diverse datasets compared to short sentence templates. These narratives are carefully constructed to reflect three key demographic dimensions—gender, race, and annual wage—as defined by the U.S. Bureau of Labor Statistics U.S. Bureau of Labor Statistics (2021a;b). Additionally, we evaluate the best model's out-of-distribution performance to determine its generalization capabilities to clinical data, a domain where fairness and reliability are critical for equitable AI applications. Our work serves as a foundational step in evaluating occupational bias within complex real-world narratives, addressing the significant impact that such gaps can create.

Our key contributions include:

- We establish two general-purpose and two clinical datasets for named entity recognition tasks focused on occupations. While prior studies have predominantly focused on name-based entities and relied on short sentence templates to evaluate bias Mishra et al. (2020); Chen et al. (2022), our approach moves beyond these limitations by curating note templates based on real-world narratives rather than simplistic short sentence templates.
- We include occupational entities that vary along three key demographic dimensions—gender, race, and wage—defined by the U.S. Bureau of Labor Statistics to assess subgroup robustness. While previous studies Xiao et al. (2023) have primarily focused on name-based entities and their demographic attributes to assess bias, our work expands this scope to include occupational entities and incorporates socio-economic attributes such as annual wage to understand the gaps in complex clinical narratives.
- We benchmark universal NER models, zero-shot LLM prompting, and fine-tuned LLMs for occupational named entity recognition to assess the impact of pre-training data on fine-tuning robustness.
- We examine the subgroup robustness of LLMs on occupational entities, revealing occupational biases across gender and racial groups, as well as between low- and high-paying job categories.
- We assess the cross-domain performance of the best model to evaluate its generalization from general-purpose data to clinical real-world narratives.

2 DATASETS

We utilize four open-source datasets across both general and clinical domains including Common Crawl De-Arteaga et al. (2019), Pile-NER Zhou et al. (2023), MIMIC-IVJohnson et al. (2023a), and i2b2 2014 de-identification challenge dataset Stubbs et al. (2015) to extract occupational entities for evaluating large language models and NER methods. We also utilize racial and gender data U.S. Bureau of Labor Statistics (2021a), as well as annual wage data U.S. Bureau of Labor Statistics (2021b) from the U.S. Bureau of Labor Statistics to quantify biases across dimensions.

2.1 COMMON CRAWL

We extract a dataset comprising of biographies from the Common Crawl corpus Common Crawl (2023). We processed WET files—a file format that contains textual data captured from webpages—from the 43rd crawl of 2017 Com (2017). The data collection process is similar to the approach outlined in De-Arteaga et al. (2019). For further analysis, we extract a chunk of text that includes the occupation entity along with its context to ensuring that the extracted text is both contextually rich and within the input limits for large language models (LLMs). We also identify occupations associated with occupation demographics based on the availability of data from the U.S. Bureau of Labor Statistics to ensure broad coverage of occupational terms for occupational bias assessment.

2.2 MIMIC

We first identify occupations associated with occupation demographics based on the availability of data from the U.S. Bureau of Labor Statistics, and prepare 400 occupation terms with diverse demographic settings. Following Bartl et al. (2020), profession terms were shortened. For patient privacy, we then identify hospital discharge records with professions using regular expressions based on frequently seen occupation templates, and insert profession tags into manually curated templates Johnson et al. (2023b).

2.3 I2B2

The i2b2 2014 dataset uses XML format to store medical records, where sensitive data is annotated within `<PHI>` tags. For occupations, the `<PHI>` tag has a `TYPE="OCCUPATION"` attribute, identifying terms like "doctor" or "nurse". Extracting these occupational entities is crucial for de-identifying data while preserving clinical context. For further analysis, we extract a chunk of text that includes the occupation entity along with its context to ensuring that the extracted text is both contextually rich and within the input limits for large language models (LLMs).

2.4 PILENER

PileNER is a dataset designed for training and evaluating Named Entity Recognition (NER) models. It consists of conversational data where entities (such as professions, locations, and dates) are annotated within the text. We focused on extracting entity spans specifically for the "occupation" or "profession" entity type and locating their exact positions for extracting the associated chunk for further analysis.

3 METHOD AND RESULTS

Occupational NER Data: Following Kiritchenko & Mohammad (2018); Mansfield et al. (2022); Touileb et al. (2022b) for MIMIC and i2b2 datasets, we create templates from the medical note text by replacing occupations present in the note by a placeholder, **OCCUPATION**. The template is then used to create samples by replacing the placeholder with various occupations from the U.S. Bureau of Labor statistics data. For Common Crawl and Pile-NER datasets, we use the samples in their original form as the occupations match the U.S. Bureau. The datasets are then divided based on occupation into train and test sets to maintain unseen occupational entities in test set as shown in Table 1 and Table 2.

Table 1: Number of samples per note in the training set.

Dataset	No. of samples
Common Crawl	200
Pile-NER	561
MIMIC	200
I2b2	179

Table 2: Number of generated samples per note template in the testing set. The test size is computed as the product of the number of note templates (n), subgroups (m), and samples per note template (k). For Common Crawl and Pile-NER datasets, we use the samples in their original note form.

Dataset	No. of Note Templates (n)	No. of Subgroups (m)	Samples per Note Template (k)	Test Size ($n \times m \times k$)
MIMIC	25	3	50	3,750
I2b2	72	3	25	5,400

Model Training: We first establish a baseline through zero-shot evaluation to assess the models' performance before fine-tuning. We then fine-tune Llama-3-8b Touvron et al. (2023), Mistral-7b Jiang et al. (2023), Phi-3-mini Abdin et al. (2024), and Zeyphr-7b Tunstall et al. (2023), conducting supervised fine-tuning using the SFTTrainer from the Hugging Face and TRL Python libraries. We utilize the PEFT Han et al. (2021)library to train LoRA Hu et al. (2021) adapters for each model, which is more efficient than training the entire model. Each model is fine-tuned for 3 epochs on the training set. The full prompt used for zero-shot prompting and fine-tuning is shown in 3. We also compare these models to recent state-of-the-art models, including Universal NER Zhou et al. (2023) and GoLLIE Sainz et al. (2024). For GoLLIE, we define an occupation entity type with following definition: *Represents a specific job or profession that an individual may have. This includes details about the role, industry, and any relevant qualifications or skills required.* We use this definition with the inference prompt provided in their open source implementation. For Universal NER, we adopt the prompt template made available by the authors and add occupation as entity type as shown in Table 3.

Table 3: Prompt used for zero-shot evaluation and fine-tuning LLMs. {`snippet`} defines the context including the occupational entity.

Models	Prompt
Llama-3-8b Mistral-7b, Zeyphr-7b	You are a helpful information extraction system. Below is a snippet of a passage followed by an instruction. Please write a response that appropriately completes the instruction. [Passage Notes Begin] {snippet} [Passage Notes End] [Instruction Begin] The task involves extracting occupational entities. Please output the occupations mentioned in this passage, separated by commas. [Instruction End]
Universal NER	A virtual assistant answers questions from a user based on the provided text. USER: Text: {snippet} ASSISTANT: I've read this text. USER: What describes Occupation in the text? ASSISTANT:

Model Evaluation: We evaluate the named entity recognition (NER) model's performance in zero-shot and instruction-fine-tuning settings using recall as the evaluation metric. Following Hu et al. (2024) and Zhou et al. (2023), we report the recall score based on strict matches. In strict evaluation, the extracted entity type and boundary align precisely with the ground-truth entity. We add an instruction in the prompt to separate multiple entities in the generated text by commas. The recall

metric essentially reports the proportion of exact matching entities found by the LLM from the ground-truth entities present in the text. The recall performance and bootstrap error across datasets and models is reported in Table 4.

Table 4: Recall (higher is better) for large language models across multi-domain datasets, and the associated bootstrapped error.

	Datasets			
Models	**Common Crawl**	**I2b2**	**MIMIC**	**Pile-NER**
GoLLIE (Zero-shot)	0.622 ± 0.022	0.536 ± 0.004	0.773 ± 0.004	0.058 ± 0.010
Universal-NER (Zero-shot)	0.254 ± 0.019	0.740 ± 0.004	0.844 ± 0.003	0.286 ± 0.030
Llama3-8b (Zero-shot)	0.024 ± 0.007	0.015 ± 0.014	0.029 ± 0.017	0.124 ± 0.022
Llama3-8b (Instructional Finetuning)	**0.699 ± 0.020**	0.927 ± 0.002	0.956 ± 0.002	0.694 ± 0.028
Mistral-7b (Zero-shot)	0.509 ± 0.023	0.435 ± 0.060	0.702 ± 0.044	0.382 ± 0.032
Mistral-7b (Instructional Finetuning)	0.639 ± 0.021	**0.940 ± 0.002**	**0.979 ± 0.001**	**0.735 ± 0.027**
Zephyr-7B (Zero-shot)	0.168 ± 0.017	0.322 ± 0.057	0.723 ± 0.046	0.197 ± 0.027
Zephyr-7B (Instructional Finetuning)	0.385 ± 0.022	0.909 ± 0.002	0.938 ± 0.002	0.699 ± 0.028

Data for Subgroup Robustness Assessment: To evaluate occupational bias, we discretize the dimensions across race and annual wage into three groups: high, moderate, and low, based on the percentile of the distribution for each dimension. For the gender dimension, we divide occupations into high, moderate, and low groups similar to Touileb et al. (2022a). The high gender group refers to occupations where more than 75% of individuals self-identify as female, while the low gender group refers to occupations where less than 25% of individuals self-identify as female. Occupations with 40% to 60% women are categorized as moderate These groups are used in the calculation of recall differences.

In order to perform bias evaluation, we create an equal number of samples for each group (e.g. female) in the given dimension (e.g. gender). This is done by sampling occupations in that group and replacing them in the template. A test set is created in this fashion for each dimension. The exact test set sizes are reported in Table 2.

Subgroup Robustness Evaluation: We use the Friedman test Friedman (1937) for the attributes with multiple protected groups to assess the null hypothesis that the model treats the groups equally well across dimensions for the same templates. Specifically, we average the recall value for a set of samples generated from a template across three groups within each dimension. To assess model bias, we report the recall equality difference in Mansfield et al. (2022), which measures the average absolute difference between the recall of individual groups and the overall recall across all groups within the corresponding category. In particular, for a dimension D and its associated set of groups $\mathcal{G}^D = \{\mathcal{G}_1^D, \mathcal{G}_2^D, \dots\}$, recall equality difference $= \frac{1}{|\mathcal{G}^D|} \sum_{\mathcal{G}_i^D \in \mathcal{G}^D} |\text{Recall}(\mathcal{G}_i^D) - \text{Recall}(\mathcal{G}^D)|$. We also report the recall maximum difference, which is $\max_{\mathcal{G}_i^D \in \mathcal{G}^D} |\text{Recall}(\mathcal{G}_i^D) - \text{Recall}(\mathcal{G}^D)|$. Recall difference and recall maximum difference are reported in Table 5 and Table 6 respectively.

Table 5: Recall difference (lower is better) spanning gender, race and annual wage dimensions for templated data and the associated boostrapped error (statistically significant values are bolded).

Dataset	**I2b2**			**MIMIC**		
	Gender	**Annual Wage**	**Race**	**Gender**	**Annual Wage**	**Race**
GoLLIE (Zero-shot)	**0.031 ± 0.006**	0.008 ± 0.004	**0.011 ± 0.004**	**0.034 ± 0.008**	**0.013 ± 0.004**	**0.014 ± 0.004**
Universal-NER (Zero-shot)	**0.059 ± 0.008**	**0.026 ± 0.005**	**0.042 ± 0.006**	**0.044 ± 0.011**	**0.053 ± 0.011**	0.014 ± 0.006
Llama3-8B (Instructional Finetuning)	**0.010 ± 0.003**	0.009 ± 0.003	**0.012 ± 0.003**	**0.012 ± 0.003**	**0.017 ± 0.004**	**0.029 ± 0.005**
Mistral-7B (Instructional Finetuning)	**0.021 ± 0.003**	**0.008 ± 0.003**	0.008 ± 0.003	**0.007 ± 0.002**	0.004 ± 0.002	0.007 ± 0.003
Zephyr-7B (Instructional Finetuning)	**0.022 ± 0.003**	**0.018 ± 0.003**	0.004 ± 0.002	**0.021 ± 0.005**	**0.019 ± 0.003**	0.010 ± 0.004

Cross-domain Robustness Assessment: Previous works Liu et al. (2021); Yuan et al. (2023) have investigated cross-domain NER performance using methods like pre-training on a source dataset and finetunig on target dataset as well as direct fine-tuning on target dataset. Since pre-training LLMs

Table 6: Maximum recall difference (lower is better) spanning gender, race and annual wage dimensions for templated data and the associated boostrapped error (statistically significant values are bolded).

Dataset	**I2b2**			**MIMIC**		
	Gender	**Annual Wage**	**Race**	**Gender**	**Annual Wage**	**Race**
GoLLIE (Zero-shot)	**0.046 ± 0.009**	0.013 ± 0.006	**0.016 ± 0.006**	**0.051 ± 0.012**	**0.020 ± 0.006**	**0.022 ± 0.006**
Universal-NER (Zero-shot)	**0.088 ± 0.012**	**0.039 ± 0.007**	**0.062 ± 0.009**	**0.066 ± 0.016**	**0.080 ± 0.016**	0.021 ± 0.010
Llama3-8b (Instructional Finetuning)	**0.016 ± 0.004**	0.013 ± 0.004	**0.017 ± 0.004**	**0.018 ± 0.005**	**0.025 ± 0.007**	**0.043 ± 0.008**
Mistral-7b (Instructional Finetuning)	**0.032 ± 0.005**	**0.012 ± 0.004**	0.013 ± 0.004	**0.011 ± 0.004**	0.006 ± 0.003	0.010 ± 0.004
Zephyr-7B (Instructional Finetuning)	**0.033 ± 0.005**	**0.027 ± 0.005**	0.007 ± 0.003	**0.031 ± 0.007**	**0.029 ± 0.004**	0.014 ± 0.007

is computationally expensive, we only evaluate direct fine-tuning on different source datasets. We analyze out-of-domain performance on clinical datasets using our best-performing model on the common crawl dataset, fine-tuned Llama3-8B. For testing, we sample 1000 samples from both i2b2 and mimic datasets and report their recall performance and bootstrap error in Table 7. The recall on the i2b2 dataset drops to 0.902, compared to Llama3-8B finetuned on i2b2, while on the MIMIC dataset, it drops to 0.951, compared to Llama3-8B finetuned on MIMIC. This suggests fine-tuning for extracting a specific entity type on generic dataset can still lead to comparable performance on medical context but can lead to slight drop as seen in the i2b2 performance.

Table 7: Recall (higher is better) for cross-domain robustness assessment, and the associated boostrapped error.

Target Dataset	**I2b2**	**MIMIC**
Finetuning Dataset		
Common Crawl	0.902 ± 0.013	0.951 ± 0.010
I2b2	0.931 ± 0.011	**0.972 ± 0.007**
MIMIC	**0.936 ± 0.011**	0.956 ± 0.009

4 Discussion

Our findings reveal several critical insights into the performance and limitations of large language models (LLMs) and general NER models for occupational named entity recognition (NER). Fine-tuning consistently enhances recall performance by reducing irrelevant outputs beyond the target entity span, resulting in more accurate and interpretable extractions. While general-purpose NER models outperform LLMs in zero-shot settings, fine-tuning LLMs for specific entities (occupations) achieves superior results, particularly when combined with domain-specific datasets. We find statistically significant biases measured by recall equality difference persist across most demographic dimensions including gender, annual wage, and race with even the best fine-tuned models exhibiting disparities favoring certain groups, underscoring the importance of addressing fairness in NER tasks. Similar results are also measured with recall maximum difference. Fine-tuned LLMs also demonstrate strong cross-domain adaptability, performing well on clinical datasets like MIMIC and i2b2, even when trained on generic datasets like Common Crawl. Nonetheless, a slight performance drop in the i2b2 dataset highlights the limitations of cross-domain generalization and the potential benefit of additional domain-specific fine-tuning. These results emphasize the necessity of fine-tuning for improved performance, targeted bias mitigation strategies for fairness, and robust evaluations to understand cross-domain adaptability, paving the way for more equitable and effective AI systems in diverse applications.

5 Conclusion

We highlight the importance of careful evaluation when deploying large language models (LLMs) for custom named entity recognition (NER) tasks in both medical and general domains. Fine-tuning LLMs for extracting specific entities, such as occupations, significantly improves performance compared to universal entity extraction models, even in out-of-domain settings. However, performance

can be further enhanced by fine-tuning on target medical domain datasets, addressing domain-specific challenges and nuances. Significant biases are observed across demographic dimensions such as gender, annual wage, and race, affecting both universal NER models and fine-tuned LLMs. These findings emphasize the need for thorough bias evaluation and mitigation strategies to ensure fairness and equitable performance in NER tasks across diverse demographic and socio-economic contexts.

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