## WEBVTT

- 1 00:00:00.120 --> 00:00:00.953 <v Host>Assistant professor</v>
- $2~00:00:00.953 \longrightarrow 00:00:02.550$  in the Department of Population Health
- $3~00:00:02.550 \dashrightarrow 00:00:05.520$  and in the Department of Medicine at New York University,
- $4~00:00:05.520 \mathrel{--}{>} 00:00:08.760$  Dr. Wu's research synthesizes state-of-the-art methods
- 5 00:00:08.760 --> 00:00:11.280 from statistics, machine learning, optimization,
- $6~00{:}00{:}11.280 \dashrightarrow 00{:}00{:}14.160$  and computational science to address critical
- $7\ 00:00:14.160 \longrightarrow 00:00:16.290$  and far reaching issues in health services,
- $8\ 00:00:16.290 \longrightarrow 00:00:18.420$  research and clinical practice.
- 9~00:00:18.420 --> 00:00:20.070 Leveraging large scale data
- $10\ 00:00:20.070 --> 00:00:23.940$  from national disease registries, administrative databases,
- $11\ 00:00:23.940 --> 00:00:27.120$  electronic health records, and randomized control trials.
- $12\ 00:00:27.120 \longrightarrow 00:00:29.313$  Let's give a warm welcome to Dr. Wu.
- 13 00:00:31.472 --> 00:00:33.870 <v Dr. Wu>Thank you for the nice introduction.</v>
- $14\ 00:00:33.870 --> 00:00:38.820$  And it's a great honor to be here with all of you.
- 15~00:00:38.820 --> 00:00:43.563 And so I'm Wenbo, I am from New York.
- 16 00:00:44.730 --> 00:00:49.730 I joined NYU just a bit over a year ago.
- $17\ 00:00:52.574 \longrightarrow 00:00:54.840$  So I think, 'cause we have so many people here,
- $18~00:00:54.840 \longrightarrow 00:00:58.034~I$  think it would be good to run a promotion first.
- 19 00:00:58.034 --> 00:00:59.220 (Dr. Wu laughs)
- $20\ 00:00:59.220 \longrightarrow 00:01:00.930$  So this is our group.
- 21 00:01:00.930 --> 00:01:03.120 So at NYU we have,
- 22 00:01:03.120 --> 00:01:06.627 I mean it's a tremendously growing group
- $23\ 00:01:06.627 \longrightarrow 00:01:08.490$  and we have like 24 faculty
- $24\ 00:01:08.490 \longrightarrow 00:01:11.970$  and we're about to welcome our newest,
- $25~00:01:11.970 \longrightarrow 00:01:16.020$  like the 25th faculty member into our divisions.

- $26\ 00:01:16.020 \longrightarrow 00:01:19.290$  And we have 7 staff.
- 27 00:01:19.290 --> 00:01:21.690 We have a small PhD program,
- $28\ 00:01:21.690 \longrightarrow 00:01:25.530$  we have 20 PhD students and 10 postdocs.
- $29\ 00:01:25.530 \longrightarrow 00:01:30.270$  And we have a team of 25 research scientists.
- $30\ 00:01:30.270 --> 00:01:33.090$  And part of the reason I wanna do this is
- $31~00:01:33.090 \longrightarrow 00:01:36.210$  because I wanna encourage you guys
- $32\ 00:01:36.210 --> 00:01:37.800$  to apply to our PhD programs.
- 33 00:01:37.800 --> 00:01:39.600 So if you're interested,
- 34 00:01:39.600 --> 00:01:43.170 scan this QR code and you apply, okay?
- 35 00:01:43.170 --> 00:01:44.670 All right,
- $36\ 00:01:44.670 \longrightarrow 00:01:49.670$  so I have been doing things in provider profiling
- $37\ 00:01:49.980 \longrightarrow 00:01:53.400$  for the past for five years
- $38\ 00:01:53.400 \longrightarrow 00:01:58.400$  and so this is the overview of what it is.
- $39\ 00:01:58.650 \longrightarrow 00:02:02.700$  So provider profiling is basically the assessment,
- 40~00:02:02.700 --> 00:02:07.383 the evaluation of the performance of health care providers.
- 41 00:02:09.180 --> 00:02:10.200 So I listed here,
- 42 00:02:10.200 --> 00:02:13.143 could be say acute-care hospitals.
- 43 00:02:14.454 --> 00:02:17.400 (Wu speaks indistinctly)
- $44\ 00:02:17.400 \dashrightarrow 00:02:20.670$  This acute-care hospitals, kidney dialysis facilities,
- 45 00:02:20.670 --> 00:02:25.230 I have been working on other evaluations
- 46 00:02:25.230 --> 00:02:27.360 like organ procurement organizations,
- $47\ 00:02:27.360 \longrightarrow 00:02:30.960$  which is a type of organizations
- $48\ 00:02:30.960 \longrightarrow 00:02:33.867$  that are responsible for procuring organs
- $49\ 00:02:33.867 --> 00:02:36.390$  for patients who are in great need
- $50\ 00:02:36.390 \longrightarrow 00:02:38.910$  of organ transplant patients.
- 51~00:02:38.910 --> 00:02:41.520 And the transplant centers, of course, physician, surgeons.
- 52 00:02:41.520 --> 00:02:43.560 So you can see,
- $53\ 00:02:43.560 \longrightarrow 00:02:45.930$  this includes so many different types

- $54\ 00{:}02{:}45.930 \dashrightarrow 00{:}02{:}49.919$  of healthcare providers and stakeholders include,
- 55~00:02:49.919 --> 00:02:54.919 say, insurance companies, regulation, government,
- $56\ 00:02:54.930 \longrightarrow 00:02:56.190$  federal agencies.
- 57 00:02:56.190 --> 00:02:58.650 They're all interested in provider profiling,
- 58 00:02:58.650 --> 00:03:00.150 I will tell you why.
- $59\ 00:03:00.150 --> 00:03:05.110$  Providers is basically who are doing profile evaluations
- $60\ 00:03:06.060 \longrightarrow 00:03:07.830$  and of course patients.
- $61\ 00:03:07.830 \longrightarrow 00:03:11.490$  So because they are interested in the information,
- 62 00:03:11.490 --> 00:03:13.240 interested in the profiling results
- $63\ 00:03:14.370 \longrightarrow 00:03:17.250$  so they can make care seeking decisions.
- 64 00:03:17.250 --> 00:03:18.090 Okay?
- $65\ 00:03:18.090 \longrightarrow 00:03:22.140$  And so I listed here a few outcomes,
- 66 00:03:22.140 --> 00:03:25.470 like emergency department encounters,
- 67 00:03:25.470 --> 00:03:28.500 unplanned re-hospitalizations,
- $68\ 00:03:28.500 \longrightarrow 00:03:30.930$  which is hospital readmissions.
- $69\ 00:03:30.930 --> 00:03:34.170$  And I will jump into the details later
- $70~00{:}03{:}34.170 \dashrightarrow 00{:}03{:}36.270$  and post-discharge deaths and you can,
- 71 00:03:36.270 --> 00:03:38.550 I mean there are so many different types of outcomes
- 72 00:03:38.550 --> 00:03:40.250 to consider in provider profiling.
- $73\ 00:03:41.280 \longrightarrow 00:03:43.440$  And one of the goals was
- $74\ 00:03:43.440 \longrightarrow 00:03:46.740$  to basically identify those providers
- $75\ 00:03:46.740 --> 00:03:48.600$  with very bad performance in terms
- $76\ 00:03:48.600 \longrightarrow 00:03:50.400$  of patient-centered outcomes.
- 77 00:03:50.400 --> 00:03:55.110 And they can get penalization,
- $78\ 00:03:55.110 --> 00:03:58.260$  like they can have payment reductions
- $79\ 00:03:58.260 \longrightarrow 00:04:00.570$  from government agencies.
- 80 00:04:00.570 --> 00:04:01.500 Okay?

- $81\ 00:04:01.500 \longrightarrow 00:04:04.289$  And as you can see here, this is very important.
- 82 00:04:04.289 --> 00:04:07.020 This is a very important business,
- 83  $00:04:07.020 \longrightarrow 00:04:10.405$  and profiling can actually help
- 84 00:04:10.405 --> 00:04:13.140 improve evidence-based accountability
- $85\ 00:04:13.140 --> 00:04:18.090$  for those providers and how facility targeted interventions
- $86\ 00:04:18.090 \longrightarrow 00:04:22.083$  that aimed at improving the care quality.
- 87 00:04:23.910 --> 00:04:24.903 Alright, so,
- $88\ 00:04:35.961 \longrightarrow 00:04:36.794 \text{ so},$
- $89\ 00:04:39.587 \longrightarrow 00:04:42.690$  this is a slide of a few example papers
- $90\ 00:04:42.690$  --> 00:04:47.160 that are about evaluating hospitals across the nations.
- 91 00:04:47.160 --> 00:04:51.843 So they're mostly from the program called,
- 92 00:04:53.280 --> 00:04:55.380 Hospital Re-admission Reduction Program,
- 93 00:04:55.380 --> 00:04:58.500 which is a very important national level program
- 94 00:04:58.500 --> 00:05:00.570 that I will explain later.
- $95~00:05:00.570 \longrightarrow 00:05:04.590$  But there are just so many papers in this field.
- $96\ 00:05:04.590 \longrightarrow 00:05:05.913$  I mean, these are just,
- $97\ 00:05:06.953 \longrightarrow 00:05:10.170$  like there are publications in top,
- 98 00:05:10.170 --> 00:05:12.660 medical journals, analysts of internal medicine,
- 99 00:05:12.660 --> 00:05:14.733 and New England Journal of Medicine.
- 100 00:05:24.450 --> 00:05:25.283 Okay?
- $101\ 00:05:27.180 \longrightarrow 00:05:29.730$  So, this is another type of profiling stuff.
- 102 00:05:29.730 --> 00:05:31.170 So it's called physician profiling.
- $103\ 00:05:31.170 \longrightarrow 00:05:36.170$  Basically they wanna evaluate physicians.
- $104\ 00:05:36.180 --> 00:05:39.480$  So this is, as you can see, it's a report,
- $105\ 00:05:39.480 \longrightarrow 00:05:41.357$  it's called the health report
- 106 00:05:41.357 --> 00:05:44.400 from Massachusetts Medical Society,
- $107\ 00:05:44.400 \longrightarrow 00:05:45.540$  which is the publisher
- 108 00:05:45.540 --> 00:05:46.830 of The New England Journal of Medicine.
- 109 00:05:46.830 --> 00:05:47.663 Okay?

- $110\ 00{:}05{:}47.663 {\:{\mbox{--}}}{>}\ 00{:}05{:}50.416$  So they prepared this principles
- 111 00:05:50.416 --> 00:05:54.513 for profiling physician performance, I think many years ago.
- $112\ 00:05:56.130 \longrightarrow 00:06:00.750$  So this is a list of exemplar profiling programs
- $113\ 00:06:00.750 \longrightarrow 00:06:03.870$  and they are still existing.
- $114\ 00:06:03.870 \longrightarrow 00:06:08.490$  So the first one is an interesting state level program
- $115\ 00:06:08.490 \longrightarrow 00:06:12.150$  which is arguably one of the first programs.
- 116 00:06:12.150 --> 00:06:17.150 So it is still administered
- $117\ 00{:}06{:}18.990 \dashrightarrow 00{:}06{:}21.930$  by the New York State of Department of Health.
- $118\ 00{:}06{:}21.930 \dashrightarrow 00{:}06{:}24.840$  Basically they're interested in evaluating hospitals
- 119 00:06:24.840 --> 00:06:29.840 that do coronary artery bypass graft surgeries,
- $120\ 00:06:30.521$  --> 00:06:35.310 and also PCIs and the program have been running
- $121\ 00:06:35.310 \longrightarrow 00:06:38.640$  for at least 20 years or so.
- $122\ 00:06:38.640 \longrightarrow 00:06:41.490$  And the second one is another important program,
- $123\ 00:06:41.490 \longrightarrow 00:06:46.440$  which was launched I think in 2003.
- 124 00:06:46.440 --> 00:06:47.823 And it is,
- $125~00{:}06{:}48.690 \dashrightarrow 00{:}06{:}52.380$  I think it is from the one of the Federal Level Act.
- 126 00:06:52.380 --> 00:06:54.210 And it is currently administered
- $127\ 00:06:54.210$  --> 00:06:58.290 by the US Centers for Medicare and Medicaid Services.
- 128 00:06:58.290 --> 00:07:03.290 And their interest in outcomes for, again,
- $129\ 00:07:03.960 --> 00:07:08.520\ 30$ -day readmissions and mortality for a AMIs
- $130\ 00:07:08.520 \longrightarrow 00:07:10.263$  and the heart failure, et cetera.
- $131\ 00:07:11.400 \longrightarrow 00:07:15.733$  And the next one is another federal level readmission,
- 132 00:07:17.370 --> 00:07:18.630 federal level profiling program,
- $133\ 00{:}07{:}18.630 {\:{\mbox{--}}\!>}\ 00{:}07{:}23.610$  which is also established by Affordable Care Act,

- $134\ 00:07:23.610 \longrightarrow 00:07:24.840$  which is Obama care.
- 135 00:07:24.840 --> 00:07:28.560 You guys probably know that, in 2012.
- 136 00:07:28.560 --> 00:07:32.520 And so, yeah, they're also interested in,
- $137\ 00:07:32.520 --> 00:07:36.990$  evaluating hospitals and they will punish those hospitals
- $138\ 00:07:36.990 --> 00:07:40.320$  with very bad performance in terms of payment reductions.
- 139 00:07:40.320 --> 00:07:41.153 Okay?
- $140\ 00:07:41.153 --> 00:07:42.930$  The last one is an interesting program,
- $141\ 00:07:42.930 \longrightarrow 00:07:45.810$  which is kind of my focus.
- $142\ 00{:}07{:}45.810 \dashrightarrow 00{:}07{:}50.810$  I have been working on evaluating kidney dialysis facilities
- $143\ 00:07:53.730 --> 00:07:56.220$  for patients with kidney failure.
- $144\ 00{:}07{:}56.220$  -->  $00{:}08{:}01.220$  And there are actually over 7,000 dialysis facilities
- 145 00:08:01.320 --> 00:08:03.570 across the nation, believe it or not.
- $146~00{:}08{:}03.570 \dashrightarrow 00{:}08{:}08.080$  But this is the first to pay for performance program
- 147 00:08:09.240 --> 00:08:13.620 in contrast to other pay for service programs.
- 148 00:08:13.620 --> 00:08:14.520 Okay.
- $149\ 00:08:14.520 \longrightarrow 00:08:17.100$  And the program is called ESRD.
- $150~00{:}08{:}17.100 \dashrightarrow 00{:}08{:}20.850$  ESRD is short for End Stage Renal Disease.
- $151\ 00:08:20.850 \longrightarrow 00:08:23.580$  Basically the patients with kidney failure,
- 152 00:08:23.580 --> 00:08:25.280 a quality incentive program, okay?
- 153 00:08:26.160 --> 00:08:26.993 Alright.
- $154\ 00:08:26.993 \longrightarrow 00:08:30.090$  So as you can see, there are so many programs,
- $155\ 00{:}08{:}30.090 \dashrightarrow 00{:}08{:}35.037$  so many initiatives across the nation about profiling.
- 156 00:08:35.940 --> 00:08:40.590 And one natural question is about the,
- $157\ 00:08:40.590 \longrightarrow 00:08:43.980$  how the landscape of the statistical landscape
- 158 00:08:43.980 --> 00:08:45.870 of profiling looks like.
- $159\ 00:08:45.870 --> 00:08:49.470$  And because of the importance of profiling
- 160 00:08:49.470 --> 00:08:51.603 and here I said,

- $161\ 00:08:52.680 \longrightarrow 00:08:54.930$  there are many far reaching implications
- 162 00:08:54.930 --> 00:08:57.687 because providers can get penalizations
- $163\ 00:08:57.687 \longrightarrow 00:09:00.333$  and it's high stakes.
- 164 00:09:01.680 --> 00:09:03.480 So it's important
- $165\ 00:09:03.480 \longrightarrow 00:09:05.460$  that we have principles statistical methods
- 166 00:09:05.460 --> 00:09:07.590 to evaluate them, right?
- $167\ 00:09:07.590 \longrightarrow 00:09:10.740$  So this is like two examples.
- 168 00:09:10.740 --> 00:09:12.531 The first,
- $169\ 00{:}09{:}12.531 \dashrightarrow 00{:}09{:}16.980$  it's a paper published on analysts of internal medicine,
- $170\ 00:09:16.980 \longrightarrow 00:09:20.463$  but it is written by two statisticians.
- $171\ 00:09:21.450 \longrightarrow 00:09:25.470$  They are calling for the improvement
- $172\ 00:09:25.470 \longrightarrow 00:09:28.410$  of statistical approach in this field.
- $173\ 00:09:28.410 \longrightarrow 00:09:30.450$  And also the second one,
- $174\ 00:09:30.450 \longrightarrow 00:09:32.340$  this one is even more important
- 175 00:09:32.340 --> 00:09:34.950 because it is a white paper issued
- $176\ 00:09:34.950 --> 00:09:39.950$  by the Committee of Presidents of Statistical Society.
- 177 00:09:40.110 --> 00:09:41.580 You probably know about COPS.
- $178\ 00:09:41.580 \longrightarrow 00:09:46.580$  So one of the most important words in the statistic field,
- 179 00:09:46.590 --> 00:09:49.230 it's the COPS presence of work, right?
- $180\ 00:09:49.230 \longrightarrow 00:09:53.130$  So this is a white paper by COPS
- $181\ 00:09:53.130 \longrightarrow 00:09:58.130$  and also a group of people from the CMS.
- $182\ 00:09:58.230 \longrightarrow 00:10:00.090$  So this is also an important work.
- $183\ 00:10:00.090 --> 00:10:01.762$  It's about the statistical issues
- $184\ 00:10:01.762 \longrightarrow 00:10:05.190$  and assessing hospital performance.
- $185\ 00:10:05.190 \longrightarrow 00:10:06.750$  So as you can see,
- $186\ 00:10:06.750 --> 00:10:09.510$  there are many people are interested
- $187\ 00:10:09.510$  --> 00:10:13.080 in improving the statistical landscape for profiling.
- 188 00:10:14.430 --> 00:10:15.263 Alright,

- $189\ 00{:}10{:}15.263 \dashrightarrow 00{:}10{:}20.120$  so this is a slight briefly introducing the existing methods
- 190 00:10:23.070 --> 00:10:24.810 of provider profiling.
- $191\ 00:10:24.810 \longrightarrow 00:10:26.280$  There are a few.
- $192\ 00{:}10{:}26.280 \dashrightarrow 00{:}10{:}31.110$  I grouped them into like roughly four categories.
- 193 00:10:31.110 --> 00:10:34.410 So the first group,
- 194 00:10:34.410 --> 00:10:38.070 is hierarchical random-effects models,
- 195 00:10:38.070 --> 00:10:41.610 there are many papers in this group,
- 196 00:10:41.610 --> 00:10:44.970 but I just highlighted one paper in,
- $197\ 00:10:44.970 --> 00:10:48.490$  I think in 1997 was published on Jassa
- 198~00:10:49.590 --> 00:10:53.970 by Dr. Sharon Lee Norman at Harvard Medical School.
- $199\ 00{:}10{:}53.970 \dashrightarrow 00{:}10{:}57.780$  So it's about hierarchical random-effects models
- $200\ 00:10:57.780 \longrightarrow 00:11:02.340$  which is still being used in many settings.
- 201 00:11:02.340 --> 00:11:03.780 Especially, I mean,
- $202\ 00:11:03.780 \longrightarrow 00:11:05.370$  not sure whether you guys know
- 203 00:11:05.370 --> 00:11:08.310 that there is a group at Yale called Yale Core,
- 204 00:11:08.310 --> 00:11:10.593 I think Center for Outcomes Research and,
- 205 00:11:14.130 --> 00:11:15.720 Something. <v -> Evaluation. </v>
- 206 00:11:15.720 --> 00:11:17.430 <- Dr. Wu>Okay, great, thank you.</v>
- $207\ 00{:}11{:}17.430$  -->  $00{:}11{:}21.330$  So they have been using hierarchical random-effects model
- 208 00:11:21.330 --> 00:11:24.120 for over 30 years, I guess.
- $209\ 00{:}11{:}24.120 \dashrightarrow 00{:}11{:}29.120$  And the second stream of approach is fixed-effects models,
- $210\ 00:11:31.020 \longrightarrow 00:11:33.663$  as you can tell from the names,
- 211 00:11:35.670 --> 00:11:38.913 people are using like a fixed effects in the models.
- 212 00:11:40.260 --> 00:11:44.040 And this is one example paper,
- $213\ 00:11:44.040 \longrightarrow 00:11:48.003$  actually was published in 2013 by my advisors.
- 214 00:11:49.020 --> 00:11:53.301 And the next one is,

- $215\ 00:11:53.301 --> 00:11:56.100\ I$  mean these groups of papers,
- 21600:11:56.100 --> 00:11:59.550 they're not mutually exclusive because,
- 217 00:11:59.550 --> 00:12:01.470 for example, this one,
- 218 00:12:01.470 --> 00:12:04.140 competing risks or semi-competing risks.
- $219\ 00:12:04.140 \longrightarrow 00:12:05.970$  I mean there are some papers
- 220 00:12:05.970 --> 00:12:08.190 that use higher hierarch random-effects model
- $221\ 00{:}12{:}08.190 \dashrightarrow 00{:}12{:}11.580$  or they're also papers using fixed-effects models.
- 222 00:12:11.580 --> 00:12:13.470 But they are just kind of,
- 223 00:12:13.470 --> 00:12:15.660 they're handling like different types of outcomes.
- 224 00:12:15.660 --> 00:12:18.120 So I listened here.
- 225 00:12:18.120 --> 00:12:20.250 And also for recurring events,
- 226 00:12:20.250 --> 00:12:23.460 if you take a class in survival analysis,
- 227 00:12:23.460 --> 00:12:25.650 you probably know that, for example,
- $228\ 00{:}12{:}25.650 \dashrightarrow 00{:}12{:}28.680$  patient can have multiple hospitalizations in a year.
- $229\ 00:12:28.680 \longrightarrow 00:12:31.230$  So they are considered as recurring events.
- 230 00:12:31.230 --> 00:12:32.329 Okay.
- $231\ 00:12:32.329 \longrightarrow 00:12:34.203$  And then the last one is,
- $232\ 00{:}12{:}35.280 \longrightarrow 00{:}12{:}37.290$  some people are using causal inference
- $233\ 00{:}12{:}37.290$  -->  $00{:}12{:}42.250$  and some clustering approaches to handle profiling issues.
- 234 00:12:43.920 --> 00:12:46.740 But these papers are relatively new,
- $235\ 00:12:46.740 \longrightarrow 00:12:50.460$  and this is one paper here.
- $236\ 00:12:50.460 --> 00:12:53.433$  It was by all statistics, I think.
- $237\ 00:12:54.420 \dashrightarrow 00:12:59.130$  Alright, so I wanna discuss a few limitations
- 238 00:12:59.130 --> 00:13:01.200 of the current landscape,
- 239 00:13:01.200 --> 00:13:05.070 the current statistical in profiling.
- $240\ 00:13:05.070 \longrightarrow 00:13:10.070$  So the first limitation is, people have been, I think,
- $241\ 00:13:10.410 \longrightarrow 00:13:14.073$  intensely using models with a linear predictor.

- $242\ 00:13:14.910 \longrightarrow 00:13:19.468$  So the limitation is this may not be true
- 243 00:13:19.468 --> 00:13:22.560 when we have very complex outcome
- $244\ 00:13:22.560 \longrightarrow 00:13:25.080$  and the factor associations.
- $245\ 00:13:25.080 \longrightarrow 00:13:27.510$  So this is an example.
- $246\ 00:13:27.510 \longrightarrow 00:13:28.803$  This figure.
- 247 00:13:30.480 --> 00:13:35.480 This is in my one of my papers.
- 248 00:13:35.700 --> 00:13:38.310 So the background,
- 249 00:13:38.310 --> 00:13:40.680 I'll give you a bit of background information.
- 250 00:13:40.680 --> 00:13:42.450 So this is about, okay,
- 251 00:13:42.450 --> 00:13:45.764 evaluating the effect of covid
- $252\ 00{:}13{:}45.764 \dashrightarrow 00{:}13{:}50.550$  and the outcome is a 30 day unplanned hospital readmissions.
- $253\ 00:13:50.550 \longrightarrow 00:13:53.700$  So this, on the left is the surface plot.
- $254\ 00:13:53.700 \longrightarrow 00:13:56.460$  On the right is the conquer plot.
- 255 00:13:56.460 --> 00:13:58.710 As you can see,
- $256\ 00:13:58.710 \longrightarrow 00:14:01.920$  we are interested in the variation
- $257\ 00{:}14{:}01.920 {\:{\mbox{--}}}{>} 00{:}14{:}05.970$  of the covid effect across, this might be too small,
- 258 00:14:05.970 --> 00:14:08.850 but across post discharge time,
- $259\ 00{:}14{:}08.850 \dashrightarrow 00{:}14{:}12.660$  post discharge days and also across calendar days
- $260\ 00:14:12.660 \longrightarrow 00:14:15.300$  because we used data in 2020.
- $261~00{:}14{:}15.300 \dashrightarrow 00{:}14{:}20.300$  So we set time zero at, I think mid-March or,
- 262 00:14:21.240 --> 00:14:22.440 yeah, mid-March.
- $263\ 00:14:22.440 \longrightarrow 00:14:24.780$  So this is April the 1st.
- $264\ 00:14:24.780 \longrightarrow 00:14:29.780$  And then May 1st until I think mid-October.
- $265\ 00{:}14{:}29.850 \dashrightarrow 00{:}14{:}34.173$  So as you can see there's a lot of variation going on here.
- $266\ 00{:}14{:}35.820 \dashrightarrow 00{:}14{:}38.430$  So the covid effect is definitely not constant here.
- $267~00{:}14{:}38.430$  -->  $00{:}14{:}43.430$  So basically it means that we cannot use the linear model
- 268 00:14:43.590 --> 00:14:44.423 to do this.

- 269 00:14:44.423 --> 00:14:47.850 It's just not valid, right?
- $270\ 00{:}14{:}47.850 {\: \hbox{--}\!>\:} 00{:}14{:}52.850$  So the second methodological limitation is existing methods
- $271\ 00{:}14{:}53.970 \dashrightarrow 00{:}14{:}57.360$  have been historically driven by cost effective spending.
- 272 00:14:57.360 --> 00:14:58.193 Like,
- 273 00:15:00.510 --> 00:15:03.077 I think in the very first program,
- 274 00:15:03.077 --> 00:15:06.330 in those first early programs,
- $275\ 00:15:06.330 \longrightarrow 00:15:10.440$  people are interested in how to reduce costs
- $276\ 00:15:10.440 --> 00:15:13.320$  by, of course they wanna improve,
- 277 00:15:13.320 --> 00:15:14.730 they wanna improve care quality
- $278\ 00:15:14.730 \dashrightarrow 00:15:19.083$  but cost effectiveness is a very important factor.
- 279 00:15:20.130 --> 00:15:21.570 So,
- $280\ 00:15:21.570 \longrightarrow 00:15:22.440$  and these analysis,
- $281\ 00:15:22.440 --> 00:15:25.389$  they basically combine all racial ethnic groups together
- $282\ 00:15:25.389 \longrightarrow 00:15:28.173$  without accounting for their heterogeneity.
- $283\ 00:15:30.540 \longrightarrow 00:15:32.975$  So this is an another example.
- $284\ 00:15:32.975 \longrightarrow 00:15:37.170$  So we basically look at the performance
- $285\ 00:15:37.170 \longrightarrow 00:15:41.463$  of Organ Procurement Organizations, OPOs.
- $286\ 00:15:42.360 \longrightarrow 00:15:43.620$  So we are interested
- $287\ 00:15:43.620 \longrightarrow 00:15:48.620$  in organization level transplantation rates.
- $288\ 00:15:48.900 \longrightarrow 00:15:51.273$  And we have data in 2020.
- 289 00:15:53.010 --> 00:15:54.960 So these are,
- $290~00{:}15{:}54.960 \dashrightarrow 00{:}15{:}59.400$  so on the y-axis we have the normalized OPO IDs,
- $291\ 00:16:02.504 --> 00:16:06.600$  and this is just like a three panels of caterpillar plots.
- 292 00:16:06.600 --> 00:16:11.600 And if we focus on a certain OPO, then,
- 293 00:16:12.180 --> 00:16:13.470 for example, in this panel,
- $294\ 00:16:13.470 \longrightarrow 00:16:16.200$  this is a panel for white patients.
- 295 00:16:16.200 --> 00:16:19.050 And if you look at this is,

- 296 00:16:19.050 --> 00:16:20.730 I know this is a little bit small,
- 297 00:16:20.730 --> 00:16:23.490 but this is OPO 30 and this,
- $298~00{:}16{:}23.490 \dashrightarrow 00{:}16{:}27.180$  the conference interval is above the national rate
- $299\ 00:16:27.180 \longrightarrow 00:16:28.620$  for white patients.
- $300~00:16:28.620 \longrightarrow 00:16:32.220$  So it's significantly better than the national average.
- 301 00:16:32.220 --> 00:16:36.900 But if you look at the this panel,
- $302~00{:}16{:}36.900 \dashrightarrow 00{:}16{:}39.510$  this is also OPO 30
- $303\ 00:16:39.510$  --> 00:16:43.800 and we have the confidence interval being lower
- $304\ 00:16:43.800 \longrightarrow 00:16:46.380$  than the national average for black patients.
- 305 00:16:46.380 --> 00:16:51.380 And this is a panel for Asian Americans
- $306\ 00:16:51.690 \longrightarrow 00:16:52.950$  and Pacific Islanders.
- $307\ 00:16:52.950 \longrightarrow 00:16:57.510$  We also have the same issue going on here for OPO 30.
- $308\ 00{:}16{:}57.510 \dashrightarrow 00{:}17{:}02.510$  So as you can see, there's definitely racial disparity here,
- $309\ 00:17:03.630$  --> 00:17:08.630 but this was never examined in those early programs.
- $310\ 00:17:10.590 \longrightarrow 00:17:14.610$  So this is an limitation of course.
- 311 00:17:14.610 --> 00:17:16.263 And the last one is,
- $312\ 00:17:17.220 \longrightarrow 00:17:19.890$  there is a lack of a unifying framework
- $313\ 00:17:19.890 --> 00:17:24.049$  to accommodate different provider profiling objectives
- $314\ 00:17:24.049 \longrightarrow 00:17:27.480$  and the different performance benchmarks.
- $315\ 00{:}17{:}27.480 \dashrightarrow 00{:}17{:}31.350$  I will give you like four different examples.
- $316\ 00:17:31.350 \longrightarrow 00:17:32.183$  The first one,
- 317 00:17:33.690 --> 00:17:36.810 I tried to make the notation very easy.
- $318\ 00:17:36.810 \longrightarrow 00:17:41.810$  So say we have a random-effects model here.
- $319\ 00:17:42.330 \longrightarrow 00:17:45.120$  We just consider a binary outcome.
- $320\ 00:17:45.120 \longrightarrow 00:17:46.860\ Y$  can be zero or one.
- $321\ 00:17:46.860 \longrightarrow 00:17:47.693$  Okay?

- $322\ 00{:}17{:}47.693 \dashrightarrow 00{:}17{:}51.660$  And we basically use the logistic regression, here.
- 323 00:17:51.660 --> 00:17:56.190 So this gamma i, it's a sum of two things.
- $324\ 00:17:56.190 \longrightarrow 00:17:58.230$  The first one is mu as the mean effect.
- $325\ 00:17:58.230 --> 00:18:02.583$  And the second one is ID normally distributed,
- 326 00:18:05.071 --> 00:18:06.510 a random variable, okay?
- $327\ 00:18:06.510 \longrightarrow 00:18:08.400$  And we can construct a type of,
- $328\ 00:18:08.400 \longrightarrow 00:18:10.410$  we call it standardized measure.
- 329 00:18:10.410 --> 00:18:12.990 It's Oi divided by Ei,
- $330\ 00:18:12.990 \longrightarrow 00:18:16.860\ O$  is just a sum of all those YIJs.
- 331 00:18:16.860 --> 00:18:19.230 And the Ei is the,
- 332 00:18:19.230 --> 00:18:22.770 basically the sig y function transformation
- $333\ 00:18:22.770 \longrightarrow 00:18:25.080$  of mu plus beta.
- 334 00:18:25.080 --> 00:18:26.610 Okay?
- 335 00:18:26.610 --> 00:18:29.700 So here, if you look at the model,
- $336\ 00:18:29.700 \longrightarrow 00:18:31.200$  we have gamma I here,
- $337\ 00:18:31.200 --> 00:18:35.490$  but when we calculate the expected number of events
- $338\ 00:18:35.490 \longrightarrow 00:18:39.033$  or outcomes, we replace this with the mean.
- 339 00:18:40.080 --> 00:18:40.913 Okay?
- $340\ 00:18:40.913 --> 00:18:43.740$  So this is the first example
- $341\ 00:18:43.740 \longrightarrow 00:18:45.690$  of course using random effects models.
- 342 00:18:45.690 --> 00:18:49.410 But if we look at the fixed effects model,
- $343\ 00:18:49.410 \longrightarrow 00:18:51.870$  we have the similar formulation here,
- 344 00:18:51.870 --> 00:18:53.880 but here because this is a fixed-effects model,
- $345~00:18:53.880 \longrightarrow 00:18:57.690$  gamma I is just unknown fixed effect, okay?
- $346\ 00:18:57.690 \longrightarrow 00:19:01.530$  And if we define gamma,
- $347\ 00:19:01.530 \longrightarrow 00:19:05.100$  start to be the median of gamma, this is a vector actually.
- $348\ 00:19:05.100 --> 00:19:08.160$  So it's a vector of vault fixed-effects.
- $349\ 00:19:08.160$  --> 00:19:12.480 Then this is basically the median of vault provider effects

- $350\ 00:19:12.480 \longrightarrow 00:19:13.710$  or fixed effects.
- $351\ 00:19:13.710 --> 00:19:16.980$  And so we can also construct this standardized measure.
- 352 00:19:16.980 --> 00:19:21.980 but this time, this E is defined as this,
- $353\ 00:19:22.410 \longrightarrow 00:19:26.410$  and this is gamma star.
- $354\ 00{:}19{:}26.410 \dashrightarrow 00{:}19{:}30.240$  So we basically use the median of all fixed effects
- $355\ 00:19:30.240 \longrightarrow 00:19:32.670$  to construct the standardized measure.
- $356\ 00:19:32.670 \longrightarrow 00:19:33.503$  Okay?
- $357~00{:}19{:}33.503 \dashrightarrow 00{:}19{:}35.850$  So now we have two cases.
- $358\ 00:19:35.850 \longrightarrow 00:19:39.300$  One is, okay, we use the, oops,
- $359\ 00:19:39.300 \longrightarrow 00:19:44.300$  we use mu, which is the mean of all provider effects,
- $360\ 00:19:44.430 --> 00:19:46.470$  although it's a random effects model.
- 361 00:19:46.470 --> 00:19:48.069 And,
- $362\ 00:19:48.069 \longrightarrow 00:19:53.069$  here we have median of all fixed provider effects, okay?
- $363\ 00:19:53.520 \longrightarrow 00:19:55.230$  So these are two cases,
- $364\ 00:19:55.230 \longrightarrow 00:19:58.380$  basically two types of models that have been used before.
- 365 00:19:58.380 --> 00:20:03.380 And next one is, and some causal papers,
- $366~00{:}20{:}04.020 \longrightarrow 00{:}20{:}08.610$  they can use a selected set of provider,
- $367\ 00:20:08.610 --> 00:20:10.637$  it could be a single provider,
- 368 00:20:10.637 --> 00:20:13.980 let's say, I'm a a hospital administrator,
- 369 00:20:13.980 --> 00:20:15.360 I wanna see, okay,
- $370\ 00{:}20{:}15.360 --> 00{:}20{:}19.050$  whether my hospital is performing better or worse
- $371\ 00:20:19.050 \longrightarrow 00:20:21.270$  than another hospital,
- $372\ 00{:}20{:}21.270 \dashrightarrow 00{:}20{:}25.050$  then of course I can use my hospital as the benchmark,
- $373\ 00:20:25.050 \longrightarrow 00:20:28.560$  as the reference and compare all other hospital
- 374 00:20:28.560 --> 00:20:30.090 with my hospital, okay?
- $375\ 00:20:30.090 \longrightarrow 00:20:31.950$  So this is the first case.

 $376\ 00{:}20{:}31.950 \dashrightarrow 00{:}20{:}35.880$  We can just choose a single hospital or provider

 $377\ 00:20:35.880 \longrightarrow 00:20:37.230$  as the benchmark.

 $378\ 00:20:37.230 \longrightarrow 00:20:41.910$  And the second case is we can group a few providers,

 $379\ 00{:}20{:}41.910 \dashrightarrow 00{:}20{:}45.480$  hospitals in the specific geographic region together

 $380\ 00{:}20{:}45.480 \dashrightarrow 00{:}20{:}48.750$  and to form a benchmark, this is also doable, okay?

 $381\ 00:20:48.750 \longrightarrow 00:20:53.280$  And it is actually used in the paper.

 $382\ 00:20:53.280 \longrightarrow 00:20:57.600$  The last one is, we can basically treat all hospitals,

383 00:20:57.600 --> 00:20:59.760 you can group all hospitals together

384 00:20:59.760 --> 00:21:02.070 into a large super hospital, of course,

 $385\ 00:21:02.070 \longrightarrow 00:21:05.520$  this is a hypothetical one but we can do that.

 $386\ 00:21:05.520 \longrightarrow 00:21:10.197$  And that is kind of like a national average thing, right?

 $387\ 00{:}21{:}10.197$  -->  $00{:}21{:}15.197$  These are all reasonable ways to define a benchmark.

 $388\ 00:21:17.460 \longrightarrow 00:21:19.470$  And there is the last one.

 $389\ 00{:}21{:}19.470 \dashrightarrow 00{:}21{:}22.800$  So the last one is kind of more like equity driven thing.

 $390\ 00:21:22.800 --> 00:21:25.620$  So we can form a benchmark such that say,

391 00:21:25.620 --> 00:21:27.053 okay, say,

392 00:21:27.053 --> 00:21:29.100 from the regulator's perspective,

 $393\ 00{:}21{:}29.100 \dashrightarrow 00{:}21{:}33.780$  we really wanna push hospitals to improve their performance

 $394\ 00:21:33.780 \longrightarrow 00:21:35.760$  for minority patients.

 $395~00{:}21{:}35.760 \dashrightarrow 00{:}21{:}40.760$  So say, we can set the benchmark to be something like,

396 00:21:41.100 --> 00:21:43.230 okay, for within the minority groups,

 $397\ 00{:}21{:}43.230 \dots > 00{:}21{:}48.230$  we can intentionally select patients with better outcomes.

 $398\ 00:21:48.426 --> 00:21:51.030$  We can make the proportion to be very large

- 399 00:21:51.030 --> 00:21:54.450 so that in the benchmark group,
- $400\ 00:21:54.450 --> 00:21:59.130$  we can have a very good performance for minority patients.
- 401 00:21:59.130 --> 00:22:02.880 And then black non-Hispanic patients.
- 402 00:22:02.880 --> 00:22:06.300 So this is kind of a equity driven thing.
- 403 00:22:06.300 --> 00:22:08.733 So as you can see, I give you like,
- $404\ 00:22:10.500 \longrightarrow 00:22:12.450$  at least the four examples.
- $405\ 00:22:12.450 \longrightarrow 00:22:15.420$  But these are scattered in the literature
- 406 00:22:15.420 --> 00:22:17.730 and there is no unifying framework
- $407\ 00:22:17.730 \longrightarrow 00:22:20.220$  to accommodate all of these cases.
- $408\ 00{:}22{:}20.220 \dashrightarrow 00{:}22{:}24.840$  But we actually can develop a general framework
- $409\ 00:22:24.840 \longrightarrow 00:22:26.396$  to accommodate all.
- $410\ 00:22:26.396 \longrightarrow 00:22:29.940$  I will give you the details later.
- 411 00:22:29.940 --> 00:22:31.653 So, all right,
- $412\ 00:22:33.510 \longrightarrow 00:22:36.390$  so the framework
- $413\ 00:22:36.390 \longrightarrow 00:22:39.960$  that we proposed is what we termed,
- 414 00:22:39.960 --> 00:22:42.570 a versatile deep learning provider profiling.
- $415\ 00{:}22{:}42.570 {\: -->\:} 00{:}22{:}47.570$  So we proposed a versatile or probabilistic framework
- 416 00:22:49.740 --> 00:22:51.900 based on the, so-called provider comparators,
- $417\ 00:22:51.900 \longrightarrow 00:22:55.740$  which is, you can name it as you know, provider comparator,
- 418 00:22:55.740 --> 00:22:58.050 hypothetical provider performance benchmark
- 419 00:22:58.050 --> 00:22:59.280 or population norm.
- $420\ 00:22:59.280 \longrightarrow 00:23:02.880$  These are all the same interchangeable terms.
- $421\ 00:23:02.880 \longrightarrow 00:23:04.020$  Okay?
- $422\ 00:23:04.020 \longrightarrow 00:23:05.610$  Here versatile means, okay,
- $423\ 00{:}23{:}05.610 \dashrightarrow 00{:}23{:}09.990$  we can use the framework to do a lot of different things.
- $424\ 00{:}23{:}09.990 \dashrightarrow 00{:}23{:}13.590$  So they are adaptable to different profiling objectives
- 425 00:23:13.590 --> 00:23:14.929 and contexts, okay?

- $426\ 00:23:14.929 \longrightarrow 00:23:18.330$  It's why we use the term versatile
- 427 00:23:18.330 --> 00:23:20.820 and here provider comparator,
- $428\ 00{:}23{:}20.820 \dashrightarrow 00{:}23{:}25.420$  which is defined to be a hypothetical reference provider
- $429\ 00:23:27.513 \longrightarrow 00:23:30.270$  that is corresponding to your profiling objective.
- 430 00:23:30.270 --> 00:23:32.280 So if you have a certain objective,
- $431\ 00:23:32.280 --> 00:23:36.630$  of course you can define your own hypothetical provider.
- 432 00:23:36.630 --> 00:23:39.150 And if you have a different objective,
- $433\ 00:23:39.150 \longrightarrow 00:23:41.670$  you can define another one, okay?
- 434 00:23:41.670 --> 00:23:44.520 And the deep learning thing comes
- 435 00:23:44.520 --> 00:23:48.660 into play because it is nice that,
- $436\ 00:23:48.660 \longrightarrow 00:23:51.046$  generally it relaxed the linearity assumption
- $437\ 00:23:51.046 --> 00:23:54.870$  in most existing portfolio models
- $438\ 00:23:54.870 \longrightarrow 00:23:57.930$  that relies heavily on linear this assumption.
- 439 00:23:57.930 --> 00:23:58.763 Okay?
- 440 00:24:00.030 --> 00:24:05.030 Alright, so this is slide of the basic setup
- $441\ 00:24:07.410 \longrightarrow 00:24:09.480$  of this new approach.
- $442\ 00:24:09.480 \longrightarrow 00:24:12.990$  So let's say we have a ID random sample
- $443\ 00:24:12.990 \longrightarrow 00:24:17.310$  with Y as the outcome,
- $444\ 00:24:17.310 --> 00:24:21.960$  and the Fi star is the provider identifier,
- 445 00:24:21.960 --> 00:24:26.043 and Zi is simply a vector of variants,
- $446\ 00{:}24{:}27.270 \dashrightarrow 00{:}24{:}31.593$  and they are one from a population Y, F star, Z.
- $447\ 00:24:37.955 \longrightarrow 00:24:39.720$  And we have the following assumptions
- $448\ 00:24:39.720 \longrightarrow 00:24:42.903$  that these two assumptions, one and two,
- $449\ 00:24:46.351 \longrightarrow 00:24:47.370$  so F star.
- 450 00:24:47.370 --> 00:24:51.992 So basically this script F star is the support
- 451 00:24:51.992 --> 00:24:56.315 of this provider identifier, F star.
- 452 00:24:56.315 --> 00:24:57.796 Okay?
- $453\ 00:24:57.796 \longrightarrow 00:25:02.796$  So we require that this report for any value

- 454 00:25:04.770 --> 00:25:06.840 that this F star can pay,
- $455\ 00:25:06.840 \longrightarrow 00:25:11.010$  we assume that the probability of F star equal
- 456 00:25:11.010 --> 00:25:12.810 to F is positive,
- 457 00:25:12.810 --> 00:25:14.820 which means that in the dataset,
- $458\ 00:25:14.820 \longrightarrow 00:25:19.020$  you can at least observe one patient from that provider.
- 459 00:25:19.020 --> 00:25:19.950 Okay?
- 460 00:25:19.950 --> 00:25:23.640 Say if this is zero, then basically it means,
- $461\ 00:25:23.640 \longrightarrow 00:25:27.307$  okay, we do not observe any patient from that provider,
- 462 00:25:27.307 --> 00:25:29.103 which is useless, right?
- $463\ 00:25:30.960 \longrightarrow 00:25:34.410$  So the second assumption is simply,
- $464\ 00:25:34.410 \longrightarrow 00:25:39.410$  okay, so this script F star includes all possible providers,
- $465\ 00:25:41.310 \longrightarrow 00:25:42.360$  we wanna evaluate.
- $466\ 00:25:42.360 \longrightarrow 00:25:45.180$  So basically this F star has to fall
- 467 00:25:45.180 --> 00:25:48.630 into this set of values, okay?
- $468\ 00:25:48.630 \longrightarrow 00:25:52.297$  So that's why it's the probability as equal to one.
- $469\ 00:25:52.297 \longrightarrow 00:25:53.130\ Okay?$
- $470\ 00:25:54.210 \longrightarrow 00:25:58.350$  So we have two important assumptions,
- $471\ 00:25:58.350 \longrightarrow 00:26:00.210$  regarding data generating mechanism.
- $472\ 00:26:00.210 \longrightarrow 00:26:02.820$  So the first one is basically the distribution
- $473\ 00:26:02.820 \longrightarrow 00:26:04.800$  of this F star.
- $474\ 00:26:04.800 \longrightarrow 00:26:09.800$  The provider identifier depends on covariate.
- 475 00:26:10.110 --> 00:26:14.070 And this is like, okay, so for a patient,
- 476 00:26:14.070 --> 00:26:17.130 say, I'm a patient, I wanna choose my provider,
- 477 00:26:17.130 --> 00:26:19.260 I wanna choose my hospital,
- 478 00:26:19.260 --> 00:26:21.150 my decision will largely based on,
- 479 00:26:21.150 --> 00:26:23.490 okay, what conditions I have,
- 480 00:26:23.490 --> 00:26:26.970 and what insurance I have, right?
- $481\ 00:26:26.970 --> 00:26:31.320$  And say what is the possible feasible set

- 482 00:26:31.320 --> 00:26:33.570 of hospitals I can choose from?
- 483 00:26:33.570 --> 00:26:34.403 Okay?
- $484\ 00:26:34.403 \longrightarrow 00:26:35.673$  So these are all covariates
- $485\ 00:26:35.673 \longrightarrow 00:26:37.350$  that we can include in the model.
- $486\ 00:26:37.350 --> 00:26:41.220$  So basically the F star is the distribution
- $487\ 00:26:41.220 \longrightarrow 00:26:44.910$  of a star depends on all those covariates
- $488\ 00:26:44.910 \longrightarrow 00:26:47.730$  which is reasonable assumption.
- $489\ 00:26:47.730 \longrightarrow 00:26:48.780$  The second one,
- 490 00:26:48.780 --> 00:26:50.910 the distribution of the outcome Y
- $491\ 00:26:50.910 \longrightarrow 00:26:54.360$  as a function of Z and F star,
- 492 00:26:54.360 --> 00:26:57.191 which means that, okay, the outcome,
- $493\ 00{:}26{:}57.191 \dashrightarrow 00{:}27{:}02.191$  if I go to the hospital and say I have a certain disease
- $494\ 00:27:03.150 \longrightarrow 00:27:08.150$  and I got a treatment and whether I feel better
- 495 00:27:08.280 --> 00:27:09.990 or not really depends on, okay,
- 496 00:27:09.990 --> 00:27:11.910 of course, depends on my conditions,
- $497\ 00:27:11.910 \longrightarrow 00:27:15.873$  and also depends on which hospitals I went to, right?
- $498\ 00:27:17.100 \longrightarrow 00:27:20.310$  So the distribution is denoted
- $499\ 00:27:20.310 \longrightarrow 00:27:24.870$  as pi, y, given Z and F star.
- $500\ 00:27:24.870 \longrightarrow 00:27:26.340$  Okay?
- $501~00{:}27{:}26.340 \dashrightarrow 00{:}27{:}30.550$  So basically these two assumptions gives us the,
- $502\ 00:27:30.550 \longrightarrow 00:27:35.010$  basically the basic setting for a patient who is looking
- $503\ 00:27:35.010 \longrightarrow 00:27:39.783$  for care to improve their conditions.
- $504~00{:}27{:}42.450 \dashrightarrow 00{:}27{:}47.450$  So the main idea in this new framework is reclassification.
- 505 00:27:47.910 --> 00:27:48.743 So basically,
- $506~00{:}27{:}48.743 \dashrightarrow 00{:}27{:}53.743$  we wanna construct a hypothetical provider comparator
- $507\ 00:27:53.970 \longrightarrow 00:27:55.950$  as a performance benchmark

- $508\ 00:27:55.950 \longrightarrow 00:28:00.950$  that is corresponding to our specific profiling objective.
- 509 00:28:01.363 --> 00:28:02.196 Okay?
- 510 00:28:02.196 --> 00:28:05.880 So reclassification here means that we wanna,
- $511\ 00:28:05.880 \longrightarrow 00:28:10.680$  we reclassify subjects from existing providers
- $512\ 00:28:10.680 \longrightarrow 00:28:12.900$  into a hypothetical one
- $513\ 00:28:12.900 \longrightarrow 00:28:15.270$  following a certain probability distribution.
- 514 00:28:15.270 --> 00:28:16.110 Okay?
- 515 00:28:16.110 --> 00:28:18.930 To do this, we introduced a random indicator,
- 516 00:28:18.930 --> 00:28:20.790 it's just a 0, 1.
- 517 00:28:20.790 --> 00:28:23.650 Which we termed reclassifier.
- $518\ 00:28:23.650 \longrightarrow 00:28:26.400$  This reclassifier is equal to 0.
- $519\ 00:28:26.400 \longrightarrow 00:28:27.840$  Here it is kind of different.
- $520\ 00:28:27.840 \longrightarrow 00:28:30.994$  So reclassifier is equal to zero.
- $521\ 00:28:30.994 \longrightarrow 00:28:33.446$  When the subject is reclassified
- 522 00:28:33.446 --> 00:28:35.053 into the hypothetical provider,
- $523~00{:}28{:}35.053 \dashrightarrow 00{:}28{:}39.326$  if it is equal to one, then the subject is not reclassified.
- 524~00:28:39.326 --> 00:28:43.826 So the patient stays in their original provider, okay?
- 525 00:28:46.590 --> 00:28:50.610 And with this reclassified redefined, F,
- $526\ 00:28:50.610 --> 00:28:52.953$  so F is different from F star.
- $527\ 00:28:53.850 \longrightarrow 00:28:57.180$  So F is defined as the product of R,
- $528\ 00:28:57.180 --> 00:28:59.250$  basically R times F star.
- 529 00:28:59.250 --> 00:29:04.250 And we basically add a singleton to this F script F star.
- $530\ 00:29:05.910 \longrightarrow 00:29:09.387$  So now we can see, okay,
- 531 00:29:09.387 --> 00:29:13.230 so whatever providers we have originally,
- 532 00:29:13.230 --> 00:29:16.320 now we add a single hypothetical provider
- 533 00:29:16.320 --> 00:29:21.300 and we provide the provider indicator,
- $534\ 00:29:21.300 \longrightarrow 00:29:23.310$  we fix that as zero.
- $535\ 00:29:23.310 \longrightarrow 00:29:25.770$  So zero is the hypothetical one.

- $536\ 00:29:25.770 \longrightarrow 00:29:29.430$  So now this F can take values,
- 537 00:29:29.430 --> 00:29:31.350 importantly, it can take whatever values
- $538\ 00:29:31.350 \longrightarrow 00:29:33.870$  from the original script F
- $539\ 00:29:33.870 \longrightarrow 00:29:37.320$  but now it can also take values
- $540\ 00:29:37.320 \longrightarrow 00:29:40.020$  to take the value zero, right?
- $541\ 00:29:40.020 \longrightarrow 00:29:42.840$  So basically this R is used
- $542\ 00{:}29{:}42.840 --> 00{:}29{:}46.290$  to manipulate a subject's provider membership.
- $543~00:29:46.290 \dashrightarrow 00:29:51.290$  So, a subject from a provider F star equal to F.
- 544 00:29:53.850 --> 00:29:55.170 So here in this case,
- 545~00:29:55.170 --> 00:29:58.590 because it's F star, it cannot be equal to zero, right?
- $546\ 00:29:58.590 --> 00:30:00.660$  So we wanna reclassify patients
- 547 00:30:00.660 --> 00:30:03.750 from a certain existing real provider
- 548 00:30:03.750 --> 00:30:05.793 to that hypothetical provider.
- $549\ 00:30:07.172 --> 00:30:09.960$  You know, this F is equal to zero.
- $550\ 00:30:09.960 \longrightarrow 00:30:13.761$  So this is a new provider membership for that patient, okay?
- 551 00:30:13.761 --> 00:30:15.810 But if R is equal to zero,
- $552\ 00:30:15.810 \longrightarrow 00:30:19.890$  then the patient stays in that original hospital.
- $553\ 00:30:19.890 \longrightarrow 00:30:20.723\ Okay?$
- 554 00:30:22.230 --> 00:30:23.280 Alright.
- $555\ 00:30:23.280 --> 00:30:24.900$  We have additional two assumptions
- $556\ 00:30:24.900 \longrightarrow 00:30:28.770$  regarding this reclassification thing.
- $557\ 00{:}30{:}28.770 \dashrightarrow 00{:}30{:}33.770$  So the first one is for any provider, real provider,
- $558\ 00:30:35.070 \longrightarrow 00:30:38.400$  we have this probability, being less than one.
- $559\ 00:30:38.400 \longrightarrow 00:30:40.140$  This means that, okay,
- $560\ 00:30:40.140 \longrightarrow 00:30:44.340$  so given a set of covariates and given
- $561\ 00:30:44.340 \longrightarrow 00:30:48.993$  that the patient is in a certain provider,
- $562\ 00:30:48.993 --> 00:30:52.740$  then the patient being reclassified

- 563 00:30:52.740 --> 00:30:55.560 into the new hypothetical provider,
- 564 00:30:55.560 --> 00:30:57.900 the probability is less than one,
- $565~00{:}30{:}57.900 \dashrightarrow 00{:}31{:}02.900$  which means that we should keep at least a few patients
- $566\ 00:31:03.240 \longrightarrow 00:31:05.040$  in their original provider
- $567~00{:}31{:}05.040 \dashrightarrow 00{:}31{:}09.750$  so that we can still evaluate the outcome distributions
- 568 00:31:09.750 --> 00:31:11.673 of the original provider, okay?
- 569 00:31:13.298 --> 00:31:15.030 And this actually,
- $570\ 00:31:15.030 --> 00:31:18.543$  if you do some, a simple algebra,
- $571\ 00:31:20.292 \longrightarrow 00:31:23.490$  we can show that basically this implies that,
- $572~00{:}31{:}23.490 \dashrightarrow 00{:}31{:}25.560$  I mean this, we can basically drop this condition
- $573\ 00:31:25.560 --> 00:31:27.840$  because if you do the sum
- 574 00:31:27.840 --> 00:31:31.260 of the conditional probability thing,
- 575 00:31:31.260 --> 00:31:33.000 you can basically drop this condition
- $576\ 00:31:33.000 \longrightarrow 00:31:34.830$  and this actually holds.
- 577 00:31:34.830 --> 00:31:38.130 So it's like, okay, no matter which hospital,
- $578\ 00:31:38.130 \longrightarrow 00:31:42.030$  no matter which provider the patient is in currently,
- $579\ 00:31:42.030 \longrightarrow 00:31:43.650$  the probability that the patient
- $580\ 00:31:43.650 --> 00:31:46.020$  will be reclassified is less than one.
- 581 00:31:46.020 --> 00:31:49.920 So not all patients will be reclassified, right?
- $582\ 00:31:49.920 \longrightarrow 00:31:52.080$  And this is the second condition.
- 583 00:31:52.080 --> 00:31:55.733 So combining these two, basically, okay,
- $584\ 00:31:58.170 \longrightarrow 00:32:01.740$  so basically not all patients can be reclassified
- $585~00:32:01.740 \dashrightarrow 00:32:05.603$  or also all patients cannot be living
- $586\ 00:32:07.920 \longrightarrow 00:32:10.020$  in their original providers.
- $587\ 00:32:10.020 \longrightarrow 00:32:14.580$  Basically we require that, okay, each patient can,
- $588\ 00:32:14.580 \longrightarrow 00:32:16.830$  so we should have
- 589 00:32:16.830 --> 00:32:19.920 at least a few patients who are remaining

- $590~00:32:19.920 \dashrightarrow 00:32:22.020$  in their original hospitals so that we can evaluate
- $591\ 00:32:22.020 --> 00:32:24.600$  their original outcome distributions.
- $592\ 00:32:24.600 \longrightarrow 00:32:28.290$  And also we need a, of course characterize the distribution,
- $593\ 00:32:28.290 \longrightarrow 00:32:31.410$  that hypothetical reference provider.
- 594 00:32:31.410 --> 00:32:32.243 Okay?
- 595 00:32:33.360 --> 00:32:34.380 Alright.
- $596\ 00:32:34.380 \longrightarrow 00:32:37.793$  Then the last assumption is,
- 597~00:32:37.793 --> 00:32:40.230 this is kind of an interesting setting.
- 598 00:32:40.230 --> 00:32:43.830 So rather than observing the original data,
- 599 00:32:43.830 --> 00:32:48.213 Y, F star, Z, we can only observe this set.
- 600 00:32:51.540 --> 00:32:56.513 So it's R, Y, F, Z, this tuple.
- $601\ 00:32:58.810 \longrightarrow 00:33:02.010$  So the big difference between these two is,
- $602\ 00:33:02.010 \longrightarrow 00:33:05.370$  for this one, we know exactly for every patient,
- $603\ 00:33:05.370 \longrightarrow 00:33:08.040$  we know exactly where they're from,
- $604\ 00:33:08.040 \longrightarrow 00:33:11.040$  which provider they are in.
- $605\ 00:33:11.040 \longrightarrow 00:33:15.170$  But for the this one, say if R is equal to 0,
- $606\ 00:33:16.582 \longrightarrow 00:33:18.270$  F is automatically 0
- $607\ 00:33:18.270 --> 00:33:20.913$  because F is defined as R times F star.
- 608 00:33:21.780 --> 00:33:23.400 So for those patients,
- $609\ 00{:}33{:}23.400 \dashrightarrow 00{:}33{:}26.673$  we actually don't know where they come from, right?
- $610\ 00:33:27.510 \longrightarrow 00:33:30.510$  But here we assume
- $611\ 00{:}33{:}30.510 \dashrightarrow 00{:}33{:}34.680$  that we can only observe post-reclassification data.
- $612\ 00:33:34.680 \longrightarrow 00:33:37.200$  And this actually is nice,
- $613\ 00{:}33{:}37.200 {\: \hbox{--}}{>}\ 00{:}33{:}42.200 {\: \hbox{I}}$  mean this is not always necessary in the practice,
- $614\ 00:33:42.300 \longrightarrow 00:33:45.480$  but this assumption actually helps,
- $615\ 00:33:45.480 --> 00:33:49.500$  facilitates the implementation
- 616 00:33:49.500 --> 00:33:52.830 of some certain privacy preserving protocols

- $617\ 00:33:52.830 \longrightarrow 00:33:54.000$  and data security protocols.
- 618 00:33:54.000 --> 00:33:56.193 If say, okay, we don't want the,
- $619\ 00{:}33{:}57.300$  -->  $00{:}34{:}00.540$  because of certain powerful influential providers
- $620\ 00:34:00.540 \longrightarrow 00:34:05.100$  can actually have a strong influence
- $621\ 00:34:05.100 \longrightarrow 00:34:06.660$  in policy making.
- 622 00:34:06.660 --> 00:34:10.560 So, because this is capped like confidential,
- 623 00:34:10.560 --> 00:34:14.010 so they actually don't know how we design,
- $624\ 00:34:14.010 \longrightarrow 00:34:17.610$  how we choose the re-classification scheme.
- $625~00{:}34{:}17.610 \dashrightarrow 00{:}34{:}22.610$  So it can help reduce some unwarranted inference
- $626\ 00:34:24.930 \longrightarrow 00:34:28.800$  from those very powerful stakeholders.
- $627\ 00:34:28.800 \longrightarrow 00:34:31.530$  So this is a nice setting,
- 628 00:34:31.530 --> 00:34:34.563 but it doesn't have to be like this in reality.
- 629 00:34:36.120 --> 00:34:40.830 Alright, so now we have four assumptions,
- $630\ 00:34:40.830 \longrightarrow 00:34:41.760$  important assumptions
- 631 00:34:41.760 --> 00:34:43.920 to regarding the data generating mechanism
- $632\ 00:34:43.920 \longrightarrow 00:34:47.670$  and to regarding the reclassification scheme.
- $633\ 00:34:47.670 \longrightarrow 00:34:52.670$  So, the ultimate goals of profiling is
- 634 00:34:54.180 --> 00:34:56.670 to first to evaluate all providers,
- 635 00:34:56.670 --> 00:34:58.953 and then we wanna identify goals,
- $636\ 00:35:00.270 \longrightarrow 00:35:02.760$  especially with very bad performance
- $637\ 00:35:02.760 \longrightarrow 00:35:06.750$  and we can take additional actions
- $638\ 00:35:06.750 \longrightarrow 00:35:08.943$  and so we can, you know,
- $639\ 00:35:09.870 \longrightarrow 00:35:11.880$  improve their performance in certain way.
- 640 00:35:11.880 --> 00:35:12.713 Okay?
- 641 00:35:12.713 --> 00:35:13.920 But yeah,
- 642 00:35:13.920 --> 00:35:17.583 so this quantitatively or mathematically,
- $643\ 00:35:20.314 \longrightarrow 00:35:22.140$  we have the two overarching goals.
- $644\ 00:35:22.140 \longrightarrow 00:35:24.450$  The first one is to harness,
- 645 00:35:24.450 --> 00:35:28.830 to use the post reclassification data,

- $646\ 00:35:28.830 \longrightarrow 00:35:32.890$  to contrast the distribution of each existing
- $647\ 00:35:35.360 \longrightarrow 00:35:36.960$  or real provider.
- $648\ 00:35:36.960 \longrightarrow 00:35:41.493$  F star was the newly defined reference group.
- $649\ 00:35:42.450 \longrightarrow 00:35:43.560$  So we wanna compare,
- $650\ 00{:}35{:}43.560 {\: \hbox{--}}{>}\ 00{:}35{:}46.950$  basically, compare the distribution of these two groups.
- $651\ 00:35:46.950 \longrightarrow 00:35:48.300\ I$  mean each of them
- 652 00:35:48.300 --> 00:35:50.850 because we have so many real providers,
- $653\ 00:35:50.850 \longrightarrow 00:35:53.790$  and we only have a single hypothetical provider, okay?
- $654~00{:}35{:}53.790 \dashrightarrow 00{:}35{:}56.940$  We wanna compare them, we wanna do contrasts.
- $655\ 00:35:56.940 \longrightarrow 00:35:58.830$  And of course the second goal is
- $656\ 00:35:58.830 \longrightarrow 00:36:03.830$  to identify those providers with very bad performance.
- 657 00:36:06.420 --> 00:36:07.253 All right,
- $658\ 00:36:08.400 \longrightarrow 00:36:09.933$  so, this actually,
- $659\ 00:36:14.040$  --> 00:36:16.890 because we introduced this hypothetical provider,
- $660\ 00:36:16.890 \longrightarrow 00:36:18.600$  this is really nice actually.
- $661\ 00:36:18.600 \longrightarrow 00:36:23.600$  But there is a difficult issue here
- $662\ 00{:}36{:}23.670 \dashrightarrow 00{:}36{:}27.967$  because we introduced this hypothetical provider,
- $663\ 00:36:29.850 \longrightarrow 00:36:31.950$  we actually have to account for
- $664\ 00:36:31.950 \longrightarrow 00:36:35.070$  or address reclassification dues to bias.
- $665\ 00:36:35.070 \longrightarrow 00:36:39.240$  So the details are in this proposition.
- $666~00{:}36{:}39.240 \dashrightarrow 00{:}36{:}42.510$  So let's assume that those four assumptions hold
- $667~00{:}36{:}42.510 \dashrightarrow 00{:}36{:}47.327$  and the distribution of the outcome given Z and this F,
- $668\ 00:36:50.070 \longrightarrow 00:36:52.713$  F is the newly defined provider indicator.
- $669\ 00{:}36{:}53.850 \dashrightarrow 00{:}36{:}58.200$  We can actually write the outcome distribution,
- $670\ 00:36:58.200 \longrightarrow 00:36:59.490$  like in two cases.

- $671\ 00:36:59.490 \longrightarrow 00:37:01.468$  So when F is equal to 0,
- 672 00:37:01.468 --> 00:37:04.748 this is corresponding to the reference,
- $673\ 00:37:04.748 \longrightarrow 00:37:06.502$  the hypothetical provider.
- $674\ 00:37:06.502 \longrightarrow 00:37:09.169$  So this is actually the average,
- $675\ 00{:}37{:}13.609 \dashrightarrow 00{:}37{:}17.859$  you can consider as the distribution of the outcome
- 676 00:37:20.760 --> 00:37:22.080 basically for all patient.
- $677\ 00:37:22.080 \longrightarrow 00:37:24.903$  If you group all patients together into a single group,
- $678\ 00:37:24.903 \longrightarrow 00:37:28.440$  this is basically the distribution of that group.
- 679 00:37:28.440 --> 00:37:29.273 Okay?
- $680\ 00:37:29.273 \longrightarrow 00:37:31.470$  But we have this term here,
- $681\ 00:37:31.470 \longrightarrow 00:37:34.410$  and this is not necessarily equal to 1,
- 682 00:37:34.410 --> 00:37:37.920 F is equal to 1 then it's very simple,
- $683\ 00:37:37.920 \longrightarrow 00:37:42.920$  but it could be unequal to 1.
- $684\ 00:37:43.290 --> 00:37:47.970$  And also in the second case when F is not equal to 0,
- $685\ 00{:}37{:}47.970 \dashrightarrow 00{:}37{:}51.663$  which means that okay, for those existing providers,
- $686\ 00:37:52.740 \longrightarrow 00:37:55.830$  their distribution also changes because you basically,
- $687\ 00:37:55.830 \longrightarrow 00:37:59.490$  you move a few patients to the new provider.
- $688\ 00:37:59.490 \longrightarrow 00:38:02.490$  So the original distribution changes, right?
- $689\ 00{:}38{:}02.490 \dashrightarrow 00{:}38{:}05.880$  And because we cannot observe this by assumption.
- $690\ 00{:}38{:}05.880 \dashrightarrow 00{:}38{:}09.900$  So this is basically the observed outcome distribution
- $691\ 00:38:09.900 --> 00:38:11.490$  for existing providers.
- 692 00:38:11.490 --> 00:38:13.620 But according, as you can see here,
- $693\ 00:38:13.620 \longrightarrow 00:38:14.640$  it's a bias distribution.
- 694 00:38:14.640 --> 00:38:16.770 It's no longer the original one, right?
- 695 00:38:16.770 --> 00:38:18.060 Because this ratio, again,
- 696 00:38:18.060 --> 00:38:20.793 it is not necessarily equal to 1, okay?

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697 00:38:22.320 --> 00:38:23.153 Right?
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 $698\ 00:38:23.153 \longrightarrow 00:38:25.629$  So as I said,

 $699\ 00:38:25.629 \longrightarrow 00:38:28.920$  you can consider this as the average distribution,

 $700\ 00:38:28.920 --> 00:38:30.960$  basically as the outcome distribution

701 00:38:30.960 --> 00:38:33.150 of the whole patient population, okay?

 $702\ 00:38:33.150 \longrightarrow 00:38:38.150$  So of course you can write it as a sum of the,

703 00:38:38.700 --> 00:38:40.863 you know, weighted probabilities.

 $704\ 00:38:42.390 \longrightarrow 00:38:46.080$  So the weight being the probability provider membership,

705~00:38:46.080 --> 00:38:50.280 and this is basically, okay, within this certain provider,

 $706\ 00:38:50.280 \longrightarrow 00:38:52.830$  what does the outcome distribution look like?

707 00:38:52.830 --> 00:38:56.043 Okay. All right.

 $708\ 00:38:57.600 \longrightarrow 00:38:59.013$  So a few things.

709 00:39:02.670 --> 00:39:06.030 This proposition basically outlines a,

 $710\ 00:39:06.030 \longrightarrow 00:39:08.130$  what we call design based approach

711 00:39:08.130 --> 00:39:11.910 to provider profiling, basically, okay.

712 00:39:11.910 --> 00:39:12.903 So,

713 00:39:14.430 --> 00:39:17.130 I actually, I mentioned this early,

 $714\ 00:39:17.130 \longrightarrow 00:39:19.830$  in profiling there are a few different parties.

 $715\ 00:39:19.830 \longrightarrow 00:39:22.740$  The first one is regulars

716 00:39:22.740 --> 00:39:25.080 who initiated the profiling process

 $717\ 00:39:25.080 \longrightarrow 00:39:25.950$  because they are interested

 $718\ 00:39:25.950 \longrightarrow 00:39:28.200$  in the performance of these providers.

719 00:39:28.200 --> 00:39:30.570 And also we have profilers,

 $720\ 00:39:30.570 \longrightarrow 00:39:33.330$  which basically evaluates the performance,

721 00:39:33.330 --> 00:39:36.390 but they don't have to be the same as regulators.

722 00:39:36.390 --> 00:39:37.740 And also we have of course,

 $723\ 00:39:37.740 \longrightarrow 00:39:41.550$  providers who are the subject of evaluation

 $724\ 00:39:41.550 \dashrightarrow 00:39:43.950$  and we also have patient who need the information

725 00:39:43.950 --> 00:39:45.840 to make their decision, okay?

 $726\ 00:39:45.840 \longrightarrow 00:39:47.220$  So the design-based approach

727 00:39:47.220 --> 00:39:51.150 basically tell us that, okay, so, for regulators,

 $728\ 00:39:51.150 \longrightarrow 00:39:53.280$  they can basically lead the development

 $729\ 00:39:53.280 \longrightarrow 00:39:56.790$  of a reclassification scene because in this framework,

 $730\ 00:39:56.790 \longrightarrow 00:39:59.460$  we never say what the distribution,

731 00:39:59.460 --> 00:40:02.100 say, what this looks like, where, right?

 $732\ 00:40:02.100 \longrightarrow 00:40:05.370$  So this is a very general specification

 $733\ 00:40:05.370 \longrightarrow 00:40:08.430$  and we only made that four assumptions,

 $734\ 00:40:08.430 \longrightarrow 00:40:12.150$  but we don't have any distributional assumption here.

 $735\ 00:40:12.150 \longrightarrow 00:40:15.270$  So we can make it very general.

 $736\ 00:40:15.270 \longrightarrow 00:40:18.870$  And so in this framework,

 $737\ 00{:}40{:}18.870 \dashrightarrow 00{:}40{:}23.580$  regulators will get more involved in this process.

 $738\ 00:40:23.580 \longrightarrow 00:40:25.350$  So that's why they can

 $739\ 00:40:25.350 \longrightarrow 00:40:30.000$  basically design the reclassification scheme

 $740\ 00:40:30.000 \longrightarrow 00:40:33.303$  based on their specific objectives, okay?

741 00:40:34.650 --> 00:40:35.483 Alright.

 $742\ 00:40:35.483 \longrightarrow 00:40:40.483$  So, and given a specific reclassification scheme,

 $743\ 00:40:40.500 \longrightarrow 00:40:44.550$  of course they can design their own reference group,

 $744\ 00:40:44.550 \longrightarrow 00:40:47.160$  their hypothetical providers

745 00:40:47.160 --> 00:40:51.900 and having defined this hypothetical provider,

 $746\ 00{:}40{:}51.900 \dashrightarrow 00{:}40{:}56.350$  profilers of course can use post the reclassification data

 $747\ 00:41:00.090 \longrightarrow 00:41:01.230$  and also the dependence.

748 00:41:01.230 --> 00:41:03.240 Because here, as you can see here,

749 00:41:03.240 --> 00:41:04.890 this R actually depends on Y,

 $750\ 00:41:04.890 --> 00:41:06.390$  depends on the outcome covariate

- $751\ 00:41:06.390 \longrightarrow 00:41:09.870$  and the provider identification.
- 752 00:41:09.870 --> 00:41:12.337 So using this information
- 753 00:41:16.350 --> 00:41:18.633 and also the post reclassification data,
- 754 00:41:19.620 --> 00:41:23.250 profilers that can actually do the profiling
- $755\ 00:41:23.250 \longrightarrow 00:41:26.070$  and we can use the framework
- 756 00:41:26.070 --> 00:41:29.310 to estimate the probabilities reclassification,
- $757\ 00:41:29.310 --> 00:41:32.550$  which is also the propensity scores actually.
- $758\ 00:41:32.550 \longrightarrow 00:41:34.900$  So the next step would be
- $759\ 00:41:38.790 --> 00:41:40.830$  to use the estimated propensity scores
- $760\ 00:41:40.830 \longrightarrow 00:41:45.270$  to correct for reclassification induced bias.
- 761 00:41:45.270 --> 00:41:50.270 And then we can basically construct the distribution
- 762 00:41:51.390 --> 00:41:55.470 of the hypothetical provider with the distribution
- 763 00:41:55.470 --> 00:41:58.173 of the existing provider, okay?
- $764\ 00:41:59.970 \longrightarrow 00:42:01.020$  Alright.
- 765 00:42:01.020 --> 00:42:05.490 So as sketched in the previous slide,
- $766\ 00:42:05.490 \longrightarrow 00:42:07.410$  there are a few important things
- $767\ 00:42:07.410 --> 00:42:11.070$  or advantages of the design-based approach.
- 768 00:42:11.070 --> 00:42:12.570 So this approach actually,
- $769\ 00:42:12.570 \longrightarrow 00:42:14.160$  in this framework,
- $770\ 00:42:14.160 --> 00:42:18.633$  providers can be more involved in this framework.
- 771 00:42:21.060 --> 00:42:21.893 And,
- $772\ 00:42:23.730 \longrightarrow 00:42:28.020$  so we can use the profiling result,
- $773\ 00:42:28.020 --> 00:42:30.310$  from this new approach can be more relevant
- $774\ 00:42:31.320 \longrightarrow 00:42:32.730$  to what people are interested
- 775 00:42:32.730 --> 00:42:37.083 in the care decision making process, okay?
- 776 00:42:37.970 --> 00:42:42.721 So, I think I'm a bit over time,
- 777 00:42:42.721 --> 00:42:47.721 but I wanna quickly skim through a few examples.
- 778 00:42:47.760 --> 00:42:51.030 But these examples are basically,

 $779\ 00:42:51.030 \longrightarrow 00:42:53.610$  we need a few assumptions like

 $780\ 00:42:53.610 \longrightarrow 00:42:57.843$  whether the reclassifier is depending on the outcome.

781 00:42:59.790 --> 00:43:02.190 so in this example, it's very simple.

 $782\ 00{:}43{:}02.190 \dashrightarrow 00{:}43{:}07.190$  Basically the reclassifier is independent of everything.

783 00:43:07.500 --> 00:43:08.640 So,

 $784\ 00:43:08.640 --> 00:43:11.520$  actually this reduces to the most simple case.

 $785\ 00{:}43{:}11.520 \dashrightarrow 00{:}43{:}15.330$  So nothing changes actually after reclassification,

 $786\ 00:43:15.330 --> 00:43:20.023$  but this is an example about the setting.

 $787\ 00:43:21.360 \longrightarrow 00:43:25.833$  And we also have like a few non-dependent settings.

788 00:43:27.300 --> 00:43:32.220 This R can depend on F star and given F star,

 $789\ 00:43:32.220 \longrightarrow 00:43:34.830$  it can be independent with Y.

 $790\ 00:43:34.830 \longrightarrow 00:43:36.600$  And we also have some examples,

791 00:43:36.600 --> 00:43:39.420 this is called equal rate representation.

 $792\ 00:43:39.420 --> 00:43:41.850$  We also have singular representation,

793 00:43:41.850 --> 00:43:42.900 basically the setting

 $794\ 00:43:42.900 \longrightarrow 00:43:45.130$  where we only choose a single provider

 $795\ 00:43:46.956 \longrightarrow 00:43:48.540$  and we also have the case

796 00:43:48.540 --> 00:43:53.540 where R actually depends on Y, the outcome.

 $797\ 00:43:54.270 \longrightarrow 00:43:56.430$  So we can basically choose the outcome,

 $798\ 00:43:56.430 \longrightarrow 00:44:01.430$  sorry, we can choose patients based on the outcome.

799 00:44:02.280 --> 00:44:04.050 And I also give an example,

800 00:44:04.050 --> 00:44:05.880 this is actually an interesting example,

 $801~00{:}44{:}05.880 \to 00{:}44{:}09.600$  but seems like we don't have enough time today.

 $802~00{:}44{:}09.600 \dashrightarrow 00{:}44{:}13.470$  So this is the most general case where R is allowed

 $803\ 00:44:13.470 \longrightarrow 00:44:17.880$  to depend on F and also Y.

 $804\ 00:44:17.880 --> 00:44:19.740$  So we don't have independence anymore,

- 805 00:44:19.740 --> 00:44:21.810 but unfortunately this case,
- $806\ 00:44:21.810 \longrightarrow 00:44:25.830$  we have the unidentifiability issue.
- $807\ 00:44:25.830 \longrightarrow 00:44:27.210$  So this case won't work
- $808\ 00{:}44{:}27.210 \dashrightarrow 00{:}44{:}29.643$  under the post-reclassification data assumption.
- 809 00:44:30.840 --> 00:44:34.803 So we actually developed a framework,
- $810\ 00:44:37.560 \longrightarrow 00:44:40.530$  we looked at the deep learning methods
- $811\ 00:44:40.530 --> 00:44:44.220$  and the singular representation case.
- $812\ 00:44:44.220 --> 00:44:46.710$  And this is a relatively simple framework.
- 813 00:44:46.710 --> 00:44:50.430 We only consider exponential distribution.
- $814\ 00:44:50.430 \longrightarrow 00:44:51.263$  I mean the outcome
- $815\ 00:44:51.263 \longrightarrow 00:44:54.280$  involves the exponential family distribution
- $816\ 00:44:56.100 \longrightarrow 00:44:59.193$  and we construct a neural network model.
- $817\ 00:45:00.810 \longrightarrow 00:45:02.277$  So we have the input layer
- $818\ 00:45:02.277 --> 00:45:05.490$  and the fully connected hidden layers and the outcome layer,
- $819\ 00{:}45{:}05.490 \dashrightarrow 00{:}45{:}10.490$  and we use stratify sampling based optimization algorithm.
- 820 00:45:11.070 --> 00:45:14.490 Here, I will skip the detail.
- $821\ 00:45:14.490 --> 00:45:19.380$  And we developed a exact test based outcome distribution,
- $822\ 00{:}45{:}19.380 {\: --> \:} 00{:}45{:}24.380$  exact test based approach to identify outlined performers.
- 823 00:45:25.410 --> 00:45:26.520 Okay?
- $824\ 00:45:26.520 \longrightarrow 00:45:29.010$  And this is basically the motivation
- $825\ 00:45:29.010$  --> 00:45:32.490 why we need deep learning here, because simply speaking,
- $826~00{:}45{:}32.490 \dashrightarrow 00{:}45{:}35.700$  the covid effect is not constant over calendar time
- 827 00:45:35.700 --> 00:45:39.060 and we have to easily account for that
- 828 00:45:39.060 --> 00:45:40.380 while doing profiling,
- $829\ 00:45:40.380 \longrightarrow 00:45:43.023$  but the effect itself is not of interest.
- $830\ 00:45:47.677 \longrightarrow 00:45:50.793$  Basically a visualization of the profile results.

- 831  $00:45:52.920 \longrightarrow 00:45:55.593$  So here we construct the,
- $832\ 00:45:57.000 --> 00:46:01.350$  we construct what we call the funnel plot here.
- $833\ 00:46:01.350 \longrightarrow 00:46:05.520$  So the benchmark, the reference, the indicator,
- $834\ 00:46:05.520 \longrightarrow 00:46:09.180$  we use is again Oi divided by Ei
- $835\ 00{:}46{:}09.180$  -->  $00{:}46{:}14.180$  and Ei and defined where this one is the median.
- 836 00:46:14.280 --> 00:46:18.330 And this is actually the neural network part.
- $837\ 00:46:18.330 \longrightarrow 00:46:21.750$  And we have the funnel plots.
- 838 00:46:21.750 --> 00:46:25.470 So those dots represent providers, okay?
- 839  $00:46:25.470 \longrightarrow 00:46:27.483$  So because this, I mean,
- 840 00:46:28.641 --> 00:46:30.560 the higher, the worse the performance,
- $841\ 00:46:30.560 \longrightarrow 00:46:32.280$  the lower, the better the performance.
- $842\ 00{:}46{:}32.280 \dashrightarrow 00{:}46{:}36.933$  So these blue dots here are actually better performers.
- $843\ 00:46:37.920 \longrightarrow 00:46:42.202$  So as you can see, if you add these two supporters up,
- $844\ 00:46:42.202 \longrightarrow 00:46:44.423$  this is like over 20%,
- 845 00:46:47.010 --> 00:46:48.420 what does not make practical sense
- 846 00:46:48.420 --> 00:46:52.050 because in practice you cannot identify outliers
- $847\ 00:46:52.050 --> 00:46:56.760$  with over 20%, you know, this is too much.
- $848\ 00:46:56.760 \longrightarrow 00:46:58.890$  So we have to somehow account
- 849 00:46:58.890 --> 00:47:02.940 for provider level unmeasured confounding.
- 850 00:47:02.940 --> 00:47:07.940 And I didn't include the technical details here.
- 851 00:47:08.070 --> 00:47:10.500 But after the adjustment,
- $852\ 00:47:10.500 \longrightarrow 00:47:13.890$  as you can see the proportion of a better
- $853\ 00{:}47{:}13.890 \dashrightarrow 00{:}47{:}17.790$  and the worse performers are much lower than before.
- $854\ 00:47:17.790 \longrightarrow 00:47:22.790$  And I think I only have one more slide.
- $855\ 00:47:23.220 \longrightarrow 00:47:25.110$  So some takeaways.
- 856 00:47:25.110 --> 00:47:27.000 So profiling is very important

 $857\ 00:47:27.000$  --> 00:47:30.390 as a major societal undertaking in the United States.

858 00:47:30.390 --> 00:47:33.150 And we have so many applications,

 $859\ 00{:}47{:}33.150 \dashrightarrow 00{:}47{:}37.860$  important implications and important consequences as well.

 $860\ 00:47:37.860 \longrightarrow 00:47:41.490$  And the new framework actually

 $861\ 00:47:41.490 \longrightarrow 00:47:44.730$  increased the regulators engagement in this process.

862 00:47:44.730 --> 00:47:46.560 And it's called versatile

 $863\ 00{:}47{:}46.560 {\:{\mbox{--}}}{>} 00{:}47{:}49.230$  because we can handle different profiling objectives

 $864\ 00:47:49.230 \longrightarrow 00:47:50.310$  and it is compatible

 $865\ 00:47:50.310 \longrightarrow 00:47:52.560$  with many different model specifications,

866 00:47:52.560 --> 00:47:54.900 machine learning models, data science models.

 $867\ 00:47:54.900 --> 00:47:57.810$  And here we use deep learning

 $868\ 00:47:57.810 \longrightarrow 00:48:01.090$  because it relaxes the linearity assumption

 $869\ 00:48:01.090 \longrightarrow 00:48:05.310$  and it is often a good idea to account

870 00:48:05.310 --> 00:48:08.340 for provider level measure confounding

871 00:48:08.340 --> 00:48:10.740 when we do this profiling stuff.

872 00:48:10.740 --> 00:48:14.700 And that's all for today.

873 00:48:14.700 --> 00:48:15.873 Thank you so much for.

874 00:48:20.020 --> 00:48:22.020 I know we only have like two-

875 00:48:22.020 --> 00:48:23.340 <v Host>Yeah, We have two minutes.</v>

 $876\ 00:48:23.340 \longrightarrow 00:48:26.310$  Thank you very much Dr. Wu for your presentation.

877 00:48:26.310 --> 00:48:27.843 Any questions in the audience?

878 00:48:35.880 --> 00:48:36.960 Anyone online?

879 00:48:36.960 --> 00:48:38.460 Just giving everyone a chance.

 $880\ 00:48:39.960 \longrightarrow 00:48:41.340\ No,$  I'll ask a question.

881 00:48:41.340 --> 00:48:45.360 So I think it's really cool to be able

 $882\ 00:48:45.360 \longrightarrow 00:48:47.910$  to identify providers who are doing really well

883 00:48:47.910 --> 00:48:49.470 or doing bad.

- 884 00:48:49.470 --> 00:48:50.610 What do you do with that?
- $885\ 00:48:50.610 \longrightarrow 00:48:51.900$  Now that you have that result?
- $886\ 00:48:51.900 \longrightarrow 00:48:53.970$  Like do you tell the profiler
- 887 00:48:53.970 --> 00:48:55.863 or the patient get to give it to say,
- 888 00:48:55.863 --> 00:48:58.350 "Oh, I don't wanna go to them, they're bad."
- 889 00:48:58.350 --> 00:48:59.430 <<br/>v Dr. Wu>Yeah, that's a good question.<br/></v>
- 890 00:48:59.430 --> 00:49:01.740 So actually CMS,
- $891\ 00:49:01.740 \longrightarrow 00:49:06.740$  they have many programs say, one is for dialysis patients,
- 892 00:49:06.930 --> 00:49:09.510 they have dialysis facility compare,
- $893\ 00:49:09.510 \longrightarrow 00:49:11.640$  which is an online program.
- $894\ 00:49:11.640 \longrightarrow 00:49:15.120$  So patient can have access to different types
- 895 00:49:15.120 --> 00:49:20.100 of information like whether diet facility is good or bad
- $896\ 00:49:20.100 \longrightarrow 00:49:23.970$  and many other different fields
- $897\ 00:49:23.970 \longrightarrow 00:49:25.740$  of information they have online.
- 898  $00:49:25.740 \longrightarrow 00:49:30.270$  So they can choose their favorite providers.
- 899 00:49:30.270 --> 00:49:32.340 Yeah, that's possible.
- 900 00:49:32.340 --> 00:49:34.863 And it's something that is going on, yeah.
- $901\ 00:49:35.760 --> 00:49:37.013 < v \text{ Host}>Oh$ , I think we have questions.</v>
- 902 00:49:37.013 --> 00:49:38.640 < v ->Yep.< / v > < v ->Just very briefly,< / v >
- 903 00:49:38.640 --> 00:49:40.490 because I know we're out of time but.
- 904 00:49:42.810 --> 00:49:44.550 To what extent do you feel that,
- 905 00:49:44.550 --> 00:49:47.460 if this is true, I guess, and doesn't matter,
- $906\ 00:49:47.460 \longrightarrow 00:49:50.433$  the patients don't necessarily have meetings.
- 907 00:49:51.420 --> 00:49:55.110 So for example, like I grew up in a rural county,
- $908\ 00:49:55.110 --> 00:49:57.090$  we had one hospital, you were going to a hospital,
- $909\ 00:49:57.090 \longrightarrow 00:49:58.230$  you were going there.
- 910 00:49:58.230 --> 00:49:59.640 Even in New Haven,

- 911 00:49:59.640 --> 00:50:02.160 there are two campuses of Yale New Haven Hospital,
- 912 00:50:02.160 --> 00:50:06.030 but there's only one hospital in metro area.
- 913 00:50:06.030 --> 00:50:11.030 So, I mean, choice is kind of not a real thing.
- 914 00:50:11.160 --> 00:50:12.570 How does that affect?
- 915 00:50:12.570 --> 00:50:16.950 <<br/>v Dr. Wu>Right, that's a very good point, so-</v>
- 916 00:50:16.950 --> 00:50:17.790 <v Questioner>We are actually in city,</v>
- 917 00:50:17.790 --> 00:50:19.140 I understand there's more than one.
- 918 00:50:19.140 --> 00:50:21.130 (Host laughs) Right, there are so many.
- 919 00:50:21.130 --> 00:50:23.130 <v Dr. Wu>Yeah, but that's a very good point</v>
- 920 00:50:23.130 --> 00:50:27.030 because we are actually considering another framework
- 921 00:50:27.030 --> 00:50:29.670 which is also clustering framework,
- 922 00:50:29.670 --> 00:50:32.010 which basically gives you
- 923 00:50:32.010 --> 00:50:34.080 under certain conditions you can choose,
- $924\ 00:50:34.080 \longrightarrow 00:50:36.000$  there's a feasible set of providers
- $925\ 00:50:36.000 \longrightarrow 00:50:37.290$  that you can choose from,
- 926 00:50:37.290 --> 00:50:39.420 of course, under certain strengths,
- $927~00{:}50{:}39.420 --> 00{:}50{:}44.420$  say your insurance, your location, many other conditions.
- 928 00:50:45.240 --> 00:50:47.793 But I mean, in this framework,
- $929\ 00:50:49.320 \longrightarrow 00:50:51.130$  maybe we can address that issue
- 930 00:50:52.590 --> 00:50:56.760 in the set of areas that we included here.
- 931 00:50:56.760 --> 00:51:01.760 But yeah, I mean, you know, very important issue
- 932 00:51:05.602 --> 00:51:06.435 <v Host>Unfortunately, that's time.</v>
- 933 00:51:06.435 --> 00:51:08.768 So let's thank Dr. Wu again.
- 934 00:51:11.897 --> 00:51:15.027 If you haven't signed in, please sign in before you speak.
- 935 00:51:15.027 --> 00:51:16.773 You are registered.
- 936 00:51:16.773 --> 00:51:18.834 Oh no, it's good, I don't know.

937 00:51:18.834 --> 00:51:22.167 (indistinct chattering)