

ChemoSpec: An R Package for Chemometric Analysis of Spectroscopic Data

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Abstract

`ChemoSpec`[1] is a collection of functions for plotting spectra (NMR, IR etc) and carrying out various forms of top-down exploratory data analysis, such as hierarchical cluster analysis (HCA), principal components analysis (PCA) and model-based clustering. Robust methods appropriate for this type of high-dimensional data are employed. `ChemoSpec` is designed to facilitate comparison of samples from treatment and control groups in a top-down manner. It is designed to be user friendly and suitable for people with limited background in R. This vignette gives some background on `ChemoSpec` and takes the reader through a typical workflow.

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1 Introduction

Chemometrics, as defined by Varmuza and Filzmoser[2], is

“... the extraction of relevant information from chemical data by mathematical and statistical tools.”

This is an appropriately broad definition, considering the wealth of questions and tasks that can be treated by chemometric approaches. In our case, the focus is on spectral data sets, which typically have many variables (frequencies) and relatively few samples. Such multivariate, *high p, low n* data sets present some algorithmic challenges, but these have been addressed by knowledgeable folks. In particular, for both the practical and theoretical background to multivariate chemometric analysis, I strongly recommend the Varmuza/Filzmoser book. Some of the functions described here are not much more than wrappers for the functions they have made available to the R community in their packages.

ChemoSpec was developed for the chemometric analysis of spectroscopic data, such as UV-Vis, NMR or IR data. The approach is entirely exploratory and unsupervised, in other words, “top-down”/citeProg-Metabolomics. I developed it while beginning a new research focus on plant metabolomics, and I needed software to analyze the data I was collecting. My research involves ecological experiments on plant stress, so ChemoSpec was designed to accommodate samples that have different histories, i.e., they fall into different classes, categories or groups. Examples would be treatment and control groups, or simply different specimens (red flowers vs. blue flowers). Since my research is done with undergraduates, who are true novices with R, ChemoSpec is designed to be as user friendly as possible, with plenty of error checking, helpful warnings and a consistent interface. It also produces graphics that are consistent in style and annotation, and are suitable for use in publications and posters. Careful attention was given to writing the documentation for the functions, but this vignette serves as the best starting point for learning data analysis with ChemoSpec.

The centerpiece of ChemoSpec is the Spectra object. This is the place where your data is stored and made available to R. Once your data is stored this way and checked, all analyses are easily carried out. ChemoSpec currently ships with one main built-in data set called CuticleIR. You will see in just a moment how to access it and inspect it.

I assume you have at least a bare-bones knowledge of R as you begin to learn ChemoSpec, and have a good workflow set up. For detailed help on any function discussed here, type `?function_name` at the console.

Finally, some conventions for this document: names of R “objects” such as packages, functions, function arguments, and data sets are in *typewriter* font. The commands you issue at the console and the output are in *slanted typewriter font*. Names of files stored on a computer are shown in *blue* to distinguish them from R objects which are kept in RAM.

2 A Sample Exploration

This sample exploration is designed to illustrate a typical ChemoSpec workflow. The point is to illustrate how to carry out the commands, what options are available and typically used, and the order in which one might do the analysis. The CuticleIR data set will be used for illustration only – we are not trying to analyze it to reach useful conclusions. You may wish to put your versions of these commands into a script file that you can source as you go along. This way you can easily make changes, and it will all be reproducible. To do this, open a blank R document, and type in your commands. Save it as something like [My First ChemoSpec.R](#). Then you can either cut and paste portions of it to the console for execution, or you can source the entire thing:

```
> source("My First ChemoSpec.R")
```

Alternatively, look through your computer after installing ChemoSpec for a file called [ChemoSpec.Rnw](#). Point R to the folder containing that file, then at the console issue `> Tangle("ChemoSpec.Rnw")`. R will extract all the code used in this vignette into a file which you can then study and modify.

2.1 Getting Data into ChemoSpec

Currently, there is only one means of moving raw data sets into ChemoSpec, and that is the function `getManyCsv` (it is relatively easy to write analogous functions for other formats). This function assumes that your raw data files are formatted as .csv files, and contain only the data itself, in two columns.¹ The first column should be the frequency values, and this column must be the same for all files (as it will be if these are data sets from the same instrument and experimental parameters). The second column should contain the intensity values. There should not be a header row. If your data set contains treatment and control groups, or any analogous class/group information, this information should be encoded in the file names. `getManyCsv` argument `gr.crit` will be the basis for a grep process on the file names, and from there, each file, representing a sample, will be assigned to a group and be assigned a color as well. If your samples don't fall into groups, that's fine too, but you still have to give `gr.crit` something to go on—just give it one string that is common to all the file names. Obviously, this approach encourages one to name the files as they come off the instrument with forethought as to how they will be analyzed, which in turn depends upon your experimental design. Nothing wrong with having a plan! Remember that `getManyCsv` acts on all .csv files it finds in a directory, so don't have any extra .csv files hanging around. The output of `getManyCsv` is a Spectra object, which is R-speak for a file, readable by R, that contains not only your data, but other information about the experiment, as provided by you via the arguments to `getManyCsv`.

Here's a typical example (we have to talk hypothetically because I don't have your data). Let's say you had a folder containing 30 NMR files of flower essential oils. Imagine that 18 of these were from one hypothetical subspecies, and 12 from another. Further, let's pretend that the question under investigation has something to do with the taxonomy of these two supposed subspecies, in other words, an investigation into whether or not they should be considered subspecies at all. If the files were named like this:

[sspA1.csv](#) ... [sspA18.csv](#) and [sspB1.csv](#) ... [sspB12.csv](#)

Then the following command should process the files and create the desired Spectra object:

```
> getManyCsv(gr.crit = c("sspA", "sspB"), gr.cols = c("red3", "dodgerblue4"),
+ freq.unit = "ppm", int.unit = "peak intensity", descrip = "Subspecies Study",
+ out.file = "subspecies")
```

This causes `getManyCsv` to read the file names for the strings `sspA` and `sspB` and use these to assign the samples into groups. Samples in [sspA*.csv](#) files will be assigned the color `red3` and [sspB*.csv](#) will be assigned `dodgerblue4` (see the help file for some thinking-ahead about colors; `?colorSymbol` at the console). After running this command, a new file called [subspecies.RData](#) will be in your directory, and you can access the data set and give it whatever name you like as follows:

```
> SubspeciesNMR <- loadObject("subspecies.RData")
```

Now it is ready to use.

¹Users in the EU have different standards for a .csv file: they are delimited by semi-colons, and a comma is used where a decimal point is used in the United States. For these files, use the argument `format = "csv2"` to read the files properly.

Built-in Data Sets

As mentioned above, ChemoSpec comes with one main built-in data set, `CuticleIR`. This data set is a series of IR spectra of the cuticle (leaf surface) of the plant *Portulaca oleracea*. The data were taken by gently pinning the leaf against an ATR sampling device. The plants were grown at two different temperatures, and two different genotypes (varieties) were used (a classic $G \times E$, genotype by environment, experiment). In the plots in this vignette you will see the data colored by these categories: GE for example means "golden" genotype and "experimental" conditions (higher temperature, to be precise). For more details about this data set, type `> ?CuticleIR` at the console.

Also included is a data set `gasNIR` which is the gasoline data set that is included with R, converted to Spectra format. During the conversion, the octane values were transformed from numeric values to membership in L, M, or H classes by dividing the octane values into terciles. The `gasNIR` data set does not separate well (so far) by any statistical method I have employed, so I use it mainly for testing.

Color and Symbol Options

In ChemoSpec, the user may use any color name/format known to R. For ease of comparison, it would be nice to plan ahead and use the same color scheme for all your plots. However, a difficulty to bear in mind is that R plots are generally on a white background, so pale colors should be avoided, while `GGobi`, which is used by `functionplotScoresG`, plots on a black background (interactively), so dark colors should be avoided. Hence some compromise is necessary.

In addition to colors, "Spectra" objects also contain a list of symbols, and alternative symbols. These are useful for plotting in black and white, or when color-blind individuals will be viewing the plots. The alternative symbols are simply lower-case letters, as these are needed for `plotScoresRGL`, and other `rgl`-graphics driven functions which cannot plot traditional symbols.

If you plan to use `rggobi` and `GGobi` to view the data later, keep in mind that `GGobi` only uses certain color schemes (although there are many options) and in interactive operation plots on a black background. In the case of ChemoSpec, two particular options have been hard-coded into the function `plotScoresG` for simplicity. If you plan to use `plotScoresG`, you may wish to choose from one of these two color schemes before you begin if you want all your graphics to use the same scheme. Keep in mind that these colors must be used in order (though you can use the order of argument `gr.crit` to associate a particular group with a particular color:

primary scheme: `c("red3", "dodgerblue4", "forestgreen", "purple4", "orangered", "yellow", "orangered4", "violetred2")`

pastel scheme: `c("seagreen", "brown2", "skyblue2", "hotpink3", "chartreuse3", "darkgoldenrod2", "lightsalmon3", "gray48")`

Example 1 shows these colors. Finally, the current color scheme of a Spectra object may be determined using `sumGroups` or changed using `conColScheme`.

2.2 Preliminary Inspection of Data

One of the first things you should do, and this is very important, is to make sure your data is in good shape. First, you can summarize the data set you created, and verify that the data ranges etc look like you expect them to:

```
> sumSpectra(SubspeciesNMR)
```

This will display quite a bit of information about your data set. Here are the commands and the result using the built-in data set `CuticleIR`:

```
> data(CuticleIR)
> sumSpectra(CuticleIR)
```

```
Kelly's Complete IR Data Set, Summer 2009
```

```
There are 157 spectra in this set.
The y-axis unit is Absorbance.
```

```
The frequency scale runs from 501.4261 to 3596.768 Wavenumbers
There are 1242 frequency (x-axis) data points.
```

Example 1: Recommended Color Sets in ChemoSpec**ChemoSpec Primary Scheme****ChemoSpec Pastel Scheme**

The frequency resolution is 1.9286 Wavenumbers/point.

This data set is not continuous along the frequency axis.
Here are the data chunks:

	beg.freq	end.freq	size	beg.indx	end.indx
1	501.4261	1797.420	1295.994	1	673
2	2501.3450	3596.768	1095.423	674	1242

The spectra are divided into 4 groups:

group	no.	color	symbol	alt.sym
1	GC 16	dodgerblue4	2	b
2	GE 35	purple4	15	d
3	TC 69	red3	1	a
4	TE 37	forestgreen	3	c

*** Note: this data is an S3 object of class 'Spectra'

Notice that `sumSpectra` has identified a gap in the data set; this is because a range of frequencies that contain no useful information were removed to compact the data—what's the point of analyzing baseline anyway? You can see this gap in the data as shown in Example 2 (`sumSpectra` checks for gaps, but doesn't produce the plot); both the numerical results and a figure are provided. Again, the point at this stage is to verify that your data looks like you expect it to. If there are problems, I'll tell you how to fix them in the next few sections.

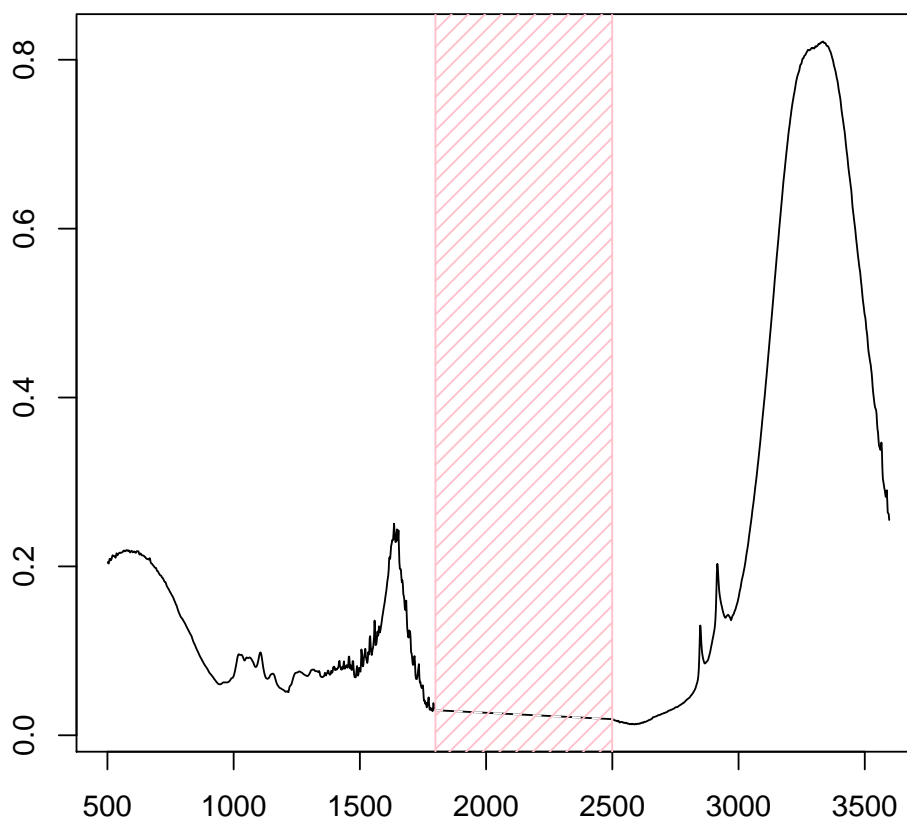
2.2.1 Plotting the Spectra

Assuming that everything looks good so far, it's time to plot the spectra and inspect them. Good practice would be to check every spectrum for artifacts and other potential problems, which might take a while; hopefully you looked at them when you originally recorded them. The basics of creating a plot are shown in Example 3.

Example 2: Procedure to Find Gaps in a Data Set

```
> check4Gaps(CuticleIR$freq, CuticleIR$data[1,], plot = TRUE)
  beg.freq end.freq    size beg.indx end.indx
1  501.4261 1797.420 1295.994      1    673
2 2501.3450 3596.768 1095.423    674   1242
```

Gaps in Frequency Data

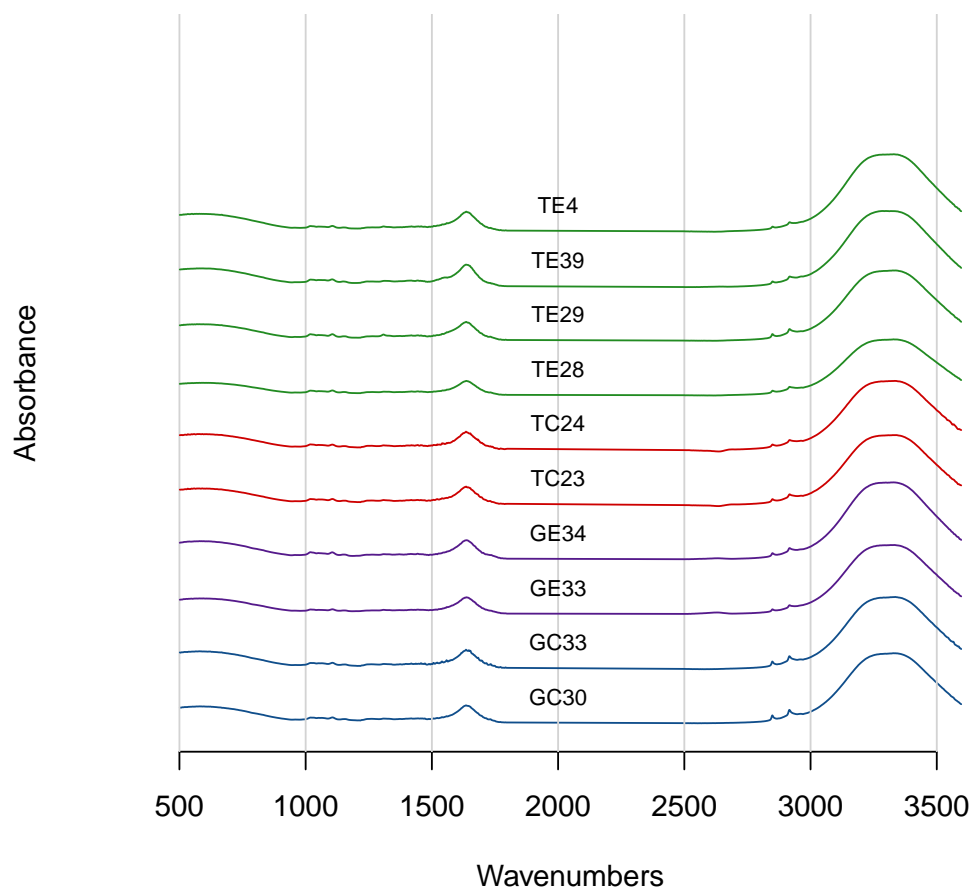


marked regions are skipped in data set

Example 3: Plotting Spectra

```
> plotSpectra(CuticleIR, title = "Cuticle IR Spectra Demo",  
+ which = c(10, 11, 40, 41, 100, 101, 140, 141, 150, 151),  
+ yrange = c(0, 10), offset = 0.8, lab.pos = 2000)
```

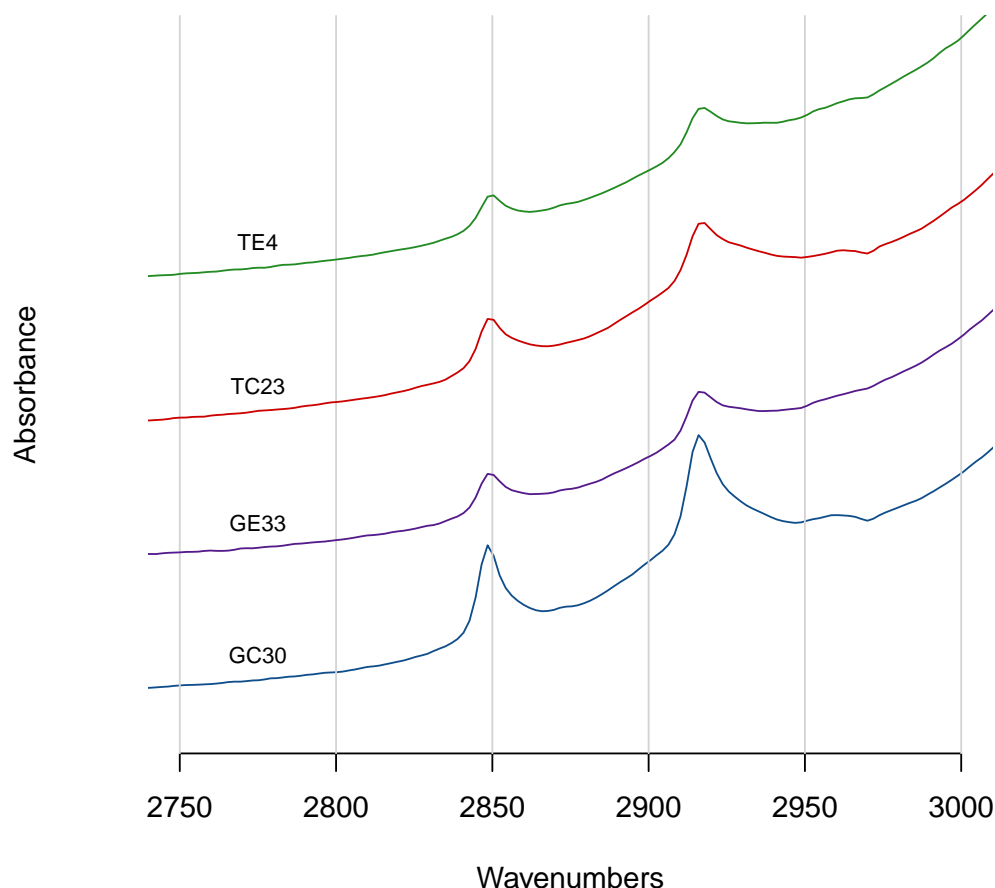
Cuticle IR Spectra Demo



Example 4: Zooming in on a Spectral Region

```
> plotSpectra(CuticleIR, title = "Cuticle IR Spectra: Detail of Hydrocarbon Region",
+ which = c(10, 40, 100, 151), amplify = 10.0, xlim = c(2750, 3000),
+ yrange = c(0, 5), offset = 0.1, lab.pos = 2775)
```

Cuticle IR Spectra: Detail of Hydrocarbon Region



Depending upon the intensity range of your data set, and the number of spectra to be plotted, you have to manually adjust the arguments `yrange`, `offset` and `amplify`, but this usually only takes a few iterations. Keep in mind that `offset`, and `amplify` are multiplied in the algorithm, so if you increase one, you may need to decrease the other. Suppose that you wanted to focus just on the hydrocarbon region of these spectra; you can add an argument called `xlim`. To demonstrate, let's look at fewer spectra, and at higher amplitude, so we can see details, as shown in Example 4.

The argument `which` in `plotSpectra` takes a numerical list of the spectra you wish to plot— you can think of this as the row number if you imagine each spectra to be a row in a matrix, with intensities in the columns (with each column corresponding to a particular frequency value). You may be wondering how to determine which particular sample is in each row. This is best accomplished with a `grep` command. For instance, if you wanted to know what row sample GE7 was in, the following command would locate it for you:

```
> grep("GE7", CuticleIR$names)
```

```
[1] 49
```

See the discussion in the next section for more details on using `grep` effectively.

These sample plots display the IR spectra in two ways that may be upsetting to some readers: First, the x-axis is

"backwards", because the underlying spectra were originally saved with an ascending frequency axis (which is not always the case). This is readily fixed by supplying the `xlim` argument in the desired order, e.g. `xlim = c(3000, 2750)` in the previous example. Second, the vertical scale in these examples is absorbance. When using IR for structural elucidation, the vertical axis is typically %T, with the peaks pointing downward. You don't have that choice in ChemoSpec because the absorbance mode is the appropriate one for chemometrics. Get used to it.

2.2.2 Identifying & Removing Problematic Samples

In the process of plotting and inspecting your spectra, you may find some spectra/samples that have problems. Perhaps they have instrumental artifacts. Or maybe you have decided to eliminate one subgroup of samples from your data set to see how the results differ. To remove a particular sample, or samples meeting a certain criteria, you use the `removeSample` function. This function uses a grepping process based on its `rem.sam` argument, so you must be careful due to the greediness of `grep`. Let's imagine that sample TC138 has artifacts and needs to be removed. The command would be:

```
> noTC138 <- removeSample(CuticleIR, rem.sam = c("TC138"))
> sumSpectra(noTC138)
```

Kelly's Complete IR Data Set, Summer 2009

There are 156 spectra in this set.
The y-axis unit is Absorbance.

The frequency scale runs from 501.4261 to 3596.768 Wavenumbers
There are 1242 frequency (x-axis) data points.
The frequency resolution is 1.9286 Wavenumbers/point.

This data set is not continuous along the frequency axis.
Here are the data chunks:

	beg.freq	end.freq	size	beg.indx	end.indx
1	501.4261	1797.420	1295.994	1	673
2	2501.3450	3596.768	1095.423	674	1242

The spectra are divided into 4 groups:

	group	no.	color	symbol	alt.sym
1	GC	16	dodgerblue4	2	b
2	GE	35	purple4	15	d
3	TC	68	red3	1	a
4	TE	37	forestgreen	3	c

*** Note: this data is an S3 object of class 'Spectra'

The `sumSpectra` command is optional, but confirms that there are now one fewer spectra in the set. You could also re-grep for the sample name to verify it is not found. If you wanted to remove sample TE2, and you tried to remove it this way, you would end up removing 10 spectra, as the string TE2 occurs in quite a few places. You can check this in advance with the `grep` function itself:

```
> TE2 <- grep("TE2", CuticleIR$names)
> CuticleIR$names[TE2] # gives the name(s) found

[1] "TE2" "TE20" "TE21" "TE22" "TE23" "TE24" "TE25" "TE26" "TE27" "TE28"
[11] "TE29"

> TE2 # gives the corresponding indicies

[1] 131 132 133 134 135 136 137 138 139 140 141
```

This is what is meant by "grep is greedy". In this situation, you have three choices:

1. You could manually remove the problem samples (`> str(CuticleIR)` would give you an idea of how to do that; see also below under Hierarchical Cluster Analysis).
2. `removeSample` also accepts indices of samples, so you could `grep` as above, note the index of the sample you actually want to remove, and use that in `rem.sam`.
3. If you know a bit about `grep`, you can pass a more sophisticated search pattern to `rem.sam`. For instance, in the example above where we wanted to remove TE2, but "caught" some other sample names, you could change the search pattern as follows, which tells `grep` to find a string that ends in TE2 (so it could still begin with xyzTE2 and be found):

```
> newTE2 <- grep("TE2\\>", CuticleIR$names)
> CuticleIR$names[newTE2] # gives the name(s) found

[1] "TE2"

> newTE2 # gives the corresponding indices

[1] 131
```

You can also take advantage of this greediness. For instance, using `rem.sam = c("TC")` would remove all the samples in this category, regardless of any other characters in the string, as long as T and C are next to each other (this goes back to planning your experiments, and how clever you were in naming your samples).

2.2.3 Identifying & Removing Regions of No Interest

Many spectra will have regions that should be removed. It may be an uninformative, interfering peak like the water peak in ^1H NMR, or the CO_2 peak in IR. Or, there may be regions of the spectra that simply don't have much information – they contribute a noisy baseline and not much else. An example would be the region from about 1,800 or 1,900 cm^{-1} to about 2,500 cm^{-1} in IR, a region where there are typically no peaks except for the CO_2 stretch, and rarely (be careful!) alkyne stretches.

Finding these regions might be pretty simple, a matter of inspection coupled with your knowledge of spectroscopy. Another approach is to use the function `specSurvey` to examine the entire set of spectra. This function computes the standard deviation of the intensities at a particular frequency across the data set, and plots this against frequency. Regions where there is not much variation in the intensity will show up as unvarying baseline, and these regions are candidates for removal. Example 5 demonstrates the process.

Compare this to the figure produced by `check4Gaps` (Example 2); you'll see that the gap region is rendered by `specSurvey` by connecting the endpoints of each data chunk, producing what appears to be a region of little interest. All other areas have varying standard deviations, with the OH peak dominating, and no regions seem uninteresting, so let's keep them for now. However, if you wanted to remove certain peaks, the function `removeFreq` is the tool to use. In the `CuticleIR` data set, the water peak (above about 3,100 cm^{-1}) varies quite a bit, and may be just an artifact. We could remove it by doing the following. First, we need the upper end of the frequency range, which we can obtain with `sumSpectra` demonstrated above. That value is 3,597 cm^{-1} after rounding. Now, issue the following commands, ending with `sumSpectra` to verify what you wanted to happen, happened. Note that there are fewer frequency points now, and they end at approximately the value you specified (due to rounding).

```
> noOH <- removeFreq(CuticleIR, rem.freq = c(3100:3597))
> sumSpectra(noOH)
```

Kelly's Complete IR Data Set, Summer 2009

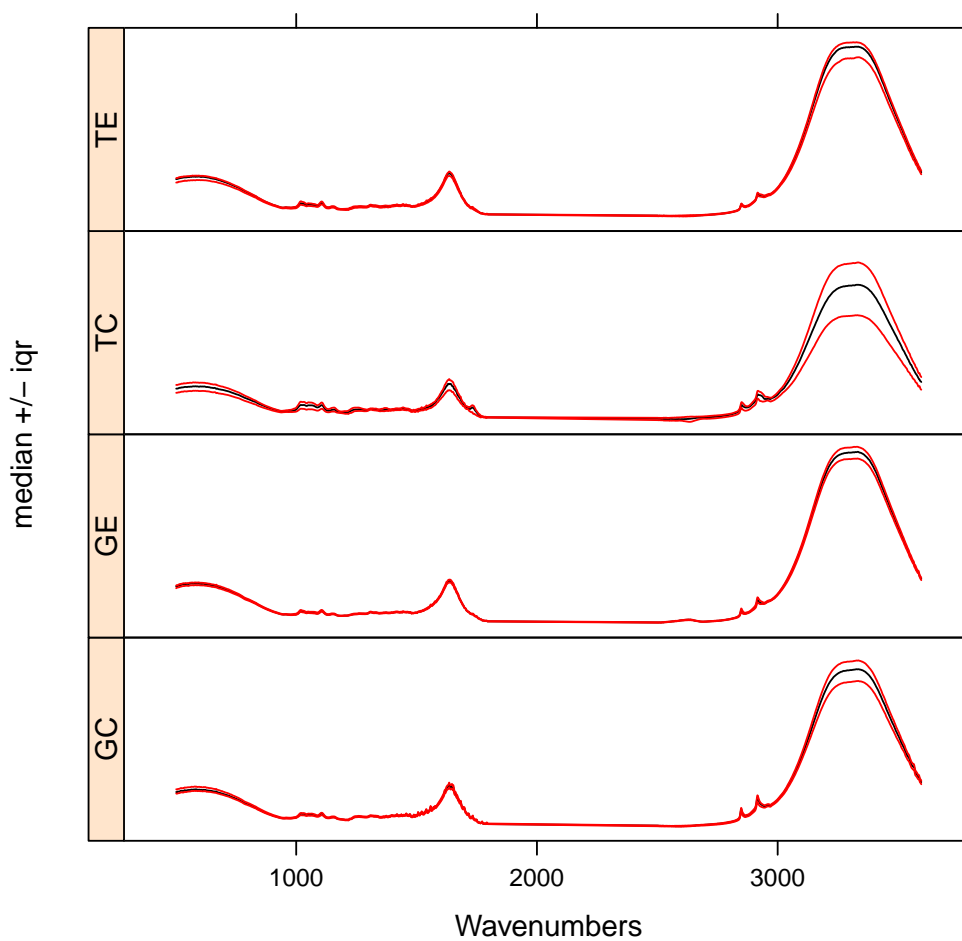
There are 157 spectra in this set.
The y-axis unit is Absorbance.

The frequency scale runs from 501.4261 to 3097.271 Wavenumbers
There are 983 frequency (x-axis) data points.
The frequency resolution is 1.9286 Wavenumbers/point.

This data set is not continuous along the frequency axis.

Example 5: Checking for Regions of No Interest

```
> specSurvey(CuticleIR, method = "iqr", title = "Cuticle IR Spectra")
```

Cuticle IR Spectra

Here are the data chunks:

	beg.freq	end.freq	size	beg.indx	end.indx
1	501.4261	1797.420	1295.994	1	673
2	2501.3450	3097.271	595.926	674	983

The spectra are divided into 4 groups:

	group no.	color	symbol	alt.sym
1	GC 16	dodgerblue4	2	b
2	GE 35	purple4	15	d
3	TC 69	red3	1	a
4	TE 37	forestgreen	3	c

*** Note: this data is an S3 object of class 'Spectra'

You could also plot the new spectra if desired, to make absolutely certain you removed what you wanted. In this case, we can make the point more strongly by plotting with `xlim` corresponding to the original data range, not that of the modified spectra, as shown in Example 6. We indeed did accomplish what we set out to do, though we might consider trimming off more frequencies, perhaps down to $3,000\text{ cm}^{-1}$. You could also run `check4Gaps` as another check.

2.3 Data Pre-Processing Options

There are a number of data pre-processing options available for your consideration. The main choices are whether to normalize the data, whether to bin the data, and whether to scale the data. Data scaling is handled by the PCA routines, see Section 2.5. Normalization is handled by the `normSpectra` function. Usually one normalizes data in which the sample preparation procedure may lead to differences in concentration, such as body fluids that might have been diluted during handling, or that vary due to the physiological state of the organism studied. The `CuticleIR` data set is taken using an ATR device in which the leaves are pinned against the IR analyzer, and no dilution is possible, so normalization isn't really appropriate. Currently, there is only one means of normalizing, and that is to divide each point in a spectrum by the sum of all points in that spectrum. Other means of normalizing can be readily added if they affect all points in the same way. Normalization is accomplished by:

```
> normCIR <- normSpectra(CuticleIR)
```

But remember, this doesn't make sense for this data set. The literature contains a number of useful discussions about normalization issues.[2–6]

Another type of pre-processing that you may wish to consider is binning or bucketing, in which groups of frequencies are collapsed into one frequency value, and the corresponding intensities are summed. There are two reasons for doing this. One is to compact the data, but the algorithms in R are quite fast, and data sets of the size of `CuticleIR` don't slow it down much. The other reason is to compensate for shifts in very narrow peaks from sample to sample. This is typically done in ^1H NMR because changes in dilution, ionic strength, or pH can cause slight shifts. Spectra with broad, rolling peaks won't have this problem (UV-Vis for example). The function `binBuck` is your friend:

```
> smallCIR <- binBuck(CuticleIR, bin.ratio = 4)
```

```
To preserve the requested bin.ratio, 1 data point(s)
has(have) been removed from the beginning of the data chunk 1
```

```
A total of 1 data points were removed to preserve the requested bin.ratio
To preserve the requested bin.ratio, 1 data point(s)
has(have) been removed from the beginning of the data chunk 2
```

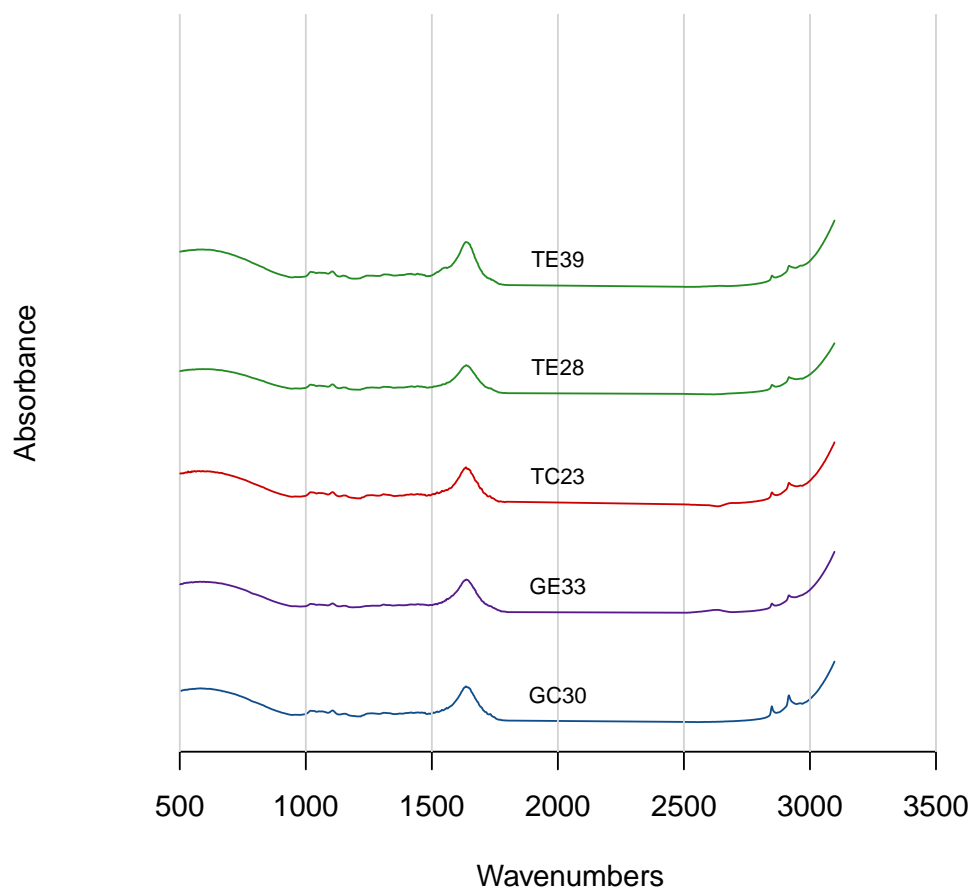
```
A total of 2 data points were removed to preserve the requested bin.ratio
```

```
> sumSpectra(smallCIR)
```

Kelly's Complete IR Data Set, Summer 2009

Example 6: Verifying removeFreq Worked as Desired

```
> plotSpectra(noOH, title = "Cuticle IR Spectra, No Hydroxyl Peak?",  
+ which = c(10, 40, 100, 140, 150),  
+ yrange = c(0, 5), offset = 0.8, lab.pos = 2000, xlim = c(500, 3600))
```

Cuticle IR Spectra, No Hydroxyl Peak?

There are 157 spectra in this set.
The y-axis unit is Absorbance.

The frequency scale runs from 506.2475 to 3593.875 Wavenumbers
There are 310 frequency (x-axis) data points.
The frequency resolution is 7.71425 Wavenumbers/point.

This data set is not continuous along the frequency axis.
Here are the data chunks:

	beg.freq	end.freq	size	beg.indx	end.indx
1	506.2475	1794.527	1288.279	1	168
2	2506.1663	3593.875	1087.709	169	310

The spectra are divided into 4 groups:

	group	no.	color	symbol	alt.sym
1	GC	16	dodgerblue4	2	b
2	GE	35	purple4	15	d
3	TC	69	red3	1	a
4	TE	37	forestgreen	3	c

*** Note: this data is an S3 object of class 'Spectra'

Compare the results here with the `sumSpectra` of the full data set (Section 2.2. In particular note that the frequency resolution has gone down due to the binning process. `ChemoSpec` uses the simplest of binning algorithms: after perhaps dropping a few points (with a warning) to make your data set divisible by the specified `bin.ratio`, data points are replaced by the average frequency and the sum of the grouped intensities. Depending upon the fine structure in your data and the `bin.ratio` this might cause important peaks to be split between different bins. There are more sophisticated binning algorithms in the literature that try to address this, but none are currently implemented in `ChemoSpec`. [7, 8]

2.4 Hierarchical Cluster Analysis

Hierarchical cluster analysis (HCA from now on) is a clustering method (surprise!) in which "distances" between samples are calculated and displayed in a dendrogram (a tree-like structure; these are also used in evolution and systematics where they are called cladograms). The details behind HCA can be readily found elsewhere (Chapter 6 of [2] is a good choice). With `ChemoSpec` you have access to any of the methods available in R function `hclust`; for more details, type `?hclust` at the console. To demonstrate, let's first remove some samples from `CuticleIR` so the resulting plot is a bit less cluttered. Then we'll carry out the HCA itself. The sample removal will be done manually; this process and the results are shown in Example 7.

The result is a dendrogram. The vertical scale represents the numerical distance between samples. For this data set, there is no obvious clustering by group. Note that the function `hcaScores` does the same kind of analysis using the results of PCA, rather than the raw spectra. It is discussed in the next section.

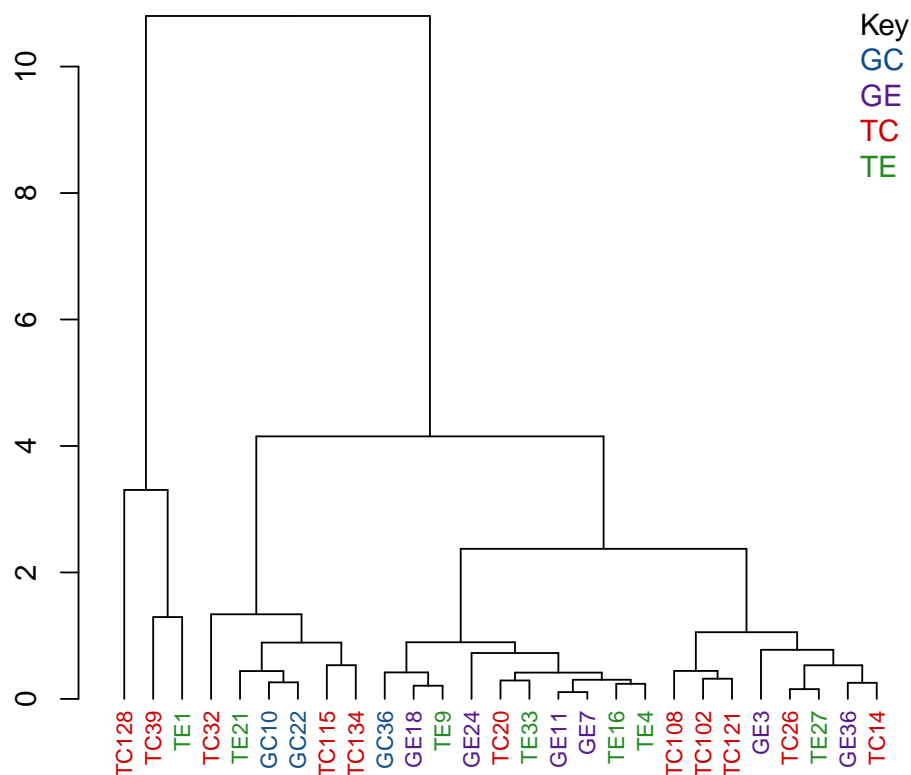
2.5 Principal Components Analysis

Principal components analysis (PCA from now on) is the real workhorse of exploratory data analysis. It makes no assumptions about group membership, but clustering (possibly in high dimensions) of the resulting sample scores can be very helpful in understanding your data. The theory and practice of PCA is covered well elsewhere (Chapter 3 of [2] is an excellent choice). Here, we'll concentrate on using the PCA methods in `ChemoSpec`. Briefly however, you can think of PCA as determining the minimum number of components necessary to describe a data set, in effect, removing noise. Think of a typical spectrum: some regions are clearly just noise. Further, a typical spectroscopic peak spans quite a few frequency units as the peak goes up, tops out, and then returns to baseline. Any one of the points in a particular peak describe much the same thing, namely the intensity of the peak. Plus, each frequency within a given peak envelope is correlated to every other frequency in the envelope (they rise and fall in unison as the peak changes size from sample to

Example 7: Manual Removal of Samples Followed by HCA

```
> keep <- seq(1, 157, 6) # select every 6th spectrum
> someCIR <- CuticleIR # make a copy of the original data
> someCIR$names <- someCIR$names[keep] # modify each piece manually
> someCIR$colors <- someCIR$colors[keep]
> someCIR$groups <- someCIR$groups[keep]
> someCIR$sym <- someCIR$sym[keep]
> someCIR$alt.sym <- someCIR$alt.sym[keep]
> someCIR$data <- someCIR$data[keep,] # samples in rows, freq in columns
> chkSpectra(someCIR, confirm = TRUE) # make sure we didn't screw it up!
You must be awesome: These spectra look just dandy!
> hcaSpectra(someCIR, title = "Every 6th Sample of CuticleIR")
```

Every 6th Sample of CuticleIR: HCA Analysis



Clustering method: complete

Table 1: Principal Components Analysis Options & Functions

PCA options	scaling options	function
classical PCA	no scaling, autoscaling, Pareto scaling	classPCA
robust PCA	no scaling, median absolute deviation	robPCA
Diagnostics		
OD plots		pcaDiag
SD plots		pcaDiag
Choosing the correct no. of PCs		
scree plot		plotScree
bootstrap analysis (classical PCA only)		pcaBoot
Score plots	plotting options	
2D plots	robust or classical confidence ellipses	plotScores
3D plots		
—static 3D plots		plotScores3D
—interactive 3D plots		plotScoresRGL
—interactive multivariate plots		plotScoresG
Loading plots		
loadings vs frequencies		plotLoadings
loadings vs other loadings		plot2Loadings
Other		
HCA of PCA scores		hcaScores

sample). PCA can look "past" all the noise and correlation in the data set, and boil the entire data set down to essentials. Unfortunately, the principal components that are uncovered in the process don't correspond to anything concrete, usually. Again, you may wish to consult a more detailed treatment!

Table 1 gives an overview of the options available in ChemoSpec, and the relevant functions.

There's quite a bit of choice here; let's work through an example and illustrate, or at least mention, the options as we go. Keep in mind that it's up to you to decide how to analyze your data. Most people try various options, and follow the ones that lead to the most insight. But the decision is yours!

The first step is to carry out the PCA. You have two main options, either classical methods, or robust methods. Classical methods use all the data you provide to compute the scores and loadings. Robust methods focus on the core or heart of the data, which means that some samples may be downweighted. This difference is important, and the results from the two methods may be quite different, depending upon your the nature of your data. The differences arise because PCA methods (both classical and robust) attempt to find the components that explain as much of the variance in the data set as possible. If you have a sample that is genuinely corrupted, for instance due to sample handling, its spectral profile may be very different from all other samples, and it can legitimately be called an outlier. In classical PCA, this one sample will contribute strongly to the variance of the entire data set, and the PCA scores will reflect that (it is sometimes said that scores and loadings follow the outliers). With robust PCA, samples with rather different characteristics do not have as great an influence, because robust measures of variance, such as the median absolute deviation, are used.

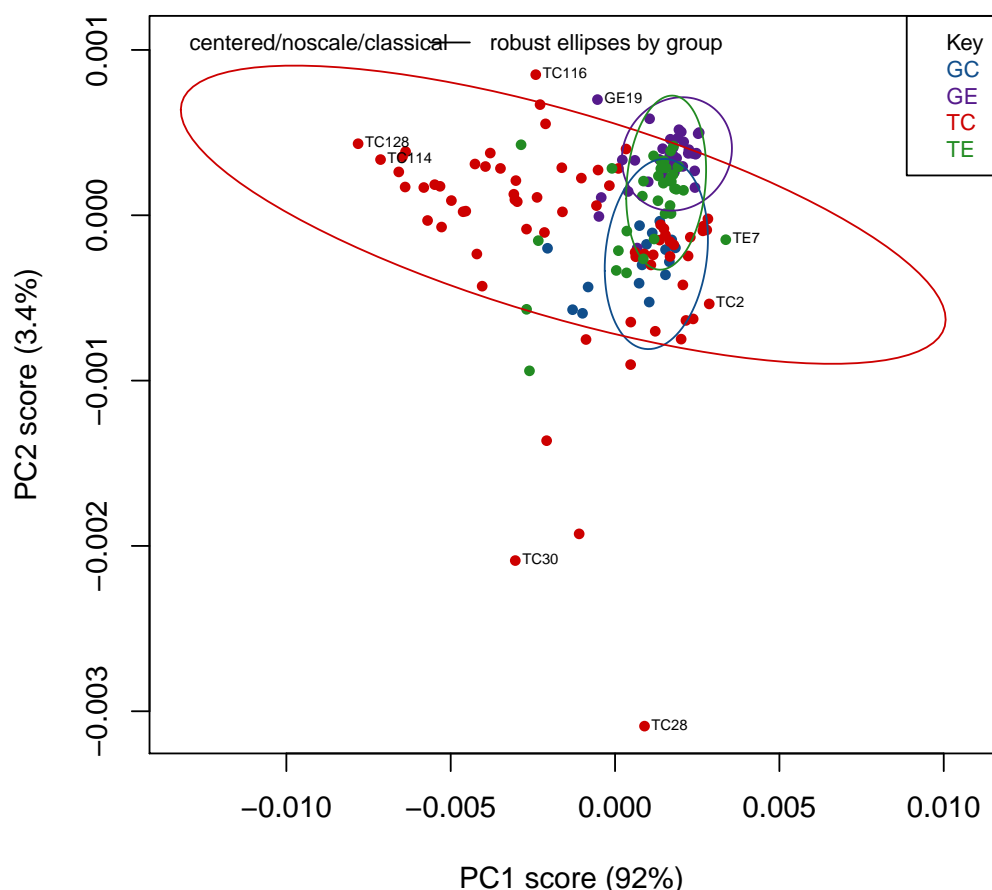
Besides choosing to use classical or robust methods, you also need to choose a scaling method. For classical PCA, your choices are no scaling, autoscaling, or Pareto scaling. In classical analysis, if you don't scale the data, large peaks contribute more strongly to the results. If you autoscale, then each peak contributes equally to the results (including noise "peaks"). Pareto scaling is a compromise between these two. For robust PCA, you can choose not to scale, or you can scale according to the median absolute deviation. Median absolute deviation is a means of downweighting more extreme peaks. The literature has plenty of recommendations about scaling options appropriate for the type of measurement (instrument) as well as the nature of the biological data set.[2–6, 9]

There is not enough space here to illustrate all possible combinations of options; Example 8 and Example 9 show the use

Example 8: How to Carry Out Classical PCA

```
> class <- classPCA(CuticleIR, choice = "noscale")
> plotScores(CuticleIR, title = "Cuticle IR Spectra", class,
+ pcs = c(1,2), ellipse = "rob", tol = 0.01)
```

Cuticle IR Spectra: PCA Score Plot



and results of classical and robust PCA without scaling, followed by plotting of the first two PCs (we'll discuss plotting options momentarily). You can see from these plots that the robust and classical methods have produced rather different results, not only in the overall appearance of the plots, but in the amount of variance explained by each PC.

Since we've plotted the scores to see the results, let's mention a few features of `plotScores` which produces a 2D plot of the results (we'll deal with 3D options later). Note that an annotation is provided in the upper left corner of the plot that describes the history of this analysis, so you don't lose track of what you are viewing. The `tol` argument controls what fraction of points are labeled with the sample name. This is a means of identifying potential outliers. The `ellipse` argument determines if and how the ellipses are drawn (the 95% confidence interval is used).

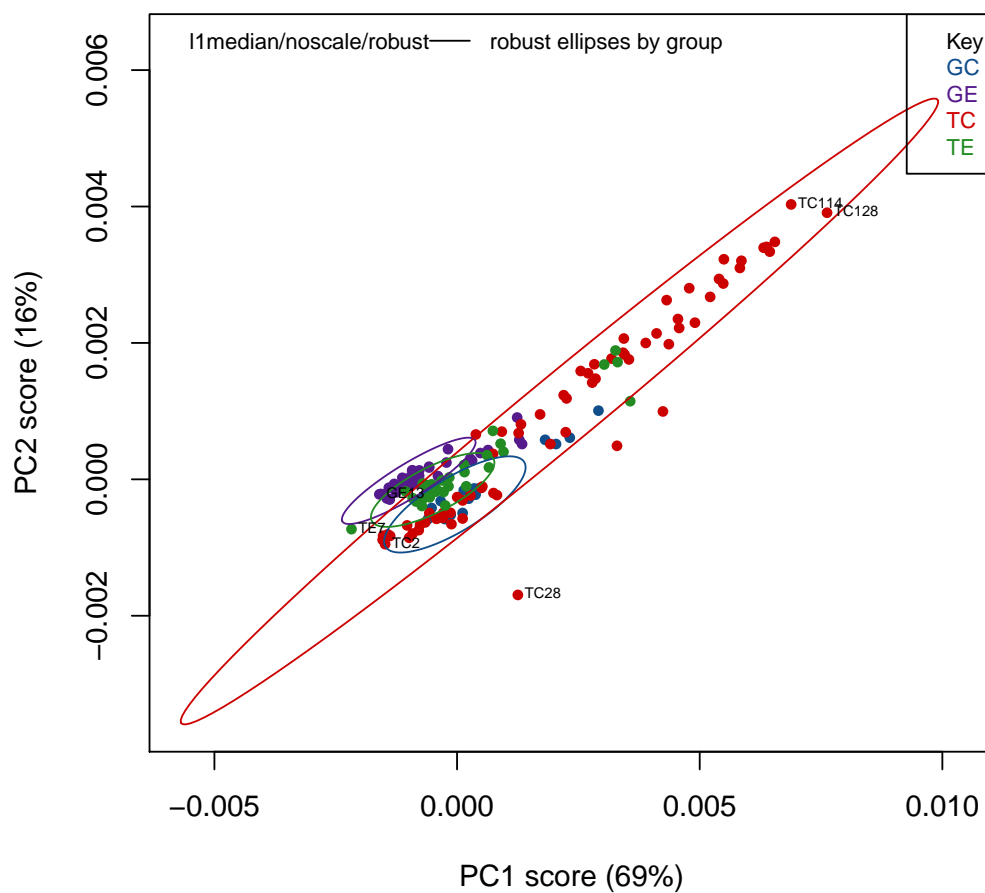
You can choose "none" for no ellipses, "cls" for classically computed confidence ellipses, "rob" for robustly computed ellipses, or "both" if you want to directly compare the two. Note that the use of classical and robust here has nothing to do with the PCA algorithm — it's the same idea, but applied to the 2D array of scores. With the robust ellipses, points outside the ellipses are more likely candidates for outlier status.

Plots such as shown in Examples 8 and 9 can give you an idea of potential outliers, but `ChemoSpec` includes more sophisticated approaches. The function `pcaDiag` can produce two types of plots that can be helpful (Examples 10 and 11). The meaning and interpretation of these plots is discussed in more detail in Varmuza and Filzmoser, Chapter

Example 9: How to Carry Out Robust PCA

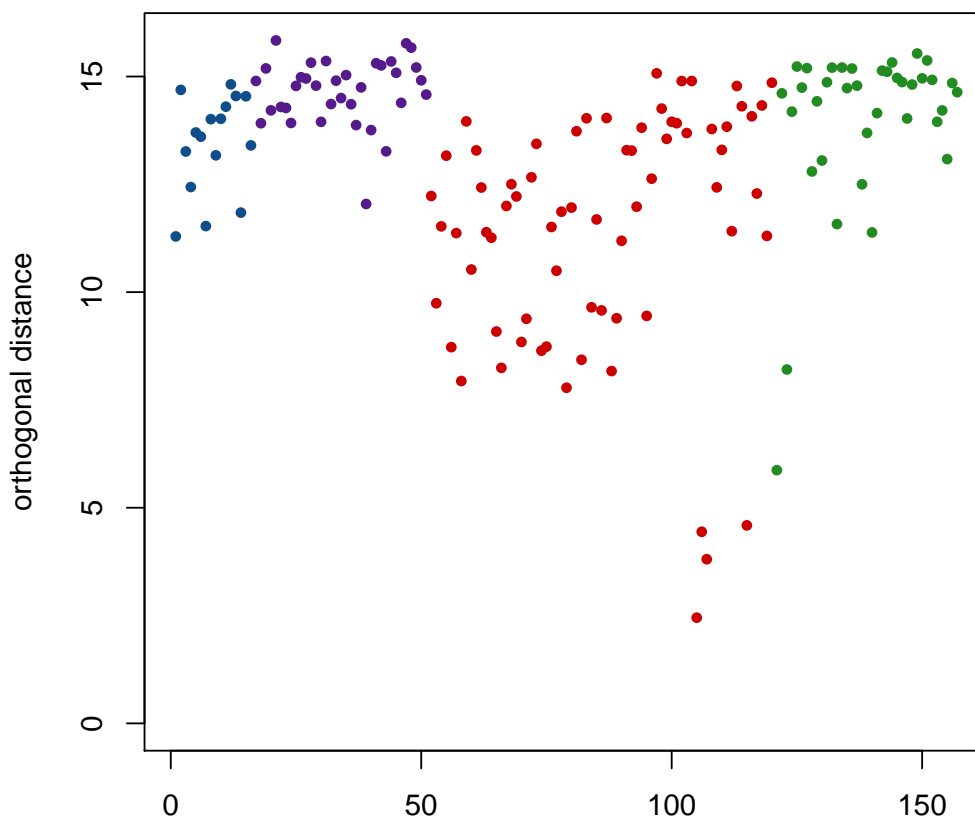
```
> robust <- robPCA(CuticleIR, choice = "noscale")
> plotScores(CuticleIR, title = "Cuticle IR Spectra", robust,
+ pcs = c(1,2), ellipse = "rob", tol = 0.01)
```

Cuticle IR Spectra: PCA Score Plot



Example 10: Diagnostics: Orthogonal Distances

```
> diagnostics <- pcaDiag(CuticleIR, class, pcs = 2, plot = "OD")
```

Possible PCA Outliers based on Orthogonal Distance

Kelly's Complete IR Data Set, Summer 2009
centered/noscale/classical 2 PCs

3[2].

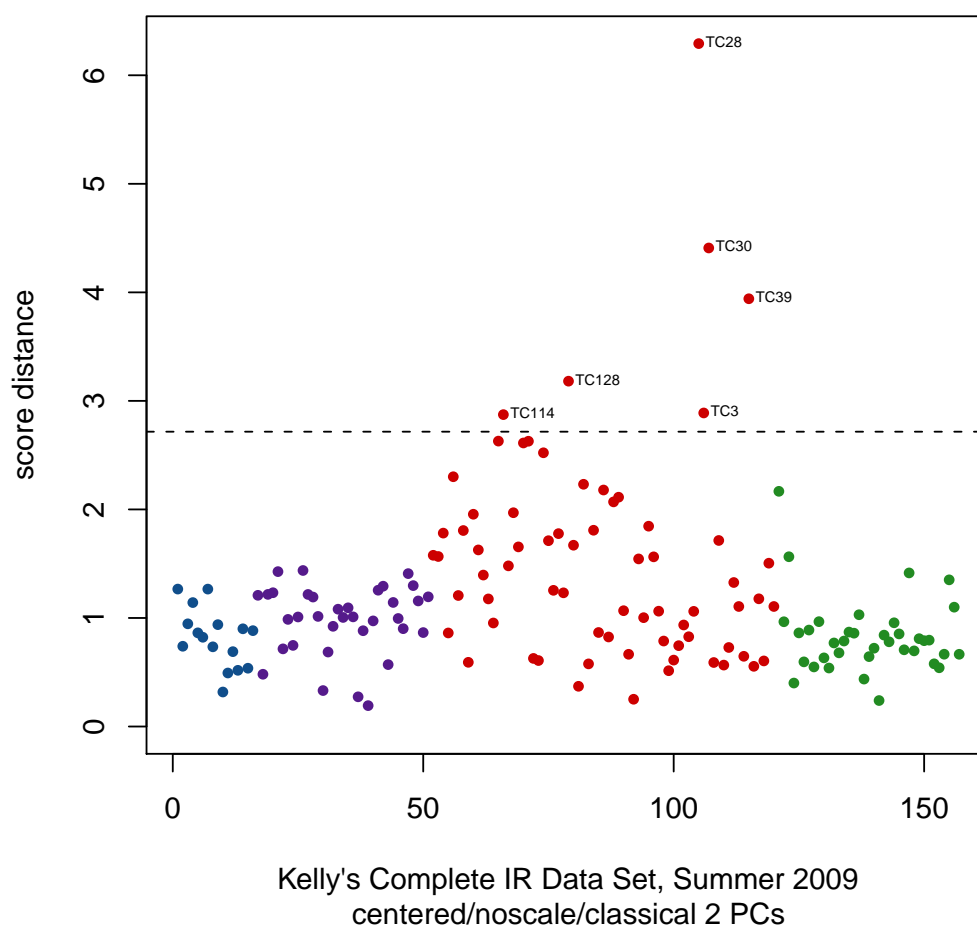
Depending upon your data, and your interpretation of the results, you may decide that some samples should be discarded, in which case you can use `removeSample` as previously described, then repeat the PCA analysis. The next step for most people is to determine the number of PCs needed to describe the data. This is usually done with a scree plot as shown in Example 12. In this case, it's clear that most of the variance can be described by one PC! We'll pursue that more in a bit.

If you are using classical PCA, you can also get a sense of the number of PCs needed via a bootstrap method, as shown in Example 13. Note that this method is iterative and takes a bit of time. Comparing these results to the scree plot, you'll see that the bootstrap method suggests that 2 PCs would not always be enough to reach the 95% level, while the scree plot suggests that 2 PCs is sufficient.

Now let's turn to viewing scores in 3D. There are currently 3 options in `ChemoSpec`: plotting using `lattice` graphics, which produces a static plot that you have to adjust manually, and two interactive plots, one based on package `rgl` and one based upon package `rggobi` which in turn uses the program `ggobi`. Probably the best place to start is with `plotScoresRGL`. It is well suited to exploring your data, and can be printed out in high quality. However, the nature of the GL graphics device means that the title and the legend move with the data, so this may not give a hardcopy suitable for publications. This interactive plot cannot be invoked in this document, but here are the necessary commands:

Example 11: Diagnostics: Score Distances

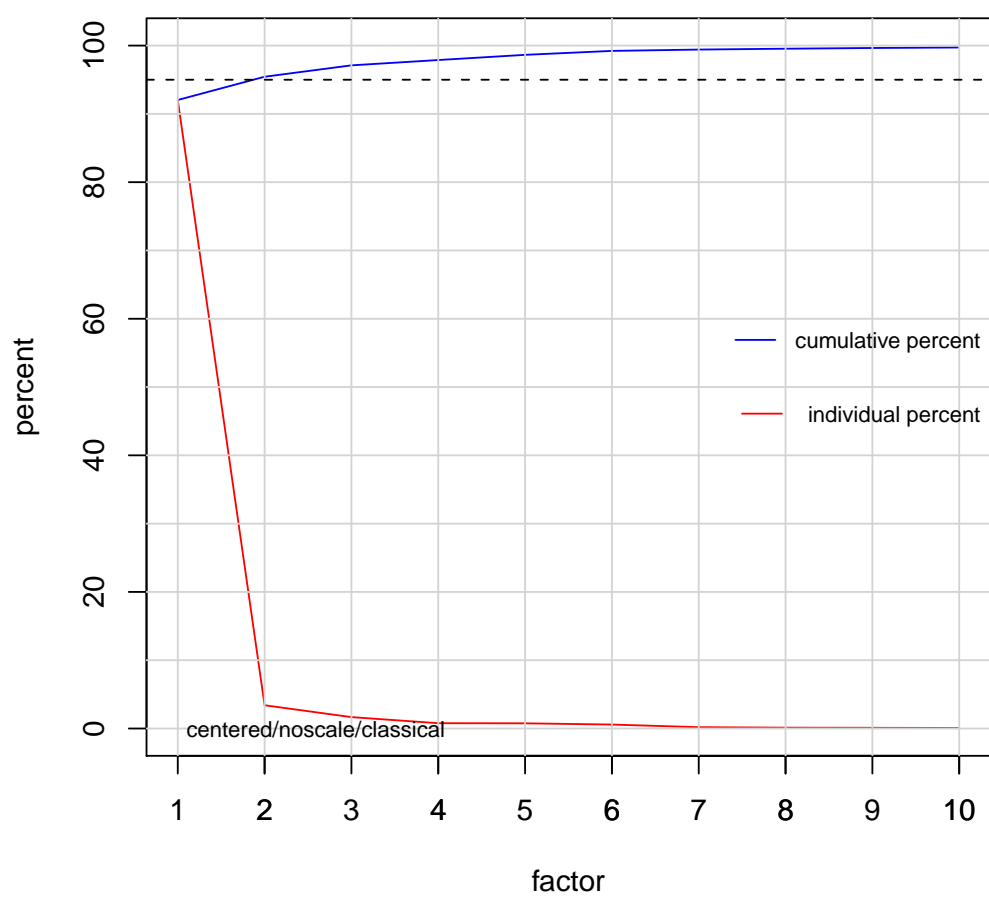
```
> diagnostics <- pcaDiag(CuticleIR, class, pcs = 2, plot = "SD")
```

Possible PCA Outliers based on Score Distance

Example 12: Creating a Scree Plot

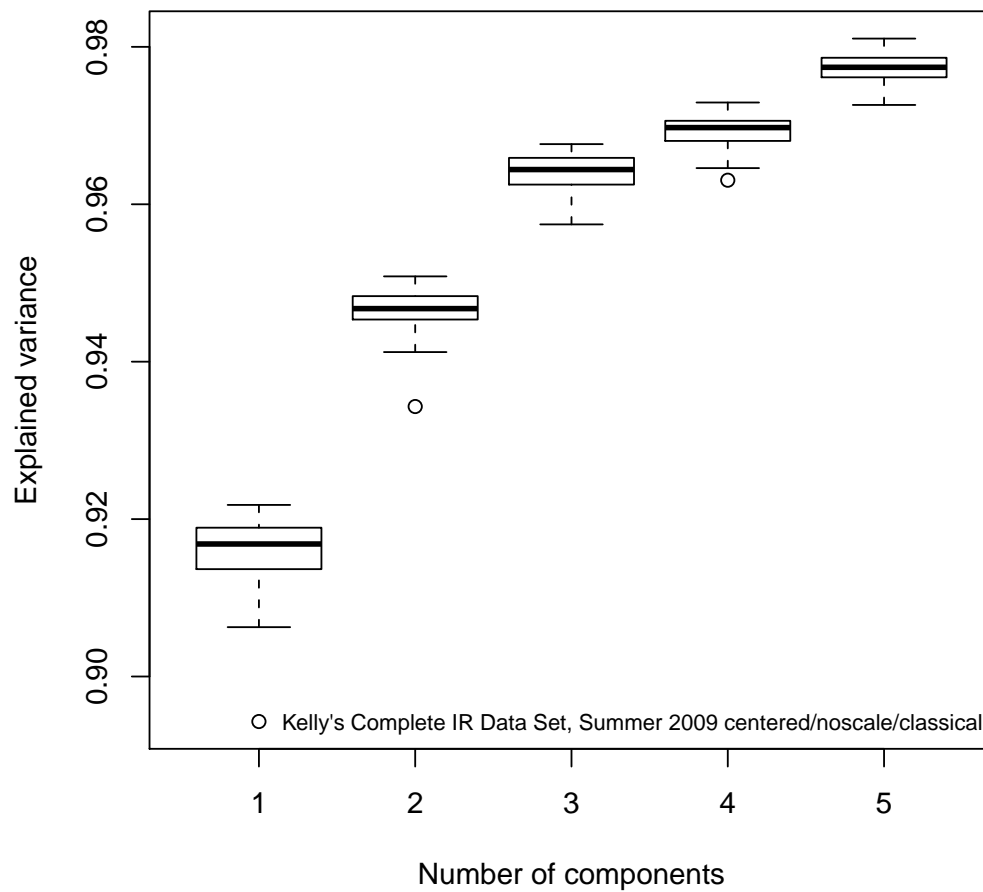
```
> plotScree(class, title = "Cuticle IR Spectra")
```

Cuticle IR Spectra: Scree Plot



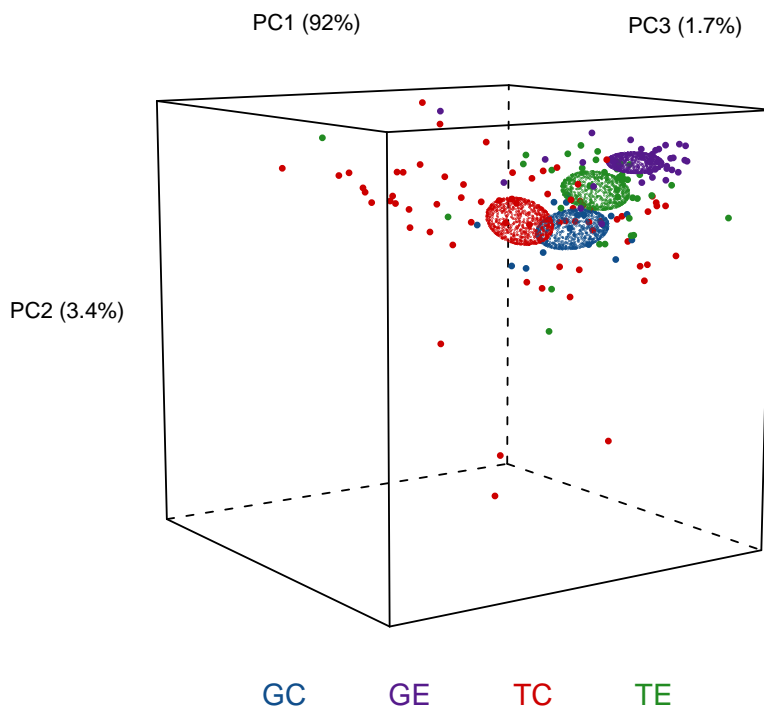
Example 13: Conducting Bootstrap Analysis for No. of PCs

```
> out <- pcaBoot(CuticleIR, pcs = 5, choice = "noscale")
```

Bootstrap Analysis of Number of PCs

Example 14: One Way to Plot Scores in 3D

```
> plotScores3D(CuticleIR, class, title = "Cuticle IR Spectra")
```

Cuticle IR Spectra: PCA Score Plot

Kelly's Complete IR Data Set, Summer 2009

```
> plotScoresRGL(CuticleIR, class, title = "Cuticle IR Spectra",
+ leg.pos = "A", t.pos = "B") # not run - it's interactive!
```

For full details, of course take a look at the manual page, `?plotScoresRGL`. If you want a similar and probably more publication-worthy plot, you can use `plotScores3D` as shown in Example 14.

Finally, you can install the program `ggobi` and the package `rggobi` and use `plotScoresG` to produce an different interactive plot. This is actually the most powerful analysis tool, as `ggobi` is not restricted to 3 dimensions, and can use projection pursuit methods to find interesting views of your data. With an additional package, `DescribeDisplay`, you can create very nice plots of your data. Note that at this writing (December 27, 2009), `rggobi` is apparently waiting for an update, as it has disappeared from the CRAN servers.

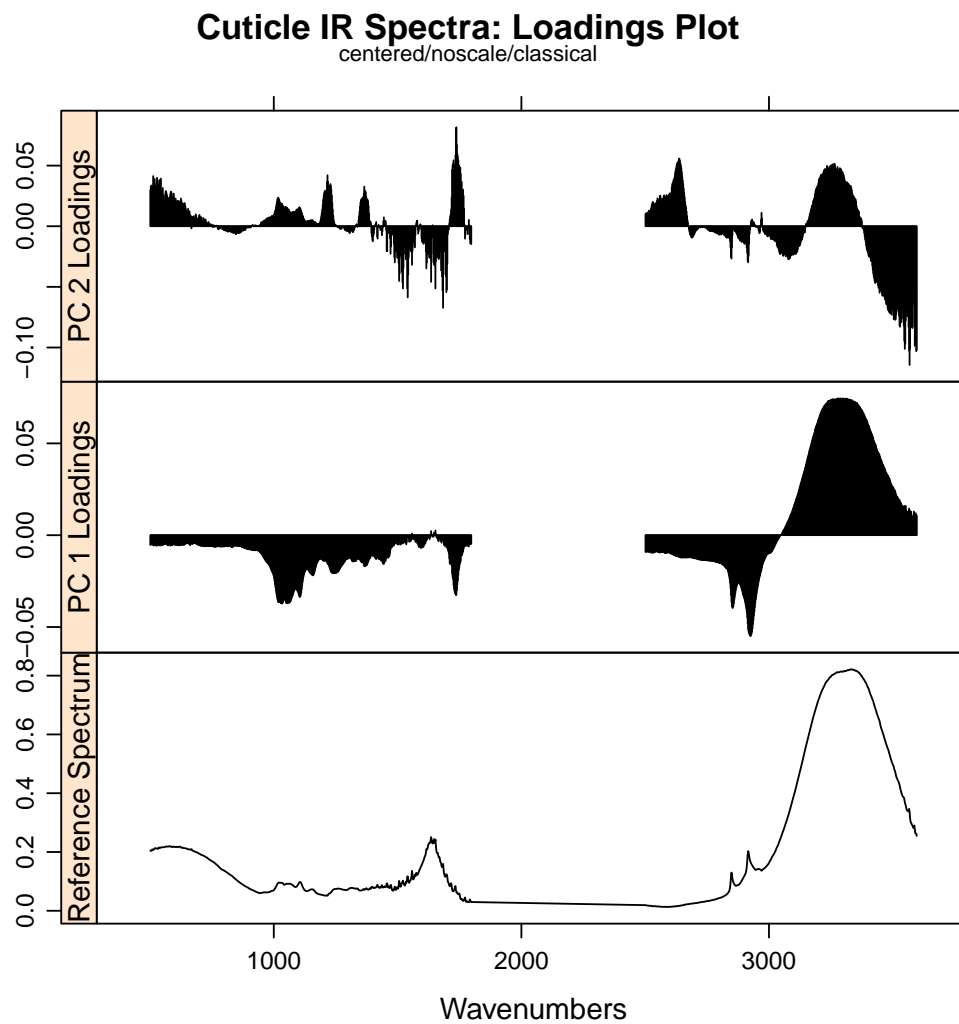
```
> plotScoresG(CuticleIR, class) # not run - it's interactive!
```

In addition to the scores, PCA also produces loadings which tell you how each variable (frequencies in spectral applications) affect the scores. Examining these loadings can be critical to interpreting your results. Example 15 gives an example. You can see that the hydroxyl peak above $3,000\text{ cm}^{-1}$ has a large effect on PC 1, and it is this peak that is responsible for PC 1 explaining over 90% of the variance (mentioned earlier). It would be of interest to eliminate this peak, and repeat the PCA, but analysis of specific data is not our goal here.

You can also plot one loading against another, using function `plot2Loadings` (Example 16). This is typically not too

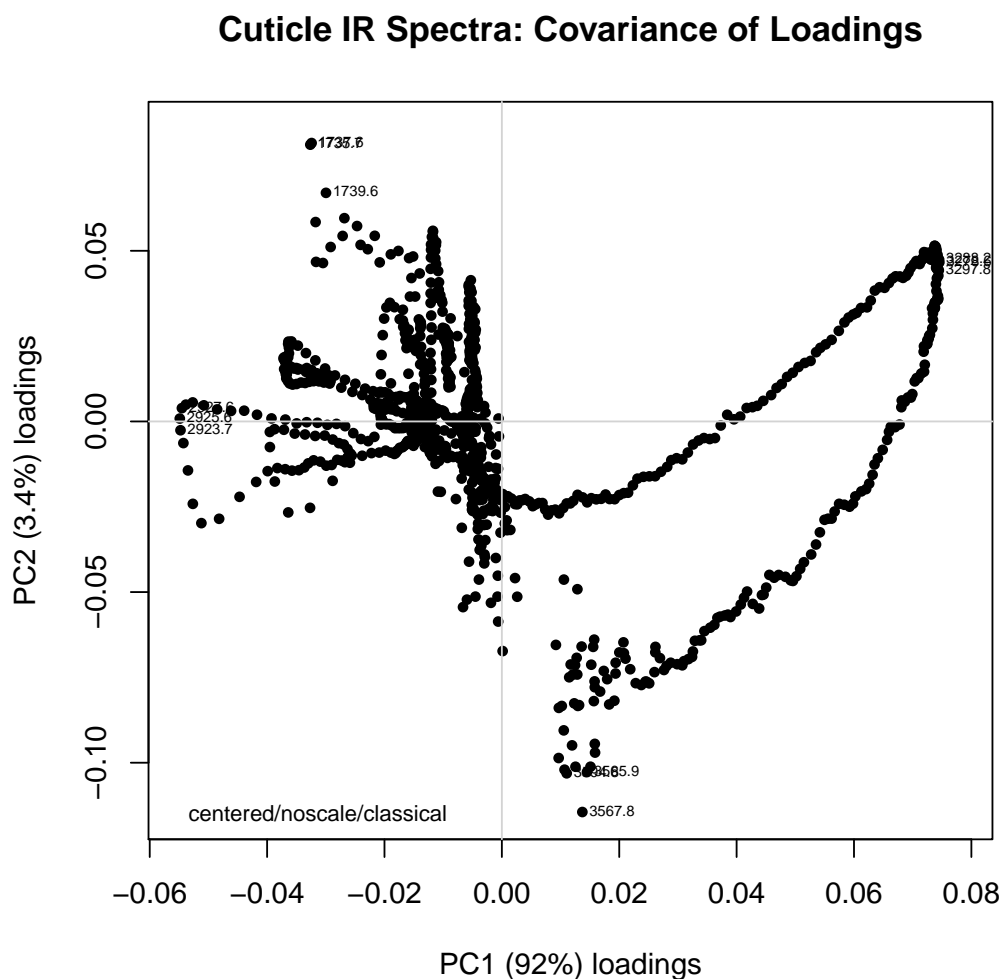
Example 15: Creating a Loading Plot

```
> plotLoadings(CuticleIR, class, title = "Cuticle IR Spectra",  
+ loads = c(1, 2), ref = 1)
```



Example 16: Plotting One Loading vs. Another

```
> plot2Loadings(CuticleIR, class, title = "Cuticle IR Spectra",
+ loads = c(1, 2), tol = 0.002)
```



useful for spectroscopic data, since many of the variables are correlated (as they are parts of the same peak, hence the serpentine lines in the figure). The most extreme points on the plot, however, can give you an idea of which peaks (frequencies) serve to differentiate a pair of PCs, and hence, drive your data clustering.

Finally, you can blend the ideas of PCA and HCA. Since PCA eliminates the noise in a data set (after you have selected the important PCs), you can carry out HCA on the PCA scores, since the scores represent the cleaned up data. The result using the CuticleIR data set are not much better than doing HCA on the raw spectra, so we won't illustrate it, but the command would be:

```
> hcaScores(CuticleIR, class, scores = c(1:5), title = "Cuticle IR Spectra",
+ method = "complete")
```

2.6 Model-Based Clustering Using mclust

PCA and HCA are techniques which are unsupervised and have no underlying model. HCA computes distances between pairs of spectra and agglomeratively groups these in an iterative fashion until the dendrogram is complete. PCA seeks out components that maximize the variance. While in PCA one often (and ChemoSpec does) displays the samples coded by their group membership, this information is not actually used in PCA; any apparent correspondence between the sample

group classification and the clusters found is accidental in terms of the computation, but of course, this is what one hopes to find!

`mclust` is a model-based clustering package that takes a different approach.[10, 11]. `mclust` assumes that there are groups within your data set, and that those groups are multivariate normally distributed. Using an iterative approach, `mclust` samples various possible groupings within your data set, and uses a Bayesian Information Criterion (BIC) to determine which of the various groupings it finds best fits the data distribution. `mclust` looks for groups that follow certain constraints, for instance, one constraint is that all the groups found must have a spherical distribution of data points, while another allows for ellipsoidal distributions. See the paper by Fraley and Raftery[11] for more details. The basic idea however is that `mclust` goes looking for groups in your data set, and then you can compare the groupings it finds with the groupings you know to be true. `ChemoSpec` contains several functions that interface with and extend `mclust` functions. Let's demonstrate using a subset of the `CuticleIR` data set (we'll use only the T genotypes to make it easier to see what's going on, and we'll change the color scheme too):

```
> data(CuticleIR)
> G.only <- removeSample(CuticleIR, rem.sam = c("TE", "TC"))
> G.only <- conColScheme(G.only, new = c("red", "blue"))
> sumSpectra(G.only)
```

Kelly's Complete IR Data Set, Summer 2009

There are 51 spectra in this set.
The y-axis unit is Absorbance.

The frequency scale runs from 501.4261 to 3596.768 Wavenumbers
There are 1242 frequency (x-axis) data points.
The frequency resolution is 1.9286 Wavenumbers/point.

This data set is not continuous along the frequency axis.
Here are the data chunks:

	beg.freq	end.freq	size	beg.indx	end.indx
1	501.4261	1797.420	1295.994	1	673
2	2501.3450	3596.768	1095.423	674	1242

The spectra are divided into 2 groups:

	group	no.	color	symbol	alt.sym
1	GC	16	red	2	b
2	GE	35	blue	15	d

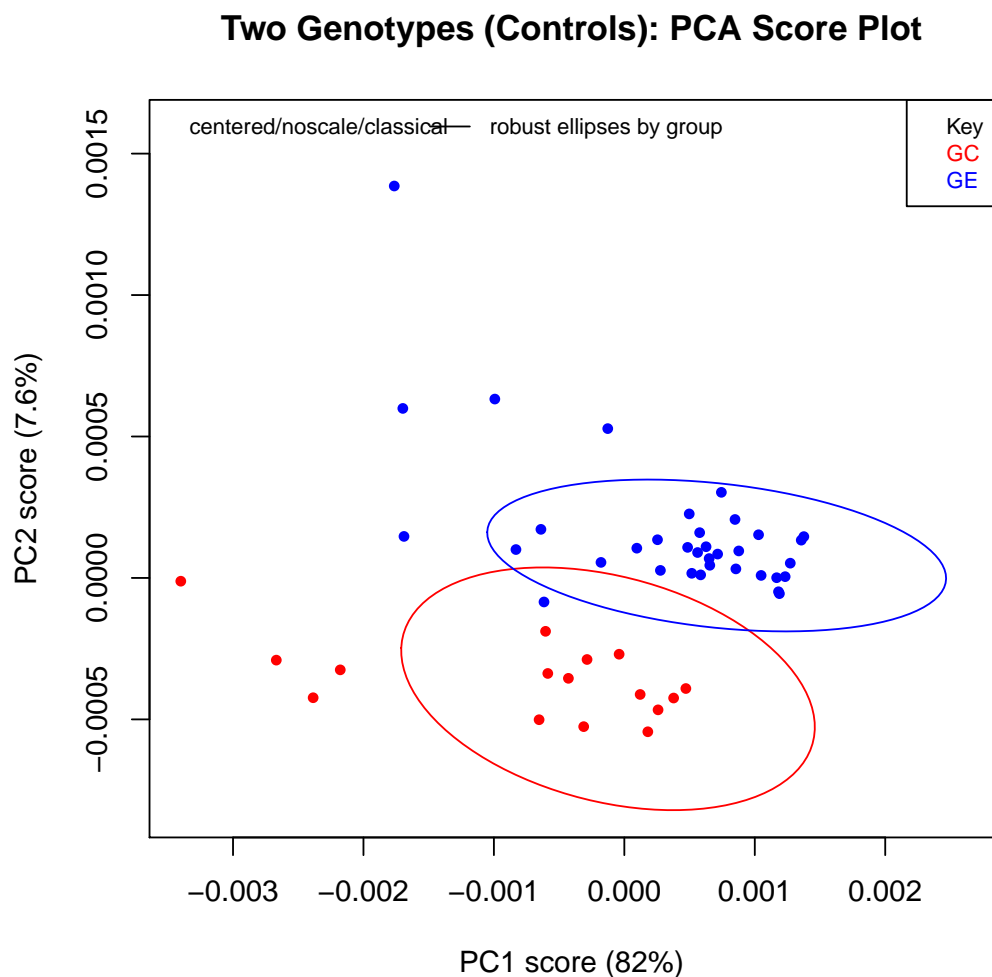
*** Note: this data is an S3 object of class 'Spectra'

Now let's do a PCA and plot the scores using `plotScores`. The code and results are seen in Example 17, where you can see that the two groups overlap slightly, and there are some widely-scattered points in each group. Next, we'll let `mclust` have a go at it. Remember that `mclust` doesn't know about your group assignments, it just looks at the data. In this case, `mclust` first uses the BIC to determine which model best fits your data; these results are shown in Example 18. Next, Example 19 shows the 3 groups that `mclust` finds in the data which actually is composed of 2 groups. Visually comparing the score plot in Example 17 with the `mclust` results in Example 19, you'll see that most of the rogue points have been collected into their own group, and the majority of the the true group members appear to form their own clusters. We need not guess however, as `mclust` will map the true groups onto the groups it has found. Points in error are X-ed out. These results can be seen in Example 20. From this plot, you can see that `mclust` is reasonably correct about group membership; it appears to be taking a robust approach but in fact that is just an illusion in this case (sometimes outliers really drag the main body of good points around).

You can also do a similar analysis in 3D, using `mclust3dSpectra`. This function uses `mclust` to find the groups, but then uses non-`mclust` functions to draw confidence ellipses. This function uses `rgl` graphics so it cannot demonstrated here, but after doing the PCA as described in the examples, the commands would be:

Example 17: PCA on a Subset of CuticleIR

```
> G.only.pca <- classPCA(G.only)
> plotScores(G.only, G.only.pca, title = "Two Genotypes (Controls)",
+ ellipse = "rob")
```



```
> mclust3dSpectra(G.only, G.only.pca) # not run - it's interactive!
```

You have all the options here that you do with `plotScoresRGL`, namely, classical, robust or no ellipses, control of the ellipse details, and labeling of extreme points.

I hope you have enjoyed this tour of the features of `ChemoSpec`!

3 Technical Background

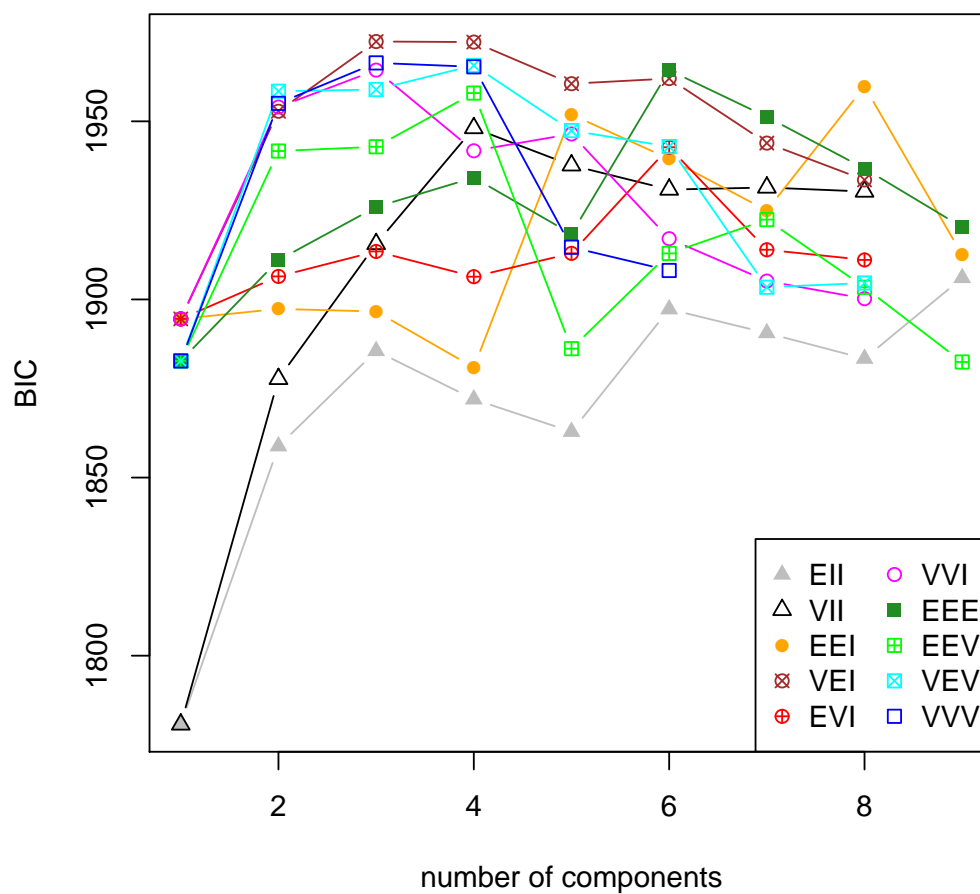
`ChemoSpec` is written entirely in R, there is no compiled code. Hence, it should be platform independent (please let me know if you discover otherwise). `ChemoSpec` uses S3 classes under the hood because frankly they were much faster to write. Converting to S4 would not be terribly difficult. For the pros and cons of classes and object-oriented programming in R, see the help archives (search my name for one thread and some really interesting replies from the big dogs). `ChemoSpec` employs several different graphics packages - the choice was one of practicality. I find it pretty quick to write in base graphics, but `lattice` and `ggplot2` do certain things very well, so they were used where appropriate. Even `rgl` makes an appearance. In general, I tried to make all the graphics output look similar for consistency.

Example 18: mclust Chooses an Optimal Model

```
> model <- mclustSpectra(G.only, G.only.pca, plot = "BIC",
+ title = "Two Genotypes (Controls)")
```

Two Genotypes (Controls): How Many Clusters?

Mclust optimal model: VEI



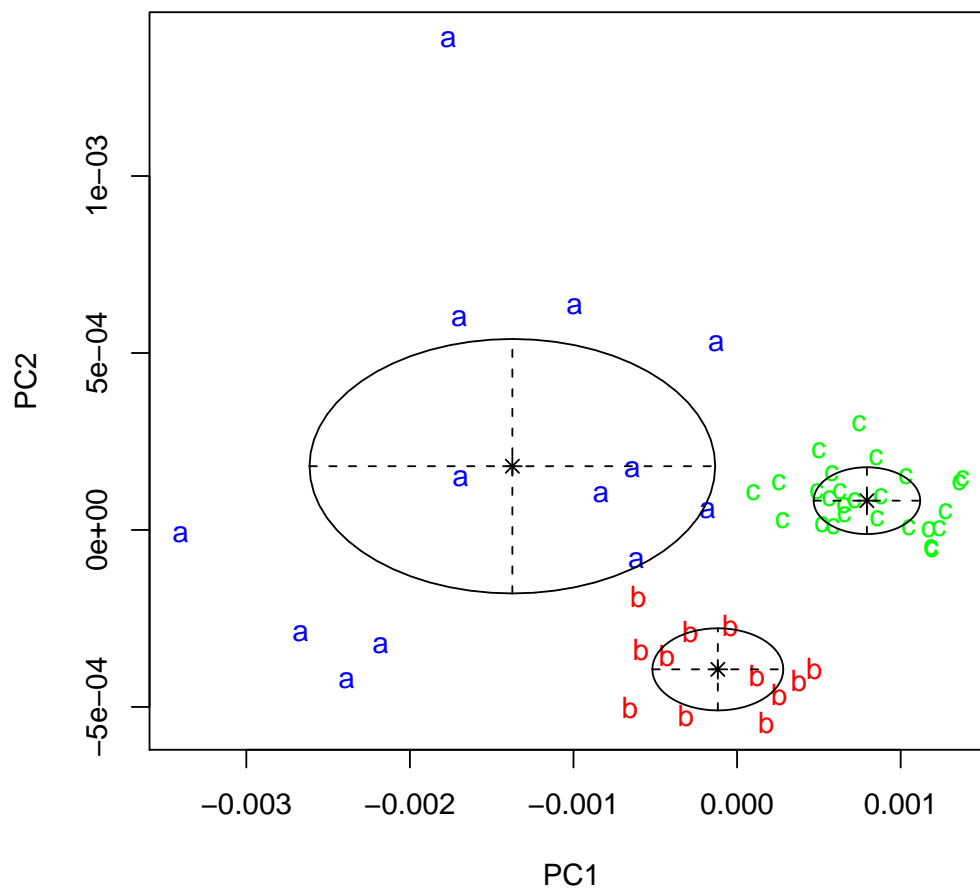
Kelly's Complete IR Data Set, Summer 2009 centered/noscale/classical

Example 19: mclust's Thoughts on the Matter

```
> model <- mclustSpectra(G.only, G.only.pca, plot = "proj",  
+ title = "Two Genotypes (Controls)")
```

Two Genotypes (Controls): Clusters Found by mclust

Mclust optimal model: VEI



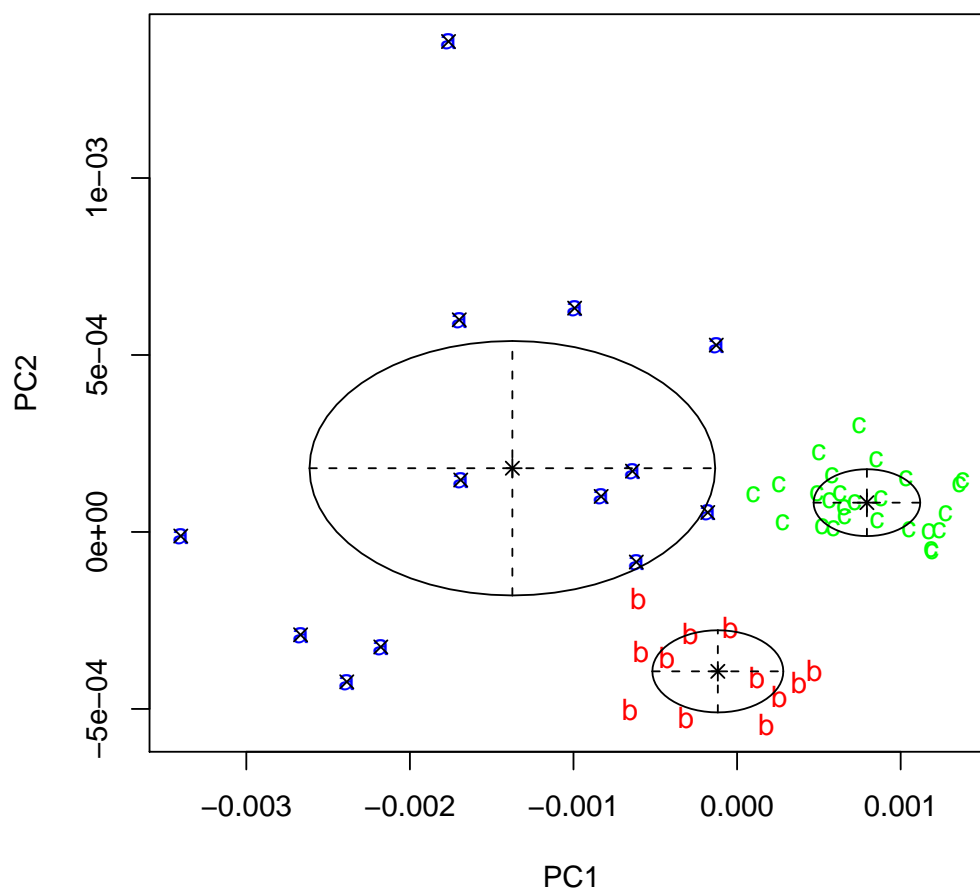
Kelly's Complete IR Data Set, Summer 2009 centered/noscale/classical

Example 20: Comparing mclust Results to the TRUTH

```
> model <- mclustSpectra(G.only, G.only.pca, plot = "errors",
+ title = "Two Genotypes (Controls)", truth = G.only$groups)
```

Two Genotypes (Controls): Misclassifications?

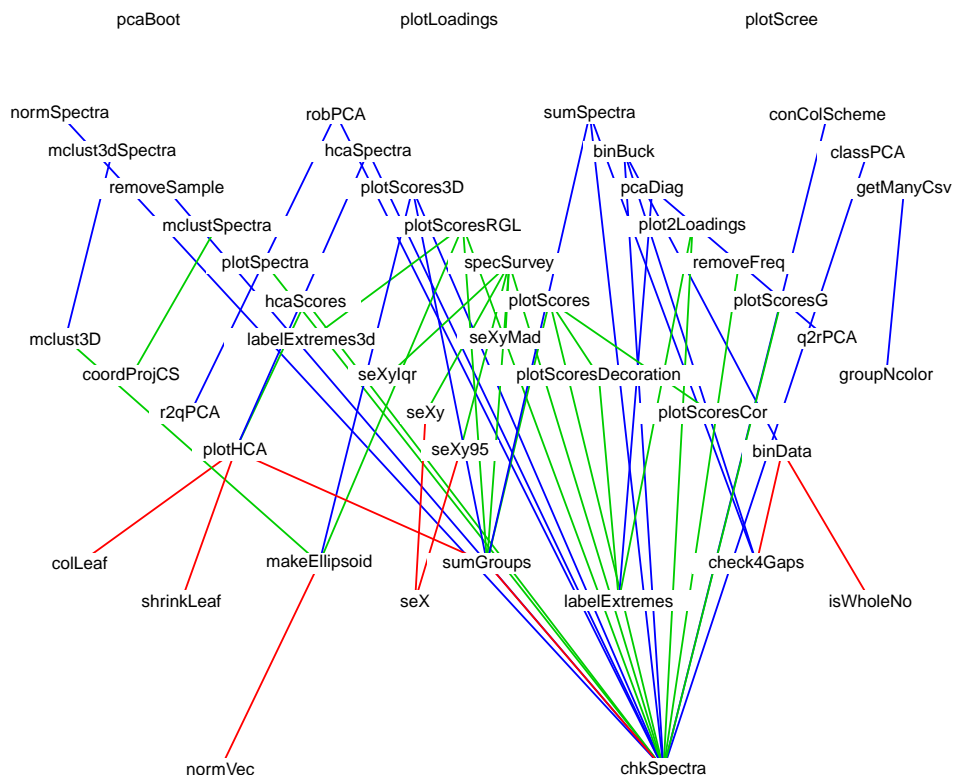
Mclust optimal model: VEI



Kelly's Complete IR Data Set, Summer 2009 centered/noscale/classical

Example 21: Map of Functions in ChemoSpec

```
> foodweb(where = "package:ChemoSpec", charlim = 30, cex = 0.75, lwd = 1)
```



In understanding the operation of a package, it is useful to know how the functions relate to each other, i.e., which functions call each other. These relationships are readily visualized with a diagram like Example 21, generated by function `foodweb` in package `mvbutils`[12].

4 Acknowledgements

The development of `ChemoSpec` began while I was recently on sabbatical, and was aided greatly by an award of a Fisher Fellowship. These programs are coordinated by the Faculty Development Committee at DePauw, and I am very grateful to them as well as the individuals who originally created these programs. One of my student researchers, Kelly Summers, took the data included in `CuticleIR` in the summer of 2009 as part of a preliminary study. Prof. Dan Raftery at Purdue University provided an NMR data set (not included here) which was very helpful in troubleshooting functions. I am also grateful to Prof. Peter Filzmoser who answered a number of my questions related to the algorithms in his `chemometrics` package.

5 The Competition

Several other packages exist which do some of the same tasks as ChemoSpec, and do other things as well. `spectrino` is a GUI interface that runs only under the Windows OS[13]. It runs as a separate program in communication with R. It is oriented mainly toward processing and organizing spectral data prior to statistical analysis. `hyperspec` is a very nice package that appeared while I was developing ChemoSpec, and it does many of the same things as ChemoSpec, and a few more. It is written using S4 classes which suggests that Claudia Beileites is a better computer scientist than me! TIMP is geared toward more sophisticated modeling of time-dependent spectral data sets.[14] Finally, the package `Metabonomic`[15] provides a GUI interface to spectral processing such as baseline correction, as well as a range of exploratory and supervised statistical methods. Note: my comments here are based on the latest versions I have explored; newer versions may have considerably more features. Check 'em out for yourself!

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