Making Sense of the Noise: Leveraging Existing 16S rRNA Gene Surveys to Identify Key Community Members in Colorectal Tumors

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#### Abstract

- <sup>2</sup> An increasing body of literature suggests that both individual and collections of bacteria
- are associated with the progression of colorectal cancer. As the number of studies
- 4 investigating these associations increases and the number of subjects in each study
- increases, a meta-analysis to identify the associations that are the most predictive of
- 6 disease progression is warranted. We analyzed previously published 16S rRNA gene
- <sup>7</sup> sequencing data collected from feces and colon tissue.
- We quantified the odds ratios (ORs) for individual bacterial taxa that were associated with an individual having tumors relative to a normal colon. Among the fecal samples, there were no taxa that had a significant ORs associated with adenoma and there were 8 taxa with significant ORs associated with carcinoma. Similarly, among the tissue samples, there were no taxa that had a significant OR associated with adenoma and there were 3 taxa with significant ORs associated with carcinoma. Among the significant ORs, the association between individual taxa and tumor diagnosis was equal or below 7.11. Because individual taxa had limited association with tumor diagnosis, we trained Random Forest classification models using only the taxa that had significant ORs, using the entire collection of taxa found 16 in each study, and using operational taxonomic units defined based on a 97% similarity 17 threshold. All training approaches yielded similar classification success as measured using 18 the Area Under the Curve. The ability to correctly classify individuals with adenomas was poor and the ability to classify individuals with carcinomas was considerably better using sequences from fecal or tissue.

# 22 Importance

Colorectal cancer is a significant and growing health problem in which animal models and epidemiological data suggest that the colonic microbiota have a role in tumorigenesis. These observations indicate that the colonic microbiota is a reservoir of biomarkers that may improve our ability to detect colonic tumors using non-invasive approaches. This 26 meta-analysis identifies and validates a set of 8 bacterial taxa that can be used within a 27 Random Forest modeling framework to differentiate individuals as having normal colons or 28 carcinomas. When models trained using one dataset were tested on other datasets, the 29 models performed well. These results lend support to the use of fecal biomarkers for the 30 detection of tumors. Furthermore, these biomarkers are plausible candidates for further 31 mechanistic studies into the role of the gut microbiota in tumorigenesis.

### 3 Keywords

microbiota; colorectal cancer; polyps; adenoma; tumor; meta-analysis.

## Background

Colorectal cancer (CRC) is a growing world-wide health problem in which the microbiota
has been hypothesized to have a role in disease progression (1, 2). Numerous studies
using murine models of CRC have shown the importance of both individual microbes
(3–7) and the overall community (8–10) in tumorigenesis. Numerous case-control
studies have characterized the microbiota of individuals with colonic adenomas and
carcinomas in an attempt to identify biomarkers of disease progression (6, 11–17).
Because current CRC screening recommendations are poorly adhered to due to person's
socioeconomic status, test invasiveness, and frequency of tests, development and
validation of microbiota-associated biomarkers for CRC progression could further attempts
to develop non-invasive diagnostics (18).

Recently, there has been an intense focus on identifying microbiota-based biomarkers yielding a seemingly endless number of candidate taxa. Some studies point towards mouth-associated genera such as Fusobacterium, Peptostreptococcus, Parvimonas, and Porphyromonas that are enriched in people with carcinomas (6, 11–17). Other studies have identified members of Akkermansia, Bacteroides, Enterococcus, Escherichia, Klebsiella, 50 Mogibacterium, Streptococcus, and Providencia (13-15). Additionally, Roseburia has been 51 found in some studies to be more abundant in people with tumors but in other studies it has been found to be less abundant than what is found in subjects with normal colons (14, 17, 19, 20). There is support from mechanistic studies using tissue culture and murine models that Fusobacterium nucleatum, pks-positive strains of Escherichia coli, Streptococcus gallolyticus, and an entertoxin-producing strain of Bacteroides fragilis are important in 56 tumorigenesis (5, 14, 21–24). These results point to a causative role for the microbiota in 57 tumorigenesis as well as their potential as diagnostic biomarkers.

59 Most studies have focused on identifying biomarkers in patients with carcinomas but

there is a clinical need to identify biomarkers associated with adenomas to facilitate
early detection of the tumors. Studies focusing on broad scale community metrics have
found that measures such as the total number of taxa (i.e. richness) are lower in those
with adenomas versus controls (25). Other studies have identified *Acidovorax*, *Bilophila*, *Cloacibacterium*, *Desulfovibrio*, *Helicobacter*, *Lactobacillus*, *Lactococcus*, *Mogibacterium*,
and *Pseudomonas* to be enriched in those with adenomas (25–27). The ability to classify
individuals as having normal colons or adenomas based solely on the taxa within fecal
samples has been limited. However, when 16S rRNA gene sequence data was combined
with the results of a fecal immunochemical test (FIT), the ability to diagnose individuals
with adenomas was improved relative to using the FIT results alone (12).

A recent meta-analysis found that 16S rRNA gene sequences from members of Akkermansia, Fusobacterium, and Parvimonas were fecal biomarkers for the presence of carcinomas (28). Contrary to previous studies they found sequences similar to members of Lactobacillus and Ruminococcus to be enriched in patients with adenoma or carcinoma relative to those with normal colons (12, 15, 16). In addition, they found that 16S rRNA gene sequences from members of Haemophilus, Methanosphaera, Prevotella, and Succinovibrio were enriched in patients with adenomas and Pantoea were enriched in patients with carcinomas. Although this meta-analysis was helpful for distilling a large number of possible biomarkers, the aggregate number of samples included in the analysis (n=509) was smaller than several larger case-control studies that have since been published (12, 27)

Here we provide an updated meta-analysis using 16S rRNA gene sequence data from both feces (n=1737) and colon tissue (492 samples from 350 individuals) from 14 studies (11–17, 19, 20, 23, 25–27, 29) [Table 1 & 2]. We expand both the breadth and scope of the previous meta-analysis to investigate whether biomarkers describing the bacterial community or specific members of the community can more accurately classify patients as

- <sub>86</sub> having adenoma or carcinoma. Our results suggest that the bacterial community changes
- as disease severity worsens and that a subset of the microbial community can be used to
- 88 diagnose the presence of carcinoma.

#### **Results**

Lower bacterial diversity is associated with higher odds ratio (OR) of tumors. We first assessed whether variation in broad community metrics like total number of operational taxonomic units (OTUs) (i.e. richness), the evenness of their abundance, and the overall diversity of the communities were associated with disease stage after controlling for study 93 and variable region differences. In fecal samples, both evenness and diversity were significantly lower in successive disease severity categories (evenness P-value=0.025 and diversity P-value=0.043) [Figure 1]; there was no significant difference for richness (P-value=0.21). We next tested whether the lower value of these community metrics 97 translated into significant ORs for having an adenoma or carcinoma. For fecal samples, the ORs for richness were not significantly greater than 1.0 for adenoma or carcinoma 99 (P-value=0.40) [Figure 2A]. The ORs for evenness were significantly higher than 1.0 for 100 adenoma (OR=1.3 (95% Confidence Interval: 1.02 - 1.65), P-value=0.035) and carcinoma 101 (OR=1.66 (1.2 - 2.3), P-value=0.0021) [Figure 2B]. The ORs for diversity were only 102 significantly greater than 1.0 for carcinoma (OR=1.61 (1.14 - 2.28), P-value=0.0069), 103 but not for adenoma (P-value=0.11) [Figure 2C]. Although these ORs are significantly 104 greater than 1.0, it is doubtful that they are clinically meaningful.

Similar to our analysis of sequences obtained from fecal samples, we repeated the analysis 106 using sequences obtained from colon tissue. There were no significant differences in 107 richness, evenness, or diversity as disease severity progressed from control to adenoma 108 to carcinoma (P-values > 0.05). We next analyzed the ORs, for matched (i.e. where 109 unaffected tissue and tumors were obtained from the same individual) and unmatched 110 (i.e. where unaffected tissue and tumor tissue were not obtained from the same individual) 111 tissue samples. The ORs for adenoma and carcinoma were not significantly different from 112 1.0 for any measure (P-values > 0.05) [Figure S1 & Table S1]. This is likely due to the 113 combination of a small effect size and the relatively small number of studies and size of studies used in the analysis.

Disease progression is associated with changes in community structure. Based 116 on the differences in evenness and diversity, we next asked whether there were 117 community-wide differences in the structure of the communities associated with different 118 disease stages. We identified significant bacterial community differences in the feces of 119 patients with adenomas relative to those with normal colons in 1 of 4 studies and in patients 120 with carcinomas relative to those with normal colons in 6 of 7 studies (PERMANOVA; 121 P-value < 0.05) [Table S2]. Similar to the analyses using fecal samples, there were 122 significant differences in the bacterial community structure of subjects with normal colons 123 and those with adenomas (1 of 2 studies) and carcinomas (1 of 3 studies) [Table S2]. For studies that used matched samples, we did not observe any differences in bacterial community structures [Table S2]. Combined, these results indicate that there were consistent and significant community-wide changes in the fecal community structure of subjects with carcinomas. However, the signal observed in subjects with adenomas or 128 when using tissue samples was not as consistent. This is likely due to a smaller effect 129 size or the relatively small sample sizes among the studies that characterized the tissue 130 microbiota. 131

Individual taxa are associated with significant ORs for carcinomas. Next we identified those taxa that had ORs that were significantly associated with having a normal colon or the presence of adenomas or carcinomas. No taxa had a significant OR for the presence of adenomas when we used data collected from fecal or tissue samples (Table S3 & S4). In contrast, 8 taxa had significant ORs for the presence of carcinomas using data from fecal samples. Of these, 4 are commonly associated with the oral cavity: Fusobacterium (OR=2.74 (1.95 - 3.85)), Parvimonas (OR=3.07 (2.11 - 4.46)), Porphyromonas (OR=3.2 (2.26 - 4.54)), and Peptostreptococcus (OR=7.11 (3.84 - 13.17)) [Table S3]. The other 4 were Clostridium XI (OR=0.65 (0.49 - 0.86)), Enterobacteriaceae (OR=1.79 (1.33 - 2.41)),

Escherichia (OR = 2.15 (1.57 - 2.95)), and Ruminococcus (OR=0.63 (0.48 - 0.83)). Among the data collected from tissue samples, only unmatched carcinoma samples had taxa with a significant OR. Those included *Dorea* (OR=0.35 (0.22 - 0.55)), *Blautia* (OR=0.47 143 (0.3 - 0.73)), and Weissella (OR=5.15 (2.02 - 13.14)). Mouth-associated genera were 144 not significantly associated with a higher OR for carcinoma in tissue samples [Table 145 S4]. For example, Fusobacterium had an OR of 3.98 (1.19 - 13.24; however, due to the 146 small number of studies and considerable variation in the data, the Benjimani-Hochberg 147 corrected P-value was 0.93 [Table S4]. It is interesting to note that Ruminococcus and 148 members of Clostridium XI in fecal samples and Dorea and Blautia in tissue had ORs 149 that were significantly less than 1.0, which suggests that these populations are protective 150 against the development of carcinomas. Overall, there was no overlap in the taxa with 151 significant OR between fecal and tissue samples. 152

Individual taxa with a significant OR do a poor job of differentiating subjects with 153 normal colons and those with carcinoma. We next asked whether those taxa that had a significant OR associated with having a normal colon or carcinomas could be used 155 individually, to classify subjects as having a normal colon or carcinomas. OR values were 156 caluclated based on whether the relative abundance for a taxon in a subject was above or below the median relative abundance for that taxon across all subjects in a study. To 158 measure the ability of these taxa to classify individuals we instead generated receiver 159 operator characteristic (ROC) curves for each taxon in each study and calculated the area 160 under the curve (AUC). This allowed us to use a more fluid relative abundance threshold for classifying individuals by their disease status. Using data from fecal samples, the 8 taxa 162 did no better at classifying the subjects than one would expect by chance (i.e. AUC=0.50) 163 [Figure 3A]. The taxa that performed the best included Clostridium XI, Ruminococcus, and 164 Escherichia. However, these had median AUC values less than 0.588 ndicating their limited value as biomarkers when used individually. Likewise, in unmatched tissue samples the 3 taxa with significant OR taxa had AUC values that were marginally better than one would

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expect by chance [Figure 3B]. The relative abundance of *Dorea* was the best predictor of carcinomas and its median AUC was only 0.62. These results suggest that although these taxa are associated with a significant OR for the presences of carcinomas, they do a poor job of classifying a subject's disease status when used individually.

Combined taxa model classifies subjects better than using individual taxa. Instead 172 of attempting to classify subjects based on individual taxa, next we combined information 173 from the individual taxa and evaluated the ability to classify a subject's disease status using Random Forest models. For data from fecal samples, the combined model had an 175 AUC of 0.75, which was significantly higher than any of the AUC values for the individual taxa (P-value < 0.033). When this approach was used to train models using data from each study, the most important taxa were Ruminococcus and Clostridium XI [Figure 4A]. Similarly, using data from the unmatched tissue samples, the combined model had an AUC of 0.77, which was significantly higher than the AUC values for classifying based on the 180 relative abundances of Blautia and Weissella individually (P-value < 0.037). Both Dorea 181 and Blautia were the most important taxa in the tissue-based models [Figure 4B]. Pooling 182 the information from the taxa with significant ORs resulted in models that outperformed 183 classifications made using the same taxa individually. 184

Performance of models based on taxa relative abundance in full community is
better than that of models based on taxa with significant ORs. Next, we asked
whether a Random Forest classification model built using all of the taxa found in the
communities would outperform the models generated using those taxa with a significant
OR. Similar to our inability to identify taxa associated with a significant OR for the presence
of adenomas, the median AUCs to classify subjects as having normal colons or having
adenomas using data from fecal or tissue samples were only marginally better than 0.5
for any study (median AUC=0.549 (range: 0.367 - 0.971)) [Figure 5A & S2A]. In contrast,
the models for classifying subjects as having normal colons or having carcinomas using

data from fecal or tissue samples yielded AUC values meaningfully higher than 0.5 [Figure 5B & S2B-C]. When we compared the models based on all of the taxa in a community to models based on the taxa with significant ORs, the results were mixed. Using the data from fecal samples, we found that the AUC for 6 of 7 studies were an average of 14.8% 197 higher and AUC for the Flemer study was 0.54% lower when using the relative abundance 198 data from all taxa relative to using the relative abundance of only the taxa with significant 199 ORs. The overall improvement in performance was statistically significant (mean=12.61%, 200 one-tailed paired T-test; P-value=0.005). Among the models trained using data from fecal 201 samples, Bacteroides and Lachnospiraceae were the most common taxa in the top 10% 202 mean decrease in accuracy across studies [Figure S3]. Using data from unmatched 203 tissue samples to train classification models, we found that the AUC of studies was an 204 average 19.11% higher when we used all of the taxa rather than the 3 taxa with significant 205 ORs (one-tailed paired T-test; P-value=0.03). For the models trained using data from 206 unmatched tissue samples, Lachnospiraceae, Bacteroidaceae, and Ruminococcaceae 207 were the most common taxa in the top 10% mean decrease in accuracy across studies 208 [Figure S4]. Although the models trained using those taxa with a significant OR perform 209 well for classifying individuals with and without carcinomas, models trained using data from the full community perform better.

Performance of models based on OTU relative abundances are not significantly better than those based on taxa with significant ORs. The previous models were based on relative abundance data where sequences were classified to coarse taxonomic assignments (i.e. typically genus or family level). To determine whether model performance improved with finer scale classification, we assigned sequences to operational taxonomic units (OTUs) where the similarity among sequences within an OTU was more than 97%. We again found that classification models built using all of the sequence data for a community did a poor job of differentiating between subjects with normal colons and those with adenomas (median AUC: 0.53 (0.37- 0.56)). However, they did a good job of differentiating

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between subjects with normal colons and those with carcinomas (median AUC: 0.71 (0.50-0.90)). The OTU-based models performed similarly to those constructed using the taxa with significant ORs (one-tailed paired T-test; P-value=0.966) and those using all taxa (one-tailed paired T-test; P-value=0.146) [Figure 4]. Among the OTUs that had the highest mean decrease in accuracy for the OTU-based models, we found that OTUs that affiliated with all of the 8 taxa that had a significant OR were within the top 10% for at least one study. This result was surprising as it indicated that a finer scale classification of the sequences and thus a larger number of features to select from, did not yield improved classification of the subjects.

Generalizability of taxon-based models trained on one dataset to the other 230 datasets. Considering the good performance of the Random Forest models trained using 23 the relative abundance of taxa with significant ORs and models trained using the relative 232 abundance of all taxa, we next asked how well the models would perform when given data from a different cohort. For instance, if a model was trained using data from the Ahn study, we wanted to know how well it would perform using the data from the Baxter 235 study. The models trained using the taxa with significant ORs all had a higher median AUC 236 than the models trained using all of the taxa when tested on the other datasets [Figure 6 237 & S5]. As might be expected, the difference between the performance of the modeling 238 approaches appeared to vary with the size of the training cohort (R<sup>2</sup>=0.66) [Figure 6]. 239 These data suggest that given a sufficient number of subjects with normal colons and 240 carcinomas, Random Forest models trained using a small number of taxa can accurately 241 classify individuals from a different cohort.

### Discussion

We performed a meta-analysis to identify and validate microbiota-base biomarkers that could be used to classify individuals as having normal colons or colonic tumors using fecal or tissue samples. To our surprise, Random Forest classification models constructed to differentiate individuals with normal colons from those with carcinomas using a subset of the community performed well relative to models constructed using the full communities. When we applied the models trained on each dataset to the other datasets in our study, we found that the models trained using the subset of the communities performed better than those using the full communities. These models were trained using data in which sequences were assigned to bacterial taxa using a classifier that typically assigned sequences to the family or genus level. When we attempted to improve the specificity of the classification by using an OTU-based approach the resulting models performed as well as those constructed using coarse taxonomic assignments. These results are significant because they strengthen the growing literature indicating a role for the colonic microbiota in tumorigenesis, as a potential tool as a non-invasive diagnostic, and for assessing risk of disease and recurrence (9, 12, 30).

Fine scale classification of sequences into OTUs did not improve our classification models. This was also tested in earlier efforts to use shotgun metagenomic data to classify individuals as having normal colons or tumors; however, it was shown that analyses performed using shotgun metagenomic data did not perform better than using 16S rRNA gene sequencing data (31). We hypothesize that fine scale classification may not result in better classification because distribution of microbiota between individuals is patchy. In contrast, models using coarser taxonomic assignments will pool the fine scale diversity, resulting in less patchiness and better classification. Furthermore, the ability of models trained using a subset of the community to outperform those using the full community when testing the models on the other datasets may also be a product of

the patchiness of the human-associated microbiota. The models based on the 8 taxa that had significant ORs used taxa that were found in every study and tended to have higher relative abundances. Similar to the OTU-based models, those models based on the full community taxonomy assignments were still sensitive to the patchy distribution of taxa. Regardless, it is encouraging that a collection of 8 taxa could reliably classify individuals as having carcinomas considering the differences in cohorts, DNA extraction procedures, regions of the 16S rRNA gene, and sequencing methods.

When used to classify individuals with carcinomas, the taxa with significant ORs could not reliably classify individuals on their own [Figure 3]. This result further supports the hypothesis that carcinoma-associated microbiota have a patchy distribution. Two individuals may have had the same classification, based on the relative abundance of different populations within this group of 8 taxa. Although these results only reflect associations with disease, it is tempting to hypothesize that the patchiness is indicative of distinct mechanisms of exacerbating tumorigenesis or that multiple taxa have the same mechanism of exacerbating tumorigenesis. For example, strains of *Escherichia coli* and *Fusobacterium nucleatum* have been shown to worsen inflammation in mouse models of tumorigenesis (5, 6, 21). In contrast to the patchiness of the taxa that were positively associated with carcinomas, potentially beneficial taxa had a more consistent association [Figure 6]. This result was particularly interesting because members of these taxa (i.e. *Ruminococcus* and *Clostridium XI* in fecal samples and *Dorea* and *Blautia* in tissue) are thought to be beneficial due to their involvement in production of anti-inflammatory short chain fatty acids (32–34).

All of the adenoma classification models performed poorly, which is consistent with previous studies (27, 30). However, the classification results are at odds with results of the multitarget microbiota test (MMT) from Baxter, et al. (12) who observed an AUC of 0.755 when the test was applied to individuals with adenomas. There are two

major differences between the models generated in this meta-analysis and that analysis. The MMT attempted to classify individuals as having a normal colon or having colonic lesions (i.e. adenomas or carcinomas) and not adenomas alone. Further, the MMT incorporated fecal immunoglobulin test (FIT) data while our models only used 16S rRNA 298 gene sequencing data. Because FIT data were not available for the other studies in 299 our meta-analysis, it was not possible to validate the MMT approach. The ability to 300 differentiate between individuals with and without adenomas is an important problem since 301 early detection of tumors is critical to patient survivorship. However, it is possible that 302 we might have been able to detect differences in the bacterial community if individuals 303 with non-advanced and advanced adenomas were separated. This is a clinically relevant 304 distinction since advanced adenomas are at highest risk of progressing to carcinomas. 305 The initial changes of the microbiota during tumorigenesis could be focal to where the 306 initial adenoma develops and would not be easily assessed using fecal samples from an 307 individual with non-advanced adenomas. Unfortunately, distinguishing between individuals 308 with advanced and non-advanced adenomas was not possible in our meta-analysis since 309 the studies did not provide the clinical data needed to make that distinction. 310

Fecal samples represent a non-invasive approach to assess the structure of the gut microbiota and are potentially useful for diagnosing individuals as having colonic tumors. 312 However, they do not reflect the structure of the mucosal microbiota (35). Regardless, the 313 taxa that were the most important in the feces-based models overlapped with those from 314 the models trained using the data from unmatched and matched colon tissue samples 315 [Figure S3]. Mucosal biopsies are preferred for focused mechanistic studies and have 316 offered researchers the opportunity to sample healthy and diseased tissue from the same 317 individuals (i.e. matched) using each individual as their own control or in a cross-sectional 318 design (i.e. unmatched). Because obtaining these samples is invasive, carries risks 319 to the individual, and is expensive, studies investigating the structure of the mucosal microbiota generally have a limited number of participants. Thus, it was not surprising that

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tissue-based studies did not provide clearer associations between the mucosal microbiota and the presence of tumors. Interestingly, *Fusobacterium*, which has received increased attention for its potential role in tumorigenesis (6) was not consistently identified across the studies in our meta-analysis. This could be due to the relatively small number of individuals in the limited number of studies. The classification models trained using the tissue-based data performed well when tested with the training data (Figure S4), but performed poorly when tested on the other tissue-associated datasets (Figure S5). Disturbingly, taxa that are commonly associated with reagent contamination (e.g. *Novosphingobium*, *Acidobacteria Gp2*, *Sphingomonas*, etc.) were detected within the tissue datasets. Such contamination is common in studies where there is relatively low bacterial biomass (36). The lack of replication among the tissue-based biomarkers may be a product of the relatively small number of studies and individuals per study and possible reagent contamination.

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Among the fecal sample data, we failed to identify several notable populations that are commonly associated with carcinomas including an enterotoxigenic strain of *Bacteroides* 335 fragilis (ETBF) and Streptococcus gallolyticus subsp. gallolyticus (22, 24). ETBF have 336 been found in tumors in the proximal colon where they tend to form biofilms (20, 37). 337 Considering DNA from bacteria that are more prevalent in the proximal colon may be 338 degraded by the time it leaves the body, it is not surprising that we failed to identify a 339 significant OR for Bacteroides with carcinomas. In addition, since our approach could only 340 classify sequences to the genus level and there are likely multiple Bacteroides populations 341 in the colon, it is possible that sequences from ETBF and non-oncogenic Bacteroides 342 were pooled. This would then reduce the OR between Bacterioides and whether an 343 individual had carcinomas. It is also necessary to distinguish between populations that are 344 biomarkers for a disease and those that are known to cause disease. Although the latter 345 have been shown to have a causative role, they may appear at low relative abundance, be found in specific locations, or may have a highly patchy distribution among affected individuals.

Meta-analyses are a useful tool in microbiome research because they can demonstrate whether a result can be replicated and facilitate new discoveries by pooling multiple independent investigations. There have been several meta-analyses similar to this study 35 that have sought biomarkers for obesity (38-40), inflammatory bowel disease (39), and 352 colorectal cancer (28). Considering microbiome research is particularly prone to hype and 353 overgeneralization of results (41), these analyses are critical. Meta-analyses are difficult to 354 perform because the underlying 16S rRNA gene sequence data are not publicly available, 355 metadata are missing, incomplete, or vague, sequence data are of poor quality or derived 356 by non-standard approaches, and the original studies may be significantly underpowered. 357 Reluctance to publish negative results (i.e. the "file drawer effect") is also likely to skew 358 our understanding of the relationship between microbiota and disease. Better attention to 359 these specific issues will increase the reproducibility and replicability of microbiota studies 360 and make it easier to perform these crucial meta-analyses. Moving forward, meta-analyses 361 will be important tools to help aggregate and find commonalities across studies when 362 investigating the microbiota in the context of a specific disease (28, 38–40). 363

Our meta-analysis suggests a strong association between the gut microbiota and colon tumorigenesis. By aggregating the results from studies that sequenced the 16S rRNA gene from fecal and tissue samples, we are able to provide evidence supporting the use of microbial biomarkers to diagnose the presence of colonic tumors. Further development of microbial biomarkers should focus on including other biomarkers (e.g. FIT), better categorizing of people with adenomas, and expanding datasets to include larger numbers of individuals. Based on prior research into the physiology of the biomarkers we identified, it is likely that they have a causative role in tumorigenesis. Their patchy distribution across individuals suggests that there are either multiple mechanisms causing disease or a single mechanism (e.g. inflammation) that can be mediated by multiple, diverse bacteria.

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#### **Methods**

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**Datasets.** The studies used for this meta-analysis were identified through the review articles written by Keku, et al. (42) and Vogtmann, et al. (43). Additional studies, not mentioned in those reviews were obtained based on the authors' knowledge of the literature. 377 Studies were included that used tissue or feces as their sample source for 454 or Illumina 378 16S rRNA gene sequencing. A significant number of studies (N=12) were excluded from 379 the meta-analysis because they did not have publicly available sequences, did not use 454 380 or Illumina sequencing platforms, or did not have metadata that the authors were able to 381 share. We were able to obtain sequence data and metadata from the following studies: 382 Ahn, et al. (11), Baxter, et al. (12), Brim, et al. (29), Burns, et al. (15), Chen, et al. (13), 383 Dejea, et al. (20), Flemer, et al. (17), Geng, et al. (19), Hale, et al. (27), Kostic, et al. (44), 384 Lu, et al. (26), Sanapareddy, et al. (25), Wang, et al. (14), Weir, et al. (23), and Zeller, 385 et al. (16). The Zackular (45) study was excluded because the individuals studied were 386 included within the larger Baxter study (12). The Kostic study was excluded because after 387 we processed the sequences, all of the case samples had 100 or fewer sequences. The 388 final analysis included 14 studies (Tables 1 and 2). There were seven studies with only 389 fecal samples (Ahn, Baxter, Brim, Hale, Wang, Weir, and Zeller), five studies with only tissue samples (Burns, Dejea, Geng, Lu, Sanapareddy), and two studies with both fecal and tissue samples (Chen and Flemer). After curating the sequences, 1737 fecal samples and 492 tissue samples remained in the analysis [Tables 1 and 2].

Sequence Processing. Raw sequence data and metadata were primarily obtained from 394 the Sequence Read Archive (SRA) and dbGaP. Other sequence and metadata were 395 obtained directly from the authors (n=4, (17, 23, 25, 27)). Each dataset was processed 396 separately using mothur (v1.39.3) using the default quality filtering methods for both 454 and Illumina sequence data (46). If it was not possible to use the defaults because the 398 trimmed sequences were too short, then the stated quality cut-offs from the original study were used. Chimeric sequences were identified and removed using VSEARCH (47). The curated sequences were assigned to OTUs at 97% similarity using the OptiClust algorithm (48) and classified to the deepest taxonomic level that had 80% support using the naïve Bayesian classifier trained on the RDP taxonomy outline (version 14, (49)).

Community analysis. We calculated alpha diversity metrics (i.e. OTU richness, evenness, 404 and Shannon diversity) for each sample. Within each dataset, we ensured that the data 405 followed a normal distribution using power transformations. Using the transformed data, 406 we tested the hypothesis that individuals with normal colons, adenomas, and carcinomas 407 had significantly different alpha diversity metrics using linear mixed-effect models. We also calculated the OR for each study and metric by considering any value above the median alpha diversity value to be positive. We measured the dissimilarity between individuals by calculating the pairwise Bray-Curtis index and used PERMANOVA (50) to test whether individuals with normal colons were significantly different from those with adenomas or carcinomas. Finally, after binning sequences into the deepest taxa that 413 the naïve Bayesian classifier could calssify the sequences, we quantified the ORs for 414 individuals having an adenoma or carcinoma and corrected for multiple comparisons using 415 the Benjamini-Hochberg method (51). Again, for each taxon, if the relative abundance was 416 greater than the median relative abundance for that taxon in the study, the individual was 417 considered to be positive. 418

Random Forest classification analysis. To classify individuals as having normal colons or tumors, we built Random Forest classification models for each dataset and comparison using taxa with significant ORs (after multiple comparison correction), all taxa, or OTUs.

Because no taxa were identified as having a significant OR associated with adenomas using stool samples or tissue samples, classification models based on OR data were not constructed to classify individuals as having normal colons or adenomas. For all models the hyperparameters for ntree was set to 500 and the mtry set to the square root of the

number of taxa or OTUs within the model ( $\sqrt{total\ variables}$ ). The  $\sqrt{total\ variables}$  has been found to approximate the optimum mtry chosen after model tuneing (52). All fecal models were built using a 10-fold cross validation (CV) while tissue models were built using 5-fold CV due to study sample size. One exception to this rule was the Weir study which 429 was built using a 2-fold CV due to extremely low sample number. For significant OR and 430 all taxa data, models were trained on a single study and then tested on the remaining 431 studies with AUCs recorded during both train and testing phases. For the OTU data, 100 432 10-fold CVs were run to generate a range of AUCs that could be reasonably expected to 433 occur and the average AUC from these 100 repeats was reported. The Mean Decrease 434 in Accuracy (MDA), a measure of the importance of each taxon to the overall model was 435 used to rank the taxa used in each model. 436

Statistical Analysis. All statistical analysis after sequence processing utilized the R (v3.4.3) software package (53). For OTU richness, evenness, and Shannon diversity analysis, values were power transformed using the rcompanion (v1.11.1) package (54) 439 and Z-score normalized using the car (v2.1.6) package (55). Testing for OTU richness, 440 evenness, and Shannon diversity differences utilized linear mixed-effect models to correct 441 for study, repeat sampling of individuals (tissue only), and 16S rRNA gene sequence 442 region used using the lme4 (v1.1.15) package (56). ORs were analyzed using both the 443 epiR (v0.9.93) and metafor (v2.0.0) packages (57, 58) by assessing how many individuals 444 with and without disease were above and below the overall median value within each 445 specific study. OR significance testing utilized the chi-squared test. Community structure 446 differences were calculated using the Bray-Curtis dissimilarity index and PERMANOVA was 447 used to test for tumor-associated differences in structure with the vegan (v2.4.5) package 448 (59). Random Forest models were built using both the caret (v6.0.78) and randomForest 449 (v4.6.12) packages (60, 61). All figures were created using both ggplot2 (v2.2.1) and 450 gridExtra (v2.3) packages (62, 63). 451

Reproducible Methods. The analysis code can be found at https://github.com/
SchlossLab/Sze\_CRCMetaAnalysis\_mBio\_2017. Unless otherwise mentioned, the
accession number of raw sequences from the studies used in this analysis can be found
directly in the respective batch file in the GitHub repository or in the original manuscript.

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Table 1: Total Individuals in each Study Included in the Fecal Analysis

Study	Data Stored	Region	Control (n)	Adenoma (n)	Carcinoma (n)
Ahn	DBGap	V3-4	148	0	62
Baxter	SRA	V4	172	198	120
Brim	SRA	V1-3	6	6	0
Flemer	Author	V3-4	37	0	43
Hale	Author	V3-5	473	214	17
Wang	SRA	V3	56	0	46
Weir	Author	V4	4	0	7
Zeller	SRA	V4	50	37	41

Table 2: Studies with Tissue Samples Included in the Analysis

Study	Data Stored	Region	Control (n)	Adenoma (n)	Carcinoma (n)
Burns	SRA	V5-6	18	0	16
Chen	SRA	V1-3	9	0	9
Dejea	SRA	V3-5	31	0	32
Flemer	Author	V3-4	103	37	94
Geng	SRA	V1-2	16	0	16
Lu	SRA	V3-4	20	20	0
Sanapareddy	Author	V1-2	38	0	33

- Figure 1: Significant Bacterial Community Metrics for Adenoma or Carcinoma in
  Feces A) Adenoma evenness. B) Carcinoma evenness. C) Carcinoma Shannon diversity.
  Blue represents controls and red represents either adenoma (panel A) or carcinoma (panel
  B and C). The black lines represent the median value for each repsective group.
- Figure 2: Odds Ratio for Adenoma or Carcinoma based on Bacterial Community

  Metrics in Feces. A) Community-based odds ratio for adenoma. B) Community-based

  odds ratio for carcinoma. Colors represent the different variable regions used within the

  respective study.
- Figure 3: The AUC of Indivdiual Significant OR Taxa to classify Carcinoma. A) Fecal samples. B) Unmatched tissue samples. The larger circle represents the median AUC of all studies and the smaller circles represent the individual AUC for a particular study. The dotted line denotes an AUC of 0.5.
- Figure 4: Most Important Members in Significant OR Taxa Carcinoma Models. A)
  Common taxa in the top 10 percent for carcinoma Random Forest fecal-based models. B)
  Common taxa in the top 10 percent for carcinoma Random Forest unmatched tissue-based
  models. Blue represents less important and red represents more important to the Random
  Forest Model. White means that particular taxa was not in the top 10%.
- Figure 5: Fecal Sample Random Forest Model Train AUCs. A) Adenoma random forest model AUCs between all genera, all OTU, and select model based on significant OR taxa. B) Carcinoma random forest model AUCs between all genera, all OTU, and select model based on significant OR taxa. The black line represents the median AUC for the respective group. If no values are present in the singificant OR taxa group then there were no significant taxa identified and no model was tested.
- Figure 6: Fecal Sample Random Forest Genus-Based Model Test AUCs. A) Test

  AUCs of adenoma models using all genera across study. B) Test AUCs of carcinoma

 $_{\mbox{\tiny 690}}$  models using all genera or significant OR taxa only. The black line represents the AUC at

0.5. The red lines represent the median AUC of all test AUCs for a specific study.

Figure S1: Odds Ratio for Adenoma or Carcinoma based on Bacterial Community

Metrics in Tissue. A) Community-based odds ratio for adenoma. B) Community-based

odds ratio for carcinoma. Colors represent the different variable regions used within the

respective study.

Figure S2: Tissue Random Forest Model Train AUCs. A) Adenoma random forest model AUCs between all genera, all OTU, and select model based on significant OR taxa in unmatched and matched tissue. B) Carcinoma random forest model AUCs between all genera, all OTU, and select model based on significant OR taxa in unmatched and matched tissue. The black line represents the median AUC for the respective group. If no values are present in the singificant OR taxa group then there were no significant taxa identified and no model was tested.

Figure S3: Most Common Taxa Across Carcinoma Full Community Fecal Sample
Study Models. A) Common taxa in the top 10 percent for carcinoma Random Forest all
taxa-based models. B) Common taxa in the top 10 percent for carcinoma Random Forest
all OTU-based models. Blue represents less important and red represents more important
to the Random Forest Model. White means that particular taxa was not in the top 10%.

Figure S4: Most Common Genera Across Full Community Tissue Study Models. 708 A) Common genera in the top 10 percent for matched carcinoma Random Forest all 709 genera-based models. B) Common genera in the top 10 percent for unmatched carcinoma 710 Random Forest all genera-based models. C) Common genera in the top 10 percent for 711 matched carcinoma Random Forest all OTU-based models. D) Common genera in the 712 top 10 percent for unmatched carcinoma Random Forest all OTU-based models. Blue 713 represents less important and red represents more important to the Random Forest Model. 714 White means that particular taxa was not in the top 10%. 715

Figure S5: Tissue Random Forest Genus-Based Model Test AUCs. A) Test AUCs of

adenoma models using all genera across study. B) Test AUCs of carcinoma models using
all genera for matched tissue studies. C) Test AUCs of carcinoma models using all genera
or significant OR taxa only for unmatched tissue studies The black line represents the AUC
at 0.5. The red lines represent the median AUC of all test AUCs for a specific study.