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# Imputation of Missing Gene Expressions from Microarray Dataset: A Review

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## Abstract:

DNA microarray technology captures gene expressions of thousands of genes simultaneously. But while recording these gene expressions through software after scanning, missing values get generated in the database due to various artifacts. It could be due to variety of reasons including hybridization failures, artefacts on the microarray, insufficient resolution, noisy image or corrupted image. It may also occur systematically as a result of the spotting process. This hinders performance of downstream analysis. There are certain solutions proposed in the literature to deal with this problem but due to their limitations imputation of missing values is preferred as the best solutions. This paper presented a review of existing methods used for imputation of missing values along with their advantages and limitations.

**Keywords:** Microarray, Hybridization, Imputation

## I. INTRODUCTION

In today's world, computational biology is emerging as a major area of research since vast amount of biological data getting accumulated day by day. To understand functions of genes is a major challenge. To know the behavior of genes, they are observed at different instances through microarray technology. In microarray technique large numbers of tiny spots are attached on thin glass slide known as probes. There may be tens or thousands of spots on the array each containing millions of DNA molecules. For gene expressions, each of these molecules should identify single mRNA through transcription. Target RNA is reversed transcribed with complementary DNA (cDNA) labeled with fluorescent dyes and hybridized with cDNA on same glass slide. Hybridization occurs only when both the strands complement each other. Intensity of fluorescent is treated as amount of RNA expressed in the given sample. The overall process of microarray preparation is shown in Fig. 1.

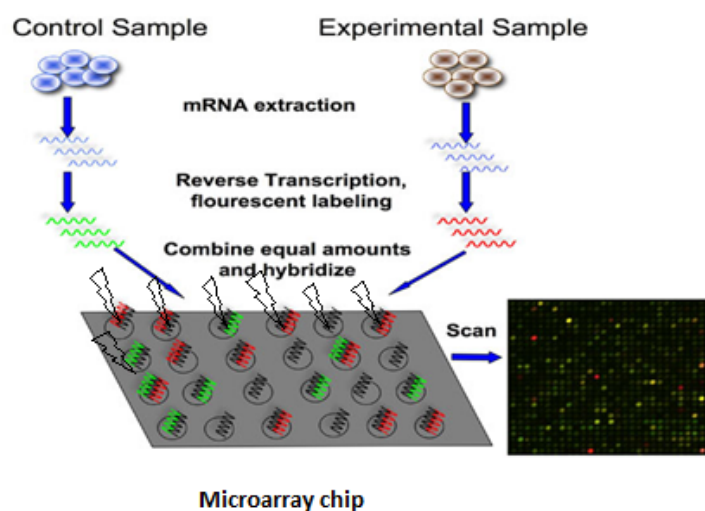


Fig. 1 Microarray preparations using two channels

After scanning microarray chip through microarray scanner, image containing color dots is generated. This is shown in Fig. 2.



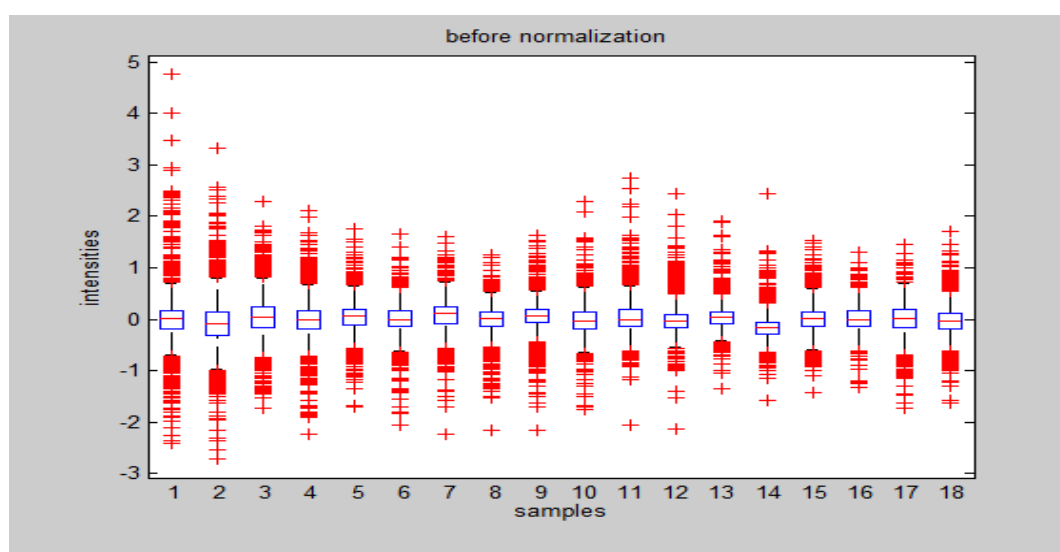


Fig. 4 Sample Boxplot before normalization

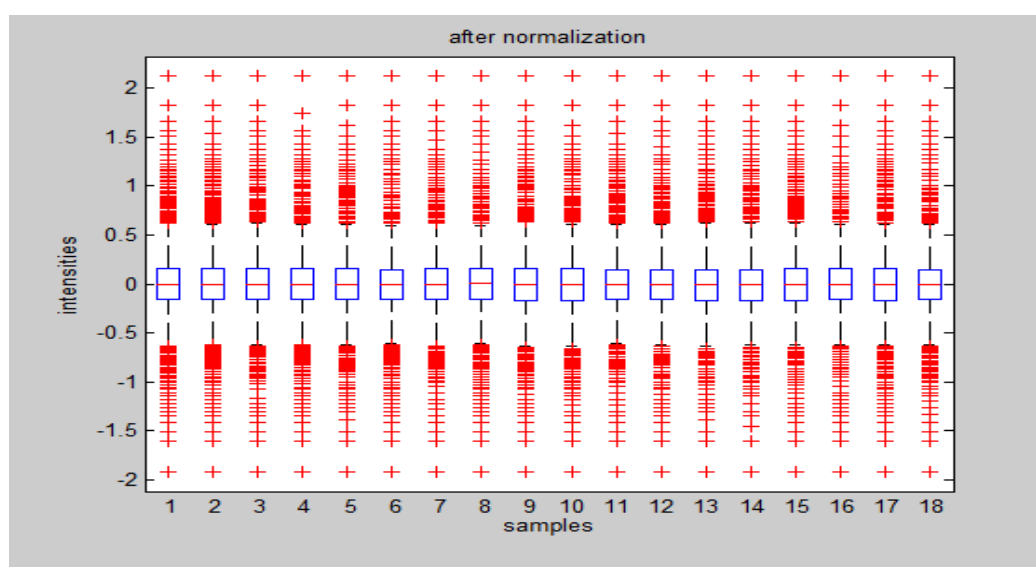


Fig. 5 Sample Boxplot after normalization

Though microarray technology is widely used it is still error prone. Microarray data can contain up to 10% missing values and in some datasets, up to 90% of genes have one or more missing values [2][3][4]. Presence of missing values create hurdles in down-stream analysis such as identification of differentially expressing genes [5][6], reconstruction Gene Regulatory Network [7][8].

Missing values occur due to a variety of reasons including hybridization failures, artefacts on the microarray, insufficient resolution, noisy image or corrupted image, or they may occur

systematically as a result of the spotting process [9].

A spot that has negative background will have corrected intensity value normally declared as missing value. In addition, suspicious values are also often flagged as missing. Sample yeast cell cycle dataset containing 7% of missing values is shown in Fig. 6. Table I shows various datasets with percentage of missing values in them. Yeast cell cycle dataset contains least percentage of missing values as it is lengthy process and samples recorded are less.

YCL003W	-0.11	0.4	0.12	0.02	0.4	-0.37
YCL004W	0.12	0.49	0.42	-0.13	0.53	-0.83
YCL005W	0.05	-0.21	0.04		-0.03	-0.03
YCL006C	-0.37	-0.04	-0.04	0.19	-0.14	-0.2
YCL007C		-0.37	0.22	0.33	0.57	0.2
YCL008C	-0.08	0.16	-0.59	-0.11	0.31	-0.14
YCL009C	0.18	-0.07		0.09	0.08	0.15
YCL010C	0.17	0.28	-0.11		-0.66	-0.24
YCL011C		-0.31	-0.1	0.08	-0.02	0.15
YCL012W	-0.55	0.17	-0.12	0.17	0.03	0.01
YCL013W	-0.69	0.61	-0.95	0.1	0.14	0.18
YCL014W	-0.57	0.02	0.52	0.41	-0.27	0.35
YCL016C	-0.19	0.17	-0.14		0.15	-0.19
YCL017C	-0.06	0.05		0.29	0.5	0.17
YCL018W		-0.19	0.44	0.73	0.87	0.38
YCL019W	-0.39	-0.32	0.18		0.13	1.47
YCL020W	-0.21	-0.17	0.11		-0.22	0.51
YCL021W	-0.44	-0.08	-0.14		-0.22	-0.5
YCL022C	1.3	0.48	-0.3	-0.59	-1.68	-0.3

Fig. 6 Sample yeast cell cycle dataset containing 7% of missing values

The Gasch dataset [10] consists of 173 experiments which examine gene expressions to predict behaviour of yeast during various stress conditions.

TABLE I SAMPLE DATASETS WITH MISSING VALUES

Sr.No.	Dataset	Reference	Dataset size	% of Missing values
1.	Yeast (CDC28)	[23]	6178 x 17	80%
2.	Yeast( $\alpha$ -factor)	[23]	6178x18	46%
3.	CDC15_28	[23]	6178x41	90%
4.	Gasch dataset	[10]	6152x173	91%
5.	Yeast Cell Cycle	[23]	6178x76	7%

To deal with the missing values, there are following solutions proposed in the literature [3].

- (1) Repeat the experiments which is quiet costly and time consuming
- (2) Neglect rows containing missing values. But this will hamper downstream analysis due to loss of important data
- (3) Replace missing values with zeros which does not create any impact on data
- (4) Replace missing values with row averaging. If missing values are more in one row then all will be replaced by same expressions which will not reflect variation in gene expression. This does not consider nature of co-expressing genes
- (5) Perform method of imputation for estimation of missing values which is flexible, reliable and cheaper solution.

### III. REVIEW OF IMPUTATION METHODS

In this section review of methods used for missing value imputation is presented. Imputation techniques discovered after 2010, have considered the knowledge and information related to the

dataset for estimation of missing values. We classified different existing methods of imputations into two categories: Distance Based Imputation Techniques (DBIT) and non-Distance Based Imputation Techniques (NDBIT) which are reviewed in detailed as follows.

Imputation methods classified under the category DBIT includes: K-Nearest Neighbor Impute (KNN) , Sequential KNN Impute, GO Based KNN Impute and Non-Distance Based Imputation NDBIT includes : Row Averaging (RAVG), Zero imputation (ZERO), Singular Value Decomposition based imputation, Local Least Square Imputation, Bayesian Principal Component Analysis (BPCA), Entropy-based selection (EBS), Self-training selection (STS), Support Vector Regression imputation, Iterated Local Least Squares (iLLS), Fixed Rank Approximation Method, Gaussian Mixture Clustering Method, Collateral Missing Value Imputation.

#### A. DBIT Methods

Algorithms in this category perform missing value imputation based on different distance calculation

measures between similarly expressing genes. It is assumed that lower distance indicates more similarity between genes and suitable choice as neighbor to be considered for imputation.

In KNN-based impute method [9], k neighbors of target genes containing missing values are selected by finding correlation coefficient. Highly correlated k neighbors are selected for imputation. If gene G is target gene containing missing expression at position  $i^{th}$  row  $j^{th}$  column of expression matrix, then expression at that position is denoted as  $E_{ij}$  where i is the row value and j is the column value. Missing value in the target gene is imputed as average of  $j^{th}$  component of k neighbors. Euclidean distance is the best suitable distance measure used in KNN impute. This method is used when strong correlation exists between genes in the data. In weighted KNN impute method, significance of  $i^{th}$  neighbor is decided from its weight factor which is calculated as

$$W_i = \frac{1/D_i}{\sum_{i=1}^k D_i} \quad (1)$$

Where  $D_i$  is the Euclidean distance between target gene and  $i^{th}$  neighbor.

Several variants of basic KNN impute algorithms are proposed in [11][12]. For evaluating the accuracy of KNN impute some percentage of gene expression are deleted (between 1% to 20%) randomly from existing datasets and Root Mean Squared Error (RMSE) is calculated between original value and missing value which is defined as

$$RMS_{error} = \sqrt{\frac{1}{N} \sum_{i=1}^N (R_i - I_i)^2} \quad (2)$$

Where  $R_i$  is the original value and  $I_i$  is imputed value and N is number of missing expressions. This method achieves the best result when  $RMS_{error}$  is minimum but it is suitable for samples less than 4 columns.

Sequential KNN Impute described in [11], is implemented by doing small variation in basic KNN impute. The complete expressions are divided into two sets: the reference set which is a complete set without missing values and another target set containing genes with missing values. Initially imputation is applied on the gene with lowest number of missing values using KNN impute and once all missing values of this genes are calculated, it is moved to reference set for further imputation of missing values for genes in target set. It has been observed that performance of SKNN was higher than KNN imputing method for the data with high missing rates and large number of experiments but again deciding value of k is a major challenge.

In [13], GO based KNN impute method is presented. Gene ontology (GO) is a structured network of defined terms which describes gene product attributes. The goal of the gene ontology is to produce a dynamic, controlled vocabulary that can be applied to all eukaryotes even as knowledge of gene and protein roles in cells is accumulating and changing. This method uses similarities in gene semantics from gene ontology annotations to improve the performance of KNN impute method. Using the gene ontology downloaded from GO web site, ontology tree is created and is used for calculating semantic dissimilarity between two genes g1 and g2. However this method is not suitable for larger number of missing values.

### B. Non Distance Based Imputation Techniques

This category of imputation method does not involve use of distance measure formula for selecting target genes whose expressions are used for missing value imputation.

The most common and simplest method of missing value imputation is Row Averaging (RAVG) [14]. In this method, missing value in row i is estimated by taking average of all remaining available values in the same row. This newly estimated value is further used for finding missing values in the same row if more than one missing value exists in same row. In Zero Imputation [14] method, missing values are replaced with zeroes. This method is not optimal since it does not consider correlation structure of data.

Singular Value Decomposition based imputation (SVD) method presented in [9]. SVD is based on a theorem from linear algebra which says that a rectangular matrix A can be broken down into the product of three matrices - an orthogonal matrix U, a diagonal matrix S, and the transpose of an orthogonal matrix V. The theorem is usually presented as

$$A_{mn} = U_{mn} S_{mn} V_{nn}^T \quad (3)$$

Where U is orthonormal eigenvectors calculated from  $AA^T$  and V is orthonormal eigenvectors calculated from  $A^T A$  and S is diagonal matrix containing eigenvalues from U or V arranged in descending order. Let A be the complete matrix of size m x n where m is number of genes and n is number of samples and  $m > n$ . Columns of missing values for row r are identified as  $s_1, \dots, s_t$ . Let B contains complete rows of A. After applying SVD impute on A, linear regression is calculated against n-t non missing entries of first k rows of  $V^T$  and n-t missing values in row R. Missing expressions in row r are estimated by



$$R^j = \sum_{k=1}^K R_k^{(j)} \quad j = 1, 2, \dots \quad (4)$$

This procedure is repeated until error between imputed and original source matrix Y is minimum. Accuracy achieved using SVD impute is more than row averaging. However performance of this method deteriorates with increasing missing values and it is more sensitive to values of k and generally used for small sample dataset.

In Least Square Imputation (LSI) which is based on regression, to impute missing value of gene g, highly correlated k genes are chosen [15]. The target gene and reference k genes are assumed to be related by linear regression model  $y = \alpha + \beta x + \varepsilon$ . Initially pair-wise linear regression is taken between target gene and k reference gene. After k estimates all are linearly combined to get missing value. LSI is nearly same as KNN impute except it uses least square regression instead of Euclidean distance. It provides flexibility in selecting k reference genes for missing value imputation. This method is generally used for large data with highly correlated genes.

There are three more extensions to LSimpute which are Local Least square (LLS)[16] impute and Sequential LLS impute [17] and iterative LLS impute (iLLS). Local Least Square Imputation (LLS) achieves missing value estimation from k reference genes using multiple regression models

$$y = X^T \alpha + \varepsilon \quad (5)$$

It is at par with KNN impute method. In sequential LLS, imputation starts with gene with lowest missing values. Gene for whom missing values are calculated took part in further missing value estimation of other genes provided they have less number of missing values below certain threshold. Because of reusability of genes, Sequential LLS imputation is stronger than LLS impute. In iLLS impute, every target gene have different reference genes based on correlation between reference genes and each target gene. Number of reference genes vary based upon distance threshold which is proportional to distance between target genes and reference genes. iLLS use imputed value in previous iteration for further imputation by again selecting reference genes. iLLS is better than basic LSimpute but it is again applicable for dataset containing small set of missing values.

A new method of imputation called Bayesian Principal Component Analysis (BPCA) is presented in [8]. It uses probabilistic Bayesian theorem for missing value imputation. It mainly consists of three phases: i) Principal Component Regression, ii) Bayesian Estimation and iii) Expectation-Maximization problem. The given D

dimensional gene expression matrix Y is represented as k principal axis vectors  $\omega_l$  ( $K < D$ )

$$y = \sum_{l=1}^K x_l \omega_l + \epsilon \quad (6)$$

The linear coefficients  $x_l$  are called factor scores and  $\epsilon$  denoted residual error. Eigen values and Eigen vectors of covariance matrix S of Y is calculated as follows from which principal axis vector is estimated.

$$S = \frac{1}{N} \sum_{i=1}^N (y_i - \mu)(y_i - \mu)^T \quad (7)$$

Where  $\mu$  is the mean vector of Y:  $\mu$  defined as  $(1/N) \sum_{i=1}^N y_i$ . T denotes transpose of a matrix. If  $\lambda_1 \geq \lambda_2 \geq \dots \geq \lambda_D$  and  $u_1, u_2, \dots, u_D$  denote eigenvalues and eigenvectors of covariance matrix S then l-th principal axis component is calculated as  $\omega_l = \sqrt{\lambda_l} u_l$ . From this l-th factor score of

expression vector y is calculated by  $x_l = \left( \frac{\omega_l}{\lambda_l} \right)^T y$ . Using factor score x, missing part of expression matrix is calculated as  $y^{miss} = W^{miss} x$  where  $W = (W^{obs}, W^{miss})$  is a matrix whose columns consist of vectors of observed parts and missing parts. It is quite time consuming and computationally intensive. It is mostly used for prior missing value estimation for many algorithms because it uses complete information in given dataset.

Based on survey in [18] and [19], a hybrid method of BPCA-iLLS is presented in [20] which take advantages of both methods of exploiting local similarity and lower complexity. Initial dataset is generated by BPCA followed by iLLS used for actual imputation. Time taken by this hybrid method gets doubled than individual BPCA and iLLS.

In Entropy-based selection scheme (EBS) presented in [18], a linear model is proposed which evaluates performance of any imputation method from entropy level. In EBS method of missing value imputation it is observed that performance of different imputation methods is related to complexity of data which is judged by entropy of Eigen values of covariance matrix of expression matrix Y. Complexity of data is calculated using entropy measure defined as

$$e(Y) = \frac{\sum_{i=1}^K p_i \log p_i}{\log K} \quad (8)$$

Where

$$p_i = \frac{\sqrt{\lambda_i}}{\sum_{l=1}^K \sqrt{\lambda_l}} \quad (9)$$

Low entropy measure indicates less complexity of data which is known from few distinctly calculated larger Eigen values and large entropy indicates more complex data which cannot be reduced to low dimensional space. Following linear model is fitted on the data set so that

performance of any imputation method is evaluated from entropy level.

$$LRMSE(\hat{D}_{j;M_i}^{(k)}, D_j) = \alpha_0 + \alpha_i + \beta_i e(D_j) + \gamma_j + \varepsilon_{ijk} \quad (10)$$

Where  $e(D_j)$  is the entropy level of  $D_j$ ,  $\alpha_i$  and  $\beta_i$  are the intercept and regression slope for imputation method  $M_i$ .  $\gamma_j$  is a fixed effect representing the intrinsic imputation difficulty of data set  $D_j$ , and  $\varepsilon_{ijk}$  are random noises and LRMSE is log-transformed root mean squared Error. The linear model (1) is fitted using set  $D_{(j)}$  and define the EBS scheme for each data set with intentional missing values  $D_j^{(k)}$  as:

$$S_{EBS}(D_j^{(k)}) = M_{EBS}(D_j^{(k)}, L(D_{(j)})) \quad (11)$$

This method helps in selecting appropriate algorithm for missing value imputation. However it is too much computationally intensive.

In Self-Training Selection (STS) scheme [18], different methods are used for simulation of missing values and rank of each imputation method is calculated in terms of LRMSE of each simulation. The method with smallest rank sum statistics is selected. Rank sum statistic is calculated as follows:

$$R(M_i, D_j^{(k)}) = \sum_{l=1}^n Rank_{M_i} \left( LRMSE(D_{j;M_i}^{(k)(l)}, D_j^{(k)}) \right) \quad (12)$$

And STS scheme is then defined as

$$S_{STS}(D_j^{(k)}) = \arg \min_{M_i} R(M_i, D_j^{(k)}) \quad (13)$$

In [21], author generalizes SVR which is mainly used for machine learning, for imputation of missing data. Initially gene expressions are trained

in such a way that they should not have deviation more than  $\varepsilon$ . The SVR generate such a function which assures the deviation between original and predicted expressions to be  $\varepsilon$ . SVR uses kernel function to transform samples from input space into higher dimension space. Then SVR searches for the global optimal solution to the corresponding problem using the quadratic programming by finding the corresponding support vectors. However performance of SVR depends on Kernel type and optimization techniques used for finding missing value.

The Fixed Rank Approximation Algorithm (FRAA) discussed in [22] is based on optimization algorithm. As estimation of one missing entry influences estimation of other missing entry, all the missing expressions are calculated simultaneously. The new expression matrix  $Y'$  is obtained from original matrix  $Y$  in such a way that rank of  $Y'$  should not exceed  $d$  where  $d$  is number of singular values of  $Y$ . For optimizing the objective function so as to get  $Y'$ , FRAA is used.

Thus after reviewing above methods it is observed that

- DBI Methods like KNN, SKNN and GO-based KNN
  - a. are suited for datasets containing small number of columns
  - b. for less number of  $K$  (neighbors), performance declines because of more importance given to dominant expressions pattern
  - c. performance deteriorates with increasing missing value
- NDBI Methods like SVD, Row-averaging, LLSI, BPCA, EBS, STS, SVR, iLLS
  - a. Need complete dataset prior to imputation and their performance depends on method used for temporary estimation
  - b. Generally used for prior missing value estimation
  - c. Computationally intensive

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