RJafroc documentation

Dev P. Chakraborty 2019-08-05

Contents

1	Pre	face	5
2	Inti	roduction	7
3	ROC data format		9
	3.1	$Introduction \dots \dots$	9
	3.2	An actual MRMC ROC dataset	10
	3.3	The ROC Excel data file	12
	3.4	Summary	16
4	FROC data format		17
	4.1	$Introduction \dots \dots$	17
	4.2	An actual FROC dataset	18
	4.3	The FROC Excel data file	21
5	RO	I data format	25
	5.1	ROI paradiom	25

4 CONTENTS

Preface

- This book, an extended documentation of the **RJafroc** package, is undergoing extensive edits.
- It should not be used by the casual user until I give the go ahead.
- It bypasses the file size limits of **CRAN**, currently 5 MB, which severely limits the extent of the documentation that can be included with the CRAN version of the package.
- I welcome corrections and comments by the not-so-casual-user.
- Please use the GitHub website to raise issues and comments:
 - https://github.com/dpc10ster/RJafrocBook

Introduction

- This is the book desribing the $\bf RJafroc$ packages.
- The name of the book is RJafrocBook
- Modality and treatment are used interchangeably.
- Reader is a generic radiologist, or a computer aided detection algorithm, or any algorithmic "reader"
- TBA

ROC data format

3.1 Introduction

- In the receiver operating characteristic (**ROC**) paradigm (Metz, 1978) the observer's task is to **rate** (i.e., assign an ordered label representing the degree of suspicion) each case for confidence in presence of disease. The rating is frequently called a *confidence level*.
- The rating can be an integer or quasi- continuous (e.g., 0 − 100), or a floating point value, as long as higher numbers represent greater confidence in presence of one or more lesions in the case ¹.
- For human observer studies a 6-point rating scale is recommended, collected via two questions (Chakraborty, 2017):
 - Is the case diseased?
 - * Binary response: Yes or No.
 - What is your confidence in the preceding decisions?
 - * Three level response: Low, Medium or High.
- With algorithmic readers, e.g., computer aided detection algorithms a floating point rating, if possible, should be retained.
- In the most common study design, termed multiple-reader multiple-case (MRMC), the rating collection procedure is repeated for all cases, treatments and readers.

¹The directionaliy of the rating is not a limitation. If lower values correspond to increased confidence level, it is only necessary to transform the observed rating by subtracting it from a constant value. The constant value can be chosen arbitrarily, typically as the maximum of all observed ratings, thereby ensuring that the transformed value is always non-negative.

3.2 An actual MRMC ROC dataset

An actual MRMC ROC dataset (Van Dyke et al., 1993) is included as dataset02. It has the following structure:

```
str(dataset02)
#> List of 8
#> $ NL
                 : num [1:2, 1:5, 1:114, 1] 1 3 2 3 2 2 1 2 3 2 ...
                : num [1:2, 1:5, 1:45, 1] 5 5 5 5 5 5 5 5 5 5 ...
#> $ LL
#> $ lesionNum : int [1:45] 1 1 1 1 1 1 1 1 1 1 ...
#> $ lesionID : num [1:45, 1] 1 1 1 1 1 1 1 1 1 1 ...
  $ lesionWeight: num [1:45, 1] 1 1 1 1 1 1 1 1 1 1 ...
  \$ dataType
               : chr "ROC"
   $ modalityID : Named chr [1:2] "0" "1"
#>
    ..- attr(*, "names")= chr [1:2] "0" "1"
#>
                : Named chr [1:5] "0" "1" "2" "3" ...
   $ readerID
   ..- attr(*, "names")= chr [1:5] "0" "1" "2" "3" ...
```

3.2.1 Overview of the data structure

- The dataset structure is a list variable with 8 members ².
 - Ratings of non-diseased cases are stored in the NL list member.
 - Ratings of diseased cases are stored in the LL list member.
 - The lesionNum list member is an array of length 45, filled with ones. It lists the number of lesions per case, which for ROC data, is always unity. The length of this array equals the number of diseased cases K2, see below.
 - The lesionID list member is a [45 x 1] array, also filled with ones.
 - The LesionWeight list member is also a [45 \times 1] array filled with ones
 - The dataType list member equals the string "ROC", identifying it as an ROC dataset.
 - The modalityID list member is a string array identifying the names of the treatments (see below).
 - The readerID list member is a string array, identifying the names of the readers (see below).

3.2.2 Details of the modalityID and readerID list members

• The names of the treatments are in the modalityID list member:

²This is true for ROC, FROC and ROI datasets. LROC datasets have 9 list members.

 $^{^3{}m The~second}$ "unnecessary" dimension is necessary for compatibility with FROC datasets.

```
attributes(dataset02$modalityID)
#> $names
#> [1] "0" "1"
```

For example, the name of the first treatment is "0". The names can be longer strings, but use of very long string names may mess up the output formats of the analysis report. As per the **KISS** principle ⁴, keep the names short.

• The names of the readers are in the readerID array:

```
attributes(dataset02$readerID)

#> $names

#> [1] "0" "1" "2" "3" "4"
```

For example, the name of the second reader is "1". A similar caveat regarding long reader names applies.

3.2.3 Details of the NL and LL list members

- For either NL or LL list members, the fourth dimension has unit length. This dimension, which is strictly speaking unnecessary for ROC data, is retained for ease of generalizability to the FROC and ROC paradigms, where more than one rating per case is possible.
- dataset02 is a 2-treatment 5-reader dataset (the lengths of the first and second dimensions, respectively, of the NL and LL list members).

3.2.3.1 Numbers of non-diseased and diseased cases

```
K <- length(dataset02$NL[1,1,,1])
K2 <- length(dataset02$LL[1,1,,1])
K1 <- K - K2</pre>
```

- K1 is the number of non-diseased cases, while K2 is the number of diseased cases.
- The third dimension of the NL array is the total number of **all** cases, i.e., K = 114, and the third dimension of the LL array, i.e., K2 = 45, is the total number of diseased cases.
- Subtracting the number of diseased cases from the number of all cases yields the number of non-diseased cases.
- $\bullet\,$ Therefore, in this dataset, there are 45 diseased cases and 69 non-diseased cases.

⁴For those not familiar, KISS stands for Keep It Simple, Stupid.

3.2.3.2 Why dimension the NL array for the total number of cases?

• Again, this is for ease of generalizability to the FROC and ROI paradigms.

3.2.3.3 Ratings on a non-diseased case

- $\bullet\,$ For ROC data a non-diseased case can have only one, and exactly one, NL rating.
- For treatment 1, reader 1 and case 1 (the first non-diseased case), the NL rating is "1":

```
dataset02$NL[1,1,1,1]
#> [1] 1
mean(dataset02$NL[,,1:K1,1])
#> [1] 1.784058
```

- This study utilized a 5-point rating scale, 1 thru 5, so non-diseased cases are expected to have low ratings; in this case the lowest rating was observed
- The mean rating over all non-diseased cases, treatments and readers, is 1.784058.

3.2.3.4 Ratings on a diseased case

- For ROC data a diseased case can have only one, and exactly one, LL rating.
- For treatment 1, reader 1, case 1 (the first diseased case) the LL rating is:

```
dataset02$LL[1,1,1,1]
#> [1] 5
mean(dataset02$LL)
#> [1] 4.297778
```

- As noted previously, this study utilized a 5-point rating scale, 1 thru 5, so diseased cases are expected to have high ratings; in this case the highest rating was observed.
- The mean rating over all diseased cases, treatments and readers, is 4.2977778.

3.3 The ROC Excel data file

• An Excel file in JAFROC format containing ROC data corresponding to dataset02 is included with the **RJafroc** package. The first command

(below) finds the location of the file and the second command reads it and saves it to a dataset object ds.

```
fileName <- system.file(
    "extdata", "includedRocData.xlsx", package = "RJafroc", mustWork = TRUE)
ds <- DfReadDataFile(fileName)</pre>
```

- DfReadDataFile is short for Data File Function to Read a Data File.
- All data file related functions start with Df, and a similar organization applies to other functions. This makes it easier, in my opinion, to find a function in the R help system.
- To see the online help files, use the following command:

```
help("RJafroc-package")
```

- Click the "Show in new window" button to see it full screen.
- This bit of experiential advice applies, of course, to all help files.

3.3.1 The ROC Excel file organization

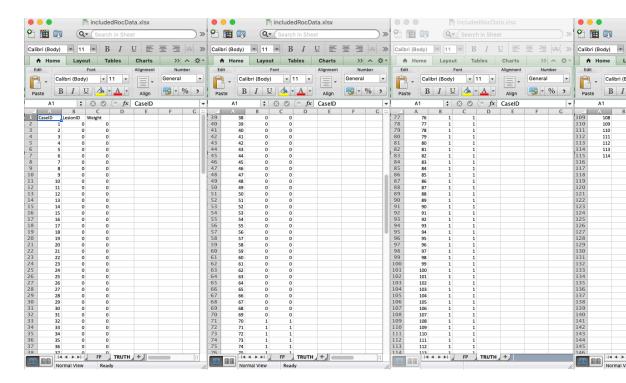
- It contains three worksheets, Truth, TP and FP.
- The Truth worksheet defines the ground-truth of each case. It indicates
 which cases are diseased and which are non-diseased.
- The FP worksheet lists the ratings of non-diseased cases.
- The TP worksheet lists the ratings of diseased cases ⁵.

3.3.1.1 The Truth worksheet organization

- The CaseID column lists the numeric labels identifying each case. Again, string names are possible, but keep them short.
- A 1 in the LesionID column denotes a diseased case.
- A 0 in the LesionID column denotes a non-diseased case.
- The Weight column is irrelevant for ROC data ⁶.
- The contents of the Truth worksheet corresponding to dataset02 are displayed next:

⁵OK, I am being inconsistent. I am using NL, LL for the ratings and FP, TPj for the worksheets. The worksheet format will accept NL and LL instead of FP and TP. However, for ease of generalization to the FROC pardigm it is necessary to use NL and LL for the list members of the dataset object.

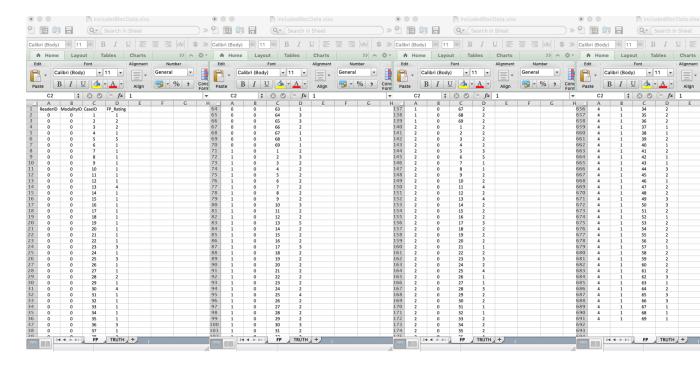
⁶It is only needed for FROC data.



- There are 69 non-diseased cases (labeled 1-69) under column CaseID.
- There are 45 diseased cases (labeled 70-114) under column CaseID.
- The LesionID field for each non-diseased case (e.g., CaseID = 1) is zero. A zero in this field defines a non-diseased case.
- The LesionID field for each diseased case (e.g., CaseID = 70) is unity. A unit value in this field defines a diseased case.
- The Weights field is irrelevant for ROC datasets. For convenience it is filled with zeroes.

3.3.1.2 The FP/NL worksheet organization

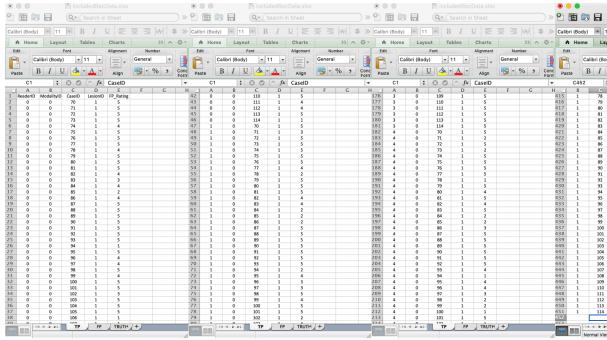
The following screen-shots show different parts of the FP worsheet for dataset02.



- The FP (or NL) worksheet lists the ratings of non-diseased cases.
- The ModalityID values range from 0 to 1, corresponding to two treatments.
- The **ReaderID** values range from 0 to 4, corresponding to five readers.
- The CaseID values range from 1 to 69, corresponding to non-diseased cases only.
- For each reader and treatment, each non-diseased case gets one rating; therefore the length of the column labeled **FP-Rating** is $69 \times 2 \times 5 = 690$.
- The FP ratings tend to be low, there are a lot of ones, fewer twos, even fewer threes, and an ocassional four and a five rating may be found.

3.3.1.3 The TP/LL worksheet organization

The following screen-shots show different parts of the FP worsheet for dataset02.



* The TP (or LL) worksheet lists the ratings of diseased cases. * The ModalityID values range from 0 to 1, corresponding to two treatments. * The ReaderID values range from 0 to 4, corresponding to five readers. * The CaseID values range from 70 to 114, corresponding to diseased cases only. * For each reader and treatment, each non-diseased case gets one rating; therefore the length of the column labeled $\bf FP$ -Rating is $\bf 45 \times 2 \times 5 = 450$. * The TP ratings tend to be high, there are a lot of fives, fewer fours, even fewer threes, and an ocassional two and a one rating may be found.

3.4 Summary

• Since each case gets one rating, the ROC data structure is relatively easy to visualize. All of the information in the three Excel worksheets can be summarize by a two-row five column table (with 10 values), with one row listing the number of non-diseased cases rated 1, the number rated two, etc., upto the number rated five, and a corresponding row for diseased cases. These 10 values contain all of the information contained in the Excel file.

FROC data format

4.1 Introduction

- In the free-response ROC (**FROC**) paradigm (Bunch et al., 1978) the observer's task is to indicate (i.e., **mark** the location of) and **rate** (i.e., assign an ordered label or confidence level representing the degree of suspicion) regions in the image that are perceived as suspicious for presence of disease. Accordingly, FROC data consists of **mark-rating pairs**, where each mark indicates a region ¹ that was considered suspicious for presence of a localized lesion and the rating is the corresponding confidence level. The number of mark-rating pairs on any particular case is a-priori unpredictable. It is a non-negative random integer (i.e., 0, 1, 2, ...) that depends on the case, the reader and the modality. The relatively unstructured nature of FROC data makes FROC paradigm data more difficult to analyze than ROC paradigm data ².
- By adopting a proximity criterion, each mark is classified by the investigator as a lesion localization (LL) if it is close to a real lesion or a non-lesion localization (NL) otherwise.
- The rating can be an integer or quasi- continuous (e.g., 0 100), or a floating point value, as long as higher numbers represent greater confidence in presence of one or more lesions in the ROI ³.

¹In order to avoid confusion with the ROI-paradigm, I do not like to use the term ROI to describe the marks made by the observer.

²Recall that the ROC paradigm always yields a single rating per case.

³The directionality of the rating is not a limitation. If lower values correspond to increased confidence level, it is only necessary to transform the observed rating by subtracting it from a constant value. The constant value can be chosen arbitrarily, typically as the maximum of all observed ratings, thereby ensuring that the transformed value is always non-negative.

 Region-level-normal ratings are stored in the NL field and region-levelabnormal ratings are stored in the LL field.

4.2 An actual FROC dataset

An actual FROC dataset (Zanca et al., 2009) is included as dataset04, which has the following dataset structure:

Examination of the output reveals that:

- The dataset structure is a list with 8 members.
- This is a 5-treatment 4-reader dataset (the lengths of the first and second dimensions, respectively, of the NL and LL arrays). The names of the treatments are in the modalityID array:

```
attributes(dataset04$modalityID)
#> $names
#> [1] "1" "2" "3" "4" "5"
```

For example, the name of the second treatment is "2".

• The names of the readers are in the readerID array:

```
attributes(dataset04$readerID)

#> $names

#> [1] "1" "3" "4" "5"
```

For example, the name of the second reader is "3". Apparently reader "2" "dropped out" of the study.

4.2.1 Numbers of non-diseased and diseased cases

```
length(dataset04$NL[1,1,,1])
#> [1] 200
length(dataset04$LL[1,1,,1])
#> [1] 100
```

- The third dimension of the NL array is the total number of **all** cases, i.e., 200, and the third dimension of the LL array, i.e., 100, is the total number of diseased cases.
- Subtracting the number of diseased cases from the number of all cases yields the number of non-diseased cases.
- Therefore, in this dataset, there are 100 diseased cases and 100 non-diseased cases.

4.2.2 Why dimension the NL array for the total number of cases?

- Because, in addition to LLs, NLs are possible on diseased cases.
- Only LLs are possible on diseased cases.
- Only NLs are possible on non-diseased cases.
- The missing values are filled in with -Inf.

4.2.3 Ratings on a non-diseased case

• For treatment 1, reader 1 and case 1 (the first non-diseased case), the NL ratings are:

```
dataset04$NL[1,1,1,]
#> [1] -Inf -Inf -Inf -Inf -Inf
```

4.2.4 The meaning of a negative infinity rating

• Obviously, a real rating cannot be negative infinity ⁴. This value is reserved for **missing ratings**, and more generally, **missing marks** ⁵. For

⁴If an observer is so highly confident in the *absence* of a localized lesion, he will simply *not mark* the location in question; if he did, then, logically, he should mark *all* areas in the image that are definitely not lesions; in the FROC paradigm only regions with a reasonable degree of suspicion are marked. The radiologist only wishes to draw attention to regions that are reasonably suspicious; the definition of "reasonable" is determined by clinical considerations.

⁵Since there is a one-to-one correspondence between marks and ratings.

example, since all values in the above code chunk are negative infinities, this means this treatment-reader-case combination did not yield any markrating pairs. This possibility, alluded to above, is only possible with FROC data. All other paradigms (ROC, LROC and ROI) yield at least one rating per case.

• The length of the fourth dimension of the NL array is determined by that treatment-reader-case combination yielding the maximum number of NLs. Consider the following chunk:

```
for (i in 1:5)
  for (j in 1:4)
   for (k in 1:200)
     if (all(dataset04$NL[i,j,k,] != -Inf))
      cat(i, j, k, all(dataset04$NL[i,j,k,] != -Inf),"\n")
#> 5 4 192 TRUE
```

• This shows that the fourth dimension of the NL array has to be of length 7 because *one*, and only reader, specifically reader "4", made 7 NL marks on a diseased case in treatment "5"!

4.2.5 Ratings on a non-diseased case

Unlike non-diseased cases, diseased cases can have both NL and LL ratings.

• For treatment 1, reader 1, case 51 (the 1st diseased case) the NL ratings are:

```
dataset04$NL[1,1,51,]
#> [1] -Inf -Inf -Inf -Inf -Inf -Inf
dataset04$lesionNum[1]
#> [1] 1
dataset04$LL[1,1,1,]
#> [1] 4 -Inf -Inf
mean(is.finite(dataset04$LL))
#> [1] 0.3043333
```

. There are only two finite values because this case has two ROI-level-abnormal regions, and $2~\mathrm{plus}~2~\mathrm{makes}$ for the assumed 4-regions per case. The corresponding $\mathrm{lesionNum}~\mathrm{field}$ is 1.

```
mean(is.finite(dataset04$NL[,,1:50,]))
#> [1] 0.05942857
dataset04$NL[1,1,51,]
```

```
mean(is.finite(dataset04$NL[,,1:50,]))
#> [1] 0.05942857
dataset04$NL[1,1,51,]
#> [1] -Inf -Inf -Inf -Inf -Inf -Inf dataset04$lesionNum[1]
#> [1] 1
dataset04$LL[1,1,1,]
#> [1] 4 -Inf -Inf
mean(is.finite(dataset04$LL))
#> [1] 0.3043333
```

• The ratings of the 2 ROI-level-abnormal ROIs on this case are 4. The mean rating over all ROI-level-abnormal ROIs is 3.6785323.

```
mean(is.finite(dataset04$NL[,,1:50,]))
#> [1] 0.05942857
dataset04$NL[1,1,51,]
#> [1] -Inf -Inf -Inf -Inf -Inf -Inf
dataset04$lesionNum[1]
#> [1] 1
dataset04$LL[1,1,1,]
#> [1] 4 -Inf -Inf
mean(is.finite(dataset04$LL))
#> [1] 0.3043333
```

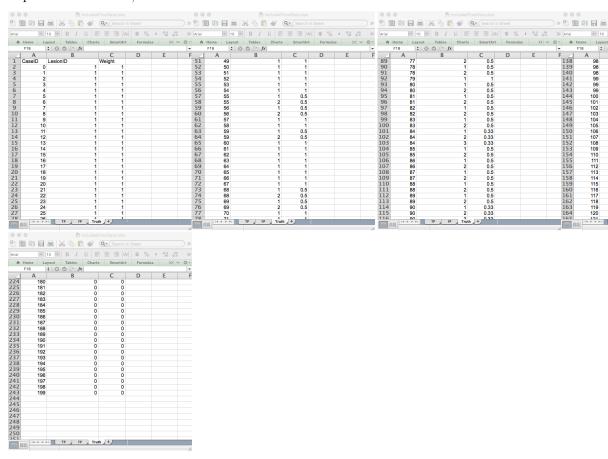
4.3 The FROC Excel data file

An Excel file in JAFROC format containing simulated ROI data corresponding to dataset04, is included with the distribution. The first command (below) finds the location of the file and the second command reads it and saves it to a dataset object ds.

```
fileName <- system.file(
    "extdata", "includedFrocData.xlsx", package = "RJafroc", mustWork = TRUE)</pre>
```

```
ds <- DfReadDataFile(fileName)
ds$dataType
#> [1] "FROC"
```

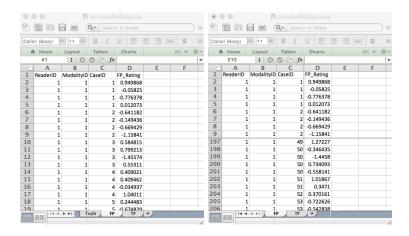
The DfReadDataFile function automatically recognizes that this is an ROI dataset. Its structure is similar to the JAFROC format Excel file, with some important differences, noted below. It contains three worksheets:



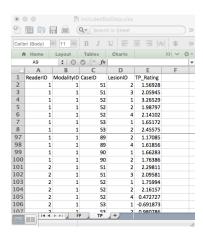
- The Truth worksheet this indicates which cases are diseased and which are non-diseased and the number of ROI-level-abnormal region on each case.
 - There are 50 normal cases (labeled 1-50) under column CaseID and 40 abnormal cases (labeled 51-90).
 - The LesionID field for each normal case (e.g., CaseID = 1) is zero and there is one row per case. For abnormal cases, this field has

a variable number of entries, ranging from 1 to 4. As an example, there are two rows for CaseID = 51 in the Excel file: one with LesionID = 2 and one with LesionID = 3.

The Weights field is always zero (this field is not used in ROI analysis).



- $\bullet\,$ The FP (or NL) worksheet this lists the ratings of ROI-level-normal regions.
 - For ReaderID = 1, ModalityID = 1 and CaseID = 1 there are 4 rows, corresponding to the 4 ROI-level-normal regions in this case. The corresponding ratings are. The pattern repeats for other treatments and readers, but the rating are, of course, different.
 - Each CaseID is represented in the FP worksheet (a rare exception could occur if a case-level abnormal case has 4 abnormal regions).



- The TP (or LL) worksheet this lists the ratings of ROI-level-abnormal regions.
 - Because normal cases generate TPs, one does not find any entry with CaseID = 1-50 in the TP worksheet.
 - The lowest CaseID in the TP worksheet is 51, which corresponds to the first abnormal case.
 - There are two entries for this case, corresponding to the two ROI-level-abnormal regions present in this case. Recall that corresponding to this CaseID in the Truth worksheet there were two entries with LesionID = 2 and 3. These must match the LesionID's listed for this case in the TP worksheet. Complementing these two entries, in the FP worksheet for CaseID = 51, there are 2 entries corresponding to the two ROI-level-normal regions in this case.
 - One should be satisfied that for each abnormal case the sum of the number of entries in the TP and FP worksheets is always 4.

ROI data format

5.1 ROI paradigm

• One can think of the ROI paradigm as similar to the FROC paradigm, but with localization accuracy restricted to belonging to a region (one cannot distinguish multiple lesions within a region). The ROIs are defined prior to the study and made known to all observers participating in the study. Unlike the FROC paradigm, a rating is required for every ROI.

Bibliography

- Bunch, P. C., Hamilton, J. F., Sanderson, G. K., and Simmons, A. H. (1978). A free-response approach to the measurement and characterization of radiographic-observer performance. *J of Appl Photogr. Eng.*, 4:166–171.
- Chakraborty, D. P. (2017). Observer Performance Methods for Diagnostic Imaging Foundations, Modeling, and Applications with R-Based Examples. CRC Press, Boca Raton, FL.
- Metz, C. (1978). Basic principles of roc analysis. Seminars in Nuclear Medicine, 8(4):283-298.
- Van Dyke, C., White, R., Obuchowski, N., Geisinger, M., Lorig, R., and Meziane, M. (1993). Cine mri in the diagnosis of thoracic aortic dissection. 79th RSNA Meetings.
- Zanca, F., Jacobs, J., Van Ongeval, C., Claus, F., Celis, V., Geniets, C., Provost, V., Pauwels, H., Marchal, G., and Bosmans, H. (2009). Evaluation of clinical image processing algorithms used in digital mammography. *Medical Physics*, 36(3):765–775.