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# IMPROVING THE REPRODUCIBILITY OF EXPERIMENTAL DATA RECORDING AND PRE-PROCESSING



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# I

## Overview

The recent NIH-Wide Strategic Plan (U.S. Department of Health and Human Services, National Institutes of Health, 2016) describes an integrative view of biology and human health that includes translational medicine, team science, and the importance of capitalizing on an exponentially growing and increasingly complex data ecosystem (U.S. Department of Health and Human Services, National Institutes of Health, 2018). Underlying this view is the need to use, share, and re-use biomedical data generated from widely varying experimental systems and researchers. Basic sources of biomedical data range from relatively small sets of measurements, such as animal body weights and bacterial cell counts that may be recorded by hand, to thousands or millions of instrument-generated data points from various imaging, -omic, and flow cytometry experiments. In either case, there is a generally common workflow that proceeds from measurement to data recording, pre-processing, analysis, and interpretation. However, in practice the distinct actions of data recording, data pre-processing, and data analysis are often merged or combined as a single entity by the researcher using commercial or open source spreadsheets, or as part of an often proprietary experimental measurement system / software combination (Figure I.1), resulting in key failure points for reproducibility at the stages of data recording and pre-processing.

It is widely known and discussed among data scientists, mathematical modelers, and statisticians (Broman and Woo, 2018; Krishnan et al., 2016) that there is frequently a need to discard, transform, and reformat various elements of the data shared with them by laboratory-based researchers, and that data is often shared in an unstructured format, increasing the risks of introducing errors through reformatting before applying more advanced computational methods. Instead, a critical need for reproducibility is for the transparent and clear sharing across research teams of: (1) raw data, directly from hand-recording or directly output from experimental equipment; (2) data that has been pre-processed as necessary (e.g., gating for flow cytometry data, feature identification for metabolomics data), saved in a consistent, structured format, and (3) a clear and repeatable description of how the pre-processed data was



Figure 1.1: Two scenarios where ‘black boxes’ of non-transparent, non-reproducible data handling exist in research data workflows at the stages of data recording and pre-processing. These create potential points of failure for reproducible research. Red arrows indicate where data is passed to other research team members, including statisticians / data analysts, often within complex or unstructured spreadsheet files.

generated from the raw data (Broman and Woo, 2018; Ellis and Leek, 2018).

To enhance data reproducibility, it is critical to create a clear separation among data recording, data pre-processing, and data analysis—breaking up commonly existing “black boxes” in data handling across the research process. Such a rigorous demarcation requires some change in the conventional understanding and use of spreadsheets and a recognition by biomedical researchers that recent advances in computer programming languages, especially the R programming language, provide user-friendly and accessible tools and concepts that can be used to extend a transparent and reproducible data workflow to the steps of data recording and pre-processing. Among our team, we have found that there are many common existing practices—including use of spreadsheets with embedded formulas that concurrently record and analyze experimental data, problematic management of project files, and reliance on proprietary, vendor-supplied point-and-click software for data pre-processing—that can interfere with the transparency, reproducibility, and efficiency of laboratory-based biomedical research projects, problems that have also been identified by others as key barriers to research reproducibility (Broman and Woo, 2018; Bryan, 2018; Ellis and Leek, 2018; Marwick et al., 2018). In these training modules, we have chosen topics that tackle barriers to reproducibility that have straightforward, easy-to-teach solutions, but which are still very common in biomedical laboratory-based research programs.

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# 2

## *Experimental Data Recording*

### *2.1 Separating data recording and analysis*

Many biomedical laboratories currently use spreadsheet programs to jointly record, visualize, and analyze experimental data (Broman and Woo, 2018). These software tools, such as Microsoft Excel[Ref, copyright?] or Google Sheets[Ref, copyright?], provide for manual or automated entry of data into rows and columns of cells. Standard or custom formulas and other operations can be applied to the cells, and are commonly used to reformat or clean the data, calculate various statistics, and to generate simple plots; all of which are embedded as additional data entries and programming elements within the spreadsheet. While these tools greatly improved the paper worksheets on which they were originally based (Campbell-Kelly, 2007), this all-in-one practice impedes the transparency and reproducibility of both recording and analysis of the large and complex data sets that are routinely generated in life science experiments.

To improve the computational reproducibility of a research project, it is critical for biomedical researchers to learn the importance of maintaining recorded experimental data as “read-only” files, separating data recording from any data pre-processing or data analysis steps (Broman and Woo, 2018; Marwick et al., 2018). Statisticians have outlined specific methods that a laboratory-based scientist can take to ensure that data shared in an Excel spreadsheet are shared in a reliable and reproducible way, including avoiding macros or embedded formulas, using a separate Excel file for each dataset, recording descriptions of variables in a separate code book rather than in the Excel file, avoiding the use of color of the cells to encode information, using “NA” to code missing values, avoiding spaces in column headers, and avoiding splitting or merging cells (Ellis and Leek, 2018; Broman and Woo, 2018). In this module, we will describe this common practice and will outline alternative approaches that separate the steps of data recording and data analysis.

**Objectives.** After this module, the trainee will be able to:

- Explain the difference between data recording and data analysis

- Understand why collecting data on spreadsheets with embedded formulas impedes reproducibility
- List alternative approaches to improve reproducibility

### *2.1.1 Data recording versus data analysis*

#### **History of spreadsheets.**

Spreadsheets have long been an extremely popular tool for recording and analyzing data, in part because they allow people without programming experience to conduct a range of standard computations and statistical analyses through a visual interface that is more immediately user-friendly to non-programmers than programs with command line interfaces. An early target for spreadsheet programs in terms of users was business executives, and so the programs were designed to be very simple and easy to use—just one step up in complexity from crunching numbers on the back of an envelope (Campbell-Kelly, 2007). Spreadsheet programs in fact became so popular within businesses that many attribute these programs with driving the uptake of personal computers (Campbell-Kelly, 2007).

Spreadsheets were innovative and rapidly adapted in part because they allowed users to combine data recording and analysis—while previously, in business settings, any complicated data analysis task needed to be outsourced to mainframe computers and data processing teams, the initial spreadsheet program (VisiCalc) allowed one person to quickly apply and test different models or calculations on recorded data (Levy, 1984). These spreadsheet programs allowed non-programmers to engage with data, including data processing and analysis tasks, in a way that previously required programming expertise (Levy, 1984).

#### **Use of spreadsheets.**

Many scientific laboratories use spreadsheets within their data collection process, both to record data and to clean and analyze the data. Illustrative examples can be found in surveys of over 250 biomedical researchers at the University of Washington (Anderson et al., 2007), and of neuroscience researchers at the University of Newcastle, with most respondents reporting the use of spreadsheets and other general-purpose software in their research (AlTarawneh and Thorne, 2017). A working group on bioinformatics and data-intensive science similarly found spreadsheets were the most common tool used across attendees (Barga et al., 2011).

In some cases, a spreadsheet is used solely to record data, as a simple type of database (Birch et al., 2018). However, biomedical researchers often use spreadsheets to both record and analyze experimental data (Anderson et al., 2007). In this case, data processing and analysis is implemented through the use of formulas and macros embedded within the spreadsheet. When a spreadsheet has formulas or macros within it, the spreadsheet program creates an internal record of how cells are connected through these formulas. For example, if the

value in a specific cell is converted from Fahrenheit to Celsius to fill a second cell, and then that value is combined with other values in a column to calculate the mean temperature across several observations, then the spreadsheet program has internally saved how the later cells depend on the earlier ones. When you change the value recorded in a cell of a spreadsheet, the spreadsheet program queries this record and only recalculates the cells that depend on that cell. This process allows the program to quickly “react” to any change in cell inputs, immediately providing an update to all downstream calculations and analyses (Levy, 1984). Starting from the spreadsheet program Lotus 1-2-3, spreadsheet programs also included *macros*, “a single computer instruction that stands for a sequence of operations” (Creeth, 1985).

Spreadsheets have become so popular in part because so many people know how to use them, at least in basic ways, and so many people have the software on their computers that files can be shared with the virtual guarantee that everyone will be able to open the file on their own computer (Hermans et al., 2016). Spreadsheets use the visual metaphor of a traditional gridded ledger sheet (Levy, 1984), providing an interface that is easy for users to immediately understand and create a mental map of (Birch et al., 2018; Barga et al., 2011). This visually clear interface also means that spreadsheets can be printed or incorporated into other documents (Word files, PowerPoint presentations) “as-is”, as a workable and understandable table of data values. In fact, some of the most popular plug-in software packages for the early spreadsheet program Lotus 1-2-3 were programs for printing and publishing spreadsheets (Campbell-Kelly, 2007). This “What You See Is What You Get” interface was a huge advance from previous methods of data analysis for the first spreadsheet program, VisiCalc, providing a “window to the data” that was accessible to business executives and others without programming expertise (Creeth, 1985). Several surveys of researchers have found that spreadsheets were popular because of their simplicity and ease-of-use (Anderson et al., 2007; AlTarawneh and Thorne, 2017; Barga et al., 2011). By contrast, databases and scripted programming languages can be perceived as requiring a cognitive load and lengthy training that is not worth the investment when an easier tool is available (Hermans et al., 2016; Anderson et al., 2007; Myneni and Patel, 2010; Barga et al., 2011; Topaloglou et al., 2004).

### 2.1.2 Hazards of combining recording and analysis

#### **Raw data often lost.**

One of the key tenets of ensuring that research is computationally reproducible is to always keep a copy of all raw data, as well as the steps taken to get from the raw data to a cleaned version of the data through to the results of data analysis. However, maintaining an easily accessible copy of all original raw data for a project is a common problem among biomedical researchers (Goodman et al., 2014), especially as team members move on from a laboratory

group (Myneni and Patel, 2010).

The use of spreadsheets to jointly record and analyze data can contribute to this problem. Spreadsheets allow for the immediate and embedded processing of data. As a result, it may become very difficult to pull out the raw data originally recorded in a spreadsheet. At the least, the combination of raw and processed data in a spreadsheet makes it hard to identify which data points within a spreadsheet make up the raw data and which are the result of processing that raw data. One study of operational spreadsheets noted that:

“The data used in most spreadsheets is undocumented and there is no practical way to check it. Even the original developer would have difficulty checking the data.” (Powell et al., 2009)

Further, data in a spreadsheet is typically not saved as “read-only”, so it is possible for it to be accidentally overwritten: in situations where spreadsheets are shared among multiple users, original cell values can easily be accidentally written over, and it may not be clear who last changed a value, when it was changed, or why (AlTarawneh and Thorne, 2017).

Finally, many spreadsheets use a proprietary format. In the development of spreadsheet programs, this use of proprietary binary file formats helped a software program keep users, increasing barriers for a user to switch to a new program (since the new program wouldn’t be able to read their old files) (Campbell-Kelly, 2007). However, this file format may be hard to open in the future, as software changes and evolves (Michener, 2015); by comparison, plain text files should be widely accessible through general purpose tools—a text editor is a type of software available on all computers, for example—regardless of changes to proprietary software like Microsoft Excel.

#### **Opacity of analysis steps and potential for errors.**

Previous studies have found that errors are very common within spreadsheets (Hermans et al., 2016). For example, one study of 50 operational spreadsheets found that about 90% contained at least one error (Powell et al., 2009). In part, it is easier to make errors in spreadsheets and harder to catch errors in later work with a spreadsheet because the formulas and connections between cells aren’t visible when you look at the spreadsheet—they’re behind the scenes (Birch et al., 2018). This makes it very hard to get a clear and complete view of the pipeline of analytic steps in data processing and analysis within a spreadsheet, or to discern how cells are connected within and across sheets of the spreadsheet. As one early article on the history of spreadsheet programs notes:

“People tend to forget that even the most elegantly crafted spreadsheet is a house of cards, ready to collapse at the first erroneous assumption. The spreadsheet that looks good but turns out to be tragically wrong is becoming a familiar phenomenon.” (Levy, 1984)

Some characteristics of spreadsheets may heighten chances for errors. These include high conditional complexity (i.e., lots of branching of data flow

through if / else structures), formulas that depend on a large number of cells or that incorporate many functions (Hermans et al., 2016). Following the logical chain of spreadsheet formulas can be particularly difficult when several calculations are chained in a row (Hermans and Murphy-Hill, 2015). Very long chains of dependent formulas across spreadsheet cells may in some case requiring sketching out by hand the flow of information through the spreadsheet to understand what's going on (Nardi and Miller, 1990). The use of macros can also make it particularly hard to figure out the steps of an analysis and to diagnose and fix any bugs in those steps (Nash, 2006; Creeth, 1985). One study of spreadsheets used in real life applications noted that, "Many spreadsheets are so chaotically designed that auditing (especially of a few formulas) is extremely difficult or impossible." (Powell et al., 2009)

In some cases, formula dependences might span across different sheets of a spreadsheet file. For the example given previously of a spreadsheet that converts temperature from one unit to another and then averages across observations, for example, the original temperature might be recorded in one sheet while the converted temperature value is calculated and shown in a second sheet. These cross-sheet dependencies can make the analysis steps even more opaque (Hermans et al., 2016), as a change in the cell value of one sheet might not be immediately visible as a change in another cell on that sheet (the same is true for spreadsheets so large that all the cells in a sheet are not concurrently visible on the screen). Other common sources of errors included incorrect references to cells inside formulas and incorrect use of formulas (Powell et al., 2009) or errors introduced through the common practice of copying and pasting when developing spreadsheets (Hermans et al., 2016).

To keep analysis steps clear, whether in scripted code or in spreadsheets or pen-and-paper calculations, it is important to document what is being done at each step and why (Goodman et al., 2014). Scripted languages allow for code comments, which are written directly into the script but not evaluated by the computer, and so can be used to document steps within the code without changing the operation of the code. Further, the program file itself often presents a linear, step-by-step view of the pipeline, stored separated from the data itself (Creeth, 1985). Calculations done with pen-and-paper (e.g., in a laboratory notebook) can be annotated with text to document the steps. Spreadsheets, on the other hand, are often poorly documented, or documented in ways that are hard to keep track of. Before spreadsheets,

"The formulas appeared in one place and the results in another. You could see what you were getting. That cannot be said of electronic spreadsheets, which don't display the formulas that govern their calculations. As Mitch Kapor explained, with electronic spreadsheets, 'You can just randomly make formulas, all of which depend on each other. And when you look at the final results, you have no way of knowing what the rules are, unless someone tells you.' " (Levy, 1984)

Within spreadsheets, the logic and methods behind the pipeline of data processing and analysis is often not documented, or only documented with

cell comments (hard to see as a whole) or in emails, not the spreadsheet file. One study that investigated a large collection of spreadsheets found that most do not include documentation explaining the logic or implementation of data processing and analysis implemented within the spreadsheet (Hermans et al., 2016). A survey of neuroscience researchers at a UK institute found that about a third of respondents included no documentation for spreadsheets used in their research laboratories (AlTarawneh and Thorne, 2017).

When spreadsheet pipelines are documented, it is often through methods that are hard to find and interpret later. One study of scientific researchers found that, when research spreadsheets were documented, it was often through “cell comments” added to specific cells in the spreadsheet, which can be hard to interpret inclusively to understand the flow and logic of a spreadsheet as a whole (AlTarawneh and Thorne, 2017). In some cases, teams discuss and document functionality and changes in spreadsheets through email chains, passing different versions of the spreadsheet file as attachments of emails with discussion of the spreadsheet in the email body. One research team investigated over 700,000 emails from employees of Enron that were released during legal proceedings and investigated the spreadsheets attached to these emails (over 15,000 spreadsheets) as well as discussion of the spreadsheets within the emails themselves (Hermans and Murphy-Hill, 2015). They found that the logic and methods of calculations within the spreadsheets were often documented within the bodies of emails that team members used to share and discuss spreadsheets. This means that, if someone needs to figure out why a step was taken or identify when an error was introduced into a spreadsheet, they may need to dig through the chain of old emails documenting that spreadsheet, rather than being able to find the relevant documentation within the spreadsheet’s own file.

Often spreadsheets are designed, and their structure determined, by one person, and this is often done in an *ad hoc* fashion, rather than designing the spreadsheet to follow a common structure for the research field or for the laboratory group (Anderson et al., 2007). Often, data processing and analysis pipelines for spreadsheets are not carefully designed; instead, it’s more typically for spreadsheet user to start by directly entering data and formulas without a clear overall plan (AlTarawneh and Thorne, 2017). Often, the person who created the spreadsheet is the only person who fully knows how it works (Myneni and Patel, 2010), particularly if the spreadsheet includes complex macros or a complicated structure in the analysis pipeline (Creeth, 1985).

This practice creates a heavy dependence on the person who created that spreadsheet anytime the data or results in that spreadsheet need to be interpreted. This is particularly problematic in projects where the spreadsheet will be shared for collaboration or adapted to be used in a future project, as is often done in scientific research groups. One survey of neuroscience researchers at a UK institute, for example, found that “on average, 2–5 researchers share the same spreadsheet”. (AlTarawneh and Thorne, 2017) In this case, it can be hard

to “onboard” new people to use the file, and much of the work and knowledge about the spreadsheet can be lost when that person moves on from the business or laboratory group (Creeth, 1985; Myneni and Patel, 2010). If you share a spreadsheet with numerous and complex macros and formulas included to clean and analyze the data, it can take an extensive amount of time, and in some cases may be impossible, for the researcher you share it with to decipher what is being done to get from the original data input in some cells to the final results shown in others and in graphs. Further, if others can’t figure out the steps being done through macros and formulas in a spreadsheet, they will not be able to check it for problems in the logic of the overall analysis pipeline or for errors in the specific formulas used within that pipeline. They also will struggle to extend and adapt the spreadsheet to be used for other projects. These problems come up not only when sharing with a collaborator, but also when reviewing spreadsheets that you have previously created and used (as many have noted, your most frequent collaborator will likely be “future you”). In fact, one survey of biomedical researchers at the University of Washington noted that,

“The profusion of individually created spreadsheets containing overlapping and inconsistently updated data created a great deal of confusion within some labs. There was little consideration to future data exchange of submission requirements at the time of publication.” (Anderson et al., 2007)

There are methods that have been brought from more traditional programming work into spreadsheet programming to try to help limit errors, including a tool called assertions that allows users to validate data or test logic within their spreadsheets (Hermans et al., 2016). However, these are often not implemented, in part perhaps because many spreadsheet users see themselves as “end-users”, creating spreadsheets for their own personal use rather than as something robust to future use by others, and so don’t seek out strategies adopted by “programmers” when creating stable tools for others to use (Hermans et al., 2016). In practice, though, often a spreadsheet is used much longer, and by more people, than originally intended. From early in the history of spreadsheet programs, users have shared spreadsheet files with interesting functionality with other users (Levy, 1984), and the lifespan of a spreadsheet can be much longer than originally intended—a spreadsheet created by one user for their own personal use can end up being used and modified by that person or others for years (Hermans et al., 2016).

#### **Subpar software for analysis.**

While spreadsheets serve as a widely-used tool for data recording and analysis, in many cases spreadsheets programs are poorly suited to clean and analyze scientific data compared to other programs. As tools and interfaces continue to develop that make other software more user-friendly to those new to programming, scientists may want to reevaluate the costs and benefits, in terms of both time required for training and aptness of tools, for spreadsheet programs compared to using scripted programming languages like R and Python.

Several problems have been identified with spreadsheet programs in the context of recording and, especially, analyzing scientific data. First, some statistical methods may be inferior to those available in other statistical programming language. Since the most popular spreadsheet program (Excel) is closed source, it is hard to identify and diagnose such problems, and there is likely less of an incentive for problems in statistical methodology to be fixed (rather than using development time and funds to increase easier-to-see functionality in the program). Many statistical operations require computations that cannot be perfectly achieved with a computer, since the computer must ultimately solve many mathematical problems using numerical approximations rather than continuous methods (e.g., calculus). The choice of the algorithms used for these approximations heavily influence how closely a result approximates the true answer.

A series of papers examined the quality of statistical methods in several statistical software programs, including Excel, starting in the 1990s (McCullough and Wilson, 1999; McCullough, 1999; McCullough and Wilson, 2002, 2005; McCullough and Heiser, 2008; Mélard, 2014). In the earliest studies, they found some concerns across all programs considered (McCullough and Wilson, 1999; McCullough, 1999). One of the biggest concerns, however, was that there was little evidence over the years that the identified problems in Excel were resolved, or at least improved, over time (McCullough, 2001; McCullough and Heiser, 2008). The authors note that there may be little incentive for checking and fixing problems with algorithms for statistical approximation in closed source software like Excel, where sales might depend more on the more immediately evident functionality in the software, while problems with statistical algorithms might be less evident to potential users (McCullough, 2001).

Open source software, on the other hand, offers pathways for identifying and fixing any problems in the software, including for statistical algorithms and methods implemented in the software's code. Since the full source code is available, researchers can closely inspect the algorithms being used and compare them to the latest knowledge in statistical computing methodology. Further, if an inferior algorithm is in use, most open source software licenses allow a user to adapt and extend the software, for example to implement better statistical algorithms.

Second, spreadsheet programs can include automated functionality that's meant to make something easier for most users, but that might invisibly create problems in some cases. A critical problem, for example, has been identified when using Excel for genomics data. When Excel encounters a cell value in a format that seems like it could be a date (e.g., "Mar-3-06"), it will try to convert that cell to a "date" class. Many software programs save date as this special "date" format, where it is printed and visually appears in a format like "3-Mar-06" but is saved internally by the program as a number (for Microsoft Excel, the number of days since January 1, 1900 (Willekens, 2013)). By doing this, the software can more easily undertake calculations with dates, like calculat-

ing the number of days between two dates or which of two dates is earlier. Bioinformatics researchers at the National Institutes of Health found that Excel was doing this type of automatic and irreversible date conversion for 30 gene names, including “MAR3” and “APR-4”, resulting in these gene names being lost for further analysis (Zeeberg et al., 2004).

Avoiding this automatic date conversion required specifying that columns with columns susceptible to these problems, including columns of gene names, should be retained in a “text” class in Excel’s file import process. While this problem was originally identified and published in 2004 (Zeeberg et al., 2004), along with tips to identify and avoid the problem, a study in 2016 found that approximately a fifth of genomics papers investigated in a large-scale review had gene name errors resulting from Excel automatic conversion, with the rate of errors actually increasing over time (Ziemann et al., 2016).

Other automatic conversion problems caused the loss of clone identifiers with composed of digits and the letter “E” (Zeeberg et al., 2004; Welsh et al., 2017), which were assumed to be expressing a number using scientific notation and so automatically and irreversibly converted to a numeric class. Further automatic conversion problems can be caused by cells that start with an operator (e.g., “+ control”) or with leading zeros in a numeric identifier (e.g., “007”) (Welsh et al., 2017).

Finally, spreadsheet programs can be limited as analysis needs become more complex or large (Topaloglou et al., 2004). For example, spreadsheets can be problematic when integrating or merging large, separate datasets (Birch et al., 2018). This can create barriers, for example, in biological studies seeking to integrate measurements from different instruments (e.g., flow cytometry data with RNA-sequencing data). Further, while spreadsheet programs continue to expand in their capacity for data, for very large datasets they continue to face limits that may be reached in practical applications (Birch et al., 2018)—until recently, for example, Excel could not handle more than one million rows of data per spreadsheet. Even when spreadsheets can handle larger data, their efficiency in running data processing and analysis pipelines across large datasets can be slow compared to code implemented with other programming languages.

#### **Difficulty collaborating with statisticians.**

Modern biomedical researchers require large teams, with statisticians and bioinformaticians often forming a critical part of the team to enable sophisticated processing and analysis of experimental data. However, the process of combining data recording and analysis of experimental data, especially through the use of spreadsheet programs, can create barriers in working across disciplines. One group defined these issues as “data friction” and “science friction”—the extra steps and work required at each interface where data passes, for example, from a machine to analysis or from a collaborator in one discipline to one in a separate discipline (Edwards et al., 2011). From a survey of scientific labs, for example, one respondent said:

"I can give data that I think are appropriate to answer a question to a biostatistician, but when they look at it, they see it from a different point of view. And that spreadsheet does not really encapsulate where it came from very well, how was it generated, was it random, how was this data collected. You would run a series of queries that you think are pertinent to what this biostatistician would want to know. They become a part of the exploration and not just a receiver of whatever I decided to put in my spreadsheet on that day. What I get back is almost never fully documented in any way that I can really understand and add more to the process." (Myneni and Patel, 2010)

When collaborating with statisticians or bioinformaticians, one of the key sources of this "data friction" can result from the use of spreadsheets to jointly record and analyze experimental data. First, spreadsheets are easy to print or copy into another format (e.g., PowerPoint presentation, Word document), and so researchers often design spreadsheets to be immediately visually appealing to viewers. For example, a spreadsheet might be designed to include hierarchically organized headers (e.g., heading and subheading, some within a cell merged across several columns), or to show the result of a calculation at the bottom of a column of observations (e.g., "Total" in the last cell of the column) (Teixeira and Amaral, 2016). Multiple separate small tables might be included in the same sheet, with empty cells used for visual separation, or use a "horizontal single entry" design , where the headers are in the leftmost column rather than the top row (Teixeira and Amaral, 2016).

These spreadsheet design choices make it much more difficult for the contents of the spreadsheet to be read into other statistical programs. These types of data require several extra steps in coding, in some cases fairly complex coding, with regular expressions or logical rules needed to parse out the data and convert it to the needed shape, before the statistical work can be done for the dataset. This is a poor use of time for a collaborating statistician, especially if it can be avoided through the design of the data recording template. Further, it introduces many more chances for errors in cleaning the data.

Further, information embedded in formulas, macros, and extra formatting like color or text boxes is lost when the spreadsheet file is input into other programs. Spreadsheets allow users to use highlighting to represent information (e.g., measurements for control animals shown in red, those for experiment animals in blue) and to include information or documentation in text boxes. For example, one survey study of biomedical researchers at the University of Washington included this quote from a respondent: "I have one spreadsheet that has all of my chromosomes ... and then I've gone through and color coded it for homozygosity and linkage." (Anderson et al., 2007) All the information encoded in this sheet through color will be lost when the data from the spreadsheet is read into another statistical program.

### 2.1.3 Approaches to separate recording and analysis

In the remaining modules in this section, we will present and describe techniques that can be used to limit or remove these problems. First, in the module on “Structured data”, we will walk through techniques to design data recording formats so that data is saved in a consistent format across experiments within a laboratory group, and in a way that removes “data friction” for collaboration with statisticians or later use in scripted code. These techniques can be immediately used to design a better spreadsheet to be used solely for data collection.

In later modules, we will discuss the use of R projects to coordinate data recording and analysis steps within a directory, while using separate files for data recording versus data processing and analysis. These more advanced formats will enable the use of quality assurance / control measures like testing of data entry and analysis functionality, better documentation of data analysis pipelines, and easy use of version control to track projects and collaborate transparently and with a recorded history.

[We will probably want to flesh this section out as we write later modules.]

### 2.1.4 Discussion questions

## 2.2 Principles and power of structured data formats

The format in which experimental data is recorded can have a large influence on how easy and likely it is to implement reproducibility tools in later stages of the research workflow. Recording data in a “structured” format brings many benefits. In this module, we will explain what makes a dataset “structured” and why this format is a powerful tool for reproducible research.

Every extra step of data cleaning is another chance to introduce errors in experimental biomedical data, and yet laboratory-based researchers often share experimental data with collaborators in a format that requires extensive additional cleaning before it can be input into data analysis (Broman and Woo, 2018). Recording data in a “structured” format brings many benefits for later stages of the research process, especially in terms of improving reproducibility and reducing the probability of errors in analysis (Ellis and Leek, 2018). Data that is in a structured, tabular, two-dimensional format is substantially easier for collaborators to understand and work with, without additional data formatting (Broman and Woo, 2018). Further, by using a consistent structured format across many or all data in a research project, it becomes much easier to create solid, well-tested code scripts for data pre-processing and analysis and to apply those scripts consistently and reproducibly across datasets from multiple experiments (Broman and Woo, 2018). However, many biomedical researchers are unaware of this simple yet powerful strategy in data recording and how it can improve the efficiency and effectiveness of collaborations (Ellis and Leek, 2018).

**Objectives.** After this module, the trainee will be able to:

- List the characteristics of a structured data format

- Describe benefits for research transparency and reproducibility
- Outline other benefits of using a structured format when recording data

### 2.2.1 Data recording standards

For many areas of biological data, there has been a push to create standards for how data is recorded and communicated. Standards can clarify both the *content* that should be included in a dataset, the *format* in which that content is stored, and the *vocabulary* used within this data. One article names these three facets of a data standard as the **minimum information**, **file formats**, and **ontologies** (Ghosh et al., 2011).

“It is important to distinguish between standards that specify how to actually do experiments and standards that specify how to describe experiments. Recommendations such as what standard reporters (probes) should be printed on microarrays or what quality control steps should be used in an experiment belong to the first category. Here we focus on the standards that specify how to describe and communicate data and information.” (Brazma et al., 2006)

Many people and organizations (including funders) are excited about the idea of developing and using data standards, especially at the community level. Good standards, that are widely adapted by researchers, can help in making sure that data submitted to data repositories are used widely and that software can be developed that is *interoperable* with data from many research group’s experiments. There are also many advantages, if there are not community-level standards for recording a certain type of data, to develop and use local data standards for recording data from your own experiments. This section describes the elements that go into a data standard, discusses some choices to be made when defining a data standard (especially choices on data structure and file formats), and some of the advantages and disadvantages of developing and using data recording standards at both the research group and community levels.

The first of four root causes for irreproducibility in biomedical research: “First, a lack of standards for data generation leads to problems with the comparability and integration of data sets.” (Waltemath and Wolkenhauer, 2016)

**Ontology standards.** Although it has the most complex name, an *ontology* (sometimes called a *terminology* (Sansone et al., 2012)) might be the easiest and quickest to adapt in recording data. An ontology helps define a vocabulary that is controlled and consistent to use that researchers can use to refer to concepts and concrete things within an area of research. It helps researchers, when they want to talk about an idea or thing, to use one word, and just one word, and to ensure that it will be the same word used by other researchers when they refer to that idea or thing. Ontologies also help to define the relationships between ideas or concrete things in a research area (Ghosh et al., 2011), but here we’ll focus on their use in provided a consistent vocabulary to use when recording data.

For example, when recording a dataset, what do you call a small mammal that is often kept as a pet and that has four legs and whiskers and purrs? Do you record this as “cat” or “feline” or maybe, depending on the animal, even “tabby” or “tom” or “kitten”? Similarly, do you record tuberculosis as “tuberculosis” or “TB” or or maybe even “consumption”? If you do not use the same word consistently in a dataset to record an idea, then while a human might be able to understand that two words should be considered equivalent, a computer will not be able to immediately tell that “TB” should be treated equivalently to “tuberculosis”.

At a larger scale, if a research community can adapt an ontology they agree to use throughout their studies, it will make it easier to understand and integrate datasets produced by different research laboratories. If every research group uses the term “cat”, then code can easily be written to extract and combine all data recorded for cats across a large repository of experimental data. On the other hand, if different terms are used, then it might be necessary to first create a list of all terms used in datasets in the repository, then pick through that list to find any terms that are exchangeable with “cat”, then write script to pull data with any of those terms.

Several ontologies already exist or are being created for biological and other biomedical research (Ghosh et al., 2011). Existing community-level ontologies in the biological sciences include [Gene Ontology and Systems Biology Ontology are listed in the Ghosh et al. paper as two examples]. For biomedical science, practice, and research, the BioPortal website (<http://bioportal.bioontology.org/>) provides access to almost 800 ontologies, including several versions of the International Classification of Diseases, the Medical Subject Headings (MESH), the National Cancer Institute Thesaurus, the Orphanet Rare Disease Ontology and the National Center for Biotechnology Information (NCBI) Organismal Classification. For each ontology in the BioPortal website, the website provides a link for downloading the ontology in several formats. If you download the ontology as a “CSV”, you can open it in your favorite spreadsheet program and explore how it defines specific terms to use for each idea or thing you might need to discuss within that topic area, as well as synonyms for some of the terms. To use an ontology when recording your own data, just make sure you use the ontology’s suggested terms in your data. For example, if you’d like to use the Ontology for Biomedical Investigations (<http://bioportal.bioontology.org/ontologies/OBI>) and you are recording how many children a woman has had who were born alive, you should name that column of the data “number of live births”, not “# live births” or “live births (N)” or anything else. Other collections of ontologies exist for fields of scientific research, including the Open Biological and Biomedical Ontology (OBO) Foundry (<http://www.obofoundry.org/>).

If there are community-wide ontologies in your field, it is worthwhile to use them in recording experimental data in your research group. Even better is to not only consistently use the defined terms, but also to follow any conventions

with capitalization. While most statistical programs provide tools to change capitalization (for example, to change all letters in a character string to lower case), this process does require an extra step of data cleaning and an extra chance for confusion or for errors to be introduced into data.

**Minimum information standards.** The next easiest facet of a data standard to bring into data recording in a research group is *minimum information*. Within a data recording standard, *minimum information* (sometimes also called *minimum reporting guidelines* (Sansone et al., 2012) or *reporting requirements* (Brazma et al., 2006)) specify what should be included in a dataset (Ghosh et al., 2011). Using minimum information standards help ensure that data within a laboratory, or data posted to a repository, contain a number of required elements. This makes it easier to re-use the data, either to compare it to data that a lab has newly generated, or to combine several posted datasets to aggregate them for a new, integrated analysis, considerations that are growing in importance with the increasing prevalence of research repositories and research consortia in many fields of biomedical science (Keller et al., 2017).

“Minimum information is a checklist of required supporting information for datasets from different experiments. Examples include: Minimum Information About a Microarray Experiment (MIAME), Minimum Information About a Proteomic Experiment (MIAPE), and the Minimum Information for Biological and Biomedical Investigations (MIBBI) project.” (Ghosh et al., 2011)

*Standardized file formats.* While using a standard ontology and a standard for minimum information is a helpful start, it just means that each dataset has the required elements somewhere, and using a consistent vocabulary—it doesn’t specify where those elements are in the data or that they’ll be in the same place in every dataset that meets those standards. As a result, datasets that all meet a common standard can still be very hard to combine, or to create common data analysis scripts and tools for, since each dataset will require a different process to pull out a given element.

Computer files serve as a way to organize data, whether that’s recorded datapoints or written documents or computer programs (Kernighan and Pike, 1984). As the programmer Paul Ford writes,

“Data is just stuff, or rather, structured stuff: The cells of a spreadsheet, the structure of a Word document, computer programs themselves—all data.” (Ford, 2015)

A *file format* defines the rules for how the bytes in the chunk of memory that makes up a certain file should be parsed and interpreted anytime you want to meaningfully access and use the data within that file (Murrell, 2009). There are many file formats you may be familiar with—a file that ends in “.pdf” must be opened with a Portable Document Format (PDF) Reader like Adobe Acrobat, or it won’t make much sense (you can try this out by trying to open a “.pdf” file with a text editor, likeTextEdit or Notepad). The Reader has been programmed to interpret the data in a “.pdf” file based on rules defining what data

is stored where in the section of computer memory for that file. Because most “.pdf” files conform to the same *file format* rules, powerful software can be built that works with any file in that format.

For certain types of biomedical data, the challenge of standardizing a format has similarly been addressed through the use of well-defined rules for not only the content of data, but also the way that content is *structured*. This can be standardized through *standardized file formats* (sometimes also called *data exchange formats* (Brazma et al., 2006)) and often defines not only the upper-level file format (e.g., use of a “.csv” file type), but also how data within that file type should be organized. If data from different research groups and experiments is recorded using the same file format, researchers can develop software tools that can be repeatedly used to interpret and visualize that data; on the other hand, if different experiments record data using different formats, bespoke analysis scripts must be written for each separate dataset. This is a blow not only to the efficiency of data analysis, but also a threat to the accuracy of that analysis. If a set of tools can be developed that will work over and over, more time can be devoted to refining those tools and testing them for potential errors and bugs, while one-shot scripts often can’t be curated with similar care. One paper highlights the dangers that come with working with files that don’t follow a defined format:

“Beware of common pitfalls when working with *ad hoc* bioinformatics formats. Simple mistakes over minor details like file formats can consume a disproportionate amount of time and energy to discover and fix, so mind these details early on.” (Buffalo, 2015)

Some biomedical data file formats have been created to help smooth over the transfer of data that’s captured by complex equipment into software that can analyze that data. For example, many immunological studies need to measure immune cell populations in experiments, and to do so they use piece of equipment called a flow cytometer that probes cells in a sample with lasers and measures resulting intensities to determine characteristics of that cell. The data created by this equipment is large (often measurements from [x] or more lasers are taken for [x] cells in a single run) and somewhat complex, with a need to record not only the intensity measurements from each laser, but also some metadata about the equipment and characteristics of the run. If every company that manufactured flow cytometers used a different file format for saving the resulting data, then a different set of analysis software would need to be developed to accompany each piece of equipment. For example, a laboratory at a university with flow cytometers from two different companies would need licenses for two different software programs to work with data recorded by flow cytometers, and they would need to learn how to use each software package separately. There is a chance that software could be developed that used shared code for data analysis, but only if it also included separate sets of code to read in data from all types of equipment and to reformat them to a common format.

This isn't the case, however. Instead, there is a commonly agreed on file format that flow cytometers should use to record the data they collect, called the *FCS file format*. This format has been defined through a series of papers [refs], with several separate versions as the file format has evolved over the years. It provides clear specifications on where to save each relevant piece of information in the block of memory devoted to the data recorded by the flow cytometer (in some cases, leaving a slot in the file blank if no relevant information was collected on that element). As a result, people have been able to create software, both proprietary and open-source, that can be used with any data recorded by a flow cytometer, regardless of which company manufacturer the piece of equipment that was used to generate the data. Other types of biomedical data also have standardized file formats, including [example popular file formats for biomedical data]. In some cases these were defined by an organization, society, or initiative (e.g., the Metabolomics Standards Initiative) (Ghosh et al., 2011), while in some cases the file format developed by a specific equipment manufacturer has become popular enough that it's established itself as the standard for recording a type of data (Brazma et al., 2006).

For an even simpler example, think about recording dates. The *minimum information standard* for a date might always be the same—a recorded value must include the day of the month, month, and year. However, this information can be structured in a variety of ways. In many scientific data, it's common to record this information going from the largest to smallest units, so March 12, 2006, would be recorded “2006-03-12”. Another convention (especially in the US) is to record the month first (e.g., “3/12/06”), while another (more common in Europe) is to record the day of the month first (e.g., “12/3/06”).

If you are trying to combine data from different datasets with dates, and all use a different structure, it's easy to see how mistakes could be introduced unless the data is very carefully reformatted. For example, March 12 (“3-12” with month-first, “12-3” with day-first) could be easily mistaken to be December 3, and vice versa. Even if errors are avoided, combining data in different structures will take more time than combining data in the same structure, because of the extra needs for reformatting to get all data in a common structure.

“Vast swathes of bioscience data remain locked in esoteric formats, are described using nonstandard terminology, lack sufficient contextual information, or simply are never shared due to the perceived cost or futility of the exercise.” (Sansone et al., 2012)

### 2.2.2 Defining data standards for a research group

If some of the data you record from your experiments comes from complex equipment, like flow cytometers [or?], you may be recording much of that data in a standardized format without any extra effort, because that format is the default output format for the equipment. However, you may have more control over other data recorded from your experiments, including smaller, less complex data recorded directly into a laboratory notebook or spreadsheet.

You can derive a number of benefits from defining and using a standard for collecting this data, as well.

As already mentioned, for many of the complex types of biological data, standardized file formats exist. For example, flow cytometry data is typically collected and recorded in .fcs files. Every piece of flow cytometry equipment can then be built to output data in this format, and every piece of software to analyze flow cytometry data can be built to read in this input. The .fcs file format specifies how both raw data and metadata (e.g., compensation information, equipment details) can be saved within the file—everyone who uses that file format knows where to store data and where to find data of a certain type.

Much of the data collected in a laboratory is smaller, less complex, or less structured than these types of data, data that is recorded “by hand”, often into a laboratory notebook or a spreadsheet. One paper describes this type of data as the output of “traditional, low-throughput bench science” (Wilkinson et al., 2016). For this data recording, the data may be written down in an *ad hoc* way—however the particular researcher doing the experiment thinks makes sense—and that format might change with each experiment, even if many experiments have similar data outputs. As a result, it becomes harder to create standardized data processing and analysis scripts that work with this data or that integrate it with more complex data types. Further, if everyone in a laboratory sets up their spreadsheets for data recording in their own way, it is much harder for one person in the group to look at data another person recorded and immediately find what they need within the spreadsheet.

As a step in a better direction, the head of a research group may designate some common formats (e.g., a spreadsheet template) that all researchers in the group should use when recording the data from a specific type of experiments. This provides consistency across the recorded data for the laboratory, making easier for one lab member to quickly understand and navigate data saved by another lab member. It also opens the possibility to create tools or scripts that read in and analyze the data that can be re-used across multiple experiments with minor changes. This helps improve the efficiency and reproducibility of data analysis, visualization, and reporting steps of the research project.

This does require some extra time commitment (Brazma et al., 2006). First, time is needed to design the format, and it does take a while to develop a format that is inclusive enough that it includes a place to put all data you might want to record for a certain type of experiment. Second, it will take some time to teach each laboratory member what the format is and how to make sure they comply with it when they record data.

On the flip side, the longer-term advantages of using a defined, structured format will outweigh the short-term time investments for many laboratory groups for frequently used data types. By creating and using a consistent structure to record data of a certain type, members of a laboratory group can increase their efficiency (since they do not need to re-design a data recording structure repeatedly). They can also make it easier for downstream collabo-

rators, like biostatisticians and bioinformaticians, to work with their output, as those collaborators can create tools and scripts that can be recycled across experiments and research projects if they know the data will always come to them in the same format. These benefits increase even more if data format standards are created and used by a whole research field (e.g., if a standard data recording format is always used for researchers conducting a certain type of drug development experiment), because then the tools built at one institution can be used at other institutions. However, this level of field-wide coordination can be hard to achieve, and so a more realistic immediate goal might be formalizing data recording structures within your research group or department, while keeping an eye out for formats that are gaining popularity as standards in your field to adopt within your group.

One key advantage to using standardized data formats even for recording simple, “low-throughput” data is that everyone in the research group will be able to understand and work with data recorded by anyone else in the group—data will not become impenetrable once the person who recorded it leaves the group. Also, once a group member is used to the format, the process of setting up to record data from a new experiment will be quicker, as it won’t require the effort of deciding and setting up a *de novo* format for a spreadsheet or other recording file. Instead, a template file can be created that can be copied as a starting point for any new data recording.

Finally, there are huge benefits further down the data analysis pipeline that come with always recording data in the same format. If your group is working with a statistician or data analyst, it becomes much easier for that person to quickly understand a new file if it follows the same format as previous files. Further, if you work with a statistician or data analyst, he or she probably creates code scripts to read in, re-format, analyze, and visualize the data you’ve shared. If you always record data using the same format, these scripts can be reused with very little modification. This saves valuable time, and it helps make more time for more interesting statistical analysis if your collaborator can trim time off reading in and reformatting the data in their statistical programming language.

One paper suggests that the balance can be found, in terms of deciding whether the benefits of developing a standard outweigh the costs, by considering how often data of a certain type is generated and used:

“To develop and deploy a standard creates an overhead, which can be expensive. Standards will help only if a particular type of information has to be exchanged often enough to pay off the development, implementation, and usage of the standard during its lifespan.” (Brazma et al., 2006)

### 2.2.3 Two-dimensional structured data format

So far, this module has explored *why* you might want to use standardized data formats for recording experimental data. The rest of the module aims to give you tips for how to design and define your own standardized data formats,

if you decide that is worthwhile for certain data types recorded within your research group.

Once you commit to creating a defined, structured format, you'll need to decide what that structure should be. There are many options here, and it's very tempting to use a format that is easy on human eyes (Buffalo, 2015). For example, it may seem appealing to create a format that could easily be copied and pasted into presentations and Word documents and that will look nice in those presentation formats. To facilitate this use, a laboratory might set up a recording format base on a spreadsheet template that includes multiple tables of different data types on the same sheet, or multi-level column headings.

Unfortunately, many of the characteristics that make a format attractive to human eyes will make it harder for a computer to make sense of. For example, if you include two tables in the same spreadsheet, it might make it easier for a person to get a one-screen look at two small data tables. However, if you want to read that data into a statistical program (or work with a collaborator who would), it will likely take some complex code to try to tell the computer how to find the second table in the spreadsheet. The same applies if you include some blank lines at the top of the spreadsheet, or use multi-level headers, or use "summary" rows at the bottom of a table. Further, any information you've included with colors or with text boxes in the spreadsheet will be lost when the data's read into a statistical program. These design elements in a data format make it much harder to read the data embedded in a spreadsheet into other computer programs, including programs for more complex data analysis and visualization, like R and Python.

"Data should be formatted in a way that facilitates computer readability. All too often, we as humans record data in a way that maximizes its readability to us, but takes a considerable amount of cleaning and tidying before it can be processed by a computer. The more data (and metadata) that is computer readable, the more we can leverage our computers to work with this data." (Buffalo, 2015)

For most statistical programs, data can be easily read in from a spreadsheet if the computer can parse it in the following way: first, read in the first row, and assign each cell in that row as the *name* of a column. Then, read in the second row, and put each cell in the column the corresponds with the name of the cell in the same position in the first row. Also, set the data type for that column (e.g., number, character) based on the data type in this cell. Then, keep reading in rows until getting to a row that's completely blank, and that will be the end of the data. If any of the rows has more cell than the first row, then that means that something went wrong, and should result in stopping or giving a warning. If any of the rows have fewer cells than the first row, then that means that there are missing data in that row, and should probably be recorded as missing values for any cells the row is "short" compared to the first row.

One of the easiest format for a computer to read is therefore a two-dimensional "box" of data, where the first row of the spreadsheet gives the column names, and where each row contains an equal number of entries. This

type of two-dimensional tabular structure forms the basis for several popular “delimited” file formats that serve as a *lingua franca* across many simple computer programs, like the comma-separated values (CSV) format, the tab-delimited values (TSV) format, and the more general delimiter-separated values (DSV) format, which are a common format for data exchange across databases, spreadsheet programs, and statistical programs (Janssens, 2014; Raymond, 2003; Buffalo, 2015).

“Tabular plain-text data formats are used extensively in computing. The basic format is incredibly simple: each row (also known as a record) is kept on its own line, and each column (also known as a field) is separate by some delimiter.” (Buffalo, 2015)

If you think of the computer parsing a spreadsheet as described above, hopefully it clarifies why some spreadsheet formats would cause problems. For example, if you have two tables in the same spreadsheet, with blank lines between them, the computer will likely either think it’s read all the data after the first table, and so not read in any data from the second table, or it will think the data from both tables belong in a single table, with some rows of missing data in the center. To write the code to read in data from two tables into two separate datasets in a statistical program, it will be necessary to write some complex code to tell the computer how to search out the start of the second table in the spreadsheet.

Similar problems come up if a spreadsheet diverges from a regular, two-dimensional format, with a single row of column names to start the data. For example, if the data uses multiple rows to create multi-level column headers, anyone reading it into another program will need to either skip some of the rows of the column headers, and so lose information in the original spreadsheet, or write complex code to parse the column headers separately, then read in the later rows with data, and then stick the two elements back together. “Summary” rows at the end of a dataset (for example, the sums or means of all values in a column) will need to be trimmed off when the data is read into other programs, since most of the analysis and visualization someone would want to do in another program will calculate any summaries fresh, and will want each row of a dataset to represent the same “type” and level of data (e.g., one measurement from one animal).

For anything in a data format that requires extra coding when reading data into another program, you are introducing a new opportunity for errors at the interface between data recording and data analysis. If there are strong reasons to use a format that requires these extra steps, it will still be possible to create code to read in and parse the data in statistical programs, and if the same format is consistently used, then scripts can be developed and thoroughly tested to allow this. However, do keep in mind that this will be an extra burden on any data analysis collaborators who are using a program besides a spreadsheet program. The extra time this will require could be large, since this code should be vetted and tested thoroughly to ensure that the data cleaning process is not

introducing errors. By contrast, if the data is recorded in a two-dimensional format with a single row of column names as the first row, data analysts can likely read it quickly and cleanly into other programs, with low risks of errors in the transfer of data from the spreadsheet.

“Cleaning data is a short-term solution, and preventing errors is promoted as a permanent solution. The drawback to cleaning data is that the process never ends, is costly, and may allow many errors to avoid detection.” (Keller et al., 2017)

#### 2.2.4 Saving two-dimensional structured data in plain text file formats

If you have recorded data in a two-dimensional structured format, you can choose to save it in either a *plain text* format or a *binary* format. With a plain text format, a file is “human readable” when it’s opened in a text editor (Hunt et al., 2000; Janssens, 2014), because each byte that encodes the file translates to a single character (Murrell, 2009), usually using an ASCII or Unicode encoding. Common plain text file formats used for biomedical research include CSV and TSV files (these are distinguished only by the character used as a delimiter—commas for CSV files versus tabs for TSV files) (Buffalo, 2015), other more complex file formats like SAM and XML are also typically saved in plain text.

A binary file format, on the other hand, encodes data within the file using an encoding system that differs from ASCII or Unicode. To extract the data in a meaningful way, a computer program must know and use rules for the encoding and structure of that file format, and those rules will be different for each different binary file format (Murrell, 2009). Some binary file formats are “open”, with all the information on these rules and encodings available for anyone to read. On the otherhand, other binary file formats are proprietary, without available guidance on how to interpret or use the data stored in them when creating new software tools. Binary files, because they don’t follow the restrictions of plain text encoding and format, can encode and organize data in a way that’s often much more compressed, because it’s optimized to suit a specific type of data. This means that binary file formats can often store more data within a certain amount of computer memory compared to plain text file formats. Binary files can also be designed so that the computer can find and read a specific piece of data, rather than needing to read data in linearly from the start to the end of a file as with plain text formats. This means that programs can often access specific bits of data much more quickly from a binary file format than from a plain text format, making computation processing run much faster.

However, even with the speed and size advantages of many binary file formats, it is often worthwhile to record and save experimental data in a plain text, rather than binary, file format. There are a number of advantages to using a plain text format. A plain text format may take more space (in terms of computer memory) and take longer to process within other programs; however,

its benefits typically outweigh these limitations (Hunt et al., 2000). Advantages include: (1) humans can read the file directly (Hunt et al., 2000; Janssens, 2014), and should always be able to, regardless of changes in and future obsolescence of computer programs; (2) almost all software programs for analyzing and processing files can input plain-text files, while binary file formats often require specialized software (Murrell, 2009); (3) the Unix system, which has influenced many existing software programs, especially open-source programs for data analysis and command-line tools, are based on inputting and outputting line-based plain-text files (Janssens, 2014); and (4) plain-text files can be easily tracked with version control (Hunt et al., 2000). These advantages might become particularly important in cases where researchers need to combine and integrate heterogeneous data, for example data coming from different instruments.

Another advantage of storing data in a plain text format is that it makes version control, which we'll discuss in a later module, a much more powerful tool. With plain text files, you can use version control to see the specific changes to a file. With binary files, you can typically see if a file was changed, but it's much harder to see exactly what within the file was changed.

The book *The Pragmatic Programmer* highlights some of the advantages of plain text:

"Human-readable forms of data, and self-describing data, will outlive all other forms of data and the applications that created them. Period. As long as the data survives, you will have a chance to be able to use it—potentially long after the original application that wrote it is defunct. ... Even in the future of XML-based intelligent agents that travel the wild and dangerous Internet autonomously, negotiating data interchange among themselves, the ubiquitous text file will still be there. In fact, in heterogeneous environments the advantages of plain text can outweigh all of the drawbacks. You need to ensure that all parties can communicate using a common standard. Plain text is that standard." (Hunt et al., 2000)

Paul Ford, by contrast, describes some of the disadvantages of a binary file format, using the Photoshop file format as an example:

"A Photoshop file is a lump of binary data. It just sits there on your hard drive. Open it in Photoshop, and there are your guides, your color swatches, and of course, the manifold pixels of your intent. But outside of Photoshop that file is an enigma. There is not 'view source'. You can, if you're passionate, read the standard on the web, and it's all piled in there, the history of pictures on computers. That's when it becomes clear: only Photoshop's creator Adobe can understand this thing." (Ford, 2014)

Structuring data in a gridded, two-dimensional format, as described in the last section, will be helpful even if it is in a file format that is binary, like Excel. However, there are added benefits to saving the structured data in a plain text format. Older Excel spreadsheets are typically saved in a proprietary file format ("xls"), while more recently Excel has saved files to an open binary format

based on packaging XML files with the data (“.xlsx” file format) (Janssens, 2014). While the open proprietary format is preferable, since tools can be developed to work with them by people other than the Microsoft team, both file formats still face some of the limitations of binary file formats as a way of recording experimental data. However, even if you have used a spreadsheet program like Excel to record data, it’s very easy to still save that data in a plain text file format (Murrell, 2009). In most spreadsheet programs, you can choose to save a file “As CSV”.

### 2.2.5 Occasions for more complex data structures and file formats

There are some cases where a two-dimensional data format may not be adequate for recording experimental data, despite this format’s advantages in improving reproducibility through later data analysis steps. Similarly, there may be cases where a binary file format, or use of a database, will outweigh the benefits of saving data to a plain text format. Being familiar with different file formats can also be helpful when you need to integrate data stored in different formats (Murrell, 2009).

**Non-tabular plain-text formats.** First, some data has a linked or hierarchical nature, in terms of how data points are connected through the dataset. For example, data on a family tree might have a hierarchical structure, where different numbers of children are recorded for each parent. As another example, if you were building a dataset describing how scientists have collaborated together as coauthors, that data might form a network. In many cases, it is possible to structure datasets with these types of “non-tabular” structure using the “tidy data” tabular format described in the next section. However, in very complex cases, it may work better to use a non-tabular data format (Raymond, 2003). Popular data formats that are non-tabular include the eXtensible Markup Language (XML) and JavaScript Object Notation (JSON) formats, both of which are well-suited for hierarchically-structured data. You may also have data you would like to use in XML or JSON formats if you are using web services to pull datasets from online repositories, as open data application programming interfaces (APIs) often return data in these formats (Janssens, 2014).

Another use of file formats that are plain text but meant to be streamed, rather than read in as a whole. When reading in data stored in a delimited plain text file, like a CSV file, a statistical program like R will typically read in all the data and then operate on the dataset as a whole. If a data file is very large, then reading in all the data at once might require so much memory that it slows down processing, or even exceed the program’s memory cap [?]. One strategy is to design a data format so that the program can read in a small amount of the file, process that piece of the data, write the result out, and remove that bit of data from the program’s memory before moving into the next portion of data (Buffalo, 2015). This *streaming* approach is sometimes used with some file formats used for biomedical research, including FASTA and FASTQ files.

**Databases.** When research datasets include not only data that can be expressed in plain text, but also data like images, photographs, or videos, it may be worth considering using a database to store the data (Murrell, 2009). Relational database management system software, like [examples. MySQL? PostgreSQL?] can be used to organize data in a way that records connections (*relations*) between different pieces of data and allows you to access different combinations of that data quickly using Structured Query Language, or *SQL* (Ford, 2015). Further, some statistical programming languages, including R, now have tools that allow you to directly access and work with data from a database from within the statistical program, and in some cases using scripts that are very similar or identical to the code that would be used if you'd read the data into the program from a plain text file.

"The database is the unsung infrastructure of the world, the shared memory of every corporation, and the foundation of every major web site. And they are everywhere. Nearly every host-your-own-web-site package comes with access to a database called MySQL; just about every cell phone has SQLite3, a tiny, pocket-sized database, built in." (Ford, 2015)

It will be more complicated to set up a database for recording experimental data, and so it's often preferable to instead save data in plain text files within a file directory, if the data is simple enough to allow that. However, there are some fairly simple database solutions that are now available, including SQLite (Buffalo, 2015).

#### **Binary file formats.**

There are cases where it may not be best to store laboratory-generated data in a plain text format. For example, the output from a flow cytometer is large and would take up a lot (more) computer memory if stored in a plain text format, and it would take much longer to read and work with the data in analysis software if it were in that format. For very large datasets like this, it may be necessary to use a binary data format, either for size or speed or both (Kernighan and Pike, 1984; Hunt et al., 2000). For very large biomedical datasets, binary file formats are sometimes designed for *out-of-memory approaches* (Buffalo, 2015), where a file format is designed in a way that allows computer programs to find and read only specific pieces of data in a file through a process called *random access*, rather than needing to read the full file into memory before a specific piece of data in the file can be accessed (a.k.a., *sequential access*) (Murrell, 2009).

#### **2.2.6 Levels of standardization—research group to research community**

Standards can operate both at the level of individual research groups and at the level of the scientific community as a whole. The potential advantages of community-level standards are big: they offer the chance to develop common-purpose tools and code scripts for data analysis, as well as make it easier to re-use and combine experimental data from previous research that is posted

in open data repositories. If a software tool can be reused, then more time can be spent in developing and testing it, and as more people use it, bugs and shortcomings can be identified and corrected. Community-wide standards can lead to databases with data from different experiments, and from different laboratory groups, structured in a way that makes it easy for other researchers to understand each dataset, find pieces of data of interest within datasets, and integrate different datasets (Lynch, 2008). Similarly, with community-wide standards, it can become much easier for different research groups to collaborate with each other or for a research group to use data generated by equipment from different manufacturers (Schadt et al., 2010).

“Without community-level harmonization and interoperability, many community projects risk becoming data silos.” (Sansone et al., 2012)

“Solutions to integrating the new generation of large-scale data sets require approaches akin to those used in physics, climatology and other quantitative disciplines that have mastered the collection of large data sets.” (Schadt et al., 2010)

However, there are important limitations to community-wide standards, as well. It can be very difficult to impose such standards top-down and community-wide, particularly for low-throughput data collection (e.g., laboratory bench measurements), where research groups have long been in the habit of recording data in spreadsheets in a format defined by individual researchers or research groups. One paper highlights this point:

“The data exchange formats PSI-MI and MAGE-ML have helped to get many of the high-throughput data sets into the public domain. Nevertheless, from a bench biologist’s point of view benefits from adopting standards are not yet overwhelming. Most standardization efforts are still mainly an investment for biologists.” (Brazma et al., 2006)

Further, in some fields, community-wide standards have struggled to remain stable, which can frustrate community members, as scripts and software must be revamped to handle shifting formats (Buffalo, 2015; Barga et al., 2011). In some cases, a useful compromise is to follow a general data recording format, rather than one that is very prescriptive. For example, committing to recording data in a format that is “tidy” (which we discuss extensively in the next module) may be much more flexible—and able to meet the needs of a large range of experimental designs—than the use of a common spreadsheet template or a more prescriptive standardized data format.

### 2.2.7 Applied exercise

## 2.3 The ‘tidy’ data format

The “tidy” data format is one implementation of a tabular, two-dimensional structured data format that has quickly gained popularity among statisticians

and data scientists since it was defined in a 2014 paper (Wickham, 2014). The “tidy” data format plugs into R’s *tidyverse* framework, which enables powerful and user-friendly data management, processing, and analysis by combining simple tools to solve complex, multi-step problems (Ross et al., 2017; Silge and Robinson, 2016; Wickham, 2016; Wickham and Grolemund, 2016). Since the *tidyverse* tools are simple and share a common interface, they are easier to learn, use, and combine than tools created in the traditional base R framework (Ross et al., 2017; Lowndes et al., 2017; ?; McNamara, 2016). This *tidyverse* framework is quickly becoming the standard taught in introductory R courses and books (Hicks and Irizarry, 2017; Baumer, 2015; Kaplan, 2018; Stander and Dalla Valle, 2017; ?; McNamara, 2016), ensuring ample training resources for researchers new to programming, including books (e.g., (Baumer et al., 2017; Irizarry and Love, 2016; Wickham and Grolemund, 2016)), massive open online courses (MOOCs), on-site university courses (Baumer, 2015; Kaplan, 2018; Stander and Dalla Valle, 2017), and Software Carpentry workshops (Wilson, 2014; Pawlik et al., 2017). Further, tools that extend the *tidyverse* have been created to enable high-quality data analysis and visualization in several domains, including text mining (Silge and Robinson, 2017), microbiome studies (McMurdie and Holmes, 2013), natural language processing (Arnold, 2017), network analysis (Tyner et al., 2017), ecology (Hsieh et al., 2016), and genomics (Yin et al., 2012). In this section, we will explain what characteristics determine if a dataset is “tidy” and how use of the “tidy” implementation of a structure data format can improve the ease and efficiency of “Team Science”.

**Objectives.** After this module, the trainee will be able to:

- List characteristics defining the “tidy” structured data format
- Explain the difference between the a structured data format (general concept) and the ‘tidy’ data format (one popular implementation)

In the previous module, we explained the benefits of saving data in a structured format, and in particular using a two-dimensional format saved to a plain text file when possible. In this section, we’ll talk about the “tidy text” format—a set of principles to use when structuring two-dimensional tabular data. These principles cover some basic rules for ordering the data, and the resulting datasets can be very easily worked with, including to further clean, model, and visualize the data, and to integrate the data with other datasets, using a series of open-source tools on the R platform called the “tidyverse”. These characteristics mean that, if you are planning to use a standardized data format for recording experimental data in your research group, you may want to consider creating one that adheres to the “tidy data” rules.

We’ll start by describing what rules a dataset’s format must follow for it to be “tidy”, and try to clarify how you can set up your data recording to follow these rules. In a later part of this module, we’ll talk more about the *tidyverse* tools that you can use with this data, as well as give some resources for finding out more about the *tidyverse* and how to use its tools.

Since a key advantage of the “tidy data” format is that it works so well with R’s “tidyverse” tools, we’ll also talk a bit in this section about the use of scripting languages like R, and how using them to analyze and visualize the data you collect can improve the overall reproducibility of your research.

### 2.3.1 What makes data “tidy”?

The “tidy” data format describes one way to structure tabular data. The name follows from the focus of this data format and its associated set of tools—the “tidyverse”—on preparing and cleaning (“tidying”) data, in contrast to sets of tools more focused on other steps, like data analysis (Wickham, 2014). The word “tidy” is not meant to apply that other formats are “dirty”, or that they include data that is incorrect or subpar. In fact, the same set of datapoints could be saved in a file in a way that is either “tidy” (in the sense of (Wickham, 2014)) or untidy, depending only on how the data are organized across columns and rows.

“The development of tidy data has been driven by my experience from working with real-world datasets. With few, if any, constraints on their organization, such datasets are often constructed in bizarre ways. I have spent countless hours struggling to get such datasets organized in a way that makes data analysis possible, let alone easy.” (Wickham, 2014)

The rules for making data “tidy” are pretty simple, and they are defined in detail, and with extended examples, in the journal article that originally defined the data format (Wickham, 2014). Here, we’ll go through those rules, with the hope that you’ll be able to understand what makes a dataset follow the “tidy” data format. If so, you’ll be able to set up your data recording template to follow this template, and you’ll be able to tell if other data you get is in this format and, if it’s not, restructure it so that it does. In the next part of this module, we’ll explain why it’s so useful to have your data in this format.

Tidy data, first, must be in a tabular (i.e., two-dimensional, with columns and rows, and with all rows and columns of the same length—nothing “ragged”). If you recorded data in a spreadsheet using a very basic strategy of saving a single table per spreadsheet, with the first row giving the column names (as described in the previous module), then your data will be in a tabular format. It should not be saved in a hierarchical structure, like XML (although there are now tools for converting data from XML to a “tidy” format, so you may still be able to take advantage of the tidyverse even if you must use XML for your data recording). In general, if your recorded data looks “boxy”, it’s probably in a two-dimensional tabular format.

There are some additional criteria for the “tidy” data format, though, and so not every structured, tabular dataset is in a “tidy” format. The first of these rules are that each row of a “tidy” dataset records the values for a single observation, and that each column provides characteristics or measurements of a certain type, in the order of the observations given by the rows (Wickham,

2014). For example, if you have collected data from several experimental samples and plated each sample at several dilutions to count viable bacteria, then you could record the results using one row per dilution—specifying each dilution for each sample as your level of observation for the data—to save the data in a tidy format.

“Most statistical datasets are rectangular tables made up of rows and columns ... [but] there are many ways to structure the same underlying data. ... Real datasets can, and often do, violate the three precepts of tidy data in almost every way imaginable.” (Wickham, 2014)

To be able to decide if your data is tidy, then, you need to know what forms a single observation in the data you’re collecting. The *unit of observation* of a dataset is the unit at which you take measurements (Sedgwick, 2014). This idea is different than the *unit of analysis*, which is the unit that you’re focusing on in your study hypotheses and conclusions (this is sometimes also called the “sampling unit” or “unit of investigation”) (Altman and Bland, 1997). In some cases, these two might be equivalent (the same unit is both the unit of observation and the unit of measurement), but often they are not (Sedgwick, 2014). Again, in the example of plating samples at several dilutions each, the unit of observation for the resulting data might be at the level of each dilution for each sample, where the unit of analysis that you are ultimately interested in is simply each sample.

“The unit of observation and unit of analysis are often confused. The unit of observation, sometimes referred to as the unit of measurement, is defined statistically as the ‘who’ or ‘what’ for which data are measured or collected. The unit of analysis is defined statistically as the ‘who’ or ‘what’ for which information is analysed and conclusions are made.” (Sedgwick, 2014)

As another example, say you are testing how the immune system of mice responds to a certain drug over time. You may have several replicates of mice measured at several time points, and those mice might be in separate groups (for example, infected with a disease versus uninfected). In this case, if a separate mouse (replicate) is used to collect each observation, and a mouse is never measured twice (i.e., at different time points, or for a different infection status), then the unit of measurement is the mouse. There should be one and only one row in your dataset for each mouse, and that row should include two types of information: first, information about the unit being measured (e.g., the time point, whether the mouse was infected, and a unique mouse identifier) and, second, the results of that measurement (e.g., the weight of the mouse when it was sacrificed, the levels of different immune cell populations in the mouse, a measure of the extent of infection in the mouse if it was infected, and perhaps some notes about anything of note for the mouse, like if it appeared noticeably sick). In this case, the *unit of analysis* might be the drug, or a combination of drug and dose—ultimately, you may want to test something like if one drug is more effective than another. However, the *unit of observation*, the level at which

each data point is collected, is the mouse, with each mouse providing a single observation to help answer the larger research question.

As another example, say you conducted a trial on human subjects, to see how the use of a certain treatment affects the speed of recovery, where each study subject was measured at different time points. In this case, the unit of observation is the combination of study subject and time point (while the unit of analysis is the study subject, if the treatments are randomized to the study subjects). That means that Subject 1's measurement at Time 1 would be one observation, and the same person's measurement at Time 2 would be a separate observation. For a dataset to comply with the "tidy" data format, these two observations would need to be recorded on separate lines in the data. If the data instead had different columns to record each study subject's measurements at different time points, then the data would still be tabular, but it would not be "tidy".

In this second example, you may initially find the "tidy" format unappealing, because it seems like it would lead to a lot of repeated data. For example, if you wanted to record each study subject's sex, it seems like the "tidy" format would require you to repeat that information in each separate line of data that's used to record the measurements for that subject for different time points. This isn't the case—instead, with a "tidy" data format, different "levels" of data observations should be recorded in separate tables (Wickham, 2014). So, if you have some data on each study subject that does not change across the time points of the study—like the subject's ID, sex, and age at enrollment—those form a separate dataset, one where the unit of observation is the study subject, so there should be just one row of data per study subject in that data table, while the measurements for each time point should be recorded in a separate data table. A unique identifier, like a subject ID, should be recorded in each data table so it can be used to link the data in the two tables. If you are using a spreadsheet to record data, this would mean that the data for these separate levels of observation should be recorded in separate sheets, and not on the same sheet of a spreadsheet file. Once you read the data into a scripting language like R or Python, it will be easy to link the larger and smaller "tidy" datasets as needed for analysis, visualizations, and reports.

Once you have divided your data into separate datasets based on the level of observation, and structured each row to record data for a single observation based on the unit of observation within that dataset, each column should be used to measure a separate characteristic or measurement (*a variable*) for each measurement (Wickham, 2014). A column could either give characteristics of the data that were pre-defined by the study design—for example, the treatment assigned to a mouse, or the time point at which a measurement was taken if the study design defined the time points when measurements would be taken. These types of column values are also sometimes called *fixed variables* (Wickham, 2014). Other columns will record observed measurements—values that were not set prior to the experiment. These might include values like the

level of infection measured in an animal and are sometimes called *measured variables* (Wickham, 2014).

“While the order of variables and observations does not affect analysis, a good ordering makes it easier to scan the raw values. One way of organizing variables is by their role in the analysis: are values fixed by the design of the data collection, or are they measured during the course of the experiment? Fixed variables describe the experimental design and are known in advance. ... Measured variables are what we actually measure in the study. Fixed variables should come first, followed by measured variables, each ordered so that related variables are contiguous. Rows can then be ordered by the first variable, breaking ties with the second and subsequent (fixed) variables.” (Wickham, 2014)

### 2.3.2 Why make your data “tidy”?

This may all seem like a lot of extra work, to make a dataset “tidy”, and why bother if you already have it in a structured, tabular format? It turns out that, once you get the hang of what gives data a “tidy” format, it’s pretty simple to design recording formats that comply with these rules. What’s more, when data is in a “tidy” format, it can be directly input into a collection of tools in R that belong to something called the “tidyverse”. This collection of tools is very straightforward to use and so powerful that it’s well worth making an effort to record data in a format that works directly with the tools, if possible. Outside of cases of very complex or very large data, it should be possible.

“A standard makes initial data cleaning easier because you do not need to start from scratch and reinvent the wheel every time. The tidy data standard has been designed to facilitate initial exploration and analysis of the data, and to simplify the development of data analysis tools that work well together.” (Wickham, 2014)

“Tidy data is great for a huge fraction of data analyses you might be interested in. It makes organizing, developing, and sharing data a lot easier. It’s how I recommend most people share data.” (Leek, 2012)

The “tidyverse” is a collection of tools united by a common philosophy:  
**very complex things can be done simply and efficiently with small, sharp tools that share a common interface.**

“The philosophy of the tidyverse is similar to and inspired by the “unix philosophy”, a set of loose principles that ensure most command line tools play well together. ... Each function should solve one small and well-defined class of problems. To solve more complex problems, you combine simple pieces in a standard way.” (Ross et al., 2017)

The tidyverse isn’t the only popular system that follows this philosophy—one other favorite is Legos. Legos are small, plastic bricks, with small studs on top and tubes for the studs to fit into on the bottom. The studs all have the same, standardized size and are all spaced the same distance apart. Therefore, the bricks can be joined together in any combination, since each brick uses the same *input format* (studs of the standard size and spaced at the standard

distance fit into the tubes on the bottom of the brick) and the same *output format* (again, studs of the standard size and spaced at the standard distance at the top of the brick).

This is true if you want to build with bricks of different colors or different heights or different widths or depths. It even allows you to include bricks at certain spots that either don't require input (for example, a solid sheet that serves as the base) or that don't give output (for example, the round smooth bricks with painted "eyes" that are used to create different creatures). With Legos, even though each "tool" (brick) is very simple, the tools can be combined in infinite variations to create very complex structures.



Figure 2.1: When simple tools have a common interface that allows them to be combined in different ways, like Legos, they can be combined to create complex structures, like this Lego shark.

The tools in the "tidyverse" operate on a similar principle. They all input one of a few very straightforward data types, and they (almost) all output data in the same format they input it. For most of the tools, their required format for input and output is the "tidy data" format (Wickham, 2014), called a *tidy dataframe* in R—this is a dataframe that follows the rules detailed earlier in this section.

Some of the tools require input and output of vectors instead of tidy dataframes (Wickham, 2014); a vector in R is a one-dimensional string of values, all of which are of the same data type (e.g., all numbers, or all character strings, like names). In a tidy dataframe, each column is a vector, and the dataframe is essentially several vectors of the same length stuck together to make a table. Having functions that input and output vectors, then, means that you can use those functions to make changes to the columns in a tidy dataframe.

A few functions in the "tidyverse" input a tidy dataframe but output data in a different format. For example, visualizations are created using a function called `ggplot`, as well as its helper functions and extensions. This function inputs data in a tidy dataframe but outputs it in a type of R object called a "ggplot object". This object encodes the plot the code created, so in this case the fact that the output is in a different format from the endpoint is similar to with the "eye" blocks in Legos, where it's meant as a final output step, and you don't intend to do anything further in the code once you move into that step.

This common input / output interface, and the use of small tools that follow this interface and can be combined in various ways, is what makes the tidyverse tools so powerful. However, there are other good things about the tidyverse that make it so popular. One is that it's fairly easy to learn to use the tools, in comparison to learning how to write code for other R tools (Robinson, 2017; Peng, 2018). The developers who have created the tidyverse tools have taken a lot of effort to try to make sure that they have a clear and consistent *user interface* across tools (Wickham, 2017; Bryan and Wickham, 2017). So far, we've talked about the interface between functions, and how a common *input / output interface* means the functions can be chained together more easily. But there's another interface that's important for software tools: the rules for how a computer users employ that tool, or the *user interface*.

To help understand a user interface, and how having a consistent user interface across tools is useful, let's think about a different example—cars. When you drive a car, you get the car to do what you want through the steering wheel, the gas pedal, the break pedal, and different knobs and buttons on the dashboard. When the car needs to give you feedback, it uses different gauges on the dashboard, like the speedometer, as well as warning lights and sounds. Collectively, these ways of interacting with your car make up the car's *user interface*. In the same way, each function in a programming language has a collection of parameters you can set, which let you customize the way the function runs, as well as a way of providing you output once the function has finished running and the way to provide any messages or warnings about the function's run. For functions, the software developer can usually choose design elements for the function's user interface, including which parameters to include for the function, what to name those parameters, and how to provide feedback to the user through messages, warnings, and the final output.

If a collection of tools is similar in its user interfaces, it will make it easier for users to learn and use any of the tools in that collection once they've learned how to use one. For cars, this explains how the rental car business is able to succeed. Even though different car models are very different in many characteristics—their engines, their colors, their software—they are very consistent in their user interfaces. Once you've learned how to drive one car, when you get in a new car, the gas pedal, brake, and steering wheel are almost guaranteed to be in about the same place and to operate about the same way as in the car you learned to drive in. The exceptions are rare enough to be memorable—think how many movies have a laughline from a character trying to drive a car with the driver side on the right if they're used to the left or vice versa.

The tidyverse tools are similarly designed so that they all have a very similar user interface. For example, many of the tidyverse functions use a parameter named “`.data`” to refer to the tidy dataframe to input into the function, and this parameter is often the first listed for functions. Similarly, parameters named “`.vars`” and “`.funs`” are repeatedly used over tidyverse functions, with the same

meaning in each case. What's more, the tidyverse functions are typically given names that very clearly describe the action that the function does, like `filter`, `summarize`, `mutate`, and `group`. As a result, the final code is very clear and can almost be "read" as a natural language, rather than code.

"Another part of what makes the Tidyverse effective is harder to see and, indeed, the goal is for it to become invisible: conventions. The Tidyverse philosophy is to rigorously (and ruthlessly) identify and obey common conventions. This applies to the objects passed from one function to another and to the user interface each function presents. Taken in isolation, each instance of this seems small and unimportant. But collectively, it creates a cohesive system: having learned one component you are more likely to be able to guess how another different component works." (Bryan and Wickham, 2017)

"The goal of [the tidy tools] principles is to provide a uniform interface so that tidyverse packages work together naturally, and once you've mastered one, you have a head start on mastering the others." (?)

As a result, the tidyverse collection of tools is pretty easy to learn, compared to other sets of functions in scripting languages, and pretty easy to expand your knowledge of once you know some of its functions. Several people who teach R programming now focus on first teaching the tidyverse, given these characteristics (Robinson, 2017; Peng, 2018), and it's often a first focus for online courses and workshops on R programming. Since it's main data structure is the "tidy data" structure, it's often well worth recording data in this format so that all these tools can easily be used to explore and model the data.

"All our code is underpinned by the principles of tidy data, the grammar of data manipulation, and the tidyverse R packages developed by Wickham. This deliberate philosophy for thinking about data helped bridge our scientific questions with the data processing required to get there, and the readability and conciseness of tidyverse operations makes our data analysis read more as a story arc. Operations require less syntax—which can mean fewer potential errors that are easier to identify—and they can be chained together, minimizing intermediate steps and data objects that can cause clutter and confusion. The tidyverse tools for wrangling data have expedited our transformation as coders and made R less intimidating to learn." (Lowndes et al., 2017)

### 2.3.3 Using tidyverse tools with data in the "tidy data" format

The tidyverse includes tools for many of the tasks you might need to do while managing and working with experimental data. When you download R, you get what's called `base R`. This includes the main code that drives anything you do in R, as well as functions for doing many core tasks. However, the power of R is that, in addition to base R, you can also add onto R through what are called `packages` (sometimes also referred to as `extensions` or `libraries`). These are kind of like "booster packs" that add on new functions for R. They can be created and contributed by anyone, and many are collected through a few key repositories like CRAN and Bioconductor.

All the tidyverse tools are included in R extension packages, rather than base R, so once you download R, you'll need to download these packages as well to use the tidyverse tools. The core tidyverse functions include functions to read in data (the `readr` package for reading in plain text, delimited files, `readxl` to read in data from Excel spreadsheets), clean or summarize the data (the `dplyr` package, which includes functions to merge different datasets, make new columns as functions of old ones, and summarize columns in the data, either as a whole or by group), and reformat the data if needed to get it in a tidy format (the `tidyverse` package). The tidyverse also includes more precise tools, including tools to parse dates and times (`lubridate`) and tools to work with character strings, including using regular expressions as a powerful way to find and use certain patterns in strings (`stringr`). Finally, the tidyverse includes powerful functions for visualizing data, based around the `ggplot2` package, which implements a “grammar of graphics” within R.

You can install and load any of these tidyverse packages one-by-one using the `install.packages` and `library` functions with the package name from within R. If you are planning on using many of the tidyverse packages, you can also install and load many of the tidyverse functions by installing a package called “tidyverse”, which serves as an umbrella for many of the tidyverse packages.

In addition to the original tools in the tidyverse, many people have developed tidyverse extensions—R packages that build off the tools and principles in the tidyverse. These often bring the tidyverse conventions into tools for specific areas of science. For example, the `tidytext` package provides tools to analyze large datasets of text, including books or collections of tweets, using the tidy data format and tidyverse-style tools. Similar tidyverse extensions exist for working with network data (`tidygraph`) or geospatial data (`sf`). Extensions also exist for the visualization branch of the tidyverse specifically. These include `ggplot` extensions that allow users to create things like calendar plots (`sugrrants`), gene arrow maps (`gggene`), network plots (`igraph`), phylogenetic trees (`ggtree`) and anatogram images (`gganatogram`). These extensions all allow users to work with data that's in a “tidy data” format, and they all provide similar user interfaces, making it easier to learn a large set of tools to do a range of data analysis and visualization, compared to if the set of tools lacked this coherence.

### 2.3.4 Practice quiz

## 2.4 Designing templates for “tidy” data collection

This module will move from the principles of the “tidy” data format to the practical details of designing a “tidy” data format to use when collecting experimental data. We will describe common issues that prevent biomedical research datasets from being “tidy” and show how these issues can be avoided. We will also provide rubrics and a checklist to help determine if a data collection

template complies with a “tidy” format.

**Objectives.** After this module, the trainee will be able to:

- Identify characteristics that keep a dataset from being ‘tidy’
- Convert data from an “untidy” to a “tidy” format

It is usually very little work to record data in a structure that follows the “tidy data” principles, especially if you are planning to record the data in a two-dimensional, tabular format already, and following these principles can bring some big advantages. We explain these rules and provide examples of biomedical datasets that both comply and don’t comply with these principles, to help make it clearer how you could structure a “tidy-compliant” structure for recording experimental data for your own research.

If the data is the same regardless of whether it’s “tidy” or not, then why all the fuss about following the “tidy” principles when you’re designing the format you’ll use to record your data? The magic here is this—if you follow these principles, then your data can be immediately input into a collection of powerful tools for visualizing and analyzing the data, without further cleaning steps (as discussed in the previous module). What’s more, all those tools (the set of tools is called the “tidyverse”) will typically *output* your data in a “tidy” format, as well.

Once you have tools that input and output data in the same way, it becomes very easy to model each of the tools as “small, sharp tools”—each one does one thing, and does it really well. That’s because, if each tool needs the same type of input and creates that same type of output, those tools can be chained together to solve complex problems. The alternative is to create large software tools, ones that do a lot to the input data before giving you some output. “Big” tools are harder to understand, and more importantly, they make it hard to adapt your own solutions, and to go beyond the analysis or visualization that the original tool creators were thinking of when they created it. Think of it this way—if you were writing an essay, how much more can you say when you can mix and match words to create your own sentences versus if you were made to combine pre-set sentences?

#### 2.4.1 Creating the rules for collecting data in the same time each time

It is likely that there are certain types of experiments that you conduct regularly, and that they’re often trying to answer the same type of question and generate data of a consistent type and structure. This is a perfect chance to lay down rules or a pattern for how members of your research group will record that data.

These rules can include:

- I. How many units of observation does the experiment typically have? Say, for example, that you are measuring the influence of two drugs on bacterial load in an animal at three time points. There may be some measurements

taken at the unit of the drug (for example, measurements related to its chemical composition) and some taken at the unit of animal and time point (for example, the concentration of drug in an animal's blood at a certain time point). This will help you define how many tables you should use to collect the data—one for each unit of observation.

2. Which measurements will be recorded for each observation? In tidy data, the measurements taken for an observation are recorded in rows, so you then specify what column names should be used for each measurement (e.g., "sample\_time", "animal\_weight"). If data is being recorded using multiple tables (because there are multiple units of observation), make sure that each table include "ID" columns that can be used to link across the tables. For example, each table might have a column with a unique ID for each drug being tested, or tables with measurements on animals might each have a column that uniquely identifies the animal in an observation.
3. What units will be used for recording each measurement? For timestamp-type measurements, like the date and time that an experiment started and the time of each sample measurement, what timezone will be used? (Even if it's always the same one, this can come in useful every now and then if you need to figure out something like whether that location's timezone followed Daylight Savings Time, for an experiment that spans the switch between Standard and Daylight Savings).

[Figure: Three tables—measurements on a drug (chemistry), measurements on an animal (weight), measurements on an animal at time points (drug concentration)]

You can then take this information and design a *template* for collecting that type of data. A template is, in this case, a file that gives the "skeleton" of the table or tables. You will create this template file and save it somewhere easy for lab members to access, with a filename that makes it clear that this is a template. For example, you may create a folder with all the templates for tables for your experiment, and name a template in it for collecting something like animal weights at the start of the experiment something like "animal\_wt\_table\_template.csv" or "animal\_wt\_table\_template.xlsx". Each time someone starts an experiment collecting that type of data, he or she can copy that template file, move it to the directory with files for that experiment and rename it. When you open that copy of the file, you can record observations directly into it.

[Figure: Example template file]

```
#####
#####
#
# Column names and meanings
#
# animal_id:      A unique identifier for each animal.
```

```

# animal_wt_g:      The weight of the animal, recorded in grams.
# date_wt_measured: The date that the animal's weight was measured, recorded as
#                      "month day, year", e.g., "Jan 1, 2019"
# cage_id:          A unique identifier for the case in which the animal was housed
#
# Other table templates for this experiment type:
# drug_conc_by_time.csv: A template for recording drug concentrations in the animals
#                         by time point
#
animal_id, animal_wt_g, date_wt_measured, cage_id
"A101",      50.2,     "Jan 1, 2019",      "B"

```

Adding in one row of sample values, to be deleted each time the template is copied and used, can be a very helpful addition. This will help the user remember the formats that are expected for each column (for example, the format the date should be recorded in), as well as small details like which columns should include quotation marks.

These template tables can be created as flat files, like comma-separated value files. However, if this is too big of a jump, they can also be created as spreadsheet files. Many of the downsides of spreadsheet files are linked to the use of embedded macros, integration of raw and processed / calculated data, and other factors, rather than related to their use as a method to record data. However, do note that plain text files like flat files can be opened in RStudio in a spreadsheet-like view in RStudio. Data can be recorded directly here, in a format that will feel comfortable for spreadsheet users, but without all the bells and whistles that we're aiming to avoid in spreadsheet programs like Excel.

[Figure—Opening a csv file with a spreadsheet like view]

There are some advantages to shifting to record data in flat files like CSVs, rather than Excel files, and using the spreadsheet-style view in RStudio to work with those files if you find it easier than working with the files in a text editor (which can get tough, since the values in a column don't always visually line up, and you have to remember to put in the right number of columns). By recording the data in a plain text file, you can later move to tracking changes that are made to the data using the version control tool *git*. This is a powerful tool that can show who made changes to a file and when, with exact details on the changes made and room for comments on why the change was made. However, *git* does not provide useful views of changes made to binary files (like Excel), only those made in plain text files. Further, plain text files are guaranteed to not try to “outsmart” you—for example, they will not try to convert something that looks like a date into a date. Instead, they will leave things exactly as you typed them in. Finally, later in this book we will build up to creating templates that do even more—for example, templates for reports you need to write and presentations you need to give, as well as templates for the whole structure of a project. Plain text files fit very nicely into this developing

framework, while files in complex binary formats like xlxs don't fit as naturally.

Google Sheets is another tool that might come in useful. [More about using this with R.]

This idea of creating template files for data recording isn't revolutionary—many laboratory groups have developed spreadsheet template files that they share and copy to use across similar experiments that they conduct. The difference here is in creating a table for recording data that follows the *tidy data principles*, or at least comes close to them (any steps away from characteristics like embedded macros and use of color to record information will be helpful).

The next chapter will walk through two examples of changing from non-tidy table templates to ones that record data in a way that follows the tidy data principles.

#### 2.4.2 Subsection 1

"Or maybe your goal is that your data is *usable* in a wide range of applications?

If so, consider adopting standard formats and metadata standards early on. At the very least, keep track of versions of data and code, with associated dates." (Goodman et al., 2014)

"Standards for data include, for example, data formats, data exchange protocols, and meta-data controlled vocabularies." (Barga et al., 2011)

"Software systems are transparent when they don't have murky corners or hidden depths. Transparency is a passive quality. A program is passive when it is possible to form a simple mental model of its behavior that is actually predictive for all or most cases, because you can see through the machinery to what is actually going on." (Raymond, 2003)

"Software systems are discoverable when they include features that are designed to help you build in your mind a correct mental model of what they do and how they work. So, for example, good documentation helps discoverability to a programmer. Discoverability is an active quality. To achieve it in your software, you cannot merely fail to be obscure, you have to go out of your way to be helpful." (Raymond, 2003)

"Elegant code does much with little. Elegant code is not only correct but visibly, transparently correct. It does not merely communicate an algorithm to a computer, but also conveys insight and assurance to the mind of a human that reads it. By seeking elegance in our code, we build better code. Learning to write transparent code is a first, long step toward learning how to write elegant code—and taking care to make code discoverable helps us learn how to make it transparent. Elegant code is both transparent and discoverable." (Raymond, 2003)

"To design for transparency and discoverability, you need to apply every tactic for keeping your code simple, and also concentrate on the ways in which your code is a communication to other human beings. The first questions to ask, after 'Will this design work?' are 'Will it be readable to other people? Is it elegant?' We hope it is clear ... that these questions are not fluff and that elegance is not a luxury. These qualities in the human reaction to software are essential for reducing its bugginess and increasing its long-term maintainability." (Raymond, 2003)

"Software is maintainable to the extent that people who are not its author can successfully understand and modify it. Maintainability demands more than code that works; it demands code that follows the Rule of Clarity and communicates successfully to human beings as well as the computer." (Raymond, 2003)

"An equivalent to the laboratory notebook that is standard good practice in lab-work, we advocate the use of a computational diary written in the R markdown format. ... Together with a version control system, R markdown helps with tracking changes." (Holmes and Huber, 2018)

"R.A. Fisher, one of the fathers of experimental design, is quoted as saying 'To consult the statistician after an experiment is finished is often merely to ask him to conduct a post mortem examination. He can perhaps say what the expierment died of.' So it is important to design an experiment with the analysis already in mind. Do not delay thinking about how to analyze the data until after they have been acquired. ... Dailies: start with the analysis as soon as you have acquired some data. Don't wait until everything is collected, as then it's too late to troubleshoot. ... Start writing the paper while you're analyzing the data. Only once you're writing and trying to present your results and conclusions will you realize what you should have done properly to support them." (Holmes and Huber, 2018)

"In the same way a file director will view daily takes to correct potential lighting or shooting issues before they affect too much footage, it is a good idea not to wait until all runs of an experiment have been finished before looking at the data. Intermediate data analyses and visualizations will track unexpected sources of variation and enable you to adjust the protocol. Much is known about the sequential design of experiments, but even in a more pragmatic setting it is important to be aware of your sources of variation as they occur and adjust for them." (Holmes and Huber, 2018)

"Analysis projects often begin with a simple script, perhaps to try out a few initial ideas and explore the quality of the pilot data. Then more ideas are added, more data come in, other datasets are integrated, more people become involved. Eventually the paper need to be written, the figures need to be done 'properly' and the analysis needs to be saved for the scientific record and to document its integrity." (Holmes and Huber, 2018)

**"Use literate programming tools.** Examples are Rmarkdown and Jupyter. This makes code more readable (for yourself and for others) than burying explanations and usage instructions in comments in the source code or in separate README files. In addition, you can directly embed figures and tables in these documents. Such documents are good starting points for the supplementary material of your paper. Moreover, they're great for reporting analyses to your collaborators." (Holmes and Huber, 2018)

#### 2.4.3 Don't Repeat Yourself!

One of the core tenets of programming is the philosophy of "Don't Repeat Yourself" (a.k.a., the "DRY Principle").[Source of "Don't Repeat Yourself"—*The Pragmatic Programmer*] With programming, you can invest a little bit of time to code your computer to do things that take a lot of your time otherwise. In this way, you can automate repetitive tasks.

"The DRY principle, for Don't Repeat Yourself, is one of the colloquial tenets of programming. That is, you should name things once, do things once, create a function once, and let the computer repeat itself." [ford2015code]

"Code, in other words, is really good at making things *scale*. Computers may require utterly precise instructions, but if you get the instructions right, the machine will tirelessly do what you command over and over and over again, for users around the world. ... Solve a problem once, and you've solved it for everyone." [Coders, p. 20]

"Since they have, at their beck and call, machines that can repeat instructions with robotic perfection, coders take a dim view of doing things repetitively themselves. They have a dislike of inefficiency that is almost aesthetic—they recoil from it as if from a disgusting smell. Any opportunity they have to automate a process, to do something more efficiently, they will." [Coders, p. 20]

"Programmers are obsessed with efficiency. ... Removing the friction from a system is an aesthetic joy; [programmers'] eyes blaze when they talk about making something run faster, or how they eliminated some bothersome human effort from a process." [Coders, p. 122]

"Computers, in many ways, inspire dreams of efficiency greater than any tool that came before. That's because they're remarkably good at automating repetitive tasks. Write a script once, set it running, and the computer will tirelessly execute it until it dies or the power runs out. What's more, computers are strong in precisely the ways that humans are weak. Give us a repetitive task, and our mind tends to wander, so we gradually perform it more and more irregularly. Ask us to do something at a precise time or interval, and we space out and forget to do it. ... In contrast, computers are clock driven and superb at doing the same thing at the same time, day in and day out." [Coders, p. 124]

"Larry Wall, the famous coder and linguist who created the Perl programming language, deeply intuited this coderly aversion to repetition. In his book on Perl, he and coauthors wrote that one of the key virtues of a programmer is 'laziness'. It's not that you're too lazy for coding. It's that you're too lazy to do routine things, so it inspires you to automate them." [Coders p. 126]

In scientific research, there are a lot of these repetitive tasks, and as tools for automation continue to develop, there are many opportunities to "automate away" busywork.

"Science often involves repetition of computational tasks such as processing large number of data files in the same way or regenerating figures each time new data are added to an existing analysis. Computers were invented to do these kinds of repetitive tasks but, even today, many scientists type the same commands in over and over again or click the same buttons repeatedly." [wilson2014best]

"Whenever possible, rely on the execution of programs instead of manual procedures to modify data. Such manual procedures are not only inefficient and error-prone, they are also difficult to reproduce." [sandve2013ten]

"Other manual operations like the use of copy and paste between documents should also be avoided. If manual operations cannot be avoided, you should as a minimum note down which data files were modified or moved, and for what purpose." [sandve2013ten]

Statisticians have been doing this for a while for data cleaning analysis tasks. For example, if you need to read in an Excel file into a statistical programming language like R, you could write a few lines of code to do that anew each time you get a new file. However, say you get Excel files over and over that follow the same format—for example, files with the same number of columns, the same names for those columns, and the same type of data. You can write a *script*—a recorded file with a few lines of code, in this case—that reads in the file. You can apply this script to each new file.

This saves you a little bit of time. It also ensures that you do the exact same thing with every file you get. It also means that you can reproduce what you do now to a file in the future. Say, for example, that you are working on a project and you read in a file and conduct an analysis. Your laboratory group sends the paper out for review. Months later, you get back comments from the reviewers, and they are wondering what would happen if you had analyzed the data a bit differently—say, used a different statistical test. If you use a script to read in the data file, then when you re-run it to address the reviewers' comments, you can be sure that you are getting your data into the statistical program in the exact same way you did months ago, and so you're not unintentionally introducing differences in your results because you are doing some small things differently in processing the file.

This idea can extend across the full data analysis you do on a project. You are only saving a little bit of time and effort, maybe, by automating the step where you read the data from a spreadsheet into the statistical program. And it takes some time to write that script the first time, so it can be tempting to do it fresh each time you need to do it. However, you can also write scripts that will automate cleaning your data. Maybe you want to identify data points with very high (maybe suspect) values for a certain measurement, or remove observations with missing data. You can also write scripts that will automate processing your data—doing things like calculating the time since the start of an experiment based on the recorded sampling time for an observation. Each of these steps might be small, but the time saved really adds up since you typically need to perform many of these steps each time you run a new experiment.

There are many cases in life where you'll need to make the choice between spending some time upfront to make something more efficient, versus doing it more quickly the first time but then having to do it “from scratch” again each following time. For example, say that you're teaching a class, and you need to take attendance for each class period. You could write down the names of each student at the first class and save that, and then the next class write down the name of each student who shows up that day on a separate sheet of paper, and so on for each class meeting. Conversely, you could take some extra time before the first class and create a table or spreadsheet file with every student's name and the date of each class, and then use that to mark attendance. The first method will be quicker the first day, but more time consuming each following time. The second method requires a small initial

investment, but with time-saving returns in the following class meetings.

For people who use scripts and computer programs to automate their data-related tasks, it quickly becomes very confusing how anyone who doesn't could argue that they don't because they don't have time to learn how to. The amount of time you end up saving based on your initial investment is just so high if you're working with data, that it would have to take a huge time investment to not be worth it. Plus—the thrill of running something that you've automated! It's a very similar feeling to the feeling you get when a student or postdoc that you've spent a lot of time training has gotten to the point where you can just ask them to run something, and they do, and it means you don't have to.

Here are some of the problems that are solved by automating your small tasks:

1. **It gets done the same way every single time.** Even simple tasks can be done with numerous small modifications. You will probably remember some of those choices and settings and modifications the next time you need to do the same thing, but probably not all of them, and so those choices will not be exact from one time to the next. If the computer is doing it based on a clear set of instructions, it will be.
2. **It gets done more quickly.** Or if not more quickly (some large data might take some time to process), at least the spent time is the computers time, not yours. You can leave the computer to run the script while you get on with other things that a computer can't do.
3. **Anyone who does it can do it the same way.** Just as you might not do something exactly the same way from one time to the next, one person in a laboratory group is likely to do things at least slightly different than other members of the group. Even with very detailed instructions, few instructions written for humans can be so detailed and precise to ensure that something is done exactly the same way by everyone who follows them. If everyone is given the same computer script to run, however, and they all instruct the computer to run that script, the task will be done in exactly the same way.
4. **It is easier teach new people how to do the task.** Often, with a script to automate a task, you just need to teach someone new to the laboratory group how to get the computer to run a script in a certain language. When you need them to run a new script, the process will be the same. The script encapsulates all the task-specific details, and so the user doesn't need to understand all of them to get something to run. What's more, once you want to teach a new lab member how everything is working, so they can understand the full process, the script provides the exact recipe. You can teach them how to read and understand scripts in that language, and then the scripts you've created to automate tasks serve as a recipe book for everything going on in terms of data analysis for the lab.

5. **You can create tools to share with others.** If you've written a script that's very useful, with a bit more work you can create it into a tool that you can share with other research groups and perhaps publish a paper about. Papers about R software extensions (also called *packages*) and data analysis workflows and pipelines are becoming more and more common in biological contexts.
6. **It's more likely to be done correctly.** Boring, repetitive tasks are easy to mess up. We get so bored with them, that we shift our brains into a less attentive gear when we're working on them. This can lead to small, stupid mistakes, ones at the level of typos but that, with data cleaning and analysis, can have much more serious ramifications.

"We view workflows as a paradigm to: 1) expose non-experts to well-understood end-to-end data analysis processes that have proven successful in challenging domains and represent the state-of-the-art, and 2) allow non-experts to easily experiment with different combinations of data analysis processes, represented as workflows of computations that they can easily reconfigure and that the underlying system can easily manage and execute." [hauder2011making]

"While reuse [of workflows] by other expert scientists saves them time and effort, reuse by non-experts is an enabling matter as in practice they would not be able to carry out the analytical tasks without the help of workflows." [hauder2011making]

"We observed that often steps that could be easily automated were performed manually in an error-prone fashion." [vidger2008supporting]

Biological research is quickly moving where a field where projects often required only simple and straightforward data analysis once the experimental data was collected—with the raw data often published directly in a table in the manuscript—to a field with very complex and lengthy data analysis pipelines between the experiment and the final manuscript. To ensure rigor and clarity in the final research results, as well as to allow others to reproduce the results exactly, the researcher must document all details of the computational data analysis, and this is often missing from papers. RMarkdown documents (and their analogues) can provide all these details unambiguously—with RMarkdown documents, you can even run a command to pull out all the code used within the document, if you'd like to submit that code script as a stand-alone document as a supplement to a manuscript.

"More recently, scientists who are not themselves computational experts are conducting data analysis with a wide range of modular software tools and packages. Users may often combine these tools in unusual or novel ways. In biology, scientists are now routinely able to acquire and explore data sets far beyond the scope of manual analysis, including billions of DNA bases, millions of genotypes, and hundreds of thousands of RNA measurements. ... While propelling enormous progress, this increasing and sometimes 'indirect' use of computation poses new challenges for scientific publication and replication. Large datasets are

often analyzed many times, with modifications to the methods and parameters, and sometimes even updates of the data, until the final results are produced. The resulting publication often gives only scant attention to the computations details. Some papers have suggested these papers are ‘merely the advertisement of scholarship whereas computer programs, input data, parameter values, etc., embody the scholarship itself.’ However, the actual code or software ‘mashup’ that gave rise to the final analysis may be lost or unrecoverable.” [mesirov2010accessible]

“Bioinformatic analyses invariably involve shepherding files through a series of transformations, called a pipeline or workflow. Typically, these transformations are done by third-part executable command line software written for Unix-compatible operating systems. The advent of next-generation sequencing (NGS), in which millions of short DNA sequences are used as the source input for interpreting a range of biological phenomena, has intensified the need for robust pipelines. NGS analyses tend to involve steps such as sequence alignment and genomic annotation that are both time-intensive and parameter-heavy.” [leipzig2017review]

**“Rule 7: Always Store Raw Data behind Plots.** From the time a figure is first generated to it being part of a published article, it is often modified several times. In some cases, such modifications are merely visual adjustments to improve readability, or to ensure visual consistency between figures. If raw data behind figures are stored in a systematic manner, so as to allow raw data for a given figure to be easily retrieved, one can simply modify the plotting procedure, instead of having to redo the whole analysis. An additional advantage of this is that if one really wants to read fine values in a figure, one can consult the raw numbers. ... When plotting is performed using a command-based system like R, it is convenient to also store the code used to make the plot. One can then apply slight modifications to these commands, instead of having to specify the plot from scratch.” [sandve2013ten]

#### 2.4.4 Don’t repeat your report-writing!

Until a few years ago, statisticians and data analysts frequently automated the data cleaning, processing, and analysis tasks. But that still left the paper and report writing to be done by hand. This process is often repetitive. You would do your analysis and create some tables or figures. You would save these from your statistical program and then paste them into your report or paper draft. If you decided that you needed to change your analysis a bit, or if you got a new set of data to analyze in a similar way, you had to go back to the statistical program, run things again there, save the tables and figure files again, and paste them in the report or paper again to replace the outdated version. If there were numbers from the analysis in the text of the paper, then you had to go back through the text and update all of those with the newer numbers, too.

Do you still write your papers and reports like this? I can tell you that there is now a *much* better way. Computer scientists and other programmers started thinking quite a while ago about how to create documents that combine computer code and text for humans, and to do it in a way where the computer code isn’t just a static copy of what someone once told the computer to do,

but instead a living, working, executable set of instructions that the computer can run anytime you ask it to.

These ideas first percolated with Donald Knuth, who many consider to be the greatest computer programmer of all time [Bill Gates, for example, has told anyone who reads Dr. Knuth's magnum opus, *The Art of Computer Programming*, to come see him right away about a job]. As Dr. Knuth was writing a book on computer programming, he became frustrated with the quality of the typesetting used in the final book. In a field that requires a lot of mathematical and other symbols incorporated into the text, it takes a bit more to make an attractive book than with simpler text. Dr. Knuth therefore took some time to create a programming for typesetting. (You may have heard of it—if you ever notice that a journal's Instructions to Authors allow authors to submit articles in "LaTeX" or "TeX", that's using a system built off of Donald Knuth's typesetting program.)

And then, once he had that typesetting program, he started thinking about how programmers document their code. When one person does a very small code project, and that one person is the only person who will ever go back to try to modify or understand the code, that person might be able to get away with poor documentation in the code. However, interesting code projects can become enormous, with many collaborators, and it becomes impossible to understand and improve the code if it doesn't include documentation explaining, in human terms, what the code is doing at each step, as well as some overall documentation explaining how different pieces of the code coordinate to get something big done.

Traditionally, code was documented by including small comments within the code. These comments are located near the code that they explain, and the order of the information in the code files are therefore dominated by the order of the instructions to the computer, not the order that you might explain what's going on to a human. To "read" the code and the documentation, you end up hopscotching through the code, following the code inside one function when it calls another function, for example, to where the code for that second function is defined and then back to the first, and so on. You often follow paths as you get deeper and deeper into helper functions and the helper functions for those functions, that you feel like you're searching through a set of Russian dolls and then coming back up to start on a new set of Russian dolls later down the line.

Donald Knuth realized that, with a good typesetting program that could itself be programmed, you could write your code so that the documentation for humans took precedence, and could be presented in a very clear and attractive final document, rather than hard-to-read computer code with some plain-text comments sprinkled in. Computers don't care what order the code is recorded in—as long as you give them some instructions on how to decipher code in a certain format or order, they can figure out how to use it fine. But human brains are a bit more finicky, and we need clear communication, laid

out in a logical and helpful order. Donald Knuth created a paradigm of *literate programming* that interleaved executable code inside explanations written for humans; by making the code executable, it meant that the document was a living guide. When someone changed the program, they did it by changing the documentation—documentation wasn’t left as the final, often neglected, step to refine once the “real code” was written (and the “real work” done).

“Programs must be written for people to read, and only incidentally for machines to execute. A great program is a letter from current you to future you or the person who inherits your code. A generous humanistic document.”  
[ford2015what]

Well, this was a fantastic idea. It hasn’t been universally leveraged, but the projects that do leverage it are much stronger for it. But that’s not where the story ends. If you are someone who does a little bit of coding (maybe small scripts to analyze and visualize your data, for example) and a lot of “documenting” of the results, and if you’re not planning on doing a lot of large coding projects or creating software tools, it’s not immediately how you’d use these literate programming ideas.

Well, there are many people who do a little bit of programming in service to a larger research project. While they are not creating software that needs classical software documentation, they do want to document the results that they get when they run their scripts, and they want to create reports and journal articles to share what they’ve found. Several people took the ideas behind literate programming—as it’s used to document large software projects—and leveraged it to create tools to automate writing in data-related fields.

[F. Leisch?] was the first to do this with the R programming language, with a tool called “Sweave” (“S”-“weave”, as R builds off of another programming language called “S” and Leisch’s program would “weave” together S / R code and writing). This used Donald Knuth’s typesetting program. It allowed you to write a document for humans (like a report or journal article) and to intersperse bits of code in the paper. You’d put each code piece in the spot in the paper where the text described what was going on or where you wanted the results that it generated for example, if you had a section in the Methods where you talked about removing observations that were outliers, you would add in the code that took out those outliers right there in the paper. And if you had a placed in the Results that talked about how your data were different between two experimental groups, you would add the code that generated the plot to show that right there in the paper.

To tell the computer how to tell between code and writing, you would add a little weird combination of text each time that you wanted to “switch” into code and then another one each time you wanted to switch back into writing for humans. (These combinations were so weird because that guaranteed that it was a combination you would probably never want to type otherwise, so you wouldn’t have a lot of cases of the computer getting confused between whether the combo meant to switch to code or whether it was just something that

came up in the regular writing.) You'd send the document, code and writing and all, through R once you had it written up. R would ignore everything that wasn't code. When it got to the code pieces, it would run them, and if the code created output (like a figure or table), it would "write" that into the document at that point in the text. Then you'd run the document through Donald Knuth's typesetting program (or an extension of it), and the whole document would get typeset into an attractive final product (often a pdf, although you had some choices on the type of output).

This meant that you got very attractive final documents. It also meant that your data analysis code was well documented—it was "documented" by the very article or report you wrote based on it, because the code was embedded right there in the final product! It also meant that you could save a lot of time if you needed to go back and change some of your code later (or input a different or modified dataset). You just had to change that small piece of code or data input, and then essentially press a button to put everything together again, and the computer would re-write the whole report for you, with every figure and table updated. It even let you write small bits of computer code directly into the written text, in case you need to write something like "this study included 52 subjects", where the "52" came from you counting up the number of rows in one of your datasets—if you later added three more subjects and re-ran the analysis with the updated dataset, the report would automatically change to read "this study included 55 subjects".

Leisch's system is still out there, but another has been adopted much more widely, building on it. Yihui Xie started work on a program that tweaked and improved Leisch's Sweave program, creating something called "knitr" ("knit"- "R"—are you noticing a pattern in the names?). Xie's knitr program, along with its extensions, is now widely used for data analysis projects. What's more, it's grown to allow for larger or more diverse writing projects—this book, for example, is written using an extension called "bookdown", and extensions also exist for create blogs that include executable R code ("blogdown") and websites with documentation for R packages ("packagedown").

So now, let's put these two pieces together. We know that programmers love to automate small tasks, and we know that there are tools that can be used to "program" tasks that involve writing and reporting. So what does this mean if you frequently need to write reports that follow a similar pattern and start from similar types of data? If you are thinking like a code, it means that you can move towards automating the writing of those reports.

One of us was once talking to someone who works in a data analysis-heavy field, and she was talking about how much time she spends copying the figures that her team creates, based on a similar analysis of new data that's regularly generated, into PowerPoint presentations. So, for this weeks report, she's creating a presentation that shows the same analysis she showed last week, just with newer data. Cutting and pasting is an enormous waste of time—there are tools to automate this.

#### 2.4.5 Automating reports

First—think through the types of written reports or presentations you've created in the past year or two. Are there any that follow a similar pattern? Any that input the same types of data, but from different experiments, and then report the same types of statistics or plots for them? Are there Excel spreadsheets your lab uses that generate specific tables or plots that you often cut and paste for reports or presentations? Look through your computer file folders or email attachments if you need to—many of these might be small regular reports that are so regular that they don't pop right to mind. If you are creating documents that match any of these conditions, you probably have something ripe for converting to a reusable, automatable template.

"Think like Henry Ford; he saw that building cars was a repeatable process and came up with the moving assembly line method, revolutionizing production. You may not be building a physical product, but chances are you are producing something. ... Look for the steps that are nearly identical each time, so you can build your own assembly line." [rose2018dont]

... [Creating a framework for the report]

"Odds are, if you're doing any kind of programming, especially Web programming, you've adopted a framework. Whereas an SDK is an expression of a corporate philosophy, a framework is more like a product pitch. Want to save time? Tired of writing old code? Curious about the next new thing? You use a graphics framework to build graphical applications, a Web framework to build Web applications, a network framework to build network servers. There are hundreds of frameworks out there; just about every language has one. A popular Web framework is Django, which is used for coding in Python. Instagram was bootstrapped on it. When you sit down for the first time with Django, you run the command 'startproject', and it makes a directory with some files and configuration inside. This is your project directory. Now you have access to libraries and services that add to and enhance the standard library." [ford2015what]

One key advantage of creating a report template is that it optimizes the time of statistical collaborators. It is reasonable for a scientists with a couple of courses worth of statistical training to design and choose the statistical tools for simple and straightforward data analysis. However, especially as the biological data collected in experiments expands in complexity and size, a statistician can recommend techniques and approaches to draw more knowledge from the data and to appropriately handle non-standard features of the data. There is substantial work involved in the design of any data analysis pipeline that goes beyond the very basics. It waste time and resources to recreate this with each new project, time that—in the case of statistical collaborators—could probably be better spent in extending data analysis goals beyond the simplest possible analysis to explore new hypotheses or to add exploratory analysis that could inform the design of future experiments.

"Workflows effectively capture valuable expertise, as they represent how an

expert has designed computational steps and combined them into an end-to-end process." [hauder2011making]

When collaborative work between scientists and statisticians can move towards developing repeatable data analysis scripts and report templates, you will start to think more about common patterns and common questions that you ask across many experiments in your research program, rather than focusing on the immediate needs for a specific project. You can start to think of the data analysis tools that are general purpose for your research lab, develop those into clean, well-running scripts or functions, and then start thinking about more sophisticated questions you want to ask of your data. The statisticians you collaborate will be able to see patterns across your work and help to develop global, and perhaps novel, methods to apply within your research program, rather than piecemeal small solutions to small problems.

"Although foundational knowledge is taught in major universities and colleges, advanced data analytics can only be acquired through hands-on practical training. Only exposure to real-world datasets allows students to learn the importance of preparing and cleansing the data, designing appropriate features, and formulating the data mining task so that the data reveals phenomena of interest. However, the effort required to implement such complex multi-step data analysis systems and experiment with the tradeoffs of different algorithms and feature choices is daunting. For most practical domains, it can take weeks to months for a student to setup the basic infrastructure, and only those who have access to experts to point them to the right high-level design choices will endeavor on this type of learning. As a result, acquiring practical data analytics skills is out of reach for many students and professionals, posing severe limitations to our ability as a society to take advantage of our vast digital data resources." [hauder2011making]

"In practice designing an appropriate end-to-end process to prepare and analyze the data plays a much more influential role than using a novel classifier or statistical model." [hauder2011making]

It is neither quick nor simple to design the data analysis plan and framework for a research experiment. It is not simply naming a statistical test or two. Instead, the data analyst must start by making sure they understand the data, how it was measured, how to decipher the format in which it's stored, what questions the project is hoping to answer, where there might be problems in the data (and what they would look like), and so on. If a data analyst is helping with a lot of projects using similar types of data to answer similar questions, then he or she should, in theory, need less time for these "framework" types of questions and understanding. However, if data isn't shared in the same format each time, it will still take overhead to figure out that this is indeed the same type of data and that code from a previous project can be adapted or repurposed.

Let's think about one area where you likely repeat very similar steps frequently—writing up short reports or slide presentations to share your to-date research results with your research group or colleagues. These probably

often follow a similar structure. For example, they may start with a section describing the experimental conditions, and then have a slide showing a table with the raw data (or a simple summary of it, if there's a lot of data), and then have a figure showing something like the difference in experimental measurements between two experimental groups.

[Figure: Three simple slides for a research update—experimental conditions, table of raw data, boxplots with differences between groups.]

"The cornerstone of using DRY in your work life is the humble template. Whenever you create something, whether it's an email, a business document, or an infographic, think if there's something there you could save for future use. The time spent creating a template will save you exponentially more time down the road." [rose2018dont]

You could start very simply in turning this into a template. You could start by creating a PowerPoint document called "lab\_report\_template.pptx". It could include three slides, with the titles on each slide of "Experimental conditions", "Raw data", and "Bacterial burden by group", and maybe with some template set to provide general formatting that you like (font, background color, etc.). That's it. When you need to write a new report, you copy this file, rename the copy, and open it up. Now instead of needing to start from a blank PowerPoint file, you've shaved off those first few steps of setting up the pieces of the file you always use.

[Figure: Simplest possible template]

This very simple template won't save you much time—maybe just a minute or so for each report. However, once you can identify other elements that you commonly use in that type of report, you can add more and more of these "common elements" to the template, so that you spend less time repeating yourself with each report. For example, say that you always report the raw data using the same number of columns and the same names for those columns. You could add a table to that slide in your template, with the columns set with appropriate column names. You can always add or delete rows in the table if you need to in your reports, but now each time you create a new report, you save yourself the time it takes to create the table structure and add the column names. Plus, now you've guaranteed that the first table will use the exact same column names every time you give a report! You'll never have to worry about someone wondering if you are using a different model animal because you have a column named "Animal ID" in one report, while your last report had "Mouse ID", for example. And because you're making a tool that you'll use many times, it becomes worthwhile to take some time double-checking the clean-up, so you're more likely to avoid things like typos in the slide titles or in column names of tables.

[Figure: Template with a table skeleton added.]

You can do the same thing for written reports or paper manuscripts. For example, most of the papers you like may have the classic scientific paper sections: "Introduction", "Data and Methods", "Results", and "Discussion". And

then, you probably typically include a couple of pages at the beginning for the title page and abstract, and then a section at the end with references and figure captions. Again, you could create a file called “article\_template.docx” with section headings for each of the sections and with space for the title page, abstract, and references. Presumably, you are always an author on papers you’re writing, so go ahead and add your name, contact information, and affiliation in the right place on the title page (I bet you have to take the time to do that every time you start a paper—and if you’re like me, you have to look up the fax number for your building every time you do). You probably need to mention funding sources on the title page for every paper, too. Do you need to look those grant numbers up every time? Nope! Just put all your current ones in the title page of your template, and then you can just delete those that don’t apply when you start a new paper.

[Figure: Simple article template]

Again, you can build on this simple template. Look through the “Data and Methods” section of several of your recent papers. Are there certain elements that you commonly report there? For example, is there a mouse model you use in most of your experiments, that you need to describe? Put it in the template. Again, you can always delete or modify this information if it doesn’t apply to a specific paper. But for any information that you find yourself copying and pasting from one paper draft to another, add it to your template. It is so much more delightful to start work on a paper by *deleting* the details that don’t apply than by staring down a blank sheet of paper.

[Quote—Taking away everything that isn’t the statue.]

“Most docs you work on will have some sort of repeatable process. For example, when I sit down to write a blog post, I go through the same repeatable steps when setting up my file: Title, Subtitle, Focus Keywords, Links to relevant articles / inspiration, Outline of subheads, Intro / hook, etc. ... Even though it is a well-worn process, I can save time by creating a writing template with these sections already pre-set. Not only does this save time, but it also saves mental energy and helps push me into ‘Writing’ mode instead of ‘Set-up’ or ‘Research’ mode.”  
 [mackay2019dry]

This template idea is so basic, and yet far fewer people use it than would seem to make sense. Maybe it’s because it does require some forward thinking about the elements of presentations, reports, and papers that are common across your body of work, not just the details that are pertinent to a specific project. It also does require some time investment, but not much more than adding all these element to a single paper or presentation takes. If you can see the appeal of having a template for the communication output that you create from your research, and if you try it an like it, then you are well on your way to having a programmers mindset. The joy of programming is exactly this kind of joy—a little thinking and time at the start and you have these little tools that do some of your work for you over and over again. In fact, a Python programmer has even written a book whose title captures this intrinsic *esprit*: “[Automating

the Boring Stuff?].

But wait. There's more. Do you always do the same calculations or statistical tests with the data you're getting in? Or at least often enough that it would save time to have a template? There is a way to add this into the template that you create for your presentation, report, or paper.

"Your templates are living documents. If you notice that you're making the same change over and over, that means it's time to update the template itself."

[rose2018dont]

Researchers create and use Excel templates for this purpose. The template may have macros embedded in it to make calculations or create basic graphs. However, spreadsheets—whether created from templates or not—share the limitations discussed in an earlier chapter. What's more, they can't easily be worked into a template that creates a final document to communicate results, whether that's a slide presentation or a written document. Finally, they are in a binary format that can't clearly be tracked with version control like git.

[R Project templates? Can you create them? Clearly something like that is going on when you start a new package...]

#### 2.4.6 Scripts and automated reports as simple pipelines

Scientific workflows or pipelines have become very popular in many biological research areas. These are meant to meet many of the DRY goals—create a recipe that can be repeated at different times and by different research groups, clearly record each step of an analysis, and automate steps or processes that are repeated across different research projects so they can be completed more efficiently.

There are very sophisticated tools now available for creating biological data analysis pipelines and workflows,[leipzig2017review] including tools like Galaxy and Taverna. Simple code scripts and tools that build on them (like makefiles, RMarkdown documents, and Jupyter Notebooks), however, can be thought of as the simpler (and arguably much more customizable) little sibling of these more sophisticated tools.

"Scripts, written in Unix shell or other scripting languages such as Perl, can be seen as the most basic form of pipeline framework." [leipzig2017review]

"Naive methods such as shell scripts or batch files can be used to describe scientific workflows." [mishima2011agile]

Flexibility can be incorporated into scripts, and the tools that build directly off them, through including *variables*, which can be set in different configurations each time the script is run [leipzig2017review].

More complex pipeline systems do have some advantages (although generalizable tools that can be applied to scripts are quickly catching up on most of these). For example, many complex data analysis or processing steps may use

open-source software that is under continuing development. If the creators of that software modify it between the time that you submit your first version of an article and the time that you need to submit revisions, and you have updated the version of the package on your computer, the code may no longer run the same way. The same thing can happen if someone else tries to run your code—if they are trying to run it with a more recent version of some of the open-source software used in the code, they may run into problems.

This problem of changes in *dependencies* of the code (software programs, packages, or extensions that the code loads as runs as part of its process) is an important challenge to reproducibility in many areas of science. Pipeline software can improve on simpler scripts by helping limit dependency problems [by ...]. However, R extensions are rapidly being developed that also address this issue. For example, the *packrat* package ...., while [packrat update Nichole was talking about].

“Dependencies refer to upstream files (or tasks) that downstream transformation steps require as input. When a dependency is updated, associated downstream files should be updated as well.” [leipzig2017review]

The tools that we’ve discussed for reproducible and automatable report writing—like Rmarkdown and Jupyter Notebooks—build off of a tool for coordinating and conducting a process involving multiple scripts and input files, or a “build tool”. Among computer programmers, perhaps the most popular build tool is called “make”. This tool allows coders to write a “Makefile” that details the order that scripts should be run in a big process, and what other scripts and inputs they require. With these files, you can re-run a whole project, and do it in the right order, and the only steps that will be re-run are those where something will change based on whatever change you just made to the code or input data.

“To avoid errors and inefficiencies from repeating commands manually, we recommend that scientists use a build tool to automate workflows, e.g., specify the ways in which intermediate data files and final results depend on each other, and on the programs that create them, so that a single command will regenerate anything that needs to be regenerated.” [wilson2014best]

For example, say that you have a large project that starts by inputting data, cleans or processes it using a step that takes a lot of time to run, analyzes the simpler processed data, and then creates some plots and tables based on this analysis. With a makefile, if you want to change the color of the labels on a plot, you can change that code and re-run the Makefile, and the computer will re-make the plots, but not re-run the time-intensive early data processing steps. However, if you update the raw data for the project and re-run the Makefile, the computer will (correctly) run everything from the very beginning, since the updated data needs to be reprocessed, all the way through to creating the final plots and tables.

"A file containing commands for an interactive system is often called a script, though there is really no difference between this and a program. When these scripts are repeatedly used in the same way, or in combination, a workflow management tool can be used. The most widely used tool for this task is probably Make, although many alternatives are now available. All of these allow people to express the dependencies between files, i.e., to say that if A or B has changed, then C needs to be updated using a specific set of commands. These tools have been successfully adopted for scientific workflows as well." [wilson2014best]

"This experience motivated the creation of a way to encapsulate all aspects of our *in silico* analyses in a manner that would facilitate independent replication by another scientist. Computer and computational scientists refer to this goal as 'reproducible research', a coinage attributed to the geophysicist Jon Claerbout in 1990, who imposed the standard of makefiles for construction of all the figures and computational results in papers published by the Stanford Exploration Project. Since that time, other approaches have been proposed, including the ability to insert active scripts within a text document and the use of a markup language that can produce all of the text, figures, code, algorithms, and settings used for the computational research. Although these approaches may accomplish the goal, they are not practical for many nonprogramming experimental scientists using other groups' or commercial software tools today." [mesirov2010accessible]

"All science campaigns of sufficient complexity consist of numerous interconnected computational tasks. A workflow in this context is the composition of several such computing tasks." [deelman2018future]

"Scientific applications can be very complex as software artifacts. They may contain a diverse amalgam of legacy codes, compute-intensive parallel codes, data conversion routines, and remote data extraction and preparation. These individual codes are often stitched together using scripted languages that specify the data and software to be executed, and orchestrate the allocation of computing resources and the movement of data across locations. To manage a particular set of codes, a number of interdependent scripts may be used." [gil2008data]

#### [Disadvantages of more complex pipeline tools over starting from scripts]

"Unlike command line-based pipeline frameworks ... workbenches allow end-users, typically scientists, to design analyses by linking preconfigured modular tools together, typically using a drag-and-drop graphical interface. Because they require exacting specifications of inputs and outputs, workbenches are intrinsically a subset of configuration-based pipelines." [leipzig2017review]

"Magnificent! Wonderful! So, what's the downside? Well, frameworks lock you into a way of thinking. You can look at a website and, with a trained eye, go, 'Oh, that's a Ruby on Rails site.' Frameworks have an obvious influence on the kind of work developers can do. Some people feel that frameworks make things too easy and that they become a crutch. It's pretty easy to code yourself into a hole, to find yourself trying to force the framework to do something it doesn't want to do. Django, for example, isn't the right tool for building a giant chat application, nor would you want to try competing with Google Docs using a Django backend. You pay a price in speed and control for all that convenience. The problem is really in knowing how much speed, control, and convenience you need." [ford2015what]

“Workbenches and class-based frameworks can be considered heavyweight. There are costs in terms of flexibility and ease of development associated with making a pipeline accessible or fast. Integrating new tools into workbenches clearly increases their audience but, ironically, the developers who are most capable of developing plug-ins for workbenches are the least likely to use them.”  
 [leipzig2017review]

“Business workflow management systems emerged in the 1990’s and are well accepted in the business community. Scientific workflows differ from business workflows in that rather than coordinating activities between individuals and systems, scientific workflows coordinate data processing activities.”  
 [vigder2008supporting]

“The concept of workflows has traditionally been used in the areas of process modelling and coordination in industries. Now the concept is being applied to the computational process including the scientific domain.” [mishima2011agile]

“Although bioinformatics-specific pipelines such as bcbio-nextgen and Omics Pipe offer high performance automated analysis, they are not frameworks in the sense they are not easily extensible to integrate new user-defined tools.”  
 [leipzig2017review]

Writing a script-based pipeline does require that you or someone in your laboratory group develops some expertise in writing code in a “scripting language” like R or Python. However, the barriers to entry for these languages continues to come down, and with tools that leverage the ideas of templating and literate programming, it is becoming easier and easier for new R or Python users to learn to use them quickly. For example, one of us teaches a three-credit R Programming class, designed for researchers who have never coded. The students in the class are regularly creating code projects by the end of the class that integrate literate programming tools to weave together code and text and saving these documents within code project directories that include raw data, processed data, and scripts with code definitions for commonly used pieces of code (saved as functions). These are all the skills you’d need to craft an R project template for your research group that can serve as a starting point for each future experiment or project.

“Without an easy-to-use graphical editor, developing workflows requires some programming knowledge.” [vigder2008supporting]

“Scripting languages are programming languages and as a result are inaccessible to any scientists without computing background. Given that a major aspect of scientific research is the assembly of scientific processes, the fact that scientists cannot assemble or modify the applications themselves results in a significant bottleneck.” [gil2008data]

“As anyone who’s ever shared a networked folder—or organized a physical filing cabinet—knows, without a good shared filing system your office will implode.”  
 [ford2015code]

"You can tell how well code is organized from across the room. Or by squinting or zooming out. The shape of code from 20 feet away is incredibly informative. Clean code is idiomatic, as brief as possible, obvious even if it's not heavily documented. Colloquial and friendly." [ford2015code]

"[Wesley Clark] wanted to make the world's first 'personal computer', one that could fit in a single office or laboratory room. No more waiting in line; one scientist would have it all to himself (or, more rarely, herself). Clark wanted specifically to target biologists, since he knew they often needed to crunch data in the middle of an experiment. At that time, if they were using a huge IBM machine, they'd need to stop and wait their turn. If they had a personal computer in their own lab? They could do calculations on the fly, rejigging their experiment as they went. It would even have its own keyboard and screen, so you could program more quickly: no clumsy punch cards or printouts. It would be a symbiosis of human and machine intelligence. Or, as Wilkes put it, you'd have 'conversational access' to the LINC: You type some code, you see the result quickly. Clark knew he and his team could design the hardware. But he needed Wilkes to help create the computers' operating system that would let the user control the hardware in real time. And it would have to be simple enough that biologists could pick it up with a day or two of training." [Coders, p. 32]

"When they had a rough first prototype [of the LINC] working, Clark tested it on a real-life problem of biological research. He and his colleague Charles Molnar dragged a LINC out to the lab of neurologist Arnold Starr, who had been trying and failing to record the neuroelectric signals cats produce in their brains when they heard a sound. Starr had put an electrode implant into a cat's cortex, but he couldn't distinguish the precise neuroelectric signal he was looking for. In a few hours, Molnar wrote a program for the LINC that would play a clicking noise out of a speaker, record precisely when the electrode fired, and map on the LINC's screen the average response of the cat to noises. It worked: As data scrolled across the screen, the scientists 'danced a jig right around the equipment'." [Coders, p. 33]

If you have built a pipeline as an R or Python script, but there is an open source software tool that you need to use that is written in another language, you can write a "wrapper" function that calls that software from within the R or Python process. And chances are good, if that software is a popular tool, that someone else has already written one, so you can just leverage that code or tool. Open-source scripting languages and R and Python "play well with others", and can communicate and run just about anything that you could run at a command line.

"Our approach to dealing with software integration is to wrap applications with Python wrappers." [vigder2008supporting]

The templating process can eventually extend to making small tools as software functions and extensions. For example, if you regularly create a certain type of graph to show your results, you could write a small function in R that encapsulates the common code for creating that. One research group I know of wanted to make sure their figures all had a similar style (font, color for

points, etc.), but didn't like the default values, and so wrote a small function that applied their style choices to every plot they made. Once your research group has a collection of these small functions, you can in turn encapsulate them in a R package (which is really just a collection of R functions, plus maybe some data and documentation). This package doesn't have to be shared outside your research group—you can just share it internally, but then everyone can load and use it in their computational work. With the rise of larger datasets in many fields, and the accompanying need to do more and more work on the computer to clean, manage, and analyze the data, more scientists are getting into this mindset that they are not just the “end users” of software tools, but they can dig in and become artisans of small tools themselves, building on the larger structure and heavier lifting made available by the base software package.

“End-user software engineering refers to research dedicated to improving the capability of end-users who need to perform programming or engineering tasks. For many, if not all, of these end-users, the creation and maintenance of software is a secondary activity performed only in service of their real work. This scenario applies to many fields include science. However, there is little research specifically focused on scientists as end-user software engineers.” [vigder2008supporting]

John Chambers (one of the creators of R's precursor S, and heavily involved in R development) defines programming as “a language and environment to turn ideas into new tools.” [Programming with Data, p. 2]

“Sometimes, it seems that the software we use just sort of sprang into existence, like grass growing on the lawn. But it didn't. It was created by someone who wrote out—in code—a long, painstaking set of instructions telling the computer precisely what to do, step-by-step, to get a job done. There's a sort of priestly class mystery cultivated around the word *algorithm*, but all they consist of are instructions: Do this, then do this, then do this. News Feed [in Facebook] is now an extraordinarily *complicated* algorithm involving some trained machine learning; but it's ultimately still just a list of rules.” [Coders, p. 10]

“One of your nonnegotiable rules should be that every person in the lab must keep a clear and detailed laboratory notebook. The business of the lab is results and the communication of those results, and the lab notebook is the all-important documentation of each person's research. There are dozens of reasons to keep a clear and detailed lab notebook and only one—laziness—for not. Whether the work is on an esoteric branch of clam biology or is heading toward a potentially lucrative patent, it makes sense to keep data clear and retrievable for both present and future lab members.” (LEIPS, 2010)

“Paper lab notebooks are most commonly seen, valued for their versatility, low expense, and ease of use. The paper notebook type may be determined by the department or institution. Especially at large companies, there may also be a policy that dictates format, daily signatures by supervisors, and lock-up at night. If there is no requirement, everyone in your lab should use the same kind of bound lab notebook, as determined by you. It should have numbered pages, gridlines, and a tough enough binding that it does not fall apart after a few months of rigorous use on the bench.” (LEIPS, 2010)

“Electronic lab notebooks (ELNs) may be used to enter, store, and analyze data. Coupled with a sturdy notebook computer, they can be used at the bench for notes and alterations to the protocol. Lab members and collaborators can share data and drawings. Reagents can be organized. Shareware versions are available as well as many stand-alone programs that can be tweaked for your needs by the company. A lab that generates high-throughput, automated, or visual data; collaborates with other labs; or has a high personnel turnover should consider using an ELN (Phillips 2006).” (LEIPS, 2010)

“Laboratory Information Management Systems (LIMSS) are programs that are coupled to a database as well as to lab equipment and facilitate the entry and storage of laboratory data. These systems are expensive and are designed for more large-scale testing and production than for basic research labs. They can be very useful tools: Some can manage protocols, schedule maintenance of lab instruments, receive and process data from multiple instruments, track reagents and samples, print sample labels, do statistical analyses, and be customized to your needs. But although LIMSSs can handle a great deal of data analysis, they cannot yet substitute for a lab notebook.” (LEIPS, 2010)

“You should demand a level of care with lab notebooks. Everything in it should be understandable not only to the owner, but to you.” (LEIPS, 2010)

“Whether you check notebooks, or have a lab member present to you with raw data, or stop at everyone’s lab bench a few times a week, you must have a feeling for the quality and results of each person’s raw data. It is very easy to make assumptions on the basis of the polished data you see at a research meeting, but many a lab member has gone astray with over- or misinterpreted data. By keeping an eye on the raw data, you can be ready to comment on the number of repetitions, alternative experiments, or the implications of a minor result.” (LEIPS, 2010)

#### 2.4.7 Applied exercise

#### 2.5 Example: Creating a template for “tidy” data collection

We will walk through an example of creating a template to collect data in a “tidy” format for a laboratory-based research project, based on a research project on drug efficacy in murine tuberculosis models. We will show the initial “untidy” format for data recording and show how we converted it to a “tidy” format. Finally, we will show how the data can then easily be analyzed and visualized using reproducible tools.

**Objectives.** After this module, the trainee will be able to:

- Understand how the principles of “tidy” data can be applied for a real, complex research project;
- List advantages of the “tidy” data format for the example project

#### 2.5.1 Example—Data on rate of bacterial growth

The first set of data are from a study on the growth of *Mycobacterium tuberculosis*. The goal of this study was to compare growth yield and doubling time of

*Mycobacterium tuberculosis* grown in rich medium under two assay conditions. One set of cultures were grown in tubes with a low culture volume relative to a large air head space to allow free oxygen exchange. A second set of cultures were grown in tubes filled to near capacity, resulting in limited air head space which has been shown elsewhere to limit oxygen availability over time. The caps on both sets of cultures were sealed to restrict air exchange during the study.

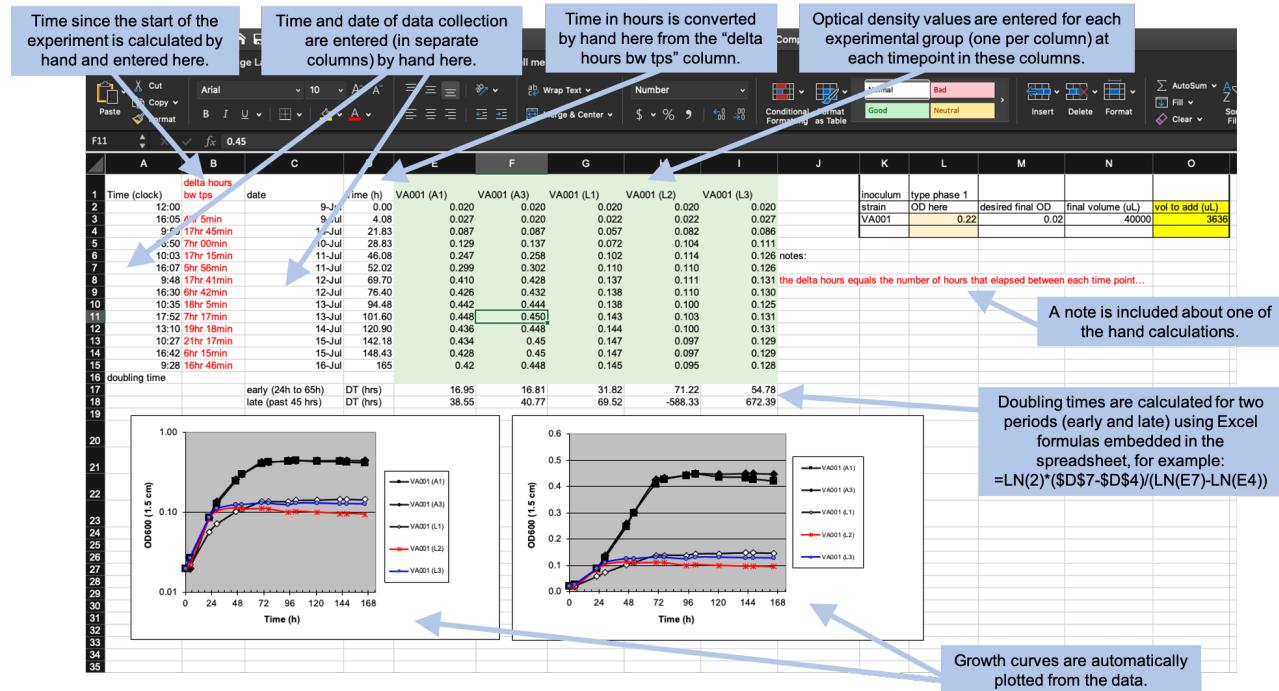
Some background information is helpful in understanding these example data, especially if you have not conducted this type of experiment. The increase in the cell size and cell mass during the development of an organism is termed growth. It is the unique characteristics of all organisms. The organism must require certain basic parameters for their energy generation and cellular biosynthesis. The growth of the organism is affected by both physical and nutritional factors. There are multiple methods by which growth can be measured, but the use of closed tissue culture tubes and a spectrophotometer to track increases in optical density (absorbance at 600 nm) over time offers several advantages: 1) it is less subject to technical error and contamination, 2) read out is fast and simple, 3) growth as measure by increased absorbance (turbidity) is directly proportional to increases in cell mass. There are four distinct phases of bacterial growth. Lag phase, log (exponential phase), stationary phase, death phase. From these data, bacterial generation times (doubling time) during the exponential growth phase can be calculated.

$$\text{Doubling time} = \frac{\log(2)(t_1 - t_2)}{\log(OD_{t_1}) - \log(OD_{t_2})}$$

where  $t_1$  and  $t_2$  are two time points and  $OD_{t_1}$  and  $OD_{t_2}$  are the optical densities at the two time points (all *logs* are natural in this case).

An excel-based workbook (Figure 2.2) was created to allow the student performing the work to (1) calculate the amount of initial inoculum (cell culture) to add to each tube to begin the study, (2) record the raw data absorbance measurements, (3) graph the data on both a log and linear scale, and (4) calculate doubling time in two phases of growth using the equation listed above. Columns were added to allow the student to track the time (column A), the difference in time (hours) between each time point in which data were collected (column B), the date on which data were gathered (column C), and the time in hours for each data point from the start of the study for graphing purposes (column D). Absorbance data for each sampling timepoint were listed in Columns E-F (high oxygen conditions; VA001 A1, A3) or columns G-I (limited oxygen conditions; VA001 L1, L2, L3).

What the researchers found appealing about the format of this excel sheet was the ease with which the student could accomplish the study goals. They also cited transparency of the raw data and ease with which additional sampling data points could be added. The data being graphed in real time and the inclusion of a simple macro to calculate doubling time, allowed the student to see



tangible differences between the two assay conditions. This was also somewhat problematic as the equation to calculate doubling time was based on anchored time points built into the original spreadsheet resulting in two different results that were not properly linked to the correct data time points.

Data that are saved in a format like that shown in Figure 2.2, however, are hard to read in for a statistical program like R, Perl, or Python. In this format, the raw data (the time points each observation was collected and the optical density for the sample at that time point) form only part of the spreadsheet. The spreadsheet also includes notes, automated figures, and cells where an embedded formula runs calculations behind the scenes.

Instead of this format, we can design a simpler format to collect the data. We'll remove all figures and calculations, and instead save those to perform in a code script. Figure 2.3 shows an example of a simpler format for collecting the same data. In this case, all the "extras" have been stripped out—this only has spaces for recording times points and the observed optical density at those time points. In later chapters, we'll show how a code script can be used to input these data into R and then perform calculations and create figures. By separating out the steps of data recording from data analysis, you can ensure that all steps of analysis are clearly spelled out (and can be easily reproduced with other similar data) through a code script. Note that you can still collect the data in this simpler format using a spreadsheet program, if you'd like—Figure 2.3 shows the data collection set up to be recorded in a spreadsheet

Figure 2.2: Example of an Excel spreadsheet used to record and analyze data for a laboratory experiment. Annotations highlight where data is entered by hand, where calculations are done by hand, and where embedded Excel formulas are used. The figures are created automatically using values in a specified column.

program, for example. Within the spreadsheet, you can choose to save the data in a plain text format (a csv [comma-separated value] file, for example).

The screenshot shows a spreadsheet with the following data structure:

	A	B	C	D	E	F
1	sampling_date_time	aerated1	aerated3	low_oxygen1	low_oxygen2	low_oxygen3
2	7/9/19 12:00	0.020	0.020	0.020	0.020	0.020
3	7/9/19 16:05	0.027	0.020	0.022	0.022	0.027
4	7/10/19 9:50	0.087	0.087	0.057	0.082	0.086
5	7/10/19 16:50	0.129	0.137	0.072	0.104	0.111
6	7/11/19 10:03	0.247	0.258	0.102	0.114	0.126
7	7/11/19 16:07	0.299	0.302	0.110	0.110	0.126
8	7/12/19 9:48	0.410	0.428	0.137	0.111	0.131
9	7/12/19 16:30	0.426	0.432	0.138	0.110	0.130
10	7/13/19 10:35	0.442	0.444	0.138	0.100	0.125
11	7/13/19 17:52	0.448	0.450	0.143	0.103	0.131
12	7/14/19 13:10	0.436	0.448	0.144	0.100	0.131
13	7/15/19 10:27	0.434	0.45	0.147	0.097	0.129
14	7/15/19 16:42	0.428	0.45	0.147	0.097	0.129
15	7/16/19 9:28	0.42	0.448	0.145	0.095	0.128
16				D15		

Annotations highlight specific features:

- Column A: "Time and date of data collection are entered in a single column here."
- Columns C-F: "Optical density values are entered for each experimental group (one per column) at each timepoint in these columns."

Figure 2.3: Example of a simpler format that can be used to record and analyze data for the same laboratory experiment as the previous figure. Annotations highlight where data is entered by hand. No calculations are conducted or figures created—these are all done later, using a code script.

## 2.5.2 Example—Data on bacteria colony forming units

## 2.5.3 Example—Data from multiple related experiments

## 2.5.4 Issues with these data sets

### I. Issues related to using a spread sheet program

- Embedded macros
- Use of color to encode information

### 2. Issues related to non-structured / non-two-dimensional data

- Added summary row
- Multiple tables in one sheet
- One cell value is meant to represent values for all rows below, until next non-missing row

### 3. Issues with data being non-“tidy”

## 2.5.5 Final “tidy” examples

## 2.5.6 Options for recording tidy data

### Spreadsheet program.

#### Spreadsheet-like interface in R.

### 2.5.7 Examples of how “tidy” data can be easily analyzed / visualized

### 2.5.8 Discussion questions

## 2.6 Power of using a single structured ‘Project’ directory for storing and tracking research project files

To improve the computational reproducibility of a research project, researchers can use a single ‘Project’ directory to collectively store all research data, meta-data, pre-processing code, and research products (e.g., paper drafts, figures). We will explain how this practice improves the reproducibility and list some of the common components and subdirectories to include in the structure of a ‘Project’ directory, including subdirectories for raw and pre-processed experimental data.

**Objectives.** After this module, the trainee will be able to:

- Describe a ‘Project’ directory, including common components and subdirectories
- List how a single ‘Project’ directory improves reproducibility

### 2.6.1 Organizing project files through the file system

One of the most amazing parts of how modern computers work is their file directory systems. [More on these.]

It is useful to leverage this system to organize all the files related to a project. These include data files (both “raw” data—directly output from measurement equipment or directly recorded from observations, as well as any “cleaned” version of this data, after steps have been taken to preprocess the data to prepare it for visualization and analysis in papers and reports). These files also include the files with writing and presentations (posters and slides) associated with the project, as well as code scripts for preprocessing data, for conducting data analysis, and for creating and sharing final figures and tables.

There are a number of advantages to keeping all files related to a single project inside a dedicated file directory on your computer. First, this provides a clear and obvious place to search for all project files throughout your work on the project, including after lulls in activity (for example, while waiting for reviews from a paper submission). By keeping all project files within a single directory, you also make it easier to share the collection of files for the project. There are several reasons you might want to share these files. An obvious one is that you likely will want to share the project files across members in your research team, so they can collaborate together on the project. However, there are also other reasons you’d need to share files, and one that is growing in popularity is that you may be asked to share files (data, code scripts, etc.) when you publish a paper describing your results.

When files are all stored in one directory, the directory can be compressed and shared as an email attachment or through a file sharing platform like

Google Drive. As you learn more tools for reproducibility, you can also share the directory through some more dynamic platforms, that let all those sharing access continue to change and contribute to the files in the directory in a way that is tracked and reversible. In later modules in this book, we will introduce git version control software and the GitHub platform for sharing files under this type of version control—this is one example of this more dynamic way of sharing files within a directory.

### 2.6.2 *Organizing files within a project directory*

To gain the advantages of directory-based project file organization, all the files need to be within a single directory, but they don't all have to be within the same “level” in that directory. Instead, you can use subdirectories to structure and organize these files, while still retaining all the advantages of directory-based file organization. This will help limit the number of files in each “level” of the directory, so none becomes an overwhelming slew of files of different types. It can help you navigate the files in the directory, and also help someone you share the directory with figure out what's in it and where everything is.

Subdirectory organizations can also, it turns out, be used in clever ways within code scripts applied to files in the directory. For example, there are functions in all scripting languages that will list all the files in a specified subdirectory. If you keep all your raw data files of a certain type (for example, all output from running flow cytometry for the project) within a single subdirectory, you can use this type of function with code scripts to list all the files in that directory and then apply code that you've developed to preprocess or visualize the data across all those files. This code would continue to work as you added files to that directory, since it starts by looking in that subdirectory each time it runs and working with all files there as of that moment.

It is worthwhile to take some time to think about the types of files that are often generated by your research projects, because there are also big advantages to creating a standard structure of subdirectories that you can use consistently across the directories for all the projects in your research program. Of course, some projects may not include certain files, and some might have a new or unusual type of file, so you can customize the directory structure to some degree for these types of cases, but it is still a big advantage to include as many common elements as possible across all your projects.

For example, you may want to always include a subdirectory called “raw\_data”, and consistently call it “raw\_data”, to store data directly from observations or directly output from laboratory equipment. You may want to include subdirectories in that “raw\_data” subdirectory for each type of data—maybe a “cfu” subdirectory, for example, with results from plating data to count colony forming units, and another called “flow” for output from a flow cytometer. By using the same structure and the same subdirectory names, you will find that code scripts are easier to reuse from one project to another. Again, most script-

ing languages allow you to leverage order in how you've arranged your files in the file system, and so using the same order across different projects lets you repeat and reuse code scripts more easily from one project to another.

Finally, if you create a clear and clean organization structure for your project directories, you will find it is much easier to navigate your files in all directories, and also that new lab members and others you share the directories with will be able to quickly learn to navigate them. In other areas of science and engineering, this idea of standardized directory structures has allowed the development of powerful techniques for open-source software developers to work together. For example, anyone may create their own extensions to the R programming language and share these with others through GitHub or several large repositories. This is coordinated by enforcing a common directory structure on these extension “packages”—to create a new package, you must put certain types of files in certain subdirectories within a project directory. With these standardized rules of directory structure and content, each of these packages can interact with the base version of R, since there are functions that can tap into any of these new packages by assuming where each type of file will be within the package's directory of files. In a similar way, if you impose a common directory structure across all the project directories in your research lab, your collaborators will quickly be able to learn where to find each element, even in projects they are new to, and you will all be able to write code that can be easily applied across all project directories, allowing you to improve reproducibility and comparability across all projects by assuring that you are conducting the same preprocessing and analysis across all projects (or, if you are conducting things differently for different projects, that you are deliberate and aware that you are doing so).

Figure [x] gives an example of a project directory organization that might make sense for a immunology research laboratory.

Once you have decided on a structure for your directory, you can create a template of it—a file directory with all the subdirectories included, but without any files (or only template files you'd want to use as a starting point in each project). When you start a new project, you can then just copy this template and rename it. If you are using R and begin to use R Project (described in the next section), you can also create an R Studio Project template to serve as this kind of starting point each time you start a new project.

### 2.6.3 Using RStudio Projects with project file directories

If you are using the R programming language for data preprocessing, analysis, and visualization—as well as RMarkdown for writing reports and presentations—then you can use RStudio's “Project” functionality to make it even more convenient to work with files within a research project's directory. You can make any file directory a “Project” in RStudio by choosing “File” -> “New Project” in RStudio's menu. This gives you the option to create a project from scratch or

to make an existing directory an RStudio Project.

When you make a file directory an RStudio Project, it doesn't change much in the directory itself except adding a ".RProj" file. This file keeps track of some things about the file directory for RStudio, including ... Also, when you open one of these Projects in RStudio, it will move your working directory into that projects top-level directory. This makes it very easy and practical to write code using relative pathnames that start from this top-level of the project directory. This is very good practice, because these relative pathnames will work equally well on someone else's computer, whereas if you use file pathnames that are absolute (i.e., giving directions to the file from the root directory on your computer), then when someone else tries to run the code on their own computer, it won't work and they'll need to change the filepaths in the code, since everyone's computer has its files organized differently. For example, if you, on your personal computer, have the project directory stored in your "Documents" folder, while a colleague has stored the project directory in his or her "Desktop" directory, then the absolute filepaths for each file in the directory will be different for each of you. The relative pathnames, starting from the top level of the project directory, will be the same for both of you, though, regardless of where you each stored the project directory on your computer.

There are some other advantages, as well, to turning each of your research project directories into RStudio Projects. One is that it is very easy to connect each of these Projects with GitHub, which facilitates collaborative work on the project across multiple team members while tracking all changes under version control. This functionality is described in a later module in this book.

As you continue to use R and RStudio's Project functionality, you may want to take the template directory for your project and create an RStudio Project template based on its structure. Once you do, when you start a new research project, you can create the full directory for your project's files from within RStudio by going to "File" -> "New Project" and then choosing to create a new project based on that template. The new project will already be set up with the ".RProj" file that allows you to easily navigate into and out of that project, to connect it to GitHub, and all the other advantages of setting a file directory as an RStudio Project. The next module gives step-by-step directions for making a directory an RStudio Project, and also how to create your own RStudio Project template to quickly create a new directory for project files each time you start a new research project.

[Visual—project directory as a *mise en place* for cooking—everything you need for the analysis, plus the recipe for someone to repeat later.]

[Reference: The Usual Suspects—you'll typically have the same types of data files, analysis, types of figures, etc., come up again and again for different research projects. Leverage tools to improve efficiency when working with these "usual suspects". The first time you follow a protocol that is new to you, or the first time you cook a recipe, it takes much longer and much more

thought than it should as you do it over and over—there are some recipes where I only use the cookbook now to figure out the oven temperature or the exact measurement of an ingredient. These tools will help you streamline your project file organization and move towards reuse of modular tools and ideas (e.g., remembering how to make a vinaigrette and applying that regardless of the type of salad) across projects.]

[Analogies for moving to do things more programatically—Tom Sawyer outsourcing the fence painting, sorcerer's apprentice (all the mops, plus some difficulties when you first start, before you get the hang of it).]

[File extensions give an idea of the power of consistent file names. While some operating systems don't require these, by naming all the files that should be opened with, for example, Word ".docx", the operating system can easily do a targeted search that looks for files with certain key words in the name while limiting the search only to Word files. You can leverage this same power yourself, and in a way that's more customized to your project or typical research approach, by using consistent conventions to name your files.]

#### 2.6.4 Subsection 1

One study surveyed over 250 biomedical researchers at the University of Washington. They noted that, "a common theme surrounding data management and analysis was that many researchers preferred to utilize their own individual methods to organize data. The varied ways of managing data were accepted as functional for most present needs. Some researchers admitted to having no organizational methodology at all, while others used whatever method best suited their individual needs." (Anderson et al., 2007) One respondent answered, "They're not organized in any way—they're just thrown into files under different projects," while another said "I grab them when I need them, they're not organized in any decent way," and another, "It's not even organized—a file on a central computer of protocols that we use, common lab protocols but those are just individual Word files within a folder so it's not searchable per se." (Anderson et al., 2007)

"In general, data reuse is most possible when: 1) data; 2) metadata (information describing the data); and 3) information about the process of generating those data, such as code, are all provided." (Goodman et al., 2014)

"So far we have used filenames without ever saying what a legal name is, so it's time for a couple of rules. First, filenames are limited to 14 characters. Second, although you can use almost any character in a filename, common sense says you should stick to ones that are visible, and that you should avoid characters that might be used with other meanings. ... To avoid pitfalls, you would do well to use only letters, numbers, the period and the underscore until you're familiar with the situation [i.e., characters with pitfalls]. (The period and the underscore are conventionally used to divide filenames into chunks...) Finally, don't forget that case distinctions matter—junk, Junk, and JUNK are three different names."

(Kernighan and Pike, 1984)

"The [Unix] system distinguishes your file called 'junk' from anyone else's of the same name. The distinction is made by grouping files into *directories*, rather in the way that books are placed on shelves in a library, so files in different directories can have the same name without any conflict. Generally, each user has a personal or *home directory*, sometimes called login directory, that contains only the files that belong to him or her. When you log in, you are 'in' your home directory. You may change the directory you are working in—often called your working or *current directory*—but your home directory is always the same. Unless you take special action, when you create a new file it is made in your current directory. Since this is initially your home directory, the file is unrelated to a file of the same name that might exist in someone else's directory. A directory can contain other directories as well as ordinary files ... The natural way to picture this organization is as a tree of directories and files. It is possible to move around within this tree, and to find any file in the system by starting at the root of the tree and moving along the proper branches. Conversely, you can start where you are and move toward the root." (Kernighan and Pike, 1984)

"The name '/usr/you/junk' is called the *pathname* of the file. 'Pathname' has an intuitive meaning: it represents the full name of the path from the root through the tree of directories to a particular file. It is a universal rule in the Unix system that wherever you can use an ordinary filename, you can use a pathname."

(Kernighan and Pike, 1984)

"If you work regularly with Mary on information in her directory, you can say 'I want to work on Mary's files instead of my own.' This is done by changing your current directory with the cd command... Now when you use a filename (without the '/'s) as an argument to cat or pr, it refers to the file in Mary's directory. Changing directories doesn't affect any permissions associated with a file—if you couldn't access a file from your own directory, changing to another directory won't alter that fact." (Kernighan and Pike, 1984)

"It is usually convenient to arrange your own files so that all the files related to one thing are in a directory separate from other projects. For example, if you want to write a book, you might want to keep all the text in a directory called 'book'." (Kernighan and Pike, 1984)

"Suppose you're typing a large document like a book. Logically this divides into many small pieces, like chapters and perhaps sections. Physically it should be divided too, because it is cumbersome to edit large files. Thus you should type the document as a number of files. You might have separate files for each chapter, called 'ch1', 'ch2', etc. ... With a systematic naming convention, you can tell at a glance where a particular file fits into the whole. What if you want to print the whole book? You could say \$ pr ch1.1 ch1.2 ch 1.3 ..., but you would soon get bored typing filenames and start to make mistakes. This is where filename shorthand comes in. If you say \$ pr ch\* the shell takes the \* to mean 'any string of characters,' so ch\* is a pattern that matches all filenames in the current directory that begin with ch. The shell creates the list, in alphabetical order, and passes the list to pr. The pr command never sees the \*; the pattern match that the shell does in the current directory generates a list of strings that are passed to pr." (Kernighan and Pike, 1984)

"The current directory is an attribute of a process, not a person or a program. ... The notion of a current directory is certainly a notational convenience, because it can save a lot of typing, but its real purpose is organizational. Related files

belong together in the same directory. '/usr' is often the top directory of a user file system... '/usr/you' is your login directory, your current directory when you first log in. ... Whenever you embark on a new project, or whenever you have a set of related files ... you could create a new directory with `mkdir` and put the files there." (Kernighan and Pike, 1984)

"Despite their fundamental properties inside the kernel, directories sit in the file system as ordinary files. They can be read as ordinary files. But they can't be created or written as ordinary files—to preserve its sanity and the users' files, the kernel reserves to itself all control over the contents of directories." (Kernighan and Pike, 1984)

"A file has several components: a name, contents, and administrative information such as permissions and modifications times. The administrative information is stored in the inode (over the years, the hyphen fell out of 'i-node'), along with essential system data such as how long it is, where on the disc the contents of the file are stored, and so on. ... It is important to understand inodes, not only to appreciate the options on `ls`, but because in a strong sense the inodes are the files. All the directory hierarchy does is provide convenient names for files. The system's name for a file is its *i-number*: the number of the inode holding the file's information. ... It is the i-number that is stored in the first two bytes of a directory, before the name. ... The first two bytes in each directory entry are the only connection between the name of a file and its contents. A filename in a directory is therefore called a *link*, because it links a name in the directory hierarchy to the inode, and hence to the data. The same i-number can appear in more than one directory. The `rmdir` command does not actually remove the inodes; it removes directory entries or links. Only when the last link to a file disappears does the system remove the inode, and hence the file itself. If the i-number in a directory entry is zero, it means that the link has been removed, but not necessarily the contents of the file—there may still be a link somewhere else." (Kernighan and Pike, 1984)

### 2.6.5 Subsection 2

"The file system is the part of the operating system that makes physical storage media like disks, CDs and DVDs, removable memory devices, and other gadgets look like hierarchies of files and folders. The file system is a great example of the distinction between logical organization and physical implementation; file systems organize and store information on many different kinds of devices, but the operating system presents the same interface for all of them." (Kernighan, 2011)

" A *folder* contains the names of other folders and files; examining a folder will reveal more folders and files. (Unix systems traditionally use the word *directory* instead of *folder*.) The folders provide the organizational structure, while the files hold the actual contents of documents, pictures, music, spreadsheets, web pages, and so on. All the information that your computer holds is stored in the file system and is accessible through it if you poke around. This includes not only your data, but the executable forms of programs (a browser, for example), libraries, device drivers, and the files that make up the operating system itself. ... The file system manages all this information, making it accessible for reading and writing by applications and the rest of the operating system. It coordinates accesses so they are performed efficiently and don't interfere with each other,

it keeps track of where data is physically located, and it ensures that the pieces are kept separate so that parts of your email don't mysteriously wind up in your spreadsheets or tax returns." (Kernighan, 2011)

"File system services are available through system calls at the lowest level, usually supplemented by libraries to make common operations easy to program." (Kernighan, 2011)

"The file system is a wonderful example of how a wide variety of physical systems can be made to present a uniform logical appearance, a hierarchy of folders and files." (Kernighan, 2011)

"A folder is a file that contains information about where folders and files are located. Because information about file contents and organization must be perfectly accurate and consistent, the file system reserves to itself the right to manage and maintain the contents of folders. Users and application programs can only change the folder contents implicitly, by making requests of the file system." (Kernighan, 2011)

"In fact, folders *are* files; there's no difference in how they are stored except that the file system is totally responsible for folder contents, and application programs have no direct way to change them. But otherwise, it's just blocks on the disk, all managed by the same mechanisms." (Kernighan, 2011)

"A folder entry for this [example] file would contain its name, its size of 2,500 bytes, the date and time it was created or changed, and other miscellaneous facts about it (permissions, type, etc., depending on the operating system). All of that information is visible through a program like Explorer or Finder. The folder entry also contains information about where the file is stored on disk—which of the 100 million blocks [on the example computer's hard disk] contain its bytes. There are different ways to manage that location information. The folder entry could contain a list of block numbers; it could refer to a block that itself contains a list of block numbers; or it could contain the number of the first block, which in turn gives the second block, and so on. ... Blocks need not be physically adjacent on disk, and in fact they typically won't be, at least for large files. A megabyte file will occupy a thousand blocks, and those are likely to be scattered to some degree. The folders and the block lists are themselves stored in blocks..." (Kernighan, 2011)

"When a program wants to access an existing file, the file system has to search for the file starting at the root of the file system hierarchy, looking for each component of the file path name in the corresponding folder. That is, if the file is /Users/bwk/book/book.txt on a Mac, the file system will search the root of the file system for `Users`, then search within that folder for `bwk`, then within that folder for `book`, then within that for `book.txt`. ... This is a divide-and-conquer strategy, since each component of the path narrows the search to files and folders that lie within that folder; all others are eliminated. Thus multiple files can have the same name for some component; the only requirement is that the full path name be unique. In practice, programs and the operating system keep track of the folder that is currently in use so searches need not start from the root each time, and the system is likely to cache frequently-used folders to speed up operations." (Kernighan, 2011)

“When quitting R, the option is given to save the ‘workspace image’. The workspace consists of all values that have been created during a session—all of the data values that have been stored in RAM. The workspace is saved as a file called .Rdata and then R starts up, it checks for such a file in the current working directory and loads it automatically. This provides a simple way of retaining the results of calculations from one R session to the next. However, saving the entire R workspace is not the recommended approach. It is better to save the original data set and R code and re-create results by running the code again.”  
(Murrell, 2009)

“Just as a well-organized laboratory makes a scientist’s life easier, a well-organized and well-documented project makes a bioinformatician’s life easier. Regardless of the particular project you’re working on, your project directory should be laid out in a consistent and understandable fashion. Clear project organization makes it easier for both you and collaborators to figure out exactly where and what everything is. Additionally, it’s much easier to automate tasks when files are organized and clearly named. For example, processing 300 gene sequences stored in separate FASTA files with a script is trivial if these files are organized in a single directory and are consistently named.” (Buffalo, 2015)

“Project directory organization isn’t just about being tidy, but is essential to the way by which tasks are automated across large numbers of files” (Buffalo, 2015)

“All files and directories used in your project should live in a single project directory with a clear name. During the course of a project, you’ll have amassed data files, notes, scripts, and so on—if these were scattered all over your hard drive (or worse, across many computers’ hard drives), it would be a nightmare to keep track of everything. Even worse, such a disordered project would later make your research nearly impossible to reproduce.” (Buffalo, 2015)

“Naming files and directories on a computer matters more than you may think. In transitioning from a graphical user interface (GUI) based operating system to the Unix command line, many folks bring the bad habit of using spaces in file and directory names. This isn’t appropriate in a Unix-based environment, because spaces are used to separate arguments in commands. … Although Unix doesn’t require file extensions, including extensions in file names helps indicate the type of each file. For example, a file named *osativa-genes.fasta* makes it clear that this is a file of sequences in FASTA format. In contrast, a file named *osativa-genes* could be a file of gene models, notes on where these *Oryza sativa* genes came from, or sequence data. When in doubt, explicit is always better than implicit when it comes to filenames, documentation, and writing code.” (Buffalo, 2015)

“Scripts and analyses often need to refer to other files (such as data) in your project hierarchy. This may require referring to parent directories in your directory’s hierarchy … In these cases, it’s important to always use *relative paths* … rather than *absolute paths* … As long as your internal project directory structure remains the same, these relative paths will always work. In contrast, absolute paths rely on your particular user account and directory structures details *above* the project directory level (not good). Using absolute paths leaves your work less portable between collaborators and decreases reproducibility.” (Buffalo, 2015)

“Document the origin of all data in your project directory. You need to keep track of where data was downloaded from, who gave it to you, and any other relevant

information. ‘Data’ doesn’t just refer to your project’s experimental data—it’s any data that programs use to create output. This includes files your collaborators send you from their separate analyses, gene annotation tracks, reference genomes, and so on. It’s critical to record this important data about your data, or *metadata*. For example, if you downloaded a set of genic regions, record the website’s URL. This seems like an obvious recommendation, but countless times I’ve encountered an analysis step that couldn’t be easily reproduced because someone forgot to record the data’s source.” (Buffalo, 2015)

“Record data version information. Many databases have explicit release numbers, version numbers, or names (e.g., TAIR10 version of genome annotation for *Arabidopsis thaliana*, or Wormbase release WS231 for *Caenorhabditis elegans*). It’s important to record all version information in your documentation, including minor version numbers.” (Buffalo, 2015)

“Describe how you downloaded the data. For example, did you use MySQL to download a set of genes? Or the UCSC Genome Browser? These details can be useful in tracking down issues like when data is different between collaborators.” (Buffalo, 2015)

“Bioinformatics projects involve many subprojects and subanalyses. For example, the quality of raw experimental data should be assessed and poor quality regions removed before running it through bioinformatics tools like aligners or assemblers. … Even before you get to actually analyzing the sequences, your project directory can get cluttered with intermediate files. Creating directories to logically separate subprojects (e.g., sequencing data quality improvement, aligning, analyzing alignment results, etc.) can simplify complex projects and help keep files organized. It also helps reduce the risk of accidentally clobbering a file with a buggy script, as subdirectories help isolate mishaps. Breaking a project down into subprojects and keeping these in separate subdirectories also makes documenting your work easier; each README pertains to the directory it resides in. Ultimately, you’ll arrive at your own project organization system that works for you; the take-home point is: leverage directories to help stay organized.” (Buffalo, 2015)

“Because automating file processing tasks is an integral part of bioinformatics, organizing our projects to facilitate this is essential. Organizing data into subdirectories and using clear and consistent file naming schemes is imperative—both of these practices allow us to *programmatically* refer to files, the first step to automating a task. Doing something programmatically means doing it through code rather than manually, using a method that can effortlessly scale to multiple objects (e.g., files). Programmatically referring to multiple files is easier and safer than typing them all out (because it’s less error prone).” (Buffalo, 2015)

“Organizing data files into a single directory with consistent filenames prepares us to iterate over *all* of our data, whether it’s the four example files used in this example, or 40,000 files in a real project. Think of it this way: remember when you discovered you could select many files with your mouse cursor? With this trick, you could move 60 files as easily as six files. You could also select certain file types (e.g., photos) and attach them all to an email with one movement. By using consistent file naming and directory organization, you can do the same programmatically using the Unix shell and other programming languages.” (Buffalo, 2015)

“Because lots of daily bioinformatics work involves file processing, programmatically accessing files makes our job easier and eliminates mistakes from mistyping a filename or forgetting a sample. However, our ability to programmatically access files with wildcards (or other methods in R or Python) is only possible when our filenames are consistent. While wildcards are powerful, they’re useless if files are inconsistently named. ... Unfortunately, inconsistent naming is widespread across biology, and is the source of bioinformaticians everywhere. Collectively, bioinformaticians have probably wasted thousands of hours fighting others’ poor naming schemes of files, genes, and in code.” (Buffalo, 2015)

“Another useful trick is to use leading zeros ... when naming files. This is useful because lexicographically sorting files (as `ls` does) leads to correct ordering. ... Using leading zeros isn’t just useful when naming filenames; this is also the best way to name genes, transcripts, and so on. Projects like Ensembl use this naming scheme in naming their genes (e.g., `ENSG00000164256`).” (Buffalo, 2015)

“In addition to simplifying working with files, consistent naming is an often overlooked component of robust bioinformatics. Bad naming schemes can easily lead to switched samples. Poorly chosen filenames can also cause serious errors when you or collaborators think you’re working with the correct data, but it’s actually outdated or the wrong file. I guarantee that out of all the papers published in the past decade, at least a few and likely many more contain erroneous results because of a file naming issue.” (Buffalo, 2015)

“In order to read or write a file, the first thing we need to be able to do is specify which file we want to work with. Any function that works with a file requires a precise description of the name of the file and the location of the file. A filename is just a character value..., but identifying the location of a file can involve a **path**, which describes a location on a persistent storage medium, such as a hard drive.” (Murrell, 2009)

“A regular expression consists of a mixture of **literal** characters, which have their normal meaning, and **metacharacters**, which have a special meaning. The combination describes a **pattern** that can be used to find matches amongst text values.” (Murrell, 2009)

“A regular expression may be as simple as a literal word, such as `cat`, but regular expressions can also be quite complex and express sophisticated ideas, such as `[a-z]{3,4}[0-9]{3}`, which describes a pattern consisting of either three or four lowercase letters followed by any three digits.” (Murrell, 2009)

“... it’s important to mind R’s working directory. Scripts should *not* use `setwd()` to set their working directory, as this is not portable to other systems (which won’t have the same directory structure). For the same reason, use *relative paths* ... when loading in data, and *not* absolute pathers... Also, it’s a good idea to indicate (either in comments or a `README` file) which directory the user should set as their working directory.” (Buffalo, 2015)

**“Centralize the location of the raw data files and automate the derivation of intermediate data.** Store the input data on a centralized file server that is professionally backed up. Mark the files as read-only. Have a clear and linear workflow for computing the derived data (e.g., normalized, summarized,

transformed, etc.) from the raw files, and store these in a separate directory. Anticipate that this workflow will need to be run several times, and version it. Use the BiocFileCache package to mirror these files on your personal computer. [footnote: A more basic alternative is the rsync utility. A popular solution offered by some organizations is based on ownCloud. Commercial options are Dropbox, Google Drive and the like].” (Holmes and Huber, 2018)

### 2.6.6 Practice quiz

## 2.7 Creating ‘Project’ templates

Researchers can use RStudio’s ‘Projects’ can facilitate collecting research files in a single, structured directory, with the added benefit of easy use of version control. Researchers can gain even more benefits by consistently structuring all their ‘Project’ directories. We will demonstrate how to implement structured project directories through RStudio, as well as how RStudio enables the creation of a ‘Project’ for initializing consistently-structured directories for all of a research group’s projects.

**Objectives.** After this module, the trainee will be able to:

- Be able to create a structured Project directory within RStudio
- Understand how RStudio can be used to create ‘Project’ templates

The last module describe the advantages of organizing all the files for a research project within a single file directory, as well as the added advantages of making that file directory an RStudio “Project”. In this module, we’ll walk through the steps required to do that, as well as how to navigate and use the “Project” structure and functionality to make it easier to integrate project files, code, and final output like reports and presentation slides. If you have created a standardized file directory structure that you will use as a starting point for all of your research projects, then it can save time to create an RStudio Project Template with this structure. This way, you can set up a new directory, including all the subdirectories you want to use and any code or report templates that might be useful, by just opening a new project with this template through RStudio.

### 2.7.1 Making an existing file directory an RStudio Project

It’s very easy to turn an existing file directory into an RStudio Project. Open RStudio, and then in its menu go to “File” and then “New Project”. This will open a pop-up window with several options, including the option to create a new RStudio Project from an existing directory. Choose this option, and then in the window that is opened, navigate through your file directories to the directory with your project files.

This will create a new RStudio Project with the same name as the file directory name of the directory you selected [check this]. Once you have created the directory, RStudio will automatically move you into that Project. When you

close RStudio and reopen it, it will automatically open in the last Project you had open. There is a small tab in the top right hand corner of the RStudio window that lists the project you are currently in. To move to a different Project, you can click on the down arrow beside this project name. There will be a list of your most recent projects, as well as options to open any Project on your computer. If you want to work in RStudio, but not in any of the Projects, you can choose to “Close Project”.

When you are working in an RStudio Project, RStudio will automatically move your working directory to be the top-level directory of the Project directory. This makes it easy to write code that uses this directory as the presumed working directory, using relative file paths to identify and files within the directory. For example . . . Now if you share the project directory with someone else, they can similarly open the RStudio Project in their own version of RStudio, and all the relative pathnames to files should work on their system without any problems. This feature helps make code in an RStudio Project directory reproducible across different people’s computers.

The RStudio Project environment has some other features, as well, that may be useful for some projects. For example, if you are tracking the project directory under the git version control system, then when you open the RStudio Project, there will be a special tab in one of the panes to help in using git with the project. This tab provides a visual interface for you to commit changes you’ve made, so they are tracked and can be reversed if needed, and also so you can easily push and pull these committed changes to and from a remote repository, like a GitHub repository, if you are collaborating with others.

For certain types of projects, you may also want to include a “Makefile”. [More about Makefiles]. If you add this to an RStudio Project, you will get a new “Build” tab that allows you to run the Makefile for the project with the click of a button. For some more complex RStudio Projects, like projects that use RMarkdown to create online books or websites using bookdown and blogdown, this “Build” pane will allow you to render the whole book.

### 2.7.2 *Making an RStudio Project Template*

If you have created a template directory for research projects for your group, you can create an RStudio Project template to make it easy to set up a new project directory every time you start a project. At its most basic, this can be a directory that includes the subdirectories (with standardized names for each subdirectory) that you want to include—for example, you may know that you will always want the project directory to include subdirectories for “raw\_data” (with its own subdirectories for different types of data, for example for “cfus” and “flow”), “data” (with clean versions of the data, after conducting and needed preprocessing, like calculating CFUs in a sample based on data from plating at different dilutions, or the output from gating flow cytometry data), “reports” (for writing, posters, and presentation slides), and “R” (for common

scripts that you use for preprocessing, visualization, and data analysis).

As you progress, you may also want to add templates that serve as a starting point for files within this project. For example, if you always want to collect observed data in a standard way, you could create a template for data collection, for example as a CSV file. Each researcher in your lab could copy and rename this file each time they collect a new set of data—by ensuring a common structure when collecting the data, including file format, column names, and so on, you can build code scripts that will work on data collected for all your experiments. You may also have some standard reports that you want to create with types of data you commonly collect, and so you could include templates for those reports in your R Project template. Again, these can be copied and adapted within the project—the template serves as a starting point so you don't have to start with a blank slate with every project, but it is not restrictive and can be adapted to each project as you work on that project.

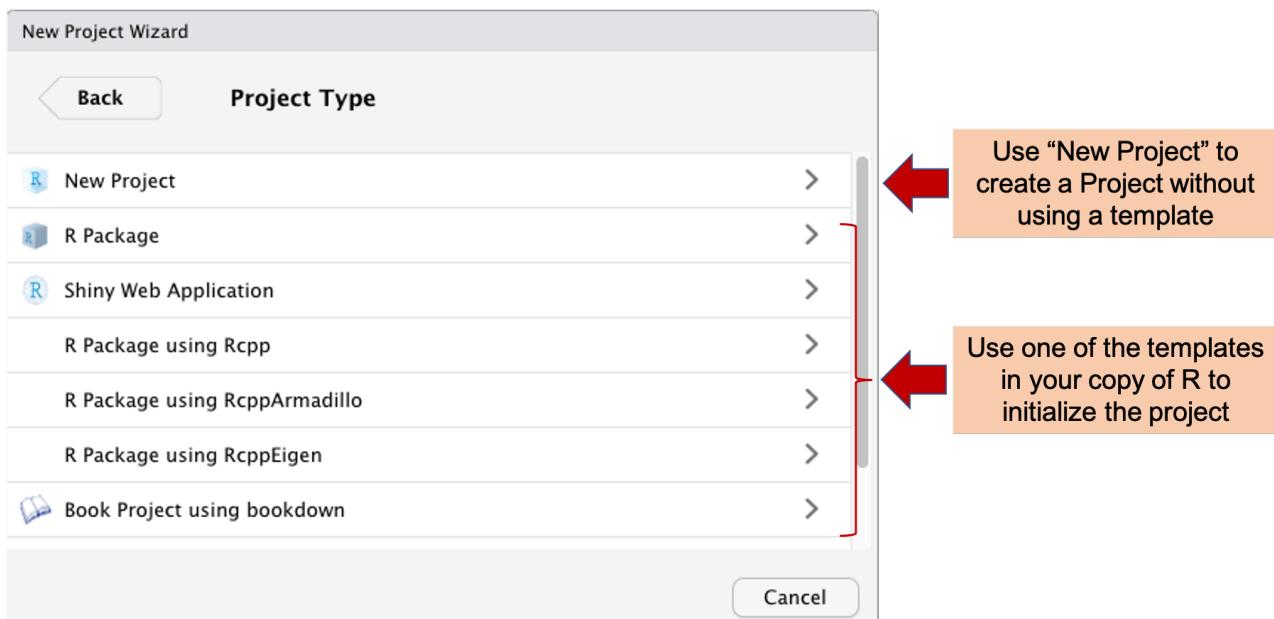
#### [How to create a template]

You can have different templates to use when you create a new project. A template will provide a basic set-up for the project. For example, R packages are created within a directory, and package developers now often use an R Project for that directory. Since R packages have a consistent set of usual subdirectories—including subdirectories for R code, data, and documentation and a file for metadata—there is now a Project Template specifically for R package development, and this sets up a directory with some of the typical subdirectories and files needed for these projects.

You may find, similarly, that there are typical structures and files that your research laboratory includes in the R Projects it creates for research projects. In this case, someone in your lab can create an R Project template that can be used each time a new project is initialized for the lab. This will help create consistency across projects in the directory structure, which can facilitate the use and re-use of automated tools like code scripts across different experiments.

When you create a new project in R, you will have the option to use any of the available project templates currently downloaded to your copy of R (rst, 2021). To create a new project, go to the “File” menu in the top menu bar in RStudio, and then choose “New Project”. This will open a pop-up box like the one shown in Figure 2.4.

This pop-up contains the New Project Wizard in RStudio. Here, you can either create a new Project without using a template (click on “New Project”) or you can create a Project starting from a template. The templates available in your copy of R will be listed below the “New Project” listing. Depending on which packages you've installed for your copy of R, you will have different choices of project templates available, as project templates tend to be created and shared within R packages (rst, 2021). In the example shown in Figure 2.4, for example, one of the template options is for a “Book Project using bookdown”, available because the bookdown R package has been installed locally.



Your research group can create your own Project templates. You will need to create them within an R package, but this package does not need to be posted to a public site like CRAN. Instead, it can be shared exclusively among the research group as a zipped file that can be installed directly from source onto each person's computer. Alternatively, you can post the package code as a GitHub repository, and there are straightforward tools for installing R package code from GitHub onto each team member's computer. RStudio has provided a detailed guide to creating your own project template at [https://rstudio.github.io/rstudio-extensions/rstudio\\_project\\_templates.html](https://rstudio.github.io/rstudio-extensions/rstudio_project_templates.html). This topic has also been discussed through a short talk at the yearly RStudio::conf: <https://rstudio.com/resources/rstudioconf-2020/rproject-templates-to-automate-and-standardize-your-workflow/>.

"RStudio v1.1 introduces support for custom, user-defined project templates. Project templates can be used to create new projects with a pre-specified structure." (rst, 2021)

"R packages are the primary vehicle through which RStudio project templates are distributed. Package authors can provide a small bit of metadata describing the template functions available in their package—RStudio will discover these project templates on start up, and make them available in the New Project... dialog." (rst, 2021)

"R experts keep all the files associated with a project together—input data, R scripts, analytical results, figures. This is such a wise and common practice that RStudio has built-in support for this via **projects**." (Wickham and Grolemund, 2016)

Figure 2.4: Creating a new project in RStudio. When you chose 'File' then 'New Project' from the RStudio menu, it opens the New Project Wizard shown here. You have the option to create a new project that is not based on a project template by selecting 'New Project'. You also have the chance to create a project using a template by selecting one of the templates. The listed templates will depend on which packages you have downloaded for your copy of R. For example, here the 'bookdown' package has been installed for the local copy of R, and so a template is available for 'Book Project using bookdown'.

### 2.7.3 Discussion questions

## 2.8 Example: Creating a ‘Project’ template

We will walk through a real example, based on the experiences of one of our Co-Is, of establishing the format for a research group’s ‘Project’ template, creating that template using RStudio, and initializing a new research project directory using the created template. This example will be from a laboratory-based research group that studies the efficacy of tuberculosis drugs in a murine model.

**Objectives.** After this module, the trainee will be able to:

- Create a ‘Project’ template in RStudio to initialize consistently-formatted ‘Project’ directories
- Initialize a new ‘Project’ directory using this template

### 2.8.1 Subsection 1

### 2.8.2 Subsection 2

### 2.8.3 Applied exercise

## 2.9 Harnessing version control for transparent data recording

As a research project progresses, a typical practice in many experimental research groups is to save new versions of files (e.g., ‘draft1.doc’, ‘draft2.doc’), so that changes can be reverted. However, this practice leads to an explosion of files, and it becomes hard to track which files represent the ‘current’ state of a project. Version control allows researchers to edit and change research project files more cleanly, while maintaining the power to ‘backtrack’ to previous versions, messages included to explain changes. We will explain what version control is and how it can be used in research projects to improve the transparency and reproducibility of research, particularly for data recording.

**Objectives.** After this module, the trainee will be able to:

- Describe version control
- Explain how version control can be used to improve reproducibility for data recording

### 2.9.1 What is version control?

Version control developed as a way to coordinate collaborative work on software programming projects. The term “version” here refers to the current state of a document or set of documents, for example the source code for a computer program. The idea of “control” is to allow for safe changes and updates to this version while more than one person is working on it. The general term “version control” can refer to any method of syncing contributions from

several people to a file or set of files, and very early on it was done by people rather than through a computer program. While version control of computer files can be done by people, and originally was (Irving, 2011), it's much more efficient to use a computer program to handle this tracking of the history of a set of files as they evolve.

"Tracking all that detail is just the sort of thing computers are good at and humans are not." (Raymond, 2003)

While the very earliest version control systems tracked single files, these systems quickly moved to tracking sets of files, called *repositories*. You can think of a repository as a computer file directory with some extra overhead added to record how the files in the directory have changed over time. In a repository of files that is under version control, you take regular "snapshots" of how the files look during your work on them. Each snapshot is called a *commit*, and it provides a record of which lines in each file changed from one snapshot to another, as well as exactly how they changed. The idea behind these commits—recording the differences, line-by-line, between an older and newer version of each file derives from a longstanding Unix command line tool called *diff*. This tool, developed early in the history of Unix at AT&T (Raymond, 2003), is an extremely solid and well-tested tool that did the simple but important job of generating a list of all the differences between two plain text files.

When you are working with a directory under version control, you can also explain your changes as you make them—in other words, it allows for *annotation* of the developing and editing process (Raymond, 2009). Each commit requires you to enter a *commit message* describing why the change was made. The commit messages can serve as a powerful tool for explaining changes to other team members or for reminding yourself in the future about why certain changes were made. As a result, a repository under version control includes a complete history of how files in a project directory have changed over the timecourse of the project and why. Further, each of the commits is given its own ID tag (a unique SHA-1 hash), and version control systems have a number of commands that let you "roll back" to earlier versions, by going back to the version as it was when a certain commit was made, provided *reversability* within the project files (Raymond, 2009).

It turns out that this functionality—of being able to "roll back" to earlier versions—has a wonderful side benefit when it comes to working on a large project. It means that you *don't* need to save earlier versions of each file. You can maintain one and only one version of each project file in the project's directory, with the confidence that you never "lose" old versions of the file (Perkel, 2018; Blischak et al., 2016). This allows you to maintain a clean and simple version of the project files, with only one copy of each, ensuring it's always clear which version of a file is the "current" one (since there's only one version). This also provides the reassurance that you can try new directions in a project, and always roll back to the old version if that direction doesn't work

well.

"Early in his graduate career, John Blischak found himself creating figures for his advisor's grant application. Blischak was using the programming language R to generate the figures, and as he iterated and optimized his code, he ran into a familiar problem: Determined not to lose his work, he gave each new version a different filename—analysis\_1, analysis\_2, and so on, for instance—but failed to document how they had evolved. 'I had no idea what had changed between them,' says Blischak... Using Git, Blischak says, he no longer needed to maintain multiple copies of his files. 'I just keep overwriting it and changing it and saving the snapshots. And if the professor comes back and says, 'oh, you sent me an email back in March with this figure', I can say, 'okay, well, I'll just go back to the March version of my code and I can recreate it'." (Perkel, 2018)

Finally, most current version control systems operate under a *distributed* framework. In earlier types of version control programs, there was one central ("main") repository for the file or set of files the team was working on (Raymond, 2009; Target, 2018). Very early on, this was kept on one computer (Irving, 2011). A team member who wanted to make a change would "check out" the file he or she wanted to work on, make changes, and then check it back in as the newest main version (Raymond, 2003). While one team member had this file checked out, other members would often be "locked" out of making any changes to that file—they could look at it, but couldn't make any edits (Raymond, 2009; Target, 2018). This meant that there was no chance of two people trying to change the same part of a file at the same time. In spirit, this early system is pretty similar to the idea of sending a file around the team by email, with the understanding that only one person works on it at a time. While the "main" version is in different people's hands at different times, to do work, you all agree that only one person will work on it at a time. A slightly more modern analogy is the idea of having a single version of a file in Dropbox or Google Docs, and avoiding working on the file when you see that another team member is working on it.

This system is pretty clunky, though. In particular, it usually increases the amount of time that it takes the team to finish the project, because only one person can work on a file at a time. Later types of version control programs moved toward a different style, allowing for *distributed* rather than *centralized* collaborative work on a file or a set of files (Raymond, 2009; Irving, 2011). Under the distributed model, all team members can have their own version of all the files, work on them and make records of changes they make to the files, and then occasionally sync with everyone else to share your changes with them and bring their changes into your copy of the files. This distributed model also means there is a copy of the full repository on every team members computer, which has the side benefit of provided natural backup of the project files. Remote repositories—which may be on a server in a different location—can be added with another copy of the project, which can similarly be synced regularly to update with any changes made to project files.

While there are a number of software systems for version control, by far the most common currently used for scientific projects is *git*. This program was created by Linus Torvalds, who also created the Linux operating system, in 2005 as a way to facilitate the team working on Linux development. This program for version control thrives in large collaborative projects, for example open-source software development projects that include numerous contributors, both regular and occasional (Brown, 2018).

In recent years, some complementary tools have been developed that make the process of collaborating together using version control software easier. Other tools can help in collaborating on file-based projects, including *bug trackers* or *issue trackers*, which allow the team to keep a running “to-do” list of what needs to be done to complete the project, all of which are discussed in the next chapter as tools that can be used to improve collaboration on scientific projects spread across teams. GitHub, a very popular version control platform with these additional tools, was created in 2008 as a web-based platform to facilitate collaborating on projects running under git version control. It can provide an easier entry to using git for version control than trying to learn to use git from the command line (Perez-Riverol et al., 2016). It also plays well with RStudio, making it easy to integrate a collaborative workflow through GitHub from the same RStudio window on your computer where you are otherwise doing your analysis (Perez-Riverol et al., 2016).

“If your software engineering career, like mine, is no older than GitHub, then git may be the only version control software you have ever used. While people sometimes grouse about its steep learning curve or unintuitive interface, git has become everyone’s go-to for version control.” (Target, 2018)

### 2.9.2 Recording data in the laboratory—from paper to computers

Traditionally, experimental data collected in a laboratory was recorded in a paper laboratory notebook. These laboratory notebooks played a role not only as the initial recording of data, but also can serve as, for example, a legal record of the data recorded in the lab (Mascarelli, 2014). They were also a resource for collaborating across a team and for passing on a research project from one lab member to another (Butler, 2005).

However, paper laboratory notebooks have a number of limitations. First, they can be very inefficient. In a time when almost all data analyses—even simple calculations—are done on a computer, recording research data on paper rather than directly entering it into a computer is inefficient. Also, any stage of copying data from one format to another, especially when done by a human rather than a machine, introduces the chance to copy errors. Handwritten laboratory notebooks can be hard to read (Butler, 2005; Perkel, 2011), and may lack adequate flexibility and expandability to handle the complex experiments often conducted. Further, electronic alternatives can also be easier to search, allowing for deeper and more comprehensive investigations of the data collected across multiple experiments (Giles, 2012; Butler, 2005; Perkel, 2011).

"Handwritten lab notebooks are usually chaotic and always unsearchable."  
(Perkel, 2011)

Given a widespread recognition of the limitations of paper laboratory notebooks, in the past couple of decades, there have been a number of efforts, both formal and informal, to move from paper laboratory notebooks to electronic alternatives. In some fields that rely heavily on computational analysis, there are very few research labs (if any) that use paper laboratory notebooks (Butler, 2005). In other fields, where researchers have traditionally used paper lab notebooks, companies have been working for a while to develop electronic laboratory notebooks specifically tailored to scientific research needs (Giles, 2012). These were adopted more early in pharmaceutical industrial labs, where companies had the budgets to get customized versions and the authority to require their use, but have taken longer to be adapted in academic laboratories (Giles, 2012; Butler, 2005). A widely adopted platform for electronic laboratory notebooks has yet to be taken up by the scientific community, despite clear advantages of recording data directly into a computer rather than first using a paper notebook.

"Since at least the 1990s, articles on technology have predicted the imminent, widespread adoption of electronic laboratory notebooks (ELNs) by researchers. It has yet to happen—but more and more scientists are taking the plunge."  
(Kwok, 2018)

Instead of using customized electronic laboratory notebook software, some academics are moving their data recording online, but are using more generalized electronic alternatives, like Dropbox, Google applications, OneNote, and Evernote (Perkel, 2011; Kwok, 2018; Giles, 2012; Powell, 2012). Some scientists have started using version control tools, especially the combination of git and GitHub, as a way to improve laboratory data recording, and in particular to improve transparency and reproducibility standards. These pieces of software share the same pattern as Google tools or Dropbox—they are generalized tools that have been honed and optimized for ease of use through their role outside of scientific research, but can be harnessed as a powerful tool in a scientific laboratory, as well. They are also free—at least, for GitHub, at the entry and academic levels—and, even better, one (git) is open source.

"The purpose of a lab notebook is to provide a lasting record of events in a laboratory. In the same way that a chemistry experiment would be nearly impossible without a lab notebook, scientific computing would be a nightmare of inefficiency and uncertainty without version-control systems." (Tippmann, 2014)

While some generalized tools like Google tools and Dropbox might be simpler to initially learn, version control tools offer some key advantages for recording scientific data and are worth the effort to adopt. A key advantage is their ability to track the full history of files as they evolve, including not only the history of changes to each file, but also a record of why each change was made.

Git excels in tracking changes made to plain text files. For these files, whether they record code, data, or text, git can show line-by-line differences between two versions of the file. This makes it very easy to go through the history of “commits” to a plain text file in a git-tracked repository and see what change was made at each time point, and then read through the commit messages associated with those commits to see why a change was made. For example, if a value was entered in the wrong row of a csv, and the researcher then made a commit to correct that data entry mistake, the researcher could explain the problem and its resolution in the commit message for that change.

Platforms for using git often include nice tools for visualizing differences between two files, providing a more visual way to look at the “diffs” between files across time points in the project. For example, GitHub automatically shows these using colors to highlight additions and subtractions of plain text for one file compared to another version of it when you look through a repository’s commit history. Similarly, RStudio provides a new “Commit” window that can be used to compare differences between the original and revised version of plain text files at a particular stage in the commit history.

The use of version control tools and platforms, like git and GitHub, not only helps in transparent and trackable recording of data, but it also brings some additional advantages in the research project. First, this combination of tools aids in collaboration across a research group, as we discuss in depth in the next chapter.

Second, if a project uses these tools, it is very easy to share data recorded for the project publicly. In a project that uses git and GitHub version control tools, it is easy to share the project data online once an associated manuscript is published, an increasingly common request or requirement from journals and funding agencies (Blischak et al., 2016). Sharing data allows a more complete assessment of the research by reviewers and readers and makes it easier for other researchers to build off the published results in their own work, extending and adapting the code to explore their own datasets or ask their own research questions (Perez-Riverol et al., 2016). On GitHub, you can set the access to a project to be either public or private, and can be converted easily from one form to the other over the course of the project (Metz, 2015). A private project can be viewed only by fellow team members, while a public project can be viewed by anyone. Further, because git tracks the full history of changes to these documents, it includes functionality that lets you tag the code and data at a specific point (for example, the date when a paper was submitted) so that viewers can look at that specific “version” of the repository files, even while the project team continues to move forward in improving files in the directory. At the more advanced end of functionality, there are even ways to assign a DOI to a specific version of a GitHub repository (Perez-Riverol et al., 2016).

Third, the combination of git and GitHub can help as a way to backup study data (Blischak et al., 2016; Perez-Riverol et al., 2016; Perkel, 2018). Together, git and GitHub provide a structure where the project directory (repository)

is copied on multiple computers, both the users' laptop or desktop computers and on a remote server hosted by GitHub or a similar organization. This set-up makes it easy to bring all the project files onto a new computer—all you have to do is clone the project repository. It also ensures that there are copies of the full project directory, including all its files, in multiple places (Blischak et al., 2016). Further, not only is the data backed up across multiple computers, but so is the full history of all changes made to that data and the recorded messages explaining those changes, through the repositories commit messages (Perez-Riverol et al., 2016).

There are, of course, some limitations to using version control tools when recording experimental data. First, while ideally laboratory data is recorded in a plain text format (see the module in section 2.2 for a deeper discussion of why), some data may be recorded in a binary file format. Some version control tools, including git, can be used to track changes in binary files. However, git does not take to these types of files naturally. In particular, git typically will not be able to show users a useful comparison of the differences between two versions of a binary file. More problems can arise if the binary file is very large (Perez-Riverol et al., 2016; Blischak et al., 2016), as some experimental research data files are (e.g., if they are high-throughput output of laboratory equipment like a mass spectrometer). However, there are emerging tools and strategies for improving the ability to include and track large binary files when using git and GitHub (Blischak et al., 2016)

"You can version control any file that you put in a Git repository, whether it is text-based, an image, or a giant data file. However, just because you *can* version control something, does not mean that you *should*." (Blischak et al., 2016)

Finally, as with other tools and techniques described in this book, there is an investment required to learn how to use git and GitHub (Perez-Riverol et al., 2016), as well as a bit of extra overhead when using version control tools in a project (Raymond, 2003). However, both can bring dramatic gains to efficiency, transparency, and organization of research projects, even if you only use a small subset of its basic functionality (Perez-Riverol et al., 2016). In Chapter 11 we provide guidance on getting started with using git and Github to track a scientific research project.

"Although Git has a complex set of commands and can be used for rather complex operations, learning to apply the basics requires only a handful of new concepts and commands and will provide a solid ground to efficiently track code and related content for research projects." (Perez-Riverol et al., 2016)

### 2.9.3 Discussion questions

## 2.10 Enhance the reproducibility of collaborative research with version control platforms

Once a researcher has learned to use *git* on their own computer for local version control, they can begin using version control platforms (e.g., *GitLab*, *GitHub*) to collaborate with others under version control. We will describe how a research team can benefit from using a version control platform to work collaboratively.

**Objectives.** After this module, the trainee will be able to:

- List benefits of using a version control platform to collaborate on research projects, particularly for reproducibility
- Describe the difference between version control (e.g., *git*) and a version control platform (e.g., *GitLab*)

### 2.10.1 What are version control platforms?

The last module introduced the idea of version control, including the popular software tool often used for version control, *git*. In this module, we'll go a step further, telling you about how you can expand the idea of version control to leverage it when collaborating across your research team, using **version control platforms**.

When research groups—or any other professional teams—collaborate on publications and research, the process can be a bit haphazard. Teams often use emails and email attachments to share updates on the project, and email attachments to pass around the latest version of a document for others to review and edit. For example, one group of researchers investigated a large collection of emails from Enron (Hermans and Murphy-Hill, 2015). They found that passing Excel files through email attachments was a common practice, and that messages within emails suggested that spreadsheets were stored locally, rather than in a location that was accessible to all team members (Hermans and Murphy-Hill, 2015), which meant that team members might often be working on different versions of the same spreadsheet file. They note that “the practice of emailing spreadsheets is known to result in serious problems in terms of accountability and errors, as people do not have access to the latest version of a spreadsheet, but need to be updated of changes via email.” (Hermans and Murphy-Hill, 2015) The same process for collaboration is often used in scientific research, as well: one study found, “Team members regularly pass data files back and forth by hand, by email, and by using shared lab or project servers, websites, and databases.” (Edwards et al., 2011)

“The most primitive (but still very common) method [of version control] is all hand-hacking. You snapshot the project periodically by manually copying everything in it to a backup. You include history comments in source files. You

make verbal or email arrangements with other developers to keep their hands off certain files while you hack them. ... The hidden costs of this hand-hacking method are high, especially when (as frequently happens) it breaks down. The procedures take time and concentration; they're prone to error, and tend to get slipped under pressure or when the project is in trouble—that is exactly when they are needed." (Raymond, 2003)

These practices make it very difficult to keep track of all project files, and in particular, to track which version of each file is the most current. Further, this process constrains patterns of collaboration—it requires each team member to take turns in editing each file, or for one team member to attempt to merge in changes that were made by separate team members at the same time when all versions are collected. Further, this process makes it difficult to keep track of why changes were made, and often requires one team member to approve the changes of other team members. While the "Track changes" and comment features can help the team communicate with each other, but these features often lead to a very messy document at stages in the editing, where it is hard to pick out the current versus suggested wording, and once a change is accepted or a comment deleted, these conversations are typically lost forever. Finally, word processing tools are poorly suited to track changes or add suggestions directly to data or code, as both data and code are usually saved in formats that aren't native to word processing programs, and copying them into a format like Word can introduce problematic hidden formatting that can cause the data or code to malfunction.

A version control platform allows you to share project files across a group of collaborators while keeping track of what changes are made, who made each change, and why each change was made. It therefore combines the strengths of a "Track changes" feature with those of a file sharing platform like Dropbox. To some extent, Google Docs or Google Drive also combine these features, and some spreadsheet programs are moving toward some rudimentary functionality for version control (Birch et al., 2018). However, there are added advantages of version control platforms. Since open-source version control platforms like GitHub can be set up on a server that you own, they can be used to collaborate on projects with sensitive data, and also can store data directly on the server you would like to use to store large project datasets or to run computationally-intensive pre-processing or analysis. Finally, most version control platforms include tools that help you manage and track the project. These include "Issue Trackers", tools for exploring the history of each file and each change, and features to assign project tasks to specific team members. The next section will describe the features of version control platforms that make them helpful as a tool for collaborating on scientific research. These systems are being leveraged by some scientists, both to manage research projects and also to collaborate on writing scientific manuscripts and grant proposals (Perez-Riverol et al., 2016).

"Using GitHub or any similar versioning / tracking system is not a replacement for

good project management; it is an extension, an improvement for good project and file management.” (Perez-Riverol et al., 2016)

Version control platforms are always used in conjunction with version control software, like the *git* software described in the last module. Version control itself has been described as “a suite of programs that automates away most of the drudgery involved in keeping an annotated history of your project and avoiding modification conflicts,” (Raymond, 2003). The version control platform leverages the history of commits that were made to the project, as well as the version control software’s capabilities for merging changes made by different people at different times. On top of these facilities, a version control platform also adds attractive visual interfaces for working with the project, free or low-cost online hosting of project files, and team management tools for each project. You can think of *git* as the engine, in other words, and the version control platform as the driver’s seat, with dashboard, steering wheel, and gears to leverage the power of the underlying *git* software.

A number of version control platforms are available. Two that are currently very popular for scientific research are GitHub (<https://github.com/>) and GitLab (<https://about.gitlab.com/>). Both provide free options for scientific researchers, including the capabilities for using both public and private repositories in collaboration with other researchers.

Resources like GitHub are “essential for collaborative software projects because they enable the organization and sharing of programming tasks between different remote contributors.” (Perez-Riverol et al., 2016)

### 2.10.2 Why use version control platforms?

Version control platforms offer a number of advantages when collaborating on a research project that can help to improve your efficiency, rigor, and reproducibility. Further, there are several high-quality free versions of version control platforms that are available for researchers, and as their use becomes more popular, resources for learning the details of how to use these platforms effectively. Open-source versions, like GitLab, even allow you to set up a version control platform on a server you own, rather than needing to post data or code on an outside platform, and so you can use these tools even in cases of sensitive data.

Some of the key advantages of using a version control platform like GitHub to collaborate on research projects include:

- Ability to track and merge changes that different collaborators made to the document
- Ability to create alternative versions of project files (*branches*), and merge them into the main project as desired
- Tools for project management, including Issue Trackers
- Default backup of project files

- Ability to share project information online, including through hosting websites related to the project or supplemental files related to a manuscript

Many of these strengths draw directly on the functions provided by the underlying version control software (e.g., *git*). However, the version control platform will typically allow team members to explore and work with these functions in an easier way than if they try to use the barebones version control software. In earlier years, the use of version control often required users to be familiar with the command line, and to send arcane commands to track the project files through that interface. With the rising popularity of version control platforms, version control for project management can be taught relatively quickly to students with a few months—or even weeks—of coding experience. In fact, version control is beginning to be used as a method of turning in and grading homework in beginning programming classes, with students learning these techniques in the first few weeks of class. This would be practically unimaginable without the user-friendly interface of a version control platform as a wrapper for the power of the version control software itself.

“One reason for GitHub’s success is that it offers more than a simple source code hosting service. It provides developers and researchers with a dynamic and collaborative environment, often referred to as a social coding platform, that supports peer review, commenting, and discussion. A diverse range of efforts, ranging from individual to large bioinformatics projects, laboratory repositories, as well as global collaborations, have found GitHub to be a productive place to share code and ideas and collaborate.” (Perez-Riverol et al., 2016)

The first strength of using version control—and a version control platform—to collaborate on scientific projects is its ability to track every change made to files in the project, why the change was made, and who made it. Version control creates a full history of the evolution of each file in the project. When a change is committed, the history records the exact change made, including the previous version of the file. No change is ever fully lost, therefore, unless a great deal of extra work is taken to erase something from the project’s commit history. Version control also requires a user to provide a *commit message* describing each change that is made. If this feature is used thoughtfully, then the commit history of the project provides a well-documented description of the project’s full evolution. If you’re working on a manuscript, for example, when it’s time to edit, you can cut whole paragraphs, and if you ever need to get them back, they’ll be right there in the commit history for your project, with their own commit message about why they were cut (hopefully a nice clear one that will make it easy to find that commit if you ever need those paragraphs again).

“[Version control systems] are a huge boon to productivity and code quality in many ways, even for small single-developer projects. They automate away many procedures that are just tedious work. They help a lot in recovering from mistakes. Perhaps most importantly, they free programmers to experiment

by guaranteeing that reversion to a known-good state will always be easy.”  
(Raymond, 2003)

These capacities to track changes and histories of project files becomes even more important when working in collaboration on a project. As the proverb about too many cooks in the kitchen captures, any time you have multiple people working on a project, it introduces the chance for conflicts. While higher-level conflicts, like about what you want the final product to look like or who should do which jobs, can’t be easily managed by a computer program, now the complications of integrating everyone’s contributions—and letting people work in their own space and then bring together their individual work into one final joint project—can be. While these programs for version control were originally created to help with programmers developing code, they can be used now to coordinate group work on numerous types of file-based projects, including scientific manuscripts, books, and websites (Raymond, 2009). And although they can work with projects that include binary code, they thrive in projects with a heavier concentration of text-based files, and so they fit nicely in a scientific research / data analysis workflow that is based on data stored in plain text formats and data analysis scripts written in plain text files, tools we discuss in other parts of this book.

“In a medium-sized project, it often happens that a (relatively small) number of people work simultaneously on a single set of files, the ‘program’ or the ‘project’. Often these people have additional tasks, causing their working speeds to differ greatly. One person may be working a steady ten hours a day on the project, a second may have barely time to dabble in the project enough to keep current, while a third participant may be sent off on an urgent temporary assignment just before finishing a modification. It would be nice if each participant could be abstracted from the vicissitudes of the lives of the others.” (Grune, 1986)

Modern version control systems like *git* take a distributed approach to collaboration on project files. Under the distributed model, all team members can have their own version of all the files, work on them and make records of changes they make to the files, and then occasionally sync with everyone else to share your changes with them and bring their changes into your copy of the files. This functionality is called *concurrency*, since it allows team members to concurrently work on the same set of files (Raymond, 2009). This idea allowed for the development of other useful features and styles of working, including *branching* to try out new ideas that you’re not sure you’ll ultimately want to go with and *forking*, a key tool used in open-source software development, which among other things facilitates someone who isn’t part of the original team getting a copy of the files they can work with and suggesting some changes that might be helpful. So, this is the basic idea of modern version control—for a project that involves a set of computer files, everyone on the team (even if that’s just one person) has their own copy of a directory with those files on their own computer, makes changes at the time and in the spots in the files that

they want, and then regularly re-syncs their local directory with everyone else's to share changes and updates.

There is one key feature of modern version control that's critical to making this work—merging files that started the same but were edited in different ways and now need to be put back together, bringing any changes made from the original version. This step is called *merging* the files. While this is typically described using the plural, “files”, at a higher-level, you can think of this as just merging the *changes* that two people have made as they edited a single file, a file where they both started out with identical copies.

Think of the file broken up into each of its separate lines. There will be some lines that neither person changed. Those are easy to handle in the “merge”—they stay the same as in the original copy of the file. Next, there will be some lines that one person changed, but that the other person didn't. It turns out that these are pretty easy to handle, too. If only one person changed the line, then you use their version—it's the most up-to-date, since if both people started out with the same version, it means that the other person didn't make any changes to that part of the file. Finally, there may be a few lines that both people changed. These are called *merge conflicts*. They're places in the file where there's not a clear, easy-to-automate way that the computer can know which version to put into the integrated, latest version of the file. Different version control programs handle these merge conflicts in different ways. For the most common version control program used today, *git*, these spots in the file are flagged with a special set of symbols when you try to integrate the two updated versions of the file. Along with the special symbols to denote a conflict, there will also be *both* versions of the conflicting lines of the file. Whoever is integrating the files must go in and pick the version of those lines to use in the integrated version of the file, or write in some compromise version of those lines that brings in elements from both people's changes, and then delete all the symbols denoting that was a conflict and save this latest version of the file.

“You will likely share your code with multiple lab mates or collaborators, and they may have suggestions on how to improve it. If you email the code to multiple people, you will have to manually incorporate all the changes each of them sends.” (Blischak et al., 2016)

There are a number of other features of version control that make it useful for collaborating on file-based projects with teams. First, these systems allow you to explain your changes as you make them—in other words, it allows for *annotation* of the developing and editing process (Raymond, 2009). This provides the team with a full history of why the files evolved in the way they did across the team. It also provides a way to communicate across the team members.

For example, if one person is the key person working on a certain file, but has run into a problem with one spot and asks another team member to take a go, then the second team member isn't limited to just looking at the file and then emailing some suggestions. Instead, the second person can make sure

he or she has the latest version of that file, make the changes they think will help, *commit* those changes with a message (a *commit message*) about why they think this change will fix the problem, and then push that latest version of the file back to the first person. If there are several places where it would help to change the file, then these can be fixed through several separate commits, each with their own message. The first person, who originally asked for help, can read through the updates in the file (most platforms for using version control will now highlight where all these changes are in the file) and read the second person's message or messages about why each change might help. Even better, days or months later, when team members are trying to figure out why a certain change was made in that part of the file, can go back and read these messages to get an explanation.

"You know your code has changed; do you know why? It's easy to forget the reasons for changes, and step on them later. If you have collaborators on a project, how do you know what they have changed while you weren't looking, and who was responsible for each change?" (Raymond, 2003)

In recent years, some complementary tools have been developed that make the process of collaborating together using version control software easier. Other tools can help in collaborating on file-based projects, including *bug trackers* or *issue trackers*, which allow the team to keep a running "to-do" list of what needs to be done to complete the project, all of which are discussed in the next chapter (Perez-Riverol et al., 2016).

Finally, version control platforms like GitHub can be used for a number of supplementary tasks for your research project. These include publishing web-pages or other web resources linked to the project and otherwise improving public engagement with the project, including by allowing other researchers to copy and adapt your project through a process called *forking*. Version control platforms also provide a supplemental backup to project files.

First, GitHub can be used to collaborate on, host, and publish websites and other online content (Perez-Riverol et al., 2016). Version control systems have been used by some for a long time to help in writing longform materials like books (e.g., (Raymond, 2003)); new tools are making the process even easier. The GitHub Pages functionality, for example, is now being used to host a number of books created in R using the bookdown package, including the online version of this book. The blogdown package similarly can be used to create websites, either for individual researchers, for research labs, or for specific projects or collaborations. Further, if a project includes the creation of scientific software, it can be used to share that software—as well as associated documentation—in a format that is easy for others to work with. The platform can also be used to share supplemental material for a manuscript, including the code used for preprocessing and analyzing data. The most popular version control platforms, GitHub and GitLab, both allow users to toggle projects between "public" and "private" modes, which can be used to work privately on a project prior to peer review and publication, and then switch to a public

mode after publication. This functionality will allow those who access the code to see not only the final product, but also the history of the development of the code and data for the project, providing more transparency in the development process, but without jeopardizing the novelty of the research results prior to publication.

"The traditional way to promote scientific software is by publishing an associated paper in the peer-reviewed scientific literature, though, as pointed out by Buckheir and Donoho, this is just advertising. Additional steps can boost the visibility of an organization. For example, GitHub Pages are simple websites freely hosted by GitHub. Users can create and host blog websites, help pages, manuals, tutorials, and websites related to specific projects." (Perez-Riverol et al., 2016)

With GitHub, while only collaborators on a public project can directly change the code, anyone else can suggest changes through a process of copying a version of the project (*forking it*). This allows someone to make the changes they would like to suggest directly to a copy of the code, and then ask the project's owners to consider integrating the changes back into the main version of the project through a *pull request*. GitHub therefore creates a platform where people can explore, adapt, and add to other people's coding projects, enabling a community of coders (Perez-Riverol et al., 2016), and because of this functionality it has been described as "a social network for software development" (Perkel, 2018) and as "a kind of bazaar that offers just about any piece of code you might want—and so much of it free." (Metz, 2015). This same process can be leveraged for others to copy and adapt code—this is particularly helpful in ensuring that a software or research project won't be "orphaned" if its main developer is unavailable (e.g., retires, dies), but instead can be picked up and continued by other interested researchers. Copyright statements and licenses within code projects help to clarify attribution and rights in these cases.

"The astonishment was that you might want to make even your tiny hacks to other people's code public. Before GitHub, we tended to keep those on our own computer. Nowadays, it is so each to make a fork, or even edit the code directly in your browser, that potentially anyone can find even your least polished bug fixes immediately." (Irving, 2011)

Finally, version control platforms help in providing additional back-up for project files. As you collaborate with others using version control under a distributed model, each collaborator will have their own copy of all project files on their local computer. All project files are also stored on the remote repository to which you all push and pull commits. If you are using the GitHub platform, this will be GitHub's servers; if you use GitLab, you can set up the system on your own server. Each time you push or pull from the remote copy of the project repository, you are syncing your copy of the project files with those on other computers.

"Backup, backup, backup—this is the main action you can take to care for your computers and your data. Many PIs assume that backup systems are inherently

permanent and foolproof, and it often takes a loss to remind one that materials break, systems fail, and humans make mistakes. Even if your data are backed up at work, have at least one other backup system. Keep at least one backup off site, in case of a disaster in the lab (yes, fires and floods do happen). It doesn't make much sense to have two separate backup systems stored next to each other in a drawer." (LEIPS, 2010)

#### *2.10.3 How to use GitHub*

In the next module, we describe practical ways to leverage these resources within your research group. We include instructions both for team leaders—who may not code but may want to use GitHub within projects to help manage the projects—as well as researchers who work directly with data and code for the research team. There are also a number of excellent resources that are now available that walk users through how to set up and use a version control platform. The process is particularly straightforward when the research project files are collected in an RStudio Project format, as described in earlier modules.

#### *2.10.4 Discussion questions*

### *2.11 Using git and GitLab to implement version control*

For many years, use of version control required use of the command line, limiting its accessibility to researchers with limited programming experience. However, graphical interfaces have removed this barrier, and RStudio has particularly user-friendly tools for implementing version control. In this module, we will show how to use *git* through RStudio's user-friendly interface and how to connect from a local computer to *GitLab* through RStudio.

**Objectives.** After this module, the trainee will be able to:

- Understand how to set up and use *git* through RStudio's interface
- Understand how to connect with *GitLab* through RStudio to collaborate on research projects while maintaining version control

#### *2.11.1 How to use version control*

In this chapter, we will give you an overview of how to use *git* and GitHub for your laboratory research projects. In this chapter, we'll address two separate groups, in separate sections. First, we'll provide an overview of how you can leverage and use these tools as the director or manager of a project, without knowing how to code in a language like R. GitHub provides a number of useful tools that can be used by anyone, providing a common space for managing the data recording, analysis and reporting for a scientific research project. In this case, there would need to be at least one member of your team who is comfortable with a programming language, but all team members can participate in many features of the GitHub repository regardless of programming skill.

Second, we'll provide some details on the "how-tos" of setting up and using git and GitHub for scientists who are programmers or learning to program in a language like R or Python. We will not be exhaustive in this section, as there are a number of excellent resources that already go into depth on these topics. Instead, we provide an overview of getting starting, and what tools you might want to try within projects, and then provide advice on more references to follow up with to learn more and fully develop these skills.

As an example, we'll show different elements from a real GitHub repository, used for scientific projects and papers. The first repository is available at [https://github.com/aef1004/cyto-feature\\_engineering](https://github.com/aef1004/cyto-feature_engineering). It provides example data and code to accompany a published article on a pipeline for flow cytometry analysis (Fox et al., 2020).

### *2.11.2 Leveraging git and GitHub as a project director*

Because git has a history in software development, and because most introductions to it quickly present arcane-looking code commands, you may have hesitations about whether it would be useful in your scientific research group if you, and many in your research group, do not have experience programming. This is not at all the case, and in fact, the combination of git and GitHub can become a secret weapon for your research group if you are willing to encourage those in your group who do know some programming (or are willing to learn a bit) and to take them time to try out this environment for project management.

As mentioned in the previous two chapters, repositories that are tracked with git and shared through GitHub provide a number of tools that are useful in managing a project, both in terms of keeping track of what's been done in the project and also for planning what needs to be done next, breaking those goals into discrete tasks, assigning those tasks to team members, and maintaining a discussion as you tackle those tasks.

While git itself traditionally has been used with a command-line interface (think of the black and green computer screens shown when movies portray hackers), GitHub has wrapped git's functionality with an attractive and easy to understand graphical user interface. This is how you will interact with a project repository if you are online and logged into GitHub, rather than exploring it on your own computer (although there are also graphical user interfaces you can use to more easily explore git repositories locally, on your computer).

Key project management tools for GitHub that you can leverage, all covered in subsections below, are:

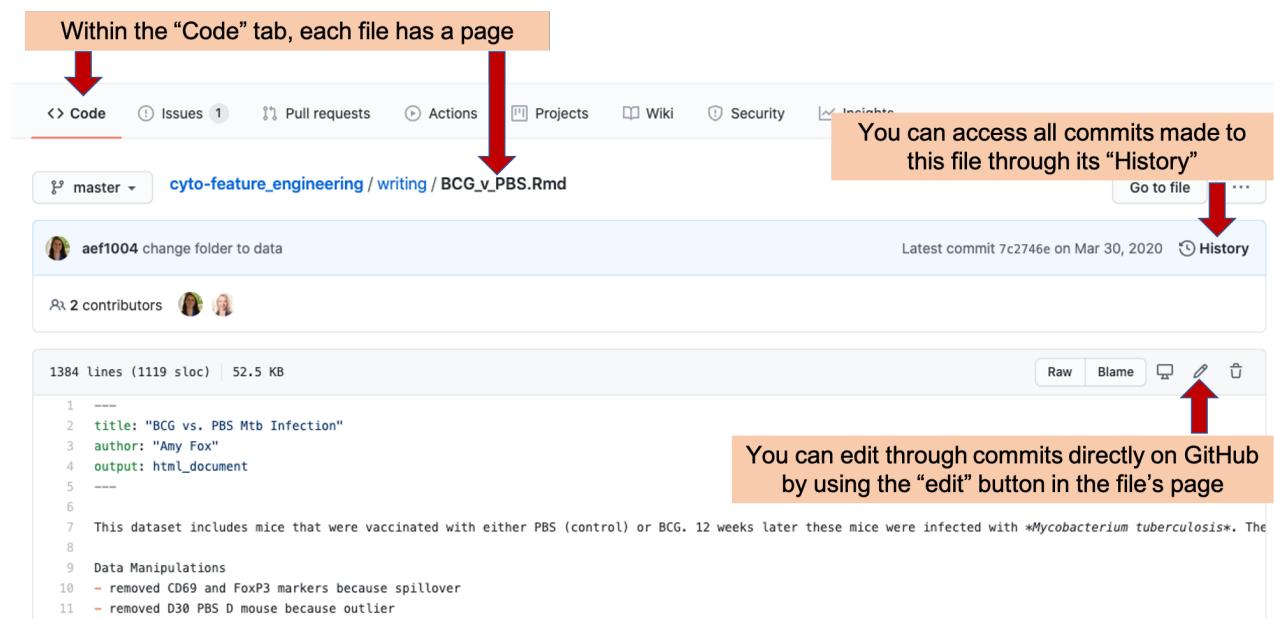
- Commits and commit history
- Issues
- Repository access and ownership
- Insights

Successfully using GitHub to help track and manage a research project

does not require using all of these tools, and in fact you can go a long way by just starting with a subset. The first four covered (Commits, Issues, Commit history, and Repository access and ownership) would be a great set to try out in a first project.

### Commits

Each time a team member makes a change to files in a GitHub repository, the change is recorded as a **commit**, and the team member must include a short **commit message** describing the change. Each file in the project will have its own page on GitHub (Figure 2.5), and you can see the history of changes to that files by clicking the “History” link on that page.

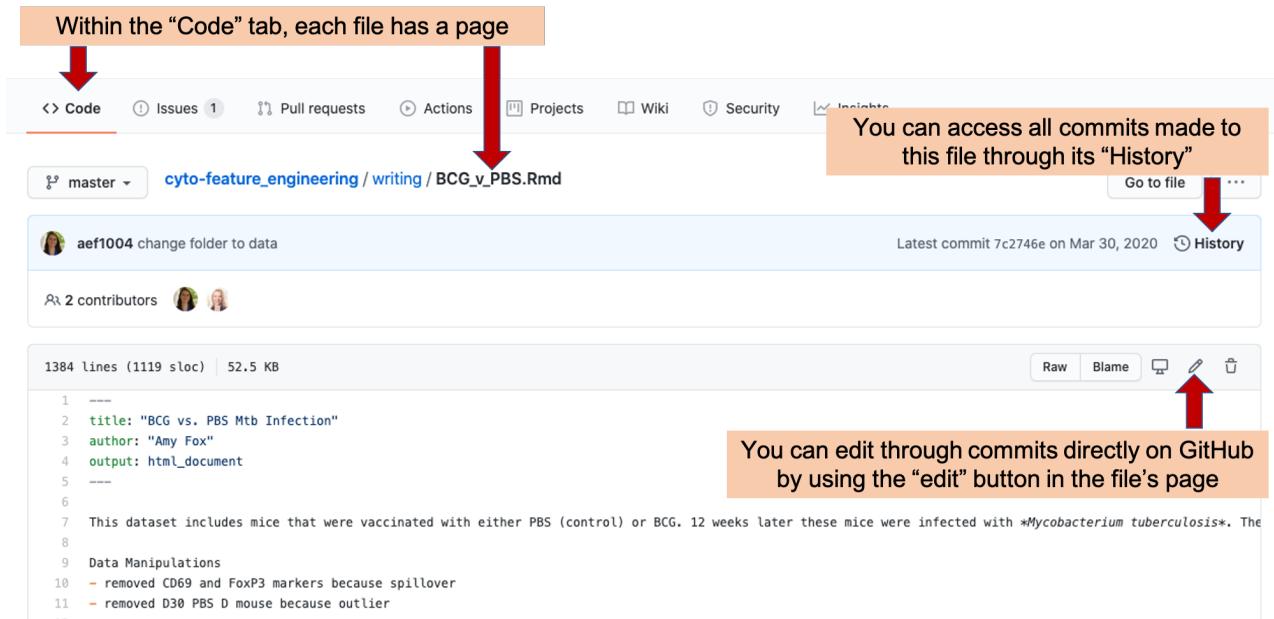


You can make changes to a file locally, on the repository copy on your own computer. For team members who are working a lot on coding, this will likely be the primary method they use to make commits, as this allows you to test the code locally before you commit it.

However, it is also possible to make a commit directly on GitHub, and this may be a useful option for team members who are not coding and would like to make small changes to the writing files. On the file's page on GitHub, there is an “Edit” icon (Figure 2.5). By clicking on this, you will get to a page where you can directly edit the file (Figure 2.6). Once you have made your edits, you will need to commit them, and a short description of the commit is required. If you would like to include a longer explanation of your changes, there is space for that, as well, when you make the commit (Figure 2.6).

You can see the full history of changes that have been made to each file in the project (Figure 2.7). Each change is tracked through a commit, which

Figure 2.5: Example of a file page within a GitHub repository. Each file in a repository has its own page. On this page, you can see the history of changes made to the file by looking at 'History'. You can also make a commit an edit directly in GitHub by clicking on the 'Edit' icon.



includes markers of who made the change and a message describing the change. Further, this history page for the file provides a line-by-line history of when each line in the file was last changed and what that change is—this allows you to quickly pinpoint changes in a particular part of the file.

If you click on one of the commits listed on a file’s History page (Figure 2.7), it will take you to a page providing information on the changes made with that commit (Figure 2.8). This page provides a line-by-line view of each change that was made to project files with that commit. This page includes the commit message for that commit. If the person committing the change included a longer description or commentary on the commit, this information will also be included on this page. Near the commit message are listings of which team member made the commit and when it was made. Within the body of the page, you can see the changes made with the commit. Added lines will be highlighted in green while deleted lines are highlighted in red. If only part of a line was changed, it will be shown twice, once in red as its version before the commit, and once in green showing its version following the commit.

### Issues

GitHub, as well as other version control platforms, includes functionality that will help your team collaborate on a project. A key tool is the “Issues” tracker. Each repository includes this type of tracker, and it can be easily used by all team members, whether they are comfortable coding or not.

Figure 2.9 gives an example of the Issues tracker page for the repository we are using as an example.

The main Issues tracker page provides clickable links to all open issues for

Figure 2.6: Committing changes directly in GitHub. When you click on the ‘Edit’ button in a file’s GitHub page (see previous figure), it will take you to a page where you can edit the file directly. You save the changes with a ‘commit’, including a commit message describing why you made the change. The change will be tagged with the message and your name.

The “History” page for each file shows the history of changes committed for the file

Each commit is given a unique identifier that can be used to reference or revert it later

Each commit includes a short commit message describing the change. You can click here to see the change made with this commit.

History for [cyto-feature\\_engineering / writing / BCG\\_v\\_PBS.Rmd](#)

- Commits on Mar 30, 2020
  - [change folder to data](#) 7c2746e  
aef1004 committed on Mar 30, 2020
- Commits on Mar 26, 2020
  - [clean up code by adding functions to beginning](#) c34c8cd  
aef1004 committed on Mar 26, 2020
  - [Merge conflicts ...](#) d604391  
aef1004 committed on Mar 26, 2020
  - [Remove stray '](#) d604391  
aef1004 committed on Mar 26, 2020
- Commits on Mar 24, 2020
  - [Figures for manuscript](#) eeb3766  
aef1004 committed on Mar 24, 2020
  - [Adjust FMO plots due to change in functions](#) 8415dc4  
aef1004 committed on Mar 24, 2020

Figure 2.7: Commit history in GitHub. Each file in a repository has a ‘History’ page, where you can explore each change committed for the file. Each commit has a unique identifier and commit message describing the change.

Commit message for this commit

You can determine who made the commit and when it was made

Changes in this file for this commit are highlighted in green and red. Green highlighting shows lines that have been added with this commit, and red highlighting shows lines that have been deleted.

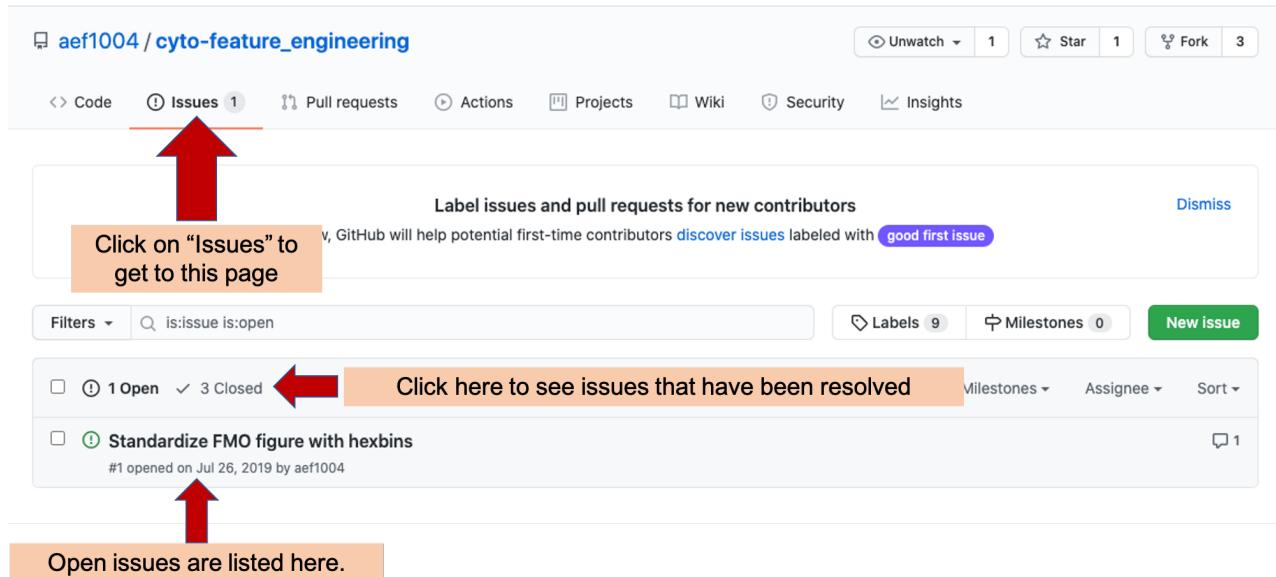
Unchanged parts of the file will be collapsed in this view. You can expand them if desired.

```

192 17,6 +17,7 @@ knitr::opts_chunk$set(echo = TRUE)
17 17 First, the packages must be loaded.
18 18 library(flowCore) - need this package if going to transform the da
19 19 ````{r warning= FALSE, message = FALSE}
20 + library(tibble)
21 21 library(openCyto)
22 22 library(data.table)
23 23 library(ggcyto)
@@ -48,6 +49,10 @@ I have created a few functions to make it easier to analyze the data
49 49 - `viridis_colors`: vector of the colors used for most plots
50 50

```

Figure 2.8: Commit history in GitHub. Each commit has its own page, where you can explore what changes were made with the commit, who made them, and when they were committed.



the repository. You can open a new issue using the “New Issue” on this main page or on the specific page of any of the repository’s issues (see Figure 2.10 for an example of this button).

On the page for a specific issue (e.g., Figure 2.10), you can have a conversation with your team to determine how to resolve the issue. This conversation can include web links, figures, and “To-do” check boxes, to help you discuss and plan how to resolve the issue. Each issue is numbered, which allows you to track each individually as you work on the project.

Once you have resolved an issue, you can “Close” it. This moves the issue from the active list into a “Closed” list. Each closed issue still has its own page, where you can read through the conversation describing how it was resolved. If you need to, you can re-open a closed issue later, if you determine that it was not fully resolved.

The Issues tracker page includes some more advanced functionality, as well (Figure 2.11). For example, you can “assign” an issue to one of more team members, indicating that they are responsible for resolving that issue. You can also tag each issue with one of more labels, allowing you to group issues into common categories. For example, you could tag all issues that cover questions about pre-processing the data using a “pre-processing” label, and all that are related to creating figures for the final manuscript with a “figures” label.

#### **Repository access and ownership**

Repositories include functionality for inviting team members, assigning roles, and otherwise managing access to the repository. First, a repository can be either public or private. For a public repository, anyone will be able to see the full contents of the repository through GitHub. You can also set a repository

Figure 2.9: Issues tracker page for an example GitHub repository. Arrows highlight the tab to click to get to the Issues tracker page in a repository, as well as where to go to find open and closed Issues for the repository.

The screenshot shows a GitHub issue page for issue #1. At the top, there is a header with the title "Standardize FMO figure with hexbins #1" and a button labeled "See the conversation on Issue #1 here". Below the header, there is a comment from user "aef1004" dated July 26, 2019, asking about adjusting hexbin counts. Another comment from user "geanders" dated August 5, 2019, provides a solution using facet wrap. On the right side of the page, there are sections for "Assignees" (None yet), "Labels" (None yet), "Projects" (None yet), "Milestone" (None yet), and "Linked pull requests" (None yet). At the bottom, there are buttons for "Close issue" and "Comment". Red arrows highlight several UI elements: one arrow points to the "See the conversation on Issue #1 here" button; another arrow points to the "Open a new issue" button at the top right; a third arrow points to the "Add to the conversation" button in the comment input area; and a fourth arrow points to the "Close the Issue when it's resolved" button below the comment input area.

Figure 2.10: Conversation about an Issue on Issues tracker page of an example GitHub repository. In this example, you can see how GitHub Issues trackers allow you to discuss how to resolve an issue across your team. From this page, you can read the current conversation about Issue #1 of the repository and add your own comments. Once the Issue is resolved, you can 'Close' the Issue, which moves it off the list of active issues, but allows you to still re-read the conversation and, if necessary, re-open the issue later. You can also open a new issue from this page, using the button highlighted at the top right.

Add in background strip color for faceted plots #3

**Closed** aef1004 opened this issue on Jul 30, 2019 · 3 comments

aef1004 commented on Jul 30, 2019

It would be nice to add in background strip color for the faceted plots (Population Percentages and CFU vs Population) to denote which cell lineage each population is.

aef1004 commented on Jul 30, 2019

The code :  
`theme(strip.background = element_rect(color = "blue"))`

Will give a blue strip outline, but still need to find a way to use multiple colors

aef1004 commented on Jul 30, 2019 · edited

I can get close with the code from <https://stackoverflow.com/questions/3455092/r-ggplot2-change-colour-of-font-and-background-in-facet-strip> but the colors aren't in the correct order.

The code is located in the BCG\_vs\_PBS.Rmd

aef1004 added the **help wanted** label on Jul 30, 2019

aef1004 assigned **geanders** on Jul 30, 2019

Assignees  
geanders

Labels  
**help wanted**

Projects

Issues can be tagged with one of more label

Issues can be assigned to specific team members

Figure 2.11: Labeling and assigning Issues. The GitHub Issues tracker allows you to assign each issue to one or more team members, clarifying that they will take the lead in resolving the issue. It also allows you to tag each issue with one or more labels, so you can easily navigate to issues of a specific type or identify the category of a specific issue.

to be private. In this case, the repository can only be seen by those who have been invited to collaborate on the repository, and only when they are logged in to their GitHub accounts. The private / public status of a repository can be changed at any time, so if you want you can maintain a repository for a project as private until you publish the results, and then switch it to be public, to allow others to explore the code and data that are linked to your published results.

You can invite team members to collaborate on a repository, as long as they have GitHub accounts (these are free to sign up for). While public repositories can be seen by anyone, the only people who can add to or change the contents of the repository are people who have been invited to collaborate on the repository. The person who creates the repository can invite other collaborators through the “Settings” tab of the repository, which will have a “Manage access” function for the repositories maintainer. On this page, you can invite other collaborators by searching using their GitHub “handle” (the short name they chose to be identified by in GitHub). You can also change access rights, for example, allowing some team members to be able to make major changes to the repository—like deleting it—while others can make only smaller modifications.

### **Insights**

Each GitHub repository also provides an “Insights” page, which lets you see who is contributing to the project and, as well when and how much they have contributed, as tracked by the commits they’ve made.

First, this page provides some repository-wide summaries, regardless of who was contributing. The figure below shows an example of the “Code frequency” graph, showing the number of additions and deletions to the code each week (here, “code” means any data in the tracked files, so it would include data recorded for the project or text written up for a project report or presentation [double-check that this is the case]).



During periods when the research team is collecting data, you would expect a lot more additions than deletions, and you could check this plot to ensure that the team is committing data soon after it's recorded (i.e., that there are lots of additions on weeks with major data collection for the experiment, not several weeks after). Periods with a lot of deletions, aren't bad, but instead likely indicate that a lot of work is being done in editing reports and manuscripts. For example, if a paper is being prepared for publication, you'd expect a lot of deletions as the team edits it to meet word count requirements.

The “Insights” page on a GitHub repository also lets you track the frequency of commits to the project, where each commit could be something small (like fixing a typo) or large (adding new data files for all data recorded for a time-point for the experiment). However, the frequency of these commits can help identify periods when the team is working on the project. For example, the commit history graph shown below is for the GitHub repository for a website for a spring semester course in 2020. It's clear to see the dates when the course was in session, as well as how the project required a lot of initial set up (shown by the number of commits early in the project period compared to later). You can even see spring break in mid-March (the week in the middle with no commits).



This window also allows you to track the number and timing of commits of each contributor to the project.

#### 2.11.3 Leveraging git and GitHub as a scientist who programs

To be able to leverage GitHub to manage projects and share data, you will need to have at least one person in the research group who can set up the initial repository. GitHub repositories can be created very easily starting from an RStudio Project, a format for organizing project files that was described in module [x]. In this section, we'll give some advice on how you can use an RStudio Project to create and update a GitHub repository, and how this can allow separate team members to maintain identical copies of the RStudio Project on their own computers, while continually evolving files in the project as data pre-processing, data analysis, and manuscript preparation are done for the project. We will keep this advice limited, as there are excellent existing resources that provide more thorough instructions in this area, but we will introduce the methods and then point to more thorough resources for more detail.

- Interfacing with RStudio
- Initiating a repository and first commit
- Subsequent commits and commit messages
- Fixing merge conflicts when team members make concurrent changes
- Using branches and forks / pull requests to try out new things
- Using GitHub Actions for automation (e.g., automatic testing?)
- [Odds and ends—.DS\_Store, \$Word\_doc]
- More resources for learning to use git and GitHub

#### 2.11.4 Applied exercise



# 3

## *Experimental Data Preprocessing*

### *3.1 Principles and benefits of scripted pre-processing of experimental data*

The experimental data collected for biomedical research often requires pre-processing before it can be analyzed (e.g., gating of flow cytometry data, feature finding / quantification for mass spectrometry data). Use of point-and-click software can limit the transparency and reproducibility of this analysis stage and is time-consuming for repeated tasks. We will explain how scripted pre-processing, especially using open source software, can improve transparency and reproducibility.

**Objectives.** After this module, the trainee will be able to:

- Define ‘pre-processing’ of experimental data
- Describe an open source code script and explain how it can increase reproducibility of data pre-processing

#### *3.1.1 What is pre-processing?*

Some data collected through laboratory experiments is very straightforward and requires little or no pre-processing before it's used in analysis. For example, [example]. Other data may require some minimal pre-processing. For example, if you plate bacteria from a sample at a variety of dilutions, you might count each plate and determine a measure of Colony Forming Units from the set of plates with different dilutions by deciding which dilution provides the clearest count and then back-calculating based on its dilution to get the total number of colony-forming units in the original sample.

This step of pre-processing data can become much more complex with data that was collected using complex equipment, like a flow cytometer or a mass spectrometer. In these cases, there are often steps required to extract from the machine's readings a biologically-relevant measurement. For example, the data output from a mass spectrometer must be processed to move from measurements of mass and retention time to estimates of concentrations of different molecules in the sample. If you want to compare across multiple samples, then the preprocessing will also involve steps to align the different

samples (in terms of ...), as well as to standardize the measurements for each sample, to make the measurements from the different samples comparable.

For data collected from a flow cytometer, preprocessing may include steps to disentangle the fluorescence from different markers to ensure that the read for one marker isn't inflated by spillover fluorescence from a different marker.

### 3.1.2 *Approaches to simple preprocessing tasks*

There are several approaches for tackling this type of data preprocessing, to get from the data that you initial observe (or that is measured by a piece of laboratory equipment) to meaningful biological measurements that can be analyzed and presented to inform explorations of a scientific hypothesis. While there are a number of approaches that don't involve writing code scripts for this preprocessing, there are some large advantages to scripting preprocessing any time you are preprocessing experimental data prior to including it in figures or further analysis. In this section, we'll describe some common non-scripted approaches and discuss the advantages that would be brought by instead using a code script. In the next module, we'll walk through an example of how scripts for preprocessing can be created and applied in laboratory research.

In cases where the pre-processing is mathematically straightforward and the dataset is relatively small, many researchers do the preprocessing by hand in a laboratory notebook or through an equation or macro embedded in a spreadsheet. For example, if you have plated samples at different dilutions and are trying to calculate from these the CFUs in the original sample, this calculation is simple enough that it could be done by hand. However, there are advantages to instead writing a code script to do this simple preprocessing.

When you write a script to do a task with data, it is like writing a recipe that can be applied again and again. By writing a script, you encode the process a single time, so you can take the time to check and recheck to make sure that you've encoded the process correctly. This helps in avoiding small errors when you do the preprocessing—if you are punching numbers into a calculator over and over, it's easy to mistype a number or forget a step every now and then, while the code will ensure that the same process is run every time and that it faithfully uses the numbers saved in the data for each step, rather than relying on a person correctly entering each number in the calculation.

Scripts can be used across projects, as well, and so they can ensure consistency in the calculation across projects. If different people do the calculation in the lab for different projects or experiments, and they are doing the calculations by hand, they might each do the calculation slightly differently, even if it's only in small details like how they report rounded numbers. A script will do the exact same thing every time it is applied. You can even share your script with colleagues at other labs, if you want to ensure that your data preprocessing is comparable for experiments conducted in different research groups, and many scientific journals will allow supplemental material with code used for data pre-

processing and analysis, or links within the manuscript to a repository of this code posted online.

There are also gains in efficiency when you use a script. For small preprocessing steps, these might seem small for each experiment, and certainly when you first write the script, it will likely take longer to write and test the script than it would to just do the calculation by hand (even more if you're just starting to learn how to write code scripts). However, since the script can be applied again and again, with very little extra work to apply it to new data, you'll save yourself time in the future, and over a lot of experiments and projects, this can add up. This makes it particularly useful to write scripts for preprocessing tasks that you find yourself doing again and again in the lab.

### *3.1.3 Approaches to more complex preprocessing tasks*

Other preprocessing tasks can be much more complex, particularly those that need to conduct a number of steps to extract biologically meaningful measurements from the measurements made by a complex piece of laboratory equipment, as well as steps to make sure these measurements can be meaningfully compared across samples.

For these more complex tasks, the equipment manufacturer will often provide software that can be used for the preprocessing. This software might conduct some steps using defaults, and others based on the user's specifications. These are often provided through "GUIs" (graphical user interfaces), where the user does a series of point-and-click steps to process the data. In some software, this series of point-and-click steps is recorded as the user does them, so that these steps can be "re-run" later or on a different dataset.

For many types of biological data, including output from equipment like flow cytometers and mass spectrometers, open-source software has been developed that can be used for this preprocessing. Often, the most cutting edge methods for data preprocessing are first available through open-source software packages, if the methods are developed by researchers rather than by the companies, and often many of the algorithms that are made available through the equipment manufacturer's proprietary software are encoded versions of an algorithm first shared by researchers as open-source software.

It can take a while to develop a code script for preprocessing the raw data from a piece of complex equipment like a mass spectrometer. However, the process of developing this script requires a thoughtful consideration of the steps of preprocessing, and so this is often time well-spent. Again, this initial time investment will pay off later, as the script can then be efficiently applied to future data you collect from the equipment, saving you time in pointing and clicking through the GUI software. Further, it's easier to teach someone else how to conduct the preprocessing that you've done, and apply it to future experiments, because the script serves as a recipe.

When you conduct data preprocessing in a script, this also gives you ac-

cess to all the other tools in the scripting language. For example, as you work through preprocessing steps for a dataset, if you are doing it through an R script, you can use any of the many visualization tools that are available through R. By contrast, in GUI software, you are restricted to the visualization and other tools included in that particular set of software, and those software developers may not have thought of something that you'd like to do. Open-source scripting languages like R, Python, and Julia include a huge variety of tools, and once you have loaded your data in any of these platforms, you can use any of these tools.

If you have developed a script for preprocessing your raw data, it also becomes much easier to see how changes in choices in preprocessing might influence your final results. It can be tricky to guess whether your final results are sensitive, for example, to what choice you make for a particular transform for part of your data, or in how you standardize data in one sample to make different samples easier to compare. If the preprocessing is in a script, then you can test making these changes and running all preprocessing and analysis scripts, to see if it makes a difference in the final conclusions. If it does, then it helps you identify parts of preprocessing that need to be deeply thought through for the type of data you're collecting, and you may want to explore the documentation on that particular step of preprocessing to determine what choice is best for your data, rather than relying on defaults.

### 3.1.4 Scripting preprocessing tasks

Code scripts can be developed for any open-source scripting languages, including Python, R, and Julia. These can be embedded in or called from literate programming documents, like RMarkdown and Julia, which are described in other modules. The word “script” is a good one here—it really is as if you are providing the script for a play. In an interactive mode, you can send requests to run in the programming language step by step using a console, while in a script you provide the whole list of all of your “lines” in that conversation, and the programming language will run them all in order without you needing to interact from the console.

For preprocessing the data, the script will have a few predictable parts. First, you'll need to read the data in. There are different functions that can be used to read in data from different file formats. For example, data that is stored in an Excel spreadsheet can be loaded into R using functions in a package called `readxl`. Data that is stored in a plain-text delimited format (like a csv file) can be loaded into R using functions in the `readr` package.

When preprocessing data from complex equipment, you can determine how to read the data into R by investigating the file type that is output by the equipment. Fortunately, many types of scientific equipment follow standardized file formats. This means that open-source developers can develop a single package that can load data from equipment from multiple manufacturers. For

example, flow cytometry data is often stored in [file format]. Other biological datasets use file formats that are appropriate for very large datasets and that allow R to work with parts of the data at a time, without loading the full data in. [netCDF?] In these cases, the first step in a script might not be to load in all the data, but rather to provide R with a connection to the larger datafile, so it can pull in data as it needs it.

Once the data is loaded or linked in the script, the script can proceed through steps required to preprocess this data. These steps will often depend on the type of data, especially the methods and equipment used to collect it. For example, for mass spectrometry data, these steps will include .... For flow cytometry data, these steps would include ....

The functions for doing these steps will often come from extensions that different researchers have made for R. Base R is a simpler collection of data processing and statistics tools, but the open-source framework of R has allowed users to make and share their own extensions. In R, these are often referred to as “packages”. Many of these are shared through the Comprehensive R Archive Network (CRAN), and packages on CRAN can be directly installed using the `install.packages` function in R, along with the package’s names. While CRAN is the common spot for sharing general-purpose packages, there is a specialized repository that is used for many genomics and other biology-related R packages called Bioconductor. These packages can also be easily installed through a call in R, but in this case it requires an installation function from the `BiocManager` package. Many of the functions that are useful for preprocessing biological data from laboratory experiments are available through Bioconductor.

Table [x] includes some of the primary R packages on Bioconductor that can be used in preprocessing different types of biological data. There are often multiple choices, developed by different research groups, but this list provides a starting point of several of the standard choices that you may want to consider as you start developing code.

Much of the initial preprocessing might use very specific functions that are tailored to the format that the data takes once it is loaded. Later in the script, there will often be a transfer to using more general-purpose tools in that coding language. For example, once data is stored in a “dataframe” format in R, it can be processed using a powerful set of general purpose tools collected in a suite of packages called the “tidyverse”. This set of packages includes functions for filtering to specific subsets of the data, merging separate datasets, adding new measurements for each observation that are functions of the initial measurements, summarizing, and visualizing. The tidyverse suite of R tools is very popular in general R use and is widely taught, including through numerous free online resources. By moving from specific tools to these more general tools as soon as possible in the script, a researcher can focus his or her time in learning these general purpose tools well, as these can be widely applied across many types of data.

By the end of the script, data will be in a format that has extracted biologically relevant measurements. Ideally, this data will be in a general purpose format, like a dataframe, to make it easier to work with using general purpose tools in the scripting language when the data is used in further data analysis or to create figures for reports, papers, and presentations. Often, you will want to save a version of this preprocessed version of the data in your project files, and so the last step of the script might be to write out the cleaned data in a file that can be loaded in later scripts for analysis and visualization. This is especially useful if these data preprocessing steps are time consuming, as is often the case for the large raw datasets output by laboratory equipment like flow cytometers and mass spectrometers.

Figure [x] gives an example of a data preprocessing script, highlighting these different common areas that often show up in these scripts.

[Some data may be incorporated into the preprocessing by downloading it from databases or other online sources. These data downloads can be automated and recorded by using scripted code for the download in many cases, as long as the database or online source offers web services or another API for this type of scripted data access. In this case, you can incorporate the script in a RMarkdown document to record the date the data was downloaded, as well as the code used to download it. R is able to run system calls, and one of these will provide the current date, so this can be included in an RMarkdown file to record the date the file is run. Further, there may be a call that can be made to the online data source's API that returns the working version of the database or source, and if so this can also be included in the RMarkdown code used to access the data.]

RMarkdown files can be used to combine both code and more manual document (for example, a record of which collaborator provided each type of data file). While traditionally this more manual documentation was recommended to be recorded in plain-text README files in a project's directory and subdirectories (Buffalo, 2015), RMarkdown files provide some advantages over this traditional approach. First, RMarkdown files are themselves in plain text, and so they offer the advantages of simple plain text documentation files (e.g., ones never rendered to another format) in terms of being able to use script-based tools to search them. Further, they can be rendered into attractive formatted documents that may be easier to share with project team members who do not code.

[Example of a function: recipe for making a vinaigrette. There will be a “basic” way that the function can run, which uses its default parameters. However, you can also specify and customize certain inputs (for example, using walnut oil instead of olive oil, or adding mustard) to tweak the recipe in slight ways each time you use it, and to get customized outputs.]

[History of the mouse—enable GUIs, before everything was from the terminal.]

### 3.1.5 Potential quotes

For bioinformatics, “all too often the software is developed without thought toward future interoperability with other software products. As a result, the bioinformatics software landscape is currently characterized by fragmentation and silos, in which each research group develops and uses only the tools created within their lab.” (Barga et al., 2011)

“The group also noted the lack of agility. Although they may be aware of a new or better algorithm they cannot easily integrate it into their analysis pipelines given the lack of standards across both data formats and tools. It typically requires a complete rewrite of the code in order to take advantage of a new technique or algorithm, requiring time and often funding to hire developers.” (Barga et al., 2011)

“The benefit of working with a programming language is that you have the code in a file. This means that you can easily reuse that code. If the code has parameters it can even be applied to problems that follow a similar pattern.” (Janssens, 2014)

“Data exploration in spreadsheet software is typically conducted via menus and dialog boxes, which leaves no record of the steps taken.” (Murrell, 2009)

“One reason Unix developers have been cool toward GUI interfaces is that, in their designers’ haste to make them ‘user-friendly’ each one often becomes frustratingly opaque to anyone who has to solve user problems—or, indeed, interact with it anywhere outside the narrow range predicted by the user-interface designer.” (Raymond, 2003)

“Many operating systems touted as more ‘modern’ or ‘user friendly’ than Unix achieve their surface glossiness by locking users and developers into one interface policy, and offer an application-programming interface that for all its elaborateness is rather narrow and rigid. On such systems, tasks the designers have anticipated are very easy—but tasks they have not anticipated are often impossible or at best extremely painful. Unix, on the other hand, has flexibility in depth. The many ways Unix provides to glue together programs means that components of its basic toolkit can be combined to produce useful effects that the designers of the individual toolkit parts never anticipated.” (Raymond, 2003)

“The good news is that a computer is a general-purpose machine, capable of performing any computation. Although it only has a few kinds of instructions to work with, it can do them blazingly fast, and it can largely control its own operation. The bad news is that it doesn’t do anything itself unless someone tells it what to do, in excruciating detail. A computer is the ultimate sorcerer’s apprentice, able to follow instructions tirelessly and without error, but requiring painstaking accuracy in the specification of what to do.” (Kernighan, 2011)

“Software is the general term for sequences of instructions that make a computer do something useful. It’s ‘soft’ in contrast with ‘hard’ hardware, because it’s intangible, not easy to put your hands on. Hardware is quite tangible: if you drop a computer on your foot, you’ll notice. Not true for software.” (Kernighan, 2011)

“Modern systems increasingly use general purpose hardware—a processor, some memory, and connections to the environment—and create specific behaviors by

software. The conventional wisdom is that software is cheaper, more flexible, and easier to change than hardware is (especially once some device has left the factory)." (Kernighan, 2011)

"An algorithm is a precise and unambiguous recipe. It's expressed in terms of a fixed set of basic operations whose meanings are completely known and specified; it spells out a sequence of steps using those operations, with all possible situations covered; it's guaranteed to stop eventually. On the other hand, a *program* is the opposite of abstract—it's a concrete statement of the steps that a real computer must perform to accomplish a task. The distinction between an algorithm and a program is like the difference between a blueprint and a building; one is an idealization and the other is the real thing." (Kernighan, 2011)

"One way to view a program is as one or more algorithms expressed in a form that a computer can process directly. A program has to worry about practical problems like inadequate memory, limited processor speed, invalid and even malicious input data, faulty hardware, broken network connections, and (in the background and often exacerbating the other problems) human frailty. So if an algorithm is an idealized recipe, a program is the instructions for a cooking robot preparing a month of meals for an army while under enemy attack." (Kernighan, 2011)

"During the late 1950s and early 1960s, another step was taken towards getting the computer to do more for programmers, arguably the most important step in the history of programming. This was the development of 'high-level' programming languages that were independent of any particular CPU architecture. High-level languages make it possible to express computations in terms that are closer to the way a person might express them." (Kernighan, 2011)

"Programming in the real world tends to happen on a large scale. The strategy is similar to what one might use to write a book or undertake any other big project: figure out what to do, starting with a broad specification that is broken into smaller and smaller pieces, then work on the pieces separately, while making sure that they hang together. In programming, pieces tend to be of a size such that one person can write the precise computational steps in some programming language. Ensuring that the pieces written by different programmers work together is challenging, and failing to get this right is a major source of errors. For instance, NASA's Mars Climate Orbiter failed in 1999 because the flight system software used metric units for thrust, but course correction data was entered in English units, causing an erroneous trajectory that brought the Orbiter too close to the planet's surface." (Kernighan, 2011)

"If you're going to build a house today, you don't start by cutting down trees to make lumber and digging clay to make your own bricks. Instead, you buy prefabricated pieces like doors, windows, plumbing fixtures, a furnace, and a water heater. House construction is still a big job, but it's manageable because you can build on the work of many others and rely on an infrastructure, indeed an entire industry, that will help. The same is true of programming. Hardly any significant program is created from nothing. Many components written by others can be taken off the shelf and used. For instance, if you're writing a program for Windows or a Mac, there are libraries of prefabricated menus, buttons, text editors, graphics, network connections, database access, and so on. Much of

the job is understanding the components and gluing them together in your own way. Of course, many of these components in turn rest on other simpler and more basic ones, often for several layers. Below that, everything runs on the operating system, a program that manages the hardware and controls everything that happens.” (Kernighan, 2011)

“At the simplest level, programming languages provide a mechanism called functions that make it possible for one programmer to write code that performs a useful a useful task, then package it in a form that other programmers can use in their programs without having to know how it works.” (Kernighan, 2011)

“A function has a name and a set of input data values that it needs to do its job; it does a computation and returns a result to the part of the program that called it. ... Functions make it possible to create a program by building on components that have been created separately and can be used as necessary by all programmers. A collection of related functions is usually called a *library*. ... The services that a function library provides are described to programmers in terms of an *Application Programming Interface*, or *API*, which lists the functions, what they do, how to use them in a program, what input data they require, and what values they produce. The API might also describe data structures—the organization of data that is passed back and forth—and various other bits and pieces that all together define what a programmer has to do to request services and what will be computed as a result. This specification must be detailed and precise, since in the end the program will be interpreted by a dumb literal computer, not by a friendly and accomodating human.” (Kernighan, 2011)

“The code that a programmer writes, whether in assembly language or (much more likely) in a high-level language, is called *source code*. ... Source code is readable by other programmers, though perhaps with some effort, so it can be studied and adapted, and any innovations or ideas it contains are visible.” (Kernighan, 2011)

“In early times, most software was developed by companies and most source code was unavailable, a trade secret of whoever developed it.” (Kernighan, 2011)

“An *operating system* is the software underpinning that manages the hardware of a computer and makes it possible to run other programs, which are called *applications*. ... It’s a clumsy but standard terminology for programs that are more or less self-contained and focused on a single task.” (Kernighan, 2011)

“Software, like many other things in computing, is organized into layers, analogous to geological strata, that separate one concern from another. Layering is one of the important ideas that help programmers to manage complexity.” (Kernighan, 2011)

“I think that it’s important for a well-informed person to know something about programming, perhaps only that it can be surprisingly difficult to get very simple programs working properly. There is nothing like doing battle with a computer to teach this lesson, but also to give people a taste of the wonderful feeling of accomplishment when a program does work for the first time. It may also be valuable to have enough programming experience that you are cautious when someone says that programming is easy, or that there are no errors in a program. If you have trouble making 10 lines of code work after a day of struggle, you might be legitimately skeptical of someone who claims that a million-line program will be delivered on time and bug-free.” (Kernighan, 2011)

"Programming languages share certain basic ideas, since they are all notations for spelling out a computation as a sequence of steps. Every programming language thus will provide ways to get input data upon which to compute; do arithmetic; store and retrieve intermediate values as computation proceeds; display results along the way; decide how to proceed on the basis of previous computations; and save results when the computation is finished. Languages have *syntax*, that is, rules that define what is grammatically legal and what is not. Programming languages are picky on the grammatical side: you have to say it right or there will be a complaint. Languages also have *semantics*, that is, a defined meaning for every construction in the language." (Kernighan, 2011)

"In programming, a *library* is a collection of related pieces of code. A library typically includes the code in compiled form, along with needed source code declarations [for C++]. Libraries can include stand-alone functions, classes, type declarations, or anything else that can appear in code." (Spraul, 2012)

"One way to write R code is simply to enter it interactively at the command line... This interactivity is beneficial for experimenting with R or for exploring a data set in a casual manner. ... However, interactively typing code at the R command line is a very bad approach from the perspective of recording and documenting code because the code is lost when R is shut down. A superior approach in general is to write R code in a file and get R to read the code from the file." (Murrell, 2009)

"The features of R are organized into separate bundles called *packages*. The standard R installation includes about 25 of those packages, but many more can be downloaded from CRAN and installed to expand the things that R can do. ... Once a package is installed, it must be *loaded* within an R session to make the extra features available. ... Of the 25 packages that are installed by default, nine packages are *loaded* by default when we start a new R session; these provide the basic functionality of R. All other packages must be loaded before the relevant features can be used." (Murrell, 2009)

"The R environment is the software used to run R code." (Murrell, 2009)

"*Document your methods and workflows.* This should include full command lines (copied and pasted) that are run through the shell that generate data or intermediate results. Even if you use the default values in software, be sure to write these values down; later versions of the program may use different default values. Scripts naturally document all steps and parameters ..., but be sure to document any command-line options used to run this script. In general, any command that produces results in your work needs to be documented somewhere." (Buffalo, 2015)

"*Document the version of the software that you ran.* This may seem unimportant, but remember the example from 'Reproducible Research' on page 6 where my colleagues and I traced disagreeing results down to a single piece of software being updated. These details matter. Good bioinformatics software usually has a command-line option to return the current version. Software managed with a version control system such as Git has explicit identifiers to every version, which can be used to document the precise version you ran... If no version information is available, a release date, link to the software, and download date will suffice." (Buffalo, 2015)

*“Document when you downloaded data.* It’s important to include when the data was downloaded, as the external data source (such as a website or server) might change in the future. For example, a script that downloads data directly from a database might produce different results if rerun after the external database is updated. Consequently, it’s important to document when data came into your repository.” (Buffalo, 2015)

“All of this [documentation] information is best stored in plain-text README files. Plain text can easily be read, searched, and edited directly from the command line, making it the perfect choice for portable and accessible README files. It’s also available on all computer systems, meaning you can document your steps when working directly on a server or computer cluster. Plain text also lacks complex formatting, which can create issues when copying and pasting commands from your documentation back into the command line.” (Buffalo, 2015)

“The computer is a very flexible and powerful tool, and it is a tool that is ours to control. Files and documents, especially those in open standard formats, can be manipulated using a variety of software tools, not just one specific piece of software. A programming language is a tool that allows us to manipulate data stored in files and to manipulate data held in RAM in unlimited ways. Even with a basic knowledge of programming, we can perform a huge variety of data processing tasks.” (Murrell, 2009)

“Computer code is the preferred approach to communicating our instructions to the computer. The approach allows us to be precise and expressive, it provides a complete record of our actions, and it allows others to replicate our work.” (Murrell, 2009)

“Programming in R is carried out, primarily, by manipulating and modifying data structures. These different transformations are carried out using functions and operators. In R, virtually every operation is a function call, and though we separate our discussion into operators and function calls, the distinction is not strong ... The R evaluator and many functions are written in C but most R functions are written in R itself.” (Gentleman, 2008)

“Many biologists are first exposed to the R language by following a cookbook-type approach to conduct a statistical analysis like a t-test or an analysis of variance (ANOVA). Although R excels at these and more complicated statistical tests, R’s real power is as a data programming language you can use to explore and understand data in an open-ended, highly interactive, iterative way. Learning R as a data programming language will give you the freedom to experiment and problem solve during data analysis—exactly what we need as bioinformaticians.” (Buffalo, 2015)

“Popularized by statistician John W. Tukey, EDA is an approach that emphasizes understanding data (and its limitations) through interactive investigation rather than explicit statistical modeling. In his 1977 book *Exploratory Data Analysis*, Tukey described EDA as ‘detective work’ involved in ‘finding and revealing the clues’ in data. As Tukey’s quote emphasizes, EDA is much more an approach to exploring data than using specific statistical methods. In the face of rapidly changing sequencing technologies, bioinformatics software, and statistical methods, EDA skills are not only widely applicable and comparatively stable—they’re also essential to making sure that our analyses are robust to these new data and methods.” (Buffalo, 2015)

“Developing code in R is a back-and-forth between writing code in a rerunnable script and exploring data interactively in the R interpreter. To be reproducible, all steps that lead to results you’ll use later must be recorded in the R script that accompanies your analysis and interactive work. While R can save a history of the commands you’ve entered in the interpreter during a session (with the command `savehistory()`), storing your steps in a well-commented R script makes your life much easier when you need to backtrack to understand what you did or change your analysis.” (Buffalo, 2015)

“It’s a good idea to avoid referring to specific dataframe rows in your analysis code. This would produce code fragile to row permutations or new rows that may be generated by rerunning a previous analysis step. In every case in which you might need to refer to a specific row, it’s avoidable by using subsetting... Similarly, it’s a good idea to refer to columns by their column name, *not* their position. While columns may be less likely to change across dataset versions than rows, it still happens. Column names are more specific than positions, and also lead to more readable code.” (Buffalo, 2015)

“In bioinformatics, we often need to extract data from strings. R has several functions to manipulate strings that are handy when working with bioinformatics data in R. Note, however, that for most bioinformatics text-processing tasks, R is *not* the preferred language to use for a few reasons. First, R works with all data stored in memory; many bioinformatics text-processing tasks are best tackled with the stream-based approaches..., which explicitly avoid loading all data in memory at once. Second, R’s string processing functions are admittedly a bit chunky compared to Python’s.” (Buffalo, 2015)

“Versions fo R and any R pakcages installed change over time. This can lead to reproducibility headaches, as the results of your analyses may change with the changing version of R and R packages. ... you should always record the versions of R and any packages you use for analysis. R actually makes this incredibly easy to do—just call the `sessionInfo()` function.” (Buffalo, 2015)

“Bioconductor is an open source R software project focused on developing tools for high-throughput genomics and molecular biology data.” (Buffalo, 2015)

“Bioconductor’s pakcage system is a bit different than those on the Comprehensive R Archive Network (CRAN). Bioconductor packages are released on a set schedule, twice a year. Each release is coordinated with a version of R, making Bioconductor’s versions tied to specific R versions. The motivation behind this strict coordination is that it allows for packages to be thoroughly tested before being released for public use. Additionally, because there’s considerable code re-use within the Bioconductor project, this ensures that all package versions within a Bioconductor release are compatible with one another. For users, the end result is that packages work as expected and have been rigorously tested before you use it (this is good when your scientific results depend on software reliability!). If you need the cutting-edge version of a package for some reason, it’s always possible to work with their development branch.” (Buffalo, 2015)

“When installing Bioconductor packages, we use the `biocLite()` function. `biocLite()` installs the correct version of a package for your R version (and its corresponding Bioconductor version).” (Buffalo, 2015)

"In addition to a careful release cycle that fosters package stability, Bioconductor also has extensive, excellent documentation. The best, most up-to-date documentation for each package will always be a Bioconductor [web address]. Each package has a full reference manual covering all functions and classes included in a package, as well as one or more in-depth vignettes. Vignettes step through many examples and common workflows using packages." (Buffalo, 2015)

"Quite often, users don't appreciate the opportunities. Noncomputational biologists don't know when to complain about the status quo. With modest amounts of computational consulting, long or impossible jobs can become much shorter or richer." — Barry Demchak in (Altschul et al., 2013)

"People not doing the computational work tend to think that you can write a program very fast. That, I think, is frankly not true. It takes a lot of time to implement a prototype. Then it actually takes a lot of time to really make it better." — Heng Li in (Altschul et al., 2013)

"There is also a problem with discovering software that exists; often people reinvent the wheel just because they don't know any better. Good repositories for software and best practice workflows, especially if citable, would be a start." — James Taylor in (Altschul et al., 2013)

" Now there are a lot of strong, young, faculty members who label themselves as computational analysts, yet very often want wet-lab space. They're not content just working off data sets that come from other people. They want to be involved in data generation and experimental design and mainstreaming computation as a valid research tool. Just as the boundaries of biochemistry and cell biology have kind of blurred, I think the same will be true of computational biology. It's going to be alongside biochemistry, or molecular biology or microscopy as a core component." — Richard Durbin in (Altschul et al., 2013)

"I would say that computation is now as important to biology as chemistry is. Both are useful background knowledge. Data manipulation and use of information are part of the technology of biology research now. Knowing how to program also gives people some idea about what's going on inside data analysis. It helps them appreciate what they can and can't expect from data analysis software." — Richard Durbin in (Altschul et al., 2013)

**"Does every new biology PhD student need to learn how to program?** To some, the answer might be "no" because that's left to the experts, to the people downstairs who sit in front of a computer. But a similar question would be: does every graduate student in biology need to learn grammar? Clearly, yes. Do they all need to learn to speak? Clearly, yes. We just don't leave it to the literature experts. That's because we need to communicate. Do students need to tie their shoes? Yes. It has now come to the point where using a computer is as essential as brushing your teeth. If you want some kind of a competitive edge, you're going to want to make as much use of that computer as you can. The complexity of the task at hand will mean that canned solutions don't exist. It means that if you're using a canned solution, you're not at the edge of research." — Martin Krzywinski in (Altschul et al., 2013)

"Although we are tackling many different types of data, questions, and statistical methods hands-on, we maintain a consistent computational approach by keeping

all the computation under one roof: the R programming language and statistical environment, enhanced by the biological data infrastructure and specialized method packages from the Bioconductor project.” (Holmes and Huber, 2018)

“The availability of over 10,000 packages [in R] ensures that almost all statistical methods are available, including the most recent developments. Moreover, there are implementations of or interfaces to many methods from computer science, mathematics, machine learning, data management, visualization and internet technologies. This puts thousands of person-years of work by experts at your fingertips.” (Holmes and Huber, 2018)

“Bioconductor packages support the reading of many of the data types and formats produced by measurement instruments used in modern biology, as well as the needed technology-specific ‘preprocessing’ routines. This community is actively keeping these up-to-date with the rapid developments in the instrument market.” (Holmes and Huber, 2018)

“An equivalent to the laboratory notebook that is standard good practice in lab-work, we advocate the use of a computational diary written in the R markdown format. ... Together with a version control system, R markdown helps with tracking changes.” (Holmes and Huber, 2018)

“There are (at least) two types of data visualization. The first enables a scientist to explore data and make discoveries about the complex processes at work. The other type of visualization provides informative, clear and visually attractive illustrations of her results that she can show to others and eventually include in a publication.” (Holmes and Huber, 2018)

“A common task in biological data analysis is comparison between several samples of univariate measurements. ... As an example, we’ll use the intensities of a set of four genes... A popular way to display [this] is through barplots [and boxplots, violin plots, dot plots, and beeswarm plots].” (Holmes and Huber, 2018)

“At different stages of their development, immune cells express unique combinations of proteins on their surfaces. These protein-markers are called CDs (clusters of differentiation) and are collected by flow cytometry (using fluorescence...) or mass cytometry (using single-cell atomic mass spectrometry of heavy metal reporters). An example of a commonly used CD is CD4; this protein is expressed by helper T cells that are referred to as being ‘CD4+'. Note, however, that some cells express CD4 (thus are CD4+) but are not actually helper T cells. We start by loading some useful Bioconductor packages for flow cytometry, *flowCore* and *flowViz*. ... First we load the table data that reports the mapping between isotopes and markers (antibodies), and then we replace the isotope names in the column names ... with the marker names. Changing the column names makes the subsequent analysis and plotting easier to read. ... Plotting the data in two dimensions... already shows that the cells can be grouped into subpopulations. Sometimes just one of the markers can be used to define populations on its own; in that case, simple rectangular gating is used to separate the populations. For instance, CD4+ populations can be gating by taking the subpopulation with high values for the CD4 marker. Cell clustering can be improved by carefully choosing transformations of the data. ... [Such a transformation] reveals bimodality and the existence of two cell populations... It is standard to

transform both flow and mass cytometry data using one of several special functions. We take the example of the inverse hyperbolic arcsine (asinh) ... for large values of  $x$ ,  $\text{asinh}(x)$  behaves like the log and is practically equal to  $\log(x) + \log(2)$ ; for small  $x$  the function is close to linear in  $x$ . ... This is another example of a variance-stabilizing transformation." (Holmes and Huber, 2018)

"Consider a set of measurements that reflect some underlying true values (say, species represented by DNA sequences from their genomes) but have been degraded by technical noise. Clustering can be used to remove such noise." (Holmes and Huber, 2018)

"In the bacterial 16SrRNA gene there are so-called variable regions that are taxon-specific. These provide fingerprints that enable taxon identification. The raw data are FASTQ-files with quality scored sequences of PCR-amplified DNA regions. We use an iterative alternating approach to build a probabilistic noise model from the data. We call this a de novo method, because we use clustering, and we use the cluster centers as our denoised sequence variants... After finding all the denoised variants, we create contingency tables of their counts across the different samples. ... these tables can be used to infer properties of the underlying bacterial communities using networks and graphs. **In order to improve data quality, we often have to start with the raw data and model all the sources of variation carefully.** We can think of this as an example of cooking from scratch. ... The DADA method ... uses a parameterized model of substitution errors that distinguishes sequencing errors from real biological variation. ... The dereplicated sequences are read in, and then divisive denoising and estimation is run with the dada function... In order to verify that the error transition rates have been reasonably well estimated, we inspect the fit between the observed error rates ... and the fitted error rates .. Once the errors have been estimated, the algorithm is rerun on the data to find the sequence variants. ... Sequence inference removes nearly all substitution and indel errors from the data. [Footnote: 'The term indel stands for insertion-deletion; when comparing two sequences that differ by a small stretch of characters, it is a matter of viewpoint whether this is an insertion or a deletion, hence the name]. We merge the inferred forward and reverse sequences while removing paired sequences that do not perfectly overlap, as a final control against residual errors." (Holmes and Huber, 2018)

"Chimera are sequences that are artificially created during the PCR amplification by the melding of two (or, in rare cases, more) of the original sequences. To complete our denoising workflow, we remove them with a call to the function removeBimeraDenovo, leaving us with a clean contingency table that we will use later." (Holmes and Huber, 2018)

"We load up the RNA-Seq dataset airway, which contains gene expression measurements (gene-level counts) of four primary human airway smooth muscle cell lines with and without treatment with dexamethasone, a synthetic glucocorticoid. We'll use the DESeq2 method ... it performs a test for differential expression for each gene." (Holmes and Huber, 2018)

"In many cases, different variables are measured in different units, so they have different baselines and different scales. [Footnote: 'Common measures of scale are the range and the standard deviation...'] For PCA and many other methods, we therefore need to transform the numeric values to some common scale in

order to make comparisons meaningful. Centering means subtracting the mean, so that the mean of the centered data is at the origin. Scaling or standardizing then means dividing by the standard deviation, so that the new standard deviation is 1. ... To perform these operations, there is the R function `scale`, whose default behavior when given a matrix or a data frame is to make each column have a mean of 0 and a standard deviation of 1. ... We have already encountered other data transformation choices in Chapters 4 and 5, where we used the `log` and `asinh` functions. The aim of these transformations is (usually) variance stabilization, i.e., to make the variances of the replicate measurements of one and the same variable in different parts of the dynamic range more similar. In contrast, the standardizing transformation described above aims to make the scale (as measured by mean and standard deviation) of *different* variables the same. Sometimes it is preferable to leave variables at different scales because they are truly of different importance. If their original scale is relevant, then we can (and should) leave the data alone. In other cases, the variables have different precisions known a priori. We will see in Chapter 9 that there are several ways of weighting such variables. After preprocessing the data, we are ready to undertake data simplification through dimension reduction.” (Holmes and Huber, 2018)

With data that give the number of reads for each gene in a sample, “The data have a large dynamic range, starting from zero up to millions. The variance and, more generally, the distribution shape of the data in different parts of the dynamic range are very different. We need to take this phenomenon, called heteroscedascity, into account. The data are non-negative integers, and their distribution is not symmetric—thus normal or log-normal distribution models may be a poor fit. We need to understand the systematic sampling biases and adjust for them. Confusingly, such adjustment is often called normalization. Examples are the total sequencing depth of an experiment (even if the true abundance of a gene in two libraries is the same, we expect different numbers of reads for it depending on the total number of reads sequenced) and differing sampling probabilities (even if the true abundance of two genes within a biological sample is the same, we expect different numbers of reads for them if they have differing biophysical properties, such as length, GC content, secondary structure, binding partners).” (Holmes and Huber, 2018)

“Often, systematic biases affect the data generation and are worth taking into account. Unfortunately, the term normalization is commonly used for that aspect of the analysis, even though it is misleading; it has nothing to do with the normal distribution, nor does it involve a data transformation. Rather, what we aim to do is identify the nature and magnitude of systematic biases and take them into account in our model-based analysis of the data. The most important systematic bias [for count data from high-throughput sequencing applications like RNA-Seq] stems from variations in the total number of reads in each sample. If we have more reads for one library than for another, then we might assume that, everything else being equal, the counts are proportional to each other with some proportionality factor  $s$ . Naively, we could propose that a decent estimate of  $s$  for each sample is simply given by the sum of the counts of all genes. However, it turns out that we can do better...” (Holmes and Huber, 2018)

“When testing for differential expression, we operate on raw counts and use discrete distributions. For other downstream analyses—e.g., for visualization or clustering—it can be useful to work with transformed versions of the count data.

Maybe the most obvious choice of transformation is the logarithm. However, since count values for a gene can be zero, some analysts advocate the use of pseudocounts, i.e., transformations of the form  $y = \log_2(n + 1)$  or more generally  $y = \log_2(n + n_0)$ ." (Holmes and Huber, 2018)

"The data sometimes contain isolated instances of very large counts that are apparently unrelated to the experimental or study design and may be considered outliers. Outliers can arise for many reasons, including rare technical or experimental artifacts, read mapping problems in the case of genetically differing samples, and genuine but rare biological events. In many cases, users appear primarily interested in genes that show consistent behavior, and this is the reason why, by default, genes that are affected by such outliers are set aside by DESeq. The function calculates, for every gene and for every sample, a diagnostic test for outliers called Cook's distance. Cook's distance is a measure of how much a single sample is influencing the fitted coefficients for a gene, and a large value of Cook's distance is intended to indicate an outlier count. DESeq2 automatically flags genes with Cook's distance above a cutoff and sets their p-values and adjusted p-values to NA. ... With many degrees of freedom—i.e., many more samples than number of parameters to be estimated—it might be undesirable to remove entire genes from the analysis just because their data include a single count outlier. An alternative strategy is to replace the outlier counts with the trimmed mean over all sample, adjusted by the size factor for that sample. This approach is conservative: it will not lead to false positives, as it replaces the outlier value with the value predicted by the null hypothesis." (Holmes and Huber, 2018)

"Since the sampling depth is typically different for different sequencing runs (replicates), we need to estimate the effect of this variable parameter and take it into account in our model. ... Often this part of the analysis is called normalization (the term is not particularly descriptive, but unfortunately it is now well established in the literature)." (Holmes and Huber, 2018)

"Our experimental interventions and our measurement instruments have limited precision and accuracy; often we don't know these limitations at the outset and have to collect preliminary data to estimate them." (Holmes and Huber, 2018)

"Our treatment conditions may have undesired but hard-to-avoid side effects; our measurements may be overlaid with interfering signals or 'background noise'." (Holmes and Huber, 2018)

"Sometimes we explicitly know about factors that cause bias, for instance, when different reagent batches were used in different phases of the experiment. We call these batch effects (Leek et al., 2010). At other times, we may expect that such factors are at work but have no explicit record of them. We call these latent factors. We can treat them as adding to the noise, and in Chapter 4 we saw how to use mixture models to do so. But this may not be enough; with high-dimensional data, noise caused by latent factors tends to be correlated, and this can lead to faulty inference (Leek et al., 2010). The good news is that these same correlations can be exploited to estimate latent factors from the data, model them as bias, and thus reduce the noise (Leek and Storey 2007; Stegle et al. 2010)." (Holmes and Huber, 2018)

"Regular noise can be modeled by simple probability models such as independent normal distributions or Poissons, or by mixtures such as the gamma-Poisson or

Laplace. We can use relatively straightforward methods to take such noise into account in our data analyses and to compute the probability of extraordinarily large or small values. In the real world, this is only part of the story: measurements can be completely off-scale (a sample swap, a contamination, or a software bug), and they can all go awry at the same time (a whole microtiter plate went bad, affecting all data measured from it). Such events are hard to model or even correct for—our best chance of dealing with them is data quality assessment, outlier detection, and documented removal.” (Holmes and Huber, 2018)

“In Chapters 4 and 8 we saw examples of data transformations that compress or stretch the space of quantitative measurements in such a way that the measurements’ variance is more similar throughout. Thus the variance between replicated measurements is no longer highly dependent on the mean value. The mean-variance relationship of our data before transformation can, in principle, be any function, but in many cases, the following prototypic relationships are found, at least approximately: 1. Constant: the variance is independent of the mean...; 2. Poisson: the variance is proportional to the mean...; 3. Quadratic: the standard deviation is proportional to the mean; therefore the variance grows quadratically... The mean-variance relationship in real data can also be a combination of these basic types. For instance, with DNA microarrays, the fluorescence intensities are subject to a combination of background noise that is largely independent of the signal, and multiplicative noise whose standard deviation is proportional to the signal (Rocke and Durbin 2001). ... What is the point of applying a variance-stabilizing transformation? Analyzing the data on the transformed scale tends to: 1. Improve visualization, since the physical space on the plot is used more ‘fairly’ throughout the range of the data. A similar argument applies to the color space in the case of a heatmap. 2. Improve the outcome of ordination methods such as PCA or clustering based on correlation, as the results are not so much dominated by the signal from a few very highly expressed genes, but more uniformly from many genes throughout the dynamic range. 3. Improve the estimates and inference from statistical models that are based on the assumption of identically distributed (and, hence, homoscedastic) noise.” (Holmes and Huber, 2018)

“We distinguish between data quality assessment (QA)—steps taken to measure and monitor data quality—and quality control—the removal of bad data. These activities pervade all phases of an analysis, from assembling the raw data over transformation, summarization, model fitting, hypothesis testing or screening for ‘hits’ to interpretation. QA-related questions include: 1. How do the marginal distributions of the variables look (histograms, ECDF plots)? 2. How do their joint distributions look (scatterplots, pair plots)? 3. How well do replicated agree (as compared to different biological conditions)? Are the magnitudes of different between several conditions plausible? 4. Is there evidence of batch effects? These could be of a categorical (stepwise) or continuous (gradual) nature, e.g., due to changes in experimental reagents, protocols or environmental factors. Factors associated with such effects may be explicitly known, or unknown and latent, and often they are somewhere in between (e.g., when a measurement apparatus slowly degrades over time, and we have recorded the times, but don’t really know exactly when the degradation becomes bad). For the last two sets of questions, heatmaps, principal components plots, and other ordination plots (as we have seen in Chapters 7 and 9) are useful.” (Holmes and Huber, 2018)

“It’s not easy to define quality, and the word is used with many meanings. The

most pertinent for us is fitness for purpose, and this contrasts with other definitions that are based on normative specifications. For instance, in differential expression analysis with RNA-Seq data, our purpose may be the detection of differentially expressed genes between two biological conditions. We can check specifications such as the number of reads, read length, base calling quality and fraction of aligned reads, but ultimately these measures in isolation have little bearing on our purpose. More to the point will be the identification of samples that are not behaving as expected, e.g., because of a sample swap or degradation, or genes that were not measured properly. ... Useful plots include ordination plots ... and heatmaps ... A quality metric is any value that we use to measure quality, and having explicit quality metrics helps in automating QA/QC." (Holmes and Huber, 2018)

**"Use literate programming tools.** Examples are Rmarkdown and Jupyter. This makes code more readable (for yourself and for others) than burying explanations and usage instructions in comments in the source code or in separate README files. In addition, you can directly embed figures and tables in these documents. Such documents are good starting points for the supplementary material of your paper. Moreover, they're great for reporting analyses to your collaborators."

(Holmes and Huber, 2018)

**"Use functions.** It's better than copy-pasting (or repeatedly source-ing) stretches of code." (Holmes and Huber, 2018)

**Use the R package system.** Soon you'll note recurring function or variable definitions that you want to share between your different scripts. It is fine to use the R function source to manage them initially, but it is never too early to move them into your own package—at the latest when you find yourself staring to write emails or code comments explaining to others (or to yourself) how to use some functionality. Assembling existing code into an R package is not hard, and it offers you many goodies, including standardized ways of composing documentation, showing code usage examples, code testing, versioning and provision to others. And quite likely you'll soon appreciate the benefits of using namespaces." (Holmes and Huber, 2018)

**"Think in terms of cooking recipes and try to automate them.** When developing downstream analysis ideas that bring together several different data types, you don't want to do the conversion from data-type-specific formats into a representation suitable for machine learning or a generic statistical method each time anew, on an ad hoc basis. Have a recipe script that assembles the different ingredients and cooks them up as an easily consumable [footnote: In computer science, the term data warehouse is sometimes used for such a concept] matrix, dataframe or Bioconductor SummarizedExperiment." (Holmes and Huber, 2018)

**"Centralize the location of the raw data files and automate the derivation of intermediate data.** Store the input data on a centralized file server that is professionally backed up. Mark the files as read-only. Have a clear and linear workflow for computing the derived data (e.g., normalized, summarized, transformed, etc.) from the raw files, and store these in a separate directory. Anticipate that this workflow will need to be run several times, and version it. Use the BiocFileCache package to mirror these files on your personal computer.

[footnote: A more basic alternative is the rsync utility. A popular solution offered by some organizations is based on ownCloud. Commercial options are Dropbox, Google Drive and the like].” (Holmes and Huber, 2018)

**“Keep a hyperlinked webpage with an index of all analyses.** This is helpful for collaborators (especially if the page and the analysis can be accessed via a web browser) and also a good starting point for the methods part of your paper. Structure it in chronological or logical order, or a combination of both.” (Holmes and Huber, 2018)

“Getting data ready for analysis or visualization often involves a lot of shuffling until they are in the right shape and format for an analytical algorithm or a graphics routine.” (Holmes and Huber, 2018)

“Data analysis pipelines in high-throughput biology often work as ‘funnels’ that successively summarize and compress the data. In high-throughput sequencing, we may start with individual sequencing reads, then align them to a reference, then only count the aligned reads for each position, summarize positions to genes (or other kinds of regions), then ‘normalize’ these numbers by library size to make them comparable across libraries, etc. At each step, we lose information, yet it is important to make sure we still have enough information for the task at hand. [footnote: For instance, for the RNA-Seq differential expression analysis we saw in Chapter 8, we needed the actual read counts, not ‘normalized’ versions; for some analyses, gene-level summaries might suffice, for others, we’ll want to look at the exon or isoform level.] The problem is particularly acute if we build our data pipeline with a series of components from separate developers. Statisticians have a concept for whether certain summaries enable the reconstruction of all the relevant information in the data: sufficiency. … Iterative approaches akin to what we saw when we used the EM algorithm can sometimes help to avoid information loss. For instance, when analyzing mass spectroscopy data, a first run guesses at peaks individually for each sample. After this preliminary spectrum-spotting, another iteration allows us to borrow strength from the other samples to spot spectra that may have been overlooked (or looked like noise) before.” (Holmes and Huber, 2018)

Try to avoid adding in supplementary / meta data “by hand”. For example, if you need to add information about the ID of each sample, and this information is included somewhere in the filename, it will be more robust to use regular expressions to extract this information from the file names, rather than entering it by hand. If you later add new files, the automated approach will be robust to this update, while errors might be introduced for information added by hand.

Example of quality control functionality in xcms: “Below we create boxplots representing the distribution of total ion currents per file. Such plots can be very useful to spot problematic or failing MS runs. … Also, we can cluster the samples based on similarity of their base peak chromatogram. This can also be helpful to spot potentially problematic samples in an experiment or generally get an initial overview of the sample grouping in the experiment. Since the retention times between samples are not exactly identical, we use the bin function to group intensities in fixed time ranges (bins) along the retention time axis. In the present example we use a bin size of 1 second, the default is 0.5

seconds. The clustering is performed using complete linkage hierarchical clustering on the pairwise correlations of the binned base peak chromatograms.” (Smith, 2013)

After some quality checks on the data from LCMS, the next step is to detect the chromatographic peaks in the samples. This requires some specifications to the algorithm that will depend on the settings used on the equipment when the samples were run. “Next we perform the chromatographic peak detection using the centWave algorithm [2]. Before running the peak detection it is however strongly suggested to visually inspect e.g. the extracted ion chromatogram of internal standards or known compounds to evaluate and adapt the peak detection settings since the default settings will not be appropriate for most LCMS experiments. The two most critical parameters for centWave are the peakwidth (expected range of chromatographic peak widths) and ppm (maximum expected deviation of  $m/z$  values of centroids corresponding to one chromatographic peak; this is usually much larger than the ppm specified by the manufacturer) parameters. To evaluate the typical chromatographic peak width we plot the EIC for one peak.” (Smith, 2013)

“Peak detection will not always work perfectly leading to peak detection artifacts, such as overlapping peaks or artificially split peaks. The refineChromPeaks function allows to refine peak detection results by either removing identified peaks not passing a certain criteria or by merging artificially split chromatographic peaks.” (Smith, 2013)

“The time at which analytes elute in the chromatography can vary between samples (and even compounds). Such a difference was already observable in the extracted ion chromatogram plot shown as an example in the previous section. The alignment step, also referred to as retention time correction, aims at adjusting this by shifting signals along the retention time axis to align the signals between different samples within an experiment. A plethora of alignment algorithms exist (see [3]), with some of them being implemented also in xcms. The method to perform the alignment/retention time correction in xcms is adjustRtime which uses different alignment algorithms depending on the provided parameter class. ... In some experiments it might be helpful to perform the alignment based on only a subset of the samples, e.g. if QC samples were injected at regular intervals or if the experiment contains blanks. Alignment method in xcms allow to estimate retention time drifts on a subset of samples (either all samples excluding blanks or QC samples injected at regular intervals during a measurement run) and use these to adjust the full data set.” (Smith, 2013)

“The final step in the metabolomics preprocessing is the correspondence that matches detected chromatographic peaks between samples (and depending on the settings, also within samples if they are adjacent). The method to perform the correspondence in xcms is groupChromPeaks. We will use the peak density method [5] to group chromatographic peaks. The algorithm combines chromatographic peaks depending on the density of peaks along the retention time axis within small slices along the  $m/z$  dimension.” (Smith, 2013)

“The performance of peak detection, alignment and correspondence should always be evaluated by inspecting extracted ion chromatograms e.g. of known compounds, internal standards or identified features in general.” (Smith, 2013)

Normalization can help adjust for technical bias across the samples:

"At last we perform a principal component analysis to evaluate the grouping of the samples in this experiment. Note that we did not perform any data normalization hence the grouping might (and will) also be influenced by technical biases.

... We can see the expected separation between the KO and WT samples on PC2. On PC1 samples separate based on their ID, samples with an ID <= 18 from samples with an ID > 18. This separation might be caused by a technical bias (e.g. measurements performed on different days/weeks) or due to biological properties of the mice analyzed (sex, age, litter mates etc)." (Smith, 2013)

"Normalizing features' signal intensities is required, but at present not (yet) supported in xcms (some methods might be added in near future). It is advised to use the SummarizedExperiment returned by the quantify method for any further data processing, as this type of object stores feature definitions, sample annotations as well as feature abundances in the same object. For the identification of e.g. features with significant different intensities/abundances it is suggested to use functionality provided in other R packages, such as Bioconductor's excellent limma package." (Smith, 2013)

### 3.1.6 Discussion questions

## 3.2 Introduction to scripted data pre-processing in R

We will show how to implement scripted pre-processing of experimental data through R scripts. We will demonstrate the difference between interactive coding and code scripts, using R for examples. We will then demonstrate how to create, save, and run an R code script for a simple data cleaning task.

**Objectives.** After this module, the trainee will be able to:

- Describe what an R code script is and how it differs from interactive coding in R
- Create and save an R script to perform a simple data pre-processing task
- Run an R script
- List some popular packages in R for pre-processing biomedical data

### 3.2.1 Compiled versus interpreted programming languages

When computers were first being developed, they were very tricky to program, as they required humans to translate appropriate logic down to a very granular level that the computers of the time could process. As computer development continued, development of programming techniques and languages developed as well. These evolved to allow a programmer to write at a level of logic that is more straightforward for humans, and then the inner design of the programming language did the work of translating those instructions for the computer.

One key development in programming languages was the development of *interpreted* programming languages. These are in contrast to a type of programming languages called *compiled languages*. With compiled languages, you must

write the full set of instructions for the computer to run. This full set of instructions is then sent through a programmer called a *compiler*, which translates the instructions for the computer, and then the program can be run, either once or repeatedly. By contrast, interpreted languages do this type of compiling (translating for the computer) “on the fly”, and so they allow you to run each step of the instructions as you write them, and then check the output a step at a time.

It may be easier to understand this difference with an analogy, so we’ll make a comparison with teaching someone how to cook a recipe. With an interpreted language, it is as if you are in the kitchen with the person you are teaching. You can tell them to do the first step (“chop the onion into small dice”). Then, you can take a look at the result. If you don’t like it (“those dice aren’t small enough—make them smaller”), you can give a new instruction. You can work through the entire recipe like this, checking and adjusting as you go. By contrast, with a compiled language, it is as if you have to write down the whole recipe and mail it off to someone in a different city, and then hope it all works okay.

Compiled languages have a number of advantages—speed of running the code being a key one—that mean they are still widely used. However, interpreted languages are much easier for a new programmer to learn, as they allow this process of checking and adjusting, really allowing someone to see what’s going on with each thing they ask the computer to do. Interpreted languages are often now taught as a programmer’s first language, with Python as a particularly popular first language. Other interpreted languages include Julia and R, with R being particularly popular for data science in general and for bioinformatics and other biological research in particular.

### 3.2.2 *Code scripts versus interactive coding*

When you use an interactive programming language, like R, you will likely start to explore your data by working interactively, running one call, looking at the results, and then running the next call, adapting as needed based on the results you see at each step.

### 3.2.3 *Process of building a code script*

A code script is essentially a recipe for cleaning and analyzing data.

### 3.2.4 *Applied exercise*

## 3.3 *Simplify scripted pre-processing through R’s ‘tidyverse’ tools*

The R programming language now includes a collection of ‘tidyverse’ extension packages that enable user-friendly yet powerful work with experimental data, including pre-processing and exploratory visualizations. The principle behind

the ‘tidyverse’ is that a collection of simple, general tools can be joined together to solve complex problems, as long as a consistent format is used for the input and output of each tool (the ‘tidy’ data format taught in other modules). In this module, we will explain why this ‘tidyverse’ system is so powerful and how it can be leveraged within biomedical research, especially for reproducibly pre-processing experimental data.

**Objectives.** After this module, the trainee will be able to:

- Define R’s ‘tidyverse’ system
- Explain how the ‘tidyverse’ collection of packages can be both user-friendly and powerful in solving many complex tasks with data
- Describe the difference between base R and R’s ‘tidyverse’.

### 3.3.1 Limitations of object-oriented programming

In previous sections, we described how the R programming language allows for object-oriented programming, and how customized objects are often used in preprocessing for biological data. This is a helpful approach for preprocessing, because it can handle complexities in biological data at its early stages of preprocessing, when R must handle complex input formats from equipment like flow cytometers or mass spectrometers, and data sizes that are often very large.

However, once you have preprocessed your data, it is often possible to work with it in a smaller, more consistent object type. This will give you a lot of flexibility and power. While object-oriented approaches can handle complex data, it can be a little hard to write and work with code that is built on an object oriented approach. Working with this type of code requires you to keep track of what object type your data is in at each stage of a code pipeline, as well as which functions can work with that type of object.

Further, this type of coding, in practice at least, can be a bit inflexible. Often, specific functions only work with a single or few types of functions. In theory, object-oriented programming allows for *methods* that work in customized ways with different types of objects to apply customized code to that type of object for similar, common-sense results. For example, there are often *summary* and *plot* methods for most types of objects, and these apply code that is customized to that object type and output, respectively, summarized information about the data in the object and a plot of the data in the object. However, when you want to do more with the object that summarize it or create its default plot, you often end up needing to move to more customized functions that work only with a single or few object types. When you get to this point, you find that you have to remember which functions work with which object type, and you have to use different functions at different stages of your code pipeline, as your code changes from one object class to another.

Further, many of these functions input one object type and output a different one. This evolution of object types for storing data can be difficult to navigate

and keep track of. Different object types store data in different ways, and so this evolution of data object types for storage can make it tricky to figure out how to extract and explore data along the pipeline. It makes it hard to write your own code to explore and visualize the data along the way, as well, and so users are often restricted to the visualization and analysis functions pre-made and shared in packages when working with data in complex object types, especially until the user becomes very comfortable with coding in R.

Overall, what does this all mean? Object-oriented approaches offer real advantages early in the process of pre-processing biological data, especially complex and large data output from complex laboratory equipment. However, once this pre-processing is completed, there is a big advantage in moving the data into a simple format and then continuing coding, data analysis, and visualization using tools that work with this simple format. This is the approach taken by a suite of R packages called the “tidyverse”, as well as extensions that build off the approach that this suite of tools embraces. This “tidyverse” approach is described in the next section.

### 3.3.2 The “tidyverse” approach

The term “elegance” often captures styles and approaches that are beautiful and functional without unneeded extras or complexity. Engineers and scientists sometimes use this term to capture approaches that achieve a desired result with minimal complexity and friction. A coding problem, for example, could be solved by an average coder with a hundred lines of code that get the job done, but a very good coder might be able to solve the same problem with five lines of code that are easy to follow. The second approach would be applauded as the “elegant” solution. In mathematics, similarly, proofs can be complex and unwieldy, or they can be simple and elegant—this idea was beautifully captured by the Hungarian mathematician Paul Erdos, who famously described very elegant mathematical proofs as being from “The Book”—that is, God’s own version of the proof of the mathematical idea.

“Paul Erdos liked to talk about The Book, in which God maintains the perfect proofs for mathematical theorems, following the dictum of G. H. Hardy that there is no permanent place for ugly mathematics. Erdos also said that you need not believe in God but, as a mathematician, you should believe in The Book.” [Proofs from the Book, Third Edition, Preface]

The “tidyverse” approach in R is elegant. It is powerful, and gives you immense flexibility once you’ve gotten the hang of it, but it’s also so straightforward that the basics can be quickly taught to and applied by beginning coders. It focuses on keeping data in a simple, standard format called “tidy” dataframes. By keeping data in this format while working with it, common tools can be applied that work with the data at any stage of a “tidy” coding pipeline. These tools take a “tidy” dataframe as their input, and they also output a “tidy” dataframe, with whatever change the function implements applied. Because

each of these “tidyverse” tools input and output data in the same standard format, they can be strung together in order you want. By contrast, when functions input and output data in different object types, they can only be joined in a specified order, because you can only apply certain functions to certain object types.

Since the “tidyverse” tools can be strung together in any order, they can be used very flexibly to build up to do interesting tasks. The tidyverse tools generally each do very small and simple things. For example, one function (`select`) just limits the data to a subset of its original columns; another (`mutate`) adds or changes values in columns of the dataset, while another (`distinct`) limits the dataframe to remove any rows that are duplicates. These small, simple steps can be combined together in different patterns to add up to complex operations on the data, while keeping each step very simple and clear. Since the data stays in a standard and simple object type, it is easy to check in on your data at any stage, as the common visualization tools for this approach (from the `ggplot2` package and its extensions) can be always be applied to data stored in a tidy dataframe.

The centralizing principal of the tidyverse approach is the format in which data is stored throughout “tidyverse” coding—the tidy dataframe. We’ve described this data type, including its rules and advantages, in an earlier module of this book. Briefly, you can think of this format in two parts. First, there’s the R object type that the data should be stored in—a basic “dataframe” object. The dataframe object type is a very basic two-dimensional format for storing data in R. When you print it out, it will remind you of looking at data in a spreadsheet. The two dimensions—rows and columns—allow you to include data for one or more observations, with different values that were measured for each. For example, if you were conducting a study of children’s BMI and blood sugar, you might have an observation for each child in the study, and values measured for each child of height, weight, a blood sugar measure, study ID, and date of the observation.

The two-dimensional structure of a dataframe keeps the values measured for each observation lined up with each other, and lets you keep them aligned as you work with the data. You could also store data for each value as separate objects, in one-dimensional vectors, which you can visualize as strings of values of the same data type, like the dates that each observation was made, or the weight of each study subject. However, when the data is in separate vectors, it is easy to make coding mistakes, and coding is often less efficient. If you want to remove one observation, for example, because you find it is a duplicate, you would need to carefully make sure you remove it correctly from each vector. When data are stored in a dataframe, you can remove the row for that observation with one command, and you can be sure that you’ve removed the value you meant to from each of the measured values.

Sometimes, you’ll see that data in a tidyverse approach are stored in a special type of dataframe called a “tibble”—this isn’t very different from a

dataframe, and in fact is a special type of dataframe. It's only differences in practice are that it has a slightly different print method. The print method is the method that's run, by default, when you just type the R object's name at the console. A tibble prints more nicely than a basic dataframe. By default, it will only print the first few lines. By contrast, a dataframe will, by default, print everything—if you have a lot of data, this can create an overwhelming amount of output when you just want to check out what the data looks like. The printout of a tibble will also include some interesting annotations to help you see what's in the data, including the dimensions of the full dataframe and the data type of each column in the data.

The R object class—dataframe, and more specifically, tibble—of the standard format for data for a tidyverse approach is just the first part of the standard data format for the tidyverse approach. The second part of the standard format is how you organize your data in this format. To easily work with tidyverse functions, you'll want to make sure that your data is stored within that dataframe following “tidy” data principals. These are fully described in an earlier module in this book [which module]. If you use this data format to initially collect your data, as described in an earlier module, you will find it very easy to read the data into R and work within the tidyverse approach. When working with larger and more complex data collected from laboratory equipment, you may find you need to do some preprocessing of the data using an object-oriented approach before you can move the data into this tidy format, but at that point, you can continue with analysis and visualization of your data using a tidyverse approach.

### 3.3.3 How to “tidyverse”

Once data are in the “tidy” data format, you can create a pipeline of code that uses small tools, each of which does one simple thing, to work with the data. This work can include cleaning the data, adding values that are functions of the original values for each observation (e.g., adding a column with BMI based on values for each observation on height and weight), applying statistical models to test hypotheses, summarizing data to create tables, and visualizing the data.

The tidyverse approach is now widely taught, both in in-person courses at universities and through a variety of online resources. One key resource for learning the tidyverse approach for R is the book *R for Data Science* by Hadley Wickham (the primary developer of the tidyverse) and Garrett Grolemund. This book is available as a print edition through O'Reilly Media. It is also freely available online at <https://r4ds.had.co.nz/>. This book is geared to beginners in R, moving through to get readers to an intermediate stage of coding expertise, which is a level that will allow most scientific researchers to powerfully work with their experimental data. The book includes exercises for practicing the concepts, and a separate online book is available with solutions for the exercises (<https://jrnold.github.io/r4ds-exercise-solutions/>).

[More on other resources for learning the tidyverse.]

Since there are so many excellent resources available—many for free—to learn how to code in R using the tidyverse approach, we consider it beyond the scope of these modules to go more deeply into these instructions. However, we do think it is critical that biological researchers learn how to connect this approach to the type of coding that is often necessary for pre-processing large and complex data that is output from laboratory equipment. Through many of the modules in this book, we provide advice on how to make these connections, so that data from different sources—including different types of laboratory equipment and hand-recorded data collected by personnel in the lab, like colony forming units measured from plating samples—can all be connected in a tidyverse pipeline by recording hand-recorded data following a tidy format and by pre-processing data with the aim of moving data toward a tidy dataframe that can be integrated with other “tidy” data for analysis and visualization.

### 3.3.4 Subsection 1

“There is a now-old trope in the world of programming. It’s called the ‘worse is better’ debate; it seeks to explain why the Unix operating systems (which include Mac OS X these days), made up of so many little interchangeable parts, were so much more successful in the marketplace than LISP systems, which were ideologically pure, based on a single language (again, LISP), which itself was exceptionally simple, a favorite of ‘serious’ hackers everywhere. It’s too complex to rehash here, but one of the ideas inherent within ‘worse is better’ is that systems made up of many simple pieces that can be joined together, even if those pieces don’t share a consistent interface, are likely to be more successful than systems that are designed with consistency in every regard. And it strikes me that this is a fundamental drama of new technologies. Unix beat out the LISP machines. If you consider mobile handsets, many of which run descendants of Unix (iOS and Android), Unix beat out Windows as well. And HTML5 beat out all of the various initiatives to create a single unified web. It nods to accessibility: it doesn’t get in the way of those who want to make something huge and interconnected. But it doesn’t enforce; it doesn’t seek to change the behavior of page creators in the same way that such lost standards as XHTML 2.0 (which emerged from the offices of the World Wide Web Consortium, and then disappeared under the weight of its own intentions) once did. It’s not a bad place to end up. It means that there is no single framework, no set of easy rules to learn, no overarching principles that, once learned, can make the web appear like a golden statue atop a mountain. There are just components: HTML to get the words on the page, forms to get people to write in, videos and images to put up pictures, moving or otherwise, and JavaScript to make everything dance.” (Ford, 2014)

“One of the fundamental contributions of the Unix system [is] the idea of a *pipe*. A pipe is a way to connect the output of one program to the input of another program without any temporary file; a *pipeline* is a connection of two or more programs through pipes. ... Any program that reads from a terminal can read from a pipe instead; any program that writes to the terminal can write to a pipe. ... The programs in a pipeline actually run at the same time, not one after another. This means that the programs in a pipeline can be interactive; the kernel

looks after whatever scheduling and synchronization is needed to make it all work. As you probably suspect by now, the shell arranges things when you ask for a pipe; the individual programs are oblivious to the redirection.” (Kernighan and Pike, 1984)

“Even though the Unix system introduces a number of innovative programs and techniques, no single program or idea makes it work well. Instead, what makes it effective is an approach to programming, a philosophy of using the computer. Although that philosophy can’t be written down in a single sentence, at its heart is the idea that the power of a system comes more from the relationships among programs than from the programs themselves. Many Unix programs do quite trivial things in isolation, but, combined with other programs, become general and useful tools.” (Kernighan and Pike, 1984)

“What is ‘Unix’? In the narrowest sense, it is a time-sharing operating system *kernel*: a program that controls the resources of a computer and allocates them among its users. It lets users run their programs; it controls the peripheral devices (discs, terminals, printers, and the like) connected to the machine; and it provides a file system that manages the long-term storage of information such as programs, data, and documents. In a broader sense, ‘Unix’ is often taken to include not only the kernel, but also essential programs like compilers, editors, command languages, programs for copying and printing files, and so on. Still more broadly, ‘Unix’ may even include programs developed by you or others to be run on your system, such as tools for document preparation, routines for statistical analysis, and graphics packages.” (Kernighan and Pike, 1984)

“A common observation is that more of the data scientist’s time is occupied with data cleaning, manipulation, and ‘munging’ than it is with actual statistical modeling (Rahm and Do, 2000; Dasu and Johnson, 2003). Thus, the development of tools for manipulating and transforming data is necessary for efficient and effective data analysis. One important choice for a data scientist working in R is how data should be structured, particularly the choice of dividing observations across rows, columns, and multiple tables. The concept of ‘tidy data,’ introduced by Wickham (2014a), offers a set of guidelines for organizing data in order to facilitate statistical analysis and visualization. ... This framework makes it easy for analysts to reshape, combine, group and otherwise manipulate data. Packages such as ggplot2, dplyr, and many built-in R modeling and plotting functions require the input to be in a tidy form, so keeping the data in this form allows multiple tools to be used in sequence in a seamless analysis pipeline (Wickham, 2009; Wickham and Francois, 2014).” (Robinson, 2014)

### 3.3.5 Subsection 2

### 3.3.6 Practice quiz

## 3.4 Complex data types in experimental data pre-processing

Raw data from many biomedical experiments, especially those that use high-throughput techniques, can be very large and complex. Because of the scale and complexity of these data, software for pre-processing the data in R often uses complex, ‘untidy’ data formats. While these formats are necessary for

computational efficiency, they add a critical barrier for researchers wishing to implement reproducibility tools. In this module, we will explain why use of complex data formats is often necessary within open source pre-processing software and outline the hurdles created in reproducibility tool use among laboratory-based scientists.

**Objectives.** After this module, the trainee will be able to:

- Explain why R software for pre-processing biomedical data often stores data in complex, ‘untidy’ formats
- Describe how these complex data formats can create barriers to laboratory-based researchers seeking to use reproducibility tools for data pre-processing

### 3.4.1 Subsection 1

In previous modules, we have gone into a lot of detail about all of the advantages of the tidyverse approach. However as you work with biomedical data, particularly complex data from complex research equipment like mass spectrometers and Flow cytometers, you may find that it is unreasonable to start with a tiny burst approach from the first steps of pre processing the data. In this module we will explain why the tidyverse approach is currently not appropriate throughout all steps of pre-processing, analysis, and visualization of the types of data that you may collect through a biomedical research experiment. We will present some of the approaches and data storage methods used in passages in the bioconductor project, as well as explain some more about the purpose an approach of bioconductor. This will include an explanation of the more complex structures that are used to store data through many of the packages in by a conductor. These largely leverage a system in our call BF4 object-oriented system. We will cover several of the most popular object classes that are used to store data for bioconductor packages. Any leader module we will explain how early steps in data preprocessing, which use the bioconductor approach and bioconductor data storage objects, can be combined and transferred during it works slow to convert to using a tidyverse approach leader in the workflow when it is appropriate to store data in simpler structures like dataframes.

When you process data using a programming language, there will be different structures that you can use to store data as you work with it. In other modules, we've discussed the “tidyverse” approach to processing data in R—this approach emphasizes the dataframe as a way to store data while you're working with it. In fact, its use of this data structure for data storage is one of the defining features of the “tidyverse” approach.

Data in R can be stored in a variety of other formats, too. When you are working with biological data—in particular, complex or large data output from laboratory equipment—there can be advantages to using data structures besides dataframes. In this section, we'll discuss some of the complex characteristics of biomedical data that recommend the use of data structures in R beyond the dataframe. We'll also discuss how the use of these other data structures

can complicate the use of “tidyverse” functions and principles that you might learn in beginning R programming courses and books. In later modules, we’ll discuss how to connect your work in R to clean and analyze data by performing earlier pre-processing steps using more complex data structures and then transferring when possible to dataframes for storing data, to allow you to take advantage of the power and ease of the “tidyverse” approach as early as possible in your pipeline.

### 3.4.2 Complex versus simple structures for storing data

The R programming language offers a wide variety of structures that can be used to store data as you work with it, including steps of preprocessing and analysis of the data. Some of these structures are defined through the base R language that you first install, while other structures are specially defined through the extension R packages you add as you continue to work with R. These packages are specific to the tasks you aim to do, and if they define their own data storage structures, those structures are typically customized to that task.

For example, there are packages—including the `xcms` package, for example—that allow you to load and preprocess data from LC-MS experiments. These packages include functionality to load data from a specialized format output by mass spectrometry equipment, as well as identify and align peaks within the data that might indicate, for example, metabolite features for a metabolomics analysis. The `xcms` package defines its own structures that are used to store data during this preprocessing, and also draws on specialized data structures defined in other R extension packages, including the `OnDiskMSnExp` data object class that is defined by the `MSnbase` package.

Complex data structures like these can be very precise in defining what types of data they contain and where each component of the data goes. Later in this and other modules, we will provide more details about the advantages and disadvantages of these types of specialized data storage formats, especially in the context of improving transparency, rigor, and reproducibility across the steps of preprocessing experimental biomedical data.

By contrast to these more complex data formats, there are a number of simple, general purpose data structures that are often used to store data in R. These include **vectors**, which are used to store one-dimensional strings of data of a single type (e.g., all numeric, or all character strings), **matrices**, which are also used to store data of a single type, but with a two-dimensional structure, and **dataframes**, which are used to store multiple vectors of the same length, and so allow for storing measurements of different data types for multiple observations.

[Figure: examples of these three structures]

As you learn R, you will almost certainly learn how to create and work with these more general data formats, including how to explore the data stored in

each of them. By contrast, you may never learn many of the more complex data storage formats, especially if you are not using packages from Bioconductor. However, there are a number of good reasons why R packages—especially those shared through Bioconductor—define and use more complex data formats. In this and following modules, we will explain the advantages and disadvantages of complex versus simpler data storage formats in R. We will also explain how these advantages and disadvantages weigh out differently in different stages of a data preprocessing and analysis workflow. Finally, we will describe how you can leverage both to your advantage, and in particular the tools and approaches that you can use to shift from a Bioconductor-style approach—with heavy use of complex data storage formats—early in your preprocessing pipeline to a tidyverse approach—centered on storing data in a simple, tidy dataframe object—at later stages, when the data are more suitable to this simpler storage format, which allows you to leverage the powerful and widely-taught tidyverse approach in later steps of analysis and visualization.

In these modules, we will focus on explaining these ideas within the R programming language. This language is a very popular one for both biomedical data sets and also for more general tasks in data management and analysis. However, these principles also apply to other programming languages, particularly those that can be used in an interactive format, including Python and Julia.

### 3.4.3 Advantages of complex structures for storing data

There are two main features of biomedical data—in particular, data collected from laboratory equipment like flow cytometers and mass spectrometers—that make it useful to use more complex data structures in R in the earlier stages of preprocessing the data. First, the data are often very large, in some cases so large that it is difficult to read them into R. Second, the data might combine various elements, each with their own natural structures, that you'd like to keep together as you move through the steps of preprocessing the data.

[Data size, on-disk backends for files, like HDF5 and netCDF—used for flow cytometry file format?]

[Potential future direction—developments of tidyverse based front ends for data stored in databases or on-disk file formats—sergeant package is one example, also running tidyverse commands on data in database, matter package?, disk.frame package?]

“Reading in a large dataset for which you do not have enough RAM is one easy way to freeze up your computer (or at least your R session). This is usually an unpleasant experience that usually requires you to kill the R process, in the best case scenario, or reboot your computer, in the worst case.” (Peng, 2016)

“Input/output (I/O) is the technical term for reading and writing data: the process of getting information into a particular computer system (in this case R) and then exporting it to the ‘outside world’ again (in this case as a file format that other

software can read). Data I/O will be needed on projects where data comes from, or goes to, external sources. However, the majority of R resources and documentation start with the optimistic assumption that your data has already been loaded, ignoring the fact that importing datasets into R, and exporting them to the world outside the R ecosystem, can be a time-consuming and frustrating process. Tricky, slow or ultimately unsuccessful data I/O can cripple efficiency right at the outset of a project. Conversely, reading and writing your data efficiently will make your R projects more likely to succeed in the outside world.” (Gillespie and Lovelace, 2016)

“There are circumstances when datasets become too large to read directly into R. Reading in a 4 GB text file using the functions tested above, for example, consumes all available RAM on a 16 GB machine. To overcome this limitation, external stream processing tools can be used to preprocess large text files. The following command, using the Linux command line ‘shell’ (or Windows based Linux shell emulator Cygwin) command split, for example, will break a large multi GB file into many chunks, each of which is more manageable for R:  
`split -b100m bigfile.csv` The result is a series of files, set to 100 MB each with the `-b100m` argument in the above code. By default these will be called `xaa`, `xab` and can be read in one chunk at a time (e.g. using `read.csv()`, `fread()` or `read_csv()`, described in the previous section) without crashing most modern computers. Splitting a large file into individual chunks may allow it to be read into R. This is not an efficient way to import large datasets, however, because it results in a non-random sample of the data this way. A more efficient, robust and scalable way to work with large datasets is via databases, covered in Section 6.6 in the next chapter.” (Gillespie and Lovelace, 2016)

“Random access memory (RAM) is a type of computer memory that can be accessed randomly: any byte of memory can be accessed without touching the preceding bytes. RAM is found in computers, phones, tablets and even printers. The amount of RAM R has access to is incredibly important. Since R loads objects into RAM, the amount of RAM you have available can limit the size of data set you can analyse.” (Gillespie and Lovelace, 2016)

“A rough rule of thumb is that your RAM should be three times the size of your data set.” (Gillespie and Lovelace, 2016)

“RAM is cheap and thinking hurts.” – Uwe Ligges (about memory requirements in R) R-help (June 2007) `fortunes::fortune(192)`, also quoted in (Gillespie and Lovelace, 2016)

“R comes in two versions: 32-bit and 64-bit. Your operating system also comes in two versions, 32-bit and 64-bit. Ideally you want 64-bit versions of both R and the operating system. Using a 32-bit version of either has severe limitations on the amount of RAM R can access. So when we suggest that you should just buy more RAM, this assumes that you are using a 64-bit operating system, with a 64-bit version of R. [Note: If you are using an OS version from the last five years, it is unlikely to be 32-bit OS.] A 32-bit machine can access at most only 4 GB of RAM. Although some CPUs offer solutions to this limitation, if you are running a 32-bit operating system, then R is limited to around 3 GB RAM. If you are running a 64-bit operating system, but only a 32-bit version of R, then you have access to slightly more memory (but not much). Modern systems should run

a 64 -bit operating system, with a 64 -bit version of R. Your memory limit is now measured as 8 terabytes for Windows machines and 128 TB for Unix-based OSs.” (Gillespie and Lovelace, 2016)

“The OnDiskMSnExp class extends MSnExp and inherits all of its functionality but is aimed to use as little memory as possible based on a balance between memory demand and performance. Most of the spectrum-specific data, like retention time, polarity, total ion current are stored within the object’s featureData slot. The actual M/Z and intensity values from the individual spectra are, in contrast to MSnExp objects, not kept in memory (in the assayData slot), but are fetched from the original files on-demand. Because mzML files are indexed, using the mzR package to read the relevant spectrum data is fast and only moderately slower than for in-memory MSnExp.” (Gatto, 2013)

“[For OnDiskMSnExp:] To keep track of data manipulation steps that are applied to spectrum data (such as performed by methods removePeaks or clean) a lazy execution framework was implemented. Methods that manipulate or subset a spectrum’s M/Z or intensity values can not be applied directly to a OnDiskMSnExp object, since the relevant data is not kept in memory. Thus, any call to a processing method that changes or subset M/Z or intensity values are added as ProcessingStep items to the object’s spectraProcessingQueue. When the spectrum data is then queried from an OnDiskMSnExp, the spectra are read in from the file and all these processing steps are applied on-the-fly to the spectrum data before being returned to the user. The operations involving extracting or manipulating spectrum data are applied on a per-file basis, which enables parallel processing. Thus, all corresponding method implementations for OnDiskMSnExp objects have an argument BPPARAM and users can set a PARALLEL\_THRESH option flag 2 that enables to define how and when parallel processing should be performed (using the BiocParallel package). Note that all data manipulations that are not applied to M/Z or intensity values of a spectrum (e.g. sub-setting by retention time etc) are very fast as they operate directly to the object’s featureData slot.” (Gatto, 2013)

“The distinction between MSnExp and OnDiskMSnExp is often not explicitly stated as it should not matter, from a user’s perspective, which data structure they are working with, as both behave in equivalent ways. Often, they are referred to as in-memory and on-disk MSnExp implementations.” (Gatto, 2013)

“Big data is encountered in genomics for two reasons: the size of the genome and the heterogeneity of populations. Complex organisms, such as plants and animals, have genomes on the order of billions of base pairs (the human genome consists of over three billion base pairs). The diversity of populations, whether of organisms, tissues or cells, means we need to sample deeply to detect low frequency events. To interrogate long and/or numerous genomic sequences, many measurements are necessary. For example, a typical whole genome sequencing experiment will consist of over one billion reads of 75–100 bp each. The reads are aligned across billions of positions, most of which have been annotated in some way. This experiment may be repeated for thousands of samples. Such a data set does not fit within the memory of a current commodity computer, and is not processed in a timely and interactive manner. To successfully wrangle a large data set, we need to intimately understand its structure and carefully consider the questions posed of it.” (Lawrence and Morgan, 2014)

"To compare data across samples, we often summarize experimental annotations over a set of reference features to yield a feature-by-sample matrix. For example, we might count read alignments overlapping a common set of genes across a number of samples. Larger matrices often arise in genetics, where thousands of samples are compared over millions of SNPs, positions that are known to vary within a population. In every case, the summaries are tied to a genomic range." (Lawrence and Morgan, 2014)

"The strengths of R are also its weaknesses: the R API encourages users to store entire data sets in memory as vectors. These vectors are implicitly and silently copied to achieve copy-on-write semantics, contributing to high memory usage and poor performance." (Lawrence and Morgan, 2014)

"There are general strategies for handling large genomic data that are well suited to R programs. Sometimes the analyst is only interested in one aspect of the data, such as that overlapping a single gene. In such cases, restricting the data to that subset is a valid and effective means of data reduction. However, once our interests extend beyond a single region or the region becomes too large, resource constraints dictate that we cannot load the entire data set into memory at once, and we need to iterate over the data to reduce them to a set of interpretable summaries. Iteration lends itself to parallelism, that is, computing on multiple parts of the same problem simultaneously. Thus, in addition to meeting memory constraints, iteration lets us leverage additional processing resources to reduce overall computation time. Investing in additional hardware is often more economical than investment in software optimization. This is particularly relevant in scientific computing, where we are faced with a diverse, rapidly evolving set of unsolved problems, each requiring specialized software. The costs of investment in general purpose hardware are amortized over each problem, rather than paid each time for software optimization. This also relates to maintainability: optimization typically comes at a cost of increased code complexity. Many types of summary and filter operations are cheap to implement in parallel because the data partitions can be processed independently. We call this type of operation embarrassingly parallel. For example, the counting of reads overlapping a gene does not depend on the counting for a different gene." (Lawrence and Morgan, 2014)

"Our ultimate goal is to process and summarize a large data set in its entirety, and iteration enables this by limiting the resource commitment at a given point in time. Limiting resource consumption generalizes beyond iteration and is a fundamental technique for computing with big data. In many cases, it may render iteration unnecessary. Two effective approaches for being frugal with data are restriction and compression. Restriction means controlling which data are loaded and lets us avoid wasting resources on irrelevant or excessive data. Compression helps by representing the same data with fewer resources." (Lawrence and Morgan, 2014)

"A special mode of restriction is to randomly generate a selection of records. Down-sampling can address many questions, especially during quality assessment and data exploration. For example, short reads are initially summarized in FASTQ files containing a plain text representation of base calls and corresponding quality scores. Basic statistics of quality assessment such as the nucleotide count as a function of sequencing cycle or overall GC content are very well characterized

by random samples of a million reads, which might be 1% of the data. This sample fits easily in memory. Computations on this size of data are very nimble, enabling interactive exploration on commodity computers. An essential requirement is that the data represent a random sample. The ShortRead package is designed for the QA and exploratory analysis of the output from high-throughput sequencing instruments. It defines the FastqSampler object, which draws random samples from FASTQ files.” (Lawrence and Morgan, 2014)

“An example of a situation where random sampling does not work is when prototyping a statistical method that depends on a significant amount of data to achieve reasonable power. Variant calling is a specific example: restricting the number of reads would lead to less coverage, less power and less meaningful results. Instead, we need to restrict the analysis to a particular region and include all of the reads falling within it. To optimize range-based queries, we often sort and index our data structures by genomic coordinates. We should consider indexing an investment because an index is generally expensive to generate but cheap to query. The justification is that we will issue a sufficient number of queries to outweigh the initial generation cost. Three primary file formats follow this pattern: BAM, Tabix and BigWig [7, 10]. Each format is best suited for a particular type of data. The BAM format is specially designed for sequence alignments and stores the complex alignment structure, as well as the aligned sequence. Tabix is meant for indexing general rangebased annotations stored in tabular text files, such as BED and GFF. Finally, BigWig is optimized for storing genome-length vectors, such as the coverage from a sequencing experiment. BAM and Tabix compress the primary data with block-wise gzip compression and save the index as a separate file. BigWig files are similarly compressed but are self-contained. The Rsamtools package is an interface between R and the samtools library, which implements access to BAM, Tabix and other binary file formats. Rsamtools enables restriction of BAM queries through the ScanBamParam object. This object can be used as an argument to all BAM input functions, and enables restriction to particular fields of the BAM file, to specific genomic regions of interest and to properties of the aligned reads (e.g., restricting input to paired-end alignments that form proper pairs).” (Lawrence and Morgan, 2014)

“One common scenario in high-throughput sequencing is the calculation of statistics such as coverage (the number of short sequence reads overlapping each nucleotide in the genome). The data required for this calculation usually come from very large BAM files containing alignment coordinates (including the alignment “cigar”), sequences and quality scores for tens of millions of short reads. Only the smallest element of these data, the alignment coordinates, is required for calculation of coverage. By restricting input to alignment coordinates, we transform the computational task from one of complicated memory management of large data to simple vectorized operations on in-memory objects.” (Lawrence and Morgan, 2014)

“Some vectors, in particular, the coverage, have long stretches of repeated values, often zeroes. An efficient compression scheme for such cases is run-length encoding. Each run of repeated values is reduced to two values: the length of the run and the repeated value. This scheme saves space and also reduces computation time by reducing computation size. For example, the vector 0, 0, 0, 1, 1, 5, 5 would have run-values 0, 1, 5 and run-lengths 3, 2, 3. The data have been reduced from a size of 8 to a size of 6 (3 values plus 3 lengths). The IRanges

Rle class is a run-length encoded vector that supports the full R vector API on top of the compressed representation. Operations on an Rle gain efficiency by taking advantage of the compression. For example, the sum method computes a sum of the run values, using the run lengths as weights. Thus, the time complexity is on the order of the number of runs, rather than the length of the vector.”

(Lawrence and Morgan, 2014)

“The Biostrings package [12] provides XStringViews for views on top of DNA, RNA and amino acid sequences. XString is a reference, rather than a value as is typical in R, so we can create multiple XStringViews objects without copying the underlying data. This is an application of the *fly-weight* design pattern: multiple objects decorate the same primary data structure, which is stored only once in memory.” (Lawrence and Morgan, 2014)

“Iterative summarization of data may be modeled as three separate steps: split, apply and combine [15]. The split step is typically the only one that depends on the size of the input data. The apply step operates on data of restricted size, and it should reduce the data to a scale that facilitates combination. Thus, the most challenging step is the first: splitting the data into chunks small enough to meet resource constraints. Two modes of splitting are particularly applicable to genomic data: sequential chunking and genomic partitioning. Sequential chunking is a popular and general technique that simply loads records in fixedcount chunks, according to the order in which they are stored. Genomic partitioning iterates over a disjoint set of ranges that cover the genome. Typical partitioning schemes include one range per chromosome and sub-chromosomal ranges of some uniform size. Efficient range-based iteration, whether over a partitioning or list of interesting regions, depends on data structures, file formats and algorithms that are optimized for range-based queries.” (Lawrence and Morgan, 2014)

“As an alternative to streaming over chunks, we can iterate over a partitioning of the genome or other domain. Genomic partitioning can be preferable to streaming when we are only interested in certain regions. The tileGenome function is a convenience for generating a set of ranges that partition a genome. ... A caveat with partitioning is that since many query algorithms return ranges with any overlap of the query, care must be taken to intersect the results with each partition, so that reads are not double counted, for example.” (Lawrence and Morgan, 2014)

“The Bioconductor project distributes the software as a number of different R packages, including Rsamtools, IRanges, GenomicRanges, GenomicAlignments, Biostrings, rtracklayer, biovizBase and BiocParallel. The software enables the analyst to conserve computational resources, iteratively generate summaries and visualize data at arbitrary levels of detail. These advances have helped to ensure that R and Bioconductor remain relevant in the age of high-throughput sequencing. We plan to continue in this direction by designing and implementing abstractions that enable user code to be agnostic to the mode of data storage, whether it be memory, files or databases. This will bring much needed agility to resource allocation and will enable the user to be more resourceful, without the burden of increased complexity.” (Lawrence and Morgan, 2014)

“The most widely used partitional clustering algorithm is k-means [6–8]. The algorithm partitions N cells into k clusters each represented by a centroid, or

mean profile, for the cells in the  $k$ th cluster. This algorithm is commonly used not only on its own, but also as a component of ensemble clustering [9, 10]. While k-means is easy to implement, it assumes that the user has enough computational resources (specifically RAM) to store the data and all intermediate calculations into memory. However, file sizes generated from scRNA-seq experiments can be on the order of tens to hundreds of gigabytes. For large enough data, k-means can be slow or completely fail if a user lacks sufficient computational resources. Ensemble clustering approaches that depend on the use of k-means [9, 10] run it multiple times (e.g., with different parameter values or on a different data subset) limiting the usability of these packages for large scRNA-seq datasets [11]. We note that our goal here is not to debate the relative merits of k-means as a clustering algorithm—k-means is a well-established method, which has been thoroughly investigated [12]—but to provide users with the ability to use the popular k-means algorithm on large single-cell datasets. To address the problems of using k-means with large data, two solutions are (1) parallelization and (2) subsampling. Parallelization approaches typically leverage some combination of (i) MapReduce [13] concepts to handle a large volume of data over a distributed computing environment [14, 15], (ii) k-dimensional (k-d) trees to either optimize for the nearest centroid [16] or to partition datasets into subsets, representative of the larger dataset [17], and (iii) leverage multi-core processors [18]. While these approaches do improve the speed of k-means, they can be limited to the number of reducers for each centroid and can often require extensive computational resources. In contrast, subsampling approaches, such as the mini-batch k-means algorithm [19] work on small, random subsamples of data (“mini batches”) that can fit into memory on standard computers. We would emphasize, however, that while mini-batch k-means only operates on small subsamples of the data at any one time, the algorithm still minimizes the same global objective function evaluated over all samples as in traditional implementations of k-means. Current implementations of the mini-batch k-means algorithm [19] are available in standard programming languages such as in the scikit-learn machine learning Python library [20] or in the ClusterR R package [21]. However, these implementations either implicitly or explicitly require all the data to be read into memory, and therefore do not leverage the potential of the algorithm to provide a low memory footprint. To address the described problems, we implemented the mini-batch k-means clustering algorithm in the open-source mbkmeans R package [22], providing fast, scalable, and memory-efficient clustering of scRNA-seq data in the Bioconductor framework [5, 23]. Like existing implementations, our package can be applied to in-memory data input for smaller datasets, but also to on-disk data, such as from the HDF5 file format [24], which is widely used for distributing single-cell sequencing data. For on-disk input, mbkmeans leverages the subsampling structure of the algorithm to read into memory only the current ‘mini batch’ of data at any given point, thereby greatly reducing the required memory (RAM) needed. ... Our contribution is two-fold: we implement a mini-batch k-means algorithm for on-disk data, and we benchmark the performance of a non-trivial algorithm for HDF5 against its in-memory counterpart.” (Hicks et al., 2021)

“The mbkmeans software package implements the mini-batch k-means clustering algorithm described above and works with matrix-like objects as input. Specifically, the package works with standard R data formats that store the data in memory, such as the standard matrix class in base R and sparse and dense matrix classes from the Matrix R package [29], and with file-backed matrices, e.g.,

by using the HDF5 file format [24]. In addition, the package provides methods to interface with standard Bioconductor data containers such as the SummarizedExperiment [30] and SingleCellExperiment [31] classes. We implemented the computationally most intensive steps of our algorithm in C++, leveraging the Rcpp [32] and beachmat [33] packages. Furthermore, we make use of Bioconductor's DelayedArray [34] framework, and in particular the HDF5Array [35] package to interface with HDF5 files. The mbkmeans package was built in a modular format that would allow it to easily operate on alternative on-disk data representations in the future. To initialize the k centroids, the mbkmeans package uses the k-means++ initialization algorithm [36] with a random subset of b observations (the batch size), by default. Finally, to predict final cluster labels, we use block processing through the DelayedArray [34] package to avoid working with all the data at once.” (Hicks et al., 2021)

“A major challenge in the analysis of scRNA-seq data is the scalability of analysis methods as datasets increase in size over time. This is particularly problematic as experiments now frequently produce millions of cells [50–53], possibly across multiple batches, making it challenging to even load the data into memory and perform downstream analyses including quality control, batch correction and dimensionality reduction. Providing analysis methods, such as unsupervised clustering, that do not require data to be loaded into memory is an imperative step for scalable analyses. While large-scale scRNA-seq data are now routinely stored in on-disk data formats (e.g. HDF5 files), the methods to process and analyze these data are lagging.” (Hicks et al., 2021)

“Unlike other existing implementations of mini-batch k-means, our algorithm harnesses the structure of the mini-batch k-means algorithm to only read in the data needed for each batch, controlling memory usage for large datasets. This makes our implementation truly scalable and applicable to both standard in-memory matrix objects, including sparse matrix representations, and on-disk data representations that do not require all the data to be loaded into memory at any one time, such as HDF5 matrices.” (Hicks et al., 2021)

“If you use too much memory, R will complain. The key issue is that R holds all the data in RAM. This is a limitation if you have huge datasets. The up-side is flexibility—in particular, R imposes no rules on what data are like.” (Burns, 2011)  
“Another way of reducing memory use is to store your data in a database and only extract portions of the data into R as needed. While this takes some time to set up, it can become quite a natural way to work.” (Burns, 2011)

“Are tomorrow’s bigger computers going to solve the problem? For some people, yes—their data will stay the same size and computers will get big enough to hold it comfortably. For other people it will only get worse—more powerful computers means extraordinarily larger datasets. If you are likely to be in this latter group, you might want to get used to working with databases now.” (Burns, 2011)

“Traditionally, the assay data are stored in-memory as an ordinary array object3. Storing the data in-memory becomes a real pain with the ever-growing size of ‘omics datasets. It is now not uncommon to collect 10,000–100,000,000 measurements on 100–1,000,000 samples, which would occupy 10–1,000 gigabytes (Gb) if stored in-memory as ordinary R arrays. The DelayedArray

framework offers a solution to this problem. Wrapping an array-like object (typically an on-disk object) in a `DelayedArray` object allows one to perform common array operations on it without loading the object in memory. In order to reduce memory usage and optimize performance, operations on the object are either delayed or executed using a block processing mechanism.” [http://biocworkshops2019.bioconductor.org.s3-website-us-east-1.amazonaws.com/page/DelayedArrayWorkshop\\_Effectively\\_using\\_the\\_DelayedArray\\_framework\\_for\\_users/](http://biocworkshops2019.bioconductor.org.s3-website-us-east-1.amazonaws.com/page/DelayedArrayWorkshop_Effectively_using_the_DelayedArray_framework_for_users/)

“The `DelayedArray` framework enables the analysis of datasets that are too large to be stored or processed in-memory. This has become particularly relevant with the advent of large single-cell RNA-sequencing (scRNA-seq) studies containing tens of thousands to millions of cells.” [http://biocworkshops2019.bioconductor.org.s3-website-us-east-1.amazonaws.com/page/DelayedArrayWorkshop\\_Effectively\\_using\\_the\\_DelayedArray\\_framework\\_for\\_users/](http://biocworkshops2019.bioconductor.org.s3-website-us-east-1.amazonaws.com/page/DelayedArrayWorkshop_Effectively_using_the_DelayedArray_framework_for_users/)

“The data contained in an `HDF5Matrix` is actually stored on disk in a Hierarchical Data Format (HDF5) file. Consequently, the `tenx_counts` object takes up very little space in memory.” [http://biocworkshops2019.bioconductor.org.s3-website-us-east-1.amazonaws.com/page/DelayedArrayWorkshop\\_Effectively\\_using\\_the\\_DelayedArray\\_framework\\_for\\_users/](http://biocworkshops2019.bioconductor.org.s3-website-us-east-1.amazonaws.com/page/DelayedArrayWorkshop_Effectively_using_the_DelayedArray_framework_for_users/)

“The subsetting operation has been registered in what is termed a ‘delayed operation’. Registering a delayed operation does not modify the underlying data. Instead, the operation is recorded and only performed when the `DelayedArray` object is ‘realized’. Realization of a `DelayedArray` triggers the execution of the delayed operations carried by the object and returns the result as an ordinary array. This allows us to chain together multiple operations and only perform them as required. ... To realize a `DelayedArray` object is to trigger execution of the delayed operations carried by the object and return the result as an ordinary array. ... A large `DelayedArray` object is preferably realized on disk, which is most commonly an HDF5 file.” [http://biocworkshops2019.bioconductor.org.s3-website-us-east-1.amazonaws.com/page/DelayedArrayWorkshop\\_Effectively\\_using\\_the\\_DelayedArray\\_framework\\_for\\_users/](http://biocworkshops2019.bioconductor.org.s3-website-us-east-1.amazonaws.com/page/DelayedArrayWorkshop_Effectively_using_the_DelayedArray_framework_for_users/)

“Hopefully you can now begin to see the general pattern, a strategy which the `DelayedArray` package calls ‘block-processing’: 1. Load a ‘block’ of the data into memory. 2. Compute a summary statistic. 3. Combine the block-level statistics in an appropriate way to get the final result.” [http://biocworkshops2019.bioconductor.org.s3-website-us-east-1.amazonaws.com/page/DelayedArrayWorkshop\\_Effectively\\_using\\_the\\_DelayedArray\\_framework\\_for\\_users/](http://biocworkshops2019.bioconductor.org.s3-website-us-east-1.amazonaws.com/page/DelayedArrayWorkshop_Effectively_using_the_DelayedArray_framework_for_users/)

“Let’s move onto something a little more computationally challenging. Proper normalization is essential for all analyses of gene expression data. We apply the deconvolution method of Lun, Bach, and Marioni (2016) to compute size factors for all cells. For highly heterogeneous datasets, like this sample of PBMCs, it is advisable to perform a rough clustering of the cells to better satisfy the assumptions of this normalization method. Namely, we want to avoid normalizing together cells with a large number of differentially expressed genes

between them. We will use the `scran::quickCluster()` function to perform a clustering based on the principal component scores generated from the log-expression matrix. This principal component analysis (PCA) in turn uses an approximate singular value decomposition (SVD) with the augmented implicitly restarted Lanczos bidiagonalization algorithm (`irlba`). If that all sounds rather complicated, then don't worry: that's the point of this example! We are able to apply these cutting edge techniques to our HDF5-backed data.” [http://biocworkshops2019.bioconductor.org.s3-website-us-east-1.amazonaws.com/page/DelayedArrayWorkshop\\_\\_Effectively\\_using\\_the\\_DelayedArray\\_framework\\_for\\_users/](http://biocworkshops2019.bioconductor.org.s3-website-us-east-1.amazonaws.com/page/DelayedArrayWorkshop__Effectively_using_the_DelayedArray_framework_for_users/)

“A HDF5-backed `SummarizedExperiment`, like the 10x PBMC dataset we analysed in Real world encounter with `DelayedArray` analysing scRNA-seq data, is a light-weight shell (the `SummarizedExperiment`) around a large disk-backed data matrix (the `HDF5Matrix`).” [http://biocworkshops2019.bioconductor.org.s3-website-us-east-1.amazonaws.com/page/DelayedArrayWorkshop\\_\\_Effectively\\_using\\_the\\_DelayedArray\\_framework\\_for\\_users/](http://biocworkshops2019.bioconductor.org.s3-website-us-east-1.amazonaws.com/page/DelayedArrayWorkshop__Effectively_using_the_DelayedArray_framework_for_users/)

“A `SummarizedExperiment` derivative can have one or more of its assays that point to datasets (one per assay) in an HDF5 file. ... These objects have 2 parts: one part is in memory, and one part is on disk. The 1st part is sometimes called the object shell and is generally thin (i.e. it has a small memory footprint). The 2nd part is the data and is typically big. The object shell and data are linked together via some kind of pointer stored in the shell (e.g. an SQLite connection, or a path to a file, etc.). Note that this is a one way link in the sense that the object shell ‘knows’ where to find the on-disk data but the on-disk data knows nothing about the object shell (and is completely agnostic about what kind of object shell could be pointing to it). Furthermore, at any given time on a given system, there could be more than one object shell pointing to the same on-disk data. These object shells could exist in the same R session or in sessions in other languages (e.g. Python). These various sessions could be run by the same or by different users.” [http://biocworkshops2019.bioconductor.org.s3-website-us-east-1.amazonaws.com/page/DelayedArrayWorkshop\\_\\_Effectively\\_using\\_the\\_DelayedArray\\_framework\\_for\\_users/](http://biocworkshops2019.bioconductor.org.s3-website-us-east-1.amazonaws.com/page/DelayedArrayWorkshop__Effectively_using_the_DelayedArray_framework_for_users/)

“For example, a normalized scRNA-seq dataset carries around two matrices: the raw counts and the normalized expression values. You might have enough RAM to load one of these a time but not both at once. With a HDF5-backed `SingleCellExperiment` you can easily just load into memory the matrix you actually need at a given step in the analysis.” [http://biocworkshops2019.bioconductor.org.s3-website-us-east-1.amazonaws.com/page/DelayedArrayWorkshop\\_\\_Effectively\\_using\\_the\\_DelayedArray\\_framework\\_for\\_users/](http://biocworkshops2019.bioconductor.org.s3-website-us-east-1.amazonaws.com/page/DelayedArrayWorkshop__Effectively_using_the_DelayedArray_framework_for_users/)

“Don't use a `DelayedArray` if you can avoid it! ... If you can load your data into memory and still compute on it then you're always going to have a better time doing it that way. Analyses will be faster, simpler, and you will have more options available to you. But when this isn't an option then the `DelayedArray` framework is a powerful set of packages to help you get your work done. I find it pretty remarkable that a first-class single-cell analysis workflow can so

seamlessly support the use of in-memory and disk-backed data.” [http://biocworkshops2019.bioconductor.org.s3-website-us-east-1.amazonaws.com/page/DelayedArrayWorkshop\\_\\_Effectively\\_using\\_the\\_DelayedArray\\_framework\\_for\\_users/](http://biocworkshops2019.bioconductor.org.s3-website-us-east-1.amazonaws.com/page/DelayedArrayWorkshop__Effectively_using_the_DelayedArray_framework_for_users/)

[Different elements in the data] Most laboratory equipment can output a raw data file that you can then read into R. For many types of laboratory equipment, these raw data files follow a strict format. For example [flow cytometry format...]...

The file formats will often have different pieces of data stored in specific spots. For example, the equipment might record not only the measurements taken for the sample, but also information about the setting that were applied to the equipment while the measurements were taken, the date of the measurements, and other metadata that may be useful to access when pre-processing the data. Each piece of data may have different “dimensions”. For example, the measurements might provide one measurement per metabolite feature or per marker. Some metadata might also be provided with these dimensions (e.g., metadata about the markers for flow cytometry data), but other metadata might be provided a single time per sample or even per experiment—for example, the settings on the equipment when the sample or samples were run.

When it comes to data structures, dataframes and other two-dimensional data storage structures (you can visualize these as similar to the format of data in a spreadsheet, with rows and columns) work well to store data where all data conform to a common dimension. For example, a dataframe would work well to store the measurements for each marker in each sample in a flow cytometry experiment. In this case, each column could store the values for a specific marker and each row could provide measurements for a sample. In this way, you could read the measurements for one marker across all samples by reading down a column, or read the measurements across all markers for one sample by reading across a row.

When you have data that doesn’t conform to these common dimensions [unit of measurement?] however, a dataframe may work poorly to store the data. For example, if you have measurements taken at the level of the equipment settings for the whole experiment, these don’t naturally fit into the dataframe format. In the “tidyverse” approach, one approach to handling data with different units of measurement is to store data for each unit of measurement in a different dataframe and to include identifiers that can be used to link data across the dataframes. More common, however, in R extensions for pre-processing biomedical data is to use more complex data structures that can store data with different units of measurement in different slots within the data structure, and use these in conjunction with specific functions that are built to work with that specific data structure, and so know where to find each element within the data structure.

[Validation of data as its entered in an S4 class]

### 3.4.4 Limitations of complex structures for storing data

“There is a cost to the free lunch. That print is generic means that what you see is not what you get (sometimes). In the printing of an object you may see a number that you want—an R-squared for example—but don’t know how to grab that number.” (Burns, 2011)

### 3.4.5 Subsection 2

#### 3.4.6 Practice quiz

## 3.5 Complex data types in R and Bioconductor

Many R extension packages for pre-processing experimental data use complex (rather than ‘tidy’) data formats within their code, and many output data in complex formats. Very recently, the *broom* and *biobroom* R packages have been developed to extract a ‘tidy’ dataset from a complex data format. These tools create a clean, simple connection between the complex data formats often used in pre-processing experimental data and the ‘tidy’ format required to use the ‘tidyverse’ tools now taught in many introductory R courses. In this module, we will describe the ‘list’ data structure, the common backbone for complex data structures in R and provide tips on how to explore and extract data stored in R in this format, including through the *broom* and *biobroom* packages.

**Objectives.** After this module, the trainee will be able to:

- Describe the structure of R’s ‘list’ data format
- Take basic steps to explore and extract data stored in R’s complex, list-based structures
- Describe what the *broom* and *biobroom* R packages can do
- Explain how converting data to a ‘tidy’ format can improve reproducibility

### 3.5.1 Subsection 1

When you are writing scripts in R to work with your code, if you are at a point in your pipeline when you can use a “tidyverse” approach, then you will “keep” your data in a data frame, as your data structure, throughout your work. However, at earlier stages in your preprocessing, you may need to use tools that use other data structures. It’s helpful to understand the basic building blocks of R data structures, so you can find elements of your data in these other, more customized data structures.

Many R data structures are built on a general structure called a “list”. This data structure is a useful basic general data structure, because it is extraordinarily flexible. The list data structure is flexible in two important ways: it allows you to include data of different types in the same data structure, and it allows you to include data with different dimensions—and data stored hierarchically, including various other data structures—within the list structure. We’ll

cover each of these points a bit more below and describe why they're helpful in making the list a very good general purpose data structure.

In R, your data can be stored as different types of data: whole numbers can be stored as an *integer* data type, continuous [?] numbers through a few types of *floating* data types, character strings as a *character* data type, and logical data (which can only take the two values of "TRUE" and "FALSE") as a *logical* data type. More complex data types can be built using these—for example, there's a special data type for storing dates that's based on a combination of an [integer?] data type, with added information counting the number of days [?] from a set starting date (called the [Unix epoch?]), January 1, 1970. (This set-up for storing dates allows them to be printed to look like dates, rather than numbers, but at the same time allows them to be manipulated through operations like finding out which date comes earliest in a set, determining the number of days between two dates, and so on.) R uses these different data types for several reasons. First, by using different data types, R can improve its efficiency [?] in storing data. Each piece of data must—as you go deep in the heart of how the computer works—as a series of binary digits (0s and 1s). Some types of data can be stored using fewer of these *bits* (binary digits). Each measurement of logical data, for example, can be stored in a single bit, since it only can take one of two values (0 or 1, for FALSE and TRUE, respectively). For character strings, these can be divided into each character in the string for storage (for example, "cat" can be stored as "c", "a", "t"). There is a set of characters called the ASCII character set that includes the lowercase and uppercase of the letters and punctuation sets that you see on a standard US keyboard [?], and if the character strings only use these characters, they can be stored in [x] bits per character. For numeric data types, integers can typically be stores in [x] bits per number, while continuous [?] numbers, stored in single or double floating point notation [?], are stored in [x] and [x] bits respectively. When R stores data in specific types, it can be more memory efficient by packing the types of data that can be stored in less space (like logical data) into very compact structures.

The second advantage of the list structure in R is that it has enormous flexibility in terms of storing lots of data in lots of possible places. This data can have different types and even different substructures. Some data structures in R are very constrained in what type of data they can store and what structure they use to store it. For example, one of the "building block" data structures in R is the vector. This data structure is one dimensional and can only contain data that have the same data type—you can think of this as a bead string of values, each of the same type. For example, you could have a vector that gives a series of names of study sites (each a character string), or a vector that gives the dates of time points in a study (each a date data type), or a vector that gives the weights of mice in a study (each a numeric data type). You cannot, however, have a vector that includes some study site names and then some dates and then some weights, since these should be in different data types. Further, you can't arrange the data in any structure except a straight, one-

dimensional series if you are using a vector. The dataframe structure provides a bit more flexibility—you can expand into two dimensions, rather than one, and you can have different data types in different columns of the dataframe (although each column must itself have a single data type).

The list data structure is much more flexible. It essentially allows you to create different “slots”, and you can store any type of data in each of these slots. In each slot you can store any of the other types of data structures in R—for example, vectors, dataframes, or other lists. You can even store unusual things like R environments [?] or pointers that give the directions to where data is stored on the computer without reading the data into R (and so saving room in the RAM memory, which is used when data is “ready to go” in R, but which has much more limited space than the mass [?] storage on your computer).

Since you can put a list into the slot of a list, it allows you to create deep, layered structures of data. For example, you could have one slot in a list where you store the metadata for your experiment, and this slot might itself be a list where you store one dataframe with some information about the settings of the laboratory equipment you used to collect the data, and another dataframe that provides information about the experimental design variables (e.g., which animal received which treatment). Another slot in the larger list then might have experimental measurements, and these might either be in a dataframe or, if the data are very large, might be represented through pointers to where the data is stored in memory, rather than having the data included directly in the data structure.

Given all these advantages of the list data structure, then, why not use it all the time? While it is a very helpful building block, it turns out that its flexibility can have some disadvantages in some cases. This flexibility means that you can't always assume that certain bits of data are in a certain spot in each instance of a list in R. Conversely, if you have data stored in a less flexible structure, you can often rely on certain parts of the data always being in a certain part of the data structure. In a “tidy” dataframe, for example, you can always assume that each row represents the measurements for one observation at the unit of observation for that dataframe, and that each column gives values across all observations for one particular value that was measured for all the observations. For example, if you are conducting an experiment with mice, where a certain number of mice were sacrificed at certain time points, with their weight and the bacteria load in their lungs measured when the mouse was sacrificed, then you could store the data in a dataframe, with a row for each mouse, and columns giving the experimental characteristics for each mouse (e.g., treatment status, time point when the mouse was sacrificed), the mouse's weight, and the mouse's bacteria load when sacrificed. You could store all of this information in a list, as well, but the defined, two-dimensional structure of the dataframe makes it much more clearly defined where all the data goes in the dataframe structure, while you could order the data in many ways within a list.

There is a big advantage to having stricter standards for what parts of data go where when it comes to writing functions that can be used across a lot of data. You can think of this in terms of how cars are set up versus how kitchens are set up. Cars are very standardized in the “interface” that you get when you sit down to drive them. The gas and brakes are typically floor pedals, with the gas to the right of the brake. The steering is almost always provided through a wheel centered in front of the driver’s torso. The mechanism for shifting gears (e.g., forward, reverse) is typically to the right of the steering wheel, while mechanisms for features like lights and windshield wipers, are typically to the left of the steering wheel. Because this interface is so standardized, you can get into a car you’ve never driven before and typically figure out how to drive it very quickly. You don’t need a lot of time exploring where everything is or a lot of directions from someone familiar with the car to figure out where things are. Think of the last time that you drove a rental car—within five minutes, at most, you were probably able to orient yourself to figure out where everything you needed was. This is like a dataframe in R—you can pretty quickly figure out where everything you might need is stored in the data structure, and people can write functions to use with these dataframes that work well generally across lots of people’s data because they can assume that certain pieces of data are in certain places.

By contrast, think about walking into someone else’s kitchen and orienting yourself to use that. Kitchen designs do tend to have some general features—most will have a few common large elements, like a stove somewhere, a refrigerator somewhere, a pantry somewhere, and storage for pots, pans, and utensils somewhere. However, there is a lot of flexibility in where each of these are in the kitchen design, and further flexibility in how things are organized within each of these structures. If you cook in someone else’s kitchen, it is easy to find yourself disoriented in the middle of cooking a recipe, where a utensil that you can grab almost without thinking in your own kitchen requires you to stop and search many places in someone else’s kitchen. This is like a list in R—there are so many places that you can store data in a list, and so much flexibility, that you often find yourself having to dig around to find a certain element in a list data structure that someone else has created, and you often can’t assume that certain pieces are in certain places if you are writing your own functions, so it becomes hard to write functions that are “general purpose” for generic list structures in R.

There is a way that list structures can be used in R in a way that retains some of their flexibility while also leveraging some of the benefits of standardization. This is R’s system for creating *objects*. These object structures are built on the list data structure, but each object is constrained to have certain elements of data in certain structures of the data. These structures cannot be used as easily as dataframes in a “tidyverse” approach, since the tidyverse tools are built based on the assumption that data is stored in a tidy dataframe. However, they are used in many of the Bioconductor approaches that allow powerful

tools for the earlier stages in preprocessing biological data. The types of standards that are imposed in the more specialized objects include which slots the list can have, the names they have, what order they're in (e.g., in a certain object, the metadata about the experiment might always be stored in the first slot of the list), and what structures and/or data types the data in each slot should have.

R programmers get a lot of advantages from using these classes because they can write functions under the assumption that certain pieces of the data will always be in the same spot for that type of object. There is still flexibility in the object, in that it can store lots of different types of data, in a variety of different structures. While this “object oriented” approach in R data structures does provide great advantages for programmers, and allow them to create powerful tools for you to use in R, it does make it a little trickier in some cases for you to explore your data by hand as you work through preprocessing. This is because there typically are a variety of these object classes that your data will pass through as you go through different stages of preprocessing, because different structures are suited to different stages of analysis. Functions often can only be used for a single class of objects, and so you have to keep track of which functions pair up with which classes of data. Further, it can be a bit tricky—at least in comparison to when you have data in a dataframe—to explore your data by hand, because you have to navigate through different slots in the object. By contrast, a dataframe always has the same two-dimensional, rectangular structure, and so it's very easy to navigate and explore data in this structure, and there are a large number of functions that are built to be used with dataframes, providing enormous flexibility in what you can do with data stored in this structure.

While it is a bit trickier to explore your data when it is stored in a list—either a general list you created, or one that forms the base for a specialized class structure through functions from a Bioconductor package—you can certainly learn how to do this navigation. This is a powerful and critical tool for you to learn as you learn to preprocess your data in R, as you should never feel like your data is stored in a “black box” structure, where you can't peek in and explore it. You should *always* feel like you can take a look at any part of your data at any step in the process of preprocessing, analyzing, and visualizing it.

“There are four primary types of atomic vectors: logical, integer, double, and character (which contains strings). Collectively, integer and double vectors are known as numeric vectors.” (Wickham, 2019)

“... the most important family of data types in base R [is] vectors. ... Vectors come in two flavours: atomic vectors and lists. They differ in terms of their elements' types: for atomic vectors, all elements must have the same type; for lists, elements can have different types. ... Each vector can also have **attributes**, which you can think of as a named list of arbitrary metadata. Two attributes are

particularly important. The **dimension** attribute turns vectors into matrices and arrays and the **class** attribute powers the S3 object system.” (Wickham, 2019)

“A few places in R’s documentation call lists generic vectors to emphasise their difference from atomic vectors.” (Wickham, 2019)

“Some of the most important S3 vectors [are] factors, dates and times, data frames, and tibbles.” (Wickham, 2019)

You can use `typeof` to determine the data type and `is.[x]` (`is.logical`, `is.character`, `is.double`, and `is.integer`) to test if data has a certain type (Wickham, 2019).

“You may have noticed that the set of atomic vectors does not include a number of important data structures like matrices, arrays, factors, or date-times. These types are all built on top of atomic vectors by adding attributes.” (Wickham, 2019)

“Adding a `dim` attribute to a vector allows it to behave like a 2-dimensional **matrix** or a multi-dimensional **array**. Matrices and arrays are primarily mathematical and statistical tools, not programming tools...” (Wickham, 2019)

“One of the most important vector attributes is `class`, which underlies the S3 object system. Having a `class` attribute turns an object into a **S3 object**, which means it will behave differently from a regular vector when passed to a **generic** function. Every S3 object is built on top of a base type, and often stores additional information in other attributes.” (Wickham, 2019)

“Lists are a step up in complexity from atomic vectors: each element can be any type, not just vectors.” (Wickham, 2019)

“Lists are sometimes called **recursive** vectors because a list can contain other lists. This makes them fundamentally different from atomic vectors.” (Wickham, 2019)

“The two most important S3 vectors built on top of lists are data frames and tibbles. If you do data analysis in R, you’re going to be using data frames. A data frame is a named list of vectors with attributes for (column) `names`, `row.names`, and its class, “`data.frame`”... In contrast to a regular list, a data frame has an additional constraint: the length of each of its vectors must be the same. This gives data frames their rectangular structure...” (Wickham, 2019)

“Data frames are one of the biggest and most important ideas in R, and one of the things that makes R different from other programming languages. However, in the over 20 years since their creation, the ways that people use R have changed, and some of the design decisions that made sense at the time data frames were created now cause frustration. This frustration led to the creation of the tibble [Muller and Wickham, 2018], a modern reimagining of the data frame. Tibbles are meant to be (as much as possible) drop-in replacements for data frames that fix those frustrations. A concise, and fun, way to summarise the main differences is that tibbles are lazy and surly: they do less and complain more.” (Wickham, 2019)

"Tibbles are provided by the tibble package and share the same structure as data frames. The only difference is that the class vector is longer, and includes `tbl_df`. This allows tibbles to behave differently in [several] key ways. ... tibbles never coerce their input (this is one feature that makes them lazy)... Additionally, while data frames automatically transform non-syntactic names (unless `check.names = FALSE`), tibbles do not... While every element of a data frame (or tibble) must have the same length, both `data.frame()` and `tibble()` will recycle shorter inputs. However, while data frames automatically recycle columns that are an integer multiple of the longest column, tibbles will only recycle vectors of length one. ... There is one final difference: `tibble()` allows you to refer to variables created during construction. ... [Unlike data frames,] tibbles do not support row names. ... One of the most obvious differences between tibbles and data frames is how they print... Tibbles tweak [a data frame's subsetting] behaviours so that a `[` always returns a tibble, and a `$` doesn't do partial matching and warns if it can't find a variable (this is what makes tibbles surly). ... List columns are easier to use with tibbles because they can be directly included inside `tibble()` and they will be printed tidily." (Wickham, 2019)

"Since the elements of lists are references to values, the size of a list might be much smaller than you expect." (Wickham, 2019)

"[The] behavior [of environments] is different from that of other objects: environments are always modified in place. This property is sometimes described as **reference semantics** because when you modify an environment all existing bindings to that environment continue to have the same reference. ... This basic idea can be used to create functions that 'remember' their previous state... This property is also used to implement the R6 object-oriented programming system..." (Wickham, 2019)

### 3.5.2 Exploring and extracting data from R list data structures

To feel comfortable exploring your data at any stage during the preprocessing steps, you should learn how to investigate and explore data that's stored in a list structure in R. Because the list structure is the building block for complex data structures, including Bioconductor class structures, this will serve you well throughout your work. You should get in the habit of checking the structure and navigating where each piece of data is stored in the data structure at each step in preprocessing your data. Also, by checking your data throughout preprocessing, you might find that there are bits of information tucked in your data at early stages that you aren't yet using. For example, many file formats for laboratory equipment include slots for information about the equipment and its settings during when running the sample. This information might be read in from the file into R, but you might not know it's there for you to use if you'd like, to help you in creating reproducible reports that include this metadata about the experimental equipment and settings.

First, you will want to figure out whether your data is stored in a generic list, or if it's stored in a specific class-based data structure, which means it will have a bit more of a standardized structure. To do this, you can run the `class` function on your data object. The output of this might be a single value (e.g.,

"list" [?]) or a short list. If it's a short list, it will include both the specific class of the object and, as you go down the list, the more general data structure types that this class is built on. For example, if the `class` function returns this list:

[Example list of data types---maybe some specific class, then "list"?]

it means that the data's in a class-based structure called ... which is built on the more general structure of a list. You can apply to this data any of the functions that are specifically built for ... data structures, but you can also apply functions built for the more general list data structure.

There are several tools you can use to explore data structured as lists in R. R lists can sometimes be very large—in terms of the amount of data stored in them—particularly for some types of biomedical data. With some of the tools covered in this subsection, that will mean that your first look might seem overwhelming. We'll also cover some tools, therefore, that will let you peel away levels of the data in a bit more manageable way, which you can use when you encounter list-structured data that at first feels overwhelming.

First, if your data is stored in a specific class-based data structure, there likely will also be help files specifically for the class structure that can help you navigate it and figure out where things are. [Example]

[More about exploring data in list structures.]

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"Use [ to select any number of elements from a vector. ... **Positive integers** return elements at the specified positions. ... **Negative integers** exclude elements at the specified positions... **Logical vectors** select elements where the corresponding logical vector is TRUE. This is probably the most useful type of subsetting because you can write an expression that uses a logical vector... If the vector is named, you can also use **character vectors** to return elements with matching names." (Wickham, 2019)

"Subsetting a list works in the same way as subsetting an atomic vector. Using [ always returns a list; [[ and \$ ... lets you pull out elements of a list." (Wickham, 2019)

"[[ is most important when working with lists because subsetting a list with [ always returns a smaller list. ... Because [[ can return only a single item, you must use it with either a single positive integer or a single string." (Wickham, 2019)

"\$ is a shorthand operator: `x$y` is roughly equivalent to `x[["y"]]`. It's often used to access variables in a data frame... The one important difference between \$ and [[ is that \$ does (left-to-right) partial matching [which you likely want to avoid to be safe]."(Wickham, 2019)

"There are two additional subsetting operators, which are needed for S4 objects: @ (equivalent to \$), and `slot()` (equivalent to [[)."(Wickham, 2019)

"The environment is the data structure that powers scoping. ... Understanding environments is not necessary for day-to-day use of R. But they are important to understand because they power many important features like lexical scoping, name spaces, and R6 classes, and interact with evaluation to give you powerful tools for making domain specific languages, like dplyr and ggplot2." (Wickham, 2019)

"The job of an environment is to associate, of **bind**, a set of names to a set of values. You can think of an environment as a bag of names, with no implied order (i.e., it doesn't make sense to ask which is the first element in an environment)." (Wickham, 2019)

"... environments have reference semantics: unlike most R objects, when you modify them, you modify them in place, and don't create a copy." (Wickham, 2019)

"As well as powering scoping, environments are also useful data structures in their own right because they have reference semantics. There are three common problems that they can help solve: **Avoiding copies of large data**. Since environments have reference semantics, you'll never accidentally create a copy. But bare environments are painful to work with, so I instead recommend using R6 objects, which are built on top of environments. ...." (Wickham, 2019)

"Generally in R, functional programming is much more important than object-oriented programming, because you typically solve complex problems by decomposing them into simple functions, not simple objects. Nevertheless, there are important reasons to learn each of the three [object-oriented programming] systems [S3, R6, and S4]: S3 allows your functions to return rich results with user-friendly display and programmer-friendly internals. S3 is used throughout base R, so it's important to master if you want to extend base R functions to work with new types of input. R6 provides a standardised way to escape R's copy-on-modify semantics. This is particularly important if you want to model objects that exist independently of R. Today, a common need for R6 is to model data that comes from a web API, and where changes come from inside or outside R. S4 is a rigorous system that forces you to think carefully about program design. It's particularly well-suited for building large systems that evolve over time and will receive contributions from many programmers. This is why it's used by the Bioconductor project, so another reason to learn S4 is to equip you to contribute to that project." (Wickham, 2019)

"The main reason to use OOP is **polymorphism** (literally: many shapes). Polymorphism means that a developer can consider a function's interface separately from its implementation, making it possible to use the same function form for different types of input. This is closely related to the idea of **encapsulation**: the user doesn't need to worry about details of an object because they are encapsulated behind a standard interface. ... To be more precise, **OO** systems call the type of an object its **class**, and an implementation for a specific class is called a **method**. Roughly speaking, a class defines what an object is and methods describe what that object can do. The class defines the **fields**, the data possessed by every instance of that class. Classes are organised in a hierarchy so that if a method does not exist for one class, its parent's method is used, and the child is said to **inherit** behaviour. ... The process of finding the correct method given a class is called **method dispatch**." (Wickham, 2019)

"There are two main paradigms of object-oriented programming which differ in how methods and classes are related. In this book, we'll borrow the terminology of *Extending R* [Chambers 2016] and call these paradigms encapsulated and functional: In **encapsulated** OOP, methods belong to objects or classes, and method calls typically look like `object.method(arg1, arg2)`. This is called encapsulated because the object encapsulates both data (with fields) and behaviour (with methods), and is the paradigm found in most popular languages. In **functional** OOP, methods belong to **generic** functions, and method calls look like ordinary function calls: `generic(object, arg2, arg3)`. This is called functional because from the outside it looks like a regular function call, and internally the components are also functions." (Wickham, 2019)

"**S3** is R's first OOP system... S3 is an informal implementation of functional OOP and relies on common conventions rather than ironclad guarantees. This makes it easy to get started with, providing a low cost way of solving many simple problems. ... **S4** is a formal and rigorous rewrite of S3... It requires more upfront work than S3, but in return provides more guarantees and greater encapsulation. S4 is implemented in the base **methods** package, which is always installed with R." (Wickham, 2019)

"While everything is an object, not everything is object-oriented. This confusion arises because the base objects come from S, and were developed before anyone thought that S might need an OOP system. The tools and nomenclature evolved organically over many years without a single guiding principle. Most of the time, the distinction between objects and object-oriented objects is not important. But here we need to get into the nitty gritty details so we'll use the terms **base objects** and **OO objects** to distinguish them. ... Technically, the difference between base and OO objects is that OO objects have a 'class attribute'." (Wickham, 2019)

"An S3 object is a base type with at least a `class` attribute (other attributes may be used to store other data). ... An S3 object behaves differently from its underlying base type whenever it's passed to a **generic** (short for generic function). ... A generic function defines an interface, which uses a different implementation depending on the class of an argument (almost always the first argument). Many base R functions are generic, including the important `print`... The generic is a middleman: its job is to define the interface (i.e., the arguments) then find the right implements for the job. The implementation for a specific class is called a **method**, and the generic finds the method by performing **method dispatch**." (Wickham, 2019)

"If you have done object-oriented programming in other languages, you may be surprised to learn that S3 has no formal definition of a class: to make an object an instance of a class, you simply set the **class attribute**. ... You can determine the class of an S3 object with `class(x)`, and see if an object is an instance of a class using `inherits(x, "classname")`." (Wickham, 2019)

"The job of an S3 generic is to perform method dispatch, i.e., find the specific implementation for a class." (Wickham, 2019)

"An important new component of S4 is the **slot**, a named component of the object that is accessed using the specialised subsetting operator `@` (pronounced 'at'). The set of slots, and their classes, forms an important part of the definition of an S4 class." (Wickham, 2019)

“Given an S4 object you can see its class with `is()` and access slots with `@` (equivalent to `$`) and `slot()` (equivalent to `[[]]`) ... Generally, you should only use `@` in your methods. If you’re working with someone else’s class, look for **accessor** functions that allow you to safely set and get slot values. ... Accessors are typically S4 generics allowing multiple classes to share the same external interface.” (Wickham, 2019)

“If you’re using an S4 class defined in a package, you can get help on it with `class?Person`. To get help for a method, put `?`  in front of a call (e.g., `?age(john)`) and `?`  will use the class of the arguments to figure out which help file you need.” (Wickham, 2019)

“Slots [in S4 objects] should be considered an internal implementation detail: they can change without warning and user code should avoid accessing them directly. Instead, all user-accessible slots should be accompanied by a pair of **accessors**. If the slot is unique to the class, this can just be a function... Typically, however, you’ll define a generic so that multiple classes can used the same interface” (?)

“The strictness and formality of S4 make it well suited for large teams. Since more structure is provided by the system itself, there is less need for convention, and new contributors don’t need as much training. S4 tends to require more upfront design than S3, and this investment is more likely to pay off on larger projects where greater resources are available. One large team where S4 is used to good effect is Bioconductor. Bioconductor is similar to CRAN: it’s a way of sharing packages amongst a wider audience. Bioconductor is smaller than CRAN (~1,300 versus ~10,000 packages, July 2017) and the packages tend to be more tightly integrated because of the shared domain and because Bioconductor has a stricter review process. Bioconductor packages are not required to use S4, but most will because the key data structures (e.g., `SummarizedExperiment`, `IRanges`, `DNAStringSet`) are built using S4.” (Wickham, 2019)

“The biggest challenge to using S4 is the combination of increased complexity and absence of a single source of documentation. S4 is a complex system and it can be challenging to use effectively in practice. This wouldn’t be such a problem if S4 wasn’t scattered through R documentation, books, and websites. S4 needs a book length treatment, but that book does not (yet) exist. (The documentation for S3 is no better, but the lack is less painful because S3 is much simpler.)” (Wickham, 2019)

### 3.5.3 Interfacing between object-based and tidyverse workflows

The tidyverse approach in R is based on keeping data in a data frame structure. By keeping this common structure, the tidyverse allows for straightforward but powerful work with your data by chaining together simple, single-purpose functions. This approach is widely covered in introductory R programming courses and books. A great starting point is the book *R Programming for Data Science*, which is available both in print and freely online at [site]. Many excellent resources exist for learning this approach, and so we won’t recover that information here. Instead, we will focus on how to interface between this approach and the object-based approach that’s more common with Bioconductor packages. Bioconductor packages often take an object-based approach, and

with good reason because of the complexity and size of many early versions of biomedical data in the preprocessing process. There are also resources for learning to use specific Bioconductor packages, as well as some general resources on Bioconductor, like *R Programming for Bioinformatics* [ref]. However, there are fewer resources available online that teach how to coordinate between these two approaches in a pipeline of code, so that you can leverage the needed power of Bioconductor approaches early in your pipeline, as you preprocess large and complex data, and then shift to use a tidyverse approach once your data is amenable to this more straightforward approach to analysis and visualization.

The heart of making this shift is learning how to convert data, when possible, from a more complex, class-type data structure (built on the flexible list data structure) to the simpler, more standardized two-dimensional dataframe structure that is required for the tidyverse approach. In this subsection, we'll cover approaches for converting your data from Bioconductor data structures to dataframes.

If you are lucky, this might be very straightforward. A pair of packages called `broom` and `biobroom` have been created specifically to facilitate the conversion of data from more complex structures to dataframes. The `broom` package was created first, by David Robinson, to convert the data stored in the objects that are created by fitting statistical models into tidy dataframes. Many of the functions in R that run statistical tests or fit statistical models output results in a more complex, list-based data structure. These structures have nice “print” methods, so if fitting the model or running the test is the very last step of your pipeline, you can just read the printed output from R. However, often you want to include these results in further code—for example, creating plots or tables that show results from several statistical tests or models. The `broom` package includes several functions for pulling out different bits of data that are stored in the complex data structure created by fitting the model or running the test and convert those pieces of data into a tidy dataframe. This tidy dataframe can then be easily used in further code using a tidyverse approach.

The `biobroom` package was created to meet a similar need with data stored in some of the complex structures commonly used in Bioconductor packages.

[More about `biobroom`.]

[How to convert data if there isn't a `biobroom` method.] If you are unlucky, there may not be a `broom` or `biobroom` method that you can use for the particular class-based data structure that your data's in, or it might be in a more general list, rather than a specific class with a `biobroom` method. In this case, you'll need to extract the data “by hand” to move it into a dataframe once your data is simple enough to work with using a tidyverse approach. If you've mastered how to explore data stored in a list (covered in the last subsection), you'll have a headstart on how to do this. Once you know where to find each element of the data in the structure of the list, you can assign these specific pieces to their own R objects using typical R assignment (e.g., with the `get`s

*arrow, <-, or with =, depending on your preferred R programming style). ...*

### 3.5.4 Extras

[Comparison of complexity of biological systems versus complexity of code and algorithms for data pre-processing—for the later, nothing is unknowable or even unknown. Someone somewhere is guaranteed to know exactly how it works, what it's doing, and why. By contrast, with biological systems, there are still things that noone anywhere completely understands. It's helpful to remember that all code and algorithms for data pre-processing is knowable, and that the details are all there if and when you want to dig to figure out what's going on.]

[There are ways to fully package up and save the computer environment used to run a pipeline of pre-processing and analysis, including any system settings, all different software used in analysis steps, and so on. Some of the approaches that are being explored for this include the use of “containers”, including Docker containers. This does allow, typically, for full reproducibility of the workflow. However, this approach isn't very proactive in emphasizing the robustness of a workflow or its comprehensibility to others—instead, it makes the workflow reproducible by putting everything in a black box that must be carefully unpackaged and explored if someone wants to understand or adapt the pipeline.]

“Object-oriented design doesn't have to be over-complicated design, but we've observed that too often it is. Too many OO designs are spaghetti-like tangles of is-a and has-a relationships, or feature thick layers of glue in which many of the objects seem to exist simply to hold places in a steep-sided pyramid of abstractions. Such designs are the opposite of transparent; they are (notoriously) opaque and difficult to debug.” (Raymond, 2003)

“Unix programmers are the original zealots about modularity, but tend to go about it in a quiter way [that with OOP]. Keeping glue layers thin is part of it; more generally, our tradition teaches us to build lower, hugging the ground with algorithms and structures that are designed to be simple and transparent.” (Raymond, 2003)

“A *standard* is a precise and detailed description of how some artifact is built or is supposed to work. Examples of software standards include programming languages (the definition of syntax and semantics), data formats (how information is represented), algorithmic processing (the steps necessary to do a computation), and the like. Some standards, like the Word .doc file format, are *de facto* standards—they have no official standing but everyone uses them. The word ‘standard’ is best reserved for formal descriptions, often developed and maintained by a quasi-neutral party like a government or a consortium, that define how something is built or operated. The definition is sufficiently complete and precise that separate entities can interact or provide independent implementations. We benefit from hardware standards all the time, though we may not notice how many there are. If I buy a new television set, I can plug it into the electrical outlets in my home thanks to standards for the size and shape of plugs

and the voltage they provide. The set itself will receive signals and display pictures because of standards for broadcast and cable television. I can plug other devices into it through standard cables and connectors like HDMI, USB, S-video and so on. But every TV needs its own remote control and every cell phone needs a different charger because those have not been standardized. Computing has plenty of standards as well, including character sets like ASCII and Unicode, programming languages like C and C++, algorithms for encryption and compression, and protocols for exchanging information over networks.” (Kernighan, 2011)

“Standards are important. They make it possible for independently created things to cooperate, and they open an area to competition from multiple suppliers, while proprietary systems tend to lock everyone in. … Standards have disadvantages, too—a standard can impede progress if it is inferior or outdated yet everyone is forced to use it. But these are modest drawbacks compared to the advantages.” (Kernighan, 2011)

“A *class* is a blueprint for constructing a particular package of code and data; each variable created according to a class’s blueprint is known as an *object* of that class. Code outside of a class that creates and uses an object of that class is known as a *client* of the class. A *class declaration* names the class and lists all of the *members*, or items inside that class. Each item is either a *data member*—a variable declared within the class—or a *method* (also known as a *member function*), which is a function declared within the class. Member functions can include a special type called a *constructor*, which has the same name as the class and is invoked implicitly when an object of the class is declared. In addition to the normal attributes of a variable or function declaration (such as type, and for functions, the parameter list), each member has an *access specifier*, which indicates what functions can access the member. A *public member* can be accessed by any code using the object: code inside the class, a client of the class, or code in a *subclass*, which is a class that ‘inherits’ all the code and data of an existing class. A *private member* can be accessed only by the code inside the class. *Protected members* … are similar to private members, except that methods in subclasses can also reference them. Both private and protected members, though, are inaccessible from client code.” (Spraul, 2012)

“An object should be a meaningful, closely knit collection of data and code that operates on the data.” (Spraul, 2012)

“Recognizing a situation in which a class would be useful is essential to reaching the higher levels of programming style, but it’s equally important to recognize situations in which a class is going to make things worse.” (Spraul, 2012)

“The word *encapsulation* is a fancy way of saying that classes put multiple pieces of data and code together in a single package. If you’ve ever seen a gelatin medicine capsule filled with little spheres, that’s a good analogy: The patient takes one capsule and swallows all the individual ingredient spheres inside. … From a problem-solving standpoint, encapsulation allows us to more easily reuse the code from previous problems to solve current problems. Often, even though we have worked on a problem similar to our current project, reusing what we learned before still takes a lot of work. A fully encapsulated class can work like an external USB drive; you just plug it in and it works. For this to happen, though, we must design the class correctly to make sure that the code and data is truly

encapsulated and as independent as possible from anything outside of the class. For example, a class that references a global variable can't be copied into a new project without copying the global variable, as well." (Spraul, 2012)

"Beyond reusing classes from one program to the next, classes offer the potential for a more immediate form of code reuse: inheritance. ... Using inheritance, we create parent classes with methods common to two or more child classes, thereby 'factoring out' not just a few lines of code [as with helper functions in procedural code] but whole methods." (Spraul, 2012)

"One technique we're returned to again and again is dividing a complex problem into smaller, more manageable pieces. Classes are great at dividing programs up into functional units. Encapsulation not only holds data and code together in a reusable package; it also cordons off that data and code from the rest of the program, allowing us to work on that class, and everything else separately. The more classes we make in a program, the greater the problem-dividing effect." (Spraul, 2012)

"Some people use the terms *information hiding* and *encapsulation* interchangeable, but we'll separate the ideas here. As described previously ..., encapsulation is packaging data and code together. Information hiding means separating the interface of a data structure—the definition of the operations and their parameters—from the implementation of a data structure, or the code inside the functions. If a class has been written with information hiding as a goal, then it's possible to change the implementation of the methods without requiring any changes in the client code (the code that uses the class). Again, we have to be clear on the term *interface*; this means not only the name of the methods and their parameter list but also the explanation (perhaps expressed in code documentation) of what the different methods do. When we talk about changing the implementation without changing the interface, we mean that we change *how* the class methods work but not *what* they do. Some programming authors have referred to this as a kind of implicit contract between the class and the client: The class agrees never to change the effects of existing operations, and the client agrees to use the class strictly on the basis of its interface and to ignore any implementation details." (Spraul, 2012)

"So how does information hiding affect problem solving? The principle of information hiding tells the programmer to put aside the class implementation details when working on the client code, or more broadly, to be concerned about a particular class's implementation only when working inside that class. When you can put implementation details out of your mind, you can eliminate distracting thoughts and concentrate on solving the problem at hand." (Spraul, 2012)

"A final goal of a well-designed class is expressiveness, or what might be broadly called writability—the ease with which code can be written. A good class, once written, makes the rest of the code simpler to write in the way that a good function makes code simpler to write. Classes effectively extend a language, becoming high-level counterparts to basic low-level features such as loops, if statements, and so forth. ... With classes, programming actions that previously took many steps can be done in just a few steps or just one." (Spraul, 2012)

"Right now, in labs across the world, machines are sequencing the genomes of the life on earth. Even with rapidly decreasing costs and huge technological

advancements in genome sequencing, we're only seeing a glimpse of the biological information contained in every cell, tissue, organism, and ecosystem. However, the smidgen of total biological information we're gathering amounts to mountains of data biologists need to work with. At no other point in human history has our ability to understand life's complexities been so dependent on our skills to work with and analyze data." (Buffalo, 2015)

"Bioinformaticians are concerned with deriving biological understanding from large amounts of data with specialized skills and tools. Early in biology's history, the datasets were small and manageable. Most biologists could analyze their own data after taking a statistics course, using Microsoft Excel on a personal desktop computer. However, this is all rapidly changing. Large sequencing datasets are widespread, and will only become more common in the future. Analyzing this data takes different tools, new skills, and many computers with large amounts of memory, processing power, and disk space." (Buffalo, 2015)

"In a relatively short period of time, sequencing costs dropped drastically, allowing researchers to utilize sequencing data to help answer important biological questions. Early sequencing was low-throughput and costly. Whole genome sequencing efforts were expensive (the human genome cost around \$2.7 billion) and only possible through large collaborative efforts. Since the release of the human genome, sequencing costs have decreased exponentially until about 2008 ... With the introduction of next-generation sequencing technologies, the cost of sequencing a megabase of DNA dropped even more rapidly. At this crucial point, a technology that was only affordable to large collaborative sequencing efforts (or individual researchers with very deep pockets) became affordable to researchers across all of biology. ... What was the consequence of this drop in sequencing costs due to these new technologies? As you may have guessed, lots and lots of data. Biological databases have swelled with data after exponential growth. Whereas once small databases shared between collaborators were sufficient, now petabytes of useful data are sitting on servers all over the world. Key insights into biological questions are stored not just in the unanalyzed experimental data sitting on your hard drive, but also spinning around a disk in a data center thousands of miles away." (Buffalo, 2015)

"To make matters even more complicated, new tools for analyzing biological data are continually being created, and their underlying algorithms are advancing. A 2012 review listed over 70 short-read mappers ... Likewise, our approach to genome assembly has changed considerably in the past five years, as methods to assemble long sequences (such as overlap-layout-consensus algorithms) were abandoned with the emergence of short high-throughput sequencing reads. Now, advances in sequencing chemistry are leading to longer sequencing read lengths and new algorithms are replacing others that were just a few years old. Unfortunately, this abundance and rapid development of bioinformatics tools has serious downsides. Often, bioinformatics tools are not adequately benchmarked, or if they are, they are only benchmarked in one organism. This makes it difficult for new biologists to find and choose the best tool to analyze their data. To make matters more difficult, some bioinformatics programs are not actively developed so that they lose relevance or carry bugs that could negatively affect results. All of this makes choosing an appropriate bioinformatics program in your own research difficult. More importantly, it's imperative to critically assess the output of bioinformatics programs run on your own data." (Buffalo, 2015)

"With the nature of biological data changing so rapidly, how are you supposed to learn bioinformatics? With all of the tools out there and more continually being created, how is a biologist supposed to know whether a program will work appropriately on her organism's data? The solution is to approach bioinformatics as a bioinformatician does: try stuff, and assess the results. In this way, bioinformatics is just about having the skills to experiment with data using a computer and understanding your results. The experimental part is easy: this comes naturally to most scientists. The limiting factor for most biologists is having the data skills to freely experiment and work with large data on a computer." (Buffalo, 2015)

"Unfortunately, many of the biologist's common computational tools can't scale to the size and complexity of modern biological data. Complex data formats, interfacing numerous programs, and assessing software and data make large bioinformatics datasets difficult to work with." (Buffalo, 2015)

"In 10 years, bioinformaticians may only be using a few of the bioinformatics software programs around today. But we most certainly will be using data skills and experimentation to assess data and methods of the future." (Buffalo, 2015)

"Biology's increasing use of large sequencing datasets is changing more than the tools and skills we need: it's also changing how reproducible and robust our scientific findings are. As we utilize new tools and skills to analyze genomics data, it's necessary to ensure that our approaches are still as reproducible and robust as any other experimental approaches. Unfortunately, the size of our data and the complexity of our analysis workflows make these goals especially difficult in genomics." (Buffalo, 2015)

"The requisite of reproducibility is that we share our data and methods. In the pre-genomics era, this was much easier. Papers could include detailed method summaries and entire datasets—exactly as Kreitman's 1986 paper did with a 4,713bp *Adh* gene flanking sequence (it was embedded in the middle of the paper). Now papers have long supplementary methods, code, and data. Sharing data is no longer trivial either, as sequencing projects can include terabytes of accompanying data. Reference genomes and annotation datasets used in analyses are constantly updated, which can make reproducibility tricky. Links to supplemental materials, methods, and data on journal websites break, materials on faculty websites disappear when faculty members move or update their sites, and software projects become stale when developers leave and don't update code. ... Additionally, the complexity of bioinformatics analyses can lead to findings being susceptible to errors and technical confounding. Even fairly routine genomics projects can use dozens of different programs, complicated input parameter combinations, and many sample and annotation datasets; in addition, work may be spread across servers and workstations. All of these computational data-processing steps create results used in higher-level analyses where we draw our biological conclusions. The end result is that research findings may rest on a rickety scaffold of numerous processing steps. To make matters worse, bioinformatics workflows and analyses are usually only run once to produce results for a publication, and then never run or tested again. These analyses may rely on very specific versions of all software used, which can make it difficult to reproduce on a different system. In learning bioinformatics data skills, it's necessary to concurrently learn reproducibility and robust best practices." (Buffalo, 2015)

"When we are writing code in a programming language, we work most of the time with RAM, combining and restructuring data values to produce new values in RAM. ... The computer memory in RAM is a series of 0's and 1's, just like the computer memory used to store files in mass storage. In order to work with data values, we need to get those values into RAM in some format. At the basic level of representing a single number or a single piece of text, the solution is the same as it was in Chapter 5 [on file formats for mass storage]. Everything is represented as a pattern of bits, using various numbers of bytes for different sorts of values. In R, in an English locale, and on a 32-bit operating system, a single character usually takes up one byte, an integer takes up four bytes, and a real number 8 bytes. Data values are stored in different ways depending on the **data type**—whether the values are numbers or texts." (Murrell, 2009)

"Although we do not often encounter the details of the memory representation, except when we need a rough estimate of how much RAM a data set might require, it is important to keep in mind what sort of data type we are working with because the computer code that we will produce different results for different data types. For example, we can only calculate an average if we are dealing with values that have been stored as text." (Murrell, 2009)

"Another important issue is how *collections* of values are stored in memory. The tasks that we will consider will typically involve working with an entire data set, or an entire variable from a data set, rather than just a single value, so we need to have a way to represent several related values in memory. This is similar to the problem of deciding on a storage format for a data set... However, rather than talking about different file formats, [in this case] we will talk about different **data structures** for storing a collection of data values in RAM. ... It will be important to always keep close in our minds what data type we are working with and what sort of data structure we are working with." (Murrell, 2009)

"Every individual data value has a data type that tells us what sort of value it is. The most common data types are numbers, which R calls **numeric values**, and text, which R calls **character values**." (Murrell, 2009)

**Vectors:** A collection of values that all have the same data type. The **elements** of a vector are all numbers, giving a **number vector**, or all character values, giving a **character vector**." (Murrell, 2009)

**Data frames:** A collection of vectors that all have the same length. This is like a matrix, except that each column can contain a different data type." (Murrell, 2009)

**Lists:** A collection of data structures. The **components** of a list can be simply vectors—similar to a data frame, but with each column allowed to have a different length. However, a list can also be a much more complicated structure. This is a very flexible data structure. Lists can be used to store any combination of data values together." (Murrell, 2009)

"Notice the way that lists are displayed. The first component of the list starts with the component index, [[1]], followed by the contents of this component...The second component of the list starts with the component index [[2]] followed by the contents of this component..." (Murrell, 2009)

“A list is a very flexible data structure. It can have any number of **components**, each of which can be any data structure of any length or size. A simple example is a data-frame-like structure where each column can have a different length, but much more complex structures are also possible. For example, it is possible for a component of a list to be another list.” (Murrell, 2009)

“Anyone who has worked with a computer should be familiar with the idea of a list containing another list because a directory or folder of files has this sort of structure: a folder contains multiple files of different kinds and sizes and a folder can contain other folders, which can contain more files or even more folders, and so on. Lists allow for this kind of hierarchical structure.” (Murrell, 2009)

“One of the most basic ways that we can manipulate data structures is to **subset** them—select a smaller portion from a larger data structure. This is analogous to performing a query on a database. ... R has very powerful mechanisms for subsetting... A subset from a vector may be obtained by appending an **index** within square brackets to the end of a symbol name. ... The index can be a vector of any length ... The index does not have to be a contiguous sequence, and it can include repetitions... As well as using integers for indices, we can use logical values... A data frame can also be indexed using square brackets, though slightly differently because we have to specify both which rows *and* which columns we want ... When a data structure has named components, a subset may be selected using those names.” (Murrell, 2009)

“Single square bracket subsetting on a data frame is like taking an egg container that contains a dozen eggs and chopping up the *container* so that we are left with a smaller egg container that contains just a few eggs. Double square bracket subsetting on a data frame is like selecting just one egg from an egg container.” (Murrell, 2009)

“We can often get some idea of what sort of data structure we are working with by simply viewing how the data are displayed on screen. However, a more definitive answer can be obtained by calling the `class()` function. ... Many R functions return a data structure that is not one of the basic data structures that we have already seen [like the ‘xtabs’ and ‘table’ classes]. ... We have not seen either of these data structures before. However, much of what we know about working with the standard data structures ... will work with any new class that we encounter. For example, it is usually possible to subset any class using the standard square bracket syntax. ... Where appropriate, arithmetic and comparisons will also generally work... Furthermore, if necessary, we can often resort to coercing a class to something more standard and familiar.” (Murrell, 2009)

“Dates are an important example of a special data structure. Representing dates as just text is convenient for humans to view, but other representations are better for computers to work with. ... Having a special class for dates means that we can perform tasks with dates, such as arithmetic and comparisons, in a meaningful way, something we could not do if we stored the date as just a character value.” (Murrell, 2009)

“The Date class stores date values as integer values, representing the number of days since January 1st 1970, and automatically converts the numbers to a readable text value to display the dates on the screen.” (Murrell, 2009)

"When working with anything but tiny data sets, basic features of the data set cannot be determined by just viewing the data values. [There are] a number of functions that are useful for obtaining useful summary features from a data structure. The `summary()` function produces summary information for a data structure... The `length()` function is useful for determining the number of values in a vector or the number of components in a list. ... The `str()` function (short for 'structure') is useful when dealing with large objects because it only shows a sample of the values in each part of the object, although the display is very low-level so it may not always make things clearer. ... Another function that is useful for inspecting a large object is the `head()` function. This shows just the first few elements of an object, so we can see the basic structure without seeing all of the values." (Murrell, 2009)

"Generic functions ... will accept many different data structures as arguments. ... a generic function adapts itself to the data structure it is given. Generic functions do different things when given different data structures." (Murrell, 2009)

"An example of a generic function is the `summary()` function. The result of a call to `summary()` will depend on what sort of data structure we provide." (Murrell, 2009)

"Generic functions are another reason why it is easy to work with data in R; a single function will produce a sensible result no matter what data structure we provide. However, generic functions are also another reason why it is so important to be aware of what data structures we are working with. Without knowing what sort of data we are using, we cannot know what sort of result to expect from a generic function." (Murrell, 2009)

"R has become very popular and is now being used for projects that require substantial software engineering as well as its continued widespread use as an interactive environment for data analysis. This essentially means that there are two masters—*reliability* and *ease of use*. S3 is indeed easy to use, but can be made unreliable through nothing other than bad luck, or a poor choice of names, and hence is not a suitable paradigm for constructing large systems. S4, on the other hand, is better suited for developing large software projects but has an increased complexity of use." (Gentleman, 2008)

"Object-oriented programming has become a widely used and valuable tool for software engineering. Much of its value derives from the fact that it is often easier to design, write, and maintain software when there is some clear separation of the data representation from the operations that are to be performed on it. In an OOP system, real physical things ... are generally represented by classes, and methods (functions) are written to handle the different manipulations that need to be performed on the objects." (Gentleman, 2008)

"The views that many people have of OOP have been based largely on exposure to languages like Java, where the system can be described as class-centric. In a class-centric system, classes define objects and are repositories for the methods that act on those objects. In contrast, languages such as ... R separate the class specification from the specification of generic functions, and could be described as function-centric systems." (Gentleman, 2008)

"The genome of every organism is encoded in chromosomes that consist of either DNA or RNA. High throughput sequencing technology has made it possible

to determine the sequence of the genome for virtually any organism, and there are many that are currently available. ... However, in many cases, either the exact nucleotide at any location is unknown, or is variable, and the International Union of Pure and Applied Chemistry (IUPAC) has provided a standard nomenclature suitable for representing such sequences. The alphabet for dealing with protein sequences is based on the 20 amino acids. ... The basic class used to hold strings [in the **Biostrings** package] is the *BString* class, which has been designed to be efficient in its handling of large character strings. Subclasses include *DNAString*, *RNAString*, and *AAString* (for holding amino acid sequences). The *BStringViews* class holds a set of views on a single *BString* instance; each view is essentially a substring of the underlying *BString* instance. Alignments are stored using the *BStringAlign* class." (Gentleman, 2008) [More on functions that work with these classes on p. 171]

"A number of complete genomes, represented as *DNAString* objects, are provided through the Bioconductor project. They rely on the infrastructure in the **BSgenome** package, and all such packages have names that begin with *BSgenome*. You can find the list of available genomes using the *available.genomes* function." (Gentleman, 2008)

"Atomic vectors are the most basic of all data structures. An atomic vector contains some number of values of the same type; that number could be zero. Atomic vectors can contain integers, doubles, logicals or character strings. Both complex numbers and raw (pure bytes) have atomic representations ... Character vectors in the S language are vectors of character strings, not the vectors of characters. For example, the string 'super' would be represented as a character vector of length one, not of length five..." (Gentleman, 2008)

"Lists can be used to store items that are not all of the same type. ... Lists are also referred to as generic vectors since they share many of the properties of vectors, but the elements are allowed to have different types." (Gentleman, 2008)

"Lists can be of any length, and the elements of a list can be named, or not. Any R object can be an element of a list, including another list..." (Gentleman, 2008)

"A data .frame is a special kind of list. Data frames were created to provide a common structure for storing rectangular data sets and for passing them to different functions for modeling and visualization. In many cases a data set can be thought of as a rectangular structure with rows corresponding to cases and columns corresponding to the different variables that were measured on each of the cases. One might think that a matrix would be the appropriate representation, but that is only true if all of the variables are of the same type, and this is seldom the case." (Gentleman, 2008)

"[Data frames] are essentially a list of vectors, with one vector for each variable. It is an error if the vectors are not all of the same length." (Gentleman, 2008)

"Sometimes it will be helpful to find out about an object. Obvious functions to try are *class* and *typeof*. But many find that both *str* and *object.size* are more useful. ... The functions *head* and *tail* are convenience functions that list the first few, or the last few, rows of a matrix." (Gentleman, 2008)

"The S language has its roots in the Algol family of languages and has adopted some of the general vector subsetting and subscripting techniques that were

available in languages such as APL. This is perhaps one area where programmers more familiar with other languages fail to make appropriate use of the available functionality. ... There are slight differences between subsetting of vectors, arrays, lists, data.frames, and environments that can sometimes catch the unwary. But there are also many commonalities. ... Subsetting can be carried out by three different operators: the single square bracket [, the double square bracket [[, and the dollar, \$. We note that each of these three operators are actually generic functions and users can write methods that extend and override them... One way of describing the behavior of the single bracket operator is that the type of the return value matches the type of the value it is applied to. Thus, a single bracket subset of a list is a list itself. ... Both [[ and \$ extract a single value. There are some differences between the two; \$ does not evaluate its second argument while [[ does, and hence one can use expressions. The \$ operator uses partial matching when extracting named elements but [ and [[ do not.” (Gentleman, 2008)

“Subsetting plays two roles in the S language. One is an extraction role, where a subset of a vector is identified by a set of supplied indices and the resulting subset is returned as a value. Venables and Ripley (2000) refer to this as *indexing*. The second purpose is subset assignment, where the goal is to identify a subset of values that should have their values changed; we call this subset assignment.” (Gentleman, 2008)

“There are four basic types of subscript indices: positive integers, negative integers, logical vectors, and character vectors. These four types cannot be mixed... For matrix and array subscripting, one can use different types of subscripts for the different dimensions. Not all vectors, or recursive objects, support all types of subscripting indices. For example, atomic vectors cannot be subscripted using \$, while environments cannot be subscripted using [.” (Gentleman, 2008)

“In bioinformatics, the plain-text data we work with is often encoded in ASCII. ASCII is a character encoding scheme that uses 7 bits to represent 128 different values, including letters (upper- and lowercase), numbers, and special nonvisible characters. While ASCII only uses 8 bits, nowadays computers use an 8-bit byte (a unit representing 8 bits) to store ASCII characters. More information about ASCII is available in your terminal through `man ascii`.” (Buffalo, 2015)

“Some files will have non-ASCII encoding schemes, and may contain special characters. The most common character encoding scheme is UTF-8, which is a superset of ASCII but allows for special characters.” (Buffalo, 2015)

“Bioinformatics data is often text—for example, the As, Cs, Ts, and Gs in sequencing read files or reference genomes, or tab-delimited files for gene coordinates. The text data in bioinformatics is often large, too (gigabytes or more that can’t fit into your computer’s memory at once). This is why Unix’s philosophy of handling text streams is useful to bioinformatics: text streams allow us to do processing on a *stream* of data rather than holding it all in memory.” (Buffalo, 2015)

“Exploratory data analysis plays an integral role throughout an entire bioinformatics project. Exploratory data analysis skills are just as applicable in analyzing intermediate bioinformatics data (e.g., are fewer reads from this sequencing lane aligning?) as they are in making sense of results from statistical analyses (e.g.,

what's the distribution of these p-values, and do they correlate with possible confounders like gene length?). These exploratory analyses need not be complex or exceedingly detailed (many patterns are visible with simple analyses and visualization); it's just about wanting to look into the data and having the skill set to do so.” (Buffalo, 2015)

“Functions like `table()` are generic—they are designed to work with objects of all kinds of classes. Generic functions are also designed to do the right thing depending on the class of the object they're called on (in programming lingo, we say that the function is *polymorphic*).” (Buffalo, 2015)

“It's quite common to encounter genomics datasets that are difficult to load into R because they're large files. This is either because it takes too long to load the entire dataset into R, or your machine simply doesn't have enough memory. In many cases, the best strategy is to reduce the size of your data somehow: summarizing data in earlier processing steps, omitting unnecessary columns, splitting your data into chunks (e.g., working with a chromosome at a time), or working on a random subset of your data. Many bioinformatics analyses do not require working on an entire genomic dataset at once, so these strategies can work quite well. These approaches are also the only way to work with data that is truly too large to fit in your machine's memory (apart from getting a machine with more memory).” (Buffalo, 2015)

“If your data is larger than the available memory on your machine, you'll need to use a strategy that keeps the bulk of your data out of memory, but still allows for each access from R. A good solution for moderately large data is to use SQLite and query out subsets for computation using the R package `RSQLite`. ... Finally ... many Unix data tools have versions that work on gzipped files: `zless`, `zcat` (`gzcat` on BSD-derived systems like Mac OS X), and others. Likewise, R's data-reading functions can also read gzipped files directly—there's some slight performance gains in reading in gzipped files, as there are fewer bytes to read off of (slow) hard disks.” (Buffalo, 2015)

“Quite often, data we load in to R will be in the wrong *shape* for what we want to do with it. Tabular data can come in two different formats: *long* and *wide*. ... In many cases, data is recorded by humans in wide format, but we need data in long format when working with and plotting statistical modeling functions.” (Buffalo, 2015)

“Exploratory data analysis emphasizes visualization as the best tool to understand and explore our data—both to learn what the data says and what its limitations are.” (Buffalo, 2015)

“R vectors require all elements to have the same data type (that is, vectors are *homogeneous*). They only support the six data types discussed earlier (integer, double, character, logical, complex, and raw). In contrast, R's lists are more versatile: Lists can contain elements of different types (they are *heterogeneous*); Elements can be *any* object in R (vectors with different types, other lists, environments, dataframes, matrices, functions, etc.); Because lists can store other lists, they allow for storing data in a recursive way (in contrast, vectors cannot contain other vectors.” (Buffalo, 2015)

“The versatility of lists make them indispensable in programming and data analysis with R.” (Buffalo, 2015)

"As with R's vectors, we can extract subsets of a list or change values of specific elements using indexing. However, accessing elements from an R list is slightly different than with vectors. Because R's list can contain objects with different types, a subset containing multiple list elements could contain objects with different types. Consequently, the only way to return a subset of more than one list element is with another list. As a result, there are two indexing operators for lists: one for accessing a subset of multiple elements as a list (the single bracket...) and one for accessing an element within a list (the double bracket...)." (Buffalo, 2015)

"Because R's lists can be nested and contain any type of data, list-based data structures can grow to be quite complex. In some cases, it can be difficult to understand the overall structure of some lists. The function `str()` is a convenient R function for inspecting complex data structures. `str()` prints a line for each contained data structure, complete with its type, length (or dimensions), and the first few elements it contains. ... For deeply nested lists, you can simplify `str()`'s output by specifying the maximum depth of nested structure to return with `str()`'s second argument, `max.level`. By default, `max.level` is NA, which returns all nested structures." (Buffalo, 2015)

"Understanding R's data structures and how subsetting works are fundamental to having the freedom in R to explore data any way you like." (Buffalo, 2015)

"Some of Bioconductor's core packages: **GenomicRanges**: Used to represent and work with genomic ranges; **GenomicFeatures**: used to represent and work with ranges that represent gene models and other features of a genome (genes, exons, UTRs, transcripts, etc.); **Biostrings** and **BSgenome**: Used for manipulating genome sequence data in R... **rtracklayer**: Used for reading in common bioinformatics formats like BED, GTF/GFF, and WIG." (Buffalo, 2015)

"The **GenomicRanges** package introduces a new class called GRanges for storing genomic ranges. The GRanges builds off of IRanges. IRanges objects are used to store ranges of genomic regions on a single sequence, and GRanges objects contain the two other pieces of information necessary to specify a genomic location: sequence name (e.g., which chromosome) and strand. GRanges objects also have *metadata columns*, which are the data linked to each genomic range." (Buffalo, 2015)

"All metadata attached to a GRanges object are stored in a DataFrame, which behaves identically to R's base data.frame but supports a wider variety of column types. For example, DataFrames allow for run-length encoded vectors to save memory ... in practice, we can store any type of data: identifiers and names (e.g., for genes, transcripts, SNPs, or exons), annotation data (e.g., conservation scores, GC content, repeat content, etc.), or experimental data (e.g., if ranges correspond to alignments, data like mapping quality and the number of gaps). ... the union of genomic location with any type of data is what makes GRanges so pwoerful." (Buffalo, 2015)

#### Some object classes in BioConductor:

- eSet from Biobase
- Sequence from IRanges
- MAlist from limma

- ExpressionSet from Biobase

You can use the `getSlots` function with S4 objects to see all the slots within the object.

“Methods and classes in the S language are essentially programming concepts to enable good organization of functions and of general objects, respectively.”  
(Chambers, 2006)

“Programming in R starts out usually as writing functions, at least once we get past the strict cut-and-paste stage. Functions are the actions of the language; calls to them express what the user wants to happen. The arguments to the functions and the values returned by function calls are the objects. These objects represent everything we deal with. Actions create new objects (such as summaries and models) or present the information in the objects (by plots, printed summaries, or interfaces to other software). R is a functional, object-based system where users program to extend the capacity of the system in terms of new functionality and new kinds of objects.” (Chambers, 2006)

“Languages to which the object-oriented programming (OOP) term is typically applied mostly support what might better be called *class-oriented* programming, well-known examples being C++ and Java. In these languages the essential programming unit is the class definition. Objects are generated as instances of a class and computations on the objects consist of *invoking methods* on that object. Depending on how strict the language is, all or most of the computations must be expressed in this form. Method invocation is an operator, operating on an instance of a class. Software organization is essentially simple and hierarchical, in the sense that all methods are defined as part of a particular class. That’s not how S works; as mentioned, the first and most important programming unit is the function. From the user’s perspective, it’s all done by calling functions (even if some of the functions are hidden in the form of operators). Methods and classes provide not class-oriented programming but function- and class-oriented programming. It’s a richer view, but also a more complicated one.” (Chambers, 2006)

“A generic function will collect or *cache* all the methods for that function belonging to all the R packages that have been loaded in the session. When the function is called, the R evaluator then *selects* a method from those available, by examining how well different methods match the actual arguments in the call.” (Chambers, 2006)

“From the users’ view, the generic function has (or at least should have) a natural definition in terms of what it is intended to do: `plot()` displays graphics to represent an object or the relation between two objects; arithmetic operators such as ‘+’ carry out the corresponding intuitive numerical computations or extensions of those. Methods should map those intuitive notions naturally and reliably into the concepts represented by the class definitions.” (Chambers, 2006)

“The class definition contains a definition of the slots in objects from the class and other information of various kinds, but the most important information for the present discussion defines what other classes this class extends; that is, the inheritance or to use the most common term, the *superclasses* of this class. In R, the names of the superclasses can be seen as the value of `extends(thisClass)`. By

definition, an object from any class can be used in a computation designed for any of the superclasses of that class. Therefore, it's precisely the superclasses of the class of an argument that define candidate methods in a particular function call." (Chambers, 2006)

"Conceptually, a generic function extends the idea of a function in R by allowing different methods to be selected corresponding to the classes of the objects supplied as arguments in a call to the function." (Chambers, 2006)

The code for different implementations of a method (in other words, different ways it will run with new object classes) can come in different R packages. This allows a developer to add his or her own applications of methods, suited for object classes he or she creates.

A class defines the structure for a way of storing data. When you create an object that follows this structure, it's an instance of that class. The new function is used to create new instances of a class.

When a generic function determines what code to run based on the class of the object, it's called method dispatch.

By using the accessor function, instead of `@`, your code will be more robust to changes that the developers make. They will be sensitive to insuring that the accessor function for a particular part of the data continues to work regardless of changes they make to the structure that is used to store data in objects in that class. They will be less committed, however, to keeping the same slots, and in the same positions, as they develop the software. The "contract" with the user is through the accessor function, in other words, rather than through the slot name in the object.

"Bioconductor is an open-source, open-development software project for the analysis and comprehension of high-throughput data in genomics and molecular biology. The project aims to enable interdisciplinary research, collaboration and rapid development of scientific software. Based on the statistical programming language R, Bioconductor comprises 934 interoperable packages contributed by a large, diverse community of scientists. Packages cover a range of bioinformatic and statistical applications. They undergo formal initial review and continuous automated testing." (Huber et al., 2015a)

"Bioconductor provides core data structures and methods that enable genome-scale analysis of highthroughput data in the context of the rich statistical programming environment offered by the R project. It supports many types of high-throughput sequencing data (including DNA, RNA, chromatin immunoprecipitation, Hi-C, methylomes and ribosome profiling) and associated annotation resources; contains mature facilities for microarray analysis; and covers proteomic, metabolomic, flow cytometry, quantitative imaging, cheminformatic and other high-throughput data. Bioconductor enables the rapid creation of workflows combining multiple data types and tools for statistical inference, regression, network analysis, machine learning and visualization at all stages of a project from data generation to publication." (Huber et al., 2015a)

"Bioconductor is also a flexible software engineering environment in which to develop the tools needed, and it offers users a framework for efficient learning

and productive work. The foundations of Bioconductor and its rapid coevolution with experimental technologies are based on two motivating principles. The first is to provide a compelling user experience. Bioconductor documentation comes at three levels: workflows that document complete analyses spanning multiple tools; package vignettes that provide a narrative of the intended uses of a particular package, including detailed executable code examples; and function manual pages with precise descriptions of all inputs and outputs together with working examples. In many cases, users ultimately become developers, making their own algorithms and approaches available to others. The second is to enable and support an active and open scientific community developing and distributing algorithms and software in bioinformatics and computational biology. The support includes guidance and training on software development and documentation, as well as the use of appropriate programming paradigms such as unit testing and judicious optimization. A primary goal is the distributed development of interoperable software components by scientific domain experts. **In part we achieve this by urging the use of common data structures that enable workflows integrating multiple data types and disciplines.** To facilitate research and innovation, we employ a high-level programming language. This choice yields rapid prototyping, creativity, flexibility and reproducibility in a way that neither point-and-click software nor a general-purpose programming language can. We have embraced R for its scientific and statistical computing capabilities, for its graphics facilities and for the convenience of an interpreted language. R also interfaces with low-level languages including C and C++ for computationally intensive operations, Java for integration with enterprise software and JavaScript for interactive web-based applications and reports.” (Huber et al., 2015a)

**“Case study: high-throughput sequencing data analysis.** Analysis of large-scale RNA or DNA sequencing data often begins with aligning reads to a reference genome, which is followed by interpretation of the alignment patterns. Alignment is handled by a variety of tools, whose output typically is delivered as a BAM file. The Bioconductor packages Rsamtools and GenomicAlignments provide a flexible interface for importing and manipulating the data in a BAM file, for instance for quality assessment, visualization, event detection and summarization. The regions of interest in such analyses are genes, transcripts, enhancers or many other types of sequence intervals that can be identified by their genomic coordinates. Bioconductor supports representation and analysis of genomic intervals with a ‘Ranges’ infrastructure that encompasses data structures, algorithms and utilities including arithmetic functions, set operations and summarization (Fig. 1). It consists of several packages including IRanges, GenomicRanges, GenomicAlignments, GenomicFeatures, VariantAnnotation and rtracklayer. The packages are frequently updated for functionality, performance and usability. **The Ranges infrastructure was designed to provide tools that are convenient for end users analyzing data while retaining flexibility to serve as a foundation for the development of more complex and specialized software. We have formalized the data structures to the point that they enable interoperability, but we have also made them adaptable to specific use cases by allowing additional, less formalized userdefined data components such as application-defined annotation.** Workflows can differ vastly depending on the specific goals of the investigation, but a common pattern is reduction of the data to a defined set of ranges in terms of quantitative and qualitative summaries of the alignments at each of the sites. Examples include detecting coverage peaks

or concentrations in chromatin immunoprecipitation–sequencing, counting the number of cDNA fragments that match each transcript or exon (RNA-seq) and calling DNA sequence variants (DNA-seq). Such summaries can be stored in an instance of the class `GenomicRanges`.” (Huber et al., 2015a)

“To facilitate the analysis of experiments and studies with multiple samples, Bioconductor defines the `SummarizedExperiment` class. The computed summaries for the ranges are compiled into a rectangular array whose rows correspond to the ranges and whose columns correspond to the different samples . . . For a typical experiment, there can be tens of thousands to millions of ranges and from a handful to hundreds of samples. The array elements do not need to be single numbers: the summaries can be multivariate. The `SummarizedExperiment` class also stores metadata on the rows and columns. Metadata on the samples usually include experimental or observational covariates as well as technical information such as processing dates or batches, file paths, etc. Row metadata comprise the start and end coordinates of each feature and the identifier of the containing polymer, for example, the chromosome name. Further information can be inserted, such as gene or exon identifiers, references to external databases, reagents, functional classifications of the region (e.g., from efforts such as the Encyclopedia of DNA Elements (ENCODE)) or genetic associations (e.g., from genome-wide association studies, the study of rare diseases, or cancer genetics). The row metadata aid integrative analysis, for example, when matching two experiments according to overlap of genomic regions of interest. Tight coupling of metadata with the data reduces opportunities for clerical errors during reordering or subsetting operations.” (Huber et al., 2015a)

“The integrative data container `SummarizedExperiment`. Its `assays` component is one or several rectangular arrays of equivalent row and column dimensions. Rows correspond to features, and columns to samples. The component `rowData` stores metadata about the features, including their genomic ranges. The `colData` component keeps track of samplelevel covariate data. The `exptData` component carries experiment-level information, including MIAME (minimum information about a microarray experiment)-structured metadata. The R expressions exemplify how to access components. For instance, provided that these metadata were recorded, `rowData(se)$entrezId` returns the NCBI Entrez Gene identifiers of the features, and `setTissue` returns the tissue descriptions for the samples. Range-based operations, such as `%in%`, act on the `rowData` to return a logical vector that selects the features lying within the regions specified by the data object `CNVs`. Together with the bracket operator, such expressions can be used to subset a `SummarizedExperiment` to a focused set of genes and tissues for downstream analysis.” (Huber et al., 2015a)

“A genomics-specific visualization type is plots along genomic coordinates. There are several packages that create attractive displays of along-genome data tracks, including Gviz and ggbio . . . **These packages operate directly on common Bioconductor data structures and thus integrate with available data manipulation and modeling functionality.** A basic operation underlying such visualizations is computing with genomic regions, and the biovizBase package provides a bridge between the Ranges infrastructure and plotting packages.” (Huber et al., 2015a)

“Genomic data set sizes sometimes exceed what can be managed with standard in-memory data models, and then tools from high performance computing

come into play. An example is the use of rhdf5—an interface to the HDF5 large data management system (<http://www.hdfgroup.org/HDF5>)—by the h5vc package to slice large, genome-size data cubes into chunks that are amenable for rapid interactive computation and visualization. Both ggbio and Gviz issue range-restricted queries to file formats including BAM, BGZIP/Tabix and BigWig via Rsamtools and rtracklayer to quickly integrate data from multiple files over a specific genomic region.” (Huber et al., 2015a)

“Developers are constantly updating their packages to extend capabilities, improve performance, fix bugs and enhance documentation. These changes are introduced into the development branch of Bioconductor and released to end users every 6 months; changes are tracked using a central, publicly readable Subversion software repository, so details of all changes are fully accessible. Simultaneously, R itself is continually changing, typically around performance enhancements and increased functionality. Owing to this dynamic environment, all packages undergo a daily testing procedure. Testing is fully automated and ensures that all code examples in the package documentation, as well as further unit tests, run without error. Successful completion of the testing will result in the package being built and presented to the community.” (Huber et al., 2015a)

“Interoperability between software components for different stages and types of analysis is essential to the success of Bioconductor. Interoperability is established through the definition of common data structures that package authors are expected to use ... Technically, Bioconductor’s common data structures are implemented as classes in the S4 object-oriented system of the R language. In this manner, useful software concepts including encapsulation, abstraction of interface from implementation, polymorphism, inheritance and reflection are directly available. It allows core tasks such as matching of sample data and metadata to be adopted across disciplines, and it provides a foundation on which community development is based. It is instructive to compare such a representation to popular alternatives in bioinformatics: file-based data format conventions and primitive data structures of a language such as matrices or spreadsheet tables. With file-based formats, operations such as subsetting or data transformation can be tedious and error prone, and the serialized nature of files discourages operations that require a global view of the data. In either case, validity checking and reflection cannot rely on preformed or standardized support and need to be programmed from scratch again for every convention—or are missing altogether. As soon as the data for a project are distributed in multiple tables or files, the alignment of data records or the consistency of identifiers is precarious, and interoperability is hampered by having to manipulate disperse, loosely coordinated data collections.” (Huber et al., 2015a)

Some of the most important data structures in Bioconductor are (Huber et al., 2015a) (from Table 2 in this reference):

- ExpressionSet (Biobase package)
- SummarizedExperiment (GenomicRanges package)
- GRanges (GenomicRanges package)
- VCF (VariantAnnotation package)
- VRanges (VariantAnnotation package)
- BSgenome (BSgenome package)

“For Bioconductor, which provides tools in R for analyzing genomic data, interoperability was essential to its success. We defined a handful of data structures that we expected people to use. For instance, if everybody puts their gene expression data into the same kind of box, it doesn’t matter how the data came about, but that box is the same and can be used by analytic tools. Really, I think it’s data structures that drive interoperability.” — Robert Gentleman in (Altschul et al., 2013)

“I have found that real hardcore software engineers tend to worry about problems that are just not existent in our space. They keep wanting to write clean, shiny software, when you know that the software that you’re using today is not the software you’re going to be using this time next year.” — Robert Gentleman in (Altschul et al., 2013)

“Biology, formerly a science with sparse, often only qualitative data, has turned into a field whose production of quantitative data is on par with high energy physics or astronomy and whose data are wildly more heterogeneous and complex.” (Holmes and Huber, 2018)

“Any biological system or organism is composed of tens of thousands of components, which can be in different states and interact in multiple ways. Modern biology aims to understand such systems by acquiring comprehensive—and this means high dimensional—data in their temporal and spatial context, with multiple covariates and interactions.” (Holmes and Huber, 2018)

“Biological data come in all sorts of shapes: nucleic acid and protein sequences, rectangular tables of counts, multiple tables, continuous variables, batch factors, phenotypic images, spatial coordinates. Besides data measured in lab experiments, there are clinical data, longitudinal information, environmental measurements, networks, lineage trees, annotation from biological databases in free text or controlled vocabularies, …” (Holmes and Huber, 2018)

“Bioconductor packages support the reading of many of the data types and formats produced by measurement instruments used in modern biology, as well as the needed technology-specific ‘preprocessing’ routines. This community is actively keeping these up-to-date with the rapid developments in the instrument market.” (Holmes and Huber, 2018)

“The Bioconductor project has defined specialized data containers to represent complex biological datasets. These help to keep your data consistent, safe and easy to use.” (Holmes and Huber, 2018)

“Bioconductor in particular contains packages from diverse authors that cover a wide range of functionalities but still interoperate because of the common data containers.” (Holmes and Huber, 2018)

“IRanges is a general container for mathematical intervals. We create the biological context with the next line [which uses GRanges]. [Footnote: ‘The ‘I’ in IRanges stands for ‘interval’, the ‘G’ in GRanges for ‘genomic’.’]” (Holmes and Huber, 2018)

“Here we had to assemble a copy of the expression data (`exprs(x)`) and the sample annotation data (`pData(x)`) all together into the dataframe `dftx`—since this is the data format that `ggplot2` functions most easily take as input.” (Holmes and Huber, 2018)

GRanges is “a specialized class from the Bioconductor project for storing data that are associated with genomic coordinates. The first three columns are obligatory: seqnames, the name of the containing biopolymer (in our case, the names of human chromosomes); ranges, the genomic coordinates of the intervals (in this case, the intervals all have lengths 1, as they refer to a single nucleotide), and the DNA strand from which the RNA is transcribed. You can find out more on how to use this class and its associated infrastructure in the documentation, e.g., the vignette of the GenomicRanges package. Learning it is worth the effort if you want to work with genome-associated datasets, as it enables convenient, efficient and safe manipulation of these data and provides many powerful utilities.” (Holmes and Huber, 2018)

ChIP-Seq data “are sequences of pieces of DNA that are obtained from chromatin immunoprecipitation (ChIP). This technology enables the mapping of the locations along genomic data of transcription factors, nucleosomes, histone modifications, chromatin remodeling enzymes, chaperones, polymerases and other proteins. It was the main technology used by the Encyclopedia of DNA Elements (ENCODE) project. Here we use an example (Kuan et al., 2011) from the mosaicsExample package, which shows data measured on chromosome 22 from a ChIP-Seq of antibodies for the STAT1 protein and the H3K4me3 histone modification applied to the GM12878 cell line. Here we do not show the code used to construct the binTFBS object that contains the binding sites for one chromosome (22) [in a BinData class, it looks like from the mosaics package perhaps].” (Holmes and Huber, 2018)

“At different stages of their development, immune cells express unique combinations of proteins on their surfaces. These protein-markers are called CDs (clusters of differentiation) and are collected by flow cytometry (using fluorescence...) or mass cytometry (using single-cell atomic mass spectrometry of heavy metal reporters). An example of a commonly used CD is CD4; this protein is expressed by helper T cells that are referred to as being ‘CD4+’. Note, however, that some cells express CD4 (thus are CD4+) but are not actually helper T cells. We start by loading some useful Bioconductor packages for flow cytometry, flowCore and flowViz.” (Holmes and Huber, 2018)

“Many datasets consist of several variables measured on the same set of subjects: patients, samples or organisms. For instance, we may have biometric characteristics such as height, weight, age as well as clinical variables such as blood pressure, blood sugar, heart rate and genetic data for, say, a thousand patients. The raison d’être for multivariate analysis is the investigation of connections or associations between the different variables measured. Usually the data are reported in a tabular data structure, with one row for each subject and one column for each variable. ... in the special case where each of the variables is numeric, ... we can represent the data structure as a matrix in R. If the columns of the matrix are independent of each other (unrelated), we can simply study each column separately and do standard ‘univariate’ statistics on them one by one; there would be no benefit in studying them as a matrix. More often, there will be patterns and dependencies. For instance, in the biology of cells, we know that the proliferation rate will influence the expression of many genes simultaneously. Studying the expression of 25,000 genes (columns) on many samples (rows) of patient-derived cells, we notice that many of the genes act together; either they are positively correlated or they are anti-correlated. We would miss a lot of important information if we were to only study each gene separately. Important connections

between genes are detectable only if we consider the data as a whole, each row representing the many measurements made on the same observational unit. However, having 25,000 dimensions of variation to consider at once is daunting; [you can] reduce our data to a smaller number of the most important dimensions without losing too much information." (Holmes and Huber, 2018)

"RNA-Seq transcriptome data report the number of sequence reads matching each gene [or sub-gene structure, such as exons] in each of several biological samples... It is customary in the RNA-Seq field ... to report genes in rows and samples in columns. Compared with the other matrices we look at here, this is transposed: rows and columns swapped. Such different conventions easily lead to errors, so they are worth paying attention to. [Footnote: 'The Bioconductor project tries to help users and developers to avoid such ambiguities by defining data containers in which such conventions are explicitly fixed...']" (Holmes and Huber, 2018)

**"Proteomic profiles:** Here the columns are aligned mass spectroscopy peaks or molecules identified through their m/z ratios; the entries in the matrix are measured intensities." (Holmes and Huber, 2018)

"... unlike regression, PCA treats all variables equally (to the extent that they were preprocessed to have equivalent standard deviations). However, it is still possible to map other continuous variables or categorical factors onto plots in order to help interpret the results. Often we have supplementary information on the samples, for example diagnostic labels in the diabetes data or cell types in the T-cell gene expression data. Here we see how we can use such extra variables to inform our interpretation. The best place to store such so-called **metadata** is in appropriate slots of the data object (such as in the Bioconductor SummarizedExperiment class); the second best is in additional columns of the data frame that also contains the numeric data. In practice, such information is often stored in a more or less cryptic manner in the row names of the matrix." (Holmes and Huber, 2018)

"Multivariate data analyses require 'conscious' preprocessing. After consulting all the means, variances, and one-dimensional histograms, we saw how to rescale and center the data." (Holmes and Huber, 2018)

"Many measurement devices in biotechnology are based on massively parallel sampling and counting of molecules. One example is high-throughput DNA sequencing. Its applications fall broadly into two main classes of data output. In the first case, the outputs of interest are the sequences themselves, perhaps also their polymorphisms or differences from other sequences seen before. In the second case, the sequences themselves are more or less well understood (if, say, we have a well-assembled and annotated genome) and our interest is the abundance of different sequence regions in our sample. For instance, in RNA-Seq..., we sequence the RNA molecules found in a population of cells or in a tissue. In ChIP-Seq, we sequence DNA regions that are bound to a particular RNA-binding protein. In DNA-Seq, we sequence genomic DNA and are interested in the prevalence of genetic variants in heterogeneous populations of cells, for instance the clonal composition of a tumor. In high-throughput chromatin conformation capture (HiC) we aim to map the 3D spatial arrangement of DNA. In genetic screens (using, say, RNAi or CRISPR-Cas9 libraries for perturbation and high-throughput

sequencing for readout), we're interested in the proliferation or survival of cells upon gene knockdown, knockout, or modification. In microbiome analysis, we study the abundance of different microbial species in complex microbial habitats. Ideally, we might want to sequence and count *all* molecules of interest in the sample. Generally this is not possible; the biochemical protocols are not 100% efficient, and some molecules or intermediates get lost along the way. Moreover, it's often also not even necessary. Instead, we sequence and count a *statistical sample*. The sample size will depend on the complexity of the sequence pool assayed; it can go from tens of thousands to billions. This *sampling* nature of the data is important when it comes to analyzing them. We hope that the sampling is sufficiently representative for us to identify interesting trends and patterns.”

(Holmes and Huber, 2018)

“DESeq2 uses a specialized data container, called DESeqDataSet, to store the datasets it works with. Such use of specialized containers—or, in R terminology, classes—is a common principle of the Bioconductor project, as it helps users keep related data together. While this way of doing things requires users to invest a little more time up front to understand the classes, compared with just using basic R data types like matrix and data frame, it helps in avoiding bugs due to loss of synchronization between related parts of the data. It also enables the abstraction and encapsulation of common operations that could be quite wordy if always expressed in basic terms [footnote: Another advantage is that classes can contain validity methods, which make sure that the data always fulfill certain expectations, for instance, that the counts are positive integers, or that the columns of the counts matrix align with the rows of the sample annotation data frame.] DESeqDataSet is an extension of the class SummarizedExperiment in Bioconductor. The SummarizedExperiment class is also used by many other packages, so learning to work with it will enable you to use a large range of tools. We will use the constructor function DESeqDataSetFromMatrix to create a DESeqDataSet from the count data matrix ... and the sample annotation data frame ... The SummarizedExperiment class—and therefore DESeqDataSet—also contains facilities for storing annotations of the rows of the count matrix.” (Holmes and Huber, 2018)

“We introduced the R data.frame class, which allows us to combine heterogeneous data types: categorical factors and continuous measurements. Each row of the data frame corresponds to an object, or a record, and the columns are the different variables or features. Extra information about sample batches, dates of measurement and different protocols is often misnamed metadata. This information is actually real data that needs to be integrated into analyses. Here we show an example of an analysis that was done by Holmes et al. (2011) on bacterial abundance data from Phylochip microarrays. The experiment was designed to detect differences between a group of healthy rats and a group that had irritable bowel disease. This example shows how nuisance batch effects can become apparent in the analysis of experimental data. It illustrates why best practices in data analysis are sequential and why it is better to analyze data as they are collected—to adjust for severe problems in the experimental design as they occur—instead of trying to deal with deficiencies post mortem. When data collection started on this project, data for days 1 and 2 were delivered and we made the plot ... This shows a definite day effect. When investigating the source of this effect, we found that both the protocol and the array were different on days 1 and 2. This leads to uncertainty about the source of variation; we call this confounding of effects.”

(Holmes and Huber, 2018)

"Many programs and workflows in biological sequence analysis or assays separate the environmental and contextual information they call metadata from the assays or sequence read numbers; we discourage this practice, as the exact connections between the samples and covariates are important. The lost connections between the assays and covariates makes later analyses impossible. Covariates such as clinical history, time, batch and location are important and should be considered components of the data." (Holmes and Huber, 2018)

"The data provide an example of an awkward way of combining batch information from the actual data. The day information has been combined with the array data and encoded as a number and could be confused with a continuous variable. We will see in the next section a better practice for storing and manipulating heterogeneous data using a Bioconductor container called `SummarizedExperiment`" (Holmes and Huber, 2018)

"A more rational way of combining the batch and treatment information into compartments of a composite object is to use `SummarizedExperiment` classes. These include special slots for the assay(s) where rows represent features of interest (e.g., genes, transcripts, exons, etc.) and columns represent samples. Supplementary information about the features can be stored in a `DataFrame` object, accessible using the function `rowData`. Each row of the `DataFrame` provides information on the feature in the corresponding row of the `SummarizedExperiment` object. ... This is the best way to keep all the relevant data together. It will also enable you to quickly filter the data while keeping all the information aligned properly. ... Columns of the `DataFrame` represent different attributes of the features of interest, e.g., gene or transcript IDs. This is an example of a hybrid data container from a single-cell experiment..." (Holmes and Huber, 2018)

"The success of the tidyverse attests to the power of its underlying ideas and the quality of its implementation. ... Nevertheless, dataframes in the long format are not a panacea. ... When we write a function that expects to work on an object like `xldf`, we have no guarantee that the column `probe` does indeed contain valid probe identifiers, or that such a column even exists. There is not even a proper way to express programmatically what 'an object like `xldf` means in the tidyverse. Object-oriented (OO) programming, and its incarnation S4 in R, solves such questions. For instance, the above-mentioned checks could be performed by a `isValidObject` method for a suitably defined class, and the class definition would formalize the notion of 'an object like `xldf`'. Addressing such issues is behind the object-oriented design of the data structures in Bioconductor, such as the `SummarizedExperiment` class. Other potentially useful features of OO data representations include: 1. Abstraction of interface from implementation and encapsulation: the user accesses the data only through defined channels and does not need to see how the data are stored 'inside'—which means that inside can be changed and optimized without breaking user-level code. 2. Polymorphism: you can have different functions with the same name, such as `plot` or `filter`, for different classes of objects, and R figures out for you which to call. 3. Inheritance: you can build up more complex data representations from simpler ones. 4. Reflection and self-documentation: you can send programmatic queries to an object to ask for more information about itself. All of these make it easier to

write high-level code that focuses on the ‘big picture’ functionality rather than on implementation details of the building blocks—albeit at the cost of more initial investment in infrastructure and ‘bureaucracy.’” (Holmes and Huber, 2018)

**“Data provenance and metadata.** THere is no obvious place in an object like `xldf` to add information about data provenance: e.g., who performed the experiment, where it was published, where the data were downloaded from, or which version of the data we’re looking at (data bugs exist ...). Neither are there any explanations of the columns, such as units and assay type. Again, the data classes in Bioconductor try to address this.” (Holmes and Huber, 2018)

**Matrix-like data.** Many datasets in biology have a natural matrix-like structure, since a number of features (e.g., genes: conventionally, the rows of the matrix) are assayed on several samples (conventionally, the columns of the matrix). Unrolling the matrix into a long form like `xldf` makes some operations (say, PCA, SVD, clustering of features or samples) more awkward.” (Holmes and Huber, 2018)

**“Out-of memory data and chunking.** Some datasets are too big to load into random access memory (RAM) and manipulate all at once. Chunking means splitting the data into manageable portions (‘chunks’) and then sequentially loading each portion, computing on it, storing the results and removing it from memory before loading the next portion. R also offers infrastructure for working with large datasets that are stored on disk in a relational database management systems (the `DBI` package) or in HDF5 (the `rhdf5` package). The Bioconductor project provides the class `SummarizedExperiment`, which can store big data matrices either in RAM or in an HDF5 backend in a manner that is transparent to the user of objects of this class.” (Holmes and Huber, 2018)

Many of the statistical algorithms rely on matrices—these store data all of the same data type (e.g., numeric or counts). If you store extra variables, like binary outcome classifications (sick/well; alive/dead) or categorical variables, it will complicate these operations. Further, if these aren’t to be used in things like dimension reduction and clustering, then you will continuously need to subset as you perform those matrix-based processes. Conversely, once you move to using `ggplot` to visualize your data and other tidy tools to create summary tables and other output for reports, it’s handy to have all the information relevant to each of your observations handy within a dataframe—a structure that can hold and align data of many different types in its different columns. It therefore makes sense to evolve from more complex object types, in which different types of variables for each observation are stored in their own places, and where variables with similar types can be collected in a matrix that is ready for statistical processing, to the simpler dataframe at later stages in the pipeline, when working on publication-ready tables and figures. This requires a switch as some point in the pipeline from a coding approach that stores data in more complex Bioconductor S4 objects to one that stores data in a simple and straightforward tidy dataframe.

One file format called a *fasta* file is used to store DNA sequence data. The `Biostrings` package has a function for reading these data in from a *fasta* file.

It stores the data in an instance of the `DNAStringSet` class from that package. Within this class are `DNAString` objects for each sample.

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Bioconductor is used for many of the R packages for working with genomic and other bioinformatic data. One characteristic of packages on Bioconductor is that they make heavy use of a system for object-oriented programming in R. There are several systems for object-oriented programming in R. Bioconductor relies heavily on one called S4.

Object-oriented programming allows developers to create *methods*. These are functions in R that first check the class of the object that is input, and then run different code for different functions. For example, `summary` is one of these method-style functions. If you call the `summary` function with the input as a numeric vector, one set of code will be run: you will get numeric summaries of the values in that vector, including the minimum, maximum and median. However, if you run the same function, `summary`, on a dataframe with columns of factor data, the output will be a small summary for each column, giving the levels of the factor in each column and the number of column values in the most common of those levels.

With this system of writing methods, the same function call can be used for many different object types. By contrast, other approaches to programming might constrain a function to work with a single class of object—for example, a function might work on a dataframe and only a dataframe, not a vector, matrix, or other more complex types of objects.

These methods often have very names. Examples of these method-style functions include `plot`, `summary`, `head [?]`, [others]. You can try running these method-style functions on just about any object class that you’re using to store your data, and chances are good that it will work on the object and output something interesting.

The S4 system of object-oriented programming in R allows for something called *inheritance*. [More on this.]

As you use R with the Bioconductor packages, you often might not notice how much S4 objects are being used “under the hood”, as you pre-process and analyze data. By contrast, you may have learned the “tidyverse” approach in R, which is a powerful general approach for working with data. The tidyverse approach is centered on the `dataframe` class and predominated uses, the `dataframe`, and so a lot of attention is given to thinking about that style of data storage in an object when learning the approach.

A pre-processing pipeline in Bioconductor might take the data through a number of different object classes over the course of the pipeline. Different functions within a Bioconductor package may manage this progression without you being very aware of it. For example, one function may read the data from the file format for the equipment and move the data directly into a certain complex object class, which a second function might input this object class, do

some actions on the data, and then output the result in a different class.

Generally, if the functions in a pipeline handle these object transitions gracefully, you may not feel the need to dig more deeply into the object types. However, ideally you should feel comfortable taking a peek at your data at any step in the process. This can include seeing snippets of the data in its object (e.g., the first few elements in each component of the data at that stage) and also feel comfortable visualizing parts of the data in simple ways.

This is certainly possible even when data are stored in complex or unfamiliar object classes. However, it's a bit less natural than exploring your data when it's stored in an object class that you feel very comfortable with. For example, most R programmers have several go-to strategies for checking any data they have stored in a `dataframe`. You can develop these same go-to strategies for data in more complex object classes once you understand a few basics about the S4 system and the object classes created using this system.

First, there are a few methods you can use to figure out what's in a data object. [More on this. `str`, some on interactive ways to look at objects?] Further, most S4 objects will have their own helpfiles [`doublecheck`], and you can use this resource to learn more about what it's storing and where it puts each piece of data. [More on accessing these help files. `?ExpressionSet`, for example.]

Once you know what's in your object, there are a few ways that you can pull out different elements of the data. One basic way (it's a bit heavy-handed, and best to save for when you're struggling with other methods) is to extract *slots* from the object using the `@` symbol. If you have worked much with base R, you will be familiar with pulling out elements of more basic object classes using `$`. For example, if you wanted to extract a column named `weight` from a `dataframe` object called `experiment_1`, you could do so using the syntax `experiment_1$weight`. The `$` operator does not work in the same way with S4 objects. With these, we say that the elements are stored in different *slots* of the object, and each slot can be extracted using `@`. So if you had an S4 object with data on animal weights stored in a slot called `weight`, you could extract it from an S4 object instanced named `experiment_2` with `experiment_2@weight`.

A more elegant approach is to access elements stored in the object using a special type of function called a **accessor** function.

One important object class in Bioconductor is `ExpressionSet`. This object class helps to keep different elements of data from an experiment aligned—for example, it helps ensure that higher-level data about each sample is kept well-aligned with data on more specific values—like measurements from each metabolite feature [? better example? gene expression values for each gene?] specific to each sample. The three slots in this object class are `pData`, `exprs`, and `fData`. The data in these three slots can be accessed using the accessor functions of `pData`, `exprs`, and `fData`.

Often, the contents of the slots within a Bioconductor class will be a more

generic object type that you're familiar with, like a matrix or vector.

S4 objects can be set to check that the inputs are valid for that object class when someone creates a new object of that class. This helps with quality control in creating new objects, where these issues can be caught early, before functions are run on the object that assume certain characteristics of its data.

Methods are also referred to as generic functions within the S4 system?

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"the whole point of OOP is not to have to worry about what is inside an object. Objects made on different machines and with different languages should be able to talk to each other" — Alan Kay

This idea in object-oriented programming may be very helpful for large, multi-developer programming, since different people, or even whole teams could develop their parts independently. As long as the teams have all agreed on the way that messages will be passed between different objects and parts of the code, they could have independence in how they conduct work on their own objects. There are rules for how things connect, and independence in how each part works. If the rules for connecting different objects are set, then this approach allows for immense flexibility in how the code to work with the objects on their own can be written and changed, without breaking the whole system of code.

However, the idea of not worrying about what's inside an object is at odds with some basic principles for working with experimental data. Exploratory data analysis is a key principle for improving quality control, rigor, and even creativity in working with scientific data sets. [More on EDA, including from Tukey] EDA requires a researcher to be able to explore the data stored inside an object, ideally at any stage along a pipeline of pre-processing and then analyzing those data. Therefore, there's a bit of tension in the S4 approach in R, between using a system that allows for powerful development of tools to explore data and the fundamental needs of the researcher to access and explore their data as they work with it—to "see inside" the objects storing their data at every step.

Objects store data. They are data structures, with certain rules for where they store different elements of the data. They also are associated with specific functions that work with the way they store the data.

"A programming language serves two related purposes: it provides a vehicle for the programmer to specify actions to be executed and a set of concepts for the programmer to use when thinking about what can be done. The first aspect ideally requires a language that is 'close to the machine', so that all important aspects of a machine are handled simply and efficiently in a way that is reasonably obvious to the programmer. The C language was primarily designed with this in mind. The second aspect ideally requires a language that is 'close to the problem to be solved' so that the concepts of a solution can be expressed directly and concisely. The facilities added to C to create C++ were primarily designed with

this in mind." — Bjarne Stroustrup, *The C++ Programming Language*, Addison-Wesley, 1986

"The basis for OOP started in the early 1960s. A breakthrough involving instances and objects was achieved at MIT with the PDP-1, and the first programming language to use objects was Simula 67. It was designed for the purpose of creating simulations, and was developed by Kristen Nygaard and Ole-Johan Dahl in Norway. They were working on simulations that deal with exploding ships, and realized they could group the ships into different categories. Each ship type would have its own class, and the class would generate its unique behavior and data. Simula was not only responsible for introducing the concept of a class, but it also introduced the instance of a class. The term 'object oriented programming' was first used by Xerox PARC in their Smalltalk programming language. The term was used to refer to the process of using objects as the foundation for computation. The Smalltalk team was inspired by the Simula 67 project, but they designed Smalltalk so that it would be dynamic. The objects could be changed, created, or deleted, and this was different from the static systems that were commonly used. Smalltalk was also the first programming language to introduce the inheritance concept. It is this feature that allowed Smalltalk to surpass both Simula 67 and the analog programming systems. While these systems were advanced for their time, they did not use the inheritance concept." — <http://www.exforsys.com/tutorials/oops-concepts/the-history-of-object-oriented-programming.html>

"Object-oriented programming is first and foremost about objects. Initially object-oriented languages were geared toward modeling real world objects so the objects in a program corresponded to real world objects. Examples might include: 1. Simulations of a factory floor—objects represent machines and raw materials 2. Simulations of a planetary system—objects represent celestial bodies such as planets, stars, asteroids, and gas clouds 3. A PC desktop—objects represent windows, documents, programs, and folders 4. An operating system—objects represent system resources such as the CPU, memory, disks, tapes, mice, and other I/O devices" <https://www.ephemeralobjects.org/2014/02/03/a-brief-history-of-object-oriented-programming/>

"The idea with an object is that it advertises the types of data that it will store and the types of operations that it allows to manipulate that data. However, it hides its implementation from the user. For a real world analogy, think of a radio. The purpose of a radio is to play the program content of radio stations (actually translate broadcast signals into sounds that humans can understand). A radio has various dials that allow you to control functions such as the station you are tuned to, the volume, the tone, the bass, the power, and so on. These dials represent the operations that you can use to manipulate the radio. The implementation of the radio is hidden from you. It could be implemented using vacuum tubes or solid state transistors, or some other technology. The point is you do not need to know. The fact that the implementation is hidden from you allows radio manufacturers to upgrade the technology within radios without requiring you to relearn how to use a radio." <https://www.ephemeralobjects.org/2014/02/03/a-brief-history-of-object-oriented-programming/>

"The set of operations provided by an object is called its **interface**. The interface defines both the names of the operations and the behavior of these

operations. In essence the interface is a contract between the object and the program that uses it. The object guarantees that it will provide the advertised set of operations and that they will behave in a specified fashion. Any object that adheres to this contract can be used interchangeably by the program. Hence the implementation of an object can be changed without affecting the behavior of a program.” <https://www.ephemeralobjects.org/2014/02/03/a-brief-history-of-object-oriented-programming/>

“An object is not much good if each one must be custom crafted. For example, radios would not be nearly as prevalent if each one was handcrafted. What is needed is a way to provide a blueprint for an object and a way for a ‘factory’ to use this blueprint to mass produce objects. Classes provide this mechanism in object-oriented programming. A **class** is a factory that is able to mass produce objects. The programmer provides a class with a blueprint of the desired type of object. A ‘blueprint’ is actually composed of: 1. A declaration of a set of variables that the object will possess, 2. A declaration of the set of operations that the object will provide, and 3. A set of function definitions that implements each of these operations. The set of variables possessed by each object are called **instance variables**. The set of operations that the object provides are called **methods**. For most practical purposes, a method is like a function. When a program wants a new instance of an object, it asks the appropriate class to create a new object for it. The class allocates memory to hold the object’s instance variables and returns the object to the program. Each object knows which class created it so that when an operation is requested for that object, it can look up in the class the function that implements that operation and call that function.” <https://www.ephemeralobjects.org/2014/02/03/a-brief-history-of-object-oriented-programming/>

“In object-oriented programming, **inheritance** means the inheritance of another object’s interface, and possibly its implementation as well. Inheritance is accomplished by stating that a new class is a **subclass** of an existing class. The class that is inherited from is called the **superclass**. The subclass always inherits the superclass’s complete interface. It can extend the interface but it cannot delete any operations from the interface. The subclass also inherits the superclass’s implementation, or in other words, the functions that implement the superclass’s operations. However, the subclass is free to define new functions for these operations. This is called **overriding** the superclass’s implementation. The subclass can selectively pick and choose which functions it overrides. Any functions that are not overridden are inherited.” <https://www.ephemeralobjects.org/2014/02/03/a-brief-history-of-object-oriented-programming/>

For `xcms`, basic object class is now `SCMSnExp`. (Holmes and Huber, 2018)  
This is the container the data is stored in while pre-processing LCMS data with the `xcms` package.

“`xcms` supports analysis of LC/MS data from files in (AIA/ANDI) NetCDF, `mzML/mzXML` and `mzData` format. For the actual data import Bioconductor’s `mzR` is used.” (Smith, 2013)

“Subsequently we load the raw data as an `OnDiskMSnExp` object using the `readMSData` method from the `MSnbase` package. The `MSnbase` provides based structures and infrastructure for the processing of mass spectrometry data. ...

The resulting OnDiskMSnExp object contains general information about the number of spectra, retention times, the measured total ion current etc, but does not contain the full raw data (i.e. the m/z and intensity values from each measured spectrum). Its memory footprint is thus rather small making it an ideal object to represent large metabolomics experiments while allowing to perform simple quality controls, data inspection and exploration as well as data sub-setting operations. The m/z and intensity values are imported from the raw data files on demand, hence the location of the raw data files should not be changed after initial data import." (Smith, 2013)

Important skills for working with data in Bioconductor classes:

- How to get to the help file specific for that type of class for generic functions. For example, how to see specific parameters that can be included in a plot call.
- How to find/list all the functions / methods available for that class of object.
- How to access a help file that explains the structure of that object class. What slots are included? What's in each slot? How can you create a new instance of the class? `?Chromatogram-class` accesses the helpfile that describes the Chromatogram class in the MSnbase package. It includes info on what is typically stored in objects of this class (retention time-intensity value pairs for chromatographic mass spectroscopy data). It tells how to create a new object of that class using its constructor function. It lists accessor functions for objects in that class: `rtimes` to get retention times, `intensity` to get the intensities, `mz` to get the range of the chromatogram, etc. It also lists some functions, including generic functions like `length`, that can be used with objects in that class, as well as some details on how the class's method for that generic function works (in terms of what it will return). It provides the usage, and defines the parameters, for functions that work with this object class.
- How to figure out and use accessor functions to access specific pieces of data from objects of that class.

Often, you'll have a class that stores data for one sample (e.g., `Chromatogram` from the `MSnbase` package, which stores chromatographic mass spectrometry data), and then another class that will collectively store these sample-specific data in a larger object (e.g., `Chromatograms` class, also from the `MSnbase` package, which stores multiple `Chromatogram` objects, from different samples, in a structure derived from the matrix structure).

You can use the pipe operator from `magrittr` in Bioconductor workflows, too. It works by "piping" the output from one function call as the input into the next function call (typically, the parameter in the first position among parameters to that function call).

Calling the object name at the R console will run the print method for that object's class on the object. Often, this will provide a print out of useful metadata, descriptions, and summaries for the data stored in that object. If you

want a more granular look at what's contained in the object, you can use the `str` function.

Object classes are often set up to inherit from another class. This means that a method that works for one class might also work for a similar class, if the second inherits from the first. “The results are returned as an `XCMSnExp` object which extends the `OnDiskMSnExp` object by storing also LC/GC-MS preprocessing results. This means also that all methods to sub-set and filter the data or to access the (raw) data are inherited from the `OnDiskMSnExp` object and can thus be re-used. Note also that it is possible to perform additional rounds of peak detection (e.g. on MS level > 1 data) on the `xdata` object by calling `findChromPeaks` with the parameter `add = TRUE`.” (Smith, 2013)

Sometimes there will be a class just for storing the parameters for running an algorithm, for example, the “`CentWaveParam`” and “`MergeNeighboringPeaksParam`” classes in the `xcms` package. Presumably this is to allow validity checking before using them in the algorithm?

Moving into a more general object class after pre-processing:

“Results from the `xcms`-based preprocessing can be summarized into a `SummarizedExperiment` object from the `SummarizedExperiment` package with the `quantify` method. This object will contain the feature abundances as the assay matrix, the feature definition (their m/z, retention time and other metadata) as `rowData` (i.e. row annotations) and the sample/phenotype information as `colData` (i.e. column annotations). All the processing history will be put into the object's metadata. This object can then be used for any further (`xcms`-independent) processing and analysis.” (Smith, 2013)

“The concept in R of attributes of an object allows an exceptionally rich set of data objects. S3 methods make the class attribute the driver of an object-oriented system. It is an optional system. Only if an object has a class attribute do S3 methods really come into effect.” (Burns, 2011)

“There are some functions that are generic. Examples include `print`, `plot`, `summary`. These functions look at the class attribute of their first argument. If that argument does have a class attribute, then the generic function looks for a method of the generic function that matches the class of the argument. If such a match exists, then the method function is used. If there is no matching method or if the argument does not have a class, then the default method is used. Let's get specific. The `lm` (linear model) function returns an object of class 'lm'. Among the methods for `print` are `print.lm` and `print.default`. The result of a call to `lm` is printed with `print.lm`. The result of `l:10` is printed with `print.default`.” (Burns, 2011)

“S3 methods are simple and powerful. Objects are printed and plotted and summarized appropriately, with no effort from the user. The user only needs to know `print`, `plot` and `summary`.” (Burns, 2011)

“If your mystery number is in `obj`, then there are a few ways to look for it:  
`print.default(obj)` `print(unclass(obj))` `str(obj)` The first two print the object as if it had no class, the last prints an outline of the structure of the object. You can also do: `names(obj)` to see what components the object has—this can give you an overview of the object.” (Burns, 2011)

"median is a generic function as evidenced by the appearance of UseMethod. What the new user meant to ask was, 'How can I find the default method for median?' The most sure-fire way of getting the method is to use getS3method: getS3method('median', 'default').'" (Burns, 2011)

"The methods function lists the methods of a generic function [for classes loaded in the current session]. Alternatively given a class it returns the generic functions that have methods for the class." (Burns, 2011)

```
## [1] "print.acf"      "print.AES"       "print.anova"     "print.aov"
## [5] "print.aovlist"  "print.ar"

## [1] ExpressionSet,environment-method ExpressionSet,matrix-method
## [3] ExpressionSet,missing-method
## see '?methods' for accessing help and source code
```

"Inheritance should be based on similarity of the structure of the objects, not similarity of the concepts for the objects. Matrices and data frames have similar concepts. Matrices are a specialization of data frames (all columns of the same type), so conceptually inheritance makes sense. However, matrices and data frames have completely different implementations, so inheritance makes no practical sense. The power of inheritance is the ability to (essentially) reuse code." (Burns, 2011)

"S3 methods are simple and powerful, and a bit ad hoc. S4 methods remove the ad hoc—they are more strict and more general. The S4 methods technology is a stiffer rope—when you hang yourself with it, it surely will not break. But that is basically the point of it—the programmer is restricted in order to make the results more dependable for the user. That's the plan anyway, and it often works." (Burns, 2011)

"S4 is quite strict about what an object of a specific class looks like. In contrast S3 methods allow you to merely add a class attribute to any object—as long as a method doesn't run into anything untoward, there is no penalty. A key advantage in strictly regulating the structure of objects in a particular class is that those objects can be used in C code (via the .Call function) without a copious amount of checking." (Burns, 2011)

"Along with the strictures on S4 objects comes some new vocabulary. The pieces (components) of the object are called slots. Slots are accessed by the @ operator." (Burns, 2011)

"By now you will have noticed that S4 methods are driven by the class attribute just as S3 methods are. This commonality perhaps makes the two systems appear more similar than they are. In S3 the decision of what method to use is made in real-time when the function is called. In S4 the decision is made when the code is loaded into the R session—there is a table that charts the relation. (Burns, 2011)

### 3.5.5 Subsection 2

#### 3.5.6 Applied exercise

- [Example data in a basic list]

- [Example data in a Bioconductor list-based class]
- [Explore each example dataset. What slots do each have? What are the names of each slot? What data structures / data types are in each slot?]
- [Extract certain elements from each dataset by hand. Assign to its own object name so you can use it by itself.]
- [Use `biobroom` to extract pieces of data in the Bioconductor dataset as tidy dataframes. Try using this with further tidyverse code to create a nice table/visualization.]

### 3.6 Example: Converting from complex to ‘tidy’ data formats

We will provide a detailed example of a case where data pre-processing in R results in a complex, ‘untidy’ data format. We will walk through an example of applying automated gating to flow cytometry data. We will demonstrate the complex initial format of this pre-processed data and then show trainees how a ‘tidy’ dataset can be extracted and used for further data analysis and visualization using the popular R ‘tidyverse’ tools. This example will use real experimental data from one of our Co-Is research on the immunology of tuberculosis.

**Objectives.** After this module, the trainee will be able to:

- Describe how tools like `biobroom` were used in this real research example to convert from the complex data format from pre-processing to a format better for further data analysis and visualization
- Understand how these tools would fit in their own research pipelines

```
## -- Attaching packages ----- tidyverse 1.3.0 --
## v ggplot2 3.3.3     v purrr    0.3.4
## v tibble   3.0.6     v dplyr    1.0.4
## v tidyr    1.1.2     v stringr  1.4.0
## v readr    1.4.0     vforcats  0.5.1

## -- Conflicts ----- tidyverse_conflicts() --
## x dplyr::combine()  masks Biobase::combine(), BiocGenerics::combine()
## x tidyr::extract()  masks magrittr::extract()
## x dplyr::filter()   masks stats::filter()
## x dplyr::lag()      masks stats::lag()
## x ggplot2::Position() masks BiocGenerics::Position(), base::Position()
## x purrr::set_names() masks magrittr::set_names()
```

#### 3.6.1 Subsection 1

In the previous modules, we have talked about two topics. First we have talked about the convenience and power of tidyverse tools. These tools can be used at points in your workflow when the data can be stored in a simple standard

format: the Tidy dataframe format. We have also talked about reasons why there are advantages to using more complex data storage formats earlier in the process. In discussing this, we explained why this leads to early steps of the data preprocessing often being conducted outside of the tidyverse approach, instead using tools available through the bioconductor collection of packages. Once your workflow has advanced to a stage where it is straightforward to store the data in a simpler form at like a dataframe there are a large advantages to shifting into the tidyverse approach as compared to using more complex object-oriented classes for storing the DOT. In this module we will talk through approaches to make the shift from having data stored in bioconductor classes, including very specific classes for some data, into a tidy data format. This will allow an easy transition into using the tiny verse approach for data analysis and visualization at later stages in your workflow.

There are two key tools that have been developed as our packages that facilitate the shift of data from being stored in a more customized object-oriented class, for example one of the S4 type classes that we discussed when talking about complex data formats for bioconductor. These packages move data from one of those storage containers into a tidy dataframe format. By doing this it moves the data into a format that is very easy to use in conjunction with the Tidy barstools and the tidyverse approach.

In this module we will focus specifically on the biobroom package. Of the two packages this focuses specifically on moving data out of many of the common bioconductor classes and into tidy dataframes. this package drawers and an object-oriented approach in that it provides generic functions for extracting data from many different object classes that are coming in by a conductor. You will call the same function regardless of the class that the dad is in. If that object class has a bio broom method for that generic function, then the function will be able to extract parts of the data into a tidy data frame.

In this module we will also discuss another tool from the tidyverse, or rather a tool that draws on the tiny verse approach, that can be easily used in conjunction with biomedical data that has been processed using bioconductor tools. This is a package called ggbio that facilitates the visualization of biomedical data. It includes functions and Specialized gian's or geometrical objects that are customized for some of the tasks that you might want to conduct in visualizing biomedical data in r. by drawing on tools and an approach from ggplot which is part of the tidyverse approach, these tools allow you to work with this data while still leveraging the powerful visualization tools and philosophy underlying the ggplot package.

Finally it is quite likely better purchase will continue to evolve through are, and that in the future there might be tidy data frame format that are adaptable enough to handle earlier stages in the data preprocessing. Tidy first dataframe have already been adapted to enable them to include more complex types of data within certain columns of the data frame any special list type column. This functionality is being leveraged through the ffs package to an evil a tidy approach

to working with geographical data. This allows those who are working with geographical data, for example data from shapefiles for creating Maps, to use the standard tidyverse approaches while still containing complex data needed for this geographical information. It seems very possible that similar approaches may be adapted in the near future to allow for biomedical or genomic data to be stored in a way that both accounts for complexity early and pre-processing of these data but also allows for a more natural integration with the wealth of powerful tools available through the tidyverse approach.

### 3.6.2 The `biobroom` package

The `biobroom` package includes three main generic functions (methods), which can be used on a number of Bioconductor object classes. When applied to object stored in one of these Bioconductor classes, these functions will extract part of the data into a tidy dataframe format. In this format, it is easy to use the tools from the tidyverse to further explore, analyze, and visualize the data.

The three generic functions of `biobroom` are the functions `tidy`, `augment`, and `glance`. These function names mimic the names of the three main functions in the `broom` package, which is a more general purpose package for extracting tidy datasets from more complex R object containers. The `broom` package focuses on the output from functions in R for statistical testing and modeling, while the newer `biobroom` package replicates this idea, but for many of the common object classes used to store data through Bioconductor packages and workflows.

The `biobroom` package includes methods for the following object classes (Bass et al., 2020):

- `qvalue` objects, which are used ...
- `DESeqDataSet` objects, which are used ...
- `DGEExact` objects, which are used ...
- [limma objects]
- [ExpressionSet objects]
- `MSnSet` objects, which are used ...

As an example, we can look at how the `biobroom` package can be used to convert output generated by functions in the `edgeR` package into a tidy dataframe, and how that output can then be explored and visualized using functions from the tidyverse.

The `edgeR` package is a popular Bioconductor package that can be used on gene expression data to explore which genes are expressed differently across experimental groups (*differential expression analysis*) (Robinson et al., 2010). Before using the functions in the package, the data must be preprocessed to align sequence reads from the raw data and then to create a table with the counts of each read at each gene across each sample. The `edgeR` package includes functions for pre-processing through its own functions, as well, including capabilities

for filtering out genes with low read counts across all samples and model-based normalization across samples to help handle technical bias, including differences in sequencing depth (Chen et al., 2014).

The edgeR package operates on data stored in a special object class defined by the package, the DGEList object class (Chen et al., 2014). This object class includes areas for storing the table of read counts, in the form of a matrix appropriate for analysis by other functions in the package, as well as other spots for storing information about each sample and, if needed, a space to store annotations of the genes (Chen et al., 2014).

[Example from the biobroom help documentation—uses the hammer data that comes with the package. These data are stored in an ExpressionSet object, an object class defined by the Biobase package. You can see how the tidy function extracts these data in a tidy format. Then, the data are put in a DGEList class so they are in the right container for operations from edgeR. Then functions from the edgeR package are run to perform differential expression analysis on the data. The result is an object in the DGEEexact class, which is defined by the edgeR package. To extract data from this class in a tidy format, you can use the tidy and glance functions from biobroom.]

```
library(biobroom)
library(Biobase)
library(edgeR)

data(hammer)

class(hammer)

## [1] "ExpressionSet"
## attr(,"package")
## [1] "Biobase"

tidy(hammer)

## # A tibble: 236,128 x 3
##   gene           sample  value
##   <chr>          <chr>   <int>
## 1 ENSRNOG00000000001 SRX020102     2
## 2 ENSRNOG00000000007 SRX020102     4
## 3 ENSRNOG00000000008 SRX020102     0
## 4 ENSRNOG00000000009 SRX020102     0
## 5 ENSRNOG00000000010 SRX020102    19
## 6 ENSRNOG00000000012 SRX020102     7
## 7 ENSRNOG00000000014 SRX020102     0
## 8 ENSRNOG00000000017 SRX020102     4
## 9 ENSRNOG00000000021 SRX020102     7
## 10 ENSRNOG00000000024 SRX020102    86
```

```
## # ... with 236,118 more rows

## Example from `biobroom` help documentation
hammer.counts <- exprs(hammer) [, 1:4]
hammer.treatment <- phenoData(hammer)$protocol[1:4]

y <- DGEList(counts=hammer.counts, group=hammer.treatment)
y <- calcNormFactors(y)
y <- estimateCommonDisp(y)
y <- estimateTagwiseDisp(y)
et <- exactTest(y)

class(et)

## [1] "DGEEExact"
## attr(,"package")
## [1] "edgeR"

tidy(et)

## # A tibble: 29,516 x 4
##   gene             estimate  logCPM    p.value
##   <chr>           <dbl>    <dbl>      <dbl>
## 1 ENSRNOG000000000001  2.65     1.49  0.00000131
## 2 ENSRNOG000000000007 -0.409   -0.226   1
## 3 ENSRNOG000000000008  2.22    -0.407  0.129
## 4 ENSRNOG000000000009  0        -1.31   1
## 5 ENSRNOG000000000010  0.0331   1.79   1
## 6 ENSRNOG000000000012 -3.39     0.0794 0.00375
## 7 ENSRNOG000000000014  3.65    -0.854  0.252
## 8 ENSRNOG000000000017  2.42     1.11  0.0000638
## 9 ENSRNOG000000000021 -2.02     0.211  0.0373
## 10 ENSRNOG000000000024  0.133    3.97  0.508
## # ... with 29,506 more rows

glance(et)

##   significant   comparison
## 1          6341 control/L5 SNL
```

The creator of the broom package listed some of the common ways that statistical model output objects—the focus on ‘tidying’ in broom—tend to be untidy. These include that important information is stored in the row names, where it is harder to access, that the names of some columns can be tricky to work with because they use non-standard conventions (i.e., they don’t follow the rules for naming objects in R), that some desired information is not

available in the object, but rather is typically computed with later methods for the object, like when `summary` is run on the object, or are only available as the result of a `print` method run on the object, and vectors that a user may want to explore in tandem are stored in different places in the object. (Robinson, 2014)

[Examples of these in Bioconductor objects?]

These ‘messy’ characteristics show up in the data stored in Bioconductor objects, as well, in terms of characteristics that impede working with data stored in these formats easily using tools from the tidyverse. As an example, one common class for storing data in Bioconductor work is the `ExpressionSet` object class, defined in the `Biobase` package (Huber et al., 2015b). This object class can be used to store the data from high-throughput assays. It includes slots for the assay data, as well as slots for storing metadata about the experiment, which could include information like sampling time points or sample strains, as well as the experimental group of each sample (control versus treated, for example).

Data from the assay for the experiment—for example, gene expression or intensity [?] measurements for each gene and each sample [?—can be extracted from an `ExpressionSet` object using an extractor function called `exprs`. Here is an example using the `hammer` example dataset available with the `biobroom` package. The code call here extracts the assay data from the `hammer` R object, which is an instance of the `ExpressionSet` object class. It uses indexing (`[1:10, 1:3]`) to limit printing to the first ten rows and first three columns of the output, so we can investigate a small snapshot of the data:

```
##          SRX020102 SRX020103 SRX020104
## ENSRNOG000000000001     2      4     18
## ENSRNOG000000000007     4      1      3
## ENSRNOG000000000008     0      1      4
## ENSRNOG000000000009     0      0      0
## ENSRNOG000000000010    19     10     19
## ENSRNOG000000000012     7      5      1
## ENSRNOG000000000014     0      0      2
## ENSRNOG000000000017     4      1     12
## ENSRNOG000000000021     7      5      2
## ENSRNOG000000000024    86     53     86
```

These data are stored in a matrix format. The gene identifiers [?] are given in the rownames and the samples in the column names. Each cell of the matrix provides the expression level (number of reads [?]) of a specific gene in a specific sample.

These data are structured and stored in such a way that they have some of the characteristics that can make data difficult to work with the data using tidyverse tools. For example, they store gene identifiers in the rownames, rather than in a separate column where they can be easily accessed when using

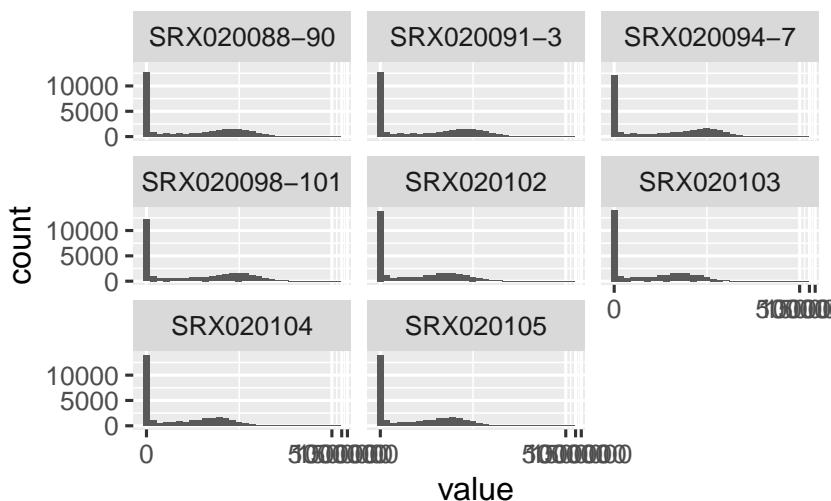
tidyverse functions. Also, there are phenotype / meta data that are stored in other parts of the ExpressionSet data but that may be interesting to explore in conjunction with these assay data, including the experimental group of each sample (control versus animals in which chronic neuropathic pain was induced, in these example data).

The `tidy` function from the `biobroom` package extracts these data and restructures them into a ‘tidy’ format, ready to use easily with tidyverse tools.

```
## # A tibble: 236,128 x 3
##   gene           sample  value
##   <chr>          <chr>   <int>
## 1 ENSRNOG000000000001 SRX020102     2
## 2 ENSRNOG000000000007 SRX020102     4
## 3 ENSRNOG000000000008 SRX020102     0
## 4 ENSRNOG000000000009 SRX020102     0
## 5 ENSRNOG000000000010 SRX020102    19
## 6 ENSRNOG000000000012 SRX020102     7
## 7 ENSRNOG000000000014 SRX020102     0
## 8 ENSRNOG000000000017 SRX020102     4
## 9 ENSRNOG000000000021 SRX020102     7
## 10 ENSRNOG000000000024 SRX020102    86
## # ... with 236,118 more rows
```

This output is a tidy dataframe object, with three columns providing the gene name, the sample identifier, and the expression level. In this format, the data can easily be explored and visualized with tidyverse tools. For example, you could easily create a set of histograms, one per sample, showing the distribution of expression levels across all genes in each sample: [better example visualization here?]

```
## `stat_bin()` using `bins = 30`. Pick better value with `binwidth`.
```

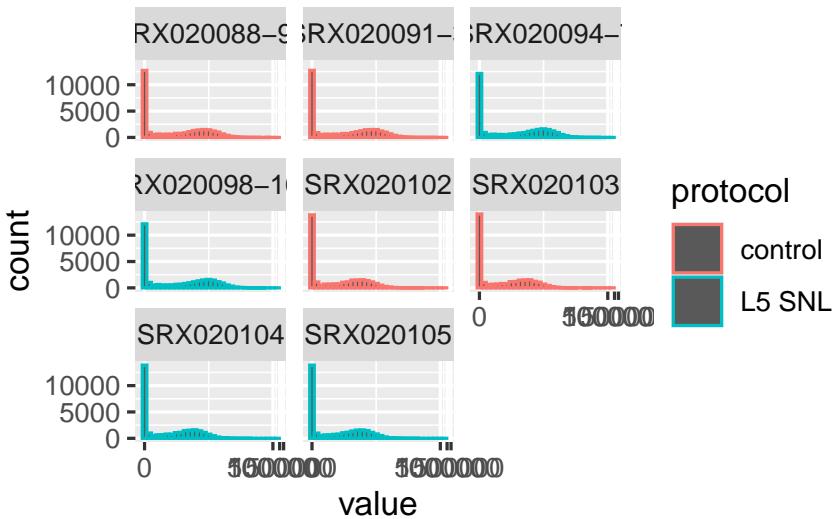


You can also incorporate data that are stored in the `phenoData` slot of the `ExpressionSet` object by specifying `addPheno = TRUE`:

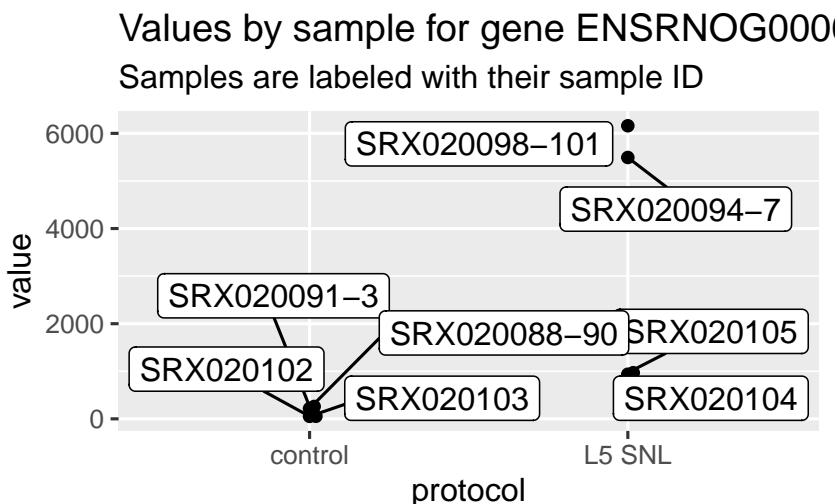
```
## # A tibble: 236,128 x 8
##   gene      sample sample.id num.tech.reps protocol strain     Time value
##   <chr>     <chr>    <fct>          <dbl> <fct>    <fct>    <fct> <int>
## 1 ENSRNOG0000~ SRX0201~ SRX020102          1 control Sprague ~ 2 mon~    2
## 2 ENSRNOG0000~ SRX0201~ SRX020102          1 control Sprague ~ 2 mon~    4
## 3 ENSRNOG0000~ SRX0201~ SRX020102          1 control Sprague ~ 2 mon~    0
## 4 ENSRNOG0000~ SRX0201~ SRX020102          1 control Sprague ~ 2 mon~    0
## 5 ENSRNOG0000~ SRX0201~ SRX020102          1 control Sprague ~ 2 mon~   19
## 6 ENSRNOG0000~ SRX0201~ SRX020102          1 control Sprague ~ 2 mon~    7
## 7 ENSRNOG0000~ SRX0201~ SRX020102          1 control Sprague ~ 2 mon~    0
## 8 ENSRNOG0000~ SRX0201~ SRX020102          1 control Sprague ~ 2 mon~    4
## 9 ENSRNOG0000~ SRX0201~ SRX020102          1 control Sprague ~ 2 mon~    7
## 10 ENSRNOG0000~ SRX0201~ SRX020102          1 control Sprague ~ 2 mon~   86
## # ... with 236,118 more rows
```

With this addition, visualizations can easily be changed to also show the experimental group of each sample:

```
## `stat_bin()` using `bins = 30`. Pick better value with `binwidth`.
```



You can also do things like look at differences in values for specific genes, pairing tools for exploring data with tools for visualization, both from the tidyverse:



The data for a subset of the sample can be analyzed using functions from the edgeR package, to complete needed pre-processing (for example, calculating normalizing factors with `calcNormFactors`, to reduce impacts from technical bias [?]), estimate dispersion using conditional maximum likelihood and empirical Bayesian methods (`estimateCommonDisp` and `estimateTagwiseDisp`), and then perform a statistical analysis, conducting a differential expression analysis (`exactTest`) (Chen et al., 2014).

The data are stored in a special Bioconductor class, as an instance of `DGEList`, throughout most of this process. This special class can be initialized with data from the original `ExpressionSet` object, specifically, assay data with the counts per gene in each sample and data on the experimental phenotypes for the experiment—specifically, the protocol for each sample, in terms of whether it was a control or if the sample was from an animal in which chronic neuropathic pain was induced (Hammer et al., 2010).

```
## [1] "DGEList"
## attr(,"package")
## [1] "edgeR"
```

Once the data are stored in this special `DGEList` class, different steps of the preprocessing can be conducted. In each case, the results are stored in special slots of the `DGEList` object. In this way, the original data and results from preprocessing are all kept together in a single object, each in a special slot within the object's structure.

```
## [1] "DGEList"
## attr(,"package")
## [1] "edgeR"

## [1] "DGEList"
## attr(,"package")
## [1] "edgeR"
```

```
## [1] "DGEList"
## attr(,"package")
## [1] "edgeR"
```

After the preprocessing, the data can be analyzed using the `exactText` function. This inputs the data stored in a `DGEList` object and outputs results into a different object class, a `DGEExact` class.

```
## [1] "DGEExact"
## attr(,"package")
## [1] "edgeR"
```

The `DGEExact` class is defined by the `edgeR` package and was created specifically to store the results from a differential expression analysis (Chen et al., 2014). It has slots for a dataframe giving the estimates of differential change in expression across the experimental groups for each gene, within a table slot. Again, in this output, gene identifiers are stored as rownames—which makes them hard to access with `tidyverse` tools—rather than in their own column:

```
##          logFC      logCPM      PValue
## ENSRNOG000000000001 2.64635814 1.49216267 1.309933e-06
## ENSRNOG000000000007 -0.40869816 -0.22616605 1.000000e+00
## ENSRNOG000000000008 2.22296029 -0.40665547 1.288756e-01
## ENSRNOG000000000009 0.00000000 -1.31347471 1.000000e+00
## ENSRNOG000000000010 0.03307909  1.79448965 1.000000e+00
## ENSRNOG000000000012 -3.39210151  0.07939132 3.745676e-03
```

The `DGEExact` object also has a slot that contains a vector with identifiers for the two experimental groups that are being compared in the differential expression analysis, under the slot `comparison`:

```
## [1] "control" "L5 SNL"
```

There is also a space in this object class where information about each gene can be stored, if desired.

Two `biobroom` methods are defined for the `DGEExact` object class, `glance` and `tidy`. The `tidy` method extracts the results from the differential expression analysis, but moves these results into a dataframe where the gene names are given their own column, rather than being stored in the hard-to-access rownames:

```
## # A tibble: 29,516 x 4
##   gene       estimate  logCPM    p.value
##   <chr>     <dbl>    <dbl>     <dbl>
## 1 ENSRNOG000000000001    2.65     1.49    0.00000131
## 2 ENSRNOG000000000007   -0.409   -0.226     1
```

```
## 3 ENSRNOG000000000008 2.22 -0.407 0.129
## 4 ENSRNOG000000000009 0 -1.31 1
## 5 ENSRNOG000000000010 0.0331 1.79 1
## 6 ENSRNOG000000000012 -3.39 0.0794 0.00375
## 7 ENSRNOG000000000014 3.65 -0.854 0.252
## 8 ENSRNOG000000000017 2.42 1.11 0.0000638
## 9 ENSRNOG000000000021 -2.02 0.211 0.0373
## 10 ENSRNOG000000000024 0.133 3.97 0.508
## # ... with 29,506 more rows
```

Now that the data are in this tidy format, tools from the tidyverse can be easily applied. For example, you could use functions from the dplyr package to see the genes for which the differential expression analysis resulted in both a very low p-value and a large difference in expression across the experimental groups:

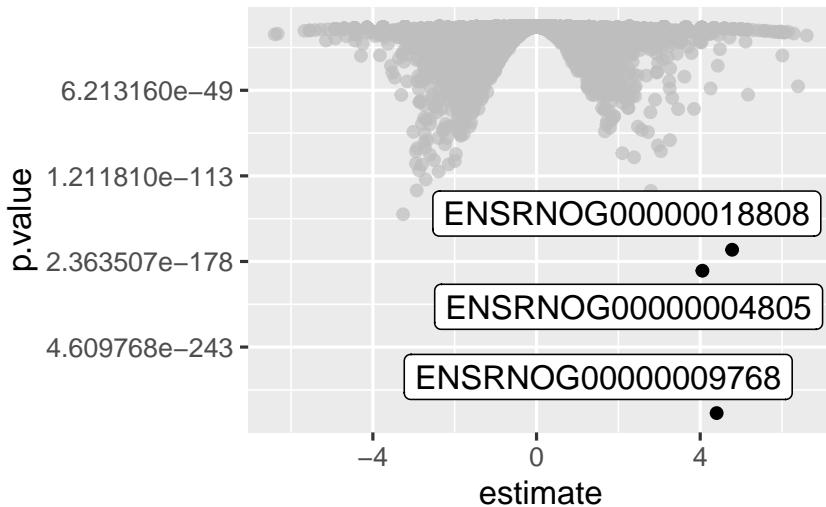
```
## # A tibble: 803 x 4
##   gene           estimate logCPM    p.value
##   <chr>        <dbl>    <dbl>      <dbl>
## 1 ENSRNOG00000013496  6.39     3.41 5.95e- 46
## 2 ENSRNOG00000001338  6.01     2.25 1.37e- 22
## 3 ENSRNOG00000020136  5.17     3.89 3.19e- 52
## 4 ENSRNOG00000018808  4.78     6.46 1.75e-169
## 5 ENSRNOG00000006151  4.43     2.99 2.39e- 30
## 6 ENSRNOG00000009768  4.40     7.83 5.57e-293
## 7 ENSRNOG00000030927 -4.29     2.45 6.32e- 23
## 8 ENSRNOG00000001476  4.25     3.76 1.45e- 47
## 9 ENSRNOG00000004805  4.05     6.64 2.51e-185
## 10 ENSRNOG00000014327 3.85     4.51 5.39e- 63
## # ... with 793 more rows
```

Other exploratory analysis will also be straightforward with the data using tidyverse tools, now that they are in a “tidy” format.

The glance method can also be applied to data that are stored in a DGEExact class. In this case, the method will extract the names of the experimental groups being compared (from the comparison slot of the object) as well as count the number of genes with statistically significant differences in expression level, based on the values in the table slot of the object.

```
##   significant   comparison
## 1          6341 control/L5 SNL
##   significant   comparison
## 1          4225 control/L5 SNL
```

As another example, you can now use tools from ggplot2, as well as extensions built on this package, to do things like create a volcano plot of the data with highlighting of noteworthy genes on the plot:



If you wanted to access the help files for these `biobroom` methods for this object class, you could do so by calling `help` in R (?) using the name of the method, a dot, and then the name of the object class, e.g., `?tidy.DGEEexact`.

### 3.6.3 The `ggbio` package

#### 3.6.4 Subsection 2

“The `biobroom` package contains methods for converting standard objects in Bioconductor into a ‘tidy format’. It serves as a complement to the popular `broom` package, and follows the same division (`tidy/augment/glance`) of tidying methods.” (Bass et al., 2020)

“Tidying data makes it easy to recombine, reshape and visualize bioinformatics analyses. Objects that can be tidied include: `ExpressionSet` object, `GRanges` and `GRangesList` objects, `RangedSummarizedExperiment` object, `MSnSet` object, per-gene differential expression tests from `limma`, `edgeR`, and `DESeq2`, `qvalue` object for multiple hypothesis testing.” (Bass et al., 2020)

“We are currently working on adding more methods to existing Bioconductor objects.” (Bass et al., 2020)

“All `biobroom` `tidy` and `augment` methods return a `tbl_df` by default (this prevents them from printing many rows at once, while still acting like a traditional `data.frame`).” (Bass et al., 2020)

“The concept of ‘tidy data’ offers a powerful framework for structuring data to ease manipulation, modeling and visualization. However, most R functions, both those built-in and those found in third-party packages, produce output that is not tidy, and that is therefore difficult to reshape, recombine, and otherwise manipulate. Here I introduce the `broom` package, which turns the output of model objects into tidy data frames that are suited to further analysis, manipulation, and visualization with input-tidy tools.” (Robinson, 2014)

“Tools are classified as ‘messy-output’ if their output does not fit into this [tidy] framework. Unfortunately, the majority of R modeling tools, both from the built-in `stats` package and those in common third party packages, are messy-output.

This means the data analyst must tidy not only the original data, but the results at each intermediate stage of an analysis." (Robinson, 2014)

"The broom package is an attempt to solve this issue, by bridging the gap from untidy outputs of predictions and estimations to create tidy data that is easy to manipulate with standard tools. It centers around three S3 methods, tidy, augment, and glance, that each take an object produced by R statistical functions (such as lm, t.test, and nls) or by popular third-party packages (such as glmnet, survival, lme4, and multcomp) and convert it into a tidy data frame without rownames (Friedman et al., 2010; Therneau, 2014; Bates et al., 2014; Hothorn et al., 2008). These outputs can then be used with input-tidy tools such as dplyr or ggplot2, or downstream statistical tests. broom should be distinguished from packages such as reshape2 and tidyr, which rearrange and reshape data frames into different forms (Wickham, 2007b, 2014b). Those packages perform essential tasks in tidy data analysis but focus on manipulating data frames in one specific format into another. In contrast, broom is designed to take data that is not in a data frame (sometimes not anywhere close) and convert it to a tidy data frame." (Robinson, 2014)

"tidy constructs a data frame that summarizes the model's statistical components, which we refer to as the component level. In a regression such as the above it may refer to coefficient estimates, p-values, and standard errors for each term in a regression. The tidy generic is flexible- in other models it could represent per-cluster information in clustering applications, or per-test information for multiple comparison functions. ... augment add columns to the original data that was modeled, thus working at the observation level. This includes predictions, residuals and prediction standard errors in a regression, and can represent cluster assignments or classifications in other applications. By convention, each new column starts with . to ensure it does not conflict with existing columns. To ensure that the output is tidy and can be recombined, rownames in the original data, if present, are added as a column called .rownames. ... Finally, glance constructs a concise one-row summary of the model level values. In a regression this typically contains values such as R<sup>2</sup>, adjusted R<sup>2</sup>, residual standard error, Akaike Information Criterion (AIC), or deviance. In other applications it can include calculations such as cross validation accuracy or prediction error that are computed once for the entire model. ... These three methods appear across many analyses; indeed, the fact that these three levels must be combined into a single S3 object is a common reason that model outputs are not tidy. Importantly, some model objects may have only one or two of these methods defined. (For example, there is no sense in which a Student's T test or correlation test generates information about each observation, and therefore no augment method exists)." (Robinson, 2014)

"While model inputs usually require tidy inputs, such attention to detail doesn't carry over to model outputs. Outputs such as predictions and estimated coefficients aren't always tidy. For example, in R, the default representation of model coefficients is not tidy because it does not have an explicit variable that records the variable name for each estimate, they are instead recorded as row names. In R, row names must be unique, so combining coefficients from many models (e.g., from bootstrap resamples, or subgroups) requires workarounds to avoid losing important information. This knocks you out of the flow of analysis and makes it harder to combine the results from multiple models." (Wickham, 2014)

"edgeR can be applied to differential expression at the gene, exon, transcript or

tag level. In fact, read counts can be summarized by any genomic feature. edgeR analyses at the exon level are easily extended to detect differential splicing or isoform-specific differential expression.” (Chen et al., 2014)

“edgeR provides statistical routines for assessing differential expression in RNA-Seq experiments or differential marking in ChIP-Seq experiments. The package implements exact statistical methods for multigroup experiments developed by Robinson and Smyth [33, 34]. It also implements statistical methods based on generalized linear models (glms), suitable for multifactor experiments of any complexity, developed by McCarthy et al. [22], Lund et al. [20], Chen et al. [5] and Lun et al. [19]. ... A particular feature of edgeR functionality, both classic and glm, are empirical Bayes methods that permit the estimation of gene-specific biological variation, even for experiments with minimal levels of biological replication.” (Chen et al., 2014)

“edgeR performs differential abundance analysis for pre-defined genomic features. Although not strictly necessary, it usually desirable that these genomic features are non-overlapping. For simplicity, we will hence-forth refer to the genomic features as ‘genes’, although they could in principle be transcripts, exons, general genomic intervals or some other type of feature. For ChIP-seq experiments, abundance might relate to transcription factor binding or to histone mark occupancy, but we will henceforth refer to abundance as in terms of gene expression.” (Chen et al., 2014)

“edgeR stores data in a simple list-based data object called a DGEList. This type of object is easy to use because it can be manipulated like any list in R. ... The main components of an DGEList object are a matrix counts containing the integer counts, a data.frame samples containing information about the samples or libraries, and a optional data.frame genes containing annotation for the genes or genomic features. The data.frame samples contains a column lib.size for the library size or sequencing depth for each sample. If not specified by the user, the library sizes will be computed from the column sums of the counts. For classic edgeR the data.frame samples must also contain a column group, identifying the group membership of each sample.” (Chen et al., 2014)

“Genes with very low counts across all libraries provide little evidence for differential expression. In the biological point of view, a gene must be expressed at some minimal level before it is likely to be translated into a protein or to be biologically important. In addition, the pronounced discreteness of these counts interferes with some of the statistical approximations that are used later in the pipeline. These genes should be filtered out prior to further analysis. As a rule of thumb, genes are dropped if they can’t possibly be expressed in all the samples for any of the conditions. Users can set their own definition of genes being expressed. Usually a gene is required to have a count of 5-10 in a library to be considered expressed in that library. Users should also filter with count-per-million (CPM) rather than filtering on the counts directly, as the latter does not account for differences in library sizes between samples.” (Chen et al., 2014)

“The most obvious technical factor that affects the read counts [in data for edgeR and so requires normalizations], other than gene expression levels, is the sequencing depth of each RNA sample. edgeR adjusts any differential expression analysis for varying sequencing depths as represented by differing library sizes.

This is part of the basic modeling procedure and flows automatically into fold-change or p-value calculations. It is always present, and doesn't require any user intervention." (Chen et al., 2014)

"In edgeR, normalization takes the form of correction factors that enter into the statistical model. Such correction factors are usually computed internally by edgeR functions, but it is also possible for a user to supply them. The correction factors may take the form of scaling factors for the library sizes, such as computed by calcNormFactors, which are then used to compute the effective library sizes. Alternatively, gene-specific correction factors can be entered into the glm functions of edgeR as offsets. In the latter case, the offset matrix will be assumed to account for all normalization issues, including sequencing depth and RNA composition. Note that normalization in edgeR is model-based, and the original read counts are not themselves transformed. This means that users should not transform the read counts in any way before inputting them to edgeR." (Chen et al., 2014)

"Recent work on a grammar of graphics could be extended for biological data. The grammar of graphics is based on modular components that when combined in different ways will produce different graphics. This enables the user to construct a combinatoric number of plots, including those that were not preconceived by the implementation of the grammar. Most existing tools lack these capabilities." (Yin et al., 2012)

"A new package, ggbio, has been developed and is available on Bioconductor. The package provides the tools to create both typical and non-typical biological plots for genomic data, generated from core Bioconductor data structures by either the high-level autoplot function, or the combination of low-level components of the grammar of graphics. Sharing data structures with the rest of Bioconductor enables direct integration with Bioconductor workflows." (Yin et al., 2012)

"In ggbio, most of the functionality is available through a single command, autoplot, which recognizes the data structure and makes a best guess of the appropriate plot. ... Compared to the more general qplot API of ggplot2, autoplot facilitates the creation of specialized biological graphics and reacts to the specific class of object passed to it. Each type of object has a specific set of relevant graphical parameters, and further customization is possible through the low-level API." (Yin et al., 2012)

The ggbio package has autoplot functions for many Bioconductor object classes, including GRangesList, ... [Yin et al. (2012)]

"The grammar [of graphics] is composed of interchangeable components that are combined according to a flexible set of rules to produce plots from a wide range of types." (Yin et al., 2012)

"Data are the first component of the grammar... The ggbio package attempts to automatically load files of specific formats into common Bioconductor data structures, using routines provided by Bioconductor packages... The type of data structure loaded from a file or returned by an algorithm depends on the intrinsic structure of the data. For example, BAM files are loaded into a GappedAlignments, while FASTA and 2bit sequences result in a DNAStringSet. The ggbio

package handles each type of data structure differently... In summary, this abstraction mechanism allows ggbio to handle multiple file formats, without discarding any intrinsic properties that are critical for effective plotting." (Yin et al., 2012)

"Genomic data have some specific features that are different from those of more conventional data types, and the basic grammar does not conveniently capture such aspects. The grammar of graphics is extended by ggbio in several ways... These extensions are specific to genomic data, that is, genomic sequences and features, like genes, located on those sequences." (Yin et al., 2012)

"A geom is responsible for translating data to a visual, geometric representation according to mappings between variables and aesthetic properties on the geom. In comparison to regular data elements that might be mapped to the ggplot2 geoms of points, lines, and polygons, genomic data has the basic currency of a range. Ranges underlie exons, introns, and other features, and the genomic coordinate system forms the reference frame for biological data. We have introduced or extended several geoms for representing ranges and gaps between ranges. ... For example, the alignment geom delegates to two other geoms for drawing the ranges and gaps. These default to rectangles and chevrons, respectively. Having specialized geoms for commonly encountered entities, like genes, relegates the tedious coding of primitives, and makes use code simpler and more maintainable." (Yin et al., 2012)

"Coordinate systems locate points in space, and we use coordinate transformations to map from data coordinates to plot coordinates. The most common coordinate system in statistical graphics is cartesian. The transformation of data to cartesian coordinates involves mapping points onto a plane specified by two perpendicular axes (x and y). Why would two plots transform the coordinates differently for the same data? The first reason is to simplify, such as changing curvilinear graphics to linear, and the second reason is to reshape a graphic so that the most important information jumps out at the viewer or can be more accurately perceived. Coordinate transformations are also important in genomic data visualization. For instance, features of interest are often small compared to the intervening gaps, especially in gene models. The exons are usually much smaller than the introns. If users are generally interested in viewing exons and associated annotations, we could simply cut or shrink the intervening introns to use the plot space efficiently." (Yin et al., 2012)

"Almost all experimental outputs are associated with an experimental design and other meta-data, for example, cancer types, gender, and age. Faceting allows users to subset the data by a combination of factors and then lay out multiple plots in a grid, to explore relationships between factors and other variables. The ggplot2 package supports various types of faceting by arbitrary factors. The ggbio package extends this notion to facet by a list of ranges of interest, for example, a list of gene regions. There is always an implicit faceting by sequence (chromosome), because when the x axis is the chromosomal coordinate, it is not sensible to plot data from different chromosomes on the same plot." (Yin et al., 2012)

"For custom use cases, ggbio provides a low-level API that maps more directly to components of the grammar and thus expresses the plot more explicitly.

Generally speaking, we strive to provide sensible, overrideable defaults at the high-level entry points, such as `autoplot`, while still supporting customizability through the low-level API. All lower level functions have a special prefix to indicate their role in the grammar, like `layout`, `geom`, `stat`, `coord`, and `theme`. The objects returned by the low-level API may be added together via the conventional `+ syntax`. This facilitates the creation of new types of plots. A `geom` in `ggplot2` may be extended to work with more biological data model, for example, `geom_rect` will automatically figure out the boundary of rectangles when the data is a `GRanges`, as to `geom_bar`, `geom_segment`, and so on.” (Yin et al., 2012)

“We use `ggplot2` as the foundation for `ggbio`, due to its principled style, intelligent defaults and explicit orientation towards the grammar of graphics model.”  
(Yin et al., 2012) (Yin et al., 2012)

### 3.6.5 Applied exercise

## 3.7 Introduction to reproducible data pre-processing protocols

Reproducibility tools can be used to create reproducible data pre-processing protocols—documents that combine code and text in a ‘knitted’ document, which can be re-used to ensure data pre-processing is consistent and reproducible across research projects. In this module, we will describe how reproducible data pre-processing protocols can improve reproducibility of pre-processing experimental data, as well as to ensure transparency, consistency, and reproducibility across the research projects conducted by a research team.

**Objectives.** After this module, the trainee will be able to:

- Define a ‘reproducible data pre-processing protocol’
- Explain how such protocols improve reproducibility at the data pre-processing phase
- List other benefits, including improving efficiency and consistency of data pre-processing

### 3.7.1 Introducing reproducible data pre-processing protocols

#### Data pre-processing

When we take measurements of experimental samples, we do so with the goal of using the data we collect to gain scientific knowledge. The data are direct measurement of something, but need to be interpreted to gain knowledge. Sometimes direct measurements line up very closely with a research question—for example if you are conducting a study that investigates the mortality status of each test subject then whether or not each subject to dies is a data point that is directly related to the research question you are aiming to answer. In this case these data may go directly into a statistical analysis model without extensive pre-processing. However, there are often cases where we collect data that are not as immediately linked to the scientific question. Instead, these data may require pre-processing before they can be used to test

meaningful scientific hypotheses. This is often the case for data extracted using complex equipment. Equipment like mass spectrometers and flow cytometers leverage physics, chemistry, and biology in clever ways to help us derive more information from samples, but one tradeoff is that the data from such equipment often require a bit of work to move into a format that is useful for answering scientific questions.

One example if the data collected through liquid chromatography-mass spectrometry (LC-MS). This is a powerful and useful technique for chemical analysis, including analysis of biochemical molecules like metabolites and proteins. However, when using this technique, the raw data require extensive pre-processing before they can be used to answer scientific questions.

First, the data that are output by the mass spectrometer are often stored in a specialized file format, like a netCDF or mzML file format. While these file formats are standardized, they are likely formats you don't regularly use in other contexts, and so you may need to find special tools to read the data into programs to analyze it. In some cases, the data are very large, and so it may be necessary to use analysis tools that allow most of the data to stay "on disk" while you analyze it, bringing only small parts into your analysis software at a time.

Once the data are read in, they must be pre-processed in a number of ways. For example, these data can be translated into features that are linked to the chemical composition of the sample, with each feature showing up as a "peak" in the data that are output from the mass spectrometer. A peak can be linked to a specific metabolite feature based on its mass-to-charge ratio ( $m/z$ ) and its retention time. However, the exact retention time for a metabolite feature may vary a bit from sample to sample. Pre-processing is required both to identify peaks in the data and also to align the peaks from the same metabolite feature across all samples from your experiment. There may also be technical bias across samples, resulting in differences in the typical expression levels of all peaks from one sample to the next. For example it may be the case that all intensities measured for one sample tend to be higher than for another sample because of technical bias in terms of the settings used for the equipment when the two samples were run. These biases must also be corrected through pre-processing before you can use the data within statistical tests or models to explore scientific hypotheses.

[Image of identifying and aligning peaks in LC-MS data]

In the research process, these pre-processing steps should be done before the data are used for further analysis. There are the first step in working with the data after they are collected by the equipment (or by laboratory personal, in the case of data from simpler process, like plating samples and counting colony-forming units). After the data are appropriately pre-processed, you can use them for statistical tests—for example, to determine if metabolite profiles are different between experimental groups—and also combine them with other data collected from the experiment—for example, to see whether certain

metabolite levels are correlated with the bacterial load in a sample.

**Approaches for pre-processing data.**

There are two main approaches for pre-processing experimental data in this way. First, when data are the output of complex laboratory equipment, there will often be proprietary software that is available for this pre-processing. This software may be created by the same company that made the equipment, or it may be created and sold by other companies. The interface will typically be a graphical-user interface (GUI), where you will use pull-down menus and point-and-click interfaces to work through the pre-processing steps. You often will be able to export a pre-processed version of the data in a common file format, like a delimited file or an Excel file, and that version of the data can then be read into more general data analysis software, like Excel or R.

[Include a screenshot of this type of software in action.]

The second approach is to conduct the pre-processing directly within general data analysis software like R or Python. These programs are both open-source, and include extensions that were created and shared by users around the world. Through these extensions, there are often powerful tools that you can use to pre-process complex experimental data. In fact, the algorithms used in proprietary software are sometimes extended from algorithms first shared through R or Python. With this approach, you will read the data into the program (R, for example) directly from the file output from the equipment. You can record all the code that you use to read in and pre-process the data in a code script, allowing you to reproduce this pre-processing work. You can also go a step further, and incorporate your code into a pre-processing protocol, which combines nicely formatted text with executable code, and which we'll describe in much more detail later in this module and in the following two modules.

There are advantages to taking the second approach—using scripted code in an open-source program—rather than the first—using proprietary software with a GUI interface. The use of codes scripts ensures that the steps of pre-processing are reproducible. This means both that you will be able to re-do all the steps yourself in the future, if you need to, but that also that other researchers can explore and replicate what you do. You may want to share your process with others in your laboratory group, for example, so they can understand the choices you made and steps you took in pre-processing the data. You may also want to share the process with readers of the articles you publish, and this may in fact be required by the journal. Further, the use of a code script encourages you to document this code and this process, even moreso when you move beyond a script and include the code in a reproducible pre-processing protocol. Well-documented code makes it much easier to write up the method section later in manuscripts that leveraged the data collected in the experiment.

Also, when you use scripted code to pre-process biomedical data, you will find that the same script can often be easily adapted and re-used in later

projects that use the same type of data. You may need to change small elements, like the file names of files with data you want to use, or some details about the methods used for certain pre-processing steps. However, often almost all of the pre-processing steps will repeat over different experiments that you do. By extending to write a pre-processing protocol, you can further support the ease of adapting and re-using the pre-processing steps you take with one experiment when you run later experiments that are similar.

### 3.8 From pre-processing scripts to pre-processing protocols

In the previous subsection, we mentioned that you can move a step beyond scripts when pre-processing, and instead create a pre-processing protocol that includes formatted text and executable code. This type of protocol can be easily created using R, and it can serve as a reference for your laboratory group both of what you did to pre-process data for the current experiment, but also as a starting point for how to do similar analyses in the future. In module 3.9, we will walk in detail through an example of this type of pre-processing protocol—you can take a look now to get an idea by downloading the example here.

This protocol includes all the code that was used for pre-processing, but it isn't as limited as a simple code script with comments. Instead,

If you have used open-source software tools, like Bioconductor packages, you are likely familiar with the vignettes that come with the packages. These provide tutorial guides showing you how to work with the package. They often leverage example data that you can download so that you can try all the example code yourself, before you move on to adapting the code to use with your own data.

You can create your own version of these types of documents. This can use real data from your research group, and you can create customized instructions and code examples showing how to use open-source tools to pre-process a certain type of biomedical data for experiments in your research group. You can use this document the next time you need to pre-process that type of data yourself, and you can also share it with others in your research group. This can help in teaching new laboratory members how to work with this type of data in your research group. It can also help ensure that different members of the research group are all using the same steps to pre-process data, so that there is greater consistency across results from the group.

You may already create something similar to this, using a general word processing program like Google Docs or Word. There are two key differences, however, between how vignettes are created compared to a similar tutorial created in Word or Google Docs. First, the vignettes are created using a document compiling program that ensures that any code uses only ASCII characters. This means that you can copy and paste code from the tutorial into your R session and it will work. By contrast, programs like Word often try to “correct”

some of the characters when you paste in or type in code. For example, when you have an apostrophe mark in your code (for example, when you’re quoting to create a character string), the computer code needs to have this character as a very basic ASCII version of an apostrophe. Word, by contrast, will often try to convert the character to use an apostrophe character that looks smoother—and so is nice for a word processed document that humans will read—but that R cannot recognize. Hyphens can have similar problems. [Other examples?]

When you create a reproducible pre-processing protocol using the techniques that are used to create vignettes—which we’ll teach you how to do in the next few sections—you will avoid this autocorrection of characters, and so someone reading the protocol will be able to directly copy and paste example code from the protocol into their own scripts. This will avoid hard-to-diagnose errors that come from this character conversion in programs like Word.

The second difference is that the tools that are used to create vignettes contain code that is not just copied and pasted from a script, but that is actually, in essence, *still in a script*. The code, in other words, is executable and, unless you change the default settings, is re-run every time you compile the document. This means that you will quickly determine if there are any typos or other errors in the code, because the document will not run and render correctly unless the code works. This means that you can guarantee, when you first create the document, that the code runs, and also that you can regularly check to see if the example code still works at later time points. This allows you to, for example, see if changes in the version of R or of specific packages that you’re using has created problems with the code running correctly over time.

Finally, these documents can be separated, allowing you to extract solely the script part of the document, into a classic R script. You can use this directly to run (or adapt) the pre-processing code for further research.

### 3.8.1 Technique to create reproducible pre-processing protocols

The vignettes that come with Bioconductor packages are created using a system for “knitting” documents. These documents “knit” together text with executable code. Once you have written the document, you can render it, which executes the code, adds to the document results from this execution (figures, tables, and code output, for example), and formats all text using the formatting choices you’ve specified. The end result is a nicely format document, which can be in one of several output formats, including pdf, Word, or HTML. Since the code was executed to create the document, you can ensure that all the code is worked as intended.

There are several techniques and principles that come together to make these knitted documents work. First are the tools that allow you to write text in plain text, include formatting specifications in that plain text, and render this to an attractive output document in pdf, Word, or HTML. This part of the

process uses a tool from a set of tools called *Markup languages*. [A bit more on history / development of Markup languages.]

Here, we will use a markup language called *Markdown*. It is one of the easiest markup languages to learn, as it has a fairly small set of formatting indicators that can be used to “markup” the formatting in a document. This small set, however, covers much of the formatting you might want to do, and so this language provides an easy introduction to markup languages while still providing adequate functionality for most purposes.

The Markdown markup languages evolved starting in spaces where people could communicate in plain text only, without point-and-click methods for adding formatting like bold or italic type (Buffalo, 2015). For example, early versions of email only allowed users to write using plain text. These users eventually evolved some conventions for how to “mark-up” this plain text, to serve the purposes served by things like italics and bold in formatted text (e.g., emphasis, highlighting). For example, to emphasize a word, a user could surround it with asterisks, like:

I just read a \*really\* interesting article!

In this early prototype for a markup language, the reader’s mind was doing the “rendering”, interpreting these markers as a sign that part of the text was emphasized. In Markdown, the text can be rendered into more attractive output documents, like pdf, where the rendering process has actually changed the words between asterisks to print in italics.

The Markdown language has developed a set of these types of marks—like asterisks—that are used to “mark up” the plain text with the formatting that should be applied when the text is rendered. There are marks that you can use for a number of formatting specifications, including: italics, bold, underline, strike-through, bulleted lists, numbered lists, web links, headers of different levels (e.g., to mark off sections and subsections), block quotes, horizontal rules, and block quotes. Details and examples of the Markdown syntax can be found on the Markdown Guide page at <https://www.markdownguide.org/basic-syntax/>. We’ll cover more examples of using Markdown in the next two modules, as we move more specifically into how RMarkdown can be used to create knitted documents with R and provide an example of creating a reproducible protocol with this system.

The other technique that’s needed to create knitted documents is the ability to include executable code within the plain text version of the document, and to execute that code and incorporate its results before moving on to render the document to its final format.

The idea here is that you can use special markers to indicate in the document where code starts and where it ends. With these markings, a computer program can figure out the lines of the document that it should run as code, and the ones it should ignore when it’s looking for executable code. With these markings in place, the document will be run through two separate programs as

it is rendered. The first program will look for code to execute and ignore any other lines of the file. It will execute this code and then place any results, like figures, tables, or code output, into the document right after that piece of code. The output from running this program will then be input into a more traditional markup renderer, which will format the document based on any of the mark up indications and will output an attractive document in a format like pdf, Word, or HTML.

This technique comes from an idea that you could include code to be executed in a document that is otherwise easy for humans to read. This is an incredibly powerful idea. It originated with a famous computer scientist named Donald Knuth, who realized that one key to making computer code sound is to make sure that it is clear to humans what the code is doing. Computers will faithfully do exactly what you tell them to do, so they will do what you're hoping they will as long as you provide the correct instructions. The greatest room for error, then, comes from humans not giving the right instructions to computers. To write sound code, and code that is easy for yourself and others to maintain and extend, you must make sure that you and other humans understand what it is asking the computer to do. Donald Knuth came up with a system called *literate programming* that allows programmers to write code in a way that focuses on documenting the code for humans, while also allowing the computer to easily pull out just the parts that it needs to execute, while ignoring all the text meant for humans. This process flips the idea of documenting code by including plain text comments in the code—instead of the code being the heart of the document, the documentation of the code is the heart, with the code provided to illustrate the implementation. When used well, this technique results in beautiful documents that clearly and comprehensively document the intent and the implementation of computer code. The knitted documents that we can build with R or Python through systems like RMarkdown and Jupyter Notebooks build on these literate programming ideas, applying them in ways that complement programming languages that can be run interactively, rather than needing to be compiled before they're run.

You can visualize the full process of creating and rendering a knitted document in the following way. Imagine that you write a document by hand on sheets of paper. There are parts where you need a team member to add their data or to run a calculation, so you include notes in square brackets telling your team member where to do these things. Then, you use traditional editing marks to show where text should be italicized and which text should be section a header:

## # Results

```
We measured the bacterial load of
*Mycobacterium tuberculosis* for each
sample.
```

[Kristina: Calculate bacterial loads for each sample based on dilutions and add table with results here.]

This is analogous to writing up a knitted document in plain text with appropriate “executable” sections, designated with special markings, and with other markings used to show how the text should be formatted in its final version.

You send the document to your team member first, and she does his calculations and adds the results at the indicated spot in the paper. She focuses on the notes to her in square brackets and ignores the rest of the document. This is analogous to the first stage of rendering a knitted document, where the document is passed through software that looks for executable code and ignores everything else, executing that code and adding in results in the right place.

Next, your research team member sends the document, with her additions, to an assistant to type up the document. The assistant types the full document, paying attention to any indications that are included for formatting. For example, he sees that “Results” is meant to be a section heading, since it is on a line that starts with “#”, your team’s convention for section headings. He therefore types this on a line by itself in larger font. He also sees that “Mycobacterium tuberculosis” is surrounded by asterisks, so he types this in italics. This step is analogous to the second stage of rendering a formatted document, when a software program takes the output of the first stage and formats the full document into an attractive, easy-to-read final document, using any markings you include to format the document.

### 3.8.2 Advantages of reproducible pre-processing protocols

With point-and-click software, even if you are doing the same process from one experiment to another to pre-process your data, you will still have to go through each step of preprocessing, re-selecting each choice along the way. For example, if you are using software to gate flow cytometry data, someone in your research group must typically go through the gating step-by-step, even if they are trying to gate the data using the same rules and approach that they’ve applied to gate data in previous experiments. This approach therefore has two key limitations.

First, it takes a lot of time for someone in the research group to go through the same series of selection / point-and-click steps over and over each time research data needs to be pre-processed. If steps do indeed need to be customized extensively from one experiment to the next, there may be no way to avoid this time-consuming work. However, if the same choices for pre-processing apply from one experiment to the next, then there’s not a good reason for someone in the research group to need to spend a lot of time with this process.

Using a reproducible pre-processing protocol therefore helps make the

pre-processing more **efficient**. While developing this type of protocol will take more time the first time or two that you do the pre-processing, as you create, refine, and check the document, this time investment will pay off as you continue to re-use the protocol in later experiments. Since the code can be extracted as a script, you may find that you can often use that script as a direct starting point for later experiments, needing only to change a few areas, like the name of the input data files.

The second issue with a point-and-click approach is that it's hard to be sure that you're being completely consistent from experiment to experiment if you're going through the pre-processing "by hand", going through different steps and selections using point-and-click software. Even if you've written down the choices you plan to make from time to time, there may be subtle small choices that you forget to write down. Further, there are some choices that might not be as easy to make consistent from time to time. For example, when you gate flow cytometry data using point and click software, you are often visual adjusting a threshold or a box to select certain data points in the sample to gate. These visual choices can be subjective from day to day, so you might gate the data slightly different from one day to the next. Even if the same person does the preprocessing from time to time, there will likely be subtle variations in the process; these are likely to expand quite a bit when different people in the research group do the pre-processing from one experiment to another.

By creating a reproducible pre-processing protocol, and starting from the embedded code each time you pre-process data from a new experiment, you can make your pre-processing more **reproducible** and more **consistent** from one experiment to the next. When pre-processing is done using a code script, the choices are based on an algorithm that can be reproduced faithfully from experiment to experiment. For example, coding tools for gating flow cytometry data use consistent algorithms, based on clear rules for fitting gates based on the distribution of the data [?], and so remove the subjectivity of gating the data by hand, and the differences in gating that can result from person to person or even from day to day in gating done by the same person.

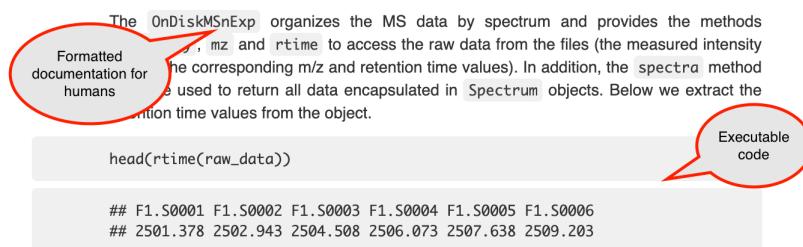
In scientific research, there are numerous factors that can affect the measurements that result from an experiment. These include differences across experimental animals or subjects, differences in the set-up of different laboratories, and so on. We often try to control as many extraneous factors as we can, so that we can focus very precisely on how a single element affects an outcome. By controlling extraneous factors, we can reduce the noise that might obscure a signal in the relationship we care about and are trying to measure. Subjectivity in data pre-processing is a potential source of noise in the experimental process, especially for more complex biomedical data that requires extensive pre-processing. Just as strong control to prevent variation in factors like laboratory conditions and experimental animals can add power and clarity to detect important signals in biomedical research, so can enforced consistency in data

pre-processing, including through the explicit use of consistent, objective algorithms for pre-processing steps through the use of scripted code for as much of the pre-processing as possible.

### 3.8.3 What knitted documents are and why to use them

If you have coded using a scripting language like R or Python, you likely have already seen many examples of knitted documents. For both these languages, there are many tutorials available that are created as knitted documents. Figure 3.1 shows an example from the start of a vignette for the `xcms` package in R. This is a package that helps with pre-processing and analyzing data from LC-MS experiments. You can see that this document includes text to explain the package and also example code and the output from that code.

## 3 Initial data inspection



```
The OnDiskMSnExp organizes the MS data by spectrum and provides the methods
  ., .mz and rtime to access the raw data from the files (the measured intensity
  the corresponding m/z and retention time values). In addition, the spectra method
  is used to return all data encapsulated in Spectrum objects. Below we extract the
  retention time values from the object.

head(rtime(raw_data))

## F1.S0001 F1.S0002 F1.S0003 F1.S0004 F1.S0005 F1.S0006
## 2501.378 2502.943 2504.508 2506.073 2507.638 2509.203
```

Figure 3.1: An example of a knitted document. This shows a section of the online vignette for the ‘`xcms`’ package from Bioconductor. The two types of content are highlighted: formatted text for humans to read, and executable computer code.

As a larger example, all the modules in this online book were written as knitted documents. In this module we will describe the characteristics of knitted documents and how the technology behind them works. We will then talk about how you can create them using Rmarkdown. In the next module, we'll provide an example of doing this for a set of research data from a common laboratory experiment.

The defining characteristic of a knitted document is that it interweaves two types of content: first, executable code, and, second, documentation that is formatted in a way that is easy to read. In the figure with the example from the `xcms` vignette, we have highlighted the areas that demonstrate these two types of content (Figure 3.1). Later in this module we will describe how a knitted document can incorporate these two elements. First, however, we will explain why you might want to use knitted documents to document your own research code, especially for pre-processing protocols.

There are several advantages to using knitted documents when writing code to pre-process or analyze research data. These include improvements in terms of reliability, efficiency, transparency, and reproducibility.

First, when you have written your code within a knitted document, this code is checked every time you render the document. In other words, you are checking your code to ensure it operates as you intend throughout the

process of writing and editing your document, checking the code each time you render the document to its formatted version. This helps to increase the **reliability** of the code that you have written. Open-source software evolves over time, and by continuing to check code as you work on protocols and reports with your data, you can ensure that you will quickly identify and adapt to any such changes. Further, you can quickly identify if updates to your research data introduce any issues with the code. Again, by checking the code frequently, you can identify any issues quickly, and this often will allow you to easily pinpoint and fix these issues. By contrast, if you only identify a problem after writing a lot of code, it is often difficult to identify the source of the issue. By including code that is checked each time of document is rendered, you can quickly identify when a change an open source software effects the analysis that you were conducting or the pre-processing and work 2 adapt to any changes quickly.

Second, when you write a document that includes executable code, it allows you to easily rerun the code as you update your research data set, or adopt the code to work with a new data set. If you are not using a knitted document to write pre-processing protocols and research reports, then your workflow is probably to run all your code—either from a script or the command line—and copy the results into a document in a word processing program like Word or Google Docs. If you do that, you must recopy all your results every time you adapt any part of the code or add new data. By contrast, when you use a knitted document, the rendering process executes the code and incorporates the results directly and automatically into a nicely formatted final document. The use of knitted documents therefore can substantially improve the **efficiency** of pre-processing and analyzing your data and generating the reports that summarize this process.

Third, documents that are created in knitted format are created using plain text. Plain text files can easily be tracked well and clearly using version control tools like *git*, and associated collaboration tools like GitHub, as discussed in earlier modules. This substantially increases the **transparency** of the data pre-processing and analysis. It allows you to clearly document changes you or others make in the document, step-by-step. You can document who made the change, and that person can include a message about why they made the change. This full history of changes is recorded and can be searched to explore how the document has evolved and why.

The final advantage of using knitted documents, especially for pre-processing research data, is that it allows the code to be clearly and thoroughly documented. This can help increase the **reproducibility** of the process. In other words, it can help ensure that another researcher could repeat the same process, making adaptations as appropriate for their own data set, or ensuring they arrive at the same results if using the original data. It also ensures that you can remember exactly what you did, which is especially useful if you plan to reuse or adopt the code to work with other data sets, as will often be the case for a

pre-processing protocol. If you are not using a knitted document, but are using code for preprocessing, then as an alternative you may be documenting your code through comments in a code script. A code script does allow you to include documentation about the code through these code comments, which are demarcated from code in the script through a special symbol (# in R). However these code comments are much less expressive and harder to read than nicely formatted text, and it is hard to include elements like mathematical equations and literature citations in code comments. A knitted document allows you to write the documentation in a format that is clear and attractive for humans to read, while including code that is clear and easy for a computer to execute.

### 3.8.4 How knitted documents work

Next, we will describe how knitted documents work. There are seven components of how these documents work. It is helpful to understand these to understand these to begin creating and adapting knitted documents. Knitted documents can be created through a number of programs, and while we will later focus on Rmarkdown, these seven components are in play regardless of the exact system used to create a knitted document, and therefore help in gaining a general understanding of this type of document. We have listed the seven components here and in the following paragraphs will describe each more fully:

1. Knitted documents start as plain text;
2. A special section at the start of the document (**preamble**) gives some overall directions about the document;
3. Special combinations of characters indicate where the executable code starts;
4. Other special combinations show where the regular text starts (and the executable code section ends);
5. Formatting for the rest of the document is specified with a **markup language**;
6. You create the final document by **rendering** the plain text document. This process runs through two software programs; and
7. The final document is attractive and **read-only**—you should never make edits to this output, only to your initial plain text document.

First, a knitted document should be written in plain text. In an earlier module, we described some of the advantages of using plain text file formats, rather than proprietary and/or binary file formats, especially in the context of saving research data (e.g., using csv file formats rather than Excel file formats). Plain text can also be used to write documentation, including through knitted documents. Figure 3.2 shows an example of what the plain text might look like for the start of the xcms tutorial shown in Figure 3.1.

There are a few things to keep in mind when writing plain text. First, you should always use a text editor rather than a word processor when you are

#### # Initial data inspection

The `OnDiskMSnExp` organizes the MS data by spectrum and provides the methods `intensity`, `mz` and `rtimes` to access the raw data from the files (the measured intensity values, the corresponding m/z and retention time values). In addition, the `spectra` method could be used to return all data encapsulated in `Spectrum` objects. Below we extract the retention time values from the object.

```
```{r data-inspection-rtimes, message = FALSE }
head(rtims(raw_data))
```
```

writing a document in plain text. Text editors can include software programs like Notepad on Microsoft operating systems and TextEdit on Mac operating systems. You can also use a more advanced text editor, like vi/vim or emacs. Rstudio can also serve as a text editor, and if you are doing other work in Rstudio, this is often the most obvious option as a text editor to use to write knitted documents.

You must use a text editor to write plain text for knitted documents for the same reasons that you must use one to write code scripts. Word processors often introduce formatting that is saved through underlying code rather than clearly evident on the document that you see as you type. This hidden formatting can complicate the written text. Conversely, text written in a text editor will not introduce such hard-to-see formatting. Word processing programs also tend to automatically convert some symbols into slightly fancier versions of the symbol. For example, they may change a basic quotation symbol into one with shaping, depending on whether the mark comes at the beginning or end of a quotation. This subtle change in formatting can cause issues in both the code and the formatting specifications that you include in a knitted document.

Further, when are writing plain text, typically you should only use characters from the American Standard Code for Information Interchange, or ASCII. This is a character set from early in computing that includes 128 characters. Such a small character set enforces simplicity: this character set mostly includes what you can see on your keyboard, like the digits 0 to 9, the lowercase and uppercase alphabet, some symbols, including punctuation symbols like the exclamation point and quotation marks, some mathematical symbols like plus, minus, and division, and some control codes, including ones for a new line, a tab, and even ringing a bell. The full set of characters included in ASCII can be found in a number of sources including a very thorough Wikipedia page on this character set (<https://en.wikipedia.org/wiki/ASCII>).

Because the character set available for plain text files is so small, you will find that it becomes important to leverage the limited characters that are available. One example is **white space**. White space can be created in ASCII with both the space character and with the new line command. It is an important component that can be used to make plain text files clear for humans to read.

Figure 3.2: An example of a the plain text used to write a knitted document. This shows a section of the plain text used to write the online vignette for the 'xcms' package from Bioconductor. The full plain text file used for the vignette can be viewed on GitHub [here](<https://github.com/sneumann/xcms/blob/master/vignettes/x>).

As we begin discussing the convention for markdown languages, we will find that white space is often used to help specify formatting as well.

The second component of how knitted documents work is that each knitted document will have a special section at its start called the **preamble**. This preamble will give some overall directions regarding the document, like its title and authors and the format to which it should be rendered. Knitted documents are created using a **markup language** to specify formatting for the document, and there are a number of different markup languages including HTML, LaTeX, and Markdown. The specifications for the document's preamble will depend on the markup language being used.

In Rmarkdown, we will be focusing on Markdown, for which the preamble is specified using something called YAML (short for YAML Ain't Markup Language). Here is an example of the YAML for a sample pre-processing protocol created using RMarkdown:

```
---
title: "Preprocessing Protocol for LC-MS Data"
author: "Jane Doe"
date: "1/25/2021"
output: pdf_document
---
```

This YAML preamble specifies information about the document with **keys** and **values**. For example, the title is specified using the YAML key title, followed by a colon and a space, and then the desired value for that component of the document, "Preprocessing Protocol for LC-MS Data". Similarly, the author is specified with the author key and the desired value for that component, and the date with the date key and associated component.

Different keys can take different types of values in the YAML (this is similar to how different parameters in a function can take different values). For example, the keys of author, title, and date all take a character string with any desired character combination, and the quotation marks surrounding the values for each of these keys denote those character strings. By contrast, the output key—which specifies the format that the knitted document should be rendered to—can only take one of a few set values, each of which is specified without surrounding quotation marks (pdf\_document in this case, to render the document as a PDF report).

The rules for which keys can be included in the preamble will depend on the markup language being used. Here, we are showing an example in Markdown, but you can also use other markup languages like LaTeX and HTML, and these will have their own convention for specifying the preamble. Later in this module, when we talk more specifically about Rmarkdown, we will give some resources where you can find more about how to customize the preamble in Rmarkdown specifically. If you are using a different markup language, there are numerous websites, cheatsheets, and other resources you can use to find which

keywords are available for the preamble in that markup language, as well as the possible values those keywords can take.

The next characteristic of knitted documents is that they need to clearly demarcate where executable code starts and where regular formatted text starts (in other words, where the executable code section ends). To do this, knitted documents have two special combination of characters, one that can be used in the plain text to indicate where executable code starts and one to indicate where it ends. For example, Figure 3.3 shows the plain text that could be used in an RMarkdown document to write some regular text, then some executable code, and then indicate the start of more regular text:

```
Some text is here. And then some code:  
```{r} Executable code starts  
sample_weights <- c(95, 98, 88)  
mean(sample_weights)  
``` Code ends, regular text starts  
Some more text is here.
```

Figure 3.3: An example of how special combinations of characters are used to demarcate code in an RMarkdown file. The color formatting here is applied automatically by RStudio; all the text in this example is written in plain text.

The combination that indicates the start of executable code will vary depending on the markup language being. In RMarkdown, the following combination indicates the start of executable code:

```
```{r}
```

while this combination indicates the end of executable code (in other words the start of regular text):

```
```
```

In Figure 3.3 and above, we have shown the most basic version of the markup character combination used to specify the start of executable code (````{r}`). This character combination can be expanded, however, to include some specifications for how you want the code in the section following it to be run, as well as how you want output to be shown. For example, you could use the following indications to specify that the code should be run, but the code itself should not be printed in the final document, by specifying `echo = FALSE`, as well as that the created figure should be centered on the page, by specifying `fig.align = "center"`:

```
```{r echo = FALSE, fig.align = "center"}
```

There are numerous options that can be used to specify how the code will be run, and later when we talk specifically about RMarkdown, we will point toward resources that clarify and outline all the possible choices that can be used for these specifications.

You may have noticed that these markers, which indicate the beginning and end of executable code, seem like very odd character combination. There is a

good reason for this. By making this character combination unusual, there will be less of a chance that it shows up in regular text. This way there are fewer cases where the writer unintentionally indicate the start of a new section of executable code when trying to write regular text in the knitted document.

The next characteristic of knitted documents is that formatting for the regular text in the document—that is, everything that is not executable code—is specified using what is called a **markup language**. When you were writing in plain text, you do not have buttons to click on for formatting, for example, to specify words or phrases that should be in bold or italics, font size, headings, and so on. Instead you use special characters or character combinations to specify formatting in the final document. These character combinations are defined based on the markup language you use. As mentioned earlier, Rmarkdown uses the Markdown language; other knitted documents can be created using LaTeX or HTML. As an example of how these special character combinations work, in Markdown, you place two asterisks around a word or phrase to make it bold. To write “**this**” in the final document, in other words, you’ll write “\*\*this\*\*” in the plain text in the initial document.

You can start to see how this works by looking at the example of the `xcms` vignette shown earlier in Figures 3.1 and 3.2. In Figure 3.4, we’ve recreated these two parts side-by-side, so they’re easier to compare.

Original plain text used to create vignette	Final formatted version of vignette
<pre># Initial data inspection  The 'OnDiskMSnExp' organizes the MS data by spectrum and provides the methods `intensity`, `mz` and `rtimes` to access the raw data from the files (the measured intensity values, the corresponding m/z and retention time values). In addition, the `spectra` method could be used to return all data encapsulated in `Spectrum` objects. Below we extract the retention time values from the object.  ```{r data-inspection-rtimes, message = FALSE } head(rttime(raw_data)) ``` </pre>	<pre>3 Initial data inspection  The OnDiskMSnExp organizes the MS data by spectrum and provides the methods intensity, mz and rtime to access the raw data from the files (the measured intensity values, the corresponding m/z and retention time values). In addition, the spectra method could be used to return all data encapsulated in Spectrum objects. Below we extract the retention time values from the object.  ```{r} head(rttime(raw_data))  ## F1.S0001 F1.S0002 F1.S0003 F1.S0004 F1.S0005 F1.S0006 ## 2501.378 2502.943 2504.508 2506.073 2507.638 2509.203 ``` </pre>

You can look for several formatting elements here. First, the section is headed “Initial data inspection”. You can see that in the original plain text document, this is marked using a # to start the line with the text for the header. You can also see that words or phrases that are formatted in a computer-style font in the final document—to indicate that they are values from computer code, rather than regular English words—are surrounded by backticks in the plain text file.

The process of writing your document in this way can feel a little like the old-fashioned style of dictating to a secretary. You can imagine yourself dictating to the computer through the plain text. You have to say not just the words, but also specify in the plain text the formatting that you want at each spot. For example, when you get to a word that you want in italics, you must tell the

Figure 3.4: The original plain text for a knitted document and the final output, side by side. These examples are from the ‘`xcms`’ package vignette, a package available on Bioconductor. The left part of the figure shows the plain text that was written to create the output, which is shown in the right part of the figure. You can see how elements like sections headers and different font styles are indicated in the original plain text through special characters or combinations of characters, using the Markdown language syntax.

computer, “Start italics,” then say the word, then “End italics”. You do this using the special formatting characters that are specified by the markup language that you use. Later in this module we will point to resources for discovering all of these formatting specifications for Markdown, the markup language used by RMarkdown.

The final characteristics of knitted documents is that, to create the final document, you will render the plain text document. That is the process that will create an attractive final document. To visualize this, **rendering** is the process that takes the document from the plain text format, as shown in the left of Figure 3.4, to the final format, shown in the right of that figure.

When you render the document, it will be run through two software programs. The first will look only for sections with executable code, based on the character combination that is used to mark these executable code sections. This first software will execute that code and take any output—including data results, figures, and tables—and insert those at the relevant spot in the document’s file. Next, these output file from this software run will be run through another software program. This second program will look for all the formatting instructions and render the final document in an attractive format. This final output can be in a number of file formats, depending what you specify in the preamble, including a PDF document, an HTML file, or a Word document.

You should consider the final document, regardless of the output format, as read-only. This means that you should never make edits or changes to the final version of the document. Instead you should make any changes to your initial plain text file. This is because the rendering process will overwrite any previous versions of the final document. Therefore any changes that you have made to your final document will be overwritten anytime you re-render from the original plain text document.

### 3.8.5 Quotes

“It’s very important to keep a project notebook containing detailed information about the chronology of your computational work, steps you’ve taken, information about why you’ve made decisions, and of course all pertinent information to reproduce your work. Some scientists do this in a handwritten notebook, others in Microsoft Word documents. As with README files, bioinformaticians usually like keeping project notebooks in simple plain-text because these can be read, searched, and edited from the command line and across network connections to servers. Plain text is also a future-proof format: plain-text files written in the 1960s are still readable today, whereas files from word processors only 10 years old can be difficult or impossible to open and edit. Additionally, plain text project notebooks can also be put under version control ... While plain-text is easy to write in your text editor, it can be inconvenient for collaborators unfamiliar with the command line to read. A lightweight markup language called *Markdown* is a plain-text format that is easy to read and painlessly incorporated into typed notes, and can also be rendered to HTML or PDF.” (Buffalo, 2015)

“Markdown originates from the simple formatting conventions used in plain-text

emails. Long before HTML crept into email, emails were embellished with simple markup for emphasis, lists, and blocks of text. Over time, this became a defacto plain-text email formatting scheme. This scheme is very intuitive: underscores or asterisks that flank text indicate emphasis, and lists are simply lines of text beginning with dashes.” (Buffalo, 2015)

“Markdown is just plain-text, which means that it’s portable and programs to edit and read it will exist. Anyone who’s written notes or papers in old versions of word processors is likely familiar with the hassle of trying to share or update out-of-date proprietary formats. For these reasons, Markdown makes for a simple and elegant notebook format.” (Buffalo, 2015)

“Information, whether data or computer code, should be organized in such a way that there is only one copy of each important unit of information.” (Murrell, 2009)

“A typical encounter with Bioconductor (Box 1) starts with a specific scientific need, for example, differential analysis of gene expression from an RNA-seq experiment. The user identifies the appropriate documented workflow, and because the workflow contains functioning code, the user runs a simple command to install the required packages and replicate the analysis locally. From there, she proceeds to adapt the workflow to her particular problem. To this end, additional documentation is available in the form of package vignettes and manual pages.” (Huber et al., 2015a)

**“Case study: high-throughput sequencing data analysis.** Analysis of large-scale RNA or DNA sequencing data often begins with aligning reads to a reference genome, which is followed by interpretation of the alignment patterns. Alignment is handled by a variety of tools, whose output typically is delivered as a BAM file. The Bioconductor packages Rsamtools and GenomicAlignments provide a flexible interface for importing and manipulating the data in a BAM file, for instance for quality assessment, visualization, event detection and summarization. The regions of interest in such analyses are genes, transcripts, enhancers or many other types of sequence intervals that can be identified by their genomic coordinates. Bioconductor supports representation and analysis of genomic intervals with a ‘Ranges’ infrastructure that encompasses data structures, algorithms and utilities including arithmetic functions, set operations and summarization (Fig. 1). It consists of several packages including IRanges, GenomicRanges, GenomicAlignments, GenomicFeatures, VariantAnnotation and rtracklayer. The packages are frequently updated for functionality, performance and usability. The Ranges infrastructure was designed to provide tools that are convenient for end users analyzing data while retaining flexibility to serve as a foundation for the development of more complex and specialized software. We have formalized the data structures to the point that they enable interoperability, but we have also made them adaptable to specific use cases by allowing additional, less formalized userdefined data components such as application-defined annotation. Workflows can differ vastly depending on the specific goals of the investigation, but a common pattern is reduction of the data to a defined set of ranges in terms of quantitative and qualitative summaries of the alignments at each of the sites. Examples include detecting coverage peaks or concentrations in chromatin immunoprecipitation–sequencing, counting the number of cDNA fragments that match each transcript or exon (RNA-seq) and calling DNA sequence variants (DNA-seq). Such sum-

maries can be stored in an instance of the class GenomicRanges.” (Huber et al., 2015a)

“Visualization is essential to genomic data analysis. We distinguish among three main scenarios, each having different requirements. The first is rapid interactive data exploration in ‘discovery mode.’ The second is the recording, reporting and discussion of initial results among research collaborators, often done via web pages with interlinked plots and tool-tips providing interactive functionality. Scripts are often provided alongside to document what was done. The third is graphics for scientific publications and presentations that show essential messages in intuitive and attractive forms. The R environment offers powerful support for all these flavors of visualization—using either the various R graphics devices or HTML5-based visualization interfaces that offer more interactivity—and Bioconductor fully exploits these facilities. Visualization in practice often requires that users perform computations on the data, for instance, data transformation and filtering, summarization and dimension reduction, or fitting of a statistical model. The needed expressivity is not always easy to achieve in a point-and-click interface but is readily realized in a high-level programming language. Moreover, many visualizations, such as heat maps or principal component analysis plots, are linked to mathematical and statistical models—for which access to a scientific computing library is needed.” (Huber et al., 2015a)

” It can be surprisingly difficult to retrace the computational steps performed in a genomics research project. One of the goals of Bioconductor is to help scientists report their analyses in a way that allows exact recreation by a third party of all computations that transform the input data into the results, including figures, tables and numbers. The project’s contributions comprise an emphasis on literate programming vignettes, the BiocStyle and ReportingTools packages, the assembly of experiment data and annotation packages, and the archiving and availability of all previously released packages. … Full remote reproducibility remains a challenging problem, in particular for computations that require large computing resources or access data through infrastructure that is potentially transient or has restricted access (e.g., the cloud). Nevertheless, many examples of fully reproducible research reports have been produced with Bioconductor.” (Huber et al., 2015a)

“Using Bioconductor requires a willingness to modify and eventually compose scripts in a high-level computer language, to make informed choices between different algorithms and software packages, and to learn enough R to do the unavoidable data wrangling and troubleshooting. Alternative and complementary tools exist; in particular, users may be ready to trade some loss of flexibility, automation or functionality for simpler interaction with the software, such as by running single-purpose tools or using a point-and-click interface. Workflow and data management systems such as Galaxy and Illumina BaseSpace provide a way to assemble and deploy easy-to-use analysis pipelines from components from different languages and frameworks. The IPython notebook provides an attractive interactive workbook environment. Although its origins are with the Python programming language, it now supports many languages, including R. In practice, many users will find a combination of platforms most productive for them.” (Huber et al., 2015a)

“A lab manual is perhaps the best way to inform new lab members of the ins and outs of the lab and to keep all members updated on protocols and regulations.

What could be included in a lab manual? Anything you do not want to explain over and over, anything that will make the lab more functional and that can make life easier for yourself and lab members.” (LEIPS, 2010)

“Most PIs wish the labs were more organized, but it is not a huge priority, that is, until the first student leaves and no one can find a particular cell line in the freezer boxes. Resolutions are made, the crisis passes, and all goes on as before until the next person leaves. Although it is probably inevitable that there will be some confusion when a long-time lab member moves on, an organized lab will not be as affected as an unorganized one.” (LEIPS, 2010)

“LaTeX gives you output documents that look great and have consistent cross-references and citations. Much of your output document is created automatically and much is done behind the scenes. This gives you extra time to think about the ideas you want to present and how to communicate those ideas in an effective way.” (Van Dongen, 2012)

“LaTeX provides state-of-the-art typesetting” (Van Dongen, 2012)

“Many conferences and publishers accept LaTeX. In addition they provide classes and packages that guarantee documents conforming to the required formatting guidelines.” (Van Dongen, 2012)

“LaTeX automatically numbers your chapters, sections, figures, and so on.”  
(Van Dongen, 2012)

“LaTeX has excellent bibliography support. It supports consistent citations and an automatically generated bibliography with a consistent look and feel. The style of citations and the organisation of the bibliography is configurable.” (Van Dongen, 2012)

“LaTeX is very stable, free, and available on many platforms.” (Van Dongen, 2012)

“LaTeX was written by Leslie Lamport as an extension of Donald Knuth’s TeX program. It consists of a Turing-complete procedural markup language and a typesetting processor. The combination of the two lets you control both the visual presentation as well as the content of your documents.” (Van Dongen, 2012)

“Roughly speaking LaTeX is built on top of TeX. This adds extra functionality to TeX and makes writing your documents much easier.” (Van Dongen, 2012)

“To create a perfect output file and have consistent cross-references and citations, latex also writes information to and reads information from *auxiliary* files. Auxiliary files contain information about page numbers of chapters, sections, tables, figures, and so on. Some auxiliary files are generated by latex itself (e.g., aux files). Others are generated by external programs such as bibtex, which is a program that generates information for the bibliography. When an auxiliary file changes then LaTeX may be out of sync. You should rerun latex when this happens.” (Van Dongen, 2012)

“LaTeX is a markup language and document preparation system. It forces you to focus on the content and *not* on the presentation. In a LaTeX program you write the content of your document, you use commands to provide markup and automate tasks, and you import libraries.” (Van Dongen, 2012)

“The main purpose of [LaTeX] commands is to provide markup. For example, to specify the author of the document you write \author{<author name>}. The real strength of LaTeX is that it also is a Turing-complete programming language, which lets you define your own commands. These commands let you do real programming and give you ultimate control over the content and the final visual presentation. You can reuse your commands by putting them in a library.” (Van Dongen, 2012)

“The paragraph is one of the most important basic building blocks of your document. The paragraph formation rules depend on how latex treats spaces, empty lines, and comments. Roughly, the rules are as follows. In its default model, latex treats a sequence of one or more spaces as a single space. The end of the line is the same as a space. However: An empty line acts as an end-of-paragraph specifier...” (Van Dongen, 2012)

### 3.8.6 Discussion questions

## 3.9 RMarkdown for creating reproducible data pre-processing protocols

The R extension package RMarkdown can be used to create documents that combine code and text in a ‘knitted’ document, and it has become a popular tool for improving the computational reproducibility and efficiency of the data analysis stage of research. This tool can also be used earlier in the research process, however, to improve reproducibility of pre-processing steps. In this module, we will provide detailed instructions on how to use RMarkdown in RStudio to create documents that combine code and text. We will show how an RMarkdown document describing a data pre-processing protocol can be used to efficiently apply the same data pre-processing steps to different sets of raw data.

**Objectives.** After this module, the trainee will be able to:

- Define RMarkdown and the documents it can create
- Explain how RMarkdown can be used to improve the reproducibility of research projects at the data pre-processing phase
- Create a document in RStudio using RMarkdown
- Apply it to several different datasets with the same format

### 3.9.1 Creating knitted documents in R

In the last module, we described what knitted documents are, as well as the advantages of using knitted documents to create data pre-processing protocols for common pre-processing tasks in your research group. In this module, we will go into more detail about how you can create these documents using R and RStudio, and in the next module we will walk through an example data pre-processing protocol created using this method.

R has a special format for creating knitted documents called **Rmarkdown**. Later in this module, we will provide details on creating these documents, but first, we will provide some details of some of the specific conventions

used in this type of knitted documents. As with other knitted documents, Rmarkdown documents are originally written in plain text. In the previous module, we discussed how knitted documents will use a markup language within the plain text for formatting; for RMarkdown files, the markup language used is Markdown. Since the language is Markdown, the preamble for each document uses YAML. We described in the previous module how knitted documents include executable code, along with the formatted text. By default, executable code for RMarkdown files will be in R, but there are also options to include executable code in the document in a number of other programming languages.

### 3.9.2 Creating and exploring an Rmarkdown file

#### **Creating a new Rmarkdown file and exploring the template.**

First, we will explain how you can create a new Rmarkdown document using RStudio. Like other plain text documents, an Rmarkdown file should be edited using a text editor, rather than a word processor like Word or Google Docs. It is easiest to use the Rstudio IDE as the text editor when creating and editing an R markdown document, as this IDE has incorporated some helpful functionality for working with plain text documents for Rmarkdown. The RStudio IDE can be downloaded and installed as a free software, as long as you use the personal version (RStudio creates higher-powered versions for corporate use). Since RStudio is free and has many helpful tools for working with Rmarkdown, we will focus on using this interface in our advice in this module.

In RStudio, you can create a number of types of new files through the “File” menu. To create a new R markdown file, choose “New File” and then choose “Rmarkdown” from the choices in that menu. Figure 3.5 shows an example of what this menu option looks like.

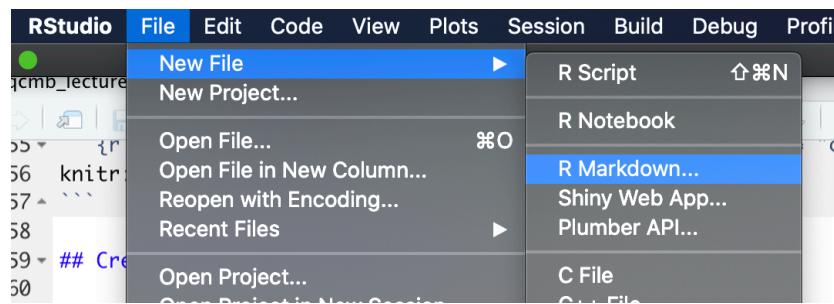


Figure 3.5: RStudio pull-down menus to help you navigate to open a new Rmarkdown file.

This will open a window with some options you can specify some of the overall information about the document (Figure 3.6), including the title and the author, and you can specify the output format that you would like. Possible output formats include HTML, Word, and PDF. You should be able to use the HTML and Word output formats without any additional software. If you would like to use the PDF output, you will need to install one other piece of software: Miktex for Windows, MacTex for Mac, or TeX Live for Linux. These are all

pieces of software with an underlying TeX engine and all are open-source and free.

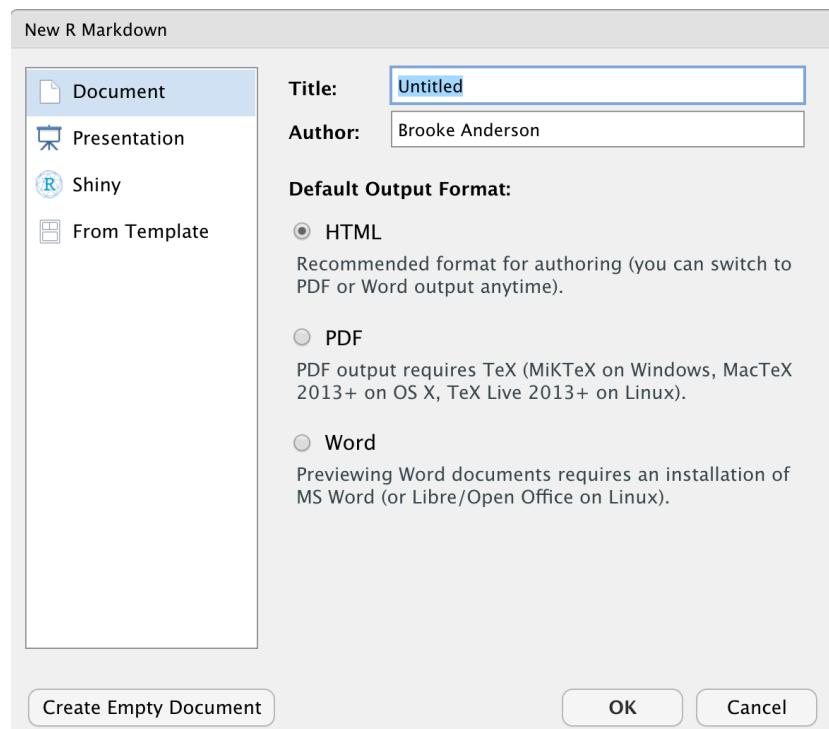


Figure 3.6: Options available when you create a new Rmarkdown file in RStudio. You can specify information that will go into the document's preamble, including the title and authors and the format that the document will be output to (HTML, Word, or PDF).

Once you have selected the options in this menu you can choose the “Okay” button (Figure 3.6). This will open a new document. This document, however, won’t be blank. Instead it will include an example document written in Rmarkdown (Figure 3.7). This example document helps you navigate how the Rmarkdown process works, by letting you test out a sample document. It also gives you a starting point—once you understand how the example document works, you can edit it and change it to convert it into the document you would like to create.

If you have not used Rmarkdown before, it is very helpful to try knitting this example document before making changes, to explore how pieces in the document align with elements in the rendered output document. Once you are familiar with the line-up between elements in this file in the output document, you delete parts of the example file and insert your own text and code.

We will walk you through exploring this example document, as well as aligning it with the formatted output document (Figure 3.8). First, to render this or any Rmarkdown document, if you are in RStudio you can use the “Knit” button at the top of the file, as shown in Figure 3.9. When you click on this button, it will render the entire document to the output format you’ve selected (HTML, PDF, or Word). This rendering process will both run the executable

```
---
title: "Untitled"
author: "Brooke Anderson"
date: "2/13/2021"
output: html_document
---

```{r setup, include=FALSE}
knitr::opts_chunk$set(echo = TRUE)
```

## R Markdown

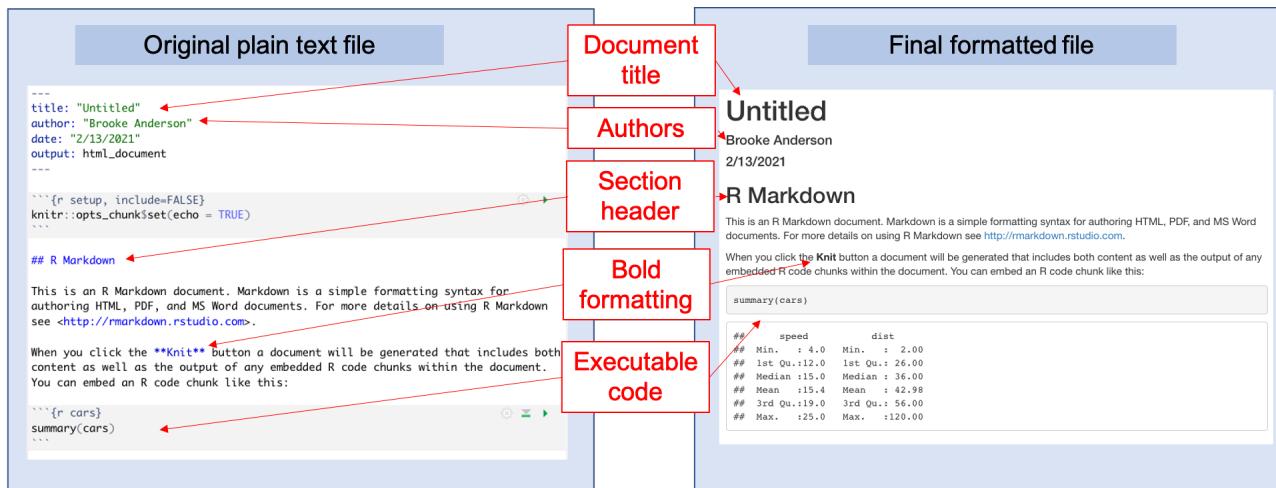
This is an R Markdown document. Markdown is a simple formatting syntax for authoring HTML, PDF, and MS Word documents. For more details on using R Markdown see <http://rmarkdown.rstudio.com>.

When you click the **Knit** button a document will be generated that includes both content as well as the output of any embedded R code chunks within the document. You can embed an R code chunk like this:

```{r cars}
summary(cars)
```
```

Figure 3.7: Example of the template Rmarkdown document that you will see when you create a new Rmarkdown file in RStudio. You can explore this template and try rendering (knitting) it. Once you are familiar with how this example works, you can edit the text and code to adapt it for your own document.

code and apply all formatting. The final output (Figure 3.8, right) will pop up in a new window. As you start with Rmarkdown, it is useful to look at this output to see how it compares with the plain text Rmarkdown file (Figure 3.8, left).



You will also notice, after you first render the document, that your working directory has a new file with this output document. For example, if you are working to create an HTML document using an Rmarkdown file called “my\_report.Rmd”, once you knit your Rmarkdown file, you will notice a new file in your working directory called “my\_report.html”. This new file is your output file, the one that you would share with colleagues as a report. You should consider this output document to be read only—in other words, you

Figure 3.8: Example of the template Rmarkdown document that you will see when you create a new Rmarkdown file in RStudio. You can explore this template and try rendering (knitting) it. Once you are familiar with how this example works, you can edit the text and code to adapt it for your own document.



```
1 ---  
2 title: "Untitled"  
3 author: "Brooke Anderson"  
4 date: "1/24/2021"  
5 output: html_document  
6 ---  
7  
8 ```{r setup, include=FALSE}  
9 knitr::opts_chunk$set(echo = TRUE)  
10 ...  
11  
12 ## R Markdown  
13  
14 This is an R Markdown document. Markdown is a simple formatting syntax for authoring  
HTML, PDF, and MS Word documents. For more details on using R Markdown see  
http://rmarkdown.rstudio.com.  
15  
16 When you click the **Knit** button a document will be generated that includes both  
content as well as the output of any embedded R code chunks within the document. You can  
embed an R code chunk like this:  
17  
18 ```{r cars}  
19 summary(cars)  
20 ...
```

Figure 3.9: Example of the template RMarkdown document, highlighting buttons in RStudio that you can use to facilitate working with the document. The 'knit' button, highlighted at the top of the figure, will render the entire document. The green arrow, highlighted lower in the figure within a code chunk, can be used to run the code in that specific code chunk.

can read and share this document, but you should not make any changes directly to this document, since they will be overwritten anytime you re-render the original RMarkdown document.

Next, let's compare the example RMarkdown document (the one that is given when you first open an RMarkdown file in RStudio) with the output file that is created when you render this example document (Figure 3.8). If you look at the output document (Figure 3.8, right), you can notice how different elements align with pieces in the original RMarkdown file (Figure 3.8). For example, the output document includes a header with the text “R Markdown”. This second-level header is created by the Markdown notation in the original file of:

```
## R Markdown
```

This header is formatted in a larger font than other text, and on a separate line—the exact formatting is specified within the style file for the RMarkdown document, and will be applied to all second-level headers in the document. You can also see formatting specified through things like bold font for the word “Knit”, through the Markdown syntax **\*\*Knit\*\***, and a clickable link specified through the syntax <http://rmarkdown.rstudio.com>. At the beginning of the original document, you can see how elements like the title, author, date, and output format are specified in the YAML. Finally, you can see that special character combinations demarcate sections of executable code.

#### **Formatting text with Markdown.**

For the main text in an RMarkdown document, all formatting is done using Markdown as the markup language. Markdown is a popular markup language, in part because it is a good bit simpler than other markup languages like HTML

or LaTeX. This simplicity means that it is not quite as expressive as other markup languages. However, Markdown provides adequate formatting for 90% of the formatting you will typically want to do for a research report or pre-processing protocol, and by staying simpler, it is much easier to learn the Markdown syntax quickly compared to other markup languages.

As with other markup languages, Markdown uses special characters or combinations of characters to indicate formatting within the plain text of the original document. When the document is rendered, these markings are used by the software to create the formatting that you have specified in the final output document. Some example formatting symbols and conventions for Markdown include:

- to format a word or phrase in bold, surround it with two asterisks (\*\*)
- to format a word or phrase in italics, surround it with one asterisk (\*)
- to create a first-level header, put the header text on its own line, starting the line with #
- to create a second-level header, put the header text on its own line, starting the line with ##
- separate paragraphs with empty lines
- use hyphens to create bulleted lists

One thing to keep in mind when using Markdown, in terms of formatting, is that white space can be very important in specifying the formatting. For example when you specify a new paragraph, you must leave a blank line from your previous text. Similarly when you use a hash (#) to indicate a header, you must leave a blank space after the hash before the word or phrase that you want to be used in that header. To create a section header, you would write:

```
# Initial Data Inspection
```

Meanwhile this:

```
#Initial Data Inspection
```

Would render to:

```
#Initial Data Inspection
```

Similarly, white space is needed to separate paragraphs. For example, this would create two paragraphs:

This is a first paragraph.

This is a second.

Meanwhile this would create one:

This is a first paragraph.

This is still part of the first paragraph.

The syntax of Markdown is fairly simple and can be learned quickly. For more details on this syntax, you can refer to the Rmarkdown reference guide at <https://rstudio.com/wp-content/uploads/2015/03/rmarkdown-reference.pdf>. The basic formatting rules for Markdown are also covered any number of more extensive resources for Rmarkdown that we will point you to later in this module.

#### **Creating a preamble with YAML.**

In the previous module, we explained how knitted documents include a preamble to specify some metadata about the document, including elements like the title, authors, and output format. In R, this preamble is created using YAML. In this subsection, we provide some more details on using this YAML section in Rmarkdown documents.

When you initially create an Rmarkdown document, you select the output format for it (e.g., pdf, Word, HTML). You can change this output selection once you've created the document, however, by making a change in a special section at the top of the RMarkdown document called the "YAML". The YAML is a special section at the top of an RMarkdown document (the original, plain text file, not the rendered version). It is set off from the rest of the document using a special combination of characters, using a process very similar to how executable code is set off from other text with a special set of characters so it can be easily identified by the software program that renders the document. For the YAML, this combination of characters is three hyphens (---) on a line by themselves to start the YAML section and then another three on a line by themselves to end it. Here is an example of what the YAML might look like at the top of an RMarkdown document:

```
---
```

```
title: "Laboratory report for example project"
author: "Brooke Anderson"
date: "1/12/2020"
output: word_document
---
```

Within the YAML itself, you can specify different options for your document. You can change simple things like the title, author, and date, but you can also change more complex things, including how the output document is rendered. For each thing that you want to specify, you specify it with a special keyword for that option and then a valid choice for that keyword. The idea is very similar to setting parameter values in a function call in R. For example, the `title:` keyword is a valid one in RMarkdown YAML. It allows you to set the words that will be printed in the title space, using title formatting, in your output document. It can take any string of characters, so you can put in any text for the title that you'd like, as long as you surround it with quotation marks. The `author:` and `date:` keywords work in similar ways. The `output:` keyword allows you to specify the output that the document should be rendered

to. In this case, the keyword can only take one of a few set values, including `word_document` to output a Word document, `pdf_document` to output a pdf document (see later in this section for some more set-up required to make that work), and `html_document` to output an HTML document.

As you start using RMarkdown, you will be able to do a lot without messing with the YAML much. In fact, you can get a long way without ever changing the values in the YAML from the default values they are given when you first create an RMarkdown document. As you become more familiar with R, you may want to learn more about how the YAML works and how you can use it to customize your document—it turns out that quite a lot can be set in the YAML to do very interesting customizations in your final rendered document. The book *R Markdown: The Definitive Guide* [ref], which is available free online, has sections discussing YAML choices for both HTML and pdf output, at <https://bookdown.org/yihui/rmarkdown/html-document.html> and <https://bookdown.org/yihui/rmarkdown/pdf-document.html>, respectively. There is also a talk that Yihui Xie, the creator of RMarkdown, gave on this topic at a past RStudio conference, available at <https://rstudio.com/resources/rstudioconf-2017/customizing-extending-r-markdown/>.

#### **Executable code in Rmarkdown files.**

In the previous module, we described how knitted documents use special markers to indicate where sections of executable code start and stop. In RMarkdown, the markers you will use to indicate executable code look like this:

```
```r{}
my_object <- c(1, 2, 3)
```

```

The first part of this marker (````{r}`) indicates that a section of code is starting. Then end part (`````) indicates that the file is moving back to regular Markdown. In the first marker, you can use the simplest form (````{r}`) to indicate the start of the code. However, you can also include options to customize actions when the code in that section is executed. There are many options that you can set for each code chunk. These options will specify how the code in that section of executable code will be run and how the output from running the code will be presented. These specifications are called **chunk options**, and you specify them in the special character combination where you mark the start of executable code. For example, you can specify that the code should be printed in the document, but not executed, by setting the `eval` parameter to `FALSE` with ````{r eval = FALSE}` as the marker to start the code section.

The chunk options also include `echo`, which can be used to specify whether to print the code in that code chunk when the document is rendered. For some documents, it is useful to print out the code that is executed, where for other documents you may not want that printed. For example, for a pre-processing protocol, you are aiming to show yourself and others how the pre-

processing was done. In this case, it is very helpful to print out all of the code, so that future researchers who read that protocol can clearly see each step.

By contrast, if you are using Rmarkdown to create a report or an article that is focused on the results of your analysis, it may make more sense to instead hide the code in the final document.

As part of the code options, you can also specify whether messages and warnings created when running the code should be included in the document output, and there are number of code chunk options that specify how tables and figures rendered by the code should be shown. For more details on the possible options that can be specified for how code is evaluated within an executable chunk of code, you refer to the Rmarkdown cheat sheet available at <https://rstudio.com/wp-content/uploads/2015/02/rmarkdown-cheatsheet.pdf>

RStudio has some functionality that is useful when you are working with code in Rmarkdown documents. Within each code chuck are some buttons that can be used to test out the code in that chunk of executable code. One is the green right arrow key to the right at the top of the code chunk, highlighted in Figure 3.9. This button will run all of the code in that chunk and show you the output in an output field that will open directly below the code chunk. This functionality allows you to explore the code in your document as you build it, rather than waiting until you are ready to render the entire document. The button directly to the left of that button, which looks like an upward-pointing arrow over a rectangle, will execute all code that comes before this chunk in the document. This can be very helpful in making sure that you have set up your environment to run this particular chunk of code.

### 3.9.3 More advanced Rmarkdown functionality

The details and resources that we have covered so far focus on the basics of Rmarkdown. You can get a lot done just with these basics. However, the Rmarkdown system is very rich and allows complex functionality beyond these basics. In this subsection, we will highlight just a few of the ways Rmarkdown can be used in a more advanced way. Since this topic is so broad, we will focus on elements that we have found to be particularly useful for biomedical researchers as they become more advanced Rmarkdown users. For the most part, we will not go into extensive detail about how to use these more advanced features in this module, but instead point to resources where you can learn more as you are ready. If you are just learning Rmarkdown, at this point it will be helpful to just know that some of these advanced features are available, so you can come back and explore them when you become familiar with the basics. However, we will provide more details for two elements that we find particularly useful in creating data pre-processing protocols: including bibliographical references and including mathematical equations. In the next module, we walk through an example of using RMarkdown, and in this example

we show how you can use these two more advanced features when creating a pre-processing protocol.

#### **Including bibliographical references.**

You can use Rmarkdown, in combination with something called BibTeX, as a referencing system. This allows you to include bibliographical references in the documents that you create, and Rmarkdown will handle the creation of the references section and the numbering of the documents within your text.

To include references in RMarkdown documents, you can use something called **BibTeX**. This has three components:

1. Create a plain text file with listings for each of your references (**BibTeX file**). Save it with the extension .bib.
2. In your RMarkdown document, include the filepath to this BibTeX file.
3. In the text of the RMarkdown file, include a key and special character combination anytime you want to reference a paper.

Once you have a BibTeX file, you will include its path in the YAML:

```
---
title: "Reproducible Research with R"
author: "Brooke Anderson"
date: "1/25/2021"
output: beamer_presentation
bibliography: mybibliography.bib
---
```

It is easiest if you save the BibTeX file in the same directory as the RMarkdown document.

You can add references in the text using a key for each paper within special characters ([@paper1, @paper2]).

For example, you would write:

This technique follows earlier work [@fox2020, @anderson2019].

To create:

"This technique follows earlier work (Fox et al. 2020, Anderson et al. 2019)."

With full paper details included at the end of the document.

Put all the bibliographical details in the BibTeX file:

You will have a file named something like mybibliography.bib with entries for each paper like this:

```
@article{fox2020,
  title=[Cyto-feature engineering: A pipeline for flow cytometry
  analysis to uncover immune populations and associations with
```

```

disease},
author={Fox, Amy and Dutt, Taru S and Karger, Burton and Rojas,
Mauricio and Obreg{\'o}n-Henao, Andr{\'e}s and
Anderson, G Brooke and Henao-Tamayo, Marcela},
journal={Scientific Reports},
volume={10},
number={1},
pages={1--12},
year={2020}
}

```

You can get these details from Google Scholar:

The screenshot shows a Google Scholar search results page for the query "amy fox flow cytometry". The results list several articles, with the top result being a citation for a paper by Fox et al. (2020). A red arrow points to the "Cite" button next to the citation, which opens a pop-up window. Another red arrow points to the "BibTeX" button at the bottom of the pop-up window.

**Google Scholar Search Results:**

- Search term: amy fox flow cytometry
- Results: About 2,290 results
- Filters applied: Any time, Since 2021, Sort by relevance, include patents, include citations
- Articles listed (partial list):
  - [HTML] Cytotoxic immune populations in healthy individuals and patients with COVID-19. A Fox, TS Dutt, Flow cytometry analysis of peripheral blood mononuclear cells; how to consume. To cite
  - [HTML] Acquisition of T cells in murine sepsis. AC Fox, CM Rabinovitch, Objective White blood cell count in sepsis use millions of common come. To cite
  - [HTML] BCG-Prime better protection against Mtb. ... M Chen, J. Although vaccination does not protect against pulmonary infection or Mycobacterium tuberculosis (Mtb)

**Pop-up Window (Bibliographical Information):**

- MLA: Fox, Amy, et al. "Cyto-feature engineering: A pipeline for flow cytometry analysis to uncover immune populations and associations with disease." *Scientific reports* 10.1 (2020): 1-12.
- APA: Fox, A., Dutt, T. S., Karger, B., Rojas, M., Obregón-Henao, A., Anderson, G. B., & Henao-Tamayo, M. (2020). Cyto-feature engineering: A pipeline for flow cytometry analysis to uncover immune populations and associations with disease. *Scientific reports*, 10(1), 1-12.
- Chicago: Fox, Amy, Taru S. Dutt, Burton Karger, Mauricio Rojas, Andrés Obregón-Henao, G. Brooke Anderson, and Marcela Henao-Tamayo. "Cyto-feature engineering: A pipeline for flow cytometry analysis to uncover immune populations and associations with disease." *Scientific reports* 10, no. 1 (2020): 1-12.
- Harvard: Fox, A., Dutt, T.S., Karger, B., Rojas, M., Obregón-Henao, A., Anderson, G.B. and Henao-Tamayo, M., 2020. Cyto-feature engineering: A pipeline for flow cytometry analysis to uncover immune populations and associations with disease. *Scientific reports*, 10(1), pp.1-12.
- Vancouver: Fox A, Dutt TS, Karger B, Rojas M, Obregón-Henao A, Anderson GB, Henao-Tamayo M. Cyto-feature engineering: A pipeline for flow cytometry analysis to uncover immune populations and associations with disease. *Scientific reports*. 2020 May 6;10(1):1-2.

**Bottom of Pop-up Window:**

- BibTeX (highlighted with a red box)
- EndNote
- RefMan
- RefWorks

### Including mathematical equations.

Next, you can include mathematical equations within an Rmarkdown document. This allows you to use nice formatting whenever you need to include an equation within your document.

You can include math using a system developed for specifying mathematical equations in LaTeX. [Add more on math]

### Including executable code in other languages.

In your RMarkdown documents, you include executable code in special sections ("chunks") that are separated from the regular text using a special combination of characters, as described earlier in this module and in the previous

Figure 3.10: Example of using Google Scholar to get bibliographical information for a BibTeX file. When you look up an article on Google Scholar, there is an option (the quotation mark icon under the article listing) to open a pop-up window with bibliographical information. At the bottom of this pop-up box, you can click on 'BibTeX' to get a plain text version of the BibTeX entry for the article. You can copy and paste this into your BibTeX file.

module. By default, in Rmarkdown files the code in these chunks are executed using the R programming language. However, you can also include executable code in a number of other programming languages. For example, you could set some code chunks to run Python, others to run Julia, and still others (e.g., bash) to run a shell script.

This can be very helpful if you have steps in your Python that use code in different languages. For example, there may be a module in Python that works well for an early step in your data preprocessing, and then later steps that are easier with general R functions. This presents no problem in creating an RMarkdown data pre-processing protocol, as you can include different steps using different languages.

The program that is used to run the code in a specific chunk is called the “engine” for that chunk [ref—R Markdown def guide]. You can change the engine by changing the combination of characters you use to demarcate the start of executable code. When you are including a chunk of R code, you mark it off starting with the character combination ````{r}`. You change this to give the engine you would like to use—for example, you would include a chunk of Python code using ````{python}` [ref—R Markdown def guide]. When your RMarkdown document is rendered, your computer will use the specified software to run each code chunk. Of course, to run that piece of code, your computer must have that type of software installed and available. For example, if you include a chunk of code that you’d like to run with a Python engine, you must have Python on your computer.

While you can use many different software programs as the engine for each code chunk, there are a few limitations with some programs. For many open-source software programs, the results from running a chunk of code with that engine will be available for later code chunks that also use that engine to use as an input [ref—R Markdown def guide]. This is not the case, however, for most of the available engines. For example, if you use the SAS software program as the engine for one of your code chunks, the output from running that code will not be available to input to later code in the document.

#### **Caching code results.**

Some code can take a while to run, particularly if it is processing very large datasets. By default, RMarkdown will re-run all code in the document every time you render it. This is usually the best set-up, since it allows you to confirm that the code is all executing as desired each time the code is rendered. However, if you have steps that take a long time, this can make it so the RMarkdown document takes a long time to render each time you render it.

To help with this problem, RMarkdown has a system that allows you to cache results from some or all code chunks in the document. This is a really nice system—it will check the inputs to that part of the code each time the document is run. If those inputs have changed, it will take the time to re-run that piece of code, to use the updated inputs. However, if the inputs have not changed since the last time the document was rendered, then the last

results for that chunk of code will be pulled from memory and used, without re-running the code in that chunk. This saves time most of the times that you render the document, while taking the time to re-run the code when necessary, because the inputs have changed and so the outputs may be different.

There are some downsides to caching. For example, caching can increase the storage space it takes to save Rmarkdown work, as intermediate results are saved. However, if some of your code is very time-intensive to run, it may make sense to look into caching options with Rmarkdown. For more on caching with Rmarkdown documents, see this section of the *R Markdown Cookbook* [ref].

#### **Outputting to other formats.**

You can use RMarkdown to create documents other than traditional reports. Scientists might find the outputs of presentations and posters particularly useful.

RMarkdown has allowed a pdf slide output for a long time. This output leverages the “beamer” format from LaTeX. You can create a series of presentation slides in RMarkdown, using Markdown to specify formatting, and then the document will be rendered to pdf slides. These slides can be shown using pdf viewer software, like Adobe Acrobat, set either to full screen or to the presentation option. More recently, capability has been added to RMarkdown that allows you to create PowerPoint slides. Again, you will start from an RMarkdown document, using Markdown syntax to do things like divide content into separate slides. Regardless of the output format you choose (pdf slides or PowerPoint), the code to generate figures and tables in the presentation can be included directly in the RMarkdown file, so it is re-run with the latest data each time you render the presentation.

It is also possible to use RMarkdown to create scientific posters, although this is a bit less common and there are fewer tutorial resources with instructions on doing this. To find out more about creating scientific posters with Rmarkdown, you can start by looking at the documentation for some R packages that have been created for this process. Two include the `posterdown` package [ref], with documentation available at <https://reposehub.com/python/miscellaneous/brentthorne-posterdown.html>, and the `pagedown` package [ref], with documentation available at <https://github.com/rstudio/pagedown>. There are also some blog posts available where researchers describe how they created a poster with Rmarkdown; one thorough one is “How to make a poster in R” by Wei Yang Tham, available at <https://wytham.rbind.io/post/making-a-poster-in-r/>.

This idea of customizing Rmarkdown documents has evolved in another useful way through the idea of Rmarkdown templates. These are templates that are customized—often very highly customized—while allowing you to write the content using Rmarkdown. One area where these templates can be very useful to scientists is with article templates that are customized for specific scientific journals. A number of scientific journals have created LaTeX templates that

can be used when writing drafts to submit to the journal. These templates produce a draft that is nicely formatted, following all the journal's guidelines for submission, and in some cases formatted as the final article would be for the journal. These templates have existed for a long time, particularly for journals in fields in which LaTeX is commonly used for document formatting, including physics and statistics. However, the templates traditionally required you to use LaTeX, which is a complex markup language with a high threshold for learning to use it.

Now, many of these article templates have been wrapped within an Rmarkdown template, allowing you to leverage them while writing all the content in Rmarkdown syntax, and allowing you to include executable code directly in the draft. An example of the first page of an article created in Rmarkdown using one of these article templates is shown in Figure 3.9.3.

### Ten simple rules for finding and selecting R packages

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### Abstract

R is an increasingly preferred software environment for data analytics and statistical computing among scientists and practitioners. Packages markedly extend R's utility and ameliorate inefficient solutions to data science problems. We outline ten simple rules for finding relevant packages and determining which package is best for your desired use. We begin in Rule 1 with tips on how to consider your purpose, which will guide your search to follow, where, in Rule 2, you'll learn best practices for finding and collecting options. Rules 3 and 4 will help you navigate packages' profiles and explore the extent of their online resources, so that you can be confident in the quality of the package you choose, and assured that you'll be able to access support. In Rules 5 and 6, you'll become familiar with how the R Community evaluates packages, and learn how to assess the popularity and utility of packages for yourself. Rules 7 and 8 will teach you how to investigate and track package development processes, so you can further evaluate their merit. We end in Rules 9 and 10 with more hands-on approaches, which involve digging into package code.

### Disclaimer

GBA is a volunteer associate editor at ROpenSci and is an instructor through the Coursera platform, both of which are mentioned as potential resources in this article. The views described here reflect the authors' own views without input from any third party organization.

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```
\begin{figure}
\caption[Example of a manuscript written in Rmarkdown using a templat]{Example of a manuscript written in Rmarkdown using a templat. This figure shows the}
```

first page of an article written for submission to *PLoS Computation Biology*, written in Rmarkdown while using the *PLoS* template from the *rticles* package. The full article, including the Rmarkdown input and final pdf, are available on GitHub at [https://github.com/cjwendt/plos\\_ten](https://github.com/cjwendt/plos_ten).} \end{figure}

These Rmarkdown templates are typically available through R packages, which you can install on your computer in the same way you would install any R package (i.e., with the `install.packages` function). Many journal article templates are available through the *rticles* package [ref], including the template used to create the manuscript shown in Figure 3.9.3. You can find more information about the *rticles* package on its GitHub page, at <https://github.com/rstudio/rticles>. There is also a section in the book *R Markdown: A Definitive Guide* [ref] on writing manuscripts for scientific journals using Rmarkdown, available online at <https://bookdown.org/yihui/rmarkdown/rticles-templates.html>.

You can use RMarkdown to create much larger outputs, compared to simpler reports and protocols. RMarkdown can now be used to create very large and dynamic documents, including online books (which can also be rendered to pdf versions suitable for printing), dashboard-style websites, and blogs. Once members of your research group are familiar with the basics of RMarkdown, you may want to explore using it to create these more complex outputs. The book format divides content into chapters and special sections like appendices and references. It includes a table of contents based on weblinks, so readers can easily navigate the content. It uses a book format as its base that allows readers to do things like change the font size and search the book text for keywords. The book containing these modules is one example of using bookdown. If you would like to explore using bookdown to create online books based on Rmarkdown files, there are a number of resources available. There is an online book available with extensive instructions on using this package, available at <https://bookdown.org/yihui/bookdown/>. There is also a helpful website with more details on this package, <https://bookdown.org/>. The website include a gallery of example books created with bookdown <https://bookdown.org/home/archive/>, which you can use to explore the types of books that can be created.

You can also use Rmarkdown documents to create webpages, with pages included for blogs. This format allows you to create a very attractive website that includes a blog section, where you can write and regularly post new blogs, keeping the site dynamic. It is a nice entry point to developing and maintaining a website for people who are learning to code in R but otherwise haven't done much coding, as you can do all the steps within RStudio. There are templates for these blogs that are appropriate for creating personal or research group websites for academics. These websites can be created to highlight the research and people in your research lab. You can encourage students and postdocs to create personal sites, to raise the profile of their research. In the past, we have even used one as a central, unifying spot for

a group study, with students contributing blog posts as their graded assignment (<https://kind-neumann-789611.netlify.app/>). To learn how to create websites with blogs, you can check the book *blogdown: Creating Websites with R Markdown* [ref], which is available both in print and free online at <https://bookdown.org/yihui/blogdown/>. This process takes a bit of work to initially get the website set up, but then allows for easy and straightforward maintenance.

Finally, a simpler way to make basic web content with RMarkdown is through their *flexdashboard* format. This format creates a smaller website that is focused on sharing data results—you can see a gallery of examples at <https://rmarkdown.rstudio.com/flexdashboard/examples.html>. This format is excellent for creating a webpage that allows users to view complex, and potentially interactive, results from data you've collected. It can be particularly helpful for groups that need to quickly communicate regularly updated data to viewers. During 2020, for example, many public health departments maintained dashboard-style websites to share evolving data on COVID-19 in the community. Using RMarkdown in this case has the key advantage of allowing you to easily update the dashboard webpage as you get new or updated data, since it is easy to re-run any data processing, analysis, and visualization code in the document. To learn how to use RMarkdown to create dashboard websites, you can check out RStudio's flexdashboard site at <https://rmarkdown.rstudio.com/flexdashboard/index.html>. There is also guidance available in one of the chapters of *R Markdown: The Definitive Guide* [ref]: <https://bookdown.org/yihui/rmarkdown/dashboards.html>.

#### **More complex formatting.**

As mentioned earlier, Markdown is a fairly simple markup language. Occasionally, this simplicity means that you might not be able to create fancier formatting that you might desire. There is a method that allows you to work around this constraint in RMarkdown.

In Rmarkdown documents, when you need more complex formatting, you can shift into a more complex markup language for part of the document. Markup languages like LaTeX and HTML are much more expressive than Markdown, with many more formatting choices possible. For example, there is functionality within LaTeX and HTML to create much more complex tables than in Markdown. However, there is a downside—when you include formatting specified in these more complex markup languages, you will limit the output formats that you can render the document to. For example, if you include LaTeX formatting within an RMarkdown document, you must output the document to PDF, while if you include HTML, you must output to an HTML file. Conversely, if you stick with the simpler formatting available through the Markdown syntax, you can easily switch the output format for your document among several choices.

The *R Markdown Cookbook* [ref] includes chapters on how to customize Rmarkdown output through LaTeX (<https://bookdown.org/yihui/>

`rmarkdown-cookbook/latex-output.html` and HTML (<https://bookdown.org/yihui/rmarkdown-cookbook/html-output.html>).

These customizations can include creating custom formats for the entire document (for example, you can customize the appearance of a whole HTML document by customizing the CSS style file for the document). They can also include smaller-level customizations, like changing the citation style that is used in conjunction with a BibTeX file by adding to the preamble for LaTeX output.

One area of customization that is particularly useful and simple to implement is with customized tables. The Markdown syntax can create very simple tables, but does not allow the creation of more complex tables. There is an R package called `kableExtra` [ref] that allows you to create very attractive and complex tables in RMarkdown documents.

This package leverages more of the power of underlying markup languages, rather than the simpler Markdown language. If you remember, Markdown is pretty easy to learn because it has a somewhat limited set of special characters and special markings that you can use to specify formatting in your output document. This basic set of functionality is often all you need, but for complex table formatting, you will need more. There is much more available in the deeper markup languages that you can use specifically to render pdf documents (software derived from TeX) and the one that you can use specifically to render HTML (the HTML markup language). As a result, you will need to create RMarkdown files that are customized to a single output format (pdf or HTML) to take advantage of this package.

You can install this package the same as any other R package from CRAN, using `install.packages`. You will need to use then need to use `library("kableExtra")` within your RMarkdown document before you use functions from the package. The `kableExtra` package is extensively documented through two vignettes that come with package, one if the output will be in pdf ([https://cran.r-project.org/web/packages/kableExtra/vignettes/awesome\\_table\\_in\\_pdf.pdf](https://cran.r-project.org/web/packages/kableExtra/vignettes/awesome_table_in_pdf.pdf)) and one if it will be in HTML ([https://cran.r-project.org/web/packages/kableExtra/vignettes/awesome\\_table\\_in\\_html.html](https://cran.r-project.org/web/packages/kableExtra/vignettes/awesome_table_in_html.html)). There is also information on using `kableExtra` available through *R Markdown Cookbook* [ref]: <https://bookdown.org/yihui/rmarkdown-cookbook/kableextra.html>.

### 3.9.4 Learning more about Rmarkdown.

To learn more about RMarkdown, you can explore a number of excellent resources. The most comprehensive are shared by RStudio, where RMarkdown's developer and maintainer, Yihui Xie, works. These resources are all freely available online, and some are also available to buy as print books, if you prefer that format.

First, you should check out the online tutorials that are provided by RStudio on RMarkdown. These are available at RStudio's RMarkdown page: <https://rstudio.com/resources/r-markdown/>

//rmarkdown.rstudio.com/. The page’s “Getting Started” section (<https://rmarkdown.rstudio.com/lesson-1.html>) provides a nice introduction you can work through to try out RMarkdown and practice the overview provided in the last subsection of this module. The “Articles” section (<https://rmarkdown.rstudio.com/articles.html>) provides a number of other documents to help you learn RMarkdown. RStudio’s RMarkdown page also includes a “Gallery” (<https://rmarkdown.rstudio.com/gallery.html>). This resource allows you to browse through example documents, so you can get a visual idea of what you might want to create and then access the example code for a similar document. This is a great resource for exploring the variety of documents that you can create using RMarkdown.

To go more deeply into RMarkdown, there are two online books from some of the same team that are available online. The first is *R Markdown: The Definitive Guide* by Yihui Xie, J. J. Allaire, and Garrett Grolemund [ref]. This book is available free online at <https://bookdown.org/yihui/rmarkdown/>. It moves from basics through very advanced functionality that you can implement with RMarkdown, including several of the topics we highlight later in this subsection.

The second online book to explore from this team is *R Markdown Cookbook*, by Yihui Xie, Christophe Dervieux, and Emily Riederer [ref]. This book is available free online at <https://bookdown.org/yihui/rmarkdown-cookbook/>. This book is a helpful resource for dipping in to a specific section when you want to learn how to achieve a specific task. Just like a regular cookbook has recipes that you can explore and use one at a time, this book does not require a comprehensive end-to-end read, but instead provides “recipes” with advice and instructions for doing specific things. For example, if you want to figure out how to align a figure that you create in the center of the page, rather than the left, you can find a “recipe” in this book to do that.

### 3.9.5 Applied exercise

“Most scholarly works have citations and a bibliography or reference section.

... The purpose of the bibliography is to provide details of the works that are cited in the text. We shall refer to cited works as *references*. ... The bibliography entries are listed as . The of a reference is also used when the work is cited in the text. The lists the relevant information about the work. ... Even within a single work there may be different styles of citations. *Parenthetical citations* are usually formed by putting one or several citation labels inside square brackets or parentheses. However, there are also other forms of citations that are derived from information in the citation label. ... The \bibliographystyle command tells LaTeX which style to use for the bibliography [e.g., labels as numbers, labels as names and years]. The bibliography style called

, is defined in the file

.bst. ... for citations you use the \cite command. The argument of the \cite command is the logical label of the work you cite.” (Van Dongen, 2012)

“Since bibliographies are important and since it’s easy to get them wrong, some of the work related to the creation of the bibliography has been automated.

This is done by BibTeX. The BibTeX tool requires an external human-readable bibliography database. The database may be viewed as a collection of records. The record defines the title of the work, the author(s) of the work, the year of publication, and so on. The record also defines the logical label of the work. This is the label you use when you \cite the work. The advantage of using BibTeX is that you provide the information of the entries in the bibliography and that BibTeX generates the text for the bibliography. This guarantees consistency and ease of mind. Furthermore, the BibTeX database is reusable and you may find BibTeX descriptions of many scholarly works on the web. ... Generating the bibliography with BibTeX is a multi-stage process, which requires an external program called bibtex. The bibtex program is to BibTeX what the latex program is to LaTeX." (Van Dongen, 2012)

"You specify the name of the BibTeX database and the location of the bibliography with the \bibliography command. The argument of the command is the basename of the BibTeX database. So if you use \bibliography{<db>}, then your database is .bib." (Van Dongen, 2012)

"There are several problems with the basic LaTeX citation mechanism. The biblatex package overcomes many of these. It provides a more flexible citation mechanism and lets you configure your own citation style." (Van Dongen, 2012)

"The biblatex package distinguishes between *parenthetical* and *textual* citations." (Van Dongen, 2012)

"This chapter is an introduction to presenting pictures that are stored in external files. Historically, this was an important mechanism for importing pictures. ... The figure environment is used to present pictures, diagrams, and graphs. The environment creates a *floating* environment. *Floating* environments don't allow pagebreaks and they may 'float' to a convenient location in the output document. This mechanism gives LaTeX more freedom to choose better page breaks for the remaining text. ... However, it should be noted that you can also force the typesetting of a floating environment at the 'current' position in the output file. ... LaTeX gives some control over the placement of floating figures, of floating tables, and other floats. For figures the placement is controlled with an optional argument of the figure environment. The same mechanism is used for the table environment... The optional argument, which controls the placement, may contain any combination of the letters t [top of the page], b [bottom of a page], p [separate page with no text], h [approximately at the current position], and H [at the current position] ... The default value for the optional argument is tbp. LaTeX parses the letters in the optional argument from left to right and puts the figure at the position corresponding to the first letter for which it thinks the position is 'reasonable'. Good positions are the top of the page, the bottom of the page, or a page with floats only, because these positions do not disturb the running text too much." (Van Dongen, 2012)

"We have already seen how to present information in tabular environments. The table environment creates a *floating* table. As with the figure environment, this puts the body of the environment in a numbered table, which may be put in a different place in the document than where it's actually defined. The table placement is controlled with an optional argument. This optional argument works as with the optional argument of the figure environment." (Van Dongen, 2012)

"LaTeX's basic support for mathematics is limited, which is why the American Mathematical Society (AMS) provides a package called `amsmath`, which redefines some existing commands and environments and provides additional commands and environments for mathematical typesetting." (Van Dongen, 2012)

"LaTeX has three basic modes that determine how it typesets its input. These modes are: **text mode** In this mode the output does not have mathematical content and is typeset as text. ... **ordinary math mode** In this mode the output has mathematical content and is typeset in the running text. Ordinary math mode is more commonly referred to as inline math mode. **display math mode** In this mode the output has mathematical content and is typeset in a display." (Van Dongen, 2012)

"The `$` operator switches from text mode to ordinary math mode and back... The mathematical expressions in the output are typeset in the running text." (Van Dongen, 2012)

"The `equation` environment is for typesetting a *single* numbered displayed equation. It is one of the most commonly used environments for typesetting display math material." (Van Dongen, 2012)

LaTeX math typesetting includes (Van Dongen, 2012):

- subscripts and superscripts
- Greek letters
- text in formulae
- aligned sets of equations
- delimiters (parentheses, brackets)
- fractions
- sums, products, integration, differentiation
- square roots
- relational symbols (less than or equal to, greater than or equal to symbols)
- arrows
- matrices
- accents, hats, dots, overlines

"This chapter introduces the `beamer` class, which is widely used for computer presentations. Some people call such presentations *powerpoint presentations*. The `beamer` class is seamlessly integrated with the `tikz` package and lets you present *incremental* presentations, which are presentations that incrementally add text and graphics to a page of the presentation." (Van Dongen, 2012)

"In May 1977, Donald Knuth of Stanford University started work on the text-processing system that is now known as 'TeX' and METAFONT. ... In the early 1990s, Donald Knuth officially announced that TeX would not undergo any further development in the interest of stability. Perhaps unsurprisingly, the 1990s saw a flowering of experimental projects that extended TeX in various directions; many of these are coming to fruition in the early 21st century..." (Mittelbach et al., 2004)

The development of TeX from its birth as one of Don's 'personal productivity tools' (created simply to ensure the rapid completion and typographic quality of

his then-current work on *The Art of Computer Programming*) was largely influenced and nourished by the American Mathematical Society on behalf of UL research mathematicians.” (Mittelbach et al., 2004)

“The most obviously important files in any LaTeX-based documentation project are the *input source files*. Typically, there will be a master file that uses other subsidiary files... These files most often have the extension `.tex`... they are commonly known as ‘plain text files’ since they can be prepared with a basic text editor. Often, external graphical images are included in the typeset document utilizing the *graphics* interface... LaTeX also needs several files containing structure and layout definitions: *class* files with the extension `.cls`; *option* files with the extension `.clo`; *package* files with the extension `.sty`... Many of these are provided by the base system set-up, but others may be supplied by individual users.” (Mittelbach et al., 2004)

“One of the ideas behind LaTeX is the separation between layout and structure (as far as possible), which allows the user to concentrate on content rather than having to worry about layout issues.” (Mittelbach et al., 2004)

“Commands placed between `\documentclass` and `\begin{document}` are in the so-called *document preamble*. All style parameters must be defined in this preamble, either in package or class files or directly in the document before the `\begin{document}` command, which sets the values for some of the global parameters.” (Mittelbach et al., 2004)

“Basic LaTeX offers excellent mathematical typesetting capabilities for straightforward documents. However, when complex displayed equations or more advanced mathematical constructs are heavily used, something more is needed. Although it is possible to define new commands or environments to ease the burden of typing in formulas, this is not the best solution. The American Mathematical Society (AMS) provides a major package, *amsmath*, which makes the preparation of mathematical documents much less time-consuming and more consistent.” (Mittelbach et al., 2004)

“Citations are cross-references to bibliographical information outside the current document, such as to publications containing further information on a subject and source information about used quotations. ... There are numerous ways to compile bibliographies and reference lists. They can be prepared manually, if necessary, but usually they are automatically generated from a database containing bibliographical information...” (Mittelbach et al., 2004)

“There are four common methods of referring to sources: the ‘short-title’, ‘author-date’, ‘author-number’, and ‘number-only’ systems.” (Mittelbach et al., 2004)

“The standard LaTeX environment for generating a list of references or a bibliography is called `\bibliography`. In its default implementation it automatically generates an appropriate heading and implements a vertical list structure in which every publication is represented as a separate item.” (Mittelbach et al., 2004)

“Inside a document, publications are cited by referring to the *cite-key* argument of the `\bibitem` commands. For this purpose LaTeX offers the `\cite` command, which takes such a key as its argument. It can, in fact, take a comma-separated list of such keys and offers an optional argument to specify additional information such as page or chapter numbers.” (Mittelbach et al., 2004)

"The BibTeX program gathers all citation keys used in a document, looks them up in a bibliographical database, and generates a complete `thebibliography` environment that can be loaded by LaTeX in a subsequent run." (Mittelbach et al., 2004)

"... the basic structure of a BibTeX entry consists of three parts: 1. A publication *entry type* (e.g., 'book', 'article', 'inproceedings', 'phdthesis'). 2. A *user-chosen keyword* identifying the publication. If you want to reference the entry in your document, then the argument `cite-key` of the `\cite` command should be identical (also in case) to this keyword. 3. A series of *fields* consisting of a field identifier with its data between quotes or curly braces (e.g., 'author', 'journal', and 'title')." (Mittelbach et al., 2004)

"BibTeX entries are read by BibTeX in the bibliography database (the `.bib` file), and the formatting of the entries is controlled by an associated bibliography style (the `.bst` file), which contains a set of instructions written in a stack-based language." (Mittelbach et al., 2004)

"The BibTeX program was designed by Oren Patashnik to provide a flexible solution to the problem of automatically generating bibliography lists conforming to different layout styles. It automatically detects the citation requests in a LaTeX document (by scanning its `.aux` file or files), selects the needed bibliographical information from one or more specified databases, and formats it according to a specified layout style. Its output is a file containing the bibliography listing as LaTeX code that will be automatically loaded and used by LaTeX on the following run." (Mittelbach et al., 2004)

"A BibTeX database is a plain text (ASCII) file that contains bibliographical entries internally structured as keyword/value pairs. ... Each entry in a BibTeX database consists of three main parts: a *type specifier*, followed by a *key*, and finally the *data* for the entry itself. The *type* describes the general nature of the entry (e.g., whether it is an article, book, or some other publication). The *key* is used in the interface to LaTeX; it is the string that you have to place in the argument of a `\cite` command when referencing that particular entry. The *data* part consists of a series of *field entries* depending on the *type*), which can have one of two forms... The comma is the field separator. Spaces surrounding the equals sign or the comma are ignored. Inside the text part of a field (enclosed in a pair of double quotes or a pair of braces) you can have any string of characters, but braces must be matched. The quotes or braces can be omitted for text consisting entirely of numbers (like the year field...). ... BibTeX ignores the case of the letters for the entry type, key, and field names. You must, however, be careful with the key. LaTeX honors the case of the keys specifically as the argument for a `\cite` command, so the key for a given bibliographic entry must match the one specified in the LaTeX file." (Mittelbach et al., 2004)

"Various organizations and individuals have developed style files for BibTeX that correspond to the house style of particular journals or editing houses." (Mittelbach et al., 2004)

"The document format 'R Markdown' was first introduced in the `knitr` package in early 2012. The idea was to embed code chunks (of R or other languages) in Markdown documents. In fact, `knitr` supported several authoring languages from the beginning in addition to Markdown, including LaTeX, HTML, AsciiDoc,

reStructuredText, and Textile. Looking back over the five years, it seems to be fair to say that Markdown has become the most popular document format, which is what we expected. The simplicity of Markdown clearly stands out among these document formats.” (Xie et al., 2018)

“However, the original version of Markdown invented by John Gruber was often found overly simple and not suitable to write highly technical documents. For example, there was no syntax for tables, footnotes, math expressions, or citations. Fortunately, John MacFarlane created a wonderful package named Pandoc to convert Markdown documents (and many other types of documents) to a large variety of output formats. More importantly, the Markdown syntax was significantly enriched. Now we can write more types of elements with Markdown while still enjoying its simplicity.” (Xie et al., 2018)

“In a nutshell, R Markdown stands on the shoulders of knitr and Pandoc. The former executes the computer code embedded in Markdown, and converts R Markdown to Markdown. The latter renders Markdown to the output format you want (such as PDF, HTML, Word, and so on.).” (Xie et al., 2018)

“R Markdown may not be the right format for you if you find these elements not enough for your writing: paragraphs, (section) headers, block quotations, code blocks, (numbered and unnumbered) lists, horizontal rules, tables, inline formatting (emphasis, strikeout, superscripts, subscripts, verbatim, and small caps text), LaTeX math expressions, equations, links, images, footnotes, citations, theorems, proofs, and examples. We believe this list of elements suffice for most technical and non-technical documents.” (Xie et al., 2018)

“Please do not underestimate the customizability of R Markdown because of the simplicity of its syntax. In particular, Pandoc templates can be surprisingly powerful, as long as you understand the underlying technologies such as LaTeX and CSS, and are willing to invest time in the appearance of your output documents (reports, books, presentations, and / or websites).” (Xie et al., 2018)

“R Markdown documents are often portable in the sense that they can be compiled to multiple types of output formats. Again, this is mainly due to the simplified syntax of the authoring language, Markdown. The simpler the elements in your document are, the more likely that the document can be converted to different formats. Similarly, if you heavily tailor R Markdown to a specific output format (e.g., LaTeX), you are likely to lose the portability, because not all features in one format work in another format.” (Xie et al., 2018)

“Last but not least, your computing results will be more likely to be reproducibly if you use R Markdown (or other knitr-based source documents), compared to the manual cut-and-paste approach. This is because the results are dynamically generated from computer source code. If anything goes wrong or needs to be updated, you can simply fix or update the source code, compile the document again, and the results will automatically be updated. You can enjoy reproducibility and convenience at the same time.” (Xie et al., 2018)

“There is a fundamental assumption underneath R Markdown that users should be aware of: we assume it suffices that only a limited number of features are supported in Markdown. By ‘features’, we mean the types of elements you can create with native Markdown. The limitation is a great feature, not a bug.” (Xie et al., 2018)

"R Markdown provides an authoring framework for data science. You can use a single R Markdown file to both: save and execute code, and; generate high quality reports that can be shared with an audience. R Markdown was designed for easier reproducibility, since both the computer code and narratives are in the same document, and results are automatically generated from the source code." (Xie et al., 2018)

"There are three basic components of an R Markdown document: the metadata, text, and code. The metadata is written between the pair of three dashes ---. The syntax for the metadata is YAML (YAML Ain't Markup Language), so sometimes it's also called the YAML metadata or the YAML frontmatter. Before it bites you hard, we want to warn you in advance that indentation matters in YAML, so do not forget to indent the sub-fields of a top field properly. ... The body of a document follows the metadata. The syntax for text (also known as prose or narratives) is Markdown... There are two types of computer code... a code chunk starts with three backticks ... and ends with three backticks... An inline R code expression starts with `r and ends with a backtick." (Xie et al., 2018)

"It is fine for humans to err (in computing), as long as the source code is readily available." (Xie et al., 2018)

"The idea [of R Markdown] should be simple enough: interweave narratives with code in a document, knit the document to dynamically generate results from the code, and you will get a report. This idea was not generated by R Markdown, but came from an early programming paradigm called 'Literate Programming' (Knuth, 1984)." (Xie et al., 2018)

"The text in an R Markdown document is written with the Markdown syntax. Precisely speaking, it is Pandoc's Mardown. There are many flavors of Markdown invented by different people, and Pandoc's flavor is the most comprehensive one to our knowledge." (Xie et al., 2018)

Markdown syntax allows: inline formatting (e.g., italics, subscript, superscript), hyperlinks, including images from external files, footnotes, bibliographical referencing, section headers, ... (Xie et al., 2018)

"There are multiple ways to insert citations [in Markdown], and we recommend that you use BibTeX databases, because they work better when the output format is LaTeX / PDF. ... The key idea is that when you have a BibTeX database (a plain-text file with the conventional filename extension .bib) that contains entries like ... you may add a field named bibliography to the YAML metadata, and set its value to the path of the BibTeX file. Then in Markdown, you may use @R-base ... to reference the BibTeX entry. Pandoc will automatically generate a list of references in the end of the document." (Xie et al., 2018)

"In general, you'd better leave at least one empty line between adjacent but different elements, e.g., a header and a paragraph. This is to avoid ambiguity to the Markdown renderer." (Xie et al., 2018)

"Inline LaTeX equations can be written in a pair of dollar signs using the LaTeX syntax..." (Xie et al., 2018)

"There are a lot of things you can do in a code chunk: you can produce text output, tables, or graphics. You have fine control over all these output via chunk options, which can be provided inside the curly braces. ... There are a large number of chunk options in `knitr` document at <https://yihui.name/knitr/options>. We list a subset of them below [eval, echo, results, collapse, warning, message, error, include, cache, fig.width, fig.height, out.width, out.height, fig.align, dev, fig.cap]." (Xie et al., 2018)

"Chunk options in `knitr` can be surprisingly powerful. For example, you can create animations from a series of plots in a code chunk." (Xie et al., 2018)

"If caching is enabled the same code chunk will not be evaluated the next time the document is compiled (if the code chunk was not modified), which can save you time. However, I want to honestly remind you of the two hard problems in computer science (via Phil Karlton): naming things, and cache invalidation. Caching can be handy but also tricky sometimes." (Xie et al., 2018)

"PDF documents are generated through the LaTeX files generated from R Markdown. A highly surprising fact to LaTeX beginners is that figures float by default: even if you generate a plot in a code chunk on the first page, the whole figure environment may float to the next page. This is just how LaTeX works by default. It has a tendency to float figures to the top or bottom of pages. Although it can be annoying and distracting, we recommend that you refrain from playing the 'Whac-A-Mole' game in the beginning of your writing, i.e., desperately trying to position figures 'correctly' while they seem to be always dodging you. You may wish to fine-tune the positions once the content is complete using the `fig.pos` chunk option." (Xie et al., 2018)

"Formatting tables can be a very complicated task, especially when certain cells span more than one column or row. It is even more complicated when you have to consider different output formats. For example, it is difficult to make a complex table work for both PDF and HTML output." (Xie et al., 2018)

"A less well-known fact about R Markdown is that many other languages are also supported, such as Python, Julia, C++, and SQL. The support comes from the `knitr` package, which has provided a large number of *language engines*. Language engines are essentially functions registered in the object `knitr::knit_engine`. ... To use a different language engine, you can change the language name in the chunk header from `r` to the engine name... For engines that rely on external interpreters such as `python`, `perl`, and `ruby`, the default interpreters are obtained from `Sys.which()`, i.e., using the interpreter found via the environment variable `PATH` of the system. If you want to use an alternative interpreter, you may specify its path in the chunk option `engine.path`. ... Most engines will execute each code chunk in a separate new session (via a `system()` call in R), which means objects created in memory in a previous code chunk will not be directly available to latter code chunks. ... Currently, the only exceptions are `r`, `python`, and `julia`. Only these engines execute code in the same session throughout the document. To clarify, all `r` code chunks are executed in the same R session, all `python` code chunks are executed in the same Python session, and so on, by the *R session and the Python session are independent*." (Xie et al., 2018)

"You can also write Shell scripts in R Markdown, if your system can run them (the executable `bash` or `sh` should exist). Usually this is not a problem for Linux

or macOS users. It is not impossible for Windows users to run Shell scripts, but you will have to install additional software (such as Cygwin or the Linux Subsystem)." (Xie et al., 2018)

"R Markdown documents can also generate interactive content. There are two types of interactive R Markdown documents: you can use the HTML Widgets framework, or the Shiny framework (or both). ... The HTML Widgets framework is implemented in the R package `htmlwidgets`, interfacing JavaScript libraries that create interactive applications, such as interactive graphics and tables. ... The `shiny` package builds interactive web apps powered by R. ... You may use Shiny to run any R code that you like in response to user actions. Since web browsers cannot execute R code, Shiny interactions occur on the server side and rely on a live R session. By comparison, HTML widgets do not require a live R session to support them, because the interactivity comes from the client side (via JavaScript in the web browser)." (Xie et al., 2018)

"By default, MathJax scripts are included in HTML documents for rendering LaTeX and MathML equations." (Xie et al., 2018)

"Within R Markdown documents that generate PDF output, you can use raw LaTeX, and even define LaTeX macros. See Pandoc's documentation on the `raw_tex` extension for details." (Xie et al., 2018)

"By default, citations are processed through `pandoc-citeproc`, which works for all output formats. For PDF output, sometimes it is better to use LaTeX packages to process citations, such as `natbib` or `biblatex`. To use one of these packages, just set the option `citation_package` [in the YAML]." (Xie et al., 2018)

"Dashboards are particularly common in business-style reports. They can be used to highlight brief and key summaries of a report. The layout of a dashboard is often grid-based, with components arranged in boxes of various sizes." (Xie et al., 2018)

"Most R Markdown applications are single documents. That is, you have a single R Markdown source document, and it generates a single output file. However, it is also possible to work with multiple Rmd documents in a project, and organize them in a meaningful way (e.g., pages can reference each other). Currently there are two major ways to build multiple Rmd documents: `blogdown` for building websites, and `bookdown` for authoring books." (Xie et al., 2018)

"With `blogdown`, you can write a blog post or a general page in an Rmd document, or a plain Markdown document. These source documents will be built into a static webset, which is essentially a folder containing static HTML files and associated assets (such as images and CSS files). You can publish this folder to any web server as a website. Because it is only a single folder, it can be easy to maintain. ... Because the website is generated from R Markdown, the content is more likely to be reproducible, and also easier to maintain (no cut-and-paste results). Using Markdown means your content could be more portable in the sense that you may convert your pages to PDF or other formats in the future, and you are not tied to the default HTML format." (Xie et al., 2018)

"Academic journals often have strict guidelines on the formatting for submitted articles. As of today, few journals directly support R Markdown submissions, but

many support the LaTeX format. While you can convert R Markdown to LaTeX, different journals have different typesetting requirements and LaTeX styles, and it may be slow and frustrating for all authors who want to use R Markdown to figure out the technical details about how to properly convert a paper based on R Markdown to a LaTeX document that meets the journal requirements. The `rticles` package is designed to simplify the creation of documents that conform to submission standards. A suite of custom R Markdown templates for popular journals is provided... Understanding of LaTeX is recommended, but not essential, to use this package. R Markdown templates may sometimes inevitably contain LaTeX code, but usually we can use the simpler Markdown and knit syntax to produce elements like figures, tables, and math equations..." (Xie et al., 2018)

The `rticles` package includes templates for the Elsevier and Springer family of journals.

### *3.10 Example: Creating a reproducible data pre-processing protocol*

We will walk through an example of creating a reproducible data pre-processing protocol. As an example, we will use the pre-processing task required for estimating the bacterial load from plating samples from an immunological experiment at serial dilutions, using data from an experiment lead by one of the coauthors. This data pre-processing protocol was created using RMarkdown and allows the efficient, transparent, and reproducible pre-processing of plating data for all experiments in the research group. We will go through how RMarkdown techniques can be applied to develop this type of data pre-processing protocol for a laboratory research group.

**Objectives.** After this module, you should be able to:

- Explain how a reproducible data pre-processing protocol can be developed for a real research project
- Understand how to design and implement a data pre-processing protocol to replace manual or point-and-click data pre-processing tools
- Apply techniques in RMarkdown to develop your own reproducible data pre-processing protocols

#### *3.10.1 Introduction and example data*

In this module, we'll provide advice and an example of how you can use the tools for knitted documents to create a reproducible data preprocessing protocol. This module builds on ideas and techniques that were introduced in the last two modules, to help you put them into practical use for data preprocessing that you do repeatedly for research data in your laboratory.

In this module, we will use an example of a common pre-processing task in immunological research: estimating the bacterial load in samples by plating at different dilutions, identifying a good dilution for counting colony-forming units (CFUs), and then back-calculating the estimated bacterial load in the

original sample based on the colonies counted at this dilution. This experimental technique dates back to the late 1800s, with Robert Koch, and continues to be widely used in microbiology research and applications today (Ben-David and Davidson, 2014). These data are originally from an experiment in one of our authors' laboratory and are also available as example data for an R package called `bactcountr`, currently under development at <https://github.com/aef1004/bactcountr/tree/master/data>.

These data are representative of data often collected in immunological research. For example, you may be testing out some drugs against an infectious bacteria and want to know how successful different drugs are in limiting bacterial load. You run an experiment and have samples from animals treated with different drugs or under control and would then want to know how much viable (i.e., replicating) bacteria are in each of your samples.

You can find out by plating the sample at different dilutions and counting the colony-forming units (CFUs) that are cultured on each plate. You put a sample on a plate with a medium they can grow on and then give them time to grow. The idea is that individual bacteria from the original sample end up randomly around the surface of the plate, and any that are viable (able to reproduce) will form a new colony that, after a while, you'll be able to see.

To get a good estimate of bacterial load from this process, you need to count CFUs on a “countable” plate—one with a “just right” dilution (and you typically won’t know which dilution this is for a sample until after plating). If you have too high of a dilution (i.e., one with very few viable bacteria), randomness will play a big role in the CFU count, and you’ll estimate the original with more variability. If you have too low of a dilution (i.e., one with lots of viable bacteria), it will be difficult to identify separate colonies, and they may compete for resources. To translate from diluted concentration to original concentration, you can then do a back-calculation, incorporating both the number of colonies counted at that dilution and how dilute the sample was. There is therefore some pre-processing required (although it is fairly simple) to prepare the data collected to get an estimate of bacterial load in the original sample. This estimate can then be used in statistical testing and combined with other experimental data to explore questions like whether a candidate vaccine reduces bacterial load.

We will use this example of a common data pre-processing task to show how to create a reproducible pre-processing protocol in this module. If you would like, you can access all the components of the example pre-processing protocol and follow along, re-rendering it yourself on your own computer. The example data are available as a csv file, downloadable here. You can open this file using spreadsheet software, or look at it directly in RStudio. The final pre-processing protocol for these data can also be downloaded, including both the original RMarkdown file and the output PDF document. Throughout this module, we will walk through elements of this document, to provide an example as we explain the process of developing data pre-processing modules

for common tasks in your research group.

This example is intentionally simple, to allow a basic introduction to the process using pre-processing tasks that are familiar to many laboratory-based scientists and easy to explain to anyone who has not used plating experimental work. However, the same general process can also be used to create pre-processing protocols for data that are much larger or more complex or for pre-processing pipelines that are much more involved. For example, this process could be used to create data pre-processing protocols for automated gating of flow cytometry data or for pre-processing data collected through liquid chromatography–mass spectrometry.

### *3.10.2 Advice on designing a pre-processing protocol*

Before you write your protocol in a knitted document, you should decide on the content to include in the protocol. This section provides tips on this design process. In this section, we'll describe some key steps in designing a data pre-processing protocol:

1. Defining input and output data for the protocol;
2. Setting up a project directory for the protocol;
3. Outlining key tasks in pre-processing the input data; and
4. Adding code for pre-processing.

We will illustrate these design steps using the example protocol on pre-processing plating data.

#### **Defining input and output data for the protocol.**

The first step in designing the data pre-processing protocol is to decide on the starting point for the protocol (the data input) and the ending point (the data output). It may make sense to design a separate protocol for each major type of data that you collect in your research laboratory. Your input data for the protocol, under this design, might be the data that is output from a specific type of equipment (e.g., flow cytometer) or from a certain type of sample or measurement (e.g., metabolomics run on a mass spectrometer), even if it is a fairly simple type of data (e.g., CFUs from plating data, as used in the example protocol for this module). For example, say you are working with three types of data for a research experiment: data from a flow cytometer, metabolomics data measured with a mass spectrometer, and bacterial load data measured by plating data and counting colony forming units (CFUs). In this case, you may want to create three pre-processing protocols: one for the flow data, one for the metabolomics data, and one for the CFU data. These protocols are modular and can be re-used with other experiments that use any of these three types of data.

With an example dataset, you can begin to create a pre-processing protocol before you collect any of your own research data for a new experiment. If the format of the initial data is similar to the format you anticipate for your data,

you can create the code and explanations for key steps in your pre-processing for that type of data. Often, you will be able to adapt the RMarkdown document to change it from inputting the example data to inputting your own experimental data with minimal complications, once your data comes in. By thinking through and researching data pre-processing options before the data is collected, you can save time in analyzing and presenting your project results once you've completed the experimental data collection for the project. Further, with an example dataset, you can get a good approximation of the format in which you will output data from the pre-processing steps. This will allow you to begin planning the analysis and visualization that you will use to combine the different types of data from your experiment and use it to investigate important research hypotheses. Again, if data follow standardized formats across steps in your process, it will often be easy to adapt the code in the protocol to input the new dataset that you created, without major changes to the code developed with the example dataset.

While pre-processing protocols for some types of data might be very complex, others might be fairly simple. However, it is still worthwhile to develop a protocol even for simple pre-processing tasks, as it allows you to pass along some of the details of pre-processing the data that might have become "common sense" to longer-tenured members of your research group. For example, the pre-processing tasks in the example protocol are fairly simple. This protocol inputs data collected in a plain-text delimited file (a csv file, in the example). Within the protocol, there are steps to convert initial measurements from plating at different dilutions into an estimate of the bacterial load in each sample. There are also sections in the protocol for exploratory data analysis, to allow for quality assessment and control of the collected data as part of the pre-processing. The output of the protocol is a simple data object (a dataframe, in this example) with the bacterial load for each original sample. These data are now ready to be used in tables and figures in the research report or manuscript, as well as to explore associations with the experimental design details (e.g., comparing bacterial load in treated versus untreated animals) or merged with other types of experimental data (e.g., comparing immune cell populations, as measured with flow cytometry data, with bacterial loads, as measured from plating and counting CFUs).

Once you have identified the input data type to use for the protocol, you should identify an example dataset from your laboratory that you can use to create the protocol. This could be a dataset that you currently need to pre-process, in which case the development of the protocol will serve a second purpose, allowing you to complete this task at the same time. However, you may not have a new set of data of this type that you currently need to pre-process, and in this case you can build your protocol using a dataset from a previous experiment in your laboratory. In this case, you may already have a record of the steps that you used to pre-process the data previously, and these can be helpful as a starting point as you draft the more thorough pre-

processing protocol. You may want to select an example dataset that you have already published or are getting ready to publish, so you won't feel awkward about making the data available for people to practice with. If you don't have an example dataset from your own laboratory, you can explore example datasets that are already available, either as data included with existing R packages or through open repositories, including those hosted through national research institutions like the NIH. In this case, be sure to cite the source of the data and include any available information about the equipment that was used to collect it, including equipment settings used when the data were collected.

For the example protocol for this module, we want to pre-process data that were collected "by hand" by counting CFUs on plates in the laboratory. These counts were recorded in a plain text delimited file (a csv file) using spreadsheet software. The spreadsheet was set up to ensure the data can easily be converted to a "tidy" format, as described in module 2.3. The first few rows of the input data look like this:

```
## # A tibble: 6 x 6
##   group replicate dilution_0 dilution_1 dilution_2 dilution_3
##   <dbl> <chr>      <chr>      <chr>      <dbl>      <dbl>
## 1     2 2-A       26          10          0          0
## 2     2 2-B       TNTC        52          10          5
## 3     2 2-C       0           0           0          0
## 4     3 3-A       0           0           0          0
## 5     3 3-B       TNTC        TNTC        30          10
## 6     3 3-C       0           0           0          0
```

Each row represents the number of bacterial colonies counted after plating a certain sample, where each sample represents one experimental animal and several experimental animals (replicates) were considered for each experimental group. Columns are included with values for the experimental group of the sample (group), the specific ID of the sample within that experimental group (replicate, e.g., 2-A is mouse A in experimental group 2), and the colony-forming units (CFUs) counted at each of several dilutions. If a cell has the value "TNTC", this indicates that CFUs were too numerous to count for that sample at that dilution.

When you have identified the input data type you will use for the protocol, as well as selected an example dataset of this type to use to create the protocol, you can include a section in the protocol that describes these input data, what file format they are in, and how they can be read into R for pre-processing (Figure 3.11).

For the data output, it often makes sense to plan for data in a format that is appropriate for data analysis and for merging with other types of data collected from the experiment. The aim of pre-processing is to get the data from the format in which they were collected into a format that is meaningful for combining with other types of data from the experiment and using in statistical hypothesis

**Data input in final pdf output of the protocol**

**Reading data into R**

```
library(tidyverse)
cfu_data <- read_csv("cfu_data.csv")
head(cfu_data)
```

```
## # A tibble: 6 x 6
##   group replicate dilution_0 dilution_1 dilution_2 dilution_3
##   <dbl> <chr>      <chr>      <dbl>      <dbl>
## 1     2 2-A       26          10          0          0
## 2     2 2-B       TNTC        52          10          5
## 3     2 2-C       0           0           0           0
## 4     3 3-A       0           0           0           0
## 5     3 3-B       TNTC        30          10          0
## 6     3 3-C       0           0           0           0
```

Once you run this command, the data will be available in your R session in the object `cfu_data`. You can see the first few rows by running:

```
head(cfu_data)
```

```
## # A tibble: 6 x 6
##   group replicate dilution_0 dilution_1 dilution_2 dilution_3
##   <dbl> <chr>      <chr>      <dbl>      <dbl>
## 1     2 2-A       26          10          0          0
## 2     2 2-B       TNTC        52          10          5
## 3     2 2-C       0           0           0           0
## 4     3 3-A       0           0           0           0
## 5     3 3-B       TNTC        30          10          0
## 6     3 3-C       0           0           0           0
```

**Associated inputs in the RMarkdown file**

```
## # Reading data into R
```

The data are stored in a comma-separated plain text file called "cfu\_data.csv". They can be read into R using the following code:

```
```{r}
library(tidyverse)
cfu_data <- read_csv("cfu_data.csv")
head(cfu_data)
```

Once you run this command, the data will be available in your R session in the object `cfu_data`. You can see the first few rows by running:

```
```{r}
head(cfu_data)
```
```

testing.

In the example pre-processing protocol, we ultimately output a simple dataset, with one row for each of the original samples. The first few rows of this output data are:

```
## # A tibble: 6 x 3
##   group replicate cfu_in_organ
##   <dbl> <chr>      <dbl>
## 1     2 2-A       260
## 2     2 2-B       2500
## 3     2 2-C        0
## 4     3 3-A        0
## 5     3 3-B       7500
## 6     3 3-C        0
```

For each original sample, an estimate of the CFUs of *Mycobacterium tuberculosis* in the full spleen is given (`cfu_in_organ`). These data can now be merged with other data collected about each animal in the experiment. For example, they could be joined with data that provide measures of the immune cell populations for each animal, to explore if certain immune cells are associated with bacterial load. They could also be joined with experimental information and then used in hypothesis testing. For example, these data could be merged with a table that describes which groups were controls versus which used a certain vaccine, and then a test could be conducted exploring evidence that bacterial loads in animals given a vaccine were lower than in control animals.

#### Setting up a project directory for the protocol

Once you have decided on the input and output data formats, you will next

**Figure 3.11:** Providing details on input data in the pre-processing protocol. Once you have an example data file for the type of data that will be input for the protocol, you can add a section that provides the code to read the data into R. You can also add code that will show the first few rows of the example dataset, as well as a description of the data. This figure shows examples of how these elements can be added to an RMarkdown file for a pre-processing protocol, and the associated elements in the final pdf of the protocol, using the example protocol for this module.

want to set up a file directory for storing all the inputs needed in the protocol. You can include the project files for the protocol in an RStudio Project (see module 2.6) and post this either publicly or privately on GitHub (see modules 2.9–2.11). This creates a “packet” of everything that a reader needs to use to recreate what you did—they can download the whole GitHub repository and will have a nice project directory on their computer with everything they need to try out the protocol.

Part of the design of the protocol involves deciding on the files that should be included in this project directory. Figure 3.12 provides an example of the initial files included in the project directory for the example protocol for this module. The left side of the figure shows the files that are initially included, while the right side shows the files in the project after the code in the protocol is run.

Generally, in the project directory you should include a file with the input example data, in whatever file format you will usually collect this type of data. You will also include an RMarkdown file where the protocol is written. If you are planning to cite articles and other references, you can include a BibTeX file, with the bibliographical information for each source you plan to cite. Finally, if you would like to include photographs or graphics, you can include these image files in the project directory. Often, these will be included together in a subdirectory of the project named something like “figures”.

Once you run the RMarkdown file for the protocol, you will generate additional files in the project. Two typical files you will generate will be the output file for the protocol (in the example, this is output to a pdf file). Usually, the code in the protocol will also result in output data, which is pre-processed through the protocol code and written into a file to be used in further analysis.

| Initial files in project directory   | Final files in project directory  |
|--|---|
|  cfu_data.csv<br> example_bib.bib<br> example_protocol.Rmd<br> figures |  cfu_data.csv<br> example_bib.bib<br> example_protocol.pdf<br> example_protocol.Rmd<br> figures<br> processed_cfu_estimates.csv |

### Outlining key tasks in pre-processing the input data.

The next step is to outline the key tasks that are involved in moving from the data input to the desired data output. For the plating data we are using for our example, the key tasks to be included in the pre-processing protocol are:

1. Read the data into R
2. Explore the data and perform some quality checks
3. Identify a “good” dilution for each sample—one at which you have a countable plate

Figure 3.12: Example of files in the project directory for a data pre-processing protocol. On the left are the files initially included in the project directory for the example protocol for this module. These include a file with the input data (cfu\_data.csv), a BibTeX file with bibliographical information for references (example\_bib.bib), the RMarkdown file for the protocol (example\_protocol.Rmd), and a subdirectory with figures to include in the protocol (figures). On the right is shown the directory after the code in the protocol RMarkdown document is run, which creates an output pdf with the protocol as well as the output data (processed\_cfu\_estimates.csv).

4. Estimate the bacterial load in each original sample based on the CFUs counted at that dilution
5. Output data with the estimated bacterial load for each sample

Once you have this basic design, you can set up the RMarkdown file for the pre-processing protocol to include a separate section for each task, as well as an “Overview” section at the beginning to describe the overall protocol, the data being pre-processed, and the laboratory procedures used to collect those data. In RMarkdown, you can create first-level section headers by putting the text for the header on its own line and beginning that line with #, followed by a space. You should include a blank line before and after the line with this header text. Figure 3.13 shows how this is done in the example protocol for this module, showing how text in the plain text RMarkdown file for the protocol align with section headers in the final pdf output of the protocol.

| Section headers in final pdf output of the protocol | Associated inputs in the Rmarkdown file       |
|---|---|
| Overview  | # Overview                                    |
| Reading data into R                                 | # Reading data into R                         |
| Exploring the data and quality checks               | # Exploring the data and quality checks       |
| Identifying a good dilution for each sample         | # Identifying a good dilution for each sample |
| Estimating bacterial load for each sample           | # Estimating bacterial load for each sample   |
| Final output  | # Final output                                |

#### Adding code for pre-processing.

For many of these steps, you likely have code—or can start drafting the code—required for that step. If you were doing the pre-processing entirely through a code script or interactively, you would exclusively write code for the steps. A good next step, therefore, in designing your pre-protocol is to add in the code for each step to conduct the pre-processing required in each section.

In RMarkdown, you can test this code as you write it. You insert each piece of executable code within a special section, separated from the regular text with special characters, as described in previous modules.

For any pre-processing steps that are straightforward (e.g., calculating the dilution factor in the example module, which requires only simple mathematical

Figure 3.13: Dividing an RMarkdown data pre-processing protocol into sections. This shows an example of creating section headers in a data pre-processing protocol created with RMarkdown, showing section headers in the example pre-protocol for this module.

operations), you can directly write in the code required for the step. For other pre-processing steps, however, the algorithm may be a bit more complex. For example, complex algorithms have been developed for steps like peak identification and alignment that are required when pre-processing data from a mass spectrometer.

For these more complex tasks, you can start to explore available R packages for performing the task. There are thousands of packages available that extend the basic functionality of R, providing code implementations of algorithms in a variety of scientific fields. Many of the R packages relevant for biological data—especially high-throughput biological data—are available through a repository called Bioconductor. These packages are all open-source (so you can explore their code if you want to) and free. You can use vignettes and package manuals for Bioconductor packages to identify the different functions you can use for your pre-processing steps. Once you have identified a function for the task, you can use the helpfile for the function to see how to use it. This help documentation will allow you to determine all of the function's parameters and the choices you can select for each.

You can add each piece of code in the RMarkdown version of the protocol using the standard method for RMarkdown (module [x]). Figure 3.14 shows an example from the example protocol for this module. Here, we are using code to help identify a “good” dilution for counting CFUs for each sample. The code is included in an executable code chunk, and so it will be run each time the protocol is rendered. Code comments are included in the code to provide finer-level details about what the code is doing.

#### Pre-processing code in final pdf output of the protocol

```
Here is the code we used to identify the best dilution level for each sample, based on these criteria:  
cfu_data <- cfu_data %>%  
# For each dilution, calculate how far the CFUs counted on the plate are  
# from 25.  
mutate(diff_from_25 = abs(CFU - 25)) %>%  
# For each original sample (ID-ed by the 'replicate' column), determine  
# first if CFUs are 0 at all dilutions and second which dilution  
# had a CFU count closest to 25. Finally, include a check to see if there  
# are non-zero ties for the sample, in terms of plates with non-zero CFU counts  
# equally close to 25.  
group_by(replicate) %>%  
mutate(all_zeros = all(CFU == 0),  
closest_to_25 = dilution[which.min(diff_from_25)],  
ties_closest_to_25 = sum(diff_from_25 == min(diff_from_25)) > 1)
```

#### Associated inputs in the Rmarkdown file

```
Here is the code we used to identify the best dilution level for each sample,  
based on these criteria:  
```{r}  
cfu_data <- cfu_data %>%  
# For each dilution, calculate how far the CFUs counted on the plate are  
# from 25.  
mutate(diff_from_25 = abs(CFU - 25)) %>%  
# For each original sample (ID-ed by the 'replicate' column), determine  
# first if CFUs are 0 at all dilutions and second which dilution  
# had a CFU count closest to 25. Finally, include a check to see if there  
# are non-zero ties for the sample, in terms of plates with non-zero CFU counts  
# equally close to 25.  
group_by(replicate) %>%  
mutate(all_zeros = all(CFU == 0),  
closest_to_25 = dilution[which.min(diff_from_25)],  
ties_closest_to_25 = sum(diff_from_25 == min(diff_from_25)) > 1)  
```
```

For each step of the protocol, you can also include potential problems that might come up in specific instances of the data you get from future experiments. This can help you adapt the code in the protocol in thoughtful ways as you apply it in the future to new data collected for new studies and projects.

Figure 3.14: Example of including code in a data pre-processing protocol created with RMarkdown. This figure shows how code can be included in the RMarkdown file for a pre-processing protocol (right), and the corresponding output in the final pdf of the protocol (left), for the code to identify a ‘good’ dilution for counting CFUs for each sample. Code comments are included to provide finer-level details on the code.

### 3.10.3 Writing data pre-processing protocols

Now that you have planned out the key components of the pre-processing protocol, you can use RMarkdown’s functionality to flesh it out into a full pre-processing protocol. This gives you the chance to move beyond a simple code script, and instead include more thorough descriptions of what you’re doing at each step and why you’re doing it. You can also include discussions of potential limitations of the approach that you are taking in the pre-processing, as well as areas where other research groups might use a different approach. These details can help when it is time to write the Methods section for the paper describing your results from an experiment using these data. They can also help your research group identify pre-processing choices that might differ from other research groups, which opens the opportunity to perform sensitivity analyses regarding these pre-processing choices and ensure that your final conclusions are robust across multiple reasonable pre-processing approaches.

Protocols are common for wet lab techniques, where they provide a “recipe” that ensures consistency and reproducibility in those processes. Computational tasks, including data pre-processing, can also be standardized through the creation and use of protocol in your research group. While code scripts are becoming more common as a means of recording data pre-processing steps, they are often not as clear as a traditional protocol, in particular in terms of providing a thorough description of what is being done at each step and why it is being done that way. Data pre-processing protocols can provide these more thorough descriptions, and by creating them with RMarkdown or with similar types of “knitted” documents (module [x]), you can combine the executable code used to pre-process the data with extensive documentation. As a further advantage, the creation of these protocols will ensure that your research group has thought carefully about each step of the process, rather than relying on cobbling together bits and pieces of code they’ve found but don’t fully understand. Just as the creation of a research protocol for a clinical trial requires a careful consideration of each step of the ultimate trial (Al-JunDi and SAkkA, 2016), the creation of data pre-processing protocols ensure that each step in the process is carefully considered, and so helps to ensure that each step of this process is conducted as carefully as the steps taken in designing the experiment as a whole and each wet lab technique conducted for the experiment.

“Writing a research proposal is probably one of the most challenging and difficult task as research is a new area for the majority of postgraduates and new researchers. ... Protocol writing allows the researcher to review and critically evaluate the published literature on the interested topic, plan and review the project steps and serves as a guide throughout the investigation.” (Al-JunDi and SAkkA, 2016)

A data-preprocessing protocol, in the sense we use it here, is essentially an annotated recipe for each step in preparing your data from the initial, “raw” state that is output from the laboratory equipment (or collected by hand) to a

state that is useful for answering important research questions. The exact implementation of each step is given in code that can be re-used and adapted with new data of a similar format. However, the code script is often not enough to helpfully understand, share, and collaborate on the process. Instead, it's critical to also include descriptions written by humans and for humans. These annotations can include descriptions of the code and how certain parameters are standardized the algorithms in the code. They can also be used to justify choices, and link them up both with characteristics of the data and equipment for your experiment as well as with scientific principles that underlie the choices. Protocols like this are critical to allow you to standardize the process you use across many samples from one experiment, across different experiments and projects in your research laboratory, and even across different research laboratories.

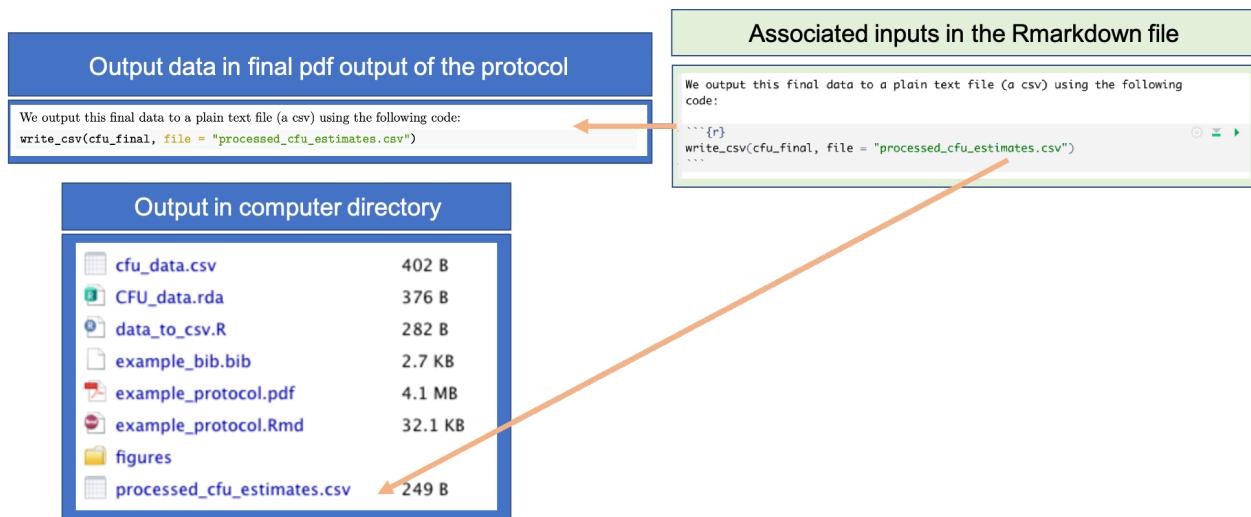
As you begin adding text to your pre-processing protocol, you should keep in mind these general aims. First, a good protocol provides adequate detail that another researcher can fully reproduce the procedure (Al-JunDi and SAkkA, 2016). For a protocol for a trial or wet lab technique, this means that the protocol should allow another researcher to reproduce the process and get results that are *comparable* to your results (Al-JunDi and SAkkA, 2016); for a data pre-processing protocol, the protocol must include adequate details that another researcher, provided they start with the same data, gets *identical* results (short of any pre-processing steps that include some element of sampling or random-number generation, e.g., Monte Carlo methods). This idea—being able to exactly re-create the computational results from an earlier project—is referred to as **computational reproducibility** [ref] and is considered a key component in ensuring that research is fully reproducible [ref].

"It should provide enough detail (methodology) that can allow another investigator to do the study and arrive at comparable conclusions." (Al-JunDi and SAkkA, 2016)

By creating the data pre-processing protocol as a knitted document (module [x]) using a tool like RMarkdown (module [x]), you can ensure that the protocol is computationally reproducible. In an RMarkdown document, you include the code examples as executable code—this means that the code is run every time you render the document. You are therefore "checking" your code every time that you run it. As the last step of your pre-processing protocol, you should output the copy of the pre-processed data that you will use for any further analysis for the project. You can use functions in R to output this to a plain text format, for example a comma-separated delimited file (module [x]). Each time you render the protocol, you will re-write this output file, and so this provides assurance that the code in your protocol can be used to reproduce your output data (since that's how you yourself created that form of the data).

Figure 3.15 provides an example from the example protocol for this module. The RMarkdown file for the protocol includes code to write out the final, pre-processed data to a comma-separated plain text file called "processed\_cfu\_estimates.csv". This code writes the output file into the same

directory where you've saved the RMarkdown file. Each time the RMarkdown file is rendered to create the pdf version of the protocol, the input data will be pre-processed from scratch, using the code throughout the protocol, and this file will be overwritten with the data generated. This guarantees that the code in the protocol can be used by anyone—you or other researchers—to reproduce the final data from the protocol, and so guarantees that these data are computationally reproducible.



In your data pre-processing protocol, show the code that you use to implement this choice and also explain clearly in the text why you made this choice and what alternatives should be considered if data characteristics are different. Write this as if you are explaining to a new research group member (or your future self) how to think about this step in the pre-processing, why you're doing it the way you're doing it, and what code is used to do it that way. You should also include references that justify choices when they are available—include these using BibTeX. By doing this, you will make it much easier on yourself when you write the Methods section of papers that report on the data you have pre-processed, as you'll already have draft information on your pre-processing methods in your protocol.

Good protocols include not only *how* (for data pre-processing protocols, this is the code), but also *why* each step is taken. This includes both higher-level (i.e., what a larger question is being asked) and also at a fine level, for each step in the process. A protocol should include some background, the aims of the work, hypotheses to be tested, materials and methods, methods of data collection and equipment to analyze samples (Al-JunDi and SAkkA, 2016) (This reference is discussing full protocols for a study, e.g., a clinical trial, so includes more steps than just pre-processing.)

This step of documentation and explanation is very important to creating a

Figure 3.15: Example of using code in pre-processing protocol to output the final, pre-processed data that will be used in further analysis for the research project. This example comes from the example protocol for this module, showing both the executable code included in the RMarkdown file for the protocol (right) and how this code is included in the final pdf of the protocol. Outputting the pre-processed data into a plain text file as the last step of the protocol helps ensure computational reproducibility for this step of working with experimental data.

useful data pre-processing protocol. Yes, the code itself allows someone else to replicate what you did. However, only those who are very, very familiar with the software program, including any of the extension packages you include, can “read” the code directly to understand what it’s doing. Further, even if you understand the code very well when you create it, it is unlikely that you will stay at that same level of comprehension in the future, as other tasks and challenges take over that brain space. Explaining for humans, in text that augments and accompanies the code, is also important because function names and parameter names in code often are not easy to decipher. While excellent programmers can sometimes create functions with clear and transparent names, easy to translate to determine the task each is doing, this is difficult in software development and is rare in practice. Human annotations, written by and for humans, are critical to ensure that the steps will be clear to you and others in the future when you revisit what was done with this data and what you plan to do with future data.

The process of writing a protocol in this way forces you to think about each step in the process, why you do it a certain way (include parameters you choose for certain functions in a pipeline of code), and include justifications from the literature for this reasoning. If done well, it should allow you to quickly and thoroughly write the associated sections of Methods in research reports and manuscripts and help you answer questions and challenges from reviewers. Writing the protocol will also help you identify steps for which you are uncertain how to proceed and what choices to make in customizing an analysis for your research data. These are areas where you can search more deeply in the literature to understand implications of certain choices and, if needed, contact the researchers who developed and maintained associated software packages to get advice.

For example, the example protocol for this module explains how to pre-process data collected from counting CFUs after plating serial dilutions of samples. One of the steps of pre-processing is to identify a dilution for each sample at which you have a “countable” plate. The protocol includes an explanation of why it is important to identify the dilution for a countable plate and also gives the rules that are used to pick a dilution for each sample, before including the code that implements those rules. This allows the protocol to provide research group members with the logic behind the pre-processing, so that they can adapt if needed in future experiments. For example, the count range of CFUs used for the protocol to find a good dilution is about a quarter of the typically suggested range for this process, and this is because this experiment plated each sample on a quarter of a plate, rather than using the full plate. By explaining this reasoning, in the future the protocol could be adapted when using a full plate rather than a quarter of a plate for each sample.

One tool in Rmarkdown that is helpful for this process is its built-in referencing system. In the previous module, we showed how you can include bibliographical references in an Rmarkdown file. When you write a protocol

within RMarkdown, you can include references in this way to provide background and support as you explain why you are conducting each step of the pre-processing. Figure 3.16 shows an example of the elements you use to do this, showing each element in the example protocol for this module.

### Referencing in final pdf output of the protocol

We typically estimate bacterial load in an animal organ using the **plate count method** with **serial dilutions**. Serial dilutions allow you to create a highly diluted sample without needing a massive amount of diluent, as you increase the dilution one step at a time, steadily bringing the samples down to lower bacterial loads per volume through increased, step-by-step dilutions. This method is common across laboratories that study tuberculosis drug efficacy as a method for estimating bacterial load in animal organs (Franzblau et al. 2012) and is a well-established method across microbiology in general, dating back to Koch in the late 1800s (Wilson 1922; Ben-David and Davidson 2014).

### References

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- . 1935. "The Bacteriological Grading of Milk." *The Bacteriological Grading of Milk*, no. 206.

### Associated inputs in the Rmarkdown file

```
---
title: "Protocol: Estimating bacterial loads from plating samples at different dilutions"
author: "Henao-Tomoya Research Laboratory"
date: "Last edited: `r Sys.Date()`"
output: pdf_document
bibliography: example_bib.bib
---
```

We typically estimate bacterial load in an animal organ using the \*\*plate count method\*\* with \*\*"serial dilutions"\*\*. Serial dilutions allow you to create a highly diluted sample without needing a massive amount of diluent, as you increase the dilution one step at a time, steadily bringing the samples down to lower bacterial loads per volume through increased, step-by-step dilutions. This method is common across laboratories that study tuberculosis drug efficacy as a method for estimating bacterial load in animal organs [#franzblau2012comprehensive] and is a well-established method across microbiology in general, dating back to Koch in the late 1800s [#Wilson1922portion; @ben2014estimation].

```
## References
```

### Associated inputs in the Bibtex file

```
@article{franzblau2012comprehensive,
  title={Comprehensive analysis of methods used for the evaluation of compounds against Mycobacterium tuberculosis},
  author={Franzblau, Scott G and DeGroote, Mary Ann and Cho, Sang Hyun and Andries, Koen and Nuermberger, Eric and Orme, Ian M and Mduli, Khismuzi and Angulo, Beatriz and Iñigo and Dick, Thomas and Dartois, Veronique and others},
  journal={Tuberculosis (Edinb)},
  volume={92},
  number={6},
  pages={453–488},
  year={2012},
  publisher={Elsevier}}
```

Other helpful tools in RMarkdown are tools for creating equations and tables. As described in the previous module, RMarkdown includes a number of formatting tools. You can create simple tables through basic formatting, or more complex tables using add-on packages like `kableExtra`. Math can be typeset using conventions developed in the LaTeX mark-up language. The previous module provided advice and links to resources on using these types of tools. Figure 3.17 gives an example of them in use within the example protocol for this module.

You can also include figures, either figures created in R or outside figure files. Any figures that are created by code in the RMarkdown document will automatically be included in the protocol. For other graphics, you can include image files (e.g., png and jpeg files) using the `include_graphics` function from the `knitr` package. You can use options in the code chunk options to specify the size of the figure in the document and to include a figure caption. The figures will be automatically numbered in the order they appear in the protocol.

Figure 3.18 shows an example of how external figure files were included in the example protocol. In this case, the functionality allowed us to include an overview graphic that we created in PowerPoint and saved as an image as well as a photograph taken by a member of our research group.

**Figure 3.16:** Including references in a data pre-processing protocol created with RMarkdown. RMarkdown has a built-in referencing system that you can use, based on the BibTeX system for LaTeX. This figure shows examples from the example protocol for this module of the elements used for referencing. You create a BibTeX file with information about each reference, and then use the key for the reference within the text to cite that reference. All cited references will be printed at the end of the document; you can chose the header that you want for this reference section in the RMarkdown file ('References' in this example). In the YAML of the RMarkdown file, you specify the path to the BibTeX file (with the 'bibliography:' key), so it can be linked in when the RMarkdown file is rendered.

| Equations and tables in pdf output  |                         |                  | Associated inputs in the Rmarkdown file |                         |                  |   |           |   |   |           |               |   |            |                |   |             |                 |   |  |  |
|---|-------------------------|------------------|---|-------------------------|------------------|---|-----------|---|---|-----------|---------------|---|------------|----------------|---|-------------|-----------------|---|--|--|
| <p>These following general equations apply for determining the total dilution in any of the tubes:</p> $\text{Dilution factor in tube} = 5^x$ $\text{Dilution in tube} = \frac{1}{5^x}$ <p>where <math>x</math> is the dilution level in the tube.</p> <p>As you move through the levels of dilution, each level will become diluted by an additional factor of 5 compared to the homogenate in the first tube (Figure 1):</p> <table border="1" style="margin-left: auto; margin-right: auto; border-collapse: collapse; text-align: center;"> <thead> <tr> <th>Dilution level</th> <th>Dilution factor in tube</th> <th>Dilution in tube</th> </tr> </thead> <tbody> <tr> <td>0</td> <td><math>5^0 = 1</math></td> <td>1</td> </tr> <tr> <td>1</td> <td><math>5^1 = 5</math></td> <td><math>\frac{1}{5}</math></td> </tr> <tr> <td>2</td> <td><math>5^2 = 25</math></td> <td><math>\frac{1}{25}</math></td> </tr> <tr> <td>3</td> <td><math>5^3 = 125</math></td> <td><math>\frac{1}{125}</math></td> </tr> </tbody> </table> |                         |                  | Dilution level                          | Dilution factor in tube | Dilution in tube | 0 | $5^0 = 1$ | 1 | 1 | $5^1 = 5$ | $\frac{1}{5}$ | 2 | $5^2 = 25$ | $\frac{1}{25}$ | 3 | $5^3 = 125$ | $\frac{1}{125}$ | <p>These following general equations apply for determining the total dilution in any of the tubes:</p> <pre>\$\dfrac{\text{Dilution factor in tube}}{5^x} = 5^x\$</pre> <pre>\$\dfrac{\text{Dilution in tube}}{1} = \dfrac{1}{5^x}\$</pre> <p>where <math>x</math> is the dilution level in the tube.</p> <p>As you move through the levels of dilution, each level will become diluted by an additional factor of 5 compared to the homogenate in the first tube shown in Figure 1:</p> <pre>for i in 0:3:     print(f'Dilution level {i} Dilution factor in tube {5^i} Dilution in tube {1/(5^i)}')     print(f'0   {5^0} = 1   \$1\$')     print(f'1   {5^1} = 5   \${1}/{5}\$')     print(f'2   {5^2} = 25   \${1}/{25}\$')     print(f'3   {5^3} = 125   \${1}/{125}\$')</pre> |  |  |
| Dilution level  | Dilution factor in tube | Dilution in tube |   |                         |                  |   |           |   |   |           |               |   |            |                |   |             |                 |   |  |  |
| 0   | $5^0 = 1$               | 1                |   |                         |                  |   |           |   |   |           |               |   |            |                |   |             |                 |   |  |  |
| 1   | $5^1 = 5$               | $\frac{1}{5}$    |   |                         |                  |   |           |   |   |           |               |   |            |                |   |             |                 |   |  |  |
| 2   | $5^2 = 25$              | $\frac{1}{25}$   |   |                         |                  |   |           |   |   |           |               |   |            |                |   |             |                 |   |  |  |
| 3   | $5^3 = 125$             | $\frac{1}{125}$  |   |                         |                  |   |           |   |   |           |               |   |            |                |   |             |                 |   |  |  |

Figure 3.17: Example of including tables and equations in an RMarkdown data pre-processing protocol.

| Figures in output pdf  |  | Associated inputs in the Rmarkdown file  |  |  |  |
|--|--|--|--|--|--|
| <p>Figure 1: Visual overview of the dilution and plating process for this experiment. For each animal, half the spleen was homogenized in 500 microliters phosphate buffer saline (PBS) for plating ('Homogenate' tube in graphic). Three serial dilutions were created by resuspending 100 microliters from the homogenate or previous dilution in 400 microliters PBS ('Level 1 dilution', 'Level 2 dilution' and 'Level 3 dilution' tubes in graphic). From each tube, 100 microliters were plated in one quarter of a 7H11 agar plate (circle at bottom of graphic). After 3–5 weeks of incubation at 37°C, colony-forming units were counted from each quarter of the plate and recorded. These are the input data for this protocol.</p> |  | <pre>```{r platingexample, echo = FALSE, out.width = "\textwidth", fig.cap = "Visual overview of the dilution and plating process for this experiment. For each animal, half the spleen was homogenized in 500 microliters phosphate buffer saline (PBS) for plating ('Homogenate' tube in graphic). Three serial dilutions were created by resuspending 100 microliters from the homogenate or previous dilution in 400 microliters PBS ('Level 1 dilution', 'Level 2 dilution' and 'Level 3 dilution' tubes in graphic). From each tube, 100 microliters were plated in one quarter of a 7H11 agar plate (circle at bottom of graphic). After 3–5 weeks of incubation at 37°C, colony-forming units were counted from each quarter of the plate and recorded. These are the input data for this protocol."} knitr::include_graphics("figures/protocol_graphic.png")``` ````{r platingexample2, echo = FALSE, out.width = "\textwidth", fig.cap = "Example of a plate from this process. Each plate is divided into quarters, with a single sample (i.e., from a specific tube shown in Figure 1) spread in each quarter of the plate. The shows the plate after enough time has passed following plating for colony forming units (CFUs) to grow. In this example, CFUs can easily be counted in the bottom two quadrants of the plate, but may be too numerous to count in the top two quadrants."} knitr::include_graphics("figures/bacteria_plate.JPG")``` ````</pre> |  |  |  |
| <p>Figure 2: Example of a plate from this process. Each plate is divided into quarters, with a single sample (i.e., from a specific tube shown in Figure 1) spread in each quarter of the plate. The shows the plate after enough time has passed following plating for colony forming units (CFUs) to grow. In this example, CFUs can easily be counted in the bottom two quadrants of the plate, but may be too numerous to count in the top two quadrants.</p>  |  | <h3>Figure files in Project directory</h3> <table border="1" style="width: 100%; border-collapse: collapse; background-color: black; color: white;"> <tr> <td style="padding: 5px;">         cfu_data.csv<br/>         R CFU_data.rda<br/>         data_to_csv.R<br/>         example_bib.bib<br/>         example_protocol.pdf<br/>         example_protocol.Rmd<br/> <b>figures</b><br/>         processed...stimates.csv       </td> <td style="padding: 5px;">         bacteria_plate.JPG<br/>         protocol_graphic.png       </td> </tr> </table>   |  | cfu_data.csv<br>R CFU_data.rda<br>data_to_csv.R<br>example_bib.bib<br>example_protocol.pdf<br>example_protocol.Rmd<br><b>figures</b><br>processed...stimates.csv | bacteria_plate.JPG<br>protocol_graphic.png |
| cfu_data.csv<br>R CFU_data.rda<br>data_to_csv.R<br>example_bib.bib<br>example_protocol.pdf<br>example_protocol.Rmd<br><b>figures</b><br>processed...stimates.csv   | bacteria_plate.JPG<br>protocol_graphic.png |  |  |  |  |

Figure 3.18: Example of including figures from image files in an RMarkdown data pre-processing protocol.

Finally, you can try out even more complex functionality for RMarkdown as you continue to build data pre-processing protocols for your research group. Figure 3.19 shows an example of using R code within the YAML of the example protocol for this module; this allows us to include a “Last edited” date that is updated with the day’s date each time the protocol is re-rendered.

| Use of date in final pdf output  | Associated inputs in the Rmarkdown file  |
|--|--|
| <p>Protocol: Estimating bacterial loads from plating samples at different dilutions</p> <p>Henao-Tomayo Research Laboratory</p> <p>Last edited: 2021-04-02</p> | <pre>--- title: "Protocol: Estimating bacterial loads from plating samples at different dilutions" author: "Henao-Tomayo Research Laboratory" date: "Last edited: `r Sys.Date()`" output: pdf_document bibliography: example_bib.bib ---</pre> |

#### 3.10.4 Practice quiz

Figure 3.19: Example of using more advanced RMarkdown functionality within a data pre-processing protocol. In this example, R code is incorporated into the YAML of the document to include the date that the document was last rendered, marking this on the pdf output as the \*Last edited\* date of the protocol.



4

## *References*



# 5

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