

Explicit Scale Simulation for analysis of RNA-sequencing count data with ALDEx2

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Abstract

In high-throughput sequencing (HTS) studies, sample-to-sample variation in sequencing depth is driven by technical factors, and not by variation in the scale (size) of the biological system. Typically a statistical normalization removes unwanted technical variation in the data or the parameters of the model to enable differential abundance analyses. We recently showed that all normalizations make implicit assumptions about the unmeasured system scale and that errors in these assumptions can dramatically increase false positive and false negative rates. We demonstrated that these errors can be mitigated by accounting for uncertainty using a *scale model*, which we integrated into the ALDEx2 R package. This article provides new insights focusing on the application to transcriptomic analysis. We provide transcriptomic case studies demonstrating how scale models, rather than traditional normalizations, can reduce false positive and false negative rates in practice while enhancing the transparency and reproducibility of analyses. These scale models replace the need for dual cutoff approaches often used to address the disconnect between practical and statistical significance. We demonstrate the utility of scale models built based on known housekeeping genes in complex metatranscriptomic datasets. Thus this work provides guidance on how to incorporate scale into transcriptomic data sets.

Introduction

- 1 High-throughput sequencing (HTS) is a ubiquitous tool used to explore many biological phenomenon such
2 as gene expression (single-cell sequencing, RNA-sequencing, meta-transcriptomics), microbial community
3 composition (16S rRNA gene sequencing, shotgun metagenomics) and differential enzyme activity (selex,
4 CRISPR killing). HTS proceeds by taking a sample from the environment, making a library, multiplexing
5 (merging) multiple libraries together, and then applying a sample of the multiplexed library to a flow cell. Each
6 of these steps is a compositional sampling step as only a fixed-size subsample of nucleic acid is carried over to
7 subsequent steps. Thus, with each sampling step the connection between the actual number of molecules in
8 the sampled DNA pool and the environmental scale (e.g., total number of molecules, microbial load, or total
9 gene expression) of the measured biological system is degraded or lost. In the end, the information contained
10 in the data relates only to relative abundances and has an arbitrary scale imposed by the sequencing process
11 (1–3).
- 12 The analysis of HTS data suffers from several known problems that can be traced, in whole or in part, to
13 misspecification of scale in the output data. The first issue is poor control of the false discovery rate (FDR)
14 (4–8), exhibited as dataset-dependent FDR control which is observed as a disconnect between statistical and
15 biological significance (8, 9). In current practice, this issue is addressed by a dual-filtering method, whereby
16 both a low p-value (or equivalently a low q-value following FDR correction (10)) and a large difference between

17 groups is used to identify transcripts or genes of interest for follow-up analysis (9, 11). This double-filtering
18 approach is graphically exemplified by the volcano plot (11), but is known to not appropriately control
19 the FDR (12, 13). Since there is no standard way of determining what fold-change cutoff should be used
20 researchers have unlimited degrees of freedom which is known to lead to unreliable inference (14). In particular
21 Li et al. (8) used patient or clinical-derived transcriptome datasets and found that many methods suffer from
22 an extremely high false positive rate. The second issue is poor performance when analyzing data where the
23 mean change between groups is non-zero (3). Such asymmetric data can arise when a gene set is expressed in
24 one group but not the other, or when one group contains different gene content from the other. This type of
25 data frequently arises in in-vitro selection experiments (SELEX), transcriptome analysis, and microbiome
26 analysis (15). The third issue is that the actual scale of the environment is often a major confounding variable
27 during analysis (3, 16). This has long been known in transcriptome analysis and was a major driver for
28 the development of normalization factors (17) and the use of molecular spike-ins to provide a reference set
29 of known counts (18–21) to estimate scale. While often useful, spike-in methods only provide information
30 downstream of the step in the sample preparation protocol where the intervention was made and introduce
31 an additional source of variation that must be accounted for (19). In the microbiome field, a recent landmark
32 paper showed that biological scale was a major unacknowledged confounder in many human analyses (16).
33 These authors built a machine learning model to uncover the biological variation in scale and including this
34 information was useful despite exhibiting only a modest correlation (estimated to be 0.6) with the scale of
35 data external to the training set (16). The final issue is that all the above problems become more pronounced
36 as more samples are collected; that is, more information results in optimizing for a precise but inaccurate
37 analysis (3, 8, 22).

38 The four problems were recently shown by Nixon et al. (3) to be a result of a mismatch between the underlying
39 size or scale of the system and the assumptions of the normalizations used for the analysis of HTS. Biological
40 variation in scale often represents an important unmeasured confounder in HTS analyses (15, 16, 19, 23). For
41 example, cells transformed by the cMyc oncogene have about 3 times the amount of mRNA and about twice
42 the rRNA content than non-transformed cells (24), and this dramatically skews transcriptome analysis unless
43 spike-in approaches are used (19). In addition, wild-type and mutant strains of cell lines, yeast or bacteria
44 have different growth rates and RNA contents under different conditions, which affect our ability to identify
45 truly differentially abundant genes (25–27). As another example, the total bacterial load of the vaginal
46 microbiome differs by 1-2 orders of magnitude in absolute abundance between the healthy and bacterial
47 vaginosis states (28), and the cell and RNA composition between these states is dramatically different (29,
48 30). Thus, a full description of any of these systems includes both relative change (composition) and absolute
49 abundance (scale). Current methods access only the compositional information yet make implicit assumptions
50 about the scale (22).

51 Nixon et al. (3) showed that the challenge of non-biological variation in sequencing depth could be explained
52 as a problem of partially-identified models. They showed that *all* normalizations make some assumption about
53 scale but these implicit assumptions are often inappropriate and difficult to interpret. As a result, different
54 normalizations provide different outputs when applied to the same dataset (4, 6, 17, 31, 32). Intuitively,
55 normalizations in widespread use assume that either all samples have the same scale, e.g. proportions,
56 rarefaction (33), RPKM (34, 35), etc; or that a subset of features in one sample can be chosen as a reference
57 to which the others are scaled e.g. the TMM (36), the LVHA (15) qPCR (37), the additive log-ratio (38);
58 or that different sub-parts of each sample maintain a constant scale across samples e.g. the RLE (39); or
59 that the geometric mean of the parts is appropriate e.g. the CLR (40) and its derivatives. Notably when the
60 assumption of similar scale across samples is not violated, or violated only weakly, any method will provide a
61 reasonable analysis. The problem arises when this assumption is violated, in which case all tools fail without
62 warning.

63 The original scale-naive ALDEx2 (41) model unwittingly made a strict assumption about scale through
64 the CLR normalization and we found that the CLR was very sensitive to violations of the assumption
65 of scale identity between groups (15). Moreover, when the assumption of identity was not true the CLR
66 used by ALDEx2 could be outperformed by other normalizations in simulation studies (42). As illustrated
67 graphically in Figure 1, Nixon et al. (3) showed through simulation that introducing uncertainty in the scale
68 assumptions, and in extreme cases altering the location of the scale assumption, resulted in more reproducible

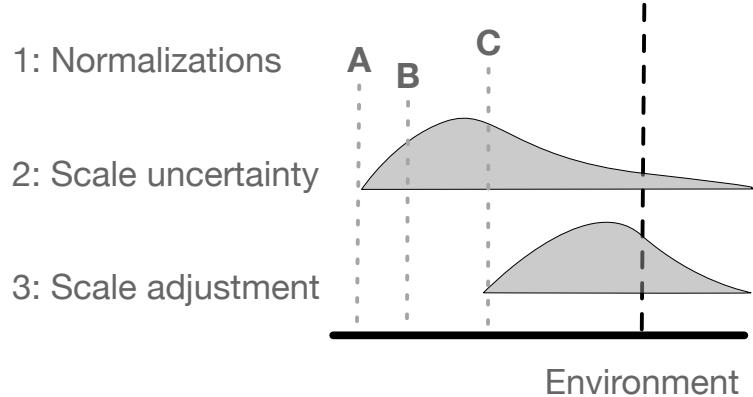


Figure 1: Mismatches between estimated scale and true scale lead to poor estimation of high throughput sequencing data. All normalizations used for differential abundance analysis make some strict assumption about the scale of the environment as shown in line 1. In this example all normalizations produce a biased estimate of the environmental scale, but estimate C is the closest to the truth. Adding uncertainty to normalization C as represented by the distribution in the line 2 leads to less bias and now includes the actual environmental scale in the assumption. As shown in line 3 in some cases it may be useful to adjust the centre of the scale uncertainty estimate if the initial normalizations give very poor estimates of the underlying environment.

69 data analysis including better control of both false positive and false negative results. We modified ALDEx2
 70 to explicitly model uncertainty in scale over a range of reasonable normalization parameters, and showed
 71 significant improvements in performance in microbiome and in-vitro selection experiments (22) and in a
 72 vaginal metatranscriptome analysis (43). Here, we briefly review these modifications and show how adding
 73 scale uncertainty can greatly improve modeling in transcriptome and meta-transcriptome datasets to provide
 74 substantially more robust and reproducible results.

75 Methods

76 Formal and expanded descriptions of the concepts that follow are given in (3, 22). To be concrete, we let \mathbf{Y}
 77 denote the *measured* $D \times N$ matrix of sequence counts with elements \mathbf{Y}_{dn} indicating the number of measured
 78 DNA molecules mapping to feature d (e.g., a taxon, transcript or gene) in sample n . Likewise, we can denote
 79 \mathbf{W}_{dn} as the *true* amount of class d in the biological system from which sample n was obtained. We can think
 80 of \mathbf{W} as consisting of two parts, the scale \mathbf{W}^{Tot} (e.g., totals) and the composition \mathbf{W}^{Comp} (i.e., proportions).
 81 That is, \mathbf{W}^{Tot} is a N -vector with elements $\mathbf{W}_n^{Tot} = \sum_d \mathbf{W}_{dn}$ while \mathbf{W}^{Comp} is a $D \times N$ matrix with elements
 82 $\mathbf{W}_{dn}^{Comp} = \mathbf{W}_{dn}/\mathbf{W}_n^{Tot}$. Note that with these definitions \mathbf{W} can be written as the element-wise combination
 83 of scale and composition: $\mathbf{W}_{dn} = \mathbf{W}_{dn}^{Comp}\mathbf{W}_n^{Tot}$, or as the logarithm $\log \mathbf{W}_{dn} = \log \mathbf{W}_{dn}^{Comp} + \log \mathbf{W}_n^{Tot}$.
 84 Many of the normalizations used in tools such as DESeq2 (44), edgeR (36), metagenomeSeq (45) ALDEx2
 85 (46) can be stated as ratios of the form $\hat{\mathbf{W}}_{dn} \approx \mathbf{Y}_{dn}/f(\mathbf{Y})$, where the denominator is determined by some
 86 function of the observation. We use the hat notation ($\hat{\cdot}$) to indicate that the output is an estimate of the true
 87 value. The technical variation in sequencing depth, which is often called “library size” has no relationship
 88 with the actual number of molecules in the sampled environment (1). In other words ($\mathbf{Y}_n^{Tot} = \sum_d \mathbf{Y}_{dn}$)
 89 the observed data \mathbf{Y} provides us with information about the system composition \mathbf{W}^{Comp} but little to no
 90 information in the system scale \mathbf{W}^{Tot} (Lovell et al. 2011).

91 Adding Scale Uncertainty in ALDEx2

92 The ALDEx2 R package (41, 46) is a general purpose toolbox to model the uncertainty of HTS data and
 93 to use that model to estimate the significance of the underlying LFC (log-fold change). At a high-level,
 94 ALDEx2 has three connected components to estimate the uncertainty inherent in HTS datasets. First, the

95 tool accounts for the uncertainty of the sequencing counts using Dirichlet multinomial sampling to build
96 a probabilistic model of the data; i.e., $\hat{\mathbf{W}}^{Comp} \approx \text{Dir}(\mathbf{Y})$. Secondly, ALDEx2 uses the centred log-ratio
97 transformation to scale the data (41). It was this step that was modified to account for scale uncertainty and
98 misspecification (22) explained with more details in (3, 22) and summarized in the next paragraph. Finally, a
99 standard null-hypothesis test and a non-parametric estimate of mean standardized difference are used to
100 report on the finite sample variation. These sources of uncertainty and variation are combined via reporting
101 the expected values from a Monte-Carlo simulation framework. For simplicity, we use the term ‘difference’ to
102 refer to the absolute difference between groups, and ‘dispersion’ to refer to the within-condition difference or
103 pooled variance as defined in (41). These are calculated on a \log_2 scale. For more details on ALDEx2 see (3,
104 22, 41, 46).

105 Scale models were incorporated into ALDEx2, turning the ALDEx2 model into a specialized type of statistical
106 model which Nixon et al. (3) term a *Scale Simulation Random Variable* (SSRV). To do this, Nixon et al.
107 (3) generalized the concept of normalizations by introducing the concept of a *scale model* to account for
108 potential error in the centred log-ratio normalization step. They did this by including a model for $\hat{\mathbf{W}}_n^{Tot}$.
109 The CLR normalization used by ALDEx2 makes the assumption $\hat{\mathbf{W}}_n^{Tot} = 1/G_n$, where G_n is the geometric
110 mean of the counts (or the corresponding proportions) of each part in sample n, which while being a random
111 variable, is essentially constant across each Monte-Carlo replicate, but that differs between samples. With
112 this modification, ALDEx2 can be generalized by considering probability models for the scale $\hat{\mathbf{W}}_n^{Tot}$ that
113 have mean $1/G_n$. For example, the following scale model generalizes the CLR:

$$\log \hat{\mathbf{W}}_n^{Tot} = -\log G_n + \Lambda x_n \quad \Lambda \sim N(\mu, \gamma^2).$$

114 This formulation is quite flexible (3, 22). In the simple or ‘default’ configuration, $\mu = 0$ and γ is a tunable
115 parameter drawn from a log-Normal distribution (3). Adding scale uncertainty with the γ parameter (as
116 shown in Figure 1:1) controls only the degree of uncertainty of the CLR assumption for the x_n binary
117 condition indicator (e.g., $x_n = 1$ denotes case and $x_n = 0$ denotes control). In the advanced or ‘informed’
118 configuration, μ takes different values for each group and controls the location of the LFC assumption (as
119 shown in Figure 1:2); combining μ with a γ estimate allows for uncertainty in both the location and the
120 scale. In the manuscript where the idea of scale was originally derived, Nixon et al. (3) conducted extensive
121 simulations showing that both the default and informed approaches exhibit increased sensitivity and specificity
122 (22). In this report we show that these approaches also work well to control the FDR in transcriptome and
123 metatranscriptome datasets. We also provide some additional insights into how this is achieved. These
124 modifications are instantiated in ALDEx2 which is the first software package designed for SSRV-based
125 inference.

126 Results

127 Adding scale uncertainty replaces the need for dual significance cutoffs.

128 Gierliński et al. (47) generated a highly replicated yeast transcriptome dataset to compare gene expression
129 between a wild-type strain and a snf2 gene knockout, Δ snf2. This dataset of 86 samples (44 and 42 per group)
130 is an example of technical growth replicate experiments common in the literature. The dataset was used to
131 test several RNA-seq tools for their power to detect the set of differentially abundant transcripts identified in
132 the full dataset when the data was subset (9). In this original study each tool had its own ‘gold standard’
133 set of transcripts with different tools identifying between 65% to >80% of all transcripts as being
134 significantly different. Since the majority of transcripts were significantly different, the authors suggested
135 that it was more appropriate to apply a dual cutoff composed of both a Benjamini-Hochberg (48) corrected
136 p-value (q-value) plus a difference cutoff to limit the number of identified transcripts to a much smaller
137 fraction of the total. In other datasets, Nixon et al. (22) showed that adding even a small amount of scale
138 uncertainty with ALDEx2 dramatically reduced the number of significant transcripts identified, removing the
139 need for the dual cutoff approach in this dataset and others.

140 We start with the assumption that not all statistically significant differences are biologically relevant (49), and

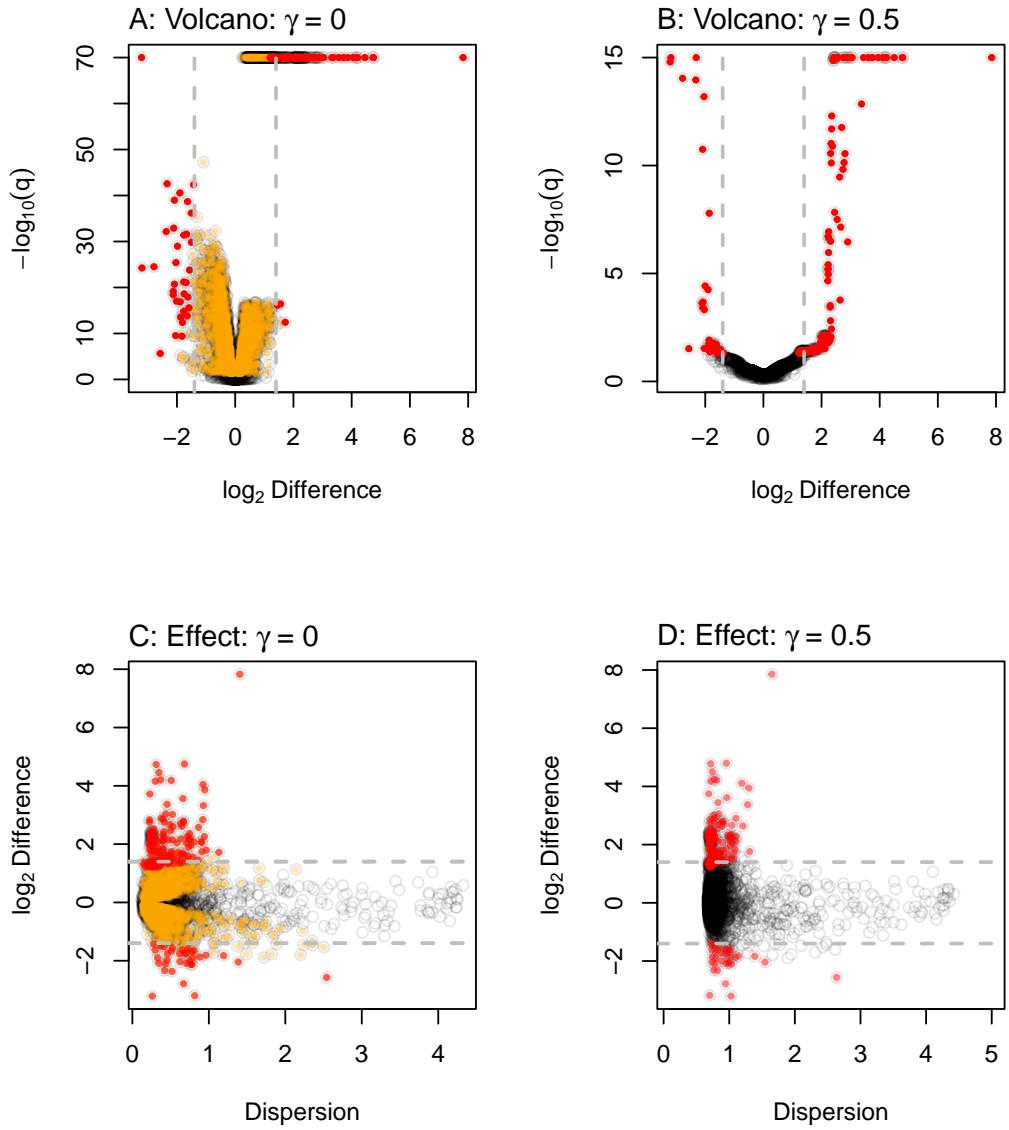


Figure 2: Volcano and effect plots for unscaled and scaled transcriptome analysis. ALDEX2 was used to conduct a differential expression (DE) analysis on the yeast transcriptome dataset. The results were plotted to show the relationship between difference and dispersion using effect plots or difference and the q-values using volcano plots. Panels A,C are for the naive analyses, and Panels B,D are for the default analyses that include scale uncertainty. Each point represents the values for one transcript, with the color indicating if that transcript was significant in the both analyses (red) or in the naive analysis only (orange). Points in grey are not statistically significantly different under any condition. The horizontal dashed lines represent a \log_2 difference of ± 1.4 .

141 that a result where the majority of transcripts are significant breaks the necessary assumption for DA/DE
142 expression that most parts be invariant (31). Transcriptomic analysis commonly uses a dual cutoff approach
143 graphically exemplified by volcano plots (9, 11). Using either DESeq2 or ALDEx2, a majority of transcripts
144 are statistically significantly different between groups with a q-value cutoff of ≤ 0.05 ; i.e. 4636 (79%, DESeq2)
145 or 4172 (71%, ALDEx2) of the 5891 transcripts. These values are in line with those observed by (9). Such
146 large numbers of statistically significant transcripts seems biologically unrealistic. That 118 transcripts are
147 identified by ALDEx2 and not DESeq2, while DESeq2 identifies 582 transcripts that ALDEx2 does not,
148 suggests that the choice of normalization plays a role in which results are returned as significant and that
149 some, if not the majority, are driven by technical differences in the analysis (8, 31) or are false positives.

150 The Volcano plots in Figure 2 A and B show that adding scale uncertainty increases the minimum q-value
151 and increases the concordance between the q-value and the difference between groups (compare panels A and
152 B). The effect plots (50) in Figure 2C shows that the majority of significant transcripts (red, orange) have
153 negligible differences between groups and very low dispersion. We suggest that this low dispersion is driven
154 by the experimental design which is actually a technical wet lab replication rather than a true biological
155 replication design (47). Scale uncertainty can be incorporated using the `gamma` parameter that controls the
156 amount of noise added to the CLR mean assumption when we call either `aldex()`, or `aldex.clr()`. Figure
157 2 B,D shows that setting $\gamma = 0.5$ now results in 205 which is far fewer statistically significant transcripts
158 than in the naive analysis and we observe that the minimum dispersion increases from 0.12 ($\gamma = 0$) to 0.67
159 ($\gamma = 0.5$).

160 It is common practice to use a dual-cutoff by choosing transcripts based on a thresholds for both q-values
161 and fold-changes (9), and these were first proposed for microarray experiments through volcano plots (11).
162 Note that there is considerable variation in recommended cutoff values (9), and that this controversy has
163 persisted ever since fold-change was suggested (51). Unfortunately, universal cutoff fold-change values cannot
164 be identified in part because different tools have intrinsically different variance in their log₂-fold change
165 ranges (52). This has led to the widespread practice of applying a post-hoc fold-change cutoff to reduce the
166 number of positive identifications to a manageable proportion of the whole dataset. Here, we applied the
167 dual-cutoff method using a fold-change of at least a $2^{1.4}$ fold change that reduces the number of significant
168 outputs to 193 for DESeq2 and to 186 for ALDEx2. This cutoff was chosen for convenience and is mid-way
169 between the high and low fold-change recommendations of (9). These limits are shown by the dashed grey
170 lines in Figure 2 and we can see that a $2^{1.4}$ fold change (~ 2.6 fold) cutoff identifies a similar number of
171 transcripts as does ALDEx2 using $\gamma = 0.5$ which identifies 205 transcripts.

172 Supplementary Figures 1 shows an example of the `aldex.senAnalysis()` function to identify those transcripts
173 that are very sensitive to scale uncertainty in this dataset. Here we see that adding a very small amount
174 of scale $\gamma = 0.1$ reduces the number of significant transcripts by more than half in the yeast dataset. This
175 allows the analyst to ignore those low-dispersion transcripts that were significant only because of an absence
176 of scale uncertainty.

177 We next examined how adding scale would alter the analysis in a real dataset to which synthetically generated
178 true positive counts had been added. We show results from the anti-PD-1 therapy RNA-seq dataset (53) which
179 examined changes in gene expression when cells were exposed or not to a cell-cycle checkpoint inhibitor. This
180 dataset was used by Li et al. (8) as an example of the dangers of relying on tools with high false positive error
181 rates when analyzing clinical or clinically-related transcriptome samples. Indeed, in the benchmarking analysis
182 done by this group, they found that parameter based methods such as DESeq2 and edgeR that on reported
183 p-value and fold-change cutoffs often led to conclusions in the original dataset that were indistinguishable from
184 permutations of the dataset. In other words, that the analysis of transcriptome datasets from patient-derived
185 samples often exhibited many false-positive identifications.

186 Figure 3 shows the results of ten permutations of this dataset while simulating 5% of the transcripts to
187 be true positives where the difference from no change was derived from a Normal distribution (54). This
188 simulation was conducted with the `seqgendiff` R package (54) to both permute the dataset and to add
189 true positive features. We did ten permutations and kept track of the number of true and false positive
190 identifications. Figure 3A shows the actual false discovery rate for ALDEx2 with and without the addition of
191 scale uncertainty and for DESeq2 with or without a fold-change cutoff of $2^{0.5}$. When the modeled difference

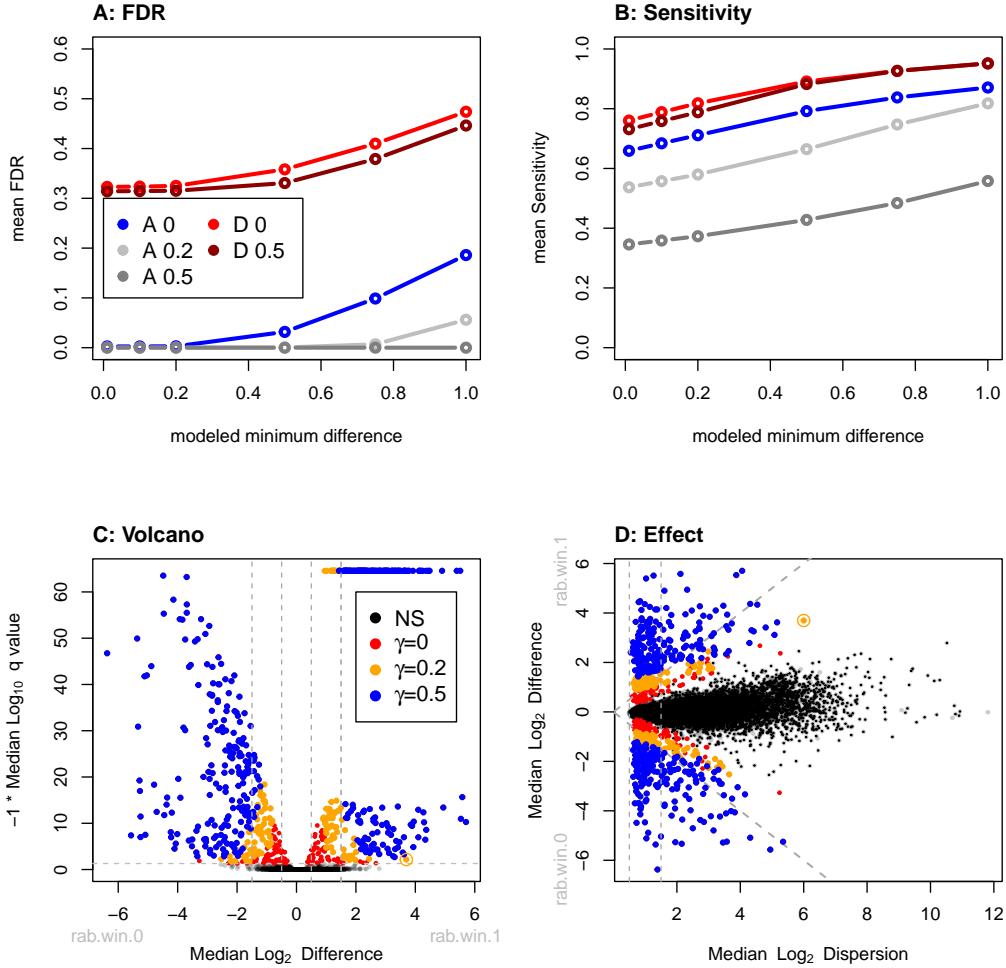


Figure 3: Results of modeling true positive (TP) differences in the PD-1 dataset. For this the data were shuffled and 5% of the transcripts were modeled to have TP differences between groups where the differences were drawn from a Normal distribution with a mean difference of 0 and a sd of 2. Panel A shows the mean FDR of 10 instances for scale-naive ALDEx2 (A 0), and ALDEx2 with $\gamma = 0.2$ (A 0.2) or $\gamma = 0.5$ (A 0.5), and where significant features were identified by DESeq2 without (D 0), or with (D 0.5) a 0.5-fold change difference. The x-axis shows how the FDR changes for each tool as a function of the estimated modeled difference between groups. Panel B shows the mean sensitivity (TP found / all TP). Panels C and D show volcano and effect plots for the ALDEx2 output with the transcripts identified as significant at each scale setting as colored points, and non-significant transcripts in black.

192 was greater than 0, ALDEx2 exhibited a FDR of $\gamma = 0$: 0.002, $\gamma = 0.2$: 0, and $\gamma = 0.5$: 0, while DESeq2 with
193 no fold-change cutoff had an FDR of 0.32 and with a 0.5 fold-change cutoff an FDR of 0.31. Figure 3 also
194 plots these results as a function of the minimum modelled fold change of the true positive transcripts. First,
195 we can see that this analysis recapitulates the observations of Li et al (8) in that DESeq2 has very poor false
196 positive control at a nominal FDR of 0.05. The FDR is not controlled any better when a fold-change cutoff
197 is applied, and this agrees with previous work showing that fold-change cutoffs do not materially improve
198 FDR control in high throughput datasets (12, 13). Figure 3B shows that DESeq2 has higher sensitivity than
199 does ALDEx2, and not surprisingly this sensitivity increases as the difference between groups increases. For
200 the case where the mean difference is 0 or greater, ALDEx2 exhibited a sensitivity of $\gamma = 0$: 0.66, $\gamma = 0.2$:
201 0.54, and $\gamma = 0.5$: 0.35, while DESeq2 with no fold-change cutoff had a sensitivity of 0.76 and with a 0.5
202 fold-change cutoff a sensitivity of 0.73. In this example, scale-naive ALDEx2 has near perfect FDR control
203 and reasonable sensitivity at low modeled difference between groups. However, when the modeled difference
204 between groups becomes large, then the scale-naive version of ALDEx2 begins to exhibit unacceptable rates
205 of false positives and the false positive rate for DESeq2 also increases. Adding in even small amounts of scale
206 uncertainty drops the true FDR rate to 0, but at the expense of sensitivity. The major contributor to the
207 increase in FDR with larger modeled differences is that the tools are identifying as positives those transcripts
208 that are modeled to have differences just below the threshold. We need to recognize that there is no such
209 thing as a statistical free lunch; the analyst can have high sensitivity but low confidence that any individual
210 transcript is truly different, or have lower sensitivity but have very high confidence that the difference is real.
211 In other words, the sensitivity of a method is directly tied to how much error the investigator is willing to
212 tolerate.

213 Examination of the volcano plot (11) and effect plot (50) in Figure 3C and D provides some insight into
214 why adding scale uncertainty provides better FDR control than does the approach of using a p-value and a
215 fold-change cutoff. In the volcano plot, adding scale uncertainty differentially excludes transcripts with a
216 combination of marginal p-values and low difference between groups, and that this becomes more pronounced
217 with a larger scale value. This effect is also seen in Figure 2 but is more nuanced. In contrast, the fold-change
218 cutoff does not incorporate the magnitude of the p-value and so transcripts with large differences, but marginal
219 p-values are retained. The effect plot in Figure 3D shows that the transcripts with marginal p values and
220 large differences that are excluded when scale uncertainty is added are those that have a large dispersion.

221 As a concrete example consider the point that is circled in panels C and D with a marginal p-value, with
222 a difference between of nearly 4 and a dispersion of greater than 6. This transcript is no longer significant
223 when $\gamma = 0.2$, but would require a very large fold-change cutoff to be excluded by the standard approach.
224 In addition, transcripts with very small dispersion and very small differences are also excluded when scale
225 uncertainty is added. Thus, the addition of scale uncertainty achieves the desired outcome of lowering
226 the FDR for those transcripts that are either marginally differentially abundant, or where the underlying
227 dispersion—and hence the uncertainty in measurement—is very high, or for transcripts that fit both criteria.

228 Supplementary Figure 2 shows a second permuted dataset with the addition of modeled differences between
229 groups. Here we used another real dataset with over 200 biological replicates of BRCA1 tumor and control
230 tissue samples from Li et al. (8). This Supplementary Figure shows that the FDR control of DESeq2 is
231 somewhat better than in the PD-1 dataset, although still much greater than the anticipated 5%. Further,
232 a fold-change cutoff reduces the FDR of DESeq2 from about 30% to just over 20% with a power of over
233 80%. However, we can see that scale-naive ALDEx2 performs substantially better with a negligible FDR and
234 comparable power. Adding scale uncertainty again improves FDR even for those transcripts modeled to have
235 larger differences and the power is substantially better than in the PD-1 dataset, reaching the same power as
236 DESeq2 or scale-naive ALDEx2 when the modeled difference is large. As before, this is driven by removing
237 from consideration those transcripts with either a small difference between or a marginal p-value, or both.

238 Supplementary Figures 3 shows that effect of applying $\gamma = 0.5$ to this dataset results in reducing the number
239 of positive transcripts from being ~70% of the whole dataset to less than 10% of the dataset and that this is
240 largely because of a reduction in significance of those transcripts with low dispersion. Supplementary Figures
241 4 shows a sensitivity analysis of the BRCA1 dataset showing that different scale uncertainty amounts alter
242 the number of significant transcripts in a biological replicate experiment similarly to a technical replicate
243 experiment. Supplementary Figures 5 and 6 delve into how adding scale uncertainty affects the variace-

244 abundance relationship in subtle ways, and may help readers to understand the observations seen in Figure 3
245 and supplementary Figure 2.

246 Together the results in this section show that adding scale uncertainty has the desirable effect of altering the
247 transcripts identified as significantly different between groups in a way that exhibits better control of FDR
248 albeit with a corresponding reduction in sensitivity. Those parts that were statistically significantly different
249 *only because of low dispersion* or that *had marginal p-values* or both, are now preferentially excluded from
250 statistical significance. In practice, we suggest that a `gamma` parameter of between 0.2 and 0.5 is realistic for
251 most experimental designs (22) regardless if the replication is technical or biological.

252 Housekeeping genes and functions to guide scale model choices.

253 Dos Santos et al. (55) used a vaginal metatranscriptome dataset to compare the gene expression in bacteria
254 collected from healthy (H) and bacterial vaginosis (BV) affected women. This dataset is derived from two
255 publicly available datasets composed of a set of 20 non-pregnant women from London, Ontario Canada
256 (56) and a subset of 22 non-pregnant women collected from German women who underwent metronidazole
257 treatment for BV (57). Batch effects for these two groups were removed with ComBat-seq (58) and the two
258 datasets were merged into one, giving a total of 16 H and 26 BV samples. In the Dos Santos paper, all results
259 from this initial analysis were replicated in a much larger dataset derived from the MOMS-PI study (59)

260 In this vaginal environment, both the relative abundance of species between groups and the gene expression
261 level within a species is different (60). Additionally, prior research suggests that the total number of bacteria
262 is about 10 times more in the BV than in the H condition (28). Thus, these are extremely challenging datasets
263 in which to determine differential abundance as there are both compositional and scale changes between
264 conditions. The usual method to analyze vaginal metratranscriptome data is to do so on an organism-by-
265 organism basis (57, 59, 60) because the scale confounding of the environment is less pronounced. One attempt
266 at system-wide analysis returned several housekeeping functions as differentially expressed between groups
267 (57); a result likely due to a disconnect between the assumptions of the normalization used and the actual
268 scale of the environment (15).

269 In this example, we show how to specify and interpret a user defined or *informed* scale model that can explicitly
270 account for some of these modeling difficulties (22) even in a difficult to analyze dataset. An informed scale
271 model can control for both the mean difference of scale between groups (e.g., directly incorporate information
272 on the differences in total number of bacteria between the BV and H conditions) as well as the uncertainty
273 of that difference as illustrated in Figure 1:3. To specify a user-defined scale model, we can pass a matrix
274 of scale values instead of an estimate of just the scale uncertainty to `aldex.clr()`. This matrix should
275 have the same number of rows as the of Monte-Carlo Dirichlet samples, and the same number of columns
276 as the number of samples. While this matrix can be computed from scratch by the analyst, there is an
277 `aldex.makeScaleModel()` function that can be used to simplify this step in most cases. This encodes the
278 scale model as $\Lambda \sim N(\log_2 \mu_n, \gamma^2)$, where μ_n represents the scale value for each sample or group and *gamma*
279 is the uncertainty as before. The scale estimate can be a measured value (cell count, nucleic acid input,
280 spike-ins, etc) or an estimate. Nixon et al. (3, 22) showed that only the ratio of the means are important
281 when providing values for μ_n ; i.e., the ratio between the $\log_2 \mu_i$ and $\log_2 \mu_j$ values. See the supplement to
282 Nixon et al. (22) for more information.

283 Figure 4A shows an effect plot of the data where reads are grouped by homologous function regardless of the
284 organism of origin. Each point represents one of 3728 KEGG functions (61). There are many more functions
285 represented in the BV group (bottom) than in the healthy group (top). This is because the *Lactobacilli* that
286 dominate a healthy vaginal microbiome have reduced genome content relative to the anaerobic organisms
287 that dominate in BV, because there is a greater diversity of organisms in BV than in H samples, and because
288 the BV condition has about an order of magnitude more bacteria than does the H condition.

289 The naive scale model appears to be reflecting the bacterial load as observed by calculating the mean scale
290 value for each group. Using a negligible scale value; i.e., $\gamma = 1e - 3$ exposes the naive scale estimate for
291 samples in the `@scaleSamps` slot from the `aldex.clr` output. The naive scale estimate for the healthy group
292 is 17.41 and for the BV group is 14.59 for a difference of 2.82. This is interpreted as the scale of the H group
293 of samples being 7.06 greater than the BV group.

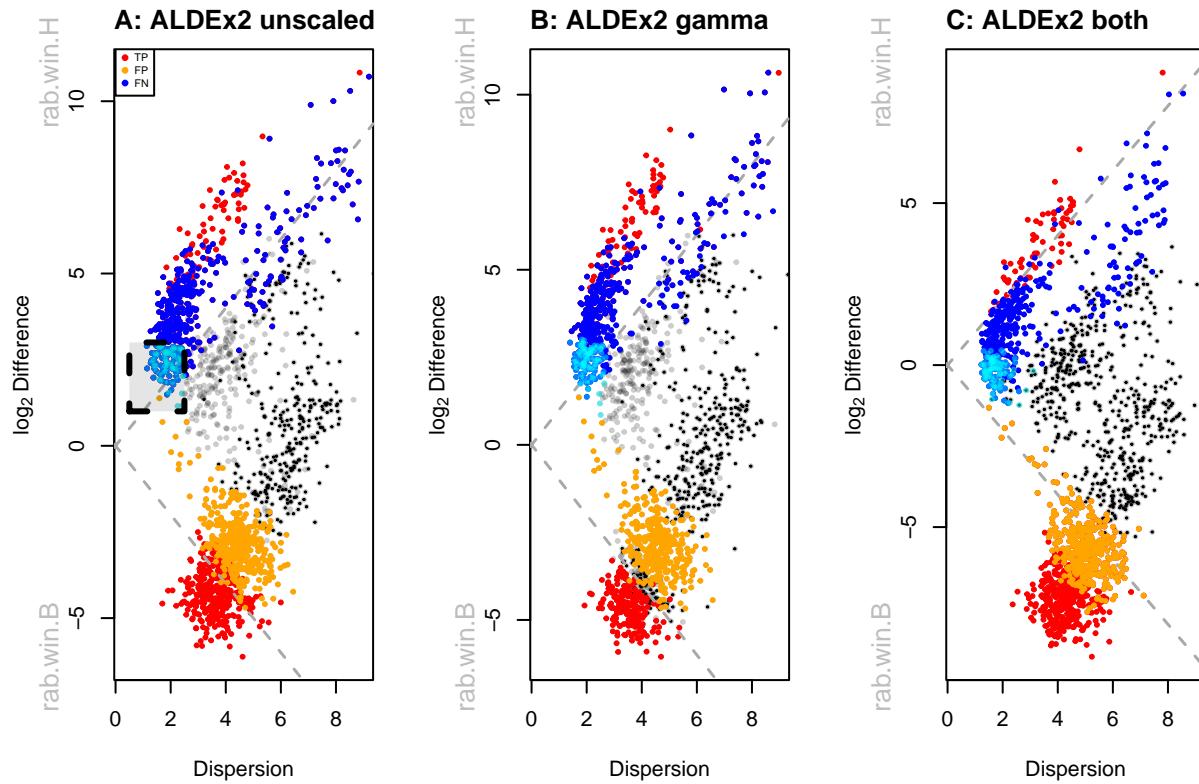


Figure 4: Analysis of vaginal transcriptome data aggregated at the Kegg Orthology (KO) functional level. Panel A shows an effect plot for the default analysis where the functions that are elevated in the healthy individuals have positive values and functions that are elevated in BV have negative values. Highligthed in the box are KO's that are almost exclusively housekeeping functions; these and are colored cyan. These housekeeping functions should be located on the midline of no difference. Panel B shows the same data scaled with $\gamma = 0.5$, which increase the minimum dispersion as before. Panel C shows the same data scaled with $\gamma = 0.5$ and a 0.14 fold difference in dispersion applied to the BV samples relative to the H samples. In these plots statistically significant ($q\text{-value} < 0.01$) functions in the informed model are in red, false positive functions are in blue, non-significant functions in black and false negative functions are in orange.

294 Applying the default scale model of $\gamma = 0.5$ increases the dispersion slightly but does not move the
295 housekeeping functions toward the midline. This is as expected; the mean of the default scale model is based
296 on the CLR normalization so no shift in location would be expected over the scale-naive ALDEx2 model.
297 Nevertheless, about 30% of the housekeeping functions are no longer statistically significantly different. Note
298 that this change is simple to conduct, has no additional computational complexity and requires only a slight
299 modification for the analyst.

300 There are 101 functions with low dispersion that appear to be shared by both groups (boxed area in Figure
301 3A, and colored in cyan). Inspection shows that these largely correspond to core metabolic functions such as
302 transcription, translation, ribosomal functions, glycolysis, replication, chaperones, etc (Supplementary file
303 housekeeping.txt). The transcripts of many of these are commonly used as invariant reference sequences in wet
304 lab experiments (62) and so are not be expected to contribute to differences in ecosystem behaviour. Because
305 we expect housekeeping functions to be nearly invariant in their expression and to occur in all organisms, the
306 average location of these should be centred on 0 difference to represent an internal reference set. However,
307 with the naive scale model, the mean of these housekeeping functions is approximately located at 2.3. Thus,
308 we desire a scale model that approximately centres the housekeeping functions and an appropriate scale in
309 this dataset for functional analysis will place these functions closer to 0 than does the naive estimate. One
310 way to choose an appropriate value for μ_n is to use the `aldex.clr` function on only the presumed invariant
311 functions setting $\gamma > 0$, and then accessing the `@scaleSamps` slot as before. Doing so suggests that the
312 difference in scale should be about 14%. A second approach would be to identify the functions used as the
313 denominator with the `denom="lvha"` option (15) for the `aldex.clr` function, and then to use these values as
314 before. This approach suggests a 5% difference in scale, and is potentially less subject to user interpretation.

315 For the purposes of this example, if we assume a 14% difference in scale, we can set $\mu_i = 1$ and $\mu_j = 1.14$ using
316 the `makeScaleMatrix` function. This function uses a logNormal distribution to build a scale matrix given a
317 user-specified mean difference between groups and uncertainty level. Applying a per-group relative differential
318 scale of 0.14 moves the housekeeping functions close to the midline of no difference (Figure 3C, assuming 14%
319 mean difference = -0.24, assuming a 5% mean difference = -0.34), and applying a gamma of 0.5 provides the
320 same dispersion as in panel B of Figure 3. Note that now a significant number of functions are differentially up
321 in BV that were formerly classed as not different without the full scale model (orange), or when only a default
322 scale was applied. Inspection of the functions shows that these are largely missing from the *Lactobacillus*
323 species and so should actually be captured as differentially abundant in the BV group. Supplementary Figure
324 7 shows that the using either the 5% or the 14% scale difference give imperceptibly different results suggesting
325 that an informed scale model does not have to precisely estimate the scale difference to be useful. Nixon
326 et al. (22) also found that multiple reasonable estimates for the μ_n part of the informed scale model were
327 similarly useful in microbiome data.

328 Thus, applying an informed scale allows us to distinguish between both false positives (housekeeping functions
329 in cyan, and others in blue) and false negatives (orange functions) even in a very difficult to analyze dataset.
330 We used this scale model to uncover hiter-to-now unknown differences in microbiome functional activity
331 between the Healthy and BV cohorts that were missed in previos analyses and that explain important clinical
332 differences between them (55). The remarkable improvements in biological interpretation afforded by an
333 informed scale model, and the transferrability of it between sample cohorts of the same condition is outlined in
334 dos Santos et al. (55). We suggest that the default scale model is sufficient when the data are approximately
335 centred but that an informed model is more appropriate with datasets are not well centred or when the
336 investigator has prior information about the underlying biology.

337 Discussion

338 Scale estimates affect two parts of the analysis. Modeling uncertainty in scale prevents false certainty in
339 the precision of estimation and controls false positive identification. Modeling between-group scale relaxes
340 the assumption of identity between the sizes of the environments and allows better control of false negative
341 identification. The scale estimates can be derived from the total number of molecules in the environment or
342 from other estimates of input size (cell counts, initial concentrations, spike-ins, growth rates, etc).

343 Biological systems are both predictably variable and stochastic (63) and systems biology experiments
344 show that there are transcripts with approximately constant concentrations in the cell and those with large
345 variability under different growth conditions (25). Current measurement methods that rely on high throughput
346 sequencing fail to capture all of the variation, particularly variation due to scale (3, 22). In the absence
347 of external information (19, 20, 64) sequencing depth normalisation methods cannot recapture the scale
348 information (19, 23), and can only normalize for the technical variation due to sequencing depth. Here we
349 demonstrated that even approximate estimates of the true system scale and the uncertainty of measuring it
350 can aid in the interpretation of RNA-sequencing experiments.

351 Nixon et al. (3) introduced the idea of explicitly modeling the scale of a HTS dataset, and showed how to
352 incorporate these models in the analysis of microbiome and other datasets (22). They demonstrated that
353 many tools commonly used to analyze HTS datasets had substantial Type 1 and Type 2 error rates in line
354 with recent findings by others (5, 7, 8). A version of ALDEEx2 with the ability to include scale uncertainty was
355 shown to be able to correct for high Type 1 error rate for that tool, albeit with some loss of sensitivity. Finally,
356 they showed that incorporating an informed scale model incorporating both location and scale uncertainty
357 estimates could both control for Type 1 and Type 2 error rates (22, 43).

358 The process of choosing the parameters are experiment-specific and can be anchored in known information
359 such as cell counts, spike-ins, information from the literature or similar (3, 22, 65). In the metatranscriptome
360 example used in this report [(43);] the choice of parameter was driven by the assumption inherent in the biology
361 that core housekeeping functions would serve as an appropriate standard (37). The choice of parameters must
362 be guided by the experimental question and other approaches in the literature which suggest normalizing the
363 transcript levels to the bacterial metagenomic levels (66) could be used to set the scale parameters, but in
364 this case are more granular at the individual organism level rather than at the systemic functional level.

365 Building and using a scale model thus has substantial benefits relative to the dual cutoff approach that is
366 advocated for many gene expression experiments (9, 11). In particular, the dual cutoff approach has long been
367 known to not control for Type 1 errors (12, 13), and the frequent lack of concordance between tools when
368 benchmarked on transcriptomes (5, 7–9, 17, 67) and microbiomes (4, 6, 32, 42, 68, 69) suggests poor control
369 of Type 2 errors as well (5, 8). Thus, incorporating a scale model during the analysis of HTS data promises
370 the best of both worlds. A default scale model can control for Type 1 errors with minimal prior knowledge of
371 the environment and this can be done with essentially no additional computational overhead. Furthermore,
372 this work and previous (22, 43) show that even minimal information about the underlying environment can
373 be used to build a relatively robust informed scale model that controls for both Type 1 and 2 error rates. It
374 is important to note that the approach advocated here is distinct from that suggested by Zhang et al. (66,
375 70) where the DNA amount for a gene is a covariate in the model for transcriptomic differential abundance.
376 In our analysis we grouped all the transcript information to functional level regardless of organism, instead
377 of modeling per-organism gene abundances. In the future we anticipate being able to build more complex
378 models similar to those used by Zhang et al. with the additional information of uncertainty in the underlying
379 gene count.

380 In the analysis of HTS data it is often observed that larger datasets converge on the majority of parts
381 being significantly different (3, 8, 9). Li et al. (8) conducted a permutation-based benchmarking study and
382 found that widely used tools performed worse than simple Wilcoxon rank-sum tests coupled with the TPM
383 normalization in controlling the FDR when sample sizes became large. Li et al. suggested that the presence
384 of outliers were one of the factors driving the extreme FDR in some tests. We found that when the Wilcoxon
385 test was used within the ALDEEx2 framework that it had essentially the same outputs as did the t-test. For
386 example, in the PD-1 dataset where $\gamma = 0$ the ALDEEx2 t-test exhibited a mean FDR of 0.2% and mean
387 sensitivity of 65.9% while the corresponding values from the ALDEEx2 Wilcoxon test were 0.3% and 68.9%.
388 This result again supports that the assumptions of the normalizations are as important or more important
389 than the statistical test. Brooks et al. (71) suggested that inappropriate choice of benchmarking methods
390 are also a major contributing factor and that better objective standards of truth are needed. In this report
391 we generated semi-synthetic test data used binomial thinning which produces data that more closely mimic
392 the properties of real high throughput sequencing data, and so can more rigorously test different tools (54).
393 From the perspective of our work the disagreement between tools can be explained by the observation that
394 different analytic approaches produce different parameter estimates for either location or scale, or for both,

395 as suggested in Figure 1. Thus, more data produces worse estimates because the additional data simply
396 increases the precision of a flawed estimate (3, 72).

397 Scale simulation is now built into ALDEx2 (22) and in this report we suggest that there are two main root
398 causes to common HTS data pathologies. The first contributing factor is the observed very low dispersion
399 estimate for many features that is a by-product of some experimental designs and normalizations (Figure
400 2). Supplying additional uncertainty alleviates many FP but in a way that more appropriately controls the
401 FDR as shown in Figure 3. The second contributing factor is unacknowledged asymmetry in many datasets
402 (15); i.e., different gene content or a directional change in the majority of features. In the case of asymmetry,
403 the use of a user-specified scale model can be very useful for otherwise difficult-to-analyze datasets such
404 as meta-transcriptomes and in-vitro selection datasets where the majority of features can change as shown
405 in Figure 4. We showed two ways of estimating the scale difference between groups and found that any
406 reasonable estimate is an improvement over the naive approach and also over the default scale model. This
407 is in line with the observations by Nixon et al (22) in a 16S rRNA gene sequencing dataset. While we
408 acknowledge that some prior information is needed that this information is widely available and is already
409 used when performing the gold-standard quantitative PCR test of differential abundance (73, 74).

410 Beyond concerns of fidelity and rigor, scale models also enhance the reproducibility and transparency of HTS
411 analyses. The development of HTS and the associated problems of very high dimensional data that was not
412 always statistically well-behaved led to many different proposed solutions including multiple normalizations
413 and moderated test statistics. That these perform poorly in real data is shown by the simulation data in this
414 report and elsewhere where both DESeq2 (which we used) and edgeR (which uses moderated statistical tests)
415 performed poorly in controlling the FDR (8). While these approaches often work in many datasets they fail to
416 address the underlying problems of information that is missing in the data which is what is supplied by adding
417 uncertainty around the information we have about that data. The addition of scale uncertainty directly
418 addresses the missing information by testing the model over a range of normalizations (3). In doing so, the
419 scale-based approach removes the need for moderated statistics and can replace the consensus approach that
420 has been proposed by some groups (6, 75) with no additional computational overhead. Thus, an advantage of
421 incorporating scale is that analyses can be made much more robust such that actual or potential differences
422 in scale can be tested and accounted for explicitly. While it is beyond the scope of the present article, we
423 note that there are many ways of building scale models that enhance the interpretability of the parameters
424 and assumptions and a detailed description of these points is describe elsewhere (3).

425 In summary, we supply a toolkit that makes incorporating scale uncertainty and location information simple
426 to incorporate for transcriptomes or indeed any type of HTS dataset. While the underlying scale of the
427 system is generally inaccessible, the effect of scale uncertainty on the analysis outcomes can be modelled
428 and can help explain some of the underlying biology. Adding scale information to the analysis allows for
429 more robust inference because the features that are sensitive to scale can be identified and their impact on
430 conclusions weighted accordingly. The use of informed scale models permits difficult to analyze datasets
431 to be examined in a robust and principled manner even when the majority of features are asymmetrically
432 distributed or expressed (or both) in the groups (55). Thus, using and reporting scale uncertainty should
433 become a standard practice in the analysis of HTS datasets.

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436 Availability of Code: All code is available at <https://github.com/ggloor/scale-sim-bio>

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438 JDS; Visualization GBG, MPN; Writing Original Draft GBG; Writing Review and Editing GBG, MPN, JDS;
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