

## On the optimal trimming of high-throughput mRNA sequence data

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### Abstract

The widespread and rapid adoption of high-throughput sequencing technologies has afforded researchers the opportunity to gain a deep understanding of genome level processes that underlie evolutionary change, and perhaps more importantly, the links between genotype and phenotype. In particular, researchers interested in functional biology and adaptation have used these technologies to sequence mRNA transcriptomes of specific tissues, which in turn are often compared to other tissues, or other individuals with different phenotypes. While these techniques are extremely powerful, careful attention to data quality is required. In particular, because high-throughput sequencing is more error-prone than traditional Sanger sequencing, quality trimming of sequence reads should be an important step in all data processing pipelines. While several software packages for quality trimming exist, no general guidelines for the specifics of trimming have been developed. Here, using empirically derived sequence data, I provide general recommendations regarding the optimal strength of trimming, specifically in mRNA-Seq studies. Although very aggressive quality trimming is common, this study suggests that a more gentle trimming, specifically of those nucleotides whose PHRED score  $<2$  or  $<5$ , is optimal for most studies across a wide variety of metrics.

### 1 Introduction

2 The popularity of genome-enabled biology has increased dramatically over the last few years. While  
3 researchers involved in the study of model organisms have had the ability to leverage the power of  
4 genomics for nearly a decade, this power is only now available for the study of non-model organisms.  
5 For many, the primary goal of these newer works is to better understand the genomic underpinnings of  
6 adaptive (Linnen et al., 2013; Narum et al., 2013) or functional (Hsu et al., 2012; Muñoz-Mérida  
7 et al., 2013) traits. While extremely promising, the study of functional genomics in non-model

8 organisms typically requires the generation of a reference transcriptome to which comparisons are  
9 made. Although compared to genome assembly transcriptome assembly is less challenging (Bradnam  
10 et al., 2013; Earl et al., 2011), significant computational hurdles still exist. Amongst the most difficult  
11 of challenges in transcriptome assembly involves the reconstruction of isoforms (Pyrkosz et al., 2013),  
12 simultaneous assembly of transcripts where read coverage (=expression) varies by orders of magnitude,  
13 and overcoming biases related to random hexamer (Hansen et al., 2010) and GC content (Dohm  
14 et al., 2008).

15 These processes are further complicated by the error-prone nature of high-throughput sequencing  
16 reads. With regards to Illumina sequencing, error is distributed non-randomly over the length of the  
17 read, with the rate of error increasing from 5' to 3' end (Liu et al., 2012). These errors are  
18 overwhelmingly substitution errors (Yang et al., 2013), with the global error rate being between 1%  
19 and 3%. Although *de Bruijn* graph assemblers do a remarkable job in distinguishing error from correct  
20 sequence, sequence error does results in assembly error (MacManes and Eisen, 2013). While this type  
21 of error is problematic for all studies, it may be particularly troublesome for SNP-based population  
22 genetic studies. In addition to the biological concerns, sequencing read error may results in problems  
23 of a more technical importance. Because most transcriptome assemblers use a *de Bruijn* graph  
24 representation of sequence connectedness, sequencing error can dramatically increase the size and  
25 complexity of the graph, and thus increase both RAM requirements and runtime.

26 In addition to sequence error correction, which has been shown to improve accuracy of the *de novo*  
27 assembly (MacManes and Eisen, 2013), low quality (=high probability of error) nucleotides are  
28 commonly removed from the sequencing reads prior to assembly, using one of several available tools  
29 (TRIMMOMATIC (Lohse et al., 2012), FASTX TOOLKIT  
30 ([http://hannonlab.cshl.edu/fastx\\_toolkit/index.html](http://hannonlab.cshl.edu/fastx_toolkit/index.html)), or BIOPIECES  
31 (<http://www.biopieces.org/>)). These tools typically use either a sliding window approach,  
32 discarding nucleotides falling below a given (user selected) average quality threshold, or trimming of  
33 low-quality nucleotides at one or both ends of the sequencing read. Though the absolute number will  
34 surely be decreased in the trimmed dataset, aggressive quality trimming may remove a substantial  
35 portion of the total read dataset, which in transcriptome studies may disproportionately effect lower

36 expression transcripts.

37 Although the process of nucleotide quality trimming is commonplace, particularly in the  
38 assembly-based HTS analysis pipelines (e.g. SNP development (Helyar et al., 2012; Milano et al.,  
39 2011), functional studies (Ansell et al., 2013; Bhardwaj et al., 2013), and more general studies of  
40 transcriptome characterization (Liu et al., 2013; MacManes and Lacey, 2012)), its optimal  
41 implementation has not been well defined. Though the rigor with which trimming is performed may be  
42 guided by the design of the experiment, a deeper understanding of the effects of trimming is desirable.  
43 As transcriptome-based studies of functional genomics continue to become more popular,  
44 understanding how quality trimming of mRNA-seq reads used in these types of experiments is urgently  
45 needed. Researchers currently working in these field appear to favor aggressive trimming (e.g. (Looso  
46 et al., 2013; Riesgo et al., 2012)), but this may not be optimal. Indeed, one can easily image  
47 aggressive trimming resulting in the removal of a large amount of high quality data (even nucleotides  
48 removed with the commonly used  $P_{HRED}=20$  threshold are accurate 99% of the time), just as  
49 lackadaisical trimming (or no trimming) may result in nucleotide errors being incorporated into the  
50 assembled transcriptome.

51 Here, I provide recommendations regarding the efficient trimming of high-throughput sequence reads,  
52 specifically for mRNASeq reads from the Illumina platform. To do this, I used publicly available  
53 datasets containing Illumina reads derived from *Mus musculus*. Subsets of these data (10 million, 20  
54 million, 50 million, 75 million, 100 million reads) were randomly chosen, trimmed to various levels of  
55 stringency, assembled then analyzed for assembly error and content. In addition to this, I develop a set  
56 of metrics that may be generally useful in evaluating the quality of transcriptome assemblies. These  
57 results aim to guide researchers through this critical aspect of the analysis of high-throughput  
58 sequence data. While the results of this paper may not be applicable to all studies, that so many  
59 researchers are interested in the genomics of adaptation and phenotypic diversity, particularly in  
60 non-model organisms suggests its widespread utility.

## 61 **Materials and Methods**

62 Because I was interested in understanding the effects of sequence read quality trimming on the quality  
63 of vertebrate transcriptome assembly, I elected to analyze a publicly available (SRR797058) paired-end  
64 Illumina read dataset. This dataset is fully described in a previous publication (Han et al., 2013), and  
65 contains 232 million paired-end 100nt Illumina reads. To investigate how sequencing depth influences  
66 the choice of trimming level, reads data were randomly subsetted into 10 million, 20 million, 50  
67 million, 75 million, 100 million read datasets. To test the robustness of my findings, I evaluated a  
68 second dataset (SRR385624, Macfarlan et al. (2012)) as well as a technical replicate of the primary  
69 dataset, both at the 10M read dataset size.

70 Read datasets were trimmed at varying quality thresholds using the software package TRIMMOMATIC  
71 version 0.30 (Lohse et al., 2012), which was selected as it appears to be amongst the most popular of  
72 read trimming tools. Specifically, sequences were trimmed at both 5' and 3' ends using PHRED =0  
73 (adapter trimming only),  $\leq 2$ ,  $\leq 5$ ,  $\leq 10$ , and  $\leq 20$ . Other parameters (MINLEN=25,  
74 ILLUMINACLIP=barcodes.fa:2:40:15, SLIDINGWINDOW size=4) were held constant. Transcriptome  
75 assemblies were generated for each dataset using the default settings (except group\_pairs\_distance flag  
76 set to 999) of the program TRINITY R2013-02-25 (Grabherr et al., 2011; Haas et al., 2013).  
77 Assemblies were evaluated using a variety of different metrics, many of them comparing assemblies to  
78 the complete collection of *Mus* cDNA's, available at  
79 <http://useast.ensembl.org/info/data/ftp/index.html>.

80 Quality trimming may have substantial effect on assembly quality, and as such, I sought to identify  
81 high quality transcriptome assemblies. Assemblies with few nucleotide errors relative to a known  
82 reference may indicate high quality. The program BLAT v34 (Kent, 2002) was used to identify and  
83 count nucleotide mismatches between reconstructed transcripts and their corresponding reference. To  
84 eliminate spurious short matches between query and template inflating estimates of error, only unique  
85 transcripts that covered more than 90% of their reference sequence were used. Next, because kmers  
86 represent the fundamental unit of assembly, kmers ( $k=25$ ) were counted for each dataset using the  
87 program Jellyfish v1.1.11 (Marçais and Kingsford, 2011). Another potential assessment of assembly  
88 quality may be related to the number of paired-end sequencing reads that concordantly map to the

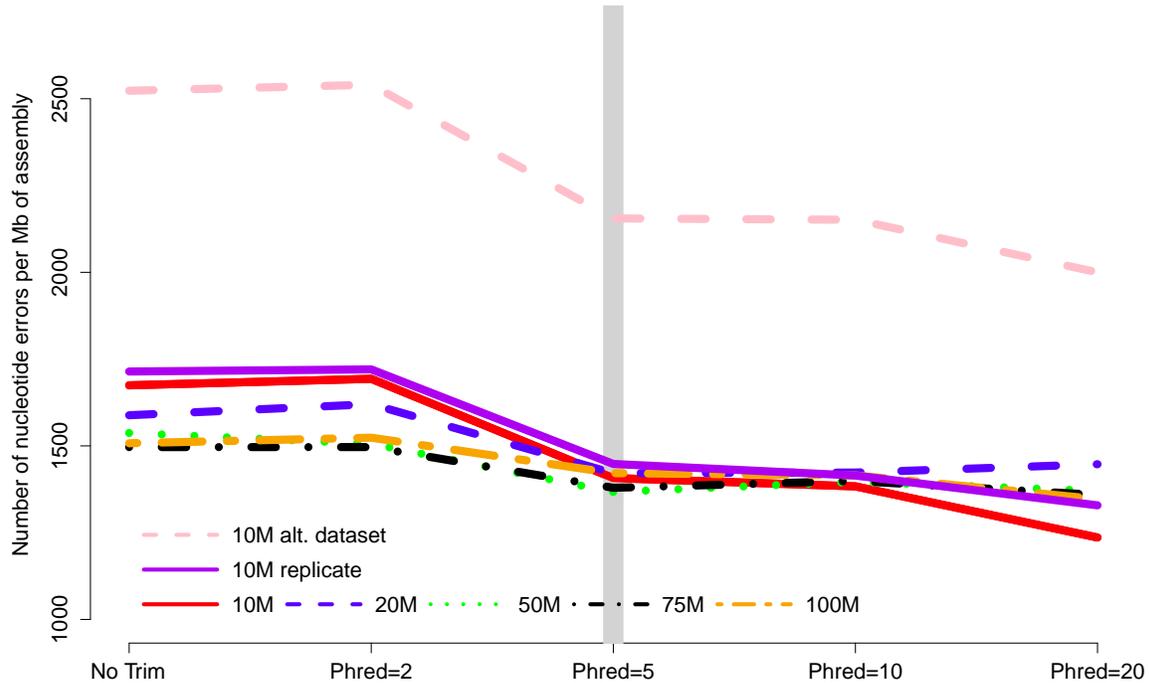
89 assembly. As the number of reads concordantly mapping increased, so does assembly quality. To  
90 characterize this, I mapped the full dataset (not subsampled) of adapter trimmed sequencing reads to  
91 each assembly using Bowtie2 v2.1.0 (Trapnell et al., 2010) using default settings, except for maximum  
92 insert size (-X 999) and number of multiple mappings (-k 30).

93 Aside from these metrics, measures of assembly content were also assayed. Here, open reading frames  
94 (ORFs) were identified using the default settings of the program TRANSDECODER R20131110  
95 (<http://transdecoder.sourceforge.net/>), and were subsequently translated into amino acid  
96 sequences, both using default settings. The larger the number of complete open reading frames  
97 (containing both start and stop codons) the better the assembly. Next, unique transcripts were  
98 identified using the blastP program within the BLAST+ package version 2.2.28 (Camacho et al.,  
99 2009). Blastp hits were retained only if the sequence similarity was >80% over at least 100 amino  
100 acids, and e-value <math>10^{-10}</math>. As the number of transcripts matching a given reference increases, so may  
101 assembly quality. Lastly, because the effects of trimming may vary with expression, I estimated  
102 expression (e.g. FPKM) for each assembled contig using default settings of the the program EXPRESS  
103 v1.5.0 (Roberts and Pachter, 2013) and the BAM file produced by Bowtie2 as described above. Code  
104 for performing the subsetting, trimming, assembly, peptide and ORF prediction and blast analyses can  
105 be found in the following Github folder  
106 [https://github.com/macmanes/trimming\\_paper/tree/recreate\\_ms\\_analyses/scripts](https://github.com/macmanes/trimming_paper/tree/recreate_ms_analyses/scripts).

## 107 Results

108 Quality trimming of sequence reads had a relatively large effect on the total number of errors  
109 contained in the final assembly (Figure 1), which was reduced by between 9 and 26% when comparing  
110 the assemblies of untrimmed versus PHRED=20 trimmed sequence reads. Most of the improvement in  
111 accuracy is gained when trimming at the level of PHRED=5 or greater, with modest improvements  
112 potentially garnered with more aggressive trimming at certain coverage levels (Table 1).

## 113 Figure 1

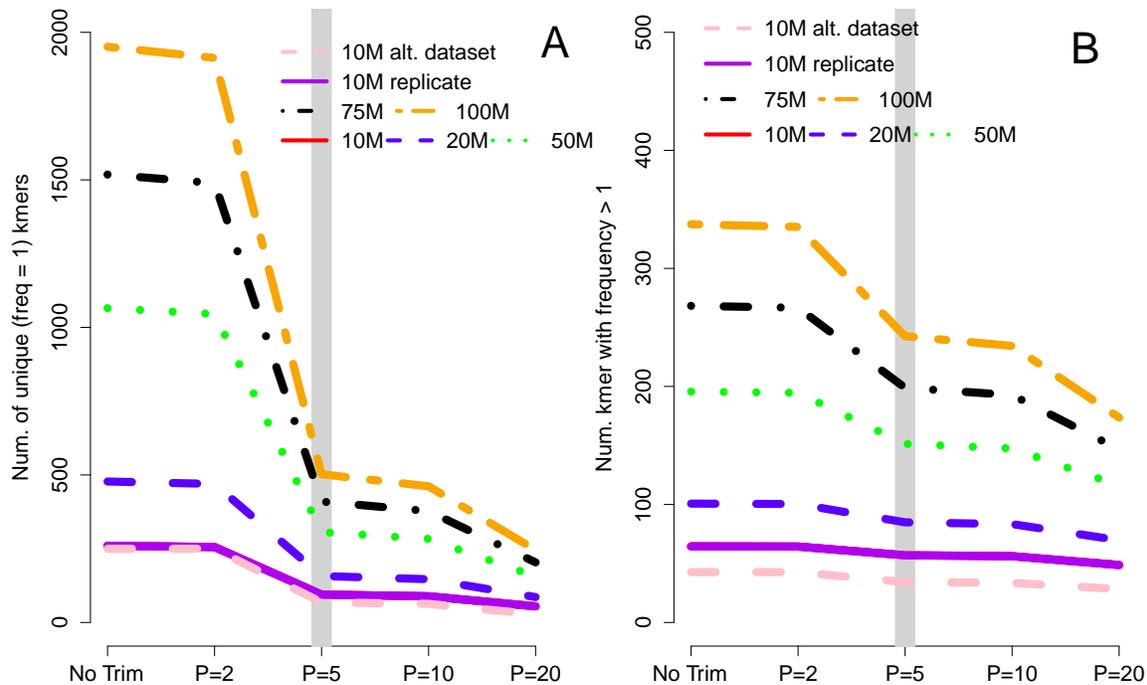


114 Figure 1. The number of nucleotide errors contained in the final transcriptome assembly,  
 115 normalized to assembly size, is related to the strength of quality trimming. This patterns is largely  
 116 unchanged with varying depth of sequencing coverage (10 million to 100 million sequencing reads).  
 117 Trimming at PHRED = 5 may be optimal, given the potential untoward effects of more stringent  
 118 quality trimming. 10M, 20M, 50M, 75M, 100M refer to the subsamples size. 10M replicate is the  
 119 technical replicate, 10M alt. dataset is the secondary dataset. Note that to enhance clarity, the  
 120 Y-axis does not start at zero.

121 In *de Bruijn* graph-based assemblers, the kmer is the fundamental unit of assembly. Even in  
 122 transcriptome datasets, unique kmers are likely to be formed as a results of sequencing error, and  
 123 therefore may be removed during the trimming process. Figure 2A shows the pattern of unique kmer  
 124 loss across the various trimming levels and read datasets. What is apparent, is that trimming at  
 125 PHRED=5 removes a large fraction of unique kmers, with either less- or more-aggressive trimming  
 126 resulting in smaller effects. In contrast to the removal of unique kmers, those kmers whose frequency  
 127 is  $>1$  are more likely to be real, and therefore should be retained. Figure 2B shows that while  
 128 PHRED=5 removes unique kmers, it may also reduce the number of non-unique kmers, which may

129 hamper the assembly process.

130 **Figure 2**



131 Figure 2A. The number of unique kmers removed with various trimming levels across all datasets.

132 Trimming at Phred=5 results in a substantial loss of likely erroneous kmers, while the effect of

133 more and less aggressive trimming is more diminished. 2B depicts the relationship between

134 trimming and non-unique kmers, whose pattern is similar to that of unique kmers.

135 In addition to looking at nucleotide error and kmer distributions, assembly quality may be measured by

136 the the proportion of sequencing reads that map concordantly to a given transcriptome assembly

137 (Hunt et al., 2013). As such, the analysis of assembly quality includes study of the mapping rates.

138 Here, I found small but important effects of trimming. Specifically, assembling with aggressively

139 quality trimmed reads decreased the proportion of reads that map concordantly. For instance, the

140 percent of reads successfully mapped to the assembly of 10 million Q20 trimmed reads was decreased

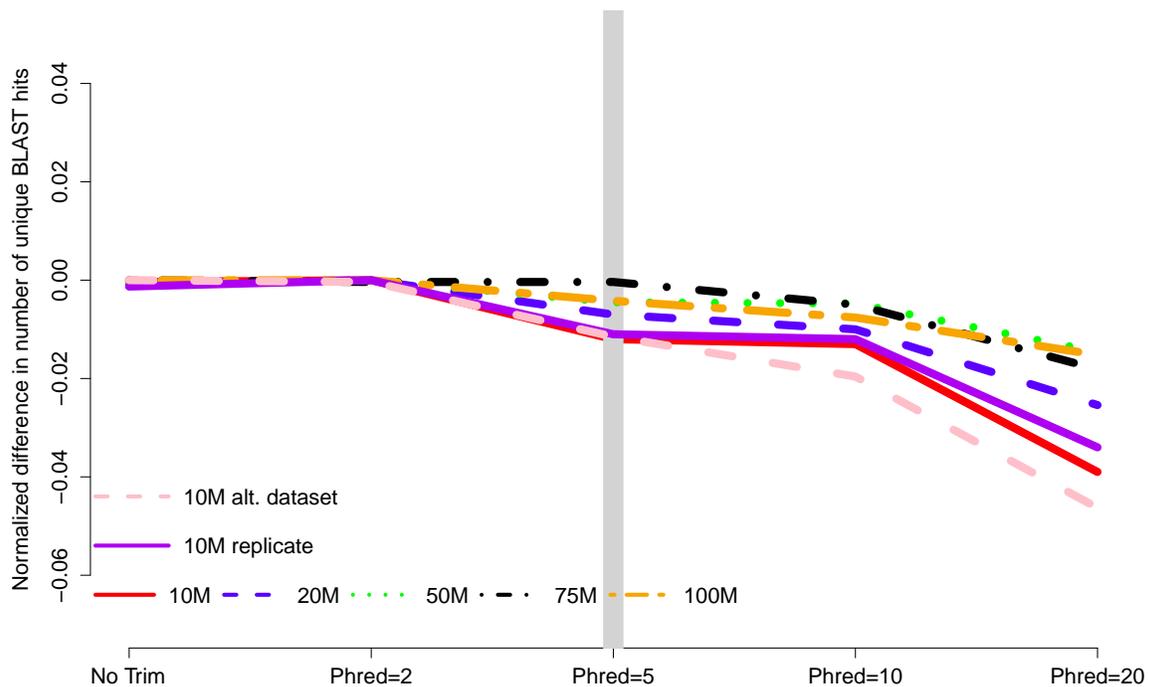
141 by 0.6% or approximately 1.4 million reads (compared to mapping of untrimmed reads) while the

142 effects on the assembly of 100 million Q20 trimmed reads was more blunted, with only 381,000 fewer

143 reads mapping. Though the differences in mapping rates are exceptionally small, when working with  
 144 extremely large datasets, the absolute difference in reads utilization may be substantial.

145 Analysis of assembly content painted a similar picture, with trimming having a relatively small, though  
 146 tangible effect. The number of BLAST+ matches decreased with stringent trimming (Figure 3),  
 147 with trimming at PHRED=20 associated with particularly poor performance. The maximum number  
 148 of BLAST hits for each dataset were 10M=27452 hits, 20M=29563 hits, 50M=31848 hits,  
 149 75M=32786 hits, and 100M=33338 hits.

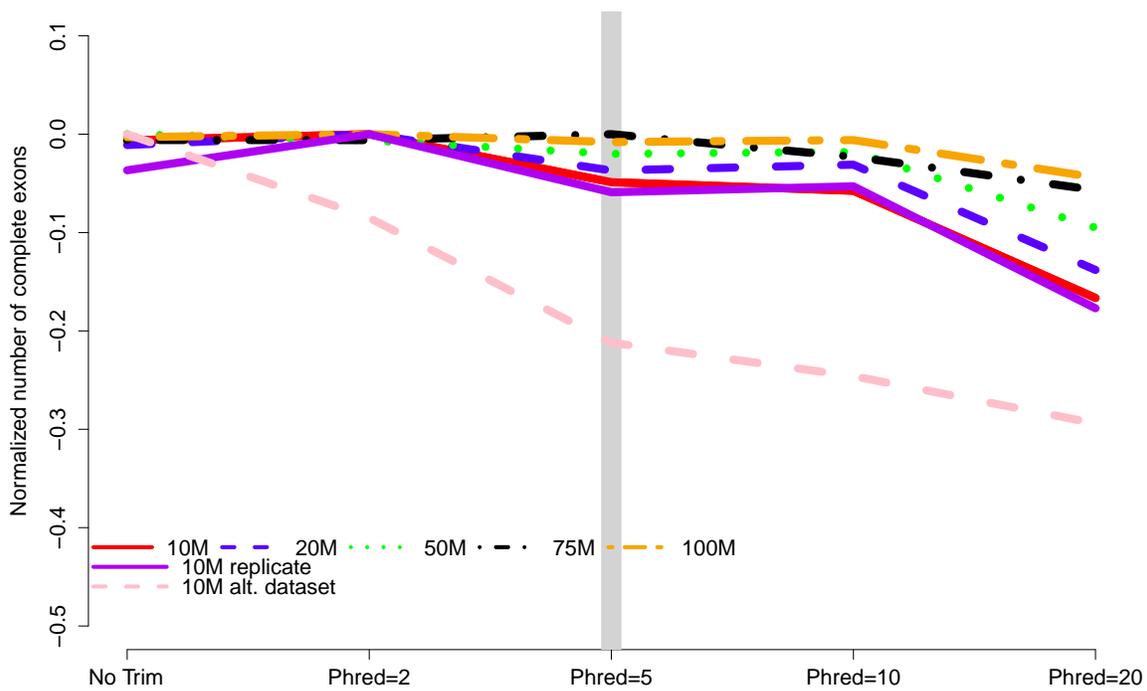
150 **Figure 3**



151 Figure 3. The number of unique BLAST matches contained in the final transcriptome assembly is  
 152 related to the strength of quality trimming, with more aggressive trimming resulting in worse  
 153 performance. Data are normalized to the number of BLAST hits obtained in the most favorable  
 154 trimming level for each dataset. Negative numbers indicate the detrimental affect of trimming.  
 155 10M, 20M, 50M, 75M, 100M refer to the subsamples size. 10M replicate is the technical replicate,  
 156 10M alt. dataset is the secondary dataset.

157 When counting complete open reading frames recovered in the different assemblies, all datasets were  
 158 all worsened by aggressive trimming, as evidenced by negative values in Figure 4. Trimming at  
 159 PHRED=20 was the most poorly performing level at all read depths. The maximum number of  
 160 complete open reading frames for each dataset were 10M=11429 ORFs, 20M=19463 ORFs,  
 161 50M=35632 ORFs, 75M=42205 ORFs, 100M=48434 ORFs.

162 **Figure 4**



163 Figure 4. The number of complete exons contained in the final transcriptome assembly is related to  
 164 the strength of quality trimming for any of the studied sequencing depths, Trimming at  
 165 PHRED=20 was always associated with poor performance. Data are normalized to the number of  
 166 complete exons obtained in the most favorable trimming level for each dataset. Negative numbers  
 167 indicate the detrimental affect of trimming. 10M, 20M, 50M, 75M, 100M refer to the subsamples  
 168 size. 10M replicate is the technical replicate, 10M alt. dataset is the secondary dataset.

169 Of note, all assembly files will be deposited in Dryad upon acceptance for publication. Until then, they  
 170 can be accessed via <https://www.dropbox.com/sh/oiem0v5jgr5c5ir/TYQdGcpYwP>.

## 171 Discussion

172 Although the process of nucleotide quality trimming is commonplace in HTS analysis pipelines,  
 173 particularly those involving assembly, its optimal implementation has not been well defined. Though  
 174 the rigor with which trimming is performed seems to vary, there is a bias towards stringent trimming  
 175 (Ansell et al., 2013; Barrett and Davis, 2012; Straub et al., 2013; Tao et al., 2013). This study  
 176 provides strong evidence that stringent quality trimming of nucleotides whose quality scores are  $\leq 20$   
 177 results in a poorer transcriptome assembly across the majority metrics. Instead, researchers interested  
 178 in assembling transcriptomes *de novo* should elect for a much more gentle quality trimming, or no  
 179 trimming at all. **Table 1** summarizes my finding across all experiments, where the numbers represent  
 180 the trimming level that resulted in the most favorable result. What is apparent, is that for  
 181 typically-sized datasets, trimming at PHRED=2 or PHRED=5 optimizes assembly quality. The  
 182 exception to this rule appears to be in studies where the identification of SNP markers from high (or  
 183 very low) coverage datasets is the primary goal.

184 **Table 1**

|     | DATASET SIZE | ERROR | MAP | ORF | BLAST |
|-----|--------------|-------|-----|-----|-------|
|     | 10M          | 20    | 0   | 2   | 2     |
|     | 10M REP.     | 20    | 2   | 2   | 2     |
|     | 10M ALT      | 20    | 2   | 0   | 0     |
| 185 | 20M          | 5     | 5   | 2   | 2     |
|     | 50M          | 5     | 10  | 5   | 2     |
|     | 75M          | 20    | 10  | 5   | 0     |
|     | 100M         | 20    | 0   | 2   | 2     |

186 Table 1. The PHRED trimming levels that resulted in optimal assemblies across the 4 metrics  
 187 tested in the different size datasets. Error= the number of nucleotide errors in the assembly.  
 188 Map= the number of concordantly mapped reads. ORF= the number of ORFs identified.  
 189 BLAST= the number of unique BLAST hits. 10M rep. is the technical replicate, 10M alt. is the  
 190 secondary dataset.

191 The results of this study were surprising. In fact, much of my own work assembling transcriptomes  
192 included a vigorous trimming step. That trimming had generally small effects, and even negative  
193 effects when trimming at  $P_{\text{HRED}}=20$  was unexpected. To understand if trimming changes the  
194 distribution of quality scores along the read, we generated plots with the program SolexaQA (Cox  
195 et al., 2010). Indeed, the program modifies the distribution of  $P_{\text{HRED}}$  scores in the predicted fashion  
196 yet downstream effects are minimal. This should be interpreted as speaking to the performance of the  
197 the bubble popping algorithms included in TRINITY and other *de Bruijn* graph assemblers.

198 The majority of the results presented here stem from the analysis of a single Illumina dataset and  
199 specific properties of that dataset may have biased the results. Though the dataset was selected for its  
200 'typical' Illumina error profile, other datasets may produce different results. To evaluate this possibility,  
201 a second dataset was evaluated at the 10M subsampling level. Interestingly, although the assemblies  
202 based on this dataset contained more error (e.g. Figure 1), aggressive trimming did not improve quality  
203 for any of the assessed metrics, though like other datasets, the absolute number of errors were reduced.

204 In addition to the specific dataset, the subsampling procedure may have resulted in undetected biases.  
205 To address these concerns, a technical replicate of the original dataset was produced at the 10M  
206 subsampling level. This level was selected as a smaller sample of the total dataset is more likely to  
207 contain an unrepresentative sample than larger samples. The results, depicted in all figures as the solid  
208 purple line, are concordant. Therefore, I believe that sampling bias is unlikely to drive the patterns  
209 reported on here.

210 WHAT IS MISSING IN TRIMMED DATASETS? — The question of differences in recovery of specific  
211 contigs is a difficult question to answer. Indeed, these relationships are complex, and could involve a  
212 stochastic process, or be related to differences in expression (low expression transcripts lost in trimmed  
213 datasets) or length (longer contigs lost in trimmed datasets). To investigate this, I attempted to  
214 understand how contigs recovered in the 10 million read untrimmed dataset, but not in the  
215  $P_{\text{HRED}}=20$  trimmed dataset were different. Using the information on FPKM and length generated by  
216 the program EXPress, it was clear that the transcripts unique to the untrimmed dataset were more  
217 lowly expressed (mean FPKM=3.2) when compared to the entire untrimmed dataset (mean  
218 FPKM=11.1;  $W = 18591566$ ,  $p\text{-value} = 7.184e-13$ , non-parametric Wilcoxon test).

219 I believe that the untoward effects of trimming are linked to a reduction in coverage. For the datasets  
220 tested here, trimming at  $P_{\text{HRED}}=20$  resulted in the loss of nearly 25% of the dataset, regardless of  
221 the size of the initial dataset. This relationship does suggest, however, that the magnitude of the  
222 negative effects of trimming should be reduced in larger datasets, and in fact may be completely erased  
223 with ultra-deep sequencing. Indeed, when looking at the differences in the magnitude of negative  
224 effects in the datasets presented here, it is apparent that trimming at  $P_{\text{HRED}}=20$  is 'less bad' in the  
225 100M read dataset than it is in the 10M read datasets. For instance, **Figure 2B** demonstrates that one  
226 of the untoward effects of trimming, the reduction of non-unique kmers, is reduced as the depth of  
227 sequencing is increased. **Figures 3 and 4** demonstrate a similar pattern, where the negative effects of  
228 aggressive trimming of higher coverage datasets are blunted relative to lower coverage datasets.

229 Turning my attention to length, when comparing uniquely recovered transcripts to the entire  
230 untrimmed dataset of 10 million reads, it appears to be the shorter contigs (mean length 857nt versus  
231 954nt;  $W = 26790212$ ,  $p\text{-value} < 2.2e-16$ ) that are differentially recovered in the untrimmed dataset  
232 relative to the  $P_{\text{HRED}}=20$  trimmed dataset.

233 EFFECTS OF COVERAGE ON TRANSCRIPTOME ASSEMBLY — Though the experiment was not  
234 designed to evaluate the effects of sequencing depth on assembly, the data speak well to this issue.  
235 Contrary to other studies, suggesting that 30 million paired end reads were sufficient to cover  
236 eukaryote transcriptomes (Francis et al., 2013), the results of the current study suggest that assembly  
237 content was more complete as sequencing depth increased; a pattern that holds at all trimming levels.  
238 Though the suggested 30 million read depth was not included in this study, all metrics, including the  
239 number of assembly errors, as well as the number of exons, and BLAST hits were improved as read  
240 depth increased. While generating more sequence data is expensive, given the assembled  
241 transcriptome reference often forms the core of future studies, this investment may be warranted.

242 SHOULD QUALITY TRIMMING BE REPLACED BY UNIQUE KMER FILTERING? — For transcriptome  
243 studies that revolve around assembly, quality control of sequence data has been thought to be a  
244 crucial step. Though the removal of erroneous nucleotides is the goal, how best to accomplish this is  
245 less clear. As described above, quality trimming has been a common method, but in its commonplace  
246 usage, may be detrimental to assembly. What if, instead of relying on quality scores, we instead rely

247 on the distribution of kmers to guide our quality control endeavors? In transcriptomes of typical  
248 complexity, sequenced to even moderate coverage, it is reasonable to expect that all but the most  
249 exceptionally rare mRNA molecules are sequenced at a depth  $>1$ . Following this, all kmer whose  
250 frequency is  $<2$  are putative errors, and should be removed before assembly, though this process may  
251 result in the loss of kmers from extremely low abundance transcripts or isoforms. This idea and its  
252 implementation are fodder for future research.

253 In summary, the process of nucleotide quality trimming is commonplace in many HTS analysis  
254 pipelines, but its optimal implementation has not been well defined. A very aggressive strategy, where  
255 sequence reads are trimmed when  $P_{\text{HRED}}$  scores fall below 20 is common. My analyses suggest that  
256 for studies whose primary goal is transcript discovery, that a more gentle trimming strategy (e.g.  
257  $P_{\text{HRED}}=2$  or  $P_{\text{HRED}}=5$ ) that removes only the lowest quality bases is optimal. In particular, it  
258 appears as if the shorter and more lowly expressed transcripts are particularly vulnerable to loss in  
259 studies involving more harsh trimming. The one potential exception to this general recommendation  
260 may be in studies of population genomics, where deep sequencing is leveraged to identify SNPs. Here,  
261 a more stringent trimming strategy may be warranted.

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263 This paper was greatly improved by suggestions of C. Titus Brown and Christian Cole. In addition, the  
264 paper was first released as a bioRxiv preprint, and I received several comments based on that work  
265 both on that website as well as via Twitter. Let it be said here, that early use of a preprint archive,  
266 open access publication, and Twitter based discussion is a powerful way to rapidly disseminate (and  
267 get feedback on) work. I highly encourage its use!

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