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1	GSimp: A Gibbs sampler based left-censored missing value
2	imputation approach for metabolomics studies
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4	Runmin Wei ^{1, 2, ¶} , Jingye Wang ^{1, ¶,} *, Erik Jia ³ , Tianlu Chen ⁴ , Yan Ni ¹ , Wei Jia ¹
5	
6	¹ University of Hawaii Cancer Center, Honolulu, Honolulu, USA
7	² Department of Molecular Biosciences and Bioengineering, University of Hawaii at
8	Manoa, Honolulu, Honolulu, USA
9	³ Punahou School, Honolulu, Honolulu, USA
10	⁴ Shanghai Key Laboratory of Diabetes Mellitus and Center for Translational
11	Medicine, Shanghai Jiao Tong University Affiliated Sixth People's Hospital, Shanghai,
12	China
13	
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15	* Corresponding author
16	Email: jingyew@hawaii.edu (JW)
17	
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19	[¶] These authors contributed equally to this work.
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23 Abstract

24 Left-censored missing values commonly exist in targeted metabolomics datasets and 25 can be considered as missing not at random (MNAR). Improper data processing 26 procedures for missing values will cause adverse impacts on subsequent statistical 27 analyses. However, few imputation methods have been developed and applied to the 28 situation of MNAR in the field of metabolomics. Thus, a practical left-censored 29 missing value imputation method is urgently needed. We have developed an iterative 30 Gibbs sampler based left-censored missing value imputation approach (GSimp). We 31 compared GSimp with other three imputation methods on two real-world targeted 32 metabolomics datasets and one simulation dataset using our imputation evaluation 33 pipeline. The results show that GSimp outperforms other imputation methods in terms 34 of imputation accuracy, observation distribution, univariate and multivariate analyses, 35 and statistical sensitivity. The R code for GSimp, evaluation pipeline, vignette, 36 real-world and simulated targeted metabolomics datasets are available at: 37 https://github.com/WandeRum/GSimp.

38

39 Author summary

40 Missing values caused by the limit of detection/quantification (LOD/LOQ) were 41 widely observed in mass spectrometry (MS)-based targeted metabolomics studies and 42 could be recognized as missing not at random (MNAR). MNAR leads to biased 43 parameter estimations and jeopardizes following statistical analyses in different 44 aspects, such as distorting sample distribution, impairing statistical power, etc. 45 Although a wide range of missing value imputation methods was developed for 46 -omics studies, a limited number of methods was designed appropriately for the 47 situation of MNAR currently. To alleviate problems caused by MNAR and facilitate 48 targeted metabolomics studies, we developed a Gibbs sampler based missing value 49 imputation approach, called GSimp, which is public-accessible on GitHub. And we 50 compared our method with existing approaches using an imputation evaluation 51 pipeline on real-world and simulated metabolomics datasets to demonstrate the 52 superiority of our method from different perspectives.

53

54 Introduction

55 Missing values are commonly observed in mass spectrometry (MS) based 56 metabolomics datasets. Many statistical methods require a complete dataset, which 57 makes missing data an inevitable problem for subsequent data analysis. Generally, 58 there are three types of missing values, missing not at random (MNAR), missing at 59 random (MAR) and missing completely at random (MCAR) [1,2]. Unexpected 60 missing values are considered as MCAR if they originate from random errors and 61 stochastic fluctuations during the data acquisition process (e.g., incomplete 62 derivatization or ionization). MAR assumes the probability of a variable being 63 missing depends on other observed variables [1,2]. Thus, missing values due to

suboptimal data preprocessing, e.g., inaccurate peak detection and deconvolution of
co-eluting compounds can be defined as MAR. Targeted metabolomics studies have
been widely used for the accurate quantification of specific groups of metabolites.
Due to the limit of compound quantifications (LOQ), missing values are usually
caused by signal intensities lower than LOQ, also known as left-censored missing,
which can be assigned to MNAR.

70 The processing of missing values has been developed and studied in MS data, which 71 is an indispensable step in the metabolomics data processing pipeline [3]. One simple 72 but naïve solution is the substitution of missing by determined values, such as zero, 73 half of the minimum value (HM) or LOQ/c where c denotes a positive integer. 74 Determined value substitutions, although commonly applied for dealing with missing 75 values in metabolomics studies [4-6], can significantly affect the subsequent 76 statistical analyses in different ways, e.g. underestimate variances of missing variables, 77 decrease statistical power, fabricate pseudo-clusters among observations, etc. [1]. 78 Advanced statistical imputation methods have been developed for –omics studies, e.g., 79 k-nearest neighbors (kNN) imputation [7], singular value decomposition (SVD) 80 imputation [8,9], random forest (RF) imputation [10]. Several metabolomics data 81 analysis software tools provide different methods of dealing with missing values 82 [11-15]. MetaboAnalyst [15-17], one widely used metabolomics analysis toolkit, 83 provides Probabilistic PCA (PPCA), Bayesian PCA (BPCA) and SVD imputation. 84 However, these methods are mainly aiming at imputing MCAR/MAR and not suitable

85 for the situation of MNAR. A limited number of approaches dealing with 86 left-censored missing values were applied by researchers [18,19]. Quantile regression 87 approach for left-censored missing (QRILC) imputes missing data using random 88 draws from a truncated distribution with parameters estimated using quantile 89 regression [20]. Although this imputation keeps the overall distribution of missing 90 parts compared to determined value substitutions, it may produce random results 91 since no more information is used for the prediction of missing parts. Another 92 imputation method recently developed for MNAR is k-nearest neighbor truncation 93 (kNN-TN) by Shah, et al. [21]. This approach applies Maximum Likelihood 94 Estimators (MLE) for the means and standard deviations of missing variables based 95 on truncated normal distribution. Then a Pearson correlation based kNN imputation 96 method was implemented on standardized data. Although the author stated that 97 kNN-TN could impute both MNAR and MAR, the imputed values were entirely 98 dependent on the nearest neighbors while no constraint was placed upon the 99 imputation. Thus, this approach might cause an overestimation of missing values.

To reduce adverse effects caused by missing values during metabolomics data analyses, we developed a left-censored missing value imputation framework, GSimp, where a prediction model was embedded in an iterative Gibbs sampler. We then compared GSimp with HM, QRILC, and kNN-TN on two real-world metabolomics datasets and one simulation dataset to demonstrate the advantages of GSimp regarding imputation accuracy, observation distribution, univariate analysis,

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106	multivariate	analysis	and	sensitivity.	Our	findings	indicate	that	GSimp	is	a	robust
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107 method to handle left-censored missing values in targeted metabolomics studies.

108 **Results**

109 Gibbs sampler in GSimp

- 110 A variable containing missing elements from FFA dataset was randomly selected to 111 track the sequence of corresponding parameters and estimates across the first 500 112 iterations out of a total of 2000 (100 × 20) iterations using GSimp. From Fig 1, we 113 can observe that both fitted value \hat{y} and sample value \hat{y} reach to the convergence after 114 iterations and the standard deviation estimate σ drop to a steady state with small 115 values. In addition, an upper constraint for the distribution of \hat{y} indicated that it was 116 drawn from a truncated normal distribution.
- 117

118 Fig 1. Sequentially parameters updating in GSimp. The first 500 iterations out of a

total of 2000 (100×20) iterations using GSimp where \hat{y} , \tilde{y} and σ represent fitted value,

120 sample value and standard deviation correspondingly.

121

122 Imputation comparisons

We evaluated four different MNAR imputation/substitution methods on FFA, BA targeted metabolomics and simulation datasets. First, we measured the imputation performances using label-free approaches. SOR was used to measure the imputation

126	accuracy regarding the imputed values of each missing variable. From the upper panel
127	of Fig 2, we can observe that GSimp has the best performance with the lowest SOR
128	across all varying numbers of missing variables in both FFA and BA datasets. To
129	measure the extent of imputation induced distortion on observation distributions, the
130	PCA-Procrustes analysis was conducted between the original data and imputed data.
131	The lower panel of Fig 2 shows that GSimp has the lowest Procrustes sum of squared
132	errors compared to other methods, which means GSimp kept the overall observation
133	distribution of original dataset with the least distortions.

135 Fig 2. Evaluations of different imputation methods using unlabeled approaches. 136 SOR on FFA dataset (upper left) and BA dataset (upper right) along with different 137 numbers of missing variables based on four imputation methods: HM (red circle), 138 QRILC (green triangle), GSimp (blue square), and kNN-TN (purple cross). 139 PCA-Procrustes sum of squared errors on FFA dataset (lower left) and BA dataset 140 (lower right) along with different numbers of missing variables based on four 141 imputation methods: HM (red circle), QRILC (green triangle), GSimp (blue square), 142 and kNN-TN (purple cross).

143

144 Then, we measured the imputation performances with binary labels provided. We145 compared the results of univariate and multivariate analyses for imputed and original

146	datasets. Since this is a case-control study, student's <i>t</i> -tests were applied for univariate
147	analyses. Then we compared the results by calculating Pearson's correlation between
148	log-transformed p-values calculated from imputed and original data for missing
149	variables. Again, GSimp performs best with the highest correlations among four
150	methods (upper panel of Fig 3) along with different numbers of missing variables, and
151	it implies GSimp keeps the most biological variations regarding the univariate
152	analyses results. For the multivariate analyses, we applied PLS-DA to distinguish the
153	group differences. Similarly, we conducted PLS-Procrustes analysis while PLS was
154	employed as a supervised dimension reduction technique. The lower panel of Fig 3
155	demonstrates that GSimp preferably restores the original observation distribution with
156	the lowest Procrustes sum of squared errors among four imputation methods.

158 Fig 3. Evaluations of different imputation methods using labeled approaches.

Pearson's correlation between log-transformed p-values of student's t-tests on FFA dataset (upper left) and BA dataset (upper right) along with different numbers of missing variables based on four imputation methods: HM (red circle), QRILC (green triangle), GSimp (blue square), and kNN-TN (purple cross). PLS-Procrustes sum of squared errors on FFA dataset (lower left) and BA dataset (lower right) along with different numbers of missing variables based on four imputation methods: HM (red circle), QRILC (green triangle), GSimp (blue square), and kNN-TN (purple cross).

167	On the simulation dataset, we compared QRILC, kNN-TN, and GSimp using same
168	approaches. Consistent results were recognized (S1 Fig), and GSimp presents the best
169	performances on the simulation dataset with the lowest SOR and
170	PCA/PLS-Procrustes sum of squared errors and the highest correlation of univariate
171	analysis results. Moreover, to examine the influences of statistical power using
172	different imputation methods, we calculated TPR as the capacities to detect
173	differential variables on different imputation datasets. Again, with both <i>p</i> -cutoff of
174	0.05 and 0.01, GSimp shows the overall highest TPR over different missing numbers
175	(Fig 4). This implies that GSimp impairs the sensitivity to the least extent among
176	three methods, which is reasonable since GSimp also keeps the highest correlation of
177	<i>p</i> -values in previous comparisons.

178

Fig 4. Evaluations of different imputation methods using TPR for various p-cutoffs on simulation dataset. TPR along with different numbers of missing variables based on three imputation methods: QRILC (green triangle), GSimp (blue square), and kNN-TN (purple cross) among different p-cutoff=0.05 (left panel), and 0.01 (right panel).

184

185 **Discussion**

186 The purpose of this study is to develop a left-censored missing value imputation 187 approach for targeted metabolomics data analysis. We evaluated GSimp with other 188 three imputation methods (a.k.a kNN-TN, QRILC, and HM) and suggested that 189 GSimp was superior to others using different evaluation methods. To illustrate the 190 performance of GSimp, we randomly selected one variable containing missing values 191 from FFA dataset (Fig 5) to compare the imputed values and original values. 192 Although determined value substitution (e.g. HM) were widely used by researchers in 193 the field of metabolomics, our results indicated that HM could severely distort the 194 data distribution (upper left panel of Fig 5), thus impairing subsequent analyses. In 195 comparison, QRILC kept the overall data distribution and variances (upper right panel 196 of Fig 5). However, random values could be generated by this approach since QRILC 197 imputes each missing variable independently without utilizing the predictive 198 information from other variables. Statistical learning based method, kNN-TN, applied 199 a correlation based kNN algorithm with parameters of missing variables estimated 200 with truncated normal distributions. This method utilized the information of highly 201 correlated variables of targeted missing variable, thus kept a linear trend between 202 original values and imputed values. However, since no constraint was applied for the 203 imputation, a right shift of missing part might occur, causing imputed values to 204 exceed the truncation point (lower left panel of Fig 5). In contrast, GSimp utilized the 205 predictive information of other variables by employing a prediction model and held a truncated normal distribution for each missing element simultaneously, which ensured
a favorable linear trend between imputed and original values as well as a reasonable
bound for the imputed values (lower right panel of Fig 5).

209

Fig 5. Comparisons of imputed values and original values on an example variable. Scatter plots of imputed values (X-axis) and original values (Y-axis) on one example missing variable while non-missing elements represented as blue dots and missing elements as red dots based on four imputation methods: HM (upper left), QRILC (upper right), kNN-TN (lower left), and GSimp (lower right). Rug plots show the distributions of imputed values and original values.

216

217 In our approach, truncated normal distribution was used for the constraint of 218 imputation results in Gibbs sampler steps. We applied the minimum observed value of 219 missing variable as an informative upper truncation point and $-\infty$ as a non-informative 220 lower truncation point considering the situation of left-censored missing. Other values 221 could also be applied in real-world metabolomics analyses, such as a known LOQ of a 222 metabolite can be set as an upper truncation point. Additionally, when signal intensity 223 of certain compound is larger than the upper limit of quantification range or saturation 224 during instrument analysis, an informative lower truncation point could be 225 correspondingly applied for the right-censored missing value. What's more, when

226	non-informative bounds for both upper and lower limits (e.g., $+\infty$, $-\infty$) were applied,
227	our GSimp could be extended to the situation of MCAR/MAR. With the flexible
228	usage of upper and lower limits, our approach may provide a versatile and powerful
229	imputation technique for different missing types. For other -omics datasets with
230	missing values (especially MNAR), e.g. single cell RNA-sequencing data, we could
231	also apply this method with few modifications of our default settings. Thus, it is
232	worthy to evaluate our approach, GSimp, in other complex scenarios in the future.
233	Since GSimp employed an iterative Gibbs sampler method, a large number of
234	iterations (<i>iters_all=20</i> , <i>iters_each=100</i>) are preferable for the convergence of
235	parameters. However, as we tested on the simulation dataset with different number of
236	iterations, a much less iterations (<i>iters_all=10</i> , <i>iters_each=50</i>) won't severely affect
237	the imputation accuracy (S2 Fig). Among iterations for the whole data matrix, we
238	applied a sequential imputation procedure for missing variables from the least number
239	of missing values to the most. Such sequential approach improves imputation
240	performances compared to parallel imputation approach.

242 Materials and Methods

243 **Diabetes datasets**

We employed datasets from a study of comparing serum metabolites between obese subjects with diabetes mellitus (N=70) and healthy controls (N=130) where N

246	represents the number of observations. Dataset 1: a total of 42 free fatty acids (FFAs)
247	were identified and quantified in those participants in order to evaluate their FFA
248	profiles [22]. Dataset 2: a total of 34 bile acids (BAs) were identified and quantified
249	in a similar way using different analytical protocol [23].
250	
251	Simulation dataset
252	For the simulation dataset, we first calculated the covariance matrix Cov based on the
253	whole diabetes dataset (P=76) where P represents the number of variables. Then we
254	generated two separated data matrices with the same number of 80 observations from
255	multivariate normal distributions, representing two different biological groups. For
256	each data matrix, the sample mean of each variable was drawn from a normal
257	distribution $N(0, 0.5^2)$ and Cov was kept using SVD. Then, two data matrices were
258	horizontally (column-wise) stacked together as a complete data matrix (N×P=160×76)
259	so that group differences were simulated and covariance was kept.

261 MNAR generation

For two real-world targeted metabolomics datasets, we generated a series of MNAR datasets by using the missing proportion (number of missing variables/number of total variables) from 0.1 to 0.6 in a step of 0.05 with MNAR cut-off for each missing variable drawn from a uniform distribution U(0.1, 0.5) The elements lower than the corresponding cut-off were removed and replaced with NA. For the simulation dataset, 267 we generated a series of MNAR datasets by using the missing proportion from 0.1 to 268 0.8 step by 0.1 with MNAR cut-off drawn from U(0.3, 0.6) for a more rigorous 269 testing.

270

271 **Prediction model**

272 A prediction model was employed for the prediction of missing values by setting a 273 targeted missing variable as outcome and other variables as predictors. Different 274 prediction models, e.g., linear regression, elastic net [24], regression trees [25] and 275 random forest [26], etc. could be embedded in our imputation framework. Elastic net 276 was applied in our approach as an ideal prediction model considering its stability, 277 accuracy, and efficiency. This model is a regularized regression with the combination 278 of L1 and L2 penalties of the LASSO [27] and ridge [28] methods. The estimates of 279 regression coefficients in elastic net are defined as

280
$$\hat{\beta} = \operatorname{argmin}_{\beta}(\|y - X\beta\|^2 + \lambda[(1 - \alpha)/2\|\beta\|_2^2 + \alpha\|\beta\|_1]) \quad (1)$$

The L2 penalty $(1 - \alpha)/2 \|\beta\|_2^2$ improves the model's robustness by controlling the multicollinearities among variables which are widely existed in high-dimensional -omics data. And the L1 penalty $\alpha \|\beta\|_1$ controls the number of predictors by assigning zero coefficients to the "unnecessary" predictors. From a Bayesian point of view, the regularization is a mixture of Gaussian and Laplacian prior distributions of coefficients which can pull the full model of maximum likelihood estimates $\|y - X\beta\|^2$ towards the null model of prior coefficients distribution, thus controls the

288	risk of overfitting and increase the model robustness. R package glmnet was used for
289	the elastic net. We set hyperparameters λ as 0.01 (default setting for high-dimensional
290	data) and α as 0.5 (an equally mixture of LASSO and ridge penalties) [29].

292 Gibbs sampler

293 Gibbs sampler is a Markov Chain Monte Carlo (MCMC) technique that sequentially 294 updates parameters while others are fixed. It can be used to generate posterior 295 samples. For each missing variable in the dataset, we applied a Gibbs sampler to 296 impute the missing values by sampling from a truncated normal distribution with 297 prediction model fitted value as mean and root mean square deviation (RMSD) of 298 missing part as standard deviation while truncated by specified cut-points. Assuming 299 we have a $n \times p$ data matrix $X = (X_1, X_2, X_3, ..., X_p)$ with only one variable X_i 300 containing left-censored missing values. We denote X_i as y and the missing part as y_m 301 with length m and non-missing part as y_f with length f, and the rest of matrix X_{-i} as X'. 302 We can then set the lower truncation point lo as $-\infty$ (centralized data) or 0 (original 303 data) and upper *hi* as the minimum value of y_f or a given LOQ. The truncation bounds 304 ensure imputation results are constrained within [lo, hi]. Then, the Gibbs sampler 305 approach can be described as following steps:

306 Step-1 (initialization): we initialize missing values (QRILC in our case), and get *y*';

307 Step-2 (prediction): we then build a prediction model (elastic net in our case): $y' \sim X'$;

308 Step-3 (estimation): based on the prediction model, we get the predicted value \hat{y} and

309 the root mean square deviation (RMSD) of missing part $\sigma = \sqrt{\frac{\sum_{i=1}^{m} (\hat{y}_{m_i} - y'_{m_i})^2}{m}}$ where

- 310 y'_{m_i} and \hat{y}_{m_i} are *i*th initialized/imputed value and fitted value respectively;
- 311 Step-4 (sampling): we draw sample \tilde{y}_{m_i} from a truncated normal distribution
- 312 $N(\hat{y}_{m_i}, \sigma^2 | [lo, hi])$ for *i*th missing element and update *y*'.
- 313 We iteratively repeat step-2 to step-4 and update X_{j} .

314

315 **GSimp framework**

- 316 A whole data matrix $X = (X_1, X_2, X_3, \dots, X_p)$ contains a number of $k \ (k \le p)$
- 317 left-censored missing variables. We present our imputation framework as following
- algorithm.

Algorithm: Gibbs sampler based left-censored missing value imputation approach

Require: *X* an $n \times p$ data matrix, *iters_all* the number of iterations for imputing the whole matrix *X*, *iters_each* the number of iterations for imputing each missing variable, a vector of upper limits *U* (+ ∞ for non-missing variables) and a vector of

lower limits L (- ∞ for non-missing variables) with length p.

- 1. $X^{imp} \leftarrow$ initialize the missing values for X;
- K ← vector of indices of missing variables in X with increasing amount of missing values;
- 3. for 1:iters_all do
- 4. **for** *j* in **K do**
- 5. $y \leftarrow X_j^{imp}$, y' can be divided into two parts: y_m is a vector of the

imputed part (original missing part) with length *m* and y_f is a vector of the non-missing part with length *f* while n = m + f;

- 6. $X' \leftarrow X_{-i}^{imp}$, represents the matrix X with *j*th column removed;
- 7. $lo \leftarrow L_j$ and $hi \leftarrow U_j$;
- 8. **for** 1:*iters_each* **do**
- 9. Gibbs sampler step 2 to 4;
- 10. **end for**
- 11. Update X_i^{imp} ;
- 12. end for
- 13. end for
- 14. return X^{imp}

319

320 Other imputation approaches

321 Other three left-censored missing imputation/substitution methods were conducted in

- 322 our study for performance comparison:
- kNN-TN (Truncation *k*-nearest neighbors imputation) [21]: this method applied a
- 324 Newton-Raphson (NR) optimization to estimate the truncated mean and standard

325 deviation. Then, Pearson correlation was calculated based on standardized data

- 326 followed by correlation-based kNN imputation.
- QRILC (Quantile Regression Imputation of Left-Censored data) [18,30]: this
 method imputes missing elements randomly drawing from a truncated distribution
 estimated by a quantile regression. R package *imputeLCMD* was applied for this
 imputation approach.
- HM (Half of the Minimum): This method replaces missing elements with half of
 the minimum of non-missing elements in the corresponding variable.
- 333 Assessments of performance

334 The assessments of imputation performance were conducted using an imputation 335 evaluation pipeline from our previous study with both unlabeled and labeled 336 measurements [31], which is accessible through: 337 https://github.com/WandeRum/MVI-evaluation. Unlabeled measurements include the 338 NRMSE-based sum of ranks (SOR), principal component analysis (PCA)-Procrustes 339 analysis while labeled measurements include correlation analysis for univariate results, 340 partial least square (PLS)-Procurstes analysis. R package vegan was applied for 341 Procrustes analysis [32] and *ropls* was applied for PLS analysis [33]. 342 Furthermore, we evaluated the impacts of different imputation methods on the 343 statistical sensitivity of detecting biological variances. On the simulation dataset, we

- 344 calculated *p*-values from student's *t*-tests between two groups from original as well as
- imputed datasets. We marked a set *S* as real differential variables at a significant level

of *p*-cutoff (e.g. 0.05) from original simulation data, and a set *S*' as detected differential variables at the same significant level from imputed simulation data. Then we calculated the true positive rate $TPR = \frac{\# of (S \cap S')}{\# of S}$ to evaluate the effects of different imputation methods in terms of detecting differential variables.

350

351 Conclusion

352 A practical left-censored missing value imputation method is needed in the field of 353 metabolomics. We develop a new imputation approach GSimp that outperforms 354 traditional determined value substitution method (HM) and other approaches (QRILC, 355 and kNN-TN) for MNAR situations. GSimp utilized predictive information of 356 variables and held a truncated normal distribution for each missing element 357 simultaneously via embedding a prediction model into the Gibbs sampler framework. 358 With proper modifications on the parameter settings, e.g. truncation points, GSimp 359 may be applicable to handle different types of missing values and in different -omics 360 studies, thus deserved to be further explored in the future.

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467 doi:10.1021/acs.jproteome.5b00354

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469 Supporting information

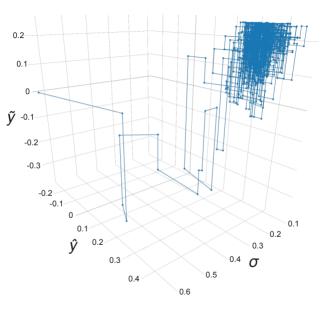
470

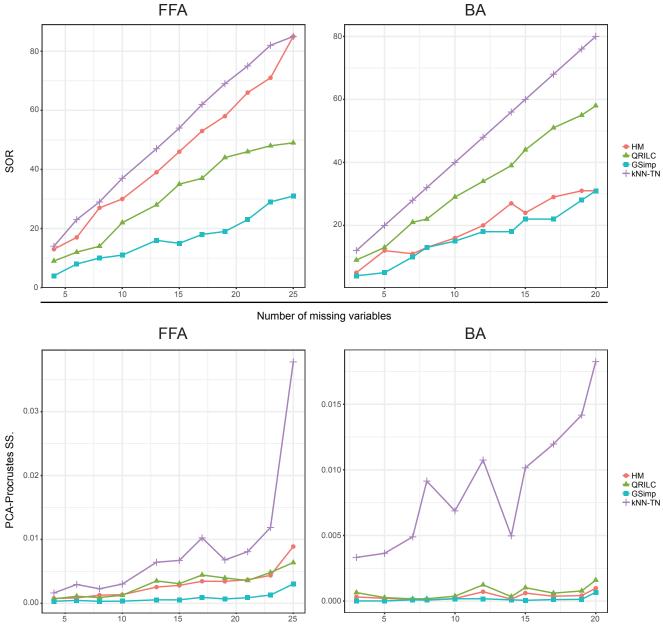
471	S1 Fig. Evaluations of different imputation methods on simulation dataset. SOR
472	(upper left), PCA-Procrustes sum of squared errors (upper right), Pearson's correlation
473	between log-transformed <i>p</i> -values of student's t-tests (lower left), and PLS-Procrustes
474	sum of squared errors (lower right) on simulation dataset along with different
475	numbers of missing variables based on three imputation methods: QRILC (green
476	triangle), GSimp (blue square), and kNN-TN (purple cross).

477

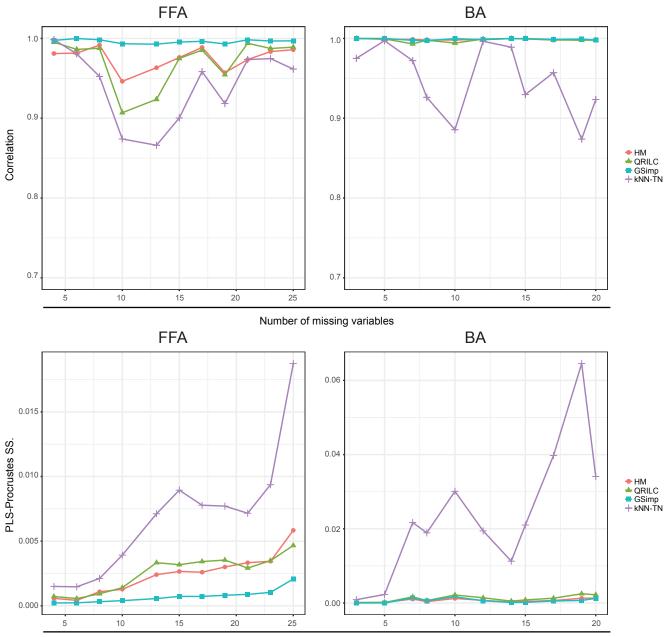
478 S2 Fig. Evaluations of different numbers of iterations using GSimp on simulation

dataset. SOR on simulation dataset along with different numbers of missing variables
based on four different numbers of iterations: *iters_each=50* and *iters_all=20* (red
circle), *iters_each=100* and *iters_all=20* (green triangle), *iters_each=50* and *iters_all=10* (blue square), *iters_each=100* and *iters_all=10* (purple cross).

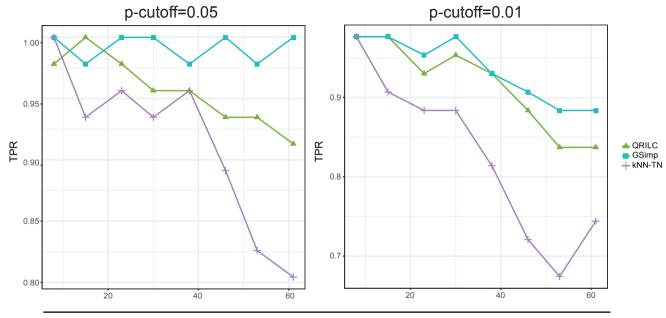




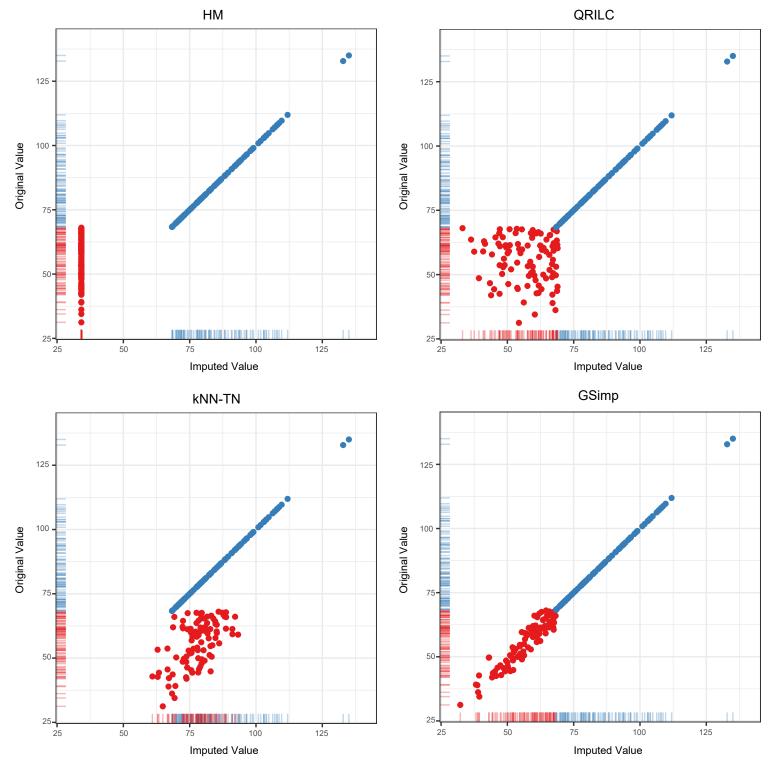
Number of missing variables

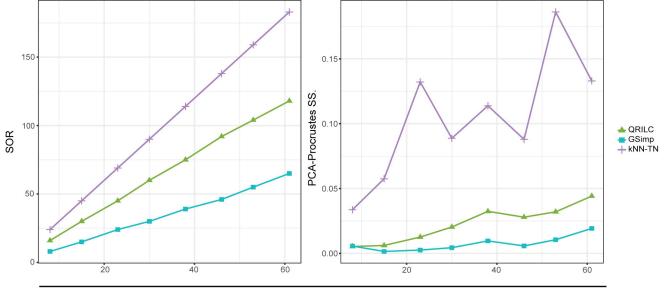


Number of missing variables

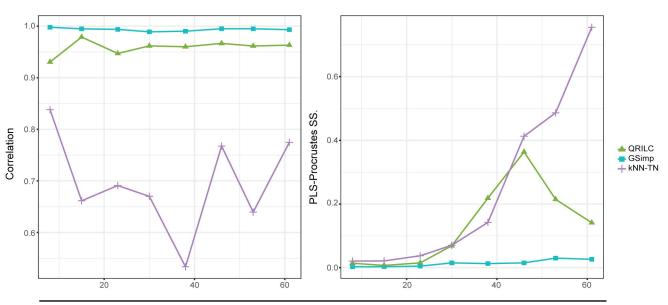


Number of missing variables

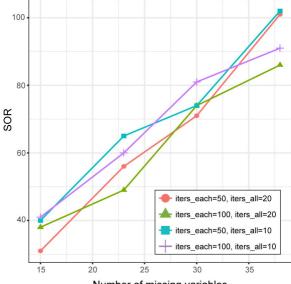




Number of missing variables



Number of missing variables



Number of missing variables