The vital role of Crystallographic Information Files in chemical and biological crystallography to underpin the databases' validation reports

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The Crystallographic Information File (CIF) was introduced in 1991 to facilitate data exchange between computer programs [1], but it soon became apparent that its most important feature was the *precise* definition of the data items that were manipulated by the programs. With standardisation of terminology across essentially all crystallographic software came the prospect of validating any structure, and indeed, to some extent, the experimental data upon which it was modelled. Structural databases already carried out extensive validation in their curating of stored data sets [2], but the development of protocols such as *checkCIF* [3] permitted extensive validation and evaluation of quality by the journals and indeed by the submitting author. The recent incorporation of software methods in the CIF dictionaries *via* the DDLm protocol [4] opens the door to even greater automation in both quality control and information retrieval from any solved crystal structure.

Hall, S. R., Allen, F. H. & Brown, I. D. (1991). The crystallographic information file (CIF): a new standard archive file for crystallography. *Acta Cryst.*} A**47**, 655-685.

See, for example, Karen, V. L. & Mighell, A. (1996). Special Issue: NIST Workshop on Crystallographic Databases. *J. Res. Natl Inst. Sci. Technol.* **101**, 205-381; Allen, F. H. & Glusker, J. P. (2002). Crystallographic Databases. Joint special issue. *Acta Cryst.* B**58**, 317-422; *Acta Cryst.* D**58**, 879-920.

Spek, A. L. (2009). Structure validation in chemical crystallography. *Acta Cryst.* D**65**, 148-155.

Spadaccini, N. & Hall, S. R. (2012). DDLm: a new dictionary definition language. *J. Chem. Inf. Model.* **52**, 1907-1916.

The clue is in the name...

There is a traditional hierarchy of components of understanding: data, information, knowledge, wisdom(the DIKW model).

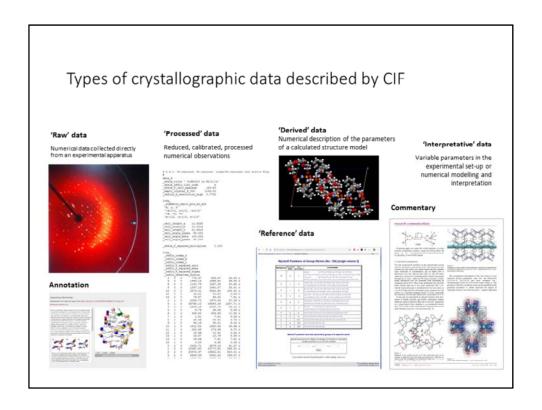
Crystallographic **information** is the component that bridges the gap between the raw experimental **data** and the global **knowledge** bases represented by the Protein Data Bank, Cambridge Structural Database, International Centre for Diffraction Data, Inorganic Crystal Structure Database, Crystallography Open Database etc.

We begin by emphasising the care that went into the choice of name for the IUCr's standardisation initiative – the Crystallographic Information File was always intended to be more than a simple file format for packaging numerical data. The source of the quotation will be revealed at the end of the presentation.

Summary: CIF and the *checkCIF* paradigm

- CIF for small molecules led to the checkCIF validation service
- checkCIF has a threefold approach:
 - Completeness
 - Correctness
 - Context
- CIF embraces all validation requirements (publication/database)
 - · Handles metadata on same footing as data
 - Suitable for data query
 - Extensible

The presentation comes within a session of the Workshop entitled 'The checkCIF paradigm'. I will review the three prongs of the checkCIF approach – here characterised succinctly as 'completeness', 'correctness' and 'context'. Exactly what is meant by these terms will be discussed as we review each in turn. checkCIF of course rose naturally from the adoption of CIF as a data exchange standard, but there are three aspects of CIF that make it particularly appropriate that this should be so. The original file format makes no distinction between 'metadata' and 'data', so that everything can be collected together in the one file and kept together during processing. In practice this isn't always the case - IUCr journals request that structure factor data be uploaded separately from the journal article, for example – but the conceptual design makes it easier to produce an integrated information management system. It's also of significance that the definition of data items is also maintained (as CIF dictionaries) within the same formalism. This allows 'bootstrapping' of a knowledge system, from attribute identifiers to attributes of defined terms, to applications of those definitions. The discrete and well defined nature of each data item also means that a CIF can be used directly to construct a query against other CIFs. For example, the original electronic implementation of the World Directory of Crystallographers was as a collection of STAR Files. Only later was it loaded into a relational database. The extensibility of CIF means that it is ready to be used for novel techniques and applications just as soon as new definitions are minted.



This slide emphasises the lack of distinction between 'metadata' and 'data', but at the same time it also illustrates what a variety there may be in types of data – a fact that is not necessarily well understood by policy makers who prescribe or mandate different approaches to research data management.

CIF dictionaries (COMCIFS)

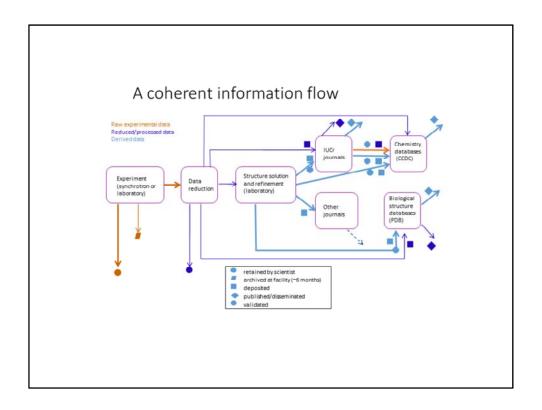
- Crystallographic Core (coreCIF) 1991
- Crystallographic Restraints 2011
- Crystallographic Powder Diffraction (pdCIF) 1997
- Modulated and Composite Structures (msCIF) 2002
- Multipole Electron Density (rhoCIF) 2003
- Crystallographic Twinning 2014
- Magnetic Structures (magCIF) 2016
- Lattice topology (topoCIF) 2018
- Crystallographic Symmetry (symCIF) 2001
- Diffraction Images (imgCIF) 2000
- High pressure under development
- Crystallographic Macromolecular Structure (mmCIF) 1997

This tabulation of the CIF dictionaries under COMCIFS management illustrates the breadth of subject areas encompassed by the crystallography-based ontologies, and also the fact that they continue to be developed over time.

CIF dictionaries (wwPDB)

- Crystallographic Macromolecular Structure (mmCIF) 1997
- PDB Exchange Dictionary (PDBx/mmCIF) 1997 and ongoing
- Integrative/Hybrid (I/H) methods 2017
- 3DEM Extension Dictionary 2004
- NMRSTAR Dictionary 2013
- Biological Small Angle Scattering—1998
- Model Archive Extension Dictionary 2018
- BIOSYNC Extension Dictionary 2000
- NMR Exchange Format Dictionary 2016

The Worldwide Protein Data Bank has been managing CIF dictionaries relevant to biological databases and research since 2006. Again, there is a wide spread of subject areas and a continuing development effort.

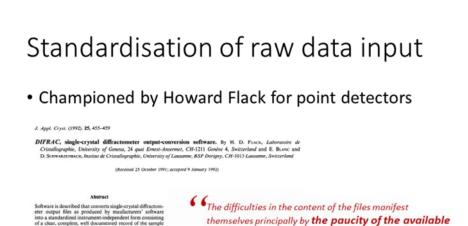


The acronym CIF – originally 'Crystallographic Information File', and subsequently 'Crystallographic Information Framework', as it became apparent that the actual file format was less important than the collection of precisely defined terms that the dictionaries provided – has also been subverted to this diagram, which illustrates the 'coherent information flow' all the way from the diffraction apparatus to the journals and databases. Again, in practice CIF files are not always involved at every stage of the pipeline – high data-rate image capture in synchrotrons increasingly uses HDF5/NeXus files. Nevertheless, the conceptual framework unites all the various processes, and informs approaches to frictionless information transfer (the NeXus profile for macromolecular crystallography is built very much on the imgCIF dictionary for diffraction images).

Early drivers for CIF

- Requirement to input raw data from many diffractometers
- Exchange data between software packages in the solution/refinement pipeline
- Provide a mechanism for electronic publication of articles
- Help referees to check the structural model
- Improve the accuracy of data capture by databases

In this part of the talk I carry out a historical review of the design principles guiding CIF from early days, in part to highlight the foresight of Syd Hall, Frank Allen and David Brown in their initial design, but also to recognise that the community has always been able to conjure up a holistic view of its data management requirements.



information necessitating additional input to the datatreatment software (e.g. type of radiation, wavelength of radiation, scan width, ...). The problem has become aggravated in recent times by the rapid development in electronic data exchange. ... The advent of machinereadable submission for publication and data-base and supplementary-material deposition further highlights the

problem of missing data. 9 9

Howard used to insist to me that CIF came about because he challenged Syd Hall to produce a format that could be used by all the various diffractometer vendors. This was a topic Howard was much exercised by, and he was responsible for the *DIFRAC* module of *Xtal* that captured the wide and growing range of raw (point diffractometer) input data. The complaint in his 1992 paper that the raw data files usually lacked essential metadata is hardly less relevant today.

Standardisation of raw data input

- Championed by Howard Flack for point detectors
- Relatively unenthusiastic uptake by vendors
- CIFs produced by commercial vendors often faulty
- imgCIF/CBF a second-wave attempt for diffraction images
- Perhaps slightly more effort from vendors
- 'mini-CBFs' showed significant diversity
- Reluctance to record essential experimental metadata

Howard used to insist to me that CIF came about because he challenged Syd Hall to produce a format that could be used by all the various diffractometer vendors. This was a topic Howard was much exercised by, and he was responsible for the *DIFRAC* module of *Xtal* that captured the wide and growing range of raw (point diffractometer) input data. The complaint in his 1992 paper that the raw data files usually lacked essential metadata is hardly less relevant today. When area detectors became more widespread, the imgCIF initiative addressed the metadata requirements for diffraction images. There was considerable effort to try to encourage the vendors to populate each frame with relevant metadata, but only partial success, and different vendors responded to different degrees and to different extent. While some standardisation is better than none, there is still scope for persuading the vendors to make more metadata available more easily. The IUCr's Committee on Data (CommDat) is sponsoring a 'checkCIF for raw data' exercise that ha sthis as its goal.

Data exchange between software packages

- STAR File modelled loosely on Xtal internal data structures
- Particular early adopters were collaborative packages (NRCVAX, CCP4) or general-purpose analysis programs (PLATON)
- Adoption by 'market leader' SHELXL crucial for success
- · Reluctant uptake of mmCIF because of existing PDB format
- In general, has stood up well to the test of time
 - Generic presentations like XML not popular (but watch JSON!)
 - · Limitations of PDB format eventually led to mmCIF as standard
 - Adoption of HDF5/NeXus in image capture driven by throughput needs
 - · Relational nature of DDL dictionaries has become more important

The Crystallographic Information File (i.e. the file format associated with CIF) has been reasonably successful, because in many ways it is fit for purpose. The exact purposes for which it was defined are described in the original paper [Hall, S. R., Allen, F. H. & Brown, I. D. (1991). The crystallographic information file (CIF): a new standard archive file for crystallography. Acta Cryst. A47, 655-685]. The continuing evolution of computer technology, coupled with new computational requirements, recently led to a revised specification [Bernstein, H. J., Bollinger, J. C., Brown, I. D., Gražulis, S., Hester, J. R., McMahon, B., Spadaccini, N., Westbrook, J. D. & Westrip, S. P. (2016). Specification of the Crystallographic Information File format, version 2.0. J. Appl. Cryst. 49, 277-284], although this is not yet in widespread use. There is still some friction between the smallunit-cell and macromolecular CIF file formats, though this is arguably a feature of the underlying conceptual model at least as much as the formatting differences [Brink, A. & Helliwell, J. R. (2019). Why is interoperability between the two fields of chemical crystallography and protein crystallography so difficult? IUCrJ 6, DOI:10.1107/S2052252519010972]. Nevertheless, it still delivers a lightweight, easilyeditable medium for information exchange, and is easily convertible with other formats.

Electronic publication

- · Adoption by IUCr Journals (1991) very important
- Mandatory data format for Acta C by 1996
- Notes for Authors stipulate and validate mandatory metadata by listing required CIF data items
- Most journals reporting crystal structures now require CIFs as supporting information
- For online publication, availability of CIF makes the publication interactive

The adoption of CIF as a publication mechanism by IUCr journals was undoubtedly a very strong factor in its success. Authors were initially resistant to the new approach, just as people are generally resistant to innovation, but the pressure to publish overcame that resistance. Some young researchers, not born when CIF was published, can hardly imagine crystallography without CIF. However, it is noteworthy (and to me somewhat disappointing) that other publishers still do not see the fundamental difference between publishing an article derived from a data-rich well-structured file such as a CIF and publishing the conventional article with a semi-detached set of files of supporting information.

Technical peer review

- IUCr journals always required reviewers to check chemical structures
- CIF allowed ease of input to popular checking programs (PARST, MISSYM, UNIMOL, CREDUC)
- This led to semi-automated validation
 - · IUCr checking reports
 - checkCIF dedicated tests
 - · Consolidation with PLATON
- Elimination of 'Marshing'
- Subsequent ability to validate structure factors and redo refinement

It was the burden of undertaking the technical review of the published structure that drove the introduction of the *checkCIF* service. While it has undoubtedly relieved most of the tedium of the reviewer, it has introduced the danger that 'alerts' are seen as determinative and not indicative. Reviewers can relax their guard if a *checkCIF* report does not have A alerts; conversely, authors can massage results to 'get around' the admonishments of *checkCIF*, as they are sometimes perceived.

Improved quality of structures in databases

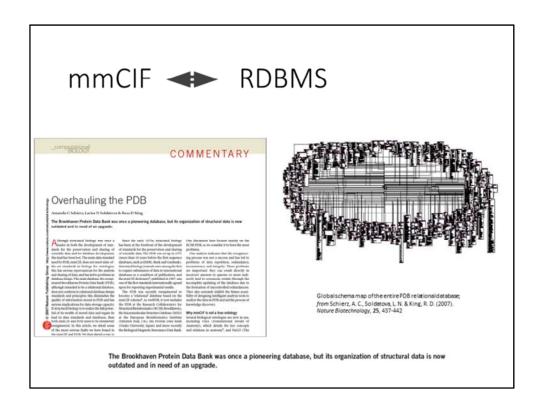
- Improved quality of small-unit-cell structures from IUCr journals
- Convergence of checking criteria with CCDC
- Adoption of checkCIF for CCDC direct depositions
- wwPDB database structure isomorphic to mmCIF
- PDB requirement for structure factors in CIF format
- Validation Reports developed alongside extension CIF dictionaries for novel techniques

The improvement in quality of structures finding their way into small-unit-cell databases after *checkCIF* screening is apparent. However, a particular factor that I also want to highlight in the case of biological macromolecules is the importance of the mmCIF design as a relational data structure.

mmCIF **RDBMS**

- CIF originally developed as tagged file format with one-dimensional loops
- York mmCIF workshop (1993) identified similarities with relational database structure
- DDL2 developed 1994/5 as a fully relational description of CIF data items
- The mmCIF/DDL2 schema is the basis for the relational database schema used by the wwPDB
- Latest iteration of DDLm retains this relational nature

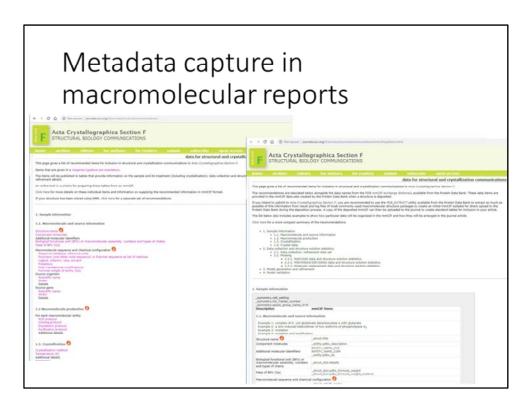
Following the brief history outlined in the slide, CIF has become very strongly a relational data model. This is satisfying, partly because relational databases are founded on strong basic mathematical principles [Date, C. J. (1995). *An Introduction to Database Systems*, 6th ed. Reading, MA: Addison-Wesley] and partly because the relational model can be transformed into different object representations by applying appropriate denormalisations [Hester, J. R. (2016). A robust, format-agnostic scientific data transfer framework. *Data Science Journal*, **15**:12, 1–17]. An immediate consequence of this is that a well-formed mmCIF file can be imported directly into the Protein Data Bank with full internal referential integrity. As well as keeping the database engineers happy, this ensures that the database entries are all consistent descriptions of macromolecules and their associate properties (such consistency does not of itself guarantee correctness, of course).



This slide is my favourite illustration of the need to bring different points of view to the analysis of a technical challenge. A 2007 critique published in *Nature Computational Biology* claimed the PDF was outdated and in need of an upgrade. The fact that the PDB continues to flourish more than a decade later suggests that it was able to survive this criticism.

- Critique: too many tables in the database empty or nearly empty
 - → poorly defined schema
- Reality: each table represents a category of information needed to describe the structure completely
- *Problem*: depositors unwilling to provide that information (*i.e.* populate the tables)
- Most of the poorly populated tables capture experimental metadata

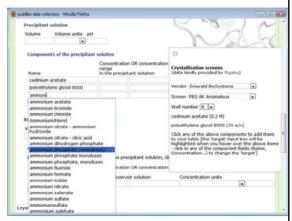
The criticism itself rested on the large number of nearly-empty tables, which the authors adduced as evidence for poor database design. Normally a well-normalised relational database would aim to have its separate tables well populated. While the poorly populated tables in the PDB might indeed have run against best practice in efficient space utilisation and data retrieval from a hypothetical database, I make the case that each table existed to capture specific information that structural biologists would like to make use of. The fact that they were poorly populated was a reflection that the community was unwilling to provide the desired information, either through lack of appreciation of the real value of having that data, or (more likely) because of the effort involved to do so, or the lack of tools to facilitate the desired data capture.



IUCr journals sought to help out in this regard. While Howard Einspahr and Manfred Weiss were Editors of *Acta Cryst. F* they drew up a detailed list of the information that would be desirable in providing a complete description of a macromolecular structure, including details of the diffraction experiment, phasing strategy, sample preparation and crystallization, among others. The slide shows the two lists that they prepared, one as a textual listing [https://journals.iucr.org/f/services/structuralcommunications/], the other as a parallel list of mmCIF data items providing this information [https://journals.iucr.org/f/services/structuralcommunications/mmcifreqditems.html]. In principle this could form the basis for a *checkCIF* for protein structures. In practice, it is still difficult to persuade authors to provide this level of detail, and the existence of these lists is no longer explicit in the journals' *Notes for Authors*.

Authoring tools to assist metadata capture (*publBio* publisher)

- For MX a particular shortcoming is details of sample preparation and crystallization
- publBio offers a helpful interface
- Still a drought of crystallization papers
- Perhaps a role for IUCrData?



The *publBio* annotator is a tool for authoring macromolecular structure articles or crystallization papers. It is currently somewhat hidden from view (select "about" on the *publBio* home page to find a link to it, or use directly the URL

http://publbio.iucr.org/publbio/publbio.php?version=1) and development has been frozen. However, it offers greater functionality in retrieving data from a fully populated mmCIF input file, and for populating crystallization detail by lookup of online databases. It involves building a publication by working through a number of distinct pages ('macromolecule', 'crystallization', 'crystal data', 'data collection', 'data-collection statistics', 'phasing' and 'refinement') which correspond to the underlying mmCIF dictionary categories or category groups. Once mastered, it offers an efficient and relatively painless way to populate a full PDB entry, but at present there is still too great an initial learning curve to attract authors used to the conventional way of preparing an article. I hope that the IUCr will continue to offer it, and in future renew its development efforts, as authors come to understand its benefits.

The checkCIF paradigm

Three aspects to checkCIF validation:

1. Completeness (the 'metadata' problem)

So we reiterate the threefold nature of the *checkCIF* paradigm in the light of the material covered in the presentation.

The metadata problem

- checkCIF for small structures achieves this reasonably well
 - · For IUCr journals: published requirements in Notes for Authors
 - For other journals: in principle, customised 'request lists'; in practice, de facto acceptance of IUCr recommendations with ad hoc pick and choose
 - · Possibility of better uptake through automated LIMS systems
- · For protein structures
 - · Reluctance in specifying mandatory data items
 - Inertia in design of standard experimental protocols in some facilities
 - · Automated LIMS and other systems would help
- For raw data
 - CommDat sponsoring 'checkCIF for raw data' initiative

Metadata capture remains a significant challenge if one is to be able fully to reproduce an experiment or an author's treatment of the data collected from an experiment.

The checkCIF paradigm

Three aspects to checkCIF validation:

- 1. Completeness (the 'metadata' problem)
- 2. Internal self-consistency (relational methods)

Internal consistency is what I really meant by the one word 'correctness' in the opening slide.

Internal self-consistency

- IUCr checkCIF tests perform wide range of consistency checks
- Many of these also in PLATON
- Relational nature of DDL2 ensures category integrity within mmCIF
- DDLm offers a generic approach to specifying integrity relationships in dictionaries
- dREL a specific implementation of DDLm methods

Checks on internal consistency are facilitated by the relational nature of CIF. Structures in the PDB (and therefore their mmCIF 'mirror' instances) are guaranteed to have the referential integrity of a relational database. Manual checks built from the definitions in the CIF dictionaries can, in future, be replaced by enhanced definitions that contain algorithmic methods stating the relationships beteen different data items in a manner that can be evaluated by generic mechanical programs.

The checkCIF paradigm

Three aspects to *checkCIF* validation:

- 1. Completeness (the 'metadata' problem)
- 2. Internal self-consistency (relational methods)
- 3. Comparison with related structures (the 'knowledge' problem)

And my one-word 'context' resolves itself to a comparison with similar structures in the wider universe of knowledge.

The knowledge problem

- PLATON includes huge amount of crystallographic and chemical knowledge
- Mogul offers opportunity to compare new structures with existing curated ones in CSD
- PDB Validation Reports build on existing knowledge bases
- These tools are tuned to molecular geometry and other chemical properties
- Prospect of interrogating any ensemble of CIFs for any other defined properties through a non-specific API

This is where *checkCIF* is most contentious – many alerts refer to outliers from a statistical aggregate of values. They are not necessarily 'wrong' (though we can expect in future that machine-assisted learning in collaboration with the 'complete' and 'correct' tests of *checkCIF* might be better able to produce such a judgement, at least in some cases). I also raise here the notion that work on generic APIs interfacing with collections of CIF data files (the initial pilot will use the IUCr journals corpus) will allow *ad hoc* distributed databases to spring into life as CIFs become populated with new data items (*e.g.* describing non-crystallographic physical or chemical properties). Once again, machine learning and artificial intelligence could lead through this mechanism to novel research strategies.

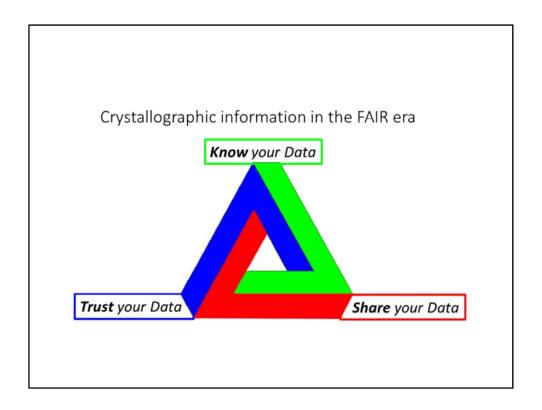
Pain points for CIF in the 21st century

- · Reluctance/difficulty in supplying experimental metadata
- Reticence in revising core dictionaries
- Lax approach to detailed standards in some software packages
- Lack of resources in developing CIF2/DDLm applications
- Lack of resources for validation software maintenance and development
- None are critical many show some (but slow) progress
- Important to keep momentum and train new generation

In a presentation to a general (e.g. CODATA) audience, I would end on that high note. But amongst friends, it's worth reflecting on the shortcomings both within the CIF specifications and their practical implementation. Compared with many disciplines, crystallography has achieved a great deal. But it is in danger of reaching a plateau (especially as the generation that brought CIF to the community fades into retirement) unless new blood can be stirred.



And so we return to the starting quotation, and show that it is part of a prospectus for the first School on Crystallographic Information, which, if successful, might just spark the enthusiasm of the younger generation.



And the take-home message of that School is encapsulated in the final graphic – an exhortation to understand what today's 'black-box' instrumentation is actually doing with data, to be sure that you believe that analysis because you have worked through it critically with your own eyes, and that only then can you be confident of disseminating the results of your research as trustworthy. This philosophy should be held by all scientists. As crystallographers, we are fortunate in having CIF to make it a smoother process.