

1 **Phasing and imputation of single nucleotide polymorphism**  
2 **data of missing parents of bi-parental plant populations**

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15

16 **Key Message:** New fast and accurate method for phasing and imputation of SNP chip  
17 genotypes within diploid bi-parental plant populations.

18

19 **Abbreviations:** LD, low-density; HD, high-density; SNP, single nucleotide  
20 polymorphism; cM, centiMorgan.

21

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23 developed the method, coded the final program, developed the study design and  
24 performed the analysis. VW, RCG, EB and GG contributed to the development of  
25 components of the method, to the design and analysis and to the interpretation of the

26 results and provided comments on the manuscript. SG and JH wrote the first draft. All

27 authors read and approved the final manuscript.

28

29 **Conflict of Interest:** The authors declare that they have no conflict of interest.

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31

## 32 **Abstract**

33           This paper presents an extension to a heuristic method for phasing and  
34 imputation of genotypes of descendants in bi-parental populations so that it can phase  
35 and impute genotypes of parents of bi-parental populations that are fully ungenotyped  
36 or partially genotyped. The imputed genotypes of the parent are then used to impute  
37 low-density genotyped descendants of the bi-parental population to high-density. The  
38 extension works in three steps. First, it identifies whether a parent has no or low-  
39 density genotypes available and it identifies all of its relatives that have high-density  
40 genotypes. Second, using the high-density information of relatives, it determines  
41 whether the parent is homozygous or heterozygous for a given locus. Third, it phases  
42 heterozygous positions of the parent by matching haplotypes to its relatives.

43           We implemented the new algorithm in an extension of the AlphaPlantImptue  
44 software and tested its accuracy of imputing missing parent genotypes in simulated  
45 bi-parental populations from different scenarios. We also tested the accuracy of  
46 imputation of the missing parent's descendants using the true genotype of the parent  
47 and compared this to using the imputed genotypes of the parent. Our results show that  
48 across all scenarios, the accuracy of imputation of a parent, measured as the  
49 correlation between true and imputed genotypes, was  $> 0.98$  and did not drop below  $\sim$   
50 0.96. The imputation accuracy of a parent was always higher when it was inbred than  
51 when it was outbred and when it had low-density genotypes. Including ancestors of  
52 the parent at HD, increasing the number of crosses and the number of high-density  
53 descendants all increased the accuracy of imputation. The high imputation accuracy  
54 achieved for the parent across all scenarios translated to little or no impact on the  
55 accuracy of imputation of its descendants at low-density.

## 56 **Introduction**

57           This paper presents an extension to a heuristic method for phasing and  
58 imputation of genotypes of descendants in bi-parental populations so that it can phase  
59 and impute genotypes of parents of bi-parental populations that are fully ungenotyped  
60 or partially genotyped. The imputed genotypes of the parent are then used to impute  
61 low-density genotyped descendants of the bi-parental population to high-density.  
62 High-density SNP array data in plant breeding populations is increasingly valuable for  
63 genomic selection and for identifying regions of the genome that underlie traits of  
64 interest in genome-wide association studies (Bernardo and Yu, 2007; Hamblin et al.,  
65 2011). One of the major barriers to the adoption of genomic selection in plant  
66 breeding programs is that the number of selection candidates that would need to be  
67 genotyped at high-density in each cycle can be very large (Heffner et al., 2010).

68           In livestock and human populations, an effective strategy to overcome this  
69 cost barrier has been to genotype a subset of the population at high-density and to use  
70 this data for imputation of the rest of the population genotyped at low-density. The  
71 adoption of this strategy has been enabled by the development of imputation tools that  
72 leverage pedigree relationships or population-level linkage information for fast and  
73 accurate genotype imputation (Kong et al., 2008; Howie et al., 2009; Druet and  
74 Georges, 2010; Li et al., 2010; Sargolzaei et al., 2011; Hickey et al., 2011; Cleveland  
75 and Hickey, 2013; Hickey and Kranis, 2013; VanRaden et al., 2015; O'Connell et al.,  
76 2016; Loh et al., 2016; Antolín et al., 2017).

77           In most plant breeding populations, a small number of selected parents are  
78 crossed to generate large numbers of bi-parental populations. Therefore, high-density  
79 genotyping of all parents and low-density genotyping of focal individuals (i.e.,

80 descendants that are the imputation targets) could be an effective low-cost strategy in  
81 these populations (Jacobson et al., 2014, 2015; Gorjanc et al., 2017b; a). To our  
82 knowledge, very few imputation tools designed to leverage features of plant breeding  
83 programs, such as fully or almost fully inbred parents, small numbers of meiosis  
84 separating parents and descendants who are to have genotypes imputed and different  
85 crossing structures (e.g., selfing, double haploids), to enable fast and accurate  
86 genotype imputation have been developed. We recently presented a fast,  
87 computationally efficient and accurate heuristic genotype imputation method  
88 implemented in AlphaPlantImpute (Gonen et al., 2018) that explicitly leverages  
89 features of plant breeding programs to maximise the accuracy of imputation. Using  
90 simulated data, we showed that an average accuracy of imputation of 0.96 could be  
91 achieved for a scenario where  $F_2$  individuals who were to be imputed were genotyped  
92 with 50 markers per chromosome and both parents were inbred and genotyped at  
93 25,000 markers per chromosome.

94         The drawback of our previous algorithm is that it requires that both parents of  
95 each bi-parental population are known and have phased genotypes available at high-  
96 density. Although this is normally the case when parents are inbred, pedigree errors,  
97 sample loss or mislabelling or poor DNA quality can mean that one or both parents  
98 may have fully or partially missing genotype data. Additionally, if genotyping  
99 resources are limiting, breeders may choose not to genotype a parent that has only  
100 been used to in one or two crosses. Furthermore, even if parents have high-density  
101 genotypes available, unless they are fully inbred (i.e., homozygous at every locus and  
102 therefore all genotypes are phased *de facto*) it is unlikely that they have phased  
103 genotypes available for use in imputation.

104           This paper presents an extension to our previous algorithm in  
105 AlphaPlantImpute to enable it phase and impute high-density genotypes of parents of  
106 bi-parental populations that are missing or that only have low-density genotypes  
107 available. The extension requires that some relatives of the parent (e.g., descendants,  
108 ancestors, siblings) have high-density genotypes. The extension has three steps. First,  
109 it identifies whether a parent has no or low-density genotypes available and all of its  
110 relatives that have high-density genotypes. Second, using the high-density  
111 information of relatives, it determines whether the parent is homozygous or  
112 heterozygous for a given locus. Third, it phases heterozygous positions of the parent  
113 by matching haplotypes to its relatives.

114           We tested the accuracy of imputing missing parent genotypes using the  
115 extension to AlphaPlantImpute in simulated bi-parental populations from different  
116 scenarios. These scenarios varied in the levels of inbreeding in the missing parent,  
117 whether the parent had no genotypes or was genotyped at low-density, the number of  
118 crosses that the parent was used in and whether the ancestors of the parent had high-  
119 density genotypes available. We calculated the accuracy of imputation of the missing  
120 parent within each scenario as the correlation between the true and imputed  
121 genotypes. We also tested the accuracy of imputation of the missing parent's  
122 descendants using the true genotype of the parent compared to using the imputed  
123 genotypes of the parent. Our results show that across all scenarios, the accuracy of  
124 imputation of a parent was consistently high. The imputation accuracy of a parent was  
125 always higher when it was inbred than when it was outbred and when it had low-  
126 density genotypes. Including ancestors of the parent at HD, increasing the number of  
127 crosses and increasing the number of high-density descendants all increased the  
128 accuracy of imputation. The high imputation accuracy achieved for the parent across

129 all scenarios had little or no impact on the accuracy of imputation of its descendants at

130 low-density, which remained high.

131

## 132 **Materials and methods**

### 133 *Definitions*

134 A focal individual is a descendant individual that is to be imputed. Parent A is  
135 the missing parent that is the target of imputation. The high-density (**HD**) array is the  
136 target array for imputation. In our test datasets, the HD array consisted of 25,000 SNP  
137 markers. The low-density (**LD**) array is the array at which focal individuals have  
138 genotypes and where Parent A may have genotypes. The LD array consisted of 50  
139 SNP markers.

### 140 *Description of the method*

141 We present an extension to the original imputation method in  
142 AlphaPlantImpute to phase and impute parents of bi-parental populations that are  
143 missing or that have LD genotypes available. First, AlphaPlantImpute identifies  
144 parents with missing genotypes or unphased genotypes (hereafter described for a  
145 single parent referred to as Parent A). Second, AlphaPlantImpute gathers HD  
146 genotype information of all known relatives for Parent A. Relatives include ancestors,  
147 siblings, descendants and mates. AlphaPlantImpute then uses any genotype  
148 information available on Parent A and its relatives to first impute missing genotypes  
149 and then phase heterozygous genotypes of Parent A.

### 150 *Parent A not genotyped*

151 In livestock, the next generation are produced by a single cross of two  
152 ancestors. This means that loci where both ancestors are homozygous for the same  
153 genotype (i.e., both are genotype 0 or genotype 2) and where ancestors are opposing



154 homozygotes (i.e., one is genotype 0 and the other is 2) can be confidently imputed in  
155 their offspring. In plant breeding populations, individuals are often the product of a  
156 single cross to produce F1 individuals, followed by many rounds of selfing. This  
157 means that if an offspring (in this case Parent A) has no genotypes but has ancestors  
158 genotyped at HD, the only loci that can be confidently imputed are where both of its  
159 ancestors are homozygous for the same. These loci are phased *de-facto*.

160         If Parent A has HD descendants and mates, use this information to phase and  
161 impute genotypes for Parent A in the following three steps: (1) Infer positions where  
162 Parent A is likely to be homozygous based on allele frequencies in descendants. For  
163 example, if all HD descendants are fixed for the 0 allele, then Parent A is likely to be  
164 genotype 0. If the allele frequencies are almost equal and the mate of Parent A is  
165 known to be genotype 0, then Parent A is likely to be genotype 2; (2) Infer positions  
166 where Parent A is likely to be heterozygous based on genotype frequency distortion in  
167 descendants. This is calculated using a chi-square test of observed genotype counts to  
168 expected genotype counts given observed allele frequencies. If there is significant  
169 distortion and the mate is homozygous then Parent A is likely to be heterozygous; (3)  
170 To phase inferred heterozygous loci of Parent A at HD, collate the genotypes of all  
171 HD descendants and mates at these loci. Use these loci as anchor points in the  
172 heuristic imputation algorithm of AlphaPlantImpute (Gonen et al., 2018) to determine  
173 parent-of-origin for the haplotypes of all descendants. For haplotypes of descendants  
174 assigned to Parent A, collate the haplotypes at HD and derive consensus phase for  
175 Parent A.

176         *Parent A has LD genotypes*

177           If Parent A has LD genotypes and has ancestors genotyped at HD,  
178 AlphaPlantImpute uses the LD genotypes in the heuristic imputation algorithm as  
179 described in Gonen et. al. (2018). Briefly, the LD genotypes serve as anchor points  
180 for defining parent-of-origin for the haplotypes of Parent A. Use these anchor points  
181 to simultaneously phase and impute Parent A to HD.

182           If Parent A has HD descendants and mates, impute the genotypes of Parent A  
183 in the following four steps: (1) Identify the loci at which Parent A, descendants and  
184 mates are genotyped and collate the genotypes; (2) Use these genotypes as anchor  
185 points in the existing heuristic imputation algorithm of AlphaPlantImpute (Gonen et  
186 al., 2018) to determine parent-of-origin for the haplotypes of all descendants; (3) For  
187 haplotypes of descendants assigned to Parent A, collate the haplotypes at HD and  
188 derive consensus haplotypes for Parent A; (4) Fill genotypes of Parent A as the sum  
189 of the two derived haplotypes.

190           If Parent A has HD ancestors, descendants and mates then a consensus of the  
191 phased and imputed genotypes using only ancestor information or using only  
192 descendant information is derived. Where they disagree, set as missing.

### 193 *Examples of implementation: Description of datasets*

194           To test the imputation accuracy of this modification of AlphaPlantImpute,  
195 testing datasets of bi-parental populations from different scenarios were simulated.  
196 These scenarios varied in the levels of inbreeding in the missing parent, whether the  
197 parent had no genotypes or was genotyped at low-density, the number of crosses that  
198 the parent was used in and whether the ancestors of the parent had high-density

199 genotypes available. A description of the general structure and simulation method of  
200 the different scenarios is given below.

### 201 *Simulation of genomic data*

202         Sequence data for 100 base haplotypes for a single chromosome were  
203 simulated using the Markovian Coalescent Simulator (Chen et al., 2009) and  
204 AlphaSimR (Faux et al., 2016). The base haplotypes were  $10^8$  base pairs in length,  
205 with a per site mutation rate of  $1.0 \times 10^{-8}$  and a per site recombination rate of  $1.0 \times 10^{-8}$ ,  
206 resulting in a chromosome size of 1 Morgan (M). The effective population size ( $N_e$ )  
207 was set at specific points during the simulation to mimic changes in  $N_e$  in a crop such  
208 as maize (*Zea mays L.*). These set points were: 100 in the base generation, 1000 at  
209 100 generations ago, and 10,000 at 2000 generations ago, with linear changes in  
210 between. The resulting whole-chromosome haplotypes had approximately 80,000  
211 segregating sites in total.

### 212 *Simulation of a pedigree*

213         A founder population of 1000 inbred individuals was initiated. Two  
214 individuals from this founder population (denoted B and C) were crossed to generate  
215 1000  $F_1$  individuals. These individuals were selfed for  $n$  rounds and one individual  
216 was selected to be Parent A. The number of rounds of selfing ( $n$ ) was 100 if Parent A  
217 was simulated to be fully inbred or was 1 if Parent A was simulated to be outbred.  
218 Depending on the scenario, Parent A was crossed to 1, 2, 3 or 4 individuals (denoted  
219 D, E, F, G) from the initial founder population to generate 1000 of  $F_1$  individuals.  $F_1$   
220 individuals were selfed to generate 1000  $F_2$  individuals. These were the descendants  
221 used for imputation of Parent A.

222 In the base generation, individuals had their chromosomes sampled from the  
223 100 base haplotypes. In subsequent generations the chromosomes of each individual  
224 was sampled from parental chromosomes with recombination, resulting in a  
225 chromosome size of 1 Morgan (M). Recombinations occurred with a 1% probability  
226 per cM and were uniformly distributed along the chromosome.

### 227 *Simulated SNP marker arrays*

228 A single HD array of 5,000 SNP markers and a single LD array of 50 SNP  
229 markers for the single chromosome was simulated. Arrays were constructed by  
230 aiming to select a set of markers that segregated in the parents and that were evenly  
231 distributed across the chromosome. The LD array was nested within the HD array.

### 232 *Scenarios*

233 The imputation accuracy of Parent A was assessed in 8 different scenarios.  
234 Scenarios were designed to test the effect of including or excluding ancestors of  
235 Parent A (hereafter referred to as Grandparent 1 and Grandparent 2) and the effect of  
236 having genotype information of F<sub>2</sub> individuals from one, two, three or four crosses of  
237 Parent A with Parents B, C, D and E. From each cross, 10 F<sub>2</sub> individuals were  
238 selected as HD descendants. The remaining 990 were F<sub>2</sub> focal individuals genotyped  
239 at LD. In all scenarios, Parent A could be either inbred or outbred and could be either  
240 genotyped at LD or not. One hundred replications of each scenario were performed  
241 and the average of each replication is reported in the results.

242 Scenarios 1, 2, 3 and 4 excluded the parents of Parent A (hereafter referred to  
243 as Grandparent 1 and Grandparent 2). Scenarios 5, 6, 7 and 8 included Grandparent 1  
244 and Grandparent 2. Scenarios 1 and 5 had information from one cross (Parent A x

245 Parent B). Scenarios 2 and 6 had information from two crosses (Parent A x Parent B;  
246 Parent A x Parent C). Scenarios 3 and 7 had information from three crosses (Parent A  
247 x Parent B; Parent A x Parent C; Parent A x Parent D). Scenarios 4 and 8 had  
248 information from three crosses (Parent A x Parent B; Parent A x Parent C; Parent A x  
249 Parent D; Parent A x Parent E).

250 In addition to the imputation accuracy of Parent A, the accuracy of imputing  
251 the F<sub>2</sub> focal individuals genotyped at LD to HD using the phased and imputed  
252 genotypes of Parent A was assessed. This was compared to the imputation accuracy  
253 that would have been achieved if genotypes of Parent A were known and not imputed.

#### 254 *Analysis*

255 Imputation of Parent A was performed using information across all crosses  
256 and of Parents B and C, if available. Imputation of F<sub>2</sub> focal individuals genotyped at  
257 LD was performed within a cross using the heuristic imputation method of  
258 AlphaPlantImpute described in Gonen et. al. 2018. The imputation accuracy was  
259 calculated as the correlation between the true and imputed genotypes. The imputation  
260 yield was calculated as the number of SNPs with imputed genotypes divided by the  
261 total number of SNPs on the HD array. In all scenarios, Grandparents 1 and 2 and  
262 Parents B, C, D and E were assumed genotyped at HD.

## 263 **Results**

264 Unless otherwise stated, all results presented below had 10 HD descendants  
265 per cross.

### 266 *Effect of whether Parent A is inbred or outbred*

267 The imputation accuracy of Parent A was always higher when it was inbred  
268 than when it was outbred but the differences were small. Figure 1 plots the genotype  
269 accuracy for Parent A in Scenario 1. The colours differentiate whether Parent A was  
270 inbred (red) or outbred (blue). The transparencies differentiate whether Parent A had  
271 no genotypes (opaque) or had LD genotypes (transparent). Figure 1 shows that when  
272 Parent A had no genotypes, the accuracy of imputation was 1.01 times higher when it  
273 was inbred than when it was outbred (0.980 vs. 0.970). When Parent A had LD  
274 genotypes, the accuracy of imputation was 1.02 times higher when it was inbred than  
275 when it was outbred (0.999 vs. 0.983). For all cases, the yield of imputation was  
276 100%.

### 277 *Effect of whether Parent A has LD genotypes or not*

278 The imputation accuracy of Parent A was always higher when it had LD  
279 genotypes than when it had no genotypes but the differences were small. Figure 1  
280 shows that when Parent A was inbred, the accuracy of imputation was 1.02 times  
281 higher when it had LD genotypes than when it had no genotypes (0.999 vs. 0.980).  
282 When Parent A was outbred, the accuracy of imputation was 1.01 times higher when  
283 it had LD genotypes than when it had no genotypes but the differences were small (0.  
284 983 vs. 0.970).

285 *Effect of including Grandparent 1 and Grandparent 2 at HD*

286 Including Grandparent 1 and Grandparent 2 increased the accuracy of  
287 imputation when Parent A has some LD genotypes but the differences were small.  
288 When Parent A had no genotypes, the accuracy of imputation was the same regardless  
289 of whether Grandparent 1 and Grandparent 2 were included or excluded. Figure 2 is  
290 similar to Figure 1 and plots the genotype accuracy (Figure 2a) and genotype yield  
291 (Figure 2b) for Parent A in Scenarios 1 and 5. Figure 2a shows that the main benefit  
292 of including Grandparent 1 and Grandparent 2 for increasing the imputation accuracy  
293 was when Parent A was outbred and had LD genotypes. In this case, the accuracy of  
294 imputation of Parent A was 1.02 times higher when Grandparent 1 and Grandparent 2  
295 were included than when they were excluded (0.983 vs. 0.997). However, this  
296 increase in accuracy was at the expense of yield. Figure 2b shows that when Parent A  
297 was outbred and had LD genotypes, the yield was 100% when Grandparent 1 and  
298 Grandparent 2 were excluded and was 97.4% when Grandparent 1 and Grandparent 2  
299 were included.

300 *Effect of the number of crosses with Parent A*

301 Increasing the number of crosses that Parent A was used in increased the  
302 accuracy of imputation but the differences were small. Figure 3a is similar to Figure 1  
303 and plots the genotype accuracy for Parent A in Scenarios 1, 2, 3 and 4. Figure 3a  
304 shows that increasing the number of crosses from one in Scenario 1 to two in Scenario  
305 2 increased the imputation accuracy regardless of whether Parent A was inbred or  
306 outbred, or had no genotypes or had LD genotypes. When Parent A was inbred, the  
307 accuracy of imputation was 1.02 times higher in Scenario 2 than in Scenario 1 when it  
308 had no genotypes (0.980 vs. 0.999) and was just slightly higher when it had LD

309 genotypes (0.999 vs. 1.0). When Parent A was outbred, the accuracy of imputation  
310 was 1.01 times higher in Scenario 2 than in Scenario 1 when it had no genotypes  
311 (0.970 vs. 0.975) and was 1.01 times higher when it had LD genotypes (0.983 vs.  
312 0.992). For all cases, the yield of imputation was 100%.

313         Increasing the number of crosses that Parent A was used in increased the  
314 accuracy of imputation most when Parent A was outbred and had LD genotypes but  
315 the differences were small. Figure 3a shows that when the number of crosses  
316 increased from one in Scenario 1 to four in Scenario 4, the accuracy of imputation  
317 was 1.02 times higher in Scenario 4 than in Scenario 1 when Parent A was outbred  
318 and had LD genotypes (0.983 vs. 0.999).

319         Figure 3a also shows that increasing the number of crosses that Parent A was  
320 used in decreased the accuracy of imputation when Parent A was outbred and had no  
321 genotypes but the differences were small. When the number of crosses increased from  
322 one in Scenario 1 to four in Scenario 4, the accuracy of imputation was 1.01 times  
323 higher in Scenario 1 than in Scenario 4 (0.970 vs. 0.959).

#### 324 *Effect of number of descendants with HD genotypes*

325         Increasing the number of descendants with HD genotypes increased the  
326 accuracy of imputation of Parent A but the differences were small. Figure 3b is  
327 similar to Figure 3a and plots the genotype accuracy for Parent A in Scenarios 1, 2, 3  
328 and 4 when the number of descendants with HD genotypes was 50. For example for  
329 Scenario 1, when the number of descendants increased from 10 to 50 the accuracy of  
330 imputation was 1.01 times higher when Parent A was inbred and had no genotypes  
331 (0.980 vs. 0.988), was just slightly higher when Parent A was inbred and had LD



332 genotypes (0.999 vs. 1.00), was 1.02 times higher when Parent A was outbred and had  
333 no genotypes (0.970 vs. 0.990), and was 1.02 times higher when Parent A was  
334 outbred and had LD genotypes (0.983 vs. 0.999). For all cases, the yield of imputation  
335 was 100%. Figure 3b also shows that when the number of descendants with HD  
336 genotypes was 50, increasing the number of crosses to two or more resulted in  
337 accuracy of imputation for Parent A of >0.999.

338 *Effect of using imputed genotypes or true genotypes of Parent A to impute F<sub>2</sub> focal*  
339 *individuals*

340 Using true or imputed genotypes of Parent A had only a small effect on the  
341 accuracy of imputation of impute F<sub>2</sub> focal individuals. Figure 4 plots the increase in  
342 imputation accuracy achieved for F<sub>2</sub> focal individuals for Scenario 1. The increase in  
343 imputation accuracy is the difference between the accuracy achieved using true or  
344 imputed genotypes for Parent A to impute focal individuals. Figure 4 shows that the  
345 increase in imputation accuracy achieved for focal individuals using true genotypes of  
346 Parent A compared to using imputed genotypes was minimal regardless of whether  
347 Parent A was inbred or outbred or had LD or no genotypes. The largest increase  
348 achieved was when Parent A was outbred and had no genotypes, where an increase of  
349 0.029 was achieved. When Parent A was inbred and had LD genotypes, there was no  
350 increase in the accuracy of imputation of focal individuals when using true or imputed  
351 genotypes for Parent A.

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353

## 354 **Discussion**

355           Our results highlight two main points for discussion: (i) the performance of  
356 AlphaPlantImpute in imputing Parent A; and (ii) the effect using imputed genotypes  
357 or true genotypes of Parent A to impute F<sub>2</sub> focal individuals.

### 358 *Performance of AlphaPlantImpute in Imputing Parent A*

359           This paper presents an extension to the original heuristic imputation method in  
360 AlphaPlantImpute (Gonen et al., 2018) to phase and impute genotypes for parents of  
361 bi-parental populations who are missing or who have LD genotypes available. The  
362 extension requires that some relatives of the parent (e.g., descendants, ancestors,  
363 siblings) have HD genotypes. We tested and compared the performance of the  
364 algorithm, which we implemented in an updated version of AlphaPlantImpute (Gonen  
365 et al., 2018), across a range of scenarios where the parent to be imputed (Parent A)  
366 could be inbred or outbred, could have no or LD genotypes, could be a parent of one  
367 or multiple crosses with descendants at HD, or could have parents with HD  
368 genotypes. In general across all scenarios, the average accuracy was > 0.98 and the  
369 average accuracy did not drop below ~ 0.96. The yield was 100% for all scenarios  
370 apart from when Grandparents 1 and 2 (i.e., the ancestors of Parent A) were included  
371 with HD genotypes. The only scenario where this was not the case was when  
372 Grandparents 1 and 2 were included and Parent A was outbred and had LD genotypes.  
373 In this case, the yield dropped to 97%. The reason for this is that this scenario had HD  
374 genotypes available for both Grandparents 1 and 2 and for 10 offspring of Parent A.  
375 The heuristic algorithm uses the two sources of information independently to impute  
376 Parent A. Where they disagree, the genotype is set as missing.

377 As expected, adding more information from relatives genotyped at HD  
378 increased the accuracy of imputation for Parent A. When Parent A was used in a  
379 single cross, including its parents at HD increased the accuracy of imputation for  
380 Parent A, particularly when Parent A was outbred and had LD genotypes. However,  
381 the increase in accuracy when Parent A had LD genotypes was at the expense of  
382 yield. The reason for this decrease in yield is likely caused by disagreement between  
383 Parent A genotypes imputed using its descendants genotyped at HD and genotypes  
384 imputed using its parents genotyped at HD. When Parent A had no genotypes,  
385 including its parents at HD had no effect. This is because the only loci that could be  
386 filled with confidence were loci where its parents were fixed for the same allele.

387 Increasing the number of crosses that Parent A was used in increased the  
388 accuracy of imputation for Parent A when it was inbred or outbred and had LD  
389 genotypes. This was likely due to two reasons. First, the extra HD information from  
390 other crosses increased the ability to call heterozygous loci. For example, by chance  
391 within a single cross one of the haplotypes of Parent A may have been  
392 underrepresented or not represented in the descendants selected for HD genotyping  
393 but may have been represented in HD descendants in the second cross. Second, the  
394 LD genotypes of Parent A were used to assign parent-of-origin to the haplotypes of  
395 HD descendants. Loci that were not informative of parent-of-origin within one cross  
396 may have been informative in another cross, providing extra information on the  
397 haplotypes of Parent A. Increasing the number of crosses that Parent A was used in  
398 had only a small benefit when Parent A was inbred and had no genotypes. In this  
399 case, the accuracy of imputation for Parent A was already  $\sim 0.98$  with a single cross  
400 and increasing to number of crosses increased the accuracy of imputation for Parent A  
401 to  $> 0.999$ . The only exception to the benefit of increasing the number of crosses was

402 when Parent A was outbred and had LD genotypes. This could have been caused by  
403 incorrect assignment or the inability to assign parent-of-origin to the haplotypes of  
404 HD descendants, which would result in incorrect or uncalled genotypes for Parent A.

405         Increasing the number of descendants at HD within a cross increased the  
406 accuracy of imputation across all scenarios. This is expected, since more HD relatives  
407 provides more information for confidently calling the genotypes of Parent A.

408         Overall, the results suggest that high imputation accuracy of >0.98 and an  
409 imputation yield of 100% in almost all cases can be achieved for Parent A by  
410 collating HD genotypes of as many relatives as possible. This is critical for ensuring  
411 accurate imputation of descendants genotyped at LD.

412 *Effect of using imputed genotypes or true genotypes of Parent A to impute F<sub>2</sub> focal*  
413 *individuals*

414         Using true or imputed genotypes of Parent A had only a small effect on the  
415 accuracy of imputation of impute F<sub>2</sub> focal individuals. The largest increase in  
416 imputation accuracy when using true genotypes rather than imputed genotypes for  
417 Parent A was observed when Parent A was outbred and not genotyped, but even in  
418 this case the increase was 0.028. The likely reason for the small increase was that the  
419 accuracy of imputation of Parent A was in general > 0.96 across all scenarios.  
420 Therefore, our results suggest that some error in the imputation of Parent A is likely  
421 to have minimal, if any effect on the imputation of focal individuals that are its  
422 descendants.

423 *Relevance for breeding programs*

424           The use of genomic information in plant breeding populations could have a  
425 large impact for informing selection decisions (Bernardo and Yu, 2007; Heffner et al.,  
426 2010; Hamblin et al., 2011; Hickey et al., 2014; Daetwyler et al., 2014; Bassi et al.,  
427 2016). However, the large cost associated with the large number of candidates that  
428 would need to be genotyped in order to leverage the power of genomic selection is  
429 still a bottleneck. One way of overcoming this bottleneck would be to genotype the  
430 many thousands of selection candidates at LD and impute them to HD. To do this, the  
431 parents of the candidates need to have phased HD genotypes available or inferred.  
432 Genotyping parents at HD and inferring phase is theoretically feasible. However, in  
433 practice, not all parents will have phased HD genotypes available due to: (1) low  
434 quality DNA samples; (2) missing DNA samples (for example for older samples); (3)  
435 parents that are used in only a single cross may not be worth genotyping; (4)  
436 incomplete pedigrees; and (5) pedigree errors. If relatives (e.g., ancestors, offspring,  
437 siblings or mates) of a parent have HD genotypes available, this information could be  
438 used to phase and impute HD genotypes for the missing parent. The imputed  
439 genotypes could then be used to impute any selection candidates that descend from  
440 this missing parent. Our simulations show that high imputation accuracy and yield can  
441 be obtained for a missing parent, providing a cost-effective and powerful way of  
442 obtaining accurate HD genotypes for selection candidates that are descendants of the  
443 imputed parent.

#### 444 *Software availability*

445           We implemented our method in a software package called AlphaPlantImpute,  
446 which is available for download at  
447 <http://www.AlphaGenes.roslin.ed.ac.uk/AlphaPlantImpute/> along with a user manual.

## 448 **Conclusions**

449 This paper presents an extension to a heuristic method implemented in  
450 AlphaPlantImpute so that it can phase and impute genotypes of parents of bi-parental  
451 populations that are fully ungenotyped or partially genotyped. The imputed genotypes  
452 of the parent are then used to impute low-density genotyped descendants of the bi-  
453 parental population to HD. Our results show that the imputation yield was 100% in  
454 almost all scenarios. The accuracy of imputation of a parent was  $> 0.98$  and did not  
455 drop below  $\sim 0.96$ . The imputation accuracy of a parent was always higher when it  
456 was inbred than when it was outbred and when it had low-density genotypes.  
457 Including ancestors of the parent at HD, increasing the number of crosses and  
458 increasing the number of high-density descendants all increased the accuracy of  
459 imputation. The high imputation accuracy achieved translated to little or no impact on  
460 the accuracy of imputation of its descendants at low-density, which remained high.  
461 This extension will be useful in plant breeding populations aiming to incorporate  
462 genomic selection for a large number of candidates genotyped at LD where one of the  
463 parents of those candidates has no HD phased genotypes available.

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552 **Figure captions**

553 **Figure 1. Effect of whether Parent A is inbred or outbred and whether Parent A**  
554 **has no or LD genotypes.**

555 **Figure 2. Effect of including ancestors of Parent A at HD.**

556 **Figure 3. Effect of the number of crosses and number of HD descendants per**  
557 **cross.**

558 **Figure 4. Effect of using imputed genotypes or true genotypes of Parent A to**  
559 **impute F<sub>2</sub> focal individuals.**

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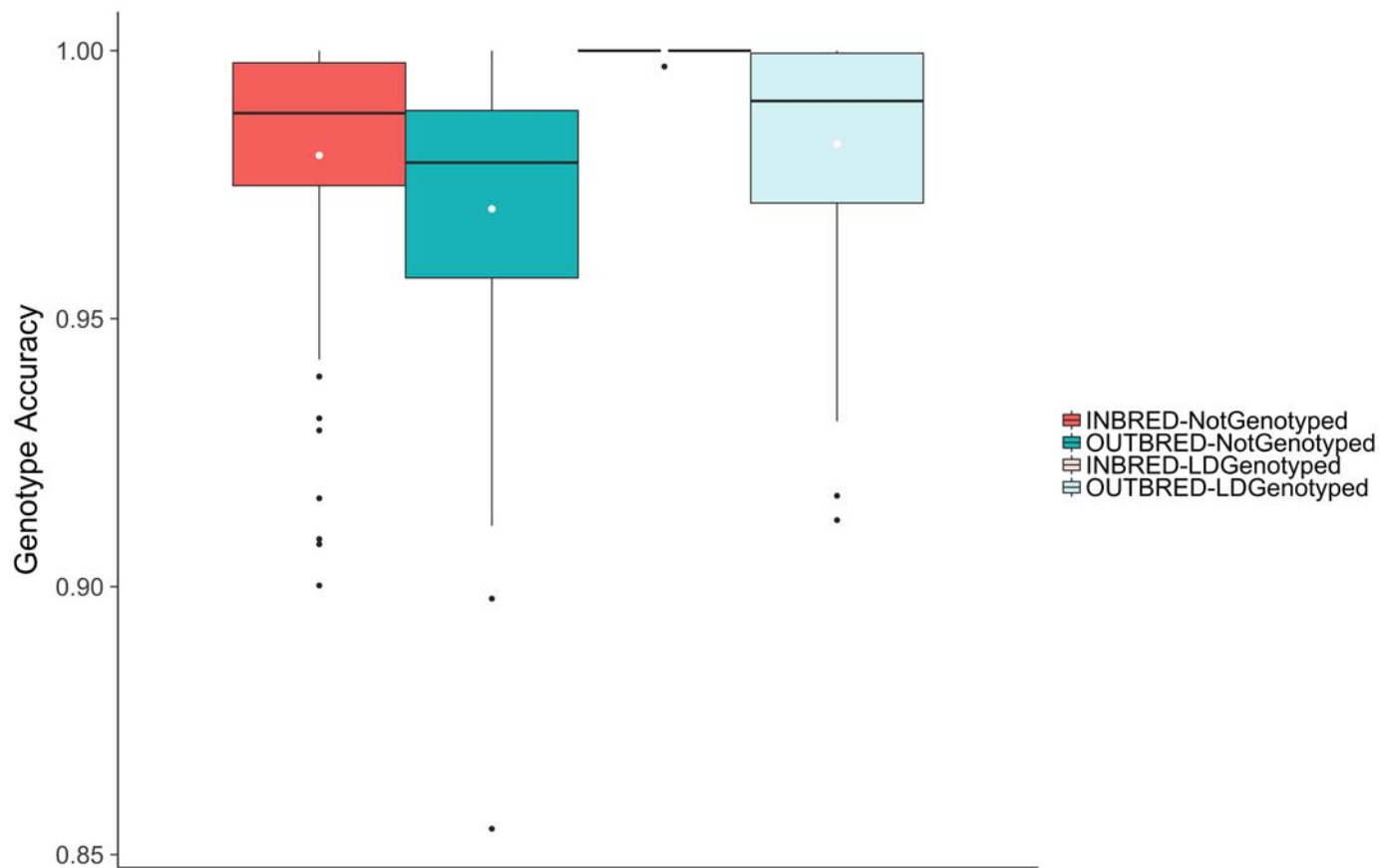


Figure 1 – Effect of whether Parent A is inbred or outbred and whether Parent A has no or LD genotypes.

Genotype imputation accuracy for Parent A in Scenario 1. The colours differentiate whether Parent A was inbred (red) or outbred (blue). The transparencies differentiate whether Parent A had no genotypes (opaque) or had LD genotypes (transparent).

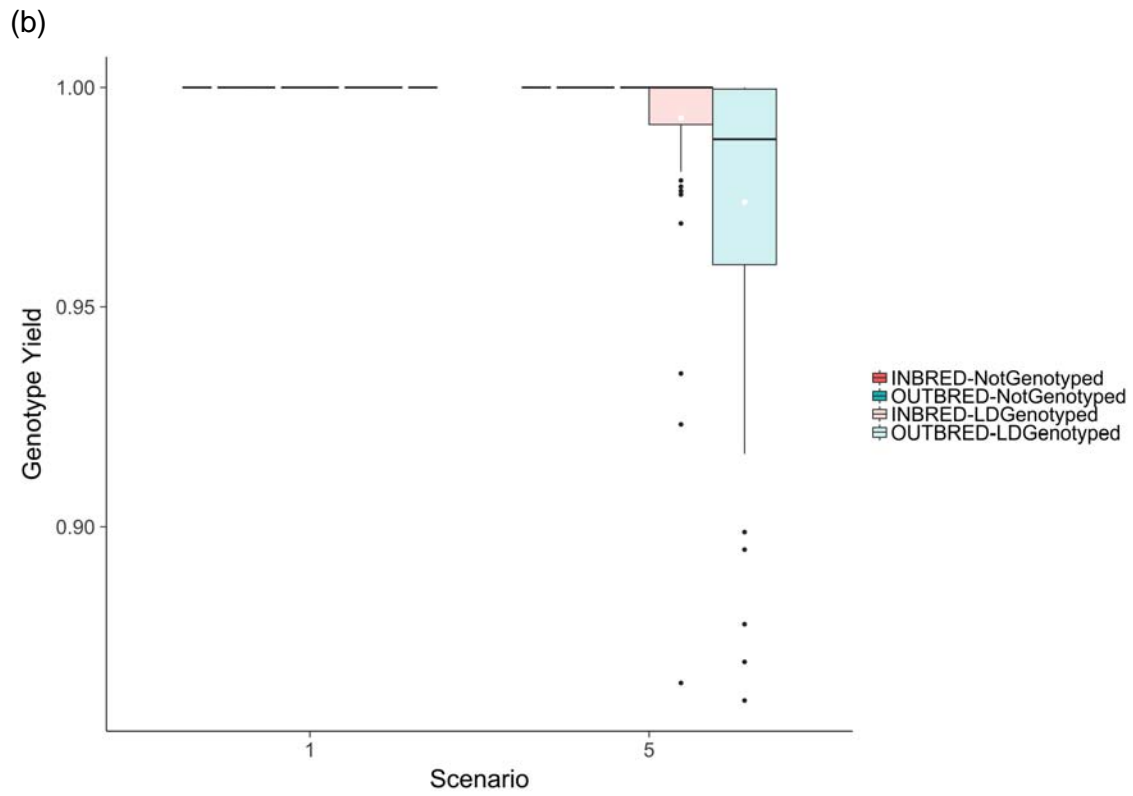
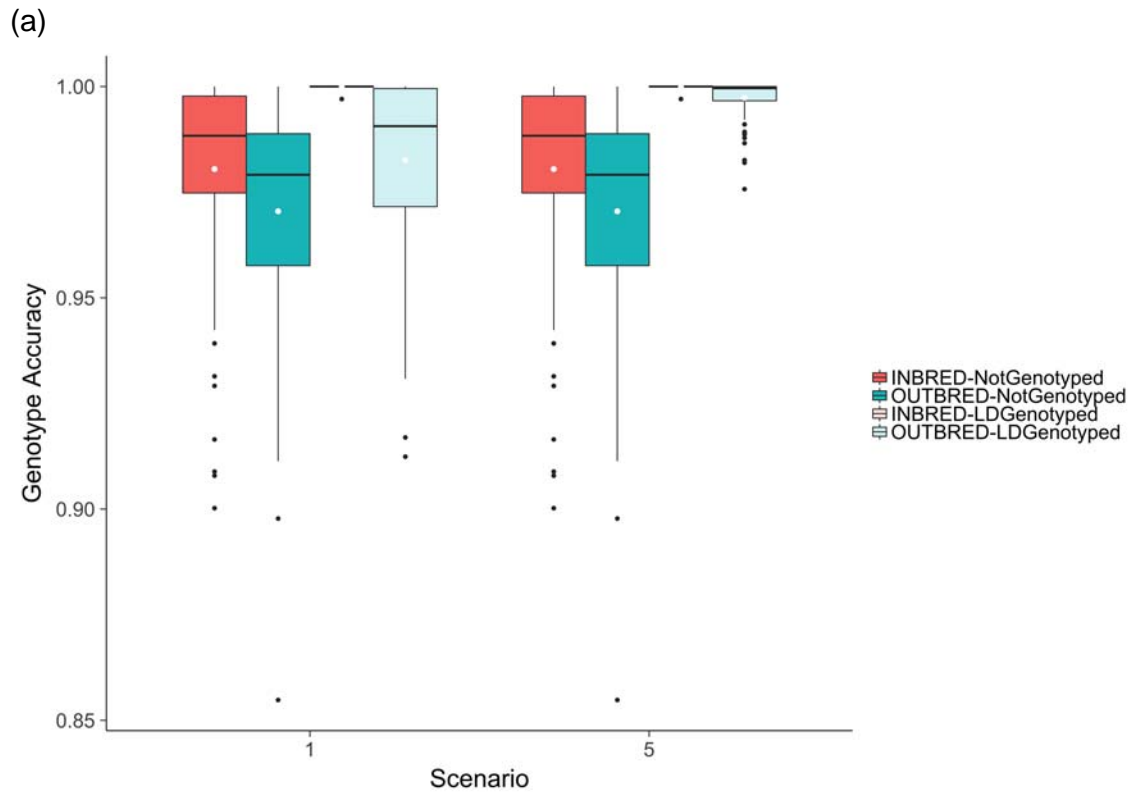


Figure 2 – Effect of including ancestors of Parent A at HD.

Genotype imputation accuracy (a) and imputation yield (b) for Parent A in Scenarios 1 and 5. The colours differentiate whether Parent A was inbred (red) or outbred (blue). The transparencies differentiate whether Parent A had no genotypes (opaque) or had LD genotypes (transparent).

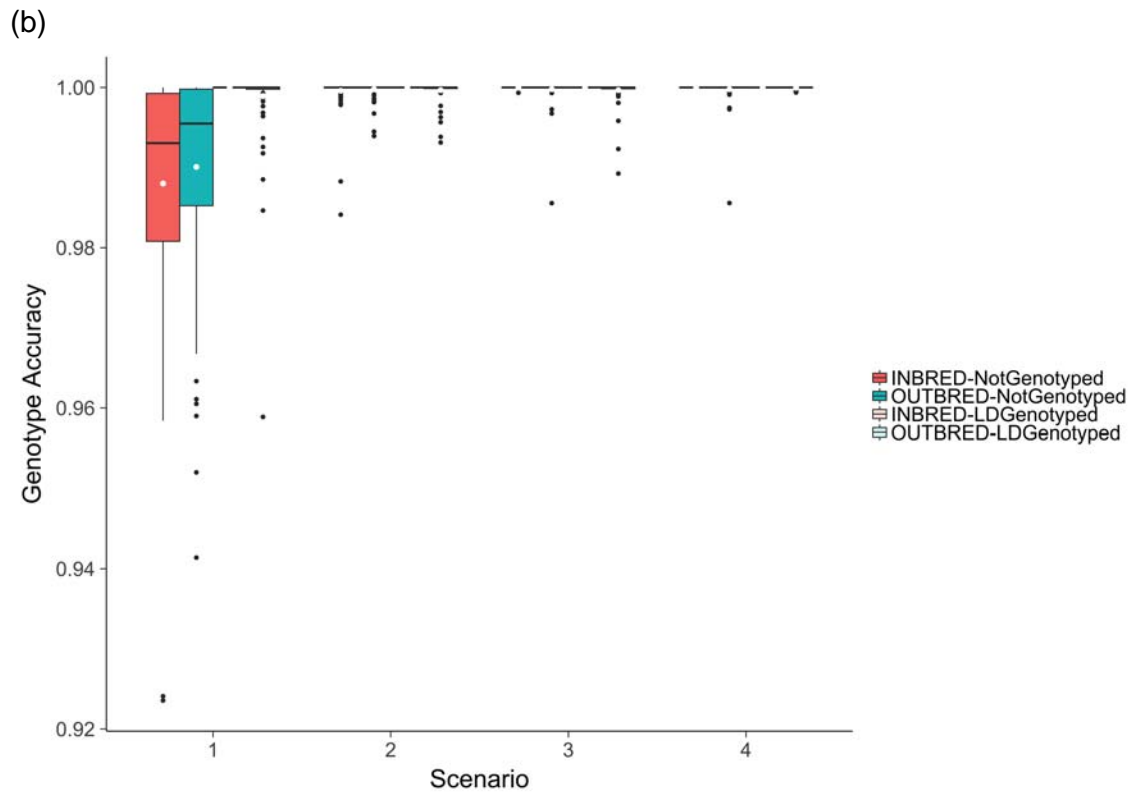
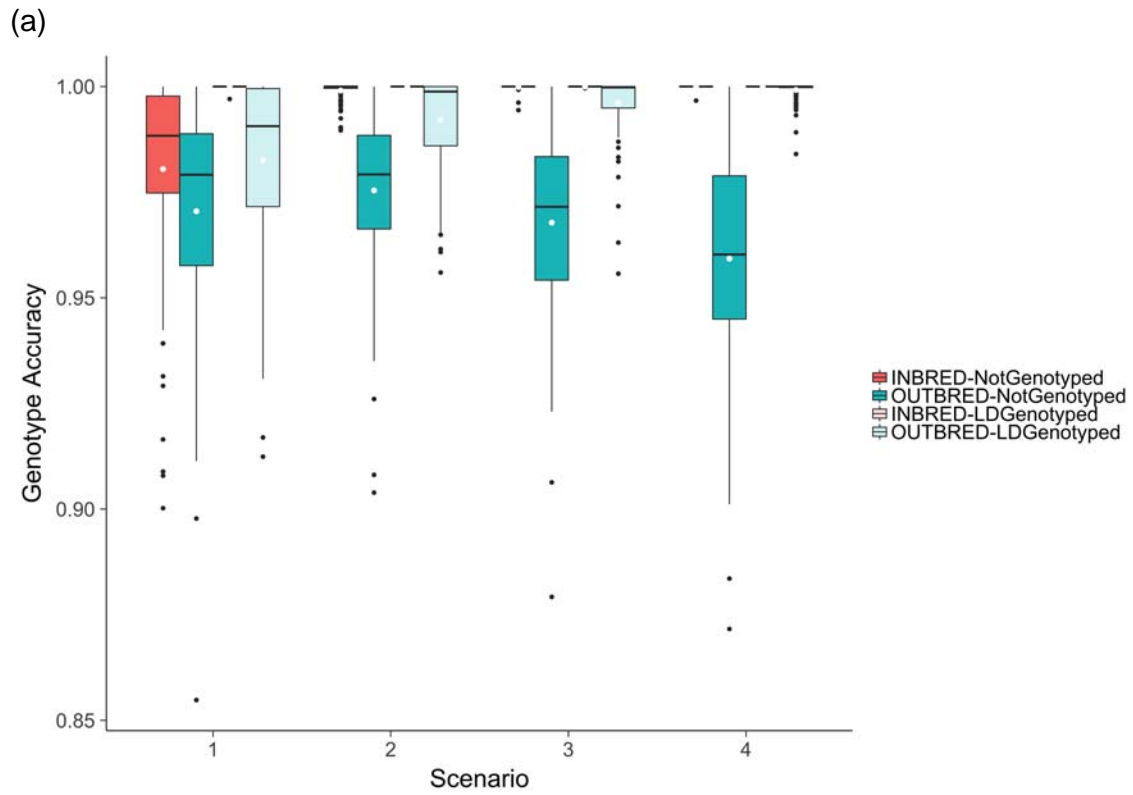


Figure 3 – Effect of the number of crosses and number of HD descendants per cross.

Genotype imputation accuracy for Parent A with 10 HD descendants per cross (a) and with 50 HD descendants per cross (b) in Scenarios 1, 2, 3 and 4. The colours differentiate whether Parent A was inbred (red) or outbred (blue). The transparencies differentiate whether Parent A had no genotypes (opaque) or had LD genotypes (transparent).

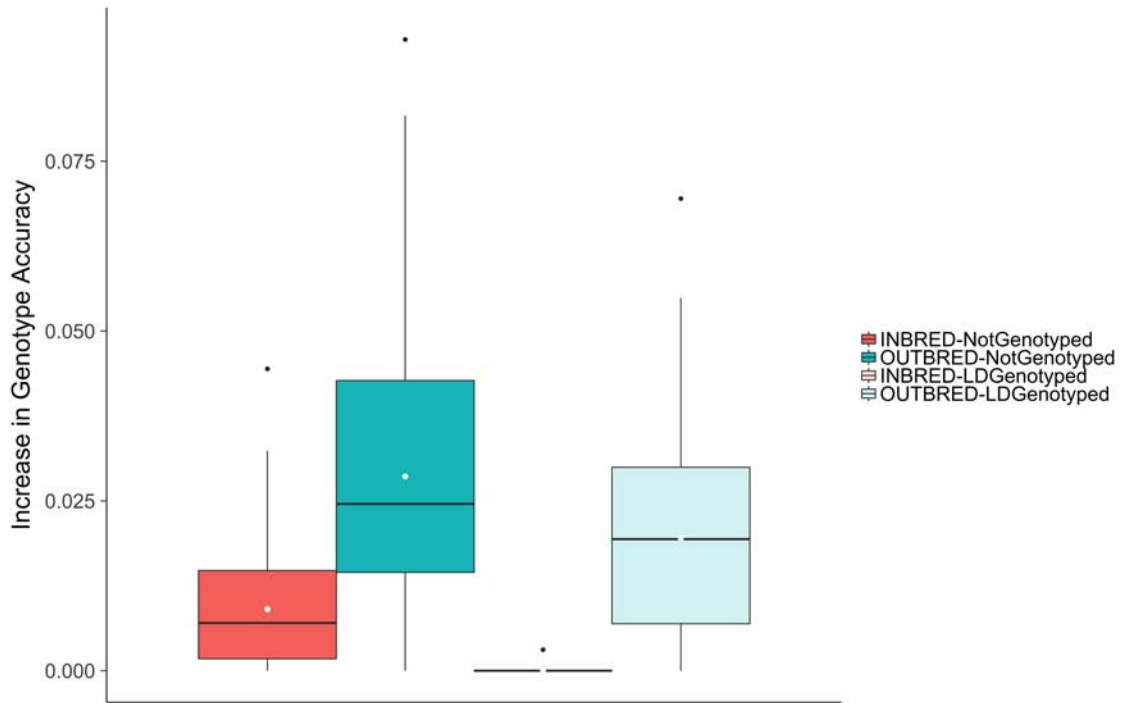


Figure 4 – Effect of using imputed genotypes or true genotypes of Parent A to impute  $F_2$  focal individuals.

Increase in the genotype imputation accuracy for  $F_2$  focal individuals using true rather than imputed genotypes for Parent A in Scenario 1. The colours differentiate whether Parent A was inbred (red) or outbred (blue). The transparencies differentiate whether Parent A had no genotypes (opaque) or had LD genotypes (transparent).