

# 1 **Comparative analysis of 16S rRNA gene and metagenome sequencing** 2 **in pediatric gut microbiomes**

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12 **Keywords: 16S rRNA gene, metagenome, pediatric cohort, gut microbiome, sequencing depth,**  
13 **amplicon sequencing**

14

## 15 **Abstract**

16 The colonization of the human gut microbiome begins at birth, and, over time, these microbial  
17 communities become increasingly complex. Most of what we currently know about the human  
18 microbiome, especially in early stages of development, was described using culture-independent  
19 sequencing methods that allow us to identify the taxonomic composition of microbial communities  
20 using genomic techniques, such as amplicon or shotgun metagenomic sequencing. Each method has  
21 distinct tradeoffs, but there has not been a direct comparison of the utility of these methods in stool  
22 samples from very young children, which have different features than those of adults. We compared  
23 the effects of profiling the human infant gut microbiome with 16S rRNA amplicon versus shotgun  
24 metagenomic sequencing techniques in 130 fecal samples; younger than 15, 15-30, and older than 30  
25 months of age. We demonstrate that observed changes in alpha-diversity and beta-diversity with age  
26 occur to similar extents using both profiling methods. We also show that 16S rRNA profiling  
27 identified a larger number of genera and we find several genera that are missed or underrepresented  
28 by each profiling method. We present the link between alpha diversity and shotgun metagenomic  
29 sequencing depth for children of different ages. These findings provide a guide for selecting an  
30 appropriate method and sequencing depth for the three studied age groups.

## 31 **1 Introduction**

32 There is increasing evidence that changes in activity and diversity of the gut microorganisms are  
33 associated with the development of diseases and conditions such as type II diabetes (Hartstra et al.,  
34 2015; Lambeth et al., 2015), cancer (Bultman, 2014; Marchesi et al., 2011), and even depression  
35 (Foster and McVey Neufeld, 2013). Assessing the taxonomic diversity of gut microbes is a key first  
36 step towards understanding how those microbes may affect host health. Most of what is currently  
37 known about the gut microbiome has been derived using culture-independent profiling methods such  
38 as next-generation sequencing (Ji and Nielsen, 2015; Lozupone et al., 2012; Malla et al., 2019). The  
39 two most widely used culture-independent methods are amplicon sequencing, a method that  
40 amplifies variable regions of a highly conserved bacterial gene such as the 16S rRNA gene, and  
41 shotgun metagenomic sequencing, an approach that sequences all of the DNA present in a sample.

42 Both of these techniques have been pivotal in understanding the microorganisms living in the  
43 human gut and how they affect human health, but each has trade-offs. Profiling microbial  
44 communities using 16S rRNA genes is a straightforward and cost-effective method to profile the  
45 taxonomic composition of a microbial community, but it has low taxonomic resolution due to the  
46 conservation of the target gene and length of amplicon product. In addition, the amplification that is  
47 used to enrich for the rRNA gene can introduce bias in quantifying taxa in the resulting taxonomic  
48 profiles (Acinas et al., 2005; Tremblay et al., 2015). For instance, the choice of primers that bind to  
49 the 16S rRNA gene during amplification has been shown to have a great effect on microbiome  
50 community characterization (Chen et al., 2019; Tremblay et al., 2015). However, despite the need for  
51 a PCR amplification step, this type of profiling requires a relatively low number of sequenced reads  
52 per sample to maximize identification of rare taxa and is generally cheaper than shotgun  
53 metagenomic sequencing.

54 Shotgun metagenomics indiscriminately sequences the entire metagenome, and therefore  
55 typically requires more sequenced reads per sample to find unique taxonomic identifiers. This need  
56 for increased sequencing depth carries a higher cost (Comeau et al., 2017), but yields information on  
57 many genes rather than only one. This substantially increases resolution in taxonomic assignments -  
58 metagenomic profiling often provides species-level assignment where amplicon sequencing is  
59 restricted to identifying genera (Ranjan et al., 2016) - and has the additional benefit of providing  
60 direct evidence of gene functional variation in strains present. Metagenomic sequencing may also be  
61 used to generate genomic assemblies, yielding further insight into microbial diversity (Wilkins et al.,  
62 2019).

63           The ability to draw conclusions about taxonomy from microbiome sequencing data depends  
64 not only on the sequencing method, but also on sequencing depth: how many times on average a  
65 given piece of DNA is likely to be sequenced given a fixed read length and the assumption that all  
66 regions of a genome are equally likely to be sequenced (Sims et al., 2014). If it were possible to  
67 achieve the resolution of shotgun metagenomics at a lower cost, we could sequence more deeply,  
68 identify less abundant taxa, and learn more about the microbial diversity within and between samples  
69 (Pereira-Marques et al., 2019). However, deeper sequencing is more expensive. A few studies have  
70 investigated the potential for reduced metagenomic sequencing (Hillmann et al., 2018; Zaheer et al.,  
71 2018), but there has not been substantial research analyzing the reduced sequencing depth for  
72 investigation of the gut microbiomes in young infants and children. The gut microbial communities  
73 of children are potentially good candidates for experimentation with shallower sequencing depths  
74 because their communities have lower gut microbial diversity until their microbiomes stabilize and  
75 become more adult-like around 2-3 years of age (Palmer et al., 2007; Radjabzadeh et al., 2020;  
76 Stewart et al., 2018; Yatsunenko et al., 2012).

77           While some have utilized both profiling methods in children (Ravi et al., 2018; Vatanen et al.,  
78 2016), and the known trade-offs between amplicon and metagenomic sequencing have been  
79 previously explored in soil (Brumfield et al., 2020) and plant environments (Mas-Lloret et al., 2020),  
80 as well as in human adult microbiomes (Laudadio et al., 2018; Ranjan et al., 2016), to date, no one  
81 has directly investigated the relative trade-offs between 16S rRNA amplicon sequencing and  
82 metagenomic sequencing at different sequencing depths in the gut microbiomes of infants and young  
83 children of different ages. Here, we compare paired 16S rRNA versus metagenomic sequencing gut  
84 microbiome datasets from a cohort of young children broken into 3 age brackets: less than 15, 15 to  
85 30, and over 30 months.

## 86   **2    Materials and Methods**

### 87   **2.1   Cohort description**

88   Samples for this study came from a subset of 130 children (**Figure S1**) in the RESONANCE Cohort  
89 (Providence, RI), an accelerated-longitudinal study of healthy children ages 0 to 12 years. Each child  
90 contributed one sample. The RESONANCE cohort is part of the Environmental influences on Child  
91 Health Outcomes (ECHO) Program (Forrest et al., 2018; Gillman and Blaisdell, 2018), which aims to  
92 investigate the effects of environmental factors on childhood health and development. All procedures  
93 for this study were approved by the local institutional review board at Women and Infants Hospital,

94 and all experiments adhered to the regulation of the review board. Written informed consent was  
95 obtained from all parents or legal guardians of enrolled participants. Children with known major risk  
96 factors for developmental abnormalities at enrollment were excluded.

## 97 **2.2 Stool sample collection and handling**

98 One stool sample per child (n=130) was collected by parents in OMR-200 tubes (OMNIgene GUT,  
99 DNA Genotek, Ottawa, Ontario, Canada), stored on ice, and brought within 24 hrs to the lab in RI  
100 where they were immediately frozen at -80°C. Stool samples were not collected if the infant had  
101 taken antibiotics within the last two weeks. Samples were transported to Wellesley College  
102 (Wellesley, MA) on dry ice for further processing.

## 103 **2.3 DNA extraction and sequencing of metagenomes and 16S rRNA gene amplicons**

104 Nucleic acids were extracted from a 200 µL aliquot of fecal slurry using the RNeasy  
105 PowerMicrobiome kit automated on the QIAcube (Qiagen, Germantown, MD), according to the  
106 manufacturer's protocol, excluding the DNA degradation steps. The samples were subjected to bead  
107 beating using the Qiagen PowerLyzer 24 Homogenizer (Qiagen, Germantown, MD) at 2500 speed  
108 for 45 seconds. The samples were transferred to the QIAcube to complete the protocol, and extracted  
109 DNA was eluted in a final volume of 100 µL. DNA extracts were stored at -80°C until sequenced.

110 Samples were sequenced at the Integrated Microbiome Resource (IMR, Dalhousie University,  
111 NS, Canada) (Comeau et al., 2017). To sequence metagenomes, a pooled library (max 96 samples per  
112 run) was prepared using the Illumina Nextera Flex Kit for MiSeq and NextSeq (a PCR-based library  
113 preparation procedure) from 1 ng of each sample where samples were enzymatically sheared and  
114 tagged with adaptors, PCR amplified while adding barcodes, purified using columns or beads, and  
115 normalized using Illumina beads or manually. Samples were then pooled onto a plate and sequenced  
116 on the Illumina NextSeq 550 platform using 150+150 bp paired-end "high output" chemistry,  
117 generating ~400 million raw reads and ~120 Gb of sequence (NCBI Bioproject PRJNA695570).

118 For sequencing 16S rRNA gene amplicons, the V4-V5 region of the 16S ribosomal RNA  
119 gene was sequenced according to the protocol described by Comeau et al. (2017). Briefly, the V4-V5  
120 region was amplified once using the Phusion High-Fidelity DNA polymerase (ThermoFisher  
121 Scientific, Waltham, MA) and universal bacterial primers 515FB: 5'-  
122 GTGYCAGCMGCCGCGGTAA-3' and 926R: 5'-CCGYCAATTYMTTTRAGTTT-3' (Parada et  
123 al., 2016; Walters et al., 2016). These primers had appropriate Illumina adapters and error-correcting

124 barcodes unique to each sample to allow up to 380 samples to be simultaneously run per single flow  
125 cell. After being pooled into a single library and quantified fluorometrically, samples were cleaned-  
126 up and normalized using the high-throughput Charm Biotech Just-a-Plate 96-well Normalization Kit  
127 (Charm Biotech, Cape Girardeau, MO). The normalized samples were sequenced on the Illumina  
128 MiSeq platform (Illumina, San Diego, CA) using 300+300 bp paired-end V3 chemistry, producing  
129 ~55,000 raw reads per sample (Comeau et al., 2017).

#### 130 **2.4 16S rRNA gene amplicon processing and analysis**

131 Reads profiled using the 16S rRNA gene were analyzed using the Quantitative Insights in Microbial  
132 Ecology 2 (QIIME2), v 2019.10 (Bolyen et al., 2019) and we used a modified protocol developed by  
133 Comeau et al. (2017). Briefly, primers flanking V4-V5 were removed from fastq reads using the  
134 cutadapt QIIME2 plugin (Martin, 2011). Fastq reads were then filtered, trimmed and merged in  
135 DADA2 (Callahan et al., 2016) to generate a table of amplicon sequence variants (ASV). A multiple-  
136 sequence alignment was created using MAFFT, and FastTree was used to create an unrooted  
137 phylogenetic tree, both with default values (Price et al., 2010). A root was added to the tree at the  
138 midpoint of the largest tip-to-tip distance in the tree. Taxonomy was assigned to the ASVs using a  
139 Naïve-Bayes classifier compared against a SILVA v 119 reference database trained on the 515-926  
140 region of the 16S rRNA gene (Bokulich et al., 2018). Rarefaction curves showed that the majority of  
141 samples reached asymptote, indicating sequencing depth was appropriate for analyses.

#### 142 **2.5 Metagenome data processing and analysis**

143 Metagenomic data were analyzed using bioBakery workflows with all necessary dependencies and  
144 default parameters (McIver et al., 2018). Briefly, KneadData (v 0.7.10) was used to trim and filter  
145 raw sequence reads, and to separate human and 16S ribosomal gene reads from bacterial sequences in  
146 both fecal and oral samples. Samples that passed quality control were taxonomically profiled to the  
147 genus level using MetaPhlAn (v 3.0.7), which uses alignment to a reference database of “marker  
148 genes” to identify taxonomic composition (Beghini et al., 2020).

#### 149 **2.6 Statistical Analysis**

150 Statistical analyses were carried out in R (4.0.3). *vegan* (v 2.5-6) was used for all alpha-diversity  
151 calculations: Shannon diversity index (Shannon, 1948) (alpha diversity measurement of evenness and  
152 richness), evenness (how homogeneous the distribution of taxa counts are), and richness (number of  
153 taxa in a community). Pairwise Bray-Curtis dissimilarity was used to assess beta-diversity, or the

154 overall variation between each sample (Bray and Curtis, 1957). The Bray-Curtis dissimilarity metric  
155 compares two communities based on the number or relative abundance of each taxon present in at  
156 least one of the communities. When we calculated these values, we assumed that the set of  
157 dissimilarities calculated across a group was independent, even when the same child was paired to  
158 other children multiple times. These distance matrices were used for Principal Coordinates Analysis  
159 (PCoA) to create ordinations. The two principal components that explained the most variation were  
160 used to create biplots (**Figure S2**).

161 Univariate comparisons were performed in two-sample two-tailed t-tests when we could  
162 assume normality, and Wilcoxon Signed Rank tests when we could not. P-values of less than 0.05 (or  
163 the equivalent after Benjamini-Hochberg false discovery rate correction (Benjamini and Hochberg,  
164 1995)) were considered statistically significant. Mixed effects linear models in *lme4* were used to  
165 analyze data from subsampling results, to account for the fact that multiple subsamples were  
166 generated from each sample. Shannon  $\sim 1.58 + 5.21 \times 10^{-4} \times \text{read depth} - 3.79 \times 10^{-1} \times \text{less than 15}$   
167  $\text{months} - 4.38 \times 10^{-2} \times \text{older than 30 months} - 1.50 \times 10^{-4} \times \text{read depth: less than 15 months} - 1.56 \times 10^{-}$   
168  $4 \times \text{read depth: older than 30 months}$ .

## 169 **2.7 Comparing missing and underrepresented genera in 16S rRNA to shotgun metagenomics** 170 **datasets**

171 A genus was classified as being unique to a particular profiling method if reads were only assigned to  
172 it through one method. Taxa that could not be resolved down to the genus level (taxonomic  
173 assignments containing the phrases “unclassified,” “unidentified,” “group,” or “uncultured”) were  
174 removed prior to calculating relative abundance diversity, and all downstream metrics. Genera that  
175 only occurred in one but not the other method were classified as uniquely identified by 16S rRNA  
176 profiling or shotgun metagenomics. We found the intersection of genera by identifying microbes that  
177 were found at least once by both methods.

178 We used Wilcoxon Signed Rank tests to compare the abundances of microbes that were found  
179 by both methods. This analysis was limited by the direct comparison of relative abundances instead  
180 of direct counts. Because 16S rRNA profiling was able to identify more taxa at the genus level, this  
181 meant that the relative abundances of its organisms were systematically lower.

## 182 **2.8 Analyzing primer coverage**



183 TestPrime 1.0 (Klindworth et al., 2013; Ludwig et al., 2004) was used to perform *in silico* PCR to  
184 investigate how well certain primer pairs align to microbes in the SILVA database. We entered our  
185 forward and reverse primers (515FB and 926R) into the TestPrime web-tool provided by SILVA  
186 (Quast et al., 2013) to analyze the percent primer coverage of microbes found only with metagenomic  
187 sequencing, but not by amplicon sequencing. Coverage is defined as the percentage of matches for a  
188 particular taxonomic group ( $\# \text{ of matches} / (\text{total } \# \text{ of mismatches} + \text{matches})$ ). The primers described  
189 in Methods 2.4 were compared to sequences found within the SSU r138.1 SILVA database. A single  
190 nucleotide mismatch between each primer and 16S rRNA gene sequence was considered a mismatch  
191 for that organism. Once the percent coverage was calculated, we compared the average coverage of  
192 microbes uniquely found by shotgun metagenomics, 16S rRNA profiling, or both methods. Some  
193 genera identified uniquely by shotgun metagenomics were not as identified as hits to the primer,  
194 despite being in the SILVA database. Their alignment was manually entered to be 0% for  
195 downstream analysis.

## 196 **2.9 Generating phylogenetic trees**

197 The union of all genera that were identified by either 16S rRNA gene or shotgun metagenomic  
198 sequencing was used to generate a phylogenetic common tree using TimeTree (Kumar et al., 2017).  
199 In addition to these genera, *Thermus aquaticus* was added as an outgroup. This tree was visualized  
200 using the Interactive Tree of Life (iTOL) v 5.5.1, (Letunic and Bork, 2019), along with metadata that  
201 described which profiling method (either 16S, shotgun metagenomics, or both) was able to identify  
202 the genus (Letunic and Bork, 2007, 2019). For taxa that were unidentified by a particular profiling  
203 method, we investigated whether or not that taxon was present in the missing database. The  
204 phylogenetic tree notes taxa that would be impossible to be identified by that method, as they were  
205 not present in the relevant database.

## 206 **2.10 Exploring the effect of read depth on diversity using metagenome samples**

207 We investigated the results of decreasing read depth on alpha and beta-diversity by resampling  
208 shotgun metagenomic reads from a subset of children within the RESONANCE cohort that had  
209 deeply sequenced metagenomes (average  $7,209,871 \pm 2,562,647$  reads). Metagenomic reads from 30  
210 children were selected and 10k, 100k, 250k, 500k, 750k, and 1M reads were randomly sampled (with  
211 replacement) from each child's reads. Each child was resampled at each depth four times for the  
212 analysis involving RESONANCE subjects.

213 To investigate whether these observations were generally applicable to other childhood  
214 cohorts, we performed the same subsampling analysis on the DIABIMMUNE cohort (Simre et al.,  
215 2016). Only a single sample for each depth was obtained for DIABIMMUNE subjects due to the  
216 substantially higher number of original samples. DIABIMMUNE subjects were subsampled at depths  
217 of 100k, 250k, 500k, 750k, 1M, and 10 M reads. All children were separated by developmental stage  
218 (less than 15 months:  $n = 10$ , between 15 and 30 months,  $n = 10$ , over 30 months,  $n = 10$ ). Reads  
219 were reassigned taxonomy using MetaPhlAn (see section 2.7) and diversity was recalculated. The  
220 majority of these samples subsampled at 10,000 reads had no identifiable taxa and were excluded  
221 from downstream analysis.

## 222 **3 Results**

### 223 **3.1 Alpha diversity increases with age in both 16S rRNA gene- and metagenomic-profiled** 224 **samples**

225 First, we directly compared taxonomic profiles generated by shotgun metagenomic or amplicon  
226 sequencing to assess their ability to detect poorly characterized or low abundance taxa. On average,  
227 the proportion of microbes resolved to the genus level in a sample was 97.7% (SD = 1.7%) when  
228 profiled by shotgun metagenomic sequencing and 78.2% (SD = 20.7%) when profiled by 16S rRNA  
229 sequencing. As expected, regardless of the profiling method, the observed alpha (within-sample)  
230 diversity of the gut microbiome of children increased in the first 30 months of life (Welch's t-test,  $p$ -  
231 value  $< 0.001$ ). Given that we observed that children's microbiomes grow increasingly complex and  
232 diverse, we hypothesized that any differences in ability of the profiling methods to identify less-  
233 abundant taxa would only be magnified with age. Consistent with this hypothesis, we found that  
234 profiles created from shotgun metagenomics data had systematically lower alpha diversity than  
235 profiles from 16S rRNA sequencing at the genus level across all developmental stages (**Figure 1A**).  
236 The mean of these differences between paired profiles increased as the children age, with the largest  
237 differences observed in children older than 30 months (mean of the differences = 0.18, paired t-test,  
238  $p$ -value  $< 0.001$ ). This suggests that the differences between 16S rRNA and shotgun metagenomics  
239 profiling in capturing alpha diversity are amplified as children age and their microbial diversity  
240 becomes increasingly complex.

241 We next examined between-sample, or beta, diversity within each of the three age groups to  
242 determine if age or profiling method were associated with large between-sample differences.



243 Comparisons of beta diversity within children of the three groups indicated the similarity between gut  
244 microbiome communities increased with age in both profiling methods. Regardless of which method  
245 was used, Bray-Curtis dissimilarity, a pairwise measure of beta diversity between two communities,  
246 was the smallest between children over the age of 30 months (**Figure 1B**).

247 After observing differences in the two profiling methods among young children, we next  
248 compared profiles generated from the different methods for the same fecal sample. If data from  
249 shotgun metagenomics and 16S rRNA gene profiling both produced exactly the same gut microbial  
250 profiles, we would expect that profiles from the same child's fecal sample would have a Bray-Curtis  
251 dissimilarity of  $\sim 0$ . At a minimum, we would expect to see that the Bray-Curtis dissimilarity among  
252 profiles constructed from the same stool sample would be smaller than the dissimilarity between two  
253 profiles from two random children. As hypothesized, we observe that the average Bray-Curtis  
254 dissimilarity among paired samples is much lower than that of unpaired samples (**Figure 1C**; mean  
255 difference = 0.348, Welch's t-test, p-value < 0.001). The largest differences in the paired profiles  
256 were found in children less than 15 months (**Figure 1C, 1D**).

### 257 **3.2 Discrepancies between 16S rRNA and shotgun metagenomics profiles**

258 To further investigate the cause of the largest discrepancies in diversity between the two profiling  
259 methods, we looked at biases in taxonomic representation at different taxonomic levels. At all  
260 taxonomic levels, except the species level, 16S rRNA amplicon profiling identifies more taxa  
261 (**Figure 2A**). We found that 41 families were found by both methods, while 33 and 14 were uniquely  
262 identified by 16S rRNA and shotgun metagenomic profiling, respectively. At the genus level, of 202  
263 genera identified across all samples, only 105 genera were identified with both amplicon and shotgun  
264 metagenomic sequencing. 16S rRNA amplicon sequencing identified 63 genera not found by  
265 metagenomic profiling including *Acetobacter*, *Bacillus*, *Flavobacterium*, *Pseudomonas*, and  
266 *Sulfitobacter*, while only 34 genera were uniquely found using shotgun metagenomic sequencing,  
267 such as *Citrobacter*, *Coprococcus*, *Enterobacter*, *Gordonibacter*, and *Helicobacter* (**Figure 2B**). At  
268 the species level, 16S rRNA amplicon profiling was not able to resolve any taxa to the species level,  
269 while shotgun metagenomics was able to identify 385 unique species. We decided to focus on  
270 comparing taxonomic differences at the genus level, as that is the most specific taxonomic level in  
271 which we are able to meaningfully compare the two methods.

272 After identifying genera that were found by only one of the two methods, we next  
273 investigated whether there were any taxa that were systematically found at higher levels in one

274 method versus the other. We found that *Butyrivicoccus* was observed to have a significantly higher  
275 relative abundance in 16S rRNA profiles compared to samples profiled with shotgun metagenomics  
276 (Wilcoxon signed rank test for this and all microbes,  $p$ -value  $< 0.001$ ) (**Table S1**). Similarly,  
277 *Romboutsia* ( $p$ -value  $< 0.001$ ) and *Sutterella* ( $p$ -value  $< 0.001$ ) were found to have a higher relative  
278 abundance when detected by 16S rRNA amplicon sequencing. In contrast, genera such as  
279 *Bifidobacterium* ( $p$ -value  $< 0.001$ ), *Eggerthella* ( $p$ -value  $< 0.001$ ), and *Klebsiella* ( $p$ -value  $< 0.001$ )  
280 systematically had higher relative abundance when detected by shotgun metagenomic techniques.

### 281 **3.3 Reduced sequencing depth decreases has smaller effect on observed diversity in young** 282 **children**

283 After comparing two different profiling methods, we investigated the effect of reducing metagenomic  
284 sequencing depth on observed alpha diversity among the three developmental groups. We selected  
285 samples from a sub-group of 30 children (10 from each developmental stage) that were initially  
286 sequenced at the highest depth (mean 7.2 million reads; SD = 2.6 million reads) and performed  
287 random resampling of shotgun metagenomic reads at varying depths (100k, 250k, 500k, 750k and  
288 1M reads). We then recalculated alpha diversity metrics (evenness, richness, and Shannon) for each  
289 community of re-sampled reads after assigning taxonomy using MetaPhlAn. **Figure 3A** shows the  
290 relationship between the evenness, richness, and sequencing depth across all the resamplings we  
291 performed. Regardless of the starting community's diversity, as sequencing depth increased,  
292 observed sample richness and evenness also increased (**Figure S3**). For example, samples that were  
293 only profiled with 100k reads had a mean Shannon Index of 1.35, whereas those sampled at 1M reads  
294 had mean Shannon Index of 1.89 (**Figure 3B**).

295 In addition, we observed that increasing sequencing depth affected children of different ages  
296 differently. Not only did children younger than 15 months have a lower median Shannon Index when  
297 we ignore sampling depth ( $<15$  months median: 1.42,  $>15$  months median: 1.99), the Shannon Index  
298 increases more slowly with sampling depth in kids under 15 months. In particular, a mixed effects  
299 linear model showed that the slope of the Shannon Index on sampling depth is significantly lower for  
300 children under 15 months, compared to those between 15 and 30 months ( $p < 0.001$ ), and the slope is  
301 significantly lower for children between 15 and 30 months compared to those greater than 30 months  
302 (**Figure 3B**;  $p < 0.001$ ).

303 While the step-wise increase in alpha diversity with sampling depth is statistically significant  
304 for children less than 15 months ( $p < 0.001$ ), the increase in observed alpha diversity is substantially  
305 smaller than typical effect sizes in childhood microbiome studies. For instance, a recent meta-  
306 analyses of other studies that investigated alpha diversity of children that were and were not breastfed  
307 observed average differences in Shannon Index to be 0.34 (95% Confidence Interval: [0.20, 0.48])  
308 (Ho et al., 2018), but increasing sequencing depth from 500k reads to 1M reads only increased this  
309 metric by 0.06 (**Table 1**, **Table S2**).

310 To investigate whether these observations were generally applicable to other childhood  
311 cohorts, we performed the same subsampling analysis on the DIABIMMUNE cohort (Simre et al.,  
312 2016) (**Figure S4**). Consistent with the findings from the RESONANCE cohort, lower sequencing  
313 depth decreases the Shannon Index for all age groups (Mixed effects linear model,  $p < 0.001$ ), and the  
314 benefits of deeper sequencing are most pronounced in older kids, as observed alpha diversity  
315 increases more quickly as additional reads are added for older children (**Table S3**,  $p < 0.001$ ). In  
316 addition, for both cohorts, the benefits of additional sequencing on observed diversity in children  
317 under 15 months substantially decrease over 500 thousand reads.

#### 318 4 Discussion

319 Increasing interest in the human microbiome, especially during early child development, raises the  
320 urgency of selecting appropriate methods for interrogating taxonomic and functional composition of  
321 human-associated communities. Given that shotgun metagenomic sequencing is capable of providing  
322 higher taxonomic resolution as well as information about gene functional potential, it is clearly  
323 preferable to amplicon sequencing when working with high biomass samples such as stool and when  
324 cost is not an issue. However, the higher cost of sequencing to provide sufficient sequencing depth  
325 for shotgun metagenomics is relevant when resources are constrained. Because infant microbiomes  
326 are substantially less diverse than adult microbiomes, we reasoned that lower sequencing depth (and  
327 therefore lower cost) may enable comparable taxonomic resolution to amplicon sequencing at a  
328 similar cost.

329 We, therefore, set out to analyze a group of child stool samples sequenced with both methods  
330 and profiled with commonly used taxonomic-assignment tools so that direct comparisons could be  
331 made. As expected, microbial communities from younger children (less than 15 months old) were  
332 substantially less diverse than communities from older children, and both amplicon and shotgun  
333 metagenomic sequencing with ~1.2 Gb per sample were able to capture comparable taxonomic

334 diversity at the genus level across all age groups. It is important to note that metagenomic sequencing  
335 generally captures more diversity due to its species-level resolution (Ranjan et al., 2016), but we  
336 restricted our analysis to the genus level in order to make the most direct comparison to amplicon  
337 sequencing. Interestingly, though the observed diversity overall was comparable between methods,  
338 the actual taxonomic profiles generated by each method had substantial differences, particularly in  
339 the youngest children. For example, some particularly important genera in young children such as  
340 *Bifidobacterium* and *Enterobacter* were under-represented in amplicon sequencing profiles. Because  
341 shotgun metagenomic sequencing does not include an amplification step and therefore avoids issues  
342 of amplification bias, it is likely to be more accurate, though further investigation with synthetic or *in*  
343 *silico* communities may be necessary to determine which method provides the most accurate profiles  
344 in this population.

345 While shallower sequencing may enable investigators to observe comparable diversity, there  
346 are substantial differences in the identities of taxa profiled. Like other groups (Rausch et al., 2019),  
347 we showed that 16S rRNA gene amplicon and shotgun metagenomic sequencing each missed some  
348 taxa, but more genera were identified overall by 16S rRNA gene profiling, at least in the  
349 RESONANCE cohort. This may be due to an increased ability to identify very low abundance taxa or  
350 some artifact of amplification or sequencing, though in the DIABIMMUNE cohort, more genera  
351 were identified using shotgun metagenomic profiling, suggesting that the relative performance of  
352 each method for some metrics may vary between populations. Interestingly, we also show that the  
353 largest discrepancies between the two profiling methods were found in the youngest kids. This is  
354 likely due in part to the low diversity of these samples, since loss of one genus in a profile with few  
355 genera may have a larger impact on dissimilarity metrics. Another possible explanation is the large  
356 fraction of many samples in young children (as much as 40% relative abundance) that could not be  
357 resolved to the genus level (see section 3.1) with amplicon sequencing. As unresolved taxa were  
358 excluded from our alpha diversity analysis, the true diversity could be much higher or lower than we  
359 observe in those samples.

360 Some of the discrepancies we observed were due to technical differences in sequencing  
361 methods. For example, some taxa found exclusively through 16S rRNA gene profiling were not  
362 found in the MetaPhlAn database, including 16 genera that did not have reference genomes available.  
363 All of the genera found uniquely by shotgun metagenomics were present in the SILVA database, but  
364 their 16S rRNA gene sequences may not have perfectly complemented the primers we used. Though

365 16S rRNA PCR primers are often referred to as “universal,” there is considerable sequence diversity  
366 in the 16S rRNA gene, even in the most conserved regions and among bacteria of the same species  
367 (Větrovský and Baldrian, 2013). Using TestPrime 1.0, we identified several genera that had very low  
368 alignment with our primers, such as *Solobacterium* (2.2% alignment) and *Pediococcus* (1.3%) and 10  
369 genera that were present in the SILVA database and identified using shotgun metagenomics, but were  
370 not found to be hits with our primers. We also explored if certain clusters of taxa were more  
371 systematically unidentified by a particular profiling method. For example, several genera identified  
372 uniquely by shotgun metagenomic profiling had lower primer coverage compared to the genera  
373 identified by 16S rRNA amplicon profiling (**Figure S5**). Other taxa were only identified using 16S  
374 amplicon profiling (**Figure 2B**; ex. clade containing *Ruegeria*, *Planktotalea*, *Planktomarina*, and  
375 *Sulfitobacter*).

376 Given that both profiling methods exhibited some biases against certain taxa, future study  
377 designs should carefully consider which method is most appropriate to their research question, and  
378 further investigation using communities where the ground truth of composition is known should be  
379 pursued to interrogate whether these differences are systematic. In addition to uncertainty about the  
380 true composition of these samples’ communities, our study was also limited in scope to a single 16S  
381 rRNA gene primer pair for amplification, a single sequencing read length for shotgun sequencing,  
382 and a single computational pipeline for taxonomic profiling each sequencing method. There are  
383 several different approaches for both the sequencing (Driscoll et al., 2017; Martínez et al., 2014;  
384 Rausch et al., 2019) and profiling step (Almeida et al., 2018; Ye et al., 2019), each of which is likely  
385 to have its own biases. We chose to compare widely used and accessible methods to compare for  
386 investigation of child microbiomes, but further investigation to select the best combination of  
387 methods may be warranted. Finally, advances in sequencing technology (e.g., long-read sequencing  
388 of 16S rRNA genes (Karst et al., 2020)), changes to reference databases and improved taxonomic  
389 assignment methods may affect the performance and relative trade-offs in the future.

## 390 **5 Conclusion**

391 Understanding the advantages associated with different methods of investigating the human  
392 microbiome will allow others in the field to use the most cost-effective methods to explore the  
393 relationship between the gut microbiome and human health. Most research is limited by financial  
394 resources, which impacts the number of controls, replicates, samples we can analyze, and the depth to  
395 which we can characterize each sample. Better insight into how we can sequence more efficiently

396 will allow us to use these finite resources more effectively. Hopefully, this will allow us to devote  
397 resources where they will be best utilized (eg. deep sequencing for older children with higher alpha  
398 diversity) and reduce them where they are not necessary.

399         Given the importance of the first thirty months of one's life in shaping future health outcomes  
400 (Bokulich et al., 2016; Tamburini et al., 2016; Yang et al., 2016), it is crucial that we understand how  
401 to efficiently characterize developing microbiomes. By identifying the most effective methods for  
402 investigating the microbiomes of children at different stages of development, we can reduce  
403 sequencing costs and reduce bias in results. This will ultimately increase the quality of the research  
404 by ensuring that resources are appropriately expended. Altogether, understanding the links between  
405 the infant gut microbiome and child development will allow us to better predict how early-life  
406 environmental exposures or health decisions can mediate the gut microbiome's effects on health later  
407 in life.

#### 408 **Author Contributions**

409 DP, VKC, and KSB designed the study; SR processed the samples; DP and KSB designed and wrote  
410 the code and analyzed the data; CP contributed to data analyses and statistical methods. All authors  
411 wrote, edited, and finalized the manuscript. All authors approved the manuscript's final version.

412

#### 413 **Acknowledgments**

414 We thank families participating in the RESONANCE cohort. We thank Maureen Coleman and  
415 Steven Biller for reviewing the manuscript and providing helpful comments, and Christopher  
416 Loiselle and Jennifer Beauchemin for assistance with biospecimen and metadata collection. The  
417 project was funded by the NIH UG3 OD023313 (VKC).

418

#### 419 **Data and Code availability**

420 Raw and processed data is available through SRA (NCBI Bioproject PRJNA695570) and at OSF.io  
421 (Peterson et al., 2021).

422

#### 423 **Supplementary Materials**



424 The supplementary material for this manuscript can be found online at:

425

## 426 **Conflict of Interest**

427 The authors declare that the research was conducted in the absence of any commercial or financial  
428 relationships that could be construed as a potential conflict of interest.

429

430

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577 **Figure Legends**

578 **Figure 1: Diversity of the child gut microbiome differs by age, regardless of profiling method**

579 Microbiome communities from 130 children were sequenced using 16S rRNA (abbreviated “amp”) and shotgun metagenomic (abbreviated “mgx”) profiling. (A) Alpha diversity was calculated using 580 the Shannon diversity index for each child. Boxplots are grouped by age and colored by profiling 581 method. (B) Beta-diversity was quantified using pair-wise Bray-Curtis dissimilarities between all 582 children within the same profiling method and developmental stage. (C) Bray-Curtis dissimilarities 583 between 16S and metagenomic profiles for matched samples (from same fecal sample), 16S and 584 metagenomic profiles among unmatched samples (from different fecal samples). (D) Beta-diversity 585 was visualized using Principal Coordinate analysis (PCoA). The first two principal coordinate axes, 586 which together explain 49.25% of variation, are shown. Each dot represents one taxonomic profile, 587 with lines connecting profiles from the same sample. Colors represent developmental stages and 588 shape represent profiling methods. 589

590 **Figure 2: Some phylogenetic clustering of taxa by profiling method**

591 (A) Venn diagrams indicating the number of taxa that were found by 16S (peach), shotgun 592 metagenomics (cyan), or both (grey) methods. Number of overlapping and unique taxa were 593 calculated on the family, genus, and species level. (B) A common phylogenetic tree was generated 594 from all taxa identified by both 16S rRNA gene (amp) and shotgun metagenomic sequencing (mgx). 595 Colors indicate which method was able to identify taxa (peach = identified by 16S, cyan = identified 596 by shotgun metagenomics, yellow = taxa was not present in the database of the method with which it 597 was not found).

598 **Figure 3 Alpha diversity increases with sequencing depth**

599 (A) Shotgun metagenomic reads from 30 deeply sequenced samples were resampled four times at 600 each different sequencing depths (100k; 250k; 500k; 750k; 1M reads). Reads were reassigned 601 taxonomy using MetaPhlAn and diversity was recalculated. Each dot represents a single resampled 602 community. (B) Boxplots of Shannon diversity among all samples at each re-sampling depth, colored 603 by developmental stage. Scatter plot indicates Shannon diversity of original samples.

604

605 **Table 1 Average Shannon Index values among children less than 15 months at different**  
606 **subsampling depths in the RESONANCE data-set**

607

<b>read_depth</b>	<b>mean</b>	<b>sd</b>	<b>abs_diff</b>
<b>100</b>	1.35	0.39	
<b>250</b>	1.67	0.42	0.32
<b>500</b>	1.8	0.44	0.13
<b>750</b>	1.86	0.44	0.06
<b>1000</b>	1.89	0.44	0.03
<b>original</b>	2.04	0.42	0.15

608

609 “Read\_depth”: indicates subsampling depth, “mean”: mean Shannon Index at subsampling depth, sd:  
610 standard deviation of Shannon Index at subsampling depth, “abs\_diff”: absolute difference in  
611 Shannon Index from previous subsampling depth.



612 **Supplemental Figures**

613 **Figure S1: RESONANCE: a cohort of healthy children between ages 2 months and 4 years**

614 Histogram showing distribution of ages across developmental stages. Both 16S rRNA gene data and  
615 metagenome profiles were obtained for 130 stool samples (one sample per child and timepoint). n=  
616 85 for children <15 months, n=15 for children 15-30 months, n= 60 for children >30 months. Color  
617 indicates developmental stage.

618 **Figure S2: Cumulative percent of variation explained by first 100 principal components**

619 Barplot of the cumulative sum of the percentage explained by the first 100 principal components  
620 used to create Figure 1D. The first 10 principal components explained 88.5% of the total variation in  
621 Bray-Curtis dissimilarity within the dataset.

622 **Figure S3: Species richness increases with sampling depth within developmental stage**

623 **(A)** Boxplots of species richness among all samples at each sampling depth, colored and grouped by  
624 developmental stage. **(B)** Boxplots of species richness among all samples at each re-sampling depth,  
625 separated by sampling depth.

626 **Figure S4: Alpha diversity decreases with sequencing depth in DIABIMMUNE dataset**

627 **(A)** Shotgun metagenomic reads from 804 deeply sequenced samples were resampled times at six  
628 different sequencing depths (100k; 250k; 500k; 750k; 1M, & 10 M reads). Reads were reassigned  
629 taxonomy using MetaPhlan and diversity was recalculated. Each dot represents a single resampled  
630 community. **(B)** Boxplots of Shannon diversity among all samples at each re-sampling depth, colored  
631 by developmental stage. Scatter plot indicates Shannon diversity of original samples.

632 **Figure S5: Genera found by 16S rRNA amplicon sequencing have significantly higher primer**  
633 **coverage**

634 TestPrime 1.0 was used to calculate the percent primer coverage of the primers used in our study for  
635 amplicon sequencing. We compared the percent coverage for microbes found uniquely by 16S rRNA  
636 sequencing, both methods, and shotgun metagenomic sequencing. A pairwise Wilcoxon test found  
637 that primer coverage for microbes found uniquely by amplicon sequencing is significantly higher  
638 than that in the genera found uniquely by shotgun metagenomics ( $p < 0.05$ ).

639 **Supplemental Tables**

640 **Table S1: Genera systematically over-represented with either profiling method**

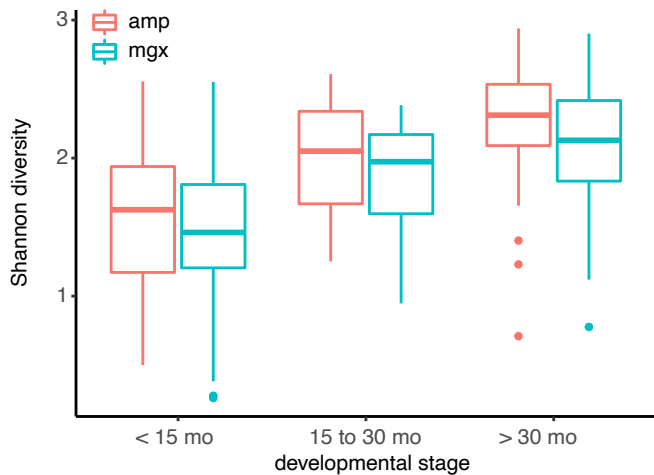
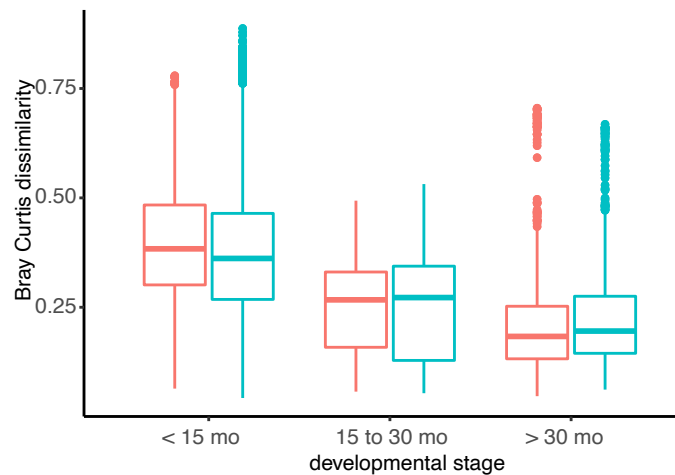
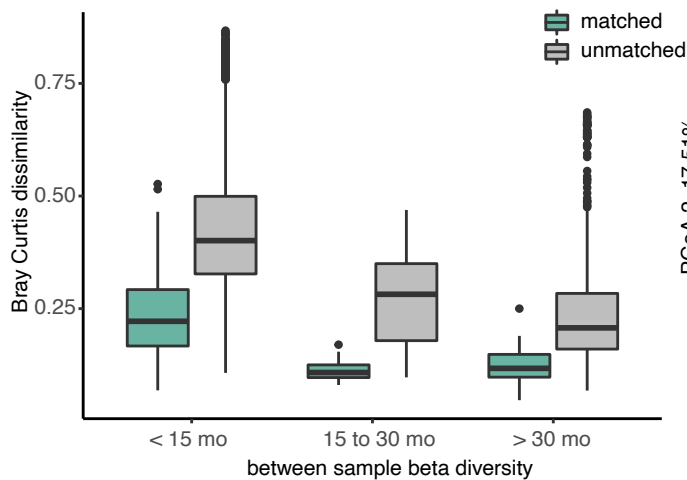
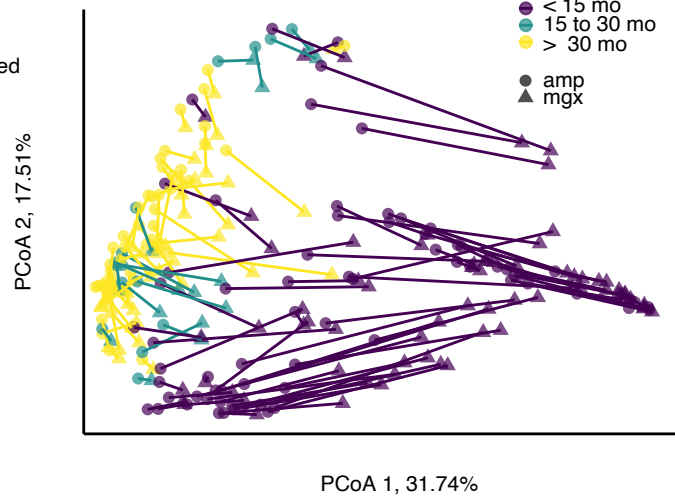
641 The Wilcoxon signed-rank test was used to compare the relative abundances of a particular genera,  
642 calculated from 16S and shotgun metagenomics profiling. “Diff” is the average relative abundance  
643 difference for a particular genera (mean 16S relative abundance - mean shotgun metagenomics  
644 relative abundance) “P.adjust” is the p-value after Benjamini-Hotchberg correction. The table  
645 presents genera with significant differences (adjusted p-value < 0.05), indicating genera that had  
646 higher average relative abundances when profiled by 16S rRNA or shotgun metagenomics. “Method”  
647 indicates the profiling method where the genus was more abundant.

648 **Table S2: Output of linear model used to predict Shannon Index based on read depth and**  
649 **developmental stage in RESONANCE dataset**

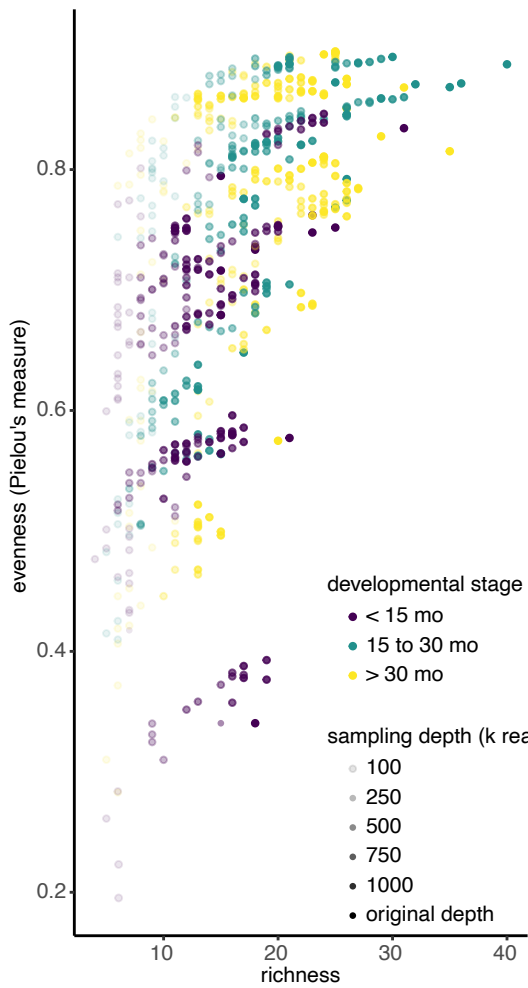
650 *lme4* was used to construct a Mixed effects linear model to analyze data from the RESONANCE  
651 subsampling results. “Estimates” reports the estimated coefficients for the intercept of the fitted line  
652 and each variable (read depth, developmental stage) or interaction of variables.

653 **Table S3: Output of linear model used to predict Shannon Index based on read depth and**  
654 **developmental stage in DIABIMMUNE dataset**

655 *lme4* was used to construct a Mixed effects linear model to analyze data from the DIABIMMUNE  
656 subsampling results. “Estimates” reports the estimated coefficients for the intercept of the fitted line  
657 and each variable (read depth, developmental stage) or interaction of variables.

**A****B****C****D**



**A****B**