

Complex Traits and Candidate Genes: Estimation of Genetic Variance Components Across Modes of Inheritance

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1 Abstract

2 Large-effect loci—those discovered by genome-wide association studies or linkage mapping—associated with key traits segregate amidst a background
3 of minor, often undetectable genetic effects in both wild and domesticated plants and animals. Accurately attributing mean differences and variance
4 explained to the correct components in the linear mixed model (LMM) analysis is important for both selecting superior progeny and parents in plant and
5 animal breeding, but also for gene therapy and medical genetics in humans. Marker-assisted prediction (MAP) and its successor, genomic prediction
6 (GP), have many advantages for selecting superior individuals and understanding disease risk. However, these two approaches are less often integrated
7 to simultaneously study the modes of inheritance of complex traits. This simulation study demonstrates that the average semivariance can be applied to
8 models incorporating Mendelian, oligogenic, and polygenic terms, simultaneously, and yields accurate estimates of the variance explained for all relevant
9 terms. Our previous research focused on large-effect loci and polygenic variance exclusively, and in this work we want to synthesize and expand the
10 average semivariance framework to a multitude of different genetic architectures and the corresponding mixed models. This framework independently
11 accounts for the effects of large-effect loci and the polygenic genetic background and is universally applicable to genetics studies in humans, plants,
12 animals, and microbes.

13 **Keywords:** Average semivariance, Linear mixed model, Variance component estimation, Polygenic inheritance, Oligogenic inheritance, Mendelian
14 inheritance

1 Introduction

2 Today, LMMs are routinely applied in breeding and quantitative
3 genetics research and are used for the prediction of genetic values
4 in plants and animals (VanRaden 2008; Hayes *et al.* 2009; Albrecht
5 *et al.* 2011; Endelman 2011; Crossa *et al.* 2014; Meuwissen *et al.*
6 2016), or polygenic risk scores (PRSs) in humans (de los Campos
7 *et al.* 2010; Dudbridge 2013; Wray *et al.* 2019; Truong *et al.* 2020;
8 de Los Campos *et al.* 2013; Lello *et al.* 2018, 2019), to estimate the
9 heritability of traits in target populations (Visscher *et al.* 2006, 2008;
10 de los Campos *et al.* 2015; Lehermeier *et al.* 2017; Legarra 2016),
11 and to estimate ecological and evolutionary genetic parameters
12 of behavioral traits (Walsh and Lynch 2018; Walsh *et al.* 2020; Ol-
13 droyd 2012; Hemani *et al.* 2013; Ariyomo *et al.* 2013). Genetic
14 values are constructed from a combination of genetic effects; in-
15 cluding Mendelian factors; which may have both additive effect
16 and dominance deviations (Pincot *et al.* 2018, 2022), oligogenic
17 factors consisting of few genetic factors and their epistatic inter-
18 actions appropriate for marker-assisted prediction (MAP) (Tang
19 *et al.* 2006), a polygenic term consisting of a dense genome-wide
20 framework of markers assumed to have minor effects appropriate
21 for genomic prediction (GP); which may also account of additive
22 and dominance sources of variance (Pincot *et al.* 2020; Brandariz
23 and Bernardo 2019), and a residual genetic term consisting of all
24 genetic effects not accounted for by the previous genetic factors
25 (Rutkoski *et al.* 2014; Rice and Lipka 2019; DeWitt *et al.* 2021). The

26 ultimate objective in breeding applications is, typically, predict-
27 ing the genotypic value, e.g., breeding value or genetic merit of a
28 candidate individual (Knapp 1998; Piepho *et al.* 2008; Piepho 2009;
29 VanRaden 2008; Luby and Shaw 2001; Collard and Mackill 2007).
30 For loci to provide actionable gains or diagnoses, they must ex-
31 plain a significant proportion of phenotypic and genetic variation
32 in a population with alleles in segregation at target loci.

33 Candidate gene discovery through genome-wide association
34 studies (GWAS) and quantitative trait locus (QTL) mapping is
35 prolific in plant and animal populations (Lander and Botstein
36 1989; Lander and Schork 1994; Visscher *et al.* 2012, 2017; Korte
37 and Farlow 2013; Yu *et al.* 2006). Despite decades of directional
38 selection in many plant populations, loci impacting traits of interest
39 still segregate, even in advanced breeding materials, and these
40 genome-wide analyses have succeeded in implicating numerous
41 genes and genomic regions in the control of a wide variety of
42 both simple and complex traits (Tang *et al.* 2006; Pincot *et al.* 2018;
43 Wassom *et al.* 2008; Demmings *et al.* 2019a; Rutkoski *et al.* 2014; Rice
44 and Lipka 2019; DeWitt *et al.* 2021; Han *et al.* 2018; Xin *et al.* 2020;
45 Kim and Reinke 2019; Gage *et al.* 2020; Visscher *et al.* 2012, 2017;
46 Andersson 2001; Hayes and Goddard 2001; Anderson *et al.* 2007;
47 Septiningsih *et al.* 2009; Hayes *et al.* 2010; Saatchi *et al.* 2014; Seabury
48 *et al.* 2017), although the utility of such marker-trait associations
49 may not be fully realized (Bernardo 2004, 2016). Large-effect and
50 statistically significant loci typically only explain a fraction of the
51 genetic and phenotypic variance in a population (Feldmann *et al.*

2 Complex traits and candidate genes

2021), along with the polygenic fraction (Feldmann *et al.* 2022), except in extreme scenarios when Mendelian factors wholly control a trait.

Discovered loci rarely, if ever, explain 100% of the genetic variance, and understanding the multiple sources of variation and how they relate can help breeders and research prioritize targets and mitigate risk (Bernardo 2004, 2014). Genes with significant effects often dominate the ‘non-missing heritability,’ but they can also mask or obscure the effects of other quantitatively acting genes and pleiotropically affect multiple quantitative phenotypes (Mackay 2001; Mackay *et al.* 2009; Lorenz and Cohen 2012; De Villemereuil *et al.* 2018; Eichler *et al.* 2010). For example, mutations in the *BRCA2* gene can have large effects, but be incompletely penetrant, interact with other genes, and may be necessary but insufficient for predicting breast, ovarian, and other cancer risks in women (Gaudet *et al.* 2010). Accurately partitioning the Mendelian, oligogenic, and polygenic sources of variance allows researchers to assess how much value, or risk, specific loci confer.

Here, we use simulations to show that the ASV provides accurate variance component estimates (VCEs) and variance component ratios for all relevant genetic terms regardless study design or population type, e.g., outbred or inbred. We sought to marry the our previously published works (Piepho 2019; Feldmann *et al.* 2021, 2022) and to present a fully realized ASV approach for typical LMM analyses in human, plant, animal, and microbial genetics. We demonstrate how these models can be extended to handle more complex genetic structures, including adding multiple explanatory loci and marker-marker interactions, incorporating non-additive dominance and epistasis variance, and partitioning marker variance into additive and dominance components. We provide examples of expressing the different models and extensions in the freely available `sommer` R package (Covarrubias-Pazaran 2016). We believe that the average semivariance is a powerful tool for answering these questions regardless of the organism, population, or trait.

Linear mixed model analysis and the average semivariance

The average semivariance (ASV) estimator of total variance (Piepho 2019) and the variance of single markers and marker-marker interactions (Feldmann *et al.* 2021) is half the average total pairwise variance of a difference between entries and can be decomposed into independent sources of variance, e.g., genetic and residual. In this article, we assume that researchers are able to independently replicate entries—as in clonally propagated or inbred crop species—or can collect repeated measures on entries (e.g., individuals, families, or strains)—as in humans and animals—and then estimate the least square means (LSMs), best linear unbiased estimators (BLUEs), or other adjusted entry means in the first stage of a two-stage analysis (Piepho *et al.* 2012; Schulz-Streeck *et al.* 2013; Damesa *et al.* 2017, 2019).

The key idea here is that the adjust entry means, in general, are considered the “phenotype” since we assume independent replication. In animal breeding, “de-regressed” best linear unbiased predictors (BLUPs) are used in GBLUP and GWAS analysis (Strandén and Mäntysaari 2010; Ricard *et al.* 2013; Calus *et al.* 2016; Konstantinov and Goddard 2020). The two-stage approach is commonly applied for GWAS and GP studies in plants (Pincot *et al.* 2018, 2020; Damesa *et al.* 2017; Dias *et al.* 2020; Gogel *et al.* 2018). For simplicity in our demonstration, we assume that the error variance of the observation is $\mathbf{R} = \mathbf{I}_n \sigma_\epsilon^2$, where n is the number of entries (e.g., individuals, accessions, genotypes, lines, or animals). The more

general approach is to assume a general variance-covariance matrix \mathbf{R} and, importantly, the average semivariance can efficiently deal with more general forms of \mathbf{R} and integrated directly into single-stage or multi-stage analyses. We explore ASV in a fully efficient two-stage analysis below in this article.

The form of the linear mixed model (LMM) for this analysis assuming only one explanatory marker is:

$$\mathbf{y} = \mathbf{1}\mu + \mathbf{Z}_m m + \mathbf{I}g + \mathbf{I}G_R + \epsilon \quad (1)$$

where \mathbf{y} is the vector of LSMs with $y \sim \mathcal{N}(\mu, \mathbf{V})$, μ is the population mean and the only fixed effect, m is the random effect of the main-effect locus with $m \sim \mathcal{N}(0, \mathbf{I}\sigma_m^2)$, g is the random additive genetic effect associated with the genome-wide framework of marker excluding m with $g \sim \mathcal{N}(0, \mathbf{K}_{ASV}\sigma_g^2)$, G_R is the random residual genetic term—the portion of the total genetic effect not accounted for by m or g —with $G_R \sim \mathcal{N}(0, \mathbf{I}\sigma_{G_R}^2)$, and ϵ is the random residual term with $\epsilon \sim \mathcal{N}(0, \mathbf{R})$. We then calculated \mathbf{K}_{ASV} as:

$$\mathbf{K}_{ASV} = \frac{\bar{\mathbf{X}}\bar{\mathbf{X}}^T}{(n-1)^{-1}tr(\bar{\mathbf{X}}\bar{\mathbf{X}}^T)} \quad (2)$$

where $\bar{\mathbf{X}} = \mathbf{P}\mathbf{X}$ is the mean-centered marker matrix, $\bar{\mathbf{K}} = \bar{\mathbf{X}}\bar{\mathbf{X}}^T$ is the realized genomic relationship or kinship matrix, $\mathbf{P} = \mathbf{I} - n^{-1}\mathbf{1}_n\mathbf{1}_n^T$ is the idempotent mean-centering matrix, and $tr(\cdot)$ is the trace. \mathbf{Z}_m is a $n \times n_m$ dimension design matrix linking levels of the explanatory locus to LSMs in \mathbf{y} , where n_m is the number of marker genotypes.

The ASV definition of total variance from LMM (1) is:

$$\begin{aligned} \theta_y^{ASV} &= (n-1)^{-1}tr(\mathbf{V}\mathbf{P}) \\ &= \theta_m^{ASV} + \theta_g^{ASV} + \theta_{G_R}^{ASV} + \theta_\epsilon^{ASV} \end{aligned} \quad (3)$$

where θ_y^{ASV} is the total phenotypic variance, \mathbf{V} is the variance-covariance among observations, θ_m^{ASV} is the average semivariance of the simple genetic term, θ_g^{ASV} is the average semivariance of the polygenic term, $\theta_{G_R}^{ASV}$ is the average semivariance of the residual genetic term, and θ_ϵ^{ASV} is the average semivariance of the residuals.

The ASV definition of the genomic variance is:

$$\begin{aligned} \theta_g^{ASV} &= (n-1)^{-1}\sigma_g^2 tr(\mathbf{X}\mathbf{X}^T\mathbf{P}) \\ &= \left[\frac{tr(\bar{\mathbf{K}})}{n-1} \right] \sigma_g^2 \end{aligned} \quad (4)$$

In general, we replace the unknown parameter values (σ_g^2) with their REML estimates ($\hat{\sigma}_g^2$) to obtain the ASV estimates ($\hat{\theta}_g^{ASV}$). Following this form, it is possible to extend LMM (1) to include dominance and epistatic sources of variance (see below). The ASV definition of the marker associated genetic variance is:

$$\begin{aligned} \theta_m^{ASV} &= (n-1)^{-1}\sigma_m^2 tr(\mathbf{Z}_m\mathbf{Z}_m^T\mathbf{P}_m) \\ &= \left[\frac{(n-1)^{-1}\sum_h n_{G:m_h}^2}{n-1} \right] \sigma_m^2 \\ &= k_m \hat{\sigma}_m^2 \end{aligned} \quad (5)$$

It is possible to extend this using the approach for multi-locus models as in (8), with and without marker-marker interactions, described in (Feldmann *et al.* 2021). The ASV definition of the residual genetic variance is:

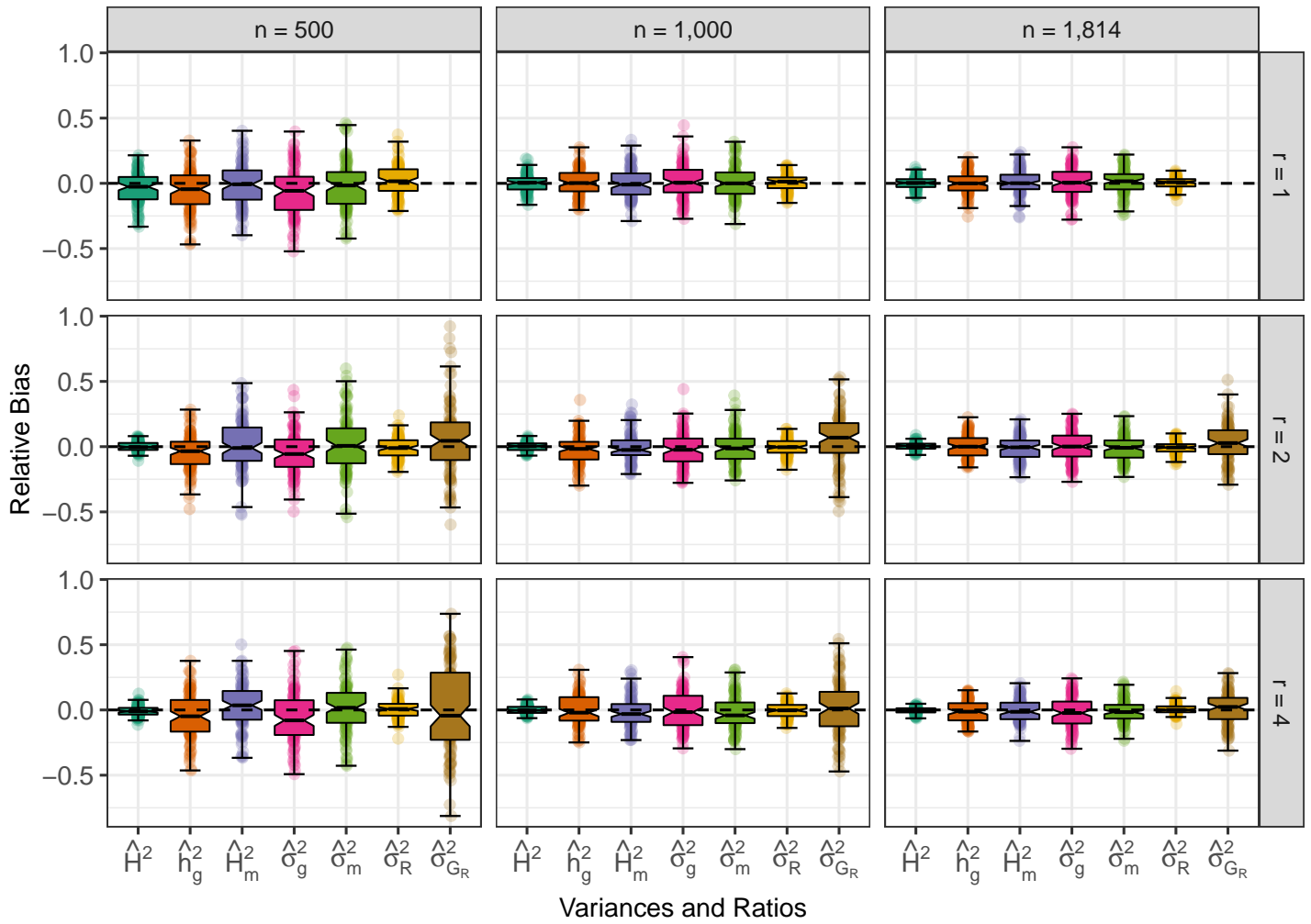


Figure 1 Effect of n and r on the relative bias of variance components and ratios in simulated outbred populations. Phenotypic observations were simulated for 100 samples with $n = 500, 1,000,$ and $1,814$ (left to right) genotyped for $m = 5,000$ SNPs and the average heterozygosity $H = 0.38$. The relative bias of marker heritability, genomic heritability estimates (\hat{h}_g^2), broad sense heritability, genomic variance, marker variance, residual genetic variance, and residual variance heritability when the number of replicates of each entry (r) = 1 (upper panel), 2 (middle panel), and 4 (lower panel). The upper and lower halves of each box correspond to the first and third quartiles (the 25th and 75th percentiles). The notch corresponds to the median (the 50th percentile). The upper whisker extends from the box to the highest value that is within $1.5 \times IQR$ of the third quartile, where IQR is the inter-quartile range, or distance between the first and third quartiles. The lower whisker extends from the first quartile to the lowest value within $1.5 \times IQR$ of the quartile. The dashed line in each plot is the true value from simulations.

Linear mixed model extensions incorporating the average semivariance

While an important model, LMM (1) only covers a narrow scope of the possible genetic models and experiments that might exist, and we want to provide researchers with a clear strategy for expanding this approach to more complex systems. This section demonstrates how to partition the additive and dominance variance from a single marker, incorporate multiple explanatory loci, their interactions into the model, and non-additive polygenic terms, and achieve a fully efficient two-stage analysis. Depending on the population, trait, environment, etc. the unique components of the models demonstrated here can be hybridized and merged to accurately and holistically decompose the multitude of potential sources of genetic variation. The code to execute these models using the somer v4.1.7 (Covarrubias-Pazaran 2016) is provided in the methods.

$$\begin{aligned} \theta_{G_R}^{ASV} &= (n-1)^{-1} \sigma_{G_R}^2 \text{tr}(\mathbf{I}_n \mathbf{I}_n^T \mathbf{P}_n) \\ &= \sigma_{G_R}^2 \end{aligned} \quad (6)$$

- 1 Importantly, all terms are estimated on the same scale as the
- 2 residual variance $\theta_{G_R}^{ASV}$ and are estimates on an entry-mean basis.
- 3 The ASV definition of the residual variance is:

$$\begin{aligned} \theta_R^{ASV} &= (n-1)^{-1} \sigma_e^2 \text{tr}(\mathbf{I}_n \mathbf{I}_n^T \mathbf{P}_n) \\ &= \sigma_e^2 \end{aligned} \quad (7)$$

4 Complex traits and candidate genes

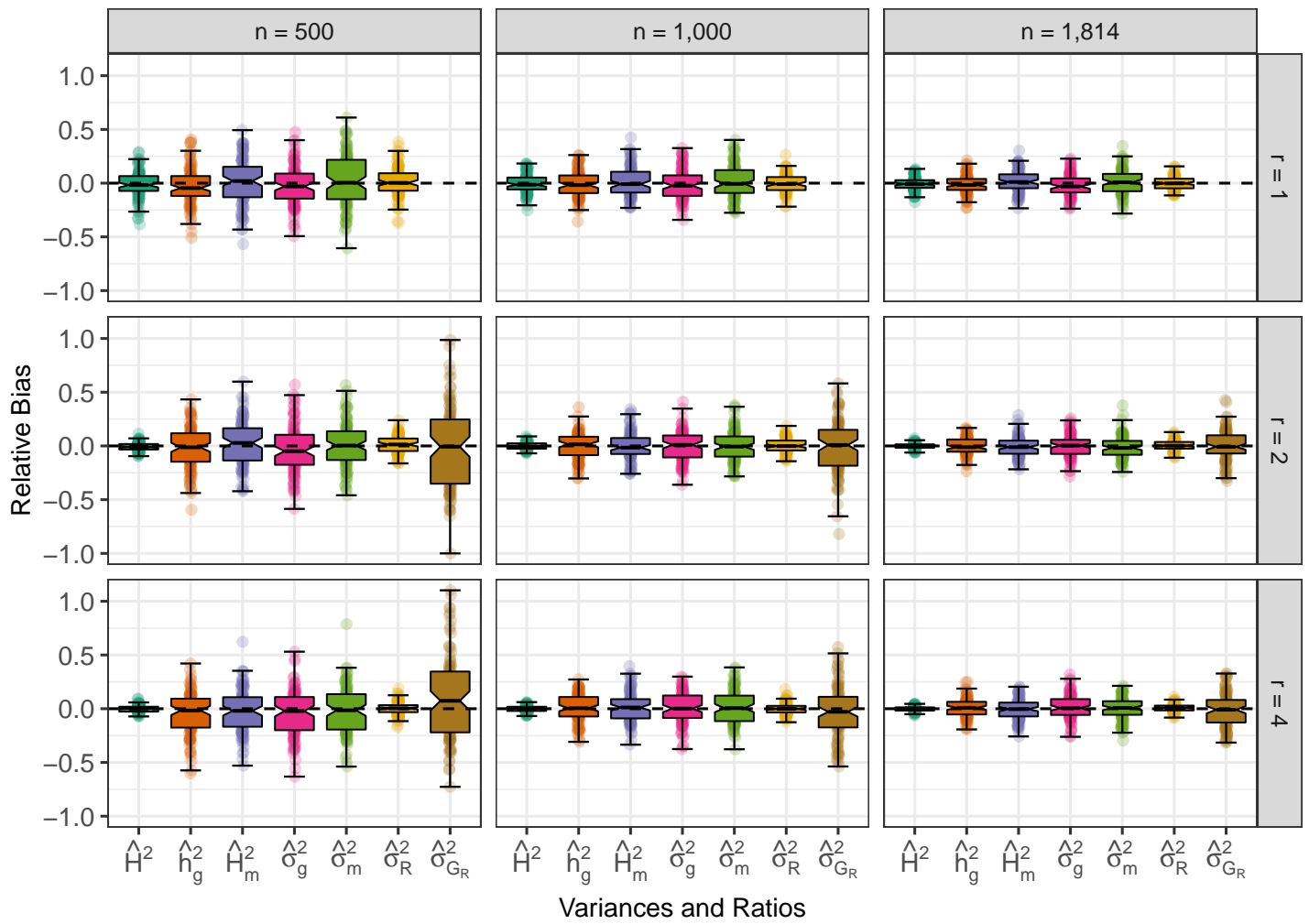


Figure 2 Effect of n and r on the relative bias of variance components and ratios in simulated inbred populations. Phenotypic observations were simulated for 100 samples with $n = 500, 1,000,$ and $1,814$ (left to right) genotyped for $m = 5,000$ SNPs and the average heterozygosity $H = 0$. The relative bias of marker heritability, genomic heritability estimates (\hat{h}_g^2), broad sense heritability, genomic variance, marker variance, residual genetic variance, and residual variance heritability when the number of replicates of each entry (r) = 1 (upper panel), 2 (middle panel), and 4 (lower panel). The upper and lower halves of each box correspond to the first and third quartiles (the 25th and 75th percentiles). The notch corresponds to the median (the 50th percentile). The upper whisker extends from the box to the highest value that is within $1.5 \times IQR$ of the third quartile, where IQR is the inter-quartile range, or distance between the first and third quartiles. The lower whisker extends from the first quartile to the lowest value within $1.5 \times IQR$ of the quartile. The dashed line in each plot is the true value from simulations.

1 **Extension #1: Incorporating multiple target loci and**
 2 **locus-locus interactions**

3 It is common for multiple QTL to be implicated from genetic studies
 4 (Tang *et al.* 2006; Rutkoski *et al.* 2014; Vasconcellos *et al.* 2017;
 5 Lopedell *et al.* 2019; Legare *et al.* 2000; Cockerton *et al.* 2019; Rice
 6 and Lipka 2019; Demmings *et al.* 2019b), the utility of which is not
 7 always certain (Bernardo 2001, 2004). While the simulations in this
 8 paper rely exclusively on LMM (1), this model can be easily ex-
 9 panded to include multiple explanatory loci and their interactions
 10 or statistical epistasis (Moore and Williams 2005; Álvarez-Castro
 11 and Carlborg 2007), as demonstrated by (Feldmann *et al.* 2021). For
 12 example, the LMM with three main-effect loci, denoted $m_1, m_2,$
 13 and m_3 , is:

$$\mathbf{y} = \mathbf{1}_n\mu + \sum_{i=1}^3 \mathbf{Z}_{m_i}m_i + \sum_{i=1}^2 \sum_{j=2}^3 \sum_{i<j} \mathbf{Z}_{m_{ij}}m_{ij} \quad (8)$$

$$+ \mathbf{Z}_{m_{123}}m_{123} + \mathbf{I}g + \mathbf{I}G_R + \epsilon$$

where m_i is the random effect of the i -th main-effect marker, m_{ij}
 is the random effect of the two-way interaction between the i -th
 and j -th markers, and m_{123} is the random effect of the three-way
 interaction between the three main-effect loci. $\mathbf{Z}_{m_i}, \mathbf{Z}_{m_{ij}},$ and $\mathbf{Z}_{m_{123}}$
 are design matrices that link levels of the explanatory marker and
 interactions to LSMs in y . The rest of the terms have the same
 definitions.

1 Extension #2: Partitioning θ_m^{ASV} into additive ($\theta_{m_\alpha}^{ASV}$) and 2 dominance ($\theta_{m_\delta}^{ASV}$) components

3 The factor coding of the Mendelian and oligogenic markers is a
4 different approach than is standard in GWAS (Korte and Farlow
5 2013; Visscher et al. 2012, 2017). In GWAS, markers are typically
6 treated as fixed and coded numerically, e.g., the dosage model.
7 Assuming that a researcher is working with an outbred species
8 ($H \neq 0$), the dominance deviations can be significant, and par-
9 titioning the additive and dominance sources of variance from
10 significant markers can be helpful in hybrid crop breeding and dis-
11 ease risk prognoses. Our goal is to partition θ_m^{ASV} into its additive
12 ($\theta_{m_\alpha}^{ASV}$) and dominance ($\theta_{m_\delta}^{ASV}$) components.

13 Here, we demonstrate an LMM that can be used to partition
14 the additive and dominance sources of variance of the main ef-
15 fect marker. The form of the linear mixed model (LMM) for this
16 analysis assuming only one explanatory marker is:

$$\mathbf{y} = \mathbf{1}\mu + \mathbf{Z}_{m_\alpha}m_\alpha + \mathbf{Z}_{m_\delta}m_\delta + \mathbf{I}g + \mathbf{I}G_R + \epsilon \quad (9)$$

17 where m_α is the random effect of the main-effect locus with $m_\alpha \sim$
18 $\mathcal{N}(0, \mathbf{I}\sigma_{m_\alpha}^2)$ and m_δ is the random effect of the main-effect locus
19 with $m_\delta \sim \mathcal{N}(0, \mathbf{I}\sigma_{m_\delta}^2)$. \mathbf{Z}_{m_α} is an $n \times 3$ design matrix linking
20 marker genotypes to observations and \mathbf{Z}_{m_δ} is an $n \times 2$ design
21 matrix linking genotypic state, either homozygous (AA and aa) or
22 heterozygous (Aa), to observations. Other terms are as defined in
23 LMM (1).

24 The average semivariance associated with m_α is obtained as in
25 (5) by:

$$\begin{aligned} \hat{\theta}_{m_\alpha}^{ASV} &= (n-1)^{-1} \hat{\sigma}_{m_\alpha}^2 \text{tr}(\mathbf{Z}_{m_\alpha} \mathbf{Z}_{m_\alpha}^T \mathbf{P}_{m_\alpha}) \quad (10) \\ &= \left[\frac{n - n^{-1} \sum_h n_{G:m_\alpha h}^2}{n-1} \right] \hat{\sigma}_{m_\alpha}^2 \end{aligned}$$

26 where $n_{G:m_\alpha h}$ is the number of entries nested in the h -th marker
27 genotype (Feldmann et al. 2021). The average semivariance associ-
28 ated with m_δ is obtained by:

$$\begin{aligned} \hat{\theta}_{m_\delta}^{ASV} &= (n-1)^{-1} \hat{\sigma}_{m_\delta}^2 \text{tr}(\mathbf{Z}_{m_\delta} \mathbf{Z}_{m_\delta}^T \mathbf{P}_{m_\delta}) \quad (11) \\ &= \left[\frac{n - n^{-1} \sum_i n_{G:m_\delta i}^2}{n-1} \right] \hat{\sigma}_{m_\delta}^2 \end{aligned}$$

29 where $n_{G:m_\delta i}$ is the number of entries nested in the i -th genetic
30 state. The sum of $[k_{m_\alpha} \hat{\sigma}_{m_\alpha}^2 + k_{m_\delta} \hat{\sigma}_{m_\delta}^2] = [\hat{\theta}_{m_\alpha}^{ASV} + \hat{\theta}_{m_\delta}^{ASV}] = \hat{\theta}_m^{ASV}$
31 and $[\hat{\theta}_{m_\alpha}^{ASV} + \hat{\theta}_{m_\delta}^{ASV}] - \hat{\theta}_m^{ASV} = 2.21 \times 10^{-5}$. $\hat{\theta}_m^{ASV}$ is an unbiased
32 estimate of the variance explained by a marker (Feldmann et al.
33 2021). The likelihood ratio (LR) between LMM (1) and (9) was
34 $LR \approx 0$ and was not significant in any simulated populations
35 ($P_{LR} > 0.2$), suggesting that there is no appreciable difference
36 between the model likelihood of (1) and (9). The same marker
37 variance is estimated in both LMMs, (1) and (9), and the estimates
38 are equal. Note that we were not able to fit LMM (9) in all software
39 and had to use either `sommer::mmer()` or `asreml::asreml()`.

40 Extension #3: Incorporating additional polygenic terms 41 for dominance (g_δ) deviations

42 LMM (1) can also be extended to include both additive (g_α) and
43 dominance (g_δ) sources of genomic variance (Vitezica et al. 2013;
44 Kumar et al. 2015; Vitezica et al. 2017; Xiang et al. 2018; Sun et al.

2014; Ali et al. 2020; Zhang et al. 2021; Martini et al. 2016). The form
45 of the LMM for analysis with both g_α and g_δ assuming only one
46 explanatory marker M is:
47

$$\mathbf{y} = \mathbf{1}\mu + \mathbf{Z}_m m + \mathbf{I}g_\alpha + \mathbf{I}g_\delta + \mathbf{I}G_R + \epsilon \quad (12)$$

48 where g_α and g_δ are random effect vectors for the additive
49 and dominance polygenic effects, respectively, with $g_\alpha \sim$
50 $\mathcal{N}(0, \mathbf{K}_{ASV} \sigma_{g_\alpha}^2)$ and $g_\delta \sim \mathcal{N}(0, \mathbf{K}_{ASV}^D \sigma_{g_\delta}^2)$. The average semivari-
51 ance dominance kernel is:

$$\mathbf{K}_{ASV}^D = \frac{\bar{\mathbf{W}}\bar{\mathbf{W}}^T}{(n-1)^{-1} \text{tr}(\bar{\mathbf{W}}\bar{\mathbf{W}}^T)} \quad (13)$$

52 where $\mathbf{W} = \mathbf{1} - |\mathbf{X}|$, assuming \mathbf{X} is coded $[-1, 0, 1]$, and $\bar{\mathbf{W}} = \mathbf{P}\mathbf{W}$.
53 This is a feasible approach to improve genetic performance in
54 crossbred populations with large dominance genetic variation
55 (Nishio and Satoh 2014; Vitezica et al. 2017; Xiang et al. 2018; Wolfe
56 et al. 2021). Both \mathbf{K}_{ASV} and \mathbf{K}_{ASV}^D have the matrix properties
57 proposed by Speed and Balding (2015); i.e., $n^{-1} \text{tr}(\mathbf{K}) = 1$ and
58 $n^{-2} \sum_i \sum_j K_{ij} = 0$. Not surprisingly, the dominance variance es-
59 timated with \mathbf{K}_{ASV}^D were accurate and the relative bias from 100
60 simulated populations was -3.32% .

61 Further extensions for additive-by-additive $A \times A$ or additive-
62 by-dominance $A \times D$ polygenic interactions are also possible
63 (Nishio and Satoh 2014; Covarrubias-Pazarán 2016; Vitezica et al.
64 2017). These matrices are often calculated as the Hadamard prod-
65 uct (element-wise multiplication, \circ) of \mathbf{K}_{ASV} and/or \mathbf{K}_{ASV}^D , where
66 the additive-by-additive epistasis GRM is $\mathbf{K}_{ASV}^I = \mathbf{K}_{ASV} \circ \mathbf{K}_{ASV}$.
67 This matrix has the same essential properties as \mathbf{K}_{ASV} , and so we
68 hypothesize that the ASV estimated variance components will be
69 accurate for these terms as well.

70 Extension #4: Stage-wise LMM analysis for multi- 71 environment trials (METs) and meta-analysis in plant 72 breeding

73 Two-stage, or stage-wise, analyses are the *status quo* in plant breed-
74 ing trials in both academic studies and seed industry (Piepho et al.
75 2012; Damesa et al. 2017, 2019; Endelman 2022). The reason for
76 this is that plant breeders are often not interested in the perfor-
77 mance *per se* of a line or hybrid *within* a specific location, unless the
78 presence of cross-over (rank change) $G \times E$ is very large enough
79 to make data from one target environment non-informative in an-
80 other target environment. Instead, plant breeders are often more
81 interested in the ranking and performance of entries averaged
82 across all environments (Bernardo 2020). It is common then to fit a
83 first model that accounts for the variation of random design ele-
84 ments, e.g., locations, years, blocks, and fixed genotype effects to
85 obtain the estimated marginal means (EMMs) or best linear unbi-
86 ased estimators (BLUEs) as adjusted entry means. These adjusted
87 entry means are then used as the phenotype or response variable
88 in GWAS and genomic prediction studies. However, the naive
89 approach is not "fully efficient" (Piepho et al. 2012) and assumes
90 that adjusted entry means are IID; i.e., $\mathbf{R} = \mathbf{I}\sigma_R^2$. However, due
91 to incomplete block and augmented designs, missing data, and
92 changes in experiment designs over time and location, IID entry
93 means are rarely observed in practice. To fully utilize the data,
94 however, the variance-covariance matrix of the estimates from
95 Stage 1 must be included in Stage 2 (Piepho et al. 2012; Damesa
96 et al. 2017), which is not possible with many software packages for
97 genomics-assisted breeding.

The LMM for stage one is:

$$\mathbf{y} = \mathbf{X}G + \mathbf{Z}u + \epsilon_e \quad (14)$$

6 Complex traits and candidate genes

1 where \mathbf{X} is the fixed effect design matrix linking observations to
 2 entries, \mathbf{Z} is the random effect design matrix for design (e.g., blocks)
 3 elements within each environment (e.g., years and locations), and
 4 ϵ_e are the residuals and $\epsilon_e \sim \mathcal{N}(0, \mathbf{R}_e)$, where \mathbf{R}_e is the residual
 5 variance-covariance matrix estimated in the e -th environment. \mathbf{R}_e
 6 can be estimated with or without spatial or autoregressive correlations
 7 (Farfan *et al.* 2015; Rodríguez-Álvarez *et al.* 2018; Anderson
 8 *et al.* 2018; Selle *et al.* 2020). This model is fitted for each environ-
 9 ment independently. From these models, we obtain the adjusted
 10 entry means \bar{y} and the residual variance covariance matrices \mathbf{R}_e
 11 from each of $e = 1, \dots, n_e$ environments, where n_e are the number of
 12 environments. For CRD or experiments without design elements
 13 the obtained variance-covariance matrix will be diagonal. Assume
 14 that we have two environments, we will obtain \mathbf{R}_1 from environ-
 15 ment 1 and \mathbf{R}_2 from environment 2. We can then construct the
 16 $2n \times 2n$ block-diagonal stage-one Ω matrix as:

$$\Omega = \begin{bmatrix} \mathbf{R}_1 & \mathbf{0} \\ \mathbf{0} & \mathbf{R}_2 \end{bmatrix} \quad (15)$$

17 This block-diagonal form indicates that the residuals among entries
 18 are uncorrelated among environments. For simplification, \mathbf{R}_e can
 19 be approximated by diagonal matrices in several different ways
 20 (Smith *et al.* 2001; Möhring and Piepho 2009; Welham *et al.* 2010;
 21 Piepho *et al.* 2012; Moehring *et al.* 2014), but here we use to the full
 22 variance-covariance matrix from each experiment e . Importantly,
 23 we need to carry Ω over from the stage-one analyses to stage-two
 24 of the analysis.

25 The LMM for stage two is then:

$$\bar{y} = \mathbf{1}\mu + \mathbf{X}E + \mathbf{Z}_m m + \mathbf{Z}_g g + \mathbf{Z}_{G_R} G_R + \epsilon_2 \quad (16)$$

26 where \bar{y} are the adjusted entry means from stage-one, μ is the
 27 population mean, \mathbf{X} is the fixed effect design matrix linking environ-
 28 ments to adjusted entry means, E are the fixed environ-
 29 mental effects, g is the random additive genetic effect associated
 30 with the genome-wide framework of marker excluding m with
 31 $g \sim \mathcal{N}(0, \mathbf{K}_{ASV}\sigma_g^2)$, G_R is the random residual genetic term—the
 32 portion of the total genetic effect not accounted for by m or g —
 33 with $G_R \sim \mathcal{N}(0, \mathbf{I}_n\sigma_{G_R}^2)$, and ϵ_2 is the structured residual term
 34 from stage-one with $\epsilon_2 \sim \mathcal{N}(0, \Omega)$. This approach is accessible to
 35 researchers via the sommer, asreml, and StageWise packages in R
 36 (Covarrubias-Pazarán 2016; Butler 2021; Endelman 2022) and in
 37 SAS.

38 We created 100 simulated population ($n = 1,000$; $m = 5,000$)
 39 using a similar approach to the other simulations in this experi-
 40 ment. However, in this experiment we included Environmental
 41 and Block within Environment effects. We estimates the variance
 42 explained by the polygenic background, a large effect locus, the
 43 residual genetic variance, and non-genetic residual. The single
 44 stage analysis yielded relative biases of -0.67% , -0.33% , -0.67% ,
 45 and 0.41% for the marker variance ($\hat{\sigma}_m^2$), genomic variance ($\hat{\sigma}_g^2$),
 46 residual genetic variance ($\hat{\sigma}_{G_R}^2$), and residual variance ($\hat{\sigma}_R^2$), respec-
 47 tively (Fig 3). The two stage analysis yielded relative biases of
 48 -0.83% , -4.08% , 0.15% , and 0.16% for the marker variance ($\hat{\sigma}_m^2$),
 49 genomic variance ($\hat{\sigma}_g^2$), residual genetic variance ($\hat{\sigma}_{G_R}^2$), and resid-
 50 ual variance ($\hat{\sigma}_R^2$), respectively (Fig 3).

51 **Extension #5: Incorporating k_M directly into LMM analy-**
 52 **ses**

53 In (Feldmann *et al.* 2021), we introduced ASV into LMMs for in-
 54 dividual markers in genetic analysis as a *post hoc* adjustment of

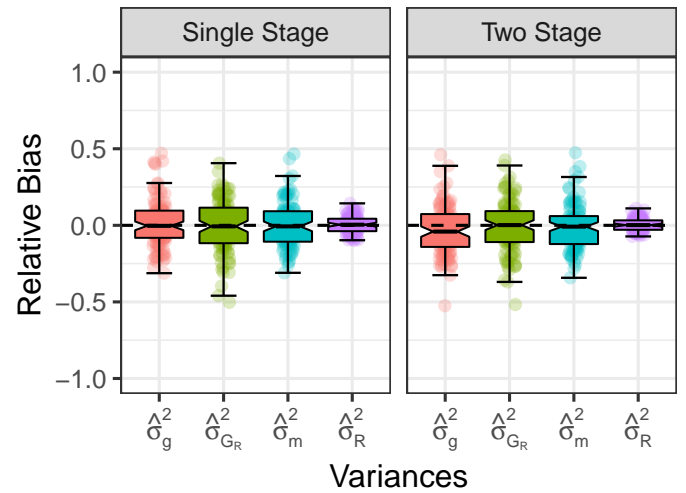


Figure 3 Single versus multi Stage analysis with two environ-
ments. The relative bias of genomic variance ($\hat{\sigma}_g^2$), marker vari-
 ance ($\hat{\sigma}_m^2$), residual genetic variance ($\hat{\sigma}_{G_R}^2$), and residual variance
 ($\hat{\sigma}_R^2$) analysed in a single stage (left panel) or in two stages (right
 panel). The upper and lower halves of each box correspond to the
 first and third quartiles (the 25th and 75th percentiles). The
 notch corresponds to the median (the 50th percentile). The up-
 per whisker extends from the box to the highest value that is
 within $1.5 \times IQR$ of the third quartile, where IQR is the inter-
 quartile range, or distance between the first and third quartiles.
 The lower whisker extends from the first quartile to the lowest
 value within $1.5 \times IQR$ of the quartile. The dashed line in each
 plot is the true value from simulations.

55 the variance explained by a marker by k_M (5). This directly led to
 56 (Feldmann *et al.* 2022), in which we showed that ASV estimates of
 57 the genomic variance could be obtained by scaling the genomic
 58 relationship prior to the LMM analysis and introduced \mathbf{K}_{ASV} , elim-
 59 inating the need for any *post hoc* adjustment. Using statistical pack-
 60 ages such as sommer (Covarrubias-Pazarán 2016), we can directly
 61 apply k_M to the variance-covariance matrix for large effect loci M
 62 and their interaction in our model. Typically, the identity matrix is
 63 used as the variance-covariance matrix and levels of the random
 64 effect are assumed to have the same variance and no covariance. In
 65 (Feldmann *et al.* 2021) we multiplied the average marginal variance
 66 component by k_M to obtain the ASV component. Instead, if we
 67 define $\mathbf{K}_M = \mathbf{I}_{n_M} k_M^{-1}$, where \mathbf{K}_M is $n_M \times n_M$ and n_M is the number
 68 of marker genotypes. We can essentially think of \mathbf{K}_M in the same
 69 way that we think of genomic relationship matrices; e.g., \mathbf{K}_{ASV} ,
 70 except that we apply \mathbf{K}_M to the levels of the marker genotype
 71 instead of entries. With this approach, we maintain the levels of
 72 the factor come from the same variance and zero covariance, but
 73 our scaling factor embedded directly in the model eliminating the
 74 need for adjustment. Embedding k_M in the LMM analysis using
 75 \mathbf{K}_M is equivalent to the *post hoc* adjustment that we proposed in
 76 (Feldmann *et al.* 2021), and so it is up to the user to determine
 77 which approach they prefer.

78 **Results and Discussion**

79 **Candidate Genes and Complex Traits**

80 Bernardo (2014) was the first to propose an integration of MAP and
 81 GP and since then empirical studies have validated the methodol-

ogy (Rutkoski *et al.* 2014; Zhang *et al.* 2014; Rice and Lipka 2019; Spindel *et al.* 2016) while others have shown little-to-no improvement over GP (Li *et al.* 2015; Galli *et al.* 2020), suggesting that modeling significant markers can improve prediction accuracy only when markers explain a *significant* portion of both genetic and phenotypic variance (Galli *et al.* 2020). With the high densities of genome-wide markers commonly assayed in gene finding studies, investigators often identify markers tightly linked to candidate or known causal genes as exemplified by diverse real world examples (Andersson 2001; Hayes and Goddard 2001; Anderson *et al.* 2007; Gaudet *et al.* 2010; Hayes *et al.* 2010; Jensen *et al.* 2012; Visscher *et al.* 2012; Septiningsih *et al.* 2009; Saatchi *et al.* 2014; Visscher *et al.* 2017; Freebern *et al.* 2020; Li *et al.* 2021; Korte and Farlow 2013). The candidate marker loci are nearly always initially identified by genome-wide searches using sequential (marker-by-marker) approaches such as GWAS and QTL analysis. Following the discovery of statistically significant marker-trait associations from a marker-by-marker genome-wide scan, the natural progression would be to analyze single- or multi-locus genetic models where the effects of the discovered loci are simultaneously corrected for the effects of other discovered loci, e.g., polygenic variation (Stroup *et al.* 2018; Gbur *et al.* 2020).

A marker will not explain a large portion of variance if that marker does not have a large, detectable effect and, thus, markers that explain a large portion of genetic variance will be the most useful for MAP. For example, consider Fusarium wilt resistance in strawberry which is conferred by a single dominant acting locus *Fw1* (Pincot *et al.* 2018, 2022). This locus explains nearly 100% of both the phenotypic and genetic variance and the mean differences delineate resistant vs susceptible genotypes, and thus there is almost no added benefit of a genome-wide sample of markers over the single-marker assay (*m*) for product delivery and germplasm improvement. While variance explained is directly linked to the effect size, it is not a direct substitute. However, the random effect machinery allows for researchers to obtain variance component estimates and effect sizes (e.g., BLUPs) simultaneously (Searle *et al.* 1992) eliminating the need for multiple statistical models to assess the variance explained and the effect size of a target locus. The BLUP procedure is directly applied in this model, so it is natural to use the same statistical machinery to estimate GEBVs by GBLUP and the genetic effect of a locus.

As a point of contrast, yield in maize (*Zea mays*) is heritable but no single locus explains any appreciable amount of phenotypic or genotypic variance (Heffner *et al.* 2009, 2010; Yang *et al.* 2017; Brandariz and Bernardo 2019; Gage *et al.* 2020; Zhang *et al.* 2019). For improvement of yield in maize, GP is potentially a more valuable approach because the researcher, or breeder, can predict the polygenic value (*g*) without relying on any one particular locus, but instead capturing variation of a genome-wide sample of markers. The more challenging scenario is the intermediate case in which a trait is controlled by both loci that are discernible from the polygenic background and the polygenic background itself (Rutkoski *et al.* 2014; Rice and Lipka 2019; DeWitt *et al.* 2021).

The ratio between the variance explained by the oligogenic and polygenic terms with the total genetic or phenotypic variance is likely a major factor determining the cost-benefit of incorporating MAP, GP, or both into a breeding or diagnostic program. Modeling a individual loci can be advantageous when the proportion of the phenotypic and genetic variance explained by the locus is reasonably large and not partially captured by other markers in linkage disequilibrium (LD) with the target (Bernardo 2014; Rutkoski *et al.* 2014; Rice and Lipka 2019; Pincot *et al.* 2018, 2022). Ideally, the

targeted markers should not fit the marker effect size distribution assumptions, e.g., that all marker effects contribute equally to the genomic variance and are drawn from the same distribution (Piepho 2009; Endelman 2011; Habier *et al.* 2007) and should not be in high LD with a large number of other markers. With ASV, researchers can accurately estimate these parameters directly in LMM analyses.

Simulations confirm that ASV yields accurate estimates of all genetic variance components and ratios

As we show in our previous studies (Piepho 2019; Feldmann *et al.* 2021, 2022), ASV is ideal for estimating the variance explained by both single loci and GRMs. In our simulations, we included variation in population size, e.g., $n = 500, 1,000,$ and $1,814,$ and replication of entries, e.g., $r = 1, 2,$ and 4 for both outbred (Fig 1) and inbred populations (Fig 2). We can see that the same pattern that has emerged as in previous studies; the ASV approach yields accurate, unbiased estimates of variance components and variance component ratios from LMM analyses regardless of the constitution of the population or the study design. Even when there is only one replicate per entry ($r = 1$) all of the explanatory genetic terms are still accurately partitioned from the total variance. As n increased from 500 to 1,814, the precision of estimates increased dramatically (the sampling variance decreases). Increasing r from 1 to 4 did not affect precision or accuracy of genomic and marker associated variances. However, increased numbers of replicates did improve the precision of residual variance components. This is because entries are replicated among plots ($n \cdot r$), but markers and other genetic components are replicated among entries (n). Our simulations, in conjunction with our previous results (Piepho 2019; Feldmann *et al.* 2021, 2022), demonstrate that in most populations—human, animal, plant, or microbe—the average semivariance will yield accurate and easily interpreted estimates of different variance components.

Average semivariance in quantitative genetics and beyond

ASV is a strategy that can be used for estimating and partitioning the total variance into components (Piepho 2019), such as the variance explained by loci and locus-locus (Feldmann *et al.* 2021) and the genomic variance (Feldmann *et al.* 2022). The approach we are suggesting shares some common threads with the current thinking in quantitative genetics, particularly as it relates to genomic relatedness, genomic heritability, and genomic prediction (VanRaden 2008; Yang *et al.* 2010; Kang *et al.* 2010; Habier *et al.* 2013; Hayes *et al.* 2009; Meuwissen *et al.* 2001; Isik *et al.* 2017; Zas and Sampedro 2015; Potti and Canal 2011; Roff and Fairbairn 2015; Swarts *et al.* 2021; Nietlisbach *et al.* 2016; Ulrich *et al.* 2021; Fan *et al.* 2021) but it also deviates from the classic quantitative genetic model conceptually in that it assumes that marker effects are random variables (Falconer and Mackay 1996; Lynch and Walsh 1998; Bernardo 2001). We have demonstrated that these are a statistically valid set of assumptions, even though they deviate from the classic quantitative genetics perspective.

ASV has several beneficial elements that make ASV a viable option for quantitative genetics, but more importantly, it is appropriate for any quantitative discipline where variance components are of interest from plant and microbial biology to psychology and infant research. Namely:

1. The definitions of the variance components using average semivariance are additive and sum to the phenotypic vari-

8 Complex traits and candidate genes

ance. This means that the LMM can be extended to incorporate all explanatory components, e.g., dominance, epistasis, transcriptomic, and will yield accurate VCEs for all terms (Nishio and Satoh 2014; Vitezica *et al.* 2017; Xiang *et al.* 2018; Krause *et al.* 2019). This is not necessarily true for all definitions of variance components (Piepho 2019).

- 2. ASV is well suited for multi-stage analyses** At the center of ASV, is the idea that the "entry mean" is the phenotype *per se*, and not the observations (Piepho 2019; Feldmann *et al.* 2022). One interpretation is that individuals, not observations, are the primary source of variation. ASV yields accurate estimates of the genetic and genomic variance components in unreplicated, or partially replicated, designs common in humans and agricultural plants and animals (Cullis *et al.* 2006; Moehring *et al.* 2014; Cullis *et al.* 2020; Butler *et al.* 2014; González-Barrios *et al.* 2019). ASV also yields accurate estimates in the two-stage approaches to GP and GWAS in plants (Piepho *et al.* 2012; Damesa *et al.* 2017, 2019).
- 3. ASV does not affect or impact the BLUPs or breeding value predictions.** ASV is only used to obtain accurate VCEs (Piepho 2019; Feldmann *et al.* 2022). It has been demonstrated that marker coding and different strategies for scaling and centering \mathbf{Z} and \mathbf{K} do not impact BLUPs or prediction accuracy (Strandén and Christensen 2011; Legarra 2016; Legarra *et al.* 2018), and, because ASV essentially works through a set of scalar coefficients determined by the experiment and population, this feature directly applies to this work.
- 4. ASV works under many model assumptions in GLMM analyses** beyond the often-assumed variance-covariance structure in this study, e.g., $\mathbf{R} = \mathbf{I}\sigma_e^2$. ASV can be applied to designs accounting for spatial structure through auto-regressive correlations or spline-models (Rodríguez-Álvarez *et al.* 2018; De Resende *et al.* 2006; Selle *et al.* 2019, 2020; Burgueño *et al.* 2000; Borges *et al.* 2019; Hoefler *et al.* 2020). ASV can also be applied to data sets where the observational units lead to non-normality of residuals; i.e., ordinal disease scores and proportion scores (Piepho 2019).

As substantiated by our simulations in this study and in the context of our previous work, ASV with REML estimation of the underlying variance components yields accurate estimates for oligo and polygenic effect, both individually and collectively, and BLUPs of the additive and dominance effects of marker loci (Piepho 2019; Feldmann *et al.* 2021, 2022). ASV directly yields accurate estimates of genomic heritability in the observed population and can be used to adjust deviations that arise from other commonly used methods for calculating genomic relationships regardless of the population constitution, such as inbred lines and F_1 hybrids, unstructured GWAS populations, or animal herds and flocks. We believe that \mathbf{K}_{ASV} provides a powerful approach for directly estimating genomic heritability for the observed population regardless of study organism or experiment design (Visscher *et al.* 2006, 2007, 2008, 2010). In conclusion, our recommendation is that the average semi-variance approach be considered for general adoption by genetic researchers working in humans, microbes, or (un)domesticated plants and animals.

56 Methods and Materials

57 Computer Simulations

58 We generated 18 experiment designs with different population
59 sizes of $n = 500, 1,000,$ and $1,814$ and number of clonal repli-
60 cates per entry $r = 1, 2,$ and 4 for outbred $H = 0.38$ and inbred

$H = 0.0$ populations. Clonal replicates are a special case common
61 in plant genetics of hybrid (e.g., maize, rice, and sorghum) crop-
62 ping systems and in clonally propagated species (e.g., strawberry,
63 potato, and apple). In all examples, 100 populations genotyped
64 at $m = 5,000$ loci. These 5,000 SNPs were used to generate the
65 purely additive polygenic background and one locus for the sim-
66 ple genetic effect. Marker genotypes, e.g., alleles, were drawn
67 from a multivariate normal distribution with to replicate the popu-
68 lation structure of the 1,814 mice from Valdar *et al.* (2006) using
69 MASS::mvrnorm() and transformed such that the population was
70 heterozygosity $H = 0.38$. We then estimated \mathbf{K}_{ASV} and excluded
71 the targeted locus from the calculation of \mathbf{K}_{ASV} . We also simu-
72 lated residual genetic and residual effects each from a normal
73 distribution with $\mu = 0$ and $\sigma_{G_R} = \sqrt{20}$ and $\sigma_R = \sqrt{30} \cdot r$ using
74 stats::rnorm(). A single explanatory locus was simulated with
75 a segregation ratio of approximately 1 : 2 : 1 for AA:Aa:aa marker
76 genotypes was simulated with $\mu = 0$ and $\sigma_m = \sqrt{k_M \cdot 25}$ using
77 stats::rnorm(). We did not control for the portion of additive vs
78 dominance variance for the single marker. We simulated marker
79 effects for all $m = 5,000$ loci following a normal distribution $\mu = 0$
80 and $\sigma_g = \sqrt{40/5000}$. When multiplied by the centered marker
81 genotypes and summed, the score is taken as the true additive
82 genetic value g of each individual. For each simulated population
83 we expressed LMM (1) using asreml::asreml() Butler (2021). In
84 the second set of simulations, we used the same approach and
85 same mean and variance parameters. However, in this example
86 we simulated full inbred lines in the background polygenic mark-
87 ers ($H = 0.0$) and in the foreground markers, e.g., 1 : 0 : 1 for
88 AA:Aa:aa. All plots are made with the ggplot2 package Wickham
89 (2016) in R 4.1.0 R Core Team (2020).
90

91 Model statements in R/sommer v4.1.7:

92 **Incorporating One Target Locus into GBLUP** LMM (1) is ex-
93 pressed as:

```
mmer(fixed = Y ~ 1,  
      random = ~ M +  
              vsr(G, Gu = Kasv) +  
              GR,  
      rcov = ~ units,  
      data = data)
```

94 where \mathbf{data} is a $n \times 4$ matrix containing the phenotypic observa-
95 tions Y , a factor coding levels of M , a factor coding entries G , and
96 a factor coding levels of G_R . The variable \mathbf{units} is inferred by
97 sommer::mmer() and can be considered as a column with as many
98 levels as rows in the data (Covarrubias-Pazaran 2016). The factor
99 levels of G and G_R are equivalent.

The version of this model with k_M embedded is expressed as:

```
mmer(fixed = Y ~ 1,  
      random = ~ vsr(M, Gu = KM) +  
              vsr(G, Gu = Kasv) +  
              GR,  
      rcov = ~ units,  
      data = data)
```

101 where \mathbf{KM} is the matrix $\mathbf{K}_M = \mathbf{I}_{n_M} k_M^{-1}$. All other variables are the
102 same as previously defined.

103 **Incorporating Multiple Target Loci into GBLUP** LMM (8) is ex-
104 pressed as:

```
mmer(fixed = Y ~ 1,  
      random = ~ M1 + M2 + M3 +
```



```

M12 + M13 + M23 + M123 +
vsr(G, Gu = Kasv) +
GR,
rcov = ~ units,
data = data)

```

1 where *data* is a $n \times 10$ matrix containing the phenotypic observa-
2 tions Y , seven columns corresponding to the marker effects and
3 interactions, a factor coding entries G , and a factor coding levels
4 of G_R . The factor coding of m_α has three levels corresponding
5 to $AA : Aa : aa$ and a factor coding levels of m_δ has two levels
6 corresponding to homozygous and heterozygous.

7 **Partitioning Marker Variance into Additive and Dominance Com-**
8 **ponents.** LMM (9) is expressed as:

```

mmer(fixed = Y ~ 1,
      random = ~ Ma + Md +
              vsr(G, Gu = Kasv) +
              GR,
      rcov = ~ units,
      data = data)

```

9 where *data* is a $n \times 5$ matrix containing the phenotypic observa-
10 tions Y , a factor coding levels of m_α , a factor coding levels of m_δ ,
11 a factor coding entries G , and a factor coding levels of G_R . The
12 factor coding of m_α has three levels corresponding to $AA : Aa : aa$
13 and a factor coding levels of m_δ has two levels corresponding to
14 the genetic state—either homozygous or heterozygous.

15 **Incorporating a Genomic Dominance Relationship Matrix into**
16 **GBLUP.** LMM (12) is expressed as:

```

mmer(fixed = Y ~ 1,
      random = ~ M +
              vsr(Ga, Gu = Kasv) +
              vsr(Gd, Gu = Kasv_D) +
              GR,
      rcov = ~ units,
      data = data)

```

17 where *data* is a $n \times 5$ matrix containing the phenotypic obser-
18 vations Y , a factor coding levels of M , and three factors coding
19 entries, e.g., G_α , G_δ , and G_R . The factor levels of G_α , G_δ , and G_R
20 are equivalent.

21 **Incorporating Stagewise Meta-analysis into GBLUP.** LMM (14) is
22 expressed as:

```

mmer(fixed = Y ~ G,
      rcov = ~ units,
      data = data)

```

23 where *data* is a $n \times 2$ matrix containing the phenotypic observa-
24 tions Y and one factor coding G for the entry ID. Blocks and other
25 within location design elements can be incorporated as random
26 effects using the `random = syntax`. In `sommer`, \mathbf{R}_e s are obtained
27 from each location as the ‘VarBeta’ matrix in the `sommer::mmer()`
28 output. Specially, ‘VarBeta’ is the name of the model estimated
29 variance covariance matrix among entry means in `sommer`. The
30 \mathbf{R}_e s are then bound corner-to-corner, which is accomplished using
31 `sommer::adiag1()` to obtain Ω . We then take the inverse of Ω
32 using `base::solve()`.

The LMM for stage 2 (16) is expressed as:

```

mmer(fixed = Estimate ~ Env - 1,
      random = ~ vsr(M, Gu = KM) +

```

```

      vsr(G, Gu = Kasv) +
      G:Env + GR,
rcov = ~ vsr(units,
            Gti = matrix(invSigma2,1,1),
            Gtc = matrix(3,1,1)),
nIters = 25,
emWeight = rep(1,25),
W = invOmega,
data = data)

```

34 where where *data* is a $n \times 5$ matrix containing the adjusted entry
35 means from stage 1 Y , a factor coding levels of M , two equivalent
36 factors coding entries, e.g., G and G_R , and one factor coding envi-
37 ronments Env . In this approach, we must fix the residual variance
38 component equal to 1 so that the residual so that all the scaling
39 of the `invOmega = Ω^{-1}` is unaffected by the model estimation
40 process. Within the `vs()` argument, the `Gti()` and `Gtc()` argu-
41 ments are used to set the initial value of the variance component
42 equal to the inverse of the variance among adjusted entry means
43 (`invSigma2 = $\hat{\sigma}^{-2}$`) and to constrain the variance component esti-
44 mation to a fixed value by setting the first argument equal to 3
45 ([Covarrubias-Pazarán 2022](#)). In this example we use 25 iterations
46 of 100% expectation-maximization algorithm; however, the EM
47 and NR methods can be exchanged or averaged, by changing the
48 `emWeight` argument.

Data Availability

Zenodo repository coming soon. For now, code is available by
50 request.

Conflicts of Interest

The authors declare no conflicts of interest.

Funding Statement

This research was supported by grants to Steven J.
55 Knapp from the United States Department of Agriculture
56 (<http://dx.doi.org/10.13039/100000199>) National Institute
57 of Food and Agriculture (NIFA) Specialty Crops Research
58 Initiative (# 2017-51181-26833) and California Strawberry
59 Commission (<http://dx.doi.org/10.13039/100006760>), in ad-
60 dition to funding from the University of California, Davis
61 (<http://dx.doi.org/10.13039/100007707>). HPP was supported by
62 the German Research Foundation (DFG) grant PI 377/24-1. The
63 funders had no role in study design, data collection and analysis,
64 decision to publish, or preparation of the manuscript.

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67 **ysis:** MJF **Funding Acquisition:** HPP **Investigation:** MJF, HPP
68 **Methodology:** MJF, GCP **Project administration:** MJF, HPP **Re-**
69 **sources:** HPP **Software:** MJF, GCP **Supervision:** MJF, HPP **Vali-**
70 **dation:** MJF **Visualization:** MJF **Writing – original draft prepara-**
71 **tion:** MJF, HPP **Writing – review & editing:** MJF, HPP, GCP
72

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