

Guidelines for standardizing the application of discriminant analysis of principal components to genotype data

Joshua A. Thia 

Bio21 Institute, School of BioSciences,
The University of Melbourne, Melbourne,
Victoria, Australia

Correspondence

Joshua A. Thia, Bio21 Institute, School of
BioSciences, The University of Melbourne,
Melbourne, Victoria, Australia.

Emails: joshua.thia@unimelb.edu.au;
josh.thia@live.com

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Abstract

Despite the popularity of discriminant analysis of principal components (DAPC) for studying population structure, there has been little discussion of best practice for this method. In this work, I provide guidelines for standardizing the application of DAPC to genotype data sets. An often overlooked fact is that DAPC generates a model describing genetic differences among a set of populations defined by a researcher. Appropriate parameterization of this model is critical for obtaining biologically meaningful results. I show that the number of leading PC axes used as predictors of among-population differences, p_{axes} , should not exceed the $k-1$ biologically informative PC axes that are expected for k effective populations in a genotype data set. This $k-1$ criterion for p_{axes} specification is more appropriate compared to the widely used *proportional variance criterion*, which often results in a choice of $p_{\text{axes}} \gg k-1$. DAPC parameterized with no more than the leading $k-1$ PC axes: (i) is more parsimonious; (ii) captures maximal among-population variation on biologically relevant predictors; (iii) is less sensitive to unintended interpretations of population structure; and (iv) is more generally applicable to independent sample sets. Assessing model fit should be routine practice and aids interpretation of population structure. It is imperative that researchers articulate their study goals, that is, testing a priori expectations vs. studying de novo inferred populations, because this has implications on how their DAPC results should be interpreted. The discussion and practical recommendations in this work provide the molecular ecology community with a roadmap for using DAPC in population genetic investigations.

KEYWORDS

assignment tests, coalescent simulations, DAPC, multivariate statistics, population genetic methods, population structure

1 | INTRODUCTION

The biological world is beautifully complex, characterized by variation in multiple dimensions. Multivariate statistics play a pivotal role in helping us make sense of this multidimensionality and developing

a deeper appreciation of biology. Describing population genetic patterns, for example, becomes increasingly difficult with many sampled individuals, genetic markers and populations. However, ordination methods can summarize variation across multiple loci to create new synthetic axes and reduce dimensionality. Such new axes of variation

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facilitate visualization of genetic relationships among individuals and populations, aiding interpretation of population structure.

Principal component analysis (PCA) is an incredibly useful multivariate method for summarizing genetic differences among individuals. PCA reveals structure in a data set by capturing the major axes of covariance among p measured variables (Rencher, 2002c). Putative groupings can be inferred from the clustering of samples in discrete regions of PC space. Because PCA does not make any explicit assumptions about the organization of variation in the p variables, PCA is a *hypothesis-free* method, providing information about the innate structure in a sample (Rencher, 2002c). All PC axes are orthogonal and are constrained to capture decreasing amounts of variance from the first to last axis (Rencher, 2002c). Hence, in a structured set of variables, dimension reduction can be achieved by selecting some number of the leading PC axes that describe the most variation (Rencher, 2002c). The dimensionality reduction achieved by a PCA is hugely beneficial in population genomic studies, summarizing the covariances among thousands, perhaps millions, of loci (Patterson et al., 2006). Determining which PC axes capture biologically informative variation is a nontrivial task (Cattell, 1966; Jackson, 1993). However, for a genotype data set comprising k effective populations, prior theoretical work indicates that only the first $k-1$ PC axes capture population structure (Patterson et al., 2006).

Discriminant analysis (DA) is another multivariate method that has become popular in population genetic studies through the discriminant analysis of principal components (DAPC) approach (Jombart et al., 2010; Figure 1). DA takes a set of measured p predictor variables and identifies linear combinations of those variables that maximize discrimination of individuals from defined groups. Because DA models the differences among groups in their multivariate means, DA is a *hypothesis-driven* method (Rencher, 2002a), and is related to a multivariate analysis of variance (Rencher, 2002b). Performing DA directly on a genotype data set of many loci is undesirable because the number of p variables (genetic loci) often greatly exceeds the number of n sampled individuals, and there may be extensive correlations among loci (Jombart et al., 2010). The DAPC approach circumvents this issue by first performing a PCA to reduce dimensionality and remove correlation, with the leading p_{axes} number of PC axes used as predictor variables to discriminate among k_{DA} groups in a DA. The value of k_{DA} is chosen in one of two ways: (i) $k_{\text{DA}} = k_{\text{prior}}$, where k_{prior} is an a priori expectation about the number of populations, for example the number of sampling locations; or (ii) $k_{\text{DA}} = k_{\text{infer}}$, where k_{infer} is the de novo designation of populations, an inference of the k number of effective populations obtained from genotype data (as per descriptions in Miller et al., 2020). (Note, relevant mathematical notations are detailed in Table 1.)

Despite the frequent use of DAPC by molecular ecologists, best practice for this approach has barely been discussed. Such matters were recently addressed in a combined meta-analysis and simulation study by Miller et al. (2020). In their work, Miller et al. (2020) found that many studies fail to report the relevant parameters required to replicate their DAPC results. They also provided some practical suggestions on how DAPC of genotype data can be made more

transparent by reporting how groups are defined, clearly specifying the goals of a DAPC, and stating the number of PC axes used in the analysis. Miller et al. (2020) highlighted that the molecular ecology community has not yet converged on a set of standard operating procedures, which leads to variable parameterization among studies. Missing from the literature is clear communication of how DAPC functions “under the hood” and the necessary considerations required by researchers when using this approach to study population structure.

In this paper, I address the need for best practice guidelines to standardize the application of DAPC to genotype data. Researchers should be aware that when performing a DAPC they are fitting a model that describes the genetic differences among defined groups. This model is produced by the DA portion of a DAPC, which uses genotypic PC axes as predictors of among-population genetic differences. As I demonstrate here, careful parameterization of this model is critical in obtaining biologically relevant results. I show that the appropriate number of PC axes for DA is a deterministic property of a genotype data set: the leading $k-1$ PC axes for k effective populations. I propose a $k-1$ criterion for choosing a value of p_{axes} and argue that this criterion is more appropriate for DAPC parameterization than the commonly used *proportional variance criterion*, where p_{axes} is instead chosen to capture some proportion of the total genotypic variance. The fit of the model produced by DA should be assessed through methods such as leave-one-out cross-validation or training-testing partitioning. Furthermore, I explain the importance of clearly defining the goals of a DAPC (testing a priori expectations, or studying de novo inferred populations) because this has implications for how researchers should interpret their results.

2 | SIMULATED POPULATION GENETIC DATA SETS

To investigate how parameterization choices affect the results and downstream interpretation of DAPC, I simulated metapopulations connected by different rates of gene flow. These metapopulations comprised five constituent populations and followed finite island model dynamics (Takahata & Nei, 1984; Wright, 1931). All populations were the same size and underwent divergence with or without gene flow. Simulations were performed using FASTSIMCOAL2 version 2.7 (Excoffier et al., 2013, 2021). Each population comprised 1000 haploid genomes (500 diploids). Each genome was 20Mb in length with a recombination rate between adjacent bases of $1e-8$ and a mutation rate of $2e-9$. Populations underwent a series of hierarchical divergence events, with each divergence event 10,000 generations from the next (Figure S1). I modelled three migration scenarios with different rates of gene flow, with M as the overall rate of gene flow into a focal population, and m as the individual contribution of each source population into a focal population: (i) $M = 0.000$, $m = 0.000$, divergence with no gene flow, $F_{\text{ST}} = 0.99$; (ii) $M = 0.004$, $m = 0.001$, divergence with gene flow, $F_{\text{ST}} = 0.09$; and (iii) $M = 0.400$, $m = 0.100$, an effectively panmictic (homogeneous)

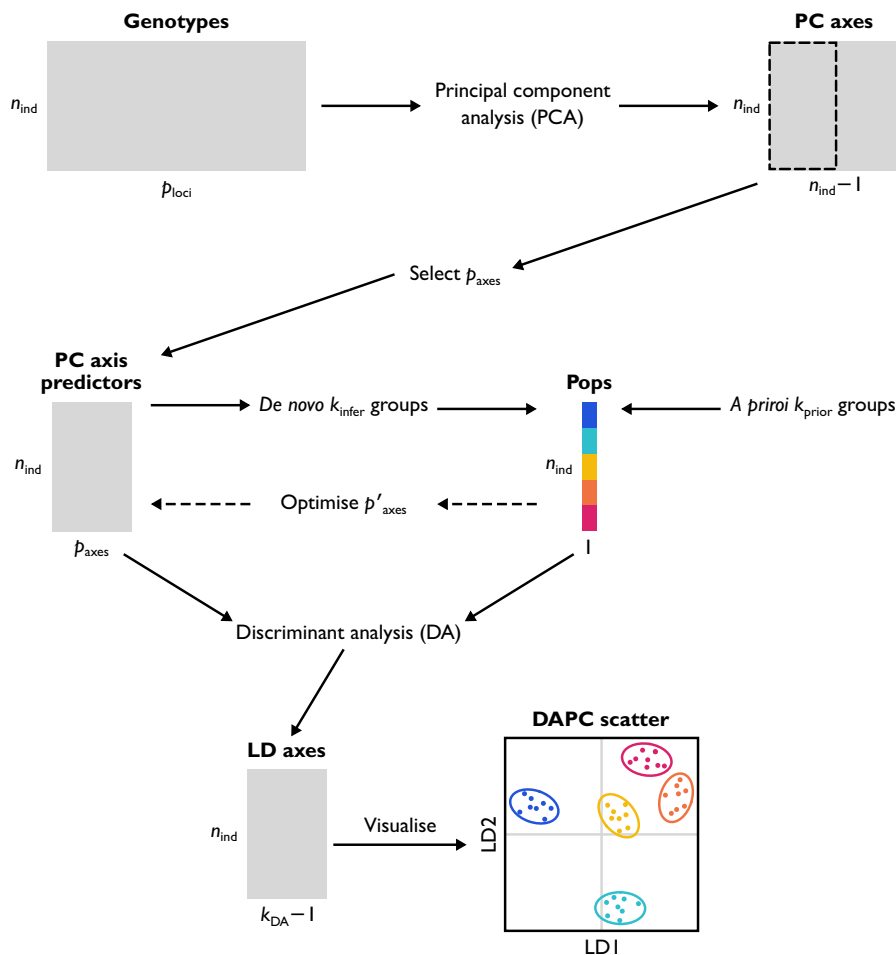


FIGURE 1 Schematic representation of a DAPC (discriminant analysis of principal components). A genotype matrix comprising n_{ind} samples genotyped at p_{loci} genetic loci is subjected to a PCA (principal component analysis). Assuming that $n_{\text{ind}} < p_{\text{loci}}$, there are $n_{\text{ind}} - 1$ PC axes with nonzero eigenvalues that summarize the allelic covariances in the sample. A subset of these PC axes, p_{axes} , are selected to represent population structure. Grouping of individuals into populations may be based on some a priori expectation, k_{prior} , or may be inferred de novo from the PCA, k_{infer} . Optionally, the *adeigenet* functions `xvalDAPC` or `OPTIM.A.SCORE` can be used to produce an optimized number of predicted PC axes, p'_{axes} . DA (discriminant analysis) is then used to identify linear combinations of the PC axes as predictors of differences among k_{DA} groups, where $k_{\text{DA}} = k_{\text{prior}}$ or $k_{\text{DA}} = k_{\text{infer}}$. Assuming $p_{\text{axes}} \geq k_{\text{DA}} - 1$, a set of $k_{\text{DA}} - 1$ LD (linear discriminant) axes is returned that summarize the among-population variation. Visualization of individuals projected into LD space is used to infer genetic relationships among individuals and populations

metapopulation, $F_{\text{ST}} = 0.0009$ (see Figures S2 and S3 for simulation summaries). These scenarios reflect different contexts where the number of perceived sampled populations may or may not be equal to the number of k effective populations. In the $M = 0.000$ scenario, there is strong population structure, and a clear $k = 5$. In the $M = 0.004$ scenario, population structure is weaker, but there is still a discernible $k = 5$. In the $M = 0.400$ scenario, there is no population structure, and $k = 1$.

For each migration scenario, I created two distinct simulated data sets. The first involved a single simulation at each migration rate where all 500 diploid contemporaneous individuals per population were sampled at the end of the simulation: herein, the *singular simulation data set*. The purpose of this first data set was to illustrate variation and relationships among independent sample sets from the same simulated metapopulation. Diploid individuals were split into 20 sample sets, each containing 25 individuals per population. In the

second data set, I performed 30 independent simulations at each migration rate and sampled 25 diploid contemporaneous individuals per population at the end of the simulation: herein, the *replicate simulation data set*. The purpose of this second data set was to illustrate generalities across independent metapopulations that had undergone the same migration scenario.

Simulation results were imported into R version 4.1.3 (R Core Team, 2022). For each simulation in the *replicate simulation data set*, I filtered single nucleotide polymorphism (SNP) loci to a sample size of 1000 random SNPs distributed across the genome. First, the genome was divided into 5-kb windows, from which one random SNP was sampled. Second, these remaining SNPs were randomly sampled to retain 1000 loci. For the *singular simulation data set*, a preliminary filtering was performed to remove all loci that were not polymorphic across all discrete sample sets. Following this, random sampling per genomic window and reduction to 1000 random loci

TABLE 1 Summary of mathematical notation

Notation	Definition
k	The true number of effective populations in a genotype data set.
k_{prior}	The a priori expectation of the number of populations, based on criteria external to the genotype data, for example, sampling locations. Sampled individuals are designated to one of these a priori defined populations.
k_{infer}	The inferred number of effective populations, an estimate of k , from genotype data. Can be used to guide de novo population designation of sampled individuals.
k_{cluster}	The number of clusters to divide a sample among in K-means clustering. Many values could be tested. The most likely value of k_{cluster} can be used as an inference of the number of effective populations, k_{infer} .
k_{DA}	The number of groups to discriminate among in a DAPC, a researcher's choice of k_{prior} or k_{infer} to analyse.
p_{axes}	The number of leading PC axes to use as predictors of differences among k_{DA} groups in a DAPC.
p'_{axes}	The optimized number of leading PC axes to use as predictors of differences among k_{DA} groups in a DAPC.
m	The individual migration rate from a source population into a focal population.
M	The total migration rate into a focal population, the summed m across all source populations.

was performed. Details of all downstream analyses can be found in the Supporting Information.

3 | POPULATION STRUCTURE CAPTURED BY PCA

Determining which PC axes, if any, capture significant covariance among measured variables presents a major challenge for the use of these dimensions in predictive analyses (Peres-Neto et al., 2005). Patterson et al. (2006) demonstrated a clear expectation: for k effective populations there are $k-1$ PC axes that capture variation among populations, with all remaining axes characterizing variation within populations. The inference of k , k_{infer} , is obtained from the genotype data. In this section, I will highlight simple ways that k_{infer} can be obtained visually and explain why we should only focus on the leading $k-1$ PC axes of population structure. Although various methods exist to statistically test the number of biologically informative PC axes (Jackson, 1993; Peres-Neto et al., 2005) and to obtain k_{infer} from genotype data (Patterson et al., 2006), I will not address the performance of these methods here. I will, however, discuss the use of K-means clustering to obtain k_{infer} as it is commonly used in conjunction with DAPC.

One simple way to visually obtain k_{infer} is by examining PC screeplots. Screeplots illustrate the decline in explained variance (or eigenvalues) associated with each sequential PC axis. When population structure exists, there is typically an inflection point at the k^{th} PC axis that creates an "elbow-shaped" pattern in the explained variances (Abegaz et al., 2019; Cattell, 1966), as illustrated in Figure 2a. We can see that in the $M = 0.000$ and $M = 0.004$ scenarios, the explained variance rapidly decreases from PC axes 1 to 4 ($k-1$), and

then decreases more incrementally beyond PC axis 5 (k). The scree is also steeper between PC axes 1 and 4 in the $M = 0.000$ scenario because more variation is among populations ($F_{\text{ST}} = 0.99$), relative to that in the $M = 0.004$ scenario ($F_{\text{ST}} = 0.09$). By contrast, in the $M = 0.400$ scenario, although there were five sampled populations, there is no variation among them ($k = 1$, $F_{\text{ST}} = 0.0009$), and the scree slope exhibits a smooth decline.

A second way to visually obtain k_{infer} and to validate inferences from screeplots, is by examining the scatter of individuals projected into PC space. Each dimension from PC axis 1 to $k-1$ should capture different aspects of the among-population variation for k effective populations. PC axes $\geq k$, however, are associated with stochastic sampling noise and within-population variation. Therefore, clustering of samples should only be observed on PC axes $\leq k-1$. These expectations are illustrated in Figure 3. For $M = 0.000$ on PC axes 1–4 (Figure 3a,b), individuals from each population pile up into very discrete regions of PC space because almost all the variation is among populations. For $M = 0.004$ on PC axes 1–4 (Figure 3d,e), population clusters are more dispersed, and their multivariate means are closer in PC space, because genetic differentiation is weaker. For both $M = 0.000$ and 0.004, beyond PC axis 5 (Figure 3c,f, respectively), all populations collapse into a single homogeneous data cloud. In contrast, for the $M = 0.400$ scenario, there is no clustering of individuals in PC space on the first four PC axes (Figure 3g,h), and all the variation is within populations because $k = 1$.

K-means clustering offers another way to obtain k_{infer} . The goal of K-means clustering is to allocate observations into a specified number of k_{cluster} clusters by minimizing the within-group sum of squares (Hartigan & Wong, 1979). This method is commonly implemented within the DAPC pipeline, although it is not an essential element of DAPC. Note, that like DA, K-means clustering is also a

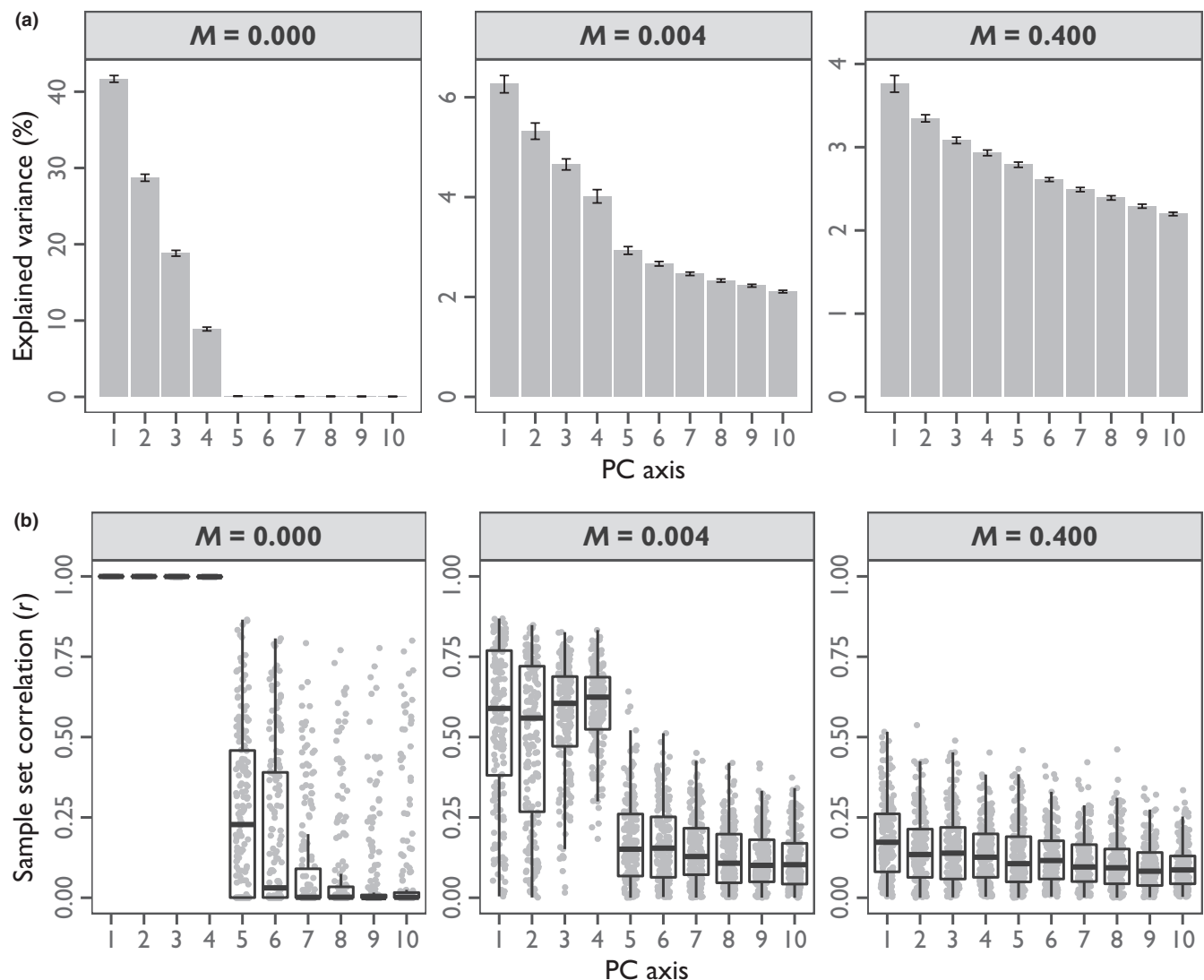


FIGURE 2 Principal component analysis under different migration scenarios. (a) Average explained variance for PC axes across simulated sample sets, using the *replicate simulation data set*. The x-axis represents the first 10 PC axes. The y-axis is the amount of explained genotypic variance (per cent of total) ascribed to each PC axis. Grey bars indicate the average across replicate simulations with the 95% confidence intervals. (b) Correlations among PC axis eigenvectors in the *singular simulation data set*. The x-axis represents the first 10 PC axes. The y-axis represents the correlation of eigenvector loadings (contributions of each locus to variation on that PC axis). Each grey point represents a pair of independent sample sets from the same simulated metapopulation. Boxplots summarize the distribution of correlations across sample set pairs

hypothesis-driven method. When performing K -means clustering, a researcher is testing the hypothesis that exactly k_{cluster} groups occur in their data. Many values of k_{cluster} can be fitted and compared using information criteria as the test statistic, such as a Bayesian information criterion (BIC) score. The most likely value can then be chosen to represent k_{infer} , and to inform groups *de novo* for DA with $k_{\text{DA}} = k_{\text{infer}}$. Predictors of the k_{cluster} groups are typically the same number of leading PC axes, p_{axes} , that will be used in DAPC. Figure 4 illustrates the range of K -means clustering results using different values of k_{cluster} and p_{axes} , with cluster fit evaluated using BIC scores (lower is more likely). For the $M = 0.000$ scenario, BIC scores rapidly decline and plateau at $k_{\text{cluster}} = 5$ in a relatively consistent way for all values of p_{axes} . For the $M = 0.004$ scenario, the BIC scores exhibit

an inflection at $k_{\text{cluster}} = 5$, although the shape of the BIC curves differ depending on p_{axes} : whereas there is a plateauing pattern for $p_{\text{axes}} = 10$ and 20, there is an uptick pattern for $p_{\text{axes}} = 40$ and 80. For $M = 0.400$, there are also two different BIC curves: for $p_{\text{axes}} = 10$ and 20, BIC exhibits a steady declining pattern (inconsistent with $k = 1$), whereas for $p_{\text{axes}} = 40$ and 80, BIC exhibits a steady increasing pattern (consistent with $k = 1$). Notably, whilst K -means clustering should generally reflect the underlying k , different parameterizations can lead to different patterns in the test statistic curves. Values of k_{infer} obtained using K -means may vary across different parameterizations. K -means-derived estimates of k_{infer} should be compared to expectations derived from PC screeplots and scatterplots to assess consistency across approaches.

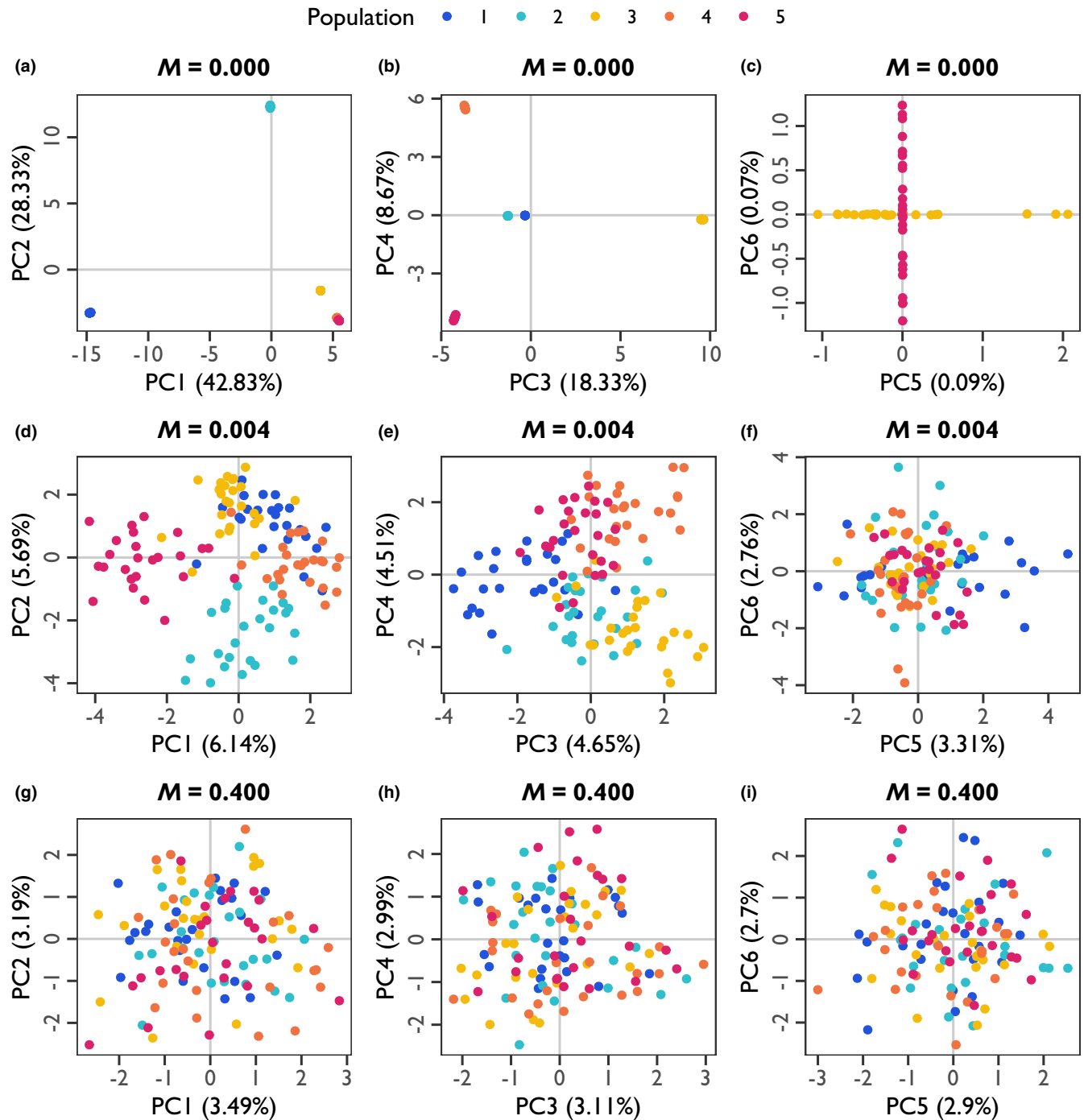


FIGURE 3 Exemplar scatterplots of individuals projected into PC space. The x-axis and y-axis, respectively, represent different pairs of PC axes. Numbers in parentheses indicate the amount of explained genotypic variance captured by each PC axis (per cent of total). Each point represents an individual, coloured by population (see key). Migration rates: (a–c) $M = 0.000$; (d–f) $M = 0.004$; and (g–i) $M = 0.400$. PC axis pairs: (a, d, g) 1 versus 2; (b, e, h) 3 versus 4; and (c, f, i) 5 versus 6

Aside from the statistical principle that only the leading $k-1$ PC axes capture population structure, these leading PC axes are also the only dimensions that are replicable. Replicability of PC axes in this context refers to recoverability of the same (or similar) eigenvectors across independent samples. Eigenvectors describe the relative contribution of each locus to each PC axis (the loadings). Loci contributing most to population structure should be consistent in

the magnitude of their loadings. Where population structure exists, eigenvectors of the leading PC axes $\leq k-1$ are correlated across independent sample sets, whereas eigenvectors of PC axes $\geq k$ are not correlated across independent sample sets, as depicted in Figure 2b. However, the recoverability of eigenvectors depends on the magnitude of genetic differentiation. As genetic differentiation increases: (i) the intralocus allelic correlation between individuals

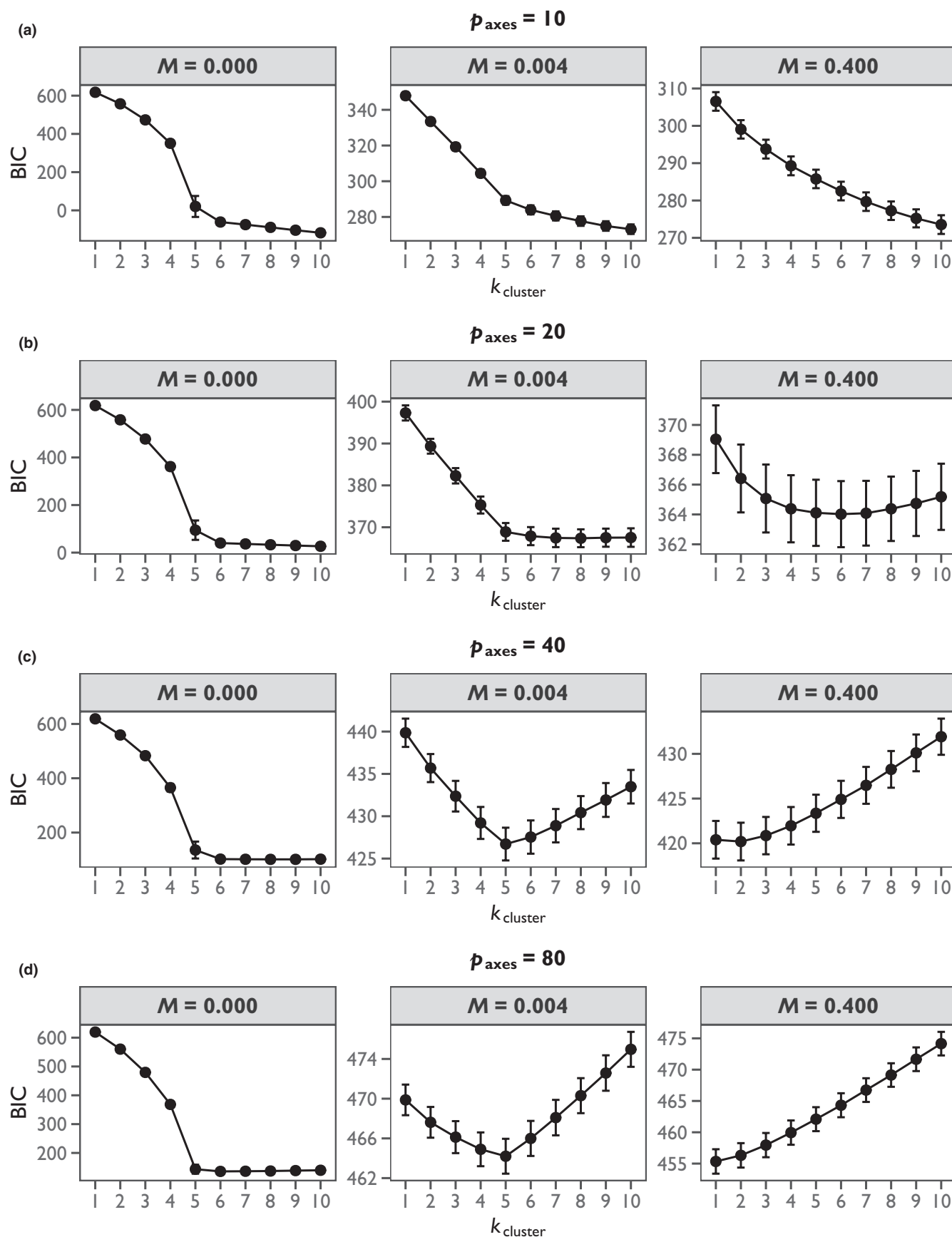


FIGURE 4 The inferred number of populations by K-means clustering, using the *replicate simulation data set*. The x-axis is the number of clusters to divide samples among in K-means clustering, k_{cluster} . The y-axis is the associated BIC score (lower values are more likely). Points represent the mean BIC across replicate simulations with 95% confidence intervals. Panels represent each of the simulated migration scenarios. Number of leading PC axes, p_{axes} : (a) 10, (b) 20, (c) 40 and (d) 80

from the same population increases (Wright, 1949); (ii) sampling bias is less likely to affect estimates of the interlocus allelic covariances across all individuals; and (iii) eigenvectors for the leading $k-1$ PC axes will be more similar across independent sample sets. Compare, for example, the correlations between sample pair eigenvectors for the first four PC axes where $M = 0.000$ versus $M = 0.004$ versus $M = 0.400$, which show a decline with decreasing genetic differentiation. Moreover, in the $M = 0.400$ scenario, none of the eigenvectors have high correlations across independent sample sets because there is no population structure and no linear combinations of alleles are repeatable. We should be concerned with this repeatability if we wish to use these PC axes as predictive variables, as discussed in the next section.

In summary, the analyses presented in this section illustrate how k can be inferred from a PCA of genotype data. Obtaining an inference of k , k_{infer} , is important because only the leading $k-1$ PC axes are biologically informative and exhibit repeatable linear combinations of loci across independent sample sets. PC axes $\leq k-1$ capture variation that is among populations, whereas PC axes $\geq k$ are associated with variation that is within populations. Obtaining k_{infer} is also useful because it can inform whether an initial a priori expectation of the number of populations, k_{prior} , is valid.

4 | SUITABLE PRINCIPAL COMPONENTS FOR DISCRIMINANT ANALYSIS

In this section, I will address the appropriate parameterization of a DAPC. I will first discuss common practices in DAPC parameterization and their (mis)alignment with the $k-1$ limit of biologically informative PC axes. I will then provide a demonstration of how different parameterizations of a DAPC influence the solutions derived from its DA step. These analyses will highlight that only those PC axes $\leq k-1$ are suitable for DAPC. Inappropriate parameterization of DAPC reduces the biological relevancy of the DA model and can give false impressions of population structure.

That we only expect the leading $k-1$ PC axes to be biologically informative implies that the maximum value of p_{axes} should be $k-1$, a $k-1$ criterion. However, typical DAPC parameterization often involves choosing a value of p_{axes} that captures a certain proportion of the total genotypic variance, a *proportional variance criterion*. Another approach is to use the built-in functions from the *adeigenet* package, *XVALDAPC* and *OPTIM.A.SCORE* (Jombart, 2008; Jombart & Ahmed, 2011), to reduce and optimize the number of PC axes predictors, p'_{axes} . The *XVALDAPC* function performs cross-validation for different numbers of p_{axes} , inferring the optimal p'_{axes} as the one that produces the lowest mean squared error term. The *OPTIM.A.SCORE* function performs a reassignment analysis using true and randomized cluster identities to calculate an a -score for different numbers of p_{axes} , inferring the optimal p'_{axes} as the one that produces the largest a -score.

Selecting p_{axes} to satisfy the *proportional variance criterion* is problematic. Unless there is very strong differentiation among populations, the value of p_{axes} required to capture a specific amount

of genotypic variance will probably be much greater than $k-1$. Additionally, the built-in optimization functions have variable performance that may depend on the magnitude of genetic differentiation and the initial value of p_{axes} , as illustrated in Figure 5. In my simulations, the *XVALDAPC* function consistently returned a p'_{axes} value that was greater than the $k-1 = 4$ expectation for $M = 0.000$ and $M = 0.004$ scenarios, and greater than the $k-1 = 0$ expectation for $M = 0.400$, for all initiating values of p_{axes} . The *OPTIM.A.SCORE* function tended to be more conservative but increasing migration rates and larger values of p_{axes} led to inflated estimates of p'_{axes} .

Because population structure is only captured on the leading $k-1$ PC axes, the inclusion of PC axes $\geq k$ does not provide additional information to discriminate among populations. We can think of this as the relative proportion of the variation in our set of predictor variables that is among vs. within populations. Figure 6 depicts the mean variation among populations when using different values of p_{axes} to parameterize a DAPC with $k_{\text{DA}} = 5$ groups. For $M = 0.000$, irrespective of the value of p_{axes} , the amount of variation among populations is always $>95\%$ because the first four PC axes explain virtually all the genotypic variance. However, in the $M = 0.004$ scenario, increasing p_{axes} reduces the variation among populations captured on these predictor variables. Finally, for $M = 0.400$, because there is no population structure, none of the PC axes capture among-population variation, and there is essentially a flat line across all values of p_{axes} . When population structure exists, limiting p_{axes} to the leading $k-1$ PC axes for DAPC parameterization is more parsimonious, uses only biologically relevant predictors and maximizes the total variation among populations in the input predictor variables.

Although biologically informative PC axes should contribute most to the DA solution, as p_{axes} increases beyond $k-1$, the DA model can be increasingly influenced by biologically uninformative predictors. Consider the contributions of PC axes in highly over-fit DA models using $p_{\text{axes}} = 80$ PC axes with $k_{\text{DA}} = 5$ groups. Figure 7 illustrates the average absolute loadings of the first 12 PC axes onto the discriminant functions describing four-dimensional linear discriminant (LD) space. For the $M = 0.000$ and $M = 0.004$, PC axes 1 to 4 ($\leq k-1$) have consistently larger loadings relative to PC axes 5 and beyond ($\geq k$). Notably, for $M = 0.000$, each sequential LD axis largely corresponds to each PC axis in descending order from 1 to 4, as evidenced by the large absolute loadings. For $M = 0.000$, there is minimal within-population variation, so PC axes ≥ 5 have negligible contributions to the LD axes, and DA effectively returns the PCA results. For the $M = 0.004$ scenario, the first four PC axes combine in different ways to generate the LD axes. Unlike $M = 0.000$, DA does not simply return PCA results for $M = 0.004$, and the uninformative PC axes ≥ 5 have a larger influence on the final solutions. In the $M = 0.400$ scenario, $k-1 = 0$, and the LD loadings are equivalent for all PC axes. For $M = 0.400$, all the variation is within populations, but DA derives a model of among-population differences despite none of the predictor PC axes capturing population structure. These data demonstrate that when genetic differentiation is large, the DA model is less likely to be influenced by the inclusion of many biologically uninformative PC axes. In contrast, when genetic differentiation is weak, inclusion

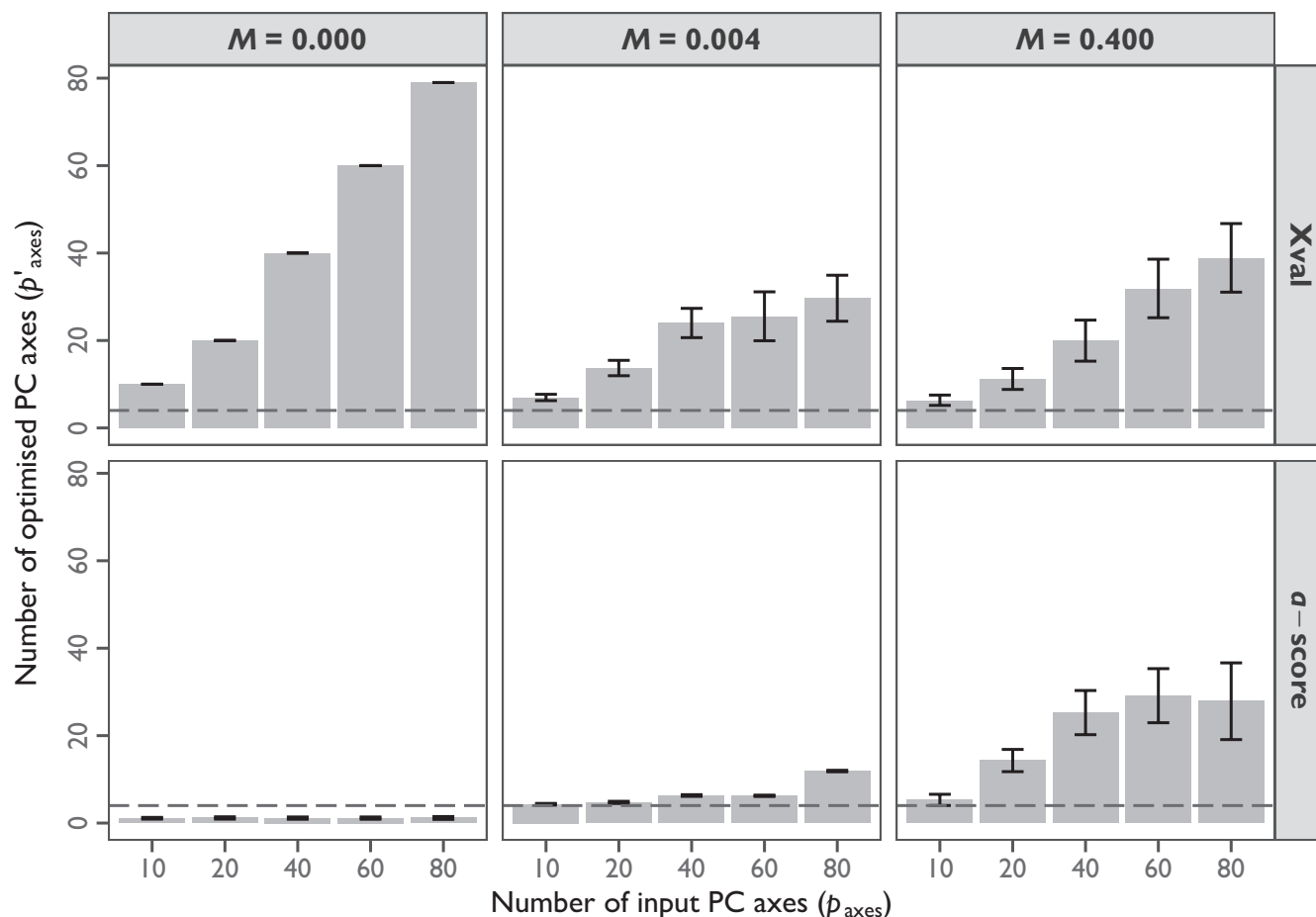


FIGURE 5 Optimization of PC axes to fit DA models using the *replicate simulation data set*. The x-axis is the number of PC axes used to initially fit the DA, p_{axes} . The y-axis is the number of optimized PC axes, p'_{axes} , using one of two optimization algorithms available in the ADEGENET package. Panels represent combinations of optimization algorithm (in rows) and migration scenario (in columns). Bars represent the mean p'_{axes} estimated across replicate simulations with 95% confidence intervals. The dashed lines demarcate $p'_{\text{axes}} = 4$

of many biologically uninformative PC axes $> k-1$ is more likely to influence the DA model. Furthermore, because DA is mechanistically a *hypothesis-driven* method, a solution will be derived whether it is biologically meaningful or not.

By inspecting scatterplots of individuals projected into LD space, we can see how genetic differentiation and the choice of k_{DA} and p_{axes} interact in a DAPC (Figure 8). For all migration scenarios, increasing p_{axes} increases the separation of populations in LD space when $k_{\text{DA}} = 5$ groups; note the increasing scale of the LD axes and tighter clustering as p_{axes} increases. However, with respect to the general patterns inferred from the LD space projection, the effect of increasing $p_{\text{axes}} \gg k-1$ is more dramatic when genetic differentiation is weak. For $M = 0.000$, regardless of whether $p_{\text{axes}} = 4, 40$ or 80 PC axes, we essentially recover the same projection of populations in LD space (compare Figure 8a–c). For $M = 0.004$, the same general pattern emerges regardless of the value of p_{axes} , but the perceived magnitude of this separation depends on p_{axes} (compare Figure 8d–f). For $M = 0.400$, despite $k = 1$ and a lack of population structure, increasing p_{axes} gives the impression that populations can be reliably discriminated into discrete clusters. When using $p_{\text{axes}} = 4$ (Figure 8g), we retain a more realistic projection with negligible separation

among populations in LD space. However, with $p_{\text{axes}} = 40$ and 80 (Figure 8h,i, respectively), there is increasing separation of populations in LD space. This perceived separation is not being driven by the inclusion of biologically relevant predictors of among-population differences, but instead an over-fitting of the DA model to idiosyncrasies of the sample.

Because the DA model can be used for group assignment problems (see also the next section), I will use group assignment to further explore how different combinations of PC axes contribute (or do not contribute) to discrimination among populations. Our expectation is that when population structure exists, DA models including the leading $k-1$ PC axes will have better ability to assign individuals to their correct population, relative to DA models without these biologically informative PC axes. Figure 9 illustrates assignment analyses where a single *training* sample set was used to build a DA model with $k_{\text{DA}} = 5$ groups, and this model was then used to predict the populations of individuals in 19 *testing* sample sets. Different combinations of PC axes were used that either included the first four PC axes (1, 1–2, 1–3, 1–4, 1–40 and 1–80) or excluded them (5–40 and 5–80). Clearly, in the $M = 0.000$ and $M = 0.004$ scenarios (Figure 9, respectively), the power to assign individuals to their correct population is

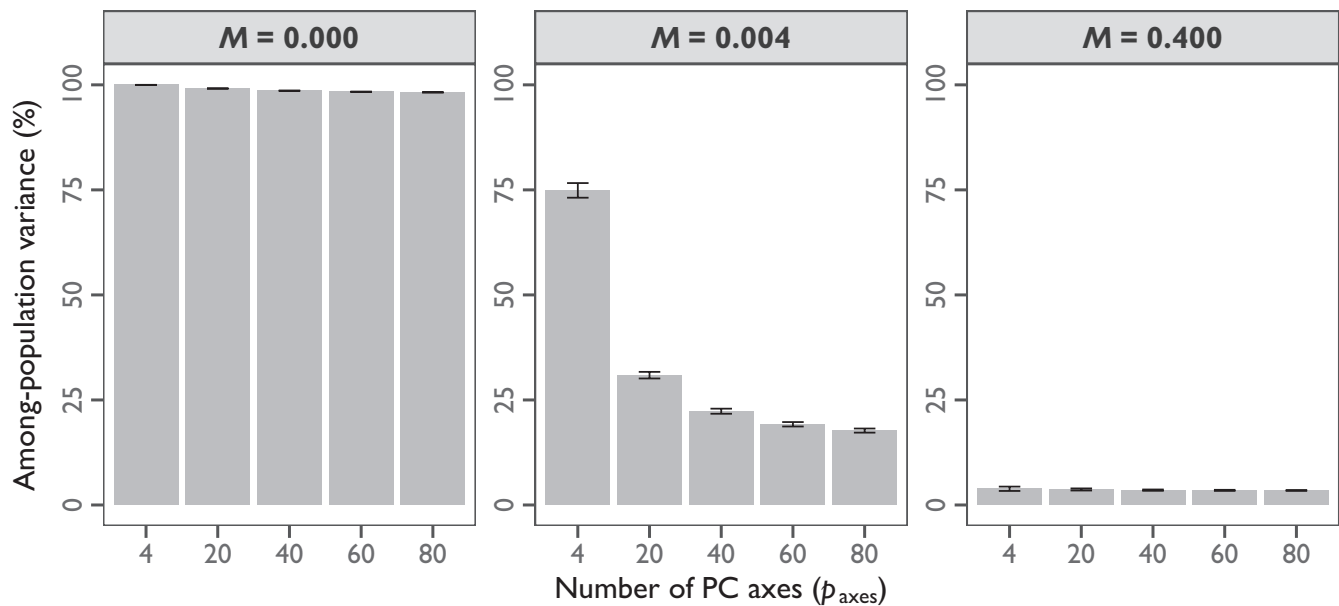


FIGURE 6 Average amount of among-population variance captured on PC axes using the *replicate simulation data set*. The x-axis represents the total number of leading PC axes used in a DA, with $k_{\text{DA}} = 5$ groups. The y-axis represents the amount of variance (per cent of total) that is among populations. Grey bars indicate the average across replicate simulations with 95% confidence intervals. Panels contain results for each migration scenario

being completely driven by the first four PC axes. Exclusion of the first four PC axes leads to poor correct assignment rates in these scenarios where population structure exists. For the $M = 0.400$ scenario (Figure 9), there is no power to assign individuals, irrespective of the input p_{axes} , because there are no biologically informative PC axes, $k-1 = 0$.

The results from the assignment analyses (Figure 9) can be further interpreted by considering the recoverability of eigenvectors that were discussed above (Figure 2b). The linear combinations of loci that are described by eigenvectors are more repeatable across independent sample sets when there is greater genetic differentiation, but only for those $k-1$ PC axes describing population structure (Figure 2b). In the context of a group assignment problem, whereas the first $k-1$ PC axes provide repeatably useful predictors to assign populations, PC axes $\geq k$ are stochastic across different sample sets and are uninformative predictors for population assignment. The $M = 0.400$ scenario provides an extreme case where $k = 1$, there are no biologically informative PC axes, none of the eigenvectors are repeatable and assignment of individuals to the five populations is not possible.

In summary, the analyses presented in this section demonstrate that only the leading $k-1$ PC axes are suitable for DAPC of genotype data. The *hypothesis-driven* nature of a DA requires appropriate parameterization to ensure biologically meaningful results. Addition of PC axes greater than $k-1$ does not add informative predictors to discriminate among k_{DA} groups in a DA. Parameterization of $p_{\text{axes}} \gg k-1$ will result in a model being over-fit to the idiosyncrasies of the sample. However, the impact of this over-fitting on interpretations of population structure is likely to be greatest when genetic differentiation is weak. When genetic differentiation is weak, an over-fit DA

model artificially inflates the perceived separation among groups in LD space, giving the impression that populations are more genetically discrete than they are. DAPC parameterized using only the leading $k-1$ PC axes is maximized for the among-population variation in the predictor variables, is not influenced by the idiosyncrasies of uninformative predictors and is generalizable to independent sample sets.

5 | ASSESSING MODEL FIT, INTERPRETING POPULATION STRUCTURE AND TESTING HYPOTHESES

It is often unappreciated that when applying DAPC to genotype data a researcher is building a model that describes population structure. The results of DAPC are almost exclusively interpreted through visualizing the projection of samples into LD space, but rarely are assessments of DA model fit reported. As a *hypothesis-driven* method, DA is effectively testing the hypothesis that there are significant differences among defined groups. However, whether a researcher can interpret their DAPC results as a true test of this hypothesis depends on whether they defined groups a priori or de novo. In this section, I outline how to assess the fit of a DA model and how assessing model fit can aid interpretation of population structure. I also discuss considerations for interpreting DAPC results relative to a researcher's goals and their rationale behind group designations.

Two approaches that can be used to assess the fit of a DA model are leave-one-out cross-validation (for small sample sizes) and training-testing partitioning (for large sample sizes). Leave-one-out cross-validation involves performing a series of n iterative model fits

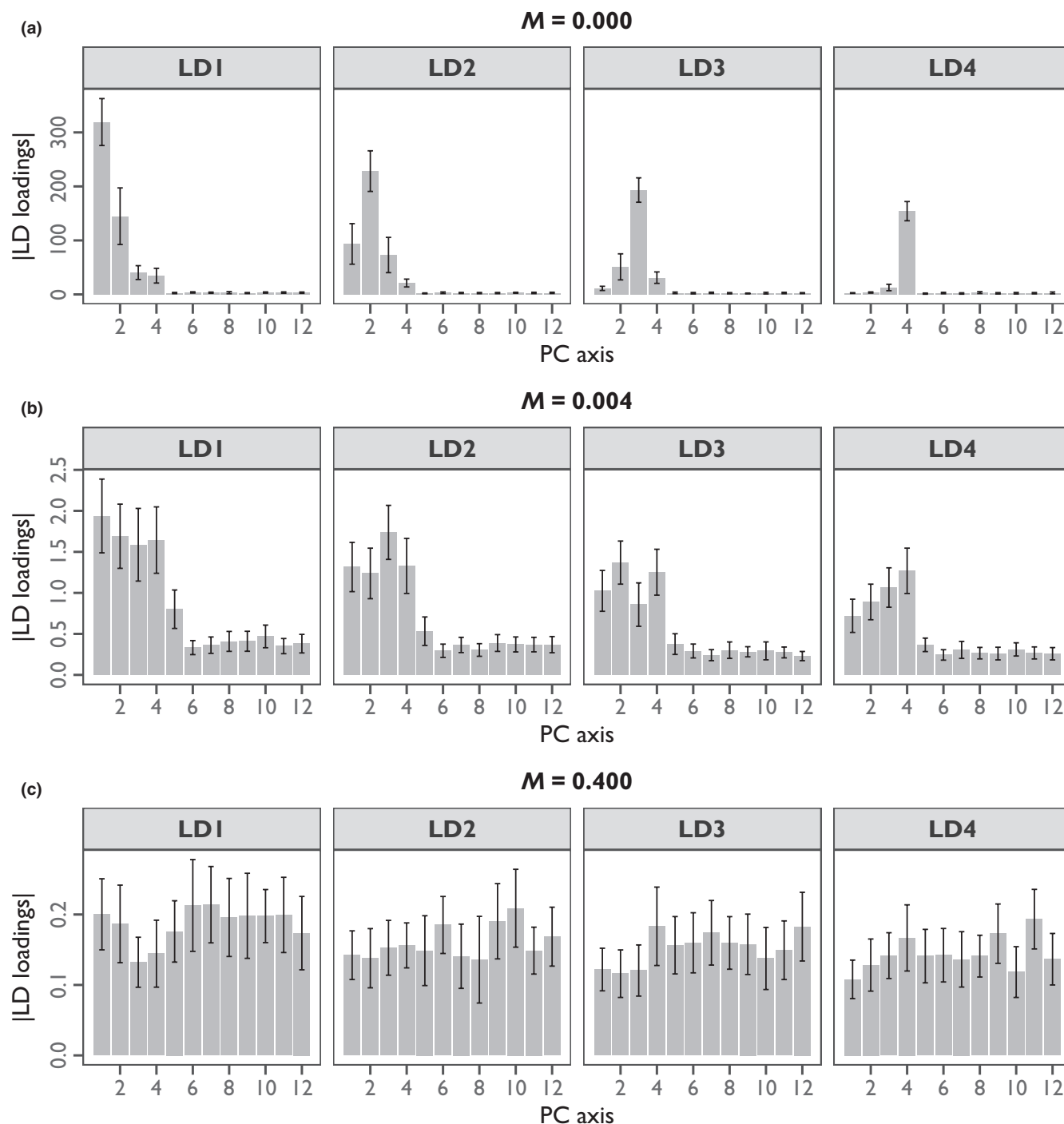


FIGURE 7 Average loadings of individual PC axes in DAs using the *replicate simulation dataset*. The x-axis represents the first 12 PC axes in DAs parameterised with $k_{DA} = 5$ and $p_{axes} = 80$ PC axes. The y-axis represents the absolute loadings (contributions to variation) of PC axes onto discriminant functions describing each of the four LD axes (panels). Grey bars indicate the average loadings across replicate simulations with 95% confidence intervals. Migration rates: (a) $M = 0.000$; (b) $M = 0.004$; and (c) $M = 0.400$

for all $i = 1$ to $i = n$ individuals in a data set. For each i^{th} iteration, the i^{th} individual is withheld from model fitting, the model is fitted with the remaining $n-1$ individuals, and the group identity of the withheld i^{th} individual is predicted using the fitted model. Training-testing partitioning requires random division of a data set to create a training partition of 70%–80% of individuals to fit the model, which can then be used to predict the groups of the 20%–30% withheld

individuals in the testing partition. Correct assignment rates can then be calculated from model predictions. A global correct assignment rate can be used to assess the model's fit overall, providing an indication of how well any individual can be correctly assigned to their population and the discreteness of populations most generally. More nuanced perspectives can be attained by calculating correct assignment rates for each population and by examining patterns of

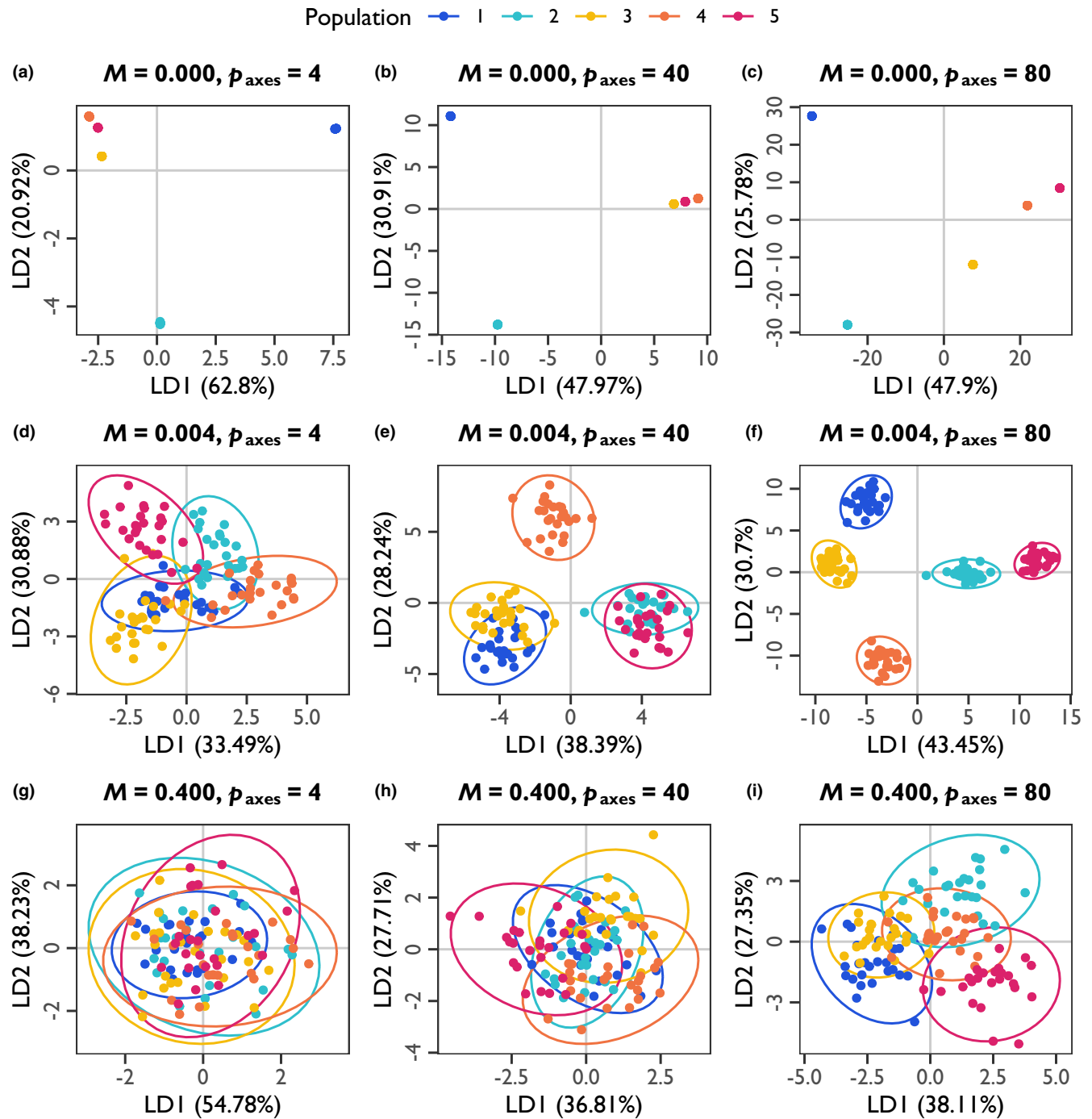


FIGURE 8 Exemplar scatterplots of individuals projected into LD space. The x-axis and y-axis represent the first and second LD axes, respectively, obtained from a DAPC parameterised with different numbers of PC axes, p_{axes} , with $k_{\text{DA}} = 5$ groups. Numbers in parentheses indicate the amount of explained among-population variance for each LD axis (percent of total). Each point represents an individual, coloured by population (see legend). Migration rates: (a–c) $M = 0.000$; (d–f) $M = 0.004$; and (g–i) $M = 0.400$. Number of PC axes: (a, d, g) $p_{\text{axes}} = 4$; (b, e, h) $p_{\text{axes}} = 40$; and (c, f, i) $p_{\text{axes}} = 80$

incorrect assignment (see, for example, Table S1). Correct assignment of individuals from certain populations might be more (or less) likely, indicating that the model is better (or worse) at discriminating these populations. Examining predictions of incorrectly assigned individuals can be used to identify populations that share genetic variation and have less discrete genetic boundaries. Correct assignment rates of $\geq 90\%$ indicate that the DA model can discriminate

individuals with high confidence, although an exact threshold for a “good” model is arbitrary.

It is important to note that whilst a researcher can always use their DAPC to interpret population structure, they should not necessarily use their DAPC to test the hypothesis that there are significant genetic differences among populations. This may seem counterintuitive given my description of DA as a *hypothesis-driven*

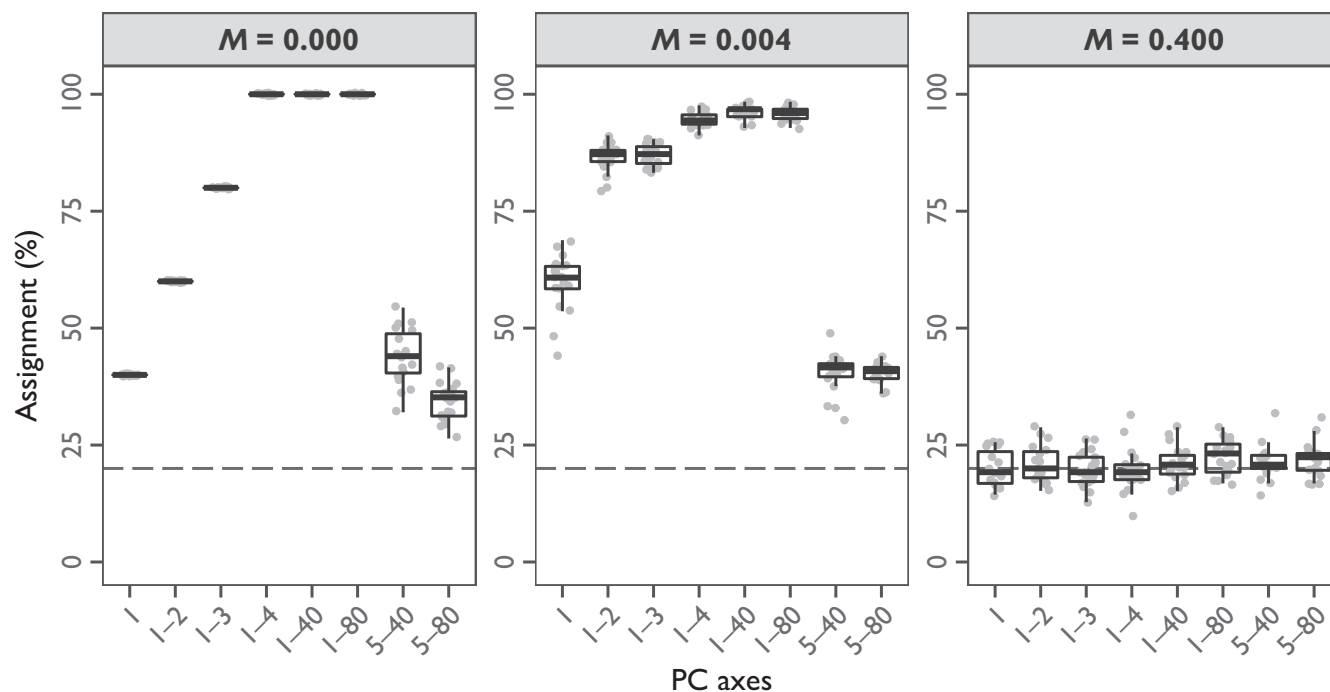


FIGURE 9 Correct assignment rates using DA models parameterised with different combinations of PC axes using the *singular simulation dataset*. DA models were constructed with a *training* sample set and used to assign populations in 19 *testing* sample sets, with $k_{DA}=5$ groups. The x-axis represents the combinations of PC axes that either include the first four PC axes (1, 1-2, 1-3, 1-4, 1-40, and 1-80) or exclude them (5-40 and 5-80). The y-axis represents the percentage of correct assignment. Each grey point represents one of the *testing* sample sets. Boxplots summarize the distribution of correct assignment rates across *testing* sample sets. The dashed line demarcates a correct assignment rate of 20% (random assignment to any of the $k_{DA}=5$ groups)

method. However, the distinction depends on a researcher's goals and the rationale behind their choice of k_{DA} . Mechanistically, k_{DA} represents the tested hypothesis within the DA framework. However, if the choice of k_{DA} is influenced by the data, then this is not a true hypothesis test. For example, say a researcher samples individuals of an organism at five different locations, but upon examination of the genotype data, discovers that some of the locations are genetically indistinguishable, such that there are only three genetically distinct groups. The researcher might then be interested in discriminating among these inferred genetic groups, performing a DAPC with $k_{DA}=k_{inferred}=3$ groups and $p_{axes}=k_{inferred}-1=2$ PC axes as predictors. Whilst the researcher can use their DA model to interpret population structure (the relationships and patterns among inferred groups), they should not use this model to conclude that there are significant genetic differences among these inferred groups. To do so would be circular because groups were identified de novo, that is, *after* the researcher observed the genotype data (Meirmans, 2015).

If instead a researcher defines groups *before* they observe their genotype data, then results from a DAPC can be truly considered as a hypothesis test of genetic differences among groups. For example, say a researcher samples individuals of an organism at five different locations, and they believe a priori that individuals from those locations comprise discrete populations. The researcher could then perform a DAPC with $k_{DA}=k_{prior}=5$ groups to test

whether it is possible to discriminate among these locations as evidence of population structure. To determine p_{axes} , the researcher would then need to estimate the number of effective populations, $k_{inferred}$, to identify the number of leading PC axes that are biologically informative, using $p_{axes}=k_{inferred}-1$ PC axes as predictors. The value of $k_{inferred}$ may be the same as the researcher's expectations ($k_{prior}=k_{inferred}$), or it may differ from their expectations ($k_{prior}>k_{inferred}$ or $k_{prior}<k_{inferred}$). Regardless, because estimation of $k_{inferred}$ does not inform the choice of k_{DA} , there is no issue with circularity and the researcher is performing a true hypothesis test when fitting their DA model.

In summary, it is crucial that researchers are clear in advance about their goals when applying DAPC to genotype data. Do they want to test how genetic variation is organized among populations defined a priori ($k_{DA}=k_{prior}$), or do they want to identify populations de novo and examine the genetic variation among these inferred groups ($k_{DA}=k_{inferred}$)? These different goals dictate how a researcher should parameterize and interpret their DAPC, and clearly communicating these goals will allow readers to better understand a researcher's rationale and results. Researchers should more routinely provide an assessment of their DA model fit, which can be used to evaluate how well their model discriminates among populations and aid interpretation of population structure. Testing the hypothesis that significant genetic differences exist among populations with a DA model should only be considered when a researcher has well-defined a priori expectations.

6 | CONCLUDING REMARKS

As a *hypothesis-free* method, PCA is useful for visualizing the inherent structure present in a data set. By contrast, DA is a *hypothesis-driven* method and generates a visualization that maximizes the differences among defined groups. The combination of these methods into a DAPC of genotype data has become very popular. DAPC provides a fast and simple method to summarize population structure and to perform population assignment. The ease at which DAPC can be applied to genotype data in R, and its lack of demographic assumptions, make it a wonderfully flexible analysis. Yet paucity of clear best practice guidelines has made the implementation, interpretation and reporting of DAPC results inconsistent (Miller et al., 2020). DAPC should not be considered a method for “finding population structure,” but instead, a method used to model the genetic differences among groups that a researcher is interested in. As I have demonstrated, parameterization of DAPC matters, and the guidelines I present here will help promote standardization of DAPC in future studies.

My work demonstrates that only the leading $k-1$ biologically informative PC axes should be used as predictors in a DAPC of genotype data. I show that this $k-1$ criterion sets a deterministic value for p_{axes} specification and is more suitable than the commonly used *proportional variance criterion*. Inclusion of many biologically uninformative PC axes as predictors of genetic differences in DA can lead to over-discrimination among k_{DA} groups in LD space. Projection of individuals into LD space is typically a focal point when interpreting DAPC results. Hence, artificially inflated separation among groups is problematic because perceived population structure can appear greater than that present in the genotype data set.

Whereas other population genetic methods implementing PCA perform a selection step to limit analyses to biologically informative PC axes (e.g., Conomos et al., 2016; Luu et al., 2017; Meisner & Albrechtsen, 2018), such considerations have never been discussed in the context of performing a DAPC, to the best of my knowledge. This is surprising given existing works describing the link between PCA and the genetic relationships among individuals and populations (McVean, 2009; Patterson et al., 2006; Peter, 2022). There are many ways to estimate the number of biologically informative PC axes (Cattell, 1966; Jackson, 1993; Peres-Neto et al., 2005). For genotype data, Patterson et al. (2006) provided a test based on expectations under a Tracy–Widom distribution to statistically infer k . Notwithstanding this, careful examination of PC screeplots and scatterplots provide a simple visual way to infer k , and this inference can be corroborated with estimates from K -means clustering, a standard approach used alongside DAPC for inferring genetic groups de novo.

Assessing the fit of the DA model should be routine practice when performing a DAPC of genotype data. The rarity of such practice is perhaps due to general misunderstanding among researchers that they are fitting a model of genetic differences among groups with this method. When interpreting the outputs of their DA model, a researcher should be conscious of their study goals and their

rationale behind defining k_{DA} groups. The DA model can only be used to test the hypothesis of significant genetic differences among groups when k_{DA} is defined a priori, $k_{\text{DA}} = k_{\text{prior}}$. When DA is used to model differences among de novo inferred groups, $k_{\text{DA}} = k_{\text{infer}}$, interpretation should be limited to patterns of population structure to avoid circularity.

Irrespective of whether a researcher's DAPC entails a test of an a priori expectation or the study of de novo inferred groups, an estimate of the likely k is required for choosing an appropriate p_{axes} . Under more complex demographic scenarios, it may be challenging to estimate k_{infer} when populations do not form easily discernible groups (see for illustration, Figure S4). Nonetheless, the expectations of a $k-1$ limit on the number of biologically informative PC axes will still hold, and a researcher should do their best to make an appropriate judgement. A small discrepancy between k and k_{infer} is unlikely to cause notable problems in the DA model fit, the point being that $p_{\text{axes}} \gg k-1$ is more problematic and should be avoided.

Suggestions for future population genetic studies include:

1. Clearly state whether the purpose of implementing a DAPC of genotype data is to test genetic differences among a priori defined populations ($k_{\text{DA}} = k_{\text{prior}}$) or to study variation among de novo inferred populations ($k_{\text{DA}} = k_{\text{infer}}$).
2. If K -means clustering is used to obtain k_{infer} , check that results are consistent across different parameterizations, and that these results are also consistent with expectations derived from visual inspection of PC screeplots and scatterplots.
3. Use the $k-1$ criterion to select an appropriate p_{axes} for DAPC. Because k is never known, this involves setting $p_{\text{axes}} = k_{\text{infer}} - 1$ to retain only the leading biologically informative axes for the putative k_{infer} effective populations.
4. Assess the DA model fit using leave-one-out cross-validation (for small sample sizes) or training–testing partitioning (for larger sample sizes). Report global correct assignment rates and relative proportions of correct and incorrect assignment among populations.
5. Check that k_{infer} is not artificially inflated, for example, by the presence of highly correlated genotypes in sex chromosomes or inversions, or by the presence of family structure within populations. Sex-linked loci should be removed for analyses comprising pooled sexes because they will polarize males and females. Loci within inversions can either be removed, or inversion genotypes can be recoded as a single “super locus.” Family structure represents nonrandom sampling of populations but may be unavoidable in small populations. Being aware of the effects of family structure is important for interpreting a larger number of groups relative to a priori expectations. If groups are being defined de novo, then it may be nonsensical to discriminate among all inferred groups if a researcher is interested in differences among putative populations.
6. When $k_{\text{infer}} = 2$, there is just a single dimension that is biologically informative: the first PC axis. A DAPC can still be fit with a single predictor variable, although it defeats the purpose of using a multivariate analysis and is equivalent to a univariate analysis.

It is prudent to reflect on whether a DAPC is necessary for the specific objectives of a study. If a researcher simply wants to visualize population structure, a PCA alone is perfectly sufficient and does not require allocation of group membership. However, when there are many putative populations, visualizing just a few PC axes might be inadequate to fully appreciate the complexity of population structure. In such a case, DAPC may be helpful for summarizing variation across many relevant PC axes and to further reduce dimensionality. The real value of a DAPC comes when we take advantage of the predictive model produced by the DA. These predictive models can be used in assignment problems to identify source populations of recent migrants or to infer the parental populations in admixture events. The individual contributions of loci to variation among populations could also be exploited to identify candidates for divergent selection. Irrespective of the goal, limiting p_{axes} to the leading $k-1$ PC axes will produce a DA model fit that is more parsimonious and captures maximal among-population variation from biologically relevant predictor variables. An appropriately parameterized DA model is less likely to suffer from unintended interpretations of population structure and is more generalizable to individuals from independent samples sets.

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CONFLICT OF INTEREST

I have no conflicts of interest associated with this work.

DATA AVAILABILITY STATEMENT

The data and scripts associated with this paper have been deposited into Dryad (Thia, 2022): doi.org/10.5061/dryad.b8gtht7f0.

R PACKAGES

adegenet (Jombart, 2008; Jombart & Ahmed, 2011); *data.table* (Dowle & Srinivasan, 2019); *doParallel* (Microsoft Corporation & Steve Weston, 2019); *extrafont* (Chang, 2014); *genomalicious* (Thia & Riginos, 2019); *ggpubr* (Kassambara, 2020); *ggtree* (Yu et al., 2017); *MASS* (Venables & Ripley, 2002); *tidyverse* (Wickham et al., 2019).

ORCID

Joshua A. Thia  <https://orcid.org/0000-0001-9084-0959>

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SUPPORTING INFORMATION

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