

???Genetics and population analysis

???Genome analysis

# DEploid: Untangling complexity of infection in *Plasmodium falciparum*.

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## Abstract

**Motivation:** Complexity of infection in the malarial parasite *Plasmodium falciparum* affects key phenotypic traits, including drug resistance and risk of severe disease. Advances in protocols and sequencing technology have made it possible to obtain high-coverage genome-wide sequence data from blood samples taken in the field. However, analysing and interpreting such data is challenging because of the high rate of multiple infections present.

**Results:** The software package *DEploid* deconvolutes sequences of mixed samples by learning haplotype structure from a reference panel of clonal isolates. It reports the number of strains, the mixing proportions and the haplotypes present in an isolate, allowing researchers to study complexity of infection in malaria with an unprecedented level of detail.

**Availability and implementation:** The open source implementation *DEploid* is freely available at <https://github.com/mcveanlab/dEploid> under the conditions of the GPLv3 license.

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**Supplementary information:** Supplementary data are available at *Bioinformatics* online.

## 1 Introduction

Malaria remains one of the top global health problems. Transmitted by mosquitoes of the genus *Anopheles*, the majority of malaria related deaths are caused by the *Plasmodium falciparum* parasite (WHO, 2016). Patients are often infected with more than one parasite strain, due to bites from multiple mosquitoes, mosquitoes carrying multiple genetic types or a combination of both. Multiplicity of infection can lead to competitions among co-existing strains and may influence disease development (de Roode et al., 2005), transmission rates (Arnot, 1998) and even the spread of drug resistance (de Roode et al., 2004).

The presence of multiple strains of *P. falciparum* makes fine scale analysis of genetic variation challenging, since genetic differences between the genetic types of this haploid organism will appear as heterozygous loci. Mixed calls also confound methods that exploit haplotype data to detect, among other phenomena, the occurrence of natural selection or recent demographic events. In light of these difficulties, researchers

usually focus on clonal infections or resort to heuristics methods for resolving heterozygous genotypes. The former approach discards valuable information regarding genetic diversity and inbreeding whereas the latter tends to create chimeric haplotypes that are not suitable for analysis, unless mixed calls are very sparse.

*Phasing* or deconvoluting the strains of a mixed infection is a harder problem than phasing diploid organisms because the levels of mixture within isolates (i.e. the abundance of each genetic type) vary greatly and are unknown. Existing tools for phasing diploid organisms, such as Beagle (Browning and Browning, 2007) and IMPUTE2 (Howie et al., 2009), are not designed to cope with this. Galinsky et al. (2015) and O'Brien et al. (2015) have attempted to address the mixed infection problem by inferring the mixed proportions from allele frequencies within samples, but they do not provide haplotypes and have limited use.

As part of the Pf3k project (Pf3k, 2016), an effort to map the genetic diversity of *P. falciparum* at global scale, we have developed *DEploid*, a software package for deconvoluting mixed infections. The program provides estimates for the number of different genetic types present in the isolate, the proportion or abundance of each strain and their sequences

reference

(i.e. haplotypes). To our knowledge, DEploid is the first package able to deconvolute strain haplotypes and provides a unique opportunity for researchers to study inbreeding and complexity of infection, leaving open the possibility to investigate infection history at fine scale.

## 2 Methods

### 2.1 Notations

Let's first introduce some notation (see Table 1). Suppose that our data  $D$  are the allele read counts of sample  $j$  at a given site  $i$ , denoted as  $r_{j,i}$  and  $a_{j,i}$  for reference (REF) and alternative (ALT) alleles respectively. The allele frequencies within sample (WSAF)  $p_{j,i}$  and at population level (PLAF)  $f_i$  can be calculated by  $\frac{a_{j,i}}{a_{j,i}+r_{j,i}}$  and  $\frac{\sum_j a_{j,i}}{\sum_j a_{j,i}+\sum_j r_{j,i}}$ . Since all data in this section refers to the same sample, we drop the subscript  $j$  from now on.

$i$	Marker index
$j$	Sample index
$r$	Read count for reference allele
$a$	Read count for alternative allele
$f$	Population level allele frequency (PLAF)
$n$	Number of strains within sample
$l$	Sequence length
$\mathbf{w}$	Proportions of strains
$\mathbf{h}_i$	allelic states of $n$ parasite strains at site $i$
$h_{k,i}$	allelic states of $k$ parasite strains $k$ at site $i$ , $h_k$ in short
$p$	Observed within sample allele frequency (WSAF)
$q$	Unadjusted expected WSAF
$\pi$	Adjusted expected WSAF
$\Xi$	Reference panel
$g_p$	allelic states of reference strain $p$
$e$	Probability of read error

Table 1. Notation summary

### 2.2 Model

We describe the mixed infection problem by considering the number of strains  $n$ , relative abundance of each strain  $\mathbf{w}$  and their allelic states  $\mathbf{h}$ . Similar to O'Brien et al. (2015), we use a Bayesian approach and define the posterior probabilities of  $n$ ,  $\mathbf{w}$  and  $\mathbf{h}$  for some reference panel  $\Xi$  and probability of miss read  $e$  given data as the following:

$$P(n, \mathbf{w}, \mathbf{h}, \Xi, e|D) \propto P(D|n, \mathbf{w}, \mathbf{h}, \Xi, e) \times P(n, \mathbf{w}, \mathbf{h}, \Xi, e).$$

In particular, when the number of strains  $n$  is fixed, the model is then simplified as:

$$P(\mathbf{w}, \mathbf{h}, \Xi, e|D) \propto P(D|\mathbf{w}, \mathbf{h}, \Xi, e) \times P(\mathbf{w}, \mathbf{h}, \Xi, e).$$

We assume that the proportion of parasite strains  $\mathbf{w}$ , the chosen reference panel  $\Xi$  and sequencing error rate are independent from each other, the following expression is then obtained:

$$P(\mathbf{w}, \mathbf{h}, \Xi, e|D) \propto P(D|\mathbf{w}, \mathbf{h}, \Xi, e) \times P(\mathbf{h}|\mathbf{w}, \Xi, e) \times P(\mathbf{w}) \times P(\Xi) \times P(e). \quad (1)$$

Let  $\mathbf{w} = [w_1, \dots, w_n]$  and  $\mathbf{h}_i = [h_{1,i}, \dots, h_{n,i}]$  denote the proportions and allelic state of  $n$  parasite strains at site  $i$ . We use O'Brien

et al. (2015)'s expression for the expected WSAF  $q_i$  as:

$$q_i = (\mathbf{w} \cdot \mathbf{h}_i) = \sum_{k=1}^n w_k \cdot h_{k,i}. \quad (2)$$

Thus, the likelihood of  $P(D|w, h, \Xi, e)$  in Eqn. 1 becomes  $P(D|q_i, \Xi, e)$ . In the rest of the paper, we will use the expressions  $P(D|\theta)$  and  $L(\theta|D)$  interchangeably for convenience.

We adjust the allele frequency  $q_i$  by taking into account of read errors  $e$ . This implies that the expected allele frequency of 'REF' read as 'ALT' is  $(1 - q_i)e$ , and the expected allele frequency of 'ALT' read as 'REF' is  $q_i e$ . Thus, the adjusted WSAF becomes:

$$\pi_i = q_i + (1 - q_i)e - q_i e = q_i + (1 - 2q_i)e. \quad (3)$$

#### 2.2.1 Likelihood of data given the WSAF

We model over-dispersion in read counts relative to Binomial using a Beta-binomial distribution. Specifically, the read counts of 'ALT' are identically and independently distributed (i.i.d.) with probability  $v_i$ , i.e.  $a_i \sim \text{Binom}(a_i + r_i, v_i)$ , and  $v_i \sim \text{Beta}(\alpha, \beta)$ , where  $v_i = \alpha / (\alpha + \beta)$ . Let  $\alpha = c \cdot \pi_i$  and  $\beta = c \cdot (1 - \pi_i)$ , we can formalise the likelihood of the data using:

$$L(q_i, \Xi, e|D) \propto \frac{\Gamma(a_i + c \cdot \pi_i) \Gamma(r_i + c \cdot (1 - \pi_i))}{\Gamma(c \cdot \pi_i) \Gamma(c \cdot (1 - \pi_i))}. \quad (4)$$

#### 2.2.2 Priors

- We use a multinomial prior for the proportions  $\mathbf{w}$ , we introduce a multivariate normal variable titre  $\mathbf{x} = [x_1, \dots, x_n]$ , where each  $x$  is i.i.d. normally distributed from  $N(\eta, \sigma^2)$ . We then compute  $w_k$  as  $\exp(x_k)$  (normalized by the sum of  $\exp(x_k)$ ). Suppose the probability density of  $x_k$  is  $\phi(x|\eta, \sigma^2)$ , the prior density on each  $w_k$  then becomes  $\phi(\log(w_k)|\eta, \sigma^2) \frac{d}{dw_k} \log(w_k)$ . We consider the prior on  $\mathbf{w}$  by considering the prior on  $\mathbf{x}$ .
- For the prior on  $\mathbf{h}|\omega, \Xi$ , we use Li and Stephens (2003)'s hidden Markov model framework as a starting point, with the following modifications made:
  - \* likelihood of data given the expected WSAF rather than the “product of approximate conditionals” (PAC).
  - \* multiple strains with variable proportion rather than two sequences with strict diploidy.
  - \* simplifying the mutation model with a fixed miss copying operation.

Let  $\xi_k$  denote the path in the reference panel  $\Xi$  that  $h_k$  is copying from; and  $\mu$  denote the probability of miss copying:

$$\begin{cases} P(\xi_k = h_k) = 1 - \mu, \\ P(\xi_k \neq h_k) = \mu, \end{cases}$$

We can therefore express the prior on each  $h_k$  as

$$P(h_k|\mathbf{w}, \Xi, e) = P(\xi_k = a|\mathbf{w}, \Xi, e)(1 - \mu) + P(\xi_k = 1 - a|\mathbf{w}, \Xi, e)\mu,$$

where  $a \in \{0, 1\}$ , and  $1 - a$  indicates the event that allelic state  $h_k$  differs from  $\xi_k$ . We can therefore transform the prior on  $\mathbf{h}_k$  into the form of a prior on  $\xi_k$ , and the prior of the path is simply the transmission probabilities between two loci of a given recombination model.

- Since we are not making inferences on the reference panel nor error rate, the prior probabilities are fixed as 1s.

## 2.3 Inference

Overall, our method generates Markov chain Monte Carlo (MCMC) samples for the proportions  $\mathbf{w}$  and the haplotypes  $\mathbf{h}$  given a fixed number of strains. As for the MCMC updates on the prior, we use a Metropolis-Hastings algorithm to sample proportions ( $\mathbf{w}$ ) given  $\mathbf{h}$ ; and use Gib sampler to update  $\mathbf{h}$  for a given  $\mathbf{w}$ , which are further divided into cases of updating only one haplotype and updating a pair of haplotypes.

### 2.3.1 Metropolis-Hastings update for proportions

We are updating

### 2.3.2 Gibbs update for single haplotype

We choose haplotype strain  $s$  uniformly at random from  $K$  strains, considering both cases for updating the state of strain  $s$  at position  $i$  to 0 and 1, we compute the WSAF and its associated likelihood as follows: Regardless the state of strain  $s$  at position  $i$ , we firstly remove it from the current WSAF, i.e. subtract  $w_s \cdot h_s$  from Eqn. (2), which gives

$$q_{i,-s} = \sum_{k \neq s} w_k \cdot h_k = \text{Eqn. (2)} - w_s \cdot h_s \quad (5)$$

Therefore, updating strain  $s$  of state 0 and 1, so the expected WSAF becomes

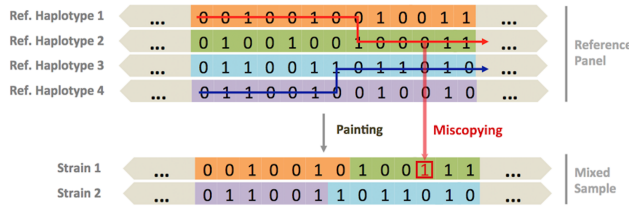
$$q_{i,h_s=0} = \text{Eqn. (5)} \quad (6)$$

$$q_{i,h_s=1} = \text{Eqn. (5)} + w_s \times 1 \quad (7)$$

Substitute equations (6) and (7) into Eqn. (4) to compute associated likelihood  $L(q_{i,h_s}, \Xi, e|D)$ , which is expressed as  $L(h_s|D)$  in short, for the rest of the paper. Therefore, Eqn. 1 then becomes

$$P(h_s|D) \propto L(h_s|D) \times P(\mathbf{h}|\mathbf{w}, \Xi, e). \quad (8)$$

In addition to updating the haplotypes from the panel, we take into account of miss copying (see example shown in Fig. 1), which allow the actual genotype differ from the path. Therefore, this method favours mutation rather than recombination for a single-site difference from a reference strain. Our model benefits from combining information from both the reference haplotypes as well as the data. For *de novo* mutations which are not found reference panel, our method will infer mutations based on read count from data.



**Fig. 1.** Illustration of Li and Stephens (2003)'s algorithm. Strain 1 haplotype is made up from reference haplotype segments of 1 and 2; and strain 2 haplotype is made up from reference haplotype segments of 3 and 4. With miss copying, we allow strain states differ from the path: At the third last position of strain 1, the path is copied from reference haplotype 2, with the state of “0”.

Specific steps are as following:

1. Consider the likelihood as the emission probabilities at site  $i$ . Let's use  $g_p$  and  $h_s$  to denote the allelic state of the copied path and the

updated strain respectively. We have:

$$L(g_p = a|D) = L(h_s = a|D) \times P(g_p = h_s) + L(h_s = 1 - a|D) \times P(g_p \neq h_s)$$

where  $a \in \{0, 1\}$ , and  $1 - a$  indicates the event that  $h_s$  takes value that differs from  $g_p$ .

2. Compute the probability of path at each position using forward algorithm. Therefore, we have the posterior probability of path (reference strain)  $p$  at position  $i$  as:

$$P_i(g_p|D) \propto L(g_p|D) \times \left( \rho'_i \cdot P_{i-1}(g_p|D) + \frac{1-\rho'_i}{|\Xi|} \cdot \sum_{x \in \Xi} P_{i-1}(g_x|D) \right). \quad (9)$$

In the HMM frame work,  $L(g_p|D)$  is the emission probability of observing data  $D$  given the hidden state of the path,  $\rho'_i$  and  $\frac{1-\rho'_i}{|\Xi|}$  are the transition probabilities from position  $i - 1$  to  $i$ , of which reflect the recombination event in our context.

3. Sample the path backwards once the forward posterior probabilities are calculated. We start at the end position, first propose if a recombination events have had happened with the probabilities proportional to

$$\begin{cases} \rho'_i \cdot P_i(g_p|D) & \text{no recombination,} \\ (1 - \rho'_i) \cdot \sum_{x \in \Xi} P_{i-1}(g_x|D) & \text{recombination,} \end{cases}$$

if it recombines, sample path backwards according  $P_i(g_p|D)$ .

4. Ultimately, given the state of the path at each site, we now want to sample the genotype according to the posterior probabilities:

$$P(h_s = *|D) = \begin{cases} P(g_p = *|D) \cdot (1 - \mu), & h_s = g_p; \\ P(g_p = 1 - *|D) \cdot \mu, & h_s \neq g_p. \end{cases} \quad (10)$$

### 2.3.3 Gibbs update for a pair of haplotypes

In order to improve the MCMC mixing, we consider pairs of haplotypes and update both strain simultaneously. Suppose random sampling two strains to update, namely,  $s_1$  and  $s_2$ . Similarly to Eqn. (5), we first remove their states from the WSAF:

$$\begin{aligned} q_{i,-s_1,-s_2} &= \sum_{k \neq s_1, s_2} w_k \cdot h_k \\ &= \text{Eqn. (2)} - w_{s_1} \cdot h_{s_1} - w_{s_2} \cdot h_{s_2} \end{aligned} \quad (11)$$

Considering all four possible combination of genotypes, we have

$$q_{i,h_{s_1}=0,h_{s_2}=0} = \text{Eqn. (11)} \quad (12)$$

$$q_{i,h_{s_1}=0,h_{s_2}=1} = \text{Eqn. (11)} + w_{s_1} \times 1 \quad (13)$$

$$q_{i,h_{s_1}=1,h_{s_2}=0} = \text{Eqn. (11)} + w_{s_2} \times 1 \quad (14)$$

$$q_{i,h_{s_1}=1,h_{s_2}=1} = \text{Eqn. (11)} + w_{s_1} \times 1 + w_{s_2} \times 1 \quad (15)$$

Substitute expressions. (12) to (15), into Eqn. (4), we then obtain their associated likelihood  $L(q_{i,h_{s_1},h_{s_2}}|D)$ , which is denoted as  $L(h_{s_1},h_{s_2}|D)$  in the rest of the paper.

Thus, similar to Eqn. (18), we obtain the following posterior probability, and sample the state (genotype) of strains  $s_1$  and  $s_2$  simultaneously at site  $i$ :

$$P(h_{s_1}, h_{s_2}|D) \propto L(h_{s_1}, h_{s_2}|D) \times P(h_{s_1}, h_{s_2}), \quad (16)$$

Similarly to the previous section, we need to

1. Compute the emission probabilities

$$L\left(\begin{matrix} g_{p1} = *, \\ g_{p2} = \# \end{matrix} \middle| D\right) = L\left(\begin{matrix} h_{s1} = *, \\ h_{s2} = \# \end{matrix} \middle| D\right) \times P\left(\begin{matrix} g_{p1} = h_{s1}, \\ g_{p2} = h_{s2} \end{matrix}\right) + \\ L\left(\begin{matrix} h_{s1} = *, \\ h_{s2} = 1 - \# \end{matrix} \middle| D\right) \times P\left(\begin{matrix} g_{p1} = h_{s1}, \\ g_{p2} \neq h_{s2} \end{matrix}\right) + \\ L\left(\begin{matrix} h_{s1} = 1 - *, \\ h_{s2} = \# \end{matrix} \middle| D\right) \times P\left(\begin{matrix} g_{p1} \neq h_{s1}, \\ g_{p2} = h_{s2} \end{matrix}\right) + \\ L\left(\begin{matrix} h_{s1} = 1 - *, \\ h_{s2} = 1 - \# \end{matrix} \middle| D\right) \times P\left(\begin{matrix} g_{p1} \neq h_{s1}, \\ g_{p2} \neq h_{s2} \end{matrix}\right)$$

where

$$P(g_{p1} = h_{s1}, g_{p2} = h_{s2}) = (1 - \mu) \cdot (1 - \mu), \\ P(g_{p1} \neq h_{s1}, g_{p2} = h_{s2}) = \mu \cdot (1 - \mu), \\ P(g_{p1} = h_{s1}, g_{p2} \neq h_{s2}) = \mu \cdot (1 - \mu), \\ P(g_{p1} \neq h_{s1}, g_{p2} \neq h_{s2}) = \mu \cdot \mu.$$

2. Compute the probability of path at each position using forward algorithm. Similar to Equation (9), for all possible pair of the copying strain, we take into account of the possibility of one strain recombines and the other does not with the probability of  $\rho'_i \cdot \frac{1 - \rho'_i}{|\Xi|}$ ; both recombines, with the probability of  $\rho'_i \cdot \rho'_i$ ; neither recombines, with the probability of  $\frac{1 - \rho'_i}{|\Xi|} \cdot \frac{1 - \rho'_i}{|\Xi|}$ , assuming that recombination events of two copying strains are independent from each other.

$$P_i(g_{p1}, g_{p2} | D) \propto L(g_{p1}, g_{p2} | D) \times \\ \left[ \sum_{x \in \Xi} P_{i-1}(g_{p1}, g_x | D) \cdot \rho'_i \cdot \frac{1 - \rho'_i}{|\Xi|} + \right. \\ P_{i-1}(g_{p1}, g_{p2} | D) \cdot \rho'_i \cdot \rho'_i + \\ \sum_{y \in \Xi} P_{i-1}(g_y, g_{p2} | D) \cdot \rho'_i \cdot \frac{1 - \rho'_i}{|\Xi|} + \\ \left. \sum_{x, y \in \Xi} P_{i-1}(g_x, g_y | D) \cdot \frac{1 - \rho'_i}{|\Xi|} \cdot \frac{1 - \rho'_i}{|\Xi|} \right] \quad (17)$$

3. Sample the path up to position  $i$ , i.e. backwards, start from the end of the panel, and sampling backwards to the  $i - 1$  position, first sample if a recombination events had happened given the probabilities of

$$\begin{cases} \sum_{x \in \Xi} P_{i-1}(g_{p1}, g_x | D) \cdot \frac{1 - \rho'_i}{|\Xi|} \cdot \rho'_i, & p_1 \text{ recombines,} \\ P_{i-1}(g_{p1}, g_{p2} | D) \cdot \rho'_i \cdot \rho'_i, & \text{no recombination,} \\ \sum_{y \in \Xi} P_{i-1}(g_y, g_{p2} | D) \cdot \frac{1 - \rho'_i}{|\Xi|} \cdot \rho'_i, & p_2 \text{ recombines,} \\ \sum_{x, y \in \Xi} P_{i-1}(g_x, g_y | D) \cdot \frac{1 - \rho'_i}{|\Xi|} \cdot \frac{1 - \rho'_i}{|\Xi|}, & \text{both recombine.} \end{cases}$$

If both strains recombine, sample the path, according to  $P_i(g_{p1}, g_{p2} | D)$ . If one of the strains recombine, sample the path according to the marginal probability of  $P_i(g_p | D)$ .

4. Ultimately, we consider add miss copies similar to the previous section, and sample the strain state given the path state with

probabilities:

$$P\left(\begin{matrix} h_{s1} = *, \\ h_{s2} = \# \end{matrix} \middle| D\right) = \begin{cases} P\left(\begin{matrix} g_{p1} = *, \\ g_{p2} = \# \end{matrix} \middle| D\right) \cdot (1 - \mu) \cdot (1 - \mu), \\ P\left(\begin{matrix} g_{p1} = *, \\ g_{p2} = 1 - \# \end{matrix} \middle| D\right) \cdot (1 - \mu) \cdot \mu, \\ P\left(\begin{matrix} g_{p1} = 1 - *, \\ g_{p2} = \# \end{matrix} \middle| D\right) \cdot \mu \cdot (1 - \mu), \\ P\left(\begin{matrix} g_{p1} = 1 - *, \\ g_{p2} = 1 - \# \end{matrix} \middle| D\right) \cdot \mu \cdot \mu, \end{cases}$$

consider all cases of if the path the same as the strain.

## 2.4 Infer haplotypes without reference panel

### 2.5 Implementation detail

In practice, we assume clonal sample haplotypes capture the diversities of haplotype structures given all samples. We use them as the reference strains for start, and deconvolute the rest mixed samples from them. We start with a set of clonal sample candidate, and run the algorithm to confirm they are in fact clonal. We use Gib sampler to update  $\mathbf{h}$  of given  $\mathbf{w}$ , randomly select one strain at the time, or a pair of strains to update in order to improve the mixing of the MCMC process.

**Recombination map** We assume a uniform recombination map, genetic distances between loci  $i$  and  $i + 1$  are computed by  $G_i = D_i / \text{Morgan}$  where  $D_i$  denotes the physical distance between loci  $i$  and  $i + 1$  in nucleotide, *Morgan* is the average morgan distance, which we use 1500000. Suppose the recombination rate  $\psi_i$  is given by  $\psi_i = N_e G_i$ , with  $N_e = 10$  being the effective population size. Note that **we scale the probabilities with the number of haplotypes in the reference panel**. Let  $\Xi$  denote the set of the strains in the reference panel. For position  $i > 1$ , let  $\rho'_i$  denote the probability of **no** recombination from site  $i - 1$  to  $i$ , we have  $\rho'_i = \exp(-\psi_i)$ . Thus, the probability of recombining from any strain in the panel is  $\frac{1 - \rho'_i}{|\Xi|}$ , where  $|\Xi|$  is the size of the panel.

#### 2.5.1 Update of a single strain

Assuming independence between site  $i$  and  $i + 1$ , we use PLAF at position  $i$  as prior, and compute the posterior probability as follows:

$$P(h_s | D) \propto L(h_s | D) \times P(h_s). \quad (18)$$

#### 2.5.2 Update two haplotypes at the same time.

where  $P(h_{s1}, h_{s2}) = P(h_{s1}) \cdot P(h_{s2})$ , assume independence between  $s_1$  and  $s_2$ .

### 2.6 Technical details

In particular, we assume there are more strains than actually present, starting the MCMC chain with a fixed  $k$ . As the proportion values drop, we “zero-out” “noisy” strains. For example, suppose that  $k = 5$  and the proportions  $\mathbf{w} = [0.848, 6.36e - 05, 6.81e - 05, 0.152, 3.31e - 05]$ , we drop the strains with proportions less than 0.01, and keep the first and the forth strains. At last, we take the best fit (section2.7) of the MCMC sample as a point estimate of haplotypes and proportions.

### 2.7 Model selection

Since the final iteration of the MCMC is taken as a point estimate to infer the haplotypes and proportion, the deconvolution process is repeated with different random seeds. We then use the lowest deviance information criterion (DIC) to select the best fit model. The DIC is

calculated from the generated MCMC simulation, and penalised by the average deviance. More specifically, We compute the deviance by  $D_{\mathbf{w},\mathbf{h}} = -2 \log(L(\mathbf{w}, \mathbf{h}|D))$  and  $DIC = 2\bar{D} - D_{\mathbf{w},\mathbf{h}}$ , where  $\bar{D}$  is the average deviance of the MCMC chain.

### 3 Validation and Performance

As a validation set we used a set of *in vitro* mixtures created by Wendler (2015) to simulate mixed infection, which is an ideal validation data set in our use. In this data set, DNA was extracted from four laboratory parasite lines: 3D7, Dd2, HB3 and 7G8, and mixed with different proportions of mixed infection (see Table 2 in brackets), and submitted to the MalariaGEN pipeline (MalariaGEN, 2008) for Illumina sequencing and genotyping pipeline (Manske et al., 2012).

sample	3D7	Dd2	HB3	7G8
PG0389-C	88.5 (90)	11.5 (10)	0	0
PG0390-C	79.8 (80)	20.2 (20)	0	0
PG0391-C	66.1 (67)	33.9 (33)	0	0
PG0392-C	31.2 (33)	68.8 (67)	0	0
PG0393-C	18.4 (20)	81.6 (80)	0	0
PG0394-C	9.1 (10)	90.1 (90)	0	0
PG0395-C	0	33.6 (33.3)	35 (33.3)	31.3 (33.3)
PG0396-C	0	25.9 (25)	26.1 (25)	48 (50)
PG0397-C	0	14.7 (14.3)	15.3 (14.3)	69.9 (71.4)
PG0398-C	0	0	45.1+54.9 (100)	0
PG0399-C	0	0	56.7+40.9 (99)	2.4 (1)
PG0400-C	0	0	39.5+57.5 (95)	3 (5)
PG0401-C	0	0	33.3+56.7 (90)	10 (10)
PG0402-C	0	0	85.2 (85)	14.8 (15)
PG0403-C	0	0	80.1 (80)	19.3 (20)
PG0404-C	0	0	75.4 (75)	24.6 (25)
PG0405-C	0	0	70.6 (70)	29.4 (30)
PG0406-C	0	0	61 (60)	39 (40)
PG0407-C	0	0	50.5 (50)	49.5 (50)
PG0408-C	0	0	40.1 (40)	59.2 (60)
PG0409-C	0	0	30.1 (30)	69.1 (70)
PG0410-C	0	0	25.9 (25)	73.4 (75)
PG0411-C	0	0	21.4 (20)	78.5 (80)
PG0412-C	0	0	15.2 (15)	84.8 (85)
PG0413-C	0	0	3.8 (5)	96.2 (95)
PG0414-C	0	0	0 (1)	29.9+70.1 (99)
PG0415-C	0	0	0	30.0+70.0 (100)

Table 2. Inferred percentages (true in brackets) of the mixed samples. Our model overfits clonal sample PG0398-C as a mixture of two strains each with the abundance proportions of 45.1% and 54.9%. We then find that both inferred haplotypes are referring to the same strain HB3. Hence we use the “+” sign to denote the overfitting events, and both haplotypes are inferring the same strain.

Note that this data set only contains two clonal samples. Due to its limited size, they are not ideal for constructing a reference panel. Moreover, the *P. falciparum* genetic crosses project (?) finds that due to sequencing error or applying different variant calling methods, genotype calls vary at the same position given the same strain of *P. falciparum*. Thus we apply inference methods to multiple samples that contains the same parasite strains, to infer the genotypes of a reference strain.

*Infer haplotypes for Dd2 strain.* Since 3D7 is the reference strain, we can assume that strain Dd2 is the only source of ‘ALT’ reads in samples from PG0389-C to PG0394-C. Assume markers are independent from each other, let  $y$  be the read count for ‘ALT’ allele and  $x$  be the total read count

weighted by the Dd2 mixing proportion (see Table 2 in brackets), we use regression model  $y = \beta_0 + \beta_1 x$  to infer the Dd2 genotype: 1 if  $\beta_1$  is significant with  $p$ -values below 0.001; 0 otherwise.

*Infer haplotypes for HB3 and 7G8.* Similarly, for sample from PG0398-C to PG0415-C, we let variables  $x_1, x_2$  be the coverages weighted by the mixing proportions of HB3 and 7G8 respectively; use regression model  $y = \beta_0 + \beta_1 x_1 + \beta_2 x_2$  to infer the genotypes of HB3 and 7G8: HB3 is 1 if  $\beta_2$  is significant with  $p$ -values below 0.001; 0 otherwise; similarly for 7G8.

#### 3.1 Accuracy

##### 3.1.1 Proportions and number of strains

To validate our method we applied our program DEploid to 27 lab-mixed *in vitro* samples. As described in section 2.3.1, we start by assuming at most three strains present in the mixtures; and discard strains with less than 1% relative abundance. Our method successfully recovers the proportions with haplotypes of the input (see Table 2). The deviation between our proportion estimates and the truth is at most 2%.

**Our model overfits the noisy lab-mixed sample with additional strains.** Note that in Table 2, we infer six of the HB3 and 7G8 mixtures as mixing of three, two of which haplotypes have subtle difference with the same parasite line, but overall vastly different from the last strain. The subtle variation is caused by few heterozygous sites with high coverage resulting high leverage in our model (supplemental material Figure S2.3(a)). The source of the noisy markers are possibly from sequencing or variant calling process, which are not recalibrated by our program.

We experimented deconvoluting the 27 lab-mixed samples with the following reference panels:

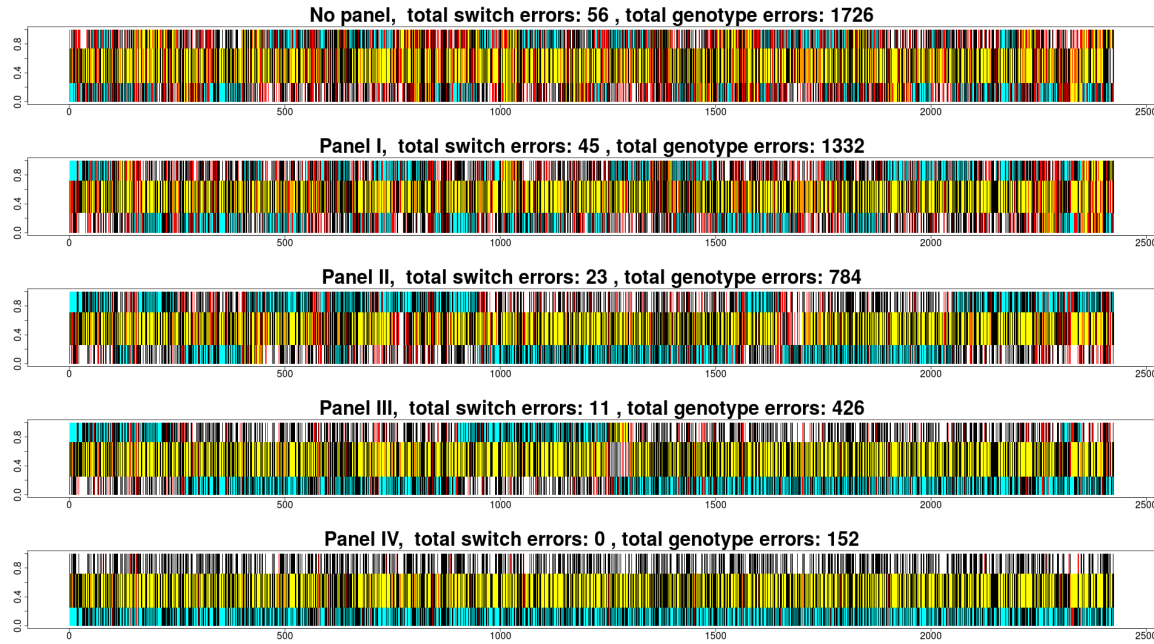
- panel I: five Asian and five African clonal strains from the Pf3k(Pf3k, 2016) data base: PD0498-C, PD0500-C, PD0660-C, PH0047-Cx, PH0064-C, PT0002-CW, PT0007-CW, PT0008-CW, PT0014-CW, PT0018-CW.
- panel II: panel I with the addition of HB3;
- panel III: panel II with the addition of 7G8;
- panel IV: panel III with the addition of Dd2;
- panel V: 3D7, HB3, 7G8 and Dd2 strains.
- panel VI: panel I with the addition of six (three each) clonal strains from Asia and Africa: PH0193-C, PH0283-C, PH0305, PT0060-C, PT0146-C and PT0158-C.

In all cases we estimated the number and proportion of strains accurately, for example Figure 2 y-axes show the proportions of strains Dd2/7G8/HB3 as approximately  $\frac{1}{4}/\frac{1}{2}/\frac{1}{4}$ .

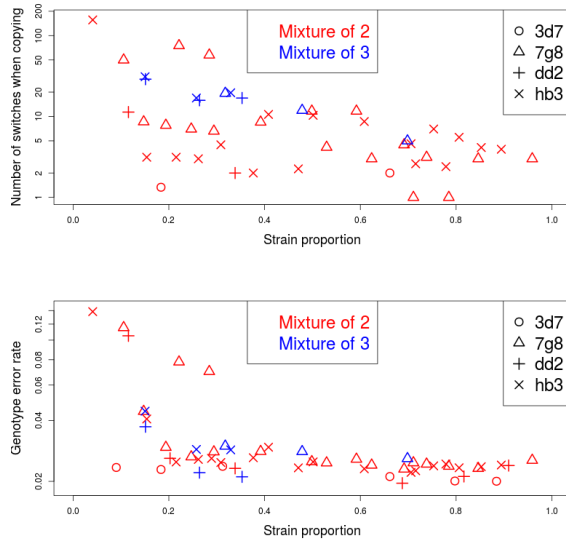
##### 3.1.2 Haplotypes

Our accuracy assessment for inferred haplotypes take into account of both switch errors and genotype discordance, which reflect to the recombination and miss copying events in the method section. Intuitively, one may suggest to use the Li and Stephens model to compute the viterbi path or posterior probabilities to assess the how different our inferred haplotypes differ from the truth. However, we find that such methods overestimate switch errors at short segments of sequence due to variable reference panel quality.

Moreover, we want to assess the switch errors by taking into account of switches from the other haplotypes. Note that in Figure 2, the top and bottom strains have similar proportions, which are difficult to phase without a perfect reference panel. One may flip parts of the two strains to resolve the errors. Unfortunately, our Li and Stephens implementation focuses on a single strain (two strains at the most), the viterbi path or posterior probabilities fail to align the switches of all strains. Therefore, we have taken a heuristic approach by dividing the inferred haplotypes into



**Fig. 2.** Haplotypes comparison of sample PG0396-C chromosome 14 deconvolution without any reference strain (top) versus with using reference panels I to IV (from the second to the bottom). Black bars indicate alternative alleles; red bars mark wrongly inferred positions. The yellow, cyan and white background label the haplotype segments from strains 7G8, HB3 and Dd2 respectively.



**Fig. 3.** Error rates vs. strain proportions. We use reference panel V to deconvolute all 27 samples. Each marker represent a deconvoluted haplotype with 18570 sites.

segments with length of 50, then mapped onto reference strains of panel V according to the indices. The switch errors are obtained by counting the changes of a strain mapped to reference strains; the genotype errors are the discordance between the haplotype and the mapped reference segments.

From our assessment of haplotype inference, we conclude:

- The inference of relative proportions do not seem to be affected by the use of a reference panel or its quality (Figure 2).

- The accuracy of the haplotype is dependent on having an appropriate reference panel (Figure 2).
- The strain proportion affects the haplotype inference (see Fig 3). Our method infer strains with proportions over 20% accurately, but struggles with minor strains due to insufficient data, in particularly at sites when the minor strain should be alternative allele, and the dominant strain should be the reference allele (see Figure 3).

### 3.2 Run-time

The complexity of our program is  $\mathcal{O}(lm^2)$  (see Fig 4), where  $l$  and  $m$  are the number of reference strains and sites respectively. In practice, we divide Pf3k samples into several geographical regions and perform deconvolution, with ten most different local clonal strains as reference panel. The run time of deconvoluting a field sample range between 1 and 6 hours, depending on the number variants in a sample: For example, it takes  $5\frac{1}{2}$  hours to process sample QG0182-C over 372,884 sites.

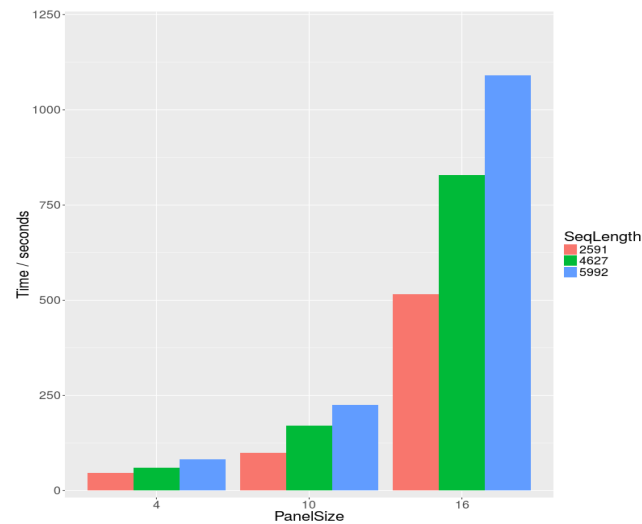
## 4 Discussion

The program DEploid and its analysis pipeline is originally developed for *P. falciparum* studies. With some specific minor parameter changes, DEploid can be used for deconvolute *Plasmodium vivax* sequence data (Pearson et al., 2016). The framework is suitable for deconvoluting mixed genomes with unknown proportions. It can thus be extended to a wider range of applications, such as deconvoluting cancer tumour cell genomes or Ebola virus genomes.

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**Fig. 4.** As a demonstration, we deconvolute chromosome 14, chromosomes 13 and 14, chromosomes 12 to 14 of sample PG0412-C with reference panels I, V and VI. The runtime is almost linear respect to the number of sites; and shows quadratic trend against the number of reference strains.

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*Conflict of Interest:* none declared.

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