Semiparametric Analysis of Polygenic Gene-Environment Interactions in Case-Control Studies with caseControlGE

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## Abstract

Gene-environment interactions can be efficiently estimated in case-control data by methods that assume gene-environment independence in the source population, but until recently such techniques required parametric modelling of the genetic variables. The **caseControlGE** package implements the methods of Stalder et al. (2017, *Biometrika*, **104**, 801-812) and Wang et al. (2018, unpublished), which exploit the assumption of gene-environment independence without placing any assumptions on the marginal distributions of the genetic or environmental variables. These methods are ideally suited for analyzing complex polygenic data for which parametric distributional models are not feasible. In addition to the two estimators, the package also supplies a function to simulate case-control data and several helper functions for use on model objects. Use of this package is illustrated by simulating and analyzing data from a case-control study of breast cancer.

## 1 Introduction

### 1.1 caseControlGE package

The caseControlGE package (Asher, 2018) contains tools for the analysis of case-control data using R (R Core Team, 2018). It implements the methods of Stalder et al. (2017) and Wang et al. (2018), both of which fall under the class of semiparametric retrospective profile likelihood estimators. These methods are the first available to exploit the assumption of gene-environment independence while treating the genetic component nonparametrically. As such, they are well suited to replace logistic regression as the preferred method in situations where parametric distributional models are not feasible, such as in the analysis of complex polygenic data.

caseControlGE contains three main functions: simulateCC, spmle, and spmleCombo, as well as several helper functions. Section 2 of this paper introduces simulateCC in the context of simulating case-control data analogous to the data analyzed in Wang et al. (2018). Section 3 introduces spmle as a tool to analyze the simulated data, and section 4 introduces spmleCombo to conduct a more efficient analysis of the simulated data.

### 1.2 Background

Case-control studies are retrospective observational studies in which the sample consists of a group of healthy subjects and a group of diseased subjects. A crucial aspect of the case-control design is that the outcome, disease status, is known *before* sampling. The ability to deliberately oversample diseased subjects makes the case-control design cost effective, which is why it is widely popular in studies of gene-environment interactions.

Given the genetic and environmental covariates G and E, we assume the risk of disease D in the underlying population follows the model

$$pr(D = 1 \mid G, X) = H\{\beta_0 + m(G, X, \beta)\},\tag{1}$$

where  $H(x) = \{1 + \exp(-x)\}^{-1}$  is the logistic distribution function and  $m(G, X, \beta)$  is a function that describes the joint effect of G and X and is known up to the unspecified parameters of interest  $\beta$ .

Given the retrospective nature of case-control sampling, it is surprising that standard prospective

logistic regression can be used to obtain unbiased estimates of  $\beta$  (Prentice and Pyke, 1979). Logistic regression requires no assumptions about the joint distribution of G and E, but it suffers from low power when estimating G \* E interaction effects. To gain efficiency, Chatterjee and Carroll (2005) exploited the assumption of gene-environment independence in the source population to maximize the retrospective likelihood while profiling out the distribution of E. Their method is available as the function snp.logistic in the *Bioconductor* package **CGEN** (Bhattacharjee et al., 2012).

The method of Chatterjee and Carroll, and subsequent methods utilizing the same retrospective profile likelihood framework, require a parametric model for the distribution of G given E. This becomes difficult as the number and complexity of genetic variables in the model grows. Capitalizing on advances in high-throughput genomics, genome-wide association studies have identified scores of SNPs associated with complex diseases such as cancers and diabetes. Modern case-control studies of gene-environment interactions need efficient methodology that allows for a flexible and arbitrarily complex genetic component, such as multiple correlated SNPs and/or continuous polygenic risk scores.

The method of Stalder et al. (2017) extends the retrospective profile likelihood framework of Chatterjee and Carroll, dispensing with the need to model G parametrically. When the population disease rate  $\pi_1$  is known, the retrospective profile loglikelihood can be estimated (up to an additive constant) using just the case-control sample and without modeling the distribution of G. When  $\pi_1$  is unknown but the disease is rare, estimates can be obtained using the rare disease approximation that  $\pi_1 \approx 0$ , which typically introduces negligible bias (Stalder et al., 2017).

Wang et al. (2018) proposed an improvement to the method of Stalder et al. (2017) that increases the efficiency of the estimates with no additional assumptions. This development relies on the observation that the method of Stalder et al. removes dependence on the distribution of the genetic and environmental variables in two different fashions; by treating the genetic and environmental variables symmetrically Wang et al. generate two sets of parameter estimates that are combined to generate a more efficient estimate.

#### 1.3 Implementation

The semiparametric method of Stalder et al. (2017) is implemented as the function spmle in caseControlGE, detailed in section 3. Estimating the semiparametric profile likelihood is a computationally intensive process, and significant effort was invested in speeding up calculations. Estimation

functions, including the analytic gradient and hessian, are written in C++ and compiled using **Rcpp** (Eddelbuettel, 2013), providing a tremendous speedup over native R code. Extensive benchmarking and code profiling was conducted, and estimation functions were written to apply matrix operations to contiguous blocks of memory whenever possible, reducing memory latency and allowing modern processors to exploit data level parallelism and perform the same operation on multiple data points simultaneously.

The estimated semiparametric likelihood is maximized using the quasi-Newton optimizer ucminf (Nielsen and Mortensen, 2016) using starting values from logistic regression. ucminf is particularly well suited for this application because it allows us to precondition the optimization with the analytic hessian, and it evaluates the gradient after each call to the objective function. Calculating the gradient along with the likelihood adds negligible computational complexity, so we call a single C++ function to compute them both, then return them separately to ucminf. This leads ucminf to converge in roughly half the time of the next-fastest optimizers (several of the various R implementations of the BFGS algorithm tie for second place). The unmatched speed of ucminf means we are willing to tolerate its bugs, which include occasionally declaring convergence before actually converging. To address this, spmle checks the gradient at the reported optimum and restarts the optimization if necessary (with different starting values).

Computational complexity of the asymptotic covariance estimation, which contains a sum of the form  $\sum_{i=1}^{n} \sum_{j=1}^{n} \sum_{k=1}^{n} \partial \mathcal{L}_{ijk}(\Omega)/\partial \Omega$ , was reduced from  $O(n^3)$  to  $O(n^2)$  by storing intermediate values in a three-dimensional array. This increases speed at the cost of memory usage, which climbs from O(n) to  $O(n^2)$ , setting a practical limit on sample size in the low tens of thousands for average personal computers. This is sufficient to analyze all but the largest case-control studies; covariance estimates for larger studies should be computed using the bootstrap.

Asymptotic covariance estimates for the Symmetric Combination Estimator of Wang et al. converge slowly and unreliable in practice, often providing poor coverage. Wang et al. recommend a balanced bootstrap, with cases and controls resampled separately, to estimate covariance. caseControlGE offers users with multicore computers the option to speed up computation by using multiple processors. Parallelization is implemented using the R base package parallel, which is installed by default on all operating systems. Parallelization on computers running Linux or macOS is done by forking the active R session, saving time and memory. This option is unavailable in Windows, so parallelization is fractionally slower because a PSOCK cluster is created with a new

# 2 Simulating case-control data with simulateCC

### 2.1 Data description

Wang et al. (2018) demonstrate the utility of their method by analyzing data from a case-control study of breast cancer. This case-control sample is taken from a large prospective cohort at the National Cancer Institute: the Prostate, Lung, Colorectal and Ovarian (PLCO) cancer screening trial (Canzian et al., 2010). The case-control study analyzed by Wang et al. consists of 658 cases and 753 controls sampled from a cohort of 64,440 non-Hispanic, white women aged 55 to 74, of whom 3.72% developed breast cancer (Pfeiffer et al., 2013). The data are available from the National Cancer Institute via a data transfer agreement, but cannot be distributed with the **caseControlGE** package. Fortunately, we can use the **caseControlGE** function **simulateCC** to generate a similar data set for analysis.

Each of the 1411 subjects in the PLCO sample was genotyped for 21 SNPs that have been previously associated with breast cancer based on large genome-wide association studies. These SNPs were weighted by their log-odds-ratio coefficients and summed to define a polygenic risk score (PRS). A standardized version of this PRS, with mean zero and standard deviation one, was used as the genetic risk factor G by Wang et al.. Early menarche is a known risk factor for breast cancer, and Wang et al. used a binary indicator of whether the subject underwent early menarche as E (age at menarche < 14). Several environmental variables were recorded as part of the PLCO study, including body mass index (BMI). There is some evidence that obese women have a reduced risk of breast cancer, so in our simulation we will consider BMI in addition to the variables modeled by Wang et al..

### 2.2 Data simulation

Genetic variables generated by simulateCC include SNPs and three distributions of continuous PRS: Normal(0,1), Gamma(shape=20, scale=20), and bimodal. Environmental variables can be binary or Normal(0,1). To simulate case-control data with simulateCC, we specify distributions for G and E and provide regression coefficients  $\beta$  and intercept  $\beta_0$  from eq. (1). The function

simulateCC generates values of G and E for a simulated population, then simulates binary D from its conditional distribution  $(D \mid G, X, \beta_0, \beta)$ . A sample of  $n_1$  cases and  $n_0$  controls is taken from this simulated population.

To determine the appropriate distributions to use when simulating G and E, we examine the PLCO data. In doing so, it is important to keep in mind that the case control sample is not representative of the source population. Case-control studies deliberately oversample cases, so the distribution of G and E in the sample may be quite different from the distribution of G and E in the population (especially for variables that are strongly correlated with disease status). To accurately simulate the genetic and environmental variables from the PLCO study, we need to estimate their distributions in the source population.

Wang et al. report  $\beta_G = 0.459$  with p < 1e - 4, but they standardized G to mean zero and standard deviation one in the case-control sample. G has a strong positive effect on disease risk, indicating that the distribution of (G|D=0) is meaningfully different from the distribution of (G|D=1). Specifically,  $\mathbf{E}(G|D=1) > \mathbf{E}(G|D=0)$ . With a population disease rate of 0.0372, this implies  $\mathbf{E}_{pop}(G) \approx \mathbf{E}(G|D=0) < 0$ , where the subscript pop emphasizes that the expectation is in the source population.

This causes no problem for Wang et al., but it presents us with the dilemma that  $G \sim N(0,1)$ . If we simulate  $G \sim N(0,1)$  and use  $\beta_G = 0.459$  as reported in Wang et al., our simulated  $(D \mid G, X, \beta_0, \beta)$  will not match the distribution of the actual PLCO data.

If we did not have access to the PLCO data, our best option would be to approximate  $\delta = \mathbf{E}(G|D=0)$ , simulate  $G \sim \mathrm{N}(\delta,1)$ , and use  $\beta$  as reported in Wang et al.. While we cannot distribute the PLCO data, we can use it to estimate population parameters, so approximating  $\delta$  is not necessary. The simplest and most common way to estimate population parameters is to calculate them using just the controls. Case-control designs are typically used to study relatively rare diseases, and the bias introduced by using the cases as a stand-in for the population is usually quite small.

When  $\pi_1$  is known, it is possible to calculate unbiased estimates by weighting the cases and controls by  $\pi_1$  and  $(1 - \pi_1)$ , respectively. (This technique is employed to great effect by Stalder et al., and is the reason that **spmle** requires the user to specify a value for **pi1**.)

We return to the PLCO data to conduct an analysis similar to that of Wang et al., but with two environmental variables: the indicator of early menarche and BMI. We will standardize the two continuous variables due to their very different scales, but to make our lives easier when we conduct subsequent simulations, we standardize them to have mean zero and standard deviation one in the source population.

We calculate  $\widehat{\mathbf{E}}_{pop}(PRS)$ ,  $\widehat{\mathbf{E}}_{pop}(early menarche)$ , and  $\widehat{\mathbf{E}}_{pop}(BMI)$  by weighting the means within cases and controls by  $\pi_1$  and  $(1-\pi_1)$ , respectively. We calculate  $\widehat{\mathrm{sd}}_{pop}(PRS)$  and  $\widehat{\mathrm{sd}}_{pop}(BMI)$  using the sample standard deviations among the controls only. We have

$$G = \frac{\text{PRS} - \widehat{\mathbf{E}}_{\text{pop}}(\text{PRS})}{\widehat{\text{sd}}_{\text{pop}}(\text{PRS})}, \quad E_1 = \mathbf{I}(\text{age at menarche} < 14), \quad E_2 = \frac{\text{BMI} - \widehat{\mathbf{E}}_{\text{pop}}(\text{BMI})}{\widehat{\text{sd}}_{\text{pop}}(\text{BMI})}.$$

After this scaling, the distributions of G and  $E_2$  in the source population can be well approximated by uncorrelated N(0,1) random variables. Binary environmental variable  $E_1$  is also uncorrelated with G, and has a frequency of 0.745 in the population. We fit a model in these variables to the PLCO data using spmleCombo, yielding the rest of the information we need to simulate case control data:

$$\pi_1 = 0.0372$$
  $n_0 = 753$   $n_1 = 658$   $G \sim N(0,1)$   $E_1 \sim Bin(0.745)$   $E_2 \sim N(0,1)$   $\beta_G = 0.450$   $\beta_{E_1} = 0.143$   $\beta_{E_2} = -0.019$   $\beta_{GE_1} = -0.195$   $\beta_{GE_2} = -0.040$ 

The logistic intercept  $\beta_0$  is not consistently estimated by logistic regression or either of the semiparametric methods in **caseControlGE**, however it is typically of little interest. The function **simulateCC** prints the population disease rate each time it runs, so we run **simulateCC** several times with different values of  $\beta_0$ . Using a guess-and-check approach with increasing sample size as we get closer, we manipulate  $\beta_0$  to match the disease rate observed in the source population.

```
betaGE_normPRS_norm=-0.040, E_bin_freq=0.745)

#### Disease rate too high, try beta0 = -4

tmp = simulateCC(ncase=1000, ncontrol=1000, beta0 = -4, betaG_normPRS=0.450, betaE_bin=0.143, betaE_norm=-0.019, betaGE_normPRS_bin=-0.195, betaGE_normPRS_norm=-0.040, E_bin_freq=0.745)

Disease prevalance: 0.0212909427411371
```

```
#### Continue guessing, increasing sample size as we get closer (not run)

# tmp = simulateCC(ncase=1000, ncontrol=1000, beta0 = -3.5, betaG_normPRS=0.450, betaE_bin=0.143, beta

# tmp = simulateCC(ncase=10000, ncontrol=10000, beta0 = -3.4, betaG_normPRS=0.450, betaE_bin=0.143, beta

# tmp = simulateCC(ncase=100000, ncontrol=100000, beta0 = -3.4, betaG_normPRS=0.450, betaE_bin=0.143,

# tmp = simulateCC(ncase=100000, ncontrol=100000, beta0 = -3.41, betaG_normPRS=0.450, betaE_bin=0.143,

rm(tmp)
```

After several iterations (commented out for speed), we determined that beta0 = -3.41 produces a population disease rate of 0.0372. Now we generate our simulated PLCO data.

```
Disease prevalance: 0.0362381630253141
```

#### 2.3 Confirming the G-E independence assumption

The function simulateCC returns a list with elements D, G, and E, which are numeric vectors or matrices. We combine them into a data.frame to print the first 6 rows.

```
#### Examine the simulated data
kable(list(head(as.data.frame(dat)), table(dat$D, dnn="D")), caption="Simulated PLCO data, rows 1:6")
```

**Table 1:** Simulated PLCO data, rows 1:6

D	G	E.1	E.2	$\overline{D}$	Freq
0	0.1336533	1	0.3866567	0	753
0	0.4328288	0	1.4536655	1	658
0	0.3389738	1	-1.0088425		
0	-1.4542346	1	0.7076604		
0	-1.0777144	1	-0.2864078		
0	1.4280646	1	1.6047819		

Case-control data generated by simulateCC is sorted by disease status (which is why the first 6 rows do not have a single case), but the sample size is correct. Before we calculate the spmle, we will check the assumption of gene-environment independence in the source population. In our case, this check is largely perfunctory because we did not provide the arguments regress\_E\_bin\_on\_G\_normPRS or regress\_E\_norm\_on\_G\_normPRS to simulateCC, so the genetic and environmental variates were drawn from independent distributions.

But when analyzing real data, it is crucial to verify this assumption. Violations of the G-E independence assumption can introduce bias in the estimates of interaction parameters between the specific genetic and environmental variables in violation of G-E independence (the other parameters in the model appear unaffected in simulation studies by Stalder et al.).

We do this by checking for dependence between G and E in the controls. Environmental variable  $E_1$  is binary, so we use a two sample t-test of G over the two levels of  $E_1$ . To test for dependence between G and  $E_2$ , we conduct a correlation test.

```
Welch Two Sample t-test

data: dat$G[controls] by dat$E[controls, 1]

t = -0.72912, df = 317.01, p-value = 0.4665

alternative hypothesis: true difference in means is not equal to 0

95 percent confidence interval:

-0.2265577 0.1040422
```

```
sample estimates:
mean in group 0 mean in group 1
-0.11633867 -0.05508089
```

```
#### correlation test between G and E2
cor.test(dat$G[controls], dat$E[controls, 2])
```

```
Pearson's product-moment correlation

data: dat$G[controls] and dat$E[controls, 2]

t = -0.81291, df = 751, p-value = 0.4165

alternative hypothesis: true correlation is not equal to 0

95 percent confidence interval:

-0.10088258  0.04188409

sample estimates:

cor

-0.02965047
```

Now that we are satisfied that the assumption of gene-environment independence has not been violated, we can exploit this assumption using the two semiparametric retrospective methods of caseControlGE.

# 3 Analyzing case-control data with spmle

The function spmle is the backbone of caseControlGE; it is called on its own to evaluate the SPMLE of Stalder et al., and it is the key component of the Symmetric Combination Estimator of Wang et al.. Calling spmle is slightly different from calling other estimation commands like lm or glm because we do not specify the model formula to spmle. Instead we specify which variables are genetic and which are environmental, and spmle fits the formula:  $D \sim G * E$ .

We fit the gene-environment interaction model with spmle, and compare it to the estimates from standard logistic regression. We do not need to fit the logistic regression model with a call to glm because spmle fits a logistic regression model to obtain starting values. This logistic regression model is returned with the fitted spmle object.

```
#### Fit the spmle to the simulated PLCO data
```

Table 2: spmle, known pi1

	Estimate	Std. Error	z value	$\Pr(> z )$
(Intercept)	-0.3226	0.1049	-3.0755	0.0021
G	0.5808	0.1033	5.6203	0.0000
E1	0.1762	0.1332	1.3225	0.1860
E2	0.0430	0.0565	0.7604	0.4470
G:E1	-0.2426	0.1064	-2.2807	0.0226
G:E2	-0.0436	0.0432	-1.0091	0.3129

**Table 3:** Logistic regression

	Estimate	Std. Error	z value	$\Pr(> z )$
(Intercept)	-0.3014	0.1152	-2.6160	0.0089
G	0.5513	0.1111	4.9610	0.0000
E1	0.1549	0.1311	1.1814	0.2375
E2	0.0435	0.0562	0.7730	0.4395
G:E1	-0.2263	0.1279	-1.7695	0.0768
G:E2	-0.0130	0.0574	-0.2258	0.8213

```
spmleFit1 = spmle(D=D, G=G, E=E, pi1=0.0372, data=dat) \\    #### Print coefficient estimates from spmle and the logistic model returned by spmle kable(summary(spmleFit1)$coefficients, digits=4, caption="spmle, known pi1")
```

```
kable(summary(spmleFit1$glm_fit)$coefficients, digits=4, caption="Logistic regression")
```

The parameter estimates are extremely similar between the two models, but the spmle has smaller standard errors for the interaction terms. Logistic regression uncovers some evidence of a G:E1 interaction between the PRS and early menarche, but the result is not significant at the 0.05 level. The spmle is able to provide stronger evidence of a G:E1 interaction because the estimated standard error of the G:E1 coefficient is 20% larger with logistic regression than the spmle, giving a variance increase of almost 45%.

In this instance we know the true population disease rate  $\pi_1 = 0.0372$ . If  $\pi_1$  were unknown we would calculate the spmle under the assumption that  $\pi_1 \approx 0$ . Calculating the rare disease approximation using spmle is as simple as specifying pi1 = 0 in the function call.

```
kable(summary(spmle(D=D, G=G, E=E, pi1=0, data=dat))$coef, dig=4, cap="spmle, rare disease")
```

The estimates and standard errors are nearly identical to the model with known  $\pi_1$ , indicating that a valid estimator can be obtained even when the disease rate is unknown.

Table 4: spmle, rare disease

	Estimate	Std. Error	z value	$\Pr(> \mathbf{z} )$
(Intercept)	-0.3253	0.1054	-3.0857	0.0020
G	0.5862	0.1054	5.5617	0.0000
E1	0.1791	0.1336	1.3404	0.1801
E2	0.0428	0.0566	0.7562	0.4495
G:E1	-0.2436	0.1051	-2.3175	0.0205
G:E2	-0.0437	0.0416	-1.0492	0.2941

The function spmle returns an S3 object of class "spmle". caseControlGE contains spmle methods for all applicable S3 generics, such as summary.spmle, print.spmle, confint.spmle, etc. If the function anova is called on spmle objects, the method anova.spmle is used to calculate likelihood ratio tests of the models. This is a valid way to test full vs reduced spmle models because the loglikelihood reported by logLik.spmle is accurate up to an additive constant. However, anova should not be used to compare an spmle object to a model fit by a different method.

Body mass index does not appear to be a significant predictor in this model. The coefficients for the  $E_2$  main effect and the  $G*E_2$  interaction are near zero and both terms have large p values, so we fit a reduced model without BMI. To demonstrate the options controlling optimization, we disable hessian preconditioning and supply bad starting values to the optimizer.

```
#### Fit the reduced spmle with bad starting values  \begin{aligned} &\text{spmleRed} &= & \text{spmle}(D=D, G=G, E=E[\ ,1] \ , & \text{pi1}=0.0372 \ , & \text{data}=\text{dat} \ , & \text{startvals}=\text{rep}\left(\text{NA}, \ 4\right), \\ & & \text{control}=\text{list}\left(\text{use\_hess}=\text{FALSE}\right)) \end{aligned}
```

```
ucminf retry 1 of 2
```

#### summary (spmleRed)

```
Estimate Std. Error z value Pr(>|z|)
(Intercept) -0.3221
                        0.1048 -3.075 0.00211 **
             0.5808
                        0.1034
                                 5.616 1.96e-08 ***
E[, 1]
             0.1737
                         0.1331
                                1.305 0.19187
G:E[, 1]
             -0.2400
                         0.1064
                                -2.256 0.02408 *
Signif. codes: 0 '*** 0.001 '** 0.01 '* 0.05 '.' 0.1 ' ' 1
    Null deviance: 1949.7 on 1410
                                   degrees of freedom
Residual deviance: 1848.1 on 1407
                                   degrees of freedom
AIC: 1856.1
UCMINF retries: 1, iterations: 14, max gradient at convergence: 4.917e-08
```

and compare it to the full model using anova

## 4 Analyzing case-control data with spmleCombo

In the code below we coerce dat into a data.frame and drop  $E_2$  from the data that is passed to spmle.

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