

A Novel Statistical Framework for Assessment of Intraspecific Haplotype

Sampling Completeness

by

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ABSTRACT

A NOVEL STATISTICAL FRAMEWORK FOR ASSESSMENT INTRASPECIFIC HAPLOTYPE SAMPLING COMPLETENESS

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The problem of determining adequate sample sizes necessary for studies of biodiversity conservation and management is a challenging one that has received some attention in recent years. One particular area where the probing of sampling completeness is of utmost priority is DNA barcoding. Species show remarkable genomic marker variation within and among taxa, along with differing evolutionary and life histories. Thus, knowing how many specimens of a given species likely need to be collected to observe the majority of standing COI haplotype diversity present within animal species is a complex question to answer. Estimates of specimen sample sizes for DNA barcoding range from a single individual to hundreds of individuals per species (but typically around 5-10 individuals). However, due to obstacles surrounding project funding and species rarity, often just one or two specimens per species can be reasonably collected. In addition, numerous other factors, especially sequence quality and integrity, hinder the accurate and reliable estimation of specimen sample sizes from existing species-level sequence data found in large DNA repositories.

Here, a deep examination of the genetic specimen sample size problem (GSSSP) is undertaken. Specifically, a novel nonparametric stochastic local search optimization

algorithm based on trends in species haplotype accumulation curves, herein called HACSim (**Haplotype Accumulation Curve Simulator**) is introduced. The method, available as an R package, is tested on a variety of both hypothetical and real animal species mined from the Barcode of Life Data Systems (BOLD). Through a detailed statistical simulation study, the approach is demonstrated to work well across all examined scenarios. As HACSim makes numerous simplifying assumptions that are unlikely to hold well in practice, such as panmixia (random mating), future work in incorporating elements of population structure is imperative.

In addition, it is argued that DNA barcoding currently lacks in statistical rigor needed to robustly estimate the DNA barcode gap, an important quantity expressing the difference between intraspecific and interspecific genetic variation. A number of accessible statistical solutions revolving around sample sizes needed for gap assessment, as well as visualization and inference are offered in this regard.

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Chapter 1

General Introduction

1.1 The Problem

Biodiversity loss currently threatens the diversity of life on Earth. It is estimated by the United Nations Convention on Biological Diversity (CBD) in their Global Biodiversity Outlook report that, of the estimated eight million species known, over one million animal and plant species currently face risk of extinction in the next few decades due solely to increased anthropogenic activities [142]. This troubling revelation is made all the more real since the majority of species still await discovery and formal description.

Through traditional means of morphological identification, taxonomists have painstakingly managed to categorize just over one million species in the last 250 years alone. DNA barcoding [87, 89], proposed nearly 20 years ago in 2003 as a viable solution to the taxonomic impediment, has since revolutionized the way Linnean taxonomy is done. The premise of DNA barcoding is quite straightforward. The technique proposes to make accurate and rapid species diagnoses through leveraging easily obtained genetic variation seen in short molecular DNA gene regions collected from unknown specimens of interest.

In animals, DNA barcoding specifically employs a *c.* 650 bp fragment taken from the 5' end of the cytochrome *c* oxidase subunit I (COI) gene, which is highly abundant and found in the mitochondria of all animal species. Within the discipline of biodiversity science, DNA barcodes have been employed to tease out potential cryptic species complexes. Cryptic species comprise those taxa which are morphologically indistinguishable from all other such species. As a result, they are erroneously lumped under a single binomial name by taxonomic experts. Further, while DNA barcoding's primary goal is to facilitate the acceleration of specimen identification and species discovery, a number of uses and applications outside of biodiversity science have been brought forth. In particular, governmental regulatory bodies worldwide such as the Canadian Food Inspection Agency and Agriculture and Agri-Food Canada to name a few have harnessed the true power DNA barcoding has to offer in the combatting of systemic seafood fraud (*e.g.*, Shehata *et al.* [174], Shehata *et al.* [176]), as well as in the monitoring of the impacts and spread of invasive species on natural ecosystems (*e.g.*, Madden *et al.* [124]).

Robust estimation of adequate specimen sample sizes for DNA-based species identification of animal taxa through DNA barcoding is central to timely biodiversity conservation and management. However, this problem is fraught with myriad challenges including species rarity and project costs [22, 182]. Further, because species show remarkable genomic marker variation and rates of molecular evolution within and among taxa, along with differing evolutionary and life histories, knowing how many specimens of a given species likely need to be collected to observe the majority of existing genetic

diversity present within animal species of interest to biodiversity researchers and regulatory scientists is a difficult question to answer. While practical sample sizes for DNA barcoding typically range from 5-10 specimens per species [214], anywhere from a single individual to hundreds of specimens may be targeted depending on the study [79, 126, 214]. Unfortunately, little work has been done to determine optimal sampling depths in a statistically rigorous manner.

The majority of studies conducted to date on estimating sample sizes for DNA barcoding have employed sophisticated parametric statistical models having strong underlying assumptions. Unfortunately, the success of this approach is highly dependent on the taxa and molecular genetic loci being considered. This warrants the introduction of more general, user-friendly approaches applicable to wide-ranging taxonomic groups and molecular marker genes.

1.2 Thesis Overview

This thesis outlines a novel statistical framework for assessment of COI DNA barcode haplotype sampling completeness.

In Chapter 2, existing literature on sample size determination for DNA barcoding is first reviewed. Here, evidence points to a large knowledge gap in statistical and computational methods currently available for this task. Specifically, too much focus has been placed on inflexible parametric models rather than generalized flexible ones. Further this work finds that efforts have been improperly delegated to sampling as many species as possible,

rather than maximizing the number of specimens collected. A case study on ray-finned fishes retrieved from the Barcode of Life Data Systems (BOLD) [164] clearly highlights this shortcoming, along with the need to develop approaches which incorporate more species-level information.

Chapter 3 builds on fundamental concepts of evolutionary biology and statistics introduced and outlined in Chapter 2 through detailing a novel nonparametric stochastic (Monte Carlo) local search optimization algorithm in the R statistical programming language to better address the need for improved sampling strategies for DNA barcoding initiatives. The method, called HACS_{im} (short for **Haplotype Accumulation Curve Simulator**), available as an R package for global use, employs easily obtainable genomic information from a sample of previously-assembled species-specific DNA sequence alignments. The method is tested on a variety of hypothetical and real species mined from BOLD. Specifically, the method employs iteration and randomness to extrapolate species' haplotype accumulation curves toward an asymptote to assess where such curves may level off. The approach is found to work well for a number of relevant species, consistently suggesting that hundreds to thousands of specimens are actually needed to be randomly sampled across their geographic and ecologic ranges to be confident that much species-level genomic variation has been sufficiently captured.

Chapter 4 extends elements discussed in Chapter 3 through delving further into the usability and applicability of HACS_{im} via a detailed statistical simulation study to assess both the validity and overall performance of HACS_{im} and its utility for assessing

intraspecific sampling completeness within DNA barcoding studies for a variety of species taken from BOLD. HACSim is demonstrated to possess good statistical properties, including high consistency between successive algorithm runs for desired capture of intraspecific haplotype variation.

Finally, in Chapter 5, it is argued that DNA barcoding is currently lacking in statistical rigor and that better statistical methods are necessary to more accurately assess standing genetic variation at the species level when it comes to estimating the DNA barcode gap. The use of HACSim is suggested to address the problem of improper allocation of specimen sampling effort. Kernel density estimation plots, along with quadrant plots, are advocated for in place of traditional histograms to more easily detect outlier and problematic taxa that reflect potential failures of DNA barcoding. Hypothesis testing, in addition to nonparametric bootstrapping are recommended to place DNA barcoding and barcode gap analyses on firmer statistical ground through estimation of confidence intervals of intraspecific and interspecific genetic distances. All proposed approaches are illustrated through a case study focusing on Pacific fishes of Canada [185].

1.3 Thesis Statement

Through the development of a novel stochastic simulation algorithm for the generation of haplotype accumulation curves, the current research will provide a framework that can be employed to determine plausible specimen sample sizes sufficient to quantify levels of haplotypic sampling completeness within species. The proposed method detailed herein is

assessed under both uniform and non-uniform haplotype frequency distributions for wide variety of animal taxa, particularly those of conservation and regulatory concern. Such a framework will be valuable in promoting a greater degree of statistical thoroughness in future DNA barcoding studies.

1.4 Statement of Contributions

All chapters presented in this thesis are original and were the sole effort of JDP, including review of the primary literature, conceptualization of ideas, implementation of code, design of experiments and writing of individual manuscripts. All other coauthors either assisted directly with writing of code and/or running of experiments or participated in the editing of final manuscript versions.

The following articles are published, under review or in preparation

- Phillips, J.D., Gillis, D.J. and Hanner, R.H. (2019). Incomplete estimates of genetic diversity within species: Implications for DNA barcoding. *Ecology and Evolution*, **9**(5): 2996-3010.

Here, existing literature on methods to estimate sample sizes for DNA barcoding is reviewed. It is found that a significant knowledge gap exists in available computational and statistical methods to accurately determine adequate levels of sampling depth for genetic diversity assessment at the species level. Determining the amount of collection effort needed to be confident that the majority of species haplotype diversity has been captured is not an easy task. Practical sample sizes

range from 5-10 individuals per species but recent work has criticized these arbitrary values. Due to species rarity, often only 1-2 specimens can reasonably be collected. Knowledge from a variety of fields in biodiversity science, ecology and evolutionary biology needs to be integrated to address this question sufficiently. Findings highlight that efforts to date have been too focused on sampling as many species as possible, given factors such as project budget. Instead, specimen collection should be based on targeting an optimal number of specimens per species. Reliable estimation of specimen sample size is key for development of robust species-specific primers and probes necessary for accurate specimen identification for example. A case study on DNA barcoding of ray-finned fishes [156] is then used to illustrate the need for new methods that incorporate more genomic information.

- Phillips, J.D., French, S.H., Hanner, R.H. and Gillis, D.J. (2020). HACSim: An R package to estimate intraspecific sample sizes for genetic diversity assessment using haplotype accumulation curves. *PeerJ Computer Science*, **6**(192): 1-37.

Here, a novel statistical method called HACSim (Haplotype Accumulation Curve Simulator) to estimate specimen sample sizes for DNA barcoding based on saturation levels in species haplotype accumulation curves is presented. The method is a nonparametric stochastic local search optimization algorithm that uses Monte Carlo sampling. HACSim can be employed to estimate likely required sample sizes to capture, for example, 95% of all existing haplotype variation that might exist for a species of interest. Unlike previously proposed approaches, which take into account

little biological information on the species under study, in addition to imposing strong statistical parametric assumptions, the new method employs species-level information that is easily retrievable from DNA sequence alignments, in particular, the distribution of species haplotypes. In addition to hypothetical taxa, HACS_{im}'s use is illustrated on DNA barcode sequence data mined from BOLD for a variety of animal taxa of medical, forensic/regulatory, conservation and socioeconomic importance (fishes, insects, arachnids). Findings of this work were not surprising. HACS_{im} revealed little evidence of asymptotic behaviour in generated accumulation curves based on sampling between 171-349 individuals per species. According to the model, only 73.8-82.6% of total genetic diversity has likely been uncovered for the species examined thus far. HACS_{im} predicts that much larger sample sizes (often hundreds to thousands of collected specimens) will be needed to reliably probe genetic diversity at the species level. This is evidenced from sample sizes ranging from 414-803 specimens per species being found by HACS_{im} for species examined. HACS_{im} is available as an R package for global use by the molecular biodiversity community-at-large.

- Phillips, J.D., Bootsma, S.E., Hanner, R.H. and Gillis, D.J. (*In preparation*). Solving the genetic specimen sample size problem for DNA barcoding with a local search optimization algorithm.

Herein, an in-depth statistical simulation study is undertaken to assess the overall performance of HACS_{im} to reliably estimate sample sizes necessary for genetic

diversity assessment within species. At present, HACSim produces a single realized estimate of the “true” specimen sampling sufficiency (referred to as θ) for a species of interest; however, given the stochastic nature of the algorithm, carrying out multiple independent runs is necessary. Algorithm performance is tested on a wide range of species, both real and hypothetical, of broad interest to biodiversity researchers and regulatory scientists. Based on running HACSim 100 times using both default and altered levels of desired haplotype recovery ($p = 80\%, 90\%$ and 95%) at population sizes of 1000, 10000, 100000 and 10 million, it is shown that HACSim produces reasonable estimates of likely required sample sizes sufficient to capture set levels of haplotype diversity. This work opens up a number of avenues for future work, including further improving computational performance of HACSim, as well as incorporating more realistic biological scenarios, such as population structure, into simulations.

- Phillips, J.D., Gillis, D.J. and Hanner, R.H. (*In preparation*). Lack of statistical rigor in DNA barcoding likely invalidates the presence of a true species’ barcode gap.

Here, a case is made for a lack of statistical rigor in DNA barcoding. Simple statistical approaches to the analysis of DNA barcode data as it pertains to estimation of the barcode gap is presented, with a particular focus on animal taxa of regulatory, forensic as well as broad socioeconomic and conservation importance. Arguments revolve around three broad areas: (1) the improper allocation of specimen sampling efforts required to assess standing levels of taxon genetic diversity, (2) the failure

of properly visualizing both intraspecific and interspecific genetic distances, and (3) the inconsistent, inappropriate use or absence of statistical inferential procedures in DNA barcoding gap analyses. Recommended remedies presented herein are based strongly on established statistical theory and are easily applied in practice by the nonstatistician. A case study on the DNA barcoding of Canadian Pacific fishes [185] is employed to highlight these three key shortcomings.

1.5 Territorial Acknowledgement

The Dish With One Spoon Covenant speaks to our collective responsibility to steward and sustain the land and environment in which we live and work, so that all peoples, present and future, may benefit from the sustenance it provides. As we continue to strive to strengthen our relationships with and continue to learn from our Indigenous neighbours, we recognize the partnerships and knowledge that have guided the research conducted in our labs. We acknowledge that the University of Guelph resides in the ancestral and treaty lands of several Indigenous peoples, including the Attawandaron people and the Mississaugas of the Credit, and we recognize and honour our Anishinaabe, Haudenosaunee, and Métis neighbours. We acknowledge that the work presented here has occurred on their traditional lands so that we might work to build lasting partnerships that respect, honour, and value the culture, traditions, and wisdom of those who have lived here since time immemorial.

Chapter 2

Incomplete estimates of genetic diversity within species: Implications for DNA barcoding

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An extended version of this chapter is published in *Ecology and Evolution*

(Phillips *et al.* [154])

2.1 Prologue

At the time of publishing this work, little progress had been made in collating past studies on computational and statistical methods to estimate sample sizes for DNA barcoding and other closely-related DNA-based identification techniques. This study primarily touches on many important considerations of relevance to DNA barcoding of animal species in particular and aptly illustrates that full characterization of species genetic diversity is no easy feat. Most DNA barcoding studies published thus far have employed anywhere from 5-10 specimens per species to address research questions and objectives. However, a handful of studies point to the need for much larger specimen sample sizes, up to hundreds to thousands, required to adequately probe standing levels of intraspecific haplotype variation.

This work offers researchers a broad but focused overview of the challenges behind DNA barcoding. Importantly, in addition to striving to obtain much larger sample sizes than are currently in place, taxon sampling should be carried out across wide geographic regions whenever possible, subject only to factors such as budgetary and funding constraints. Broad geographic coverage of samples enables accurate and reliable downstream specimen identifications accomplished using well-populated barcode reference sequence libraries such as BOLD. To better aid in achieving this goal, the chapter closes with a short outline of traits future methods should seek to incorporate within their implementations.

ABSTRACT

DNA barcoding has greatly accelerated the pace of specimen identification to the species level, as well as species delineation. Whereas the application of DNA barcoding to the matching of unknown specimens to known species is straightforward, its use for species delineation is more controversial, as species discovery hinges critically on present levels of haplotype diversity, as well as patterning of standing genetic variation that exists within and between species. Typical sample sizes for molecular biodiversity assessment using DNA barcodes range from 5-10 individuals per species. However, required levels that are necessary to fully gauge haplotype variation at the species level are presumed to be strongly taxon-specific. Importantly, little attention has been paid to determining appropriate specimen sample sizes that are necessary to reveal the majority of intraspecific haplotype variation within any one species.

In this chapter, we present a brief outline of the current literature and methods on intraspecific sample size estimation for the assessment of COI DNA barcode haplotype sampling completeness. The importance of adequate sample sizes for studies of molecular biodiversity is stressed, with application to a variety of metazoan taxa, through reviewing foundational statistical and population genetic models, with specific application to ray-finned fishes (Chordata: Actinopterygii). Finally, promising avenues for further research in this area are highlighted.

2.2 Introduction

One of the most fundamental problems underpinning much of modern molecular biodiversity research is the issue of determining optimal levels of sampling effort that are required to adequately characterize biological sequence variation at the species level. Molecular genetic studies of biodiversity that utilize mitochondrial DNA (mtDNA) marker variation for the purpose of characterizing existing species genetic diversity are particularly sensitive to sample sizes. Four fundamental evolutionary forces act to alter the genetic composition of species populations: migration/gene flow, mutation, natural selection and random genetic drift. The effect of genetic drift on species populations is most evident when population sizes are small, as in the case of a recent bottleneck or founder event, resulting in the rapid loss of genetic diversity. Species differ in both their evolutionary histories and in their geographic distributions; therefore, the question of accurately determining how many samples to include to observe a wide range of species genetic variation has been an ongoing area of interest and research. This is an important question deserving of more attention. Accurate determination of within-species (intraspecific) sample sizes for mtDNA diversity estimation permits detailed analyses to be undertaken at the phylogenetic and phylogeographic levels to infer key biological processes such as isolation, dispersal and speciation [8, 52, 69]. Aside from addressing purely biological questions, the issue of determining optimal sampling strategies and sample sizes for genetic variation assessment at the species level also manifests at applied socioeconomic scales, particularly in the detection of food or natural health product fraud and in the monitoring

of aquatic and terrestrial ecosystems [99].

Within the field of biodiversity science, researchers have long recognized the importance of sampling design to achieve a study's objectives. According to Lindblom [116], well-developed sampling designs within the field of molecular biodiversity science should be formulated around three basic areas: research study questions, research study aims and taxonomic focus. In addition to these three areas, Costa *et al.* [39] point to further considerations: planning the number and geographical distribution of specimens to be sampled, the category and number of genetic loci to be examined, and the spatial distribution and number of individuals to be sampled within each species' population. While there is a lack of clear sampling guidelines currently in place for optimal spatio-temporal assessment of species populations, Pante *et al.* [146] argue that such schemes should be guided by adequate coverage of both the putative geographic/ecologic range of the species under study, as well as potentially closely related species over their entire range. Given that much of species spatio-temporal metadata is not reported alongside genetic data, such assessments become problematic unless community standards and practices are improved [81, 137, 189]. Where this becomes particularly important is in the development and design of species-specific real-time Polymerase Chain Reaction (qPCR) primers and probes, for integration within environmental DNA (eDNA) assays for instance. This is especially the case if such tools are to be continuously implemented within regulatory or forensic settings such as the Canadian Food Inspection Agency (CFIA) [176] and the United States Food and Drug Administration (USFDA), as the success of such

methods depends greatly on the extent of geographic coverage of species genetic diversity.

The overall goal of sampling is to make inferences concerning a population of interest based only on information contained within finite samples drawn from the larger population. This is done through estimating population parameters such as the population mean (μ) using the sample mean (\bar{x}). One example, relevant to molecular population genetics, is the calculation of average pairwise distances based on Nei's estimator of nucleotide diversity (π) [140]. Under the Frequentist statistical paradigm, the minimum sample size that is required to estimate a population mean, from a Normal distribution, is given by [2]

$$n \geq \left(\frac{z_{\alpha/2}\sigma}{d} \right)^2 \quad (2.1)$$

where $z_{\alpha/2}$ is the appropriate critical value to estimate μ with a level of significance of $1-\alpha$, σ^2 is the population variance and d is the desired margin of error. From the above equation, the required minimum sample size is controlled by the experimenter through the margin of error. A smaller margin of error results in a larger value of n . Similarly, predicting n with a higher level of accuracy can be achieved through narrowing d . Sample sizes that are computed from the above equation serve as a baseline requirement prior to conducting any quantitative study of interest. Depending on the sampling scheme, for instance stratified sampling, other formulas exist for the appropriate calculation of necessary sample sizes.

In determining the most appropriate sample size required for a particular study, a crude rule of thumb that is often used in statistics and other scientific disciplines pertains to the

use of a sample size of at least $n = 30$ when making comparisons among study groups or when deciding to use probabilities derived from the Standard Normal distribution [34]. Unfortunately, adequate sample sizes, while widely viewed as being central to a given biodiversity research study, are often neglected in practice [115]. In such cases, this may be due to, for example, costs associated with or resources required for adequate specimen collection [22, 94, 134].

Statistical power analysis can be employed to help shed light on sample sizes required to detect a given effect prior to carrying out a scientific study. Power, which is defined as the complement of the Type II error rate (β), depends on four factors: effect size (ES), significance level/Type I error rate (α), sample size (n) and population standard deviation (σ) through the proportionality [50]

$$(1 - \beta) \propto \frac{\text{ES} \times \alpha \times \sqrt{n}}{\sigma}. \quad (2.2)$$

Effect size is the difference between an observed quantity and one hypothesized under a null distribution. Larger deviations lead to greater power to detect real effects. It is easily seen from the above proportionality that larger values of effect size, significance level and sample size all generate higher levels of statistical power; whereas, increasing population standard deviation results in loss of power. Together with the sample size equation discussed previously (Equation 1), many factors are at play in determining the most appropriate sample size needed for a given study.

Any sampling scheme that is carried out will be subject to systematic error. Sampling

(ascertainment) bias is an important factor to consider in this regard because it can lead to under- or overestimation of population parameters. Ascertainment bias describes the tendency of certain individuals to be less likely sampled than others [150] and is common in molecular biodiversity studies (*e.g.*, [82, 134, 135, 203]). This can occur, for example, when sampling is restricted to certain geographic regions [134] or to particular species (*e.g.*, those known to be of conservation importance) [82]. Sampling bias can be minimized through increasing the geographic breadth of a study, in addition to targeting representative taxa with large specimen sample sizes.

The present review briefly examines current approaches for species genetic variation assessment as it relates to the estimation of intraspecific sample sizes for DNA barcoding. Specifically, the focus will be on COI DNA barcode haplotype sampling completeness. Few studies have focused on DNA barcode sample size prediction for wide-ranging taxa in this regard. Here, methods of haplotype variation assessment are first covered. This is then followed by an examination of existing studies, with particular consideration of important findings to date within the literature. Finally, promising new avenues for further research are explored.

2.3 Current Methods

2.3.1 Methods to Assess Haplotype Variation Haplotype Diversity

Genetic diversity is manifested within species in several ways. One way is through haplotype variation. While there are many different definitions of what constitutes a

haplotype, in the broadest sense, a haplotype is a unique DNA sequence that differs from others at one or more basepair positions within and between species. Nei's [139] haplotype diversity (h), which is a widely-used approach to measuring genetic variation within species populations, is given by the equation

$$h = \frac{n}{n-1} \left(1 - \sum_i p_i^2 \right). \quad (2.3)$$

where p_i is the (normalized) frequency of the i^{th} haplotype in the sample. Two interpretations of h are that it expresses the probability of observing a previously unseen haplotype upon sampling a new individual [199] or that it represents the probability that two haplotypes, selected at random from a sample of n DNA sequences, are distinct [72]. Haplotype diversity can also be quantified using the absolute number of haplotypes (H). Both h and H are greatly affected by levels of sampling intensity within species. In particular, undersampling can cause these measures to become under- or overestimated [72]. Several other approaches are in wide use to aid researchers in assessing levels of standing genetic variation existing within species populations. Two of these are haplotype networks and haplotype accumulation curves.

Haplotype Networks

A widely-used approach to assessing levels of genetic variation within and between species is through the construction of haplotype networks [193]. Haplotype networks accurately represent differences existing among sampled haplotypes through grouping

identical DNA sequences within the same vertex. The size of a given vertex is proportional to the number of DNA sequences it contains. Divergent haplotypes are connected via edges that display the number of mutational differences separating adjacent vertices.

Haplotype networks are appealing because they can be used to infer potential cryptic diversity within a taxon or interspecific hybridization between allopatric (*i.e.*, reproductively-isolated) species, but interpretation can sometimes become difficult when multiple species cluster together into one or multiple nodes or subnetworks [83, 85, 205] or when ambiguous/missing nucleotide data are present within DNA sequences (*e.g.*, Ns or gaps (-)) [102]. While haplotype networks cannot give a direct indication of the level of sampling completeness for a given species, the presence of numerous rare haplotypes suggests gross undersampling of intraspecific genetic variation (or alternatively PCR/sequencing error).

Haplotype Accumulation Curves

Assessing the completeness of intraspecific haplotype sampling can be carried out through generating haplotype accumulation curves. Such curves are analogous to rarefaction curves used in studies of species richness [73] and depict the degree of asymptotic behaviour as a function of both the number of specimens sampled and the cumulative mean number of haplotypes accumulated. Initially, accumulation curves will increase very rapidly since many new haplotypes will be captured for a given species with minimal sampling effort, but haplotype recovery slows drastically as sampling depth is increased because many haplotypes that are found will have already been observed

previously. Thus, species curves showing rapid saturation strongly suggest that the majority of haplotype diversity has been uncovered; whereas, those curves displaying little to no evidence of reaching an asymptote indicate that further sampling is required [214]. Deciding whether a species should be further sampled can be deduced from the magnitude of the slopes calculated using a fixed number of points occurring on the end of the curve (e.g., ten in the case of [156, 209]). Slopes near or below a predefined threshold, for example, 0.01 (*i.e.*, equivalent to observing one new haplotype for every 100 DNA sequences), suggest that additional sampling is unlikely to reveal any new haplotypes; whereas, those species curves with slopes above 0.1 (*i.e.*, observing one new haplotype for every 10 DNA sequences) strongly indicate that further sampling is necessary [94].

One obvious problem that arises in the use of haplotype accumulation curves to gauge species genetic diversity and levels of sampling effort, however, is the fact that the functional form of such curves is not known and can differ widely across taxa [156]. Furthermore, deciding on appropriate curve slope thresholds necessary for adequate sampling coverage are largely arbitrary [94]. While various parametric model curve-fitting approaches, such as the power, negative exponential and Michaelis-Menten functions, have been heavily employed and debated in the literature to model species-area relationships [45, 195] or species richness, no single approach yet exists that can be readily applied to determine sample sizes that are likely required for intraspecific genetic variation assessment.

A second, lesser-investigated issue, relates to the fact that haplotype accumulation

curves are not spatially-explicit. Thus, it becomes difficult to account for correlations that may exist at the subpopulation or higher taxonomic levels. This has been noted in past studies of species richness employing species accumulation and rarefaction curves (*e.g.*, [14, 31, 194]).

2.3.2 Sampling Models for Genetic Diversity Prediction

In addition to qualitative approaches to assessing standing genetic variation within species, a number of quantitative models to estimate required sample sizes for overall genetic diversity assessment have been proposed. These include Frequentist, Bayesian and coalescent models.

Holt *et al.* [93] reviewed several Frequentist and Bayesian statistical methods of sample size determination for intraspecific haplotype diversity assessment that are most informative over large geographic ranges. The authors note that a lower bound on the probability of sampling a dominant haplotype in a sample of size n with significance level α is given by the inequality

$$p \geq \sqrt[n]{\alpha}. \quad (2.4)$$

Grewe *et al.* [74] employed a binomial sampling model to determine the minimum sample size required to assess mtDNA variation in Lake Ontario lake trout (*Salvelinus namaycush*) stocks according to the equation

$$n = \frac{\ln(1 - \beta)}{\ln(1 - p)} \quad (2.5)$$

where p is the frequency of a given haplotype and β is the desired confidence level. The authors found that $n = 60$ individuals are likely needed to be randomly sampled to observe a single haplotype having a frequency of at least $p = 5\%$ with $\beta = 95\%$ confidence. It is worth noting that this figure increases to $c.$ 460 individuals for a haplotype occurring at frequency of 1% with 99% confidence [74]. This marked increase in sample size is not surprising given that one would need to sample many more individuals to be certain that the majority of rare haplotypes have been uncovered. It is important to note, however, that Grewe *et al.* [74] sampled individuals from six different and highly divergent trout strains (*i.e.*.. local populations), each displaying high degrees of population substructure. Population subdivision likely will have an effect on the estimation of required sample sizes needed to gauge levels of standing genetic variation at the species level.

Similar magnitudes of sample sizes were found by Austerlitz *et al.* [7], who employed coalescent theory [107], to determine the probability of adequately sampling all genetic variation of a species with sample size n . Coalescent theory attempts to trace the lineage of an ancestral allele (termed the Most Recent Common Ancestor, MRCA) backwards in time within a gene genealogy. Under a geometric distribution, this probability is given by the equation [7]

$$p = \frac{n - 1}{n + 1}. \quad (2.6)$$

From the above equation, only $n = 39$ individuals are required to be sampled at random to observe $p = 95\%$ of all genetic diversity for a species. It should be noted however that even with increasing sample sizes, one's confidence in having sampled all of a species genetic diversity approaches closely, but never actually reaches, 100% [7]. This is illustrated by the finding that the required sample size increases to $n = 1999$ individuals necessary to observe $p = 99.9\%$ of the total genetic diversity that exists for a given species using Equation (2.6). This can be explained by the fact that individual haplotypes for a given species become much more difficult to recover as the intensity of specimen sampling is increased because intraspecific genetic variation is expected to increase as a result. The coalescent, as a large-scale sampling model, has found wide application in DNA-based approaches to species identification and delimitation, most notably DNA barcoding [95].

2.3.3 The Importance of Sampling to DNA Barcoding

DNA barcoding works in practice because interspecific (between-species) variation is usually much greater than intraspecific (within-species) divergence [129, 188]. While this observed ‘barcoding gap’ [129] is a necessary criterion for successful taxonomic resolution using distance-based methods, it may not be a sufficient one for other molecular approaches (*e.g.*, those employing tree- or character-based techniques). Cases are well documented where considerable overlap/separation between (maximum) intraspecific variation and (minimum) interspecific divergence exists [90, 95]. Undersampling can greatly exaggerate the existence of the barcode gap. The inclusion of small sample sizes over large geographic ranges has the effect of obscuring existing mitochondrial sequence diversity

at the species level since the finding of divergent haplotypes may be the result of poorly sampled panmictic (*i.e.*, randomly-mating) intraspecific variation [32]. Compared to regional scales, with increasing sampling effort across wider spatial scales, intraspecific variation is expected to increase whereas interspecific divergence will decrease in effect since more closely-related species will tend to be found due to allopatric speciation being a dominant mode of diversification [12, 152].

How much variation is actually needed to separate species is not known with certainty because intraspecific sampling has generally been limited to narrow geographic locales. Hebert *et al.* [87] proposed that barcode sequences exhibiting at least 2% nucleotide divergence should be designated as being from distinct species. Intraspecific distances larger than 2% suggest the presence of cryptic species, whereas those smaller than 2% is evidence for evolutionarily young species with a recent origin (*i.e.*, retention of ancestral polymorphisms due to incomplete lineage sorting), hybridization/introgression or inadequate taxonomy (*e.g.*, cryptic species or species synonymy) [95]. In BOLD, query sequences are matched to reference barcodes based on a genetic distance heuristic of 1% [164]. The use of such threshold estimates for species separation is arbitrary and is often applied to a wide variety of taxa, regardless of species life histories. A later estimate of ten times the mean intraspecific distance (the so-called ‘10× rule’) was given by Hebert *et al.* [90]. Unlike the previously suggested estimate of 2% sequence divergence, the 10× rule makes use of all available taxon sequences within a dataset to calculate an appropriate limit for species separation. Despite this, the 10× rule has been met with criticism: Collins

and Cruickshank [37] suggest consideration of the maximum intraspecific distance and the minimum interspecific divergence (*i.e.*, nearest neighbour distance) for each species under investigation. The use of lower generic thresholds for species discovery may falsely inflate existing genetic diversity, whereas the adoption of higher cutoffs would likely be too conservative for reliable detection of cryptic species [6]. It is well understood however that the most appropriate cutoff necessary to accurately diagnose species on the basis of sequence variation is strongly taxon-dependent [89, 92, 129] and will become more precise with increased sampling effort.

DNA barcoding has its roots in the historic disciplines of Darwinian evolutionary theory, population genetics and phylogenetics: the coalescent is a modern interpretation that reconciles these domains [167]. While genetic distance-based approaches to species delineation are commonplace within barcoding studies because they scale well to large taxon datasets, early-proposed arbitrary separation methods like the 2% or 10× rule completely ignore evolutionary relationships that exist among closely-related species. Objective tools for the delineation of species are well known and generally fall into three overlapping categories: phylogenetic, coalescent, and phylogenetic-coalescent [95]. The well-known neighbour-joining clustering method was advocated for in the early barcoding literature as a means of confirming the presence of reciprocal monophyly across sampled taxa. More recently, novel bioinformatic algorithms, most notably distance-based approaches such as Automatic Barcode Gap Discovery (ABGD; [161]) and tree-based methods including variants of the Generalized Mixed Yule Coalescent (GMYC; [132, 158])

have been put forth to facilitate species separation, an otherwise daunting task for even the most highly-skilled and knowledgeable taxonomist. ABGD is a nonparametric technique of partitioning species on the basis of the barcode gap using DNA sequences. On the other hand, GMYC is a likelihood-based method that relies on the premise that bifurcation (*i.e.*, fully-resolved branching) within ultrametric species trees is indicative of speciation/diversification events, and therefore suggests the presence of undescribed taxa. A key factor in the success of such methods is sample size, and few groups have been so extensively inventoried [95]. For example, GMYC is especially prone to the under- or overestimation of putative species, which can be magnified due to differences in effective population sizes as well as historical versus contemporaneous patterns of migration/gene flow among subpopulations [119, 147]. Thus, sufficient sampling is paramount. Often, researchers would like to know whether all unique haplotypes within a lineage or deme have been adequately sampled; unfortunately, this is complicated by the fact that the majority of species are both geographically-widespread and rare. As a result, given that ascertainment and operational biases are inevitable [135], an extensive sampling of all local populations that comprise a given species is unrealistic, even under the best situations (*e.g.*, strong research budget, easy access to sampling locations). Thus, whenever possible, a more comprehensive sampling of study sites is required in order avoid false positives/negatives and to reveal divergent haplotypes that may have been missed with spatially-narrower sampling routines [132]. Incorporation of coalescent and population genetics theory can aid in informing researchers on broad macro-level processes that may be at play in shaping

trends seen within haplotype accumulation curves on the basis of extant patterns of intraspecific genetic diversity.

The Barcode Index Number framework for animals, first introduced by Ratnasingham and Hebert [165], represents a novel approach to addressing the issue of sample sizes necessary for barcoding initiatives. The BIN system partitions COI barcodes into distinct Operational Taxonomic Units (OTUs) on the basis of the REfined Single Linkage (RESL) clustering algorithm and Markov clustering [165]. BINs comprise high-quality sequences linked to BARCODE compliant records. The BARCODE standard currently in place stipulates that only barcode sequences with read lengths of at least 500 bp and containing less than 1% ambiguous nucleotides are designated unique BIN clusters [81]. While BINs generally show high concordance with actual biological species, they can be further employed to gauge instances of suspected cryptic species diversity, especially in the cases where intraspecific distances are not clearcut. Species that fall into two separate BINs (termed a SPLIT) is evidence that they are being overlumped. Further, the occurrence of rare BINs (*i.e.* those represented by a single specimen) may be the result of limited sampling [86, 98]. Stand-alone BINs may also reflect sequencing errors in the form of very low-frequency (VLF) variants or cryptic pseudogenes [187, 188]. Increased sampling coverage can be beneficial in such instances, as true biological variation is less likely to be misidentified as artificial biological variation and unintentionally flagged as potential VLFs.

2.4 Key Findings

2.4.1 DNA Barcoding and Sample Size: Past Studies

The ability of DNA barcodes to uncover levels of standing genetic variation within species is strongly influenced by the scale of specimen sampling, which has been recognized as a major barrier to the success of DNA barcoding since its early days [90, 129, 198]. In spite of this, global barcoding efforts have only been partially successful in capturing the full extent of COI barcode variation in animals due to the majority of studies forgoing deep taxon sampling in favour of maximizing the number of different taxa sampled [126, 214]. Sample sizes of a few individuals per species (typically in the range of 5-10, but one or two specimens is not uncommon since these are often the only representatives available). This could be either due to unclear species boundaries or limited geographic sampling of intraspecific variation, Such sample sizes and explanations are widespread in barcoding studies [79, 126, 214]. Recommended sample sizes currently in place are by no means sufficient since species abundance is often skewed geographically/ecologically. For example, five specimens per species per FAO (Food and Agriculture Organization) region was initially suggested by the Fish Barcode of Life (FISHBOL; [197]) initiative, but the sampling of up to 25 individuals or more may be necessary for some species exhibiting widespread distribution patterns [10, 184]. Similarly, in assessing haplotype and nucleotide COI variation across wide-ranging animal taxa, Goodall-Copestake *et al.* [72] note that a sample size of five individuals per species population was adequate to differentiate between extremes of h , but as many as 25

specimens would need to be collected to achieve maximum accuracy. Jin *et al.* [101], and Matz and Nielsen [126] both point to a sample size of 12 specimens, whereas Ross *et al.* [169] suggest that sampling five or more reference barcodes is sufficient for accurate species identification. Bias toward low sample sizes observed for most species may be the result of many factors (see Bucklin *et al.* [20] for a concise summary in marine metazoa), including the presence of cryptic diversity, amplification of non-functional gene copies (*i.e.*, pseudogenes/nuclear-mitochondrial inserts (NUMTs)), contamination by foreign DNA from other species (*e.g.*, bacterial symbionts such as *Wolbachia*), insertion-deletion (indel) mutations, or errors arising from PCR/sequencing runs [72]. Molecular diagnosis of specimens to the species level using DNA barcoding is not definitive; numerous technical sources of error exist that can hamper the ability of reliable taxon assignment, in particular, misidentifications, sequencing errors and lack of taxonomic metadata (*e.g.*, inclusion of GPS coordinates, record linkage to a voucher specimen). While such factors are likely to occur infrequently for interspecific barcodes, this is not the case for intraspecific datasets. Taken together, biases in sample sizes will likely be considerable. In certain cases, the occurrence of biological phenomena can lead to problems encountered later on in the lab, specifically during the sequence amplification stage using PCR. A well-known example of this is the symbiotic association of the bacterium *Wolbachia* with insects. Integration of *Wolbachia* within host genomes of various Hymenoptera, Diptera and Lepidoptera can cause fluctuations in intraspecific distances [177] and thus, observed haplotype diversity between infected and uninfected hosts [28]. Misamplification of host sequences for

bacterial symbionts is widely encountered, as is the amplification of pseudogenes/NUMTs.

Technical sources of error such as expert taxonomic misidentifications, sequence contamination, as well as errors arising from the amplification/sequencing process can be controlled, and can be minimized to a degree. Two critical steps in avoiding such issues are: (1) the construction of an NJ tree to pinpoint potentially misidentified specimens and/or sequence contaminants (as opposed to solely being used in the establishment of reciprocal monophyly, as argued by Collins and Cruickshank [37]) and (2) the careful inspection of BOLD specimen trace files to resolve noisy sequence regions that inflate estimates of standing genetic variation through the introduction of functional (heteroplasmic) sequence variation (as in *e.g.*, Hebert *et al.* [88]) and/or nonexistent low-frequency species haplotypes occurring in high abundance [187]. The effect of these on generated haplotype accumulation curves is delayed saturation to an asymptote due to larger required sample sizes. Combined with initially large numbers of specimens within intraspecific data sets (*e.g.*, $N > 100$), this effect can be quite substantial. As BOLD is ever-evolving, in part due to the sheer volume of DNA barcode sequences being added on a daily basis, it is crucial that suspected errors within taxon records be dealt with in a timely manner (*e.g.*, through community users flagging problematic records for closer examination by submitters), so that sequence integrity is not compromised. While the issue of determining adequate sample sizes for molecular species diagnosis has largely been aimed at animal taxa, Liu *et al.* [118] explored optimal sample sizes needed for plant DNA barcoding. It was found that relatively small sample sizes were adequate to recover sequence variation in

slowly evolving genes (2 or 3 sequences per species population for matK); whereas, higher numbers are necessary for rapidly evolving markers (minimum of 10, 8 and 6 individuals per population for trnH-psbA, trnL-trnF and ITS respectively) [118]. Further, the authors found that a sample size of 8-10 individuals per species across the entire geographic range appears sufficient for *Taxus* barcoding. Unfortunately, such small sample sizes, likely the result of low information content due to the high presence of sequence artifacts (*e.g.*, indels within mitochondrial/plastid markers), often lack discriminatory power that is needed for accurate identification of specimens on the basis of genetic polymorphism with DNA barcodes.

To date, few studies explicitly exploring simulated sample sizes for DNA barcoding in wide ranging animal taxa have been conducted. One of the first studies to examine the issue of sample sizes for DNA barcoding via haplotype accumulation curves was conducted by Zhang *et al.* [214] using a modified form of the Michaelis-Menten equation. Using this method, the authors found that the random sampling of 250-1188 individuals from the Costa Rican skipper butterfly (*Astraptes fulgerator*) cryptic species complex are likely needed to detect 95% of all genetic diversity for this species based on an initial sample size of 407 individuals. Conversely, the same authors found that 156-1985 specimens were needed to retrieve 95% of COI variation using simulated island [206] and stepping-stone [106] coalescent models across three distinct subpopulations and under varying effective population sizes. In addition, a sample size outlier of only 47 individuals was found for one subpopulation of *A. fulgerator* butterflies. The authors note that this may be due

to the low level of genetic variation observed in this population: only two haplotypes were observed across 14 sampled individuals. In contrast, a later study on European diving beetles undertaken by Bergsten *et al.* [12] found that based on 419 sampled *Agabus bipustulatus* specimens, a sample size of 250 specimens was required to be randomly sampled across its range to achieve 95% haplotype recovery. On the other hand, 70 individuals of the same species was necessary to be sampled to recover 95% of COI variation when geographic dispersion between a new sample and the closest previous sample was maximized using resampling simulation.

Not all studies find evidence for greatly broadening the scope of comprehensive specimen sampling. Luo *et al.* [122] demonstrate the utility of the Central Limit Theorem (CLT), employing a simple resampling scheme along with the modified Michaelis-Menten saturation model. The CLT states that the distribution of the sample mean tends toward the (Standard) Normal distribution as the sample size increases. It was found that a minimum sample size of only 20 individuals is needed to provide a reliable estimate of genetic polymorphism at the species level on the basis of observed haplotype numbers. The authors note however that sample sizes should be as large as possible, even though new haplotypes will tend to be observed with lower frequency. Compared to present sample size range of 5-10 specimens per species, a slightly larger minimum sample size range of 11-15 individuals per species was recommended by Yao *et al.* [208] for widely-distributed coastal and inland aquatic salt-tolerant plant species of the families Poaceae and Chenopodiaceae across seven different genera, based on results obtained through resampling procedures and

nonparametric Mann-Whitney U tests.

Though not devoted to estimating sample sizes for mitochondrial genes such as COI, using resampling simulation, Hale *et al.* [80] found that a sample size of 25-30 individuals was sufficient to accurately estimate microsatellite allele frequencies in hypothetical populations of hairy wood ants (*Formica lugubris*), kakis (*Himantopus novaezelandiae*), black-browed albatrosses (*Thalassarche melanophris*) and red squirrels (*Sciurus vulgaris*). The sampling of 25-30 individuals per species for the assessment of genetic diversity via microsatellite loci was also recommended by Pruett and Winker [159] in an earlier study of song sparrows (*Melospiza melodia*). A more recent simulation study examining minimum sample sizes for accurate estimation of genetic diversity from a large number of single nucleotide polymorphism (SNP) markers in the terrestrial Amazonian plant *Amphirrhox longifolia* found that sample sizes beyond eight are sufficient for genetic diversity assessment and as few as two individuals are needed to obtain good estimates of population differentiation [138]. These studies clearly point to the need for large sample sizes in multilocus population genetic studies for the overall assessment of genetic diversity at the species level.

These examples serve to illustrate the fact that, as is the case for species divergence thresholds, there is no one universal sample size that can accurately recover the majority of intraspecific genetic variation across taxa and it appears likely that varying levels of additional sampling will be required within taxa and across geographic ranges [121]. What seems to be clear is the fact that many previous assessments of sample sizes necessary

for DNA barcoding studies have underestimated levels of sampling depth that are actually needed to recover much of the genetic variation that exists at the species level. Such a trend seems most attributable to restricted geographic sampling and unclear species boundaries, limited funding for adequate specimen retrieval, as well as human-mediated mechanisms such as errors accrued during the amplification/sequencing process.

2.4.2 Application to Ray-finned Fishes

Phillips *et al.* [156] investigated levels of existing COI haplotype variation in 18 species of ray-finned fishes (Chordata: Actinopterygii) represented by a minimum of 60 individuals in accordance with Grewe *et al.* [74]. Results showed that 147-5379 specimens likely must be randomly sampled to uncover all predicted haplotype diversity in the selected species (between 3-528 total haplotypes) [156]. Sample size estimates obtained by Phillips *et al.* [156] are comparable in magnitude to those of Zhang *et al.* [214], but not in the case of Luo *et al.* [122], which are closer to practical sample sizes for DNA barcoding. Further, haplotype accumulation curves displayed evidence of reaching an asymptote for only 3/18 examined species: Chinook salmon (*Oncorhynchus tshawytscha*), Rockfish (*Sebastodes* sp.) and Siamese fighting fish (*Betta splendens*) based on significance testing of curve slopes with a one-sided *t*-test using the last 10 points on the end of accumulation curves [156]. Of note is the haplotype accumulation curve for Chinook salmon, which appeared to show premature saturation despite only 12 out of an estimated total of 78 haplotypes being found for the species. At the time of publication of Phillips *et al.*'s [156] study, *Sebastodes* sp. was linked to a single BIN. The BIN system is inherently dynamic: as more sequences

are added within BOLD, specimens assigned to a single BIN may be allocated to multiple BINs or multiple existing BINs may be coalesced into a single BIN. This is especially the case as species boundaries become clearer or taxonomic revisions are made. As an example, the genus *Sebastes* is a highly speciose group, thought to have undergone an adaptive radiation as recently as 8-9 million years ago [185]. This fact could explain the low haplotype diversity observed for this species (two haplotypes across 98 individuals).

Determining the precise point corresponding to haplotype accumulation curves reaching an asymptote (*i.e.*, having a slope near zero) is difficult. One way this can be accomplished is through employing numerical techniques, specifically iteration. Such methods work by repeatedly recycling computed values into an algorithm; that is, current values are used as starting values to the next iteration until convergence to a solution is achieved. One way this can be realized is through iterating Equation (7) along with the equations for the “measures of sampling closeness” proposed by Phillips *et al.* [156]. This seems to be the most logical way forward in better ascertaining at what level specimen sampling is deemed sufficient and thus, when further collection of specimens should be ceased.

2.5 Future Prospects

This chapter explores the issue of sampling in DNA barcoding from the perspective of computational and statistical methodologies. Key sample size studies in the barcoding literature were examined in detail. A lack of consensus exists in the most appropriate

number of specimens that must be targeted to uncover the majority of haplotype diversity that exists at the species level for a variety of taxa. This question is similar to the problem of calculating species divergence thresholds for taxon delimitation and is strongly dependent on species abundances, life histories and geographic coverage. To date, few studies exploring sample sizes for DNA barcoding have been conducted. Existing studies ([156, 214]) appear to point to the comprehensive sampling of hundreds to thousands of specimens to capture a wide range of standing genetic variation for a given species based on asymptotic behaviour of haplotype accumulation curves.

Future research should aim to answer the question: is there an optimal threshold for specimen sampling above which no new DNA barcode haplotype variation is likely to be observed for a species? While it should be possible to find this limit for already well-sampled taxa based on trends seen in haplotype accumulation curves, the use of haplotype accumulation curves to estimate sample sizes that are required for full assessment of COI DNA barcode haplotype sampling completeness has only been tested in one previous study (Zhang *et al.* [214]). Phillips *et al.* [156] expanded on previous studies through proposing a simple and easily implemented method to estimate specimen sample sizes for a number of ray-finned fish species, which are among the most densely sampled to date within BOLD. Sample size optimization for the identification of animal species across wide-ranging geographic scales is key since intraspecific variation within DNA barcodes is not easy to measure, and obtaining large numbers of barcodes that reflect a wide range of intraspecific genetic divergence is sometimes challenging [13]. In addition

to being able to report likely required specimen sample sizes necessary to achieve saturation in species haplotype curves, it would be ideal if DNA barcoding studies could also provide a global measure of geographic dispersion to reliably test for cases of isolation-by-distance within species. Unfortunately, no such measure yet exists in this regard, making these kinds of analyses problematic. While model estimates may not be practical, having such a framework at hand that easily allows for the calculation of lower bounds for sample size offers researchers a glimpse into the most appropriate taxon sample sizes to target, and potentially where those taxa should be sampled. More crucially, the present simulation proposed herein can be employed to best determine the proper allocation of sampling effort, time and resources [94]. Such work finds application in studies of metabarcoding [199] as well as more broadly to global climate change [153].

The development of a computational simulation of haplotype accumulation curves, a tool that can greatly aid biodiversity scientists in targeting species that will benefit from increased sampling effort, can be employed to build and grow BOLD with statistically defensible taxon records, which ultimately will allow more reliable specimen identification. This work is crucial because many taxon records currently in BOLD are known from only single specimens. Further, such a simulation algorithm could aid in species discovery through providing more reliable estimates of intraspecific sample sizes used in the calculation of the barcode gap. Through developing statistically-relevant sample size estimation tools that capture geographic and genetic variation within and between species, researchers will be able to improve sampling design strategies, which will lead to a better

understanding (and improved database) of intra and interspecies genetic variation. As such, new methodologies will fill this void and contribute to the growing literature on sample size estimation for DNA barcoding.

Chapter 3

HACSim: An R package to estimate intraspecific sample sizes for genetic diversity assessment using haplotype accumulation curves

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3.1 Prologue

This chapter introduces a novel nonparametric stochastic local search optimization algorithm to estimate sample sizes for genetic diversity assessment within species based on observed trends in plotted haplotype accumulation curves. Previous methods to ascertain likely required specimen sampling depths at the species level relied mainly on complex statistical models with strong parametric assumptions necessary to adequately fit curves to generated data. Unfortunately, no one model can be widely applied to all taxa of interest.

The approach presented herein, called `HACSim` (**Haplotype Accumulation Curve Simulator**) works by iteratively extrapolating species' haplotype accumulation curves towards an asymptote until a desired threshold of observed haplotype diversity has been found. Users provide an initial guess of specimen sample size in addition to the total number of observed species' haplotypes, the frequency distribution of said haplotypes and the chosen level of haplotype diversity to recover (by default, 95%). `HACSim` is tested on a wide range of hypothetical and real species examples of socioeconomic and conservation relevance mined from BOLD. For already well-sampled species, the method routinely suggests required sampling levels many orders of magnitude higher than sample sizes typically seen in real-world barcoding studies.

ABSTRACT

Assessing levels of standing genetic variation within species requires a robust sampling for the purpose of accurate specimen identification using molecular techniques such as DNA barcoding; however, statistical estimators for what constitutes a robust sample are currently lacking. Moreover, such estimates are needed because most species are currently represented by only one or a few sequences in existing databases, which we can safely assume are undersampled. Unfortunately, sample sizes of 5-10 specimens per species typically seen in DNA barcoding studies are often insufficient to adequately capture within-species genetic diversity.

Here, we introduce a novel iterative extrapolation simulation algorithm of haplotype accumulation curves, called HACS_{im} (**Haplotype Accumulation Curve Simulator**) that can be employed to calculate likely sample sizes needed to observe the full range of DNA barcode haplotype variation that exists for a species. Using uniform haplotype and non-uniform haplotype frequency distributions, the notion of sampling sufficiency θ (the sample size at which sampling accuracy is maximized and above which no new sampling information is likely to be gained) can be gleaned.

HACS_{im} can be employed in two primary ways to estimate specimen sample sizes: (1) to simulate haplotype sampling in hypothetical species, and (2) to simulate haplotype sampling in real species mined from public reference sequence databases like BOLD or GenBank for any genomic marker of interest. While our algorithm is globally convergent, runtime is heavily dependent on initial sample sizes and skewness of the corresponding

haplotype frequency distribution.

3.2 Introduction

3.2.1 Background

Numerical optimization methods are required to obtain reasonable approximations to otherwise complex questions. Many such problems proceed via the iterative method, whereby an initial guess is used to produce a sequence of successively more precise (and hopefully more accurate) approximations. Such an approach is attractive, as resulting solutions can be made as precise as desired through specifying a given tolerance cutoff. However, in such cases, a closed-form expression for the function being optimized is known *a priori*. In many instances, the general path (behaviour) of the search space being explored is the only information known, and not its underlying functional form. In this paper, we take a middle-ground approach that is an alternative to probing sampling completeness on the basis of haplotype accumulation curve slope measurement. To this end, iteration is applied to address the issue of relative sample size determination for DNA barcode haplotype sampling completeness, a technique suggested by Phillips *et al.* [154]. Given that specimen collection and processing is quite a laborious and costly endeavour [22, 182], the next most direct solution to an otherwise blind search strategy is to employ computational simulation that approximates specimen collection in the field. The main contribution of this work is the introduction of a new, easy-to-use R package implementing a novel statistical optimization algorithm to estimate sample sizes for assessment of genetic diversity within species based on saturation observed in haplotype accumulation curves. Here, we present a novel nonparametric stochastic (Monte Carlo) iterative extrapolation

algorithm for the generation of haplotype accumulation curves based on the approach of Phillips *et al.* [156]. Using the statistical environment R [162], we examine the effect of altering species haplotype frequencies on the shape of resulting curves to inform on likely required sample sizes needed for adequate capture of within-species haplotype variation. Proof-of-concept of our method is illustrated through both hypothetical examples and real DNA sequence data.

3.2.2 Motivation

Consider N DNA sequences that are randomly sampled for a given species of interest across its known geographic range, each of which correspond to a single specimen. Suppose further that H^* of such sampled DNA sequences are unique (*i.e.*, are distinct haplotypes). This scenario leads naturally to the following question: What is N^* , the estimated total number of DNA sequence haplotypes that exist for a species? Put another way, what sample size (number of specimens) is needed to capture the existing haplotype variation for a species?

The naïve approach (adopted by Phillips *et al.* [156]) would be to ignore relative frequencies of observed haplotypes; that is, assume that species haplotypes are equally probable in a species population. Thus, in the absence of any information, the best one can do is adopt a uniform distribution for the number of sampled haplotypes. Such a path leads to obtaining gross overestimates for sufficient sampling [156]. A much better approach uses all available haplotype data to arrive at plausible estimates of required taxon sample sizes. This latter method is explored here in detail.

3.3 Methods

3.3.1 Haplotype Accumulation Curve Simulation Algorithm

Algorithm Functions

Our algorithm, `HACSim` (short for **Haplotype Accumulation Curve Simulator**), consisting of two R functions, `HAC.sim()` and `HAC.simrep()`, was created to run simulations of haplotype accumulation curves based on user-supplied parameters. The simulation treats species haplotypes as distinct character labels relative to the number of individuals possessing a given haplotype. The usual convention in this regard is that Haplotype 1 is the most frequent, Haplotype 2 is the next most frequent, *etc.* [78]. A haplotype network represents this scheme succinctly (**Figure 3.1**).

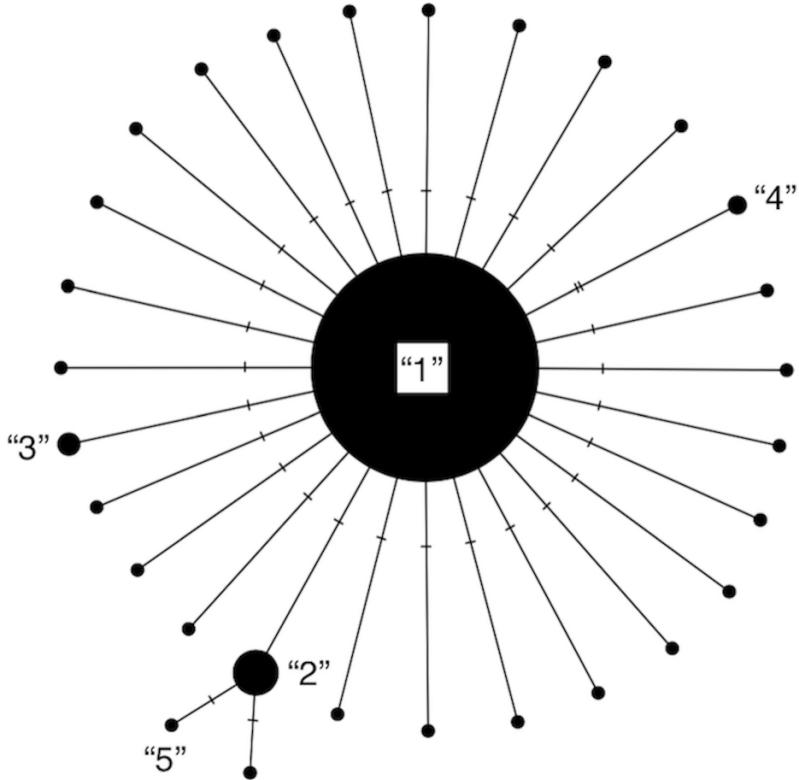


Figure 3.1: Modified haplotype network from Phillips *et al.* [154]. Haplotypes are labelled according to their absolute frequencies such that the most frequent haplotype is labelled “1”, the second-most frequent haplotype is labelled “2”, *etc.* and is meant to illustrate that much species locus variation consists of rare haplotypes at very low frequency (typically only represented by 1 or 2 specimens). Thus, species showing such patterns in their haplotype distributions are probably grossly under-represented in public sequence databases like BOLD and GenBank.

Such an implementation closely mimics that seen in natural species populations, as each character label functions as a unique haplotype linked to a unique DNA barcode sequence. The algorithm then randomly samples species haplotype labels in an iterative fashion with replacement until all unique haplotypes have been observed. This process continues until all species haplotypes have been sampled. The idea is that levels of species haplotypic

variation that are currently catalogued in BOLD can serve as proxies for total haplotype diversity that may exist for a given species. This is a reasonable assumption given that, while estimators of expected diversity are known (*e.g.*, Chao1 abundance) [27], the frequencies of unseen haplotypes are not known *a priori*. Further, assuming a species is sampled across its entire geographic range, haplotypes not yet encountered are presumed to occur at low frequencies (otherwise they would likely have already been sampled).

Because R is an interpreted programming language (*i.e.*, code is run line-by-line), it is slow compared to faster alternatives which use compilation to convert programs into machine-readable format; as such, to optimize performance of the present algorithm in terms of runtime, computationally-intensive parts of the simulation code were written in the C++ programming language and integrated with R via the packages Rcpp [57] and RcppArmadillo [58]. This includes function code to carry out haplotype accumulation (via the function `accumulate()`, which is not directly called by the user). A further reason for turning to C++ is because some R code (*e.g.* nested ‘for’ loops) is not easily vectorized, nor can parallelization be employed for speed improvement due to loop dependence. The rationale for employing R for the present work is clear: R is free, open-source software that it is gaining widespread use within the DNA barcoding community due to its ease-of-use and well-established user-contributed package repository (Comprehensive R Archive Network (CRAN)). As such, the creation and dissemination of HACSim as a R framework to assess levels of standing genetic variation within species is greatly facilitated.

A similar approach to the novel one proposed here to automatically generate haplotype accumulation curves from DNA sequence data is implemented in the R package `spider` (SPecies IDentity and Evolution in R; [19]) using the `haploAccum()` function. However, the approach, which formed the basis of earlier work carried out by Phillips *et al.* [156], is quite restrictive in its functionality. Further, to our knowledge, `haploAccum()` is currently the only method available to generate haplotype accumulation curves in R because `spider` generates haplotype accumulation curves from DNA sequence alignments only and is not amenable to inclusion of numeric inputs for specimen and haplotype numbers. Thus, the method could not be easily extended to address our question. This was the primary reason for the proposal of a statistical model of sampling sufficiency by Phillips *et al.* [156] and its extension described herein.

Algorithm Parameters

At present, the algorithm (consisting of `HAC.sim()` and `HAC.simrep()`) takes 13 arguments as input (**Table 3.1**).

Table 3.1: Input parameters to HACSim.

Parameters inputted (first 7) and outputted (last six) by `HAC.sim()` and `HAC.simrep()`, along with their definitions.

Range refers to plausible values that each parameter can assume within the haplotype accumulation curve simulation algorithm. [and] indicate that a given value is included in the range interval; whereas, (and) indicate that a given value is excluded from the range interval. Simulation progress can be tracked through setting `progress = TRUE` within `HAC.hypothetical()` or `HACReal()`. Users can optionally specify that a file be created containing all information outputted to the R console (via the argument `filename`, which can be named as the user wishes).

Parameter	Definition	Range
<code>N</code>	total number of specimens/DNA sequences	(1, ∞)
<code>Hstar</code>	total number of unique haplotypes	(1, N]
<code>probs</code>	haplotype probability distribution vector	(0, 1)
<code>p</code>	proportion of haplotypes to recover	(0, 1]
<code>perms</code>	total number of permutations	(1, ∞)
<code>input.seqs</code>	analyze FASTA file of species DNA sequences	TRUE, FALSE
<code>conf.level</code>	desired confidence level for confidence interval calculation	(0, 1)
<code>H</code>	cumulative mean number of haplotypes sampled	[1, H_{star}]
$H_{\text{star}} - H$	cumulative mean number of haplotypes not sampled	[0, H_{star}]
$R = \frac{H}{\frac{H_{\text{star}} - H}{H_{\text{star}}}}$	cumulative mean fraction of haplotypes sampled	(0, 1]
N_{star}	cumulative mean fraction of haplotypes not sampled	[0, 1)
$N_{\text{star}} - N$	mean specimen sample size corresponding to H^*	[N, ∞)
	mean number of individuals not sampled	[0, N]

A user must first specify the number of observed specimens/DNA sequences (N) and the number of observed haplotypes (*i.e.*, unique DNA sequences) (H^*) for a given species. Both N and H^* must be greater than one. Clearly, N must be greater than or equal to H^* .

Next, the haplotype frequency distribution vector must be specified. The `probs` argument allows for the inclusion of both common and rare species haplotypes according to user interest (*e.g.*, equally frequent haplotypes, or a single dominant haplotype). The resulting `probs` vector must have a length equal to H^* . For example, if $H^* = 4$, `probs` must contain four elements. The total probability of all unique haplotypes must sum to one.

The user can optionally input the fraction of observed haplotypes to capture p . By default, $p = 0.95$, mirroring the approach taken by both Zhang *et al.* [214] and Bergsten *et al.* [12] who computed intraspecific sample sizes needed to recover 95% of all haplotype variation for a species. At this level, the generated haplotype accumulation curve reaches a slope close to zero and further sampling effort is unlikely to uncover any new haplotypes. However, a user may wish to obtain sample sizes corresponding to different haplotype recovery levels, *e.g.*, $p = 0.99$ (99% of all estimated haplotypes found). In the latter scenario, it can be argued that 100% of species haplotype variation is never actually achieved, since with greater sampling effort, additional haplotypes are almost surely to be found; thus, a true asymptote is never reached. In any case, simulation completion times will vary depending on inputted parameter values, such as `probs`, which controls the skewness of the observed haplotype frequency distribution.

The `perms` argument is in place to ensure that haplotype accumulation curves “smooth

out" and tend to H^* asymptotically as the number of permutations (replications) is increased. The effect of increasing the number of permutations is an increase in statistical accuracy and consequently, a reduction in variance. The proposed simulation algorithm outputs a mean haplotype accumulation curve that is the average of `perms` generated haplotype accumulation curves, where the order of individuals that are sampled is randomized. Each of these `perms` curves is a randomized step function (a sort of random walk), generated according to the number of haplotypes found. A permutation size of 1000 was used by Phillips *et al.* [156] because smaller permutation sizes yielded non-smooth (noisy) curves. Permutation sizes larger than 1000 typically resulted in greater computation time, with no noticeable change in accumulation curve behaviour [156]. By default, `perms` = 10000 (in contrast to Phillips *et al.* [156]), which is comparable to the large number of replicates typically employed in statistical bootstrapping procedures needed to ensure accuracy of computed estimates [59]. Sometimes it will be necessary for users to sacrifice accuracy for speed in the presence of time constraints. This can be accomplished through decreasing `perms`. Doing so however will result in only near-optimal solutions for specimen sample sizes. In some cases, it may be necessary to increase `perms` to further smooth out the curves (to ensure monotonicity), but this will increase algorithm runtime substantially.

Should a user wish to analyze their own intraspecific COI DNA barcode sequence data (or sequence data from any single locus for that matter), setting `input.seqs` = TRUE allows this (via the `read.dna()` function in `ape`). In such a case, a pop-up file window

will prompt the user to select the formatted FASTA file of aligned/trimmed sequences to be read into R. When this occurs, arguments for N , H^* and `probs` are set automatically by the algorithm via functions available in the R packages `ape` (Analysis of Phylogenetics and Evolution) [149] and `pegas` (Population and Evolutionary Genetics Analysis System) [148]. Users must be aware however that the number of observed haplotypes treated by `pegas` (via the `haplotype()` function) may be overestimated if missing/ambiguous nucleotide data are present within the final alignment input file. Missing data are explicitly handled by the `base.freq()` function in the `ape` package. When this occurs, R will output a warning that such data are present within the alignment. Users should therefore consider removing sequences or sites comprising missing/ambiguous nucleotides. This step can be accomplished using external software such as MEGA (Molecular Evolutionary Genetics Analysis; [112]). The BARCODE standard [81] was developed to help identify high quality sequences and can be used as a quality filter if desired. Exclusion of low-quality sequences also has the advantage of speeding up computation time of the algorithm significantly.

Options for confidence interval (CI) estimation and graphical display of haplotype accumulation is also available via the argument `conf.level`, which allows the user to specify the desired level of statistical confidence. CIs are computed from the sample $\frac{\alpha}{2}100\%$ and $(1 - \frac{\alpha}{2})100\%$ quantiles of the haplotype accumulation curve distribution. The default is `conf.level = 0.95`, corresponding to a confidence level of 95%. High levels of statistical confidence (*e.g.*, 99%) will result in wider confidence intervals; whereas low

confidence leads to narrower interval estimates.

How Does HACSim Work?

Haplotype labels are first randomly placed on a two-dimensional spatial grid of size $\text{perms} \times N$ (read perms rows by N columns) according to their overall frequency of occurrence (**Figure 3.2**).

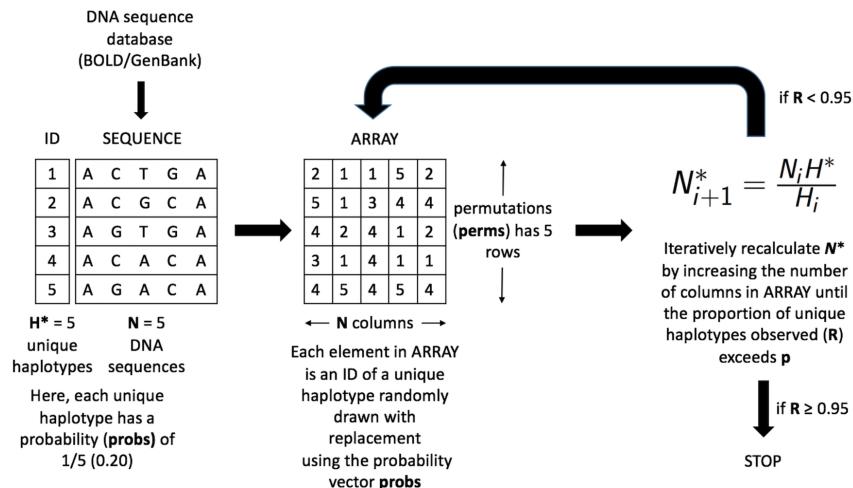


Figure 3.2: Schematic of the HACSim optimization algorithm (setup, initialization and iteration). Shown is a hypothetical example for a species mined from a biological sequence database like BOLD or GenBank with $N = 5$ sampled specimens (DNA sequences) possessing $H^* = 5$ unique haplotypes. Each haplotype has an associated numeric ID from 1- H^* (here, 1-5). Haplotype labels are randomly assigned to cells on a two-dimensional spatial array (ARRAY) with perms rows and N columns. All haplotypes occur with a frequency of 20%, (*i.e.*, $\text{probs} = (1/5, 1/5, 1/5, 1/5, 1/5)$). Specimen and haplotype information is then fed into a model to iteratively optimize the likely required sample size (N^*) needed to capture a proportion of at least p haplotypes observed in the species sample.

The cumulative mean number of haplotypes is then computed along each column (*i.e.*, for every specimen). If all H^* haplotypes are not observed, then the grid is expanded to a size of $\text{perms} \times N^*$ and the observed haplotypes enumerated. Estimation of specimen sample sizes proceeds iteratively, in which the current value of N^* is used as a starting value to the

next iteration (**Figure 3.2**). An analogy here can be made to a game of golf: as one aims towards the hole and hits the ball, it gets closer and closer to the hole; however, one does not know the number of times to hit the ball before it lands in the hole. It is important to note that since sample sizes must be whole values, estimates of N^* found at each iteration are rounded up to the next whole number. Even though this approach is quite conservative, it ensures that estimates are adequately reflective of the population from which they were drawn. `HAC.sim()`, which is called internally from `HAC.simrep()`, performs a single iteration of haplotype accumulation for a given species. In the case of real species, resulting output reflects current levels of sampling effort found within BOLD (or another similar sequence repository such as GenBank) for a given species. If the desired level of haplotype recovery is not reached, then `HAC.simrep()` is called to perform successive iterations until the observed fraction of haplotypes captured (R) is at least p . This stopping criterion is the termination condition necessary to halt the algorithm as soon as a “good enough” solution has been found. Such criteria are widely employed within numerical analysis. At each step of the algorithm, a dataset, in the form of a dataframe (called “`d`”) consisting of the mean number of haplotypes recovered (called `means`), along with the estimated standard deviation (`sd`) and the number of specimens sampled (`specs`) is generated. The estimated required sample size (N^*) to recover a given proportion of observed species haplotypes corresponds to the endpoint of the accumulation curve. An indicator message is additionally outputted informing a user as to whether or not the desired level of haplotype recovery has been reached. The algorithm is depicted in **Figure 3.3**.

Iterative Extrapolation Algorithm to Calculate N^*

INPUT: $N, H^*, \text{probs}, \text{perms}, p, H, R (= \frac{H}{H^*})$

OUTPUT: N^*

```
(1) SET  $i = 1$  (initialize iterations);
(2) SET  $N^* = N$  (specify initial guess)
WHILE  $R < p$ 
(3) SET  $i = i + 1$  (update iterations);
(4) SET  $N_{i+1}^* = \frac{N_i H^*}{H_i}$  (compute  $N^*$ );
(5) IF  $N_{i+1}^* = N_i$ , STOP, ELSE return to (3)
END.
```

Figure 3.3: Iterative extrapolation algorithm pseudocode for the computation of taxon sampling sufficiency employed within HACSim. A user must input N, H^* and `probs` to run simulations. Other function arguments required by the algorithm have default values and are not necessary to be inputted unless the user wishes to alter set parameters.

In **Figure 3.3**, all input parameters are known *a priori* except H_i , which is the number of haplotypes found at each iteration of the algorithm, and $R_i = \frac{H_i}{H^*}$, which is the observed fraction of haplotype recovery at iteration i . The equation to compute N^*

$$N_{i+1}^* = N_i + \frac{N_i}{H_i} (H^* - H_i) = \frac{N_i H^*}{H_i} = \frac{N_i}{R_i} \quad (3.1)$$

is quite intuitive since as H_i approaches H^* , $H^* - H_i$ approaches zero, $R_i = \frac{H_i}{H^*}$ approaches one, and consequently, N_i approaches N^* . In the first part of the above equation, the quantity $\frac{N_i}{H_i} (H^* - H_i)$ is the amount by which the haplotype accumulation curve is extrapolated, which incorporates random error and uncertainty regarding the true value of θ in the search space being explored. Nonparametric estimates formed from the above iterative method produce a convergent monotonically-increasing sequence, which becomes closer and closer to N^* as the number of iterations increase; that is,

$$N_1^* \leq N_2^* \leq \dots \leq N_i^* \leq N_{i+1}^* \rightarrow N^* \quad (3.2)$$

which is clearly a desirable property. Since haplotype accumulation curves are bounded below by one and bounded above by H^* , then the above sequence has a lower bound equal to the initial guess for specimen sampling sufficiency (N) and an upper bound of N^* .

Along with the iterated haplotype accumulation curves and haplotype frequency barplots, simulation output consists of the five initially proposed “measures of sampling closeness”, the estimate of θ (N^*) based on Phillips *et al.*’s [156] sampling model, in addition to the number of additional samples needed to recover all estimated total haplotype variation for a given species ($N^* - N$; **Figure 3.4**) (**Table 3.1**).

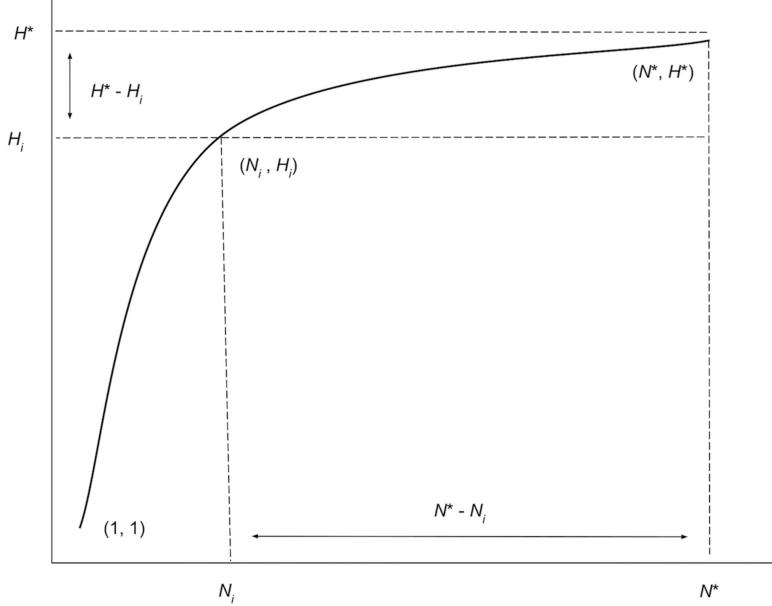


Figure 3.4: Graphical depiction of the iterative extrapolation sampling model as described in detail herein. The figure is modified from Phillips *et al.* [154]. The x -axis is meant to depict the number of specimens sampled, whereas the y -axis is meant to convey the cumulative number of unique haplotypes uncovered for every additional individual that is randomly sampled. N_i and H_i refer respectively to specimen and haplotype numbers that are observed at each iteration (i) of HACSIm for a given species. N^* is the total sample size that is needed to capture all H^* haplotypes that exist for a species.

These five quantities are given as follows: (1) Mean number of haplotypes sampled: H_i , (2) Mean number of haplotypes not sampled: $H^* - H_i$, (3) Proportion of haplotypes sampled: $\frac{H_i}{H^*}$, (4) Proportion of haplotypes not sampled: $\frac{H^* - H_i}{H^*}$, (5) Mean number of individuals not sampled: $N^* - N_i = \frac{N_i}{H_i} (H^* - H_i)$ and are analogous to absolute and relative approximation error metrics seen in numerical analysis. It should be noted that the mean number of haplotypes captured at each iteration, H_i , will not necessarily be increasing, even though estimates of the cumulative mean value of N^* are. It is easily seen above that H_i approaches H^* with increasing number of iterations. Similarly, as the simulation

progresses, $H^* - H_i$, $\frac{H^* - H_i}{H^*}$ and $N^* - N_i = \frac{N_i}{H_i} (H^* - H_i)$ all approach zero, while $\frac{H_i}{H^*}$ approaches one. The rate at which curves approach H^* depends on inputs to both `HAC.sim()` and `HAC.simrep()`. Once the algorithm has converged to the desired level of haplotype recovery, a summary of findings is outputted consisting of (1) the initial guess (N) for sampling sufficiency; (2) the total number of iterations until convergence and simulation runtime (in seconds); (3) the final estimate (N^*) of sampling sufficiency, along with an approximate $(1 - \alpha)100\%$ confidence interval (see next paragraph); and, (4) the number of additional specimens required to be sampled ($N^* - N$) from the initial starting value. Iterations are automatically separated by a progress meter for easy visualization.

An approximate symmetric $(1 - \alpha)100\%$ CI for θ is derived using the (first order) Delta Method [26]. This approach relies on the asymptotic normality result of the CLT and employs a first-order Taylor series expansion around θ to arrive at an approximation of the variance (and corresponding standard error) of N^* . Such an approach is convenient since the sampling distribution of N^* would likely be difficult to compute exactly due to specimen sample sizes being highly taxon-dependent. An approximate (large sample) $(1 - \alpha)100\%$ CI for θ is given by

$$N^* \pm z_{1-\frac{\alpha}{2}} \left(\frac{\hat{\sigma}_H}{H} \sqrt{N^*} \right) \quad (3.3)$$

where $z_{1-\frac{\alpha}{2}}$ denotes the appropriate critical value from the standard Normal distribution and $\hat{\sigma}_H$ is the estimated standard deviation of the mean number of haplotypes recovered at N^* . The interval produced by this approach is quite tight, shrinking as H_i tends to H^* . By

default, `HACSim` computes 95% confidence intervals for the abovementioned quantities.

It is important to consider how a confidence interval for θ should be interpreted. For instance, a 95% CI for θ of (L, U) , where L and U are the lower and upper endpoints of the confidence interval respectively, does *not* mean that the true sampling sufficiency lies between (L, U) with 95% probability. Instead, resulting confidence intervals for θ are themselves random and should be interpreted in the following way: with repeated sampling, one can be $(1 - \alpha)100\%$ confident that the true sampling sufficiency for $p\%$ haplotype recovery for a given species lies in the range (L, U) $(1 - \alpha)100\%$ of the time. That is, on average, $(1 - \alpha)100\%$ of constructed confidence intervals will contain θ $(1 - \alpha)100\%$ of the time. It should be noted however that as given computed confidence intervals are only approximate in the limit, desired nominal probability coverage may not be achieved. In other words, the proportion of times calculated $(1 - \alpha)100\%$ intervals actually contain θ may not be met.

`HACSim` has been implemented as an object-oriented framework to improve modularity and overall user-friendliness. Scenarios of hypothetical and real species are contained within helper functions which comprise all information necessary to run simulations successfully without having to specify certain function arguments beforehand. To carry out simulations of sampling haplotypes from hypothetical species, the function `HACHypothetical()` must first be called. Similarly, haplotype sampling for real species is handled by the function `HACReal()`. In addition to all input parameters required by `HAC.sim()` and `HAC.simrep()` outlined in **Table 3.1**, both

`HACHypothetical()` and `HACReal()` take further arguments. Both functions take the optional argument `filename` which is used to save results outputted to the R console to a CSV file. When either `HACHypothetical()` or `HACReal()` is invoked (*i.e.*, assigned to a variable), an object herein called `HACSOBJ` is created containing the 13 arguments employed by `HACSim` in running simulations. Note the generated object can have any name the user desires. Further, all simulation variables are contained in an environment called ‘`envr`’ that is hidden from the user.

3.4 Results

Here, we outline some simple examples that highlight the overall functionality of `HACSim`. When the code below is run, outputted results will likely differ from those depicted here since our method is inherently stochastic. Hence, it should be stressed that there is not one single solution for the problem at hand, but rather multiple solutions [179]. This is in contrast to a completely deterministic model, where a given input always leads to the same unique output. To ensure reproducibility, the user can set a random seed value using the base R function `set.seed()` prior to running `HAC.simrep()`. It is important that a user set a working directory in R prior to running `HACSim`, which will ensure all created files are stored in a single location for easy access and reference at a later time. In all scenarios, default parameters were unchanged (`perms = 10000, p = 0.95`).

3.4.1 Application of HACSim to Hypothetical Species

Equal Haplotype Frequencies

Figure 3.5 shows sample graphical output of the proposed haplotype accumulation curve simulation algorithm for a hypothetical species with $N = 100$ and $H^* = 10$. All haplotypes are assumed to occur with equal frequency (*i.e.*, $\text{probs} = 0.10$).

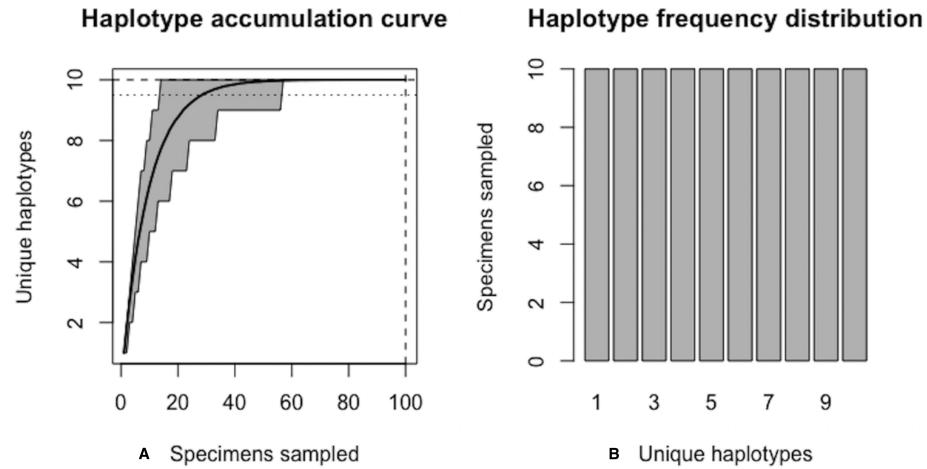


Figure 3.5: Graphical output of `HAC.sim()` for a hypothetical species with equal haplotype frequencies. **A:** Iterated haplotype accumulation curve. **B:** Corresponding haplotype frequency barplot. For the generated haplotype accumulation curve, the 95% confidence interval for the number of unique haplotypes accumulated is depicted by gray error bars. Dashed lines depict the observed number of haplotypes (*i.e.*, RH^*) and corresponding number of individuals sampled found at each iteration of the algorithm. The dotted line depicts the expected number of haplotypes for a given haplotype recovery level (here, $p = 95\%$) (*i.e.*, pH^*). In this example, $R = 100\%$ of the $H^* = 10$ estimated haplotypes have been recovered for this species based on a sample size of only $N = 100$ specimens.

Algorithm output shows that $R = 100\%$ of the $H^* = 10$ haplotypes are recovered from the random sampling of $N = 100$ individuals, with lower and upper 95% confidence limits of 100-100. No additional specimens need to be collected ($N^* - N = 0$). Simulation results, consisting of the six “measures of sampling closeness” computed at each iteration, can be

optionally saved in a comma-separated value (CSV) file called ‘output.csv’ (or another filename of the user’s choosing). **Figure 3.5** shows that when haplotypes are equally frequent in species populations, corresponding haplotype accumulation curves reach an asymptote very quickly. As sampling effort is increased, the confidence interval becomes narrower, thereby reflecting one’s increased confidence in having likely sampled the majority of haplotype variation existing for a given species. Expected counts of the number of specimens possessing a given haplotype can be found from running

```
max (envr$d$specs) * envr$probs
```

in the R console once a simulation has converged. However, real data suggest that haplotype frequencies are not equal.

Unequal Haplotype Frequencies

Figure 3.6 and **Figure 3.7** show sample graphical output of the proposed haplotype accumulation curve simulation algorithm for a hypothetical species with $N = 100$ and $H^* = 10$. All haplotypes occur with unequal frequency. Haplotypes 1-3 each have a frequency of 30%, while the remaining seven haplotypes each occur with a frequency of c . 1.4%.

```

## Set parameters for hypothetical species ##
> N <- 100
> Hstar <- 10
> probs <- c(rep(0.30, 3), rep(0.10/7, 7)) # three dominant haplotypes each with 30%
frequency

### Run simulations ###
> HACSOBJ <- HACHypothetical(N = N, Hstar = Hstar, probs = probs)
> HAC.simrep(HACSOBJ)
Simulating haplotype accumulation...
|=====| 100%

--- Measures of Sampling Closeness ---
Mean number of haplotypes sampled: 8.3291
Mean number of haplotypes not sampled: 1.6709
Proportion of haplotypes sampled: 0.83291
Proportion of haplotypes not sampled: 0.16709

Mean value of N*: 120.061
Mean number of specimens not sampled: 20.06099

Desired level of haplotype recovery has not yet been reached
|=====| 100%

--- Measures of Sampling Closeness ---
Mean number of haplotypes sampled: 9.2999
Mean number of haplotypes not sampled: 0.7001
Proportion of haplotypes sampled: 0.92999
Proportion of haplotypes not sampled: 0.07001

Mean value of N*: 179.5718
Mean number of specimens not sampled: 12.57182

Desired level of haplotype recovery has not yet been reached
|=====| 100%

--- Measures of Sampling Closeness ---
Mean number of haplotypes sampled: 9.5358
Mean number of haplotypes not sampled: 0.4642
Proportion of haplotypes sampled: 0.95358
Proportion of haplotypes not sampled: 0.04642

Mean value of N*: 188.7623
Mean number of specimens not sampled: 8.762348

Desired level of haplotype recovery has been reached

----- Finished. -----
The initial guess for sampling sufficiency was N = 100 individuals
The algorithm converged after 6 iterations and took 33.215 s
The estimate of sampling sufficiency for p = 95% haplotype recovery is N* = 180
individuals ( 95% CI: 178.278-181.722)
The number of additional specimens required to be sampled for p = 95% haplotype recovery
is N* - N = 80 individuals

```

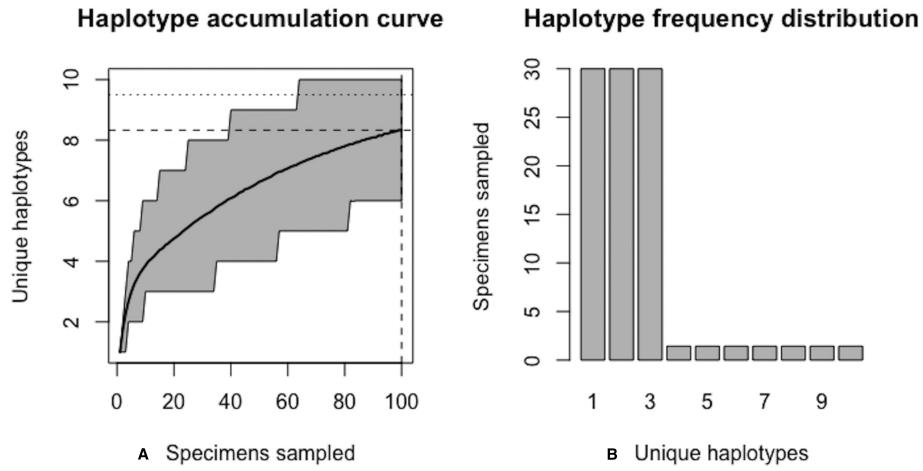


Figure 3.6: Initial graphical output of `HAC.sim()` for a hypothetical species having three dominant haplotypes. In this example, initially, only $R = 83.3\%$ of the $H^* = 10$ estimated haplotypes have been recovered for this species based on a sample size of $N = 100$ specimens.

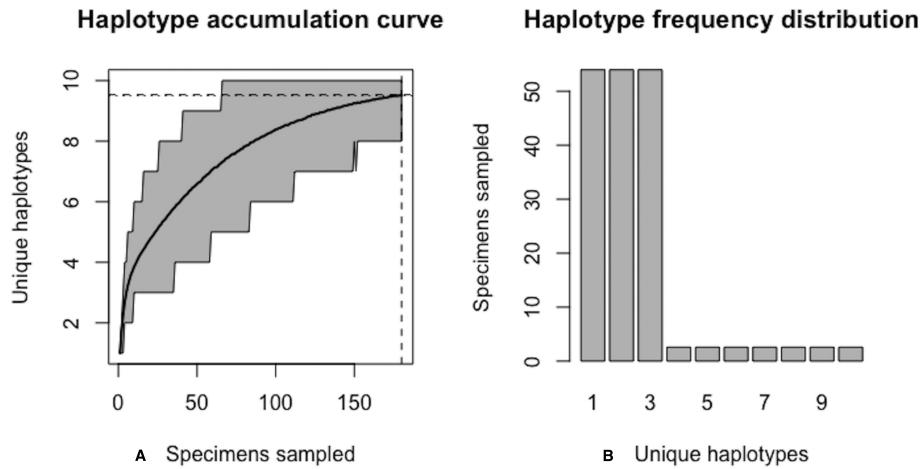


Figure 3.7: Final graphical output of `HAC.sim()` for a hypothetical species having three dominant haplotypes. In this example, upon convergence, $R = 95.4\%$ of the $H^* = 10$ estimated haplotypes have been recovered for this species based on a sample size of $N = 180$ specimens.

Note that not all iterations are displayed above for the sake of brevity; only the first and last two iterations are given. With an initial guess of $N = 100$, only $R = 83.3\%$ of all

$H^* = 10$ observed haplotypes are recovered. The value of $N^* = 121$ in the first iteration above serves as an improved initial guess of the true sampling sufficiency, which is an unknown quantity that is being estimated. This value is then fed back into the algorithm and the process is repeated until convergence is reached.

Using Equation (1), the improved sample size was calculated as

$N^* = 100 + \frac{100}{8.3291} (10 - 8.3291) = 120.061$. After one iteration, the curve has been extrapolated by an additional $N^* - N_i = 20.06099$ individuals. Upon convergence, $R = 95.4\%$ of all observed haplotypes are captured with a sample size of $N^* = 180$ specimens, with a 95% CI of 178.278-181.722. Given that $N = 100$ individuals have already been sampled, the number of additional specimens required is $N^* - N = 80$ individuals. The user can verify that sample sizes close to that found by HACS_{im} are needed to capture 95% of existing haplotype variation. Simply set $N = N^* = 180$ and rerun the algorithm. The last iteration serves as a check to verify that the desired level of haplotype recovery has been achieved. The value of $N^* = 188.7623$ that is outputted at this step can be used as a good starting guess to extrapolate the curve to higher levels of haplotype recovery to save on the number of iterations required to reach convergence. To do this, one simply runs HACHypothetical() with $N = 189$.

3.4.2 Application of HACS_{im} to Real Species

Because the proposed iterative haplotype accumulation curve simulation algorithm simply treats haplotypes as numeric labels, it is easily generalized to any biological taxa and genetic loci for which a large number of high-quality DNA sequence data records

is available in public databases such as BOLD. In the following examples, HACSim is employed to examine levels of standing genetic variation within animal species using 5'-COI.

Lake Whitefish (*Coregonus clupeaformis*)

An interesting case study on which to focus is that of Lake whitefish (*Coregonus clupeaformis*). Lake whitefish are a commercially, culturally, ecologically and economically important group of salmonid fishes found throughout the Laurentian Great Lakes in Canada and the United States, particularly to the Saugeen Ojibway First Nation (SON) of Bruce Peninsula in Ontario, Canada, as well as non-indigenous fisheries [170].

The colonization of refugia during Pleistocene glaciation is thought to have resulted in high levels of cryptic species diversity in North American freshwater fishes [4, 5, 6, 96]. Overdyk *et al.* [145] wished to investigate this hypothesis in larval Lake Huron lake whitefish. Despite limited levels of gene flow and likely formation of novel divergent haplotypes in this species, surprisingly, no evidence of deep evolutionary lineages was observed across the three major basins of Lake Huron despite marked differences in larval phenotype and adult fish spawning behaviour [145]. This may be the result of limited sampling of intraspecific genetic variation, in addition to presumed panmixia [145]. While lake whitefish represent one of the most well-studied fishes within BOLD, sampling effort for this species has nevertheless remained relatively static over the past few years. Thus, lake whitefish represent an ideal species for further exploration using HACSim.

In applying the developed algorithm to real species, sequence data preparation

methodology followed that which is outlined in Phillips *et al.* [156]. Curation included the exclusion of specimens linked to GenBank entries, since those records without the BARCODE keyword designation lack appropriate metadata central to reference sequence library construction and management [81]. Our approach here was solely to assess comprehensiveness of single genomic sequence databases rather than incorporating sequence data from multiple repositories; thus, all DNA barcode sequences either originating from, or submitted to GenBank, were not considered further. As well, the presence of base ambiguities and gaps/indels within sequence alignments can lead to bias in estimate haplotype diversity for a given species.

Currently (as of November 28, 2018), BOLD contains public (both barcode and non-barcode) records for 262 *C. clupeaformis* specimens collected from Lake Huron in northern parts of Ontario, Canada and Michigan, USA. Of the barcode sequences, $N = 235$ are of high quality (full-length (652 bp) and comprise no missing and/or ambiguous nucleotide bases). Haplotype analysis reveals that this species currently comprises $H^* = 15$ unique COI haplotypes. Further, this species shows a highly-skewed haplotype frequency distribution, with a single dominant haplotype accounting for *c.* 91.5% (215/235) of all individuals.

It is clear that current specimen sample sizes found within BOLD for *C. clupeaformis* are probably not sufficient to capture the majority of within-species COI haplotype variation. An initial sample size of $N = 235$ specimens corresponds to recovering only 73.8% of all $H^* = 15$ unique haplotypes for this species (**Figure 3.9**).

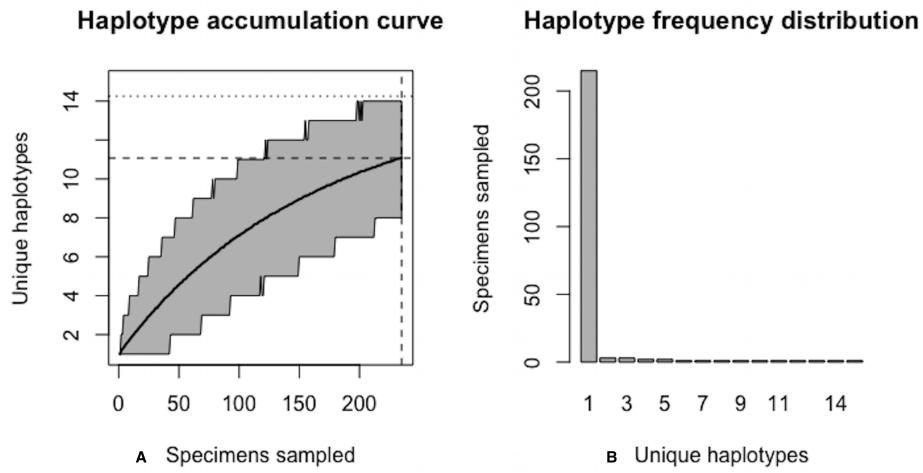


Figure 3.8: Initial graphical output of `HAC.sim()` for a real species (Lake whitefish, *C. clupeaformis*) having a single dominant haplotype. In this example, initially, only $R = 73.8\%$ of the $H^* = 15$ estimated haplotypes for this species have been recovered based on a sample size of $N = 235$ specimens. The haplotype frequency barplot is identical to that of **Figure 3.8**.

A sample size of $N^* = 604$ individuals (95% CI: 601.504-606.496) would likely be needed to observe 95% of all existing genetic diversity for lake whitefish (**Figure 3.10**).

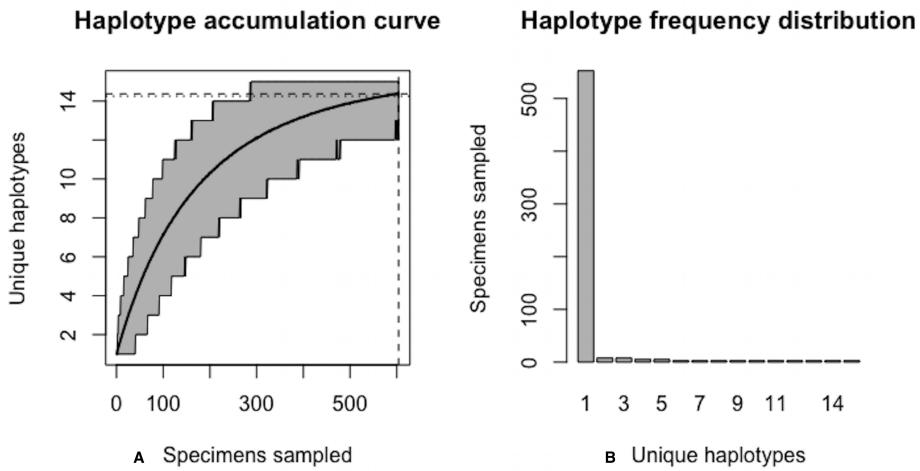


Figure 3.9: Final graphical output of `HAC.sim()` for Lake whitefish (*C. clupeaformis*) having a single dominant haplotype. Upon convergence, $R = 95.8\%$ of the $H^* = 15$ estimated haplotypes for this species have been uncovered with a sample size of $N = 604$ specimens.

Since $N = 235$ individuals have been sampled previously, only $N^* - N = 369$ specimens remain to be collected.

Deer Tick (*Ixodes scapularis*)

Ticks, particularly the hard-bodied ticks (Arachnida: Acari: Ixodida: Ixodidae), are well-known as vectors of various zoonotic diseases including Lyme disease [143]. Apart from this defining characteristic, the morphological identification of ticks at any lifestage, by even expert taxonomists, is notoriously difficult or sometimes even impossible [144]. Further, the presence of likely high cryptic species diversity in this group means that turning to molecular techniques such as DNA barcoding is often the only feasible option for reliable species diagnosis. Lyme-competent specimens can be accurately detected through employing a sensitive quantitative PCR (qPCR) procedure [144]. However, for such a

workflow to be successful, wide coverage of within-species haplotype variation from across broad geographic ranges is paramount to better aid design of primer and probe sets for rapid species discrimination. Furthermore, the availability of large specimen sample sizes for tick species of medical and epidemiological relevance is necessary for accurately assessing the presence of the barcode gap.

Notably, the deer tick (*Ixodes scapularis*), native to Canada and the United States, is the primary carrier of *Borrelia burgdorferi*, the bacterium responsible for causing Lyme disease in humans in these regions. Because of this, *I. scapularis* has been the subject of intensive taxonomic study in recent years. For instance, in a recent DNA barcoding study of medically-relevant Canadian ticks, [144] found that out of eight specimens assessed for the presence of *B. burgdorferi*, 50% tested positive. However, as only exoskeletons and a single leg were examined for systemic infection, the reported infection rate may be a lower bound due to the fact that examined specimens may still harbour *B. burgdorferi* in their gut. As such, this species is well-represented within BOLD and thus warrants further examination within the present study.

As of August 27, 2019, 531 5'-COI DNA barcode sequences are accessible from BOLD's Public Data Portal for this species. Of these, $N = 349$ met criteria for high quality outlined in Phillips *et al.* [156]. A 658 bp MUSCLE alignment comprised $H^* = 83$ unique haplotypes. Haplotype analysis revealed that Haplotypes 1-8 were represented by more than 10 specimens (range: 12-46).

The above results clearly demonstrate the need for increased specimen sample sizes in

deer ticks. With an initial sample size of $N = 349$ individuals, only 78.7% of all observed haplotypes are recovered for this species (**Figure 3.12**).

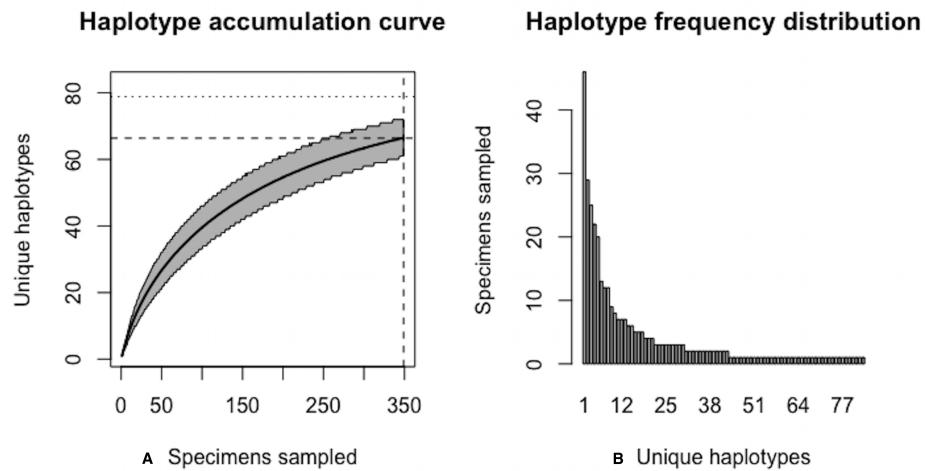


Figure 3.10: Initial graphical output of `HAC.sim()` for a real species (Deer tick, *I. scapularis*) having eight dominant haplotypes. In this example, initially, only $R = 78.7\%$ of the $H^* = 83$ estimated haplotypes for this species have been recovered based on a sample size of $N = 349$ specimens. The haplotype frequency barplot is identical to that of **Figure 3.11**.

$N^* = 803$ specimens (95% CI: 801.551-804.449) is necessary to capture at least 95% of standing haplotype variation for *I. scapularis* (**Figure 3.13**).

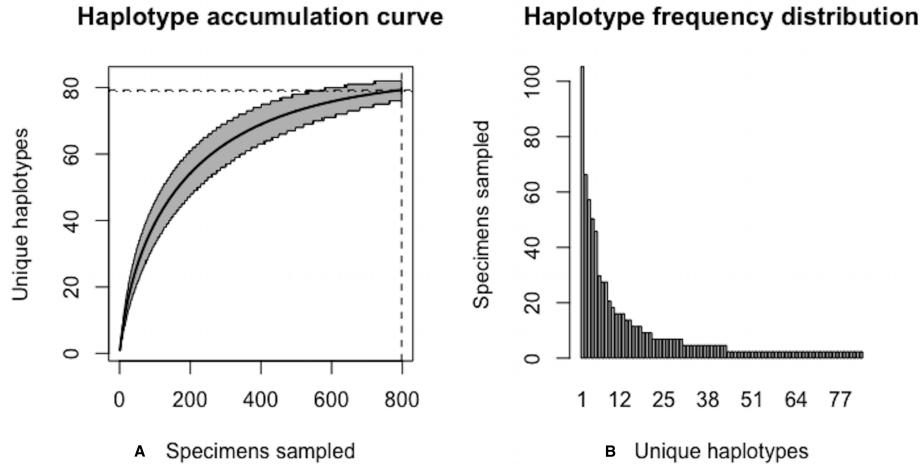


Figure 3.11: Final graphical output of `HAC.sim()` for deer tick (*I. scapularis*) having eight dominant haplotypes. Upon convergence, $R = 95.4\%$ of the $H^* = 83$ estimated haplotypes for this species have been uncovered with a sample size of $N = 803$ specimens.

Thus, a further $N^* - N = 454$ specimens are required to be collected.

Scalloped Hammerhead (*Sphyrna lewini*)

Sharks (Chondrichthyes: Elasmobranchii: Selachimorpha) represent one of the most ancient extant lineages of fishes. Despite this, many shark species face immediate extinction as a result of overexploitation, together with a unique life history (e.g., K-selected, predominant viviparity, long gestation period, lengthy time to maturation) and migration behaviour [84]. A large part of the problem stems from the increasing consumer demand for, and illegal trade of, shark fins, meat and bycatch on the Asian market. The widespread, albeit lucrative practice of “finning”, whereby live sharks are definned and immediately released, has led to the rapid decline of once stable populations [183]. As a result, numerous shark species are currently listed by the International Union

for the Conservation of Nature (IUCN) and the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). Interest in the molecular identification of sharks through DNA barcoding is multifold. The COI reference sequence library for this group remains largely incomplete. Further, many shark species exhibit high intraspecific distances within their barcodes, suggesting the possibility of cryptic species diversity. Instances of hybridization between sympatric species has also been documented. As establishing species-level matches to partial specimens through morphology alone is difficult, and such a task becomes impossible once fins are processed and sold for consumption or use in traditional medicine, DNA barcoding has paved a clear path forward for unequivocal diagnosis in most cases.

The endangered hammerheads (Family: Sphyrnidae) represent one of the most well-sampled groups of sharks within BOLD to date. Fins of the scalloped hammerhead (*Sphyrna lewini*) are especially highly prized within IUU (Illegal, Unregulated, Unreported) fisheries due to their inclusion as the main ingredient in shark fin soup.

As of August 27, 2019, 327 *S. lewini* specimens (sequenced at both barcode and non-barcode markers), collected from several Food and Agriculture Organization (FAO) regions, including the United States, are available through BOLD's Public Data Portal. Of these, all high-quality records ($N = 171$) were selected for alignment in MEGA7 and assessment via HACSim. The final alignment was found to comprise $H^* = 12$ unique haplotypes, of which three were represented by 20 or more specimens (range: 28-70; Simulation output suggests that only 82.6% of all unique haplotypes for the scalloped

hammerhead have likely been recovered (**Figure 15**) with a sample size of $N = 171$.

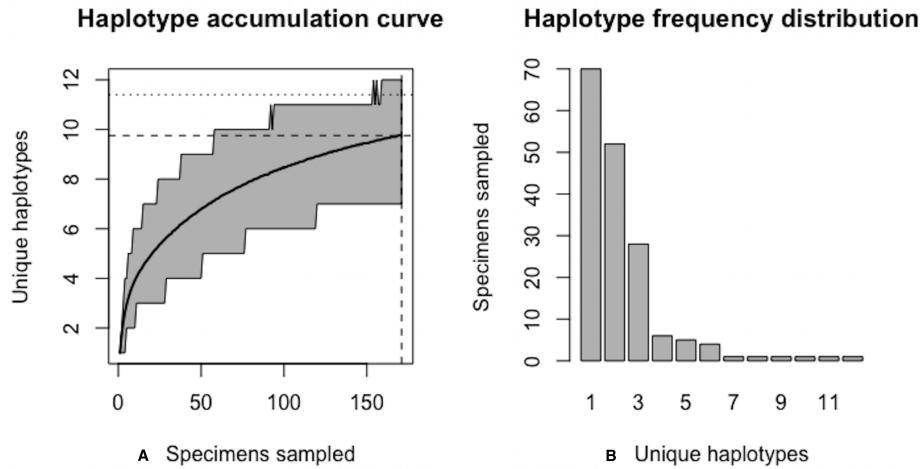


Figure 3.12: Initial graphical output of `HAC.sim()` for a real species (Scalloped hammerhead, *S. lewini*) having three dominant haplotypes. In this example, initially, only $R = 82.6\%$ of the $H^* = 12$ estimated haplotypes for this species have been recovered based on a sample size of $N = 171$ specimens. The haplotype frequency barplot is identical to that of **Figure 3.14**.

Further, `HACsim` predicts that $N^* = 414$ individuals (95% CI: 411.937-416.063) probably need to be randomly sampled to capture the majority of intraspecific genetic diversity within 5'-COI (**Figure 3.16**).

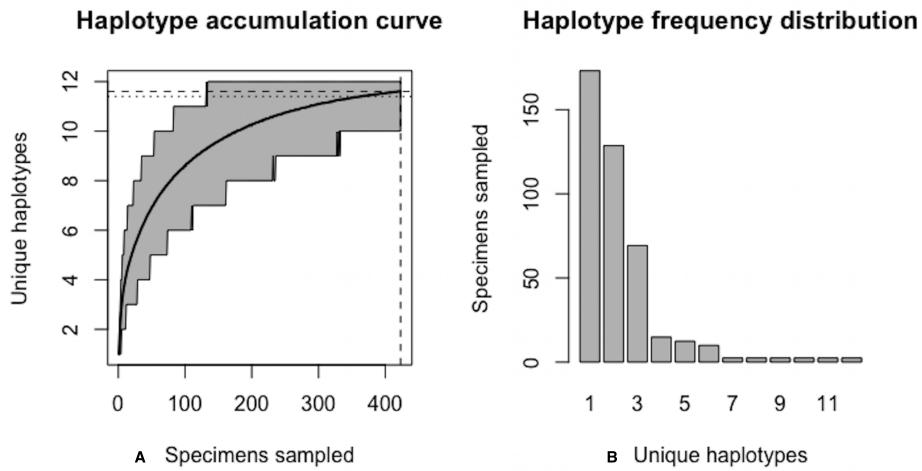


Figure 3.13: Final graphical output of `HAC.sim()` for scalloped hammerhead (*S. lewini*) having three dominant haplotypes. Upon convergence, $R = 95.6\%$ of the $H^* = 12$ estimated haplotypes for this species have been uncovered with a sample size of $N = 414$ specimens.

Since 171 specimens have already been collected, this leaves an additional $N^* - N = 243$ individuals which await sampling.

3.5 Conclusions

Herein, a new, easy-to-use R package was presented that can be employed to estimate intraspecific sample sizes for studies of genetic diversity assessment, with a particular focus on animal DNA barcoding using the COI gene. `HACSim` employs a novel nonparametric stochastic iterative extrapolation algorithm with good convergence properties to generate haplotype accumulation curves. Because our approach treats species' haplotypes as numeric labels, any genomic locus can be targeted to probe levels of standing genetic variation within multicellular taxa. However, we stress that users must exercise care when dealing with sequence data from non-coding regions of the genome, since these are likely

to comprise sequence artifacts such as indels and introns, which can both hinder successful sequence alignment and lead to overestimation of existing haplotype variation within species. The application of our method to assess likely required sample sizes for both hypothetical and real species produced promising results. We argue the use of HACSim will be of broad interest in both academic and industry settings, most notably, regulatory agencies such as the Canadian Food Inspection Agency (CFIA), Agriculture and Agri-Food Canada (AAFC), United States Department of Agriculture (USDA), Public Health Agency of Canada (PHAC) and the USFDA. While HACSim is an ideal tool for the analysis of Sanger sequencing reads, an obvious next step is to extend usability to NGS, especially High-Throughput Sequencing (HTS) applications. With these elements in place, even the full integration of HACSim to assess comprehensiveness of taxon sampling within large sequence databases such as BOLD seems like a reality in the near future.

Chapter 4

Solving the genetic specimen sample size problem for DNA barcoding with a local search optimization algorithm

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4.1 Prologue

Here, a detailed statistical simulation study is carried out to test the overall performance of HACSim. Because HACSim incorporates a degree of randomness in its search, it becomes necessary to run the algorithm multiple times under the same conditions to assess the variability of outputted estimates of sampling sufficiency.

Since the “true” number of specimens to collect is not known *a priori*, instead, the observed fraction of species’ haplotype diversity retrieved is compared to the desired level of haplotype diversity needed to be captured. Further, the effect of population size is also examined.

Using both fictitious and real-world examples mined from BOLD for socioeconomically-relevant species, it is shown that HACSim reliably outputs estimated sample sizes close to the nominal level of haplotype diversity set by the user. While results of the simulation study appear to show that HACSim is well-behaved at both low and high population sizes, it is nevertheless advisable to apply the algorithm to taxa thought to have large census sizes.

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ABSTRACT

Biodiversity manifests itself in many ways. One way is through the lens of species genetic diversity. DNA barcoding offers a systematic means of documenting such diversity in the face of global species extinction. One question of interest among DNA “barcoders” is: How many specimens of a given species do we need to sample before we can stop? That is, what sample size is needed to capture a given level of a species’ genetic diversity? This is not an easy question to answer! At a practical level, specimen sample sizes typically range from 1-10 individuals per species. However, a number of studies have demonstrated through both empirical investigations and statistical simulations that such small, largely arbitrary sample sizes are far from enough. In fact, some studies even suggest that hundreds to thousands of individuals may be necessary to be sampled before sampling can safely be stopped.

Here, a detailed statistical simulation study is carried out to test the overall performance of `HACSim`, short for **Haplotype Accumulation Curve Simulator**, a new R package developed to greatly facilitate the process of estimating likely required specimen sample sizes for recovery of species genetic variation based on saturation observed in haplotype accumulation curves. The approach underlying `HACSim` is fundamentally different from what has been attempted before, such as fitting purely parametric models to observed data. What separates `HACSim` from previously proposed methods is that it is a nonparametric approach that combines two clever statistical ideas to systematically propose plausible specimen sample sizes necessary to adequately recover a given level of haplotype

diversity for a species of interest. These are: (1) stochasticity (*i.e.*, randomness) and (2) iteration. These two characteristics together represent a step forward in thinking critically about how genetic variation manifests itself in contemporary patterns of biological diversification and how well current sampling efforts contribute to our understanding of these patterns and the underlying evolutionary processes that generate and maintain them. Throughout the present work, both hypothetical and real-world examples are employed to demonstrate the general utility of HACSim in relation to assessing both the comprehensiveness of specimen sampling as well as the downstream construction and curation of species barcode reference sequence libraries.

4.2 Introduction

4.2.1 Background

A central problem surrounding most biodiversity assessment studies concerns the robust estimation of required specimen sample sizes necessary to address a given research question of interest in ecology and evolutionary biology. Unfortunately, the specimen sample size problem is fraught with myriad challenges due in part to the inherent difficulty of adequate specimen collection in light of factors such as lack of project funding, as well as species rarity. This problem has largely persisted unabated throughout the years. One area where the issue of sample size determination has been sorely felt is in the discipline of DNA-based species diagnosis, especially DNA barcoding [87, 89].

Before proceeding any further, a brief explanation of the genetic specimen sample size problem (hereafter referred to as the GSSSP) as it pertains to DNA barcoding in animals is needed. Suppose that N individuals of a given species of interest have been sampled at random from the field. Mitochondrial DNA from said individuals is then isolated and the COI gene amplified and sequenced. The result is a set of N DNA sequences of which some are identical across individuals and others distinct. Such unique sequences are termed *haplotypes*. The GSSSP asks the following question: Has all species' haplotype variation likely been found from sampling only N specimens? If not, then what sample size N^* is needed to be sufficiently confident that the majority of haplotype diversity (H^*) has been captured?

The majority of molecular biodiversity researchers of studies devoted wholly or in part

to the GSSSP generally proceed in one of two ways when assessing haplotype sampling completeness for species of interest: (1) through simply plotting haplotype accumulation curves, and based on visual inspection as to the degree of saturation of the resulting curve, making an uninformed decision as to whether or not greater sampling effort is needed; and/or, (2) through naïvely assuming that available data used to construct such curves strongly conform to specific parametric statistical models. Unfortunately, both of these paths are inherently flawed. Firstly, decisions surrounding taxon sampling depth must be supported with quantitative evidence in the form of statistical hypothesis testing procedures or simulation studies because specimen sampling is both a costly and laborious endeavour [22, 182]. Moreover, because specimen sampling is an inherently stochastic process, a move away from a purely deterministic model and toward a more realistic one is needed to better inform the GSSSP.

4.2.2 Phillips *et al.*'s (2020) Haplotype Sampling Model

With these considerations in mind and knowledge in hand, [155] devised a nonparameteric stochastic, population-based local optimization framework within the R Statistical Environment [162], called `HACSim` (**Haplotype Accumulation Curve Simulator**), to estimate likely required sample sizes based on existing DNA barcode sequence data.

Two important assumptions arise in considering the overall utility of `HACSim` for assessing standing levels of genetic variation within species [155]:

1. that haplotypic variation observed in a randomly collected sample of specimens is representative of the true species' population (which is unknown *a priori*); and,
2. that unsampled haplotypes are rare in a species' population (*i.e.*, haplotypes occur at low frequency, potentially found in only 1-2 individuals – otherwise they would have already been sampled).

Assumption 1 is a common one adopted in many statistical resampling procedures such as nonparametric bootstrapping and is equivalent to treating a randomly drawn sample as if it were in fact the population of interest. Implicit in the present haplotype sampling model is the fact a randomly drawn sample of individuals makes up only a small fraction of the total species' population size. Assumption 2 is a strong, yet unrealistic one that is necessary within the framework of the underlying model. Whereas the total number of expected haplotypes that might exist for a given species' is readily estimated from observed data (such as through the Chao1 abundance estimator [27]), the probabilities associated with unseen haplotypes cannot be known with absolute certainty [155]. Therefore, the number of observed unique haplotypes for a species serves as a reasonable proxy for the total number of haplotypes that might exist for said species. In the context of the GSSSP investigated herein, Assumptions 1 and 2 together amount to assuming that all genetic diversity observed in reference sequence databases such as BOLD and related repositories arise from a single *infinitely-large* panmictic (*i.e.*, randomly-mating) species' population of constant size from which individuals are randomly sampled without replacement [156]. That is, the current model underlying HACS_{im} disregards both the contribution of

genetic drift which acts to alter haplotype frequencies in small species populations, as well as spatial effects which arise as a result of population substructuring via gene flow [154]. It is recognized that the abovementioned assumptions will likely not be met for most real species. Violations of stated assumptions can only be mitigated through more thorough specimen sampling, and therefore further sampling of standing intraspecific haplotype variation.

Here, we employ the definition of sampling sufficiency initially proposed by Phillips *et al.* [156]: the sample size at which sampling accuracy is maximized and above which no new information is likely to be gained. The authors of the current study note that this definition is slightly misleading as extensive sampling effort may result in only small gains in accuracy. A better term in this case to replace “maximized” in the above definition would be *converged*. Further details on the internal workings of HACSim can be found in Phillips *et al.* [155].

4.2.3 Assessing the Computational and Statistical Performance of HACSim

To fully assess the variability of any stochastic optimization algorithm, it is essential to carry out many independent runs under identical starting conditions. Repeated generation of random pseudodata drawn from known probability distributions under carefully designed experiments is the hallmark of statistical simulation studies [21, 133]. When it comes to designing any simulation study to test the performance of new statistical methods, one actually knows (or at least pretends to know) the ground truth underlying a given

data-generating process. Within the present study, comparing estimates of sample size proposed by HACSim (N^*) to the “true” sampling sufficiency (θ) is not possible because the actual number of specimens of a particular species needed to be sampled to retrieve a given level of genetic diversity, while assumed to be fixed, is not known in advance. If this were indeed the case, and specimen collection was feasible, then all specimens could reasonably be sampled without too much effort. Instead, the goal here lies in maximizing the degree of “closeness” of the estimated fraction of a species’ haplotype diversity recovered (R) to the desired level of haplotype diversity to be captured (p). The hypothetical species examples and real species case studies employed by Phillips *et al.* [155] were meant to illustrate proof-of-concept of the method, and therefore only one cycle of HACSim was performed for each case. In the context of the present study, a single realization representing an estimate for specimen sampling sufficiency is unlikely to be useful on its own. Running a non-deterministic algorithm in succession often reveals multiple valid local optima for a search problem of interest, each which must be carefully weighed [179].

4.2.4 Outline of the Current Study

Here, we develop and present details of an extensive statistical simulation study of the overall computational performance of HACSim from the perspective of key stochastic optimization algorithm properties such as unbiasedness and robustness of suggested sampling sufficiency estimates. To do this, focus is placed specifically on the simulation of various haplotype composition scenarios in hypothetical species. In addition, we test HACSim’s ability to capture haplotype variation in real species of traditional, regulatory,

forensic and human health importance.

The need to repeat simulations a large number of times to properly assess both algorithm variability, as well as the need to examine the plausibility of various local optima for specimen sampling sufficiency found by HACSIm given current sampling intensities, strongly motivates the remainder of the present study is stressed throughout.

4.3 Methods

To better understand HACSIm's overall suitability as a general tool for assessing specimen sampling completeness on the basis of standing levels of intraspecific haplotype variation, a statistical simulation study was conducted examining both equal and unequal haplotype frequency distributions. Hypothetical and real species scenarios were each run 100 times with the default number of permutations (`perms = 10000`) at three different levels of haplotype recovery: $p = 0.80$, $p = 0.90$ and $p = 0.95$. A total of 100 runs was chosen due to the computational expense of HACSIm. All simulations (HACSIm plus the simulation study) were carried out on a standard laptop running Ubuntu 20.04 64 bit, along with an 8 GB RAM Intel Core i5-7200U CPU @ 2.50GHz processor 4 256GB SSD storage. Statistical analysis was performed in R version 3.6.3 via RStudio on a MacBook Pro running macOS High Sierra with a 2.7 GHz Intel Core i5 processor with 8 GB 1867 MHz DDR3 of RAM.

4.3.1 Hypothetical Species

Four different scenarios were tested on hypothetical species through running HACSim. In all cases, an initial sample size of $N = 100$ individuals was assumed where $H^* = 10$ COI haplotypes were observed. One hundred specimens and ten haplotypes were selected here since these order of magnitudes are common within many sampled species found in BOLD. Scenarios altered observed haplotype distributions as follows:

- Scenario I (all species' haplotypes equally frequent according to a uniform distribution): Haplotypes 1-10 each have a frequency of 10%
- Scenario II (1 dominant haplotype): Haplotype 1 occurs at a frequency of 90%; haplotypes 2-10 each occur with 1.111% frequency
- Scenario III (2 dominant haplotypes): Haplotypes 1 and 2 each occur at 45% frequency; haplotypes 3-10 with a frequency of 1.250%.
- Scenario IV (3 dominant haplotypes): Haplotypes 1-3 each occur with 30% frequency; haplotypes 4-10 at a frequency of 1.429%.

The above scenarios are in no way meant to exactly mimic haplotype frequencies present in real species populations; rather, Scenarios I-IV reflect a tradeoff between “interestingness” and algorithm runtime.

4.3.2 Real Species

To better place HACSim on more solid biological ground, the algorithm was tested on a variety of real species of socioeconomic, medical/veterinary and agricultural importance mined from BOLD. In addition to the three species analyzed by [155] (Lake whitefish (*Coregonus clupeaformis*) ($N = 235$, $H^* = 15$), Deer tick (*Ixodes scapularis*) ($N = 349$, $H^* = 83$) and Scalloped hammerhead shark (*Sphyrna lewini*) ($N = 171$, $H^* = 12$)), barcode data from Pea aphid (*Acyrtosiphon pisum*), Common mosquito (*Culex pipiens*) and Gypsy moth (*Lymantria dispar*) were also assessed. The reasoning for selecting these three additional species in particular is due to their negative anthropogenic impacts, in addition to both their taxonomic diversity (occurring across three separate genera) and having wide representativeness in BOLD. Despite this, much existing haplotype variation remains to be fully characterized. Deeper sampling coverage of these and other species will enable accurate identifications through contributing to the construction of barcode reference libraries found in publicly-available genomic sequence databases. Geographic variation of collected samples is necessary for the rapid development of robust primer and probe sets for use in quantitative Polymerase Chain Reaction (qPCR) assays to aid species diagnosis, as well as gaining a better understanding of the phylogeography of relevant species. Brief aspects of the biology concerning the three additional abovementioned species is given in the below subsections. Information on species examined by Phillips *et al.* [155] can be found in that publication.

DNA barcode sequences for these three species were downloaded from BOLD's Public

Data Portal on January 24, 2021. Sequence preprocessing in MEGA7 [112] was identical to that outlined in [155]. In particular, records originating from GenBank, as well as sequences comprising missing data (external gaps), IUPAC ambiguity codes, or insertions/deletions (indels) were excluded due to quality concerns [81] and likely overestimation of standing intraspecific haplotype variation [154, 155, 156]. All species' multiple sequence alignments new to this study were trimmed to a final length of 658 bp.

Pea Aphid (*Acyrthosiphon pisum*)

In addition to being highly detrimental to the agriculture sector, aphids (Hemiptera: Aphidoidea) present an interesting focal case study for DNA barcoding due to their complex life cycles across diverse morphological forms, coupled with their unique modes of reproduction [65].

As one of the most recognizable plant pest species, the pea aphid (*Acyrthosiphon pisum*) exhibits remarkable levels of phenotypic plasticity, often switching between winged and non-winged forms, as well as adopting both sexual and asexual (*i.e.*, parthenogenetic) mating strategies in response to changing environmental conditions and seasonality.

A total of 653 public sequence records for *A. pisum* were mined from BOLD. Of these, $N = 356$ meet stringent criteria outlined above and by [155]. The obtained DNA alignment revealed a total of $H^* = 12$ unique haplotypes, with Haplotype 1 occurring at a frequency of 96.6%.

Common Mosquito (*Culex pipiens*)

Mosquitoes (Diptera: Culicidae) are noted as both nuisance pests and vectors of zoonotic pathogens such as West Nile virus, Dengue virus, malaria-causing *Plasmodium* virus and Zika virus, which together cause millions of deaths worldwide annually. Further, the small size of most species often precludes successful identification on the basis of morphology by even expert taxonomists. Thus, the importance of rapid identification of potentially infected specimens through genomic solutions like DNA barcoding can greatly propel the development of effective control measures imperative in avoiding further illness and deaths [11].

The common mosquito (*Culex pipiens*) is a geographically-widespread species of great interest to practitioners within parasitology and medical entomology fields across the globe. In addition to their complex ecology and their ability to adapt to a wide range of environments, *C. pipiens* also forms a species complex with other closely-related species due to shared biological characteristics; hence, instances of potential cryptic diversity have been well documented.

A total of 1280 DNA sequences from *C. pipiens* were retrieved from BOLD. After processing, the number of useable 5'-COI sequences dropped to only $N = 217$. The final sequence alignment consisted of $H^* = 25$ species' haplotypes, with a single dominant haplotype (Haplotype 1) at 84.3%.

Gypsy Moth (*Lymantria dispar*)

As a group, Lepidoptera (comprising butterflies and moths) has long been a prime target to assess the efficacy of DNA barcoding due to the geographically-widespread distribution and the morphological diversity of its member species, so much so that they presently make up more than 1.2 million specimen records found on BOLD.

In what can only be perceived a “genetic paradox of invasion” [53], invasive alien species (IAS) have both fascinated and frustrated biologists for decades due to their highly successful colonization potential in spite of multiple introductions originating from small founder populations and experiencing genetic bottlenecks that act to promote inbreeding. Notwithstanding, invasive insects introduced to North America from elsewhere (*e.g.*, Europe) have caused over 30 billion dollars in damage to forest ecosystems [212].

Taxa of the Tussock moth group (Lymantriinae) are well-known as notorious plant pests. The gypsy moth (*Lymantria dispar*) is a highly-invasive lepidopteran responsible for mass destruction of, and billions of dollars in damage to, forests worldwide, especially in North America. Within Canada, this species is highly regulated by the Canadian Food Inspection Agency (CFIA). To facilitate timely eradication of this and other unwanted pest species, recent research efforts have focused on developing molecular methods to better track their introduction, establishment and subsequent spread (*e.g.*, salt traps; [130, 211]). DNA barcoding in particular has been shown to be a highly valuable tool in rapidly identifying *Lymantria* specimens of biosecurity concern [49].

Due to the great interest in *L. dispar*, a number of specimen records have been deposited

on BOLD over the years. As of this writing, over 3300 specimens have been submitted, albeit the majority coming from GenBank. For the present study, 3362 sequence records were obtained. However, only $N = 365$ were of high quality. The resulting alignment comprised $H^* = 58$ haplotypes. Several dominant haplotypes were found for this species. Haplotypes 1-5 ranged from 3.56%-23.3% in frequency.

4.3.3 Simulation Study

A custom R script (see **Supplemental Information** in **Appendix B**) was developed to carry out the simulation study through testing whether values of N^* reported by HACSim actually correspond to capturing at least p% of observed haplotype diversity for each examined species scenario through random sampling alone. To accomplish this, three different artificial populations of sizes 1000, 10000 and 100000 were initially explored for both hypothetical and real species scenarios. Population sizes for most real species are difficult to ascertain with certainty. Thus, selected population sizes are not meant to reflect ground truth; rather, said values were chosen merely to test the limits of HACSim. Since it can be argued that the abovestated population sizes are not likely reflective of biological reality, particularly for invertebrate taxa, a fourth, much larger population size of 10000000 was also tested to introduce more biological realism into the simulations. For each population, subsets of N^* individuals corresponding to those found from running HACSim were randomly sampled without replacement and the proportion of observed haplotypes recovered was calculated according to the underlying haplotype frequency distribution for all hypothetical and real species scenarios. This scheme was repeated 50

times for each unique value of N^* , after which an average was taken. Averages were displayed along with 95% CIs computed using the Central Limit Theorem (CLT) with the R package `ggplot2` [201]. Under the premise that `HACSim` provides reasonable estimates of θ , it is expected that the proportion of observed species' haplotypes retrieved would, on average, match the value of p selected prior to running `HACSim`.

Local optima were characterized for all hypothetical and real species through enumerating the total number of solutions found, reporting the range of said solutions, locating the highest mode(s) in the solution landscape, computing the standard deviation of all plausible optima, and indicating the number of times the highest mode(s) occurred.

For each value of N^* found by the simulation study, coverage probabilities of constructed large-sample confidence intervals (based on the CLT) for the fraction of observed haplotypes recovered were compared with the nominal interval coverage of 95% (along with 80% and 90%) to assess whether or not said confidence intervals actually capture at least 95% (similarly, 80% and 90%) of observed species' haplotype variation. In practice, coverage probabilities rarely match nominal values, unless observations are normally distributed or sample sizes are sufficiently large. Given that coverages were computed on the basis of detected local optima, exact 95% binomial (Clopper-Pearson) confidence intervals were also calculated (via `binom.test()` in R) to better assess estimate uncertainty. Observed coverage probabilities were deemed as conservative if they were found to be greater than the stated nominal coverage of 95% (in addition to 80% and 90%), permissive if they were less than the prespecified coverage, or exact if both estimated

and true coverages were equal to these values.

4.3.4 Statistical Analysis

The Kruskal Wallis (KW) test was employed to assess whether or not simulation results differed significantly across population sizes. Ideally, any proposed statistical method should be robust to changes in population size. Whenever results suggest this is not the case, the employed method should be refined. The KW test is the nonparametric equivalent of a one-way analysis of variance (ANOVA) for independent samples and is appropriate whenever observations are suspected to deviate from those coming from normally-distributed populations. All tests were carried out using the base R `kruskal.test()` function at the 5% level of significance with the Bonferroni correction and a two-sided alternative hypothesis. Hypotheses were rejected with p -values less than or equal to $\frac{\alpha}{n}$. Thus, for $\alpha = 0.05$ with six comparisons, the null would be rejected whenever $p \leq \frac{0.05}{6} \approx 0.0083$. Following the KW test, Dunn's post-hoc test with the Bonferroni correction was implemented using the function `dunn.test()` [51] from the R package `dunn.test` to assess which population sizes differed significantly from each other.

Regarding hypothetical taxa, p -values could only be calculated for Scenarios II-IV given that Scenario I (equal haplotype frequencies) resulted in only a single mode (*i.e.*, the same value of N^* was found across all 100 repetitions of HACSim). In cases where the KW test could be conducted for both hypothetical and real species, a total of six different combinations of population size were assessed. Haplotype frequency distributions were compared for each the following population size pairings: (1) 1000 *vs.* 10000, (2) 1000 *vs.*

100000, (3) 1000 vs. 10000000, (4) 10000 vs. 100000, (5) 10000 vs. 10000000 and (6) 1000000 vs. 10000000.

4.4 Results and Discussion

Results presented herein pertain primarily to $p = 0.95$ at a population size of 10000. Specific findings for $p = 0.80$, $p = 0.90$ and remaining population sizes for $p = 0.95$ can be found within **Appendix B**. All set proportions for the desired level of haplotype diversity to retrieve showed similar patterns and thus led to similar conclusions.

4.4.1 Effect of Population Size

Several plausible local optima for specimen sampling sufficiency were found by HACSim in all hypothetical species (**Figures 4.1-4.3** and **Table 4.5**) and real species scenarios (**Figures 4.4-4.9** and **Table 4.6**) except Scenario I (results not shown), where only a single optimum was obtained. Many of the detected optima across all hypothetical and real species scenarios were tied in frequency of occurrence, suggesting that the solution landscape is not unimodal. The fact that the solution landscape comprises many small peaks, plateaus and deep valleys suggests that it is quite rugose in shape. Both Scenario IV (**Figure 4.3**) and *L. dispar* (**Figure 4.8**) showed multiple separate highest mode optima: two and three respectively. Two real species, *A. pisum* (**Figure 4.4**) and *L. dispar* displayed two overlapping sets of local optima for differing population sizes: one for a population size of 1000 and another for population sizes of 10000, 100000 and 10000000 (**Table 4.6**). Local optima located for a population size of 1000 comprised a subset of those optima

found with population sizes of 10000, 100000 and 10000000. HACSim was successful in avoiding getting trapped in local basins of attraction too near to the initial estimates set for sampling sufficiency (*i.e.*, the initial number of observed specimens, N) owing to a large number of permutations being employed within simulation runs. Several of these optima were found multiple times across the 100 runs of HACSim: between 1-100 times for hypothetical species scenarios (**Figures 4.1-4.3**) and 1-6 times in the case of real species (**Figures 4.4-4.9**). A general trend seen for hypothetical species, but not real taxa, was the reduction in both number of local optima and the spread (range and standard deviation) of said optima as the number of dominant haplotypes increased (equivalently, as the number of rare haplotypes decreased) with the exception of Scenario I (**Table 4.5**). The tandem reduction in the standard deviation of feasible solutions and the number of observed local optima for hypothetical species seems to indicate that high permutation sizes promotes efficient exploitation of the problem search space; however, such a pattern likely cannot be said of real species in light of the scope of current experiments performed herein. Rather, results for real taxa appear to suggest that optimal specimen sampling is easier for some species but not others. It is expected that the diversity of various modes within the solution landscape found using the current algorithm is likely to decrease as more permutations are employed when initializing HACSim; conversely, increasing the number of independent runs of HACSim will result in local optima being found with greater frequency. Yet, many located optima should be shared among differing combinations of permutations and simulation runs.

On average, HACSim was found to recover desired level of standing haplotype diversity for both hypothetical and real species at all assessed population sizes in most cases (**Figures 4.10-4.18, Tables 4.1 and 4.2, Appendix B**). Further, the variability of the observed proportion of species' haplotypes captured was found to decrease with increasing values of N^* , indicating that, on average, larger specimen sample sizes are better able to retrieve desired levels of haplotype diversity compared to smaller ones. Interestingly, for Scenario III (population size 1000), Deer tick (population size 1000), Gypsy moth (population size 1000) and Scalloped hammerhead shark (population sizes 100000 and 10000000), the mean fraction of recovered observed haplotypes fell below the desired 95% haplotype recovery cutoff (**Figure 4.18, Appendix B**). Given that proportions were often less than 95% at a population size of 1000 for real species, it remains unclear whether such a trend is due to employing a small number of replications (here, 50), too few runs or is the result of evolutionary processes governing intraspecific genetic variation. The latter could be easily tested through examining more closely-related taxa (*e.g.*, those within the same genus) or perhaps species occupying the same geographic region or ecological niche. Low values observed at population sizes of 100000 and 10000000 are likely due to chance alone. In any case, whenever feasible, researchers should aim to use as many replications and HACSim runs as possible, particularly when the desired level of haplotype recovery is high.

In general, based on results obtained from simulation study output, population size was found to have little effect on the ability of HACSim to successfully capture sufficient levels of observed species' haplotype diversity, for both hypothetical and real species, despite

having only utilized 50 replications and 100 independent runs of HACSim (**Tables 4.3** and **4.4**, **Appendix B**). The estimated proportion of haplotype diversity found across all hypothetical and real species examples did not fall below 90%; in fact, many estimates were consistently above the desired 95% threshold. This result is not all that surprising since the default number of permutations (`perms = 10000`) was employed within HACSim. Thus, increasing the number of replications employed in the simulation study is unlikely to be of any real benefit, as it will only act to increase runtime substantially.

Assessment of confidence interval coverage for both hypothetical and real species was revealing. Most computed probabilities were quite conservative (**Tables 4.7** and **4.8**, **Appendix B**). The Clopper-Pearson binomial confidence interval is asymmetric and is often found to be very conservative in practice. As a result, estimated CI coverages across all scenarios explored herein were found to be well above the required 95% level, with few exceptions. In the latter case, such a finding is likely due to the fact that only 100 repetitions of HACSim were employed in the simulation study due to computation time constraints (see next section below for further discussion). Among problematic scenarios, coverage probabilities were lowest for a population size of 1000. Only in one instance, *L. dispar*, was coverage found to be zero. In this case, CI endpoints lied slightly to the left of the desired nominal coverage. Better (higher) interval coverage probabilities should be observed with an increasing number of algorithm runs.

For both hypothetical and real species scenarios examined within the present study, differences in proportions of observed unique haplotypes captured were found to be

statistically significant at the 5% level based on the KW test (results not shown). Post-hoc analysis via Dunn's test seems to point to statistical differences only when comparing small vs. large population sizes (e.g., 1000 vs. 10000000). Any deviation from this trend is likely attributed to random chance alone (given that HACSim is stochastic in nature and that only 50 replications were employed within the simulation study) rather than being due to any true effect. This suggests that population size plays little to no role in affecting the overall performance of HACSim. This assertion appears to be supported by results found in

Tables 4.1 and 4.2, as well as **Appendix B**.

4.4.2 Algorithm Runtimes

Completion time for Scenario I was around the five minute mark, whereas simulation of Scenarios II-IV took around one hour each. Runtimes for real species were considerably longer, ranging from approximately 4 hours in the case of the scalloped hammerhead shark ($N = 171$, $H^* = 12$) to 30 hours for deer tick ($N = 349$, $H^* = 83$). Interestingly, the most data-heavy species in terms of number of DNA sequences (Gypsy moth: $N = 365$, $H = 58$) took only *c.* 28 hours to finish. Such an observation might be explained by differences among operating systems and underlying compilers used in running HACSim, as well as overall cleanliness of the underlying algorithm R and C++ code. While for the most part algorithm runtimes appear to scale linearly with the size and characteristics of the generated population array (*i.e.*, depending on N , H^* and `perms`) for a given value of `p`, due to the variation in species' haplotype frequency distributions (`probs`) and the stochastic nature of HACSim, obtaining exact algebraic expressions for average-

and worst-case algorithm time complexities is not straightforward. However, generally speaking, algorithm runtimes were shortest for a haplotype recovery of $p = 0.80$ and longest for $p = 0.95$. Computation times for $p = 0.80$ spanned about five minutes (Scenarios I and III) to *c.* six hours (Deer tick), while those for $p = 0.90$ ranged from *c.* five minutes (Scenario I) to *c.* 10.5 hours (Gypsy moth).

4.5 Conclusion

In the present work, a detailed simulation study was carried out to test the performance of HACSim, a local optimization algorithm developed in R to assess specimen sampling completeness for DNA barcoding on the basis of saturation levels observed in plotted species' haplotype accumulation curves. The goal was to explore the potential use of HACSim in proposing adequate sample sizes in the context of the Genetic Specimen Sample Size Problem (GSSSP). Haplotype sampling carried out within HACSim is meant to closely approximate real sampling of species' genetic variation in the field, albeit in a much more systematic and inexpensive fashion. Analysis was conducted on a wide variety of hypothetical and real species scenarios across various levels of haplotype recovery. Selection of hypothetical species scenarios reflected a tradeoff between "interestingness" and algorithm runtime. Real species scenarios largely comprised taxa of socioeconomic and regulatory/forensic importance, in particular invasive species and those of cultural and medical significance.

Herein, HACSim identified many local optima that could conceivably capture differing

levels of standing haplotype variation for both hypothetical and real species. While the highest modal value of N^* was employed as an estimate of the “true” sampling sufficiency for a species (θ), the mode may not tell the whole story. Unlike in the context of other population-based metaheuristics like genetic algorithms, where the notion of a “best” solution is often readily evident from a given evalution of the objective function, such is not the case with HACSim. In actuality, realizations of N^* form a *distribution*. Given that specimen sampling is dictated strongly by availability of time and resources, reporting other summary statistics, particularly the minimum and maximum alongside the mode will allow researchers to better weigh benefits and costs of collection in the field and therefore make an informed decision on how “best” ought to be defined for taxa under study. This is especially important when it comes to assessing genetic diversity for species at risk for example.

A central theme stressed throughout this work is the importance of algorithm replication due to the stochastic nature of HACSim. Simulation study results obtained herein point to the overall utility of HACSim as a general and flexible tool to estimate likely required specimen sample sizes for DNA barcoding. Despite this, for HACSim to be made a routine part of the DNA barcoder’s toolkit, much work still remains to be accomplished. This includes algorithm parallelization to speed computation in more efficient and powerful programming languages such as C++ or Julia. Further, It remains to be seen how HACSim performs for taxa with only tens, say, of collected individuals and for low permutation sizes.

A noteworthy extension of HACSim involves the simulation of DNA sequences according to various models of nucleotide substitution. Such a capability would add an additional layer of biological realism on top of existing features offered by HACSim.

Despite much more work to be realized, results obtained within the present study suggest that HACSim is a reasonable tool for estimating likely required specimen sample sizes for species of interest based on genetic variation observed within COI barcodes.

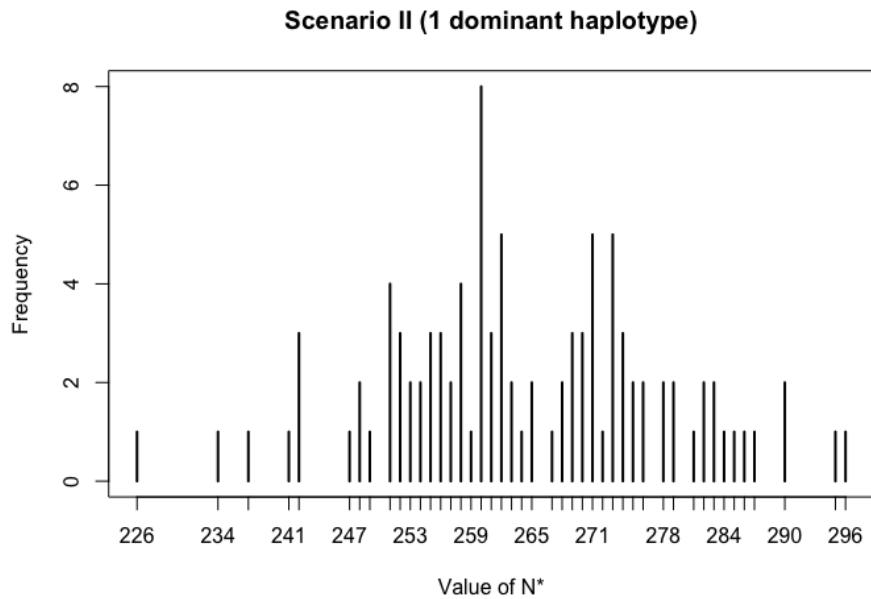


Figure 4.1: Local optima for Scenario II (1 dominant haplotype) for a population size of 10000.

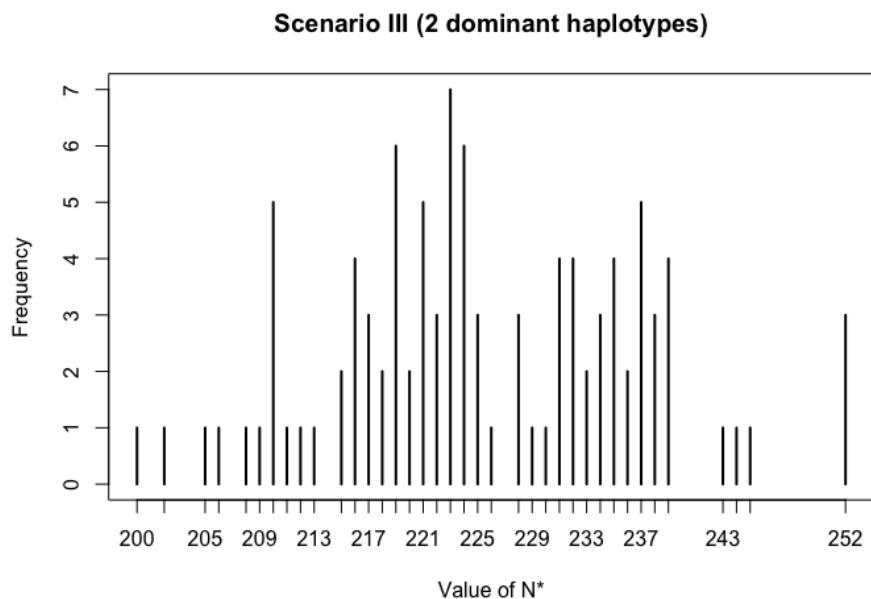


Figure 4.2: Local optima for Scenario III (2 dominant haplotypes) for a population size of 10000.

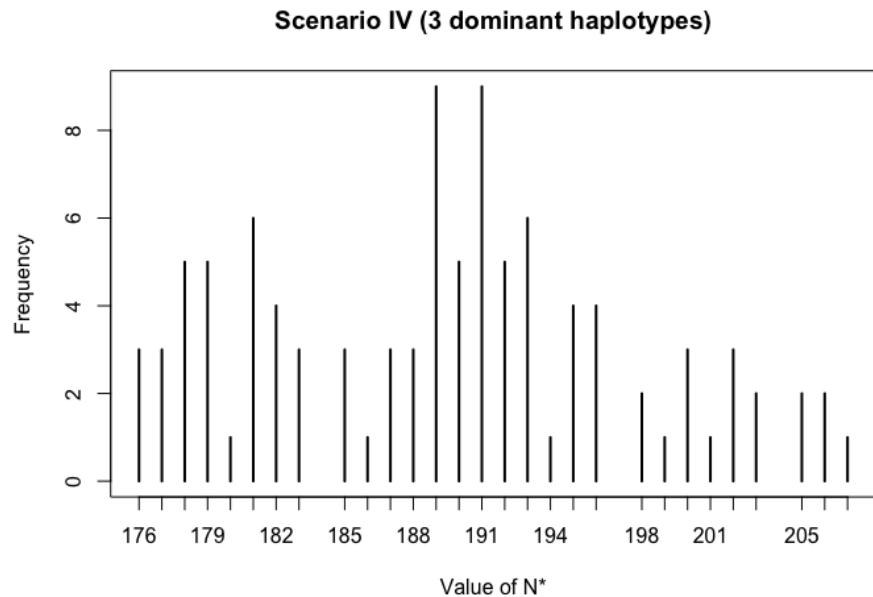


Figure 4.3: Local optima for Scenario IV (3 dominant haplotypes) for a population size of 10000.

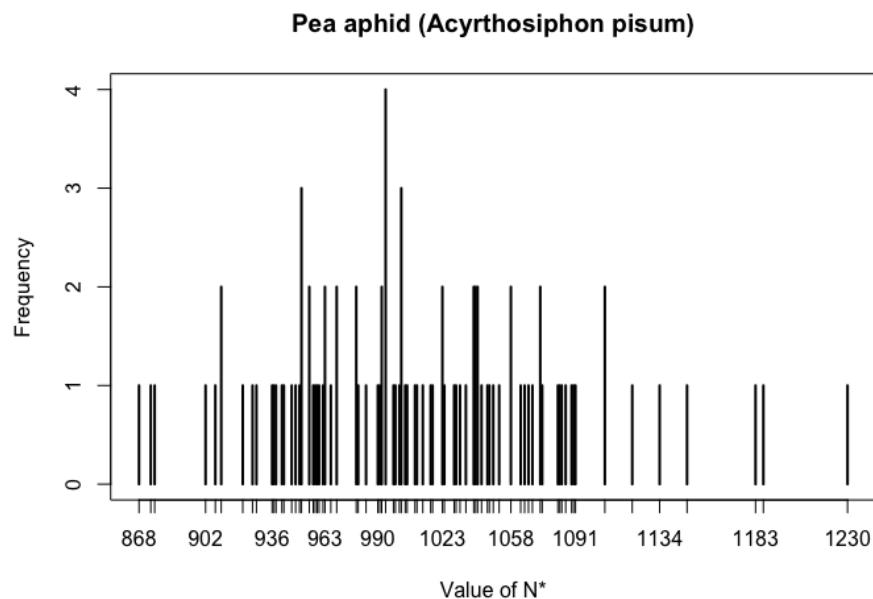


Figure 4.4: Local optima for Pea aphid (*A. pisum*) for a population size of 10000.

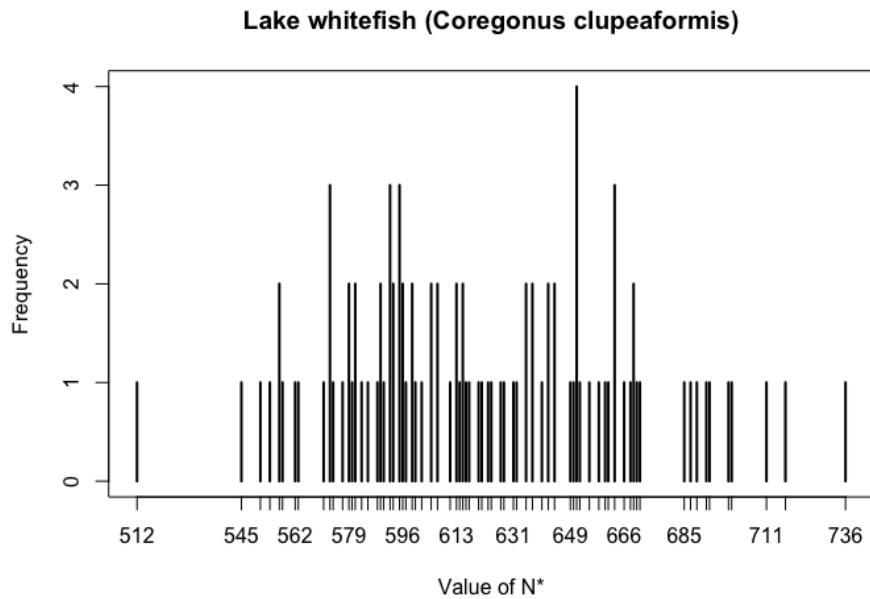


Figure 4.5: Local optima for Lake whitefish (*C. clupeaformis*) for a population size of 10000.

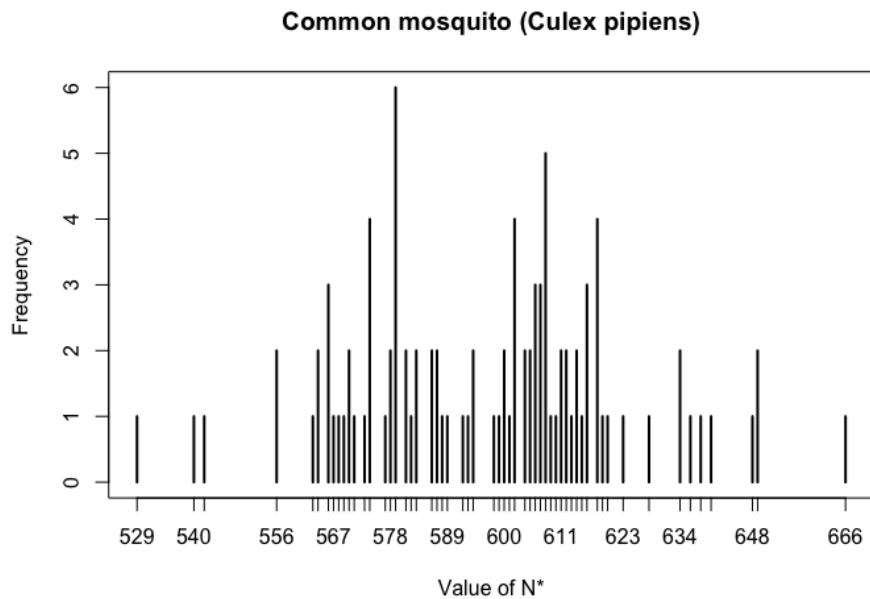


Figure 4.6: Local optima for Common mosquito (*C. pipiens*) for a population size of 10000.

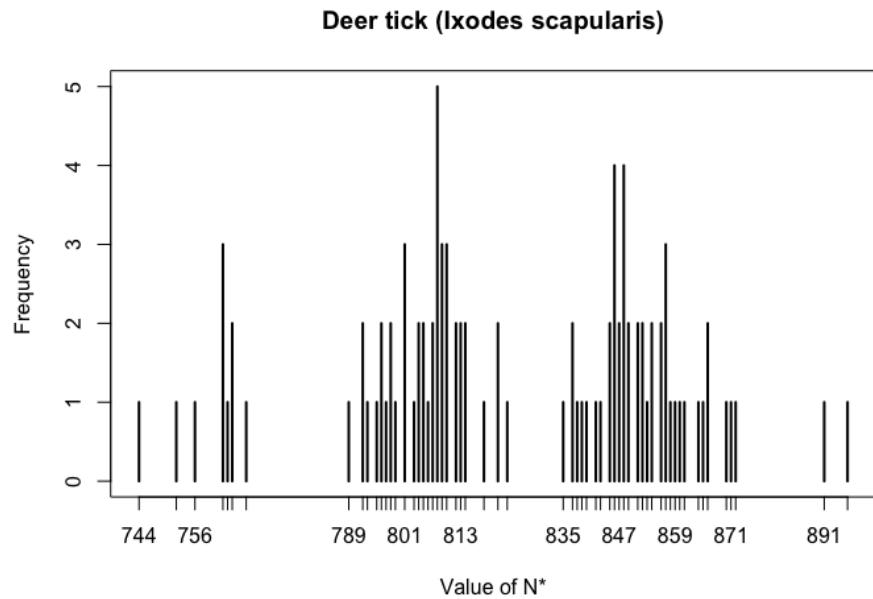


Figure 4.7: Local optima for Deer tick (*I. scapularis*) for a population size of 10000.

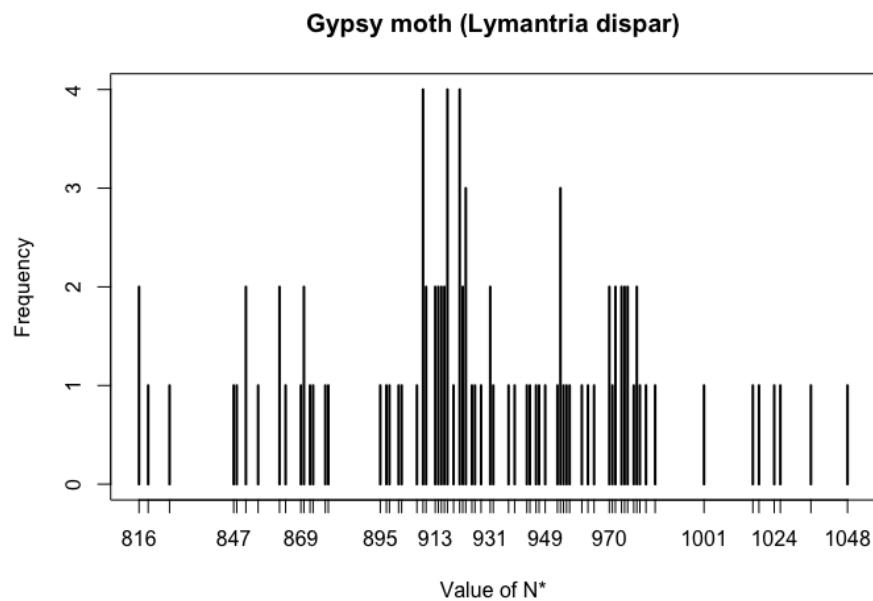


Figure 4.8: Local optima for Gypsy moth (*L. dispar*) for a population size of 10000.

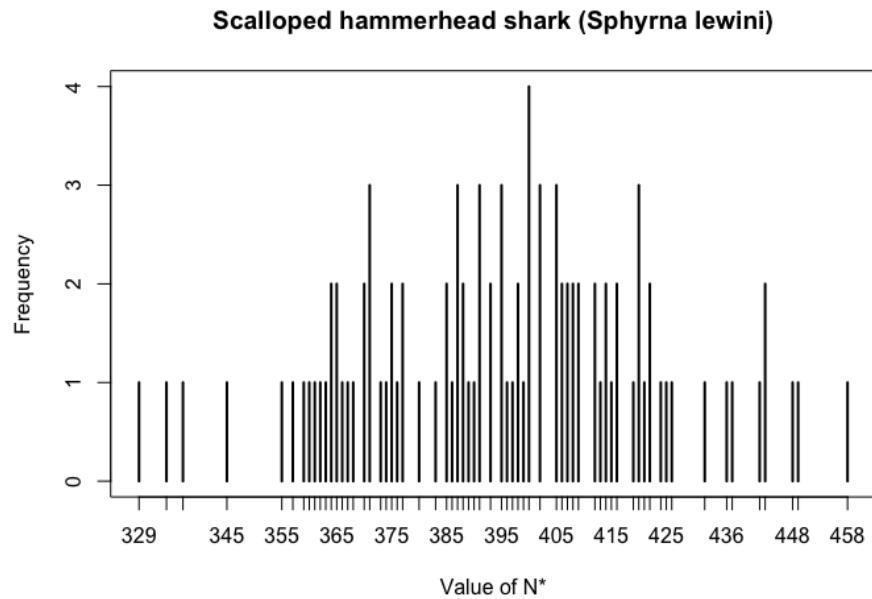


Figure 4.9: Local optima for Scalloped hammerhead shark (*S. lewini*) for a population size of 10000.

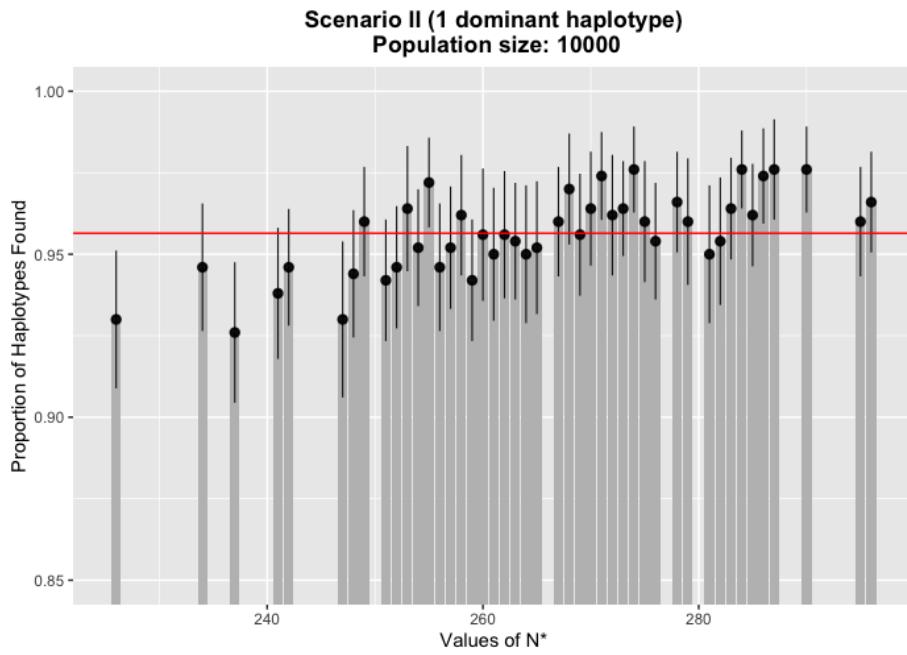


Figure 4.10: Plot showing all located local optima and the proportion of observed haplotypes captured for Scenario II (1 dominant haplotype) with 95% confidence intervals for a population size of 10000. The mean proportion across 50 replications is depicted as a black dot. The mean proportion across all located local optima is displayed as a solid red horizontal line. The thickness of displayed grey error bars is a construct of `ggplot2` based on the number of local optima and holds no additional meaning in the context of this study.

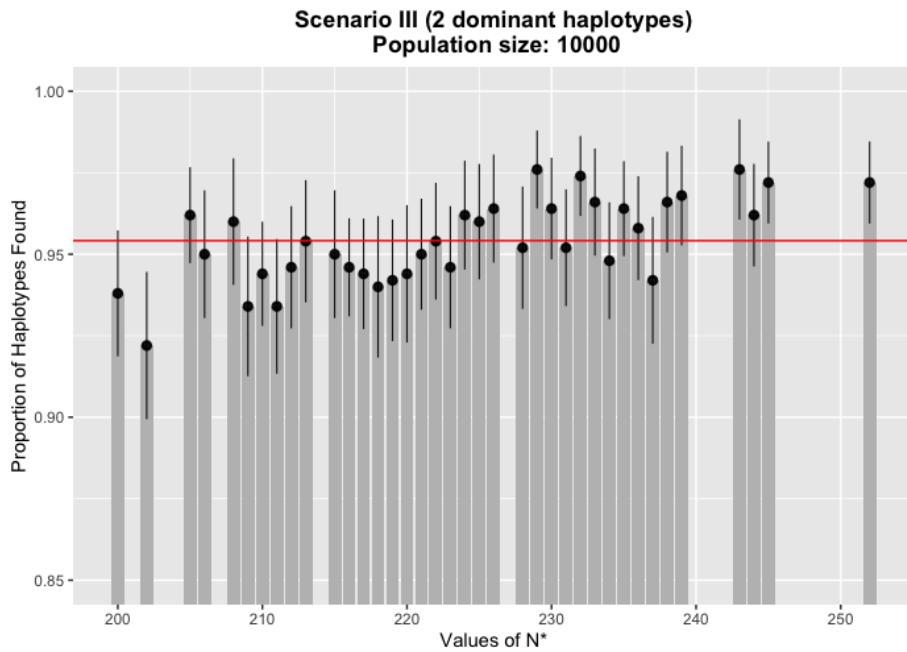


Figure 4.11: Plot showing all located local optima and the proportion of observed haplotypes captured for Scenario III (2 dominant haplotypes) with 95% confidence intervals for a population size of 10000. The mean proportion across 50 replications is depicted as a black dot. The mean proportion across all located local optima is displayed as a solid red horizontal line. The thickness of displayed grey error bars is a construct of `ggplot2` based on the number of local optima and holds no additional meaning in the context of this study.

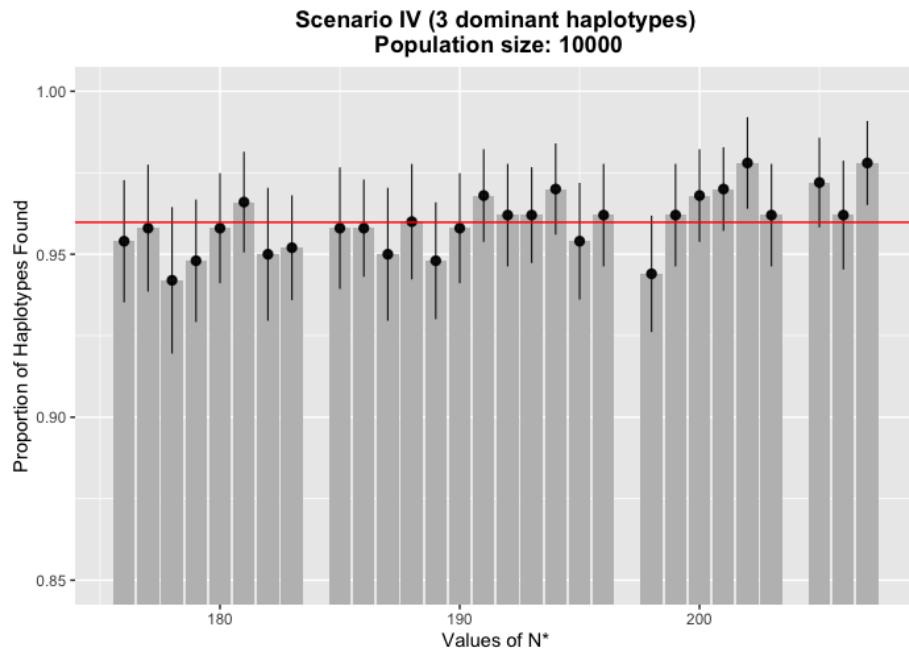


Figure 4.12: Plot showing all located local optima and the proportion of observed haplotypes captured for Scenario IV (3 dominant haplotypes) with 95% confidence intervals for a population size of 10000. The mean proportion across 50 replications is depicted as a black dot. The mean proportion across all located local optima is displayed as a solid red horizontal line. The thickness of displayed grey error bars is a construct of `ggplot2` based on the number of local optima and holds no additional meaning in the context of this study.

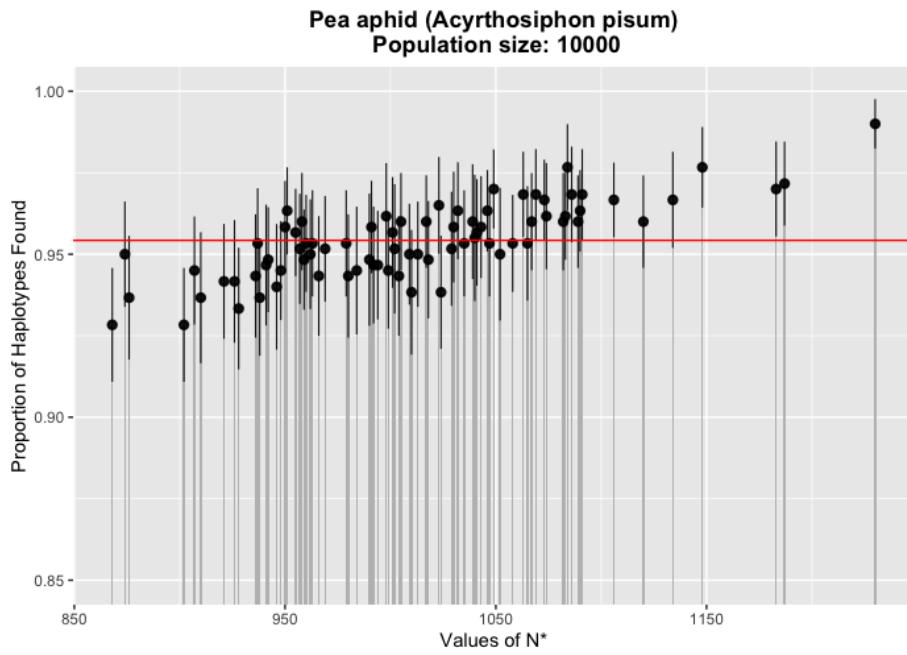


Figure 4.13: Plot showing all located local optima and the proportion of observed haplotypes captured for Pea aphid (*A. pisum*) with 95% confidence intervals for a population size of 10000. The mean proportion across 50 replications is depicted as a black dot. The mean proportion across all located local optima is displayed as a solid red horizontal line. The thickness of displayed grey error bars is a construct of `ggplot2` based on the number of local optima and holds no additional meaning in the context of this study.

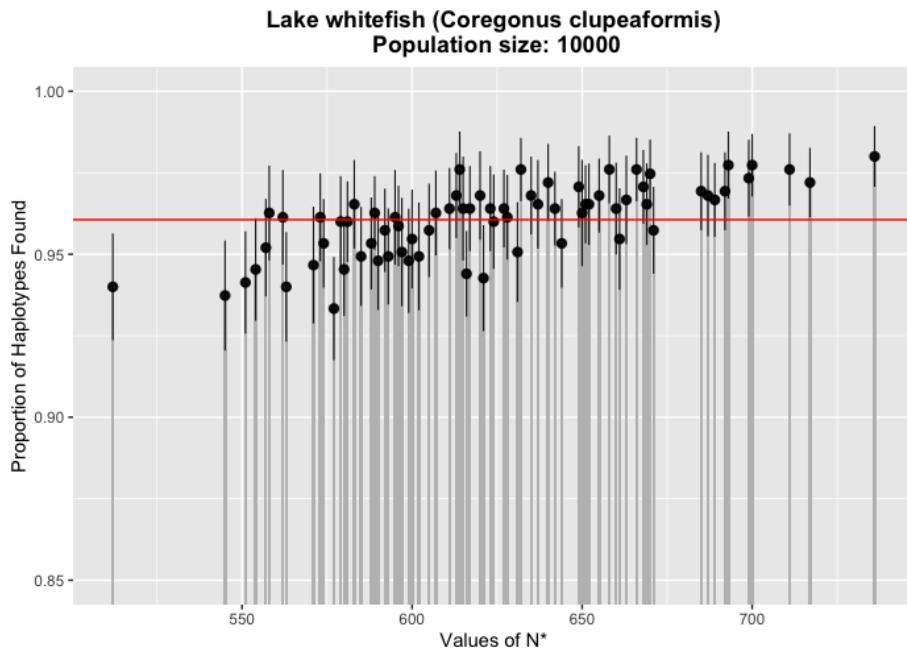


Figure 4.14: Plot showing all located local optima and the proportion of observed haplotypes captured for Lake whitefish (*C. clupeaformis*) with 95% confidence intervals for a population size of 10000. The mean proportion across 50 replications is depicted as a black dot. The mean proportion across all located local optima is displayed as a solid red horizontal line. The thickness of displayed grey error bars is a construct of `ggplot2` based on the number of local optima and holds no additional meaning in the context of this study.

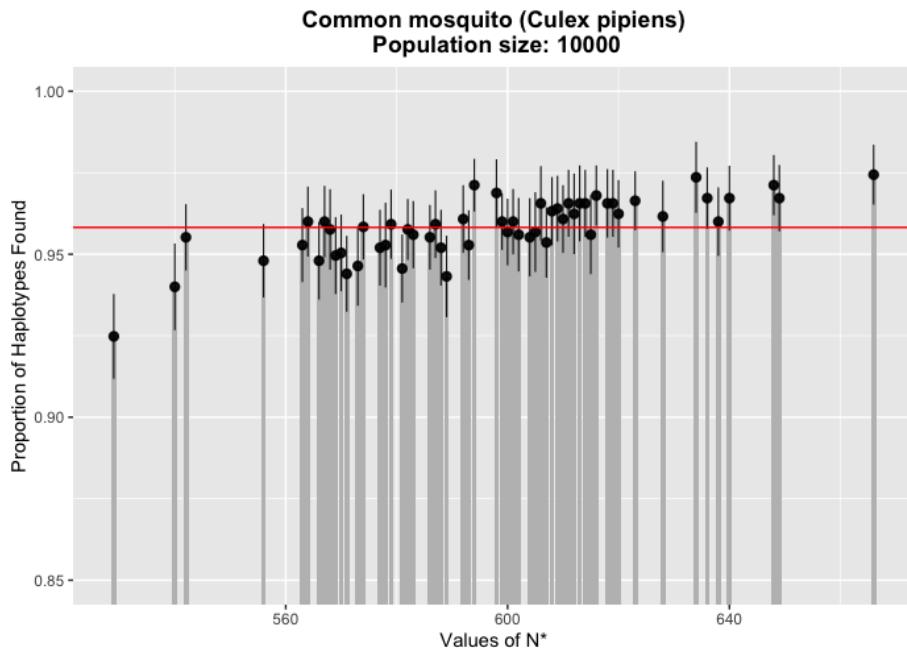


Figure 4.15: Plot showing all located local optima and the proportion of observed haplotypes captured for Common mosquito (*C. pipiens*) with 95% confidence intervals for a population size of 10000. The mean proportion across 50 replications is depicted as a black dot. The mean proportion across all located local optima is displayed as a solid red horizontal line. The thickness of displayed grey error bars is a construct of `ggplot2` based on the number of local optima and holds no additional meaning in the context of this study.

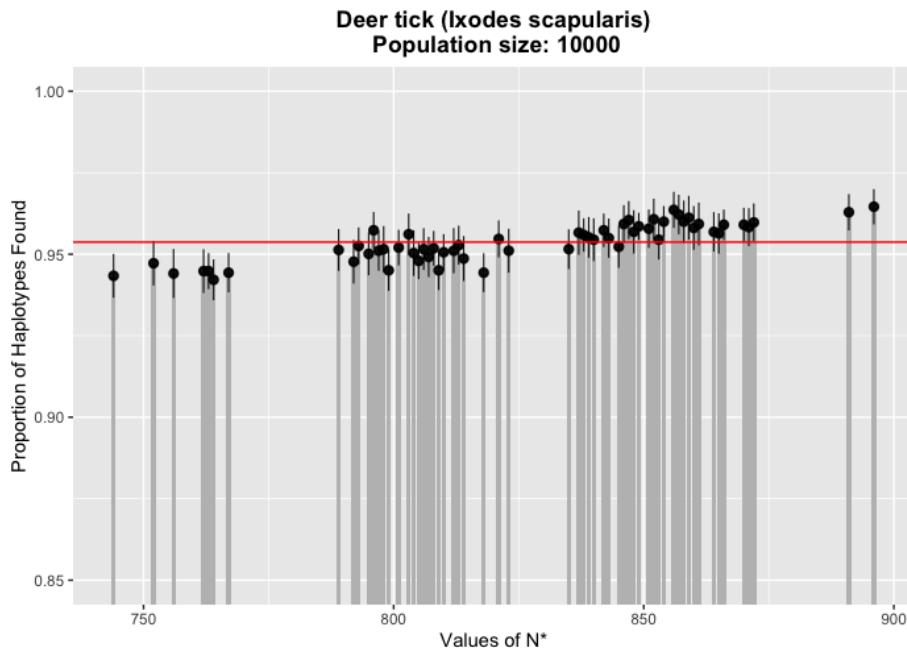


Figure 4.16: Plot showing all located local optima and the proportion of observed haplotypes captured for Deer tick (*I. scapularis*) with 95% confidence intervals for a population size of 10000. The mean proportion across 50 replications is depicted as a black dot. The mean proportion across all located local optima is displayed as a solid red horizontal line. The thickness of displayed grey error bars is a construct of `ggplot2` based on the number of local optima and holds no additional meaning in the context of this study.

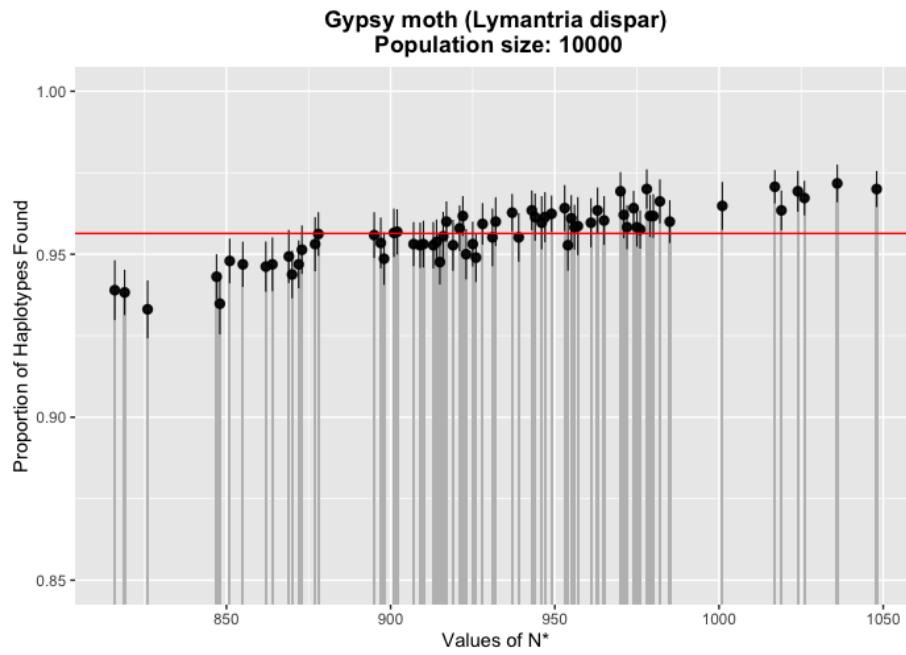


Figure 4.17: Plot showing all located local optima and the proportion of observed haplotypes captured for Gypsy moth (*L. dispar*) with 95% confidence intervals for a population size of 10000. The mean proportion across 50 replications is depicted as a black dot. The mean proportion across all located local optima is displayed as a solid red horizontal line. The thickness of displayed grey error bars is a construct of ggplot2 and thus holds no additional meaning in the context of this study.

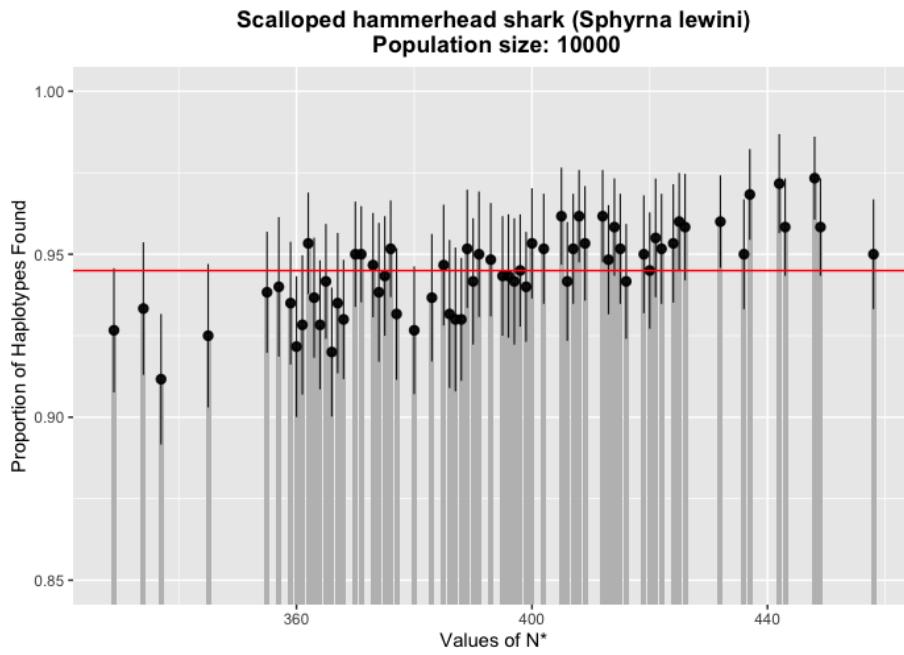


Figure 4.18: Plot showing all located local optima and the proportion of observed haplotypes captured for Scalloped hammerhead shark (*S. lewini*) with 95% confidence intervals for a population size of 10000. The mean proportion across 50 replications is depicted as a black dot. The mean proportion across all located local optima is displayed as a solid red horizontal line. The thickness of displayed grey error bars is a construct of `ggplot2` and thus holds no additional meaning in the context of this study.

Table 4.1: Mean proportion of observed unique haplotypes found over 50 replications of the simulation study for hypothetical species. In all cases, HACSim was run 100 times. Estimates correspond to the solid red horizontal lines depicted in confidence interval plots found within **Figures 4.10-4.12** and **Appendix B** accompanying this chapter.

Scenario	Pop. size	R Mean	R Range	R Std. dev.
II	1000	0.9623111	0.936-0.980	0.009999596
II	10000	0.9564444	0.926-0.976	0.01262673
II	100000	0.9530222	0.914-0.978	0.01527697
II	10000000	0.9540444	0.918-0.978	0.0125081
III	1000	0.9345789	0.886-0.970	0.01479158
III	10000	0.9541579	0.922-0.976	0.012973
III	100000	0.9508421	0.924-0.978	0.01369657
III	10000000	0.9548421	0.93-0.97	0.01019413
IV	1000	0.9649655	0.940-0.988	0.01165726
IV	10000	0.9597931	0.942-0.978	0.00926352
IV	100000	0.9542069	0.930-0.978	0.01166613
IV	10000000	0.9544138	0.936-0.980	0.01276579

Table 4.2: Mean proportion of observed unique haplotypes found over 50 replications of the simulation study for real species. In all cases, HACSim was run 100 times. Estimates correspond to the solid red horizontal lines depicted in confidence interval plots found within **Figures 4.13-4.18** and **Appendix B** accompanying this chapter.

Species	Pop. size	R Mean	R Range	R Std. dev.
Pea aphid (<i>Acyrtosiphon pisum</i>)	1000	0.99875	0.9916667-1	0.002122249
Pea aphid (<i>Acyrtosiphon pisum</i>)	10000	0.95425	0.9283333-0.99	0.01141193
Pea aphid (<i>Acyrtosiphon pisum</i>)	100000	0.9553333	0.92-0.98	0.01178631
Pea aphid (<i>Acyrtosiphon pisum</i>)	1000000	0.951375	0.92-0.9766667	0.01300431
Lake whitefish (<i>Coregonus clupeaformis</i>)	1000	0.9627397	0.932-0.9826667	0.01185695
Lake whitefish (<i>Coregonus clupeaformis</i>)	10000	0.9606027	0.9333333-0.98	0.01096356
Lake whitefish (<i>Coregonus clupeaformis</i>)	100000	0.9523288	0.908-0.976	0.01333848
Lake whitefish (<i>Coregonus clupeaformis</i>)	1000000	0.9515251	0.9213333-0.9786667	0.0115071
Common mosquito (<i>Culex pipiens</i>)	1000	0.9560281	0.9264-0.9736	0.00912637
Common mosquito (<i>Culex pipiens</i>)	10000	0.9582316	0.9248-0.9744	0.009031674
Common mosquito (<i>Culex pipiens</i>)	100000	0.9506386	0.9336-0.9720	0.007803245
Common mosquito (<i>Culex pipiens</i>)	1000000	0.9516211	0.9312-0.9680	0.008240812
Deer tick (<i>Ixodes scapularis</i>)	1000	0.9399839	0.9262651-0.9530120	0.00622469
Deer tick (<i>Ixodes scapularis</i>)	10000	0.9537108	0.9421687-0.9645783	0.005785297
Deer tick (<i>Ixodes scapularis</i>)	100000	0.9543695	0.9363855-0.9650602	0.006198889
Deer tick (<i>Ixodes scapularis</i>)	1000000	0.95351	0.9375904-0.9669880	0.005953658
Gypsy moth (<i>Lymantria dispar</i>)	1000	0.9372304	0.9179310-0.9472414	0.006580922
Gypsy moth (<i>Lymantria dispar</i>)	10000	0.9563842	0.9331034-0.9717241	0.0084383
Gypsy moth (<i>Lymantria dispar</i>)	100000	0.9516601	0.9344828-0.9682759	0.007620042
Gypsy moth (<i>Lymantria dispar</i>)	1000000	0.952	0.9317241-0.9658621	0.008136763
Scalloped hammerhead shark (<i>Sphyraena lewini</i>)	1000	0.9647692	0.9383333-0.9883333	0.009811051
Scalloped hammerhead shark (<i>Sphyraena lewini</i>)	10000	0.9449744	0.9116667-0.9733333	0.01280357
Scalloped hammerhead shark (<i>Sphyraena lewini</i>)	100000	0.9494103	0.9166667-0.975	0.01483249
Scalloped hammerhead shark (<i>Sphyraena lewini</i>)	1000000	0.9488974	0.9233333-0.9716667	0.01270073

Table 4.3: Bonferroni-corrected Dunn's post-hoc test results at the 0.83% significance level for comparison of population size *versus* haplotype frequency distribution in hypothetical species. **Note:** KW test statistics, *p*-values and statistical significance for Scenario I could not be calculated.

Scenario	Pop. size pairing	Test statistic	<i>p</i> -value	Significant?
II	1000/10000	2.321910	0.0607	No
II	1000/100000	3.270125	0.0032	Yes
II	1000/10000000	3.221498	0.0038	Yes
II	10000/100000	0.948214	1	No
II	10000/10000000	0.899588	1	No
II	100000/10000000	-0.048626	1	No
III	1000/10000	-5.395702	0	Yes
III	1000/100000	-4.306649	0	Yes
III	1000/10000000	-5.698289	0	Yes
III	10000/100000	1.089052	0.8284	No
III	10000/10000000	-0.302587	1	No
III	100000/10000000	-1.391640	0.4921	No
IV	1000/10000	1.666321	0.2869	No
IV	1000/100000	3.358067	0.0024	Yes
IV	1000/10000000	3.158578	0.0048	Yes
IV	10000/1000000	1.691746	0.2721	No
IV	10000/10000000	1.492257	0.4069	No
IV	100000/10000000	-0.199489	1	No

Table 4.4: Bonferroni-corrected Dunn's post-hoc test results at the 0.83% significance level for comparison of population size *versus* haplotype frequency distribution in real species.

Species	Pop. size pairing	Test statistic	p-value	Significant?
<i>A. pisum</i>	1000/10000	8.506172	0	Yes
<i>A. pisum</i>	1000/100000	8.018331	0	Yes
<i>A. pisum</i>	1000/10000000	9.347884	0	Yes
<i>A. pisum</i>	10000/100000	-0.619214	1	No
<i>A. pisum</i>	10000/10000000	1.068381	0.8560	No
<i>A. pisum</i>	100000/10000000	1.687596	0.2745	No
<i>C. clupeaformis</i>	1000/10000	0.943485	1	No
<i>C. clupeaformis</i>	1000/100000	4.763034	0	Yes
<i>C. clupeaformis</i>	1000/10000000	5.407390	0	Yes
<i>C. clupeaformis</i>	10000/100000	3.819548	0.0004	Yes
<i>C. clupeaformis</i>	10000/10000000	4.463904	0	Yes
<i>C. clupeaformis</i>	100000/10000000	0.644355	1	No
<i>C. pipiens</i>	1000/10000	-1.341060	0.5397	No
<i>C. pipiens</i>	1000/100000	3.474823	0.0015	Yes
<i>C. pipiens</i>	1000/10000000	2.841229	0.0135	No
<i>C. pipiens</i>	10000/100000	4.815883	0	Yes
<i>C. pipiens</i>	10000/10000000	4.182289	0.0001	Yes
<i>C. pipiens</i>	100000/10000000	-0.633594	1	No
<i>I. scapularis</i>	1000/10000	-8.203564	0	Yes
<i>I. scapularis</i>	1000/100000	-8.852512	0	Yes
<i>I. scapularis</i>	1000/10000000	-8.049710	0	Yes
<i>I. scapularis</i>	10000/100000	-0.648947	1	No
<i>I. scapularis</i>	10000/10000000	0.153853	1	No
<i>I. scapularis</i>	100000/10000000	0.802801	1	No
<i>L. dispar</i>	1000/10000	-10.41106	0	Yes
<i>L. dispar</i>	1000/100000	-7.583586	0	Yes
<i>L. dispar</i>	1000/10000000	-7.927968	0	Yes
<i>L. dispar</i>	10000/100000	2.904956	0.0110	No
<i>L. dispar</i>	10000/10000000	2.551137	0.0322	No
<i>L. dispar</i>	100000/10000000	-0.353819	1	No
<i>S. lewini</i>	1000/10000	7.901210	0	Yes
<i>S. lewini</i>	1000/100000	5.983095	0	Yes
<i>S. lewini</i>	1000/10000000	6.409083	0	Yes
<i>S. lewini</i>	10000/100000	-1.918115	0.1653	No
<i>S. lewini</i>	10000/10000000	-1.492126	0.4070	No
<i>S. lewini</i>	100000/10000000	0.425988	1	No

Table 4.5: Characteristics of local optima found by HACSim for hypothetical species.

Scenario	No. optima	N* range	N* std. dev.	Highest mode(s)	Highest mode freq.
II	45	226-296	13.46854	260	8
III	38	200-252	11.00911	223	7
IV	29	176-207	8.103522	189/191	9

Table 4.6: Characteristics of local optima found by HACSim for real species. For some species, distinct optima were located for different population sizes. * corresponds to a population size of 1000 and ** to population sizes of 10000, 100000 and 1000000.

Species	No. optima	N* range	N* std. dev.	Highest mode(s)	Highest mode freq.
<i>A. pisum</i>	36*/80**	868-999*/868-1230**	33.67656*/68.38036**	994	4
<i>C. clupeiformis</i>	73	512-736	43.3925	651	4
<i>C. pipiens</i>	57	529-666	25.12822	579	6
<i>I. scapularis</i>	60	744-896	32.93915	808	5
<i>L. dispar</i>	63*/70**	816-985*/816-1048**	42.43375*/48.93845**	909/917/921	4
<i>S. lewini</i>	65	329-458	26.39516	400	4

Table 4.7: Coverage probabilities and 95% Clopper-Pearson confidence intervals for hypothetical species across all assessed population sizes. Calculated probabilities are based on the number of observed local optima found using HACSim.

Scenario	Pop. size	Coverage prob.	95% Exact binomial CI	Coverage type
II	1000	1	(0.9212949, 1)	conservative
II	10000	0.9777778	(0.8822957, 0.9994375)	conservative
II	100000	0.9555556	(0.8485071, 0.9945715)	conservative
II	1000000	0.9555556	(0.8485071, 0.9945715)	conservative
III	1000	0.6578947	(0.4864732, 0.8036709)	permissive
III	10000	0.9736842	(0.861901, 0.999334)	conservative
III	100000	0.9736842	(0.861901, 0.999334)	conservative
III	1000000	0.9736842	(0.861901, 0.999334)	conservative
IV	1000	1	(0.8805551, 1)	conservative
IV	10000	1	(0.8805551, 1)	conservative
IV	100000	1	(0.8805551, 1)	conservative
IV	1000000	1	(0.8805551, 1)	conservative

Table 4.8: Coverage probabilities and 95% Clopper-Pearson confidence intervals for real species across all assessed population sizes. Calculated probabilities are based on the number of observed local optima found using HACSim.

Species	Pop. size	Coverage prob.	95% Exact binomial CI	Coverage type
<i>A. pisum</i>	1000	1	(0.9026062, 1)	
<i>A. pisum</i>	10000	0.975	(0.9125928, 0.9969579)	conservative
<i>A. pisum</i>	100000	0.975	(0.9125928, 0.9969579)	conservative
<i>A. pisum</i>	1000000	0.925	(0.8438721, 0.9719795)	permissive
<i>C. clupeiformis</i>	1000	0.9863014	(0.9260237, 0.9996532)	conservative
<i>C. clupeiformis</i>	10000	0.9863014	(0.9260237, 0.9996532)	conservative
<i>C. clupeiformis</i>	100000	0.890411	(0.7954357, 0.9514836)	permissive
<i>C. clupeiformis</i>	1000000	0.9452055	(0.8656062, 0.9848705)	permissive
<i>C. pipiens</i>	1000	0.9649123	(0.8789293, 0.9957221)	conservative
<i>C. pipiens</i>	10000	0.9824561	(0.9060832, 0.9995559)	conservative
<i>C. pipiens</i>	100000	0.9298246	(0.8299602, 0.9805496)	permissive
<i>C. pipiens</i>	1000000	0.9649123	(0.8789293, 0.9957221)	conservative
<i>I. scapularis</i>	1000	0.15	(0.0709562, 0.2657404)	permissive
<i>I. scapularis</i>	10000	0.9833333	(0.9106009, 0.9995781)	conservative
<i>I. scapularis</i>	100000	0.90	(0.7949423, 0.9624087)	permissive
<i>I. scapularis</i>	1000000	0.95	(0.8607568, 0.9895677)	exact
<i>L. dispar</i>	1000	0	(0, 0.05687235)	permissive
<i>L. dispar</i>	10000	0.9428571	(0.8601058, 0.9842129)	permissive
<i>L. dispar</i>	100000	0.90	(0.8047543, 0.9588403)	permissive
<i>L. dispar</i>	1000000	0.8428571	(0.7362002, 0.9188562)	permissive
<i>S. levini</i>	1000	1	(0.9448284, 1)	conservative
<i>S. levini</i>	10000	0.8461538	(0.7352165, 0.9236784)	permissive
<i>S. levini</i>	100000	0.8769231	(0.7718141, 0.9453369)	permissive
<i>S. levini</i>	1000000	0.9076923	(0.8098342, 0.9653663)	permissive

Chapter 5

Lack of statistical rigor in DNA barcoding likely invalidates the presence of a true species' barcode gap

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5.1 Prologue

Here, evidence is presented to support a lack of statistical rigor in DNA barcoding as it pertains to sound estimation of the DNA barcode gap – the difference between genetic variation observed within and between species.

Biodiversity researchers and regulatory scientists alike are called on to incorporate more advanced, yet accessible, statistical methods to better characterize standing levels of haplotype variation at the species level. These include employing HACSim to estimate likely required specimen sample sizes for barcoding studies, generating kernel density estimation plots instead of histograms, along with other underused graphics to depict the barcode gap (or lack thereof), and utilizing nonparametric bootstrapping to produce point and interval estimates of quantities central to DNA barcoding and barcode gap analyses.

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ABSTRACT

While DNA barcoding has been largely successful in satisfactorily exposing levels of standing genetic diversity for a wide range of taxonomic groups through the employment of only one or a few universal gene markers, sufficient coverage of geographically-broad intraspecific haplotype variation within genomic databases like BOLD and GenBank remains relatively sparse. As reference sequence libraries continue to grow exponentially in size, there is now the need to identify novel ways of meaningfully analyzing vast amounts of available DNA barcode data. This is an important issue to address promptly for the routine tasks of specimen identification and species discovery, which have seen broad adoption in areas as diverse as regulatory forensics and resource conservation.

Here, it is demonstrated that the interpretation of DNA barcoding data is lacking in statistical rigor. To highlight this, focus is set specifically on one key concept that has become a household name in the field: the DNA barcode gap. Arguments outlined herein specifically centre on DNA barcoding in animal taxa and stem from three angles: (1) the improper allocation of specimen sampling effort necessary to capture adequate levels of within-species genetic variation, (2) failing to properly visualize intraspecific and interspecific genetic distances, and (3) the inconsistent, inappropriate use, or absence of statistical inferential procedures in DNA barcoding gap analyses. Furthermore, simple statistical solutions are outlined which can greatly propel the use of DNA barcoding as a tool to irrefutably match unknowns to knowns on the basis of the barcoding gap with a high degree of confidence. Proposed methods examined herein are illustrated through

application to DNA barcode sequence data from Canadian Pacific fish species as a case study.

5.2 The Many Faces of DNA Barcoding

5.2.1 DNA Barcoding: Historical Development

In its infancy, DNA barcoding [87] was envisaged as a means to resolve a longstanding problem facing biodiversity science: the taxonomic impediment. Significant lack of progress in taxon characterization due to an aging expert population, in conjunction with the limited availability of adequate research funding to support such endeavors, has greatly contributed to the lack of timely dissemination of taxonomic information and knowledge in recent decades [24]. In a time marked by global species extinction and ongoing environmental crisis, DNA barcoding promised to accelerate the description of novel taxa, as well as revise the status of existing ones. This was possible through the assembly of genetic “signatures” within a centralized repository more rapidly than customary Linnean classification was even capable. The proposal seemed, at first, like wishful thinking within some academic circles. DNA barcoding employs short molecular sequence tags from standardized genomic regions, such as the *c.* 650 bp fragment from the 5' end of the mitochondrial cytochrome *c* oxidase subunit I (COI) gene in animals, to establish taxon-level matches to unknown specimen queries at any life stage across the animal kingdom [89]. Several past studies have also discussed the appeal of isolating a barcode sequence from mitochondrial DNA (mtDNA), as opposed to its nuclear counterpart (*e.g.*, [95, 96]). Notably, due to the effects of random genetic drift, mutational substitutions are expected to reach fixation within populations and become diagnostic of species sooner because the effective population size of mitochondria is one-quarter less than that of nuclear

genes. The specific choice of COI as the currently unattested DNA barcode for animals is justified in several respects: (1) that it is protein-coding, (2) that it possesses a reasonably high rate of nucleotide substitution, and (3) that it lacks introns and comprises few insertions/deletions (indels) and no stop codons. In addition to these desirable characteristics, its ease of amplification, sequencing and alignment across most taxa, due to its highly conserved nature, makes COI the preferred gene marker over other such loci that meet only some of the abovementioned requirements [154]. Despite this, the attractiveness of DNA barcoding's use as both a specimen identification and species discovery tool is fraught with much controversy. The molecular identification of specimens to any level of biological organization through DNA barcodes necessarily depends *a priori* on known taxon designations brought about through the current state of taxonomic practices [47]. Furthermore, DNA barcoding's success rests crucially on extant species-level haplotype diversity as well as the distinction between intraspecific and interspecific genetic variation across taxa [154]. When such links can be established, observable geographic and historic patterns of genetic diversity are then readily explained.

While DNA barcoding has found myriad applications in diverse subdisciplines of evolutionary biology, ecology, and more broadly in biodiversity science, one surprising area, namely applied regulatory forensics, has reaped the benefits barcoding has to offer in unparalleled ways throughout the years. The identification of regulated species of socioeconomic importance through the accumulation of DNA barcodes has been instrumental in combatting instances of seafood market fraud as well as monitoring the

introduction and spread of invasive pests, particularly in Canada and the USA (e.g., seafood: Shehata *et al.* [176], Shehata *et al.* [174]; meat products: Naaum *et al.* [136], Shehata *et al.* [175]; invasive arthropods: Madden *et al.* [124]). Despite this, several obstacles still remain. The inherent dynamism characteristic of public genomic databases, such as BOLD [164] (<http://www.boldsystems.org>) and GenBank, precludes their routine use for such a task. The fact that the addition of new specimen records to community databanks may produce contradictory findings over time is problematic [155]. Instead, regulatory sequence

databases should be populated with static taxon records traced to voucher specimens whenever possible so that such issues can be mitigated. While the inclusion of fit-for-purpose DNA sequences in governmental repositories like the European and Mediterranean Plant Protection Organization (EPPO)'s Q-bank (<https://qbank.eppo.int>) for agricultural/quarantine pests and the United States Food and Drug Administration (USFDA)'s Reference Standard Sequence Library for Seafood Identification (RSSL) (<https://www.fda.gov/food/dna-based-seafood-identification/reference-standard-sequence-library-seafood-identification-rssl>) for seafood species represents a step in the right direction, small sample size issues continue to plague the arena [155]. Further, the deep sampling of an adequate number of specimens necessary to capture sufficient levels of standing haplotype variation within species is critical if high confidence in specimen assignments is desired [54, 154, 155, 156]. This is even more important since much sequence data in BOLD and GenBank suffer from serious quality control issues (namely

biological and/or methodological). To ensure accurate identification, access to fewer high-quality specimen records is always preferable to the availability of many problematic records [38]. DNA-based identification accomplished through DNA barcoding places heavy reliance on the accuracy and completeness of reference sequence libraries to enable the rapid assignment of unknown specimens to valid or putative species, depending on whether the ultimate goal is specimen identification or species discovery respectively. As use of distance-based methods strongly outweighs other taxon identification approaches (*e.g.*, tree-based algorithms [9] or character-based approaches [163, 205]) within most DNA barcoding studies, due in part to computational expense, outdatedness, or inaccessibility of most software, a means of directly testing the overall performance of DNA barcoding is needed. Such a path forward is provided by the DNA barcode gap.

5.2.2 DNA Barcoding and the Barcode Gap: A Perfect Harmony?

A well-established tenet in the field is that the majority of DNA barcode variation found across species exceeds genetic variability seen within species. This apparent “barcode gap” [129] was recognized early on as a critical factor to the success of DNA barcoding. The existence of a species’ barcoding gap is often invoked as evidence that DNA barcoding “works” in practice [188]. Under current sampling efforts and morphological identifications associated with DNA barcodes, a large number of species show greater than 2% genetic distance to their nearest heterospecific and typically exhibit less than 1% intraspecific distance [95].

Researchers have differing opinions on how the DNA barcode gap ought to be defined.

Whereas Meyer and Paulay [129] advocated the use of the mean genetic distance to the nearest neighbour, employment of the minimum interspecific distance is now commonplace. Reliance on the former metric tends to exaggerate the presence of a real species barcoding gap through inflating false positives, leading to misidentification of specimens [128]. Thus, on the basis of this paradigm shift, it is wholly conceivable that published DNA barcoding studies have likely reported biased estimates of the barcoding gap at the species level and therefore warrant revisit and cautious interpretation. Perhaps this is why the barcoding gap is depicted using both the mean and maximum intraspecific genetic distance within BOLD's Barcode Gap Analysis tool available in the user Workbench. Meyer and Paulay [129] differentiate between two variants of species barcoding gaps, depending on whether specimen identification or species discovery is the end goal: ‘local’ and ‘global’ respectively. A ‘local’ DNA barcode gap can be applied whenever an individual specimen of a particular species is closer in distance to another member of the same species; whereas, a ‘global’ barcoding gap is applicable whenever a threshold can be identified that separates all species [37]. While each of these hold great importance for the identification of unknown specimens, the absence of a sufficiently wide ‘global’ barcode gap that readily distinguishes higher-level taxonomic diversity (*e.g.*, phyla) does not immediately rule out the existence and usefulness of ‘local’ gaps at lower levels of taxonomic organization (*i.e.*, genus, species) [110, 113].

Many studies, particularly early ones (see below for some taxon-specific examples), use a barcoding gap approach as a reliable species, genus, or higher-level (*i.e.*, order, family)

separation criterion with little discussion as to its overall utility [23]. However, both the existence and application of the DNA barcode gap are equally important: taken together, they reconcile both morphological identifications established through Linnean taxonomy with molecular identifications based on DNA sequence variation. Recognizing this, Collins and Cruickshank [37] discussed the “inappropriate use of fixed distance thresholds” and “incorrectly interpreting the barcoding gap”. Despite strong support early-on in the DNA barcoding enterprise for the existence of the DNA barcode gap, subsequent studies have since gone on to suggest that the presence of a barcode gap at any taxonomic level is simply an artifact of insufficient specimen sampling across narrow geographic and morphologic space [12, 23, 40]. In light of this observation, the interpretation of the barcode gap across taxa is not a straightforward task (*e.g.*, marine gastropod molluscs: [129], butterflies: Wiemers and Fiedler *et al.* [202], spiders: Čandek *et al.* [23], annelids: Kvist [113], leaf-footed bugs: Zhang *et al.* [216], dragonflies/damselflies: Koroiva and Kvist [110]). This may be due to the fact that the very definition of the DNA barcode gap has undergone refinement over the years. As a result, no one “true” quantitative approach exists for measuring the DNA barcoding gap that can be unanimously agreed upon within the barcoding community. Thus, the use of arbitrary and fixed distance cutoffs to separate out all taxa, such as the well-known 2% heuristic [87, 89] and the 10× rule [90] no longer holds [38, 216]. Rather, because barcoding data is in a state of continual flux, as more specimens are collected and as taxonomic revisions are made, taxon distance thresholds should instead be directly computed from specimen DNA sequences when possible [37, 210].

Numerous computational and statistical methods have been proposed over the years to better quantify the magnitude of the barcode gap. For instance, the $10\times$ rule, where a taxon separation cutoff of 10 times the mean intraspecific distance is adopted, goes some way into accomplishing this, but it cannot be readily applied to distinguish among all taxa due to differences in both taxon evolutionary and life histories. The absence of a DNA barcoding gap to reliably discriminate species can be attributed to three primary factors: (1) the recent/rapid splitting of species from the Most Recent Common Ancestor (MRCA), leading to the retention of ancestral polymorphisms as a result of incomplete lineage sorting, introgressive hybridization or species synonymy; (2) the likely presence of cryptic species diversity due to lack of fixed morphological differences among closely-related taxa; and, (3) human-mediated errors (*e.g.*, overlumping/oversplitting of taxa) in the identification of specimens by experts [95, 110]. Thus, the employment of taxon-specific distance thresholds, as opposed to generic cutoffs, seems more reasonable. As a consequence, the adoption of a number of query-based criteria designed to aid in the reliable separation of intraspecific and interspecific distances has propagated throughout the DNA barcoding community and literature over the years. These include for instance the Best Close Match criterion employed within the TaxonDNA software [127], and methods available in the spider [19], the adhoc [178] and the BarcodingR [213] R packages. In spite of the introduction of various methods to aid the solving of the species genetic separation problem, a significant knowledge gap persists: the apparent dearth of statistical thoroughness in the computation of genetic distances that accompanies the majority of

published DNA barcoding studies.

5.3 A Need to Improve and Maintain Statistical Rigor in DNA Barcoding Studies

Here, evidence is presented pointing to the lack of statistical rigor in DNA barcoding as it relates to distance-based specimen identification and species delineation. Despite having been pointed out as a clear limitation multiple times in various capacities by authors of previous studies [122, 126, 141, 154], the issue of statistical rigor within the context of DNA barcoding has not yet garnered the scrutiny it desperately deserves. This may be due to the fact that there is no one set definition for statistical rigor in the literature, partly because, like science, statistics is rooted deeply in epistemology, and more generally in philosophy [117]. The problem faced here however is that the majority of researchers, particularly those in life science fields, lack an appropriate level of statistical knowledge necessary for the proper application of statistical methods [64]. As a result, misuse, abuse and misinterpretation of quantitative results is rampant in academic settings. By no means are DNA barcoding studies immune to this. Such naïveté has led to the overuse of “basic” parametric statistical procedures such as *t*-tests and the drawing of incorrect conclusions from *p*-values [200]. These and other statistical “sins” are so widespread in academic publications that some statisticians have devoted much of their time, and even their entire careers, to writing about the most common errors made by non-statisticians and steps to take to avoid making them (*e.g.*, Good [71]). Thus, here, statistical rigor is informally

and simply defined as the use of appropriate quantitative methods (*e.g.*, genetic distance thresholds) to test and justify hypotheses in light of empirical evidence (*i.e.*, DNA sequence data) and uncertainty. This definition is adopted herein. Notably, it is stressed that the ubiquitous barcoding gap should be better defined on a statistical level, contingent on its use for the task of identifying unknown specimens or in describing novel species. However, as most DNA “barcoders” are not also statisticians, the lack of a statistically-precise static definition for the DNA barcode gap is understandable, albeit one that is absolutely necessary. Although there is much that could be elaborated on here, in this investigation, focus is specifically placed within the context of the need for the sound interpretation of the DNA barcoding gap as a necessary and sufficient criterion to assess the overall performance of DNA barcoding in animal taxa.

In the following subsections, problems with barcode gap interpretation from the standpoints of (1) requiring higher intraspecific specimen sample sizes to adequately capture standing genetic variation, (2) needing better descriptive statistics, along with visualization methods, to concisely and accurately summarize taxon genetic sequence distance data, and (3) necessitating more appropriate statistical inference procedures to draw meaningful conclusions from limited DNA sequence data are outlined. Throughout the present work, Meier *et al.*’s [128] version of the DNA barcoding gap is employed; however, one can easily replace ‘maximum’ with ‘mean’ everywhere in the context of interspecific distances with the understanding that discrepancies as to which species show a barcode gap may (and often do) result. As pointed out by Meier *et al.* [128], employment of

the mean interspecific distance is not correct since this metric approaches the true mean. In contrast, use of the smallest interspecific distance adequately reflects the fact that specimen identification becomes more challenging as sampling depth is increased [128]. Viable solutions are then proposed which better harmonize the seemingly disparate disciplines of DNA barcoding and statistics. Moreover, the methods proposed herein also extend to the notion of (statistical) *reproducibility*. Many scientific studies lack sufficient information (including detailed explanations, quantitative data and metadata) necessary to replicate original experiments. A prime example where a sufficient level of detail is crucial to convey to researchers is in the description of agent-based models (ABMs), which are used widely in ecology. Typically, ABMs incorporate numerous assumptions needed to establish baseline individual- and group-level behaviour in “perfect-world” scenarios. To ensure that such rigor is not compromised, Grimm *et al.* [75] introduced and outlined a standard protocol that sought to bridge challenges of ABM: **O**verview, **D**esign concepts and **D**etails (ODD). This work has since been expanded upon to more fully encapsulate the elements needed to adequately describe ABMs in a complete but succinct manner [76]. The approaches outlined and examined below go some way into better enabling reproducibility, much like the ODD Protocol, as they are not only planted firmly in solid statistical theory, but are also straightforward to implement and easy to understand by the statistical nonexpert. While it is recognized that much of the discussion outlined herein on the absence of statistical rigor in DNA barcoding in the context of the barcode gap is highly animal-centric, potential solutions to ameliorate

this problem are easily extended to other taxon groups, in particular plants and fungi, and their proposed barcode loci. Focus on animals was decided on simply because use of DNA barcoding in this group is much more straightforward and less controversial in comparison to non-animal species.

5.4 Case Study: DNA Barcoding of Pacific Canada's Fishes

From this point onward, statistical approaches to better characterizing the DNA barcode gap will be framed in the context of the barcoding of Canadian Pacific fishes as a focal case study. Many fish species native to the Pacific (*e.g.* Sockeye salmon (*Oncorhynchus nerka*)) hold strong socioeconomic and conservation importance globally, particularly as central food commodities within the seafood supply chain. As such, in recent decades, much work has gone towards better understanding patterns of standing genetic diversity in this group to aid recovery of declining fish stocks.

DNA barcodes were downloaded from BOLD on December 1, 2020. Specifically, sequence data were taken from Steinke *et al.* [185] (BOLD Project: TZFPC Fishes of Pacific Canada Part I) and consist of 1219 specimens representing 198 species (as of the date of download). At the time of project release and publication of Steinke *et al.* [185], data comprised 1225 specimens records from 201 species. Within the current dataset two specimen records (Process IDs: TZFPA062-06 and TZFPB406-05) were flagged as problematic (*i.e.* misidentified) in BOLD and an additional sequence

(Process ID: TZFP069-04) was outside the barcode region length necessary for BARCODE compliance (*i.e.*, said sequence was shorter than 500 bp; [81]). Only the latter record was excluded from further analysis, leaving a sequence count of 1218. The two misidentified specimens were identified at the time of record submission to the species level as *Arctozenus risso* (Spotted barracudina) and *Lipolagus ochotensis* (Eared blacksmelt), respectively. A single record was associated with only a genus name (TZFPA198-07 *Icelinus* (sculpins)), so it was removed from subsequent calculations/inferences. Further, a total of 46 singleton species were identified. These records were also excluded from downstream consideration since DNA barcode gap analysis requires the inclusion of at least two specimens per species to be meaningful. This clearly highlights the lack of adequate sufficient sampling necessary to capture standing levels of within-species genetic variation existing within many DNA barcode libraries. Included in the gap analysis were five records comprising interim species (*Paraliparis* sp. (snailfishes)). Thus, only 1171 of the 1218 specimens (representing 152 species) were deemed useable. Sequence alignment necessary for determination of the DNA barcoding gap was carried out directly using the built-in amino acid-based Hidden Markov Model (HMM) aligner due to dataset size. The default Kimura-2-Parameter DNA substitution model was maintained, along with the default Pairwise Deletion option for ambiguous base and gap handling. While usage of K2P to account for differences in transition and transversion rates among sequence sites is both widespread and criticized in DNA barcoding studies as well as the community-at-large [36, 181], other more parsimoniously rigorous nucleotide evolution models (such as the

uncorrected p -distance) can (and should) be adopted without loss of information (and may even be better suited in the long run). Simply blindly adopting K2P because of its initial employment by Hebert *et al.* [87], who argued that its use is warranted when genetic distances are low, is not reason enough, especially given that many taxa display large distances within and among species.

Using the Barcode Gap Analysis tool available through the BOLD Workbench, results revealed a total of 29 species (19.1%) had nearest neighbour distances less than the 2% threshold. The species *L. ochotensis* showed a maximum intraspecific distance of 1.24% and a minimum interspecific distance of 13.43% (nearest species: Northern smoothtongue (*Leuroglossus schmidti*); nearest neighbour: TZFPA187-07), while distances for *A. risso*, a singleton, were 0% and 17.72% (nearest species: Northern pearleye (*Benthalbella dentata*); nearest neighbour: TZFPB335-05), respectively. Although observed magnitudes of genetic distances for both of these species suggest that DNA barcoding “works” and is an effective tool when it comes to specimen identification, it is nevertheless unsettling that all mentioned species’ nearest neighbours fall into separate genera. While this finding suggests a lack of overall specimen sampling depth for these species and perhaps Pacific fishes in general [185], it must further be emphasized that many Pacific species occur in deep, cold-water environments; thus, deep barcode sequence divergences are not a rare phenomenon. One species, *Paraliparis pectoralis*, had a maximum within-species distance of 2.27% (minimum interspecific distance: 9.17%, nearest species: *Paraliparis paucidens*, nearest neighbour: TZFPA048-06). Another species, the Deepwater bristlemouth

(*Cyclothona atraria*), displayed a maximum intraspecific distance of 9.22% (nearest neighbour distance: 22.78%; nearest species: Stout blacksmelt (*Pseudobathylagus milleri*); nearest neighbour: TZFPB400-05). These two cases of high intraspecific distance is strong indication of *potential* cryptic species diversity. All other maximum within-species distances were below 2%. It should be noted here that specimens assigned as correctly-identified or misidentified to a given species, as well as those individuals displaying cryptic genetic variation or evidence of barcode sharing may in fact not bear these characteristics. Calculated maximum intraspecies genetic distances for *C. atraria* and *P. pectoralis* were based on sample sizes of only nine and 12 individuals respectively. Even though specimen sample size information is available for all species assessed by Steinke *et al.* [185], it is still impossible to directly discern how reliable reported genetic distance measures are, and therefore the trustworthiness of estimated DNA barcode gaps.

5.5 Highlighting the Lack of Statistical Rigor in DNA Barcoding

Prior to delving any further into the primary elements that constitute the lack of statistical rigor in DNA barcoding, along with the discussion of simple solutions to help aid its mitigation, some readers may have noted thus far the use of the term “distance” to describe both genetic variability within species as well as among species. This is no mistake. These terms are synonymous from a lexical point of view, and can be (and often are) used interchangeably within general writing. However in scientific writing,

this constitutes a major *faux-pas*. The term “divergence” is used in the phylogenetics literature to express differences in either number of mutations or amount of time separating taxa (*e.g.*, species differing by 2% per million years) accomplished through molecular clock measurements. Recently, DeSalle and Goldstein [48] reiterated the importance of carefully balancing word meaning and word choice in barcoding papers so that author(s)’ overall intent is not blurred. Numerous highly-cited past DNA barcoding studies employing barcode gap analyses have unknowingly used the term “divergence” to denote gene variation seen across species. Even some authors of the current work are guilty of this. Such word usage bears similarity to the confusion between the terms “species identification” and “specimen identification”, as raised by Collins and Cruickshank [37]. There is an important mathematical/statistical distinction between distance and divergence which must be stressed: distances are *symmetric*, whereas divergences are not. Considering two different specimens (or species), calling them *A* and *B*, then the distance between *A* and *B* is equal to the distance between *B* and *A*. Such a pattern is easily observed from examining a pairwise distance matrix of intraspecific and interspecific genetic distances. Values are identical (zero) with respect to the main diagonal (moving top left to bottom right), as a specimen or species will display zero distance from itself to itself. This can also be seen through exchanging matrix rows for columns and *vice versa*. On the other hand, the notion of divergence (*e.g.*, the Kullback-Leibler divergence) speaks to how different two probability distributions are from one another [111]. Thus the term “distance” is employed everywhere throughout the current work when referring to intraspecific and interspecific

differences. While this confusion does not directly contribute a lack of statistical rigor *per se*, to this end, all future DNA barcoding studies employing barcode gap analyses should use the term “distance” over “divergence” to avoid any potential ambiguity and confusion.

5.5.1 Balancing Allocation of Specimen Sampling Effort

Current specimen sampling efforts for DNA barcoding have been improperly delegated to further the growth of public reference sequence databases such as BOLD and GenBank. Both geographic and taxonomic barcoding projects and campaigns have been far too focused on exhaustively sampling as many species as possible [154, 156]. This assertion is immediately evident from examining BOLD species lists, where an overwhelming majority of species are singletons or doubletons. For instance, while specimen records are abundant for taxa like fishes and insects, they are highly lacking for birds, most mammals and especially herpetofauna (reptiles and amphibians). From this observation, it is clear that the sampling of intraspecific rather than interspecific genetic variation has been severely limited. While both extremes of genetic variation are necessary to fully comprehend and assess the scope and magnitude of species limits, taxon rarity combined with narrow sampling are typical in DNA barcoding studies [3]. Barcoding initiatives should therefore instead be focused on the dense sampling of an *optimal* number of *specimens* per species, which should be strongly calibrated by factors such as research budget, cost and funding [22, 182]. Much of the need for comprehensive sampling of intraspecific genetic variation and the appropriate magnitude of required specimen sample sizes also stems from observed phylogeographic patterns in wide-ranging taxa and/or the

continual hybridization between evolutionarily-related species in tandem with introgression of mitochondrial genomes. Thus, many factors are at play and need to be accounted for in the determination of adequate sample sizes, both for DNA barcoding and unbiased estimation of the DNA barcode gap.

In the early days of the DNA barcoding endeavour, it was decided by the Consortium for the Barcode of Life (CBOL) that at least 5-10 specimens per species be collected from wide geographic regions for assembly of reference sequence libraries; indeed, this heuristic has been globally adopted by barcoding campaigns such as the FISHBOL [197] in an attempt to limit project costs and maximize returns. However, while collection of only a few individuals of every species is a good starting point, recent studies have highlighted that such small sample sizes are likely far from adequate to capture the majority of standing haplotype variation found within species; instead, hundreds to thousands of individuals may be needed based on both empirical findings and simulation studies [156, 154, 214]. Further, it is imperative that, in addition to target species, sister species also be adequately sampled. This is necessary for both the strong detection and the correct interpretation of the DNA barcode gap. In the case of monotypic genera or rare/endangered taxa, representatives from the closest allied genus should also be targeted since only a few exemplars/individuals can often be retrieved.

Estimating Intraspecific Specimen Sample Sizes with the R Package HACSsim

The lack of a comprehensive and robust sampling of within-taxon genetic variation is a very real problem for molecular species diagnosis because it impedes the ability of

DNA barcode researchers to acquire a full understanding of standing levels of intra-taxon haplotype diversity that is required to quantify the barcode gap.

To this end, the R package HACSim [155] can aid biodiversity researchers and regulatory scientists in assessing current levels of specimen sampling effort reflected in genomic sequence libraries like those housed in BOLD (*i.e.*, through computing the observed fraction of haplotype diversity that has likely been sampled within species). The method can further assist researchers in obtaining optimal specimen sample sizes likely required to adequately capture the majority of haplotype diversity found within presumably panmictic species randomly sampled across their entire geographic/ecologic ranges. This is done through extrapolating haplotype accumulation curves and observing the point on the *x*-axis where curves begin to saturate toward an asymptote. It is well known that most species within diverse taxonomic groups (*e.g.*, freshwater fishes) exhibit high degrees of population structure and geographic isolation. Thus, the likelihood of observing a true species' barcode gap is increased when specimen sampling effort is high across its geographic range. Furthermore, the employment of HACSim to better gauge required sampling depths within species means that less reliance will ultimately be placed on arbitrary distance thresholds such as the 1% cutoff employed within BOLD [164, 165] to assign Linnean names to user-submitted query sequences based on expertly-verified references. Since it has long been recognized that a given taxonomic level is not equivalent, in terms of genetic distance, across different evolutionary lineages (*e.g.*, a family of insects is not equal to a family of fishes), it is reasonable to expect that species falling on separate

branches of the Animal Tree of Life will warrant the use of different distance thresholds when it comes to specimen identification. In fact, it seems reasonable that the output of HACS_{im} can be employed to calculate optimal distance thresholds for reliable species separation. This is because, with larger specimen sample sizes and increasing spatial scale, intraspecific genetic distances will tend to increase, while distances observed among species will shrink [12, 129].

HACS_{im} is specifically relevant to assessing genetic variation derived from Sanger-based amplicon reads obtained from any taxon under study and any molecular marker of interest. Preliminary simulation studies demonstrate that HACS_{im} reliably suggests specimen sample sizes necessary to recover wide-ranging levels of within-species haplotype diversity (see **Chapter 4**). Thus, such a method should be of invaluable use to the DNA barcoding community-at-large. However, as we progress deeper into the realm of big data, the potential of HACS_{im} to aid in the characterization of genetic diversity through the use of NGS and HTS data for eDNA and metabarcoding applications (*e.g.*, [42, 61]) becomes clear. This said, it is critical that the capabilities of HACS_{im} be expanded upon, especially the ability to handle multiple specimen reads. Thus, all computational DNA barcoders should consider contributing to this endeavour.

5.5.2 Visualization of Intraspecific and Interspecific Genetic Distances

A large majority of published DNA barcoding studies infer the detection (presence or absence) of a species' barcode gap through visualization of specimen pairwise sequence

distances as either histograms or dotplots [37]. Collins and Cruickshank [37] were correct to suggest the employment of dotplots as opposed to frequency histograms to better depict the estimated distribution of species' interspecific and intraspecific distances, but they failed to offer a more thorough quantitative treatment as to why this is the case.

Circumventing the Problem with Histograms and Dotplots for Barcode Gap Display

Histograms partition numerical data into *discrete* class intervals called bins (not to be confused with BINs (Barcode Index Numbers) [165]) to more easily visualize how sample data is distributed. However, the use of histograms, while both ubiquitous as a statistical summarization method and widely-understood by many, can often muddy the true shape of probability distributions if both the bin width and number of bins in which to group data are not chosen wisely. Histograms with narrow bins tend to be more precise when density of the sample data is low; whereas, when density of observations is high, wider bin widths should be preferred because of the tendency to better expose true data signal relative to noise [171]. Whenever bin widths are chosen to be equal in size, the *height* of resulting histogram bars is proportional to the number of samples contained in each bin. Conversely, for the case of unequal bin widths, the *area* of bars scales with the number of observations. Despite the added benefit of experimenting with bin widths to reveal hidden structure within data, most software now routinely employed to construct histograms, such as R's `graphics` [162] and `ggplot2` packages, utilize equal bin widths in generating histograms by default. Similarly, too small a choice of the number of bins and the histogram will be very rugged (*i.e.*, have high bias); too large

the number of bins and the histogram will be oversmoothed (*i.e.*, possess high variance) [171]. If DNA barcode researchers choose to continue to use equal histogram bin widths to display the barcode gap, then consideration of the optimal number of bins to employ needs to be carefully investigated. Several measures of appropriate bin numbers to use have been proposed in the statistical literature such as the robust Freedman-Diaconis rule [66], which makes use of the sample interquartile range (IQR), or Scott's Normal reference rule [171], which employs the estimated (sample) standard deviation calculated from Normal distributions. Unfortunately, most heuristics (including the ones mentioned here) place a strong dependence on sample size. For instance, Microsoft® Excel sets the number of histogram bins to be equal to the square root of the number of data observations, whereas `graphics` employs Sturges rule [190], basing the number of bins to scale proportionally with the base-two logarithm of the number of samples, while `ggplot2` defaults to using 30 bins regardless of dataset size. For Sturges rule, bin width is computed from dividing the sample range of the data by the optimal bin number. The validity of Sturges rule in particular has been called into question as it tends to oversmooth data in the case of large samples, while still performing reasonably well for sample sizes less than 200 [100]. Thus, there have been calls for the usage of more reliable methods. The main problem with equal bin widths is that important trends in the data may be confined to only one or a few bins. A further point worth mentioning here is that many programs (R included) default to using histogram *frequencies* (counts per bin). However, this may not be ideal. Plotting based on *densities* instead has the advantage of ensuring the area under the histogram is equal to one.

Therefore, allowing histogram bins to vary in width for either (or both) genetic distances within or among species may be worth exploring. The reason behind employing such an approach is that it can account for bins with low numbers of observations. While having an approximately equal number of data points per bin may be ideal, such an approach is not typically seen in practice. Further, if this route is taken, alternatives for appropriate bin numbers apart from the methods outlined previously need to be examined. Because studies potentially employ different software for histogram generation, results are no longer directly comparable; thus, care must be exercised when making generalizations.

A much better alternative to displaying the DNA barcoding gap is to rely on the *continuous* variant of the histogram, kernel density estimation (KDE) plots [168, 151], to more accurately inform on the actual population distribution of the barcoding gap through depiction of intraspecific and interspecific pairwise genetic distances as smooth curves. KDE works by weighting data observations relative to their distance to other similar-magnitude data points. Much like histograms however, KDE often requires careful parameter selection, in particular regarding the kernel type and the kernel bandwidth. The kernel type strongly defines the overall shape that the density curve takes on, whereas the kernel density bandwidth controls the amount of smoothness of the generated curve. Optimal choice of these parameters is crucial so as to not distort real patterns present within the data. Most modern software (such as R) employ defaults which tend to work well under a wide variety of situations, but also give the user fine control over parameter initialization. However, automatic settings can sometimes lead to undesirable results. R for instance

employs a Gaussian kernel and chooses the kernel bandwidth to be equal to the standard deviation of the kernel itself; this should be sufficient as far as estimation of the DNA barcode gap is concerned. Often with kernel density estimation, data may extend beyond those observed from histograms. In particular, data that are constrained to only positive support values can end up having negative density values, which for genetic distances, is not biologically meaningful. In practice however, this is not an immediate concern since truncation methods exist to ensure that data located at the boundaries of KDE plots have positive support.

The dotplot approach to inferring the barcode gap (**Figure 5.1**) is simple: on a plot of maximum intraspecific genetic distances (displayed on the *x*-axis) *versus* minimum interspecific distances (shown on the *y*-axis), represented by points for every barcoded species, a line corresponding to the function $y = x$ is drawn. Points occurring above this line suggest that a barcode gap is present for a given species and that DNA barcoding “works”. In contrast, points falling below the 1:1 line for any species suggest that the DNA barcode gap is absent, and thus barcoding fails to tell specimens apart. Often, points plotted in this fashion overlap tightly, making species-by-species visual inspections difficult.

Figure 5.1 clearly shows that many Canadian Pacific fish species exhibit maximum intraspecific distances very close to, or equal to, zero. This strongly indicates that adequate specimen sampling needed to characterize standing haplotype diversity at the species level is severely lacking.

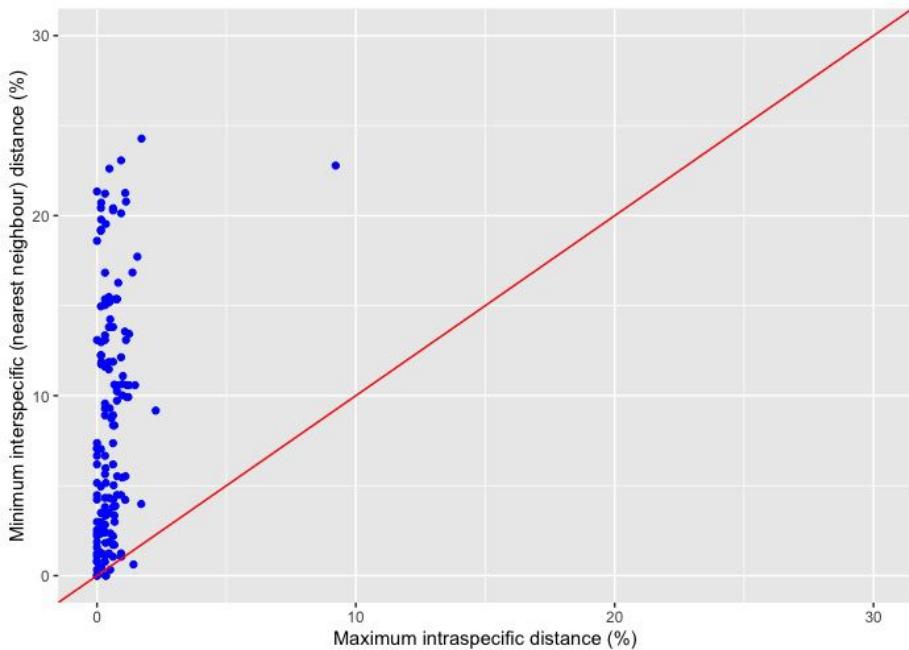


Figure 5.1: Traditional dotplot for visualizing the DNA barcode gap for a range of Canadian Pacific fishes assessed by Steinke *et al.* [185] and generated using the `ggplot2` [201] R package. Data come from the BOLD Workbench’s Barcode Gap Analysis tool and comprise 1171 specimens from 152 species (*c.* 7.7 specimens per species on average). Points lying above the 45° line indicate that species show a barcode gap and are readily identified via molecular barcodes. On the other hand, points falling below the 1:1 line suggest that species lack a barcoding gap and thus are not easily diagnosed through their DNA barcodes. Most species assessed here (146 of 152 species (96.1%)) display a barcode gap since the minimum interspecific genetic distance exceeds the maximum intraspecific genetic distance. Despite this, evidence of species showing a barcode gap may in fact be an artifact of limited sampling of within-species haplotype variation. The species *Cyclothona atraria* at the point (9.22, 22.78) is clearly visible as an extreme outlier and signals possible cryptic species variation.

The use of traditional dotplots to display the barcode gap would be better represented as half-logarithm dotplots (**Figure 5.2**) which plot sorted log-transformed genetic distances for every species included in a taxon dataset against the number of species sampled [185, 186]. A horizontal line is then drawn at the 1% mark (or similar threshold), allowing for good separation of intraspecific distances from nearest neighbour distances. Plotting sorted

genetic distances in this manner allows for relative differences to be easily seen among species [185]. Further, through employing a log transformation of species' genetic distance data, interesting patterns are more easily spotted without worry for any loss of information. This is the case for two reasons. First, since $y = \log_a(x)$ (where $a \in (0, 1) \cap (1, \infty)$ and $x > 0$) is *monotone*, the order of plotted points is preserved. Second, the log transform is *variance-stabilizing* because it has the effect of making positively-skewed data less skewed through removing any dependence existing between the mean and variance of a set of data observations. Without such a transformation in place, sample observations would likely display varying levels of heteroscedasticity (*i.e.*, non-constant variance). Similar to the y -axis of **Figure 5.1**, numerous data points (representing over 60 fish species) lie directly on the x -axis, indicating a complete lack of sufficient specimen sampling (**Figure 5.2**). Despite its promise, it appears that the modified dotplot has not caught on within the DNA barcoding community outside a select few fish DNA barcoding studies [185, 186].

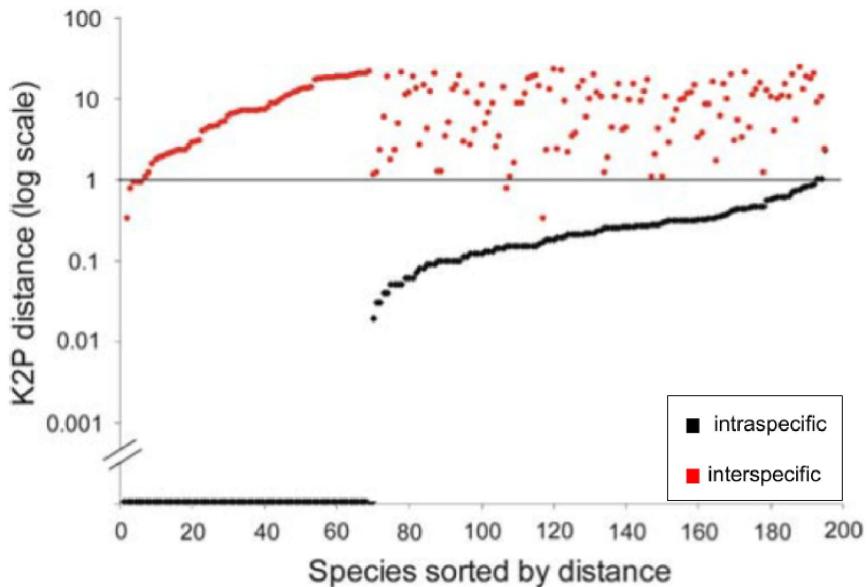


Figure 5.2: Half logarithm dotplot for the display of species' genetic distances modified from Steinke *et al.* [185] for fishes from Pacific Canada. Plotted data comprise those specimens originally analyzed by Steinke *et al.* [185] (*i.e.*, 1225 specimens from 201 species). Most sampled species are resolved at the 1% log level of genetic distance.

A much more intuitive means of displaying intraspecific distances and interspecific distances is through using “quadrant plots” (Figure 5.3) because they can be employed to directly detect “outlier” and problematic species in need of closer examination. In this approach, as in the generation of traditional and half-logarithm dotplots, barcoded species are depicted as points on a plot of maximum intraspecific distances on the *x*-axis *versus* minimum interspecific distances on the *y*-axis. Points fall into one of four categories in positive Cartesian space, depending on a predefined species distance cutoff (2% typically). Moving in a clockwise fashion from the top left corner, each category can be viewed as a case of either “barcoding success” or “barcoding failure”. Quadrant I corresponds to the case where species are easily discriminated using DNA barcoding and reflects concordance

with currently accepted Linnean taxonomy (*i.e.*, interspecific distances are greater than the prespecified level cutoff, while intraspecific distances are less than the chosen threshold — a “success”). Species falling into Quadrant II likely represent cryptic complexes (*i.e.*, both intraspecific distances and interspecific distances are greater than the prespecified level cutoff — a “failure”). Species in this partition are indistinguishable through morphology alone and as a result are lumped under a single species name by taxonomists. Quadrant III encompasses evolutionarily young species that have recently diverged from the MRCA (*i.e.*, not enough time has elapsed to allow nucleotide differences in the barcode region to accumulate — a “failure”). This category can also include species that are known by various synonyms. Finally, Quadrant IV includes likely misidentified specimens or instances of hybridization between closely-related species — a “failure”). Of all the case study species, *C. atraria* is the only species that would fall into Quadrant II. Based on computed genetic distances, both *Arctozenus risso* and *Lipolagus ochotensis* would be classified as belonging to Quadrant I; yet BOLD categorizes each of them as misidentified. This result is telling: it strongly suggests that *Lipolagus ochotensis* was represented in Steinke *et al.*’s [185] dataset by only a handful of collected specimens. Indeed, this is the case with only four sampled specimens. Thus, the plausibility of both *Arctozenus risso* and *Lipolagus ochotensis* as barcoding “successes” (and therefore presenting a real barcode gap) should be immediately called into question. Like the half-logarithm dotplot, the quadrant plot approach has seen very limited use in barcoding studies, despite its inherent simplicity. Such plots appear to have only been employed in two previous publications

[90, 95].

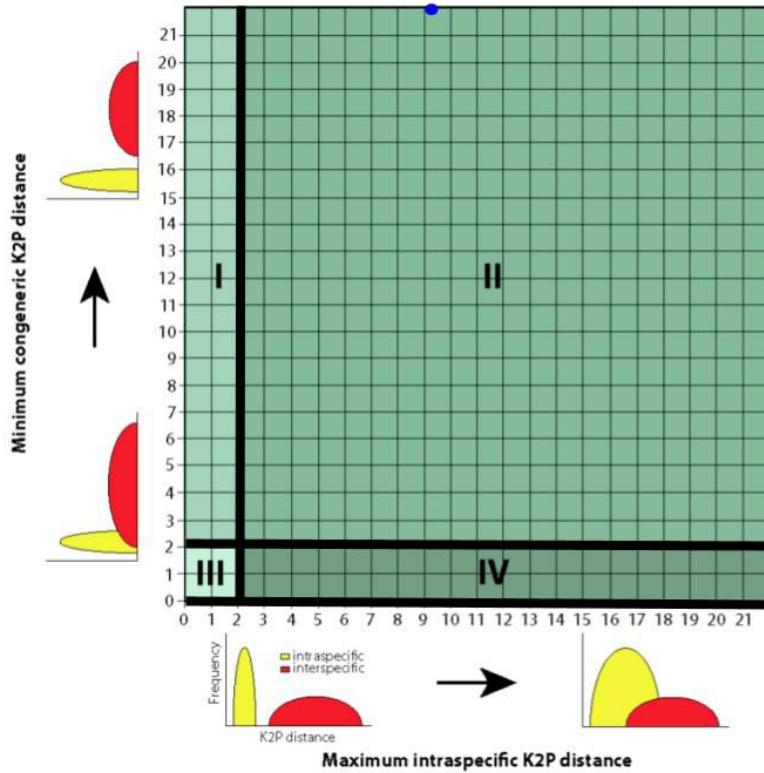


Figure 5.3: Quadrant plot for the depiction of species' genetic distances reproduced with modification from Hubert and Hanner [95]. Such plots are informative since problematic and/or “outlier” species can be easily detected and the success/performance of DNA barcoding assessed. Species are partitioned into four mutually exclusive groups (labelled I-IV) based on observed magnitudes of intraspecific and interspecific genetic distances. Here, a 2% distance threshold is assumed to separate most taxa. Solid black lines aid visual resolution of the quadrants. The blue dot at the approximate point (9.22, 22.78) within Quadrant II represents *Cyclothona atraria*, a likely cryptic species complex. Plot axes show the relationship to the density curves shown in Meyer and Paulay [129]. Theoretically, between-species genetic variation should greatly exceed barcode sequence variation observed within species (Quadrant I; minimum interspecific distance – maximum intraspecific distance > 2%). Practically, this will only be the case when specimens have been adequately sampled.

Whereas the abovementioned visual tools offer strong proof-of-concept of the DNA barcode gap, one element that they fail to reveal, however, is whether a barcoding gap likely

exists. To properly address this question, more rigorous statistical methods are required.

5.5.3 Inconsistent, Inappropriate Use, or Absence of Inferential Statistical Procedures in DNA Barcoding

Attempts to place DNA barcoding on more statistically-solid ground have been undertaken several times before, particularly with regard to specimen classification (*e.g.*, Matz and Nielsen [126], Nielsen and Matz [141], Abdo and Golding [1], Austerlitz *et al.* [7], Lou and Golding [120], Zhang *et al.* [215]) and (single-locus) species delineation (*e.g.*, Fujisawa and Barraclough [68], Monaghan *et al.* [132], Pons *et al.* [158], Reid and Carstens [166], Puillandre *et al.* [161], Zhang *et al.* [217]). Many of these proposed methods have seen widespread usage, while others seem to be rarely employed in certain instances due to their inherent mathematical complexity and/or black-box nature. Here, the intent is to highlight the increased need for more rigorous statistical procedures for better characterizing the DNA barcode gap by pointing to various efforts that have been made in merging statistical theory with specimen identification/classification throughout the years.

Perhaps the first instance of the use of statistical algorithmic approaches in DNA barcoding was for the purpose of specimen classification. Such methods relied mostly on ideas from classical inferential paradigms such as likelihood theory, whereas others took inspiration from more modern predictive machine learning models, particularly those incorporating subjectivist (Bayesian) thinking. One promising, yet grossly undervalued technique worth mentioning here is the probability of correct identification (PCI) [125, 180]. While the PCI has many variants, its primary function is to serve as a simple metric

of DNA barcoding efficacy given a richly-populated and fine-tuned reference database. The PCI statistic has mostly seen use around appropriate marker selection for DNA barcoding, particularly in regard to challenging taxa such as fungi, plants and protists. At its heart, the PCI is nothing more than a binomial proportion whose sampling distribution is easily estimated using resampling procedures. From here, it is trivial to calculate quantities of interest such as standard errors and confidence intervals. In essence, the strong mathematical and statistical theory that underlies the PCI is what is missing and should be emulated in future DNA barcoding studies employing the barcode gap.

The use of statistical approaches for species delimitation has also generated much interest. Before delving into this topic further however, it must be stressed precisely how evolutionary biologists view the notions of species and speciation. While systematists agree on many fronts, one aspect on which there is large disagreement is in defining of species themselves. Species are simple testable hypotheses accepted or refuted solely on the basis of existing expert knowledge and newly acquired information [146]. The argument for the use of DNA barcoding as a species delimitation tool necessarily rests on the adoption of a workable species concept that is congruent with one's belief system concerning what is known or expected to be true of focal taxa under study [131, 146, 204]. Unfortunately, deciding on a unified “barcoding species concept” that is both adequate and universally applicable across the entire Eukaryotic Tree of Life is no simple task since such a definition would have to satisfy properties, such as reproductive isolation and monophyly, inherent in the more than two dozen already-existing species concepts found throughout the literature

[46]. DNA barcoding itself will not succeed in uncovering deep biological and evolutionary relationships existing among taxa [204]. This is the case since multiple lines of evidence (*e.g.*, morphology, ecology, evolutionary/life history, geography or behaviour) must be factored into decision-making regarding the categorization of taxa into groups reminiscent of species using an integrative taxonomic framework [41]. Thus, it has been strongly cautioned to tread down this road carefully, considering various strategies to approaching species demarcation tasks, as well as

explanations for species existence, origin and formation over space and time [25]. The majority of proposed theoretical approaches in this regard have been strongly centered on population genetic and coalescent theory [107]. Despite this, methods like that of Birky *et al.*'s [18] and Birky's [17] K/θ ratio hold much promise in providing a deeper theoretical basis for the DNA barcode gap and a direct means of testing for its existence; however, their overall performance depends highly on the specific model of speciation assumed to characterize dynamics of taxa under examination [68, 104, 132, 158, 161, 217]. For example, rapid adaptive radiation events having occurred recently in the evolution of a taxon (such as Annelida) are known to complicate both local and global barcode gap detection since allopatrically-speciating populations would show comparable nucleotide makeup in the absence of gene flow [113]. Hubert and Hanner [95] noted a deep connection between the coalescence of two distinct evolutionary lineages within a given gene tree and the observation of a barcode gap reliably separating intraspecific from interspecific sequence variation. Specifically, once lineages have effectively sorted, both

specimen identification and species discovery tasks become easier.

In 2011, Puillandre *et al.* [161] introduced the widely-popular Automatic Barcode Gap Discovery (ABGD), a nonparametric statistical method to discriminate species based on the existence of the barcode gap, using available DNA sequence data, as opposed to generating taxon phylogenograms beforehand. Prior to this, heavy reliance fell upon the Generalized Mixed Yule Coalescent and its many variants [68, 132, 158, 166]. GMYC is an extremely parameter-sensitive, time- and memory-consuming model-based approach to species delimitation based on branching patterns observed within ultrametric phylogenies.

Resulting trees are generated using third-party software such as Bayesian Evolutionary Analysis Sampling Trees (BEAST; [55]) or MrBayes [97], and analyzed using the `splits` (SPecies LImits by Threshold Statistics) R package [62]. Since then, other methods to delimit species have been introduced to analyze barcode data (*e.g.*, Poisson Tree Processes (PTP) and its relatives [104, 217], Haplowebs [43], ASAP (Assemble Species by Automatic Partitioning) [160]) more efficiently. Earlier approaches such as haplotype parsimony networks [193], constructed using software like TCS [33], have found their way into DNA barcoding, despite known interpretational issues such as the tendency to form disconnected subnetworks, or the inclination to group species together within the same node [85, 154]. In addition, the default 95% detection limit (*i.e.*, the probability of parsimony) employed within TCS is largely arbitrary; users can set this value to range anywhere from 90-99% [33]. Thus, the choice of distance cutoff can have a large effect on the outputted network topology. The above methods can differ greatly in the number of

species delimited. Both Dellicour *et al.* [44] and Luo *et al.* [123] note that GMYC tends to overestimate (oversplit) species, whereas underestimation of species (*i.e.*, undersplitting) is evident for ABGD. The BIN approach [165] seems to be a good compromise to its predecessors as it is fast to run, straightforward to implement and resulting output is easily interpreted [105]. A BIN comprises a unique alphanumeric code corresponding to a tight cluster of closely-related haplotypes. The BIN framework employs hierarchical clustering (via the REfined Single Linkage (RESL) algorithm), along with Markov clustering, and often suggests species numbers between the extremes of ABGD and GMYC through partitioning DNA sequences into four mutually exclusive groups largely reflective of actual species: MATCH, MERGE, SPLIT and MIXTURE, on the basis of genetic distances [165]. These presumptive groups or operational taxonomic units (OTUs) are biologically interpretable: MATCHES conform to established Linnean taxonomy; MERGES indicate that distinct species are indistinguishable through DNA barcoding and should be combined under a single species name; SPLITS reflect the presence of multiple species under a common Linnean name (*i.e.*, cryptic species diversity); finally, MIXTURES reveal possible specimen misidentifications or instances of introgression/hybridization [165, 173]. A direct relationship exists between BIN categories and quadrant plot categories mentioned previously: MATCHES correspond to Quadrant I; SPLITS make up Quadrant II; MERGES fall into Quadrant III and MIXTURES lie in Quadrant IV. However, despite its promise, several major drawbacks to the use of the BIN system as a suitable species proxy exist. First, it is a black box whose underlying algorithm is not well-understood by researchers

outside the DNA barcoding community, such as regulatory scientists. Secondly, BINs are inherently dynamic and therefore unstable over time. As more records are added to barcode libraries, new BINs are formed and existing ones are coalesced. This behaviour mirrors that of OTUs and their gradual replacement within the metabarcoding community by Amplicon Sequence Variants/Exact Sequence Variants (ASVs/ESVs). Part of these problems may stem from the fact that the RESL algorithm remains unpublished (though aspects of the BIN framework have been successfully patented), making dataset collation and comparison difficult. Currently, there is functionality within BOLD's Workbench to cluster DNA sequences into OTUs via RESL, but no easy and direct way to compare species delineation methods using both simulated and real taxon barcode data since sequences must already reside in BOLD in some form (*i.e.*, as a public or private dataset).

Framing the DNA Barcode Gap as a Statistical Hypothesis

There is a need to define the barcode gap more formally as a composite (one-sided) statistical hypothesis test. An analogy here can be made to testing the hypothesis that a gene evolves neutrally in a species population. Such hypotheses can be assessed using a wide variety of tests such as Tajima's D [191]. In the present case, the null hypothesis of no barcode gap for a species would be tested against the alternative hypothesis that a barcode gap exists. Mathematically,

$$H_0 : \text{minimum interspecific distance} - \text{maximum intraspecific distance} \leq d_0$$

versus

$$H_1 : \text{minimum interspecific distance} - \text{maximum intraspecific distance} > d_0.$$

where d_0 is a predefined cutoff for species separation (say, $d_0 = 2\%$). Here, the null hypothesis (H_0) is assumed to be true, unless unsupported by the observed data. In this case, one fails to accept the null hypothesis in favor of the alternative. That is, it is assumed that present DNA sequence data do not support the existence of a barcode gap at the species level. Under this scheme, it is easy to distinguish between Type I errors (false positives) and Type II errors (false negatives). A false positive is analogous to taxonomic oversplitting (*i.e.*, nearest neighbour distance $<$ maximum intraspecific distance); whereas, excessive lumping of species (*i.e.*, nearest neighbour distance $>$ maximum intraspecific distance) strongly indicates that a false negative error has been made [95, 129]. A one-tailed test is chosen here, as opposed to the more widely employed two-sided test since between-species genetic variation usually exceeds that seen within species, with few exceptions. Such an approach leads to a more powerful test with greater flexibility than would be allowed using a two-sided test.

An immediate challenge exists in formulating an appropriate hypothesis test statistic for the barcode gap. Test statistics are usually of the form

$$T = \frac{d - d_0}{\text{SE}[d]}$$

where d is the observed difference between minimum interspecific distance and maximum

interspecific distance and SE denotes estimator standard error. For already well-sampled species (*i.e.*, those with a large number of collected specimens), the above test statistic would approximately follow the standard Normal distribution whenever H_0 is true. Unfortunately, in the case of small specimen sample sizes, deriving an expression for the standard error of the estimated barcode gap would be difficult and the distribution of said test statistic would also not be obvious.

Framing DNA barcoding in a statistical way is clearly needed, since for densely-sampled clades, a barcode gap is almost surely to exist. Through employing deep taxon sampling schemes, DNA barcode researchers will be able to more easily detect a true species' barcode gap when one is actually present.

The Use of Nonparametric Bootstrapping to Estimate the DNA Barcode Gap

In addition to simple point estimates (and associated standard errors) of the barcoding gap for varying taxa which are widely reported (*e.g.*, Wiemers and Fiedler [202]) future studies should also report confidence interval (CI) estimates around the estimated population (or “true”) maximum intraspecific distance, minimum interspecific distance and the barcode gap using sample data of intra- and interspecific distances. Confidence intervals, unlike p -values, are more strongly favored within the statistical literature. A simple but naïve solution in this regard is to form CIs using the data at hand; however, this requires the strong assumption that genetic distances are drawn from a large normally-distributed population; in reality, the sampling distribution of pairwise distances is unknown since it is likely to be highly taxon-dependent. This should come as no surprise

since genomic markers employed to assign taxon-level matches to unknown specimens using DNA barcoding show varying rates of molecular evolution both within and across taxonomic groups. These observed differences in taxon molecular evolutionary rates strongly affect fundamental processes at both the microevolutionary (*e.g.*, random genetic drift, mutation, natural selection) and macroevolutionary (*e.g.*, speciation) scales.

Thus, a better approach to reporting parameter estimates, which does not require the sampling distribution to be known *a priori*, and relaxes distributional assumptions through allowing for reasonably small sample sizes, is to employ nonparametric bootstrapping to continually resample from observed distances a large number of times (say, 10000 times) uniformly (*i.e.*, with equal probability) with replacement [59]. Sampling with replacement ensures that drawn observations are both independent and identically distributed; that is, sampling a given observation has no bearing on the occurrence of a future observation and all observations are generated from the same underlying statistical population. The idea here is that, for a large number of bootstrap replicates, the distribution of resampled distances (*i.e.*, the bootstrap sampling distribution) mimics the actual distance distribution for the taxon under study quite closely. Such a scheme is analogous to bootstrapping in phylogenetic inference to assess how well nodes within neighbour-joining trees support the observed data [60, 63]. Because a test statistic need not be known in advance, bootstrap results can be immediately used to form appropriate level (*e.g.*, 95%) bootstrap confidence intervals for the population barcoding gap. Statistical interpretation of such constructed intervals is relatively straightforward: if the intervals contain the value d_0 , then the

hypothesis that the maximum intraspecific distance does not differ significantly from the minimum interspecific distance at the hypothesized value d_0 cannot be rejected at the stated significance level (*e.g.* $\alpha = 5\%$ for 95% confidence). Put another way, if d_0 falls within the obtained CI, then the hypothesis that no barcode gap is present cannot be rejected at the chosen level of statistical significance.

Nonparametric bootstrapping is known to perform poorly in certain situations. One such failure of the traditional bootstrap is in the estimation of extreme order statistics such as the population minimum or the population maximum. Standard bootstrapping, sometimes termed the n -out-of- n bootstrap, works by drawing resamples of the same size as the original sample. As the “revised” DNA barcode gap is defined in terms of the maximum intraspecific distance and minimum interspecific distance, the usual bootstrapping procedure detailed above is not applicable. It is worth mentioning that the n -out-of- n bootstrap would indeed work as expected under the “old” definition of the barcode gap, used prior to Meier *et al.* [128], since that definition involved only statistical means. Fortunately, there is an immediate remedy available. The trick is to take resamples of a *smaller* size than the original dataset [15]. This technique is known as the m -out-of- n bootstrap, where $m < n$. In employing such a method, the variability of corresponding estimates will be higher (larger) than in the regular bootstrapping procedure whereas the bias will be low [29, 30]. While this result may appear counterintuitive at first, assuming the variance of an estimator of interest is both constant and finite, said estimator’s standard error will be smaller for a larger number of observations and larger for smaller sample

sizes. Since $m < n$, another approach worth examining is random subsampling, which involves sampling *without* replacement [157]. The optimal choice of m however is not obvious and can have a significant impact on obtained results. Therefore, algorithms for selecting appropriate values of m (such as that presented in Bickel and Sakov [16]) must be investigated. In any case, m should be chosen such that it along with n both approach infinity, while at the same time ensuring that the quantity $\frac{m}{n}$ approaches zero [29, 30]. For instance, letting $m = \sqrt{n}$ or $m = \log(n)$ would satisfy this condition. In general, the value of m should be much smaller than that of n . This raises an interesting point in the context of DNA barcoding: bootstrapping is only reliable when clades have been sufficiently sampled; that is, the bootstrap is not a cure for the small sample size problem. Regardless, the above bootstrapping approach should be used to report point estimates and desired level CIs for “true” maximum intraspecific distances and interspecific distances, as well as population barcoding gaps in any and all future taxon-specific DNA barcoding studies that meet the abovementioned requirement (especially reference sequence library publications).

5.6 Critically Evaluating the Concept of the DNA Barcode Gap in Conservation and Regulatory Contexts

Over the years, several publications cited herein (and elsewhere) have successfully harnessed and exploited the awesome power of DNA barcoding in biodiversity and regulatory settings. On the flip side, numerous biodiversity-focused studies have clearly demonstrated the performance of DNA barcoding on the basis of the observed difference

between intraspecific and interspecific genetic variation — the DNA barcoding gap. What appears to be missing however are more studies lying at the intersection of these two extremes, recent examples of which include Lee *et al.* [114]. The statistical approaches put forth and explained in detail here, in addition to existing bioinformatic tools that directly compute estimated barcode gaps (*i.e.*, ABGD, ASAP) can greatly aid in providing strong support for the in-depth assessment of the DNA barcoding gap as a foundationally-rigorous concept, something that is nonexistent within most studies bearing a socioeconomic flavour.

Below, some specific use cases of DNA barcoding as they relate to characterizing both global and local barcode gaps in conservation and regulatory contexts are highlighted. Language is explicitly borrowed from Collins and Cruickshank [38], who categorize taxon sequences into four independent groups: “known knowns”, “known unknowns”, “unknown knowns” and “unknown unknowns”. “Known knowns” are well characterized and curated species in existing barcoding libraries, whereas “known unknowns” are formally described species, yet lack full library representation. Conversely, “unknown knowns” reflect possibly divergent/cryptic lineages among described species found in reference databases like BOLD. Lastly, “unknown unknowns” pertain to undescribed or cryptic species without records in existing libraries. The goal here is to dispel the perceived subtleties associated with employing DNA barcodes for such applications, especially in light of reference sequence libraries reflecting an incomplete sampling of natural variation. While scenarios mentioned here do not form an exhaustive list, they nevertheless cover a broad range of possibilities necessary for adequately conceptualizing the notion of a DNA barcoding gap.

Scenario I: A geographic region in the Pacific has a well-known fish species biodiversity. Several barcoding campaigns dedicated to monitoring fisheries bycatch over the years have resulted in a hypothetical library that is 98% complete. All species in the library comprise more than 20 sequences. In this case, the DNA barcode gap is probably almost entirely redundant. A given specimen query will likely be identical (or differ by only a few basepairs) to one already in the library. A nearest neighbour assignment with an arbitrary 1-2% threshold (or none at all) will correctly identify most queries to the species level, except in the case of barcode haplotype sharing. Here, only detection of the local barcode gap is of interest. Adjusting and recalculating the global DNA barcoding gap is unlikely to affect taxon classifications since observing rare species or new lineages is extremely unlikely with increased sampling intensity. Thus, the library mostly consists of “known knowns” and “unknown knowns”. The takeaway here is that as reference library coverage increases, estimating the barcode gap becomes less relevant. Incorporation of sample size estimation tools like that of Phillips *et al.* [155] will add extra reassurance that specimen sampling is sufficient.

Scenario II: A poorly-sampled tropical region in Costa Rica has three times as many lepidopteran species as North America. Barcoding efforts have resulted in a library that is only 60% complete, where most species are represented by less than three sequences. Further, the taxonomy of many groups is uncertain. Due to low library coverage, there are many “known unknowns” and “unknown unknowns” which are likely to be encountered in real samples. Here, quantifying the barcode gap parameter space is critical to establishing

a threshold by which queries can be assigned correctly as unknowns, thus limiting the rate of false positives [40, 92].

Scenario III: The Canadian Border Security Agency (CBSA) has intercepted a shipment of fish fins from a potentially endangered shark species being trafficked for illegal sales. To guarantee a conviction, a confirmed scientific name is needed. Unfortunately, specimens cannot be matched to any publicly-available sequence records in BOLD or GenBank. Thus, the presence of “known unknowns” in the seized samples greatly complicates matters. DNA barcode gap and sample size estimation would become key pieces of evidence capable of providing statistical uncertainty of species assignment in this case.

Scenario IV: A research team wishes to characterize alpha diversity between habitats or environments within an unexplored region in Madagascar for the purpose of completing a biodiversity survey. The goal is to infer broad endemism and phylogeographic trends, as opposed to individual-level diversity; however, little in way of a DNA barcode reference library currently exists to aid this effort. There are many “known knowns”, “known unknowns”, “unknown unknowns” and “unknown unknowns”. De novo species delimitation tools based on phylogenetic trees, such as GMYC and PTP, as well as those approaches utilizing genetic distances, including ABGD, ASAP and RESL, are necessary to addressing problems with specific methods and breakdown of statistical model assumptions. Here, local barcoding gaps are less important as no single method will be solely relied upon for any individual taxon. However, crude estimation of a global barcode

gap is possible.

Scenario V: A taxonomist wishes to discover new species from samples of recently-collected specimens comprising many “known knowns”, “known unknowns”, “unknown knowns” and “unknown unknowns”. As a first step, established single-locus delimitation algorithms are used to triage individuals into species-like units. Next, specific species hypotheses are tested through combining aspects of integrative taxonomy with more sophisticated Bayesian multilocus delineation approaches based on the multispecies coalescent (*e.g.*, *BEAST [91], BPP [207], Bayes factors [77]). In this case, the global barcoding gap is of no real concern, except as a rough calibration/benchmark against known members at the genus level. Multigene species demarcation approaches will be superior in this respect because speciation events will be more readily ascertained.

Scenario VI: It is suggested that DNA barcoding could be applied to inventory diversity in a poorly-understood family of invertebrates. Since there are only “unknown unknowns”, the global DNA barcode gap could be employed to justify that genetic and morphological characters are congruent; thus, conducting further sequencing is worthwhile.

5.7 New Avenues for Estimating the DNA Barcode Gap

Finally, it is important to draw upon future promising avenues for continued work on accurately estimating the DNA barcoding gap. One potential application in this regard includes statistical mixture models which can account for genetic differences observed within and among species for the purpose of molecular specimen assignment. Mixture

models offer great flexibility when it comes to accomplishing this task because correlations in haplotype diversity existing at the species level can be easily incorporated into such modelling frameworks. Much effort has gone into the development of easy to use computational tools to fit mixture models to a wide variety of data. A notable example in this regard that may prove valuable for barcode gap estimation is the R package `mclust` [172], software that has seen widespread use for the task of parametric model-based clustering in recent years.

Statistical methods for delineating species can inherently be viewed as “mixture models”. All proposed species delimitation approaches to date find the optimal partition of DNA sequences into mutually-distinct groups that are highly reflective of actual species. Thus, the problem of species separation boils down to that of a simple clustering/classification task. The majority of methods generate these clusters on the basis of estimated phylogenetic relationships (*e.g.*, GMYC, PTP), along with an assumed parametric model of species generation (*e.g.*, birth-death process, Yule process), whereas others simply use the DNA sequences themselves (*i.e.*, ABGD, ASAP) to arrive at a plausible solution in a nonparametric fashion. In recent years, novel “hybrid” approaches to tease out species have been published. Notably, algorithmic methods such as Fujisawa and Barraclough [67] and Jones [103] stray away from objective single-locus likelihood inference to also include subjective multilocus Bayesian inferential frameworks. Regardless, these and other related approaches may prove valuable in aiding better detection of the DNA barcoding gap.

Another approach that should be investigated and applied to address questions about the DNA barcode gap is the employment of nearest-neighbour and other machine learning methods used in clustering and classification tasks (*e.g.*, van Velzen *et al.* [196]). However, the widespread success of machine learning methods is due greatly to the availability of large amounts of training data that feed and nurture artificial intelligence (AI) algorithms, a factor that poses problems for undescribed species, rare taxa and those with narrow geographic distributions (*e.g.* endemic species, monotypic taxa). With an arsenal of statistical tools like mixture models and nearest-neighbour methods in hand, practitioners will be better equipped to estimate important quantities central to DNA barcoding, including species separation thresholds.

Although not a statistical issue *per se*, the increased need for the sequencing of multiple genetic loci, particularly nuclear genes, to solidify confidence in specimen assignment and aid resolution of taxon boundaries, cannot be stressed enough [56]. Much like the adoption of the rbcL and matK chloroplast genes for DNA barcoding of land plants, a similar case can be made for a dual, or better yet, multiple, mitochondrial-nuclear gene system for barcoding of metazoan taxa. COI has been demonstrated to lack sufficient discriminatory power for identification in groups such as sharks and the aptly named “problem children” (Cnidaria and Porifera) [20] to name a few — all which show remarkably low rates of molecular evolution. In the case of animal DNA barcoding, several molecular regions (preferably both mitochondrial and nuclear) should be sequenced across the same sampled specimen whenever possible; in reality however, this is rarely done. While other

International Barcode of Life (iBOL) member nations (*e.g.*, those in Europe) have accepted the move toward multilocus DNA barcoding with open arms, it seems that Canada, ironically, is not one of them. The largest global hub for DNA barcoding, the Centre for Biodiversity Genomics (CBG), perhaps appears to remain somewhat fixated on the promise of single-marker barcoding for the construction of reference sequence libraries and for the progression of biodiversity science as a whole. One can even argue that Canadian DNA barcoding's staunch position on maintaining the *status quo* and its reluctance to embrace necessary change, due to the overwhelming fear of becoming irrelevant, has greatly hindered the timely transition into the vast and exciting realm of "next-generation DNA barcoding" [192]. This is clearly evident from the fact that the majority of specimen sequence records found in BOLD are derived from just a single marker (COI). Within BOLD, substantially fewer specimen records originate from other mitochondrial markers like cytochrome *b* (*cytb*) and the mitochondrial D-loop; even fewer come from nuclear gene regions such as ribosomal DNA (rDNA) and rhodopsin (*rho*). Thus, sequence reference databases should strive to incorporate genetic information from multiple genomic sources to better aid specimen identification to the species level, especially since the DNA barcode gap is nonexistent in most taxonomic groups outside animals [109]. This is unfortunately easier said than done. Only quite recently have sequencing technologies such as Pacific Biosciences' SEQUEL platforms and genome skimming [35] enabled the rapid and broad characterization of biodiversity at multiple taxonomic levels due to the ability to accommodate both higher numbers of reads produced, as well as greater marker read length

resolution [?]. The widespread adoption of a multimarker approach for DNA barcoding has several limitations including the need for greater funding, as well as improved community standards. An ideal world is one where genomes for all taxa are available; however, currently only wealthy nations can afford to generate such massive amounts of data. This has led researchers within the community-at-large to forgo accomplishing goals “the right way” at the expense of upholding reproducibility. Global initiatives like Genome 10K [70, 108], which specifically seeks to sequence the entire genomes of over 10000 vertebrate species, have provided biodiversity researchers with a glimpse into what will be possible once set data standards are adopted and strictly adhered to within the community-at-large [108]. The proposal for DNA standards such as that for obtaining high-quality DNA barcodes from previously-collected specimens based on the reserved keyword “BARCODE” [81] has been highly conducive in pushing DNA-based identification, albeit at a much smaller scale. Perhaps most importantly, Genome 10K points to a growing need for guidelines on the proper collection of specimens and the recovery of adequate amounts of specimen genetic information, the deep sequencing of specimen genomic DNA, as well as the timely deposition and curation of genome records to the International Nucleotide Sequence Database Collaboration (INSDC) through publicly-accessible online molecular sequence databases such as the National Center for Biotechnology Information (NCBI)’s GenBank for easy retrieval, visualization and downstream analysis.

5.8 Concluding Remarks

In this piece, it was demonstrated that DNA barcoding currently lacks the statistical rigor needed to properly interpret results of species barcode gap analyses through focusing on three key areas with respect to Metazoan taxa: (1) the need for larger specimen sample sizes reflective of standing genetic variation within species; (2) the misleading display of intraspecific and interspecific distances, and (3) the absence of formal statistical inference procedures in DNA barcoding. A past study of Pacific Canada's fish fauna by Steinke *et al.* [185] was employed to illustrate flaws in the presentation of the DNA barcode gap, as well as the need for larger specimen sample sizes to avoid biases in the reporting of within- and between-species genetic distances critical for reliably estimating the gap. First, the routine use of the novel R package `HACSim` will allow researchers to better assess the efficacy of current taxon sampling schemes and develop more robust collection protocols that will permit greater statistical power in detecting a true species' barcode gap. Next, a more careful consideration of the depiction of the DNA barcode gap as a frequency histogram is warranted, as are alternative representations, including density estimation curves and the half-logarithm dotplot, due to interpretation issues surrounding default graphical parameters employed by many popular statistical analysis programs such as R and Excel. In addition, better ways to reconcile DNA barcoding with statistical inference include proposing the framing of the barcode gap as a one-tailed statistical hypothesis test, and backing the use of the nonparametric bootstrap to compute standard errors and confidence intervals for maximum intraspecific distances, nearest-neighbour

distances, as well as the barcode gap. Finally, new directions are offered for thinking critically about the robust estimation of the DNA barcode gap. While it is recognized that collecting specimens such as those of deepwater Pacific fishes is a costly and time-consuming endeavour that is unlikely to provide necessary genetic resolution deemed critical for large-scale biodiversity assessment, the introduction and proliferation of new quantitative methods to address knowledge gaps and uncertainties pertaining to the diversity of life on this planet will nonetheless make full use of the rapidly closing window of available sampling opportunity. Taken together, the methods outlined herein have the potential to open closed doors, giving biodiversity researchers and regulatory scientists an unprecedented view of patterns left in DNA sequences from key evolutionary mechanisms and processes responsible for shaping Earth's biodiversity over millions of years.

While focus was placed heavily on animal DNA barcoding and the importance of sound determination of the barcode gap, many of the principles that underlie taxon classification and demarcation algorithms mentioned or discussed in some detail herein are directly transferrable to targeted species detection using DNA/eDNA as well as metabarcoding. Species-level discrimination is challenging (or unreliable) without extensive reference libraries at hand. Thus, researchers are likely more concerned with pinpointing higher-level taxonomic matches. As a result, intraspecific variation and barcode gap thresholds are largely ignored. In these instances, length variation in retrieved barcode sequences is widespread; thus, separate bioinformatic solutions are required like that of Barbera *et al.* [9]. Despite this, efforts should be made to better integrate methods of DNA barcoding

with (e)DNA metabarcoding, especially since many biodiversity researchers and regulatory scientists nowadays routinely employ elements of both disciplines in their work.

Before closing, it should be mentioned that the appropriate use of improved and accessible statistical methods and recommendations discussed herein can be conveniently framed in the context of Collins and Cruickshank [38]. Specifically, when dealing with “known knowns” and “unknown knowns”, all proposed methods are presumed to perform well when it comes to reliably estimating the magnitude of DNA barcode gaps, along with other important quantities computed on the basis of species’ genetic distances, provided specimen sample sizes are reasonably large. On the other hand, the abovestated methods cannot reasonably be expected to work well in the case of “known unknowns” and “unknown unknowns” since DNA barcodes within reference sequence libraries will be largely undersampled despite uncertainties in taxonomic descriptions. Nevertheless, this limitation does not outright render usage of the proposed approaches here null and void since there is strong dependence on the taxa in question.

With these considerations in mind, both biodiversity and regulatory scientists alike will be well-equipped to constructively analyze vast amounts of DNA barcode data with greater confidence and as a result feel more secure in making critical assessments as to the performance of DNA barcoding on the basis of the barcode gap. The widespread adoption of the methods discussed herein will be of great importance in moving forward with the building of large-scale DNA barcode reference libraries.

Chapter 6

Conclusion and Future Directions

6.1 Thesis Summary

The overarching goal of the present thesis was to develop a statistical method to assess intraspecific haplotype sampling completeness using haplotype accumulation curves. The result was a nonparametric stochastic local search optimization algorithm, called HACSim (**Haplotype Accumulation Curve Simulator**), to estimate likely required specimen sample sizes for characterization of species genetic diversity. The method specifically employs Monte Carlo sampling to iteratively extrapolate species' haplotype accumulation curves to detect where curves begin to saturate toward an asymptote. HACSim works under the assumption that species are both panmictic (*i.e.* randomly-mating) and are drawn from large ideal populations where the effects of genetic drift are negligible (and thus, population structure does not play a major role). Such a method is useful since it can be used as a null model and stopping criterion for specimen sampling in conjunction with factors such as species rarity and research project budget.

Within the preceding four chapters, the issue of specimen sample size determination

for COI DNA barcoding was investigated in detail. COI is very well represented in existing genomic sequence databases, particularly BOLD and GenBank. The present work clearly points to the increased need to incorporate larger sample sizes into current taxon collection efforts. Crude estimates of adequate sample sizes put forth by various researchers typically range from 5-10 specimens per species. However, it is usually the case that only a single or a few specimens can reasonably be sampled due to species rarity and research budget. In fact, there is no “one size fits all” when it comes to taxon sampling because different taxa exhibit distinct evolutionary and life histories. Further, different genes used in assessing sampling completeness at the species level have varying rates of molecular evolution. Simulation studies have demonstrated that much larger sample sizes (on the order of hundreds to thousands) are likely needed to reliably ascertain intraspecific genetic variation. Although it would be ideal to sample individuals of a species across their entire geographical or ecological range, as well as across a variety of molecular genetic loci, such a scheme is hindered greatly by factors such as project costs. Many of the issues are highlighted and investigated in Chapter 2 of this thesis.

A much better approach to addressing the question of appropriate sample sizes for DNA barcoding is to instead sample an *optimal* number of specimens of a given species of interest. Chapter 3 presents HACSim, a stochastic optimization algorithm for determining necessary specimen sample sizes based on saturation observed in plotted haplotype accumulation curves. The model makes a number of simplifying assumptions that are likely to be violated in real species groups, such as the assumption of panmixia across species

ranges. Further, HACSim assumes that genetic variation observed in barcode sequences is biologically real. The presence of various sequence artifacts such as insertion/deletions (indels) and nuclear-mitochondrial inserts (NUMTs)/pseudogenes, as well as amplification/sequencing errors (*e.g.*, incorrect base calls) within user-curated databases likely means that necessary sample size are actually much larger than currently predicted. A detailed simulation study outlined in Chapter 4 shows (1) that HACSim suggests sample sizes higher than those routinely employed in practice within DNA barcoding studies and (2) that HACSim consistently captures desired levels of within-species haplotype diversity across all wide-ranging sample sizes for a variety of animal species of direct societal value. Based on simulation study results, HACSim is shown to have good statistical properties such as high coverage probabilities. Despite this, the assumption of representative sampling of species haplotype diversity is quite unrealistic. While HACSim is currently available as an R package from CRAN, a stand-alone R Shiny web application has also been developed and will be available soon for those users who either lack confidence in programming within R or those users who are uncertain HACSim is ideal for their problem of interest. In both cases, the HACSim Shiny app can be employed to run all examples included in Phillips *et al.* [155] (Chapter 3) and Chapter 4, plus other custom simulations of a user's choosing. The app will be accessible in two ways: (1) through the Shiny server, or (2) through the HACSim R package itself via the `launchApp()` function. Future work should investigate the further relaxing of model assumptions so that simulations are made more biologically realistic, in particular the introduction of population structuring.

In addition, functionality should be made to allow end users to simulate their own DNA sequence alignments according to various models of nucleotide substitution.

While the present thesis addresses many issues surrounding sample size estimation for DNA barcoding, much still remains to be accomplished on the statistical front. To this end, Chapter 5 makes a case for the lack of statistical rigor in DNA barcoding as it pertains to accurate estimation of the DNA barcode gap. Arguments revolve around three main areas: (1) improper allocation of specimen sampling effort required to adequately probe levels of standing intraspecific genetic variation, (2) improperly visualizing within- and among-species genetic distances and (3) the inconsistent, inappropriate use, or absence of statistical inferential procedures in DNA barcoding gap analyses. In addressing each of these omissions, simple statistical solutions are offered that are readily accessible to the non-statistician. HACSim can be specifically employed to address the issue of disproportionate sampling effort that is evident within BOLD and other genetic data repositories. Kernel density estimation plots, in addition to quadrant plots can greatly aid visualization of DNA barcode sequence data, potentially pointing out failures of DNA barcoding for certain problematic taxa. Lastly, hypothesis testing and resampling via the nonparametric m -out-of- n bootstrap can lend strength to both point and interval estimation of intraspecific and interspecific distances that make up the barcode gap. A case study on fishes of Pacific Canada is used to demonstrate problems with current methods and solutions via improved ones.

All species included in data analysis within the present thesis, particularly those of

fishes, insects and arachnids for the performance testing of HACSim, were selected for two very important reasons. Firstly, these taxa are well represented in BOLD, often comprising hundreds to thousands of sampled specimens. Secondly and finally, all examined taxa possess cultural, regulatory/forensic, medical and/or socioeconomic significance. However, it is important to also consider estimation of species' genetic diversity and determination of adequate specimen sample sizes for taxa besides animals and for genes aside from COI. Herein, it was explicitly decided to focus on solely on animals and COI because sequence records are highly abundant within BOLD. Nevertheless, once community standards improve and further sampling depth is achieved, both plant and fungal species should also be targeted in relation to HACSim.

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Appendix A

Additional Information Accompanying Chapter 3

Supplemental information can be found at <https://peerj.com/articles/cs-243/>.

Internal R code for HACSim can be found at <https://github.com/jphill01/HACSim.R>.

Appendix B

Additional Information Accompanying Chapter 4

Supplemental information can be found at <https://github.com/jphill01/PhD-Thesis-Appendix>.

Appendix C

Derivation of Approximate Confidence Interval for Sampling Sufficiency (θ) (Equation (3.3))

The Delta Method permits the approximation of the distribution of a function of a random variable provided said random variable is asymptotically normal.

Using the univariate Delta Method, an approximate large-sample (asymptotic) confidence interval for specimen sampling sufficiency (θ) based on the Central Limit Theorem (CLT) can be derived.

For a single parameter of interest, the Delta Method states that

$$\sqrt{n}(g(X_n) - g(\mu)) \rightarrow_d \mathcal{N}(0, [g'(\mu)]^2\sigma^2) \quad (\text{C.1})$$

where n is the number of observations and $g(X_n)$ is a function of independent and identically distributed (iid) random variables X_1, \dots, X_n with finite variance σ^2 approximating some unknown parameter μ .

For the problem at hand, both N_i and H^* are constants and H_i is the random variable of interest. In reality, N_i is likely not constant, but is treated as such according to the constant population size assumption implicit in HACSim's underlying model discussed in detail within Chapter 4. For simulation of real species, N_0 , the initial guess of likely required specimen sample size used to initialize HACSim, is known *a priori* since it is equal to the number of specimens/DNA sequences present in the filtered multiple sequence alignment required as input. In addition, the decision to treat N_i as constant avoids the need to use the multivariate Delta Method, which would otherwise require evaluation of several partial derivatives, thus making the mathematics quite cumbersome and tedious.

Writing Equation (3.1) as a function of H_i gives

$$g(H_i) = \frac{N_i H^*}{H_i}. \quad (\text{C.2})$$

Now, differentiating the above expression with respect to H_i using the Quotient Rule, factoring the denominator, and then simplifying leads to

$$g'(H_i) = \frac{-N_i H^*}{H_i^2} = \frac{-1}{H_i} \frac{N_i H^*}{H_i} = \frac{-N_{i+1}^*}{H_i}. \quad (\text{C.3})$$

By the Delta Method, the estimated variance of N^* is given by

$$\widehat{Var}[N_{i+1}^*] = [g'(H_i)]^2 \hat{\sigma}_{H_i}^2 = \left(\frac{-N_{i+1}^*}{H_i} \right)^2 \hat{\sigma}_{H_i}^2 = \left(\frac{N_{i+1}^*}{H_i} \hat{\sigma}_{H_i} \right)^2. \quad (\text{C.4})$$

and its corresponding standard deviation and standard error are respectively

$$\widehat{SD}[N_{i+1}^*] = \sqrt{\widehat{Var}[N_{i+1}^*]} = \frac{\hat{\sigma}_{H_i}}{H_i} N_{i+1}^* \quad (\text{C.5})$$

and

$$\widehat{SE}[N_{i+1}^*] = \frac{\widehat{SD}[N_{i+1}^*]}{\sqrt{N_{i+1}^*}} = \frac{\hat{\sigma}_{H_i}}{H_i} \sqrt{N_{i+1}^*}. \quad (\text{C.6})$$

Finally, a symmetric CI for θ can be constructed, leading to Equation (3.3)

$$N_{i+1}^* \pm z_{1-\frac{\alpha}{2}} \widehat{SE}[N_{i+1}^*] = N_{i+1}^* \pm z_{1-\frac{\alpha}{2}} \left(\frac{\hat{\sigma}_{H_i}}{H_i} \sqrt{N_{i+1}^*} \right). \quad (\text{C.7})$$

where $z_{1-\frac{\alpha}{2}}$ is the $(1 - \frac{\alpha}{2})100\%$ quantile of the Standard Normal distribution and $\hat{\sigma}_H$ is the estimated standard deviation for the number of haplotypes (H) found from sampling N^* specimens.