RESEARCH ARTICLE

Evaluation of phylogenetic reconstruction methods using bacterial whole genomes: a simulation based study [version 1; referees: 1 approved, 1 approved with reservations]

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Abstract

Background: Phylogenetic reconstruction is a necessary first step in many analyses which use whole genome sequence data from bacterial populations. There are many available methods to infer phylogenies, and these have various advantages and disadvantages, but few unbiased comparisons of the range of approaches have been made.

Methods: We simulated data from a defined “true tree” using a realistic evolutionary model. We built phylogenies from this data using a range of methods, and compared reconstructed trees to the true tree using two measures, noting the computational time needed for different phylogenetic reconstructions. We also used real data from Streptococcus pneumoniae alignments to compare individual core gene trees to a core genome tree.

Results: We found that, as expected, maximum likelihood trees from good quality alignments were the most accurate, but also the most computationally intensive. Using less accurate phylogenetic reconstruction methods, we were able to obtain results of comparable accuracy; we found that approximate results can rapidly be obtained using genetic distance based methods. In real data we found that highly conserved core genes, such as those involved in translation, gave an inaccurate tree topology, whereas genes involved in recombination events gave inaccurate branch lengths. We also show a tree-of-trees, relating the results of different phylogenetic reconstructions to each other.

Conclusions: We recommend three approaches, depending on requirements for accuracy and computational time. Quicker approaches that do not perform full maximum likelihood optimisation may be useful for many analyses requiring a phylogeny, as generating a high quality input alignment is likely to be the major limiting factor of accurate tree topology. We have publicly released our simulated data and code to enable further comparisons.

Keywords

phylogeny, simulation, tree distance, bacteria, phylogenetic methods
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**Introduction**

Phylogenetic analysis is a complex task, but one that is foundational to many applications in bacterial genetics: molecular evolution, outbreak tracing and genomic epidemiology, to name a few. The modern genomic analyst faces a bewildering array of options at every stage of the process.

The possible number of trees for even a small number of tips is enormous – for 96 tips there are $10^{33}$ possible trees (compare this to $10^{60}$ atoms in the observable Universe, or even $10^{100}$ possible games of chess). Fortunately, sophisticated software methods allow us to sensibly navigate through this space to the most likely trees.

Generally the steps taken when analysing a population of bacteria that have been whole genome sequenced are as follows. Quality control of the raw data must first be performed, after which a whole-genome alignment of the sequences is produced. The alignment is usually produced by mapping reads to a reference sequence (of which many likely exist), but may also be obtained by de novo assembly followed by whole-genome alignment (either by progressive local alignment, or through multiple sequence alignment of orthologous genes and intergenic regions). Many methods are available to map reads to a reference, assemble reads into contigs and align contigs or genes, and each method will typically have many options. This alignment is the key input for phylogenetic inference software. Even more methods, with yet more complex options, exist to determine the most likely phylogeny given a sequence alignment. Alternatively, one may forgo alignment altogether, and opt instead for a k-mer distance-based approach followed by a neighbor joining tree.

Understandably, this complexity and range of choice means that methods sections of papers using phylogenetic analysis are often different between studies. This disparity is likely due to different software preferences (familiarity, speed and usability being major factors in this choice), rather than an informed choice based on the biological question and resources to hand. The relative merits of different approaches are difficult to objectively assess, even after careful reading of the original method manuscripts. The potential effect of different combinations of approaches at each step in the process between raw sequence reads and the final phylogeny has seldom been explored.

It is therefore desirable to provide a comparison between phylogenetic methods that is focused on methods’ ability to answer the biological question at hand. Some previous attempts have been made, using either simulated data, experimental evolution, or an assumption that the maximum likelihood phylogeny is correct. One such study assessed the running times and likelihood of trees produced by Kremer et al. from a core genome alignment of 96 *Listeria monocytogenes* genomes from patients with bacterial meningitis, possessing a number of qualities we wished to be able to reproduce: two distinct lineages (also making midpoint rooting suitable, and negating the strong dependence on correct rooting implicit in the Kendall and Colijn metric), several clonal groups within each lineage, long branches and a polyphylectic population cluster (population clusters were estimated from a core genome alignment using Bayesian Analysis of Population Structure v6.0 (BAPS)).

We hope to provide some insight into which approaches should be favoured in certain settings while acknowledging that our simulations are far from comprehensive. We also make our code and simulated data publicly available in the hope that this might inspire further method comparisons aimed at different settings.

**Methods**

**Simulating bacterial populations – assemblies and alignments**

We wished to simulate genomes in a realistic way, without using the same model of evolution that any one software package uses to compute tree likelihoods or sequence distances in order to reconstruct the tree. This would be circular, and would result in that software package necessarily performing best.

We used Artificial Life Framework v1.0 (ALF) to simulate evolution along a given phylogenetic tree, using the 2 232 coding sequences in the *Streptococcus pneumoniae* ATCC 700669 genome as the MRCA. As well as modeling SNP evolution, ALF also allows for short insertions and deletions (INDELs), gene loss and horizontal gene transfer events which occur in real populations but are usually not included in phylogenetic models. We used a phylogeny (Figure 1), originally produced by Kremer et al. from a core genome alignment of 96 *Listeria monocytogenes* genomes from patients with bacterial meningitis, possessing a number of qualities we wished to be able to reproduce: two distinct lineages (also making midpoint rooting suitable, and negating the strong dependence on correct rooting implicit in the Kendall and Colijn metric), several clonal groups within each lineage, long branches and a polyphylectic population cluster (population clusters were estimated from a core genome alignment using Bayesian Analysis of Population Structure v6.0 (BAPS)). We define $N$ as the number of strains in the study and $M$ as the number of aligned sites.

We then tried to pick realistic parameters for the simulation run with ALF. To estimate rates to use in the generalised time-reversible (GTR) matrix and the size distribution of INDELs, we first aligned *S. pneumoniae* strains R6 (AE007317), 19F (CP000921) and *Streptococcus mitis* B6 (FN568063) using
Progressive Cactus v0.0\textsuperscript{13}. This whole genome alignment allowed calculation of SNP and INDEL rates across recent \textit{S. pneumoniae} evolutionary history. We used previously determined parameters for the rate of codon evolution\textsuperscript{14}, relative rate of SNPs to indels in coding regions\textsuperscript{15}, rates of gene loss and horizontal gene transfer\textsuperscript{16} when running the simulation. We then used ALF with these parameters to simulate the evolution of coding sequences from the root genome along the given phylogeny. In parallel, we used DAWG v1.2\textsuperscript{17} to simulate evolution of intergenic regions using the same GTR matrix parameters and previously estimated intergenic SNP to INDEL rate\textsuperscript{15}. We combined the resulting sequences of coding and non-coding regions at tips of the phylogeny while accounting for gene loss and transfer, and finally generated error prone Illumina reads from these sequences using pIRS v1.11\textsuperscript{18}.

To generate input to phylogenetic inference algorithms, we created assemblies and alignments from the simulated reads. We assembled the simulated reads into contigs with velv\textup{et} v1.2.09\textsuperscript{19}, then improved and annotated the resulting scaffolds\textsuperscript{20}. We generated alignments by mapping reads to the TIGR4 reference using \texttt{bwa-mem} v0.7.10 with default settings\textsuperscript{21}, and called variants from these alignments using \texttt{samtools} v1.2 \texttt{mpileup} and \texttt{bcftools call}\textsuperscript{22}. We used Roary 1.00700\textsuperscript{1} with a 95% BLAST ID cutoff to construct a pan-genome from the annotated assemblies, from which a core gene alignment was extracted. We then created alignments by two further methods. For an MLST alignment we selected seven genes at random from the core alignment (present in all strains) which had not been involved in horizontal transfer events. For a Progressive Cactus alignment, we ran the software on the assemblies using default
settings, and extracted regions aligned between all genomes from the hierarchical alignment file and concatenated them.

Methods of phylogeny reconstruction
Using the nucleotide alignments described above as input, we ran the following phylogenetic inference methods:

- **RAxML v7.8.6** with a GTR+gamma model (-m GTRGAMMA).
- **RAxML v7.8.6** with a binary+gamma sites model (-m BINGAMMA).
- **IQ-TREE v1.6.beta4** using a GTR+gamma with ascertainment bias (-m GTR+ASC+G) (denoted slow) and using GTR and the -fast option (denoted fast).
- **FastTree v2.1.9** using the GTR model (denoted slow) and using the -pseudo and -fastest options (denoted fast).
- **Parsnp v1.2** on all assemblies using the -c and -x options (removing recombination with PhiPack).

We attempted to run the **REALPHY v1.12 pipeline**, but it was not computationally feasible due to the slow mapping step (using **bowtie2**) not being parallelisable by strain.

We also created pairwise distance matrices using:

- **Mash v1.0** (default settings) between assemblies.
- **Andi v0.9.2** (default settings) between assemblies.
- Hamming distance between informative k-mers using a subsample of 1% of counted k-mers from assemblies.
- Hamming distance between rows of the gene presence/absence matrix produced by Roary (using 95% blast ID cutoff).
- JC and logdet distances between sequences in the alignment, as implemented in **SeaView v4.0.1**.
- Distances between core gene alleles (add a distance of zero for each core gene with identical sequence, add a distance of one if non-identical), as used in the **BIGSdb genome comparator module**.
- Normalised compression distance (NCD), using **PPMZ** as the compression tool.

For all the above distance matrix methods we then constructed a neighbor joining (NJ) tree, a BIONJ tree using the R package ape, and an UPGMA tree using the R package phangorn. In the comparison we retained the tree building method from these three with the lowest distance from the true tree (see below).

Quantifying differences between phylogenetic tree topologies
To measure the differences in topology between the produced trees (either between the true tree and an inferred tree, or between all different inferred trees) we used two measures. As a sensitive measure of changes in topology we used the metric proposed by Kendall and Colijn (KC) setting $\lambda = 0$ (ignoring branch length differences). We compared the true tree against randomly generated trees with a midpoint giving 286 (95% CI 276–293) as a comparison to poor topology inference. To illustrate how these numbers correspond to actual changes in topology we used the plotTreeDiff function from the treespace package for three representative comparisons (see interactive treespace plots or static Supplementary Figure 1–Supplementary Figure 3 (Supplementary File 1)).

For trees distant from the true tree by the KC metric it was useful to test whether the tree was accurate overall and only a few clade structures were poorly resolved, or whether the tree failed to capture important clusters at all. We therefore checked the clustering of the BAPS clusters from the true alignment on each inferred tree. We did this with both the primary BAPS cluster, which separates the two main lineages, and the secondary BAPS clusters which define finer structure in the data and includes a polyphyletic cluster. For each BAPS cluster, we assessed whether tips were clustered correctly by checking whether it was still monophyletic in the inferred tree, and whether the polyphyletic cluster was still split in the same way.

Core gene trees from real data
We used a previously generated core genome alignment from 616 *S. pneumoniae* samples isolated from the nasopharynx of asymptotically carrying children in Massachusetts. We ran IQ-TREE on the whole alignment using a GTR model (-m GTR). We then aligned each core gene at the codon level with **RevTrans v1.10**, and then ran IQ-TREE on each nucleotide alignment using the same model. We calculated the KC metric with $\lambda = 0$ and $\lambda = 1$ between all these pairs of trees, and used treespace to perform multi-dimensional scaling in two dimensions to visualise the pair-wise distances.

Results
Table 1 and Figure 2 show the results of our simulations, ranked by their KC distance from the true tree. We note that all methods except for the NCD were able to recapitulate the population clusters as defined by BAPS. For construction of a maximum likelihood tree, RAxML is one of the most heavily used and efficient software methods available. As expected, this was the most accurate method tested, and also the most resource heavy (apart from whole-genome alignment, discussed later). RAxML’s model is a close fit to the model used to generate the data, and this model is expected to be a good model of evolution. There was no significant difference in the likelihood of the fit of the inferred tree and the true tree under this model ($LRT = 2.34; p = 0.13$). When using an alignment against a different reference genome from the one we actually used in the simulations, as is more likely to be the case in real alignment production, RAxML was tied for accuracy with IQ-TREE which also produced the same tree. In our simulations IQ-TREE had better resource requirements than RAxML, though over a range of data the programs are likely comparable.
Table 1. Accuracy and resource usage of phylogenetic reconstruction methods, ordered by Kendall and Colijn (KC) metric score. The method lists the best combinations of all alignment with phylogenetic method, and distance matrices with phylogenetic methods. Three scores of accuracy of the phylogeny are shown; the KC metric is described in the text, the Bayesian Analysis of Population Structure (BAPS) scores are a tick if the clusters are as in the true tree, otherwise which clusters are wrong. Parallelisability shown is that built into the software, “completely” is when every value in a distance matrix is independent so can be parallelised up to $N^2$ times.

<table>
<thead>
<tr>
<th>Method</th>
<th>KC (0-286)</th>
<th>BAPS 1</th>
<th>BAPS 2</th>
<th>CPU time</th>
<th>Memory</th>
<th>Overheads</th>
<th>Parallelisability</th>
<th>Accessory genome?</th>
</tr>
</thead>
<tbody>
<tr>
<td>RAxML + close reference alignment</td>
<td>4.63</td>
<td>✓</td>
<td>✓</td>
<td>806.5 minutes</td>
<td>2.7 Gb</td>
<td>Mapped alignment</td>
<td>Pthreads</td>
<td>No</td>
</tr>
<tr>
<td>IQ-TREE (slow) + alignment</td>
<td>11.2</td>
<td>✓</td>
<td>✓</td>
<td>165 minutes</td>
<td>564 Mb</td>
<td>Mapped alignment</td>
<td>Pthreads or MPI</td>
<td>No</td>
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<tr>
<td>RAxML + alignment</td>
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<td>✓</td>
<td>✓</td>
<td>587 minutes</td>
<td>3.0 Gb</td>
<td>Mapped alignment</td>
<td>Pthreads</td>
<td>No</td>
</tr>
<tr>
<td>IQ-TREE (fast) + alignment</td>
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<td>✓</td>
<td>✓</td>
<td>14.6 minutes</td>
<td>1.1 Gb</td>
<td>Mapped alignment</td>
<td>Pthreads or MPI</td>
<td>No</td>
</tr>
<tr>
<td>Parsnp</td>
<td>14.0</td>
<td>✓</td>
<td>✓</td>
<td>42.5 minutes</td>
<td>2.6 Gb</td>
<td>Assemblies</td>
<td>Threads</td>
<td>No</td>
</tr>
<tr>
<td>FastTree + alignment</td>
<td>16.0</td>
<td>✓</td>
<td>✓</td>
<td>189 minutes</td>
<td>10.6 Gb</td>
<td>Mapped alignment</td>
<td>Threads (up to 4)</td>
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<tr>
<td>RAxML + core gene alignment</td>
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<td>✓</td>
<td>✓</td>
<td>29.2 minutes</td>
<td>154 Mb</td>
<td>Core gene alignment</td>
<td>Pthreads</td>
<td>No</td>
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<tr>
<td>NJ + SNPs alignment</td>
<td>20.5</td>
<td>✓</td>
<td>✓</td>
<td>Negligible</td>
<td>Negligible</td>
<td>Mapped alignment</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>BIONJ + mash distances</td>
<td>51.7</td>
<td>✓</td>
<td>✓</td>
<td>0.75 minutes</td>
<td>10 Mb</td>
<td>Assembly</td>
<td>Completely</td>
<td>Yes</td>
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<tr>
<td>RAxML + 7 gene MLST alignment</td>
<td>62.6</td>
<td>✓</td>
<td>✓</td>
<td>1.4 minutes</td>
<td>19 Mb</td>
<td>Assembly</td>
<td>Pthreads</td>
<td>No</td>
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<tr>
<td>BIONJ + andi distances</td>
<td>66.0</td>
<td>✓</td>
<td>polyphyl</td>
<td>7.48 minutes</td>
<td>290 Mb</td>
<td>Assembly</td>
<td>Completely</td>
<td>Yes</td>
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<tr>
<td>RAxML + Cactus alignment</td>
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<td>✓</td>
<td>✓</td>
<td>9 600 minutes</td>
<td>37.4 Gb</td>
<td>Assembly</td>
<td>Threads</td>
<td>No</td>
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<tr>
<td>RAxML + gene presence/absence</td>
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<td>✓</td>
<td>polyphyl</td>
<td>4.28 minutes</td>
<td>20 Mb</td>
<td>Core gene alignment</td>
<td>Threads</td>
<td>Yes</td>
</tr>
<tr>
<td>BIONJ + k-mer distances</td>
<td>89.6</td>
<td>✓</td>
<td>✓</td>
<td>37.3 minutes</td>
<td>180 Mb</td>
<td>Assembly</td>
<td>Threads</td>
<td>Yes</td>
</tr>
<tr>
<td>BIONJ + BIGSdb</td>
<td>150</td>
<td>✓</td>
<td>polyphyl</td>
<td>0.48 minutes</td>
<td>Negligible</td>
<td>Assembly</td>
<td>Completely</td>
<td>No</td>
</tr>
<tr>
<td>UPGMA + NCD</td>
<td>210</td>
<td>✓</td>
<td>all</td>
<td>1 040 minutes</td>
<td>Negligible</td>
<td>Assembly</td>
<td>Completely</td>
<td>Yes</td>
</tr>
</tbody>
</table>

Partial alignment methods or alternative reconstruction give good trees

Knowing the quality of maximum likelihood trees, one approach a user may take to reduce the large computational requirements is to reduce the number of sites $M$ that are included in the alignment. Some common ways this can be achieved are either by finding clusters of orthologous genes and only using sites from “core” genes (those present in every sample), or by using an alignment of the pre-defined MLST genes. In this test we found that using a core genome alignment slightly reduced the accuracy, whereas using an MLST alignment of seven genes reduced the accuracy greatly, as only a small proportion of the genomic variants are now used in the inference.

Other than as a way to reduce computational burden, core genome alignment may increase the accuracy of the input alignment by excluding mismapping of repetitive regions and minimising bias from missing data in accessory genes. However, there is the issue that when a variant is present in a region overlapped by two genes it will be erroneously represented twice. When performing phylogenetic analysis, the user should consider whether they want to include the accessory genome in their inference (final column in Table 1). In this simulation, evolution of the core and accessory genome are correlated, so that including the accessory genome improves accuracy over using core genome alone. In a species such as *Streptococcus pneumoniae* where multiple distinct lineages are maintained over time, the core and accessory evolution tend to be correlated in this way. In other species, or within a lineage, the accessory genome may be dominated by mobile elements such as transposons and phage. Including these in the alignment will not give a good estimate of vertical evolutionary distance between strains. In other situations the core and
accessory genome may both carry signals of vertical evolution, but they may be discordant with each other due to different evolutionary processes acting on each type of variation. A binary model of evolution can be used to build a maximum likelihood tree based on accessory gene gain and loss (RAxML + gene presence/absence), but we found that its accuracy is much lower than a model of SNP variation within genes. A possibility for combining these two data types would be to have separate model partitions for SNP variation and gene gain/loss.

To further investigate core genome alignment, we compared individual gene trees to a core genome tree in a real population of *S. pneumoniae* genomes. We created trees from all core genes, and compared them by projecting pairwise KC distances into two dimensions (Figure 3). The figure shows that the core genome tree behaves like an ‘average’ of the individual core gene tree topologies, without being biased by the bad topologies produced at distances far from the center of the main cluster. Looking at the distant topologies, we found that the genes giving these trees were mostly ribosomal related proteins. These alignments contained very little variation due to their highly conserved function, providing little information for phylogenetic resolution – the root and ancestral part of these topologies were different from the core genome alignment tree, likely due to random placement of nodes, giving highly divergent KC distances. The gene trees closest to the whole core gene alignment tree were those with the most variation. When we included branch lengths in the distance measure (λ = 1 in the KC metric), very short branch lengths contribute far less to the tree distance than longer lengths, and the ribosomal genes are no longer outliers. Many of the furthest gene trees from the core genome tree are from genes known to be involved in recombination events, as shown in Supplementary Table 1 (Supplementary File 1). Recombinations result in a large number of SNPs against a reference; because phylogenetic methods assume vertical evolution, recombination tends to inflate estimated branch lengths. The best practice is to try to remove these regions before performing phylogenetic reconstruction. When picking an MLST scheme for an organism, given a choice of genes to use, these phylogenetic signals may be a useful additional consideration.

![Figure 2. Ordered accuracies from Table 1, showing the CPU time required for each tree. There are large changes in accuracy between the alignment and distance methods, and again between two inaccurate distance methods.](image-url)
Figure 3. A multidimensional scaling plot of the Kendal and Colijn (KC) distances between all core gene trees from a real population of 616 *S. pneumoniae* genomes. Top: topology distances ($\lambda = 0$); bottom: branch length distances ($\lambda = 1$). The core genome tree from the concatenated alignment is shown in yellow; trees from ribosomal proteins, which tended to have different topologies due to their lack of variation, are shown in blue. The top twenty divergent trees by branch length are listed in Supplementary Table 1 (Supplementary File 1).
We also evaluated the quality of a phylogeny drawn from a progressiveCactus alignment\textsuperscript{13}, which performed best in a comparison between whole genome aligners\textsuperscript{14}. Whole genome alignment uses linear sequences in an annotation-free manner, and by breaking the alignment job into smaller local regions can align sequences in the presence of structural variation such as gene gain and loss, inversions and transversions – both core and accessory elements are aligned. In this comparison, the core genome alignment we extracted was smaller than that produced by Roary, and therefore produced a less accurate phylogeny. This class of methods is therefore best suited to comparing small numbers of genomes from larger evolutionary distances (across species), rather than large numbers of more closely related genomes.

In the search for greater computational efficiency, rather than changing the alignment one may instead opt to use a different method of phylogenetic inference. One piece of software which aims to infer phylogeny faster than a maximum likelihood method, albeit at the expense of accuracy, is FastTree\textsuperscript{15}. In our test FastTree ran four times faster than RAxML, without much decrease in accuracy. We found little difference in accuracy when using the fast and slow options. The scaling of CPU time in FastTree by number of sequences is more favourable than RAxML, so as the number of sequences increases the relative speedup of FastTree will also increase. It should also be noted that FastTree obtains around a 2.6 speedup from using four CPUs using OpenMP, whereas RAxML can use around 16 threads at close to 100% efficiency.

Parsnp\textsuperscript{17} produces a core genome alignment by rapidly finding maximal exact matches (as in nucmer) which can include both genes and intergenic regions. In our test we found that it performed even better than FastTree while using less CPU time. However, the method does not deal well with mobile elements or recombination, so caution should be used with real datasets where this variation is prevalent.

Finally, we saw very promising results when using the “fast” mode of IQ-TREE, currently available in beta. Reconstruction in this case was as accurate as a full maximum likelihood method, and completed quickly with modest memory requirements. Once available as a stable release, this may prove to be the most accurate way to efficiently infer large phylogenies.

Genetic distance based approaches rapidly give a rough tree topology

Early phylogenetic methods involved drawing a neighbour joining tree from a matrix of pairwise distances between all tips. This method is fast and simple. When we used distances calculated from the same alignment as RAxML this approach was somewhat worse than the reduced number of sites or reduced accuracy methods above, but still gave a good overall topology – better than an ML tree from the MLST genes. A tree can also be drawn from distances using BIONJ, which by using a simple evolutionary model can be expected to provide trees with more accurate topologies than NJ\textsuperscript{16}. Another alternative is UPGMA, though as a hierarchical clustering method it would not be expected to recover the same topology as a phylogenetic method (but perhaps the same clusters). However, in the present era, we see the main advantage of this class of methods as being able to avoid having to create an alignment from mapping\textsuperscript{16}. If one is able to calculate genetic distances from assemblies or even directly from reads, the relatively costly and challenging step of creating a large multiple sequence alignment can be avoided. Although $O(N^2)$ distances need to be evaluated, these calculations are independent so the process is trivially parallelisable. We tried creating trees from five methods which can evaluate pairwise distances rapidly: mash, andi, k-mer distances, BIGSdb and the normalised compression distance (NCD).

The NCD is a general method to compare the similarity between any two data objects\textsuperscript{17}. The NCD between two objects $x$ and $y$ (in this case the sequence of assemblies) is computed as follows:

$$NCD(x, y) = \frac{Z(x, y) - \min[Z(x), Z(y)]}{\max[Z(x), Z(y)]}$$

where $Z(x)$ is the size after compression of file $x$. The rationale is that the more two sequences are similar to each other, then the more the compression method will be able to use this similarity to reduce the overall size of the concatenated file towards the lower limit of the size of the compressed individual files. We used PPMZ as the compressor to avoid issues with minimum block size\textsuperscript{18}, but only recovered the largest scale feature of the two main lineages in the topology. This suggests the the NCD is not well suited to finding distances between sets of closely related sequences, but may perform better with more distant genomes. PPMZ may not be the best compressor overall due to its long run time, but we did not investigate this further.

BIGSdb is a database designed to store bacterial sequences, and perform pre-defined analysis rapidly on them\textsuperscript{19}. Trees from genomes in this database can be produced with the GenomeComparator module. This works by comparing the alleles of core gene sequences, increasing the distance between two genomes by one for each allelic difference between the genes that they have. The potential advantage of this is that recombination events will correctly be counted as a single evolutionary change, rather than as multiple separate SNP differences. However, this approach also limits resolution and inference of intra-cluster distances, and produced one of the worst topologies in our tests.

Finally, we used k-mer distances\textsuperscript{20}, mash\textsuperscript{21} and andi\textsuperscript{22} to create distance matrices. andi counts the number of mismatches between equally spaced maximal exact matches between a pair of sequences. mash was partly designed as an improvement to the accuracy of andi, and instead uses the MinHash algorithm to rapidly approximate the Jaccard distance between the sets of k-mers in each assembly. This is also the distance approximated by our k-mer method, but is many-fold more efficient due to the use of MinHash. In our test, we found that mash performed the
best out of any distance-based measure in accuracy and efficiency, but was still significantly less accurate than the alignment-based methods. Considering the ease of use and efficiency of mash, its ability to recover population clusters means that it could be recommended as the tool of choice for first-pass analysis.

**Discussion**

We have analysed the ability of a range of phylogenetic inference methods to reproduce the topology and clustering of a known tree when given realistic simulated data derived from the same known tree. Figure 4 shows an alternative presentation of our results: a tree-of-trees, also showing the ways in which some of the incorrect trees may be similar to each other.

Overall, we found that modern maximum likelihood methods and a good alignment can obtain an accurate phylogeny in reasonable runtimes; using approximate phylogeny methods with a good alignment is the next best thing, followed by reducing the alignment size. The best quality results had the longest computational time requirements, consistent with our mechanistic understanding of how phylogenetic inference should perform. We would expect maximum likelihood approaches to do well on molecular data, and to take more time than distance based methods. For rough analysis, genetic distances as produced by mash can be used for clustering and to produce a rough coarse-grained topology. Consideration of whether to include the accessory genome in the inference or to analyse it separately is important, and will be dependent on the species and lineage being studied.

We also directly compared a range of evolutionary models, run both using BIONJ and ML (Supplementary Table 2; Supplementary File 1). As there are a huge number of sites, and the sites are each low-dimensional, we are much better informed about the site evolution model than the tree. It’s easier to get the tree wrong, and hence the inference method used is a more important consideration for tree accuracy. We do note that simpler evolutionary models require less CPU time to run for comparable accuracy. Although maximum likelihood methods cope with missing data much better than distance methods, the extensive missing calls in these simulations (20–40% of sites, due to accessory genes) did not prevent the distance based methods from giving an approximate topology.

For a small number of samples or if computational resources are not a concern, and for phylogenetically focused questions such as model comparison, then a maximum likelihood method is the best choice. However a key point is that in many cases, especially when using a large number of genomes and especially across species with little phylogenetic signal, the phylogeny building software is not the limiting factor in accuracy of the resulting tree. The alignment used is crucial: the quality of sequencing and mapping, whether mobile elements have been masked, and how much confounding signal from recombination and homoplasy can be removed all have important effects on the quality of the final tree. In many cases the observed data are not consistent with a single phylogenetic tree, so rather than aiming for the “best” tree it is important to assess uncertainty in the tree. Bayesian methods are available but are slow and complex. In many cases we would therefore recommend using a faster method such as IQ-TREE’s fast mode or FastTree, combined with bootstrap analysis to more efficiently estimate the uncertainty in tree topology. We do note that the bootstrap estimate may be difficult to interpret, as it does not behave as a standard confidence interval due to the implicit assumption that sites are independent.

![Figure 4. Tree of tree methods. Using the Kendall and Colijn (KC) metric between all the inferred phylogenies in Table 1 to create a pairwise distance matrix, an neighbor joining (NJ) tree created from this matrix. This shows how the topologies from all methods are related to each other (a tree-of-trees, or supertree). The true tree is in orange at the top, and four classes of methods are labeled. For alignment-based methods the mapping of reads to the TIGR4 reference was used, unless explicitly stated. We also performed multi-dimensional scaling of these distances in two dimensions to show how the methods clustered (see interactive treespace plots or static Supplementary Figures 4; Supplementary File 1).](https://www.wellcomeopenresearch.org/article/3-33)
For truly enormous datasets, particularly in cases where producing an alignment is the limiting step, even these approximate methods may prove intractable. In which case using pairwise distances from mash is an alternative approach. One possible problem with mash is that closely related sequences can have a distance of zero, but this can be solved by increasing the sketch size with little extra computational burden. We also note that though the MinHash distance is an approximation, it is a good one, and unlikely to be the limiting factor in these analyses. Instead, accessory genome and mobile elements may be a problem. In these simulations we also tested mash using the core alignment directly, but this resulted in a less accurate tree (KC distance = 71.6); the k-mers sampled by mash do not utilise the information of homology implicit in each column of the alignment.

This work is of course somewhat limited in initial scope. While we tried to choose a true tree with common features, the simulations here are limited, with parameters chosen to model a single species. We also made the choice to ignore branch length differences (though these can as easily be compared) as we think that topological distance is more intuitive, especially for larger differences.

In an age of a bewilderling array of options for this analysis and few available direct comparisons we hope that our results are nonetheless instructive, and that these methods can continue to be compared using other benchmark datasets as they appear.

Data availability
Data can be downloaded from the following URLs:

- Code: [https://github.com/johnlees/which_tree](https://github.com/johnlees/which_tree) (GPLv2 license)
- Inferred trees: [https://dx.doi.org/10.6084/m9.figshare.5483464](https://dx.doi.org/10.6084/m9.figshare.5483464)
- Interactive treespace plots: [https://dx.doi.org/10.6084/m9.figshare.5923300](https://dx.doi.org/10.6084/m9.figshare.5923300)
- Simulation parameters and results (including true alignments of all genes, assemblies and annotations from simulated reads): [https://dx.doi.org/10.6084/m9.figshare.5483461](https://dx.doi.org/10.6084/m9.figshare.5483461)

Competing interests
No competing interests were disclosed.

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Supplementary material
Supplementary File 1 - File contains the following supplementary tables and figures:
Click here to access the data.

**Supplementary Table 1**: Twenty gene trees most distant from the core genome tree in 616 *Streptococcus pneumoniae* genomes when using the KC metric with $\lambda = 1$, which only considers branch lengths. The name of the gene, or its name in the *S. pneumoniae* ATCC 700669 genome is shown with the annotated function. Whether each gene was found to be a recombination hotspot in the PMEN1 clone, and whether the hotspot has been specifically described previously are also shown

**Supplementary Table 2**: Distance to the true tree for comparable models and methods. Three evolutionary models available both in IQ-tree and SEAVIEW, which were then used to build phylogenies using maximum likelihood (ML) or distances (BIONJ) respectively. Each model has an increasing number of degrees of freedom (df). The KC distances for topology ($\lambda = 0$) and branch length ($\lambda = 1$) are show Kendall and Colijn (KC) along with the CPU time used for ML inference

**Supplementary Figure 1**: Applying `plotTreeDiff` between true tree and the closest reconstruction, RAxML + 23F aln (distance 4.35). See top an for explanation of `plotTreeDiff`.

**Supplementary Figure 2**: Applying `plotTreeDiff` between true tree and one a little further away, the fast IQ-tree (distance 11.3). See top an for explanation of `plotTreeDiff`.

**Supplementary Figure 3**: Applying `plotTreeDiff` between the true and furthest, UPGMA + NCD (distance 210.5). See top an for explanation of `plotTreeDiff`.

**Supplementary Figure 4**: A multi-dimensional scaling plot of the distances between all methods projected into two dimensions. This view is zoomed, so the worst methods are outside the plot boundaries.
Open Peer Review

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Version 1

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The manuscript from Lees and colleagues aims to describe the accuracy and speed of a wide variety of methods for the construction of phylogenetic trees. They achieve this aim in a generally readable and very informative paper. They show that maximum likelihood based approaches using alignment to a closely related reference genome provide the best inference of the simulated true phylogeny. There are various other interesting nuggets spread throughout the paper and it is an interesting read for anyone working with bacterial phylogenies.

I was also interested to note the authors decision to submit to Wellcome Open Research. My hope is that they will take advantage of Wellcome Open Research allowing updating of articles with 'minor' new analyses to include new software which may be released for phylogenetic analysis.

The article is a nice crystallisation and examination of many pieces of received wisdom in bacterial phylogenomics community, especially the balance between accuracy and speed for mash/kmer trees, NJ trees of alignment data and ML trees of alignment data.

I think the work is well presented, well carried out and the conclusions do not over-reach the results.

Minor comments

• In the introduction, this sentence doesn't make sense - 'A more recent, larger study in eukaryotes compared these an IQ-TREE in terms of best likelihood on both species and gene trees'

• As the authors and other reviewers allude to, it is sometimes forgotten that a single tree is not a very realistic representation of the output of an ML phylogenetic analysis. It would be interesting to try and represent this somehow for the different methods. Perhaps a visualisation along the lines of supp figure 4, but with 100 bootstrapped trees per method, or the 100 trees with the best ML scores. I appreciate that this is already a busy figure, so I leave it up to the authors whether to do this, or if there is a better way to do it.

• The authors have uploaded scripts to an accompanying github repo, but there is no readme or guide to which scripts relate to which parts of the paper. This should be improved.

Is the work clearly and accurately presented and does it cite the current literature?
Yes
Is the study design appropriate and is the work technically sound?
Yes

Are sufficient details of methods and analysis provided to allow replication by others?
Partly

If applicable, is the statistical analysis and its interpretation appropriate?
Yes

Are all the source data underlying the results available to ensure full reproducibility?
Yes

Are the conclusions drawn adequately supported by the results?
Yes

**Competing Interests:** No competing interests were disclosed.

I have read this submission. I believe that I have an appropriate level of expertise to confirm that it is of an acceptable scientific standard.

Lauren A. Cowley ¹, Taj Azarian ²
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We have decided to provide a joint review from two postdocs in the Hanage lab of “Evaluation of phylogenetic reconstruction methods using bacterial whole genomes: a simulation based study”.

Lauren Cowley’s review:
I am grateful for the opportunity to review “Evaluation of phylogenetic reconstruction methods using bacterial whole genomes: a simulation based study” by Lees et al. I found it very interesting and especially useful and relevant to my own research. I am sure I will refer back to it a few times in the future. I also think it will be highly valuable to the wider community of researchers doing bacterial genomic research, which is growing. I think it is likely to become a highly cited paper.

The authors provide a thorough and well thought out analysis of different methods for inferring phylogeny from bacterial datasets. They have also provided details of the computational time and memory required for each method. They have represented their work clearly and produced very informative figures that are extremely useful to the reader. I recommend this paper for publication and just have a few thoughts:

**Positive points:**
- Very interesting paper
- It’s a very useful paper for picking the most appropriate method
- The figures are very nicely produced
- Figure 4 is fantastic.

**Major revisions:**
1. Would be nice to see this kind of analysis for rooting affects. Could you do alignments with and without an outgroup to show which methods were close to the right rooting/ordering without the outgroup?
2. Another distance matrix software that you could include is called Disty McMatrixface, would be nice to see if there is any variation in that?
3. You state you selected the MLST genes at random, were the genes not checked for being under selective pressure or likely to recombine? MLST genes are not chosen at random and are usually housekeeping genes that are not expected to recombine a lot or be under particular selective pressures. This will affect that aspect of the analysis.
4. It is very intuitive that the genes with discordant trees are recombination hotspots, none of the analysis was run with a post gubbins alignment? Would it not be important to include this?

**Minor revisions:**
1. You generated error prone illumina reads with pIRS, is there any variation from wgsim?
2. I’m interested that you used velvet instead of SPAdes? I have usually found SPAdes better for bacterial assembly. What assembly parameters did you use? What K size? You say you improved the resulting scaffolds? How? Assembly quality will greatly affect the Parsnp analysis, there should be some mention of that.
3. You state that including the accessory genome is ok in Pneumo but it would be nice to state that for E. coli this is very inadvisable, maybe also give some other examples where the accessory genome would affect this kind of analysis.
4. I like table 1, I think an extra column with recommended use would be helpful. You mention a few times in the text where you might choose that form of analysis but it would be nice to summarise it in the table too.

**Taj Azarian’s review:**
Thank you for the opportunity to review “Evaluation of phylogenetic reconstruction methods using bacterial whole genomes: a simulation based study” by Lees and colleagues. In their analysis, the authors methodically assess a variety of methods to infer a phylogeny from a bacterial genomic dataset. They compare the ability to recover a “true tree” as well of the computational time required using different phylogenetic reconstruction methods. I feel this is much needed work, as we seem to have drifted away from the phylogenetic tree as the central finding, now just an intermediate step in analysis of large bacterial genomic datasets. As such, many often overlook the implication of their alignment and phylogeny inference methods. Overall, the manuscript is consummate. I include some general comments and suggestions below, which I feel would strengthen their manuscript.

1. There should be some focused text in the introduction or discussion about the users goal of phylogenetic reconstruction and how this would possibly determine the analytical approach (i.e., why are you making a tree?). If population structure is your main goal, then almost all approaches will recover the correct level 1 and 2 BAPS clusters. If you are more interested in investigating transmission or the association of epidemiological traits, then perhaps the resolution in tip branch-lengths and topology is important; therefore, an approach that uses a reference-based alignment may be better. It could also be clarified that use of a core-genome alignment at the species level (i.e., not just a lineage/clone) could result in a good amount of signal loss within the BAPS clusters (which is why a lot of these trees have pancaked clades). Further, if more resolution is desired, then reference-based alignment may be performed on a specific BAPS cluster using a close reference (something that is often done in practice). Last, it may be worth including a reminder that violations in some if not all assumptions are made when inferring a phylogeny from a
bacterial dataset. As you state, the “true tree” is almost never recovered, but I feel like a lot of researchers forget there are assumptions that are made every time you infer a tree. Certainly, not all of the above needs to be included, but some consideration should be made to incorporating these concepts into the text.

2. It should be stated up front the reason for only comparing tree topology and not branch lengths. I am assuming this was done because branch lengths using distance and character-based tree inference methods would vary, possibly unfairly biasing toward ML trees. In addition, the change in number of sites used would affect branch lengths (core vs reference vs MLST), and none would necessarily be “wrong”.

3. Have the authors explored how the true tree topology (regarding the “qualities” they mention) may impact the performance of various phylogeny inference approaches? For example, it is known that UPGMA perform particularly bad in certain situations. The authors mention this in the discussion regarding varying degrees of phylogenetic signal. I would imagine that with low signal, character based methods would perform better than distance-based approaches. Does this matter, or are the errors “washed-out” when using genome-wide data as seen with putative recently admixed genes?

4. Everyone has their own “pet” approach and the authors could spend a lifetime testing different combinations of methods. Having said that, there is one approach that I believe should be evaluated for its possible computational savings. I almost always use RAxML pthreads on SNP alignments using ascertainment bias correction because I have experienced (anecdotally) faster run times than using the full alignment. My understanding is that using only variant sites will impact branch lengths to some degree (because invariant sites are used in the likelihood calculation) but not the overall tree topology. I think it is worth trying and including if there are significant computational savings to using the full alignment. I would suggest the following: using either the core gene alignment or reference-based alignment, extract variant sites using SNP-sites. Then run RAxML something like this: raxmlHPC-PTHREADS-SSE3 -T 16 -f a -p 12345 -s alignment.fasta -x 12345 -# 100 -m ASC_GTRGAMMA -n alignment --asc-corr=lewis (note-1 this is for v8.2.1 which may be different for 7.8.6. note-2: you can remove the bootstrap option). See if there are memory and CPU time savings and then compare the topology.

Minor comments
- Consider revising the conclusions in the abstract to include the best method for recovering the True Tree (RAxML + reference-based alignment)
- State whether Roary was used with the default PRANK codon aware alignment or mafft alignment. PRANK takes considerably longer (as I am sure you know) and may only perform marginally better in terms of recovering branch lengths.
- In the methods, you mention that, “Hamming distance between rows of the gene presence/absence matrix produced by Roary (using 95% blast ID cutoff).” Did you use the gene presence/absence output from Roary (accessory_binary_genes.fa only contains a subsample of all accessory COGs) or the entire accessory genome manually extracted from the gene_presence_absence.csv? If the prior, I would consider repeating using the entire presence/absence alignment.
- There are a few sentences that are a little hard to track due to length. For example, in the Methods on page 3, the sentence describing the test tree could be revised as follows: “We identified a phylogeny (Figure 1), originally produced by Kremer et al. from a core genome alignment of 96 Listeria monocytogenes genomes from patients with bacterial meningitis, which had a number of
qualities we wished to be able to reproduce. Particularly, it possessed two distinct lineages (also making midpoint rooting suitable, and negating the strong dependence on correct rooting implicit in the Kendall and Colijn metric), several clonal groups within each lineage, long branches and a polyphyletic population cluster (population clusters were estimated from a core genome alignment using Bayesian Analysis of Population Structure v6.0 (BAPS)).

- Another distance approach worth considering would be Torsten Seemens SNP-Dist https://github.com/tseemann/snp-dists since it is rapid and allows for raw SNP distances and simple models (JC, HKY etc).
- The authors state, “a possibility for combining these two data types would be to have separate model partitions for SNP variation and gene gain/loss.” This would indeed be very interesting.
- If the authors do consider SNP sites only, I would be interested in how the inclusion of gapped-sites of Ns impacts the results.

Is the work clearly and accurately presented and does it cite the current literature?
Yes

Is the study design appropriate and is the work technically sound?
Yes

Are sufficient details of methods and analysis provided to allow replication by others?
Partly

If applicable, is the statistical analysis and its interpretation appropriate?
Yes

Are all the source data underlying the results available to ensure full reproducibility?
Yes

Are the conclusions drawn adequately supported by the results?
Yes

**Competing Interests:** The referee Taj Azarian has co-authored a paper with the author Stephen D. Bentley: Azarian, Taj, et al. "Association of Pneumococcal Protein Antigen Serology With Age and Antigenic Profile of Colonizing Isolates." The Journal of infectious diseases 215.5 (2017): 713-722. They do not believe that this has biased their review of the article.

We have read this submission. We believe that we have an appropriate level of expertise to confirm that it is of an acceptable scientific standard, however we have significant reservations, as outlined above.