Harnessing genomics for delineating conservation units

W. Chris Funk¹, John K. McKay², Paul A. Hohenlohe³ and Fred W. Allendorf⁴

¹Department of Biology, Graduate Degree Program in Ecology, Colorado State University, Fort Collins, CO 80523, USA
²Bioagricultural Sciences and Pest Management, Graduate Degree Program in Ecology, Colorado State University, Fort Collins, CO 80523, USA
³Department of Biological Sciences, University of Idaho, Moscow, ID 83844, USA
⁴Division of Biological Sciences, University of Montana, Missoula, MT 59812, USA

Genomic data have the potential to revolutionize the delineation of conservation units (CUs) by allowing the detection of adaptive genetic variation, which is otherwise difficult for rare, endangered species. In contrast to previous recommendations, we propose that the use of neutral versus adaptive markers should not be viewed as alternatives. Rather, neutral and adaptive markers provide different types of information that should be combined to make optimal management decisions. Genetic patterns at neutral markers reflect the interaction of gene flow and genetic drift that affects genome-wide variation within and among populations. This population genetic structure is what natural selection operates on to cause adaptive divergence. Here, we provide a new framework to integrate data on neutral and adaptive markers to protect biodiversity.

Conservation units in the genomics age

New tools for an old problem: delineating conservation units using genomic data

The rapid increase in the availability of genomic data (see Glossary) is quickly transforming how long-standing questions are addressed and answered in evolution [1–4], ecology [5], and now conservation [6–8]. Genomics has the potential to revolutionize understanding of adaptive differentiation and the delineation of CUs within species [7,9]. In particular, next-generation sequencing makes it easier to integrate information from neutral and adaptive loci to characterize CUs and adaptive differentiation within a population genetics framework. For the past two decades, microsatellite loci have been the most commonly used marker type for delineating CUs, but microsatellite analysis requires a relatively expensive and laborious marker development stage and only yields a few variable loci (typically 10–20). By contrast, next-generation sequencing makes it possible to simultaneously discover and genotype thousands of single nucleotide polymorphisms (SNPs). This, combined with the much lower per-locus cost of next-generation sequencing compared with microsatellite analysis, is quickly making next-generation sequencing the method of choice in population genetics.

What are CUs and why are they important?

Broadly speaking, CUs are population units identified within species that are used to help guide management and conservation efforts [9,10]. Identifying CUs is an essential first step in conservation so that managers and policy makers know the boundaries of the population units that they are trying to conserve. It is not possible to assess

---

Glossary

Adaptive locus: a polymorphic locus with one or more alleles that increase fitness in the local environment.
Conservation unit (CU): a population of organisms that is considered distinct for purposes of conservation, such as a MU, DPS, or ESU.
Divergent selection: a form of selection in which different alleles are favored in different populations, resulting in divergence in allele frequencies among these populations.
Effective population size (Ne): the size of the ideal, panmictic population that would experience the same loss of genetic variation, through genetic drift, as the observed population.
Evolutionarily significant unit (ESU): a classification of populations that have substantial reproductive isolation, which has led to adaptive differences so that the population represents a significant evolutionary component of the species. Maintenance of different ESUs is important for maximizing the potential for adapting to future environmental change. The original term used was “evolutionarily significant” [11]. However, both evolutionarily and evolutionary are currently used in the literature.
Gene flow: exchange of genetic information between demes (randomly mating populations) through migration. Gene flow is often more narrowly defined as the absolute number of migrant individuals per generation (Ne/m).
Genetic drift: random changes in allele frequencies in a population between generations due to sampling individuals that become parents and binomial sampling of alleles during meiosis. Genetic drift is more pronounced in small populations.
Genomic data: genetic information (e.g. SNP genotypes, DNA sequences, etc.) at thousands to millions of loci across the genome of a sample of organisms, gathered using next-generation sequencing or other high-throughput techniques.
Linkage disequilibrium (LD): non-random association of alleles at different loci within a population. Also known as gametic disequilibrium.
Management unit (MU): a local population that is managed as a distinct unit because of its demographic independence. Maintaining multiple MUs is important for ensuring long-term persistence of species.
Migration rate (m): the proportion of exchange among demes. More specifically, m is the probability of an individual breeding in a deme other than that of his or her birth.
Outlier loci: loci that might be under selection (or in gametic disequilibrium with loci under selection) that are detected because they fall outside the range of the expected distribution for some summary statistic compared with that of neutral loci in a sample (e.g. extremely high or low values of Fst).
Population genomics: the study of numerous loci to understand the roles of evolutionary processes (genetic drift, gene flow, selection, and mutation) that shape variation across genomes and populations [34,70].
Single nucleotide polymorphism (SNP): a nucleotide site (base pair) in a DNA sequence that is polymorphic in a population and can be used as a marker to assess genetic variation within and among populations [71]. Usually only two alleles exist for a SNP in a population.
may be many MUs within an ESU. Maintaining multiple MUs is crucial for ensuring the long-term persistence of species [16].

Why is it important to conserve adaptive differentiation among CUs?

In addition to delineating CUs, a long-standing but elusive goal has been to detect and conserve adaptive differences among CUs. There may be important adaptive differences among ESUs or MUs that go unaccounted for when making management decisions [17,18]. Recognizing adaptive differences among CUs is particularly important in two respects. First, understanding patterns of adaptive differentiation is crucial when prioritizing which populations to conserve and focus management efforts on [19]. For example, if resources were only available to conserve two populations, then all other things being equal, the two most adaptively divergent populations might warrant the highest conservation priority to maintain adaptive variation within the species. Second, understanding adaptive differentiation is also of the utmost importance when deciding which populations to use as sources for translocation, supplementation, and assisted migration efforts [20]. Supplementing a declining population with individuals from a source population adapted to a very different environment can lead to outbreeding depression [21]. Thus, knowledge of patterns of adaptive differentiation is essential for making wise conservation choices.

Aims of paper

A consideration of how to use genomic data to delineate CUs is extremely timely. There is an increasing number of threatened and exploited species for which CUs need to be defined at the same time that such genomic data are becoming cheaper and easier to obtain [22–24]. We have three goals in this paper. Our first is to outline several considerations when using genomic data to delineate CUs. Our second is to provide a new framework for using genomic data to delineate CUs and characterize adaptive differentiation among them and to discuss how to use this information to inform management decisions. Our last goal is to highlight important remaining questions in this field and suggest future research to address them. We do not discuss which sequencing methods and platforms are the most appropriate for collecting and analyzing genomic data, as this topic has been covered extensively elsewhere [7,22,24].

Important considerations when using genomic data to define CUs

When should genomics be used to define CUs?

Before using genomic data to define CUs, the first consideration is whether a population genomic approach should be used as opposed to a more standard approach such as a population genetic analysis using microsatellite loci. We argue that genomic data will usually be better than microsatellite data for delineating CUs, as genomic data allow quantification of adaptive variation. Microsatellite data can be used to define ESUs and MUs, but are generally inadequate for characterizing adaptive patterns. Thus, genomic data should be used in cases where significant
adaptive differentiation is expected among ESUs or MUs, because it is in these cases that genomics is most powerful.

Species that are most likely to have significant adaptive differences among CUs are those with: (i) significant environmental gradients across their ranges or stark environmental variation among habitat patches that could result in strong divergent selection [25,26]; (ii) large effective population sizes ($N_e$) in which selection overpowers genetic drift [27]; and (iii) low migration rates ($m$), such that gene flow does not constrain adaptive divergence [28–30]. Conversely, species that are least likely to have significant adaptive differences among CUs are those with: (i) little or no environmental variation across their ranges; (ii) small $N_e$ (e.g. highly endangered species with only a few individuals remaining or species with historically small $N_e$ [31]); and (iii) high $m$. However, precaution should be exercised when judging that there is little environmental variation across the range of a species, as there may be ‘cryptic’ environmental variation that is not obvious at first, such as variation in disease prevalence or soil type [32,33]. Moreover, even in the absence of extensive local adaptation, genomic data will provide greater resolution than will microsatellites for delineating ESUs and MUs because of a huge increase in the number of loci. Thus, even in these cases, a genomic approach is arguably superior for delineating CUs.

**Which loci should be used for delineating different types of CU?**

Once it is decided to use a genomic approach to delineate CUs and genomic data have been collected, the next consideration is which classes of loci should be used for delineating different types of CU. Options include neutral loci, presumably adaptive loci [e.g. $F_{ST}$ or linkage disequilibrium (LD) outliers [26,34,35]], specific genes of known function, or all loci. Importantly, in contrast to some previous authors (e.g. [36]), we believe that neutral and adaptive loci should both be used in a hierarchical approach to define CUs and characterize adaptive differences among CUs, rather than be considered as alternatives. In addition, when making a decision about which loci to use, it is important to consider which evolutionary processes affect variation at these different classes of marker. Genetic variation at neutral loci is shaped by mutation, recombination, genetic drift, and gene flow [29]. Variation at adaptive loci, by definition, is also influenced by selection. Thus, neutral versus adaptive loci may group populations differently, depending on spatial patterns of drift, gene flow, and selection (Box 2).

Taking into consideration these differences in the evolutionary processes affecting neutral and adaptive loci is important for matching markers to the type of CU being delineated. For example, because MUs are demographically independent units with restricted gene flow, they should be delineated using neutral markers that are shaped by gene flow and $N_e$, not by selection. Finally, we argue that it is ill advised to characterize patterns of adaptation among CUs using single or a few loci of known function (i.e. candidate genes) because this only provides information about one or a few previously identified traits. Instead, a whole-genome approach can identify loci that are associated with the multitude of traits and loci that contribute to adaptation.

**Which analyses should be used to identify CUs?**

Another fundamental consideration is which analyses to use to delineate groups. Several options are available, including population dendrograms, such as unweighted pair group method with arithmetic averages (UPGMA) and neighbor-joining (NJ); multivariate statistical approaches such as principle component analysis (PCA); Bayesian clustering algorithms, such as STRUCTURE [38] and GENELAND [39]; and newly developed landscape genomic approaches that test for correlations between genomic variation at neutral or adaptive loci and landscape structure [18,40–44]. In choosing an analysis, it is important to assess whether the class of marker being used (e.g. neutral or adaptive loci) meets the assumptions of the given analysis. For example, it may be inappropriate to use STRUCTURE to group populations using adaptive loci because this algorithm assumes Hardy–Weinberg proportions and linkage equilibrium; these assumptions are not appropriate for loci under selection. Thus, because different classes of marker should be used for delineating different types of CU, as discussed above, the most appropriate type of analysis will also depend not only on the biological context and the nature of the genomic data, but also on the type of CU being delineated.

**New genomic framework for delineating CUs and quantifying adaptive differentiation**

**Premises of new genomic framework**

Based on the above considerations, we developed a new framework for delineating CUs and quantifying adaptive differences among them (Box 3). Our framework is based on two premises. First, different classes of marker should be used for delineating ESUs versus MUs. Second, there may be important adaptive differences among ESUs and MUs that should be tested for and quantified using loci under divergent selection. Below, we describe each of these points in more detail.

The first premise of our new framework is that different classes of marker should be used to define different CUs. Specifically, we argue that all loci, both neutral and presumably adaptive loci (e.g. $F_{ST}$ outlier loci), should be used to delineate ESUs. This is because ESUs are major, intraspecific units that have been historically isolated from each other and that likely have important adaptive differences among them. By contrast, MUs should be demarcated using only neutral loci because, as explained above, MUs are demographically independent units that are defined by restricted gene flow. Palsbøll et al. [15] provide guidelines on setting quantitative thresholds for designating populations as MUs. A thorough discussion of thresholds for ESUs is also needed, but is beyond the scope of this article.

The second idea behind our new framework is that, once ESUs and MUs have been delineated as described above, adaptive differentiation among them should be quantified using loci exhibiting signatures of divergent selection, such as elevated $F_{ST}$. The advantage of using outlier loci to characterize adaptive divergence, rather than a few genes
**Box 2. Grouping populations using all, outlier, or non-outlier SNPs**

Grouping populations using high-$F_{ST}$ outlier loci (presumably under divergent selection) might give significantly different results than groupings using non-outlier loci (presumably neutral), particularly when patterns of gene flow do not match patterns of adaptive divergence. For example, if divergent selection is strong despite high gene flow, high $F_{ST}$ values are expected at loci under selection, but low $F_{ST}$ at neutral loci. Thus, neutral loci may be a poor proxy for patterns of adaptive differentiation [17,65).

To illustrate this point, we tested whether population relationships differ based on all loci, outliers, or non-outliers using a three-spine stickleback (*Gasterosteus aculeatus*) data set consisting of five populations (three freshwater and two ocean; Figure 1a), 20 fish per population, and 12 648 SNP loci (genotyped in at least ten individuals in each population [26]). Three-spine sticklebacks have colonized and adapted to freshwater lakes multiple times [66]. Thus, we expected divergent selection at loci involved in adaptation to freshwater, making it an excellent case study for testing the effects of using outliers versus non-outliers on population groupings.

Our analysis involved three main steps. First, we tested for loci that were global $F_{ST}$ outliers (top 5% of significance values) using goodness-of-fit $G$ test statistics corrected for multiple comparisons [26,67,68]. We used $G$ test statistics rather than a model-based approach such as BAYESCAN [51] because this latter method assumes an island model, which does not hold here. Second, we calculated pairwise $F_{ST}$ [26] among all populations using all loci, just outliers, or just non-outliers. Lastly, we constructed neighbor-joining dendrograms to visualize population relationships based on these pairwise $F_{ST}$ values [69].

The topology and branch lengths of the population dendrograms based on all loci (Figure 1b), non-outlier loci (Figure 1c), or outlier loci (Figure 1d) differed significantly from each other. Moreover, Mantel tests indicate that there was no relationship between $F_{ST}$ at outliers and $F_{ST}$ at non-outliers ($R^{2} = 0.04$, $P = 0.58$; Figure 1e), indicating presumably neutral loci (non-outliers) do not predict adaptive differentiation.

This example shows that outlier loci can provide information about adaptive differentiation that is not apparent from neutral loci, but which is important for making conservation decisions. For example, if sticklebacks in O1 were declining and managers wanted to supplement this population, the non-outlier dendrogram suggests that L1 is the most similar and appropriate source. However, the outlier dendrogram reveals that O2 is most similar to O1 at presumably adaptive loci and, therefore, a better source.

---

of known function, is that the outlier approach should capture adaptation to multiple dimensions of environmental variation. In addition, we argue that SNP loci are more appropriate for quantifying adaptive differentiation than are gene expression approaches because divergence at SNPs reflects genetically based variation (which is required for adaptive divergence), whereas divergence in gene expression can also be caused by environmental differences among populations. A potential disadvantage of using outlier loci is that some outliers may be false positives (i.e. statistical artifacts not truly indicative of divergent selection; [45]), and other loci under weak selection may be missed as false negatives [46]. Nonetheless, the goal is not to identify all individual loci causing adaptation; given the large number of markers assayed with genomic techniques, averaging across outlier loci is still expected to reveal genome-wide patterns of adaptive differentiation. In addition, inferences about adaptive divergence based on high-$F_{ST}$ outlier loci can be strengthened by testing for concordance with other genomic signatures of selection (e.g. LD outliers or nucleotide substitution rates; [47]) and ecological, phenotypic, and environmental data, as described below.

**Characterizing adaptive differentiation among CUs**

There are many different potential approaches for quantifying adaptive differences among ESUs or MUs. This is an important frontier in conservation genomics (see ‘Future directions’ section). Here, we describe one potential approach for characterizing adaptive differentiation among MUs, once ESUs and MUs have already been delineated. First, global $F_{ST}$ (among all populations) is calculated among all MUs for each SNP locus. In cases where there is little a priori information about patterns of adaptive differentiation, testing for global $F_{ST}$ outliers is most
appropriate because this should detect loci that are under strong directional selection in any set of populations. Alternatively, testing for pairwise $F_{ST}$ outliers between two predefined groups may be more appropriate when those groups are hypothesized to be adaptively divergent.

Second, high-$F_{ST}$ outliers that may be under divergent selection are identified using genome scans [45,48–51]. Third, this outlier SNP data set is used to characterize patterns of adaptive differentiation among MUs using population dendrograms, multivariate statistics, landscape genomics, or another appropriate analysis. The end result of this approach will be quantification of the relative similarity or dissimilarity among MUs at presumably adaptive loci, as shown in Box 2 for threespine sticklebacks (Gasterosteus aculeatus).

Alternatively, population-specific $F_{ST}$ values can be calculated [52] using outlier loci to identify the most adaptively divergent populations. For example, consider a set of ten population samples that all show moderate amounts of divergence (global $F_{ST}$ ≈ 0.05) at, say, 10 000 loci. However, one of the ten populations is in a very different environment and is highly divergent for a suite of adaptive loci (say 5%). The signal from these few divergent loci would be difficult to detect if one just looks at global $F_{ST}$ for all loci with ten populations. However, these loci would stand out as outliers when one tests for outlier loci using population-specific $F_{ST}$ values. This would indicate the presence of adaptive divergence between this individual population and all others.

When possible, ecological, phenotypic, and environmental data should also be used to complement genomic data to strengthen inferences about spatial patterns of adaptation. For one, these data can be used to develop a priori hypotheses about adaptive differentiation. For example, if a species is distributed across multiple environmental axes (e.g. elevation, latitude, and precipitation gradients) and populations vary phenotypically across these axes, this information can be used to develop hypotheses about patterns of adaptive differentiation that can be tested using population genomic data. In addition, these data should be used to back up inferences about adaptive divergence based on outliers, given that some outliers may be false positives. For example, if outlier loci group MUs into two clusters in a PCA, the hypothesis that these clusters represent adaptively divergent sets of populations would be strengthened by phenotypic and environmental data that reveal a similar grouping.

Box 3. Workflow for delineating CUs and characterizing adaptive differentiation

Figure 1 outlines a general workflow for delineating CUs and testing for adaptive differentiation among CUs using genomic data (e.g. SNP data).

**Step 1**
Delineate ESUs, the largest intraspecific CUs, using all loci, both $F_{ST}$ outlier loci (presumably adaptive), and non-outlier loci (presumably neutral). We recommend using both neutral loci and loci under selection for defining ESUs because ESUs are shaped by both neutral (e.g. historical isolation) and adaptive (e.g. divergent selection) processes. In this example, two ESUs were identified, one on each side of a mountain chain.

**Step 2**
Define MUs using non-outlier loci, as MUs are defined as demographically independent populations with restricted gene flow among them. In this case, MUs contained from one to three sampling localities.

**Step 3**
Quantify adaptive differentiation among MUs using outlier loci, for example using the procedure described in Box 2 for threespine sticklebacks. Here, MUs cluster into a high and a low elevation group at outlier loci within each ESU, suggesting elevation is the major axis of adaptive differentiation.

**Figure 1.** Proposed steps in using genomic data [e.g. single nucleotide polymorphisms (SNPs)] to define conservation units and test for adaptive differentiation among management units (MUs). White circles represent sampling localities, blue outlines are evolutionarily significant units (ESUs), yellow ellipses are MUs, and orange outlines are adaptively similar groups of MUs. The grayscale background is an elevation layer (white is high elevation, black is low elevation).

**Using information on adaptive differentiation to improve conservation decisions**
Patterns of adaptive differentiation can then be used by managers to inform and improve management decisions. First, this information can help with decisions about
prioritization of populations and resources. If one goal of management is to maintain adaptive differentiation within a species, then managers should make sure that ESUs or MUs with significant adaptive differences are conserved. For example, managers may want to focus conservation efforts on those CUs with the greatest adaptive differences. Second, information on adaptive differentiation can be used to inform supplementation programs designed to augment declining populations. In particular, managers should try to augment declining populations with source populations that are the most similar at adaptive loci to the target population to minimize the risk of outbreeding depression [20,21,53]. Finally, information on adaptive divergence can be used to inform assisted migration efforts, a management strategy that is likely to become increasingly necessary in the face of climate change. Specifically, an understanding of patterns of adaptive variation and how this variation is related to the landscape and climate can help managers decide the most appropriate sources for colonization of new habitats [54]. Thus, information on spatial patterns of adaptation could greatly improve several management decisions that are currently being made blind with respect to adaptive variation.

Although genomic approaches provide a window into adaptive divergence, genomic results should nonetheless be interpreted with caution [7]. Selection and adaptation are extremely complex, and a complete understanding of adaptive differentiation may never be attained. For example, in cases in which traits are determined by many genes of small effect, there may be insufficient power to detect these loci in genome scans [46]. Moreover, loci that are historically or currently important for adaptation may differ from those loci that will be adaptive in future environments. Below, we suggest future research directions to help determine the best ways to use genomic data for delimiting CUs and quantifying adaptive divergence and the potential, as well as limitations, of using genomic data for this purpose.

Future directions

Many outstanding questions need to be answered to learn how best to take advantage of the power of genomic data to delineate CUs and characterize adaptive differentiation among them. Chief among these are: which analyses are most appropriate and effective for testing for adaptive differentiation using outlier loci? How many SNP loci are needed to delineate different CUs accurately and characterize spatial patterns of adaptation? When will incorporating genomic data change delineation of CUs or change management decisions? How will grouping localities into MUs affect inferred patterns of adaptive differentiation? Many more questions are likely to surface as the use of genomic data to delineate CUs becomes more common.

Both empirical and simulation studies will help address these questions. Case studies using genomic data collected from species with known adaptive differentiation will be particularly useful for testing and comparing different approaches for characterizing adaptive differentiation with outlier loci. For example, Coop et al. [55] looked at patterns of divergence at millions of SNPs in humans to study the geographic distributions of putatively selected alleles at a range of geographic scales. They found that patterns at adaptive loci are predictable from the patterns found at all loci genome wide. They argue that adaptation is constrained by the historical relationships and gene flow between populations. Other species with known patterns of local adaptation that now have population genomic data sets that could be used to test methods for delineating CUs include threespine sticklebacks [26], Trinidadian guppies (Poecilia reticulata [56]), thale cress (Arabidopsis thaliana [57]), and various spruce species (Picea spp. [35,58]).

Simulation studies, which could be parameterized using these or other SNP data sets, would be particularly useful for testing the number of loci needed to characterize accurately adaptive differentiation among ESUs or MUs for different combinations of selection coefficients, gene flow, N_e, and sample sizes (numbers of loci, populations, and individuals; e.g. [59]). Simulation studies would also be useful for testing the effects of grouping localities into MUs on inferred patterns of adaptive differentiation.

More work is also needed in developing new analyses to delineate CUs and test for adaptive differentiation. For example, an ideal analysis might simultaneously delineate ESUs, MUs, and quantify adaptive differentiation among these different hierarchical CUs in a single analytical framework, analogous to current Bayesian MCMC approaches developed to infer simultaneously phylogenies, timing of divergence, and historical demographic parameters from sequence data [60].

Genomic data will become increasingly common for species of conservation and management concern. For the first time, these data will enable researchers to understand patterns of adaptive variation in rare and endangered species for which it is impossible to test for adaptation using traditional approaches such as reciprocal transplant experiments. As such, genomic data will play a crucial role in informing management and policy for species of conservation concern. Now is the time to consider carefully how best to take advantage of these data to delineate CUs and characterize adaptive variation and then apply this information to improve conservation decision making.

Acknowledgments

We thank P. Craze, G. Luikart, J.M. Robertson, D.A. Tallmon, R.S. Waples and three anonymous reviewers for providing helpful suggestions that greatly improved this paper. This research was supported by NSF grants DEB 1046408 and DEB 1146489 to W.C.F., DEB 1022196 to J.K.M., and DEB 0742181 to F.W.A. P.A.H. received support from NIH/NCRR grant P20RR16448 to L. Forney.

References

24 Rowe, H.C. et al. (2011) RAD in the realm of next-generation sequencing technologies. Mol. Ecol. 20, 3499–3502
46 Rockman, M.V. (2012) The QTN program and the alleles that matter for evolution: all that’s gold does not glitter. Evolution 66, 1–17
64 USFWS (U.S. Fish and Wildlife Service) and NMFS (National Marine Fisheries Service) (1996) Policy regarding the recognition of distinct


