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1 Correcting index databases improves metagenomic studies 2

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- 20
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25 <u>Abstract</u> 26

27 Assessing the taxonomic composition of metagenomic samples is an important first step in 28 understanding the biology and ecology of microbial communities in complex environments. Despite a 29 wealth of algorithms and tools for metagenomic classification, relatively little effort has been put into 30 the critical task of improving the quality of reference indices to which metagenomic reads are 31 assigned. Here, we inferred the taxonomic composition of 404 publicly available metagenomes from 32 human, marine and soil environments, using custom index databases modified according to two 33 factors: the number of reference genomes used to build the databases, and the monophyletic strictness 34 of species definitions. Index databases built following the NCBI taxonomic system were also 35 compared to others using Genome Taxonomy Database (GTDB) taxonomic redefinitions. We 36 observed a considerable increase in the rate of read classification using modified reference index 37 databases as compared to a default NCBI RefSeq database, with up to a 4.4-, 6.4- and 2.2-fold 38 increase in classified reads per sample for human, marine and soil metagenomes, respectively. 39 Importantly, targeted correction for 70 common human pathogens and bacterial genera in the index 40 database increased their specific detection levels in human metagenomes. We also show the choice of 41 index database can influence downstream diversity and distance estimates for microbiome data. 42 Overall, the study shows a large amount of accessible information in metagenomes remains 43 unexploited using current methods, and that the same data analysed using different index databases 44 could potentially lead to different conclusions. These results have implications for the power and 45 design of individual microbiome studies, and for comparison and meta-analysis of microbiome 46 datasets.

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48 Introduction

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50 For more than 3 billion years, microbes have established complex ecological niches in environments 51 and hosts throughout the planet. This makes them ubiquitous components of biogeochemical cycles 52 on land [1], in the sea [2], the atmosphere [3], and on or inside other living organisms [4, 5] including 53 humans, in which they are important for development and health [6, 7]. However, technical 54 constraints limit our ability to study the ecology of microorganisms, in particular the widespread lack 55 of suitable culturing methods [8]. An important advance in the analysis of microbial communities has 56 been the use of sequence-based, culture-independent methods to study the diversity and composition 57 of clinical and environmental samples and their biological functions. The increasing affordability of 58 high-throughput sequencing has led to an increase in metagenomics studies, in which a sample's total 59 extracted DNA can be sequenced as a whole. Accurately determining and quantifying the taxonomic 60 composition of a metagenome is a critical first step in many analyses, such as the association with 61 host phenotype, host genotype, disease status or environmental properties.

62

63 Metagenomic classification begins with the accurate assignment of sequencing reads to a reference 64 database, or "index", comprising reference genomes and their corresponding taxonomic definitions. A 65 wealth of metagenomic classification algorithms have been developed in the last few years [4, 9-16], 66 mainly focusing on improving classification speed and memory usage, including popular methods 67 such as Kraken [17, 18] or Centrifuge [19]. A given read sequence may be shared among closely-68 related species, particularly when the read length is short, and so classifiers can assign reads to the last 69 common ancestor (LCA) of all taxa sharing their sequence ("LCA-classification"). Despite the 70 development of ever-more efficient classifying algorithms and tools, comparatively little has been 71 done to improve the quality of the reference indices used to define the taxa to which reads are 72 assigned. Recent efforts showed that the addition of new genomes to NCBI RefSeq could influence 73 metagenomic classification performance, with indices built on most recent releases of NCBI RefSeq 74 able to classify more reads overall, but fewer at the species level [20]. Generally, most methods and 75 studies use a selection of representative, often complete genomes from curated repositories to build 76 indices from all described bacteria and archaea using their reported taxonomic definitions [16, 21], 77 typically NCBI RefSeq [22] for whole representative genomes, and SILVA, Greengenes, or RDP [23] 78 for 16S rRNA-based studies.

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80 Defining accurate monophyletic bacterial species boundaries has always been a challenge. Bacterial 81 taxonomy has historically been defined using imprecise biochemical or ecological phenotypes, with 82 more recent genotyping studies offering numerous examples of clustered "species" previously thought 83 to be distinct, and vice versa [24-27]. As a result, microbial taxonomies in reference repositories are 84 riddled with inconsistencies, with described taxa often forming polyphyletic groupings [28, 29], 85 necessitating reconciliation between microbial systematics and genomics [30]. This has recently been 86 addressed by redefining taxonomic definitions using a phylogenetic depth coefficient inferred from a 87 robust prokaryotic phylogeny [28]. This effort, summarised in the Genome Taxonomy Database 88 (GTDB), aims to define strictly monophyletic species groups of equivalent phylogenetic depth. It 89 produced a wealth of novel definitions at various taxonomic levels of the microbial tree of life, 90 redefining approximately 58% of all previous NCBI-based taxonomic definitions [28].

91

92 Most classification tools will recommend the use of default indices, built using a set of complete 93 genomes from NCBI RefSeq. In this study, we assessed the potential for improvement and addressed 94 the following questions: does the choice of reference index affect the performance of metagenomic 95 classification? Does the addition of draft reference genome sequences improve classification? Should 96 we use default NCBI-based indices, custom human microbiome-enhanced indices; or GTDB-based 97 indices? Is the inclusion of metagenome-assembled genomes (MAGs) beneficial? Is the strict 98 monophyly of taxonomic definitions in indices important for classification performance? To answer 99 these questions, we created seven custom indices (Table 1) using NCBI-based and GTDB-based 100 taxonomic definitions, and examined their classification performance on samples from three diverse 101 and representative metagenomic datasets: human body sites, marine and soil. Our work addresses the 102 metagenomic classification bias, whereby sequencing reads for particular taxa are present in

103 metagenomics data but remain unclassified using current methods and recommendations. This has 104 important consequences for the classification of metagenomic datasets and downstream applications 105 such as microbiome-wide association studies.

106

107 <u>Results</u>

108

109 Substantial improvements in classification performance can be achieved using larger indices

110 To examine the impact of custom indices on metagenomic classification performance, we classified 111 404 metagenomic samples from three different datasets using seven custom indices (Figure S1, Table 112 1) and quantified the proportion of reads per sample that were classified to any taxon and the 113 proportion that remained unclassified (Figure 1, Figure S2). Our custom index databases were 114 corrected for two distinct factors: (a) number of reference genomes for each species used to build the 115 index, and (b) strict monophyletic species definition for these reference genomes (Table 1). We 116 observed a drastic improvement in classification performance using custom indices, built with more 117 reference genomes, i.e. the greater the number of reference genomes used to build the index, the 118 greater the proportion of reads classified (Figure 1A-C). This effect was not associated with 119 sequencing depth (Figure S3). For instance, using the NCBI_r88_Human17k index on human 120 metagenomes, which includes only 1.67-fold more genomes than NCBI r88 (selectively chosen from 121 70 known human microbiome taxa) and monophyly correction (**Table 1**), the median proportion of 122 classified reads per sample increased from 54.7% to 76.5%. The index built with the largest number 123 of genomes, GTDB_r86_46k, consistently classified the most reads in every sample tested. The 124 increase in the median percentage of classified reads per sample from a default NCBI_r86 125 classification for human metagenomes was from 53.6% to 91.3% (median increase of +69.4%; range 126 of +3.9% to +342.8%) (Figure S2A, Table S2, Table S3). Similarly, the increase in classified reads 127 per sample for marine metagenomes was from a median of 14.1% to a median of 55.2% (median 128 increase of +276.2%; range of +94.6% to +536.3%); and in soil metagenomes from 33.2% to 66.3%129 (median increase of +100.7% reads/sample; range of +85.7% to +120.6%) (Figure S2B-C, Table S2, 130 Table S3).

131

132 We next show that the number of reference genomes rather than strict monophyly of the index 133 database led to increased classification rate. To do so, we compared two indices built using the same 134 reference genomes with (GTDB_r86_8.6k) and without (NCBI_r86) strict monophyletic definitions. 135 When considering all three datasets together, the proportion of unclassified and classified 136 reads/sample were nearly identical using GTDB_r86_8.6k over NCBI_r86 (median increase of +71 137 classified reads per sample, range of difference from 0 to +2,213 reads/sample, equivalent to a median 138 increase of less than +0.0005% of total reads/sample) (Figure 1, Table S2, Table S3), indicating that 139 strict monophyly alone does not substantially affect classification rate. On the other hand, the 140 comparison of classification performance using GTDB r86 vs GTDB r86 46k captures the effect of 141 adding reference genomes (28,560 vs 46,006 total genomes, respectively) to two similarly 142 monophyletic indices. When compared to GTDB_r86, GTDB_r86_46k produced more classified 143 reads in almost every (402/404) human and environmental sample tested (Figure 1, Figure S2, Table 144 **S2, Table S3**), with median percentage change in classified reads/sample of +2.7% in human samples 145 (range of -5.6% to +18.7%), +3.2% reads/sample in marine metagenomes (range of +1.8% to +5.0%) 146 and +2.1% (range of +1.9% to +2.3%) in soil metagenomes.

147

148 In human samples, a median of 8.6% of total reads/sample (range of 0.9% to 31.6%) (Table S2) 149 remained unclassified even when using our best corrected index GTDB_r86_46k. To investigate what 150 these remaining unclassified reads are, we reclassified them using a pre-computed index based on the 151 nucleotide (nt) database of NCBI, which excludes any whole genome sequence from the WGS or 152 RefSeq databases but includes sequences from all taxonomic domains of life (results in **Figure S4**). 153 The large majority of these reads remained unclassified (~8.5% of total reads/sample); a substantial 154 proportion were attributed to eukaryotic (~0.86% of total reads/sample) and viral (~0.16% of total 155 reads/sample) taxa, which are not included in the custom indices used in this study (Figure S4). 156 Notably, $\sim 1.1\%$ of all reads/sample were still attributed to Bacteria and Archaea (Figure S4). As the 157 nt database of NCBI excludes reference genomes from WGS and RefSeq, this classification reflects

either the presence of genomic fragments in the nt database that are not in WGS of RefSeq, or that these reads mapped to rarer genomic variants that were not included in the 46,006 representative genomes from the GTDB_r86_46k index. As a very small fraction of these unclassified reads were prokaryotic, this result suggests that the GTDB_r86_46k index is much more likely to capture and classify most accessible prokaryotic reads from human metagenomes than default methods.

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164 Classification to lower taxonomic ranks is increased and more accurate using larger indices

165 The interpretation of metagenomics data often focuses on lower taxonomic levels, typically genus-166 and species-level. We compared the taxonomic levels of lowest-common-ancestor (LCA) read 167 classification between the different indices (Figure 1D-F, Table S4-S5). The observed trend in all 168 three datasets was that as indices included more reference genomes, more reads were classified to 169 genus and species level (Figure 1D-F, Table S4-S5). In particular, GTDB_r86_46k index showed a 170 greater proportion of reads from human samples classified to genus (median increase of +387.2% in 171 reads/sample; range of -22.4% to +3914.7%) and species level (median increase of +44.4%) 172 reads/sample; range of -31.6% to +371.7%), as compared with the default NCBI_r86 index (Figure 173 **1D**, **Table S4-S5**). For marine samples, corresponding median increases using GTDB_r86_46k were 174 +503.4% reads classified to genus/sample (range of +68.1% to +1124.9%) and +269.2% reads 175 classified to species/sample (range of +64.3% to +567.2%) (Figure 1E, Table S4-S5); and +113.4%176 reads classified to genus/sample (range of +98.8% to +140.0%) and +90.9% reads classified to 177 species/sample (range of +71.4% to +114.8%), for soil samples (Figure 1F, Table S4-S5).

178

179 Interestingly, of the two best performing indices, GTDB_r86 (built with almost 18,000 less reference 180 genomes than $GTDB_r86_46k$) classified a median of -28.1% less reads/sample (range of -70.3% to 181 +70.7%) at the genus level, but a median of +3.7% more reads/sample (range of -17.1% to +28.7%) 182 more reads at the species level than GTDB r86 46k in human samples (Figure 1D-F, Table S4-S5). 183 A similar trend was observed in marine and soil samples (Table S4-S5). This is likely because the 184 larger the index, the greater the likelihood it includes genomes from two different species that share 185 genes via recent horizontal transfer, which renders those gene sequences ambiguous at the species 186 level so that they can be attributed to their LCA only. In this way, the largest index GTDB_r86_46k 187 can be considered to offer a more accurate representation of taxonomic classification, with ambiguous 188 reads being accurately attributed to the LCA rather than erroneously to a single species.

189

190 The specific composition of corrected indices affects classification performance and detection 191 levels of specific taxa

192 Unsurprisingly, the specific composition of reference genomes in custom indices affected 193 classification performance. To demonstrate this, we expanded the default NCBI_r88 index by 194 increasing the coverage of 70 human-associated bacterial genera (including pathogens) by 6,819 195 reference genomes and also correcting monophyly for these genera (to produce the 196 NCBI_r88_Human17k index; Table 1, File S1). This expansion of the index from NCBI_r88 had a 197 significantly greater impact on the overall read classification rate for the human metagenomes (mean 198 increase of +44.3% reads/sample; mean range of +0.5% to +249.3%) compared to the environmental 199 metagenomes (mean of +21.2% and +7.0% reads/sample for marine and soil samples, respectively; 200 p < 0.0001, D=0.3355; Kolmogorov-Smirnov test on human vs. environmental per-sample increase 201 percentage distributions) (**Table S3-S4**). The effect was also clear at both genus and species levels, 202 with mean increases of +181.1% (genus) and +36.4% (species) in human samples compared to mean 203 increases of +28.8% and +10.0% (genus), and +19.2% and +6.5% (species) in marine and soil 204 samples, respectively (Figure 1D-F, Table S3-S4).

205

Specifically, we also observed that 63/70 (90%) of the genera expanded in the NCBI_r88_Human17k
index could be classified and detected in human metagenomes at a higher level using this index
compared to the default NCBI_r88 index (Figure S5). *Pseudomonas, Enterobacter, Butyrivibrio, Lactobacillus, Alistipes, Moraxella, Parabacteroides* and *Faecalibacterium* were amongst the genera
with the most significant improvement in detection levels using the expanded index database in HMP
metagenomes (Figure S5). The detection levels for common human pathogens, including Yersinia, *Clostridium, Helicobacter* or Acinetobacter, were also improved when using NCBI_r88_Human17k

213 (Figure S5B). In human samples, up to 20% of all reads that remained unclassified using NCBI r88 214 but that could be classified using NCBI_r88_Human17k belonged to Prevotella and Bacteroides, the 215 rest being attributed to a variety of other genera (Figure S5C, S5D). When examining particular 216 species of interest, the detection of Lactobacillus crispatus in vaginal samples, Haemophilus 217 parainfluenzae, Campylobacter concisus and Campylobacter showae in buccal and throat samples, 218 were particularly improved by the use of the corrected NCBI_r88_Human17k index, along with 219 numerous distinct species of *Prevotella*, *Bacteroides* and *Alistipes* in samples from various body sites 220 (Figure S5C, S5D). Our results demonstrate that increasing the number of reference genomes for 221 specific genera of interest can substantially improve their detection levels.

222

223 Impact of metagenome-assembled genomes on classification performance

224 The recently published GTDB taxonomic system (release 86.0) includes 3,087 metagenome-225 assembled genomes (MAGs) in the taxonomic redefinition of the prokaryotic tree of life [28]. We 226 assessed whether the addition of these potentially new taxa to a reference index improved 227 metagenomic classification on the human, marine and soil test datasets. The addition of 3,087 MAGs 228 to GTDB increased the proportion of reads classified by mean +0.72% (human), +0.63% (marine) and 229 +0.51% (soil) (GTDB_r86_noMAGs vs GTDB_r86 index; Figure 1, Figure S2, Table S2-S3). These 230 results show that adding MAGs to index databases can in principle increase classification 231 performance. However, this increase was limited in our test, likely because the MAGs included in 232 GTDB release 86.0 do not capture many novel sequences from the microbiomes analysed (human, 233 marine, and soil).

234

GTDB-based species definitions affect taxonomic composition, abundance and diversity metrics, downstream analyses and interpretation from metagenomic studies

237 The use of corrected indices had a substantial effect on downstream metagenomic analyses. We 238 compared the 30 most abundant taxa for HMP samples at the family, genus and species levels, from 239 classifications using NCBI_r88, NCBI_r88_Human17k and GTDB_r86_46k (Figure 2, Figure S6). 240 A total of 19 (63%) families, 15 (50%) genera and 7 (23%) species appeared in the top 30 taxa using 241 all three indices. Thus, the higher the taxonomic order examined, the more agreement across index 242 databases (Figure 2A, Figure S6). Notably, even for taxa in the top 30 using all three indices, the 243 order of abundance varied substantially (Figure 2B, Figure S6). Some of this variation was 244 attributable to many taxa having been reclassified and renamed in the larger, monophyly-corrected 245 databases (particularly GTDB_r86_46k, see yellow bars in Figure 2A). The increased taxonomic 246 granularity within the GTDB system sometimes led to previously common taxa being divided and 247 redefined as multiple different sub-lineages, each with a distinct taxon name. However, there were 248 also differences in the relative abundances of top 30 taxa that were not explained by this (Figure S7). 249 For example, the relative abundance rank of families *Porphyromonadaceae* and *Corynebacteriaceae* 250 were reversed using NCBI r88 vs. GTDB r86 46k, as were the genera Lactobacillus and 251 Bifidobacterium, and the species Bacteroides fragilis and Bacteroides thetaiotaomicron (Figure S7). 252

253 Alpha diversity (within-sample diversity), which has been associated with various phenotypes in 254 different microbiomes [6, 31-33], is estimated directly from taxonomic composition data and 255 therefore showed significant differences between indices. We compared three alpha-diversity metrics 256 at the genus level (observed genus richness, genus evenness and Shannon index at the genus level), 257 calculated from taxonomic composition tables summarised at the genus level based on classifications 258 of the same test data sets but using seven different index databases (Figure 3). As expected, the large 259 GTDB-based indices showed a much higher richness, but also had an effect on the evenness of genus 260 distribution, especially in marine metagenomes, which affected Shannon diversity index distribution 261 (Figure 3). Notably the effect of index database on alpha diversity values varied between samples, 262 with some increasing in value and others decreasing. In some cases these differences were substantive 263 enough to alter the results of statistical tests for difference in alpha diversity between samples from 264 different body sites (Figure 3B, Table S6). For example, in our subset of the HMP dataset, faecal 265 samples were found to have significantly lower Shannon diversity than buccal samples when using 266 the NCBI_r86 index (median of 1.44 [IQR 1.03-2.25] vs median of 2.41 [IQR 2.02-2.70] respectively, 267 p=0.027) (Table S6). A similar result was obtained using NCBI_r88 index (Table S6). However no

such differences were found between faecal and buccal samples when Shannon diversity was
calculated using any of the GTDB-based indices (median of 2.09 [IQR 1.62-2.83] vs median of 2.59
[IQR 2.16-2.90] respectively, p=0.999 using GTDB_r86_8.6k) (Table S6). The situation was
reversed when comparing Shannon diversity for faecal and skin samples, with significant differences
obtained using GTDB_r86_8.6k (median of 2.09 [IQR 1.62-2.83] vs median of 0.81 [IQR 0.63-1.12],
p=0.001) but not using NCBI_r86 (median of 1.44 [IQR 1.03-2.25] vs median of 0.77 [IQR 0.631.12], p=0.965) (Table S6).

We also examined the effect of index database choice on beta-diversity, or between-sample diversity assessed by calculating Bray-Curtis dissimilarity between groups of samples from different sources (Figure S8, S9, S10, Table S7). The effect on beta-diversity was more subtle than for alpha diversity, with the large GTDB indices yielding greater distance estimates between groups of samples that were already dissimilar using default methods (dissimilarity above 80%; Figure S8, S9), but did not significantly alter the overall clustering patterns (Figure S10).

282 283

284 <u>Discussion</u>285

286 Considerable efforts have been made to improve methods for detection of taxonomic and functional 287 markers in complex metagenomic samples, including increasing sequencing depth, optimising 288 classification algorithms and developing more accurate *de novo* metagenome assembly tools. In this 289 study, we showed that the index database is a major source of variation in classification performance 290 and has significant ramifications for downstream analyses, which may be substantive enough to 291 change study conclusions (e.g. alpha diversity). Commonly utilised index databases lead to sub-292 optimal taxonomic classification, with a minority of some read sets being classified. Increasing the 293 number of phylogenetically consistent reference genomes in an index database in either a broad or 294 targeted manner had consistently positive effects on increasing the proportion of reads classified 295 (sometimes several fold higher) and classification to greater taxonomic resolution. To facilitate 296 metagenomic analyses without the need for deeper sequencing or *de novo* assembly, we make freely 297 available these improved index databases (https://github.com/rrwick/Metagenomics-Index-298 <u>Correction</u>) for two commonly-used classifiers, Centrifuge and Kraken2 and the tools to construct 299 them as NCBI RefSeq and GTDB expand.

300

301 We found that large indices built using recently developed and largely phylogenetically-coherent 302 taxonomic species definitions, such as GTDB [28], greatly increased the number of classified reads. 303 Our results suggest that more coherent taxonomic definitions and accurate taxonomic boundaries, 304 such as those proposed within GTDB, may improve statistical power and biological interpretation of 305 subsequent results, particularly those for compositional and diversity analyses (summarised in **Figure** 306 4). This results in greater taxon granularity, i.e. smaller, more discrete clades of similar phylogenetic 307 depth than commonly known phylogroups, which increases classification accuracy and may improve 308 downstream applications, such as association analysis for particular traits. For example, in 309 microbiome-wide association studies using large cohorts, a weak association with a poorly-defined 310 lineage may be caused by a strong association with a well-defined subset of the poorly-defined 311 lineage (Figure 4). Furthermore, at a fixed confidence level, increasing the classification rate of a 312 metagenomic sample offers a more accurate representation of its microbial diversity and may, as we 313 have shown, affect study conclusions. As such, the approach we propose here facilitates improved 314 metagenomic analysis across the full spectrum of sequencing depths. In particular, our results may 315 facilitate "shallow sequencing" metagenomics [34] by maximising the extraction of taxonomic 316 information from samples sequenced at lower depth, thus enabling more cost-effective comparison of 317 thousands or tens of thousands of samples in large-scale metagenomic and multi-omics studies. 318 Lastly, our study shows the importance of consistency in index database when comparing results 319 across studies. Differences in reference genomes and taxonomic coherence may introduce artefacts 320 when integrating metagenomic data across studies, and therefore care should be taken when 321 performing combined or meta-analyses.

322

323324 Material and Methods

325

326 Description of corrected index databases327

328 Seven different indices, ranging in size from 8674 to 46,006 complete genomes, were built to 329 compare the effect of various factors on metagenomic classification performance (**Table 1**). As the 330 focus of this study was not to compare the performance of specific metagenomic classifier tools 331 themselves, but rather to evaluate the impact of custom indices on metagenomic classification, we 332 picked a recently developed classifier, Centrifuge [19], on the basis of an easy-to-use index 333 customisation pipeline, fast metagenomic classification performance and lower RAM usage than 334 alternative tools. Centrifuge allows for the building of custom indices (via the *centrifuge-build* 335 indexer), taking as input a set of sequences with taxonomic labels and a ranked taxonomic tree 336 describing the relationships between those labels.

337

338 The NCBI_r86 and NCBI_r88 indices were built from the default collections of complete bacterial 339 and archaeal genomes from NCBI RefSeq releases 86 (n=8,674 genomes) and 88 (n=10,089 340 genomes), respectively, using the NCBI taxonomy tree. The NCBI r88 Human17k index was based 341 on the NCBI r88 index, with the addition of 6819 further reference genomes from NCBI GenBank 342 plus manual curation of the taxonomy for 70 common human commensal and pathogenic bacterial 343 genera (File S1). We used the Bacsort pipeline (https://github.com/rrwick/Bacsort) to manually curate 344 the taxonomy within each of these 70 genera to enforce strict monophyly. We also built four indices 345 using the GTDB taxonomic system (Table 1). GTDB is based on curation of >125,000 whole genome 346 sequences sourced from NCBI RefSeq and metagenome-assembled genomes (MAGs); but with 347 taxonomic labels and tree re-defined based on phylogenetic relationships inferred from the 348 concatenation of 120 proteins and enforcing strict monophyly [28]. We built the GTDB_r86 index 349 from the default GTDB release 86 set of 28,941 dereplicated bacterial and archaeal genomes 350 representative of the GTDB taxonomy [28], "dereplication" being defined as the selection of 351 reference genomes representative of phylogenetic similarity clusters [28]. In the original GTDB 352 publication and website, two genomes were found to be "replicates" when a set of conditions were 353 met, typically when their Mash distance was ≤ 0.05 (~ANI of 95%) [4]. The GTDB_r86_8.6k index 354 was built using the exact same 8,674 complete reference genomes as for NCBI r86, but using the 355 taxonomic labels and trees assigned by GTDB. The GTDB_r86_noMAGs index was built exactly like 356 GTDB r86, but excluding all 3,087 metagenome-assembled genomes (MAGs) identified in GTDB 357 release 86. Finally, the GTDB_r86_46k index was built using a lower Mash threshold for 358 dereplication than in the default GTDB_r86 set. Specifically, this index included a total of 46,006 359 reference genomes (18,634 more than GTDB_r86), each representative of similarity clusters defined 360 using a Mash [10] distance threshold of ≤ 0.005 (~ANI of 99.5%). The tax from gtdb.py and 361 dereplicate_assembly.py scripts are available in https://github.com/rrwick/Metagenomics-Index-362 Correction with instructions.

363

364 Metagenomic datasets365

366 We used a total of 404 publicly available metagenomes representing a variety of commonly-studied 367 environments: human body sites, marine and soil environments (Table S1, Figure S1). Human 368 samples were from the WGS-PP1 study of the Human Microbiome Project (HMP) and obtained 369 through the HMPDACC.org website [9]. HMP samples were chosen with the following 370 considerations: we kept a representative proportion of each body site represented in the WGS-PP1 371 study, we did not subset a body site source with less than five samples, and we excluded samples with 372 a high (>90%) proportion of low quality reads and samples with low sequencing depth. A total of 98 373 representative samples were selected, corresponding to ~9.2% (n=98/1067) of the HMP WGS-PP1 374 study. A total of 246 marine metagenomic samples were isolated from a range of locations in 375 epipelagic and mesopelagic waters around the world as part of the TARA Oceans survey [35, 36], and 376 were downloaded from the EBI repository (study MGYS00002008; BioProject PRJEB1787). A total 377 of 60 soil metagenomes were sampled in a recent study from meadows ground at various depths [37],

and were obtained from NCBI BioProject PRJNA449266. Accessions for all readsets are listed in
 Table S1.

380

381 Assessment of metagenomic classification performance382

For all classifications, we ran Centrifuge version 1.0.4 [19] on a Linux x86 cluster with 16 cores and 128 GB of RAM allocated for each sample classification. The run time ranged from 11 to 45 minutes per metagenomic sample, depending on the index used for classification and the sequencing depth of the sample. Classification reports were built from the resulting output files using the *centrifugekreport* tool, and reports were visualised and exported using Pavian version 0.8.1 [38] and custommade scripts, available at <u>https://github.com/rrwick/Metagenomics-Index-Correction</u>.

389

390 Classification performance was assessed by first comparing the number of unclassified and classified 391 reads per sample for each index database used. This provides an unambiguous way to measure how 392 much of the total microbial information present in each sample can be classified. We also compared 393 the taxonomic ranks to which reads were assigned using each index. It should be noted that the NCBI 394 prokaryotic taxonomic system includes many additional and ambiguous taxonomic ranks that are not 395 present in GTDB, such as "subphylum", "infraclass", "superclass", "subtribe" or "strain". To make 396 results comparable between taxonomic systems, reads were always attributed and reported to the LCA 397 of the standard ranks: phylum, class, order, family, genus and species.

398

399 A pre-compiled index based on the nucleotide (nt) database is available from the Centrifuge website 400 (http://www.ccb.jhu.edu/software/centrifuge/, compiled on 03/03/2018). This database includes all 401 traditional divisions of GenBank, EMBL and DDBJ, and thus includes eukaryotic and viral sequences 402 in addition to prokaryotes. However, the nt database excludes the WGS section of GenBank, which 403 should have a negative impact on the determination of accurate species-specific microbial markers. 404 Accordingly, we observed that the classification of 10 random HMP metagenomes using nt resulted in 405 more unclassified reads than when using GTDB_r86_46k (data not shown). To investigate the origin 406 of the reads which were unclassified by the GTDB_r86_46k index (the best-performing custom index 407 in this study), we reclassified them using the nt database.

408

Finally, we assessed the effect of using different indices on commonly-used ecological diversity
metrics. The calculation of alpha and beta diversity estimates (observed genus richness, genus
evenness, Shannon diversity and Bray-Curtis dissimilarity at the genus level) was performed using the
R package *phyloseq* version 1.24.2 [39].

413

414 Custom scripts and pre-computed index databases availability 415

416 A collection of scripts used to prepare, compare and analyse Centrifuge classifications using custom 417 index databases, either based on default NCBI or GTDB taxonomic systems, is available at: 418 https://github.com/rrwick/Metagenomics-Index-Correction with instructions. Pre-computed versions 419 of the NCBI_r88_Human17k and GTDB_r86_46k indices suitable for use with Centrifuge [19], 420 Kraken1 [18], Kraken2 (https://ccb.jhu.edu/software/kraken2/) and their variants (KrakenUnig [17], 421 LiveKraken [40]), are freelv available to from: 422 https://monash.figshare.com/projects/Metagenomics Index Correction/65534. 423

424 <u>Competing interests</u>425

426 The authors declare that they have no competing interests.

427

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434

435 Authors' contributions

436

GM designed the study, generated performed analyses, interpreted results and was the major
contributor in writing the manuscript. RRW helped generating scripts and databases, interpreted
results and participated in the writing of the manuscript. SCW helped to generate code and databases.
KEH and MI were key contributors to the study design, interpretation of results and the writing of the

441 manuscript. All authors read and approved the final manuscript.

442

443 Figure and table legends444

445 Table 1. Description of the seven classification indices used in this study. The release numbers 446 correspond to NCBI RefSeq releases of genomes from which the reference genomes used to build 447 indices were obtained.

448

449 Figure 1. Large index databases substantially improve metagenomic classification performance 450 and accuracy, including at lower taxonomic levels. Sequencing reads from three datasets (HMP 451 samples, n=98; TARA Oceans samples, n=246; meadow soil samples, n=60) were classified using the 452 seven index databases presented in Table 1. Boxplots (Tukey) show the distribution of the proportion 453 of unclassified and classified reads/samples for human samples (A), marine samples (B) and soil 454 samples (C) using seven indices (y-axis) is shown for each index size (x-axis), defined as the number 455 of reference genomes used to build the index. Distributions of the breakdown of read classification to 456 the two lowest taxonomic levels (genus, species) for human samples (D), marine samples (E) and soil 457 samples (F) are shown for the NCBI_r86 default index (light blue), two indices based on NCBI_r88 458 (NCBI_r88 in green and NCBI_r88_Human17k in pink) and two indices based on GTDB_r86 459 (GTDB_r86 in orange and GTDB_r86_46k in purple).

460

461 Figure 2. Effect of index database correction on metagenomic composition. (A) Number of shared 462 top 30 most abundant families, genera and species after classification of 98 HMP samples using 463 default NCBI_r88 index and corrected NCBI_r88_Human17k and GTDB_r86_46k indices. (B) 464 Comparisons of relative abundances (-log₁₀ scale) between the default NCBI_r88 classification and 465 NCBI_r88_Human17k classifications (left) and GTDB_r86_46k (right) for taxa in the top 30 most 466 abundant of all three classifications (19 families, 15 genera and 7 species). To assess changes in rank 467 order consistency between the classifications, Spearman's rank correlation coefficient, and the 468 associated p-value are shown for both comparisons of NCBI_r88_Human17k and GTDB_r86_46k 469 classifications with NCBI_r88 for all taxa, and at each taxonomic ranks.

470

471 Figure 3. Using corrected indices to classify metagenomes affects measures of alpha diversity. 472 (A) The values of three measures of alpha diversity (observed genus richness, genus evenness and 473 Shannon diversity index at the genus level) for each metagenomic sample from three datasets (HMP 474 subset, TARA Oceans, Meadow soil samples) are shown. Three specific comparisons of values are 475 presented, between NCBI_r86 and GTDB_r86_8.6k, between NCBI_r88 and NCBI_r88_Human17k 476 and between GTDB_r86, GTDB_r86_noMAGs and GTDB_r86_46k. Each sample is represented by a 477 line coloured by isolation phenotype. Statistical comparisons of distributions presented in this panel 478 are shown in Table S6. (B) Effect of classification index on alpha diversity metrics comparisons 479 between groups. The scatter plots compare the significance of ANOVA tests on all alpha-diversity 480 measures for each of three comparisons, *P*-values using Dunn's multiple testing (with Holm's 481 correction). The dotted lines represent proportionality for which p-values are identical for 482 classifications using both indices, the red lines denote the p-value threshold of 0.05 ($-\log_{10}=1.301$) for 483 each index.

484

485 Figure 4. Increased taxonomic granularity in classification indices can improve the 486 interpretation of microbiome-wide association studies. (A) Increased taxonomic granularity is 487 defined here by the accurate redefinition, splitting and merging of phylogenetically-coherent strictly-488 monophyletic lineages, as performed using GTDB. In this example, taxon A is split into taxa A1, A2, 489 A3 and A4, and taxon B is split into B1 and B2. (B) Example classification using two index 490 databases, a smaller number of reference genomes with polyphyletic definitions (left) and a larger 491 number of reference genomes with monophyletic definitions (right). (C) Example effects of index 492 database correction on downstream analysis involving alpha-diversity metrics (left) or for 493 microbiome-wide association studies (right).

494

Figure S1. Description of 404 metagenomic samples used in this study. The distribution of the number of reads/sample is shown for 98 human (A), 246 marine (B) and 60 soil (C) samples,

497 according to various sampling information (body site for human samples, and sampling depth for498 marine and soil samples).

499

Figure S2. Per-sample change (% and fold-change) in unclassified and classified reads/sample using seven default and corrected NCBI- and GTDB-based indices. Per-sample percent and fold-changes are shown for the three metagenomic datasets: (A) human samples (n=98), (B) TARA Oceans samples (n=246) and (C) meadow soil samples (n=60). Values are normalised to the number of reads unclassified and classified using the default NCBI_r86 index.

505

Figure S3. Classification improvement using corrected indices is unaffected by variations in sequencing depth. The total number of reads/sample (a proxy for sequencing depth) was plotted against the number of unclassified reads/sample using 6 default and corrected indices, for human (A), marine (B) and soil (C) metagenomes. The regression line was calculated using a linear model fit ("Im" in ggplot2 geom_smooth function) for each index.

511

512 Figure S4. Reads from human metagenomes that remained unclassified using the 513 GTDB_r86_46k index are mostly unknown and eukaryotic. (A) Proportion of reads/sample from 514 HMP samples (n=98) that are unclassified using GTDB r86 46k, according to body site of isolation; 515 (B) and (C) outcome of re-classification of these specific reads using an index based on the NCBI 516 nucleotide database (nt; pre-computed on the 03/03/2018 and available on the Centrifuge website 517 [http://www.ccb.jhu.edu/software/centrifuge/]) in number of reads/sample (B) and in proportion (C); 518 (D) per-sample breakdown of domain re-classification, showing the proportion of reads attributed to 519 Eukaryota, Bacteria, Archaea and Viruses or unclassified.

520

521 Figure S5. Targeted correction for 70 specific bacterial genera increases their detection levels in 522 human metagenomes. (A) The average number of reads classified to all 1001 different bacterial 523 genera to which at least one read was attributed using the NCBI_r88 and the NCBI_r88_Human17k 524 indices were compared, with the 70 specifically corrected genera were highlighted in blue while the 525 non-corrected genera are shown in red. Any point above the line denotes genera to which more reads 526 were classified using the NCBI r88 index, while any point below the line denotes genera to which 527 more reads were classified using the NCBI r88 Human17k index. (B) Number of classified 528 reads/sample using a default index and a targeted correction for 70 specific bacterial genera. The 70 529 corrected genera are shown, along with their corresponding distribution of the number of classified 530 reads/sample using NCBI_r88 (red) or NCBI_r88_Human17k (blue). The column on the right 531 indicates the p-value and significance thresholds after Wilcoxon signed-rank tests comparing the two 532 indices. Genera with the highest significance in difference are shown in red, orange and yellow, and 533 non-significant differences are shown in white. (C and D) From all reads that were unclassified using 534 NCBI r88 but classified using NCBI r88 Human17k, the top 30 genera (C) and species (D) to which 535 these reads were attributed, in proportion, are shown. Boxplots of different colours denote different 536 isolation sources, showing how body sites are differently affected by the index correction.

537

538 Figure S6. Effect of index database correction on metagenomic compositional data and most 539 abundant taxa. The 30 most relative abundant families, genera and species to which reads were 540 attributed using three indices (default NCBI r88 and corrected indices NCBI r88 Human17k and 541 GTDB_r86_46k) are shown in boxplots. The colour of the taxon name in the y-axes denotes whether 542 the same taxon label was found to be present in the top 30 most abundant taxa after classification by 543 all three indices (blue), by NCBI_r88 and NCBI_r88_Human17k and not GTDB_r86_46k (orange), 544 by GTDB_r86_46k and either NCBI_r88 or NCBI_r88_Human17k (pink) or only in one index 545 (black). In red are indicated the taxon definitions that are existing only in one index. For the 546 comparison at the genus level, green arrows indicate whether the corresponding genus has been 547 specifically corrected in the NCBI r88 Human17k index.

548

549 Figure S7. Comparison of metagenomic compositional data and most abundant taxa after 550 classification with indices built from the same reference genomes taxonomically defined using 551 NCBI- or GTDB-based definitions. The 30 most relative abundant families (A), genera (B) and

552 species (C) to which reads were attributed using the NCBI_r86 and GTDB_r86_8.6k indices, built 553 with the exact same set of complete reference genomes from NCBI RefSeq release 86, are shown in 554 boxplots. The correspondence between the top 30 most abundant taxa from the two classifications is 555 reflected by lines between the two plots. The colouring of the lines denote taxa with an exact 556 correspondence in both indices (plain blue) or whether the GTDB redefinition of taxa affected the 557 correspondence (dotted red). The taxa written in red were created in GTDB.

558

559 Figure S8. Effect of using corrected indices to classify metagenomes on Bray-Curtis 560 dissimilarity between groups of HMP samples (grouped by body site isolation). (A) Bray-Curtis 561 dissimilarity distributions are shown for pairwise group comparisons between buccal, throat, skin, 562 faecal and vaginal samples of the HMP dataset subset (n=98) used in this study, using seven different 563 classification indices. Coloured panels denote within-group comparisons, white panels denote 564 between-group comparisons. (B) Visualisation of the same data, but ordered to contrast the effect of 565 index database on pairwise group comparisons of Bray-Curtis dissimilarity. Colours represent body 566 sites, similarly to panel A.

567

568 Figure S9. Effect of using corrected indices to classify metagenomes on Bray-Curtis 569 dissimilarity between groups of TARA Oceans and meadow soil samples (grouped by body site 570 isolation). (A-B) Bray-Curtis dissimilarity distributions are shown for pairwise group comparisons 571 between buccal, throat, skin, faecal and vaginal samples of the TARA Oceans dataset (n=246, panel 572 A) and meadow soil dataset (n=60, panel B) used in this study, using seven different classification 573 indices. Coloured panels denote within-group comparisons, white panels denote between-group 574 comparisons. (C-D) Visualisation of the same data, but ordered to contrast the effect of index 575 database on pairwise group comparisons of Bray-Curtis dissimilarity for TARA Oceans samples 576 (panel C) and meadow soil samples (panel D). Statistical comparisons of distributions presented in 577 this figure are shown in Table S7.

578

579 Figure S10. Effect of using corrected indices to classify metagenomes on Bray-Curtis 580 dissimilarity (ordination plots). Between-sample diversity was compared by calculating and 581 ordinating Bray-Curtis distance measures for samples classified using NCBI r88 (C, H, M), 582 NCBI r88 Human17k (D, I, N) and GTDB r86 46k (E, J, O). To compare the effect of indices on 583 beta-diversity, we performed permutational multivariate analysis of variance (PERMANOVA) on the 584 Bray-Curtis distances to measure the association between sample information (such as isolation 585 source for the HMP samples, or sampling depth for the marine and soil samples) and variance within 586 the dataset, indicated in bold in panels C-E, H-J, M-O.

587

Table S1. Sample description and accession number for 404 public human, marine and soil
 metagenomes used in this study.

590

591 Table S2. Summary of classification outcome for three datasets using seven different index 592 databases. The median, average, minimum and maximum values of the number and proportion of 593 classified and unclassified reads/sample is shown for every condition. Classifications were performed 594 using Centrifuge version 1.0.4. Detailed per-sample values are shown in Table S3.

595

596 Table S3. Detailed per-sample classification outcome using samples from three datasets, after 597 classification using seven different index databases. The number and proportion of classified and 598 unclassified reads/sample is shown for every condition. Classifications were performed using 599 Centrifuge version 1.0.4. A summary of these results is shown in Table S2.

600

Table S4. Summary of classification outcome at the genus and species level for samples from
three datasets using five different index databases. The median, average, minimum and maximum
values of the number and proportion of classified reads/sample is shown for every condition.
Classifications were performed using Centrifuge version 1.0.4. Detailed per-sample values are shown
in Table S5.

606

Table S5. Detailed per-sample classification outcome to genus and species levels using samples
 from three datasets, after classification using five different index databases. The number and
 proportion of classified reads/sample is shown for every condition. Classifications were performed
 using Centrifuge version 1.0.4. A summary of these results is shown in Table S4.

612 Table S6. Influence of index correction on the significance of differences between alpha 613 diversity of isolation phenotype groups. Comparison of significance (p-values) from Dunn's 614 multiple testings with Holm correction after ANOVA on three alpha diversity metrics comparisons 615 (observed richness, evenness and Shannon diversity index) between isolation phenotype groups in 616 three metagenomic datasets (body site for HMP samples, depth of sampling for TARA Oceans and 617 meadow soil samples) after classification with six index databases. Specifically, the alpha diversity 618 metric distribution between isolation group pairs were compared after classifications with NCBI_r86 619 and GTDB_r86_8.6k, NCBI_r88 and NCBI_r88_Human17k and GTDB_r86, GTDB_r86_noMAGs 620 and GTDB r86 46k.

621

611

622 Table S7. Influence of index correction on the significance of differences between beta diversity 623 (Bray-Curtis dissimilarity) calculated between isolation phenotype groups. Comparison of 624 significance (p-values) from Dunn's multiple testings with Holm correction after ANOVA on Bray 625 Curtis dissimilarity comparisons between isolation phenotype groups in three metagenomic datasets 626 (body site for HMP samples, depth of sampling for TARA Oceans and meadow soil samples) after 627 classification with four index databases. Specifically, comparisons were between NCBI_r88 and 628 NCBI_r88_Human17k and GTDB_r86 and GTDB_r86_46k.

629

630 File S1. Description of the NCBI r88 Human17k index database creation. Pre- and post-631 correction Newick and XML phylogenetic trees built on hybrid FastANI/Mash distances for 9928 632 genomes from 70 genera of interest (Acinetobacter, Alistipes, Anaerostipes, Atlantibacter, 633 Bifidobacterium, Blautia, Brenneria, Buttiauxella, Butyrivibrio, Bacteroides, Barnesiella, 634 Campylobacter, Cedecea, Citrobacter, Clostridium, Coprococcus, Dickeya, Dorea, Edwardsiella, 635 Enterobacter, Erwinia, Escherichia, Eubacterium, Faecalibacterium, Haemophilus, Hafnia, 636 Helicobacter, Intestinimonas, Izhakiella, Klebsiella, Kluyvera, Kosakonia, Lachnoclostridium, 637 Lactobacillus. Leclercia, Lelliottia, Mangrovibacter, Moraxella, Morganella, Nissabacter, 638 Odoribacter, Parabacteroides, Oscillibacter, Pantoea, Paraprevotella, Pectobacterium, 639 Phascolarctobacterium, Phytobacter, Plesiomonas, Prevotella, Proteus, Providencia, 640 Pseudescherichia, Pseudocitrobacter, Pseudomonas, Psychrobacter, Rahnella, Raoultella, Roseburia, 641 Rosenbergiella, Rouxiella, Ruminiclostridium, Ruminococcus, Salmonella, Serratia, Siccibacter, 642 Tatumella, Trabulsiella, Xenorhabdus and Yersinia), suitable for visualisation in Archeopteryx [41]. 643 The species definitions for these genomes were corrected and made strictly monophyletic to create the 644 "NCBI r88 Human17k" index. 645

646

647	<u>Refei</u>	rences
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- 756

Table 1. Description of 7 classification indices used in this study

Index name	Reference database and taxonomic definitions used	Description	Total number of reference genomes included	Strictly monophyletic species definitions
NCBI_r86	NCBI RefSeq release 86	Complete microbial genomes (r86)	8674	Ν
GTDB_r86_8.6k	GTDB release 86	Same genomes as NCBI_8.6k but with GTDB taxonomic definitions, to compare effect of strict monophyletic definitions	8674	Y
NCBI_r88	NCBI RefSeq release 88	Complete microbial genomes (r88)	10089	Ν
NCBI_r88_Human17k	NCBI RefSeq release 88	Same as NCBI_r88 with the addition of all draft genomes from 70 genera of interest, strictly corrected for monophyly	16908	Y (for 70 genera only)
GTDB_r86_noMAGs	GTDB release 86	GTDB r86 without metagenome-assembled genomes (MAGs)	25660	Y
GTDB_r86	GTDB release 86	All dereplicated* bacterial and archaeal genomes used to curate the GTDB taxonomy in the GTDB study	28560	Y
GTDB_r86_46k	GTDB release 86	Manual dereplication* of GTDB release 86 to get more bacterial and archaeal reference genomes with GTDB taxonomic definitions	46006	Y

* Dereplication is defined as the threshold-based selection of representative reference genomes for phylogenetically-similar clusters.

Figure 1.



Figure 2.



Figure 3.



Figure 4.



Metagenomic classification with index database built using:

Default reference genomes and default taxonomic definitions (e.g. default NCBI)

> Patient Patient 2 Patient 3 В В Impact on analyses based on: - composition data (relative abundance)

More reference genomes + increased taxonomic granularity (e.g. GTDB)



С

Impact of index database correction on downstream analyses:

Diversity analyses: Richness

Microbiome-wide association studies (MWAS) Q-Q plot:



Figure S1.





Figure S3.





Individual throat metagenomic samples

Individual vaginal metagenomic samples

Figure S5.



Proportion of classified reads using NCBI_r88_Human17k from unclassified reads using NCBI_r88 Proportion of classified reads using NCBI_r88_Human17k from unclassified reads using NCBI_r88

Number of classified HMP reads

2°

rexol

NCBI_r88

······	2.4e-13	
<u></u>	1.3e-09	
	1e-07	
	4.9e-07	
<u> </u>	4.9e-07	p<0.0001 (****
<u></u>	4.9e-07	
	5e-07	
·······	1.4e-05	
······	3.2e-05	
	7.1e-05	
	0.00031	
	0.00056	
	0.00068	p<0.001 (***)
	0.00071	
	0.0035	
	0.009	/ //
	0.027	p<0.01 (**)
	0.027	
	0.032	
	0.032	
	0.062	
	0.062	p<0.05 (*)
	0.062	
	0.082	
	0.082	
	0.089	
	0.1	
	0.12	
	0.12	
	0.2	
	0.21	
	0.21	
	0.21	
	0.21	
	0.21	
·····	0.22	
	0.22	
	0.22	
	0.25	
	0.26	
<u></u>	0.31	p>0.05 (n.s.)
	0.34	
	0.36	
	0.54	
	0.57	
	0.73	
	0.73	
	0.73	
	0.73	
	0.75	
	0.75	
	0.86	
	0.89	
	0.89]
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Relative abundance

Relative abundance

Relative abundance

Family amongst top 30 most abundant families in:

One index only NCBI_r88 and NCBI_r88_17k only (n=8) GTDB_r86_46k and 1 NCBI-based only (n=1) All 3 indices (n=19) Family definition unique to index

Genus amongst top 30 most abundant genera in:

One index only NCBI_r88 and NCBI_r88_17k only (n=9) GTDB_r86_46k and 1 NCBI-based only (n=0) All 3 indices (n=15) Genus definition unique to index

Genus corrected in NCBI_r88_17k customization

Species amongst top 30 most abundant species in:

One index only NCBI_r88 and NCBI_r88_17k only (n=8) GTDB_r86_46k and 1 NCBI-based only (n=10) All 3 indices (n=7) Species definition unique to index





Figure S8.



Figure S9.



Figure S10.

