Title: Improving species conservation plans under IUCN's One Plan Approach using quantitative genetic methods

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Abstract

Human activities are resulting in altered environmental conditions that are impacting the demography and evolution of species globally. If we wish to prevent anthropogenic extinction and extirpation, we need to improve our ability to restore wild populations. *Ex situ* populations can be an important tool for species conservation. Quantitative genetic analysis can improve management of these populations and thus the success of *in situ* population management actions that they support. In this review we outline methods that could be used to improve the management of *in situ* and *ex situ* populations in a One Plan Approach. We discuss how quantitative genetic models can help measure genetic variation, phenotypic plasticity, and social

effects on phenotypes. Finally, we discuss how phenotypic change can be predicted using measurements of additive genetic variance and selection. While previous work has highlighted the value of *ex situ* populations for the field of quantitative genetics, we argue that quantitative genetics can, in turn, offer opportunities to improve management and consequently conservation of populations of species at risk. We show that quantitative genetic analyses are a tool that could be incorporated into and improve *ex situ* management practices.

Introduction

Widespread human landscape transformations are resulting in changing conditions for species across the globe (Parmesan 2006). Biodiversity is decreasing due to habitat loss, pollution, disease, and climate change and the majority of countries have not achieved biodiversity targets for 2020 set to slow rates of species declines (United Nations Environment Program Convention on Biological Diversity, Aichi Target 12). This lack of progress calls for new approaches. In 2020, the IUCN World Conservation Congress passed a resolution promoting the integration of *in situ* (within a species' natural habitat) and *ex situ* (in human care outside a species' natural habitat) conservation interventions by applying the One Plan Approach (WCC-2020-Res-079n; Byers et al. 2013). Traditionally, species conservation planning has followed parallel but separate tracks: field biologists and wildlife managers efforts to address conservation needs *in situ*, and zoo and aquarium efforts to develop sustainable *ex situ* populations. Under the One Plan Approach developed by the IUCN's Conservation Planning Specialist Group (CPSG), species conservation planning is conducted in an integrated manner by all responsible parties, whether inside or outside of the natural habitat (Byers et al. 2013).

As recognized by the World Conservation Congress's 2020 Resolution 079, zoos and aquariums can be an essential component of efforts to reduce the rate of species loss and to

improve the status of at risk species (Che-Castaldo, Grow, & Faust 2018;). However, recovery efforts that rely on source animals from conservation breeding programs, such as translocations from an *ex situ* population used to augment or support an *in situ* population (Soorae 2021), can face difficulties (Fischer & Lindenmayer 2000; Godefroid et al. 2011). The management of *ex situ* populations can be challenged by strong genetic drift, inbreeding inherent in small populations, the potential for reduced reproductive fitness, and adaptation to captivity (Frankham 2008). Adaptation to captive conditions could result in phenotypes that are maladaptive in the wild, resulting in lower survival upon release, and adversely affect reintroduction efforts (Baskett, Burgess, & Waples 2013). Additionally, gene flow via introduced individuals may alter evolutionary processes in the wild resulting in negative effects on wild populations. We argue that some of these challenges can be addressed, through the incorporation of quantitative genetic management techniques to improve *ex situ* population management, similar to that used to disentangle causes of phenotypic change in wild populations (Pelletier et al. 2009; Chargé et al. 2014). Monitoring phenotypic and genetic characteristics of *ex situ* populations would help to ensure their suitability for conservation efforts, in particular under the One Plan Approach, in which captive and wild populations are managed as a type of metapopulation (Byers et al. 2013).

Because phenotypes and genotypes can be altered by captivity, tracking the phenotypic dynamics of captive populations and quantifying underlying processes leading to change could be an effective management tool to ensure *ex situ* populations will have a positive conservation impact (Princée 2016). Further, when comparisons can be made to wild populations, quantification of phenotypic variation in captivity will be particularly effective in One Plan Approach conservation efforts. Many breeding programs follow a mate pairing method based on matching mean kinship derived from pedigrees in an effort to minimize genetic drift, inbreeding,

and selection pressure while maintaining genetic diversity (Montgomery et al. 1997; Ralls et al. 2000; Willoughby et al. 2014; Ballou et al. 2020). However, the realities of captive management (e.g. the unequal reproductive success of mate pairs and small effective population sizes) mean that evolutionary change can still occur (Schulte-Hostedde & Mastromonaco 2015). For example, a study of Houbara Bustards *Chlamydotis undulata* revealed evolutionary change in gamete production, courtship display rate, and body mass caused by unintentional selection in captivity over just 5 generations (14 years) despite a breeding management strategy based on mean kinship (Chargé et al. 2014).

Conservation breeding programs could be improved in many cases through analysis of phenotypes. Herein, we undertake a review of quantitative genetics tools that we suggest can be incorporated into *ex situ* population management, thereby improving the success of One Plan Approach conservation efforts by quantifying, and ultimately preventing genetic adaptation to captivity (Williams & Hoffman 2009). We describe methods that have been used in the study of ecological and evolutionary dynamics in wild populations, expanding upon a previous review by (Pelletier et al. 2009), including updated information on available tools, and suggesting how they can be extended to *ex situ* populations, in particular when they are used as part of a One Plan Approach style conservation program (Fig. 1). First, we review why it is valuable for breeding managers to monitor phenotypic dynamics (Section 1). Next, we describe how the plastic and evolutionary dynamics of traits in captivity can be measured, and discuss how these measurements can be used to improve the success of One Plan Approach conservation programs. We focus on three major areas of consideration, including the measurement of evolutionary change (Section 2), phenotypic plasticity (Section 3), and parental and social effects (Section 4). We then summarize methods to quantify adaptive potential and highlight some of the tools that

could be used to predict a species ability to adapt to shifting wild environments (Section 5). Finally, we describe the opportunities and limitations associated with using quantitative genetic to help inform *ex situ* and *in situ* conservation management (Section 6).

1. Phenotypic change in captivity

Phenotypic differences in both temperament and morphology can occur between wild and captive-bred individuals (O'Regan & Kitchener 2005; McDougall et al. 2006), which could decrease fitness in the wild (Jolly & Phillips 2021). Differences between captive and wild phenotypes can be caused by phenotypic plasticity, evolutionary change, or both processes. Phenotypic plasticity is the range of phenotypes an individual (or genotype) expresses across a range of environmental conditions, while evolutionary change is a change in allele frequencies underlying phenotypes caused by mutation, gene flow, genetic drift, and selection (West-Eberhard 2003; Walsh & Lynch 2018).

The captive environment can potentially alter a broad range of traits. Further, differences in breeding facilities may result in heterogeneity in these altered phenotypes. Morphological changes have been commonly observed to change due to the captive environment (Courtney Jones, Munn, & Byrne 2018; Fischer & Romero 2019). For example, differences in nutritional environment and a change in physical activity can alter tissue development (Harbers et al. 2020). Cues or social interactions that prompt development may also be altered in captivity (Monaghan 2008; Sultan 2015) . Additionally, capture biases and the captive environment can inadvertently select for specific behavioural temperaments resulting in differences between the temperament of wild and captive individuals (McDougall et al. 2006; Monk et al. 2021).

Measurements of plastic trait responses and the genetic variation present of traits can both provide information on the adaptive potential of the population and alert managers to

potentially unwanted evolutionary change (Section 2; Section 5). Even if captive and wild individuals exhibit the same average phenotype, phenotypic plasticity could be masking evolutionary change (*e.g.* Bonnet et al. 2017). For example, smaller individuals might be selected for in a captive environment but better nutrition could result in increases in size that would mask this evolutionary change. Only after being released into the wild where food resources are limited or more difficult to acquire, would the evolutionary change towards a smaller size become apparent.

Monitoring and quantifying evolutionary processes is of interest to *ex situ* population managers because phenotypic and genotypic change induced by captivity might reduce survival and reproduction in the wild. As the ultimate goal of *ex situ* populations is the restoration of viable self-sustaining populations, we argue it is useful, if not imperative, to understand environmental and genetic contributions to phenotypes in captivity. Quantitative genetics provides a toolset for disentangling the processes of evolutionary change and phenotypic plasticity. Quantitative genetics is routinely used in breeding programs for domestic livestock (Walsh & Lynch 2018). This methodology has also led to insight into the evolutionary dynamics in wild populations (Charmantier, Garant, & Kruuk 2014) and it has been highlighted that zoo populations may provide datasets, in the form of studbooks, well suited to quantitative genetic analysis (Pelletier et al. 2009). We suggest that the integration of quantitative genetics into *ex situ* population management will help to ensure their contribution to recovery of wild populations when incorporated into joint management strategies as per the One Plan Approach (Byers et al. 2013). Further, while molecular methods can help to track or identify loss of diversity in genetic markers, changes in neutral genetic diversity do not always correspond well to changes in adaptive genetic variation (Reed & Frankham 2001; Mittell, Nakagawa, &

Hadfield 2015; Lacy, Malo, & Alaks 2018). Thus, ideally, *ex situ* populations are managed through monitoring of both genetic and phenotypic variation.

2. Evolutionary change

2.1 Trends in breeding values

Quantitative genetic approaches use statistical tools to separate measured phenotypes into genetic and environmental components, allowing the statistical quantification of potential evolutionary change. Using a quantitative genetics approach, those managing *ex situ* populations need a pedigree and phenotypic data, combined in statistical models to evaluate whether evolutionary change might be occurring in their captive population (Fig. 1). Historically, quantitative genetic analysis was focused on laboratory and agricultural studies where experimental breeding crosses were possible, but statistical techniques developed in the 1950s (Henderson 1950) and computational advances in the late 1990s allowed widespread use of the "Animal Model." The Animal Model is a form of mixed model that uses relatedness among individuals to estimate the additive genetic variation of a trait (Wilson et al. 2010); it models an individual's phenotype as a function of the population mean phenotype plus an additive genetic value and residual error. The additive genetic value, or the breeding value, represents the additive genetic difference of an individual and the population average, or the sum of the average effects of all the alleles the individual carries (Falconer & Mackay 1996; Lynch & Walsh 1998). Changes in the average breeding value of a phenotype over time in a population can be an indication of evolutionary change (Hadfield et al. 2010). Livestock producers are often interested in changing the average breeding value of a population so that it is better for production, for example in milk yield (Rendel & Robertson 1950), while evolutionary ecologists are interested in determining how and whether evolutionary change is occurring in a wild population (Walsh &

Lynch 2018). In contrast, those maintaining *ex situ* populations for conservation purposes will probably be interested in maintaining the average breeding value of a trait in the captive population and the variance of the breeding values (the additive genetic variance) in the interest of avoiding evolutionary change and maintaining adaptive potential (Williams & Hoffman 2009). There is often uncertainty associated with each estimate of a breeding value, and ignoring this error in the analysis of trends in breeding values can lead to an incorrect analysis (Hadfield et al. 2010; Houslay & Wilson 2017; Princée 2016) however, there are techniques such as multivariate statistics or Bayesian analysis that can help with some of these issues (Fig. 2).

When working with a captive population that is maintained across multiple facilities, managers will also want to account for differences in phenotype between facilities and understand how much of any observed variance is explained by different people taking those measurements or difference management practices among facilities. Shared environmental effects such as year, rearing location, and parental effects should also be accounted for in any estimation of the additive genetic variance because these values can inflate similarity among relatives and bias estimates of the additive genetic variance. The same tools that estimate additive genetic variance can also be used to account for such groupings in the data. The use of mixed or hierarchical models in quantitative genetics is used to disentangle components of variance beyond just components of genetic variance. Given the proper grouping (*e.g.* cohort year or rearing facility) is included in the data, we can estimate the contribution of such a grouping to the total phenotypic variance. In some cases, the variance associated with different people taking phenotypic measurements can be quantified and accounted for in the measurement of heritability or repeatability of a trait (Ponzi et al. 2018). Because of the relatively small size of captive populations, genetic variation and inbreeding are also likely to contribute to the variation

in traits (Wade & Goodnight 1998). Quantitative genetics provides useful tools for measuring the impact of these genetic effects on observed phenotypes and may help more accurately quantify evolutionary changes in captivity (Pelleier et al. 2009; Wolak & Keller 2014).

Building an Animal Model to estimate evolutionary change using breeding values will require a significant up-front time investment, but analysis can provide invaluable information for management of genetic variation that cannot easily be estimated by other methods. Further, once a suitable model has been developed it can be updated annually as a way to monitor any potential evolution occurring in traits of interest in the captive population over time. Managers could then try to alleviate known or likely drivers of evolutionary change (see section 6). If changes in the average breeding values are determined to be of concern managers would be able to empirically quantify the impact of adaptive management implemented to address these concerns, including when and if there is a need to introduce new genetic diversity from wild populations.

Quantitative genetic analyses will be limited by the amount of data available for a managed population. In some cases, an additive genetic variance estimate will be possible with 100 or fewer animals, but statistical power in these analyses also depend on the number of relatives in a pedigree. Given a specific studbook pedigree, a manager could conduct a simple power analysis to try to determine the heritability they would be able to estimate with their specific pedigree structure (Hadfield et al. 2010; Morrissey & Wilson 2010). In some cases, managers may be unable to decompose phenotypes in genetic and environmental contributions. In these instances, it may be more difficult to determine the cause of such changes, but it may still be possible to determine if *ex situ* phenotypes are changing over time or differ dramatically from *in situ* populations.

2.2 Genetic Groups

Standard Animal Model analyses assume a single population that includes individuals with unknown parents. However, individuals with unknown parents could be immigrants to the captive population, either from the wild or from other ex situ populations. Assuming that they deviate from the average breeding value of the captive population might bias analyses for trends in breeding values. Genetic groups (e.g. *ex situ* versus *in situ* individuals) can help remove biases in analysis and reveal impacts of gene flow in a conservation breeding program. Assigning individuals to a genetic group could allow a manager to assign individuals with unknown parents in the dataset to different researcher defined groups and can help alleviate a bias in the breeding value estimation caused by assuming one unstructured population (Wolak & Reid 2017; Lacy 2012). One common approach for joint *ex situ* and *in situ* management could be to assign founding individuals, and those progeny produced in the first few years of a conservation breeding program to one group, and later migrants brought into captivity as a second group. The proportion of each offspring's genome attributed to the *ex situ* versus *in situ* population can then be determined using the studbook pedigree. Beyond just accounting for biases, partitioning individuals among genetic groups in this way allows explicit measurement of the effects of wild population gene flow on an average trait value in the captive population (Wolak & Reid 2017). If enough data are available in the wild, trait values could also be monitored and quantified for the *in situ* population, which would provide comparisons to help determine the extent to which captive individuals differ from a baseline (Fig. 1). Additionally, recent advances in analytical methods allow for the measurement of different additive genetic variances between genetic groupings, which may be useful for comparing the adaptive potential of a trait in the wild or captive population (Muff et al. 2019). A study of song sparrows (*Melospiza melodia*) on

Mandarte Island, Canada provides an empirical example of a genetic group model that mirrors an *ex situ* breeding program (i.e. a focal study population with measured and periodic gene flow). In this case, the analysis used a genetic group model to determine that gene flow to the island population is preventing local adaptation (Reid et al. 2020)**.**

3. Phenotypic change caused by plasticity

Phenotypic plasticity is the range of phenotypes that a single genotype, and in some cases individual, can express across a range of environmental conditions (Sultan 2015; West-Eberhard 2003). Individuals can differ in their plastic responses to the same environmental gradient (Box 1; Fig. 2). Like variation in a phenotype, the variation in an individual's plastic response to environmental conditions can be decomposed into environmental and genetic contributions (Gienapp & Brommer 2014). If individuals differ in their plastic responses because of genetic differences, plastic responses themselves could evolve. Therefore, captivity might influence plastic responses through evolutionary change or environmental/developmental effects that alter an individual's plastic response. Most importantly, an altered plastic response might affect the fitness of an individual or family in captivity or the wild, which is why managers must be concerned with the response, as well as understanding how management decisions are implicated.

To directly measure whether plastic responses are affected by captivity, repeated measures on previously-captive individuals in wild environment are required (Nussey, Wilson, & Brommer 2007; Box 1). This approach highlights the benefits of and need for a One Plan Approach management strategy when *ex situ* populations are incorporated into species conservation. For non-clonal species, we can only measure the plastic responses of labile traits that are expressed multiple times in an individual's life (annual fecundity, timing of breeding,

253 migratory urge). These traits are most often those that vary across different environmental
254 conditions. For example, to understand plastic responses to climate change, the breeding time of
255 individuals in a population must be monitored annually (Bonnet et al. 2019).
256 Understanding how captivity shapes plastic responses to environmental conditions
257 individuals will encounter *in situ* may be one of the most important considerations in a
258 reintroduction program. The captive environment is likely to differ in many ways from the wild
259 environment, and both genetic and environmental differences between individuals may cause
260 them to respond differently, depending on which set of circumstances they are exposed to.
261 Managers may want to measure the plastic responses to captivity as a tool for understanding how
262 well their captive environment emulates the wild environment, with the goal being for no, or
263 little difference in response. Further, it may be important to understand how captivity affects the
264 plasticity of traits and the ability of individuals to plastically respond to environmental variation.
265 In particular a some traits might revert to wild values post-release, while others may not (Fig. 3).
266 For example, plastic responses may be adaptive in natural environmental conditions, and
267 plasticity is now increasingly recognized as a primary response to changing climatic conditions
268 (Bonamour et al. 2019) . Early-life stages are particularly sensitive to environmental conditions
269 (English et al. 2016; West-Eberhard 2003). Consequently, development during early-life in a
270 captive environment could affect the way an individual responds to environmental variation once
271 released (Munch et al. 2018), and thus its fitness.
272 The consequences of changes depends on whether the ability to plastically respond to
273 environmental changes determines fitness for a given species in the wild environment. For
274 example, if there is a positive association between how quickly an individual responds to
275 environmental variation (the slope of the plastic response) and fitness (Fig. 4A), reduced plastic

responses caused by captivity could negatively impact the success of reintroduction or supplementation efforts. That said, if there is no relationship observed between fitness and the plastic response (Fig. 3B) it may not be as important to monitor or put effort into determining how to prevent the loss of this response during captive management. While likely challenging to measure, it may be worthwhile to investigate if and how (and how commonly) captivity alters plastic responses in wild conditions and how to create environmental conditions in captivity that can maintain appropriate plastic responses in the wild. Evolutionary change in captivity, or environmental differences during development could alter how individuals respond to these cues in the wild (Fig. 3).

A sampling design challenge will be to measure plastic responses of 1) wild individuals to captivity, 2) wild individuals to natural environmental variation, and 3) previously captive individuals to natural environmental variation (Fig. 2). Often hundreds of individuals are required for statistical power and each of these individuals needs to be repeatedly measured across environmental contexts (Dingemanse & Dochtermann 2013). Software like the SQuID (Statistical Quantification of Individual Differences) could be used before data collection to design data collection protocols that will ensure results can help improve a management programs ability to detect plasticity or whether an existing data set is adequate to statistically detect plasticity (Allegue et al. 2017).

Understanding the implications of differences between wild and previously captive plastic responses to natural environmental variation will require associated fitness data (Fig. 3). In many conservations management programs, data will only exist when individuals are released, and if they are monitored *in situ*. Regardless, we argue it is important to collect and to monitor change over time in captive populations, which should be feasible, to better understand and

lessen the impacts captivity. Shifting to a One Plan Approach and collecting phenotypic measurements on key traits in the wild and captivity will enable us to begin to understand whether captivity is strongly impacting plasticity of managed populations.

Box 1 Measuring plasticity

Quantifying plasticity allows us to try to measure the contribution of non-genetic responses to environmental change to overall population level phenotypic change. Individual responses can be measured as a straight line connecting an individual's average phenotype in the captive and wild environment (Fig. 2). The intercept of such a line indicates the average trait value of an individual and the slope connecting the environment-specific trait values indicates the individual's response to captivity (Fig. 2). Individual plastic responses are usually measured in multilevel/hierarchical/mixed models (Martin et al. 2011). Within the studied population, individuals could have the same response (Fig. 2B) or might vary in their response to captivity (Fig. 2C). Differences among individuals could be caused by genetic or permanent environmental differences (environmental effects that have a persistent effect on an individual's phenotype; see (Kruuk 2004; Wilson et al. 2010). Like individual responses, family groups might have similar (Fig. 2D) or different responses (Fig. 2E) to captivity (Gienapp & Brommer 2014).

4. Parental and indirect genetic effects

Both parental effects and social interactions (*i.e.* indirect genetic effects on an individual caused by the expression of genes in another individual, either a parent or conspecific) can have substantial effects on the phenotype of an individual. These indirect effects can be heritable and could impact the adaptive potential of a trait (*e.g.* Moiron et al. 2020). Because captivity could

alter both parental effects and social interactions, the impacts of indirect genetic effect could vary drastically between wild and captive populations. Monitoring wild and captive social networks can allow measurement of the variance in a trait explained by interactions among individuals (Thomson et al. 2018). Detecting differences among social networks of captive and wild populations is important because of 1) the direct impacts a change in network might have on fitness or fitness related traits; and 2) the potential effects of an altered network on the rate of evolutionary change in captive versus wild environments.

In many species parents provide cues or care for offspring that can be altered by changes in environmental conditions which are likely to result from captivity (Munch et al. 2018). Because of the potential long-term impacts of an altered developmental environment, especially for hand-reared animals, it may be particularly important to study how the captive developmental environment affects offspring phenotypes (English et al. 2016). For example, in common marmosets (*Callthrix jacchus*) early life exposure to higher fat diets increases the probability of post-weaning obesity, and the milk from captive marmosets tends to have higher fat content than wild marmosets (Power et al. 2008; Tardif et al. 2013). Further, mother marmosets in captivity varied in their milk composition, suggesting that genetic and/or environmental differences exist among mothers that have health consequences for their offspring (Power, Oftedal, & Tardif 2002).

Beyond parental effects, social interactions among individuals can affect the phenotypes expressed in a population (Fisher, Haines, et al. 2019; Fisher, Wilson, et al. 2019; Laskowski, Wolf, & Bierbach 2016). For example, mates and neighbours can affect an individual's breeding time (Fisher & McAdam 2019). The impact of this social interaction has been observed in common terns (*Sterna hirundo*), where the breeding time of females is affected by their mate,

and in North American red squirrels (*Tamiasciurus hudsonicus*), where breeding time can be influenced by neighbouring squirrels (Moiron et al. 2020; Fisher, Wilson, et al. 2019). Further, impacts of indirect genetic effects likely depend on the number of conspecifics an individual interacts with (Fisher & McAdam 2019), which has the potential to be altered by captivity.

5. Putting it all together: opportunities limitations of current studbooks and preventing phenotypic change in captivity identified by quantitative genetic analyses

Application of quantitative genetics to *ex situ* and *in situ* conservation programs will be limited by the quality and amount of data available. However, studbooks for conservation breeding are routinely maintained a variety of platforms, from Excel and Access databases to dedicated software such as Poplink (Faust et al. 2019). Currently approximately 1400 conservation studbooks are maintained in the web-based portal ZIMS for Studbooks (Species360 Zoological Information Management System. Retrieved from http://zims.Species360.org). These options provide varying options for data storage, manipulation, and export.

Regardless of format, studbooks typically include basic data that is needed for quantitative genetic analysis, in the form of pedigrees and life history events. Studbook pedigrees can be simple pedigrees noting discrete parentage but also allow for the incorporation of parentage "assumptions" that can be used to assign animals to groups in cases where pedigree is unknown or to create cohorts for the study of gene flow. Additionally, the commonly used studbook applications include an option to incorporate User Defined Data Fields (UDFs). These fields can be used to record phenotypic data or quantitative genetics output such as breeding value.Studbooks are databases commonly exported into analytical softwares (e.g. PMx, Ballou et al. 2020) that are used to determine mate-pairings through mean kinship list. PMx can also be used compile life history events,generate demographic life tables,to determine fecundity rates,

breeding seasonality, and other metrics of interest in the study of phenotypic change. As with studbook softwares, PMx allows for the importation of UDF fields that can be added to mean kinship lists, such as breeding value, which can then be considered in constructing pairing decisions. Therefore, the outcomes of different gene flow, social management, and breeding strategies which incorporate quantitative genetics analyses can be modeled and tested with regards to gene diversity (probability-based estimate of heterozygosity) retention and inbreeding coefficients.

It is therefore clear that software exists that is needed to support quantitative genetics analysis. The challenge remains, however, of how quantitative genetics can be incorporated into management paradigms for *ex situ* populations. Studbooks and associated analytical software including PMx and Vortex allow for the (Lacy & Pollak. 2021). These programs allow us to explore how manipulating social groupings, housing conditions, husbandry methods, setting informed schedules of geneflow, and adjusting pair selection might impact current management.

Accurate studbook records are crucial for the preservation of a long-managed species; incorrect registration, administration errors, and limited founder information will compromise pedigree authenticity. Lineages and pedigree data must be accurate for effective application of quantitative genetic analyses; although some genetic variances can still be estimated without bias if errors in paternity assignment are random (Charmantier & Réale 2005; Firth et al. 2015). In addition, repeated measurements within and across environments/facilities are required to account for measurement error and to measure plasticity. Pairing recommendations, either using quantitative genetics or traditional pedigree-based inbreeding coefficients, will always be presented with logistical and statistical limitations. Despite these limitations, the use of quantitative genetics in study systems with adequate data and with proper acknowledgement of

uncertainty present the potential to improve management of *ex situ* and *in situ* recovery programs.

In our view, the key promise that quantitative genetics provides to conservation breeding programs is the ability to disentangle the processes that lead to phenotypic change in captivity. Quantifying the relative contribution processes to phenotypic changes will enable adaptive management and a prioritization of resources to the processes that most contribute to changes in captivity. Quantitative genetic techniques provide a set of tools that allow us to try to determine if more (or less) effort is needed to prevent causes of phenotypic change in captivity (plasticity, evolution, social environment), in addition to current best practices such as minimizing inbreeding by careful mate-pairing selection based on mean kinship.

Conclusions

If restoring previous ecological conditions for a species at risk is impossible, conservation must necessarily focus on maintaining or improving the adaptive potential of populations (Chevin & Lande 2010). As the goal of *ex situ* populations is, ultimately, the conservation of the species in the wild, their management must ensure that supported populations can adapt to changing conditions in the wild. Predicting such adaptation will depend on understanding how selection operates and is changing in the wild, how much additive genetic variance is present for selected traits, and the suite of plastic responses available to a population (Sultan 2015; Gienapp & Brommer 2014).

Determining whether and how any evolutionary or plastic responses result in demographic changes remains a challenge for population biologists (Hendry 2016; Janeiro et al. 2017). However, some models have been developed that try to predict when plasticity or evolution might prevent the extinction of a population (Vedder, Bouwhuis, & Sheldon 2013;

Chevin & Lande 2010). The goal of *ex situ* populations is ultimately to directly support conservation efforts for wild populations, for example through population augmentation. As such, *ex situ* and *in situ* partners should work together to quantify the wild population as changes due to captivity will directly impact program success, which is the intent of the One Plan Approach. A particularly important parameter is the additive genetic variance of fitness. This metric should be equivalent, in theory, to the rate of genetic evolution in a population (Bonnet, Morrissey, & Kruuk 2019; Fisher 1930; de Villemereuil et al. 2016). Thus, comparison of the additive genetic variance of fitness might indicate how quickly genetic evolution is occurring in wild versus captive populations. Finally, because changes in social interaction are likely in captivity and could impact rates of evolutionary change (Fisher & McAdam 2019), it may be to determine how evolutionary rates might change because of altered social interactions in captivity.

Integrated planning and management of wild and captive populations in a One Plan Approach can improve the impact of conservation efforts for species at risk (Lees et al. 2021). Here, we present and provide support for the argument that quantitative genetic analysis is a powerful tool that can and should be used to enhance *ex situ* population management, and help to integrate *ex situ* and *in situ* activities. Several examples exist demonstrating how phenotypes have come to differ between captive and wild populations, despite best management practices for *ex situ* populations that include efforts to minimize inbreeding. The consequences of these differences are not always known, but, based on evolutionary theory, may impact the fitness of individuals that are used to directly support *in situ* conservation efforts. Using existing pedigrees and phenotypic data in the Animal Model approach, managers can disentangle the causes of these differences and understand their consequences. By extending the approach to include

genetic groups, analyses can both quantify the effects of gene flow on phenotypes, and help identify captive-origin lineages in wild populations. Finally, these models can help managers to measure rates of adaptation in captivity or predict whether captive populations are maintaining the adaptive potential necessary to persist under changing conditions in the wild. Often the largest challenges with respect to joint *ex situ* and *in situ* management will be measuring the pertinent parameters in wild populations, measuring natural selection in the wild, and determining the impact of gene flow from captive to wild populations. Throughout this paper we have highlighted some of the ways these parameters can be measured so that quantitative genetic techniques can aid in the assessment of captive breeding programs and maintenance of adaptive genetic variation. Since the data to run quantitative genetics analyses often already exists (i.e. in studbooks), we see quantitative genetic analysis as a promising tool for conservation breeding that can likely be integrated with existing management methods. In doing so, *ex situ* populations will ensure they are as effective as possible in supporting *in situ* conservation efforts and managers can better identify where to direct limited resources to answer questions critical to improving the management of a species.

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Figure Captions

Figure 1: Key questions that may arise in a conservation breeding program and the data and models that can be used in a quantitative genetic and One Plan Approach framework to answer them. For each question references are provided that either provide code to run similar analyses or provide guides for the suggested model.

Figure 2:

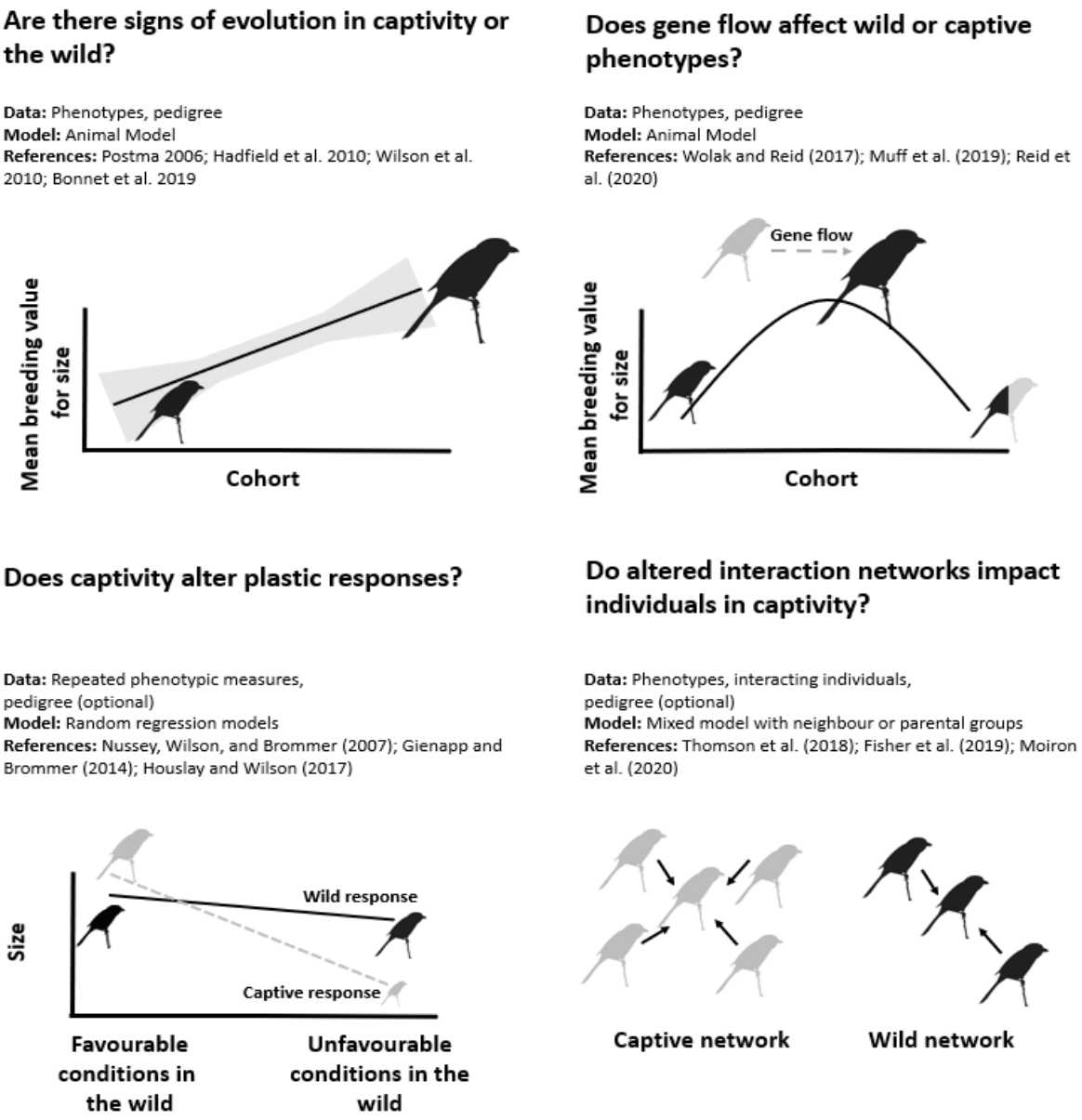
Figure 3: Variation in plastic responses to captivity. If there is a plastic response at the population level (A) individuals in might all have the same plastic response (B) or they could differ in their responses to captivity (C). If individuals differ in their responses, these differences could be caused by environmental differences (D) or genetic differences (E). We illustrate differences in responses as if they were completely caused by environmental (D) or genetic differences (E), but they can be caused by a combination of both environmental and genetic differences.

Figure 4: Three individual (or average family) responses to captivity. Responses to captivity between individuals might differ because of genetic or environmental effects. Individuals might not change a trait value to captivity at all (blue solid line), they may respond to captivity but then return to wild trait values when released (purple dashed line), or individuals might maintain the same captive phenotype despite returning to the wild environment (red dotted line).

Fig 4: Potential effects of captivity on the plastic response of a trait in the wild. Because of evolutionary or environmental effects in captivity the plastic response to environmental conditions post-release might be reduced or eliminated (A), or plastic responses post-release might remain similar to those in the wild (B). The consequences of changes in plasticity will

depend on the relationship between plasticity and fitness in the wild. If plasticity is adaptive it might play an important role for population persistence (C) or plasticity might not be important under wild environmental conditions (D).

730 **Figures**



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732 **Fig. 1**

Getting started with Animal Models

Many of the papers on how to use an Animal Model have been written for ecologists studying populations in the wild. (i.e. *in situ* populations). Many of the concepts and tools will be similar for an analysis of a conservation breeding (*ex situ*) population.

- Wilson et al. (2010) is a good starting point reference
- Pelletier et al. (2009) provide a perspective on using zoo populations to answer questions in quantitative genetics.
- Kruuk (2004) provides an in-depth overview of Animal Models

Books

- Charmantier, Garant, & Kruuk (2014) provide an overview of quantitative genetic techniques for wild populations.
- Falconer & Mackay (1996) provide an in-depth overview of the theory and analysis.
- Lynch & Walsh (1998) and Walsh & Lynch (2018) write detailed backgrounds on many quantitative and population genetic topics and are helpful references for more details on many concepts.
- Chapter 16 of Princée (2016) is an overview of quantitative genetic concepts and helpful guide for using studbooks to do quantitative genetic work.

Breeding Values

- Postma (2006) and Hadfield (2010) discuss statistical concerns in the analysis of breeding values
- Work on big horned sheep (Pigeon et al. 2016), snow voles (Bonnet et al. 2017), and red deer (Bonnet et al. 2019) include example R code for examining trends in breeding values

Measuring Plasticiy

There is broad literature on measuring plastic responses in the context of behaviour, climate change, and experimental studies that will be useful to managers trying to use existing data to measure plastic responses to captivity (Gienapp & Brommer 2014).

- Houslay & Wilson (2017) provide useful tutorials for quantifying individual level plasticity and measuring selection on plasticity using the R package MCMCglmm.
- From a perspective of behavioural traits detailed guidelines on the sampling schemes needed to measure different components of plasticity are provided by Dingemanse & Doctermann (2013) and Allegue et al. (2017) provide education software and a guide to the statistical quantification of individual differences.

Genetic Groups, Inbreeding, and Dominance Genetic Variance

- Wolak & Reid (2017) provide an explanation of genetic groups and code for running a basic analysis and Muff et al. (2019) extends their analysis to allow for different additive genetic variances among groups.
- Tools, software, and tutorials for examining inbreeding effects and estimating dominance genetic variance are provided by Wolak & Keller (2014) and Wolak (2012).

Measuring Selection and Adaptive Potential

Using associations between fitness and our trait of interest we can try to determine if our studied trait is under selection captivity.

- Lande and Arnold (1983) provide the classic and widely used multiple regression method for measuring selection
- Estimates of selection combined with information on heritability of traits can be used to predict responses to selection and compared to the observed trends to evaluate a hypothesis of selection in captivity causing evolutionary change (Queller 2017; Price 1970; Walsh & Lynch 2018)
- Bonnet et al. (2019) measure selection to compare observed and predicted evolutionary changes

Social networks

Differences in social networks over time and between wild and captive environments might contribute to phenotypic changes observed.

- Thomson et al. (2018) provide a tutorial on using Animal Models with multiple matrices to estimate non-genetic contributions to phenotypic variance (including social interactions)

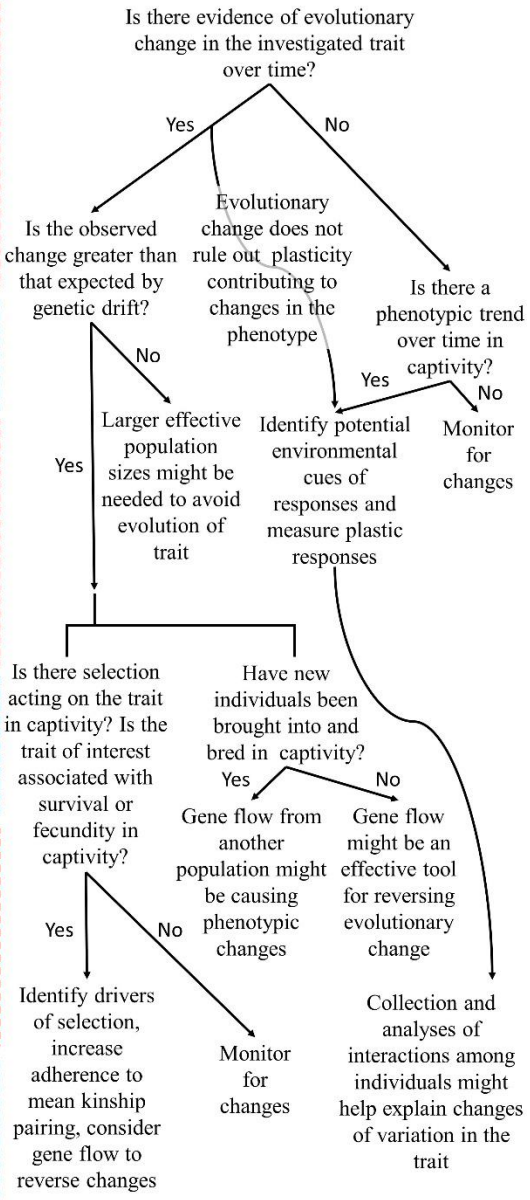
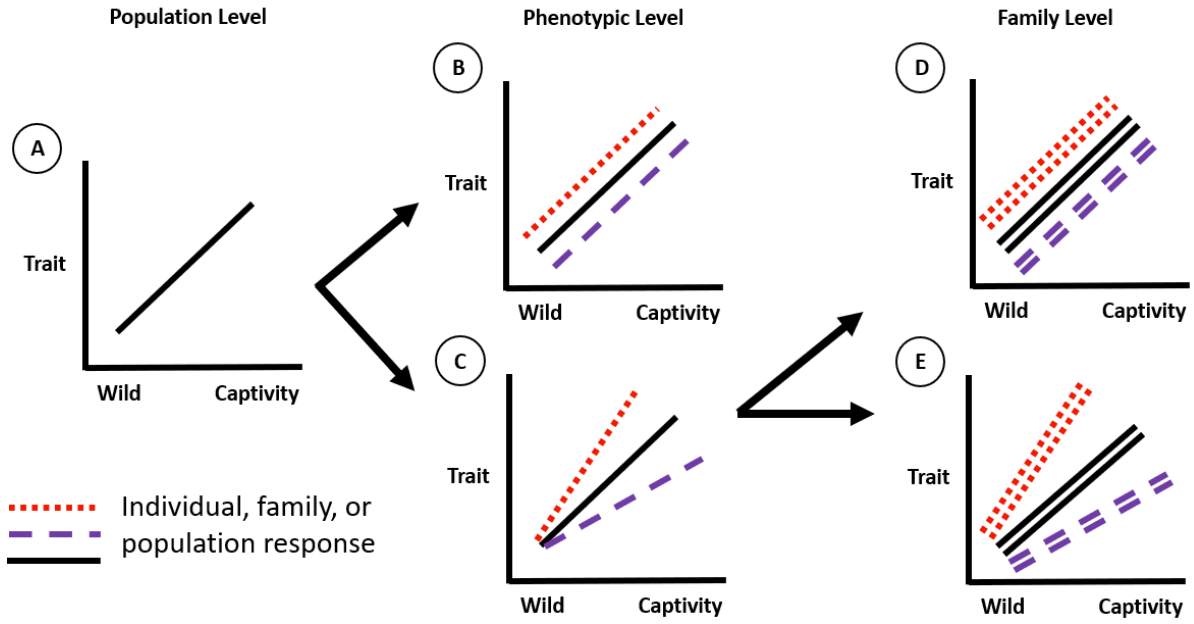


Fig. 2


Population Level
Phenotypic Level
Family Level
A
B
C
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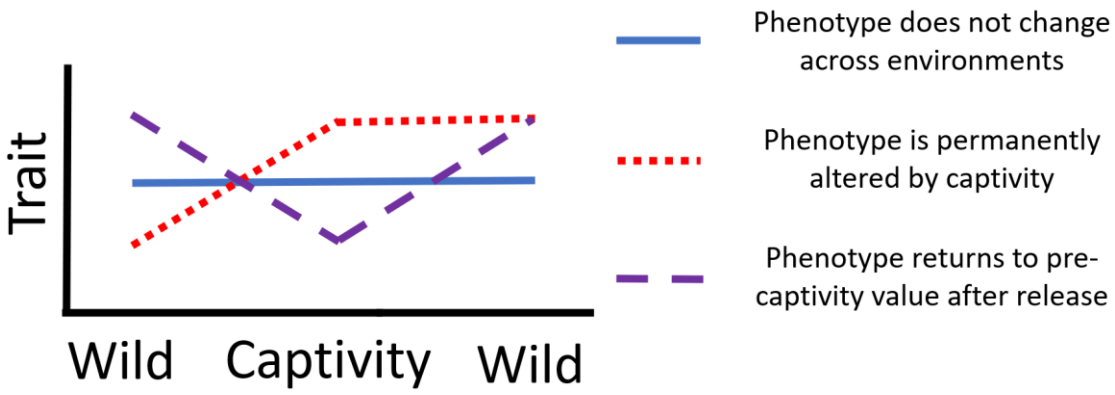
E
Trait
Wild
Captivity
Individual, family, or
population response

Fig. 3



741 **Fig. 4**

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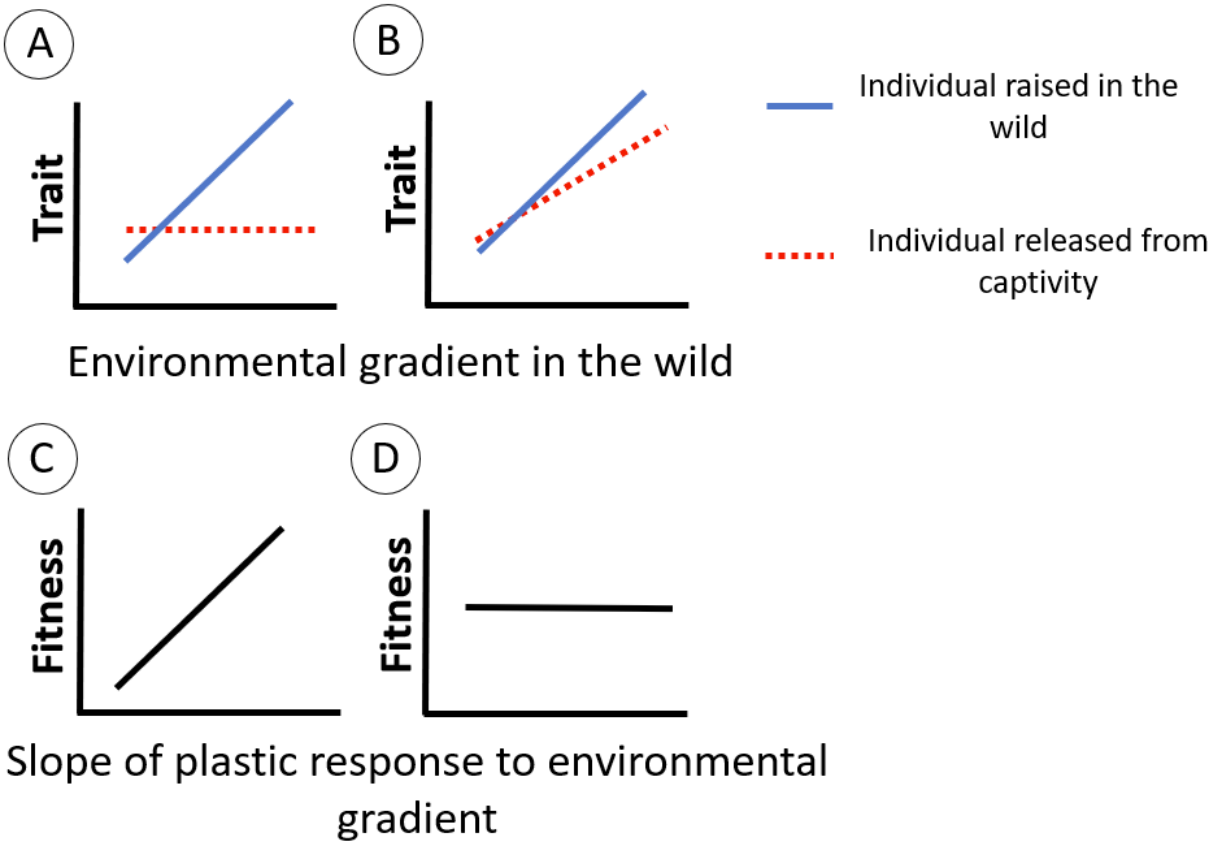
A
B
Trait
Trait
Individual raised in the wild
Individual released from captivity
Environmental gradient in the wild
C
D
Fitness
Fitness
Slope of plastic response to environmental gradient

746

747 **Fig. 5**