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A model with many small shifts for estimating species-specific diversification rates

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Abstract

Understanding how and why diversification rates vary through time, space, and across species groups is 1 key to understanding the emergence of today's biodiversity. Phylogenetic approaches aimed at identifying 2 variations in diversification rates during the evolutionary history of clades have focused on exceptional shifts 3 subtending evolutionary radiations. While such shifts have undoubtedly affected the history of life (1), 4 identifying smaller but more frequent changes is important as well. We develop ClaDS, a new Bayesian 5 approach for estimating branch-specific diversification rates on a phylogeny, that relies on a model with 6 changes in diversification rates at each speciation event. We show using Monte-Carlo simulations that the 7 approach performs well at inferring both small and large changes in diversification. Applying our approach 8 to bird phylogenies covering the entire avian radiation, we find that diversification rates are remarkably 9 heterogeneous within evolutionary restricted species groups. Some groups such as Accipitridae (hawks and 10 allies) cover almost the full range of speciation rates found across the entire bird radiation. As much as 76%11 of the variation in branch-specific rates across this radiation is due to intra-clade variation, suggesting that 12 a large part of the variation in diversification rates is due to many small rather than few large shifts. 13

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Several phylogenetic approaches have been developed for understanding when and on which 15 lineages diversification rates have changed during the evolutionary history of clades (2; 1; 3; 4; 5; 6). 16 Most have focused on 'major' rate shifts, which is convenient methodologically; likelihoods of trees 17 under such models have been used for some time (7). These models correspond to the idea that 18 few rare events, such as key innovations, facilitate the invasion of new adaptive zones, with a 19 drastic impact on diversification rates (8; 9). In these models, outside of few remarkable events, 20 diversification rates are assumed to be homogeneous. However, while major rate shifts linked to key 21 innovations have undoubtedly affected the history of life (1), they are not the only – nor necessarily 22 the most important – source of variation in diversification rates. 23

Shifts in diversification rates are likely quite widespread. Speciation and extinction rates may vary across lineages as a response to the particular biotic and abiotic environment experienced by each lineage (10); they may also vary as a response to traits that affect reproductive isolation such as reproduction mode (11) or pollination and dispersal syndromes (12). Such changes in diversification rates probably occur far more frequently than key innovations, resulting in heterogeneous

diversification rates at much finer taxonomic scales (4). Accounting for such finer scale hetero-29 geneity is crucial if we want to obtain refined estimates of lineage-specific diversification rates and 30 to better understand the processes subtending heterogeneity in the diversification of life. Meth-31 ods of the State-Speciation-Extinction family (13) can in principle better account for these types of 32 heterogeneities, but they require assuming trait-dependency of rates (SI Appendix section 3.5). Non-33 model-based approaches such as the DR statistic (4) can also account for fine-scale heterogeneities. 34 but they are rather *ad hoc* and generally do not perform as well as model-based approaches (14). 35 Here, we develop a new Bayesian approach (ClaDS) for estimating lineage-specific diversification 36

³⁷ rates on a phylogeny that better accounts for the diverse sources of variation in diversification rates ³⁸ that occur during the evolutionary history of clades. Using Monte Carlo simulations, we quantify the ³⁹ ability of ClaDS to faithfully recover both small and large changes in diversification rates. Finally, ⁴⁰ we apply the method to time-calibrated phylogenies for 42 bird clades to evaluate the extent to ⁴¹ which differences in the pace of diversification across the entire avian radiation result from few large ⁴² versus many small events.

⁴³ A new model of diversification rate variation

We consider a birth-death diversification process, the cladogenetic diversification rate shift 44 (ClaDS) model, where diversification rates are inherited at speciation, but with a shift (Fig. 1). 45 At the beginning of the process, the clade is composed of one lineage with speciation rate λ_0 and 46 extinction rate μ_0 . At each speciation event, the two daughter lineages inherit new diversification 47 rates $(\lambda_{i1}, \lambda_{i2})$ and (μ_{i1}, μ_{i2}) sampled from a joint probability distribution ν parameterized by 48 the parental rates λ_i and μ_i . If the change in speciation and extinction rates are assumed to be 49 independent, the λ_i are sampled from a distribution ν_{λ} , the μ_i are sampled from a distribution ν_{μ} , 50 and $\nu = \nu_{\lambda} \times \nu_{\mu}$. Moreover, we allow for the possibility that some extant species are missing by 51 assuming that each extant species is observed with probability f < 1. We derive the probability 52 density of a reconstructed phylogeny under this general model and implement its computation in R 53 (Materials and Methods & SI Appendix sections 2 to 5). 54

We then consider several scenarios in ClaDS where: i) ν_{λ} is a lognormal distribution with 55 parameters $\log(\alpha * \lambda)$ and σ ; the latter ensures that the relative change in rate at speciation λ_i/λ is 56 independent from the parental rate with a mean m given by $\alpha \exp(\sigma^2/2)$; σ controls how constrained 57 daughter rates are (highly constrained for small σ values) and α controls the trend at speciation (i.e. 58 whether daughter rates tend to be higher or lower than parental rates) ii) extinction rates are either 59 negligible ($\mu_i = 0$ for all lineages, ClaDS0), homogeneous across all lineages in the clade ($\mu_i = \mu_0$ 60 for all lineages, ClaDS1) or vary across lineages, but with a constant turnover ε (i.e. $\mu_i/\lambda_i = \varepsilon$ for 61 all lineages, ClaDS2). We use Monte Carlo simulations under ClaDS1 and ClaDS2 (Materials and 62 Methods & SI Appendix section 6) to verify that our likelihood expression is correct (SI Appendix 63 section 6, Fig. S6 to S8). Finally, we implement a Monte Carlo Markov Chain (MCMC) sampler 64 that, given a reconstructed phylogeny, simultaneously estimates both the parameters of ClaDS (λ_0 , 65 α, σ , and either μ_0 or ε) and the speciation rates λ_i at the origin of each branch i of the phylogeny 66 (Materials and Methods & SI Appendix section 7, see also section 8 and Fig. S9 & S10 for a test 67 of the sampler). Branch-specific extinction rates μ_i at the origin of each branch i of the phylogeny 68 are given by μ_0 for ClaDS1 and by $\varepsilon * \lambda_i$ for ClaDS2. In what follows for simplicity we refer to λ_i 69 and μ_i as "branch-specific rates" instead of the more accurate "rates at the origin of each branch". 70 Under these scenarios of the ClaDS process, heterogeneity in speciation rates across lineages 71 is determined on the one hand by a stochastic component (controlled by σ), and on the other 72

hand by a trend component (controlled by m). When the expected daughter rate is equal to the 73 parental rate (m = 1), the resulting trees are relatively imbalanced and tippy (SI Appendix section 74 1, Fig. S1 & S2): lineages that by chance have high speciation rates early in clade's history spread, 75 leading to rates that are heterogeneous across lineages and average rates that increase through time. 76 This sorting effect is exacerbated when the expected daughter rate is higher than the parental rate 77 (m > 1, Fig. S1 & S2), corresponding to a 'niche-piling' scenario where diversity begets diversity 78 (15). To the contrary, when the expected daughter rate is lower than the parental rate (m < 1), 79 corresponding to a 'niche-filling' scenario where diversification gets harder as new species arise 80 (16; 17; 18), the heterogeneity in speciation rates across lineages is reduced, and with a low enough 81 m, the average rate is constant or even decreasing through time (Fig. S1 & S2). Importantly, ClaDS 82 is able to produce the combination of stemmy and imbalanced tree shapes observed in nature, and 83 under a wider set of parameter values for the scenario with constant turnover (ClaDS2) than the 84 scenario with constant extinction rate (ClaDS1, Fig. S1 & S2). 85

86 Performance of ClaDS

⁸⁷ We begin by testing the performance of ClaDS under frequent rate changes and in the absence ⁸⁸ of extinction (ClaDS0) (Materials and Methods). We find that the approach provides unbiased ⁸⁹ estimates of all model's parameters for large enough trees (size 200, Fig. 2); the relative change ⁹⁰ in rate at speciation m is also well estimated (Fig. 2 d). As expected, bias and variability around ⁹¹ parameter estimates increase for smaller trees (Fig. S11 to S14).

ClaDS provides reliable estimates of branch specific speciation rates on average: while low rates
tend to be slightly overestimated and large rates slightly underestimated, ClaDS can detect regions
of the tree with relatively high or low rates (Fig. 3 & Fig. S15 & S16).

When considering also extinctions, focusing on the scenario with constant turnover (ClaDS2) 95 as it generally produced tree shapes closer to those observed in nature, we found that estimates 96 remain accurate at low levels of extinction ($\varepsilon = 0.1$) for both model parameters (Fig. S20) and 97 branch-specific speciation rates (Fig. S21). At high levels of extinction ($\varepsilon = 0.9$), σ and, when 98 the mean change in rate at speciation m approaches 1, branch-specific speciation rates, remain well 99 estimated. It is not the case, however, of the turnover rate ε , α , and branch-specific speciation 100 rates when m < 1, although accounting for extinction does improve inferences over ignoring it (Fig. 101 S20 & S21). When extinction is not accounted for, estimated branch-specific speciation rates are 102 generally lower than realized ones, but higher than realized net diversification rates (Fig. S21C & 103 D). 104

If there are a small number of major rate shifts during the evolution of clades, rather than many small changes (tested here with a single rate shift, Materials and Methods), ClaDS is still able to provide reliable estimates of branch-specific rates (Fig. S17 & S19). The model is also able to detect when two branches in the tree belong to distinct speciation regimes as soon as the difference in rates between the two regimes is large enough (a two-fold increase or decrease in our simulations) and both regimes are represented by a large enough number of branches in the phylogeny (Fig. S19 left). The false detection rate associated to this test is low (Fig. S19 right).

Finally, when comparing the performance of ClaDS to that of two other popular methods for estimating branch-specific rates (the DR statistic and BAMM (4; 5)) under various simulation schemes (SI Appendix section 9), we find, overall, that ClaDS outperforms the other methods for trees simulated with both many small shifts at speciation (Fig S22 & S26 to S28) and gradual changes along branches (Fig S24), and that it performs as well as other methods for trees simulated with few large shifts (Fig. S23) and variations in extinction rates (Fig. S25). Importantly, ClaDS provides reliable estimates of the variance in rates under both the many small and the few large shifts scenarios (Fig. S30 & S32), while BAMM underestimates the variance in rates under the many small shifts scenario (Fig. S31). ClaDS and BAMM provide low (and similar) estimates of the variance in rates for trees simulated under constant rates (Fig. S29); in the presence of rate heterogeneity, they tend to underestimate rather than overestimate rate variance (Fig. S30 to S33), and BAMM more so than ClaDS.

124 Diversification across the avian radiation

When applying ClaDS to major bird clades (Materials and Methods), we found that lineage-125 specific speciation rates can vary by as much as 2 orders of magnitude within clades (Fig. 4e). In 126 Accipitridae (hawks and allies) for example, speciation rates range from 0.013 to 1.2 Mya⁻¹, which 127 almost covers the range found across the entire avian radiation $(0.013 - 5 \text{ Mya}^{-1})$. Comparable 128 within-clade heterogeneities occur in other clades, such as Muscicapidae & Turdidae, Tyrannidae 129 and *Parulidae* (Fig. 4e, in orange). Such within-clade heterogeneities are way above heterogeneities 130 arising from estimation error (Fig. S29). A variance partitioning of speciation rates across the bird 131 radiation (Material and Methods) reveals that intra-clade variance accounts for 76% of the total 132 variance. In comparison, BAMM would have estimated much less within-clade heterogeneities. 133 with an intra-clade variance accounting for only 46% of the total variance (Fig. S34). Given our 134 simulation results, this suggests that BAMM underestimates the intra-clade variance, and thus that 135 many small shifts occurred during bird diversification that BAMM cannot detect. 136

While some clades have very heterogeneous rates, others are quite homogeneous, such as Ram-137 phastides, Alcedinidae, Charadrii and Phasianidae (Fig. 4e, in blue). We did not find any signifi-138 cant relationship between the variance in rate values within a clade and the size (p = 0.49) or age 139 (p = 0.93) of the clade, indicating that rate heterogeneity is not a mere result of time or species 140 richness; rather, rates are pretty constrained in some old and rich clades (e.g. *Phasianidae*) as well 141 as in some younger or less species-rich clades (e.g. Alcedinidae), while they can take very different 142 values for distinct species of both old or young clades (e.g. *Parulidae*, *Tyrannidae*). The wide range 143 of σ estimates found across bird clades (Fig. 4a), in comparison with rather tight α and m estimates 144 (Fig. 4b & c), suggests that differences in rate heterogeneity across clades are due to the stochastic 145 component of the model, rather than its trend component. Indeed, α ranges between 0.38 and 1.02 146 (with a mean of 0.71, Fig. 4b), which indicates a universal tendency for daughter rates to be smaller 147 than ancestral ones, with a decline that is comparable in magnitude across clades. There is only 148 one case when m is clearly above 1 (1.12 in *Campephagidae*); this corresponds to a case when most 149 shifts correspond to rate declines, but the few shifts that correspond to rate increases are much 150 bigger in magnitude. 151

152 Discussion

Models of diversification applied to phylogenies of extant taxa are increasingly used to understand the long-term evolution of biodiversity. These approaches have highlighted how much variable diversification rates can be across the tree of life, and the importance of these variations for explaining current patterns of diversity (the so-called 'diversification rate hypothesis' (19)). Yet, despite recent advances in phylogenetic approaches for understanding diversification, detecting diversification rate variations and the processes underlying these variations remain a challenge spurring a heated debate (20; 21; 22; 23; 24). In this paper, we have developed ClaDS, a new model with frequent small variations in diversification rates together with a method to infer branch-specific diversification rates on a phylogeny. We have shown using simulations that ClaDS accurately estimates branch-specific rates. Finally, applying ClaDS to the bird phylogeny, we have shown that small but frequent changes have been instrumental in shaping global rate variation during the avian radiation.

One of the major advances of our model is to rely on an explicit and exact computation of 165 the likelihood in the presence of extinction. Previous likelihood expressions under diversification 166 models with variable rates were computed with the underlying assumption that shifts do not occur in 167 extinct lineages (1; 3; 5), except in the case of trait-dependent models (see SI Appendix section 3.5 for 168 further discussion); this is biologically implausible and can introduce an important bias depending on 169 the intensity of extinction (22, 23). In ClaDS we relax this inconvenient assumption by integrating 170 appropriate Ordinary Differential Equations (ODEs, SI Appendix section 3). This allows computing 171 likelihoods accounting for rate shifts on extinct lineages, which has so far only been done through 172 intense and impractical Monte Carlo simulations (22). The ODE integration is computationally 173 intensive, but not as much as to prevent running ClaDS on reasonably sized trees, as we illustrated 174 on the bird phylogenies. Despite this significant improvement, our simulations show that estimating 175 extinction remains difficult, in line with the well-known difficulty of estimating extinction from 176 phylogenies of only extant taxa (25). This is true even when simulations and inferences are performed 177 under simple models with constant extinction or turnover rate. Despite difficulties in estimating 178 extinction rates, properly accounting for extinctions in the likelihood computation is satisfying on 179 a biological and theoretical standpoint, and, as we have shown, improves the estimation of both 180 model parameters and branch specific speciation rates. 181

Another advantage of ClaDS is to avoid using model selection to select the number and location 182 of rate shifts, by assuming that shifts happen at each speciation event. In the frequently-used 183 MEDUSA method (1), stepwise AIC is used to perform this selection, with associated statistical 184 limitations (21). In the approach of Morlon et al. (3), likelihood ratio tests are performed to 185 select the number of shifts, but the location of these shifts needs to be fixed a priori. Finally, in 186 the popular Bayesian analysis of macroevolutionary mixtures (BAMM, 5), reversible jump mcmc 187 is used, with a prior on the number and location of shifts that may influence the results (22; 26). 188 ClaDS avoids these limitations, while still performing well in the presence of rare rate shifts with 189 large effects. 190

Maybe more importantly than these technical aspects, ClaDS represents a view of evolution 191 distinct from that of previous models: existing models focus on a small number of discrete diversifi-192 cation shift events spread across the tree, an idea that fits well with the concept of key innovations 193 driving major diversification shifts (3; 1; 5); to the contrary, ClaDS allows for frequent variations 194 linked, for example, to changes in environmental conditions or associations with continuously evolv-195 ing heritable traits. Accordingly, ClaDS does not aim at identifying specific nodes in a phylogeny 196 subtending major diversification rate shifts. Rather, it assumes that rate shifts happen at each spe-197 ciation event and focuses on estimating branch-specific diversification rates. In nature, both many 198 shifts with small effects and few shifts with large effects are likely to occur, and so it is reassuring to 199 see that ClaDS can properly estimate branch specific rates under these two evolutionary processes. 200 Accurately estimating branch specific diversification rates is a critical step for understanding 201

the processes that lead some species groups to diversify faster than others. For example, species' traits can modulate their propensity to diversify, and tests based on assessing the correlation between

trait values at a phylogenies' tips and metrics capturing the diversification rate of the corresponding 204 lineages ('tip-rate correlations' tests) have been developed to detect such effects (27). These types 205 of tests have regained interest lately (see e.g. STRAPP (20), FiSSE (28), ES-sim (29), pNoTO 206 (30; 31)), as an alternative or complement to state-dependent speciation-extinction (SSE) methods 207 that jointly model diversification dynamics and trait evolution (32; 13). However, current metrics 208 of species-level diversification rates have limitations. Some of them are derived from BAMM (5) 209 and thus reflect a limited set of diversification rate regimes rather than lineage-specific rates per se. 210 Others are summary statistics describing phylogenetic branching patterns, such as the "node density" 211 (27), the "equal split" (33), or the "diversification rate" (4) statistics; they are not rigorously derived 212 from speciation-extinction models, and they generally perform worse than model-based approaches 213 (14) (SI Fig. S22 to S27). ClaDS provides tip level estimates of diversification rates that should 214 help identifying the specific features of a species that make it more or less prone to diversify. In 215 the future, we could imagine a hybrid between SSE and ClaDS that would account for both trait-216 dependent diversification and residual rate variation not accounted for by the trait, in the spirit 217 of hidden states models (HiSSE (34), MSBD (6)). This could for example be done by imputing in 218 ClaDS specific trend parameters α corresponding to trait shifts. 219

Changes in biotic and abiotic conditions can also modulate the tempo of diversification, leading 220 diversification to be faster during some time periods than others. ClaDS accommodates temporal 221 trends in rate variation, without the need to specify a specific form for this variation a priori as 222 in time-dependent diversification models (35; 16; 3), and with more flexibility than models where 223 a discrete rate shift at a given time point affects the whole clade (36). In the future, the trend 224 parameter α could depend on measured environmental variables; this would allow directly test-225 ing for an effect of these environmental variables on diversification, as in environment-dependent 226 diversification models (37; 38), while accounting for residual rate variation. 227

Our ClaDS analysis of the avian radiation reveals a series of compelling results. First, and even 228 though these estimates need to be taken with caution, we find significant (non-zero) turnover rates. 229 Second, we find a pervasive pattern of declines in speciation rates over time congruent with previous 230 studies (16; 17; 18). Third, we find a remarkable heterogeneity in speciation rates, with per-lineage 231 rates that vary by two orders of magnitude $(0.01 - 5 \text{ Mya}^{-1})$, peaking around 0.15 Mya⁻¹. Fourth, 232 we find that variability in speciation rates can be as high within than between clades, suggesting that 233 rate variation may be much more widespread than currently thought and implemented in existing 234 models. Finally, we highlight a remarkable difference across clades in terms of how constrained 235 their diversification rates are, with plovers and allies on one extreme, and hawks and allies on the 236 other extreme of a continuum between rates that vary less than 2 fold to more than 80 folds (Fig. 237 4e, f). These differences in how constrained diversification rates are striking and remain to be 238 explained: these could be linked to differences in genetic architecture, developmental constraints. 239 or biogeographies, for example. 240

Together, our results refute the idea that speciation may be clock-like (39) and emphasize the need to consider diversification models that embrace the pervasive heterogeneity of the evolutionary process. Further, they promise a bright future for approaches, such as ours, that relax the speciation clock similarly to the way the molecular clock has been relaxed (40; 41; 42): similar to molecular rates, diversification rates vary according to many small shifts.

Material and Methods

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²⁴⁷ Likelihood, simulation and Bayesian implementation of ClaDS

Likelihood We derived the probability density of observing a reconstructed phylogeny with 248 branches delimited by the times $(t_i, s_i)_{i \in [1,N]}$ and speciation and extinction rates λ_i and μ_i at 249 time t_i (i.e. at the origin of each branch) under the cladogenetic diversification rate shift model 250 (SI Appendix section 2 to 4). We note Θ the parameters of the new rate distribution ν . The 251 probability density can be derived from three main probability functions: $\Phi_{\Theta,\lambda,\mu}(t)$, the probability 252 that a lineage alive at time t has speciation and extinction rates λ and μ and no descendant in 253 the reconstructed phylogeny; $\chi_{\Theta,\lambda,\mu}(t)$, the probability that a lineage alive at time t has speciation 254 and extinction rates λ and μ and exactly one descendant species sampled in the reconstructed 255 phylogeny; and $\xi_{\Theta,\lambda,\mu}(t,s,\lambda_1,\lambda_2,\mu_1,\mu_2)$, the probability that a lineage alive at time t has speciation 256 and extinction rates λ and μ and gives birth at time s to two daughter lineages that respectively 257 have speciation rates λ_1 and λ_2 and extinction rates μ_1 and μ_2 . We obtained ordinary differential 258 equations (ODEs) to solve for Φ , χ and ξ by considering the different events that can happen during a 259 short time interval Δ_t and making Δ_t tend to 0 (SI Appendix section 3.1 to 3.3). Under a pure-birth 260 model and for a completely sampled phylogeny, the ODEs can be solved analytically (SI Appendix 261 section 4). In the presence of extinction and/or if there are missing taxa in the phylogeny, Φ , χ and 262 ξ are computed by integrating the ODEs numerically, which is more computationally intensive (SI 263 Appendix section 5). 264

Simulation We implemented a simulation algorithm of ClaDS in the R-package RPANDA 265 (43, function sim ClaDS) (SI Appendix section 1). In this implementation, the speciation rates of 266 daughter lineages are drawn independently from a distribution ν_{λ} . Their extinction rates are either 267 drawn from a distribution ν_{μ} , given by μ_0 (constant extinction rate scenario, ClaDS1), or given by 268 $\varepsilon * \lambda_{s_{i,1}}$ and $\varepsilon * \lambda_{s_{i,2}}$ (constant turnover scenario, ClaDS2). ν_{λ} and ν_{μ} can be normal, log-normal, 269 or uniform distributions. The simulations are continued until a stopping criterion is met, either a 270 fixed time or a fixed number of species. In addition, sim ClaDS takes as one of its arguments a 271 parameter p controlling the probability that a shift happens at each speciation event (the default 272 value p = 1 corresponds to the model investigated here), and a parameter n, controlling a maximum 273 number of shifts (the default value n = INF corresponds to the model investigated here; if n takes 274 a finite value, then p switches to 0 as soon as n switches have occurred). 275

Bayesian implementation We implemented a Bayesian inference approach for fitting ClaDS 276 to reconstructed phylogenies in the R-package RPANDA (43, function fit ClaDS) (SI Appendix 1 277 section 7). In order to fit ClaDS0 (no extinction), we use a Metropolis within Gibbs MCMC (Monte 278 Carlo Markov Chain) sampler with a Bactrian proposal (44), and convergence is monitored by 279 running three MCMC chains in parallel and computing Gelman statistics (45). In order to fit 280 ClaDS1 and ClaDS2 (i.e. in the presence of extinction), and/or if there are missing taxa in the 281 phylogeny, we use the faster blocked Differential Evolution (DE) MCMC sampler, with sampling 282 from the past of the chains (46). We also ran three chains. For both with and without extinction, 283 we use an inverse gamma prior with shape parameter 1 and rate parameter 0.1 for σ and a flat 284 prior for all other parameters. Each estimate was computed as the mean over the iterations and 285 the three chains. 286

²⁸⁷ Testing the performance of ClaDS

We performed intensive simulations to test the performance of ClaDS. We tested both the performance of ClaDS under data generated by this model, and its performance for data generated with a discrete speciation rate shift. In order to assess the performance of ClaDS under a large parameter set and for a variety of tree sizes, we considered primarily the pure birth model with completely sampled phylogenies. We also considered the model with extinction and/or missing taxa, but only in a limited, computationally tractable, set of simulations.

Many small rate shifts (ClaDS model) For each combination of the following parameter 294 values, we simulated 20 pure birth trees, stopping the simulation when a target tip number of 50. 295 100 and 200 was reached. λ_0 was fixed at 0.1, σ was taken in $\{0, 0.1, 0.18, 0.26, 0.34, 0.41\}$, and α in 296 $\{1.2, 1.1, 1, 0.95, 0.9, 0.7\}$. We recorded the realized speciation rate on each branch in each of these 297 simulations. We then ran ClaDS on each simulated tree using our run ClaDS0 function. Lastly, 298 we compared the retrieved estimates of λ_0 , σ and α to their simulated values; we also compared 299 the retrieved estimates of branch-specific speciation rates for each tree to their realized values by 300 performing linear regressions and computing relative errors (ratio of estimated versus realized rates). 301 In order to explore the model accounting for extinction, we simulated 5 trees of size 100 under 302 4 scenarios with constant turnover rate (ClaDS2), and for each condition either low ($\varepsilon = 0.1$) or 303 high ($\varepsilon = 0.9$) turnover (8 scenarios in total). We focused on the scenario with constant turnover, 304 because this scenario produced tree shapes similar to those of empirical trees under a wider set 305 of parameter values than the alternative scenario with constant extinction rate (Fig. S2.1 versus 306 S2.2). Maintaining a balance where extinction is neither negligible nor driving clades to extinction is 307 also easier under ClaDS2. The four scenarios were as follows: i) high heterogeneity and decreasing 308 rates : $\lambda_0 = 0.1$, $\sigma = 0.7$, $\alpha = 0.7$ (mean relative change m = 0.9), ii) no heterogeneity and 309 constant rates (equivalent to constant rate birth-death trees) : $\lambda_0 = 0.1, \sigma = 0, \alpha = 1 \ (m = 1)$ 310 iii) Low heterogeneity and no average change in rate at speciation : $\lambda_0 = 0.1$, $\sigma = 0.2$, $\alpha = 0.98$ 311 (m = 1) iv) Low heterogeneity and decreasing rates : $\lambda_0 = 0.1$, $\sigma = 0.2$, $\alpha = 0.88$ (m = 0.9). We 312 recorded the realized speciation rate at the beginning of each branch in each of these simulations. 313 We then ran ClaDS on each simulated tree using our R function, both accounting (run ClaDS) 314 and not accounting (run ClaDS0) for extinction, the latter to evaluate the bias resulting from not 315 accounting for extinction when it occurs. Lastly, we compared the retrieved estimates of σ , α , m 316 and ε for each tree to their simulated values. We did not compare the retrieved estimates of λ_0 to 317 the simulated values, because the estimates correspond to the speciation rate at the crown while 318 the simulated values correspond to the speciation rate at the stem. These two rates can be very 319 different in the presence of extinction. We also compared the retrieved estimates of branch-specific 320 speciation rates and net diversification rates (speciation minus extinction) for each tree to their 321 realized values by performing linear regressions and computing relative errors. 322

Few large rate shifts We also tested the behavior of ClaDS under a 'key innovation' scenario with only a single large rate shift during the history of the clade. In order to simulate this scenario, we used our sim_ClaDS function with λ_0 (the background rate in this case) fixed at 0.1, p (the probability that a rate shift happens at each speciation event) fixed at 0.02, and n (the maximum number of shifts) fixed at 1. The new speciation rate took a series of values from lower (uniformly drawn in [0.025, 0.03], [0.03, 0.05], [0.05, 0.1]) to higher (uniformly drawn in [0.1, 0.15], [0.15, 0.2], [0.2, 0.3], [0.3, 0.4], [0.4, 1]) than the background rate. For each of these rate values, we simulated

phylogenies of size 200 until we had a good coverage of subclade new rate/size combination (from 330 300 to 500 phylogenies per parameter set). In such simulations, there are only two distinct rates 331 across the tree: the background rate and the new rate. We then ran ClaDS on each simulated tree 332 using our run ClaDS0 function and compared the retrieved estimates of branch-specific speciation 333 rates for each tree to their simulated values by performing linear regressions and computing relative 334 errors. Finally, we tested whether the model is able to detect if two branches in the tree belong to the 335 same or distinct speciation regime(s): two branches were considered to have significantly different 336 rates (distinct regime) if the difference in the estimated speciation rates between the two branches 337 was of constant sign on at least 95% of the MCMC chains. We assessed the significance of speciation 338 rate differences (and the corresponding sign) for all pairs of branches in the simulated trees. Finally, 339 we quantified the 'proper detection' rate as the proportion of pairs for which a significant difference 340 was inferred when the two branches indeed belonged to distinct speciation regimes (i.e. one had 341 the background speciation rate and the other one had the new rate), and the 'false detection' rate 342 as the proportion of pairs for which a significant difference was inferred, while the two branches 343 actually belonged to the same speciation regime (i.e. both had either the background speciation 344 rate or the new rate). 345

³⁴⁶ Diversification of the avian radiation

We applied ClaDS, accounting for extinction (ClaDS2, model with constant turnover) and in-347 complete sampling, to bird phylogenies. We used the MCC trees from Jetz et al. (4) with only the 348 species for which there was molecular data, along with the associated sampling fractions provided 349 by the authors. Most of these are family level phylogenies, with some spawning two or a few more 350 families. We ran the model on the 42 bird phylogenies with more than 50 species. We report the 351 distribution of branch-specific speciation rates across the 42 clades, as well as individual distri-352 butions for each clade. We partitioned the total variance of the logarithm of the branch specific 353 speciation rates $\left(\sum_{i} \left(\ln(\lambda_i) - \overline{\ln(\lambda)}\right)^2$, where $\overline{\ln(\lambda)}$ is the mean of the log of the speciation rates for 354 all branches in all clades) between the intra-clade $\left(\sum_{i} \left(\ln(\lambda_i) - \overline{\ln(\lambda_{c_i})} \right)^2 \right)^2$, where c_i is the clade to 355 which branch i belongs and $\overline{\ln(\lambda_c)}$ is the mean of the log of the speciation rates for all branches in 356 clade c) and inter-clade variance $\left(\sum_{i} \left(\overline{\ln(\lambda_{c_i})} - \overline{\ln(\lambda)}\right)^2\right)$. We also tested for a potential correlation 357 between the variance in rates and the size (number of tips) and age (crown age) of clades using 358 PGLS (47) (two-sided test) on the Hacket backbone phylogeny provided in Jetz et al. (4). 350

360 Data availability

The simulated phylogenies used to test the method are available at https://github.com/OdileMaliet/ClaDS/tree, in the file named trees.zip. All the empirical data used for the analysis were obtained from Jetz et al. (2012) study, and are available on https://www.nature.com/articles/nature11631.

364 Code availability

The R functions used to simulate and fit the model are available in the RPANDA R-package. All the codes used to test our method are available on the github repository https://github.com/ OdileMaliet/ClaDS.git.

368 Competing interests

The authors declare no competing interests.

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481 Author contribution

⁴⁸² OM, FH and HM designed the study and performed research. OM contributed new analytical ⁴⁸³ tools and analysed data. OM, FH and HM wrote the paper.

484 Figure legends

Figure 1 Illustration of the cladogenetic diversification rate shift model (ClaDS). Upper panel: cartoon phylogeny simulated under ClaDS, with branches colored according to their speciation rate (red: high rate, blue: low rate). Speciation rates are inherited at speciation with a shift determined by the probability distribution ν_{λ} (here taken to be a lognormal distribution, insert). Red arrows indicate speciation events (and associated diversification rate shifts) that are hidden in the reconstructed phylogeny as a result of extinction.

Figure 2 Recovery of ClaDS parameters. Estimated λ_0 (a), α (b), and σ (c) inferred with ClaDS, and (d) resulting estimation of $m = \alpha * \exp(\sigma^2/2)$. Violin plots: distribution of estimated parameters; yellow cross: median; thick black line: quartiles; red lines: values used in the simulations. Different shades of brown correspond to: in a and c, the values of α used in the simulations (1.2 (light), 1, 0.9, 0.7 (dark)); in b and d, the values of σ used in the simulations (0 (light), 0.1, 0.26, 0.41 (dark)). Results corresponding to simulated trees of size 200; 20 trees where simulated and analysed for each parameter set; results for other tree sizes are shown in Fig. S11 to S14.

Figure 3 ClaDS performs well in recovering branch-specific speciation rates a) tree simulated 498 under the ClaDS model ($\lambda_0 = 0.1, \sigma = 0.18$, $\alpha = 1, \varepsilon = 0$, size N = 200), with branches 499 colored according to their realized speciation rate b) same tree with branches colored according 500 to inferred speciation rates c) Inferred versus simulated branch-specific speciation rates (on a log 501 scale) for 20 trees simulated with the same parameters and size as the tree from panel a; the darker 502 points highlight rates for the tree shown in panel a. Each regression line (light gray) corresponds 503 to one of the 20 trees, and the black line corresponds to the regression across all trees. The red 504 line displays the 1:1 relationship. Values in the bottom right corner correspond to the mean and 505 standard deviation of the slope and correlation coefficient across the 20 regressions, and those of the 506 relative error in branch-specific speciation rates estimates ($\lambda_{\text{estimated}}/\lambda_{\text{simulated}}$) across all branches 507 from the 20 trees. 508

Figure 4 Patterns of diversification across 42 bird clades. Distributions across clades of (a) σ , (b) 509 α , (c) $m = \alpha \exp(\sigma^2/2)$, and (d) ε values estimated with ClaDS. e: Distributions of branch specific 510 speciation rates for each specific clade (grey and colored lines) and all clades pooled together (thick 511 black line). Red: Accipitridae; Orange: Muscicapidae & Turdidae, Tyrannidae and Parulidae; Dark 512 blue: Charadrii; Medium blue: Ramphastides; Light blue : Alcedinidae and Phasianidae); Brown: 513 Scolopaci; Green: Anatinae f: Exemplar phylogenies colored according to their inferred branch-514 specific speciation rates, in Myr^{-1} , and plotted on the same time scale. Top panel: the Accipitridae 515 phylogeny subtends very variable rates that tend to decrease through time (inferred parameters: 516 $\sigma = 0.67, \alpha = 0.61, m = 0.76$ and $\varepsilon = 0.02$). Bottom panel: the Ramphastides phylogeny subtends 517 rather homogeneous rates ($\sigma = 0.16$, $\alpha = 0.97$, m = 0.98 and $\varepsilon = 0.05$). 518



 $\begin{array}{l} \lambda_{0} \text{ initial speciation rate} \\ \lambda_{i} \text{ ancestral rate} \\ \lambda_{i1}, \, \lambda_{i2} \text{ daughter rates} \end{array}$

 v_{λ} distribution of daughter speciation rates log-normal distribution of parameters σ , $\alpha\lambda_i$

 $m = \alpha e^{\sigma^2/2} mean relative \\ daughter rate$



σ

α





d

