# 1 Climate affects neighbour-induced changes in leaf chemical defences and tree

# 2 diversity-herbivory relationships

- 3 Authors:
- 4 Charlotte Poeydebat<sup>1,2</sup>, Hervé Jactel<sup>1,2</sup>, Xoaquín Moreira<sup>3</sup>, Julia Koricheva<sup>4</sup>, Nadia Barsoum<sup>5</sup>,
- 5 Jürgen Bauhus<sup>6</sup>, Nico Eisenhauer<sup>7,8</sup>, Olga Ferlian<sup>7,8</sup>, Marta Francisco<sup>3</sup>, Felix Gottschall<sup>7,8</sup>,
- 6 Dominique Gravel<sup>9</sup>, Bill Mason<sup>10</sup>, Evalyne Muiruri<sup>4</sup>, Bart Muys<sup>11</sup>, Charles Nock<sup>12,13</sup>, Alain
- 7 Paquette<sup>14</sup>, Quentin Ponette<sup>15</sup>, Michael Scherer-Lorenzen<sup>13</sup>, Victoria Stokes<sup>10</sup>, Michael
- 8 Staab<sup>16</sup>, Kris Verheyen<sup>17</sup> and Bastien Castagneyrol<sup>1,2</sup>
- 9
- 10 Institutions and addresses:
- <sup>11</sup> INRAE, UMR 1202 BIOGECO, F-33610 Cestas, France
- 12 <sup>2</sup> Université de Bordeaux, BIOGECO, UMR 1202, F-33400 Talence, France
- <sup>3</sup> Misión Biológica de Galicia (MBG-CSIC), Apartado de correos 28, 36080 Pontevedra, Galicia,
- 14 Spain
- <sup>4</sup> Department of Biological Sciences, Royal Holloway University of London, Egham, Surrey
   TW20 0EX, United Kingdom
- <sup>5</sup> Forest Research, Alice Holt Lodge, Farnham, Surrey, GU10 4LH, United Kingdom
- <sup>6</sup> Chair of Silviculture, University of Freiburg, Tennenbacher Straße 4, 79106 Freiburg,
   Germany
- 20 <sup>7</sup> German Centre for Integrative Biodiversity Research (iDiv) Halle-Jena-Leipzig, Deutscher
- 21 Platz 5e, 04103 Leipzig, Germany
- <sup>8</sup> Institute of Biology, Leipzig University, Deutscher Platz 5e, 04103 Leipzig, Germany
- <sup>9</sup> Département de biologie, Université de Sherbrooke, Sherbrooke, QC, Canada
- <sup>10</sup> Forest Research, Northern Research Station, Roslin Midlothian EH25 9SY, United Kingdom
- <sup>25</sup> <sup>11</sup> Division of Forest, Nature and Landscape, Department of Earth and Environmental Sciences,
- 26 KU Leuven, Leuven, Belgium
- <sup>12</sup> Department of Renewable Resources, University of Alberta, Edmonton, AB, Canada
- <sup>13</sup> Faculty of Biology, Department of Geobotany, University of Freiburg, Schänzlestrasse 1,
   Freiburg, Germany
- <sup>14</sup> Centre for Forest Research, Université du Québec à Montréal, C.P. 8888, succ. Centre-ville,
- 31 Montreal, QC, Canada
- <sup>15</sup> Faculty of Bioscience Engineering & Earth and Life Institute, Université catholique de
- 33 Louvain, 1348, Louvain-la-Neuve, Belgium
- <sup>16</sup> Nature Conservation and Landscape Ecology, Faculty of Environment and Natural
   Resources, University of Freiburg, Tennenbacher Straße 4, 79106 Freiburg, Germany
- <sup>17</sup> Forest & Nature Lab, Department of Environment, Ghent University, Melle-Gontrode,
- 37 Belgium
- 38
- 39 <u>Author for correspondence:</u>
- 40 Charlotte Poeydebat, <u>charlotte.poeydebat@zaclys.net</u>
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## 42 Abstract

Associational resistance theory predicts that insect herbivory decreases with increasing
 tree diversity in forest ecosystems. However, the generality of this effect and its underlying
 mechanisms are still debated, particularly since evidence has accumulated that climate
 may influence the direction and strength of the relationship between diversity and
 herbivory.

2. We quantified insect leaf herbivory and leaf chemical defences (phenolic compounds) of
silver birch (*Betula pendula*) in pure and mixed plots with different tree species
composition across twelve tree diversity experiments in different climates. We investigated
whether the effects of neighbouring tree species diversity on insect herbivory in birch, *i.e.*associational effects, were dependent on the climatic context, and whether neighbourinduced changes in birch chemical defences were involved in associational resistance to
insect herbivory.

- 3. We showed that herbivory on birch decreased with tree species richness (*i.e.* associational
   resistance) in colder environments but that this relationship faded as mean annual
   temperature increased.
- 4. Birch leaf chemical defences increased with tree species richness but decreased with the
   phylogenetic distinctiveness of birch from its neighbours, particularly in warmer and more
   humid environments.
- 5. Herbivory was negatively correlated with leaf chemical defences, particularly when birch
   was associated with closely related species. The interactive effect of tree diversity and
   climate on herbivory was partially mediated by changes in leaf chemical defences.

6. Our findings confirm that tree species diversity can modify the leaf chemistry of a focal
 species, hence its quality for herbivores. They further stress that such neighbour-induced
 changes are dependent on climate and that tree diversity effects on insect herbivory are
 partially mediated by these neighbour-induced changes in chemical defences.

Future studies should investigate i) which tree species traits, ii) how tree species
 intermingling pattern and iii) to what extent climatic context ultimately affect associational
 resistance in mixed forests.

# 71 Keywords

- 72 Associational resistance, Betula pendula, biodiversity, leaf phenolics, mixed forests,
- 73 phylogenetic diversity, plant-insect interactions, TreeDivNet

## 74 Introduction

75 The influence of plant species diversity on plant-herbivore interactions is an old but still topical 76 question for ecologists (Castagneyrol, Kozlov, Poeydebat, Toïgo, & Jactel, 2019; Siemann, 77 Tilman, Haarstad, & Ritchie, 1998). Ecological studies in forests have demonstrated that increased tree species diversity generally leads to lower amount of damage caused by insect 78 79 herbivores, a phenomenon known as associational resistance (Barbosa et al., 2009; 80 Castagneyrol, Jactel, Vacher, Brockerhoff & Koricheva, 2014; Iverson et al., 2014). But several 81 other studies have also reported no change (Haase et al., 2015) or even increased insect herbivory when mixing tree species, *i.e.* associational susceptibility (Castagneyrol, Jactel, & 82 83 Moreira, 2018; Schuldt et al., 2010). These inconsistent findings demonstrate the need for improved understanding of ecological processes underlying tree diversity effects on insect 84 85 herbivory in forests.

86 Early attempts to explain associational resistance were mainly based on processes determined by host plant density (e.g. the resource concentration hypothesis, Hambäck, Inouye, 87 Andersson, & Underwood, 2014), or mediated by natural enemies (e.g. the natural enemies 88 hypothesis, Moreira, Abdala-Roberts, Rasmann, Castagneyrol & Mooney, 2016) or by non-host 89 90 volatile chemical compounds (e.g. the semiochemical diversity hypothesis, Jactel, Birgersson, 91 Andersson, & Schlyter, 2011). Only recently, researchers have recognized that associational resistance could also result from changes in host traits, such as nutritional quality and 92 production of anti-herbivores defences, induced by heterospecific neighbours (Moreira, 93 Abdala-Roberts, Parra-Tabla, & Mooney, 2014; Glassmire et al., 2016; Castagneyrol et al., 94 2018). Indeed, several reviews have shown that tree diversity can promote plant productivity 95 (Zhang, Chen, & Reich, 2012; Jactel et al., 2018), which in turn could result in reduced 96 97 production of leaf chemical defences because of a trade-off between growth and defences 98 (Herms & Mattson, 1992; Endara & Coley, 2011). Consistently, increased tree diversity was 99 found to be associated with lower concentrations of leaf chemical defences, including polyphenols, tannins, glycosids and alkaloids (Castagneyrol et al., 2018; Muiruri et al., 2019; 100 101 Rosado-Sánchez, Parra-Tabla, Betancur-Ancona, Moreira, & Abdala-Roberts, 2018; Walter et 102 al., 2012).

103 Assuming that tree species traits involved in interactions with herbivores or in resource 104 acquisition are phylogenetically conserved, greater tree phylogenetic diversity should amplify 105 trait dissimilarity between species (Srivastava, Cadotte, MacDonald, Marushia, & Mirotchnick, 106 2012) and hence, the magnitude of associational resistance mechanisms including the effect 107 of tree diversity on defences. In particular, greater plant functional diversity is expected to i) extend resource concentration effects to herbivore species with wider diet breadth 108 109 (Castagneyrol et al., 2014), ii) foster host-finding disruption due to the greater complexity of the visual and chemical environments (Jactel et al., 2011), and iii) increase resource use 110 111 complementarity between plant species resulting in higher growth and lower defence levels. Consistently, the degree of phylogenetic or functional dissimilarity between focal plant species 112 113 and their heterospecific neighbours was found to affect associational effects on herbivory, with greater impacts than plant species richness per se in most cases (Castagneyrol et al., 2014; 114 115 Dinnage, 2013;Schuldt et al., 2014; Yguel et al., 2011).

116 Until now, studies on associational resistance have largely overlooked possible interactions 117 with abiotic factors (but see Walter et al., 2012, Kambach, Kühn, Castagneyrol, & Bruelheide, 118 2016). Yet, climate has well documented effects on herbivore activity, abundance and diversity, 119 as well as on plant growth and the production of plant anti-herbivore defences, including leaf 120 phenolics. This was demonstrated through both experiments (e.g. Pineau et al., 2017; Bauerfriend & Fischer, 2013) and observational studies along latitudinal and elevation 121 122 gradients (Kozlov, Lanta, Zverev, & Zvereva, 2015; Moreira et al., 2018a; Moreira, Galman, Francisco, Castagneyrol, & Abdala-Roberts, 2018b; Rodríguez-Castañeda, 2013; but see Moles, 123 124 Bonser, Poore, Wallis, & Foley, 2011; Anstett, Chen, & Johnson, 2016). Importantly, recent studies showed an interplay between tree diversity and climatic conditions whereby climate 125 126 could alter the effect of tree diversity on ecosystem processes (Castagneyrol et al., 2018; Jactel, 127 Poeydebat, Van Halder, & Castagneyrol, 2019; Ratcliffe et al., 2017) and conversely, tree diversity could buffer the adverse effect of extreme climatic events on trees (Jactel et al., 128 2017). Being able to account for the effect of climate is therefore a major opportunity to 129 strengthen our understanding of the variability in the magnitude and direction of associational 130 effects in mixed forests. 131

Using a unique network of tree diversity experiments ranging from temperate to boreal biomes (TreeDivNet; Paquette *et al.*, 2018), we quantified insect leaf herbivory and leaf 134 chemical defences (phenolic compounds) in silver birch (Betula pendula) in plots with different 135 tree species composition across twelve locations with different climates. First, we addressed 136 the effects of tree species diversity on insect herbivory and leaf chemical defences in silver birch, asking which of tree species richness, phylogenetic diversity or their combination best 137 explained both response variables. We hypothesized that tree diversity was associated with 138 lower herbivory (associational resistance) and lower chemical defence levels (due to higher 139 140 complementarity and growth-defence trade-off), and that these effects were stronger when considering phylogenetic distinctiveness of the focal species instead of species richness, 141 considering that phylogenetic diversity accounts for niche differentiation. Second, we tested 142 whether diversity-herbivory and diversity-defences relationships depended on climate. Since 143 144 there is no consensus in the available literature, we had no particular directional hypothesis regarding the influence of climate. Finally, we tested whether climate and diversity effects on 145 146 insect herbivory were mediated by changes in leaf chemical defences. Our study is one of the first to investigate defence-mediated associational effects on insect herbivory in relation with 147 the climatic context. We aimed at building toward a more comprehensive understanding of 148 149 the interactive effects of tree species diversity and climate on forest resistance to insect pests.

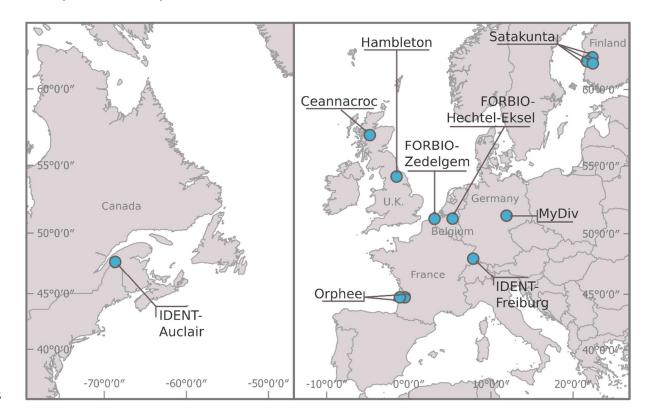
## 150 Material and Methods

## 151 Natural history

The silver birch (*Betula pendula* Roth, Betulaceae) is a deciduous tree native to most of Europe (Beck, Caudullo, de Rigo, & Tinner, 2016) that tolerates an extremely wide range of climatic and edaphic conditions. In its native range, silver birch supports a large community of insect herbivores, especially lepidopteran and hymenopteran (*i.e.* sawflies) leaf chewers and miners (Beck *et al.*, 2016; Zúbrik, Kunca, & Csóka, 2013).

### 157 Plot and tree selection in TreeDivNet experiments

TreeDivNet consists of 27 long-term tree diversity experiments specifically designed to investigate the effects of tree species diversity on forest functioning (Grossman *et al.*, 2018). Because the experiments are globally distributed, TreeDivNet is particularly well suited to explore how tree diversity effects on herbivory vary with climate. We collected data from twelve sites belonging to six tree diversity experiments where silver birch was present (Fig. 1; Supporting Information Table S1). These sites encompassed temperate and boreal biomes of 164 the northern hemisphere and spanned over 17 decimal degrees in latitude, covering about 165 half of the latitudinal span of silver birch (Beck et al., 2016). At each site, we selected silver birch monoculture plots and mixed species plots where silver birch was present. Tree species 166 richness in those mixtures ranged from two to six species (including silver birch) and included 167 168 broadleaved or coniferous species, or a mix of both. The species composition of mixture plots varied among sites. At certain sites, species composition types were replicated in two to three 169 blocks. We randomly selected three to five birch trees in the core area of each experimental 170 plot (*i.e.* avoiding border trees to limit edge effects). The final dataset was derived from 564 171 172 trees planted in 157 plots.



173

174 Figure 1. Map of the TreeDivNet experimental sites included in the study.

## 175 Leaf collection and damage assessment

Fifty leaves per birch tree were haphazardly sampled in mid-July 2017 (2014 for the three Finnish sites). We assessed insect leaf herbivory as the overall percentage of leaf area removed by three common feeding guilds of insect herbivores: chewers, miners and skeletonizers. We assigned each leaf to one of seven classes of damage: (A) 0 % of leaf area removed, (B) 1 to 5%, (C) 6 to 15%, (D) 16 to 25%, (E) 26 to 50%, (F) 51 to 75%, and (G) 76 to 100%. To reduce unconscious bias in insect herbivory assessment, we split leaves from each 182 tree into two equal pools that were separately processed by two independent observers 183 unaware of leaf origin. Then, we aggregated insect herbivory estimates at the tree level by 184 averaging the median values of damage class of all leaves. In the case of the three Finnish sites (Satakunta areas 1, 2 and 3), the methodology differed slightly but was still consistent (see 185 186 Muiruri et al., 2019). On average, insect herbivores damaged 3.91% (± 2.60%) of leaf area (damages ranged from 0.36 to 13.03% of leaf area; Supporting Information Table S2). We are 187 confident that we did not underestimate herbivory by overlooking missing leaves since leaves 188 did not start falling at the sampling time. The observed levels of insect herbivory were low and 189 190 comparable with those observed in other studies on silver birch (e.g. Castagneyrol et al., 2018; 191 Kozlov *et al.*, 2015; Muiruri *et al.*, 2019).

## 192 Phylogenetic isolation

Given that tree species diversity effects on herbivores can be affected by phylogenetic 193 194 dissimilarity between the tree species in the mixture, we used phylogenetic information to account for differences in tree species composition of mixed stands across the experiments 195 196 (Srivastava et al., 2012). We used the phylomatic function from the brranching package in R (with tree R20120829; Chamberlain, 2018) to obtain an overall phylogenetic tree comprising 197 198 the overall pool of tree species (Supporting Information Fig. S2). Node ages down to family 199 level were derived from Magallón, Gómez-Acevedo, Sánchez-Reyes and Hernández-200 Hernández (2015). Genus node ages were approximated by dividing the length of the edge from the family node to the tip by two. The same was subsequently done for species nodes 201 202 considering edge length from the genus node to the tip. For each plot, we pruned the overall 203 phylogenetic tree to obtain a sub-tree corresponding to the pool of tree species present in the 204 plot.

Many metrics have been developed to characterize phylogenetic diversity of a pool of species 205 206 (Miller, Farine, & Trisos, 2017). Here, we computed Faith's total phylogenetic diversity (PD, pd 207 function in *picante* package; Kembel et al., 2010), mean pairwise phylogenetic distance (MPD, *mpd* function), mean phylogenetic distance between birch and associated species ( $\beta$ -MPD, 208 comdist function) and birch evolutionary distinctiveness (ED, evol. distinct function; Redding & 209 Mooers, 2006). PD and MPD are community-level phylogenetic diversity indices, whereas  $\beta$ -210 MPD and ED are species-species indices representing the phylogenetic isolation of silver birch 211 212 from other tree species present in each plot. ED was eventually preferred to other

phylogenetic diversity metrics because it was less correlated with species richness (Supporting
Information Fig. S1).

## 215 Climate data

216 We extracted mean annual temperature and total annual rainfall averaged over the 1979-2013 period (hereafter referred to as "temperature" and "rainfall" respectively) for each study 217 site using the Climatologies at High resolution for the Earth's Land Surface Areas dataset 218 219 (CHELSA; Karger et al., 2017; Supporting Information Fig. S4a). In the ORPHEE experiment, half 220 of the plots were located in irrigated blocks sprinkled with 3 mm of water per night from May 221 to October. An annual surplus of 552 mm was thus added to the rainfall amount obtained 222 from the CHELSA database in these plots. To account for this additional irrigation treatment, data collected in the ORPHEE experiment were considered as data from two distinct sites 223 (irrigated vs non-irrigated). Overall, our network of tree diversity experiments covered a 17° 224 latitudinal gradient and encompassed 10°C of variation in the mean annual temperature and 225 964 mm of variation in the annual rainfall. 226

## 227 Leaf phenolics

Leaf phenolics have been reported to confer resistance against insect herbivores in several 228 229 tree species including birch (Forkner, Marquis, & Lill, 2004; Moreira et al., 2018b; Riipi et al., 2005) and therefore represent a suitable proxy for assessing leaf chemical defences (or leaf 230 nutritional quality to herbivores). We quantified the concentration of phenolic compounds on 231 232 a subsample of five birch leaves - with little (<5%) or no damage - per tree, following a 233 procedure based on ultra-high performance liquid chromatography (as in Moreira et al., 2018b; Visakorpi, Riutta, Martinez-Bauer, Salminen, & Gripenberg, 2019). Following drying (at 234 235 45°C during 72 hours) and grinding of leaves, we extracted phenolic compounds from 20 mg of powdered dry leaf tissue with 1 mL of 70% methanol in an ultrasonic bath for 15 min, 236 followed by centrifugation (Moreira et al., 2014). We then transferred the extracts to 237 chromatographic vials. Ultra-High-Performance Liquid-Chromatograph (UHPLC Nexera LC-238 239 30AD; Shimadzu) equipped with a Nexera SIL-30AC injector and one SPD-M20A UV/VIS 240 photodiode array detector was used to perform the chromatographic analyses. The 241 compound separation was carried out on a Kinetex<sup>™</sup> 2.6 µm C18 82-102 Å, LC Column 100 × 242 4.6 mm, protected with a C18 guard cartridge. The flow rate was 0.4 mL min<sup>-1</sup> and the oven

243 temperature was set at 25°C. The mobile phase consisted of two solvents: water-formic acid 244 (0.05%) (A) and acetonitrile-formic acid (0.05%) (B), starting with 5% B and using a gradient to 245 obtain 30% B at 4 min, 60% B at 10 min, 80% B at 13 min and 100 % B at 15 min. The injection volume was 3 µL. We identified four groups of phenolic compounds: flavonoids, ellagitannins 246 247 and gallic acid derivates (hydrolysable tannins), proanthocyanidins (condensed tannins) and hydroxycinnamic acid (precursors to lignins). We quantified flavonoids as rutin equivalents, 248 condensed tannins as catechin equivalents, hydrolysable tannins as gallic acid equivalents, 249 and precursors to lignins as ferulic acid equivalents (Moreira et al., 2018a, b). Quantification 250 251 of these phenolic compounds was achieved by external calibration using calibration curves at 0.25, 0.5, 1, 2, and 5  $\mu$ g mL<sup>-1</sup>. Total phenolic concentration was equal to 334.57 ± 107.48 mg 252 g<sup>-1</sup> of leaf dry matter on average and ranged from 13.51 to 775.08 mg g<sup>-1</sup> (Supporting 253 Information Table S3). 254

#### 255 Statistical analyses

First, we used linear mixed models (LMM) to test for the effects of tree species richness and 256 257 birch phylogenetic distinctiveness on insect herbivory and leaf phenolic concentration (two normally distributed response variables). To test whether tree species richness, phylogenetic 258 259 distinctiveness of birch or the combination of both best predicted the response variables, we 260 built three models for each response variable with either (i) tree species richness, (ii) birch evolutionary distinctiveness (ED) or (iii) tree species richness and birch ED (main effects plus 261 interaction) as predictors. We calculated the Akaike Information Criterion corrected for small 262 263 sample size (AICc) of each model to identify the best model – with the lowest AICc - for a given 264 response variable (Burnham & Anderson, 2002; Johnson & Omland, 2004). If the AICc 265 difference between two models was less than two, they were considered equally likely. The best herbivory and phenolic models were used in the subsequent analyses. 266

Second, we used LMMs to test for the effects of climate on insect herbivory and leaf phenolic concentration. For each response variable, we used the full version of the best model(s) (with the lowest AICc) from the first step to which we added temperature and rainfall main effects, as well as all two- and three-ways interactions.

Third, we tested whether the variability in insect herbivory was accounted for by phenolic concentration. Specifically, we included leaf phenolic concentration as a covariate in the full 273 model(s) from the second step. Two-ways interactions involving leaf phenolic concentration 274 and either temperature, rainfall or tree diversity were also included in the model(s) to test for 275 interactive effects. By comparing results of insect herbivory models without (second step) *vs* 276 with leaf phenolics (third step), we tested whether the effects of tree diversity and climate on 277 insect herbivory were mediated by changes in leaf chemical defences. That would be the case 278 if a significant effect of tree species diversity and/or climate on insect herbivory became non-279 significant after including leaf phenolic concentration as a covariate.

In the last two steps, full models were simplified following a backward selection approach, which consisted of sequentially dropping the terms with the lowest impact on model fit, starting with the highest order interactions. Model simplification was done by using loglikelihood tests based on a  $\chi^2$  distribution with significance threshold set at  $\alpha = 0.05$ .

In all models, we accounted for the hierarchical structure of data by using Plot nested within 284 Block, nested within Site, as a random factor (*i.e.* 1|Site/Block/Plot in R syntax). By doing so, 285 we accounted for the hierarchical structure of the data, as well as potential variance in the 286 287 response variables arising from uncontrolled factors such as site location within birch distribution range, local soil properties, species pool, or tree planting density. Because of the 288 289 nature of the TreeDivNet network, these factors were confounded with the Site. To further 290 ensure that herbivory or defence patterns were not driven by uncontrolled factors at the site level, we regressed the residuals of the final models against latitude and climatic conditions 291 (Supporting Information Fig. S5). We found no particular pattern in the residuals suggesting 292 293 that no 'hidden treatments' at site level (associated with their latitudinal position) might have 294 biased our test of diversity and climate effects.

295 In all models, predictors were scaled and centred, which made it possible to compare the magnitude of the effects even when interaction terms were significant (Schielzeth, 2010). 296 297 Collinearity among all predictors was found to be weak enough to limit inflation of the 298 variance of estimated model parameters (variation inflation factors [VIFs] less than two). Model parameters were estimated by restricted likelihood estimation and the significance ( $\alpha$ 299 = 0.05) of the regression coefficients was tested with Student t-tests and Satterthwaite's 300 approximation for degrees of freedom. We evaluated model fit by calculating the percentage 301 of variance explained by fixed  $(R^2_m)$  and by fixed plus random effects  $(R^2_c)$  (Nakagawa & 302 Schielzeth, 2013). 303

304 Concentrations of all types of phenolic compounds were positively correlated with each other 305 (Supporting Information Fig. S6), which made it inappropriate to use all phenolic types as 306 predictors of insect herbivory in the same model (inflation of the variance of estimated model parameters). We therefore ran separate models for each type of phenolics. Concentrations of 307 308 all types of phenolic compounds and concentrations of total phenolics co-varied with climate and diversity predictors, *i.e.* direction of effects were consistent across phenolic types (Table 309 310 1; Supporting Information Table S4). We additionally summarized the information on phenols using a principal component analysis (PCA) with the concentrations of the four individual 311 phenolic compounds (Supporting Information Fig. S7). The three first components of the PCA 312 altogether explained 92% of the variance and the points were well homogeneously 313 distributed. The first axis was associated with the concentrations of flavonoids and 314 hydrolysable tannins, the second axis with the concentration of condensed tannins and the 315 316 third with the concentration of lignin. Besides, PCA coordinates on the first three axes were all positively correlated with the concentration of total phenolics (Supporting Information Fig. 317 S8). Based on these elements, we choose to present the results for total phenolic 318 319 concentration only in the main text.

All analyses were conducted in R (version 3.5.1; R Core Development Team, 2013) with the following packages: ImerTest (Kuznetsova, Brockhoff, & Christensen, 2017), car (Fox & Weisberg, 2018), and MuMIn (Barton, 2018).

## 323 **Results**

## 324 Tree species diversity effects on insect herbivory and leaf phenolics

We found no significant effect of species richness or birch evolutionary distinctiveness (ED) *per se* on insect herbivory, and no interactive effect of the two diversity metrics either (Table 1a). The herbivory model with species richness and the herbivory model with birch ED had the lowest AICc values, not differing by more than two units (Table 1a). These two models were thus used in the subsequent analyses while the herbivory model with both diversity metrics, which had a higher AICc value (Table 1a), was eliminated.

We found a significant negative effect of birch ED on leaf phenolic such that birch leaves were less defended when birches were more phylogenetically distinct from their neighbours (Table 1b). In contrast, we found a significant and positive effect of tree species richness on leaf phenolic concentration. The phenolics model with birch ED only had a lower AICc value than the model with species richness only (Table 1b), but both of these models had higher AICc values than the model with both diversity variables included (Table 1b). Hence, the best phenolics model that was used in subsequent analyses was the model with both species richness and birch ED.

## 339 Effects of climate and tree diversity on insect herbivory

We found that insect herbivory on birch leaves significantly increased with increasing temperature (Fig. 2a; Table 2a) both in the model with tree species richness and in the model with birch ED. Rainfall had no significant effect on insect herbivory.

343 The effect of tree species richness on insect herbivory was contingent upon temperature 344 (significant species richness × temperature interaction; Table 2a). In particular, insect herbivory decreased with increasing tree species richness at low temperatures but was not 345 affected by tree species richness at higher temperatures (Fig. 2b). In the final simplified model, 346 tree species richness and temperature collectively explained 22% of the variability in insect 347 herbivory ( $R^2m = 0.22$ ;  $R^2c = 0.59$ ). By contrast, there was no significant effect of the 348 349 interaction between birch ED and temperature or rainfall (Table 2a). Independent effects of birch ED and temperature collectively explained 21% of the variability in insect herbivory ( $R^2_m$ 350 351  $= 0.21; R^{2}_{c} = 0.59).$ 

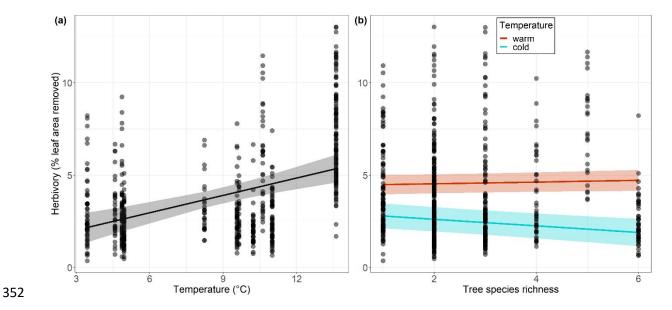
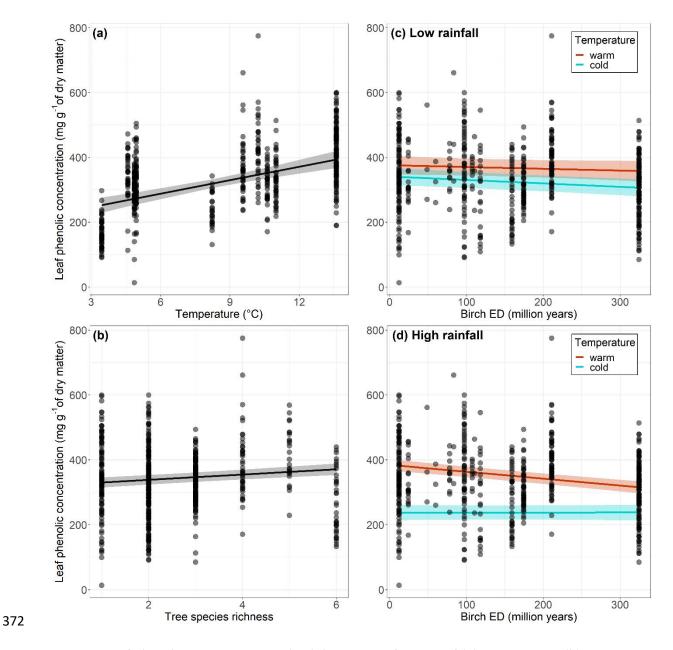


Figure 2. Relationships (a) between insect herbivory on silver birch leaves and mean annual temperatureand (b) between insect herbivory and tree species richness for two contrasted temperature levels. The

figure shows observed data (points) as well as model predictions (solid lines) and standard errors (shaded
areas). In panel (a), species richness was set at a median value to compute predictions. "Warm" and
"cold" temperature levels corresponded to 0.25 and 0.75 quartiles of the observed temperature range,
respectively.

## 359 Effects of climate and tree diversity on leaf phenolic concentration

Leaf phenolic concentration significantly increased with increasing temperature and tended 360 361 to decrease with increasing rainfall but not significantly (Table 2b; Fig 3a). In addition, leaf 362 phenolic concentration significantly increased with species richness (Table 2b; Fig. 3b) 363 regardless of the climate (no significant interactions with rainfall or temperature). In contrast, 364 the effect of birch ED on leaf phenolic concentration was contingent upon temperature and 365 rainfall conditions (significant birch ED × temperature × rainfall interaction; Table 2b). Specifically, leaf phenolic concentration decreased with increasing birch phylogenetic 366 367 distinctiveness independently of the temperature at low rainfall level (Fig. 3c), but decreased more markedly with increasing phylogenetic distinctiveness of birch in warm conditions only 368 at high rainfall level (Fig. 3d). In the final simplified model, climate and tree species diversity 369 collectively explained 46% of the variability in phenolic concentration of birch leaves ( $R^2_m$  = 370 371 0.46;  $R_c^2 = 0.67$ ).



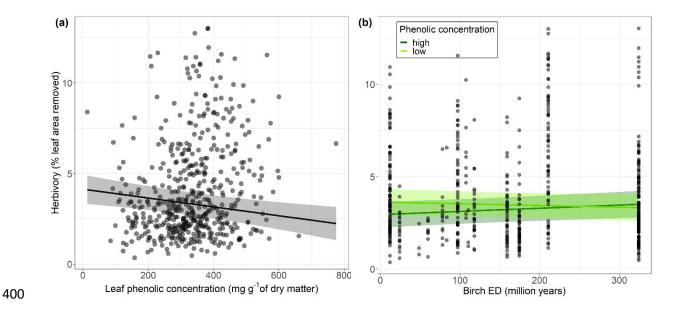
373 Figure 3. Leaf phenolic concentration in birch leaves as a function of (a) temperature, (b) tree species 374 richness and as a function of birch evolutionary distinctiveness (ED) for two contrasted levels of 375 temperature under two contrasted levels of rainfall (c and d). The figure shows observed data (points) 376 as well as model predictions (solid lines) and standard errors (shaded areas). "Warm" and "cold" 377 temperature levels corresponded to 0.25 and 0.75 quartiles of the observed temperature range, 378 respectively. "Low" and "high" rainfall levels corresponded to 0.25 and 0.75 quartiles of the observed 379 rainfall range, respectively. The predictors that were not involved in the relationships shown were set at 380 median values to compute predictions.

## 381 Indirect trait-mediated effects of tree diversity and climate on herbivory

When we included leaf phenolic concentration as a covariate in the herbivory models – with either species richness or birch ED - we found that insect herbivory decreased with increasing leaf phenolic concentration in both cases (Table 3; Fig. 4a). In the two models, the positive effect of temperature on insect herbivory remained significant (Table 3), which indicated that the effect of temperature on insect herbivory was not mediated by leaf phenolics.

In the herbivory model with species richness, we found that the effect of species richness – that was contingent upon temperature – became non-significant after including leaf phenolic concentration as a covariate (Table 3), indicating that the effect of tree species richness on insect herbivory was mediated by leaf phenolics. Temperature and leaf phenolic concentration collectively explained 24% of the variability in insect herbivory ( $R^2_m = 0.24$ ;  $R^2_c$ = 0.58).

In the herbivory model with birch ED, we found that birch ED effect on insect herbivory was contingent upon phenolic concentration in birch leaves (significant birch ED x phenolic concentration interaction, Table 3). In particular, when birch leaves had low phenolic concentration, insect herbivory decreased with increasing birch ED, while when birch leaves had high phenolic concentration insect herbivory increased with increasing birch ED (Fig. 4b). Temperature, birch ED and leaf phenolic concentration collectively explained 25% of the variability in insect herbivory ( $R^2_m = 0.25$ ;  $R^2_c = 0.59$ ).



401 Figure 4. Relationship (a) between insect herbivory and leaf phenolic concentration and (b) between
402 insect herbivory and birch evolutionary distinctiveness (ED) for different levels of leaf phenolic

403 concentration. The figure shows observed data (points) as well as model predictions (solid lines) and
404 standard errors (shaded areas). "Low" and "high" phenolic concentration levels corresponded to 0.25
405 and 0.75 quartiles of the observed phenolic concentration range, respectively. The predictors that were
406 not involved in the relationships shown were set at median values to compute predictions.

## 407 **Discussion**

With this study, we showed that the effect of tree species diversity on insect herbivory on silver birch leaves, *i.e.* associational effects, were climate-dependent and, in particular, varied with temperature. Our findings also showed that tree species diversity modified chemical defence levels in birch leaves and further suggested that such changes in leaf chemistry induced by heterospecific neighbours were partly climate-dependent. Finally, we found that associational effects were mediated by changes in defences under certain climatic conditions. Below we discuss mechanisms underlying the observed patterns.

#### 415 Effects of tree diversity on insect herbivory are climate dependent

We found no significant effects of either tree species richness or birch phylogenetic 416 417 distinctiveness per se on background levels of insect herbivory on birch. In fact, we found evidence that tree diversity effects on herbivory were dependent on climate. This result could 418 419 partly explain the variable effects of tree diversity on herbivory previously reported in the literature (Brezzi, Schmid, Niklaus, & Schuldt, 2017; Castagneyrol et al., 2014; Jactel, Moreira, 420 421 & Castagneyrol, in press; Kambach et al., 2016; Ratcliffe et al., 2017; Schuldt et al., 2010, 2014; 422 Vehviläinen, Koricheva, & Ruohomäki, 2007; Wein et al., 2016) including in studies focusing 423 on birch trees (Castagneyrol et al., 2018; Haase et al., 2015; Muiruri et al., 2019; Setiawan, 424 Vanhellemont, Baeten, Dillen, & Verheyen, 2014). Specifically, we provided evidence for 425 changes in associational effects along the mean annual temperature gradient: associational resistance of birch to insect herbivory occurred in cold conditions whereas no associational 426 427 effects could be detected in warm conditions. The mitigation of associational resistance with increasing temperature could be due to the higher proportion of generalist (vs specialist) 428 herbivore species in warmer regions (Forister et al., 2015), that are less affected or even 429 430 benefit from plant diversity (Castagneyrol et al., 2014). This finding might also be explained by the greater abundance and activity of herbivores in warmer climate that may in turn lower 431 the resistance of mixed plant communities to herbivores. Supporting this view, associational 432

433 resistance to the bean beetle, Callosobruchus maculatus, was found to decrease with the 434 population density of this herbivore, likely because of conspecific avoidance behaviour 435 (Merwin, Underwood, & Inouye, 2017; but see Fernandez-Conradi, Jactel, Hampe, Leiva, & Castagneryol, 2017). Higher herbivore density may also increase the probability for a host tree 436 437 to be located and attacked, simply because proportionally more individuals will pass through 438 the net of resistance mechanisms (*e.g.* resource concentration effect, host-finding disruption or predation by natural enemies), resulting in lower apparent resistance to herbivores. In 439 support of this density-dependence hypothesis, our results showed that background insect 440 herbivory on birch leaves, although low, markedly increased with increasing mean annual 441 temperature (Kozlov et al., 2015; Wang et al., 2016). Several mechanisms have been proposed 442 443 to explain the positive effect of temperature on herbivory, including direct effects on herbivores' developmental rate, winter survival and activity and indirect effects through 444 445 reduced plant nutritional quality inducing compensatory feeding (Bale et al., 2002; Bauerfeind 446 & Fisher, 2013; Garibaldi, Kitzberger, & Ruggiero, 2011; Klapwijk, Ayres, Battisti, & Larsson, 2012). 447

448 We found no effect of rainfall on insect herbivory, neither directly nor through changes in the 449 herbivore response to tree diversity. Yet, drought-induced water stress is known to increase 450 tree susceptibility to defoliators (Carnicer et al., 2011; Jactel et al., 2012), and a previous study reported an increase in insect herbivory on birch under drought (Castagneyrol et al., 2018). 451 We could not assess the effect of drought per se in the present study, and it is possible that 452 annual rainfall does not reflect water availability to trees because of site-specific topology or 453 edaphic conditions. Besides, ectophagous (skeletonizers and chewers) and endophagous 454 (miners) herbivores may respond inconsistently to rainfall conditions because they live on the 455 456 surface vs inside the leaves, which could also explain the absence of an overall response since 457 we pooled the two groups. Therefore, the lack of effect of rainfall on herbivory in the present study should be interpreted with caution and this question should be further explored. 458

## 459 Levels of leaf defences are shaped by both tree diversity and climate

460 Our results showed that tree diversity modifies leaf chemistry of focal birches – and hence 461 their quality for herbivores. Specifically, the concentration of leaf phenolics increased with 462 increasing tree species richness, but decreased with increasing birch evolutionary 463 distinctiveness, used as a proxy for birch functional distinctiveness in experimental plots 464 (Srivastava et al., 2012). Positive effect of plant species diversity on plant chemical defences 465 have been previously reported in birch (Castagneyrol et al., 2018; Muiruri et al., 2019) and 466 other plant species (Bustos-Segura, Poelman, Reichelt, Gershenzon, & Gols, 2017; Kostenko, Mulder, Courbois, & Bezemer, 2017; Moreira et al., 2014). The underlying mechanisms 467 however are poorly understood and the opposing effects of species richness and functional 468 diversity suggest they are complex. On the one hand, defence induction in richer plant 469 470 community could arise in response to greater herbivory (Karban & Baldwin, 1997) due to associational susceptibility. However, herbivore-mediation of species richness effects on 471 472 defences seems unlikely in our case since our results mainly report associational resistance (Fig. 2b) and we found a negative association between herbivory and defence concentration 473 474 (Fig. 4a). On the other hand, it is plausible that the production of leaf phenolics reflected a 475 trade-off between growth and defences. Indeed, assuming that ecologically important traits 476 are phylogenetically conserved, increased allocation to growth in plots with functionally dissimilar species (e.g. through complementarity or facilitation) could lead to a concomitant 477 478 reduction in defence investment (Bryant, Chapin, & Klein, 1983; Herms & Mattson, 1992). In 479 this sense, studies have reported that experimental manipulation of resource availability (e.g. 480 nutrients or water) can lead to concomitant and opposite modulations of growth and defence 481 production (Gutbrodt, Dorn, & Mody, 2012; Lange et al., 2019). This process could be 482 particularly strong in birch, a fast-growing, resource-acquisitive species. Consistently, a recent 483 study found that tree species composition affected leaf chemistry in birch, with less defence 484 compounds in phylogenetically more diverse mixtures (Castagneyrol et al., 2018).

485 A meta-analysis by Koricheva, Larsson, Haukioja and Keinänen (1998) supports the view that tree diversity primarily affects the local abiotic conditions (specifically nutrient, water or light 486 487 availability) and that such effects subsequently shape plant secondary chemistry. In particular, 488 studies have demonstrated that crown illumination can affect leaf chemical composition, with shading associated with lower carbohydrate and phenol concentrations in leaves of birch trees 489 (Henriksson et al., 2003) and other species (Larsson, Wirén, Lundgren, & Ericsson, 1986; Mole, 490 Ross, & Waterman, 1988). The opposing effects of tree species richness and birch phylogenetic 491 492 distinctiveness on birch leaf phenolics could both relate to the relative heights or growth rates 493 of the trees present in the plots and the light available to birch trees. Indeed, birch is a fastgrowing, early successional species that is expected to be more shaded in monocultures or in 494

495 plots where it is present at high density (self-shading), than in mixtures where it is present at 496 lower density and mixed with slow-growing tree species. In our study, species richness 497 increase was correlated with the probability to include broadleaved species growing slower 498 than birch trees and with a reduction of birch proportion (Supporting Information Figs. S2 and 499 S3). Hence, the positive effect of species richness on leaf phenolic concentration in birch leaves might be explained by a reduction of shading in species-richer mixtures. On the 500 501 opposite, the increase of birch phylogenetic distinctiveness was correlated with the proportion of fast growing coniferous (vs broadleaved) neighbours such as larches or pines 502 503 (Supporting Information Figs. S2 and S3) that were generally taller than birch trees. The decrease of leaf phenolic concentration with birch phylogenetic distinctiveness could 504 505 therefore result from lower light availability in plots where birch is more phylogenetically 506 isolated (mixed with a greater proportion of conifers). However, birches are able to adapt their 507 crown architecture to better compete with their neighbours for light acquisition (Lintunen & Kaitaniemi, 2010), therefore potentially limiting the impact of neighbours on crown 508 illumination and leaf chemistry and explaining the relatively low phenolic concentration 509 510 changes observed along tree diversity gradients.

511 Because our study was not designed to determine the mechanisms underlying neighbour-512 induced changes in leaf chemical defences, nor did it include tree growth or abiotic factors measurements, our lines of arguments are mostly speculative. Few studies have explicitly 513 addressed the implication of growth-defence trade-offs in associational effects and they were 514 inconclusive (Moreira et al., 2014; Rosado-Sánchez, Parra-Tabla, Betancur-Ancona, Moreira, 515 516 & Abdala-Roberts, 2017). Future studies should specifically investigate the role that tree relative heights and architectures play in neighbour-induced changes of focal species 517 518 chemistry.

We found that the concentration of chemical defences increased with temperature, which contrasts with the results of previous studies on oaks and birches in temperate and boreal biomes (Kuokkanen, Julkunen-Tiitto, Keinänen, Niemelä, & Tahvanainen, 2001; Moreira *et al.*, 2018a). Although there is ample literature on the variation of plant defences along climatic gradients, there is no consensus on the strength and direction of this relationship (Moles *et al.*, 2011). Interestingly, we showed that climate also affected leaf phenolic concentration indirectly by modulating the tree diversity-defences relationships. Specifically, decrease in

526 chemical defence levels of birch associated with greater tree phylogenetic diversity were 527 stronger in warm and humid conditions. This indicates that climate and tree species 528 composition jointly determined tree investment in chemical defences, likely through growth-529 defence trade-offs.

#### 530 Do leaf chemical defences mediate effects of climate and diversity on insect herbivory?

531 We found a negative relationship between leaf phenolic concentration and insect herbivory, 532 supporting the view that these secondary metabolites act as defences against herbivores (in 533 addition to being involved in other physiological processes; Forkner *et al.*, 2004; Harborne & 534 Williams, 2000).

We found evidence that the effect of temperature on leaf herbivory was independent of the level of chemical defences. However, our results showed that the interactive effects of temperature and tree species richness on insect herbivory were mediated by changes in leaf chemical defence levels. This finding suggests that defence-mediated associational effects on insect herbivory are also climate-dependent. In our case, such effects were only observed in cold climates where chemical defences levels were low and where an increase in defences may have a stronger effect on background insect herbivory levels.

542 We found that the effect of birch phylogenetic distinctiveness on herbivory varied with the levels of chemical defences in birch leaves. Specifically, associational effects shifted from 543 resistance to susceptibility with the increase of leaf phenolics concentration. This finding 544 545 suggests that mechanisms involved in birch associational resistance against herbivores, other 546 than chemical defence, might have been at play (e.g. host-finding disruption, and resource dilution), and that an undetermined factor was simultaneously controlling the concentration 547 548 of leaf chemical defences and interfering with these mechanisms. Forest structure, and more specifically relative heights of tree species, may for instance influence at the same time (i) leaf 549 550 chemistry of a focal species by affecting crown illumination (Koricheva et al., 1998) and the synthesis of photo-protective flavonoids (Agati & Tattini, 2010) and (ii) the apparency of this 551 552 focal species to herbivores (Castagneyrol et al., 2019; Damien et al., 2016). In addition, 553 nutrient availability may affect growth of trees and the concentration of carbon-based 554 defences in leaves (Bryant et al., 1983; Koricheva et al., 1998). In turn, tree growth, as jointly 555 determined by tree diversity (the relative competitive ability of the species) and nutrient

availability, could affect apparency of the focal species to herbivores, as well as the abundance
and diversity of canopy arthropods (Stone, Gehring, & Whitham, 2010) with consequences for
multitrophic interactions.

## 559 **Conclusion**

By taking advantage of an international network of tree diversity experiments and a 560 561 standardized sampling protocol, we addressed the independent and interactive effects of tree 562 species diversity and climate on tree-herbivore interactions in temperate and boreal forests. Altogether, our findings show that insect herbivory depends on a complex interplay between 563 564 tree species diversity and climatic conditions, and that diversity effects on insect herbivory are partially mediated by neighbour-induced changes in leaf chemical defences. Our findings also 565 566 confirm that tree species diversity can modify leaf chemistry of a focal species – and hence its quality for herbivores - but further suggest that such neighbour-induced changes are 567 568 dependent on climate. Nevertheless, our approach remains correlative in essence and the ecological mechanisms underlying such patterns need to be further elucidated. We also 569 acknowledge that a limitation of this study is that we could not well control for the influence 570 of the position of the sites within the distribution range of birch (e.g. marginal or central), nor 571 572 for their spatial correlation, which could however influence tree-insect interactions through 573 local adaptation processes. Future studies should be specifically designed to investigate 574 whether diversity and climate interactively shape leaf chemistry of a focal host plant because they jointly influence resource availability and their allocation to growth vs defences by trees. 575 Our study also supports the view that the phylogenetic or functional diversity of tree species 576 is complementary to species richness in predicting tree-herbivore relationships, likely because 577 it accounts for additional information relative to niche differentiation and functional 578 579 dissimilarities between tree species. Finally, our findings suggest that tree diversity effects on 580 herbivory levels should be viewed as a balance between multiple processes arising from 581 different attributes of tree diversity (inter-specific variation of different traits). Future research should investigate which traits of tree species drive associational effects on herbivory 582 and address simultaneously multiple underlying mechanisms. For instance, it would be 583 584 particularly interesting to explore the role of forest structure and tree spatial arrangement in 585 associational effects, as it may be implied in both neighbour-induced changes in chemical 586 defences through effects on individual crown illumination, as well as in focal plant apparency.

- 587 Importantly, the climatic context in which plant-herbivore interactions occur should be
- accounted for in future studies for a better understanding of the processes at play. By doing
- 589 so, the study of tree diversity effects on tree resistance to insect herbivores interactions will
- 590 move toward a more predictive framework.

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## 843 Tables

Table 1. Effects of tree species diversity on (a) insect herbivory and (b) leaf phenolic concentration. Comparison of models with species richness, birch
 evolutionary distinctiveness (ED) or both diversity metrics as predictors. Bold predictors have a significant effect. AICc\*: best (lowest) AICc.

Predictors	Standardized estimate ± sd	df	t- value	P-value	$R^2_m (R^2_c)$	AICc	Random intercept effects (Variance ± sd)		
							Site	Block:Site	Plot:Block:Site
a) Herbivory									
w/ Sp. richness					0.00 (0.57)	2322.47*	3.10 ± 1.76	$0.25 \pm 0.50$	0.46 ± 0.68
Intercept	$3.81 \pm 0.53$	11.28	7.24	<0.001					
Species richness	-0.03 ± 0.09	143.74	-0.34	0.737					
w/ Birch ED					0.00 (0.57)	2322.57*	3.10 ± 1.76	0.25 ± 0.50	0.46 ± 0.68
Intercept	3.81 ± 0.53	11.28	7.25	<0.001					
Birch ED	$0.01 \pm 0.09$	122.90	0.11	0.916					
w/ Sp. Richness and Birch ED			0.00 (0.57)	2328.52	3.07 ± 1.75	0.25 ± 0.50	0.45 ± 0.67		
Intercept	3.75 ± 0.53	11.42	7.12	<0.001					
Species richness	$0.01 \pm 0.10$	140.37	0.11	0.916					
Birch ED	$0.16 \pm 0.13$	128.18	1.20	0.231					
Sp. richness x Birch									
ED	0.27 ± 0.17	135.56	1.56	0.121					
o) Phenolics									
w/ Sp. richness					0.00 (0.65)	5819.74	5930 ± 77	0 ± 0	1663 ± 41
Intercept	332.29 ± 23.67	10.09	14.04	<0.001					
Species richness	4.35 ± 4.67	146.67	0.93	0.353					
w/ Birch ED					0.02 (0.65)	5810.79	5953 ± 77	0 ± 0	1446 ± 38
Intercept	331.80 ± 23.68	10.09	14.01						
Birch ED	-15.05 ± 4.71	126.40	-3.19	0.002					
w/ Sp. Richness and B	irch ED				0.03 (0.65)	5798.61*	5997 ± 77	0 ± 0	1375 ± 37
Intercept	332.00 ± 23.87	10.26	13.91	<0.001					
Species richness	10.74 ± 4.90	141.50	2.19	0.030					
Birch ED	-19.33 ± 6.87	147.95	-2.82	<0.006					
Sp. richness x Birch									
ED	-0.43 ± 8.98	156.27	-0.05	0.962					

**Table 2.** Effects of tree diversity, temperature and rainfall on (a) insect herbivory and (b) leaf phenolic

848 concentration. Predictors that were excluded from the final model during simplification are not shown.849 Bold predictors have a significant effect.

Predictors	Standardized estimate ± sd	df	t-value	P-value	$R^2_m (R^2_c)$
a) Herbivory	estimate ± su				
w/ Sp. richness					0.22 (0.59
Intercept	3.81 ± 0.43	10.35	8.93	<0.001	0.22 (0.35
Species richness	$-0.05 \pm 0.09$	142.59	-0.551	0.582	
Temperature	-0.03 ± 0.09 1.21 ± 0.46	10.26 135.27	<b>2.64</b> <b>2.14</b>	0.024 0.034	
-					
Sp. richness x Temperature	0.19 ± 0.09	135.27	2.14	0.034	
	Variance ± sd	-			
Site	$1.95 \pm 1.40$				
Block:Site	0.25 ± 0.50				
Plot:(Block:Site)	$0.41 \pm 0.64$				
w/ Birch ED					0.21 (0.59
Intercept	3.82 ± 0.42	10.34	9.05	<0.001	
Temperature	1.21 ± 0.45	10.24	2.68	0.023	
	Variance ± sd	_			
Site	$1.91 \pm 1.38$				
Block:Site	0.25 ± 0.50				
Plot:(Block:Site)	0.45 ± 0.67				
) Phenolics w/ Sp. Richness and Birch ED					
Intercept	327.30 ± 13.30	6.89	24.62	<0.001	
Species richness	11.47 ± 4.39	148.33	2.61	0.010	
Birch ED	-13.37 ± 5.16	140.89	-2.59	0.011	
Temperature	53.06 ± 14.32	6.82	3.71	0.008	
Rainfall	-31.14 ± 13.33	6.83	-2.34	0.053	
Birch ED x Temperature	-8.84 ± 4.89	124.77	-1.81	0.073	
Birch ED x Rainfall	-5.15 ± 4.75	131.52	-1.09	0.280	
Temp. x Rainfall	29.79 ± 12.72	6.72	2.34	0.053	
Birch ED x Temp. x Rainfall	$-13.22 \pm 4.15$	121.02	-3.19	0.002	
	Variance ± sd		0.13	0.002	
Site	1586.60 ± 39.82	-			
Block:Site	$0.00 \pm 0.00$				
Plot:(Block:Site)	993.60 ± 31.52				

**Table 3.** Effects of leaf phenolic concentration on insect herbivory as a covariate of tree diversity,

temperature and rainfall. Predictors that were excluded from the final model during simplification are not shown. Bold predictors have a significant effect.

Predictors	Standardized estimate ± sd	df	t-value	P-value	$R_m^2(R_c^2)$
lerbivory w/ Sp. Richness					0.24 (0.58)
Intercept	3.96 ± 0.43	9.30	9.20	<0.001	
Temperature	1.41 ± 0.45	9.57	3.15	0.011	
Phenolics	-0.29 ± 0.12	466.99	-2.39	0.017	
	Variance ± sd	_			
Site	1.77 ± 1.33	_			
Block:Site	0.30 ± 0.55				
Plot:(Block:Site)	0.42 ± 0.65				
Herbivory w/ Birch ED					0.25 (0.59
Intercept	3.99 ± 0.44	9.29	9.11	<0.001	
Birch ED	$0.02 \pm 0.10$	111.88	0.22	0.826	
Temperature	1.41 ± 0.46	9.54	3.11	0.012	
Phenolics	-0.25 ± 0.12	476.63	-2.04	0.042	
Birch ED x Phenolics	0.23 ± 0.10	285.52	2.42	0.016	
	Variance ± sd				
Site	1.84 ± 1.36	-			
Block:Site	$0.31 \pm 0.55$				
Plot:(Block:Site)	0.35 ± 0.59				