

1

2

3

**Model misspecification confounds the estimation of rates, and exaggerates their time  
dependency**

4

5

6

7

8

9

Brent C. Emerson<sup>1,2\*</sup>, Diego F. Alvarado-Serrano<sup>3</sup> and Michael J. Hickerson<sup>3,4,5</sup>

10

11

12 1. Island Ecology and Evolution Research Group, Instituto de Productos Naturales y Agrobiología

13 (IPNA-CSIC), C/Astrofísico Francisco Sánchez 3, La Laguna, Tenerife, Canary Islands, 38206,

14 Spain.

15 2. School of Biological Sciences, University of East Anglia, Norwich Research Park, Norwich NR4

16 7TJ, UK.

17 3. Biology Department, City College of New York, New York, NY, 10031, USA.

18 4. The Graduate Center, City University of New York, New York, NY, 10016, USA.

19 5. Division of Invertebrate Zoology, American Museum of Natural History, New York, NY 10024,

20 USA.

21

22 \* Contact author: [bemerson@ipna.csic.es](mailto:bemerson@ipna.csic.es)

23

24

25 **Abstract**

26

27 While welcoming the comment of Ho *et al.* (2015), we find little that undermines the strength of  
28 our criticism, and it would appear they have misunderstood our central argument. Here we respond  
29 with the purpose of reiterating that we are (i) generally critical of much of the evidence presented in  
30 support of the time dependent molecular rate (TDMR) hypothesis, and (ii) specifically critical of  
31 estimates of  $\mu$  derived from tip-dated sequences that exaggerate the importance of purifying  
32 selection as an explanation for TDMR over extended timescales. In response to assertions put  
33 forward by Ho *et al.* (2015), we use panmictic coalescent simulations of temporal data to explore a  
34 fundamental assumption for tip-dated tree shape and associated mutation rate estimates, and the  
35 appropriateness and utility of the date-randomisation test. The results reveal problems for the joint  
36 estimation of tree topology, effective population size and  $\mu$  with tip-dated sequences using BEAST.  
37 Given the simulations, BEAST consistently obtains incorrect topological tree structures that are  
38 consistent with the substantial overestimation of  $\mu$  and under-estimation of effective population  
39 size. Data generated from lower effective population sizes were less likely to fail the date-  
40 randomisation test yet still resulted in substantially upwardly biased estimates of rates, bringing  
41 previous estimates of  $\mu$  from temporally sampled DNA sequences into question. We find that our  
42 general criticisms of both the hypothesis of time-dependent molecular evolution, and Bayesian  
43 methods to estimate  $\mu$  from temporally sampled DNA sequences, are further reinforced.

#### 44 **Introduction**

45

46 In their opening paragraph, and then repeated within their comment, Ho *et al.* (2015) state that we  
47 (Emerson & Hickerson 2015) “claim that there is a lack of support for a time-dependent pattern in  
48 molecular rate estimates”. This is not correct. What we argue for, both in our original paper and  
49 here, is that (i) there is a lack support for the inferred magnitude of TDMR patterns, and that (ii)  
50 explanations of purifying selection over extended timescales to reconcile differences between  
51 spontaneous  $\mu$  and phylogenetic estimates of  $\mu$  have been greatly exaggerated, largely because of  
52 issues with biased rate estimates derived from ancient DNA (aDNA) analyses. Neither in this  
53 response, nor in our original article, do we deny there to be evidence for time dependent patterns for  
54 molecular rate estimates. Nor do we deny that purifying selection will lead to lower values for  
55 spontaneous  $\mu$ . What we argue for in our original article (Emerson & Hickerson 2015), but  
56 apparently misunderstood by Ho *et al.* (2015), is that the support for purifying selection  
57 underpinning these observed patterns is greatly overstated when most of the observed changes in  
58 estimates of  $\mu$  can be explained as methodological artifacts. Purifying selection will lead to lower  
59 values for spontaneous  $\mu$ . This is a truism that we have recognised previously (Emerson 2007).  
60 However, the assumption of Ho *et al.* (2015) that pattern is evidence for process exaggerates both  
61 the inferred extent of and timescale for rate reduction due to purifying selection. This is our central  
62 argument and cause for concern.

63

64

#### 65 **Evidence for pattern is not evidence of process**

66

67 A substantial part of the comment of Ho *et al.* (2015) is devoted to presenting many examples of  
68 evidence for time-dependent rate estimates, although for nuclear data, Ho *et al.* (2015) acknowledge  
69 that there is no strong evidence for such a pattern. As stated above, we are not in denial of the many  
70 published estimates supporting the pattern for mtDNA, and as such our position is somewhat  
71 misrepresented by Ho *et al.* (2015). It is important to point out that, if a pattern can be explained by  
72 something other than the hypothesis (the hypothesis here being purifying selection), then the pattern  
73 itself cannot be used as evidence in support of the hypothesis. In this context, the examples  
74 presented by Ho *et al.* (2015) do not in themselves contradict the points raised in Emerson &  
75 Hickerson (2015), as these may be subject to the methodological issues raised in our original article.  
76 Indeed, some of the examples where we highlight methodological issues (e.g. *Caenorhabditis*  
77 *elegans*) are presented again by Ho *et al.* (2015) as supporting the hypothesis of time-dependent

78 molecular evolution without further discussion of the concerns we raised. We focus the remainder  
79 of this response on specific points within the comment of Ho *et al.* (2015), where we feel they may  
80 have either failed to provide an adequate response, or misrepresented our work, when discussing the  
81 evidence for the hypothesis that purifying selection is the driver of TDMR estimates.

82

83

#### 84 **Adélie penguin data**

85

86 In our original article (Emerson & Hickerson 2015) we pointed out that, in contradiction to the  
87 TDMR hypothesis (i.e. the hypothesis that molecular rate estimates decrease toward the past as a  
88 consequence of purifying selection) mean pedigree-based estimates of the mutation rate of  
89 mitochondrial DNA in Adélie penguins are lower than those inferred from aDNA. In response to  
90 this, Ho *et al.* (2015) make two points. They first suggest that the non-reporting of 95% credibility  
91 intervals may somehow limit the significance of our observation, and further claim there to be  
92 substantial overlap in the 95% credibility intervals between aDNA estimates and the pedigree  
93 estimate. They then state that we acknowledged that both the pedigree rate and aDNA rate estimates  
94 “greatly” exceed those inferred from fossil-calibrated analyses of birds. The first point is incorrect,  
95 and thus misrepresents our original work (Emerson & Hickerson 2015), as the 95% CI of one of the  
96 three published aDNA estimates of  $\mu$  does not overlap with the pedigree-derived estimate of  $\mu$ . The  
97 second point requires further context (see below) to understand the extent to which both pedigree  
98 and aDNA rates for Adélie penguins can be compared to a phylogenetic rate.

99 With regard to the first point, we stated in our original work (Emerson & Hickerson 2015)  
100 that the Adélie aDNA rate estimate of Ho *et al.* (2007a) is *significantly* higher than the pedigree  
101 rate. Thus, in contrary to the claim of Ho *et al.* (2015), there is no overlap among their 95%  
102 credibility intervals. We do not deny that the 95% credibility intervals of the aDNA rate estimates  
103 of Lambert *et al.* (2002) and Millar *et al.* (2008), which have a lower mean value than that of Ho *et*  
104 *al.* (2007a), overlap with the pedigree rate. However, this should not be seen as somehow  
105 undermining the discrepancy between these two aDNA rate estimates and the pedigree rate in a  
106 field (TDMR) where trends in mean values are frequently reported as support for the hypothesis.

107 With regard to the second point, we recognize that the mean values for all aDNA rate  
108 estimates and the pedigree-derived rate estimate of  $\mu$  are higher than the bird phylogenetic  
109 divergence rate of 0.208 mutations/site/Myr presented by Shields and Wilson (1987) that has been  
110 used in previous comparisons (e.g. Lambert *et al.* 2002; Millar *et al.* 2008). However, there are  
111 several features of this phylogenetic rate estimate that limit its use for comparative purposes.

112 Firstly, it is not a general bird rate estimate, it is an estimate derived from the analysis of 5 species  
113 of geese. A difference between a phylogenetically derived mutation rate for geese, and aDNA or  
114 pedigree-derived rates for penguins may equally be explainable by fundamental differences  
115 between these very different, phylogenetically distant taxonomic groups. Secondly, the  
116 phylogenetic rate is probably underestimated, as recognised by Shields and Wilson (1987), due to  
117 the difficulty of estimating genetic divergences from restriction fragment analysis.

118

119

## 120 **Comparing pedigree-derived rate estimates with phylogenetic rate estimates**

121

122 We have previously pointed out, using *Caenorhabditis elegans* as an example, that a mutation  
123 accumulation line or pedigree-derived estimate of  $\mu$  for a given taxa can only be considered high if  
124 it exceeds a taxonomically relevant phylogenetic rate (Emerson & Hickerson 2015). We provide an  
125 additional example of this problem above, with the inappropriate comparison of Adélie penguin  
126 pedigree and aDNA-derived estimates of  $\mu$  with a phylogenetic estimate of  $\mu$  derived from geese.  
127 Rather than providing suitable comparisons within their reply, Ho *et al.* (2015) continue to cite the  
128 spontaneous mutation rate for *C. elegans* (Denver *et al.* 2004), as well as *Drosophila melanogaster*  
129 (Keightley *et al.* 2014) and *Heliconius melpomene* (Keightley *et al.* 2015), as being higher than  
130 “corresponding phylogenetic estimates”. There are no phylogenetic estimates within the response of  
131 Ho *et al.* (2015), nor within the original articles, with the exception of Keightley *et al.* (2015), who  
132 note that applying their spontaneous mutation rate to estimate the age of the *Heliconius* suggests  
133 that the fossil-calibrated age for the genus is approximately correct. The spontaneous rate is  
134 however higher than the fossil rate, and as pointed out by Keightley *et al.* (2015), further work is  
135 needed to reconcile the two estimates. But the difference itself is not evidence for the TDMR  
136 hypothesis when alternative equally plausible explanations exist. For example, a difference could  
137 arise because (1) the data sets being compared are very different (whole genome vs a non-random  
138 set of protein coding genes), or (2) only secondary calibration points were used for the phylogeny  
139 (i.e. there are no fossil Heliconiini). But let’s assume the difference is real. What does it tell us? It  
140 tells us that purifying selection results in the underestimation of spontaneous  $\mu$  when using a  
141 phylogenetic calibration. What it does not tell us is the timescale over which this occurs, and thus  
142 such data is uninformative about the timescale for the TDMR hypothesis.

143

144

## 145 **Estimates of $\mu$ from temporally sampled DNA, and their lack of validation**

146

147 Ho *et al.* (2015) take issue with our claim that, while many studies have produced estimates of  $\mu$   
148 from aDNA, none have provided validation of their estimates independently of the Bayesian  
149 implementation within BEAST (Drummond *et al.* 2012) from which they were derived (Emerson &  
150 Hickerson 2015). To support that we are “demonstrably wrong”, they cite two tests to evaluate the  
151 information content of time-structured data. However, these either have not provided, or do not  
152 provide, independent estimates of  $\mu$ . The first of these, the regression of tree height against  
153 sampling time of Fitch *et al.* (1991) can, with some caveats, be used to estimate  $\mu$  but has not, to  
154 our knowledge, ever been used to validate a Bayesian estimate of  $\mu$ . The second test cited by Ho *et*  
155 *al.* (2015), that of Ramsden *et al.* (2009), which has been further developed by Duchêne *et al.*  
156 (2015), is not independent. It is a test of information content, where the Bayesian estimate of  $\mu$  is  
157 compared to the distribution of  $\mu$  estimated when dates are randomised across the tree. Thus, our  
158 original assertion still stands - Bayesian estimates of  $\mu$  have yet to be independently validated.

159

160

#### 161 **Measurably evolving populations, date-randomisation and $\mu$**

162

163 Ho *et al.* (2015) provide a summary of the date-randomisation test, first presented by Ramsden *et*  
164 *al.* (2009) to test for sufficient signal within temporally sampled DNA data sets to estimate  $\mu$  and  
165 divergence dates. It is important to consider what the 95% credibility interval of the date-  
166 randomised rate estimate represents. Ho *et al.* (2015) correctly point out that the two data sets  
167 presented in the schematic trees in Fig. 2 of Emerson & Hickerson (2015) would yield positive and  
168 misleading estimates of  $\mu$ . We agree with this, but we do not agree with their conclusion that both  
169 data sets do not represent “measurably evolving populations”. On the contrary, both data sets do  
170 represent measurably evolving populations. The definition of genetic change in populations used by  
171 Ho *et al.* (2015) and elsewhere (e.g. Drummond *et al.* 2003; Ewing *et al.* 2004) is of mutation  
172 between sampling time points. However, it has been long understood that genetic change in  
173 populations involves changes in allele frequencies under the dynamic between mutation, selection  
174 and drift (Hartl & Clark 2007), and it is important to clarify that the mutation rate  $\mu$  is the rate of  
175 mutation along any branch of a sampled gene genealogy, rather than being the rate of new  
176 mutations within a population or rate of mutational turnover between sampling time points. For  
177 example, due to the coalescent process, the vast majority of mutations between two temporally  
178 different samples can often occur at times older than either of the samples. As recognised by Ho *et*  
179 *al.* (2015), the sampling scenarios in panels C and D of Fig. 2 (Emerson & Hickerson 2015) will

180 yield non-zero estimates of  $\mu$ . Ho *et al.* (2015) also suggest that both data sets would fail the date-  
181 randomisation test of Ramsden *et al.* (2009). We agree that they probably would fail (although that  
182 can only be assessed by direct analysis). However, from this point we disagree with Ho *et al.*  
183 (2015), and the accepted interpretation of the date-randomisation test - that if the empirical estimate  
184 exceeds the 95% confidence intervals from the randomised distribution, then the empirical value is  
185 a reliable estimate of  $\mu$ .

186       Regardless of whether a dataset passes the randomization test or not, estimates of  $\mu$  from  
187 temporally sampled data using BEAST may be overestimated because of other population genetic  
188 (drift and the coalescent) and sampling processes, as well as phylogenetic constraints that BEAST  
189 imposes on temporally sampled data (Box 1). Citing Duchêne *et al.* (2015), Ho *et al.* (2015) point  
190 out that data sets that fail the date-randomisation test tend to yield overestimates of  $\mu$ , which could  
191 be taken to suggest that data sets that pass the test provide meaningful approximations of  $\mu$ . This is  
192 not the case. A careful examination of Duchêne *et al.* (2015) reveals that data sets can pass the test  
193 *and* yield significant overestimates of  $\mu$ , where the the 95% confidence interval of the estimate does  
194 not include  $\mu$ . In fact, the parameter space within which both the estimation of  $\mu$  is correct, and the  
195 test is passed, is limited (Fig. 1 of Duchêne *et al.* 2015). The take home point is that passing the  
196 date-randomisation test is not validation for an estimation of  $\mu$  using the BEAST temporally  
197 sampled model. To more fully explore this dynamic, we have conducted coalescent simulations of  
198 temporally sampled data, matching parameters commonly associated with ancient mtDNA data, and  
199 show that BEAST can systematically overestimate  $\mu$  given temporally sampled data due to incorrect  
200 topological estimates that arise from constraining tip dates (Box 1).

201

202

### 203 **TDMR for some genomes, and not for others?**

204

205 Ho *et al.* (2015) suggest that there is scant evidence for an observed TDMR pattern in nuclear  
206 genomes. It will be interesting to see what is learned from new genomic data as it emerges,  
207 although it is worth pointing out that much of this observed discrepancy between nDNA and  
208 mtDNA evaporates if the studies using tip-dating methods with ancient mitochondrial DNA are  
209 confirmed to be the non-trivial overestimates as suggested from our simulation-based exploration.  
210 Furthermore, their assertion that “unfortunately, there remains considerable uncertainty about  
211 nuclear mutation rates in humans”, is vague and misleading, as the various papers show strong  
212 evidence that there is genetic variation for the mutation rate and that paternal age can drive  
213 differences in mutation rates (e.g. Scally & Durbin 2012; Thomas & Hahn 2014). It also seems



214 somewhat incongruous for Ho *et al.* (2015) to criticise us for reporting short-term estimates of  $\mu$  for  
215 nuclear data, while they themselves report such data when they believe it to support their argument  
216 (e.g. Denver *et al.* 2004; Keightley *et al.* 2014; Keightley *et al.* 2015, but see comments above).

217

218

### 219 **Bison data and the Bayesian estimation of $\mu$ from temporally sampled DNA**

220

221 Ho *et al.* (2015) cast doubt on two aspects of our reanalysis of the *Bison bison* data first published  
222 by Shapiro *et al.* (2004) and reanalysed by Ho *et al.* (2015). Their concerns regarding the impact of  
223 fixing effective populations size are vague and misleading, as they seem to suggest that there are  
224 “other parameters” in the cataclysmic demographic model that might somehow explain our results.  
225 As we have made all our input files publicly available, it is not clear why Ho *et al.* (2015) do not  
226 quantitatively assess their concern. A reanalysis exploring their parameters of concern would  
227 suffice. We therefore see nothing in the argument of Ho *et al.* (2015) regarding the fixing of modern  
228 effective population size for *B. bison*, that explains our results.

229         With regard to their other doubt, Ho *et al.* (2015) state that fixing the root age of the analysis  
230 explains our result because “removing the sequences from older samples to reduce the sampling  
231 window preferentially removes older branches in the gene tree”. In doing so, Ho *et al.* (2015)  
232 assume a correlation between DNA sequence sampling time, and the coalescence time of the  
233 sampled sequence, which is in stark contrast to expectations under the standard Kingman coalescent  
234 for a single panmictic population without size change or subdivision (Tajima 1983). When we  
235 examined this assumption of Ho *et al.* (2015) it was apparent that, when compared to an  
236 unconstrained tree of the *B. bison* data, constraining the tree with tip dates positively contributes to  
237 such a correlation. The maximum clade credibility tree for the *B. bison* data with tip date constraints  
238 is topologically very different from the unconstrained tree, with DNA sequences of older age  
239 branching more basally within the tip date-constrained tree (Appendix S1, Supporting Information).  
240 As an explanation for this, we can only conclude that enforcing tip dates as a constraint contributes  
241 to the overestimation of  $\mu$ , due to additional mutation change in the tree required to accommodate  
242 topological difference. We further explore these issues using coalescent simulations of temporally  
243 sampled data under a single panmictic population and find that indeed BEAST tends to incorrectly  
244 misestimate the gene genealogies as well as consistently overestimate  $\mu$  given the sample size and  
245 temporal distribution of tips of the *B. bison* data (Box 1). Our analyses (Box 1) call into question all  
246 previous estimates of  $\mu$  from tip-dated sequences using BEAST.



247 Ho *et al.* (2015) seem to be dismissive of their *B. bison* data, suggesting it to be small by  
248 current measures. It is in fact among the biggest data sets that have been analysed to date, providing  
249 an apparently compelling example of significance with respect to the date-randomisation test (Ho *et*  
250 *al.* 2011). Their argument that bigger data sets for a greater variety of genes will yield more  
251 decisive results will only be realised if the concerns we raise both here and in Emerson & Hickerson  
252 (2015) are taken on board. There are clear and identifiable problems with the estimation of  $\mu$  from  
253 temporally sampled sequences, and not all these problems will necessarily be solved with more  
254 data.

255

256

## 257 **Conclusions**

258

259 After responding to the comment Ho *et al.* (2015), we find that our general criticisms of both (i) the  
260 hypothesis of time-dependent molecular evolution, and (ii) methods to estimate  $\mu$  from temporally  
261 sampled DNA sequences, are further reinforced. As we have previously pointed out (Emerson &  
262 Hickerson 2015), much of the perceived support for the time-dependent molecular evolution  
263 hypothesis comes from overestimates of  $\mu$  that are derived from phylogenetic analyses of  
264 temporally calibrated aDNA using the Bayesian program BEAST. Such estimates of  $\mu$  have been  
265 argued to be evidence against calibration error as a sufficient explanation for patterns of TDMR (Ho  
266 *et al.*, 2011). In this article we clearly identify a positive bias in the estimation of  $\mu$  from tip-dated  
267 gene trees with BEAST that appears to be associated with the interaction between effective  
268 population size and enforcing the age of DNA sequences when reconstructing the topologies of the  
269 gene genealogies. Together with previously raised concerns (Debruyne & Poinar 2009; Emerson  
270 2007; Emerson & Hickerson 2015; Navascués & Emerson 2009; Ramakrishnan & Hadly 2009) it is  
271 now clear that published estimates of  $\mu$  using aDNA data should be considered unreliable,  
272 particularly if it cannot be shown that analyses underpinning the estimates did not result in  
273 topological differences between tip-date constrained and unconstrained trees. As we have pointed  
274 out, much of the remaining evidence for patterns of TDMR estimates can be explained without  
275 resorting to selection, suggesting no more than a limited temporal contribution of purifying  
276 selection to reconcile differences between spontaneous  $\mu$  and phylogenetic estimates of  $\mu$ .

277

## 278 **Acknowledgements**

279 We thank Sebastián Duchêne for providing access to simulation files from Duchêne *et al.* (2015).

280

281 **References**

- 282 Anderson CN, Ramakrishnan U, Chan YL, Hadly EA (2005) Serial SimCoal: a population genetics  
283 model for data from multiple populations and points in time. *Bioinformatics*, **21**, 1733-1734.
- 284 Debruyne R, Poinar HN (2009) Time dependency of molecular rates in ancient DNA data sets, a  
285 sampling artifact? *Systematic Biology*, **58**, 348-359.
- 286 Denver DR, Morris K, Lynch M, Thomas WK (2004) High mutation rate and predominance of  
287 insertions in the *Caenorhabditis elegans* nuclear genome. *Nature*, **430**, 679-682.
- 288 Drummond AJ, Pybus OG, Rambaut A, Forsberg R, Rodrigo AG (2003) Measurably evolving  
289 populations. *Trends in Ecology and Evolution*, **18**, 481-488.
- 290 Drummond AJ, Suchard MA, Xie D, Rambaut A (2012) Bayesian phylogenetics with BEAUti and  
291 the BEAST 1.7. *Molecular Biology and Evolution*, **29**, 1969-1973.
- 292 Duchêne S, Duchêne D, Holmes EC, Ho SYW (2015) The performance of the date-randomisation  
293 test in phylogenetic analyses of time-structured virus data. *Molecular Biology and*  
294 *Evolution*, **32**, 1895-1906.
- 295 Emerson BC (2007) Alarm Bells for the molecular clock? No support for Ho et al.'s model of time-  
296 dependent molecular rate estimates. *Systematic Biology*, **56**, 337-345.
- 297 Emerson BC, Hickerson MJ (2015) Lack of support for the time-dependent molecular evolution  
298 hypothesis. *Molecular Ecology*, **24**, 702-709.
- 299 Ewing G, Nicholls G, Rodrigo A (2004) Using temporally spaced sequences to simultaneously  
300 estimate migration rates, mutation rate and population sizes in measurably evolving  
301 populations. *Genetics*, **168**, 2407-2420.
- 302 Fitch WM, Leiter JME, Li XQ, Palese P (1991) Positive Darwinian evolution in human influenza-a  
303 viruses. *Proceedings of the National Academy of Sciences of the United States of America*,  
304 **88**, 4270-4274.
- 305 Hartl DL, Clark AG (2007) *Principles of population genetics* Sinauer Associates, Sunderland, MA.
- 306 Ho SYW, Duchêne S, Molak M, Shapiro B (2015) Time-dependent estimates of molecular rates:  
307 Evidence and causes. *Molecular Ecology*, **this issue**.
- 308 Ho SYW, Kolokotronis S-O, Allaby RG (2007a) Elevated substitution rates estimated from ancient  
309 DNA sequences. *Biology Letters*, **3**, 702-705.
- 310 Ho SYW, Lanfear R, Phillips MJ, *et al.* (2011) Bayesian estimation of substitution rates from  
311 ancient DNA sequences with low information content. *Systematic Biology*, **60**, 366-374.
- 312 Ho SYW, Shapiro B, Phillips MJ, Cooper A, Drummond A (2007b) Evidence for time dependency  
313 of molecular rate estimates. *Systematic Biology*, **56**, 515-522.

- 314 Keightley PD, Ness RW, Halligan DL, Haddrill PR (2014) Estimation of the spontaneous mutation  
315 rate per nucleotide site in a *Drosophila melanogaster* full-sib family. *Genetics*, **196**, 313-  
316 320.
- 317 Keightley PD, Pinharanda A, Ness RW, *et al.* (2015) Estimation of the spontaneous mutation rate in  
318 *Heliconious melpomene*. *Molecular Biology and Evolution*, **32**, 239-243.
- 319 Kuhner MK, Yamato J, Felsenstein, J (1995) Estimating effective population size and mutation rate  
320 from sequence data using Metropolis-Hastings sampling. *Genetics*, **140**, 1421-1430.
- 321 Lambert DM, Ritchie PA, Millar CD, *et al.* (2002) Rates of evolution in ancient DNA from Adélie  
322 penguins. *Science*, **295**, 2270-2273.
- 323 Millar CD, Dodd A, Anderson JM, *et al.* (2008) Mutation and evolutionary rates in Adélie penguins  
324 from the Antarctic. *Plos Genetics*, **4**, e1000209.
- 325 Navascués M, Emerson BC (2009) Elevated substitution rate estimates from ancient DNA: model  
326 violation and bias of Bayesian methods. *Molecular Ecology*, **18**, 4390-4397.
- 327 Ramakrishnan U, Hadly EA (2009) Do complex population histories drive higher estimates of  
328 substitution rate in phylogenetic reconstructions? *Molecular Ecology*, **18**, 4341-4343.
- 329 Ramsden C, Holmes EC, Charleston MA (2009) Hantavirus evolution in relation to its rodent and  
330 insectivore hosts: No evidence for codivergence. *Molecular Biology and Evolution*, **26**, 143-  
331 153.
- 332 Scally A, Durbin R (2012) Revising the human mutation rate: implications for understanding  
333 human evolution. *Nature Reviews Genetics*, **13**, 745-753.
- 334 Shapiro B, Drummond AJ, Rambaut A, *et al.* (2004) Rise and fall of the beringian steppe bison.  
335 *Science*, **306**, 1561-1565.
- 336 Shields GF, Wilson AC (1987) Calibration of mitochondrial DNA evolution in geese. *Journal of*  
337 *Molecular Evolution*, **24**, 212-217.
- 338 Steel MA, Penny P (1993) Distributions of tree comparison metrics - some new results. *Systematic*  
339 *Biology*, **42**, 126-141.
- 340 Tajima F (1983) Evolutionary relationship of DNA sequences in finite populations. *Genetics*, **105**,  
341 437-460.
- 342 Thomas GWC, Hahn MW (2014) The human mutation rate is increasing, even as it slows.  
343 *Molecular Biology and Evolution*, **31**, 253-257.
- 344
- 345
- 346

347 **Author contributions**

348 B.C.E., D.A.S. and M.J.H contributed equally to the preparation of this manuscript. All simulations  
349 were conducted by D.A.S.

350

351 **Data Accessibility**

352 All scripts for the simulations conducted within this manuscript and an example BEAST input file  
353 are available from [https://diegofalvarado-s@bitbucket.org/diegofalvarado-s/tmra\\_simulations.git](https://diegofalvarado-s@bitbucket.org/diegofalvarado-s/tmra_simulations.git).

354 Bison DNA sequences and their sampling dates can be found within the online supporting  
355 information associated with Emerson & Hickerson (2015), doi: 10.1111/mec.13070.

356

357 **Supporting Information**

358 Additional Supporting Information may be found in the online version of this article:

359 **Appendix S1** Maximum clade credibility trees for the *Bison bison* data of Ho *et al.* (2007a) with  
360 and without age constraints enforced for the tips.

**361 Box 1: Tree shape and the overestimation of  $\mu$  from tip-dated sequences**

362 Constraining the tip dates within a phylogeny is expected to change branch lengths, but it might be  
363 less clear why topological relationships inferred from identical patterns of sequence variation  
364 should change. As can be seen in Appendix S1 (Supporting Information), the maximum clade  
365 credibility tree for *Bison bison* (Ho *et al.* 2007b; Shapiro *et al.* 2004) with tip date constraints is  
366 topologically very different from an unconstrained tree, with changes involving DNA sequences of  
367 older age branching more basally within the tip date-constrained tree, as would be expected if the  
368 panmictic effective population size was small. In some cases these rearrangements do not appear to  
369 increase the inferred amount of mutational change within the tree, as the change in gene tree  
370 topology does not disrupt patterns of shared derived variation, yet in other cases patterns of shared  
371 derived variation within the unconstrained tree are disrupted, increasing homoplasy and thus  
372 inferring additional mutational change within the tip-dated tree. One obvious outcome of an  
373 increase in the inferred number of mutational changes in a tip-date constrained tree is that the  
374 estimation of  $\mu$  will also increase.

375 To explore this behavior, we followed a simulation procedure similar to that of Duchêne *et*  
376 *al.* (2015) — the main difference being the use of an explicit coalescent simulator, BayesSSC  
377 (Anderson *et al.* 2005) instead of BEAST (Drummond *et al.* 2012) to generate the input tree  
378 topologies given known effective population sizes ( $N$ ) and mutation rates ( $\mu$ ), and a tip date  
379 distribution similar to the *B. bison* data (pipeline is available at  
380 [https://bitbucket.org/diegofalvarado/tadmra\\_simulations](https://bitbucket.org/diegofalvarado/tadmra_simulations)). We have found that trees inferred by  
381 BEAST for tip-dated sequences tend to enforce an age-based coalescent pattern on the posterior  
382 distribution of gene trees. This pattern would be expected given small effective population sizes,  
383 despite true  $N$  being 483,827 and 1,451,481 individuals in the simulation models that generated the  
384 simulated datasets. One likely culprit is how the the compound demographic parameter ( $\theta = 4N\mu$   
385 where  $N$  is the effective population size and  $\mu$  is the per site per generation per genealogical lineage  
386 mutation rate) is decoupled into joint estimates of  $N$  and  $\mu$  in BEAST. Under a standard panmictic  
387 coalescent model, it is only possible to estimate the compound parameter  $\theta$  rather than its  
388 components ( $N$  and  $\mu$ ) unless one of the two parameters are known or assumed (Kuhner *et al.* 1995).  
389 In contrast, the tip-dated panmictic coalescent model employed in BEAST allows decoupling the  
390 posterior estimates of  $\theta$  into  $N$  and  $\mu$  using the temporal-mutational information provided from the  
391 age-inforced tips of the posterior distribution of gene genealogies. As true  $N$  becomes larger, the  
392 tip-dated constraints result in inferred gene tree topologies that increasingly depart from the true  
393 gene tree topologies (Fig. I). This increasing level of phylogenetic inferential error corresponding  
394 with increasing levels of false homoplasy, which in turn corresponds with overestimates of  $\mu$  and

395 underestimates of  $N$ . In other words, underestimates of  $N$  result in older samples coalescing more  
396 basally than younger samples in the inferred topologies, and the consequences of this dynamic  
397 appear to be more severe when the true  $N$  was larger (Fig. I). As true  $N$  is larger, the magnitude of  $N$   
398 underestimation and  $\mu$  overestimation becomes more severe with inferred gene tree topologies  
399 becoming more age-constrained from the true topologies (Fig. II).

400 Of note is that under these simulations such overestimates of  $\mu$  did not typically pass the  
401 date-randomisation test, yet this was less the case under the smaller true  $N$  (Fig. II). Under a  
402 coalescent model with small sized populations, one would expect genealogical coancestry between  
403 samples of similar age (i.e., age-based coalescence), and as expected, the simulations reveal that the  
404 probability of this is inversely related to population size (Figure III). At the same time, the  
405 randomization of tip ages has a stronger impact on rate estimates when disrupting patterns of age-  
406 based coalescence in the original tree, and hence, the date-randomization test is more likely passed  
407 when the true gene genealogy has a tighter age-coalescent time association (such as under relatively  
408 small effective population sizes; Figure III). Accordingly, as can be seen in Fig. IV, the association  
409 of coalescence time with sample age is much stronger for the bison data when compared to patterns  
410 obtained when simulating under a panmictic coalescent population model. Such a pattern is  
411 expected for population structure and/or small  $N$ . We suggest that even though the bison data was  
412 likely generated under scenarios that differed from what we explored in our simulations, the  
413 systematic overestimates of  $\mu$  and underestimates of  $N$  are likely to still be at play with these  
414 estimates being biased by the consequences of large effective population sizes, population  
415 subdivision and/or local colonisation/extinction. Clearly this is in need of further evaluation with  
416 simulations that capture the demographic complexity and the patterns of tip-dates and coalescent  
417 times that are observed in real data.

418 Given that topological inconsistencies in BEAST appear to be associated with biasing  
419 estimates of both the number and age of DNA mutations together with overestimates of  $\mu$  and  
420 underestimates of  $N$ , we make the following two suggestions. Firstly it would seem relevant to  
421 report the agreement between the topologies of tip-date constrained and unconstrained trees when  
422 reporting estimates of  $\mu$ . Secondly, we suggest that while previous approaches using coalescent  
423 simulation have been useful to demonstrate that, under some conditions, BEAST can successfully  
424 estimate  $\mu$  from tip-dated sequences of virus sequences (e.g. Duchêne *et al.* 2015), the complex  
425 conditions underlying temporally sampled ancient DNA with respect to sample sizes, effective  
426 population sizes, generation times, and subdivision need to be more fully examined to understand  
427 when estimates of  $\mu$  from BEAST may be positively biased. Our simulations show that estimates of  
428  $\mu$  from such data can be systematically upwardly biased, and as such a more thorough exploration

429 of the impacts of sample characteristics, historical demographics and analysis settings is needed to  
430 better understand the underlying causes of the methodological artifacts we have revealed. Our  
431 simulations also suggest that all previous estimates of  $\mu$  from temporally sampled DNA sequence  
432 data using BEAST need a thorough reexamination before they can be accepted.

433

434 **Figure I.** Comparison of simulated and recovered tree topology for tip-dated sequence data using  
435 BEAST (Drummond *et al.* 2012). Note that the tree topology inferred by BEAST (b and d) is  
436 markedly different from the tree used to simulate the sequences (a and c) that serve as input to  
437 BEAST. This problem is accentuated under comparatively larger population sizes (Robinson-  
438 Foulds distance between a and b = 250, between c and d = 260; weighted-path difference (Steel &  
439 Penny 1993) between a and b = 0.77, between c and d = 20.09). Tips are coloured based on age to  
440 highlight the tendency for age-based coalescent events (i.e. tendency of younger samples to cluster  
441 as ingroups to older samples) in BEAST-estimated trees.

442

443 **Figure II.** Estimates of the substitution rate (in log 10 scale) against the width of the calibration  
444 window under two different populations sizes: (a)  $N = 483,427$ ; (b)  $N = 1,451,481$ . The solid  
445 horizontal line represent the true simulated rate (mean= $1e-8$ , sd=5%). Symbols represent the mean  
446 rate estimate for each simulation, with the error bars showing the 95% credible intervals. We  
447 conducted 10 randomizations for the date-randomization test for all data sets. Circles denote rate  
448 estimates that failed the test according to both criteria CR1 and CR2 (Duchêne *et al.* 2015), whereas  
449 triangles denote those that failed according to CR2 only. Numbers of type I and type II errors are  
450 shown for each rate treatment.

451

452 **Figure III.** Clustering of tip ages in BEAST-obtained trees based on simulated samples for (a)  $N =$   
453  $483,427$  and (b)  $N = 1,451,481$ . The ages of pairs of closest related tips is depicted, with original  
454 values represented in red, and date-randomised values represented in blue. Note how the difference  
455 between date-randomised and original data is smaller when the effective population size is  
456 comparatively larger, making it less likely to pass the test proposed by Duchene *et al.* (2015).

457

458 **Figure IV.** Association between tip-age and relative coalescence time. Patristic distance is used as  
459 an indicator for the time of coalescence of each sample in the tree. Note the empirical bison dataset  
460 (black) (Ho *et al.* 2007b) shows a much tighter association than any of the simulated datasets (small  
461  $N = 483,427$  in blue, large  $N = 1,451,481$  in red) indicating a strong tendency for samples to



462 coalesce together based on their age in this dataset. Such a pattern is expected under small effective  
463 population sizes and/or population structure.

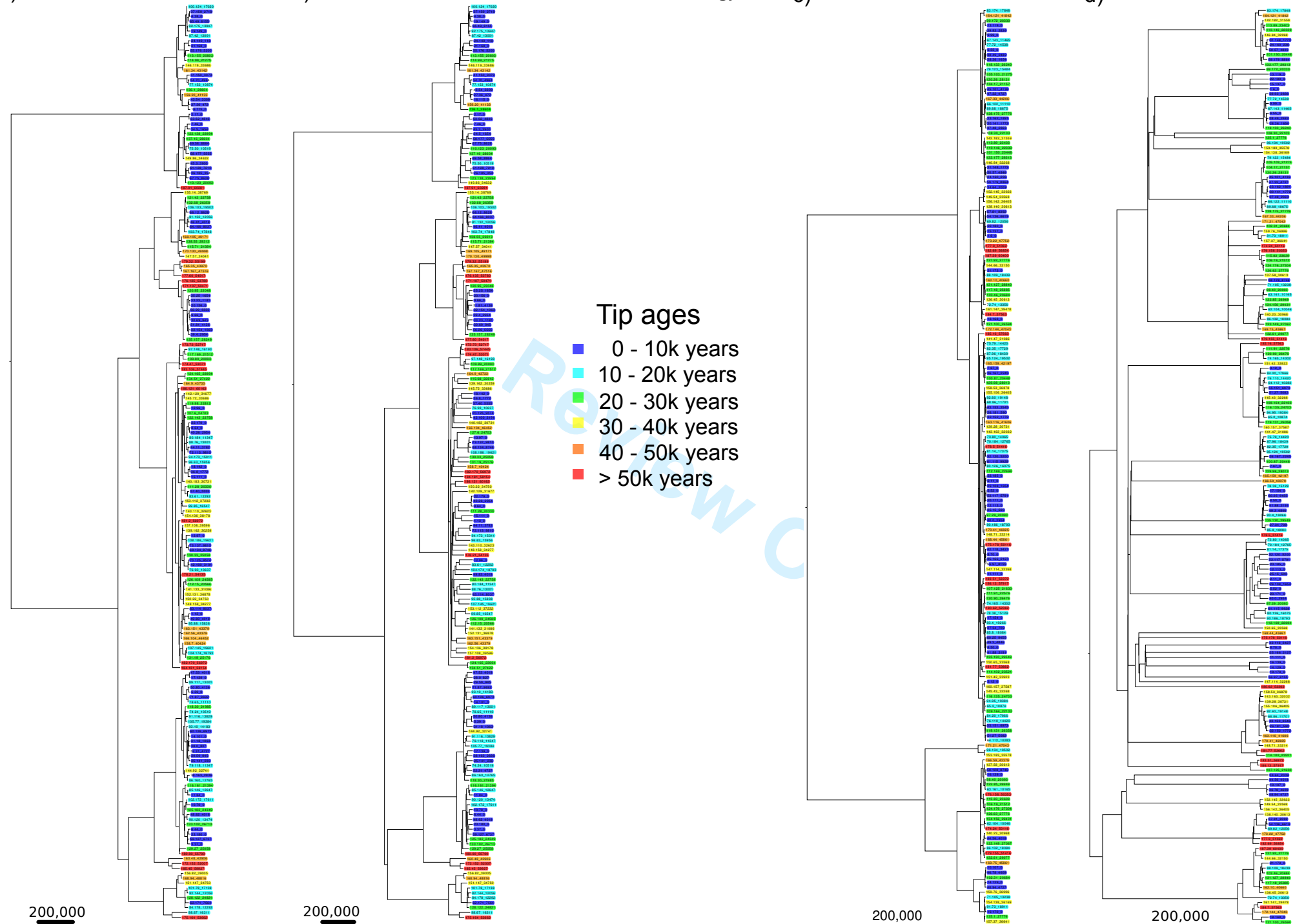
For Review Only

b)

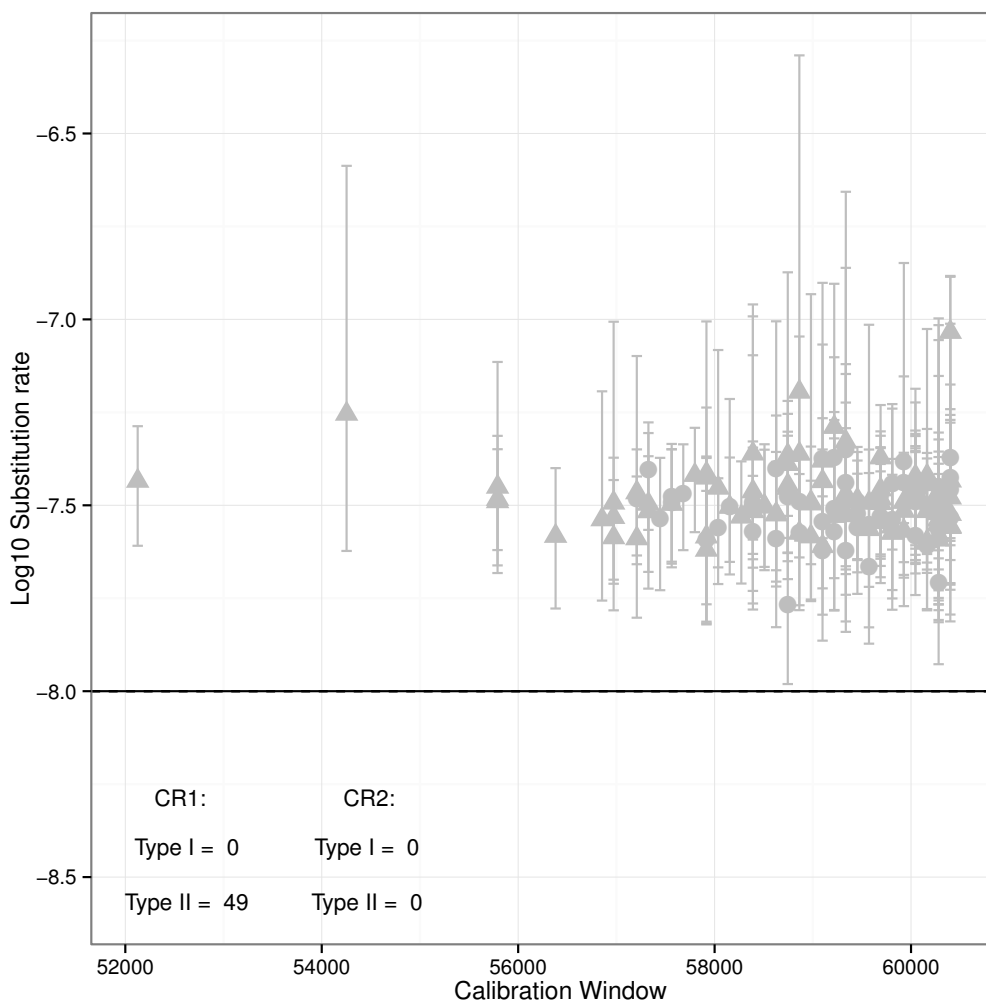
## Molecular Ecology

c)

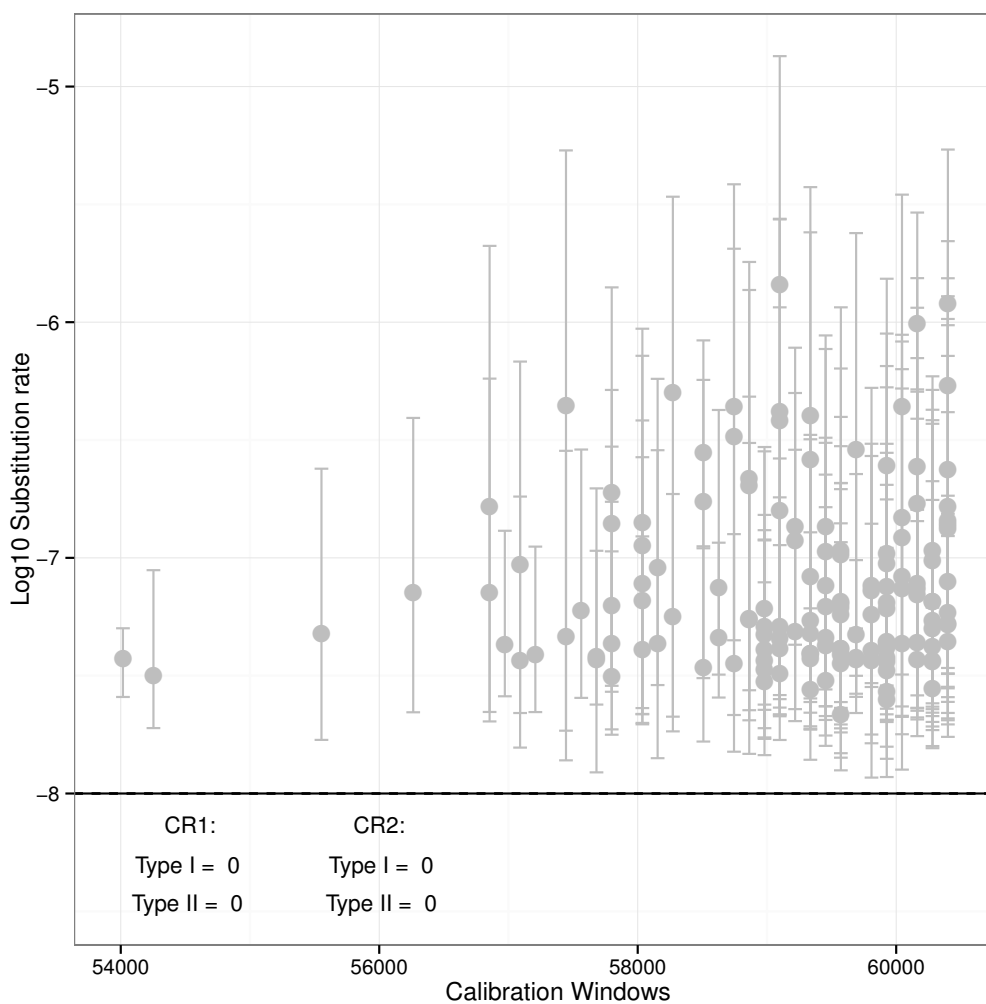
d)



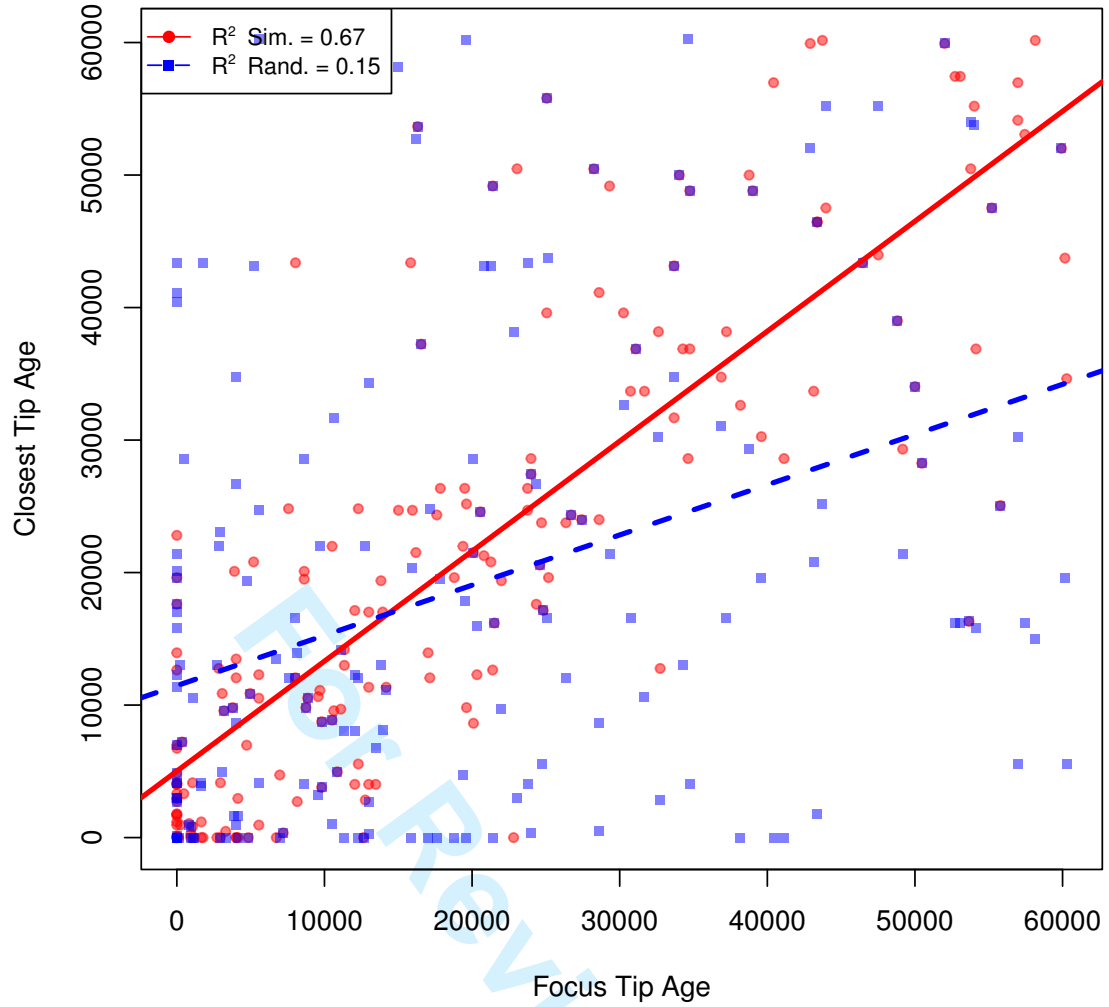
a)



b)



a)



b)

