

The relationship between scaled selection coefficients and dN/dS

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Inferring the strength of natural selection in protein-coding sequences along a phylogeny is a major objective in the field of molecular evolution. Two broad classes of Markov-process models have been developed to describe these selective pressures. The first and most widely-used variety, mechanistic codon (MC) models, estimate the evolutionary rate ratio dN/dS and have been developed to a high level of sophistication. The second class of models, known as mutation-selection-balance (MutSel) models, explicitly consider the dynamic interplay between mutation and selection, and estimate site-specific amino-acid or codon scaled selection coefficients. However, the extent to which these modeling frameworks relate to each other is unknown. Do dN/dS estimates yield similar or distinct information from scaled selection coefficients? To answer this question, we derive a formal mathematical relationship between these two quantities. We demonstrate that scaled selection coefficients can precisely predict dN/dS , indicating that MC and MutSel models are in complete agreement. Using this relationship, we can gain unique insight into the properties and limitations of both modeling frameworks. We find that MutSel models cannot describe positive selection and/or adaptive evolution, and are therefore only suitable when sequences evolve strictly under purifying selection. However, when synonymous mutations are not neutral, it is possible to achieve $dN/dS > 1$, even though positive selection is not occurring. Finally, we find that MC models produce systematically biased dN/dS estimates when nucleotide mutation rates are asymmetric, revealing that MC models do not properly account for nucleotide compositional bias.

mechanistic codon models | dN/dS | mutation-selection-balance models | scaled selection coefficients | Markov models of sequence evolution

Introduction

Over the years, various approaches to infer the strength of natural selection acting on protein-coding sequences in a phylogenetic context have been proposed. Traditionally, the focus has been on estimating the dN/dS , the rate of nonsynonymous to synonymous substitution rates. This metric indicates how quickly a protein's constituent amino acids change, and is widely used to identify cases of positive, diversifying selection ($dN/dS > 1$) [1, 2, 3, 4]. Frameworks for calculating dN/dS have broadly fallen into two camps: heuristic counting methods [5, 6, 7, 8, 9] and maximum likelihood methods [10, 11, 1, 12]. The latter variety, also known as mechanistic codon (MC) models, assume an explicit Markov-process model of sequence evolution, and yield maximum likelihood estimates (MLEs) for the parameter ω , which represents the quantity dN/dS . MC models have become a staple of comparative sequence analysis since their introduction in the 1990s (see ref [13] for a comprehensive review).

A second class of models, known as mutation-selection-balance (MutSel) models, are increasingly being viewed as a viable alternative to MC models. The MutSel framework, couched firmly in population genetics theory, considers the specific selective responses to of all site-wise mutations in a protein-coding sequence [14, 15]. MutSel models yield estimates of site-wise scaled selection coefficients $S = 2N_e s$, which indicate the extent to which natural se-

lection favors, or disfavors, particular codon or amino acid changes [14, 16, 17, 18]. Although first introduced over 15 years ago [14], MutSel models have seen little use due to their high computational expense. Recently, however, several computationally tractable model implementations have emerged [19, 20], allowing for the first time the potential for widespread adoption.

MC models have undergone rigorous development in their 20 years of existence and have advanced to high levels of sophistication. These models can accommodate a variety of evolutionary scenarios, including episodic [21, 22] and lineage-specific selection [23, 24, 25], and they can also incorporate information regarding protein structure and/or epistatic interactions [26, 27, 28, 29, 30]. This flexibility, along with accessible software implementations [31, 32, 33], make MC models a very attractive modeling choice. On the other hand, some have argued that MutSel models, given their explicit consideration of population genetics theory and attention to site-specific amino acid fitness differences, offer a more fine-grained approach to studying protein evolution than do MC models [14, 17, 18, 15]. Recent phylogenetic studies have also demonstrated that evolutionary models which account for amino acid fitness values offer dramatic improvements over MC models, suggesting that MutSel models may more aptly represent the evolutionary process [34, 35].

Although both MC and MutSel models describe the same fundamental process of protein-coding sequence evolution along a phylogeny, it is unknown how these two modeling classes relate to one another. In particular, as these inference methods have been developed independently, it remains an open question whether or not parameter estimates from one model are comparable to those of the other model. As a consequence, although certain rhetorical arguments may be made in favor of using one method over another, there is currently no formalized, concrete rationale to guide researchers in their methodological choices. Elucidating the relationship between these competing modeling frameworks will more precisely reveal under which circumstances the use of these models is justified.

Here, we formalize the relationship between MC and MutSel models by examining the extent to which their respective focal parameters, dN/dS and scaled selection coefficients, yield overlapping information about the evolutionary process.

Reserved for Publication Footnotes

To this end, we derive a mathematical framework to calculate dN/dS values from scaled selection coefficients. Through a simulation approach, we verify that these derived dN/dS values correspond exactly to ω MLEs inferred using standard MC models.

This robust relationship allows us to uncover certain properties and limitations of these modeling frameworks. For instance, we prove that, when synonymous mutations are neutral, dN/dS calculated from selection coefficients is necessarily less than 1, demonstrating that MutSel models are inherently only able to model purifying selection, and therefore would be an inappropriate model choice if positive selection is expected. However, we also find that, when synonymous codons have different fitnesses, it is possible to recover dN/dS values above 1, even though no positive selection is occurring. Finally, we determine that the MC equilibrium codon frequency parameters are insufficient to account for underlying mutational codon or nucleotide biases. Instead, MC models systematically underestimate dN/dS in the presence of nucleotide compositional bias. In sum, by elucidating how the MC and MutSel modeling frameworks relate to one another, we are able to gain unique insight into these models behaviors which would otherwise go unrecognized.

Results and Discussion

Theoretical model. We model sequence evolution as a continuous-time Markov process [12] under the assumptions of a fixed effective population size N_e and constant selection pressure over time. This process is governed by the 61×61 transition matrix $P(t) = e^{Qt}$, where the corresponding instantaneous rate matrix Q gives the instantaneous substitution probabilities between all 61 sense codons. We further assume that only single nucleotide changes occur instantaneously. We adopt the Halpern-Bruno [14, 16, 18, 15] MutSel modeling framework, which models the evolutionary process with explicit population genetics theory.

To begin, let f_i be the fitness of codon i , and thus the selection coefficient acting on a mutation from codon i to codon j is $s_{ij} = f_j - f_i$ [36, 16]. The fixation probability for a mutation from codon i to codon j is given by

$$P_{\text{fix}}(i \rightarrow j) = \frac{2s_{ij}}{1 - e^{-2N_e s_{ij}}} \approx \frac{1}{N_e} \frac{2N_e s_{ij}}{1 - e^{-2N_e s_{ij}}} \quad [1]$$

[37, 14, 16]. We further define $S_{ij} = 2N_e s_{ij}$ as the scaled selection coefficient for this mutation. We model the substitution as the product of fixation and mutation rates, μ . Therefore, the substitution probability for codon i to codon j is

$$q_{ij} = N_e \mu_{ij} P_{\text{fix}}(i \rightarrow j) = \mu_{ij} \frac{S_{ij}}{1 - e^{-S_{ij}}}, \quad [2]$$

and this expression corresponds to the instantaneous matrix element Q_{ji} . [14, 36]. Given detailed balance (reversibility), we have

$$q_{ij} p_i = q_{ji} p_j, \quad [3]$$

where p_i is the stationary frequency of codon i . From equations [2] and [3], we can write the ratio of substitution probabilities as

$$\frac{q_{ij}}{q_{ji}} = \frac{p_i \mu_{ij} S_{ij} (1 - e^{-S_{ji}})}{p_j \mu_{ji} S_{ji} (1 - e^{-S_{ij}})} \quad [4]$$

Given that $S_{ij} = -S_{ji}$, we can simplify equation [4] to show that $q_{ij}/q_{ji} = e^{S_{ij}}$, and we therefore find that

$$S_{ij} = \ln \left(\frac{p_j \mu_{ji}}{p_i \mu_{ij}} \right). \quad [5]$$

These equations establish a relationship between scaled selection coefficients and the stationary codon frequencies of the Markov model. Moreover, we note that in the specific case of symmetric mutation rates $\mu_{ij} = \mu_{ji}$, we have $S_{ij} = \ln \left(\frac{p_j}{p_i} \right)$ [36].

Mathematical relationship between scaled selection coefficients and dN/dS . Using the theory laid out in the previous subsection, we can calculate an evolutionary rate by summing over all substitution probabilities weighted by the frequency of the originating codon. Further, we can establish specific expressions for nonsynonymous and synonymous evolutionary rates, and then divide them in order to obtain a value for the evolutionary rate ratio dN/dS .

To begin, we can write the nonsynonymous rate K_N as

$$K_N = N_e \sum_i \sum_{j \in \mathcal{N}_i} p_i P_{\text{fix}}(i \rightarrow j) \mu_{ij}, \quad [6]$$

where \mathcal{N}_i is the set of codons that are nonsynonymous to codon i and differ from it by one nucleotide. To normalize K_N , we divide it by the number of nonsynonymous sites, which we calculate according to the mutational opportunity definition of a site [10, 12] as

$$L_N = \sum_i \sum_{j \in \mathcal{N}_i} p_i \mu_{ij}, \quad [7]$$

and thus we find that

$$dN = \frac{K_N}{L_N} = \frac{N_e \sum_i \sum_{j \in \mathcal{N}_i} p_i P_{\text{fix}}(i \rightarrow j) \mu_{ij}}{\sum_i \sum_{j \in \mathcal{N}_i} p_i \mu_{ij}}. \quad [8]$$

Similarly, for dS , the synonymous evolutionary rate K_S per synonymous site L_S , we find

$$dS = \frac{K_S}{L_S} = \frac{N_e \sum_i \sum_{j \in \mathcal{S}_i} p_i P_{\text{fix}}(i \rightarrow j) \mu_{ij}}{\sum_i \sum_{j \in \mathcal{S}_i} p_i \mu_{ij}}, \quad [9]$$

where \mathcal{S}_i is the set of codons that are synonymous to codon i and differ from it by one nucleotide substitution. The quantities K_S and L_S are defined as in Eqs. [??] and [7] but sum over $j \in \mathcal{S}_i$ instead of $j \in \mathcal{N}_i$. Moreover, we note that, if we make the dual assumptions that nucleotide mutation rates are symmetric and that all synonymous codons have equal fitness (i.e. synonymous mutations are neutral), the synonymous fixation rate $P_{\text{fix}}(i \rightarrow j) = 1/N_e$ [38]. Under this circumstance, the value for dS reduces to 1.

dN/dS accurately reflects selection strength. Using the theoretical framework established in equations [1] - [9], we can examine the relationship between the dN/dS values corresponding to different distributions of scaled selection coefficients. To this end, we generated 200 distinct distributions of amino acid fitness values f_a . We drew these 20 amino acid fitness values from a normal distribution $\mathcal{N}(0, \sigma^2)$, where $\sigma^2 \sim \mathcal{U}(0, 4)$. Here, σ^2 effectively represents the strength of natural selection; higher σ^2 correspond to larger fitness difference among amino acids, prompting selection to act more strongly against nonsynonymous changes. In other words, high σ^2 values indicate strong purifying selection, while lower values indicate weaker purifying selection. We additionally note that these amino acid fitness quantities correspond to the amino acid propensity parameters estimated by currently available MutSel inference methods [19, ?]/

We then converted each distribution of amino acid fitnesses to a corresponding set of codon fitnesses. For 100 of the distributions, we assumed that synonymous changes were

neutral, and thus we directly assigned each codon the same fitness $f_i = f_a$. For the other 100 sets of fitnesses, we allowed synonymous codons to have different fitness values. In these circumstances, we randomly selected a preferred codon for each amino acid, and we assigned the preferred codon the fitness of $f_i = f_a + \lambda$ and all non-preferred codons the fitness $f_i = f_a - \lambda$. We drew a unique λ for each fitness distribution from $\mathcal{U}[0, 2]$. We refer to first set of codon selection coefficients as “no codon bias,” and the second set as “codon bias.”

Finally, using equations [1] - [9], we computed dN/dS for each distribution of codon fitnesses. For these calculations, we also need to select mutation rates. We set the mutation rate for transitions as $\mu\kappa$, and the rate for all transversions as μ . We use the value $\mu = 10^{-6}$ for all dN/dS calculations, and we draw a unique value for κ from $\mathcal{U}[1, 6]$ for each set of codon fitnesses.

We found that dN/dS values scale excellently with the variance (σ^2) of the distribution of amino-acid scaled selection coefficients (Figure ??). As Figure 1 demonstrates, dN/dS and σ^2 are strongly negatively correlated; when fitness differences among amino acids are very high, dN/dS takes on lower values, properly reflecting stronger purifying selection. Furthermore, as expected, this trend is much stronger for alignments without codon bias (Figure 1A, $r^2 = 0.83$) than for alignments with codon bias (Figure 1B, $r^2 = 0.45$). The weakened relationship for alignments with codon bias emerges from the fact that fitness differences among synonymous codons will obscure underlying amino acid fitness differences. Even so, the presence of codon bias does not remove the significant negative correlation between dN/dS and selection strength.

Importantly, Figure 1A demonstrates that, in the limiting case when σ^2 approaches 0, and thus all codons have virtually the same fitness, dN/dS converges to 1. More precisely, the largest dN/dS value recovered for alignments without codon bias was 0.997, and this alignment featured a $\sigma^2 = 0.08$. This result properly reflects the case of neutral evolution. In fact, in **PROOF**, we prove that, when synonymous changes are neutral and mutation is symmetric (i.e. $\mu_{xy} = \mu_{yx}$), dN/dS is necessarily always less than or equal to 1. We have also proven that, when synonymous changes are neutral and mutation rates are symmetric, dN/dS as calculated from scaled selection coefficients will always be less than 1. This proof formalizes the MutSel model underlying assumption that selection pressure is constant over the phylogeny and confirms that MutSel models are inherently unable to describe positive, diversifying selection. Although this proof assumes symmetric nucleotide mutation rates, we do not expect that deviations from this assumption will have dramatic effects on dN/dS estimates. Therefore, we conclude that the MutSel framework is an inappropriate model when positive selection is expected, as the model may yield spurious and misleading results.

However, this restriction of $dN/dS < 1$ does not hold when synonymous changes are not neutral, as seen in Figure 1B. In other words, even though the underlying evolutionary model assumes constant selection pressure over time and therefore no positive selection is occurring, dN/dS can readily be greater than 1. Furthermore, we find that it is theoretically possible to achieve arbitrarily high dN/dS values when there are fitness differences among synonymous codons; in the most extreme case of codon bias, where only a single codon per amino acid is selectively tolerated, the number of synonymous sites $L_S = 0$, and thus the value for dN/dS approaches infinity. Given that the MutSel model framework assumes an overarching regime of purifying selection, this finding might seem paradoxical. However, the logical argument that $dN/dS > 1$ represents positive, diversifying selection assumes that the rate of synonymous change may be used as a neutral benchmark, an as-

sumption which codon bias clearly violates. Thus, in theory, what is classically termed positive selection can result simply from strong synonymous fitness differences.

Application of above. A useful outcome of the relationship we present is that we can use it to benchmark inference methods.... **introductory sentence/paragraph of some variety, here are some thoughts.** An important application of the robust relationship we have established between dN/dS and selection coefficients is that we can use it to examine how the different modeling frameworks broadly relate to one another. For instance, this relationship might serve as a benchmark to determine if dN/dS and MutSel inference methods yield comparable results. Typically, we assess model performance by simulating data under simple circumstances which adhere to the model’s underlying assumptions. While this is a valuable, it’s not all we can do. For instance, that Holder study was able to identify unknown limitations in phylogenetic methods.

Therefore, we simulated alignments as a continuous-time Markov process [12] according to the Halpern-Bruno model [14] to examine how our dN/dS derivation performs relative to standard dN/dS inference methods. We simulated 200 alignments using the scaled selection coefficients generated in the previous subsection, and for each alignment, inferred dN/dS using the M0 model [10, 2], as implemented in the HyPhy batch language [31]. This model uses the GY94 instantaneous rate matrix, which includes the primary parameters κ , or the transition/transversion bias, equilibrium codon frequencies π , and finally ω , which represents the dN/dS rate ratio [10, 1]. Throughout the remaining text, we refer to dN/dS as inferred using maximum likelihood by its parameter ω , and to dN/dS computed using equations [1] - [9] simply as dN/dS . Moreover, we refer to former’s model class as ω models, while we recognize that not all formulations use ω but some separate out synonymous/nonsynonymous rates [11, 39].

The relationship between dN/dS and ω measurements is shown in Figure 2A-B. It is clear that dN/dS values computed from scaled selection coefficient agree nearly perfectly with ω , and the presence of codon bias does not influence this robust relationship. Additionally, in Figure 2C, we demonstrate that ω converges to the true dN/dS value as the size of the data set, represented by simulated alignment length, increases.

These results demonstrate that the dN/dS quantity is fully contained within MutSel model parameters, and that both the and MutSel models yield consistent information. This finding has important implications for modeling choices; although the MutSel framework might model the sequence evolution in a way that more mechanistically matches the evolutionary process, ω models are still able to perform really well.

Now that we confirm that dN/dS inference frameworks play nicely with MutSel models, we can test the accuracy of ω models using more realistic parameters. To this end, we made use of realistic amino acid fitness and nucleotide mutation rate parameters. In particular, we used influenza nucleoprotein (NP) site-specific amino acid preference values, given by ref. [34]. These data consisted of experimentally-determined fitness values for each individual amino acid across all sites in NP, yielding 498 distinct amino acid propensity distributions. We combined these experimental fitness parameters with three sets of experimentally determined mutation rates, either for NP [34], yeast [40], or polio virus [41]. While each of these mutation matrices is asymmetric, they feature differing degrees of asymmetry, with NP mutation rates being the most symmetric and polio mutation rates the most asymmetric. More precisely, in the absence of amino-acid level selection, the GC-

contents that the NP, yeast, and polio mutation rates would generate are 0.518, 0.336, and 0.192, respectively. Finally, we built an experimentally-informed evolutionary models for each combinations of amino acid fitness distributions and mutation rates calculated stationary codon frequencies, using the approach outlined in refs. [34, 35]. We calculated stationary codon frequencies for each experimental model, and used these values in combination with the corresponding mutation rates to simulate and infer dN/dS .

When inferring ω , we used five different codon frequency model parameterizations. These parameterizations included F_{equal}, which assigns frequencies of 1/61 to all sense codons, [12] and the common frequency estimators F61 [10], F3x4 [11], and CF3x4 [42]. The F61 estimator approximates these model parameters using an alignment's empirical codon frequencies, while the F3x4 and CF3x4 estimators approximate codon frequency parameters using positional nucleotide frequencies. Additionally, we inferred ω using a fifth frequency parameterization which consisted of the codon frequencies that would arise strictly from mutation, in the absence of natural selection. We term this parameterization "F_{true}," as its values are precisely those intended for these model parameters [10, 11, 9, 12].

Figure 3 shows the resulting relationships between dN/dS and ω MLEs for each set of mutation rates (NP, yeast and polio), across M0 model codon frequency parameterizations (full regression plots are shown in Figure S3). Figure 3A displays the bias, or systematic deviation from a 1:1 relationship, between dN/dS and ω , and Figure 3B displays r^2 values between dN/dS and ω . Note that a bias of 0 would indicate a perfect correlation between dN/dS and ω .

Overall, Figure 3 demonstrates that, as mutation rates become increasingly asymmetric, the relationship between dN/dS and ω decreases in strength and accuracy. This trend exists across all 5 codon frequency parameterizations; ω inferences on alignments with NP mutation rates have the least amount of bias, followed by yeast and finally polio mutation rates, and a parallel trend exists for the correlation strengths. Strikingly, even though F_{true} uses the exact values intended for these parameters, it does not strongly outperform the other frequency parameterizations. Instead, F_{true} features the same general trend of decreasing accuracy with increasing mutational asymmetry. Surprisingly, the F_{equal} parameterization performs similarly, if not better than, the other frequency estimators examined here. F_{equal} features the least amount of bias, and has very high correlations for both NP and yeast mutation rates. Although F_{equal} yields lower r^2 values for polio mutation rates than do F61, F3x4, and CF3x4, the relative strength of the r^2 values for the latter three estimators is misleading given their relatively high biases. In fact, these increased biases demonstrate that these estimators systematically underestimate dN/dS . Taken together, these results imply that the codon frequency parameters in MC models cannot adequately account for nucleotide compositional bias as generated by mutation.

There is a noteworthy exception to the overall trend of ω underestimation; ω MLEs for NP mutation rates, when computed using F61, were actually overestimates of dN/dS . We attribute this result to the fact that the NP mutation rates were only minimally asymmetric, and in the absence of natural selection, these mutation rates would produce nearly even nucleotide frequencies. Importantly, when nucleotide mutation rates are symmetric, steady-state codon frequencies are controlled only by selection, as there is no opportunity to generate compositional bias through mutation [36]. Therefore, because the F61 estimator directly uses empirical codon frequencies, the resulting M0 codon frequency parameters actually con-

tain information about the strength of natural selection. The end result is that selection pressures which should be strictly incorporated in the ω parameter are inadvertently contained within the codon frequency parameters. Thus, the model infers selection to be weaker than it actually is, producing elevated ω MLEs. Although the ω overestimation was relatively small in this particular case, this example highlights that it is crucial to properly parameterize MC models. If these models are incorrectly parameterized, the ω parameter will no longer accurately represent the dN/dS evolutionary rate ratio, but will instead be a meaningless quantity.

The oldest and most-widely used method to infer selection pressure in protein-coding genes calculates the evolutionary rate ratio dN/dS , which represents the ratio of non-synonymous to synonymous substitution rates. In turn, dN/dS is commonly used to identify proteins or protein sites that experience negative selection ($dN/dS < 1$), evolve neutrally ($dN/dS \approx 1$), or experience positive, diversifying selection ($dN/dS > 1$) [1, 2, 3]. Typically, dN/dS is computed in a maximum likelihood framework using mechanistic codon (MC) models. By contrast, MutSel models estimate scaled selection coefficients for amino acid and/or codons [14, 17, 18, 15, 20]. Thus, while MC models describe the how quickly a protein's constituent amino acids change, MutSel models calculate the strength of natural selection operating on specific amino-acid or codon changes.

Until now, however, it has been an open question how these two modeling frameworks relate to one another. Whether these models' focal parameters, dN/dS and scaled selection coefficients, yield comparable or distinct information about the evolutionary process has been unknown. To solve this question, we have derived a formal mathematical relationship between dN/dS and codon scaled selection coefficients. Through a simulation approach, we confirm that dN/dS can be precisely calculated from scaled selection coefficients, demonstrating that MC models and MutSel models are in full agreement. Furthermore, this relationship is robust to fitness differences among synonymous codons. We note that our implementation of codon bias explicitly assumed that selection alone, and not mutation, was the sole source of codon bias. This implementation might not be entirely biologically realistic, as both mutational and selective forces likely contribute to codon bias in real genomes [43, 44, 45, 46, 47]. However, the key finding that we present is that fitness differences among synonymous codons do not affect the robust mathematical equivalency between scaled selection coefficients and dN/dS .

We have also proven that, when synonymous changes are neutral and mutation rates are symmetric, dN/dS as calculated from scaled selection coefficients will always be less than 1. This proof formalizes the MutSel model underlying assumption that selection pressure is constant over the phylogeny and confirms that MutSel models are inherently unable to describe positive, diversifying selection. Although this proof assumes symmetric nucleotide mutation rates, we do not expect that deviations from this assumption will have dramatic effects on dN/dS estimates. Therefore, we conclude that the MutSel framework is an inappropriate model when positive selection is expected, as the model may yield spurious and misleading results.

Alternatively, when the synonymous changes are not strictly neutral, it is theoretically possible to achieve $dN/dS > 1$ (Figures 2B and ??B). In fact, fitness differences among codons can generate arbitrarily high dN/dS values; in the most extreme case of codon bias, in which only a single codon per amino acid is selectively tolerated, the number of synonymous sites $L_S = 0$, and thus the value for dN/dS approaches

infinity. Given that all simulations here assumed an over-arching regime of purifying selection, the finding that dN/dS can still be greater than 1 might seem paradoxical. However, the logical argument that $dN/dS > 1$ represents positive selection assumes that synonymous substitutions are selectively neutral, an assumption which is violated when synonymous codons have different fitnesses. Thus, in theory, what is classically termed positive selection can result simply from strong synonymous fitness differences. Even so, it is unlikely that this possibility will strongly influence real analyses, as selection on synonymous codons has been shown to be relatively weak in most taxa [45]. For instance, experimental evidence from the yeast Hsp90 protein suggests that, while there are some fitness differences among synonymous codons, these differences are exceedingly minimal compared to fitness differences among amino acids [48, 49]. However, it is possible that estimates of positive selection in species with high levels of codon bias, such as bacterial, *Drosophila*, or certain mammalian species [44, 50, 47], may not be true cases of positive selection, but rather signals of strong codon bias.

The dN/dS calculations we have proposed differ fundamentally from previously proposed frameworks, including both counting [5, 6, 7, 8, 9] and maximum likelihood methods [10, 11, 12, 13], in that they are solidly grounded in population genetics theory. Counting methods, on the other hand, simply enumerate the number of nonsynonymous and synonymous changes, weighted by the number of sites, and maximum likelihood methods effectively yield a summary statistic ω which is expected to equal dN/dS . That the dN/dS values calculated using equations [??] - [9] agree precisely with ω estimates inferred from the M0 model lends firm support for the validity of our dN/dS calculations, and indeed to the methodological accuracy of MC models. We emphasize, however, that our method for computing dN/dS is only suitable when the protein is evolving strictly at equilibrium, or when selection pressures are constant over the phylogeny.

However, MC models inferred dN/dS with extremely high accuracy only when nucleotide mutation rates were symmetric. In the presence of asymmetric mutation rates, the relationship between dN/dS and ω MLEs weakened substantially. As our dN/dS calculations explicitly incorporate nucleotide mutation rates, we contend that this weakened relationship resulted from incorrect ω inferences. In particular, we find that MC models systematically underestimate dN/dS in line with increasing mutational bias. Furthermore, we are confident that this trend definitively resulted from asymmetric mutation rates, and not from uneven nucleotide compositions. Indeed, our alignments simulated with symmetric mutation rates featured a wide array of GC-contents, ranging from 0.22-0.82. The underlying mutational symmetry means that unequal nucleotide compositions arose strictly from natural selection favoring particular amino acids, and MC models inferred dN/dS perfectly in these circumstances.

Therefore, it appears that, when nucleotide compositional bias results from mutational processes, MC models produce negatively biased dN/dS estimates. MC models attempt to deal with mutation-induced nucleotide compositional bias through the use of equilibrium codon frequency parameters [12]. Unlike the equilibrium, stationary frequencies on which we have focused throughout this paper, these frequency parameters are intended to represent the codon frequencies which would exist in the absence of amino-acid level selection, but from mutational or other biological processes, such as GC-biased gene conversion [51, 52], alone [10, 11, 9, 12]. However, even a codon frequency parameterization using precisely these values (F_{true}) still suffers from a decrease in accuracy

as mutation-induced nucleotide compositional bias increased. Surprisingly, the Fequal frequency parameterization, which assigns parameter values of 1/61 for all sense codons and is therefore no different from a matrix-scaling factor, performs just as well, if not better, than do all other frequency parameterizations, including the standard F61, F3x4, and CF3x4 estimators. Taken together, these results strongly suggest that the MC model's codon frequency parameters are ill-suited to accommodate compositional biases which result from forces other than amino-acid level selection. We therefore suggest that future work investigate the utility of novel parameters for MC models which better account for asymmetry in the mutational process.

We additionally emphasize that improper model parameterizations lead to spurious ω MLEs which do not accurately represent dN/dS . If other model parameters (κ and equilibrium codon frequencies) are specified incorrectly, or inadvertently contain information about amino-acid level natural selection, the resulting ω MLE will not represent the true dN/dS evolutionary rate ratio. Only by ensuring that ω is the only model parameter which contains information about natural selection will it assuredly represent dN/dS .

In sum, we have garnered several important insights into the behavior of MC and MutSel models, as well as the dN/dS metric. These results were only made possible through establishing a formal mathematical relationship between distinct modeling frameworks. We believe that the approach presented in this paper represents a promising future avenue for methodological benchmarking. Typically, researchers assess the performance of a given inference framework through simulations which adhere to the underlying model's assumptions (with a notable exception of ref. [53]). While this strategy is critical for testing whether a model implementation behaves as expected, it is innately incapable of assessing the limitations and properties of the inference framework under more general conditions, and it cannot confirm that the underlying model accurately represents the evolutionary process. Therefore, we suggest an alternate approach to benchmark inference methods: assessing the extent to which distinct models agree may serve as a novel, robust strategy to determine the accuracy and specific utility of different modeling frameworks. As we have shown here, this approach has great potential to reveal previously unrecognized model properties or biases and will help ensure robust model development going forward.

Methods

Simulation of scaled selection coefficients We first examined the relationship between dN/dS and scaled selection coefficients by simulating 200 distributions of amino acid scaled fitness values, $F_a = 2Nf_a$, from a normal distribution $\mathcal{N}(0, \sigma^2)$, where a unique σ^2 was drawn from $\mathcal{U}(0, 4)$ for each fitness distribution. We converted these amino acid fitnesses to codon fitnesses, F_i . For 100 of the fitness distributions, we directly assigned all codons within a given amino acid family the fitness f_a , giving all synonymous codons the same fitness. For the other 100 fitness distributions, we assigned synonymous codons different fitnesses by randomly selected a preferred codon for each amino acid. This preferred codon was assigned the fitness of $F_i = F_a + \lambda$, and all non-preferred codons were given the fitness $F_i = F_a - \lambda$. We drew a unique λ for each fitness distribution from $\mathcal{U}[0, 2]$. We then computed stationary codon frequencies as

$$p_i = \frac{e^{F_i}}{\sum e^{F_k}}, \quad [10]$$

where the sum in the denominator runs over all 61 sense codons [36]. Equation [10] gives the analytically precise stationary frequencies for a MutSel model, under the assumption of symmetric nucleotide mutation rates, i.e. where $\mu_{xy} = \mu_{yx}$ [36]. For each resulting set of stationary codon frequencies, we used equations [6] - [9] to compute a dN/dS value. For these calculations, we set the mutation rate for transitions as $\mu\kappa$, and the rate for all transversions as μ . We used the value $\mu = 10^{-6}$ for all dN/dS calculations, and we drew a unique value for κ from $\mathcal{U}[1, 6]$ for each set of codon frequencies.

Alignment simulations. We simulated protein-coding sequences as a continuous-time Markov process using standard methods [12] according to the Halpern-Bruno MutSel model [14]. In simplified form, this model's instantaneous rate matrix Q is given by

$$Q_{ji} = \begin{cases} \mu_{ij} \frac{S_{ij}}{1 - 1/S_{ij}} & \text{single nucleotide change} \\ 0 & \text{multiple nucleotide changes} \end{cases}, \quad [11]$$

for a mutation from codon i to j , where μ_{ij} is the mutation rate, p_i is the stationary frequency for codon i , and the scaled selection coefficient S_{ij} is defined in equation [5]. All alignments presented here were simulated along a 4-taxon phylogeny, beginning with a root sequence selected from stationary codon frequencies. Unless otherwise stated, all simulated alignments contained 500,000 codon positions. A single evolutionary model was applied to all positions in the simulated sequences. While this lack of site-wise heterogeneity is unrealistic for real sequence evolution, it allowed us to verify our derived relationship between scaled selection coefficients and dN/dS with a sufficiently sized data set.

Computation of stationary frequencies for experimental data sets. We used experimentally-determined site-specific amino acid fitness parameters (F_a) for influenza nucleoprotein (NP), from Bloom 2014 [34], in combination with experimental nucleotide mutation rates for either NP [34], yeast [40], or polio virus [41] to derive realistic distributions of stationary codon frequencies. Bloom 2014 reported 498 distinct site-wise amino acid preference distributions for NP [34]. We combined these 498 amino acid preference sets with each of the three mutation rate matrices sets to construct a total of $498 \times 3 = 1494$ unique experimental evolutionary Markov models, using the approach in refs. [34, 35]. The instantaneous matrix for these experimental models is given by

$$Q_{ji} = \begin{cases} \frac{F_j}{F_i} \mu_{ij} & \text{single nucleotide change, where } F_j \geq F_i \\ \mu_{ij} & \text{single nucleotide change, where } F_j < F_i \\ 0 & \text{multiple nucleotide changes} \end{cases}, \quad [12]$$

where F_i is the fitness of codon i [34, 35]. We calculated F_i values by simply assigning a given amino acid's experimental fitness F_a to each of its constituent codons; thus, all

synonymous changes are neutral. We determined the stationary codon frequencies for each resulting experimental model from the matrix's eigenvector corresponding to the eigenvalue 0. Finally, we simulated alignments for each set of stationary frequencies and corresponding mutation rates according to equation [11].

Maximum likelihood inference of dN/dS We inferred ω for all simulated alignments using the M0 model. For the 200 alignments simulated with symmetric mutation rates, we inferred dN/dS using the M0 model [2], as implemented in the HyPhy batch language [31]. The M0 model uses the GY94 instantaneous rate matrix,

$$Q_{ji} = \begin{cases} \pi_j & \text{synonymous transversion} \\ \kappa\pi_j & \text{synonymous transition} \\ \omega\pi_j & \text{nonsynonymous transversion} \\ \omega\kappa\pi_j & \text{nonsynonymous transition} \\ 0 & \text{multiple nucleotide changes} \end{cases}, \quad [13]$$

where κ is the transition-transversion bias, π_j is the equilibrium frequency of the target codon j , and ω represents dN/dS [10, 1]. Importantly, this model's π parameters are intended to represent those codon frequencies which would exist in absence of selection pressure, but those which would result from mutation alone [10, 11, 9, 12]. Therefore, when inferring ω for alignments simulated with symmetric mutation rates, we used the F_equal frequency parameterization, which assigns equal values of $1/61$ for all π_i [12]. F_equal gives the exact codon frequencies expected under symmetric mutation, in the absence of selection. Alternatively, when inferring ω for alignments simulated with experimental mutation rates, we used 5 different sets of equilibrium frequency parameterizations. First, we inferred ω by specifying codon frequencies which would arise strictly from mutational processes in the absence of natural selection. We computed these codon frequency values using the same approach as we did in calculating the true steady-state codon frequencies, except instead of using the experimental amino acid preference data, we assigned all amino acids the same preference value of 0.05. This strategy eliminated amino-acid level selection and allowed mutation rates alone to determine equilibrium codon frequencies. We term this frequency parameterization "Ftrue." Finally, we used the common frequency estimators F61 [10], F3x4 [11], and CF3x4 [42]. As typical analyses consider model frequency parameters as protein-wide (not site-specific) parameters, we computed these parameter values by pooling, for each set of mutation rates, all 498 steady-state codon frequencies to derive average codon frequencies. This approach yielded a set of global equilibrium frequencies for each set of mutation rates, and we calculated the F61, F3x4, and CF3x4 frequencies from these distributions. Finally, we used ω with the F_equal parameterization.

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Figures

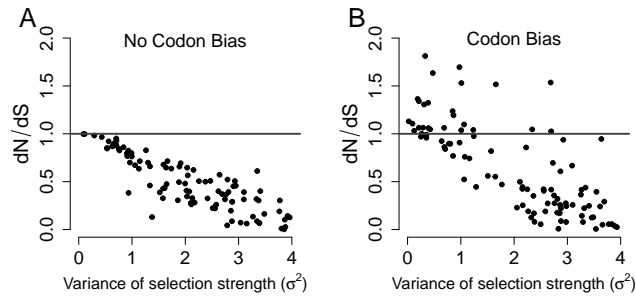


Fig. 1. dN/dS decreases in proportion to amino-acid level selection strength. dN/dS is plotted against the σ^2 of the simulated distribution of amino-acid scaled selection coefficients. Higher values of σ^2 indicate larger fitness differences among amino acids, whereas the limiting value of $\sigma^2 = 0$ means that all amino acids have the same fitness. (A) Synonymous codons have equal fitness values ($r^2 = 0.83$). (B) Synonymous codons have different fitness values ($r^2 = 0.45$). Importantly, (B), but not (A) shows dN/dS values greater than 1, in spite of the steady-state evolutionary process.

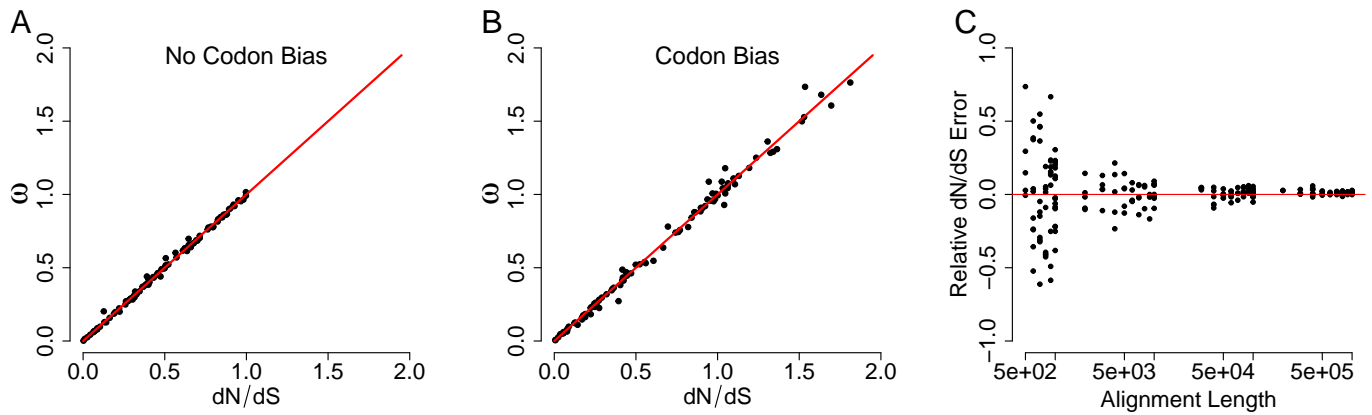


Fig. 2. Regressions between dN/dS values as calculated from scaled selection coefficients and as inferred using the M0 mechanistic codon model. Each point corresponds to a single simulated alignment. All ω values shown here were inferred by parameterizing the M0 model with κ fixed to its true, simulated value as well as the Fequal codon frequency specification [12]. The red line in panels (A-B) is the $x = y$ line. (A) Synonymous codons have equal fitness ($r^2 = 0.997$). (B) Synonymous codons have different fitness values ($r^2 = 0.992$). (C) Convergence of ω MLEs to the true dN/dS value. The y-axis indicates the relative error of the maximum likelihood dN/dS estimate, and the x-axis indicates the number of positions in the simulated alignment. As the number of positions, and hence the size of the data set, increases, the maximum likelihood estimates converge to the dN/dS values calculated using equations [??]-[9]. The red line in panel (C) is the line $y = 0$, indicating no error.

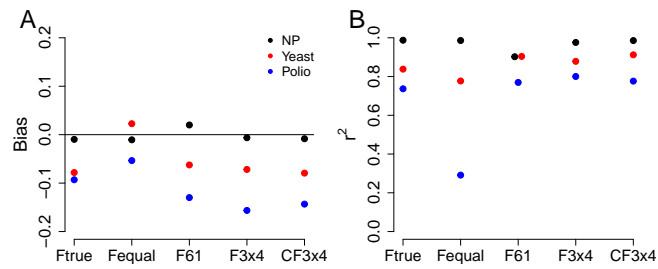


Fig. 3. Bias and correlation between dN/dS and ω MLEs across M0 codon frequency parameterizations, for each set of nucleotide mutation rates. (A) Bias, or systematic deviation from a 1:1 relationship. (B) r^2 values between dN/dS and ω . All bias and r^2 values are highly statistically significant, with all $p < 10^{-12}$.

Supplementary Information

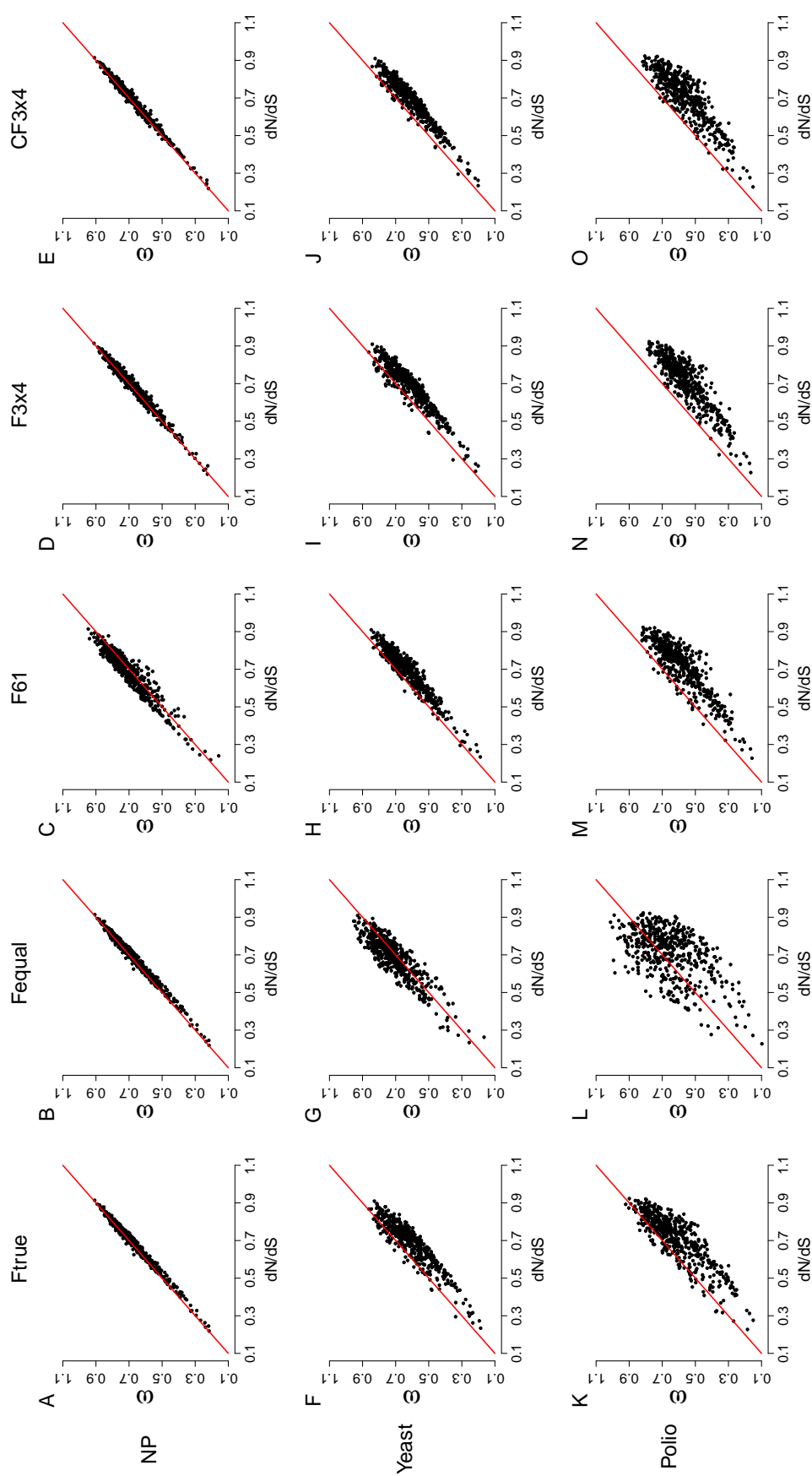


Figure S3. Regression plots for ω MLEs versus dN/dS values computed from scaled selection coefficients, for each set of nucleotide mutation rates and all M0 codon frequency parameterizations. Each point represents a single simulated alignment, and the red lines correspond to $x = y$. (A) Simulations which assigned equal fitness values to synonymous codons. (B) Simulations which allowed different fitness values among synonymous codons.

Table S1. Estimator bias, representing the mean difference between the expected dN/dS value and estimated ω , representing the systematic deviation from a 1:1 relationship, between ω MLEs and dN/dS , for all mutation rates and M0 codon frequency parameterizations examined. Negative bias values indicate that ω MLEs are, on average, lower than dN/dS . All biases are statistically significant, with all $p < 10^{-12}$.

Mutation rate	M0 model codon frequency parameterization				
	Ftrue	Fequal	F61	F3x4	CF3x4
NP	-0.00971	-0.0107	0.02	-0.0063	-0.0084
Yeast	-0.0782	0.0226	-0.0625	-0.0718	-0.0794
Polio	-0.0931	-0.0534	-0.130	-0.156	-0.143

Table S2. NYP r^2 values between ω MLEs and dN/dS , for all mutation rates and M0 codon frequency parameterizations examined. All r^2 values are statistically significant, with all $p < 10^{-15}$.

Mutation rate	M0 model codon frequency parameterization				
	Ftrue	Fequal	F61	F3x4	CF3x4
NP	0.988	0.986	0.902	0.976	0.986
Yeast	0.938	0.777	0.904	0.878	0.912
Polio	0.737	0.291	0.770	0.800	0.776