

1 Woody plant phenological responses are strongly associated  
2 with key functional traits

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## Summary

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## Introduction

The timing of spring life history events, or phenologies, are ecologically important and shape both ecosystem services and community dynamics. The beginning of spring growth defines the start and overall length of the growing season, determining the potential of forest carbon storage and the abundance and identity of species interactions with herbivores or pollinators (Cleland et al., 2007; Beard et al., 2019; Gu et al., 2022). Climate change, however, is causing species phenological events to shift, altering phenological cues and causing many species to start their growth earlier (Menzel et al., 2006; Vitasse et al., 2021).

Amidst these trends, we still see high variability in spring phenology across years and species. In one of the most well studied systems, temperate forests, we see variation in the budburst and leaf out across species, starting with understory plants, and followed later in the season by budburst of taller trees. It is long known that the observed inter-annual variation is driven by shifts in temperature, with recent advances in our understanding of budburst phenology underscoring this (Laube et al., 2014; Flynn and Wolkovich, 2018). These advances identified important differences across species, but provided limited reasons for species differences (Laube et al., 2014; Chuine et al., 2016; Flynn and Wolkovich, 2018).

Within a community, different species can start growth each year across several weeks, and will thus experience different selective pressures. For example, phenological records for 33 canopy and understory tree and shrub species at Harvard Forest show budburst dates to vary by about six weeks, with most understory species budbursting earlier than canopy species (Richardson and O’Keefe, 2009). Species that budburst early experience greater abiotic pressures, such as the risk of tissue loss from false spring events and frost damage, as well as the benefit of more light reaching the canopy floor and resource availability (Rathcke and Lacey, 1985; Hufkens et al., 2012). In contrast, late species have greater selection from biotic pressures, as competition for resources is greater and less light available through the canopy (Lopez et al., 2008; Wolkovich and Ettinger, 2014).

Differences in the timing of selective pressures within the growing season could shape a number of different plant attributes. Species with earlier budburst may produce cheaper leaves that can be more easily replaced if damaged (Reich et al., 1999). But later budbursting species would benefit from investing in long-lived leaves that infer greater resource acquisition and retention (Gorné et al., 2020). These differences in traits and trade-offs in plants’ allocation of resources to growth and tissue quality can be related to a broader framework of species growth strategies and functional traits (Wolkovich and Ettinger, 2014).

A goal of trait ecology is to use traits as species-level proxies for characteristics that predict patterns in species growth and species interactions (McGill et al., 2006). Many leaf and wood traits follow predictable gradients in species trait values, having associations that range from acquisitive (fast) growth strategies to more conservative (slow) growth strategies (Westoby, 1998; Westoby and Wright, 2006; Wright et al., 2004; Díaz et al., 2016). Collectively, these trait relationships led to the development of the leaf economic spectrum and the wood economic spectrum (Wright et al., 2004; Chave et al., 2009). These frameworks have been built into decades of research linking functional traits to species responses to abiotic and biotic factors and community assembly. But they also have limitations, one of which is their limited ability to predict how variable traits are (Violle et al., 2012), a reason sometimes given for why phenology is excluded from studies of functional traits. Integrating phenology with other functional traits could both advance the functional trait framework and help explain why species

phenologies differ.

As outlined above, early to late season differences in selection pressures would predict variation in leaf and wood traits with phenology — where early season species tradeoff high access to resources with risks of tissue loss and damage. In contrast, late season species tradeoffs between a highly competitive but less risky environment. Shrubs and other woody understory species that tend to budburst earlier (Donnelly and Yu, 2019)— when soil resources and light availability is greatest— would have traits associated with acquisitive growth, being shorter in stature, with leaf traits favourable to higher light availability and tolerance of late spring frost (high specific leaf area (SLA) and leaf nitrogen content (LNC)). Canopy species that budburst later must be better competitors, and so would have traits associated with conservative growth, including taller heights and therefore greater wood densities (Laughlin et al., 2010), as well as low SLA and LNC. Increasing seed size may similarly be predicted from this acquisitive to conservative continuum from early to late budbursting species. We predict this gradient of early to late growth to be driven by the same climate cues as phenology, with early species responding to low forcing (spring temperatures), low chilling (winter temperatures), and short photoperiods (daylengths). In contrast, later species are more likely to respond to high chill or photoperiod or both cues, and likely higher forcing as well.

We used available trait data from trait databases and budburst data from the OSPREE database of controlled environment studies of woody plant species to test for associations between budburst responses to environmental cues and common functional traits. We focus on the effects of forcing, chilling, and photoperiod cues and four commonly measured traits — SLA, LNC, height, and seed mass. Our model attributes phenological variation (day of budburst) to species’ trait values while including residual variation from species (partial-pooling). When traits explain a significant portion of the variation, species will explain only a small amount, which may allow us to predict species growth strategies and phenological responses from trait values.

## 1 Methods

Our analysis combines phenological data from the OSPREE database (Ettinger et al., 2020) with functional trait data from the TRY (Kattge et al., 2020) and BIEN (Maitner et al., 2018) trait databases. The OSPREE database contains phenological data for woody, deciduous species from experiments of phenological cues. We updated OSPREE since its initial publication, using the original search terms:

- (budburst OR leaf-out) AND (photoperiod OR daylength) AND temperature\* (yielded additional 623 publications since previous OSPREE publication)
- (budburst OR leaf-out) AND dormant\* (yielded additional 270 publications since previous OSPREE publication).

In updating the database, we added an additional 12 papers that met selection criteria for inclusion in OSPREE see Ettinger2020 for more details).

Trait data was obtained from TRY and BIEN - two large trait databases compiling plant trait data across many individuals, species, and studies that we obtained on XX date, and thus were last updated... XX

We began by searching for all available trait data for the 234 woody species with budburst data in the OSPREE database. The TRY database included 96 of these species for ten functional traits (Table S1 - table of requested traits for each database). Using the BIEN R package (?), we downloaded trait data for 94 species for 13 traits. All trait data were requested or downloaded in December 2018. Only trait data from adult individuals with a minimum height of 1.42 m was included in our analyses and

we removed all data from experiments or from plants growing in non-natural habitats. Traits were also grouped where appropriate, for example, with traits denoted as SLA, SLA with petioles, and SLA without petioles all categorized as simply SLA in our analysis (see Table S1). Duplicated data in both the TRY and BIEN datasets were also removed ( $n = 434905$ ). Finally, we subsetting the data to include only species for which we had a complete dataset for each species and trait, which resulted in a dataset of only 26 species and six functional traits. After performing a PCA, we further refined our trait selection, and only included traits that did not show strong correlations. In this analysis, the principal component explained 32% of variation while the second explained 24.2% of the variation (Fig. ??). Due to strong association between specific leaf area (SLA) and leaf dry matter content (LDMC), and between stem specific density (SSD) and height, we reduced the number of traits in our analysis to include only height, seed mass, LNC, and SLA. By including only these four traits, we were able to increase the number of species with at least one trait measurement per trait to 37 species with data from 24 studies (height  $n = 47781$ , seed mass  $n = 281$ , LNC  $n = 3853$ , SLA  $n = 7656$ ). Given the abundance of height data and overrepresentation of height measurements for six of our focal species, we randomly sampled 3000 height measurements for each of these species to include in our analysis. This was done to reduce the effect of trait values from these frequently measured species from overwhelming the partial pooling effect in our model. In addition, we excluded the single seed mass observation from the HE Marx dataset from BIEN, as it was difficult to include the study-level effect in our model.

## Joint model of trait and phenology

To understand connections between phenology and other species traits, we built a joint model for each trait (height, SLA, LNC, and seed mass) with the major phenological cues (forcing, chilling, and photoperiod) to predict day of year of budburst. This approach allowed us to jointly estimate species trait effects and responses to phenological cues in one model, carrying through all uncertainty across varying datasets and approaches (e.g., TRY and BIEN observational databases of traits and the database of experiments in plant phenology, OSPREE). As phenological cues are the most proximate drivers of variation in budburst (cite Ettinger2020), and appear to represent different strategies along a continuum from acquisitive to conservative, our model allows traits to influence each cue separately (cite slopes (current Fig 3)).

The joint model includes a hierarchical linear model to partition variation in observed trait values ( $y_{\text{trait}[i]}$ ) to the effects of species, study, and residual variation ( $\sigma_{\text{trait}}$ , sometimes called ‘measurement error’).

$$\begin{aligned}\mu_{\text{trait}} &= \alpha_{\text{grand trait}} + \alpha_{\text{sp}[\text{sp}]} + \alpha_{\text{study}[\text{study id}]} \\ \alpha_{\text{trait sp}[\text{sp}]} &\sim \text{normal}(0, \sigma_{\alpha_{\text{trait sp}}}) \\ \alpha_{\text{study}[\text{study id}]} &\sim \text{normal}(0, \sigma_{\alpha_{\text{study}}}) \\ y_{\text{trait}[i]} &\sim \text{normal}(\mu_{\text{trait}}, \sigma_{\text{trait}})\end{aligned}\tag{1}$$

It estimates a separate value for each species ( $\alpha_{\text{sp}[\text{sp}]}$ ), and study ( $\alpha_{\text{study}[\text{study id}]}$ ), while partially pooling across species and studies to yield overall estimates of variance across each ( $\sigma_{\alpha_{\text{sp}}}$  and  $\sigma_{\alpha_{\text{study}}}$ , respectively). This partial pooling (often called ‘random effects’) controls for variation in sample size and variability to yield more accurate estimates for each species.

These species-level estimates of traits ( $\alpha_{\text{trait sp}[\text{sp id}]}$ ) were then used as predictors of species-level estimates of each phenological cue ( $\beta_{\text{force}[\text{sp}]}$ ,  $\beta_{\text{chill}[\text{sp}]}$ ,  $\beta_{\text{photo}[\text{sp}]}$ )

$$\begin{aligned}\beta_{\text{chill}[\text{sp}]} &= \alpha_{\text{chill}[\text{sp}]} + \beta_{\text{trait.chill}} \times \alpha_{\text{trait sp}[\text{sp}]} \\ \beta_{\text{force}[\text{sp}]} &= \alpha_{\text{force}[\text{sp}]} + \beta_{\text{trait.force}} \times \alpha_{\text{trait sp}[\text{sp}]} \\ \beta_{\text{photo}[\text{sp}]} &= \alpha_{\text{photo}[\text{sp}]} + \beta_{\text{trait.photo}} \times \alpha_{\text{trait sp}[\text{sp}]} \end{aligned}\tag{2}$$

This model allows an overall effect of each trait—estimated across species—on each phenological cue ( $\beta_{\text{trait.chill}}$ ,  $\beta_{\text{trait.force}}$ ,  $\beta_{\text{trait.photo}}$ ), while also allowing for species-level variation in cues that is not explained by traits ( $\alpha_{\text{chill}[sp]}$ ,  $\alpha_{\text{force}[sp]}$ ,  $\alpha_{\text{photo}[sp]}$ ; this importantly means that variation across species is not forced onto the trait effect). Thus the model tests the power of traits to predict species-level differences.

Days to budburst ( $y_{\text{pheno}[i]}$ ) is then predicted by the phenological cues and variation across experiments in chilling, forcing and photoperiod levels ( $C_i$ ,  $F_i$ ,  $P_i$ , respectively, which we z-scored to allow direct comparison of cues), with residual variation allowed across species ( $\alpha_{\text{pheno}[sp]}$ ) and observations ( $\sigma_{\text{pheno}}$ ):

$$\begin{aligned}\mu_{\text{pheno}} &= \alpha_{\text{pheno}[sp]} + \beta_{\text{chill}[sp]} \times C_i + \beta_{\text{force}[sp]} \times F_i + \beta_{\text{photo}[sp]} \times P_i \\ y_{\text{pheno}[i]} &\sim \text{normal}(\mu_{\text{pheno}}, \sigma_{\text{pheno}})\end{aligned}\quad (3)$$

The model includes partial pooling for residual variation in days to budburst across species and variation in each phenological cue not attributed to the trait:

$$\begin{aligned}\alpha_{\text{pheno}} &\sim \text{normal}(\mu_{\alpha_{\text{pheno}}}, \sigma_{\alpha_{\text{pheno}}}) \\ \alpha_{\text{force}} &\sim \text{normal}(\mu_{\alpha_{\text{force}}}, \sigma_{\alpha_{\text{force}}}) \\ \alpha_{\text{chill}} &\sim \text{normal}(\mu_{\alpha_{\text{chill}}}, \sigma_{\alpha_{\text{chill}}}) \\ \alpha_{\text{photo}} &\sim \text{normal}(\mu_{\alpha_{\text{photo}}}, \sigma_{\alpha_{\text{photo}}})\end{aligned}\quad (4)$$

We chose weakly informative priors, and validated them using a series of prior predictive checks. The model was coded in the Stan programming language (Stan citation), fit using the rstan package (version, citation) with 1,000 iterations per chain across 4 chain (4,000 total sampling iterations), and all models met basic diagnostic checks, including no divergences, high effective sample size ( $n_{\text{eff}}$ ), and  $\hat{R}$  close to 1.

## 2 Results

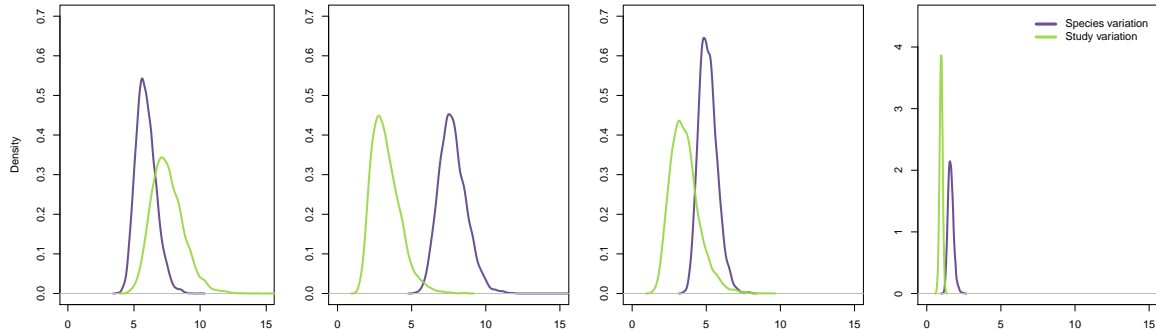


Figure 1: Comparison of the posterior densities for the species-level variation and study-level variation of a. height, b. SLA, c. LNC, and d. seed mass.

Our approach used models that jointly estimated species traits and phenological cues to understand the connections between phenology, with a focus on days to budburst, and other plant traits. Since our trait data was from large trait databases, which combine data across many studies, our analysis partitioned the trait variation due to species from the study-level effects. Then using the species-level

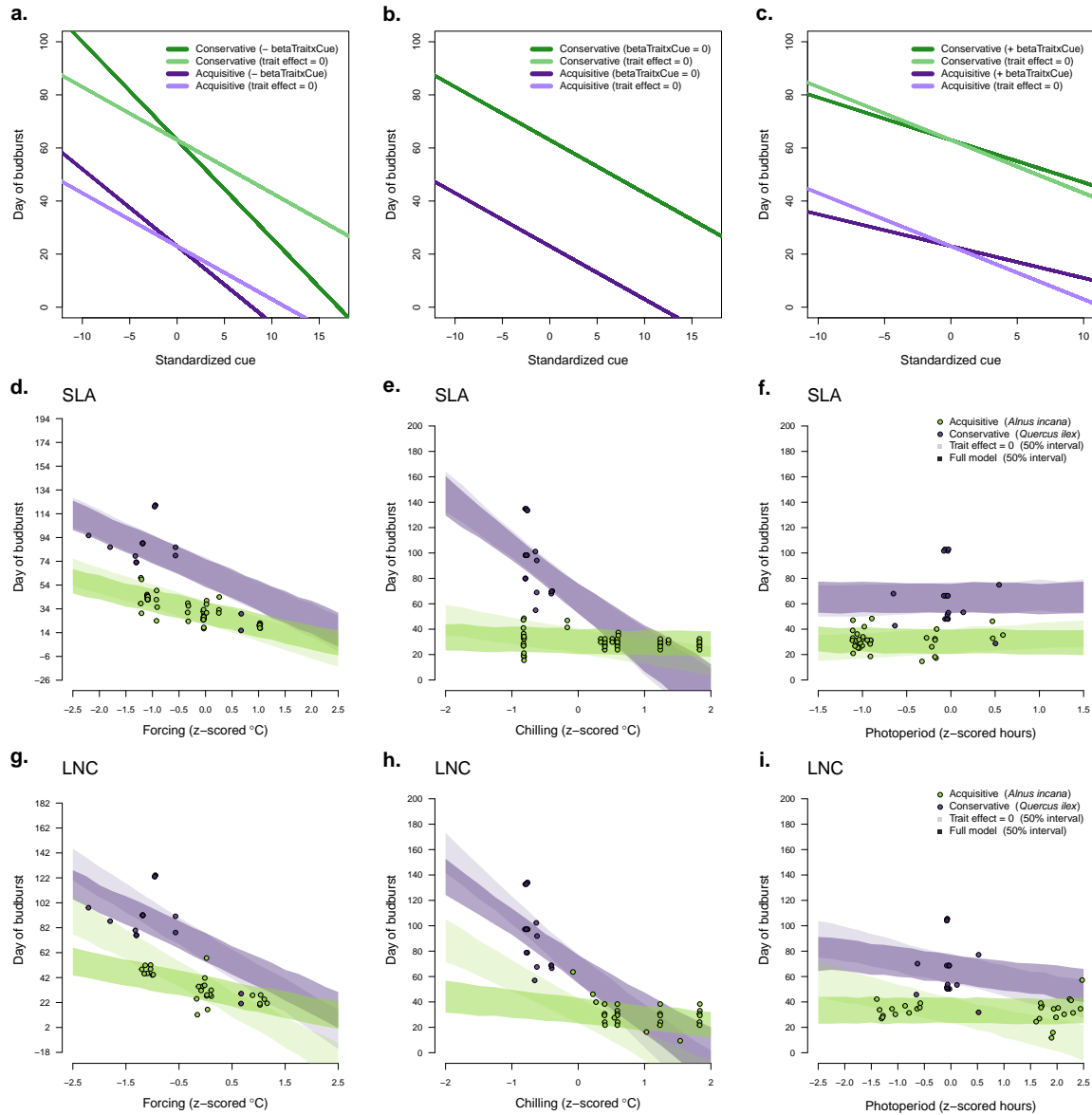


Figure 2: Functional traits may contribute to the species responses to forcing, chilling, or photoperiod cues in several ways. a) If traits are contributing negatively to the timing of phenological events, we expect the phenological response to be stronger and budburst earlier with increasing cue values. b) But if traits have no effects on the timing of budburst, then cue responses will be zero and equivalent to the cue only model estimates. c) Traits that have a positive contribution to the timing of phenological events produce weaker responses with later budburst dates. A delay in day of budburst due to trait effects was found for both SLA and LNC in response to forcing and chilling cues and for LNC in response to photoperiod cues (panel d, e, g, h, and i). Only in response to photoperiod cues does the effect of SLA lead to stronger cue responses and slightly earlier budburst with longer photoperiods. Species with conservative traits are shown in purple and species with acquisitive growth shown in green. Bands represent the 50% uncertainty intervals of the model estimates.

170 estimates of traits (ie. species-level estimates with effects of study removed), we examined how traits

predicted phenological cues, which in turn predicted budburst, while allowing for residual variation in cues to be explained by a species effect.

Across our models, we found study-level variation across traits was comparable with or greater than variation across species. Variation across studies was greatest for height (7.5 m compared to 5.9 m species-level variation, Fig. 1). For seed mass and LNC study-level variation was less than that of the species-level variation (seed mass study-level variation: 1 mg; versus species-level variation: 1.6 mg; LNC study-level variation 3.6 mg g<sup>-1</sup> versus species-level variation: 5.1 mg g<sup>-1</sup>) (Fig. 1). At the lowest end, study-level variation in SLA was approximately half the value of the species-level variations (and 3.3 mm<sup>2</sup> mg<sup>-1</sup> versus 7.8 mm<sup>2</sup> mg<sup>-1</sup>, respectively). The magnitude of study-level variation we observed suggests that models using large trait databases that fail to separate out study from species-level variation may misestimate species' traits.

We next combined the species-level trait estimates with data on forcing, chilling and photoperiod values from the OSPREE database of phenological experiments in order to test if traits (height, SLA, seed mass, LNC) related to phenological cues and species budburst dates (Fig. 2). For some traits we found much of the variation in phenological cues across species could be explained by trait variation (see panel a-f and j-l in Fig 3), while other traits were weak predictors (see g-i in Fig 3).

Across traits, height, SLA, and LNC strongly predicted responses to different cue-levels (forcing, chilling, photoperiod), with a consistent direction of responses across cues for only LNC and not height or SLA (Fig. 3 a-f and j-l). Taller species had small responses to forcing (0.2 m per standardized forcing; 90% uncertainty interval: -0.2, 0.5). But as we predicted, taller species had larger responses to chilling (-0.5 m per standardized chilling; 90% uncertainty interval: -1, -0.1) and photoperiod (-0.2 m per standardized photoperiod; 90% uncertainty interval: -0.5, 0), both of which are cues that would generally lead to later budburst and fit within an overall conservative growth strategy.

Species' SLA did not strongly predict responses to chilling (0.3 mm<sup>2</sup>/mg per standardized chilling; 90% uncertainty interval: -0.1, 0.7, Fig. 2 b). However, SLA did relate strongly to photoperiod (-0.2 mm<sup>2</sup>/mg per standardized photoperiod; -0.4, 0). Thus, species with more acquisitive growth strategies (thin leaves and a lower investment in leaf mass that leads to high SLA values), had larger responses to photoperiod cues, contrary to our predictions. In line with our predictions, species with high SLA values (acquisitive strategy) had a smaller response to forcing cues (0.2 mm<sup>2</sup>/mg per standardized forcing; 90% uncertainty interval: -0.1, 0.4), with low SLA species being more responsive to forcing (Fig. 3 d).

For LNC, we found that species that produce leaves with high nitrogen content, which relate to high photosynthetic rates and acquisitive growth, were less responsive to cues (Fig. 3 j-i). These findings are in line with our predictions that high LNC species (acquisitive) would be less responsive to chilling (0.7 mg/g per standardized chilling; 90% uncertainty interval: 0.3, 1.2), with similar responses to photoperiod (0.3 mg/g per standardized photoperiod; 90% uncertainty interval: 0, 0.6) and to forcing cues (0.5 mg/g per standardized forcing; 90% uncertainty interval: 0.1, 0.9).

Of our four traits, seed mass had the weakest responses across the three cues (Fig. 3 g-i). While the direction of the species responses were in line without predictions, we did not find a considerable relationship between seed mass and cue responses for forcing (-0.3 mg per standardized forcing; -1.4, 0.9) or photoperiod or chilling (-1.1 mg per standardized chilling; -2.8, 0.7). -0.6 mg per standardized photoperiod; -1.6, 0.3).

### 3 Discussion

1. Timing of plant phenological events define species' temporal niche = the partitioning of resources across species over time (Gotelli & Granves 1996 - ch5).
2. temporal niche differences determine the abiotic environment during growth and biotic interactions – for example, competitive landscape and pressures from herbivory/disease.
3. Distribution of temporal niche within community influences its potential invasibility— invasive spp tend to be early bb with the can fill vacant niche space early in the season.
4. you can save your point about 'traits are often pretty distal to the processes they are supposed to capture' for the discussion
5. Despite the lack of integration between functional trait and phenological research, both are likely to shape species growth strategies
6. more constant light compensates for their slower overall growth rates.
7. Associations are intuitive but few studies have tested for similar gradients in growth strategies in phenological events across diverse species



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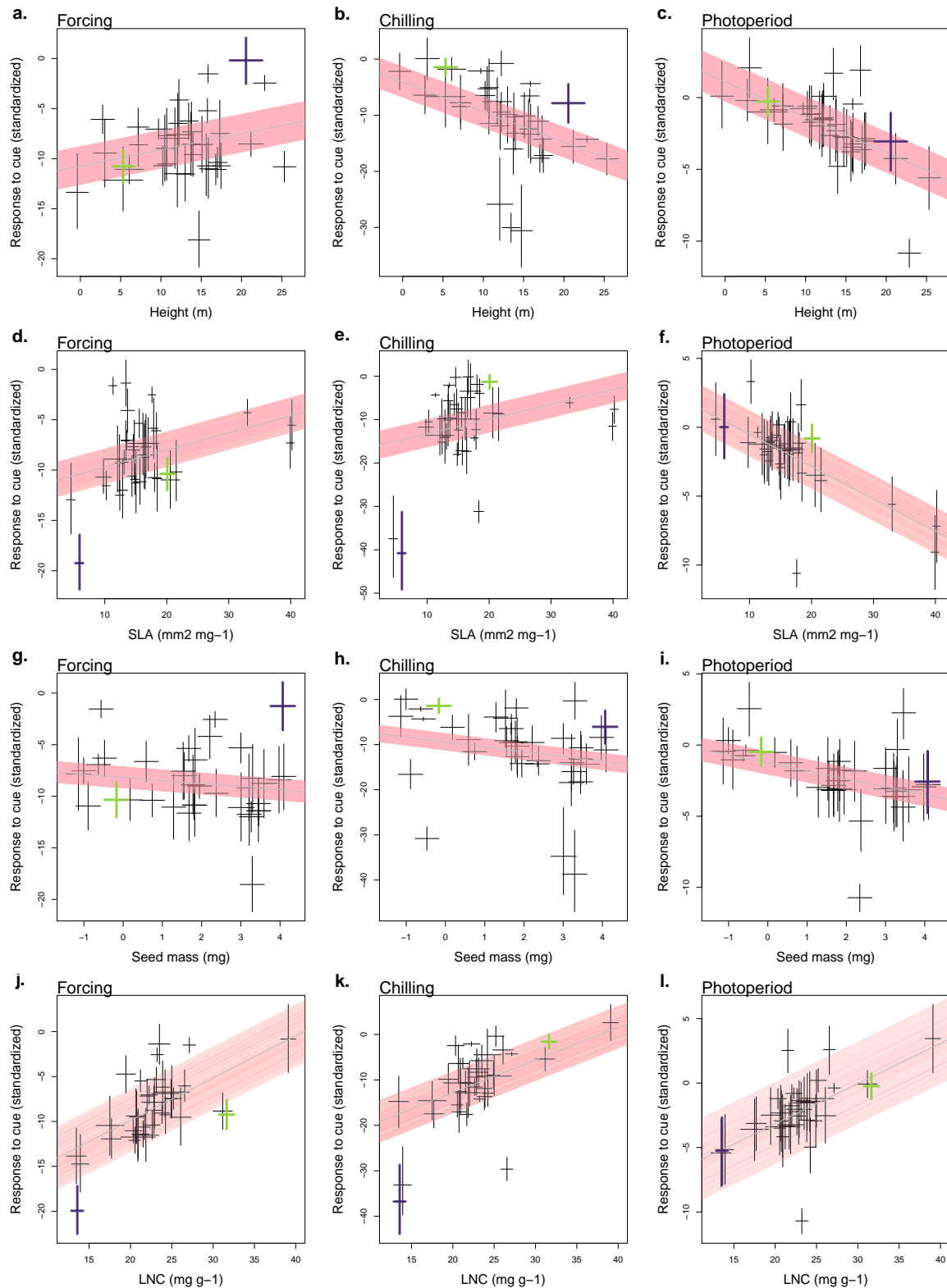


Figure 3: Estimated trait values for height (a-c), SLA (d-f), log10 Seed mass (g-i), and LNC (j-l), correlated against species-level cue responses to standardized forcing (a, d, g & j), chilling (b, e, h & k), and photoperiod cues (c, f, i & l). Parameters were estimated using our joint trait-phenology model, with the grey line depicting the mean linear relationship between estimated trait effects and the slope of the cue response and the pink band the 50% confidence interval. The species depicted in Fig 2 are highlighted in each panel, with the acquisitive species, such as *Alnus incana* shown in green, and the conservative species, such as *Quercus ilex* (a-c & j-l) or *Aesculus hippocastanum* (d-i), shown in purple.