PAUP* Lab

Note: This computer lab exercise was written by Paul O. Lewis. Paul has graciously allowed Mark Holder to use and modify the lab for the Summer Institute in Statistical Genetics. Thanks, Paul!

In this computer lab you will learn the basics of using the computer program PAUP* for phylogenetic analyses of nucleotide sequences. Versions of PAUP* exist for several different operating systems (MacIntosh, Windows, Linux, etc.), with the MacIntosh version being the most flexible and user-friendly. We will be using the Windows version today. The graphical user interface (GUI) of this Windows version is not as well developed as the GUI for the MacIntosh version, but it is exactly the same program and produces results that are identical to the MacIntosh version.

The PAUP* Home Page is the best place to go for continuing updates on the progress being made toward the final release, and for information about purchasing the program: http://paup.csit.fsu.edu/

You can work through this tutorial at your own pace, asking questions whenever something needs to be clarified. Please let us know if you think another approach would be better, and if anything about this tutorial is unclear. The goals for this tutorial are to:

- Become familiar with the NEXUS data file format used by PAUP* (as well as several other prominent phylogeny programs such as Mesquite and MrBayes)
- Learn how to conduct various types of searches (exhaustive, branch-and-bound, heuristic using NNI and TBR branch swapping, and algorithmic approaches such as star decomposition and stepwise addition)
- Learn how to set up PAUP* to perform analyses under several different optimality criteria (maximum parsimony, minimum evolution, least squares, and maximum likelihood)
- Learn how to set up PAUP* for several different nucleotide substitution models, and to obtain maximum likelihood estimates of parameters of these models
- Learn how to create PAUP blocks in the data file so that analyses can be performed in batch mode (also learn why you might want to do this)

PAUP* Tutorial

Questions that you should be able to answer from looking at the output are in *italics*. Answers to the questions are provided in footnotes. If you do not understand one of these questions, or need help figuring out the answer, please do not hesitate to raise your hand.

About the data file

The tutorial uses one data file, algae.nex, which has been provided to you. This data set is distributed as one of the sample files for the program SplitsTree (http://www.splitstree.org/). It contains 16S rRNA sequences for a cyanobacterium (Anacystis), a chromophyte alga (Olithodiscus), a euglenoid protist (Euglena), and six green plants, including two green algae (Chlorella and Chlamydomonas), a liverwort

(Marchantia), a monocotyledonous angiosperm (Oryza, rice) and a dicotyledonous angiosperm (Nicotiana, tobacco).

This data set was used in a 1994 paper by Lockhart et al. to show how common models used in reconstructing phylogenies fail when confronted by convergence in nucleotide composition. The problem is that the common models assume stationarity of the substitution process, which leads to the assumption that base frequencies do not change across the tree. Thus, things can go wrong when the base frequencies do change from lineage to lineage, and things can go really wrong when unrelated groups tend to have similar base compositions. In this case, Euglena should group with the green plants because its chloroplast (whence the 16S rDNA is obtained) is homologous to green plant chloroplasts. However, as you will see, it has a strong tendency to group with the unrelated chromophyte Olithodiscus because of similarities in base composition. The complete reference to the Lockhart paper is

Lockhart, P. J., M. A. Steel, M. D. Hendy, and D. Penny. 1994. Recovering evolutionary trees under a more realistic model of sequence evolution. *Molecular Biology and Evolution* 11: 605-612.

Tutorial begins here

- Start PAUP* by double-clicking its icon. After PAUP* starts, it will present you with an Open dialog box. Navigate to the file algae.nex and click the Open/Execute button when the file's name has been selected.
- 2. Before doing any analyses, let's take a look at the data file PAUP* just executed ¹ Open the algae.nex file for editing by choosing File | Open... from the main menu (Ctrl-O does the same thing), clicking the Edit radio button in the File Open Mode group, selecting the file name, and finally clicking the Open/Edit button.

The Nexus data file format has been adopted by several phylogenetic analyses programs, including PAUP*, MacClade, Mesquite, SplitsTree, TreeView, and MrBayes, among others. Nexus data files always begin with #nexus, and the remainder of the file is divided into units known as blocks. Nexus files are (for the most part) case-insensitive, so #nexus, #Nexus and #NEXUS are synonyms. This file has two blocks: a taxa block and a characters block. Each block begins with the keyword begin and ends with the keyword end. Each block comprises commands, all of which end in a semicolon (;). Note that each block automatically has two commands: the begin command and the end command. Some commands are quite long, taking up many lines in the file (e.g., the matrix command in the characters block), but the extent of each command can be surmised by simply looking for that terminating semicolon. A mistake made by most everyone when first constructing a Nexus data file is to forget to end every command with a semicolon. If you do this, PAUP* will report an error when attempting to read in the data file.

What are the four commands comprising the TAXA block? ²

Nexus files can contain comments. Comments are text surrounded by square brackets. Comments that you wish to have printed out in the output look like this:

¹ PAUP* uses the term **execute** to mean reading a data file for the purpose of storing the data contained therein. The term **edit** is used for the opening of a data file when the purpose is to view/modify its contents and not to perform analyses.

²The four commands comprising the TAXA block are: (1) "begin taxa;"; (2) "dimensions ntax=8;"; (3) "taxlabels [1] Tobacco [2] Rice ... [8] Olithodiscus;" and (4) "end;".

[!This is a printed comment]

If that initial exclamation point (!) is missing, PAUP* will simply ignore the comment entirely. Can you find the single printed comment both in the data file and in PAUP*'s output? ³ Here is a brief explanation of some of the commands present in this data file:

Command	Meaning
dimensions ntax=8;	Data are provided for eight taxa
taxlabels Tobacco Rice Olithodiscus;	Provides names for the eight taxa
dimensions nchar=920;	There are 920 nucleotide sites for each sequence (taxon)
<pre>format datatype=RNA missing=? gap=- labels interleave;</pre>	These are RNA sequences; the symbol? is used for missing data and – for gaps introduced for purposes of aligning the sequences; taxon labels are provided before each sequence; and the data are interleaved, which means that sequences are broken up into short segements for readability

For a complete reference to the Nexus data file format, please see the following paper:

Maddison, David R., Swofford, David L. and Maddison, Wayne P. 1997. NEXUS: an extensible file format for systematic information. $Systematic\ Biology\ {f 46}:\ 590\text{-}621$

Close the editor now by clicking on the button labeled with an \times in the upper right-hand corner of the editor window.

3. Parsimony Analysis. For n taxa, there are

$$\frac{(2n-5)!}{(n-3)! \, 2^{n-3}}$$

possible unrooted, fully-bifurcating, distinct tree topologies. For our 8 taxa, this formula produces 10, 395. This is not astronomical, so we will use an exhaustive search in combination with the maximum parsimony criterion for our first analysis. Type the following commands into the edit control near the bottom of PAUP*'s main window (you can either type each one in, pressing the enter key after each, or type them both in and press the enter key only after both have been entered – the semicolons serve to keep the commands separated):

set criterion=parsimony;
alltrees;

³The comment is "[! Example of RNA data]".

Note: the search status dialog box has a single button that says "Stop" while the search is in progress and "Close" when the search is done. If the button says "Close", this means PAUP* is no longer doing any work, but is simply sitting there waiting for you to press the button!

The first command is not strictly necessary, since the parsimony criterion is selected by default in PAUP*; however, defaults can change, so it is wise to be explicit. Look at the output (you may have to scroll up some to see the beginning) and answer the following questions before proceeding:

How many tree topologies did PAUP* look through? Was this what you expected? How many trees had the best score? How many steps longer than the most parsimonious tree(s) is the next best tree? How long, in your estimation, would it take to perform an exhaustive search for 16 taxa? (Note that the answer is not twice the amount of time required for 8.) ⁴

Use the command showtrees all; to tell PAUP* to show you all trees currently stored in memory. Although these are unrooted trees, they appear to be rooted at tobacco and rice, which is not a very useful rooting. Use the following command to tell PAUP* to root trees shown from now on using Anacystis nidulans as the outgroup:

outgroup Anacystis_nidulans;

Note the use of the underscore character (_) to make Anacystis nidulans a single word. PAUP* uses blank spaces (including tab and newline characters) to delimit individual items (called words or tokens). If we had left out the underscore character, PAUP* would have attempted to make both Anacystis and nidulans outgroups, but would have run into problems since nidulans is not a taxon. Another way to handle embedded blank spaces is to enclose the entire token in single quotes (e.g., 'Anacystis nidulans' would also have worked).

One of the interesting features of this data set is that many analysis methods do not produce an estimated tree in which all 6 chlorophyll-b-containing taxa are together. There is considerable evidence from many sources that this should indeed be the case, so throughout this tutorial be on the watch for methods that produce a tree in which this **chlorophyll-a/b clade** is separated by an internal branch from the other two taxa: *Olithodiscus* (a chlorophyll-a/c-containing chromophyte alga) and *Anacystis* (a cyanobacterium containing only chlorophyll-a plus phycobilin accessory pigments).

Does standard (Fitch) parsimony produce the chlorophyll-a/b clade? If not, what taxon is separated from the rest of the chlorophyll-a/b clade? 5

4. **Branch-and-bound.** Although we have already done an exhaustive search and thus have no need to perform a branch-and-bound search, feel free to use the command below to perform a branch-and-bound search anyway.

bandb upbound=470;

Note that an upper bound was supplied in this case. This upper bound is the score of some tree (not necessarily the best) containing all of the taxa. If you leave out the upper bound specification, PAUP* will compute an initial upper bound for you using stepwise addition. Notice how many fewer trees have to be evaluated when you used a branch-and-bound search.

⁴PAUP* looked through 10395 trees, which is the number of unrooted binary trees for 8 taxa. The best score was 411, and 2 trees had this score. The next best tree is 414 steps long, and only 1 tree had this score. On my laptop, it required 0.04 seconds to evaluate the 10,395 possible trees for 8 taxa, but there are literally trillions of possible trees for 16 taxa (27!/(13!2¹³) = 213,458,046,676,875), so it would take some 26 years to score all possible trees for 16 taxa.

⁵Euglena is grouped with Olithodiscus, not with the other a/b taxa

- 5. **Distance Analyses: Neighbor-joining.** To obtain the neighbor-joining (NJ) tree, simply issue the command nj. This should produce the same tree as parsimony, although it will look a bit different since PAUP* shows the tree as a **phylogram** (with branch lengths proportional to the estimated number of substitutions) rather than the **dendrogram** format (the default for the **showtrees** command used earlier). To check that it is indeed equivalent to one of the most-parsimonious trees, issue the **pscores** all command to obtain parsimony scores for all trees in memory (but there should be just 1 tree in memory). The treelength shown should match the one obtained earlier in our parsimony searches.
- 6. Distance Analyses: NNI heuristic search using ME criterion and JC distances.

To save time and keep this lab from being too tedious, I am combining several goals in each analysis. Note that PAUP* provides considerable flexibility in allowing you to mix-and-match optimality criteria, search strategies, and substitution models. The combinations used in this tutorial should not be viewed as necessarily the "best" combination.

In this case we will combine a heuristic search strategy (using NNI branch swapping) with the minimum evolution (ME) optimality criterion and will use the Jukes-Cantor model for obtaining the pairwise distance matrix. Here are the commands necessary:

```
set criterion=distance;
dset distance=jc objective=me;
hsearch swap=nni;
```

The dset command is used for changing the distance settings. You may be wondering at this point "How do I know which distance settings to change?" To get PAUP* to give you a summary of any command, simply type the command's name followed by a space and then a question mark:

```
dset ?;
```

Doing so provides a list of all the options available for that command as well as their current settings. What is the only other option (besides ME) for the setting called objective? How would you instruct $PAUP^*$ to use HKY85 distances? ⁶

Get PAUP* to show you a phylogram of the best tree found using the command

```
describetree 1 / plot=phylogram;
```

Does this distance tree separate out the chlorophyll-a/b clade? What method did PAUP* use for obtaining the starting tree? Use the method described above (i.e., the question mark approach) to obtain a list of options for the hsearch command. How would you instruct PAUP* to use the stepwise addition method for obtaining the starting tree? ⁷

Note that NJ is an approximation to the algorithmic approach known as **star decomposition** in conjunction with the minimum evolution (ME) optimality criterion. Thus, an analysis similar to neighbor-joining but which is not approximate could be conducted as follows:

⁶The only other option for objective is LSFit. To use HKY85 distances, you would issue the command dset distance=HKY85 ⁷No, *Euglena* is still with *Olithodiscus*. To use stepwise addition to obtain the starting tree, you would issue the command hsearch start=stepwise

```
set criterion=distance;
dset objective=me;
stardecomp;
```

Note that the NJ command uses the current distance settings to determine which model to use in computing the pairwise distance matrix.

7. Distance Analyses: TBR heuristic search using LS criterion and LogDet distances.

This distance analysis will use a different optimality criterion (least-squares, or LS, rather than ME) and a different model for obtaining the pairwise distances (LogDet rather than JC). We will also use TBR branch swapping rather than NNI.

```
dset distance=logdet objective=lsfit;
hsearch swap=tbr;
describetrees 1 / plot=phylogram;
```

Note that this time the chlorophyll-a/b clade is intact! What is different about this analysis? The most important difference is the model used to compute the pairwise distances. LogDet is a very good model to use when nucleotide composition varies across the tree. Use PAUP*'s basefreq command to examine the nucleotide composition of all the sequences in this data file. Since Euglena has been the taxon jumping out, and it tends to join with Olithodiscus when it is misbehaving, look specifically at the nucleotide composition of Euglena and Olithodiscus compared to everything else. Are these two taxa similar to each other in nucleotide composition? If so, then most methods may be placing them together simply because of the similarity in their nucleotide composition.

8. Likelihood Analyses: HKY85 model combined with stepwise addition. For this analysis, we will use the maximum likelihood criterion and obtain a tree using the stepwise addition method. Stepwise addition is normally not considered an end in itself; it is most often used to obtain a starting tree for input into heuristic searches. Likelihood runs can be very time consuming if the number of taxa is large, and it is nice to be able to separate the process of obtaining the starting tree from the heuristic search proper. Stepwise addition trees can also come in handy for estimating parameters of the substitution models. These parameters can then be fixed at their estimated values for the duration of the search rather than estimated anew for each tree examined during the search. The latter is of course better, but the former may be the only practical course of action.

```
set criterion=likelihood;
lset nst=2 basefreq=empirical variant=hky tratio=estimate rates=equal;
hsearch start=stepwise addseq=random swap=none nreps=1;
```

This set of commands requires some explanation. PAUP* does not allow you to specify the substitution model by name as it does for distance analyses. You must specify instead the *characteristics* of the model you wish to use. Let's look first at the line specifying the model, then we will tackle the line specifying the search strategy:

lset nst=2 basefreq=empirical variant=hky tratio=estimate rates=equal;

This line provides likelihood settings corresponding to the HKY85 model. This model allows unequal base frequencies, and basefreq=empirical instructs PAUP* that the empirical base frequencies should be used. The empirical base frequencies are simply the base frequencies computed from the data matrix without reference to any tree topology. These base frequencies work about as well as the maximum likelihood estimates of the base frequencies, which PAUP* can also compute (using basefreq=estimate), but estimating the base frequencies will add a considerable amount of time to any analysis. In either case, the base frequencies employed will almost certainly be unequal, which fits the HKY85 model and excludes models such as JC and K2P which assume all bases are equally frequent (i.e., $\pi_A = \pi_C = \pi_G = \pi_T = 0.25$). The nst=2 part tells PAUP* to use a model employing 2 substitution rate parameters (the K2P, F84, and HKY85 models all allow transitions to occur at a potentially different rate than transversions, hence two substitution rates). The variant=hky statement is necessary since both the F84 model and the HKY85 model allow unequal base frequencies and transition/transversion bias. The tratio=estimate instructs PAUP* to estimate the transition/transversion rate for every tree. Finally, the rates=equal statement says that PAUP* is to assume that all sites evolve at the same overall substitution rate.

hsearch start=stepwise addseq=random swap=none nreps=1;

Specifying swap=none prevents PAUP* from actually carrying out the heuristic search. Instead, it will create a stepwise addition starting tree (start=stepwise) using a random sequence to determine the order in which taxa are added (addseq=random) and then simply stop, holding that stepwise addition tree in memory. The nreps=1 statement is necessary to prevent PAUP* from performing its default number of 10 independent search replicates.

Run the lset and hsearch commands. Then use showtrees to see the estimated phylogeny and use the following command to obtain the maximum likelihood estimate of the transition/transversion ratio and rate ratio:

lscores 1;

This command instructs PAUP* to compute the likelihood score ⁸ for the 1st. tree in memory. This forces PAUP* to also spit out estimates of all parameters you asked it to estimate, which in this case is just the transition/transversion ratio.

What model did PAUP* say it used for this analysis? What is the maximum likelihood estimate of the transition/transversion ratio and rate ratio? Did this analysis result in an estimated phylogeny that separates out the chlorophyll-a/b clade? ⁹

You probably noticed that this analysis took considerably longer than any analysis performed thus far, even though we specifically avoided doing a search! The main reason this one took so long was because we instructed PAUP* to estimate the transition/transversion ratio (tratio) for every tree examined during the analysis. Let's fix the value of tratio to the maximum likelihood estimate just obtained and try again to see how much faster things go:

lset tratio=previous;
hsearch;

⁸There are corresponding commands for obtaining scores for the parsimony (pscores) and distance (dscores) criteria.

⁹PAUP* reports "These settings correspond to the HKY85 model." The transition/transversion ratio was estimated to be 1.910491, whereas the transition/transversion rate ratio was estimated to be 3.637613. No, this analysis did not separate the chlorophyll-b-containing taxa from the other two.

In my case, it took about 4.5 times longer to do the search when estimating the tratio for every tree examined, so fixing the tratio at some reasonable value sped up the analysis considerably. It is common to estimate parameters on a tree that can be obtained quickly (e.g., a NJ tree), then fix the values of those parameters for the duration of a search. If you employ this strategy, it is probably a good idea to re-estimate the parameters after the search to make sure they are not appreciably different. To be safe, it is best to repeat the search using the newer estimates. If the second search returns the same tree as the first search, then you know that the initial estimates were reasonable.

9. Maximum Likelihood Analyses: Using the GTR model.

The HKY85 model is rather inflexible in that it allows for only two classes of substitutions – transitions and transversions. If the two types of transitions (purine \leftrightarrow purine vs. pyrimidine \leftrightarrow pyrimidine) occur at different rates, or if the four types of transversions occur do not all occur at the same rate, the HKY85 model might not capture important aspects of the evolution of the sequences under study. The General Time Reversible, or GTR, model allows the six possible classes of substitutions (i.e., $A \leftrightarrow C$, $A \leftrightarrow G$, $A \leftrightarrow T$, $C \leftrightarrow G$, $C \leftrightarrow T$, and , $G \leftrightarrow T$) to all occur at potentially different rates. This adds five extra parameters to the JC model rather than just the one added by the HKY85 model, and estimating all of these for each tree examined would be quite time consuming (although not that impractical for this data set because of the relatively small number of taxa). Our approach will be to estimate the five extra relative rate parameters using the tree currently in memory, then fix these values for purposes of conducting the heuristic search.

To set up the GTR model and estimate the relative rate parameters, use these commands:

```
lset nst=6 rmatrix=estimate;
lscores 1;
```

The output should show something like this:

Tree 1		
-ln L	3251.02830	
Rate ma	trix R:	
AC	0.62353	
AG	1.87194	
AT	0.82691	
CG	0.32529	
CT	3.68057	
GT	1.00000	
AG AT CG CT	1.87194 0.82691 0.32529 3.68057	

The **R-matrix** contains the estimates of the relative rates (rows and columns both are in the order A, C, G, T). PAUP* always reports the rate of the $G \leftrightarrow T$ change as 1. Since these are relative rates having meaning only in comparison to each other, any one of them may be set to some arbitrary value or some overall constraint may be applied (i.e., their mean could be made 1.0). In PAUP*, the former method is used and the last one is arbitrarily set to the value 1. The way to interpret these relative rates is best demonstrated by example: all other things being equal, the rate at which $C \leftrightarrow T$ changes occur is 3.68 times the rate at which $G \leftrightarrow T$ changes occur, and $A \leftrightarrow C$ changes are occurring at about a third the rate of $A \leftrightarrow G$ changes (0.62353/1.87194 = 0.33309).

The **Q-matrix** takes account of the effects of the base frequencies. To see the Q-matrix, re-issue the lscores command, but this time with a couple of options:

lscores 1 / longfmt showqmatrix;

The output should now show the R-matrix (displayed in matrix format rather than a simple list) followed by the Q-matrix. In the GTR model, the rates at which the various changes occur are a function not only of these relative rates, but also involve the frequency of the base being substituted to. For example, $Q_{TC} = \mu R_{TC} \pi_C$, where μ is the overall rate of substitution, R_{TC} is the relative rate of the $T \leftrightarrow C$ substitution class (from the R-matrix), and π_C is the frequency of C. Thus, the rate at which $T \leftrightarrow C$ changes occur is influenced by the frequency of the base C: if Cs are common, this change will occur at a higher rate than if Cs are rare.

Now fix the rmatrix values and conduct an heuristic search using the following commands:

```
lset rmatrix=previous;
hsearch start=1 swap=tbr;
describe 1 / plot=phylogram;
```

Note that we do not need to obtain a starting tree, since we have already done that, so we tell PAUP* to simply begin with the first (and only) tree currently in memory (start=1) and conduct a heuristic search using TBR branch swapping.

Does the tree that $PAUP^*$ estimates using the GTR model split the chlorophyll-a/b clade from the other two taxa? ¹⁰

10. Maximum Likelihood Analyses: Adding Discrete Gamma Rate Heterogeneity.

We have one more important feature to add to our model. Among-site rate variation is pronounced in most sequence data sets. A common way to model such heterogeneity in rates across sites is through the use of the discrete gamma model. This model assumes that the relative rates ¹¹ are gamma-distributed with a shape parameter usually referred to as α . If the shape parameter is large (i.e., close to ∞), then the relative rates will all be clustered around their mean, 1.0, meaning that there is essentially **rate homogeneity**. If α is very low (i.e., close to 0.0), the relative rates are extremely dispersed with most near zero but a few very high values. This represents the case of high **rate heterogeneity**. Thus, using a gamma distribution to model rates allows us to capture much of the possible range of relative rate distributions with the addition of only one more parameter (α) to our model.

Our first step will be to estimate the amount of rate heterogeneity (and re-estimate the rmatrix, since it will be different under a rate heterogeneity model) using the tree already in memory:

```
lset rates=gamma ncat=4 shape=estimate rmatrix=estimate;
lscores 1;
```

To see graphically what the gamma distribution with this shape looks like, issue the gammaplot command:

gammaplot;

¹⁰No, Euglena is still stuck on Olithodiscus

¹¹Note that these relative rates are different from those just discussed. Here we are referring to the relative rates at which different sites evolve; before, we were referring to the relative rates of different classes of substitutions

The shape of the distribution makes it obvious that this is rather extreme rate heterogeneity (low rate heterogeneity would be indicated by a sharp peak over the value 1.0). Now fix both the rmatrix and gamma shape parameters at their estimated values and conduct a new search, starting from a random stepwise addition tree and using TBR branch swapping.

```
lset shape=previous rmatrix=previous;
hsearch start=stepwise addseq=random swap=tbr;
describe 1;
```

This time you should see that chlorophyll-a/b clade return, so rate heterogeneity is obviously an important factor in the evolution of these sequences. The question "How important a factor is rate heterogeneity?" now arises. Is it more important, for example, than allowing for six different substitution rates? It turns out that for all but the simplest models (i.e., Jukes-Cantor and F81), allowing rate heterogeneity will produce the chlorophyll-a/b clade! To see this, here are the commands for setting up the Kimura 2-parameter model (K2P) with rate heterogeneity. This first obtains a stepwise addition tree using the plain K2P model, then estimates tratio and the gamma shape parameter on the stepwise addition tree, fixing the value of these two parameters before conducting a more thorough TBR search:

```
lset nst=2 basefreq=equal tratio=estimate rates=equal;
hsearch start=stepwise addseq=random swap=none nreps=1;
lset rates=gamma shape=estimate;
lscores 1;
lset shape=previous tratio=previous;
hsearch start=1 swap=tbr;
describe 1;
```

11. Saving, viewing and printing trees using TreeView

TreeView is a free program written by Rod Page that can be downloaded from this web page:

```
http://taxonomy.zoology.gla.ac.uk/rod/treeview.html
```

TreeView provides a graphical interface for viewing, editing, and printing trees produced by PAUP* or other programs. This somewhat makes up for the fact that PAUP*'s tree printing machinery has not yet been completed for the Windows version.

Alternatively, you can use FigTree by Andrew Rambaut:

```
http://tree.bio.ed.ac.uk/software/figtree/
```

To illustrate the use of TreeView (or FigTree) in conjunction with PAUP*, we will save a tree within PAUP* and then open and view it in TreeView. In PAUP*, issue this command to save the tree currently stored:

```
savetrees file=test.tre brlens;
```

This will save the tree currently stored in memory to the file test.tre. The brlens keyword tells PAUP* to store the branch lengths as well as the tree's topology. Start TreeView, and select test.tre in the dialog box that appears upon choosing the File | Open... menu item. Once the treefile has been opened, try switching to phylogram view (menu choice Tree | Phylogram) to take advantage of the fact that the branch lengths were stored. You can either print the tree if a printer is connected, or save the tree as a Windows metafile (which can later be imported into a Word document, for example). To save the tree as a Windows metafile, choose File | Save as graphic....

12. Constructing and Using PAUP Blocks.

All commands that can be entered from the keyboard can also be placed in a NEXUS file in the form of a PAUP block. For example, the following PAUP block would enable us to automatically conduct the K2P analysis (see end of last step in the tutorial):

```
begin paup;
  log file=algae.log start replace;
  set autoclose=yes;
  execute algae.nex;
  outgroup Anacystis_nidulans;
  set criterion=likelihood;
  lset nst=2 basefreq=equal tratio=estimate rates=equal;
  hsearch start=stepwise addseq=random swap=none nreps=1;
  lset rates=gamma shape=estimate;
  lscores 1;
  lset shape=previous tratio=previous;
  hsearch start=1 swap=tbr;
  describe 1 / plot=phylogram;
  log stop;
end:
```

The first line after the begin paup command starts a log file named algae.log to which all the output will be echoed. The replace keyword in the log command tells PAUP* to automatically (i.e., without asking) overwrite any existing file named algae.log. The command set autoclose=yes tells PAUP* that we would like the progress dialog box that appears whenever a search is initiated to close without our intervention after each of the searches are completed. The execute command executes the algae.nex data file, which is a necessary prerequisite to doing an analysis. The execute command is equivalent to inserting the entire text of the algae.nex file (except for the initial #nexus keyword) into this file in place of this line. The only other command you have not yet seen is the last one before the end command, which instructs PAUP* to close the log file.

Why would one wish to place all the commands for an analysis into a separate file? I find it very useful for the simple reason that it is very easy to forget exactly what analyses you performed for a particular paper, and it is even easier to forget which file names you used for each separate analysis. If you use PAUP blocks, then you can exactly repeat an analysis at a later time. Another use for PAUP blocks is to perform initial setup steps. For example, if you always use the likelihood criterion whenever you analyze a particular data file, and if you tend to always use the HKY85 model, you could have PAUP* switch to the likelihood criterion and the HKY85 model every time you execute the data file by inserting the following PAUP block at the bottom of the file:

```
begin paup;
  log file=logfile.txt start append;
  set criterion=likelihood;
  lset nst=2 basefreq=empirical tratio=estimate rates=equal;
end;
```

Note that this time we are placing the PAUP block into the actual data file. While this is legal, I try to stay away from starting analyses inside the data file - better to keep analyses in separate NEXUS

files so that you do not accidentally start long analyses when your intention was only to open the data file.

In keeping with this suggestion, the above PAUP block does not perform any analyses, but it does start a log file and set up both the criterion and the model for you. This time I used the append keyword in the log command, which causes PAUP* to add new material to the end of the file logfile.txt if it already exists (append is safer than replace because existing files are never overwritten).

One further tip about PAUP blocks. I often create multiple PAUP blocks – one for each analysis done – in a single file. The ones that are currently not in use I simply "turn off" by changing the name slightly (for example, change the name from paup to _paup). If PAUP* does not recognize a block name, it skips the block and moves on to the next begin command. Thus, you can accumulate old PAUP blocks as a record of past analyses.

13. Constructing Nexus Data Files and Finding Islands In Treespace

Choose **File** | **New** from PAUP*'s menu (or press Ctrl-N) to open a new text editor window. Type the following small data set into the window, then choose **File** | **SaveAs...** from PAUP*'s menu (or press Ctrl-S) to save the file (call it **islands.nex**, or make up a name of your own).

#nexus

```
begin data;
  dimensions ntax=5 nchar=8;
  format datatype=dna;
  matrix
    A A C G C A G G T
    B A T G G T G A T
    C G C T C A C G G
    D A C T G T C G T
    E G T T C T G A G;
end;

begin paup;
  hsearch start=stepwise addseq=random nreps=100 swap=nni;
end;
```

After saving this file, use **File** | **Open...** (or press Ctrl-O) to execute the file. PAUP* should immediately perform the search since it was specified in a PAUP block in the data file itself. The nreps=100 in the hsearch command tells PAUP* to perform 100 searches, each beginning with a (potentially ¹² different random addition starting tree. Note that PAUP* was able to find both tree islands. This is the same data file presented in class as an example of tree islands. Look back at your notes for the figure showing the NNI connections between the trees, which shows that there are two islands in this treespace, each of which has two members.

Now redo the search but specify only one replicate. Type the following command into PAUP* command edit control at the bottom of the main window:

 $^{^{12}}$ I say potentially here since there are only 20 distinct random addition sequences for 5 taxa and thus there will be many replicates in which the random addition sequence is identical to that of previous replicates.

hs nreps=1;

Note that I have abbreviated hsearch as simply hs this time. PAUP* allows abbreviations of commands as long as enough letters are provided to distinguish the command from all other commands.

Now how many islands does $PAUP^*$ find, and what are the sizes of these islands? Can you explain why $PAUP^*$ did not find all the islands this time? ¹³

Now redo the search once more, again specifying only one replicate, but this time perform an SPR search:

hs nreps=1 swap=spr;

Now how many islands does PAUP* find, and what are the sizes of the islands? Can you explain why PAUP* obtained this result?/footnoteOnly one island found, but it contains all four trees that were on two separate islands in the NNI search. Explanation: SPR search explores a different landscape in which there is no "valley" between these trees – it is able to easily hop over the divide that stopped NNI.

¹³It only finds a single island this time because, by definition, once it finds a tree in one island it will be unable to bridge the gap to find trees of equal score on other islands.

Tutorial Quick Reference

Here are the commands issued during the tutorial. This is useful if you want to proceed quickly through commands with which you are familiar, and then go back to the main tutorial when you hit something you don't understand.

```
Parsimony exhaustive search produces 2 trees of length 411 steps (p. 3)
     set criterion=parsimony;
     alltrees;
Set outgroup for display purposes (p. 4)
     outgroup Anacystis_nidulans;
Branch-and-bound parsimony analysis yields same two trees of 411 steps (p. 4)
     bandb upbound=470;
NNI search using JC distances produces tree with ME score 0.43085 (p. 5)
     set criterion=distance;
     dset distance=jc objective=me;
     hsearch swap=nni;
Using question mark to get list of options for a command (p. 5)
     dset ?;
Using describetree to show phylogram (p. 5)
     describetree 1 / plot=phylogram;
Star-decomposition using the ME criterion yields tree with ME score 0.43085 (p. 5)
     set criterion=distance;
     dset objective=me;
     stardecomp;
TBR search using LogDet distances and the least-squares criterion, yielding tree with score 0.03831
     (p. 6)
     dset distance=logdet objective=lsfit;
     hsearch swap=tbr;
     describetrees 1 / plot=phylogram;
Stepwise addition using likelihood and HKY model, yielding tree with score 3274.21265 (p. 6)
```

```
set criterion=likelihood;
     lset nst=2 basefreq=empirical variant=hky tratio=estimate rates=equal;
     hsearch start=stepwise addseq=random swap=none nreps=1;
Using lscores command to show MLEs of parameters, with ti/tv ratio 1.910491, kappa 3.637613, and the
     negative log-likelihood 3274.21265 (p. 7)
     lscores 1;
Fixing parameter values using the previous option, search produces same tree with score 3274.21265
     (p. 7)
     lset tratio=previous;
     hsearch;
Estimate parameters of the GTR model on the HKY tree in memory, yielding score 3251.02830 and
     rmatrix rAC=0.62353, rAG=1.87194, rAT=0.82691, rCG=0.32529, rCT=3.68057 and rGT=1.0 (p. 8)
     lset nst=6 rmatrix=estimate;
     lscores 1:
Use longfmt to show R-matrix and Q-matrix in matrix form (p. 8)
     lscores 1 / longfmt showqmatrix;
TBR search using GTR model and starting with the HKY tree fails to find a better tree, score (3251.02830)
     identical to the HKY tree (p. 9)
     lset rmatrix=previous;
     hsearch start=1 swap=tbr;
     describe 1 / plot=phylogram;
Estimate among-site rate heterogeneity for current tree, MLE of shape parameter is 0.255221 (p. 9)
     lset rates=gamma ncat=4 shape=estimate rmatrix=estimate;
     lscores 1;
The gammaplot command shows you what the gamma density function looks like for the current shape
     parameter (p. 9)
     gammaplot;
TBR search starting with stepwise addition and allowing rate heterogeneity in the GTR model yields
     tree with score 3155.85106 (p. 10)
     lset shape=previous rmatrix=previous;
     hsearch start=stepwise addseq=random swap=tbr;
     describe 1;
```

```
TBR search using K2P model with rate heterogeneity. First tree obtained (using plain K2P model) has
    score 3178.17621, tratio 2.435876, and kappa 4.871753. The second search with rate heterogeneity
    yields a tree with score 3178.07881 (p. 10)
    lset nst=2 basefreq=equal tratio=estimate rates=equal;
    hsearch start=stepwise addseq=random swap=none nreps=1;
    lset rates=gamma shape=estimate;
    lscores 1;
    lset shape=previous tratio=previous;
    hsearch start=1 swap=tbr;
    describe 1;
Save trees to file using the savetrees command (p. 10)
    savetrees file=test.tre brlens;
Using PAUP blocks to automate analyses (p. 11)
    begin paup;
      log file=algae.log start replace;
       set autoclose=yes;
      execute algae.nex;
      outgroup Anacystis_nidulans;
      set criterion=likelihood;
      lset nst=2 basefreq=equal tratio=estimate rates=equal;
      hsearch start=stepwise addseq=random swap=none nreps=1;
      lset rates=gamma shape=estimate;
      lscores 1;
       lset shape=previous tratio=previous;
      hsearch start=1 swap=tbr;
      describe 1 / plot=phylogram;
       log stop;
     end;
Data set for seeing tree islands resulting from NNI search. Two islands are found, both with score 13,
    and each of size 2 trees (p. 12)
    #nexus
    begin data;
      dimensions ntax=5 nchar=8;
      format datatype=dna;
      matrix
        A A C G C A G G T
        B ATGGTGAT
        C G C T C A C G G
        D ACTGTCGT
        E GTTCTGAG
```

```
begin paup;
hsearch start=stepwise addseq=random nreps=100 swap=nni;
end;

NNI search with one replicate only finds one of the two known islands (p. 12)
hs nreps=1;

SPR search finds all four tree even though one replicate specified (p. 13)
hs nreps=1 swap=spr;
```

Summary

In summary, and for easy reference, here are the commands necessary to set up many of the models and search strategies discussed. There are many options for most of the commands; remember that you can use the question-mark approach to obtain a listing of all the options for any given command.

Search Strategies

Search strategy	PAUP* commands
Stepwise addition (only)	hsearch start=stepwise addseq=random swap=no;
Star decomposition	stardecomp;
Exhaustive enumeration	alltrees;
Branch-and-bound	bandb;
Stepwise addition + NNI heuristic search	hsearch start=stepwise addseq=random swap=nni;
Stepwise addition + SPR heuristic search	hsearch start=stepwise addseq=random swap=spr;
Stepwise addition + TBR heuristic search	hsearch start=stepwise addseq=random swap=tbr;

Distance Analyses

To get this:	Use these PAUP* commands
Neighbor-joining	nj;
Minimum Evolution criterion	set criterion=distance;
	dset objective=me;
Least-squares criterion	set criterion=distance;
(unweighted)	dset objective=lsfit power=0;
Fitch-Margoliash criterion	set criterion=distance;
(weighted least-squares)	dset objective=lsfit power=2;
JC69 model	set criterion=distance;
	dset distance=jc;
F81 model	set criterion=distance;
	dset distance=f81;
F84 model	set criterion=distance;
	dset distance=f84;
HKY85 model	set criterion=distance;
	dset distance=hky85;
GTR model	set criterion=distance;
	dset distance=gtr;
LogDet model	set criterion=distance;
	dset distance=logdet;
$ML ext{ distances}^a$	set criterion=distance;
	dset distance=ml;

^a If ML distances are desired, use the lset command to set up the desired maximum likelihood model (see tables that follow), but make sure "set criterion=distance;" is in effect when the analysis is started.

Likelihood Models

In each of these models containing extra parameters (e.g., transition/transversion ratio), I have provided for estimating these extra parameters in the commands. Remember that this will add a lot of time to the analysis, and for each of these, there is a way to either set the parameter to the previous value or to any particular value. For example, to set tratio to a value previously estimated, you can use tratio=previous rather than tratio=estimate. To set tratio to some particular value, say 2.5, use tratio=2.5. The rmatrix setting works a little differently since there are 5 values associated with the rmatrix setting. To set rmatrix to values previously estimated, use rmatrix=previous; however, to set the rmatrix to a set of five specific values, say 0.62, 1.87, 0.82, 0.32, and 3.68, use this format: rmatrix=(0.62 1.87 0.82 0.32 3.68).

Models Assuming Rate Homogeneity

Model	PAUP* commands
JC69	set criterion=likelihood;
	<pre>lset nst=1 basefreq=equal;</pre>
	lset rates=equal pinvar=0;
F81	set criterion=likelihood;
	<pre>lset nst=1 basefreq=empirical;</pre>
	<pre>lset rates=equal pinvar=0;</pre>
K2P	set criterion=likelihood;
	<pre>lset nst=2 basefreq=equal tratio=estimate;</pre>
	<pre>lset rates=equal pinvar=0;</pre>
HKY85	set criterion=likelihood;
	<pre>lset nst=2 basefreq=empirical variant=hky tratio=estimate;</pre>
	lset rates=equal pinvar=0;
F84	set criterion=likelihood;
	<pre>lset nst=2 basefreq=empirical variant=f84 tratio=estimate;</pre>
	lset rates=equal pinvar=0;
GTR	set criterion=likelihood;
	lset nst=6 basefreq=empirical rmatrix=estimate;
	lset rates=equal pinvar=0;

Using Invariant-sites Model For Rate Heterogeneity

Model	PAUP* commands
JC69+I	set criterion=likelihood;
	<pre>lset nst=1 basefreq=equal;</pre>
	lset rates=equal pinvar=estimate;
F81+I	set criterion=likelihood;
	<pre>lset nst=1 basefreq=empirical;</pre>
	lset rates=equal pinvar=estimate;
K2P+I	set criterion=likelihood;
	<pre>lset nst=2 basefreq=equal tratio=estimate;</pre>
	lset rates=equal pinvar=estimate;
HKY85+I	set criterion=likelihood;
	<pre>lset nst=2 basefreq=empirical variant=hky tratio=estimate;</pre>
	lset rates=equal pinvar=estimate;
F84+I	set criterion=likelihood;
	<pre>lset nst=2 basefreq=empirical variant=f84 tratio=estimate;</pre>
	lset rates=equal pinvar=estimate;
GTR+I	set criterion=likelihood;
	<pre>lset nst=6 basefreq=empirical rmatrix=estimate;</pre>
	lset rates=equal pinvar=estimate;

Using Discrete Gamma Model For Rate Heterogeneity

Model	PAUP* commands
$JC69+\Gamma$	set criterion=likelihood;
	<pre>lset nst=1 basefreq=equal;</pre>
	lset rates=gamma ncat=4 shape=estimate pinvar=0;
F81+Γ	set criterion=likelihood;
	<pre>lset nst=1 basefreq=empirical;</pre>
	lset rates=gamma ncat=4 shape=estimate pinvar=0;
$K2P+\Gamma$	set criterion=likelihood;
	lset nst=2 basefreq=equal tratio=estimate;
	lset rates=gamma ncat=4 shape=estimate pinvar=0;
$HKY85+\Gamma$	set criterion=likelihood;
	<pre>lset nst=2 basefreq=empirical variant=hky tratio=estimate;</pre>
	lset rates=gamma ncat=4 shape=estimate pinvar=0;
F84+Γ	set criterion=likelihood;
	lset nst=2 basefreq=empirical variant=f84 tratio=estimate;
	lset rates=gamma ncat=4 shape=estimate pinvar=0;
$GTR+\Gamma$	set criterion=likelihood;
	lset nst=6 basefreq=empirical rmatrix=estimate;
	lset rates=gamma ncat=4 shape=estimate pinvar=0;

Using Invariant-sites and Discrete Gamma Model For Rate Heterogeneity

Model	PAUP* commands
$JC69+I+\Gamma$	set criterion=likelihood;
	<pre>lset nst=1 basefreq=equal;</pre>
	lset rates=gamma ncat=4 shape=estimate pinvar=estimate;
F81+I+Γ	set criterion=likelihood;
	<pre>lset nst=1 basefreq=empirical;</pre>
	lset rates=gamma ncat=4 shape=estimate pinvar=estimate;
$K2P+I+\Gamma$	set criterion=likelihood;
	<pre>lset nst=2 basefreq=equal tratio=estimate;</pre>
	lset rates=gamma ncat=4 shape=estimate pinvar=estimate;
$HKY85+I+\Gamma$	set criterion=likelihood;
	<pre>lset nst=2 basefreq=empirical variant=hky tratio=estimate;</pre>
	lset rates=gamma ncat=4 shape=estimate pinvar=estimate;
$F84+I+\Gamma$	set criterion=likelihood;
	<pre>lset nst=2 basefreq=empirical variant=f84 tratio=estimate;</pre>
	lset rates=gamma ncat=4 shape=estimate pinvar=estimate;
$GTR+I+\Gamma$	set criterion=likelihood;
	<pre>lset nst=6 basefreq=empirical rmatrix=estimate;</pre>
	lset rates=gamma ncat=4 shape=estimate pinvar=estimate;

Extra topic: Rate variation across classes of sites – the site-specific rates option

Earlier in the lab, we added gamma-distributed among site rate variation to our model of character evolution. This lets the model recognize the fact that (in almost all real datasets) some sites change much more frequently than others. This approach of using a generic, statistical distribution may seem unsatisfying because it does not incorporate much of our biological knowledge or intuition.

Another approach is to define different models of evolution for different classes of characters. The current version of PAUP* does not let you use multiple models simultaneously in a completely flexible way (while MrBayes does). However, PAUP*does allow one component of the model (the rate of evolution) vary over sites. In PAUP*'s terminology this is the site-specific rates model.

This is an example of a partitioned analysis. The partitioning (the assignment of sites to different rate classes) must be done *a priori*. So, you must tell PAUP* which sites should be assumed to have the same rate of substitution. Once you have decided how to partition the sequences, you *can* ask PAUP* to infer the rates that are assigned to these categories.

One of the most common uses of the site-specific rates option in PAUP* is to let different sites in different codon positions have different rates. This agrees with ample empirical observations and the intuition that because many changes in the third position result in either no change in the amino acid sequence or a conservative change (a similar amino acid). Now we'll walk through an example of using PAUP* to assign different rates according to codon position.

- 1. Obtain the primate-mtDNA.nex file (it comes with PAUP*), for the duration of the workshop I have posted the file at http://www.people.ku.edu/~mtholder/sisg/
- 2. Open the file in a text editors (for example WordPad) and look at assumptions block. This section defines groups of taxa and characters (TaxSet s and CharSet s in NEXUS lingo). The UserType command show how you can define a stepmatrix for parsimony (this command is understood by PAUP*, MacClade, and Mesquite). For the purpose of this lab the important commands are the CharSet s that tell us which sites belong to each category: noncoding, 1stpos, 2ndpos, and 3rdpos. These CharSet names are (as far as PAUP* is concerned) arbitrary names the name 1stpos does not tell PAUP* that these are the first codon positions.
- 3. Execute the primate-mtDNA.nex file in PAUP*.
- 4. To tell PAUP* how to partition the characters, we use the CharPartition command (which should be placed in an Assumptions block if you want to use the partitioning scheme in more than one PAUP* session). You can define as many ways of partitioning the characters into groups as you like. Each partition is assigned a name. The general syntax is:

CharPartition <partition name> = <subset name> : <subset definition> , <subset name> : <subset definition> ; Where everything in the <> is replaced with an appropriate value. Let's setup a character partition that groups first and second positions in one group, has another group for the third base positions, and a third subset for the non coding DNA sequence. The command is:

```
CharPartition byCateg = fs: 1stpos 2ndpos , t : 3rdpos, n: noncoding ;
```

This creates a partition named by Categ, first and second partitions are grouped in the subset fs, subset t has the 3rd base positions, and noncoding sites go into a category named n.

5. It is always a good idea to verify that the program did what you were expecting. We can ask PAUP* to show us how it thinks sites are assigned to subsets. Type the command:

ShowCharParts;

To see a table of subsets. Each character in the matrix has a column in this table (the table has to be wrapped across multiple lines because it is too long). There will be an * each column. This tells you which subset PAUP* thinks this character belongs to.

- 6. Lets get a tree in memory. A quick parsimony search should work (BAndB or HSearch).
- 7. Ask PAUP* to score these trees under maximum likelihood and using the HKY model with no amongsite rate heterogeneity. Use the LSet command to set up the model:

```
LSet BaseFreq=estimate NST=2 TRatio=estimate Rates = equal PInvar=0
```

and LScore commands to get the score. Note the likelihood score.

8. Now add gamma-distributed rate heterogeneity to the model with the command:

```
LSet Rates = gamma Shape = estimate;
```

and rescore the trees. Were the scores significantly better?

9. Now lets see how the site-specific rate model works.

```
LSet rates = siteSpec;
LScore
```

Ooops! This doesn't work does it? PAUP* does not know how to assign sites to rate categories. We have to tell it to use the CmdPartition that we created earlier:

```
LSet rates = siteSpec SiteRates = Partition : byCateg;
LScore;
```

Note: the word "byCateg" here is the arbitrary name that we assigned to the character partition. Is the likelihood higher than the when we used the site-specific model? Do the the relative rates for each of the categories that PAUP* estimated agree with your intuition of which sites are fast and which are slow?

10. If we have a priori hypothesis of relative rates that we'd like to test, then we can tell PAUP* not only what the categories are, we can tell it what rates should be used for each. To do this we need a RateSet command. This looks like the CharPartition command, but we replace the names of subsets with numbers that determine the relative rates. If we thought that noncoding DNA evolved 2 times faster than third positions, and third positions evolve 2 times faster than first and second positions. Then we can test how well this matches the data by looking at the likelihood ratio between analysis in which we estimate the relative rates (the analysis we just ran) and a constrained analysis in which we specify the rates:

```
RateSet doubling = 1: 1stpos 2ndpos , 2 : 3rdpos, 4: noncoding ;
LSet rates = siteSpec SiteRates = RateSet : doubling;
LScore:
```

We can perform a significance test using 2 times the difference in log likelihoods between these hypotheses as our test statistic, and a critical values from the χ^2 -distribution with 2 degrees of freedom (there are 3 categories. We can arbitrarily set one of them to 1.0 and estimate the relative rates for the other 2 categories. Thus in the unconstrained model we estimated 2 more parameters than the constrained version).

11. You can test that PAUP* is doing the right thing, by specifying equal rates for all categories:

```
RateSet eq = 1: 1stpos 2ndpos , 1 : 3rdpos, 1: noncoding ;
LSet rates = siteSpec SiteRates = RateSet : eq;
LScore;
```

This should give you the same likelihood as if you tell PAUP* not to use rate heterogeneity (as we did in step 7).

You cannot use the χ^2 -distribution with the likelihood ratio test statistic to compare the gamma-distributed rate heterogeneity model and the site-specific rates model (because the models are not nested). I would also suggest that use caution when comparing these models based on their likelihoods. The site-specific rates model usually incorporates more prior biological knowledge (from your definition of partitioning), and often have a better fit. Unfortunately (in PAUP* implementation) you cannot allow for rate variation within your categories. Because some first and second sites (for instance) evolve at a high rate, this constraint may lead to worse behavior than the gamma-distributed form of rate variation. Take a look at:

Buckley, T., C. Simon, and G. K. Chambers, "Exploring Among-Site Rate Variation Models in a Maximum Likelihood Framework Using Empirical Data: Effects of Model Assumptions on Estimates of Topology, Branch Lengths, and Bootstrap Support". Syst. Biol. **50**(1):6786, 2001.