

1 **A General Model for Alien Species Richness**

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## 20 ABSTRACT

21 A key question in invasion biology is why some regions have more alien species than others.  
22 Here, we provide a general framework to answer this. We model alien species richness as a  
23 function of the number of species introduced (colonization pressure) and the probability that  
24 each species establishes, which is a function of propagule pressure (the number of  
25 introduction events and the number of individuals per event) and the probability that a  
26 founding individual leaves a surviving lineage (lineage survival probability). With this model  
27 we show that: a) alien species richness is most sensitive to variation in colonization pressure;  
28 b) heterogeneity in lineage survival probability lowers the probability of population  
29 establishment, implying alien richness should be lower in more spatially or temporally  
30 variable environments; c) heterogeneity in lineage survival probability leads to higher alien  
31 richness when a given propagule pressure is divided into more introduction events, each  
32 involving fewer individuals; and d) we cannot quantify how specific components, such as  
33 lineage survival probability, influence alien species richness without data on other  
34 components and knowledge of how these covary. Overall, the model provides novel insights  
35 into the factors influencing alien species richness, and shows why we expect anthropogenic  
36 effects to be critical to this.

37

38 **KEYWORDS:** colonization pressure; establishment; founding population; invasion; lineage  
39 survival; propagule pressure

40

## 41 INTRODUCTION

42 One of the primary ways that humans are driving global environmental change is by  
43 introducing species to areas beyond their natural biogeographic ranges. Such species – here  
44 termed aliens – are now a feature of virtually every biological community worldwide  
45 (McGeoch et al. 2010). With the increasing volume and globalisation of human trade and  
46 transport networks, the numbers of successfully established, or naturalised, alien species  
47 continues to grow at ever-increasing rates (Seebens et al. 2017; Sikes et al. 2018). Once  
48 established, a proportion of alien species become invasive (invasive alien species), meaning  
49 they spread, to varying degrees, across the recipient regions, potentially causing negative  
50 impacts on the natural and socio-economic environments they encounter (Vitousek et al.  
51 1997; Mack et al. 2000; Crowl et al. 2008; Ricciardi et al. 2013; Bellard et al. 2016; Gallardo

52 et al. 2016; Maxwell et al. 2016; Paine et al. 2016). These impacts provide a strong impetus to  
53 understand the invasion process.

54

55 Central to understanding the problem of invasive species is explaining why the richness and  
56 composition of alien species varies so dramatically in different parts of the world (Elton  
57 1958). In just a few centuries, the processes that underpin the arrival, establishment and  
58 spread of alien species have generated broad-scale patterns in alien species richness that both  
59 parallel and contrast with patterns in native species richness (Case 1996; Sax et al. 2002;  
60 Dyer et al. 2017). Yet, despite their potential for revealing the processes driving invasions,  
61 documenting and understanding patterns in alien species richness remains a challenge.

62

63 On the one hand, the richness (and other features) of alien assemblages is likely to be  
64 influenced by the biotic and abiotic features of the recipient regions (Shea and Chesson 2002)  
65 on the basis that alien species may respond in the same way as native species to geographic  
66 drivers known to structure assemblages in predictable ways (e.g., higher species richness in  
67 tropical relative to temperate regions). However, natural ecological processes are not the only  
68 drivers of community assembly in invasion biology – the number and composition of alien  
69 species in different regions is strongly influenced by human activities. In particular,  
70 biological invasion is a multi-stage process: a species must successfully pass through a series  
71 of sequential stages to become an invasive alien species (Blackburn et al. 2011). This  
72 sequential nature of the invasion process, means that the characteristics of an alien  
73 assemblage at any given stage depends on the characteristics of the assemblage in previous  
74 stages, along with those processes that act to determine which species successfully transition  
75 between any two stages. These filters include factors that depend on human actions, such as  
76 decisions about which species to transport purposefully to new regions, or the extent of trade  
77 and transportation between regions that entrains accidental introductions (Hulme 2009).  
78 Consequently, to understand the characteristics of alien assemblages, one has to understand  
79 the role of human actions, particularly in determining which species were transported and  
80 introduced to where. Since those species that establish and become invasive are a subset of  
81 those introduced (Williamson 1996; Blackburn et al. 2011), this historical human context is  
82 likely to leave a strong imprint on the composition (Williamson 1996; Cassey et al. 2004b;  
83 Diez et al. 2009) and richness (Dyer et al. 2017) of alien species assemblages.

84

85 While an increasing number of studies are using geographic data to study how alien species  
86 richness varies around the globe (Van Kleunen et al. 2015; Dawson et al. 2017; Dyer et al.  
87 2017), most studies do so in the absence of a clear conceptual framework to guide  
88 interpretation. Analyses of alien species richness need to be set in the context of the invasion  
89 pathway, specifically accounting for the number of alien species introduced to an area  
90 (colonization pressure; Lockwood et al. 2009). Here, we outline a model that describes the  
91 processes that determine the number of alien species successfully established in a region,  
92 given knowledge of colonization pressure. First, we derive an equation for alien species  
93 richness in terms of colonization pressure and the probability that each introduced species  
94 establishes a self-sustaining population, with this probability described in terms of the  
95 number of introduction events, the number of individuals in each event (which together  
96 comprise propagule pressure; Lockwood et al. 2005) and the likelihood a single individual  
97 will leave a surviving lineage and hence found a population (which we term ‘lineage survival  
98 probability’). Colonization pressure and propagule pressure depend on human actions, while  
99 lineage survival probability depends on how favourable the introduction location is to the  
100 arriving species, which determines whether individuals can survive and reproduce, and  
101 ultimately establish a self-sustaining population. Second, we use simulations to examine how  
102 variation in these parameters is expected to influence alien species richness. Finally, we  
103 discuss the implications of our findings in relation to the causes of variation in alien species  
104 richness.

105

## 106 A GENERAL MODEL FOR ALIEN SPECIES RICHNESS

107 Lonsdale (1999) proposed that the richness ( $R$ ) of alien species in a region,  $R = \hat{p}S$ ; where  $S$  is  
108 the number of species introduced (colonization pressure) and  $\hat{p}$  is the proportion of  
109 introduced species that survive and establish a self-sustaining population (note that we have  
110 altered Lonsdale’s original notation to avoid confusion below). Rewriting Lonsdale’s (1999)  
111 equation in terms of the probability,  $P_i$ , that the  $i^{\text{th}}$  introduced species establishes:

112

$$113 \quad R = \sum_{i=1}^S P_i$$

Equation 1

114

115 The probability,  $P_i$ , that an introduced species will establish is well known to depend on  
116 propagule pressure: the number of attempts to introduce a species and the number of  
117 individuals associated with each attempt (Lockwood et al. 2005; Hayes and Barry 2008;  
118 Blackburn et al. 2009; Simberloff 2009; Duncan et al. 2014; Cassey et al. 2018). For the  $i^{\text{th}}$   
119 species, a model for establishment probability as a function of propagule pressure is:

120

$$121 \quad P_i = 1 - \prod_j^{I_i} (1 - p_{ij})^{N_{ij}}$$

Equation 2

122

123 where  $I_i$  is the number of introduction events for species  $i$  (where an event is the introduction  
124 of some number of individuals),  $N_{ij}$  is the number of individuals of species  $i$  introduced at  
125 event  $j$ , and  $p_{ij}$  is lineage survival probability: the probability that an individual of species  $i$   
126 introduced at event  $j$  leaves a surviving lineage and thus founds a population (Leung et al.  
127 2004; Duncan et al. 2014). The total propagule pressure for species  $i$  is the sum over  $I_i$   
128 introduction events of  $N_{ij}$  individuals per event, or the product of  $I_i$  and  $N_{ij}$ , when  $N_{ij}$  is  
129 constant across events. Combining Equations 1 and 2 gives:

130

$$131 \quad R = \sum_i^S \left[ 1 - \prod_j^{I_i} (1 - p_{ij})^{N_{ij}} \right]$$

Equation 3

132

133

134 Equation 3 identifies three components underlying variation in alien species richness. First,  
135 alien species richness should be higher when colonization pressure is greater. All else being  
136 equal, introducing more species (higher  $S$ ) should result in more species establishing. Second,  
137 alien species richness should be higher when propagule pressure is greater (the number of  
138 introduction events per species,  $I_i$ , and the number of individuals introduced per event,  $N_{ij}$ )  
139 because more founding populations or greater founding population size means a higher  
140 chance that at least one founding population succeeds. Finally, alien species richness should  
141 be higher when lineage survival probability is higher (higher  $p_{ij}$ ), which implies that  
142 conditions at the introduction site (e.g., biotic and abiotic variables) are more suited to the

143 persistence (i.e., survival, growth, reproduction) of the species, given its ecological, life  
144 history and other characteristics.

145

146 We expect two of the three components underlying variation in alien species richness to be  
147 strongly associated with human actions in the introduction process: colonization pressure ( $S$ )  
148 and propagule pressure ( $I$  and  $N$ ; from now on we drop the subscripts for convenience). For  
149 intentionally introduced species, these components will be determined largely by human  
150 choices regarding which species to introduce and how many individuals to transport and  
151 release. For accidentally introduced species, these components will be a feature of the  
152 pathways by which introductions occur, which will determine the number and type of species,  
153 and the number of individuals, accidentally entrained and transported to new locations  
154 (Wilson et al. 2009). The third component, lineage survival probability,  $p$ , reflects the  
155 interaction between the traits of a species and features of the environment to which it is  
156 introduced. Individuals introduced to environments that are favourable for population growth,  
157 and that are not subject to large fluctuations in population size due to demographic, genetic or  
158 environmental stochasticity, are more likely to leave surviving lineages and thus establish,  
159 than are individuals introduced to less favourable environments (Dennis 2002; Lande et al.  
160 2003; Schreiber and Lloyd-Smith 2009). While it is sometimes possible to obtain data on  
161 colonization pressure and propagule pressure (e.g., from knowledge of the numbers and types  
162 of species introduced to regions), it is much more difficult to determine lineage survival  
163 probability for species prior to introduction because it is hard to determine how species will  
164 behave in a new environment, and the precise conditions they will face on arrival.

165

166 Nevertheless, we can identify key components that will underlie differences in lineage  
167 survival probability, which helps clarify some important invasion concepts (Richardson and  
168 Pyšek 2006). Specifically,  $p$  could vary predictably among species due to differences in traits  
169 that increase or decrease lineage survival probability, and hence establishment success, in a  
170 range of environments (Kolar and Lodge 2001; Hayes and Barry 2008). This would result in  
171 some species being classed as more invasive than others because they possess traits that  
172 result in individuals having a higher probability of leaving a surviving lineage at a greater  
173 range of locations, increasing the likelihood that founding populations will establish.  
174 Similarly,  $p$  could vary predictably among locations such that some locations are more likely

175 than others to be invaded by many species because those locations have favourable  
176 environments where founding individuals of many species have a high chance of leaving a  
177 surviving lineage (Stohlgren et al. 1997; Shea and Chesson 2002). These definitions highlight  
178 that the concepts of species invasiveness and location invasibility reflect predictable  
179 differences among species and locations in lineage survival probability, which is the relevant  
180 measure of performance independent of colonization and propagule pressures (Lonsdale 1999;  
181 Duncan et al. 2003; Catford et al. 2012).

182

183 We expect  $p$  to vary depending on species and location, and between introduction events of  
184 the same species to the same location if conditions vary over time (Norris et al. 2002). To  
185 explore how this heterogeneity in  $p$  might influence alien richness, we extend equation 3 to  
186 allow for variation in  $p$  among introduction events. We can model heterogeneity in  $p$  using a  
187 beta distribution, which constrains  $p$  to values between 0 and 1, and provides a flexible  
188 distribution able to capture plausible ways in which  $p$  might vary, including bimodal  
189 distributions where some species or events have high and others low lineage survival  
190 probability. When heterogeneity in  $p$  is modelled using a beta distribution, the equation for  
191 expected alien richness becomes (see Duncan et al. 2014):

192

$$193 \quad R = \sum_i^S \left[ 1 - \prod_j^{I_i} \frac{B(\alpha, N_{ij} + \beta)}{B(\alpha, \beta)} \right] \quad \text{Equation 4}$$

194

195 where  $B$  is the beta function, and  $\alpha$  and  $\beta$  are the parameters of a beta distribution describing  
196 the distribution of  $p$  values among introduction events. Across all introduction events,  
197 individuals have a mean probability of leaving a surviving lineage,  $\bar{p} = \alpha / (\alpha + \beta)$  with  
198 variance  $\sigma_p = \alpha\beta / [(\alpha + \beta)^2(\alpha + \beta + 1)]$ . While it may be difficult to estimate lineage survival  
199 probability for a given introduction event (Duncan 2016), Equation 4 provides a model that  
200 allows the influence of variation in lineage survival probability on alien species richness to be  
201 explored.

202

203 SENSITIVITY OF ALIEN RICHNESS TO DIFFERENT DRIVERS

204 Understanding how and why alien species richness varies among locations or through time  
205 involves understanding the contributions of the components we have identified in driving  
206 richness patterns. As a starting point, we therefore analysed the sensitivity of alien species  
207 richness to variation in each of the three components (colonization pressure,  $S$ , propagule  
208 pressure,  $I$  and  $N$ , and lineage survival probability,  $p$ ). Given that there will be variation in  
209 lineage survival probability among events, this term has two components: a mean ( $\bar{p}$ ) and  
210 variance ( $\sigma_p$ ) (see above). Using Equation 4, we examined the sensitivity of alien richness to  
211 varying four parameters in turn:  $S$ ,  $I$ ,  $N$  and  $\bar{p}$  given four values for  $\sigma_p^2$  (0,  $1 \times 10^{-4}$ , 0.001 and  
212 0.005), noting that when  $\sigma_p^2 = 0$ , Equation 4 reduces to Equation 3.

213

214 The results of the sensitivity analysis are shown in Fig. 1. All else being equal, greater  
215 heterogeneity in  $p$  (i.e., higher  $\sigma_p^2$  for the same  $\bar{p}$ ) reduces the probability of establishment  
216 overall, and thus results in lower alien species richness  $R$  (compare Fig. 1a with no  
217 heterogeneity to the other panels in Fig. 1). This is because  $\bar{p}$  typically takes small values so  
218 that any increase in heterogeneity resulting in some larger  $p$  values leads to a skewed  
219 distribution with disproportionately more small  $p$  values to offset this, lowering the probability  
220 of establishment for most species.

221

222 Regardless of the value of  $\sigma_p^2$ , a proportional change in the number of introduction events  $I$   
223 has the same effect on species richness  $R$ , as the same proportional change in the mean  
224 probability of lineage survival  $\bar{p}$ : all else being equal, doubling  $I$  increases alien species  
225 richness  $R$  by the same amount as doubling  $\bar{p}$ . However, when there is heterogeneity in  $p$   
226 ( $\sigma_p^2 > 0$ ),  $R$  is less sensitive to changes in the number of individuals per introduction attempt  
227  $N$  than it is to changes in  $I$  and  $\bar{p}$ , and becomes increasingly less sensitive as  $\sigma_p^2$  increases.

228 This means that, when there is variation in lineage survival probability among events within  
229 species, alien species richness will be greater if the total propagule pressure for each species  
230 ( $I \times N$ ) is divided into more introduction events  $I$  involving fewer individuals per event  $N$  (Fig.  
231 1b-d). When there is no heterogeneity in  $p$ , it makes no difference to alien species richness  
232 whether individuals are introduced in one large event or several smaller events (Fig. 1a). This  
233 sensitivity of outcomes to variation in  $p$  may explain why different studies have reached



234 different conclusions regarding the importance of  $I$  versus  $N$  in controlling establishment  
235 success (Hopper and Roush 1993; Haccou and Iwasa 1996; Grevstad 1999; Haccou and  
236 Vatutin 2003; Cassey et al. 2014).

237

238 Variation in alien species richness  $R$  was most sensitive to variation in colonization pressure  
239  $S$ . When  $S$  is fixed and any of  $I$ ,  $N$  or  $p$  increases,  $R$  cannot exceed the limit at  $R = S$ , when  
240 every introduced species succeeds in establishing. This constrains by how much alien species  
241 richness can increase as we increase  $I$ ,  $N$  and  $p$ , and hence limits the sensitivity of  $R$  to  
242 variation in these parameters. In contrast, alien species richness is more sensitive to altering  
243 colonization pressure: doubling  $S$  increases  $R$  by a greater proportion than doubling the other  
244 parameters because alien species richness increases as a linear (rather than asymptotic)  
245 function of the number of species introduced. This implies that differences among locations  
246 in alien species richness will be more sensitive to varying colonization pressure than to  
247 varying propagule pressure or lineage survival probability, if other things stay constant. Other  
248 things, however, are unlikely to remain constant: we consider next how this might affect  
249 establishment outcomes.

250

## 251 COVARIATION BETWEEN COLONIZATION PRESSURE, PROPAGULE PRESSURE 252 AND LINEAGE SURVIVAL

253 In our sensitivity analysis we varied each parameter while maintaining others constant at their  
254 initial values. In reality, however, parameters are likely to covary, potentially in predictable  
255 ways. For example, with intentional introductions the environment at a location may affect  
256 people's choices about the number and type of species to introduce, and the effort expended  
257 in introducing different types of species, causing propagule pressure to be positively  
258 correlated with lineage survival probability. Horticulturalists, for example, often select  
259 ornamental species on the basis of how well matched these are to the local climate (e.g.,  
260 using hardiness zones), leading to well-matched species (those likely to have higher  $p$ ) being  
261 planted more often and more extensively (higher  $I$  and  $N$ ) (Maurel et al. 2016). This may also  
262 mean that more species are introduced to locations with relatively benign climates compared  
263 to those with harsher climates, such that  $S$  and  $p$  are positively correlated.

264

265 In addition to covariation, parameters could also vary predictably through time. Globally,  
266 alien species richness is often positively correlated with measures of trade (Meyerson and  
267 Mooney 2007; Westphal et al. 2007; Hulme 2009; Sikes et al. 2018). This is expected,  
268 because trade is a key conduit for accidental introductions, with greater trade volumes  
269 leading to more individuals being accidentally transported to new locations (Wilson et al.  
270 2009). Lockwood et al. (2009) demonstrated that when individuals are randomly sampled  
271 from a source community with an underlying log series abundance distribution, increasing  
272 the number of individuals per sample increased both colonization pressure and mean  
273 propagule pressure, meaning  $S$ ,  $I$  and  $N$  are positively correlated, reinforcing the association  
274 between trade and alien species richness (see Fig. 2). Here we use simulations to extend these  
275 findings. We show that when few individuals are sampled from the source community,  
276 increasing the number of individuals leads to a faster increase in colonization pressure than  
277 mean propagule pressure (Fig. 2b). This suggests that increasing numbers of new species  
278 arriving (greater colonization pressure), rather than increasing propagule pressure, drives the  
279 increase in alien species richness at low trade volumes. At higher trade volumes, however,  
280 colonization pressure will asymptote as samples become large enough to include most  
281 species. As trade volume increases beyond this point, propagule pressure continues to  
282 increase as more individuals of the same species are included in each sample. As a  
283 consequence, rather than slowing as colonization pressure asymptotes, alien species richness  
284 may continue to increase steadily with increasing trade volume due to propagule pressure  
285 taking over from colonization pressure as the driver of establishment (Fig. 2c). How the form  
286 of the relationship between colonization and propagule pressure differs for other realistic  
287 species-abundance distributions is unknown but, regardless of the particular assumptions,  $S$ ,  $I$   
288 and  $N$  are likely to covary in ways that alter the drivers of alien species establishment as trade  
289 volumes vary in time and/or space. Modelling the consequences of this covariation for alien  
290 species richness is a clear avenue for future work.

291

292 Other features of the introduction process could further result in parameter covariation or  
293 cause parameters to change in predictable ways through time. For intentional introductions,  
294 less interest in pursuing later introductions once some alien species have established may  
295 cause propagule pressure to decline ( $I$  and  $N$  are negatively correlated with  $S$ ). This could  
296 explain declines in the annual rate at which some species, particularly birds and mammals,  
297 have established in many countries following earlier efforts at acclimatisation (Duncan and

298 Blackburn 2002; Seebens et al. 2017), particularly once the negative impacts of established  
299 species became apparent and efforts shifted to preventing new introductions through  
300 biosecurity measures (McDowall 1994). Nevertheless, declining establishment rates through  
301 time could be due to other processes. One possibility is that the pool of species available for  
302 introduction is being exhausted (Levine and D'Antonio 2003), although Fig. 2 shows that  
303 even when this occurs, establishment rates can still rise when increasing trade volume  
304 continues to increase propagule pressure. Recent analysis further suggests that the pool of  
305 potential alien species is increasing for most unintentionally transported taxa due to widening  
306 trade connections (Seebens et al. 2018). Another possibility invokes the idea of saturation: as  
307 alien species accumulate in a region it becomes increasingly difficult for new species to  
308 establish, due to niche pre-emption, which implies that  $p$  is negatively correlated with  $R$   
309 independent of variation in propagule pressure (Moulton and Pimm 1983; Duncan 1997;  
310 Tilman 2004). Identifying which components of alien species richness (colonization pressure,  
311 propagule pressure or lineage survival probability) are driving variation in establishment rates  
312 across time and space is clearly challenging because it requires separating out the effects of  
313 covarying components.

314

## 315 IMPLICATIONS OF THE MODEL FOR ALIEN SPECIES RICHNESS

316 Lonsdale (1999) highlighted that the number of alien species in a region is a function of both  
317 the number of species introduced and the likelihood that a species establishes a self-  
318 sustaining population. Establishment probability is in turn a function of propagule pressure,  
319 allowing us to extend Lonsdale's model and identify the three critical components underlying  
320 variation in alien species richness: colonization pressure, propagule pressure and lineage  
321 survival probability. Our model (Equations 3 and 4) has at least two important implications  
322 for the study of alien species richness.

323

324 First, as we indicated above, it is not possible to quantify how specific components, such as  
325 lineage survival probability, influence alien species richness without quantifying the other  
326 components, particularly colonization pressure (Williamson 1996; Lonsdale 1999). Our  
327 sensitivity analysis (Fig. 1) implies that variation in colonization pressure is most likely a key  
328 component of variation in alien richness, with the number of established species increasing as  
329 a linear function of the number introduced, in contrast to other parameters that vary

330 asymptotically. The logic of this difference is straightforward: for a given number of  
331 introduced species, increasing the number of introduced individuals per species ( $I$  and  $N$ ) or  
332 the likelihood that any one individual leaves a surviving lineage ( $p$ ) can increase  
333 establishment success, but can only ever increase alien species richness up to the limit set by  
334 colonization pressure ( $S$ ). Introducing more species increases this limit, and hence alien  
335 species richness is more sensitive to changes in  $S$  than  $I$ ,  $N$  and  $p$ . The influence of propagule  
336 pressure on invasion outcomes has already been argued to be a ‘null model for biological  
337 invasions’ (Colautti et al. 2006; Cassey et al. 2018), in the sense that it should be included in  
338 any attempt to understand and model the invasion process. We propose that colonization  
339 pressure should also be considered a null model for biological invasions. Nevertheless, like  
340 propagule pressure it is often difficult to quantify colonization pressure: in most regions we  
341 do not know how many alien species have been introduced, but subsequently failed to  
342 establish. Unfortunately this means that, in the absence of data for  $S$ , it is very difficult to  
343 unravel what underlies variation in alien species richness because we are missing information  
344 on what is probably the most important driver (Diez et al. 2009; García-Díaz et al. 2015). It  
345 may be possible to use proxies for  $S$ , such as trade volume, albeit advising similar caution as  
346 for the use of proxies for propagule pressure because of the potential for spurious correlations  
347 (Pigot et al. 2018).

348

349 Second, our model shows how colonization pressure, propagule pressure, and lineage  
350 survival probability combine to determine alien species richness (Equations 3 and 4), but we  
351 need to understand how these components covary in real situations. Such covariation could  
352 lead to reinforcement (e.g., a positive correlation between propagule pressure and lineage  
353 survival probability for intentionally introduced species), substitution (e.g., propagule  
354 pressure taking over from colonization pressure as trade volume increases) or the cancelling  
355 out (e.g., negative correlation between lineage survival probability and colonization pressure  
356 due to niche pre-emption) of effects. More generally, our model provides a framework for  
357 understanding how specific factors are likely to affect alien richness through their combined  
358 influence on colonization pressure, propagule pressure and lineage survival probability. For  
359 example, we have argued that both colonization and propagule pressure should be positively  
360 correlated with trade volume (Fig. 2) but that alien richness should be more sensitive to  
361 changes in colonization pressure. This implies that, for a given trade volume, a country  
362 should be at greater risk of alien invasion if it trades with a wide range of partners (high

363 colonization pressure through exposure to many partners, but lower propagule pressure per  
364 partner) than if trade is concentrated in fewer partners (higher propagule pressure per partner  
365 but lower colonization pressure), an outcome supported by simulation (Fig. 3). More  
366 generally, by specifying how factors such as trade interact with the different components of  
367 alien species richness, and understanding the sensitivity of these different components (Fig.  
368 1), we should be able to identify the most important interactions underlying variation in alien  
369 species richness, generating predictions that can be empirically tested.

370

371 Overall, anthropogenic effects are likely to be strong determinants of alien species richness  
372 by directly influencing colonization pressure and propagule pressure, and by changing  
373 lineage survival probability to favour alien species through environmental modification (e.g.,  
374 land use or climate change). As we have identified, differences among locations in their  
375 inherent invasibility must result from differences in lineage survival probability, independent  
376 of variation in colonization pressure or propagule pressure (Catford et al. 2012). Given that  
377 colonization and propagule pressure can vary widely, locations would have to show very  
378 strong and consistent differences in lineage survival probability for this to be a major driver  
379 of variation in alien species richness. A recent global analysis of alien bird species richness  
380 supports this finding, with variation in alien richness primarily explained by variation in  
381 anthropogenic factors, especially a strong positive effect of colonization pressure, but with  
382 some variance explained by a positive effect of native species richness at the recipient  
383 location, which could reflect differences in the suitability of locations for both native and  
384 alien species persistence (Dyer et al. 2017).

385

386 Species traits could also predictably influence lineage survival probability, but perhaps more  
387 important are likely to be the relationships between traits and propagule pressure and  
388 (indirectly) colonization pressure (Maurel et al. 2016; Peoples and Goforth 2017). In general,  
389 widespread, abundant species are more likely to be introduced to new environments, while  
390 large-bodied animal species are more likely to be deliberately translocated (Blackburn and  
391 Duncan 2001; Jeschke and Strayer 2006; Tingley et al. 2010; Blackburn et al. 2017).  
392 Globally, propagule pressure is positively related to geographic range size, annual fecundity,  
393 body mass and migratory tendency in birds (Cassey et al. 2004a). The characteristics of  
394 species entrained in the invasion pathway are therefore a biased subset relative to the pool of

395 all potential alien species. Thus, the traditional view of the influence of species' traits on  
396 alien species richness – that these affect lineage survival probability by influencing the ability  
397 of species to survive and reproduce at new localities – may be less important than the manner  
398 in which traits affect how humans perceive and interact with species, directly through  
399 deliberate trade or indirectly through the likelihood of accidental translocation (Chapple et al.  
400 2012).

401

402 Equation 3 is a general model describing alien richness given knowledge of the species  
403 introduced, the number of introduction events and numbers of individuals of each species  
404 introduced, and the probability a founding individual in each event would leave a surviving  
405 lineage. This generic model can include a wide range of more specific processes that can be  
406 modelled by specifying particular relationships among the parameters (e.g., Fig 3). For  
407 example, according to MacArthur & Wilson's (1963, 1967) equilibrium theory of island  
408 biogeography, the rate at which species arrive and establish on an island declines as a  
409 function of the number of species already present due to exhaustion of the mainland species  
410 pool and competition with residents. Within our framework, this could be modelled by  
411 specifying a negative relationship between  $R$  and either  $S$  or  $p$ , or both. Similarly, Allee  
412 effects, which can be important in the dynamics of invading populations (Drake 2004; Tobin  
413 et al. 2011), would imply that  $p$  becomes small whenever  $N$  falls below a particular threshold.  
414 Nevertheless, while equation 3 describes a generic and very flexible model, fitting the model  
415 to data on alien species richness with the aim of quantifying the main drivers of variation  
416 requires data on some of the key components, particularly colonization and propagule  
417 pressure. Data on lineage survival probability are difficult to obtain, if not impossible, despite  
418 this being the key parameter to assess differences in invasion risk among species or locations.  
419 Consequently, studies typically aim to estimate this parameter and how it varies given data on  
420 the remaining components (Sol et al. 2012). Equation 4 may assist with this because it allows  
421 for generic modelling of variation via a distribution, rather than having to estimate lineage  
422 survival separately for each species or introduction event (for examples, see Duncan et al.  
423 2014; Duncan 2016). Additionally, lineage survival probability can be modelled as a function  
424 of general environmental (e.g. seasonality) or species (e.g. life-history) attributes.  
425 Nevertheless, we emphasise that without data on at least some components, particularly  
426 colonization pressure, it is impossible to quantify the relative importance of other  
427 components in driving variation in alien species richness (Lonsdale 1999). This is particularly

428 so where covariates often used to explain variation in alien species richness, including  
429 anthropogenic factors such as trade volume, can influence outcomes via several pathways.

430

431 Acknowledging heterogeneity in lineage survival probability  $p$  (equation 4) also has some  
432 important implications for understanding variation in alien species richness. First,  
433 heterogeneity in lineage survival probability reduces overall establishment probability and  
434 lowers alien species richness across the range of parameter values we simulated (Fig. 1).  
435 Second, when there is heterogeneity in lineage survival probability among locations,  
436 increasing the number of introduction events  $I$  has the same effect on alien species richness as  
437 an equivalent proportional increase in lineage survival probability, but alien species richness  
438 is less sensitive to an equivalent proportional increase in the number of individuals per  
439 introduction attempt  $N$  (Fig. 1). This implies that when there is heterogeneity in lineage  
440 survival probability due, for example, to spatial and/or temporal variation in the suitability of  
441 locations for establishment, then establishment probability (and alien species richness) will  
442 be higher when total propagule pressure for a species is divided into more introductions of  
443 fewer individuals. This occurs because, with environmental heterogeneity, it is better to try  
444 many locations, at least one of which may be suitable for establishment with even a few  
445 individuals, rather than risking all individuals at one or a few locations that may turn out to  
446 be unsuitable (see also Haccou and Iwasa 1996; Grevstad 1999; Haccou and Vatutin 2003).

447

448 The above finding implies that if two regions have the same mean lineage survival  
449 probability, then the region with greater spatial and temporal heterogeneity in lineage  
450 survival probability should have lower alien species richness, suggesting that regions with  
451 low environmental heterogeneity might be easier to invade. This negative effect of  
452 environmental heterogeneity on alien establishment may appear surprising given that  
453 environmental heterogeneity is generally expected to promote diversity by stabilising  
454 coexistence. An intriguing possibility is that the higher alien species richness found on  
455 islands, relative to continental regions (Dawson et al. 2017), could then be a consequence of  
456 lower environmental heterogeneity in suitable habitats, due to their small size and oceanic  
457 climate. If so, a further implication would be that, relative to continental regions,  
458 introductions of alien species to islands would be less sensitive to how total propagule  
459 pressure was distributed across introduction events. Conversely, many introductions of few

460 individuals to continents should increase success, because there are more places or times  
461 where introductions would fail on continents, relative to islands, due to low values of  $p$ .  
462 Other areas with low environmental heterogeneity may include cities, especially in temperate  
463 climates, where the urban heat island effect reduces climatic variability, and where  
464 anthropogenic food sources (e.g., rubbish dumps, bins, supplemental feeding) may reduce  
465 periods of food scarcity. Alien species are particularly prevalent in cities and on islands (van  
466 Kleunen et al. 2015; Dawson et al. 2017; Gaertner et al. 2017), although this could equally be  
467 due to variation in colonization and propagule pressure (Blackburn et al. 2008; Dawson et al.  
468 2017; Dyer et al. 2017).

469  
470 In summary, we have outlined a generic model to describe variation in alien species richness,  
471 highlighting three critical components – colonization pressure, propagule pressure and  
472 lineage survival probability – that underlie this variation. Substantial research effort in  
473 invasion biology has been devoted to understanding the characteristics that make some  
474 locations more invasible and some species more likely to become alien invaders. Indeed,  
475 these were the two key questions posed by the influential SCOPE program on alien species  
476 (Drake et al. 1989; Williamson 1996). Our model highlights that location and species-level  
477 traits are each components of lineage survival probability  $p$ , and that this combines with  
478 propagule and colonization pressure to determine establishment success and alien species  
479 richness (Fig. 3). While it remains important to identify the traits that underlie variation in  
480 lineage survival probability, it is clear that as much effort, if not more, needs to be focussed  
481 on understanding determinants of variation in colonization pressure  $S$  and propagule pressure  
482 ( $N \times I$ ). Traits that determine which species are introduced more often and in larger numbers  
483 may matter more in driving the distribution and richness of alien species than traits that  
484 increase the likelihood that an individual will leave a surviving lineage in a novel  
485 environment. Our model further highlights the need to understand how these components  
486 covary, and emphasises that it is impossible to infer the importance of one component  
487 without some understanding of the others. Given the importance of colonization pressure as a  
488 driver of alien species richness, an extension of our model would be to consider more  
489 thoroughly how colonization pressure can vary, particularly in relation to the pool of native  
490 species available as potential new alien introductions, the characteristics of the native pool (in  
491 terms of species abundances and exposure to humans that might influence the likelihood  
492 species will be picked up and transported to new locations), and how anthropogenic factors



493 such as trade influence rates of species arrival (for a start on this, see Leung et al. 2012). We  
494 suspect that much of the global variation in alien species richness will be best explained by  
495 these factors.

496

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502

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697 Fig. 1. Sensitivity analysis showing how alien species richness changes with a proportional  
698 increase in the parameters of Equations 3 and 4: colonization pressure  $S$ , propagule pressure  $I$   
699 and  $N$ , and lineage survival probability  $p$ . We specified initial values of number of species  
700 introduced to a location  $S = 100$ , the number of introduction events per species  $I = 10$ , the  
701 number of individuals introduced per event  $N = 10$ , and lineage survival probability  $p = 0.005$ .  
702 With these parameters, Equation 3 gives the expected alien species richness  $R = 39$ . We then  
703 measured the effect on  $R$  of increasing each parameter, in turn, by a proportion ranging from  
704 1 to 5 (i.e., increasing each parameter by up to 5 times the initial value), while keeping the  
705 other parameters fixed at the initial values. Choosing different initial values results in  
706 qualitatively the same outcomes. A is the sensitivity analysis assuming no heterogeneity in  
707 lineage survival probability (Equation 3;  $\sigma_p^2 = 0$ ), while B-D assume increasing levels of  
708 heterogeneity in  $p$  (equation 4 with  $\sigma_p^2 = 0.0001, 0.001$  and  $0.005$ , respectively; with these  
709 values shown above each plot).

710

711 Fig. 2. Output from a simulation where different numbers of individuals (10, 50, 100, 500,  
712 1000, 2000, 3000, 4000, 5000, 10000, 25000, 50000, 75000 and 100000 on the x-axis) were  
713 each sampled 1000 times from a community with the species abundance distribution in A (a  
714 Poisson-lognormal distribution with 1000 species having (log) mean abundance = 0.5 and  
715 standard deviation = 2). This community can be considered the source pool of alien species  
716 from which the different numbers of individuals were sampled; B shows the median number  
717 of species per sample as a function of the total number of individuals per sample, with the  
718 maximum value of 1000 species shown as a dotted line; C shows the median number of  
719 individuals per species as a function of the total number of individuals per sample; D shows  
720 median alien species richness (calculated using Equation 3 with  $p = 0.005$ ) as a function of  
721 the total number of individuals per sample.

722

723 Fig. 3. Output from a simulation where different numbers of individuals (10, 50, 100, 500,  
724 1000, 2000, 3000, 4000, 5000, 10000, 25000, 50000, 75000 and 100000 on the x-axis) were  
725 sampled from either 1, 2, 5 or 10 different communities (the different lines). The total  
726 number of individuals could represent the number of aliens arriving in a country (a function  
727 of trade volume), and each community the source pool of aliens from a different trading  
728 partner. Each community is characterised by the species abundance distribution shown in Fig.



729 2A (a Poisson-lognormal distribution with 1000 species having (log) mean abundance = 0.5  
730 and standard deviation = 2). We modelled arrival such that the total number of arriving  
731 individuals (x-axis) was evenly distributed among the number of trading partners (1, 2, 5 or  
732 10). Median alien species richness (calculated using Equation 3 with  $p = 0.005$  from 1000  
733 simulations) is higher when there are more trading partners (and thus fewer arriving  
734 individuals per partner), than when there are fewer partners (and thus more arriving  
735 individuals per partner).

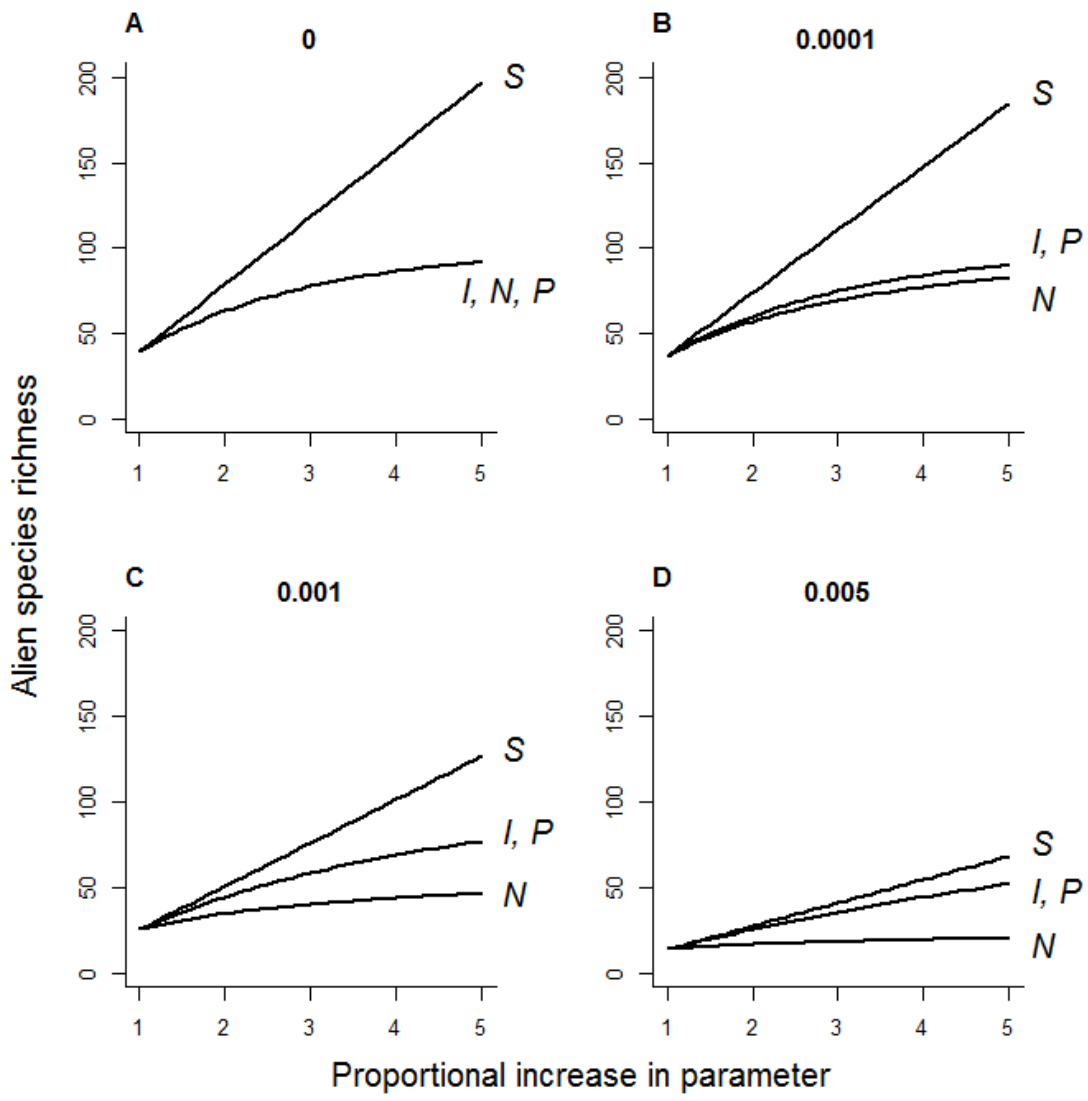
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738 Fig. 1.

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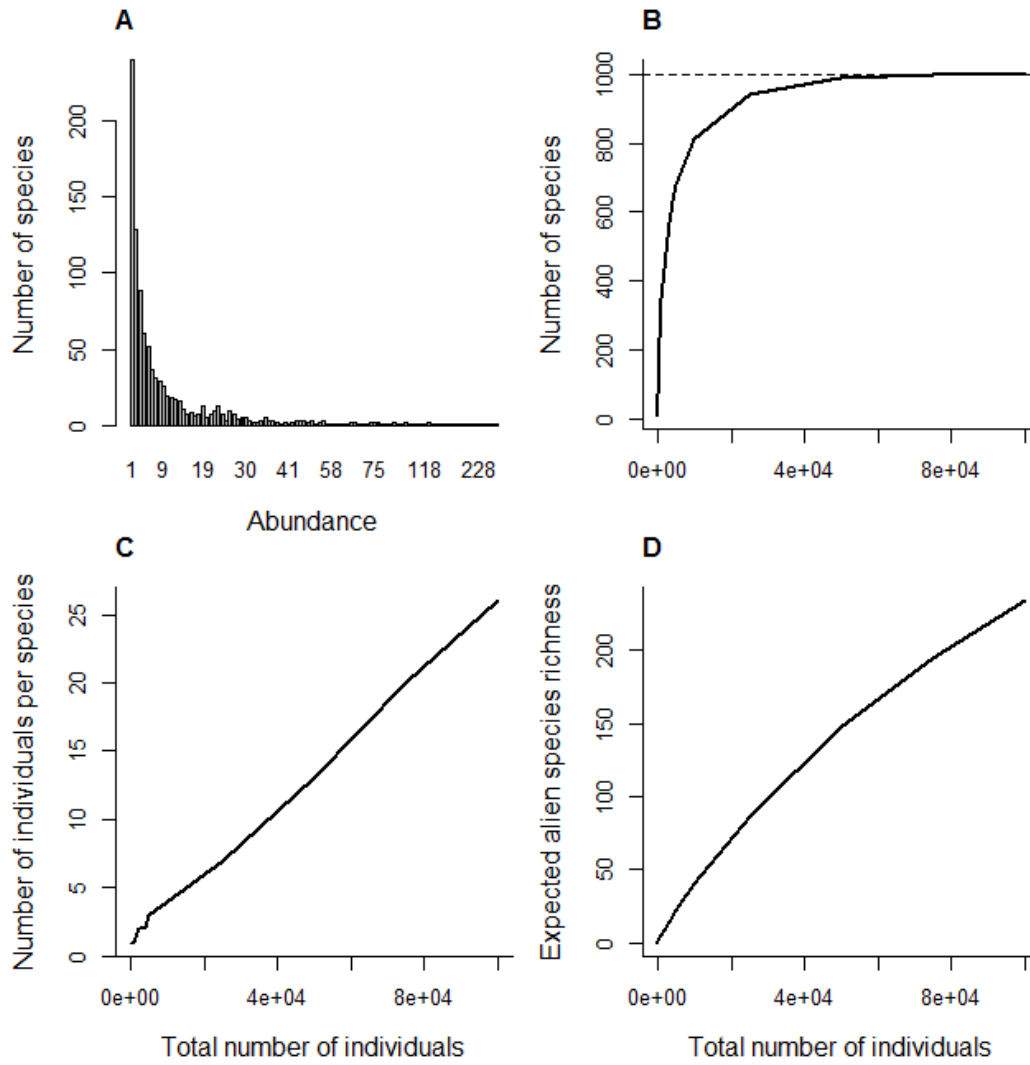
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745 Fig. 2.

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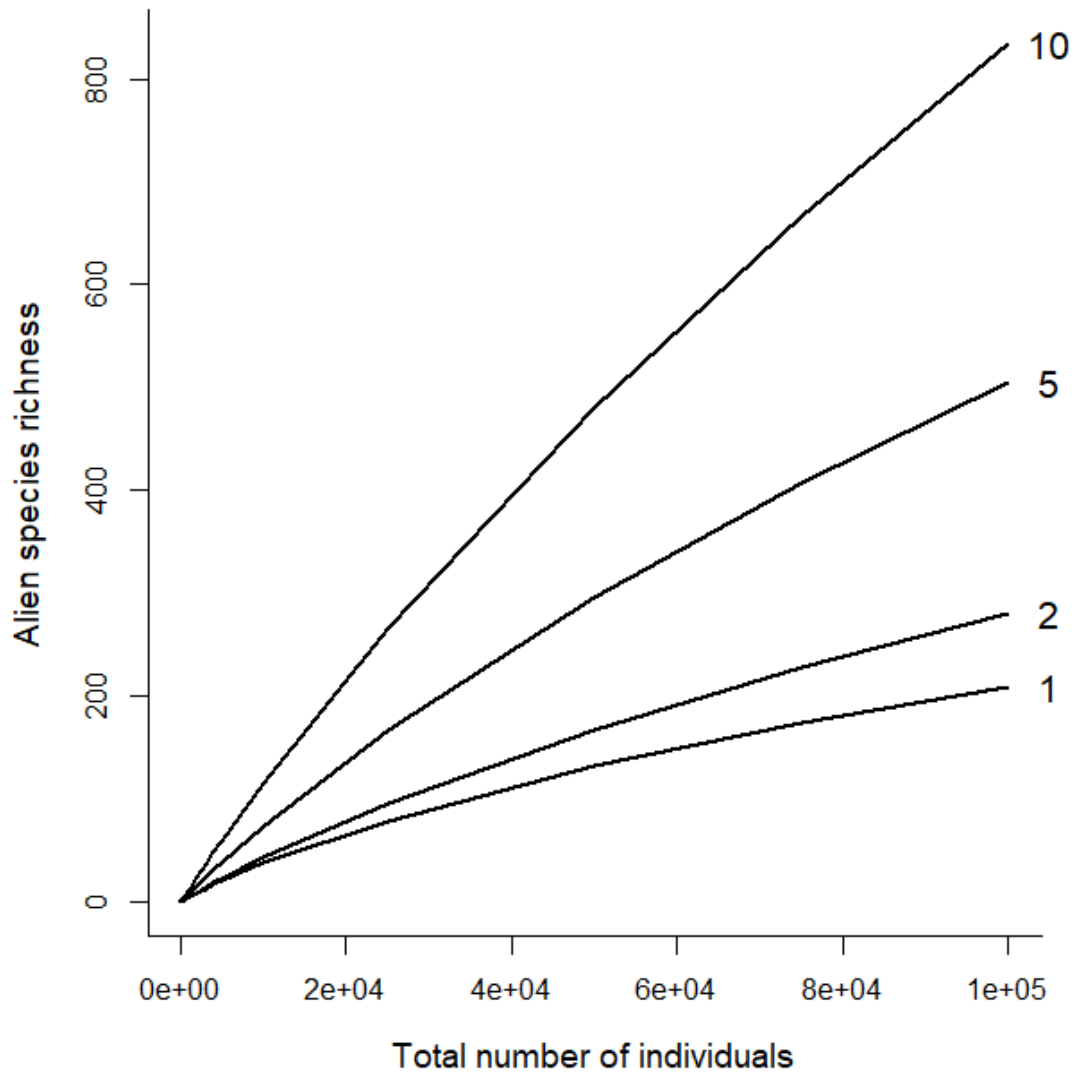
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752 Fig. 3.

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