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#### Abstract

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In the light of unprecedented change in global biodiversity, real-45 time and accurate ecosystem and biodiversity assessment are becom-46 ing increasingly essential. Nevertheless, estimation of biodiversity us-47 ing ecological field data can be difficult for several reasons. In partic-48 ular, for larger extents, it is challenging to collect data to provide reli-49 able information. Some of these restrictions in Earth observation can 50 be avoided through the use of remote sensing approaches. Different 51 studies have estimated biodiversity on the basis of the Spectral Varia-52 tion Hypothesis (SVH). According to this hypothesis, spectral hetero-53 geneity over the different pixel units of a spatial grid reflects a higher 54 niche heterogeneity, allowing more organisms to coexist. Recently, the 55 spectral species concept has been derived, following the consideration 56 that the spectral heterogeneity at a landscape scale corresponds to a 57 combination of subspaces sharing a similar spectral signature. At a 58 local scale, with the use of high resolution remote sensing data, the 59 different subspaces can be identified as different spectral entities, the 60 so called "spectral species". Our approach extends this concept over 61 wide spatial extents and to a higher level of biological organisation. 62

<sup>63</sup> We applied this method to MODIS imagery data over Europe. Ob-<sup>64</sup> viously, in our case, a spectral species from MODIS is not related to <sup>65</sup> a single plant species in the field but rather to a species assemblage, <sup>66</sup> habitat, or ecosystem. Based on such spectral information, we pro-<sup>67</sup> pose a straightforward method to derive  $\alpha$ - (local relative abundance <sup>68</sup> and richness of spectral species) and  $\beta$ -diversity (turnover of spectral <sup>69</sup> species) maps at wide geographical extents.

*Keywords:* biodiversity; ecological informatics; modelling; remote sens ing; satellite imagery.

#### 72 1 Introduction

#### <sup>73</sup> 1.1 A quest for robust and reproducible $\alpha$ - and $\beta$ -<sup>74</sup> diversity measurement

The variability of life on Earth is heterogeneously distributed across the planet; ecologists and biogeographers have long been questioning about the potential causes of biodiversity distribution. Nowadays, the speed of changes and the uncertainty about consequences thereof is urging the whole scientific community worldwide. The perception of these processes translates into the need to use standardized methods for biodiversity assessment and monitoring in order to gain a better understanding and identify generalities.

A diatribe is still open about what are the most reliable metrics to as-82 sess biodiversity (see Jurasinski et al. (2009); Tuomisto (2010). Until now, 83 no consistent definition exists and also the definition of the CBD (1992, 84 https://www.cbd.int/convention/text/) is more confusing than clear: 85 "Biological Diversity means the variability among living organisms from all 86 sources, including, inter alia, terrestrial, marine and other aquatic ecosystems 87 and the ecological complexes of which they are part; this includes diversity 88 within species, between species and of ecosystems." Biodiversity obviously 89 includes quantitative (number of species, alpha-diversity, gamma-diversity), 90 qualitative (turnover, composition, beta-diversity) and functional (complex-91 ity, trophic levels, ecosystem services) aspects. To sum up our understanding 92 on the term biodiversity (i.e. biological diversity) and to base our study on a 93 more general and consistent concept, "biodiversity characterizes qualitative, 94 quantitative and functional aspects of biotic units at various levels of orga-95 nization in a concrete or abstract context, and at a given temporal or/and 96 spatial scale" (Beierkuhnlein, 2003). In consequence, species richness and 97 metrics that are based on it are very important, but they represent just one 98

aspect of biodiversity. The total number of species co-occurring in a given 99 community ( $\alpha$ -diversity) is nested within the total number of a species pools 100 occurring for instance at the landscape level ( $\gamma$ -diversity). But the reduc-101 tion of biodiversity to the perspective of inventory and proportion would not 102 cover spatial gradients in composition and species turnover (differentiation, 103  $\beta$ -diversity) (Jurasinski et al., 2009; Baselga, 2012) and also ignores func-104 tional diversity (e.g. functional traits), which is the main driver of ecosystem 105 functioning. 106

In general,  $\beta$ -diversity is a crucial measure, since, given the same local richness of different sites ( $\alpha$ -diversity), it directly considers the turnover among them. As an example, let A and B be two sampling sites with 10 different species each. If all 10 species are fully shared, the total  $\gamma$ -diversity would equal 10 species, while if all 10 species are completely different from one site to the other (high turnover, high  $\beta$ -diversity) the total diversity of the whole area based on the two focal sites would double.

It would then be interesting to understand how  $\beta$ -diversity originates, 114 investigating how species composition differs among sites. In fact, species 115 composition could be related to environmental conditions, or it could ran-116 domly fluctuate. A generally accepted hypothesis suggests that  $\beta$ -diversity 117 might change as a function of species types living in a certain community. For 118 instance,  $\beta$ -diversity should be small when communities are dominated by a 119 limited number of competitive species; this is recognized as the null hypoth-120 esis and it entails a uniform distribution in species composition (Legendre et 121 al., 2005). 122

The  $\beta$ -diversity concept is mainly reflecting the environmental hetero-123 geneity between sites and thus within a given larger area that contains sev-124 eral of the focal study sites. Heterogeneity is in fact highly associated with 125 a high degree of biological diversity since heterogeneous sites offer a diver-126 sity of ecological niches (sensu Elton (1958)) that can be occupied if the 127 species pool offers the respective ecological diversity to address these niches 128 (Gaston, 2000; Rocchini et al., 2010). Furthermore, since  $\beta$ -diversity can 129 be described as the spatial turnover among sites within a given region, it 130 captures a fundamental feature of the spatial pattern of biodiversity. 131

In some cases, spatial turnover can result from local extinction processes 132 that hit certain species more than others and enhance the dissimilarity be-133 tween sites without dispersal (Steinitz et al., 2006). This is the case in 134 highly fragmented landscapes where dispersal is limited (Hobbs et al., 2006). 135 Even stochastic processes (sensu Moran (1950) and Clark (2008)) may en-136 hance  $\beta$ -diversity in previously homogeneous ecosystems. For instance, sud-137 den fragmentation (Alados et al., 2009) can lead to disfunctional source-sink 138 metapopulations with intrinsic influences on the degree of spatial (and ge-139

netic) connectivity of organisms (Waples and Gaggiotti, 2006), resulting in
the local loss of sink populations. However, in most situations, the spatial
turnover and therefore the dispersal of species between sites (metapopulation and metacommunity dynamics) is linked to the distance among sites.
Strictly speaking, the similarity between two sites decays with increasing distance between them (Rocchini, 2007), a process also known as the distance
decay in similarity or the Tobler's first law of geography (Tobler, 1970).

Hence, modelling the distribution of  $\beta$ -diversity in space is based on softening the role of individual species, which are not even completely described at wide geographical scales, for the benefit of having a more abstract proxy for ecosystem patterns and processes. Such process can lead to efficiently monitor and further preserve entire ecosystems, as it has been established by the Aichi Biodiversity Targets (https://www.cbd.int/sp/).

In general, an enormous effort from ecologists is necessary in order to 153 collect reliable data on biodiversity. A pioneering example is the public 154 database of the Global Biodiversity Information Facility (GBIF, https: 155 //www.gbif.org/). GBIF is a network funded by the world's governments 156 which contains almost 41.000 databases of species occurrences spread out 157 across the world. The huge amount of data accessible and the different tech-158 niques now available to analyze them should facilitate biodiversity assessment 159 and monitoring. Unfortunately, although it would be possible, in principle, 160 to use these data to make reasonable assumptions on the biodiversity at wide 161 spatial extents, there are several limitations due to their quality (Maldonado 162 et al., 2015). The errors that usually rise are due to: (i) poor quality in get-163 ting exact geographic coordinates of the sampling sites; (ii) wrong taxonomic 164 identification with poor quality control; and (iii) difficulties in proving a re-165 liable random sampling with large areas being poorly covered. Furthermore, 166 these data appear as point data and usually grids are used in order to syn-167 thesize diversity metrics. These data mostly come from presence-only data 168 without any link to relative abundance, dominance, biomass or cover, which 169 would be reflected in remote sensing. Finally, GBIF data are inadequate for 170 local estimates of biodiversity as they do not consider co-occurrence data. 171 Indeed, and contrary to recent databases at the community level such as 172 the European Vegetation Archive (EVA) (Chytry et al., 2016) or the sPlot 173 initiative (Bruelheide et al., 2019), GBIF does not provide information on 174 species co-occurrence which is very problematic for biodiversity assessment 175 and monitoring. Despite the disadvantages that come from the use of public 176 databases, there is some benefits in the use of such data. First of all, there 177 is a huge amount of data collected and provided by citizens and research 178 institutions available in the GBIF database when compared to the data that 179 could be collected locally, resulting in a huge saving of time and costs. More-180

over, GBIF data are standardized to the same format and therefore ready to
 use.

To overcome the issues due to the collection and availability of in situ ecological data, remote sensing imagery has become more and more important and is now considered a reliable tool to assess and monitor biodiversity (Tuanmu and Jetz, 2015).

#### <sup>187</sup> 1.2 The spectral species concept

Remote sensing based approaches have proven to be useful modelling techniques to detect the variability of biodiversity in space and time across scales of biological organisation, at different grains (spatial resolutions) and extents (Rocchini et al., 2013). Airborne sensors have even been used to detect and map single species distributions (Skorownek et al., 2017a), even the most tiny and inconspicuous ones such as *Campylopus introflexus*, a moss species which is highly invasive in Europe (Skorownek et al., 2017b).

Remote sensing techniques have been used to study the impact of land-195 scape and environment on biodiversity, and to explore and visualize spatial 196 data and biodiversity change. Therefore, remote sensing data have become 197 among the most time and cost effective tools, allowing to make relevant con-198 servation actions in a relatively short period of time. Furthermore, also the 199 contrary holds true: remote sensing demonstrated the impact of biodiversity 200 (including non-native invasive species) on ecosystem functioning (Ewald et 201 al., 2018). 202

In general, vegetation absorbs the blue and the red light, for photosyn-203 thesis, while it reflects NIR radiation due to the physical structure of the 204 cells composing the leaf mesophyllum (Wegmann et al., 2016). The bands 205 relative to RED and NIR are used as proxies for photosynthetic activity of 206 the vegetation. These bands are usually incorporated in a widely used in-207 dex, the normalized difference vegetation index (NDVI), which is calculated 208 as NDVI=(NIR-RED)/(NIR+RED). The higher the relative abundance of 209 photosynthetic vegetation, the higher would be the reflectance in the NIR 210 band and the absorption in the RED band. NDVI ranges from -1 to 1, with 211 0 values usually associated with non vegetated areas and negative values 212 associated with water surfaces or snow. 213

This index has widely been used to discriminate different vegetation types over an area. In fact, in several studies, NDVI is positively correlated to the net primary productivity (NPP, e.g. Gillespie et al. (2008)). Therefore, it can be used as a proxy to quantify species richness and diversity, based on the species-energy theory, proposed by Currie (1991), namely a relation between species richness and energy, that would depend mainly on annual potentiafl evapotranspiration and actual evapotranspiration. Another hypothesis related to the variability in space of the spectral signal has been proposed by Palmer at al. (2002). The so called spectral variation hypothesis (SVH) states that the higher the environmental heterogeneity the higher would be the species diversity of an area, due to a higher amount of ecological niches available.

Hence, based on the SVH, spectral variability can effectively be related to environmental heterogeneity and therefore it could be used to assess species biodiversity of an area. In this sense, since the spectral variability is derived from the information present in the pixels of an acquired image, it is important that such pixels, describing the area of study, would have a spatial resolution coherent with the ecological assumptions taken into account and such that it would allow to make some predictions on biodiversity.

Among the most novel methods to estimate diversity by remote sensing, 233 described in Rocchini et al. (2018), the spectral species concept (Féret and 234 Asner, 2014) is one of the most powerful, since it allows to couple k-means 235 approaches to the gridded data obtained from remote sensing technologies 236 as a mean to derive  $\alpha$ - and  $\beta$ -diversity 2D-matrices. The spectral species al-237 gorithm allows the separation of the spectral space in subunits identified as 238 spectral species. Its root theory is built upon two major founding principles. 239 The first is the aforementioned Spectral Variation Hypothesis, relating spec-240 tral to environmental heterogeneity. The second is based on the plant optical 241 types proposed by Ustin and Gamon (2010). This concept is mainly related 242 to the use of particular sensors providing high spatial resolution images and 243 able to measure different signals about the phenology, the biochemistry and 244 the structure of vegetation. Such sensors can obtain information at the in-245 dividual plant scale level. 246

The method is based on an unsupervised clustering algorithm, first rely-247 ing on dimensionality reduction obtained after running a principal component 248 analysis (PCA) and then on the actual clustering of the pixels, with the sub-249 sequent assignment to spectral species, based on a k-means approach. PCA 250 and similar clustering methods have already been shown to reliably reduce 251 the multidimensional spectral sets for models on species and biodiversity 252 distribution (Rocchini et al., 2010). Furthermore, the method provides an 253 interesting visual inspection of diversity building  $\alpha$ - and  $\beta$ -diversity maps. 254

As far as we know, the spectral species concept has been applied so far only at the local scale (Féret and Asner, 2014). Hence, the aim of this manuscript is to extend this concept over wider spatial extents passing to a spectral community concept, by generating a heterogeneity map at a wide geographical scale to estimate  $\alpha$ - and  $\beta$ -diversity across Europe.

#### <sup>260</sup> 2 The algorithm

The spectral species algorithm has been originally developed to map tropical 261 forest canopy diversity using imaging spectroscopy with a spatial resolution 262 up to 2 meters (Féret and Asner (2014), Figure 1). Following the hypothesis 263 that species are spectrally separable (Asner and Martin, 2009), the approach 264 is based on the segmentation of the spectral space defined by the remote 265 sensing data. In fact the spectral space is assumed to be a combination of 266 several subspaces, reflecting the "signature" of one or several species. There-267 fore these subspaces would be the expression of a more general "spectral 268 species". From the resultant "spectral community", it would be possible to 269 derive the diversity of an area. The output of this algorithm will not be a list 270 of the species of the area, but rather a map of the distribution of the spectral 271 communities available within the area from which it might be possible to 272 calculate several diversity indices. In particular we focused our attention on 273  $\alpha$ - and  $\beta$ -diversity metrics. Both introduced by Whittaker (1972), the first 274 reflects the mean species diversity in sites at a local scale whereas the second 275 is an indicator of the spatial (or temporal) heterogeneity at a relatively larger 276 scale. In the algorithm,  $\alpha$ -diversity is calculated in a neighbourhood (plot) 277 of  $n \times n$  pixels by the Shannon diversity index (Shannon, 1948) calculated 278 as follow: 279

$$H' = -\sum_{s=1}^{N} p_{\rm s} \ln p_{\rm s} \tag{1}$$

where  $p_s$  is the proportion of each spectral species s in each plot.

<sup>281</sup> The  $\beta$ -diversity indicator is instead computed by the Bray-Curtis (here-<sup>282</sup> after BC) dissimilarity metric (Bray and Curtis, 1957):

$$BC_{ij} = \frac{\sum_{s=1}^{N} |x_{is} - x_{js}|}{\sum_{s=1}^{N} (x_{is} + x_{js})}$$
(2)

where  $BC_{ij}$  is the dissimilarity between plots *i* and *j* and  $x_{is}$  and  $x_{js}$  are the abundances of spectral species *s* in plots *i* and *j*.

In the spectral species algorithm, once the BC dissimilarity matrix between all pairs of plots is computed, a multidimensional scaling is performed in order to translate information about the pairwise dissimilarity among P plots into a configuration of P points mapped in a 3-dimensional Cartesian space such as NMDS or PCoA (Mead, 1992). This simplified translation of the BC dissimilarity matrix can then be displayed as a colored map. More details can be found in Féret and de Boissieu (in press).

While the Shannon index has a theoretical maximum limit corresponding 292 to the ln(richness), the Bray-Curtis index ranges from 0 to 1, where 0 is 293 indicating that the two sites are identical whereas 1 indicates that the two 294 sites do not share species. Hence, BC can be considered as an estimate of 295 the heterogeneity of a certain area. The final aim of the method was to gen-296 erate an heterogeneity map across the study region. Strictly speaking, the 297 method is a clustering approach which (i) divides the subspaces in spectral 298 units and (ii) assigns it to spectral species from which (iii) different diver-299 sity maps can be obtained. Box 1 focuses in detail on the main steps of 300 the algorithm, while the dedicated R package biodivMapR is now available 301 (https://github.com/jbferet/biodivMapR) and fully described in Féret and 302 de Boissieu (in press). 303

#### <sup>304</sup> 2.1 Application of the algorithm

Remote sensing data are usually provided as raster objects with a geographic 305 coordinate system information, namely regular grids (matrices) or stacks of 306 raster layers (e.g. one raster layer per band for multispectral or hyperspectral 307 data), in which each cell represents a pixel with the corresponding reflectance 308 value associated to a specific band. Such data have been manipulated with 309 the Software R Development Core Team (2019). R can be used for remote 310 sensing data analysis since it includes spatial functionalities throughout a 311 suite of R packages like the rgdal and raster packages (see Box 2 for more 312 information). 313

Our main purpose was to apply the spectral species algorithm to a continental-314 scale geographical region such as Europe. Hence, Moderate Resolution Imag-315 ing Spectroradiometer (MODIS) data, with a spatial resolution of 500m 316 covering Europe, were downloaded at the United States Geological Sur-317 vey (USGS) site (https://lpdaac.usgs.gov/dataset\_discovery/modis/ 318 modis\_products\_table/mod09a1\_v006). After a visual check of the images, 319 in order to guarantee i) the coverage of a complete phenological period and 320 to ii) avoid noise related to clouds, we referred to the RED and NIR bands 321 from 2018 from January to December, to calculate NDVI, by generating a 322 sample set of 12 NDVI images (Figure 2). 323

In this case, due to the input spatial resolution of MODIS (500m), mixed pixels would occur, by smoothing the reflectance related to single plant species. In other words, the direct relationship between the spectral species detected in the spectral space versus plant species does not hold true. This said, from the diversity measurement perspective this is just a matter of terms being used, with spectral species being more related to field plant communities, habitats or other ecological entities.

For the derivation of spectral species, in order to define the number of 331 clusters, we relied on the highest number of clusters with stable results after 332 a trial and error procedure, reaching 200 clusters, i.e. spectral species. Once 333 pixels with similar NDVI values in 12 dimensions were clumped together, 334 Shannon's H' was calculated with a window size of 10x10 pixels and an out-335 put resolution of 5km. The attained  $\alpha$ -diversity map quantitatively showed 336 the local spectral diversity distribution over Europe (Figure 3), with a higher 337 heterogeneity found in i) more topographically complex regions, mainly due 338 to strong local differences induced by elevation gradients (passing from forests 339 to grasslands, to rocks and snow), and/or differences in terms of seasonal-340 ity in relation with elevation, as in Rocchini et al. (2019), and in ii) more 341 contrasted agricultural areas in both the spatial and temporal dimensions 342 (Hobbs et al., 2006; Vihervaara et al., 2017). 343

 $\beta$ -diversity (Figure 3) showed a clear differentiation among different areas 344 over Europe. The attained map was in line with the European Environmen-345 tal Agency map of ecoregions (Figure 4, see Mucher et al. (2009)). The 346 correspondence of the achieved patterns in the two maps was apparent, with 347 a similar contour of the major ecoregions like the Mediterranean, the At-348 lantic, the Continental, the Boreal and the Alpin regions. This demonstrates 349 an intrinsic ability of the spectral species approach to catch differences in 350 the physiological and functional properties of vegetation even at wide spatial 351 scales, starting from spectral reflectance or spectral indices. Minor differences 352 were mainly related to the biogegraphical (i.e., purely spatial) differentiation 353 of ecoregions in the EEA map. As an example, Alpine ecoregions could 354 not be distinguished between North and South Alpine regions by the spec-355 tral species approach, since, having very similar conifer species composition, 356 they show the same physiological, phenological and thus spectral pattern. 357

#### 358 **3** Discussion

In this paper, for the first time, the spectral species concept has been extended from the consideration of a single species to an entire community. We demonstrated that the combined use of the novel unsupervised clustering method proposed by Féret and Asner (2014) with NDVI time series at European scale, allows the derivation of local ( $\alpha$ ) diversity and turnover ( $\beta$ ) relying on free to use and operationally available satellite data.

With regards to a potential validation with in-situ data, the uncertainty of wide-scale datasets hampers a spatial overlap. In this case, in-situ datasets meet all five major concerns recently raised by Hobohm et al. (2019), i.e.: i) there is insufficient data coverage across Europe to make an unbiased com-

parison between predicted and actual distributions, ii) taxonomic standards 369 differ across sampled regions, iii) there are generally different shapes of areas 370 being sampled, iv) political borders often define sampling areas and aggre-371 gated sampling areas, and v) data are not aggregated in the same way in 372 all areas. Furthermore, spatial information has an intrinsic varying degree 373 of relevance mainly due to the fact that, rather than species lists, it is made 374 up of geometrical precision, attributes robustness and temporal consistency 375 (Hobona et al., 2006). Finally, different models and approaches to measuring 376 diversity inevitably provide different outputs, as pointed out in the gener-377 alised entropy theory put forward by Rényi (1961). Given the above valida-378 tion difficulties, we decided to qualitatively compare our generated output, 379 in particular the  $\beta$ -diversity map, with existing ecoregion maps, which are 380 expected to discriminate different spatial areas based on natural borders de-381 fined by biological diversity (https://ecoregions2017.appspot.com/) and thus 382 are intrinsically related to differences in the species and spectral turnover of 383 communities. 384

Since the output of the algorithm represents the variation of the pixel 385 values in space and time, the most diverse pixels were those with the highest 386 turnover among the neighborhood areas and most affected by seasonality. 387 The importance of accounting for turnover instead of simple richness has 388 been widely discussed in the ecological literature (Tuomisto, 2010), since 389 environmental variability over spatial gradients is one of the major drivers 390 of the structure and composition of diversity (Legendre et al., 2005). In this 391 view, the use of the "spectral species concept", defined as the variation of 392 clustered pixel values, represents a powerful approach for the investigation 393 of gradient variation of diversity in space and, potentially, in time. 394

In general, the measure of variability in space has been demonstrated 395 to follow scale-based differentiation. In other words, results are expected 396 to change with spatial scale in terms of both grain (spatial resolution) and 397 extent (extent of geographical area of interest, Palmer at al. (2002)). Re-398 garding extent, one of the major weaknesses of the proposed algorithm in 399  $\beta$ -diversity quantification (although this applies in general to all measure-400 ments of turnover) is that by increasing the extent of an observation area, 401 the estimated values for an individual comparison between sites are modified 402 by the increasing spectral species pool. 403

Additional drawbacks at the current stage of the algorithm include: i) the use of remotely sensed data which are not necessarily related to the main drivers of species distributions and of diversity, ii) the general multicollinearity found in most of the remotely sensed sets, iii) the unsupervised clustering process being adopted.

409 Concerning climate, a solution might be found in the use of remotely

sensed derived climate data adding climate change as an additional layer of 410 complexity as in Rocchini et al. (2015a) and in (Zellweger et al., 2019). Also 411 in this case multicollinearity of climate variables should be seriously taken 412 into account, as we did for the original remote sensing data, by applying a 413 PCA to reduce the noise in the data and detect potential artifacts; then, PCA 414 components might also be visualised to find potential congruence between 415 spectral species and real species patterns. Finally, the process for grouping 416 pixels in spectral species is based on an unsupervised clustering, where the 417 definition of the number of clusters should be done a-priori. In this case, 418 we hypothesized that the diversity of types of landscapes and gradient of 419 climates across Europe may require a large number of clusters to correctly 420 differentiate among them, relying on a fuzzy view of ecosystems (Rocchini 421 and Ricotta, 2007). Hence, we decided to adopt a trial and error procedure 422 until reaching a sort of threshold in which no significant changes were further 423 found. Such threshold was 200 clusters, namely the final used number. In 424 the near future, it might be interesting to make a sensitivity analysis to show 425 the impact of the number of clusters on the final analysis. 426

Considering the use of remote sensing for species diversity estimates, cor-427 relation and determination coefficients are generally statistically significant 428 but low, hampering the direct use of remotely sensed diversity in simple uni-429 variate models (Rocchini et al., 2018). In fact, the relationship between  $\alpha$ -430 or  $\beta$ -diversity and habitat heterogeneity, which is the founding principle of 431 the use of remote sensing data for these analyses, is rarely linear (Ferrier et 432 al., 2007), mainly because of variation in the rate of species turnover along 433 an environmental gradient. However, remote sensing variables are generally 434 well suited in more complex multivariate models accounting for part of the 435 diversity explained for species communities (Rocchini et al., 2018). This is es-436 pecially true considering that environmental turnover generally explains more 437 variation in species diversity rather than mere spatial structure (Hernandez-438 Stefanoni et al., 2012). Moreover, based on their high temporal resolution, 439 remote sensing data might be useful to detect drastic changes of diversity 440 in space and time, e.g. related to catastrophic events, overall considering 441 the intrinsic difficulties in relying on in-situ data for wide geographical scales 442 (Cord and Rödder, 2011; Hobohm et al., 2019). 443

From an ecological perspective, remote sensing imagery bands (dimensions) show a high affinity with the hypervolume axes proposed by Hutchinson (1957) for modelling species niches. In the Hutchinson's theory, an hypervolume is represented by a space defined by a set of n independent axes which could be related to the final variables driving the realised niche of a species (see also Blonder (2017) and Ricotta et al. (2010) on the niche differentiation concept). In our case, such axes would be the original satellite

sensor bands being strictly related to the identification of a spectral species 451 and the resulting spectral community in a site, instead of a niche. From this 452 point of view, spectral species and communities are in line with joint species 453 distribution models (JSDMs), which explicitly take into account biotic inter-454 actions among species in a community, while in our model the "interaction" 455 among pixel values is ruled out in general by their proximity both from a 456 spatial and from a spectral point of view. In this paper, the final aim was 457 not to model single spectral species or spectral communities but rather to 458 estimate diversity and its change over space and time, following the mathe-459 matical principles described in Liu et al. (2014) and Rocchini et al. (2015b), 460 for which the distribution of diversity over space is actually a particular case 461 of the so-called switched systems, i.e. hybrid systems resulting from both 462 continuous and discrete dynamics with a high number of different potential 463 variables acting as main drivers of diversity response. In practice, in our 464 view we succeeded to fill a previous gap in spatio-ecological analysis, i.e. the 465 translation of what in remote sensing science is known as "spectral mixture 466 modeling" (Jensen, 2015) into an ecological diversity theory perspective. In 467 fact, in spectral mixture modeling the measured spectral reflectance is de-468 composed as a mixture of endmembers. In our case, such mixture was used 469 to directly compute alpha- and overall beta-diversity over wide spatial areas 470 in few time. 471

#### 472 4 Conclusion

Predicting and mapping  $\alpha$ - and  $\beta$ -diversity using remotely sensed images 473 acquired over large areas is currently a key topic in ecology, and could pro-474 vide landscape managers with effective tools to confront global change. In 475 this paper, we proposed a novel method based on preliminary unsupervised 476 clustering of spectral data (NDVI time series derived from MODIS data), 477 assigning each pixel to a "spectral species" and then calculating diversity 478 based on a dissimilarity metric. At the scale of this study, the one-to-one re-479 lationship between spectral species and in-situ plant species is not achieved, 480 but the spectral species concept still holds true once considering that the de-481 tected spectral species in the spectral space are related to higher-order plant 482 hierarchies (assemblages, entire habitats, etc.). That is, from an algorithmic 483 point of view, the bulk of the calculations are unaltered. 484

Based on the results presented here, the use of the spectral species and communities concept would appear to promote more effective planning and policies related to the conservation of wild species, by improving our understanding of the dynamics of local and global biodiversity at different spatial 489 and temporal scales.

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# 766 Figures

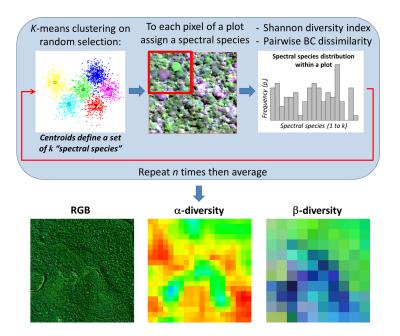


Figure 1: Diagrammatic representation of the steps of the algorithm used to achieve  $\alpha$ - and  $\beta$ -diversities, redrawn from (Féret and Asner, 2014). Pixels are clumped in a spectral species and spectral community diversity is calculated. We refer to the main text and to Box 1 for additional information.

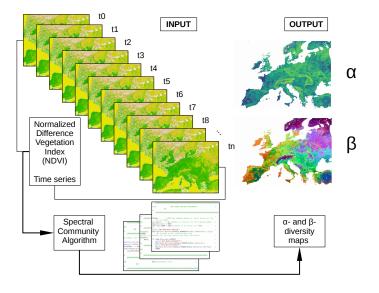


Figure 2: An input set of n images can be handled to create a time series and use the stack to further calculate the spectral community diversity. In our paper, a stack of 12 NDVI images of 2018 from the MODIS sensor was processed by the spectral species algorithm, by producing  $\alpha$ - and  $\beta$ -diversity maps.

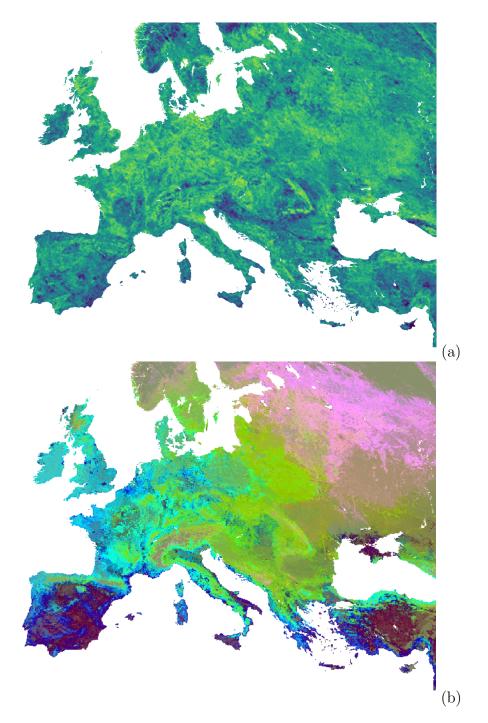


Figure 3:  $\alpha$ - (a) and  $\beta$ -diversity (b) maps obtained by the spectral species algorithm. (a) The  $\alpha$ -diversity map, based on Shannon's H' index (ranging from blue [low values] to light green [high values]) calculated in a 10x10 pixels local neighbourhood, corresponds to the local entropy of clusters, so that each location is independent from the others; (b) The  $\beta$ -diversity map - Bray-Curtis dissimilarity reduced to 3 dimensions with NMDS - provides information about the dissimilarity a26 ong any location in the image. Here, the distance between pairs of spatial units is expressed as a 3 colour code.

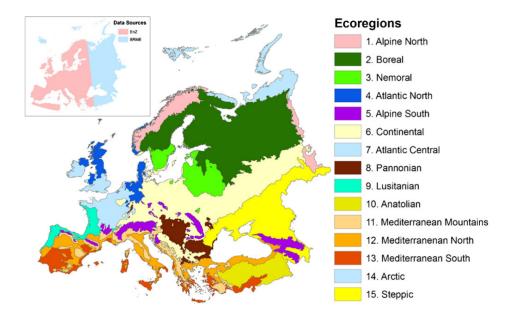


Figure 4: European Environmental Agency ecoregions map redrawn by Mucher et al. (2009). Similar maps at a coarser grain are provided by Mouchet et al. (2015) and Dinerstein et al. (2017).

# <sup>767</sup> Box 1 - Steps composing the spectral species <sup>768</sup> algorithm

- A Principal Component Analysis (PCA) is applied to the spectral data.
   PCA is not performed on the whole image, but only on a large subset
   of pixels randomly selected from the image. Due to the high dimensionality of the data, the reduction of the dataset is not altering the
   result. Those principal components explaining most of the variance of
   the original set are then retained for further steps.
- A subset of pixels is then randomly selected across the entire map and
  the spectral space containing such a subset is partitioned into spectral
  species using k-means clustering with the number of k clusters being
  decided a priori. Then the centroids defining the spectral species are
  located.
- 3. The spectral dataset is divided into final mapping units. Each pixel
  is assigned to a given spectral species based on the minimal Euclidean
  distance between pixels (Peuquet, 1992) and the previously defined
  centroids.
- 4. A spectral species distribution is obtained for each mapping unit from which the  $\alpha$ - and  $\beta$ -diversity indices are computed as previously stated.
- 5. Since the spectral species distribution is obtained by a subset of pixels, 786 in order to avoid under-representation of some small-scaled ecological 787 classes (e.g. small scale vegetation patterns), steps 4 and 5 are repeated 788 100 times, and the indicators obtained for each repetition are averaged. 789 In particular the Bray-Curtis dissimilarity matrix is computed for each 790 pair of spatial units, based on their spectral species distribution at each 791 iteration; then the final matrix corresponds to the BC dissimilarity 792 averaged over all the iterations. 793
- 6. Non metric Multidimensional Scaling (NMDS) (e.g. Borg and Groenen (2005)) is applied to the matrices in order to obtain a visual representation of the results. NMDS is an ordination technique usually applied in ecology that differs from other ordination techniques as PCA, since in NMDS a small number of axes are chosen prior to the analysis and then the data are fitted into the chosen dimensions. Furthermore, NMDS

is not an analytical but numerical technique, seeking for the right so-800 lution (convergence) iteratively. Finally, NMDS is not an eigenvector-801 eigenvalue technique, hence a NMDS ordination can be rotated among 802 the axes. NMDS is mostly used in ecology for its versatility since it 803 accepts any distance measure of the samples. In this case the Bray-804 Curtis matrix was used. In the applied NMDS approach, the first step 805 is generally to decide the number of reduced dimensions; in this case 806 3 dimensions were chosen. The algorithm starts with the construction 807 of initial random arrangements of the pixels. Then the Euclidean dis-808 tances among the samples is calculated in this first configuration; those 809 distances are regressed against the original distance matrix, and the 810 predicted ordination distances are calculated. Finally, the regression is 811 fitted by the least-squares method. The goodness of fit is measured by 812 the sum of squared differences between ordination-based distances and 813 the predicted distances. The goodness of fit is calculated through the 814 Kruskal's Stress index: 815

$$Stress = \sqrt{\frac{[r]\sum_{h,i}(d_{\rm hi} - \hat{d}_{\rm hi})^2}{[r]\sum_{h,i}d^2_{\rm hi}}}$$
(3)

where  $d_{hi}$  is the ordinated distance between pixels h and i, and  $\hat{d}_{hi}$  is the distance predicted from the regression. Then, a new configuration is computed moving in the direction in which stress changes most rapidly. The entire procedure is repeated until convergence. A *Stress* value that provides an excellent representation in the reduced dimensions is considered to be lower than 0.05; nevertheless a value of *Stress* < 0.2 is still considered a good representation Borg and Groenen (2005).

Basically, the algorithm provides both single spectral species maps and the  $\alpha$ - and  $\beta$ -diversity maps. The algorithm input file needs to be in ENVI binary format with the corresponding header file. The file should be in Band Interleave by Line (BIL) format and 2-byte signed integer, and should not have extension. A further masking file in the same format is necessary in order to mask clouds and water surfaces.

# <sup>829</sup> Box 2 - Packages used in this manuscript to <sup>830</sup> handle and analyse spatial data in R

raster: It provides classes and functions to manipulate geographic
 data in raster format. Raster data divides space into cells (as pixels) of
 equal size (in units of the coordinate reference system). Along with the
 raster package, the sp package is also loaded, which provides spatial
 object classes and methods to retrieve coordinates.

#### • rgdal: It provides functions to import ad export spatial data in different formats.

#### • RStoolbox: A toolbox for remote sensing image processing and analysis.