

1 Implications of microbial community assembly for ecosystem restoration: patterns, process, and  
2 potential

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12 **Abstract.**

13 While it is now widely accepted that microorganisms provide essential functions in restoration  
14 ecology, the nature of relationships between microbial community assembly and ecosystem  
15 recovery remain unclear. There has been a longstanding challenge to decipher whether  
16 microorganisms facilitate or simply follow ecosystem recovery, and evidence for each is mixed  
17 at best. We propose that understanding microbial community assembly processes during  
18 ecosystem restoration is critical to optimizing management strategies. We examine how the  
19 connection between environment, community structure, and function is fundamentally  
20 underpinned by the processes governing community assembly of these microbial communities.  
21 We review important factors to consider in evaluating microbial community structure in the  
22 context of ecosystem recovery as revealed in studies of microbial succession: 1) variation in  
23 community assembly processes, 2) measurable microbial community attributes, and 3) linkages  
24 to ecosystem function. We seek to empower restoration ecology with microbial assembly and  
25 successional understandings that can generate actionable insights and vital contexts for  
26 ecosystem restoration efforts.

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28 **Keywords:** microbiome, disturbance ecology, succession, restoration ecology, microbial  
29 community assembly, community ecology

## 30 **Introduction.**

31           Restoration of degraded ecosystems is essential to maintaining global biodiversity and  
32 ecosystem services [1-4]. Yet despite large economic investments [5], restored ecosystems are  
33 often strikingly different in species composition and edaphic factors than their more pristine  
34 counterparts [6-10]. While restoration efforts have long focused on aboveground communities  
35 [11-13], there is increasing interest in the role of belowground systems, including their  
36 interactions with aboveground processes, as restoration tools. A central challenge in this new line  
37 of inquiry, as succinctly stated by Harris [14], is whether microorganisms follow or facilitate  
38 restoration. That is, do microorganisms simply reflect broader ecosystem succession or can they  
39 drive the restoration of degraded ecosystems?

40           Much evidence has been gathered to support both sides of this argument [6, 15-24]. For  
41 instance, restored habitats may promote microbial pollutant degradation [25, 26] and increased  
42 diversity and function of soil microbiota [20, 27, 28]; conversely mycorrhizal fungi are widely  
43 considered as facilitators of plant establishment [6, 23, 24]. In reality, each side of the equation  
44 likely plays a role in ecosystem restoration, with the relative balance dependent on ecosystem  
45 and species characteristics. Indeed, Van der Bij et al. [24] suggest the simultaneous application  
46 of belowground and aboveground biomass as an optimal restoration strategy. Understanding the  
47 coupled changes of below- and aboveground ecosystems during ecosystem restoration may be  
48 key to improving its efficacy. Whether microorganisms follow or facilitate restoration,  
49 application of concepts in microbial community assembly and succession can better attainment  
50 of desired restoration outcomes.

51           The study of ecological succession has long provided testable theory to understand  
52 factors that control changes in community structure and ecosystem function over time. More

53 recently, the application and examination of such theory to microbial communities has built  
54 insights into when and how microbial community structure changes through ecosystem recovery.  
55 Increasingly, ecologists seek to understand how and why these changes will mediate impacts on  
56 ecosystem function, and related theory can thus inform belowground dimensions of restoration  
57 efforts. In particular, microbial community assembly processes have been noted as an important  
58 driver of microbial community structure and function during natural and managed secondary  
59 succession.

60         Here we seek to empower restoration ecologists with microbial assembly and  
61 successional understandings that can generate actionable insights and vital contexts for  
62 ecosystem restoration efforts. To that end, we examine how the connection between  
63 environment, community structure, and function is fundamentally underpinned by the processes  
64 governing community assembly of microbial communities. We review important factors to  
65 consider in evaluating microbial community structure in the context of ecosystem recovery as  
66 revealed in studies of microbial succession: 1) variation in community assembly processes, 2)  
67 measurable microbial community attributes, and 3) linkages to ecosystem function. Ultimately,  
68 we provide guidance on how assembly processes may help unify variable results of empirical  
69 studies assessing biodiversity-ecosystem function and environment-ecosystem function  
70 relationships to reveal opportunities for guiding microbial mediated biogeochemistry in  
71 restoration.

72

### 73 **Successional Trends in Community Assembly.**

74         There is much debate surrounding the roles of microbial community succession and  
75 assembly in ecosystem restoration. Some insist upon unpredictable patterns in microbial

76 communities through secondary succession and restoration [29-32]; more recently others  
77 highlight demonstrable patterns along these trajectories [21, 33, 34]. Underpinning these patterns  
78 are community assembly processes. Existing understandings from microbial succession on when  
79 and how community assembly is driven by more deterministic or stochastic processes, in turn  
80 informs strategies of when and how microbial communities may be influenced for restoration  
81 purposes.

82         Microbial community assembly is determined through the balance of deterministic and  
83 stochastic processes, each of which can operate across distinct spatial, temporal, and genetic  
84 variables [35-39]. Determinism is largely governed by the interplay of homogeneous vs. variable  
85 selective pressures; while stochasticity results from a combination of dispersal, drift, and  
86 dispersal limitation [37]. At the highest level, selection results from environmental conditions, or  
87 changes in those conditions through successional trajectories. Key factors influencing the  
88 selective pressures imposed on various microbial clades include temperature [40], moisture [41],  
89 salinity [42, 43], pH [44, 45], vegetation type [46-49], and resource availability [50-53].  
90 Homogeneous selection through space or time results in specialized communities with low  
91 diversity, while variable selection can result in high diversity through niche-based processes [37,  
92 38]. Similarly, variation in body size and dispersal traits (e.g., sporulation, flagella) can influence  
93 dispersal and dispersal limitation in taxon-specific ways [35, 36, 54-58]. In turn, the ratio of  
94 immigration/emigration influences community biodiversity. Differences in assembly between  
95 bacteria and fungi [59], heterotrophs and autotrophs [36], specialists and generalists [54], and  
96 abundant and rare taxa [60-63] influence community composition.

97         While there are multiple possible trajectories of assembly processes through succession  
98 [33], we present commonly observed patterns, as well as trajectories that may be beneficial for

99 restoration efforts in Figure 1 and Box 1. We note that while we generally discuss assembly at  
100 the community-level, variation in assembly can also be assessed across microbial clades as  
101 discussed above [36, 60, 64-66]. Generally, there is an early period of stochasticity during  
102 secondary succession and restoration that is succeeded by increasing determinism [33, 67],  
103 although Dini-Andreote et al. [33] note that secondary succession may begin under a  
104 deterministic environment depending on disturbance type. Other factors that can influence  
105 assembly trajectories include priority effects whereby initial colonizers set successional  
106 trajectories despite similar environments [68-70] and life history strategies, with fast growing r-  
107 strategists having an advantage in early succession [71].

108         In the case of secondary succession, the type and strength of disturbance can impact the  
109 initial degree of stochasticity. Strong disturbances lead to a “blank slate” environment that can be  
110 easily colonized via immigration. Extreme disturbances can also result in low resource  
111 availability, limit microbial biomass, and limit the survival of sensitive species [21, 72]. In  
112 contrast, resilient community members remain after weaker disturbances, supporting competition  
113 and niche differentiation. As environmental stress declines through restoration, these attributes  
114 tend to recover, increasing selective pressures and opening new ecological niches [72-75].

115

### 116 **Linkages between Microbial Assembly and Ecosystem Function.**

117         The connections between successional trajectories in species composition and ecosystem  
118 functions are essential to promoting the long-term success of restoration efforts. Vital to this line  
119 of inquiry is understanding how communities that assemble through time evoke changes in  
120 community diversity, species and trait abundances, and interactions between community  
121 members that ultimately impact gene expression.

122           The biodiversity-ecosystem function (BEF) is a central tenet of ecosystem ecology and is  
123 increasingly recognized as an important fundamental of microbial systems [76-81]. BEF research  
124 posits that biodiversity supports enhanced rates of ecosystem functions through ecological  
125 mechanisms such as niche or resource use complementarity, mass or sampling effects in which  
126 more diverse communities include members with a trait of interest, and functional redundancy or  
127 insurance in which organisms or communities contain multiple copies of a trait of interest [82-  
128 84]; all of which may point to a role for rare species in supporting ecosystem functions [85, 86].  
129 Yet, the nature of the BEF relationships can vary with assembly processes, ecosystem attributes,  
130 and the amount of redundancy in a community [rev. in 82]. In some cases, increases in diversity  
131 may even decrease ecosystem function; for example, through the dilution of traits of interest  
132 from immigration [54].

133           Community assembly therefore provides a framework for understanding the nuances of  
134 the BEF relationship. Determinism and stochasticity both denote ecological processes acting on  
135 organisms, or traits contained therein, that impact both their activities and overall community  
136 composition. For instance, selection can optimize microbial metabolism through species sorting  
137 [87, 88]. Communities with a history of consistent selection may be particularly well-adapted  
138 and contain efficient pathways for catalyzing biogeochemical processes and cell maintenance  
139 [54]. Alternatively, selection may exclude taxa that metabolize more scarce resources, resulting  
140 in decreased community metabolism [82, 89, 90]; and Graham et al. [35] have suggested that  
141 multiple competing selective pressures can optimize community function. Various stochastic  
142 processes can also alternatively increase or decrease ecosystem functions. Under high dispersal  
143 rates, communities may be more likely to contain species with more traits that are beneficial to a  
144 function of interest [91, 92] and allow for more niche complementarity [93]. This may be

145 particularly important in early succession [33, 67]. Conversely, dispersal may add maladapted  
146 organisms to a community (i.e., mass effect or source-sink dynamics [94, 95]) resulting in  
147 decreased function, an effect that may vary with niche breadth [54]. Dispersal limitation can also  
148 inhibit the ability of organisms to reach their optimal environment or decrease the diversity of  
149 immigrating organisms, lowering community function [54, 77, 96]. In total, it may be that a  
150 combination of diverse assembly processes acting on a varied suite of traits optimizes  
151 community functions [54].

152         Underlying the relationship between microbial diversity, community composition, and  
153 ecosystem function is the coupling of response and effect traits (Figure 2). Response traits  
154 determine species composition through interactions with the environment (e.g., spore formation,  
155 life history), while effect traits correspond to the functional roles of taxa (e.g., biogeochemical  
156 cycling, [97, 98]). The strength of the relationship between response and effect traits determines  
157 the impact of changes in community assembly on ecosystem functions. In turn, this is contingent  
158 on phylogenetic conservatism of traits, or ecological coherence in which physiological diversity  
159 aligns with phylogenetic diversity [21, 99-101]. When determinism reigns, the coupling between  
160 effect and response traits varies depending on whether the environment selects for clades of  
161 organisms with optimal functional traits or acts on response traits that are unrelated to the  
162 ecosystem process of interest [82, 102-105]. When stochasticity reigns, community composition  
163 will largely depend on effect traits that facilitate or impede dispersal (e.g., spore formation), and  
164 thus response traits that dictate function may be decoupled from the environment. When a single  
165 response trait is dominant, community composition may be more easily manipulated by  
166 restoration efforts. For example, Knelman et al. [53] showed that nutrient addition to a nutrient  
167 limited glacial environment could dramatically advance succession.



168 **Key Microbial Indicators for Assessing Assembly and Succession.**

169           Because microorganisms respond quickly to changes in the environment, microbial  
170 communities are used in restoration ecology to assess the status of an ecosystem relative to a  
171 reference condition or to enhance ecosystem recovery through inoculations [14, 21, 106]. The  
172 return of soil microbial properties such as diversity and nutrient cycling are often considered to  
173 be indicative of restoration success [107]. More details on common metrics used to describe  
174 microbial communities, their relationships to community assembly and ecosystem function, and  
175 their implementation in restoration ecology are provided in Table 1. We provide a brief  
176 discussion of each below.

177           Diversity metrics are perhaps the most longstanding descriptors for microbial community  
178 composition. Indeed, many have pointed to microbial community diversity as a major driver of  
179 ecosystem health and soil fertility. Alpha- (within community), beta- (across local communities),  
180 and gamma- (across regional communities) diversity each serve as easy-to-measure assessments  
181 of ecosystem trajectories. At a finer level of resolution, trait-based approaches provide  
182 information on changes in response traits (e.g., changes in life history strategies) and effect traits  
183 (e.g., changes in carbon and nutrient cycling) through restoration [102, 104, 105]. For instance,  
184 fungal:bacterial ratios, ribosomal gene copy numbers, or shifts in bacterial and fungal  
185 composition are often leveraged to infer changes in r- vs. k- selection [14, 22, 71, 108-110].  
186 Many studies also pair these metrics with changes in corresponding effect traits, particularly  
187 those related to biogeochemical cycles. Common observations include a shift from nitrogen  
188 cycling to C cycling as secondary succession proceeds [34, 65, 111, 112], greater C storage [113,  
189 114] and aggregation [115, 116], and lower water stress [115, 116]. Finally, microbial  
190 community assembly is increasingly being studied by restoration ecologists. Most rely on neutral

191 or null modeling approaches to infer the strengths of determinism (e.g., variable and  
192 homogenous selection via  $\beta$ NTI as proposed by Stegen et al. [37]) and stochasticity (e.g.  $RC_{bray}$   
193 [37]).

194

### 195 **Applications in Restoration Ecology.**

196 The multitude of drivers and organismal interactions are a major challenge to evaluating  
197 and enhancing successes in restoration ecology. Given the large economic cost of restoration, it  
198 is vital that we garner a better understanding surrounding the trajectories and timeframes of  
199 restoration efforts. Without active intervention, ecosystem recoveries can occur exceedingly  
200 slowly [117, 118]. Belowground microbial communities present an opportunity to dramatically  
201 enhance and assess restoration outcomes [6, 108, 119]. For instance, there are many examples of  
202 restoration efforts focused solely on aboveground ecosystems that are unable to recreate  
203 reference conditions [7-9, 120-122], and microbial communities may be particularly important to  
204 facilitating the establishment of late successional species [6, 24, 123, 124].

205 Plant-microbial interactions are central to understanding the roles microorganisms play in  
206 restoration, particularly given the strong attention to management of vegetation. With some  
207 notable exceptions (e.g., mycorrhizal associations), it remains unclear how plants and the soil  
208 microbiome interact to drive ecosystem assembly and succession [14, 24], yet vegetation is an  
209 important factor in compositional and functional changes in microbial communities [6, 71, 125].  
210 Plants have direct mutualistic and antagonistic relationships with soil microorganisms [126, 127]  
211 as well as indirect impacts through the transfer of photosynthate to decomposers and nutrient  
212 cyclers [128, 129]. Invasive species in particular have been noted to changed soil microbial  
213 community structure and function [130-132]. Conversely, inoculation with various microbes or

214 whole soils has been shown to have bottom-up effects on plant establishment during restoration  
215 [24, 127, 133].

216         Given this context, there are interesting ways in which soil microbial communities may  
217 aid in restoration (Table 2). First, microorganisms may serve as an early indicator of recovery  
218 [14, 21]. With the relative affordability of amplicon sequencing, microbial community  
219 composition could provide value as part of rapid ecosystem function assessments [134]. A  
220 deeper understanding of microbial communities within the context of the ecological theory  
221 presented may also serve to help leverage microbes create “shortcuts” for restoration [14].  
222 Targeted inoculations with microbiota have proven to override priority effects and aid in plant  
223 re-establishment under some circumstances [24, 64, 73, 135]. Inoculations that allow for faster  
224 plant re-establishment may inevitably provide shortcuts in which ecosystems bypass successional  
225 stages in route to a recovered state [14]. These strategies may provide the most value when  
226 coupled with habitat manipulations that support microbiota of interest [127, 133].

227         The discussion here is intended to provide an overview of the importance of microbial  
228 community structure and how it relates to changes that occur during ecosystem recovery. While  
229 it is clear that microorganisms provide essential functions in restoration ecology, new  
230 implementations of microbial ecology during restoration may help bolster management  
231 successes. For instance, management of belowground systems could be directed towards  
232 improving gamma diversity so as to maximize the sampling effect during early succession,  
233 towards facilitating niche diversity, or towards creating selective environments that maximize  
234 response-effect trait linkages. The vast potential of microorganisms for the benefit of ecosystem  
235 restoration remains largely untapped, and a greater understanding of the ecological context in  
236 which these organisms reside provides an avenue for more fully realizing their power.

237

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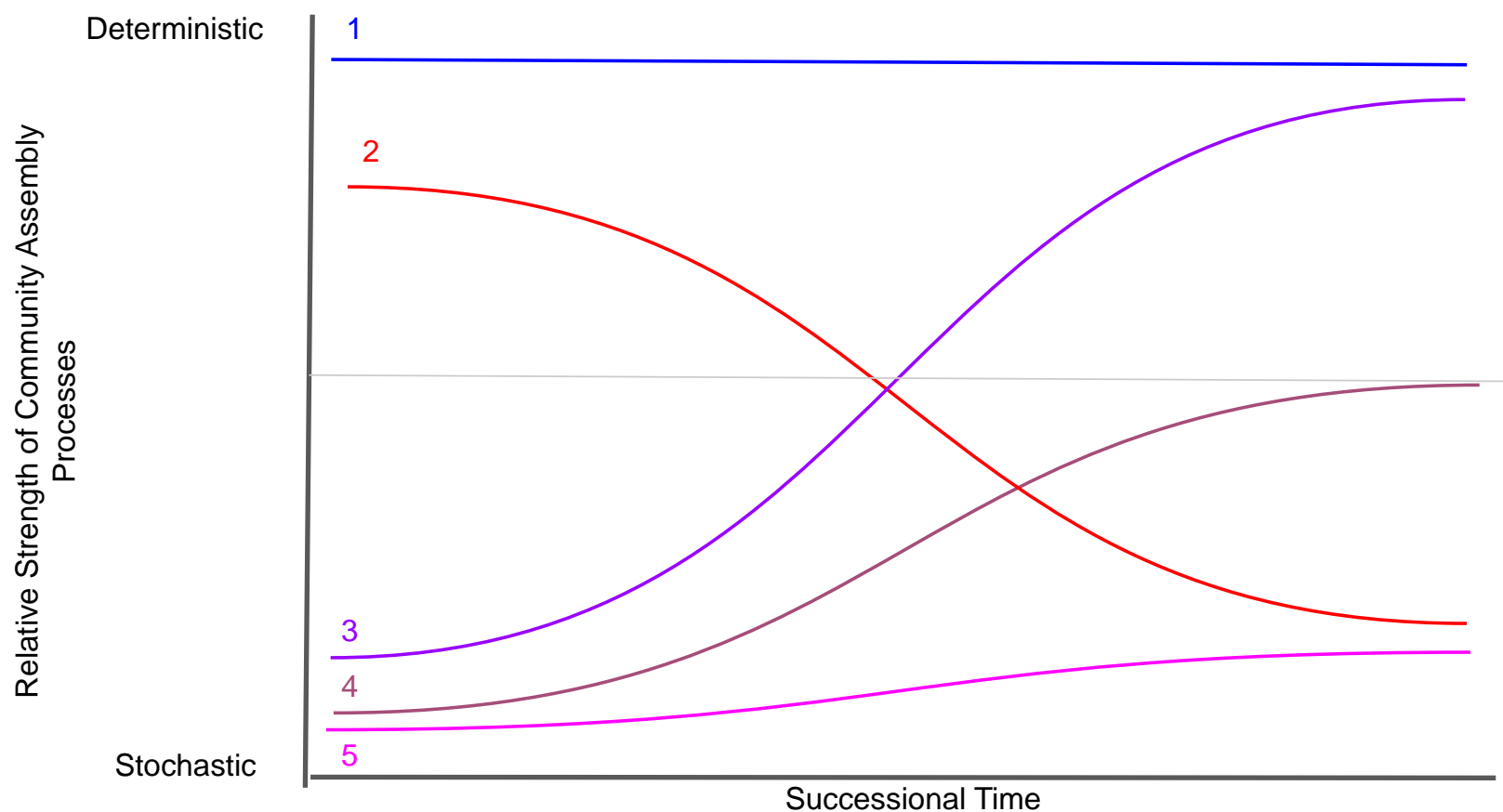


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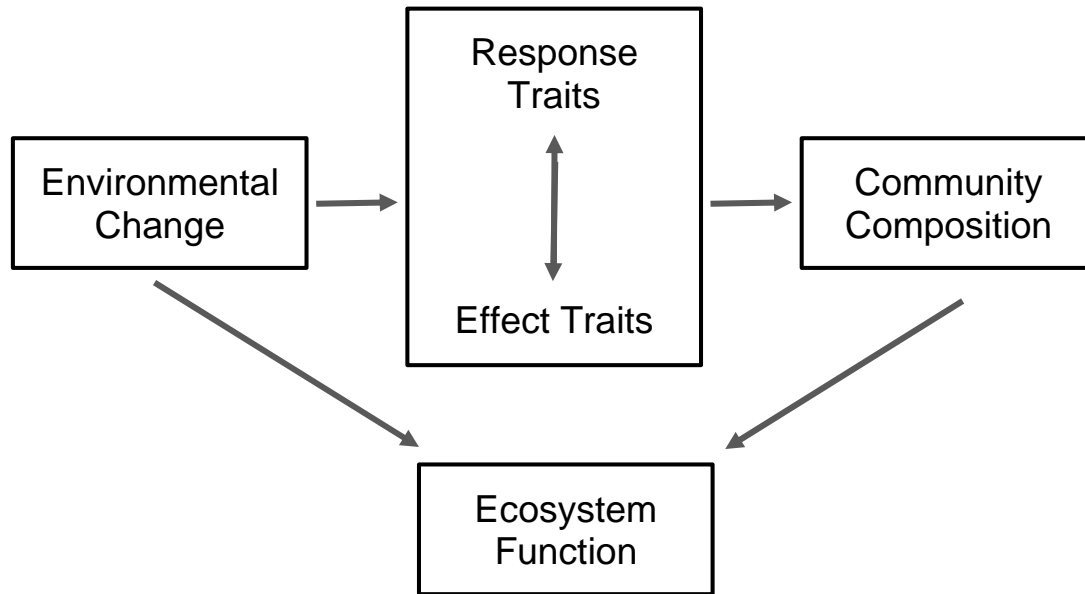
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**Figure 1. Example changes in community assembly through restoration.** Placing management strategies in the context of community assembly can help to optimize restoration outcomes. The balance of assembly processes is denoted on the vertical axis, with the gray line denoting an equal balance of determinism and stochasticity. Scenario 1 (blue) represents a tightly regulated, low diversity system for targeted (but limited) functions, for example contaminant remediation. In scenario 2 (red), early colonizers in a deterministic set the stage for succession. Selection wanes as the ecosystem recovers and a more stochastic late-stage ecosystem supports diverse and multifunctional microorganisms. Scenario 3 hosts an initial community with a mix of diversity that progresses into a specialized community under increasing determinism. Likewise, scenario 4 begins with a similar community under high stochasticity but ends with an even balance of determinism and selection. Such a trajectory may optimize the balance between specialists and generalists for high rates of ecosystem functioning. Finally, scenario 5 represents the influence of priority effects in which early colonizers hold an advantage through succession. This may require targeted inoculations to change microbial communities.



**Figure 2. Relationships between environmental change, microbial traits, community composition, and ecosystem function.** Changes in the environment impact the interplay between response and effect traits, which in turn influence microbial community composition. In turn, the environment and microbiome collectively determine ecosystem functions.

617 **Box 1.** Assembly-driven Considerations for Restoration Ecology.

618

**Factors Influencing The Balance of Assembly Processes During Restoration**

- Severity and Duration of Initial Disturbance
- Successional Stage
- Natural vs. Artificial Disturbance
- Strength of Environmental Pressures

**Considerations for Restoration under Deterministic Microbial Assembly**

- Environmental controls (pH, temperature, salinity, resource availability)
- Functional redundancy
- Niche Complementarity
- Response-effect trait linkages for traits of interest

**Considerations for Restoration under Stochastic Microbial Assembly**

- Metacommunity Composition
- Niche Breadth
- Priority and Mass/Sampling Effects
- Dispersal rate and/or limitations

619

620 **Table 1.** Common metrics of microbial community composition, relations to assembly processes and ecosystem function, and implications for  
621 restoration.

Genomics-enabled Variables	Common Metrics	Assembly Process Implications	Ecosystem Function Implications	Restoration Implications
Alpha Diversity	Shannon, Simpson, Chao1, Species Richness	<ul style="list-style-type: none"> <li>Elevated stochasticity (homogenizing dispersal) can lead to increased alpha diversity</li> <li>The strength of selection (determinism) also influences alpha diversity, with strong selection in one direction generally leading to low alpha diversity</li> </ul>	<ul style="list-style-type: none"> <li>High alpha diversity can lead to multifunctionality and/or low rates of a specific function through a dilution effect</li> <li>Low alpha diversity may indicate specialized function or low rate of biogeochemical cycling</li> </ul>	<ul style="list-style-type: none"> <li>Indicator of ecosystem health and multifunctionality</li> </ul>
Beta and Gamma Diversity	Alpha Diversity Metrics plus Ordination Groupings, $\beta$ -Dispersion	<ul style="list-style-type: none"> <li>Elevated stochasticity or determinism can lead to increased (dispersal limitation; variable selection) or decreased (homogenizing dispersal; homogeneous selection) beta- and gamma-diversity</li> </ul>	<ul style="list-style-type: none"> <li>High beta and/or gamma diversity may bolster local biogeochemical functions through rescue effects</li> <li>Comparative metrics can indicate changes in function across time or space</li> </ul>	<ul style="list-style-type: none"> <li>Can be used to assess microbial trajectories through time and/or similarities to natural or restored ecosystems</li> <li>Potential for enhancement of restoration through rescue effect</li> </ul>
Community Composition	Species/trait (Relative) Abundances, Differential Expression and Gene Abundance	<ul style="list-style-type: none"> <li>Homogenizing dispersal or homogeneous selection can lead to more even species/trait distributions across communities</li> <li>The balance of assembly processes interacts with environmental conditions to determine the relative abundance of response traits</li> </ul>	<ul style="list-style-type: none"> <li>Can be used as an assessment of genetic potential for a biogeochemical process of interest</li> </ul>	<ul style="list-style-type: none"> <li>Can be used as early indicators of restorative success</li> <li>Can be manipulated to support restoration outcomes</li> </ul>
Response traits	Gene ratios, 16S rRNA gene copy number, Bacterial:fungal ratio; Resource Acquisition Traits; Resource Use Traits; Stress Tolerance Traits; Life History Traits	<ul style="list-style-type: none"> <li>The balance of assembly processes interacts with environmental conditions and response traits to determine the relative abundance of determine distributions of effect traits</li> </ul>	<ul style="list-style-type: none"> <li>Invoke and/or interact with effect traits that impact biogeochemical function</li> </ul>	<ul style="list-style-type: none"> <li>Can denote successional stage and trajectory of community composition</li> <li>Can be manipulated to support restoration outcomes</li> </ul>
Effect traits	(Relative) Abundance of Specific Genes or Taxa related to Biogeochemical Processes	<ul style="list-style-type: none"> <li>The balance of assembly processes interacts with environmental conditions and response traits to determine the relative abundance of determine distributions of effect traits</li> </ul>	<ul style="list-style-type: none"> <li>Under optimal environmental conditions, effect traits have a direct impact on function</li> <li>Impact mediated by environment</li> </ul>	<ul style="list-style-type: none"> <li>Can denote the trajectory of functional recovery through successional stages</li> <li>Can be manipulated to support restoration outcomes</li> </ul>
Stochasticity vs. Determinism	Neutral and Null Models, $\beta$ NTI, RCbray	<ul style="list-style-type: none"> <li>Direct measurements indicating the balance of assembly processes</li> </ul>	<ul style="list-style-type: none"> <li>The balance of assembly processes can reveal the nature of expected biodiversity-ecosystem function relationships</li> </ul>	<ul style="list-style-type: none"> <li>Can denote successional stage and trajectories in composition and function</li> <li>Can be manipulated to support restoration outcomes</li> </ul>



623 **Table 2.** Examples of community assembly and management interventions.

Balance of Assembly Processes	Example Management Intervention	Reference
Deterministic Assembly; Strong response-effect trait linkage	Altering soil environment (homogeneous or variable selection )	Addition of a single nutrient drives poorly developed soil bacterial communities to resemble late succession community state (Knelman et. al, 2014)
Stochastic Assembly; Dispersal/Immigration limitation	Altering microbial immigration rates	Increases in immigration (soil addition) improves abundance of key microbes and removal of estrogens in wastewater treatment (Pholchan et al., 2013)
Stochastic x Deterministic Assembly: Priority Effects	Manipulating microbial colonization order	Inoculation order of phyllosphere with bacterial community members results in distinct end communities (Carlström et al. 2019)
Stochastic x Deterministic Assembly: Plant Microbe Interactions	Controlling presence/absence of specific microbes	Availability of ectomycorrhizal fungi (dispersal limitation) hinders success of exotic Pinaceae (Nuñez et al. 2009)

625 **Statements and Declarations.**

626

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