

Twenty-million-year relationship between mammalian diversity and primary productivity

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At global and regional scales, primary productivity strongly correlates with richness patterns of extant animals across space, suggesting that resource availability and climatic conditions drive patterns of diversity. However, the existence and consistency of such diversity–productivity relationships through geological history is unclear. Here we provide a comprehensive quantitative test of the diversity–productivity relationship for terrestrial large mammals through time across broad temporal and spatial scales. We combine >14,000 occurrences for 690 fossil genera through the Neogene (23–1.8 Mya) with regional estimates of primary productivity from fossil plant communities in North America and Europe. We show a significant positive diversity–productivity relationship through the 20-million-year record, providing evidence on unprecedented spatial and temporal scales that this relationship is a general pattern in the ecology and paleo-ecology of our planet. Further, we discover that genus richness today does not match the fossil relationship, suggesting that a combination of human impacts and Pleistocene climate variability has modified the 20-million-year ecological relationship by strongly reducing primary productivity and driving many mammalian species into decline or to extinction.

macroecology | paleontology | mammals | net primary production

One ubiquitous pattern in ecology is the positive relationship between the diversity of terrestrial organisms and primary productivity (1–4). For consumers, this relationship is thought to arise because primary productivity limits energy flow to and total biomass at higher trophic levels (5). Because primary productivity depends largely on climatic conditions (1), and spatial richness patterns of extant species are often strongly correlated with climate at global and continental scales, the productivity hypothesis has been successful in explaining spatial patterns of diversity (1–5). However, the present-day diversity–productivity relationship may not be representative for Earth’s history, because present-day conditions have been strongly shaped by human activity (6, 7). Exponential increases in human population size and in biomass of a few domesticated species, such as cattle, pigs, and poultry, have resulted in increasing appropriation of the net primary production of biomass (NPP) since the beginning of the Holocene (8, 9). Today, human activity removes up to 30% of the global NPP from natural ecosystems, mostly through harvesting, deforestation, and grazing (10). Increasing human impact and strong glacial–interglacial climate oscillations superimposed on Pleistocene environmental changes have dramatically reduced the number of extant large mammal species (7, 11). Here, we test the diversity–productivity relationship in large mammals by analyzing the Neogene fossil record, which precedes Pleistocene climate change and human dominance of natural ecosystems.

To date, the generality of the terrestrial diversity–productivity relationship over long geological timescales remains elusive. Although temporal changes in terrestrial fossil diversity have been linked to changing productivity and temperature (12–14), the few quantitative analyses to date have been performed at highly disparate spatial

scales, either global to continental or for single fossil locations (15–17). The evidence for terrestrial diversity–climate relationships from these studies is equivocal, calling into question the universality of the diversity–productivity relationship. Some of the discrepancies may arise because quantitative studies on large spatial scales have used global paleo-climate reconstructions based on marine records (13, 15, 17), which are unlikely to represent terrestrial climatic conditions adequately. Temperature also could be an indirect or secondary driver of terrestrial diversity, because present-day spatial diversity patterns are often better explained by combinations of proxy variables for energy and water availability than by temperature alone (2–4).

To evaluate the mammalian diversity–productivity relationship through the Neogene, we combine Northern hemisphere mammalian fossil data for stratigraphic stages covering the Miocene and Pliocene epochs ~23–1.8 Mya (Table S1) with regional terrestrial NPP estimates derived from fossil plant communities (18), covering 23–2.6 Mya in Europe and 17–2.6 Mya in North America (Fig. 1). Our mammalian dataset contains 14,083 fossil occurrence records for 690 genera (orders Artiodactyla, Carnivora, Perissodactyla, Primates, and Proboscidea) in 1,567 locations, divided into three North American and three European regions (Fig. 1) based on biogeographic history (12, 19). We focus on large

Significance

Our study links diversity dynamics of fossil large mammals through time to primary productivity, i.e. net production of plant biomass. Spatial diversity patterns of extant terrestrial animals are often correlated with present-day primary productivity, but it is unclear whether the relationship holds throughout the geological past. Here we show that higher primary productivity was consistently associated with higher mammalian diversity throughout the geological period of the Neogene, supporting the hypothesis that energy flow from plants to consumers is a key factor determining the level of biodiversity. Our comparison of the fossil diversity–productivity relationship with present-day data suggests that human activity and Pleistocene climate change have conspired to dissolve the relationship that has characterized our planet over 20 My.

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Data deposition: Data and R codes for analysis are available at dataportal-senckenberg.de/database/metacat/bikf.10018.1/bikf.

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terrestrial mammals because of their comparatively well-resolved taxonomy, their high preservation rates, and their well-sampled and comprehensive Neogene fossil record. To account for preservation and spatial sampling biases still present in the record, we estimate regional and continental mammalian γ diversity on the genus level with a first-order Jackknife approach (20) separately within each global stratigraphic stage and each continent-specific land mammal age or unit (Table S1). Terrestrial NPP is estimated from paleobotanical data accounting for temporal uncertainty, uncertainty of climatic reconstruction, and spatial structure. We evaluate the fossil relationship between NPP and γ diversity through time (*i*) across the two continents and (*ii*) across focal regions. Finally, we compare predictions from this fossil diversity–productivity relationship with observed present-day diversity and NPP to test whether the Neogene relationship has persisted into the present despite Pleistocene climate change and increasing human impact.

Results and Discussion

The temporal dynamics of mammalian γ diversity, i.e., of the estimated regional diversity of genera, differ strongly between the two continents and across our focal regions (Fig. 2 A–H). Miocene γ diversity peaked earlier in North America (stratigraphic stage Burdigalian) than in Europe (Tortonian), a difference that has been linked to earlier drying and cooling in North America (14, 21, 22). In our terrestrial plant datasets, North America shows consistently lower NPP than Europe in the Miocene but not in the Early Pliocene (Fig. 2 I and J). Because terrestrial NPP data are available only at the resolution of stratigraphic stages, we use the stage-level mammalian diversity estimates in the following analyses. These stage-level diversity estimates generally track estimates in the more finely resolved land mammal ages (Pearson's correlation coefficients between diversity estimates for stages and diversity estimates for the contemporary land mammal ages: $r = 0.701$, $t = 5.29$, $df = 29$, $P < 0.001$ for continents, $r = 0.688$, $t = 8.31$, $df = 77$, $P < 0.001$ for regions) (Fig. 2), although diversity is elevated in long stratigraphic stages compared with the corresponding land mammal ages (e.g., Tortonian in Europe; Fig. 2B). Because diversity estimates may partly reflect temporal turnover of genera within a stratigraphic stage, we assess the effects of temporal resolution by repeating analyses with the diversity estimates in land mammal ages, averaged within each stage.

Our analyses show a significant positive relationship of fossil mammalian γ diversity with NPP across the continents and stratigraphic stages (Fig. 3A and Table 1). We fit generalized linear mixed-effects models (GLMMs) with Poisson-distributed errors and account for the temporal and spatial data structure

through random effects. Further, we account for covariates describing known effects on richness by fitting the area of the region or continent and the duration of the stratigraphic stage as fixed effects. Because of the relatively low availability of paleobotanical locations where the taxonomic composition has been analyzed and NPP could be inferred, the regional analyses are restricted to three focal regions with highest data coverage and best spatial and temporal match of mammalian and paleobotanical locations: Western North America and Western and Eastern Europe (Figs. 1 and 2). These regional analyses confirm the continental-scale results (Fig. 3B and Table 1). All patterns reported here are robust to the well-known limitations associated with the analysis of fossil data (6), because we find no or little effect (*SI Materials and Methods*) of range-through genera (Figs. S1 and S2), diversity estimator algorithm (Fig. S2), location definition (Fig. S3), and temporal resolution (for analyses using diversity in land mammal ages, see Table S2; for different methods of allocating paleobotanical data to stratigraphic stages, see Fig. 2 I and J). Supplemental simulations based on present-day data indicate that first-order Jackknife estimation performs well in the parameter space likely to be important for our high-quality mammalian fossil record (Fig. S4). We also estimate fossil NPP taking climatic uncertainty into account (Fig. S5) and validate the NPP model through comparisons with present-day data (Fig. S6).

Our results provide strong support for the hypothesis that the terrestrial diversity–productivity relationship is a general pattern in ecology and paleo-ecology that persists in time and in space, at least in the Neogene across the two continents analyzed here. Our study might reconcile previous large-scale paleontological studies, e.g., those reporting that North American diversity of mammals is not consistently related to global temperature through the Cenozoic (15), even though major transitions between evolutionary faunas match periods of climate change in the same region (17, 22). This inconsistency, combined with the significant diversity–productivity relationship found here, could suggest that primary productivity is a more important or more direct driver of terrestrial mammalian diversity than temperature (3), although we do not directly compare temperature and productivity effects. In addition, the plant records in our study recovered regional variation in terrestrial NPP that could not be captured by the single global temperature curve from marine isotope data used in previous work, even though the terrestrial records have patchy spatial coverage and lower temporal resolution (18).

Next, we visually compare whether present-day diversity and NPP estimates were in agreement with the Neogene diversity–productivity relationship. We observe that present-day genus richness of large mammals in North America and Europe falls

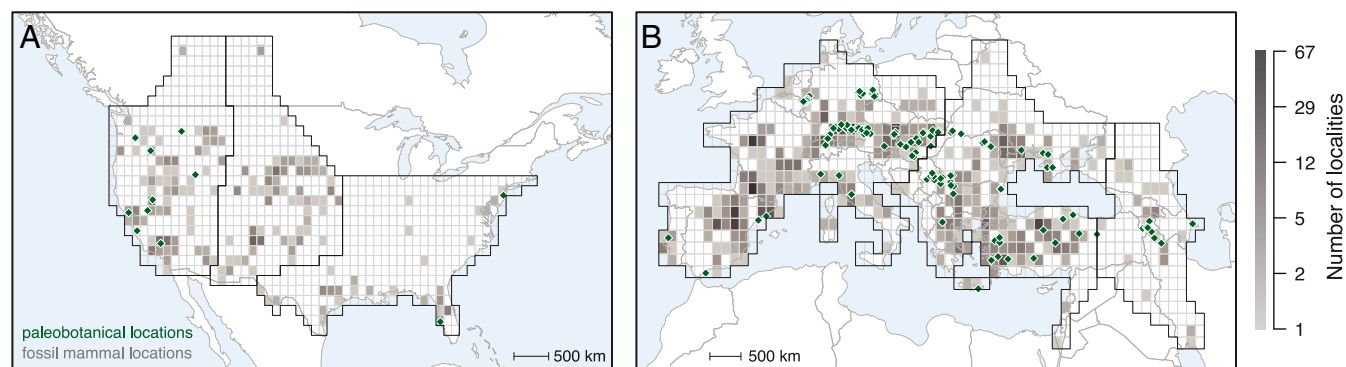


Fig. 1. Spatial coverage of the Neogene paleobotanical and mammalian fossil records in focal regions (black outlines) in (A) Western, Central, and Eastern North America and (B) Western, Eastern Europe, and the Caucasus. Based on 145 paleobotanical locations (green diamonds), we estimate the NPP across each continent and within each of the three best-covered regions (Western North America and Western and Eastern Europe). The coverage of 1,567 fossil locations for large terrestrial mammals is shown as the number of localities (unique combinations of spatial location and stratigraphic stage, gray shading) in 1° latitudinal–longitudinal grid cells.

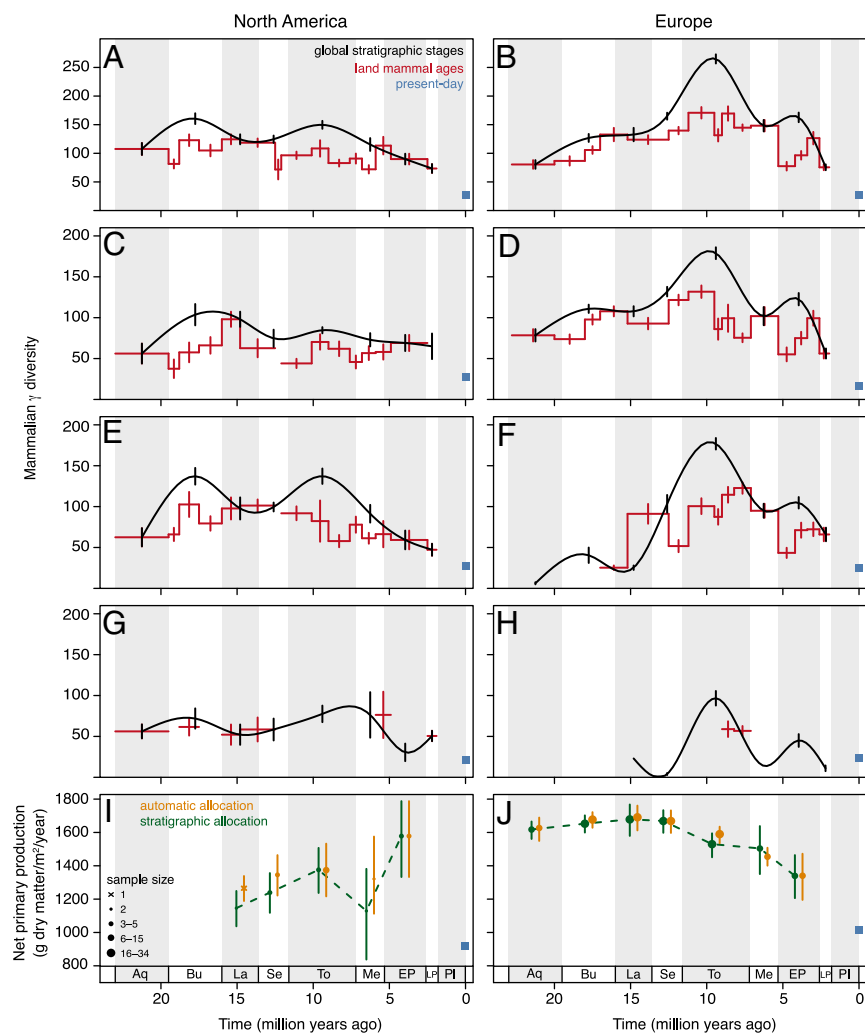


Fig. 2. Temporal dynamics of Neogene mammalian diversity (A–H) and net primary production (I–K) in North America and Europe. (A and I) North America continent-wide. (C) Western North America. (E) Central North America. (G) Eastern North America. (B and J) Europe continent-wide. (D) Western Europe. (F) Eastern Europe. (H) Caucasus. Patterns of γ diversity for large terrestrial mammals (genus-level, first-order Jackknife estimation) are largely consistent in global stratigraphic stages (black trend line shows natural cubic spline interpolation; vertical bars indicate SEs) and continent-specific land mammal ages (red stepped line and error bars). Only time intervals with more than five mammalian locations are shown. Present-day observed genus richness (blue squares) is markedly lower than fossil diversity. The fossil NPP estimates in the two continents within stratigraphic stages (orange and green symbols; symbol size indicates the number of grid cell values underlying the estimate; error bars indicate the entire range between average minimum and maximum values across the grid cells) were very similar with two approaches to allocating paleoclimatic estimates to stratigraphic stages, i.e., whether paleobotanical records were assigned automatically following absolute dates given in source datasets (orange) or were assigned manually according to stratigraphic information in source datasets (green). Neogene estimates were generally much higher than the present-day estimates (potential NPP, blue squares with SEs too small to see). Stratigraphic stages (see Table S1): Aquitanian (Aq); Burdigalian (Bu); Langhian (La); Serravallian (Se); Tortonian (To); Messinian (Me); Early Pliocene (EP); Late Pliocene (LP); Pleistocene (PI).

far below the predictions from the fossil relationship that has prevailed over 15–20 My (Fig. 3, gray symbols). Additionally, adjusting present-day values for both human appropriation of NPP (HANPP) (Fig. 3, blue symbols) and end-Pleistocene and Holocene extinctions (red symbols) would seem to reconcile present-day values with the fossil relationship, suggesting that increasing HANPP (8–10) and the end-Pleistocene and Holocene extinctions (11, 23) have impacted the temporal diversity–productivity relationship in large mammals since the end of the Neogene. However, conclusions from these comparisons must be taken cautiously. We could not fit a combined model across fossil and present-day data points because of substantial differences, particularly in the underlying timescale: The average stratigraphic stage in the Neogene lasted 2.6 My, whereas the present-day data are a snapshot of the last 10,000 y at most. The large differences in diversity and NPP between fossil and present-day data could result from this differing timescale and mean that present-day data must be compared with fossil model predictions that are made outside the range of diversity and NPP values ever recorded in the Neogene (dashed line in Fig. 3). Nevertheless, we observe that the differences between the fossil diversity–productivity relationship and the observed present-day data points are striking (Fig. 3) and might reflect a fundamental change in the diversity–productivity relationship that occurred between the Neogene and today.

If the diversity–productivity relationship has been changed since the Neogene, we would expect the present-day relationship in space

to be weakest in those regions most impacted by climatic oscillations and mammalian extinctions, such as North America and Europe. Across the globe, we find a significant present-day spatial relationship of mammalian diversity with terrestrial NPP (adjusted for human appropriation; see *SI Materials and Methods* and Fig. S7), in agreement with previous studies (2–4). In contrast, we show that the present-day spatial relationship within the focal regions Western North America, Western Europe, and Eastern Europe is much weaker (Fig. S7), as could be expected because of climatic and anthropogenic impacts since the end of the Pliocene. Presumably, increasing HANPP in these regions has prevented a recovery from the numerous mammalian declines and extinctions that occurred in the Pleistocene and Holocene and are ongoing (8, 9) and has changed the diversity–productivity relationship through time. These results could be specific to large mammals, because they have been most strongly affected by past extinctions and experience high extinction risk today (7, 24). The applicability of our fossil and present-day diversity–productivity relationships to small mammals is unclear, because small mammals may be less susceptible to climate oscillations and have experienced fewer end-Pleistocene and Holocene extinctions (7, 13). Future studies could test the prediction that the diversity–productivity relationship through time is consistent with present-day patterns in other taxa, including those less affected by climate oscillations and human impact.

Because of the large spatial and temporal scales of our diversity–productivity analysis, we cannot fully disentangle the ultimate underlying ecological and evolutionary mechanisms: Because

influential on diversity estimates calculated at higher taxonomic levels (6). Additionally, morphological disparity at the genus level in fossil mammals has been shown to approximate disparity at the species level in extant mammals (36, 37). The final dataset contained a total of 1,688 unique species in 663 genera, plus 27 genera for which we had only genus-level occurrences (the full dataset is available at dataportal-senckenberg.de/database/metacat/bikf.10018.1/bikf). We performed analyses at two spatial extents. Continental datasets of North America and Europe included all their respective locations. For regional analyses, focal regions defined based on existing knowledge of biogeographic history (12, 19) were small enough to capture biogeographically meaningful units but were large enough to contain a sufficient number of mammalian fossil locations within the stratigraphic stages. Fig. 1 shows the final regions delimited on a 1° latitudinal-longitudinal grid.

Estimation of Mammalian γ Diversity. The number of genera varied considerably across time intervals (Table S1) and was significantly correlated with the number of locations ($r = 0.83$, $t = 9.8$, $df = 45$, $P < 0.001$ across all time intervals for continents; $r = 0.76$, $t = 13.3$, $df = 130$, $P < 0.001$ for regions) (Fig. S1). We corrected for this sampling bias with algorithms to estimate γ diversity (i.e., the region- or continent-wide genus richness) based on the occurrence of genera (20, 38–40). We applied the richness estimators Chao, Jackknife, and Bootstrap (20, 40) to a genus-by-location matrix of presences and absences for each time interval within each focal region and each continent. From these matrices, we also calculated genus-level occupancy for each subset, i.e., the number of locations where a genus was present (36). We applied the site-specific, abundance-based richness estimators of Chao1 (the unbiased variant of the Chao estimator) and Abundance-Coverage Estimator (ACE) to these occupancy data, treating a region or continent as one site (20, 39). Analyses were performed in R with the vegan package (41, 42), and estimates based on fewer than six locations were excluded.

Values of γ diversity from different estimators were strongly correlated (Fig. S2 A–J), so we present results with first-order Jackknife here (see *SI Materials and Methods* for details of estimator selection and results with different estimators). One central issue is that diversity in the relatively long stratigraphic stages is likely to represent signals of both standing diversity and temporal turnover of genera within a stage. We were restricted to global stratigraphic stages for comparisons between the two continents and because terrestrial NPP data were available only at that temporal resolution. To assess the effect of temporal resolution directly, we repeated analyses with the diversity estimates in the more finely resolved land mammal ages, which were then averaged within stratigraphic stages. Further, we assessed key assumptions and the performance of diversity estimation in supplemental analyses and simulations (following refs. 36, 38, and 43); see *SI Materials and Methods* and Figs. S2–S4.

Estimation of Present-Day Diversity and End-Pleistocene and Holocene Extinctions. To estimate present-day γ diversity for the same five orders of large mammals, we extracted occurrences by overlaying species' range maps with our 1° grid (Fig. 1). We edited the range maps from the International Union for the Conservation of Nature (IUCN) Red List Global Mammal Assessment 2008 (www.iucnredlist.org/initiatives/mammals) to match our taxonomy (35) as described previously (44), excluding humans, domesticated and marine species, and uncertain, historical, and introduced ranges (see *SI Materials and Methods* for details). The dataset included a total of 861 extant species in 267 genera across the globe and 86 species in 44 genera in our regions (Fig. S7A). To adjust for the effects of end-Pleistocene and Holocene extinctions, we compiled available lists of extinct species (11, 23), selected the species recorded for our focal regions, and cross-checked them with our extant dataset (see *SI Materials and Methods* for the final list). We then adjusted present-day mammalian diversity in each continent and focal region by adding the number of extinct genera to the present-day observed genus richness.

Paleobotanical Data. Paleo-climatic data were obtained from several public sources that covered the Neogene as a whole (18), exclusively the Miocene (45), or exclusively the Pliocene (46, 47). We used terrestrial estimates of mean annual temperature (MAT) and precipitation (MAP) inferred from fossil plant communities which allowed us to calculate spatially explicit values of terrestrial NPP for each region or continent. We consider these datasets appropriate for the large temporal and spatial scales addressed here (48) and accounted for the temporal and climatic uncertainties associated with paleobotanical climate reconstructions as follows (see *SI Materials and Methods* and Fig. S5 for details). We allocated paleo-climatic records to our stratigraphic scheme following two different approaches to account for temporal assignment uncertainty (*SI Materials and Methods*) but found no substantial differences between the resulting NPP datasets (Fig. 2 I and J). To account for the spatially clumped data structure (Fig. 1), we summarized the

paleo-climatic records that fell into our set of focal regions (344 records in 182 locations, or 439 location-by-stratigraphic-stage combinations, available at dataportal-senckenberg.de/database/metacat/bikf.10018.1/bikf) into the 1° grid (Fig. S5). Because paleo-climatic records often provided ranges between minimum and maximum estimates that reflect climatic uncertainty for each fossil plant community (18), we took the entire distribution of climatic estimates into account when calculating mean estimates (and 50% credibility intervals) for each grid cell (*SI Materials and Methods* and Fig. S5). The great majority of paleo-climatic records were from Europe (Fig. 1). The sparseness of records in North America results from the known rarity of settings suitable for the preservation of paleobotanical material in the arid Neogene there (49), and hardly any alternative terrestrial paleo-climatic records exist for our spatial and temporal scales (50). We excluded paleo-climatic data derived from Neogene paleosols in North America (49) because these showed very low spatial and temporal congruence with our data (most paleosol data were for Central North America) and because similar paleosol compilations are lacking in Europe.

Calculation of NPP from Paleo-Climatic Estimates. We calculated NPP (in grams of dry matter per square meter per year) with the Miami model equation (Fig. S5B) (51) within each of the 1° grid cells that contained an estimate of MAT (in degrees centigrade) and an estimate of MAP (in millimeters per year). The Miami model is commonly applied to fossil data when no other NPP estimates or environmental drivers for more complex modeling are available and is considered robust at large spatial scales (52). We further demonstrated the robustness of NPP estimates from the Miami model with present-day data (see below). Our methods assume no effects of temporal changes in atmospheric CO₂ levels on paleo-climatic estimation from plant fossils or on conversion of paleo-climatic values to NPP estimates, because past CO₂ levels are still under debate, and recent vegetation models suggest that they are likely comparable to preindustrial levels since at least the late Miocene (50). Additionally, the influence of CO₂ fertilization on paleo-climatic reconstruction is considered negligible, particularly in areas where water is not the main limiting factor (18). For each stratigraphic stage and each region and continent, we calculated weighted mean NPP based on all grid cells with both a MAT and a MAP estimate (excluding stages with only one cell). To account for uncertainty in underlying climatic estimates, we used our measure of the paleo-climatic variance within grid cells as weights, i.e., we calculated a mean that was weighted with the inverse values of the width of the 50% credibility interval from the binned distribution of original paleo-climatic estimates (*SI Materials and Methods* and Fig. S5C).

Present-Day NPP Data and Human Appropriation. To obtain comparable NPP estimates for the present day, we calculated NPP with the Miami model (51) from contemporary climate records. Data on MAT and total annual precipitation from the Climate Research Unit (CRU) time-series (TS) dataset (version 3.21) for the years 1960–2010 (53) were resampled to our 1° grid. We calculated average present-day NPP within grid cells based on the arithmetic means across the 50 y (Fig. S6A) and regional and continental estimates as the average across all respective grid cells. We did not use remote-sensing data because these show actual NPP (including human impact), whereas the NPP estimated from potential vegetation is more appropriate for comparison with the fossil record. To investigate the robustness of NPP estimates, we showed that the potential NPP values derived with the Miami model correlated strongly with potential NPP estimated from a dynamic global vegetation model (DGVM) (Fig. S6 B–E). DGVMs are sophisticated models of plant population dynamics in response to abiotic parameters and perform well in the biomes covered by our focal regions (54); the DGVM used here was based on plant physiology, atmospheric CO₂, climate, hydrology, and soil (10). Our comparison (Fig. S6E) showed that NPP estimates derived with the Miami model provided a realistic picture of present-day potential NPP in the absence of human impact at the global scale. Finally, we estimated the actual primary productivity available in natural ecosystems today by adjusting NPP values for HANPP with a correction factor (Fig. S6C), which was the proportion of potential NPP (modeled by the DGVM, Fig. S6B) that remains after human modification and harvest (10). Remaining NPP adjusted for human appropriation (Fig. S6D) was calculated for each grid cell by multiplying potential NPP from the Miami model with the HANPP factor.

Analyses of the Mammalian Diversity–Productivity Relationship. We analyzed the temporal relationship of fossil γ diversity with NPP separately on the continental and regional scales and across stratigraphic stages for which we had sufficient data (more than five mammalian locations and more than one grid cell with NPP estimate), from the Aquitanian (starting 23 Mya, Europe only) or Langhian (starting 17 Mya, both continents) to the Early Pliocene

(ending 2.6 Mya) (datasets and R scripts are available at dataportal-senckenberg.de/database/metacat/bikf.10018.1/bikf). We fitted GLMMs with Poisson-distributed errors using Maximum Likelihood with the lme4 package for R (55). We chose a particular model structure because it best represented the hypothesis we wanted to test, i.e., whether γ diversity was related to NPP when accounting for effects of area and duration of the time interval (38) as well as for the temporal and spatial structure in the data (see Table 1, *SI Materials and Methods*, and Table S2 for details). These models were the best GLMMs from a selection of possible model specifications we tested (Table S2) following a standardized protocol (56). Marginal and conditional R^2 values for GLMMs were calculated with the MuMIn package (57, 58).

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