1	Evolution of the ungulate dewlap:
2	Thermoregulation rather than sexual selection or predator deterrence?
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10 ABSTRACT

Background: Dewlaps are iconic features of several ungulate species and, although a role in signalling has been postulated, their function remains largely unexplored. We recently failed to find any age-independent link between dewlap size and social status in the common eland (*Tragelaphus oryx*), pointing to the possibility that sexual selection may not be the primary cause of dewlap evolution in ungulates. Here I use a two-pronged approach to test hypotheses on the function of ungulate dewlaps: an interspecific comparative analysis of bovids and deer, and an intraspecific study of eland antelopes in the wild.

Results: Across species, the presence of dewlaps in males was not found to be associated with sexual size dimorphism, a commonly used measure of the intensity of sexual selection. The presence of dewlaps was, however, linked to very large male body size (>400kg), which agrees with a thermoregulatory function as lower surface/volume-ratio counteracts heat dissipation in large-bodied species. In eland antelopes, large dewlap size was associated with higher, rather than lower, incidence of claw-marks (independently of age), a result which speaks against the dewlap as a predator deterrent and rather indicates a predation cost of the structure.

Conclusion: The findings suggest that, although an additional function in communication should not
be ruled out, the dewlap of ungulates may contrast with that of lizards and birds in thermoregulation
being a primary function.

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Keywords: Natural selection; Signal evolution; Ornaments; Male competition; Female Mate Choice;
Bovidae; Cervidae; Mammalia.

31 BACKGROUND

32 Extravagant ornament-like male morphologies that are sexually dimorphic are often assumed to have 33 evolved by sexual selection to signal individual quality, either owing to female mate choice, male-34 male combat or both [1,2]. However, often other explanations are possible and the importance of 35 examining alternative hypotheses has recently been stressed [3]. Dewlaps, i.e. loose skin flaps hanging from the neck, are a case in point. These striking yet enigmatic structures are found in various 36 vertebrate taxa, notably iguanid and agamid lizards, birds and ungulates. To date, studies of dewlap 37 evolution and function have focused almost entirely on lizards and, to a lesser extent, birds. In lizards, 38 39 a function of the often colourful dewlap in intraspecific communication is indicated by the fact that 40 the dewlap is moveable and dewlap extensions constitute part of male territorial displays, with the 41 display rate increasing during both intra- and intersexual encounters [4,5]. However, recent studies 42 suggest that rather than directly reflecting male competitive ability, a selective advantage of the 43 dewlap may arise from drawing attention to head-bob and push-up displays [3]. In birds, dewlaps – often referred to as wattles – are present as a diverse set of fleshy excrescences pending from the neck 44 45 in several taxa (e.g. cassowaries and galliformes). Like in lizards, they are more pronounced in males than females and are thought to function as sexual signals of male quality [6]. The dewlap in 46 47 ungulates has so far evaded rigorous investigation and its function remains a puzzle. In spite of some 48 structural similarity with the dewlaps of lizards and birds, whether ungulate dewlaps have evolved as 49 a result of the same selective pressures remains an open question.

50 As in lizards and birds, sexual dimorphism is pronounced in the dewlap of ungulates, but both sexual and natural selection could have affected the sexes differently to create this pattern. According to the 51 52 'Sexual Selection Hypothesis', the dewlap of ungulates, like in lizards and birds, has evolved because 53 of a function in intra- and/or intersexual signalling. Different scenarios can be imagined. Firstly, the 54 dewlap may be an honest signal of age-related fighting ability. Evidence from the common eland 55 (Tragelaphus oryx) shows that dewlaps increase monotonically in size with age and the dewlap could thus provide meaningful information about fighting skills gained through experience [7,8]. Another 56 57 possibility is that the dewlap serves a deceptive function during rival assessment by exaggerating the

body size perceived by opponents [3,9]. Here it is worth noting that agonistic encounters in many
ungulate species involve broadside displays in which males assess the body size of rivals in lateral
view, the perspective from which the two-dimensional dewlap creates the most convincing illusion
(Fig. 1).

Alternatively, according to the 'Predator Deterrent Hypothesis', the dewlap has its selective advantage 62 in communication with predators rather than conspecifics [10]. Small ungulates are vulnerable to a 63 64 wider range of predators than large ungulates [11,12], and by enhancing apparent body size, dewlaps could thus deter predator attacks. Similar intimidating effects can explain a wide range of antipredator 65 responses in vertebrates: piloerection in mammals, feather puffing in birds, anterior flattening in 66 snakes, and body inflation in toads, frogs and fishes (although the latter also interferes with 67 68 swallowing) [13]. Also conceivable is that the dewlap has evolved as a condition-dependent handicap 69 signal [14]. According to this idea, the dewlap makes it easier for predators to get a hold on their prey, 70 and because only 'high quality' individuals can develop large dewlaps without incurring prohibitive 71 predation costs, the structure signals that an individual will be difficult to kill, thereby discouraging 72 attacks. Such a condition-dependent handicap signal could also function as a 'quality' indicator that intimidates rivals and/or attracts mates, hence showing a potential link to the Sexual Selection 73 74 Hypothesis.

75 Finally, according to the 'Thermoregulation Hypothesis', the selective advantage of the dewlap comes 76 from facilitating the dissipation of excess body heat by convection, an idea proposed to explain the presence of dewlaps in dinosaurs [15,16]. Overheating is a particular challenge for larger species 77 owing to their lower surface/volume ratio, and the potential force of this selective pressure is 78 illustrated by the evolution of large ears in elephants [17], where it is also noteworthy that the larger 79 species has the proportionally largest ears (i.e. 6,300kg of large males in the African elephant 80 Loxodonta africana vs. 5,300kg in the Asian elephant Elaphus maximus). Infrared measurements have 81 82 confirmed the dewlap in the common eland as a site of high heat loss [18].

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83 From these hypotheses follow various predictions at both the inter- and intraspecific level, and in this paper, I therefore combine a comparative approach, investigating differences between species, with an 84 intraspecific field study on the common eland, a nomadic savannah antelope in which males develop 85 large dewlaps drooping up to more than 40cm beneath their necks. Quantifying predation is 86 87 notoriously difficult in ungulate field studies because attacks usually take place when observation is difficult, i.e. at night and in dense vegetation. As a proxy measure, I therefore use claw-marks, the 88 usefulness of which as an indicator of predation attempts have recently been highlighted [19]. 89 90 Because the dewlap in ungulates is sexually dimorphic, the analyses are focused on males, where the 91 structure is most pronounced.

92 According to the Sexual Selection Hypothesis, I predict that the presence of dewlaps among species is 93 linked to sexual body size dimorphism, a frequently used index for the intensity of sexual selection 94 [2,3,20]. According to the Predator Deterrent Hypothesis, where large dewlap size is associated with 95 reduced attack rate by predators, I predict a negative correlation between dewlap size and the prevalence of claw-marks within species. Specifically, if dewlaps have evolved owing to the handicap 96 97 principle, I predict that scars from past predation attempts will be located on the dewlap, by which the 98 animal is hypothesized to be seized. According to the Thermoregulation Hypothesis, I predict that 99 dewlaps are associated with large-bodied species, and that a threshold exists above which the low 100 surface/volume ratio favours the evolution of dewlaps to facilitate heat dissipation.

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102 METHODS

103 Interspecific study: comparative analysis

A dataset was compiled focusing on all extant bovids and cervids including the following variables: presence/absence of dewlaps in males, mean male body mass, and sexual size dimorphism (SSD), which was calculated as male body mass divided by female body mass. The data were obtained from the sources: [9,20-27]. The presence of dewlaps in males was entered as the binary response variable in a phylogenetic generalized linear mixed model for binary data (binary PGLMM). The analyses were performed in R [28] with the packages 'ape' [29,30] and 'caper' [31]. The explanatory variables were *male body mass* and *SSD* (both log_{10} -transformed); these were tested in bivariate models as well as in a multivariate model with backward elimination of non-significant predictors (P < 0.05). Control for evolutionary dependence was based on the phylogenetic tree reported in [32].

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114 Intraspecific study: eland field study

Study system: Eland males were studied between 2005 and 2013 in a 710 km² area within the Masai 115 Mara National Reserve and Olare Orok, Motorogi and Naboisho conservancies in Kenya. The habitat 116 117 was dominated by open grass plains with only scattered thickets and hence good visibility. The eland is a large, sexually dimorphic antelope (males: 450–942 kg, females: 317–470 kg [33]), foraging on 118 both grass and browse [34]. They are non-territorial and gregarious, their main social units being 119 solitary males, male herds of 2–20 individuals, and larger mixed herds with up to more than a hundred 120 121 individuals [8]. The main predator of male eland in the study area is the lion (*Panthera leo*); younger animals are occasionally killed by spotted hyenas (Crocuta crocuta), leopards (Panthera pardus) and, 122 123 even more rarely, cheetahs (Acinonyx jubatus) [35-38].

Data collection: As part of a larger study, data were collected annually between February and May 124 125 during the wet season by surveying the study area for eland in a four-wheel-drive vehicle on a total of 126 266 days. For each observation, the identity of males were recorded based on their distinctive stripe 127 pattern, ear nicks, scars, and tail and horn abnormalities, with identification details stored on paper 128 sheets and in a digital library of bilateral photographs. For morphological measurements using 129 photometry, individuals were photographed while standing relaxed, and their distance was measured 130 by laser rangefinder (Bushnell Yardage pro 800). The measurements in pixels on the photographs 131 were converted to the metric scale using a calibrated reference scale based on photographs of a 1 m pole at a range of distances [7]. Body size was measured as the body depth, i.e. the maximum vertical 132 girth of the chest. Dewlap size was measured by the maximum vertical droop beneath the neck. 133 Repeatability was high [7]. Scars from the claws of big cats, distinctive in the alignment of 4-5 134

scratches [19] (Fig. 2), were recorded as present/absent in the field, with supplementary observations
in the digital photo library. Age was estimated upon first sighting of an individual, primarily based on
horn rotation, horn wear, and development of hair fringes and hair tufts, following the protocol
described in [8]. Complete measurements were obtained for 212 individual males.

Statistical analysis: The presence/absence of claw-marks was modelled as the response variable in two 139 multivariate logistic regression models, a generalized linear mixed model (GzLMM) and a 140 141 generalized linear model (GzLM). In the GzLMM, male identity was entered to control for correlated 142 random effects owing to multiple measurements from the same individuals, whereas only one, randomly selected, observation per male was included in the GzLM. In both models, dewlap droop 143 was included as a predictor variable, together with age and body size in order to control for 144 145 confounding effects. Non-significant predictors were excluded by backward elimination (P < 0.05), 146 and results relating to the non-significant predictors refer to their separate inclusion in the final model. 147 Variance inflation factors (VIFs) were calculated to assess the potential for multicollinearity between dependent variables to affect the results [39]. These analyses were performed in SPSS version 21 148 149 (IBM, Armonk, NY, U.S.A.).

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151 RESULTS

152 Interspecific study: comparative analysis

Among species, the presence of dewlaps in males was predicted by large male body mass, but not by large SSD (Table 1). These results agree with the Thermoregulation Hypothesis and speak against the Sexual Selection Hypothesis. All the species in which males had dewlaps were characterized by a mean male body mass above 400 kg, i.e. gaur (*Bos frontalis*, 848kg), kouprey (*Bos sauveli*, approx. 800 kg), banteng (*Bos javanicus*, 750 kg), giant eland (*Tragelaphus derbianus*, 680kg), common eland (647 kg), and moose (*Alces alces*, 440 kg); in less than 3% of the species without dewlap did males weigh above this threshold (i.e. five out of 171 species; see Discussion).

161 Intraspecific study: eland field study

The incidence of claw-marks was positively, rather than negatively, related to dewlap size (logistic 162 GzLMM: N = 381 observations on 212 males [34 of which were observed both with and without 163 scars]; intercept: 3.67, P < 0.001; dewlap: t = 4.96, P < 0.001, VIF = 2.144; age: t = 1.553, P = 0.122, 164 VIF = 2.596; body size: t = 0.385, P = 0.700, VIF = 2.118; logistic GzLM: N = 212 males: intercept: 165 3.05, P < 0.001; dewlap: : $\chi^2 = 8.53$, P = 0.004, VIF = 2.178; age: $\chi^2 = 0.823$, P = 0.364, VIF = 2.602; 166 body size: $\chi^2 = 0.028$, P = 0.868, VIF = 2.113; Figure 3a). This speaks against the Predator Deterrent 167 Hypothesis and rather suggests a predation cost of large dewlaps. The robustness of the results to 168 169 multicollinearity between dependent variables is supported by all VIFs being significantly below the threshold of 5. Contrary to the proposition that dewlaps may be condition-dependent handicaps, scars 170 were not observed on the dewlap itself, with the majority of claw-marks located on the rump and 171 flanks. The incidence of claw-marks increased from below 20% at 2 years to above 50% in animals of 172 173 9 years and above (Figure 3b).

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175 DISCUSSION

On the balance of the current evidence, benefits from thermoregulation emerge as a plausible main 176 177 driver of the evolution of the ungulate dewlap (Table 2). Dewlaps have evolved independently among 178 the very largest species within several ungulate radiations, namely the bovines, the tragelaphines and 179 the cervids. Overheating is a particular problem for large species in hot climates, and the five species, 180 in which males weigh above the 400 kg threshold but have not evolved dewlaps, either live in cold areas or have evolved alternative, behavioural, cooling mechanisms. The African buffalo (Syncerus 181 caffer, 643 kg) and the water buffalo (Bubalis bubalis, 1,200 kg) regularly cool their body 182 temperature by wallowing, and the wild yak (Bos grunniens, 591 kg), American bison (Bison bison, 183 795 kg) and European bison (Bison bonasus, 718 kg) inhabit boreal and temperate climates. 184

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185 Neither the present interspecific study, nor our earlier results from the intraspecific study, provides 186 support for the Sexual Selection Hypothesis. In male eland antelopes, we found no link between dewlap size and status as master bull in mixed-sex herds, and an association with dominance status in 187 all-male herds disappeared after controlling for age [8]. Consistent with this, in the present study 188 189 dewlaps were not found to have evolved more often in those species where pronounced sexual size 190 dimorphism suggests intense sexual selection. While the sexual dimorphism of the dewlap itself, which is often minimal or absent in female ungulates, is consistent with the Sexual Selection 191 Hypothesis, it is also consistent with the Thermoregulation Hypothesis as females are markedly 192 smaller than males in all species with dewlaps; females are indeed close to the 400 kg threshold with 193 weights around 350–450 kg in all species except the gaur (702 kg) and possibly the kouprey (no data). 194

195 At present, the most parsimonious interpretation of the link between claw-marks and large dewlap 196 size is that benefits of large dewlaps in other contexts trade off against costs from increased predation risk, possibly because of lower running speed. However, conceivable is also an alternative 197 198 explanation derived from the idea of the dewlap as a sexually selected handicap: rather than signalling 199 the ability to flee, the dewlap could signal the ability to successfully fight off predators, in which case 200 an association between large dewlaps and the presence of scars would indeed be expected. Still, 201 against expectation remains the absence of scars on the dewlap itself since this is where the animals 202 are hypothesized to be seized. At 30%, the proportion of adult eland males with claw-marks, 203 presumably primarily from lions, was comparable to figures found in another large savannah herbivore which share the lion as its main predator: the prevalence of claw-marks on adult female 204 giraffes (Giraffa camelopardalis) in three study areas within the Serengeti-Mara ecosystem was found 205 206 to be 4%, 26% and 32% [19]. The prevalence of claw-marks may be related to the observation that 207 eland do not usually flee from lions [33].

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209 CONCLUSIONS

210 All in all, the present evidence suggests that the dewlap in ungulates may be the result of convergent 211 evolution under different selective pressures than those thought to underlie dewlaps in lizards and birds. Attaining very large body sizes in hot environments, the ungulate species in which dewlaps 212 have evolved face a significant challenge to dissipate excess body heat. The structure is thus likely to 213 214 facilitate temperature regulation, but a trade-off in terms of enhanced predation risk is suggested by the higher incidence of claw-marks in individuals with large dewlaps. Ruling out a communicative 215 216 function of the dewlap on the basis of the present study would be premature and this remarkable trait, 217 which has attracted considerable scientific attention in other taxa, warrants further study in ungulates.

218

219 DECLARATIONS

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306 Tables

307	Table 1	Predictors	of the	e presence	of	dewlaps	in	males	within	the	Bovidae	and	Cervidae	(binary	v
507	I able I	1 Iculcions	or un	presence	01	ucwiaps	111	maics	vv runni	unc	Dovidac	anu	Curviuae	Unnar	y_

308	PGLMM: $N = 133$	species: phylogene	tic signal: male h	ody mass flog	10]: s2=3.19. P <	(0.001)
500	1020000 - 10000	species, phylogene	the signal. male c	Joury muss [105	10].52-5.17,1	. 0.001)

	Bivariate a	analyses		Multivariate analysis				
	Coefficient	Z.	Р	Coefficient	Ζ.	Р		
	(±SEM)			(±SEM)				
Male body mass (log ₁₀)	3.59±1.55	2.32	0.021	3.59±1.55	2.32	0.021		
Sexual body-size dimorphism	0.984±2.538	0.39	0.698	-620±6.32	-0.98	0.326		
(log ₁₀)								

309 Table 2 Predictive framework and results

Predictions	Support?	Sour		
SEXUAL SELECTION HYPOTHESIS				
P1: SSD predicts the presence of dewlaps (interspecific)	No	This study		
P2: Dewlap size predicts dominance status (intraspecific)	'Yes', but not after control for	Bro-Jørgensen	&	Beeston
	age	(2015)		
P3: Dewlap size predicts master bull status (intraspecific)	No	Bro-Jørgensen	&	Beeston
		(2015)		
PREDATOR DETERRENCE HYPOTHESIS				
P1: Large dewlap size predicts the absence of claw-marks (intraspecific)	No, the opposite	This study		
P2: If condition-dependent handicap, scars from predation attempts present on dewlaps	No	This study		
(intraspecific)				
THERMOREGULATION HYPOTHESIS				
P1: Large body size predicts the presence of dewlaps (interspecific)	Yes (threshold approx. 400kg)	This study		

310 FIGURE CAPTIONS

311 Fig. 1: Broadside display between two eland bulls.

Fig. 2: (a) A young male eland with claw-marks on his flank still bleeding. (b) An older male with
claw-mark scars on his flank and hindquarters. (c) Claw-mark scars on the rump of a male estimated

- at 3 years old (2007). (d) The same scar six years later (2013).
- Fig. 3: (a) Dewlap droop in males with and without claw-marks according to age. (b) Prevalence of claw-marks in relation to age. Columns and error bars indicate the mean and its standard error; numbers above columns refer to sample sizes.