

Supplementary Text for “Death and Taxa”

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1 Materials and Methods

2 1.1 Species occurrence and covariate information

Fossil occurrence information was downloaded from the Paleobiology Database (PBDB; <http://paleodb.org/>). Occurrence, taxonomic, stratigraphic, and biological information was downloaded for all North American mammals. This data set was filtered so that only occurrences identified to the species-level, excluding all “sp.”-s. All aquatic and volant taxa were also excluded. Additionally, all occurrences without latitude and longitude information were excluded.

Species dietary and locomotor category assignments were done using the assignments in initial the PBDB which were then reassigned into coarser categories (Table S2). This was done to improve interpretability, increase sample size per category, and make results comparable to previous studies (1, 2).

All individual fossil occurrences were assigned to 2 My bins ranging through the entire Cenozoic. Taxon duration was measured as the number of bins from the first occurrence to the last occurrence, inclusive. This bin size was chosen because it approximately reflects the resolution of the North American Cenozoic mammal fossil record (3–5). The youngest cohort, 0–2 My, was excluded from analysis.

1.1.1 Body size estimates and estimation

Species body size estimates were sourced from a large selection of primary literature and data base compilations.

Databases used include the PBDB, PanTHERIA (6), and the Neogene Old World Mammal database (NOW; <http://www.helsinki.fi/science/now/>). Major sources of additional compiled body size estimates include (7–12). These were then supplemented with an additional literature search to try and fill in the remaining gaps. In many cases, species body mass was estimated using various published regression equations based on tooth or skull measurements (Tab. S3). See Supplementary Tables XXX for a complete list of individual measures and sources.

30 1.1.2 Biogeographic network

Species geographic extent was characterized using a network-theoretic approach
32 that has previously been applied to paleontological data (13, 14). This approach
relies on defining a biogeographic bipartite network of taxa and localities. In this
34 study, taxa were defined as species and localities were grid cells from a regular
lattice layed over a global equal-area cylinder map projection. The regular lattice
36 was defined as a 70 x 34 global grid where each cell corresponds to approximately
25 km². This network is considered bipartite because taxa are connected to
38 localities based on their occurrence but taxa are not connected to taxa nor are
localities connected to localities.

40 A biogeographic network was constructed for each of the 2 My bins used in this
study. Emergent bioprovinces were then identified using the map equation (15, 16)
42 as has been done before (13, 14, 17). These bioprovinces correspond to taxa and
localities that are more interconnected with each other than with other nodes.

44 The map projection and regular lattice were made using shape files from
<http://www.naturalearthdata.com/> and the **raster** package for R (18). The
46 map equation and other network related analysis was done using the **igraph**
package for R (19).

48 1.1.3 Supertree

As there is no single, combined formal phylogenetic hypothesis of all Cenozoic
50 fossils mammals from North America, it was necessary to construct a semi-
formal supertree. This was done by combining taxonomic information for all the
52 observed species and a few published phylogenies.

The initial taxonomic classification of the observed species was based on the
54 associated taxonomic information from the PBDB. This information was then
updated using the Encyclopedia of Life (<http://eol.org/>) which collects and col-
56 lates taxonomic information in a single database. This was done programatically
using the **taxize** package for R (20). Finally, this taxonomic information was
58 further updated using a published taxonomy of fossil mammals (21, 22).

This taxonomy serves as in initial phylogenetic hypothesis which was then
60 combined with a selection of species-level phylogenies (10, 23) in order to better
constraint a minimum estimate of the actual phylogenetic relationships of the
62 species. The supertree was inferred via matrix representation parsimony was
implemented in the **phytools** package for R (24). While four most parsimonious
64 trees were found, I selected a single of these for use in analysis.

Polytomies were resolved in order of species first appearance. The resulting
66 tree was then time scaled using the **paleotree** package via the “minimum branch
length” approach with a minimum length of 0.1 My (25). The minimum length is
68 necessary to avoid zero-length branches which cause the phylogenetic covariance
matrix not be positive definite, which is important for computation (see below).
70 While other time scaling approaches are possible (26, 27) this method was chosen
for it’s simplicity and not requiring additional information about diversification
72 rates which are the interest of this study.

1.2 Survival model

Presented here is the model development process used here to formulate the two survival models used in this study.

First, define y as a vector of length n where the i th element is the durations of species i where $i = 1, \dots, n$.

The simplest survival model where durations are assumed to follow an exponential distribution with a single “rate” or inverse-scale parameter λ (28). This is written out

$$\begin{aligned} p(y|\lambda) &= \lambda \exp(-\lambda y) \\ y &\sim \text{Exp}(\lambda). \end{aligned} \tag{1}$$

The exponential distribution corresponds to situations where extinction risk is independent of age. To understand this, we need to define two functions: the survival function $S(t)$ and the hazard function $h(t)$.

$S(t)$ corresponds to the probability that a species having existed for t My will not have gone extinct while $h(t)$ corresponds to the instantaneous extinction rate for some taxon age t (28). For an exponential model, $S(t)$ is defined

$$S(t) = \exp(-\lambda t) \tag{2}$$

and $h(t)$ is defined

$$h(t) = \lambda \tag{3}$$

The choice of the exponential distribution corresponds directly to the Law of Constant Extinction (29) as the right side of Eq. 3 does not depend on species age t .

The current sampling statement (Eq. 1) currently assumes that all species share the same rate parameter with no variation. To allow for variation in λ associated with relevant covariate information like species body size, λ is reparameterized as $\lambda_i = \exp(\sum \beta^T \mathbf{X}_i)$ with i indexing a given observation and its covariates, β is a vector of regression coefficients, and \mathbf{X} is a matrix of covariates. This is a standard regression formulation, where one column of \mathbf{X} is all 1-s and its corresponding β coefficient is the intercept. This approach is essentially a generalized linear model (GLM) approach where instead of normally distributed errors there are exponentially distributed errors (28).

To relax the assumption of age-independent extinction of the Law of Constant Extinction we substitute the Weibull distribution for the exponential (28). The Weibull distribution has a shape parameter α and scale parameter σ . Conceptually, σ is the inverse of λ . α modifies the impact of taxon age on extinction risk. When $\alpha > 1$ then $h(t)$ is a monotonically increasing function, but when $\alpha < 1$ then $h(t)$ is a monotonically decreasing function. When $\alpha = 1$ then the Weibull distribution because equivalent to the exponential.

The Weibull distribution and sampling statement wre defined

$$\begin{aligned} p(y|\alpha, \sigma) &= \frac{\alpha}{\sigma} \left(\frac{y}{\sigma}\right)^{\alpha-1} \exp\left(-\left(\frac{y}{\sigma}\right)^\alpha\right) \\ y &\sim \text{Weibull}(\alpha, \sigma). \end{aligned} \tag{4}$$

The corresponding $S(t)$ and $h(t)$ functions are defined

$$S(t) = \exp\left(-\left(\frac{t}{\sigma}\right)^\alpha\right) \quad (5)$$

$$h(t) = \frac{\alpha}{\sigma} \left(\frac{t}{\sigma}\right)^{\alpha-1}. \quad (6)$$

104 To allow for σ to vary with a given observation's covariate information it is
reparameterized in a similar fashion to λ with a few key differences. Because
106 $\sigma = 1/\lambda$ in order to preserve the interpretation of β , while taking α into account,
 σ is reparameterized as

$$\sigma_i = \exp\left(\frac{-(\sum \beta^T \mathbf{X}_i)}{\alpha}\right). \quad (7)$$

108 The model described here was the final model at the end of a continuous
model development framework where the sampling and prior distributions were
110 iteratively modified to best reflect theory, knowledge of the data, the inclusion of
important covariates, and the fit to the data. This follows the approach described
112 in (30) and (31). A survival model was fit in a Bayesian context where species
duration were assumed to be drawn from a Weibull distribution (Eq. 4) with
114 shape α and scale σ parameters. α was assumed constant, which is standard
practice in survival analysis (28). α was given a weakly informative half-Cauchy
116 (C^+) prior. σ was reparameterized as an exponentiated regression model (Eq.
7). This was further expanded (Eq. 8) to allow for two hierarchical factors as
118 discussed below. This is written

$$\sigma_i = \exp\left(\frac{-(h_i + \eta_{j[i]} + \sum \beta^T \mathbf{X}_i)}{\alpha}\right) \quad (8)$$

where equivalent statement for the exponential distribution is defined

$$\lambda_i = \exp\left(h_i + \eta_{j[i]} + \sum \beta^T \mathbf{X}_i\right). \quad (9)$$

120 K species-level covariates were included as a $n \times K$ matrix, \mathbf{X} . Two of the
covariates of interest are the logit of mean relative occupancy and the logarithm
122 of body size (g). The discrete covariate index variables of dietary and locomotor
category were transformed into $n \times (k - 1)$ matrices where each column is
124 an indicator variable (0/1) for that species's category, k being the number of
categories of the index variable (3 and 4, respectively). Only $k - 1$ indicator
126 variables are necessary as the intercept takes on the remaining value. Finally, a
vector of 1-s was included in the matrix \mathbf{X} whose corresponding β coefficient is
128 the intercept, making K equal eight.

β is a vector of regression coefficients, where each element is given a unique,
130 weakly informative Normally distributed prior. These priors were chosen because
it is expected that the effect size of each variable on duration will be small, as is
132 generally the case with binary covariates.

Regression coefficients are not directly comparable without first standardizing the input variables to have equal standard deviations. This is accomplished by subtracting the mean of the covariate from all values and then dividing by the standard deviation, resulting in a variable with mean of zero and a standard deviation of one. This linear transform greatly improves the interpretability of the coefficients as expected change in mean duration given a difference of one standard deviation in the covariate (32). Additionally, this makes the intercept directly interpretable as the estimate of mean (transformed) σ (Eq. 7). However, because the expected standard deviation for a binary variable is 0.5, in order to make comparisons between the binary and continuous variables, the continuous inputs must instead be divided by twice their standard deviation (33).

1.2.1 Hierarchical effects

The two hierarchical effects of interest in this study are origination cohort and shared evolutionary history, or phylogeny. Hierarchical modeling can be considered an intermediate between complete and no pooling of groups (30), where complete pooling is when the differences between groups are ignored and no pooling is where different groups are analyzed separately. By allowing for partial pooling, we are modeling the appropriate compromise between these two extremes, allowing for better and potentially more informative overall inference. This is done by having all of the groups share the same Normal prior with mean 0 and a scale parameter estimated from the data, which then acts as an indicator of the amount of pooling. A scale of 0 and ∞ indicate complete and no pooling, respectively. The choice of mean 0 allows for the individual groups estimates to be interpreted as deviations from the intercept. Hierarchical modeling is analogous to mixed-effects modeling (30).

Origination cohort is defined as the group of species which all originated during the same 2 My temporal bin. Because the most recent temporal bin, 0-2 Mya was excluded, there are 32 different cohorts. The effect of origination cohort j was modeled with each group being a sample from a common cohort effect, η_j , which was considered Normally distributed with mean 0, and standard deviation σ_c . The value of σ_c was then estimated from the data itself, corresponding to the amount of pooling in the individual estimates of η_j . This approach is a conceptual and statistical unification between dynamic and cohort survival analysis in paleontology (34–38), with σ_c acting as a measure of compromise between these two end members.

$$\begin{aligned}\eta_j &\sim \mathcal{N}(0, \sigma_c) \\ \sigma_c &\sim \text{C}^+(0, 2.5)\end{aligned}$$

The choice of the half-Cauchy prior on σ_c follows (39)

The impact of shared evolutionary history, or phylogeny, was modeling as an individual effect where each observation, i , is distributed as a multivariate normal, h , where the covariance matrix Σ is known up to a constant, σ_p^2 (40, 41). This is written

$$\begin{aligned}
h &\sim \text{Multivariate } \mathcal{N}(0, \mathbf{\Sigma}) \\
\mathbf{\Sigma} &= \sigma_p^2 \mathbf{V}_{phy} \\
\sigma_p &\sim \text{C}^+(0, 2.5).
\end{aligned}$$

\mathbf{V}_{phy} is the phylogenetic covariance matrix defined as an $n \times n$ matrix where the diagonal elements are the distance from root to tip, in branch length, for each observation and the off-diagonal elements are the amount of shared history, measured in branch length, between observations i and j . σ_p was given a weakly informative half-Cauchy hyperprior.

1.2.2 Censored observations

An important part of survival analysis is the inclusion of censored observations where the failure time has not been observed (28, 42). The most common censored observation is right censored, where the point of extinction had not yet been observed in the period of study, such as taxa that are still extant. Left censored observations, on the other hand, correspond to observations that went extinct any time between 0 and some known point. In order to account for the minimum resolution of the fossil record encountered here, taxa that occurred in only a single time bin were left censored.

Censored data is modeled using the survival function of the distribution, $S(t)$, defined earlier for the Weibull distribution (Eq. 5) with σ is defined as above (Eq. 8). $S(t)$ is the probability that an observation will survive longer than a given time t . The likelihood of uncensored observations is evaluated as normal using Equation 4 while right censored observations are evaluated at $S(t)$ and left censored observations are evaluated at $1 - S(t)$. Note, $1 - S(t)$ is equivalent to the cumulative density function and $S(t)$ is equivalent to the complementary cumulative density function (31).

The full likelihood for both uncensored and both right and left censored observations is written

$$L \propto \prod_{i \in C} \text{Weibull}(y_i | \alpha, \sigma) \prod_{j \in R} S(y_j | \alpha, \sigma) \prod_{k \in L} (1 - S(y_k | \alpha, \sigma)),$$

where C is the set of uncensored observations, R is the set of right censored observations, and L is the set of left censored observations.

1.2.3 Estimation

Parameter posteriors were approximated using a Markov-chain Monte Carlo (MCMC) routine implemented in the Stan programming language (43). Stan implements a Hamiltonian Monte Carlo using a No-U-Turn sampler (44). Posterior approximation was done using four parallel MCMC chains where convergence was evaluated using the scale reduction factor, \hat{R} . Values of \hat{R} close to 1, or less

than or equal to 1.1, indicate approximate convergence. Convergence means that the chains are approximately stationary and the samples are well mixed (31).

In order to speed up the posterior approximation, a custom multivariate normal sampler was used to estimate the unknown constant term in the covariance matrix. This is necessary because inverting and solving the complete covariance matrix on every iteration is a memory intense procedure. The custom sampler limits the necessary number of operations and matrix inversions per iteration.

Four different MCMC chains were run for 30000 steps and were thinned to every thirtieth sample split evenly between warm-up and sampling.

1.3 Posterior predictive checks

The most basic assessment of model fit is that simulated data generated using the fitted model should be similar to the observed. This is the idea behind posterior predictive checks. Using the covariates from each of the observed durations, and randomly drawn parameter estimates from their marginal posteriors, a simulated data set y^{rep} was generated. This process was repeated 1000 times and the distribution of y^{rep} was compared with the observed (31).

An example posterior predictive check used in this study is a graphical comparison between the Kaplan-Meier (K-M) survival curve estimated from the observed data and the K-M survival curves estimated from 1000 simulation sets. K-M survival curves are non-parametric estimates of $S(t)$ (28). Other posterior predictive checks used here include comparison of the mean and quantiles of the observed durations to the distributions of the same quantities from the simulations, and inspection of the deviance residuals, defined below.

In standard linear regression, residuals are defined as $r_i = y_i - y_i^{est}$. For the model used here, this definition is inadequate. The equivalent values for survival analysis are deviance residuals. To define how deviance residuals are calculated, we first define the cumulative hazard function (28). Given $S(t)$ (Eq. 5), we define the cumulative hazard function as

$$\Lambda(t) = -\log(S(t)).$$

Next, we define martingale residuals m as

$$m_i = I_i - \Lambda(t_i).$$

I is the inclusion vector of length n , where $I_i = 1$ means the observation is completely observed and $I_i = 0$ means the observation is censored. Martingale residuals have a mean of 0, range between 1 and $-\infty$, and can be viewed as the difference between the observed number of deaths between 0 and t_i and the expected number of deaths based on the model. However, martingale residuals are asymmetrically distributed, and can not be interpreted in the same manner as standard residuals.

The solution to this is to use the deviance residuals, D . This is defined as a function of martingale residuals and takes the form

$$D_i = \text{sign}(m_i) \sqrt{-2[m_i + I_i \log(I_i - m_i)]}.$$

Deviance residuals have a mean of 0 and a standard deviation of 1 by definition.

234 1.4 Variance partitioning

There are three different variance components in this model: sample σ_y^2 , cohort
 236 σ_c^2 , and phylogenetic σ_p^2 . The sample variance, σ_y^2 , is similar to the residual
 variance from a normal linear regression. Partitioning the variance between
 238 these sources allows the relative amount of unexplained variance of the sample
 to be compared. However, the Weibull based model used here (Eq. 4) does
 240 not include an estimate of the sample variance, σ_y^2 . Partitioning the variance
 between these three components was approximated via a simulation approach
 242 modified from (45).

The procedure is as follows:

- 244 1. Simulate w (50,000) values of η ; $\eta \sim \mathcal{N}(0, \sigma_c)$.
2. For a given value of $\beta^T \mathbf{X}$, calculate σ^{c*} (Eq. 7) for all w simulations,
 246 holding h constant at 0.
3. Calculate v_c , the Weibull variance (Eq. 10) of each element of σ^{c*} with α
 248 drawn from the posterior estimate.
4. Simulate w values of h ; $h \sim \mathcal{N}(0, \sigma_p)$.
- 250 5. For a given value of $\beta^T \mathbf{X}$, calculate σ^{p*} (Eq. 7) for all w simulations,
 holding η constant at 0.
- 252 6. Calculate v_p , the Weibull variance (Eq. 10) of each element of σ^{p*} with α
 drawn from the posterior estimate.
- 254 7. $\sigma_{y*}^2 = \frac{1}{2} \left(\left(\frac{1}{w} \sum_i^w v_{pi} \right) + \left(\frac{1}{w} \sum_j^w v_{cj} \right) \right)$.
8. $\sigma_{c*}^2 = \text{var}(v_c)$ and $\sigma_{p*}^2 = \text{var}(v_p)$.

256 The simulated values of h were drawn from a univariate normal distribution
 because each simulated value is in isolation, so there are is no concern of
 258 phylogenetic autocorrelation. The chosen value for $\beta^T \mathbf{X}$ was a draw from the
 posterior estimate of the intercept. Because input variables were standardized
 260 prior to model fitting, the intercept corresponds to the estimated effect on
 survival of the sample mean.

262 Weibull variance is calculated as

$$\text{var}(x) = \sigma^2 \left(\Gamma \left(1 + \frac{2}{\alpha} \right) - \left(\Gamma \left(1 + \frac{1}{\alpha} \right) \right)^2 \right), \quad (10)$$

where Γ is the gamma function.

264 The variance partitioning coefficients are then calculated, for example, as
 $VPC_{phyl} = \frac{\sigma_{p*}^2}{\sigma_{y*}^2 + \sigma_{c*}^2 + \sigma_{p*}^2}$ and similarly for the other components.

266 I used variance partitioning coefficients (VPC) to estimate of the relative size
 importance of the different variance components (30). Phylogenetic heritability,
 268 h_p^2 (40, 41), is identical to the VPC of the phylogenetic effect. Additionally,
 because phylogenetic effect was estimated using a principally taxonomy based
 270 tree the estimates derived here can be considered minimum estimates of the
 phylogenetic effect.

272 2 Results of posterior predictive checks

With all marginal posterior estimates having converged ($\hat{R} < 1.1$) it is possible be
 274 examine the quality of model fit (Table S1). If the model is an adequate descriptor
 of the observed data, then relatively confident inference can be made (31).

276 Visual examination of the deviance residuals from twelve different sets of
 posterior predictive simulations indicates few systematic problems (Fig. S1).
 278 The only concern is that the residuals are slightly skewed, however this bias
 appears very small. This is confirmed by comparing the K-M estimate of the
 280 empirical survival function to 100 estimated survival functions from posterior
 simulations (Fig. MAIN TEXT).

282 Comparisons of the observed 25th, 50th, 75th quantiles, and mean durations
 to the results from the posterior predictive simulations indicate adequate model
 284 fit (Fig. S2). Because all the different posterior predictive checks seem to agree,
 the inferred model appears adequate at capturing the observed variation.

286 3 Supplementary figures

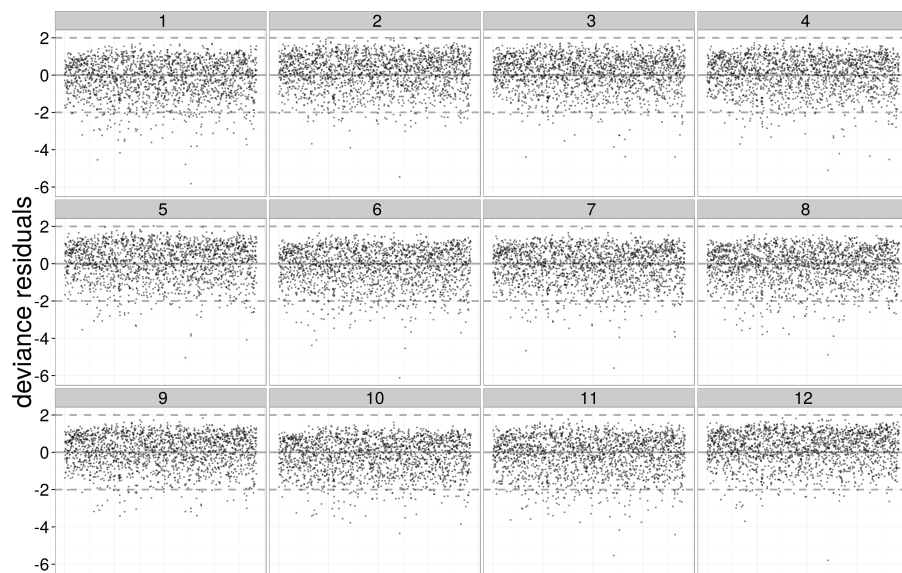


Figure S1: Deviance residuals from the fitted survival model. Each graph depicts the residuals from single draws from the posteriors distributions of all estimated parameters. Positive values indicate an under estimate of the observed duration, while negative values indicate an over estimate of the observed duration. Twelve difference examples are provided here to indicate the lack of individual observation based biases.

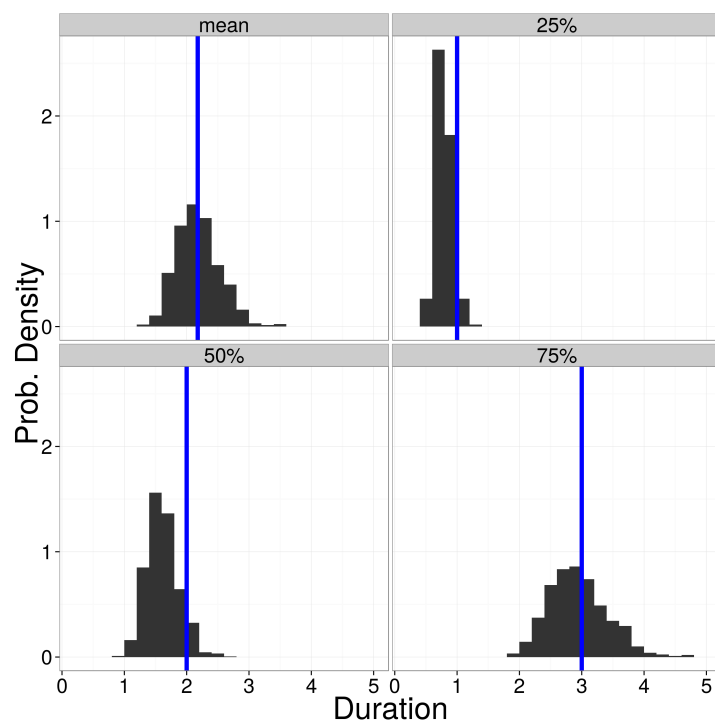


Figure S2: The results of additional posterior predictive checks for four summaries of the observed durations, as labeled. Blue vertical indicate the observed value. None of the observed are significantly different from the posterior predictive distributions.

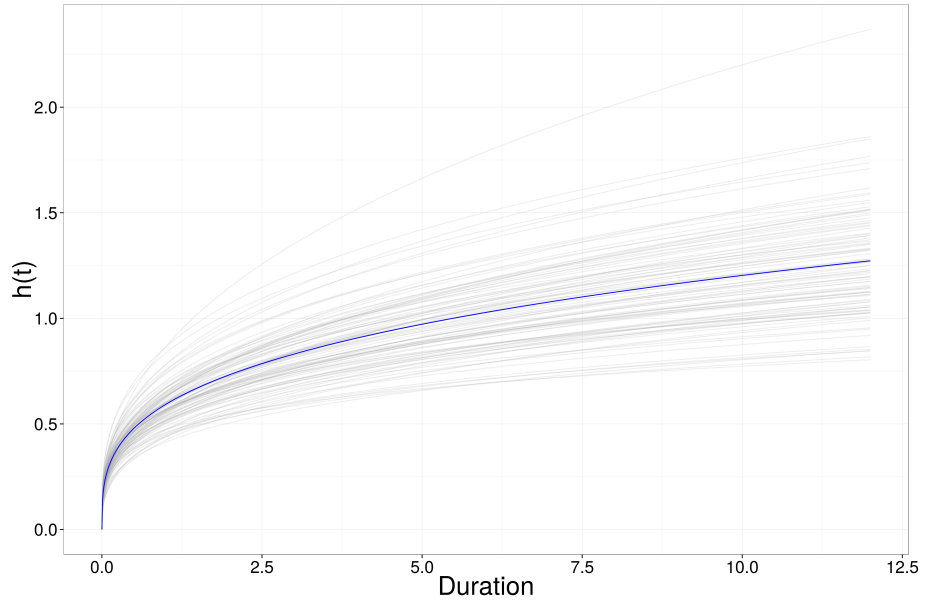


Figure S3: 100 estimates of the hazard function ($h(t)$) for the observed species mean (grey), along with the median estimated hazard function. $h(t)$ is an estimate of the rate at which a species of age t is expected to go extinct. Hazard functions were estimated from random draws from the estimated posterior distributions and evaluated with all covariate information set to 0, which corresponds to the expected duration of the mean species.

4 Supplementary tables

Table S1: Marginal posterior estimates for the parameters of interest based on 1000 posterior samples. The intercept can be interpreted as the estimate for the mean observed species. The other values are the effect of a trait on the expected species duration as expressed as deviation from the mean. The categorical variables are binary index variables where an observation is of that category or not. \hat{R} values of less than 1.1 indicate approximate chain convergence for the posterior samples.

	mean	sd	2.5%	25%	50%	75%	97.5%	\hat{R}
alpha	1.31	0.03	1.24	1.29	1.31	1.33	1.38	1.01
intercept	-0.79	0.15	-1.08	-0.88	-0.79	-0.69	-0.48	1.00
ground dwelling	-0.28	0.10	-0.47	-0.34	-0.27	-0.21	-0.08	1.00
scansorial	-0.22	0.11	-0.43	-0.29	-0.22	-0.14	0.00	1.00
herbivore	0.09	0.09	-0.08	0.03	0.09	0.15	0.27	1.00
insectivore	0.08	0.11	-0.15	0.00	0.08	0.15	0.31	1.00
omnivore	-0.14	0.11	-0.35	-0.21	-0.14	-0.07	0.09	1.00
logit(occupancy)	-0.67	0.08	-0.83	-0.73	-0.67	-0.62	-0.52	1.00
log(size)	-0.07	0.05	-0.17	-0.10	-0.07	-0.04	0.03	1.00
sd cohort	0.36	0.07	0.25	0.32	0.36	0.40	0.51	1.00
sd phylogeny	0.11	0.06	0.03	0.07	0.10	0.14	0.23	1.12

Table S2: Species trait assignments in this study are a coarser version of the information available in the PBDB. Information was coarsened to improve per category sample size and uniformity and followed this table.

This study		PBDB categories
Diet	Carnivore	Carnivore
	Herbivore	Browser, folivore, granivore, grazer, herbivore.
	Insectivore	Insectivore.
	Omnivore	Frugivore, omnivore.
Locomotor	Arboreal	Arboreal.
	Ground dwelling	Fossorial, ground dwelling, semifossorial, saltatorial.
	Scansorial	Scansorial.

Group	Equation	log(Measurement)	Source
General	$\log(m) = 1.827x + 1.81$	lower m1 area	(46)
General	$\log(m) = 2.9677x - 5.6712$	mandible length	(47)
General	$\log(m) = 3.68x - 3.83$	skull length	(48)
Carnivores	$\log(m) = 2.97x + 1.681$	lower m1 length	(49)
Insectivores	$\log(m) = 1.628x + 1.726$	lower m1 area	(50)
Insectivores	$\log(m) = 1.714x + 0.886$	upper M1 area	(50)
Lagomorph	$\log(m) = 2.671x - 2.671$	lower toothrow area	(12)
Lagomorph	$\log(m) = 4.468x - 3.002$	lower m1 length	(12)
Marsupials	$\log(m) = 3.284x + 1.83$	upper M1 length	(51)
Marsupials	$\log(m) = 1.733x + 1.571$	upper M1 area	(51)
Rodentia	$\log(m) = 1.767x + 2.172$	lower m1 area	(46)
Ungulates	$\log(m) = 1.516x + 3.757$	lower m1 area	(52)
Ungulates	$\log(m) = 3.076x + 2.366$	lower m2 length	(52)
Ungulates	$\log(m) = 1.518x + 2.792$	lower m2 area	(52)
Ungulates	$\log(m) = 3.113x - 1.374$	lower toothrow length	(52)

Table S3: CAPTION

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