

## Development of grasslands and savannas in East Africa during the Neogene

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### ABSTRACT

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The development of savanna-type grasslands is a relatively recent phenomena in East Africa. The stable carbon isotopic composition of paleosol carbonates from fossil localities in East Africa show that C<sub>4</sub> vegetation was present by about 8–9 Ma but made up only a relatively small proportion of the total biomass. Although the proportion of C<sub>4</sub> vegetation increased in the Pliocene and Pleistocene there is no evidence for the development of virtually pure C<sub>4</sub> grasslands, as is characterized by tropical grasslands today, until Middle Pleistocene times. This has important implications concerning the evolution of mammals in Africa, including hominids.

### Introduction

The stable carbon isotopic composition of modern soil carbonate and paleosol carbonate is an indicator of the proportion of C<sub>4</sub> photosynthesis in modern and ancient ecosystems (Cerling, 1984; Cerling et al., 1989; Quade et al., 1989a,b). The isotopic composition of C<sub>3</sub> plants, which are predominantly trees, shrubs, and cool season grasses ranges between about –23 to –29‰ (Deines, 1980; Ehleringer, 1988) and averages about –26‰ for pre-industrial (*ca.* pre-1850) conditions (Marino and McElroy, 1991). (The isotopic composition is reported in the permil (‰) notation where  $\delta^{13}\text{C} = \{[(^{13}\text{C}/^{12}\text{C})_{\text{sample}} / (^{13}\text{C}/^{12}\text{C})_{\text{standard}} - 1] \times 1000$  where the standard is the isotopic reference standard PDB. Oxygen isotopic values are calculated in an analogous manner where the standard is PDB for carbonates and

SMOW for water.) C<sub>4</sub> plants are predominantly tropical (warm growing season) grasses and have a  $\delta^{13}\text{C}$  values of about –12‰ (Deines, 1980; Marino and McElroy, 1991). The carbon isotopic composition of modern soil carbonate is enriched relative to soil respired CO<sub>2</sub> by 14–17‰ because of diffusion and isotopic equilibrium fractionation effects (Cerling, 1984, 1991; Cerling et al., 1989). Soil carbonate formed in the presence of a pure C<sub>3</sub> ecosystem has a  $\delta^{13}\text{C}$  value of –10 to –12‰ compared to about +2‰ for soil carbonate formed under a pure C<sub>4</sub> vegetation (Cerling, 1984; Cerling et al., 1989). For *P*(CO<sub>2</sub>) values less than about 700 ppmV, which have been present since at least the middle Miocene, the above relationship is a valid analogy based on theoretical grounds (Cerling, 1991).

The term savanna is a useful one for describing open tropical vegetation, although it encompasses a wide range of vegetation types and has different meanings on different continents (Pratt et al., 1966; Sarmiento, 1984; Cole, 1986). Savannas are tropical ecosystems dominated by grasses and sedges, have strong seasonal development

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related to water stress, and may include woody species that do not form a continuous cover (Sarmiento, 1984). This definition includes the low and intermediate elevation (<ca. 2500 m) grasslands with virtually no tree cover, and wooded (or bushed) grassland with up to 20% tree cover (Pratt et al., 1966). It excludes montane meadows and wetland ecosystems (boglands and swamps), both of which have abundant grasses. It also excludes closed canopy forest or woodland ecosystems. The dwarf shrub grassland of Pratt et al. (1966) is an open environment of the semi-arid regions of East Africa with a significant cover of grasses and is similar in many ways to the bushed grassland of Pratt et al. (1966) in the context of this paper.

Savannas grasses are predominantly C<sub>4</sub> grasses (Cole, 1986). The grasses that dominate East African savannas and semi-arid environments, such as *Andropogon*, *Aristida*, *Cenchrus*, *Chloris*, *Cymbopogon*, *Cynodon*, *Digitaria*, *Eragrostis*, *Eriochloa*, *Loudetia*, *Pennisetum*, *Setaria*, *Sporobolus*, and *Themida* (Vesey-Fitzgerald, 1973), are all C<sub>4</sub> grasses (Smith, 1982). In addition, most of the *Panicum* grasses of tropical Africa are C<sub>4</sub> grasses. C<sub>4</sub> grasses are found in forested settings only where the canopy is broken. C<sub>3</sub> grasses in Africa include montane and meadow grasses at relatively high altitudes (*Poa*, *Festuca*), and some grasses of wet bottomlands at low altitudes (*Phragmites*, *Typha*, *Oryza*); bamboo and primitive members of the Festuceae family, are C<sub>3</sub> grasses which can live in closed canopy tropical forests (Vesey-Fitzgerald, 1973). Virtually all trees and many shrubs use the C<sub>3</sub> photosynthetic path-

way. However, many desert and semi-desert shrubs, including *Aloe*, *Euphorbia*, *Portulaca*, *Sanseveria*, use the C<sub>4</sub> pathway or the CAM pathway (Smith, 1982). CAM plants have carbon isotopic values intermediate between C<sub>3</sub> and C<sub>4</sub> plants.

## Results and discussion

It is possible to use carbon isotopes to study the development of C<sub>4</sub> vegetation in paleoecosystems of East Africa. Savanna grasslands, wooded grasslands, and the dwarf shrub grasslands in East Africa have a significant amount of C<sub>4</sub> vegetation (Fig. 1), predominantly grasses. Modern soil carbonate from East Africa formed in these environments have  $\delta^{13}\text{C}$  values from about  $-3$  to  $+1\text{‰}$  (Table 1) with the more positive values being from grassland soils. Soil carbonates formed under vegetation dominated by C<sub>3</sub> plants have  $\delta^{13}\text{C}$  values from about  $-10$  to  $-12\text{‰}$ . Soil carbonates are well preserved in the geologic record and can be used to reconstruct paleoecology (Quade et al., 1989a; Cerling and Hay, 1986; Cerling et al., 1988). Paleosols from many of the important fossil hominid localities of East Africa span the interval from about 16 Ma to the present and have been analyzed as part of this study. Ages and the stratigraphic context of Olduvai Gorge (Hay, 1976; Cerling and Hay, 1986), Laetoli (Hay, 1987; Curtis and Drake, 1987), the Turkana Basin (Cerling and Brown, 1982; McDougal, 1985; Brown et al., 1985; Brown and Feible, 1986; Cerling et al., 1988; Boshetto, 1988), the Baringo Basin (Hill et al., 1985, 1986),

TABLE 1

Stable carbon and oxygen isotopic composition of modern soil carbonates from savanna environments in East Africa. Standard deviation is for multiple analyses on different soils from the same locality.

Region	Elevation <sup>a</sup>	Vegetation type <sup>b</sup>	$\delta^{13}\text{C}$	$\delta^{18}\text{O}$
Koobi Fora, Kenya	350	dwarf shrub grassland	$-2.7 \pm 0.8$	$3.4 \pm 1.2$
Olduvai, Tanzania	1550	grassland	$0.5 \pm 0.5$	$0.3 \pm 0.5$
Laetoli, Tanzania	1800	wooded grassland	$-3.2 \pm 0.3$	$-1.7 \pm 0.2$
Nguu, Kenya	1050	wooded grassland	$-2.9 \pm 0.5$	$-3.3 \pm 0.2$
Baringo, Kenya	1600	wooded grassland	$-1.3$	$-2.0$
Simbi, Kenya	1800	wooded grassland	$-1.2$	$-2.9$

<sup>a</sup> approximate elevation in meters.

<sup>b</sup> using the classification of Pratt et al. (1966).

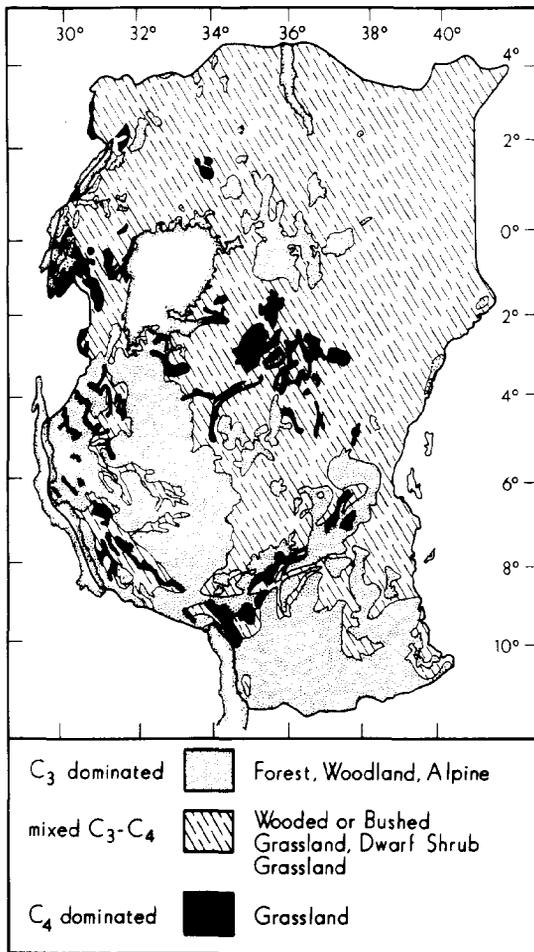


Fig. 1. Location map showing the modern distribution of vegetation types in East Africa. Vegetation distribution modified from Lind and Morrison (1974) and includes the vegetation types: grassland (dominantly  $C_4$ ), desert shrub grassland and wooded grassland (mixed  $C_3/C_4$ ), and forest and woodland (dominantly  $C_3$ ).

Ologesailie (Bye et al., 1987; Deino and Potts, 1990), and Fort Ternan (Shipman et al., 1981; Retallack et al., 1990; Cerling et al., 1991) have been previously described.

Paleosol carbonate in these sections is present as nodules and as rhizoliths in paleosol horizons. Paleosols were recognized by the presence of leached and bioturbated zones, and often showing evidence of clay cutans or development of color differentiation. Organic A-horizons were extremely rare. Leaching of carbonates from the upper parts of the soil often could not be used as a criteria of identification of these paleosols be-

cause of the lack of carbonate in the parent material of many of the paleosols; this was especially true when trachytic ash made up the parent material.

The carbon isotopic composition of carbonate from the paleosols shows an increase in the proportion of  $C_4$  biomass present in the local ecosystem from the middle Miocene to the present (Fig. 2). Paleosols containing pedogenic carbonate older than about 10 Ma are uncommon and are found at Fort Ternan and near Lothidok in the Turkana Basin (Fig. 3). They have  $\delta^{13}C$  values between  $-10$  and  $-13\text{‰}$ , except for one very negative sample (*ca.*  $-15\text{‰}$ ). These middle Miocene samples suggest that the local ecosystems were completely dominated by  $C_3$  plants. The extremely negative values for paleosol carbonates from Fort Ternan are slightly more negative than modern soil carbonates formed under pure  $C_3$  vegetation. Because co-existing paleosol organic carbon is also quite negative in the Fort Ternan paleosols it is likely that the soil formed under closed or nearly closed canopy conditions (Cerling et al., 1991) because under such conditions organic matter become quite depleted in  $^{13}C$  (van der Merwe and Medina, 1989). The Fort Ternan site has been variously interpreted as representing environments ranging from forest to grassland (Shipman et al., 1981; Retallack et al., 1990; Cerling et al., 1991; Kappelman, 1991). This interpretation contrasts sharply with that of Retallack et al. (1990), who interpret the Fort Ternan paleosols to indicate savanna grassland based on paleosol micromorphology.

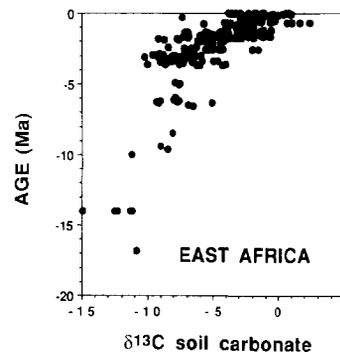


Fig. 2. Stable carbon isotopic composition of paleosol carbonate from East African fossil localities.

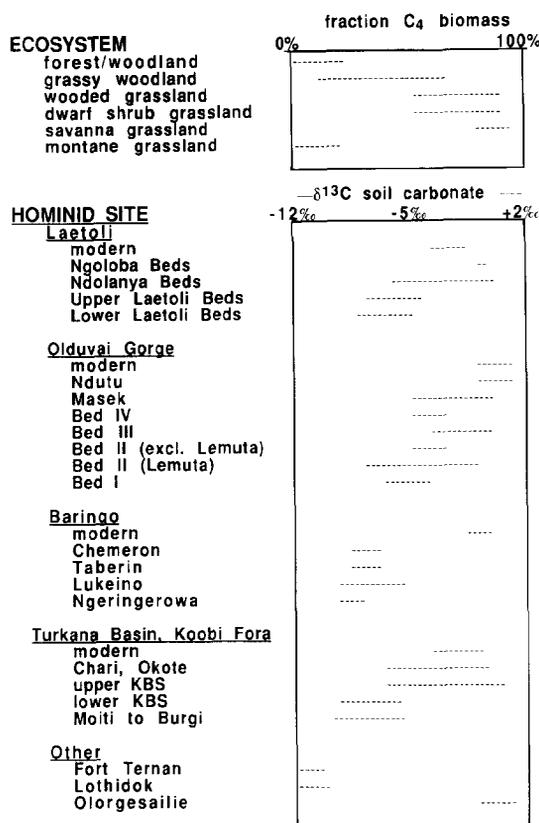


Fig. 3. Estimated C<sub>4</sub> biomass for modern East African ecosystems and fossil localities based on the carbon isotopic composition of paleosol carbonates. Summaries of the data for Olduvai Gorge, Koobi Fora, and Fort Ternan are found in Cerling and Hay (1986), Cerling et al. (1988), and Cerling et al. (1991), respectively. Data from Laetoli and the Baringo Basin, first presented here, are discussed in the text.

The oldest δ<sup>13</sup>C values significantly more positive than -10‰ are from the Baringo Basin, indicating that C<sub>4</sub> plants were present by about 9.4 Ma. From about 9.4 to about 1.8 Ma δ<sup>13</sup>C values for paleosol carbonates range from about -10 to -5‰, indicating that C<sub>4</sub> plants were an important part of the local ecosystem although they made up less than about 50% of the total photosynthesized biomass. This was true in both the Baringo and Turkana Basins, and at Laetoli (Fig. 3). Only one paleosol in the 9.4–1.8 Ma interval has δ<sup>13</sup>C values significantly more positive than this: the striped calcrete from the Upper Ndolanya Beds at Laetoli has δ<sup>13</sup>C of about -1.5‰ indicating a brief approach to a C<sub>4</sub> dominated ecosystem. The presence of C<sub>4</sub> biomass

implies that the local ecosystems were open, but the relatively <sup>13</sup>C depleted carbonates indicate a vegetation more like a grassy woodland or grassy bushland for all of these localities.

At about 1.7 Ma there is a dramatic increase in the abundance of C<sub>4</sub> biomass in both the Turkana Basin and in Olduvai-Laetoli region, indicating C<sub>4</sub> abundances on the order of 60–80%. Although the stratigraphic position and relative ages of the paleosols within each sequence is well known, there are not yet precise correlations between the two sedimentary sequences so that I cannot say with certainty if the increase in C<sub>4</sub> biomass was synchronous in the two regions, which are more than 1000 km apart. However, in both sequences the most <sup>13</sup>C enriched paleosol carbonates older than 1.4 Ma are about 1.7 Ma in age and the abundance of C<sub>4</sub> biomass as indicated by the <sup>13</sup>C content of paleosol carbonates decreased from the peak at 1.7 Ma to slightly lower values between 1.6 and 1.4 Ma.

After 1.4 Ma, the best record of the fraction of C<sub>4</sub> biomass comes from the Olduvai sediments. The Olduvai sequence provides evidence for high C<sub>4</sub> biomass at about 1.2 Ma, at about 0.6 Ma, and from 0.2 Ma to the present. The modern soil carbonates at Laetoli, Olduvai, and in the Turkana and Baringo Basins are the same as, or are more enriched in, <sup>13</sup>C than paleosol carbonates indicating that the modern ecologic setting is as rich, or richer, in C<sub>4</sub> biomass than has been found in the fossil record from these localities (Fig. 3). Prior to about 1.7 Ma ago none of these fossil localities had more than about 50% C<sub>4</sub> biomass present and while they may have been a somewhat open environment, were nothing like the grasslands or wooded grasslands of East Africa today. C<sub>4</sub> plants first became briefly dominant about 1.7 Ma ago and again at about 1.2 Ma, but only in the last 0.6 Ma have they consistently made up more than 50% of the biomass. This indicates that it is likely that the modern C<sub>4</sub> grasslands of East Africa are a relatively recent phenomena. The history of grassland development in East Africa contrasts sharply with that in Pakistan where there is evidence for continuous C<sub>4</sub> grasslands for the last 6 Ma (Quade et al. 1989a).

The oxygen isotopic composition of modern soil carbonate is well correlated with the isotopic composition of local meteoric water (Cerling, 1984), implying that the isotopic composition of soil carbonate is linked to local climatic conditions. In general, the most positive  $\delta^{18}\text{O}$  values for precipitation are from hot and dry regions, while more negative values are associated with cooler and/or moister conditions. The bulk  $\delta^{18}\text{O}$  value for modern atmospheric moisture is about  $-9\text{‰}$  relative to SMOW. Soil moisture is determined by local infiltrating water and therefore it is to be expected that the isotopic composition is well correlated with the isotopic composition of local meteoric water. I believe that it is a mistake to apply the modern  $\delta^{18}\text{O}$  versus local temperature relationship (Gat, 1980; Yurtsever and Gat, 1981) to the past because changes in global temperature and circulation patterns could significantly alter such patterns. However, the general trends for the isotopic composition of meteoric waters in the past were probably similar to those observed today.

The oxygen isotopic composition of paleosol carbonate from East Africa implies that some of the changes in ecology were related to climatic change, but that not all climatic change events resulted in the change in the fraction of  $\text{C}_4$  biomass. When all of the sites are considered together, they show that the most  $^{18}\text{O}$  depleted soil carbonates are found in sediments older than 6.5 Ma (Fig. 4). Unfortunately, I was not able to analyze any paleosols in the interval from 6.5 to about 8.5 Ma which is the interval where an

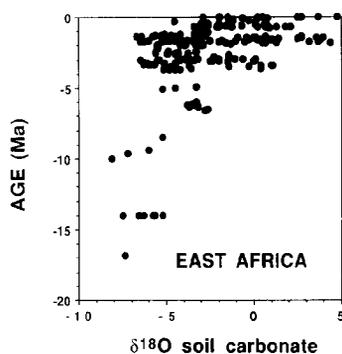


Fig. 4. Stable oxygen isotopic composition of paleosol carbonate from East African fossil localities.

important shift in the  $\delta^{18}\text{O}$  of paleosol carbonates was found in Pakistan (Quade et al., 1989a). It is tempting to speculate that the shift in  $\delta^{18}\text{O}$  in East Africa that occurred between 6.5 and 8.5 Ma was related to the shift observed on the Indian subcontinent at 8.0 Ma. The detailed record of  $\delta^{18}\text{O}$  of paleosol carbonate from the Turkana Basin shows important positive excursions of  $^{18}\text{O}$  at about 3.4 and 3.1 Ma (Cerling et al., 1988) which are not accompanied by shifts in the  $\delta^{13}\text{C}$  value of paleosol carbonate. The  $\delta^{18}\text{O}$  values for paleosol carbonates dramatically increases in the Turkana Basin at about 1.8 Ma, about 0.1 Ma before a dramatic increase in the  $\delta^{13}\text{C}$  values, implying a significant change in the isotopic composition of soil water (and presumably soil moisture) prior to a major change in ecology that took place at about 1.7 Ma as documented by the shift in the  $\delta^{13}\text{C}$  of paleosol carbonate. At Olduvai Gorge, the change in both  $\delta^{18}\text{O}$  and  $\delta^{13}\text{C}$  appear to be synchronous in time at about 1.7 Ma but there are only a few samples of paleosol carbonate in the period from 1.8 to 2.3 Ma.

At Olduvai, Baringo, Laetoli, and in the Turkana Basin, the  $\delta^{18}\text{O}$  for modern soil carbonate is as positive, or more positive than for paleosol carbonates. This implies that the modern conditions for all three localities are probably as hot and dry as has been found in the geologic record.

The paleosol carbon isotopic of vegetation change in East Africa is independent from other methods for estimating paleo-ecologic conditions. However, it confirms the general trends of previous studies although it often differs in detail with respect to the interpretation of individual sites. Based on pollen analysis, Bonnefille (1984) interpreted East African vegetation to have been dominated by closed canopy forest in early Miocene, dry adapted forest and perhaps savanna in the Mid-Miocene, with the development of wooded grasslands and grasslands in the Pliocene and Pleistocene. Van Couvering (1980), using faunal analysis, notes a similar trend. Differences in interpretation are mainly in quantifying the importance of grasses in the local ecosystems. Bonnefille (1984) interprets Olduvai Beds I and II to be wooded grassland, whereas this analysis would

imply that  $C_4$  grasses made up 30–60% of the local biomass which would be more compatible with a grassy woodland or grassy shrubland (except during the Lemuta Member which briefly approached wooded grassland or dwarf shrub grassland conditions). Laetoli has been interpreted to be a wooded grassland similar to modern conditions today at Laetoli (Andrews, 1989); the stable carbon isotope approach would suggest that Laetoli was more wooded than today, which is in agreement with some (but not all) faunal arguments (Andrews, 1989). Fort Ternan has been variously interpreted to be everything between wooded grassland and forest (Shipman et al., 1981; Retallack et al., 1990; Cerling et al. 1991; Kappelman, 1991); the stable isotopic results are compatible with a forest or woodland interpretation. For most of the localities, the differences between these results are generally that the carbon isotopic results tends to favor less  $C_4$  biomass than the other methods and hence less grass, assuming that all grasses are  $C_4$  grasses.

Using the stable carbon isotopic composition of paleosol carbonate for paleoecologic studies differs from other methods of paleoecologic reconstruction. The carbon isotopic record integrates the proportion of carbon fixed annually by the two photosynthetic pathways, and it integrates this proportion over the lifetime of the soil. Furthermore, it distinguishes only between the  $C_3$  photosynthetic pathway and the  $C_4$  photosynthetic pathway.  $C_3$  grasses, which today are found in the forest understory or in cool season growing conditions, are not distinguishable from other  $C_3$  plants such as trees and shrubs.  $C_4$  grasses are well adapted to heat and moisture stress and to low  $P(CO_2)$  conditions (Elheringer, 1991). It is not known if extensive  $C_3$  grasslands could have existed under higher atmospheric  $P(CO_2)$  conditions. However, it is known that atmospheric  $P(CO_2)$  has been similar to that today for the last 20 Ma (Cerling 1991). Therefore it is unlikely that the sites with a low proportion of  $C_4$  biomass could have been long-lived grasslands.

There has been considerable speculation that evolution of African mammals, including hominids, in the Neogene was driven by ecologic

changes, especially the development of grasslands and an open habitat (Vrba, 1985; Hill, 1987; Hill and Ward, 1988). These results suggest that the development of  $C_4$  grasslands, which are so important in the modern East African landscape, was later than has been often supposed.

## Conclusions

The carbon isotopic composition of paleosol carbonates from many of the important hominid localities in East Africa show that there has been a gradual increase in the proportion of biomass using the  $C_4$  photosynthetic pathway over the last 10 Ma. This most likely indicates a replacement of woodland with progressively more  $C_4$  grasses or other  $C_4$  plants, although there is no evidence for a relatively pure  $C_4$  grassland until about 1 Ma. These results suggest that the Serengeti-type grassland may be a relatively recent phenomena in East Africa. Oxygen isotopes in paleosol carbonates also indicate a gradual trend from the Miocene to the modern, and may indicate that the region was getting gradually drier through this time interval.

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