

1 Uplands, lowlands, and climate: Taphonomic megabiases and the apparent rise of a xeromorphic,
2 drought-tolerant flora during the Pennsylvanian-Permian transition

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13 ABSTRACT – The Late Mississippian and Pennsylvanian have been referred to as the Coal Age

14 due to enormous paleotropical peat accumulations (coal beds). Numerous fossil floras have been

15 collected from these coals, and their associated seatearth paleosols and roof shales, over more

16 than two centuries, leading to the inference of vast swampy wetlands covering the Pangean

17 tropics during the Pennsylvanian. In contrast, the Permian tropics are characterized as more arid,

18 with sparser and more heterogeneous vegetation than inferred for the Pennsylvanian. In the

19 tropics, the Pennsylvanian to Permian transition has been described as a changeover from a

20 pteridophyte-dominated “Paleophytic flora”, to a seed-plant dominated “Mesophytic flora”. This

21 view notwithstanding, floras dominated by xeromorphic seed plants also are well known from

22 the Pennsylvanian tropics. Some authors have characterized these plants as being occupants of

23 uplands, , subsequently transported into basinal-lowland, preservational environments. In this

24 model, uplands are well drained, causing areas of drought under otherwise everwet climates. In
25 this paper, we present an alternative interpretation: that the apparent transition in Pennsylvanian-
26 Permian tropical vegetation reflects two types of megabias. First is a taphonomic megabias,
27 strongly favoring the vegetation of humid climates over that of seasonally dry climates.
28 Accordingly, tropical-plant preservational potential fluctuated in concert with Late Paleozoic Ice
29 Age glacial-interglacial oscillations, and contemporaneous sea-level and climatic changes.
30 Second is an analytical megabias, strongly favoring the discovery and collection of the wetland
31 biome from Pennsylvanian strata, overlooking the less frequently and more poorly preserved
32 drought-tolerant biome. By Permian times, vast wetlands, and their fossil record, had largely
33 disappeared from central Pangea (although continuing in Cathaysia), making drought-tolerant
34 vegetation more “visible” to searchers, without changing its preservational circumstances. We
35 demonstrate that the upland model is untenable, being inconsistent with the principles of plant
36 biogeography and with geological aspects of the fossil record.

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38 Key words: wetland; dryland; Paleophytic; Mesophytic; late Paleozoic

39

40 **1. Introduction**

41
42 *Contra negantem principia non est disputandum* (Against one who denies the principles, there
43 can be no debate). -- Arthur Schopenhauer, *Eristische Dialektik* (1831)

44
45 It has long been recognized that the Pennsylvanian wetland flora of Pangea's
46 Euramerican tropical latitudes differed significantly from the drought-tolerant, xeromorphic flora
47 that later typified those tropical regions during the early Permian. This change in the most
48 commonly found types of plant fossils has been attributed, we believe correctly, to a long-term
49 drying trend in the tropics, which began at the end of the Early Pennsylvanian and continued, in
50 a long-wavelength, oscillatory manner, into the Permian (e.g., McKee and Crosby, 1975; Cecil et
51 al., 1985; Joeckel, 1995; Roscher and Schneider, 2006; Schneider et al., 2006; Schneider and
52 Romer, 2010; Rosenau et al., 2013; DiMichele et al. 2011; Opluštil et al., 2013a; Martino, 2017).
53 For many years, there has been a sense that these long-term climatic changes were accompanied
54 by the rise of a distinctive kind of vegetation, the so-called Mesophytic Flora (e.g. Gothan, 1912;
55 Gothan and Gimm, 1930; von Bülow, 1942; Fredericksen, 1972; DiMichele et al., 2008; Cleal
56 and Cascales- Miñana, 2014) that typified the Permian, an emergence that could be used as a
57 biostratigraphic guide. The line of reasoning is that even if the exact Pennsylvanian-Permian
58 boundary were fuzzy in terms of lithological and biotic composition, one could discern the
59 difference between these time periods by the on-average compositional aspects of their floras.
60 This argument can be found in discussions about the age of floras dominated by more
61 xeromorphic elements, such as conifers, callipterids, *Taeniopteris*, and others (e.g., Fredericksen,
62 1972; Bode comments following Gillespie et al., in Barlow, 1975; Wagner and Lyons, 1997;

63 DiMichele et al., 2008; van Hoof et al., 2013), which differ greatly from the wetland floras found
64 in association with coal beds, primarily from partings, roof-shales, seat-earths, and fossils from
65 the coal beds themselves (palynomorphs and coal-balls).

66 Kerp (1996, 2000) and later DiMichele et al. (2008) argued that these terms had
67 significant problems, noting that there was a major conceptual change between their original
68 definitions and subsequent use. In essence, the terms had moved from representing
69 stratigraphically-diagnostic floras to representing distinct biomes. With that shift, although the
70 new concept filled a clear need, it also conflicted with the original sense of the terms, which
71 were now largely incongruent.

72 Before going further in our exploration of this matter, some terms that we use in this
73 paper must be defined. We broadly demarcate the different regions of equatorial (or,
74 interchangeably, tropical) Pangea into its western, central, and eastern parts. The areas
75 envisioned do not have formal, latitudinal boundaries, and are outlined both spatially, and in
76 terms of prevailing aspects of their environment, particularly climate. Western equatorial Pangea
77 is considered to stretch from the Panthalassan coast line, present-day western United States and
78 northern Mexico, into the regions of the western Midcontinent, approximately West Texas, and
79 western portions of Kansas, Nebraska, and Iowa. Central equatorial Pangea encompasses those
80 regions characterized by extensive coal-bearing strata, located in a string of basins from North-
81 Central Texas, eastern parts of Oklahoma, Kansas, Nebraska, and Iowa (the Midcontinent region
82 of the U.S.), through the eastern U.S. (Illinois and Appalachian basins), the Maritime basins of
83 eastern Canada, the Variscan regions of Europe, and into the Donets Basin of the Ukraine.
84 Eastern equatorial Pangea includes regions of the Middle East, southern Russia, and China.

85 We also employ various terms to describe assemblages of plants, both alone and in their
86 environmental context. The terminology is somewhat hierarchical, reflecting the fact that
87 ecological terminology is notoriously non-quantitative, conceptual, and often scaled to the
88 problem being addressed. The term “vegetation” is used in a very general sense, and refers to the
89 plants growing in an area of unspecified size, with possible consideration of their physiognomy,
90 or relative abundances. A “biome” means an assemblage of plants with particular physiognomic
91 characteristics, associated with certain soil and climatic conditions. The term has broad
92 taxonomic implications, mainly at higher taxonomic levels, such as arborescent lycopsids,
93 conifers, tree ferns, or callipterids. By “habitat”, we refer to the physical-environmental, abiotic
94 variables that predominate in an organism’s site of growth. Although not scale-free, the concept
95 of habitat does depend on the size of the organisms in question. There may be a variety of
96 different habitats and microhabitats (differentiated inexactly by spatial scale) within a biome, and
97 they may harbor quantitatively different proportions of species from place to place, and differ
98 compositionally from one another. The concept of “niche” is frequently used side-by-side with
99 habitat, and captures the multidimensional life-history strategy of an organism. Thus, a niche
100 includes biotic interactions and the physical environment in which an organism lives. A “flora”
101 is taxonomically specific, but non-quantitative, and refers to the plant taxa, at the finest
102 resolution possible, for a particular area, or within a biome. A “species pool” refers to the suite of
103 species in a particular geographic area that potentially could colonize any portion of that region,
104 even if the plants might not be able to survive under the particular local conditions at any given
105 moment; in other words, these are the species for which there is no dispersal limitation. A
106 “community” is an assemblage of species living under a common set of physical and climatic
107 conditions, and is characterized quantitatively by a particular dominance-diversity profile. We

108 use “ecosystem” to include both plants and animals in an expanded version of the community
109 concept, recognizing both internal factors such as nutrient cycling, soil chemistry and
110 microbiome, organism interactions, and external factors such as climate. A “landscape” is a
111 dynamic mixture of variably interconnected populations, communities, and/or ecosystems over
112 an unspecified area.

113 In order to understand the spatio-temporal patterns of the equatorial vegetation during the
114 Pennsylvanian and early Permian, it is necessary first to understand the environmental
115 conditions experienced by the Earth’s tropical regions during this time interval. For much of the
116 late Paleozoic, the Earth experienced a millions-of-years long, complex, cool-climate mode that
117 is now termed the Late Paleozoic Ice Age (LPIA), the basic physical attributes of which are well
118 documented (e.g., Fielding et al., 2008; Isbell et al., 2012; Montañez and Poulsen, 2013). This
119 interval was characterized by regular glacial-interglacial fluctuations, superimposed on longer-
120 term variations in ice volume, including times when Earth was nearly ice free. Although the
121 LPIA encompassed a long-term, Pennsylvanian-Permian drying trend, intermediate-term
122 fluctuations, millions of years long (e.g., Roscher and Schneider, 2006; Schneider, 2008;
123 Fielding et al., 2008; Isbell et al., 2012), of more or less ice were superimposed on this trend, in
124 addition to much shorter term glacial-interglacial cycles on the scale of 100,000 to 400,000 years
125 (Heckel et al., 2007; Isbell et al., 2012). These latter, glacial-interglacial oscillations are closely
126 linked to attendant, covariant changes in ice volume, sea-level, and global climate (Heckel, 2008;
127 Cecil et al., 2003a; Tabor and Poulsen, 2008). The combination of paleosol studies (e.g., Joeckel,
128 1995; Driese and Ober, 2005; Rosenau et al. 2013), coal quality analyses (Mastalerz et al., 2004;
129 Neuzil et al., 2005), isotopic examination of plant remains (Montañez et al., 2017; Richey et al.,
130 2018), and sedimentological studies (Martino, 2017; Bashforth et al., 2016a, b; Falcon-Lang et

131 al., 2015) suggests that the environmental fluctuations on glacial-interglacial, and perhaps even
132 shorter time scales may reflect the influence of orbital variations, within the spectrum of
133 Milankovich cycles (Falcon-Lang, 2004a; van den Belt et al., 2015).

134 Thus, the Pennsylvanian Coal-Age tropics did not exist under a uniformly humid, high-
135 rainfall, warm climate (Gastaldo, 1996; Falcon-Lang et al., 2009, 2011a). Rather, climate varied
136 both spatially and temporally in an oscillatory manner (Cecil et al., 2003a). The Euramerican
137 coal basins of Central Pangea, in particular, experienced fluctuations in moisture distribution and
138 abundance, and probably also temperature (Tabor et al., 2013), on time scales of approximately
139 100,000 and 400,000 years (Heckel, 2008; Cecil et al., 2014). These time frames are of much
140 high-frequency (shorter wave-length) than the longer-term decline in average tropical moisture
141 through the Pennsylvanian and into the Permian. In the central regions of the Pangean tropics, it
142 appears that, the longer-term drying pattern was expressed on glacial-interglacial time frames by
143 the wet intervals becoming less wet, and the dry intervals becoming more dry (e.g., Schutter and
144 Heckel, 1985; Joeckel, 1999; Roscher and Schneider, 2006).

145 As more data have emerged, both from western equatorial Pangea and from those strata
146 in coal basins not directly associated with (i.e., between, but not in contact with) the coals, it has
147 become clear that plant biogeographic patterns and environmental events of the time were
148 complex, and that climate was not ever-wet throughout the tropical regions of central Pangea. In
149 brief, it appears that the western regions of Euramerican Pangea were drier, on average, than the
150 central parts of the continent throughout all of the Pennsylvanian, and harbored permanently
151 resident drought-tolerant plant populations (White, 1912; Arnold, 1941; Rothwell and Mapes,
152 1988; Mamay and Mapes, 1992; Tidwell and Ash, 2003; DiMichele et al., 2017; Tabor et al.,
153 2013; Falcon-Lang et al., 2015). Populations of drought-tolerant plants also existed in portions

154 of the Variscan/Appalachian mountain complex, also known as the Central Pangean or the
155 Trans-Pangean Mountains (e.g., Roscher and Schneider, 2006; Peyser and Poulsen, 2008),
156 where, at times, there may have been rain-shadow effects (Broutin et al., 1990; Kerp, 2000; van
157 Hoof et al., 2013). The iconic swampy wetlands that have come to symbolize the Pennsylvanian
158 were primarily located in the central parts of the continent, which today are the Midcontinent
159 through Appalachian regions of North America, the Canadian Maritimes, and much of Europe.
160 These wetlands persisted as periodic, widespread environments in the eastern part of Pangea,
161 present-day China, continuing in the Permian (e.g., Guo, 1990; Hilton and Cleal, 2007;
162 Pfefferkorn and Wang, 2007). However, central Pangea, and later eastern Pangea, experienced
163 strong swings in climate from humid/perhumid to subhumid/semi-arid, on glacial-interglacial-
164 orbital time frames of hundreds of thousands of years (e.g., Cecil et al., 2003a). Consequently,
165 the wetland biome was periodically fragmented and reduced to survival in refugial areas (Falcon-
166 Lang et al. 2009; Looy et al., 2014b). Climate models (e.g., Poulsen et al., 2007; Peyser and
167 Poulsen, 2008; Horton et al., 2012) suggest that there were no permanently widespread wet belts
168 within or peripheral to the equatorial regions, within which large expanses of such vegetation
169 resided permanently, nor did such areas appear during times of spreading aridity to which such
170 vegetation might have dispersed *en masse* (DiMichele et al., 2010; Falcon-Lang and DiMichele,
171 2010; Wilson et al., 2017). Thus, it is possible that the Pennsylvanian tropics were dominated by
172 drought-tolerant plants for longer periods of time than they were dominated by peat-forming and
173 associated wetland vegetation (Falcon-Lang et al., 2009). However, the much lower likelihood of
174 preservation of the drought-tolerant vegetation (Gastaldo and Demko, 2011) leaves us with a
175 strongly biased impression of the Pennsylvanian tropical region.

176 In this paper, we examine various aspects of plant taphonomy in the late Paleozoic
177 tropical region. We argue that the diminished fossil record of wetland vegetation, and the
178 coincident increase in the proportional representation of xeromorphic, drought-tolerant
179 vegetation at the Pennsylvanian-Permian transition does not coincide with the origin of drought-
180 tolerant vegetation. Rather, one or more xeromorphic, drought-tolerant biomes existed long
181 beforehand and covered vast areas of tropical Pangea. during the Pennsylvanian The perceived
182 rise to dominance of drought-tolerant vegetation in the tropics near the Pennsylvanian--Permian
183 boundary reflects a series of taphonomic factors that, in combination, constitute what
184 Behrensmeyer et al. (2000) term a “preservational megabias” and an “analytical megabias”. In
185 undertaking this analysis, we also consider an assertion, which may be unique to the literature
186 involving late Paleozoic paleobotany, that elevation results in drainage, and that drainage causes
187 drought. This assertion clearly assumes, either implicitly or explicitly, an unchanging humid,
188 high-rainfall “tropical” climate; thus the occurrence of xeromorphic floral elements is simply
189 considered to be an indicator of nearby uplands, even of modest elevation (Cridland and Morris,
190 1963; Pfefferkorn, 1980).

191

192 **2. The Late Paleozoic Ice Age**

193

194 The late Paleozoic Era was the last extensive period of polar glaciation experienced by
195 the Earth prior to the late Cenozoic (Gastaldo et al., 1996). The so-called Late Paleozoic Ice Age
196 (LPIA) consisted of several, distinct 10^6 -year periods of more intense glaciation separated by
197 similarly long intervals of warmth (Fielding et al. 2008; Isbell et al., 2012). Arguably, the LPIA
198 began with a short period of glaciation during the latest Devonian (Brezinski et al., 2008, 2010;

199 Isaacson et al., 2008) that may have continued at a variable intensity through the Early
200 Mississippian (Mii et al. 1999; Buggisch et al., 2008; Kammer and Matchen, 2008). A long
201 warm period intervened and was terminated by renewed glaciation, which persisted from the
202 Late Mississippian (e.g., Roscher and Schneider, 2006; Gastaldo et al., 2009a), through the
203 Pennsylvanian (e.g., Falcon-Lang, 2004a; Heckel et al., 2007; Heckel, 2008; Montañez and
204 Cecil, 2013; Cecil et al., 2014), and into the early Permian (e.g., Beerbower, 1961; Miller et al.,
205 1996; Olszewski and Patzkowsky, 2003; Montañez and Poulsen, 2013). As noted above, this
206 long interval witnessed 10^6 -year oscillations in ice volume, and attendant fluctuations of sea-
207 level and climate. Furthermore, superimposed on these fluctuations was a long-term drying trend
208 in the Pangean tropics that extended from the Early Pennsylvanian, perhaps Late Mississippian,
209 into the Permian (Schutter and Heckel, 1985; Roscher and Schneider, 2003; Tabor and Poulsen,
210 2008; DiMichele et al., 2011; Opluštil et al., 2013a). This trend was accompanied by significant
211 changes in the vegetation (Kerp and Fichter, 1985; Šimůnek and Martínek, 2009; Opluštil et al.,
212 2013a; Wagner and Álvarez-Vázquez, 2010), particularly that of the tropical peat-forming
213 wetlands (e.g., Phillips et al., 1974; Pfefferkorn and Thomson, 1982; Phillips and Peppers, 1984;
214 Kosanke and Cecil, 1996; Montañez, 2016).

215 The tropical wetland biome of the Carboniferous is one of the best known and most
216 intensely studied plant assemblages of the Phanerozoic, due to the association of the plant fossils
217 with coal, where, for more than two centuries, they have been exposed by mining operations
218 (DiMichele and Falcon-Lang 2011). Thus, wetland plant fossils, collected mostly in active mines
219 from roof-shales and seat-earths, and sometimes from the coal bed itself, dominate the late
220 Paleozoic paleobotanical collections in many museums in Europe and North America. The plant
221 fossils form the basis of thousands of scientific books and papers, and underpin the conventional

222 viewpoint of the Pennsylvanian terrestrial tropics. Indeed, the image of the Carboniferous world
223 as an omnipresent wet, tropical jungle began with some of the earliest paleobotanical studies in
224 the 1800s. This firmly entrenched perspective of the Coal Age is reflective of the abundance and
225 excellence of preservation of wetland plant fossils, and frequent encounters with them by
226 paleobotanists, made possible by an Industrial Revolution fueled by coal mining.

227 The geologic record of Pennsylvanian strata in the Euramerican regions of tropical
228 Pangea provides an enormous amount of evidence for glacial-interglacial cycles, reflected in
229 regular oscillations of sea-level and climate. These oscillations have a periodicity of roughly
230 100,000 to 400,000 years or less (e.g., Heckel et al., 2007; van den Belt et al., 2015), broadly
231 similar to those seen in the Pleistocene and Holocene world. The oscillations are recorded in
232 parts of the Euramerican tropics by stratigraphic sequences described as “cyclothems” (see
233 Langenheim and Nelson, 1992, for a full history of the concept), particularly from where the
234 landscape was broad and flat over millions of hectares. In the central United States, where the
235 concept originated (Shepard and Wanless, 1935; Wanless and Shepard, 1936), the term
236 cyclothem describes a package of strata that usually contains a marine and a terrestrial phase
237 (Figure 1). The degree to which these phases are developed depends on the regional topography,
238 distance from the contemporaneous shelf edge, and the extent of accommodation space created
239 by a combination of regional tectonism, sea-level dynamics, and sediment compaction (e.g.,
240 Kvale et al., 2004; Opluštil et al., 2013b). In some parts of the Pangean tropics, such cycles are
241 preserved in almost entirely marine successions, with the terrestrial phases represented only by
242 exposure surfaces (e.g., Elrick and Scott, 2010). In other regions, cyclothems consist of mixed
243 marine and terrestrial successions, including the arid parts of western Pangea (the Paradox Basin
244 of Utah; Jordan and Mountney, 2012), and the American Midcontinent and Illinois Basin

245 (Heckel et al., 2007; Heckel, 2008; Falcon-Lang et al. 2018). In regions relatively distant from
246 the continental margin, such as the Appalachian Basin, largely terrestrial successions are
247 characteristic, with only occasional marine beds (Klein and Willard, 1989; Heckel et al., 1998;
248 Greb et al., 2008). In Europe, within what were mountainous regions of Central Pangea, such
249 successions are less well developed, although cyclic sequences have been identified (Gastaldo et
250 al., 2009a, b; Opluštil et al., 2013b; Opluštil and Sýkorová, 2018), recording changes in climate
251 and associated sedimentation patterns.

252 For our purposes, it is important to recognize the nature of Late Mississippian through
253 early Permian changes in the amount and nature of environmental complexity, which had a
254 major effect on the changing vegetational patterns in the paleo-equatorial region. Climatic
255 changes on many different spatio-temporal scales occurred throughout the Pangean tropics,
256 causing repeated changes in physical conditions, frequently over vast areas of thousands of
257 kilometers, and on a variety of time scales. The Pennsylvanian and Permian were not times of
258 environmental quiescence. The Pennsylvanian was not simply “wet”, nor was the Permian “dry”.
259 Rather, during the Pennsylvanian long intervals of nearly aseasonal rainfall, on time scales
260 ranging from roughly 1000 to 10,000 years, regularly transitioned to similarly long or longer
261 intervals of seasonal aridity. As noted above, the balance between these two extremes trended,
262 on average, toward greater aridity in a time-transgressive, west-to-east direction across the
263 Pangean supercontinent (Schutter and Heckel, 1985; Roscher and Schneider, 2006; Cecil et al.
264 2003a). By the Permian, although fluctuations on various time scales still occurred, the balance
265 in Euramerica had shifted to less rainfall overall. Such environmental change was an important
266 driver of ecological changes on the broad scale of the Euramerican tropical landscape.

267

268 3. The preservation of terrestrial organic matter

269

270 In order to interpret the plant fossil record in evolutionary or ecological terms, it is
271 necessary to understand the variables that affect the preservation of plant remains, as organic
272 compressions, impressions, or trace fossils, encompassed by the discipline of taphonomy (see,
273 for summary, Behrensmeyer et al., 2000). The most important observation is that most plant
274 remains have almost no chance of preservation, or of leaving even a trace of their former
275 existence. To be preserved, either as an organic compression, or as an impression from which the
276 organic matter has decayed, plant remains must be buried under conditions that inhibit decay, are
277 unlikely to be disturbed by bioturbation, and, ultimately, are unlikely to be removed by erosion
278 too quickly.

279

280 *3.1 A model for terrestrial organic matter preservation*

281

282 One of the most cogent analyses of the preservational biases affecting the plant fossil
283 record is that of Gastaldo and Demko (2011), as further modified by Looy et al. (2014). The
284 discussion below primarily is drawn from these two sources. Mainly focused on the preservation
285 of organic matter, this model applies to most forms of preservation, and thus can be generalized.
286 We consider there to be three stages of preservation in order for plant remains to become part of
287 the geological record (Figure 2).

288 The first condition is short-term preservation, usually on the time scale of hours to
289 months, but of years in some instances. Organic matter will be destroyed rapidly if not removed
290 from the zone of oxidation, and particularly away from the activities of microorganisms (fungi

291 and bacteria) and detritivorous arthropods. This requirement can be achieved through burial
292 under dysoxic to anoxic conditions, either in oxygen-depleted parts of the water column, or
293 below the vadose zone. Such preservation also may be facilitated by ash falls or other
294 volcanogenic sediments (e.g., Burnham, 1993; Wang et al., 2012; Opluštil et al., 2014), but these
295 instances still must conform with the strictures requiring non-oxidative conditions.

296 The second stage, intermediate-term preservation, entails conditions that remove organic
297 matter from the effects of erosion, or from other destructive effects resulting from changes in
298 landscape hydrological features. Spanning hundreds to thousands of years, this intermediate
299 stage requires the creation of accommodation space. This process can be accomplished by sea-
300 level rise that drowns coastal areas, including the areas that flank rivers/estuaries or lakes,
301 accompanied by the accumulation of siliciclastic or carbonate sediments (e.g. Falcon-Lang and
302 DiMichele, 2010; Cecil et al., 2014; Falcon-Lang et al, 2016; Nelson et al., 2020). Preservation
303 may be further facilitated by the compaction of sediment or peat, which also can create
304 intermediate-term accommodation space (e.g., Kvale and Archer, 1990).

305 The final stage is long-term preservation. This phase relies on the plant-bearing deposit
306 being located in an area that is undergoing subsidence (i.e., in a depositional basin). Thus, there
307 are very few documented examples of anything other than basinal, lowland, often coastal settings
308 preserved in the Paleozoic fossil record. In the younger geological record, there are examples of
309 floras preserved in fully terrestrial, intracontinental basins. In the context of upper Paleozoic
310 deposits, however, there has been ample time for erosion to do its work, and hence inland or
311 high-elevation basins are unlikely to be preserved. Exceptions are noteworthy, and, for the
312 Pennsylvanian and Permian equatorial zone, come primarily from the mountainous regions of
313 Central Pangea (Roscher and Schneider, 2006; Opluštil and Cleal, 2007) where complex

314 tectonics occasionally created conditions that enabled the preservation of vegetation that grew in
315 elevated areas; under most circumstances, the record of vegetation from such settings has little
316 chance of preservation in the long-term geological record. The first, and by far the most
317 common, instance occurs when plant remains are transported to the floor of a narrow valley from
318 the surrounding slopes, and buried there (e.g., Opluštil and Cleal, 2007, p. 237; Stárková et al.,
319 2016; Libertín et al., 2009; Cleal et al., 2017). Very rarely, true upland areas may be buried
320 below the zone of erosion, due to particular tectonic circumstances. Opluštil (2005) provided one
321 such example, from the Czech Republic, where sediments were deposited in a network of
322 relatively narrow valleys that were bounded by ridges up to 200 m high, and incorporated plant
323 remains that originated from the valley walls. More importantly, the intramontane setting was
324 interpreted to have been initially at an elevation of ca. 1000 m within the Variscan mountains.

325 The end result of this series of short-, intermediate-, and long-term preservational events,
326 is a highly biased paleobotanical record, one that favors the preservation of plants that lived
327 under humid climates, near a body of water, and in lowland, actively subsiding basins.

328 Preservation is enhanced if the plant-bearing deposits were proximate to shorelines, either in
329 coastal areas subject to flooding during sea-level rise, in peri-marine areas, or in off-shore
330 brackish to shallow marine coastal waters or lagoons (e.g., the famous Middle Pennsylvanian
331 Mazon Creek biota – Schellenberg, 2002; Clements et al., 2018). If burial occurred in areas that
332 were not proximate to marine conditions, such as in intracratonic basins or basins within
333 mountainous regions, active tectonic subsidence and thick sedimentary accumulations were
334 essential for the preservation of plant fossils.

335

336 3.1.1 A climate modifier

337

338 In those areas of central Pangea with extensive coal deposits, the concept of the
339 Pennsylvanian tropics being ever-wet with a persistent humid-to-perhumid climate (sensu Cecil,
340 2003) has been the default interpretation for most of the history of its study. This presumption is
341 revealed by reading the last 200 years of paleobotanical literature on Pennsylvanian plants,
342 supplemented by peat/coal formation models from much of the last 50 years. However, as
343 recognized nearly a century ago (e.g., Elias 1933; Elias in Moore, 1936), and as a large amount
344 of evidence from physical geology indicates, equatorial coal basins of central and western
345 Pangea alternated between “wet” and “dry” conditions, reflecting climatic fluctuations tied to
346 glacial-interglacial cycles on a scale of 10^4 - 10^5 years. During the drier parts of these cycles, the
347 short-term preservational potential of organic matter was severely curtailed.

348

 Within the context of an ever-wet Pennsylvanian tropics, basinal areas are envisioned as
349 having been perpetually water-saturated lowlands, thus always favorable to the short-term
350 preservation of organic matter. Soil-moisture deficits are considered to be have been induced by
351 elevation. Thus, it is hypothesized that only in upland regions, which are purported to have been
352 much drier due to elevation-induced drainage, was a distinct biome to be found, composed of
353 xeromorphic, drought-tolerant plants. However,, even a cursory examination of modern tropical
354 rainforest areas demonstrates the falsity of this model. Where high, nearly aseasonal rainfall
355 exceeds evapotranspiration for 10-12 months a year, areas of even several hundred meters of
356 elevation harbor much the same species pool as those at lower elevations (e.g., Voromisto et al.,
357 2004; Kenfack et al., 2014); differences in species composition under such conditions are
358 primarily quantitative rather than qualitative. This does not to imply that elevation has no effect
359 on the water table and species composition in tropical rainforest areas, as elevation certainly can

360 play a role (e.g. Rennó et al, 2008), and we do not wish to overstate the case. We assert,
361 however, that wholesale differences in species pools sufficient to distinguish unique biomes are
362 not caused by topographic differences in rainforest landscapes under humid-to-perhumid
363 climates. If there are major species pool changes caused by elevational effects within a tropical
364 region characterized mainly by rainforest, those effects may reflect temperature changes with
365 altitude, slope instability, etc. Biome scale differences thus tend to be caused by significant
366 climatic differences within or between regions, or by climatic changes within a given region over
367 time.

368 The controls on plant preservation, in conformance with the Gastaldo and Demko (2011)
369 and Looy et al., 2014) models, indicate that climatic fluctuations dictated the contents of the
370 species pools that occupied lowland, subsiding basins, rather than local, small scale elevational
371 changes of 10s of meters. Furthermore, even if conditions for intermediate- and long-term
372 preservation were present, the likelihood of short-term preservation was greatly reduced during
373 intervals of seasonal drought, especially where the water table fell below the level of the buried
374 plant remains during the dry season.

375

376 3.1.2 A sedimentology-by-climate modifier

377

378 Comment is warranted about sedimentation in tropical environments, and its relationship to
379 climate. It is obvious that for macroscopic plant remains to be preserved, even in the short term,
380 they must be buried in a sediment catchment. Actualistic studies of various modern sedimentary
381 environments provide insight into the dynamics of such accumulations of plant remains (e.g.,
382 Spicer, 1981; Scheihing and Pfefferkorn, 1984; Gastaldo, 1986b; Spicer and Greer, 1986; Rich,

383 1989; Ricardi-Branco et al., 2009, 2020). Importantly, however, virtually all of these studies
384 were performed in environments where active transport and deposition of siliciclastic sediments
385 was taking place. There are, however, other riverine settings where streams carry little or no
386 sediment. Both kinds of environments have direct relationships to climate.

387 Cecil and Dulong (2003) specifically examined the relationship between sediment
388 transport from terrestrial environments into streams and rivers, and thence into downstream
389 depositional settings. They found (Figure 3A) that sediment transport is greatest under subhumid
390 to semi-arid, seasonal climate regimes, and declines significantly under both humid-to-perhumid
391 and arid climates. In very wet habitats, plant canopy cover and rooting combine to reduce soil
392 erosion. The more dense and closed the canopy, the greater the interception of rain and reduction
393 of its impact on the soil surface (e.g., Brandt, 1988); and the more dense the root, and associated
394 mycorrhizal, network, the greater the coherence of the soil (Gyssels et al., 2005; Baets et al.,
395 2007; Li et al., 2017). Canopy cover and density of rooting are expected to be higher in humid
396 terra firma forests than in seasonally dry forested habitats (e.g., Murphy and Lugo, 1986; Green
397 et al., 2005; Rosado et al., 2011), possibly represented by lower turnover rates of fine roots in the
398 wetter sites (Santantonio and Hermann, 1985). At the other end of the spectrum, there is less
399 fluvial transport of siliciclastic sediment out of arid environments due to greatly attenuated
400 surface runoff. The primary siliciclastic output from these environments is in the form of dust
401 (Cecil et al., 2018) and occasional flash floods.

402 The projections of Cecil and Dulong (2003) were tested directly by Cecil et al. (2003b;
403 see also Harris et al., 2008), who examined sediment discharge in a selection of tropical rivers,
404 and found a strong relationship between the distribution (seasonality) of rainfall and sediment
405 load. A similar relationship was reported by Latrubesse et al. (2005, see particularly their fig.6,

406 reproduced here as Figure 3B), who examined a larger number of rivers than did Cecil et al.
407 (2003b), and found that those in the tropics under largely aseasonal, high-rainfall climates
408 generally carried very low sediment loads, despite often having high discharge volumes. Archer
409 and Kvale (1994) and Nelson et al. (2020) described estuarine settings in which a similar
410 climatic scenario was invoked to explain the development of siliciclastic tidalite deposits
411 associated with coal beds in the Middle Pennsylvanian of the Illinois Basin, and
412 sedimentological studies suggest this to be a general and widespread phenomenon by
413 Pennsylvanian time (e.g., Gibling et al., 2014). An interesting modern analogue is the effect of
414 human activities on the sediment load of rivers. In effect, deforestation and intense agriculture
415 mimic the effects of decreased rainfall by removing tree canopies and rooting, resulting in
416 increased sediment loads (e.g., Bruijnzeel, 2004), whereas the damming of rivers may have
417 effects on sediment load similar to high, aseasonal rainfall. These relationships have been
418 documented for modern deltas (Nienhuis et al., 2020).

419 This piece of the preservation puzzle is important because it suggests that, during the
420 wettest periods, when peat was accumulating in lowland settings (see below), the regional
421 drainage system likely carried a very low sediment load. Not until climate began to shift to
422 greater seasonality, but was still within the wet subhumid to humid range sensu Cecil (2003), did
423 streams begin to carry more sediment. Thus, the environmental conditions under which peat-
424 substrate floras accumulated – those represented by coal balls and coal palynology – likely were
425 different from those under which adpression floras in siliciclastic seat-earth and roof-shale
426 deposits formed, or those that formed offshore of coastal wetlands that developed following
427 intervals of peat accumulation. Hence, the typical roof-shale flora above a coal bed is not
428 entombed in flood-deposited sediments laid down during high-intensity, periodic storms under

429 an otherwise unchanging climate (e.g., Thomas and Cleal, 2015). Rather, most roof-shales record
430 larger scale events that involved a change in environmental conditions toward greater seasonality
431 of rainfall, and thus less favorable conditions for peat accumulation, concomitant with increased
432 sediment transport and rising sea-level in paralic regions (e.g., Kvale et al., 1994; Archer et al.,
433 2016; Elrick et al., 2017a).

434

435 3.1.3 A peat formation-by-climate modifier

436

437 In assessing the environment of Pennsylvanian and Permian landscapes, coal is understood to be
438 the “wet” end member of a wet-dry gradient. Representing a former peat swamp, a coal bed is
439 presumed, for the reasons outlined in the Gastaldo-Demko/Looy et al. model, to indicate the
440 most extreme example of the convergence of short-, intermediate-, and long-term preservational
441 conditions. There remain, however, matters regarding peat accumulation and coal formation that
442 require additional comment, based on observations of modern-day physical settings, or the
443 physical and chemical conditions attending various kinds of environments.

444 We begin with the caveat that when discussing “peat”, we are referring to widespread
445 blanket peats that are low in ash content. As peat compaction and the processes that attend
446 coalification take place, the ash content of the original peat will become magnified and rise
447 proportionally relative to the percentage of fixed carbon (e.g., Shearer and Moore, 1996). If the
448 siliciclastic content of the original peat is too high an organic-rich shale will result, rather than a
449 coal.. For example, the U.S. Geological Survey excludes from its coal resource estimates organic
450 rich rocks with ash weight-% ash content of > 33% (Wood et al., 1983). The objective here,

451 therefore, is to consider those modern environments in which peat of coal-grade quality is
452 accumulating, and in that aspect are analogues for Pennsylvanian and Permian peat swamps.

453 It is often presumed that peat formation is driven by rising sea-level, which causes coastal
454 paludification, and the conversion of large, formerly well drained coastal areas to wetlands (e.g.,
455 Bohacs and Suter, 1997). Modern data indicate, rather, that peat formation is driven by climate,
456 particularly by humid to perhumid conditions (terminology of Cecil, 2003), which, in the tropics,
457 translates to 10-12 months per year during which rainfall exceeds evapotranspiration. Modern
458 peat swamps, whether tropical, temperate, or boreal, are found only under these climatic
459 conditions. In the tropics, some of the best examples of such peats are found in coastal Sumatra
460 (possibly initiated by sea-level damming along river courses, but not by turning the coastal
461 landscapes into vast wetlands) (Takahashi, 2002; Page et al., 2004; Domaine et al., 2010),
462 intermontane Malaysia (where sea-level is not a factor) (Wüst and Bustin, 2001), or the Cuvette
463 Centrale, an elevated inland region of the Congo (again, where sea-level is not a factor) (Dargie
464 et al., 2017). To our knowledge, there are no extensive peat bodies today that appear to have
465 formed as time transgressive belts advancing landward ahead of rising sea-level; there are
466 abundant peaty, clastic-rich deposits forming in many coastal areas around the world, but these
467 are not precursors to coal. Consider, if sea-level rise were the driver of peat formation, given the
468 sustained sea-level increase since the last glaciation, coastal regions of the modern world should
469 be blanketed in thick, low-ash peat, not by the thin organic mucks or banded high and low ash
470 peats that occur only locally today.

471 If further proof is needed of the inefficacy of sea-level rise as the primary driver of peat
472 formation, one also may turn to the geological record. Were rising sea level the cause of peat
473 formation, then coal beds should be found throughout the Pennsylvanian geological record in

474 western Pangea. They are not. Yet numerous episodes of sea-level rise and fall, accompanied by
475 surface exposure, are documented in the western reaches of Pangea (e.g., Goldhammer et al.,
476 1994; Cecil et al., 2003a; Elrick and Scott, 2010; Brand et al., 2012), and elsewhere in the world
477 (e.g. Liu et al., 2017). Furthermore, given that sea-level has risen and fallen throughout
478 geological history, one should expect coal beds to be associated with every event in the
479 geological record recording a transgression of the sea over the land surface. This clearly is not
480 the case.

481 There have been, and still are, widely promulgated and influential, models that place peat
482 accumulation in environments close to areas of active siliciclastic sedimentation, such as in high-
483 constructive deltas, and even lateral to carbonate lakes (e.g., Horne and Ferm, 1978; Valero
484 Garcés et al, 1997; Thomas and Cleal, 2015) (Figure 4). In order for such landscapes to exist, the
485 peat swamp and the carbonate lakes would foremost need to be protected from siliciclastic input.
486 Second, the swamp would need to be forming in an environment with a climate that was equally
487 favorable to the movement and transport of siliciclastics, the accumulation of peat, and the
488 precipitation of carbonate, all in close proximity. And third, the pH distributions across the
489 landscape would need to vary abruptly in order for peat and carbonate to be forming side-by-
490 side. We cannot rule out that two or all three of these conditions could, in fact, sometimes
491 coincide and permit low-ash peat to accumulate on a landscape with nearby significant
492 siliciclastic deposition, and even carbonate lakes. In our opinion, however, such hypothetical
493 environmental situations fail to account for the full range of data from sedimentology,
494 geochemistry, and the known conditions promoting peat accumulation.

495 There also are suggestions that the siliciclastics between any two coal beds represent
496 short-term flood deposits, from which the peat swamp rapidly recovered to recolonize the

497 landscape, with most of the time in a coal-bearing section thus being represented by the coal (e.g.
498 Thomas and Cleal, 2015; Thomas et al., 2019). However, the siliciclastic intervals between coal
499 beds, however, rarely can be characterized as solitary floods, or even sequential floods over a
500 brief time interval. Rather, the siliciclastic successions frequently contain paleosols, including
501 Calcisols and Vertisols that take thousands of years to form, and both siliciclastic and carbonate
502 marine strata, and it is not uncommon for some inter-coal siliciclastic deposits, or parts of them,
503 to evidence strong overprinting by tidal forces (Kvale and Archer, 1990), all of which indicate
504 dramatic environmental changes between one coal bed and the next. Furthermore, the thickness
505 of strata between coal beds is not an indicator of the time encapsulated between those coals.
506 Importantly, the siliciclastic portions of strata separating coal beds are most frequently
507 characterized by numerous hiatuses (including paleosols), which account for the great majority
508 of the time (Miall, 2014; Scott and Stephens, 2015).

509 Siliciclastic and carbonate deposits between coals are potentially very different in their
510 significance than siliciclastic partings within single coal beds. Partings in coal beds may result
511 from a wide variety of processes, from effectively instantaneous volcanic ash deposits (e.g., Greb
512 et al., 1999a; Opluštil et al., 2007; Wang et al., 2012), to hiatuses of relatively short duration
513 (e.g., Gresley, 1894; Fisher, 1925). Some thin layers of clay or siltstone separating two distinct
514 benches of coal, when followed laterally for many kilometers, thicken and become fully
515 developed intervals of siliciclastic, marine, and pedogenically altered strata (e.g., Jacobson,
516 1987, 1993).

517 In summary, it is imperative to consider climate as a variable when interpreting the
518 sedimentological conditions under which peat accumulation and coal formation took place.
519 There are conflicts in the conditions needed for peat to form and persist, for rivers to carry high

520 sediment loads, and for carbonates to form. These incompatibilities may be resolved when
521 climatic conditions favorable to those particular physical and chemical conditions are considered.

522

523 *3.2 Modern environments as models for vegetational distribution*

524

525 Modern tropical environments provide analogues for understanding the past and should
526 be consulted to formulate models for the organization of ancient landscapes, ecosystems, and
527 habitats. However, modern tropical landscapes can be extremely complex, with significant
528 habitat heterogeneity, tracked by vegetation, as indicated for tropical rainforests (e.g., Salovaara
529 et al., 2004, 2005) and rainforest wetlands (Junk et al., 2011). Similarly, tropical dry forest can
530 demonstrate an even greater amount of habitat heterogeneity, with the differences between flats,
531 slopes, and ridge crests accentuated by drainage effects (e.g., Roy and Singh, 1994; Balvanera et
532 al., 2002; Balvanera and Aguirre, 2006; Ferreira-Nunes et al., 2014). We emphasize that these
533 drought-tolerant forests are known from areas of distinctly seasonal climate (Sanchez-Azofeifa,
534 2003; Santos et al., 2011; Dryflor, 2016), not from elevated areas in the midst of rainforests.

535 There are significant differences in the composition, biodiversity, and prevailing life
536 histories between floras of the modern tropical world and those of the late Paleozoic. Despite
537 these differences, however, many of the most basic patterns of plant distribution, and the factors
538 controlling them, would have been the same: soil-moisture levels and changes in those levels
539 throughout the year, temperature, especially the lowest temperature encountered, light regime,
540 and the nature and frequency of disturbance agents, such as wind, floods, fire. All of these
541 factors will be affected to some degree by elevation, slope, and aspect, but the nature of those
542 effects will be strongly controlled by the prevailing climate. Important to our purposes here, the

543 effects of slope and aspect also should have been much the same in the Pennsylvanian and
544 Permian as they are today.

545 A major factor affecting comparisons between the Paleozoic and modern worlds is the
546 difference in biodiversity and the variables that underlie that disparity. The much lower
547 vegetational biodiversity of late Paleozoic may have resulted in sharper demarcations in species-
548 by-environment segregation than in the modern world, leading to clearer boundaries between
549 species pools, and to more obvious mapping of phylogenetic lineages onto habitat and niche
550 spaces. Close mapping between phylogenetic lineages and ecological preferences has been
551 labelled “phylogenetic niche conservatism” in modern ecological studies (e.g., Webb, 2000;
552 Prinzing et al., 2001; Webb et al., 2004; Wiens and Donoghue, 2004; Losos, 2008; Wiens et al.,
553 2010; Crisp and Cook, 2012; Prinzing et al., 2017; Saupe et al., 2018), and also has been
554 examined in the geological record (e.g., DiMichele and Phillips, 1996; Hotton et al., 2001;
555 Holland and Zaffos, 2011; Stigall, 2012; Brett et al., 2016). Pennsylvanian and Permian
556 ecosystems appear to have been composed of significantly fewer plant species than compose
557 modern ecosystems under similar climates and physical conditions; late Paleozoic plant
558 diversities are at least an order of magnitude lower (Cleal et al., 2012; Moore et al., 2014). This
559 lower diversity may reflect the predominant wind pollination and/or dispersal of the vast
560 majority of species, permitting large, interconnected populations to exist, even where habitat
561 space was fragmented (DiMichele, 2014, and citations therein). As a consequence, one might
562 expect to find less variation in community-level composition across space because there were
563 fewer possible component combinations. In effect, within any one Paleozoic species pool there
564 were fewer species to divide up the resources than one would find in a modern ecosystem. One
565 prediction, therefore, is that the niche-breadth of late Paleozoic plants would have been greater

566 than that of plants in similar environments today. Alternatively, there may have been significant
567 types of physical conditions that Paleozoic plants did not, or could not, occupy, including many
568 in lowland, humid climate, basinal areas, where Paleozoic diversity is best documented and is
569 strikingly lower than in similar modern settings. However, to our knowledge, no evidence
570 supports this latter, alternative, hypothesis. Finally, the great extent of coastal areas occupied by
571 lowland wetland habitats immediately prior to and during periods of peat accumulation in many
572 parts of Euramerican Pangea may have no parallel in the modern world. If these were
573 environments of considerable physical uniformity, they may have presented strong selective
574 barriers to evolutionary innovation by virtue of the power of large-population incumbency
575 effects (Knoll, 1985). Furthermore, distinctive microhabitats surrounding the basin margins (e.g.,
576 Leary, 1975; Leary and Pfefferkorn, 1977; Opluštil and Cleal, 2007; Stárková et al., 2016),
577 harboring a larger species pool than that typical of basin centers, even under the same basic
578 climatic background, have a comparatively low likelihood of survival into the geological record
579 due to the effects of erosion.

580 Perhaps the most important observation to be made in the context of this article is that
581 elevation, in and of itself, does not cause drought. Indeed surface runoff may be greater on steep
582 slopes than in flatter terrain, and there will be downhill movement of water both across the
583 surface and through the soil. However, as studies of tropical rivers show, high rainfall areas with
584 low seasonality, and seasonally equable distributions of rainfall (humid to perhumid climates),
585 typically have very low sediment loads, a reflection of the intense rooting and closed canopies
586 that limit soil surface disturbance, sediment entrainment, and sediment runoff (Bruijnzeel, 2004).
587 Elevation, by itself, does not guarantee low soil moisture, high levels of erosion, or sparse,
588 drought-stricken vegetation (e.g., Figure 5). Furthermore, as indicated unequivocally by blanket-

589 peat distribution in temperate regions (e.g., Gorham, 1957; Bragg and Tallis, 2001; Evans and
590 Warburton, 2011), or, similarly, by high elevation inland-upland peat accumulations in the
591 modern tropics (Amazon – Lahteenoja et al., 2013; Malaysia – Wust and Bustin, 2001; Africa –
592 Dargie et al., 2017), uplands are not necessarily, and certainly not obligately, dry. Rather,
593 elevated areas are subject to periodic drought if the prevailing climate is seasonally dry, but they
594 may experience little or no drought if the regional climate is aseasonally humid. As a case in
595 point, the largest peatland on earth is found in the Cuvette Central of the Congo, in an interior,
596 upland region (Dargie et al., 2017).

597 Consider also areas at temperate latitudes where there is considerable elevational change
598 but little change in the species pool – climate is, once again, the controlling variable. For
599 example, Figure 6 A-D illustrates both true upland and coastal lowland vegetation clothed in
600 Eastern Deciduous Forest at various localities in east-central USA. These images show the
601 remains of drought-tolerant species potentially being incorporated in shore-line sediments at
602 present-day sea-level (Figure 6 A-B), under a subhumid, seasonal climate. Neither these plants,
603 nor the other drought tolerant plants growing nearby, can be characterized as upland species. The
604 coastal lowland region of the Chesapeake Bay (Figure 6C) affords a much greater opportunity
605 for organic matter preservation than the upland region of the Central Appalachians in western
606 Virginia (Figure 6D). Figure 6E illustrates a wetland at Caddo Lake, Texas, where the area
607 immediately beyond the lake is dominated by drought-tolerant vegetation, thereby demonstrating
608 how wetland vegetation can exist within a landscape dominated by seasonally dry plants. Note
609 that, at 50 m surface elevation, this wetland has high short-term preservation potential, but,
610 without significant sea-level rise or tectonically driven subsidence, likely poor prospects for
611 intermediate or long-term preservation.

612 In many areas of the world today, where there is elevational change, such as in
613 mountainous regions, there also is a broadly positive correlation between elevation and rainfall.
614 Orographic cooling of moist air masses may result in increasing rainfall, and decreased drought,
615 at intermediate to higher elevations. Thus, under many circumstances, uplands will receive
616 greater volumes of rainfall than do lower elevation sites (e.g., Dhar and Rakhecha, 1981; Garcia-
617 Martino et al., 1996), or greater moisture through fog and clouds, leading to the development of
618 cloud forests (Bruijnzeel et al., 2011). We note that the relationship between these factors can be
619 non-linear, and can vary in complex ways, both within mountainous terrain (e.g., Fleming, 1986;
620 Chavez and Takahashi, 2017), and over broad continental regions.

621 Given the complexity and difficulties of making measurements and modeling rainfall in
622 the present-day world (e.g., Goovaerts, 2000), however, when studying the Paleozoic, it is
623 prudent to focus on the most general conclusions, and to allow for exceptions, but not to make
624 the exceptions the rule. Perhaps the simplest generality is that regional climate is the most
625 important variable controlling plant distribution. Under a given climate regime, whatever it may
626 be, uplands may be subject to greater moisture stress than regionally nearby lowlands due to
627 drainage, but also may receive the same or perhaps even greater moisture than the adjacent lower
628 elevation sites. This generalization implies that, if the prevailing regional climate were humid to
629 perhumid, the upland soils would probably also have high levels of soil moisture, including
630 sufficient moisture to support upland swamps and lakes. In contrast, under sub-humid to semi-
631 arid climates, the same uplands, depending on elevation, airflow patterns, nearby moisture
632 sources, etc., may be far more heterogeneous compared to lower elevation sites, including the
633 possibility of receiving more rainfall than the seasonally dry lowland regions. Thus, as

634 seasonality increases into the realm of subhumid to semi-arid, the habitat heterogeneity of the
635 landscape also may be expected to increase.

636 The literature on modern vegetation and its relationship to climate and habitat factors is
637 enormous. In addition, we do not wish to oversimplify the matter – landscape slope and aspect,
638 elevational change, winds, soil types, etc., have a great effect on vegetation in local areas.

639 However, we are considering here whether or not elevational change of < 10 to a few hundred
640 meters, under a regionally humid to perhumid climate, should be expected to yield completely
641 different biomes that have few or no species in common.

642 As an example, consider the Kenfack et al. (2014) study of a Cameroonian rain forest,
643 whichh has a climate at the borderline between wet sub-humid and humid in the categorization
644 of Cecil (2003). A single species pool characterizes the 50 ha study area, within which there is
645 nearly 100 m of elevational variation. The elevation of the study area varies from 150 to 240 m.
646 More than 60% of the species have distributional centroids related to elevation, but of 489 tree
647 species, 101 (21%) have no significant habitat preference, and only 171 (35%) were more dense
648 in one of the five identified habitats than expected at random. For our purposes here, the key
649 findings of the Kenfack et al. (2014) study are that the species pool was the same throughout the
650 elevationally variable study area, and, although there were species differences associated with
651 habitat, those differences could not be explained by better performance of the specialists under
652 their “home” habitat conditions. This finding suggests that episodic droughts (caused by rainfall
653 deficits, not by drainage per se) in this wet sub-humid environment may exert control over long-
654 term patterns of plant distribution.

655

656 **4. Sampling megabias of the Pennsylvanian plant fossil record**

657
658 The Euramerican plant-fossil record of the Pennsylvanian Subperiod, as is clear from
659 examination of more than 200 years of scientific literature, is overwhelmingly typified by plants
660 from environments with persistently high levels of soil moisture, especially from swamps and
661 other types of wetlands. This is particularly the case in areas where coal mining exposed great
662 quantities of easily accessible rock strata for collecting plant fossils, particularly in mainland
663 Europe, Great Britain, the Canadian Maritimes, and the eastern half of the United States. For the
664 most part, the fossiliferous strata occur immediately above or below a coal bed.

665 Floras typical of seasonally dry habitats, however, also are present in what were the
666 Pangean tropics. Although much less common than wetland floras, such drought-tolerant plants
667 actually are not all that rare in coal basins. Rather, these fossils tend to be found only in natural
668 outcrops, or in strata poorly exposed in surface coal mines, or not exposed at all in underground
669 mines. Such floras, though uncommon, are the most frequently encountered in the
670 Pennsylvanian and Permian strata of western Pangea, where there is little or no coal, and where
671 the fossiliferous beds are mainly exposed on natural outcrops, road cuts, and, occasionally, in
672 stone quarries.

673

674 *4.1 Why are wetland floras so common?*

675

676 The abundance of wetland floras stems, in part, from the fortuitous combination of the
677 conditions best suited for the preservation of organic matter, as detailed by Gastaldo and Demko
678 (2011) and Looy et al. (2014a), and summarized above. In the tropics, humid climatic conditions
679 (sensu Cecil, 2003), in which rainfall exceeds evapotranspiration for 9-11 months of the year

680 contribute not only to high soil moisture, but to the development of standing bodies of water in
681 both coastal regions and floodplains, thus providing sites for short-term preservation. With only
682 rare exceptions, virtually all floras collected from Pennsylvanian equatorial environments are
683 from former depositional basins. Furthermore, in the absence of concrete sedimentological and
684 structural evidence to suggest long-distance transport, it is most probable that the great majority
685 of the plants actually lived in the basinal regions where they are found (DiMichele et al., 2010),
686 thus increasing their likelihood of long-term preservation. In addition, and importantly, a great
687 number of those basins were coastal, and thus subject to periodic marine inundation, or, if
688 intramontane, were in settings subject to periodic influx of high sediment volumes during
689 intervals of seasonal climate, when sediment mobility was greatest (see Cecil and Dulong, 2003).
690 These situations provide conditions that enhance intermediate-term preservation. As a result,
691 there is what Behrensmeyer et al. (2000) called an original “taphonomic megabias” favoring the
692 proportional preservation of wetland plants above all others. We use the term “proportional”
693 because we do not wish to imply that plants of seasonally dry landscapes cannot also grow in
694 basinal lowlands, and also be preserved due to fortuitous combinations of taphonomic variables.
695 Rather, we wish to imply that, from the perspective of likelihood, the preservation of wetland
696 plant assemblages from certain geographic and tectonic settings is going to predominate in the
697 plant fossil record, reflecting favorable original conditions for the burial and preservation of
698 organic matter.

699 Also contributing to an over-representation of wetlands in our vision of Pennsylvanian
700 landscapes is what Behrensmeyer et al. (2000) referred to as an “analytical megabias”, a
701 taphonomic factor that originates with the scientific procedures used, rather than necessarily
702 resulting from original preservational conditions. For the Pennsylvanian, this megabias could be

703 described as “seeing the world through coal-colored glasses” (Figure 7). In underground mining,
704 the only fossiliferous beds typically seen are those immediately adjacent to the coal bed being
705 extracted, or from mineral partings in the coal bed itself. Typically, accumulations of aerial plant
706 remains in coal seat-earths represent early stages of swamp development (e.g., Gastaldo, 1986a;
707 Stull et al., 2012), prior to the onset of peat formation. In contrast, roof-shales may form in a
708 variety of ways (Gastaldo et al., 1995), but mostly preserve the final vegetation of the peat-
709 swamp, or that of the mineral-soil swamps and wetlands that developed immediately after peat
710 accumulation ceased. In some cases, these plants, which grew late in the wetter phase of a
711 glacial-interglacial cycle, during coastal flooding, may have been transported from the fringing
712 coastal plain and preserved in nearshore marine environments, where they then were preserved.
713 One of the best examples of this process is represented by the well known Mazon Creek flora
714 from the Francis Creek Shale, one of several roof-shale facies of the Colchester (No. 2) Coal bed
715 of the Illinois Basin (Baird et al., 1985).

716 Surface mining also offers access to strata between coals, deposits that are not genetically
717 associated with peat accumulation in swamps, or in the immediately preceding or following
718 wetlands (e.g., Winston, 1983; Carpenter et al., 2011; Bashforth et al., 2016b; DiMichele et al.,
719 2016). However, in surface mines, the plant-bearing strata between coal beds are rarely searched
720 for, or their environmental context is lost when such fossils are collected from mine spoils.
721 Thus, as a consequence of what might be called a “coal-mine perspective”, the image of the
722 Pennsylvanian repeatedly presented in most illustrations and museum dioramas is that of vast
723 wetlands, under an everwet climate (Figure 8A, B), a perspective derived from the fact that most
724 fossils have been extracted from deposits formed during the wettest parts of glacial-interglacial
725 cycles.

726

727 4.2 Where are floras of seasonally dry habitats found?

728

729 Within the coal fields of Europe and North America, there are deposits containing floras
730 that are compositionally distinct from those found in or immediately above or below coals. The
731 discovery of these plant fossils often is fortuitous, and occurs in surface coal mines, quarries, and
732 other natural or artificial exposures. In these situations, plant remains tend to be found first by
733 geologists carrying out mineral surveys, or doing stratigraphic studies or bedrock mapping.
734 Some recent examples of these floras include discoveries in surface coal mines (McComas,
735 1988; Falcon-Lang et al., 2009; Carpenter et al., 2011; Bashforth et al., 2016b), in sinkholes in
736 limestone quarries (Leary, 1975; Plotnick et al., 2009), from a gas-pipeline excavation (Martino,
737 2017), and from natural exposures (Leary and Pfefferkorn, 1977; Falcon-Lang et al., 2011a;
738 Bashforth et al., 2014; Šimůnek, 2018, see description of *Cordaites olneyensis* from among
739 several others). The elements of these floras include a variety of xeromorphic plants, typically
740 associated with habitats that experienced periodic moisture stress (Figure 8C). Most noteworthy
741 of these are conifers, cordaitaleans (an ecologically highly diverse group with members living in
742 a variety of habitats, stretching from swamps to uplands), taeniopterids, certain
743 noeggerathialeans (especially in western Pangea), and presumed seed-plants, such as *Lesleya* and
744 *Megalopteris*. Various mesomorphic forms also characterize these floras, some of which also
745 occur in more typical wetland assemblages, including certain odontopterids, mixoneurids,
746 neuroodontopterids, and, in some instances, callipterids. The composition of these floras varies
747 with time and location. Furthermore, the floras frequently are what can be described as being
748 “mixed”, meaning that they also contain wetland components to varying degrees, particularly

749 marattialean tree ferns and calamitalean sphenopsids, but also commonly certain medullosan
750 pteridosperms. In our experience with late Middle and Late Pennsylvanian floras of the USA,
751 *Macroneuropteris scheuchzeri* and *Neuropteris ovata* are the most common of these
752 medullosans, both of which probably represent species complexes rather than single taxa. In the
753 Late Pennsylvanian and early Permian, odontopterids, mixoneurids, *Neurodontopteris*, and
754 *Reticulopteris* also become regularly encountered pteridosperm components of mixed
755 assemblages.

756

757 4.2.1 Drought-tolerant floras in western Pangea

758

759 The western portions of tropical Pangea, in the present-day western USA, were, on-average,
760 drier throughout the entire Pennsylvanian and Permian, meaning more seasonally dry and subject
761 to lower overall annual precipitation, than central regions of the supercontinent. This
762 observation is documented by the study of paleosols, by the presence of sedimentary
763 environments typical of arid climates, by models of atmospheric circulation and rainfall patterns
764 (McKee, 1975; Cecil et al., 2003a; Tabor and Montañez, 2002; Tabor and Poulsen, 2008), and by
765 the paleobotanical composition of Pennsylvanian and Permian floras. Paleosols in western
766 Pangea, for example, typically are Vertisols that frequently are calcic, even trending to calcretes
767 (e.g., Goldhammer and Elmore, 1984; Joeckel, 1989, 1991, 1994; Cecil et al., 2003a; Feldman et
768 al., 2005; Tabor et al., 2008; Goldberg and Miller, 2019; Tanner and Lucas, 2019). In the far
769 western regions, such as present day New Mexico, Arizona and Utah, even where plant fossils
770 characteristic of wetland environments have been found (e.g., Tidwell, 1967; Tidwell et al.,
771 1992; Lucas et al., 2009), the fossil assemblages are not associated with coal beds, indicating that

772 rainfall was sufficiently seasonal to preclude peat formation (Cecil, 2003). Furthermore,
773 sedimentary settings in western Pangea include, as climate end members, evaporites and eolian
774 deposits (e.g., Soreghan, 1992; Soreghan et al., 2002; Cecil et al., 2003a; Scott, 2005; Falcon-
775 Lang et al., 2011a; Jordan and Mountney, 2012), which were contemporaneous with peat
776 swamps, swampy wetlands, and seasonally wet habitats farther east in central Pangea.

777 Mixed floras containing, enriched in, or dominated by xeromorphic plants are the
778 prevalent Pennsylvanian assemblages encountered in western Pangea. Early Pennsylvanian age
779 floras from Colorado, Utah, Arizona, and Oregon (Read, 1934; Mamay and Read, 1956; Tidwell,
780 1967; Jennings, 1980; Tidwell et al., 1992; Tidwell and Ash, 2003) are not associated with coal
781 beds; some even come from red-bed deposits. These Early Pennsylvanian assemblages are
782 composed predominantly of wetland-species, which conforms to the inference of McKee (1975)
783 that the tropics of the Early Pennsylvanian (his “Interval A”) experienced widespread humidity,
784 including in the western regions of the Pangean continent. However, several of these floras also
785 contain unusual elements that are not typical of floras found in association with coal beds, such
786 as the noeggerathialean *Charliea*, the coniferophyte *Dicranophyllum*, ginkgophyte-like plants,
787 and rare sphenopsids, such as *Phyllothea*. These outlier taxa indicate close proximity of
788 periodically moisture-stressed habitats to those with more stable water tables, although not wet
789 enough for peat accumulation. These mixed assemblages occur because the existence of climatic
790 seasonality creates enough habitat heterogeneity to permit drought-tolerant plants in areas of
791 periodic moisture stress to live side-by-side with areas of persistently high soil moisture. Given
792 the great distances between these Early Pennsylvanian deposits in western Pangea, and from
793 what is known of the tectonic regime of the region during this time, there is little reason to
794 believe that the Early Pennsylvanian drought-tolerant elements were transported from uplands.

795 Physical evidence indicates that the overall climate was more seasonal in the west than in more
796 central regions of the supercontinent, creating general conditions of periodic moisture stress,
797 within which patchy areas of higher soil moisture existed, a not-uncommon condition in many
798 parts of the world today, including coastal regions of basins, which cannot be characterized as
799 uplands.

800 From the Middle Pennsylvanian into the early Permian, the predominant kinds of floras
801 found in western Pangea were a mixture of wetland taxa and those tolerant of seasonal drought,
802 with the latter often dominant. An extreme example is represented by in situ tree stumps of a
803 conifer-dominated flora from an early Late Pennsylvanian (Missourian) arid coastal habitat in
804 New Mexico (Figure 9), hence clearly not an upland (Falcon-Lang et al., 2016). Several similar
805 floras have been described (e.g., Sellards, 1908; Elias in Moore, 1936; Cridland and Morris,
806 1963; Rothwell and Mapes; 1988; Tidwell, 1988; Mamay and Mapes, 1992; Falcon-Lang et al.,
807 2015; DiMichele et al., 2017, 2019). These floras, in addition to many others, indicate that
808 populations of drought-tolerant plants were apparently permanently resident in the western
809 portions of Pangea throughout the Pennsylvanian. They are found intermixed with wetland
810 plants because it is possible, as noted above, to have wetland areas within a region subject to a
811 sub-humid, seasonal climate. In contrast, it is improbable that large, persistent populations of
812 drought-tolerant plants would be found in regions of widespread, persistent humid to perhumid
813 climatic conditions.

814 Several of these western Pangean floras have caused considerable stratigraphic confusion
815 because the xeromorphic elements were considered to be indicative of a Permian age. The most
816 notable example may be that from Garnett, Kansas (Figure 10), found in the Rock Lake Shale, of
817 Late Pennsylvanian (Missourian/Kasimovian) age (Elias in Moore et al., 1936; Cridland and

818 Morris, 1963; Winston, 1983). This flora is found in a channel fill, demonstrably in lateral facies
819 association with a calcic Vertisol (Joeckel, 1989; Feldman et al., 2005), and in no way represents
820 an upland. Although embedded within the Pennsylvanian coal measures of Kansas, and with the
821 age of the enclosing strata determined independently of the plants, disagreements about the age
822 continued into the 1970s (see comments on the paper of Remy, 1975, p. 345-352). Such
823 confusion also can be found elsewhere. For example, consider the assessment of an Appalachian
824 Basin flora from the Middle-Late Pennsylvanian boundary, in the midst of the Appalachian coal
825 measures, deemed latest Pennsylvanian or even Permian in age (Wagner and Lyons, 1997) based
826 on its fossil flora. This interpretation prompted the assertion of a 6-million-year gap in the fossil
827 record, for which there is no geological evidence and conflicting, independent marine
828 biostratigraphic evidence (see commentary by Falcon-Lang et al., 2011b).

829

830 4.2.2 Drought-tolerant floras within the coal measures

831

832 The spatio-temporal relationships of wetland and drought-tolerant species pools in the central
833 Pangean coal basins are different from those in western Pangea. The central regions of the
834 supercontinent periodically hosted widespread swamps in which thick, low-ash peat
835 accumulated, the precursor of economic coal. Such accumulations, as we have discussed above,
836 are direct indications of humid-to-perhumid climates (sensu Cecil, 2003), those in which rainfall
837 exceeds evapotranspiration for 10 or more months of the year, conditions necessary for peat to
838 accumulate and persist in a relatively warm, frost-free, tropical environment. We restate that the
839 distribution of rainfall, relative to evapotranspiration, is more important than mean annual
840 rainfall, not only for peat to accumulate, but for it to resist complete destruction by oxidation, or

841 consumption by micro- and macro-organisms. Immediately before, and immediately after,
842 intervals of peat accumulation, the tropical lowland regions also appear to have been occupied by
843 a wetland biome composed of the well known species pool, based on allochthonous floras from
844 nearshore settings (e.g., Mazon Creek; Wittry, 2006), and primarily parautochthonous remains
845 from floodplains (e.g., Scott, 1977, 1979) and swamps (e.g., Gastaldo, 1987).

846 During the intervals of humid climate, the species pool that constituted the drought-
847 tolerant biome was mostly absent from the vast area of the central Pangean tropical lowlands.
848 Where elements of the biome did exist in these regions, some evidence suggests survival in areas
849 of rain shadow (e.g., van Hoof et al., 2013). In other instances, assemblages asserted to be
850 preserved in or proximate to uplands (e.g., Lyons and Darrah, 1989; Falcon-Lang, 2004b, 2006;
851 Falcon-Lang and Bashforth, 2004, 2005) merit reevaluation in the light of more recent finds (e.g.
852 Martino, 2017), which suggest a climatic cause and actual occurrence in a lowland basin.

853 Within the humid parts of glacial-interglacial cycles, both peat and clastic substrates in
854 the lowlands supported plants with growth habits and anatomical structures indicating
855 physiological requirements for nearly unflaggingly high soil-moisture levels (Cichan, 1986;
856 Wilson, 2013; Wilson et al., 2017). These plant fossils represent the classic Pennsylvanian Coal
857 Age vegetation (Figure 8A, B), which was characterized by a diversity of arborescent vegetation;
858 the modern relatives of these plants, where there are any, generally are small and of limited
859 ecological importance, particularly true of the pteridophyte groups. The pteridophytes included
860 the gigantic lepidodendroid and sigillarian lycopsids, woody calamitalean sphenopsids, and
861 marattialean tree ferns. The arborescent seed-producing plants included the medullosan
862 pteridosperms (seed ferns), which have no close modern descendent groups, and certain sub-
863 lineages of the cordaitaleans, a coniferophytic group with broad leaves and loosely organized

864 strobili. The cordaitaleans have been a point of confusion that only recently appears to have been
865 clarified, with many arguing that they were indicators of “uplands” (e.g., Chaloner, 1958). In
866 fact, these plants might be called “the oaks of the Paleozoic”, in that various species occurred in
867 nearly every kind of environment, from lowland peat swamps and wetlands (e.g., Cridland, 1964;
868 Rothwell and Warner, 1984; Costanza, 1985; Falcon-Lang, 2005; Hilton et al., 2009; Šimůnek et
869 al., 2009; Raymond et al., 2010), in which they displayed a variety of growth habits, to
870 seasonally dry areas, sometimes, but not necessarily, in inferred uplands (Figure 8C), where
871 large, woody trees predominated (e.g., Falcon-Lang and Bashforth, 2004, 2005; Falcon-Lang,
872 2006; Gibling et al., 2010; Bashforth et al., 2014; Ielpi et al., 2014; Trümper et al., 2020). In
873 addition, there appears to have been much greater diversity among the cordaitaleans than
874 recognized on the basis of their conservative morphology. Such diversity has been revealed by
875 studies of leaf cuticles (e.g., Šimůnek, 2000), and is consistent with the great ecological breadth
876 of the group. It is important to emphasize that, based on their biomass contribution to the peat,
877 cordaitaleans were one of the dominant groups in Middle Pennsylvanian peat-forming swamps
878 (e.g., Phillips and Peppers, 1984; Montañez, 2016). The large biomass of these plants found in
879 coal balls clearly was not transported in from “uplands”, given both the abundance and common
880 occurrence of cordaitalean roots (assigned to the genus *Amyelon*) found in permineralized peat
881 (e.g., Cridland, 1964; Greb et al., 1999b).

882 Despite the overwhelmingly more common occurrence of the wetland biome in basins
883 that contain coal-rich stratigraphic successions, a different species pool also occurs in these
884 basins. The plants of this other species pool are similar to the assemblages found in western
885 Pangea, and are predominantly of mixed composition, often being dominated by xeromorphic
886 plants considered by most paleobotanists to be characteristic of moisture-stressed habitats. These

887 mixed floras typically occur in strata between coal beds, where they frequently are preserved in
888 channel-fill deposits (Figure 11), which in many cases record intermittent stream discharge,
889 suggesting seasonality of flow volume (e.g., Bashforth et al., 2014; Fielding et al., 2020). In case
890 there are doubts about the existence of thousands-of-years-long seasonally dry intervals in coal
891 basins, there is now a large body of evidence from fossil soils that points to the predominance of
892 such climatic periods between times of peat formation. These climatic intervals varied from sub-
893 humid to semi-arid, deduced from the presence of Vertisols and calcic Vertisols (Figure 12),
894 some with thick, caliche-like carbonate layers or with carbonate-encrusted, vertically disposed,
895 deeply penetrating roots (Figure 12A). These vertic soils have been reported from intervals
896 spanning the entire Pennsylvanian in areas from the central U.S. to the Canadian Maritimes,
897 which was on the European side of the central Pangean mountainous area (Joeckel, 1979, 1995;
898 Tandon and Gibling, 1994; Cecil et al., 2003a; Martino, 2004; Falcon-Lang et al., 2009;
899 Carpenter et al., 2011; Catena and Hembree, 2012; Rosenau et al., 2013; Bashforth et al., 2014).
900 Perhaps of more interest, however, are recent descriptions of Vertisols within coal-bearing
901 sequences from intramontane regions in the Variscan belt (Opluštil et al., 2015, 2019). These
902 paleosols record the existence of climatic fluctuations similar to those that took place in paralic
903 areas of Euramerica. Amplifying the paleosol data, sedimentological studies also indicate
904 seasonality in sediment dispersion patterns (e.g., Kvale, et al.1994; Carpenter et al., 2011; Cecil
905 et al., 2014; DiMichele, 2014, fig. 17; Opluštil et al., 2015, 2019; Bashforth et al., 2016b;
906 Fielding et al., 2020). Sedimentological data also suggest, on a larger spatio-temporal scale, that
907 the long-term drying trend from the Early Pennsylvanian into the Permian proceeded from west
908 to east in a time-transgressive manner across the Euramerican portion of Pangea (e.g., Schutter

909 and Heckel, 1985; Roscher and Schneider, 2006; Schneider and Romer, 2010; DiMichele et al.,
910 2011).

911 As noted below, there are a number of coal-basin floras that contain variable amounts of
912 drought-tolerant elements. In the USA and Canada, these studies include floras from the Early
913 Pennsylvanian (e.g., Leary, 1975; Leary and Pfefferkorn, 1977; Bashforth et al., 2014), Middle
914 Pennsylvanian (e.g., Falcon-Lang et al., 2009; Plotnick et al., 2009; Dolby et al., 2011 – a
915 palynofloral example; Bashforth et al., 2016b), and Late Pennsylvanian (e.g., Carpenter et al.,
916 2011; Martino, 2017), in addition to older descriptions of individual occurrences of xeromorphic,
917 drought-tolerant species from coal measures strata (e.g., Bassler, 1916; Darrah, 1935, 1936). In
918 Europe, such floras are numerous, and most common in the Upper Pennsylvanian (e.g. Šimůnek
919 and Martínek, 2009), although they also are reported from Lower Pennsylvanian (e.g., Opluštil et
920 al., 2007) and Middle Pennsylvanian deposits (e.g., van Hoof et al., 2013 – a palynoflora).

921 The resulting pattern in the central portions of Pangea is the temporal and stratigraphic
922 intercalation of wetland and drought-tolerant plant assemblages. This intercalation mirrors
923 changes in climate that are covariant with fluctuations in sea-level, driven proximately by
924 changes in southern polar ice volume, which probably were controlled by a combination of
925 changes in atmospheric composition (Peyser and Poulsen, 2008; Horton et al., 2012; Heavens et
926 al., 2015) and orbital forcing (Heckel et al., 2007; van den Belt et al., 2015). Only rarely are any
927 indications of drought-tolerant elements found in association with assemblages from coal seat-
928 earths or roof-shales. This pattern conforms with observations of modern tropical regions with a
929 humid-to-perhumid climate, where the species pool covers a great areal extent, varying in
930 complex ways with habitat type, but with large amounts of compositional overlap. In contrast,
931 the floras from between coal beds are associated with paleosols that imply seasonal-drought, and

932 sedimentological indicators of seasonal variation in flow regimes; such floras are highly variable
933 in composition, and most often are a mixture of xeromorphic taxa and wetland elements, the
934 latter most commonly tree ferns and calamitaleans. The humid-climate floras are, of course, well
935 understood when compared with those from drought-prone times and places. A detailed
936 comparison of these two floras is almost impossible, due to the vast numbers and intense study
937 of wetland assemblages, and the relative rarity, often fragmented condition, and relatively poor
938 preservation of many drought-tolerant assemblages. Furthermore, until recently, there have been
939 few systematic searches for drought-tolerant assemblages within coal-measures strata. Thus, as a
940 consequence, the actual abundance of such assemblages remains a quantitative mystery.

941

942 **5. Taphonomic megabias and the Pennsylvanian-Permian transition**

943

944

945 We have attempted to document the assertion that the apparent rise of the drought-
946 tolerant biome during the Pennsylvanian to Permian transition is an illusion created by
947 taphonomic factors. A tropical, drought-tolerant flora existed in Euramerica at least as far back
948 as the Mississippian, and was periodically widespread in tropical Pangea. During the Permian,
949 the drought-tolerant biome became more continuously present on many parts of the Pangean
950 landscape as plants with requirements for high soil-moisture became constricted in space and
951 time. The floristic characteristics of the transition from the Pennsylvanian to the Permian,
952 therefore, depend upon where on the Earth this transition is observed, including where in the
953 tropical realm.

954 In the western parts of Pangea, nearly all floras, even those of Early Pennsylvanian age,
955 which was the wettest interval in the Pennsylvanian, contain drought-tolerant elements. By the
956 Middle Pennsylvanian, these drought-tolerant plants were common components of all western
957 Pangean assemblages, and can be found as the dominant elements in many fossil floras from the
958 region. During the Late Pennsylvanian, and into the Permian, drought-tolerant assemblages
959 became the most commonly encountered fossil-plant assemblages in the terrestrial, and even
960 parts of the marine geological record of western Pangea (e.g., DiMichele et al., 2000;
961 Baumgardner et al., 2016; Kvale et al., 2020). There was little peat accumulation in western
962 Pangea at any time during the late Paleozoic, despite extensive evidence, from many different
963 geographic areas, of regular sea-level fluctuations and associated climatic changes. In the
964 extreme, consider the Paradox Basin of the southern Colorado Plateau, USA, where, near the
965 Pennsylvanian-Permian boundary, the deposits of a meandering river system bearing a mixed
966 floral assemblage of tree ferns, calamitaleans, and conifers (DiMichele et al., 2014) are found
967 sandwiched between deposits of eolian dunes. The climate simply never became wet enough to
968 support peat accumulation at most times in western Pangea, meaning that the conditions
969 necessary to inhibit the decay of organic matter and/or preserve such accumulations in the long
970 term were not being met (Gastaldo and Demko, 2011, as described above). The western Pangean
971 landscape most likely harbored a widespread drought-tolerant flora with more mesic, drought-
972 intolerant elements confined to microhabitats with high soil moisture; in other words, proximate
973 to water bodies where the preservation of organic matter was most likely.

974 It is in the coal basins of central Pangea that the relationship between the drought-tolerant
975 biome and the wetland biome becomes the most difficult to interpret, due to extreme taphonomic
976 megabiases. Two prominent megabiases exist. The first, operating in the late Paleozoic, is a

977 fundamental difference in the likelihood of preservation. The second, operating today, is a
978 difference in “discoverability”, and has an analytical cause. In the central portions of tropical
979 Pangea (present day Midwestern and Eastern USA, Eastern Canada, and Europe from Britain to
980 the Urals), the swings in prevailing climate associated with glacial-interglacial cycles oscillated
981 between a humid and a subhumid-to-semiarid phase (Falcon-Lang, 2004a; Cecil et al., 2003a).
982 During a portion of any given cycle, the climate was humid-to-perhumid over vast areas of the
983 tropics. This type of climate led to high levels of soil moisture and the accumulation of peat in
984 physically suitable areas (e.g., Cecil et al. 1985), and thus was characterized by the wetland
985 species pool of the wetland biome. During other parts of any individual cycle, the climate shifted
986 to seasonally dry (subhumid to perhaps semi-arid) and actually may have been of longer duration
987 than the humid phase (Falcon-Lang et al., 2009); this seasonally dry climate created conditions
988 suitable for a drought-tolerant species pool (Figures 13, 14). Because of the strong relationship
989 between plants and climate (the famous comment of Wladimir Köppen [1936, p. 6] that
990 vegetation is “materialized, visible climate” – see original and translation in Looy et al., 2014a),
991 the mixing of these two species pools was complex and asymmetrical. As is the case today, the
992 likelihood of finding taxa that require periodic soil-moisture deficits in a tropical rainforest is
993 low. In contrast, however, the likelihood of finding taxa with an obligate requirement for high
994 soil-moisture is relatively great, under a seasonally dry climate, due to more microhabitat and
995 soil-moisture heterogeneity under such climatic conditions. This contrast was amplified by the
996 much lower species diversity during the late Paleozoic, compared to that of today; resources
997 were partitioned among fewer species, and the wind dispersal and pollination of most forms
998 means that there would have been significant taxonomic similarity across microhabitats on the
999 landscape scale.

1000 As a consequence of glacial-interglacial contrasts, during the humid/perhumid portions of
1001 cycles, the high volumes of rainfall, and more importantly, the negligible seasonality of its
1002 distribution, created conditions suitable for the wetland species pool to blanket the Central
1003 Pangean landscape (Figure 13). In areas where peat did not form, there nonetheless would still
1004 have been high soil-moisture, and dense, sediment-binding and erosion-inhibiting vegetation
1005 covering nearly all of the regional landscape. Under such conditions, even with expected
1006 microhabitat heterogeneity, the effects of elevational variation would have been blunted by the
1007 generally high water tables, made so by the volume and temporal distribution of rainfall. In
1008 other words, the drainage effects of elevation would have been muted significantly in the central
1009 Pangean tropics under a humid climate mode. This muting made it unlikely for large areas of
1010 drought-tolerant vegetation to persist at lower elevations, in mountainous regions, other than in
1011 rain-shadow areas (e.g., van Hoof et al., 2013), or perhaps as patches at higher elevation (e.g.,
1012 Broutin et al., 1990), such as occurs in parts of the modern Andes due to regional geological
1013 effects on airflow patterns (Chavez and Takahashi, 2017). And if elevation increases enough, the
1014 confounding effects of temperature are introduced, which may exert a considerable effect on
1015 species-pool composition even in tropical regions if the mountain belts are high enough.
1016 However, as studies of Variscan tectonics have indicated (Roscher and Schneider, 2006; Kroner
1017 and Romer, 2013), there almost certainly was never, at any one time, a significant mountain
1018 range across the entire central area of Pangea. Rather much of the eastern and central Variscan
1019 region was eroded to low hills by the Late Pennsylvanian.

1020 During the drier parts of cycles, when climate was subhumid to semi-arid, there would
1021 have been months-long periods of soil-moisture deficits, the existence of which is indicated by
1022 the characteristics of paleosols and sedimentary patterns in the strata between coal beds. The

1023 imposition of seasonality on a tropical landscape does not, however, increase the degree of
1024 homogeneity to the extent that high rainfall and weak seasonality do. There are, therefore, areas
1025 of higher soil moisture where plants requiring such conditions can survive (e.g., Looy et al.,
1026 2014b).

1027 We conclude, therefore, that the two megabias factors, in combination, create the illusion
1028 of a major rise of a drought-tolerant tropical flora at the time of the Pennsylvanian-to-Permian
1029 transition. Without question, the dry flora did become the predominant flora of the Permian
1030 throughout much of central and western Pangea. However, the biome also was present, and
1031 covered large areas, during the Pennsylvanian (e.g., Gastaldo, 1996). During the transition to the
1032 Permian, the residence time of the seasonally dry biome in the lowlands of central Pangea
1033 increased until it became permanent, although the sedimentological conditions under which it
1034 was preserved did not change.

1035 The Pennsylvanian-Permian shift in floras is magnified by taphonomic biases to make it
1036 look more dramatic than it actually was, particularly in those areas where peat accumulation
1037 occurred during wetter climate phases; the apparent transition is less dramatic, or even minor in
1038 areas of western Pangea, which were rich in drought-tolerant vegetation for nearly all of the
1039 Pennsylvanian. To parse this out: (1) Drought-tolerant floras appear to have been present in the
1040 Pangean tropics from the earliest Carboniferous. (2) The drought-tolerant flora is most often
1041 preserved in deposits of channels and lakes, most generally being of limited areal extent, and not
1042 associated with economically viable coal beds. (3) Therefore, without a concerted and targeted
1043 search, drought-tolerant floral elements usually are not likely to be found in the strata of
1044 Pennsylvanian-age coal basins, because they are rare to start with, and because they occur in
1045 strata that generally are poorly exposed. (4) In contrast, the wetland flora is found within,

1046 immediately above, and immediately below coal beds, and is, therefore, extensively revealed in
1047 the course of mining activity. (5) The wetland flora is, therefore, easily found and collected. (6)
1048 In addition, for taphonomic reasons, the wetland flora was much more likely to be preserved
1049 where and when it occurred during the Pennsylvanian than was the drought-tolerant flora, so it
1050 is, a priori, much more abundantly represented in the geological record. (7) A long-term drying
1051 trend in the Euramerican Pangean tropics began in the Early Pennsylvanian, and continued, with
1052 fluctuations, into the Permian. (8) By the Permian, the frequency of peat-swamp development
1053 (and resulting coal beds) in Euramerica had dropped significantly, signaling the demise of vast
1054 wetland areas, but not eliminating the wetland biome entirely. (9) The disappearance of coal beds
1055 removes the easy access to abundant plant-fossil material via mine exposures, and it also reflects
1056 a significant change in the predominant form of plant preservation from widespread, swampy
1057 wetlands to smaller channel- and lake-fill sequences. (10) All that remains in the drier Permian
1058 of Euramerica are the smaller deposits containing mixed floras, or even floras entirely composed
1059 of drought-tolerant elements (Figure 15). These are the same kind of deposits in which the
1060 drought- biome was preserved during the Pennsylvanian. In the Permian, however, these are the
1061 only remaining sources of plant-fossil remains.

1062 The result of this pattern is that the visibility of deposits that contain seasonally dry plants
1063 increases significantly; they are all that remains, giving the false impression that drought-tolerant
1064 vegetation took over the tropics of Euramerica. Rather, what actually took place was a shift in
1065 the prevailing climatic spectrum, from one favoring the preservation (and later discovery) of
1066 wetland vegetation, to one in which wetland vegetation no longer periodically dominated the
1067 landscape, and was no longer widely preserved. Thus, the drought-tolerant biome did not take
1068 over (neither did the whole tropical world become a well drained upland). Rather the wetland

1069 biome simply was removed from the equation. This change left drought-tolerant and mixed
1070 floras as “the only game in town”, as the old saying goes.

1071 This transition is summed up in Figure 16, a schematic illustration that attempts to
1072 capture the complexity of this transition as it occurred in the central regions of Pangea. It is in
1073 that region where there were regular oscillations between dominance by the wetland and
1074 drought-tolerant biomes during the Pennsylvanian, before becoming increasingly dry at all
1075 phases of glacial-interglacial oscillations into the early Permian. The pattern would look
1076 considerably different were a similar representation made for western Pangea, where elements of
1077 the drought-tolerant biome were permanently resident in basinal areas. Our data indicated that
1078 changes there were quantitative, with the relative proportions of wetland and drought-tolerant
1079 plants varying in different parts of cycles (e.g. DiMichele et al., 2017).

1080

1081 **6. Do uplands cause drought?**

1082

1083 This paper was prompted, in part, by the need to address a long-standing belief that,
1084 during the Pennsylvanian Coal Age, the tropics were subject to a widespread and prevailing wet
1085 climate *all of the time*. A corollary to this viewpoint is that the only way to explain the
1086 appearance of xeromorphic, presumably drought-tolerant plants, which are not found among the
1087 plants characteristic of coal roof-shales, seat-earths, or in the coal itself, is to place them in
1088 uplands (Figure 17). Under this scenario, these uplands supposedly were well drained, resulting
1089 in soil-moisture deficits, even though the prevailing tropical climate is envisioned to have been
1090 everwet throughout the entire Pennsylvanian, even in these tropical uplands. The minimum
1091 elevations required of such uplands have been proposed to be quite modest, sometimes just a few

1092 meters, with locations varying from the margins of peat-forming or mineral-substrate swamps, to
1093 a presence on higher ground in the midst of landscapes otherwise covered by wetlands. For
1094 example, Cridland and Morris (1963) proposed that as little as 6 m of elevation would have
1095 caused enough drainage to induce the colonization of the envisioned (but undocumented) hills by
1096 an entirely different suite of species from that in the supposedly surrounding, immediately
1097 adjacent, peat-forming and siliciclastic-substrate, swampy wetland areas (Figure 10).

1098 Tracing the literature back in time, the concept appears in various indirect forms early in
1099 the 20th century, mainly as an assumption that extrabasinal areas would experience drier
1100 conditions than would be found in basins (e.g., Gothan and Gimm, 1930; White, 1931), but
1101 likely goes back even farther (Stopes and Watson, 1909). The idea appears to have been firmly
1102 established by the mid-20th century (e.g., Chaloner, 1958; Havlena, 1961; Cridland and Morris,
1103 1963). Pfefferkorn (1980) argued for restriction of the term “uplands” to mountainous regions,
1104 and introduced the concept of “extrabasinal lowlands” to account for hilly elevated areas that
1105 proximately fringed basins, and were 100-200 m above the basin floor. He envisioned such areas
1106 as a more likely source of exotic plants than distant mountainous regions. We note that there was
1107 no consideration of climate in this suggested solution, however.

1108 In elevated areas of the modern tropics, including in mountainous terrain, not all uplands
1109 or extrabasinal lowlands are colonized by drought-tolerant plants, although where those drought-
1110 tolerant upland plants are found, the background climate is generally seasonally dry. Floristic
1111 distribution and composition are determined far more by prevailing climate than by elevation, the
1112 main effect of which, in the tropics, is on temperature (Figure 18). However, we recognize that
1113 steep slopes, particularly in mountainous regions, present a special case, although these habitats
1114 also can become stabilized by vegetational cover under very wet climates, as indicated by studies

1115 (cited above) that find low sediment loads in rivers draining areas of rugged terrain under high,
1116 aseasonal rainfall regimes. Slope and elevation alone do not guarantee high rates of erosion.

1117 The relationship between sediment load in rivers and climate is important for another
1118 reason. It has been suggested that the siliciclastic sediments between coal beds are the result of
1119 short-duration floods, which periodically, perhaps due to the influence of catastrophic storms,
1120 engulfed and buried peat swamps. The swamps then recovered rapidly and recolonized the
1121 landscape (e.g., Thomas and Cleal, 2015). This explanatory model is similar to one that prevailed
1122 in coal geology, which placed peat-forming swamps within active deltas, amidst shifting loci of
1123 sediment deposition (Horne et al., 1978). The short-term-flood model does not take into account
1124 the extensive evidence for the presence of paleosols among the siliciclastic deposits between
1125 coals, most of which (the paleosols) show evidence of seasonal climates. Nor does the model
1126 acknowledge the presence of marine beds in many coal-bearing sequences, among the strata
1127 between coals, indicating significant, long-term changes in environmental conditions. But,
1128 perhaps most critically, the short-term-flood model does not take into consideration the hiatuses
1129 between various siliciclastic units, which dominate the temporal record, particularly in terrestrial
1130 strata. Most of the time represented by a stratigraphic section is taken up by temporal gaps, not
1131 by actual beds of rock (including coal), reflecting the dynamics of terrestrial sedimentary
1132 systems. The evidence indicates large amounts of time, tens of thousands of years or more, tied
1133 up in the intervals that typically separate successive coal beds. Regardless of these features, the
1134 unlikelihood of this flood model also comes from the fact that the extrabasinal lowlands, and
1135 perhaps even more distant uplands, surrounding the vast peat-covered landscape would have
1136 experienced the same kind of climate, namely a humid to perhumid climate, which was favorable
1137 for tropical peat accumulation. Under such conditions, river sediment loads would be expected

1138 to be low. This is further amplified by the fact that siliciclastic input is anathema to peat
1139 formation, creating instead conditions for the development of organic-rich mucks, which become
1140 organic shale beds. Various lines of evidence point to a black-water character for many rivers
1141 passing through Pennsylvanian peat swamps, carrying low sediment loads (Gibling et al., 2014;
1142 Elrick et al., 2017; Nelson et al., 2020), consistent with observations of modern environments in
1143 humid-perhumid climate areas, where landscapes are densely vegetated and rivers have low
1144 sediment loads, despite high discharge volumes.

1145 Returning again to uplands, consider areas of peat accumulation in modern upland, inland
1146 areas, removed from the effects of sea-level rise or coastal climates, but forming under the
1147 effects of humid climates today. Lakes also are frequently present at high elevation; for an
1148 extreme example there is Lake Titicaca of Peru and Bolivia at 3800 m (e.g., Paduano et al.,
1149 2003), or the many other Andean lakes, with surrounding vegetation reflective of local climate.
1150 In fact, the Andean Altiplano has undergone repeated expansions and contractions of wetlands in
1151 response to climate changes since the last glacial maximum (e.g., Rigsby et al., 2005). In the late
1152 Paleozoic geological record, there also are some wetland deposits hypothesized to have formed
1153 within the region of the Variscan mountainous areas of Central Europe, at >1000 m elevation
1154 with >100 m of relief along the walls of river valleys (Becq-Giraudon, et al., 1996; Opluštil,
1155 2005; Opluštil and Cleal, 2007). The generality of this inference, that of high altitude basins, has
1156 been challenged on the combined basis of radiometric dating, and considerations of erosion and
1157 uplift rates in the Recent (Roscher and Schneider, 2006; Schneider and Romer, 2010), and on
1158 detailed studies of Variscan tectonics and the stratigraphic sequences in intramontane basins
1159 (e.g., Schneider et al., 2005; Kroner and Romer, 2013; Trümper et al., 2020). That any examples

1160 of such higher elevation wetlands can be found directly indicates that during the Pennsylvanian,
1161 there were upland regions that supported typical wetland vegetation.

1162 The Late Paleozoic Ice Age was accompanied by numerous, covariant changes in sea
1163 level and climate in the Euramerican tropical regions of Pangea. The geological evidence of this
1164 is abundant, of a variety of types, and entirely independent of plant fossils. Plants track climate
1165 relatively closely today, and there is no reason to believe they did not do so in the Pennsylvanian
1166 and Permian. Wetlands, including peat-forming swamps, can be found wherever climate and
1167 substrate conditions are suitable, both at high or low elevations. However, high-elevation peat
1168 accumulations (coal), if they occurred during the late Paleozoic, would have had relatively low
1169 long-term preservation potential because of the long expanses of time for erosion to do its work.
1170 That any coals are present, even rarely, indicates that high elevation areas could be wet, and not
1171 invariably well drained and plagued by drought.

1172 In answer to prescient observations such as that of Wagner and Álvarez-Vázquez (2010,
1173 p. 305), who noted: "...it seems surprising that the presence of upstanding relief with alluvial fan
1174 deposits in the Peñarroya Basin (Westphalian) has not led to any conifer finds. There are also
1175 very few conifer records in the Stephanian B of NW Spain, despite the evidence for
1176 palaeovalleys associated with a rugged landscape in the near vicinity of the basin", we respond
1177 that elevation does not uniformly and invariably cause "drought". The drainage effects caused by
1178 elevational changes will be damped under humid-to-perhumid climates, and become accentuated
1179 as climate becomes more seasonally dry. The vegetational differences and changes in time and
1180 space, recorded in the upper Paleozoic rock record, reflect the primary influence of climate on
1181 habitat and habitat heterogeneity, just as occurs in the modern world.

1182

1183 7. A suggested rationale for addressing the upland vs. climate question

1184

1185 Philosopher Willard V. Quine was a 20th century proponent of the idea of

1186 “underdetermination” of scientific hypotheses. In its simplest terms, this means that two or more

1187 competing hypotheses might have equivalent outcomes, and thus be undifferentiable based on

1188 empirical data. This could be restated to say that a unitary hypothesis cannot be deduced from

1189 the observations made in nature (see further discussions of this in, e.g., Bergström, 1993, or

1190 Stanford, 2017). Thus, in evaluating competing explanations for data, there is no “Elementary,

1191 my dear Watson” moment, where all the observations point unwaveringly and without question

1192 to a single conclusion. Rather, there are competing hypotheses. A subset of this is an idea set

1193 forth by Macbeth (1971), the Best in Field Fallacy, which simply states that we may choose

1194 among competing hypotheses, only to discover later that none were correct; one hypothesis with

1195 more explanatory power may exist and be unknown to us, it may not yet have been thought of by

1196 anyone and so will be unavailable for consideration, or it may only emerge with the addition of

1197 new empirical evidence. Thus, when faced with patterns in nature that demand conceptual

1198 explanation, an investigator must make an intuitive, inductive leap. One may invent a

1199 hypothesis, or have strong preferences for a particular existing hypothesis, based on what is

1200 known and how it is interpreted, in combination with other factors, such as preferring the

1201 simplest explanation. However, also important is the so-called Principle of Total Available

1202 Evidence, which has been attributed to Carnap (1947), but originated conceptually much earlier.

1203 This principle states that evidence relevant to the phenomenon under consideration cannot be

1204 ignored, and that additional evidence should be sought in areas that would appear to shed light

1205 on a problem of interest.

1206 This is not a new understanding. Alfred Wegener (1966, p. vii) stated "Scientists still do
1207 not appear to understand sufficiently that all earth sciences must contribute evidence toward
1208 unveiling the state of our planet in earlier times, and that the truth of the matter can only be
1209 reached by combing all this evidence. . . It is only by combing the information furnished by all
1210 the earth sciences that we can hope to determine 'truth' here, that is to say, to find the picture that
1211 sets out all the known facts in the best arrangement and that therefore has the highest degree of
1212 probability. Further, we have to be prepared always for the possibility that each new discovery,
1213 no matter what science furnishes it, may modify the conclusions we draw."

1214 Certainly, the geological sciences, including paleontology, face a severe problem when it
1215 comes to total evidence. The geological record is made up only of glimpses of the past. Missing
1216 time vastly exceeds the time recorded by geological strata. And, in the case of terrestrial life, we
1217 likely see far less than 10% of the habitats on the earth at any given time, and preserve far less
1218 than 1% of the organisms that ever lived. That we deal with so many unknowns means that we
1219 cannot deny the matter of underdetermination of many of our hypotheses, and with that, the
1220 problem of many possible explanations for the patterns we observe. Thus, we must use total
1221 available evidence to the extent we are able, and almost all studies, including the present one (!),
1222 that are attempting to explain complex phenomena will likely fall short in this regard. This may
1223 be especially true in the case of the patterns described and commented on in this essay; there is
1224 an overwhelming scientific literature of observation, both of the modern world and that of the
1225 geological past, relevant to the matter of factors controlling the distribution of plants on any
1226 particular landscape, at varying spatial and temporal scales. Thus, it is correspondingly difficult
1227 to find even a fraction, let alone all, of the relevant work.

1228 Here, we have attempted to bring together as many different lines of evidence as we are
1229 able, in order to evaluate the controls on the spatial distribution of vegetation in the equatorial
1230 regions of the Pangean supercontinent during the late Paleozoic. These lines of evidence include
1231 both patterns from the geological record, and relevant patterns from the modern record, wherein
1232 direct measurement of environmental variables, and broader, more complete spatial observations,
1233 are possible. We have combined these observations with considerations of taphonomy,
1234 particularly the likelihood and nature of preservation of terrestrial plant remains, and how those
1235 processes might have worked in the deep past. From this attempt at a synthesis, we believe the
1236 hypothesis best supported by the data is that climate was a first-order controlling variable in the
1237 habitat distribution of late Paleozoic plants, as it is for the plants of today. This is not to deny the
1238 effects of variability in the elevation of the land surface, which certainly is a second-order factor
1239 of considerable importance, but one that actually is more difficult to assess than the effects of
1240 climate.

1241 Finally, we have tried to bring to bear several considerations to explain the seeming rise
1242 of a drought-tolerant flora during the Carboniferous-Permian transition. These include: the
1243 patterns of vegetational distribution over different spatial scales and their underlying controlling
1244 factors, the conditions under which remains of that vegetation are most likely to be preserved in
1245 the modern world and in the geological record, and, finally, where those remains are most likely
1246 to be discovered today. We conclude that the rise of drought-tolerant vegetation during the
1247 Carboniferous-Permian transition is an illusion, created by taphonomic happenstance, and that
1248 both wetland and drought-tolerant plants, and the biomes they constituted, existed across the
1249 Pangean interior for virtually all of the Carboniferous. The strata that enclose the drought-
1250 tolerant biome became a proportionally larger part of the fossil record during the later

1251 Pennsylvanian and into the Permian, as the wetland biome began to shrink and disappear from
1252 the tropical landscape. At the same time, the drought-tolerant flora became ensconced more
1253 permanently across much of the tropics, where previously it had oscillated in dominance with the
1254 wetland flora. However, the actual geological abundance of deposits containing the drought-
1255 tolerant flora may have changed little through time. Rather, the loss of the strata in which
1256 wetland floras were dominant made the deposits with plant fossils from seasonally dry settings
1257 more “visible” to researchers, thus making it more likely for the plant remains to be found,
1258 collected, and characterized.

1259

1260 **8. Summary**

1261

1262 The Late Paleozoic Ice Age (LPIA) was a time of orbitally forced glacial-interglacial
1263 fluctuations, which were the proximate drivers of coincident sea-level and climatic changes. In
1264 tropical Pangea (Euramerica, Cathaysia), vegetation tracked these periodic environmental
1265 fluctuations, marked by changes in the spatial distributions of wetland and drought-tolerant
1266 biomes, or floras, each of which was characterized by largely distinct species pools. The glacial-
1267 interglacial fluctuations were superimposed on a long-term drying trend in the Euramerican
1268 portion of the Pangean tropics, which became drier (on average) during the Pennsylvanian,
1269 continuing into the Permian. The cause of this drying trend is not fully understood. However,
1270 the process ultimately resulted in the loss of extensive wetlands as cyclically wet periods became
1271 less wet and dry periods became drier.

1272 The floristic changes accompanying the long-term drying trend frequently have been

1273 characterized as the rise of a so-called Mesophytic flora. Examination of biogeographic patterns,

1274 climate models, and sedimentary environments suggests that drought-tolerant species pools,
1275 collectively constituting one or more biomes, were permanently resident in western Pangea and
1276 possibly in parts of the Variscan mountains of central Pangea long before the Permian. During
1277 the Pennsylvanian, coinciding with the periodic appearance of seasonally dry climates, drought-
1278 tolerant plants dispersed from these areas of stable, large populations into central Pangea,
1279 reaching those basinal areas in which peat had been accumulating during wetter parts of glacial-
1280 interglacial cycles. In contrast to this pattern of expansion from large, stable population centers,
1281 the wetland species pool remained centered in central Pangea, and fragmented into refugial
1282 pockets during the periods of seasonal climate. Therefore, rather than simple range expansion
1283 during the return of humid conditions, the wetland biome expanded from numerous disconnected
1284 refugial areas, and repeatedly reassembled with each glacial cycle into the vast Coal-Age
1285 wetland ecosystems. Thus, during the Pennsylvanian, drought-tolerant biome biogeography was
1286 dominated mainly by spatial expansion from and contraction back into large geographic areas in
1287 which populations were permanently interconnected. The wetland-biome spatial patterns, in
1288 contrast, were characterized by dominance over vast areas during humid intervals, contraction in
1289 place into fragmented, small, disconnected refugia during intervals of climatic seasonality,
1290 followed by reassembly sourced from those refugia upon the return of humid conditions.

1291 Significant taphonomic “megabiases” affect our understanding of the dynamics and
1292 spatial distributions of these biomes: (1) The Late Mississippian through Pennsylvanian Coal
1293 Age tropics often are misinterpreted as invariably wet. In reality, they experienced demonstrably
1294 wet-dry oscillations, and in some areas (western Pangea, rain-shadow areas in the Central
1295 Pangean Mountains, perhaps at very high elevation within mountainous regions) were
1296 perpetually seasonally dry. The tropics were nowhere everwet throughout, or even for significant

1297 parts of, the Coal Age. (2) An ancient preservational megabias: The physical conditions under
1298 which the wetland tropical biome thrived gave it a relatively good chance of preservation.
1299 Consequently, the wetland biome is well represented in the rock record. In contrast, there was a
1300 huge negative preservational bias against the drought-tolerant flora, making it much rarer than
1301 the wetland flora in the geological record. (3) A modern analytical megabias: As a result of its
1302 association with coal beds, and thus coal mining, the wetland flora is far more likely than the
1303 drought-tolerant flora to be exposed and readily found today. Strata containing the drought-
1304 tolerant biome generally are not readily exposed, accessed, or searched for, especially in strata of
1305 Pennsylvanian age, where vast amounts of wetland plant fossils are readily available, not only
1306 due to their originally superior preservational potential, but because of their exposure during
1307 coal mining. (4) As the Euramerican tropics became drier into the Permian, the loss of extensive
1308 wetlands resulted in a greatly diminished fossil record of the wetland plants, but did not result in
1309 a significant change in the absolute abundance of plant-fossil accumulations formed under
1310 seasonally dry conditions, or a change in the sedimentary environments in which those plant
1311 fossils are found. Therefore: (5) A modern search-image megabias: The largely fortuitous
1312 pattern of drought-tolerant plant preservation changed little in mode or frequency as wetland
1313 deposits declined, but appears to have been similar in form and likelihood during both the
1314 Pennsylvanian and early Permian within Euramerica. What did change, however, is the
1315 “geologic visibility” of the drought-tolerant biome, as the strata in which it is preserved became
1316 the only source of plant-fossil remains in much of the later Pennsylvanian and Permian.

1317 During the Pennsylvanian, in central Pangea (Midcontinent US through the Donets
1318 Basin), the wetland and drought-tolerant biomes were intercalated through time, as major climate
1319 swings between humid/perhumid and subhumid/semi-arid occurred in conjunction with glacial-

1320 interglacial cycles. During the humid-to-perhumid phases of these swings, when wetlands
1321 covered vast stretches of interior Pangea, populations of seasonally dry plants did not persist in
1322 wetland landscapes in patchy microhabitats, but rather were excluded nearly entirely. In contrast,
1323 during the seasonal periods in the central Pangean coal basins, and in the seasonally dry areas of
1324 western Pangea and parts of the central Pangean mountainous regions, wetland and drought-
1325 tolerant elements were mixed, with wetland patches existing in various microhabitats in
1326 otherwise seasonally dry landscapes. Over time, in these seasonally dry times and/or regions, as
1327 overall aridity increased in the Euramerican tropics during the Pennsylvanian and early Permian,
1328 the fossil floras also became increasingly dominated by xeromorphic elements, although some
1329 wetland elements, most commonly marattialean tree ferns and calamitaleans, continued to exist
1330 within these seasonally dry tropical landscapes. During the early Permian, drought-tolerant
1331 biomes, similar to and derived from those of the Pennsylvanian, dominated Euramerica. Included
1332 within these landscapes were areas of habitat wet enough to support a suite of wetland species,
1333 albeit much reduced in diversity from their Pennsylvanian zenith. By that time, widespread
1334 wetland floras had shifted to eastern Pangea (Cathaysia), where they continued to appear
1335 intercalated with drought-tolerant floras.

1336

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1338

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2499 Figure 1. Cyclothem. A., Idealized Midcontinent USA cyclothem divided into a terrestrial and
2500 marine phase reflecting a single glacial-interglacial cycle. B., Portions of a cyclothem in the
2501 field. Strata associated with the Middle Pennsylvanian, Springfield Coal of the Illinois Basin.

2502
2503 Figure 2. The Gastaldo and Demko (2011) Model modified for a peat-forming landscape, in
2504 accordance with the model of Elrick et al. (2017a). A – B., Short-term preservation. A., Peat
2505 forms and is preserved during the humid climate phase of a glacial-interglacial cycle. River is
2506 black-water and no remains are preserved there. B., The river is converted to an estuary during
2507 sea-level rise. The peat swamp is buried in areas flanking the river as mudflats form. Plant
2508 remains also are incorporated into both the mudflat and channel sediments, where preservation is
2509 possible below the water table. C., Intermediate-term preservation of the peat and associated
2510 organic matter in the siliciclastic deposits occurs as sea level continues to rise, and associated
2511 marine sediments are deposited on the former coastal lowlands. D., Long-term preservation of
2512 the wetland landscape facilitated by basinal subsidence. E., Short-term preservation. Renewed
2513 landscape incision occurs in association with sea-level fall under seasonally dry climatic
2514 conditions. Organic matter becomes entombed only in some channels and floodplain lakes,
2515 where preservation is possible only if it remains below the water table. F., Long-term
2516 preservation of seasonally dry floral remains depends on continued accumulation of sediment
2517 due to sea-level rise and basinal subsidence.

2518
2519 Figure 3. Sediment load as a function of rainfall regime. A., General relationship between
2520 rainfall volume and annual distribution, and the volume of sediment transport, based on
2521 measurements from selected tropical rivers (Originally Figure 1A of Cecil and Dulong, 2003,

2522 reproduced in accordance with the permissions guidelines of the Society for Sedimentary
2523 Geology [SEPM]). B., Empirical relationship between selected rivers comparing sediment load
2524 to drainage-basin size differentiated by climate regime (Base graph originally published in
2525 Latrubesse et al., 2005, as Figure 6, used with permission of Elsevier Scientific Publishers
2526 license number 4797720592053).

2527

2528 Figure 4. Model that envisions a Middle Pennsylvanian landscape with contemporaneous close
2529 proximity of peat formation, siliciclastic deposition, and non-marine carbonate lake formation.
2530 (Modified from part of figure 2 of Valero Garcés et al., 1997).

2531

2532 Figure 5. Amazonian tropical rainforest, in the vicinity of Manaus, Brazil, Amazon River Basin,
2533 under humid climate. Images A–C taken along the Rio Negro, west of Manaus, the largest
2534 blackwater river in the world; elevation of the river at its juncture with the Amazon is ~30 m,
2535 reaching >200 m at its source. A., River margin with fring of flooded forest; note elevated areas
2536 in distant background, covered with rainforest. B., River edge vegetation, some in, or falling
2537 into, the water. C., River margin, with vegetation along bank being incorporated into river-borne
2538 sediment. D., 70 km north of Manaus. Local elevation 40-120 m. Photos A-C courtesy of Scott
2539 L. Wing, Smithsonian Institution. Photo D courtesy of Robyn J. Burnham, University of
2540 Michigan.

2541

2542 Figure 6. Temperate drought-tolerant vegetation of east-central North America under seasonally
2543 dry climate. A., Shoreline of Rhode River, a Chesapeake Bay estuary, effectively at sea-level. B.,
2544 Shoreline of Rhode River. Drought-tolerant, deciduous hardwood tree, portions of which are

2545 being incorporated into shoreline sediments, without being transported from an “upland”. C.,
2546 Chesapeake Bay estuaries south of Baltimore, Maryland, high summer humidity, approximately
2547 at sea-level, covered in drought-tolerant Eastern Deciduous Forest Biome vegetation. D.,
2548 Appalachian Mountains in western Virginia, view to east from Skyline Drive, covered in
2549 drought-tolerant Eastern Deciduous Forest vegetation. E., Caddo Lake, the margins of which are
2550 colonized by *Taxodium distichum*, inland of which the landscape is covered by drought-tolerant
2551 vegetation. Surface elevation of lake is ~ 50 m. All photographs by the authors.

2552
2553 Figure 7. Underground and surface coal mine exposures and wetland flora. A., Roof-shales and
2554 base of lycopsid tree rooted in the top of the Springfield Coal, Middle Pennsylvanian, Indiana.
2555 B., *Sigillaria* tree stump rooted in thin, unnamed Middle Pennsylvanian coal, Indiana, for
2556 contrast with stump seen in underground exposure. C., Large lycopsid tree trunk (measured at 2
2557 m diameter and 30 m length with minimal taper, and no crown or roots), Herrin Coal, Illinois.
2558 D., Rare example of coal seat-earth containing adpression fossils, Murphysboro Coal, Illinois. E.,
2559 The difficulties of surface mine collecting, Winslow-Henderson Channel above Baker Coal,
2560 Indiana. F., Coal balls, which are permineralized peat-stages of the coal, formed early in peat
2561 diagenesis, prior to peat compaction and coalification. Coal balls preserve the vegetation that
2562 grew during peat formation under a humid-to-perhumid climate; Herrin Coal, Illinois. All
2563 photographs by the authors.

2564
2565 Figure 8. Pennsylvanian landscape reconstructions. A., Late Pennsylvanian wetland landscape,
2566 Calhoun Coal, Illinois. B., Middle Pennsylvanian wetland landscape, Herrin Coal, Illinois. C.,
2567 Middle Pennsylvanian seasonally dry landscape, idealized, Illinois Basin. All reconstructions

2568 created by Mary Parrish, Smithsonian Institution. Image A originally published in Willard et al.
2569 (2007) used with permission of Elsevier Scientific Publishers license number 4798850608829.
2570 Image C originally published in DiMichele (2014), open access.

2571
2572 Figure 9. Upper Pennsylvanian (Missourian) exposure, interpreted as coastal environment, in
2573 central New Mexico. Carbonate-gypsum dunes entomb a forest of coniferophytes rooted in a
2574 micritic mudstone. A., Carbonate-gypsum dune exposure. B., Upright tree trunk (T, to right of
2575 staff, scale in 1 foot increments), buried in carbonate-gypsum dune deposit (G); LS = micritic
2576 limestone at base of exposure into which the tree is rooted. C., Exhumed large coniferophyte tree
2577 stump, rooted in micritic mudstone. For details see Falcon-Lang et al., 2011a, 2015; Elrick et al.,
2578 2017b.

2579
2580 Figure 10. The “upland” model of Cridland and Morris (1963), which proved influential in
2581 promoting the idea that a few meters of elevation, within a landscape otherwise dominated by
2582 swampy wetlands, could support a species pool entirely distinct from that of the surrounding
2583 vegetation. The figure has been modified to be in accordance with their text; elevation is shown
2584 as 6 m and the elevated area is shown as surrounded by swamps. Figure modified from Cridland
2585 and Morris (1963) (Copyright (c) 1963. University of Kansas. Museum of Natural History. Used
2586 with permission).

2587
2588 Figure 11. Channel cut-and-fill features between coal beds. A., Channel below Baker Coal, upper
2589 Middle Pennsylvanian, Indiana. White arrow marks channel axis. Note truncated horizontal beds
2590 on flanks. Described in Falcon-Lang et al. (2009). B., Channel below Cottage Coal, upper

2591 Middle Pennsylvanian, Indiana. White arrow marks channel axis. Note truncated horizontal beds
2592 on flanks. Described in DiMichele (2014, fig. 17), and Fielding et al. (2020, fig. 10). C., Upright
2593 stump of *Sigillaria* (white arrow) preserved in the channel illustrated in (B). Several additional
2594 channels of this kind are illustrated and described in Fielding et al. (2020). All photographs by
2595 the authors.

2596

2597 Figure 12. Paleosols below coal beds, recording seasonally dry climatic conditions, distinctly
2598 different from those under which peat accumulated. A., Stacked calcic Vertisols below the
2599 Harlem Coal and Ames Marine Zone, lower Upper Pennsylvanian, West Virginia. Note vertical
2600 root casts, encased in CaCO_3 , in lower paleosol. The stacking of these paleosols also indicates
2601 significant “missing time” in the hiatus between them. B., Calcic Vertisol below the Cohn Coal,
2602 lower Upper Pennsylvanian, Illinois. Photograph A by authors. Photograph B by Scott Elrick,
2603 Illinois State Geological Survey, used with permission.

2604

2605 Figure 13. Spatial oscillation of the equatorial wetland (green) and drought-tolerant (red) biomes
2606 during glacial-interglacial cycles, tracking climatic changes. A-D represent changes in the
2607 central, Euramerican portion of Pangea. During the humid phase (A & D), the wetland biome
2608 dominates vast areas of the central continent; the drought-tolerant biome is resident in western
2609 Pangea and in portions of the mountainous regions of central Pangea. During the onset of
2610 seasonal drought (B), the drought-tolerant biome expands and the wetland biome contracts into
2611 patchy, isolated refugia; mixed drought-tolerant floras dominate central Pangea. With the onset
2612 of the next humid cycle, the wetlands reassemble from isolated refugia, and the drought-tolerant

2613 flora contracts into areas where it is permanently resident. Base map created by Ron Blakey,
2614 used with permission.

2615

2616 Figure 14. Central Pangean coal basins: Coordinated oscillations in sea-level and climate,
2617 tracked by vegetation during a single glacial-interglacial cycle. A., Basin under marine high-
2618 stand, seasonal climate, drought-tolerant vegetation dominant. Low preservation potential. B.,
2619 Basin during marine regression, climate remains seasonal, channel incision initiated, drought-
2620 tolerant vegetation dominant. Low to moderate preservation potential. C., Late glacial and early
2621 interglacial, sea-level near lowstand, craton broadly exposed, high humidity and peat formation,
2622 wetland vegetation dominant. High short-term preservation potential. D., Marine transgression of
2623 low lying cratonic regions, burying wetland deposits. High intermediate-term preservation
2624 potential.

2625

2626 Figure 15. Lower Permian channel fill formed under semi-arid conditions, north-central Texas,
2627 described by Simon et al. (2018). A., View down channel axis. A mixed flora including conifers,
2628 gigantopterids, and tree ferns occurred within the channel fill. Channel is incised into and
2629 flanked by a vertic paleosol, indicating climatic seasonality. Photograph by the authors. B.,
2630 Reconstruction of the channel. [A = Vertic paleosol overprinting floodplain mudstone; B =
2631 Channel-lag deposits; C = Point bar deposits with inclined strata accumulating by lateral and
2632 oblique accretion; D = Abandoned channel deposits (massive and weakly laminated mudstone);
2633 E = Plant remains (foliage, seeds), bivalves, fish(?) coprolites]. Modified from Simon et al.
2634 (2018).

2635

2636 Figure 16. Taphonomic megabias and the Pennsylvanian-Permian vegetational transition.
2637 During the Pennsylvanian, plants of the wetland biome (green) were abundantly preserved in
2638 association with peat formation and generally widespread in landscapes with high soil moisture.
2639 In between periods of peat formation, when climate shifted to seasonally dry the preservation
2640 potential of organic matter dropped precipitously. During these periods, the drought-tolerant
2641 biome (red) appeared in basins, but was mixed to varying degrees with elements of the wetland
2642 biome, living in refugial pockets (green between red stripes). In the transition to and during the
2643 early Permian, the wettest intervals became seasonally dry and preserved mainly drought-tolerant
2644 vegetation, with variable numbers of wetland species, dominantly marattialean tree ferns and
2645 calamitalean sphenopsids. The drier intervals during the early Permian had effectively no short-
2646 term preservation potential. During the Pennsylvanian, the great predominance of wetland
2647 vegetation, exposed during coal mining, permits large collections of such plants to be made; at
2648 the same time, there is much less exposure of deposits containing drought-tolerant plants, and
2649 neither are such deposits actively searched for. During the Permian, the small, more isolated,
2650 mainly channel-fill deposits bearing plant fossils are more actively searched for, leading to the
2651 false appearance of the “rise” of a drought-tolerant flora at that time. In fact, the drought-tolerant
2652 flora had been there all along, during the entire Pennsylvanian, but becomes much more apparent
2653 or “visible” during the Permian.

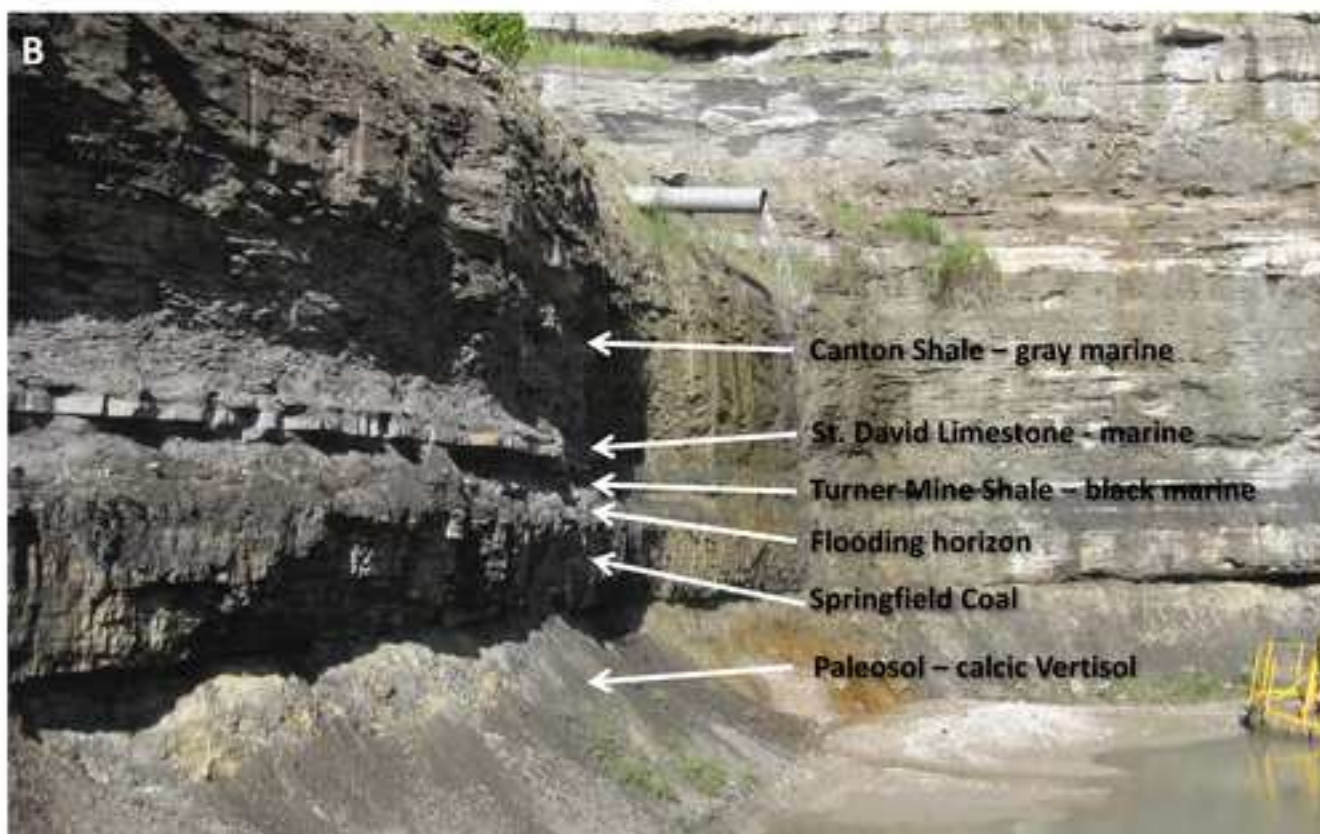
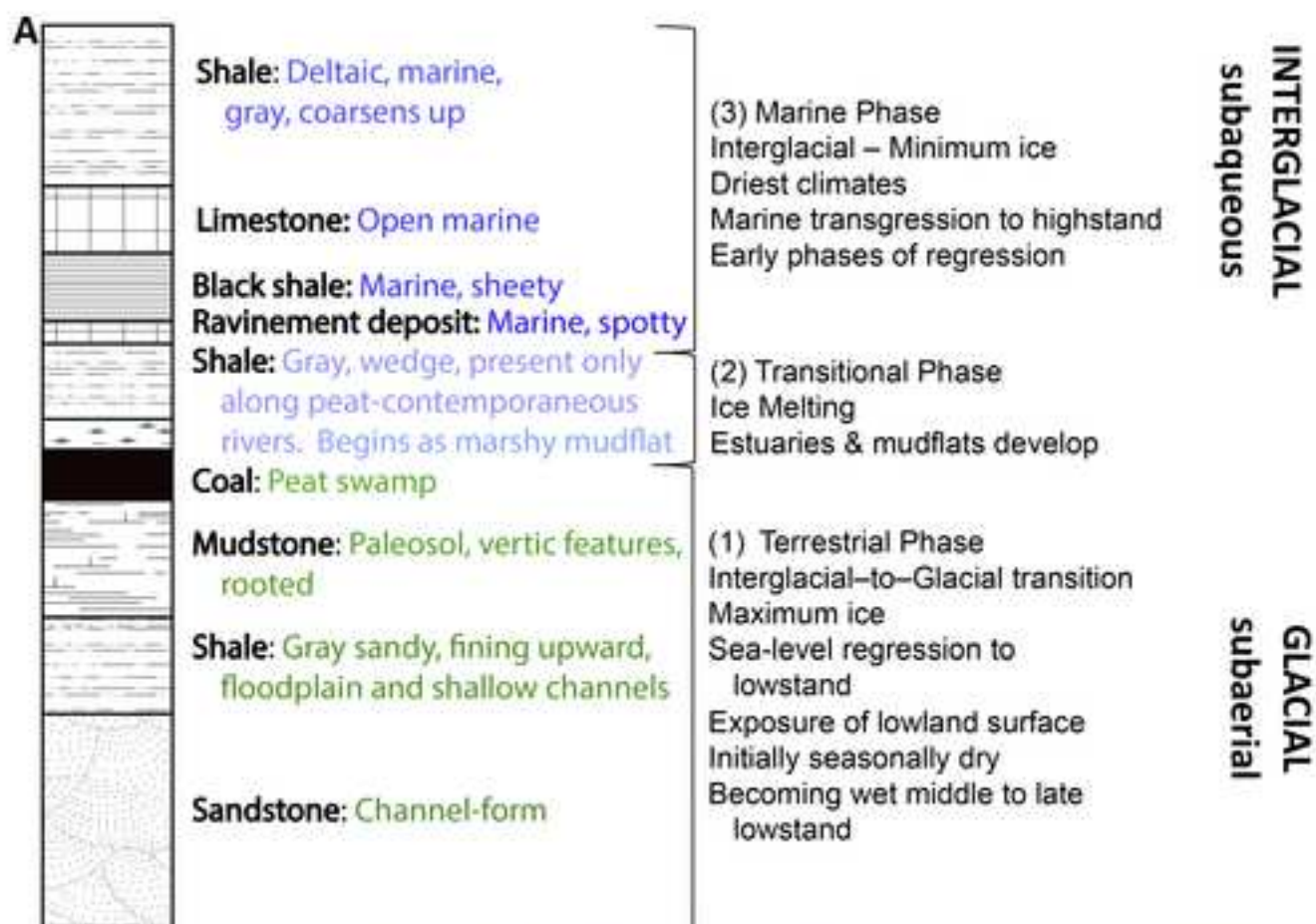
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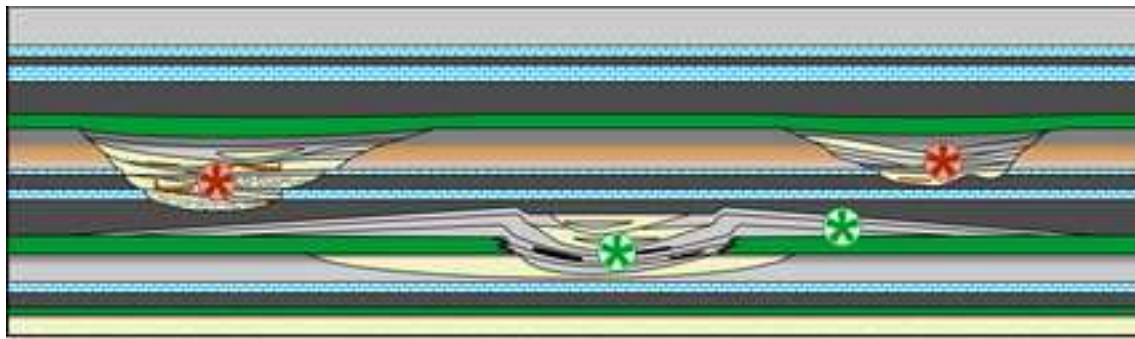
2655 Figure 17. The Upland Model. The basic assumptions of this model: (1) Pennsylvanian climate
2656 was everwet, all the time. (2) Elevation causes drainage, which causes drought, which brings
2657 with it xeromorphic vegetation tolerant of moisture deficits. (3) Preservation of organic matter

2658 occurs in basinal lowlands, but not in the upland, elevated regions. There is no temporal
2659 component in this model.

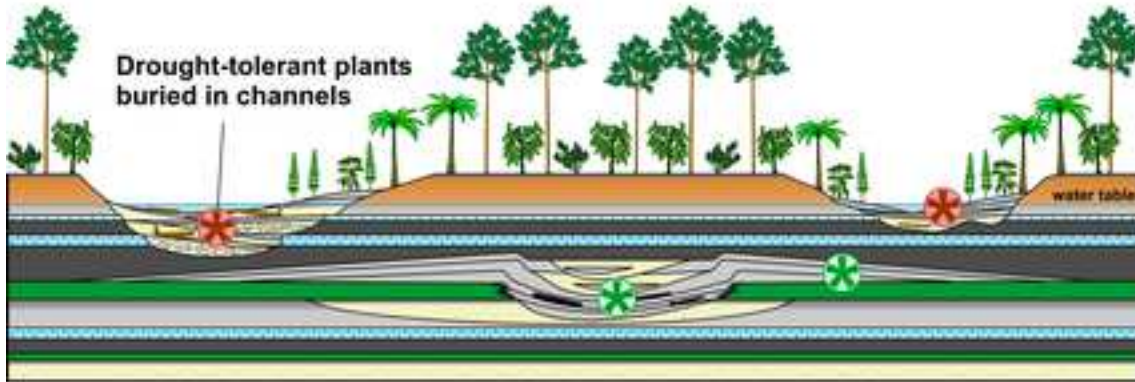
2660

2661 Figure 18. The Climate Model. This model has significantly more moving parts than the Upland
2662 Model and, thus, is more difficult to present simplistically. (1) It explicitly recognizes climate as
2663 the most important factor controlling the distribution of vegetation and the preservation
2664 likelihood of organic matter. (2) It acknowledges that the Pennsylvanian was an ice age and that
2665 tropical climate and sea-level fluctuated in concert with glacial-interglacial cycles. (3) It
2666 recognizes that the effects of climate will be differentially expressed on landscapes of different
2667 elevational complexity. (4) It recognizes that climate will be different across the Pangean
2668 landscape, leading to different patterns in different basins, but that climatic oscillation still can be
2669 recognized. A. The expression of climate change where mountainous terrain adjoins a
2670 sedimentary basin. B. The effects of change in climate across the central portion of Euramerica,
2671 west to east, in separate, widely separated basins. The areas to the left of the margin of each
2672 depositional basin can be considered extrabasinal lowlands (sensu Pfefferkorn, 1980).

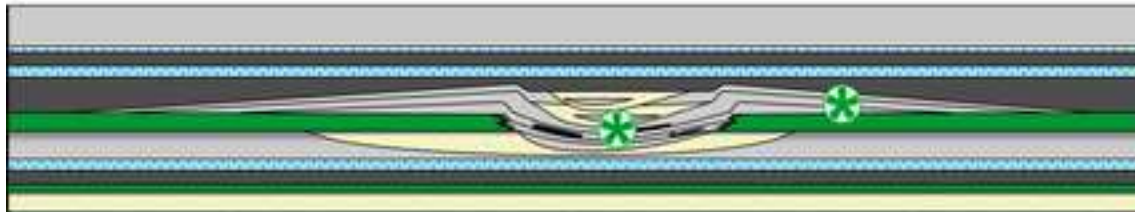




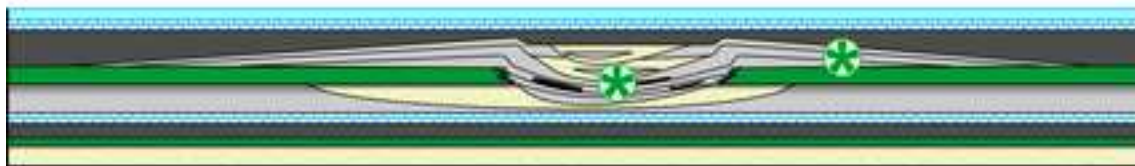
Intermediate- and long-term preservation (sea-level rise and basal subsidence)



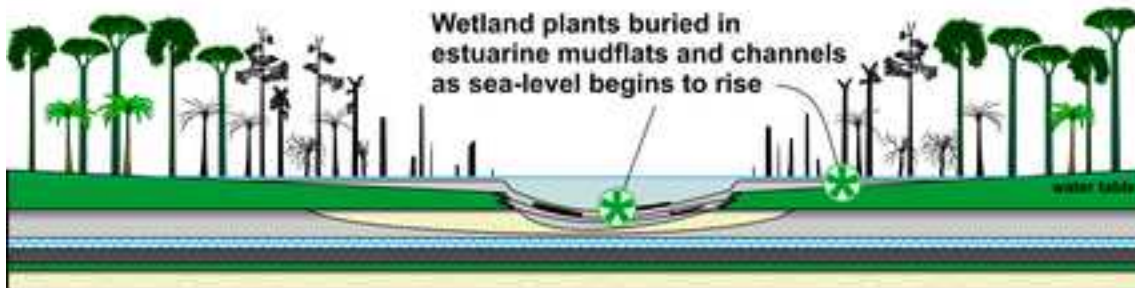
Short-term preservation (burial beneath water table)



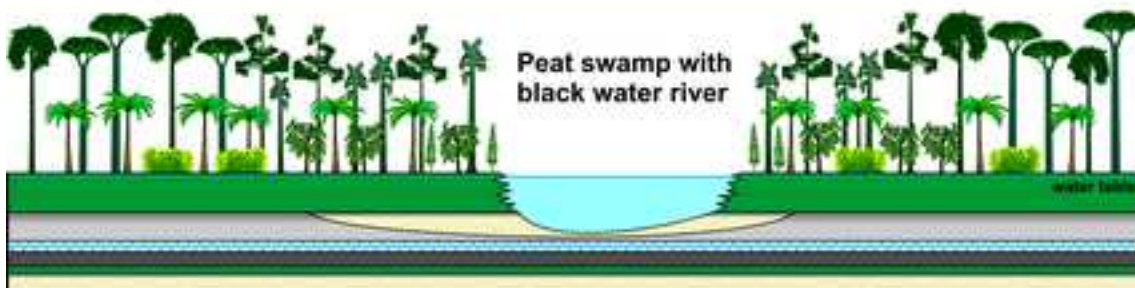
Long-term preservation (basinal subsidence)



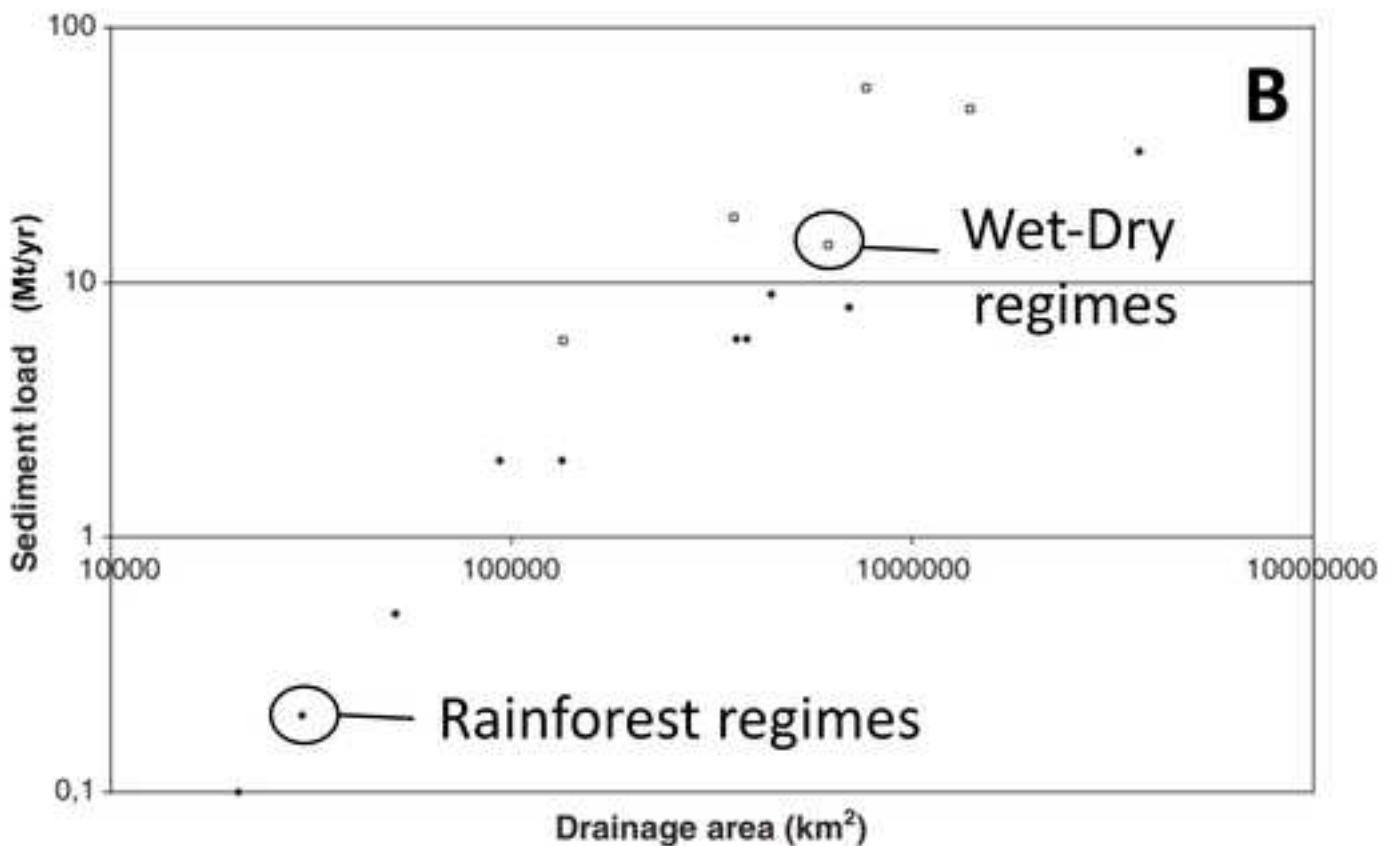
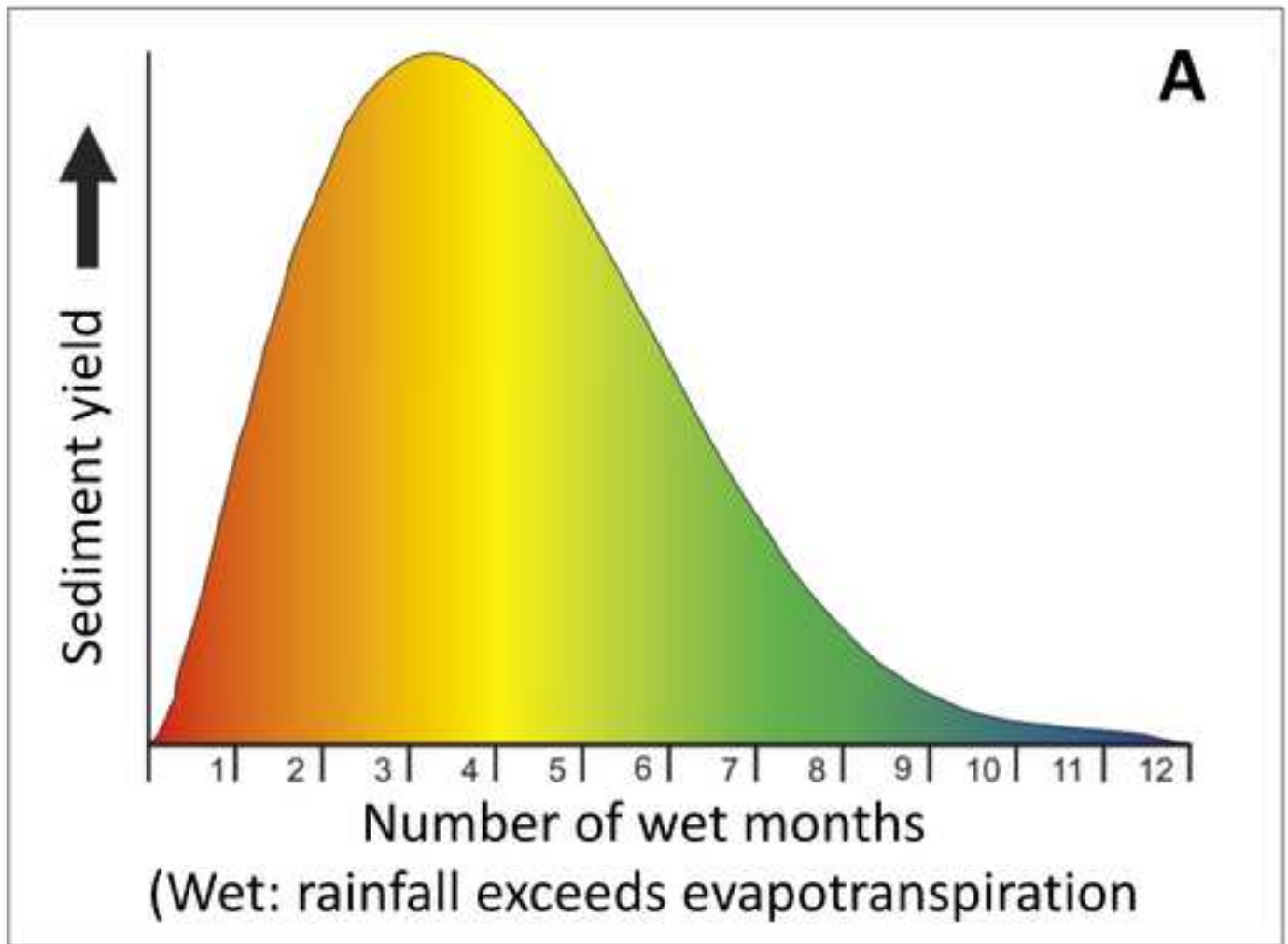
Intermediate-term preservation (sea-level rise)

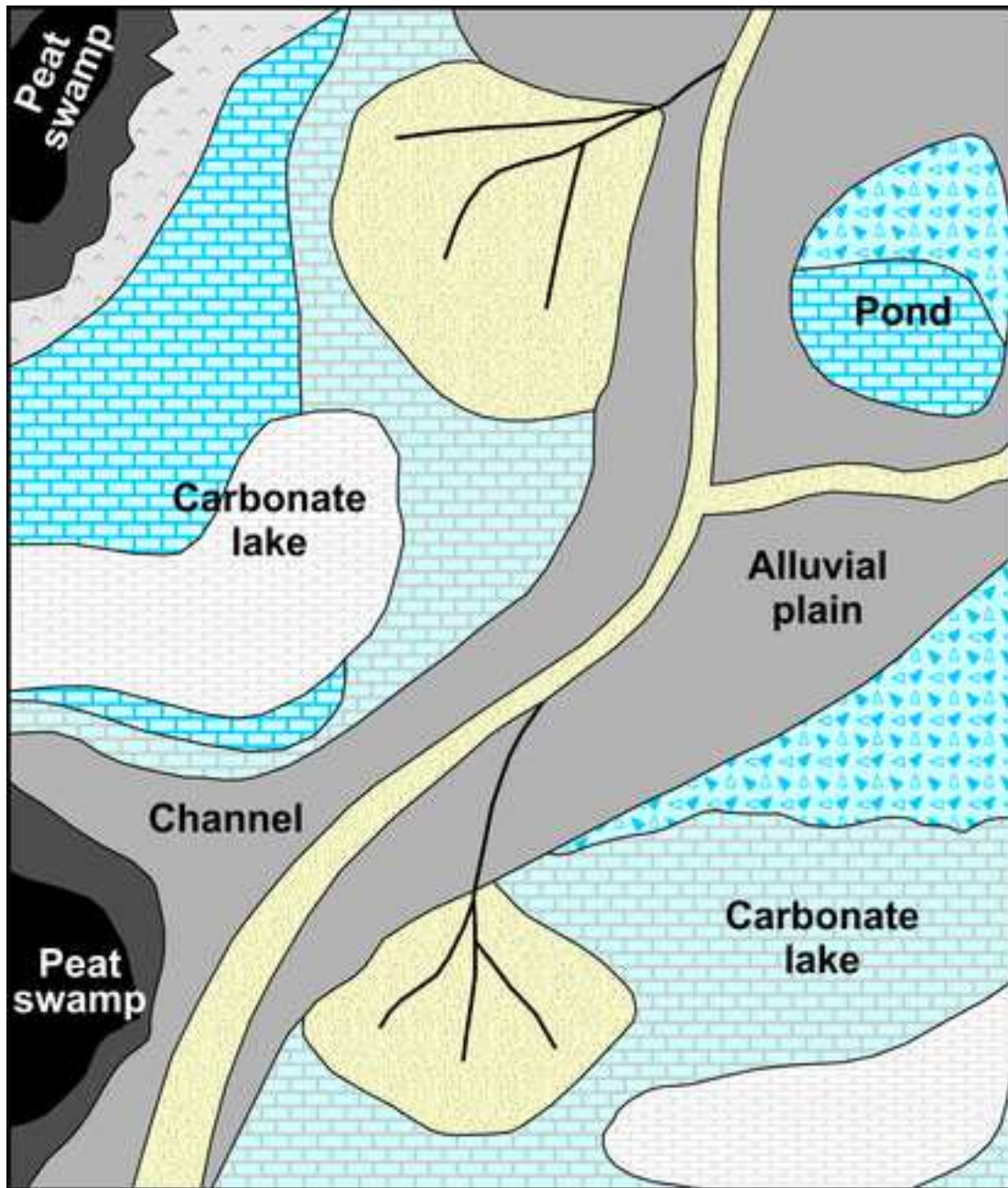


Short-term preservation (burial beneath water table)



water table





Siliciclastic facies



Siltstone



Claystone



Flint clay

Carbonaceous facies



Carbonaceous shale



Coal

Carbonate facies



Rudstone



Clay-rich laminated



Massive/banded



Laminated







