

# *A quantitative study of modern pollen-vegetation relationships in southern Brazil's Araucaria forest*

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1 A quantitative study of modern pollen-  
2 vegetation relationships in southern Brazil's  
3 *Araucaria* forest.

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13 **Abstract**

14 Southern Brazil's highland *Araucaria* forest is ancient, diverse and unique, but its future is under  
15 significant threat from 20<sup>th</sup> Century habitat loss and 21<sup>st</sup> Century climate change. Palaeoecological  
16 studies have revealed that it expanded rapidly over highland grasslands around 1,000 years ago,  
17 but whether this expansion was caused by human land use or climate change has been a topic of  
18 considerable debate. Discriminating between these potential drivers has so far not been possible

19 with fossil pollen, however, as the palynological representation of floristic and structural  
20 differences in *Araucaria* forest remains poorly understood. Here, we address this shortcoming using  
21 modern pollen rain from moss polsters and vegetation surveys in forest areas with minimal current  
22 human disturbance. We show that forest plots with evident structural differences lack consistent  
23 differences in their floristic composition and cannot be reliably distinguished by their pollen  
24 spectra. We quantify pollen-vegetation relationships for 27 key tree genera of *Araucaria* forest,  
25 showing that, despite significant intra-taxon variability, 22 of these are under-represented or  
26 absent in the pollen record. These palynologically under-represented and silent taxa include many  
27 of the forest's most ecologically important tree species, with only *Araucaria*, *Lamanonia*,  
28 *Podocarpus*, *Myrsine* and *Clethra* being more abundant in the pollen rain than vegetation. Our  
29 results suggest that subtle structural changes in *Araucaria* forest, as well as moderate to significant  
30 floristic changes, may not be clearly distinguished in fossil pollen records – an important limitation  
31 when attempting to identify past human and climatic impacts on *Araucaria* forest via pollen  
32 analysis.

33 Key words: *Araucaria* forest, pollen, moss polsters, modern analogues, human impact

## 34 1. Introduction

### 35 1.1. Rationale

36 Disentangling the past effects of humans and climate on ecosystems requires a rigorous  
37 understanding of the vegetation changes that occurred, and how these are reflected in  
38 palaeoecological proxies. This is an important undertaking in Brazil's *Araucaria* forest (also known  
39 as Mixed Ombrophilous Forest), an ancient, highly diverse and threatened ecosystem in the  
40 country's southern highlands. Studies have charted changes in the distribution of *Araucaria* forest  
41 in relation to climatic variations since the late Pleistocene (Behling et al., 2004; Ledru et al., 2009),

42 many finding rapid increases in its pollen abundance about 1,000 years ago which, in some sites,  
43 reached levels unprecedented for tens of thousands of years (Behling et al., 2004; Gu et al., 2017).  
44 This marked expansion ca. 1000 years ago was much more drastic than the steady expansion of  
45 *Araucaria* forest over the previous few millennia, and has been attributed by some authors to  
46 ancient human land use, rather than climate change, due to the coincident expansion of the local  
47 southern proto-Jê culture (Bitencourt and Krauspenhar, 2006; dos Reis et al., 2014; Lauterjung et  
48 al., 2018; Noelli, 2000; Robinson et al., 2018), whose economy, spiritual beliefs and living space  
49 were closely linked to the forest (De Souza et al., 2016a; Iriarte et al., 2016; Iriarte and Behling,  
50 2007).

51 Understanding the extent to which *Araucaria* forest's late-Holocene expansion can be attributed to  
52 humans versus climate change will improve our understanding of the ecosystem's responses to  
53 prevailing climatic conditions – a particularly important endeavour in the face of continuing  
54 anthropogenic climate change. With regional temperatures forecast to become warmer, and  
55 precipitation more variable, as this century progresses (Chou et al., 2014), the cold- and humidity-  
56 dependent *Araucaria* forest is likely to contract (Bergamin, 2017; Wrege et al., 2009).

57 Understanding how this iconic forest responded to past variations in climate – and how humans  
58 may have altered this response – may help conservationists anticipate and ameliorate the effects of  
59 modern climatic changes upon its distribution. This is especially important as *Araucaria* forest cover  
60 was much reduced by the 20th Century logging boom in the states of Paraná, Santa Catarina and  
61 Rio Grande do Sul (Carvalho and Nodari, 2010), with remnants now covering just 12.6% of the  
62 biogeographic region it previously dominated (Ribeiro et al., 2009).

63 The main proxy used for reconstructing past dynamics of vegetation on the southern Brazilian  
64 highlands is fossil pollen from lake/bog sediments, the informed and accurate interpretation of

65 which requires appropriate characterisation and quantification of modern pollen-vegetation  
66 relationships. This is currently poor for Brazil's *Araucaria* forest. Existing pollen-vegetation studies  
67 (Behling et al., 2001; Garcia et al., 2004; Jeske-Pieruschka et al., 2010) are purely qualitative,  
68 identifying *Araucaria* forest's key indicator taxa but giving little insight into the degree to which the  
69 floristic composition or structure of these forests can be resolved palynologically. In this study, we  
70 address this shortcoming, presenting the first quantitative examination of the modern pollen-  
71 vegetation relationship of *Araucaria* forest and its constituent taxa.

## 72 1.2. Background

73 *Araucaria* forest is found at the southern and south-eastern reaches of the Atlantic Forest biome, a  
74 global biodiversity hotspot (Colombo and Joly, 2010; Myers et al., 2000). It occupies the biome's  
75 high-altitude and low-temperature extreme niches (Neves et al., 2017; Oliveira-Filho et al., 2014),  
76 mostly occurring above 500m altitude (Hueck, 1953; Lacerda, 2016) in areas with high annual rainfall  
77 and climatic conditions classified as Cfb – humid subtropical oceanic climate, with temperate  
78 summers and no dry season (Alvares et al., 2013) – under the Köppen system (Higuchi et al., 2012;  
79 Hueck, 1953). At more southerly latitudes in Brazil, some apparently natural stands of *Araucaria*  
80 forest can also be found at elevations below 500m (Behling et al., 2016).

81 *Araucaria* forest is home to over 1,500 species of plants, 6% of which are endemic to the Atlantic  
82 Forest biome (Neves et al., 2017), and is characterised by the dominance of the conifer *Araucaria*  
83 *angustifolia* in its canopy (Duarte et al., 2014; Leite and Klein, 1990; Meyer et al., 2013). This  
84 species has the third highest EDGE score (a metric which combines evolutionary distinctiveness and  
85 global endangerment) of all the world's gymnosperms (Forest et al., 2018), imperilled by logging  
86 and habitat loss which started in the late 19<sup>th</sup> Century and reduced the forests' area by 97% within  
87 three generations (Carvalho and Nodari, 2010; Thomas, 2013). Other important arboreal species

88 include *Dicksonia sellowiana*, *Podocarpus sellowiana*, *Matayba elaeagnoides*, *Lithraea brasiliensis*,  
89 *Clethra scabra*, *Ocotea porosa*, and *Prunus myrtifolia* (Duarte et al., 2014; Meyer et al., 2013).

90 *Araucaria* forest is not floristically homogenous, however. Early studies differentiated eight types of  
91 *Araucaria* forest (Klein, 1978), and the ecosystem's mixture of tropical and temperate elements  
92 varies with longitude, altitude, temperature, river basin, and distance to other forest types (Duarte  
93 et al., 2014; Gonçalves and Souza, 2014; Higuchi et al., 2012; Klein, 1975; Oliveira-Filho et al., 2014;  
94 Sevegnani et al., 2016). At higher altitudes, under drier conditions and in areas of high fire  
95 frequencies and shallower soils, *Araucaria* forest forms mosaics with campos grasslands (Hueck,  
96 1966; Müller et al., 2012; Oliveira-Filho et al., 2014), with other ecotones occurring with seasonally  
97 deciduous and dense ombrophilous forests at its western and eastern extents, respectively  
98 (Gonçalves and Souza, 2014; Oliveira-Filho et al., 2014).

99 Fossil pollen records from the eastern edge of southern Brazil's highland plateau show that the area  
100 was dominated by campos at the Last Glacial Maximum, with *Araucaria* forest likely confined to  
101 river valleys (Behling, 2002; Behling et al., 2004; Leonhardt and Lorscheitter, 2010). These forests  
102 subsequently expanded slightly 4,000-3,000 years ago, and then rapidly 1,500-900 years ago  
103 (Behling, 1997a, 1995; Behling et al., 2004; Iriarte and Behling, 2007; Jeske-Pieruschka and Behling,  
104 2012; Leonhardt and Lorscheitter, 2010; Silva and Anand, 2011), in some places replacing  
105 grasslands within a century (Behling et al., 2004; Iriarte and Behling, 2007).

106 These changes have typically been attributed to climate change (Rodrigues et al., 2016a). However,  
107 recent speleothem data (Bernal et al., 2016) show that, although the initial *Araucaria* forest  
108 expansion at 4,000 yr BP does correlate with an increase in rainfall, no subsequent climate change  
109 accompanies the later, more significant forest expansion at 1,500-900 yr BP (Robinson et al., 2018).  
110 This has led several authors to invoke humans as the most likely cause for this most recent, rapid

111 expansion of *Araucaria* forest (Bitencourt and Krauspenhar, 2006; dos Reis et al., 2014; Iriarte and  
112 Behling, 2007; Noelli, 2000), bolstered by evidence that, under natural conditions, expansion of  
113 forest patches into campos grassland can be extremely slow (less than 100m in 4,000 years (Silva  
114 and Anand, 2011)).

115 Before European arrival, the indigenous people of the highlands, the southern Jê, had lifestyles that  
116 were at least semi-sedentary and practised a mixed economy that combined the cultivation of  
117 manioc (*Manihot esculenta*), maize (*Zea mays*), squash (*Cucurbita* sp.) and beans (*Phaseolus* sp.)  
118 with hunting, fishing, and gathering forest and riverine resources (Corteletti et al., 2015; De Souza  
119 et al., 2016b; Henry, 1964; Métraux, 1946; Noelli and De Souza, 2017). *Araucaria angustifolia* seeds,  
120 known as pinhão, have long been a critical food source for the southern Jê (Corteletti et al., 2015;  
121 Heineberg, 2014; Henry, 1964; Loponte et al., 2016; Métraux, 1946; Urban, 1985), with one group  
122 traditionally defining a year as “one period with no pine nuts” (Henry, 1964, p. 68). Ethnographic  
123 studies of extant southern Jê groups have also highlighted the importance of *Araucaria* forest – and  
124 *A. angustifolia* in particular – as a source of spiritual power and cultural identity (Fernandes and  
125 Piovezana, 2015; Haverroth, 1997; Hoffmann, 2011; Robinson et al., 2017; Silva, 2002).

126 Archaeological records show that the southern Jê flourished around 1,000 years ago (Iriarte et al.,  
127 2016, 2013; Noelli and De Souza, 2017; Robinson et al., 2018), as changes in domestic architecture  
128 appeared (De Souza et al., 2016b), combining with the arrival of funerary mound-and-enclosure  
129 complexes (De Souza et al., 2016a; Iriarte et al., 2016) to form highly structured ‘sacred landscapes’  
130 (Iriarte et al., 2013) in the highlands. The temporal overlap of these changes with the most recent  
131 *Araucaria* forest expansion suggests that more available forest resources likely helped underpin the  
132 cultural changes (Iriarte and Behling, 2007), and there is some evidence that the southern Jê may in



133 turn have helped expand the forest (dos Reis et al., 2014; Lauterjung et al., 2018; Robinson et al.,  
134 2018), though this has not yet been tested with fossil pollen data.

### 135 1.3. Aims

136 Quantitative studies of the relationships between present-day *Araucaria* forest and its constituent  
137 pollen assemblages are needed to improve the level of ecological detail that can be extracted from  
138 fossil pollen records, and thereby obtain a firmer basis for unravelling the relative roles of climate  
139 change versus human land use in driving this threatened forest's long-term dynamics over the past  
140 several millennia. We therefore conducted a study to quantitatively define the vegetation-pollen  
141 relationships of *Araucaria* forest taxa. Specifically, we analysed floristic inventories from vegetation  
142 plots, and collected their constituent pollen assemblages from moss polsters, to determine: 1.  
143 whether structurally different *Araucaria* forest patches can be differentiated by their pollen  
144 spectra, and 2. how the constituent species of these patches are represented in the modern pollen  
145 rain.

## 146 2. Methods

### 147 2.1. Study site

148 [Insert Figure 1 here]

149 Figure 1: Map of forest plot locations; numbers refer to plot codes (see Table 1 below). Plot colours:  
150 Cyan: riverine; Olive: slope; Black: rock outcrop; Purple: open understorey; Orange: closed  
151 understorey; Red: disturbed.

152 The Reserva Particular do Patrimônio Natural (RPPN) Emilio Einsfeld Filho (27°58'0.80"S,  
153 50°49'20.03"W, 650-990 m a.s.l.), managed by the Florestal Gateados company, is located in the  
154 municipalities of Campo Belo do Sul and Capão Alto, southern Santa Catarina State, Brazil (Figure

155 1). RPPN Emilio Einsfeld Filho is located on the plateau of the Serra Catarinense, a gently undulating  
156 landscape. The reserve covers 6,329 hectares of native *Araucaria* forest patches within a wider  
157 matrix of campos grassland, with the largest density of forest along rivers, valleys and slopes.  
158 Forested areas have been protected from timber extraction since 1989 and cattle grazing since  
159 1993 (Zeller, 2010).

160 The climate of the area corresponds to Cfb in the Köppen classification: humid subtropical with  
161 temperate summers and no dry season, but with occurrence of severe frosts (Alvares et al., 2013;  
162 Formento et al., 2004; Zeller, 2010). Between 2005 and 2009 the reserve's average annual  
163 temperature was 16°C, with hottest months averaging 31°C, coldest months averaging 6.5°C and a  
164 lowest recorded temperature of -12°C; in this period annual precipitation varied between 1300 and  
165 2400 mm, with an average of 129 rainy days a year (Zeller, 2010).

## 166 2.2 Field sampling

### 167 2.2.1 Vegetation survey

168 The native *Araucaria* forest at RPPN Emilio Einsfeld Filho has been subject to ecological studies for  
169 the last 20 years, with permanent plots of 10 x 50 m installed to perform floristic inventories and  
170 study forest dynamics under distinct geographic conditions. Within each plot all trees with d.b.h.  
171 (diameter at breast height)  $\geq 10$  cm have been recorded (Formento et al., 2004; Maçaneiro et al.,  
172 2018). Percentage abundances were calculated based upon all recorded stems surveyed within  
173 each plot.

174 The sixteen plots used in this study are located within the oldest and least disturbed areas of forest  
175 and incorporate the widest available range of vegetation form and physical setting (Table 1). Data  
176 on canopy openness, slope, animal disturbance, geographical feature associations and topographic  
177 position were collected during botanical surveys in 2015, and the plots classified into six structural

178 categories according to their dominant feature:

- 179 • slope: forest patches in areas with > 25% inclination
- 180 • rock outcrop: forest patches where rock outcrops cover > 20% of plot surface
- 181 • riverine: forest patch bounded by, or entirely within 50 m of, a water course (river or creek)
- 182 • open understorey: forest with closed canopy and scarce understorey
- 183 • closed understorey: forest with closed canopy and dense understorey
- 184 • naturally disturbed: forest patches with evidence of ground disturbance by wild boars

<b>Plot ID</b>	<b>Forest Plot category</b>	<b>Coordinates</b>	<b>Altitude (a.s.l.)</b>
114	Slope	28° 2'34.70"S, 50°45'21.40"W	780 m
118	Slope	28° 3'28.80"S, 50°45'45.80"W	924 m
117	Rock outcrop	28° 3'0.10"S, 50°45'16.50"W	856 m
110	Riverine	28° 1'17.30"S, 50°46'55.50"W	721 m
136	Riverine	28° 1'55.50"S, 50°45'59.00"W	740 m
151	Riverine	28° 3'22.50"S,	874 m

		50°45'29.60"W	
119	Open understorey	28° 3'16.80"S, 50°45'51.70"W	929 m
122	Open understorey	28° 2'59.00"S, 50°46'28.10"W	921 m
123	Open understorey	28° 3'4.10"S, 50°46'11.60"W	935 m
142	Open understorey	28° 3'42.60"S, 50°46'26.60"W	922 m
144	Open understorey	28° 3'24.30"S, 50°46'21.50"W	953 m
156	Disturbed	28° 4'29.00"S, 50°46'22.10"W	850 m
157	Disturbed	28° 4'11.80"S, 50°46'20.90"W	851 m
159	Disturbed	28° 4'21.60"S, 50°45'53.60"W	868 m
141	Closed understorey	28° 3'40.70"S, 50°46'14.90"W	931 m
149	Closed understorey	28° 3'53.50"S, 50°45'39.20"W	891 m

185 Table 1: The studied forest plots, their structural category, and the location and altitude of each  
186 transect's starting point.

### 187 2.2.2 Modern pollen rain

188 Using moss polsters to study modern pollen rain has been widely used and recognized as a reliable  
189 technique (Atanassova, 2007; Caseldine, 1989; Hicks, 1977; López-Sáez et al., 2010; Pardoe, 2006;  
190 Pardoe et al., 2010; Tonkov et al., 2001). Moss polsters can collect several years' pollen (Pardoe et  
191 al., 2010), occur naturally within the forest on different substrates and at varied heights (allowing  
192 for effective capture of pollen rain) and do not need to be installed and managed before analysis  
193 (Hicks, 1985). Moss polsters were gathered every 10 m along the 50 m length of each forest  
194 inventory plot surveyed. At each collection point, polsters were obtained from ground level  
195 (including rocks), chest height (1.20 m) and overhead (1.80 m). The samples for each point of  
196 collection were mixed to form one homogeneous sample for each plot (following Pardoe et al.,  
197 2010), placed in a labelled, sealed plastic bag, and stored at 4°C to preserve the material.

### 198 2.3. Laboratory methods

199 Subsamples of 1 cm<sup>3</sup> were extracted from each homogenised sample for pollen processing. Each  
200 subsample was centrifuged, washed with distilled water, centrifuged again, then treated with 10%  
201 NaOH and put in a hot-water bath to deflocculate the organics. Afterwards, acetolysis was carried  
202 out in the samples to dissolve cellulose material (Faegri and Iversen, 1989).

203 Samples were mounted on slides in silicone oil and counted at 400× and 1000× magnification using  
204 a Leica DME binocular microscope. Samples were counted to a minimum of 300 terrestrial pollen  
205 grains. Aquatic taxa and spores were also counted as is standard practice, but were excluded from  
206 the total terrestrial pollen (TTP) sum; non-native species (e.g. pine from recent plantations  
207 surrounding the reserve) were also excluded from the TTP sum. For pollen determination, the

208 reference collection of the Tropical Palaeoecology Research Group of the University of Reading was  
209 used, along with several pollen atlases – Colinvaux et al. (1999), Hooghiemstra (1984), Roubik and  
210 Moreno (1991), Behling (1993) – and the online Neotropical Pollen Key (Bush and Weng, 2007).  
211 Diagrams of vegetation and pollen abundance were made using C2 v.1.7.7 (Juggins, 2016).

## 212 2.4. Data analysis

### 213 2.4.1 Vegetation data processing

214 Analysis of each plot's floristic inventory data used percentage abundance (relative to the total  
215 number of individual trees counted) and relative coverage value (RCV). RCV (expressed as a  
216 percentage) indicates the importance of a species within a forest plot, taking into account its  
217 individuals' density and dominance.

$$218 \quad RCV_i = \frac{(RDo_i + RDen_i)}{\sum(RDo + RDen)} * 100$$

219 *RCVi*: Relative Coverage Value for species *i* (%)

220 *RDoi*: Relative dominance for species *i* (basal area (m<sup>2</sup>) per hectare)

221 *RDeni*: Relative density for species *i* (number of individuals per hectare)

222 *RDo*: Relative dominance for all species (m<sup>2</sup> / ha)

223 *RDen*: Relative density for all species (n / ha)

### 224 2.4.2 Statistical analysis of vegetation and pollen data

225 To investigate the extent to which structural differences between plots are reflected in their  
226 vegetation composition and pollen rain, we conducted cluster and Detrended Correspondence  
227 Analysis (DCA) multivariate analyses using PAST (Hammer et al., 2001) v.3.19 (2018). Raw floristic  
228 inventory and pollen data were normalised using natural logarithm before running the analyses.  
229 Only taxa with abundance ≥ 2% in two or more plots were considered for cluster and multivariate

230 analysis.

231 Cluster analysis was run with hierarchical clustering using the Unweighted Pair Group Method  
232 (UPGM) algorithm, which iteratively joins clusters based on the average distance between all  
233 members of the groups (Kent and Coker, 1992; Legendre et al., 2012). The measure of similarity or  
234 distance measurements between samples (forest plots) was calculated using Bray-Curtis index of  
235 dissimilarity (Kent and Coker, 1992). The DCA uses the same algorithm as Decorana (Hill and Gauch,  
236 1980), with modifications according to Oksanen and Minchin (1997). The DCA method was  
237 preferred as it allows the identification of the ecological variances amongst the forest plots (Correa-  
238 Metrio et al., 2014).

239 To enable direct comparisons between taxa in the vegetation and pollen rain, which were mostly  
240 identified at different taxonomic levels, the vegetation-pollen analysis was performed at genus  
241 level, with congeneric species combined for the analysis (Burn et al., 2010).

242 To quantify the vegetation-pollen relationships of taxa in this study area, we calculated mean p/v  
243 (pollen/vegetation) values (Burn et al., 2010; Gosling et al., 2009; Montade et al., 2016), which are  
244 analogous to R values (Davis, 1963). We calculate the p/v value for taxon  $i$  as:

$$245 \quad p/v_i = \frac{\text{Pollen abundance (\% averaged over all plots } i)}{\text{Vegetation abundance (\% averaged over all plots } i)}$$

246 Although more complex measures of pollen production exist (e.g. Parsons and Prentice, 1981;  
247 Sugita, 2007a, 2007b), p/v values provide a straightforward and intuitive index of the relationship  
248 between vegetation and pollen abundance and continue to be foundational for vegetation  
249 reconstruction (Mrotzek et al., 2017).

250 To complement this metric and show the variability in pollen-vegetation relationships between  
251 plots, we also calculated a pollen-vegetation abundance differential for taxon  $i$ :

252  $Abundance\ differential_i = Pollen\ abundance\ (\%)_i - Vegetation\ abundance\ (\%)_i$

253 Plots where a taxon was absent from both the pollen rain and vegetation survey were not included  
254 in calculations of mean differentials. p/v values and abundance differentials could not be calculated  
255 for herbaceous taxa as these were not included in the vegetation survey. Data were plotted using R  
256 v.3.4.2 (R Core Team, 2017) and PAST (Hammer et al., 2001) v.3.19 (2018).

## 257 3. Results

### 258 3.1. Vegetation

259 Across the 16 forest plots, 54 tree species with d.b.h.  $\geq$  10 cm were recorded, of which 33 had  
260 relative abundances of 2% or higher in at least two plots; the relative (percentage) abundance of  
261 these species within each plot is shown in Figure 2. The most consistently present species were  
262 *Lithraea brasiliensis* (15 plots), *Cinnamodendron dinisii* (13 plots), *Myrsine coriacea*, *Ocotea*  
263 *pulchella* and *Araucaria angustifolia* (12 plots), undifferentiated *Eugenia* sp. (11 plots), and  
264 *Calyptranthes* cf. *concinna*, *Ilex theezans*, *Pera glabrata*, *Podocarpus lambertii* and *Zanthoxylum*  
265 *kleinii* (10 plots).

266 The taxa with the highest average abundance in the vegetation were *L. brasiliensis* (9.1%),  
267 *Cinnamodendron dinisii* (7.7%), *A. angustifolia* (7.3%), undifferentiated *Eugenia* sp. (6.7%), *O.*  
268 *pulchella* (5.7%), and *Calyptranthes* cf. *concinna* (5.0%). Of the common taxa, *L. brasiliensis* had the  
269 highest maximum abundance (34.2%), followed by *Eugenia* sp. (26.4%), *A. angustifolia* (26.1%), *E.*  
270 *uniflora* (25.7%) and *Cinnamodendron dinisii* (24.1%). Two less common species with high maximum  
271 abundances were *Matayba elaeagnoides* (found in three plots, max. 35.6%) and *Nectandra*  
272 *megapotamica* (three plots, max. 28.6%).

273 Generally, tree species that were more abundant also had higher relative coverage values (RCVs;



274 Figure 3): the taxa with the highest RCVs averaged across all plots were *L. brasiliensis* (10.3%), *A.*  
275 *angustifolia* (10.0%), *O. pulchella* (7.8%), *C. dinisii* (6.1%), *Styrax leprosus* (5.3%) and  
276 undifferentiated *Eugenia* sp. (5.2%). Some species were found in few plots, but had high RCVs  
277 where they were present: the less frequent species with the highest RCVs averaged across the plots  
278 in which they were found were *M. elaeagnoides* (15.6%, four plots), *Luehea divaricata* (9.2%, three  
279 plots), *N. megapotamica* (9.0%, three plots), *Vernonanthura discolor* (7.4%, five plots), *Sebastiania*  
280 *commersoniana* (7.0%, six plots), *Prunus myrtifolia* (5.7%, six plots), *Piptocarpha angustifolia* (5.2%,  
281 two plots), *Myrceugenia* sp. (5.1%, five plots) and *Myrsine umbellata* (5.0%, two plots).

### 282 3.2. Pollen

283 170 pollen and spore types were found in the 16 forest plots. Of these, 118 could be identified to  
284 family level, 95 of which could be refined to genus, one to species (*Ilex theezans*). We also assign  
285 species names to *Araucaria angustifolia* and *Podocarpus lambertii* because no other species of  
286 these genera occur in our study area. The plots' pollen spectra are summarised in Figure 4, where  
287 abundant and important taxa are shown.

288 Eight pollen types were found in all 16 plots: *A. angustifolia*, Asteraceae (others total), *Eugenia*  
289 type, 'cf *Lithraea* a (Anacardiaceae)', *Myrsine*, Poaceae, *P. lambertii*, and Pteridophyta. Additionally,  
290 Araceae pollen was found in 15 plots, and *Lithraea*, *Vernonanthura*-type and *Calyptanthus*-type in  
291 14; *Sebastiania* and undifferentiated Myrtaceae pollen was found in 12 plots, and *Clethra*, *I.*  
292 *theezans* and *Pteris* each in 10 plots. Additionally, *Alchornea* pollen and *Cyathea*-type spores were  
293 found at very low levels (average abundance 0.27% and 0.2% respectively) in 11 plots, with *Senecio*-  
294 type (average 0.35%) and *Mimosa scabrella*-type (average 0.25%) present in 10 plots.

295 *Myrsine* pollen was the most abundant across all plots (averaging 19.5%), followed by *A.*  
296 *angustifolia* (16.6%), Pteridophyta (13.2%), *Podocarpus lambertii* (7.9%) and Poaceae (5.2%).

297 *Eugenia*-type, 'cf *Lithraea* a (Anacardiaceae)', Asteraceae (others total), *Lamanonia*, *I. theezans*,  
298 *Calyptanthus*-type, *Vernonanthura*-type and *Clethra* pollen all had average abundances between  
299 1% and 5%.

300 [Insert Figure 2 here]

301 Figure 2: Relative abundance (%) of selected tree species in the vegetation survey. Species included  
302 in the cluster analysis and DCA are indicated with an asterisk.

303 [Insert Figure 3 here]

304 Figure 3: Relative Coverage Values (RCVs, %) of selected tree species in the vegetation survey. 'Ave.  
305 (all)' = sum of RCVs/total number of plots; 'Ave. (present)' = sum of RCVs/number of plots in which  
306 taxon was present.

307 [Insert Figure 4 here]

308 Figure 4: Relative abundance (%) of selected pollen types. Taxa included in the cluster analysis and  
309 DCA are indicated with an asterisk

### 310 3.3. Plot differentiation

311 33 taxa from the vegetation survey and 15 pollen types met the 2% abundance threshold for  
312 inclusion in the plot differentiation analysis (see section 2.4.2); these are identified with asterisks in  
313 the summary diagrams (Figures 2 and 4).

314 [Insert Figure 5 here]

315 Figure 5: Cluster analyses (left; a, c) and DCAs (right; b, d) of plots by vegetation (top; a, b) and  
316 pollen (bottom; c, d) taxa found in  $\geq 2$  plots at  $\geq 2\%$  abundance. In the DCAs, convex hulls are  
317 delimited for structural categories containing three or more plots. Plot types are identified by  
318 colour and two-letter code (op: open; cl: closed; ri: riverine; di: disturbed; ro: rock; sl: slope; see

319 Table 1).

320 In the cluster analysis of vegetation data (Figure 5a), similarity scores range from ~0.25 to > 0.75.

321 Two plot groupings that are somewhat structurally consistent can be highlighted. One such cluster  
322 contains three of the five open-understorey plots (P119, P122 and P123) with the lone slope plot  
323 P118 (similarity score > 0.65); the other is the pairing of riverine plots P136 and P110 which, despite  
324 having similarity scores < 0.6 relative to each other, are together highly dissimilar to all other plots.

325 In the DCA of vegetation data (Figure 5b), most variation is explained on axis 1 (eigenvalue 0.3781),  
326 with values ranging from -196 (*Cyathea* sp.) to 365 (*Nectandra megapotamica*). The majority of  
327 sample plots are clustered between 0 and 143 on axis 1, with the riverine plots P136 (202) and P110  
328 (255) more distinguished. The values on axis 2 (eigenvalue 0.1268) range from -337 (*Sapium*  
329 *glandulosum*) to 388 (*Myrsine umbellata*); sample plots are all clustered between 0 and 140 on this  
330 axis.

331 In the pollen cluster analysis (Figure 5c), plots' similarity scores range from ~0.5 to > 0.85. Two small  
332 clusters dominated by open understorey forest plots were found: P122 and P123 (both open;  
333 similarity > 0.7), and P144 and P119 (both open) with the rocky forest plot P117 (similarity > 0.7).  
334 These two groupings are quite dissimilar from each other, however, and the cluster that contains  
335 them both also contains seven non-open plots, and excludes the final open plot (P142).

336 In the DCA of pollen spectra (Figure 5d) axis 1 (eigenvalue 0.2454) ranges from -72 (*Pteris*) to 305  
337 (*Lamanonia*), with 15 of the plots clustered between 0 and 119; P151 is located at 184. The forest  
338 plots are less well distinguished on axis 2 (eigenvalue 0.07194), sitting between values of 0 and 110  
339 on an axis that ranges from -233 (Myrtaceae others total) and 426 (*Clethra* total).

#### 340 3.4. Vegetation-pollen relationships.

341 We examined the vegetation-pollen relationships of 27 arboreal genera. Four of these

342 (*Myrceugenia*, *Nectandra*, *Ocotea* and *Piptocarpha*) were present in the vegetation but with no  
343 identifiable pollen produced or preserved ( $p/v = 0$ ), and one (*Clethra*) was frequent in the pollen  
344 record without being recorded in the vegetation survey (giving it a mathematically infinite  $p/v$   
345 value). Four other genera had higher average abundances for pollen than vegetation ( $p/v > 1$ ), and  
346 18 were more abundant in the vegetation than pollen ( $p/v < 1$ ) – see Figure 6.

347 Of the taxa found in both pollen and vegetation datasets, the most over-represented genus is  
348 *Lamanonia*, followed by *Podocarpus*, *Myrsine* and *Araucaria*. In plot P151 *Lamanonia* was not  
349 recorded in the vegetation but its pollen made up 20.3% of the total; with this data point excluded  
350 from the average calculations, *Lamanonia*'s  $p/v$  value is 1.25. The most under-represented genera  
351 found in the pollen rain are *Cinnamodendron*, *Allophylus*, *Prunus*, *Styrax*, *Luehea* and *Zanthoxylum*  
352 ( $p/v < 0.05$ ); *Casearia*, *Matayba*, *Pera* and *Lithraea* also have  $p/v$  scores  $< 0.1$ . *Calypttranthes*,  
353 *Campomanesia*, *Eugenia*, *Sapium*, *Sebastiania* and *Xylosma* all have  $p/v$  values between 0.1 and 0.5.  
354 The pollen type 'cf *Lithraea* a (Anacardiaceae)' was three times more common than pollen that  
355 could be confidently identified to the *Lithraea* genus; assigning these grains to *Lithraea* changes the  
356 genus's  $p/v$  score from 0.09 to 0.39.

357 [Insert Figure 6 here]

358 Figure 6:  $p/v$  values of key genera of *Araucaria* forest in this study. *Clethra* has an infinitely high  $p/v$   
359 value; faint sections in the bars of *Lamanonia* and *Lithraea* reflect alternate calculations of their  $p/v$   
360 values (see section 3.4).

361 Between-plot variability in vegetation-pollen relationships is not well demonstrated by  $p/v$  values,  
362 as their calculation requires a taxon to be present in both vegetation and pollen records for a plot.  
363 The only taxon for which this occurs in all plots is *Eugenia*, whose plot-specific  $p/v$  scores varied  
364 between 0.04 (P141) and 2.26 (P122), with 14 plots having  $p/v$  values  $< 1$ . This variability is more

365 evident with pollen-vegetation abundance differentials (Table 3 and Figure 7). *Myrsine*, *Araucaria*  
 366 and *Podocarpus* had the most positive mean values (all above +5%); *Nectandra*, *Eugenia*, *Lithraea*,  
 367 *Cinnamodendron*, *Styrax*, *Ocotea*, and *Matayba* had the most negative mean values (all below -5%).  
 368 *Lithraea*'s mean differential changes to -5.52% if 'cf *Lithraea* (Anacardiaceae)' pollen is included in  
 369 the calculation.

Genus	Mean	Min	Max	Range (Max-Min)
<i>Allophylus</i>	-4.13	-8.57	0.20	8.77
<i>Araucaria</i>	+9.36	-9.48	20.63	30.11
<i>Calyptranthes</i>	-3.44	-17.06	1.09	18.15
<i>Campomanesia</i>	-2.08	-5.71	0.81	6.52
<i>Casearia</i>	-4.17	-13.84	0.45	14.29
<i>Cinnamodendron</i>	-8.08	-24.14	0.44	24.57
<i>Clethra</i>	+1.76	0.37	6.68	6.31
<i>Eugenia</i>	-8.47	-25.92	7.17	33.09
<i>Ilex</i>	-1.07	-8.73	2.93	11.66
<i>Lamanonia</i>	+2.69	-1.16	20.32	21.49
<i>Lithraea</i>	-8.25	-32.56	0.26	32.82
<i>Luehea</i>	-4.89	-8.89	0.18	9.07
<i>Matayba</i>	-6.29	-34.14	0.36	34.50
<i>Myrceugenia</i>	-4.61	-9.09	-1.75	7.34

<i>Myrsine</i>	+13.88	-3.05	55.75	58.80
<i>Nectandra</i>	-11.73	-28.57	-2.17	26.40
<i>Ocotea</i>	-7.25	-16.36	-1.75	14.61
<i>Pera</i>	-4.83	-21.04	1.21	22.25
<i>Piptocarpha</i>	-3.02	-4.29	-1.75	2.53
<i>Podocarpus</i>	+5.78	-5.73	19.24	24.97
<i>Prunus</i>	-3.21	-6.82	0.23	7.04
<i>Sapium</i>	-1.27	-5.05	0.44	5.49
<i>Sebastiania</i>	-4.35	-25.85	0.55	26.40
<i>Styrax</i>	-7.52	-22.86	0.45	23.31
<i>Vernonanthura</i>	-0.38	-4.89	1.83	6.72
<i>Xylosma</i>	-2.16	-7.02	1.49	8.51
<i>Zanthoxylum</i>	-4.76	-12.73	0.20	12.93

370 Table 3: Pollen-vegetation abundance differential values (%) for key genera of *Araucaria* forest in  
371 this study.

372 *Myrsine* had the most extreme positive values: +55.75% (P114, slope), +41.25% (P157, disturbed),  
373 +30.70% (P141, closed understorey), +26.38% (P142, open understorey) and +20.48% (P159,  
374 disturbed). Values above +20% also occurred twice for *Araucaria* (+20.63% in P151, riverine, and  
375 +20.30% in P159, disturbed) and once for *Lamanonia* (+20.32% in P151, riverine). Similarly negative  
376 values (below -20%) were more evenly spread among taxa, with two cases in *Styrax* (-22.86% in  
377 P122, open understorey, and -20.00% in P141, closed understorey) and one each in *Matayba* (-

378 34.14% in P136, riverine), *Lithraea* (-32.56% in P114, slope), *Nectandra* (-28.57% in P110, riverine),  
379 *Eugenia* (-25.92% in P156, disturbed), *Sebastiania* (-25.85% in P151, riverine), *Cinnamodendron* (-  
380 24.14% in P159, disturbed), and *Pera* (-21.04% in P119, open understory).

381 [Insert Figure 7 here]

382 Figure 7: Pollen-vegetation abundance differentials (square-root transformed) for selected genera.

383 Positive values denote plots where a taxon's pollen was more abundant than its vegetation;

384 negative values reflect vegetation being more abundant than pollen. Blank cells denote plots where

385 a taxon was absent from both pollen and vegetation data.

386 The genus with the greatest difference between maximum and minimum abundance differentials is

387 *Myrsine*, with wide variation (> 30%) also found in *Matayba*, *Eugenia*, *Lithraea* and *Araucaria*;

388 *Nectandra*, *Sebastiania*, *Podocarpus*, *Cinnamodendron*, *Styrax* and *Lamanonia* had differences

389 between 20 and 30%. Most genera had both positive and negative abundance differentials, with

390 the exceptions being *Clethra* (all positive) and *Myrceugenia*, *Nectandra*, *Ocotea* and *Piptocarpha* (all

391 negative). However, few taxa (*Araucaria*, *Eugenia*, *Ilex*, *Myrsine*, *Podocarpus*) had differentials > 2%

392 in both positive and negative directions.

## 393 4. Discussion

### 394 4.1. Detecting structural differences in *Araucaria* forest

395 The vegetation of the studied forest area is characteristic of *Araucaria* forest, containing 19 of its 30

396 most important tree species (Schorn et al., 2012). Three of the predominant species in this study (*A.*

397 *angustifolia*, *O. pulchella*, *P. lambertii*), as well as others found at lower levels (*Matayba*

398 *elaegnoides*, *Lamanonia ternata*), are key indicator species (Gonçalves and Souza, 2014). *Lithraea*

399 *brasiliensis*, the most common, abundant and dominant species in our sample plots, is the fifth

400 most important tree across Santa Catarina's *Araucaria* forest, especially significant below 1200 m  
401 a.s.l (Meyer et al., 2013; Schorn et al., 2012).

402 The floristic composition of the plots is somewhat variable, with no pair of plots having a similarity  
403 score above 0.8 (Figure 5a), but this variability in composition does not generally reflect the  
404 structural differences between the plots. This can be seen in the cluster analysis (Figure 5a): three  
405 of the open understorey plots (P119, P122, P123) are clustered together along with the slope plot  
406 P118, but the remaining two open plots (P142 and P144) are far removed; the cluster that would  
407 include all five open plots would have 14 members. Similarly, the disturbed plots P157 and P159 are  
408 closely paired, but the cluster that would also include the third disturbed plot (P156) would  
409 encompass nine plots in total. The riverine plots P110 and P136 are distinct from the rest of the  
410 plots but cannot be grouped with the third member of the riverine group (P151) without including  
411 all sampled plots in the cluster.

412 This pattern is further shown in the DCA (Figure 5b), of which only axis 1 has an eigenvalue > 0.3  
413 (0.3781), which would be suggestive of ecological relevance (Peterson and Gale, 1991; Rezende et  
414 al., 2015). Here again P110 and P136 are the only plots that are clearly distinguished by their  
415 vegetation. Their floristic difference to the other studied plots may partly result from their location  
416 at the northern end of the studied area, > 1.5 km from the other plots. Their regeneration stage  
417 could also be an explanatory factor: these plots have the highest RCVs for *Matayba elaeagnoides*,  
418 as well as the highest recorded abundances of the pioneer *Nectandra megapotamica*, two of the  
419 three highest abundances of *Allophylus edulis*, and the presence of *Sebastiania commersoniana*, all  
420 of which are important taxa in regenerating *Araucaria* forest patches (Meyer et al., 2013; Schorn et  
421 al., 2012).

422 The most common and abundant tree pollen in our study sites came from *Araucaria angustifolia*,



423 Myrtaceae (mainly *Eugenia*), Anacardiaceae cf *Lithraea*, *Myrsine* and *Podocarpus*, with *Lithraea*,  
424 *Vernonanthura*-type, *Sebastiania*, *Ilex* and *Clethra* found in the majority of plots at generally low  
425 abundances (Figure 4). Pteridophyte spores were both common and abundant, and Poaceae was  
426 the most prevalent herbaceous pollen taxon, with Asteraceae and Araceae pollen also common but  
427 less abundant. The sum of all herbaceous pollen varies from 5-20%, averaging 10% – similar to the  
428 5-15% found by Garcia et al. (2004) in a study of *Araucaria* forest peat deposits in Sao Paulo state,  
429 but lower than the 24-60% found by Jeske-Pieruschka et al. (2010) in a forest patch surrounded by  
430 campos grassland. The herbaceous pollen counts in the latter were likely increased by influx from  
431 the grasslands surrounding the forest, and as a result of disturbance from grazing in the studied  
432 forest patch (Jeske-Pieruschka et al., 2010).

433 The plots are less well differentiated by pollen than by their vegetation, as shown by their generally  
434 higher cluster similarity scores (Figure 5c). As with the vegetation there are some potential pairings  
435 of open understory plots (P122 and P123; P119 and P144 with the rocky plot P117), but these are  
436 quite distinct from each other – the cluster that would encompass all five open plots would only  
437 exclude the riverine plot P151. No potential groupings in the pollen cluster analysis mirror clusters  
438 of the plots' vegetation (Figure 5a,c), and there are no consistent groupings of structurally similar  
439 plots. This is also seen in the DCA (Figure 5d), where the eigenvalue for axis 1 (0.2454) may indicate  
440 the separation is not ecologically relevant (Peterson and Gale, 1991; Rezende et al., 2015). Here, as  
441 in the cluster analysis, the only plot that is clearly distinguished is P151, due in large part to its  
442 exceptionally high abundance of *Lamanonia* pollen.

443 These results show that the notable structural differences between the different forest plot  
444 categories are not echoed in the composition of their woody taxa. Since there are no consistent  
445 floristic differences between plot types, it is unsurprising that these structural differences cannot be

446 detected by their pollen signals – especially as pollen’s sensitivity is affected by relatively coarse  
447 taxonomic resolution and differential pollen production and preservation between taxa.

#### 448 4.2. Vegetation-pollen relationships

449 The pollen records of the studied forest plots did not consistently reflect large variations in a  
450 taxon’s abundance in the vegetation (Figure 6 & 7). *L. brasiliensis*, for example, makes up 2.9% of  
451 the vegetation in P110 and 34.1% in P114 (Figure 2), but *Lithraea* pollen is equally abundant in each  
452 plot (1.6%) (Figure 4); its abundance in the vegetation is intermediate in P117 (10.9%) and P118  
453 (12.3%) but its pollen makes up just 0.9% and 1.0% of those plot totals, respectively. This variability  
454 in vegetation-pollen relationships can also be illustrated with *Myrsine*: its pollen made up more  
455 than half of all counted grains (55.8%) in P114, despite no individuals from the genus being  
456 recorded in the vegetation survey; it was also significantly over-represented in P157 (pollen  
457 abundance 43.4%, vegetation abundance 2.2%), but proportionately represented in P119 (17.3% of  
458 the pollen; 17.0% of the vegetation) and under-represented in P118 (5.7% of the pollen, 8.8% of the  
459 vegetation).

460 However, general patterns of over- or under-representation of each taxon in the pollen record  
461 could be determined – only *Araucaria*, *Eugenia*, *Ilex*, *Myrsine* and *Podocarpus* had both positive and  
462 negative abundance differentials above 2% (Table 3). The majority (22 of 27) of the arboreal genera  
463 examined were under-represented in the pollen record ( $p/v$  values  $<1$ ; Figure 6), with four  
464 (*Myrceugenia*, *Nectandra*, *Ocotea* and *Piptocarpha*) being palynologically silent. These under-  
465 represented taxa include many of the most abundant tree species in the plots, as well as some of  
466 the most ecologically important taxa in *Araucaria* forest (*Lithraea*, *Matayba*, *Cinnamodendron*,  
467 *Ocotea*, *Prunus* and *Nectandra*) (Sevegnani et al., 2013). The highest  $p/v$  value among these key  
468 genera is *Lithraea*’s 0.09 (i.e. less than one tenth as abundant in the pollen record as in the

469 vegetation), and no pollen which could be reliably identified as *Ocotea* or *Nectandra* was counted  
470 at all.

471 Under-representation in the pollen record is common in the Neotropics (Bush, 1995; Bush and  
472 Rivera, 1998; Gosling et al., 2009; Haselhorst et al., 2013). This is partly due to the relative rarity of  
473 anemophilous plants – generally the most over-represented taxa – in tropical forests, although  
474 entomophilous plants are less under-represented in tropical pollen spectra than in temperate  
475 regions (Bush, 1995; Viera et al., 2012; Whitehead, 1983). Our results fit this general pattern: of the  
476 under-represented taxa in our study, *Nectandra* and *Ocotea* are pollinated by thrips (Thysanoptera)  
477 (Danieli-Silva and Varassin, 2013; Souza and Moscheta, 2000), and *Lithraea*, *Ilex*, *Matayba*, *Prunus*,  
478 *Eugenia* and *Cinnamodendron* depend on bees and other small insects (de Deus et al., 2014;  
479 Hermes and Köhler, 2006; Imperatriz-Fonseca et al., 1989; Montalva et al., 2011; Tomlinson, 1974;  
480 Wilms et al., 1997). Additionally, *Ocotea* pollen is fragile, with a thin exine that means it preserves  
481 poorly (Behling, 1993). By contrast, the over-represented taxa *Araucaria* (Bittencourt and Sebbenn,  
482 2008, 2007) and *Podocarpus* (Midgley, 1989; Negash, 2003; Wilson and Owens, 1999) are  
483 anemophilous, as are South American members of *Myrsine* (Albuquerque et al., 2013; Otegui and  
484 Cocucci, 1999), and therefore produce abundant pollen.

485 *Lamanonia* was over-represented in the pollen record ( $p/v$  5.44; 1.25 when excluding P151) despite  
486 being insect-pollinated (de Deus et al., 2014; Hermes and Köhler, 2006; Wilms et al., 1997). Its  
487 relative abundance of pollen in this study may be explained by its mass-flowering habit (Hermes  
488 and Köhler, 2006), so it is possible that *Lamanonia*'s pollen-vegetation relationship varies  
489 significantly year-on-year. *Clethra* is another entomophilous taxon (Freitas and Sazima, 2006) with  
490 over-represented pollen in this study: its pollen was found in 10 of the 16 plots at an average  
491 abundance of 1.10% (0.37-4.58%), but no individuals were recorded in the vegetation (Figure 2)

492 despite *C. scabra* being the third most important tree species in *Araucaria* forest (Schorn et al.,  
493 2012). Given *Clethra* pollen is not adapted for long-distance travel, it is unlikely to have originated  
494 outside the plots; potentially, individuals from this genus were present but too small to be included  
495 in the survey (i.e. d.b.h. < 10 cm), making it difficult to make a true assessment of the taxon's  
496 pollen-vegetation relationship.

#### 497 4.3. Implications for palaeoecology

498 Our findings have important implications for the interpretation of fossil pollen records. Many of the  
499 key taxa used to reconstruct past *Araucaria* forest dynamics were identified palynologically in this  
500 study, but two were largely missing. Pollen from *Mimosa scabrella* and *Weinmannia* is commonly  
501 cited as evidence of *Araucaria* forest (Behling, 1997a, 1995; Behling et al., 2004; Leonhardt and  
502 Lorscheitter, 2010) but *M. scabrella* pollen was not abundant (present in 10 of the 16 plots,  
503 maximum abundance 0.89%) and *Weinmannia* pollen was absent; neither species was recorded in  
504 the vegetation survey. *M. scabrella* is a species which is especially encouraged by anthropogenic  
505 forest disturbance, so its absence here may be connected to the relatively long time since the last  
506 anthropogenic disturbance of our studied plots. Moreover, both taxa (especially *Weinmannia*) are  
507 much more floristically important at elevations above 1,200 m a.s.l. (Sevegnani et al., 2013) so their  
508 absence here is unsurprising, and highlights the biases of existing palaeoecological studies towards  
509 high-altitude regions along the eastern edge of the highland plateau (Behling, 2007, 1997a, 1995;  
510 Behling et al., 2004; Jeske-Pieruschka et al., 2013; Leonhardt and Lorscheitter, 2010; Scherer and  
511 Lorscheitter, 2014).

512 The geographical bias of existing studies can further be seen in the classifications proposed by  
513 Rodrigues et al. (2016b) for distinguishing woodland types in southern Brazil based on pollen  
514 spectra. Although our sites (721-953 m a.s.l.) have vegetation which is most similar to that in the

515 'low Poaceae subtropical forest' (LPSF) category (Behling et al., 2004; Behling and de Oliveira, 2018;  
516 Jeske-Pieruschka et al., 2013; Jeske-Pieruschka and Behling, 2012), they are excluded from this  
517 group due to their absence of *Weinmannia* pollen. Instead, our plots would likely be included in the  
518 disparate 'low Poaceae subtropical-tropical' (LPST) group, along with two sites in Santa Catarina's  
519 coastal tropical forest (9-10 m a.s.l.) (Behling, 1997b, 1995), one in northern Argentina at the  
520 westernmost limit of *Araucaria* forest taxa (604 m a.s.l.) (Gessert et al., 2011), and another at low  
521 altitude in south-central Rio Grande do Sul (176 m a.s.l.) (Santa Mônica, unpublished, cited in  
522 Rodrigues et al., 2016b) . The significant altitudinal, geographical and floristic differences between  
523 these sites suggests LPST may not be a true grouping, and that the classification of southern Brazil's  
524 forests by their pollen spectra will improve as more westerly plateau sites, with different  
525 assemblages of *Araucaria* forest, are studied.

526 Most of the taxa widely used in palaeoecological studies were here found to be over-represented in  
527 the pollen record (*Araucaria*, *Myrsine*, *Podocarpus*, *Lamanonia*) or under-represented but very  
528 abundant in the vegetation (Myrtaceae, such as *Eugenia* and *Calypttranthes* which are rarely  
529 distinguished to genus in fossil pollen). Fossil *Lithraea* pollen is quite often identified (Behling, 2007;  
530 Behling et al., 2016, 2005; Gessert et al., 2011) or grouped with *Schinus* (Behling, 1997b, 1997a;  
531 Behling et al., 2004; Jeske-Pieruschka et al., 2010) but rarely treated as important (but see Behling,  
532 1997a; Gessert et al., 2011); given the floristic importance of *L. brasiliensis* (Meyer et al., 2013;  
533 Schorn et al., 2012) and its under-representation in the pollen rain (p/v 0.09-0.39, pollen 8.25% less  
534 abundant than vegetation on average), the presence and dynamics of *Lithraea* pollen may warrant  
535 more detailed examination in future studies. *Lithraea* is one of several key *Araucaria* forest taxa we  
536 have shown to be either significantly under-represented (*Matayba*, *Cinnamodendron*, *Prunus*) or  
537 absent (*Ocotea*, *Nectandra*) in the pollen record, even when quite abundant in the vegetation. This  
538 suggests that some significant changes in past forest composition may not be reflected in fossil

539 pollen, highlighting a potentially important limitation of pollen as a palaeoecological proxy for  
540 determining this ecosystem's responses to past millennial-scale human land use and climate  
541 changes.

542 The importance of fossil pollen's limited sensitivity to compositional changes in *Araucaria* forest is  
543 reinforced when considering that structural differences between plots were not clearly reflected in  
544 their pollen signals. Although the plots had notably different structural characteristics to one  
545 another, this was only weakly echoed in the floristic composition of their arboreal component, and  
546 even less so in their pollen spectra, which were more similar to each other than the vegetation. This  
547 implies that pollen records may not clearly detect structural changes in *Araucaria* forest, especially  
548 when these are not accompanied by significant or long-term alterations in floristic composition.  
549 Further investigations of the sensitivity of pollen rain to larger-scale changes in composition and  
550 structure of *Araucaria* forest might involve integration with the state-wide plot network of the  
551 Santa Catarina forest floristic inventory (Vibrans et al., 2010) or palynological examination of forest  
552 fragments with relatively intense present human land use, such as caívas, faxinais or ervais (Fichino  
553 et al., 2017; Mello and Peroni, 2015; Reis et al., 2018). Such research would aid the interpretation  
554 of fossil pollen records which do show significant changes with climatic changes and human land  
555 use (e.g. Behling et al., 2004), permitting shifts in pollen composition to be more accurately related  
556 to changes in the vegetation.

557 The difficulty of detecting structural and compositional changes in *Araucaria* forest with pollen  
558 records has implications for the reconstruction of past human impacts on the forest. Before  
559 European arrival, the indigenous southern Jê people lived in semi-subterranean dwellings in the  
560 forest, practising swidden cultivation and exploiting *Araucaria angustifolia* nuts and Myrtaceae  
561 fruits (Corteletti, 2012; Corteletti et al., 2015; dos Reis et al., 2014; Iriarte and Behling, 2007). It has

562 been suggested that their lifestyles helped to spread *Araucaria* forest more quickly than natural  
563 drivers, such as climate change, and even beyond the forest's natural limits (Bitencourt and  
564 Krauspenhar, 2006; Iriarte and Behling, 2007; Lauterjung et al., 2018; Noelli, 2000; Robinson et al.,  
565 2018), but our findings raise the question of whether, and how, more subtle impacts within the  
566 forest – especially structural and compositional changes – would be represented in fossil pollen  
567 sedimentary archives. There is significant ongoing debate over the extent to which pre-Columbian  
568 peoples altered the floristic composition of Amazonian forests (Barlow et al., 2012; Levis et al.,  
569 2018, 2017; McMichael et al., 2017; Shepard and Ramirez, 2011) and the limitations of fossil pollen  
570 analysis in identifying such impacts are well known (e.g. Carson et al., 2016), with recent  
571 simulations showing that pollen sites in tropical forest-grassland mosaics (like those between  
572 *Araucaria* forest and campos grasslands) may be insensitive to large changes in forest cover  
573 (Whitney et al., 2019). The forest plots in our study have been free of human disturbance for  
574 several decades, so their present condition is unlikely to mirror the full range of southern Jê land  
575 use. Nevertheless, our findings highlight potential limitations of pollen analysis as a tool for  
576 investigating and reconstructing the role of the southern Jê in shaping the *Araucaria* forest's  
577 floristic composition and structure – the absence of evidence of human impacts may not equate to  
578 evidence of their absence.

## 579 5. Conclusions

580 In this study, the pollen rain from 16 structurally different *Araucaria* forest plots has been  
581 characterised and compared with floristic inventory data, and 27 tree genera have had their  
582 vegetation-pollen relationships quantified.

583 Our results show that the structurally different plots do not exhibit consistent differences in the  
584 floristic composition of their tree taxa. Correspondingly, their structural differences cannot be

585 clearly detected in their pollen rain, with pollen spectra more similar than vegetation between  
586 plots.

587 On average, the most abundant tree species in the plots are *Lithraea brasiliensis*, *Cinnamodendron*  
588 *dinisii*, *Araucaria angustifolia*, *Eugenia* sp., *Ocotea pulchella* and *Calyptranthes* cf. *concinna*,  
589 representing the typical composition of *Araucaria* forest at this altitude. As well as these, *Styrax*  
590 *leprosus* has a high average relative coverage value (RCV) across all plots, and species including  
591 *Matayba elaeagnoides*, *Nectandra megapotamica*, *Vernonanthura discolor*, *Prunus myrtifolia*,  
592 *Piptocarpha angustifolia*, *Myrceugenia* sp. and *Myrsine umbellata* have high RCVs in the (relatively  
593 few) plots in which they occur. The modern pollen rain of *Araucaria* forest in our study area (720-  
594 920m a.s.l.) is characterised by *Myrsine* (19.5%), *A. angustifolia* (16.6%), Pteridophyta (13.2%),  
595 *Podocarpus lambertii* (7.9%) and Poaceae (5.2%), along with *Eugenia*-type, Anacardiaceae cf.  
596 *Lithraea*, Asteraceae (others), *Lamanonia*, *Ilex theezans*, *Calyptranthes*-type, *Vernonanthura*-type  
597 and *Clethra* at lower abundance.

598 Vegetation-pollen relationships vary between plots but general patterns of over- or under-  
599 representation could be identified for the majority of taxa. *Araucaria*, *Lamanonia*, *Podocarpus*, and  
600 *Myrsine* are over-represented in the pollen record (average  $p/v > 1$ ), and *Clethra* pollen was  
601 frequently identified but the genus is absent from the vegetation survey. All of the other 22 genera  
602 analysed are under-represented, with *Myrceugenia*, *Nectandra*, *Ocotea* and *Piptocarpha*  
603 palynologically silent.

604 The palynological under-representation of ecologically key *Araucaria* forest taxa and the lack of  
605 clear differentiation of structural differences in the forest's pollen spectra have important  
606 implications for the interpretation of fossil pollen records, highlighting the challenges of resolving  
607 past human impacts and ecological changes within *Araucaria* forest using this proxy. This



608 quantitative analysis of vegetation-pollen relationships for key *Araucaria* forest taxa is a key tool for  
609 interpreting fossil pollen records and understanding past vegetation dynamics on the highlands of  
610 southern Brazil.

## 611 Author contributions

612 MLC and FEM conceived the study; MLC collected moss polsters; MLC and LAS collected vegetation  
613 survey data; MLC performed pollen analysis and counting; MLC and OJW analysed the data and  
614 interpreted the results; OJW, MLC and FEM drafted the manuscript; all authors commented on the  
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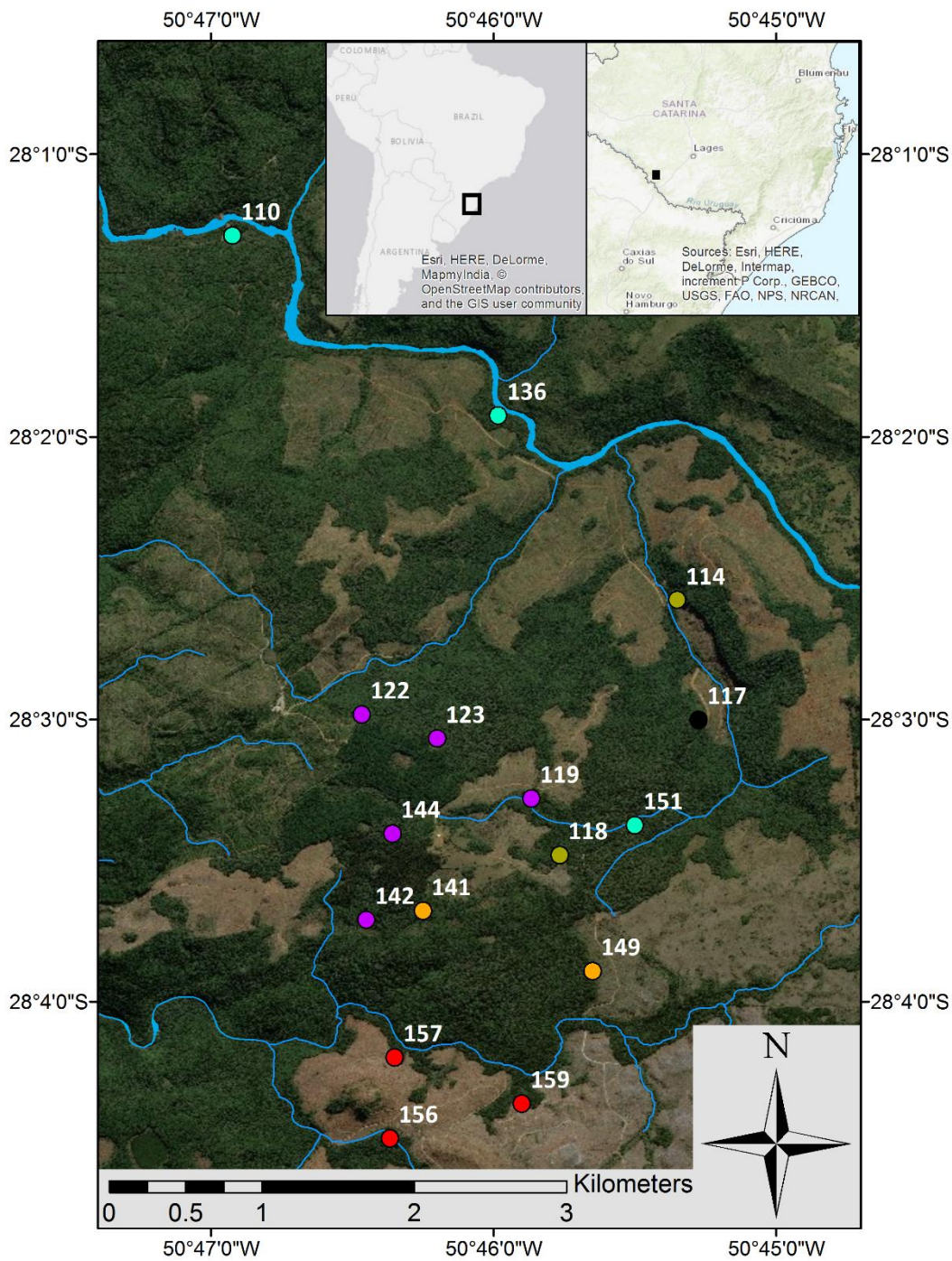
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1054 **Figures**

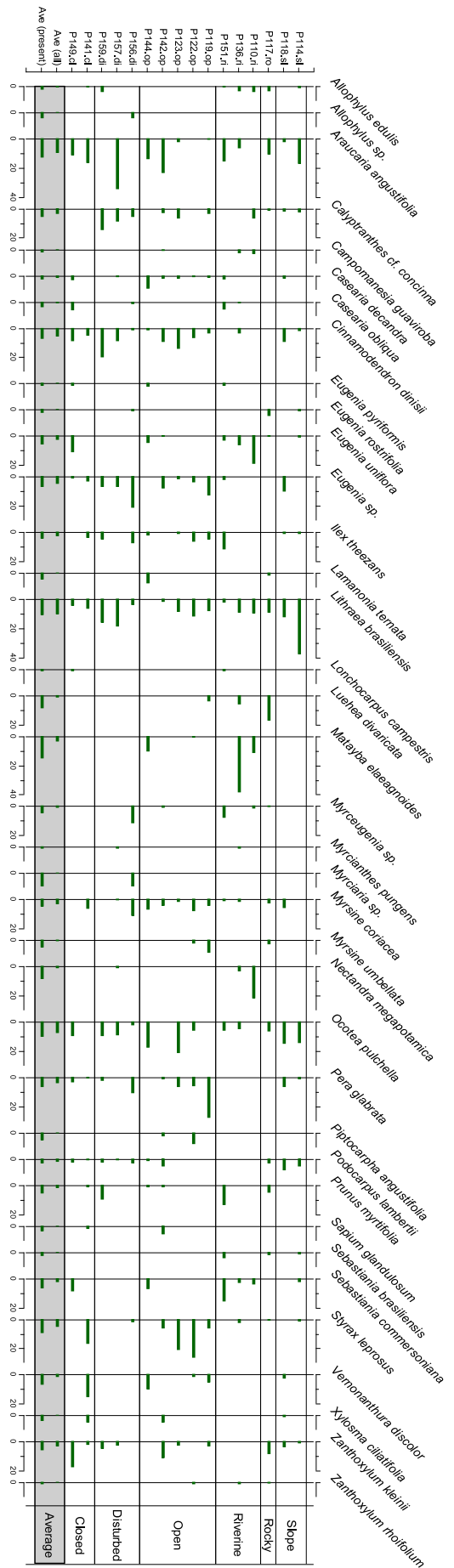
1055 **Figure 1: Map of forest plot locations; numbers refer to plot codes (see Table 1 below). Plot colours:**  
1056 **Cyan: riverine; Olive: slope; Black: rock outcrop; Purple: open understorey; Orange: closed**  
1057 **understorey; Red: disturbed.**





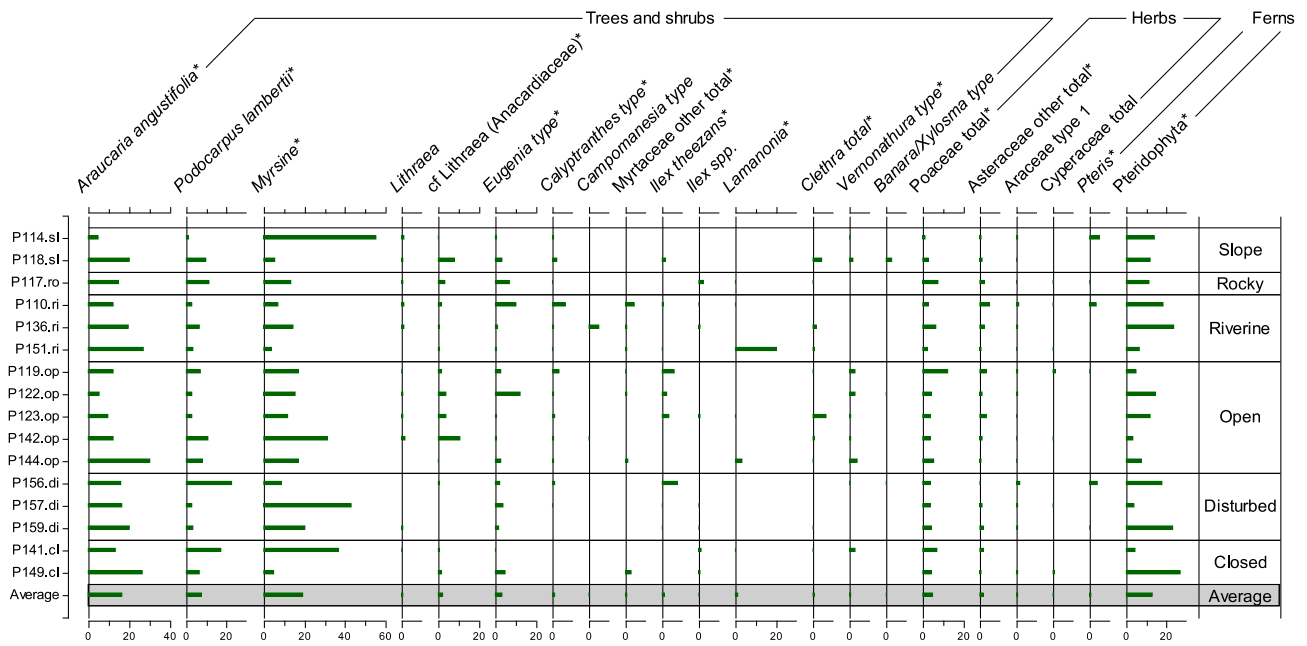
1063 Figure 3: Relative Coverage Values (RCVs, %) of selected  
 1064 tree species in the vegetation survey. 'Ave. (all)' = sum of  
 1065 RCVs/total number of plots; 'Ave. (present)' = sum of  
 1066 RCVs/number of plots in which taxon was present.

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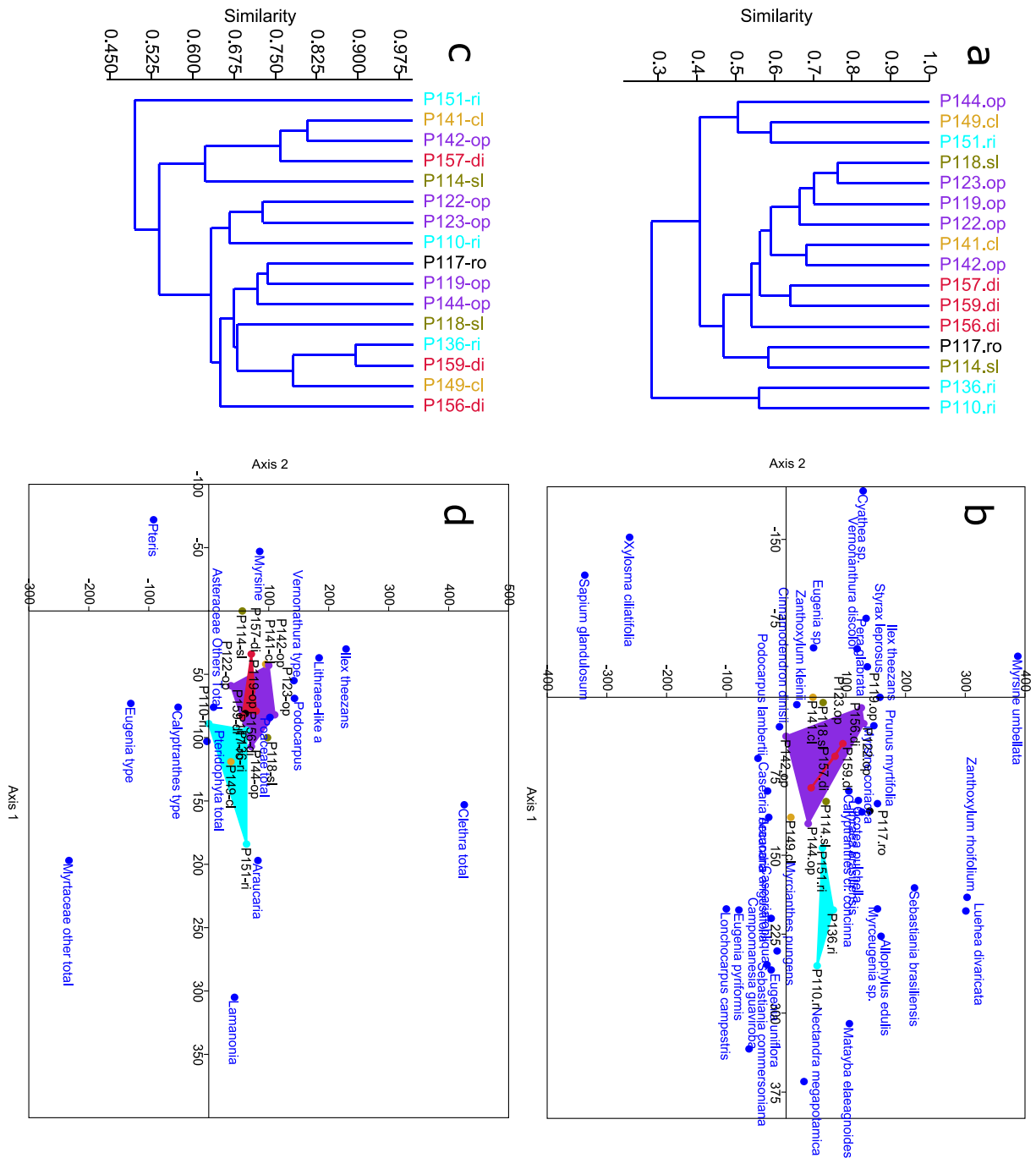


1069 Figure 4: Relative abundance (%) of selected pollen types. Taxa included in the cluster analysis and  
 1070 DCA are indicated with an asterisk

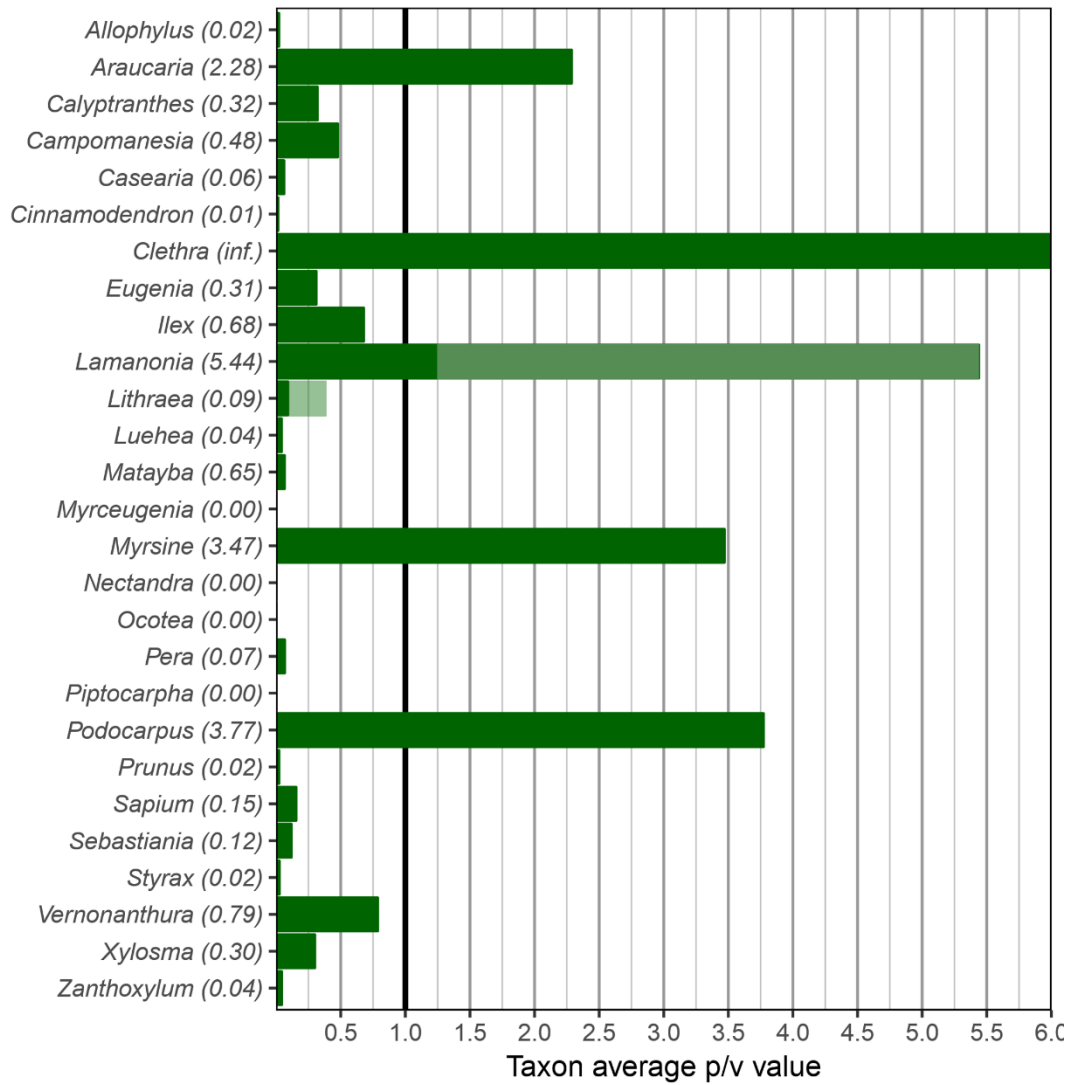


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1072 Figure 5: Cluster analyses (left; a, c) and DCAs (right; b, d) of plots by vegetation (top; a, b) and  
 1073 pollen (bottom; c, d) taxa found in  $\geq 2$  plots at  $\geq 2\%$  abundance. In the DCAs, convex hulls are  
 1074 delimited for structural categories containing three or more plots. Plot types are identified by  
 1075 colour and two-letter code (op: open; cl: closed; ri: riverine; di: disturbed; ro: rock; sl: slope; see  
 1076 Table 1).

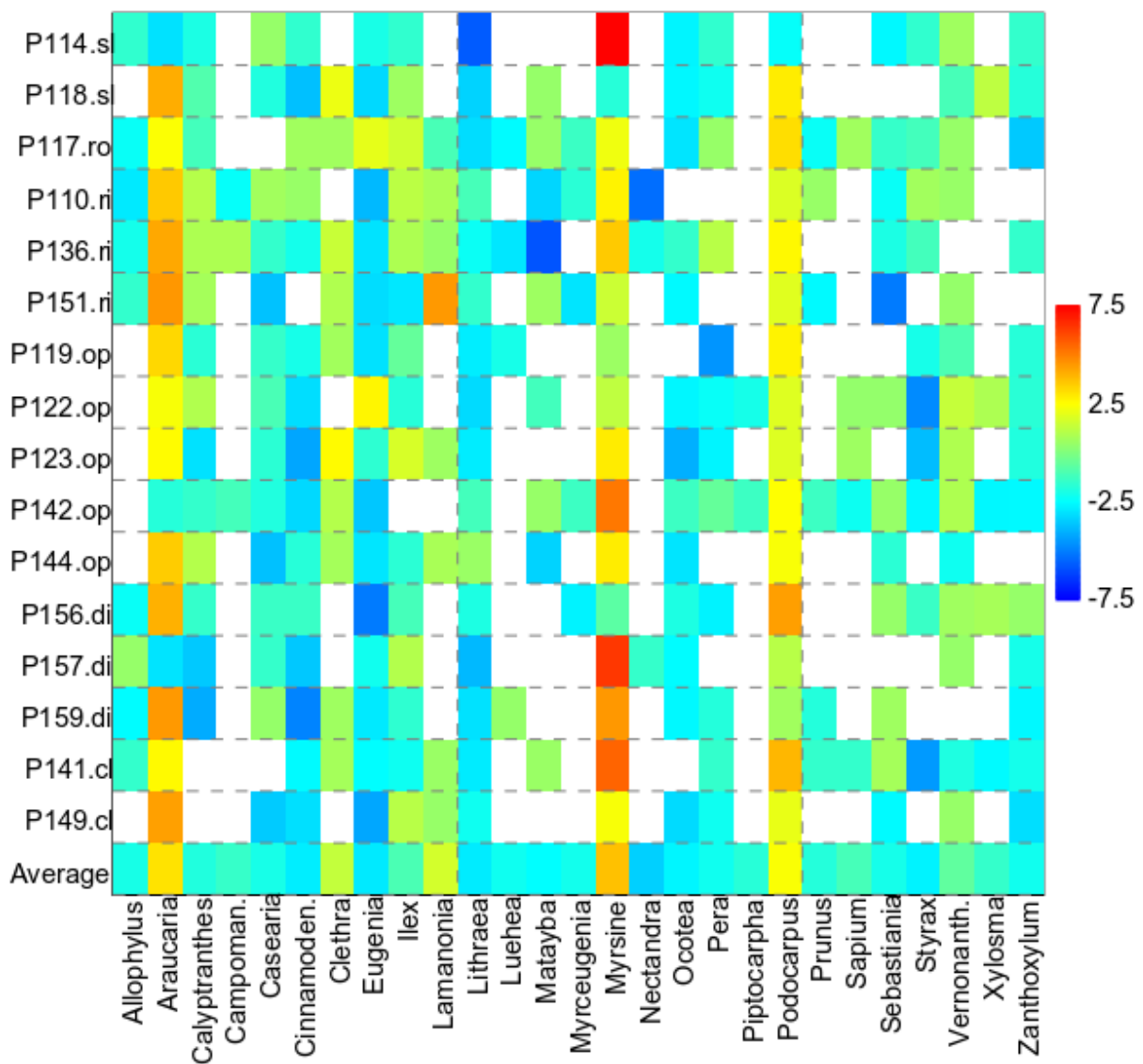


1078 Figure 6: p/v values of key genera of *Araucaria* forest in this study. *Clethra* has an infinitely high p/v  
 1079 value; faint sections in the bars of *Lamanonia* and *Lithraea* reflect alternate calculations of their p/v  
 1080 values (see section 3.4).



1081

1082 Figure 7: Pollen-vegetation abundance differentials (square-root transformed) for selected genera.  
 1083 Positive values denote plots where a taxon's pollen was more abundant than its vegetation;  
 1084 negative values reflect vegetation being more abundant than pollen. Blank cells denote plots where  
 1085 a taxon was absent from both pollen and vegetation data.



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