

CARL T. BERGSTROM • LEE ALAN DUGATKIN



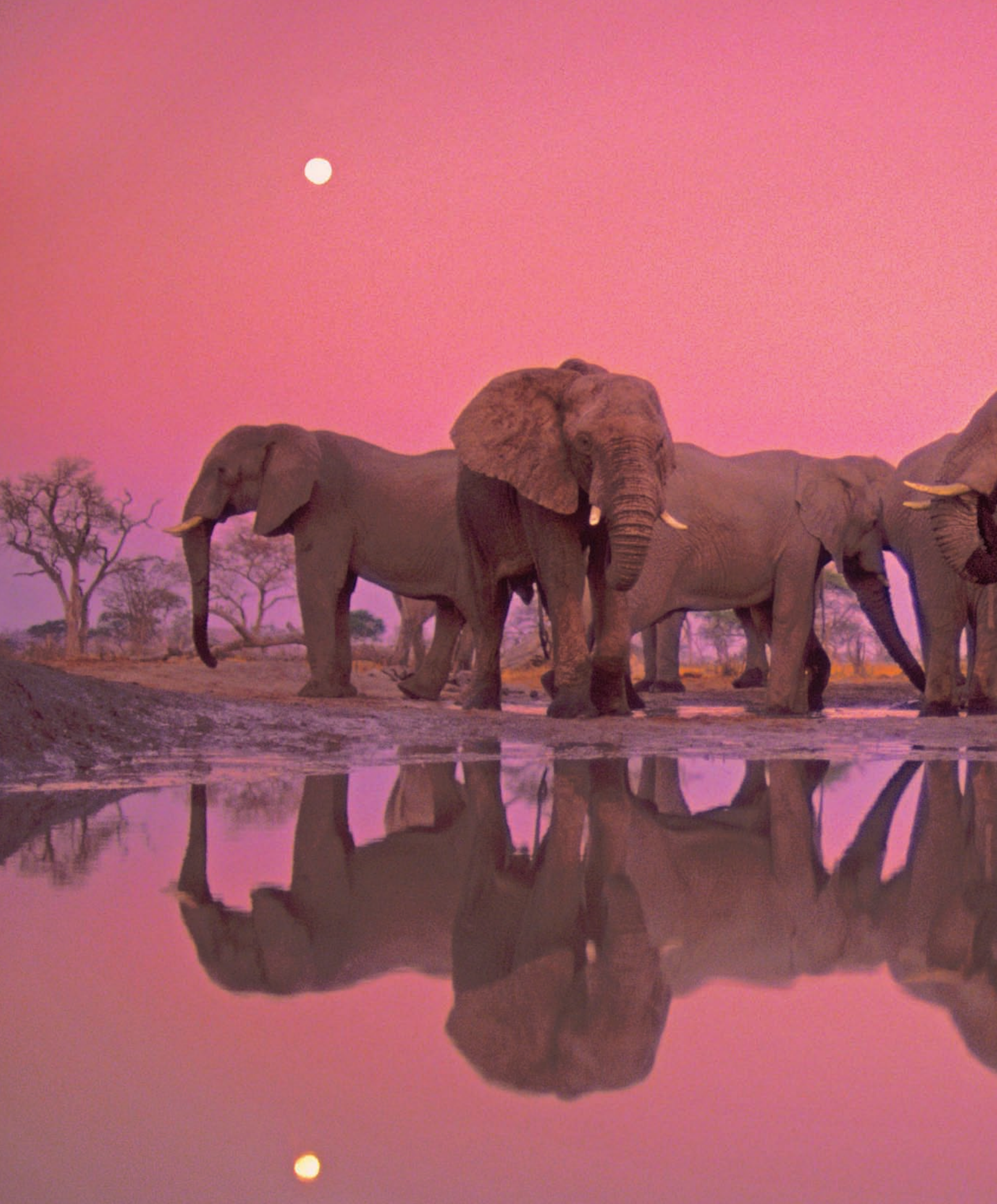
SECOND EDITION

# evolution

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SECOND EDITION

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# BRIEF CONTENTS

## **PART I Foundations of Evolutionary Biology**

<b>1</b>	An Overview of Evolutionary Biology .....	3
<b>2</b>	Early Evolutionary Ideas and Darwin's Insight .....	29
<b>3</b>	Natural Selection.....	65
<b>4</b>	Phylogeny and Evolutionary History .....	109
<b>5</b>	Inferring Phylogeny.....	147

## **PART II Evolutionary Genetics**

<b>6</b>	Transmission Genetics and the Sources of Genetic Variation.....	187
<b>7</b>	The Genetics of Populations .....	215
<b>8</b>	Evolution in Finite Populations .....	257
<b>9</b>	Evolution at Multiple Loci .....	309
<b>10</b>	Genome Evolution.....	361

## **PART III The History of Life**

<b>11</b>	The Origin and Evolution of Early Life .....	401
<b>12</b>	Major Transitions.....	431
<b>13</b>	Evolution and Development.....	463
<b>14</b>	Species and Speciation.....	487
<b>15</b>	Extinction and Evolutionary Trends .....	523

## **PART IV Evolutionary Interactions**

<b>16</b>	Sex and Sexual Selection.....	569
<b>17</b>	The Evolution of Sociality .....	607
<b>18</b>	Coevolution.....	647
<b>19</b>	Human Evolution.....	677
<b>20</b>	Evolution and Medicine.....	719



# CONTENTS

About the Authors xix  
Preface xxi

## PART I Foundations of Evolutionary Biology

### CHAPTER 1 An Overview of Evolutionary Biology 3

---

- 1.1** A Brief Introduction to Evolution, Natural Selection, and Phylogenetics 5
  - Evolutionary Change and the Food We Eat 6
  - Evolutionary Change and Pharmaceuticals 9
  - Phylogenetic Diversity and Conservation Biology 12
- 1.2** Empirical and Theoretical Approaches to the Study of Evolution 16
  - Empirical Approaches 16
  - Theoretical Approaches 21
  - BOX 1.1** A Mathematical Model of the Sex Ratio 24
  - Theory and Experiment 26
  - Summary 26
  - Key Terms 26
  - Review Questions 27
  - Key Concept Application Questions 27
  - Suggested Readings 27

### CHAPTER 2 Early Evolutionary Ideas and Darwin's Insight 29

---

- 2.1** The Nature of Science: Natural versus Supernatural Explanations 31
  - Methodological Naturalism 31
  - Hypothesis Testing and Logic 32
- 2.2** Time and a Changing World 33
- 2.3** The Origins and Diversity of Life 36
- 2.4** Organisms Are Well-Suited to Their Environments 38
  - Paley's Natural Theology 39
  - Jean-Baptiste Lamarck and the Inheritance of Acquired Characteristics 39
  - Patrick Matthew and Natural Selection 40
- 2.5** Darwin's Theory 42
  - Darwin's Two Fundamental Insights 42



	Publication of <i>On the Origin of Species</i>	42
	Means of Modification and Pigeon Breeding	44
	Artificial Selection	45
	Changing Species	47
<b>2.6</b>	<b>Darwin on Natural Selection</b>	47
	Darwin, Variation, and Examples of Natural Selection	48
	The Power of Natural Selection	49
	Malthus and the Scope of Selection	50
	Transformational and Variational Processes of Evolution	51
<b>2.7</b>	<b>Darwin on Common Ancestry</b>	53
	The Tree of Life	53
	Groups within Groups	55
	Common Descent and Biogeography	56
<b>2.8</b>	<b>Problems with Darwin's Theory</b>	57
	Problem 1: Accounting for Complex Structures with Multiple Intricate Parts	57
	Problem 2: Explaining Traits and Organs of Seemingly Little Importance	58
	Problem 3: Why Does Variation Persist in the Face of Natural Selection?	58
<b>2.9</b>	<b>The Reaction to Darwin and Early History of the Modern Synthesis</b>	58
	Summary	61
	Key Terms	61
	Review Questions	61
	Key Concept Application Questions	62
	Suggested Readings	63

## CHAPTER 3 Natural Selection

65

<b>3.1</b>	<b>The Components of Natural Selection</b>	67
	Natural Selection and Coat Color in the Oldfield Mouse	70
<b>3.2</b>	<b>Adaptations</b>	78
	Defining Adaptation	78
	Adaptations and Fit to Environment	78
<b>3.3</b>	<b>Natural Selection in the Field</b>	80
	Predation and Natural Selection in Guppies	80
	Roadkill and Natural Selection on Wing Length in Swallows	83
<b>3.4</b>	<b>Natural Selection in the Laboratory</b>	85
	Lenski's Long-Term Evolution Experiment	85
	<b>BOX 3.1</b> Measuring Allele Frequencies and Fitnesses in <i>E. coli</i>	88
<b>3.5</b>	<b>Origin of Complex Traits</b>	89
	Intermediate Stages with Function Similar to Modern Function	90
	Novel Structures and Exaptations	92
	Novelty at the Molecular Level	97
<b>3.6</b>	<b>Constraints on What Natural Selection Can Achieve</b>	99
	Physical Constraints	100
	Evolutionary Arms Races	104
	Natural Selection Lacks Foresight	105
	Summary	106
	Key Terms	106
	Review Questions	107
	Key Concept Application Questions	107
	Suggested Readings	107

## CHAPTER 4 Phylogeny and Evolutionary History 109

---

- 4.1** Phylogenies Reflect Evolutionary History 111
  - BOX 4.1** What Is the Difference between a Pedigree and a Phylogeny? 113
- 4.2** Reading Phylogenetic Trees 115
  - Clades and Monophyletic Groups 117
  - Rooted Trees and Unrooted Trees 120
  - Branch Lengths 121
- 4.3** Traits on Trees 124
- 4.4** Homology and Analogy 125
  - Synapomorphies, Homoplasies, and Sympleiomorphies 130
- 4.5** Using Phylogenies to Generate and Test Evolutionary Hypotheses 132
  - The Evolutionary History of the Shoebill 132
  - The Evolutionary Origins of Snake Venom 134
  - Vestigial Traits 137
  - Summary 140
  - Key Terms 140
  - Review Questions 141
  - Key Concept Application Questions 142
  - Suggested Readings 145

## CHAPTER 5 Inferring Phylogeny 147

---

- 5.1** Building Trees 149
- 5.2** Parsimony 151
  - BOX 5.1** The Fitch Algorithm 154
- 5.3** Distance Methods 156
  - Measuring Distances between Species or Population 156
  - BOX 5.2** Sequence Alignment 157
  - Constructing a Tree from Distance Measurements 158
- 5.4** Rooting Trees 162
- 5.5** How Many Different Trees Are There? 164
- 5.6** Phylogenies and Statistical Confidence 166
  - Bootstrap Resampling 167
  - Odds Ratio Testing 169
  - Testing Hypotheses about Phylogenetic Structure 169
- 5.7** Fossil Evidence of Evolutionary History 172
  - The Fossil Record 172
  - Phylogenetic Relationships in the Equidae 173
  - Tetrapod Evolution 174
- 5.8** Phylogeny, Natural Selection, and the Comparative Method 176
  - Independent Contrasts: A Test of the Flammability Hypothesis 179
  - Summary 181
  - Key Terms 182
  - Review Questions 182
  - Key Concept Application Questions 182
  - Suggested Readings 183

## PART II

# Evolutionary Genetics

### CHAPTER 6 Transmission Genetics and the Sources of Genetic Variation 187

---

- 6.1 Mendel's Laws** 188
  - The Law of Segregation 189
  - The Law of Independent Assortment 189
  - Blending versus Particulate Inheritance 190
- 6.2 Transmission Genetics** 192
  - DNA and Chromosomes 192
  - From DNA to Proteins 193
  - Alleles and Genotypes 195
  - Regulatory Elements 197
  - Epigenetic Inheritance 197
- 6.3 Variation and Mutation** 199
  - Genetic Variability and Mutation 199
  - Genetic Variability and Recombination 203
- 6.4 Mutation Rates and Fitness Consequences** 204
  - Rates of Mutation 207
  - Distribution of Fitness Effects of Mutation 208
  - Summary 211
  - Key Terms 212
  - Review Questions 212
  - Key Concept Application Questions 212
  - Suggested Readings 213

### CHAPTER 7 The Genetics of Populations 215

---

- 7.1 Individual-Level versus Population-Level Thinking** 218
  - Quantitative versus Qualitative Predictions 218
  - BOX 7.1** Types of Equilibria 219
- 7.2 The Hardy–Weinberg Model: A Null Model for Population Genetics** 220
  - The Role of Null Models in Science 220
  - The Hardy–Weinberg Model 220
  - The Hardy–Weinberg Assumptions 221
  - Deriving the Hardy–Weinberg Model 222
  - BOX 7.2** Basic Probability Calculations 222
  - BOX 7.3** Hardy–Weinberg Equilibrium Is a Mixed Equilibrium 224
  - An Example of Hardy–Weinberg Genotype Frequencies: The Myoglobin Protein 225
  - BOX 7.4** Testing for Hardy–Weinberg Equilibrium 227
- 7.3 Natural Selection** 228
  - Selection for Coat Color in Pocket Mice 228
  - A Simple Model of Natural Selection 229
  - Modes of Frequency-Independent Selection 230
  - BOX 7.5** Natural Selection Favoring a Dominant Allele 231

- BOX 7.6** Equilibrium Allele Frequencies in Overdominance and Underdominance 236
- Modes of Frequency-Dependent Selection 236
- Viability Selection versus Fecundity Selection 239
- 7.4 Mutation** 240
  - Mutation Can Change Allele Frequencies in a Population 241
  - Mutation–Selection Balance 241
  - BOX 7.7** A Population Genetic Model of Mutation 242
  - BOX 7.8** Mutation–Selection Balance for a Deleterious Recessive Allele 244
- 7.5 Nonrandom Mating** 245
  - Inbreeding 245
  - Inbreeding Depression 247
  - BOX 7.9** Wright's *F*-statistic 248
  - Disassortative Mating 249
- 7.6 Migration** 250
- 7.7 Consequences on Variation within and between Populations** 251
  - Summary 252
  - Key Terms 253
  - Review Questions 253
  - Key Concept Application Questions 254
  - Suggested Readings 255

## CHAPTER 8 Evolution in Finite Populations 257

---

- 8.1 Random Change and Genetic Drift** 259
  - BOX 8.1** The Wright–Fisher Model 260
  - Genetic Drift Causes Allele Frequencies to Fluctuate over Time 261
  - Genetic Drift Causes Heterozygosity to Decrease within a Population over Time 262
  - BOX 8.2** Quantifying the Effects of Genetic Drift on Variation 264
  - BOX 8.3** Effective Population Size 266
  - Genetic Drift Causes Divergence between Populations over Time 267
- 8.2 Coalescent Theory and the Genealogy of Genes** 271
  - From Species Trees to Gene Trees 271
  - Dynamics of the Coalescent Process 272
  - BOX 8.4** A Mathematical Treatment of the Coalescent Process 273
  - Bugs in a Box 275
  - The Coalescent Process and Genetic Variation 275
- 8.3 Demography, Biogeography, and Drift** 278
  - Population Bottlenecks 278
  - Founder Effect 281
- 8.4 The Interplay of Drift, Mutation, and Natural Selection** 285
  - The Mathematics of Selection and Drift 285
  - BOX 8.5** Wright's *F*-statistic at a Neutral Locus with Mutation 286
- 8.5 The Neutral Theory of Molecular Evolution** 287
  - The Ubiquity of Molecular Variation 287
  - The Neutral Theory Proposes That Most Substitutions Are Selectively Neutral 288
  - Reasons for Selective Neutrality 289
  - Neutral Theory as a Null Model 292
  - Ratio of Nonsynonymous to Synonymous Changes 292
  - Comparing Variation within a Population to Divergence between Populations 294
  - The Distribution of Allele Frequencies Reveals Past Selective Events 297



Fixation Probability and Substitution Rate for Neutral Alleles	297
The Molecular Clock Concept	299
Generation Time and the Rate of Neutral Substitution	303
<b>Summary</b>	305
<b>Key Terms</b>	305
<b>Review Questions</b>	305
<b>Key Concept Application Questions</b>	306
<b>Suggested Readings</b>	307

## CHAPTER 9 Evolution at Multiple Loci

309

<b>9.1 Polygenic Traits and the Nature of Heredity</b>	312
Continuous versus Discontinuous Variation	312
Polygenic Traits Can Exhibit Nearly Continuous Variation	312
The Importance of Latent Variation	313
<b>BOX 9.1</b> A Numerical Example of How Selection and Reassortment Can Generate New Phenotypes	315
Gene Interactions	316
<b>9.2 Population Genetics of Multiple Loci</b>	316
Allele Frequencies and Haplotype Frequencies	316
Hardy–Weinberg Proportions for Two Loci	318
Statistical Associations between Loci	319
Quantifying Linkage Disequilibrium	320
Evolutionary Processes Create Linkage Disequilibrium	322
Recombination Breaks Down Linkage Disequilibrium	324
<b>BOX 9.2</b> How the Coefficient of Linkage Disequilibrium Changes over Time in the Hardy–Weinberg Model	327
Selective Consequences of Genetic Linkage	328
Sources of Evolutionary Contingency	338
<b>9.3 Adaptive Landscapes</b>	339
Phenotype Space	340
Adaptive Landscapes in Phenotype Space	340
Adaptive Landscapes in Genotype Space	342
<b>9.4 Quantitative Genetics</b>	345
The Phenotypic Value of Continuous Traits	346
Decomposing Genotypic Effects	348
<b>BOX 9.3</b> Additive, Dominance, and Epistatic Effects	349
The Selection Differential and the Response to Selection	351
Quantitative Genetic Analysis of an Artificial Selection Study	352
<b>BOX 9.4</b> Mapping Quantitative Trait Loci	354
Quantitative Genetic Analysis of Natural Selection in the Wild	356
<b>Summary</b>	357
<b>Key Terms</b>	358
<b>Review Questions</b>	358
<b>Key Concept Application Questions</b>	358
<b>Suggested Readings</b>	359

## CHAPTER 10 Genome Evolution **361**

---

- 10.1** Whole-Genome Sequencing 363
- 10.2** Resolving the Paradoxes of Genome Size 364
  - The G-Value Paradox 366
- 10.3** Content and Structure of Viral Genomes 367
- 10.4** Content and Structure of Bacterial and Archaeal Genomes 370
  - Horizontal Gene Transfer and Prokaryote Genomes 372
  - Gene Order in Prokaryotes 376
  - Codon Usage Bias 377
  - GC Content 379
  - GC Skew and Leading/Lagging Strand Gene Position in Prokaryotes 382
- 10.5** Content and Structure of Eukaryotic Nuclear Genomes 384
  - Transposable Elements 384
  - Origins of Replication, Centromeres, and Telomeres 389
  - Introns 392
  - Recombination across the Genome 393
  - Summary 395
  - Key Terms 395
  - Review Questions 396
  - Key Concept Application Questions 396
  - Suggested Readings 397

## PART III

### The History of Life

## CHAPTER 11 The Origin and Evolution of Early Life **401**

---

- 11.1** What Is Life? 403
- 11.2** The Origin and Evolution of the Building Blocks of Life 404
  - Small Molecules to Amino Acids, Lipids, and Nucleotides 407
  - Lipids to Vesicles, Nucleic Acids to RNA, and Amino Acids to Proteins 409
- 11.3** The Evolution of Protocells 411
  - Lipid Membranes and Reproduction in Early Cells 411
  - Hypercycles 413
- 11.4** The RNA World 415
  - Experimental Evidence on the Origins of Natural Selection 417
- 11.5** Genetic Information and Genetic Exchange 420
  - From RNA to DNA 420
  - Horizontal Gene Transfer 422
  - BOX 11.1** Where Did Viruses Come From? 423
- 11.6** Metabolic Networks, Minimal Gene Sets, and Cell Evolution 424

Summary	428
Key Terms	428
Review Questions	429
Key Concept Application Questions	429
Suggested Readings	429

## CHAPTER 12 Major Transitions

431

<b>12.1</b>	Overview of Major Transitions	434
	Explaining Major Transitions	436
<b>12.2</b>	Major Transition: The Evolution of the Eukaryotic Cell	437
	Endosymbiosis and the Evolution of Eukaryotic Organelles	438
	Endosymbiosis and the Evolution of the Eukaryotic Nucleus	442
	<b>BOX 12.1</b> Apicoplasts and the Medical Implications of Endosymbiosis	443
<b>12.3</b>	Major Transition: The Evolution of Multicellularity	445
	Staying Together: Yeast and Multicellularity	446
	Coming Together: Slime Molds and Multicellularity	448
<b>12.4</b>	Major Transition: The Evolution of Individuality	451
	Volvocine Algae and the Evolution of Individuality	451
<b>12.5</b>	Major Transition: Solitary to Group Living	453
	The Benefits to Group Living	454
	The Costs of Group Living	457
	Summary	459
	Key Terms	460
	Review Questions	460
	Key Concept Application Questions	460
	Suggested Readings	461

## CHAPTER 13 Evolution and Development

463

<b>13.1</b>	Evo–Devo: A Brief History	465
	Timing of Development	467
<b>13.2</b>	Regulation, Expression, and Switches	470
	Homeotic Genes, Development, and Evolution	470
	Regulatory Enhancers as Switches	475
<b>13.3</b>	Evo–Devo and Gene Duplication	479
<b>13.4</b>	Evo–Devo and Neural Crest Cells	480
	Summary	484
	Key Terms	484
	Review Questions	485
	Key Concept Application Questions	485
	Suggested Readings	485

## CHAPTER 14 Species and Speciation 487

---

- 14.1 The Species Problem** 489  
 What Is a Species? 489  
 Identifying Species 490
- 14.2 Modes of Speciation** 495  
 Allopatric Speciation 495  
 Parapatric Speciation 499  
 Sympatric Speciation 503  
**BOX 14.1** Sympatric Speciation: A Resource Competition Model 506  
**BOX 14.2** Secondary Contact 508
- 14.3 Reproductive Isolating Mechanisms and the Genetics of Speciation** 509  
**BOX 14.3** The Role of Symbiotic Bacterial Communities in Speciation 510  
 Reproductive Isolating Mechanisms: Isolation through Pollinators 511  
 Reproductive Isolation and Shell Coiling Patterns in Snails 512  
 The Genetics of Reproductive Isolation 514  
 Summary 520  
 Key Terms 520  
 Review Questions 520  
 Key Concept Application Questions 521  
 Suggested Readings 521

## CHAPTER 15 Extinction and Evolutionary Trends 523

---

- 15.1 The Concept of Extinction** 527  
 Extinction and Phylogenetic History 527  
 Extinctions and the Fossil Record 529  
 Magnitude of Extinction: Background Extinction versus Mass Extinction 533
- 15.2 Background Extinction** 534  
 Extinction and Predation 535  
 Extinction and Competition 538  
 Extinction and Disease 538  
 Multiple Causes of Background Extinction 541
- 15.3 Mass Extinction** 543  
 The Cretaceous–Paleogene (K–Pg) Mass Extinction 545  
 The Permian Mass Extinction 550
- 15.4 Factors Correlated with Extinction** 552  
 Species' Longevity and Extinction Probability 553  
 Species' Geographic Range and Extinction Probability 554
- 15.5 Rates of Evolutionary Change and Evolutionary Trends** 555  
 Rates and Patterns of Evolutionary Change 555  
 Evolutionary Trends 560  
 Summary 564  
 Key Terms 565  
 Review Questions 565  
 Key Concept Application Questions 565  
 Suggested Readings 566



# PART IV

## Evolutionary Interactions

### CHAPTER 16 Sex and Sexual Selection

569

- 16.1 Asexual and Sexual Reproduction** 572
  - Asexual Reproduction 572
  - Sexual Reproduction 572
  - Distinguishing between Sexual and Asexual Reproduction 573
  - A Phylogenetic Overview of Sexual and Asexual Reproduction 574
- 16.2 The Costs of Sexual Reproduction** 576
  - The Twofold Cost of Sex 576
  - Sex Can Break Up Favorable Gene Combinations 578
  - Other Costs of Sex 579
- 16.3 The Benefits of Sexual Reproduction** 579
  - Sex Purges Deleterious Mutations 580
  - Sex Accelerates Adaptive Evolution: The Fisher–Muller Hypothesis 582
  - Sex and the Red Queen 584
  - Sex, Environmental Unpredictability, and Variation among Offspring 586
- 16.4 Sexual Reproduction Leads to Sexual Selection** 587
  - Selection Operates Differently on Males and Females 587
  - BOX 16.1** The Evolution of Different-Sized Gametes: Anisogamy 588
- 16.5 Intersexual Selection** 591
  - Direct Benefits 591
  - Good Genes and Costly Signals 592
  - Fisherian Sexual Selection 595
  - The Sensory Bias Hypothesis 597
- 16.6 Intrasexual Selection and Sexual Conflict** 598
  - Male–Male Competition by Cuckoldry in Bluegill Reproductive Morphs 599
  - Male–Male Competition by Sperm Competition in Bluegill Reproductive Morphs 600
  - Sexual Conflict 601
  - Summary 604
  - Key Terms 604
  - Review Questions 604
  - Key Concept Application Questions 605
  - Suggested Readings 605

### CHAPTER 17 The Evolution of Sociality

607

- 17.1 Cooperation** 608
  - Path 1: Kinship and Cooperation 609
  - BOX 17.1** Calculating Genetic Relatedness 612
  - Path 2: Reciprocity 617
  - BOX 17.2** Evolutionarily Stable Strategies 619
  - Path 3: Group Selection 623
  - BOX 17.3** The Tragedy of the Commons 624

- 17.2 Conflict** 627
  - Conflict among Nonkin 628
  - BOX 17.4** The Mixed Nash Equilibria for the Hawk–Dove Game 629
  - Conflict over Parental Investment 630
  - Conflict within the Genome 632
- 17.3 Information and Communication** 637
  - Honest Signaling 638
  - Conventional Signals 641
  - Summary** 643
  - Key Terms** 644
  - Review Questions** 644
  - Key Concept Application Questions** 644
  - Suggested Readings** 645

## CHAPTER 18 Coevolution

647

- 18.1 Coevolution and Mutualism** 652
  - The Origin of Mutualisms 652
  - Ant–Fungus Mutualisms 653
  - Ants and Butterflies: Mutualism with Communication 656
  - Mutualism and the Response to Cheaters 658
  - Mutualism and Cospeciation 659
- 18.2 Antagonistic Coevolution** 660
  - Predator–Prey Coevolution 661
  - Host–Parasite Coevolution and Cospeciation 663
  - Mimicry and Coevolution 664
- 18.3 Mosaic Coevolution** 667
- 18.4 Gene–Culture Coevolution** 669
  - Gene–Culture Coevolution in Darwin’s Finches 670
  - Gene–Culture Coevolution and Lactose Tolerance in Humans 672
  - Summary** 674
  - Key Terms** 674
  - Review Questions** 674
  - Key Concept Application Questions** 675
  - Suggested Readings** 675

## CHAPTER 19 Human Evolution

677

- 19.1 Evolutionary Relationships among the Great Apes** 680
- 19.2 The Hominin Clade** 683
  - The First Hominins 687
  - The Archaic Hominins 688
  - The Genus *Homo* 689
- 19.3 The Emergence of Anatomically Modern Humans** 693
  - Models for the Evolution of Modern Humans 693
  - Evidence for the Out-of-Africa Model 694
  - From *Homo heidelbergensis* to Modern Humans 696

- 19.4** Interbreeding among Humans, Neanderthals, and Denisovans 698
  - Interbreeding with Neanderthals 698
  - Gene Flow from Denisovans 701
- 19.5** Migration of Modern Humans 702
  - Gene Trees for Modern Human Populations 703
  - Multilocus Studies of Population History 705
  - Host–Pathogen Coevolution 710
  - Summary 715
  - Key Terms 716
  - Review Questions 716
  - Key Concept Application Questions 716
  - Suggested Readings 717

## CHAPTER 20 Evolution and Medicine

719

- 20.1** Vulnerability to Disease 722
    - Levels of Explanation 722
    - Six Explanations for Vulnerability to Disease 723
  - 20.2** Fever 725
    - Consequences of Fever 726
    - The Smoke Detector Principle 727
  - 20.3** Coevolutionary Arms Races between Pathogens and Hosts 728
    - Immune Strategies 730
    - Evolution of Pathogens to Subvert Immune Systems 734
    - Effects of Immune Systems on Pathogens 735
  - 20.4** Phylogenetic Constraint and Vulnerability to Choking 736
  - 20.5** Senescence 740
    - Vulnerability to Senescence 740
    - Rate-of-Living Hypothesis for Senescence 741
    - An Evolutionary View of Senescence 743
    - BOX 20.1** Do We Expect All of the Body's Systems to Break Down at Once? 748
    - Summary 753
    - Key Terms 754
    - Review Questions 754
    - Key Concept Application Questions 754
    - Suggested Readings 756
- Answers to Key Concept Questions A-1  
Glossary G-1  
References R-1  
Credits C-1  
Index I-1

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# PREFACE

W

hat a time it is to be an evolutionary biologist! In the first edition of this book, we wrote that we envy the student taking a class in evolutionary biology today. Recent events only strengthen this sentiment. For example, since the first edition of the book was released, our understanding of human evolutionary history has been upended by findings including definitive evidence of substantial interbreeding between humans and other *Homo* species such as Neanderthals and Denisovans. Or to provide another example, as the final drafts of this edition were being completed, extensive evidence of a new hominin species, *Homo naledi*, was uncovered in a South African cave. We scrambled to tell its remarkable story before the book went to press. These findings, along with other major advances in our understanding of human evolutionary history, stimulated us to expand our coverage of human evolution from a short section in our first edition to an entirely new chapter in this second edition.

Evolutionary biologists continue to collaborate in new and dynamic ways with researchers in many disciplines and bring to such collaboration a diverse set of perspectives—from areas such as phylogenetics, population genetics, the study of adaptation, molecular genetics, and developmental biology, to name just a few. The result is a much deeper understanding of the history and diversity of life on Earth over the past 4 billion years or so. Our job as the authors of this book is to capture the exciting work that has gone into this effort and to present it in a rigorous and engaging fashion.

To achieve this goal, we draw on our dual roles as researchers in and teachers of evolutionary biology. We each run active labs abuzz with the excitement that surrounds the science of evolution. We both lecture about evolution to students at our own universities and to audiences around the world. And we are each enthusiasts about the history of science in general and the history of evolutionary biology in particular. The successful strategies we've developed for communicating with these diverse audiences have informed the tone, emphases, and features in this textbook in a way that we hope will excite the scientific imaginations of students and instructors alike.

We relish the fact that *all science* is about testing hypotheses. Hypothesis-driven science has proved to be the most powerful approach ever devised for understanding the nature of the physical world we live in. No other approach even comes close. We convey this through the abundant use of examples in which evolutionary biologists generate and test hypotheses. In this second edition, we continue the path we took in the first edition and include the newest work from around the globe. Through these examples, students will gain an intimate understanding that evolutionary biology is a continually developing field in which theoretical ideas translate into testable predictions and in which the process of hypothesis testing leads to refinements of theory. Through the lens of current research, students can see how the scientific understanding of evolutionary biology is ever changing and that built into science is a system that allows each assumption to be challenged and refined or even rejected based on a preponderance of evidence.

We understand that it is *stories*, not catalogs of facts, that resonate with students (or anyone else). And so, in each chapter, we make use of the natural human inclination to acquire and process information in narrative form. Within the field of evolutionary biology are fascinating stories on many levels: stories of individual scientists and how they came to their discoveries, stories of how human thought has changed over the centuries, stories of how major evolutionary innovations arose in the history of life, stories of how individual species have changed over millennia through biological evolution or, as in the case of many microbes, how a population can change dramatically in a matter of weeks.

Science is much more than narrative, of course. As in all mature sciences, models play a fundamental role in evolutionary biology today. In this book, we devote considerable attention to simple conceptual models of evolutionary processes. Often, such models can be profitably expressed through the language of mathematics, and one of our principal aims in the text is to help students become comfortable with this approach. One of the most important things that students learn in college-level physics or economics classes is how to formulate questions about the real world in the language of mathematical models and how to answer these questions appropriately using mathematical analysis. We believe strongly that this should be a critical component of a college education in the biological sciences as well. At the same time, we recognize that students enter this course with varying degrees of mathematical preparedness, and so we have placed the more advanced concepts in boxes in an effort to offer instructors maximum flexibility in integrating mathematical models into their course.

So that students will gain a firm understanding of the essential foundations of evolutionary reasoning, we introduce several fundamental components of evolutionary thought in Chapter 1 and emphasize them throughout this textbook. These include:

- **Phylogenetics.** All living things on the planet today—and indeed all life that has ever existed—are linked by a shared evolutionary history that evolutionary biologists represent using phylogenetic trees. Thus, to understand evolutionary relationships, whether between two HIV strains or among the different domains of life, students must learn to think in terms of phylogenetic relationships. We consider it crucial that any textbook on evolution seamlessly integrates phylogenetic thinking throughout, and we have done so here. If students walk away remembering just one thing about this book—though of course we hope they walk away remembering much more—it will be the importance of phylogenetic thinking.
- **Population thinking.** Evolutionary change occurs in populations, but most contemporary biology curricula train students to think at the level of the individual, as one would in a physiology course, for example. In this book, we demonstrate how to think at the population level as well, paying careful attention to the properties of populations: population composition, variation among individuals within and between populations, change in the properties of a population over time, and so forth. This population-level perspective, particularly as it relates to the process of natural selection, permeates this book. Because we know that some students initially struggle to master this type of population-level thinking, we devote considerable space to teaching this skill.
- **Natural selection.** Evolution is often defined as “descent with modification.” As a population geneticist (CTB) and a behavioral evolutionary biologist (LAD), we both study the processes responsible for such “modification.” We convey the importance of this topic to students by teaching them how the process of natural selection has shaped the diversity of life on this planet and how other processes—most notably genetic drift—have also contributed to the myriad forms of life around us.

## Features

This textbook integrates the big themes in evolutionary biology—phylogenetics and population thinking—in a way that is both current and accessible. Extensive, in-depth, current research examples, an emphasis on problem solving, and a stunning art program engage students, helping them understand fundamental concepts and processes. Major features include:

- Extensive coverage of **phylogenetics**, which is introduced in Chapter 1 through the examination of a few engaging examples that demonstrate the power of phylogenetic thinking. Soon after, in Chapter 4, Phylogeny and Evolutionary History, and Chapter 5, Inferring Phylogeny, students are taught how to interpret and then build trees that generate testable hypotheses about evolutionary history and compare the relatedness of living organisms. This strong foundation in phylogenetic reasoning is then integrated into the text and art in virtually every chapter that follows.

- We explore fundamental concepts through the lens of phylogenetics and population thinking and reinforce these concepts using **current research examples**, many of which are drawn from research done in the past decade. From Chapter 3's in-depth examination of Hopi Hoekstra's work on natural selection, phylogeny, cryptic coloration, and the Mc1R and Agouti genes in oldfield mice (*Peromyscus polionotus*), to Chapter 11's coverage of Jack Szostak's work on lipid membranes and reproduction in the earliest cellular life forms, to Chapter 19's story of how genetic evidence of

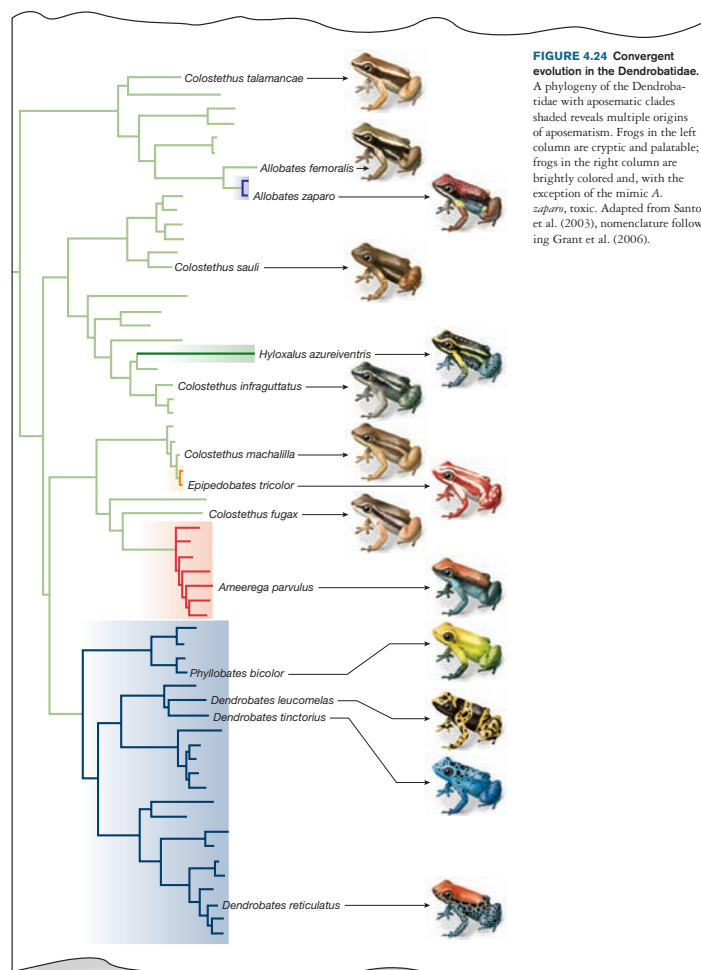
interbreeding between humans and both Neanderthals and Denisovans has radically revised our understanding of our evolutionary history, the excitement of current research is captured throughout.

- Significant coverage of **contemporary topics** such as genomics, evo–devo, molecular evolution, and human evolution, including full chapters on the following subjects: Genome Evolution (Chapter 10), Evolution and Development (Chapter 13), Coevolution (Chapter 18), Human Evolution (Chapter 19), and Evolution and Medicine (Chapter 20).

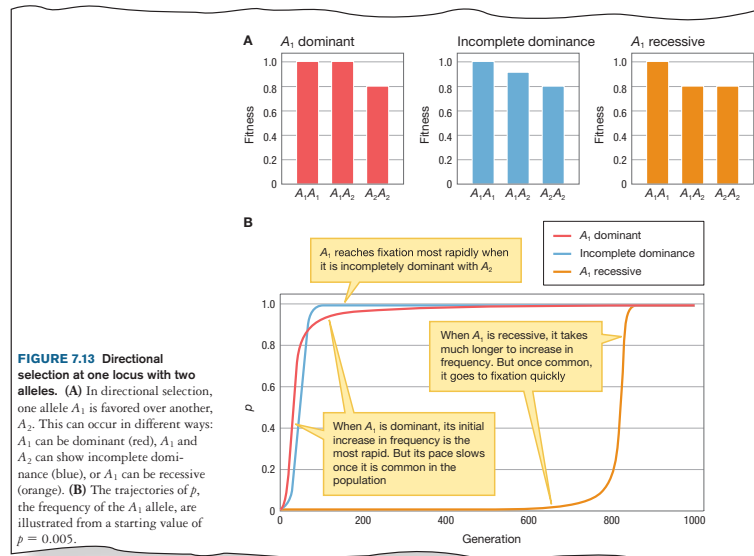
- An in-depth focus on a **few research studies** in each chapter promotes a more complete understanding of how evolutionary biologists come to understand specific concepts. The examples were carefully chosen to offer a **balance of classic and contemporary studies** that most fully illustrate the concept being discussed.

- A beautiful and information-rich **art program** was carefully developed to promote understanding of key concepts described in the text by both engaging students visually and providing them with just the right amount of detail. The art includes distinctive figures that help students in the following ways:

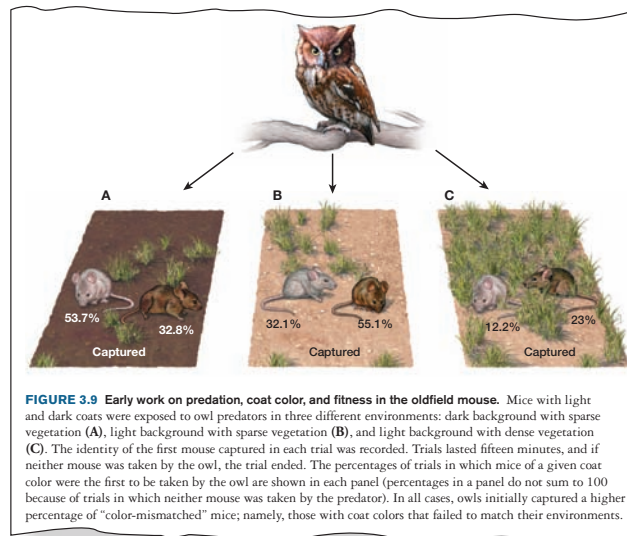
1. **Phylogenetic relationships** are made clear through the many phylogenetic trees that appear in virtually every chapter. Many of these trees also include in-figure captions, photographs, and line art that enrich students' understanding of the concept or example.



2. **Research-style data graphics** are presented much like they appear in the primary literature, but with carefully developed labels and in-figure captions that teach students to interpret and analyze the image or graph visually.



3. Diagrams of **experimental processes** encourage students to visualize not just the outcome of a research study, but the specifics of how the experiment was constructed so that they can better understand the meaning behind the data.



- Clear and accessible coverage of **quantitative methods**, the most difficult of which are in optional boxes. This teaches students how to formulate questions about evolutionary processes and relationships the ways researchers do—in the language of quantitative models.
- High-quality **problem sets** in the end-of-chapter material provide students with extensive practice in formulating and solving problems.

## Resources for Instructors

### Downloadable Instructor's Resources

These include content for use both in the classroom and online:

- Book art in JPEG and PowerPoint formats.
- Free, customizable Coursepacks, which are accessible directly through instructors' learning management systems and include new adaptive learning modules on interpreting data, phylogenetic trees, and population genetics.
- Test Bank in Examview, Word RTE, and PDF formats.
- Instructor's Manual in PDF format.

For more information and to view samples, go to [www.norton.com/instructors](http://www.norton.com/instructors).

### Test Bank

The Test Bank has been developed using the Norton Assessment Guidelines and provides a quality bank of 1000 items consisting of multiple choice and short answer/essay questions. Each question in the Test Bank is classified by Bloom's taxonomy, learning objective, section, and difficulty, making it easy to construct tests and quizzes that are meaningful and diagnostic.

### Instructor's Manual

This helpful online resource for instructors consists of detailed chapter outlines, guides to key readings in the text, and answers to the key concept questions for every chapter. The manual also includes brief guides to accessing and using online simulations, including EvoBeaker.

### Coursepacks

At no cost to instructors or students, Norton Coursepacks offer a variety of review activities and assessment materials for instructors who use Blackboard and other learning management systems. With a simple download from our instructor's website, an adopter can bring high-quality digital media into a new or existing online course (with no additional student passwords or logins required). In addition to chapter-based quizzes with art, flashcards, and animations, the Coursepack includes three adaptive InQuizitive modules that develop the core foundational skills students need to do well in the course. The modules, on interpreting data, phylogenetic trees, and population genetics, were written by Christine Andrews, Senior Lecturer at the University of Chicago.



## Resources for Students

### InQuizitive Learning Modules

InQuizitive is a formative, adaptive quizzing tool that provides a personalized learning experience tailored to each student's learning needs. These free learning modules, accessible directly in the Coursepack, help students hone their understanding outside of class on three key concepts—data interpretation, phylogenetic trees, and population genetics—so that they come to the lectures better prepared. Each module personalizes the quizzing, so students get reinforced practice in the specific areas they need help with most. Instructors can easily review individual and overall class performance data.

### Ebook

An affordable and convenient alternative to the print book, the Norton ebook retains the content and design of the print book and allows students to highlight and take notes with ease, print chapters as needed, search the text, and more.

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To the reader: Thank you as well! We greatly appreciate your consideration and selection of this book as your introduction to evolutionary biology. We welcome your comments.

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# EVOLUTION

SECOND EDITION





# PART I

## Foundations of Evolutionary Biology

- Chapter 1** An Overview of Evolutionary Biology
- Chapter 2** Early Evolutionary Ideas and Darwin's Insight
- Chapter 3** Natural Selection
- Chapter 4** Phylogeny and Evolutionary History
- Chapter 5** Inferring Phylogeny

Giant tortoises from inside the Alcedo volcano on Isabela Island. This island is part of the Galápagos archipelago, which Darwin visited while aboard HMS *Beagle*.





# 1

## An Overview of Evolutionary Biology

- 1.1 A Brief Introduction to Evolution, Natural Selection, and Phylogenetics
- 1.2 Empirical and Theoretical Approaches to the Study of Evolution

◀ The carnivorous dusky pitcher plant (*Nepenthes fuscata*) of Borneo traps insects in a liquid reservoir at the bottom of its pitcher.

I

n his classic book, *The Structure of Scientific Revolutions*, philosopher and historian of science Thomas Kuhn argued that major advances in science are rare, and that true scientific revolutions involve not simply the accumulation of new facts and theories but fundamental changes in the way we think (Kuhn 1962). Once such a revolution takes place, the world is never seen or understood in the same way. When early astronomers and physicists demonstrated that Earth was not at the center of the universe, what Kuhn described as a *paradigm shift* occurred. The very way we thought of Earth and our place in nature fundamentally changed. A similarly dramatic paradigm shift occurred when Charles Darwin laid out his theory of evolution.

In *On the Origin of Species*, published in 1859, Darwin presented two revolutionary ideas. Each had been suggested independently by others before, but never had they been brought together with the conceptual brilliance and the naturalist's eye of Charles Darwin (Chapter 2). First, after decades of observations, collecting data from near and far, reading incessantly, and

synthesizing and resynthesizing theories from a number of different disciplines, Darwin recognized that the diversity of life we see around us has descended from previously existing species, which share a common ancestor from further back in time. Second, Darwin realized that the often exquisite fit of species to their environments is primarily a result of **natural selection**, a gradual process in which forms that are better suited to their environments increase in frequency in a population over sufficiently long periods of time. As we will see throughout this book, “sufficiently long” can range from a matter of days to tens of thousands of years, depending on the strength of natural selection and the rate of reproduction of the organisms we are studying. Together, these two ideas proposed by Darwin suggest that the entire organic world—much of everything we see, feel, smell, taste, and touch—is the result of evolutionary changes that have taken place over time.

Once the theory of evolution by natural selection was developed, scientists had at their disposal a natural—as opposed to a supernatural—explanation for the diversity of life on the planet, as well as an explanation for why the vast majority of life-forms that have ever existed are now extinct. More than that, they had a theory that could be used to explain the similarities and differences among all the creatures on Earth and to explain why organisms are usually so well suited to the environments in which they live.

Paradigm shifts have wide-ranging effects, and that was certainly the case for Darwin’s theory—so much so that the renowned geneticist Theodosius Dobzhansky wrote, “nothing in biology makes sense except in the light of evolution” (Dobzhansky 1973, p. 125). Without evolutionary theory, biology is composed of a large number of important but disparate subdisciplines. With evolution as its theoretical and conceptual foundation, the biological sciences share a common framework that allows us to understand both the commonalities and differences among living forms; it allows us to make sense of the way that living things function now and to understand how they came to be.

The study of physics is fundamental to understanding our universe, because it allows us to reconstruct the grand story of how the universe came to be as it is, and it lets us understand how the universe operates today. The study of evolution is similarly fundamental in that it allows us to reconstruct the grand story of how all living things came to be and how they (and we) function.

As you will see as you work your way through this book, the characteristics of the organisms you are studying have been shaped by evolutionary processes. Whether you are interested in anatomy, physiology, behavior, molecular biology, genetics, development, medicine, or any other area of biology, a solid understanding of evolution is indispensable.

In this chapter, we will

- Provide a brief introduction to evolution and natural selection, including examples related to (1) artificial selection, (2) antibiotic resistance, (3) conservation biology, and (4) molecular genetics, evolution, and behavior in primates.
- Give an overview of empirical and theoretical approaches to the study of evolution.
- Discuss a more detailed example of the way that empirical and theoretical approaches interact by looking at the evolution of sex ratios.



## 1.1 A Brief Introduction to Evolution, Natural Selection, and Phylogenetics

The science of evolutionary biology reads like a thrilling detective story in the sense that it unravels a great mystery. Indeed, evolutionary biologists *are* detectives—as are all scientists—but they are much more than that. The study of evolutionary biology allows us not only to infer the relationships among all life that has ever lived and to track the diversity of life across vast stretches of time, but also to test hypotheses through a rigorous combination of observation and experimental manipulations. These observations and experiments may involve examining fossils or contemporary organisms; they may use, among other things, anatomical, physiological, hormonal, molecular genetic, developmental, and behavioral data; and they may involve analyzing data from DNA sequences to population composition (**Figure 1.1**).

At its core, evolutionary biology is the study of the origin, maintenance, and diversity of life on Earth over approximately the past 3.5 billion years. To understand the **evolution** of a species fully, we need to know the ancestral species from which it *descended*, and we need to know what sort of *modifications* have occurred along the way. Darwin referred to this entire process as **descent with modification**.



**FIGURE 1.1** Sources of data for testing models of evolution. A few examples of the sources of data that evolutionary biologists use to test their hypotheses: (A) data from the fossil record, as shown by this fossil ammonite found in Dorset, England; (B) behavioral data, as shown by observing the behavior of gelada baboons in Ethiopia; (C) morphological data, as shown by this display of wing color patterns on *Bicyclus anynana* butterfly wings; (D) embryological data, as shown by the magnetic resonance imaging of developing mouse embryos between day 9.5 and day 19, when the mouse is born; and (E) molecular genetic data, as shown by this DNA sequence film.



To understand the evolution of *Homo sapiens*, for example, we need to understand the primate species from which it descended (as well as other species closely related to this ancestral species) and the changes that occurred over the period in which *H. sapiens* evolved. Because those earlier species are no longer present, we often have to infer their properties by comparing the properties of multiple living species. We use the same reasoning if the species in question is the malaria parasite (*Plasmodium falciparum*) or corn (*Zea mays*). That is, we try to discern the ancestral history of the species in question, and, at the same time, we attempt to track the modifications that have occurred in that species. We aim to understand the process of descent with modification.

One of the most important processes responsible for the modifications that occur over time is natural selection. We will discuss natural selection and other evolutionary processes in greater detail in later chapters. For the time being, we can summarize the process of natural selection as follows. Genetic **mutations**, or changes to the DNA sequence, arise continually and change the **phenotype**—the observable, measurable characteristics—of organisms. These mutations can increase fitness, decrease fitness, or have no effect on fitness, where **fitness** is measured in terms of relative survival rates and reproductive success. Many, perhaps most, mutations will disrupt processes that are already fine-tuned, and thus they will have harmful effects on fitness. By analogy, consider tinkering with a computer program. If you randomly change one line of code, chances are that you will break the program entirely, degrade its performance or, at very best, have no effect on the program's function. But some times you will get lucky—your change may actually improve the program's operation. Genetic mutations are similar. Most are deleterious or neutral, but some mutations turn out to be advantageous in the sense that the individuals who carry them may have more surviving offspring than average. Such genetic changes that improve the fitness of individuals will tend to increase in frequency over time.

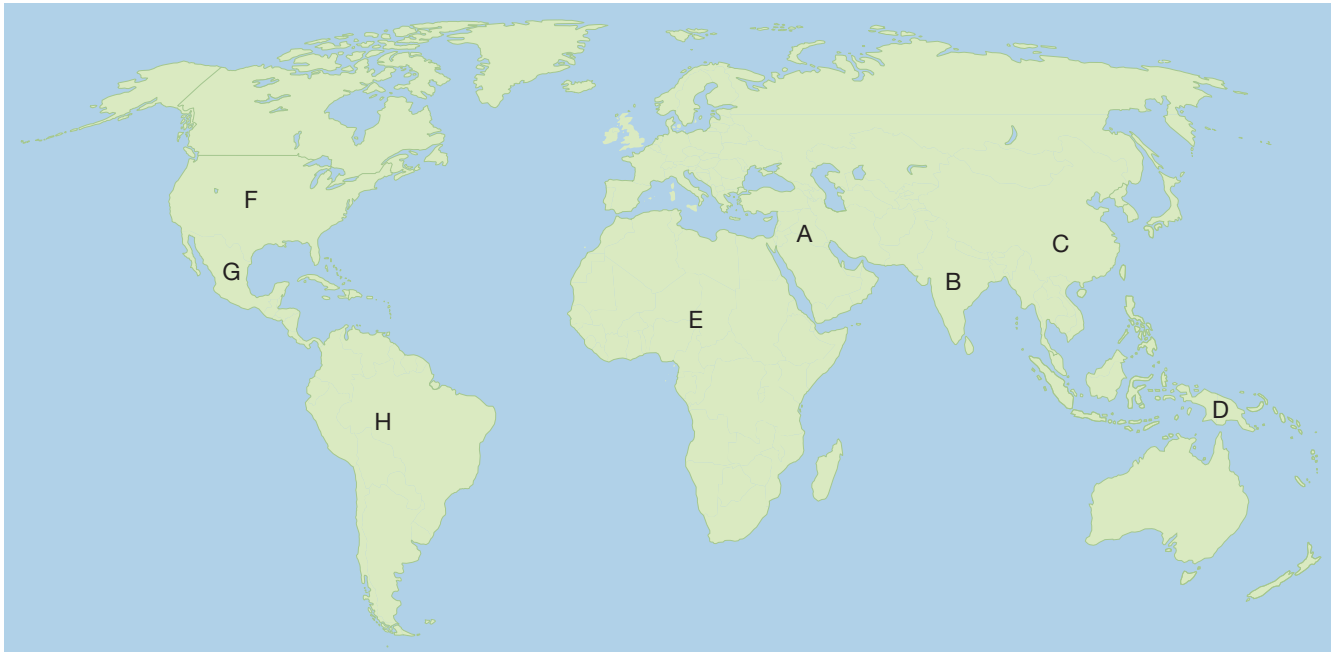
The result is evolutionary change by natural selection. The accumulation of advantageous genetic changes, amassed over long periods of time, can produce dramatic effects within a population, even to the extent of producing new species, genera, families, and higher taxonomic orders. Indeed, as we will see many times throughout the course of this book, the process of natural selection is fundamental in what are called the **major transitions** that have taken place over the past 3.5 billion years of life on Earth—the evolution of the prokaryotic cell, the evolution of the eukaryotic cell, the evolution of multicellularity, and so on.

Repeatedly throughout this book, we will examine the power of natural selection in shaping the life that we see around us. We begin with some of the practical applications of understanding evolution via natural selection. Then we examine phylogenetics—how evolutionary history can be inferred using patterns of common descent—to again address an issue of practical application, in this case policies in conservation biology. The examples in this section, as well as all the examples we discuss in this chapter, are meant to illustrate some of the major concepts, methods, and tools that biologists use to understand evolution.

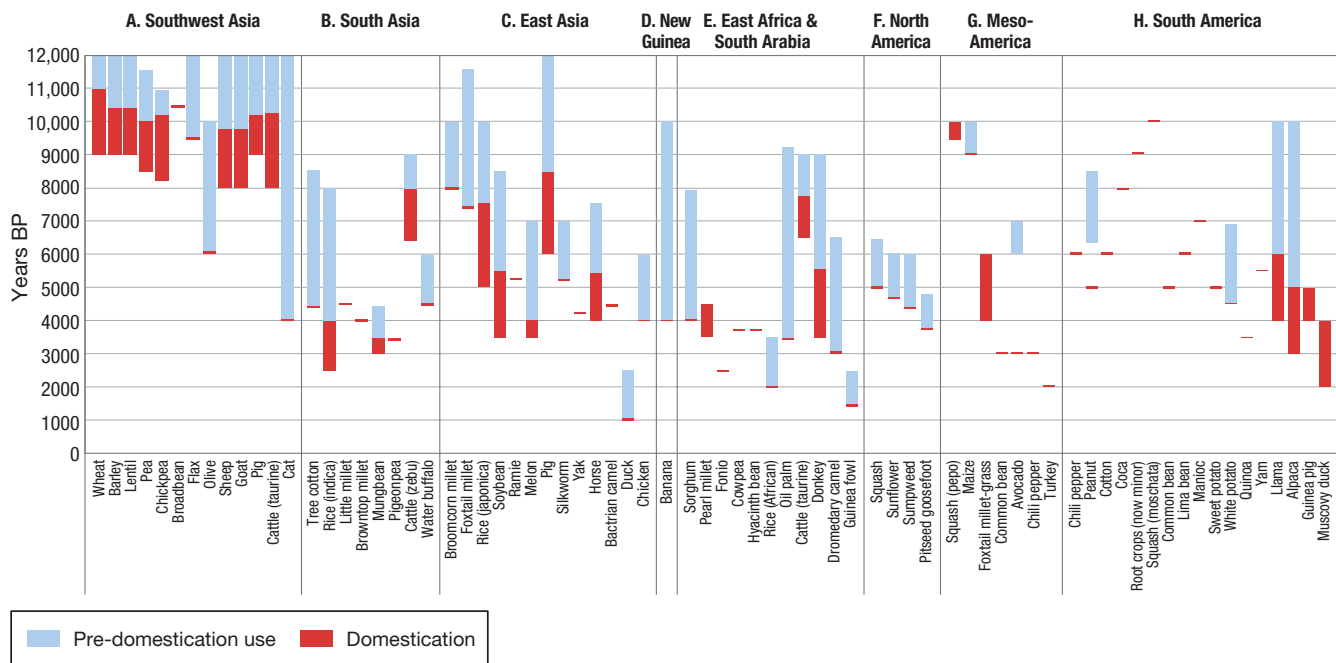
## Evolutionary Change and the Food We Eat

The next time you sit down for a meal, take a look at the items on your plate. Whether you're enjoying a home-cooked supper or fast-food takeout, the food you are eating is almost certainly the product of evolutionary change due to intense **selective breeding** over time (Denison et al. 2003; Abbo et al. 2012; Larson et al. 2014) (**Figure 1.2**). Indeed, humans have been selectively breeding grains, such

A



B

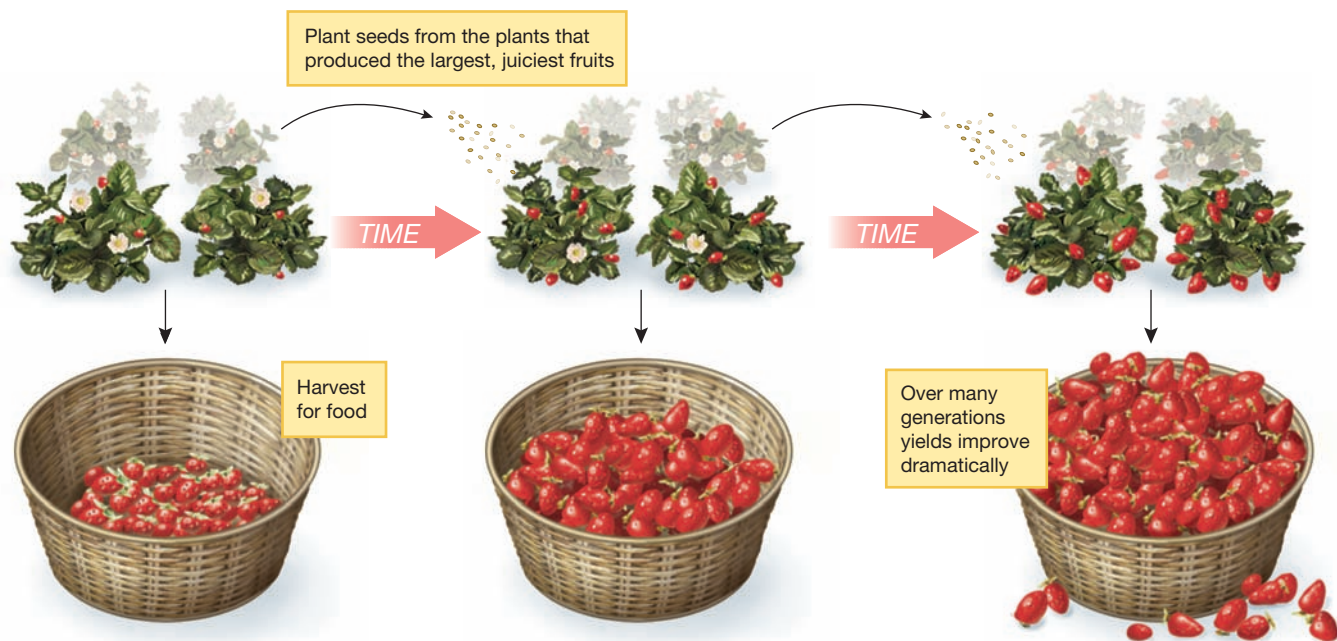


**FIGURE 1.2** Domestication of plants and animals around the world. (A) A map showing locations where at least one plant or animal domestication event is thought to have occurred. Labels A–H represent geographic regions seen in panel B. (B) A chronology of when and where plants and animals were domesticated. Where possible, extended bars denote the period of pre-domestication use (blue) and the period during which domestication took place (red). Where exact domestication periods are unknown, narrow bars denote the latest possible date of domestication. Adapted from Larson et al. (2014).

as barley (*Hordeum vulgare*) and wheat (*Triticum aestivum*), as well as lentils (*Lens culinaris*) and peas (*Pisum sativum*), for more than 10,000 years (Garrard 1999; Zohary and Hopf 2000; Abbo et al. 2003).

The process of human-directed selective breeding, known as **artificial selection**, is straightforward. In the case of crops, in each generation the best plants—for example, those that are the hardiest, quickest growing, and best tasting—are chosen as the parental stock for the next generation (Figure 1.3). If this process is repeated over time, the population of plants increasingly takes on these beneficial characteristics.

Artificial selection by humans is thus a counterpart to natural selection. With natural selection, traits that are associated with increased survival and reproduction increase in frequency. With artificial selection, humans choose which individuals reproduce, and in so doing, we select traits that are in some way beneficial to us. Such selective breeding can produce dramatic results. For example, the productivity of wheat (*Triticum aestivum*), rice (*Oryza sativa*), and corn (*Zea mays*) has doubled since 1930; much of that increase is due to selection for genetic crop strains better adapted to their agricultural environments (Jennings and de Jesus 1968; Ortiz-Monasterio et al. 1997; Duvick and Cassmann 1999). And the same holds true when we look at the selective breeding of animals, which has resulted in increased egg production by chickens and increased milk production by dairy cows (Tixier-Boichard et al. 2012; Mancini et al. 2014).



**FIGURE 1.3** The process of artificial selection. Darwin used strawberries as an example of artificial selection, writing, “As soon, however, as gardeners picked out individual [strawberry] plants with slightly larger, earlier, or better fruit, and raised seedlings from them, and again picked out the best seedlings and bred from them, then, there appeared (aided by some crossing with distinct species) those many admirable varieties of the strawberry which have been raised during the last thirty or forty years” (Darwin 1859, pp. 41–42).

Even as artificial selection improves the quality and yield of crops and livestock, other evolutionary changes have detrimental effects on the human food supply, as we see with pesticide resistance. Although 10% to 35% of all U.S. crops are still lost to insect damage each year, the development of pesticides was a major breakthrough in reducing crop pests and thereby increasing crop productivity (Pimentel and Lehman 1991; National Research Council 2000). Natural selection, however, will tend to favor crop pests that are most resistant to such pesticides—as occurred when diamondback moths evolved resistance to one of the most frequently used insecticides of the late 1980s—resulting in an “arms race” between pest species that feed on crops and humans determined to get rid of such species (Ceccatti 2009; Furlong et al. 2013). As resistant pests increase in frequency, humans produce ever-stronger insecticides. Because evolutionary change occurs quickly in insects because of their short generation times, humans often lose this particular arms race, and therefore we continually need to develop new pesticides.

Why do we call the evolution of resistance to pesticides natural selection instead of artificial selection, given that humans are the ones producing and distributing the pesticides? The distinction between artificial and natural selection refers not to whether human activity is involved, but rather to whether humans deliberately choose which individuals will reproduce. In the case of increasing grain yields, humans actively select those varieties with higher yield; in the case of increasing pesticide resistance, humans produce the pesticides but do not deliberately choose pesticide-resistant strains of insects for further reproduction. Indeed, what we want—pests easily killed by our pesticides—is just the opposite of what natural selection produces. Desirable or otherwise, evolutionary change due to human activity is sometimes called *anthropogenic evolution* (Carroll et al. 2014).

A problem similar to that of resistance to pesticides unfolds when we look at another product produced by humans: antibiotics.

## Evolutionary Change and Pharmaceuticals

One theme that we will return to repeatedly throughout this book is the manner in which research in evolutionary biology can inform our understanding of disease and help us to design more effective responses to the problems associated with disease. For example, the discovery and development of antibiotic drugs for preventing or treating bacterial infections was one of the major medical developments of the twentieth century. But ever since humans first began using antibiotics, medical practitioners have had to deal with bacteria that are resistant to these drugs. The first modern antibiotic, penicillin, was introduced clinically in 1943; within a single year, penicillin resistance was observed, and within 5 years it had become common in a number of bacterial species. Since then, numerous new antibiotics have been developed and introduced to the market, only to lose their effectiveness within a matter of years as bacteria evolved resistance to the drug (Lacey 1973; Piddock et al. 1998; CDC 2007) (Figures 1.4 and 1.5). The evolution of **antibiotic resistance** is the result of natural selection and can be understood only in the context of evolutionary biology.

Bacteria reproduce at an astounding rate—in some cases, as frequently as once every 20 minutes. They reach enormous population sizes—a single gram of feces