

Stephen Jay Gould: *Dinosaur in a Haystack*

THE FASHION INDUSTRY thrives on our need to proclaim an identity from our most personal space. For academics, who by stereotype (though not always in actuality) scorn the sartorial mode, office doors serve the same function. Professorial entranceways are festooned with testimonies of deepest beliefs and strongest commitments. We may, as a profession, have a deserved reputation for lengthy and tendentious proclamation, but our office doors feature the gentler approach of humor or epigram. The staples of this genre are cartoons (with Gary Larson as the unchallenged *numero uno* for scientific doors), and quotations from gurus of the profession.

Somehow, I have never been able to put someone else's cleverness so close to my heart or soul. I wear white T-shirts and, though I wrote the preface to one of Gary Larson's *Far Side* collections, I would never identify my portal with his brilliance. But I do have a favorite quotation – one worth dying for, one fit for shouting from the housetops (if not for inscription on the doorway).

My favorite line, from Darwin of course, requires a little explication. Geology, in the late eighteenth century, had been deluged with a rash of comprehensive, but mostly fatuous, “theories of the earth” – extended speculations about everything, generated largely from armchairs. When the Geological Society of London was inaugurated in the early nineteenth century, the founding members overreacted to this admitted blight by banning theoretical discussion from their proceedings. Geologists, they ruled, should first establish the facts of our planet's history by direct observation – and then, at some future time when the bulk of accumulated information becomes sufficiently dense, move to theories and explanations.

Darwin, who had such a keen understanding of fruitful procedure in science, knew in his guts that theory and observation are Siamese twins, inextricably intertwined and continually interacting. One cannot perform first, while the other waits in the wings. In mid-career, in 1861, in a letter to Henry Fawcett, Darwin reflected on the false view of earlier geologists. In so doing, he outlined his own conception of proper scientific procedure in the best one-liner ever penned. The last sentence is indelibly impressed on the portal to my psyche.

About thirty years ago there was much talk that geologists ought only to observe and not theorize; and I well remember someone saying that at this rate a man might as well go into a gravelpit and count the pebbles and describe the colors. How odd it is that anyone should not see that all observation must be for or against some view if it is to be of any service!

The point should be obvious. Immanuel Kant, in a famous quip, said that concepts without percepts are empty, whereas percepts without concepts are blind. The world is so complex; why should we strive to comprehend with only half our tools. Let our minds play with ideas; let our senses gather information; and let the rich interaction proceed as it must (for the mind processes what the senses gather, while a disembodied brain, devoid of all external input, would be a sorry instrument indeed).

Yet scientists have a peculiar stake in emphasizing fact over theory, percept over concept – and Darwin wrote to Fawcett to counteract this odd but effective mythology. Scientists often strive for special status by claiming a unique form of “objectivity” inherent in a supposedly universal procedure called *the* scientific method. We attain this objectivity by clearing the mind of all preconception and then simply seeing, in a pure and unfettered way, what nature presents. This image may be beguiling, but the claim is chimerical, and ultimately haughty and divisive. For the myth of pure perception raises scientists to a pinnacle above all other struggling intellectuals, who must remain mired in constraints of culture and psyche.

But followers of the myth are ultimately hurt and limited, for the immense complexity of the world cannot be grasped or ordered without concepts. “All observation must be for or against some view if it is to be of any service.” Objectivity is not an unobtainable emptying of mind, but a willingness to abandon a set of preferences – for or against some view, as Darwin said – when the world seems to work in a contrary way.

This Darwinian theme of necessary interaction between theory and observation gains strong support from a scientist's standard “take” on the value of original theories. Sure, we love them for the usual “big” reasons – because they change our interpretation of the world, and lead us to order things differently. But

ask any practicing scientist, and you will probably get a different primary answer – for we are too busy with the details and rhythms of our daily work to think about ultimates very often. We love original theories because they suggest new, different, and tractable ways to make observations. By posing different questions, novel theories expand our range of daily activity. Theories impel us to seek new information that becomes relevant only as data either “for or against” a hot idea. Data adjudicates theory, but theory also drives and inspires data. Both Kant and Darwin were right.

I bring up this personal favorite among quotations because my profession of paleontology has recently witnessed such a fine example of theory confirmed by data that no one ever thought of collecting before the theory itself demanded such a test. (Please note the fundamental difference between demanding a test and guaranteeing the result. The test might just as well have failed, thus dooming the theory. Good theories invite a challenge but do not bias the outcome. In this case, the test succeeded twice, and the theory has gained strength.) Ironically, this particular new theory would have been anathema to Darwin himself, but such a genial and generous man would gladly, I am sure, have taken his immediate lumps in exchange for such a fine example of his generality about theory and observation, and for the excitement of any idea so full of juicy implications.

We have known since the dawn of modern paleontology that short stretches of geological time feature extinctions in substantial percentages of life – up to 96 percent of marine invertebrate species in the granddaddy of all such events, the late Permian debacle, some 225 million years ago. These “mass extinctions” were originally explained, in a literal and commonsense sort of way, as products of catastrophic events, and therefore truly sudden. As Darwin’s idea of gradualistic evolution replaced this earlier catastrophism, paleontologists sought to mitigate the evidence of mass dying with a reading more congenial to Darwin’s preference for the slow and steady. The periods of enhanced extinction were not denied – impossible in the face of such evidence – but they were reinterpreted as more spread out in time and less intense in effect, in short as intensifications of ordinary processes, rather than impositions of true and rare catastrophes.

In his *Origin of Species* (1859), Darwin rejected “the old notion of all the inhabitants of the earth having been swept away at successive periods by catastrophes” – as well he might, given the extreme view of total annihilation, with its anti-evolutionary implication of a new creation to start life again. But Darwin’s own preferences for gradualism were equally extreme and false: “We have every reason to believe ... that Species and groups of species gradually disappear, one after another, first from one spot, then from another, and finally from the world.” Yet Darwin had to admit the apparent exceptions: “In some cases, however, the extermination of whole groups of beings, as of the ammonites towards the close of the secondary period, has been wonderfully sudden.”

We now come to the central irony that inspired this essay. So long as Darwin’s gradualistic view of mass extinction prevailed, paleontological data, read literally, could not refute the basic premise of gradualism – the “spreading out” of extinctions over a good stretch of time before the boundary, rather than a sharp concentration of disappearances right at the boundary itself. For the geological record is highly imperfect, and only a tiny fraction of living creatures ever become fossils. As a consequence of this imperfection, even a truly sudden and simultaneous extinction of numerous species will be recorded as a more gradual decline in the fossil record. This claim may sound paradoxical, but consider the following argument and circumstance:

Some species are very common and easily preserved as fossils; we may, on average, find specimens in every inch of strata. But other species will be rare and poorly preserved, and we might encounter their fossils only once every hundred feet or so. Now suppose that all these species died suddenly at the same time, after four hundred feet of sediment had been deposited in an ocean basin. Would we expect to find the most direct evidence for mass extinction—that is, fossils of all species through all four hundred feet of strata right up to the very top of the sequence? Of course not.

Common species would pervade the strata, for we expect to find their fossils in every inch of sediment. But even if rare species live right to the end, they contribute a fossil only every hundred feet or so. In other words, a rare species may have lived through four hundred feet, but its last fossil may be entombed one hundred feet below the upper boundary. We might then falsely assume that this rare species died out after three fourths of the total time had elapsed.

Generalizing this argument, we may assert that the rarer the species, the more likely that its last fossil appears in older sediments even if the species actually lived to the upper boundary. If all species died at once, we will still find a graded and apparently gradualistic sequence of disappearances, the rare species going first and the common forms persisting as fossils right to the upper boundary. This phenomenon – a classic example of the old principle that things are seldom what they seem and that literal appearances often obscure reality – even has a name: the Signor-Lipps effect, to honor two of my paleontological buddies, Phil Signor and Jere Lipps, who first worked out the mathematical details of how a literal petering out might represent a truly sudden and simultaneous disappearance.

We can now sense the power of Darwin's argument about needing theories to guide observations. We say, in our mythology, that old theories die when new observations derail them. But too often – I would say usually – theories act as straitjackets to channel observations toward their support and to forestall potentially refuting data. Such theories cannot be rejected from within, for we will not conceptualize the disproving observations. If we accept Darwinian gradualism in mass extinction, and therefore never realize that a graded series of fossil disappearances might, by the Signor-Lipps effect, actually represent a sudden wipeout, how will we ever come to consider the catastrophic alternative? For we will be smugly satisfied that we have “hard” data to prove gradualistic decline in species numbers.

New theories work upon this conceptual lock as Harry Houdini reacted to literal straitjackets. We escape by importing a new theory and by making the different kinds of observations that any novel outlook must suggest. I am not making an abstract point or waving arms for my favorite Darwinian motto. Two lovely examples with the same message have recently been published by a pair of my closest colleagues: studies of ammonites and dinosaurs through the last great extinction.

Anyone who keeps up with press reports on hot items in science knows that a new catastrophic theory of mass extinction has illuminated the paleontological world (and graced the cover of *Time* magazine) during the past decade. In 1979 the father-son (and physicist-geologist) team of Luis and Walter Alvarez published, with colleagues Frank Asaro and Helen Michel, their argument and supporting data for extraterrestrial impact of an asteroid or a comet as the cause of the Cretaceous-Tertiary extinction, the most recent of the great mass dyings, and the time of departure for dinosaurs along with some 50 percent of marine invertebrate species.

This proposal unleashed a furious debate that cannot be summarized in a page, much less an entire essay, or even a book. Yet I think it fair to say that the idea of extraterrestrial impact has weathered this storm splendidly and continually increased in strength and supporting evidence. At this point, very few scientists deny that an impact occurred, and debate has largely shifted to whether the impact caused the extinction *in toto* (or only acted as a coup de grace for a process already in the works), and whether other mass extinctions may have a similar cause.

But paleontologists, with very few exceptions, reacted negatively at first (to say the least) – and Luis Alvarez, a virtual model for the stereotype of the self-assured physicist, was fit to be tied. (Luis, in retrospect, was also mostly right, so I forgive his fulminations against my profession. I, if I may toot my horn, was among his few initial supporters, but not for the right reason of better insight into the evidence. Catastrophic extinction simply matched my idiosyncratic preference for rapidity, born of the debate over punctuated equilibrium – see essay 8.) After all, my colleagues had been supporting Darwinian gradualism for a century, and the fossil record, read literally, seemed to indicate a petering out of most groups before the boundary. How could an impact cause the extinction if most species were dead already?

But the extraterrestrial impact theory soon proved its mettle in the most sublime way of all – by Darwin's criterion of provoking new observations that no one had thought of making under old views. The theory, in short, engendered its own test and broke the straitjacket of previous certainty.

My colleagues may have disliked the Alvarez hypothesis with unconcealed vigor, but we are an honorable lot and, as debate intensified and favorable evidence accumulated, paleontologists had to take another look at their previous convictions. Many new kinds of observations can be made, but let us focus on the simplest, most obvious, and most literal example. In the light of new prestige for impact and sudden termination, the Signor-Lipps argument began to sink in, and paleontologists realized that catastrophic wipeouts might be recorded as gradual declines in the fossil record.

How, then, to break the impasse produced by this indecisive literal appearance of petering out? Many procedures, some rather subtle and mathematical, have been proposed and pursued, but why not start with the most direct approach? If rare species actually lived right to the impact boundary, but have not yet been recorded from the uppermost strata, why not look a whole lot harder? The obvious analogy to the usual cliché suggests itself. If I search for a single needle in a haystack by sampling ten handfuls of hay, I have very little chance of locating the object. But if I take apart the stack, straw by straw, I will recover the needle. Similarly, if I really search every inch of sediment in every known locality, I might eventually find even the rarest species right near the boundary – if it truly survived.

This all seems rather obvious. I cannot possibly argue that such an approach could not have been conceptualized before the Alvarez hypothesis. I cannot claim that ideological blinders of gradualism made it impossible even to imagine pulling apart the haystack rather than sampling a few handfuls. But this example becomes so appealing precisely through its entirely pedestrian character. I could cite many fancy cases of original theories that open entirely new worlds of observation; think of Galileo's telescope and all the impossible phenomena thus revealed. In this case, the Alvarez theory suggested little more than hard work.

So why wasn't the effort expended before? Paleontologists are an industrious lot; we have faults aplenty, but laziness in the field does not lie among them. We do love to find fossils – the reason why most of us entered the profession in the first place. We didn't scrutinize every inch of sediment for the most basic of all scientific reasons. Life is short and the world is immense; you can't spend your career on a single cliff-face. The essence of science is intelligent sampling, not sitting in a single place and trying to get every last one. Under Darwinian gradualism, intelligent sampling followed the usual method of handful-from-the-haystack.

The results obtained matched the expectations of theory, and conceptual satisfaction (one might say "sloth" in retrospect) set in. No impetus existed for the much more laborious technique of dismember-the-entire-haystack, a quite unusual approach in science. We could have worked by dismemberment, but we didn't, and had no reason to do so. The Alvarez theory made this unusual approach necessary. The new idea forced us to observe in a different way. "All observation must be for or against some view if it is to be of any service."

Consider two premier examples – the best-known marine and the best-known terrestrial groups to disappear in the Cretaceous-Tertiary extinction: ammonites and dinosaurs. Both had been prominently cited as support for gradual extinction toward the boundary. In each case, the Alvarez hypothesis inspired a closer look using the inch-by-inch method; and in each case this greater scrutiny yielded evidence of persistence to the boundary, and potentially catastrophic death.

Ammonites are cephalopods (mollusks classified in the same group as squids and octopuses) with coiled external shells closely resembling those of their nearest living relative, the chambered nautilus. Ammonites were a prominent, often dominant, group of marine predators, and their beautiful fossil shells have always been prized by collectors. They arose in mid-Paleozoic times and had nearly become extinct twice before in two other mass dyings at the end of the Permian and the close of the Triassic periods. But a lineage or two had scraped by each time. At the Cretaceous-Tertiary boundary, however, all lineages succumbed and, to cite Wordsworth from another context, there "passed away a glory from the earth."

My friend and colleague Peter Ward, paleontologist from the University of Washington, is one of the world's experts on ammonite extinction, and a vigorous, committed man who adores fieldwork and could never be accused of laziness on the outcrop. Peter didn't care much for Alvarez at first, largely because his ammonites seemed to fade out and disappear entirely some thirty feet below the boundary at his favorite site, the cliffs of Zumaya on the Bay of Biscay in Spain. In 1983, Peter wrote an article for *Scientific American* titled "The extinction of the ammonites." He stated his opposition to the Alvarez theory, then so new and controversial, at least as an explanation for the death of ammonites:

The fossil record suggests, however, that the extinction of the ammonites was a consequence not of this catastrophe but of sweeping changes in the late Cretaceous marine ecosystem ... Studies of the fossils from the stratigraphic sections at Zumaya in Spain suggest they became extinct long before the proposed impact of the meteoritic body.

But Peter, as one of the smartest and most honorable men I know, also acknowledged the limits of such

“negative evidence.” A conclusion based on *not* finding something provides the great virtue of unambiguous potential refutation. Peter wrote: “This evidence is negative and could be overturned by the finding of a single new ammonite specimen.”

Without the impact hypothesis, Peter would have had no reason to search those upper thirty feet of section with any more care. Extinctions were supposed to be gradual, and thirty feet of missing ammonites made perfect sense, so why look any further? But the impact hypothesis, with its clear prediction of ammonite survival right up to the boundary itself, demanded more intense scrutiny of the thirty-foot haystack. In 1986, Peter was still touting sequential disappearance: “Ammonites ... appear to have become extinct in this basin well before the K/T [Cretaceous-Tertiary] boundary, supporting a more gradualistic view of the K/T extinctions.”

But Peter and his field partners, inspired by Alvarez (if only by a hope of disproving the impact hypothesis), worked on through the haystack: “The remaining part of the Cretaceous section was well exposed and vigorously searched and quarried.” Finally, later in 1986, they found a single specimen just three feet below the boundary. The fossil was crushed, and they couldn’t tell for certain whether it was an ammonite or a nautiloid, but this specimen did proclaim a need for even more careful search. (Since nautiloids obviously survived the extinction – the chambered nautilus still lives today – a fossil nautiloid right at the boundary would occasion no surprise.)

Peter started a much more intense search in 1987, and the ammonites began to turn up – mostly lousy specimens, and very rare, but clearly present right up to the boundary. Peter wrote in a book published in early 1992: “Finally, on a rainy day, I found a fragment of an ammonite within inches of the clay layer marking the boundary. Slowly, over the years, several more were found in the highest levels of Cretaceous strata at Zumaya. Ammonites appeared to have been present for Armageddon after all.”

Peter then took the obvious next step: look elsewhere. Zumaya contained ammonites right to the end, but not copiously, perhaps for reasons of local habitat rather than global abundance. Peter had looked in sections west of Zumaya and found no latest Cretaceous ammonites (another reason for his earlier acceptance of gradual extinction). But now he extended his fieldwork to the east, toward the border of Spain and France. (Again, these eastern sections were known and had always been available for study, but Peter needed the impetus of Alvarez to ask the right questions and to develop a need for making these further observations.) Peter studied two new sections, at Hendaye on the Spanish-French border, and right on the yuppie beaches of Biarritz in France. Here he found numerous and abundant ammonites just below the boundary line of the great extinction. He writes in his 1992 book:

After my experience at Zumaya, where years of searching yielded only the slightest evidence ... near the Cretaceous-Tertiary boundary, I was overjoyed to find a score of ammonites within the last meter of Cretaceous rock during the first hour at Hendaye.

We professionals may care as much about ammonites, but dinosaurs fire the popular imagination. No argument against Alvarez has therefore been more prominent, or more persuasive, than the persistent claim by most (but not all) dinosaur specialists that the great beasts, with the possible exception of a straggler or two, had died long before the supposed impact.

I well remember the dinosaur men advancing their supposed smoking gun of a “three-meter gap” – the barren strata between the last known dinosaur bone and the impact boundary. And I recall Luis Alvarez exploding in rage, and with ample justice (for I felt a bit ashamed of my paleontological colleagues and their very bad argument). The last bone, after all, is not the last animal, but rather a sample from which we might be able to estimate the probable later survival of creatures not yet found as fossils. If my buddy throws a thousand bottles overboard and I later pick up one on an island fifty miles away, I do not assume that he only tossed a single bottle. But if I know the time of his throw and the pattern of currents, I might be able to make a rough estimate of how many he originally dropped overboard. The chance of any single animal becoming a fossil is surely much smaller than the probability of my finding even one bottle. All science is intelligent inference; excessive literalism is a delusion, not a humble bowing to evidence.

Again, as with Peter Ward and the ammonites, the best empirical approach would order a stop to the shouting and organize a massive effort to dismember the haystack by looking for dinosaur bones in every inch of latest Cretaceous rocks. *Peter* means “rock” in Latin, so maybe men of this name are predisposed to a paleontological career. Another Peter, my friend and colleague Peter Sheehan of the Milwaukee

Public Museum, has been guiding such a project for years. In late 1991 he published his much-awaited results.

Dinosaurs are almost always rarer than marine creatures, and this haystack really has to be pulled apart fragment by fragment, and over a broad area. The National Science Foundation and other funding agencies simply do not supply grant money at such a scale for projects that lack experimental glamour, whatever their importance. So Peter (Sheehan this time) cleverly availed himself of a wonderful resource that mere ammonites could never command. I will tell the story in his words:

We co-opted the longstanding volunteer-based “Dig-a-Dinosaur” program at the Milwaukee Public Museum. Sixteen to twenty-five carefully trained and closely supervised volunteers and ten to twelve staff members were present during each of seven two-week field sessions during three summers. The primary objective of each volunteer was to search a predetermined area for all bone visible on the surface. The volunteers were arrayed in “search party” fashion across exposures so that all outcrops were surveyed systematically. Associated with the field parties were geologists whose function was to measure stratigraphic sections and identify facies.

I cannot think of a more efficient and effective way to tackle a geological haystack. Peter’s personnel logged fifteen thousand hours of fieldwork and have provided our first adequate sampling of dinosaur fossils in uppermost Cretaceous rocks. Working in the Hell Creek Formation in Montana and North Dakota, they studied each environment separately, with best evidence available from stream channels and floodplains. They divided the entire section into thirds, with the upper third extending right to the impact boundary, and asked whether a steady decline occurred through the three units, leaving an impoverished fauna when the asteroid struck. Again, I will let their terse conclusion, summarizing so much intense effort, speak for itself.

Because there is no significant change between the lower, middle, and upper thirds of the formation, we reject the hypothesis that the dinosaurian part of the ecosystem was deteriorating during the latest Cretaceous. These findings are consistent with an abrupt extinction scenario.

You can always say, “So what? T. S. Eliot was wrong; some worlds at least end with a bang, not a whimper.” But such a distinction makes all the difference, for bangs and whimpers have such disparate consequences. Peter Ward sets the right theme in his final statement on the non-necessary demise of ammonites:

Their history was one of such uncommon and clever adaptation that they should have survived, somewhere, at some great depth. The nautiloids did. It is my prejudice that the ammonites would have, save for a catastrophe that changed the rules 66 million years ago. In their long history they survived everything else the earth threw at them. Perhaps it was something from outer space, not the earth, that finally brought them down.

The true philistine may still say, “So what? If no impact had occurred, both ammonites and nautiloids would still be alive. What do I care? I had never even heard of nautiloids before reading this essay.” Think about dinosaurs and start caring. No impact to terminate their still-vigorous diversity, and perhaps dinosaurs survive to the present. (Why not? They had done well for more than 100 million years, and the earth has only added another 65 million since then.) If dinosaurs survive, mammals almost surely remain small and insignificant (as they were during the entire 100 million years of dinosaurian domination). And if mammals stay so small, restricted, and unendowed with consciousness, then surely no humans emerge to proclaim their indifference. Or to name their boys Peter. Or to wonder about the heavens and the earth. Or to ponder the nature of science and the proper interaction between fact and theory. Too dumb to try; too busy scrounging for the next meal and hiding from that nasty *Velociraptor*.

Stephen Jay Gould: *Hooking Leviathan by Its Past*

THE LANDSCAPE of every career contains a few crevasses*, and usually a more extensive valley or two – for every Ruth’s bat a Buckner’s legs; for every lopsided* victory at Agincourt, a bloodbath at Antietam. Darwin’s *Origin of Species* contains some wonderful insights and magnificent lines, but this masterpiece also includes a few notable clunkers*. Darwin experienced most embarrassment from the following passage, curtailed* and largely expunged* from later editions of his book:

In North America the black bear was seen by Hearne swimming for hours with widely open mouth, thus catching, like a whale, insects in the water. Even in so extreme a case as this, if the supply of insects were constant, and if better adapted competitors did not already exist in the country, I can see no difficulty in a race of bears being rendered*, by natural selection, more aquatic in their structure and habits, with larger and larger mouths, till a creature was produced as monstrous as a whale.

Why did Darwin become so chagrined* about this passage? His hypothetical tale may be pure speculation and conjecture, but the scenario is not entirely absurd. Darwin’s discomfort arose, I think, from his failure to follow a scientific norm of a more sociocultural nature. Scientific conclusions supposedly rest upon facts and information. Speculation is not entirely taboo, and may sometimes be necessary *faute de mieux*. But when scientists propose truly novel and comprehensive* theories – as Darwin tried to do in advancing natural selection as the primary mechanism of evolution – they need particularly good support, and invented hypothetical cases just don’t supply sufficient confidence for crucial conclusions.

Natural selection (or the human analogue of differential breeding) clearly worked at small scale* – in the production of dog breeds and strains of wheat, for example. But could such a process account for the transitions of greater scope* that set our concept of evolution in the fullness of time – the passage of reptilian lineages to birds and mammals; the origin of humans from an ancestral stock* of apes? For these larger changes, Darwin could provide little direct evidence, for a set of well-known and much-lamented reasons based on the extreme spottiness* of the fossil record.

Some splendid cases began to accumulate in years following the *Origin of Species*, most notably the discovery of *Archaeopteryx*, an initial bird chock-full of reptilian features*, in 1861; and the first findings of human fossils late in the nineteenth century. But Darwin had little to present in his first edition of 1859, and he tried to fill this factual gap with hypothetical fables about swimming bears eventually turning into whales – a fancy* that yielded far more trouble in easy ridicule than aid in useful illustration. Just two years after penning his bear-to-whale tale, Darwin lamented to a friend (letter to James Lamont, February 25, 1861), “It is laughable how often I have been attacked and misrepresented about this bear.”

The supposed lack of intermediary forms in the fossil record remains the fundamental canard of current antievolutionism. Such transitional forms are sparse, to be sure, and for two sets of good reasons – geological (the gappiness* of the fossil record) and biological (the episodic nature of evolutionary change, including patterns of punctuated equilibrium*, and transition within small populations of limited geographic extent). But paleontologists have discovered several superb examples of intermediary forms and sequences, more than enough to convince any fair-minded skeptic about the reality of life’s physical genealogy.

The first “terrestrial” vertebrates retained six to eight digits on each limb (more like a fish paddle than a hand), a persistent tailfin, and a lateral-line system for sensing sound vibrations underwater. The anatomical transition from reptiles to mammals is particularly well documented in the key anatomical change of jaw articulation* to hearing bones. Only one bone, called the dentary, builds the mammalian jaw, while reptiles retain several small bones in the rear portion of the jaw. We can trace, through a lovely sequence of intermediates, the reduction of these small reptilian bones, and their eventual disappearance or exclusion from the jaw, including the remarkable passage of the reptilian articulation bones into the mammalian middle ear (where they became our malleus and incus, or hammer and anvil). We have even found the transitional form that creationists often proclaim inconceivable in theory – for how can jawbones become ear bones if intermediaries must live with an unhinged* jaw before the new joint* forms? The transitional species maintains a double jaw joint, with both the old articulation of reptiles (quadrate to articular bones) and the new connection of mammals (squamosal to dentary) already in place! Thus, one joint could be lost, with passage of its bones into the ear, while the other articulation continued to guarantee a properly hinged jaw.

Still, our creationist incubi*, who would never let facts spoil* a favorite argument, refuse to yield, and continue to assert* the absence of *all* transitional forms by ignoring those that have been found, and continuing to taunt* us with admittedly frequent examples of absence. Darwin's old case for the origin of whales remains a perennial favorite, for if Darwin had to invent a fanciful swimming bear, and if paleontologists haven't come to the rescue by discovering an intermediary form with functional legs and potential motion on land, then Jonah's scourge* may gobble* up the evolutionary heathens as well. God's taunt to Job might be sounded again: "Canst thou draw out leviathan with an hook?" (The biblical Leviathan is usually interpreted as a crocodile, but many alternate readings favor whales.)

Every creationist book on my shelf cites the actual absence and inherent inconceivability of transitional forms between terrestrial mammals and whales. Alan Haywood, for example, writes in his *Creation and Evolution* (see bibliography):

Darwinists rarely mention the whale because it presents them with one of their most insoluble problems. They believe that somehow a whale must have evolved from an ordinary land-dwelling animal, which took to the sea and lost its legs ... A land mammal that was in process of becoming a whale would fall between two stools – it would not be fitted for life on land or at sea, and would have no hope of survival.

Duane Gish, creationism's most ardent debater, makes the same argument in his more colorful style (*Evolution: The Challenge of the Fossil Record*):

There simply are no transitional forms in the fossil record between the marine mammals and their supposed land mammal ancestors ... It is quite entertaining, starting with cows, pigs, or buffaloes, to attempt to visualize what the intermediates may have looked like. Starting with a cow, one could even imagine one line of descent which prematurely became extinct, due to what might be called an "udder failure."

The most "sophisticated"* (I should really say "glossy"*) of creationist texts, *Of Pandas and People* by P. Davis, D. H. Kenyon, and C. B. Thaxton says much the same, but more in the lingo of academes:

The absence of unambiguous transitional fossils is strikingly illustrated by the fossil record of whales ... If whales did have land mammal ancestors, we should expect to find some transitional fossils. Why? Because the anatomical differences between whales and terrestrial mammals are so great that innumerable in-between stages must have paddled and swam the ancient seas before a whale as we know it appeared. So far these transitional forms have not been found.

Three major groups of mammals have returned to the ways of distant ancestors in their seafaring modes of life (while smaller lineages within several other mammalian orders have become at least semi-aquatic, often to a remarkable degree, as in river and sea otters): the suborder Pinnepedia (seals, sea lions, and walruses) within the order Carnivora (dogs, cats, and Darwin's bears among others); and two entire orders – the Sirenia (dugongs and manatees) and Cetacea (whales and dolphins). I confess that I have never quite grasped the creationists' point about inconceivability of transition – for a good structural (though admittedly not a phylogenetic) series of intermediate anatomies may be extracted from these groups. Otters have remarkable aquatic abilities, but retain fully functional limbs for land. Sea lions are clearly adapted for water, but can still flop about on land with sufficient dexterity to negotiate* ice floes, breeding grounds, and circus rings.

But I admit, of course, that the transition to manatees and whales represents no trivial extension, for these fully aquatic mammals propel themselves by powerful, horizontal tail flukes and have no visible hind limbs at all – and how can a lineage both develop a flat propulsive tail from the standard mammalian length of rope, and then forfeit* the usual equipment of back feet so completely? (Sirenians have lost every vestige of back legs; whales often retain tiny, splintlike pelvic and leg bones, but no foot or finger bones, embedded in musculature of the body wall, but with no visible expression in external anatomy.)

The loss of back legs, and the development of flukes, fins, and flippers by whales, therefore stands as a classic case of a supposed cardinal problem in evolutionary theory – the failure to find intermediary fossils for major anatomical transitions, or even to imagine how such a bridging form might look or work. Darwin acknowledged the issue by constructing a much-criticized fable about swimming bears, instead of

presenting any direct evidence at all, when he tried to conceptualize the evolution of whales. Modern creationists continue to use this example and stress the absence of intermediary forms in this supposed (they would say impossible) transition from land to sea.

Goethe told us to “love those who yearn* for the impossible.” But Pliny the Elder, before dying of curiosity by straying too close to Mount Vesuvius at the worst of all possible moments, urged us to treat impossibility as a relative claim: “How many things, too, are looked upon as quite impossible until they have been actually effected.” Armed with such wisdom of human ages, I am absolutely delighted to report that our usually recalcitrant fossil record has come through in exemplary fashion. During the past fifteen years, new discoveries in Africa and Pakistan have greatly added to our paleontological knowledge of the earliest history of whales. The embarrassment of past absence has been replaced by a bounty of new evidence – and by the sweetest series of transitional fossils an evolutionist could ever hope to find. Truly, we have met* the enemy and he is now ours. Moreover, to add blessed insult to the creationists’ injury*, these discoveries have arrived in a gradual and sequential fashion – a little bit at a time, step by step, from a tentative hint fifteen years ago to a remarkable smoking gun early in 1994. Intellectual history has matched life’s genealogy by spanning the gaps in sequential steps. Consider the four main events in chronological order.

CASE ONE. *Discovery of the oldest whale.* Paleontologists have been fairly confident, since Leigh Van Valen’s demonstration in 1966, that whales descended from mesonychids, an early group of primarily carnivorous running mammals that spanned a great range of sizes and habits from eating fishes at river edges to crushing bones of carrion. Whales must have evolved during the Eocene epoch, some 50 million years ago, because Late Eocene and Oligocene rocks already contain fully marine cetaceans, well past any point of intermediacy.

In 1983, my colleague Phil Gingerich from the University of Michigan, along with N. A. Wells, D. E. Russell, and S. M. Ibrahim Shah, reported their discovery of the oldest whale, named *Pakicetus* to honor its country of present residence, from Middle Eocene sediments some 52 million years old in Pakistan. In terms of intermediacy, one could hardly have hoped for more from the limited material available, for* only the skull of *Pakicetus* has been found. The teeth strongly resemble those of terrestrial mesonychids, as anticipated, but the skull, in feature after feature, clearly belongs to the developing lineage of whales.

Both the anatomy of the skull, particularly in the ear region, and the inferred habitat of the animal in life, testify to transitional status. The ears of modern whales contain modified bones and passageways that permit directional hearing in the dense medium of water. Modern whales have also evolved enlarged sinuses that can be filled with blood to maintain pressure during diving. The skull of *Pakicetus* lacks both these features, and this first whale could neither dive deeply nor hear directionally with any efficiency in water.

In 1993, J. G. M. Thewissen and S. T. Hussain affirmed these conclusions and added more details on the intermediacy of skull architecture in *Pakicetus*. Modern whales achieve much of their hearing through their jaws, as sound vibrations pass through the jaw to a “fat pad” (the technical literature, for once, invents no jargon and employs the good old English vernacular in naming this structure), and thence to the middle ear. Terrestrial mammals, by contrast, detect most sound through the ear hole (called the “external auditory meatus,” which means the same thing in more refined language). Since *Pakicetus* lacked the enlarged jaw hole that holds the fat pad, this first whale probably continued to hear through the pathways of its terrestrial ancestors. Gingerich concluded that “the auditory mechanism of *Pakicetus* appears more similar to that of land mammals than it is to any group of extant* marine mammals.”

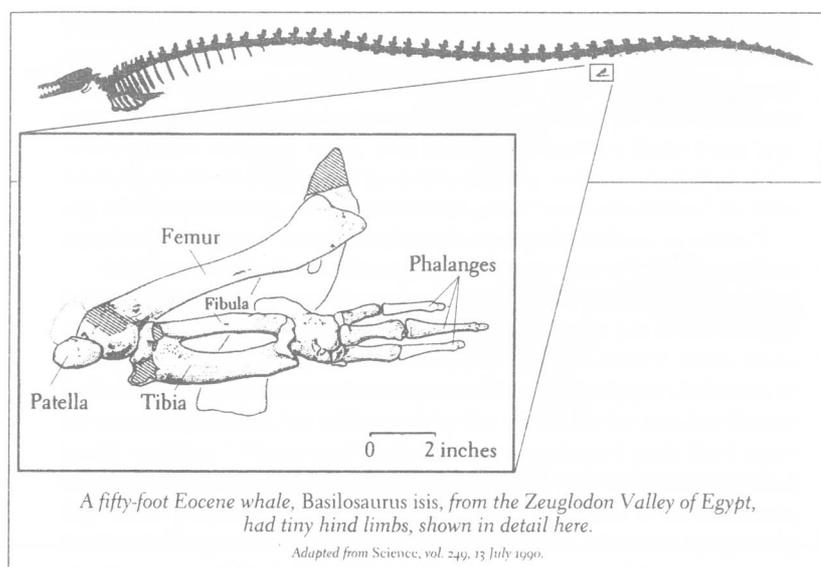
As for place of discovery, Gingerich and colleagues found *Pakicetus* in river sediments bordering an ancient sea – an ideal habitat for the first stages of such an evolutionary transition (and a good explanation for lack of diving specializations if *Pakicetus* inhabited the mouths of rivers and adjacent shallow seas). My colleagues judged *Pakicetus* as “an amphibious stage in the gradual evolutionary transition of primitive whales from land to sea ... *Pakicetus* was well equipped to feed on fishes in the surface waters of shallow seas, but it lacked auditory adaptations necessary for a fully marine existence.”

Verdict: In terms of intermediacy, one could hardly hope for more from the limited material of skull bones alone. But the limit remains severe, and the results therefore inconclusive. We know nothing of the limbs, tail, or body form of *Pakicetus*, and therefore cannot judge transitional status in these key features of anyone’s ordinary conception of a whale.

CASE TWO. *Discovery of the first complete hind limb in a fossil whale.* In the most famous mistake of early American paleontology, Thomas Jefferson, while not engaged in other pursuits usually judged more important, misidentified the claw of a fossil ground sloth* as a lion. My prize for second worst error must go to R. Harlan, who, in 1834, named a marine fossil vertebrate *Basilosaurus* in the *Transactions of the American Philosophical Society*. *Basilosaurus* means “king lizard,” but Harlan’s creature is an early whale. Richard Owen, England’s greatest anatomist, corrected Mr. Harlan before the decade’s end, but the name sticks and must be retained by the official rules of zoological nomenclature. (The Linnaean naming system is a device for information retrieval, not a guarantor of appropriateness. The rules require that each species have a distinctive name, so that data can be associated unambiguously with a stable tag. Often, and inevitably, the names originally given become literally inappropriate for the unsurprising reason that scientists make frequent mistakes, and that new discoveries modify old conceptions. If we had to change names every time our ideas about a species altered, taxonomy would devolve into chaos. So *Basilosaurus* will always be *Basilosaurus* because Harlan followed the rules when he gave the name. And we do not change ourselves to *Homo horribilis* after Auschwitz, or to *Homo ridiculosis* after Tonya Harding – but remain, however dubiously, *Homo sapiens*, now and into whatever forever we allow ourselves.)

Basilosaurus, represented by two species, one from the United States and the other from Egypt, is the “standard” and best-known early whale. A few fragments of pelvic and leg bones had been found before, but not enough to know whether *Basilosaurus* bore working hind legs – the crucial feature for our usual concept of a satisfying intermediate form in both anatomical and functional senses.

In 1990, Phil Gingerich, B. H. Smith, and E. L. Simons reported their excavation and study of several hundred partial skeletons of the Egyptian species *Basilosaurus isis*, which lived some 5 to 10 million years after *Pakicetus*. In an exciting discovery, they reported the first complete hind-limb skeleton found in any whale – a lovely and elegant structure (put together from several partial specimens), including all pelvic bones, all leg bones (femur, tibia, fibula, and even the patella, or kneecap), and nearly all foot and finger bones, right down to the phalanges (finger bones) of the three preserved digits.



This remarkable find might seem to clinch our proof of intermediacy, but for one small problem. The limbs are elegant but tiny (see the accompanying illustration), a mere 3 percent of the animal’s total length. They are anatomically complete, and they did project from the body wall (unlike the truly vestigial* hind limbs of modern whales), but these miniature legs could not have made any important contribution to locomotion – the real functional test of intermediacy. Gingerich et al. write: “Hind limbs of *Basilosaurus* appear to have been too small relative to body size to have assisted in swimming, and they could not

possibly have supported the body on land.” The authors strive bravely to invent some potential function for these minuscule limbs, and end up speculating that they may have served as “guides during copulation, which may otherwise have been difficult in a serpentine aquatic mammal.” (I regard such guesswork as unnecessary, if not ill-conceived*. We need not justify the existence of a structure by inventing some putative Darwinian function. All bodies contain vestigial features of little, if any, utility. Structures of lost usefulness in genealogical transitions do not disappear in an evolutionary overnight.)

Verdict: Terrific and exciting, but no cigar, and no bag-packer for creationists. The limbs, though complete, are too small to work as true intermediates must (if these particular limbs worked at all) – that is, for locomotion on both land and sea. I intend no criticism of *Basilosaurus*, but merely point out that this creature had already crossed the bridge (while retaining a most informative remnant of the other side). We must search for an earlier inhabitant of the bridge itself.

CASE THREE. *Hind limb bones of appropriate size.* *Indocetus ramani* is an early whale, found in shallow-water marine deposits of India and Pakistan, and intermediate in age between the *Pakicetus* skull and the *Basilosaurus* hind legs (cases one and two above). In 1993, P. D. Gingerich, S. M. Raza, M. Arif, M. Anwar, and X. Zhou reported the discovery of leg bones of substantial size from this species.

Gingerich and colleagues found pelvic bones and the ends of both femur and tibia, but no foot bones, and insufficient evidence for reconstructing the full limb and its articulations. The leg bones are large and presumably functional on both land and sea (the tibia, in particular, differs little in size and complexity from the same bone in the related and fully terrestrial mesonychid *Pachyaena ossifraga*). The authors conclude: “The pelvis has a large and deep acetabulum [the socket for articulation of the femur, or thigh-bone], the proximal femur is robust, the tibia is long ... All these features, taken together, indicate that *Indocetus* was probably able to support its weight on land, and it was almost certainly amphibious, as early Eocene *Pakicetus* is interpreted to have been ... We speculate that *Indocetus*, like *Pakicetus*, entered the sea to feed on fish, but returned to land to rest and to birth and raise its young.”

Verdict: Almost there, but not quite. We need better material. All the right features are now in place – primarily leg bones of sufficient size and complexity – but we need more and better-preserved fossils.

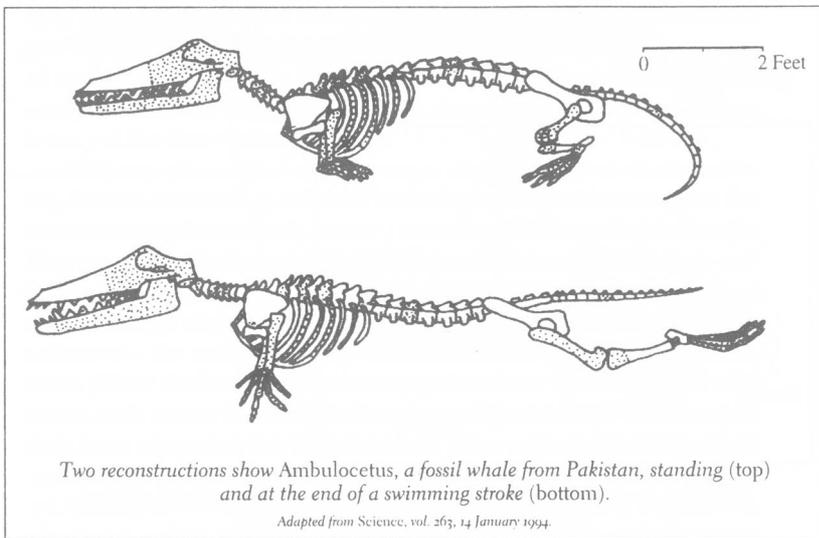
CASE FOUR. *Large, complete, and functional hind legs for land and sea – finding the smoking gun.* The first three cases, all discovered within ten years, surely indicate an increasingly successful paleontological assault* upon an old and classic problem. Once you know where to look, and once high interest spurs great attention, full satisfaction often follows in short order. I was therefore delighted to read, in the January 4, 1994, issue of *Science*, an article by J. G. M. Thewissen, S. T. Hussain, and M. Arif, titled “Fossil evidence for the origin of aquatic locomotion in archaeocete whales.”

In Pakistan, in sediments 120 meters above the beds that yielded *Pakicetus* (and therefore a bit younger in age), Thewissen and colleagues collected a remarkable skeleton of a new whale – not complete, but far better preserved than anything previously found of this age, and with crucial parts in place to illustrate a truly transitional status between land and sea. The chosen name, *Ambulocetus natans* (literally, the swimming walking-whale) advertises the excitement of this discovery.

Ambulocetus natans weighed some 650 pounds, the size of a hefty sea lion. The preserved tail vertebra is elongated, indicating that *Ambulocetus* still retained the long, thin mammalian tail, and had not yet transmuted this structure to a locomotory blade (as modern whales do in shortening the tail and evolving a prominent horizontal fluke as the animal’s major means of propulsion). Unfortunately, no pelvic bones have been found, but most elements of a large and powerful hind leg were recovered – including a complete femur, parts of the tibia and fibula, an astragalus (ankle bone), three metatarsals (foot bones), and several phalanges (finger bones). To quote the authors: “The feet are enormous.” The fourth metatarsal, for example, is nearly six inches long, and the associated toe almost seven inches in length. Interestingly, the last phalanx of each toe ends in a small hoof, as in terrestrial mesonychid ancestors.

Moreover, this new bounty of information allows us to infer not only the form of this transitional whale, but also, with good confidence, an intermediary style of locomotion and mode of life (an impossibility with the first three cases, for *Pakicetus* is only a skull, *Basilosaurus* had already crossed the bridge, and *Indocetus* is too fragmentary). The forelimbs were smaller than the hind, and limited in motion; these front legs were, to quote the authors, “probably used in maneuvering and steering while swimming, as in extant cetaceans [“modern whales” in ordinary language], and they lacked a major propulsive force in water.”

Modern whales move through the water by powerful beats of their horizontal tail flukes – a motion made possible by strong undulation of a flexible rear spinal column. *Ambulocetus* had not yet evolved a tail fluke, but the spine had requisite flexibility. Thewissen et al. write: “*Ambulocetus* swam by means of



dorsoventral [back-to-belly] undulations of its vertebral column, as evidenced by the shape of the lumbar [lower back] vertebra.” These undulations then functioned with (and powered) the paddling of *Ambulocetus*’s large feet – and these feet provided the major propulsive force for swimming. Thewissen et al. conclude their article by writing: “Like modern cetaceans, it swam by moving its spine up and down, but like seals, the main propulsive surface was provided by its feet. As such, *Ambulocetus* represents a critical intermediate between land mammals and marine cetaceans.”

Ambulocetus was no ballet dancer on land, but we have no reason to judge this creature as any less efficient than modern sea lions, which do manage*, however inelegantly. Forelimbs may have extended out to the sides, largely for stability, with forward motion mostly supplied by extension of the back and consequent flexing of the hind limbs – again, rather like sea lions.

Verdict: Greedy paleontologists, used to working with fragments in reconstructing wholes, always want more (some pelvic bones would be nice, for starters), but if you had given me both a blank sheet of paper and a blank check, I could not have drawn you a theoretical intermediate any better or more convincing than *Ambulocetus*. Those dogmatists who can make white black, and black white, by verbal trickery will never be convinced by anything, but *Ambulocetus* is the very animal that creationists proclaimed impossible in theory.

Some discoveries in science are exciting because they revise or reverse previous expectations, others because they affirm with elegance something well suspected, but previously undocumented. Our four-case story, culminating in *Ambulocetus*, falls into this second category. This sequential discovery of picture-perfect intermediacy in the evolution of whales stands as a triumph in the history of paleontology. I cannot imagine a better tale for popular presentation of science, or a more satisfying, and intellectually based, political victory over lingering creationist opposition. As such, I present the story in this series of essays with both delight and relish*.

Still, I must confess that this part of the tale does not intrigue me most as a scientist and evolutionary biologist. I don’t mean to sound jaded or dogmatic, but *Ambulocetus* is so close to our expectation for a transitional form that its discovery could not provide a professional paleontologist with the greatest of all pleasures in science – surprise. As a public illustration and sociopolitical victory, transitional whales may provide the story of the decade, but paleontologists didn’t doubt their existence or feel that a central theory would collapse if their absence continued. We love to place flesh upon our expectations (or put bones under them, to be more precise), but this kind of delight takes second place to the intellectual jolting of surprise.

I therefore find myself far more intrigued by another aspect of *Ambulocetus* that has not received much attention, either in technical or popular reports. For the anatomy of this transitional form illustrates a vital principle in evolutionary theory – one rarely discussed, or even explicitly formulated, but central to any understanding of nature’s fascinating historical complexity.

In our Darwinian traditions, we focus too narrowly on the adaptive nature of organic form, and too little on the quirks and oddities encoded into every animal by history. We are so overwhelmed – as well we should be – by the intricacy of aerodynamic optimality of a bird’s wing, or by the uncannily precise mimicry of a dead leaf by a butterfly. We do not ask often enough why natural selection had homed in upon this particular optimum – and not another among a set of unrealized alternatives. In other words, we are dazzled by good design and therefore stop our inquiry too soon when we have answered, “How does this feature work so well?” – when we should also be asking the historian’s questions: “Why *this* and not *that*?” or “Why *this* over here, and *that* in a related creature living elsewhere?”

To give the cardinal example from seagoing mammals: The two fully marine orders, Sirenia and Cetacea, both swim by beating horizontal tail flukes up and down. Since these two orders arose separately from terrestrial ancestors, the horizontal tail fluke evolved twice independently. Many hydrodynamic studies have documented both the mode and the excellence of such underwater locomotion, but researchers too often stop at an expression of engineering wonder, and do not ask the equally intriguing historian’s question. Fishes swim in a truly opposite manner – also by propulsion from the rear, but with vertical tail flukes that beat from side to side (seals also hold their rear feet vertically and move them from side to side while swimming).

Both systems work equally well; both may be “optimal.” But why should ancestral fishes favor one system, and returning mammals the orthogonal alternative? We do not wish to throw up our hands, and simply say “six of one, half a dozen of the other.” Either way will do, and the manner chosen by evolution

is effectively random in any individual case. “Random” is a deep and profound concept of great positive utility* and value, but some vernacular meanings amount to pure cop-out*, as in this case. It may not matter in the “grand scheme of things” whether optimality be achieved vertically or horizontally, but one or the other solution occurs for a reason in any particular case. The reasons may be unique to an individual lineage, and historically bound – that is, not related to any grand concept of pattern or predictability in the overall history of life – but local reasons do exist and should be ascertainable.

This subject, when discussed at all in evolutionary theory, goes by the name of “multiple adaptive peaks.” We have developed some standard examples, but few with any real documentation; most are hypothetical, with no paleontological backup. (For example, my colleague Dick Lewontin loves to present the following case in our joint introductory course in evolutionary biology: some rhinoceros species have two horns, others one horn. The two alternatives may work equally well for whatever rhinos do with their horns, and the pathway chosen may not matter. Two and one may be comparable solutions, or multiple adaptive peaks. Lewontin then points out that a reason must exist for two or one in any case, but that the explanation probably resides in happenstances of history, rather than in abstract predictions based on universal optimality. So far, so good. History’s quiriness, by populating the earth with a *variety* of *unpredictable* but sensible and well-working anatomical designs, does constitute the main fascination of evolution as a subject. But we can go no further with rhinos, for we have no data for understanding the particular pathway chosen in any individual case.)

I love the story of *Ambulocetus* because this transitional whale has provided hard data on reasons for a chosen pathway in one of our best examples of multiple adaptive peaks. Why did both orders of fully marine mammals choose the solution of horizontal tail flukes? Previous discussions have made the plausible argument that particular legacies of terrestrial mammalian ancestry established an anatomical predisposition. In particular, many mammals (but not other terrestrial vertebrates), especially among agile and fast-moving carnivores, run by flexing the spinal column up and down (conjure up a running tiger in your mind, and picture the undulating back). Mammals that are not particularly comfortable in water – dogs dog-paddling, for example – may keep their backs rigid and move only by flailing their legs. But semi-aquatic mammals that swim for a living – notably the river otter (*Lutra*) and the sea otter (*Enhydra*) – move in water by powerful vertical bending of the spinal column in the rear part of the body. This vertical bending propels the body forward both by itself (and by driving the tail up and down), and by sweeping the hind limbs back and forth in paddling as the body undulates.

Thus, horizontal tail flukes may evolve in fully marine mammals because inherited spinal flexibility for movement up and down (rather than side to side) directed this pathway from a terrestrial past. This scenario has only been a good story up to now, with limited symbolic support from living otters, but no direct evidence at all from the ancestry of whales or sirenians. *Ambulocetus* provides this direct evidence in a most elegant manner – for all pieces of the puzzle lie within the recovered fossil skeleton.

We may infer from a tail vertebra that *Ambulocetus* retained a long and thin mammalian tail, and had not yet evolved the horizontal fluke. We know from the spinal column that this transitional whale retained its mammalian signature of flexibility for up and down movement – and from the large hind legs that undulation of the back must have supplied propulsion to powerful paddling feet, as in modern otters.

Thewissen and colleagues draw the proper evolutionary conclusion from these facts, thus supplying beautiful evidence to nail down a classic case of multiple adaptive peaks with paleontological data: “*Ambulocetus* shows that spinal undulation evolved before the tail fluke ... Cetaceans have gone through a stage that combined hindlimb paddling and spinal undulation, resembling the aquatic locomotion of fast swimming otters.” The horizontal tail fluke, in other words, evolved because whales carried their terrestrial system of spinal motion to the water.

History channels a pathway among numerous theoretical alternatives. In his last play, Shakespeare noted that “what’s past is prologue; what to come, in yours and my discharge.” But present moments build no such wall of separation between a past that molds* us and a future under our control. The hand of the past reaches forward right through us and into an uncertain future that we cannot fully specify.

EPILOGUE

I wrote this essay in a flush of excitement during the week that Thewissen and colleagues published their discovery of the definitive intermediate whale *Ambulocetus*, in January 1994. With my lead time of three months from composition to the first publication of these essays in *Natural History* magazine, “Hooking Leviathan by Its Past” appeared in April 1994 – complete with central theme of a chronologically developing story in four stages.

I think of the old spiritual: “Sometimes I get discouraged, and think my work’s in vain. But then the Holy Spirit revives my soul again.” I’m actually a fairly cheerful soul but we all need replenishment now and then. If “there is a balm in Gilead” (the song’s title) for scientists, that elixir, that infusion of the holy spirit, takes the form of new discoveries. On the very week of my essay’s publication, Phil Gingerich and colleagues (see bibliography) published their description of yet another intermediate fossil whale, a fifth tale for this gorgeous* sequence of evolutionary and paleontological affirmation. (I did feel a bit funny about the superannuation of my essay on the day of its birth, but all exciting science must be obsolescent from inception – and I knew I could write this epilogue for my next book!)

Gingerich and colleagues discovered and named a new fossil Eocene whale from Pakistan, *Rodhocetus kasrani* (*Rodho* for the local name of the region, *kasrani* for the group of Baluchi people living in the area. *Rodhocetus*, estimated at some ten feet in length, lived about 46.5 million years ago. This new whale is thus about 3 million years younger than the “smoking gun” *Ambulocetus* (Case Four and the key story in the main essay), and about the same age as *Indocetus* (stage three in the main essay). No forelimb bones have been found, and the spinal column lacks tail vertebrae, but much of the skull has been recovered with, perhaps more important, a nearly complete vertebral column from the neck all the way back to the beginning of the tail. Most of the pelvis has also been found and, crucial to evidence about intermediacy, a complete femur (but no other elements of the hind limb).

We may summarize the importance of *Rodhocetus*, and its gratifying extension of our story about “hard” evidence for intermediacy in the evolution of whales from terrestrial ancestors, by summarizing evidence in the three great categories of paleontological data: form (anatomy), habitat (environment), and function.

FORM. I was most struck by two features of *Rodhocetus*’s anatomy. First, the excellent preservation of the vertebral column provides good evidence of intermediacy in a mixture of features retained from a terrestrial past with others newly acquired for an aquatic present. The high neural spines (upward projections) of the anterior thoracic vertebrae (just behind the neck) support muscles that help to hold up the head in terrestrial animals (not a functional necessity in the buoyancy* of marine environments, whales evolved from a terrestrial group, the mesonychids, with particularly large heads). Direct articulation of the pelvis with the sacrum (the adjacent region of the vertebral column) also characterizes both *Rodhocetus* and terrestrial mammals (where gravity requires this extra strength), but does not occur in modern whales. Gingerich and colleagues conclude: “These are primitive characteristics of mammals that support their weight on land, and both suggest that *Rodhocetus* or an immediate predecessor was still partly terrestrial.”

But other features of the spinal column indicate adaptation for swimming: short cervical (neck) vertebrae, implying rigidity for the front end of the body (good for cutting through the water as the rear parts of the animal provide propulsion); and, especially, the seamless flexibility of posterior vertebrae (sacral vertebrae are fused together in most large terrestrial mammals, but unfused in both modern whales and *Rodhocetus*), an important configuration for providing forward thrust in swimming. Gingerich and colleagues conclude: “These are derived characteristics of later archaeocetes [ancient whales] and modern whales associated with aquatic locomotion.”

Second, and even more striking for this essay’s case of graded intermediacy, sequentially discovered during the past twenty years, *Rodhocetus* is about 3 million years younger than the “smoking gun” *Ambulocetus* (a marine whale with limbs large enough for movement on land as well), and a good deal older than later whales that had already crossed the bridge to fully marine life (*Basilosaurus*, my Case Two, with well-formed but tiny hind limbs that could not have functioned on land, and probably didn’t do much in water either). In the most exciting discovery of this new Case Five, the femur of *Rodhocetus* is about two thirds as long as the same bone in the older *Ambulocetus* – still functional on land (probably), but already further reduced after 3 million additional years of evolution.

HABITAT. *Rodhocetus* is the oldest whale from fully and fairly deep marine waters. The oldest of all whales, *Pakicetus* of Case One, lived around the mouths of rivers; *Ambulocetus* and *Indocetus* of Cases Three and Four inhabited very shallow marine waters. Interestingly, the more fully marine habitat of *Rodhocetus* correlates with greater reduction of the hind limb, for *Indocetus* is a contemporary of *Rodhocetus*, yet grew a larger femur comparable in length with the earlier *Ambulocetus*. (All three creatures had about the same body size). Thus, admittedly on limited evidence, limbs decreased in size over time and became smaller faster in whales from more fully marine environments. (Perhaps *Rodhocetus* had already ceased making excursions on land, while the earlier *Ambulocetus*, with a larger femur, almost surely inhabited both land and water.) In any case, the contemporaneity of *Rodhocetus* (shorter femur and deeper water) and *Indocetus* (longer femur with life in shallower water) illustrates the diversity that already existed in cetacean evolution. Evolution, as I always say, no doubt to the point of reader's boredom, is a copiously branching bush, not a ladder.

FUNCTION. *Rodhocetus* lacks tail vertebrae, so we can't tell for sure whether or not this whale had yet evolved a tail fluke. But evidence of the beautifully preserved spinal column – particularly the unfused sacral vertebrae, “making,” in the words of Gingerich et al., “the lumbocaudal [back to tail] column seamlessly flexible” – indicates strong dorsoventral (back to belly) flexion at the rear end of the body – the prerequisites for swimming in the style of modern whales (with propulsion provided by a horizontal tail fluke, driven up and down by bending the vertebral column). I was particularly pleased by this result, since I closed my essay with a mini-disquisition on multiple adaptive peaks and the importance of historical legacies, as illustrated by vertical tail fins in fishes vs. horizontal flukes in whales – both solutions working equally well, but with whales limited to this less familiar alternative because they evolved from terrestrial ancestors with backs that flexed dorsoventrally in running. Gingerich and colleagues conclude: “This indicates that the characteristic cetacean mode of swimming by dorsoventral oscillation of a heavily muscled tail evolved within the first three million years or so of the appearance of the archaeocetes.”

A tangential comment in closing: The sociology of science includes much that I do not like, but let us praise what we do well. Science at its best is happily and vigorously international (see essay 20) – and I can only take great pleasure in the following list of authors for research done in an American lab based on fieldwork in Asia, supported by the Geological Survey of Pakistan: Philip D. Gingerich, S. Mahmood Raza, Muhammad Arif, Mohammad Anwar, and Xiaoyuan Zhou. Bravo to you all. I also couldn't help noting the paper's first sentence: “The early evolution of whales is illustrated by partial skulls and skeletons of five archaeocetes of Ypresian (Early Eocene) ... age.” The geological time scale is just as international, for our fossil record is a global scheme for correlating the ages of rocks. So a layer of sediments in Pakistan may be identified as representing a time named for a place that later became the bloodiest European battle site of World War I – the dreaded Ypres (or “Wipers” as British soldiers named and pronounced their hecatomb).

But so much for lugubrious* and sentimental thoughts. Let's just end in the main essay's format for our new case of *Rodhocetus*:

CASE FIVE. Open and shut.

Verdict: sustained in spades*, wine and roses.

- aquatic**, *adj* /ə'kwætɪk/
articulation, *n* – a joint or connection that permits movement
assault, *n* – a violent attack
assert, *v* /ə'sɜ:t/ – to state sth clearly and forcefully as the truth
buoyant, *adj* /'bɔɪənt/ – that can float or continue to float
chagrin, *n* /'ʃægrɪn/ – a feeling of disappointment or annoyance at having failed, made a mistake etc.
comparable, *adj* /'kɒmpərəbl/
comprehensive, *adj* – that includes everything or nearly everything
cop out, *v* – to avoid or ewith draw from doing sth one ought to do, because of being afraid, lazy, etc.
crevasse, *n* /krə'væs/ – a deep open crack, esp. in ice
curtail, *v* /kɜ:'teɪl/ – to make sth shorter or less
expunge, *v* /ɪk'spʌndʒ/ – to remove words or names complete from a list, book, etc.
extant, *adj* – still in existence
feature, *n* – a distinctive characteristic; an aspect
for only – da nur
forfeit, *v* /'fɔ:ft/ – to give up sth
gap, *n* – an empty interval of space or time
glossy, *adj* – 1 smooth and shiny 2 making a show of being smart and expensive but of little real worth or importance
gobble up, *v* – to eat sth fast, and in a greedy and sometimes noisy way
gorgeous, *adj* /'gɔ:dʒəs/ – wonderful
ill-conceived, *adj* – ... für schlechten Stil; ... für unwissenschaftlich
injury: add insult /'ɪnsʌlt/ **to injury** – to make one's relationship with sb even worse by offending them as well as actually harming them
joint, *n* – a structure in the body by which bones are fitted together and are able to move or bend
lopsided, *adj* /'lɒp'saɪdɪd/ – not evenly balanced
lugubrious, *adj* – sad; full of sorrow
manage, *v* – to succeed in doing sth
marine, *adj* /mə'ri:n/
meet, *v* – to play, fight, etc. together as opponents in a contest
mo(u)ld, *v* /məʊld/ – to shape or influence sb/sth
negotiate, *v* /nɪ'gəʊʃieɪt/ – to get over or past an obstacle etc. successfully
nomenclature, *n* /nəʊ'menklətʃə/
punctuated equilibrium – die Theorie, daß Phasen der (fast vollkommenen) **Stabilität** von (kurzen) Zeiten starker Veränderung **unterbrochen** werden
relish, *n* – great enjoyment, pleasure, or satisfaction
render, *v* – to cause sb/sth to be in a specified condition
scale, *n* – the relative size, extent, etc. of sth
scope, *n* – the range or extent of matters being dealt with, studied, etc.
scourge, *n* /skɜ:dʒ/ – a person or thing that causes trouble or suffering
sloth – Faultier
sophisticated, *adj* /sə'fɪstɪkətɪd/ – complicated and refined; elaborate; subtle
in spades – to a high degree, with great force
spoil, *v* – to ruin sth
spotty, *adj* – not even (in quality)
stock, *n* – a person's family or ancestors
taunt, *v* /tɔ:nt/ – to try to make sb angry or upset by saying insulting things to them or by mocking them
unhinged, *adj* /ʌn'hɪndʒd/ – ausgeklinkt
utility, *n* – the quality of being useful
vestigial, *adj* /ve'stɪdʒiəl/ – remaining as a vestige /'vestɪdʒ/ [a small remaining part of what once existed]
yearn, *v* /jɜ:n/ – to desire sth strongly and with great emotion

Phonetische Symbole

Consonants

p	pen	/pen/	s	so	/səʊ/
b	bad	/bed/	z	zoo	/zu:/
t	tea	/ti:/	ʃ	shoe	/ʃu:/
d	did	/dɪd/	ʒ	vision	/vɪʒn/
k	cat	/kæt/	h	hat	/hæt/
g	got	/gɒt/	m	man	/mæn/
tʃ	chain	/tʃeɪn/	n	no	/nəʊ/
dʒ	jam	/dʒæm/	ŋ	sing	/sɪŋ/
f	fall	/fɔ:l/	l	leg	/leg/
v	van	/væn/	r	red	/red/
θ	thin	/θɪn/	j	yes	/jes/
ð	this	/ðɪs/	w	wet	/wet/

Vowels and diphthongs

ɪ:	see	/si:/	ʌ	cup	/kʌp/
i	happy	/'hæpi/	ɜ	bird	/'bɜ:d/
ɪ	sit	/sɪt/	ə	about	/'ə'baʊt/
e	ten	/ten/	eɪ	say	/seɪ/
æ	cat	/kæt/	eʊ	go	/gəʊ/
ɑ:	father	/'fɑ:ðə/	aɪ	five	/'faɪv/
ɒ	got	/gɒt/	aʊ	now	/naʊ/
ɔ:	saw	/sɔ:/	ɔɪ	boy	/'bɔɪ/
ʊ	put	/pʊt/	ɪə	near	/'niə/
u	actual	/'æktʃuəl/	eə	hair	/'heə/
u:	too	/tu:/	ʊə	pure	/'pjʊə/