1	Early life differences in behavioral predispositions in two Alligatoridae species
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24 Abstract

25

26 Behavioral predispositions are innate tendencies of animals to behave in a given way without the input of learning. They increase survival chances and, due to environmental and ecological 27 28 challenges, may vary substantially even between closely related taxa. These differences are likely 29 to be especially pronounced in long-lived species like crocodilians. This order is particularly 30 relevant for comparative cognition due to its phylogenetic proximity to birds. Here we compared 31 early life behavioral predispositions in two Alligatoridae species. We exposed American alligator 32 and spectacled caiman hatchlings to three different novel situations: a novel object, a novel 33 environment that was open and a novel environment with a shelter. This was then repeated a week 34 later. During exposure to the novel environments, alligators moved around more and explored a 35 larger range of the arena than the caimans. When exposed to the novel object, the alligators reduced 36 the mean distance to the novel object in the second phase while the caimans further increased it, 37 indicating diametrically opposite ontogenetic development in behavioral predispositions. 38 Although all crocodilian hatchlings face comparable challenges, e.g. high predation pressure, the 39 effectiveness of parental protection might explain the observed pattern. American alligators are 40 apex predators capable of protecting their offspring against most dangers, whereas adult spectacled 41 caimans are frequently predated themselves. Their distancing behavior might be related to 42 increased predator avoidance and also explain the success of invasive spectacled caimans in the natural habitats of other crocodilians. 43

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45 Key words: Behavioral predisposition, *Caiman crocodilus*, *Alligator mississippiensis*,
46 crocodilian, exploration, neophobia

47 Introduction

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49 The comparative approach is one of the main methods used to study the evolution of cognition 50 (Tinbergen 1963). Cognitive capacities can be traced through time and their origins better 51 understood by examining similarities and differences between different species in various 52 positions in the tree of life. However, closely related species may also differ greatly in their 53 cognition. Factors that could be involved in producing such differences are the behavioral 54 predispositions of the species. A species that is more likely to explore novel stimuli in its 55 surroundings may learn more rapidly than one that is less likely to do so. Behavioral 56 predispositions may vary due to ecological differences rather than phylogenetic distance, resulting 57 in quite different cognitive abilities being observed in closely related species. It is therefore 58 important to consider such factors in order to draw lasting conclusions from comparisons of 59 cognition across different taxa (MacLean et al. 2012).

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61 Behavioral predispositions, e.g. an innate tendency to freeze when facing a potentially dangerous 62 situation, may markedly increase an organism's chances of survival (Gray 1987; Vilhunen and 63 Hirvonen 2003). This could be particularly relevant very early in life, as behavioral predispositions 64 may decrease the risk of predation before an animal has had time to learn about the threats in its 65 environment (Tierney 1986; Hawkins et al. 2004). Such innate behavioral traits may subsequently 66 be shaped by life experience, the extent to which this occurs depending on the animal's behavioral 67 plasticity (Gumbert 2000; Kelley and Magurran 2003). For instance, neonate cottonmouths 68 (Agkistrodon piscivorus) do not habituate to a non-harmful predatory stimulus while adults, 69 exposed to the same stimulus, show a reduction in their tendency to strike over time (Glaudas et 70 al. 2006). Behavioral dispositions can also differ between animals of the same taxonomic order 71 (Fraser and Gilliam 1987), populations of the same species (Wilson et al. 1993; Bell and Stamps 72 2004) and even individuals from the same clutch when exposed to different conditions in ovo 73 (Rokka et al. 2014; Siviter et al. 2017). These differences are likely to reflect survival strategies 74 dictated by specific challenges in the environments they inhabit (Greenberg and Mettke-Hofmann 75 2001). Further, behavioral predispositions can also change drastically across an animal's life span 76 (Kendal et al. 2005; Miller et al. 2015). It is therefore likely that such differences would be most 77 pronounced in long-lived species that exhibit significant ontogenetic changes in their feeding and 78 social ecology. A great example are crocodilians, where some species increase their body size by 79 three to five orders of magnitude (Radloff et al. 2012), preferential prey species can shift from 80 insects to large ungulates throughout life (Cott 1961), and juveniles seek safety in numbers while 81 adults of several species are highly territorial (Grigg and Kirshner 2015).

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Crocodilians are the closest living relatives of birds and both groups share a common ancestor with 83 84 all extinct dinosaurs (Hugall et al. 2007). Their brain structure is highly similar to birds but 85 physiologically they resemble other non-avian reptiles and mammals (Grigg and Kirshner 2015). 86 This makes them an interesting order for understanding the evolutionary origin of avian cognition 87 in particular (Vergne et al. 2009; Reber et al. 2017) and for the comparative approach in general. 88 Crocodilians are widespread across the globe but have relatively few surviving species (currently 89 28 are recognized; Stevenson 2019; Murray et al. 2019). They share a highly conserved body 90 plan, a semi-aquatic life history, and a seemingly identical call repertoire (Webb et al. 1987; Britton 91 2001; Reber 2018). It is therefore tempting to assume that crocodilian species do not differ greatly 92 in behavior. However, they face different challenges in their respective environments. This can

93 depend on the prey they hunt, the predators they are exposed to, and the seasonal changes they 94 have to cope with, e.g. the avoidance of drought in Nile crocodiles (Crocodylus niloticus; Kofron 95 1993); or the risks of hibernation in Chinese alligators (Alligator sinensis; Thorbjarnarson and 96 Wang 2010). Thus, crocodilians are likely to differ in their overall behavioral predispositions. 97 Observations in the wild and in captivity have revealed that different species behave differently 98 towards conspecifics and other entities in their environment (Garrick and Lang 1977; Trutnau and 99 Sommerland 2006). There are, however, only few experimental comparisons. For instance, in a 100 serial reversal learning study, American crocodiles (Crocodylus acutus) produced significantly 101 fewer errors than American alligators (Alligator mississippiensis) for each reversal (Gossette and 102 Hombach 1969). But the latter species showed consistently shorter latencies to make a choice in a 103 trial. The authors suggested that the alligators were more motivated to participate than the 104 crocodiles, which might have led to more errors. This difference is particularly interesting, because 105 the two species overlap in their geographical range and have no natural predators as adults; they 106 do, however, occupy different ecological niches. American crocodiles are commonly found in 107 coastal areas and frequently hunt in marine habitats, whereas American alligators predominantly 108 inhabit inland habitats and rarely swim in saltwater (Stevenson 2019). It is therefore conceivable 109 that their differing performances in cognitive tasks could be explained by the differences in 110 behavioral ecology between the two species.

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All crocodilians are highly susceptible to predation in the first months of life by a large variety of other animals, including large fish, snakes, monitor lizards, raptors, wading birds, small mammalian carnivores, and also conspecifics (Somaweera et al. 2013). However, members of certain species (e.g. saltwater crocodile *Corocodylus porosus*, American alligator *Alligator*

116 *mississippiensis*) become apex predators in their respective habitats when they reach maturity 117 (Grigg and Kirshner 2015), while others (e.g. Yacare caiman *Caiman yacare*) remain susceptible 118 to predation into adulthood (Azevedo and Verdade 2012). Because of the similar risks of predation 119 in early life, one might predict that hatchlings of any species would show similar responses to 120 novel stimuli, such as little exploration behavior in a novel environment and overall lower levels 121 of activity. After reaching a less vulnerable body size, crocodilians have a far smaller range of 122 potential predators (Somaweera et al. 2013) and could be expected to display higher levels of 123 activity and increased exploration behavior. Although this has, to our knowledge, not yet been 124 studied in crocodilians, similar dispositions have been described in their closest living relatives, 125 birds: species facing higher predation pressure are less explorative and more neophobic (Heinrich 126 1995; Greenberg and Mettke-Hofmann 2001), and growing evidence suggests that these traits 127 might vary more between age-classes than between species (O'Hara et al. 2017).

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129 Some crocodilian species are critically endangered and reintroduction is either recommended or 130 ongoing (Wang et al. 2011; Kanwatanakid-Savini et al. 2012). To increase the potential success of 131 such conservation efforts, it is vital to determine whether crocodilians adapt their behavior in a 132 developmentally dependent manner. For instance, if a species shows high levels of exploratory 133 behaviors early in life despite still being vulnerable to a large spectrum of predators, it would be 134 advisable to raise the juveniles to a larger body size before their release, whereas that might not be 135 necessary for members of a species with stronger predispositions for anti-predator behaviors. 136 Conversely, some crocodilians have become successful invasive species in other crocodilians' 137 natural habitat, negatively affecting local populations (Ellis 1980). In such cases, population 138 management efforts could benefit from a better understanding of early life behavioral

predispositions and whether hatchlings of an invasive species might have an advantage due to
stronger intrinsic predator avoidance or superior competitive abilities (Hudina et al. 2015).

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142 We investigated behavioral predispositions of American alligator (Alligator mississippiensis) and 143 spectacled caiman (*Caiman crocodilus*) hatchlings using well-established experimental methods 144 (Réale et al. 2007). We aimed to determine whether i) individuals from these two species display 145 consistent behavioral traits at a very young age and ii) whether there were differences between the 146 two species. All subjects in the present study were the same age and maintained under the same 147 conditions prior to and during the experiments. In an initial phase (Phase 1) all animals were 148 exposed to three conditions: Novel Object, Novel Environment: Open Field, and Novel 149 Environment: Shelter. The proximity to a novel object in a familiar environment, but in the absence 150 of an additional positive stimulus (e.g. food), can be used as a measure for exploration behavior 151 (Greggor et al. 2015). The range of movement in a novel environment serves as an assessment of 152 activity. Shelter usage served as a control, i.e. to determine whether high levels of movement in 153 the Novel Environment: Open Field trials were actually indicators of activity levels in unfamiliar 154 surroundings, and thereby possible exploration behavior, or whether animals primarily wanted to 155 escape open space. All conditions were then repeated a week later (Phase 2) to investigate whether 156 individual hatchlings showed behavioral consistency over time.

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While adult American alligators have no natural enemies, adult spectacled caimans have a number of predators, such as jaguar, cougar, and green anaconda (Calle et al. 1994; Scognamillo et al. 2003). Should juveniles of the two species already exhibit behavioral predispositions similar to those of adults, we could expect them to show differential behaviors in our conditions; e.g.

162 alligators might be more explorative. In addition, spectacled caimans are a successful invasive 163 species in many areas, including the Everglades, a natural habitat of the much larger American 164 alligator (King and Krakauer 1966). In regions where these two species cohabitate, spectacled 165 caiman juveniles are hence confronted with an additional predator against which a guarding parent 166 cannot provide effective protection. Predispositions for increased anti-predator behaviors, e.g. 167 reduced activity in novel environments, could consequently increase the caimans' survival 168 chances. Therefore, we could expect to observe differences in behavioral predispositions in young 169 members of these two Alligatoridae species.

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171 Methods

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173 Subjects

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175 The experimental subjects were 11 American alligator and 11 spectacled caiman hatchlings. The 176 animals were too young to identify their sex. As crocodilians have temperature-dependent sex 177 determination (Grigg and Kirshner 2015), the presumed sex of the subjects is based on their incubation temperature. The alligators hatched on the 8th September (5 individuals, 70 days of 178 incubation, average incubation temperature = 32.42 °C, presumed males) and 16th September (6 179 180 individuals, 79 days of incubation, average incubation temperature = 29.8 °C, presumed females). 181 The caimans all hatched on the 17th September (11 individuals, 75 days of incubation, average 182 incubation temperature = 31.8 °C, presumed males (Ferguson and Joanen 1982)). All subjects were 183 left in the incubator for two days to fully absorb the remaining yolk. Each incubation group was 184 then transferred into a transparent plastic enclosure (48 x 39 x 31 cm), filled with water which was

changed daily in order to let the naval openings seal under hygienic conditions. Afterwards, the hatchlings were kept in glass vivaria with 5-cm high depth water, a heat-lamp, and a brick as a dry basking spot. All subjects could be individually recognized by their distinctive hide markings. The animals were well habituated to human handling. At the start of the experiment the alligators were between 26 and 32 days old, and the caimans between 27 and 28 days old.

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191 Experimental setup

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193 Two plastic arenas (70 x 55 x 37 cm) with lids were used to run the experiment. Five optically 194 different environments were created; two from the arena's original colors (black, blue) and three 195 in which the walls of the boxes were covered with colored wrapping paper (cyan with white dots, 196 rose with flower pattern, white with silver stars). The floor of each arena was fully lined with 197 corrugated cardboard to reduce light reflection. Each arena was covered with a lid upon which an 198 LED bulb was attached (light bulb: Philips Master LEDbulb 7W, 470 lumen). The animals' 199 behavior was recorded using a GoPro (Hero4 silver edition, https://gopro.com, 60 frames/sec, 200 image size: 1920x1080) through a small hole in the lid of the arena.

201

202 Experimental procedure

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204 Novel Object

Two days before the start of the experiment, subjects were habituated to the Novel Object arena (one of the two boxes without wrapping paper on the walls, environment counterbalanced across animals). On the first day, they were allowed to explore the box with other animals (2-4) 208 conspecifics in the arena simultaneously) for 20 minutes. Crickets and mealworms were offered 209 in the arena (8 alligators and 8 caimans showed hunting behavior). On the second day, each subject 210 spent 20 minutes alone in the arena. Again, food was offered. If the subject did not display hunting 211 behavior (chasing after or jumping towards food) in the first 20 minutes, they were given a break 212 and later on placed into the arena once more for 20 minutes (7 alligators, 10 caimans) to ensure 213 they were habituated to the environment.

214

During a Novel Object trial a small object was put in the middle of the arena, either a blue toy car or a yellow spinning top (see Table S1, Online Resource 1 for details). The specific object presented was counterbalanced across subjects and phases (subjects saw a different object in each phase). At the onset of a trial the hatchling was placed in a starting area close to the center of one of the longer sidewalls (Figure 1a).

220

221 Novel Environment: Open Field

This was identical to the previous condition but with some key changes. Instead of novel objects, different novel environments were used. The environments were created by changing the walls of the arena which could either be plain or covered with wrapping paper. This ensured an unfamiliar environment for the subject. At the start of each trial a hatchling was placed in a starting area close to the center of one of the longer sidewalls (Figure 1b).

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228 Novel Environment: Shelter

This was identical to the Novel Environment: Open Field Condition except that animals had access to a shelter. The shelter was a white tile laid onto two small bricks and was positioned at the center of the arena. At the onset of the trial a hatchling was placed under the shelter (Figure 1c).

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233 Testing schedule across two phases

234 All trials took place either in the morning or the evening hours; this was consistent within a phase 235 but counterbalanced across phases for each individual. Each phase contained 3 trials (one for each 236 condition) with one 10-minute trial being run per day. On each day, an animal received a trial of a 237 different condition, with order of conditions counterbalanced across individuals. The second phase 238 commenced a week after the first and the order of conditions was the same for a given individual 239 in both phases. The different novel objects and environments were counterbalanced across 240 individuals for the two phases. For example, spectacled caiman #3 was always tested in the 241 morning hours in Phase 1. On the first day it participated in a 'Novel Environment: Open Field' 242 trial, on the second in a 'Novel Environment: Shelter' trial, and in a 'Novel Object' trial on the 243 third. After four days without a trial, Phase 2 began. Now caiman #3 was always tested in the 244 evening hours. It again participated in one trial per day with the same order of the conditions as in 245 the first phase. However, the walls of the arena in the 'Novel Environment: Open Field' and 'Novel 246 Environment: Shelter' trials looked different than in the previous phase; and the novel object in 247 the 'Novel Object' trial was changed as well (see Table S1, Online Resource 1 for details).

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Before each trial, the floor of the arena was wiped with a damp cloth, the subject was removed from its home vivarium, dried off using paper towels, and two small round adhesive stickers (1 cm diameter) were placed on its head (red or blue) and tail-base (green) to facilitate automated video analysis. All trials were recorded and video recording was started immediately prior to the animal
being introduced into the arena. After the 10-minute trial time, recording was stopped, the subject
was removed from the arena, the stickers carefully removed and then it was returned to its home
vivarium.

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Fig. 1 The three conditions (not to scale). An American alligator during a Novel Object trial (a).

259 A spectacled caiman in a Novel Environment: Open Field trial (b). A spectacled caiman in a Novel

260 Environment: Shelter trial (c). For each condition the release location is indicated

261

262 Automated video analysis

264 Each frame (60 f/sec) was first exported as an image (jpg). A custom color tracking software 265 ("AMA", Alligatoridae Motion Analyzer, available online: https://github.com/jinook0707/AMA), 266 used the color stickers on the head and tail-base to identify the positions of these body-parts and 267 recorded their coordinates in number of pixels (x-, y-axis of the entire video frame). If the animal 268 was fully or partially in the shelter, one or both color tags could not be detected. A pixel edge 269 length equaled roughly 1.278 mm for the chosen resolution (image size: 960x540, reduced from 270 original video to increase processing speed) and the distance from the arena floor was 37 cm. Both 271 were kept constant across trials. Additionally, the distance (again in pixels) between the head tag 272 and the center of the arena (location of the object in the Novel Object condition) was noted.

273 In order to obtain movement data, the software compared each individual frame (f_i) with a frame 274 (f_{i-30}) from half a second ago (30 frames). Only if the virtual "head line" (HL) connecting the head 275 tag's (ht_i) position in the current f_i and the head tag's (ht_{i-30}) position from the previous f_{i-30} had 276 changed in length by a minimum of 5 pixels (~6.39 mm), then the software recorded the distance 277 of this new position from the previously recorded position. Because of minute movements below 278 the threshold and small changes in the distance between the camera lens and the subject, this 279 recorded distance was usually larger than 5 pixels. The software also automatically recorded these 280 movement behaviors as 'walking distance' or as 'head movements without walking'. To determine which of the two behaviors had occurred, the program looked at the virtual "tail-base line" (TbL) 281 282 that, equivalent to HL, connects the position of the tail-base tags ($tbt_i \& tbt_{i-30}$) of the two frames 283 $(f_i \& f_{i-30})$. The angles of HL (AHL) and TbL (ATbL) relative to the whole frame were calculated 284 (e.g. straight to the right = 0° , straight up = 90° , straight down = -90°). If the absolute difference between the two angles (AHL-ATbL) was smaller than 45° (a), the pixel difference was counted 285 286 as "walking distance"; if the difference exceeded the 45°-threshold (b), the pixel margin was

recorded as "head movements without walking" (see Fig. S2, Online Resource 1). These two measures were mutually exclusive, because crocodilians have to keep their head stable during locomotion on land; a head turn can only be performed from a stable position.

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291 Visual coding check

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293 To check the accuracy of the data, a researcher (JJ) screened the automated procedure using a 294 customizable program. All frames were displayed and automatically analyzed one after the other. 295 If tracking was correct then two digital tags (squares, edge length = 10 pixels ~ 1.28 cm) covered 296 the two color stickers. On rare occasions, the coding software could not accurately localize the 297 colored stickers, e.g. due to uneven light conditions. If the digital tag was not covering the color 298 sticker, the researcher could stop the analysis, rewind to specific frames and manually place the 299 tag onto the sticker. Also, if the subject moved the novel object, the researcher could adjust the 300 software to treat the new position of the object as the center of the arena (see supplementary video 301 "Video 1" in Online Resource 2; also accessible at https://github.com/jinook0707/AMA: 302 "ama sample video").

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304 Statistics

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Three condition-specific variables were created. For Novel Object, the mean distance (in pixels) of the head tag from the object across all frames per trial was recorded ('mean dist. to object'). In the case of Novel Environment: Open Field, the difference between the minimal and the maximal distance of the head tag from the center of the arena across all frames was calculated per trial; this 310 'roaming range' variable served as an indication for roaming behavior. For Novel Environment: 311 Shelter, the number of frames the animals spent partially (only one tag detected) or fully (no tag 312 detected) in the shelter per trial were summed up and then transformed into seconds to measure 313 'shelter usage'. In order to warrant the planned comparisons between the two species and phases 314 (as outlined in the introduction) and to assess the influence of potentially confounding factors (e.g. 315 testing time, incubation temperature, etc.), the variables "walking distance" and "head movements 316 without walking" (sums of distances in pixels per trial) were investigated in a Generalized Linear 317 Mixed Model (GLMM), as they could be measured in each of the three conditions (number of 318 pixels served as the unit). They were united into a single variable, a 'movement component', by 319 conducting a Principal Component Analysis (PCA). The first component explained 95% of the 320 variance (eigenvalue = 1.91, rotation = varimax, see Table 1 for factor loadings) and was extracted 321 after conducting a factor analysis and a Bartlett's test on the correlation matrix (df=1, χ 2= 226.3, 322 P < 0.001). This movement component was used as the response variable in the GLMM together 323 with these coefficients: 'species' (alligator/caiman), 'phase' (1 or 2), 'condition' (Novel Object / 324 Novel Environment: Open Field / Novel Environment: Shelter), 'testing time' (morning/evening), 325 'incubation temperature' (male/female), and the three two-way interactions between 'species', 326 'phase', and 'condition'. Because the movement components contained negative values, the data 327 were transformed to be positive by adding the absolute value of the most negative data point 328 followed by taking the square root. The GLMM was run using a Gaussian distribution (with a log 329 link function) and contained subject identity as a random effect. The Akaike Information Criteria 330 (AIC) was used to reduce the full model to find the best fit. Degrees of freedom, the t-distribution, 331 and subsequently the two-tailed p-values were obtained by employing the Kenward-Roger 332 approximation (Halekoh and Højsgaard 2014). During post hoc analysis, pairwise comparisons

333 were conducted using exact Wilcoxon signed-rank tests within species and exact Wilcoxon rank-334 sum tests (Mann-Whitney-U tests) between species (Mundry and Fischer 1998). If the animals 335 showed differential changes in behavior between the two phases, delta scores were calculated by 336 subtracting the values from the second phase from those of the first phase for each individual and 337 the scores were used to compare the two species. The *P*-values of all pairwise comparisons were 338 checked with sequential Bonferroni-correction (Holm 1979), if the same data was used for more 339 than one comparison. In order to evaluate individuals' behavioral consistency over time, the 340 measurements for the two phases per subject were compared using interclass correlation 341 coefficients (ICC). Statistical analysis was performed in R (version 3.0.2 GUI 1.62 for Mac, R 342 packages: lme4, lmerTest, pbkrtest, coin, irr).

343

Table 1 Component matrix of the principal component analysis for the movement component

	PC1
Total walking distance	0.98
Total head movements	0.98
Eigenvalue	1.91
% of variance explained	95

345 Standardized loadings (pattern matrix) based upon correlation matrix

346

347 **Results**

348

349 Movement component

351 The final GLMM with 'movement component' as response variable included main effects 352 'species', 'phase', and 'testing time', as well as the interaction between 'species' and 'phase'. 353 'Incubation temperature', and hence presumed sex, did not explain any variance and was not part 354 of the model with the best fit. With the exception of 'testing time', all contributing coefficients 355 significantly affected movement behavior (Table 2). Consequently, in the post hoc analyses, the 356 two species and the two phases were compared for each condition-specific measurement. Overall, 357 animals of either species moved less in the second phase of the same condition (Fig. 2). These 358 differences were significant for both species in Novel Environment: Open Field and Novel 359 Environment: Shelter ('movement component', exact Wilcoxon signed-rank test, Nind/species=11, Z \geq 2.092, P \leq 0.037), but not for the Novel Object trials (N_{ind/species}=11, Z \leq 1.778, P \geq 0.083). The 360 361 alligators moved more in each phase of every condition than the caimans ('movement component', 362 exact Wilcoxon rank sum test, $N_{ind/species}=11, Z \ge -3.090, P \le 0.002$, Table 3).

363

364 **Table 2** Values of the final generalized linear mixed model

response variable	coefficients	estimate	SE	t	Р	
movement component	(intercept)	1.616	0.036	44.856	<0.001 ***	*
	species (caiman)	-0.531	0.046	-11.467	<0.001 ***	*
	phase (2)	-0.188	0.03	-6.239	<0.001 ***	*
	testing time (morning)	0.043	0.03	1.44	0.161	
	species (caiman)*phase (2)	0.114	0.043	2.68	0.013 *	

365 SE=standard error, *** $P \le 0.001$, * $P \le 0.05$

366

368 **Table 3** Testing matrix for the movement component across species (Alligator/Caiman) and

369 phase (1/2)

	Novel Object		N Env: Open Field		N Env: Shelter	
	Alligator 2	Caiman 1	Alligator 2	Caiman 1	Alligator 2	Caiman 1
Alligator 1	Z=1.778	Z=-4.682	Z=2.845	Z=-4.682	Z=2.490	Z=-4.145
	<i>P</i> =0.083	<i>P</i> <0.001	P=0.002	<i>P</i> <0.001	<i>P=</i> 0.010	<i>P</i> < 0.001
Caiman 2	Z=-3.090	Z=0.889	Z=-3.879	Z=2.092	Z=-3.287	Z=2.893
	<i>P</i> = 0.002	<i>P</i> =0.413	<i>P</i> < 0.001	<i>P</i> = 0.037	<i>P</i> = 0.001	<i>P</i> = 0.002

370 N Env=Novel Environment, N=11; number behind species name=Phase (1 or 2); in bold font are

371 $P \le 0.05$





Fig. 2 The amount of overall movement by the two species (American "alligator", spectacled "caiman") in the three treatments (Novel Object, Novel Environment: Open Field, Novel Environment: Shelter) of the two phases (1-2). Data are represented by the principal component "movement component" comprised of "walking distance" and "head movements without walking" measured in pixels per frame. Box plots represent the 25th and 75th percentiles, the line in the box indicates the median, whiskers represent the non-outlier range and dots are outliers (> Q_3 +1.5**IQR*

379 or $<Q_1-1.5*IQR$). N Env=Novel Environment, $***P \le 0.001$, $**P \le 0.01$, $*P \le 0.05$, ns = not 380 significant

381

382 Condition-specific variables

383

384 Novel Object

385 The two species did not differ in mean distance from the object in the first phase ('mean dist. to 386 object', exact Wilcoxon rank sum test, N_{ind/species}=11, Z=-0.953, P=0.341), but the alligators 387 significantly reduced that distance in the second phase (exact Wilcoxon signed-rank test, $N_{ind} = 11$, 388 Z=2.491, P=0.008). The caimans showed a non-significant trend to increase the mean distance in 389 the second phase (exact Wilcoxon signed-rank test, $N_{ind} = 11$, Z=-1.868, P=0.064) and the distance 390 clearly differed between the two species in the second phase (exact Wilcoxon rank sum test, Nind/species=11, Z=-2.726, P=0.006, Fig. 3a). A closer examination using delta scores (distance in 391 392 phase 1 minus distance in phase 2) indicated a diametrical ontogenetic development in exploration 393 behavior in the two species (see Fig. S1, Online Resource 1): Nine alligators were on average 394 closer to the novel object in the second phase and nine caimans increased the mean distance to the 395 novel object in the second phase. Overall, the delta scores significantly differed between the two 396 species (Novel Object-delta scores, exact Wilcoxon rank sum test, Nind/species=11, Z=-2.759, 397 *P*=0.006).

398

399 Novel Environment: Open Field

400 The alligator hatchlings explored a wider area of the arena than the caimans in both phases 401 ('roaming range', exact Wilcoxon rank sum test, $N_{ind/species}=11$, Z \geq -3.548, P<0.001) but neither 402 species differed between phases (exact Wilcoxon signed-rank test, $N_{ind} = 11$, Z ≤ 1.689 , P ≥ 0.102 , 403 Fig. 3b).

404

405 Novel Environment: Shelter

406 Neither species really used the shelter in either phase (Fig. 3c). No differences were observed for

- 407 'shelter usage' between species (exact Wilcoxon rank sum test, $N_{ind/species}=11, Z \le 1.228, P \ge 0.219$)
- 408 or phases (exact Wilcoxon signed-rank test, $N_{ind}=11$, Z \leq -1.206, $P\geq$ 0.258, see Table 4).
- 409
- 410 **Table 4** Testing matrix for the three condition-specific variables across species
- 411 (Alligator/Caiman) and phase (1/2)

	mean dist. to object [pixels]		roaming range [pixels]		shelter usage [sec]	
	Alligator 2	Caiman 1	Alligator 2	Caiman 1	Alligator 2	Caiman 1
Alligator 1	Z=2.491	Z=-0.953	Z=1.334	Z=-3678	Z=-1.206	Z=-0.572
	P=0.008	<i>P</i> =0.341	P=0.206	<i>P</i> < 0.001	P=0.258	<i>P</i> =0.567
Caiman 2	Z=-2.726	Z=-1.868	Z=-3.548	Z=1.689	Z=-1.228	Z=0.361
	<i>P=</i> 0.006	<i>P</i> =0.064	<i>P</i> < 0.001	<i>P</i> =0.102	<i>P</i> =0.219	<i>P</i> =0.766

412 N=11; in bold font are $P \leq 0.05$

413

414 Checking for individual behavioral consistency

416 Neither species was consistent in its behaviors between the two phases for any of the 417 measurements, with the exception of the caimans showing mediocre consistency in 'roaming 418 range' (ICC=0.489, F=3.39, P=0.035). The alligators showed no consistency in 'roaming range' 419 for *Novel Environment: Open Field* (ICC=0.136, F=1.37, P=0.307). Both, alligators and caimans,

420 were not consistent across the two experimental phases with regards to the two other condition-421 specific variables, the 'mean dist. to object' (alligators: ICC=0.257., F=2.08, P=0.14 / caimans: ICC=0.212, F=1.51, P=0.259) or 'shelter usage' (alligators: ICC=0.171, F=1.49, P=0.261 / 422 423 caimans: ICC=-0.199, F=0.806, P=0.63). Neither species showed consistency for the 'movement 424 component'; this held true for the overall comparison between the two phases (alligators: ICC=0.2, 425 F=2.01, P=0.102 / caimans: ICC=0.152, F=1.42, P=0.162) and the comparisons between the 426 phases for each of the three conditions, Novel Object (alligators: ICC=-0.304, F=0.333, P=0.89 / 427 caimans: ICC=-0.216, F=1.5, P=0.266), Novel Environment: Open Field (alligators: ICC=0.412, 428 F=7.39, P=0.121 / caimans: ICC=-0.18, F=1.6, P=0.227), and Novel Environment: Shelter 429 (alligators: ICC=0.432, F=4.26, P=0.075 / caimans: ICC=0.13, F=1.96, P=0.211).



Fig. 3 Condition specific variables for the two species (American "alligator", spectacled "caiman")
in the three conditions (a-c) of the two phases. Novel Object (a): the mean distance of the headtag from the novel object. Novel Environment: Open Field (b): data represent the roaming range
(maximal - minimal distance of head-tag from the arena center). Novel Environment: Shelter (c):
time spent partially (one tag detected) or fully (no tags detected) in the shelter. Box plots represent
the 25th and 75th percentiles, the line in the box indicates the median, whiskers represent the non-

438 outlier range and dots are outliers (> Q_3 +1.5*IQR or < Q_1 -1.5*IQR). *** $P \le 0.001$, ** $P \le 0.01$, ns 439 = not significant

440

441 **Discussion**

442

443 Our findings reveal consistent differences in behavioral predispositions of hatchling American 444 alligators and spectacled caimans across all experimental contexts. The alligators displayed more 445 movement behavior; they covered wider ranges of the novel environments and went closer to novel 446 objects. In contrast, the caimans moved less, covered a smaller proportion of the arena, and stayed 447 further away from the novel objects. The negligible use of the shelter shown by both species 448 indicates that the measured activity across conditions was not motivated by a need to leave the 449 open space; rather suggesting that the alligators indeed showed more exploration behavior than the 450 caimans. In the Novel Object trials, the alligators consistently decreased the mean distance to the 451 novel object in the second phase while the caimans even further increased it, indicating that the 452 alligators became more explorative while the caimans further reduced their activity level. Previous 453 to the experiment, all subjects were exposed to highly comparable surroundings and stimuli in 454 their husbandry, and thus the observed behavioral predispositions are unlikely to be the result of 455 differences in experience. It is in principle possible that American alligator and spectacled caiman 456 juveniles to some extent differ in their husbandry needs, and that the species activity levels were 457 affected by the chosen procedures. However, both species come from comparable habitats and 458 spectacled caimans are invasive in the natural habitat of American alligators. Hence, they were 459 kept under the same conditions after hatching. Interestingly, we found no individual behavioral 460 consistency over the course of the two phases, which further strengthens the hypothesis that the

461 predispositions of American alligators and spectacled caimans are indeed developed during early
462 ontogeny and can be quite different in even closely related crocodilian species.

463

464 Crocodilians are an interesting taxonomic order for comparative cognition due to their 465 phylogenetic proximity to birds. The relatively few studies to date taking advantage of this 466 potential usually focused on hatchlings and juveniles (Northcutt and Heath 1971; Sneddon et al. 467 2000; Somaweera et al. 2011; Vergne et al. 2012) due to the lack of availability of adult subjects 468 and the risks associated with handling them. It is therefore important to know whether general 469 conclusions, applicable to the entire order Crocodylia, can be drawn from such studies. We found 470 consistent early-life behavioral differences between two Alligatoridae species. These findings have 471 important implications for comparative cognition. First, even closely related crocodilian species 472 can have substantially varied behavioral predispositions during early ontogeny, and different 473 species might therefore not be interchangeable in large scale comparisons. Second, early-life 474 behavioral predispositions appear to be in line with species differences in adult crocodilians, e.g. 475 higher levels of activity in larger species (Grigg and Kirshner 2015), indicating that phylogenetic 476 comparisons can rely on studies focusing on juveniles. The present results add to earlier work, 477 which has shown that crocodilians exhibit species-typical visual signals during social interactions 478 already at the hatchling stage, e.g. raising the head with the snout tip upwards as a sign of 479 submission in several crocodile species (Brien et al. 2013).

480

481 As American alligators and spectacled caimans have similar habitats, these early life differences 482 are surprising from an ecological perspective. Both species have a similar range of predators as 483 hatchlings (Somaweera et al. 2013), to which individuals with increased levels of activity could

484 be expected to be more susceptible (Greenberg and Mettke-Hofmann 2001). On the other hand, 485 both species are food generalists (Dodson 1975; Magnusson et al. 1987) and would profit from 486 learning early on about different food sources by means of increased exploration behavior. 487 Differences in innate exploratory tendencies could indicate that two species originate from habitats 488 of different complexity (Mettke-Hofmann et al. 2002). However, the two subject species are native 489 to highly comparable geographical regions (Grigg and Kirshner 2015). Thus, the differences 490 observed are likely due to other factors. In crocodilians, hatchlings are guarded by their mothers 491 (Hunt and Watanabe 1982; Ferguson 1985; Vergne et al. 2009), and in some species by both 492 parents (Lang 1986; Brazaitis and Watanabe 2011), for the first months and up to three years after 493 hatching (Trutnau and Sommerland 2006; Thorbjarnarson and Wang 2010; Campos et al. 2012). 494 While an alligator mother can protect her offspring against virtually any natural danger, the 495 protection of a caiman mother might be far from absolute. Thus, it is possible that, as a result of 496 maternal care, alligator hatchlings can afford to be more active and explorative. Future studies 497 investigating this relationship should incorporate additional controls to determine whether parental 498 protection can indeed explain more neophilic tendencies.

499

Although the effectiveness of parental protection is certainly not the sole aspect influencing the early life behavioral predispositions in crocodilians, it could help explain the success of spectacled caimans as an invasive species. This species has been introduced to the natural habitat of the American alligator, American crocodile (*Crocodylus acutus*), and Cuban crocodile (*Crocodylus rhombifer*), and has established viable populations (Global Invasive Species Database, iucngisd.org: http://www.iucngisd.org/gisd/species.php?sc=1206). All native species are larger than, and probably behaviorally dominant over, the spectacled caiman. Nevertheless, it

507 successfully competes for resources, e.g. small prey items for hatchlings, putting additional 508 pressure on already critically endangered species (Ellis 1980; Powell et al. 2011). If an invasive 509 species such as the spectacled caiman evolved a less active behavioral predisposition due to high 510 predation risk in its natural range, and if such a species were introduced into a habitat where 511 crocodilians are the apex predators, its hatchlings might have an increased survival rate. It might 512 even be able to outcompete the local crocodilian species, at least in the short term. Over a longer 513 period of time, a species with an innate predisposition for heightened exploration behavior could, 514 however, hold advantages, e.g. because it might explore more potential food sources earlier during 515 ontogeny. Investigating more hatchlings of the same and different species is crucial to gain a full 516 picture of early life behavioral traits in crocodilians.

517

518 One limitation of our study is that our subjects were from few broods (two for American alligators, 519 one for spectacled caimans), which makes it possible that a genetic behavioral predisposition was 520 linked to the individual broods rather than the species. This is a general problem for studies 521 investigating young crocodilians; the availability of study subjects of the same age, particularly 522 from more than one species, is usually low (Brien et al. 2013). We are, however, confident that 523 our results indeed reflect behavioral predispositions of the two study species. The incubation 524 conditions differed within the alligators (5 presumably hatched as males, 6 as females) but not in 525 the caimans (11 presumably hatched as males). Incubation conditions, temperature and others, 526 have been demonstrated to significantly impact phenotype and behavior, including the tendency 527 to explore later in life in crocodilians and other non-avian reptiles, independent of kinship (Burger 528 1991; Sneddon et al. 2000; Deeming 2004; Yowell 2011; Siviter et al. 2017). We controlled for 529 the impact of the two different incubation temperatures and this factor was the first to be excluded during model reduction, indicating that the presumed differences in activity levels originate from an innate predisposition rather than environmental impact. Additionally, the observed plasticity in the Novel Object trials further suggests that the subjects kept developing the described behavioral traits. Future studies should ideally focus on animals from a larger number of broods and include both sexes for each species.

535

536 The discovery that species-typical behavioral predispositions are probably innate in crocodilians 537 provides important implications for conservation efforts intending to release captive-bred 538 individuals into their natural habitat. If juveniles are to be repatriated without the protection of a 539 parent, their initial survival chances could be increased by selecting those with less active 540 behavioral predispositions during early ontogeny. This would particularly be the case for local 541 apex predators (e.g. Crocodylus siamensis, Crocodylus intermedius), which might naturally show 542 more exploration behavior than smaller species (e.g. Crocodylus mindorensis). It appears evident 543 that a better understanding of crocodilian innate behavior, learning capacities, and ecology will 544 play an important role in supporting conservation and management efforts.

545

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547

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549

550 **Conflicts of interest** The authors declare that they have no conflict of interest.

551

552 Compliance with ethical standards

554	Ethical statement The research was approved by the University of Lincoln's ethics committee
555	(number CoSREC36). All applicable national guidelines for the care and use of animals were
556	followed.
557	
558	Consent to participate Not applicable
559	
560	Consent for publication Not applicable
561	
562	Availability of data and material Original videos are stored on the server of the School of Life
563	Sciences, University of Lincoln, Lincoln, UK. For size and owner privacy reasons the videos are
564	not publicly available; for access by interested scientists please contact A. W. at
565	awilkinson@lincoln.ac.uk
566	
567	Code availability The custom software used for the analysis is available under
568	https://github.com/jinook0707/AMA
569	
570	Author contributions S. A. R. designed the study, built the devices, conducted the experiments,
571	analyzed the data, created the figures, and wrote the manuscript; J. O. designed and created the
572	software, and extracted data for analysis; J. J. conducted and checked the video coding; C. S.
573	helped conceive the study and write the manuscript; S. F. helped conceive the study, and provided
574	and habituated the subjects; A. W. helped conceive and design the study, and write the manuscript.
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