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2 Measuring acoustic complexity in continuously varying signals: how complex is a wolf howl?

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18 ABSTRACT

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20 Communicative complexity is a key behavioural and ecological indicator in the study of animal 21 cognition. Much attention has been given to measures such as repertoire size and syntactic structure in 22 both bird and mammal vocalisations, as large repertoires and complex call combinations may give an 23 indication of the cognitive abilities both of the sender and receiver. However, many animals 24 communicate using a continuous vocal signal that does not easily lend itself to be described by 25 concepts such as "repertoire". For example, dolphin whistles and wolf howls both have complex 26 patterns of frequency modulation, so that no two howls or whistles are quite the same. Is there a sense 27 in which some of these vocalisations may be more "complex" than others? Can we arrive at a 28 quantitative metric for complexity in a continuously varying signal? Such a metric would allow us to 29 extend familiar analyses of communicative complexity to those species where vocal behaviour is not 30 restricted to sequences of stereotyped syllables. We present four measures of complexity in 31 continuous signals (Wiener Entropy, Autocorrelation, Inflection Point Count, and Parsons Entropy), 32 and examine their relevance using example data from members of the genus Canis. We show that 33 each metric can lead to different conclusions regarding which howls could be considered complex or 34 not. Ultimately, complexity is poorly defined and researchers must compare metrics to ensure that 35 they reflect the properties for which the hypothesis is being tested.

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37 KEYWORDS: Autocorrelation, Canids, Communication, Complexity, Entropy

Vocal complexity is considered an important property of animal communication (Freeberg and Krams 41 42 2015; Larson 2004; McCowan et al. 2002; Pollard and Blumstein 2012), despite being poorly defined, 43 with little agreement how complexity should be quantified (Edmonds 1999). Despite this, complexity has been used to explain different aspects of animal behaviour. For instance, evidence exists in several 44 45 bird species that females choose mates at least partially on the basis of the complexity of male song 46 (Darolová et al. 2012; Hiebert et al. 1989), and other males may use complexity cues to make conflict escalation decisions (Leitão et al. 2006). It has been postulated that birdsong complexity acts as an 47 48 index signal; being positively correlated with nutritional competence and cognitive abilities, and 49 negatively correlated with early life stress (Nowicki et al. 2002). Similarly, recent studies have 50 suggested that a correlation exists between communicative complexity and social complexity, such 51 that species with more complex social systems also have more complex communicative interactions 52 (Freeberg and Krams 2015; Krams et al. 2012; Pollard and Blumstein 2012). This in turn could shed 53 light on possible evolutionary pathways to the development of language as an adaptation of highly 54 complex social groups in early hominins (Seyfarth and Cheney 2014). 55 Communicative complexity can also have practical implications for the identification of and 56 discrimination between similar sub-populations where complexity varies geographically (Briefer et al. 57 2010; Kershenbaum et al. 2012). While many species can distinguish between the vocalisations of in-58 group and out-group individuals, e.g. wolves *Canis lupus* (Palacios et al. 2015; Zaccaroni et al. 2012), 59 elephants Loxodonta africana (O'Connell-Rodwell et al. 2007), and multiple bird species (Nakagawa 60 et al. 2001; Radford 2005), it is often not clear what vocal cues are being used to make this 61 discrimination, and complexity characteristics may play a role (Briefer et al. 2008). Geographic differences in vocal complexity may be particularly noticeable where ecological conditions lead to 62 differences in food availability, cognitive development, and hence vocal repertoire size (Byers and 63 Kroodsma 2009; Kipper et al. 2006; Pfaff et al. 2007). In parallel, researchers can make use of 64 65 differences in repertoire size, for example, to distinguish between sub-populations of birds and

66 mammals (Gwilliam et al. 2008; Pitcher et al. 2012). Clearly, vocal complexity is an important phenomenon with far ranging implications for the study of animal communication. 67 Previous studies of vocal complexity have focussed largely on birdsong, because of three essential 68 properties that make this communication modality particularly tractable: (a) most birdsong can be 69 70 divided into discrete syllables or notes (Marler and Slabbekoorn 2004); (b) there exists a simple metric - repertoire size - for measuring purported complexity (Byers and Kroodsma 2009); and (c) the 71 72 well-established role of birdsong in mate choice provides the opportunity for manipulative as well as 73 correlative experiments to be carried out, quite clearly demonstrating the role of song complexity in 74 enhancing fitness (Searcy 1992). Even when birdsong is open-ended so that repertoire cannot 75 adequately be defined, for example in the northern mockingbird *Mimus polyglottos* (Gammon 2014), 76 the discrete nature of the song syllables means that other measurements of communicative complexity 77 can be used, most notably Shannon entropy (Briefer et al. 2010; Da Silva et al. 2000; Kershenbaum 78 2013). Although some animals from other taxa have vocal communication systems that are similarly 79 discrete, e.g. rock hyrax Procavia capensis (Kershenbaum et al. 2012), or are closed-ended, e.g. 80 several primates (Cäsar et al. 2012; Zuberbühler 2002), outside of passerine birds they are the 81 exception rather than the rule. Indeed, the vocal communication system of some species consists 82 entirely of signals whose properties are continuously varying, and with such signals the existing 83 concepts of complexity (e.g. based on repertoire and entropy) cannot be applied. For example, 84 considerable empirical evidence supports the existence of semantic information in the whistles of 85 bottlenose dolphins *Tursiops truncatus*; in particular, the use of signature whistles to signal individual 86 identity (Fripp et al. 2005; Kershenbaum et al. 2013; Quick and Janik 2012; Sayigh et al. 1999). However, dolphin whistles are relatively long and unbroken tonal signals that are continuously 87 frequency modulated. Similarly, wolf howls are continuous frequency modulated signals that have 88 been shown to contain individual identity information (Palacios et al. 2007; Root-Gutteridge et al. 89 90 2014; Tooze et al. 1990), but cannot be classified into stereotyped categories. One possible interpretation of complexity, which may or may not be intuitive to the reader, is that the frequency of 91 92 a *simple* signal varies little, or predictably, with time, whereas a *complex* signal varies greatly, and 93 unpredictably. The reader may examine Figure 1, which shows several examples of wolf howls and

94 decide which howls are simple and which complex. However, although some howls may appear
95 intuitively more complex than others, the lack of an objective definition of complexity for such
96 signals renders the judgement unhelpful. As such, previous studies of information content in
97 continuously varying animal vocal signals have had to make use of alternative techniques, example
98 for measuring similarity between pairs of vocalisations, rather than quantifying characteristics of the
99 vocalisations themselves (Kershenbaum et al. 2013).

100 Complexity in itself is poorly defined (Edmonds 1999), and as a result any particular use of the term 101 in examining animal behaviour is liable to be criticised. In particular, information theoretical 102 definitions of complexity based on concepts such as entropy are often regarded with suspicion by 103 biologists, because the most complex (highest entropy) signals are in fact random signals - something 104 that most ethologists would consider to be non-complex (Suzuki et al. 2005). We agree that defining 105 complexity is difficult, however we hope to mitigate this difficulty somewhat by insisting that 106 researchers should examine and understand what kind of signal a particular definition of complexity 107 would deem either complex or non-complex. It would then be possible to determine whether a 108 particular definition of complexity meets the demands of discriminating between signals in relation to 109 the study's hypotheses.

110 In this paper, we aim to show how concepts of continuous complexity can be measured using different approaches, and we illustrate how use of a particular complexity metric can lead to different 111 112 conclusions from using other metrics. We present four candidate complexity metrics and compare 113 their performance against each other, identifying which kinds of signals each particular metric would 114 indicate to be "complex" or "not complex". We recognise that in drawing up a proposed metric of complexity for continuous signals, it is inevitable that subjective interpretations of the complexity or 115 simplicity of a signal must necessarily influence the decisions a researcher makes in designing an 116 experiment. Rather than attempt to avoid this subjective tendency, we hope to formalise it somewhat, 117 by presenting a range of complexity metrics, along with illustration of their significance for signals of 118 different types. That way, researchers can choose a metric that captures the "kind of" complexity for 119 120 which they are searching; providing a quantitative measure for an essentially subjective property.

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123 METHODS

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We describe below four quantitative metrics that have been previously used for quantifying 125 126 complexity in continuous signals: Wiener Entropy, Autocorrelation, Inflection Point Count, and Parsons Entropy. For each of these metrics, we define how they are computed and explain in what 127 128 way they could be considered to be measures of complexity in a continuous signal, giving detailed 129 examples using simulated waveforms as shown in Figure 2. As each of our proposed metrics 130 measures quite different features of acoustic signals, it is constructive to illustrate the behaviour of 131 each metric by showing examples of signals with both high and low metric values, as this provides an 132 indication of which signal features are being emphasised by each metric. We do this using example 133 acoustic signals drawn from an empirical data set consisting of 2.014 coded canid howls from 16 134 different species and subspecies, as described in a previous work (Kershenbaum et al. 2016). We 135 calculated each complexity metric for each howl and then plot on a time-frequency graph the three 136 howls with the lowest metric values, and the three howls with the highest values.

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138 Wiener Entropy

139 Wiener Entropy, or spectral flatness, has been proposed as a measure of the complexity of birdsong 140 elements, and has been applied to the analysis of increasing complexity during the process of song 141 learning in juvenile birds (Baker and Logue 2003; Tchernichovski et al. 2000). Wiener Entropy is a 142 measure of the extent to which a signal contains a mixture of frequencies, as opposed to a single frequency or tone. As such, a value of 0 represents a single sine wave, and a value of 1 indicates white 143 noise, in which all frequencies are equally represented. To calculate the Wiener Entropy, we first 144 perform a Fourier transform to calculate the spectral power P present at each of N distinct frequency 145 bins. The formal definition is given as the ratio of the geometric means of the spectral powers to the 146 arithmetic mean: 147

148
$$WE = \frac{\sqrt[N]{\prod_{f=1}^{N} P(f)}}{\frac{1}{N} \sum_{f=1}^{N} P(f)}$$

150 waveform (column C in Figure 2), or to the spectrographic representation of the signal, where P(f)151 corresponds to F(t) (column B in Figure 2). The former definition also measures the entropic contribution of background noise and discards any information on temporal variation in frequency, 152 therefore, we calculate Wiener Entropy only on the dominant signal frequency, i.e. column B in 153 154 Figure 2. In addition, we square-root transform this metric for normality. 155 156 Autocorrelation 157 Autocorrelation (Figure 2, column D) measures the self-similarity of a signal, and so quantifies the 158 extent to which the signal contains repetitions of the same pattern, or is varied without similarity 159 (Stoica and Moses 2005). The autocorrelation sequence of a signal consisting of N discrete samples, F(1...N) is measured by shifting the signal by time lag l and calculating the correlation between the 160 161 shifted and the unshifted signals:

Wiener Entropy can be applied to the signal spectrum, where P(f) corresponds to the FFT of the input

162
$$ac(l) = \sum_{n=0}^{l} F(n) \cdot F(n-l)$$

163 The Autocorrelation metric is then calculated as the sum of ac(l) for all *l*. As with Weiner entropy, we 164 measure the repetitiveness of the howl frequency modulation, rather than flatness *per se*, by 165 calculating autocorrelation on the dominant signal frequency in the spectrogram. In addition, we log-166 transform this metric for normality.

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168 Inflection points

169 A number of studies, particularly with cetaceans, have measured vocal complexity by counting the

170 number of inflection points in a vocalisation (Janik et al. 1994; May-Collado and Wartzok 2008). A

- 171 more complex signal, in this context, is a signal in which the frequency is changing direction
- 172 (rising/falling) often (e.g. Figure 2, panel 4B). In keeping with these studies, we define the number of

inflection points as the count of changes in gradient direction of the vocalisation. To ensure that this
complexity metric takes continuous values, we divide the number of inflection points by the length of
the signal, which also standardises the metric, to remove the correlation between vocalisation length
and complexity that would otherwise be present. In addition, we square-root transformed this metric
for normality. Simplified Matlab code for counting the number of inflection points in a vector X is
shown below:

179	<pre>1. g=gradient(X);</pre>
180	2. s=sign(g);
181	<pre>3. d=g(1:end-1)~=g(2:end);</pre>
182	4. $C = sum(d);$

183 The above algorithm (1) measures the gradient at each point, (2) determines the sign of the gradient 184 (positive, increasing, or negative, decreasing), (3) tests whether the sign of the gradient at this point is 185 different from the sign of the gradient at the next point, which would indicate a change in direction, 186 and (4) counts the number of such changes in direction.

187

188 Parsons Entropy

189 The Parsons code is a reduced representation of a varying signal, used primarily for music retrieval 190 systems (Downie 2003; Parsons and Levin 1975). However, a recent study showed that dolphin 191 signature whistles can be represented as Parsons codes, while maintaining much of the individual 192 identity information (Kershenbaum et al. 2013). To convert a continuous signal to a Parsons code, we 193 divide the signal into a fixed number of slices, and record whether the frequency from one slice to the 194 next is rising, falling, or remaining constant. To increase the descriptive power of the Parsons code, 195 we can distinguish between rises and falls of different magnitude, classifying the 10% of the largest 196 magnitude changes as "big rise" or "big drop" (Müllensiefen and Frieler 2004; Pauws 2002), and thus 197 dividing changes in pitch into seven categories: big rise, medium rise, small rise, no change, small drop, medium drop, big drop (Figure 3). The implementation of this coding is described more fully in 198 199 (Kershenbaum et al. 2013). The continuous signal has now been converted into a series of discrete 200 characters from a finite alphabet of seven step categories, and so we can then calculate the simple

Shannon entropy (Cover and Thomas 1991) as is often done with stereotyped signals, where P(n) is the probability of occurrence of step category *n*. We refer to this entropy metric that measures the unpredictability of the Parsons code as the "Parsons Entropy".

204
$$PE = -\sum_{n=1}^{7} P(n) \log_7 P(n)$$

205

As each of the four metrics Wiener Entropy, Autocorrelation, Inflection Point Count, and Parsons
Entropy are all purported to measure the same property - signal complexity - the metrics may
potentially measure similar features of the acoustic signals. Therefore, we test directly for correlation
between the different metrics by calculating the Pearson's correlation coefficient between each pair of
metrics. All analyses were carried out in Matlab R2014b (The Mathworks, Inc).

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- 213 RESULTS
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215 Complexity of simulated waveforms

The values of the four metrics for each of the five waveforms in Figure 2 are shown in Figure 4. All 216 metrics gave the constant frequency (1) the lowest score, representing the simplest waveform. The 217 random waveform (5) received the highest scores from three of the metrics, Wiener Entropy, 218 219 Inflection Point Count, and Parsons Entropy, indicating (as with traditional entropy measures) that 220 randomness is interpreted as high complexity. Autocorrelation was low for the random waveform. The oscillating frequency (4) scored highly for complexity with all metrics (especially 221 222 Autocorrelation and Parsons Entropy), consistent with the intuitive interpretation of this as a complex 223 signal. However, the two-frequency waveform (2) received similar Wiener Entropy and 224 Autocorrelation scores to constantly increasing frequency (3), but notably higher scores than (3) for 225 Inflection Point Count and Parsons Entropy. Indeed, both Inflection Point Count and Parsons Entropy 226 considered the constantly increasing frequency (3) to be approximately as complex as the constant 227 frequency (1).

229 Complexity of wolf howls

Examples of howls with the lowest, and highest values of each of the complexity metrics are shown in 230 Figure 5. Wiener Entropy and Autocorrelation illustrate the difficulty of traditional metrics as 231 232 indicators of complexity. It is not clear that the howls with the lowest Wiener Entropy or Autocorrelation are necessarily less complex by subjective interpretation than those with high Wiener 233 234 Entropy or Autocorrelation. A low Wiener Entropy score is achieved by a signal possessing a single 235 frequency (i.e. approximating a part of a sine wave), whereas high Wiener Entropy score is achieved 236 by flat signals, which are transformed by FFT to a mixture of a large number of frequencies, and 237 hence high entropy. Neither appear to be particularly complex by intuitive definition. Low 238 Autocorrelation scores are achieved by irregular but not repetitive signals, and such irregularity is a 239 promising trait of complexity; however high Autocorrelation scores are achieved by signals with a 240 single frequency, which does not appear to be either complex or simple. 241 In contrast, the number of inflection points seems an intuitive measure of complexity, as high 242 Inflection Point Count howls are very varied, whereas low Inflection Point Count howls appear 243 simpler. However, some howls with low Inflection Point Count still have considerable variation in 244 frequency. Parsons Entropy also detects subjectively complex howls, and those with low Parsons 245 Entropy appear subjectively simple; specifically, the frequency of these simple howls varies 246 monotonically.

247

248 Colinearity among complexity metrics

Weak correlations existed between all metrics (Figure 6), however, a stronger negative correlation was found between Wiener Entropy and Parsons Entropy (R=-0.38). Taken with the other differences found between metrics, there does not appear to be grounds for describing any pair of metrics as covarying, and the metrics appear to be measuring different aspects of complexity.

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255 DISCUSSION

We have illustrated the similarities and differences between four different metrics, each of which
could be considered a quantitative measure of complexity in a continuously varying signal. Despite
the poorly defined nature of signal complexity, we have provided the reader with both quantitative
comparisons, and qualitative illustrations of the result of using each of these metrics in the evaluation
of the complexity of simulated signals and natural of canid howls.

262 All metrics distinguished clearly between a constant flat frequency, and a randomly varying signal, 263 with all metrics except Autocorrelation placing the random signal at the most complex end of the 264 quantitative scale. Researchers will need to consider whether or not the characterisation of a random 265 signal as "complex" (a definition taken from the field of entropy and information theory) is consistent 266 with the hypotheses that they are testing. In contrast to Wiener Entropy, Inflection Point Count, and 267 Parsons Entropy, Autocorrelation gave a higher score to a regularly varying signal than to the random 268 one. Parsons Entropy also gave a much higher value for a regularly varying signal than for the flat, 269 rising, and random frequencies, indicating that Parsons Entropy, which measures changes in slope, is 270 a good metric for measuring the extent to which a signal changes with time - either regularly or 271 irregularly. When examining actual howls qualitatively, both Inflection Point Count and Parsons 272 Entropy appeared to distinguish between howls that the authors felt looked "simple" (i.e. varying in 273 frequency in a constant way) and those that looked "complex" (i.e. varying in an inconsistent way 274 with time), although clearly this subjective distinction may not be globally applicable. When 275 examining the example howls for low and high Wiener Entropy and Autocorrelation, there did not 276 appear to be as much of a subjective difference in complexity. However, the essence of these results is 277 to provide the comparison, rather than to impose subjective conclusions, and Figure 5 makes this comparison clearly. 278

279 Despite the fact that complexity in vocal signals of any kind remains poorly defined (Kershenbaum

280 2013), the concept of complexity is still widely used for investigating questions of proximal behaviour

281 (Darolová et al. 2012; Demartsev et al. 2014; Gustison and Bergman 2016), ultimate fitness (Freeberg

et al. 2012; Ord et al. 2012; Pollard and Blumstein 2012), and drivers of the evolution of social

systems (Bergman and Beehner 2015; Freeberg and Krams 2015; Krams et al. 2012). Even if we

284 accept the definition of entropy as a proxy for complexity (Doyle et al. 2008), it is not clear how such a metric can be applied to continuously varying signals. We have shown that multiple approaches are 285 286 possible, each with its benefits and disadvantages. For example, counting the number of inflection points is a useful method for identifying highly frequency modulated signals, but can become 287 288 overwhelmed in the presence of a highly random signal. Parsons Entropy may suffer less from this constraint, as the signal is divided into discrete segments. Wiener Entropy measures the noisiness of a 289 290 signal, but can misinterpret a simple upsweep as complex as it contains many frequencies, albeit 291 spread through time. Autocorrelation is a powerful tool for detecting repetition, but returns a low 292 value for asymmetric changes in frequency.

293 We have no objective gold-standard of complexity to compare to our metrics and to indicate whether 294 a particular metric truly captures the property of complexity or not. Yet we believe that our study has 295 merit precisely because it allows quantification of the subjective measure for which researchers may 296 be searching. If an oscillating signal is the nature of complexity being tested, then Inflection Point 297 Count or Parsons Entropy may be the best metric to use. However, if for a particular hypothesis, 298 randomness is best rejected as not complex, then perhaps Autocorrelation is a better-suited metric. It 299 is vital for researchers to understand the implications of their choice of a particular complexity metric, 300 rather than to make use of a metric whose properties may be unknown, and perhaps surprising. Our 301 approach of defining a quantitative metric also has the advantage of enabling clearer comparisons 302 between different study systems that may use similar but non-quantitative assessments of vocalisation 303 type. Qualitative descriptions of frequency modulations in continuous signals, e.g. "flat", "rising", 304 "step up" (Hallberg 2007; Palacios et al. 2007) are useful, but difficult to compare between studies. 305 Vocal signal complexity is likely an important property in the communication of many species, 306 including birds (Briefer et al. 2010; Darolová et al. 2012; Freeberg 2008; Kipper et al. 2006; Leitão et al. 2006), amphibians (Larson 2004; Narins and Capranica 1978), terrestrial mammals (Demartsev et 307 308 al. 2014; Gustison and Bergman 2016; Schlenker et al. in press) and cetaceans (Doyle et al. 2008; Ferrer-i-Cancho and McCowan 2009; Garland et al. 2013; Nash and Bowles 2011), and also human 309 310 language (Ferrer-i-Cancho 2005; Ferrer-i-Cancho and Solé 2003; Kershenbaum et al. 2014;

311 Montemurro and Zanette 2015). Complexity is a difficult property to measure, particularly when the

312 signals are continuously varying, rather than a sequence of discrete notes. To investigate questions such as the connection between social complexity and vocal complexity, appropriate measures of 313 complexity must be found (Freeberg and Krams 2015; Kershenbaum 2013). Species with 314 continuously varying vocalisations, such as wolves and dolphins, share many of the properties of 315 316 particular interest in the investigation of the evolution of communication. Wolves and dolphins in particular are highly social and cooperative, as well as having intelligent problem-solving abilities 317 318 (wolves: Mech and Boitani 2010; Mech et al. 2015, dolphins: Gazda et al. 2005; King and Janik 2015; 319 Wells 2003), and so it would be unfortunate if a quantitative assessment of their vocal complexity were neglected. 320 321 We have shown that multiple metrics do exist for capturing the complexity of these vocalisations, and 322 we have provided quantitative tools to assess the suitability of the different types of metrics. We 323 encourage researchers to make use of such quantitative measures when testing hypotheses in these 324 and similar species, thereby extending the investigation of complex communication in animals to

those species not previously amenable to quantitative analysis.

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517 FIGURES





519

Figure 1. Six examples of wolf howls, with time on the x-axis and frequency on the y-axis. All howls
show some pattern of rising and falling frequencies, but the determination of which howl is most
complex appears wholly subjective.





Figure 2. Simulated sounds demonstrating the relationship between waveform, spectrogram, 525 526 spectrum, and autocorrelation. The first column (A) shows five different waveforms: (1) constant frequency sine wave; (2) rapid doubling in frequency; (3) constantly increasing in frequency; (4) 527 528 oscillating frequency; and (5) random waveform. The second column (B) shows the frequency of the waveform with time. Column (C) shows overall spectra for these waveforms: a single peak where one 529 frequency is present (1), two peaks where two frequencies exist (2), a range of frequencies in (3) and 530 531 (4), and all frequencies present in the case of white noise (5). Column (D) shows the autocorrelation 532 of the spectrogram.



536 Figure 3: Example of a Parsons code representation of a vocal signal (blue). The time-course is

- 537 divided into ten equal sections (red), and the frequency change for each section is recorded only as
- 538 "big rise", "small rise", "no change", "small drop", or "big drop".



Figure 4. Complexity scores for the four metrics, for each of the five waveforms shown in Figure 2.
The bar charts are normalised for comparison by subtracting the mean and dividing by the standard deviation.





Figure 5. Examples of howls with low metric values (top row), and high metric values (bottom row),
for each of the four metric types. Each plot shows those three sample howls with the highest or lowest
values for each particular metric (not necessarily the same sample howls for each metric). The y-axis
indicates frequency deviation from the median value of each howl, to allow a clear comparison
between howls of differing frequencies.



553 Figure 6. Pairwise correlation between each of the metrics. The red line indicates line of best fit, and

R and *p* values given in the title of each plot are for Pearson correlation.