1	Lowland gorillas (Gorilla gorilla gorilla) failed to respond to others' yawn: experimental and
2	naturalistic evidence
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# 17 ABSTRACT

Yawn contagion, possibly a form of emotional contagion, occurs when a subject yawns in response 18 to others' yawns. Yawn contagion has been reported in humans, chimpanzees, bonobos, geladas, 19 wolves and dogs. In these species, individuals form strong, long-term relationships and vawn 20 contagion is highest between closely bonded individuals. This study focuses on the possible 21 expression of yawn contagion in western lowland gorillas (Gorilla gorilla gorilla). Gorillas share 22 with geladas a similar basic social structure (one dominant male and several adult females with 23 offspring) and differ from bonobos and chimpanzees, which live in multimale-multifemale 24 societies. Gorillas stand out because they are spatially aggregated but show especially low levels of 25 social affiliation. If the expression of yawn contagion is linked to the investment of animals in 26 establishing long-term social relationships, the phenomenon should not be detected in gorillas 27 (Social relationship hypothesis). For the first time, we applied to the same subjects the naturalistic 28 29 approach typically used in ethology (all occurrences behavioural sampling) and the experimental approach typically used in psychology (response to video stimuli). During the video demonstration 30 31 (avatar yawn/control; unfamiliar gorilla yawn/control), we checked for the attentional state of the 32 subjects. Anxiety related self-directed behaviours were recorded in all conditions and settings. We failed to detect yawn contagion in both naturalistic and experimental settings, with yawning being 33 possibly associated with anxiety during video shows (revealed by the increased frequency of self-34 directed behaviours). In conclusion, yawn contagion may be a socially modulated phenomenon that 35 remains largely unexpressed when individuals share weak social affiliation. 36

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38 Keywords: Contagion; Gorilla gorilla gorilla; Anxiety; Weak social engagement

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## 41 INTRODUCTION

Yawn contagion occurs when a subject yawns in response to a triggering yawn emitted by 42 another subject (Campbell, Carter, Proctor, Eisenberg & de Waal, 2009; Provine, 1986, 2005). As a 43 form of involuntary mimicry (Thomson & Richer, 2015), yawn contagion may be a form of 44 emotional contagion, possibly involving the mirror neuron system (Brown, Kim, Sunders, 45 Bachmann, Thompson, Ropar, Jackson & Jackson, 2017; Haker, Kawohl, Herwig & Rössler, 2013; 46 Nahab, Hattori, Saad & Hallett, 2009). Through the activation of this system, two individuals can 47 non-consciously share physiological and related affective states based on perceived motor patterns 48 (Gallese, Keysers & Rizzolatti, 2004). This perception-action mechanism (de Waal & Preston 2017) 49 50 can facilitate behavioural matching and social living because it allows individuals to synchronize their emotional states through the replication of the actions or facial expressions of other individuals 51 (Christov-Moore, Simpson, Coudé, Grigaityte, Iacoboni & Ferrari, 2014). However, contextual 52 53 factors, such as environmental visual and auditory information, can affect the rates of involuntary mimicry (Wieser & Brosch 2012). 54

55 So far, there is strong evidence for yawn contagion in one cercopithecid monkey species (geladas, Theropithecus gelada; Palagi, Leone, Mancini & Ferrari, 2009). In the stump-tailed 56 macaques (Macaca arctoides) a yawn video elicited significantly more yawns than a control video, 57 but also more self-directed behaviours like scratching. Therefore, the mechanism in these macaques 58 might have been due to increasing tension or arousal, and not necessarily to social identification as 59 required by the perception-action mechanism (Paukner & Anderson, 2006). Yawn contagion has 60 been found in two hominid species, chimpanzees (Pan troglodytes: Anderson, Myowa-Yamakoshi 61 62 & Matsuzawa, 2004; Campbell & de Waal, 2011) and humans (Homo sapiens: Provine, 1986; 1989), and in both species there was a developmental effect from infancy, childhood to adulthood 63 (Bartholomew & Cirulli, 2014; Madsen, Persson, Sayehli, Lenninger & Sonesson, 2013). One 64 report failed to detect yawn contagion in two other hominid species, bonobos (Pan paniscus) and 65 gorillas (Gorilla gorilla), but the sample size (4-5 animals) was too small to be conclusive (Amici, 66

Aureli & Call, 2014). Two other studies using larger samples found that yawn contagion is indeed
present in bonobos (Demuru & Palagi, 2012; Tan, Ariely & Hare, 2017). No other investigation has
been carried out on *Gorilla gorilla*, thus leaving the yawn contagion issue open in this species.

In humans, studies typically report a yawn contagion rate of around 50%, although the incidence 70 of this phenomenon can be affected by psychological/neurological disorders such as autism and 71 schizophrenia (Chan & Tseng, 2017; Helt et al., 2010). Additionally, there is strong evidence that 72 this phenomenon is socially modulated in both human and non-human primates. In geladas, Palagi 73 et al. (2009) found that the frequency of yawn contagion correlated with the level of grooming 74 between individuals but not with their level of spatial proximity. Therefore, the strength of social 75 76 bonds appears to modulate yawn contagion in this species. Social modulation may have limited or no influence on yawn contagion rates in young chimpanzees (Madsen et al., 2013), but adults were 77 found to be more susceptible to yawns performed by in-group than by out-group members 78 79 (Campbell & de Waal, 2011). In humans and bonobos yawn contagion was found to be more frequent between strongly bonded than between weakly bonded individuals (Demuru & Palagi, 80 81 2012), even though both species also responded to strangers' yawns (humans, Norscia & Palagi, 2011; Norscia & Palagi, 2016; bonobos, Tan et al., 2017; both humans and bonobos: Palagi, 82 Norscia & Demuru, 2014). 83

We investigated the possible expression of yawn contagion in lowland gorillas (Gorilla gorilla 84 gorilla). To explore the phenomenon in a comprehensive way, for the first time, we combined both 85 a naturalistic and an experimental approach in a single study. Gorillas are phylogenetically distant 86 from geladas but very close to the other African hominids (Scally, Dutheil, Hillier, Jordan, 87 Goodhead et al., 2012; Stevens, Seiffert, O'Connor, Roberts, Schmitz et al., 2013). The 88 socioecology of gorillas contains some traits that are similar to geladas at least in the mating 89 patterns. In both species, the basic social unit includes one dominant male and several adult females 90 with offspring. Although geladas have a multi-level structure where the different basic social units 91

gather together in larger aggregations (e.g., herds) with the members of the different basic social
units are always in sight (Kummer, 1971; Palagi et al., 2018).

Similar to bonobos and chimpanzees, gorillas possess a long ontogenetic trajectory (with the 94 weaning period lasting up to 4-6 years) and highly developed cognitive abilities (de Lathouwers & 95 van Elsacker, 2006; Watts & Pusey, 1993). On the other hand, gorillas differ from both African 96 great apes and geladas in the levels of social affiliation between individuals (Cordoni, Norscia, 97 Bobbio & Palagi, 2018). Chimpanzees and bonobos live in fission-fusion groups in which group-98 99 mates form strong and enduring social bonds, e.g. via grooming exchange and agonistic support (Foerster, Franz, Murray, Gilby, Feldblum, Walker & Pusey, 2016; Gruber & Clay, 2016; 100 Langergrabe, Mitani & Vigilant, 2009; Muller & Mitani, 2005; Slocombe, Kaller, Turman, 101 Tawnsend, Papworth, Squibbs & Zuberbühler, 2010). In gelada social basic units, females engage 102 103 in high levels of affiliative contact and establish long-term social relationships between them 104 (Dunbar & Dunbar, 1975). In lowland gorilla one-male groups, females show extremely low levels of social affiliation because they spatially aggregate around one adult male, the silverback, mainly 105 106 for protection reasons (Harcourt & Stewart, 2007). The death of the silverback leads to group 107 disruption and females disaggregate moving to other groups (Harcourt & Stewart, 2007). In the wild, Stokes (2004) observed only eight affiliative interactions during 802 hrs of observation; six of 108 them were between silverback and reproductive females and involved sexual behavior and physical 109 contact. Grooming between adults was never observed and females engaged in almost no affiliative 110 behavior with each other. These findings led the authors to consider lowland gorilla as a species 111 characterized by low levels of affiliation (Cordoni et al. 2018; Masi, Cipolletta & Robbins, 2009; 112 Stokes, 2004). In gorillas, the migrating males can join together and form bachelor groups (Robbins 113 1996; Stoinski et al., 2004). It has been found that these males share a certain amount of affiliation 114 and social cohesiveness that strongly decrease when females join the group (Harcourt & Stewart, 115 2007). 116

Based on the above framework, we formulated two alternative hypotheses on yawn contagion. 117 Social relationship hypothesis - If the expression of yawn contagion co-varies with the level of 118 affiliative contacts that animals engage in to form strong social inter-individual relationships, we 119 expect that yawn contagion is not expressed in gorillas, owing to their especially low investment in 120 social affiliative exchange (Prediction 1). Alternative hypothesis - If the expression of yawn 121 contagion does not depend on the quality of the inter-individual social relationships but depends on 122 shared biological and cognitive features (common to all African great apes), we expect that yawn 123 contagion is expressed in gorillas, as it is expressed in other African hominids (Prediction 2). 124

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#### 126 METHODS

## 127 The colonies

The study was carried out on two colonies of lowland gorillas hosted at the ZooParc de Beauval 128 129 (St. Aignan sur Cher, France): a family group composed of 12 individuals and a bachelor group composed of 5 individuals (Table 1). Each colony had indoor (~200 m<sup>2</sup>) and outdoor facilities 130 (~2000 m<sup>2</sup>). The indoor facilities were equipped with tree trunks, lianas, ropes, and platforms so 131 132 that the gorillas could move freely in all three dimensions. The outdoor enclosures (islands) were delimited by an artificial moat. From 05:30 p.m. to 10:00 a.m. both groups stayed in the night cages 133 not visible to the visitors but accessible to the researchers during the experiments. Animals received 134 food (vegetables, seeds and grains, branches with green leaves) five times per day; water was 135 always available. No stereotypic or aberrant behaviours were observed in the two groups. 136

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## 138 Data collection in the naturalistic setting

Data were collected in October 2014 and October-December 2015, outside the peak visiting season, to reduce the impact of visitors on animal behaviour. Data were always collected by two observers, on a daily basis over a 6-h period that spanned morning and afternoon (including feeding times), both indoors and outdoors. Before starting systematic data collection, the two observers underwent a 10-hr training period to become skilled in animal identification and behavioural pattern distinction under the guide of two expert coders (EP and GC). For training purposes only, the same focal animal was followed by the observers simultaneously, and the data were then compared and discussed. Cohen's  $\kappa$ , calculated for each behaviour considered in this study (yawning, selfscratching, self-grooming, nose wiping, head shaking and agonistic behaviours listed in Table 2), was never below 0.85 (Kaufman & Rosenthal, 2009).

Through scan animal sampling performed every 10 minutes, we collected data on grooming, contact sitting and spatial proximity (family group=65 hours with the exception of Maisha=6 hours; bachelor group=41 hours). Two subjects were in spatial proximity when they were within an armlength distance. For each behavioural category we calculated the hourly frequency and divided it on the number of individuals available in both familiar (n=11) and bachelor groups (n=4).

By all occurrences sampling (family group=85 hours; bachelor group=44 hours) we collected yawns performed by gorillas during their everyday activity in their natural social setting. A yawning event is characterized by gaping of the mouth, until the acme is reached, followed by a passive closure of the jaws, with all phases accompanied by respiratory components. In some cases, the eyes can be closed and the neck and shoulders can be hunched (Provine, 1986).

For each yawning event we recorded i) yawner identity (hereafter, trigger), ii) exact time of the 159 yawn, iii) individual/s who could detect the yawn (hereafter, receiver), and iv) individual/s who 160 could not detect the yawn. The distance between the observers and gorillas ranged from 1 meter 161 (experimental setting) to 5-10 meters (naturalistic setting). The recorded yawns were silent (no 162 auditory cue), so the possible detection of the trigger's yawn was based on the visual cue. In 163 particular, we considered the yawn as non-visually detectable when the head of the potential 164 receiver was rotated by 180° with respect to the trigger (Baseline condition). All the yawns 165 performed by subjects without the detection of the yawn emitted by the trigger were considered to 166 be spontaneous. The yawn was considered to be detected when the receiver was positioned to see 167 the head of the trigger (within 3 meters) and the receiver had its eyes open (Yawn condition). All 168

the yawns performed by the receiver after the yawning stimulus were considered to be infectedyawns (yawn contagion).

Based on previous ethological works on contagious yawning, we recorded yawn responses on a 3min time window (Palagi et al., 2014). The probability of miscoding a yawning response (coding a spontaneous yawn as contagious) is lower in the first three minutes after the yawning stimulus than later, when autocorrelation is more likely (the presence of a yawn performed by a subject at t<sub>0</sub> increases the probability to have another yawn by the same subject at t<sub>(0+X)</sub> where X is the increasing unit of time; Kapitány & Nielsen, 2017). We also took note of whether each yawning event was accompanied by self-scratching and self-grooming or not.

In order to calculate the dominance relationships of the subjects, via all occurrences sampling we 178 collected data on dyadic agonistic encounters that were identified according to the behavioural 179 items described in Table 2. We recorded the identity of the opponents involved in decided conflicts. 180 Decided conflicts involved a clear winner, with an animal directing an aggressive behaviour 181 toward another individual (the loser), which fled or moved away either vocalizing or not. As 182 183 regards intervention during an ongoing conflict (i.e. agonistic support) we defined as supporter the individual who attacked the victim (in case of agonistic support in favor of the aggressor) or the 184 aggressor (in case of agonistic support in favor of the victim). 185

The decided dyadic conflicts were entered in a winner-loser sociomatrix to determine dominance 186 relationships based on Normalized David's Scores (NDS scalar values). NDS values were obtained 187 via the R supported package Steepness 2.2. The values were calculated on the basis of a dyadic 188 dominance index (Dij) in which the observed proportion of wins (Pij) is corrected for the chance 189 190 occurrence of the observed outcome. The chance occurrence of the observed outcome is calculated on the basis of a binomial distribution with each animal having an equal chance of winning or 191 192 losing in every dominance encounter (de Vries, Stevens & Vervaecke, 2006). We determined the dominance level of each individual based on their NDSs scalar values. The NDS scalar values were 193 included as a fixed factor in the GLMM analysis (Table 3). 194

# 196 *Experimental setting*

# 197 Trial video assemblage

Four mute videos were used for the experimental trials showing the facial movements (yawn condition and control condition showing mouth movements) of an unfamiliar gorilla and of a virtual ape-like face (hereafter, avatar). The two avatar videos were created as a three-dimensional computer animation via LIGHTWAVE 3D (see Campbell et al., 2009). The two gorilla videos included models of all sex and age classes (immatures and adults, males and females). The models were unknown to the experimental subjects. We selected clips of gorillas from youtube (www.youtube.com) and used them as yawn and control videos.

Avatar yawn video - The video randomly showed three different ape-like yawning faces in one of three directions (lateral, frontal, and three quarter profile) and each animation clip lasted 9 s. The video was shown to the subject for 10 min.

Avatar control video - This video was built exactly as the Yawn video. The video randomly 208 209 showed three different ape-like heads and included mouth opening and closing movements, lip 210 protrusion, and relaxed open-mouth associated with head bobbing. Each movement was shown with the animation facing in one of three directions: lateral, frontal, and three quarter profile. Each 211 animation clip lasted 9 s. The video was shown to the subject for 10 min. Clip samples of both 212 vawn and videos available Campbell (2009)213 control avatar are in et al. (http://rspb.royalsocietypublishing.org/content/276/1676/4255.figures-only). 214

<u>Gorilla yawn video</u> - From each video, we extracted only the clip showing the yawning pattern (5-10 sec per pattern), leaving out any other mouth movement that preceded or followed the yawn itself. The facial expressions were presented in three different positions: lateral, frontal, and three quarter profile. We randomly combined the clips of eight different subjects into a 24-clip video. Each video lasted 3 min and 20 s and was repeated until reaching about 10 min of show duration.

Gorilla control video - From the same clips used to build the yawn video we extracted frames of 221 5-10 s showing the mouth movements right before and after the yawning (lip/tongue protrusion, 222 chewing, mouth opening and closing). In this way, the control clips matched the yawn clips in terms 223 of background, shown individual, head direction, and body posture. The facial expressions were 224 presented in three different positions: lateral, frontal, and three quarter profile. The control clips 225 were virtually identical to the yawn clips, except for the expression itself. The video was composed 226 of 24 clips showing eight different subjects in random order. The video lasted 3 min and 20 s and 227 was repeated until reaching about 10 min of show duration. 228

# 229 Experimental procedure

The authors carried out all the experiments during early morning (08:00-10:30) in the night facilities where animals were housed alone or in small sub-groups (in the latter case using adjoining rooms). No one, except keepers and researchers, was allowed in indoor facilities. No physical contact between the experimenters and the gorillas was permitted.

Before the beginning of each trial session, the researchers waited 15 minutes to habituate the 234 235 animals to their presence. The tested gorillas never showed any aggressive behaviour toward the 236 researchers. Each gorilla was tested individually when alone. If another subject entered the room during the trial, the trial was considered valid and included in the analysis only in absence of 237 detectable yawns from other gorillas. During each experimental trial, one experimenter showed a 238 video on a tablet (*Eee*Pad Transformer TF101, Screen dimension 10.1 inches; [L\*H\*S][mm], 271 x 239 12.98 x 171) while a second experimenter recorded the session with a camera (Sony HDR-PJ240). 240 The trial began when the animal spontaneously started watching the video and ended when the 241 242 animal went away and was not visible anymore (time spent by the subjects in a trial = mean 6.31 ±0.326SE minutes). All 12 subjects were recorded for at least five consecutive minutes while 243 carrying out the trial. The animals who were motivated to perform the task stayed close to the 244 device and watched the video (Video S1) whereas the others did not (Video S2). The gorillas could 245 easily watch the video from behind the bars of the cage at a minimum distance of 15 cm. The 246

environmental light conditions ensured video perception. During the video show, it was clear when 247 the animals looked or did not look at the source of the video (Video S1). We checked for the 248 attentional state of individuals (mean 167.33 s  $\pm$ 17.35SE) by verifying whether the animal directed 249 250 their gaze at the screen (the animal fixed their eves steadily towards the screen). Considering the screen and the frame size, the facial display shown on the video fell within the visual stereoscopic 251 range of the animals when they looked straight at the screen. We calculated the time (seconds) 252 during which the subjects were looking at the screen and this time was used to evaluate whether the 253 attentional time differed across conditions. 254

The experimental and control videos (for both avatar and gorilla tasks) were shown to the subjects in a random order. Each subject underwent one trial per day (e.g.,  $day_1$ = gorilla control video;  $day_2$ =avatar yawn video;  $day_3$ = avatar control video;  $day_4$ = gorilla yawn video). Twelve individuals out 17 completed testing (Table 1).

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# 260 **Post-recording video analyses**

The video analyses were carried out using VLC media player 2.2.6 (extension: Jump to time). Timing and frequency were extrapolated from the videos for the following behavioural patterns: yawning, self-scratching, self-grooming, nose wiping, and head shaking. To ensure unequivocal coding, data extrapolation from videos was carried out by two observers concurrently (first and last author) after separate training over 10% of the total videos (Cohen's k $\geq$ 0.85 for the considered behavioural patterns; Kaufman & Rosenthal, 2009).

267 *Statistical analyses* 

Parametric tests were applied when the data distribution was normal (Kolmogorov-Smirnov, ns), as they were for attentional time and yawning frequency (Y/min) in both experimental and naturalistic settings. The ANOVA Two-Way repeated measures test was used to check for attentional time and yawning response frequency (Y/min) across the following conditions: avatarY; avatarC; gorillaY; gorillaC. The paired-t test was applied to check for yawning frequency variation

between conditions (naturalistic setting: yawning after the detection of a yawn event vs yawning 273 without the detection of a yawn event). Non-parametric tests were applied in case of non-normal 274 data distribution (Kolmogorov-Smirnov p<0.05), as they were for yawning frequency (Y/hour) and 275 276 self-directed behaviours under naturalistic setting (SDB/hour). The Mann-Whitney U test was used for k=2 independent variables, i.e. to check for possible differences in the baseline levels of 277 spontaneous yawning (Y/hour) between the bachelor and family gorilla groups and their response to 278 the different videos (Y/min). The Wilcoxon Signed-Rank test was used for k=2 dependent 279 variables, i.e. to check for the possible difference in the frequency of yawning in presence and 280 absence of self-directed behaviours in the naturalistic setting. Exact probability values (which are 281 282 adjusted for the small sample size) were selected following Mundry & Fischer (1998). The above mentioned tests were carried out at the individual level. When the test involved dyads, data were 283 considered as pseudo-replicated because the same individual can be present in different dyads. 284 285 Hence, we used randomized procedures via freeware Resampling Procedures 1.3 package by David C. Howell. 286

287 We applied the GLMM to test which fixed factors (Table 3) explained the distribution of yawning frequency (Y/min), which was introduced as a dependent variable. The fixed factors 288 included: sex, age, rank (calculated via Normalized David's Score values), experimental condition 289 (yawn vs control), type of stimulus (avatar vs unfamiliar gorilla), self-directed behaviour (see Table 290 291 3 for details). The individual and group identities were introduced as random factors (Table 3). Via the Anderson–Darling test (EasyFit 5.5 Professional software), we found that the distribution which 292 best fit the dependent variable was the gamma distribution. For this reason, we selected the gamma 293 294 log-link function to run the GLMM. We tested models for each combination of variables of interest, spanning from the null model to the model including all the fixed factors (full model). We also 295 296 tested all the interactions between the different variables related to either yawner characteristics or 297 contextual characteristics (Table 3). To select the best model, we used the Akaike's Corrected Information Criterion (AICc), a measure for comparing mixed models based on the -2 (Restricted) 298

log likelihood. The model with a lower value of AICc was considered to be the best model. To 299 measure the extent of improvement of the best model compared to the next best models, we 300 calculated the difference ( $\Delta AICc_i$ ) between the AICc value of the best model and the AICc value 301 for each of the other models. We considered as competing the models showing a  $\Delta AICc < 6$ 302 (Symonds & Moussalli, 2011). To assess the relative strength of each candidate model, we 303 employed  $\triangle AICc_i$  to calculate the Akaike weight ( $w_i$ ). The  $w_i$  (ranging from 0 to 1) is the weight of 304 evidence or probability that a given model is the best model, taking into account the data and set of 305 candidate models (Symonds & Moussalli, 2011). 306

# 307 **RESULTS**

# 308 Grooming, contact sitting, spatial proximity and agonistic support

We evaluated the levels of affinitive interactions (grooming, contact sitting and spatial proximity) 309 and agonistic support in both family and bachelor group. In the family group, the mean individual 310 311 rates (= hourly frequency/number of individuals available in the group) of grooming, contact sitting and spatial proximity were 0.001  $\pm$ 0.001 SE, 0.030  $\pm$ 0.011 SE and 0.077  $\pm$ 0.011 SE, respectively. 312 313 In the bachelor group, the mean individual rates (= hourly frequency/number of individuals 314 available in the group) of grooming, contact sitting and spatial proximity were 0.000  $\pm 0.000$  SE,  $0.030 \pm 0.018$  SE and  $0.051 \pm 0.012$  SE, respectively. In particular, throughout the study period we 315 recorded only four grooming sessions between a single related dyad in the family group (i.e. Sheila 316 and Sawa). Five individuals of both groups never stayed in body contact with fellows (i.e. contact 317 sitting). 318

The mean individual level of agonistic support (number of support/number of witnessed aggression) was  $0.005 \pm 0.003$  SE for the family group and  $0.007 \pm 0.005$  SE for the bachelor group. In the family group, we recorded six cases of support (only between related dyads, i.e. mother-offspring and siblings) on 136 agonistic encounters recorded; in the bachelor group, we recorded only two cases of agonistic support on 106 aggressive contacts.

## 325 *Experimental trials using videos*

Eleven subjects were tested for all the four trials (avatarY; avatarC; gorillaY; gorillaC), only one subject was tested for two trials (gorillaY; gorillaC). The ANOVA two-way repeated measures test revealed that the attentional time of the tested subjects was not affected by any of the following factors: Avatar/Gorilla stimuli ( $F_{(1,10)}=0.769$ , df=10, p=0.401; Effect size partial eta-squared: 0.003), Y/C condition ( $F_{(1,10)}=0.025$ , df=10, p=0.877; Effect size partial eta-squared: 0.071) and Avatar/Gorilla\*Y/C ( $F_{(1,10)}=1.818$ , df=10, p=0.207; Effect size partial eta-squared: 1.154).

The ANOVA two-way repeated measures test revealed that the yawning response of the tested subjects was not affected by any of the following factors: Avatar/Gorilla stimuli ( $F_{(1,10)}=1.468$ , df=10, p=0.254; Effect size partial eta-squared: 0.128), Y/C condition ( $F_{(1,10)}=0.005$ , df=10, p=0.945; Effect size partial eta-squared: 0.001) and Avatar/Gorilla\*Y/C ( $F_{(1,10)}=1.700$ , df=10, p=0.222; Effect size partial eta-squared: 0.145) (Figure 1).

We also carried out the Anova two-way repeated measures excluding immature individuals. The ANOVA revealed that the yawning response was not affected by any of the following factors: Avatar/Gorilla stimuli ( $F_{(1,7)}=0.140$ , df=7, p=0.720; Effect size partial eta-squared: 0.020), Y/C condition ( $F_{(1,7)}=1.199$ , df=7, p=0.310; Effect size partial eta-squared: 0.146) and Avatar/Gorilla\*Y/C ( $F_{(1,7)}=2.426$ , df=7, p=0.163; Effect size partial eta-squared: 0.257).

There was no difference in the frequency of yawning between the family and the bachelor group in response to the four videos (avatarY: Mann-Whitney U=10.00, N<sub>family</sub>=8, N<sub>bachelor</sub>=3, p=0.745, Effect size z-score =-0.157; avatarC: Mann-Whitney U=4.50, N<sub>family</sub>=8, N<sub>bachelor</sub>=3, p=0.170, Effect size z-score =-0.503; gorillaY: Mann-Whitney U=6.00, N<sub>family</sub>=8, N<sub>bachelor</sub>=3, p=0.321, Effect size zscore=-0.428; gorillaC: Mann-Whitney U=6.00, N<sub>family</sub>=8, N<sub>bachelor</sub>=3, p=0.321, Effect size z-score =-0.428).

Via GLMM, we explored which variables explained the frequency of yawn response. We found five competing models (AICc<sub>min</sub>=41.964; AICc<sub>max</sub>=42.925; Table 4) with the random factor variance ranging from 0.002 to 0.038 (0.745 $\leq$ p $\leq$ 0.983). Each of the five models contained the variable SELFDIRECTED which was the only one that had a significant effect and remained in all models (Table 4). The model including the intercept only had an AICc of 49.324 and the full model was the worst one (AICc=50.381). The analysis of correlation via randomization revealed a significant positive relation between yawn response and self-directed behaviours (r=0.467; N<sub>trials</sub>=46; p=0.001; Figure 2). In the video setting, the frequency of SELFDIRECTED behaviours (SDB/min) did not differ between the yawn (Y) and control condition (C) (paired-sample randomization test t=0.725, N=23, p=0.472, Effect size z-score = 0.151).

## 358 Naturalistic observation

We recorded a total of 365 yawns. The baseline yawn activity (number of yawns/hours of observation) between the family (mean 0.279  $\pm$ 0.085SE) and the bachelor group (mean 0.478  $\pm$ 0.148SE) was not significantly different (Mann-Whitney U=16.0; N<sub>family</sub>=11; N<sub>bachelor</sub>=5; p=0.221; Effect size z-score =-0.326).

363 The frequency of yawns performed in absence of direct visual contact with the trigger (no perception of the yawn emitted by the trigger, spontaneous yawn) was comparable to the frequency 364 365 of yawns performed after the perception of the yawn emitted by the trigger (direct visual contact with the yawning trigger, contagious yawn) (individual mean yawn/stimulus undetectable = 0.098366  $\pm 0.021$ SE; individual mean yawn/stimulus detectable = 0.082  $\pm 0.025$ SE; paired t test; t=- 0.509, 367 df=14, p=0.619; Effect size z-score =-0.131; Figure 3). One subject that received only one stimulus 368 was excluded from the analysis (Kajolu); all the other subjects were exposed to at least 3 detectable 369 stimuli. In the family group, adult females were not infected by the yawns emitted by the silverback 370 (Asato). One female (Kabinda) yawned only once after Asato's yawns. 371

The frequency of yawning associated with self-directed behaviours (scratching/self-grooming performed during a yawn) was significantly lower than the frequency of yawning not associated with self-directed behaviours (no self-scratching/self-grooming associated with a yawn) (Wilcoxon T=7.50; ties=1; N=16; p=0.001; Effect size z-score =-0.746; Figure 4).

#### 377 **DISCUSSION**

The results show that, in our study groups of gorillas, yawn contagion was not found in either the 378 naturalistic (Figure 3) or video setting (Figure 1) (Social relationship hypothesis supported). In both 379 settings the frequency of yawns following the yawning stimulus (yawn condition) did not 380 significantly differ from the control condition (mouth opening and closing in the video setting and 381 no detectable yawn in the naturalistic setting). In the video setting, yawns were released from 382 unknown gorilla individuals (and avatar) whereas in the naturalistic setting yawns came from 383 familiar subjects (group-mates). Therefore, the absence of yawn contagion in our study groups 384 cannot be related to the unfamiliarity between subjects. Moreover, the inability to find yawn 385 386 contagion in our gorilla groups cannot be ascribed to their low rates of spontaneous yawns because our results show that the frequency of spontaneous yawning recorded in gorillas 387 (yawn/hour/individual: mean  $0.341 \pm 0.075$  SE) tends to be higher than the frequency recorded in 388 389 geladas (yawn/minute/individual: mean 0.085 ±0.035 SE calculated from Leone, Ferrari & Palagi, 390 2014) and in the other African great apes (bonobo yawn/minute/individual: mean 0.143  $\pm 0.043$  SE, 391 Demuru & Palagi, 2012; chimpanzee yawn/minute/individual: mean 0.130 ±0.025 SE, calculated 392 from Campbell & de Waal, 2011), all species in which yawn contagion was found.

In the experimental condition (video setting), self-directed behaviours partly influenced the distribution of yawning frequencies (Table 4 and Figure 2) but the levels of self-directed behaviour did not significantly differ between yawn and control condition, which suggests that anxiety may have affected yawning in a similar way in the two conditions.

There is behavioural and pharmacological evidence that self-directed behaviours, including selfscratching and self-grooming, are good indicators of anxiety in primates, from lemurs to apes and humans (Maestripieri, Schino, Aureli & Troisi, 1992; Norscia & Palagi, 2016; Palagi & Norscia, 2011; Schino, Perretta, Taglioni, Monaco & Troisi, 1996; Troisi, 2002). Yawning itself has been found to be linked to anxiety in strepsirhine and haplorhine primates (Maestripieri et al., 1992; Troisi, 2002; Zannella, Norscia, Stanyon & Palagi, 2015). Moreover, "tension yawns" related to

conflict situations and possible arousal were described in geladas (Leone et al., 2014), Tonkean 403 macaques (Zannella, Stanyon & Palagi, 2017), and chimpanzees (Vick & Paukner, 2010). Even 404 though yawning in our groups may have been also related to anxiety, it is not possible to conclude 405 406 that anxiety is the main factor responsible in suppressing yawn contagion when animals are in their social context. As a matter of fact, under the naturalistic condition, yawning was not temporally 407 associated with self-directed behaviours (Figure 4). Moreover, the increase of scratching observed 408 in the experimental setting does not necessarily imply a negative effect on contagious yawning. In 409 humans, for example, the increase of cortisol following the administration of a stressful stimulus 410 has been hypothesized to increase all yawning (Thompson, 2014). However, the relationship 411 between yawn contagion and anxiety in human and non-human primates deserves further 412 investigations. 413

Failing to find yawn contagion in lowland gorillas might at first sound counter-intuitive due to 414 415 the high levels of cognition of this species and the close phylogenetic relationship with other great apes and humans (Scally et al., 2012; de Lathouwers & van Elsacker, 2006). However, following 416 417 the bottom-up approach proposed by de Waal & Ferrari (2010) and the Russian doll model of 418 empathy (de Waal & Preston, 2017), the expression of basic empathy via emotional contagion does not necessarily require complex cognitive abilities and can be the outcome of a pre-conscious 419 mechanism. High cognition is not sufficient per se to assume that emotional contagion is present 420 because this phenomenon is also strictly related to the activity of subcortical areas (e.g. amygdala, 421 insula, hippocampus) in mice and humans (Choi & Yeung, 2017; Sturm, Yokoyama, Seeley, 422 Kramer, Miller & Rankin, 2013). 423

On the other hand, emotional contagion, including yawn contagion, is affected by the relationship quality between individuals and social closeness (de Waal & Preston, 2017). This is expected considering that the adaptive role of empathy is to favour prosocial behaviour and cooperation leading to the increase of direct and indirect fitness (Decety, Bartal, Uzefovsky & Knafo-Noam, 2016). Indeed, the inability to find yawn contagion in our groups of gorillas seems to

support the hypothesis that inter-individual social affiliation more than social structure or shared 429 430 biological features (e.g. neural complexity related to shared phylogeny) is crucial to yawn contagion (Social relationship hypothesis supported). In this study, we found that the level of social affiliation 431 432 (measured via spatial proximity, grooming, contact sitting and agonistic support) was virtually close to zero in both the family and the bachelor group. This result is consistent with the findings of a 433 comparative study carried out by Cordoni et al. (2018) including the same gorilla family group as 434 the present study, in which the authors demonstrated that social affiliation was strikingly lower in 435 gorillas than in chimpanzees. Although in the gorilla society the silverback plays the central role in 436 protecting and maintaining the integrity of the social group (Harcourt & Stewart, 2007), the 437 yawning stimuli emitted by the silverback did not elicit any response in the females of our family 438 group. 439

Two previous studies have shown that social cohesion between individuals can become the 440 441 factor that is most important in eliciting yawn contagion, even more than inter-specific differences (Campbell & de Waal, 2014; Palagi et al., 2014). In a direct comparison between bonobos and 442 443 humans, Palagi et al. (2014) found that yawn contagion rates were not affected by the species the individuals belonged to when the individuals shared weak social bonds. Campbell & de Waal 444 (2014) also found that the rate of chimpanzee response to triggering yawns was similar when the 445 stimulus came from an in-group chimpanzee and from a human subject, thus demonstrating that the 446 response can go beyond the species boundary. Silva and coworkers (2012) not only showed that 447 dogs were able to respond to human yawns, but also found that dogs yawned more at yawns 448 released by familiar than unfamiliar human subjects. Recently, Tan et al. (2017) found that bonobos 449 450 are infected by yawns of strangers and familiar subjects at similar rates. However, in humans, chimpanzees, bonobos and wolves closely bonded individuals showed higher levels of yawn 451 452 contagion compared to weakly bonded individuals (Campbell & de Waal, 2011; Demuru & Palagi, 2012; Norscia & Palagi, 2011; Palagi et al., 2014; Romero, Ito, Saito & Hasegawa, 2014). The 453 inability to find yawn contagion in these gorillas may be linked to their lower levels of social 454

affiliation compared to other species. This view is reinforced by the fact that yawn contagion is
expressed in geladas (Palagi et al., 2009), which share with gorillas a similar basic social structure
but possess higher levels of social affiliation compared to gorillas (Dunbar & Dunbar, 1975;
Kummer, 1971). It seems therefore that inter-individual spatial association does not equate with
social closeness.

Emotional contagion through facial mimicry can enhance affective and behavioural synchronization with others (de Waal & Preston, 2017; Couzin, 2007) and, for this reason, contagion might have acquired an important adaptive value in social groups that are built upon solid inter-individual relationships. When the factor keeping a group together is mainly spatial proximity (as it is the case of adult gorilla females aggregated around the silverback) the selective pressure over the mechanisms promoting behavioural and emotional matching, including yawn contagion, may have weakened.

467 Some scholars have pointed out that low frequencies of yawn contagion might reflect low attention to the stimulus, which can vary depending on the stimulus source (e.g. familiar vs 468 469 unfamiliar subject; for a review see Massen & Gallup 2017). It could be therefore argued that the 470 low attention that individuals pay to each other in the group makes it difficult for gorillas to express yawn contagion. It is indeed true that the response to a stimulus can be elicited only if the source of 471 the stimulus is detected. In this study, we made sure that the yawning stimulus fell into the 472 stereoscopic visual range of the potential gorilla responders, and in the experimental setting we also 473 controlled for the time that the subject actually looked at the video (Video S1). Despite this control, 474 yawning did not transfer from one gorilla to another. Usui and colleagues (2013) found that children 475 476 with autism spectrum disorder showed yawn contagion as typically developing children when specific measures were taken to ensure that the subjects could detect the video stimulus. In the only 477 478 study published so far on the influence of selective attention on yawn contagion in nonclinical 479 human subjects, Chan & Tseng (2017) found that the perceptual detection sensitivity to yawning expression (the ability to detect a yawn as such) was related to the duration of gaze to the eyes of 480

the stimulus releasing face, but the authors failed to find evidence that eye-gaze patterns modulated 481 contagious yawning behaviour. Previous studies in humans also found that yawn contagion seems 482 not to be sensitive to the number of triggering yawns (Norscia & Palagi, 2011), the sensory 483 modality (auditory, visual or audio-visual) (Arnott, Singhal & Goodale, 2009; Norscia & Palagi, 484 2011) or the visual perspective of the triggering stimulus (yawns in orientations of 90°, 180°, and 485 270° were as potent or nearly as potent as normal, upright, 0° yawns; Provine, 1989, 1996). 486 Campbell & de Waal (2011) found that chimpanzees yawned more frequently in response to in-487 group mate yawns compared to out-group chimpanzee yawns, even though they looked longer at 488 out-group chimpanzee videos. 489

In sum, the existing evidence suggests that attention is important in eliciting the yawning 490 response in so far as it ensures stimulus detection. In this respect, non-conscious processing and 491 bottom-up (stimulus driven) attention and not top-down, selective attention (sensu Bachman, 2011; 492 493 Katsuki & Constantinidis, 2014; Kaya & Elhilali, 2011) is likely to be involved in yawn contagion. 494 Moreover, the level of the yawning response seems not to be sensitive to the level of attentiveness 495 or overstimulation (more than a stimulus). Further studies on larger sample sizes are necessary to 496 understand whether the inability to find yawn contagion in our gorilla groups reflects the actual lack of the phenomenon. If this is the case, it will remain to be clarified whether the absence of yawn 497 contagion is linked to gorillas' scarce baseline attention to conspecifics or to their scarce 498 499 responsiveness to others' stimuli in a society that is characterized by loose social relationships.

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Ethical approval - This article does not contain any studies with human participants performed by any of the authors. This study was approved by University of Pisa (Animal Care and Use Board).
Since the study was purely observational the committee waived the need for a permit. The study was conducted with no manipulation of animals. Gorillas were observed in their home enclosures, including the video presentation. Data were collected on the animals that spontaneously approached the tablet. The animals were never deprived of water and food at any stage and were never isolated from their social group. All animal experiments were carried out in accordance with the U.K.
Animals (Scientific Procedures) Act, 1986 and associated guidelines, EU Directive 2010/63/EU for
animal experiments.

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Data accessibility - The data used for this study are provided as electronic supplementary material. 511 The statistical tools EASYFIT, and SPSS used in this study are proprietary software. However, 512 trials (limited time/limited functionality) can be found online on the producer's websites 513 (EASYFIT: www.mathwave.com; SPSS: https://www-01.ibm.com). The freeware Resampling 514 Procedures 1.3 package David С. Howell 515 by (https://www.uvm.edu/~dhowell/StatPages/ResamplingWithR/ResamplingR.html). 516

517

Authors' contributions - E.P. conceived the study. E.P. and G.C. designed the study. E.P., I.N. and
G.C. performed the video experiments. E.P., I.N. and G.C. analysed videos and data. E.P., I.N.,
G.C. wrote the paper.

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# **Table 1** - The gorilla colonies under study hosted at the ZooParc de Beauval

SUBJECT	SE X	AGE CLASS	YEAR OF BIRTH	KINSHIP	TESTED SUBJEC T
			FAMILY (	GROUP	
Asato (AS)	М	Adult	1991	KH, MY, MS, MP, KU, SA, MA's father	YES
Inge (IN)	F	Adult	1980		YES
Kabinda (KA)	F	Adult	1982	MA, MP, MY, KH's mother	YES
Tamarilla (TA)	F	Adult	1986	Ku's mother	YES
Sheila (SH)	F	Adult	1991	SA, MS's mother	NO
Khala (KH)	F	Adult	2007		YES
Mayombè (MY)	F	Adult	2007		YES
Maïsha (MS)	F	Subadult	2008		YES
Mapenzi (MP)	М	Juvenile	2010		YES
Kwimba (KU)	F	Juvenile	2010		YES*
Sawa (SA)	F	Juvenile	2011		NO
Mayelè (MA)	F	Infant	2013		NO
BACHELOR GROUP					
Yangu (YA)	М	Adult	1983		YES
Kumi (KU)	Μ	Adult	2004		YES
Banjoko (BA)	Μ	Subadult	2006		NO
Sadiki (SA)	Μ	Subadult	2006	KA's brother	NO
Kajolu (KA)	Μ	Juvenile	2010	SA's brother	YES

711 \*Kwimba carried out only two out of four trials (gorilla yawn and gorilla control videos).

<b>A</b>	I	l <sup>1</sup>	1 1	• 4
AGGressive	ana	sunmissive	nengviourgi	ITEMS
	ana	Submissive	Duna viour ai	

	Avoiding An individual moves out of the path when another individual approaches of			
		takes a less direct route around the other		
	Biting	One individual closes its mouth on another's body		
	Brusque rushing	rusque rushingOne individual jumps forcefully with its four limbs on anotherhasing-FleeingOne individual runs in pursuit of another who is rapidly withdrawing		
	Chasing-Fleeing			
	Crouching	An individual bends all four limbs, presses its ventrum to the ground, and		
		may try to travel while in this position, or an individual may crouch while		
		sitting by lowering the head, hunching the shoulders, and often covering the		
		head with an arm		
	Dismissing	One individual performs a brusque movement to keep another away		
	Pulling	One individual grasps another and forcefully brings it closer		
	Pushing	One individual uses arms or legs forcefully to move another away		
	Screaming	Frightened vocalization mainly performer during conflicts		
	Slapping	Rapidly charging toward fellows individual slaps it with an open hand		
	Stamping	Jumping forcefully on another individual or on an object		
726	Table 2 - Aggressiv	e and submissive behavioural patterns used to classify the agonistic contacts in		
727	this study (Palagi et	al., 2008). The agonistic contacts were used to create a socio-matrix for the		
728	calculation of the inc	of the individual Normalized David's Score to be included as fixed variable in the		
729	GLMM.			
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**Table 3** - Description of the variables used in GLMM analyses of yawn response.

ТҮРЕ
Scale
Nominal (0=Male; 1=Female)
Scale
Scale
Nominal (0=Control; 1=Yawn)
Nominal (1=Avatar; 2=Unfamiliar gorilla)
Scale
Nominal (1=family group; 2=bachelor
group)*Initials

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<b>GLMM</b> <sub>1</sub> (AIC <sub>1</sub> =41.964;	$\Delta AIC_{1-1}=0.000;$	wi=0.225;	wi*100=22.55;	Wbest/wi=1.000)
Fixed variable/s	F	df1	d	f2 P
Selfdirected	6.180	1	1	6 0.024
Y_C	2.547	1	1	6 0.130
<b>GLMM</b> <sub>2</sub> (AIC <sub>2</sub> =41.982;	$\Delta AIC_{2-1}=0.018;$	wi=0.224;	wi*100=22.35;	Wbest/wi=1.009)
Fixed variable/s	F	df1	d	f2 P
Selfdirected	7.476		1	17 0.014
<b>GLMM</b> <sub>3</sub> (AIC <sub>3</sub> =42.149;	$\Delta AIC_{3-1}=0.185;$	wi=0.206;	wi*100=20.56;	Wbest/wi=1.097)
Fixed variable/s	F	df1	d	f2 P
Selfdirected	5.244	1	1	6 0.036
Sex	0.01	1	1	6 0.920
	0			
<b>GLMM</b> <sub>4</sub> (AIC <sub>4</sub> =42.791;	$\Delta AIC_{4-1}=0.827;$	wi=0.149;	wi*100=14.92;	Wbest/wi=1.512)
Fixed variable/s	F	df1	d	f2 P
Selfdirected	6.444	1	1	6 0.022
AVATAR_GORILLA	0.024	1	1	6 0.879
GLMM5 (AIC5=42.925;	$\Delta AIC_{5-1}=0.961;$	wi=0.139;	wi*100=13.95;	Wbest/wi=1.617)
Fixed variable/s	F	df1	d	f2 P
Selfdirected	4.712	-	1	15 0.046
AVATAR_GORILLA	0.019	1	1	5 0.891
Sex	0.013	1	1	5 0.910

**Table 4** - GLMM results of the 5 best competing models. AIC=Akaike Information Criterion;

764 wi=Akaike weight; Wbest= best value of Akaike weight

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780	FIGURE AND SUPPLEMENTARY VIDEO LEGENDS
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782	Figure 1 (experimental phase) - Number of yawns per minute (mean ±SE) performed in relation
783	to the different trials proposed to subjects (avatar yawn; avatar control; gorilla yawn; gorilla
784	control).
785	Figure 2 (experimental phase) - Scatterplot showing the correlation between the frequency of self-
786	directed behaviours (self-scratching, self-grooming, nose wiping, and head shaking) and yawning
787	calculated on the total of trials performed (avatar yawn video; avatar control video; gorilla yawn
788	video; gorilla control video).
789	Figure 3 (naturalistic observation) - Number of yawns per stimulus (mean ±SE) performing in the
790	3-min time window after the perception of the yawn emitted by the trigger (detectable stimulus =
791	yawn condition) and in the absence of direct visual contact with the trigger (undetectable stimulus =
792	baseline condition).
793	Figure 4 (naturalistic observation) - Boxplot showing the hourly frequency of yawning associated
794	with self-directed behaviours (scratching/self-grooming performed during a yawn) and NOT
795	associated with self-directed behaviours (no self-scratching/self-grooming performed during a

- yawn). The box plots show the median and 25th and 75th percentiles; the open dots are outliers
- more than 1.5x IQR from the rest of the scores.
- 798 Video S1 A juvenile male of lowland gorilla motivated to watch the screen
- 799 Video S2 An adult female of lowland gorilla not motivated to watch the screen
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- 805 Figure 1
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819 Figure 3



823 Figure 4