

Editorial Board  
Climate of the Past

Dear Prof. Alberto Reyes

Reply to reviewer comments on MS No.: cp-2019-138

We thank both reviewers for their time and effort in reviewing our manuscript “Aridification signatures from fossil pollen indicate a drying climate in east-central Tibet during the late Eocene”. Below we provide responses to their comments with line numbers indicating where we have made changes, and include a separate marked-up manuscript version below showing the changes made.

*\*Please be advised, line numbers below refer to lines in the marked up version of the document, not the clean copy.*

Review: Anonymous Referee #1

*1. The authors discussed the aridification on the Tibetan Plateau (TP) during the middle to late Eocene based on a palynological study from Nangqian Basin in northeastern TP. This work provides fundamental and important data for the evolution of plant diversity as well as paleoenvironmental change on the plateau.*

We would like to thank the reviewer for their time in reviewing our manuscript, and for their insightful comments which have helped to improve the work.

*2. Firstly, the authors need to clarify the position of Nangqian Basin on the TP, it seems that their statement is not consistent throughout the MS. In lines 50-51, it is “The uplifting, large-scale thrusting and striking of the TP caused several Paleogene intracontinental basins to form within the northern TP, including the Nangqian Basin”; but in lines 80-81, it is “The location of the Nangqian Basin on the east-central part of the TP”.*

We apologise for the error and have ensured this is consistent in the revised manuscript: in lines 84-85 we have revised the sentence to “The uplifting, large-scale thrusting and striking of Tibet caused several Paleogene intracontinental basins to form within the northern and central Qinghai-Tibetan region, including the Nangqian Basin”.

*3. There is few evidence to indicate that the aridification in central Asia related to this northeastern part of the TP, actually, they belong to two different tectonic units. Therefore, it is beyond the scope of this study to use palynological evidence from northeastern TP to discuss the aridification of central Asia.*

We appreciate the comment of the reviewer. While uplift of the TP has traditionally been invoked to explain the onset of Asian aridification, retreat of the proto-Paratethys Sea in the Eocene has now also been shown as a major factor (Kaya et al., 2019). This sea extended from the Mediterranean Tethys to the Tarim Basin in western China, and through moisture transport via the westerlies, constituted a major moisture source to the Central Asian interior (Bougeois, 2014; Bougeois et al., 2018; Caves et al., 2015) despite its eastern extent being thousands of kilometres (roughly equidistant) from both the Xining and Nangqian basins.

Both Northern Tibet (Xining Basin) and Central Asia (east-central Tibet: Nangqian Basin) have received moisture dominantly via the westerlies, which have maintained a semi-arid to arid climate in Central Asia since the early Eocene (Caves Rugenstein & Chamberlain, 2018). Therefore, we argue that aridification in both parts of Tibet is indeed related to a single, large-scale atmospheric transport system operating over this part of the TP during the Eocene, which justifies our comparison of palynological records. We have now inserted further discussion on this in [lines 98-103](#).

An additional reason we use NE Tibet for more detailed comparison and age correlation is that this is one of the few sections on the TP that is both time-extended (Paleocene–Oligocene; Dupont-Nivet et al., 2008, 2008; Hoorn et al., 2012; Bosboom et al., 2014) and has good independent age control throughout. We now discuss this in [lines 359-361](#). This allows to observe long-term trends in palynomorph variation through time, so that correlations between different sections can be based on real vegetation changes instead of possible short-term fluctuations that would not be detected in less time-extensive sections.

*4. The authors need to use quantitative method (such as the pollen/spore percentage to evaluate if they might be in-situ or not) to discuss paleoelevation/ paleoclimate in Nangqian Basin with palynological data, because the downslope transport of pollen/spores from taxa living on high elevations could disturb their paleoenvironmental signals.*

Palynological assemblages generally reflect the regional vegetation, except in particular environmental settings such as coal swamps in which the autochthonous palynomorph content can be up to 100% (Traverse, 2007). Therefore, it is expected that the assemblage will not only record vegetation that was present at the site itself but also the wider area, and this is beneficial as it reflects regional climate instead of conditions that could be locally controlled. By the middle-late Eocene on the TP, it becomes clear that palynological assemblages reflect a vertical zonation of vegetation, and the existence of surrounding higher elevations (e.g., Hoorn et al., 2012; Wu et al., 2018).

Accordingly, many significant works on the palaeoelevation and palaeoclimates on the TP (e.g., Song et al. 2010; Hoorn et al., 2012; Miao et al., 2013; Sun et al. 2007, 2008; Miao et al., 2016; Wu et al. 2018) have used palynology without applying quantitative methods to determine whether all the palynomorphs were deposited at site, because it is already known this is not the case. In our section the percentage of spores is high relative to other TP basins (see Miao et al., 2016 for a synthesis of previous records), suggesting a significant proportion of deposition at site, and we have inserted discussion on this into the revised manuscript in [lines 234-241](#). We also reference studies indicating that pollen assemblages provide a good reconstruction of the regional vegetation, which is our aim.

In recognition of the fact that our assemblage reflects the regional vegetation, we do not use palynology to calculate precise climatic parameters such as mean annual temperature or mean annual precipitation. We are also cautious about allowing taxa from a potentially significantly different elevation to influence the paleoenvironmental analysis. In Section 5.3: Elevational implications, we discuss in detail the difficulties of calculating palaeoelevation based solely on palynology, including the issue of arboreally transported pollen. Because of this factor, we did not use conifers or other taxa prone to longer-distance transport (e.g., *Alnus*, *Betula*) to estimate palaeoclimatic conditions.

*5. The authors should compare their results with recent studies from adjacent basins including Gonjo Basin and Markam Basin.*

We agree with the point of the reviewer. We included a discussion of recent stable isotope data from the Gonjo Basin (Tang et al., 2017; [lines 555-558](#)) and macrobotanical remains from the Markam Basin (Su et al., 2018; [lines 527-530](#)).

Regarding palynological data from both of these basins, unfortunately there are not yet detailed enough records that allow for comparison with our palynological section. Macrobotanical remains are available from the Eocene Markam Basin (Su et al., 2018), but palynological records are Miocene: J.-R. Tao, N.-Q. Du, Miocene flora from Markam County and fossil record of Betulaceae. *Acta Bot. Sin.* 29, 649– 655 (1987).

We are aware of two publications from the Gonjo Basin referencing pollen:

- 1) “BGMRX, 1993. Regional Geology of Xizang (Tibet) Autonomous Region. Geol. Mem., vol.1. Geological Publishing House, Beijing” which contains a short mention of some species from the tops of the Gongjue Formation and Lawula Group but unfortunately no percentage data or information about the Ranmugou Formation; and
- 2) “Studnicki-Gizbert, C., Burchfiel, B.C., Li, Z. and Chen, Z., 2008. Early Tertiary Gonjo basin, eastern Tibet: Sedimentary and structural record of the early history of India-Asia collision. *Geosphere*, 4(4), 713-735” which reports only 3 very poorly preserved palynological samples.

We now reference these studies in the text, and did our best to add other relevant records from adjacent basins. We also present a new section from the Jianchuan Basin in Fig. 3, which provides an additional comparison from the southern part of the plateau.

*6. I do not think that the geological age could be well constrained by palynological evidence such as Ephedra, which has quite rich fossil record throughout the Cenozoic.*

Indeed, the record of *Ephedripites* pollen is particularly good in the Cenozoic of Asia. However, the age of our section has been determined using a variety of different constraints, including K–Ar ages, zircon U–Pb age data, and biostratigraphic means. This is discussed in detail in Section 5.1: Age assignment in the main manuscript.

Firstly, emplacement ages from shoshonitic lavas and felsic and porphyry intrusions that are either interbedded with, or unconformably overlie, the lacustrine to alluvial Nangqian strata were used to determine a minimum age of ~37–38 Ma for the RZ section. This is congruent with palynological evidence for the overall age of the sampled strata (lines 329-341).

Next, biostratigraphic correlation between assemblage from the RZ section and other parts of the Tibetan Plateau (Fig. 3) provides a refinement of the age to middle–late Eocene (lines 342-353).

Subsequently, we propose that the relative abundances of *Ephedripites* (*Ephedripites*) and *Ephedripites* (*Distachyapites*) can further constrain the age to late Eocene (Bartonian), as at this point *Ephedripites* (*Distachyapites*) became more abundant than *Ephedripites* (*Ephedripites*), which is common in the Cretaceous (Han et al., 2016; Bolinder et al., 2016). In NE Tibet this change has been determined to be from ~39 Ma onwards, but we agree that this may not have occurred across the TP simultaneously. Expanded discussion on this is now included in the revised manuscript to justify use of this approach (lines 367-370).

Furthermore, we agree that it is challenging to determine a precise age from palynology, and hence we adopt a more cautious approach by assigning an age range (Bartonian) for our section rather than a specific age for each of the pollen zones.

*7. How could the authors suggest a tropical forest in Zone II with data from few taxa? There should be much higher plant diversity and more thermophilic species in the assemblage if it is a real ‘tropical forest’.*

The reviewer makes a valuable point. We apologise for not making this clear in our original text. As pointed out by the reviewer, the palynology does not indicate the existence of a real ‘tropical forest’ during Zone II but only an increase in regional input of some tropical taxa. While this suggests a temporary warming period, it does not

mean a complete biome transition from steppe vegetation to forest. We have modified the text to reflect this in lines 316 and 387-389.

Current evidence however suggests that this zone is distinct and represents a change in regional climate. We have now modified the text in lines 406-415 to make this clearer:

Firstly, this zone shows a large decrease in steppe-desert pollen which is not observed in the other zones of this section (average 9% steppe-desert pollen in Zone II vs 38% (Zone I) and 32 % (Zone III)), nor later in the Eocene in the Nangqian Basin (Yuan et al., 2017).

There is also a spike in the ancestral *Ephedra* type during Zone II, and this is also not observed elsewhere in this section or that of Yuan et al. (2017). This spike in ancestral *Ephedra*, together with an increase in warm forest, are only observed between 41-39 Ma in the Xining Basin, NE Tibet (Hoorn et al., 2012; Han et al., 2016).

We are also confident that the pollen in Zone II do not represent reworking or contamination, as the palynomorphs from these samples were not degraded or compressed to a greater degree than palynomorphs from the rest of the section, and of a similar colour and appearance.

Lastly, the tropical forest spike in Zone II of the RZ section is unusual and also not observed elsewhere in this section or elsewhere in Nangqian in the Eocene (Yuan et al., 2017) or the late Paleocene–early Eocene of Nangqian (Barbolini et al. 2018; Barbolini, unpublished data), however we recognise that this spike is only present in one sample, and therefore further investigations should be made in Nangqian and other parts of the Tibetan Plateau to corroborate this finding. We discuss this limitation in the Discussion section (lines 398-406).

*8. I suggest the authors to change the title. Why could the authors conclude a ‘widespread’ drying across the Tibetan Plateau mainly based on palynological study from one site in northeastern part of the plateau? The authors need to clarify it in the title even they have used data already published from different parts of the plateau in the analyses. It is not accurate to use the word ‘pollen’, which only includes seed plants (angiosperm and gymnosperm). It is ‘spore’ in ferns, which the authors also observed in the sediment.*

We are aware that both spores and pollen are present in the samples as illustrated in Plates I–III, however the use of the word “pollen” in the title refers to the progressive aridification observed from key pollen species in the samples, and therefore its use is accurate in that case. Throughout the main manuscript, we have ensured that when the term “pollen” could also include spores, this has been changed to “palynological” to avoid ambiguity.

We agree the title should be modified and contracted to focus on the present results. It has now been changed to “Aridification signatures from fossil pollen indicate a drying climate in east-central Tibet during the late Eocene”.

*9. The authors did not demonstrate on SEM method they used for taxonomic identification; moreover, they did not tell why only few pollen/spore s morphotypes were observed by SEM as shown in Plate III.*

As is standard for palynostratigraphic studies, we used primarily LM (light microscopy) to identify, count, and photograph the pollen and spores present in the samples (e.g., Traverse, A., 2007, Paleopalynology, 2nd ed. Springer, Dordrecht, Appendix: Palynological Laboratory Techniques and p. 53: “light microscopy is the workhorse method for study of palynomorphs, and this will remain the case for the immediate future”).

The SEM plate is included primarily to illustrate the appearances of *Ephedripites* (*Ephedripites*) and *Ephedripites* (*Distachyapites*) under SEM as well as some other key species in different palynozones of the studied section. SEM was not necessary for taxonomic identifications of all of the pollen and spores present,

thus duplicate SEM plates showing the same palynomorphs as Plates I and II were not included. This explanation has been added to the Methods section for clarity (lines 201-204).

10. *Figure 1: The southeastern marginal part of Qiangtang Terrane should be much narrower than shown.*

We apologise for this error; this has been amended and the Songpan-Ganzi Terrane also marked in a redrawn geological map for Fig. 1.

11. *The authors need to uniform the format of cited references: a few references are listed by full author names, and they are not in chronological order (e.g., Line 42); both 'and'/'&' (Line 321) occur in cited references.*

The references have been double-checked for consistency and these errors amended.

#### Review: Anonymous Referee #2

1. *This manuscript, entitled, "Aridification signatures from middle-late Eocene pollen indicate widespread drying across the Tibetan Plateau after 40 Ma" by authors Yuan et al., presents a detailed and well-written new palynological study worth of publication in *Climate of the Past*. The new work on the RZ section from the Nangqian Basin may become a valuable contribution to the understanding of the climatic and tectonic histories of Tibet.*

We would like to thank the reviewer for their positive evaluation of our manuscript, and for their insightful comments which have helped to improve the work.

2. *First, the authors should do a better job disclosing, both in the text as well as figures, where in the stratigraphic sections and to which zone each of the 21 productive samples belongs. For example, this should be clear for zone II, which the authors interpret as MECO: are these interpretations based on a single sample? Such bold regional or global claims should be substantiated not only by robust evidence within the section but also corroborating evidence published elsewhere. I suggest the authors not only plot their samples on their stratigraphic sections (e.g. Figs 2, 3 and 4) but also discuss the statistical limitations of their samples (Zone II has only 2 samples; Zone III has 3).*

We agree with this point; based on comments from both reviewers we have decided to adopt a more cautious approach to our age assignment due to the limited number of samples, and have assigned an age range (Bartonian; 41.2–37.8 Ma) to our section rather than a specific age to each of the pollen zones. We now mention explicitly that Zone II contains only 2 samples and Zone III has 3 in lines 398-407, and this places statistical limitations on our interpretations. We further mention that a correlation to the MECO cannot be confidently made on the basis of this single sample, and thus we do not date the individual pollen zones (lines 406-407). Rather, the palynological evidence, together with the K–Ar ages and zircon U–Pb age data, indicates a Bartonian (41.2–37.8 Ma) age for the section (lines 421-424).

However, we suggest that Zone II represents a regional change in climate based on the spike in thermophilic pollen, the large decrease in steppe-desert pollen, and a spike in the ancestral *Ephedra* type, all of which can

also be observed in northeast Tibet in the Bartonian, thus it appears there is a change at this time (lines 406-415).

In the original manuscript the productive samples were plotted on Fig. 2, and we now also do this on Fig. 4. To do this on Fig. 3 is challenging because of the reduced interval of time the studied section encompasses compared to other sections across the TP. Expanding the figure to allow 21 samples to be plotted on the studied section would render the figure too large for publication.

*3. Further, I think the manuscript could benefit from additional discussion and a new figure similar to figure 3 that compares the palynological record presented here with non-palynological data such as stable isotope data from the region.*

Unfortunately, we did not obtain stable isotope data during our study and generating a new figure on this spanning the TP is outside the scope of this study, but our record is now compared in the text with recent studies presenting these data from the Nangqian Basin (Li et al., 2019, GSA Bulletin; lines 483, 555-558, 574-575) and the Gonjo Basin (Tang et al., 2017; lines 557-558).

*4. Second, there are ample opportunities to help this manuscript reach a broader audience. As a non-palynologist familiar with paleoclimate, I repeatedly found myself searching for the significance of some of the findings or the implications of a particular species abundance. This is particularly true for the paleoclimate discussion sections. For example:*

*1) Line 65: Explain the I-AM more.*

We insert discussion on this now in lines 108-111 and 464-466, highlighting how monsoonal circulation in central Tibet has changed since the Paleogene.

*2) Figure 1: These index maps aren't particularly useful. Perhaps something that is more (paleo)geographical or a vegetation map would help with the paleoclimate reconstructions to come?*

The reviewer makes a valuable point. We have redrawn Fig. 1 to incorporate A. a geological map indicating structural features and present altitude, B. an Eocene palaeogeography of the area, and C. a current vegetation distribution map of the Tibetan Plateau which allows for comparison with the reconstructed Eocene vegetation presented later (now discussed in lines 521-533)

*3) Figure 2: The ecological groups (e.g. Pteridophytes) could be better annotated for non-specialists, NLR should be explained, and N/E ratios could be labeled desert/semi-desert and steppe-desert.*

We agree this could have been better explained. We have now annotated Fig. 2 with Pteridophytes (ferns) in the legend and explained the Plant Functional Types (PFTs) and Nearest Living Relatives (NLR) in the figure caption. We tried labelling the N/E ratios as desert/semi-desert and steppe-desert directly in the figure, but found that it looked very squashed and seemed confusing. We rather explain this in the figure caption.

4) Figure 3: Index map could be greatly improved and this study could be highlighted with a different marker. The plant functional types listed here aren't being consistently used throughout the paper (e.g. "temperate broad-leaved forest" etc in figure 2). These should be consistent throughout.

We have replaced the index map with a map illustrating the present vegetation distribution across the Tibetan Plateau. We now also mark on each basin the dominant vegetation that existed through the Cenozoic, and discuss how the vegetation has changed over time in the Qinghai-Tibetan region (lines 521-533).

We highlighted our study with a yellow box to match the map location. We also standardised terminology of the plant functional types (changed in lines 302-304, 307, 308-309, 317, 318, 324, 432, 438, 470, 480) to ensure consistency with Figs. 2, 3 and 5.

5) Figure 4: These taxa should be explained, especially as you go on to stress the importance of Ef/Ed ratios later.

We annotated Fig 4 to better show the ancestral (Ef) and derived (Ed) types, and now explain this in the figure caption as well (lines 381-384).

6) Background on MECO should be developed earlier.

We now introduce the MECO in the Introduction (lines 61-67) first, and then refer to it again in the Discussion (lines 389-394).

7) PFTs should be developed earlier and consistent throughout the text.

We now describe our approach using Plant Functional Types (PFTs) in the Methods section first (lines 207-209) and then again in the caption of Fig. 2 (lines 247-249). We have amended wording in lines 302-304, 307, 308-309, 317, 318, 324, 432, 438, 470, and 480 to ensure consistency with Figs. 2, 3 and 5.

8) More explanation is needed as to why you favor N/E over Ef/Ed.

We now explain this in lines 514-516.

9) Age constraints should include Ma throughout in addition to just stratigraphic stages e.g. line 423.

We have amended this in lines 22, 345, 370, 423 and 586.

1 **Aridification signatures from ~~fossil~~ middle-late Eocene pollen**  
2 **indicate ~~widespread a~~ drying climate in east-central across the**  
3 **Tibetan ~~– during the late Eocene~~ Plateau after 40 Ma**

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19 **Abstract.** Central Asia experienced a number of significant elevational and climatic changes during the  
20 Cenozoic, but much remains to be understood regarding the timing and driving mechanisms of these changes, as  
21 well as their influence on ancient ecosystems. Here we describe the palaeoecology and palaeoclimate of a new  
22 section from the Nangqian Basin in Tibet, northwestern China, here dated as ~~late Lutetian~~–Bartonian (~~late~~  
23 ~~middle~~–41.2–37.8 Ma; late Eocene) based on our palynological analyses. Located on the east-central part of  
24 what is today the Tibetan Plateau, this section is excellently placed for better understanding the palaeoecological  
25 history of Tibet following the India-Asia collision. Our new ~~pollen~~–palynological record reveals that a strongly  
26 seasonal steppe-desert ecosystem characterised by drought-tolerant shrubs, diverse ferns and an underlying  
27 component of broad-leaved forests existed in east-central Tibet during the Eocene, influenced by a southern  
28 monsoon. A transient w~~arming~~ event, possibly ~~–during~~ the Middle Eocene Climatic Optimum (MECO: 40

29 ~~Ma), is reflected in our record by only prompted a temporary increase in regional tropical vegetation taxa and a~~  
30 ~~concurrent decrease in steppe-desert vegetation. In the late Eocene, response, while a drying signature in~~  
31 ~~their palynological pollen record after 40 Ma demonstrates that is linked to~~ proto-Paratethys sea retreat, ~~which~~  
32 caused widespread long-term aridification across the ~~region~~plateau. To better distinguish between local climatic  
33 variation and farther-reaching drivers of Central Asian palaeoclimate and elevation, we correlated key  
34 palynological sections across the Tibetan Plateau by means of established radioisotopic ages and biostratigraphy.  
35 This new palynozonation illustrates both intra- and inter-basinal floral response to ~~Qinghai-Tibetan~~plateau uplift  
36 and global climate change during the Paleogene, and provides a framework for the age assignment of future  
37 palynological studies in Central Asia. Our work highlights the ongoing challenge of integrating various deep  
38 time records for the purpose of reconstructing palaeoelevation, indicating that a multiproxy approach is vital for  
39 unravelling the complex uplift history of ~~Tibet~~the-Tibetan-Plateau and its resulting influence on Asian climate.

40

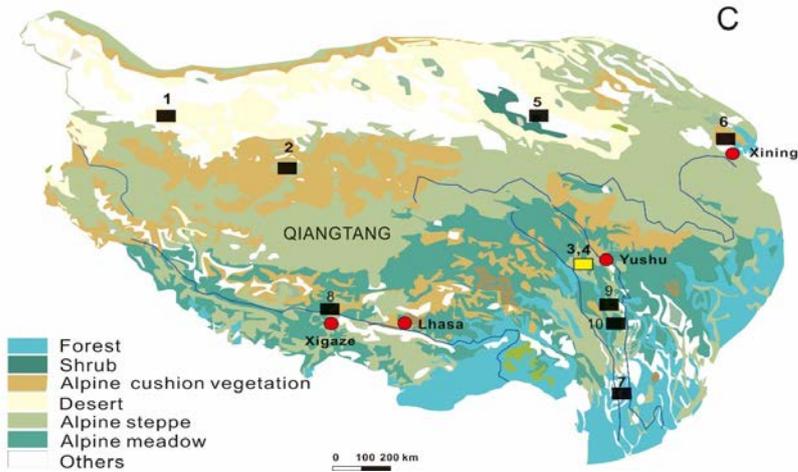
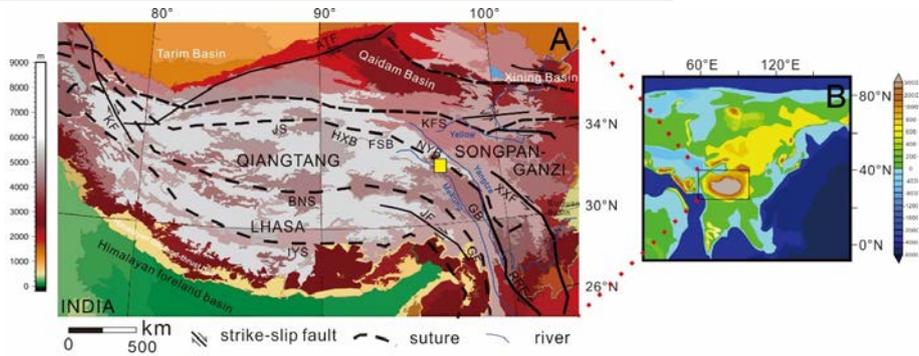
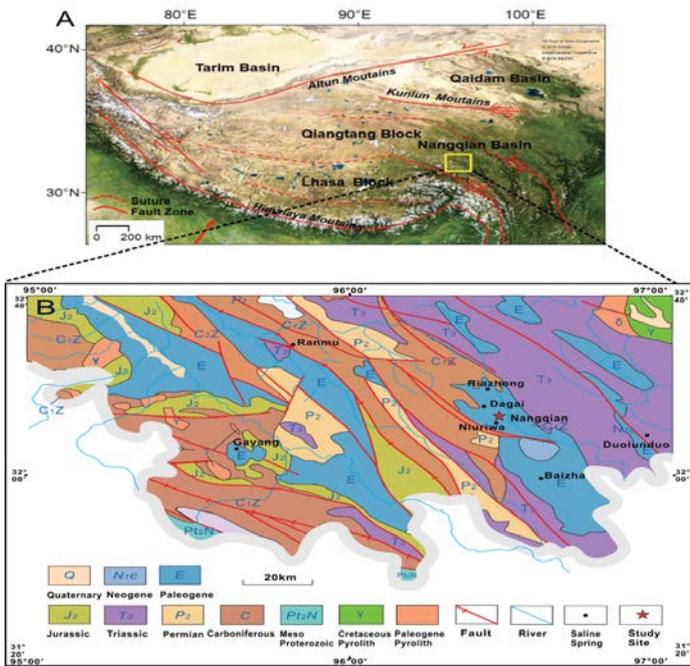
#### 41 **1. Introduction**

42 A series of major geological events occurred during the Cenozoic, which led to a fundamental change in  
43 the global climate (Zachos et al., 2001). The most important events include the formation of the polar ice cap  
44 (e.g., DeConto and Pollard, 2003; Pagani et al., 2011), regression of the proto-Paratethys Sea from Eurasia  
45 (Abels et al., 2011; Bosboom et al., 2014; Caves et al., 2015; Bougeois et al., 2018; Kaya et al., 2019; Meijer et  
46 al., 2019), and uplift of the ~~Qinghai-Tibetan~~ regionPlateau (Dupont-Nivet et al., 2007, 2008; Molnar et al., 2010;  
47 Miao et al., 2012; Hu et al., 2016; Li et al., 2018). Today the Tibetan Plateau (TP) is the highest elevated plateau  
48 in the world, ~~with and was formed as a complex uplift history beyond a simple result of the~~ collision between  
49 the Indian and Asian continents (Molnar and Tapponnier, 1975; Aitchison and Davis, 2001; Wang, C.S., et al.,  
50 2008; Xia et al., 2011; Aitchison et al., 2011; Zhang et al., 2012; Wang, C.W., 2014; Spicer et al., 2020). ~~Here,~~  
51 ~~the term 'Tibetan Plateau' is used in the paper to denote the geographic extent occupied by the modern plateau,~~  
52 ~~but should not be taken to imply that an elevated expanse of low relief topography existed across this region in~~  
53 ~~the Eocene (Spicer et al., 2020).;~~

54 Previous studies indicate that retreat of the proto-Paratethys Sea and the uplift of ~~Tibet~~the-TP as well as  
55 other ranges ~~to the north of the plateau~~, such as the Altai, Sayan, and Hangay (Caves et al., 2014), may have  
56 been responsible for monsoon intensification and aridification across the Asian continental interior in the  
57 Paleogene, although the timing of these mechanisms, and their roles in forcing climate dynamics, are still

58 debated (Caves et al., 2015; Spicer, 2017). In particular, a lack of consensus exists regarding the onset of Asian  
59 aridification, whether it was a Paleogene or Neogene phenomenon, and its relationship with Tibetan uplift  
60 (e.g., Dupont-Nivet et al. 2007; Xiao et al., 2010; Miao et al., 2012; Caves et al., 2015; Liu et al., 2016; Wang et  
61 al., 2018; Li L. et al., 2019; Paeth et al., 2019). Aridification in northeastern Tibet appears to have intensified  
62 after the Middle Eocene Climatic Optimum (MECO; ~ 40 Ma), a short-lived warming event documented in  
63 marine records globally. The drying climate after this event is primarily linked to the second regression of the  
64 proto-Paratethys Sea, which reduced moisture supply via the westerlies to Central Asia (Kaya et al., 2019). In  
65 northeastern Tibet, the regional disappearance of perennial lakes, accompanied by an increase in pollen from  
66 xerophytic plants, marks a permanent aridification step in the Asian terrestrial record after ~40 Ma (Bosboom et  
67 al., 2014); however, these climatic trends are yet to be identified in central Tibet.

68



70 **Figure 1: (A) Topographic-Tectonic map of the Tibetan Plateau (TP) with major sedimentary basins (HXB: Hoh Xil**  
71 **Basin; FSB: Fenghuo Shan basins; NYB: Nangqian-Yushu basins; GB: Gongjo Basin), sutures (JS: Jinsha suture;**  
72 **BNS: Bangong-Nujiang suture; IYS: Indus-Yalu suture), and -major faults (KF: Karakorum fault; ATF: Altyn**  
73 **Tagh fault; KFS: Kunlun fault system; XXF: Xiangshuihe-Xiaojiang fault system; RRF: Red River fault; GF:**  
74 **Gaoligong fault; JF: Jiali fault) indicated, redrawn after Horton et al. (2002). The yellow rectangle indicates the**  
75 **location of this study in the Nangqian Basin. (B) late-middle Eocene (40 Ma) palaeogeographic reconstruction with**  
76 **the Qinghai-Tibetan region indicated by a black rectangle (redrawn after Tardif et al., 2020). (C) Modern vegetation**  
77 **distributions on the Tibetan Plateau with major towns indicated in red (redrawn after Baumann et al., 2009).**  
78 **Numbers indicate the positions of palynological assemblages that are correlated in Fig. 3 and the text: 1. Tarim**  
79 **Basin; 2. Hoh Xil Basin; 3, 4. Nangqian Basin (this study indicated by a yellow rectangle); 5. Oaidam Basin; 6. Xining**  
80 **Basin; 7. Jianchuan Basin; 8. Xigaze Basin; 9. Markam Basin; 10. Gonjo Basin.**  
81 **-Base map US Dept. of State Geographer, ©2018 Google, Image Landsat/Copernicus ©2018 ZENRIN; (B) Simplified**  
82 **geologic map of the study area in the Nangqian Basin (after Han et al., 2018).**

83  
84 The uplifting, large-scale thrusting and striking of ~~Tibet~~the TP caused several Paleogene intracontinental  
85 basins to form within the northern and central Qinghai-Tibetan regionTP, including the Nangqian Basin.  
86 Situated in the Yushu area (Fig. 1), this basin lies directly above the Lhasa terrane, which comprised part of NE  
87 Gondwana in the Late Triassic to Early Jurassic and formed through a subduction-accretion process similar to  
88 that of the later India-Asia collision (Liu et al., 2009). Subsequent to its formation, the Nangqian Basin was  
89 infilled with non-marine sedimentary deposits (Wang et al., 2001; 2002), and is now a key site for understanding  
90 the Cenozoic tectonics, palaeoelevation and paleoclimatic changes that took place ~~on the TP~~in the Qinghai-  
91 ~~Tibetan region~~ since the collision of the Indian and Asian tectonic plates (Gupta et al., 2004; Molnar, et al.,  
92 2004; Wang et al., 2001). Previous palynological studies from this part of the plateau revealed a relatively dry  
93 climate with brief humid intervals in the late Eocene, dominated by drought-tolerant (xerophytic) and salt-  
94 tolerant (halophytic) steppe-desert vegetation (Wei, 1985; Yuan et al., 2017).

95 This climate and palaeoflora were very similar to contemporaneous plateau ecosystems further to the north,  
96 such as the Xining (Dupont-Nivet et al. 2007, 2008; Hoorn et al., 2012) and Hoh Xil (Liu et al., 2003; Miao et  
97 al., 2016) basins, demonstrating the potential for these successions to be biostratigraphically correlated.

98 Furthermore, oxygen isotope records indicate that both northern and east-central Tibet received moisture  
99 dominantly via the westerlies, which have maintained northward of the central TP, a semi-arid to arid climate in  
100 Central Asia since the early Eocene (Caves et al., 2015; Caves Rügenstein and Chamberlain, 2018the westerlies  
101 acted as the dominant moisture source since at least the early Eocene (Caves et al., 2015). This suggests that  
102 aridification across this part of Tibet in the Eocene was related to large-scale atmospheric transport, and justifies

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103 a comparison of palynological records in the northern and central parts of the TP.

104 ~~Oxygen isotope records indicate that northward of the central TP, the westerlies acted as the dominant~~  
105 ~~moisture source since at least the early Eocene (Caves et al., 2015).~~ In contrast, southeastern Tibet seems to have  
106 experienced a more humid climate hosting widespread conifer and warm-temperate broad-leaved forests (Li et  
107 al., 2008; Su et al., 2018), likely influenced by a Paleogene Inter-tropical Convergence Zone (ITCZ)-driven  
108 monsoon system similar to the modern Indonesia-Australian Monsoon (I-AM; Spicer et al., 2017). Today this  
109 summer-wet, winter-dry monsoonal regime presides over a biodiversity hotspot in southern Asia; similarly  
110 seasonal climates in the past are thought to also have stimulated high biodiversity (Spicer, 2017). Southerly  
111 moisture has probably rarely extended northward of the central TP (Caves Rugenstein and Chamberlain, 2018);  
112 ~~m~~Moreover, ~~these~~ southern Tibetan Eocene floras display a modern aspect (e.g., Linnemann et al., 2018) that is  
113 quite different to more ancestral steppe vegetation hosted in the northern TP.

114  
115 The extent and timing of mechanisms that promoted somewhat different floras south and north of the  
116 Tibetan–Himalayan orogen remain poorly understood, with Licht et al. (2014) reporting marked monsoon-like  
117 patterns in both regions during the Eocene, utilising records from northwest China and Myanmar. The role of  
118 Qinghai-TibetanTP uplift also remains unclear, with contrasting models of plateau evolution supported by  
119 various tectonic, isotopic, modelling, and biological evidence (e.g., Mulch and Chamberlain, 2006; Rowley and  
120 Currie, 2006; Ding et al., 2014; Li et al., 2015; Jin et al., 2018; Botsyun et al., 2019; Su et al., 2019; Valdes et  
121 al., 2019; Shen ~~&~~ Poulsen, 2019 and see summaries in Spurlin et al., 2005; Wang et al., 2014; Spicer, 2017).  
122 Accordingly, further stratigraphic and paleoenvironmental studies of the sedimentary successions within these  
123 basins are necessary to provide clarification on local vs. regional climatic changes experienced as a result of  
124 uplift, global cooling, and progressive aridification in Central Asia during the Paleogene.

125 The location of the Nangqian Basin on the east-central part of the TP provides an ideal locality for testing  
126 the influence of these mechanisms on Asian palaeoenvironments and climates. We selected the Ria Zhong (RZ)  
127 section in the Nangqian Basin for palynological analyses, and correlated this section with previous studies from  
128 this and other TP basins. These new results better constrain the biostratigraphy of Paleogene successions across  
129 the plateau, and provide new information on the depositional environment, and elevational and climatic changes  
130 in eastern Tibet during the Eocene. We further synthesise results previously published in Chinese journals,  
131 making these results accessible for an international audience.

132

133 **2. Geological background, stratigraphy and lithofacies**

134 The Nangqian Basin is located on the border between the Qinghai Province and Tibet Autonomous Region  
135 at an elevation of approximately 4500–5000 m and characterized by a continental seasonal monsoon climate,  
136 with long, cold winters, and short, rainy, and cool to warm summers (Yuan et al., 2017). Most of the annual  
137 precipitation occurs from June to September, when on average, most days in each month experience some  
138 rainfall (Qinghai BGMR, 1991). The region presently hosts alpine steppe and meadow characterised by  
139 Cyperaceae, Asteraceae, Amaranthaceae, and Poaceae, as well as conifer and broad-leaved forests dominated by  
140 conifers such as *Pinus*, *Picea*, *Abies*, *Tsuga*, and deciduous angiosperms such as *Quercus* (oak); and *Betula*  
141 (birch) although intensive logging has markedly contracted these forests to steep slopes and remote areas  
142 (Herzschuh, 2007; Baumann et al., 2009).

143 Although the timing of the Indo-Asian collision remains uncertain (e.g., Xia et al., 2011; Zhang et al.,  
144 2012; Wang et al., 2014), its initiation formed north-eastward extrusion facilitated by motion along a series of  
145 contraction deformation and strike-slip faults in eastern Tibet, including the Yushu–Nangqian thrust belt and the  
146 Jinshajiang strike-slip fault system (Fig. 1; Hou et al., 2003; Yin and Harrison, 2000; Spurlin et al., 2005). The  
147 Nangqian Basin is one of four sedimentary basins in the Nangqian-Yushu region that formed during Paleogene  
148 contraction (Horton et al., 2002), ~80 km-long in S–N direction, and 15 km-wide in E–W direction, and situated  
149 in the eastern part of the Qiangtang terrane (Fig. 1; Hou et al., 2003). The tectonic evolutionary history of the  
150 area includes an early stage extrusion thrust foreland basin, a middle stage strike-slip foreland basin, and the late  
151 stage extrusion strike-slip foreland basin (Wang et al., 2001, 2002; Mao et al., 2010; Jiang et al., 2011).

152 Paleozoic, Mesozoic, and Paleogene sedimentary rocks exposed along the Yushu-Nangqian traverse  
153 include Carboniferous–Triassic marine carbonates and minor clastic units overlain by Jurassic, Cretaceous, and  
154 Paleogene red beds (Liu, 1988; Qinghai BGMR, 1991). The southern area mainly comprises the Carboniferous  
155 Zhaduo Group (C<sup>1</sup>zd), whereas the northern area is dominated by younger strata comprising the Upper Triassic  
156 Jieza Group (T<sup>3</sup>jz; Qinghai BGMR, 1991). Our study concentrated on the Cenozoic gypsum-bearing Gongjue  
157 Formation, which unconformably overlies Carboniferous–Triassic rocks and may be conformable with  
158 underlying Upper Cretaceous strata (Qinghai BGMR, 1983a, 1983b, 1991). It is divided into five lithological  
159 units (Eg<sup>1</sup>–Eg<sup>5</sup>), from bottom to top. Eg<sup>1</sup> comprises shallow lacustrine facies reaching a thickness of ca. 400 m,  
160 which lie unconformably on a basement of Carboniferous–Permian sedimentary rocks. The strata in units Eg<sup>2</sup>,  
161 Eg<sup>4</sup>, and Eg<sup>5</sup> were mainly formed in an alluvial environment with rapid sedimentation rates, with strata reaching  
162 a thickness of ca. 530 m, 1100 m, and 2500 m respectively.

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163 The focus of this study is the Eg<sup>3</sup> unit which has a more complex depositional history; it is the thickest  
164 (reaching 3500 m) of the five units, and the most widely distributed unit in the Nangqian Basin. Eg<sup>3</sup> is divided  
165 into three members: 1) the Ri'Anongguo conglomerate member, which reaches a thickness of approx. 1300 m;  
166 2) the Dong Y'ru sandstone member with limestone beds, which reaches a thickness of 700–1000 m; and 3) the  
167 uppermost Gouriwa member, comprising mudstones (generally developed as red beds) intercalated with gypsum  
168 and reaching 900–1200 m in thickness (Wang et al., 2002). This latter member has been interpreted as being  
169 deposited in a fluviolacustrine environment under a range of climatic conditions (Wang et al., 2001, 2002; Jiang  
170 et al., 2011). Based on palynological analyses and ostracod assemblages, these mudstone-dominated successions  
171 (Eg<sup>3</sup>) have been dated as late Eocene to Oligocene in age (Wei, 1985; Yuan et al., 2017), which is corroborated  
172 by 38–37 Ma <sup>40</sup>Ar/<sup>39</sup>Ar ages from interbedded volcanic rocks in the uppermost strata of the Nangqian Basin  
173 (Spurlin et al., 2005).

174 Though few palynological data currently exist from the Nangqian Basin (Wei, 1985; Yuan et al., 2017),  
175 palynology has been extensively applied for biostratigraphic purposes, as well as to infer Cenozoic climatic  
176 changes, in basins across the TP, including the Qaidam Basin (Xu et al., 1958; Zhu et al., 1985; Wang et al.,  
177 1999; Sun et al., 2005; Lu et al., 2010; Ji et al., 2011; Miao et al., 2011, 2012, 2013a; Cai et al., 2012; Herb et  
178 al., 2015; Wei et al., 2015), Xining Basin (Dupont-Nivet et al., 2008; Miao, 2010; Hoorn et al., 2012; Miao et  
179 al., 2013b; Bosboom et al., 2014), Hoh Xil Basin (Liu et al., 2003; Miao et al., 2016), Tarim Basin (Sun et al.,  
180 1999; Zhu et al., 2005; Bosboom et al., 2011; Wang et al., 2013), [Jianchuan Basin \(Li L. et al., 2019\)](#), and the  
181 Xigaze region of Tibet (Li et al., 2008~~19~~). Most of these studies are limited to the sedimentary successions  
182 within the foreland basins of the northern TP, rendering it important to gather further data on central ~~plateau-~~  
183 [Tibetan](#) basins that preserve a complex sequence of Cenozoic deformation in relation to the Indo-Asian collision  
184 zone (Spurlin et al., 2005). Furthermore, correlation of the above-mentioned northern successions with our new  
185 section from the Nangqian Basin (presented in Section 5.1) is valuable for advancing understanding of  
186 differences in vegetational composition across the TP, as well as the paleoenvironmental and climatic signals  
187 recorded by these ecosystems.

188

### 189 3. Materials and Methods

190 In this study, the RZ section located in the northwestern part of the Nangqian Town (N32°12'10",  
191 E96°27'19.42", altitude 3681 m) was sampled for sedimentological and palynological analyses (Fig. 1A). The

192 RZ section is a ca. 260 m thick portion of the Gongjue Formation where it represents the uppermost Gouriwa  
193 Member of the Eg<sup>3</sup> unit (Fig. S1). The sediments mainly comprise lacustrine facies represented by red  
194 mudstones and siltstones, intercalated with gypsum beds. A more detailed description of the sedimentology,  
195 geochemistry, and palynofacies of the section are presented in a separate manuscript (Yuan et al., in prep.). A  
196 total of 71 palynological samples were collected from mudstones or fine-grained siltstones.

197 The samples were first treated with 36% HCl and 39% HF to remove carbonates and silicates and then  
198 sieved through a 10 µm nylon mesh. Subsequently, the residue was density separated using ZnCl<sub>2</sub> (density =  
199 2.1). The organic residue was mounted on microscopic slides in glycerin jelly. All slides were examined at the  
200 Swedish Museum of Natural History under a Leica light-microscope (OLYMPUS BX51), and micrographs were  
201 taken of selected specimens. As is standard for palynostratigraphic studies, we used primarily light microscopy  
202 (LM) to identify, count, and photograph palynomorphs present in the samples. An ESEM FEI Quanta FEG 650  
203 scanning electron microscope (SEM) was used to obtain additional detailed surface images of *Ephedripites*  
204 (*Ephedripites*), *Ephedripites* (*Distachyapites*), and other key species. Slides and residues are hosted at the  
205 Swedish Museum of Natural History, Stockholm, Sweden.

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206 From each of the 21 productive samples > 200 grains were identified and counted, and the pollen diagrams  
207 (Fig. 2, Fig. S2 & S3) plotted using TGView© and Tilia© 2.0 software (Grimm, 1991). We assigned fossil  
208 pollen taxa to Ecological groups or Plant Functional Types (PFTs) according to their correspondence with  
209 nearest living relatives (NLR) in modern Asian biomes (following the approach of Hoorn et al., 2012).  
210 Statistical analysis of the palynological pollen assemblages was conducted using CONISS (Constrained  
211 Incremental Sums of Squares cluster analysis), a multivariate agglomerative method for defining zones  
212 hierarchically (Grimm, 1987). A stratigraphically constrained analysis was performed on pollen-percentage  
213 values with square root transformation (Edwards & Cavalli Sforza's chord distance) which up-weights rare  
214 variables relative to abundant ones, and is therefore particularly appropriate for pollen datasets (Grimm, 1987).  
215 Results of the CONISS ordination on all taxa were presented as a dendrogram onto the pollen diagram (Fig. S2),  
216 and the ordination was then repeated to test the robustness of the stratigraphic zones by excluding the "Other /  
217 Unknown / Unresolved NLR" ecological group. Very similar zones were retained in the new cluster analysis  
218 (Fig. S3), increasing confidence that these zones represent true changes in vegetation and climate dynamics  
219 recorded throughout the section. Both CONISS ordinations were used in conjunction with the taxonomic and  
220 quantitative composition of the palynological assemblage, in order to demarcate zones and subzones within the  
221 section.

222

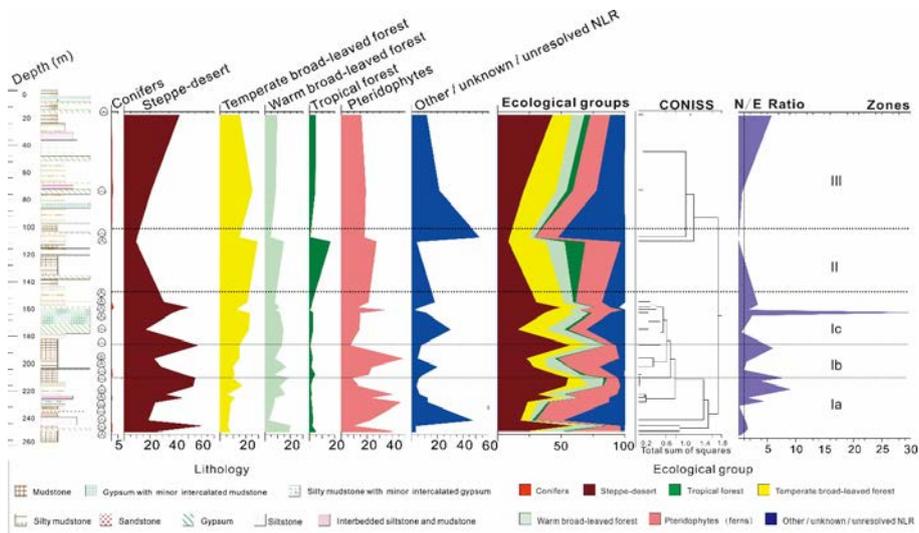
#### 223 4. Results

224 Recovery of palynomorphs was generally poor, with only 21 productive samples out of the 71 processed  
225 samples, indicating a productivity ratio of 30%. Nevertheless, well-preserved palynological assemblages were  
226 recovered throughout the section, enabling a representative portrayal of vegetation changes through time to be  
227 reconstructed. In total 26 spore and 81 pollen taxa (5 gymnosperm and 76 angiosperm morphospecies) were able  
228 to be identified, which are illustrated (Plate I, II, III) and grouped into seven different Plant Functional Types  
229 (PFTs) that represent various ecological groups (Fig. 2). Overall trends for the RZ section include rare conifers  
230 and a general dominance of steppe-desert pollen in all zones. Ferns are abundant and diverse, particularly in the  
231 lower part of the section (Zone I), while temperate and warm broad-leaved forest are relatively diverse and  
232 present throughout, but not particularly abundant in any zone. Steppe-desert pollen decreases concurrently with  
233 a spike in tropical forest pollen in Zone II, and then resurges to dominance in Zone III.

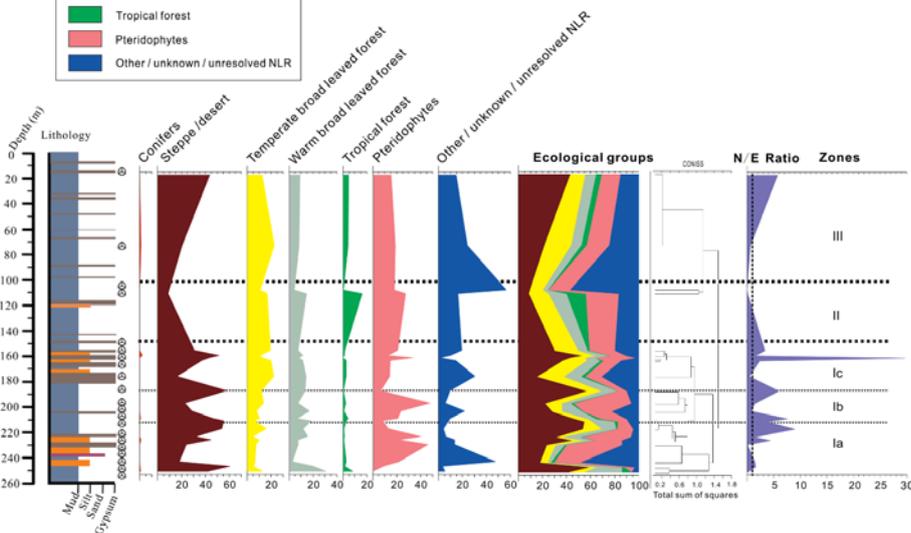
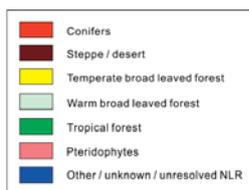
234 While the generally high proportion of spores suggests a significant proportion of local deposition (at site),  
235 as a whole the palynological assemblages are taken to reflect the regional vegetation, and may also include some  
236 taxa that are prone to longer-distance transport. These latter taxa are mostly trees, and are normally present in  
237 small percentages except for *Pinus*, which can comprise 10–50% in the palynological records of deserts and  
238 steppe-deserts (but is extremely rare in our section; Ma et al., 2008; Hoorn et al., 2012). Studies on the  
239 correspondence between the modern pollen rain and regional vegetation on the Tibetan Plateau indicate  
240 generally good agreement, and confirm that the use of palynology for palaeoenvironmental reconstruction in  
241 deep time is therefore also appropriate (Cour et al., 1999; Li et al., 2020).

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244

245 **Figure 2: Cumulative pollen summary diagram of the Ria Zhong (RZ) section in the Nangqian Basin, Yushu area,**  
 246 **Tibet, with palynomorph percentages of the total pollen sum plotted on the x-axis, and zones and subzones based on**  
 247 **CONISS ordinations. Pollen taxa are grouped in Plant Functional Types (PFTs) according to their correspondence**  
 248 **with nearest living relatives (NLR), indicated in the legend. Some taxa have multiple or unresolved botanical**  
 249 **affinities, and are thus assigned to the “Other / unknown / unresolved NLR” group. Productive horizons are**  
 250 **indicated by a small trilete spore to the right of the simplified section log. The *Nitria/Ephedra* (N/E) pollen ratio is**

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251 plotted in purple, with a dashed line indicating the transition point between desert/semi-desert ecosystems (< 1) and  
252 steppe-desert (> 1).

253

#### 254 4.1 Stratigraphic zonation based on ~~palynology pollen~~

255 Based on results of two CONISS ordinations combined with the taxonomic and quantitative composition  
256 of the palynological assemblage (see Methods section; Fig. 2, Fig. S2 ~~&and~~ S3), the succession was divided into  
257 three zones (I, II, III) of which Zone I was further divided into three subzones (a, b, c), all of which demonstrate  
258 unique vegetation dynamics within that zone. Important trends for each zone and ~~subzone are~~  
259 described below. The zone boundaries are positioned at the upper limit of the samples that mark each boundary.  
260 A complete overview of the raw counts, percentages and arithmetic means are given in the supplementary  
261 information.

262

263



264

265 Plate I: Light micrographs of selected pollen grains and spores from the Ria Zhong (RZ) section, Nangqian Basin.

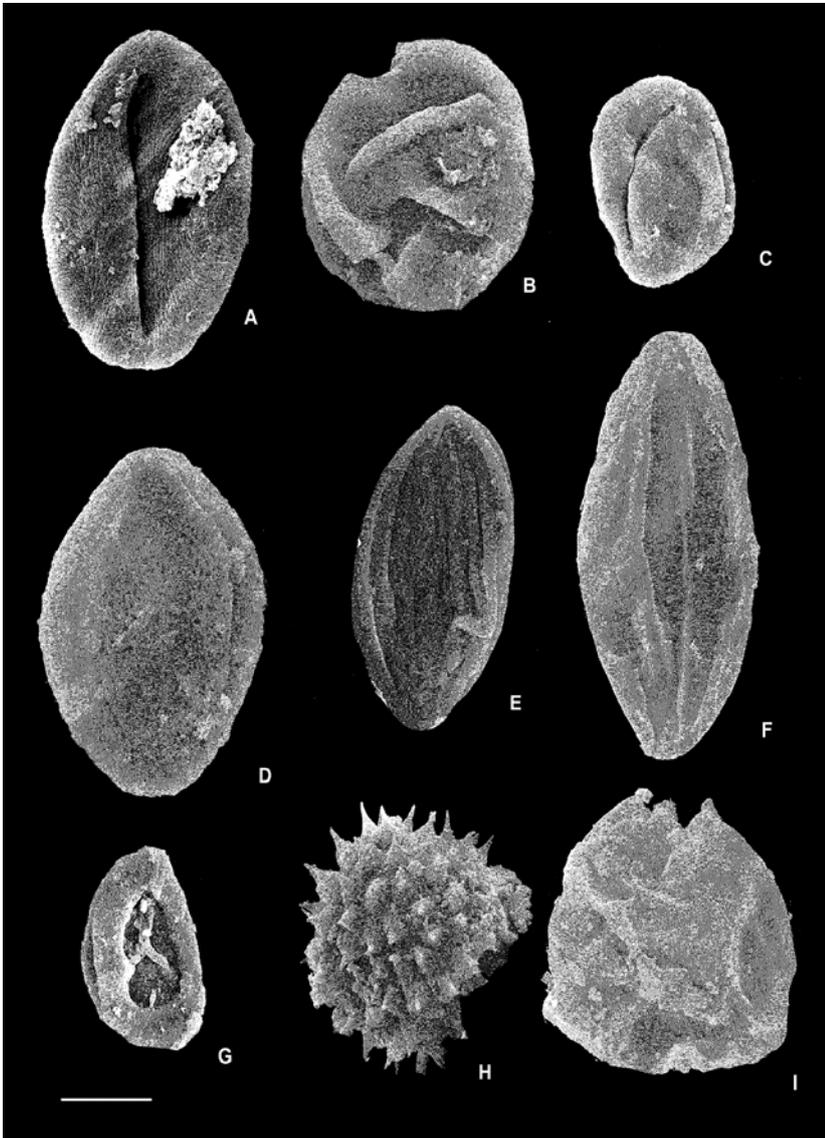
266 Scale bar – 10µm. 1-12. *Nitrariadites/Nitrariipollis*. 13-20. *Meliaceoidites*. 21-25. *Qinghaipollis*. 26-32. *Rhoipites*. 33-36.

267 *Labitricolpites*. 37-45. *Quercoidites*. 46. *Quercoidites minutus*. 47-51. *Rutaceoipollenites*. 52-54. *Momipites*. 55-58.

268 *Fupingopollenites*. 59-61. *Ilexpollenites*. 62. *Aceripollenites*. 63-67. *Euphorbiacites*. 68-69. *Faguspollenites*. 70.  
 269 *Retitricolporites*. 71. *Chenopodipollis*. 72. *Echitripites* sp. 73. *Sporopollis*. 74. *Caprifoliipites* / *Oleoidearumpollenites*?.  
 270 75-76. *Pterisporites*. 77. Unidentified baculate spore. 78. *Liliacidites*. 79-80. *Pterisporites*. 81. *Taxodiacites*. 82-83.  
 271 *Deltoidospora*. 84. *Lycopodiumsporites*. 85. *Spinizonocolpites*. 86-88. *Verrucosiporites*. 90. *Lygodiumsporites*.  
 272  
 273



274  
 275 **Plate II:** Light micrographs of ephedroid pollen from the Ria Zhong (RZ) section, Nangqian Basin. Scale bar – 10µm.  
 276 **A.** *Ephedripites* (*Distachyapites*) *cheganica*. **B.** *Ephedripites* (*Distachyapites*) *fusiformis*. **C1-C4.** *Ephedripites*  
 277 (*Distachyapites*) *megafusiformis*. **D1-D2.** *Ephedripites* (*Distachyapites*) *eocenipites*. **E1-E3.** *Ephedripites* (*Distachyapites*)  
 278 *nanglingensis*. **F.** *Ephedripites* (*Distachyapites*) *obesus*. **G.** *Ephedripites* (*Ephedripites*) *bernheidensis*. **I.** *Ephedripites*  
 279 (*Ephedripites*) sp. 2 (Han et al., 2016). **K.** *Ephedripites* (*Ephedripites*) sp. b. **H.** *Ephedripites* (*Ephedripites*)  
 280 *montanaensis*. **J.** *Ephedripites* (*Ephedripites*) sp. a. **L.** *Steevesipollenites* cf *S. binodosus*. **M.** *Steevesipollenites*  
 281 *jiangxiensis*.  
 282



283  
 284 Plate III: Scanning Electron Microscope (SEM) photographs of selected fossil taxa in the Ria Zhong (RZ) section,  
 285 Nangqian Basin. Scale bar – 10µm. A, B, C. *Nitrariadites/Nitrariipollis*. D. *Retitricolporites*. E. *Ephedripites*  
 286 (*Ephedripites*) sp. 2 (Han et al., 2016). F. *Ephedripites (Distachyapites) eocenipites*. G. *Pterisiporites*. H. Unidentified  
 287 baculate spore. I. *Momipites*.  
 288

289 **4.1.1 Zone I (17 samples, 251–155 m)**

290 Conifers in this zone are rare, represented only by *Taxodiacites* (Cupressaceae) and *Tsugaepollenites*  
291 (Pinaceae), and never comprising more than 3%. The assemblage is dominated by steppe-desert taxa, which  
292 together comprise nearly 40% and include numerous types of *Ephedripites* (Plate II), *Nitrariadites/Nitrariipollis*,  
293 and *Qinghaipollis*, together with more rare xerophytic taxa such as *Chenopodipollis* and *Nanlingpollis*. The  
294 second most abundant group is the Pteridophytes (ferns), which is also the most diverse of all the groups  
295 represented in the RZ section. Broad-leaved forest forms a minor component of the ~~palynological~~ record,  
296 with warm forest being more abundant than temperate forest and represented primarily by *Rutaceipollenites*.  
297 Tropical forest pollen is rare, and includes *Spinizonocolpites* and *Fupingopollenites*. Some pollen types have  
298 unresolved botanical affinities or affinities with multiple ecological groups, and these are grouped separately but  
299 do not provide ecological information.

300 **Zone I** is divided into three subzones on the basis of abundance patterns among particular palynomorph  
301 taxa. Subzone **Ia** (9 samples, 251–209 m) is unique in that *Ephedripites* (steppe-desert group),  
302 *Cupuliferoipollenites* (temperate broad-leaved forest), and *Rutaceipollenites* (warm broad-leaved forest) are  
303 more abundant than in other subzones of Zone I, while *Momipites* / *Engelhardthioipollenites* (warm broad-  
304 leaved forest) is less abundant, and *Aceripollenites* + *Faguspollenites* (temperate broad-leaved forest) are very  
305 rare compared to the remainder of Zone I. Of the entire section, *Caryophyllidites* (steppe-desert) only occurs in  
306 **Subzone Ib** (3 samples, 203–187 m), which also records a spike of *Momipites/Engelhardthioipollenites* (warm  
307 broad-leaved forest). **Subzone Ic** (6 samples, 175.5–155 m) contains the greatest proportion of *Nanlingpollis*  
308 (steppe-desert) in the entire section, as well as spikes of *Aceripollenites* + *Fraxinoipollenites* (temperate broad-  
309 leaved forest), while *Qinghaipollis* (steppe-desert) and ferns decrease in this subzone.

310

311 **4.1.2 Zone II (2 samples, 110–107 m)**

312 No conifer pollen occurs in this zone, and on average, the steppe-desert taxa *Ephedripites* (gymnosperm),  
313 *Nitrariadites/Nitrariipollis* and *Qinghapollis* (angiosperms) are far less abundant than in other parts of the  
314 section (average 9% in Zone II vs 38% (Zone I) and 32 % (Zone III)). However, a spike in the ancestral (old)  
315 *Ephedra* type is observed during Zone II, which is not observed in the other zones or later in the Eocene (Yuan  
316 et al., 2017). Notably, tropical forest pollen increases markedly in this zone (as regional input), comprising  
317 mostly *Fupingopollenites*, while temperate broad-leaved forest (*Aceripollenites*, cf. *Caprifoliipites*) and warm  
318 broad-leaved forest (*Rutaceipollenites*) are also more prevalent. Pollen of unknown or multiple affinities is

319 higher in this zone, and reflected by spikes of *Labitricolpites* and *Rhoipites*.

320

#### 321 4.1.3 Zone III (3 samples, 107–16 m)

322 Conifers in this zone are very rare, represented only by *Tsugaepollenites*. Steppe-desert taxa again  
323 dominate this zone, with *Nitriadiates/Nitriapollis* increasing steadily through the section. Temperate broad-  
324 leaved forest is now much more common than warm [broad-leaf](#) or tropical forest pollen, while ferns are least  
325 common in this zone but still plentiful.

326

## 327 5. Discussion

### 328 5.1 Age assignment

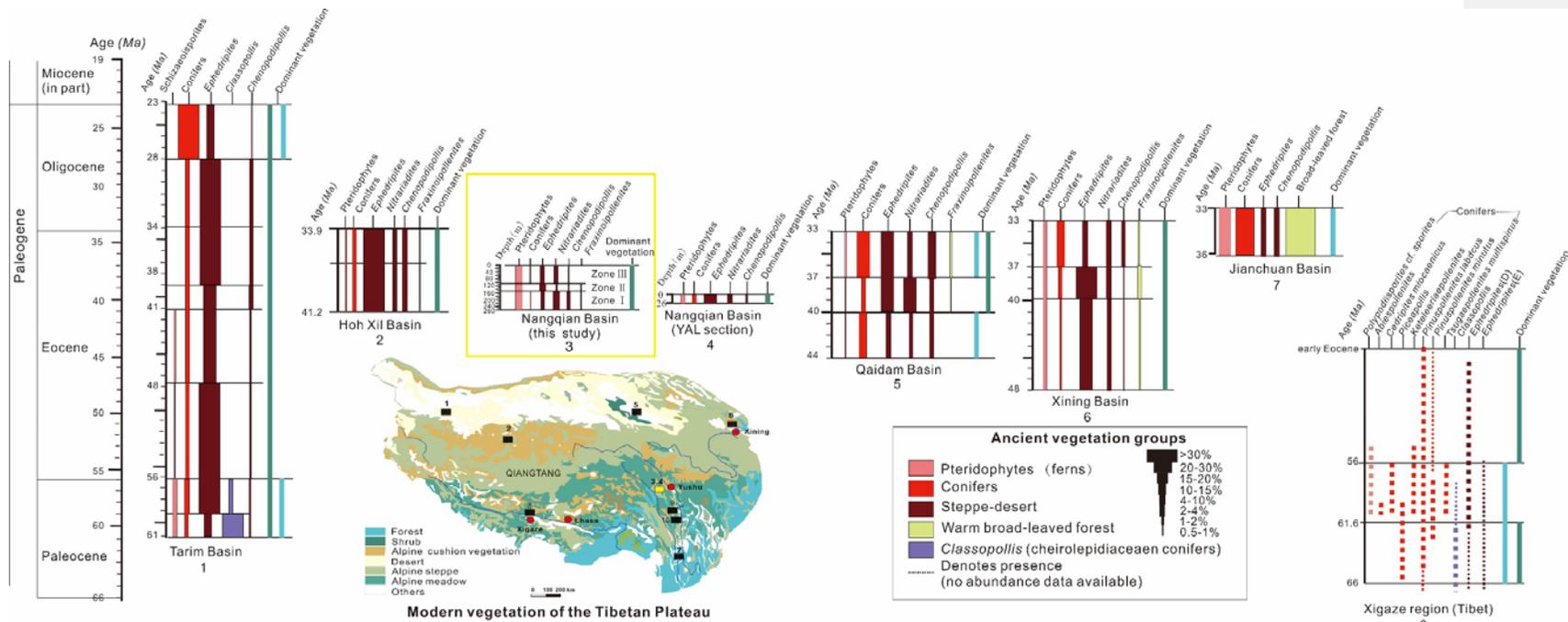
329 Age constraints for the RZ section are provided by the K–Ar ages from shoshonitic lavas and felsic and  
330 porphyry intrusions that are either interbedded with, or unconformably overlie, the lacustrine to alluvial  
331 Nangqian strata. Emplacement ages across the Nangqian Basin vary between 32.04–36.5 Ma (Deng et al.,  
332 1999);  $37.0 \pm 0.2$  Ma– $38.2 \pm 0.1$  Ma (Spurlin et al., 2005); 37.1–37.8 Ma (Zhu et al., 2006); and  $35.6 \pm 0.3$ – $39.5$   
333  $\pm 0.3$  Ma (Xu et al., 2016). In the latter study, zircon U–Pb age data were derived from felsic intrusions sampled  
334 at two localities in the Nangqian Basin (Boza and Nangqian). The syenite porphyries from the Boza area  
335 (further south of the RZ section) show an emplacement age of  $35.58 \pm 0.33$  Ma, while the monzonite porphyries  
336 from the Nangqian area (just southeast of the RZ section) have older magmatic emplacement ages, ranging from  
337  $39.5 \pm 0.3$  Ma to  $37.4 \pm 0.3$  Ma. As this age range is broadly coeval with the age of the mafic volcanic rocks in  
338 the Nangqian Basin (37.0–38.2 Ma; Spurlin et al., 2005) as well as the age range obtained by Zhu et al. (2006),  
339 here we consider ~37–38 Ma to represent a minimum age for the RZ section. This is also congruent with  
340 palynological evidence for the overall age of the sampled strata (Fig. 3), which is discussed in more detail  
341 below.

342 The assemblage from the RZ section is very similar to those from the Yang Ala section in the Nangqian  
343 Basin, dated as late Eocene (Yuan et al., 2017), the Eocene Wuqia assemblage (site 98) from the west Tarim  
344 Basin (Wang et al., 1990a; 1990b), the late middle Eocene–late Eocene assemblage from the upper Niubao  
345 Formation, Lunpola Basin (Song and Liu, 1982; Li [J.G.](#) et al., 2019), and the Bartonian ([41.2–37.8 Ma](#)) part of  
346 the palynological record in the Xining Basin (Dupont-Nivet et al., 2008; Hoorn et al., 2012; Han et al., 2016).  
347 Specifically, the absence of *Classopollis*, *Exesipollenites*, and *Cycadopites* combined with the predominance of

348 *Nitrariadites/Nitrariipollis* and *Ephedripites* pollen, and the presence of the middle Eocene–Neogene genus  
349 *Fupingpollenites* (Liu, 1985), indicates that the RZ section cannot be older than middle Eocene (Fig. 3). It is  
350 also unlikely to be of latest Eocene age or younger due to the lack of significant conifers that become more  
351 common approaching the Eocene–Oligocene Transition (Horn et al., 2012; Page et al., 2019; Fig. 3). Specific  
352 ranges and abundance patterns of these and other key taxa within Eocene Tibetan basins (Fig. 3; Fig. 4) enable  
353 the age of the section to be better constrained, which is explored in greater detail below.

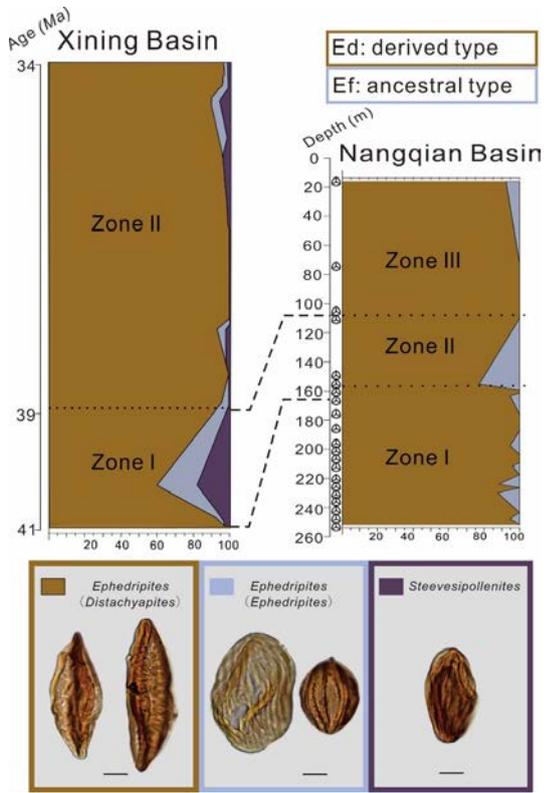
354 *Ephedra* is a gymnosperm shrub with the oldest macrofossils from the Early Cretaceous (Bolinder et al.,  
355 2016; Han et al., 2016) but the genus is probably older, dating to the Triassic (Yang, 2002; Sun and Wang, 2005)  
356 or even the Permian (Wang, 2004) based on the ephedroid pollen record. Its current distribution is limited  
357 primarily to arid and semiarid regions of the world (Stanley et al., 2001), and the fossil pollen representative,  
358 *Ephedripites*, is widespread in Cenozoic evaporates, indicating the xerophytic nature of this genus (Sun and  
359 Wang, 2005). The Xining Basin in northern Tibet records a particularly time-extensive section with good age  
360 control (Dupont-Nivet et al., 2008, 2008; Horn et al., 2012; Meijer et al., 2019) that reveals a detailed pattern  
361 of changes in *Ephedripites* pollen during the middle–late Eocene. A (after 38.8 Ma), *Ephedripites* comprised ca.  
362 20–60% of the total palynological pollen composition in the Xining Basin, with a predominance of the derived  
363 type, *Ephedripites* subgen. *Distachyapites* (Han et al., 2016). Prior to this (ca. 41–38.8 Ma), the record  
364 comprised a mix of the derived type, the ancestral type (*Ephedripites* subgen. *Ephedripites*), and another  
365 ephedroid genus, *Steevesipollenites* (Han et al., 2016; Bolinder et al., 2016). A similar pattern is observed in the  
366 Nangqian Basin, with a spike of the ancestral type of *Ephedra* only recorded in Zone II, and not observed in the  
367 rest of the RZ section or elsewhere in the Nangqian Basin (Yuan et al., 2017). This suggests a correlation  
368 between Zone I of the Xining Basin with Zone II of the RZ section (Fig. 4). As it is possible that the change in  
369 *Ephedripites* diversity may not have occurred across Tibet simultaneously (i.e., at ~39 Ma), we suggest that this  
370 most likely constrains the age of the RZ section to late Eocene (Bartonian; 41.2–37.8 Ma). -

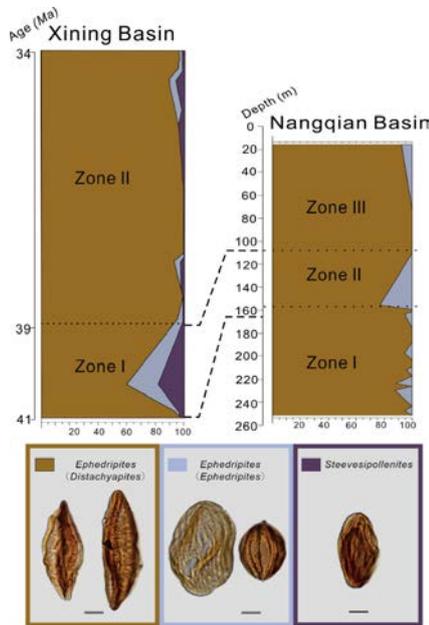
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372

373 **Figure 3: Palynozonation of the Paleogene successions across the northern, central, and southern TP, with numbers under each section indicating the associated basin: 1. Tarim Basin**  
 374 **(Wang et al., 1990a; 1990b); 2. Hoh Xil Basin (Miao et al., 2016); 3, 4. Nangqian Basin (this study; Yuan et al., 2017). 5. Qaidam Basin (Lu et al., 1985; Zhang et al., 2006; Miao et al.,**  
 375 **2016); 6. Xining Basin (Wang et al., 1990a; 1990b; Hoorn et al., 2012); 7. Jianchuan Basin (Wu et al., 2018); 8. Xigaze Basin (Li et al., 2008). The dominant ancient vegetation**  
 376 **reconstructed from palynological assemblages is shown to the right of each section. Base-Modern vegetation map US Dept. of State Geographer, ©2018 Google, Image-**  
 377 **Landsat/Copernicus ©2018 ZENR redrawn from Baumann et al. (2009).**





380  
 381 **Figure 4: Eocene ephedroid pollen composition in the Xining (northeastern TP) and Nangqian (east-central TP)**  
 382 **basins, illustrating the distributions of *Ephedripites* subgen. *Ephedripites* (ancestral type; “EF”), *Ephedripites* subgen.**  
 383 ***Distachyapites* (derived type; “Ed”), and *Steevesipollenites*. Productive horizons for the Rhaia Zong (RZ) section are**  
 384 **indicated by a small trilete spore to the right of the marked depths.**

385 In addition to the proportions of the ancestral vs. derived type of *Ephedripites*, a significant spike in  
 386 tropical forest pollen at this time, combined with a large decrease in steppe-desert pollen, suggests that Zone II  
 387 of the RZ section reflects a temporary warming interval in the Eocene. Although the increase in tropical forest  
 388 taxa in this zone does not indicate an actual biome shift in the Nangqian region from “steppe” to “tropical  
 389 forest”, it suggests a change in regional climate through increased input of regional tropical taxa. This could  
 390 possibly be ~~is likely~~ concurrent with the Middle Eocene Climatic Optimum (MECO; ~40 Ma). ~~This~~  
 391 ~~event was~~ a transient warming event that preceded rapid aridification in Central Asia (driven primarily by  
 392 proto-Paratethys sea retreat; Kaya et al., 2019). ~~This interval is, indicated followed by~~ a change in lithofacies  
 393 (decreasing thickness of gypsum beds) and an increase in steppe-desert pollen records in northwestern China  
 394 (Bosboom et al., 2014). ~~Similar trends are also observed in the Nangqian Basin. Pollen records have better~~  
 395 ~~constrained the drying event to occur between 40.7 and 39.9 Ma, after which vegetation became dominated by~~  
 396 ~~the xerophytic and halophytic desert and steppe shrubs, *Ephedra* and *Nitraria*, along with a decrease in~~  
 397 ~~temperate broad leaved forest diversity (Meijer et al., submitted). These same patterns are observed in the shift~~

398 from Zone II to Zone III in the RZ section, Nangqian (Fig. 23), suggesting a possible correlation. However, it  
399 must be considered that the upper zones of the RZ section yielded a low number of samples (Zone II comprises  
400 only 2 samples; Zone III has 3), and the tropical forest spike is only present in one of these samples. This places  
401 statistical limitations on the interpretations that can be drawn, therefore. Although the spike of tropical forest  
402 pollen in Zone II of the RZ section is unusual, not being observed elsewhere in the Nangqian Basin during the  
403 Eocene (this study; Yuan et al., 2017) or in the late Paleocene in Nangqian (Barbolini et al. 2018; Barbolini,  
404 unpublished data), the upper zones of the RZ section yielded a low number of samples, and the tropical forest  
405 spike is only present in one of these samples. Accordingly, further investigations should be made in Nangqian  
406 and other parts of the Tibetan Plateau using independent age control to corroborate this finding. Accordingly, for  
407 the moment we do not date the RZ section on the basis of a tentative correlation to the MECO at ~40 Ma;  
408 however, available evidence does suggest that the spike of tropical forest represents a shift in regional climate.  
409 The palynomorphs from these samples were not degraded or compressed to a greater degree than palynomorphs  
410 from the rest of the section, and of a similar colour and appearance, suggesting it is unlikely that the pollen in  
411 Zone II represents reworking or contamination. Furthermore, the increase in tropical forest taxa is accompanied  
412 by a large decrease in steppe-desert pollen which is not observed in the other zones of this section (average 9%  
413 steppe-desert pollen in Zone II vs 38% (Zone I) and 32 % (Zone III)), nor later in the Eocene in the Nangqian  
414 Basin (Yuan et al., 2017). This further indicates a shift in the regional climate to warmer and wetter at this  
415 time. However, it is unlikely that the pollen in Zone II represents reworking or contamination, as the  
416 palynomorphs from these samples were not degraded or compressed to a greater degree than palynomorphs  
417 from the rest of the section, and of a similar colour and appearance.

418 In northern Tibet, Pinaceae (conifers) abruptly increased in the palynological record at 36.55 Ma (Page et  
419 al., 2019), which is not observed in the RZ section. The rare conifers in this latter assemblage are in accordance  
420 with the minimum depositional age constraints of ~37–38 Ma from overlying volcanic rocks. In conjunction  
421 with the palynostratigraphic correlations from across Tibet (Fig. 3), as well as the change in the proportions of  
422 the ancestral vs. derived type of *Ephedripites* (Fig. 4) evidence described above that links Zone II of the RZ  
423 section to the MECO, the age of the complete section is proposed to be late Lutetian–Bartonian (41.2–37.8 Ma;  
424 Fig. 3; Fig. 4).

425

## 426 5.2 Paleoclimate

427 The RZ section records three distinct palaeofloras in east-central Tibet that evolved in response to changing

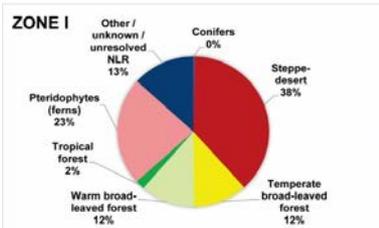
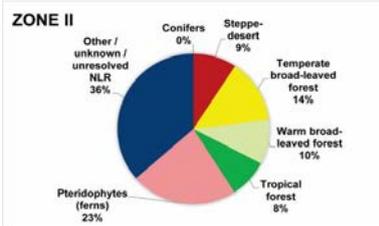
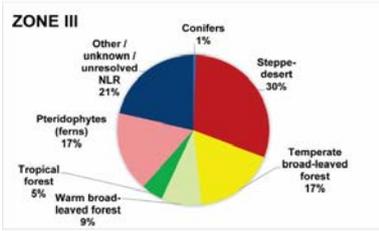
428 climate in the Eocene (Fig. 5). ~~Before the MECO~~ (During deposition of Zone I), the climate was warm, and  
429 vegetation was characterised by steppe-desert shrubs, diverse ferns, and a lesser component of temperate and  
430 warm broad-leaved forest. Interestingly, prominent vegetation groups with very different moisture requirements  
431 existed within a limited distance of each another in the Nangqian area. A very diverse and abundant pteridophyte  
432 (fern) community, ~~as well as~~ ~~and~~-conifers such as *Taxodiacites* and *Tsugaepollenites* would have required higher  
433 humidity (Liu et al., 2012; Kotthoff et al., 2014), but the abundant halophytic and xerophytic steppe-desert  
434 vegetation would likely only have been competitive in arid environments. The dominant plants belonging to  
435 these salt- and drought- tolerant groups (*Nitraria* and *Ephedra*) grow today in Central Asian regions with MAP  
436 of 100mm or less, and are also associated with arid palaeoenvironments through the Cenozoic (Sun ~~&~~ Wang,  
437 2005). Although the conifers (produced by cypress and *Tsuga*) could have been windblown from further  
438 distances, the coexistence of such diverse and abundant ~~pteridophytes-ferns~~ and steppe-desert vegetation in the  
439 landscape, PFTs with opposing moisture requirements for competitiveness, has not been observed in other  
440 Tibetan basins to date (Miao et al., 2016, Table 1), and therefore seems not to reflect conventional spatial  
441 patterning of less water-dependant vegetation growing upland. Rather, it may suggest an environment with  
442 strongly seasonal precipitation that would favour lush vegetation growth for a restricted interval and alternately,  
443 xerophytic vegetation during the dry season.

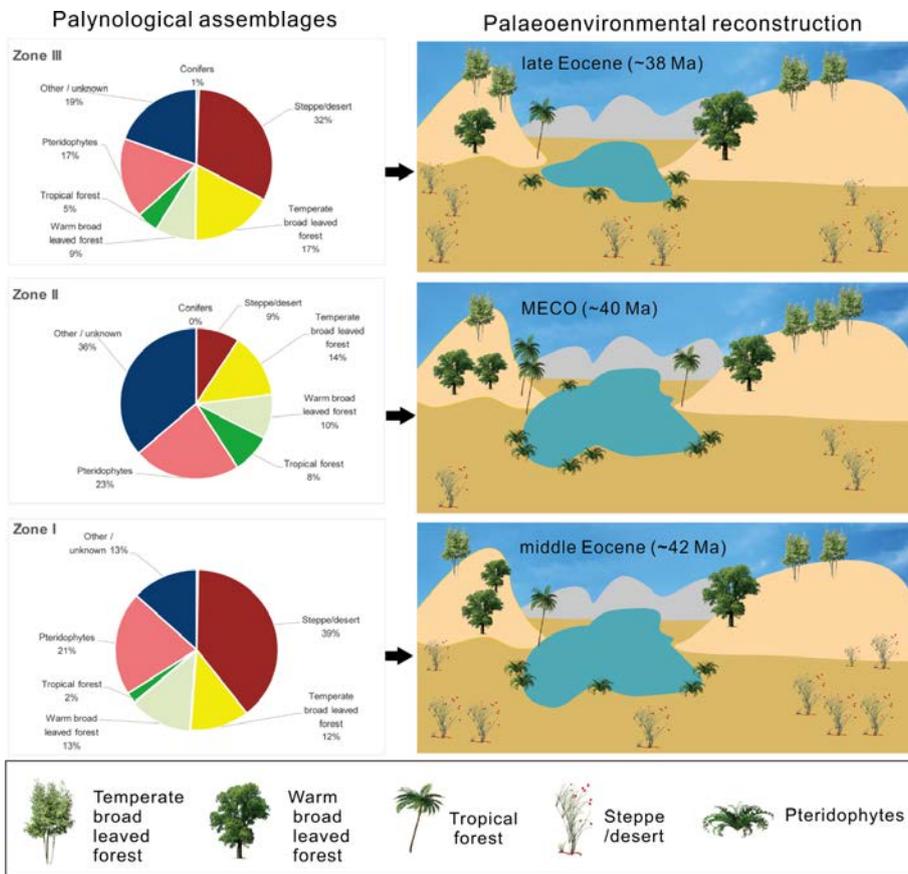
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Palynological assemblages

Palaeoenvironmental reconstruction





447

448 **Figure 5: Palaeoenvironmental reconstruction of the Nangqian area, illustrating the three distinct floral assemblages**  
 449 **recovered from the RZ section. Vegetation in the late middle Eocene (during deposition of Zone I) was dominated by**  
 450 **steppe-desert plants/shrubs, which decreased sharply over the Middle Eocene Climatic Optimum (MECO; in Zone II)**  
 451 **in conjunction with a spike in tropical forest. In the late Eocene Afterwards the basin became drier and steppe-desert**  
 452 **vegetation again dominated the landscape.**

453 Based on a comparison of existing palynofloral records with our new section, the northern regions of the  
 454 plateau (Tarim, Qaidam, Hoh Xil, and Xining basins) were already significantly more arid than the central TP  
 455 prior to 40 Ma in the middle Eocene, having hosted greater proportions of xerophytic plants (Fig. 3). Therefore,  
 456 precipitation in the greater Nangqian region would have been unlikely to derive from the westerlies, which  
 457 served as the dominant moisture source northward of the central TP since at least the early Eocene (Caves et al.,  
 458 2015). This suggests that the central TP could have instead been influenced by a southern monsoon system  
 459 similar to the modern I-AM in the middle-late Eocene, although not to the degree experienced by southern

460 Tibet, which hosted greater proportions of forest and was likely more humid (e.g., Jianchuan Basin; Fig. 3).  
461 However, it should be borne in mind that rainfall seasonality is not always a proxy for the existence of  
462 monsoons; although leaf form is the preferred method for detecting monsoons in deep time climates (Spicer et  
463 al., 2017), the absence of well-preserved fossil leaf assemblages from the Nangqian Basin to date prevents this  
464 comparison. ~~Furthermore, palynological records alone are not sufficient for detecting whether the nature of~~  
465 ~~monsoons in the Eocene was more similar to the present I-AM or South Asian Monsoon (SAM), which~~  
466 ~~contributes mostly to the moisture in the Nangqian region today (Li L. et al., 2019).~~

467 Our results indicate that the ~~temporary warming interval recorded in Zone II~~MECO prompted a  
468 considerable change in the vegetation in east-central Tibet, encouraging the temporary spread of (dry) forests ~~in~~  
469 ~~the region,~~ while steppe-desert vegetation contracted ~~(Zone II)~~. Warming is reflected by an atypical spike in  
470 tropical forest, ~~while that coincides with a warm broad-leaved forest spike in northeastern Tibet (tropical forest~~  
471 ~~is exceedingly rare in the latter area during the middle-late Eocene)is coincident with the MECO (Hoorn et al.,~~  
472 ~~2012; tropical forest is exceedingly rare in the latter area during the middle-late Eocene), which demonstrates~~  
473 ~~the regional influence of the MECO across (at least) the northern and central parts of the TP.~~ In order to estimate  
474 relative humidity in arid environments such as these, the *Nitraria/Ephedra* (N/E) ratio can be used to distinguish  
475 between desert/semi-desert (< 1) and steppe-desert (> 1; Li et al., 2005; Hoorn et al., 2012). Although both  
476 genera occupy arid environments today, *Ephedra* is currently distributed primarily throughout deserts, semi-  
477 deserts and grasslands globally (Stanley et al., 2001), while *Nitraria* is a relatively more humid steppe-desert  
478 taxon (Cour et al., 1999; Sun and Wang, 2005; Jiang and Ding, 2008; Li et al., 2009; Zhao and Herzschuh,  
479 2009).

480 In the RZ section, the proportion of temperate ~~broad-leaved~~ forest in relation to warm ~~broad-leaf~~ and  
481 tropical forest became much greater ~~from ca. 39-Main the upper part~~ (Fig. 2), indicating a cooler climate ~~than~~  
482 ~~prior to the MECO in the late Eocene,~~ which matches ~~the~~ cooling trends recorded by clumped isotopes ~~both in~~  
483 ~~the Nangqian Basin (Li L. et al., 2019) and to the north in the Xining Basin (Page et al., 2019).~~ Importantly, the  
484 N/E ratio in the RZ section is lowest immediately following the ~~MECO warming interval in Zone II~~ (Fig. 2) and  
485 persists for an extended period, indicating rapid, prolonged aridification. ~~And an overall expansion of steppe-~~  
486 ~~desert vegetation is observed in Zone III, corresponding with patterns observed on the northeastern TP in the~~  
487 ~~late Eocene (Hoorn et al., 2012; Bosboom et al., 2014; Meijer et al., submitted).~~ Accordingly, our vegetation  
488 results have implications for understanding the importance and extent of aridification across Central Asia ~~after~~  
489 ~~40-Main the late Eocene,~~ which was primarily driven by proto-Paratethys Sea regression (Kaya et al., 2019).

490 The synchronous response of Ecosystem responses to this event on both the northeastern and east-central  
491 parts of the TP demonstrates that aridification across the Asian continental interior after 40 Ma in the late Eocene  
492 was intense and could have been further-reaching than previously thought. Our findings show that after sea  
493 regression, westerly moisture supply carried from the proto-Paratethys Sea was reduced as far as central Tibet.  
494 This provides further support for the argument that this sea was a major source of moisture for the Asian  
495 interior, and thus a primary driver of Central Asian climate during the Eocene (Bosboom et al., 2014; Bougeois  
496 et al., 2018; Kaya et al., 2019; Meijer et al., 2019).

497 Long-term aridification after the MECO in the late Eocene exerted further influence on vegetational  
498 composition in east-central Tibet with regards to the proportions of the ancestral vs. derived types of  
499 *Ephedripites*. In modern and Quaternary settings, this has been developed as a ratio to distinguish between  
500 desert and steppe-desert environments, termed the *Ephedra fragilis*-type s.l./*Ephedra distachya*-type (Ef/Ed)  
501 ratio (whereby *E. fragilis* represents the ancestral type and *E. distachya*, the derived type; Fig. 4). Tarasov et al.  
502 (1998) found the *E. fragilis*-type s.l. to be common in arid climates with mean temperatures of the warmest  
503 month above 22°C. Herzschuh et al. (2004) applied the Ef/Ed ratio to Holocene pollen spectra from the Alashan  
504 Plateau and tested its reliability with a regional modern pollen dataset, finding Ef/Ed ratios > 10 in most samples  
505 from desert sites, and values < 5 in most samples from the sites with more favourable climates (e.g., forest-  
506 steppe, steppe, and alpine meadow).

507 In the middle-late Eocene of Central Asia, the ancestral type of *Ephedripites* never comprises more than  
508 25% of the ephedroid pollen sum in northeastern Tibet while the derived type makes up at least 60% (Xining  
509 Basin; Han et al., 2016 and Qaidam Basin; Zhu et al., 1985; Miao et al., 2013a; Jiuquan Basin; Miao et al.,  
510 2008), and this also appears true for northwestern Tibet (Tarim Basin; Wang, et al., 1990b; Hoh Xil Basin; Miao  
511 et al., 2016) and east-central Tibet (Yuan et al., 2017; this study). Therefore, Ef/Ed ratios > 10 (supposedly  
512 indicative of desert ecosystems) are never observed, despite the N/E ratio indicating regular existence of deserts  
513 or semi-deserts in northern Tibet (Zhu et al., 1985; Hoorn et al., 2012; Miao et al., 2016), and central Tibet  
514 (Yuan et al., 2017; this study) in the Paleogene. Sedimentological evidence suggests the N/E ratio to be more  
515 reliable for these deep time environments, with *Nitraria* and *Ephedra* pollen being widely distributed in  
516 evaporites and red beds indicating deposition in arid or semi-arid climates (Sun and Wang, 2005). Therefore,  
517 while pollen ratios appear to reflect reliable functions of climate and landscape change for modern and  
518 Holocene settings (Li et al., 2010), our results identify possible contradictions between the N/E and Ef/Ed pollen  
519 ratios. This indicates that further verification of these pollen ratios in modern settings and across larger spatial

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520 scales is necessary for reliable palaeoenvironmental reconstructions in deep time.

521 A comparison of palynological assemblages across the Qinghai-Tibetan region indicates that vegetation has  
522 changed markedly from the Paleogene to the present (Fig. 3). While the Nangqian region was dominated by  
523 steppe-desert shrubs in the past, it now hosts primarily alpine biomes, as do the Hoh Xil and Xining basins. In  
524 contrast, the Tarim and Qaidam basins are now significantly more arid than in the Eocene, and forest- and shrub-  
525 steppe have been replaced with desert vegetation (Fig. 3). The Jianchuan Basin to the south was dominated by  
526 mixed tropical-subtropical coniferous and broad-leaved forest (Wu et al., 2018), and is also forested today (but  
527 with species of a less thermophilic nature). Similarly, the Markam and Gonjo basins host alpine meadow and  
528 forest today; although detailed palynological records have not yet been recovered, macrobotanical fossils  
529 suggest these areas were dominated by mixed broad-leaved and coniferous forest in the late Eocene–early  
530 Oligocene (Su et al., 2018; Studnicki-Gizbert et al., 2008). The above changes indicate that late Paleogene and  
531 Neogene topographic growth (creating new high-elevation biomes; Fig. 1A and B), the aridification of inner  
532 Asia (Caves et al., 2014, 2016), and global cooling (Zachos et al., 2001; DeConto and Pollard, 2003; Pagani et  
533 al., 2011) were all drivers of Cenozoic vegetation shifts across the TP.

534

535

### 536 **5.3 Elevational implications**

537 High-altitude conifers are rare in this particular record, although the high-elevation genus *Tsugaepollenites*  
538 (Fauquette et al., 2006) is present. This could be driven by four possible factors: 1) taphonomy i.e., the  
539 assemblage has a high proportion of autochthonous spores and pollen with little input from the peripheral  
540 mountains, 2) elevation of this region was relatively low in the middle–late Eocene (< 3000m as proposed by  
541 Botsyun et al., 2019; also see Wei et al., 2016), 3) due to the generally wetter climate in relation to the  
542 northeastern plateau basins, conifers are not competitive and surrounding mountains are instead forested by  
543 temperate angiosperms, and 4) ~~northern and~~ central Tibet ~~each recorded~~ regional pollen transported by different  
544 atmospheric circulation systems.

545 Regarding the first possibility, conifers are windblown and can be transported far distances (Lu et al., 2008;  
546 Ma et al., 2008; Zhou et al., 2011); as the region already likely experienced a monsoonal climate (Spicer, 2017;  
547 Licht et al., 2014; Caves et al., 2017; this study) we consider it unlikely that our assemblages record little to no  
548 regional vegetation. The second factor, elevation history of the TP, is a controversial topic of discussion, and  
549 palynological evidence from the RZ section does not provide strong support either for or against a relatively low

550 middle–late Eocene palaeoaltitude in the region. Although the upper part of the RZ section in the Nangqian  
551 Basin likely just pre-dates the high-elevation signal further to the north from 37 Ma onwards (Dupont-Nivet et  
552 al., 2008; Hoorn et al., 2012; Page et al., 2019), an expanding body of data indicates that a proto-Tibetan  
553 Highland with complex topography was already in place during the Paleogene (Xu et al., 2013; Ding et al.,  
554 2014; Wang et al., 2014; Valdes et al., 2019).

555 Isotopic evidence suggests moderate to high elevations for the Nangqian Basin in the late Eocene (valley  
556 floor 2.7 (+0.6/-0.4) km above sea level; surrounding mountains 3.0 ± 1.1 km above sea level; Li L. et al.,  
557 2019). In the adjacent Gonjo Basin, stable isotope data suggest the basin had already attained 2100–2500 m  
558 palaeoelevation by the early Eocene (Tang et al., 2017). Furthermore,~~s~~  
559 trees present in the new Nangqian assemblage could have grown at maximum elevations of 3600–4000 m  
560 during the Eocene (*Ilex*, *Quercus*: Song et al., 2010), and therefore their presence in lieu of abundant conifers is  
561 not in contradiction with an elevated topography in parts of east-central Tibet at this time. This has significance  
562 for other Asian palynological studies that infer regional palaeoaltitudes and uplift history of ~~Tibet~~<sup>the TP</sup> based  
563 solely on palynological records from a single locality: a multi-proxy approach is clearly necessary to address the  
564 complex history of ~~Tibetan~~<sup>TP</sup> uplift in future research.

565 ~~Palynological~~<sup>Open</sup> data from the RZ assemblage supports climate (the third possibility) rather than altitude  
566 as a primary driving factor of vegetational composition: locally wetter conditions in the east-central region of  
567 the TP (see Section 5.2) would likely have promoted angiosperm tree growth over cold-temperate conifers that  
568 can withstand drought better, and utilise a winter wet growing season unlike deciduous angiosperms (Dupont-  
569 Nivet et al., 2008; Hoorn et al., 2012; Page et al., 2019). The last possibility is also supported, with the  
570 palynology of this study suggesting that central Tibet was influenced by two atmospheric circulation systems:  
571 predominantly the westerlies from the north (Caves Rugenstein and Chamberlain, 2018), and (-to a limited  
572 degree) by a southern monsoon ~~in the middle–late Eocene~~, which could conceivably also have transported wind-  
573 blown pollen from sub-tropical and warm temperate broad-leaved forests ~~from~~<sup>in</sup> the south (Su et al., 2018).  
574 Today, the Nangqian region receives nearly 70% of its moisture from the SAM, with the Westerlies from the  
575 north making up the remainder (Li L. et al., 2019). This indicates that atmospheric circulation systems have  
576 changed considerably in east-central Tibet from the Paleogene to Neogene, despite the existence of monsoons in  
577 this region since at least the Eocene (Licht et al., 2014; Caves et al., 2017; Spicer, 2017). In contrast, the  
578 westerlies were the chief source of precipitation on the northern TP (see Section 5.2) and would have carried  
579 cold temperate conifer pollen from the mountains surrounding northeastern Tibet. Therefore, ~~w~~<sup>Based on the</sup>

580 ~~above, we~~ propose that ~~both discrete~~ local climatic conditions and ~~the influence of~~ different regional  
581 atmospheric circulation systems ~~were both primary driving factors of~~ contributed to the development of a unique  
582 ~~distinct~~ floral ecosystems in ~~the northern and southeast~~ central TP-Tibet during the ~~middle~~-late Eocene.

583

## 584 6. Conclusions

585 On the basis of palynological assemblages, we conclude that the rocks of the RZ section (Nangqian Basin)  
586 are ~~late Lutetian~~-Bartonian (~~late middle 41.2–37.8 Ma~~; late Eocene) in age. They record a strongly seasonal  
587 steppe-desert ecosystem characterised by *Ephedra* and *Nitraria* shrubs, diverse ferns and an underlying  
588 component of broad-leaved forests. The climate became significantly warmer ~~over the MECO for a short period~~,  
589 encouraging regional forest growth and a proliferation of the thermophilic ancestral *Ephedra* type, but rapidly  
590 aridified thereafter due primarily to regression of the proto-Paratethys Sea. This is in conjunction with observed  
591 environmental shifts in northeastern Tibet, ~~and provides further support for~~ suggesting widespread Asian  
592 aridification ~~after 40 Ma in~~ the late Eocene. A new palynozone better constrains the biostratigraphy of  
593 Paleogene successions across the northern, central, and southern TP, and also illustrates local ecological  
594 variability during the Eocene. This highlights the ongoing challenge of integrating various deep time records for  
595 the purpose of reconstructing palaeoelevation, and suggests that a multiproxy approach is vital for unravelling  
596 the complex uplift history of the Qinghai-Tibetan region-TP.

597

## 598 Author contribution

599 Q.Y., V.V., F.S.S., D.L.G., H.C.W. and Q.S.F. conceptualized the study. Q.Y., F.S.S., H.C.W., Z.J.Q., Y.S.D.  
600 and J.J.S. carried out fieldwork. Q.Y., N.B., V.V. and C.R. collected and analysed the data. Q.Y. wrote the first  
601 draft and N.B., V.V., and C.R. participated in review and editing of the final draft.

602

## 603 Competing interests

604 The authors declare that they have no conflict of interest.

605

## 606 Acknowledgments

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614 V.V. and 2017-03985 to C.R. Funding sources had no involvement in study design.

615

#### 616 **Data availability**

617 The authors declare that all data supporting the findings of this study are available in the supplementary  
618 information or published in a data repository at the following DOI: ~~<http://dx.doi.org/10.17632/xvp68wsd2p.4>~~  
619 ~~[10.17632/xvp68wsd2p.2](http://dx.doi.org/10.17632/xvp68wsd2p.2)~~.

620

#### 621 **Supplementary information**

622 Supplementary information is available for this paper (Fig. S1, S2, S3).

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