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- 2 Social Sciences: Anthropology
- 3
- Similar social complexity and cooperation in independent pastoralist societies 4
- 5 Short title:
- 6 Cooperative herding strategies in Norway and China
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- 27 **Author contributions:**
- 28 MGT, DJ, BJB, RM and MWN designed research; MGT and DJ collected data; MGT analyzed data; and
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- 30 **Keywords:**
- 31 Evolution of cooperation; social networks; field experiment; social institutions

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Significance statement 34

- 35 Cooperation in small-scale human societies is often organized around kinship. Patterns of
- 36 relatedness, socioecological context and subsistence strategies are known to affect the evolution of
- 37 social institutions promoting cooperation. Communities of reindeer herders in Norway and yak
- 38 herders in China utilize similar institutions to structure their cooperation: herding groups composed
- 39 of related and unrelated individuals. Despite vast differences between the study areas, we show that
- 40 these independently evolved institutions are associated with similar patterns of cooperation,
- 41 whereby herders prefer to cooperate with members of their own herding group rather than people
- 42 belonging to other groups, regardless of kinship. Similarities in social complexity might arise through
- 43 convergent cultural evolution due to the needs and problems arising from a pastoralist adaptation.

Abstract 44

- 45 Evolutionary studies of cooperation have shown how socioecological context shapes the extent to
- 46 which individuals help kin and non-kin. Pastoralists—people who make their living from herding
- 47 livestock—traditionally rely on networks of cooperating households containing relatives and others.
- 48 These herding groups provide examples of the independent emergence of similar social institutions
- 49 for organizing cooperation, despite the ecological, geographic and political differences in different
- 50 parts of the world. To shed light on how socioecological differences and commonalities affect these
- 51 social institutions, we compared cooperative decision-making using gift games for 1,404 pastoralists
- 52 across six sites in two countries (Saami areas in Norway and Tibetan areas in China). Members of the
- 53 same herding group received more gifts overall, regardless of kinship; gifts were preferentially given
- 54 to poorer herders, especially in Tibet. Most variance in gift-giving occurred between study sites, due
- 55 to differences in the effects of relatedness. Tibetan yak herders were most likely to give gifts to
- 56 closer relatives belonging to other, geographically distant, herding groups. This pattern was not 57
- observed among Saami reindeer herders; instead, gifts went to close relatives within the same
- 58 herding groups. Pastoralists cooperate with kin and non-kin within and between social groups in
- 59 nuanced and complex ways, indicative of a multilevel structure resulting from this subsistence
- 60 strategy. Our results form the first large-scale comparative study of social complexity in pastoralist
- 61 cooperation, revealing the importance of social ties beyond the family and the centrality of herding
- 62 groups as a general pattern for social organization among pastoralists.

Introduction

- 64 Empirical studies of social evolution in humans have shown how cooperative interactions among kin
- 65 of varying degree, as well as non-kin, are shaped in part by social and ecological contexts (1–14).
- 66 Previous studies have found more between-group than within-group variability in cooperativeness,
- 67 where 'groups' can refer to societies in different countries (6), ethnic groups in the same country
- 68 (14), or villages and camps within a single ethnic group (1, 8). Researchers disagree about the extent
- 69 to which this variation is driven by differences in market integration and stable society-wide cultural
- 70 norms (6), or more localized differences in demography (8) or expectations of trust and fairness (15).
- 71 Studies to date have not analyzed cross-cultural variation in cooperation among populations
- 72 following similar subsistence strategies and social organization, but where there are vast differences
- 73 in country-level social, political and ecological contexts. To address this gap, we examine variation in
- 74 cooperative behavior within and between groups of pastoralists living in Norway and China.
- 75 Assortment is fundamental for cooperation to evolve, and social networks are shaped by individuals
- 76 clustering on a number of dimensions, including reciprocal benefits, shared genes, reputations, need,
- 77 or the 'market value' of potential social partners (16–18). Disruptions to socioecological systems can

have unforetold consequences on social networks, especially for smaller-scale societies whose members rely on flexible cooperative interactions with others to survive and thrive: a pertinent example being pastoralists. Pastoralists often find themselves socially marginalized and tend to inhabit marginalized areas not well-suited to other subsistence strategies, such as farming. Many herders are experiencing challenges due to climate change, pasture fragmentation, changes in land tenure, globalization, and threats to their way of life. Although strategies of subsisting on herd animals have existed in various forms for thousands of years (19) little is known about the patterns and processes of contemporary pastoralist cooperation in different socioecological contexts.

Pastoralists around the world tend to organize their labor in cooperative herding groups (20). These groups are typically formed of several related households, allowing herders to pool risk, achieve economies of scale, and survive in otherwise uncertain environments, while also facilitating communication, monitoring and sanctioning (20–23). Within their social networks, pastoralists rely on herding group members over and above relatives (24); however, these groups often include close kin, suggesting a role for inclusive fitness benefits as a byproduct of assortment regardless of direct cooperative interactions. Social norms also affect cooperation among herders. Pastoralist groups in eastern Africa, for example, have developed norms allowing those in need to freely borrow livestock from herding partners with a surplus of animals, without obligations to repay (4); others leverage their friendship networks to recruit raiding partners (25).

Saami herders in Norway and herders on the Qinghai-Tibetan Plateau (QTP) in China utilize similar social institutions: cooperative groups—called *siida* in the Saami languages (26) and *ru skor** on the QTP (27)—that collaborate on herding tasks and share pastures at certain times of year. Pastoralism in Saami areas of Norway and on the QTP varies greatly in scale and extent. Reindeer herding encompasses approximately 120,000 km² (> 40% of mainland Norway), with a little over 3,000 herders owning ~250,000 reindeer (28). There are around 5 million Tibetan herders owning 12 million yaks and 30 million goats and sheep, with over 1.6 million km² of rangelands (~64% of QTP in China; see (29) and SI Text).

Organization of winter pastures in Finnmark, Norway, shifted in the late 1970s from a customary land tenure system to a commons system; today, winter pastures are in the process of becoming privatized or semi-privatized. Following the 1854 Reindeer Law for Finnmark, reindeer herding was formally (and physically) separated into different summer districts: pasture areas that can consist of several summer siidas, bounded by fences. In contrast, winter pastures are currently being reorganized primarily through establishing fixed winter siida grazing boundaries and user rules (30). Rangelands on the QTP were leased to households starting in the early 1990s, based on the number of inhabitants and are enclosed by fences. By the end of 2003 around 70% of China's usable rangeland was leased through long- term contracts, where 68% was contracted to individual households and the rest to groups of households or to villages, although estimates vary (31). In the study area, winter pastures were first contracted to individual households whereas the summer pastures were contracted to a maximum of three households (32). There are also households grazing separately from others, both in winter and summer areas; the preference for herding alone has been increasing since privatization was introduced. Given these differences, we expect that the spatial constraints and shared borders in Finnmark would necessitate higher levels of between-group cooperation and coordination to ameliorate issues such as mixing of herds, compared to the situation on QTP.

* Spelling varies: others use *Ru Rogs* or *Ru 'Khor* (51), *Ru sKor* (52), or *repkor* (53). Note, we will also use 'QTP' and 'Tibet' interchangeably.

- 121 To investigate variation in cooperative herding behavior within and between countries, we analyzed
- data from 212 reindeer herders in 33 herding groups across summer and winter districts within two
- zones in Finnmark, northern Norway and 1,192 yak herders from 172 herding groups in four villages
- in Maqu county, on the eastern part of QTP. We employed a gift allocation task to reveal the
- structure of existing social relationships, as used in groups of hunter-gatherers (1, 33) and
- 126 pastoralists (24, 25). In these gift games, participants anonymously distributed an endowment to at
- 127 least one other person (see Methods). Previous studies found that herders gave gifts to social
- 128 partners who were members of their herding group and/or relatives, people reputed to be high-
- quality partners, young people new to the lifestyle (24), or people who were high status in terms of
- 130 wealth and leadership (25).
- Despite the ecological, social and political differences between China and Norway, there are several
- similarities making these two pastoralist systems worthy of comparison. In both regions, pastoralists
- 133 face similar social dilemmas that require a balance between individual interests and collective
- interests (34), in addition to their similarities in social organization beyond the household that we
- explore here. The main question driving this comparative study is: What combinations of kin and
- non-kin in the same herding group or other herding groups are important for cooperation? We
- predict that, across all sites, members of the same herding group will be preferentially chosen as gift
- recipients, especially when they are relatives. We also explore the similarities and differences in
- patterns of gift-giving between sites; as in the studies cited above, we expect variation to be greater
- between groups than within.

141 Results and Discussion

- In total, 755 participants gave a total of 1,214 gifts (Table 1). Models of the gift networks include only
- the gift game players as 'egos' (i.e. potential givers) but all herders as 'alters', producing 219,112
- within-site dyads. There were 28-60 herding groups in the four Tibetan sites, 24 winter groups in one
- Saami site and nine summer groups in the other. The mean number of people in the Tibetan groups
- ranged from 3.98 [± 1 standard deviation (SD) = 4.26] to 12.46 (SD=18.05), and in the Saami groups
- ranged from 5.71 (SD=3.33) to 8.33 (SD=4.72). There were no differences in mean group relatedness
- between the sites (Table 1).
- Reindeer herders in Finnmark gave 74.1% of their 147 gifts to members of the same herding group,
- while yak herders in Tibet gave 40.6% of 1,067 gifts to members of the same group (Fig. S1). In
- Norway, the average amount received was \$10.61 purchasing power parity (PPP); the maximum
- amount received by any one herder was \$122.13 PPP. The average amount received in China was
- \$2.38 PPP, with the maximum amount received being \$33.18 PPP. Table S1 summarizes gifts by site.
- Siidas and ru skor were predominately composed of at least first cousins ($r \ge 0.125$) as well as non-
- kin (Fig. S2). In the Tibetan sites, approximately equal numbers of close kin (grandparents, parents,
- siblings and children; $r \ge 0.25$) belonged to other herding groups, whereas few close family
- members worked for other groups in Finnmark. Proportionally more gifts were given to non-kin on
- the QTP (range across the four sites: 61.5% 70.5%) and in Karasjok, Finnmark (53.5%; Fig. S3).
- 159 The Kautokeino site in Finnmark appears to be an outlier in terms of gift-giving behavior, with the
- majority of gifts (77.6%) going to relatives rather than non-kin. This may be in part due to the
- recognition of distantly related herders (r between 0.0078 and 0.0630; Fig. S2), which may have
- occurred because of different data collection techniques in this site (see SI Methods) or due to there
- being no upper limit on number of gift recipients (see Methods). However, the Kautokeino data

- focused specifically on cooperation in winter *siidas*, which tend to be smaller and more family-
- oriented groups (26).
- Across all study sites in both regions, relatedness and herding group co-membership positively
- predicted gift-giving, while the interaction term was negative (Fig. 1; Tables S2 and S3). Taken
- together, the predicted probabilities of gift giving as relatedness and group membership co-vary
- reveal similarities and differences within and between countries (Fig. 2). Across locations, members
- of the same herding group were more likely to receive gifts compared to people belonging to other
- 171 groups. In the two sites in Finnmark, herders preferred to give gifts to members of their herding
- group regardless of relatedness, although closer kin in the same siida were the most likely to receive
- 173 gifts. This pattern matches district-level evidence that kinship structures reindeer herders'
- 174 cooperation and productivity (21).
- Non-kin and distant kin in the QTP sites were more likely to receive gifts if they belonged to the same
- herding group as the giver. Yak herders were slightly more likely to give gifts to close kin belonging to
- other herding groups (Fig. 2); ru skor can be spread over great distances meaning that it is difficult to
- 178 provision these kin. Close kin in the same herding group are geographically and psychologically close,
- and may be considered members of the same household who might be supported by other means.
- As in previous cross-cultural studies of cooperation (6, 8, 14), there was more variance between sites
- than within, and in this case there was almost no variation between individuals within sites (Table 2
- and S5). In the best-fitting model (Fig. 1), 46.4% of the variance was explained by the between-site
- differences in the interaction between relatedness and herding group membership, while the varying
- slopes for relatedness explained a further 24.2% (Table 2 and S5). In a null model with only varying
- intercepts for egos nested in sites, 85.5% of the variance was explained by differences between sites
- 186 (Table S5). Overall, there were no systematic biases in parameter estimates or variances across sites
- 187 (Fig. 1).
- Despite being given anonymously, gifts were reciprocated at higher rates than expected by chance,
- especially among herders in the two sites in Finnmark, where 26.32 28.17% of gifts were
- reciprocated (Fig. S4). There was strong assortment on gift giving within herding groups, with
- assortativity coefficients ranging from 0.56 to 0.82 in Finnmark and from 0.26 to 0.61 in Tibet.
- 192 Participants did not preferentially give gifts to same-sex herders in most of the study sites, with the
- 193 exception of Jilehe and Tawa in Tibet; in these two villages, annual average income per household is
- lower compared to other villages in the China sites and the sex ratio is female-biased once monks are
- 195 excluded, suggesting that collaboration within genders is more important in these areas. In the two
- 196 Saami sites, the lack of assortment on sex is likely due to male-bias as a consequence of most
- 197 licensed herders being males (35).
- 198 Modularity—a measure of how a network can be partitioned into communities (36, 37)—in the four
- 199 Tibetan sites was higher than expected by chance, implying a stronger community structure featuring
- dense clusters of individuals giving gifts to one another (Fig. S4). In Karasjok, modularity was slightly
- 201 lower than expected by chance, with only 4.9% of the randomly generated modularity scores being
- less than observed modularity; modularity scores in Kautokeino were indistinguishable from chance.
- 203 This suggests more instances of cooperation between clusters of herders in Finnmark compared to
- Tibet, potentially resulting from increased interdependence due to larger per-capita herds operating
- in a more spatially constrained environment.
- 206 Saami pastoralists kept larger herds compared to people on the QTP (Fig. S5). Inequality in herd sizes,
- measured as Gini coefficients, are higher within the Tibetan sites (range: 0.385 0.454) than within
- Finnmark (range: 0.257 0.292); Tibetan Gini coefficients are slightly lower (i.e. higher equality) than

- reported by ref. (38). Across sites, herders receiving more gifts had below-average herd sizes (Fig. 3
- and S6), indicating that gifts tended to go to poorer herders, contrary to patterns observed among
- 211 East African pastoralists, who gave gifts to wealthier social partners (25). This pattern was not
- associated with age (Fig. S6 and Table S4) and it likely driven by the Tibetan herders' general
- 213 preference to give gifts to poorer herders, as stated during their interviews; there is no association
- between gifts and herd size in either of the Saami sites (results not shown). Between-subject
- 215 differences accounted for almost all variance in predicting herd size (99.6%); there was almost no
- variation between sites (0.4%; Fig. S7).
- An individual's position in their social network, as measured by indirect ties (e.g. friends of friends),
- 218 has been associated with benefits including increased reproductive success (39, 40). We quantified
- 219 social network position in terms of individuals' betweenness and eigenvector centrality; higher
- 220 betweenness scores mean that an individual acts as a bridge or broker between otherwise
- 221 unconnected people, while higher eigenvector centrality means that individuals are connected to
- other well-connected people (39). These measures of indirect connections were not associated with
- herd sizes (Table S4), suggesting that direct social bonds (i.e. gifts, in this case) are more important
- for pastoralist cooperation than how herders are connected to third parties and beyond.
- 225 Despite deep social, political and ecological differences between the countries, pastoralists in
- Norway and China follow similar subsistence strategies and have evolved similar social complexity in
- terms of institutions that shape cooperative networks. Through analyzing the social networks that
- 228 emerged from allocation decisions in an economic game, we found although that most variation in
- 229 gift giving occurred between sites, there were comparable patterns within the same country as well
- as broad similarities regardless of location. Pastoralists strongly depended on members of their
- 231 herding groups, especially close relatives. Social network structure beyond dyadic ties was not
- associated with herd productivity, in terms of number of animals owned. Overall, herders rely on a
- combination of kin (21) and the social institution of their herding group (20, 34, 41).
- 234 Future research should tie in observational measures of cooperation—especially costly forms of
- 235 cooperation, e.g. labor investment—as well as measures of reproductive success to produce a more
- comprehensive evolutionary account of social behavior in pastoralist societies. Beyond pastoralism,
- our results have relevance for the role of social institutions, population structure and the multilevel
- organization of human communities (42) in shaping observed similarities and variation across cultural
- 239 groups adopting comparable adaptive lifeways.

240 Methods

- The research in Tibet and in Karasjok, Norway, was approved in part by the University College
- 242 London research ethics committee. Fieldwork in Kautokeino, Norway, was undertaken in accordance
- 243 with the "General guidelines for research ethics" as stipulated by the Norwegian National Research
- 244 Ethics Committee (NNREC; https://www.etikkom.no/en/). Specifically, interviews where undertaken
- in accordance with NNREC's ethical checklist by: (1) obtaining written informed consent; (2) ensuring
- that no dependent relationship exists that could influence the subjects' decision to give consent; and
- 247 (3) guaranteeing anonymity and confidentiality of the informants.
- See SI Text for descriptions of the study sites and data collection procedures.
- 249 Gift games
- 250 Participants were endowed with a fixed sum and were asked to give everything away to at least one
- other person; they were not allowed to keep anything for themselves. Herders in QTP and Karasjok,
- 252 Finnmark, could give their endowment to a maximum of three people; there was no limit in

- 253 Kautokeino, but the median number of gifts given away was two (the maximum given by any one
- herder was 7 gifts). In Finnmark, participants could only give gifts to licensed herders within their
- district (siidaandeler; effectively heads of households). In Tibet, participants could give to anybody in
- their village except for people living in their household. See SI Text for further discussion.
- 257 Participants in China were endowed with 15 yuan (\$4.33 purchasing power parity [PPP] in July 2015);
- 258 herders in Karasjok, Norway, were given vouchers representing 15 liters of petrol (225 Norwegian
- kroner; \$24.92 PPP in July 2013); herders in Kautokeino, Norway, were endowed with 35 liters in
- petrol vouchers (525 NOK; \$52.34 PPP in July 2016). PPP amounts were calculated from the OECD's
- indicators for the relevant years and countries (43); see Table S1.
- 262 Statistical analyses
- To analyze gift decisions, we fit Bayesian multilevel logistic regressions with varying intercepts for gift
- 264 game participants nested within study sites. This model structure allows us to estimate site-level
- 265 effects as well as control for the non-independence of potential gift givers in dyads (44, 45); similar
- 266 model structures have been used in previous studies employing gift games (1, 24). A subset of
- 267 models also included varying slopes for sites in order to estimate the different effects of relatedness
- and group membership between areas (44, 46).
- 269 For the social network analysis of herding success, we fitted Bayesian multilevel linear regressions
- with varying intercepts for study site to predict herd size z-scores (see Table S2 for specifications).
- Herd sizes were standardized to mean = 0 over 1 standard deviation, grouped within sites, to allow
- 272 direct comparison across countries given the order of magnitude difference in livestock ownership
- 273 (Fig. S5).
- 274 All models were run for 2,000 iterations, discarding the first half as warm-up. We fitted one chain for
- 275 models of gift giving (due to the computational and temporal constraints of fitting such complex
- 276 models to a large dataset) and four chains for the social network analysis. We checked that \hat{R} scores
- 277 (the potential scale reduction factor, measuring convergence of chains) were close to 1.0 (they were
- in all cases).
- 279 For model selection in both regression analyses, we compared the approximate leave-one-out cross-
- validation information criteria (47)—an estimate of out-of-sample-predictive fit—and calculated
- 281 model weights by stacking posterior predictive distributions (48); in both cases, we selected the
- 282 model carrying most weight for analyses presented here. All models were fitted in R 3.3 (49) using
- the packages rstanarm (49) and loo (47, 48); social network statistics were calculated with iGraph
- 284 (50). See SI Text for details of model specifications. Data are deposited in [URL; DOI] and code to
- reproduce our analyses is available from https://github.com/matthewgthomas/hierarchies-gifts/

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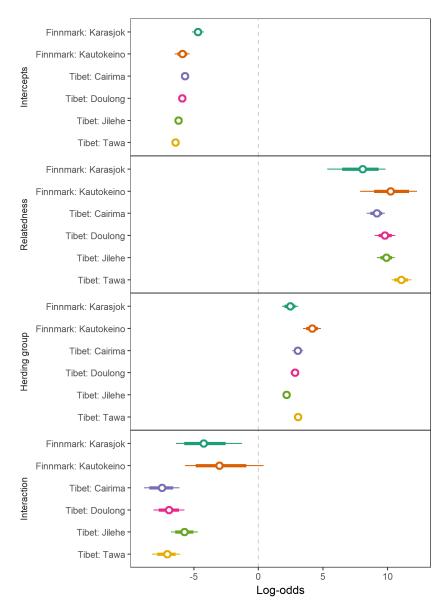
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Figures

Fig. 1: Log-odds from the best-fitting multilevel logistic model predicting gift giving; this model contains varying intercepts and varying slopes (Table S1). Points show medians, colored by study site; thick lines are 80% credible intervals; and thin lines are 95% credible intervals. Top panel shows varying intercepts for each site (intercepts for individuals within sites not shown); remaining panels show slopes for each predictor, varying by site. Grey dotted line represents no effect; each parameter estimate was statistically distinguishable from log-odds = 0. Parameter estimates and variances are shown in Table S3; Fig. 2 shows predictions from this model.



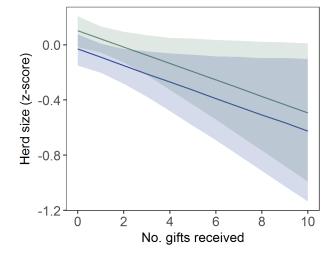
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Fig. 3: Predicted herd size (standardized) from number of gifts received (in-degree in the gift network) for males (green) and females (blue). The model was fitted on the subset of 1,071 herders for whom we had information about age, sex, and herd size. See Methods for model specification and Table S4 for the candidate set of models. Lines show parameter estimate medians and shaded ribbons are 95% credible intervals. See Table 1 for standard deviations in herd size to ease interpretation of these z-scores.



Tables

Table 1: Descriptive statistics of the samples in each site. 'Mean r in groups' refers to the grand mean coefficient of relatedness within each herding group within study sites.

Study site	N	No. givers	No. gifts	No. groups	Mean (SD) N in groups	Mean r in groups	Mean (SD) herd size
Finnmark: Karasjok	75	30	71	9	8.33 (4.72)	0.19	438.67 (185.38)
Finnmark: Kautokeino	137	30	76	24	5.71 (3.33)	0.07	431.03 (195.27)
Tibet: Cairima	239	138	212	60	3.98 (4.26)	0.17	49.24 (42.92)
Tibet: Doulong	256	147	212	50	5.12 (5.57)	0.17	52.79 (39.38)
Tibet: Jilehe	349	213	342	28	12.46 (18.05)	0.09	75.26 (54.66)
Tibet: Tawa	348	197	301	34	10.24 (11.69)	0.15	60.24 (45.66)
Totals	1,404	755	1,214	205	_	_	_

Table 2: Estimated variances and variance partition coefficients (VPCs) for varying intercepts and slopes in the best-fitting multilevel model (Table S2). Parentheses show standard deviations of the variance estimates; note that this was not calculated for the population average intercept, as this was a logistic regression without an error term.

Variance component	Variance	VPC
Population-average intercept	0.133	1.80 %
Egos nested in sites intercepts	0.002 (0.05)	0.03 %
Study site intercepts	0.679 (0.82)	9.22 %
Relatedness slopes	1.78 (1.33)	24.16 %
Herding group membership slopes	1.358 (1.17)	18.44 %
Relatedness x herding group slones	3 414 (1 85)	46 36 %