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# Atmospheric CO<sub>2</sub> over the Past 66 Million Years from Marine Archives

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## Keywords

CO<sub>2</sub>, boron isotopes, alkenones, climate, Cenozoic

## Abstract

Throughout Earth's history, CO<sub>2</sub> is thought to have exerted a fundamental control on environmental change. Here we review and revise CO<sub>2</sub> reconstructions from boron isotopes in carbonates and carbon isotopes in organic matter over the Cenozoic—the past 66 million years. We find close coupling between CO<sub>2</sub> and climate throughout the Cenozoic, with peak CO<sub>2</sub> levels of ~1,500 ppm in the Eocene greenhouse, decreasing to ~500 ppm in the Miocene, and falling further into the ice age world of the Plio–Pleistocene. Around two-thirds of Cenozoic CO<sub>2</sub> drawdown is explained by an increase in the ratio of ocean alkalinity to dissolved inorganic carbon, likely linked to a change in the balance of weathering to outgassing, with the remaining one-third due to changing ocean temperature and major ion composition. Earth system climate sensitivity is explored and may vary between different time intervals. The Cenozoic CO<sub>2</sub> record highlights the truly geological scale of anthropogenic CO<sub>2</sub> change: Current CO<sub>2</sub> levels were last seen around 3 million years ago, and major cuts in emissions are required to prevent a return to the CO<sub>2</sub> levels of the Miocene or Eocene in the coming century.

- CO<sub>2</sub> reconstructions over the past 66 Myr from boron isotopes and alkenones are reviewed and re-evaluated.

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- CO<sub>2</sub> estimates from the different proxies show close agreement, yielding a consistent picture of the evolution of the ocean-atmosphere CO<sub>2</sub> system over the Cenozoic.
- CO<sub>2</sub> and climate are coupled throughout the past 66 Myr, providing broad constraints on Earth system climate sensitivity.
- Twenty-first-century carbon emissions have the potential to return CO<sub>2</sub> to levels not seen since the much warmer climates of Earth's distant past.

## 1. RECONSTRUCTING ANCIENT CO<sub>2</sub>: WHY AND HOW?

An atmosphere of that [CO<sub>2</sub>] gas would give to our earth a high temperature; and if as some suppose, at one period of its history the air had mixed with it a larger proportion than at present, an increased temperature . . . must have necessarily resulted.

—Eunice Newton Foote (1856, p. 383), the first scientist to demonstrate the heat-trapping properties of CO<sub>2</sub>, goes on to describe the potential for CO<sub>2</sub>-driven climate change in the geological record, in her pioneering paper in 1856

Through its effect on Earth's radiation budget, atmospheric CO<sub>2</sub> is a major contributor to climate change, both past and present (Arrhenius 1896, Lacis et al. 2010, Rohling et al. 2012). As a weak acid, CO<sub>2</sub> is also intimately linked to the chemistry of the ocean and is capable of driving rapid ocean acidification (Caldeira & Wickett 2003, Hönlisch et al. 2012). Understanding the behavior of CO<sub>2</sub> within the Earth system—including the interactions and feedbacks that govern the global carbon cycle—is thus a scientific goal with major societal significance (Gattuso et al. 2015b, Masson-Delmotte et al. 2018).

The geological record contains abundant examples of major changes in the carbon cycle (Hönlisch et al. 2012). Rapid carbon injection from volcanoes and/or organic carbon reservoirs has repeatedly driven episodes of ocean acidification and global warming (Gutjahr et al. 2017, Müller et al. 2020, Penman et al. 2014), often associated with mass extinctions (Jurikova et al. 2020). And while rapid CO<sub>2</sub> change has repeatedly posed a challenge to life on Earth, the long-term regulation of CO<sub>2</sub> has ultimately maintained our planet's habitability (Kasting 2019). The patterns and processes of paleo-CO<sub>2</sub> change not only are fascinating in their own right but also, importantly, can inform our understanding of the impact of future CO<sub>2</sub> change (Rohling et al. 2012, Royer 2016).

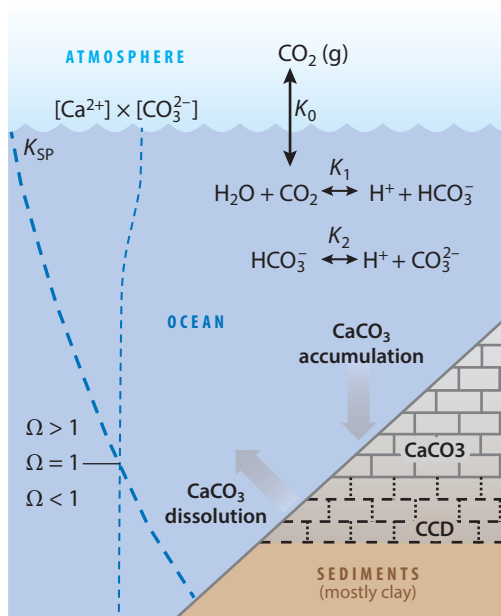
Yet despite the importance of CO<sub>2</sub> in our planet's past and future, reconstructions of CO<sub>2</sub> change through geological time have, until recently, been relatively sparse and, in some intervals, hard to interpret. For instance, while the pioneering CO<sub>2</sub> reconstructions of Pearson & Palmer (1999, 2000) and Pagani et al. (1999, 2005) show a decrease in mean values as climate cools over the past 50 million years (see Zachos et al. 2008, figure 2), the high amplitude variability in the earlier portions of these records and the relative stability in their later parts are hard to explain. In recent years, substantial progress has been made in methods of CO<sub>2</sub> reconstruction and their application to the geological record (Anagnostou et al. 2016, Beerling & Royer 2011, Bolton & Stoll 2013, Dyez et al. 2018, Foster & Rae 2016, Jurikova et al. 2020, Witkowski et al. 2018, Zhang et al. 2013) (see **Supplemental Table 1**). Here we review CO<sub>2</sub> reconstructions from two widely used and rapidly growing methods: carbon isotopes in alkenones and boron isotopes in planktic foraminifera. These methods have been the focus of much of the recent work by our research groups, and we hope that the re-evaluation provided here will provide a useful contribution to wider efforts to combine a broader range of paleo-CO<sub>2</sub> proxies (see **Supplemental Table 1**; and

### Alkenones:

long-chain (C<sub>36</sub>–C<sub>39</sub>) di-, tri-, and tetra-unsaturated ethyl and methyl ketones; alkenones in sediments are commonly used as biomarkers of haptophyte algae

### Foraminifera:

single-celled amoeba-like organisms; many produce calcite shells, which are common in marine cores and widely used in environmental reconstruction



**Figure 1**

The  $\text{CO}_2$  system of the atmosphere, the ocean, and its sediments. The equilibrium between  $\text{CO}_2$  gas in the atmosphere and dissolved aqueous  $\text{CO}_2$  in seawater is set by  $K_0$ , the Henry's law constant. Dissolved  $\text{CO}_2$  then reacts with water to form  $\text{HCO}_3^-$  and  $\text{CO}_3^{2-}$ , with  $K_1$  and  $K_2$  denoting the equilibrium constants of these reactions. Much of the seafloor is coated by calcium carbonate ( $\text{CaCO}_3$ ) sediments, including coral reefs in shallow waters and the fallen shells of planktonic carbonate producers in the deep sea.  $\text{CaCO}_3$  accumulates provided that the product of its ingredients ( $[\text{Ca}^{2+}] \times [\text{CO}_3^{2-}]$ ) is greater than  $K_{\text{SP}}$  (the solubility product); this ratio sets the saturation state of seawater, denoted  $\Omega$  (i.e.,  $\Omega = [\text{Ca}^{2+}] \times [\text{CO}_3^{2-}]/K_{\text{SP}}$ ).  $K_{\text{SP}}$  is strongly pressure dependent, so  $\Omega$  of calcite (the predominant form of oceanic  $\text{CaCO}_3$ ) decreases from  $\sim 6$  in warm surface waters to less than 1 in the abyss. This causes a sharp increase in  $\text{CaCO}_3$  dissolution at depth: The carbonate compensation depth (CCD) is the level where carbonate dissolution balances the rain of pelagic carbonate. Below this depth, little  $\text{CaCO}_3$  is found in sediments, which are dominated by clay.

see <https://www.paleo-co2.org>). We focus on the Cenozoic—the past 66 million years—where marine-based  $\text{CO}_2$  reconstructions can be readily compared to abundant marine-based reconstructions of climate (Evans et al. 2018, Herbert et al. 2016, Lear et al. 2000, Tierney et al. 2019a, Zachos et al. 2001). During this era, climate evolves from the warm greenhouse world of the Eocene to the ice-clad world of the recent ice ages, motivating study of the role of  $\text{CO}_2$  in this major transition (Westerhold et al. 2020, Zachos et al. 2001).

In this review, we provide a brief overview of  $\text{CO}_2$ 's behavior in seawater (Section 2) before reviewing and updating  $\text{CO}_2$  records from alkenones (Section 3) and boron isotopes (Section 4), building a consistent picture of the Cenozoic  $\text{CO}_2$  system (Section 5). We discuss potential controls on long-term  $\text{CO}_2$  change (Section 6) and the long-term coupling of  $\text{CO}_2$  and climate apparent in these data (Section 7), and we then place current and future  $\text{CO}_2$  change in the context of the geological record (Section 8).

## 2. $\text{CO}_2$ IN SEAWATER

$\text{CO}_2$  is an unusual gas, in that its main reservoir at Earth's surface is not the atmosphere but the ocean (see **Figure 1** and the sidebar titled  $\text{CO}_2$ : Concentration Versus Partial Pressure). This

## CO<sub>2</sub>: Concentration Versus Partial Pressure

Atmospheric CO<sub>2</sub> is commonly expressed as a partial pressure ( $p\text{CO}_2$ , in units of microatmospheres) or as a concentration or mole fraction (CO<sub>2</sub> or  $x\text{CO}_2$ , in units of parts per million), which are related by this formula:

$$p\text{CO}_2 \text{ (}\mu\text{atm)} = (p_{\text{total}} - p\text{H}_2\text{O}) \times x\text{CO}_2 \text{ (ppm)}.$$

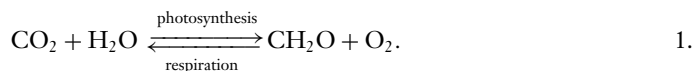
In dry air ( $p\text{H}_2\text{O} = 0$ ) with a total pressure of 1 atm ( $p_{\text{total}} = 1$ ), partial pressure and mole fraction are equal. However air equilibrated with seawater is typically assumed to have 100% humidity. As a result,  $p\text{CO}_2$  is lower than  $x\text{CO}_2$ , by ~3% at 25°C and ~6% at 35°C. For warm conditions with high CO<sub>2</sub> levels,  $p\text{CO}_2$  may therefore be around 100 ppm lower than CO<sub>2</sub> concentration. It is thus important that these terms are not used interchangeably. We note that  $p\text{CO}_2$  is the physical property that drives ocean-atmosphere CO<sub>2</sub> exchange (**Figure 2**), while CO<sub>2</sub> concentrations are typically reported for ice core data and used as input for climate models and in future climate change scenarios. Unless otherwise specified, in this review we report atmospheric CO<sub>2</sub> concentration (or mole fraction) in units of parts per million by volume (equivalent to  $\mu\text{mol/mol}$ ).

results from the reaction between CO<sub>2</sub><sup>1</sup> and water to form bicarbonate (HCO<sub>3</sub><sup>-</sup>) and carbonate ion (CO<sub>3</sub><sup>2-</sup>). These dissolved inorganic carbon (DIC) species are linked by a series of acid-base reactions (**Figure 1**).

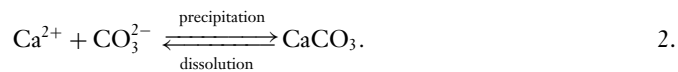
As CO<sub>2</sub> is readily exchanged between the ocean and the atmosphere (**Figure 2**), the state of the ocean's CO<sub>2</sub> chemistry is largely responsible for setting atmospheric CO<sub>2</sub>. If ocean pH is low, the reactions in **Figure 1** get pushed toward the CO<sub>2</sub> end (right to left), elevating dissolved [CO<sub>2</sub>] in surface waters and CO<sub>2</sub> gas in the atmosphere; if ocean pH is high, the reactions go from left to right, elevating [CO<sub>3</sub><sup>2-</sup>] and lowering CO<sub>2</sub>.

Ocean pH, in turn, is set by the balance between alkalinity (which tracks the strong acids and bases in seawater) (see the sidebar titled Alkalinity) and DIC (seawater's most abundant weak acid-base system). If the major ion chemistry of the ocean gives high alkalinity (i.e., a large excess of strong base cations such as Na<sup>+</sup> and Ca<sup>2+</sup> relative to strong acid anions such as Cl<sup>-</sup> and SO<sub>4</sub><sup>2-</sup>), and if the pool of DIC is relatively small, the carbonate system must be pulled toward doubly charged CO<sub>3</sub><sup>2-</sup> to maintain charge balance. Conversely, if a large pool of DIC exists but alkalinity is small, much of the DIC must be present as uncharged CO<sub>2</sub>. The control of alkalinity and DIC on seawater CO<sub>2</sub> chemistry is illustrated by the contour plot in **Figure 3**. Note that knowledge of any two carbonate system parameters (CO<sub>2</sub>, HCO<sub>3</sub><sup>-</sup>, CO<sub>3</sub><sup>2-</sup>, alkalinity, DIC, pH) allows the rest of the carbonate system to be determined.

Changes in alkalinity and DIC come about through biogeochemical reactions. Within the ocean, photosynthesis draws down DIC to make organic matter, which may be remineralized back to DIC by respiration:

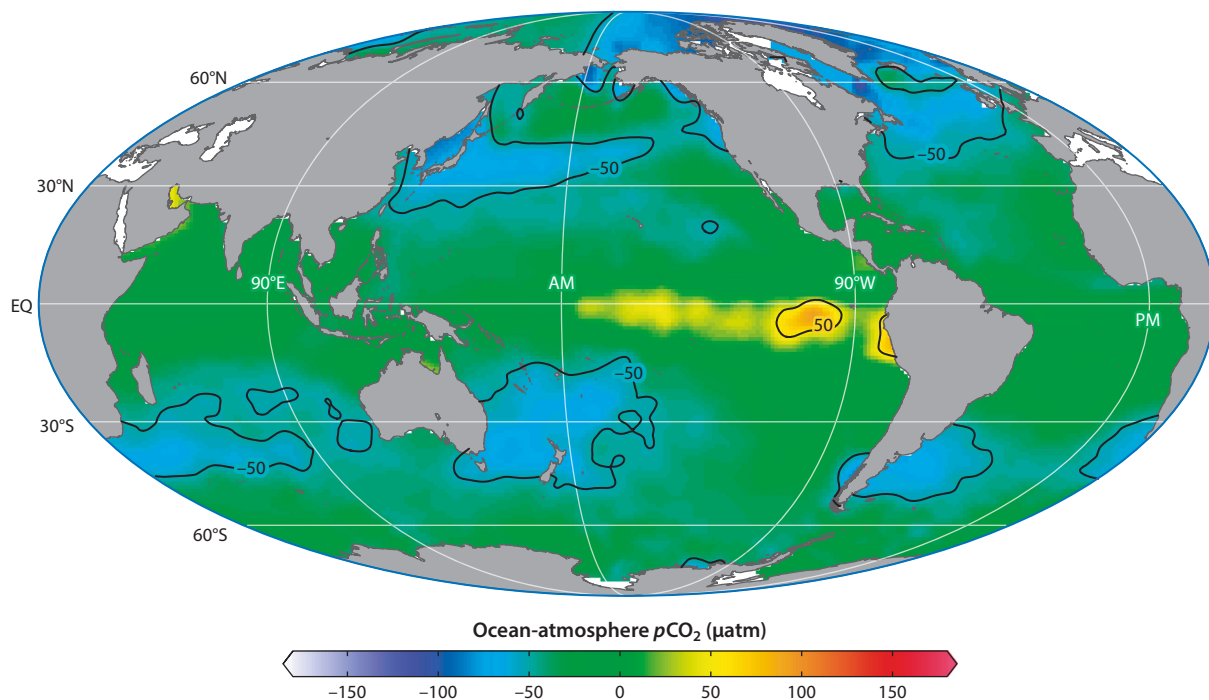


The cycling of CaCO<sub>3</sub> is also important, with precipitation of CaCO<sub>3</sub> (typically by biocalcification in the modern ocean) consuming two equivalents of alkalinity per mole of DIC. CaCO<sub>3</sub> dissolution on the seafloor rereleases alkalinity and DIC in a 2:1 ratio:



**Dissolved inorganic carbon (DIC):** the sum of dissolved CO<sub>2</sub>, bicarbonate (HCO<sub>3</sub><sup>-</sup>), and carbonate ion (CO<sub>3</sub><sup>2-</sup>)—i.e., DIC = [CO<sub>2</sub>] + [HCO<sub>3</sub><sup>-</sup>] + [CO<sub>3</sub><sup>2-</sup>]

<sup>1</sup>We use dissolved CO<sub>2</sub> concentration [CO<sub>2</sub>] to refer to aqueous CO<sub>2</sub> [CO<sub>2</sub> (aq)] plus carbonic acid [H<sub>2</sub>CO<sub>3</sub>]; CO<sub>2</sub> (aq) is ~300 times more abundant than H<sub>2</sub>CO<sub>3</sub>.



**Figure 2**

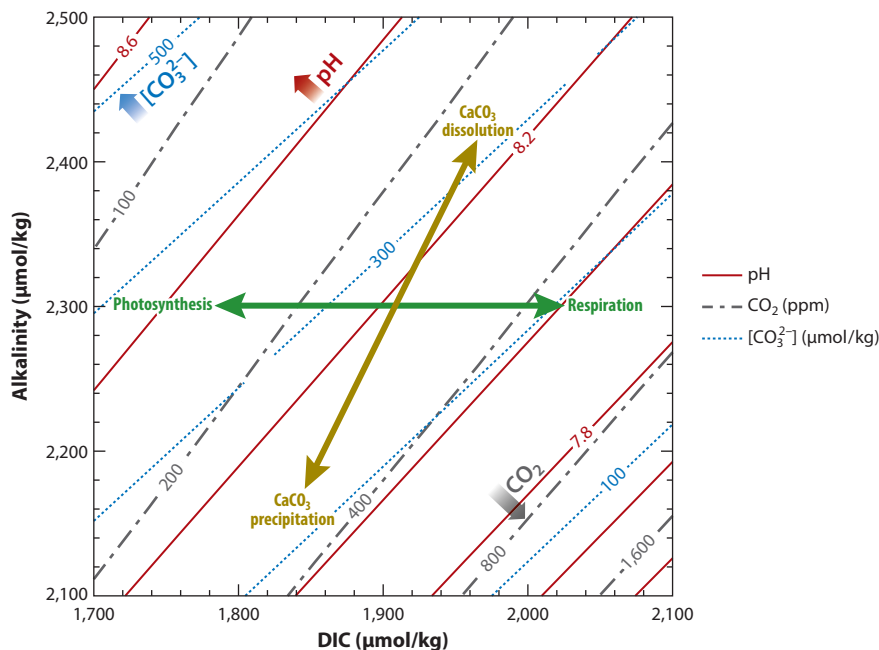
Difference in partial pressure of  $\text{CO}_2$  between the surface ocean and the atmosphere. Atmospheric reconstructions can be obtained from the marine realm because  $\text{CO}_2$  cycles rapidly between the surface ocean and the atmosphere, with large tracts of the ocean's surface—in particular in the subtropics—maintaining close equilibrium with the atmosphere (contours indicating  $\pm 50 \mu\text{atm}$ ). Surface water  $p\text{CO}_2$  is higher than the atmosphere (red colors) in some upwelling regions (e.g., the Eastern Equatorial Pacific) where  $\text{CO}_2$ -rich waters are brought to the surface, although this is partially offset by cooler temperatures (see **Supplemental Figure 1**). Surface water  $p\text{CO}_2$  values lower than the atmosphere (blue colors) are found at mid-latitudes where surface waters from the subtropics, previously in equilibrium with the atmosphere, are cooled. The annual average gridded climatology data are from Takahashi et al. (2014), referenced to 2005 (with atmospheric  $\text{CO}_2$  of  $400 \mu\text{atm}$ ), plotted using Ocean Data View.

**Supplemental Material** >

## ALKALINITY

Alkalinity is a central concept in  $\text{CO}_2$  chemistry and, unfortunately, a common source of confusion.

Alkalinity is measured by titration of seawater with strong acid. The  $\text{H}^+$  from the acid combines with the  $\text{CO}_3^{2-}$  and  $\text{HCO}_3^-$  in seawater to form  $\text{CO}_2$ . The greater the concentration of  $\text{CO}_3^{2-}$  and  $\text{HCO}_3^-$ , the greater the addition of  $\text{H}^+$  to reach the titration's  $\text{CO}_2$  endpoint, and the higher the alkalinity. But what sets the abundance of  $\text{CO}_3^{2-}$  and  $\text{HCO}_3^-$  in the first place? This is best answered by considering that all solutions maintain charge balance. Summing the charges of the major elements (or strictly speaking, the strong bases and acids, which are fully dissociated and do not change their speciation as a function of pH) in seawater ( $\text{Na}^+ + \text{K}^+ + 2 \times \text{Mg}^{2+} + 2 \times \text{Ca}^{2+} \dots$  versus  $\text{Cl}^- + 2 \times \text{SO}_4^{2-} + \dots$ ) reveals an excess of positive charge. Charge balance is maintained by the sum of negative charges from  $\text{HCO}_3^-$  and  $2 \times \text{CO}_3^{2-}$  (plus other minor weak acid base species). We thus arrive back at our original analytical definition of alkalinity via consideration of major element charge imbalance, which provides an alternative definition and may be usefully linked to biogeochemical reactions. (For more detail, see Zeebe & Wolf-Gladrow 2001 and Middelburg et al. 2020.)



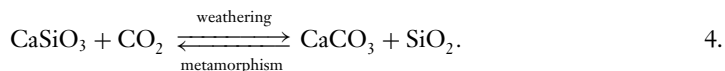
**Figure 3**

Relationships between key components of the  $\text{CO}_2$  system as a function of the master variables, alkalinity and dissolved inorganic carbon (DIC).  $\text{CO}_2$  contours show the atmospheric  $\text{CO}_2$  concentration (in parts per million by volume) in equilibrium with this water. pH,  $\text{CO}_2$ , and  $[\text{CO}_3^{2-}]$  have roughly parallel contours in alkalinity-DIC space with a slope of  $\sim 1$ . When alkalinity is high relative to DIC, pH and  $[\text{CO}_3^{2-}]$  are high and  $\text{CO}_2$  is low; when DIC is high relative to alkalinity, pH and  $[\text{CO}_3^{2-}]$  are low and  $\text{CO}_2$  is high. Note that the equilibrium constants of the carbonate system (**Figure 1**) are influenced by temperature, pressure, salinity, and the major ion composition of seawater (due to ion pairing interactions). This plot is shown for  $25^\circ\text{C}$ , 35 psu, sea surface pressure, and  $[\text{Ca}^{2+}]$ ,  $[\text{Mg}^{2+}]$ , and  $[\text{SO}_4^{2-}]$  at their modern values; changes to these values will slightly alter the slopes of these contours. In contrast, alkalinity and DIC are conservative and do not change as a function of temperature or pressure, and they scale linearly with changes in salinity.

On longer timescales, alkalinity is supplied to the ocean by chemical weathering reactions, which release strong base cations from silicate rocks. The following reaction between a silicate mineral (wollastonite) and  $\text{CO}_2$  dissolved in water represents an addition of two equivalents of alkalinity with no net change in DIC:



Coupling alkalinity supply through weathering (Equation 3) and removal by carbonate precipitation (Equation 2) gives the simplified Urey reaction (Urey 1952), which is commonly used to conceptualize silicate weathering's influence on  $\text{CO}_2$ :



The reverse of this reaction represents thermal decarbonation during metamorphism of carbonate rocks.

These  $\text{CO}_2$  system concepts are central in reconstructing atmospheric  $\text{CO}_2$  from marine archives, via either determination of dissolved  $\text{CO}_2$  using alkenone  $\delta^{13}\text{C}$  (Section 3) or determination of pH from foraminiferal  $\delta^{11}\text{B}$  (Section 4). They are also important for consideration of



the mechanisms of CO<sub>2</sub> change due to their roles in setting the alkalinity and DIC of the ocean-atmosphere CO<sub>2</sub> system (Section 6). (For more detailed treatment of seawater's CO<sub>2</sub> chemistry, see Zeebe & Wolf-Gladrow 2001 and Sarmiento & Gruber 2006.)

### 3. ALKENONE-BASED CO<sub>2</sub> RECONSTRUCTIONS

The phytoplankton CO<sub>2</sub> proxy is based on a relationship between dissolved CO<sub>2</sub> concentration and the photosynthetic fractionation of carbon isotopes in organic matter ( $\epsilon_p$ ) that has been fixed by marine photosynthetic algae (Freeman & Hayes 1992) (see the schematic in **Supplemental Figure 2**). While early research used bulk organic matter and kerogen to determine  $\epsilon_p$  (Dean et al. 1986), advances in analytics have allowed the majority of recent isotopic analyses to be made on specific molecular compounds (Hayes et al. 1990). These include geoporphyrins (Popp et al. 1989), pristane, and phytane (Freeman & Hayes 1992, Naafs et al. 2016, Witkowski et al. 2018), all of which are chlorophyll diagenetic products, as well as a group of long-chain ketones called alkenones, which are produced by a few species of haptophyte algae in the modern ocean and which are more abundant in the Neogene but also found in Paleogene and Cretaceous sediments (Brassell 2014). Biomineral-bound organic carbon has also been used to measure photosynthetic carbon isotope fractionation of fossil diatoms, and diatom-specific sterols have been measured in water column samples (Heureux & Rickaby 2015, Mejía et al. 2017, Pancost et al. 1997). Analysis of carbon isotopes in individually picked organic-walled dinoflagellates is also under development (Sluijs et al. 2018).

In this review, we focus on the application of the phytoplankton proxy using alkenones, as they have been the most widely applied phase for  $\epsilon_p$  determination. It is clear that alkenone  $\epsilon_p$  is sensitive to changes in CO<sub>2</sub>, but significant evolution in understanding of the proxy in the past decade (Badger et al. 2019; Stoll et al. 2019; Zhang et al. 2019, 2020) has led to new procedures for estimating CO<sub>2</sub> from a given  $\epsilon_p$  for many time periods in the past. As a consequence, the most accurate interpretation of the proxy lies in updated recalculation of CO<sub>2</sub> rather than compilation of as-published CO<sub>2</sub> estimates. We review these advances and the important gaps that affect confidence in CO<sub>2</sub> estimations, and we acknowledge that future revisions to absolute CO<sub>2</sub> calculations will be important as the calibration database becomes more robust and our understanding of the physiology of the extinct phytoplankton species improves.

#### 3.1. The Evolution of Alkenone-Based CO<sub>2</sub> Reconstructions

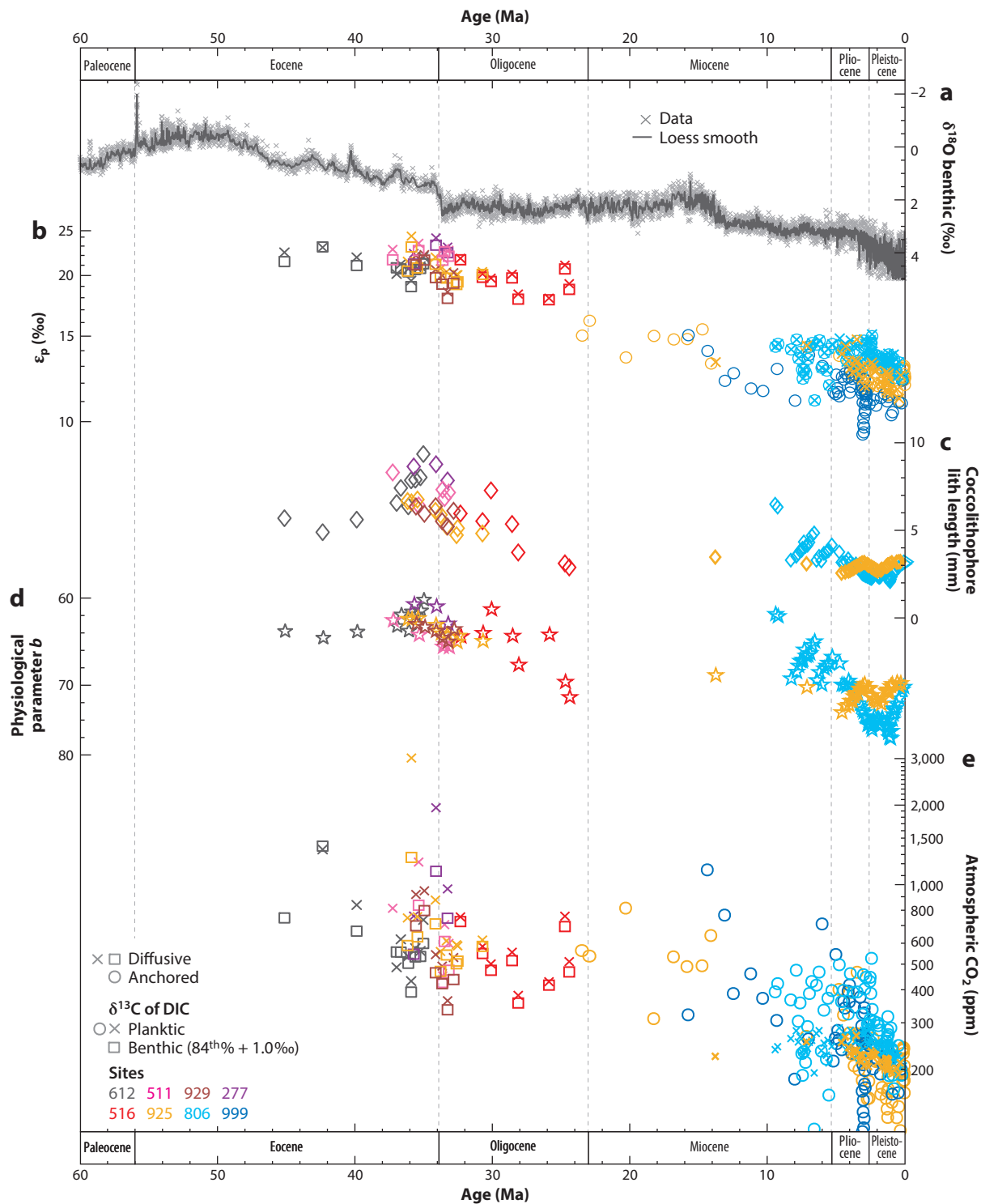
A large number of  $\epsilon_p$  determinations from alkenones have been made on timescales spanning the Eocene through the Pleistocene. Notably, in their raw form these  $\epsilon_p$  records show similar structure to the Cenozoic benthic  $\delta^{18}\text{O}$  record (**Figure 4**), suggestive of long-term coupling between CO<sub>2</sub> and global climate, although offsets in absolute  $\epsilon_p$  values are apparent between core sites. To estimate CO<sub>2</sub>, most of these studies have assumed a hyperbolic increase in  $\epsilon_p$  with 1/CO<sub>2</sub> based on application of a theoretical model of carbon uptake by phytoplankton cells (Laws et al. 1995, Popp et al. 1998, Rau et al. 1996). This interpretative framework for phytoplankton  $\epsilon_p$  is based on the principle of diffusive CO<sub>2</sub> uptake into a single compartment cell driven by the gradient established by the rate of carbon fixation. This model also illustrates how higher phytoplankton growth rate and larger cell radius would be expected to lower  $\epsilon_p$ , and higher cellular permeability could increase  $\epsilon_p$  (Rau et al. 1996, Popp et al. 1989).

Most commonly, an empirical hyperbolic solution has been established whereby the dissolved seawater [CO<sub>2</sub>] is equated to  $\epsilon_p$  through the use of a coefficient  $b$ , which should encompass a series of physiological, non-CO<sub>2</sub> influences on fractionation, and by referencing to  $\epsilon_f$ , the assumed 25‰ maximum enzymatic fractionation by Rubisco, the enzyme responsible for photosynthetic

#### Supplemental Material >

$\epsilon_p$ : the carbon isotope fractionation between aqueous CO<sub>2</sub> and phytoplankton biomass, the  $\delta^{13}\text{C}$  of which can be estimated from foraminifera and alkenones, respectively

**Haptophytes**: a clade of photosynthetic algae, including the calcareous plate-bearing coccolithophores (some of the most abundant open ocean phytoplankton), and species that lack coccolith plates



(Caption appears on following page)



**Figure 4** (Figure appears on preceding page)

Updated CO<sub>2</sub> reconstructions from alkenone δ<sup>13</sup>C. (a) Benthic δ<sup>18</sup>O from Westerhold et al. (2020); individual data points in gray crosses with loess smooth in dark gray line. (b) Carbon isotope fractionation (ε<sub>p</sub>) between the phytoplankton biomass and aqueous CO<sub>2</sub>. δ<sup>13</sup>C of dissolved inorganic carbon (DIC) estimates are shown from planktic foraminifera (corrected for vital effects) (*crosses* and *circles*) and also, in the older part of the record, from the upper range (eighty-fourth percentile) of the benthic δ<sup>13</sup>C stack plus an offset of 1.0‰ (*squares*) to give a representative surface ocean value less influenced by planktic δ<sup>13</sup>C vital effects, which are less well constrained in this interval. (c) Measured coccolithophore lith length. (d) *b* values used in updated ε<sub>p</sub> to CO<sub>2</sub> calculation following Zhang et al. (2020) that use measured coccolith lengths to inform coupled changes in cell size and growth rate. (e) CO<sub>2</sub> calculated following Zhang et al. (2020) (*open squares* and *crosses*) and also, for the Neogene, by late Quaternary anchoring (*open circles*), informed by the culture study of Stoll et al. (2019). Note that a couple of anomalous high CO<sub>2</sub> points around 35 Ma are the result of anomalous planktic δ<sup>13</sup>C; the approach using an offset from the benthic stack gives more coherent values. Different sites are indicated by symbol color, as described in the legend. Data are from Badger et al. (2019), Bolton & Hernández-Sánchez (2016), Pagani et al. (2005, 2010, 2011), and Zhang et al. (2013, 2017), with calculations as described in the text. All data are available as online **Supplemental Material**.

carbon fixation:

$$\varepsilon_p = \varepsilon_f - \frac{b}{[\text{CO}_2]}. \quad 5.$$

This relationship has been used for establishing nearly all alkenone-based CO<sub>2</sub> records to date, using an estimation of the appropriate value of *b* to be applied in ancient settings. Most commonly, the *b* value has been deduced for modern oceanographic settings and has been assumed to remain constant for that location in the past. Typically, the *b* value for the modern setting has been inferred from analysis of ε<sub>p</sub> in modern water column phytoplankton or by applying a regression between *b* and the concentration of a major nutrient, [PO<sub>4</sub>], derived from spatial variations in ε<sub>p</sub> in phytoplankton throughout the modern surface ocean (Bidigare et al. 1997).

Several lines of evidence now suggest that this calibration approach requires revision to yield accurate estimates of absolute past CO<sub>2</sub>. Study of ε<sub>p</sub> over Pleistocene glacial-interglacial cycles for which CO<sub>2</sub> is independently constrained by ice core records (Bereiter et al. 2015) shows that, in every site explored, these inferred non-CO<sub>2</sub> effects (*b*) are highest during the interglacial and lowest during the glacial (Badger et al. 2019, Stoll et al. 2019, Zhang et al. 2019). At the same time, the present-day (photic zone) correlations between the physiological parameter (*b*) and [PO<sub>4</sub>] are not broadly representative of the past (Zhang et al. 2019). Analogously, over glacial cycles, the difference between observed ε<sub>p</sub> and that predicted by diffusive models is correlated to [CO<sub>2</sub>] (Badger et al. 2019, Stoll et al. 2019).

Recent insights in coccolithophorid physiology may provide some explanations for the observed deviations from the expected physical diffusive model. One factor contributing to the deviations may be that the relationship between ε<sub>p</sub> and [CO<sub>2</sub>] in alkenone producers is affected by the operation of carbon concentrating mechanisms (CCMs), which enhance the intracellular concentration of CO<sub>2</sub> at the site of photosynthesis when [CO<sub>2</sub>] is limiting (Stoll et al. 2019). CCMs have been shown to affect the relationship between ε<sub>p</sub> and [CO<sub>2</sub>] in other marine phytoplankton (e.g., Hopkinson et al. 2011, Laws et al. 1995). In addition, the ε<sub>f</sub> maximum fractionation in Rubisco from diatoms and coccolithophorid *Emiliania huxleyi* has been estimated in vitro to be in the range of 11‰ to 18‰ (Boller et al. 2011, Wilkes et al. 2018), substantially less than the 25‰ to 28‰ routinely used in the calculation of the diffusive model (Pagani 2002, Rau et al. 1996) or the *b* approximation of Equation 5. While most recent multicompartment cellular physical models of carbon isotope fractionation in coccolithophores have accounted for CCMs, none have yet incorporated the potential for the estimated lower in vitro Rubisco fractionation (Bolton & Stoll 2013, Holtz et al. 2017, McClelland et al. 2017). The implications of this lower Rubisco fractionation factor for the phytoplankton proxy, and the potential for other fractionating steps to contribute to observed in vivo fractionation, are still under discussion (Wilkes & Pearson 2019).

**Supplemental Material** >

One approach to overcome some of the challenges evident in late Quaternary proxy versus ice core comparisons has been to work within the framework of the physical diffusive model to improve constraints for the physiological parameter  $b$ . According to the physical diffusive model,  $b$  is most sensitive to cell size, algal growth rate, and cell membrane permeability to  $\text{CO}_2$ , whereas abiotic factors such as ocean temperature, pH, and salinity exert only a minor influence on  $b$  (Zhang et al. 2020). Recent determinations of cell membrane permeability to  $\text{CO}_2$  in coccolithophore *E. huxleyi* and *Calcidiscus leptoporus* indicate it is not strongly sensitive to environmental factors (Blanco-Ameijeiras et al. 2020). Therefore, cell size and growth rate are expected to most strongly influence  $b$  in the case of diffusive  $\text{CO}_2$  acquisition. Based on the evidence that coccolithophore cell size correlates inversely with growth rates in all available cultures (Aloisi 2015), one can estimate a combined growth rate and size effect on  $\epsilon_p$  (Zhang et al. 2020). This is inferred to be an extension of the size rule proposed to describe growth rates across a range of phytoplankton from picoplankton to large diatoms (Chen & Liu 2010, Finkel et al. 2010). In turn, past cell sizes of alkenone producers can be reconstructed from well-established relationships between cell size and the length of the coccoliths from alkenone producers preserved in the same sediments from which alkenones are extracted (Henderiks & Pagani 2007).

As the physical models of fractionation are under revision, an alternative approach has been to derive a purely empirical estimation of the sensitivity of  $\epsilon_p$  to  $[\text{CO}_2]$  and other environmental variables via assimilation of all published data from laboratory cultures. In this approach, the derived relationship is not dependent on particular assumptions about the mechanism of carbon fixation in coccolithophores (e.g., diffusive versus strongly influenced by CCM) or the Rubisco fractionation factor. This empirical multivariate linear regression model suggests that the relationship between  $[\text{CO}_2]$  and  $\epsilon_p$  is logarithmic rather than hyperbolic, which yields a lower sensitivity of  $\epsilon_p$  to  $[\text{CO}_2]$  in the low  $\text{CO}_2$  range (Stoll et al. 2019). This regression analysis suggests that light, growth rate, and cell size will exert secondary effects on  $\epsilon_p$ . The observed sensitivity of  $\epsilon_p$  to  $[\text{CO}_2]$  over glacial-interglacial cycles at sites where secondary influences are expected to be minor also fits this relationship well. The Western Caribbean (Badger et al. 2019) and Western Tropical Atlantic (Gonzalez et al., submitted article) and Pacific Warm Pool (Phelps et al., submitted article) all show slopes of  $\epsilon_p$  to  $[\text{CO}_2]$  that are statistically indistinguishable from the slope inferred in laboratory cultures.

In the next section, we review the current best approaches to reconstruct  $\text{CO}_2$  from the phytoplankton proxy.

### 3.2. Current Best Estimates of $\epsilon_p$ -Derived $\text{CO}_2$ Since the Mid-Miocene

The original alkenone-based  $\text{CO}_2$  estimates of the late Miocene (Pagani et al. 1999) are quite low compared to other proxies (Foster et al. 2012, Kürschner et al. 2008, Sosdian et al. 2018). Part of the explanation lies in the use of diagenetically altered foraminifera to obtain  $\delta^{18}\text{O}$ -derived temperatures (which are required for calculation of atmospheric  $\text{CO}_2$  from dissolved  $[\text{CO}_2]$ ) and uncertain partitioning of foraminiferal  $\delta^{18}\text{O}$  into ice volume and temperature components (Pagani et al. 2010). Super et al. (2018) find substantially higher  $\text{CO}_2$  using  $\text{U}^{k_{37}}$ - and  $\text{TEX}_{86}$ -derived temperatures. However, new insights into  $\epsilon_p$  sensitivity to  $\text{CO}_2$  in the recent past are also now available from multiple oligotrophic subtropical locations spanning the ice core  $\text{CO}_2$  record, providing a new reference point for the interpretation of  $\epsilon_p$  at these locations in the late Neogene. Specifically, the overall low sensitivity of  $\epsilon_p$  to glacial-interglacial  $\text{CO}_2$  changes implies that the limited variation in  $\epsilon_p$  observed in these sites over the past 10 Ma is consistent with a greater variation in  $\text{CO}_2$  than previously interpreted (Pagani et al. 1999). Consequently, regardless of whether classic diffusive-based models or empirical culture-based models are used,

tuning of model parameters to match the amplitude of glacial-interglacial CO<sub>2</sub> cycles at these locations results in estimates of significant CO<sub>2</sub> decline in the past 10 Ma, as discussed further below.

Common to all calculation approaches for alkenone- $\delta^{13}\text{C}$ -based CO<sub>2</sub> is the need to estimate the aggregate growth rate and light effects on  $\epsilon_p$  in order to calculate an absolute [CO<sub>2</sub>] and atmospheric CO<sub>2</sub> concentration. The simplest and most widespread approach to account for the secondary influences is to assume that they have remained constant at a given oceanographic setting in the past. Such an assumption is most reasonable in subtropical oligotrophic regions far from oceanographic fronts and upwelling systems (**Figure 1**). Higher temperatures increase growth rate, with similar responses observed in field, remotely sensed, and culture data sets (Sherman et al. 2016). However, the temperature stimulation of growth rate is weaker at higher absolute temperatures, which serves to limit variations of growth rate in tropical oligotrophic settings. For example, in the range of surface ocean temperatures in the Western Tropical Atlantic over late Quaternary glacial cycles, temperature-predicted growth rate variation is small and has no correlation with the non-CO<sub>2</sub> variation in  $\epsilon_p$ .

For sites in which the secondary influences on  $\epsilon_p$  are expected to be nearly constant over time, estimation of the magnitude of these secondary effects is most simply made by late Quaternary anchoring, echoing aspects of the approach of Jasper & Hayes (1990). For this,  $\epsilon_p$  is determined in late Quaternary sediments of multiple ages that encompass a range of atmospheric CO<sub>2</sub> concentrations independently constrained from ice core measurements. From the ice core CO<sub>2</sub>, the surface ocean [CO<sub>2</sub>] for each sample is estimated assuming that the surface ocean CO<sub>2</sub> has remained in equilibrium with the atmosphere at that site, a reasonable assumption for these tropical oligotrophic settings. Because to date there is no approach to segregate the effect of light and growth rate on  $\epsilon_p$  in natural ocean settings, the empirical culture regression is simplified to encompass all non-CO<sub>2</sub> influences on  $\epsilon_p$  in the intercept (I):

$$\epsilon_p = m (\ln [\text{CO}_2]) + I, \quad 6.$$

where  $m$  is the slope of dependence of  $\epsilon_p$  on [CO<sub>2</sub>]. Because these tropical oligotrophic sites show a sensitivity of  $\epsilon_p$  to [CO<sub>2</sub>] that is statistically indistinguishable from that in the culture regression, we assume that  $m$  has the same value and uncertainty as in the culture study by Stoll et al. (2019) and solve for the late Quaternary I value for each location. The resulting estimations for three sites in tropical oligotrophic gyres—Western Caribbean (ODP 999), Western Subtropical Atlantic (ODP 925), and Western Tropical Pacific (ODP 806)—are shown in **Figure 4e**. These sites are in the warmest parts of the ocean, in which the low solubility of CO<sub>2</sub> maintains [CO<sub>2</sub>] (and  $\epsilon_p$ ) within the range of the culture calibration data set through the Miocene to present. This estimation of CO<sub>2</sub> shows a pronounced decline in average CO<sub>2</sub> over the past 5 Ma, from an average of 320 ppm in the 4.5–5.5 Ma time window to average reconstructed CO<sub>2</sub> of 200 in the 0–0.5 Ma time window (**Figure 4**). Although the data density is lower, there is also a decline in average CO<sub>2</sub> levels over the past 14 Ma. Alternatively, when a diffusive model with traditional parameterization ( $\epsilon_f = 25\%$ ) is applied to tropical sites such as 925 and 806 over this time interval, much lower and relatively constant CO<sub>2</sub> is inferred. In contrast, when diffusive models are tuned to match the observed glacial-interglacial  $\epsilon_p$  sensitivity at these sites by either a lower  $\epsilon_f$  (15–18%) or a systematic dependence of growth rate on [CO<sub>2</sub>], calculated amplitudes of CO<sub>2</sub> change since the Miocene are similar to those calculated with the  $\epsilon_p$  sensitivity derived from laboratory culture using Equation 6.

An alternative calculation is produced by using the physical diffusive model approximation of Equation 5 and applying a regression between coccolith size and growth rate and therefore

$b$  described by Zhang et al. (2020). This approach can be applied only to sites where both  $\epsilon_p$  and coccolith size have been determined. The  $\text{CO}_2$  concentrations calculated in this approach resemble the ice core data of the late Pleistocene and, over the past 10 Myr, are lower than the original reported values (Zhang et al. 2013, 2017). A decreasing trend of  $\text{CO}_2$  is evident in the most recent 5 Myr, similar to the Quaternary anchoring approach described above, and largely driven by the decline of  $\epsilon_p$  over time.

Currently, both approaches are empirical approximations, as neither Equation 5 nor Equation 6, nor the diffusive model of Rau et al. (1996), fully reflect the underlying biological processes of carbon uptake and intracellular conversion and carbon concentration. The next generation of cellular models—featuring updated constraints on the key biological processes such as  $\text{HCO}_3^-$  pumping and cell membrane permeability to  $\text{CO}_2$ , accurate fractionation factors for Rubisco and other key unidirectional reactions, and modeling of effects of light on fractionation—may help elucidate which of these approximations are most appropriate and robust. Further research is also required to develop proxy-based indicators of changes in secondary influences (growth rate, light) on  $\epsilon_p$ , so that their influences are not mistakenly attributed to variation in  $[\text{CO}_2]$ .

### 3.3. Current Best Estimates of $\epsilon_p$ -Derived $\text{CO}_2$ in the Eocene to Early Miocene

Reconstruction of  $\text{CO}_2$  from alkenones in older sediments is more challenging for several reasons. Alkenone abundance in sediments diminishes, and few sites contain alkenones in quantities sufficient for compound-specific isotopic determinations in sediments older than the late Eocene. The  $[\text{CO}_2]$  estimated from  $\epsilon_p$  are beyond the range covered by existing multivariate linear culture calibrations (Stoll et al. 2019), so empirical relationships for  $\text{CO}_2$  sensitivity to  $\epsilon_p$  are also lacking. Diffusive models that fit well with the late Quaternary glacial-interglacial cycles—i.e., those using  $\epsilon_f$  in the range of 15 to 18—cannot be applied to interpret the Oligocene and older  $\epsilon_p$ , which range from 18‰ to 24‰. This suggests either that tuning of  $\epsilon_f$  is not the mechanistically correct solution for the late Quaternary or that some facet of phytoplankton carbon fixation or surface ocean production was appreciably different and may require alternative parameterizations or model frameworks. The estimation of the magnitude of secondary growth rate and light effects is especially challenging in older time intervals. The original approaches for estimating the growth rate effect on  $\epsilon_p$ , via correlations of  $b$  with  $\text{PO}_4$  and assumption of constant  $\text{PO}_4$  or use of model-derived  $\text{PO}_4$ , are not supported by recent analysis in the late Quaternary (Stoll et al. 2019, Zhang et al. 2019) and Pliocene (Badger et al. 2019). Recent well-calibrated micropaleontological approaches for growth rate estimation from foraminiferal abundance or isotopic gradients (Hernandez-Almeida et al. 2020) are more difficult to apply to extinct taxa whose habitat is not independently constrained and have not yet been implemented.

An alternative approach to obtain the physiological constraints of these ancient alkenone producers is to use the cell size (coccolith length)–growth rate relationship to provide constraints to the  $b$  parameter (Zhang et al. 2020). For example, the Eocene–Oligocene data set of Pagani et al. (2011) contains both  $\epsilon_p$  and surveys of the haptophyte biometry. Zhang et al. (2020) recalculated  $\text{CO}_2$ , with the caveat that the cell membrane permeability of these extinct species cannot be directly determined; therefore, the calculated Pleistocene value was used. The new results provide more spatially homogeneous estimations of  $\text{CO}_2$  and suggest a greater than two-fold drop in  $\text{CO}_2$  from the late Eocene to the early Miocene, with a notable decline at the Eocene–Oligocene boundary (Figure 4).

## 4. BORON ISOTOPE-BASED pH AND CO<sub>2</sub> RECONSTRUCTIONS

### 4.1. The $\delta^{11}\text{B}$ -pH Proxy

Boron isotope-based CO<sub>2</sub> reconstructions take advantage of the relationship between the boron isotope composition ( $\delta^{11}\text{B}$ ) of marine carbonates and seawater pH. This is grounded in inorganic acid-base and isotopic equilibrium: Boron in seawater is made up of boric acid and borate ion; the proportions of these molecules change with seawater pH, and they exhibit an equilibrium isotope fractionation (Klochko et al. 2006, Nir et al. 2015). Thus, for a given  $\delta^{11}\text{B}$  of total boron in seawater (Foster et al. 2010), the isotopic composition of each boron species is, by mass balance, a function of pH (see **Supplemental Figure 3**). As marine carbonates predominantly incorporate the borate ion (Branson et al. 2016, Rae et al. 2011), their composition is also pH dependent (Hemming & Hanson 1992, Jurikova et al. 2019, McCulloch et al. 2012, Sanyal et al. 1996). pH is a sensitive measure of seawater's CO<sub>2</sub> chemistry (**Figures 1 and 3**), allowing  $\delta^{11}\text{B}$  of fossil carbonates to constrain paleo-CO<sub>2</sub> (Foster 2008, Hönisch & Hemming 2005).

This inorganic underpinning provides a helpful foundation for the  $\delta^{11}\text{B}$  proxy, but the calculation of pH and CO<sub>2</sub> still involves a series of steps and challenges. We discuss these below, in the context of providing an updated composite record of Cenozoic pH and CO<sub>2</sub> change from  $\delta^{11}\text{B}$ , and refer readers interested in more detailed discussion of boron isotope systematics to several recent reviews (Branson 2018, Foster & Rae 2016, Hönisch et al. 2019, Rae 2018). Our purpose here is to explore this proxy in ways that can be applied consistently across different studies at the Cenozoic scale. We hope this will provide a useful synoptic view of the scope of boron-based pH and CO<sub>2</sub> estimates. However, extra constraints are, in some cases, available from the original studies, and there remains a need to compile and re-evaluate these records—and their uncertainties—more thoroughly (and indeed to generate more data), so we encourage the interested reader to review the original publications and to keep an eye on future developments in this field.

### 4.2. Updated pH and CO<sub>2</sub> Records from $\delta^{11}\text{B}$

Here we compile published boron isotope records from the past 66 million years. While  $\delta^{11}\text{B}$ -based CO<sub>2</sub> system reconstructions have been made on a variety of calcifiers, our focus here is subtropical planktic foraminifera (Henehan et al. 2013, 2016a; Raitzsch et al. 2018; Sanyal et al. 2001), which occupy surface water environments close to CO<sub>2</sub> equilibrium with the atmosphere and are abundant in marine sediment cores, allowing CO<sub>2</sub> reconstruction through the Cenozoic (Anagnostou et al. 2016, Pearson & Palmer 2000, Sosdian et al. 2018).

**4.2.1. Measured  $\delta^{11}\text{B}$  to  $\delta^{11}\text{B}$  of borate.** We focus on data sets where reproducibility is well demonstrated and supported by later studies: For instance, while the pioneering records of Pearson & Palmer (1999, 2000) laid the groundwork for long-term pH and CO<sub>2</sub> reconstruction, the absolute values and temporal evolution of their  $\delta^{11}\text{B}$  data are increasingly at odds with more recent studies in which analytical accuracy and precision are better established. Indeed, even in the past 8 years, interlaboratory reproducibility has improved by a factor of four (compare Stewart et al. 2020 and Gutjahr et al. 2020 to Foster et al. 2013), which should be borne in mind when evaluating some early studies.

Although planktic foraminifera have  $\delta^{11}\text{B}$  values close to that of borate ion, microenvironmental modification results in minor offsets (vital effects), which are corrected for using species-specific calibrations (Henehan et al. 2013, 2016a; Sanyal et al. 2001) (for discussion of approaches in extinct species, see Anagnostou et al. 2016 and Henehan et al. 2020). We largely follow the choices made in the original publications, which also helps account for analytical offsets between negative

thermal ionization mass spectrometry and later multi-collector inductively coupled plasma mass spectrometry measurements. In some cases calibrations have seen minor updates with new data since publication of the original records [for instance, the *Trilobatus sacculifer*/*Trilobatus trilobus* calibration of Sanyal et al. (2001) has been added to with recent core-top measurements (see Sosdian et al. 2018)], and we incorporate the correction of Greenop et al. (2019) for the influence of changing  $\delta^{11}\text{B}$  of seawater (see below). The resulting  $\delta^{11}\text{B}$  of borate is shown in **Figure 5b**. This provides a presentation of  $\delta^{11}\text{B}$  data that remains close to the measured values, while correcting for species-specific offsets—equivalent to the typical presentation of foraminiferal  $\delta^{18}\text{O}$  or  $\delta^{13}\text{C}$ . Despite the variety of sites and species used across different studies, the data are remarkably consistent, suggesting that local influences are relatively minor. The overall structure of these boron isotope data shows a close correspondence to compiled benthic  $\delta^{18}\text{O}$  (Westerhold et al. 2020). As  $\delta^{18}\text{O}$  tracks global climate (via temperature and ice volume) while  $\delta^{11}\text{B}$  is primarily sensitive to the  $\text{CO}_2$  system, these data, in their raw form, provide a first-order demonstration of the coupling between  $\text{CO}_2$  and climate.

**4.2.2.  $\delta^{11}\text{B}$  of borate to pH.** To convert  $\delta^{11}\text{B}$  of borate to pH requires determination of the equilibrium constant of boric acid ( $K_{\text{B}}$ ) (Dickson 1990) and constraints on  $\delta^{11}\text{B}$  of seawater ( $\delta^{11}\text{B}_{\text{SW}}$ ).

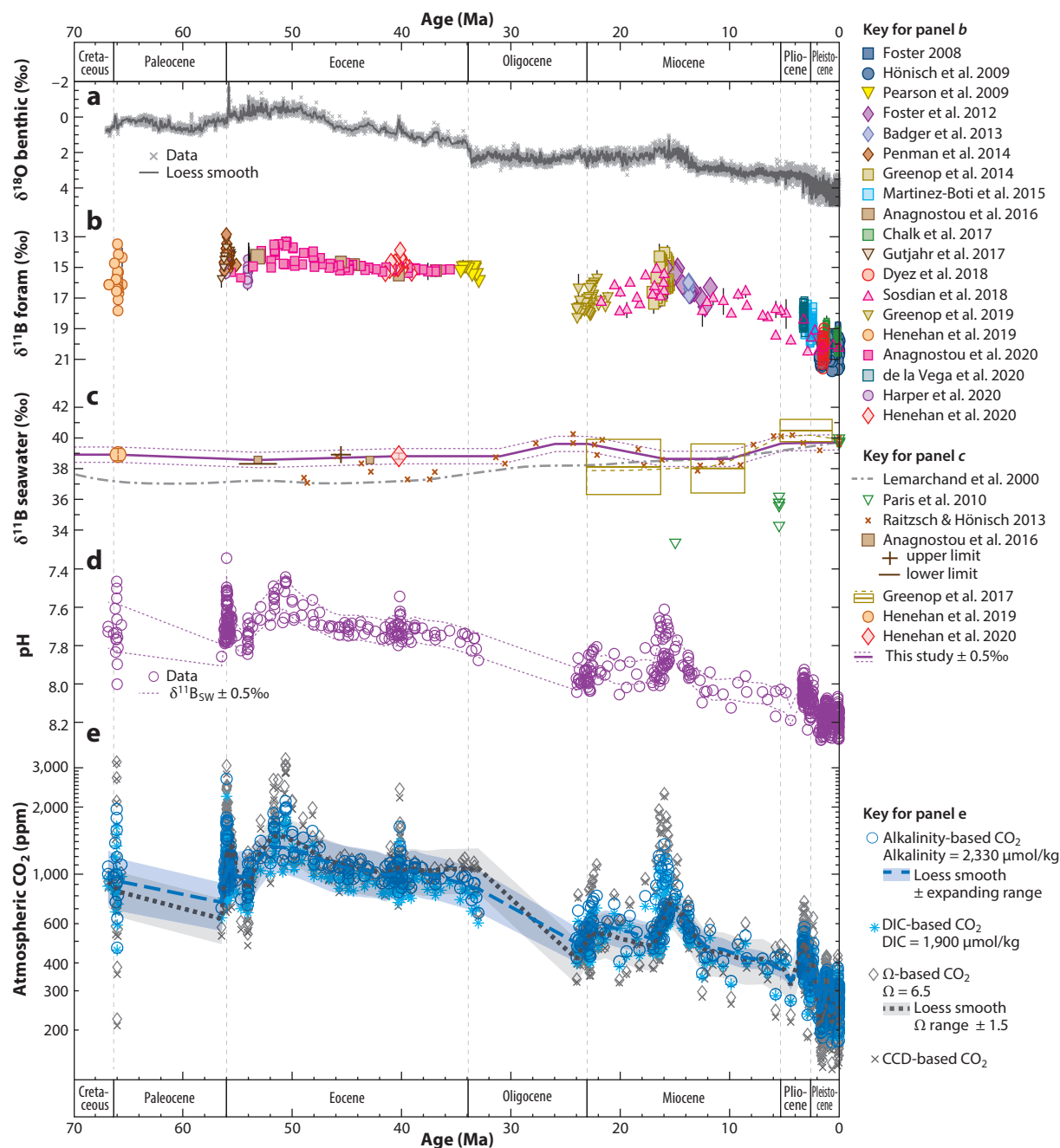
**4.2.2.1.  $K_{\text{B}}$  equilibrium constant.**  $K_{\text{B}}$  is a function of temperature, salinity, pressure, and the major ion composition of seawater. The influences of salinity and pressure are negligible over plausible ranges in the subtropical surface ocean environments of these cores [e.g.,  $\pm 1$ -psu salinity changes  $\delta^{11}\text{B}$ -derived pH by less than 0.005; a  $\pm 50$ -m change in depth of habitat changes pH by less than 0.002 (see Rae 2018)], so for simplicity we assume constant surface pressure and constant salinity of 35 in our  $\delta^{11}\text{B}$ -pH- $\text{CO}_2$  calculations. Temperature has more influence on  $K_{\text{B}}$ , although a  $5^\circ\text{C}$  change in temperature still changes pH by only 0.06 for a given  $\delta^{11}\text{B}$ . We largely use the temperature reconstructions given in the original publications, which are mainly based on planktic Mg/Ca measurements from the same samples. While it is tempting to try to apply the same style of temperature calibration to all Mg/Ca data, this requires careful evaluation of various secondary influences (e.g., dissolution) considered by the original authors and ideally would incorporate new calibration procedures (e.g., Gray & Evans 2019, Tierney et al. 2019b), which, given the secondary influence of temperature on  $\delta^{11}\text{B}$ -derived pH, is beyond the scope of this review. Finally, we use the MyAMI model (Hain et al. 2015) to account for the influence of changing seawater Ca and Mg concentrations on carbonate system equilibrium constants, with  $[\text{Ca}^{2+}]$  and  $[\text{Mg}^{2+}]$  from halite fluid inclusions (Brennan et al. 2013, Horita et al. 2002, Lowenstein et al. 2003, Timofeeff et al. 2006). All codes used in  $\delta^{11}\text{B}$  calculations are available as a GitHub release.

**4.2.2.2.  $\delta^{11}\text{B}$  of seawater.** Boron has an  $\sim 10$ -Myr residence time in seawater, so its isotopic composition may change on multimillion-year timescales (Lemarchand et al. 2000). Here we provide a simple combination of the constraints on  $\delta^{11}\text{B}_{\text{SW}}$  currently available, as shown in **Figure 5c** and outlined below. Given the substantial uncertainty on current  $\delta^{11}\text{B}_{\text{SW}}$  estimates and the long residence time of boron in seawater, which means that any changes should be gradual, our aim is to allow the more precisely measured carbonate  $\delta^{11}\text{B}$  values to drive the structure of the resulting pH records, rather than assumptions of  $\delta^{11}\text{B}_{\text{SW}}$ . Nonetheless, we stress that improving reconstructions of  $\delta^{11}\text{B}_{\text{SW}}$  remains a crucial goal for improving absolute estimates of pH and  $\text{CO}_2$ .

It is unlikely there has been substantial change in  $\delta^{11}\text{B}_{\text{SW}}$  in the past 5 Myr; some estimates suggest a slight increase (Greenop et al. 2017) and others a slight decrease (Lemarchand et al. 2000), so for simplicity here we use the modern value. Beyond  $\sim 5$  Ma, all estimates suggest a



decrease in  $\delta^{11}\text{B}_{\text{SW}}$ , and changes are also seen in other seawater stable isotope records with shared controls, including  $\delta^7\text{Li}$ ,  $\delta^{26}\text{Mg}$ , and  $\delta^{44}\text{Ca}$  (Akhtar et al. 2020, Misra & Froelich 2012, Pogge von Strandmann et al. 2014). Greenop et al. (2017) use surface to deep ocean gradients in  $\delta^{13}\text{C}$  to infer pH gradients, over which they measure  $\delta^{11}\text{B}$  to solve for  $\delta^{11}\text{B}_{\text{SW}}$ . The Lemarchand et al. (2000)



(Caption appears on following page)

**Figure 5** (Figure appears on preceding page)

Boron isotope-derived estimates of pH and CO<sub>2</sub>. (a) Benthic  $\delta^{18}\text{O}$  from Westerhold et al. (2020). (b)  $\delta^{11}\text{B}$  on planktic foraminifera corrected for vital effects to give  $\delta^{11}\text{B}$  of borate (colored symbols, given by study—see legend), which tracks the CO<sub>2</sub> system, although with influence from  $\delta^{11}\text{B}_{\text{SW}}$ . Note that uncertainties on  $\delta^{11}\text{B}$  measurements are shown but in most cases are smaller than the symbols. (c) Estimates of seawater boron isotope composition by study (see legend). Note that the  $\pm 0.5\text{‰}$  band is intended for illustration (see panel d)—assessing the true uncertainty of  $\delta^{11}\text{B}_{\text{SW}}$  over the Cenozoic is beyond the scope of this study. The scale in panel c is equivalent to the scale in panel b to aid comparison. (d) pH, calculated from  $\delta^{11}\text{B}$  of borate in panel b and  $\delta^{11}\text{B}_{\text{SW}}$  in panel c, along with  $K_{\text{B}}$  estimates accounting for changes in temperature and major ion composition (see Section 4.2.2). (e) Atmospheric CO<sub>2</sub> calculated from pH in panel d using four different approaches (see legend and discussion in Section 4.2.3). Comparison of panels b, d, and e illustrates that the main influence on reconstructed pH and CO<sub>2</sub> is measured  $\delta^{11}\text{B}$ , rather than secondary corrections. At each stage, boron isotope data share similar structure with  $\delta^{18}\text{O}$ , indicating first-order coupling between CO<sub>2</sub> and global climate. Abbreviations: CCD, carbonate compensation depth; DIC, dissolved inorganic carbon. Boron isotope data are from Anagnostou et al. (2016, 2020), Badger et al. (2013), Chalk et al. (2017), de la Vega et al. (2020), Dyez et al. (2018), Foster (2008), Foster et al. (2012), Greenop et al. (2014, 2017, 2019), Gutjahr et al. (2017), Harper et al. (2020), Hennehan et al. (2019, 2020), Hönisch et al. (2009), Lemarchand et al. (2000), Martínez-Botí et al. (2015), Paris et al. (2010), Pearson et al. (2009), Penman et al. (2014), Raitzsch & Hönisch (2013), and Sosdian et al. (2018). All data are available as online **Supplemental Material**.

### Supplemental Material >

$\delta^{11}\text{B}_{\text{SW}}$  model also declines around this time, although less steeply than the Greenop et al. (2017) central estimate; here we use the average of these estimates until 10 Ma and then maintain this value until 16 Ma. In the early Miocene to Oligocene, the only available data-based estimate of  $\delta^{11}\text{B}_{\text{SW}}$  is by Raitzsch & Hönisch (2013), based on benthic  $\delta^{11}\text{B}$  measurements and an assumption of gradual change in deep ocean pH. Ideally,  $\delta^{11}\text{B}_{\text{SW}}$  estimates would be free from assumptions of long-term pH change, as reconstructing pH is our ultimate goal. However, in the absence of other constraints, we follow the Raitzsch & Hönisch (2013) estimates in this window. Beyond this, Anagnostou et al. (2016) provide an estimate of  $\delta^{11}\text{B}_{\text{SW}}$  for the Eocene, using constraints from planktic foraminiferal species with habitat depths spanning a range of pH (as pioneered in Palmer et al. 1998) and conservative assumptions based on carbonate saturation and oxygen gradients. Hennehan et al. (2019, 2020) also follow this approach and provide upper and lower limits on  $\delta^{11}\text{B}_{\text{SW}}$  at the Cretaceous–Paleogene (KPg) boundary and an updated estimate for the middle Eocene.

Combining  $\delta^{11}\text{B}$  of borate,  $K_{\text{B}}$ , and  $\delta^{11}\text{B}_{\text{SW}}$ , and using the  $\delta^{11}\text{B}$  to pH relationship of Rae (2018), yields the reconstruction of pH shown in **Figure 5d**. As with  $\delta^{11}\text{B}$  of borate, this record closely tracks  $\delta^{18}\text{O}$ , again supporting the long-term coupling of the ocean-atmosphere CO<sub>2</sub> system and climate. While the absolute pH values we reconstruct are contingent on improved estimates of  $\delta^{11}\text{B}_{\text{SW}}$  (see **Figure 5d**), the structure of the record will be predominantly driven by changes in seawater pH.

**4.2.3. pH to CO<sub>2</sub>.** Calculation of CO<sub>2</sub> from pH requires constraints on one other parameter of the ocean carbonate system. Here we explore variants of common approaches based on constraints from alkalinity, carbonate saturation, and the carbonate compensation depth (CCD). We briefly describe these approaches below and then discuss their implications, strengths, and weaknesses in Section 4.3. Our calculations account for changing [Ca<sup>2+</sup>] and [Mg<sup>2+</sup>] (Hain et al. 2015) and are done in a modified version of csys.m (Zeebe & Wolf-Gladow 2001), which gives identical values to CO2SYS.m (van Heuven et al. 2009) and seacarb (Gattuso et al. 2015a), and has flexibility to explore a range of input parameters (available on GitHub).

**4.2.3.1. Alkalinity (or dissolved inorganic carbon).** Studies focused on the past ~5 million years have typically assumed a range of alkalinity values, which can be combined with pH to yield relatively precise estimates of CO<sub>2</sub> (see **Supplemental Figure 4**; Section 4.3). Here we use a central value of 2,330  $\mu\text{mol/kg}$  with a range of  $\pm 175 \mu\text{mol/kg}$  for the past 5 Ma (following

Martínez-Botí et al. 2015), which is large compared to the  $\pm 96$ - $\mu\text{mol/kg}$  range found in modern subtropical waters (**Supplemental Figure 1**). We expand this range to  $\pm 350$  at 15 Ma and  $\pm 600$  at 50 Ma, guided by results from models that explore a wide range of carbon cycle parameter space; for instance, Greene et al. (2019) find alkalinity values of  $\sim 1,400$  to  $2,600$  in cGENIE system model experiments where outgassing rate changes by a factor of  $\sim 2.5$ , weathering rate doubles, and  $\text{CO}_2$  varies from  $\sim 280$  to  $2,100$  ppm. A similar range of around  $\pm 600$  is found in approaches combining  $\epsilon_{\text{p}}$ -derived  $\text{CO}_2$  and constraints from the CCD (Boudreau et al. 2019, Zeebe & Tyrrell 2019). For illustration we also show a  $\text{CO}_2$  estimate based on pH and constant DIC (**Figure 5e**).

**4.2.3.2. Calcite saturation state.** On long timescales alkalinity may evolve, so it is useful to look for further constraints on the carbonate system. The saturation state of calcite ( $\Omega$ ; see **Figure 1**) can add value, in that it is regulated by carbonate compensation (Broecker & Peng 1987, Sarmiento & Gruber 2006, Zeebe 2012). Put simply, if  $\Omega$  drops,  $\text{CaCO}_3$  on the deep sea floor will dissolve and the supply of alkalinity to the ocean by weathering will exceed its removal by  $\text{CaCO}_3$  burial, leading alkalinity to rise and  $\Omega$  to increase back up; if  $\Omega$  rises, more carbonate may precipitate or be buried, drawing alkalinity and  $\Omega$  back down. Thus,  $\Omega$  tends to stay within a relatively limited range of values on long timescales in carbon cycle models with pelagic carbonate [e.g.,  $\pm 0.8$  in Ridgwell (2005),  $\pm 0.5$  in Hönisch et al. (2012),  $\pm 0.7$  in Boudreau et al. (2019)]. Here we show a  $\text{CO}_2$  reconstruction assuming  $\Omega$  of  $6.5 \pm 1.5$  (following Anagnostou et al. 2016); note that these values are intended to characterize the subtropical sites used in these reconstructions, so  $\Omega$  is elevated compared to global surface ocean estimates (Boudreau et al. 2019, Ridgwell 2005, Takahashi et al. 2014) (**Supplemental Figure 1**).  $\Omega$  is combined with calcium concentration from fluid inclusions and  $K_{\text{SP}}$  (calculated as a function of the T, S, P,  $\text{Ca}^{2+}$ , and  $\text{Mg}^{2+}$  conditions described in Section 4.2.2.1) to give  $[\text{CO}_3^{2-}]$ , which is then combined with pH to calculate  $\text{CO}_2$  (**Figure 5e**).

**4.2.3.3. Carbonate compensation depth.** Further insight may be gained from the CCD (Boudreau et al. 2019, box 1; Tyrrell & Zeebe 2004; Zeebe & Tyrrell 2019) to account for potential changes in ocean saturation state over time. In brief, these approaches assume that the depth of the sedimentary CCD is known and is related to the onset of undersaturated conditions in the overlying waters (see **Figure 1**). Tyrrell & Zeebe (2004) and Zeebe & Tyrrell (2019) then use estimates of  $[\text{Ca}^{2+}]$  to calculate  $[\text{CO}_3^{2-}]$  at this water depth and an assumption of deep to surface ocean  $[\text{CO}_3^{2-}]$  gradient to obtain  $[\text{CO}_3^{2-}]$  in surface waters. Here we use Zeebe & Tyrrell's (2019) recently updated  $[\text{CO}_3^{2-}]$  estimate, scaled for subtropical surface sites with modern  $[\text{CO}_3^{2-}]$  of  $275 \mu\text{mol/kg}$ , in combination with  $\delta^{11}\text{B}$ -derived pH to calculate  $\text{CO}_2$  (**Figure 5e**).

### 4.3. Evaluating $\delta^{11}\text{B}$ -Based $\text{CO}_2$ System Reconstructions

For a given  $\delta^{11}\text{B}$ -derived pH, each of the second carbonate system parameter scenarios described above yields broadly similar  $\text{CO}_2$  (**Figure 5e**). In particular, values from the alkalinity and DIC scenarios are closely grouped, as are values using the CCD and  $\Omega$ . As pointed out by Zeebe & Tyrrell (2019), the largest driver of their change in  $[\text{CO}_3^{2-}]$  is the halving of  $[\text{Ca}^{2+}]$  over the Cenozoic, which by itself changes  $[\text{CO}_3^{2-}]$  by a factor of two; the  $\sim 25\%$  change in CCD depth has less impact. Furthermore, the CCD estimate used by these authors is relatively smooth and thus introduces relatively little extra structure to the  $[\text{CO}_3^{2-}]$  estimate beyond that driven by the long-term increase in  $[\text{Ca}^{2+}]$  (see **Supplemental Figure 5**).

Each of these approaches has strengths and weaknesses. The attraction of the  $\Omega$  or CCD approach is its physical and observational basis: Carbonate compensation is self-regulating, and  $\text{CaCO}_3$  has persisted in deep sea sediments since the advent of pelagic carbonate production without ever blanketing the ocean abyss (Boudreau et al. 2019, Ridgwell 2005, Tyrrell & Zeebe 2004).

Supplemental Material >

However,  $[\text{Ca}^{2+}]$  is a critical input to these calculations, and its absolute values are relatively poorly known. Current estimates are based on halite fluid inclusions (Brennan et al. 2013, Horita et al. 2002, Lowenstein et al. 2003, Timofeeff et al. 2006), but because gypsum ( $\text{CaSO}_4$ ) precipitates before halite in evaporite systems (and as there is an excess of  $\text{SO}_4^{2-}$  in Cenozoic seawater compared to  $\text{Ca}^{2+}$ ), Cenozoic halite inclusions contain no calcium. Reconstructing  $[\text{Ca}^{2+}]$  requires an assumption of the  $[\text{Ca}^{2+}] \times [\text{SO}_4^{2-}]$  product (see Brennan et al. 2013, Broecker 2013), which is assigned a range spanning 0.5 to 1.5 times the modern value, resulting in uncertainty of around 30% on estimates of  $[\text{CO}_3^{2-}]$  (see **Supplemental Figure 5**).

Reconstructing the CCD is also challenging, ideally requiring global, depth-resolved  $\text{CaCO}_3$  data, from settings with relatively constant export productivity (Palike et al. 2012) and well-constrained subsidence histories (Campbell et al. 2018). Furthermore, the CCD can be decoupled from saturation state in the overlying seawater (Boudreau et al. 2010, Greene et al. 2019), and the gradient in  $[\text{CO}_3^{2-}]$  between the depth of the CCD and the ocean surface is also uncertain (see discussion in Zeebe & Tyrrell 2019).

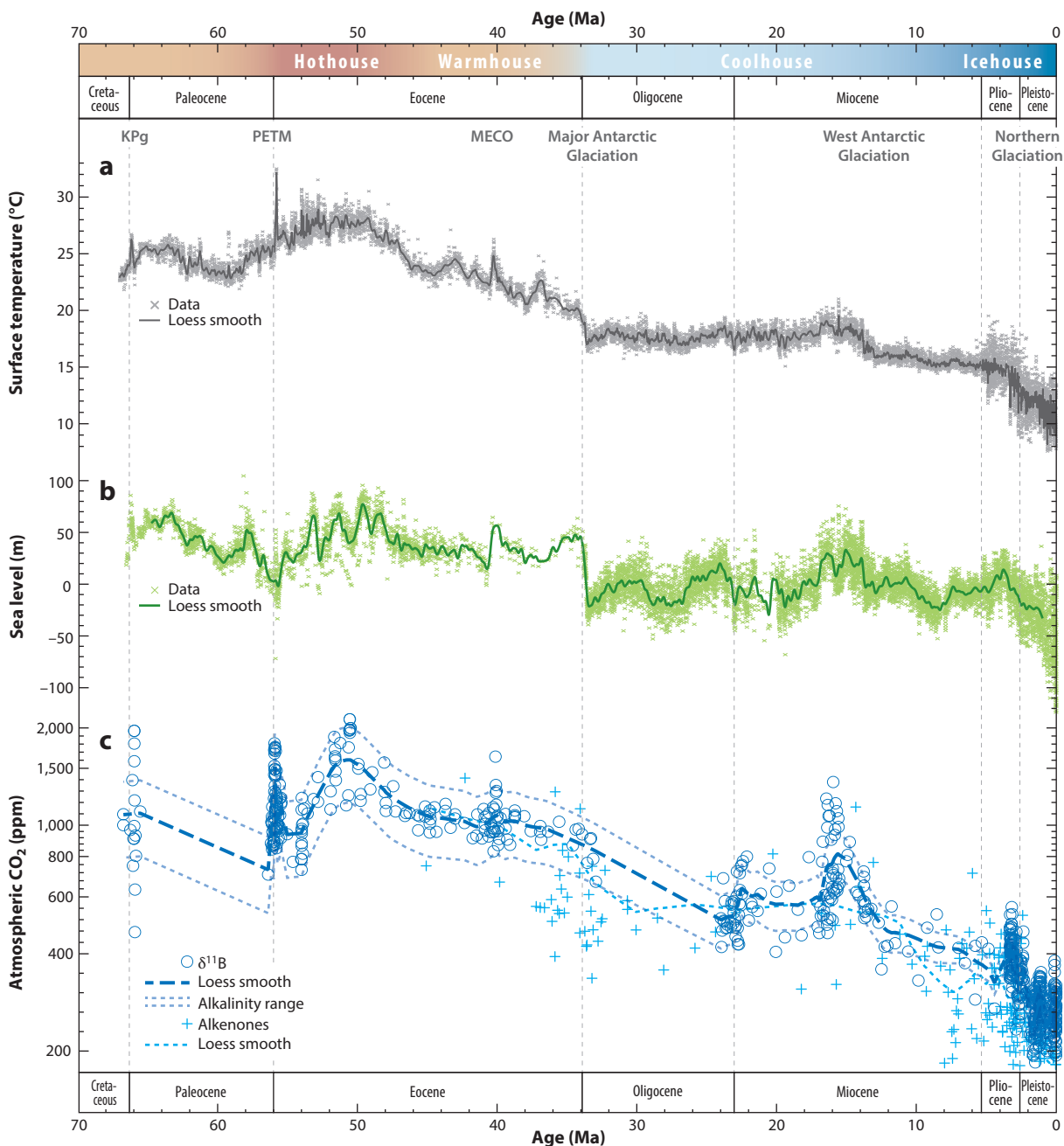
Most critically, perhaps, for pH-based  $\text{CO}_2$  reconstructions is that pH and  $[\text{CO}_3^{2-}]$  make a relatively unstable pairing for determining the carbonate system. As illustrated in **Supplemental Figure 4**, variable pH with stable  $[\text{CO}_3^{2-}]$  necessitates large and closely coupled fluctuations in alkalinity and DIC. Although this might be partially achieved through carbonate compensation and weathering feedbacks, it is hard to envision these processes matching the size and tempo of the required alkalinity and DIC change.

Alkalinity provides a more stable pairing with pH for  $\text{CO}_2$  system determination and results in coupled changes in pH,  $\text{CO}_2$ , and  $[\text{CO}_3^{2-}]$  driven by modest changes in DIC (see **Supplemental Figures 4 and 5**). A constant DIC scenario gives similar results but with muted changes in alkalinity instead, and as alkalinity is generally more stable in the modern surface ocean than DIC (being influenced by fewer processes), its use is preferable. The drawback of using alkalinity is that it lacks self-regulation or direct observational constraints. However, even a wide range of possible alkalinity values yield well-constrained  $\text{CO}_2$  estimates if paired with relatively precise estimates of pH, an approach borne out by alkalinity-derived pH- $\text{CO}_2$  reconstructions that fall within  $\pm 25$  ppm of ice core values on glacial-interglacial timescales (e.g., Chalk et al. 2017, Hain et al. 2018, Rae 2018).

Our favored scenario thus draws on the strengths of each of these approaches, by using alkalinity with  $\delta^{11}\text{B}$ -derived pH in our  $\text{CO}_2$  system calculations, and checking that the resulting saturation state falls within reasonable bounds. For our central alkalinity estimate, we find  $\Omega$  values that fall within a range of  $\sim 5$  to 8 (**Supplemental Figure 5**), similar to the ranges considered reasonable in previous studies (e.g., Anagnostou et al. 2016). This calculation also allows for excursions in  $\Omega$ , which we find align (**Supplemental Figure 5**) with times of widespread carbonate dissolution, such as the Paleocene–Eocene Thermal Maximum (PETM) (Zachos et al. 2008), or oversaturation, such as the aftermath of the KPg extinction (Henehan et al. 2016b). We note that for different time intervals or applications, other approaches may be more appropriate, and that some studies have found extra constraints within specific intervals (e.g., Sosdian et al. 2018), and we encourage continued efforts with Earth system models to explore plausible scenarios within carbonate system space on a range of different timescales. However, in terms of  $\text{CO}_2$  reconstruction, it is important to note that the range of approaches explored here yield broadly similar  $\text{CO}_2$  estimates. While a secondary assumption is needed for  $\text{CO}_2$  calculation, it is less critical than might be assumed, provided that pH is well-known (Hain et al. 2018, Rae 2018). Indeed, pH provides a valuable constraint on the evolution of the ocean-atmosphere  $\text{CO}_2$  system in its own right. The major hurdle to improving absolute pH estimates on long timescales remains  $\delta^{11}\text{B}_{\text{SW}}$ , which requires new observational and modeling constraints.

## 5. TOWARD A CONSISTENT PICTURE OF THE EVOLUTION OF THE CENOZOIC CO<sub>2</sub> SYSTEM

The updated records of CO<sub>2</sub> from alkenones and  $\delta^{11}\text{B}$  presented here provide a more consistent picture of Cenozoic CO<sub>2</sub> change than in some earlier studies (**Figure 6**). We reconstruct



(Caption appears on following page)



**Figure 6** (Figure appears on preceding page)

Cenozoic CO<sub>2</sub> and global climate. (a) Surface temperature estimated from the benthic  $\delta^{18}\text{O}$  stack of Westerhold et al. (2020), using the algorithm of Hansen et al. (2013). (b) Sea level estimates from Miller et al. (2020). (c) Atmospheric CO<sub>2</sub> reconstructions from boron isotopes (blue dashed lines show influence of alkalinity range as in **Figure 5**) and alkenones (using Quaternary anchoring for data younger than 23 Ma, and updated constraints on panel b for data older than 23 Ma). Note that in each of these records, more detailed (and coherent) structure is found at shorter timescales—for instance, associated with orbitally paced glacial-interglacial cycles in the late Neogene (Chalk et al. 2017, Hönisch et al. 2009, Martínez-Botí et al. 2015) or rapid carbon cycle perturbations at the Cretaceous–Paleogene (KPg) (Henehan et al. 2019), Paleocene–Eocene Thermal Maximum (PETM) (Gutjahr et al. 2017, Penman et al. 2014), and Middle Eocene Climatic Optimum (MECO) (Henehan et al. 2020). Examples of notable climatic events are listed at the top of the figure along with the climate states of Westerhold et al. (2020). A simplified version of this figure showing CO<sub>2</sub> and benthic  $\delta^{18}\text{O}$  (without temperature conversion) is shown in **Supplemental Figure 7**. All data are available online as **Supplemental Material**.

## Supplemental Material >

atmospheric CO<sub>2</sub> of ~1,500 ppm in the early Eocene, dropping through the Eocene and at the Eocene–Oligocene boundary to ~600 ppm in the early Neogene, increasing during the Mid-Miocene Climatic Optimum, and then falling to values of ~400 ppm during the Pliocene warm period and ~300–180 ppm during the late Pleistocene ice ages. While each method has uncertainties, these are largely independent, so their broad convergence on similar CO<sub>2</sub> histories is encouraging.

As  $\epsilon_p$  and  $\delta^{11}\text{B}$  provide two independent measures of the carbonate system ( $[\text{CO}_2]$  and pH), it is tempting to combine them to determine the other carbonate system parameters (e.g., DIC, alkalinity,  $[\text{CO}_3^{2-}]$ ,  $[\text{HCO}_3^-]$ ). We explore this possibility in **Supplemental Figure 5** and note that the resulting carbonate chemistry stays within reasonable bounds. Different carbonate system components are more or less easily constrained through these pH and  $[\text{CO}_2]$  data due to the inter-relationships within the carbonate system (see **Supplemental Figure 4**). Carbonate ion concentration, for instance, is closely coupled with pH and  $[\text{CO}_2]$  (**Figure 2**), so most of the scenarios in **Supplemental Figure 5** constrain  $[\text{CO}_3^{2-}]$  to within  $\pm 50 \mu\text{mol/kg}$  and show a consistent doubling of carbonate ion concentration over the Cenozoic. Absolute values of alkalinity and DIC will always be harder to constrain with these data pairings, as similar pH,  $[\text{CO}_2]$ , and  $[\text{CO}_3^{2-}]$  can be found across a wide range of alkalinity and DIC values (see Rae et al. 2011) (**Figure 2**; **Supplemental Figure 4**). However, while the sizes of the alkalinity and DIC inventories are hard to constrain, their ratio is closely coupled with—and indeed determines—pH,  $[\text{CO}_2]$ , and  $[\text{CO}_3^{2-}]$  and so is constrained relatively precisely. The evolution of the alkalinity to DIC ratio may indeed provide a useful framing for considering causes of Cenozoic CO<sub>2</sub> change.

## 6. CAUSES OF CO<sub>2</sub> CHANGE

The records of the CO<sub>2</sub> system provided here offer an updated target for efforts to understand the drivers of Cenozoic CO<sub>2</sub> change. To first order, long-term CO<sub>2</sub> change is thought to result from shifts in the balance between carbon release from the planet's interior and its drawdown via silicate weathering (Berner 1991, Isson et al. 2020, Kasting 2019, Kump et al. 2000, Raymo & Ruddiman 1992, Urey 1952). Understanding of these processes, and how they have influenced CO<sub>2</sub> over the Cenozoic, is rapidly evolving (Caves Rugenstein et al. 2019, Misra & Froelich 2012, Torres et al. 2017), and their review is beyond the scope of this contribution. We highlight here a few key features of our records that may help evaluate the drivers of long-term CO<sub>2</sub> change.

We note that of the ~1,000-ppm CO<sub>2</sub> change over the Cenozoic, ~200 ppm can be explained by temperature and ~125 ppm by the shift in the major ion composition of seawater (~90 ppm from  $[\text{Mg}^{2+}]$  and ~35 ppm from  $[\text{Ca}^{2+}]$ ) (see **Supplemental Figure 6**). The temperature influence comes about due to changes in the CO<sub>2</sub> system equilibrium constants (**Figure 1**), which increase CO<sub>2</sub>'s solubility in colder waters (see **Supplemental Figure 1**). This represents a positive



feedback on Cenozoic CO<sub>2</sub> change: As atmospheric CO<sub>2</sub> falls and climate cools, the CO<sub>2</sub> system's equilibrium state will shift to partition more CO<sub>2</sub> into the ocean from the atmosphere. The influence of major ion chemistry also derives from changes to CO<sub>2</sub> system equilibrium constants. The drivers of secular changes in seawater composition are still debated (see Broecker 2013), but several candidates may impact CO<sub>2</sub> both directly and via this equilibrium constant effect: For instance, decreased seafloor spreading may decrease outgassing of volcanic CO<sub>2</sub> and also partition CO<sub>2</sub> from the atmosphere to the ocean by increasing [Mg<sup>2+</sup>] and decreasing [Ca<sup>2+</sup>] in seawater.

Accounting for CO<sub>2</sub> changes due to temperature and major ion chemistry leaves ~675 ppm (approximately two-thirds of the total CO<sub>2</sub> change) to be explained by changes in the master variables of the ocean-atmosphere carbonate system: alkalinity and DIC. As discussed in Section 5, although the size of the alkalinity and DIC inventories is hard to constrain, their ratio in surface waters is relatively well determined by our data. CO<sub>2</sub> system change over the Cenozoic is set by an increase in the ratio of alkalinity to DIC, from ~1.1 to 1.25, which may be achieved by relatively subtle shifts in alkalinity supply by weathering relative to DIC supply by outgassing. For instance, a decrease in outgassing over the Cenozoic can be achieved without necessarily requiring a change in the rate of spreading and subduction but through a change in the carbonate content of the subducted slab (Mason et al. 2017) as Tethyan limestones give way to deep Pacific clays (Edmond & Huh 1997). Similarly, an increase in alkalinity supply from weathering may come about by an increase in the efficiency of alkalinity extraction and thus CO<sub>2</sub> drawdown during silicate weathering, driven by increasing erosion rates in the Neogene, with little change in total weathering flux (Caves Rugenstein et al. 2019).

Given the size of potential changes in CO<sub>2</sub> outgassing and weathering fluxes, tight regulation of CO<sub>2</sub> is required to prevent runaway greenhouse or icehouse conditions (Berner & Caldeira 1997, Isson et al. 2020, Penman et al. 2020). The dependence of silicate weathering on CO<sub>2</sub> and climate provides such a feedback (Li et al. 2016), with the ocean carbonate system playing a mediating role: the ocean receives the products of weathering and outgassing and, via this balance of alkalinity and DIC, sets atmospheric CO<sub>2</sub>.

## 7. COUPLING OF CO<sub>2</sub> AND GLOBAL CLIMATE OVER THE PAST 66 MILLION YEARS

Buffered about by changes both on the supply side and on the removal side, the CO<sub>2</sub> content of the atmosphere has undergone large changes. These changes have served as the primary driver of Earth's climate.

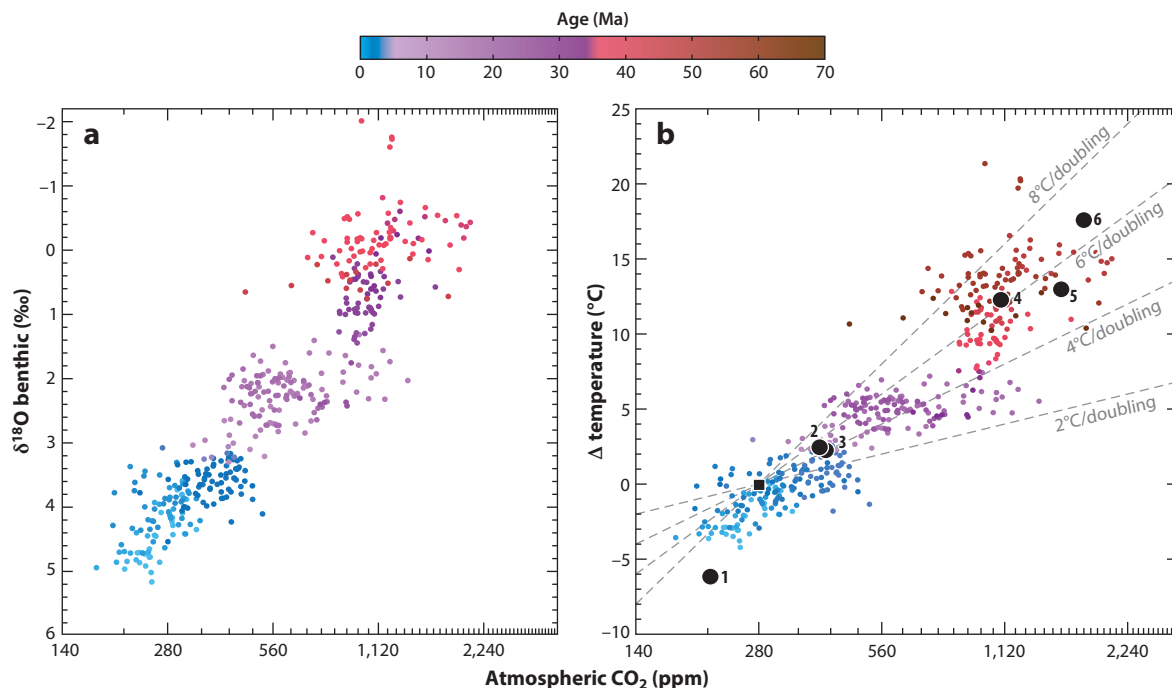
—Wally Broecker (2015)

The past 66 million years have witnessed a dramatic change in Earth's climate, evolving from the ice-free Hothouse of the early Eocene to the frigid Icehouse of the Last Glacial Maximum (Westerhold et al. 2020, Zachos et al. 2001). Changing levels of atmospheric CO<sub>2</sub> have long been implicated in the well-documented cooling of the climate through the Cenozoic (e.g., Berner et al. 1983, Raymo & Ruddiman 1992); however, outside of a handful of well-studied climate transitions (Foster et al. 2012, Pagani et al. 2011, Pearson et al. 2009), it has been hard to make a close link between CO<sub>2</sub> and climate. Our new combined marine-based CO<sub>2</sub> compilation shows, more clearly than in previous studies, a close correlation between CO<sub>2</sub> and records of global temperature (based on either geochemical reconstructions and/or the state of the cryosphere) through the entire Cenozoic (**Figure 6**). Our CO<sub>2</sub> data are closely tied to the different states of Cenozoic climate (see top of **Figure 6**), as identified by statistical analysis of benthic δ<sup>18</sup>O (Westerhold et al. 2020). During the Hothouse of the early Eocene, CO<sub>2</sub> levels are ~1,500 ppm, contributing to

extreme global warmth and, in combination with changing cloud properties, a reduced latitudinal temperature gradient (Evans et al. 2018, Zhu et al. 2019). Falling CO<sub>2</sub> is associated with the cooling to the middle and late Eocene Warmhouse (Anagnostou et al. 2016, Inglis et al. 2015), which has CO<sub>2</sub> levels of ~1,000 ppm (Anagnostou et al. 2020), and CO<sub>2</sub> falls below ~800 ppm at the Eocene–Oligocene boundary, associated with the first major growth of ice on Antarctica (Pearson et al. 2009, Zhang et al. 2020). The Coolhouse climates of the Oligocene and early Miocene are associated with CO<sub>2</sub> of ~600 ppm, although the Oligocene remains a notable data gap for records that can be assessed following the procedures used here (Sections 3 and 4). Antarctic ice loss at the Miocene Climatic Optimum is associated with a peak in CO<sub>2</sub> (Foster et al. 2012, Zhang et al. 2013), and CO<sub>2</sub> falls again during the Miocene Climate Transition as the East Antarctic Ice Sheet stabilizes and the West Antarctic Ice Sheet grows (Sosdian et al. 2018, Stoll et al. 2019). Following a slight rise during the mid-Pliocene Warm Period (de la Vega et al. 2020, Pagani et al. 2010, Seki et al. 2010), CO<sub>2</sub> falls again as the Plio–Pleistocene Icehouse intensifies, including the growth of large Northern Hemisphere ice sheets, with increased variability associated with progressively lower CO<sub>2</sub> levels during glacial maxima and a more gradual decline in interglacial levels (Chalk et al. 2017, Dyez et al. 2018, Hönlisch et al. 2009).

These data underscore the importance of CO<sub>2</sub> as the primary control knob of the greenhouse effect and Earth's climate (Lacis et al. 2010) through at least the past 66 million years. CO<sub>2</sub> is, however, unlikely to be the only driver of Cenozoic climate change. For instance, Anagnostou et al. (2016) calculated that around 65% of the warmth of the Eocene was driven by the higher CO<sub>2</sub> of this interval, with the remaining 35% due to changes in other boundary conditions, such as a reduced planetary albedo due to a smaller cryosphere (**Figure 6b**) and altered vegetation distributions. Other secondary drivers of climate over this interval include the position of the continents and an increase in solar constant through time (Lunt et al. 2016).

To further explore the relationship between long-term CO<sub>2</sub> change and climate, we plot estimates of global temperature evolution against CO<sub>2</sub> doublings (**Figure 7**); the slope of this relationship gives a rudimentary form of climate sensitivity, although we stress two important caveats. First, it is crucial to note that estimates of Earth system sensitivity of this type are distinct from equilibrium or Charney sensitivity, most commonly used in relation to future climate change (Sherwood et al. 2020), due to the operation of slow feedbacks in the Earth system, such as changes in land ice (Rohling et al. 2012), and nonclimate system effects, such as changes in paleogeography (e.g., Anagnostou et al. 2016, Farnsworth et al. 2019). Second, the temperature estimates used here are also crude, based on a scaling with benthic  $\delta^{18}\text{O}$  (Westerhold et al. 2020) following Hansen et al. (2013), and the apparent discontinuities at 5.3 and 34 Ma are synchronous with a change in climate state due to ice growth but also a related change in the scaling function (although we note broad agreement with independent compilations of surface temperature shown in **Figure 7b**). Nonetheless, it is clear, even with these caveats, that atmospheric CO<sub>2</sub> and temperature are closely coupled, both across the data set as a whole and within shorter time windows. While the data set as a whole suggests a relatively high climate sensitivity, much of this temperature change is apparently accomplished by jumps between different climate states. These jumps, if not simply a function of changes in the  $\delta^{18}\text{O}$ -temperature scaling factor, could be linked to changes in Earth's albedo associated with ice growth at these times or other tipping elements, such as changes in cloud properties (e.g., Schneider et al. 2019). The compilation also supports the potential state dependence to climate sensitivity through the Cenozoic noted in other recent studies (Anagnostou et al. 2020, Farnsworth et al. 2019, Zhu et al. 2019), permitting higher values in the Eocene and Plio–Pleistocene and more moderate values in the Miocene. However, given the caveats currently involved in these types of comparisons between CO<sub>2</sub> and global temperature, we encourage further research to continue to explore and refine these relationships.

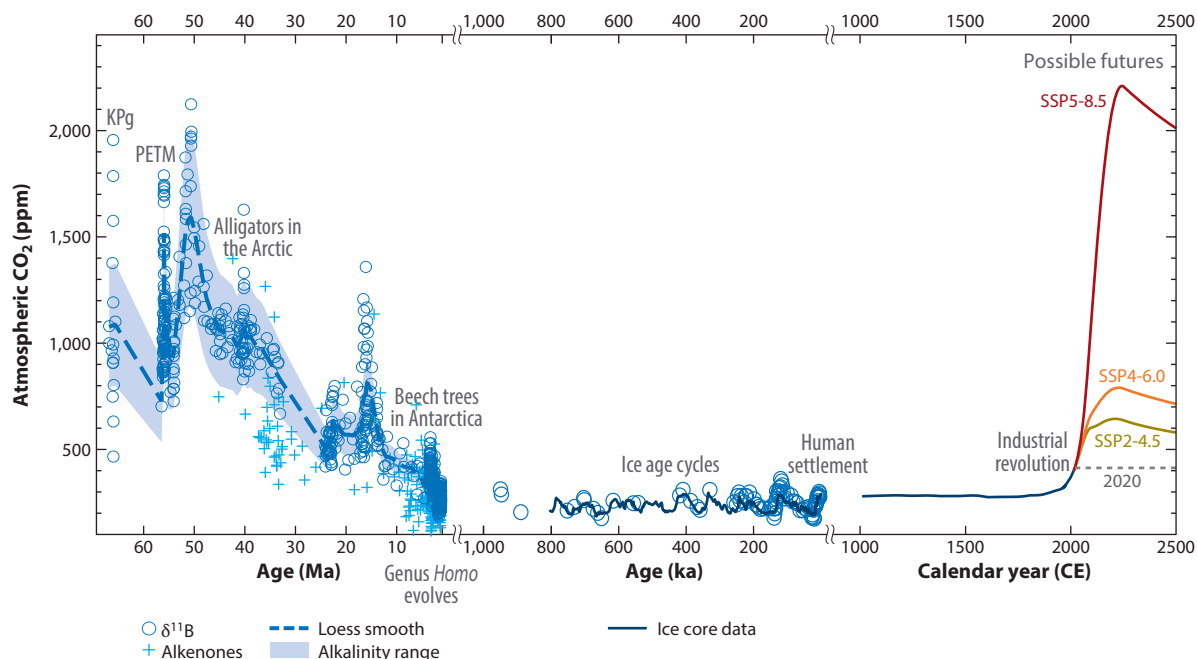


**Figure 7**

Relationship between CO<sub>2</sub> and climate over the Cenozoic. Atmospheric CO<sub>2</sub> is as plotted in **Figure 6**, binned into 0.01 Myr time windows and shown on a log(2) scale to display CO<sub>2</sub> doublings. Symbol color indicates age, with the breaks in color broadly corresponding to the Hothouse, Warmhouse, Coolhouse, and Icehouse states (**Figure 6**) of Westerhold et al. (2020). Panel *a* shows benthic  $\delta^{18}\text{O}$  data (Westerhold et al. 2020). Panel *b* shows benthic  $\delta^{18}\text{O}$  data converted to an estimate of surface temperature change, following Hansen et al. (2013); note that discontinuities at 5.3 and 34 Ma may be in part due to changes in this algorithm. Black circles indicate independent proxy-derived estimates of surface temperature: ❶ Last Glacial Maximum (Tierney et al. 2020b), ❷ Pliocene (de la Vega et al. 2020), ❸ Pliocene (McClymont et al. 2020), ❹ late Paleocene, ❺ Early Eocene Climatic Optimum, and ❻ Paleocene–Eocene Thermal Maximum (Inglis et al. 2020). Dashed lines denote different degrees of temperature change per CO<sub>2</sub> doubling, providing an estimate of Earth system sensitivity.

## 8. THE PAST AND FUTURE OF CO<sub>2</sub> CHANGE

Over the past 150 years, humans have become a dominant force of change within the Earth system (**Figure 8**). By burning fossil fuels, human society has converted the geological reservoirs most rich in carbon directly into atmospheric CO<sub>2</sub>. At the time of writing in 2020, CO<sub>2</sub> is 414 ppm, a level last seen on Earth in the Pliocene around 3 million years ago (**Figure 8**), a time with global temperatures  $\sim 3^\circ\text{C}$  warmer than preindustrial, smaller ice sheets, and  $\sim 20\text{-m}$  higher sea level (Dutton et al. 2015, McClymont et al. 2020, Raymo et al. 2018). As de la Vega et al. (2020) recently noted, at current rates of CO<sub>2</sub> emission, we are likely to exceed Pliocene-like CO<sub>2</sub> values within the next decade. Given the shape of CO<sub>2</sub> evolution through the Neogene, we are therefore rapidly heading toward levels of CO<sub>2</sub> not seen since the Mid-Miocene Climatic Optimum, 15 million years ago. High emission scenarios, where fossil fuel use continues to grow unabated, illustrate the potential for CO<sub>2</sub> to peak at  $\sim 2,200$  ppm, exceeding anything seen in the past 66 million years (**Figure 8**). While such high emissions are now considered unlikely [due to anticipated trends toward decreasing coal consumption and less CO<sub>2</sub>-intensive energy supply (Hausfather & Peters 2020)], they underscore the potential impact of future energy choices.



**Figure 8**

Paleo- $\text{CO}_2$  context for future  $\text{CO}_2$  change scenarios. Note the breaks in the age axis to allow different timescales to be compared.  $\text{CO}_2$  scenarios associated with shared socioeconomic pathways (SSPs) SSP2-4.5, SSP4-6.0, and SSP5-8.5 are from Meinshausen et al. (2019), as used in the Intergovernmental Panel on Climate Change Sixth Assessment Report; scenario numbers refer to the change in radiative forcing in watts per square meter. The 2020  $\text{CO}_2$  level of 414 ppm is from <https://scrippsco2.ucsd.edu>. Paleo- $\text{CO}_2$  data are as plotted in Figure 6. Although Earth has experienced elevated  $\text{CO}_2$  levels within the past 66 million years, these are associated with a world entirely unfamiliar to our genus, with beech forests growing in parts of Antarctica during the Pliocene (Rees-Owen et al. 2018) and alligators roaming the Arctic during the Eocene (Eberle & Greenwood 2012). Abbreviations: KPg, Cretaceous–Paleogene (boundary extinction); PETM, Paleocene–Eocene Thermal Maximum.

These comparisons put historic and future  $\text{CO}_2$  rise into a geological context, although comparing the geological past and our potential future is not straightforward (for more detailed discussions, see Burke et al. 2018 and Tierney et al. 2020a). Geological  $\text{CO}_2$  change generally occurs over millennia to millions of years, which allows the climate system to keep pace with changing  $\text{CO}_2$  levels (Rohling et al. 2012). The change in climate forcing due to anthropogenic carbon emissions is  $\sim 10$  times faster than even the most abrupt geological carbon release in the past 66 million years (the PETM) (e.g., Zeebe et al. 2016), with only the meteorite impact at the KPg boundary causing more rapid global change (e.g., Henehan et al. 2019). As a consequence, the climate system is currently far from equilibrium, with equilibration timescales on the order of millennia largely set by the slow responses of the deep ocean and the cryosphere (Rohling et al. 2012). Nonetheless, it remains an important point that only by immediately and substantially cutting carbon emissions will we limit global temperature change and prevent a return to a planetary climate entirely unfamiliar to our genus.

## 9. OUTLOOK

$\text{CO}_2$  reconstructions from phytoplankton  $\delta^{13}\text{C}$  and foraminiferal  $\delta^{11}\text{B}$  have evolved substantially in recent years. Here we have attempted to review Cenozoic  $\text{CO}_2$  estimates from these methods

in a consistent framework, informed by the latest understanding of the assumptions underlying these proxies. This reveals an increasingly coherent picture of CO<sub>2</sub> change over the past 66 million years and a close coupling between CO<sub>2</sub> and climate.

Several significant challenges remain in the years ahead. For alkenone-based reconstructions, these include continued uncertainties in understanding of biological mechanism (Rubisco fractionation, CCM and upregulation, physiological evolution) and the need for continued improvement on constraining secondary influences on  $\epsilon_p$  (growth rate, light limitation), especially within older time intervals. Further exciting areas for future research include development of realistic physical models of phytoplankton  $\delta^{13}\text{C}$  and expansion of the proxy into deeper time using other related compounds. For boron isotopes,  $\delta^{11}\text{B}_{\text{SW}}$  remains the most significant uncertainty in absolute pH and CO<sub>2</sub> values on long timescales. Improved efforts to reconstruct and/or model secondary constraints on the carbonate system, including the major ion chemistry of seawater, will also benefit  $\delta^{11}\text{B}$ -based records. In both proxy systems there is also a continued need to increase the temporal and spatial coverage of reconstructions.

However, while uncertainties in each method persist, they are largely independent, so the increasing level of agreement in CO<sub>2</sub> reconstructions from these methods is encouraging. Evaluation of the Cenozoic CO<sub>2</sub> record underscores the truly geological scale of anthropogenic CO<sub>2</sub> change and the urgent need to reduce CO<sub>2</sub> emissions to prevent Earth's future climate from equilibrating to CO<sub>2</sub> levels last seen in its increasingly distant past.

## DISCLOSURE STATEMENT

The authors are not aware of any affiliations, memberships, funding, or financial holdings that might be perceived as affecting the objectivity of this review.

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## RELATED RESOURCES

Palaeo-CO<sub>2</sub> Project: <http://www.p-co2.org/>. Web resources on CO<sub>2</sub> reconstruction from marine archives, containing the data collated here and future updates and iterations

Paleo-CO<sub>2</sub>: <https://www.paleo-co2.org/>. Web resources on CO<sub>2</sub> reconstruction from a wide variety of different archives

Scripps CO<sub>2</sub> Program: <https://scrippsco2.ucsd.edu/>. Modern CO<sub>2</sub> data



# Contents

Minoru Ozima: Autobiographical Notes <i>Minoru Ozima</i> .....	1
The Geodynamic Evolution of Iran <i>Robert J. Stern, Hadi Shafaii Moghadam, Mortaza Pirouz, and Walter Mooney</i> .....	9
Subduction-Driven Volatile Recycling: A Global Mass Balance <i>D.V. Bekaert, S.J. Turner, M.W. Broadley, J.D. Barnes, S.A. Halldórsson, J. Labidi, J. Wade, K.J. Walowski, and P.H. Barry</i> .....	37
Atmospheric Loss to Space and the History of Water on Mars <i>Bruce M. Jakosky</i> .....	71
Climate Risk Management <i>Klaus Keller, Casey Helgeson, and Vivek Srikrishnan</i> .....	95
Continental Drift with Deep Cratonic Roots <i>Masaki Yoshida and Kazunori Yoshizawa</i> .....	117
Contemporary Liquid Water on Mars? <i>James J. Wray</i> .....	141
Geologically Diverse Pluto and Charon: Implications for the Dwarf Planets of the Kuiper Belt <i>Jeffrey M. Moore and William B. McKinnon</i> .....	173
The Laurentian Great Lakes: A Biogeochemical Test Bed <i>Robert W. Sterner</i> .....	201
Clocks in Magmatic Rocks <i>Fidel Costa</i> .....	231
Hydration and Dehydration in Earth's Interior <i>Eiji Obtani</i> .....	253
Past Warmth and Its Impacts During the Holocene Thermal Maximum in Greenland <i>Yarrow Axford, Anne de Vernal, and Erich C. Osterberg</i> .....	279
Fiber-Optic Seismology <i>Nathaniel J. Lindsey and Eileen R. Martin</i> .....	309
Earth's First Redox Revolution <i>Chadlin M. Ostrander, Aleisha C. Johnson, and Ariel D. Anbar</i> .....	337

Toward an Integrative Geological and Geophysical View of Cascadia Subduction Zone Earthquakes <i>Maureen A.L. Walton, Lydia M. Staisch, Tina Dura, Jessie K. Pearl, Brian Sherrod, Joan Gomberg, Simon Engelhart, Anne Trébu, Janet Watt, Jon Perkins, Robert C. Witter, Noel Bartlow, Chris Goldfinger, Harvey Kelsey, Ann E. Morey, Valerie J. Sabakian, Harold Tobin, Kelin Wang, Ray Wells, and Erin Wirth</i> .....	367
Recent Advances in Geochemical Paleo-Oxybarometers <i>Brian Kendall</i> .....	399
The Organic Isotopologue Frontier <i>Alexis Gilbert</i> .....	435
Olivine-Hosted Melt Inclusions: A Microscopic Perspective on a Complex Magmatic World <i>Paul J. Wallace, Terry Plank, Robert J. Bodnar, Glenn A. Gaetani, and Thomas Shea</i> .....	465
Architectural and Tectonic Control on the Segmentation of the Central American Volcanic Arc <i>Esteban Gazel, Kennet E. Flores, and Michael J. Carr</i> .....	495
Reactive Nitrogen Cycling in the Atmosphere and Ocean <i>Katy E. Altieri, Sarah E. Fawcett, and Meredith G. Hastings</i> .....	523
Submarine Landslides and Their Tsunami Hazard <i>David R. Tappin</i> .....	551
Titan's Interior Structure and Dynamics After the Cassini-Huygens Mission <i>Christophe Sotin, Klára Kalousová, and Gabriel Tobie</i> .....	579
Atmospheric CO <sub>2</sub> over the Past 66 Million Years from Marine Archives <i>James W.B. Rae, Yi Ge Zhang, Xiaoqing Liu, Gavin L. Foster, Heather M. Stoll, and Ross D.M. Whiteford</i> .....	609
A 2020 Observational Perspective of Io <i>Imke de Pater, James T. Keane, Katherine de Kleer, and Ashley Gerard Davies</i> .....	643
An Atlas of Phanerozoic Paleogeographic Maps: The Seas Come In and the Seas Go Out <i>Christopher R. Scotese</i> .....	679

## Errata

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