



# Bird specimens track 135 years of atmospheric black carbon and environmental policy

Shane G. DuBay<sup>a,b,1,2</sup> and Carl C. Fuldner<sup>c,1,2</sup>

<sup>a</sup>Committee on Evolutionary Biology, University of Chicago, Chicago, IL 60637; <sup>b</sup>Life Sciences Section, Integrative Research Center, Field Museum of Natural History, Chicago, IL 60605; and <sup>c</sup>Department of Art History, University of Chicago, Chicago, IL 60637

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Atmospheric black carbon has long been recognized as a public health and environmental concern. More recently, black carbon has been identified as a major, ongoing contributor to anthropogenic climate change, thus making historical emission inventories of black carbon an essential tool for assessing past climate sensitivity and modeling future climate scenarios. Current estimates of black carbon emissions for the early industrial era have high uncertainty, however, because direct environmental sampling is sparse before the mid-1950s. Using photometric reflectance data of >1,300 bird specimens drawn from natural history collections, we track relative ambient concentrations of atmospheric black carbon between 1880 and 2015 within the US Manufacturing Belt, a region historically reliant on coal and dense with industry. Our data show that black carbon levels within the region peaked during the first decade of the 20th century. Following this peak, black carbon levels were positively correlated with coal consumption through midcentury, after which they decoupled, with black carbon concentrations declining as consumption continued to rise. The precipitous drop in atmospheric black carbon at midcentury reflects policies promoting burning efficiency and fuel transitions rather than regulating emissions alone. Our findings suggest that current emission inventories based on predictive modeling underestimate levels of atmospheric black carbon for the early industrial era, suggesting that the contribution of black carbon to past climate forcing may also be underestimated. These findings build toward a spatially dynamic emission inventory of black carbon based on direct environmental sampling.

however, have high uncertainty for the early industrial era (1), limiting our ability to use past emissions data to extract climate sensitivity. In the United States, efforts to measure concentrations of atmospheric soot were limited to sporadic city-level surveys before the mid-1950s (8), when federal legislation targeting air pollution gave rise to a coordinated national network for atmospheric monitoring (2, 3). As a result, our current understanding of atmospheric black carbon levels before midcentury in the US Manufacturing Belt is limited to anecdotal evidence and piecemeal records. Building accurate emission inventories of climate-forcing agents like black carbon remains a key step toward establishing a more rigorous understanding of how atmospheric pollutants affect climate.

Recent efforts to estimate historical black carbon emissions have used predictive models that combine fuel consumption data with emission factors, a variable that rates the efficiency of burning technologies (9–11). Emission inventories generated by these models have been instrumental in evaluating the contribution of atmospheric black carbon to climate change (12–14), but their power is contingent on the ability of emission factors to accurately capture changes in real-world burning efficiency over time. The robustness of predictive models can be independently evaluated by direct sampling data, such as the Greenland ice-core record (15), which captures free-tropospheric emissions of black carbon from North America and stands as one of the few inventories based on a standardized, direct sampling metric of black carbon that extends back before the 1950s. The emission trends inferred from predictive models [such as

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**B**lack carbon, the light-absorbing component of soot, is a complex carbonaceous aerosol that results from the incomplete combustion of organic matter, such as fossil fuels (1). Starting in the mid-19th century, cities within the US Manufacturing Belt—such as Chicago, Detroit, and Pittsburgh—experienced sharp rises in atmospheric soot due to their reliance on regional supplies of highly volatile soft, bituminous coal for manufacturing, domestic heating, and railway transportation (2). By the late 19th century, the palls of coal smoke hanging over industrial cities galvanized early civic reformers, who fought urban smoke pollution as an unsightly nuisance, an economic inefficiency, and a public health concern tied to respiratory illness and increased mortality (2, 3). These early, city-level efforts to mitigate atmospheric soot laid the groundwork for the modern environmental movement in the United States. While US cities no longer experience levels of atmospheric black carbon comparable to the historic peaks of the early 20th century, particle pollution remains a pressing public health and environmental issue in the United States and globally (4, 5).

Black carbon has more recently become recognized as a major contributor to anthropogenic climate change (4, 6, 7). As such, historical emission inventories are consequential for understanding black carbon's effect on past climate and accurately modeling future climate scenarios. Estimates of black carbon emissions,

## Significance

Emission inventories of major climate-forcing agents like black carbon suffer high uncertainty for the early industrial era, thereby limiting their utility for extracting past climate sensitivity to atmospheric pollutants. We identify bird specimens as incidental records of atmospheric black carbon, filling a major historical sampling gap. We find that prevailing emission inventories underestimate black carbon levels in the United States through the first decades of the 20th century, suggesting that black carbon's contribution to past climate forcing may also be underestimated. This study builds toward a robust, spatially dynamic inventory of atmospheric black carbon, highlighting the value of natural history collections as a resource for addressing present-day environmental challenges.

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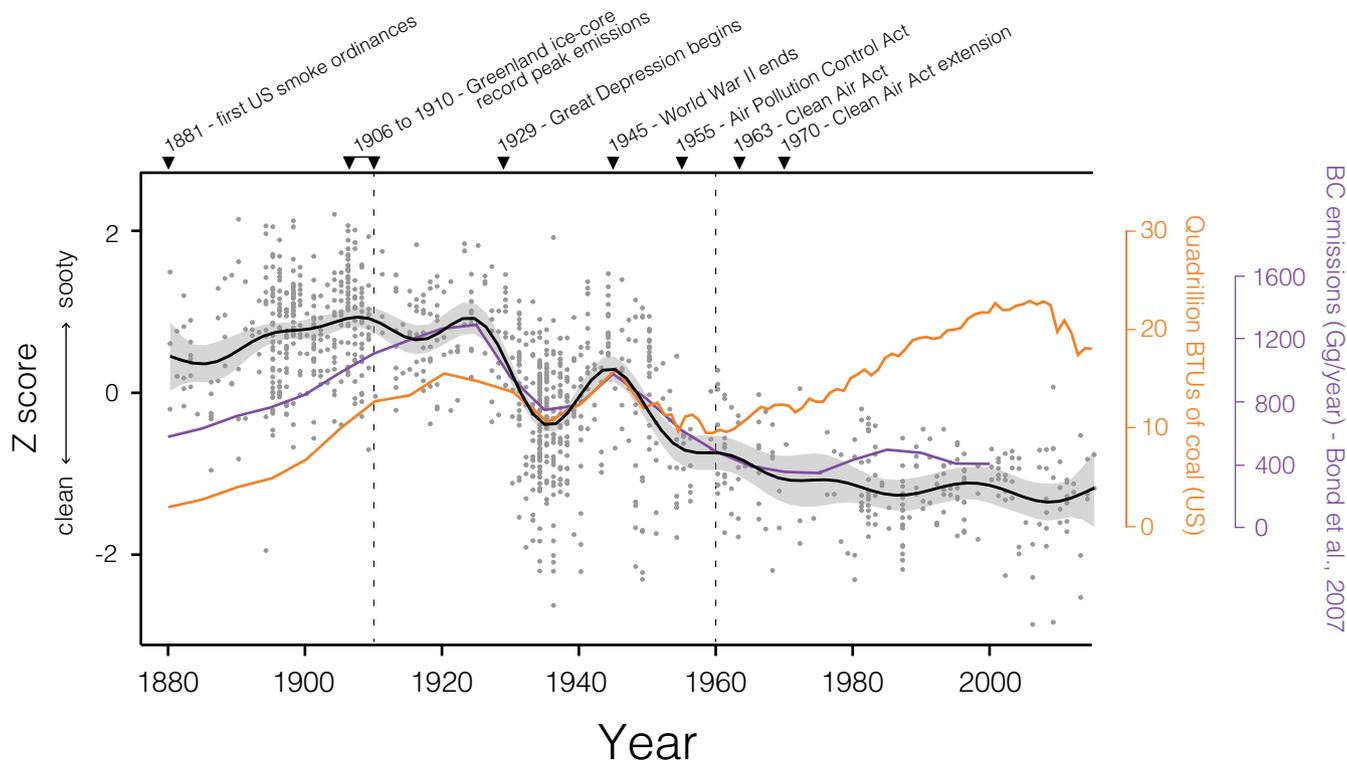
<sup>1</sup>S.G.D. and C.C.F. contributed equally to this work.

<sup>2</sup>To whom correspondence may be addressed. Email: [dubaysg@uchicago.edu](mailto:dubaysg@uchicago.edu) or [cfuldner@uchicago.edu](mailto:cfuldner@uchicago.edu).

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**Fig. 2.** Black carbon deposition on specimens of five bird species from the US Manufacturing Belt, collected between 1880 and 2015. Each point represents the z score for an individual specimen ( $n = 1,097$ ) based on the inverse raw reflectance value taken from its breast and belly feathers. The black line is a GAM ( $k = 20$ ) with 95% confidence limits (indicated by the shaded area), determined from the individual specimens (details on how  $k$  was determined can be found in *SI Materials and Methods* and *Fig. S10*. *Fig. S13* shows species-specific trends). The orange line is consumption for coal in the United States expressed in British thermal units (BTUs) (US Energy Information Administration). Before 1950, coal consumption data are available in 5-y intervals. After 1950, coal consumption data are yearly. The purple line shows estimates of total US black carbon (BC) emissions from Bond et al., 2007 (11), which uses fuel consumption data and emission factor data to generate a historical emission inventory. The dashed line at 1910 denotes the progressive shift in cities within the US Manufacturing Belt from prosecuting to educating emissions violators. The dashed line at 1960 denotes the approximate moment after which black carbon emissions become decoupled from coal consumption.

During the second half of the 20th century, black carbon deposition on specimens became decoupled from coal consumption (Fig. 2 and Fig. S6C). As consumption began to rise again in the postwar period, atmospheric black carbon continued to decline. This decoupling can be explained by a new approach to city-level legislation, which targeted the types of fuel consumed in both domestic and industrial sectors rather than regulating emissions directly. New regulations addressed the distribution of bituminous coal and mandated that consumers of soft coals use mechanical stokers or switch to smokeless fuels (2). These reforms effectively eliminated bituminous coal as a fuel source from residential furnaces, which are estimated to have produced over half of black carbon emissions during the early 20th century (9). The success of these new regulations was contingent upon providing economically viable fuel alternatives. Following a successful model implemented in St. Louis in 1940, Pittsburgh began subsidizing harder, low-volatile coal for domestic use in 1946 (22). St. Louis had seen the benefits of this new approach almost immediately, experiencing an 83.5% decrease in the total hours of thick atmospheric soot during the winter of 1940–41 (25). Following WWII, US cities also began transitioning to alternative fuel sources, specifically petroleum and natural gas (Fig. S7). By 1950, 66% of households in Pittsburgh were heated with natural gas, up from 17% a decade earlier (26). Around the same time, electricity production in the United States shifted away from scattered, coal-powered steam boilers to centralized power plants (27). While these plants were more efficient, they drove the steady rise in coal consumption in the second half of the

20th century as they met the increasing demands for electricity. Together, the increased availability of fuel alternatives and the centralization of power production account for the decoupling of coal consumption from black carbon deposition on specimens. While soot mitigation in the United States took decades to achieve, the solutions proved to be relatively straightforward: Regulate the types of fuel consumed and promote affordable alternative fuel options.

With black carbon levels declining by midcentury (Fig. 2), the United States entered a new era of air pollution and environmental policy. Decades of research and activism aimed at mitigating soot pollution culminated in the passage of the Air Pollution Control Act of 1955, the first federal air pollution legislation in the United States. This act did not regulate or control pollution levels, but directed money toward research into air pollution, helping to establish a coordinated, national network to monitor air quality. In 1963, the first incarnation of the Clean Air Act established federal limits on a variety of atmospheric pollutants, but by then, high levels of atmospheric black carbon had already receded (Fig. 2).

**Black Carbon Levels Exceed Predictive Model Estimates.** Our results suggest that black carbon levels were higher at the start of the 20th century than estimates generated from predictive models (9, 11). While Bond et al., 2007 (11) considered black carbon emissions on a national scale, our studies are largely comparable since their estimates for the United States are driven by bituminous coal, which was disproportionately consumed within the



shooting locations: The Field Museum, Chicago; University of Michigan Museum of Zoology, Ann Arbor; and Carnegie Museum of Natural History, Pittsburgh (Fig. S9). Since our camera's CMOS sensor incorporates an additional G channel (G2), we averaged both G-channel values to produce a single G-channel regression. The equations for each regression line can be found in Fig. S9. We uploaded the digital photograph of each specimen into RawDigger and sampled the uniform white patch on the ventral side of each specimen. We recovered median raw R, G/G2, and B channel sensor values from a sampling area that ranged from 25 to 900 mm<sup>2</sup>. Since feathers are a textured, heterogeneous surface, median values were used to minimize any effect of outliers. For each specimen, the sample area was determined by selecting a large continuous area without conspicuous portions of exposed skin, staining due to residual fat deposits, or other preparation and conservation issues (see Dataset S1 for sample areas). We used the collection-specific regression equations to calculate reflectance values separately for R, G/G2, and B channels for each specimen. We then averaged the three channel-specific reflectance values to obtain a composite reflectance value for each specimen.

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# Supporting Information

## DuBay and Fuldner 10.1073/pnas.1710239114

### SI Materials and Methods

**Photographing Specimens.** Specimens were imaged with a mirrorless interchangeable lens camera (Sony a7R II) paired with a native 55 mm lens (Sonnar T\* FE 55 mm F1.8 ZA), positioned at a fixed height of 72 cm over a self-contained light box (MK Digital Direct Photo-e-Box BIO) outfitted with 28-W continuous full-spectrum fluorescent bulbs (6,500 K, 84CRI) run through 120-V AC 60-Hz electronic ballasts. Specimens were illuminated by using top, side, and back bulbs in the light box, omitting the bottom (stage) bulbs and supplemental LED bulbs to ensure an even distribution of diffuse light from a single illuminant type source. At the beginning of each imaging session, the lighting elements were turned on and allowed to warm up for 20 min before shooting. Specimens were oriented so that the target area on the breast was positioned at the center of the camera's field of view. The light box was fully enclosed during each exposure, except for a rectangular aperture on the top, sized to fit the camera's field of view. Overhead lighting was turned off in each of the shooting locations, and windows were covered to further reduce ambient light leakage.

The images were captured in 14-bit uncompressed raw format and analyzed by using RawDigger software (Version 1.2.11), which provides access to raw data directly recorded by the digital camera's CMOS sensor. Analyzing the raw sensor data directly enabled us to bypass the linearization step described by Stevens et al., 2007, and McKay, 2013 (32, 33), since the raw values have not been altered by nonlinear gamma encoding algorithms that are introduced when raw sensor data are converted into conventional image formats, such as JPEG or TIFF (34). Before shooting, we tested the linearity of the camera's CMOS sensor following the procedure outlined in Stevens et al., 2007 (32) and we found that the sensor provided a linear response over the entire dynamic range (Fig. S9).

Exposure settings (shutter speed, aperture, and ISO) were optimized through a series of trials using reflectance standards. We conducted trials using four types of reflectance standards, including the XRite ColorChecker Passport (8-step), QPCard 101 (3-step), Labsphere Spectralon Diffuse Reflectance Standards (10 reference targets), and Munsell Neutral Value Scale matte finish (31-step). We found that each standard provided comparable results, but we selected the Munsell Neutral Value Scale as our primary standards because it was relatively affordable, provided the largest number of reference points, and included published reflectance percentages printed directly on the cards for easy reference. To determine exposure settings, we analyzed trial images in RawDigger with a goal of maximizing the dynamic range (defined as the distance between minimum and maximum light intensities) without introducing signal clipping on any of the color channels (R-G-B-G2), which occurs when certain clusters of pixels fall outside of the dynamic range due to overexposure (saturation). It is essential to refer to the raw data when assessing whether signal clipping has occurred, since the channel-specific histograms on many digital cameras' displays incorporate gamma-encoding algorithms that make it difficult to tell whether signal clipping has actually occurred. Exposure settings maximizing dynamic range will often indicate overexposed areas on the camera's built-in displays, when no signal clipping in the raw file has taken place.

The ISO was set to 100 to ensure a limited amount of digital noise. Based on the trials, an aperture of  $f/16$  was chosen to minimize optical vignetting (light falloff), which is introduced at lower focal ratios, while providing a depth of field that would ensure

that the target area appeared in focus for all specimens, which varied in height due to differences in natural size and preparation of the specimens. With these parameters in place, a shutter speed of  $1/25$  s was selected to maximize the dynamic range.

While the use of a light box ensured relatively even and continuous illumination compared with open studio lighting arrangements, perfectly consistent illumination is difficult to achieve in practice. Some unevenness was discovered in blank reference images, which was determined to have resulted from lens variables (optical vignetting and lens flare) and may have also been influenced by the arrangement of the bulbs in the light box. To account for these factors, the target area for each specimen was confined to a  $3 \times 3$ -inch square, which limited variance in illumination to  $<1\%$ .

Under the constant lighting conditions that a light box provides, reflectance standards theoretically only need to be photographed once over the course of shooting to generate calibration regressions. In practice, however, some minor variations in overall illumination were discovered between the three locations, which may have been due to light leakage or slight variations in the voltage supply to the bulbs at each location. This variation, however, was easily accounted for by imaging the Munsell Neutral Value Scale reflectance standards at each location and calculating reflectance values for specimens with location-specific reflectance regressions. Since reflectance is expressed as a percentage, and these percentage values are relative to the standards, no additional adjustments were needed to normalize the color channels or calibrate the values across shooting locations. We photographed each card of the Munsell Neutral Value separately at The Field Museum and Carnegie Museum of Natural History, positioning each card at the center of the field of view in the same area where we measured reflectance from bird feathers. To determine reflectance regressions from these locations, we used all 31 reflectance standards (ranging from 3.1 to 90% reflectance). At the University of Michigan Museum of Zoology, we photographed the Munsell Neutral Value Scale fanned out in single photograph. For this sample, we only included 12 reflectance steps (ranging from 9 to 84.2% reflectance) that fell within the target area (Fig. S9).

**Determining the Smoothing Function for the GAM.** Smoothing parameters for GAMs can be determined in mgcv by using functions such as GCV that minimize residual deviance (goodness of fit) and degrees of freedom (21). With our final dataset, the GAM estimated a smoothing function of  $k = 10$  (this model is plotted in Fig. S10), which recovered a smoother curve than  $k = 20$  (Fig. 2). Oversmoothing, however, can obscure signals in the data (35, 36), which appears to be happening with  $k = 10$  based on our knowledge of likely inflection points (such as the 1929 US stock market crash) that are present in the consumption data and the Greenland ice-core record. For reference, in Fig. S10, we include a variety of smoothing functions from  $k = 10$  to  $k = 100$ . Based on the comparison of possible  $k$  values,  $k = 10$  appears to apply an overly powerful smoothing operation in the GAM, forcing the first decline of black carbon to begin in the early 1920s rather than the end of the decade where we would expect it to appear based on consumption trends;  $k = 13$  through  $k = 35$  recovers trends that are effectively identical, which appears to recover important signals in the data that over smoothing misses;  $k = 36$  and greater generate toothy trends that overrepresent random variations within the sample set. Based on the variation in the shape of different GAMs, we selected a smoothing

function of  $k = 20$  to produce a relatively smooth trend line that still maintained a distinctive shape that allowed for comparison against consumption data.

**How Sampling Months Were Determined.** Beginning in late summer, each species used in the study initiates an annual molt to replace worn and soiled body feathers with fresh plumage. This molting period can last through the fall months (20). Natural variation in the timing of the molt produces a mix of birds with fresh and soiled plumage among specimens sampled from these months. This annual molt signal was apparent in our sample, with samples from fall months producing shifts in mean reflectance caused by the introduction of freshly molted birds, along with uncharacteristically broad ranges in reflectance values compared with other months (Figs. S4 and S5). Freshly molted individuals do not provide evidence for atmospheric conditions in a given year, warranting their removal from the final dataset. Since freshly molted birds begin to accumulate particulate matter immediately after the molting cycle is complete, rather than selectively evaluating which individuals had recently molted, all of the specimens sampled during these months were removed. We determined the months to exclude for each species based on abrupt shifts in mean reflectance between months, which are indicative of annual molting patterns. For example, in Horned Larks, reflectance values shift abruptly between July and August and then increase again between November and December, indicating that the sample of birds in the months of August–November includes a substantial number freshly molted individuals (Fig. S4). Following this method, the months of August–November were excluded for Horned Larks and Red-headed Woodpeckers, and the months of September–November were excluded for Field Sparrows, Grasshopper Sparrows, and Eastern Towhees (Fig. S4). We could be confident in these shifts given their seasonal timing, since overall black carbon emissions seasonally trend in the opposite direction for a given year in the Northern Hemisphere, as fuel consumption increases to meet heating needs when average temperatures drop (8, 15). We limited this inquiry to the years 1880–1950 because after midcentury, birds are substantially cleaner in all months, compromising our ability to detect monthly breakpoints.

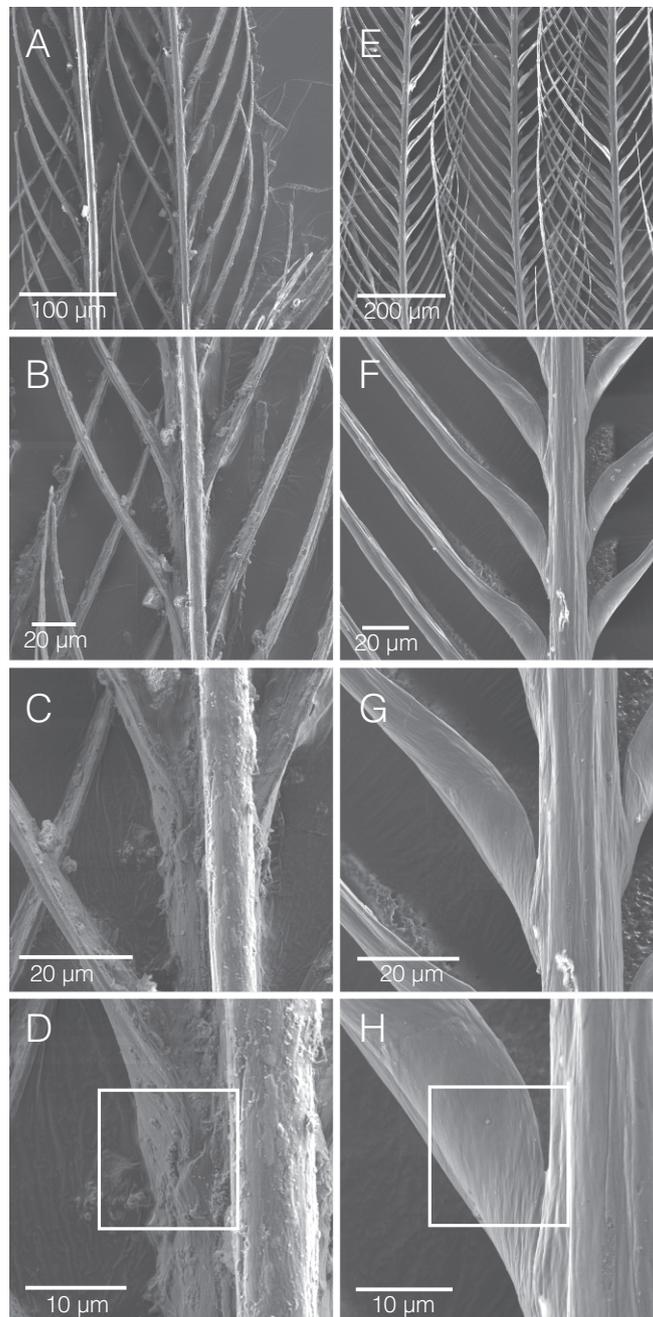
### SI Evidence that Bird Specimens Accumulated Black Carbon from the Environment Before Collection

To link reflectance data to black carbon levels for a single year, it had to be established that black carbon accumulation occurred before collection. Multiple lines of evidence indicated that the

black carbon accumulated on bird specimens originated from the environment while the birds were alive and not from posthumous soiling or discoloration that occurred while being stored in a collection:

- (1) Since posthumous soiling would accrete continuously, if soiling had occurred over time in storage, it would not have been possible to observe seasonal differences, and any monthly trends that result from the annual molting cycle would have been erased or vastly diminished, particularly in older specimens. We found that consistent numbers of birds collected during the fall were much cleaner in a given year, indicating freshly molted individuals (Figs. S4 and S5). These patterns were observable even among birds that had been in the same collections as soiled birds, stored together since the time of collection.
- (2) We conducted a visual survey of bird specimens collected outside the US Manufacturing Belt from other parts of the United States or from less industrialized countries during our 135-y sampling period. If posthumous soiling had occurred within our sample, we would have expected specimens collected in these nonindustrialized regions to have exhibited comparable levels of soiling to those in our sample, which we did not find. A visual example of this evidence can be seen in Fig. S11, which shows five Horned Larks collected in Illinois and five Horned Larks collected along the western coast of North America. All 10 birds were collected during nonmolting months between 1903 and 1922, a period in which consistently high levels of black carbon deposition were found on bird specimens collected within the US Manufacturing Belt.
- (3) If specimens in our sample accumulated black carbon from sitting in museum collections, we would have expected specimens to have soiled ventral sides and cleaner dorsal sides because they generally rest in drawers with their breast and belly facing up. The dorsal side of the specimens would thus have been protected from soot precipitate. We found, however, that both sides of specimens exhibited soiling (Fig. S12).
- (4) If substantial posthumous soiling had occurred within our samples, we would have predicted that the oldest specimens would have been the sootiest based on gradual accumulation over time. However, we found a slight increasing trend in black carbon deposition between 1880 and 1910.

Together, these lines of evidence suggest that any posthumous soiling from sitting in museum storage is negligible.



**Fig. S1.** Additional SEM micrographs, taken at different magnifications, from the Field Sparrows (*S. pusilla pusilla*) in Fig. 1. *A–D* are from the soiled 1906 specimen. *E–H* are from the clean 1996 specimen. The micrographs for each specimen are progressively higher in magnification. The white boxes in *D* and *H* outline the areas shown in Fig. 1.



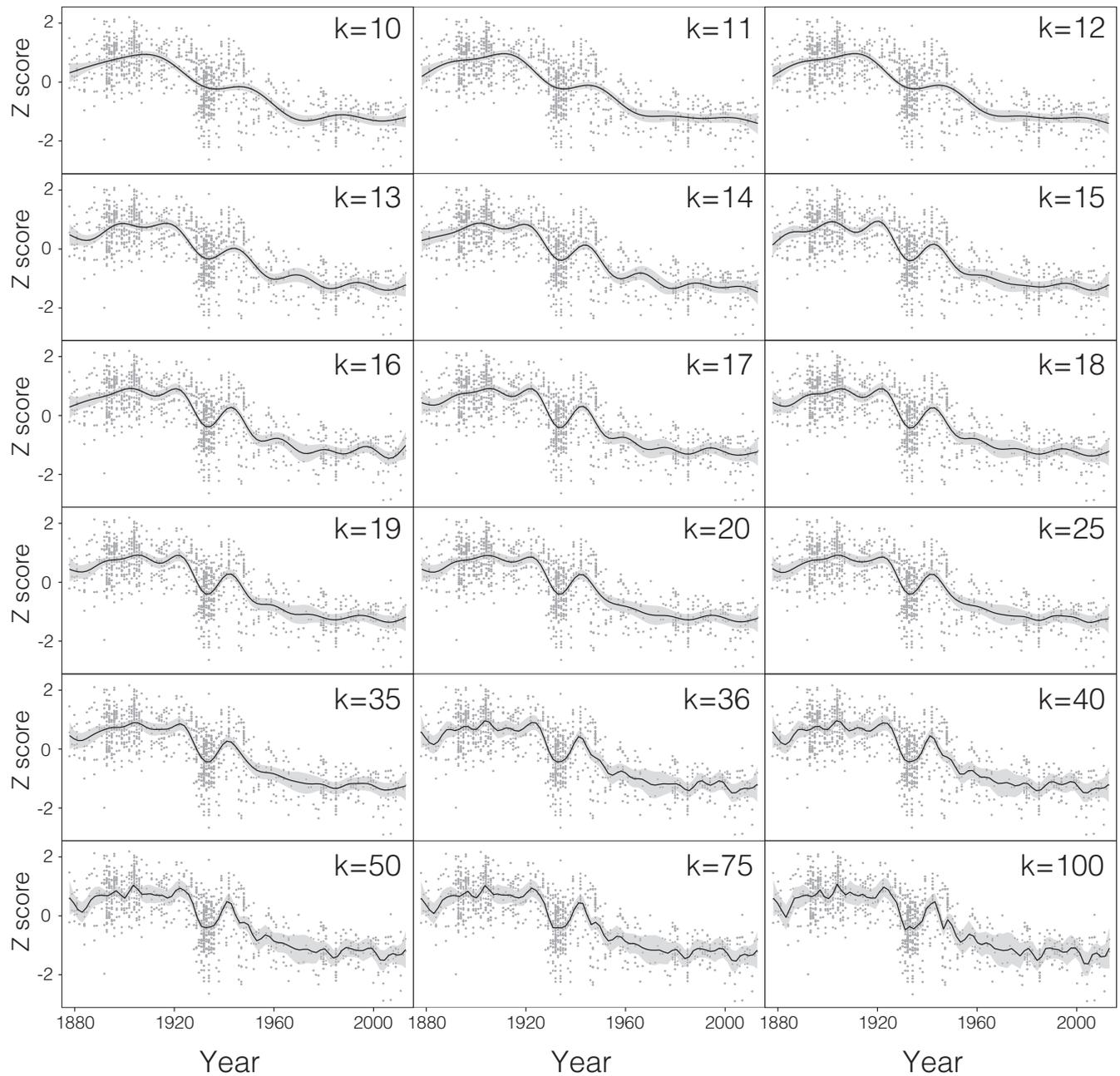






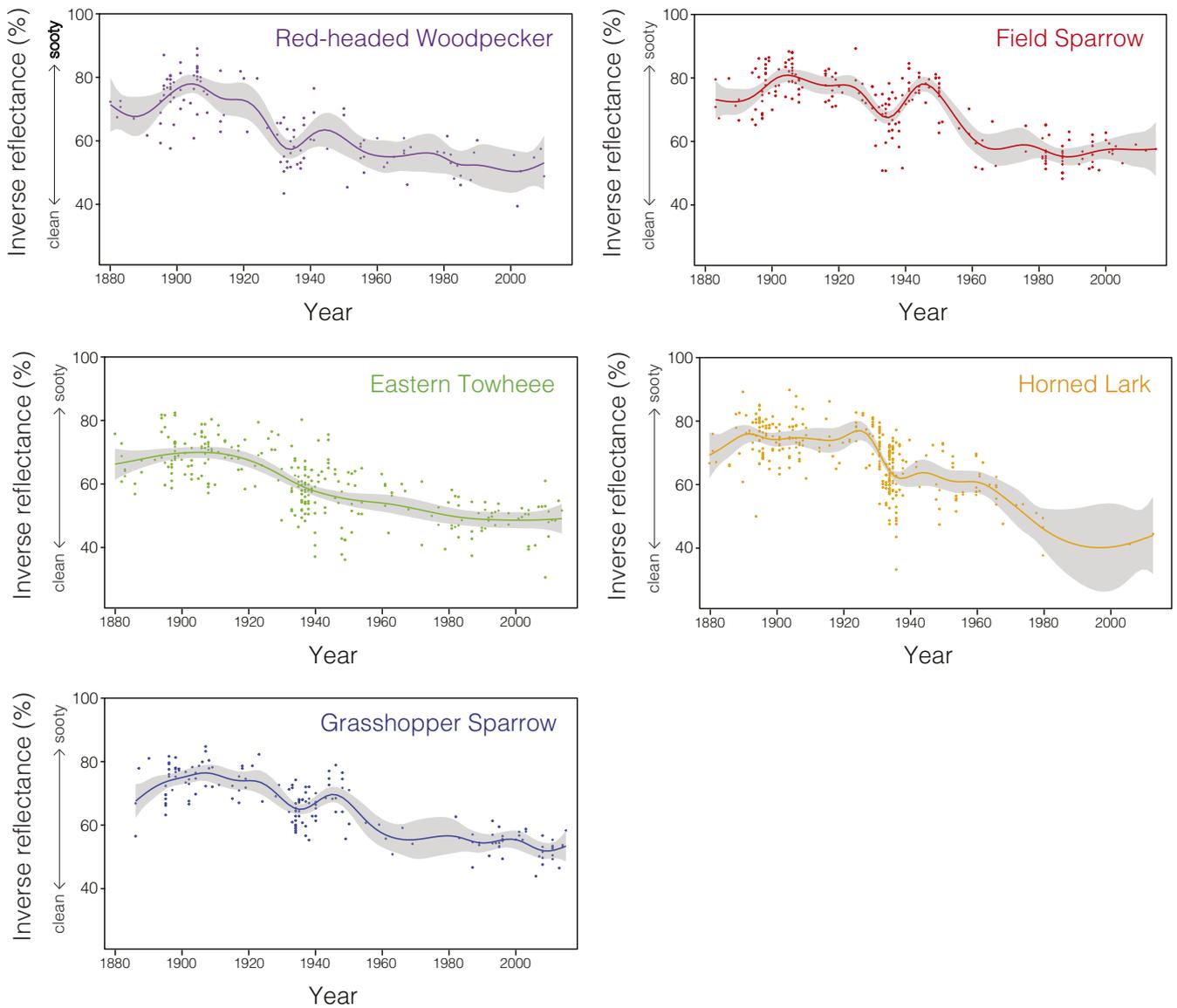






**Fig. S10.** GAMs with various smoothing functions applied to the normalized, 1,097-specimen dataset.  $k = 10$ – $12$  applies an overly powerful smoothing operation in the GAM;  $k = 13$ – $35$  recovers trends that are effectively identical, which appear to recover important signals in the data absent from the  $k = 10$ – $12$  models; and  $k = 36$  (and greater) generates a toothy trend that overrepresents random variations within the sample set.





**Fig. S13.** Species-specific trends in black carbon deposition. Each point represents an individual specimen. The colored lines are GAMs ( $k = 20$ ) with 95% confidence limits (shaded area) for each species [fall-month birds are excluded (Fig. S4)]. Inverse reflectance is reported, rather than reflectance, to visualize drops in atmospheric black carbon.

**Dataset S1. List of vouchered specimens used in the study along with reflectance data**

[Dataset S1](#)

In Column J, two-letter abbreviations are used for each state. Columns L–O report raw data recorded by the digital camera’s CMOS sensor. Column P reports the area sampled on each specimen. Columns Q–T report color channel-specific reflectance values, calculated from the raw sensor data and linear regressions from Fig. S10. CM, Carnegie Museum of Natural History, Pittsburgh; EATO, Eastern Towhee; FISP, Field Sparrow; FMNH, Field Museum of Natural History, Chicago; GHSP, Grasshopper Sparrow; HOLA, Horned Lark; RHWP, Red-headed Woodpecker; UMMZ, University of Michigan Museum of Zoology, Ann Arbor.