

# Captive Blue-and-yellow macaws (Ara ararauna) show facial indicators of positive affect when reunited with their caregiver

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Aline Bertin, Baptiste Mulot, Raymond Nowak, Marie-Claire Blache, Scott A. Love, et al.. Captive Blue-and-yellow macaws (Ara ararauna) show facial indicators of positive affect when reunited with their caregiver. Behavioural Processes, 2023, 206, pp.104833. 10.1016/j.beproc.2023.104833. hal-04168459v2

# HAL Id: hal-04168459 https://hal.inrae.fr/hal-04168459v2

Submitted on 17 Nov 2023

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1	Captive Blue-and-yellow macaws (Ara Ararauna) show facial indicators of positive affect
2	when reunited with their caregiver.
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16	Declarations of interest: none
17	
18	
19	Keywords: Animal sentience; Human-animal bond; Facial expression; Positive emotions;
20	Emotional expression
21	

#### 22 Abstract

In mammals, human-animal bonding is recognized as a source of positive affect for companion or farm animals. Because this remains unexplored in birds, we investigated captive parrots' perspective of the human-animal relationship. We used a classical separation-reunion paradigm and predicted that variations in parrots' facial displays and behaviours would indicate their appraisal of the relationship. The test was divided into three phases of two minutes each: the bird was placed in an unfamiliar environment with a familiar caregiver (union), then the bird was left alone (separation) and finally, the caregiver returned (reunion). The test was repeated 10 times for each bird and video recorded in order to analyze their behaviour. The data show significantly higher crown and nape feather heights, higher redness of the skin and higher frequency of contact-seeking behaviours during the union and reunion phases than during the separation phase during which they expressed long distance contact calls. We observed the expression of eye pinning during the union and reunion phases in one out of five macaws. We argue that variation in facial displays provides indicators of parrot's positive appraisal of the caretaker presence. Our results broaden the scope for further studies on parrots' expression of their subjective feelings.

#### 47 **1. Introduction**

Interacting and bonding with companion animals such as dogs, cats, horses or birds is 48 known to provide multiple benefits for human well-being (e.g. Beck 2014; Beck and Katcher 49 1996; Katcher and Beck, 1987). Comparatively, reciprocal studies dealing with the benefit for 50 51 animals of bonding with humans are rarer and focused on mammals. To investigate this bond, the separation-reunion paradigm - derived from human psychology to investigate attachment-52 related behaviours (Ainsworth and Bell, 1970) - has been used on farm animals and more 53 54 recently on companion dogs, cats or horses (Topál et al., 2005; Nagasawa et al., 2009; Payne et al., 2015; Rehn et al., 2014; Vitale et al., 2019; Lundberg et al., 2020). In farm animals, the 55 existence of a positive affiliative bond towards humans was recognized as beneficial for 56 animal welfare (Rault et al., 2020). For example, lambs express distress vocalizations when 57 isolated but when they are reunited with a familiar caregiver they search physical contact and 58 59 display appeasement. This indicates that the caregiver acts as a social support for the lambs (Nowak et al., 2015; Price and Thos, 1980; Boivin et al., 2001; Coulon et al., 2013; Rault et 60 61 al., 2011). In dogs, the mere return of the owner after a brief separation is known to induce 62 contact-seeking behaviour and to have a positive effect on oxytocin levels – a neuropeptide thought to be involved in the expression of prosocial behaviours and positive emotions -63 (Rhen, 2014). 64

Emotions are characterized by their valence (positive or negative) and arousal level (high or low; Mendl et al., 2010). Two types of positive emotions or states are commonly distinguished. Those characterized by high arousal levels such as joy, excitement, consummatory or appetite motivational states and, those characterized by low arousal levels such as calmness, relaxation, safeness, social bonding or post-consummatory behaviours (Mendl et al., 2010; Richardson et al., 2016; Carver, 2001). In previous studies, we showed that specific facial displays such as crown and nape feather ruffling were associated with

activities having a positive valence and low arousal levels, like quiet positive social 72 73 interactions, maintenance or resting in Blue-and yellow macaws or Sulphur-crested cockatoo (Cacatua galerita) (Bertin et al., 2018a; 2020). Macaws were also found to blush (i.e. increase 74 in blood flow in vascularized tissues) and ruffle their crown feathers when engaged in a 75 mutual interaction with their familiar caregiver (Bertin et al., 2018a), a context recognized as 76 rewarding for captive parrots (Pepperberg and McLaughlin 1996). Head feather ruffling was 77 also observed in Japanese quail performing dust-bathing, a behaviour considered as rewarding 78 with high arousal level (Bertin et al., 2018b). 79

Psittaciformes are highly social with primate-like cognitive capacities (Olkowicz et al. 80 2016; Gutiérrez-Ibáñez et al., 2018). Despite being wild non-domesticated animals, they form 81 strong affiliative bonds with people when captive (Baker, 2012; Anderson, 2014; Bond and 82 Diamond, 2019). We propose that, similarly to mammalian domesticated animals, a human-83 84 animal social bond is a source of positive affect for these birds. To reveal attachment-related behaviours, it is necessary to place the individual in a slightly stressful situation (Bowlby, 85 1982). Here we used a separation-reunion test in an unfamiliar environment as a slightly 86 87 stressful situation. The test was an adaptation of the Ainsworth Strange Situation test in which human infants are separated and reunited from a parent or a stranger in a novel environment 88 (Ainsworth 1979). The original test compared the child's proximity seeking, during distress, 89 90 to the attachment figure or the stranger (Ainsworth 1979). Because our parrots were not used to being approached by strangers and they show fear or aggressive behaviours in general 91 towards them, it was not possible to test parrots' behaviours when reunited with an unfamiliar 92 human. As a consequence, our study did not aim to determine whether parrots show a 93 preference for a specific attachment figure which, is one of the criteria that define a social 94 95 bond as attachment per se (a special affectional and emotional relationship between two 96 specific individuals).

We hypothesized that if the parrots were socially bonded toward their most familiar 97 caregiver then, this person should act as a social support to the birds (i.e. the ability of social 98 partners to enhance one's ability to cope with a challenging situation). Evidence of this social 99 support could consist of signs of positive-like emotional responses (e.g. calmness, relaxation) 100 101 during the test despite being placed in an unfamiliar environment and separated from conspecifics. We predicted that this bond would be expressed by variations in behaviour 102 during the different phases of the test: union, separation, reunion. Specifically, based on our 103 previous research, we expected that macaws would express feather ruffling and blushing 104 when in presence of the familiar caregiver and a potentially enhanced response (rebound 105 106 effect) of these behaviours during the reunion phase.

#### 107 **2. Animals and methods**

#### 108 2.1. Birds and housing conditions

We observed five hand-reared Blue-and-yellow macaws (two males and three females 109 between 7 and 12 years old), not exposed to public visitors, at the Zooparc de Beauval Saint 110 Aignan (41110, France). All birds are part of a free-flying show. They had been trained daily 111 (i.e. handled daily) since weaning and were thus in close contact with humans, especially their 112 113 caregivers. During free-flight training the birds were taught to land on the caregivers' arm 114 when called after unrestricted outdoor flight. The five birds were housed in two adjacent 115 aviaries of similar sizes with an indoor area (250 cm x 520 cm x 260 cm) freely connected to an outdoor area (250 cm x 850 cm x 260 cm) and were mixed with a pair of Sulphur-crested 116 cockatoo. The aviaries were equipped with several tree branches, perches and ropes. 117 Enrichments were provided daily (cardboard and newspaper). Parrots were fed daily with 118 119 fresh fruits and vegetables, germinated seeds (wheat, corn, sunflower, rice, and oat), millet seeds, oyster shells, and a commercial mix for exotic birds. 120

#### 121 2.2 Test apparatus and procedure

All the tests took place inside a (3m l x 3m L x 2m h) barnum installed indoors, unfamiliar to the birds and approximately 60 meters away from their aviaries. In order to obtain profile images of the heads of the birds, the barnum was equipped with a perch (1.15 m high, 80 cm long) placed perpendicularly to a small window allowing the passage of the camera recorder mounted on a tripod. All the walls and the roof were opaque and composed of white fabric. A lamp (Somikon photo light SLH3), placed on the floor, was used to have even lighting conditions. All the tests were filmed by a Sony FS5 4K camera.

All birds were tested individually 10 times on 10 different days. All the tests were 129 130 conducted between 10am and 12pm for two successive weeks. Each bird was tested only once 131 per day and rank order of the birds was counterbalanced between days. All birds were tested with the same animal caretaker. We worked with the animal caretaker who was the most 132 familiar to all of them (more than 10 years of caring for them). The caretaker chosen was also 133 the only one spending quality time with them daily to work on bonding (like playing with 134 them, providing tactile contacts or talking to them). As we observed pet-like behaviours 135 (supplementary data, Figure S1) during the daily routine in presence of the caretaker -136 137 characteristic of an affiliative social bond with humans in pet macaws (Jordan, 2003) - we 138 assumed that, more than being familiar, a positive social bond had been established between the birds and the caretaker. For each test session, a bird was called by its name, placed in its 139 usual transport cage (the same used for transport before free-flight shows) and taken to the 140 barnum. Then the bird was put on the perch by hand. The test was divided into three phases of 141 two minutes each: 142

143 1. Union: the familiar caregiver stayed with the bird

144 2. Separation: the caregiver left the barnum and thus the bird alone

145 3. Reunion: the caregiver returned (reunion).

On the first day of testing, the birds were not willing to stay on the perch. They flew back to their transport cage or perched on the caregiver's arms. Therefore, from day 2 to day 10, the transport cage was left outside of the barnum and the birds were brought by hand inside the barnum. The caregiver remained motionless in front of the bird at approximately 50 cm, was asked to keep the arms behind her back. The caregiver was allowed to whisper the same words to all parrots ("oui, c'est bien") to encourage them to stay on the perch. At the end, each parrot received a nut and was placed back in its transport cage.

#### 153 *2.3. Facial display characterization*

We used a protocol similar to Bertin et al. (2018b) on video-recordings obtained from 154 155 day 2 to day 9. We used the VLC software to search images of clear profiles and extract them 156 (Fig. 1). To homogenize the time when the profiles were extracted between birds, the profiles were searched within twelve 30-s sequences. We extracted images every second with the 157 software and kept the first clear profile found within the 30-s sequence for analysis. We 158 extracted one clear profile per 30-s sequence for all birds (12 images per bird per test). We 159 used the software ImageJ, an image analysis program, to measure crown feather height, nape 160 feather height and area of the pupil. To correct for variation in the distance of the bird from 161 162 the camera, we used an invariant distance on each bird. For each bird, we measured manually 163 before the experiment, the real distance between the top of the beak and its tip with a digital calliper  $(\pm 0.01 \text{ mm})$  (Fig. 1; a). Then, for each image, we used the function "straight" to draw 164 this distance on the image and then the function "set scale" to convert the distance in pixels to 165 166 distance in real centimetres. To measure crown feather height, we drew an angle with a vertical plane going from the top of the beak (boundary between the nostril and the beak) and 167 the middle of the pupil (Fig. 1; b) and a 90° angle from the middle of the pupil to the top of 168 the green feathers (Fig. 1; c). The length of the line was determined with the function 169 "analyse" and "measure". To measure nape feather height, we estimated the length of a line 170

adjacent to the white skin of the jaw and going from the top of the blue feathers on the head to
the tip of the black feathers of the throat (Fig. 1; d). The pupil area was assessed with the
function "oval", with which we circled the black pupil and then used the function "measure"
to obtain the area of the circle.

To assess the presence of blushing (redness of the skin), we drew a 10 x 10 pixels 175 square on the bare skin at the external corner of the eye, between the blue feathers of the head 176 and the black feathers of the jaw (Fig. 1; e). With the function "measure" of image J, we 177 obtained the mean red (R), mean green (G), and mean blue (B) values of the square. Similarly 178 to some carotenoid-based studies (Pérez-Rodríguez and Viñuela 2008; Passarotto et al., 179 180 2021), we calculated the redness of the skin as R/(R+G+B). In order to control for the 181 balance of the white within the images, a 10 x 10 pixels square was also drawn on the white wall of the barnum for each image. Because the values of redness obtained in the white wall 182 (mean Redness:  $0.33 \pm 0.001$ ) did not differ significantly from a theoretical redness obtained 183 in a white or grey standard reference (0.33) (t-test, P > 0.05), no colour correction of the 184 images was deemed necessary. The same well-trained experimenter, blind to the phase, made 185 all the measures (540 images in total). 186

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188 2.3 Analysis of behaviour

We assessed the number of times each bird expressed "contact seeking behaviours" towards the animal caregiver: the bird stretched his body horizontally towards the caregiver, and tried, or not, to grasp the caregiver's clothes with its beak, or the bird "begged" to be taken on hand by lifting one leg in front of its breast. These behaviours were scored during the three phases to make sure that they were specifically displayed in the presence of the caregiver. We also recorded the number of times the birds expressed "long distance contact calls" during the three phases. Macaws commonly emit these loud calls when they are

separated from their flock (Luescher 2008) (Video 1, supplementary data). Furthermore, one
out of the five birds expressed eye pinning (i.e. a rapid constriction of the pupil) (Gregory and
Hopkins 1974). The occurrence of this behaviour (i.e. the number of times the pupil
contracted to half its size, Figure S2, supplementary data) was recorded during the three
phases for this bird by two independent observers.

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#### 202 2.4 Statistical analyses

For all the parameters recorded, data was averaged across sessions per phase and per 203 204 individual. To test the effect of the phase we used the function aovperm of the Permuco package in R 3.4.2 to run permutation tests with the phase as a fixed factor and the individual 205 as a random factor nested within phase with  $10^6$  permutations (Kherad-Pajouh and Renaud, 206 207 2015). All tests were two-tailed with significance considered at P < 0.05. The same function was used for post-hoc comparisons. Because the usefulness of using corrections for multiple 208 comparisons in cases of low sample size is highly debated and results in a loss of power 209 (Garcia 2004; Nakagawa 2004; Garamszegi 2006), we present the original P-values. The data 210 are represented as boxplots with medians and interquartile distribution ranges. Only 211 212 descriptive data were given for the occurrence of eye pinning as it was displayed only by one 213 out of the five birds. The concordance between observers on the frequency of eye pinning was 214 evaluated with a spearman test and was highly significant (Rho=0.97; P < 0.01).

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#### 216 *2.5 Ethical note*

The Zooparc de Beauval (41110, Saint Aignan) kindly provided access to their birds. Only video-recorded observations were conducted. Behavioural observations are not considered as animal experimentations and are beyond the scope for ethical consideration regarding French and European animal experimentation regulations. The Val de Loire Ethics 221 Committee for Animal Experimentation (N° CE19 - 2022-1503 - 5) reviewed the protocol 222 and attributed a positive recommendation.

223

### 224 **3. Results**

We found a significant effect of the phase on crown feather height (F = 0.001; P =225 0.001) and nape feather height (F < 0.001; P = 0.0008) with in both cases the heights were 226 more important during the union and reunion phases compared to the separation phase 227 whereas heights did not differ significantly between the union and reunion phases (Fig. 2A 228 and 2B). We found a significant effect of the phase on redness of the skin (F = 0.01; P =229 230 0.023) with post-hoc trends towards a higher redness during the union and reunion phases 231 than during the separation phase (P = 0.06 for all comparisons) whereas it did not differ significantly between the union and reunion phases (Fig. 2C). The pupil surface did not differ 232 significantly between the three phases (F = 0.14; P = 0.15; Fig. 2D). The occurrence of 233 contact seeking behaviours differed significantly between the phases (F = 0.09; P = 0.04) 234 with higher occurrences during the union and reunion phases compared to the separation 235 phase whereas the occurrence did not differ significantly between the union and reunion 236 237 phases (Fig. 3A). The number of long distance contact calls differed significantly between the 238 phases (F = 0.01; P = 0.001) with a significant higher number of calls during the separation phase than during the union and reunion phases (Fig. 3B). Eve pinning was observed in one 239 bird and only during the union and reunion phases (union: 3 [1-3]; separation: 0 [0-0]; 240 241 reunion; 3 [1-3]).

242

#### 243 4. Discussion

Our study shows variations in facial displays and behaviours during the different phases of the tests. The presence of long distance calls during the separation phase and of specific facial displays associated with contact seeking behaviours during the union and
reunion phases show that the familiar caregiver acted as a social support for the parrots placed
in the unfamiliar environment.

As expected, we found variation in crown and nape feather heights and redness of the 249 bare skin depending on the phase. We argue that lower heights of the crown and nape 250 feathers, lower redness of the skin and the occurrence of long distance calls during the 251 252 separation phase indicate that parrots have perceived this phase more negatively compared to the other two phases. Macaws are highly social birds inhabiting dense forest. They are known 253 to produce loud calls also called "screams" especially at daybreak and dusk. These calls 254 255 frequently emitted in the wild, are essential in keeping track of companions (Luescher 2008). 256 For some authors, the sleeking of feathers might be associated with stressful situations and the activation of the sympathetic nervous system but this remains understudied (Moris 1956). In 257 addition, feathers sleeking could also be observed in neutral situations such as locomotion 258 (Bertin et al., 2018a). A control neutral situation would have been necessary to determine 259 whether the feathers were sleeked or in a neutral position (neither sleeked or ruffled) during 260 the separation phase. No fear-related behaviours were observed except on day 1 suggesting 261 that the birds habituated to the experimental situation and that the phase of separation may 262 263 only have had a mild negative valence for the birds.

Bare skin blushing and ruffling of crown and nape feathers were observed during the union and reunion phases. We previously observed ruffling of both crown and nape feathers in macaws or cockatoos engaged in intraspecific positive social interactions or comfort behaviours such as resting (Bertin et al., 2018a; Bertin et al., 2020); activities which are commonly considered as reflecting calm and relaxed states and low level of threat in birds and vertebrates (Mattiello et al., 2019; Riters et al., 2019; Mendl et al., 2010; Richardson et al., 2016; Luescher, 2006 (e.g. Mattiello et al., 2019; Riters et al., 2019; Riters et al., 2019; Richardson et al., 2016;

271 Luescher, 2006). The similar facial displays observed in the present study during the union 272 and reunion phases suggest that these phases had a more positive emotional valence for the parrots than the separation phase during which head feathers were sleeked. In our previous 273 study on macaws, crown ruffling and bare skin blushing were also more frequent when the 274 caretaker was actively engaging with the parrot than during a control phase with no mutual 275 interaction whereas nape feathers remained ruffled during both phases (Bertin et al., 2018a). 276 In humans, consistent with Darwin's observation (Darwin 1872), recent research has 277 demonstrated that faces do change color with emotion (Benitez-Quiroz et al., 2018; 278 Thorstenson et al., 2018). For example, emotions such as anger and happiness elicit dilated 279 arteries, facilitating blood flow to the skin surface and increasing facial redness. These 280 281 changes in color allow the emitter to successfully transmit and observers to visually interpret emotion even in the absence of facial muscle movement (Benitez-Quiroz et al., 2018). 282 Trichromatic color vision in humans is thought to have been naturally selected, in part, for 283 detecting color changes on conspecific faces to discriminate emotions, or other socially 284 relevant physiological states (Changizi, Zhang, & Shimojo, 2006). This capacity to produce 285 and perceive facial color changes is also thought to facilitate adaptive social functioning by 286 287 regulating approach-avoidance behaviours (Thorstenson and Pazda, 2021). In Blue-and-288 yellow macaws, evolution has favoured the development of a particularly complex face with mobile coloured feathers (black, green, blue, yellow) and bare skin. Given their 289 tetrachromatic vision, it is conceivable that they have evolved a comparable mechanism 290 291 conveying information about an individual's internal physiological and psychological state. So far, studies on emotional facial expression in birds are scarce. Some authors also 292 described subtle changes in crown and nape feather displays as indicators of the bird's social 293 294 status during social interactions (Bond and Diamond 2019) or in warning threat in pet parrots (Simone-Freilicher 2015). In crested Psittaciformes like cockatoos, facial/head feather 295

movement including the crest were reported in contexts of alertness, agonistic interactions or
play readiness (Kaplan, 2015). All in all these results call attention to the overlooked function
of subtle facial visual displays which, similarly to mammals, could convey close-range public
information regarding individuals' intention to engage in specific activities or emotions
(Waller and Micheletta 2013).

When reunited with the caregiver, macaws ceased calling and expressed contact 301 seeking behaviours towards the caregiver as during the union phase. Most parrot species show 302 complex social organization with flock members maintaining non-random affiliative 303 relationships characterized by allopreening, allofeeding and maintenance of close proximity 304 305 (Seibert 2006). Proximity searching with the caregiver indicated that she acted as a social 306 support and a source of appeasement for the macaws which ceased calling for their mates. Separation distress, proximity seeking and appeasement are two out the three main features 307 characterizing attachment namely: proximity seeking, appeasement (relief from stress due to 308 the social support of the attachment figure); secure base (i.e. increase of exploration of the 309 novel environment) and separation distress (Cassidy 1999). As we were not able to test 310 macaws' responses towards a stranger, we cannot resolve whether our results fulfil all criteria 311 312 for an attachment-bond. However, to our knowledge, our study constitutes the first attempt to 313 investigate the human-animal bond in a bird species.

In humans, non-human primates and dogs, reunion following separation results in a positive emotional state, and an increase in affiliative behaviours (e.g. Kalin et al., 1995; Rhen, 2014). A higher frequency of contact seeking behaviours during the reunion phase than during the union phase could thus have been expected. Our sample size was relatively small and the inter-individual variability was high, which could have masked a potential rebound effect on affiliative behaviours. This high inter-individual variability was also observed for eye surface and the expression of eye pinning. Contrarily to mammals, birds have the control

of the dilation and constriction of their pupils (Walls 1963). Unexplored by the scientific 321 322 community, eye pinning describes the rapid dilation and contraction of the pupils of a bird's eye. In Psittacidae, eye pinning is reported when birds anticipate positive events like stroking, 323 or during pleasant activities like eating a favourite food or courtship but also during negative 324 events like defense of territory (Moustaki 2011). Eye pinning was also described, for the first 325 time in a scientific journal, in a female pet Yellow-fronted amazon (Amazona ochrocephala 326 panamensis) when she engaged in mutual vocal interactions with the owners (Gregory and 327 Hopkins 1974). In our study, the production of eve pinning was observed only in an 8-year-328 old female that, according to the caregiver, was the most bonded to her out of the five 329 330 macaws. It would be interesting to determine in future studies if the production of this 331 behaviour varies according to the quality of the bond established between the bird and the caregiver and if, in a social group, this behaviour may constitute a close-range visual means to 332 express affiliative behaviours towards preferred conspecifics. 333

From a general point of view, our results and interpretation warrant caution due to the 334 lack of control situations. For example, we cannot rule out the hypothesis that the mere 335 familiarity of the caregiver (and not a particular affiliative link) was enough to buffer the 336 337 effects of social separation and novelty. In mammals, the effectiveness of social support is 338 known to depend on both the familiarity and the nature of the relationship with the social partner (Rault, 2012 for a review). While macaws are known to form strong exclusive bonds 339 with humans (Blanchard, 1997), it would be of interest to conduct further studies with 340 341 caretakers more or less familiar or affiliated to the tested birds. Observations of facial displays in larger groups of macaws will also be needed to further investigate the function of facial 342 displays and blushing in social interactions varying in emotional valence and intensity. 343

344

#### 345 **5.** Conclusion

Our data reinforce the idea that parrots have the capacity to produce diverse rapid 346 changes in their facial displays according to situations differing in their emotional valence 347 and/or arousal level. Psittaciformes are highly social and very popular as companion animals 348 but the way they perceived humans, is yet relatively unknown. Captive parrots are 349 350 particularly sensitive to feather plucking or stereotypic behaviours, which are signs of negative welfare (van Zeeland et al. 2009). Care should be taken at the fact that they are very 351 352 social birds while being almost exclusively raised as a single individual by pet owners. Identifying signs of positive emotions will provide a better understanding of parrots' 353 affiliative behaviours and emotional expression, which is crucial in order to satisfy their social 354 355 needs. Species-specific repertoires of facial expressions could provide useful tools to better 356 assess their well-being and provide for their needs. Although additional works are needed, our work suggests that facial displays may be used to identify whether captive parrots perceived 357 positively the human-parrot relationships in which they are engaged. 358

359

#### 360 Acknowledgements

We are grateful to the Association Beauval Nature pour la Recherche et la Conservation and the Zooparc de Beauval who provided access to the birds and financial support. This funding source had no role in the study or the preparation of the article. We thank all the caretakers of the Zooparc de Beauval.

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519	Figure captions
520	
521	Fig 1. Characterization of facial displays: Photographs with schematic representation of the
522	measures of beak height (a); crown feather height (b and c); nape feather height (d) and the
523	position of the 10 x 10 pixels scare for the assessment of redness of the skin (e). A) Head and
524	nape feathers were sleeked. B) Head and nape feathers were ruffled.
525	
526	Fig 2: Median and interquartile distribution ranges of A) crown feather height; B) nape
527	feather height; C) redness of the skin; D) pupil surface. Different letters indicate significant
528	post-hoc differences. A letter in italic indicates a trend ( $0.05 < P < 0.1$ ).
529	
530	Fig 3: Median and interquartile distribution ranges of A) frequency of contact seeking
531	behaviours; B) frequency of long distance contact calls. Different letters indicate significant
532	post-hoc differences.
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561 Figure 3



- 573 Supplementary data
- 574 Figure S1: Examples of pet-like behaviours expressed by the birds in presence of their animal
- 575 caretaker during their routine interactions. A) cuddling behaviour; B) rolling on the back to have the
- 576 belly rubbed.
- 577 A)



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- Figure S2: photography showing the reduction of the pupillary size during the expression of eye-pinning.



- 601 Movie 1: expression of long distance contact calls during the separation phase.