

The Role of the Immune System from an Evolutionary Perspective

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Chapter 6

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3	The Role of the Immune System from an Evolutionary Perspective
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- 31 ABSTRACT
- 32

"Nothing in Biology makes sense, except in the light of evolution." This famous citation of 33 Theodosius Dobzhansky also underlies the integrative field of evolutionary medicine, 34 which faces the challenge to combine (patho-)physiological mechanisms with evolutionary 35 function. Here we introduce a concept from the study of animal behaviour, which are the 36 four questions of Tinbergen that consider 1) the ontogeny of an individual describing its 37 development, 2) its physiological machinery, which 3) has fitness consequences influenc-38 ing 4) the evolutionary history (phylogeny) of future generations. It is shown how this con-39 cept can be applied to infectious disease and to chronic inflammatory systemic diseases. 40 Evolutionary medicine takes lifetime reproductive success into account. The hypothesis to 41 be tested is that mechanisms underlying a disease in old age might have higher fitness 42 43 benefits in the pre-reproductive and / or reproductive life history stage. We emphasize that our human aim is not to increase evolutionary fitness but to reduce suffering and costs of 44 45 public health. Thus, medical research might be most successful in diseases that have no lifetime fitness cost, as otherwise evolution would already have acted against it. Impor-46 tantly, while no selection pressure existed to favour physiological mechanisms acting 47 against such diseases, such mechanisms might become available via biomedical research. 48 We conclude that for a comprehensive understanding of the pathophysiology of a disease, 49 its fitness consequences and its evolutionary history should be considered. The special 50 situation of the immune system and chronic inflammatory systemic diseases is highlighted. 51 52 **KEYWORDS:** evolutionary fitness; life history; reproductive success; disease; public 53 54 health

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57 6.1 INTRODUCTION

Evolutionary medicine emphasizes that to better understand modern human health and disease, the underlying evolutionary history and evolutionary consequences must also be understood. Thus, evolutionary medicine will contribute significantly to our understanding of the fitness consequences and the phylogeny (evolutionary history) of diseases and disease related traits, explaining why disease exist even though it reduces fitness (Gluckman et al. 2009, Perlman 2013, Stearns et al. 2016).

For example, when trying to understand why chronic inflammatory systemic diseases 64 (CIDs) occur, evolutionary biologists pointed out that it is crucial to consider the effect of 65 CIDs on lifetime reproductive success depending on the species-specific life history traits 66 such as age at first reproduction, reproductive lifespan, and life expectancy (Straub et al. 67 2016). However, evolutionary medicine faces the challenge and difficulty to integrate 68 physiological mechanisms with evolutionary function (Gluckman et al. 2009, Lozano 69 2010, Nesse et al. 2012). This challenge is not unique to evolutionary medicine, but is one 70 of the main topics in organismal research in biology, and has been especially addressed in 71 the research on animal behaviour (Tinbergen 1963). 72

73 Biological research has traditionally been divided into the study of proximate (physiological or pathophysiological) mechanisms on the one hand and ultimate (evolutionary) causes 74 75 on the other hand (Mayr 1961). Most researchers take only one of these two approaches into account (Drickamer 1998). For example, immunological research is mainly proximate, 76 77 focusing on the pathophysiological mechanisms underlying the most prevalent infectious 78 diseases, allergic diseases, and CIDs. Studies in behavioural ecology, on the other hand, 79 are primarily ultimate, focusing on the fitness consequences of behaviour, which means whether individuals showing a specific behaviour have more offspring than other individu-80 als (Krebs et al. 1993, Wilson 1975). Behavioural ecologists have realized that studying 81 physiological mechanisms as evolved traits that increase fitness provides an integrative 82 understanding of animal behaviour (Wikelski et al. 2001, Wingfield 2008). 83

84 For example, the major histocompatibility complex (MHC), a molecule that plays a sig-

nificant role in the immune response (a proximate factor), is known to affect behaviour,

86 enabling females to choose mates with complementary MHC alleles, which increases fit-

ness of common offspring (Kamiya et al. 2014, Lerner et al. 1991). Thus, behavioural

88 ecologists came to a more comprehensive understanding of behaviour by taking into ac-

so count the fitness consequences of its underlying physiological mechanisms.

Based on the four questions of Tinbergen that he applied to animal behaviour (Tinbergen
1963), we want to tackle the role of the immune system from an evolutionary perspective.

- 92 This will be addressed in this chapter by using the special situation of CIDs as an example.
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94 6.2 THE FOUR QUESTIONS OF TINBERGEN

Tinbergen formulated in 1963 four questions (Tinbergen 1963), which are the basis for an integrative approach to understand biological traits (Krebs et al. 1993). Each question is of equal importance. The four questions are (see also (Bateson et al. 2013, Nesse 2013)):

• What is the **Function**, which means the fitness value of the trait?

• What is the **Phylogeny**, which means the evolutionary history of the trait?

• How did the trait develop in individuals over their lifetime (**Ontogeny**)?

• What physiological machinery causes the observable trait (**Causation**)?

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The questions concerning the function and phylogeny address ultimate factors, whereas 104 questions concerning ontogeny and causation address proximate factors. Evolutionary 105 medicine focusses on the two ultimate factors. The question about the function concerns 106 the fitness consequences of behavioural patterns, i.e., why did they evolve? In order to 107 evolve through the process of natural selection, a specific trait must have fitness benefits 108 for the individual, which means increase the number of offspring produced during the indi-109 vidual's lifetime. The question regarding the phylogeny of a trait concerns the evolutionary 110 history. Tinbergen regarded the responding central nervous system as the machinery caus-111 ing animal behaviour. He defined ontogeny of behaviour as the "change of behavioural 112 machinery during development". Thus, the question addressing causation is the question 113 about the behavioural machinery leading to the observed behavioural pattern, and the ques-114 tion about ontogeny asks how this machinery develops until the behaviour is shown for the 115 116 first time (Tinbergen 1963). In the context of an immune response, this machinery is called the "immune machinery." 117

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120 6.3. THE FOUR QUESTIONS OF TINBERGEN AND THE IMMUNE RESPONSE

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122 6.3.1 Function - fitness value of the trait

Reactions to acute inflammation serve the body to overcome short-lived infectious diseases and other threats such as exposure to allergic antigens. In both situations, the bod tries to get rid of the stimulus. The mechanisms are thus adaptive, increasing individual fitness. Typically, inflammatory responses are highly adaptive, enabling individuals to overcome infections, to combat allergic threats, and to heal wounds. Thus, alleles of genes enabling this adaptive response got fixed within the gene pool.

129 Thanks to the last two decades of genome-wide association studies, we now recognize that 130 hundreds of genetic loci associated with CIDs overlap with genes relevant in infectious and

131 allergic diseases (Brinkworth et al. 2014). While in earlier time (before 2000), CIDs were

thought to have one unique immune disease pathways, it is now very clear that this is in-

133 correct. In CIDs inflammation is typically regulated by a network of genes that are impli-

cated in multiple diseases (Cotsapas et al. 2011). The unique disease pathway is known in
 monogenic autoinflammatory diseases, which also employ immune pathways relevant to

- 136 infections and allergies.
- 137

138 6.3.2 Phylogeny - evolutionary history of the trait

139 The evolutionary history of human immunological pathways is shared with sharks, birds, and rodents, spanning more than 420 million years (Boehm 2011). The best known asso-140 ciation between infections and genes has been established for the MHC allele system, 141 142 which is an important element of antigen presentation in the human leukocyte antigen molecules (HLA). Polymorphic MHC alleles have been retained because they helped to 143 144 overcome various infections (Mangalam et al. 2013), leading to positive selection. For example, the genetic factor HLA-DR4 (DRB1*04) protects from dengue hemorrhagic fever 145 146 (LaFleur et al. 2002). Furthermore, clearance of virus infections is much better for hepatitis B virus in the presence of HLA-DR13 (Wang et al. 2016) and for human immunodefi-147 ciency virus in the presence of HLA-B27 (Chakrabarti et al. 2010). There are many more 148 examples also outside the MHC allele system, presentation of which would go beyond the 149 150 scope of this chapter. The reader is referred to important reviews (Brinkworth et al. 2014). 151

- 152 6.3.3 Ontogeny development of the trait in individuals over a lifetime
- 153 The environment of an individual during development and adult life together with the
- 154 genotype determine how the inflammatory response system develops and will later re-
- spond. The immune system is equipped with a system to memorize antigens, and this in-
- 156 fluences its later responsiveness to the same antigens. We call it immunological memory
- 157 (Murphy et al. 2011), which is very personal depending on the exposure of the individual
- to infectious agents during the lifetime. For example, most people in Europe have been
- 159 exposed to small pox virus and are thus immune to it. This was completely different for
- 160 native Americans at a time point of arrival of European seafarers in the 16th century, lead-
- 161 ing to mass extinction of local inhabitants (Patterson et al. 2002).
- Another example in the neuroendocrine immune field further demonstrates the impact of 162 163 ontogeny. Neonatal exposure of a new-born rat to lipopolysaccharide changes the hypothalamic-pituitary adrenal axis markedly (Shanks et al. 1995). As adults, neonatally en-164 dotoxin-treated animals exhibited significantly greater adrenocorticotrophic hormone and 165 corticosterone responses to restraint stress than controls. Neonatal endotoxin treatment 166 reduced glucocorticoid receptor density across a wide range of brain regions (Shanks et al. 167 1995). Exposure to gram-negative lipopolysaccharide in early life can alter the develop-168 ment of neural systems, which govern endocrine responses to stress and may thereby pre-169 dispose individuals to stress-related pathology. Indeed, it has been demonstrated that neo-170 natal endotoxin treatment of rats protects animals from experimental arthritis later in life 171 (Shanks et al. 2000). This long-term imprinting of central nervous changes in the early 172 phase of ontogeny can also change the behaviour of the immune system throughout life. 173
- 174
- 175 6.3.4 Causation the "immune machinery"

Inflammation is caused by specific antigens, including pathogens or cell material of dam-176 aged tissue (wounds), to which the immune system responds (Murphy et al. 2011). There 177 are several supportive reactions of the neuronal and endocrine systems that foster the im-178 mune response in acute infectious diseases (Straub 2015), altogether representing the cau-179 sation of inflammation and immune response. In line with Tinbergen's terminology (i.e., 180 behavioural machinery), this might be called the immune machinery. The immune machin-181 182 ery consists of immune cells (neutrophils, lymphocytes, macrophages, dendritic cells, natural killer cells, and many others) with specific surface receptors to activate these cells, 183

184 causing the release of inflammatory mediators (Murphy et al. 2011).

185 The immune machinery is highly dependent on the availability of energy-rich substrates in

the body because immune cells demand enormous amounts of energy (Gaber et al. 2017,

187 Straub et al. 2010). We may call the immune system selfish, because during infection it is

the major dominating factor operating at the highest hierarchical level to acquire energy-

rich substrates (Straub 2014). This selfishness has been positively selected for infectious

- 190 diseases, and it is an important determining aspect of the immune machinery (causation).
- 191

192 6.3.5 Integrative approach - the immune system in evolutionary medicine (Fig 1) The immune machinery has been positively selected for short-lived infectious diseases 193 194 (causation), which leads to measurable immune responses and inflammation (diagnostic, red box in Fig. 1), protecting the individual from infections / helping during wound heal-195 ing. This increases the chance of survival and reproduction at a later stage, increasing evo-196 197 lutionary fitness (Schmid-Hempel 2011). Genes improving the immune response increased in frequency in the gene pool (phylogeny). The individual genotypes together with the in-198 199 dividual specific environment lead to an individual specific development of the immune system (ontogeny). A classical ontogenetic factor of the immune response is immunologi-200 cal memory of the adaptive immune system towards pathogen-specific antigens (Murphy 201 et al. 2011). If a microbial antigen is known to the immune machinery (causation), then it 202 is rapidly activated, i.e. an immediate response towards an infectious agent is generated. 203 The immune machinery with memory consists of educated specific T or B cells (physio-204 logical response) that can be observed as a phenotypic trait, causing a stronger and faster 205 immune reaction towards the antigen (causation). 206 207 ----- Figure 1 here ------208 209

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6.4 THE FOUR QUESTIONS OF TINBERGEN AND CHRONIC INFLAMMA TORY SYSTEMIC DISEASES

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CIDs are characterized by a continuous immune response towards harmless autoantigens (reaction against innocuous self) or harmless microbes on the surface of the body (reaction against innocuous foreign) (Firestein et al. 2013). Examples for CIDs are rheumatoid arthritis, multiple sclerosis, ankylosing spondylitis, systemic lupus erythematosus, Sjögren syndrome, pemphigus vulgaris, and many others. While an immune response is usually

confined to a small space, it becomes chronic and widespread in CIDs (Hochberg et al. 219 2015, Straub 2015). A CID leads to new energy requirements in an affected person, which 220 supports many unwanted disease-related signs and symptoms recently demonstrated 221 (Straub et al. 2016). 222 223 6.4.1 Ultimate factors - Function and Phylogeny 224 While reactions to acute inflammation serve the body to overcome short-lived infectious 225 diseases (see 6.3.1), a long-term CID is detrimental. In CIDs, the positively selected im-226 mune mechanisms, which usually support fitness and function (Fig, 1), are continuously 227 activated by harmless antigens, and the response becomes maladaptive (Straub et al. 2016). 228 Importantly, a CID - while costly - will not have a significant influence on fitness (func-229 tion), because it typically happens after the reproductive phase (Fig. 2). 230 231 ----- Figure 2 here ------232 233 CIDs have a multifactorial genetic background discussed above (section 6.3.1). The MHC 234 allele system plays an important role in CIDs. For some MHC alleles, the risk to develop a 235 CID is 90 times increased (Brewerton et al. 1973, Schlosstein et al. 1973). However, nega-236 tive selection against specific MHC alleles was most probably weak, because in most indi-237 viduals carrying these alleles the disease did not develop due to the lack of additional risk 238 factors (Straub et al. 2016) that are important during ontogeny. MHC alleles were posi-239 tively selected due their role in infection (see section 6.3.2). We described the link between 240 241 HLA-DR4 (DRB1*04) and dengue hemorrhagic fever, but the same MHC allele is known to be positively associated with rheumatoid arthritis, type I diabetes mellitus, and other 242 243 CIDs. We described HLA-B27 as an important factor to overcome human immunodeficiency 244 virus infection (see section 6.3.2), but the same allele is linked to ankylosing spondylitis 245 (Brewerton et al. 1973, Schlosstein et al. 1973). Thus, many traits have an evolutionary 246 history (phylogeny) developed in the context of infectious disease, but these traits are used 247 again in another somatic environment in later life (Williams 1957). This phenomenon is 248 called antagonistic pleiotropy (Williams 1957), which means fitness benefits at one life 249 history stage being higher than fitness costs at another life history stage. Here, they can

- support the development of a CID. 251
 - 252

- 253 6.4.2 Ontogeny development of the trait in individuals over a lifetime
- We learned that the immune system has a memory for antigens. However, cross-reactivity
- towards harmless autoantigens (reaction against innocuous self) or harmless microbes on
- the surface of the body (reaction against innocuous foreign) as in CIDs can also occur.
- Now, the immune memory is directed against the harmless antigens, which leads to a
- chronic immune attack in CIDs.
- Sometimes autoantigens are posttranslationally processed, which can be supported by fac-259 tors that appear during individual development. For example, smoking may change self-260 peptides leading to an exchange of arginine with citrulline (Quirke et al. 2011). This post-261 translational modification with the new citrulline is foreign to the immune system and may 262 be attacked as an antigen. Thus, smoking is one environmental factor during development 263 known to increase the risk that the immune system later attacks harmless autoantigens fos-264 tering CIDs (Klareskog et al. 2011, Mathews et al. 1973). Another environmental risk fac-265 tor for some CIDs is silica exposure, for example during construction work, which might 266 overstimulate the immune system and trigger the autoimmune process leading to chronic 267 inflammation (Pollard 2016). 268
- Another environmental risk factor is psychological stress. We already saw that neonatal 269 270 endotoxin exposure can change the adult immune system response, and it seems that the childhood immune system is more vulnerable to stressors as compared to the adult immune 271 272 system (see 6.3.3). In several studies, it was demonstrated that childhood trauma (death of a parent, sexual abuse, violence in the family etc.) was positively linked to later appearance 273 274 of CIDs (Dube et al. 2009, Neufeld et al. 2013, Spitzer et al. 2013). These examples are indicative of how the individual development can manipulate the immune system and the 275 276 appearance of overt CIDs.
- 277
- 278 6.4.4 Causation the immune machinery

In CIDs, the role of the immune machinery was described for more than 100 years, reach-279 ing enormous detail since the start of molecular biology and functional genomics in the 280 1980s and 1990s. Today, we realize that many important pathways have been discovered 281 that cause and support CIDs (Firestein et al. 2013, Hochberg et al. 2015). These novel fac-282 tors led to the development of biological therapy such as anti-TNF strategies (Feldmann et 283 al. 2010). Nevertheless, much detail needs to be learned, particularly, with respect to hu-284 man CIDs. Importantly, the immune machinery for CIDs is the same as the immune ma-285 chinery for infectious diseases and allergy. 286

On top of the specific immune machinery, which was called selfish (see 6.3.4), a general 287 bodily reaction supports the immune system (Straub et al. 2013). The immune system is 288 selfish because it makes use of other systems (nervous and endocrine) to redistribute en-289 ergy-rich fuels (Straub 2014). While this has been positively selected for short-lived infec-290 tious diseases, the long-term application of these adaptive programs leads to many unfa-291 vourable signs and symptoms in CIDs (Straub et al. 2016). These are daytime fatigue, low 292 mood, sleeping alterations, anorexia, inflammation type of anaemia, muscle loss (sarco-293 penia), bone loss, insulin resistance, decreased fertility & libido, high blood pressure & 294 volume overload, and increased blood coagulation (Straub et al. 2016). These phenomena 295 were positively selected as the non-immune machinery that supports the immune machin-296 ery. However, if the non-immune machinery is used too long, many problems appear that 297 need specific extra treatment besides immunosuppression. Long-term use of these pro-298 299 grams is maladaptive (Straub et al. 2016).

300

301 6.4.5 Integrative approach to understand CIDs in evolutionary medicine (Fig. 3)

Ultimate factors have been positively selected for short-lived infectious diseases and not 302 for CIDs (Straub et al. 2016). Net fitness is increased because the fitness benefits in early 303 life are much higher than fitness costs in post-reproductive life, so that favourable genes 304 stay in the gene pool (function and phylogeny). The individual genotypes together with the 305 individual specific environment lead to an individual specific development of the immune 306 system (ontogeny). Here, environmental factors such as smoking, silica exposure, and 307 childhood stress can prepare the immune machinery for the unfortunate development of a 308 CID. When several factors come together (genetic & environmental), the individual can 309 develop an immune response towards harmless self and harmless foreign antigens. Then, 310 the response is imprinted in the immune memory, which leads to measurable immune re-311 sponses such as autoantibodies towards citrullinated peptides (diagnostic, red box in Fig. 312 3). 313

314

315 ------ Figure 3 here ------

316

317 CONCLUSIONS: APPLICATION OF THE FOUR QUESTIONS OF TINBERGEN

318 IN EVOLUTIONARY MEDICINE

- 319 Many chronic diseases might be studied and understood using the same framework as out-
- 320 lined in figure 3. The evolutionary approach here considers three points:

- 1. One must take into account the fitness consequences of the trait leading to disease
- 322

2. To be done at the different life history stages (pre-reproduction, reproductive age,

- and post-reproductive; Fig. 2)
- 324 3. To determine life-time reproductive success

This will enable us to understand the evolutionary history of the disease, especially why alleles favouring the disease have been established in the gene pool. This approach might then also benefit clinicians: it is often less relevant to know which genes and alleles favour the expression of a specific disease, but the environmental factors triggering the disease. This is because we cannot easily change the genotype of individuals, but we can interfere with environmental threats in the individual live.

Finally, the absence of physiological mechanism acting against a disease is no indicator that such a mechanism is impossible; it only indicates that such a mechanism would not significantly increase fitness. However, our human aim is to reduce suffering and costs of public health, not to increase evolutionary fitness. This leads to the conclusion that biomedical research might be most successful in diseases that have no or low lifetime fitness cost, but high costs for public health and a high load of individual suffering.

Last but not least, current research topics in evolutionary medicine where our graphical 337 model might fail could nevertheless benefit by taking the four questions into account. Ex-338 amples could be maladaptation, environmental mismatch and evolved traits that are not 339 adaptive in the current modern environment. By applying the model and then identifying 340 where it fails, the reason as well as the consequences why the trait is not adaptive or why 341 environmental mismatch occurs could be identified. Thus, not all disease can be explained 342 and described by Tinbergen's four question, but identifying why and when this concept 343 344 fails will nevertheless improve our understanding why our body is constructed in a way that sometimes leads to disease. 345

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