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# Coupling between production of ribosomal RNA and maturation: just at the beginning

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19 Abstract

20 Ribosomal RNA (rRNA) production represents the most active transcription in the cell. 21 Synthesis of the large rRNA precursors (35S/47S in yeast/human) is achieved by up to hundreds of 22 RNA polymerase I (Pol I) enzymes simultaneously transcribing a single rRNA gene. In this review, we present recent advances in understanding the coupling between rRNA production and nascent 23 24 rRNA folding. Mapping of the distribution of Pol I along ribosomal DNA at nucleotide resolution, using either native elongating transcript sequencing (NET-Seq) or crosslinking and analysis of 25 cDNAs (CRAC), revealed frequent Pol I pausing, and CRAC results revealed a direct coupling 26 27 between pausing and nascent RNA folding. High density of Pol I per gene imposes topological 28 constraints that establish a defined pattern of polymerase distribution along the gene, with a persistent spacing between transcribing enzymes. RNA folding during transcription directly acts as 29 an anti-pausing mechanism, implying that proper folding of the nascent rRNA favors elongation in 30 vivo. Defects in co-transcriptional folding of rRNA are likely to induce Pol I pausing. We propose 31 32 that premature termination of transcription, at defined positions, can control rRNA production in 33 vivo.

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#### Synthesis of the 35S primary transcript by Pol I

37 Yeast haploid cells contain between 150 and 200 copies of tandemly repeated rRNA genes 38 while the diploid human genome contains around 400 copies. Although present at a high copy 39 number in the genomes, not all rRNA genes are actively transcribed. In budding yeast, only about 40 50% of the genes on average are transcribed in exponentially growing cells. Each ribosomal gene 41 unit spreads over 9.1 kb of DNA and contains two transcribed regions encoding the 35S pre-rRNA, 42 transcribed by RNA Polymerase I (Pol I), and the 5S rRNA, transcribed by Pol III (Figure 1A). These 43 transcribed regions are separated by intergenic spacers (IGSs): IGS1 starts at the transcription 44 termination site of the 35S gene and ends at the 5S rRNA gene terminator and IGS2 corresponds to 45 the region between the 5S rRNA gene promoter and the promoter of the next 35S gene (Nomura, 46 2001). Pol I transcription accounts for almost 60% of total transcriptional activity in yeast cells (Warner, 1999). This process occurs in the nucleolus and results in the synthesis of the 35S pre-47 48 rRNA containing the sequences of three of the four rRNAs composing the mature ribosome, the 18S, 49 5.8S and 25S rRNAs. These sequences are flanked and separated by sequences that are not retained in the mature ribosomes: respectively the 5' and 3' external transcribed spacers (5' ETS and 3' ETS) 50 51 and the internal transcribed spacers 1 and 2 (ITS1 and ITS2) (Figure 1A). This 35S precursor will be 52 co-transcriptionally packaged into pre-ribosomal particles that will undergo a complex maturation 53 pathway to generate the mature ribosomal subunits.

#### 54

#### Transcription initiation and termination

55 Pol I enzyme in yeast is composed of 14 subunits (global molecular weight of 590 kDa) 56 including two large subunits, Rpa190 and Rpa135, jointly forming the active site of the enzyme (Riva et al., 1987) (Figure 1B). Crystal structure of yeast Saccharomyces cerevisiae Pol I revealed 57 58 the interactions occurring between its 14 subunits: the two large subunits Rpa190 and Rpa135 59 organize the enzyme in two modules of similar mass (Engel et al., 2013; Fernández-Tornero et al., 60 2013). The Pol I-specific subunits whose role during transcription has been partially characterized 61 include Rpa43 and Rpa14 subunits in the stalk, and Rpa34, Rpa49 and Rpa12 subunits associated 62 with the jaw/lobe module (Figure 1B).

63 Formation of preinitiation complex (PIC) is presented in Figure 1C. Pol I promoter contains 64 two sequences required for efficient transcription initiation: the upstream activating sequence (UAS) and the core element (CE) (Boukhgalter et al., 2002; Nomura, 2001). Recruitment of the polymerase 65 66 to the promoter to form the PIC relies on four transcription factors: upstream activating factor (UAF), 67 core factor (CF), TATA-binding protein (TBP) and the Rrn3 transcription factor (Keener et al., 68 1998). UAF is the first complex to associate with the UAS of the rDNA promoter to initiate PIC 69 assembly (Steffan et al., 1996). TBP was shown to bind to both CF and UAF, thus serving as a bridge 70 to position CF downstream of the UAS. Binding of CF to the CE allows further recruitment of Pol I 71 stably associated with Rrn3 (Aprikian et al., 2001). Rrn3 is a highly conserved transcription factor 72 that associates with the Rpa43-Rpa14 heterodimer of Pol I and interacts with the Rrn6 subunit of the 73 CF. It is therefore a crucial element required for transcription initiation (Peyroche et al., 2000; 74 Aprikian et al., 2001). Transcription begins at the transcription start site (TSS) and Pol I and Rrn3 are 75 released from the PIC upon transcription initiation. Several structural studies gave new insights into 76 Pol I promoter recognition and melting, and more broadly into transcription initiation by yeast Pol I 77 (Sadian et al., 2017; Tafur et al., 2019; Sadian et al., 2019; Moreno-Morcillo et al., 2014; Tafur et al.,

- 78 2016; Neyer et al., 2016; Engel et al., 2016, 2013; Blattner et al., 2011; Han et al., 2017; Knutson et
- al., 2020; Smith et al., 2018). These studies will not be detailed here.

80 Pol I transcription termination involves pausing induced by a terminator protein, leading to 81 dissociation of the polymerase and release of the primary transcript. Paradoxically, termination is not 82 required for rRNA production since nascent transcript is released through the endonucleolytic 83 cleavage by Rnt1 (Figure 1D)(Henras et al., 2005). In fission yeast, Reb1 protein interacts with the 84 Rpa12 subunit of Pol I to stimulate termination (Jaiswal et al., 2016). In budding yeast, 90 % of Pol I 85 transcription termination occurs at a well-defined primary terminator element (T1) downstream of the 25S rRNA sequence (Figure 1D). Transcription termination at this site implicates the DNA-binding 86 87 factor Nsi1, a Reb1 paralog, which promotes termination upstream of T1 at a T-rich element that 88 likely operates as a polymerase release element (Lang and Reeder, 1993; Merkl et al., 2014; Reiter et 89 al., 2012). In 10% of the cases, Pol I reads through this first terminator and stops at a downstream, 90 "fail-safe" terminator (T2) located around position +250 from the 3' end of the 25S rRNA sequence (Reeder et al., 1999). Transcription termination on Pol II-transcribed genes was shown to involve the 91 92 5'-3' exoribonuclease Rat1 through a mechanism called "torpedo" (West et al., 2004; Luo et al., 93 2006; Kim et al., 2004). According to this model, Rat1 binds and degrades the transcript emerging from the polymerase following cleavage and release of the pre-mRNA, and given its high 94 95 processivity, Rat1 catches up and dissociates Pol II from the DNA template. In the context of Pol I 96 transcription, Rat1 was shown to interact with terminator sequences T1 and T2 and to be required for 97 efficient termination. Its catalytic activity is required for this function since expression of a catalytically inactive mutant of Rat1 (Rat1<sub>D235A</sub>) could not suppress the Pol I termination defect 98 99 observed in absence of Rat1. The absence of both Rat1 and Fob1, bound to the Replication Fork 100 Barrier (RFB) site (Figure 1D), increases polymerase read-through of T2 and the RFB site, indicating that Fob1 is also partly involved in termination (El Hage et al., 2008). 101

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#### Pol I subunits and trans-acting factors involved in elongation dynamics

103 Transcription elongation properties involve in particular three Pol I subunits present on the 104 lobe (Figure 1B): Rpa12 and the heterodimer Rpa34/Rpa49 (Gadal et al., 1997; Nogi et al., 1993; Liljelund et al., 1992). In absence of Rpa34/Rpa49, Pol I activity is altered (Huet et al., 1975; 105 106 Liljelund et al., 1992). Pol I lacking the Rpa34/Rpa49 subunits does not produce RNA to the same 107 extent as a wild-type enzyme (Kuhn et al., 2007; Beckouet et al., 2008; Albert et al., 2011). 108 Furthermore, this heterodimer plays an important role in transcription by improving the recruitment 109 of the Rrn3-Pol I complex to the rDNA and by triggering the release of Rrn3 from elongating Pol I. 110 Indeed, in an rpa49 deletion strain, Rrn3 is recruited less efficiently at the promoter and fails to 111 dissociate from elongating polymerases following transcription initiation (Beckouet et al., 2008). 112 Interestingly, Rpa49 and Rpa34 are important for nucleolar assembly and formation of a property of actively transcribed rRNA genes called "Pol I caravans" or "Pol I convoys", reflecting a spatial 113 114 proximity between adjacent polymerases (Albert et al., 2011; Never et al., 2016). Rpa12 subunit 115 stabilizes the Rpa49/Rpa34 heterodimer on the polymerase (Van Mullem et al., 2002; Tafur et al., 116 2019). In the absence of Rpa12, Pol I catalytic properties are affected (Scull et al., 2021; Appling et 117 al., 2018). Furthermore, Pol I transcription through a linear mono-nucleosomal template was shown to be defective in the absence of the lobe-binding subunits (Merkl et al., 2020). Mutations affecting 118 119 the Rpa135 subunit were also shown to affect transcription elongation. In particular, mutation of the 120 amino acid at position 784 (rpa135-D784G), suspected to play a role in loading NTP substrates, 121 caused reduced transcription compared to a wild-type Pol I. Calculation of Pol I elongation rate in 122 *vitro* showed that this Rpa135 mutant is ten times slower than the wild-type polymerase (Schneider et 123 al., 2007).

124 In addition to the role of Pol I subunits in transcription elongation, transcription factor Spt5 in complex with Spt4, was also shown to be required for efficient Pol I transcription (Schneider et al., 125 2006). Immunoprecipitation and mass spectrometry experiments showed that this complex interacts 126 127 directly with multiple Pol I subunits (Rpa49, Rpa34, Rpa135 and Rpa190), through the NGN and 128 KOW domains of Spt5 (Schneider et al., 2006). Moreover, Spt5 also associates with the transcription 129 factor Rrn3 and with the 35S rRNA gene (coding region and promoter) (Viktorovskaya et al., 2011). 130 Depletion of Spt4 in yeast results in a temperature-sensitive slow growth phenotype associated with a 131 decreased rRNA synthesis rate as well as a reduced Pol I elongation efficiency, also impacting pre-132 rRNA processing and ribosome assembly (Schneider et al., 2006). Furthermore, Spt5 mutations 133 suppress the cold-sensitive phenotype of an  $rpa49\Delta$  strain. All these data support a function of the 134 Spt4-Spt5 complex in Pol I transcription elongation, which remains to be understood at the molecular 135 level. Another related protein, Spt6, interacts with the Spt4/Spt5 complex and was also proposed to 136 play a role in Pol I transcription (Swanson and Winston, 1992). Spt6 interacts with Pol I subunit 137 Rpa43 (Beckouët et al., 2011). It was shown that Spt6 associates with rDNA and is required for Pol I 138 transcription since a strain carrying an in-frame deletion allele of SPT6 (Spt6-1004) showed reduced 139 Pol I occupancy on the rDNA (Engel et al., 2015). Other factors including Hmo1 also modulate Pol I 140 elongation properties, but the underlying mechanisms remain elusive (Higashino et al., 2015; Albert 141 et al., 2013).

#### 142

#### Mapping Pol I position at nucleotide resolution to investigate Pol I elongation in vivo

143 In addition to the implication of Pol I subunits and trans-acting factors, Pol I elongation is 144 also regulated by mechanisms intrinsic to the transcription process. Elongation is fundamentally 145 discontinuous, with events of pausing, backtracking and possible premature termination, which 146 remain to be explored. Pol I elongation was studied using the native elongating transcript sequencing 147 (NET-seq) method, based on deep sequencing of the 3' ends of nascent transcripts associated with the polymerase (Churchman and Weissman, 2011). This study revealed hundreds of positions within 148 149 rDNA that reproducibly induce pausing (Clarke et al., 2018). Unfortunately, fragments of mature 150 rRNAs co-purifying with Pol I in the NET-seq procedure could introduce bias in the analysis. 151 Turowski and co-workers used the crosslinking and analysis of cDNAs (CRAC) technique to map the 152 position of Pol I on rDNA during elongation. CRAC consists in crosslinking Pol I to its associated 153 nascent rRNAs during elongation in vivo, followed by complex purification, reverse transcription of 154 associated rRNAs and sequencing of cDNAs (Turowski et al., 2020). Applied to a population of 155 cells, this method provides a statistical snapshot of the position of transcribing Pol I all along the 156 rDNA unit and allows the determination of areas of the gene in which Pol I is accumulated (Figure 157 2A). It is noteworthy that a high polymerase occupancy reflects a low elongation rate. This CRAC analysis revealed a massive Pol I enrichment in the 5' end of rRNA genes. Enrichment of 158 159 polymerases at the 5' end of rRNA genes was previously observed, but to a much lower extend, 160 using the chromatin spread method developed by Oskar Miller, allowing a direct observation of Pol I 161 in complex along rDNA (Miller and Beatty, 1969)(Osheim et al., 2009; French et al., 2003). It was 162 speculated that the high density of polymerases in the 5'ETS region, called "Low Entrainment Region" (LER), results in polymerases moving more slowly (decreasing Pol I elongation rate <20%) 163 164 and more closely positioned over the initial 2 kb. As an underlying mechanism, Turowski and collaborators proposed that in the LER, where Pol I is associated with only short nascent transcripts, 165 166 Pol I molecules are able to rotate freely along DNA grooves during elongation, while they become progressively unable to do so due to viscous drag 2 Kb after initiation (Figure 2B). Accordingly, 167 168 polymerase activity in the LER would not generate torsion in DNA, which allows changes in the 169 relative positions of adjacent polymerases. This results in increased freedom for movement, likely 170 increasing the probability of backtracking events, which would explain the accumulation of Pol I in

the 5' region of the genes. The high density of polymerases in the 5'ETS region is also correlated

172 with the fact that major early pre-rRNA assembly events take place on the 5' region of nascent rRNA

173 (Chaker-Margot et al., 2017).

174 It is important to note that Pol I translocation is based on Brownian ratchet motion making 175 elongation prone to frequent backtracking and potentially sensitive to quite modest forces 176 (Dangkulwanich et al., 2013). Co-transcriptional folding of the nascent rRNA has direct 177 consequences on elongation by preventing backtracking, thereby favoring productive elongation 178 (Turowski et al., 2020). Any co-transcriptional association with the nascent transcript of trans-acting 179 factors (UTPs, snoRNPs) should have the same stimulatory effect on transcription. With up to 200 180 transcribing Pol I per rRNA gene, each enzyme is influenced by its neighbors along the template directly through steric constraints. Indirectly, away of the LER predicted to occur only in the first 2 181 182 kb, torsional constraints on DNA plays a major role (torsional coupling):

- When the rotation around DNA of the transcribing polymerases is prevented by viscous drag due to the size and structure of nascent rRNA, elongation can be described within the twinsupercoiled domain model: DNA screws into the polymerase and experiences positive supercoiling downstream and negative supercoiling upstream (Liu and Wang, 1987).

187 - When all polymerases transcribe at the same rate, the negative DNA supercoiling created in 188 the wake of one translocating polymerase is rapidly cancelled out by the positive DNA supercoiling 189 created in front of the following one. The torsional stress between polymerases is alleviated and a fast 190 and processive collective translocation is allowed, leading to polymerase convoys (Lesne et al., 2018; 191 Kim et al., 2019). Therefore, all polymerases in convoys translocate at the same rate, their spacing 192 remains constant (Figure 2C). Any change in the relative positions of transcribing polymerases 193 generates torsional stress, which will quickly exceed the low stalling force of the polymerases 194 (Heberling et al., 2016; Ma et al., 2013; Tantale et al., 2016). Any local modification of Pol I spacing 195 within rDNA modifies DNA supercoiling, and the associated increase of local torsional energy 196 generates an apparent force sufficiently strong to restore the initial distance between the polymerases and ensures the cohesion of the convoy (Lesne et al., 2018). Deletion or rapid depletion of 197 198 topoisomerase I, results in defective rRNA synthesis (Albert et al., 2019; El Hage et al., 2010), 199 highlighting the importance of resolving DNA supercoiling (downstream and upstream of each 200 convoy) for efficient Pol I transcription elongation.

201 However, this cooperative long-distance group behavior may also induce antagonist effects on 202 elongation. It was observed that promoter shut-off reduces the apparent elongation rate of the 203 engaged polymerases, which is associated with a significant increase in premature termination (Kim 204 et al., 2019). It is rational to suppose that the same effect occurs when elongating Pol I gets stalled on 205 rDNA, thus leading to accumulation of negative torsional stress in the wake of the downstream Pol I 206 (i.e. the nearby Pol I farthest from the promoter). Pol I stalling is known to increase premature 207 termination of the paused Pol I and possibly also of the downstream polymerases (Figure 2C). Such a 208 phenomenon was previously described as premature termination of transcription (PTT) for Pol II (Kamieniarz-Gdula and Proudfoot, 2019). 209

These premature termination events could also potentially explain the 5' bias observed in the Pol I CRAC profile. Pol II is known to undergo a transition from initiation to elongation states that is associated with changes of the phosphorylation status of the C-terminal domain (CTD) of the largest Pol II subunit (Milligan et al., 2016). It is possible that Pol I undergoes a similar transition, the 5' accumulation bias reflecting a region in which the polymerase has an elevated probability to

terminate prematurely. However, consideration of premature termination in the model of Turowski and collaborators, even though it recapitulated the overall profile, reduced by 30% the total number of polymerases per transcription unit, which falls below the number of Pol I molecules per rDNA observed using Miller spreads (Turowski et al., 2020). Nevertheless, premature termination of Pol I cannot be excluded and could, at least partially, play a role in establishing the 5' bias.

220

#### Working hypothesis: Pol I processivity and premature termination

221 In order to better understand transcription regulation, Pol I mutants are of particular interest. 222 We have recently identified in a genetic screen a super-active Pol I mutant, bearing a single 223 substitution on the second largest subunit: Rpa135-F301S allele, hereafter named SuperPol I. This 224 mutant induces an increase of rRNA production in yeast (Darrière et al., 2019). The mechanism 225 leading to this increased rRNA production is not well understood. We proposed that this mutation 226 alleviates an intrinsic repressive element of the polymerase, leading to increased processivity during 227 elongation, *i.e.* the ability of Pol I to carry out continuous RNA synthesis on the DNA template 228 without premature termination. This hypothesis is based on several experimental evidences. First, 229 Miller spreads showed that the amounts of Pol I engaged in transcription are comparable in wild-type 230 (WT) and mutant cells, meaning that the increased production of rRNA is not due to a major 231 enhancement of Pol I initiation rate (Darrière et al., 2019). Moreover, in vitro promoter-dependent 232 transcription assays confirmed that transcription initiation rate is similar between WT and SuperPol I. 233 On the other hand, a tailed template assay, measuring elongation rate in vitro, revealed an increased 234 rRNA production by the SuperPol I, likely due to a higher processivity (Darrière et al., 2019). Taken 235 together, these elements suggest that the Rpa135-F301S mutation induces modifications in the 236 elongation process, and more precisely on processivity. Premature termination directly affects 237 processivity and likely influences Pol I distribution along the DNA template. Importantly, premature 238 termination can not be measured by CRAC, which relies on detection of rRNA still bound to Pol I. 239 To demonstrate the occurrence of premature termination events, defined as a dissociation of the 240 elongation complex and release of the nascent rRNA, it will be necessary to correlate Pol I complex 241 stalling with the production of abortive rRNAs. This could be achieved by combining Pol I CRAC 242 data, highlighting precise pause sites, with a mapping of the corresponding abortive transcripts. 243 Detection of rRNA species resulting from abortive transcription in differential amounts in cells 244 expressing the SuperPol or WT polymerase should allow to better understand what features of 245 elongating Pol I lead to premature termination. The increased processivity of the SuperPol mutant 246 could likely be the consequence of a lower occurrence of premature termination, *i.e.* a lower 247 production of abortive rRNAs.

#### 248 **Conclusion and perspectives**

249 Methods allowing to map at nucleotide resolution Pol I pausing sites during elongation revealed a key interplay between RNA folding and elongation rate: formation of rRNA secondary 250 251 structure prevents backtracking, hence enhances elongation rate. With a large amount of co-252 transcriptional folding of rRNA, we are now able to study how processing events are affecting Pol I 253 elongation rate. So far limited to budding yeast, there is no doubt that some Pol I regulatory 254 mechanism are evolutionary conserved, as Pol I elongation rate is limiting for rRNA synthesis in 255 metazoan cells (Hung et al., 2017). The understanding of the precise mechanistic of Pol I transcription and the implication of each inherent elongation feature opens wide prospects on health-256 257 related areas of research, particularly to understand a large number of genetic diseases collectively called ribosomopathies. Pol I inhibition used in cancer therapy these recent years will also benefit 258 259 from such mechanistic breakthroughs (Ferreira et al., 2020; Kampen et al., 2020; Sulima et al., 2019).

**Running Title: co-transcriptional folding of ribosomal RNA** 



#### 262 Figure 1: Ribosomal DNA transcription by RNA Pol I

A. Ribosomal DNA. The rDNA repeats (150-200) are located on chromosome XII. A single repeated unit is transcribed by RNA polymerase I (Pol I) to synthesize the 35S primary pre-rRNA transcript, which is then processed to produce the mature 18S, 5,8S and 25S rRNAs (arrow pointing to the right). RNA Polymerase III synthesizes the 5S rRNA (arrow pointing to the left). IGS, intergenic sequences; ETS, external transcribed spacer; ITS, internal transcribed spacer.

**B. RNA Polymerase I.** Pol I 3D structure (Darrière et al., 2019). View of the initially transcribing complex model and its 4 different subunits - PDB 5W66 (Han et al., 2017). Catalytic amino acids are located in the center of the central cleft. The two main modules are mobile and allow cleft opening and closure, depending of the transcription step.

C. Transcription initiation. Composition of Pol I pre-initiation complex (see text for details). UAF, Upstream Activating Factor; TBP, TATA-binding protein; CF, Core Factor.

**D. Transcription termination.** Pol I termination mechanisms (see text for details).

Running Title: co-transcriptional folding of ribosomal RNA



#### 277 Figure 2: RNA Pol I elongation dynamics

A. RNA Pol I distribution along rDNA template. Rpa135-CRAC results showing strong
 Pol I accumulation at 5' end of the rRNA gene (Turowski et al., 2020).

B. Elongation dynamics in the Low Entrainment Region. Schematic representation of Pol
 I elongation dynamics in the LER (Turowski et al., 2020). Associated with short nascent transcripts,
 Pol I can easily rotate around rDNA in the 5' region, leading to free translocation and a higher rate of
 backtracking. Beyond LER, viscous drag limits the rotation of the pre-RNA/Pol I complex around
 DNA.

C. Premature termination. Model including the propensity of the elongation complex to
 dissociate and release rRNA, leading to premature termination. When a Pol I is stalled, a torsional
 stress occurs that could be resolved by a premature transcription termination (PTT) event.

#### 289 **Conflict of Interest**

The authors declare that the research was conducted in the absence of any commercial or financial relationships that could be construed as a potential conflict of interest.

#### 292 Author Contributions

OG and AKH conceived the manuscript. CA and MJ wrote the manuscript. All authorscontributed to the article and approved the submitted version.

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